Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2016

Open to Public Inspection

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

Name of foundation
Catalyst Foundation
co William H Caudill

A Employer identification number
76-0383386

Number and street (or P O box number if mail is not delivered to street address) Room/suite
1301 McKinney Street

B Telephone number (see instructions)
(713) 654-4640

City or town, state or province, country, and ZIP or foreign postal code
Houston, TX 77010

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)*▶$ 4,240,955

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

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

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

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)				
	2	Check ▶ ☑ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	140,278	140,278		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	23,834			
	b	Gross sales price for all assets on line 6a 1,051,499				
	7	Capital gain net income (from Part IV, line 2)		23,834		
	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)				
	12	**Total.** Add lines 1 through 11	164,112	164,112		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	43,500	8,265		35,235
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	2,219	1,110		1,109
	c	Other professional fees (attach schedule)	52,324	47,444		4,880
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	1,511	1,511		
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings	4,993			4,993
	22	Printing and publications	348			348
	23	Other expenses (attach schedule)	2,191	1,132		1,059
	24	**Total operating and administrative expenses.** Add lines 13 through 23	107,086	59,462		47,624
	25	Contributions, gifts, grants paid	205,789			205,789
	26	**Total expenses and disbursements.** Add lines 24 and 25	312,875	59,462		253,413
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-148,763			
	b	**Net investment income** (if negative, enter -0-)		104,650		
	c	**Adjusted net income**(if negative, enter -0-)				

Part II **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	3,420	89,000	89,000
	2	Savings and temporary cash investments	133,520	87,156	87,156
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)	873,432	784,917	777,342
	b	Investments—corporate stock (attach schedule)	2,852,681	2,753,217	3,287,457
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	3,863,053	3,714,290	4,240,955
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities**(add lines 17 through 22)		0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☑ **and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds	3,863,053	3,714,290	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see instructions)	3,863,053	3,714,290	
	31	**Total liabilities and net assets/fund balances** (see instructions)	3,863,053	3,714,290	

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	3,863,053
2	Enter amount from Part I, line 27a	2	-148,763
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	3,714,290
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	3,714,290

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1 a	Capital gain distributions	P	2015-01-01	2016-12-01
b	Publicly - traded securities	P	2015-01-01	2016-02-01
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	10,937			10,937
b	1,040,562		1,027,665	12,897
c				
d				
e				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
	(i) 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	
a				10,937
b				12,897
c				
d				
e				

2 Capital gain net income or (net capital loss)	If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	23,834
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☑ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	279,875	4,349,363	0 06435
2014	274,213	4,551,881	0 06024
2013	258,787	4,450,155	0 05815
2012	174,212	4,246,736	0 04102
2011	215,312	4,213,226	0 05110

2 Total of line 1, column (d)	2	0 274870
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 054974
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	4,094,625
5 Multiply line 4 by line 3	5	225,098
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,047
7 Add lines 5 and 6	7	226,145
8 Enter qualifying distributions from Part XII, line 4 , ...	8	253,413

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter ________ **(attach copy of letter if necessary–see instructions)**				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b			1	1,047
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			2	
3	Add lines 1 and 2.			3	1,047
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	1,047
6	Credits/Payments				
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	1,700		
b	Exempt foreign organizations—tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c			
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	1,700
8	Enter any **penalty** for underpayment of estimated tax Check here ☑ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	653
11	Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ 653 **Refunded** ▶			11	

Part VII-A Statements Regarding Activities

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

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

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

Website address ▶www catalyst-foundation org

14 The books are in care of ▶Blazek & Vetterling Telephone no ▶(713) 439-5739

Located at ▶2900 Weslayan Suite 200 Houston TX ZIP+4 ▶77027

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

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

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

				Yes	No
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly)				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☑ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?.	☐ Yes ☑ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☑ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☑ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?.	☐ Yes ☑ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days).	☐ Yes ☑ No			
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?		1b		No
	Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐				
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?.		1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))				
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016?.	☐ Yes ☑ No			
	If "Yes," list the years ▶ 20____ , 20____ , 20____ , 20____				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see instructions)		2b		No
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____ , 20____ , 20____ , 20____				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?.	☐ Yes ☑ No			
b	If "Yes," did it have excess business holdings in 2016 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016).*		3b		No
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?		4b		No

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No			
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☑ No			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)?	**5b**		No
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☑ No			
	If "Yes," attach the statement required by Regulations section 53 4945–5(d)			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	**6b**		No
	If "Yes" to 6b, file Form 8870			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☑ No			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	**7b**		No

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

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

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

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

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

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

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

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

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

Part IX-A **Summary of Direct Charitable Activities**

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

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes			
a	Average monthly fair market value of securities.		1a	4,000,458
b	Average of monthly cash balances.		1b	156,522
c	Fair market value of all other assets (see instructions).		1c	0
d	**Total** (add lines 1a, b, and c).		1d	4,156,980
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e 0		
2	Acquisition indebtedness applicable to line 1 assets.		2	
3	Subtract line 2 from line 1d.		3	4,156,980
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).		4	62,355
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4		5	4,094,625
6	**Minimum investment return.** Enter 5% of line 5.		6	204,731

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part)

1	Minimum investment return from Part X, line 6.		1	204,731
2a	Tax on investment income for 2016 from Part VI, line 5.	2a 1,047		
b	Income tax for 2016 (This does not include the tax from Part VI).	2b		
c	Add lines 2a and 2b.		2c	1,047
3	Distributable amount before adjustments Subtract line 2c from line 1.		3	203,684
4	Recoveries of amounts treated as qualifying distributions.		4	
5	Add lines 3 and 4.		5	203,684
6	Deduction from distributable amount (see instructions).		6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.		7	203,684

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26.	1a	253,413
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	253,413
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	1,047
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4.	6	252,366

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				203,684
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.				
b Total for prior years 20___ , 20___ , 20___				
3 Excess distributions carryover, if any, to 2016				
a From 2011.				
b From 2012.				
c From 2013.				
d From 2014.				
e From 2015. 21,404				
f **Total** of lines 3a through e.	21,404			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ $ 253,413				
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2016 distributable amount.				203,684
e Remaining amount distributed out of corpus	49,729			
5 Excess distributions carryover applied to 2016				
(If an amount appears in column (d), the same amount must be shown in column (a))				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	71,133			
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount —see instructions				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions) . . .				
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a	71,133			
10 Analysis of line 9				
a Excess from 2012. . . .				
b Excess from 2013. . . .				
c Excess from 2014. . . .				
d Excess from 2015. . . . 21,404				
e Excess from 2016. . . . 49,729				

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

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

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

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

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

See website wwwcatalyst-foundationo
c/o Epoch Microelectronics
Valhalla, NY 10595
(914) 332-8570
catalysis@catalyst-foundation org

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

Application on website

c Any submission deadlines

See website

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

See website

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year* See Additional Data Table				
Total . . . . ▶ **3a**				205,789
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income (See instructions)
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	140,278	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	23,834	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				164,112	

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 164,112

(See worksheet in line 13 instructions to verify calculations)

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

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

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

		Yes	No
1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501 (c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a Transfers from the reporting foundation to a noncharitable exempt organization of			
(1) Cash	**1a(1)**		**No**
(2) Other assets	**1a(2)**		**No**
b Other transactions			
(1) Sales of assets to a noncharitable exempt organization	**1b(1)**		**No**
(2) Purchases of assets from a noncharitable exempt organization	**1b(2)**		**No**
(3) Rental of facilities, equipment, or other assets	**1b(3)**		**No**
(4) Reimbursement arrangements	**1b(4)**		**No**
(5) Loans or loan guarantees	**1b(5)**		**No**
(6) Performance of services or membership or fundraising solicitations	**1b(6)**		**No**
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees	**1c**		**No**

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

******	2017-05-09	******	May the IRS discuss this return with the preparer shown below (see instr)? ☑ **Yes** ☐ **No**
Signature of officer or trustee	Date	Title	

Paid Preparer Use Only

Print/Type preparer's name	Preparer's Signature	Date	Check if self-employed ▶ ☑	PTIN
Jody Blazek				P00072674
Firm's name ▶ Blazek & Vetterling				Firm's EIN ▶
Firm's address ▶ 2900 Weslayan Suite 200 Houston, TX 770275132				Phone no (713) 439-5739

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Ken Suyama 420 Columbus Avenue Suite 204 Valhalla, NY 10595	President 2 00	24,000		
Yoshihiko Horio 420 Columbus Avenue Suite 204 Valhalla, NY 10595	Vice Pres 2 00	18,000		
William H Caudill 420 Columbus Avenue Suite 204 Valhalla, NY 10595	Secretary 1 00	500		
Hatsumi Suyama 420 Columbus Avenue Suite 204 Valhalla, NY 10595	Treasurer 1 00	500		
Shigeko Woolfalk 420 Columbus Avenue Suite 204 Valhalla, NY 10595	Trustee 1 00	500		

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
Oregon State University 220 Dept/Elec Comp Eng Corvallis, OR 97331	N/A	PC	Research grant - Professor Gabor C Temess for development of a wireless biosensor for monitoring the effects of micro-nutrients on aging	6,169
Columbia University 622 West 113th Street MC4524 New York, NY 10025	N/A	PC	Professor Mingoo Seok Self Aware Computing for Cyber Physical Systems	85,741
Harvard University 33 Oxford Street Cambridge, MA 02138	N/A	PC	Prof Donhee HamCMOS-Assisted Nano-Bio Array for Neurotechnology	54,656
Purdue University 155 South Grant Street West Lafayette, IN 47907	N/A	PC	Prof Byunghoo Jung Urine-Powered Wireless Urinary Tract Infection Monitoring Sensor For Smaer Diaper Platform	39,223
University of California Davis 1850 Research Park Dr Ste 300 Davis, CA 95618	N/A	PC	Professor Xiaoguang Liu - Ultra-low power sensors using aluminum nitride micro-electormechanical (MEMS) resonators	20,000
Total . . . . ▶ **3a**				205,789

TY 2016 Accounting Fees Schedule

Name: Catalyst Foundation
co William H Caudill

EIN: 76-0383386

Software ID: 16000303

Software Version: 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Tax compliance	2,219	1,110	0	1,109

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491129010187

TY 2016 Investments Corporate Stock Schedule

Name: Catalyst Foundation
co William H Caudill

EIN: 76-0383386

Software ID: 16000303

Software Version: 2016v3.0

Name of Stock	End of Year Book Value	End of Year Fair Market Value
Equities - See attached pgs 1-45	1,905,590	2,510,557
Mutual Funds - See attached pgs 45-46	847,627	776,900

efile GRAPHIC print - DO NOT PROCESS	As Filed Data -	DLN: 93491129010187

TY 2016 Investments Government Obligations Schedule

Name:	Catalyst Foundatıon co Wıllıam H Caudill
EIN:	76-0383386
Software ID:	16000303
Software Version:	2016v3.0
US Government Securities - End of Year Book Value:	784,917
US Government Securities - End of Year Fair Market Value:	777,342
State & Local Government Securities - End of Year Book Value:	
State & Local Government Securities - End of Year Fair Market Value:	

TY 2016 Other Expenses Schedule

Name: Catalyst Foundation
co William H Caudill

EIN: 76-0383386

Software ID: 16000303

Software Version: 2016v3.0

Other Expenses Schedule

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Bank charges	335	335		
Insurance	1,594	797		797
Office expense	12			12
State filing fee	250			250

TY 2016 Other Professional Fees Schedule

Name: Catalyst Foundation
co William H Caudill

EIN: 76-0383386

Software ID: 16000303

Software Version: 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Administrative fees	4,880	0	0	4,880
Investment management fees	47,444	47,444	0	0

TY 2016 Taxes Schedule

Name: Catalyst Foundation
co William H Caudill

EIN: 76-0383386

Software ID: 16000303

Software Version: 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Foreign tax	1,511	1,511		

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East Coast Capital Advisors

Investment Account Statement

Statement Period: 12/01/2016 - 12/31/2016

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities 60 00% of Portfolio								
Common Stocks								
AAC ACOUSTIC TECHNOLOGIES HLDGS INC ADR Dividend Option Cash			Security Identifier AACAV CUSIP 000304105					
02/08/16	82 000	63 5760	5,213 26	90 4250	7 414 85	2,201 59	123 90	1 67%
ABBOTT LABS COM Dividend Option Cash			Security Identifier ABT CUSIP 002824100					
06/23/16	235.000	39 1190	9,192 85	38 4100	9,026.35	166 50	249 10	2 75%
ABBVIE INC COM Dividend Option Cash			Security Identifier ABBV CUSIP 00287Y109					
Multiple ¥	Total Covered 390 000	52 8050	20,594 04	62 6200	24 421 80	3 827 76	998 40	4.08%
ABM INDUSTRIES INC Dividend Option Cash			Security Identifier ABM CUSIP 000957100					
08/25/14	23 000	26 1590	601 65	40 8400	939 32	337 67	15 64	1 66%
ACUITY BRANDS INC COM Dividend Option Cash			Security Identifier AYI CUSIP 00508Y102					
Multiple ¥	Total Covered 31 000	198.6750	6 157 37	230 8600	7,156 66	999 29	16 12	0 22%
ADVANCE AUTO PTS INC COM Dividend Option Cash			Security Identifier AAP CUSIP 00751Y106					
Multiple ¥	Total Covered 37 000	126 4790	4,679 72	169 1200	6,257 44	1,577 72	8 88	0 14%
ADVANCED SEMICONDUCTOR ENGR INC SPONSORED ADR Dividend Option Cash			Security Identifier ASX CUSIP 00756M404					
Multiple ¥	Total Covered 1 199 000	4 7900	5,742 72	5 0400	6,042 96	300 24	219 55	3 63%
AEGION CORP COM Dividend Option Cash			Security Identifier AEGN CUSIP 00770F104					
03/18/11	32 000	26 0820	834 62	23 7000	758 40	-76 22		

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
AERCAP HOLDING N V SHS			Security Identifier. AER					
Dividend Option Cash			CUSIP N00985106					
05/04/10 *,3	Total Noncovered 124 000	14 0110	1,737 39	41 6100	5 159 64	3,422 25		
Multiple Y	Total Covered 128 000	18 0920	2,315 76	41 6100	5 326 08	3,010 32		
Total	**252.000**		**$4,053 15**		**$10,485 72**	**$6,432 57**	**$0.00**	
AES CORP COM			Security Identifier AES					
Dividend Option Cash			CUSIP 00130H105					
11/06/15	61 000	10 1300	617 91	11 6200	708 82	90 91	26 84	3 78%
AETNA INC NEW COM			Security Identifier. AET					
Dividend Option Cash			CUSIP 00817Y108					
Multiple Y	Total Covered 94 000	115 1230	10,821 58	124 0100	11,656 94	835 36	94.00	0 80%
AFFILIATED MANAGERS GROUP INC COM			Security Identifier AMG					
Dividend Option Cash			CUSIP 008252108					
Multiple *,3,Y	Total Noncovered 26 000	67 2760	1,749 18	145 3000	3,777 80	2 028 62		
Multiple Y	Total Covered 22 000	107 4850	2 364 68	145 3000	3 196 60	831 92		
Total	**48.000**		**$4,113.86**		**$6,974.40**	**$2,860 54**	**$0.00**	
AGILENT TECHNOLOGIES INC COM			Security Identifier A					
Dividend Option Cash			CUSIP 00846U101					
Multiple Y	Total Covered 124 000	42 3940	5,256 88	45 5600	5 649 44	392 56	57 04	1 00%
AGNC INVT CORP COM			Security Identifier AGNC					
Dividend Option Cash			CUSIP 00123Q104					
Multiple Y	Total Covered 45 000	24 1780	1,088 03	18 1300	815 85	272 18	97.20	11 91%
AIR LEASE CORP CL A			Security Identifier: AL					
Dividend Option Cash			CUSIP 00912X302					
Multiple Y	Total Covered 110,000	27 4500	3,019 46	34 3300	3,776 30	756 84	33 00	0 87%
AKZO NV SPON ADR			Security Identifier AKZOY					
Dividend Option Cash			CUSIP 010199305					
03/28/16	322 000	22 1100	7,119 50	20 7000	6 665 40	454 10	151 78	2 27%

