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 separate instructions is at www.irs.gov/form990pf.

OMB No 1545 0052

**2016**

**Open to Public Inspection**

**For calendar year 2016 or tax year beginning , 2016, and ending , 20**

| | |
|---|---|
| Name of foundation<br>JLH FOUNDATION | A Employer identification number<br>76-0668991 |
| Number and street (or P O box number if mail is not delivered to street address)<br>1155 DAIRY ASHFORD — Room/suite 725 | B Telephone number (see instructions)<br>(281) 752-4510 |
| City or town, state or province, country, and ZIP or foreign postal code<br>HOUSTON, TX 77079 | 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) ▶ $ 23,234,373

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) | 2,004,915 | | | |
| | 2 Check ▶ ☐ if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 157,652 | 157,652 | | ATCH 1 |
| | 4 Dividends and interest from securities | 257,406 | 257,406 | | ATCH 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | -340,542 | | | |
| | b Gross sales price for all assets on line 6a 6,008,050 | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 0 | | |
| | 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) ATCH 3 | 8,094 | 293 | | |
| | 12 Total. Add lines 1 through 11 | 2,087,525 | 415,351 | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 0 | | | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) ATCH 4 | 22,415 | 22,415 | | |
| | c Other professional fees (attach schedule) [5] | 143,352 | 143,352 | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) [6] | 32,733 | 2,487 | | |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) ATCH 7 | 3,669 | 3,669 | | |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | 202,169 | 171,923 | | |
| | 25 Contributions, gifts, grants paid | 1,613,805 | | | 1,613,805 |
| | 26 Total expenses and disbursements. Add lines 24 and 25 | 1,815,974 | 171,923 | 0 | 1,613,805 |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | 271,551 | | | |
| | b Net investment income (if negative, enter -0-) | | 243,428 | | |
| | c Adjusted net income (if negative, enter -0-) | | | | |

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| Part II Balance Sheets | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions ) | Beginning of year (a) Book Value | End of year (b) Book Value | End of year (c) Fair Market Value |
|---|---|---|---|---|
| Assets 1 | Cash - non-interest-bearing | | | |
| 2 | Savings and temporary cash investments | 5,418,270. | 5,887,539. | 5,887,539. |
| 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) | | | |
| b | Investments - corporate stock (attach schedule) ATCH 8 | 9,919,945. | 9,839,958. | 12,019,970. |
| c | Investments - corporate bonds (attach schedule) ATCH 9 | 5,421,734. | 5,304,397. | 5,326,864. |
| 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) | 20,759,949. | 21,031,894. | 23,234,373. |
| 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. | 0. | |
| Net Assets or Fund Balances | **Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31.** | | | |
| 24 | Unrestricted | 20,759,949. | 21,031,894. | |
| 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 | | | |
| 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) | 20,759,949. | 21,031,894. | |
| 31 | **Total liabilities and net assets/fund balances** (see instructions) | 20,759,949. | 21,031,894. | |

## 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 | 20,759,949. |
| 2 | Enter amount from Part I, line 27a | 2 | 271,551. |
| 3 | Other increases not included in line 2 (itemize) ▶ ATCH 10 | 3 | 394. |
| 4 | Add lines 1, 2, and 3 | 4 | 21,031,894. |
| 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 | 21,031,894. |

## 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 | SEE PART IV SCHEDULE | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

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

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } | 2 | -340,542. |
| 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 | 0. |

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

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

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

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

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2015 | 1,384,105. | 19,721,444. | 0.070183 |
| 2014 | 1,337,805. | 18,213,357. | 0.073452 |
| 2013 | 3,198,984. | 14,386,013. | 0.222368 |
| 2012 | 520,000. | 13,348,267. | 0.038956 |
| 2011 | 670,626. | 11,156,835. | 0.060109 |

| | | | |
|---|---|---|---|
| 2 | Total of line 1, column (d) | 2 | 0.465068 |
| 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 | 0.093014 |
| 4 | Enter the net value of noncharitable-use assets for 2016 from Part X, line 5 | 4 | 21,444,860. |
| 5 | Multiply line 4 by line 3 | 5 | 1,994,672. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 2,434. |
| 7 | Add lines 5 and 6 | 7 | 1,997,106. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 1,613,805. |

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 | 4,869. |
| 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 | 4,869. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | 4 | 0. |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | 5 | 4,869. |
| 6 | Credits/Payments | | |
| a | 2016 estimated tax payments and 2015 overpayment credited to 2016 — 6a: 15,000. | | |
| 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 | 15,000. |
| 8 | Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached | 8 | 64. |
| 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 | 10,067. |
| 11 | Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ 10,067. **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 | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? | 1b | | X |
| | *If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ ______ (2) On foundation managers ▶ $ ______ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | X | |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | X | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ TX, | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses* | 10 | | X |

## 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 | | X |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ ELLIS TUDZIN Telephone no ▶ 281-752-4510

Located at ▶ 1155 DAIRY ASHFORD, SUITE 725 HOUSTON, TX ZIP+4 ▶ 77079

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 | | X |
| | See the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes," enter the name of the foreign country ▶ | | | |

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

| | | | Yes | No |
|---|---|---|---|---|
| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | |
| 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 | | |
| | 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 | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | |
| a | At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ ____ , ____ , ____ , ____ | | | |
| 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 | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ____ , ____ , ____ , ____ | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2016 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016)* | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016? | 4b | | X |

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

| | | | | | |
|---|---|---|---|---|---|
| **5a** | During the year did the foundation pay or incur any amount to | | | | |
| | (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? | [ ] Yes [X] 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 [X] No | | | |
| | (3) Provide a grant to an individual for travel, study, or other similar purposes? | [ ] Yes [X] No | | | |
| | (4) Provide a grant to an organization other than a charitable, etc, organization described in section 4945(d)(4)(A)? (see instructions) | [ ] Yes [X] 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 [X] 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** | | |
| | 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 [X] No | | | |
| **b** | Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | | **6b** | | X |
| | *If "Yes" to 6b, file Form 8870* | | | | |
| **7a** | At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? | [ ] Yes [X] No | | | |
| **b** | If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? | | **7b** | | |

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| ATCH 11 | | 0. | 0. | 0. |
| | | | | |
| | | | | |
| | | | | |

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

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

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

**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 |
|---|---|---|
| ATCH 12 | | 76,569. |
| | | |
| | | |
| | | |
| | | |

**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 NONE | |
| 2 | |
| 3 | |
| 4 | |

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 NONE | |
| 2 | |
| All other program-related investments See instructions | |
| 3 NONE | |
| **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 | 16,385,196. |
| b | Average of monthly cash balances | 1b | 5,386,235. |
| c | Fair market value of all other assets (see instructions) | 1c | |
| d | **Total** (add lines 1a, b, and c) | 1d | 21,771,431. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | |
| 3 | Subtract line 2 from line 1d | 3 | 21,771,431. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions) | 4 | 326,571. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 21,444,860. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 1,072,243. |

## 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 | 1,072,243. |
| 2a | Tax on investment income for 2016 from Part VI, line 5 | 2a | 4,869. | | |
| b | Income tax for 2016 (This does not include the tax from Part VI) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 4,869. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 1,067,374. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 1,067,374. |
| 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 | 1,067,374. |

## 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 | 1,613,805. |
| 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 | 1,613,805. |
| 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 | 0. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 1,613,805. |

**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 | | | | | 1,067,374. |
| 2 Undistributed income, if any, as of the end of 2016 | | | | | |
| a Enter amount for 2015 only | | | | | |
| b Total for prior years 20 14 ,20 13 ,20 12 | | | | | |
| 3 Excess distributions carryover, if any, to 2016 | | | | | |
| a From 2011 | | | | | |
| b From 2012 | | | | | |
| c From 2013 | 2,280,114. | | | | |
| d From 2014 | 438,902. | | | | |
| e From 2015 | 413,001. | | | | |
| f Total of lines 3a through e | | 3,132,017. | | | |
| 4 Qualifying distributions for 2016 from Part XII, line 4 ▶ $ 1,613,805. | | | | | |
| 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) | | | | | |
| d Applied to 2016 distributable amount | | | | | 1,067,374. |
| e Remaining amount distributed out of corpus | | 546,431. | | | |
| 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 | | 3,678,448. | | | |
| 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 | | | | | |
| 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 | | 3,678,448. | | | |
| 10 Analysis of line 9 | | | | | |
| a Excess from 2012 | | | | | |
| b Excess from 2013 | 2,280,114. | | | | |
| c Excess from 2014 | 438,902. | | | | |
| d Excess from 2015 | 413,001. | | | | |
| e Excess from 2016 | 546,431. | | | | |

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9) NOT APPLICABLE

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 foundation 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<br>a "Assets" alternative test - enter<br>(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<br>(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942 (j)(3)(B)(iii) | | | | | |
| (3) Largest amount of support from an exempt organization | | | | | |
| (4) Gross investment income | | | | | |

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

1 **Information Regarding Foundation Managers:**

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

PAULA HERN

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

N/A

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

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

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

N/A

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

N/A

c Any submission deadlines

N/A

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

N/A

**Part XV Supplementary Information** *(continued)*

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

| Recipient<br>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* | | | | |
| ATCH 13 | | | | |
| **Total** . . . . . . ▶ **3a** | | | | 1,613,805. |
| **b** *Approved for future payment* | | | | |
| **Total** . . . . . . ▶ **3b** | | | | |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 157,652. | |
| 4 Dividends and interest from securities | | | 14 | 257,406. | |
| 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 | -340,542. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue a | | | | | |
| b ATCH 14 | | 7,801. | | 293. | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | 7,801. | | 74,809. | |

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 82,610.

(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) | | X |
| | (2) Other assets | 1a(2) | | X |
| b | Other transactions | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| | (4) Reimbursement arrangements | 1b(4) | | X |
| | (5) Loans or loan guarantees | 1b(5) | | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |

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

| (a) Line no | (b) Amount involved | (c) Name of noncharitable exempt organization | (d) Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| | N/A | | N/A |

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

Signature of officer or trustee: [signature] Date: 8/4/2017 Title: Director

May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes ☐ No

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| JOHN W STEFFES | [signature] | 6/20/17 | | P00186434 |
| Firm's name ▶ BKD, LLP | | | Firm's EIN ▶ 44-0160260 | |
| Firm's address ▶ 2800 POST OAK BLVD., STE 3200 HOUSTON, TX 77056 | | | Phone no 713-499-4600 | |

**Schedule B** (Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

# Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at *www irs.gov/form990.*

OMB No 1545-0047
**2016**

| Name of the organization | Employer identification number |
|---|---|
| JLH FOUNDATION | 76-0668991 |

**Organization type** (check one)

| **Filers of:** | **Section:** |
|---|---|
| Form 990 or 990-EZ | ☐ 501(c)( ) (enter number) organization |
| | ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation |
| | ☐ 527 political organization |
| Form 990-PF | ☒ 501(c)(3) exempt private foundation |
| | ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | ☐ 501(c)(3) taxable private foundation |

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

**General Rule**

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

**Special Rules**

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

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

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

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

Name of organization JLH FOUNDATION

Employer identification number 76-0668991

**Part I** **Contributors** (See instructions). Use duplicate copies of Part I if additional space is needed

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | PAULA HERN<br>1707 FRANCIS AVE.<br>AUSTIN, TX 78703 | $ 2,000,000. | Person [X]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II for noncash contributions.) |

Name of organization JLH FOUNDATION

Employer identification number 76-0668991

**Part II** **Noncash Property** (See instructions) Use duplicate copies of Part II if additional space is needed

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (See instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

Name of organization JLH FOUNDATION

Employer identification number 76-0668991

**Part III** ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor.** Complete columns **(a)** through **(e)** and the following line entry For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **$1,000 or less** for the year (Enter this information once See instructions ) ► $

Use duplicate copies of Part III if additional space is needed.

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

# FORM 990-PF - PART IV
## CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| Kind of Property | | Description | | | | P or D | Date acquired | Date sold |
|---|---|---|---|---|---|---|---|---|
| Gross sale price less expenses of sale | Depreciation allowed/ allowable | Cost or other basis | FMV as of 12/31/69 | Adj basis as of 12/31/69 | Excess of FMV over adj basis | | Gain or (loss) | |
| | | TOTAL CAPITAL GAIN DISTRIBUTIONS | | | | | 10,209. | |
| | | SEE ATTACHMENT D-1 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 68,989. | | 195,503. | | | | | -126,514. | |
| | | SEE ATTACHMENT D-2 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 1,808. | | 1,787. | | | | | 21. | |
| | | SEE ATTACHMENT D-3 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 265,280. | | 272,394. | | | | | -7,114. | |
| | | SEE ATTACHMENT D-4 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 124,610. | | 132,704. | | | | | -8,094. | |
| | | SEE ATTACHMENT D-5 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 427,136. | | 420,939. | | | | | 6,197. | |
| | | SEE ATTACHMENT D-6 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 13,164. | | 12,899. | | | | | 265. | |
| | | SEE ATTACHMENT D-7 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 753,751. | | 689,563. | | | | | 64,188. | |
| | | SEE ATTACHMENT D-8 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 903,903. | | 948,211. | | | | | -44,308. | |
| | | SEE ATTACHMENT D-9 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 392,945. | | 405,054. | | | | | -12,109. | |
| | | SEE ATTACHMENT D-10 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 862,541. | | 966,460. | | | | | -103,919. | |
| | | SEE ATTACHMENT D-11 | | | | P | VARIOUS | VARIOUS |
| | | PROPERTY TYPE: SECURITIES | | | | | | |
| 1,935,876. | | 2,078,289. | | | | | -142,413. | |
| | | SEE ATTACHMENT D-12 | | | | | VARIOUS | VARIOUS |

# FORM 990-PF - PART IV
## CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| Kind of Property | | Description | | | | P or D | Date acquired | Date sold |
|---|---|---|---|---|---|---|---|---|
| Gross sale price less expenses of sale | Depreciation allowed/ allowable | Cost or other basis | FMV as of 12/31/69 | Adj basis as of 12/31/69 | Excess of FMV over adj basis | | Gain or (loss) | |
| 204,461. | | 212,512. | | | | | -8,051. | |
| | | PTP BASIS ADJUSTMENT<br>PROPERTY TYPE: SECURITIES | | | | P | VARIOUS | VARIOUS |
| 43,342. | | | | | | | 43,342. | |
| | | LINN ENERGY - RECLASS ORDINARY PORTION<br>PROPERTY TYPE: SECURITIES | | | | P | VARIOUS | VARIOUS |
| | | 12,243. | | | | | -12,243. | |
| | | SEE ATTACHMENT D-13<br>PROPERTY TYPE: SECURITIES | | | | P | VARIOUS | VARIOUS |
| 35. | | 34. | | | | | 1. | |
| TOTAL GAIN(LOSS) | | | | | | | -340,542. | |

