

|                                                                                                                                                                                                                                                                                                                                                                   |                                                       |                                                                                                                                                                                                                                                                                                                                               |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|-------------------------|-------------------------------------------------------------|
| efile GRAPHIC print - DO NOT PROCESS                                                                                                                                                                                                                                                                                                                              |                                                       | As Filed Data -                                                                                                                                                                                                                                                                                                                               |            | DLN: 93491310003727                                                                                                                                                              |                                                                                  |                         |                                                             |
| <div>Form 990-PF</div> <div>Department of the Treasury</div> <div>Internal Revenue Service</div>                                                                                                                                                                                                                                                                  |                                                       | <div>Return of Private Foundation</div> <div>or Section 4947(a)(1) Trust Treated as Private Foundation</div> <div>▶ Do not enter social security numbers on this form as it may be made public.</div> <div>▶ Information about Form 990-PF and its instructions is at <a href="http://www.irs.gov/form990pf">www.irs.gov/form990pf</a>.</div> |            |                                                                                                                                                                                  | <div>OMB No 1545-0052</div> <div>2016</div> <div>Open to Public Inspection</div> |                         |                                                             |
| For calendar year 2016, or tax year beginning 01-01-2016, and ending 12-31-2016                                                                                                                                                                                                                                                                                   |                                                       |                                                                                                                                                                                                                                                                                                                                               |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
| Name of foundation<br>THE MARIE M AND JAMES H GALLOWAY FOUNDATION                                                                                                                                                                                                                                                                                                 |                                                       |                                                                                                                                                                                                                                                                                                                                               |            | A Employer identification number<br>76-0314195                                                                                                                                   |                                                                                  |                         |                                                             |
| Number and street (or P.O. box number if mail is not delivered to street address)<br>THREE RIVERWAY SUITE 1200 NO 1200                                                                                                                                                                                                                                            |                                                       |                                                                                                                                                                                                                                                                                                                                               | Room/suite | B Telephone number (see instructions)<br>(713) 888-1073                                                                                                                          |                                                                                  |                         |                                                             |
| City or town, state or province, country, and ZIP or foreign postal code<br>HOUSTON, TX 770561928                                                                                                                                                                                                                                                                 |                                                       |                                                                                                                                                                                                                                                                                                                                               |            | C If exemption application is pending, check here ▶ <input type="checkbox"/>                                                                                                     |                                                                                  |                         |                                                             |
| G Check all that apply<br><div><input type="checkbox"/> Initial return</div> <div><input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return</div> <div><input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Name change</div> |                                                       |                                                                                                                                                                                                                                                                                                                                               |            | D 1. Foreign organizations, check here ▶ <input type="checkbox"/><br>2. Foreign organizations meeting the 85% test, check here and attach computation ▶ <input type="checkbox"/> |                                                                                  |                         |                                                             |
| H Check type of organization<br><input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation                                                                                                               |                                                       |                                                                                                                                                                                                                                                                                                                                               |            | E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ <input type="checkbox"/>                                                                  |                                                                                  |                         |                                                             |
| I Fair market value of all assets at end of year (from Part II, col (c), line 16)▶\$ 49,324,325                                                                                                                                                                                                                                                                   |                                                       | J Accounting method<br><input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) _____<br>(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 ▶ <input type="checkbox"/>                                                               |                                                                                  |                         |                                                             |
| 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)                                                                                                                                                                                                                                                                                | 19,683,534 |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 2                                                     | Check <input type="checkbox"/> if the foundation is <b>not</b> required to attach Sch. B . . . . .                                                                                                                                                                                                                                            |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 3                                                     | Interest on savings and temporary cash investments . . . . .                                                                                                                                                                                                                                                                                  |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 4                                                     | Dividends and interest from securities . . . . .                                                                                                                                                                                                                                                                                              | 1,418,020  | 1,401,548                                                                                                                                                                        |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 5a                                                    | Gross rents . . . . .                                                                                                                                                                                                                                                                                                                         |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | b                                                     | Net rental income or (loss) _____                                                                                                                                                                                                                                                                                                             |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 6a                                                    | Net gain or (loss) from sale of assets not on line 10                                                                                                                                                                                                                                                                                         | 40,496     |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | b                                                     | Gross sales price for all assets on line 6a _____ 12,603,920                                                                                                                                                                                                                                                                                  |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 7                                                     | Capital gain net income (from Part IV, line 2) . . . . .                                                                                                                                                                                                                                                                                      |            | 40,496                                                                                                                                                                           |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 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) . . . . .              | 3,016                                                                                                                                                                                                                                                                                                                                         | 5,228      |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
| 12                                                                                                                                                                                                                                                                                                                                                                | Total. Add lines 1 through 11 . . . . .               | 21,145,066                                                                                                                                                                                                                                                                                                                                    | 1,447,272  |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
| Operating and Administrative Expenses                                                                                                                                                                                                                                                                                                                             | 13                                                    | Compensation of officers, directors, trustees, etc                                                                                                                                                                                                                                                                                            | 0          | 0                                                                                                                                                                                |                                                                                  |                         | 0                                                           |
|                                                                                                                                                                                                                                                                                                                                                                   | 14                                                    | Other employee salaries and wages . . . . .                                                                                                                                                                                                                                                                                                   |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 15                                                    | Pension plans, employee benefits . . . . .                                                                                                                                                                                                                                                                                                    |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 16a                                                   | Legal fees (attach schedule) . . . . .                                                                                                                                                                                                                                                                                                        |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | b                                                     | Accounting fees (attach schedule) . . . . .                                                                                                                                                                                                                                                                                                   | 24,180     | 21,762                                                                                                                                                                           |                                                                                  |                         | 2,418                                                       |
|                                                                                                                                                                                                                                                                                                                                                                   | c                                                     | Other professional fees (attach schedule) . . . . .                                                                                                                                                                                                                                                                                           | 69,530     | 69,530                                                                                                                                                                           |                                                                                  |                         | 0                                                           |
|                                                                                                                                                                                                                                                                                                                                                                   | 17                                                    | Interest . . . . .                                                                                                                                                                                                                                                                                                                            |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 18                                                    | Taxes (attach schedule) (see instructions) . . . . .                                                                                                                                                                                                                                                                                          | 27,896     | 417                                                                                                                                                                              |                                                                                  |                         | 0                                                           |
|                                                                                                                                                                                                                                                                                                                                                                   | 19                                                    | Depreciation (attach schedule) and depletion . . . . .                                                                                                                                                                                                                                                                                        |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 20                                                    | Occupancy . . . . .                                                                                                                                                                                                                                                                                                                           | 8,375      | 4,188                                                                                                                                                                            |                                                                                  |                         | 4,187                                                       |
|                                                                                                                                                                                                                                                                                                                                                                   | 21                                                    | Travel, conferences, and meetings . . . . .                                                                                                                                                                                                                                                                                                   |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 22                                                    | Printing and publications . . . . .                                                                                                                                                                                                                                                                                                           |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 23                                                    | Other expenses (attach schedule) . . . . .                                                                                                                                                                                                                                                                                                    | 824        | 767                                                                                                                                                                              |                                                                                  |                         | 0                                                           |
|                                                                                                                                                                                                                                                                                                                                                                   | 24                                                    | Total operating and administrative expenses. Add lines 13 through 23 . . . . .                                                                                                                                                                                                                                                                | 130,805    | 96,664                                                                                                                                                                           |                                                                                  |                         | 6,605                                                       |
|                                                                                                                                                                                                                                                                                                                                                                   | 25                                                    | Contributions, gifts, grants paid . . . . .                                                                                                                                                                                                                                                                                                   | 300,000    |                                                                                                                                                                                  |                                                                                  |                         | 300,000                                                     |
| 26                                                                                                                                                                                                                                                                                                                                                                | Total expenses and disbursements. Add lines 24 and 25 | 430,805                                                                                                                                                                                                                                                                                                                                       | 96,664     |                                                                                                                                                                                  |                                                                                  | 306,605                 |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | 27                                                    | Subtract line 26 from line 12                                                                                                                                                                                                                                                                                                                 |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | a                                                     | Excess of revenue over expenses and disbursements                                                                                                                                                                                                                                                                                             | 20,714,261 |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
|                                                                                                                                                                                                                                                                                                                                                                   | b                                                     | Net investment income (if negative, enter -0-)                                                                                                                                                                                                                                                                                                |            | 1,350,608                                                                                                                                                                        |                                                                                  |                         |                                                             |
| c                                                                                                                                                                                                                                                                                                                                                                 | Adjusted net income (if negative, enter -0-)          |                                                                                                                                                                                                                                                                                                                                               |            |                                                                                                                                                                                  |                                                                                  |                         |                                                             |
| For Paperwork Reduction Act Notice, see instructions.                                                                                                                                                                                                                                                                                                             |                                                       |                                                                                                                                                                                                                                                                                                                                               |            | Cat No 11289X                                                                                                                                                                    |                                                                                  | Form 990-PF (2016)      |                                                             |

| 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<br>(a) Book Value                                                                                               | End of year<br>(b) Book Value (c) Fair Market Value |            |            |
| Assets                      | 1                                                                                                                                               | Cash—non-interest-bearing . . . . .                                                                                               |                                                     |            |            |
|                             | 2                                                                                                                                               | Savings and temporary cash investments . . . . .                                                                                  | 700,781                                             | 805,689    | 805,693    |
|                             | 3                                                                                                                                               | Accounts receivable ▶ _____<br>Less allowance for doubtful accounts ▶ _____                                                       |                                                     |            |            |
|                             | 4                                                                                                                                               | Pledges receivable ▶ _____<br>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) ▶ _____<br>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)                                                                | 0                                                   | 387,265    | 382,837    |
|                             | b                                                                                                                                               | Investments—corporate stock (attach schedule) . . . . .                                                                           | 25,353,040                                          | 44,045,604 | 46,797,325 |
|                             | c                                                                                                                                               | Investments—corporate bonds (attach schedule) . . . . .                                                                           | 0                                                   | 674,395    | 646,647    |
|                             | 11                                                                                                                                              | Investments—land, buildings, and equipment basis ▶ _____<br>Less accumulated depreciation (attach schedule) ▶ _____               |                                                     |            |            |
|                             | 12                                                                                                                                              | Investments—mortgage loans . . . . .                                                                                              |                                                     |            |            |
|                             | 13                                                                                                                                              | Investments—other (attach schedule) . . . . .                                                                                     | 22,027                                              | 877,156    | 691,823    |
|                             | 14                                                                                                                                              | Land, buildings, and equipment basis ▶ _____<br>Less accumulated depreciation (attach schedule) ▶ _____                           |                                                     |            |            |
| 15                          | Other assets (describe ▶ _____)                                                                                                                 |                                                                                                                                   |                                                     |            |            |
| 16                          | <b>Total assets</b> (to be completed by all filers—see the instructions Also, see page 1, item I)                                               | 26,075,848                                                                                                                        | 46,790,109                                          | 49,324,325 |            |
| 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                                                                                                                                              | <b>Total liabilities</b> (add lines 17 through 22) . . . . .                                                                      | 0                                                   | 0          |            |
| Net Assets or Fund Balances | <b>Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.</b> |                                                                                                                                   |                                                     |            |            |
|                             | 24                                                                                                                                              | Unrestricted . . . . .                                                                                                            | 26,075,848                                          | 46,790,109 |            |
|                             | 25                                                                                                                                              | Temporarily restricted . . . . .                                                                                                  |                                                     |            |            |
|                             | 26                                                                                                                                              | Permanently restricted . . . . .                                                                                                  |                                                     |            |            |
|                             | <b>Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.</b>                         |                                                                                                                                   |                                                     |            |            |
|                             | 27                                                                                                                                              | Capital stock, trust principal, or current funds . . . . .                                                                        |                                                     |            |            |
|                             | 28                                                                                                                                              | Paid-in or capital surplus, or land, bldg , and equipment fund                                                                    |                                                     |            |            |
|                             | 29                                                                                                                                              | Retained earnings, accumulated income, endowment, or other funds                                                                  |                                                     |            |            |
|                             | 30                                                                                                                                              | <b>Total net assets or fund balances</b> (see instructions) . . . . .                                                             | 26,075,848                                          | 46,790,109 |            |
| 31                          | <b>Total liabilities and net assets/fund balances</b> (see instructions) .                                                                      | 26,075,848                                                                                                                        | 46,790,109                                          |            |            |

| 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 | 26,075,848 |
| 2                                                           | Enter amount from Part I, line 27a . . . . .                                                                                                             | 2 | 20,714,261 |
| 3                                                           | Other increases not included in line 2 (itemize) ▶ _____                                                                                                 | 3 | 0          |
| 4                                                           | Add lines 1, 2, and 3 . . . . .                                                                                                                          | 4 | 46,790,109 |
| 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 | 46,790,109 |

**Part IV Capital Gains and Losses for Tax on Investment Income**

| (a)<br>List and describe the kind(s) of property sold (e g , real estate,<br>2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|-----------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| <b>1a</b> See Additional Data Table                                                                                                     |                                                 |                                         |                                     |
| <b>b</b>                                                                                                                                |                                                 |                                         |                                     |
| <b>c</b>                                                                                                                                |                                                 |                                         |                                     |
| <b>d</b>                                                                                                                                |                                                 |                                         |                                     |
| <b>e</b>                                                                                                                                |                                                 |                                         |                                     |

  

| (e)<br>Gross sales price           | (f)<br>Depreciation allowed<br>(or allowable) | (g)<br>Cost or other basis<br>plus expense of sale | (h)<br>Gain or (loss)<br>(e) plus (f) minus (g) |
|------------------------------------|-----------------------------------------------|----------------------------------------------------|-------------------------------------------------|
| <b>a</b> See Additional Data Table |                                               |                                                    |                                                 |
| <b>b</b>                           |                                               |                                                    |                                                 |
| <b>c</b>                           |                                               |                                                    |                                                 |
| <b>d</b>                           |                                               |                                                    |                                                 |
| <b>e</b>                           |                                               |                                                    |                                                 |

  

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                         |                                                  | (l)<br>Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|-----------------------------------------|--------------------------------------------------|-------------------------------------------------------------------------------------------------|
| (i)<br>F M V as of 12/31/69                                                                 | (j)<br>Adjusted basis<br>as of 12/31/69 | (k)<br>Excess of col (i)<br>over col (j), if any |                                                                                                 |
| <b>a</b> See Additional Data Table                                                          |                                         |                                                  |                                                                                                 |
| <b>b</b>                                                                                    |                                         |                                                  |                                                                                                 |
| <b>c</b>                                                                                    |                                         |                                                  |                                                                                                 |
| <b>d</b>                                                                                    |                                         |                                                  |                                                                                                 |
| <b>e</b>                                                                                    |                                         |                                                  |                                                                                                 |

  

|                                                                                                                                                                                                                                                |          |        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|--------|
| <b>2</b> Capital gain net income or (net capital loss) <span style="float: right;">{ If gain, also enter in Part I, line 7<br/>If (loss), enter -0- in Part I, line 7 }</span>                                                                 | <b>2</b> | 40,496 |
| <b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0-<br>in Part I, line 8 <span style="float: right;">{ }</span> | <b>3</b> |        |

**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)<br>Base period years Calendar<br>year (or tax year beginning in) | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(col (b) divided by col (c)) |
|----------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-----------------------------------------------------------|
| 2015                                                                 | 730,018                                  | 19,006,642                                   | 0 038409                                                  |
| 2014                                                                 | 19,002                                   | 626,375                                      | 0 030336                                                  |
| 2013                                                                 | 400                                      | 378,701                                      | 0 001056                                                  |
| 2012                                                                 | 285                                      | 15,637                                       | 0 018226                                                  |
| 2011                                                                 | 350                                      | 2,184                                        | 0 160256                                                  |

  

|                                                                                                                                                                                                                                          |          |            |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|------------|
| <b>2</b> Total of line 1, column (d) . . . . .                                                                                                                                                                                           | <b>2</b> | 0 248283   |
| <b>3</b> Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the<br>number of years the foundation has been in existence if less than 5 years . . . . .                                         | <b>3</b> | 0 049657   |
| <b>4</b> Enter the net value of noncharitable-use assets for 2016 from Part X, line 5 . . . . .                                                                                                                                          | <b>4</b> | 43,519,827 |
| <b>5</b> Multiply line 4 by line 3 . . . . .                                                                                                                                                                                             | <b>5</b> | 2,161,064  |
| <b>6</b> Enter 1% of net investment income (1% of Part I, line 27b) . . . . .                                                                                                                                                            | <b>6</b> | 13,506     |
| <b>7</b> Add lines 5 and 6 . . . . .                                                                                                                                                                                                     | <b>7</b> | 2,174,570  |
| <b>8</b> Enter qualifying distributions from Part XII, line 4 , . . . . .<br>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<br>instructions | <b>8</b> | 306,605    |

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

|           |                                                                                                                                                                                                                                   |           |        |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--------|
| <b>1a</b> | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1<br>Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions) |           |        |
| <b>b</b>  | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b . . . . .                                                                         | <b>1</b>  | 27,012 |
| <b>c</b>  | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)                                                                                                            |           |        |
| <b>2</b>  | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                         | <b>2</b>  | 0      |
| <b>3</b>  | Add lines 1 and 2. . . . .                                                                                                                                                                                                        | <b>3</b>  | 27,012 |
| <b>4</b>  | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                       | <b>4</b>  | 0      |
| <b>5</b>  | <b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0- . . . . .                                                                                                                          | <b>5</b>  | 27,012 |
| <b>6</b>  | Credits/Payments                                                                                                                                                                                                                  |           |        |
| <b>a</b>  | 2016 estimated tax payments and 2015 overpayment credited to 2016                                                                                                                                                                 | <b>6a</b> | 13,790 |
| <b>b</b>  | Exempt foreign organizations—tax withheld at source . . . . .                                                                                                                                                                     | <b>6b</b> |        |
| <b>c</b>  | Tax paid with application for extension of time to file (Form 8868) . . . . .                                                                                                                                                     | <b>6c</b> | 25,000 |
| <b>d</b>  | Backup withholding erroneously withheld . . . . .                                                                                                                                                                                 | <b>6d</b> |        |
| <b>7</b>  | Total credits and payments. Add lines 6a through 6d. . . . .                                                                                                                                                                      | <b>7</b>  | 38,790 |
| <b>8</b>  | Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached                                                                                                          | <b>8</b>  |        |
| <b>9</b>  | <b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b> . . . . .                                                                                                                             | <b>9</b>  |        |
| <b>10</b> | <b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b> . . . . .                                                                                                                 | <b>10</b> | 11,778 |
| <b>11</b> | Enter the amount of line 10 to be <b>Credited to 2017 estimated tax</b> <input type="checkbox"/> 11,778 <b>Refunded</b> <input type="checkbox"/>                                                                                  | <b>11</b> | 0      |

**Part VII-A Statements Regarding Activities**

|                                                                                                                                                                                                                                                                                                                                                                          | Yes       | No  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-----|
| <b>1a</b> 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? . . . . .                                                                                                                                                                                 | <b>1a</b> | No  |
| <b>b</b> Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? . . . . .<br>If the answer is "Yes" to <b>1a</b> or <b>1b</b> , attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities | <b>1b</b> | No  |
| <b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year? . . . . .                                                                                                                                                                                                                                                                                           | <b>1c</b> | No  |
| <b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>(1) On the foundation <input type="checkbox"/> \$ 0 (2) On foundation managers <input type="checkbox"/> \$ 0                                                                                                                                               |           |     |
| <b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 0                                                                                                                                                                                              |           |     |
| <b>2</b> Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . .<br>If "Yes," attach a detailed description of the activities                                                                                                                                                                                          | <b>2</b>  | No  |
| <b>3</b> 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 . . . . .                                                                                                                            | <b>3</b>  | No  |
| <b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .                                                                                                                                                                                                                                                          | <b>4a</b> | No  |
| <b>b</b> If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year? . . . . .                                                                                                                                                                                                                                                                               | <b>4b</b> |     |
| <b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .<br>If "Yes," attach the statement required by General Instruction T                                                                                                                                                                                    | <b>5</b>  | No  |
| <b>6</b> Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• 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? . . . . .                     | <b>6</b>  | Yes |
| <b>7</b> 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 . . . . .                                                                                                                                                                                                                      | <b>7</b>  | Yes |
| <b>8a</b> Enter the states to which the foundation reports or with which it is registered (see instructions)<br><input type="checkbox"/> TX                                                                                                                                                                                                                              |           |     |
| <b>b</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 .                                                                                                                                                   | <b>8b</b> | Yes |
| <b>9</b> 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)?<br>If "Yes," complete Part XIV . . . . .                                                                                               | <b>9</b>  | No  |
| <b>10</b> Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses . . . . .                                                                                                                                                                                                                   | <b>10</b> | No  |

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

|           |                                                                                                                                                                                          |           |            |           |
|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|-----------|
| <b>11</b> | 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). | <b>11</b> |            | <b>No</b> |
| <b>12</b> | 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) | <b>12</b> |            | <b>No</b> |
| <b>13</b> | Did the foundation comply with the public inspection requirements for its annual returns and exemption application?<br>Website address <b>N/A</b>                                        | <b>13</b> | <b>Yes</b> |           |
| <b>14</b> | The books are in care of <b>FRIERSON SOLA SIMONTON KUTAC P</b> Telephone no <b>(713) 651-9250</b>                                                                                        |           |            |           |

Located at **801 TRAVIS ST SUITE 1900 HOUSTON TX** ZIP+4 **77002**

|           |                                                                                                                                                                                                                                                                                                                                                                                          |           |            |           |
|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|-----------|
| <b>15</b> | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —Check here . . . . . <input type="checkbox"/><br>and enter the amount of tax-exempt interest received or accrued during the year . . . . . <b>15</b>                                                                                                                                      |           |            |           |
| <b>16</b> | 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?<br>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 <b>▶</b> | <b>16</b> | <b>Yes</b> | <b>No</b> |

**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.**

|           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |           |            |           |
|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|-----------|
| <b>1a</b> | During the year did the foundation (either directly or indirectly)                                                                                                                                                                                                                                                                                                                                                                                                                                                       |           | <b>Yes</b> | <b>No</b> |
|           | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                               |           |            |           |
|           | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                       |           |            |           |
|           | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                           |           |            |           |
|           | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                        |           |            |           |
|           | (6) Agree to pay money or property to a government official? ( <b>Exception.</b> 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). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                              |           |            |           |
| <b>b</b>  | If any answer is "Yes" to 1a(1)–(6), did <b>any</b> 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)? <input type="checkbox"/><br>Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/>                                                                                                                                                     | <b>1b</b> |            |           |
| <b>c</b>  | 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? <input type="checkbox"/>                                                                                                                                                                                                                                                                                                         | <b>1c</b> |            | <b>No</b> |
| <b>2</b>  | 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))                                                                                                                                                                                                                                                                                                                                            |           |            |           |
| <b>a</b>  | 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>If "Yes," list the years <b>▶ 20____, 20____, 20____, 20____</b>                                                                                                                                                                                                                                |           |            |           |
| <b>b</b>  | Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement—see instructions). <input type="checkbox"/>                                                                                                                                                                           | <b>2b</b> |            |           |
| <b>c</b>  | If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here <b>▶ 20____, 20____, 20____, 20____</b>                                                                                                                                                                                                                                                                                                                                                           |           |            |           |
| <b>3a</b> | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                           |           |            |           |
| <b>b</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). <input type="checkbox"/> | <b>3b</b> |            |           |
| <b>4a</b> | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?                                                                                                                                                                                                                                                                                                                                                                                                          | <b>4a</b> |            | <b>No</b> |
| <b>b</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?                                                                                                                                                                                                                                                                                        | <b>4b</b> |            | <b>No</b> |

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

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |           |  |           |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--|-----------|
| <b>5a</b> During the year did the foundation pay or incur any amount to<br><b>(1)</b> Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br><b>(2)</b> Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? . . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br><b>(3)</b> Provide a grant to an individual for travel, study, or other similar purposes? <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br><b>(4)</b> Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions). . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br><b>(5)</b> Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? . . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br><b>b</b> If any answer is "Yes" to 5a(1)–(5), did <b>any</b> 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)? . . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br>Organizations relying on a current notice regarding disaster assistance check here. . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br><b>c</b> 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? . . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br>If "Yes," attach the statement required by Regulations section 53.4945–5(d) | <b>5b</b> |  |           |
| <b>6a</b> Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br><b>b</b> Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br>If "Yes" to 6b, file Form 8870                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <b>6b</b> |  | <b>No</b> |
| <b>7a</b> At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span><br><b>b</b> If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? . . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <b>7b</b> |  |           |

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

| <b>1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).</b>                                                          |                                                              |                                           |                                                                          |                                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------------------------|--------------------------------------------------------------------------|---------------------------------------|
| (a) Name and address                                                                                                                                                     | Title, and average hours per week<br>(b) devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation    | Expense account, (e) other allowances |
| JAMES R MONTAGUE<br>THREE RIVERWAY STE 1200<br>HOUSTON, TX 77056                                                                                                         | DIRECTOR<br>2 00                                             | 0                                         | 0                                                                        | 0                                     |
| DAVID JOHNSON<br>PO BOX 1224<br>GOLIAD, TX 779631224                                                                                                                     | DIRECTOR<br>2 00                                             | 0                                         | 0                                                                        | 0                                     |
| RICHARD ROWE<br>THREE RIVERWAY STE 1200<br>HOUSTON, TX 77056                                                                                                             | DIRECTOR<br>2 00                                             | 0                                         | 0                                                                        | 0                                     |
| <b>2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."</b>                                      |                                                              |                                           |                                                                          |                                       |
| (a)<br>Name and address of each employee paid more than \$50,000                                                                                                         | Title, and average hours per week<br>(b) devoted to position | (c) Compensation                          | Contributions to employee benefit plans and deferred compensation<br>(d) | Expense account, (e) other allowances |
| NONE                                                                                                                                                                     |                                                              |                                           |                                                                          |                                       |
|                                                                                                                                                                          |                                                              |                                           |                                                                          |                                       |
|                                                                                                                                                                          |                                                              |                                           |                                                                          |                                       |
|                                                                                                                                                                          |                                                              |                                           |                                                                          |                                       |
|                                                                                                                                                                          |                                                              |                                           |                                                                          |                                       |
|                                                                                                                                                                          |                                                              |                                           |                                                                          |                                       |
|                                                                                                                                                                          |                                                              |                                           |                                                                          |                                       |
|                                                                                                                                                                          |                                                              |                                           |                                                                          |                                       |
|                                                                                                                                                                          |                                                              |                                           |                                                                          |                                       |
| <b>Total</b> number of other employees paid over \$50,000. . . . . <span style="float:right;"><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</span> |                                                              |                                           |                                                                          | 0                                     |

**Part VIII**

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

**3**

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

| (a) Name and address of each person paid more than \$50,000                      | (b) Type of service | (c) Compensation |
|----------------------------------------------------------------------------------|---------------------|------------------|
| NONE                                                                             |                     |                  |
|                                                                                  |                     |                  |
|                                                                                  |                     |                  |
|                                                                                  |                     |                  |
|                                                                                  |                     |                  |
|                                                                                  |                     |                  |
|                                                                                  |                     |                  |
|                                                                                  |                     |                  |
| <b>Total</b> number of others receiving over \$50,000 for professional services. |                     | 0                |

**Part IX-A**

**Summary of Direct Charitable Activities**

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

|                                                                                                                  | Expenses |
|------------------------------------------------------------------------------------------------------------------|----------|
| <b>1</b> NO DIRECT CHARITABLE ACTIVITIES. ALL CONTRIBUTIONS WILL BE MADE TO CHARITIES FOR THEIR UNRESTRICTED USE | 0        |
| <b>2</b>                                                                                                         |          |
|                                                                                                                  |          |
|                                                                                                                  |          |
| <b>3</b>                                                                                                         |          |
|                                                                                                                  |          |
|                                                                                                                  |          |
|                                                                                                                  |          |
| <b>4</b>                                                                                                         |          |
|                                                                                                                  |          |
|                                                                                                                  |          |
|                                                                                                                  |          |

**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 |
|------------------------------------------------------------------------------------------------------------------|--------|
| <b>1</b>                                                                                                         |        |
|                                                                                                                  |        |
|                                                                                                                  |        |
| <b>2</b>                                                                                                         |        |
|                                                                                                                  |        |
|                                                                                                                  |        |
| All other program-related investments. See instructions.                                                         |        |
| <b>3</b>                                                                                                         |        |
|                                                                                                                  |        |
|                                                                                                                  |        |
| <b>Total.</b> Add lines 1 through 3                                                                              | 0      |

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

|          |                                                                                                              |           |            |
|----------|--------------------------------------------------------------------------------------------------------------|-----------|------------|
| <b>1</b> | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes   |           |            |
| <b>a</b> | Average monthly fair market value of securities.                                                             | <b>1a</b> | 42,594,452 |
| <b>b</b> | Average of monthly cash balances.                                                                            | <b>1b</b> | 1,588,113  |
| <b>c</b> | Fair market value of all other assets (see instructions).                                                    | <b>1c</b> | 0          |
| <b>d</b> | <b>Total</b> (add lines 1a, b, and c).                                                                       | <b>1d</b> | 44,182,565 |
| <b>e</b> | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).   | <b>1e</b> | 0          |
| <b>2</b> | Acquisition indebtedness applicable to line 1 assets.                                                        | <b>2</b>  | 0          |
| <b>3</b> | Subtract line 2 from line 1d.                                                                                | <b>3</b>  | 44,182,565 |
| <b>4</b> | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).   | <b>4</b>  | 662,738    |
| <b>5</b> | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4. | <b>5</b>  | 43,519,827 |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5.                                                        | <b>6</b>  | 2,175,991  |