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East Coast Capital Advisors

Investment Account Statement

Statement Period: 12/01/2016 - 12/31/2016

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
ALLIANZ SE SPONS ADR REPSTG 1/10 SHS Dividend Option Cash			Security Identifier AZSEY CUSIP 018805101					
Multiple ¥	Total Covered 516 000	12 4660	6,432 62	16 4800	8,503 68	2,071 06	315 76	3 71%
ALLY FINL INC COM Dividend Option Cash			Security Identifier ALLY CUSIP 02005N100					
Multiple ¥	Total Covered 81 000	17 9210	1,451 59	19 0200	1,540 62	89 03	25 92	1 68%
ALPHABET INC CAP STK CL A Dividend Option Cash			Security Identifier GOOGL CUSIP 02079K305					
Multiple ¥	Total Covered 16 000	319 1960	5,107 13	792 4500	12,679 20	7,572 07		
ALPHABET INC CAP STK CL C Dividend Option Cash			Security Identifier: GOOG CUSIP 02079K107					
Multiple ¥	Total Covered 16 000	316 9500	5,071 20	771 8200	12,349 12	7,277 92		
AMDOCS LTD SHS ISIN#GB0022569080 Dividend Option Cash			Security Identifier DOX CUSIP G02602103					
09/23/13	36 000	36 9900	1,331 64	58 2500	2,097 00	765 36	28 08	1 33%
AMERICAN EAGLE OUTFITTERS INC NEW COM Dividend Option Cash			Security Identifier AEO CUSIP, 02553E106					
Multiple ¥	Total Covered 163 000	13 9720	2,277 41	15 1700	2,472 71	195 30	81 50	3 29%
AMETEK INC NEW COM Dividend Option Cash			Security Identifier AME CUSIP 031100100					
Multiple ¥	Total Covered 101 000	36 0530	3,641 40	48 6000	4,908 60	1,267 20	36 36	0 74%

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
AMPHENOL CORP NEW CL A Dividend Option Cash			Security Identifier. APH CUSIP 032095101					
Multiple Y	Total Covered 91 000	54 7330	4,980 71	67 2000	6,115 20	1,134 49	58 24	0 95%
ARES CAP CORP COM Dividend Option Cash			Security Identifier ARCC CUSIP 04010L103					
Multiple Y	Total Covered 88 000	16 4810	1,450 33	16 4900	1,451 12	0 79	133 76	9 21%
ARKEMA SPONSORED ADR Dividend Option Cash			Security Identifier: ARKAY CUSIP 041232109					
06/16/16	90 000	76 6810	6,901 30	97 7000	8,793.00	1,891 70	161 50	1.83%
ARROW ELECTRS INC COM Dividend Option Cash			Security Identifier. ARW CUSIP 042735100					
Multiple Y	Total Covered 62 000	35 9670	2 229 95	71 3000	4 420 60	2,190 65		
ASSURANT INC COM ISIN#US04621X1081 Dividend Option Cash			Security Identifier. AIZ CUSIP 04621X108					
03/18/11	8 000	39 1500	313 20	92 8600	742.88	429 68	16 96	2 28%
ASSURED GUARANTY LTD COM ISIN#BMG0585R1060 Dividend Option Cash			Security Identifier. AGO CUSIP G0585R106					
06/30/15	52 000	23 8050	1,237 87	37 7700	1,964 04	726 17	27 04	1 37%
AT&T INC COM Dividend Option Cash			Security Identifier T CUSIP 00206R102					
Multiple *,3,Y	Total Noncovered 455 000	27 0960	12,328 63	42 5300	19 351 15	7,022 52	891 80	4 60%
Multiple Y	Total Covered 129 000	37 3600	4 819 49	42 5300	5,486.37	666 88	252 84	4 60%
Total	**584.000**		**$17,148 12**		**$24,837.52**	**$7,689.40**	**$1,144 64**	
AUTOMATIC DATA PROCESSING INC COM Dividend Option Cash			Security Identifier ADP CUSIP 053015103					
01/06/11 3	181 000	41 5290	7,516 71	102 7800	18 603 18	11 086 47	412 68	2 21%
AVNET INC COM Dividend Option Cash			Security Identifier AVT CUSIP 053807103					
Multiple Y	Total Covered 68 000	32 7360	2 226 03	47 6100	3,237 48	1 011 45	46 24	1 42%

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East Coast Capital Advisors

Investment Account Statement

Statement Period 12/01/2016 - 12/31/2016

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
AXIS CAPITAL HLDGS LTD SHS ISIN#BMG0692U1099 Dividend Option Cash			Security Identifier, AXS CUSIP G0692U109					
Multiple ¥	Total Covered 38 000	40 2450	1 529 32	65 2700	2,480 26	950 94	57 76	2 32%
BANC CALIF INC COM Dividend Option Cash			Security Identifier: BANC CUSIP 05990K106					
Multiple ¥	Total Covered 101 000	15 2830	1,543 59	17 3500	1 752.35	208 76	52 52	2 99%
BANK OF MONTREAL Dividend Option Cash			Security Identifier: BMO CUSIP 063671101					
Multiple ¥	Total Covered 210 000	61 0190	12,814 01	71 9200	15 103 20	2,289 19	551 27	3 65%
BANK OF NEW YORK MELLON CORP COM Dividend Option Cash			Security Identifier: BK CUSIP 064058100					
Multiple ¥	Total Covered 122 000	38 5590	4 704 14	47 3800	5,780 36	1 076 22	92 72	1 60%
BARD C R INC COM Dividend Option Cash			Security Identifier, BCR CUSIP 067383109					
Multiple ¥	Total Covered 35 000	146 4510	5 125 77	224 6600	7,863 10	2 737 33	36 40	0 46%
BB&T CORP COM Dividend Option Cash			Security Identifier BBT CUSIP 054937107					
Multiple ¥	Total Covered 356 000	38 3870	13 665 71	47 0200	16,739 12	3 073 41	427 20	2 55%
BCE INC COM NEW ISIN#CA05534B7604 SHS Dividend Option Cash			Security Identifier BCE CUSIP 05534B760					
Multiple ¥	Total Covered 140 000	44 6550	6 251 63	43 2400	6,053 60	-198 03		

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
BELDEN INC NEW COM Dividend Option Cash			Security Identifier. BDC CUSIP. 077454106					
03/18/11	11 000	35 5600	391 16	74 7700	822 47	431 31	2 20	0 26%
BERKSHIRE HATHAWAY INC DEL CL B NEW Dividend Option Cash			Security Identifier: BRK B CUSIP. 084670702					
12/09/09 *,3	Total Noncovered 161 000	65 8000	10,593 80	162 9800	26,239 78	15,645 98		
09/30/14	Total Covered 2 000	138 2100	276 42	162.9800	325 96	49 54		
Total	**163 000**		**$10,870 22**		**$26,565.74**	**$15,695 52**	**$0.00**	
BERRY PLASTICS GROUP INC COM Dividend Option Cash			Security Identifier: BERY CUSIP 08579W103					
01/25/16	32.000	29 6570	949 02	48 7300	1 559 36	610 34		
BEZEQ ISRAEL TELECOM LTD ADR ISIN#US08861Q1031 Dividend Option Cash			Security Identifier BZQIY CUSIP 08861Q103					
02/19/16	314.000	10 9000	3 422 45	9 5100	2 986 14	-436 31	141 23	4 72%
BIOMARIN PHARMACEUTICAL INC COM Dividend Option Cash			Security Identifier. BMRN CUSIP 09061G101					
12/09/09 *,3	Total Noncovered 69 000	16 8980	1 165 98	82 8400	5 715 96	4 549 98		
Multiple Y	Total Covered 16.000	95 4790	1,527 66	82 8400	1,325 44	202 22		
Total	**85.000**		**$2,693 64**		**$7,041 40**	**$4,347 76**	**$0.00**	
BLACK HILLS CORP COM Dividend Option Cash			Security Identifier: BKH CUSIP 092113109					
Multiple Y	Total Covered 49 000	41 6290	2,039 83	61 3400	3,005 66	965 83	82 32	2 73%
BMC STK HLDGS INC COM Dividend Option Cash			Security Identifier BMCH CUSIP 05591B109					
Multiple Y	Total Covered 81 000	15 4590	1,252 16	19 5000	1,579 50	327 34		
BOOZ ALLEN HAMILTON HLDG CORP CL A Dividend Option Cash			Security Identifier: BAH CUSIP 099502106					
11/15/13	22.000	16 3400	359 47	36 0700	793 54	434 07	13 20	1 66%

Citi Personal Wealth Management
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East Coast Capital Advisors

Investment Account Statement

Statement Period: 12/01/2016 - 12/31/2016

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
BRIDGESTONE CORP ADR			Security Identifier BRDCY CUSIP 108441205					
Dividend Option Cash								
Multiple [Y]	Total Covered 409 000	17 2040	7,036 61	18 0500	7,382.45	345 84	197.32	2 67%
BRISTOW GROUP INC COM			Security Identifier BRS CUSIP 110394103					
Dividend Option Cash								
Multiple [Y]	Total Covered 76 000	31 2660	2,376 18	20 4800	1,556 48	819 70	21 28	1 36%
BROADCOM LTD SHS ISIN#SG9999014823			Security Identifier, AVGO CUSIP Y09827109					
Dividend Option Cash								
Multiple [Y]	Total Covered 52 000	91 1990	4,742 35	176 7700	9,192 04	4,449 69	212 16	2 30%
BROCADE COMMUNICATIONS SYS INC COM NEW			Security Identifier BRCD CUSIP 111621306					
Dividend Option Cash								
11/19/13	138 000	8 7780	1,211 37	12 4900	1,723 62	512 25	30 36	1 76%
BROOKS AUTOMATION INC NEW COM			Security Identifier BRKS CUSIP 114340102					
Dividend Option Cash								
09/15/15	65 000	10 6930	695 06	17 0700	1,109 55	414.49	26 00	2 34%
BRUNSWICK CORP			Security Identifier BC CUSIP 117043109					
Dividend Option Cash								
10/28/16	16 000	43 0930	689 49	54 5400	872 64	183 15	10 56	1 21%
BURLINGTON STORES INC COM			Security Identifier BURL CUSIP 122017106					
Dividend Option Cash								
Multiple [Y]	Total Covered 39 000	74 2880	2,897 22	84 7500	3 305 25	408 03		
CABOT CORP			Security Identifier CBT CUSIP 127055101					
Dividend Option Cash								
09/11/12	14 000	37.8200	529 48	50 5400	707 56	178 08	16.80	2 37%

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
CANADIAN NATL RY CO COM ISIN#CA1363751027 Dividend Option Cash			Security Identifier CNI CUSIP 136375102					
Multiple Y	Total Covered 118 000	40 5160	4,780 88	67 4000	7,953 20	3,172.32	134 45	1 69%
CAP GEMINI SA ADR ISIN#US1390981074 Dividend Option Cash			Security Identifier CGEMY CUSIP 139098107					
Multiple Y	Total Covered 557 000	12 7510	7,102 14	16 8150	9,365 96	2,263 82	129 87	1 38%
CARLISLE COMPANIES INC Dividend Option Cash			Security Identifier CSL CUSIP 142339100					
Multiple Y	Total Covered 54 000	100 6670	5 436 03	110 2900	5,955 66	519 63	75 60	1 26%
CARNIVAL PLC ADR Dividend Option Cash			Security Identifier CUK CUSIP 14365C103					
01/08/16	131 000	55 3700	7,253 46	51 1900	6,705 89	-547.57	183 40	2 73%
CBRE GROUP INC CL A Dividend Option Cash			Security Identifier CBG CUSIP 12504L109					
Multiple Y	Total Covered 87,000	25 7980	2,244.45	31 4900	2,739 63	495 18		
CDW CORP COM Dividend Option Cash			Security Identifier CDW CUSIP 12514G108					
Multiple Y	Total Covered 161 000	36 8430	5,931 68	52 0900	8,386 49	2,454 81	103.04	1 22%
CENTENE CORP DEL COM Dividend Option Cash			Security Identifier CNC CUSIP 15135B101					
Multiple Y	Total Covered 109 000	54 3410	5,923 19	56 5100	6,159 59	236 40		
CENTERPOINT ENERGY INC COM Dividend Option Cash			Security Identifier: CNP CUSIP 15189T107					
10/13/16	216 000	22 3880	4,835 72	24 6400	5,322 24	486 52	222 48	4 18%
CHECK POINT SOFTWARE TECHNOLOGIES LTD SHS ISIN#IL0010824113 Dividend Option Cash			Security Identifier: CHKP CUSIP M22465104					
12/09/09 *,3	Total Noncovered 88 000	33 2050	2,922 05	84 4600	7,432 48	4 510 43		

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
CHECK POINT SOFTWARE TECHNOLOGIES LTD SHS *(continued)*								
Multiple ¥	Total Covered 19 000	64 8710	1,232 55	84 4600	1,604 74	372 19		
Total	107.000		$4,154 60		$9,037 22	$4,882.62	$0.00	
CHEMED CORP NEW COM Dividend Option Cash			Security Identifier CHE CUSIP 16359R103					
05/31/13	20 000	69 9400	1 398 80	160 4100	3,208 20	1,809 40	20 80	0 64%
CHINA EASTN AIRLS LTD SPONSORED ADR REPSTG 100 CL H ORD Dividend Option Cash			Security Identifier CEA CUSIP 16937R104					
09/18/15	254 000	29 1720	7 409 58	22 3500	5,676 90	-1,732 68	86 19	1.51%
CHINA LODGING GROUP LTD SPONSORED ADR ISIN#US16949N1090 Dividend Option Cash			Security Identifier HTHT CUSIP 16949N109					
07/08/16	187 000	36 8050	6,882 47	51 8400	9,694 08	2,811.61		
CHINA MOBILE LTD SPON ADR S A ISIN#US16941M099 Dividend Option Cash			Security Identifier CHL CUSIP 16941M109					
12/09/09 ¹,³	Total Noncovered 82 000	46 5080	3,813 68	52 4300	4,299 26	485 58	127 69	2 97%
Multiple ¥	Total Covered 60 000	48 1140	2,886 83	52 4300	3 145 80	258 97	93 43	2 97%
Total	142.000		$6,700 51		$7,445 06	$744 55	$221.12	
CHURCH & DWIGHT CO INC Dividend Option Cash			Security Identifier CHD CUSIP 171340102					
12/09/09 ¹,³	Total Noncovered 127 000	15 2290	1 934 08	44 1900	5,612 13	3,678 05	90 17	1.60%
Multiple ¥	Total Covered 18 000	47 3330	852 00	44 1900	795 42	-56 58	12 78	1 60%
Total	145.000		$2,786 08		$6,407 55	$3,621 47	$102.95	