ATTACHMENT 1

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| WOODWAY FINANCIAL | 148,924. | 148,924. |
| WOODFOREST FINANCIAL | 8,513. | 8,513. |
| RAYMOND JAMES | 215. | 215. |
| TOTAL | 157,652. | 157,652. |

ATTACHMENT 2

## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| WOODWAY FINANCIAL | 103,148. | 103,148. |
| RAYMOND JAMES | 83,976. | 83,976. |
| DEUTSCHE | 51,781. | 51,781. |
| SAGEPOINT | 18,501. | 18,501. |
| TOTAL | 257,406. | 257,406. |

ATTACHMENT 3

## FORM 990PF, PART I - OTHER INCOME

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| PARTNERSHIP LOSS | -4,616. | -174. |
| OTHER INCOME | 467. | 467. |
| SALE OF LINN ENERGY PTP-ORDINARY PORTION | 12,243. | |
| TOTALS | 8,094. | 293. |

ATTACHMENT 4

FORM 990PF, PART I - ACCOUNTING FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| ACCOUNTING FEES | 22,415. | 22,415. | | |
| TOTALS | 22,415. | 22,415. | | |

ATTACHMENT 5

## FORM 990PF, PART I - OTHER PROFESSIONAL FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| WOODWAY FINANCIAL | 76,569. | 76,569. |
| SAGEPOINT | 16,911. | 16,911. |
| DEUTSCHE | 15,071. | 15,071. |
| RAYMOND JAMES | 34,801. | 34,801. |
| TOTALS | 143,352. | 143,352. |

ATTACHMENT 6

FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FOREIGN TAXES | 2,487. | 2,487. |
| EXCISE TAXES | 30,246. | |
| TOTALS | 32,733. | 2,487. |

## FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| BOND AMORTIZATION | 3,426. | 3,426. |
| BANK SERVICE CHARGES | 10. | 10. |
| ADR FEES | 233. | 233. |
| TOTALS | 3,669. | 3,669. |

ATTACHMENT 8

## FORM 990PF, PART II - CORPORATE STOCK

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| SEE STATEMENT 2-1 | 3,703,452. | 4,945,194. |
| SEE STATEMENT 3-1 | 732,431. | 878,474. |
| SEE STATEMENT 5-1 | 1,646,611. | 1,739,634. |
| SEE STATEMENT 6-1 | 142,059. | 378,404. |
| SEE STATEMENT 7-1 | 1,327,044. | 1,395,092. |
| SEE STATEMENT 10-1 | 2,288,361. | 2,683,172. |
| TOTALS | 9,839,958. | 12,019,970. |

ATTACHMENT 9

## FORM 990PF, PART II - CORPORATE BONDS

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| SEE STATEMENT 8-1 | 5,304,397. | 5,326,864. |
| TOTALS | 5,304,397. | 5,326,864. |

ATTACHMENT 10

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | | AMOUNT |
|---|---|---|
| BASIS ADJUSTMENT | | 394. |
| | TOTAL | 394. |

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 11

| NAME AND ADDRESS | TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION | COMPENSATION | CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS | EXPENSE ACCT AND OTHER ALLOWANCES |
|---|---|---|---|---|
| ELLIS TUDZIN<br>1155 DAIRY ASHFORD<br>725<br>HOUSTON, TX 77079 | SEC/TREAS/DIRECTOR<br>1.00 | 0. | 0. | 0. |
| PAULA HERN<br>1707 FRANCIS<br>AUSTIN, TX 78703 | CHAIRMAN/DIRECTOR<br>1.00 | 0. | 0. | 0. |
| TOM BARBOUR<br>1707 FRANCIS<br>AUSTIN, TX 78703 | DIRECTOR<br>1.00 | 0. | 0. | 0. |
| | GRAND TOTALS | 0. | 0. | 0. |

## 990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALS

ATTACHMENT 12

| NAME AND ADDRESS | TYPE OF SERVICE | COMPENSATION |
|---|---|---|
| WOODWAY FINANCIAL ADVISORS<br>10000 MEMORIAL DRIVE SUITE 650<br>HOUSTON, TX 77024 | INVESTMENT | 76,569. |
| TOTAL COMPENSATION | | 76,569. |

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| THE LIVING BANK<br>PO BOX 6725<br>HOUSTON, TX 77265 | NONE<br>PC | CHARITABLE | 25,000 |
| COMPASSIONATE TOUCH PROGRAM<br>1415 SOUTHMORE BLVD<br>HOUSTON, TX 77004 | NONE<br>PC | CHARITABLE | 250,000. |
| CHILDREN'S ORGAN TRANSPLANT ASSOCIATION<br>7550 IH 10 W<br>SAN ANTONIO, TX 78229 | NONE<br>PC | CHARITABLE | 125,000 |
| NORA'S GIFT FOUNDATION<br>P.O BOX 8350<br>HOUSTON, TX 77288 | NONE<br>PC | CHARITABLE | 100,000 |
| UNIVERSITY OF TEXAS FOUNDATION<br>PO BOX 250<br>AUSTIN, TX 78767 | NONE<br>PC | CHARITABLE | 588,805 |
| MEMORIAL HERMANN FOUNDATION<br>929 GESSNER, SUITE 2650<br>HOUSTON, TX 77024 | NONE<br>PC | CHARITABLE | 200,000 |

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 13 (CONT'D)

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| DRISCOLL CHILDREN'S HOSPITAL<br>3533 S ALAMEDA ST<br>CORPUS CHRISTI, TX 78411 | NONE<br>PC | CHARITABLE | 25,000 |
| ST LUKES FOUNDATION<br>1000 E 1ST ST STE 102<br>DULUTH, MN 55805 | NONE<br>PC | CHARITABLE | 100,000 |
| HOUSTON METHODIST HOSPITAL<br>6565 FANNIN ST, GB 240<br>HOUSTON, TX 77030 | NONE<br>PC | CHARITABLE | 200,000. |
| | | TOTAL CONTRIBUTIONS PAID | 1,613,805. |

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

ATTACHMENT 14

| DESCRIPTION | BUSINESS CODE | AMOUNT | EXCLUSION CODE | AMOUNT | RELATED OR EXEMPT FUNCTION INCOME |
|---|---|---|---|---|---|
| PARTNERSHIP LOSS | 900001 | -4,442. | 01 | -174. | |
| OTHER INCOME | | | 01 | 467. | |
| SALE OF LINN ENERGY PTP-ORDINARY PORTION | | 12,243. | 01 | | |
| TOTALS | | 7,801. | | 293. | |

JLH Foundation
December 31, 2016
76-0668991

| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| LINN ENERGY LLC (LINEQ) | 2,000 00 | 6/30/2010 | 2/22/2016 | $992 42 | $54,080 15 | Long | ($53,087 73) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 2,750 94 | 10/2/2013 | 9/14/2016 | $62,743 60 | $65,830.00 | Long | ($3,086 40) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 57 344 | 12/16/2013 | 9/14/2016 | $1,307 90 | $1,343 56 | Long | ($35.66) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 9 698 | 12/16/2013 | 9/14/2016 | $221 19 | $227 23 | Long | ($6 04) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 9 863 | 12/16/2013 | 9/14/2016 | $224 96 | $231 08 | Long | ($6 12) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 8 8 | 3/21/2014 | 9/14/2016 | $200.71 | $221 42 | Long | ($20 71) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 8 258 | 6/20/2014 | 9/14/2016 | $188 35 | $209 34 | Long | ($20 99) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 8 222 | 9/19/2014 | 9/14/2016 | $187 53 | $206 54 | Long | ($19 01) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 80 467 | 12/15/2014 | 9/14/2016 | $1,835 29 | $1,885 35 | Long | ($50 06) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 7 477 | 12/15/2014 | 9/14/2016 | $170 54 | $175 18 | Long | ($4 64) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 13 286 | 12/15/2014 | 9/14/2016 | $303 03 | $311 28 | Long | ($8 25) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 13 504 | 3/20/2015 | 9/14/2016 | $308.00 | $327 34 | Long | ($19 34) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 13 379 | 6/19/2015 | 9/14/2016 | $305 15 | $330 32 | Long | ($25 17) |
| GOODRICH PETROLEUM CORPORATION (GDANQOLD) | 2,000 00 | 12/5/2011 | 11/14/2016 | $0 00 | $54,386 45 | Long | ($54,386 45) |
| RAYMOND JAMES BASIS CORRECTION | | VARIOUS | VARIOUS | | $15,738 27 | Long | ($15,738 27) |
| | | | | **$68,988.67** | **$195,503.51** | | **($126,514 84)** |

Attachment D-1

JLH Foundation
Decèmber 31, 2016
76-0668991

| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 14 239 | 9/18/2015 | 9/14/2016 | $324 76 | $337.18 | Short | ($12 42) |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 8 503 | 12/14/2015 | 9/14/2016 | $193 94 | $190 21 | Short | $3 73 |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 15.84 | 3/18/2016 | 9/14/2016 | $361 28 | $342.15 | Short | $19 13 |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 17 328 | 6/17/2016 | 9/14/2016 | $395 22 | $385.03 | Short | $10 19 |
| INVESCO CONVERTIBLE SECURITIES (CNSCX) | 22.858 | 9/14/2016 | 9/14/2016 | $521 34 | $521.17 | Short | $0 17 |
| ROYCE VALUE TR INCORPORATED (RVT) | 0 863 | 9/14/2016 | 12/29/2016 | $11.67 | $10.82 | Short | $0 85 |
| | | | | **$1,808.21** | **$1,786.56** | | **$21.65** |