**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.)

|           |                                                                                                            |           |           |
|-----------|------------------------------------------------------------------------------------------------------------|-----------|-----------|
| <b>1</b>  | Minimum investment return from Part X, line 6.                                                             | <b>1</b>  | 2,175,991 |
| <b>2a</b> | Tax on investment income for 2016 from Part VI, line 5.                                                    | <b>2a</b> | 27,012    |
| <b>b</b>  | Income tax for 2016 (This does not include the tax from Part VI).                                          | <b>2b</b> |           |
| <b>c</b>  | Add lines 2a and 2b.                                                                                       | <b>2c</b> | 27,012    |
| <b>3</b>  | Distributable amount before adjustments. Subtract line 2c from line 1.                                     | <b>3</b>  | 2,148,979 |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions.                                                 | <b>4</b>  | 0         |
| <b>5</b>  | Add lines 3 and 4.                                                                                         | <b>5</b>  | 2,148,979 |
| <b>6</b>  | Deduction from distributable amount (see instructions).                                                    | <b>6</b>  | 0         |
| <b>7</b>  | <b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1. | <b>7</b>  | 2,148,979 |

**Part XII Qualifying Distributions** (see instructions)

|          |                                                                                                                                                       |           |         |
|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------|
| <b>1</b> | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes                                                             |           |         |
| <b>a</b> | Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26.                                                                          | <b>1a</b> | 306,605 |
| <b>b</b> | Program-related investments—total from Part IX-B.                                                                                                     | <b>1b</b> | 0       |
| <b>2</b> | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.                                            | <b>2</b>  |         |
| <b>3</b> | Amounts set aside for specific charitable projects that satisfy the                                                                                   |           |         |
| <b>a</b> | Suitability test (prior IRS approval required).                                                                                                       | <b>3a</b> |         |
| <b>b</b> | Cash distribution test (attach the required schedule).                                                                                                | <b>3b</b> |         |
| <b>4</b> | <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.                                    | <b>4</b>  | 306,605 |
| <b>5</b> | 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). | <b>5</b>  | 0       |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4.                                                                                | <b>6</b>  | 306,605 |

**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)<br>Corpus | (b)<br>Years prior to 2015 | (c)<br>2015 | (d)<br>2016 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| <b>1</b> Distributable amount for 2016 from Part XI, line 7                                                                                                                                |               |                            |             | 2,148,979   |
| <b>2</b> Undistributed income, if any, as of the end of 2016                                                                                                                               |               |                            |             |             |
| <b>a</b> Enter amount for 2015 only. . . . .                                                                                                                                               |               |                            | 237,121     |             |
| <b>b</b> Total for prior years 20____, 20____, 20____                                                                                                                                      |               | 0                          |             |             |
| <b>3</b> Excess distributions carryover, if any, to 2016                                                                                                                                   |               |                            |             |             |
| <b>a</b> From 2011. . . . .                                                                                                                                                                |               |                            |             |             |
| <b>b</b> From 2012. . . . .                                                                                                                                                                |               |                            |             |             |
| <b>c</b> From 2013. . . . .                                                                                                                                                                |               |                            |             |             |
| <b>d</b> From 2014. . . . .                                                                                                                                                                |               |                            |             |             |
| <b>e</b> From 2015. . . . .                                                                                                                                                                |               |                            |             |             |
| <b>f</b> Total of lines 3a through e. . . . .                                                                                                                                              | 0             |                            |             |             |
| <b>4</b> Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 306,605                                                                                                              |               |                            |             |             |
| <b>a</b> Applied to 2015, but not more than line 2a                                                                                                                                        |               |                            | 237,121     |             |
| <b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .                                                                                      |               | 0                          |             |             |
| <b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .                                                                                              | 0             |                            |             |             |
| <b>d</b> Applied to 2016 distributable amount. . . . .                                                                                                                                     |               |                            |             | 69,484      |
| <b>e</b> Remaining amount distributed out of corpus                                                                                                                                        | 0             |                            |             |             |
| <b>5</b> Excess distributions carryover applied to 2016<br>(If an amount appears in column (d), the same amount must be shown in column (a) )                                              | 0             |                            |             | 0           |
| <b>6</b> Enter the net total of each column as indicated below:                                                                                                                            |               |                            |             |             |
| <b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5                                                                                                                                   | 0             |                            |             |             |
| <b>b</b> Prior years' undistributed income Subtract line 4b from line 2b . . . . .                                                                                                         |               | 0                          |             |             |
| <b>c</b> 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                          |             |             |
| <b>d</b> Subtract line 6c from line 6b Taxable amount—see instructions . . . . .                                                                                                           |               | 0                          |             |             |
| <b>e</b> Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions . . . . .                                                                             |               |                            | 0           |             |
| <b>f</b> Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017 . . . . .                                                               |               |                            |             | 2,079,495   |
| <b>7</b> 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             |                            |             |             |
| <b>8</b> Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions). . . . .                                                                              | 0             |                            |             |             |
| <b>9</b> Excess distributions carryover to 2017.<br>Subtract lines 7 and 8 from line 6a . . . . .                                                                                          | 0             |                            |             |             |
| <b>10</b> Analysis of line 9                                                                                                                                                               |               |                            |             |             |
| <b>a</b> Excess from 2012. . . . .                                                                                                                                                         |               |                            |             |             |
| <b>b</b> Excess from 2013. . . . .                                                                                                                                                         |               |                            |             |             |
| <b>c</b> Excess from 2014. . . . .                                                                                                                                                         |               |                            |             |             |
| <b>d</b> Excess from 2015. . . . .                                                                                                                                                         |               |                            |             |             |
| <b>e</b> Excess from 2016. . . . .                                                                                                                                                         |               |                            |             |             |

**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)

**2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . .

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

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

**c** Any submission deadlines

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

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

| Recipient                                                         | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount  |
|-------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|---------|
| Name and address (home or business)                               |                                                                                                                    |                                      |                                     |         |
| <b>a</b> <i>Paid during the year</i><br>See Additional Data Table |                                                                                                                    |                                      |                                     |         |
| <b>Total</b> . . . . .                                            |                                                                                                                    |                                      | <b>3a</b>                           | 300,000 |
| <b>b</b> <i>Approved for future payment</i>                       |                                                                                                                    |                                      |                                     |         |
| <b>Total</b> . . . . .                                            |                                                                                                                    |                                      | <b>3b</b>                           | 0       |

Enter gross amounts unless otherwise indicated

| Enter gross amounts unless otherwise indicated                                 | Unrelated business income |               | Excluded by section 512, 513, or 514 |               | (e)<br>Related or exempt<br>function income<br>(See instructions ) |
|--------------------------------------------------------------------------------|---------------------------|---------------|--------------------------------------|---------------|--------------------------------------------------------------------|
|                                                                                | (a)<br>Business code      | (b)<br>Amount | (c)<br>Exclusion code                | (d)<br>Amount |                                                                    |
| <b>1</b> Program service revenue                                               |                           |               |                                      |               |                                                                    |
| <b>a</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>b</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>c</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>d</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>e</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>f</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>g</b> Fees and contracts from government agencies                           |                           |               |                                      |               |                                                                    |
| <b>2</b> Membership dues and assessments. . . . .                              |                           |               |                                      |               |                                                                    |
| <b>3</b> Interest on savings and temporary cash<br>investments . . . . .       |                           |               |                                      |               |                                                                    |
| <b>4</b> Dividends and interest from securities. . . . .                       |                           |               | 14                                   | 1,418,020     |                                                                    |
| <b>5</b> Net rental income or (loss) from real estate                          |                           |               |                                      |               |                                                                    |
| <b>a</b> Debt-financed property. . . . .                                       |                           |               |                                      |               |                                                                    |
| <b>b</b> Not debt-financed property. . . . .                                   |                           |               |                                      |               |                                                                    |
| <b>6</b> Net rental income or (loss) from personal property                    |                           |               |                                      |               |                                                                    |
| <b>7</b> Other investment income. . . . .                                      |                           |               | 01                                   | 3,016         |                                                                    |
| <b>8</b> Gain or (loss) from sales of assets other than<br>inventory . . . . . |                           |               | 18                                   | 40,496        |                                                                    |
| <b>9</b> Net income or (loss) from special events                              |                           |               |                                      |               |                                                                    |
| <b>10</b> Gross profit or (loss) from sales of inventory                       |                           |               |                                      |               |                                                                    |
| <b>11</b> Other revenue <b>a</b> _____                                         |                           |               |                                      |               |                                                                    |
| <b>b</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>c</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>d</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>e</b> _____                                                                 |                           |               |                                      |               |                                                                    |
| <b>12</b> Subtotal Add columns (b), (d), and (e). . .                          |                           | 0             |                                      | 1,461,532     | 0                                                                  |
| <b>13 Total.</b> Add line 12, columns (b), (d), and (e). . . . .               |                           |               | <b>13</b>                            |               | 1,461,532                                                          |

(See worksheet in line 13 instructions to verify calculations )

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

[illegible]

## Part XVII

- |       | Yes | No |
|-------|-----|----|
| 1a(1) |     | No |
| 1a(2) |     | No |
| 1b(1) |     | No |
| 1b(2) |     | No |
| 1b(3) |     | No |
| 1b(4) |     | No |
| 1b(5) |     | No |
| 1b(6) |     | No |
| 1c    |     | No |

[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
- b** If "Yes," complete the following schedule

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|--------------------------|--------------------------|---------------------------------|
|                          |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |

|             |                                                                                                                                                                                                                                                                                                                        |
|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Sign</b> | 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

HOUSTON, TX 770025730

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| NUVEEN DIVERSIFIED COMMODITY FUND (STCG)                                                                                             | P                                               |                                         |                                     |
| NUVEEN DIVERSIFIED COMMODITY FUND (SECTION 1256)                                                                                     | P                                               |                                         |                                     |
| NUVEEN DIVERSIFIED COMMODITY FUND (K-1 BASIS ADJ )                                                                                   | P                                               |                                         |                                     |
| ENTERPRISE PRODUCTS PARTNERS LP                                                                                                      | P                                               |                                         |                                     |
| BASIS ADJUSTMENT                                                                                                                     | P                                               |                                         |                                     |
| WHOLE FOODS MKT INC, WFM, 966837106                                                                                                  | P                                               | 2016-08-01                              | 2016-08-02                          |
| BRISTOL MYERS SQUIBB, BMY, 110122108                                                                                                 | P                                               | 2016-08-01                              | 2016-08-17                          |
| CHEVRON CORP NEW COM, CVX, 166764100                                                                                                 | P                                               | 2016-08-01                              | 2016-08-17                          |
| UNITEDHEALTH GROUP, UNH, 91324P102                                                                                                   | P                                               | 2016-03-15                              | 2016-08-17                          |
| UNION PACIFIC CORP, UNP, 907818108                                                                                                   | P                                               | 2016-03-15                              | 2016-08-17                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 919                   |                                            |                                                 | 919                                          |
| 6,667                 |                                            |                                                 | 6,667                                        |
|                       |                                            | 6,036                                           | -6,036                                       |
| 808                   |                                            |                                                 | 808                                          |
|                       |                                            | 677                                             | -677                                         |
| 7,895                 |                                            | 8,014                                           | -119                                         |
| 5,618                 |                                            | 7,263                                           | -1,645                                       |
| 4,277                 |                                            | 4,178                                           | 99                                           |
| 1,128                 |                                            | 1,000                                           | 128                                          |
| 1,548                 |                                            | 1,376                                           | 172                                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 919                                                                                          |
|                                                                                             |                                      |                                               | 6,667                                                                                        |
|                                                                                             |                                      |                                               | -6,036                                                                                       |
|                                                                                             |                                      |                                               | 808                                                                                          |
|                                                                                             |                                      |                                               | -677                                                                                         |
|                                                                                             |                                      |                                               | -119                                                                                         |
|                                                                                             |                                      |                                               | -1,645                                                                                       |
|                                                                                             |                                      |                                               | 99                                                                                           |
|                                                                                             |                                      |                                               | 128                                                                                          |
|                                                                                             |                                      |                                               | 172                                                                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| UNITEDHEALTH GROUP, UNH, 91324P102                                                                                                   | P                                               | 2016-03-15                              | 2016-08-17                          |
| GENERAL ELECTRIC CO, GE, 369604103                                                                                                   | P                                               | 2014-08-20                              | 2016-08-17                          |
| JOHNSON & JOHNSON, JNJ, 478160104                                                                                                    | P                                               | 2014-08-20                              | 2016-08-17                          |
| PFIZER INC, PFE, 717081103                                                                                                           | P                                               | 2008-12-05                              | 2016-08-17                          |
| PFIZER INC, PFE, 717081103                                                                                                           | P                                               | 2008-12-05                              | 2016-08-17                          |
| PFIZER INC, PFE, 717081103                                                                                                           | P                                               | 2008-12-05                              | 2016-08-17                          |
| DOW CHEMICAL CO, DOW, 260543103                                                                                                      | P                                               | 2016-08-01                              | 2016-08-18                          |
| DOW CHEMICAL CO, DOW, 260543103                                                                                                      | P                                               | 2016-08-01                              | 2016-08-18                          |
| HOME DEPOT INC COM, HD, 437076102                                                                                                    | P                                               | 2016-03-15                              | 2016-08-18                          |
| CISCO SYS INC COM, CSCO, 17275R102                                                                                                   | P                                               | 2014-11-13                              | 2016-08-18                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 3,520                 |                                            | 3,126                                           | 394                                          |
| 5,683                 |                                            | 493                                             | 5,190                                        |
| 4,923                 |                                            | 4,099                                           | 824                                          |
| 348                   |                                            | 294                                             | 54                                           |
| 1,638                 |                                            | 1,383                                           | 255                                          |
| 3,274                 |                                            | 2,766                                           | 508                                          |
| 9,610                 |                                            | 9,672                                           | -62                                          |
| 3,448                 |                                            | 3,474                                           | -26                                          |
| 3,635                 |                                            | 3,501                                           | 134                                          |
| 6,993                 |                                            | 5,940                                           | 1,053                                        |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 394                                                                                       |
|                                                                                             |                                      |                                               | 5,190                                                                                     |
|                                                                                             |                                      |                                               | 824                                                                                       |
|                                                                                             |                                      |                                               | 54                                                                                        |
|                                                                                             |                                      |                                               | 255                                                                                       |
|                                                                                             |                                      |                                               | 508                                                                                       |
|                                                                                             |                                      |                                               | -62                                                                                       |
|                                                                                             |                                      |                                               | -26                                                                                       |
|                                                                                             |                                      |                                               | 134                                                                                       |
|                                                                                             |                                      |                                               | 1,053                                                                                     |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| HOME DEPOT INC COM, HD, 437076102                                                                                                    | P                                               | 2014-08-20                              | 2016-08-18                          |
| HOME DEPOT INC COM, HD, 437076102                                                                                                    | P                                               | 2014-08-20                              | 2016-08-18                          |
| HOME DEPOT INC COM, HD, 437076102                                                                                                    | P                                               | 2015-01-06                              | 2016-08-18                          |
| AMGEN INC, AMGN, 031162100                                                                                                           | P                                               | 2016-08-01                              | 2016-08-22                          |
| CVS HEALTH CORP COM, CVS, 126650100                                                                                                  | P                                               | 2016-08-01                              | 2016-08-22                          |
| CVS HEALTH CORP COM, CVS, 126650100                                                                                                  | P                                               | 2016-08-01                              | 2016-08-22                          |
| FORD MTR CO DEL COM, F, 345370860                                                                                                    | P                                               | 2016-08-01                              | 2016-08-22                          |
| FORD MTR CO DEL COM, F, 345370860                                                                                                    | P                                               | 2016-08-01                              | 2016-08-22                          |
| MERCK & CO INC NEW COM, MRK, 58933Y105                                                                                               | P                                               | 2016-08-01                              | 2016-08-22                          |
| MERCK & CO INC NEW COM, MRK, 58933Y105                                                                                               | P                                               | 2016-08-01                              | 2016-08-22                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 404                   |                                            | 272                                             | 132                                          |
| 135                   |                                            | 91                                              | 44                                           |
| 4,979                 |                                            | 3,764                                           | 1,215                                        |
| 5,229                 |                                            | 5,206                                           | 23                                           |
| 7,707                 |                                            | 7,412                                           | 295                                          |
| 2,145                 |                                            | 2,064                                           | 81                                           |
| 4,419                 |                                            | 4,486                                           | -67                                          |
| 4,639                 |                                            | 4,711                                           | -72                                          |
| 3,172                 |                                            | 2,933                                           | 239                                          |
| 889                   |                                            | 821                                             | 68                                           |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 132                                                                                          |
|                                                                                             |                                      |                                               | 44                                                                                           |
|                                                                                             |                                      |                                               | 1,215                                                                                        |
|                                                                                             |                                      |                                               | 23                                                                                           |
|                                                                                             |                                      |                                               | 295                                                                                          |
|                                                                                             |                                      |                                               | 81                                                                                           |
|                                                                                             |                                      |                                               | -67                                                                                          |
|                                                                                             |                                      |                                               | -72                                                                                          |
|                                                                                             |                                      |                                               | 239                                                                                          |
|                                                                                             |                                      |                                               | 68                                                                                           |



| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| OCCIDENTAL PETROLEUMCORP, OXY, 674599105                                                                                             | P                                               | 2016-08-01                              | 2016-08-22                          |
| STARBUCKS CORP COM USD0 001, SBUX, 855244109                                                                                         | P                                               | 2016-08-01                              | 2016-08-22                          |
| WELLS FARGO & CO NEW, WFC, 949746101                                                                                                 | P                                               | 2016-03-15                              | 2016-08-22                          |
| MCDONALDS CORP, MCD, 580135101                                                                                                       | P                                               | 1997-06-17                              | 2016-08-22                          |
| AT&T INC COM USD1, T, 00206R102                                                                                                      | P                                               | 2016-08-01                              | 2016-08-23                          |
| FORTIVE CORP COM, FTV, 34959J108                                                                                                     | P                                               | 2016-08-01                              | 2016-08-23                          |
| FORTIVE CORP COM, FTV, 34959J108                                                                                                     | P                                               | 2016-08-01                              | 2016-08-23                          |
| BOEING CO, BA, 097023105                                                                                                             | P                                               | 2014-08-20                              | 2016-08-23                          |
| VERIZON COMMUNICATIONS, VZ, 92343V104                                                                                                | P                                               | 2014-08-20                              | 2016-08-23                          |
| LOCKHEED MARTIN CORP LMT, 539830109                                                                                                  | P                                               | 2016-08-01                              | 2016-08-25                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 3,735                 |                                            | 3,603                                           | 132                                          |
| 3,988                 |                                            | 4,138                                           | -150                                         |
| 10,629                |                                            | 10,922                                          | -293                                         |
| 4,388                 |                                            | 3,670                                           | 718                                          |
| 4,214                 |                                            | 4,448                                           | -234                                         |
| 1,178                 |                                            | 1,103                                           | 75                                           |
| 1,432                 |                                            | 1,343                                           | 89                                           |
| 5,087                 |                                            | 4,838                                           | 249                                          |
| 2,105                 |                                            | 1,948                                           | 157                                          |
| 5,477                 |                                            | 5,564                                           | -87                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 132                                                                                       |
|                                                                                             |                                      |                                               | -150                                                                                      |
|                                                                                             |                                      |                                               | -293                                                                                      |
|                                                                                             |                                      |                                               | 718                                                                                       |
|                                                                                             |                                      |                                               | -234                                                                                      |
|                                                                                             |                                      |                                               | 75                                                                                        |
|                                                                                             |                                      |                                               | 89                                                                                        |
|                                                                                             |                                      |                                               | 249                                                                                       |
|                                                                                             |                                      |                                               | 157                                                                                       |
|                                                                                             |                                      |                                               | -87                                                                                       |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| JOHNSON CTLS-INC EXCHANGED FOR 83570 S, 478366107                                                                                    | P                                               | 2016-08-22                              | 2016-09-06                          |
| JOHNSON CONTROLS INTERNATIONAL PLC COM U, JCI, G51502105                                                                             | P                                               | 2016-09-06                              | 2016-09-07                          |
| JOHNSON CONTROLS INTERNATIONAL PLC COM U, JCI, G51502105                                                                             | P                                               | 2016-09-08                              | 2016-09-08                          |
| JOHNSON CTLS-INC EXCHANGED FOR 83570 S, 478366107                                                                                    | P                                               | 2016-08-22                              | 2016-09-08                          |
| HD SUPPLY HLDGS INC COM, HDS, 40416M105                                                                                              | P                                               | 2016-08-01                              | 2016-09-12                          |
| HD SUPPLY HLDGS INC COM, HDS, 40416M105                                                                                              | P                                               | 2016-09-02                              | 2016-09-12                          |
| BERKSHIRE HATHAWAY INC DEL CL B NEW, BRKB, 084670702                                                                                 | P                                               | 2016-08-01                              | 2016-09-13                          |
| BERKSHIRE HATHAWAY INC DEL CL B NEW, BRKB, 084670702                                                                                 | P                                               | 2016-09-02                              | 2016-09-13                          |
| INTL BUSINESS MACH, IBM, 459200101                                                                                                   | P                                               | 2016-08-01                              | 2016-09-13                          |
| JPMORGAN CHASE & CO, JPM, 46625H100                                                                                                  | P                                               | 2016-08-01                              | 2016-09-13                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 5,972                 |                                            | 6,043                                           | -71                                          |
| 32                    |                                            | 30                                              | 2                                            |
| 1                     |                                            |                                                 | 1                                            |
| 263                   |                                            | 278                                             | -15                                          |
| 5,830                 |                                            | 6,905                                           | -1,075                                       |
| 211                   |                                            | 257                                             | -46                                          |
| 4,826                 |                                            | 4,744                                           | 82                                           |
| 731                   |                                            | 754                                             | -23                                          |
| 1,563                 |                                            | 1,607                                           | -44                                          |
| 5,930                 |                                            | 5,735                                           | 195                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | -71                                                                                          |
|                                                                                             |                                      |                                               | 2                                                                                            |
|                                                                                             |                                      |                                               | 1                                                                                            |
|                                                                                             |                                      |                                               | -15                                                                                          |
|                                                                                             |                                      |                                               | -1,075                                                                                       |
|                                                                                             |                                      |                                               | -46                                                                                          |
|                                                                                             |                                      |                                               | 82                                                                                           |
|                                                                                             |                                      |                                               | -23                                                                                          |
|                                                                                             |                                      |                                               | -44                                                                                          |
|                                                                                             |                                      |                                               | 195                                                                                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| JPMORGAN CHASE & CO, JPM, 46625H100                                                                                                  | P                                               | 2016-09-02                              | 2016-09-13                          |
| ORACLE CORP COM, ORCL, 68389X105                                                                                                     | P                                               | 2016-08-01                              | 2016-09-19                          |
| ORACLE CORP COM, ORCL, 68389X105                                                                                                     | P                                               | 2016-08-01                              | 2016-09-19                          |
| ORACLE CORP COM, ORCL, 68389X105                                                                                                     | P                                               | 2016-09-02                              | 2016-09-19                          |
| ADVANSIX INC COM, ASIX, 00773T101                                                                                                    | P                                               | 2016-08-01                              | 2016-10-06                          |
| ADVANSIX INC COM, ASIX, 00773T101                                                                                                    | P                                               | 2016-09-02                              | 2016-10-06                          |
| ADIENT PLC COM USD0 001, ADNT, G0084W101                                                                                             | P                                               | 2016-10-31                              | 2016-11-03                          |
| OCCIDENTAL PETROLEUMCORP, OXY, 674599105                                                                                             | P                                               | 2016-08-01                              | 2016-12-09                          |
| OCCIDENTAL PETROLEUMCORP, OXY, 674599105                                                                                             | P                                               | 2016-09-02                              | 2016-12-09                          |
| OCCIDENTAL PETROLEUMCORP, OXY, 674599105                                                                                             | P                                               | 2016-11-15                              | 2016-12-09                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 988                   |                                            | 1,013                                           | -25                                          |
| 2,821                 |                                            | 2,954                                           | -133                                         |
| 3,725                 |                                            | 3,897                                           | -172                                         |
| 509                   |                                            | 536                                             | -27                                          |
| 4                     |                                            | 4                                               | 0                                            |
|                       |                                            |                                                 | 0                                            |
| 36                    |                                            | 37                                              | -1                                           |
| 6,619                 |                                            | 6,911                                           | -292                                         |
| 282                   |                                            | 310                                             | -28                                          |
| 6,830                 |                                            | 6,632                                           | 198                                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | -25                                                                                          |
|                                                                                             |                                      |                                               | -133                                                                                         |
|                                                                                             |                                      |                                               | -172                                                                                         |
|                                                                                             |                                      |                                               | -27                                                                                          |
|                                                                                             |                                      |                                               | 0                                                                                            |
|                                                                                             |                                      |                                               | 0                                                                                            |
|                                                                                             |                                      |                                               | -1                                                                                           |
|                                                                                             |                                      |                                               | -292                                                                                         |
|                                                                                             |                                      |                                               | -28                                                                                          |
|                                                                                             |                                      |                                               | 198                                                                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| ALPHABET INC CAP STKCL A, GOOGL, 02079K305                                                                                           | P                                               | 2016-08-01                              | 2016-12-15                          |
| FACEBOOK INC COM USD0 000006 CL A, FB, 30303M102                                                                                     | P                                               | 2016-08-01                              | 2016-12-15                          |
| FACEBOOK INC COM USD0 000006 CL A, FB, 30303M102                                                                                     | P                                               | 2016-09-02                              | 2016-12-15                          |
| ACCENTURE PLC CLS A USD0 0000225, ACN, G1151C101                                                                                     | P                                               | 2015-10-15                              | 2016-07-29                          |
| ACCENTURE PLC CLS A USD0 0000225, ACN, G1151C101                                                                                     | P                                               | 2016-03-15                              | 2016-07-29                          |
| ALLSTATE CORP, ALL, 020002101                                                                                                        | P                                               | 2016-03-17                              | 2016-07-29                          |
| AMERICAN ELEC PWR CO, AEP, 025537101                                                                                                 | P                                               | 2016-03-15                              | 2016-07-29                          |
| APACHE CORP, APA, 037411105                                                                                                          | P                                               | 2016-03-15                              | 2016-07-29                          |
| AUTOMATIC DATA PROCESSING INC, ADP, 053015103                                                                                        | P                                               | 2016-03-15                              | 2016-07-29                          |
| CATERPILLAR INC, CAT, 149123101                                                                                                      | P                                               | 2016-03-15                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 13,037                |                                            | 12,841                                          | 196                                          |
| 10,104                |                                            | 10,410                                          | -306                                         |
| 722                   |                                            | 759                                             | -37                                          |
| 16,837                |                                            | 15,262                                          | 1,575                                        |
| 32,995                |                                            | 31,307                                          | 1,688                                        |
| 38,307                |                                            | 37,405                                          | 902                                          |
| 24,777                |                                            | 23,006                                          | 1,771                                        |
| 51,151                |                                            | 46,542                                          | 4,609                                        |
| 23,629                |                                            | 23,128                                          | 501                                          |
| 31,904                |                                            | 27,869                                          | 4,035                                        |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 196                                                                                       |
|                                                                                             |                                      |                                               | -306                                                                                      |
|                                                                                             |                                      |                                               | -37                                                                                       |
|                                                                                             |                                      |                                               | 1,575                                                                                     |
|                                                                                             |                                      |                                               | 1,688                                                                                     |
|                                                                                             |                                      |                                               | 902                                                                                       |
|                                                                                             |                                      |                                               | 1,771                                                                                     |
|                                                                                             |                                      |                                               | 4,609                                                                                     |
|                                                                                             |                                      |                                               | 501                                                                                       |
|                                                                                             |                                      |                                               | 4,035                                                                                     |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| EMERSON ELECTRIC CO, EMR, 291011104                                                                                                  | P                                               | 2016-03-15                              | 2016-07-29                          |
| GARMIN LTD COM CHF10 00, GRMN, H2906T109                                                                                             | P                                               | 2016-07-12                              | 2016-07-29                          |
| GOLDMAN SACHS ETF TREQUITY ETF, GSLC, 381430503                                                                                      | P                                               | 2015-12-07                              | 2016-07-29                          |
| GOLDMAN SACHS ETF TREQUITY ETF, GSLC, 381430503                                                                                      | P                                               | 2016-01-06                              | 2016-07-29                          |
| GOLDMAN SACHS GROUP INC, GS, 38141G104                                                                                               | P                                               | 2016-03-15                              | 2016-07-29                          |
| HESS CORP COM, HES, 42809H107                                                                                                        | P                                               | 2016-03-17                              | 2016-07-29                          |
| IVY MUNICIPAL HIGH INCOME CL 1, WYMHX, 466001757                                                                                     | P                                               | 2016-07-27                              | 2016-07-29                          |
| KINDER MORGAN INC COM USD0 01, KMI, 49456B101                                                                                        | P                                               | 2016-03-15                              | 2016-07-29                          |
| LOOMIS SAYLES BOND INSTL, LSBDX, 543495840                                                                                           | P                                               | 2016-07-25                              | 2016-07-29                          |
| MACERICH CO, MAC, 554382101                                                                                                          | P                                               | 2016-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | Depreciation allowed<br>(f) (or allowable) | Cost or other basis<br>(g) plus expense of sale | Gain or (loss)<br>(h) (e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 19,074                |                                            | 17,313                                          | 1,761                                        |
| 24,528                |                                            | 19,929                                          | 4,599                                        |
| 145,680               |                                            | 139,404                                         | 6,276                                        |
| 47,313                |                                            | 43,551                                          | 3,762                                        |
| 29,290                |                                            | 28,061                                          | 1,229                                        |
| 37,402                |                                            | 37,380                                          | 22                                           |
| 113                   |                                            | 113                                             | 0                                            |
| 37,583                |                                            | 33,456                                          | 4,127                                        |
| 350                   |                                            | 365                                             | -15                                          |
| 41,682                |                                            | 37,422                                          | 4,260                                        |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | Adjusted basis<br>(j) as of 12/31/69 | Excess of col (i)<br>(k) over col (j), if any |                                                                                        |
|                                                                                             |                                      |                                               | 1,761                                                                                  |
|                                                                                             |                                      |                                               | 4,599                                                                                  |
|                                                                                             |                                      |                                               | 6,276                                                                                  |
|                                                                                             |                                      |                                               | 3,762                                                                                  |
|                                                                                             |                                      |                                               | 1,229                                                                                  |
|                                                                                             |                                      |                                               | 22                                                                                     |
|                                                                                             |                                      |                                               | 0                                                                                      |
|                                                                                             |                                      |                                               | 4,127                                                                                  |
|                                                                                             |                                      |                                               | -15                                                                                    |
|                                                                                             |                                      |                                               | 4,260                                                                                  |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| MARSH & MCLENNAN COS, MMC, 571748102                                                                                                 | P                                               | 2016-03-15                              | 2016-07-29                          |
| MONDELEZ INTL INC COM, MDLZ, 609207105                                                                                               | P                                               | 2016-03-15                              | 2016-07-29                          |
| MOTOROLA SOLUTIONS INC COM NEW, MSI, 620076307                                                                                       | P                                               | 2015-10-15                              | 2016-07-29                          |
| MOTOROLA SOLUTIONS INC COM NEW, MSI, 620076307                                                                                       | P                                               | 2016-03-15                              | 2016-07-29                          |
| PENTAIR PLC SHS, PNR, G7S00T104                                                                                                      | P                                               | 2016-03-15                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR US REIT ETF, SCHH, 808524847                                                                                     | P                                               | 2016-03-04                              | 2016-07-29                          |
| STATE STR CORP COM, STT, 857477103                                                                                                   | P                                               | 2015-09-25                              | 2016-07-29                          |
| STATE STR CORP COM, STT, 857477103                                                                                                   | P                                               | 2016-03-15                              | 2016-07-29                          |
| TARGET CORP COM, TGT, 87612E106                                                                                                      | P                                               | 2016-03-15                              | 2016-07-29                          |
| UNION PACIFIC CORP, UNP, 907818108                                                                                                   | P                                               | 2015-09-25                              | 2016-07-29                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 26,100                |                                            | 23,394                                          | 2,706                                        |
| 21,302                |                                            | 20,051                                          | 1,251                                        |
| 15,341                |                                            | 15,342                                          | -1                                           |
| 29,988                |                                            | 31,192                                          | -1,204                                       |
| 37,018                |                                            | 29,002                                          | 8,016                                        |
| 110,296               |                                            | 95,645                                          | 14,651                                       |
| 9,117                 |                                            | 9,564                                           | -447                                         |
| 44,143                |                                            | 38,261                                          | 5,882                                        |
| 20,234                |                                            | 21,979                                          | -1,745                                       |
| 10,244                |                                            | 9,538                                           | 706                                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 2,706                                                                                        |
|                                                                                             |                                      |                                               | 1,251                                                                                        |
|                                                                                             |                                      |                                               | -1                                                                                           |
|                                                                                             |                                      |                                               | -1,204                                                                                       |
|                                                                                             |                                      |                                               | 8,016                                                                                        |
|                                                                                             |                                      |                                               | 14,651                                                                                       |
|                                                                                             |                                      |                                               | -447                                                                                         |
|                                                                                             |                                      |                                               | 5,882                                                                                        |
|                                                                                             |                                      |                                               | -1,745                                                                                       |
|                                                                                             |                                      |                                               | 706                                                                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| UNION PACIFIC CORP, UNP, 907818108                                                                                                   | P                                               | 2016-03-15                              | 2016-07-29                          |
| 361 GLOBAL LONG SHORT EQUITY FD CL I, AGAZX, 46141Q873                                                                               | P                                               | 2016-02-18                              | 2016-07-29                          |
| AKRE FOCUS FUND INSTL, AKRIX, 742935125                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| AMERICAN ELEC PWR CO, AEP, 025537101                                                                                                 | P                                               | 2014-08-20                              | 2016-07-29                          |
| AMERICAN ELEC PWR CO, AEP, 025537101                                                                                                 | P                                               | 2015-01-06                              | 2016-07-29                          |
| AU OPTRONICS CORPORATION ADS EACHREPR 10, AUO, 002255107                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| AU OPTRONICS CORPORATION ADS EACHREPR 10, AUO, 002255107                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| AUTOMATIC DATA PROCESSING 1NC, ADP, 053015103                                                                                        | P                                               | 2014-08-20                              | 2016-07-29                          |
| AUTOMATIC DATA PROCESSING 1NC, ADP, 053015103                                                                                        | P                                               | 2015-01-06                              | 2016-07-29                          |
| BOULDER GROWTH &INCOME FD INC COM, BIF, 101507101                                                                                    | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 44,142                |                                            | 37,883                                          | 6,259                                        |
| 121,792               |                                            | 117,225                                         | 4,567                                        |
| 151,778               |                                            | 140,140                                         | 11,638                                       |
| 22,487                |                                            | 16,925                                          | 5,562                                        |
| 3,470                 |                                            | 3,082                                           | 388                                          |
| 5,014                 |                                            | 6,029                                           | -1,015                                       |
| 150                   |                                            | 181                                             | -31                                          |
| 18,101                |                                            | 14,801                                          | 3,300                                        |
| 6,242                 |                                            | 5,840                                           | 402                                          |
| 42,243                |                                            | 43,150                                          | -907                                         |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 6,259                                                                                     |
|                                                                                             |                                      |                                               | 4,567                                                                                     |
|                                                                                             |                                      |                                               | 11,638                                                                                    |
|                                                                                             |                                      |                                               | 5,562                                                                                     |
|                                                                                             |                                      |                                               | 388                                                                                       |
|                                                                                             |                                      |                                               | -1,015                                                                                    |
|                                                                                             |                                      |                                               | -31                                                                                       |
|                                                                                             |                                      |                                               | 3,300                                                                                     |
|                                                                                             |                                      |                                               | 402                                                                                       |
|                                                                                             |                                      |                                               | -907                                                                                      |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| CATERPILLAR INC, CAT, 149123101                                                                                                      | P                                               | 2014-08-20                              | 2016-07-29                          |
| CATERPILLAR INC, CAT, 149123101                                                                                                      | P                                               | 2015-01-06                              | 2016-07-29                          |
| CDK GLOBAL INC COM USD0 01, CDK, 12508E101                                                                                           | P                                               | 2014-08-20                              | 2016-07-29                          |
| COBALT INTERNATIONALENERGY INC COM USD0 , CIE, 19075F106                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| COBALT INTERNATIONALENERGY INC COM USD0 , CIE, 19075F106                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| EATON VANCE TAX MNGED BUY WRIT COM, ETB, 27828X100                                                                                   | P                                               | 2015-03-17                              | 2016-07-29                          |
| EATON VANCE TAX MNGED BUY WRIT COM, ETB, 27828X100                                                                                   | P                                               | 2015-03-17                              | 2016-07-29                          |
| EMERSON ELECTRIC CO, EMR, 291011104                                                                                                  | P                                               | 1999-08-13                              | 2016-07-29                          |
| EMERSON ELECTRIC CO, EMR, 291011104                                                                                                  | P                                               | 2014-08-20                              | 2016-07-29                          |
| EMERSON ELECTRIC CO, EMR, 291011104                                                                                                  | P                                               | 2015-01-06                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 13,010                |                                            | 16,927                                          | -3,917                                       |
| 8,535                 |                                            | 8,922                                           | -387                                         |
| 3,864                 |                                            | 2,120                                           | 1,744                                        |
| 580                   |                                            | 3,546                                           | -2,966                                       |
| 290                   |                                            | 1,773                                           | -1,483                                       |
| 15,034                |                                            | 14,562                                          | 472                                          |
| 835                   |                                            | 809                                             | 26                                           |
| 11,187                |                                            | 6,322                                           | 4,865                                        |
| 14,711                |                                            | 16,950                                          | -2,239                                       |
| 6,265                 |                                            | 6,771                                           | -506                                         |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                   |                                            | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|-----------------------------------|--------------------------------------------|----------------------------------------------------------------------------------------|
| (i) 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 |                                                                                        |
|                                                                                             |                                   |                                            | -3,917                                                                                 |
|                                                                                             |                                   |                                            | -387                                                                                   |
|                                                                                             |                                   |                                            | 1,744                                                                                  |
|                                                                                             |                                   |                                            | -2,966                                                                                 |
|                                                                                             |                                   |                                            | -1,483                                                                                 |
|                                                                                             |                                   |                                            | 472                                                                                    |
|                                                                                             |                                   |                                            | 26                                                                                     |
|                                                                                             |                                   |                                            | 4,865                                                                                  |
|                                                                                             |                                   |                                            | -2,239                                                                                 |
|                                                                                             |                                   |                                            | -506                                                                                   |



Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| ENTERPRISE PRODUCTS PPTNS LP, EPD, 293792107                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FIRST EAGLE OVERSEAS CLASS I, SGOIX, 32008F200                                                                                       | P                                               | 2015-03-17                              | 2016-07-29                          |
| FIRST EAGLE OVERSEAS CLASS I, SGOIX, 32008F200                                                                                       | P                                               | 2015-03-17                              | 2016-07-29                          |
| FIRST TR EXCHANGE TRADED FD VI DORSEY WR, FV, 33738R605                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| FIRST TR EXCHANGE TRADED FD VI DORSEY WR, FV, 33738R605                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 57,053                |                                            | 63,468                                          | -6,415                                       |
| 119,190               |                                            | 113,027                                         | 6,163                                        |
| 55,713                |                                            | 52,832                                          | 2,881                                        |
| 41,892                |                                            | 44,017                                          | -2,125                                       |
| 18,161                |                                            | 19,082                                          | -921                                         |
| 7,725                 |                                            | 10,575                                          | -2,850                                       |
| 7,725                 |                                            | 10,575                                          | -2,850                                       |
| 5,150                 |                                            | 7,050                                           | -1,900                                       |
| 5,150                 |                                            | 7,050                                           | -1,900                                       |
| 2,055                 |                                            | 2,813                                           | -758                                         |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                        |
|                                                                                             |                                      |                                               | -6,415                                                                                 |
|                                                                                             |                                      |                                               | 6,163                                                                                  |
|                                                                                             |                                      |                                               | 2,881                                                                                  |
|                                                                                             |                                      |                                               | -2,125                                                                                 |
|                                                                                             |                                      |                                               | -921                                                                                   |
|                                                                                             |                                      |                                               | -2,850                                                                                 |
|                                                                                             |                                      |                                               | -2,850                                                                                 |
|                                                                                             |                                      |                                               | -1,900                                                                                 |
|                                                                                             |                                      |                                               | -1,900                                                                                 |
|                                                                                             |                                      |                                               | -758                                                                                   |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| FRONTIER COMMUNICATIONS CORP, FTR, 35906A108                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| GOLDMAN SACHS GROUP INC, GS, 38141G104                                                                                               | P                                               | 2014-08-20                              | 2016-07-29                          |
| GOLDMAN SACHS GROUP INC, GS, 38141G104                                                                                               | P                                               | 2015-01-06                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 1,030                 |                                            | 1,410                                           | -380                                         |
| 515                   |                                            | 705                                             | -190                                         |
| 515                   |                                            | 705                                             | -190                                         |
| 515                   |                                            | 705                                             | -190                                         |
| 510                   |                                            | 698                                             | -188                                         |
| 5                     |                                            | 7                                               | -2                                           |
| 5                     |                                            | 7                                               | -2                                           |
| 15,441                |                                            | 16,835                                          | -1,394                                       |
| 3,820                 |                                            | 4,472                                           | -652                                         |
| 3,517                 |                                            | 3,812                                           | -295                                         |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | -380                                                                                      |
|                                                                                             |                                      |                                               | -190                                                                                      |
|                                                                                             |                                      |                                               | -190                                                                                      |
|                                                                                             |                                      |                                               | -190                                                                                      |
|                                                                                             |                                      |                                               | -188                                                                                      |
|                                                                                             |                                      |                                               | -2                                                                                        |
|                                                                                             |                                      |                                               | -2                                                                                        |
|                                                                                             |                                      |                                               | -1,394                                                                                    |
|                                                                                             |                                      |                                               | -652                                                                                      |
|                                                                                             |                                      |                                               | -295                                                                                      |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | Depreciation allowed<br>(f) (or allowable) | Cost or other basis<br>(g) plus expense of sale | Gain or (loss)<br>(h) (e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 3,517                 |                                            | 3,812                                           | -295                                         |
| 2,814                 |                                            | 3,049                                           | -235                                         |
| 1,407                 |                                            | 1,525                                           | -118                                         |
| 1,407                 |                                            | 1,525                                           | -118                                         |
| 1,407                 |                                            | 1,525                                           | -118                                         |
| 1,407                 |                                            | 1,525                                           | -118                                         |
| 1,407                 |                                            | 1,525                                           | -118                                         |
| 1,407                 |                                            | 1,525                                           | -118                                         |
| 1,407                 |                                            | 1,525                                           | -118                                         |
| 703                   |                                            | 762                                             | -59                                          |
| 703                   |                                            | 762                                             | -59                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | Adjusted basis<br>(j) as of 12/31/69 | Excess of col (i)<br>(k) over col (j), if any |                                                                                        |
|                                                                                             |                                      |                                               | -295                                                                                   |
|                                                                                             |                                      |                                               | -235                                                                                   |
|                                                                                             |                                      |                                               | -118                                                                                   |
|                                                                                             |                                      |                                               | -118                                                                                   |
|                                                                                             |                                      |                                               | -118                                                                                   |
|                                                                                             |                                      |                                               | -118                                                                                   |
|                                                                                             |                                      |                                               | -118                                                                                   |
|                                                                                             |                                      |                                               | -59                                                                                    |
|                                                                                             |                                      |                                               | -59                                                                                    |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| HPINCCOM HPQ, 40434L105                                                                                                              | P                                               | 2015-03-17                              | 2016-07-29                          |
| IVY MUNICIPAL HIGH INCOME CL I, WYMHX, 466001757                                                                                     | P                                               | 2015-03-17                              | 2016-07-29                          |
| JOHCM INTERNATIONAL SELECT FUND CL I, JOHIX, 00770G847                                                                               | P                                               | 2015-03-17                              | 2016-07-29                          |
| KFFI FY SMALL CAP DIWALUE FUND CL I, KSDIX, 487300873                                                                                | P                                               | 2015-03-17                              | 2016-07-29                          |
| KINDER MORGAN INC COM USD0 01, KMI, 49456B101                                                                                        | P                                               | 2011-02-17                              | 2016-07-29                          |
| KINDER MORGAN INC COM USD0 01, KMI, 49456B101                                                                                        | P                                               | 2014-11-12                              | 2016-07-29                          |
| KINDER MORGAN INC COM USD0 01, KMI, 49456B101                                                                                        | P                                               | 2015-01-06                              | 2016-07-29                          |
| KINDER MORGAN INC COM USD0 01, KMI, 49456B101                                                                                        | P                                               | 2015-03-17                              | 2016-07-29                          |
| KRATOS DEFENSE &SEC SOLUTIONS COM NEW, KTOS, 50077B207                                                                               | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | Depreciation allowed<br>(f) (or allowable) | Cost or other basis<br>(g) plus expense of sale | Gain or (loss)<br>(h) (e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 703                   |                                            | 762                                             | -59                                          |
| 703                   |                                            | 762                                             | -59                                          |
| 324,357               |                                            | 319,554                                         | 4,803                                        |
| 175,263               |                                            | 184,880                                         | -9,617                                       |
| 86,355                |                                            | 91,101                                          | -4,746                                       |
| 2,530                 |                                            | 3,901                                           | -1,371                                       |
| 8,095                 |                                            | 15,419                                          | -7,324                                       |
| 3,016                 |                                            | 6,102                                           | -3,086                                       |
| 20,542                |                                            | 41,184                                          | -20,642                                      |
| 4,376                 |                                            | 5,300                                           | -924                                         |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | Adjusted basis<br>(j) as of 12/31/69 | Excess of col (i)<br>(k) over col (j), if any |                                                                                        |
|                                                                                             |                                      |                                               | -59                                                                                    |
|                                                                                             |                                      |                                               | -59                                                                                    |
|                                                                                             |                                      |                                               | 4,803                                                                                  |
|                                                                                             |                                      |                                               | -9,617                                                                                 |
|                                                                                             |                                      |                                               | -4,746                                                                                 |
|                                                                                             |                                      |                                               | -1,371                                                                                 |
|                                                                                             |                                      |                                               | -7,324                                                                                 |
|                                                                                             |                                      |                                               | -3,086                                                                                 |
|                                                                                             |                                      |                                               | -20,642                                                                                |
|                                                                                             |                                      |                                               | -924                                                                                   |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| KRATOS DEFENSE &SEC SOLUTIONS COM NEW, KTOS, 50077B207                                                                               | P                                               | 2015-03-17                              | 2016-07-29                          |
| KRATOS DEFENSE &SEC SOLUTIONS COM NEW, KTOS, 50077B207                                                                               | P                                               | 2015-03-17                              | 2016-07-29                          |
| LOOMIS SAYLES BOND INSTL, LSBDX, 543495840                                                                                           | P                                               | 2015-03-17                              | 2016-07-29                          |
| LOOMIS SAYLES BOND INSTL, LSBDX, 543495840                                                                                           | P                                               | 2015-03-17                              | 2016-07-29                          |
| MARSH & MCLENNAN COS, MMC, 571748102                                                                                                 | P                                               | 2014-08-20                              | 2016-07-29                          |
| MARSH & MCLENNAN COS, MMC, 571748102                                                                                                 | P                                               | 2015-01-06                              | 2016-07-29                          |
| MONDELEZ INTL INC COM, MDLZ, 609207105                                                                                               | P                                               | 2014-08-20                              | 2016-07-29                          |
| MONDELEZ INTL INC COM, MDLZ, 609207105                                                                                               | P                                               | 2015-01-06                              | 2016-07-29                          |
| NOW INC COM, DNOW, 67011P100                                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| NOW INC COM, DNOW, 67011P100                                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 3,829                 |                                            | 4,638                                           | -809                                         |
| 547                   |                                            | 663                                             | -116                                         |
| 155,131               |                                            | 162,081                                         | -6,950                                       |
| 148,241               |                                            | 154,865                                         | -6,624                                       |
| 21,420                |                                            | 16,931                                          | 4,489                                        |
| 5,075                 |                                            | 4,354                                           | 721                                          |
| 20,598                |                                            | 16,754                                          | 3,844                                        |
| 6,998                 |                                            | 5,762                                           | 1,236                                        |
| 5,474                 |                                            | 6,369                                           | -895                                         |
| 912                   |                                            | 1,062                                           | -150                                         |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | -809                                                                                         |
|                                                                                             |                                      |                                               | -116                                                                                         |
|                                                                                             |                                      |                                               | -6,950                                                                                       |
|                                                                                             |                                      |                                               | -6,624                                                                                       |
|                                                                                             |                                      |                                               | 4,489                                                                                        |
|                                                                                             |                                      |                                               | 721                                                                                          |
|                                                                                             |                                      |                                               | 3,844                                                                                        |
|                                                                                             |                                      |                                               | 1,236                                                                                        |
|                                                                                             |                                      |                                               | -895                                                                                         |
|                                                                                             |                                      |                                               | -150                                                                                         |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| NOW INC COM, DNOW, 67011P100                                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| OASIS PETROLEUM INC COM USD0 01, OAS, 674215108                                                                                      | P                                               | 2015-03-17                              | 2016-07-29                          |
| OASIS PETROLEUM INC COM USD0 01, OAS, 674215108                                                                                      | P                                               | 2015-03-17                              | 2016-07-29                          |
| OASIS PETROLEUM INC COM USD0 01, OAS, 674215108                                                                                      | P                                               | 2015-03-17                              | 2016-07-29                          |
| PENTAIR PLC SHS, PNR, G7S00T104                                                                                                      | P                                               | 2014-08-20                              | 2016-07-29                          |
| PENTAIR PLC SHS, PNR, G7S00T104                                                                                                      | P                                               | 2015-01-06                              | 2016-07-29                          |
| POWERSHARES ETF TRADED FD TR, PHO, 73935X575                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| POWERSHARES ETF TRADED FD TR, PHO, 73935X575                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| POWERSHARES ETF TRADED FD TR, PHO, 73935X575                                                                                         | P                                               | 2015-03-17                              | 2016-07-29                          |
| SANDRIDGE ENERGY INCCOM, 80007P307                                                                                                   | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | Depreciation allowed<br>(f) (or allowable) | Cost or other basis<br>(g) plus expense of sale | Gain or (loss)<br>(h) (e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 912                   |                                            | 1,062                                           | -150                                         |
| 3,749                 |                                            | 6,601                                           | -2,852                                       |
| 2,250                 |                                            | 3,961                                           | -1,711                                       |
| 1,500                 |                                            | 2,641                                           | -1,141                                       |
| 15,488                |                                            | 16,919                                          | -1,431                                       |
| 7,134                 |                                            | 7,130                                           | 4                                            |
| 24,480                |                                            | 24,807                                          | -327                                         |
| 12,240                |                                            | 12,404                                          | -164                                         |
| 12,240                |                                            | 12,404                                          | -164                                         |
| 39                    |                                            | 6,863                                           | -6,824                                       |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | Adjusted basis<br>(j) as of 12/31/69 | Excess of col (i)<br>(k) over col (j), if any |                                                                                        |
|                                                                                             |                                      |                                               | -150                                                                                   |
|                                                                                             |                                      |                                               | -2,852                                                                                 |
|                                                                                             |                                      |                                               | -1,711                                                                                 |
|                                                                                             |                                      |                                               | -1,141                                                                                 |
|                                                                                             |                                      |                                               | -1,431                                                                                 |
|                                                                                             |                                      |                                               | 4                                                                                      |
|                                                                                             |                                      |                                               | -327                                                                                   |
|                                                                                             |                                      |                                               | -164                                                                                   |
|                                                                                             |                                      |                                               | -164                                                                                   |
|                                                                                             |                                      |                                               | -6,824                                                                                 |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| SANDRIDGE ENERGY INCCOM, 80007P307                                                                                                   | P                                               | 2015-03-17                              | 2016-07-29                          |
| SANDRIDGE ENERGY INCCOM, 80007P307                                                                                                   | P                                               | 2015-03-17                              | 2016-07-29                          |
| SANDRIDGE ENERGY INCCOM, 80007P307                                                                                                   | P                                               | 2015-03-17                              | 2016-07-29                          |
| SANDRIDGE ENERGY INCCOM, 80007P307                                                                                                   | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR INTL EQUITY ETF SCHF, 808524805                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR INTL EQUITY ETF SCHF, 808524805                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR INTL EQUITY ETF SCHF, 808524805                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR INTL EQUITY ETF SCHF, 808524805                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR INTL EQUITY ETF SCHF, 808524805                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR INTL EQUITY ETF SCHF, 808524805                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR US LARGE-CAP GROWTH, SCHG, 808524300                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 17                    |                                            | 3,050                                           | -3,033                                       |
| 13                    |                                            | 2,288                                           | -2,275                                       |
| 4                     |                                            | 763                                             | -759                                         |
| 4                     |                                            | 763                                             | -759                                         |
| 40,355                |                                            | 42,752                                          | -2,397                                       |
| 35,557                |                                            | 37,670                                          | -2,113                                       |
| 33,723                |                                            | 35,727                                          | -2,004                                       |
| 24,975                |                                            | 26,459                                          | -1,484                                       |
| 12,981                |                                            | 13,753                                          | -772                                         |
| 58,412                |                                            | 57,330                                          | 1,082                                        |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | -3,033                                                                                    |
|                                                                                             |                                      |                                               | -2,275                                                                                    |
|                                                                                             |                                      |                                               | -759                                                                                      |
|                                                                                             |                                      |                                               | -759                                                                                      |
|                                                                                             |                                      |                                               | -2,397                                                                                    |
|                                                                                             |                                      |                                               | -2,113                                                                                    |
|                                                                                             |                                      |                                               | -2,004                                                                                    |
|                                                                                             |                                      |                                               | -1,484                                                                                    |
|                                                                                             |                                      |                                               | -772                                                                                      |
|                                                                                             |                                      |                                               | 1,082                                                                                     |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| Schwab Strategic Tr US Large-Cap Growth, SCHG, 808524300                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| Schwab Strategic Tr US Large-Cap Growth, SCHG, 808524300                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| Schwab Strategic Tr US Large-Cap Growth, SCHG, 808524300                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| Schwab Strategic Tr US Large-Cap Growth, SCHG, 808524300                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| Schwab Strategic Tr US Mid-Cap 11 H SCHM, 808524508                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| Schwab Strategic Tr US Mid-Cap 11 H SCHM, 808524508                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| Schwab Strategic Tr US Mid-Cap 11 H SCHM, 808524508                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| Schwab Strategic Tr US Mid-Cap 11 H SCHM, 808524508                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| Schwab Strategic Tr US Mid-Cap 11 H SCHM, 808524508                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| Schwab Strategic Tr US REIT ETF, SCHH, 808524847                                                                                     | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 37,747                |                                            | 37,048                                          | 699                                          |
| 34,441                |                                            | 33,803                                          | 638                                          |
| 21,216                |                                            | 20,823                                          | 393                                          |
| 14,327                |                                            | 14,062                                          | 265                                          |
| 76,852                |                                            | 75,141                                          | 1,711                                        |
| 28,683                |                                            | 28,044                                          | 639                                          |
| 28,245                |                                            | 27,616                                          | 629                                          |
| 28,026                |                                            | 27,402                                          | 624                                          |
| 21,457                |                                            | 20,979                                          | 478                                          |
| 18,156                |                                            | 15,980                                          | 2,176                                        |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                   |                                            | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|-----------------------------------|--------------------------------------------|----------------------------------------------------------------------------------------|
| (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 |                                                                                        |
|                                                                                             |                                   |                                            | 699                                                                                    |
|                                                                                             |                                   |                                            | 638                                                                                    |
|                                                                                             |                                   |                                            | 393                                                                                    |
|                                                                                             |                                   |                                            | 265                                                                                    |
|                                                                                             |                                   |                                            | 1,711                                                                                  |
|                                                                                             |                                   |                                            | 639                                                                                    |
|                                                                                             |                                   |                                            | 629                                                                                    |
|                                                                                             |                                   |                                            | 624                                                                                    |
|                                                                                             |                                   |                                            | 478                                                                                    |
|                                                                                             |                                   |                                            | 2,176                                                                                  |



| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| SCHWAB STRATEGIC TR US REIT ETF, SCHH, 808524847                                                                                     | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR US REIT ETF, SCHH, 808524847                                                                                     | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR US REIT ETF, SCHH, 808524847                                                                                     | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR US REIT ETF, SCHH, 808524847                                                                                     | P                                               | 2015-03-17                              | 2016-07-29                          |
| SCHWAB STRATEGIC TR US SMALL-CAP ETF, SCHA, 808524607                                                                                | P                                               | 2015-06-09                              | 2016-07-29                          |
| STATOIL ASA SPONSORED                                                                                                                | P                                               | 2011-02-04                              | 2016-07-29                          |
| STATOIL ASA SPONSORED                                                                                                                | P                                               | 2011-02-04                              | 2016-07-29                          |
| STATOIL ASA SPONSORED                                                                                                                | P                                               | 2015-03-17                              | 2016-07-29                          |
| STATOIL ASA SPONSORED                                                                                                                | P                                               | 2015-03-17                              | 2016-07-29                          |
| STATOIL ASA SPONSORED                                                                                                                | P                                               | 2015-03-17                              | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 18,156                |                                            | 15,980                                          | 2,176                                        |
| 18,156                |                                            | 15,980                                          | 2,176                                        |
| 17,248                |                                            | 15,181                                          | 2,067                                        |
| 16,340                |                                            | 14,382                                          | 1,958                                        |
| 159,346               |                                            | 161,840                                         | -2,494                                       |
| 6,353                 |                                            | 10,020                                          | -3,667                                       |
| 1,588                 |                                            | 2,510                                           | -922                                         |
| 15,882                |                                            | 16,380                                          | -498                                         |
| 7,941                 |                                            | 8,190                                           | -249                                         |
| 7,941                 |                                            | 8,190                                           | -249                                         |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                        |
|                                                                                             |                                      |                                               | 2,176                                                                                  |
|                                                                                             |                                      |                                               | 2,176                                                                                  |
|                                                                                             |                                      |                                               | 2,067                                                                                  |
|                                                                                             |                                      |                                               | 1,958                                                                                  |
|                                                                                             |                                      |                                               | -2,494                                                                                 |
|                                                                                             |                                      |                                               | -3,667                                                                                 |
|                                                                                             |                                      |                                               | -922                                                                                   |
|                                                                                             |                                      |                                               | -498                                                                                   |
|                                                                                             |                                      |                                               | -249                                                                                   |
|                                                                                             |                                      |                                               | -249                                                                                   |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| TARGET CORP COM, TGT, 87612E106                                                                                                      | P                                               | 2014-08-20                              | 2016-07-29                          |
| TARGET CORP COM, TGT, 87612E106                                                                                                      | P                                               | 2015-01-06                              | 2016-07-29                          |
| TIFFANY SCO NEW COM, TIF, 886547108                                                                                                  | P                                               | 2015-03-17                              | 2016-07-29                          |
| TORTOISE ENERGY INFRA CORP COM, TYG, 89147L100                                                                                       | P                                               | 2015-03-17                              | 2016-07-29                          |
| TORTOISE ENERGY INFRA CORP COM, TYG, 89147L100                                                                                       | P                                               | 2015-03-17                              | 2016-07-29                          |
| TYCO INTERNATIONAL PLC EUR1 00, G91442106                                                                                            | P                                               | 2014-08-20                              | 2016-07-29                          |
| UNITED MICROELECTRONICS CORP SPON ADR NE, UMC, 910873405                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| UNITED MICROELECTRONICS CORP SPON ADR NE, UMC, 910873405                                                                             | P                                               | 2015-03-17                              | 2016-07-29                          |
| WISDOMTREE TR SMALLCAP EARNINGS, EES, 97717W562                                                                                      | P                                               | 2015-03-17                              | 2016-07-29                          |
| NATIONAL OILWELL VARCO INC NOV, 637071101                                                                                            | P                                               |                                         | 2016-07-29                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | Depreciation allowed<br>(f) (or allowable) | Cost or other basis<br>(g) plus expense of sale | Gain or (loss)<br>(h) (e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 21,062                |                                            | 16,909                                          | 4,153                                        |
| 1,881                 |                                            | 1,868                                           | 13                                           |
| 32,104                |                                            | 42,593                                          | -10,489                                      |
| 23,194                |                                            | 31,276                                          | -8,082                                       |
| 23,164                |                                            | 31,236                                          | -8,072                                       |
| 17,270                |                                            | 16,974                                          | 296                                          |
| 1,454                 |                                            | 1,907                                           | -453                                         |
| 64                    |                                            | 84                                              | -20                                          |
| 3,322                 |                                            | 3,311                                           | 11                                           |
| 19,362                |                                            |                                                 | 19,362                                       |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I)<br>Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | Adjusted basis<br>(j) as of 12/31/69 | Excess of col (i)<br>(k) over col (j), if any |                                                                                                 |
|                                                                                             |                                      |                                               | 4,153                                                                                           |
|                                                                                             |                                      |                                               | 13                                                                                              |
|                                                                                             |                                      |                                               | -10,489                                                                                         |
|                                                                                             |                                      |                                               | -8,082                                                                                          |
|                                                                                             |                                      |                                               | -8,072                                                                                          |
|                                                                                             |                                      |                                               | 296                                                                                             |
|                                                                                             |                                      |                                               | -453                                                                                            |
|                                                                                             |                                      |                                               | -20                                                                                             |
|                                                                                             |                                      |                                               | 11                                                                                              |
|                                                                                             |                                      |                                               | 19,362                                                                                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| CINCINNATI FINL CORP, CINF, 172062101                                                                                                | P                                               | 2016-08-01                              | 2016-11-30                          |
| CINCINNATI FINL CORP, CINF, 172062101                                                                                                | P                                               | 2016-09-02                              | 2016-11-30                          |
| GENERAL MILLS INC, GIS, 370334104                                                                                                    | P                                               | 2016-03-15                              | 2016-08-04                          |
| GENUINE PARTS CO, GPC, 372460105                                                                                                     | P                                               | 2016-08-01                              | 2016-08-04                          |
| GENUINE PARTS CO, GPC, 372460105                                                                                                     | P                                               | 2016-08-01                              | 2016-08-04                          |
| GENUINE PARTS CO, GPC, 372460105                                                                                                     | P                                               | 2016-08-01                              | 2016-08-05                          |
| GENUINE PARTS CO, GPC, 372460105                                                                                                     | P                                               | 2016-08-01                              | 2016-08-05                          |
| GENUINE PARTS CO, GPC, 372460105                                                                                                     | P                                               | 2016-08-01                              | 2016-08-08                          |
| GLAXOSMITHKLINE ADR EACH CNV INTO 2 ORD, GSK, 37733W105                                                                              | P                                               | 2016-08-01                              | 2016-11-23                          |
| GLAXOSMITHKLINE ADR EACH CNV INTO 2 ORD, GSK, 37733W105                                                                              | P                                               | 2016-08-01                              | 2016-11-23                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 9,698                 |                                            | 9,422                                           | 276                                          |
| 2,386                 |                                            | 2,412                                           | -26                                          |
| 12,012                |                                            | 10,471                                          | 1,541                                        |
| 6,243                 |                                            | 6,309                                           | -66                                          |
| 11,692                |                                            | 11,803                                          | -111                                         |
| 10,167                |                                            | 10,175                                          | -8                                           |
| 12,284                |                                            | 12,312                                          | -28                                          |
| 14,135                |                                            | 14,144                                          | -9                                           |
| 12,438                |                                            | 14,796                                          | -2,358                                       |
| 8,244                 |                                            | 9,818                                           | -1,574                                       |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 276                                                                                          |
|                                                                                             |                                      |                                               | -26                                                                                          |
|                                                                                             |                                      |                                               | 1,541                                                                                        |
|                                                                                             |                                      |                                               | -66                                                                                          |
|                                                                                             |                                      |                                               | -111                                                                                         |
|                                                                                             |                                      |                                               | -8                                                                                           |
|                                                                                             |                                      |                                               | -28                                                                                          |
|                                                                                             |                                      |                                               | -9                                                                                           |
|                                                                                             |                                      |                                               | -2,358                                                                                       |
|                                                                                             |                                      |                                               | -1,574                                                                                       |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| GLAXOSMITHKLINE ADR EACH CNV INTO 2 ORD, GSK, 37733W105                                                                              | P                                               | 2016-08-01                              | 2016-11-23                          |
| MID-AMER APT CMNTYS INC, MAA, 59522J103                                                                                              | P                                               | 2016-08-01                              | 2016-10-07                          |
| MID-AMER APT CMNTYS INC, MAA, 59522J103                                                                                              | P                                               | 2016-08-01                              | 2016-10-07                          |
| MID-AMER APT CMNTYS INC, MAA, 59522J103                                                                                              | P                                               | 2016-09-02                              | 2016-10-07                          |
| OCCIDENTAL PETROLEUMCORP, OXY, 674599105                                                                                             | P                                               | 2016-08-01                              | 2016-11-02                          |
| OCCIDENTAL PETROLEUMCORP, OXY, 674599105                                                                                             | P                                               | 2016-09-02                              | 2016-11-02                          |
| REYNOLDS AMERN INC, RAI, 761713106                                                                                                   | P                                               | 2016-08-01                              | 2016-10-21                          |
| REYNOLDS AMERN INC, RAI, 761713106                                                                                                   | P                                               | 2016-08-01                              | 2016-10-21                          |
| REYNOLDS AMERN INC, RAI, 761713106                                                                                                   | P                                               | 2016-09-02                              | 2016-10-21                          |
| ADVANSIX INC ASIX                                                                                                                    | P                                               | 2016-09-01                              | 2016-11-07                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | Depreciation allowed<br>(f) (or allowable) | Cost or other basis<br>(g) plus expense of sale | Gain or (loss)<br>(h) (e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 12,423                |                                            | 15,096                                          | -2,673                                       |
| 10,697                |                                            | 13,216                                          | -2,519                                       |
| 17,330                |                                            | 21,462                                          | -4,132                                       |
| 1,793                 |                                            | 2,013                                           | -220                                         |
| 8,242                 |                                            | 8,970                                           | -728                                         |
| 2,364                 |                                            | 2,716                                           | -352                                         |
| 13,936                |                                            | 12,859                                          | 1,077                                        |
| 19,697                |                                            | 18,163                                          | 1,534                                        |
| 4,446                 |                                            | 4,157                                           | 289                                          |
| 630                   |                                            | 656                                             | -26                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | Adjusted basis<br>(j) as of 12/31/69 | Excess of col (i)<br>(k) over col (j), if any |                                                                                        |
|                                                                                             |                                      |                                               | -2,673                                                                                 |
|                                                                                             |                                      |                                               | -2,519                                                                                 |
|                                                                                             |                                      |                                               | -4,132                                                                                 |
|                                                                                             |                                      |                                               | -220                                                                                   |
|                                                                                             |                                      |                                               | -728                                                                                   |
|                                                                                             |                                      |                                               | -352                                                                                   |
|                                                                                             |                                      |                                               | 1,077                                                                                  |
|                                                                                             |                                      |                                               | 1,534                                                                                  |
|                                                                                             |                                      |                                               | 289                                                                                    |
|                                                                                             |                                      |                                               | -26                                                                                    |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| ALPHABET INC CLASS                                                                                                                   | P                                               | 2016-09-01                              | 2016-12-09                          |
| AMERICAN EXPRESS CO AXP                                                                                                              | P                                               | 2016-09-01                              | 2016-10-12                          |
| AMERICAN INTL GROUP AIG                                                                                                              | P                                               | 2016-03-15                              | 2016-03-16                          |
| BROADCOM LTD F AVGO                                                                                                                  | P                                               | 2016-09-01                              | 2016-09-07                          |
| BROADCOM LTD F AVGO                                                                                                                  | P                                               | 2016-09-01                              | 2016-10-14                          |
| CENTENECORPICNC                                                                                                                      | P                                               | 2016-09-01                              | 2016-11-15                          |
| CENTENE CORP GNC                                                                                                                     | P                                               | 2016-09-07                              | 2016-11-15                          |
| CENTENE CORP CNC                                                                                                                     | P                                               | 2016-10-04                              | 2016-11-15                          |
| CHARTER COMMUNICATN CLASS                                                                                                            | P                                               | 2016-09-01                              | 2016-11-23                          |
| CHARTER COMMUNICATN CLASS                                                                                                            | P                                               | 2016-09-01                              | 2016-12-09                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 20,115                |                                            | 19,684                                          | 431                                          |
| 56,197                |                                            | 59,643                                          | -3,446                                       |
| 25,029                |                                            | 24,979                                          | 50                                           |
| 21,057                |                                            | 21,910                                          | -853                                         |
| 29,652                |                                            | 30,674                                          | -1,022                                       |
| 73,742                |                                            | 94,620                                          | -20,878                                      |
| 23,703                |                                            | 30,109                                          | -6,406                                       |
| 9,218                 |                                            | 11,226                                          | -2,008                                       |
| 13,579                |                                            | 13,268                                          | 311                                          |
| 13,838                |                                            | 13,268                                          | 570                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 431                                                                                          |
|                                                                                             |                                      |                                               | -3,446                                                                                       |
|                                                                                             |                                      |                                               | 50                                                                                           |
|                                                                                             |                                      |                                               | -853                                                                                         |
|                                                                                             |                                      |                                               | -1,022                                                                                       |
|                                                                                             |                                      |                                               | -20,878                                                                                      |
|                                                                                             |                                      |                                               | -6,406                                                                                       |
|                                                                                             |                                      |                                               | -2,008                                                                                       |
|                                                                                             |                                      |                                               | 311                                                                                          |
|                                                                                             |                                      |                                               | 570                                                                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| HCA HOLDINGS INC HCA                                                                                                                 | P                                               | 2016-09-01                              | 2016-10-04                          |
| HCA HOLDINGS INC HCA                                                                                                                 | P                                               | 2016-09-01                              | 2016-11-09                          |
| HCA HOLDINGS INC HCA                                                                                                                 | P                                               | 2016-09-01                              | 2016-12-09                          |
| MEDTRONIC PLC F MDT                                                                                                                  | P                                               | 2016-09-01                              | 2016-09-07                          |
| MOODYS CORP MCO                                                                                                                      | P                                               | 2016-09-01                              | 2016-09-07                          |
| MOODYS CORP MCO                                                                                                                      | P                                               | 2016-09-01                              | 2016-09-20                          |
| PHILLIPS 66 PSX                                                                                                                      | P                                               | 2015-02-24                              | 2016-01-29                          |
| QUALCOMM INC QCOM                                                                                                                    | P                                               | 2015-07-14                              | 2016-01-20                          |
| TEVA PHARM INDS LTD FADR 1                                                                                                           | P                                               | 2016-03-15                              | 2016-03-16                          |
| TEXAS INSTRUMENTS TXN                                                                                                                | P                                               | 2016-09-01                              | 2016-12-05                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 33,549                |                                            | 33,736                                          | -187                                         |
| 25,111                |                                            | 26,239                                          | -1,128                                       |
| 32,851                |                                            | 33,736                                          | -885                                         |
| 47,398                |                                            | 47,592                                          | -194                                         |
| 41,174                |                                            | 40,314                                          | 860                                          |
| 29,761                |                                            | 29,564                                          | 197                                          |
| 8,260                 |                                            | 8,384                                           | -124                                         |
| 14,004                |                                            | 19,863                                          | -5,859                                       |
| 21,370                |                                            | 22,020                                          | -650                                         |
| 44,089                |                                            | 43,225                                          | 864                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | -187                                                                                         |
|                                                                                             |                                      |                                               | -1,128                                                                                       |
|                                                                                             |                                      |                                               | -885                                                                                         |
|                                                                                             |                                      |                                               | -194                                                                                         |
|                                                                                             |                                      |                                               | 860                                                                                          |
|                                                                                             |                                      |                                               | 197                                                                                          |
|                                                                                             |                                      |                                               | -124                                                                                         |
|                                                                                             |                                      |                                               | -5,859                                                                                       |
|                                                                                             |                                      |                                               | -650                                                                                         |
|                                                                                             |                                      |                                               | 864                                                                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| THERMO FISHER SCNTFC TMO                                                                                                             | P                                               | 2016-09-01                              | 2016-09-07                          |
| THERMO FISHER SCNTFC TMO                                                                                                             | P                                               | 2016-09-01                              | 2016-09-07                          |
| WELLS FARGO BK N A WFC                                                                                                               | P                                               | 2016-09-01                              | 2016-09-07                          |
| WELLS FARGO BK N A WFC                                                                                                               | P                                               | 2016-09-01                              | 2016-11-23                          |
| ABBOTT LABORATORIES ABT                                                                                                              | P                                               | 2014-08-20                              | 2016-03-03                          |
| ABBOTT LABORATORIES ABT                                                                                                              | P                                               | 2015-01-06                              | 2016-03-03                          |
| ABBVIEINC ABBV                                                                                                                       | P                                               | 2014-08-20                              | 2016-01-11                          |
| ABBVIE INC ABBV                                                                                                                      | P                                               | 2015-01-06                              | 2016-01-11                          |
| AMERICAN INTL GROUP AIG                                                                                                              | P                                               | 2014-08-20                              | 2016-03-16                          |
| AMERICAN INTL GROUP AIG                                                                                                              | P                                               | 2015-01-06                              | 2016-03-16                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 11,278                |                                            | 11,298                                          | -20                                          |
| 15,201                |                                            | 15,064                                          | 137                                          |
| 36,053                |                                            | 36,408                                          | -355                                         |
| 58,589                |                                            | 56,495                                          | 2,094                                        |
| 7,799                 |                                            | 8,457                                           | -658                                         |
| 2,600                 |                                            | 3,004                                           | -404                                         |
| 8,145                 |                                            | 8,483                                           | -338                                         |
| 1,587                 |                                            | 1,958                                           | -371                                         |
| 16,332                |                                            | 16,878                                          | -546                                         |
| 5,727                 |                                            | 5,879                                           | -152                                         |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | -20                                                                                       |
|                                                                                             |                                      |                                               | 137                                                                                       |
|                                                                                             |                                      |                                               | -355                                                                                      |
|                                                                                             |                                      |                                               | 2,094                                                                                     |
|                                                                                             |                                      |                                               | -658                                                                                      |
|                                                                                             |                                      |                                               | -404                                                                                      |
|                                                                                             |                                      |                                               | -338                                                                                      |
|                                                                                             |                                      |                                               | -371                                                                                      |
|                                                                                             |                                      |                                               | -546                                                                                      |
|                                                                                             |                                      |                                               | -152                                                                                      |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| HUNTSMAN CORPORATION HUN                                                                                                             | P                                               | 2014-08-20                              | 2016-01-19                          |
| HUNTSMAN CORPORATION HUN                                                                                                             | P                                               | 2015-01-06                              | 2016-01-19                          |
| PHILLIPS 66 PSX                                                                                                                      | P                                               | 2014-08-20                              | 2016-01-29                          |
| TEVA PHARM INDS LTD FADR                                                                                                             | P                                               | 2014-08-20                              | 2016-03-16                          |
| TEVA PHARM INDS LTD FADR 1                                                                                                           | P                                               | 2015-01-06                              | 2016-03-16                          |
| ALPINE GLOBAL PREMIER PR AWP                                                                                                         | P                                               | 2015-03-17                              | 2016-03-04                          |
| CGM REALTY FUND CGMRX                                                                                                                | P                                               |                                         | 2016-03-01                          |
| PUTNAM EQTY SPECTRUM FD CL Y PYSYX                                                                                                   | P                                               |                                         | 2016-02-16                          |
| ALLIANZGI EQUITY & CONV INCOME CUSIP 018829101 SYMBOL NIE                                                                            | P                                               | 2015-02-09                              | 2016-01-26                          |
| BLACKROCK FLOATING RATE INCOME CUSIP 091941104 /SYMBOL BGT                                                                           | P                                               | 2016-01-07                              | 2016-01-26                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 5,070                 |                                            | 16,945                                          | -11,875                                      |
| 3,407                 |                                            | 9,232                                           | -5,825                                       |
| 15,273                |                                            | 16,927                                          | -1,654                                       |
| 17,716                |                                            | 16,969                                          | 747                                          |
| 4,872                 |                                            | 4,877                                           | -5                                           |
| 12,054                |                                            | 15,259                                          | -3,205                                       |
| 71,174                |                                            | 92,790                                          | -21,616                                      |
| 142,545               |                                            | 204,597                                         | -62,052                                      |
| 71,464                |                                            | 86,169                                          | -14,705                                      |
| 13,178                |                                            | 13,586                                          | -408                                         |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | -11,875                                                                                      |
|                                                                                             |                                      |                                               | -5,825                                                                                       |
|                                                                                             |                                      |                                               | -1,654                                                                                       |
|                                                                                             |                                      |                                               | 747                                                                                          |
|                                                                                             |                                      |                                               | -5                                                                                           |
|                                                                                             |                                      |                                               | -3,205                                                                                       |
|                                                                                             |                                      |                                               | -21,616                                                                                      |
|                                                                                             |                                      |                                               | -62,052                                                                                      |
|                                                                                             |                                      |                                               | -14,705                                                                                      |
|                                                                                             |                                      |                                               | -408                                                                                         |



| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| PIMCO INCOME OPPORTUNITY FD/CUSIP 72202B100/SYMBOL PKO                                                                               | P                                               | 2015-12-16                              | 2016-01-26                          |
| NEW IRELAND FUND INCORPORATED CUSIP 645673104 SYMBOL IRL                                                                             | P                                               | 2014-06-10                              | 2016-01-26                          |
| NUVEEN MULTI MKT INCOME FD CUSIP 67075J107 /SYMBOL JMM                                                                               | P                                               | 2014-07-31                              | 2016-01-26                          |
| BLACKROCK FLOATING RATE INCOME CUSIP 091941104 /SYMBOL BGT                                                                           | P                                               | 2016-01-07                              | 2016-01-27                          |
| COHEN & STEERS LIMITED DUR PREFERRED INCORPORATED CUSIP 19248C105<br>SYMBOL L                                                        | P                                               | 2016-01-04                              | 2016-01-27                          |
| MORGAN STANLEY CHINA A SH FD CUSIP 617468103 SYMBOL CAF                                                                              | P                                               |                                         | 2016-01-27                          |
| NUVEEN MUN OPPORTUNITY FD INCORPORATED CUSIP 670984103 SYMBOL<br>NIOOLD                                                              | P                                               | 2015-11-06                              | 2016-01-27                          |
| KKR INCOME OPPORTUNITIES FD CUSIP 48249T106 SYMBOL KIO                                                                               | P                                               | 2016-01-26                              | 2016-01-28                          |
| NUVEEN MUN OPPORTUNITY FD INCORPORATED CUSIP 670984103 SYMBOL<br>NIOOLD                                                              | P                                               | 2015-11-06                              | 2016-01-29                          |
| NUVEEN BUILD AMER BD FD CUSIP 67074C103 SYMBOL NBB                                                                                   | P                                               | 2016-01-29                              | 2016-02-01                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 5,583                 |                                            | 5,964                                           | -381                                         |
| 5,180                 |                                            | 5,632                                           | -452                                         |
| 691                   |                                            | 772                                             | -81                                          |
| 6,007                 |                                            | 6,176                                           | -169                                         |
| 13,671                |                                            | 13,518                                          | 153                                          |
| 49,525                |                                            | 57,461                                          | -7,936                                       |
| 68,540                |                                            | 66,678                                          | 1,862                                        |
| 2,810                 |                                            | 2,773                                           | 37                                           |
| 21,262                |                                            | 20,538                                          | 724                                          |
| 2,088                 |                                            | 2,062                                           | 26                                           |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | -381                                                                                         |
|                                                                                             |                                      |                                               | -452                                                                                         |
|                                                                                             |                                      |                                               | -81                                                                                          |
|                                                                                             |                                      |                                               | -169                                                                                         |
|                                                                                             |                                      |                                               | 153                                                                                          |
|                                                                                             |                                      |                                               | -7,936                                                                                       |
|                                                                                             |                                      |                                               | 1,862                                                                                        |
|                                                                                             |                                      |                                               | 37                                                                                           |
|                                                                                             |                                      |                                               | 724                                                                                          |
|                                                                                             |                                      |                                               | 26                                                                                           |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| GOLDMAN SACHS MLP INCORPORATED OPP FD COM SHS CUSIP 38147W103<br>SYMBOL GMZ                                                          | P                                               |                                         | 2016-02-02                          |
| NUVEEN BUILD AMER BD FD CUSIP 67074C103 SYMBOL NBB                                                                                   | P                                               | 2016-01-29                              | 2016-02-02                          |
| BABSON CAP GLB SHT DURHGH YLD CUSIP 05617T100/ SYMBOL BGHOLDD                                                                        | P                                               | 2016-02-02                              | 2016-02-03                          |
| CALAMOS CONV OPP AND INCORPORATED FD SH BEN INT/ CUSIP 128117108<br>SYMBOL CH                                                        | P                                               | 2016-01-27                              | 2016-02-03                          |
| GUGGENHEIM CR ALLOCATION FD CUSIP 40168G108 SYMBOL GGM                                                                               | P                                               | 2016-02-02                              | 2016-02-03                          |
| CLEARBRIDGE ENERGY MLP OPP FD CUSIP 18469P100 SYMBOL EMO                                                                             | P                                               | 2016-01-05                              | 2016-02-04                          |
| NUVEEN NASDAQ 100 DYNAMIC OVER COM SHS CUSIP 670699107 SYMBOL<br>QQQX                                                                | P                                               | 2016-01-11                              | 2016-02-08                          |
| FRANKLIN UNVL TR SH BEN INT CUSIP 355145103 SYMBOL FT                                                                                | P                                               | 2016-01-06                              | 2016-02-09                          |
| FSTTR NEW OPPORT MLP & ENE FD /CUSIP 33739M100/SYMBOL FPL                                                                            | P                                               | 2016-02-01                              | 2016-02-10                          |
| SWISS HELVETIA FD INCORPORATED CUSIP 870875101 SYMBOL SWZ                                                                            | P                                               | 2015-12-31                              | 2016-02-10                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 79,560                |                                            | 93,929                                          | -14,369                                      |
| 2,094                 |                                            | 2,062                                           | 32                                           |
| 3,094                 |                                            | 3,056                                           | 38                                           |
| 79,521                |                                            | 77,705                                          | 1,816                                        |
| 19                    |                                            | 18                                              | 1                                            |
| 36,004                |                                            | 44,415                                          | -8,411                                       |
| 21,328                |                                            | 22,962                                          | -1,634                                       |
| 4,186                 |                                            | 4,235                                           | -49                                          |
| 12,657                |                                            | 13,290                                          | -633                                         |
| 68                    |                                            | 74                                              | -6                                           |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | -14,369                                                                                      |
|                                                                                             |                                      |                                               | 32                                                                                           |
|                                                                                             |                                      |                                               | 38                                                                                           |
|                                                                                             |                                      |                                               | 1,816                                                                                        |
|                                                                                             |                                      |                                               | 1                                                                                            |
|                                                                                             |                                      |                                               | -8,411                                                                                       |
|                                                                                             |                                      |                                               | -1,634                                                                                       |
|                                                                                             |                                      |                                               | -49                                                                                          |
|                                                                                             |                                      |                                               | -633                                                                                         |
|                                                                                             |                                      |                                               | -6                                                                                           |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| COHEN & STEERS INFRASTRUCTURE/CUSIP 19248A109/SYMBOL UTF                                                                             | P                                               |                                         | 2016-02-12                          |
| GOLDMAN SACHS MLP ENERGY RENAI CUSIP 38148G107 SYMBOL GER                                                                            | P                                               | 2016-02-03                              | 2016-02-12                          |
| CLEARBRIDGE ENERGY MLP FD INCORPORATED CUSIP 184692101 SYMBOL CEM                                                                    | P                                               | 2016-02-12                              | 2016-02-16                          |
| COHEN & STEERS MLP INCORPORATED & ENRGY COM SHS CUSIP 19249B106 SYMBOL MIE                                                           | P                                               | 2016-01-26                              | 2016-02-16                          |
| FIDUCIARY CLAYMORE MLP OPP FD CUSIP 31647Q106 SYMBOL FMO                                                                             | P                                               | 2015-10-01                              | 2016-02-16                          |
| CREDIT SUISSE HIGH YLD BND FD SH BEN INT CUSIP 22544F103 SYMBOL DHY                                                                  | P                                               | 2016-02-02                              | 2016-02-17                          |
| EATON VANCE TAX MNGED BUY WRIT CUSIP 27828X100 SYMBOL ETB                                                                            | P                                               | 2016-01-26                              | 2016-02-17                          |
| FIRST TR MLP & ENERGY INCOME CUSIP 33739B104 SYMBOL FEI                                                                              | P                                               | 2016-01-13                              | 2016-02-17                          |
| FRANKLIN UNVL TR SH BEN INT CUSIP 355145103 SYMBOL FT                                                                                | P                                               | 2016-01-06                              | 2016-02-17                          |
| BLACKROCK MUN INCOME TR SH BEN INT CUSIP 09248F109 SYMBOL BFK                                                                        | P                                               | 2016-02-16                              | 2016-02-18                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 78,830                |                                            | 91,154                                          | -12,324                                      |
| 58,020                |                                            | 70,156                                          | -12,136                                      |
| 78,062                |                                            | 66,737                                          | 11,325                                       |
| 66,011                |                                            | 75,633                                          | -9,622                                       |
| 26,841                |                                            | 43,596                                          | -16,755                                      |
| 7,486                 |                                            | 7,810                                           | -324                                         |
| 12,093                |                                            | 11,525                                          | 568                                          |
| 81,601                |                                            | 78,933                                          | 2,668                                        |
| 5,666                 |                                            | 5,662                                           | 4                                            |
| 46,447                |                                            | 45,760                                          | 687                                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                   |                                            | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|-----------------------------------|--------------------------------------------|----------------------------------------------------------------------------------------|
| (i) 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 |                                                                                        |
|                                                                                             |                                   |                                            | -12,324                                                                                |
|                                                                                             |                                   |                                            | -12,136                                                                                |
|                                                                                             |                                   |                                            | 11,325                                                                                 |
|                                                                                             |                                   |                                            | -9,622                                                                                 |
|                                                                                             |                                   |                                            | -16,755                                                                                |
|                                                                                             |                                   |                                            | -324                                                                                   |
|                                                                                             |                                   |                                            | 568                                                                                    |
|                                                                                             |                                   |                                            | 2,668                                                                                  |
|                                                                                             |                                   |                                            | 4                                                                                      |
|                                                                                             |                                   |                                            | 687                                                                                    |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| BLACKSTONE GSO FLTING RTE FUND CUSIP 09256U105 /SYMBOL BSL                                                                           | P                                               | 2016-02-12                              | 2016-02-18                          |
| FRANKLIN UNVL TR SH BEN INT CUSIP 355145103 SYMBOL FT                                                                                | P                                               | 2016-01-06                              | 2016-02-18                          |
| TEMPLETON GLOBAL INCOME FD CUSIP 880198106 SYMBOL GIM                                                                                | P                                               | 2016-02-08                              | 2016-02-18                          |
| BLACKROCK MUNIYIELD QUALITY FD CUSIP 09254F100 SYMBOL MQY                                                                            | P                                               | 2016-02-18                              | 2016-02-19                          |
| CREDIT SUISSE HIGH YLD BND FD SH BEN INT CUSIP 22544F103 SYMBOL DHY                                                                  | P                                               | 2016-02-02                              | 2016-02-19                          |
| FRANKLIN UNVL TR SH BEN INT CUSIP 355145103 SYMBOL FT                                                                                | P                                               | 2016-01-06                              | 2016-02-19                          |
| TEMPLETON GLOBAL INCOME FD CUSIP 880198106 SYMBOL GIM                                                                                | P                                               | 2016-02-08                              | 2016-02-19                          |
| BLACKROCK LIMITED DURATION INCORPORATED TR COM SHS CUSIP 09249W101 SYMBOL                                                            | P                                               | 2016-02-02                              | 2016-02-22                          |
| BLACKROCK MUNIYIELD QUALITY FD CUSIP 09254F100 SYMBOL MQY                                                                            | P                                               | 2016-02-18                              | 2016-02-22                          |
| NUVEEN CALIFORNIA AMT QLT MUN CUSIP 670651108 SYMBOL NKX                                                                             | P                                               | 2016-02-17                              | 2016-02-22                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h |                                            |                                                 |                                              |
|--------------------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price                                                                      | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
| 1,363                                                                                      |                                            | 1,345                                           | 18                                           |
| 7,432                                                                                      |                                            | 7,372                                           | 60                                           |
| 34,225                                                                                     |                                            | 34,342                                          | -117                                         |
| 2,501                                                                                      |                                            | 2,479                                           | 22                                           |
| 5,978                                                                                      |                                            | 6,099                                           | -121                                         |
| 1,997                                                                                      |                                            | 1,982                                           | 15                                           |
| 33,986                                                                                     |                                            | 34,064                                          | -78                                          |
| 9,525                                                                                      |                                            | 9,706                                           | -181                                         |
| 7,066                                                                                      |                                            | 6,995                                           | 71                                           |
| 15,065                                                                                     |                                            | 14,953                                          | 112                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l  |                                      |                                               |                                                                                        |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                        |
|                                                                                             |                                      |                                               | 18                                                                                     |
|                                                                                             |                                      |                                               | 60                                                                                     |
|                                                                                             |                                      |                                               | -117                                                                                   |
|                                                                                             |                                      |                                               | 22                                                                                     |
|                                                                                             |                                      |                                               | -121                                                                                   |
|                                                                                             |                                      |                                               | 15                                                                                     |
|                                                                                             |                                      |                                               | -78                                                                                    |
|                                                                                             |                                      |                                               | -181                                                                                   |
|                                                                                             |                                      |                                               | 71                                                                                     |
|                                                                                             |                                      |                                               | 112                                                                                    |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| SOURCE CAP INCORPORATED CUSIP 836144105 SYMBOL SOR                                                                                   | P                                               | 2015-12-08                              | 2016-02-22                          |
| WESTERN ASSET CLYM INFL OPP IN CUSIP 95766R104 SYMBOL WIW                                                                            | P                                               | 2015-04-10                              | 2016-02-22                          |
| WESTERN ASSET CLYM INFL SEC IN COM SH BEN INT CUSIP 95766Q106<br>SYMBOL WIA                                                          | P                                               | 2014-08-20                              | 2016-02-22                          |
| DUFF & PHELPS SLCT ENGY MLP FD CUSIP 26433F108 SYMBOL DSE                                                                            | P                                               | 2015-12-28                              | 2016-02-23                          |
| INDIA FD INCORPORATED CUSIP 454089103 SYMBOL IFN                                                                                     | P                                               | 2016-02-19                              | 2016-02-23                          |
| TEMPLETON EMERG MKTS INCOME FD CUSIP 880192109 SYMBOL TEI                                                                            | P                                               | 2016-02-16                              | 2016-02-23                          |
| EATON VANCE TAX MNGD GBL DV EQ CUSIP 27829F108 SYMBOL EXG                                                                            | P                                               | 2016-02-12                              | 2016-02-24                          |
| PIMCO STRATEGIC INCOME FD INCORPORATED /CUSIP 72200X104/SYMBOL<br>RCS                                                                | P                                               | 2016-02-23                              | 2016-02-24                          |
| PIMCO STRATEGIC INCOME FD INCORPORATED /CUSIP 72200X104/SYMBOL<br>RCS                                                                | P                                               | 2016-02-23                              | 2016-02-26                          |
| SOURCE CAP INCORPORATED CUSIP 836144105 SYMBOL SOR                                                                                   | P                                               | 2015-12-08                              | 2016-03-01                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 22,714                |                                            | 22,462                                          | 252                                          |
| 15,292                |                                            | 16,673                                          | -1,381                                       |
| 200                   |                                            | 221                                             | -21                                          |
| 64,423                |                                            | 82,238                                          | -17,815                                      |
| 66,889                |                                            | 66,506                                          | 383                                          |
| 44,494                |                                            | 43,036                                          | 1,458                                        |
| 76,194                |                                            | 72,628                                          | 3,566                                        |
| 18,289                |                                            | 18,003                                          | 286                                          |
| 11,578                |                                            | 11,389                                          | 189                                          |
| 9,506                 |                                            | 9,125                                           | 381                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 252                                                                                          |
|                                                                                             |                                      |                                               | -1,381                                                                                       |
|                                                                                             |                                      |                                               | -21                                                                                          |
|                                                                                             |                                      |                                               | -17,815                                                                                      |
|                                                                                             |                                      |                                               | 383                                                                                          |
|                                                                                             |                                      |                                               | 1,458                                                                                        |
|                                                                                             |                                      |                                               | 3,566                                                                                        |
|                                                                                             |                                      |                                               | 286                                                                                          |
|                                                                                             |                                      |                                               | 189                                                                                          |
|                                                                                             |                                      |                                               | 381                                                                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| SOURCE CAP INCORPORATED CUSIP 836144105 SYMBOL SOR                                                                                   | P                                               | 2015-12-08                              | 2016-03-02                          |
| MORGAN STANLEY INDIA INVS FD CUSIP 61745C105 /SYMBOL IIF                                                                             | P                                               | 2015-11-19                              | 2016-03-03                          |
| PIMCO DYNAMIC INCOME FD SHS CUSIP 72201Y101 SYMBOL PDI                                                                               | P                                               | 2016-02-18                              | 2016-03-03                          |
| NUVEEN GLOBAL HIGH INCOME FD SHS CUSIP 67075G103 SYMBOL JGH                                                                          | P                                               | 2016-03-03                              | 2016-03-04                          |
| STONE HBR EMERG MRKTS INCORPORATED FD /CUSIP 86164T107/ SYMBOL EDF                                                                   | P                                               | 2015-06-19                              | 2016-03-04                          |
| WESTERN ASSET CLYM INFL OPP IN CUSIP 95766R104 SYMBOL WIW                                                                            | P                                               | 2015-04-10                              | 2016-03-07                          |
| COHEN & STEERS TOTAL RETURN FD/CUSIP 19247R103/SYMBOL RFI                                                                            | P                                               | 2016-01-08                              | 2016-03-08                          |
| NUVEEN QUALITY PREFERRED INCORPORATED FD 3 CUSIP 67072W101 SYMBOL JHPOLD                                                             | P                                               | 2016-03-03                              | 2016-03-08                          |
| BLACKROCK TAX MUNICIPAL BD TR SHS CUSIP 09248X100 SYMBOL BBN                                                                         | P                                               | 2016-02-23                              | 2016-03-09                          |
| NUVEEN QUALITY PREFERRED INCOME FD CUSIP 67071S101 /SYMBOL JTPOLD                                                                    | P                                               | 2016-03-03                              | 2016-03-09                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h |                                            |                                                 |                                              |
|--------------------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price                                                                      | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
| 33,730                                                                                     |                                            | 32,225                                          | 1,505                                        |
| 4,778                                                                                      |                                            | 5,024                                           | -246                                         |
| 66,924                                                                                     |                                            | 64,990                                          | 1,934                                        |
| 13                                                                                         |                                            | 13                                              | 0                                            |
| 14,817                                                                                     |                                            | 17,043                                          | -2,226                                       |
| 45,290                                                                                     |                                            | 47,423                                          | -2,133                                       |
| 8,731                                                                                      |                                            | 8,566                                           | 165                                          |
| 9,472                                                                                      |                                            | 9,442                                           | 30                                           |
| 81,034                                                                                     |                                            | 80,000                                          | 1,034                                        |
| 50,540                                                                                     |                                            | 49,995                                          | 545                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l  |                                      |                                               |                                                                                           |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 1,505                                                                                     |
|                                                                                             |                                      |                                               | -246                                                                                      |
|                                                                                             |                                      |                                               | 1,934                                                                                     |
|                                                                                             |                                      |                                               | 0                                                                                         |
|                                                                                             |                                      |                                               | -2,226                                                                                    |
|                                                                                             |                                      |                                               | -2,133                                                                                    |
|                                                                                             |                                      |                                               | 165                                                                                       |
|                                                                                             |                                      |                                               | 30                                                                                        |
|                                                                                             |                                      |                                               | 1,034                                                                                     |
|                                                                                             |                                      |                                               | 545                                                                                       |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| NUVEEN QUALITY PREFERRED INCOME FD CUSIP 670715101 /SYMBOL JTPOLD                                                                    | P                                               | 2016-03-03                              | 2016-03-10                          |
| GAMCO NAT RES GOLD & INCOME TRSH BEN INT/CUSIP 36465E101 /SYMBOL GNT                                                                 | P                                               | 2016-02-17                              | 2016-03-16                          |
| NUVEEN MUN VALUE FD INCORPORATED CUSIP 670928100 SYMBOL NUV                                                                          | P                                               | 2016-03-15                              | 2016-03-16                          |
| ADVENT CLAY CONV SEC INCORPORATED FD II CUSIP 007639107 SYMBOL AGC                                                                   | P                                               | 2015-06-25                              | 2016-03-17                          |
| CALAMOS CONV & HIGH INCOME FD COM SHS CUSIP 12811P108 /SYMBOL CHY                                                                    | P                                               | 2016-02-24                              | 2016-03-17                          |
| NUVEEN QUALITY PREFERRED INCORPORATED FD 3 CUSIP 67072W101 SYMBOL JHPOLD                                                             | P                                               | 2016-03-03                              | 2016-03-18                          |
| INVESCO BD FD CUSIP 46132L107 /SYMBOL VBF                                                                                            | P                                               | 2016-03-15                              | 2016-03-21                          |
| NUVEEN QUALITY PREFERRED INCORPORATED FD 3 CUSIP 67072W101 SYMBOL JHPOLD                                                             | P                                               | 2016-03-03                              | 2016-03-21                          |
| FIDUCIARY CLAYMORE MLP OPP FD CUSIP 31647Q106 SYMBOL FMO                                                                             | P                                               | 2015-10-31                              | 2016-03-22                          |
| GAMCO GLOBAL GOLD NAT RES & IN COM SH BEN INT CUSIP 36465A109 SYMBOL GGN                                                             | P                                               | 2016-02-02                              | 2016-03-23                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 33,477                |                                            | 33,181                                          | 296                                          |
| 35,117                |                                            | 30,783                                          | 4,334                                        |
| 5,192                 |                                            | 5,161                                           | 31                                           |
| 10,634                |                                            | 12,830                                          | -2,196                                       |
| 90,649                |                                            | 78,973                                          | 11,676                                       |
| 11,819                |                                            | 11,728                                          | 91                                           |
| 5,475                 |                                            | 5,352                                           | 123                                          |
| 1,053                 |                                            | 1,046                                           | 7                                            |
| 1,121                 |                                            | 1,716                                           | -595                                         |
| 24,564                |                                            | 18,550                                          | 6,014                                        |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 296                                                                                       |
|                                                                                             |                                      |                                               | 4,334                                                                                     |
|                                                                                             |                                      |                                               | 31                                                                                        |
|                                                                                             |                                      |                                               | -2,196                                                                                    |
|                                                                                             |                                      |                                               | 11,676                                                                                    |
|                                                                                             |                                      |                                               | 91                                                                                        |
|                                                                                             |                                      |                                               | 123                                                                                       |
|                                                                                             |                                      |                                               | 7                                                                                         |
|                                                                                             |                                      |                                               | -595                                                                                      |
|                                                                                             |                                      |                                               | 6,014                                                                                     |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| MADISON CVRED CALL & EQ STR FD CUSIP 557437100 SYMBOL MCN                                                                            | P                                               | 2016-03-18                              | 2016-03-23                          |
| GAMCO GLOBAL GOLD NAT RES & IN COM SH BEN INT CUSIP 36465A109<br>SYMBOL GGN                                                          | P                                               | 2016-02-02                              | 2016-03-24                          |
| COHEN & STEERS REIT & PREFERRED INCM CUSIP 19247X100 SYMBOL RNP                                                                      | P                                               | 2016-01-14                              | 2016-03-28                          |
| COHEN & STEERS REIT & PREFERRED INCM CUSIP 19247X100 SYMBOL RNP                                                                      | P                                               | 2016-01-14                              | 2016-03-29                          |
| NUVEEN CA DIV ADVANTG MUN FD 2 CUSIP 67069X104 SYMBOL NVXOLDD                                                                        | P                                               | 2016-03-09                              | 2016-03-29                          |
| NUVEEN S&P 500 BUY-WRITE INCORPORATED CUSIP 6706ER101 SYMBOL<br>BXXM                                                                 | P                                               | 2016-03-24                              | 2016-03-29                          |
| EATON VANCE TX MINING BY WRT OPP CUSIP 27828Y108 SYMBOL ETV                                                                          | P                                               | 2016-03-28                              | 2016-03-30                          |
| FIRST TR MLP & ENERGY INCOME CUSIP 33739B104 SYMBOL FEI                                                                              | P                                               | 2016-03-29                              | 2016-03-30                          |
| NUVEEN S&P 500 BUY-WRITE INCORPORATED CUSIP 6706ER101 SYMBOL<br>BXXM                                                                 | P                                               | 2016-03-24                              | 2016-03-30                          |
| NUVEEN CONNECTICUT QLTY MUN FD CUSIP 67060D107 SYMBOL NTC                                                                            | P                                               | 2014-07-31                              | 2016-03-30                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 15,561                |                                            | 15,351                                          | 210                                          |
| 78,163                |                                            | 59,795                                          | 18,368                                       |
| 23,657                |                                            | 22,423                                          | 1,234                                        |
| 278                   |                                            | 262                                             | 16                                           |
| 25,448                |                                            | 25,192                                          | 256                                          |
| 34,272                |                                            | 33,740                                          | 532                                          |
| 18,384                |                                            | 18,047                                          | 337                                          |
| 51,899                |                                            | 49,863                                          | 2,036                                        |
| 55,123                |                                            | 53,497                                          | 1,626                                        |
| 2,635                 |                                            | 2,482                                           | 153                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 210                                                                                          |
|                                                                                             |                                      |                                               | 18,368                                                                                       |
|                                                                                             |                                      |                                               | 1,234                                                                                        |
|                                                                                             |                                      |                                               | 16                                                                                           |
|                                                                                             |                                      |                                               | 256                                                                                          |
|                                                                                             |                                      |                                               | 532                                                                                          |
|                                                                                             |                                      |                                               | 337                                                                                          |
|                                                                                             |                                      |                                               | 2,036                                                                                        |
|                                                                                             |                                      |                                               | 1,626                                                                                        |
|                                                                                             |                                      |                                               | 153                                                                                          |



| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| BLACKROCK SCIENCE & TECH TR SHS CUSIP 09258G104 SYMBOL BST                                                                           | P                                               | 2016-02-12                              | 2016-03-31                          |
| BLACKROCK SCIENCE & TECH TR SHS CUSIP 09258G104 SYMBOL BST                                                                           | P                                               | 2016-02-12                              | 2016-04-01                          |
| DUFF & PHELPS GLB UTL INCORPORATED FD CUSIP 26433C105 SYMBOL DPG                                                                     | P                                               | 2016-03-10                              | 2016-04-01                          |
| COHEN & STEERS QUALITY RLTY FD CUSIP 19247L106 SYMBOL RQI                                                                            | P                                               | 2016-02-17                              | 2016-04-04                          |
| NUVEEN ENHANCED MUN VALUE FD CUSIP 67074M101 SYMBOL NEV                                                                              | P                                               | 2016-03-30                              | 2016-04-04                          |
| NUVEEN MUN OPPORTUNITY FD INCORPORATED CUSIP 670984103 SYMBOL NIOOLD                                                                 | P                                               | 2016-03-30                              | 2016-04-05                          |
| COHEN & STEERS LIMITED DUR PREFERRED INCORPORATED CUSIP 19248C105 SYMBOL L                                                           | P                                               | 2016-04-05                              | 2016-04-06                          |
| SOURCE CAP INCORPORATED CUSIP 836144105 SYMBOL SOR                                                                                   | P                                               | 2016-03-16                              | 2016-04-08                          |
| WESTERN ASSET EMRG MKT INCM FD CUSIP 95766E103 SYMBOL                                                                                | P                                               | 2016-04-04                              | 2016-04-08                          |
| BLACKROCK MUN 2030 TAR TERM TR COM SHS BEN IN CUSIP 09257P105 SYMBOL BTT                                                             | P                                               | 2016-04-08                              | 2016-04-11                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 13,914                |                                            | 11,782                                          | 2,132                                        |
| 2,825                 |                                            | 2,396                                           | 429                                          |
| 24,955                |                                            | 23,196                                          | 1,759                                        |
| 67,700                |                                            | 57,366                                          | 10,334                                       |
| 1,607                 |                                            | 1,591                                           | 16                                           |
| 87,490                |                                            | 86,351                                          | 1,139                                        |
| 23,090                |                                            | 22,710                                          | 380                                          |
| 83,882                |                                            | 81,829                                          | 2,053                                        |
| 6,122                 |                                            | 6,076                                           | 46                                           |
| 32,521                |                                            | 32,215                                          | 306                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 2,132                                                                                        |
|                                                                                             |                                      |                                               | 429                                                                                          |
|                                                                                             |                                      |                                               | 1,759                                                                                        |
|                                                                                             |                                      |                                               | 10,334                                                                                       |
|                                                                                             |                                      |                                               | 16                                                                                           |
|                                                                                             |                                      |                                               | 1,139                                                                                        |
|                                                                                             |                                      |                                               | 380                                                                                          |
|                                                                                             |                                      |                                               | 2,053                                                                                        |
|                                                                                             |                                      |                                               | 46                                                                                           |
|                                                                                             |                                      |                                               | 306                                                                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| EATON VANCE TX MINING BY WRT OPP CUSIP 27828Y108 SYMBOL ETV                                                                          | P                                               | 2016-04-04                              | 2016-04-11                          |
| BLACKROCK CORPOR HI YLD FD INCORPORATED CUSIP 09255P107 SYMBOL HYT                                                                   | P                                               | 2016-03-29                              | 2016-04-12                          |
| EATON VANCE TX MINING BY WRT OPP CUSIP 27828Y108 SYMBOL ETV                                                                          | P                                               | 2016-04-04                              | 2016-04-12                          |
| NUVEEN ALL CAP ENE MLP OPPO FD CUSIP 67075E108 SYMBOL JMLP                                                                           | P                                               | 2016-04-11                              | 2016-04-12                          |
| REAVES UTIL INCOME FD COM SH BEN INT/CUSIP 756158101 /SYMBOL UTG                                                                     | P                                               | 2016-03-02                              | 2016-04-12                          |
| COLUMBIA SELIGM PREM TECH GRW CUSIP 19842X109 SYMBOL STK                                                                             | P                                               | 2016-03-21                              | 2016-04-13                          |
| DUFF & PHELPS SLCT ENGY MLP FD CUSIP 26433F108 SYMBOL DSE                                                                            | P                                               | 2016-04-12                              | 2016-04-14                          |
| NEW IRELAND FUND INCORPORATED CUSIP 645673104 SYMBOL IRL                                                                             | P                                               |                                         | 2016-04-15                          |
| NEW IRELAND FUND INCORPORATED CUSIP 645673104 SYMBOL IRL                                                                             | P                                               | 2014-06-10                              | 2016-04-15                          |
| BLACKROCK LIMITED DURATION INCORPORATED TR COM SHS CUSIP 09249W101 SYMBOL                                                            | P                                               | 2016-04-12                              | 2016-04-19                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 34,935                |                                            | 34,641                                          | 294                                          |
| 87,366                |                                            | 85,264                                          | 2,102                                        |
| 44,661                |                                            | 44,288                                          | 373                                          |
| 1,436                 |                                            | 1,348                                           | 88                                           |
| 26,754                |                                            | 24,935                                          | 1,819                                        |
| 22,720                |                                            | 22,406                                          | 314                                          |
| 24,005                |                                            | 23,279                                          | 726                                          |
| 327                   |                                            | 323                                             | 4                                            |
| 1,452                 |                                            | 1,563                                           | -111                                         |
| 1,492                 |                                            | 1,478                                           | 14                                           |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                   |                                            | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|-----------------------------------|--------------------------------------------|----------------------------------------------------------------------------------------|
| (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 |                                                                                        |
|                                                                                             |                                   |                                            | 294                                                                                    |
|                                                                                             |                                   |                                            | 2,102                                                                                  |
|                                                                                             |                                   |                                            | 373                                                                                    |
|                                                                                             |                                   |                                            | 88                                                                                     |
|                                                                                             |                                   |                                            | 1,819                                                                                  |
|                                                                                             |                                   |                                            | 314                                                                                    |
|                                                                                             |                                   |                                            | 726                                                                                    |
|                                                                                             |                                   |                                            | 4                                                                                      |
|                                                                                             |                                   |                                            | -111                                                                                   |
|                                                                                             |                                   |                                            | 14                                                                                     |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| TEKLA HEALTHCARE OPPORTUNIT FD SHS CUSIP 879105104 SYMBOL THQ                                                                        | P                                               | 2016-03-07                              | 2016-04-19                          |
| CALAMOS STRATEGIC TOTL RETN FD COM SH BEN INT/CUSIP 128125101<br>SYMBOL CSQ                                                          | P                                               | 2016-03-17                              | 2016-04-20                          |
| MORGAN STANLEY EM MKTS DM DEBT /CUSIP 617477104/SYMBOL EDD                                                                           | P                                               | 2016-02-16                              | 2016-04-20                          |
| WESTERN ASSET INVT GRADE DEFIN CUSIP 95790A101 SYMBOL IGI                                                                            | P                                               | 2016-04-13                              | 2016-04-20                          |
| FSTTR NEW OPPORT MLP & ENE FD /CUSIP 33739M100/SYMBOL FPL                                                                            | P                                               | 2016-04-08                              | 2016-04-21                          |
| WESTERN ASSET INVT GRADE DEFIN CUSIP 95790A101 SYMBOL IGI                                                                            | P                                               | 2016-04-13                              | 2016-04-21                          |
| BLACKROCK SCIENCE & TECH TR SHS CUSIP 09258G104 SYMBOL BST                                                                           | P                                               | 2016-04-12                              | 2016-04-25                          |
| ALLIANZGI CONV & INCOME FD CUSIP 018828103 SYMBOL NCV                                                                                | P                                               | 2015-11-16                              | 2016-04-26                          |
| BLACKROCK ENH CAP & INCORPORATED FD INCORPORATED CUSIP 09256A109<br>SYMBOL CL                                                        | P                                               | 2016-02-02                              | 2016-04-26                          |
| BLACKROCK SCIENCE & TECH TR SHS CUSIP 09258G104 SYMBOL BST                                                                           | P                                               | 2016-04-12                              | 2016-04-26                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 39,260                |                                            | 38,186                                          | 1,074                                        |
| 20,170                |                                            | 18,994                                          | 1,176                                        |
| 70,524                |                                            | 58,167                                          | 12,357                                       |
| 5,337                 |                                            | 5,248                                           | 89                                           |
| 22,078                |                                            | 20,269                                          | 1,809                                        |
| 26,291                |                                            | 25,743                                          | 548                                          |
| 19,615                |                                            | 19,388                                          | 227                                          |
| 763                   |                                            | 751                                             | 12                                           |
| 4,095                 |                                            | 3,733                                           | 362                                          |
| 13,135                |                                            | 12,872                                          | 263                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 1,074                                                                                        |
|                                                                                             |                                      |                                               | 1,176                                                                                        |
|                                                                                             |                                      |                                               | 12,357                                                                                       |
|                                                                                             |                                      |                                               | 89                                                                                           |
|                                                                                             |                                      |                                               | 1,809                                                                                        |
|                                                                                             |                                      |                                               | 548                                                                                          |
|                                                                                             |                                      |                                               | 227                                                                                          |
|                                                                                             |                                      |                                               | 12                                                                                           |
|                                                                                             |                                      |                                               | 362                                                                                          |
|                                                                                             |                                      |                                               | 263                                                                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| GUGGENHEIM CR ALLOCATION FD CUSIP 40168G108 SYMBOL GGM                                                                               | P                                               | 2016-04-11                              | 2016-04-26                          |
| MORGAN STANLEY EM MKTS DM DEBT /CUSIP 617477104/SYMBOL EDD                                                                           | P                                               | 2016-02-16                              | 2016-04-26                          |
| NUVEEN SHT DUR CR OPP FD CUSIP 67074X107 SYMBOL JSD                                                                                  | P                                               | 2016-04-12                              | 2016-04-26                          |
| INVESCO DYNAMIC CR OPP FD CUSIP 46132R104 SYMBOL VTA                                                                                 | P                                               | 2016-04-25                              | 2016-04-27                          |
| NUVEEN CA QUALTY MUN INCOME FD CUSIP 67066Y105 SYMBOL NAC                                                                            | P                                               | 2016-04-11                              | 2016-04-27                          |
| NUVEEN ENERGY MLP TOTL RTRNFD CUSIP 67074U103 SYMBOL JMF                                                                             | P                                               | 2016-04-08                              | 2016-04-27                          |
| MAINSTAY DEFINEDTERM MN OPP FD CUSIP 56064K100 SYMBOL MMD                                                                            | P                                               | 2016-04-25                              | 2016-04-28                          |
| MILLER HOWARD HIGH INC EQTY FD COM SHS BEN IN CUSIP 600379101<br>SYMBOL HIE                                                          | P                                               | 2016-01-08                              | 2016-04-28                          |
| BLACKROCK MUNIYIELD QLTY FD 3 CUSIP 09254E103 SYMBOL MYI                                                                             | P                                               | 2016-04-21                              | 2016-04-29                          |
| EATON VANCE MA MUNI INCOME TR SH BEN INT/ CUSIP 27826E104 SYMBOL<br>MMV                                                              | P                                               | 2016-04-21                              | 2016-05-02                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 5,897                 |                                            | 5,671                                           | 226                                          |
| 17,506                |                                            | 14,542                                          | 2,964                                        |
| 18,404                |                                            | 18,074                                          | 330                                          |
| 1,084                 |                                            | 1,076                                           | 8                                            |
| 29,071                |                                            | 29,102                                          | -31                                          |
| 96,791                |                                            | 80,015                                          | 16,776                                       |
| 13,951                |                                            | 13,845                                          | 106                                          |
| 38,310                |                                            | 32,575                                          | 5,735                                        |
| 15,313                |                                            | 15,258                                          | 55                                           |
| 2,855                 |                                            | 2,830                                           | 25                                           |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 226                                                                                          |
|                                                                                             |                                      |                                               | 2,964                                                                                        |
|                                                                                             |                                      |                                               | 330                                                                                          |
|                                                                                             |                                      |                                               | 8                                                                                            |
|                                                                                             |                                      |                                               | -31                                                                                          |
|                                                                                             |                                      |                                               | 16,776                                                                                       |
|                                                                                             |                                      |                                               | 106                                                                                          |
|                                                                                             |                                      |                                               | 5,735                                                                                        |
|                                                                                             |                                      |                                               | 55                                                                                           |
|                                                                                             |                                      |                                               | 25                                                                                           |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| FIRST TR ENERGY INFRASTRCTR FD CUSIP 33738C103 SYMBOL FIF                                                                            | P                                               |                                         | 2016-05-02                          |
| NUVEEN MTG OPPTY TERM FD 2 CUSIP 67074R100 /SYMBOL SYMBOL JMT JMT                                                                    | P                                               | 2016-04-27                              | 2016-05-02                          |
| EATON VANCE MA MUNI INCOME TR SH BEN INT/ CUSIP 27826E104 SYMBOL MMV                                                                 | P                                               | 2016-04-21                              | 2016-05-03                          |
| FIRST TR ENERGY INFRASTRCTR FD CUSIP 33738C103 SYMBOL FIF                                                                            | P                                               | 2015-12-03                              | 2016-05-04                          |
| GABELLI DIVD & INCOME TR CUSIP 36242H104 SYMBOL GDV                                                                                  | P                                               | 2015-12-16                              | 2016-05-05                          |
| NUVEEN FLEXIBLE INVT INCOME FD CUSIP 67075B104 SYMBOL JPW                                                                            | P                                               | 2015-10-30                              | 2016-05-05                          |
| INVESCO MUN OPPORTUNITY TR/CUSIP 46132C107/SYMBOL VMO                                                                                | P                                               | 2016-04-27                              | 2016-05-06                          |
| ROYCE MICRO-CAP TR INCORPORATED CUSIP 780915104 SYMBOL RMT                                                                           | P                                               | 2015-11-05                              | 2016-05-06                          |
| BLACKROCK MUNIYIELD CALIF FD I CUSIP 09254M105 SYMBOL MYC                                                                            | P                                               | 2016-05-04                              | 2016-05-09                          |
| COHEN & STEERS INFRASTRUCTURE/CUSIP 19248A109/SYMBOL UTF                                                                             | P                                               | 2016-05-04                              | 2016-05-09                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 7,803                 |                                            | 7,595                                           | 208                                          |
| 378                   |                                            | 374                                             | 4                                            |
| 120                   |                                            | 118                                             | 2                                            |
| 70,559                |                                            | 63,354                                          | 7,205                                        |
| 82,182                |                                            | 81,122                                          | 1,060                                        |
| 3,122                 |                                            | 3,030                                           | 92                                           |
| 2,453                 |                                            | 2,388                                           | 65                                           |
| 21,479                |                                            | 23,378                                          | -1,899                                       |
| 12,033                |                                            | 11,888                                          | 145                                          |
| 24,321                |                                            | 24,011                                          | 310                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 208                                                                                          |
|                                                                                             |                                      |                                               | 4                                                                                            |
|                                                                                             |                                      |                                               | 2                                                                                            |
|                                                                                             |                                      |                                               | 7,205                                                                                        |
|                                                                                             |                                      |                                               | 1,060                                                                                        |
|                                                                                             |                                      |                                               | 92                                                                                           |
|                                                                                             |                                      |                                               | 65                                                                                           |
|                                                                                             |                                      |                                               | -1,899                                                                                       |
|                                                                                             |                                      |                                               | 145                                                                                          |
|                                                                                             |                                      |                                               | 310                                                                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| COHEN & STEERS INFRASTRUCTURE/CUSIP 19248A109/SYMBOL UTF                                                                             | P                                               | 2016-05-04                              | 2016-05-10                          |
| EATON VANCE MUN INCOME 2028 TE SHS CUSIP 27829U105 SYMBOL ETX                                                                        | P                                               | 2016-04-27                              | 2016-05-10                          |
| CENTRAL EUR RUSS & TURK FD INCORPORATED CUSIP 153436100 SYMBOL CEE                                                                   | P                                               | 2016-02-24                              | 2016-05-11                          |
| NUVEEN MTG OPPTY TERM FD 2 CUSIP 67074R100 /SYMBOL SYMBOL JMT JMT                                                                    | P                                               | 2016-04-27                              | 2016-05-11                          |
| WESTERN ASSET HGH YLD DFNDFD CUSIP 95768B107 SYMBOL HYI                                                                              | P                                               | 2016-04-14                              | 2016-05-11                          |
| WESTERN ASSET PREMIER BD FD SHS BEN INT/ CUSIP 957664105 SYMBOL WEA                                                                  | P                                               | 2016-05-02                              | 2016-05-12                          |
| TEMPLETON EMERG MKTS INCOME FD CUSIP 880192109 SYMBOL TEI                                                                            | P                                               | 2016-05-10                              | 2016-05-13                          |
| WESTERN ASSET PREMIER BD FD SHS BEN INT/ CUSIP 957664105 SYMBOL WEA                                                                  | P                                               | 2016-05-02                              | 2016-05-13                          |
| REAVES UTIL INCOME FD COM SH BEN INT/CUSIP 756158101 /SYMBOL UTG                                                                     | P                                               | 2016-05-09                              | 2016-05-17                          |
| TRI CONTL CORPORATION CUSIP 895436103 SYMBOL TY                                                                                      | P                                               | 2016-05-12                              | 2016-05-17                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 8,112                 |                                            | 8,004                                           | 108                                          |
| 18,181                |                                            | 17,831                                          | 350                                          |
| 3,692                 |                                            | 3,224                                           | 468                                          |
| 4,436                 |                                            | 4,397                                           | 39                                           |
| 20,762                |                                            | 20,174                                          | 588                                          |
| 6,690                 |                                            | 6,699                                           | -9                                           |
| 36,291                |                                            | 35,945                                          | 346                                          |
| 3,472                 |                                            | 3,470                                           | 2                                            |
| 24,293                |                                            | 24,279                                          | 14                                           |
| 14,092                |                                            | 14,056                                          | 36                                           |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                        |
|                                                                                             |                                      |                                               | 108                                                                                    |
|                                                                                             |                                      |                                               | 350                                                                                    |
|                                                                                             |                                      |                                               | 468                                                                                    |
|                                                                                             |                                      |                                               | 39                                                                                     |
|                                                                                             |                                      |                                               | 588                                                                                    |
|                                                                                             |                                      |                                               | -9                                                                                     |
|                                                                                             |                                      |                                               | 346                                                                                    |
|                                                                                             |                                      |                                               | 2                                                                                      |
|                                                                                             |                                      |                                               | 14                                                                                     |
|                                                                                             |                                      |                                               | 36                                                                                     |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| CLEARBRIDGE ENERGY MLP FD INCORPORATED CUSIP 184692101 SYMBOL CEM                                                                    | P                                               | 2016-03-09                              | 2016-05-18                          |
| CENTER COAST MLP & INFRSTR FD COM SHS CUSIP 151461100 SYMBOL CEN                                                                     | P                                               | 2016-04-11                              | 2016-05-19                          |
| CLEARBRIDGE AMERN ENERG MLP FD CUSIP 184691103 SYMBOL CBA                                                                            | P                                               | 2016-03-11                              | 2016-05-19                          |
| GOLDMAN SACHS MLP INCORPORATED OPP FD COM SHS CUSIP 38147W103 SYMBOL GMZ                                                             | P                                               | 2016-05-06                              | 2016-05-19                          |
| GUGGENHEIM ENHANCED EQUITY SIR I CUSIP 40167K1007 SYMBOL GGE                                                                         | P                                               | 2015-09-30                              | 2016-05-19                          |
| CBRE CLARION GLOBAL REAL ESTAT CUSIP 12504G100 SYMBOL IGR                                                                            | P                                               | 2016-02-23                              | 2016-05-20                          |
| PIONEER DIV HIGH INCOME TRUST/CUSIP 723653101 /SYMBOL HNW                                                                            | P                                               | 2016-05-18                              | 2016-05-20                          |
| WESTERN ASSET CLYM INFL SEC IN COM SH BEN INT CUSIP 95766Q106 SYMBOL WIA                                                             | P                                               | 2016-05-11                              | 2016-05-20                          |
| EATON VANCE FLTING RATE INCORPORATED TR CUSIP 278279104 SYMBOL EFT                                                                   | P                                               | 2016-04-27                              | 2016-05-23                          |
| EATON VANCE LIMITED DUR INCOME FD CUSIP 27828H105 SYMBOL EW                                                                          | P                                               | 2016-05-05                              | 2016-05-23                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h |                                            |                                                 |                                              |
|--------------------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price                                                                      | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
| 96,568                                                                                     |                                            | 83,175                                          | 13,393                                       |
| 43,530                                                                                     |                                            | 37,328                                          | 6,202                                        |
| 24,771                                                                                     |                                            | 20,025                                          | 4,746                                        |
| 52,521                                                                                     |                                            | 49,518                                          | 3,003                                        |
| 823                                                                                        |                                            | 765                                             | 58                                           |
| 10,070                                                                                     |                                            | 9,066                                           | 1,004                                        |
| 4,636                                                                                      |                                            | 4,632                                           | 4                                            |
| 5,690                                                                                      |                                            | 5,683                                           | 7                                            |
| 11,865                                                                                     |                                            | 11,799                                          | 66                                           |
| 58,117                                                                                     |                                            | 58,162                                          | -45                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l  |                                      |                                               |                                                                                           |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 13,393                                                                                    |
|                                                                                             |                                      |                                               | 6,202                                                                                     |
|                                                                                             |                                      |                                               | 4,746                                                                                     |
|                                                                                             |                                      |                                               | 3,003                                                                                     |
|                                                                                             |                                      |                                               | 58                                                                                        |
|                                                                                             |                                      |                                               | 1,004                                                                                     |
|                                                                                             |                                      |                                               | 4                                                                                         |
|                                                                                             |                                      |                                               | 7                                                                                         |
|                                                                                             |                                      |                                               | 66                                                                                        |
|                                                                                             |                                      |                                               | -45                                                                                       |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e.g., real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co.) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo., day, yr.) | (d)<br>Date sold<br>(mo., day, yr.) |
| PRINCIPAL REAL ESTATE INCOME SHS BEN INT CUSIP 74255X104 SYMBOL PGZ                                                                  | P                                               | 2016-05-10                              | 2016-05-23                          |
| WESTERN ASSET CLYM INFL SEC IN COM SH BEN INT CUSIP 95766Q106 SYMBOL WIA                                                             | P                                               | 2016-05-11                              | 2016-05-23                          |
| EATON VANCE TXMGD GL BUYWR OPP CUSIP 27829C105 SYMBOL ETW                                                                            | P                                               | 2016-01-26                              | 2016-05-24                          |
| GUGGENHEIM CR ALLOCATION FD CUSIP 40168G108 SYMBOL GGM                                                                               | P                                               | 2016-05-06                              | 2016-05-24                          |
| INVESCO DYNAMIC CR OPP FD CUSIP 46132R104 SYMBOL VTA                                                                                 | P                                               | 2016-04-25                              | 2016-05-24                          |
| NUVEEN DIVERSIFIED DIV INCM FD CUSIP 6706EP105 SYMBOL JDD                                                                            | P                                               | 2016-02-18                              | 2016-05-24                          |
| GUGGENHEIM CR ALLOCATION FD CUSIP 40168G108 SYMBOL GGM                                                                               | P                                               | 2016-05-06                              | 2016-05-25                          |
| INVESCO DYNAMIC CR OPP FD CUSIP 46132R104 SYMBOL VTA                                                                                 | P                                               | 2016-04-25                              | 2016-05-25                          |
| NUVEEN DIVERSIFIED DIV INCM FD CUSIP 6706EP105 SYMBOL JDD                                                                            | P                                               | 2016-02-18                              | 2016-05-25                          |
| BLACKROCK MUNIYIELD CALIF FD I CUSIP 09254M105 SYMBOL MYC                                                                            | P                                               | 2016-05-04                              | 2016-05-26                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h |                                            |                                                 |                                              |
|--------------------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price                                                                      | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
| 3,334                                                                                      |                                            | 3,424                                           | -90                                          |
| 3,416                                                                                      |                                            | 3,410                                           | 6                                            |
| 37,590                                                                                     |                                            | 34,161                                          | 3,429                                        |
| 1,283                                                                                      |                                            | 1,210                                           | 73                                           |
| 40,335                                                                                     |                                            | 39,886                                          | 449                                          |
| 6,432                                                                                      |                                            | 5,716                                           | 716                                          |
| 4,050                                                                                      |                                            | 3,843                                           | 207                                          |
| 24,111                                                                                     |                                            | 23,747                                          | 364                                          |
| 6,837                                                                                      |                                            | 6,029                                           | 808                                          |
| 13,226                                                                                     |                                            | 13,128                                          | 98                                           |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l  |                                   |                                              |                                                                                           |
|---------------------------------------------------------------------------------------------|-----------------------------------|----------------------------------------------|-------------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                   |                                              | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
| (i) FMV as of 12/31/69                                                                      | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any |                                                                                           |
|                                                                                             |                                   |                                              | -90                                                                                       |
|                                                                                             |                                   |                                              | 6                                                                                         |
|                                                                                             |                                   |                                              | 3,429                                                                                     |
|                                                                                             |                                   |                                              | 73                                                                                        |
|                                                                                             |                                   |                                              | 449                                                                                       |
|                                                                                             |                                   |                                              | 716                                                                                       |
|                                                                                             |                                   |                                              | 207                                                                                       |
|                                                                                             |                                   |                                              | 364                                                                                       |
|                                                                                             |                                   |                                              | 808                                                                                       |
|                                                                                             |                                   |                                              | 98                                                                                        |