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
CISCO SYSTEMS INC Dividend Option Cash			Security Identifier. CSCO CUSIP 17275R102					
Multiple * 3,Y	Total Noncovered 805 000	22 5380	18,142 83	30 2200	24,327 10	6,184 27	837 20	3 44%
Multiple Y	Total Covered 733 000	25 1570	18,440 10	30,2200	22,151 26	3,711 16	762 32	3 44%
Total	**1,538 000**		**$36,582.93**		**$46,478 36**	**$9,895 43**	**$1,599.52**	
CLUBCORP HLDGS INC COM Dividend Option Cash			Security Identifier MYCC CUSIP 18948M108					
Multiple Y	Total Covered 155 000	16 1150	2,497 90	14 3500	2,224 25	273 65	80 60	3 62%
CME GROUP INC COM Dividend Option Cash			Security Identifier CME CUSIP 12572Q105					
12/17/15	135 000	94 9470	12 817 86	115 3500	15 572 25	2,754 39	324 00	2 08%
COACH INC COM Dividend Option Cash			Security Identifier COH CUSIP 189754104					
01/13/15	482 000	38 7640	18,684 39	35 0200	16 879 64	1,804 75	650 70	3 85%
COHERENT INC Dividend Option Cash			Security Identifier COHR CUSIP 192479103					
08/25/14	19 000	64 1180	1,218 25	137,3850	2,610 32	1,392.07		
COLLIERS INTL GROUP INC SUB VTG SH Dividend Option Cash			Security Identifier CIGI CUSIP 194693107					
04/05/16	124 000	36 2970	4,500 83	36 9080	4,576 59	75 76		
COLUMBIA BKG SYS INC COM Dividend Option Cash			Security Identifier COLB CUSIP 197236102					
03/18/11	18 000	18 6600	335 88	44 6800	804 24	468 36	14 40	1 79%
COMCAST CORP CL A Dividend Option Cash			Security Identifier CMCSA CUSIP 20030N101					
02/14/08 *	Total Noncovered 302 000	18 8890	5,704 48	69 0500	20,853 10	15,148 62	332 20	1 59%
09/30/14	Total Covered 13 000	53 5200	695 76	69 0500	897 65	201 89	14 30	1 59%
Total	**315.000**		**$6,400 24**		**$21,750.75**	**$15,350 51**	**$346 50**	
COMMSCOPE HLDG CO INC COM Dividend Option Cash			Security Identifier COMM CUSIP 20337X109					
Multiple Y	Total Covered 54 000	31 3300	1,691 81	37 2000	2,008 80	316 99		

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
CONCHO RES INC COM Dividend Option Cash			Security Identifier: CXO CUSIP 20605P101					
Multiple ¥	Total Covered 43 000	91 1400	3,919 02	132 6000	5,701 80	1,782 78		
CONTROLADORA VUELA COMPANIA DE AVIACION SAB DE CV SPONS ADR REPSTG 10 CPOS ISIN#US21240E1055 Dividend Option Cash			Security Identifier: VLRS CUSIP 21240E105					
02/24/16	15 000	18 9470	284.21	15 0400	225 60	58 61		
COVANTA HLDG CORP COM Dividend Option Cash			Security Identifier CVA CUSIP 22282E102					
10/15/14	332 000	20 3000	6,739 57	15.6000	5,179.20	-1,560 37	332 00	6 41%
CRACKER BARREL OLD CTRY STORE INC COM Dividend Option Cash			Security Identifier: CBRL CUSIP 22410J106					
Multiple ¥,¥	Total Covered 104 000	143 0510	14,877 30	166 9800	17,365 92	2 488 62	478 40	2 75%
			Your lot has been adjusted due to a wash sale for more than one year					
CROWN HLDGS INC COM Dividend Option Cash			Security Identifier CCK CUSIP 228368106					
01/24/14	13 000	41 2700	536 51	52 5700	683 41	146 90		
CUBIC CORP COM Dividend Option Cash			Security Identifier: CUB CUSIP 229669106					
Multiple ¥	Total Covered 17 000	44.9720	764 52	47 9500	815 15	50 63	4 59	0 56%
CURTISS WRIGHT CORP Dividend Option Cash			Security Identifier. CW CUSIP 231561101					
03/29/12	13 000	37 1600	483 08	98 3600	1,278 68	795 60	6 76	0 52%
CVS HEALTH CORP COM Dividend Option Cash			Security Identifier CVS CUSIP 126650100					

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
CVS HEALTH CORP COM *(continued)*								
Multiple Y	Total Covered 57 000	98.4470	5 611 47	78 9100	4,497 87	-1,113 60	96 90	2 15%
DARDEN RESTAURANTS INC COM Dividend Option Cash			Security Identifier DRI CUSIP 237194105					
07/08/16	32 000	62 1600	1 989 12	72 7200	2,327 04	337 92	71 68	3 08%
DBS GROUP HLDGS LTD SPONS ADR Dividend Option Cash			Security Identifier: DBSDY CUSIP 23304Y100					
11/10/14	133 000	61 1900	8,138 27	47 7450	6,350 09	1 788 18	222 48	3 50%
DIAMONDBACK ENERGY INC COM Dividend Option Cash			Security Identifier. FANG CUSIP 25278X109					
Multiple Y	Total Covered 85 000	72.2210	6 138 79	101 0600	8,590 10	2 451 31		
DISNEY WALT CO DISNEY COM Dividend Option Cash			Security Identifier DIS CUSIP 254687106					
12/09/09 * 3	Total Noncovered 209 000	30 7490	6,426 44	104 2200	21,781 98	15,355 54	326 04	1 49%
Multiple Y	Total Covered 51 000	98 4850	5,022 75	104 2200	5,315 22	292 47	79 56	1 49%
Total	**260 000**		**$11,449.19**		**$27,097 20**	**$15,648 01**	**$405 60**	
DOLLAR TREE INC COM Dividend Option Cash			Security Identifier DLTR CUSIP 256746108					
07/08/16	24 000	95 0800	2,281 91	77 1800	1 852 32	429 59		
DOMTAR CORP COM NEW Dividend Option Cash			Security Identifier UFS CUSIP 257559203					
Multiple Y	Total Covered 341 000	44.0350	15 015 81	39 0300	13,309 23	1 706 58	566 06	4.25%
DREW INDS INC COM NEW N/C EFF 1/3/17 1 OLD/1 CU 50189K103 LCI INDUSTRIES Dividend Option Cash			Security Identifier DW CUSIP 26168L205					
Multiple Y	Total Covered 42 000	39 3070	1,650 89	107 7500	4,525 50	2,874 61	84 00	1 85%
DRIL-QUIP INC COM Dividend Option, Cash			Security Identifier DRQ CUSIP 262037104					
12/15/15	11 000	60 3960	664 36	60 0500	660 55	3 81		

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
DU PONT E I DE NEMOURS & CO COM Dividend Option Cash			Security Identifier DD CUSIP 263534109					
12/09/09 * 3	Total Noncovered 104 000	29.9440	3 114 19	73 4000	7,633 60	4 519 41	158 08	2.07%
Multiple Y	Total Covered 29 000	68 5000	1 986 51	73 4000	2,128 60	142 09	44 08	2.07%
Total	**133 000**		**$5,100.70**		**$9,762.20**	**$4,661 50**	**$202 16**	
DUKE ENERGY CORP NEW COM NEW Dividend Option Cash			Security Identifier DUK CUSIP 26441C204					
12/09/09 *	201 000	52.3500	10 522 29	77 6200	15,601 62	5 079 33	687 42	4 40%
E TRADE FINL CORP COM NEW Dividend Option Cash			Security Identifier. ETFC CUSIP 269246401					
10/19/16	25 000	28 6590	716 48	34 6500	866 25	149 77		
EAGLE MATERIALS INC COM Dividend Option Cash			Security Identifier EXP CUSIP 26969P108					
Multiple Y	Total Covered 46 000	95.7040	4,402 40	98 5300	4 532 38	129 98	18 40	0 40%
EAST WEST BANCORP INC COM Dividend Option Cash			Security Identifier EWBC CUSIP 27579R104					
09/21/16	51,000	35.9700	1,834 46	50 8300	2,592 33	757.87	40 80	1 57%
EATON CORPORATION PLC SHS ISIN#IE00B8KQN827 Dividend Option Cash			Security Identifier. ETN CUSIP G29183103					
Multiple Y	Total Covered 209 000	72 7980	15,214 79	67.0900	14,021 81	1,192 98	476 52	3 39%
ECOLAB INC Dividend Option Cash			Security Identifier: ECL CUSIP 278865100					
12/06/12	65 000	71 9200	4 674 79	117 2200	7,619 30	2 944 51	96 20	1 26%
ENERSYS COM Dividend Option Cash			Security Identifier ENS CUSIP 29275Y102					

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
ENERSYS COM *(continued)*								
06/11/11	18.000	18 6890	336 41	78 1000	1,405.80	1 069 39	12 60	0 89%
ENVISION HEALTHCARE CORP COM Dividend Option Cash			Security Identifier, EVHC CUSIP 29414D100					
Multiple Y	Total Covered 20 000	47,8460	956 92	63 2900	1,265 80	308 88		
ESSENT GROUP LTD COM ISIN#BMG3198U1027 Dividend Option Cash			Security Identifier ESNT CUSIP G3198U102					
Multiple Y	Total Covered 60 000	20 2020	1 212 11	32 3700	1,942 20	730 09		
EXPEDIA INC DEL COM NEW Dividend Option Cash			Security Identifier, EXPE CUSIP 30212P303					
11/10/16	44 000	124 4960	5,477 81	113 2800	4,984 32	-493 49	45 76	0 91%
EXPRESS INC COM Dividend Option Cash			Security Identifier EXPR CUSIP 30219E103					
Multiple Y	Total Covered 62 000	15 9030	985 98	10 7600	667 12	-318 86		
EXXON MOBIL CORP COM Dividend Option Cash			Security Identifier: XOM CUSIP 30231G102					
Multiple ",3,Y	Total Noncovered 169 000	61 7260	10,431 62	90 2600	15,253 94	4,822 32	507 00	3 32%
09/30/14	Total Covered 3 000	93 9500	281 85	90 2600	270 78	11 07	9 00	3 32%
Total	172.000		$10,713 47		$15,524.72	$4,811 25	$516 00	
FCB FINL HLDGS COM SHS A Dividend Option Cash			Security Identifier FCB CUSIP 30255G103					
Multiple Y	Total Covered 26 000	38 9280	1,012 14	47 7000	1,240 20	228 06		
FEDERATED INVS INC PA CL B Dividend Option Cash			Security Identifier FII CUSIP 314211103					
03/18/11	35 000	25 7900	902 65	28 2800	989 80	87 15	35 00	3 53%
FERRO CORPORATION Dividend Option Cash			Security Identifier FOE CUSIP 315405100					
06/17/16	45 000	14 4990	652 46	14 3300	644 85	-7 61		
FERROGLOBE PLC SHS ISIN#GB00BYW6GV68 Dividend Option Cash			Security Identifier GSM CUSIP G33856108					

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
FERROGLOBE PLC SHS ISIN#GB00BYW6GV68 *(continued)*								
Multiple Y	Total Covered 41 000	14 8930	610 60	10 8300	444.03	-166 57	13 12	2 95%
FIDELITY NATL FINL INC NEW FNF GROUP Dividend Option Cash			Security Identifier. FNF CUSIP 31620R303					
Multiple Y	Total Covered 31 000	17 4550	541 10	33 9600	1,052 76	511 66	31 00	2 94%
FIDELITY NATL FINL INC NEW FNFV GROUP Dividend Option Cash			Security Identifier. FNFV CUSIP 31620R402					
Multiple Y	Total Covered 20 000	6 2710	125 42	13 7000	274 00	148 58		
FIDELITY NATL INFORMATION SVCS INC COM Dividend Option Cash			Security Identifier FIS CUSIP 31620M106					
Multiple Y	Total Covered 122 000	70 4240	8,591 69	75.6400	9,228 08	636 39	126 88	1 37%
FINISH LINE INC CL A Dividend Option Cash			Security Identifier FINL CUSIP 317923100					
12/09/09 ,3	Total Noncovered 8 000	8 9080	71 26	18 8100	150 48	79 22	3 20	2 12%
Multiple Y	Total Covered 82 000	22 3890	1,835 93	18 8100	1,542 42	293 51	32 80	2 12%
Total	**90 000**		**$1,907.19**		**$1,692 90**	**-$214 29**	**$36 00**	
FIRST AMERN FINL CORP COM Dividend Option Cash			Security Identifier. FAF CUSIP 31847R102					
Multiple Y	Total Covered 36 000	28.1330	1,012 77	36 6300	1 318 68	305 91	48 96	3 71%
FIRST CITIZENS BANCSHARES NC CL A Dividend Option Cash			Security Identifier. FCNCA CUSIP 31946M103					
03/18/11	4 000	201 8800	807 52	355 0000	1 420 00	612 48	4 80	0 33%

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
FIRST REP BK SAN FRANCISCO CALIF NEW COM Dividend Option Cash			Security Identifier. FRC CUSIP 33616C100					
07/09/13	10 000	39 3690	393 69	92 1400	921 40	527 71	6 40	0.69%
FIRST SOLAR INC COM Dividend Option Cash			Security Identifier FSLR CUSIP 336433107					
09/15/16	19 000	35 1590	668 03	32.0900	609 71	-58 32		
FIRSTCASH INC COM Dividend Option Cash			Security Identifier. FCFS CUSIP 33767D105					
Multiple ᵞ	Total Covered 37.000	38 7310	1,433 06	47 0000	1 739 00	305 94	28 12	1 61%
FLEX LTD ORD SHS ISIN#SG9999000020 Dividend Option Cash			Security Identifier FLEX CUSIP Y2573F102					
Multiple ᵞ	Total Covered 170 000	6 2080	1,055 34	14 3700	2 442 90	1,387 56		
FOOT LOCKER INC COM Dividend Option Cash			Security Identifier FL CUSIP 344849104					
06/10/13	9 000	35 3400	318 06	70 8900	638 01	319 95	9 90	1 55%
FTD COS INC COM Dividend Option Cash			Security Identifier FTD CUSIP 30281V108					
09/30/14	35 000	34 1400	1,194 90	23 8400	834 40	-360 50		
FTI CONSULTING INC COM Dividend Option Cash			Security Identifier FCN CUSIP 302941109					
10/26/12	19 000	24 9600	474 24	45 0800	856 52	382 28		
G & K SVCS INC CL A Dividend Option Cash			Security Identifier: GK CUSIP 361268105					
03/18/11	7 000	31 2300	218 61	96 4500	675 15	456 54	10 92	1 61%
GCP APPLIED TECHNOLOGIES INC COM Dividend Option Cash			Security Identifier GCP CUSIP 36164Y101					
Multiple ᵞ	Total Covered 58 000	17 6240	1,022 19	26 7500	1 551 50	529 31		
GENERAL ELECTRIC CO COM Dividend Option Cash			Security Identifier GE CUSIP 369604103					
Multiple ᵞ	Total Covered 1,015 000	22 3730	22,708 24	31 6000	32,074 00	9 365 76	974.40	3 03%

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
GENERAL MILLS INC COM Dividend Option: Cash			Security Identifier GIS CUSIP 370334104					
Multiple Y	Total Covered 298 000	40 1530	11,965 73	61 7700	18,407 46	6 441 73	572.16	3.10%
GLAXOSMITHKLINE PLC SPONS ADR Dividend Option Cash			Security Identifier GSK CUSIP 37733W105					
11/26/10 3	Total Noncovered 221 000	39 4500	8,718 43	38 5100	8,510 71	207 72	456 81	5 36%
Multiple Y	Total Covered 446 000	43 6890	19 485 21	38 5100	17,175 46	2,309 75	921.90	5 36%
Total	667.000		$28,203.64		$25,686 17	-$2,517.47	$1,378.71	
GRACE W R & CO DEL NEW COM Dividend Option Cash			Security Identifier GRA CUSIP, 38388F108					
Multiple Y	Total Covered 56 000	67 5360	3 782 03	67 6400	3,787 84	5.81	38 08	1 00%
GRANITE CONSTR INC COM Dividend Option Cash			Security Identifier GVA CUSIP 387328107					
12/05/13	20 000	30 2400	604 80	55 0000	1,100 00	495 20	10.40	0 94%
GRAPHIC PACKAGING HLDG CO COM Dividend Option Cash			Security Identifier GPK CUSIP 388689101					
Multiple Y	Total Covered 170 000	8 5120	1,447 01	12 4800	2 121 60	674 59	51.00	2 40%
GROUP 1 AUTOMOTIVE INC COM Dividend Option Cash			Security Identifier: GPI CUSIP 398905109					
03/18/11	11 000	39 5500	435 05	77 9400	857 34	422 29	10 12	1 18%
GRUPO FINANCIERO BANORTE SAB DE CV ADR ISIN#US40052P1075 Dividend Option Cash			Security Identifier GBOOY CUSIP 40052P107					
05/03/16	255 000	27 8160	7 093 00	24 8600	6,339 30	-753 70	184 07	2 90%