Attachment D-2

JLH Foundation
December 31, 2016
76-0668991

| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| BLACKBAUD INCORPORATED (BLKB) | 5 000 | 7/29/2014 | 1/4/2016 | $316 19 | $175 65 | Long | $140 54 |
| SOLERA HOLDINGS INCORPORATED (SLHOLD) | 15 000 | 3/4/2013 | 1/4/2016 | $821 86 | $822 14 | Long | ($0 28) |
| SOLERA HOLDINGS INCORPORATED (SLHOLD) | 6 000 | 10/10/2013 | 1/4/2016 | $328 74 | $321 96 | Long | $6 78 |
| SOLERA HOLDINGS INCORPORATED (SLHOLD) | 7 000 | 10/18/2013 | 1/4/2016 | $383 53 | $391 38 | Long | ($7 85) |
| SOLERA HOLDINGS INCORPORATED (SLHOLD) | 8 000 | 7/29/2014 | 1/4/2016 | $438 32 | $517 04 | Long | ($78 72) |
| TYLER TECHNOLOGIES (TYL) | 2 000 | 7/29/2014 | 1/4/2016 | $337 71 | $189 28 | Long | $148 43 |
| ABBOTT LABS (ABT) | 27 000 | 10/22/2013 | 1/6/2016 | $1,149 65 | $996 96 | Long | $152 69 |
| ALIGN TECHNOLOGY INCORPORATED (ALGN) | 5 000 | 1/7/2015 | 1/13/2016 | $307 46 | $296 19 | Long | $11 27 |
| KAPSTONE PAPER & PACKAGING CRP (KS) | 47 000 | 4/23/2014 | 1/13/2016 | $855 64 | $1,212 82 | Long | ($357 18) |
| KAPSTONE PAPER & PACKAGING CRP (KS) | 17 000 | 7/29/2014 | 1/13/2016 | $309 49 | $554 37 | Long | ($244 88) |
| KAPSTONE PAPER & PACKAGING CRP (KS) | 14 000 | 9/9/2014 | 1/13/2016 | $254 87 | $444 69 | Long | ($189.82) |
| PIER 1 IMPORTS INCORPORATED (PIR) | 31 000 | 6/28/2013 | 1/13/2016 | $134 66 | $733 86 | Long | ($599 20) |
| PIER 1 IMPORTS INCORPORATED (PIR) | 10 000 | 10/10/2013 | 1/13/2016 | $43 44 | $195 30 | Long | ($151 86) |
| PIER 1 IMPORTS INCORPORATED (PIR) | 19 000 | 5/8/2014 | 1/13/2016 | $82 53 | $343 91 | Long | ($261 38) |
| PIER 1 IMPORTS INCORPORATED (PIR) | 23 000 | 7/29/2014 | 1/13/2016 | $99 90 | $351 21 | Long | ($251 31) |
| BG GROUP PLC ADR FIN INST N (BRGYYOLD) | 62.000 | 3/4/2013 | 1/28/2016 | $927 32 | $1,082 52 | Long | ($155 20) |
| BG GROUP PLC ADR FIN INST N (BRGYYOLD) | 18 000 | 7/18/2013 | 1/28/2016 | $269 22 | $328 95 | Long | ($59 73) |
| BG GROUP PLC ADR FIN INST N (BRGYYOLD) | 23 000 | 10/8/2013 | 1/28/2016 | $344 00 | $428 65 | Long | ($84 65) |
| BG GROUP PLC ADR FIN INST N (BRGYYOLD) | 5 000 | 10/10/2013 | 1/28/2016 | $74 78 | $94 90 | Long | ($20.12) |
| BG GROUP PLC ADR FIN INST N (BRGYYOLD) | 2 000 | 3/4/2014 | 1/28/2016 | $29.91 | $36 50 | Long | ($6 59) |
| BG GROUP PLC ADR FIN INST N (BRGYYOLD) | 31 000 | 7/29/2014 | 1/28/2016 | $463 66 | $638 29 | Long | ($174 63) |
| ROYAL DUTCH SHELL PLC (RDS A) | 38 000 | 3/4/2013 | 1/28/2016 | $1,645 65 | $2,499 22 | Long | ($853.57) |
| ROYAL DUTCH SHELL PLC (RDS A) | 20 000 | 10/10/2013 | 1/28/2016 | $866 13 | $1,283 58 | Long | ($417 45) |
| ROYAL DUTCH SHELL PLC (RDS A) | 17 000 | 7/29/2014 | 1/28/2016 | $736 21 | $1,393 64 | Long | ($657 43) |
| KIRBY CORPORATION (KEX) | 18 000 | 3/4/2013 | 1/29/2016 | $894 73 | $1,349 28 | Long | ($454 55) |
| KIRBY CORPORATION (KEX) | 3 000 | 10/10/2013 | 1/29/2016 | $149 12 | $259 14 | Long | ($110 02) |
| KIRBY CORPORATION (KEX) | 5 000 | 1/7/2015 | 1/29/2016 | $248 54 | $395 29 | Long | ($146 75) |
| ALIGN TECHNOLOGY INCORPORATED (ALGN) | 4 000 | 1/7/2015 | 2/2/2016 | $269 24 | $236 95 | Long | $32 29 |
| EXPONENT INCORPORATED (EXPO) | 4 000 | 7/29/2014 | 2/2/2016 | $198 41 | $148 84 | Long | $49 57 |
| ATLAS COPCO AB (ATLKY) | 39 000 | 3/27/2013 | 2/3/2016 | $797 40 | $1,104 79 | Long | ($307 39) |
| ATLAS COPCO AB (ATLKY) | 11 000 | 5/3/2013 | 2/3/2016 | $224 91 | $288 38 | Long | ($63 47) |
| ATLAS COPCO AB (ATLKY) | 12 000 | 7/18/2013 | 2/3/2016 | $245 35 | $301 92 | Long | ($56 57) |
| ATLAS COPCO AB (ATLKY) | 15 000 | 10/10/2013 | 2/3/2016 | $306 69 | $440 85 | Long | ($134 16) |
| ATLAS COPCO AB (ATLKY) | 3 000 | 3/4/2014 | 2/3/2016 | $61 34 | $84 09 | Long | ($22 75) |
| ATLAS COPCO AB (ATLKY) | 21 000 | 7/29/2014 | 2/3/2016 | $429 37 | $643 44 | Long | ($214 07) |
| ATLAS COPCO AB (ATLKY) | 22 000 | 7/31/2014 | 2/3/2016 | $449 81 | $661 99 | Long | ($212 18) |
| HENNES & MAURITZ AB (HNNMY) | 83 000 | 12/11/2014 | 2/3/2016 | $522 95 | $699 88 | Long | ($176 93) |
| HENNES & MAURITZ AB (HNNMY) | 73 000 | 1/16/2015 | 2/3/2016 | $459 94 | $595 33 | Long | ($135 39) |
| ANSYS INCORPORATED (ANSS) | 5 000 | 7/29/2014 | 2/12/2016 | $420 44 | $390 75 | Long | $29 69 |
| LINCOLN ELEC HLDGS (LECO) | 14 000 | 3/4/2013 | 2/12/2016 | $777 35 | $773 36 | Long | $3 99 |
| LINCOLN ELEC HLDGS (LECO) | 4 000 | 10/10/2013 | 2/12/2016 | $222.10 | $273 40 | Long | ($51 30) |
| LINCOLN ELEC HLDGS (LECO) | 7 000 | 7/29/2014 | 2/12/2016 | $388 68 | $499 45 | Long | ($110 77) |
| TORO COMPANY (TTC) | 10.000 | 7/29/2014 | 2/12/2016 | $735 68 | $609 90 | Long | $125 78 |
| GOLDMAN SACHS EMERGING MARKETS (GSDIX) | 972 010 | 3/4/2013 | 2/22/2016 | $11,440 56 | $13,054.46 | Long | ($1,613 90) |
| GOLDMAN SACHS EMERGING MARKETS (GSDIX) | 3 096 | 4/1/2013 | 2/22/2016 | $36 44 | $41 05 | Long | ($4 61) |
| GOLDMAN SACHS EMERGING MARKETS (GSDIX) | 3 729 | 6/3/2013 | 2/22/2016 | $43 89 | $48 43 | Long | ($4 54) |
| GOLDMAN SACHS EMERGING MARKETS (GSDIX) | 203 242 | 7/29/2014 | 2/22/2016 | $2,392 16 | $2,627 92 | Long | ($235 76) |
| GOLDMAN SACHS EMERGING MARKETS (GSDIX) | 7 826 | 9/2/2014 | 2/22/2016 | $92 11 | $101 42 | Long | ($9 31) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 1007 319 | 7/18/2013 | 2/22/2016 | $10,687 65 | $11,836 00 | Long | ($1,148 35) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 1 207 | 8/1/2013 | 2/22/2016 | $12 81 | $14 02 | Long | ($1 21) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 3 891 | 9/3/2013 | 2/22/2016 | $41 28 | $44 16 | Long | ($2 88) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 3 095 | 10/1/2013 | 2/22/2016 | $32 84 | $36 06 | Long | ($3 22) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 735 017 | 10/10/2013 | 2/22/2016 | $7,798 53 | $8,585 00 | Long | ($786 47) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 5 423 | 11/1/2013 | 2/22/2016 | $57 54 | $63 39 | Long | ($5 85) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 6 173 | 12/2/2013 | 2/22/2016 | $65.50 | $71 11 | Long | ($5 61) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 6 522 | 12/12/2013 | 2/22/2016 | $69 20 | $75 07 | Long | ($5 87) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 5 836 | 1/2/2014 | 2/22/2016 | $61 92 | $67 17 | Long | ($5 25) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 6 061 | 2/3/2014 | 2/22/2016 | $64 31 | $69 09 | Long | ($4 78) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 5 106 | 3/3/2014 | 2/22/2016 | $54 17 | $59 59 | Long | ($5 42) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 49 957 | 3/4/2014 | 2/22/2016 | $530.04 | $583 00 | Long | ($52 96) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 5 591 | 4/1/2014 | 2/22/2016 | $59 32 | $66 76 | Long | ($7 44) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 2 239 | 6/19/2014 | 2/22/2016 | $23.76 | $27 54 | Long | ($3 78) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 15 617 | 6/30/2014 | 2/22/2016 | $165 70 | $192 09 | Long | ($26 39) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 406 159 | 7/29/2014 | 2/22/2016 | $4,309 35 | $5,012 00 | Long | ($702 65) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 17 889 | 10/1/2014 | 2/22/2016 | $189 80 | $211 45 | Long | ($21 65) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 22 443 | 12/11/2014 | 2/22/2016 | $238 12 | $259 89 | Long | ($21 77) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 25 364 | 12/24/2014 | 2/22/2016 | $269 11 | $289 66 | Long | ($20 55) |
| TEMPLETON GLOBAL BOND FUND (TGBAX) | 999 469 | 3/4/2013 | 2/22/2016 | $11,004.15 | $13,412.87 | Long | ($2,408 72) |
| TEMPLETON GLOBAL BOND FUND (TGBAX) | 24.793 | 7/29/2014 | 2/22/2016 | $272 97 | $330 49 | Long | ($57 52) |
| TEMPLETON GLOBAL BOND FUND (TGBAX) | 541 485 | 7/29/2014 | 2/22/2016 | $5,961 75 | $7,218 00 | Long | ($1,256 25) |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| CALATLANTIC GROUP INCORPORATED (CAA) | 12 936 | 3/4/2013 | 3/3/2016 | $416 11 | $464 71 | Long | ($48 60) |
| CALATLANTIC GROUP INCORPORATED (CAA) | 10 191 | 10/10/2013 | 3/3/2016 | $327 82 | $389 00 | Long | ($61 18) |
| CALATLANTIC GROUP INCORPORATED (CAA) | 5 873 | 6/30/2014 | 3/3/2016 | $188 92 | $227 84 | Long | ($38 92) |
| GLACIER BANCORP INCORPORATED (GBCI) | 8 000 | 3/4/2013 | 3/10/2016 | $200 73 | $139 76 | Long | $60 97 |
| GLACIER BANCORP INCORPORATED (GBCI) | 14 000 | 10/10/2013 | 3/10/2016 | $351 29 | $347 62 | Long | $3 67 |
| GLACIER BANCORP INCORPORATED (GBCI) | 21 000 | 7/29/2014 | 3/10/2016 | $526 92 | $565 53 | Long | ($38 61) |
| MARKETAXESS HLDGS INCORPORATED (MKTX) | 1 000 | 10/10/2013 | 3/10/2016 | $123 93 | $64 89 | Long | $59 04 |
| MARKETAXESS HLDGS INCORPORATED (MKTX) | 4 000 | 7/29/2014 | 3/10/2016 | $495 73 | $225 32 | Long | $270 41 |
| MEDTRONIC PLC (MDT) | 20 000 | 1/26/2015 | 3/11/2016 | $1,544 90 | $1,524.20 | Long | $20 70 |
| MEDTRONIC PLC (MDT) | 1 000 | 1/26/2015 | 3/11/2016 | $77 24 | $76 21 | Long | $1.03 |
| BAIRD AGGREGATE BOND FUND (BAGIX) | 295 446 | 2/25/2015 | 3/16/2016 | $3,181 96 | $3,226 27 | Long | ($44 31) |
| CLEARBRIDGE DIVIDEND STRATEGY (SOPYX) | 221 003 | 2/25/2015 | 3/16/2016 | $4,446 59 | $4,633 11 | Long | ($186 52) |
| DODGE & COX INCOME FUND N/L (DODIX) | 168 469 | 2/25/2015 | 3/16/2016 | $2,264 22 | $2,346 77 | Long | ($82 55) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 21 404 | 7/29/2014 | 3/16/2016 | $232 23 | $236 09 | Long | ($3 86) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 132 444 | 2/25/2015 | 3/16/2016 | $1,437 02 | $1,463 50 | Long | ($26 48) |
| FEDERATED INSTITUTIONAL HIGH (FIHBX) | 5 282 | 4/1/2013 | 3/16/2016 | $48 81 | $54 46 | Long | ($5 65) |
| FEDERATED INSTITUTIONAL HIGH (FIHBX) | 6 567 | 6/3/2013 | 3/16/2016 | $60 68 | $67 77 | Long | ($7 09) |
| FEDERATED INSTITUTIONAL HIGH (FIHBX) | 0 169 | 5/1/2014 | 3/16/2016 | $1 56 | $1 75 | Long | ($0 19) |
| FEDERATED INSTITUTIONAL HIGH (FIHBX) | 36 901 | 7/29/2014 | 3/16/2016 | $340 96 | $379 34 | Long | ($38 38) |
| FEDERATED INSTITUTIONAL HIGH (FIHBX) | 13 753 | 9/2/2014 | 3/16/2016 | $127 08 | $142 07 | Long | ($14 99) |
| FEDERATED SHORT TERM INCOME (FSTYX) | 135 102 | 3/4/2013 | 3/16/2016 | $1,144 31 | $1,174 04 | Long | ($29 73) |
| GOLDMAN SACHS EMERGING MARKETS (GSDIX) | 70 765 | 7/29/2014 | 3/16/2016 | $851 30 | $914 99 | Long | ($63 69) |
| METROPOLITAN WEST TOTAL RETURN (MWTIX) | 287 543 | 2/25/2015 | 3/16/2016 | $3,088 21 | $3,160 09 | Long | ($71 88) |
| PRUDENTIAL ABSOLUTE RETURN (PADZX) | 40 479 | 10/27/2014 | 3/16/2016 | $376 86 | $395 39 | Long | ($18 53) |
| TEMPLETON GLOBAL BOND FUND (TGBAX) | 87 452 | 7/29/2014 | 3/16/2016 | $980 34 | $1,165 73 | Long | ($185 39) |
| WESTERN ASSET INFLATION INDEX- (WAIIX) | 49 599 | 3/4/2013 | 3/16/2016 | $548 56 | $604 12 | Long | ($55 56) |
| PFIZER INCORPORATED (PFE) | 11 000 | 3/4/2013 | 3/17/2016 | $321 13 | $304 24 | Long | $16 89 |
| PFIZER INCORPORATED (PFE) | 39 000 | 10/10/2013 | 3/17/2016 | $1,138 54 | $1,118 91 | Long | $19 63 |
| PFIZER INCORPORATED (PFE) | 19 000 | 5/14/2014 | 3/17/2016 | $554 68 | $553 09 | Long | $1 59 |
| AIR METHODS CORPORATION COM (AIRM) | 20 000 | 6/21/2013 | 3/24/2016 | $705 49 | $744 81 | Long | ($39 32) |
| AIR METHODS CORPORATION COM (AIRM) | 8 000 | 10/10/2013 | 3/24/2016 | $282 20 | $333 36 | Long | ($51 16) |
| COGNEX CORPORATION (CGNX) | 13 000 | 11/5/2014 | 3/29/2016 | $494 07 | $527 80 | Long | ($33 73) |
| MEDTRONIC PLC (MDT) | 10 000 | 1/26/2015 | 3/30/2016 | $755 61 | $762 10 | Long | ($6 49) |
| MEDTRONIC PLC (MDT) | 3 000 | 3/11/2015 | 3/30/2016 | $226 68 | $227 68 | Long | ($1 00) |
| DBS GROUP HLDGS LIMITED (DBSDY) | 25 000 | 3/4/2013 | 4/13/2016 | $1,134 53 | $1,206 50 | Long | ($71 97) |
| DBS GROUP HLDGS LIMITED (DBSDY) | 11 000 | 10/10/2013 | 4/13/2016 | $499 19 | $587 95 | Long | ($88 76) |
| DBS GROUP HLDGS LIMITED (DBSDY) | 1 000 | 3/4/2014 | 4/13/2016 | $45 38 | $51 85 | Long | ($6 47) |
| DBS GROUP HLDGS LIMITED (DBSDY) | 3 000 | 3/11/2015 | 4/13/2016 | $136 14 | $169 89 | Long | ($33 75) |
| DRIL-QUIP INCORPORATED (DRQ) | 4 000 | 10/10/2013 | 4/25/2016 | $245 43 | $462 36 | Long | ($216 93) |
| DRIL-QUIP INCORPORATED (DRQ) | 5 000 | 7/29/2014 | 4/25/2016 | $306 78 | $532.35 | Long | ($225 57) |
| NATURAL GROCERS BY VITAMIN COT (NGVC) | 19 000 | 3/4/2013 | 4/25/2016 | $260 35 | $406 39 | Long | ($146 04) |
| NATURAL GROCERS BY VITAMIN COT (NGVC) | 6 000 | 10/10/2013 | 4/25/2016 | $82.22 | $222 72 | Long | ($140 50) |
| NATURAL GROCERS BY VITAMIN COT (NGVC) | 9 000 | 7/29/2014 | 4/25/2016 | $123 32 | $212 00 | Long | ($88 68) |
| COMPASS GROUP PLC (CMPGY) | 25 412 | 3/4/2013 | 5/3/2016 | $450 32 | $337 77 | Long | $112 55 |
| COMPASS GROUP PLC (CMPGY) | 13 588 | 10/10/2013 | 5/3/2016 | $240 80 | $197 36 | Long | $43 44 |
| COMPASS GROUP PLC (CMPGY) | 13 000 | 7/29/2014 | 5/3/2016 | $230 38 | $225 68 | Long | $4 70 |
| INFINEON TECHNOLOGIES AG (IFNNY) | 86 000 | 4/9/2013 | 5/3/2016 | $1,201 44 | $672 34 | Long | $529 10 |
| INFINEON TECHNOLOGIES AG (IFNNY) | 41 000 | 10/10/2013 | 5/3/2016 | $572 78 | $413 69 | Long | $159 09 |
| INFINEON TECHNOLOGIES AG (IFNNY) | 3 000 | 3/4/2014 | 5/3/2016 | $41 91 | $33.45 | Long | $8 46 |
| INFINEON TECHNOLOGIES AG (IFNNY) | 36 000 | 7/29/2014 | 5/3/2016 | $502 93 | $432 00 | Long | $70.93 |
| INFINEON TECHNOLOGIES AG (IFNNY) | 12 000 | 3/11/2015 | 5/3/2016 | $167 64 | $142 80 | Long | $24 84 |
| VALERO ENERGY CORPORATION NEW (VLO) | 43 000 | 5/19/2015 | 5/24/2016 | $2,360 48 | $2,574 27 | Long | ($213 79) |
| COMPUTER SCIENCES CORPORATION (CSC) | 16 000 | 5/19/2015 | 5/26/2016 | $777 60 | $461 80 | Long | $315 80 |
| CITIGROUP INCORPORATED COM NEW (C) | 15 000 | 10/10/2013 | 6/6/2016 | $689 15 | $737 25 | Long | ($48 10) |
| CITIGROUP INCORPORATED COM NEW (C) | 12 000 | 5/22/2014 | 6/6/2016 | $551 32 | $563 75 | Long | ($12 43) |
| MEDNAX INCORPORATED (MD) | 9 000 | 3/4/2013 | 6/8/2016 | $633.36 | $381 15 | Long | $252 21 |
| MEDNAX INCORPORATED (MD) | 7 000 | 10/10/2013 | 6/8/2016 | $492 61 | $359 66 | Long | $132 95 |