**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| BLACKSTONE GSO FLTNG RTE FUND CUSIP 09256U105 /SYMBOL BSL                                                                            | P                                               | 2016-04-12                              | 2016-05-26                          |
| GUGGENHEIM CR ALLOCATION FD CUSIP 40168G108 SYMBOL GGM                                                                               | P                                               | 2016-05-06                              | 2016-05-26                          |
| INVESCO SR INCOME TR CUSIP 46131H107 SYMBOL WR                                                                                       | P                                               | 2016-04-29                              | 2016-05-26                          |
| GUGGENHEIM CR ALLOCATION FD CUSIP 40168G108 SYMBOL GGM                                                                               | P                                               | 2016-05-06                              | 2016-05-27                          |
| NUVEEN MTG OPPTY TERM FD 2 CUSIP 67074R100 /SYMBOL SYMBOL JMT JMT                                                                    | P                                               | 2016-04-27                              | 2016-05-27                          |
| COHEN & STEERS LIMITED DUR PREFERRED INCORPORATED CUSIP 19248C105<br>SYMBOL L                                                        | P                                               | 2016-05-26                              | 2016-05-31                          |
| BLACKROCK DEFINED OPPTY CR TR CUSIP 09255Q105 SYMBOL BHL                                                                             | P                                               | 2016-04-12                              | 2016-06-01                          |
| HANCOCK JOHN TAX-ADV DIV INCM CUSIP 41013V100 SYMBOL HTD                                                                             | P                                               | 2016-05-18                              | 2016-06-01                          |
| HANCOCK JOHN PREFERRED INCOME FD III CUSIP 41021P103 /SYMBOL HPS                                                                     | P                                               | 2016-05-19                              | 2016-06-01                          |
| JOHN HANCOCK HDG EQ & INCORPORATED FD CUSIP 47804L102 SYMBOL HEQ                                                                     | P                                               | 2016-06-01                              | 2016-06-02                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 1,562                 |                                            | 1,512                                           | 50                                           |
| 2,607                 |                                            | 2,479                                           | 128                                          |
| 23,073                |                                            | 22,803                                          | 270                                          |
| 10,255                |                                            | 9,760                                           | 495                                          |
| 8,810                 |                                            | 8,795                                           | 15                                           |
| 36,547                |                                            | 36,156                                          | 391                                          |
| 1,329                 |                                            | 1,302                                           | 27                                           |
| 94,000                |                                            | 92,988                                          | 1,012                                        |
| 23,186                |                                            | 22,484                                          | 702                                          |
| 6,072                 |                                            | 6,016                                           | 56                                           |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 50                                                                                           |
|                                                                                             |                                      |                                               | 128                                                                                          |
|                                                                                             |                                      |                                               | 270                                                                                          |
|                                                                                             |                                      |                                               | 495                                                                                          |
|                                                                                             |                                      |                                               | 15                                                                                           |
|                                                                                             |                                      |                                               | 391                                                                                          |
|                                                                                             |                                      |                                               | 27                                                                                           |
|                                                                                             |                                      |                                               | 1,012                                                                                        |
|                                                                                             |                                      |                                               | 702                                                                                          |
|                                                                                             |                                      |                                               | 56                                                                                           |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| NUVEEN PREFERRED INCOME OPPRTNY FD CUSIP 67073B106/ SYMBOL JPC                                                                       | P                                               | 2016-05-17                              | 2016-06-02                          |
| INVESCO SR INCOME TR CUSIP 46131H107 SYMBOL WR                                                                                       | P                                               | 2016-06-02                              | 2016-06-03                          |
| NUVEEN INVT QUALITY MUN FD INCORPORATED CUSIP 67062E103 SYMBOL NQMOLD                                                                | P                                               | 2016-05-31                              | 2016-06-03                          |
| NUVEEN PREFERRED INCOME OPPRTNY FD CUSIP 67073B106/ SYMBOL JPC                                                                       | P                                               | 2016-05-17                              | 2016-06-03                          |
| NUVEEN MTG OPPTY TERM FD 2 CUSIP 67074R100 /SYMBOL SYMBOL JMT JMT                                                                    | P                                               | 2016-04-27                              | 2016-06-03                          |
| INVESCO SR INCOME TR CUSIP 46131H107 SYMBOL WR                                                                                       | P                                               | 2016-06-02                              | 2016-06-06                          |
| NUVEEN PREFERRED INCOME OPPRTNY FD CUSIP 67073B106/ SYMBOL JPC                                                                       | P                                               | 2016-05-17                              | 2016-06-06                          |
| NUVEEN MTG OPPTY TERM FD 2 CUSIP 67074R100 /SYMBOL SYMBOL JMT JMT                                                                    | P                                               | 2016-04-27                              | 2016-06-06                          |
| NUVEEN INVT QUALITY MUN FD INCORPORATED CUSIP 67062E103 SYMBOL NQMOLD                                                                | P                                               | 2016-05-31                              | 2016-06-07                          |
| BLACKROCK MUNIYIELD N J FD INCORPORATED CUSIP 09254Y109 SYMBOL MYJ                                                                   | P                                               | 2016-05-23                              | 2016-06-08                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 9,996                 |                                            | 9,859                                           | 137                                          |
| 10,986                |                                            | 10,868                                          | 118                                          |
| 11,971                |                                            | 11,766                                          | 205                                          |
| 2,452                 |                                            | 2,408                                           | 44                                           |
| 2,752                 |                                            | 2,726                                           | 26                                           |
| 9,002                 |                                            | 8,854                                           | 148                                          |
| 83,159                |                                            | 81,488                                          | 1,671                                        |
| 3,539                 |                                            | 3,496                                           | 43                                           |
| 34,759                |                                            | 33,982                                          | 777                                          |
| 6,736                 |                                            | 6,545                                           | 191                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 137                                                                                       |
|                                                                                             |                                      |                                               | 118                                                                                       |
|                                                                                             |                                      |                                               | 205                                                                                       |
|                                                                                             |                                      |                                               | 44                                                                                        |
|                                                                                             |                                      |                                               | 26                                                                                        |
|                                                                                             |                                      |                                               | 148                                                                                       |
|                                                                                             |                                      |                                               | 1,671                                                                                     |
|                                                                                             |                                      |                                               | 43                                                                                        |
|                                                                                             |                                      |                                               | 777                                                                                       |
|                                                                                             |                                      |                                               | 191                                                                                       |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| NUVEEN INVT QUALITY MUN FD INCORPORATED CUSIP 67062E103 SYMBOL NQMOLD                                                                | P                                               | 2016-05-31                              | 2016-06-08                          |
| NUVEEN ENERGY MLP TOTL RTRNFD CUSIP 67074U103 SYMBOL JMF                                                                             | P                                               | 2016-06-03                              | 2016-06-09                          |
| NUVEEN PREFERRED SECURITIES IN CUSIP 67072C105 SYMBOL JPS                                                                            | P                                               | 2016-05-25                              | 2016-06-13                          |
| BLACKROCK MUNIYIELD N J FD INCORPORATED CUSIP 09254Y109 SYMBOL MYJ                                                                   | P                                               | 2016-05-23                              | 2016-06-14                          |
| GABELLI MULTIMEDIA TR INCORPORATED CUSIP 36239Q109 SYMBOL GGT                                                                        | P                                               | 2016-06-06                              | 2016-06-14                          |
| GUGGENHEIM ENHANCED EQUITY SIR I CUSIP 40167K1007 SYMBOL GGE                                                                         | P                                               | 2015-09-30                              | 2016-06-14                          |
| GUGGENHEIM EQ WEIGHT ENHANC EQ COM SH BEN INT CUSIP 40167M106 SYMBOL GEQ                                                             | P                                               | 2016-02-17                              | 2016-06-14                          |
| NUVEEN PERFORMANCE PLUS MUN FD CUSIP 67062P108 SYMBOL NPPOLD                                                                         | P                                               | 2016-05-23                              | 2016-06-14                          |
| NUVEEN GLOBAL HIGH INCOME FD SHS CUSIP 67075G103 SYMBOL JGH                                                                          | P                                               | 2016-06-01                              | 2016-06-14                          |
| PIONEER DIV HIGH INCOME TRUST/CUSIP 723653101 /SYMBOL HNW                                                                            | P                                               | 2016-06-01                              | 2016-06-14                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 10,859                |                                            | 10,610                                          | 249                                          |
| 51,924                |                                            | 49,114                                          | 2,810                                        |
| 21,651                |                                            | 21,173                                          | 478                                          |
| 3,368                 |                                            | 3,272                                           | 96                                           |
| 4,933                 |                                            | 5,196                                           | -263                                         |
| 2,217                 |                                            | 2,018                                           | 199                                          |
| 2,394                 |                                            | 2,177                                           | 217                                          |
| 46,776                |                                            | 45,935                                          | 841                                          |
| 43,082                |                                            | 42,381                                          | 701                                          |
| 31                    |                                            | 31                                              | 0                                            |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 249                                                                                          |
|                                                                                             |                                      |                                               | 2,810                                                                                        |
|                                                                                             |                                      |                                               | 478                                                                                          |
|                                                                                             |                                      |                                               | 96                                                                                           |
|                                                                                             |                                      |                                               | -263                                                                                         |
|                                                                                             |                                      |                                               | 199                                                                                          |
|                                                                                             |                                      |                                               | 217                                                                                          |
|                                                                                             |                                      |                                               | 841                                                                                          |
|                                                                                             |                                      |                                               | 701                                                                                          |
|                                                                                             |                                      |                                               | 0                                                                                            |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| FIRST TRUST MORTGAGE INCM FD COM SHS CUSIP 33734E103 SYMBOL FMY                                                                      | P                                               | 2016-06-06                              | 2016-06-15                          |
| NUVEEN PREFERRED SECURITIES IN CUSIP 67072C105 SYMBOL JPS                                                                            | P                                               | 2016-05-25                              | 2016-06-15                          |
| CALAMOS CONV & HIGH INCOME FD COM SHS CUSIP 12811P108 /SYMBOL CHY                                                                    | P                                               | 2016-06-14                              | 2016-06-16                          |
| TEKLA LIFE SCIENCES INVSSH BEN INT/CUSIP 87911K100/SYMBOL HQL                                                                        | P                                               | 2016-06-13                              | 2016-06-16                          |
| BLACKROCK MUNIYIELD N J FD INCORPORATED CUSIP 09254Y109 SYMBOL MYJ                                                                   | P                                               | 2016-05-23                              | 2016-06-17                          |
| PIONEER DIV HIGH INCOME TRUST/CUSIP 723653101 /SYMBOL HNW                                                                            | P                                               | 2016-06-01                              | 2016-06-17                          |
| TEKLA LIFE SCIENCES INVSSH BEN INT/CUSIP 87911K100/SYMBOL HQL                                                                        | P                                               | 2016-06-13                              | 2016-06-17                          |
| BLACKROCK MUNIYIELD N J FD INCORPORATED CUSIP 09254Y109 SYMBOL MYJ                                                                   | P                                               | 2016-05-23                              | 2016-06-20                          |
| DOUBLELINE INCOME SOLUTIONS FD CUSIP 258622109 SYMBOL DSL                                                                            | P                                               | 2016-06-16                              | 2016-06-20                          |
| PIMCO DYNAMIC INCOME FD SHS CUSIP 72201Y101 SYMBOL PDI                                                                               | P                                               | 2016-06-13                              | 2016-06-20                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 1,447                 |                                            | 1,436                                           | 11                                           |
| 35,560                |                                            | 34,878                                          | 682                                          |
| 56,365                |                                            | 56,064                                          | 301                                          |
| 952                   |                                            | 946                                             | 6                                            |
| 1,699                 |                                            | 1,636                                           | 63                                           |
| 11,667                |                                            | 11,627                                          | 40                                           |
| 19,024                |                                            | 19,062                                          | -38                                          |
| 1,697                 |                                            | 1,636                                           | 61                                           |
| 56,847                |                                            | 56,189                                          | 658                                          |
| 5,967                 |                                            | 5,911                                           | 56                                           |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 11                                                                                           |
|                                                                                             |                                      |                                               | 682                                                                                          |
|                                                                                             |                                      |                                               | 301                                                                                          |
|                                                                                             |                                      |                                               | 6                                                                                            |
|                                                                                             |                                      |                                               | 63                                                                                           |
|                                                                                             |                                      |                                               | 40                                                                                           |
|                                                                                             |                                      |                                               | -38                                                                                          |
|                                                                                             |                                      |                                               | 61                                                                                           |
|                                                                                             |                                      |                                               | 658                                                                                          |
|                                                                                             |                                      |                                               | 56                                                                                           |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| BLACKROCK MUNIYIELD N J FD INCORPORATED CUSIP 09254Y109 SYMBOL MYJ                                                                   | P                                               | 2016-05-23                              | 2016-06-21                          |
| GOLDMAN SACHS MLP ENERGY RENAI CUSIP 38148G107 SYMBOL GER                                                                            | P                                               | 2016-03-17                              | 2016-06-21                          |
| PIMCO DYNAMIC INCOME FD SHS CUSIP 72201Y101 SYMBOL PDI                                                                               | P                                               | 2016-06-13                              | 2016-06-21                          |
| FIDUCIARY CLAYMORE MLP OPP FD CUSIP 31647Q106 SYMBOL FMO                                                                             | P                                               |                                         | 2016-06-22                          |
| INVESCO MUN OPPORTUNITY TR/CUSIP 46132C107/SYMBOL VMO                                                                                | P                                               | 2016-04-27                              | 2016-06-22                          |
| BLACKROCK MULTI-SECTOR INCORPORATED TR CUSIP 09258A107 SYMBOL BIT                                                                    | P                                               | 2016-06-22                              | 2016-06-23                          |
| INVESCO MUN TR CUSIP 46131J103 SYMBOL VKQ                                                                                            | P                                               | 2016-06-21                              | 2016-06-23                          |
| HANCOCK JOHN INVS TR CUSIP 410142103 SYMBOL JHI                                                                                      | P                                               | 2016-06-07                              | 2016-07-05                          |
| NUVEEN TAX ADVANTAGED DIV GRWT CUSIP 67073G105 SYMBOL JTD                                                                            | P                                               | 2016-04-20                              | 2016-07-05                          |
| NUVEEN PREFERRED & INCOME TERM FD CUSIP 67075A106 SYMBOL JPI                                                                         | P                                               | 2016-05-24                              | 2016-07-05                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h |                                            |                                                 |                                              |
|--------------------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price                                                                      | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
| 3,386                                                                                      |                                            | 3,272                                           | 114                                          |
| 44,097                                                                                     |                                            | 34,199                                          | 9,898                                        |
| 50,767                                                                                     |                                            | 50,511                                          | 256                                          |
| 6,955                                                                                      |                                            | 5,970                                           | 985                                          |
| 93,955                                                                                     |                                            | 90,341                                          | 3,614                                        |
| 13,306                                                                                     |                                            | 13,174                                          | 132                                          |
| 57,775                                                                                     |                                            | 57,482                                          | 293                                          |
| 30,744                                                                                     |                                            | 29,307                                          | 1,437                                        |
| 39,414                                                                                     |                                            | 38,248                                          | 1,166                                        |
| 4,847                                                                                      |                                            | 4,650                                           | 197                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l  |                                      |                                               |                                                                                           |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 114                                                                                       |
|                                                                                             |                                      |                                               | 9,898                                                                                     |
|                                                                                             |                                      |                                               | 256                                                                                       |
|                                                                                             |                                      |                                               | 985                                                                                       |
|                                                                                             |                                      |                                               | 3,614                                                                                     |
|                                                                                             |                                      |                                               | 132                                                                                       |
|                                                                                             |                                      |                                               | 293                                                                                       |
|                                                                                             |                                      |                                               | 1,437                                                                                     |
|                                                                                             |                                      |                                               | 1,166                                                                                     |
|                                                                                             |                                      |                                               | 197                                                                                       |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| STONE HBR EMERG MKTS TL INCORPORATED FD CUSIP 86164W100 SYMBOL EDI                                                                   | P                                               | 2016-06-23                              | 2016-07-05                          |
| HANCOCK JOHN INVS TR CUSIP 410142103 SYMBOL JHI                                                                                      | P                                               | 2016-06-07                              | 2016-07-06                          |
| NUVEEN QUALITY MUNCP INCOME FD CUSIP 67066V101 SYMBOL NAD                                                                            | P                                               | 2016-06-20                              | 2016-07-06                          |
| NUVEEN PREFERRED & INCOME TERM FD CUSIP 67075A106 SYMBOL JPI                                                                         | P                                               | 2016-05-24                              | 2016-07-06                          |
| EATON VANCE TAX MNGD GBL DV EQ CUSIP 27829F108 SYMBOL EXG                                                                            | P                                               | 2016-06-23                              | 2016-07-07                          |
| NUVEEN ENERGY MLP TOTL RTRNFD CUSIP 67074U103 SYMBOL JMF                                                                             | P                                               | 2016-06-03                              | 2016-07-07                          |
| NUVEEN PERFORMANCE PLUS MUN FD CUSIP 67062P108 SYMBOL NPPOLD                                                                         | P                                               | 2016-05-23                              | 2016-07-08                          |
| WF MULTI SECTOR INCOM CUSIP 94987D101 SYMBOL ERC                                                                                     | P                                               | 2016-07-05                              | 2016-07-08                          |
| WESTERN ASSET INCOME FD CUSIP 95766T100 SYMBOL PAI                                                                                   | P                                               | 2016-07-06                              | 2016-07-08                          |
| NUVEEN PREM INCOME MUN FD CUSIP 67062T100 SYMBOL NPIOLD                                                                              | P                                               | 2016-06-10                              | 2016-07-11                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 6,675                 |                                            | 6,525                                           | 150                                          |
| 3,863                 |                                            | 3,658                                           | 205                                          |
| 23,608                |                                            | 23,180                                          | 428                                          |
| 54,015                |                                            | 51,427                                          | 2,588                                        |
| 58,019                |                                            | 58,516                                          | -497                                         |
| 8,782                 |                                            | 8,595                                           | 187                                          |
| 10,680                |                                            | 10,259                                          | 421                                          |
| 54,488                |                                            | 53,842                                          | 646                                          |
| 5,741                 |                                            | 5,638                                           | 103                                          |
| 20,168                |                                            | 19,647                                          | 521                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 150                                                                                          |
|                                                                                             |                                      |                                               | 205                                                                                          |
|                                                                                             |                                      |                                               | 428                                                                                          |
|                                                                                             |                                      |                                               | 2,588                                                                                        |
|                                                                                             |                                      |                                               | -497                                                                                         |
|                                                                                             |                                      |                                               | 187                                                                                          |
|                                                                                             |                                      |                                               | 421                                                                                          |
|                                                                                             |                                      |                                               | 646                                                                                          |
|                                                                                             |                                      |                                               | 103                                                                                          |
|                                                                                             |                                      |                                               | 521                                                                                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| NUVEEN PREM INCOME MUN FD 2 CUSIP 67063W102 SYMBOL NPMOLD                                                                            | P                                               | 2016-05-20                              | 2016-07-11                          |
| MORGAN STANLEY CHINA A SH FD CUSIP 617468103 SYMBOL CAF                                                                              | P                                               | 2016-06-01                              | 2016-07-12                          |
| ABERDEEN JAPAN EQUITY FD INCORPORATED CUSIP 00306J109 SYMBOL JEQ                                                                     | P                                               | 2016-05-13                              | 2016-07-13                          |
| ABERDEEN SINGAPORE FD INCORPORATED CUSIP 003244100 SYMBOL SGF                                                                        | P                                               | 2015-11-11                              | 2016-07-13                          |
| ADAMS DIVERSIFIED EQUITY FD CUSIP 006212104/ SYMBOL ADX                                                                              | P                                               | 2015-11-03                              | 2016-07-13                          |
| ALLIANZGI NFJ DIVID INT & PREM CUSIP 01883A107 SYMBOL NFJ                                                                            | P                                               | 2016-07-11                              | 2016-07-13                          |
| ALPINE TOTAL DYNAMIC DIVID FD COM SH BEN INT N CUSIP 021060207<br>SYMBOL AOD                                                         | P                                               | 2016-02-23                              | 2016-07-13                          |
| APOLLO SR FLOATING RATE FD INCORPORATED CUSIP 037636107 SYMBOL<br>AFT                                                                | P                                               | 2015-08-07                              | 2016-07-13                          |
| BLACKROCK MUNI 2018 TERM TR CUSIP 09248C106 SYMBOL BPK                                                                               | P                                               | 2016-04-27                              | 2016-07-13                          |
| BLACKROCK GLOBAL OPP EQTY TR CUSIP 092501105 SYMBOL BOE                                                                              | P                                               | 2016-04-27                              | 2016-07-13                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 24,653                |                                            | 23,489                                          | 1,164                                        |
| 23,582                |                                            | 22,243                                          | 1,339                                        |
| 1,602                 |                                            | 1,530                                           | 72                                           |
| 1,756                 |                                            | 1,724                                           | 32                                           |
| 56,072                |                                            | 59,820                                          | -3,748                                       |
| 27,700                |                                            | 27,400                                          | 300                                          |
| 19,134                |                                            | 17,489                                          | 1,645                                        |
| 41,079                |                                            | 45,793                                          | -4,714                                       |
| 21,281                |                                            | 21,317                                          | -36                                          |
| 1,371                 |                                            | 1,347                                           | 24                                           |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 1,164                                                                                        |
|                                                                                             |                                      |                                               | 1,339                                                                                        |
|                                                                                             |                                      |                                               | 72                                                                                           |
|                                                                                             |                                      |                                               | 32                                                                                           |
|                                                                                             |                                      |                                               | -3,748                                                                                       |
|                                                                                             |                                      |                                               | 300                                                                                          |
|                                                                                             |                                      |                                               | 1,645                                                                                        |
|                                                                                             |                                      |                                               | -4,714                                                                                       |
|                                                                                             |                                      |                                               | -36                                                                                          |
|                                                                                             |                                      |                                               | 24                                                                                           |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| BLACKROCK MUNIYIELD NY QLTY FD/ CUSIP 09255E102/SYMBOL MYN                                                                           | P                                               | 2016-05-19                              | 2016-07-13                          |
| BLACKROCK RES & COMM STRAT TR SHS CUSIP 09257A108 SYMBOL BCX                                                                         | P                                               | 2015-10-27                              | 2016-07-13                          |
| BROOKFIELD GLOBL LISTED INFRAS COM SHS /CUSIP 11273Q109/SYMBOL INF                                                                   | P                                               | 2015-07-30                              | 2016-07-13                          |
| CENTER COAST MLP & INFRSTR FD COM SHS CUSIP 151461100 SYMBOL CEN                                                                     | P                                               | 2016-07-06                              | 2016-07-13                          |
| CLEARBRIDGE ENERGY MLP FD INCORPORATED CUSIP 184692101 SYMBOL CEM                                                                    | P                                               | 2016-07-08                              | 2016-07-13                          |
| CLEARBRIDGE ENERGY MLP OPP FD CUSIP 18469P100 SYMBOL EMO                                                                             | P                                               | 2016-04-05                              | 2016-07-13                          |
| CLOUGH GLOBAL DIVND AND INCORPORATED FD CUSIP 18913Y103 SYMBOL GLV                                                                   | P                                               | 2016-04-20                              | 2016-07-13                          |
| CLOUGH GLOBAL EQUITY FD CUSIP 18914C100 SYMBOL GLQ                                                                                   | P                                               | 2016-04-19                              | 2016-07-13                          |
| CLOUGH GLOBAL OPPORTUNITIES FD SH BEN INT/ CUSIP 18914E106 /SYMBOL GLO                                                               | P                                               | 2015-11-23                              | 2016-07-13                          |
| COHEN & STEERS CLOSED END OPPO CUSIP 19248P106 SYMBOL FOF                                                                            | P                                               | 2016-03-21                              | 2016-07-13                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h |                                            |                                                 |                                              |
|--------------------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price                                                                      | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
| 55,847                                                                                     |                                            | 55,017                                          | 830                                          |
| 91,012                                                                                     |                                            | 83,683                                          | 7,329                                        |
| 5,432                                                                                      |                                            | 5,654                                           | -222                                         |
| 58,612                                                                                     |                                            | 57,913                                          | 699                                          |
| 57,211                                                                                     |                                            | 56,520                                          | 691                                          |
| 11,755                                                                                     |                                            | 8,982                                           | 2,773                                        |
| 3,454                                                                                      |                                            | 3,336                                           | 118                                          |
| 90,468                                                                                     |                                            | 88,721                                          | 1,747                                        |
| 55,787                                                                                     |                                            | 60,749                                          | -4,962                                       |
| 9,352                                                                                      |                                            | 8,545                                           | 807                                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l  |                                      |                                               |                                                                                           |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 830                                                                                       |
|                                                                                             |                                      |                                               | 7,329                                                                                     |
|                                                                                             |                                      |                                               | -222                                                                                      |
|                                                                                             |                                      |                                               | 699                                                                                       |
|                                                                                             |                                      |                                               | 691                                                                                       |
|                                                                                             |                                      |                                               | 2,773                                                                                     |
|                                                                                             |                                      |                                               | 118                                                                                       |
|                                                                                             |                                      |                                               | 1,747                                                                                     |
|                                                                                             |                                      |                                               | -4,962                                                                                    |
|                                                                                             |                                      |                                               | 807                                                                                       |



| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| COHEN & STEERS MLP INCORPORATED & ENRGY COM SHS CUSIP 19249B106<br>SYMBOL MIE                                                        | P                                               |                                         | 2016-07-13                          |
| DIVERSIFIED REAL ASSET INCORPORATED FD COM SHS CUSIP<br>25533B108 /SYMBOL DRA                                                        | P                                               | 2015-10-30                              | 2016-07-13                          |
| DIVIDEND & INCOME FUND COM NEW CUSIP 25538A204 SYMBOL DNI                                                                            | P                                               | 2016-06-22                              | 2016-07-13                          |
| EATON VANCE TX MGD DIV EQ INCM/CUSIP 27828N102/SYMBOL ETY                                                                            | P                                               | 2016-05-04                              | 2016-07-13                          |
| FIDUCIARY CLAYMORE MLP OPP FD CUSIP 31647Q106 SYMBOL FMO                                                                             | P                                               | 2016-04-12                              | 2016-07-13                          |
| FIRST TR ENERGY INCOME & GRW CUSIP 33738G104 SYMBOL FEN                                                                              | P                                               | 2016-06-22                              | 2016-07-13                          |
| GABELLI GLB SML & MD CPVALTR/ CUSIP 36249W104 SYMBOL GGZ                                                                             | P                                               | 2015-12-04                              | 2016-07-13                          |
| GENERAL AMERN INVS INCORPORATED CUSIP 368802104 SYMBOL GAM                                                                           | P                                               | 2016-04-06                              | 2016-07-13                          |
| GOLDMAN SACHS MLP INCORPORATED OPP FD COM SHS CUSIP 38147W103<br>SYMBOL GMZ                                                          | P                                               | 2016-07-08                              | 2016-07-13                          |
| GUGGENHEIM EQ WEIGHT ENHANC EQ COM SH BEN INT CUSIP 40167M106<br>SYMBOL GEQ                                                          | P                                               | 2016-02-17                              | 2016-07-13                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h |                                            |                                                 |                                              |
|--------------------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price                                                                      | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
| 116,122                                                                                    |                                            | 83,638                                          | 32,484                                       |
| 25,556                                                                                     |                                            | 25,312                                          | 244                                          |
| 11,382                                                                                     |                                            | 11,144                                          | 238                                          |
| 29,260                                                                                     |                                            | 28,467                                          | 793                                          |
| 12,357                                                                                     |                                            | 9,674                                           | 2,683                                        |
| 47,785                                                                                     |                                            | 47,168                                          | 617                                          |
| 8,520                                                                                      |                                            | 8,447                                           | 73                                           |
| 47,714                                                                                     |                                            | 46,059                                          | 1,655                                        |
| 56,974                                                                                     |                                            | 56,964                                          | 10                                           |
| 13,145                                                                                     |                                            | 11,667                                          | 1,478                                        |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l  |                                      |                                               |                                                                                              |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 32,484                                                                                       |
|                                                                                             |                                      |                                               | 244                                                                                          |
|                                                                                             |                                      |                                               | 238                                                                                          |
|                                                                                             |                                      |                                               | 793                                                                                          |
|                                                                                             |                                      |                                               | 2,683                                                                                        |
|                                                                                             |                                      |                                               | 617                                                                                          |
|                                                                                             |                                      |                                               | 73                                                                                           |
|                                                                                             |                                      |                                               | 1,655                                                                                        |
|                                                                                             |                                      |                                               | 10                                                                                           |
|                                                                                             |                                      |                                               | 1,478                                                                                        |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| INDIA FD INCORPORATED CUSIP 454089103 SYMBOL IFN                                                                                     | P                                               | 2016-06-15                              | 2016-07-13                          |
| JAPAN SMALLER CAPTLZTN FD INCORPORATED CUSIP 47109U104 SYMBOL JOF                                                                    | P                                               | 2016-03-18                              | 2016-07-13                          |
| LAZARD WORLD DIVID & INCOME FD CUSIP 521076109 SYMBOL LOR                                                                            | P                                               | 2016-06-23                              | 2016-07-13                          |
| LIBERTY ALL-STAR GROWTH FD INCORPORATED CUSIP 529900102 SYMBOL ASG                                                                   | P                                               | 2016-02-02                              | 2016-07-13                          |
| LIBERTY ALL STAR EQUITY FD SH BEN INT/ CUSIP 530158104 SYMBOL USA                                                                    | P                                               | 2016-01-08                              | 2016-07-13                          |
| MFS INTER INCOME TR SH BEN INT CUSIP 55273C107 SYMBOL MIN                                                                            | P                                               | 2016-07-12                              | 2016-07-13                          |
| MACQUARIE GLBL INFRA TOTL RETN CUSIP 55608D101 SYMBOL MGU                                                                            | P                                               | 2016-06-21                              | 2016-07-13                          |
| NEUBERGER BERMAN NY INT MUN FD CUSIP 64124K102 SYMBOL NBO                                                                            | P                                               | 2016-05-31                              | 2016-07-13                          |
| NEUBERGER BERMAN HGH YLD FD CUSIP 64128C106 SYMBOL NHS                                                                               | P                                               | 2016-07-05                              | 2016-07-13                          |
| NEUBERGER BERMAN RE ES SEC FD CUSIP 64190A103/SYMBOL NRO                                                                             | P                                               | 2016-03-02                              | 2016-07-13                          |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 57,533                |                                            | 55,478                                          | 2,055                                        |
| 1,011                 |                                            | 964                                             | 47                                           |
| 35,479                |                                            | 35,222                                          | 257                                          |
| 2,527                 |                                            | 2,328                                           | 199                                          |
| 85,405                |                                            | 83,016                                          | 2,389                                        |
| 4,583                 |                                            | 4,590                                           | -7                                           |
| 12,930                |                                            | 12,735                                          | 195                                          |
| 10,031                |                                            | 9,878                                           | 153                                          |
| 21,326                |                                            | 20,640                                          | 686                                          |
| 26,189                |                                            | 21,482                                          | 4,707                                        |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 2,055                                                                                     |
|                                                                                             |                                      |                                               | 47                                                                                        |
|                                                                                             |                                      |                                               | 257                                                                                       |
|                                                                                             |                                      |                                               | 199                                                                                       |
|                                                                                             |                                      |                                               | 2,389                                                                                     |
|                                                                                             |                                      |                                               | -7                                                                                        |
|                                                                                             |                                      |                                               | 195                                                                                       |
|                                                                                             |                                      |                                               | 153                                                                                       |
|                                                                                             |                                      |                                               | 686                                                                                       |
|                                                                                             |                                      |                                               | 4,707                                                                                     |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d                                           |                                                 |                                         |                                     |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
| NUVEEN PREM INCOME MUN FD 2 CUSIP 67063W102 SYMBOL NPMOLD                                                                            | P                                               | 2016-05-20                              | 2016-07-13                          |
| NUVEEN NASDAQ 100 DYNAMIC OVER COM SHS CUSIP 670699107 SYMBOL QQQX                                                                   | P                                               | 2016-06-17                              | 2016-07-13                          |
| NUVEEN GLOBAL EQUITY INCOME FD CUSIP 6706EH103 SYMBOL JGVOLD                                                                         | P                                               | 2016-05-13                              | 2016-07-13                          |
| NUVEEN REAL ESTATE INCOME FD CUSIP 67071B108/ SYMBOL JRS                                                                             | P                                               | 2016-07-12                              | 2016-07-13                          |
| NUVEEN MUN VALUE FD INCORPORATED CUSIP 670928100 SYMBOL NUV                                                                          | P                                               | 2016-07-12                              | 2016-07-13                          |
| RMR REAL ESTATE INCOME FUND CUSIP 76970B101 SYMBOL RIF                                                                               | P                                               | 2016-04-27                              | 2016-07-13                          |
| SWISS HELVETIA FD INCORPORATED CUSIP 870875101 SYMBOL SWZ                                                                            | P                                               | 2015-12-31                              | 2016-07-13                          |
| TEKLA HEALTHCARE OPPORTUNIT FD SHS CUSIP 879105104 SYMBOL THQ                                                                        | P                                               | 2016-07-06                              | 2016-07-13                          |
| TEMPLETON DRAGON FD INCORPORATED CUSIP 88018T101 SYMBOL TDF                                                                          | P                                               | 2016-03-23                              | 2016-07-13                          |
| TEMPLETON EMERGING MKTS FD INCORPORATED/CUSIP 880191101 /SYMBOL EMF                                                                  | P                                               | 2016-04-08                              | 2016-07-13                          |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h |                                            |                                                 |                                              |
|--------------------------------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| (e) Gross sales price                                                                      | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
| 32,172                                                                                     |                                            | 31,692                                          | 480                                          |
| 39,183                                                                                     |                                            | 37,637                                          | 1,546                                        |
| 25,797                                                                                     |                                            | 22,846                                          | 2,951                                        |
| 2,376                                                                                      |                                            | 2,372                                           | 4                                            |
| 58,970                                                                                     |                                            | 59,929                                          | -959                                         |
| 8,800                                                                                      |                                            | 7,657                                           | 1,143                                        |
| 4,028                                                                                      |                                            | 4,160                                           | -132                                         |
| 58,274                                                                                     |                                            | 57,695                                          | 579                                          |
| 7,735                                                                                      |                                            | 7,343                                           | 392                                          |
| 15,248                                                                                     |                                            | 13,697                                          | 1,551                                        |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l  |                                      |                                               |                                                                                           |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or<br>Losses (from col (h)) |
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                           |
|                                                                                             |                                      |                                               | 480                                                                                       |
|                                                                                             |                                      |                                               | 1,546                                                                                     |
|                                                                                             |                                      |                                               | 2,951                                                                                     |
|                                                                                             |                                      |                                               | 4                                                                                         |
|                                                                                             |                                      |                                               | -959                                                                                      |
|                                                                                             |                                      |                                               | 1,143                                                                                     |
|                                                                                             |                                      |                                               | -132                                                                                      |
|                                                                                             |                                      |                                               | 579                                                                                       |
|                                                                                             |                                      |                                               | 392                                                                                       |
|                                                                                             |                                      |                                               | 1,551                                                                                     |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d**

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| VOYA EMERGING MKTS HIGH DIVID CUSIP 92912P108 SYMBOL IHD                                                                             | P                                               | 2016-06-21                              | 2016-07-13                          |
| VOYA GLBL ADV & PREM OPP FD CUSIP 92912R104 SYMBOL IGA                                                                               | P                                               | 2016-06-06                              | 2016-07-13                          |
| VOYA INFRASTRUCTURE INDLS & MT/CUSIP 92912X101 /SYMBOL IDE                                                                           | P                                               | 2015-08-13                              | 2016-07-13                          |
| WESTERN ASSET CLYM INFL OPP IN CUSIP 95766R104 SYMBOL WIW                                                                            | P                                               | 2016-06-08                              | 2016-07-13                          |
| ZWEIG FD COM NEW CUSIP 989834205 SYMBOL ZF                                                                                           | P                                               | 2016-06-20                              | 2016-07-13                          |
| ALPINE GLOBAL PREMIER PPTYS FD COM SBI CUSIP 02083A103 SYMBOL AWP                                                                    | P                                               | 2015-04-02                              | 2016-07-13                          |
| DEUTSCHE GLOBAL HIGH INCOME FD CUSIP 25158V108 /SYMBOL LBF                                                                           | P                                               | 2014-06-20                              | 2016-07-13                          |
| DEUTSCHE HIGH INCOME OPPORT FD CUSIP 25158Y102 SYMBOL DHG                                                                            | P                                               | 2014-06-16                              | 2016-07-13                          |
| NUVEEN DIVERSIFIED COMMODTY FD COM UT BEN INT/ CUSIP<br>67074P104 /SYMBOL CFD                                                        | P                                               | 2014-12-18                              | 2016-07-13                          |
| ADAMS DIVERSIFIED EQUITY FD CUSIP 006212104/ SYMBOL ADX                                                                              | P                                               | 2015-11-03                              | 2016-07-14                          |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 10,262                |                                            | 9,928                                           | 334                                          |
| 56,934                |                                            | 56,983                                          | -49                                          |
| 20,247                |                                            | 20,928                                          | -681                                         |
| 59,253                |                                            | 58,253                                          | 1,000                                        |
| 57,257                |                                            | 57,033                                          | 224                                          |
| 3,109                 |                                            | 3,778                                           | -669                                         |
| 825                   |                                            | 836                                             | -11                                          |
| 14,748                |                                            | 15,639                                          | -891                                         |
| 21,362                |                                            | 25,592                                          | -4,230                                       |
| 27,129                |                                            | 28,802                                          | -1,673                                       |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                               | (I) Gains (Col (h) gain minus<br>col (k), but not less than -0-) or<br>Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69                                                                    | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col (i)<br>over col (j), if any |                                                                                              |
|                                                                                             |                                      |                                               | 334                                                                                          |
|                                                                                             |                                      |                                               | -49                                                                                          |
|                                                                                             |                                      |                                               | -681                                                                                         |
|                                                                                             |                                      |                                               | 1,000                                                                                        |
|                                                                                             |                                      |                                               | 224                                                                                          |
|                                                                                             |                                      |                                               | -669                                                                                         |
|                                                                                             |                                      |                                               | -11                                                                                          |
|                                                                                             |                                      |                                               | -891                                                                                         |
|                                                                                             |                                      |                                               | -4,230                                                                                       |
|                                                                                             |                                      |                                               | -1,673                                                                                       |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e g , real estate,<br>(a) 2-story brick warehouse, or common stock, 200 shs MLC Co ) | (b)<br>How acquired<br>P—Purchase<br>D—Donation | (c)<br>Date acquired<br>(mo , day, yr ) | (d)<br>Date sold<br>(mo , day, yr ) |
|--------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------|-------------------------------------|
| ALLIANZGI DIVERS INCORPORATED & CNV FD CUSIP 01883J108 SYMBOL ACV                                                                    | P                                               | 2016-02-02                              | 2016-07-14                          |
| CLEARBRIDGE ENERGY MLP OPP FD CUSIP 18469P100 SYMBOL EMO                                                                             | P                                               | 2016-04-05                              | 2016-07-14                          |
| CLOUGH GLOBAL DIVND AND INCORPORATED FD CUSIP 18913Y103 SYMBOL GLV                                                                   | P                                               | 2016-04-20                              | 2016-07-14                          |
| COLUMBIA SELIGM PREM TECH GRW CUSIP 19842X109 SYMBOL STK                                                                             | P                                               | 2016-03-21                              | 2016-07-14                          |
| GUGGENHEIM EQ WEIGHT ENHANC EQ COM SH BEN INT CUSIP 40167M106 SYMBOL GEQ                                                             | P                                               | 2016-02-17                              | 2016-07-14                          |
| HERZFELD CARIBBEAN BASIN FD CUSIP 42804T106 SYMBOL CUBA                                                                              | P                                               | 2016-04-08                              | 2016-07-14                          |
| TEMPLETON DRAGON FD INCORPORATED CUSIP 88018T101 SYMBOL TDF                                                                          | P                                               | 2016-03-23                              | 2016-07-14                          |
| NUVEEN DIVERSIFIED COMMODTY FD COM UT BEN INT/ CUSIP 67074P104 /SYMBOL CFD                                                           | P                                               | 2014-12-18                              | 2016-07-14                          |
| CAPITAL GAINS DIVIDENDS                                                                                                              | P                                               |                                         |                                     |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 18,590                |                                            | 16,649                                          | 1,941                                        |
| 38,741                |                                            | 29,585                                          | 9,156                                        |
| 13,403                |                                            | 12,941                                          | 462                                          |
| 6,680                 |                                            | 7,002                                           | -322                                         |
| 5,657                 |                                            | 5,021                                           | 636                                          |
| 2,536                 |                                            | 2,732                                           | -196                                         |
| 7,907                 |                                            | 7,494                                           | 413                                          |
| 19,174                |                                            | 23,114                                          | -3,940                                       |
| 12,357                |                                            |                                                 | 12,357                                       |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                   |                                            | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|-----------------------------------|--------------------------------------------|----------------------------------------------------------------------------------------|
| (i) 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 |                                                                                        |
|                                                                                             |                                   |                                            | 1,941                                                                                  |
|                                                                                             |                                   |                                            | 9,156                                                                                  |
|                                                                                             |                                   |                                            | 462                                                                                    |
|                                                                                             |                                   |                                            | -322                                                                                   |
|                                                                                             |                                   |                                            | 636                                                                                    |
|                                                                                             |                                   |                                            | -196                                                                                   |
|                                                                                             |                                   |                                            | 413                                                                                    |
|                                                                                             |                                   |                                            | -3,940                                                                                 |
|                                                                                             |                                   |                                            | 12,357                                                                                 |

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient                                                                  | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount  |
|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|---------|
| Name and address (home or business)                                        |                                                                                                                    |                                      |                                     |         |
| <b>a</b> <i>Paid during the year</i>                                       |                                                                                                                    |                                      |                                     |         |
| ARTS FOR RURAL TEXAS<br>114 N LIVE OAK PO BOX 33<br>FAYETTEVILLE, TX 78940 | N/A                                                                                                                | SEC 501(C)<br>(3)                    | GENERAL FUND                        | 50,000  |
| THE GALLOWAY SCHOOL<br>3200 WEST BAY AREA BLVD<br>FRIENDSWOOD, TX 77546    | N/A                                                                                                                | SEC 501(C)<br>(3)                    | GENERAL FUND                        | 60,000  |
| TEXAS A&M FOUNDATION<br>400 BIZZEL ST<br>COLLEGE STATION, TX 77843         | N/A                                                                                                                | SEC 501(C)<br>(3)                    | GENERAL FUND                        | 50,000  |
| ST MARTIN'S EPISCOPAL CHURCH<br>717 SAGE ROAD<br>HOUSTON, TX 77056         | N/A                                                                                                                | SEC 501(C)<br>(3)                    | GENERAL FUND                        | 15,000  |
| YMCA OF HOUSTON PO BOX 3007<br>HOUSTON, TX 77253                           | N/A                                                                                                                | SEC 501(C)<br>(3)                    | GENERAL FUND                        | 50,000  |
| <b>Total . . . . . ▶</b><br><b>3a</b>                                      |                                                                                                                    |                                      |                                     | 300,000 |

| Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment |                                                                                                           |                                |                                  |         |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|--------------------------------|----------------------------------|---------|
| 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)                                                                      |                                                                                                           |                                |                                  |         |
| <b>a</b> Paid during the year                                                                            |                                                                                                           |                                |                                  |         |
| PRESIDIO LA BAHIA FOUNDATION<br>PO BOX 57<br>GOLIAD, TX 77963                                            | N/A                                                                                                       | SEC 501(C)<br>(3)              | GENERAL FUND                     | 50,000  |
| BOYS & GIRLS COUNTRY<br>18806 ROBERTS ROAD<br>HOCKLEY, TX 77447                                          | N/A                                                                                                       | SEC 501(C)<br>(3)              | GENERAL FUND                     | 10,000  |
| CAMP ALLEN 1880 FM 362<br>NAVASOTA, TX 77868                                                             | N/A                                                                                                       | SEC 501(C)<br>(3)              | GENERAL FUND                     | 15,000  |
| <b>Total . . . . . ▶</b><br><b>3a</b>                                                                    |                                                                                                           |                                |                                  | 300,000 |

**TY 2016 Accounting Fees Schedule**

**Name:** THE MARIE M AND JAMES H GALLOWAY  
FOUNDATION

**EIN:** 76-0314195

| Category        | Amount | Net Investment<br>Income | Adjusted Net<br>Income | Disbursements<br>for Charitable<br>Purposes |
|-----------------|--------|--------------------------|------------------------|---------------------------------------------|
| ACCOUNTING FEES | 24,180 | 21,762                   |                        | 2,418                                       |



**TY 2016 Investments Corporate Bonds Schedule**

**Name:** THE MARIE M AND JAMES H GALLOWAY  
FOUNDATION

**EIN:** 76-0314195

| Name of Bond                         | End of Year Book Value | End of Year Fair Market Value |
|--------------------------------------|------------------------|-------------------------------|
| DOUBLELINE TOTAL RETURN BOND FD      | 333,358                | 321,331                       |
| GOLDMAN SACHS STRG INCOME FUND INSTL | 341,037                | 325,316                       |