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
GULFPORT ENERGY CORP COM NEW Dividend Option Cash			Security Identifier GPOR CUSIP 402635304					
Multiple ▾	Total Covered 131 000	37 3140	4,888 10	21 6400	2,834 84	-2,053 26		
HANGER INC COM NEW GROUP NEW Dividend Option Cash			Security Identifier HNGR CUSIP 41043F208					
Multiple ▾	Total Covered 46 000	18 1360	834 26	11 4993	528 97	-305 29		
HANMI FINL CORP COM NEW Dividend Option Cash			Security Identifier HAFC CUSIP 410495204					
Multiple ▾	Total Covered 35 000	26 0930	913 25	34 9000	1,221 50	308 25	26 60	2.17%
HANOVER INS GROUP INC COM Dividend Option Cash			Security Identifier THG CUSIP 410867105					
03/18/11	11 000	46 0800	506 88	91 0100	1,001 11	494 23	22 00	2 19%
HD SUPPLY HLDGS INC COM Dividend Option Cash			Security Identifier HDS CUSIP 40416M105					
06/29/16	64 000	33 8300	2,165 11	42 5100	2,720 64	555 53		
HEALTHSOUTH CORP COM NEW Dividend Option Cash			Security Identifier HLS CUSIP 421924309					
Multiple ▾	Total Covered 171 000	27 1580	4,644 05	41 2400	7,052 04	2,407 99	164 16	2 32%
HEIDRICK & STRUGGLES INTL INC COM Dividend Option Cash			Security Identifier HSII CUSIP 422819102					
03/18/11	37 000	25 0000	925 00	24 1500	893 55	-31 45	19 24	2 15%
HEINEKEN N V SPONS ADR LEVEL 1 ISIN#US4230123014 Dividend Option Cash			Security Identifier HEINY CUSIP 423012301					
10/28/15	168 000	46.1100	7,746 44	37.4100	6,284 88	-1,461 56	105 34	1 67%
HILLENBRAND INC COM Dividend Option Cash			Security Identifier HI CUSIP 431571108					
03/18/11	22 000	21 3600	469 92	38 3500	843 70	373 78	18 04	2 13%
HONEYWELL INTL INC COM Dividend Option Cash			Security Identifier HON CUSIP 438516106					
Multiple ▾	Total Covered 121 000	57 5450	6 963 00	115 8500	14,017 85	7,054.85	321 86	2 29%

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Portfolio Holdings *(continued)*

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Equities *(continued)*								
Common Stocks *(continued)*								
HUNTINGTON BANCSHARES INC Dividend Option Cash			Security Identifier HBAN CUSIP 446150104					
07/31/12	68 000	6 2200	422 96	13 2200	898 96	476.00	21 76	2 42%
HUNTINGTON INGALLS INDS INC COM Dividend Option Cash			Security Identifier HII CUSIP 446413106					
Multiple Y	Total Covered 13 000	37 0270	481 35	184 1900	2 394 47	1,913.12	31 20	1 30%
IAC INTERACTIVECORP COM PAR Dividend Option Cash			Security Identifier IAC CUSIP 44919P508					
Multiple Y	Total Covered 18 000	50 5480	909.87	64 7900	1,166 22	256 35	24 48	2 09%
ICON PLC LTD SHS ISIN#IE0005711209 Dividend Option Cash			Security Identifier ICLR CUSIP G4705A100					
Multiple Y	Total Covered 120 000	55 2550	6,630 55	75 2000	9,024 00	2 393 45		
INFINEON TECHNOLOGIES AG ISIN#US45662N1037 SPONS ADR Dividend Option Cash			Security Identifier IFNNY CUSIP 45662N103					
07/26/16	460 000	16 0600	7,387 50	17 2800	7,948 80	561 30	95 10	1 19%
INFINITY PPTY & CAS CORP COM Dividend Option Cash			Security Identifier IPCC CUSIP 45665Q103					
12/09/09 ^{*3}	8 000	39 9000	319 20	87 9000	703 20	384 00	16.64	2 36%
INSIGHT ENTERPRISES INC Dividend Option Cash			Security Identifier NSIT CUSIP 45765U103					
03/18/11	24 000	16 5600	397.44	40 4400	970 56	573 12		
ZINTEGRA LIFESCIENCES HLDGS CORP COM NEW Dividend Option Cash			Security Identifier IART CUSIP 457985208					
05/29/13	9 000	33 3280	299 95	85 7900	772 11	472 16		

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
INTERNATIONAL BUSINESS MACHS CORP COM				**Security Identifier: IBM** CUSIP 459200101				
Dividend Option Cash								
12/09/09 [*,3]	Total Noncovered 89 000	127.1160	11,313.32	165 9900	14,773 11	3,459 79	498 40	3 37%
Multiple [Y]	Total Covered 98 000	164 4950	16 120 47	165 9900	16,267 02	146 55	548 80	3 37%
Total	**187 000**		**$27,433 79**		**$31,040 13**	**$3,606 34**	**$1,047.20**	
INVESTORS BANCORP INC NEW COM				**Security Identifier. ISBC** CUSIP 46146L101				
Dividend Option Cash								
Multiple [Y]	Total Covered 90.000	10 2490	922.40	13 9500	1,255 50	333 10	28 80	2 29%
IPG PHOTONICS CORP COM				**Security Identifier IPGP** CUSIP 44980X109				
Dividend Option Cash								
Multiple [t,Y]	Total Covered 54 000	84 0440	4,538 37	98 7100	5,330 34	791 97		
			Your lot has been adjusted due to a wash sale for more than one year					
JACOBS ENGR GROUP INC COM				**Security Identifier. JEC** CUSIP 469814107				
Dividend Option Cash								
05/05/16	33 000	45 5600	1,503 48	57 0000	1,881 00	377 52		
JAZZ PHARMACEUTICALS PLC SHS USD				**Security Identifier JAZZ** CUSIP G50871105				
ISIN#IE00B4Q5ZN47								
Dividend Option Cash								
08/01/16	36 000	152 0680	5,474 43	109 0300	3,925 08	1,549 35		
JOHNSON & JOHNSON COM				**Security Identifier: JNJ** CUSIP 478160104				
Dividend Option Cash								
Multiple [*,3,Y]	Total Noncovered 290 000	64 2660	18,637 25	115 2100	33,410 90	14,773 65	928 00	2 77%
Multiple [Y]	Total Covered 174 000	66 0700	11,496 11	115 2100	20,046 54	8,550 43	556 80	2 77%
Total	**464 000**		**$30,133 36**		**$53,457 44**	**$23,324,08**	**$1,484.80**	
JOHNSON CTLS INTL PLC SHS				**Security Identifier JCI** CUSIP G51502105				
ISIN#IE00BY7QL619								
Dividend Option Cash								
09/06/16	395 000	45 6900	18 047 55	41 1900	16,270 05	1,777 50	395 00	2 42%
JONES LANG LASALLE INC COM				**Security Identifier. JLL** CUSIP 48020Q107				
Dividend Option Cash								
11/28/16	13 000	99 9040	1,298 75	101 0400	1,313 52	14 77	8 58	0 65%

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Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
JP MORGAN CHASE & CO COM ISIN#US46625H1005 Dividend Option Cash			Security Identifier, JPM CUSIP 46625H100					
Multiple *,3,Y	Total Noncovered 247 000	44 7960	11 064 49	86 2900	21,313 63	10,249 14	474 24	2 22%
Multiple Y	Total Covered 64 000	41 3490	2,646 35	86 2900	5,522 56	2,876 71	122 88	2 22%
Total	**311 000**		**$13,710 84**		**$26,836 19**	**$13,125 35**	**$597 12**	
J2 GLOBAL INC COM Dividend Option Cash			Security Identifier: JCOM CUSIP, 48123V102					
Multiple Y	Total Covered 69 000	76 1000	5,250 89	81 8000	5,644 20	393 31	93 84	1.66%
KAR AUCTION SVCS INC COM Dividend Option, Cash			Security Identifier, KAR CUSIP 48238T109					
Multiple Y	Total Covered 200 000	28 9700	5,794 06	42 6200	8,524 00	2 729 94	256 00	3 00%
KASIKORNBANK PUB CO LTD ADR ISIN#US4857851095 Dividend Option Cash			Security Identifier KPCPY CUSIP 485785109					
02/03/15	287 000	28 2400	8 104 88	19 7000	5,653 90	-2 450 98	104 10	1 84%
KDDI CORP ADR ISIN#US48667L1061 Dividend Option Cash			Security Identifier: KDDIY CUSIP, 48667L106					
Multiple Y	Total Covered 491 000	10 1370	4 977 24	12 6500	6,211 15	1 233 91	120 94	1 94%
KIMBERLY CLARK CORP COM Dividend Option Cash			Security Identifier KMB CUSIP 494368103					
12/09/09 * 3	175 000	61 3830	10,742 04	114 1200	19 971 00	9,228 96	644 00	3 22%

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
KONINKLIJKE AHOLD NV SPONSORED ADR NEW 2016 ISIN#US5004675014 Dividend Option Cash			Security Identifier: ADRNY CUSIP 500467501					
07/15/16	300 000	24 5940	7,378 13	20 9900	6,297 00	-1,081 13	155 49	2 46%
KOREA ELEC PWR CO SPONSORED ADR RPSTG ISIN#US5006311063 1/2 SHS Dividend Option Cash			Security Identifier: KEP CUSIP 500631106					
09/18/15	362 000	20 4270	7,394 70	18.4800	6 689 76	-704 94	485 96	7 26%
KOSMOS ENERGY LTD SHS ISIN#BMG5315B1072 Dividend Option Cash			Security Identifier KOS CUSIP G5315B107					
09/16/14	113 000	10 3200	1,166 16	7 0100	792 13	374 03		
LEUCADIA NATL CORP COM Dividend Option Cash			Security Identifier LUK CUSIP 527288104					
Multiple Y	Total Covered 42 000	16 8340	707 02	23 2500	976 50	269 48	10 50	1 07%
LIBERTY BROADBAND CORP COM SER A Dividend Option Cash			Security Identifier LBRDA CUSIP 530307107					
12/13/10 *	Total Noncovered 4 000	18 6280	74 51	72.4600	289 84	215 33		
Multiple Y	Total Covered 33 000	45 5150	1 501 98	72 4600	2,391 18	889.20		
Total	**37 000**		**$1,576 49**		**$2,681 02**	**$1,104 53**	**$0 00**	
LIBERTY BROADBAND CORP COM SER C Dividend Option Cash			Security Identifier: LBRDK CUSIP 530307305					
12/13/10 *	Total Noncovered 19 500	18 4770	360 30	74 0700	1,444 37	1 084 07		
Multiple Y	Total Covered 48 500	45 8290	2 222 72	74 0700	3,592 39	1,369 67		
Total	**68 000**		**$2,583 02**		**$5,036 76**	**$2,453 74**	**$0.00**	
LIBERTY MEDIA CORP DEL COM SER A SIRIUSXM GROUP Dividend Option Cash			Security Identifier LSXMA CUSIP 531229409					
Multiple Y	Total Covered 63 000	28 3870	1 788 35	34 5200	2,174 76	386 41		

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Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
LIBERTY MEDIA CORP DEL COM SER C SIRIUSXM GROUP Dividend Option Cash			Security Identifier. LSXMK CUSIP 531229607					
12/13/10 *	Total Noncovered 71 000	10 7160	760 83	33.9200	2,408 32	1 647.49		
Multiple Y	Total Covered 38 000	20 1810	766 89	33 9200	1 288 96	522 07		
Total	109 000		$1,527 72		$3,697.28	$2,169 56	$0 00	
LIFEPOINT HEALTH INC COM Dividend Option. Cash			Security Identifier LPNT CUSIP. 53219L109					
03/18/11	17 000	39 0200	663 34	56 8000	965 60	302 26		
LINDE AG SPONS ADR LEVEL 1 ISIN#US5352232004 Dividend Option Cash			Security Identifier: LNEGY CUSIP 535223200					
11/28/16	203 000	15 9070	3,229 18	16 5700	3,363 71	134 53	55 21	1 64%
LIONS GATE ENTERTAINMENT CORP REGISTERED SHS -B NON VOTING ISIN#CA5359195008 Dividend Option Cash			Security Identifier LGF B CUSIP 535919500					
12/13/16	24 000	26 2550	630 12	24 5400	588 96	-41 16		
LITHIA MTRS INC CL A Dividend Option Cash			Security Identifier: LAD CUSIP 536797103					
Multiple Y	Total Covered 25 000	86 4830	2 162 08	96 8300	2 420 75	258 67	25 00	1 03%
LIVE NATION ENTMT INC COM Dividend Option Cash			Security Identifier LYV CUSIP 538034109					
03/18/11	25 000	10 1760	254 41	26 6000	665 00	410 59		
LYONDELLBASELL INDUSTRIES N V ORD SHS CL A Dividend Option Cash			Security Identifier LYB CUSIP N53745100					

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
LYONDELLBASELL INDUSTRIES N V ORD *(continued)*								
Multiple Y	Total Covered 284 000	82 9960	23,570 91	85.7800	24,361 52	790 61	965 60	3 96%
MADDEN STEVEN LTD COM Dividend Option: Cash			Security Identifier: SHOO CUSIP 556269108					
Multiple Y	Total Covered 51 000	32.1210	1,638 15	35 7500	1,823 25	185 10		
MAGNA INTERNATIONAL INC COM ISIN#CA5592224011 Dividend Option Cash			Security Identifier: MGA CUSIP 559222401					
Multiple Y	Total Covered 209 000	47 1150	9,846 99	43 4000	9,070 60	-776 39	209 00	2 30%
MAIDEN HOLDINGS LTD SHS ISIN#BMG5753U1128 Dividend Option Cash			Security Identifier: MHLD CUSIP G5753U112					
Multiple Y	Total Covered 251 000	8 8260	2 215 21	17 4500	4 379 95	2 164 74	150 60	3 43%
MANPOWER GROUP COM Dividend Option Cash			Security Identifier: MAN CUSIP 56418H100					
03/29/12	8 000	46 9200	375 36	88 8700	710 96	335 60	13 76	1 93%
MANULIFE FINL CORP COM ISIN#CA56501R1064 Dividend Option Cash			Security Identifier MFC CUSIP 56501R106					
01/29/14	432.000	18 2990	7,905 17	17 8200	7,698 24	-206 93	238 40	3 09%
MAXIMUS INC COM Dividend Option Cash			Security Identifier: MMS CUSIP 577933104					
03/18/11	12 000	18 5930	223 11	55 7900	669 48	446 37	2 16	0 32%
MERCK & CO INC NEW COM Dividend Option Cash			Security Identifier MRK CUSIP 58933Y105					
Multiple Y	Total Covered 665 000	45 7760	30,441 23	58 8700	39 148 55	8 707 32	1 250 20	3 19%
METLIFE INC COM Dividend Option Cash			Security Identifier MET CUSIP 59156R108					
Multiple Y	Total Covered 131 000	38 7420	5 075 22	53 8900	7,059 59	1,984 37	209 60	2 96%
MICROCHIP TECHNOLOGY INC COM Dividend Option Cash			Security Identifier MCHP CUSIP 595017104					

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Portfolio Holdings *(continued)*