| NATIONAL HEALTH INVS (NHI) | 12 000 | 3/4/2013 | 6/8/2016 | $843 23 | $788 92 | Long | $54 31 |
| QUESTAR CORPORATION (STR) | 45.000 | 3/4/2013 | 6/8/2016 | $1,127 67 | $1,053 00 | Long | $74 67 |
| QUESTAR CORPORATION (STR) | 24 000 | 10/10/2013 | 6/8/2016 | $601 43 | $557 28 | Long | $44 15 |
| QUESTAR CORPORATION (STR) | 25.000 | 7/29/2014 | 6/8/2016 | $626 48 | $585.50 | Long | $40 98 |
| WEST PHARMACEUTICAL SVSC (WST) | 6 000 | 8/1/2014 | 6/8/2016 | $458 98 | $243 15 | Long | $215 83 |
| ABBVIE INCORPORATED (ABBV) | 30 000 | 5/19/2015 | 6/10/2016 | $1,811 81 | $1,969 17 | Long | ($157 36) |
| DASSAULT SYSTEMS S A SPONSORED (DASTY) | 14 000 | 3/4/2013 | 6/14/2016 | $1,033 77 | $802 13 | Long | $231 64 |
| DASSAULT SYSTEMS S A SPONSORED (DASTY) | 8 000 | 2/11/2014 | 6/14/2016 | $590 73 | $451.42 | Long | $139 31 |
| HSBC HLDGS PLC (HSBC) | 24 000 | 3/4/2013 | 6/14/2016 | $721 31 | $1,293 60 | Long | ($572 29) |
| HSBC HLDGS PLC (HSBC) | 4.000 | 3/26/2013 | 6/14/2016 | $120 22 | $212.16 | Long | ($91 94) |
| HSBC HLDGS PLC (HSBC) | 7 000 | 10/10/2013 | 6/14/2016 | $210 38 | $381 00 | Long | ($170 62) |
| HSBC HLDGS PLC (HSBC) | 8 000 | 3/19/2014 | 6/14/2016 | $240 44 | $395.98 | Long | ($155 54) |
| HSBC HLDGS PLC (HSBC) | 9 000 | 4/29/2014 | 6/14/2016 | $270 49 | $463 86 | Long | ($193 37) |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| HSBC HLDGS PLC (HSBC) | 21 000 | 7/29/2014 | 6/14/2016 | $631 15 | $1,137 57 | Long | ($506 42) |
| HSBC HLDGS PLC (HSBC) | 6 000 | 3/11/2015 | 6/14/2016 | $180 33 | $252 54 | Long | ($72 21) |
| HSBC HLDGS PLC (HSBC) | 16 000 | 4/15/2015 | 6/14/2016 | $480 87 | $734 20 | Long | ($253 33) |
| ERICSSON ADR B SEK 10 (ERIC) | 56 000 | 3/4/2013 | 6/21/2016 | $444 63 | $696 53 | Long | ($251 90) |
| ERICSSON ADR B SEK 10 (ERIC) | 33 000 | 12/17/2013 | 6/21/2016 | $262 01 | $383 45 | Long | ($121 44) |
| ERICSSON ADR B SEK 10 (ERIC) | 33 000 | 7/29/2014 | 6/21/2016 | $262 01 | $418 07 | Long | ($156 06) |
| PHILIPPINE LONG DISTANCE TEL (PHI) | 8 000 | 8/19/2014 | 6/21/2016 | $358 60 | $592 44 | Long | ($233 84) |
| DENSO CORPORATION ADR (JAPAN) (DNZOY) | 81 000 | 3/4/2013 | 6/22/2016 | $1,422 49 | $1,702 62 | Long | ($280 13) |
| DENSO CORPORATION ADR (JAPAN) (DNZOY) | 2 000 | 9/11/2013 | 6/22/2016 | $35 12 | $47 04 | Long | ($11 92) |
| DENSO CORPORATION ADR (JAPAN) (DNZOY) | 16 000 | 9/12/2013 | 6/22/2016 | $280 98 | $374 56 | Long | ($93.58) |
| DENSO CORPORATION ADR (JAPAN) (DNZOY) | 50 000 | 10/10/2013 | 6/22/2016 | $878 07 | $1,231 50 | Long | ($353 43) |
| DENSO CORPORATION ADR (JAPAN) (DNZOY) | 4 000 | 3/4/2014 | 6/22/2016 | $70 25 | $104 60 | Long | ($34 35) |
| DENSO CORPORATION ADR (JAPAN) (DNZOY) | 39 000 | 7/29/2014 | 6/22/2016 | $684.90 | $926 64 | Long | ($241 74) |
| DENSO CORPORATION ADR (JAPAN) (DNZOY) | 14 000 | 3/11/2015 | 6/22/2016 | $245 86 | $315 28 | Long | ($69.42) |
| HIBBETT SPORTS INCORPORATED (HIBB) | 10 000 | 3/4/2013 | 6/30/2016 | $348 14 | $533 70 | Long | ($185 56) |
| HIBBETT SPORTS INCORPORATED (HIBB) | 6 000 | 10/10/2013 | 6/30/2016 | $208 89 | $333 42 | Long | ($124.53) |
| NEWELL BRANDS INCORPORATED (NWL) | 14 000 | 3/4/2013 | 6/30/2016 | $676 01 | $329 00 | Long | $347.01 |
| NEWELL BRANDS INCORPORATED (NWL) | 10 000 | 10/10/2013 | 6/30/2016 | $482 87 | $272 80 | Long | $210.07 |
| NEWELL BRANDS INCORPORATED (NWL) | 3 000 | 5/14/2014 | 6/30/2016 | $144 86 | $88 79 | Long | $56.07 |
| DELTA AIR LINES INCORPORATED (DAL) | 55 000 | 5/19/2015 | 7/6/2016 | $1,921 16 | $2,545 94 | Long | ($624 78) |
| VALERO ENERGY CORPORATION NEW (VLO) | 18 000 | 5/19/2015 | 7/6/2016 | $867 20 | $1,077 60 | Long | ($210 40) |
| EVEREST RE GROUP LIMITED (RE) | 8 000 | 5/19/2015 | 7/8/2016 | $1,451 56 | $1,477.58 | Long | ($26 02) |
| CITIGROUP INCORPORATED COM NEW (C) | 38 000 | 3/4/2013 | 7/13/2016 | $1,639 06 | $1,620 70 | Long | $18.36 |
| CITIGROUP INCORPORATED COM NEW (C) | 5 000 | 5/22/2014 | 7/13/2016 | $215 67 | $234 90 | Long | ($19 23) |
| BROADRIDGE FINL SOLUTIONS (BR) | 29 000 | 5/19/2015 | 7/15/2016 | $1,934 23 | $1,568 46 | Long | $365.77 |
| WELLS FARGO & COMPANY NEW (WFC) | 28.000 | 5/19/2015 | 7/15/2016 | $1,330 24 | $1,577 77 | Long | ($247.53) |
| MITSUBISHI UFJ FINL GROUP (MTU) | 110 000 | 10/10/2013 | 7/20/2016 | $528.39 | $705 98 | Long | ($177.59) |
| SUPER MICRO COMPUTER (SMCI) | 52 000 | 5/27/2015 | 7/20/2016 | $990 49 | $1,756 41 | Long | ($765 92) |
| REYNOLDS AMERICAN INCORPORATED (RAI) | 39 000 | 7/7/2015 | 7/27/2016 | $1,942 95 | $1,495 75 | Long | $447.20 |
| ABBOTT LABS (ABT) | 6 000 | 10/22/2013 | 8/8/2016 | $270 17 | $221 55 | Long | $48.62 |
| AETNA INCORPORATED NEW (AET) | 7 000 | 5/19/2015 | 8/8/2016 | $828 92 | $798 33 | Long | $30.59 |
| ALLSTATE CORPORATION (ALL) | 7 000 | 5/19/2015 | 8/8/2016 | $482 04 | $480 74 | Long | $1.30 |
| AMDOCS LIMITED SHS (GUERNSEY) (DOX) | 7 000 | 5/19/2015 | 8/8/2016 | $409 18 | $388 84 | Long | $20.34 |
| AMGEN INCORPORATED (AMGN) | 5 000 | 5/19/2015 | 8/8/2016 | $862 03 | $815 55 | Long | $46.48 |
| ANTHEM INCORPORATED (ANTM) | 4 000 | 5/19/2015 | 8/8/2016 | $509 82 | $656 06 | Long | ($146 24) |
| APPLE INCORPORATED (AAPL) | 14 000 | 5/19/2015 | 8/8/2016 | $1,512 11 | $1,821 39 | Long | ($309 28) |
| AUTOZONE INCORPORATED (AZO) | 1 000 | 5/19/2015 | 8/8/2016 | $801 17 | $695 57 | Long | $105.60 |
| BANK AMER CORPORATION (BAC) | 21 000 | 8/5/2015 | 8/8/2016 | $316 96 | $377 09 | Long | ($60 13) |
| CAPITAL ONE FINL CORPORATION (COF) | 6 000 | 5/19/2015 | 8/8/2016 | $410 27 | $512 22 | Long | ($101 95) |
| CIGNA CORPORATION (CI) | 7 000 | 5/19/2015 | 8/8/2016 | $891 09 | $936 31 | Long | ($45.22) |
| CISCO SYSTEMS INCORPORATED (CSCO) | 18 000 | 2/14/2014 | 8/8/2016 | $556 92 | $405 90 | Long | $151.02 |
| CITIGROUP INCORPORATED COM NEW (C) | 6 000 | 3/4/2013 | 8/8/2016 | $275 41 | $255 90 | Long | $19.51 |
| COMPUTER SCIENCES CORPORATION (CSC) | 9 000 | 5/19/2015 | 8/8/2016 | $432 71 | $259 77 | Long | $172.94 |
| CVS HEALTH CORPORATION (CVS) | 2 000 | 7/29/2014 | 8/8/2016 | $194 11 | $156 98 | Long | $37.13 |
| CVS HEALTH CORPORATION (CVS) | 6 000 | 10/17/2014 | 8/8/2016 | $582 31 | $478 50 | Long | $103.81 |
| CVS HEALTH CORPORATION (CVS) | 4 000 | 5/19/2015 | 8/8/2016 | $388 21 | $408 23 | Long | ($20 02) |
| DELTA AIR LINES INCORPORATED (DAL) | 8 000 | 5/19/2015 | 8/8/2016 | $300 79 | $370 32 | Long | ($69 53) |
| DISCOVER FINL SVCS (DFS) | 14 000 | 5/19/2015 | 8/8/2016 | $810 07 | $840 93 | Long | ($30.86) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 1074 047 | 7/18/2013 | 8/8/2016 | $11,728 60 | $11,836 00 | Long | ($107 40) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 4 486 | 8/2/2013 | 8/8/2016 | $48.99 | $49 17 | Long | ($0 18) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 4 517 | 9/3/2013 | 8/8/2016 | $49 33 | $49 15 | Long | $0.18 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 4 788 | 10/1/2013 | 8/8/2016 | $52 28 | $52 48 | Long | ($0.20) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 776 325 | 10/10/2013 | 8/8/2016 | $8,477 47 | $8,493 00 | Long | ($15.53) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 584 | 11/1/2013 | 8/8/2016 | $93.74 | $94 25 | Long | ($0.51) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 7 907 | 12/2/2013 | 8/8/2016 | $86.34 | $86 26 | Long | $0.08 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 424 | 1/2/2014 | 8/8/2016 | $102 91 | $101 59 | Long | $1.32 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 292 | 2/3/2014 | 8/8/2016 | $90 55 | $90 96 | Long | ($0 41) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 7 832 | 3/3/2014 | 8/8/2016 | $85 53 | $85 84 | Long | ($0.31) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 40 000 | 3/4/2014 | 8/8/2016 | $436 80 | $438 00 | Long | ($1 20) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 011 | 4/1/2014 | 8/8/2016 | $87 48 | $87 32 | Long | $0.16 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 113 | 5/1/2014 | 8/8/2016 | $88 59 | $88 67 | Long | ($0.08) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 7.835 | 6/2/2014 | 8/8/2016 | $85.56 | $86 26 | Long | ($0.70) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 7 755 | 7/1/2014 | 8/8/2016 | $84 68 | $85 23 | Long | ($0 55) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 541 878 | 7/29/2014 | 8/8/2016 | $5,917 31 | $5,976 91 | Long | ($59.60) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 10 789 | 8/1/2014 | 8/8/2016 | $117 82 | $118 03 | Long | ($0.21) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 10.332 | 9/2/2014 | 8/8/2016 | $112 83 | $113 65 | Long | ($0.82) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 618 | 10/1/2014 | 8/8/2016 | $105 03 | $105 22 | Long | ($0. 19) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 210 | 11/3/2014 | 8/8/2016 | $100.57 | $101 03 | Long | ($0 46) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 963 | 12/1/2014 | 8/8/2016 | $97 88 | $98 68 | Long | ($0.80) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 10.331 | 1/2/2015 | 8/8/2016 | $112 81 | $113 33 | Long | ($0 52) |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 221 | 3/2/2015 | 8/8/2016 | $89 77 | $90 60 | Long | ($0 83) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 307 | 5/1/2015 | 8/8/2016 | $101 63 | $102 38 | Long | ($0 75) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 784 | 6/1/2015 | 8/8/2016 | $106 84 | $107 43 | Long | ($0 59) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 674 | 7/1/2015 | 8/8/2016 | $105 64 | $105 16 | Long | $0 48 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 10 055 | 8/3/2015 | 8/8/2016 | $109 80 | $109 80 | Long | $0 00 |
| ELECTRONIC ARTS INCORPORATED (EA) | 5 000 | 7/20/2015 | 8/8/2016 | $396 87 | $374 11 | Long | $22 76 |
| FOOT LOCKER INCORPORATED (FL) | 6 000 | 5/19/2015 | 8/8/2016 | $354 83 | $381 51 | Long | ($26 68) |
| GILEAD SCIENCES INCORPORATED (GILD) | 10 000 | 5/19/2015 | 8/8/2016 | $795 43 | $1,102 13 | Long | ($306 70) |
| HP INCORPORATED (HPQ) | 21.000 | 5/19/2015 | 8/8/2016 | $299 94 | $329 91 | Long | ($29 97) |
| INTEL CORPORATION (INTC) | 14 000 | 5/19/2015 | 8/8/2016 | $490 12 | $462 56 | Long | $27 56 |
| INTERNATIONAL BUSINESS (IBM) | 3 000 | 5/19/2015 | 8/8/2016 | $485 12 | $519 48 | Long | ($34 36) |
| JOHNSON & JOHNSON (JNJ) | 1 000 | 5/19/2015 | 8/8/2016 | $123 38 | $103 77 | Long | $19 61 |
| JPMORGAN CHASE & COMPANY (JPM) | 24 000 | 5/19/2015 | 8/8/2016 | $1,586 39 | $1,607 96 | Long | ($21 57) |
| KROGER COMPANY (KR) | 5 000 | 5/19/2015 | 8/8/2016 | $161 74 | $183 53 | Long | ($21 79) |
| LEAR CORPORATION COM NEW (LEA) | 9 000 | 5/19/2015 | 8/8/2016 | $1,027 16 | $1,040 27 | Long | ($13 11) |
| LOCKHEED MARTIN CORPORATION (LMT) | 1 000 | 5/19/2015 | 8/8/2016 | $259 31 | $193 26 | Long | $66 05 |
| LOWES COMPANIES INCORPORATED (LOW) | 8 000 | 5/19/2015 | 8/8/2016 | $653 11 | $577 40 | Long | $75 71 |
| LYONDELLBASELL INDUSTRIES N V (LYB) | 9 000 | 5/19/2015 | 8/8/2016 | $678 95 | $905 77 | Long | ($226 82) |
| MCKESSON CORPORATION (MCK) | 3 000 | 5/19/2015 | 8/8/2016 | $584 56 | $726 93 | Long | ($142 37) |
| MERCK & COMPANY INCORPORATED (MRK) | 3 000 | 3/4/2013 | 8/8/2016 | $188 12 | $129 93 | Long | $58 19 |
| NORTHROP GRUMMAN CORPORATION (NOC) | 5.000 | 5/19/2015 | 8/8/2016 | $1,080.01 | $792 84 | Long | $287 17 |
| PFIZER INCORPORATED (PFE) | 18 000 | 3/4/2013 | 8/8/2016 | $627 16 | $497 84 | Long | $129 32 |
| PG&E CORPORATION (PCG) | 7 000 | 5/19/2015 | 8/8/2016 | $445 82 | $370 57 | Long | $75 25 |
| PRUDENTIAL FINL INCORPORATED (PRU) | 4 000 | 5/19/2015 | 8/8/2016 | $309 51 | $344 43 | Long | ($34 92) |
| QEP RES INCORPORATED (QEP) | 18 000 | 3/4/2013 | 8/8/2016 | $347 77 | $526 86 | Long | ($179 09) |
| QEP RES INCORPORATED (QEP) | 11.000 | 7/29/2014 | 8/8/2016 | $212.52 | $373 34 | Long | ($160 82) |
| RAYTHEON COMPANY COM NEW (RTN) | 6 000 | 5/19/2015 | 8/8/2016 | $839 28 | $639 66 | Long | $199 62 |
| UNITEDHEALTH GROUP (UNH) | 2 000 | 5/19/2015 | 8/8/2016 | $284 84 | $240 93 | Long | $43 91 |
| VALIDUS HOLDINGS LIMITED COM (VR) | 7 000 | 5/19/2015 | 8/8/2016 | $349 89 | $300 44 | Long | $49 45 |
| VERIZON COMMUNICATIONS (VZ) | 21 000 | 5/19/2015 | 8/8/2016 | $1,123 91 | $1,038 66 | Long | $85 25 |
| XEROX CORPORATION (XRX) | 23 000 | 5/19/2015 | 8/8/2016 | $229 76 | $259 44 | Long | ($29 68) |
| NEWELL BRANDS INCORPORATED (NWL) | 28 000 | 3/4/2013 | 8/11/2016 | $1,525 20 | $658 00 | Long | $867 20 |
| MOBILE MINI INCORPORATED (MINI) | 19 000 | 5/15/2013 | 8/17/2016 | $554 64 | $702 01 | Long | ($147 37) |
| MOBILE MINI INCORPORATED (MINI) | 8 000 | 10/10/2013 | 8/17/2016 | $233 53 | $262 88 | Long | ($29 35) |
| MOBILE MINI INCORPORATED (MINI) | 9 000 | 7/29/2014 | 8/17/2016 | $262 72 | $401 84 | Long | ($139 12) |
| MOBILE MINI INCORPORATED (MINI) | 3 000 | 3/11/2015 | 8/17/2016 | $87 58 | $120 72 | Long | ($33 14) |
| COMPUTER SCIENCES CORPORATION (CSC) | 33 000 | 5/19/2015 | 8/18/2016 | $1,507 23 | $952 47 | Long | $554 76 |
| KROGER COMPANY (KR) | 23 000 | 5/19/2015 | 8/29/2016 | $743 91 | $844 21 | Long | ($100 30) |
| AUTOZONE INCORPORATED (AZO) | 2 000 | 5/19/2015 | 8/30/2016 | $1,475.53 | $1,391 15 | Long | $84 38 |
| CIGNA CORPORATION (CI) | 15 000 | 5/19/2015 | 8/30/2016 | $1,923 60 | $2,006 37 | Long | ($82 77) |
| CVS HEALTH CORPORATION (CVS) | 6 000 | 6/12/2014 | 8/30/2016 | $554 25 | $460 96 | Long | $93 29 |
| CVS HEALTH CORPORATION (CVS) | 9 000 | 7/29/2014 | 8/30/2016 | $831 37 | $706 41 | Long | $124 96 |
| SUMITOMO MITSUI FINL GROUP (SMFG) | 24 000 | 10/10/2013 | 8/30/2016 | $161 89 | $237 84 | Long | ($75 95) |
| SUMITOMO MITSUI FINL GROUP (SMFG) | 23 000 | 7/29/2014 | 8/30/2016 | $155 15 | $189 75 | Long | ($34 60) |
| SUMITOMO MITSUI FINL GROUP (SMFG) | 56 000 | 9/4/2014 | 8/30/2016 | $377 75 | $464 47 | Long | ($86 72) |
| ABBOTT LABS (ABT) | 29 000 | 1/27/2014 | 9/1/2016 | $1,223 78 | $1,053 28 | Long | $170 50 |
| CVS HEALTH CORPORATION (CVS) | 9 000 | 6/12/2014 | 9/1/2016 | $840 73 | $691 43 | Long | $149 30 |
| NATIONAL HEALTH INVS (NHI) | 8 000 | 10/10/2013 | 9/9/2016 | $625 84 | $466 27 | Long | $159 57 |