**TY 2016 Investments Corporate Stock Schedule**

**Name:** THE MARIE M AND JAMES H GALLOWAY  
FOUNDATION  
**EIN:** 76-0314195

| Name of Stock                      | End of Year Book Value | End of Year Fair Market Value |
|------------------------------------|------------------------|-------------------------------|
| MERRILL LYNCH #19J38 - EXXON STOCK | 0                      | 0                             |
| MERRILL LYNCH #10167 - EXXON STOCK | 0                      | 0                             |
| ALPHABET INC                       | 191,174                | 192,955                       |
| ABBOTT LABORATORIES                | 0                      | 0                             |
| ABBVIE INC                         | 0                      | 0                             |
| ACCENTURE PLC CL A F               | 0                      | 0                             |
| ALTRIA GROUP INC                   | 0                      | 0                             |
| AMER ELECTRIC PWR CO               | 0                      | 0                             |
| AMERICAN INTL GROUP                | 0                      | 0                             |
| APPLE INC                          | 148,817                | 162,148                       |
| ARES CAPITAL CORP                  | 79,773                 | 77,915                        |
| ARTHUR J GALLAGHER&C               | 58,952                 | 62,352                        |
| AUTO DATA PROCESSING               | 0                      | 0                             |
| BERKSHIRE HATHAWAY                 | 70,825                 | 77,416                        |
| BOEING CO                          | 0                      | 0                             |
| BROADCOM LTD                       | 92,021                 | 92,804                        |
| BROADRIDGE FINL SOLU               | 96,278                 | 92,820                        |
| CHARTER COMMUNICATION              | 119,415                | 129,564                       |
| CITIGROUP INC                      | 121,598                | 153,032                       |
| CATERPILLAR INC                    | 0                      | 0                             |
| DELPHI AUTOMOTIVE PLC F            | 89,318                 | 90,923                        |
| ENVISION HEALTHCARE                | 141,411                | 134,491                       |
| GENERAL DYNAMICS CO                | 140,363                | 159,711                       |
| HONEYWELL INTL INC                 | 123,219                | 124,539                       |
| MASTERCARE INC                     | 75,541                 | 77,438                        |
| MEDTRONIC PLC                      | 155,250                | 129,995                       |
| MICHAELS COMPANIES                 | 143,804                | 121,678                       |
| MICROSOFT CORP                     | 130,282                | 141,369                       |
| MOODYS CORP                        | 59,127                 | 51,849                        |
| PRICELINE GROUP                    | 141,045                | 146,606                       |

| Name of Stock        | End of Year Book Value | End of Year Fair Market Value |
|----------------------|------------------------|-------------------------------|
| TEXAS INSTRUMENTS    | 58,786                 | 62,025                        |
| THERMO FISHER SCNTFC | 90,381                 | 84,660                        |
| WALGREENS BOOTS ALLI | 170,591                | 173,796                       |
| UNITEDHEALTH GRP INC | 138,968                | 164,041                       |
| WELLS FARGO & CO     | 70,756                 | 79,910                        |
| CDK GLOBAL INC       | 0                      | 0                             |
| CENTERPOINT ENERGY   | 0                      | 0                             |
| CISCO SYSTEMS INC    | 0                      | 0                             |
| DUKE ENERGY CORP     | 0                      | 0                             |
| EMERSON ELECTRIC CO  | 0                      | 0                             |
| GENERAL ELECTRIC CO  | 0                      | 0                             |
| GENERAL MILLS INC    | 0                      | 0                             |
| GOLDMAN SACHS GROUP  | 0                      | 0                             |
| HOME DEPOT INC       | 0                      | 0                             |
| HUNTSMAN CORPORATION | 0                      | 0                             |
| JOHNSON & JOHNSON    | 0                      | 0                             |
| KINDER MORGAN INC    | 0                      | 0                             |
| MARSH & MC LENNAN CO | 0                      | 0                             |
| MC DONALDS CORP      | 0                      | 0                             |
| MONDELEZ INTL        | 0                      | 0                             |
| MOTOROLA SOLUTIONS   | 0                      | 0                             |
| NIKE INC             | 0                      | 0                             |
| PENTAIR PLC          | 0                      | 0                             |
| PFIZER INCORPORATED  | 0                      | 0                             |
| PHILLIPS 66          | 0                      | 0                             |
| QUALCOMM INC         | 0                      | 0                             |
| STATE STREET CORP    | 0                      | 0                             |
| TARGET CORPORATION   | 0                      | 0                             |
| TEVA PHARM INDS LTD  | 0                      | 0                             |
| TYCO INTL PLC        | 0                      | 0                             |

| Name of Stock                      | End of Year Book Value | End of Year Fair Market Value |
|------------------------------------|------------------------|-------------------------------|
| US BANCORP                         | 0                      | 0                             |
| UNION PACIFIC CORP                 | 0                      | 0                             |
| VERIZON COMMUNICATION              | 0                      | 0                             |
| 3M COMPANY                         | 0                      | 0                             |
| ADIENT PLC COM                     | 1,119                  | 1,406                         |
| ALLERGAN PLC COM                   | 10,350                 | 9,660                         |
| JOHNSON CONTROLS INTERNATIONAL PLC | 10,641                 | 9,721                         |
| MEDTRONIC PLC                      | 27,300                 | 23,577                        |
| CHUBB LIMITED COM NPV              | 23,659                 | 24,971                        |
| BROADCOM LTD                       | 20,747                 | 22,273                        |
| AFLAC INC                          | 21,275                 | 20,532                        |
| AT&T INC COM                       | 31,213                 | 33,216                        |
| ABBVIE INC                         | 25,282                 | 24,484                        |
| ADOBE SYS INC                      | 21,261                 | 21,722                        |
| ADVANSIX INC COM                   | 147                    | 199                           |
| ALPHABET INC                       | 52,764                 | 53,094                        |
| AMAZON.COM INC                     | 53,675                 | 53,241                        |
| AMGEN INC                          | 19,554                 | 17,838                        |
| APPLE INC                          | 65,480                 | 72,156                        |
| APPLIED MATERIALS INC              | 18,980                 | 20,782                        |
| AUTOMATIC DATA PROCESSING INC      | 20,053                 | 20,659                        |
| BB & T CORP                        | 10,975                 | 12,742                        |
| BANK OF AMERICA CORP               | 20,899                 | 26,785                        |
| BECTON DICKINSON CO                | 18,916                 | 18,211                        |
| BERKSHIRE HATHAWAY                 | 31,843                 | 34,552                        |
| BLACKROCK INC                      | 22,533                 | 23,213                        |
| BOEING CO                          | 11,010                 | 12,454                        |
| BRISTOL MYERS SQUIBB               | 14,346                 | 12,681                        |
| CVS HEALTH CORP COM                | 12,818                 | 11,994                        |
| CATERPILLAR INC                    | 18,010                 | 18,733                        |

| Name of Stock                 | End of Year Book Value | End of Year Fair Market Value |
|-------------------------------|------------------------|-------------------------------|
| CELGENE CORP                  | 21,885                 | 21,530                        |
| CHEVRON CORP NEW COM          | 26,046                 | 29,425                        |
| CISCO SYSTEMS INC             | 20,925                 | 21,214                        |
| COCA COLA CO                  | 19,269                 | 18,781                        |
| COMCAST CORP NEW CL A         | 18,099                 | 18,574                        |
| COSTCO WHOLESALE CORP         | 16,176                 | 16,651                        |
| DANAHER CORP COM              | 16,855                 | 16,269                        |
| DISNEY WALT CO                | 18,263                 | 19,698                        |
| DISCOVER FINL SVCS            | 15,337                 | 17,806                        |
| DOMINION RESOURCES INC        | 22,864                 | 23,819                        |
| DOW CHEMICAL CO               | 21,296                 | 22,888                        |
| DUKE ENERGY CORP              | 22,818                 | 22,587                        |
| EOG RESOURCES INC             | 23,463                 | 27,398                        |
| ECOLAB INC                    | 12,407                 | 12,308                        |
| FACEBOOK INC                  | 33,023                 | 31,409                        |
| GENERAL ELECTRIC CO           | 31,902                 | 34,318                        |
| GENERAL MTRS CO               | 15,241                 | 16,235                        |
| GILEAD SCIENCES INC           | 13,272                 | 12,102                        |
| HEWLETT PACKARD ENTERPRISE CO | 16,304                 | 22,076                        |
| HOME DEPOT INC                | 24,861                 | 31,643                        |
| HONEYWELL INTL INC            | 24,164                 | 24,560                        |
| INTEL CORP                    | 18,404                 | 20,311                        |
| INTL BUSINESS MACH            | 27,648                 | 28,716                        |
| INTL PAPER CO                 | 18,022                 | 20,534                        |
| JPMORGAN CHASE & CO           | 44,591                 | 54,104                        |
| JOHNSON & JOHNSON             | 33,907                 | 38,480                        |
| KIMBERLY CLARK CORP           | 20,057                 | 18,716                        |
| KRAFT HEINZ                   | 20,445                 | 21,306                        |
| LOCKHEED MARTIN CORP          | 10,889                 | 10,497                        |
| MCDONALDS CORP                | 15,824                 | 15,580                        |

| Name of Stock                | End of Year Book Value | End of Year Fair Market Value |
|------------------------------|------------------------|-------------------------------|
| MERCK & CO INC               | 28,623                 | 27,551                        |
| MICROSOFT CORP               | 58,800                 | 68,789                        |
| MOODYS CORP                  | 14,035                 | 12,821                        |
| MORGAN STANLEY               | 18,911                 | 22,266                        |
| NEWELL BRANDS INC            | 14,193                 | 15,360                        |
| NEXTERA ENERGY INC           | 20,398                 | 20,308                        |
| NIKE INC                     | 7,317                  | 7,726                         |
| OMNICOM GROUP                | 14,905                 | 15,064                        |
| ORACLE CORP COM              | 15,039                 | 14,419                        |
| PEPSICO INC                  | 37,889                 | 37,667                        |
| PFIZER INCORPORATED          | 25,345                 | 23,645                        |
| PIONEER NATURAL RESOURCES CO | 14,761                 | 14,766                        |
| PRAXAIR INC                  | 12,521                 | 12,305                        |
| PROCTER AND GAMBLE CO        | 51,112                 | 50,532                        |
| ROSS STORES INC              | 14,698                 | 15,088                        |
| S&P GLOBAL INC               | 14,961                 | 13,227                        |
| SCHLUMBERGER LIMITED COM     | 27,249                 | 28,711                        |
| SOUTHWEST AIRLNS CO          | 20,082                 | 24,023                        |
| STARBUCKS CORP COM           | 12,900                 | 12,770                        |
| SUNTRUST BANKS INC           | 11,451                 | 13,109                        |
| TJX COS INC                  | 14,407                 | 14,275                        |
| TEXAS INSTRUMENTS            | 23,508                 | 24,372                        |
| THERMO FISHER SCNTFC         | 20,675                 | 18,907                        |
| 3M COMPANY                   | 28,914                 | 32,500                        |
| US BANCORP                   | 20,753                 | 25,788                        |
| UNION PACIFIC CORP           | 15,031                 | 16,174                        |
| UNITED PARCEL SVC INC        | 22,854                 | 24,533                        |
| UNITED TECHNOLOGIES CORP COM | 25,525                 | 26,090                        |
| UNITEDHEALTH GRP INC         | 25,000                 | 36,009                        |
| VERIZON COMMUNICATION        | 25,722                 | 28,078                        |

| Name of Stock                           | End of Year Book Value | End of Year Fair Market Value |
|-----------------------------------------|------------------------|-------------------------------|
| VISA INC                                | 29,712                 | 29,570                        |
| WAL-MART STORES INC                     | 9,299                  | 8,364                         |
| WALGREENS BOOTS ALLIANCE INC            | 11,080                 | 11,090                        |
| WELLS FARGO & CO                        | 21,175                 | 28,878                        |
| AT&T INC COM                            | 149,789                | 153,576                       |
| ABBVIE INC                              | 51,502                 | 49,157                        |
| ALTRIA GROUP INC                        | 134,962                | 151,266                       |
| AMGEN INC                               | 51,848                 | 46,202                        |
| BB & T CORP                             | 44,578                 | 54,684                        |
| BOEING CO                               | 98,839                 | 113,958                       |
| CMS ENERGY CORP                         | 61,435                 | 58,393                        |
| CENTERPOINT ENERGY                      | 68,926                 | 76,162                        |
| CHEVRON CORP NEW COM                    | 82,209                 | 94,984                        |
| CINCINNATI FINL CORP                    | 41,061                 | 41,966                        |
| CISCO SYSTEMS INC                       | 107,270                | 108,792                       |
| COCA COLA CO                            | 87,628                 | 84,537                        |
| DOMINION RESOURCES INC                  | 75,702                 | 76,360                        |
| DOW CHEMICAL CO                         | 62,178                 | 66,661                        |
| DUKE ENERGY CORP                        | 101,185                | 99,819                        |
| GENERAL ELECTRIC CO                     | 133,268                | 138,882                       |
| GENERAL MILLS INC                       | 36,520                 | 38,174                        |
| GLAZOSMITHKLINE ADR EACH CNV INTO 2 ORD | 50,618                 | 43,016                        |
| INTEL CORP                              | 73,768                 | 80,012                        |
| INTL BUSINESS MACH                      | 64,420                 | 67,060                        |
| INTL PAPER CO                           | 61,411                 | 70,411                        |
| JPMORGAN CHASE & CO                     | 84,423                 | 106,827                       |
| JOHNSON & JOHNSON                       | 38,940                 | 44,125                        |
| KIMBERLY CLARK CORP                     | 47,821                 | 43,137                        |
| LILLY ELI & CO                          | 42,384                 | 46,851                        |
| LOCKHEED MARTIN CORP                    | 99,971                 | 97,727                        |

| Name of Stock                        | End of Year Book Value | End of Year Fair Market Value |
|--------------------------------------|------------------------|-------------------------------|
| MACQUARIE INFRASTRUCTURE CORP        | 44,085                 | 46,651                        |
| MATTEL INC                           | 68,151                 | 57,111                        |
| MAXIM INTEGRATED PRODS INC           | 51,329                 | 48,521                        |
| MCDONALDS CORP                       | 57,253                 | 68,285                        |
| MERCK & CO INC                       | 76,445                 | 74,942                        |
| METLIFE INC                          | 44,112                 | 48,932                        |
| MICROSOFT CORP                       | 112,355                | 135,962                       |
| OCCIDENTAL PETROLEUM CORP            | 45,583                 | 43,949                        |
| PAYCHEX INC                          | 55,106                 | 57,532                        |
| PEOPLES UNITED FINANCIAL INC         | 47,615                 | 57,751                        |
| PEPSICO INC                          | 104,810                | 102,537                       |
| PFIZER INCORPORATED                  | 117,412                | 117,545                       |
| PHILIP MORRIS INTL INC               | 112,655                | 106,220                       |
| PROCTER AND GAMBLE CO                | 87,991                 | 86,182                        |
| REYNOLDS AMERN INC                   | 48,921                 | 53,742                        |
| ROYAL DUTCH SHELL PLC                | 41,075                 | 45,391                        |
| SOUTHERN CO                          | 85,207                 | 80,918                        |
| TUPPERWARE BRANDS CORP               | 43,894                 | 36,834                        |
| UNITED PARCEL SVC INC                | 43,373                 | 45,512                        |
| VERIZON COMMUNICATIONS               | 130,875                | 134,945                       |
| WAL-MART STORES INC                  | 65,777                 | 61,517                        |
| WELLS FARGO & CO                     | 57,441                 | 63,046                        |
| ALLSTATE CORP DEP SH                 | 9,628                  | 8,925                         |
| BANK OF AMERICA CORP                 | 13,856                 | 13,086                        |
| CAPITAL ONE FINL CORP DEPOSITARY SHS | 14,033                 | 13,133                        |
| JPMORGAN CHASE & CO DEPOSITARY SHS   | 9,666                  | 9,378                         |
| WISDOMTREE TR SMALL CAP EARNINGS     | 74,496                 | 87,867                        |
| MEDTRONIC PLC                        | 31,243                 | 28,919                        |
| ANADARKO PETE CORP                   | 112,693                | 97,622                        |
| BAKER HUGHES INC                     | 57,125                 | 66,984                        |



| Name of Stock                       | End of Year Book Value | End of Year Fair Market Value |
|-------------------------------------|------------------------|-------------------------------|
| CENOVUS ENERGY INC                  | 9,774                  | 8,896                         |
| CONOCOPHILLIPS                      | 26,755                 | 21,660                        |
| COSTCO WHOLESALE CORP               | 7,018                  | 7,525                         |
| DIAMOND OFFSHORE DRILLING INC       | 2,688                  | 1,770                         |
| EMERSON ELECTRIC CO                 | 11,136                 | 11,150                        |
| ENCANA CORP                         | 6,386                  | 6,903                         |
| EXXON MOBIL CORP                    | 35,100,904             | 37,524,963                    |
| FOMENTO ECONOMICO MEXICANO SAB SPON | 9,020                  | 7,621                         |
| HEWLETT PACKARD ENTERPRISE CO       | 9,331                  | 12,634                        |
| HOME DEPOT INC                      | 6,412                  | 8,045                         |
| JOHNSON & JOHNSON                   | 68,925                 | 78,112                        |
| KBR INC                             | 14,605                 | 16,690                        |
| KINDER MORGAN INC                   | 5,072                  | 2,589                         |
| NATIONAL OILWELL VARCO INC          | 106,489                | 83,192                        |
| NEWELL BRANDS INC                   | 32,716                 | 35,407                        |
| NIKE INC                            | 29,840                 | 31,515                        |
| PHILLIPS 66                         | 16,311                 | 18,665                        |
| STATOIL ASA SPONSORED ADR           | 8,190                  | 9,120                         |
| 3M COMPANY                          | 48,929                 | 55,000                        |
| US BANCORP DEL COM                  | 27,154                 | 33,750                        |
| UNITEDHEALTH GRP INC                | 11,906                 | 16,804                        |
| WALGREENS BOOTS ALLIANCE INC        | 3,535                  | 3,393                         |

**TY 2016 Investments Government Obligations Schedule**

**Name:** THE MARIE M AND JAMES H GALLOWAY  
FOUNDATION

**EIN:** 76-0314195

**US Government Securities - End  
of Year Book Value:**

0

**US Government Securities - End  
of Year Fair Market Value:**

0

**State & Local Government  
Securities - End of Year Book  
Value:**

387,265

**State & Local Government  
Securities - End of Year Fair  
Market Value:**

382,837

**TY 2016 Investments - Other Schedule**

**Name:** THE MARIE M AND JAMES H GALLOWAY  
FOUNDATION

**EIN:** 76-0314195

| Category/ Item                      | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|-------------------------------------|-----------------------|------------|-------------------------------|
| WEINGARTEN RLT                      | FMV                   | 0          | 0                             |
| AMERICAN TOWER CORPORATION          | FMV                   | 20,787     | 19,974                        |
| SIMON PPTY GRP INC                  | FMV                   | 13,866     | 12,437                        |
| ISHARES IBOXX INVESTMENT GRADE      | FMV                   | 48,169     | 46,286                        |
| ISHARES TR IBOXX HI YD ETF          | FMV                   | 53,577     | 54,613                        |
| ISHARES TR US PFD STK ETF           | FMV                   | 86,532     | 81,453                        |
| CROWN CASTLE INTL CORP              | FMV                   | 59,714     | 55,272                        |
| EPR PPTYS SBI                       | FMV                   | 48,423     | 44,210                        |
| LAMAR ADVERTISING CO                | FMV                   | 76,654     | 77,864                        |
| NATIONAL RETAIL PPTYS INC           | FMV                   | 61,416     | 53,791                        |
| SIMON PPTY GRP INC                  | FMV                   | 73,132     | 61,118                        |
| WEINGARTERN RLTY INVS SH BEN INT    | FMV                   | 40,880     | 40,872                        |
| OPPENHEIMER GOLD & SPEC MINERALS CL | FMV                   | 267,234    | 115,018                       |
| ISHARES SILVER TR ISHARES           | FMV                   | 5,964      | 6,044                         |
| SPDR GOLD TR GOLD SHS               | FMV                   | 3,648      | 3,617                         |
| PIEDMONT OFFICE RLTY TR INC         | FMV                   | 12,544     | 14,637                        |
| WEINGARTEN RLTY INVS SH BENT INT    | FMV                   | 4,616      | 4,617                         |

**TY 2016 Other Expenses Schedule**

**Name:** THE MARIE M AND JAMES H GALLOWAY  
FOUNDATION

**EIN:** 76-0314195

**Other Expenses Schedule**

| Description                                     | Revenue and<br>Expenses per<br>Books | Net Investment<br>Income | Adjusted Net<br>Income | Disbursements for<br>Charitable<br>Purposes |
|-------------------------------------------------|--------------------------------------|--------------------------|------------------------|---------------------------------------------|
| MEALS & ENTERTAINMENT                           | 115                                  | 58                       |                        | 0                                           |
| POSTAGE                                         | 13                                   | 13                       |                        | 0                                           |
| OFFICE SUPPLIES                                 | 75                                   | 75                       |                        | 0                                           |
| SOFTWARE                                        | 169                                  | 169                      |                        | 0                                           |
| NUVEEN DIVERSIFIED COMMODITY FUND (FROM<br>K-1) | 406                                  | 406                      |                        | 0                                           |
| ENTERPRISE PRODUCTS PARTNERS LP                 | 46                                   | 46                       |                        | 0                                           |

**TY 2016 Other Income Schedule**

**Name:** THE MARIE M AND JAMES H GALLOWAY  
FOUNDATION

**EIN:** 76-0314195

**Other Income Schedule**

| Description                       | Revenue And<br>Expenses Per Books | Net Investment<br>Income | Adjusted Net Income |
|-----------------------------------|-----------------------------------|--------------------------|---------------------|
| ENTERPRISE PRODUCTS PARTNERS UBTL | -2,212                            | 0                        | -2,212              |
| OTHER INCOME                      | 5,228                             | 5,228                    | 5,228               |

**TY 2016 Other Professional Fees Schedule**

**Name:** THE MARIE M AND JAMES H GALLOWAY  
FOUNDATION

**EIN:** 76-0314195

| Category                   | Amount | Net Investment<br>Income | Adjusted Net<br>Income | Disbursements<br>for Charitable<br>Purposes |
|----------------------------|--------|--------------------------|------------------------|---------------------------------------------|
| INVESTMENT MANAGEMENT FEES | 69,530 | 69,530                   |                        | 0                                           |

**TY 2016 Taxes Schedule**

**Name:** THE MARIE M AND JAMES H GALLOWAY  
FOUNDATION

**EIN:** 76-0314195

| Category                            | Amount | Net Investment<br>Income | Adjusted Net<br>Income | Disbursements<br>for Charitable<br>Purposes |
|-------------------------------------|--------|--------------------------|------------------------|---------------------------------------------|
| CHARLES SCHWAB - FOREIGN TAXES PAID | 417    | 417                      |                        | 0                                           |
| FEDERAL INCOME TAXES                | 27,479 | 0                        |                        | 0                                           |

|                                                                                                                              |                                                                                                                                                                                                                    |                                                     |
|------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| <b>Schedule B</b><br>(Form 990, 990-EZ, or 990-PF)<br><small>Department of the Treasury<br/>Internal Revenue Service</small> | <b>Schedule of Contributors</b><br><br>▶ <b>Attach to Form 990, 990-EZ, or 990-PF</b><br>▶ <b>Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at <u>www.irs.gov/form990</u></b> | OMB No 1545-0047<br><br><b>2016</b>                 |
|                                                                                                                              | <b>Name of the organization</b><br>THE MARIE M AND JAMES H GALLOWAY<br>FOUNDATION                                                                                                                                  | <b>Employer identification number</b><br>76-0314195 |

**Organization type** (check one)

|                    |                                                                                                           |
|--------------------|-----------------------------------------------------------------------------------------------------------|
| <b>Filers of:</b>  | <b>Section:</b>                                                                                           |
| Form 990 or 990-EZ | <input type="checkbox"/> 501(c)( ) (enter number) organization                                            |
|                    | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust <b>not</b> treated as a private foundation |
|                    | <input type="checkbox"/> 527 political organization                                                       |
| Form 990-PF        | <input checked="" type="checkbox"/> 501(c)(3) exempt private foundation                                   |
|                    | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation            |
|                    | <input type="checkbox"/> 501(c)(3) taxable private foundation                                             |

Check if your organization is covered by the **General Rule** or a **Special Rule**.  
**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions

**General Rule**

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or other property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

**Special Rules**

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33<sup>1</sup>/<sub>3</sub>% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. . . . ▶ \$ \_\_\_\_\_

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).



|                                                                               |                                                     |
|-------------------------------------------------------------------------------|-----------------------------------------------------|
| <b>Name of organization</b><br>THE MARIE M AND JAMES H GALLOWAY<br>FOUNDATION | <b>Employer identification number</b><br>76-0314195 |
|-------------------------------------------------------------------------------|-----------------------------------------------------|

| <b>Part I</b> <b>Contributors</b> (see instructions) Use duplicate copies of Part I if additional space is needed |                                   |                            |                                             |
|-------------------------------------------------------------------------------------------------------------------|-----------------------------------|----------------------------|---------------------------------------------|
| (a)<br>No.                                                                                                        | (b)<br>Name, address, and ZIP + 4 | (c)<br>Total contributions | (d)<br>Type of contribution                 |
| 1                                                                                                                 | MARIE M GALLOWAY ESTATE           | \$ 18,575,964              | Person <input type="checkbox"/>             |
|                                                                                                                   | THREE RIVERWAY STE 1200           |                            | Payroll <input type="checkbox"/>            |
|                                                                                                                   | HOUSTON, TX 770561928             |                            | Noncash <input checked="" type="checkbox"/> |
| (Complete Part II for noncash contributions )                                                                     |                                   |                            |                                             |
| (a)<br>No.                                                                                                        | (b)<br>Name, address, and ZIP + 4 | (c)<br>Total contributions | (d)<br>Type of contribution                 |
| 2                                                                                                                 | MARIE M GALLOWAY ESTATE           | \$ 1,107,570               | Person <input checked="" type="checkbox"/>  |
|                                                                                                                   | THREE RIVERWAY STE 1200           |                            | Payroll <input type="checkbox"/>            |
|                                                                                                                   | HOUSTON, TX 770561928             |                            | Noncash <input type="checkbox"/>            |
| (Complete Part II for noncash contributions )                                                                     |                                   |                            |                                             |
| (a)<br>No.                                                                                                        | (b)<br>Name, address, and ZIP + 4 | (c)<br>Total contributions | (d)<br>Type of contribution                 |
| .                                                                                                                 |                                   | \$                         | Person <input type="checkbox"/>             |
|                                                                                                                   |                                   |                            | Payroll <input type="checkbox"/>            |
|                                                                                                                   |                                   |                            | Noncash <input type="checkbox"/>            |
| (Complete Part II for noncash contributions )                                                                     |                                   |                            |                                             |
| (a)<br>No.                                                                                                        | (b)<br>Name, address, and ZIP + 4 | (c)<br>Total contributions | (d)<br>Type of contribution                 |
| .                                                                                                                 |                                   | \$                         | Person <input type="checkbox"/>             |
|                                                                                                                   |                                   |                            | Payroll <input type="checkbox"/>            |
|                                                                                                                   |                                   |                            | Noncash <input type="checkbox"/>            |
| (Complete Part II for noncash contributions )                                                                     |                                   |                            |                                             |
| (a)<br>No.                                                                                                        | (b)<br>Name, address, and ZIP + 4 | (c)<br>Total contributions | (d)<br>Type of contribution                 |
| .                                                                                                                 |                                   | \$                         | Person <input type="checkbox"/>             |
|                                                                                                                   |                                   |                            | Payroll <input type="checkbox"/>            |
|                                                                                                                   |                                   |                            | Noncash <input type="checkbox"/>            |
| (Complete Part II for noncash contributions )                                                                     |                                   |                            |                                             |
| (a)<br>No.                                                                                                        | (b)<br>Name, address, and ZIP + 4 | (c)<br>Total contributions | (d)<br>Type of contribution                 |
| .                                                                                                                 |                                   | \$                         | Person <input type="checkbox"/>             |
|                                                                                                                   |                                   |                            | Payroll <input type="checkbox"/>            |
|                                                                                                                   |                                   |                            | Noncash <input type="checkbox"/>            |
| (Complete Part II for noncash contributions )                                                                     |                                   |                            |                                             |

|                                                                               |                                                         |
|-------------------------------------------------------------------------------|---------------------------------------------------------|
| <b>Name of organization</b><br>THE MARIE M AND JAMES H GALLOWAY<br>FOUNDATION | <b>Employer identification number</b><br><br>76-0314195 |
|-------------------------------------------------------------------------------|---------------------------------------------------------|

| <b>Part II</b> <b>Noncash Property</b> |                                                                                    |                                                |                      |
|----------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------|----------------------|
| (a)<br>No. from Part I                 | (b)<br>Description of noncash property given                                       | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
| 1                                      | STOCK, BONDS AND OTHER FINANCIAL INSTRUMENTS TRANSFERRED FROM<br>BROKERAGE ACCOUNT | \$ 18,575 964                                  | 2016-01-31           |
| (a)<br>No. from Part I                 | (b)<br>Description of noncash property given                                       | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
|                                        |                                                                                    | \$                                             |                      |
| (a)<br>No. from Part I                 | (b)<br>Description of noncash property given                                       | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
|                                        |                                                                                    | \$                                             |                      |
| (a)<br>No. from Part I                 | (b)<br>Description of noncash property given                                       | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
|                                        |                                                                                    | \$                                             |                      |
| (a)<br>No. from Part I                 | (b)<br>Description of noncash property given                                       | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
|                                        |                                                                                    | \$                                             |                      |
| (a)<br>No. from Part I                 | (b)<br>Description of noncash property given                                       | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
|                                        |                                                                                    | \$                                             |                      |

|                                                                               |                                                     |
|-------------------------------------------------------------------------------|-----------------------------------------------------|
| <b>Name of organization</b><br>THE MARIE M AND JAMES H GALLOWAY<br>FOUNDATION | <b>Employer identification number</b><br>76-0314195 |
|-------------------------------------------------------------------------------|-----------------------------------------------------|

|                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Part III</b> | <b>Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ▶ \$ _____</b><br>Use duplicate copies of Part III if additional space is needed |
|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

| (a)<br>No. from Part I | (b) Purpose of gift                   | (c) Use of gift                          | (d) Description of how gift is held |
|------------------------|---------------------------------------|------------------------------------------|-------------------------------------|
|                        | _____                                 | _____                                    | _____                               |
|                        | _____                                 | _____                                    | _____                               |
|                        | (e) Transfer of gift                  |                                          |                                     |
|                        | Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |                                     |
|                        | _____                                 | _____                                    | _____                               |
|                        | _____                                 | _____                                    | _____                               |
|                        | (e) Transfer of gift                  |                                          |                                     |
|                        | Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |                                     |
|                        | _____                                 | _____                                    | _____                               |
|                        | _____                                 | _____                                    | _____                               |
|                        | (e) Transfer of gift                  |                                          |                                     |
|                        | Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |                                     |
|                        | _____                                 | _____                                    | _____                               |
|                        | _____                                 | _____                                    | _____                               |
|                        | (e) Transfer of gift                  |                                          |                                     |
|                        | Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |                                     |
|                        | _____                                 | _____                                    | _____                               |
|                        | _____                                 | _____                                    | _____                               |
|                        | (e) Transfer of gift                  |                                          |                                     |
|                        | Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |                                     |
|                        | _____                                 | _____                                    | _____                               |
|                        | _____                                 | _____                                    | _____                               |
|                        | (e) Transfer of gift                  |                                          |                                     |
|                        | Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |                                     |