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Equities *(continued)*								
Common Stocks *(continued)*								
MICROCHIP TECHNOLOGY INC COM *(continued)*								
Multiple Y	Total Covered 484 000	32 1050	15,538 86	64 1500	31,048 60	15,509.74	697 92	2 24%
MICROSOFT CORP COM Dividend Option Cash			**Security Identifier: MSFT** CUSIP 594918104					
01/17/14	406 000	36 2480	14 716 81	62 1400	25,228 84	10,512 03	633 36	2 51%
MINERALS TECHNOLOGIES INC Dividend Option Cash			**Security Identifier MTX** CUSIP 603158106					
Multiple f	Total Covered 32 000	48.4760	1,551 28	77 2500	2,472 00	920 72	6 40	0 25%
MITSUBISHI ELECTRIC CORP ADR Dividend Option Cash			**Security Identifier. MIELY** CUSIP 606776201					
Multiple Y	Total Covered 351 000	26 2540	9,215 32	27 7700	9,747 27	531 95	125 48	1.28%
MONSTER BEVERAGE CORP NEW COM SHS Dividend Option Cash			**Security Identifier: MNST** CUSIP 61174X109					
Multiple Y	Total Covered 123 000	19 0390	2,341 84	44 3400	5 453 82	3 111 98		
MTGE INVT CORP COM Dividend Option Cash			**Security Identifier MTGE** CUSIP 55378A105					
07/09/13	36 000	16 9100	608 76	15 7000	565 20	43 56	57 60	10 19%
MULTI PACKAGING SOLUTIONS INTERNATIONAL LTD SHS ISIN#BMG6331W1091 Dividend Option Cash			**Security Identifier MPSX** CUSIP G6331W109					
Multiple Y	Total Covered 87 000	16 3150	1,419 37	14 2600	1,240 62	-178 75		
MURATA MFG CO LTD ADR ISIN#US6264251025 Dividend Option Cash			**Security Identifier: MRAAY** CUSIP 626425102					

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
MURATA MFG CO LTD ADR *(continued)*								
09/16/15	207 000	36 0500	7,462 29	33 3600	6,905.52	-556 77	79 45	1 15%
NATIONSTAR MTG HLDGS INC COM			Security Identifier NSM CUSIP 63861C109					
Dividend Option Cash								
Multiple ¥	Total Covered 93 000	19 6840	1,830 63	18 0600	1,679 58	-151 05		
NAVIENT CORP COM			Security Identifier. NAVI CUSIP 63938C108					
Dividend Option Cash								
Multiple ¥	Total Covered 140,000	12 2220	1,711 14	16 4300	2,300.20	589 06	89 60	3 89%
NAVIGANT CONSULTING INC COM			Security Identifier NCI CUSIP 63935N107					
Dividend Option Cash								
Multiple ¥	Total Covered 66 000	12 9700	856 02	26 1800	1,727 88	871 86		
NELNET INC CL A			Security Identifier NNI CUSIP 64031N108					
Dividend Option Cash								
Multiple ¥	Total Covered 53 000	34 3740	1,821 80	50 7500	2 689 75	867 95	29 68	1 10%
NETEASE INC SPONSORED ADR			Security Identifier NTES CUSIP 64110W102					
ISIN#US64110W1027								
Dividend Option Cash								
Multiple ¥	Total Covered 37 000	62 7970	2,323 49	215 3400	7,967 58	5,644 09	108.04	1 35%
NEWELL BRANDS INC COM			Security Identifier NWL CUSIP 651229106					
Dividend Option Cash								
10/13/16	115 000	51 5380	5,926 82	44 6500	5,134 75	792 07	87 40	1 70%
NIPPON TELEG & TELEPHONE CORP			Security Identifier NTT CUSIP 654624105					
SPONSORED ADR								
Dividend Option Cash								
04/24/07 ¹,³	Total Noncovered 120 000	25 6200	3,074 40	42 0700	5,048 40	1,974 00	118 16	2 34%
01/22/14	Total Covered 29 000	27 8190	806 74	42 0700	1 220.03	413 29	28 55	2 34%
Total	**149 000**		**$3,881.14**		**$6,268 43**	**$2,387 29**	**$146 71**	
NISOURCE INC COM			Security Identifier NI CUSIP 65473P105					
Dividend Option Cash								
Multiple ¥	Total Covered 226 000	10 3260	2,333 57	22 1400	5,003 64	2,670 07	149 16	2 98%

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Equities *(continued)*								
Common Stocks *(continued)*								
NORTHERN TR CORP COM Dividend Option Cash			Security Identifier: NTRS CUSIP 665859104					
Multiple Y Total Covered	91 000	46 4590	4,227 75	89 0500	8,103 55	3,875 80	138 32	1 70%
NOVARTIS AG SPONSORED ADR Dividend Option Cash			Security Identifier NVS CUSIP 66987V109					
01/10/14	166 000	80 7380	13,402 59	72 8400	12,091 44	-1,311 15	382 25	3 16%
NU SKIN ENTERPRISES INC CL A Dividend Option Cash			Security Identifier NUS CUSIP 67018T105					
Multiple Y Total Covered	35 000	46 8410	1 639 45	47 7800	1,672 30	32 85	49 70	2 97%
NVR INC Dividend Option Cash			Security Identifier NVR CUSIP 62944T105					
07/08/16	1 000	1 819 0000	1,819 00	1 669 0000	1,669 00	150 00		
NXP SEMICONDUCTORS NV COM ISIN#NL0009538784 Dividend Option Cash			Security Identifier NXPI CUSIP N6596X109					
03/20/15	78 000	108,1290	8 434 09	98 0100	7 644 78	789 31		
OLIN CORP NEW COM PAR $1 Dividend Option Cash			Security Identifier: OLN CUSIP 680665205					
01/08/16	61 000	16 9780	1,035 68	25 6100	1 562 21	526 53	48 80	3 12%
ON ASSIGNMENT INC COM Dividend Option Cash			Security Identifier, ASGN CUSIP 682159108					
11/02/16	20 000	34 5300	690 59	44 1600	883 20	192 61		
ON SEMICONDUCTOR CORP COM Dividend Option Cash			Security Identifier: ON CUSIP 682189105					
Multiple Y Total Covered	259 000	8 8590	2,294 39	12 7600	3,304 84	1,010 45		

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
ONEOK INC NEW COM Dividend Option: Cash			Security Identifier OKE CUSIP 682680103					
Multiple Y	Total Covered 625 000	41 9280	26,204 84	57 4100	35 881 25	9,676 41	1,537 50	4 28%
ORACLE CORP COM Dividend Option Cash			Security Identifier: ORCL CUSIP 68389X105					
Multiple Y	Total Covered 344 000	34 0070	11,698 38	38 4500	13,226 80	1,528 42	206 40	1 56%
ORIX CORP SPONSORED ADR Dividend Option Cash			Security Identifier, IX CUSIP 686330101					
07/14/14	121 000	78 7910	9,533 72	77 8300	9,417 43	-116 29	226 27	2 40%
OWENS AND MINOR INC HLDGS CO INC Dividend Option Cash			Security Identifier OMI CUSIP 690732102					
04/12/10 ·,3	17 000	30 9820	526 70	35 2900	599 93	73 23	17 34	2 89%
OWENS CORNING NEW COM Dividend Option Cash			Security Identifier: OC CUSIP, 690742101					
04/27/16	44 000	48 5280	2,135 21	51 5600	2,268 64	133 43	35 20	1 55%
PACKAGING CORP AMER COM Dividend Option Cash			Security Identifier: PKG CUSIP 695156109					
09/30/14	9 000	64 0000	576 00	84 8200	763 38	187 38	22 68	2 97%
PACWEST BANCORP DEL COM Dividend Option Cash			Security Identifier PACW CUSIP 695263103					
03/28/16	170 000	37 3500	6 349 48	54 4400	9,254 80	2,905 32	340 00	3 67%
PALO ALTO NETWORKS INC COM Dividend Option, Cash			Security Identifier PANW CUSIP 697435105					
Multiple Y	Total Covered 27 000	151 8190	4,099 10	125 0500	3,376,35	722 75		
PANDORA A/S ADR ISIN#US6983411041 Dividend Option Cash			Security Identifier: PNDZY CUSIP 698341104					
Multiple Y	Total Covered 258 000	17 0000	4 386 06	32 5400	8,395 32	4,009 26	81 75	0 96%
PANERA BREAD CO CL A Dividend Option Cash			Security Identifier PNRA CUSIP 69840W108					
10/13/16	24 000	190 6330	4 575 18	205 0900	4 922 16	346 98		

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Equities *(continued)*								
Common Stocks *(continued)*								
PAREXEL INTL CORP COM Dividend Option Cash			Security Identifier. PRXL CUSIP 699462107					
03/18/11	12 000	23 5900	283 08	65 7200	788 64	505 56		
PARSLEY ENERGY INC CL A Dividend Option Cash			Security Identifier PE CUSIP 701877102					
Multiple Y	Total Covered 267.000	27 1880	7,259 30	35 2400	9,409 08	2,149 78		
PAYPAL HLDGS INC COM Dividend Option Cash			Security Identifier PYPL CUSIP 70450Y103					
Multiple Y	Total Covered 149 000	19 5150	2,907 73	39 4700	5,881 03	2,973 30		
PEMBINA PIPELINE CORP COM ISIN#CA7063271034 Dividend Option Cash			Security Identifier PBA CUSIP 706327103					
08/10/12	248 000	26 3230	6,528 14	31 3200	7,767 36	1 239 22	355 10	4 57%
PEPSICO INC COM Dividend Option Cash			Security Identifier: PEP CUSIP 713448108					
Multiple ',3,Y	Total Noncovered 106 000	62 3820	6 612 44	104 6300	11,090 78	4 478 34	319 06	2 87%
03/21/12	Total Covered 96 000	65 4700	6 285 11	104 6300	10,044 48	3,759 37	288 96	2 87%
Total	**202 000**		**$12,897 55**		**$21,135.26**	**$8,237 71**	**$608.02**	
PERKINELMER INC COM Dividend Option Cash			Security Identifier PKI CUSIP 714046109					
Multiple Y	Total Covered 125 000	46 9020	5 862 75	52.1500	6,518 75	656 00	35 00	0 53%
PERSIMMON ADR ISIN#US7153181018 Dividend Option Cash			Security Identifier: PSMMY CUSIP 715318101					

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
PERSIMMON ADR *(continued)*								
Multiple Y	Total Covered 169 000	54 4690	9,205 24	43 5960	7,367 72	1,837 52	525 30	7.12%
PFIZER INC COM Dividend Option Cash			Security Identifier: PFE CUSIP 717081103					
05/21/10 *,3	Total Noncovered 104 000	15 2750	1 588 63	32 4800	3,377 92	1,789 29	133 12	3 94%
Multiple Y	Total Covered 861 000	25 4620	21 922 71	32 4800	27,965 28	6,042 57	1,102 08	3.94%
Total	965 000		$23,511 34		$31,343 20	$7,831.86	$1,235.20	
PHARMERICA CORP COM Dividend Option Cash			Security Identifier: PMC CUSIP 71714F104					
08/22/16	31 000	22 0780	684 42	25 1500	779 65	95 23		
PINNACLE FOODS INC DEL COM Dividend Option Cash			Security Identifier PF CUSIP 72348P104					
11/10/16	115 000	47 4080	5,451 87	53 4500	6,146 75	694 88	131 10	2 13%
PLAINS GP HLDGS L P LTD PARTNER INT CL A NEW INT Dividend Option Cash			Security Identifier: PAGP CUSIP 72651A207					
07/19/16	605 000	30.0670	18,190 54	34 6800	20,981 40	2,790 86	1 330 76	6 34%
PNM RES INC COM Dividend Option Cash			Security Identifier. PNM CUSIP. 69349H107					
03/18/11	24 000	14 2270	341 44	34 3000	823 20	481 76	23 28	2 82%
PPG INDUSTRIES INC Dividend Option Cash			Security Identifier: PPG CUSIP 693506107					
12/08/09 *,3	190 000	29 6800	5,639 20	94 7600	18,004 40	12,365 20	304 00	1 68%
PRA GROUP INC COM Dividend Option Cash			Security Identifier: PRAA CUSIP 69354N106					
05/10/16	26 000	24 9600	648 96	39 1000	1,016 60	367 64		
PROCTER & GAMBLE CO COM Dividend Option Cash			Security Identifier: PG CUSIP 742718109					
Multiple *,3,Y	Total Noncovered 198 000	61 6960	12,215 77	84 0800	16,647 84	4,432 07	530 25	3 18%
Multiple Y	Total Covered 187 000	80 5560	15,063 94	84 0800	15,722 96	659 02	500 78	3 18%
Total	385.000		$27,279.71		$32,370.80	$5,091 09	$1,031 03	

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
PTC INC COM Dividend Option Cash			Security Identifier. PTC CUSIP 69370C100					
Multiple Y	Total Covered 124 000	38 3220	4 751 96	46 2700	5,737 48	985 52		
PULTEGROUP INC COM Dividend Option Cash			Security Identifier PHM CUSIP 745867101					
01/13/16	35 000	16 4690	576 42	18 3800	643 30	66 88	12 60	1 95%
QEP RES INC COM Dividend Option Cash			Security Identifier QEP CUSIP 74733V100					
Multiple Y	Total Covered 118 000	22 7990	2 690 24	18 4100	2,172 38	-517 86	9 44	0 43%
QUALCOMM INC Dividend Option Cash			Security Identifier QCOM CUSIP 747525103					
Multiple Y	Total Covered 323 000	49 4620	15,976 23	65 2000	21,059 60	5,083 37	684 76	3 25%
RADIAN GROUP INC COM Dividend Option Cash			Security Identifier RDN CUSIP 750236101					
Multiple Y	Total Covered 425 000	13 9470	5,927 46	17 9800	7,641 50	1,714 04	4 25	0 05%
RAYMOND JAMES FINL INC COM Dividend Option Cash			Security Identifier RJF CUSIP 754730109					
07/31/12	11 000	33 6600	370 26	69 2700	761 97	391 71	8 80	1 15%
RAYTHEON CO COM NEW Dividend Option Cash			Security Identifier RTN CUSIP 755111507					
12/09/09 1,3	Total Noncovered 177 000	51 7020	9,151 29	142 0000	25,134 00	15,982 71	518 61	2 06%
06/28/13	Total Covered 8 000	66 4400	531.52	142 0000	1,136 00	604 48	23 44	2 06%
Total	**185 000**		**$9,682.81**		**$26,270 00**	**$16,587 19**	**$542 05**	

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
REALOGY HLDGS CORP COM Dividend Option Cash			Security Identifier RLGY CUSIP 75605Y106					
08/16/13	24 000	42 1400	1,011 36	25 7300	617 52	-393 84	8 64	1 39%
RED HAT INC COM Dividend Option Cash			Security Identifier: RHT CUSIP 756577102					
Multiple Y	Total Covered 94 000	47 1810	4,434 97	69 7000	6,551 80	2,116 83		
REINSURANCE GROUP AMER INC COM NEW Dividend Option Cash			Security Identifier RGA CUSIP 759351604					
Multiple 3,Y	Total Covered 104 000	62 2550	6 474 52	125 8300	13,086 32	6 611 80	170 56	1 30%
RENAULT S A ADR ISIN#US7596734035 Dividend Option Cash			Security Identifier: RNLSY CUSIP 759673403					
10/28/15	430 000	18 0650	7,768 05	17 8300	7,666 90	101 15	171 55	2 23%
RICE ENERGY INC COM Dividend Option Cash			Security Identifier: RICE CUSIP 762760106					
Multiple Y	Total Covered 93 000	26 3330	2,449 00	21 3500	1,985 55	463 45		
ROCHE HLDGS LTD SPONSORED ADR ISIN#US7711951043 Dividend Option Cash			Security Identifier RHHBY CUSIP 771195104					
Multiple Y	Total Covered 123 000	33 2140	4,085 31	28 5300	3,509 19	-576 12	103 03	2 93%
ROSS STORES INC (STATE OF INC CHGD FM CALF TO DELAWARE) Dividend Option Cash			Security Identifier. ROST CUSIP. 778296103					
Multiple Y	Total Covered 163 000	36 0020	5,868 36	65 6000	10,692 80	4,824 44	88 02	0 82%
ROYAL CARIBBEAN CRUISES LTD ISIN#LR0008862868 Dividend Option Cash			Security Identifier: RCL CUSIP V7780T103					
Multiple #,Y	Total Covered 70 000	83 2430	5 827 02	82 0400	5 742 80	-84 22	134 40	2 34%
			98 day(s) added to your holding period as a result of a wash sale					
RPM INTL INC Dividend Option Cash			Security Identifier RPM CUSIP 749685103					