| NATIONAL HEALTH INVS (NHI) | 8.000 | 7/29/2014 | 9/9/2016 | $625.85 | $489 91 | Long | $135 94 |
| PRA GROUP INCORPORATED (PRAA) | 28 000 | 6/19/2015 | 9/9/2016 | $904 41 | $1,743 57 | Long | ($839 16) |
| ANTHEM INCORPORATED (ANTM) | 6 000 | 5/19/2015 | 9/14/2016 | $737 62 | $984 08 | Long | ($246 46) |
| CVS HEALTH CORPORATION (CVS) | 9 000 | 5/14/2014 | 9/14/2016 | $805 89 | $685 65 | Long | $120.24 |
| MCKESSON CORPORATION (MCK) | 5 000 | 5/19/2015 | 9/14/2016 | $845 82 | $1,211 55 | Long | ($365 73) |
| VALIDUS HOLDINGS LIMITED COM (VR) | 9 000 | 5/19/2015 | 9/20/2016 | $446 11 | $386 28 | Long | $59 83 |
| RECKITT BENCKISER PLC (RBGLY) | 31.000 | 5/1/2015 | 9/22/2016 | $591.76 | $551 09 | Long | $40 67 |
| ANTHEM INCORPORATED (ANTM) | 9 000 | 5/19/2015 | 9/26/2016 | $1,125 13 | $1,476 13 | Long | ($351.00) |
| ALIBABA GROUP HLDG LIMITED (BABA) | 4 000 | 4/15/2015 | 9/28/2016 | $430 71 | $337 64 | Long | $93 07 |
| CVS HEALTH CORPORATION (CVS) | 3 000 | 3/20/2014 | 9/30/2016 | $269 07 | $221 12 | Long | $47 95 |
| CVS HEALTH CORPORATION (CVS) | 4 000 | 5/14/2014 | 9/30/2016 | $358 75 | $304.74 | Long | $54 01 |
| MCKESSON CORPORATION (MCK) | 7 000 | 5/19/2015 | 9/30/2016 | $1,165.41 | $1,696 16 | Long | ($530 75) |
| GILEAD SCIENCES INCORPORATED (GILD) | 15 000 | 5/19/2015 | 10/3/2016 | $1,165 86 | $1,653 20 | Long | ($487 34) |
| CIGNA CORPORATION (CI) | 9 000 | 5/19/2015 | 10/5/2016 | $1,147 66 | $1,203 82 | Long | ($56 16) |
| PG&E CORPORATION (PCG) | 33 000 | 5/19/2015 | 10/5/2016 | $1,938 71 | $1,746 95 | Long | $191 76 |
| CAPITAL ONE FINL CORPORATION (COF) | 13 000 | 5/19/2015 | 10/11/2016 | $938 57 | $1,109 81 | Long | ($171 24) |
| NUANCE COMMUNICATIONS (NUAN) | 26 000 | 8/5/2015 | 10/11/2016 | $362 07 | $475.59 | Long | ($113 52) |
| VALIDUS HOLDINGS LIMITED COM (VR) | 22 000 | 5/19/2015 | 10/11/2016 | $1,116 34 | $944 23 | Long | $172 11 |
| HIBBETT SPORTS INCORPORATED (HIBB) | 9 000 | 3/4/2013 | 10/17/2016 | $355 89 | $480.33 | Long | ($124 44) |
| HIBBETT SPORTS INCORPORATED (HIBB) | 9 000 | 7/29/2014 | 10/17/2016 | $355 89 | $455 63 | Long | ($99 74) |
| PENSKE AUTOMOTIVE GRP (PAG) | 37.000 | 8/6/2015 | 10/17/2016 | $1,672 05 | $1,968.33 | Long | ($296 28) |
| LEAR CORPORATION COM NEW (LEA) | 8 000 | 5/19/2015 | 10/18/2016 | $900.76 | $924 69 | Long | ($23 93) |
| ALLSTATE CORPORATION (ALL) | 22 000 | 5/19/2015 | 10/20/2016 | $1,501 35 | $1,510 88 | Long | ($9 53) |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| ENTERGY CORPORATION NEW (ETR) | 13.000 | 5/19/2015 | 10/27/2016 | $931.70 | $988.89 | Long | ($57.19) |
| MARKETAXESS HLDGS INCORPORATED (MKTX) | 3 000 | 7/29/2014 | 10/27/2016 | $453.16 | $168.99 | Long | $284.17 |
| COGNEX CORPORATION (CGNX) | 9 000 | 11/5/2014 | 11/1/2016 | $469.06 | $365.40 | Long | $103.66 |
| UMPQUA HLDGS CORPORATION (UMPQ) | 42.000 | 3/4/2013 | 11/1/2016 | $632.96 | $530 88 | Long | $102.08 |
| UMPQUA HLDGS CORPORATION (UMPQ) | 14 000 | 10/10/2013 | 11/1/2016 | $210 99 | $232.54 | Long | ($21.55) |
| UMPQUA HLDGS CORPORATION (UMPQ) | 20.000 | 7/29/2014 | 11/1/2016 | $301.41 | $343.20 | Long | ($41 79) |
| CK HUTCHISON HLDGS LIMITED ADR (CKHUY) | 30.000 | 7/29/2014 | 11/4/2016 | $368.26 | $347.13 | Long | $21 13 |
| KDDI CORPORATION ADR (JAPAN) (KDDIY) | 27 000 | 9/24/2015 | 11/4/2016 | $391.00 | $305.30 | Long | $85.70 |
| PROTO LABS INCORPORATED (PRLB) | 14 000 | 3/4/2013 | 11/4/2016 | $618.83 | $649.32 | Long | ($30 49) |
| PROTO LABS INCORPORATED (PRLB) | 5 000 | 10/10/2013 | 11/4/2016 | $221.01 | $374.00 | Long | ($152 99) |
| PROTO LABS INCORPORATED (PRLB) | 7.000 | 7/29/2014 | 11/4/2016 | $309 41 | $586.46 | Long | ($277 05) |
| PROTO LABS INCORPORATED (PRLB) | 8.000 | 10/27/2014 | 11/4/2016 | $353 62 | $491.14 | Long | ($137.52) |
| LOWES COMPANIES INCORPORATED (LOW) | 11.000 | 5/19/2015 | 11/8/2016 | $736.99 | $793.93 | Long | ($56 94) |
| ENTERGY CORPORATION NEW (ETR) | 12 000 | 5/19/2015 | 11/17/2016 | $818.34 | $912.83 | Long | ($94 49) |
| CARDTRONICS PLC (CATM) | 31.000 | 3/4/2013 | 11/29/2016 | $1,521 50 | $823 05 | Long | $698 45 |
| CARDTRONICS PLC (CATM) | 3.000 | 7/29/2014 | 11/29/2016 | $147 24 | $110 01 | Long | $37 23 |
| HARMAN INTERNATIONAL (HAR) | 15.000 | 7/24/2013 | 11/29/2016 | $1,641 06 | $867.64 | Long | $773.42 |
| HARMAN INTERNATIONAL (HAR) | 4 000 | 10/10/2013 | 11/29/2016 | $437 61 | $266 68 | Long | $170.93 |
| HARMAN INTERNATIONAL (HAR) | 1.000 | 7/29/2014 | 11/29/2016 | $109 40 | $114.14 | Long | ($4 74) |
| MIDDLEBY CORPORATION (MIDD) | 1.000 | 3/4/2013 | 11/29/2016 | $137 08 | $49 93 | Long | $87 15 |
| MIDDLEBY CORPORATION (MIDD) | 3.000 | 7/29/2014 | 11/29/2016 | $411.23 | $223.44 | Long | $187.79 |
| TEAM HEALTH HOLDINGS (TMH) | 28.000 | 6/19/2015 | 11/29/2016 | $1,195.61 | $1,735 94 | Long | ($540 33) |
| TORO COMPANY (TTC) | 8.000 | 10/10/2013 | 11/29/2016 | $426.69 | $219.84 | Long | $206.85 |
| TORO COMPANY (TTC) | 2.000 | 7/29/2014 | 11/29/2016 | $106.67 | $60.99 | Long | $45.68 |
| NUANCE COMMUNICATIONS (NUAN) | 77.000 | 8/5/2015 | 12/7/2016 | $1,185.55 | $1,408 49 | Long | ($222.94) |
| BHP BILLITON PLC (BBL) | 47 000 | 11/6/2015 | 12/13/2016 | $1,623.97 | $1,393.64 | Long | $230.33 |
| CK HUTCHISON HLDGS LIMITED ADR (CKHUY) | 2.912 | 3/4/2013 | 12/13/2016 | $34.16 | $20.03 | Long | $14 13 |
| CK HUTCHISON HLDGS LIMITED ADR (CKHUY) | 53.352 | 10/10/2013 | 12/13/2016 | $625 94 | $523 33 | Long | $102.61 |
| CK HUTCHISON HLDGS LIMITED ADR (CKHUY) | 18.584 | 7/29/2014 | 12/13/2016 | $218 03 | $215.03 | Long | $3.00 |
| CK HUTCHISON HLDGS LIMITED ADR (CKHUY) | 19 152 | 3/11/2015 | 12/13/2016 | $224.69 | $218.80 | Long | $5.89 |
| WESTPAC BKG CORPORATION (WBK) | 18 000 | 7/29/2014 | 12/13/2016 | $432.26 | $581.38 | Long | ($149.12) |
| WESTPAC BKG CORPORATION (WBK) | 4.000 | 3/4/2013 | 12/14/2016 | $95.54 | $125.12 | Long | ($29 58) |
| WESTPAC BKG CORPORATION (WBK) | 4 000 | 7/29/2014 | 12/14/2016 | $95.55 | $129.20 | Long | ($33 65) |
| IDEXX LABS INCORPORATED (IDXX) | 4.000 | 8/6/2015 | 12/16/2016 | $479 40 | $303 93 | Long | $175 47 |
| MEDNAX INCORPORATED (MD) | 25.000 | 3/4/2013 | 12/16/2016 | $1,646.39 | $1,058.75 | Long | $587 64 |
| BHP BILLITON PLC (BBL) | 20.000 | 11/6/2015 | 12/20/2016 | $641 21 | $593 04 | Long | $48 17 |
| CK HUTCHISON HLDGS LIMITED ADR (CKHUY) | 71.000 | 3/4/2013 | 12/20/2016 | $805.00 | $488 32 | Long | $316 68 |
| WESTPAC BKG CORPORATION (WBK) | 8 000 | 3/4/2013 | 12/20/2016 | $188.23 | $250.24 | Long | ($62.01) |
| CK HUTCHISON HLDGS LIMITED ADR (CKHUY) | 41 000 | 3/4/2013 | 12/21/2016 | $462.27 | $281.99 | Long | $180 28 |
| WESTPAC BKG CORPORATION (WBK) | 38.000 | 3/4/2013 | 12/21/2016 | $895.30 | $1,188.64 | Long | ($293.34) |
| WESTPAC BKG CORPORATION (WBK) | 24 000 | 10/10/2013 | 12/21/2016 | $565.45 | $742.78 | Long | ($177 33) |
| WESTPAC BKG CORPORATION (WBK) | 7.000 | 3/11/2015 | 12/21/2016 | $164.93 | $199.88 | Long | ($34 95) |
| RAYMOND JAMES BASIS CORRECTION | | | | $11,469.62 | | Long | $11,469.62 |
| | | | | **$265,279.84** | **$272,394.09** | | **($7,114.25)** |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| MOHAWK INDUSTRIES INCORPORATED (MHK) | 6 | 9/18/2015 | 1/6/2016 | $1,094 56 | $1,227 24 | Short | ($132 68) |
| ALIGN TECHNOLOGY INCORPORATED (ALGN) | 9 | 5/27/2015 | 1/13/2016 | $553 43 | $536 15 | Short | $17 28 |
| CELGENE CORPORATION (CELG) | 16 | 5/19/2015 | 1/13/2016 | $1,606 96 | $1,864 16 | Short | ($257 20) |
| SKYWORKS SOLUTIONS (SWKS) | 9 | 5/19/2015 | 1/13/2016 | $557 98 | $934 99 | Short | ($377 01) |
| ALLY FINL INCORPORATED (ALLY) | 66 | 5/19/2015 | 1/20/2016 | $972 23 | $1,463 18 | Short | ($490 95) |
| ANNALY CAP MGMT INCORPORATED (NLY) | 191 | 9/21/2015 | 1/20/2016 | $1,603 17 | $1,988 17 | Short | ($385 00) |
| PRUDENTIAL FINL INCORPORATED (PRU) | 12 | 5/19/2015 | 1/20/2016 | $789 45 | $1,033 29 | Short | ($243 84) |
| PRUDENTIAL FINL INCORPORATED (PRU) | 12 | 6/8/2015 | 1/20/2016 | $789 45 | $1,054 81 | Short | ($265 36) |
| ASPEN TECHNOLOGY INCORPORATED (AZPN) | 40 | 2/25/2015 | 1/25/2016 | $1,353.35 | $1,580 42 | Short | ($227 07) |
| BG GROUP PLC ADR FIN INST N (BRGYYOLD) | 27 | 2/12/2015 | 1/28/2016 | $403 83 | $394 44 | Short | $9 39 |
| BG GROUP PLC ADR FIN INST N (BRGYYOLD) | 21 | 3/11/2015 | 1/28/2016 | $314 09 | $268 59 | Short | $45 50 |
| ROYAL DUTCH SHELL PLC (RDS A) | 5 | 3/11/2015 | 1/28/2016 | $216 53 | $292 25 | Short | ($75 72) |
| ATLAS COPCO AB (ATLKY) | 9 | 3/11/2015 | 2/3/2016 | $184 02 | $278 10 | Short | ($94 08) |
| AMAZON COM INCORPORATED (AMZN) | 1 | 10/19/2015 | 2/4/2016 | $536 12 | $571 85 | Short | ($35 73) |
| AMAZON COM INCORPORATED (AMZN) | 1 | 11/19/2015 | 2/4/2016 | $536 12 | $669 23 | Short | ($133 11) |
| CSRA INCORPORATED (CSRA) | 58 | 5/19/2015 | 2/4/2016 | $1,496 10 | $2,253 79 | Short | ($757 69) |
| MCKESSON CORPORATION (MCK) | 8 | 5/19/2015 | 2/4/2016 | $1,234 00 | $1,938 48 | Short | ($704 48) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 319 689 | 2/25/2015 | 2/22/2016 | $3,391 90 | $3,702 00 | Short | ($310 10) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 53 399 | 3/11/2015 | 2/22/2016 | $566 56 | $597 00 | Short | ($30 44) |
| LEGG MASON BW INTL OPPORTUNITY (LWOIX) | 2 13 | 6/25/2015 | 2/22/2016 | $22 60 | $23 39 | Short | ($0 79) |
| PERRIGO COMPANY PLC SHS (PRGO) | 14 | 1/6/2016 | 2/24/2016 | $1,765 62 | $2,012 68 | Short | ($247.06) |
| KROGER COMPANY (KR) | 43 | 5/19/2015 | 3/4/2016 | $1,592 21 | $1,578 32 | Short | $13 89 |
| EVEREST RE GROUP LIMITED (RE) | 10 | 5/19/2015 | 3/7/2016 | $1,932.34 | $1,846 98 | Short | $85 36 |
| LOCKHEED MARTIN CORPORATION (LMT) | 6 | 5/19/2015 | 3/7/2016 | $1,295 95 | $1,159 54 | Short | $136 41 |
| REYNOLDS AMERICAN INCORPORATED (RAI) | 23 | 7/7/2015 | 3/11/2016 | $1,175 20 | $882 11 | Short | $293 09 |
| BEST BUY INCORPORATED (BBY) | 74 | 5/19/2015 | 3/15/2016 | $2,361 74 | $2,587 25 | Short | ($225 51) |
| BAIRD AGGREGATE BOND FUND (BAGIX) | 16 361 | 3/26/2015 | 3/16/2016 | $176 21 | $178 99 | Short | ($2 78) |
| BAIRD AGGREGATE BOND FUND (BAGIX) | 14 603 | 4/28/2015 | 3/16/2016 | $157 27 | $159 90 | Short | ($2 63) |
| DELTA AIR LINES INCORPORATED (DAL) | 4 | 5/19/2015 | 3/16/2016 | $192 43 | $185 16 | Short | $7 27 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 61 | 4/1/2015 | 3/16/2016 | $104 27 | $106 09 | Short | ($1 82) |
| METROPOLITAN WEST TOTAL RETURN (MWTIX) | 10 921 | 4/1/2015 | 3/16/2016 | $117 29 | $120 24 | Short | ($2 95) |
| UNITEDHEALTH GROUP (UNH) | 1 | 5/19/2015 | 3/16/2016 | $125 16 | $120 47 | Short | $4 69 |
| CELGENE CORPORATION (CELG) | 16 | 5/19/2015 | 3/17/2016 | $1,532 91 | $1,864 16 | Short | ($331 25) |
| CAMERON INTERNATIONAL (CAMOLDDD) | 50 | 5/19/2015 | 4/1/2016 | $3,303 90 | $2,553 32 | Short | $750 58 |
| WELLS FARGO & COMPANY NEW (WFC) | 25 | 5/19/2015 | 3/30/2016 | $1,219 55 | $1,408 72 | Short | ($189 17) |
| TESORO CORPORATION (TSO) | 5 | 11/19/2015 | 4/6/2016 | $406 64 | $568 37 | Short | ($161 73) |
| TESORO CORPORATION (TSO) | 9 | 11/30/2015 | 4/6/2016 | $731 96 | $1,043 64 | Short | ($311 68) |
| WELLS FARGO & COMPANY NEW (WFC) | 47 | 5/19/2015 | 4/6/2016 | $2,250 22 | $2,648 40 | Short | ($398 18) |
| CENTRICA PLC SPON ADR NEW (CPYYY) | 82 | 6/10/2015 | 4/12/2016 | $1,094 61 | $1,367 05 | Short | ($272 44) |
| DBS GROUP HLDGS LIMITED (DBSDY) | 3 | 3/16/2016 | 4/13/2016 | $136 14 | $134 10 | Short | $2 04 |
| JUNIPER NETWORKS INCORPORATED (JNPR) | 68 | 5/28/2015 | 4/14/2016 | $1,612 68 | $1,883 84 | Short | ($271 16) |
| SCHLUMBERGER LIMITED (SLB) | 0 8 | 4/1/2016 | 4/14/2016 | $59 72 | $57 70 | Short | $2 02 |
| SKYWORKS SOLUTIONS (SWKS) | 10 | 5/19/2015 | 4/14/2016 | $766 08 | $1,038 87 | Short | ($272 79) |
| INFOBLOX INCORPORATED (BLOX) | 68 | 1/25/2016 | 4/21/2016 | $1,030 82 | $1,086 88 | Short | ($56 06) |
| NATURAL GROCERS BY VITAMIN COT (NGVC) | 1 | 1/13/2016 | 4/25/2016 | $13 70 | $21 35 | Short | ($7 65) |
| EVEREST RE GROUP LIMITED (RE) | 5 | 5/19/2015 | 4/26/2016 | $934 08 | $923 49 | Short | $10 59 |
| EVEREST RE GROUP LIMITED (RE) | 1 | 3/16/2016 | 4/26/2016 | $186 82 | $193 86 | Short | ($7 04) |
| KROGER COMPANY (KR) | 22 | 5/19/2015 | 4/26/2016 | $801 19 | $807 51 | Short | ($6 32) |
| UNITED CONTL HLDGS (UAL) | 18 | 10/23/2015 | 4/26/2016 | $881 77 | $1,066 09 | Short | ($184 32) |
| | | | | $722 00 | | | $722 00 |
| FIRSTENERGY CORPORATION (FE) | 24 | 1/13/2016 | 4/28/2016 | $776 72 | $756 29 | Short | $20 43 |
| FIRSTENERGY CORPORATION (FE) | 25 | 2/4/2016 | 4/28/2016 | $809 09 | $830 91 | Short | ($21 82) |
| APPLE INCORPORATED (AAPL) | 18 | 5/19/2015 | 4/29/2016 | $1,685.40 | $2,341 80 | Short | ($656 40) |
| KROGER COMPANY (KR) | 43 | 5/19/2015 | 4/29/2016 | $1,520 25 | $1,578 31 | Short | ($58 06) |
| SKYWORKS SOLUTIONS (SWKS) | 17 | 5/19/2015 | 4/29/2016 | $1,139 58 | $1,766 08 | Short | ($626 50) |
| COMPASS GROUP PLC (CMPGY) | 41 | 8/13/2015 | 5/3/2016 | $726.57 | $663 36 | Short | $63 21 |
| COMPASS GROUP PLC (CMPGY) | 6 | 3/16/2016 | 5/3/2016 | $106 33 | $104 52 | Short | $1 81 |
| INFINEON TECHNOLOGIES AG (IFNNY) | 12 | 3/16/2016 | 5/3/2016 | $167 64 | $160 66 | Short | $6 98 |
| WELLS FARGO & COMPANY NEW (WFC) | 28 | 5/19/2015 | 5/5/2016 | $1,368 57 | $1,577 78 | Short | ($209 21) |
| WESTERN DIGITAL CORPORATION (WDC) | 17 | 5/19/2015 | 5/5/2016 | $648 28 | $1,620 01 | Short | ($971 73) |
| ELECTRONIC ARTS INCORPORATED (EA) | 5 | 7/20/2015 | 5/10/2016 | $322 43 | $374 11 | Short | ($51 68) |
| ELECTRONIC ARTS INCORPORATED (EA) | 14 | 8/5/2015 | 5/10/2016 | $902 81 | $1,056 42 | Short | ($153 61) |
| EVEREST RE GROUP LIMITED (RE) | 7 | 5/19/2015 | 5/10/2016 | $1,276 64 | $1,292 88 | Short | ($16 24) |
| APPLE INCORPORATED (AAPL) | 12 | 5/19/2015 | 5/12/2016 | $1,081 69 | $1,561 20 | Short | ($479 51) |
| DELTA AIR LINES INCORPORATED (DAL) | 20 | 5/19/2015 | 5/12/2016 | $816 62 | $925.80 | Short | ($109 18) |
| TESORO CORPORATION (TSO) | 6 | 11/19/2015 | 5/12/2016 | $451.36 | $682 04 | Short | ($230 68) |
| TESORO CORPORATION (TSO) | 7 | 12/18/2015 | 5/12/2016 | $526 59 | $735 89 | Short | ($209 30) |