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Portfolio Holdings *(continued)*

Date Acquired		Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*									
Common Stocks *(continued)*									
RPM INTL INC *(continued)*									
Multiple ¥	Total Covered	118 000	40 0880	4,730 41	53.8300	6,351 94	1,621 53	141 60	2 22%
RPX CORP COM Dividend Option Cash				Security Identifier RPXC CUSIP 74972G103					
Multiple ¥	Total Covered	123 000	16 2610	2,000 05	10 8000	1,328 40	-671 65		
RSP PERMIAN INC COM Dividend Option Cash				Security Identifier RSPP CUSIP 74978Q105					
06/05/15		30 000	24 0380	721 13	44 6200	1,338 60	617 47		
RYANAIR HLDGS PLC SPONSORED ADR NEW Dividend Option Cash				Security Identifier RYAAY CUSIP 783513203					
01/06/15		111 000	69 4300	7,706 78	83 2600	9,241 86	1,535 08	239 27	2 58%
SAP AE SPONSORED ADR ISIN#US8030542042 Dividend Option Cash				Security Identifier SAP CUSIP 803054204					
01/15/16		86.000	77 2100	6,640 05	86 4300	7 432 98	792 93	80.06	1 07%
SBA COMMUNICATIONS CORP CL A Dividend Option Cash				Security Identifier SBAC CUSIP 78388J106					
Multiple ¥	Total Covered	70 000	51 0460	3,573 24	103 2600	7,228 20	3,654.96		
SCHLUMBERGER LTD COM ISIN#AN8068571086 Dividend Option Cash				Security Identifier SLB CUSIP 806857108					
12/09/09 ¹,³	Total Noncovered	109 760	60 2880	6,617 21	83 9500	9,214 35	2,597 14	219 52	2 38%
04/04/16	Total Covered	100 240	72 1200	7 229 31	83 9500	8,415 15	1,185 84	200 48	2 38%
Total		**210 000**		**$13,846.52**		**$17,629 50**	**$3,782 98**	**$420.00**	
SCHWEITZER MAUDUIT INTL INC COM Dividend Option Cash				Security Identifier SWM CUSIP 808541106					

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
SCHWEITZER MAUDUIT INTL INC COM *(continued)*								
Multiple Y	Total Covered 38 000	41 9930	1,595 75	45 5300	1,730 14	134 39	63 84	3 68%
SCRIPPS NETWORKS INTERACTIVE INC CL A Dividend Option Cash			Security Identifier SNI CUSIP 811065101					
06/24/16	18,000	60 3900	1,087.02	71 3700	1 284 66	197 64	18 00	1 40%
SELECT MED HLDGS CORP COM Dividend Option Cash			Security Identifier SEM CUSIP 81619Q105					
Multiple Y	Total Covered 74 000	7 7680	574 81	13 2500	980 50	405 69		
SEMPRA ENERGY COM Dividend Option Cash			Security Identifier SRE CUSIP 816851109					
Multiple Y	Total Covered 56,000	101 9500	5,709 20	100 6400	5,635 84	-73 36	169 12	3 00%
SERVICE CORP INTL Dividend Option Cash			Security Identifier, SCI CUSIP 817565104					
12/09/09 *,3	Total Noncovered 22 000	7 7780	171 12	28 4000	624 80	453 68	11 44	1 83%
01/24/11 3	Total Covered 10 000	8 6980	86.98	28 4000	284 00	197 02	5 20	1 83%
Total	**32,000**		**$258.10**		**$908 80**	**$650 70**	**$16 64**	
SHIRE PLC SPONS ADR ISIN#US82481R1068 Dividend Option Cash			Security Identifier SHPG CUSIP 82481R106					
03/20/15	33,000	253 9900	8 381 67	170 3800	5,622 54	2,759 13	26 52	0 47%
SIGNATURE BK NEW YORK N Y COM Dividend Option Cash			Security Identifier SBNY CUSIP 82669G104					
Multiple *,3,Y	Total Noncovered 45 000	33.0930	1 489.18	150 2000	6 759 00	5 269 82		
Multiple Y	Total Covered 10 000	134 6620	1,346 62	150 2000	1,502 00	155.38		
Total	**55.000**		**$2,835 80**		**$8,261 00**	**$5,425 20**	**$0 00**	
SK TELECOM LTD SPONSORED ADR ISIN#US78440P1084 Dividend Option Cash			Security Identifier SKM CUSIP 78440P108					
Multiple Y	Total Covered 274 000	16 9780	4,651 89	20 9000	5,726 60	1,074.71	16 12	0 28%

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
SKECHERS U S A INC CL A Dividend Option Cash			Security Identifier SKX CUSIP 830566105					
Multiple Y	Total Covered 97 000	20 9190	2,029 16	24 5800	2 384 26	355 10		
SKYWORKS SOLUTIONS INC COM Dividend Option Cash			Security Identifier SWKS CUSIP 83088M102					
11/18/10 ,3	Total Noncovered 36 000	23 7700	855 73	74 6600	2,687 76	1,832 03	40 32	1 50%
Multiple Y	Total Covered 48 000	30 1890	1,449 05	74 6600	3,583 68	2,134.63	53 76	1 50%
Total	84.000		$2,304.78		$6,271 44	$3,966.66	$94 08	
SLM CORP COM Dividend Option Cash			Security Identifier SLM CUSIP 78442P106					
Multiple Y	Total Covered 846 000	9 2590	7,833 36	11 0200	9,322 92	1 489.56		
SMC CORP JAPAN SPONSORED ADR ISIN#US78445W3060 Dividend Option Cash			Security Identifier SMCAY CUSIP 78445W306					
01/06/15	580 000	13 2200	7,667 60	11 7900	6 838 20	-829 40	40 64	0 59%
SMITH A O CORP COMMON Dividend Option Cash			Security Identifier AOS CUSIP 831865209					
Multiple Y	Total Covered 156 000	35 1910	5,489 76	47 3500	7,386 60	1,896.84	74 88	1 01%
SPECTRA ENERGY CORP COM Dividend Option Cash			Security Identifier: SE CUSIP 847560109					
Multiple Y	Total Covered 571 000	33 0700	18 882 76	41 0900	23 462 39	4,579 63	925 02	3.94%
STEEL DYNAMICS INC COM Dividend Option Cash			Security Identifier STLD CUSIP 858119100					

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
STEEL DYNAMICS INC COM *(continued)*								
Multiple Y	Total Covered 90 000	19 3580	1,742 23	35 5800	3,202 20	1,459 97	50 40	1 57%
STIFEL FINANCIAL CORP COM Dividend Option Cash			Security Identifier. SF CUSIP 860630102					
Multiple Y	Total Covered 59 000	34 5860	2,040 59	49 9500	2,947 05	906 46		
SUNTRUST BKS INC COM Dividend Option Cash			Security Identifier: STI CUSIP 867914103					
Multiple Y	Total Covered 136 000	41 5190	5 646 55	54 8500	7,459 60	1,813 05	141 44	1 89%
SVB FINL GROUP COM Dividend Option Cash			Security Identifier. SIVB CUSIP 78486Q101					
Multiple Y	Total Covered 79 000	116 0030	9,164 24	171 6600	13,561 14	4 396 90		
SYKES ENTERPRISES INC COM Dividend Option Cash			Security Identifier SYKE CUSIP 871237103					
03/18/11	35 000	18 3000	640 50	28 8600	1,010 10	369 60		
SYNCHRONY FINL COM Dividend Option. Cash			Security Identifier SYF CUSIP 87165B103					
Multiple Y	Total Covered 182 000	21 6080	3,932 73	36 2700	6,601 14	2,668 41	94 64	1 43%
SYNNEX CORP COM Dividend Option Cash			Security Identifier: SNX CUSIP 87162W100					
Multiple F,Y	Total Covered 18 000	33 9330	610 79	121 0200	2 178 36	1,567 57	18 00	0 82%
			6 day(s) added to your holding period as a result of a wash sale					
TAILORED BRANDS INC COM SHS Dividend Option Cash			Security Identifier TLRD CUSIP 87403A107					
Multiple Y	Total Covered 122 000	35 9600	4,387 10	25 5500	3 117 10	1 270 00	87 84	2 81%
TAIWAN SEMICONDUCTOR MFG CO SPONSORED ADR ISIN#US8740391003 Dividend Option Cash			Security Identifier TSM CUSIP 874039100					
Multiple Y	Total Covered 295 000	14 8990	4,395 24	28 7500	8,481 25	4,086 01	221 70	2 61%

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
TATA MTRS LTD SPON ADR Dividend Option Cash			Security Identifier TTM CUSIP 876568502					
Multiple ¥	Total Covered 190 000	24 9770	4 745 56	34 3900	6 534 10	1 788.54	2 27	0 03%
TEGNA INC COM SHS Dividend Option Cash			Security Identifier TGNA CUSIP 87901J105					
07/06/15	41,000	30 5300	1,251 73	21 3900	876 99	-374 74	22 96	2 61%
TELETECH HLDGS INC COM Dividend Option Cash			Security Identifier TTEC CUSIP 879939106					
Multiple ¥	Total Covered 85 000	23 6950	2,014 05	30 5000	2 592 50	578.45	32 72	1 26%
TEMPUR SEALY INTERNATIONAL INC COM Dividend Option Cash			Security Identifier TPX CUSIP 88023U101					
10/17/16	14 000	51 7530	724 54	68 2800	955 92	231 38		
TERADYNE INC Dividend Option Cash			Security Identifier TER CUSIP 880770102					
03/18/11	66 000	17 0900	1,127 94	25 4000	1,676 40	548 46	15 84	0 94%
TETRA TECH INC NEW COM Dividend Option Cash			Security Identifier TTEK CUSIP 88162G103					
08/01/14	46,000	25 0150	1,150 70	43 1500	1,984 90	834 20	16 56	0 83%
THOR INDS INC Dividend Option Cash			Security Identifier THO CUSIP 885160101					
Multiple ¥	Total Covered 83 000	60 1320	4 990 95	100 0500	8,304 15	3,313 20	109 56	1 31%
TJX COS INC NEW COM Dividend Option Cash			Security Identifier TJX CUSIP 872540109					
Multiple ¥	Total Covered 190 000	53 6590	10,195 28	75 1300	14 274 70	4,079 42	197 60	1 38%

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
TORAY INDS INC ADR ISIN#US8908802064 Dividend Option Cash			Security Identifier: TRYIY CUSIP 890880206					
09/21/15	435 000	16 9930	7 392 09	16 1000	7,003 50	388 59	75 85	1 08%
TORCHMARK CORP Dividend Option Cash			Security Identifier. TMK CUSIP 891027104					
08/01/12	22 000	33 1730	729.81	73.7600	1,622 72	892 91	12 32	0 75%
TORONTO DOMINION BK ONT COM NEW ISIN#CA8911605092 Dividend Option Cash			Security Identifier. TD CUSIP 891160509					
Multiple Y	Total Covered 310 000	38 8500	12 043 63	49 3400	15,295 40	3,251 77	508 61	3 32%
TRAVELERS COS INC COM Dividend Option. Cash			Security Identifier: TRV CUSIP. 89417E109					
Multiple *,3,Y	Total Noncovered 270 000	50 1220	13 532 84	122 4200	33,053 40	19 520 56	723 60	2 18%
TURKIYE GARANTI BANKASI ADR ISIN#US9001487019 Dividend Option. Cash			Security Identifier: TKGBY CUSIP 900148701					
09/02/16	2,877 000	2 6660	7 671 23	2 0900	6,012 93	1,658 30	102 51	1 70%
TUTOR PERINI CORP COM Dividend Option. Cash			Security Identifier TPC CUSIP 901109108					
06/11/15	32 000	23 8000	761 60	28 0000	896 00	134 40		
UNIBAIL RODAMCO SE ADR REPSTG SHSH NEW ICE ISSUE 2008 ISIN#US9045871020 Dividend Option Cash			Security Identifier UNRDY CUSIP 904587102					
09/25/15	279 000	25 9620	7,243 34	23 7700	6,631.83	-611 51	199 05	3 00%
UNILEVER PLC SPON ADR NEW ISIN#US9047677045 Dividend Option Cash			Security Identifier UL CUSIP 904767704					
09/30/14	199 000	41 8390	8,325 76	40.7000	8,099 30	-226 46	275 03	3 39%
UNITED PARCEL SVC INC CL B Dividend Option Cash			Security Identifier UPS CUSIP 911312106					
12/09/09 *,3	Total Noncovered 190 000	57 7580	10 974 09	114 6400	21,781 60	10 807 51	592 80	2 72%
02/04/16	Total Covered 125 000	96 2600	12 032 45	114 6400	14,330 00	2,297 55	390 00	2 72%
Total	**315.000**		**$23,006 54**		**$36,111 60**	**$13,105 06**	**$982 80**	

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Equities *(continued)*								
Common Stocks *(continued)*								
UNITED TECHNOLOGIES CORP COM			Security Identifier UTX CUSIP 913017109					
Dividend Option Cash								
12/09/09 ¹,³	116 000	67 3460	7,812 15	109 6200	12 715 92	4,903 77	306 24	2 40%
UNIVERSAL CORP VA COM			Security Identifier UVV CUSIP 913456109					
Dividend Option Cash								
Multiple ʏ	Total Covered 27,000	53.7260	1,450 60	63 7500	1,721 25	270 65	58 32	3 38%
VALEO SPON ADR			Security Identifier VLEEY CUSIP 919134304					
Dividend Option Cash								
12/02/10 ¹,³	Total Noncovered 303 000	9 6400	2,920 86	28 6000	8,665 80	5,744 94	141.16	1 62%
Multiple ⁷ ʏ	Total Covered 39 000	9 4640	369 09	28 6000	1 115.40	746 31	18 17	1 62%
			112 day(s) added to your holding period as a result of a wash sale					
Total	342 000		$3,289 95		$9,781.20	$6,491 25	$159.33	
VALIDUS HLDGS LTD COM SHS			Security Identifier VR CUSIP G9319H102					
ISIN#BMG9319H1025								
Dividend Option Cash								
Multiple ʏ	Total Covered 258 000	33 4910	8,640 58	55 0100	14,192 58	5,552 00	361 20	2 54%
VCA INC COM			Security Identifier: WOOF CUSIP 918194101					
Dividend Option Cash								
Multiple ʏ	Total Covered 77 000	64 6820	4,980 46	68 6500	5,286 05	305 57		
VERISK ANALYTICS INC COM			Security Identifier VRSK CUSIP 92345Y106					
Dividend Option Cash								
Multiple ʏ	Total Covered 72 000	73 7240	5 308 12	81 1700	5 844 24	536 12		

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
VERIZON COMMUNICATIONS INC COM Dividend Option Cash			Security Identifier VZ CUSIP 92343V104					
02/27/14	174.000	48.1150	8,372.01	53.3800	9,288.12	916.11	401.94	4.32%
VESTAS WIND SYS A/S UTD KINGDOM UNSPONSORED ADR REPSTG 1 ORD SHS Dividend Option Cash			Security Identifier VWDRY CUSIP 925458101					
08/26/15	346.000	17.5100	6,058.44	21.7200	7,515.12	1,456.68	74.68	0.99%
VISA INC COM CL A Dividend Option Cash			Security Identifier: V CUSIP 92826C839					
Multiple * 3 Y	Total Noncovered 124.000	18.2400	2,261.70	78.0200	9,674.48	7,412.78	81.84	0.84%
02/04/11 3	Total Covered 52.000	18.1780	945.24	78.0200	4,057.04	3,111.80	34.32	0.84%
Total	**176.000**		**$3,206.94**		**$13,731.52**	**$10,524.58**	**$116.16**	
VODAFONE GROUP PLC NEW SPONSORED ADR NO PAR Dividend Option Cash			Security Identifier VOD CUSIP 92857W308					
Multiple Y	Total Covered 697.000	42.5170	29,634.66	24.4300	17,027.71	-12,606.95	1,040.31	6.10%
VULCAN MATLS CO COM Dividend Option Cash			Security Identifier VMC CUSIP 929160109					
11/15/16	42.000	134.2290	5,637.63	125.1500	5,256.30	381.33	33.60	0.63%
WABCO HLDGS INC COM Dividend Option Cash			Security Identifier WBC CUSIP 92927K102					
Multiple † Y	Total Covered 26.000	103.9750	2,703.35	106.1500	2,759.90	56.55		
			Your lot has been adjusted due to a wash sale for more than one year					
WABTEC COM Dividend Option Cash			Security Identifier. WAB CUSIP 929740108					
11/17/16	62.000	86.7000	5,375.40	83.0200	5,147.24	-228.16	24.80	0.48%
WAL MART STORES INC COM Dividend Option Cash			Security Identifier WMT CUSIP 931142103					
12/09/09 *,3	Total Noncovered 288.000	54.0900	15,579.65	69.1200	19,906.56	4,326.91	576.00	2.89%
09/30/14	Total Covered 6.000	76.5100	459.06	69.1200	414.72	-44.34	12.00	2.89%
Total	**294.000**		**$16,038.71**		**$20,321.28**	**$4,282.57**	**$588.00**	

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
WALKER & DUNLOP INC COM Dividend Option Cash			Security Identifier: WD CUSIP 93148P102					
Multiple ¥	Total Covered 99.000	18 6300	1,844 37	31 2000	3,088.80	1,244 43		
WASTE MGMT INC DEL COM Dividend Option Cash			Security Identifier: WM CUSIP 94106L109					
Multiple *,3 ¥	Total Noncovered 100 000	33 0680	3 306 77	70 9100	7,091 00	3,784 23	164 00	2 31%
09/20/12	Total Covered 110 000	32 5800	3,583 79	70 9100	7,800 10	4 216 31	180 40	2 31%
Total	**210 000**		**$6,890.56**		**$14,891 10**	**$8,000.54**	**$344 40**	
WELLS FARGO & CO NEW COM Dividend Option Cash			Security Identifier. WFC CUSIP 949746101					
03/22/16	181 000	50 2800	9,100 66	55 1100	9,974 91	874 25	275.12	2 76%
WESCO INTL INC COM Dividend Option Cash			Security Identifier. WCC CUSIP 95082P105					
Multiple ¥	Total Covered 48.000	56.9380	2 733 01	66 5500	3,194 40	461 39		
WESTERN DIGITAL CORP COM Dividend Option Cash			Security Identifier WDC CUSIP 958102105					
Multiple ¥	Total Covered 384 000	50 6040	19,431 87	67 9500	26 092 80	6,660 93	768 00	2 94%
WESTERN REFINING INC COM Dividend Option Cash			Security Identifier WNR CUSIP 959319104					
Multiple ¥	Total Covered 57 000	38 9500	2,220 15	37 8500	2 157 45	62 70	86 64	4 01%
WH GROUP LTD ADR ISIN#US92890T1060 Dividend Option Cash			Security Identifier. WGHPY CUSIP 92890T106					
08/26/15	454 000	10 4000	4,721 60	16 0250	7,275 35	2 553 75	180 15	2.47%

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Common Stocks *(continued)*								
WILDHORSE RESOURCE DEV CORP COM Dividend Option Cash			Security Identifier WRD CUSIP 96812T102					
12/15/16	94 000	14 8400	1,394 92	14 6000	1,372 40	-22 52		
WIPRO LTD SPONS ADR REPSTG 1 SH ISIN#US97651M1099 Dividend Option Cash			Security Identifier: WIT CUSIP 97651M109					
07/15/14	598 000	12 0820	7 225 13	9.6800	5 788 64	-1 436 49	52 75	0 91%
WORLD FUEL SVCS CORP COM Dividend Option. Cash			Security Identifier INT CUSIP 981475106					
Multiple 1,Y	Total Covered 76 000	40 3000	3 062 83	45 9100	3,489 16	426 33	18 24	0 52%
			Your lot has been adjusted due to a wash sale for more than one year					
WYNN RESORTS LTD COM Dividend Option Cash			Security Identifier: WYNN CUSIP 983134107					
10/13/16	48 000	93 9200	4,508 15	86.5100	4,152 48	-355 67	96 00	2 31%
3M CO COM Dividend Option Cash			Security Identifier MMM CUSIP 88579Y101					
Multiple *,3,Y	Total Noncovered 132 000	80 1830	10,584 18	178 5700	23,571 24	12 987 06	586 08	2 48%
Total Common Stocks			**$1,754,812.58**		**$2,333,893 06**	**$579,080 48**	**$52,802.15**	
Real Estate Investment Trusts								
AMERICAN HOMES 4 RENT CL A Dividend Option Cash			Security Identifier AMH CUSIP 02665T306					
Multiple Y	Total Covered 97 000	16 5380	1,604 19	20 9800	2 035 06	430 87	19 40	0 95%
AMERICAN TOWER REIT COM Dividend Option Cash			Security Identifier AMT CUSIP 03027X100					
Multiple Y	Total Covered 80 000	81 5410	6,523 28	105 6800	8,454 40	1,931 12	185 60	2 19%
ANWORTH MTG ASSET CORP COM Dividend Option Cash			Security Identifier ANH CUSIP 037347101					
03/18/11	103 000	6 5960	679.42	5 1700	532 51	146 91	61 80	11 60%
ARES COML REAL ESTATE CORP COM Dividend Option Cash			Security Identifier ACRE CUSIP 04013V108					
Multiple Y	Total Covered 134 000	12 6560	1,695 90	13 7300	1 839 82	143 92	139 36	7 57%

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Real Estate Investment Trusts *(continued)*								
BLACKSTONE MTG TR INC COM CL A Dividend Option Cash			Security Identifier: BXMT CUSIP 09257W100					
09/21/16	24 000	29 5080	708 20	30 0700	721 68	13 48	59 52	8 24%
CHATHAM LODGING TR COM Dividend Option Cash			Security Identifier CLDT CUSIP 16208T102					
Multiple [Y]	Total Covered 67,000	19 0850	1,278 69	20 5500	1,376 85	98 16	88 44	6.42%
COLONY CAP INC CL A Dividend Option Cash			Security Identifier: CLNY CUSIP 19624R106					
Multiple [F Y]	Total Covered 87,000	20 9770	1,824 98	20 2500	1,761 75	63 23	139 20	7.90%
			Your lot has been adjusted due to a wash sale for more than one year					
CROWN CASTLE INTL CORP NEW COM Dividend Option Cash			Security Identifier: CCI CUSIP 22822V101					
11/17/16	156 000	84 6000	13,197 62	86 7700	13,536 12	338 50	592 80	4 37%
CYS INVTS INC COM Dividend Option Cash			Security Identifier. CYS CUSIP 12673A108					
Multiple [Y]	Total Covered 326 000	9 6390	3,142 23	7 7300	2,519 98	-622 25	326 00	12 93%
DIGITAL RLTY TR INC COM Dividend Option Cash			Security Identifier DLR CUSIP 253868103					
Multiple [Y]	Total Covered 260 000	67 9090	17,656 35	98 2600	25 547 60	7 891 25	915 20	3 58%
DUPONT FABROS TECHNOLOGY INC COM Dividend Option Cash			Security Identifier DFT CUSIP 26613Q106					
10/21/16	158 000	43 5930	6 887 76	43 9300	6,940 94	53 18	316 00	4 55%
ESSEX PROPERTY TRUST Dividend Option Cash			Security Identifier ESS CUSIP 297178105					
12/09/09 [*,3]	Total Noncovered 18 000	80 0750	1,441 35	232 5000	4 185 00	2 743 65	115 20	2.75%

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Real Estate Investment Trusts *(continued)*								
ESSEX PROPERTY TRUST *(continued)*								
Multiple Y	Total Covered 3 000	224 7230	674.17	232 5000	697 50	23 33	19 20	2 75%
Total	**21.000**		**$2,115.52**		**$4,882 50**	**$2,766 98**	**$134.40**	
FOREST CITY RLTY TR INC COM CL A			**Security Identifier FCE A** CUSIP 345605109					
Dividend Option Cash								
Multiple †,Y	Total Covered 351 000	16 6760	5,853 38	20 8400	7 314 84	1,461 46	84 24	1 15%
			Your lot has been adjusted due to a wash sale for more than one year					
HOSPITALITY PPTYS TR COM SH BEN INT			**Security Identifier HPT** CUSIP 44106M102					
Dividend Option Cash								
08/10/12	545 000	22 9870	12 527 65	31 7400	17 298 30	4,770 65	1,111 80	6 42%
KILROY REALTY CORP COM			**Security Identifier: KRC** CUSIP 49427F108					
Dividend Option Cash								
Multiple Y	Total Covered 80 000	53 9180	4 313 43	73 2200	5,857 60	1,544 17	120 00	2 04%
KIMCO REALTY CORP (MARYLAND)			**Security Identifier: KIM** CUSIP 49446R109					
Dividend Option Cash								
Multiple Y	Total Covered 179 000	27 1140	4 853 45	25 1600	4,503 64	-349 81	182 58	4 05%
LAMAR ADVERTISING CO NEW CL A			**Security Identifier LAMR** CUSIP, 512816109					
Dividend Option Cash								
Multiple Y	Total Covered 209 000	48 8040	10,199 94	67.2400	14,053.16	3,853 22	635 36	4 52%
MACERICH CO COM			**Security Identifier MAC** CUSIP 554382101					
Dividend Option Cash								
Multiple *,3 Y	Total Noncovered 92 000	40 2350	3,701 61	70 8400	6,517 28	2 815 67	261 28	4 00%
Multiple Y	Total Covered 12 000	77 5230	930 27	70.8400	850 08	-80 19	34 08	4 00%
Total	**104.000**		**$4,631.88**		**$7,367 36**	**$2,735 48**	**$295 36**	
MFA FINL INC COM			**Security Identifier MFA** CUSIP 55272X102					
Dividend Option Cash								
Multiple Y	Total Covered 286 000	8 2640	2,363 49	7 6300	2,182 18	181 31	228 80	10.48%
OMEGA HEALTHCARE INVS INC COM			**Security Identifier OHI** CUSIP 681936100					
Dividend Option Cash								
12/09/13	209 000	30 8970	6,457 49	31 2600	6,533 34	75 85	509 96	7 80%

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Equities *(continued)*								
Real Estate Investment Trusts *(continued)*								
STARWOOD PPTY TR INC COM Dividend Option Cash			Security Identifier, STWD CUSIP 85571B105					
12/06/16	90 000	22 0990	1,988 89	21.9500	1,975 50	-13 39	172 80	8 74%
SUN CMNTYS INC COM Dividend Option Cash			Security Identifier SUI CUSIP 866674104					
Multiple Y	Total Covered 31.000	75 5670	2,342 59	76 6100	2,374 91	32 32	80 60	3.39%
TWO HBRS INVT CORP COM Dividend Option Cash			Security Identifier TWO CUSIP 90187B101					
Multiple Y	Total Covered 279 000	9 8540	2,749 40	8 7200	2,432 88	316 52	267 84	11 00%
VENTAS INC COM Dividend Option Cash			Security Identifier, VTR CUSIP 92276F100					
Multiple Y	Total Covered 226 000	52 9820	11 974 01	62 5200	14,129 52	2,155 51	700 60	4 95%
WEYERHAEUSER CO Dividend Option Cash			Security Identifier WY CUSIP 962166104					
Multiple Y	Total Covered 681 000	34 0790	23,207 46	30 0900	20 491 29	-2,716 17	844 44	4 12%
Total Real Estate Investment Trusts			$150,777 20		$176,663 73	$25,886.53	$8,212.10	
Total Equities			$1,905,589 78		$2,510,556 79	$604,967.01	$61,014 25	

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Mutual Funds 19 00% of Portfolio								
PIMCO FIXED INCOME SHARES SERIES C Open End Fund Dividend Option Cash, Capital Gains Option Cash			Security Identifier FXICX CUSIP 01882B205					
Multiple -,3,12,Y	Total Noncovered 18,332 737	11 9000	218,167 65	10 0500	184,244 01	-33,923 64	8,591 08	4 66%

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Mutual Funds *(continued)*								
PIMCO FIXED INCOME SHARES SERIES C *(continued)*								
Multiple ¥	Total Covered 20,098 009	11 9540	240,244.40	10 0500	201,984 99	38,259 41	9,418 33	4 66%
Total	38,430.746		$458,412.05		$386,229.00	-$72,183.05	$18,009 41	
ALLIANZ GLOBAL INVESTORS FIXED INCOME SHARES SERIES M Open End Fund Dividend Option Cash, Capital Gains Option Cash			Security Identifier· FXIMX CUSIP. 01882B304					
Multiple * 3 ¥	Total Noncovered 19,732 202	9 2470	182,456 13	9 9500	196,335.41	13 879 28	9,456 07	4 81%
Multiple ¥	Total Covered 19,531.268	10 5860	206,758 90	9 9500	194,336 12	12,422.78	9,359 77	4 81%
Total	39,263 470		$389,215 03		$390,671.53	$1,456.50	$18,815.84	
Total Mutual Funds			$847,627.08		$776,900 53	-$70,726.55	$36,825 25	

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Fixed Income 19.00% of Portfolio *(In Maturity Date Sequence)*

U.S Treasury Securities

UNITED STATES TREAS NTS **Security Identifier** 912828RR3
2 000% 11/15/21 B/E DTD 11/15/11
1ST CPN DTE 05/15/12 CPN PMT SEMI ANNUAL ON MAY
15 AND NOV 15
Moody Rating AAA

Multiple *Y	Total Noncovered 59 000.000	99 6150	58,773 07	100 2770	59,163 43	390 36	149 94	1,180 00	1 99%

Original Cost Basis $58,647 12

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income *(continued)*									
U.S Treasury Securities *(continued)*									
UNITED STATES TREAS NTS *(continued)*									
Multiple ᵞ	Total Covered 93,000 000	102 6340	95,449 45	100 2770	93,257 61	-2,191 84	236 36	1,860 00	1 99%
			Original Cost Basis $95,553.95						
Total	**152,000.000**		**$154,222.52**		**$152,421.04**	**-$1,801.48**	**$386.30**	**$3,040.00**	
⁶UNITED STATES TREAS NTS TREAS TIPS 0 375% 07/15/25 B/E DTD 07/15/15 Moody Rating AAA Factor 1 01925000 Effective Date 12/30/16 Current Face Value 58 097 250			Security Identifier. 912828XL9						
11/06/15	57,000 000	98 0690	56,160 92	99 4570	57,781 78	1,620 86	100.05		
			Original Cost Basis $55,316 80						
⁶UNITED STATES TREAS BDS TREAS INFLATION PROTECTED SECS TIPS 2 500% 01/15/29 B/E DTD 01/15/09 Moody Rating AAA Factor 1 12580000 Effective Date 12/30/16 Current Face Value 55,164 200			Security Identifier: 912810PZ5						
Multiple ⁷,ᵞ	Total Noncovered 49,000 000	129 7820	69 270 90	120 6150	66,536 30	2,734 60	633 34		
			Original Cost Basis $71,479 82						
UNITED STATES TREAS BDS 3 125% 08/15/44 B/E DTD 08/15/14 1ST CPN DTE 02/15/15 CPN PMT SEMI ANNUAL ON FEB 15 AND AUG 15 Moody Rating AAA			Security Identifier 912810RH3						
Multiple ᵞ	Total Covered 47,000 000	102 2840	48,073 48	101 2110	47,569 17	504 31	550 78	1,468.75	3 08%
			Original Cost Basis $48,099 88						
Total U S Treasury Securities	**305,000.000**		**$327,727.82**		**$324,308.29**	**-$3,419.53**	**$1,670.47**	**$4,508.75**	
Total Current Face Value :	**113,261.450**								
U.S. Government Bonds									
FEDERAL NATL MTG ASSN BENCHMARK 2 625% 09/06/24 B/E DTD 09/08/14 1ST CPN DTE 03/06/15 CPN PMT SEMI ANNUAL ON MAR 06 AND SEP 06 Moody Rating AAA S & P Rating AA+			Security Identifier 3135G0ZR7						
11/18/16	28,000 000	101 8420	28 515 85	100 9680	28,271 04	-244 81	234 79	735 00	2 59%
			Original Cost Basis $28,522 48						