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|---|---|---|---|---|---|---|---|
| FIRSTENERGY CORPORATION (FE) | 29 | 1/13/2016 | 5/26/2016 | $939 05 | $913 84 | Short | $25 21 |
| FMC TECHNOLOGIES INCORPORATED (FTI) | 6 | 2/4/2016 | 5/26/2016 | $162 13 | $145 87 | Short | $16 26 |
| FMC TECHNOLOGIES INCORPORATED (FTI) | 22 | 3/7/2016 | 5/26/2016 | $594 49 | $581.90 | Short | $12 59 |
| NIKE INCORPORATED CLASS B (NKE) | 15 | 10/14/2015 | 6/6/2016 | $815 44 | $942 91 | Short | ($127 47) |
| NIKE INCORPORATED CLASS B (NKE) | 14 | 10/19/2015 | 6/6/2016 | $761 07 | $932 04 | Short | ($170 97) |
| IDEXX LABS INCORPORATED (IDXX) | 4 | 8/6/2015 | 6/8/2016 | $356 80 | $303 94 | Short | $52 86 |
| HSBC HLDGS PLC (HSBC) | 14 | 12/17/2015 | 6/14/2016 | $420 76 | $554 26 | Short | ($133 50) |
| HSBC HLDGS PLC (HSBC) | 8 | 3/16/2016 | 6/14/2016 | $240 44 | $258 24 | Short | ($17 80) |
| ERICSSON ADR B SEK 10 (ERIC) | 17 | 3/16/2016 | 6/21/2016 | $134.98 | $161 16 | Short | ($26 18) |
| DENSO CORPORATION ADR (JAPAN) (DNZOY) | 13 | 3/16/2016 | 6/22/2016 | $228 30 | $255 45 | Short | ($27 15) |
| LIONS GATE ENTMNT CORPORATION (LGF) | 29 | 8/25/2015 | 7/1/2016 | $565 49 | $1,054 63 | Short | ($489 14) |
| LIONS GATE ENTMNT CORPORATION (LGF) | 17 | 1/4/2016 | 7/1/2016 | $331 50 | $521 65 | Short | ($190 15) |
| LIONS GATE ENTMNT CORPORATION (LGF) | 11 | 2/8/2016 | 7/1/2016 | $214 50 | $206 16 | Short | $8 34 |
| ROWAN COMPANIES PLC (RDC) | 47 | 3/11/2016 | 7/13/2016 | $833.86 | $778 82 | Short | $55 04 |
| WELLS FARGO & COMPANY NEW (WFC) | 3 | 3/16/2016 | 7/15/2016 | $142 53 | $150 29 | Short | ($7 76) |
| ARM HLDGS PLC SPONSORED ADR (ARMH) | 9 | 6/14/2016 | 7/20/2016 | $594 47 | $370 67 | Short | $223 80 |
| ENERGIZER HLDGS INCORPORATED (ENR) | 26 | 4/14/2016 | 7/28/2016 | $1,284 98 | $1,156 70 | Short | $128.28 |
| NIKE INCORPORATED CLASS B (NKE) | 17 | 10/14/2015 | 7/28/2016 | $944 33 | $1,068.64 | Short | ($124 31) |
| NIKE INCORPORATED CLASS B (NKE) | 2 | 3/16/2016 | 7/28/2016 | $111 10 | $123 12 | Short | ($12 02) |
| FMC TECHNOLOGIES INCORPORATED (FTI) | 38 | 2/4/2016 | 8/1/2016 | $921 79 | $923.85 | Short | ($2 06) |
| NORFOLK SOUTHERN CORPORATION (NSC) | 22 | 4/26/2016 | 8/4/2016 | $1,921 23 | $2,050 64 | Short | ($129 41) |
| TOTAL SYSTEMS SVCS (TSS) | 14 | 5/5/2016 | 8/4/2016 | $683 97 | $723 45 | Short | ($39 48) |
| TOTAL SYSTEMS SVCS (TSS) | 16 | 5/10/2016 | 8/4/2016 | $781.69 | $850.93 | Short | ($69 24) |
| ALPHABET INCORPORATED CAP STK (GOOG) | 1 | 12/18/2015 | 8/8/2016 | $778.63 | $743 45 | Short | $35 18 |
| ALPHABET INCORPORATED CAP STK (GOOGL) | 1 | 2/4/2016 | 8/8/2016 | $803 08 | $730 75 | Short | $72 33 |
| ALPHABET INCORPORATED CAP STK (GOOGL) | 1 | 3/16/2016 | 8/8/2016 | $803 08 | $748 15 | Short | $54 93 |
| ALTRIA GROUP INCORPORATED (MO) | 3 | 5/12/2016 | 8/8/2016 | $199 29 | $194 89 | Short | $4 40 |
| ALTRIA GROUP INCORPORATED (MO) | 13 | 7/6/2016 | 8/8/2016 | $863 61 | $908 81 | Short | ($45 20) |
| AMAZON COM INCORPORATED (AMZN) | 1 | 8/1/2016 | 8/8/2016 | $764 05 | $769 05 | Short | ($5 00) |
| AMERICAN CAPITAL AGENCY (AGNC) | 39 | 6/6/2016 | 8/8/2016 | $770 66 | $745 88 | Short | $24 78 |
| APPLIED MATLS INCORPORATED (AMAT) | 18 | 7/13/2016 | 8/8/2016 | $483.30 | $465 30 | Short | $18 00 |
| ARROW ELECTRS INCORPORATED (ARW) | 5 | 3/15/2016 | 8/8/2016 | $330 66 | $306 03 | Short | $24 63 |
| BIOGEN INCORPORATED (BIIB) | 1 | 8/4/2016 | 8/8/2016 | $313 49 | $315 25 | Short | ($1 76) |
| BROADCOM LIMITED SHS (AVGO) | 3 | 3/17/2016 | 8/8/2016 | $505 82 | $452 73 | Short | $53 09 |
| BROCADE COMMUNICATIONS SYSTEMS (BRCD) | 57 | 3/15/2016 | 8/8/2016 | $541 67 | $583 00 | Short | ($41 33) |
| CELGENE CORPORATION (CELG) | 2 | 7/28/2016 | 8/8/2016 | $227.33 | $223 26 | Short | $4 07 |
| CHEVRON CORPORATION NEW (CVX) | 6 | 7/15/2016 | 8/8/2016 | $608.29 | $640.52 | Short | ($32 23) |
| COLGATE PALMOLIVE COMPANY (CL) | 6 | 6/10/2016 | 8/8/2016 | $445 74 | $431 40 | Short | $14 34 |
| COOPER COMPANIES INCORPORATED (COO) | 2 | 7/6/2016 | 8/8/2016 | $362.91 | $357 00 | Short | $5 91 |
| CVS HEALTH CORPORATION (CVS) | 2 | 3/16/2016 | 8/8/2016 | $194.10 | $202 04 | Short | ($7 94) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 299 | 9/1/2015 | 8/8/2016 | $101 54 | $101 27 | Short | $0 27 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 367 | 10/1/2015 | 8/8/2016 | $102 29 | $102 47 | Short | ($0 18) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 388 | 11/2/2015 | 8/8/2016 | $102 52 | $102 14 | Short | $0 38 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 871 | 12/1/2015 | 8/8/2016 | $96.87 | $96.16 | Short | $0 71 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 9 927 | 1/4/2016 | 8/8/2016 | $108 40 | $107 01 | Short | $1 39 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 54 | 2/1/2016 | 8/8/2016 | $93 26 | $93 00 | Short | $0.26 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 7 913 | 3/1/2016 | 8/8/2016 | $86 41 | $86 17 | Short | $0 24 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 856 | 4/1/2016 | 8/8/2016 | $96 71 | $96 26 | Short | $0 45 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 7 983 | 5/2/2016 | 8/8/2016 | $87 17 | $86 69 | Short | $0 48 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 7 577 | 6/1/2016 | 8/8/2016 | $82 74 | $82.14 | Short | $0 60 |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 272 | 7/1/2016 | 8/8/2016 | $90 33 | $90 41 | Short | ($0 08) |
| DOUBLELINE TOTAL RETURN BOND (DBLTX) | 8 566 | 8/1/2016 | 8/8/2016 | $93 54 | $93 80 | Short | ($0 26) |
| ENERGEN CORPORATION (EGN) | 7 | 5/26/2016 | 8/8/2016 | $362.31 | $337 32 | Short | $24 99 |
| ENTERGY CORPORATION NEW (ETR) | 8 | 7/6/2016 | 8/8/2016 | $639 29 | $655 55 | Short | ($16 26) |
| EXELON CORPORATION (EXC) | 14 | 8/24/2015 | 8/8/2016 | $505 31 | $465 97 | Short | $39 34 |
| EXELON CORPORATION (EXC) | 4 | 3/16/2016 | 8/8/2016 | $144 38 | $136 56 | Short | $7 82 |
| EXXON MOBIL CORPORATION (XOM) | 2 | 5/12/2016 | 8/8/2016 | $176 62 | $179 22 | Short | ($2.60) |
| EXXON MOBIL CORPORATION (XOM) | 12 | 5/24/2016 | 8/8/2016 | $1,059.70 | $1,075.50 | Short | ($15 80) |
| FACEBOOK INCORPORATED CLASS A (FB) | 8 | 7/28/2016 | 8/8/2016 | $997 76 | $996 96 | Short | $0 80 |
| FORD MTR COMPANY DEL COM PAR (F) | 27 | 10/14/2015 | 8/8/2016 | $329 48 | $404.30 | Short | ($74 82) |
| GENERAL ELECTRIC COMPANY (GE) | 9 | 10/6/2015 | 8/8/2016 | $281 27 | $244 92 | Short | $36.35 |
| GOLDMAN SACHS GROUP (GS) | 4 | 11/3/2015 | 8/8/2016 | $652 42 | $766 08 | Short | ($113 66) |
| HCP INCORPORATED REIT (HCP) | 7 | 7/15/2016 | 8/8/2016 | $269 42 | $261 52 | Short | $7 90 |
| HD SUPPLY HLDGS INCORPORATED (HDS) | 16 | 4/6/2016 | 8/8/2016 | $568 48 | $532 59 | Short | $35.89 |
| HOME DEPOT INCORPORATED (HD) | 7 | 8/20/2015 | 8/8/2016 | $954 38 | $848 26 | Short | $106.12 |
| HOME DEPOT INCORPORATED (HD) | 1 | 3/16/2016 | 8/8/2016 | $136 34 | $129 10 | Short | $7 24 |
| INGERSOLL-RAND PLC (IR) | 7 | 4/29/2016 | 8/8/2016 | $475 46 | $456 43 | Short | $19 03 |
| INGREDION INCORPORATED (INGR) | 3 | 5/26/2016 | 8/8/2016 | $403 88 | $357 19 | Short | $46 69 |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| JOHNSON & JOHNSON (JNJ) | 8 | 4/26/2016 | 8/8/2016 | $987 01 | $901 68 | Short | $85 33 |
| METLIFE INCORPORATED (MET) | 8 | 4/28/2016 | 8/8/2016 | $331 54 | $370 07 | Short | ($38 53) |
| MICROSOFT CORPORATION (MSFT) | 5 | 11/30/2015 | 8/8/2016 | $289 30 | $273 11 | Short | $16 19 |
| MICROSOFT CORPORATION (MSFT) | 23 | 12/4/2015 | 8/8/2016 | $1,330 77 | $1,276.53 | Short | $54.24 |
| MOHAWK INDUSTRIES INCORPORATED (MHK) | 1 | 9/18/2015 | 8/8/2016 | $213.16 | $204 54 | Short | $8.62 |
| MYLAN N V (MYL) | 7 | 1/20/2016 | 8/8/2016 | $341.87 | $351 03 | Short | ($9 16) |
| NUANCE COMMUNICATIONS (NUAN) | 29 | 3/17/2016 | 8/8/2016 | $472.13 | $568 13 | Short | ($96 00) |
| OWENS CORNING NEW (OC) | 10 | 1/20/2016 | 8/8/2016 | $539.51 | $420 47 | Short | $119 04 |
| OWENS ILL INCORPORATED COM NEW (OI) | 15 | 5/10/2016 | 8/8/2016 | $288.14 | $289 84 | Short | ($1 70) |
| PHILIP MORRIS INTERNATIONAL (PM) | 4 | 4/6/2016 | 8/8/2016 | $395 36 | $402.41 | Short | ($7 05) |
| QUALCOMM INCORPORATED (QCOM) | 5 | 1/13/2016 | 8/8/2016 | $308 16 | $230 58 | Short | $77 58 |
| SCHLUMBERGER LIMITED (SLB) | 7 | 4/1/2016 | 8/8/2016 | $578.75 | $504 84 | Short | $73 91 |
| STEEL DYNAMICS INCORPORATED (STLD) | 24 | 4/14/2016 | 8/8/2016 | $630 24 | $570 86 | Short | $59 38 |
| TOTAL SYSTEMS SVCS (TSS) | 3 | 4/29/2016 | 8/8/2016 | $146 13 | $152 87 | Short | ($6 74) |
| TOTAL SYSTEMS SVCS (TSS) | 2 | 5/5/2016 | 8/8/2016 | $97 42 | $103 35 | Short | ($5.93) |
| VANTIV INCORPORATED CLASS A (VNTV) | 13 | 12/4/2015 | 8/8/2016 | $706.83 | $676 27 | Short | $30.56 |
| VERIZON COMMUNICATIONS (VZ) | 3 | 3/16/2016 | 8/8/2016 | $160.56 | $157 83 | Short | $2 73 |
| NATURAL GROCERS BY VITAMIN COT (NGVC) | 37 | 1/13/2016 | 8/17/2016 | $433.80 | $789.81 | Short | ($356 01) |
| MYLAN N V (MYL) | 39 | 1/20/2016 | 8/23/2016 | $1,790.76 | $1,955.74 | Short | ($164 98) |
| ARM HLDGS PLC SPONSORED ADR (ARMHOLD) | 4 | 5/3/2016 | 8/30/2016 | $265 96 | $163 51 | Short | $102.45 |
| ARM HLDGS PLC SPONSORED ADR (ARMHOLD) | 9 | 6/14/2016 | 8/30/2016 | $598 41 | $370.67 | Short | $227 74 |
| ARM HLDGS PLC SPONSORED ADR (ARMHOLD) | 54 | 5/3/2016 | 9/2/2016 | $3,596 50 | $2,207 39 | Short | $1,389.11 |
| HD SUPPLY HLDGS INCORPORATED (HDS) | 13 | 3/30/2016 | 9/9/2016 | $394.47 | $431 44 | Short | ($36 97) |
| HD SUPPLY HLDGS INCORPORATED (HDS) | 14 | 4/6/2016 | 9/9/2016 | $424 82 | $466 01 | Short | ($41 19) |
| ARROW ELECTRS INCORPORATED (ARW) | 20 | 3/15/2016 | 9/16/2016 | $1,219.29 | $1,224 10 | Short | ($4 81) |
| FORD MTR COMPANY DEL COM PAR (F) | 36 | 10/14/2015 | 9/20/2016 | $431 27 | $539 08 | Short | ($107 81) |
| RECKITT BENCKISER PLC (RBGLY) | 16 | 3/16/2016 | 9/22/2016 | $305 42 | $304 48 | Short | $0 94 |
| ANTHEM INCORPORATED (ANTM) | 1 | 3/16/2016 | 9/26/2016 | $125.01 | $143 48 | Short | ($18 47) |
| TOTAL SYSTEMS SVCS (TSS) | 22 | 4/29/2016 | 9/26/2016 | $1,036 26 | $1,121.07 | Short | ($84 81) |
| MCKESSON CORPORATION (MCK) | 1 | 3/16/2016 | 9/30/2016 | $166 49 | $156 94 | Short | $9.55 |
| NUANCE COMMUNICATIONS (NUAN) | 24 | 3/17/2016 | 10/11/2016 | $334 21 | $470 18 | Short | ($135 97) |
| PENSKE AUTOMOTIVE GRP (PAG) | 10 | 3/3/2016 | 10/17/2016 | $451 90 | $391 49 | Short | $60 41 |
| HD SUPPLY HLDGS INCORPORATED (HDS) | 42 | 3/30/2016 | 10/18/2016 | $1,351 45 | $1,393.87 | Short | ($42 42) |
| VANTIV INCORPORATED CLASS A (VNTV) | 13 | 12/4/2015 | 10/20/2016 | $739 57 | $676 27 | Short | $63 30 |
| ENTERGY CORPORATION NEW (ETR) | 6 | 7/6/2016 | 10/27/2016 | $430 01 | $491 67 | Short | ($61 66) |
| VEREIT INCORPORATED REIT (VER) | 95 | 8/23/2016 | 10/27/2016 | $878 65 | $1,003 76 | Short | ($125 11) |
| UMPQUA HLDGS CORPORATION (UMPQ) | 21 | 3/10/2016 | 11/1/2016 | $316.48 | $335 73 | Short | ($19 25) |
| CK HUTCHISON HLDGS LIMITED ADR (CKHUY) | 20 | 3/16/2016 | 11/4/2016 | $245 50 | $256 88 | Short | ($11 38) |
| KDDI CORPORATION ADR (JAPAN) (KDDIY) | 11 | 3/16/2016 | 11/4/2016 | $159.30 | $146 69 | Short | $12 61 |
| QUALITY CARE PPTYS (QCP) | 0 4 | 11/1/2016 | 11/7/2016 | $5.41 | $5 73 | Short | ($0 32) |
| LOWES COMPANIES INCORPORATED (LOW) | 2 | 2/24/2016 | 11/8/2016 | $134.00 | $134.54 | Short | ($0 54) |
| NVIDIA CORPORATION (NVDA) | 7 | 9/1/2016 | 11/8/2016 | $499.35 | $441.46 | Short | $57 89 |
| QUALITY CARE PPTYS (QCP) | 6 | 11/1/2016 | 11/8/2016 | $72 94 | $85 92 | Short | ($12 98) |
| BROCADE COMMUNICATIONS SYSTEMS (BRCD) | 42 | 3/4/2016 | 11/14/2016 | $518.27 | $429 26 | Short | $89 01 |
| BROCADE COMMUNICATIONS SYSTEMS (BRCD) | 18 | 3/15/2016 | 11/14/2016 | $222 11 | $184 11 | Short | $38 00 |
| CONSTELLATION BRANDS (STZ) | 5 | 10/11/2016 | 11/14/2016 | $738.52 | $848 73 | Short | ($110.21) |
| BROCADE COMMUNICATIONS SYSTEMS (BRCD) | 52 | 3/4/2016 | 11/17/2016 | $643 22 | $531 47 | Short | $111 75 |
| Sold but not listed in the statement | | | | $864 20 | | Short | $864 20 |
| OWENS ILL INCORPORATED COM NEW (OI) | 77 | 5/10/2016 | 11/30/2016 | $1,406.19 | $1,487 85 | Short | ($81 66) |
| COOPER COMPANIES INCORPORATED (COO) | 1 | 6/10/2016 | 12/1/2016 | $159 41 | $163 68 | Short | ($4 27) |
| COOPER COMPANIES INCORPORATED (COO) | 4 | 7/6/2016 | 12/1/2016 | $637 62 | $713 99 | Short | ($76.37) |
| ENERGIZER HLDGS INCORPORATED (ENR) | 3 | 4/14/2016 | 12/1/2016 | $131 16 | $133.47 | Short | ($2 31) |
| ENERGIZER HLDGS INCORPORATED (ENR) | 18 | 4/29/2016 | 12/1/2016 | $786 93 | $778 27 | Short | $8 66 |
| VEREIT INCORPORATED REIT (VER) | 29 | 8/23/2016 | 12/13/2016 | $245.73 | $306 41 | Short | ($60 68) |
| VEREIT INCORPORATED REIT (VER) | 64 | 8/29/2016 | 12/13/2016 | $542 30 | $663 82 | Short | ($121 52) |
| BHP BILLITON PLC (BBL) | 2 | 3/16/2016 | 12/20/2016 | $64 12 | $43 56 | Short | $20 56 |
| WESTPAC BKG CORPORATION (WBK) | 5 | 3/16/2016 | 12/21/2016 | $117 80 | $120 63 | Short | ($2 83) |
| | | | | **$124,610.08** | **$132,703.90** | | **($8,093.82)** |