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income *(continued)*									
U S Government Bonds *(continued)*									
FEDERAL NATL MTG ASSN BENCHMARK 1 875% 09/24/26 B/E DTD 09/27/16 1ST CPN DTE 03/24/17 CPN PMT SEMI ANNUAL ON MAR 24 AND SEP 24 Moody Rating AAA S & P Rating AA+			Security Identifier: 3135G0Q22						
Multiple Y	Total Covered 70 000 000	91 4470	64 012 89	91 8730	64,311 10	298 21	342 71	1,312 50	2 04%
			Original Cost Basis $64,012 89						
Total U.S Government Bonds	98,000 000		$92,528.74		$92,582.14	$53 40	$577.50	$2,047 50	
[6]Asset Backed Securities									
FNMA GTD MTG PASS THRU CTFS POOL # AS0907 3 500% 11/01/28 B/E DTD 10/01/13 1ST CPN DTE 11/25/13 CPN PMT MONTHLY ON 25 Factor 0 52127852 Effective Date 12/01/16 Current Face Value 10,946 849			Security Identifier 3138WAAH0						
02/06/15 *	21,000 000	106 1560	11 620 76	104 3180	11,419 53	201 23	31 93		
			Original Cost Basis $17,951 56						
FNMA GTD MTG PASS THRU CTFS POOL # AS1758 3 500% 02/01/29 B/E DTD 01/01/14 1ST CPN DTE 02/25/14 CPN PMT MONTHLY ON 25 Factor 0 64424947 Effective Date 12/01/16 Current Face Value 7,730 994			Security Identifier 3138WA5U7						
03/13/15 *	12,000 000	105 8440	8,182 77	104 3400	8,066 52	116 25	22 55		
			Original Cost Basis $9,919 23						

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income *(continued)*									
[6]Asset Backed Securities *(continued)*									
FNMA GTD MTG PASS THRU CTFS POOL # 310104 5 500% 08/01/37 B/E DTD 12/01/11 1ST CPN DTE 01/25/12 CPN PMT MONTHLY ON 25 Factor 0 19376449 Effective Date 12/01/16 Current Face Value 10,075 753			Security Identifier. 31374CNV4						
01/30/15 *	52,000 000	111 0320	11,187 29 Original Cost Basis $18,310 04	112 1640	11,301 37	114 08	46 18		
FNMA GTD MTG PASS THRU CTFS POOL # 889579 6 000% 05/01/38 B/E DTD 05/01/08 1ST CPN DTE 06/25/08 CPN PMT MONTHLY ON 25 Factor 0 03417779 Effective Date 12/01/16 Current Face Value 4,374 757			Security Identifier 31410KJY1						
Multiple * 3 12 Y	Total Noncovered 128,000 000	105 2050	4 602 47 Original Cost Basis $47,147 36	113 2860	4,955 99	353 52	21 87		
FNMA GTD MTG PASS THRU CTFS POOL # AB1389 4 500% 08/01/40 B/E DTD 07/01/10 1ST CPN DTE 08/25/10 CPN PMT MONTHLY ON 25 Factor 0 14416864 Effective Date 12/01/16 Current Face Value 5,479 168			Security Identifier 31416WRK0						
02/02/11 *,3,12	38 000 000	101 6320	5,568 58 Original Cost Basis $33,271 81	107 7820	5 905 56	336 98	20 55		
FNMA GTD MTG PASS THRU CTFS POOL # AH5583 4 500% 02/01/41 B/E DTD 02/01/11 1ST CPN DTE 03/25/11 CPN PMT MONTHLY ON 25 Factor 0 23934885 Effective Date 12/01/16 Current Face Value 12 924 838			Security Identifier 3138A7FZ6						
02/09/11 *,3,12	54,000 000	100 7810	13,025 77 Original Cost Basis $53,725 48	107 7760	13 929 87	904 10	48 47		
FNMA GTD MTG PASS THRU CTFS POOL # AJ5905 4 500% 11/01/41 B/E DTD 11/01/11 1ST CPN DTE 12/25/11 CPN PMT MONTHLY ON 25 Factor. 0 30584722 Effective Date 12/01/16 Current Face Value 2 446 778			Security Identifier 3138AXR37						
04/09/14 *	8 000 000	107 1680	2,622 16	107 8660	2 639 24	17 08	9 18		

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income *(continued)*									
[6]Asset Backed Securities *(continued)*									
FNMA GTD MTG PASS THRU CTFS *(continued)*									
			Original Cost Basis $4,455 88						
FNMA GTD MTG PASS THRU CTFS POOL # AL3519 4 500% 11/01/41 B/E DTD 04/01/13 1ST CPN DTE 05/25/13 CPN PMT MONTHLY ON 25 Factor 0 41667412 Effective Date 12/01/16 Current Face Value 4,583 415			Security Identifier 3138EK4D4						
07/22/13 *	11,000 000	106 4880	4,880 80 Original Cost Basis $10,693 58	107 7640	4 939 27	58 47	17 19		
FNMA GTD MTG PASS THRU CTFS POOL # AL2680 3 500% 11/01/42 B/E DTD 11/01/12 1ST CPN DTE 12/25/12 CPN PMT MONTHLY ON 25 Factor 0 50403007 Effective Date 12/01/16 Current Face Value 8 064 481			Security Identifier 3138EJ6S2						
03/13/15 *	16,000 000	104 4370	8,422 34 Original Cost Basis $12 774 39	103 0910	8,313 75	108 59	23 52		
FNMA GTD MTG PASS THRU CTFS POOL # AV4892 4 500% 12/01/43 B/E DTD 12/01/13 1ST CPN DTE 01/25/14 CPN PMT MONTHLY ON 25 Factor 0 44394272 Effective Date 12/01/16 Current Face Value 2,219 714			Security Identifier. 3138XGNJ8						
09/15/14 *	5 000 000	107 8760	2,394 53 Original Cost Basis $5,315 70	107 5780	2,387 92	-6 61	8 32		

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income *(continued)*									
[6]**Asset Backed Securities** *(continued)*									
FNMA GTD MTG PASS THRU CTFS POOL # AL5213 4 500% 04/01/44 B/E DTD 04/01/14 1ST CPN DTE 05/25/14 CPN PMT MONTHLY ON 25 Factor 0 48401088 Effective Date 12/01/16 Current Face Value 9,196 207			Security Identifier: 3138EMYK1						
01/21/15 *	19 000 000	108 3750	9,966 39 Original Cost Basis $17,891 24	107 6140	9,896 41	69 98	34 49		
FNMA GTD MTG PASS THRU CTFS POOL # AW8992 4 500% 07/01/44 B/E DTD 07/01/14 1ST CPN DTE 08/25/14 CPN PMT MONTHLY ON 25 Factor 0 67837378 Effective Date 12/01/16 Current Face Value 4,070 243			Security Identifier: 3138XY7E8						
06/08/15 *	6,000 000	108 8750	4,431 48 Original Cost Basis $5,850 94	108 0550	4 398 10	-33 38	15 26		
FNMA GTD MTG PASS THRU CTFS POOL # AL6745 4 000% 08/01/44 B/E DTD 04/01/15 1ST CPN DTE 05/25/15 CPN PMT MONTHLY ON 25 Factor 0 76932723 Effective Date 12/01/16 Current Face Value. 5,385 291			Security Identifier· 3138EPP73						
05/11/15 *	7 000 000	107 7500	5 802 66 Original Cost Basis $7,412 17	105 8880	5,702 38	100 28	17 95		
FNMA GTD MTG PASS THRU CTFS POOL # AS3955 4 000% 12/01/44 B/E DTD 11/01/14 1ST CPN DTE 12/25/14 CPN PMT MONTHLY ON 25 Factor 0 60751792 Effective Date 12/01/16 Current Face Value 5,467 661			Security Identifier: 3138WDMD0						
12/14/16 *	9,000 000	105 2030	5,752 15 Original Cost Basis $5,752 15	105 1550	5 749 52	-2 63	18 23		
FNMA GTD MTG PASS THRU CTFS POOL # AS4168 4.000% 12/01/44 B/E DTD 12/01/14 1ST CPN DTE 01/25/15 CPN PMT MONTHLY ON 25 Factor 0 64458841 Effective Date 12/01/16 Current Face Value 12,891 768			Security Identifier. 3138WDT27						
01/16/15 *	20,000 000	107 1990	13,819 88 Original Cost Basis $21,407 07	105 1640	13 557 50	262 38	42 97		

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Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income *(continued)*									
[6]**Asset Backed Securities** *(continued)*									
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # G08623 'GOLD" 3 500% 01/01/45 B/E DTD 01/01/15 1ST CPN DTE 02/15/15 CPN PMT MONTHLY ON 15 Factor 0 68804798 Effective Date 12/01/16 Current Face Value 17,201 200			Security Identifier 3128MJVR8						
02/04/15 *	25 000 000	105 2110	18 097 56 Original Cost Basis $26,238 63	102 4680	17,625 73	471 83	50 17		
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # G08624 'GOLD" 4 000% 01/01/45 B/E DTD 01/01/15 1ST CPN DTE 02/15/15 CPN PMT MONTHLY ON 15 Factor 0 64392854 Effective Date 12/01/16 Current Face Value 14,810 356			Security Identifier. 3128MJVS6						
01/14/15 *	23,000 000	107 0900	15,860 39 Original Cost Basis $24,630 66	105 0700	15,561 24	-299 15	49 37		
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # C09071 ' GOLD" 4 000% 02/01/45 B/E DTD 02/01/15 1ST CPN DTE 03/15/15 CPN PMT MONTHLY ON 15 Factor 0 64199889 Effective Date 12/01/16 Current Face Value 21,185 963			Security Identifier 31292SCG3						
02/06/15 *	33,000 000	107 2190	22 715 35 Original Cost Basis $35,382 19	105 0830	22,262 85	452 50	70 62		

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income *(continued)*									
[6]Asset Backed Securities *(continued)*									
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # G07961 "GOLD" 3 500% 03/01/45 B/E DTD 02/01/15 1ST CPN DTE 03/15/15 CPN PMT MONTHLY ON 15 Factor 0 79456871 Effective Date 12/01/16 Current Face Value 38,139 298			Security Identifier: 3128MAFA2						
08/07/15 *	48,000 000	103 8280	39,599.32 Original Cost Basis $47,663 88	102 7320	39,181 26	418 06	111 24		
FNMA GTD MTG PASS THRU CTFS POOL # AS4783 3 500% 04/01/45 B/E DTD 03/01/15 1ST CPN DTE 04/25/15 CPN PMT MONTHLY ON 25 Factor 0 86720686 Effective Date 12/01/16 Current Face Value 867 207			Security Identifier 3138WEJ59						
05/11/15	1 000 000	104 8390	909 17 Original Cost Basis $1,044 19	102 9010	892 36	-16 81	2 53		
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # V81760 4 000% 05/01/45 B/L DTD 05/01/15 1ST CPN DTE 06/15/15 CPN PMT MONTHLY ON 15 Factor 0 74292137 Effective Date 12/01/16 Current Face Value 39,374 833			Security Identifier 3132L65V9						
08/26/15 *	53 000 000	106 5390	41,949 57 Original Cost Basis $55,927 04	105 0870	41 377 83	-571 74	131 25		
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # G08659 "GOLD" 3 500% 08/01/45 B/E DTD 08/01/15 1ST CPN DTE 09/15/15 CPN PMT MONTHLY ON 15 Factor 0 78731236 Effective Date 12/01/16 Current Face Value 38,578 306			Security Identifier. 3128MJWV8						
08/26/15 *	49,000 000	103 6800	39,997 87 Original Cost Basis $50 803 05	102 4690	39,530 80	-467 07	112 52		

Citi Personal Wealth Management

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East Coast Capital Advisors

Investment Account Statement

Statement Period: 12/01/2016 - 12/31/2016

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income *(continued)*									
[6]Asset Backed Securities *(continued)*									
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # G08669 "GOLD" 4 000% 09/01/45 B/E DTD 09/01/15 1ST CPN DTE 10/15/15 CPN PMT MONTHLY ON 15 Factor 0 74193190 Effective Date 12/01/16 Current Face Value 1,483 864			Security Identifier. 3128MJW71						
12/14/15 *	2 000 000	105 8200	1 570 23 Original Cost Basis, $2 088 30	105 0690	1,559.08	-11 15	4 95		
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # G08682 "GOLD" 4 000% 12/01/45 B/E DTD 12/01/15 1ST CPN DTE 01/15/16 CPN PMT MONTHLY ON 15 Factor 0 81410958 Effective Date 12/01/16 Current Face Value 3,256 438			Security Identifier. 3128MJXL9						
10/14/16 *	4,000 000	107 0740	3,486 81 Original Cost Basis $3,671 50	105 0860	3,422 13	64 68	10.85		
FNMA GTD MTG PASS THRU CTFS POOL # AS6408 3 500% 01/01/46 B/E DTD 12/01/15 1ST CPN DTE 01/25/16 CPN PMT MONTHLY ON 25 Factor 0 86983320 Effective Date 12/01/16 Current Face Value 6,958 666			Security Identifier: 3138WGDN1						
12/14/16 *	8,000 000	102 5310	7,134 81 Original Cost Basis $7,134 81	102 5730	7,137 71	2 90	20 30		

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income *(continued)*									
[6]**Asset Backed Securities** *(continued)*									
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # G08694 'GOLD" 4 000% 02/01/46 B/E DTD 02/01/16 1ST CPN DTE 03/15/16 CPN PMT MONTHLY ON 15 Factor 0 83792448 Effective Date 12/01/16 Current Face Value 4 189 622			Security Identifier. 3128MJXY1						
07/15/16 *	5,000 000	107.0390	4,484.54 Original Cost Basis $5,133 02	105 0870	4,402 75	81 79	13 97		
FNMA GTD MTG PASS THRU CTFS POOL # BC1158 3.500% 02/01/46 B/E DTD 02/01/16 1ST CPN DTE 03/25/16 CPN PMT MONTHLY ON 25 Factor 0 87763972 Effective Date 12/01/16 Current Face Value 4,388 199			Security Identifier 3140EVJC2						
05/06/16 *	5 000 000	104 9840	4,606 92 Original Cost Basis $5,170 65	102 5670	4,500 84	-106 08	12 80		
FEDERAL HOME LN MTG CORP PARTN CTFS POOL # G08721 "GOLD" 3 000% 09/01/46 B/E DTD 08/01/16 1ST CPN DTE 09/15/16 CPN PMT MONTHLY ON 15 Factor 0 98303383 Effective Date 12/01/16 Current Face Value 50,134 725			Security Identifier 3128MJYF1						
09/15/16	51 000 000	103 6560	51,967 78 Original Cost Basis $52 713 22	99 4010	49,834 42	2,133 36	125.34		
Total Asset Backed Securities	713,000.000		$364,660 35		$360,451 93	-$4,208.42	$1,094 57	$0.00	
Total Current Face Value :	346,426 594								
Total Fixed Income			$784,916 91		$777,342 36	-$7,574.55	$3,342.54	$6,556.25	