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|---|---|---|---|---|---|---|---|
| STARWOOD HOTELS&RESORTS WRLDWD (HOT) | 342 00 | 2/10/2014 | 1/14/2016 | $21,023 68 | $25,838 10 | Long | ($4,814 42) |
| BOEING COMPANY (BA) | 206 00 | 2/10/2014 | 5/3/2016 | $27,278 64 | $26,101 85 | Long | $1,176 79 |
| ACCENTURE PLC IRELAND (ACN) | 320 00 | 1/26/2015 | 6/29/2016 | $35,688 60 | $28,457 28 | Long | $7,231 32 |
| LYONDELLBASELL INDUSTRIES N V (LYB) | 180 00 | 5/23/2013 | 7/12/2016 | $13,980 46 | $11,777 40 | Long | $2,203 06 |
| LYONDELLBASELL INDUSTRIES N V (LYB) | 58 00 | 10/2/2013 | 7/12/2016 | $4,504 81 | $4,264 84 | Long | $239.97 |
| LYONDELLBASELL INDUSTRIES N V (LYB) | 79 00 | 10/14/2013 | 7/12/2016 | $6,135 87 | $5,977 14 | Long | $158 73 |
| V F CORPORATION (VFC) | 104 00 | 3/6/2013 | 7/14/2016 | $6,740 61 | $4,274 40 | Long | $2,466 21 |
| V F CORPORATION (VFC) | 92 00 | 3/20/2013 | 7/14/2016 | $5,962 85 | $3,839 16 | Long | $2,123 69 |
| V F CORPORATION (VFC) | 96 00 | 4/3/2013 | 7/14/2016 | $6,222 10 | $4,043 04 | Long | $2,179 06 |
| V F CORPORATION (VFC) | 68 00 | 10/2/2013 | 7/14/2016 | $4,407 32 | $3,305 65 | Long | $1,101 67 |
| V F CORPORATION (VFC) | 124 00 | 10/14/2013 | 7/14/2016 | $8,036 89 | $6,125 60 | Long | $1,911 29 |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 8003 86 | 7/29/2014 | 9/14/2016 | $78,277 73 | $83,000 00 | Long | ($4,722 27) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 11 50 | 9/2/2014 | 9/14/2016 | $112 43 | $118 87 | Long | ($6 44) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 11 36 | 10/1/2014 | 9/14/2016 | $111 07 | $116 75 | Long | ($5 68) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 12 22 | 11/3/2014 | 9/14/2016 | $119 54 | $125 41 | Long | ($5.87) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 14 03 | 12/1/2014 | 9/14/2016 | $137 19 | $144 49 | Long | ($7 30) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 140 96 | 12/23/2014 | 9/14/2016 | $1,378 55 | $1,426 47 | Long | ($47 92) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 12.31 | 1/2/2015 | 9/14/2016 | $120 38 | $124 44 | Long | ($4.06) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 11 00 | 2/2/2015 | 9/14/2016 | $107 55 | $111 95 | Long | ($4.40) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 10 56 | 3/2/2015 | 9/14/2016 | $103 31 | $107 95 | Long | ($4.64) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 10 99 | 4/1/2015 | 9/14/2016 | $107 48 | $112 32 | Long | ($4 84) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 14 89 | 5/1/2015 | 9/14/2016 | $145 61 | $151 72 | Long | ($6 11) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 15 70 | 6/1/2015 | 9/14/2016 | $153 58 | $159 54 | Long | ($5.96) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 12 93 | 7/1/2015 | 9/14/2016 | $126 49 | $130 37 | Long | ($3 88) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 13 58 | 8/3/2015 | 9/14/2016 | $132 78 | $136 72 | Long | ($3 94) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 12 62 | 9/1/2015 | 9/14/2016 | $123 43 | $126 34 | Long | ($2.91) |
| COLUMBIA CONVERTIBLE (NCIAX) | 6214 69 | 7/29/2014 | 9/14/2016 | $108,570 62 | $121,000 00 | Long | ($12,429 38) |
| COLUMBIA CONVERTIBLE (NCIAX) | 44 90 | 9/25/2014 | 9/14/2016 | $784 32 | $870 06 | Long | ($85 74) |
| COLUMBIA CONVERTIBLE (NCIAX) | 34 88 | 12/11/2014 | 9/14/2016 | $609 41 | $649 87 | Long | ($40 46) |
| COLUMBIA CONVERTIBLE (NCIAX) | 41 18 | 12/11/2014 | 9/14/2016 | $719 34 | $767 11 | Long | ($47 77) |
| COLUMBIA CONVERTIBLE (NCIAX) | 66 45 | 12/11/2014 | 9/14/2016 | $1,160 83 | $1,237 90 | Long | ($77 07) |
| COLUMBIA CONVERTIBLE (NCIAX) | 45 52 | 3/23/2015 | 9/14/2016 | $795 23 | $896 29 | Long | ($101 06) |
| COLUMBIA CONVERTIBLE (NCIAX) | 120 30 | 6/23/2015 | 9/14/2016 | $2,101 64 | $2,336 23 | Long | ($234 59) |
| COLUMBIA CONVERTIBLE (NCIAX) | 15 75 | 6/23/2015 | 9/14/2016 | $275 10 | $305 81 | Long | ($30 71) |
| COLUMBIA CONVERTIBLE (NCIAX) | 46 48 | 6/23/2015 | 9/14/2016 | $812 02 | $902 67 | Long | ($90 65) |
| SYSCO CORPORATION (SYY) | 632 00 | 9/25/2015 | 10/17/2016 | $30,503 82 | $25,272 61 | Long | $5,231 21 |
| BRISTOL MYERS SQUIBB COMPANY (BMY) | 505 00 | 5/27/2015 | 11/30/2016 | $28,572 67 | $34,486 40 | Long | ($5 913 73) |
| CARDINAL HEALTH INCORPORATED (CAH) | 93 00 | 3/6/2013 | 11/30/2016 | $6,595 63 | $4,319 85 | Long | $2,275 78 |
| CARDINAL HEALTH INCORPORATED (CAH) | 89 00 | 3/20/2013 | 11/30/2016 | $6,311 95 | $3,777 96 | Long | $2,533 99 |
| CARDINAL HEALTH INCORPORATED (CAH) | 91 00 | 4/3/2013 | 11/30/2016 | $6,453.79 | $3,849 30 | Long | $2,604 49 |
| CARDINAL HEALTH INCORPORATED (CAH) | 60 00 | 10/2/2013 | 11/30/2016 | $4,255 24 | $3,173 94 | Long | $1,081.30 |
| CARDINAL HEALTH INCORPORATED (CAH) | 104 00 | 10/14/2013 | 11/30/2016 | $7,375 76 | $5,687 55 | Long | $1,688 21 |
| RAYMOND JAMES BASIS CORRECTION | | | | | $1,307 32 | Long | ($1,307 32) |
| | | | | **$427,136.32** | **$420,938.67** | | **$6,197.65** |

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|---|---|---|---|---|---|---|---|
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 10 667 | 10/1/2015 | 9/14/2016 | $104 32 | $105 92 | Short | ($1.60) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 13 122 | 11/2/2015 | 9/14/2016 | $128 33 | $130 83 | Short | ($2 50) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 13 872 | 12/1/2015 | 9/14/2016 | $135 67 | $137 89 | Short | ($2 22) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 78 664 | 12/24/2015 | 9/14/2016 | $769 34 | $769 33 | Short | $0 01 |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 16 131 | 1/4/2016 | 9/14/2016 | $157.76 | $157 60 | Short | $0 16 |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 16 397 | 2/1/2016 | 9/14/2016 | $160 36 | $158.89 | Short | $1 47 |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 14 244 | 3/1/2016 | 9/14/2016 | $139 31 | $137.03 | Short | $2.28 |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 12 69 | 4/1/2016 | 9/14/2016 | $124 11 | $122 59 | Short | $1 52 |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 16 523 | 5/2/2016 | 9/14/2016 | $161 60 | $160 44 | Short | $1 16 |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 19 881 | 6/1/2016 | 9/14/2016 | $194 44 | $192 65 | Short | $1.79 |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 19 219 | 7/1/2016 | 9/14/2016 | $187 96 | $186.81 | Short | $1.15 |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 21 01 | 8/1/2016 | 9/14/2016 | $205.48 | $205 69 | Short | ($0 21) |
| BLACKROCK STRATEGIC INCOME OPP (BASIX) | 22 735 | 9/1/2016 | 9/14/2016 | $222 35 | $222 58 | Short | ($0 23) |
| COLUMBIA CONVERTIBLE (NCIAX) | 52 235 | 9/23/2015 | 9/14/2016 | $912 55 | $928 22 | Short | ($15 67) |
| COLUMBIA CONVERTIBLE (NCIAX) | 158.114 | 12/15/2015 | 9/14/2016 | $2,762 25 | $2,544 05 | Short | $218.20 |
| COLUMBIA CONVERTIBLE (NCIAX) | 191 405 | 12/15/2015 | 9/14/2016 | $3,343 84 | $3,079 71 | Short | $264 13 |
| COLUMBIA CONVERTIBLE (NCIAX) | 20 421 | 3/24/2016 | 9/14/2016 | $356 76 | $319.18 | Short | $37 58 |
| COLUMBIA CONVERTIBLE (NCIAX) | 33 774 | 6/24/2016 | 9/14/2016 | $590 03 | $560 31 | Short | $29.72 |
| VERSUM MATLS INCORPORATED (VSM) | 108 | 7/18/2016 | 10/3/2016 | $2,495 82 | $2,766 19 | Short | ($270 37) |
| VERSUM MATLS INCORPORATED (VSM) | 0 5 | 7/18/2016 | 10/12/2016 | $11 70 | $12 81 | Short | ($1 11) |
| | | | | **$13,163.98** | **$12,898.72** | | **$265.26** |

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|---|---|---|---|---|---|---|---|
| PROSHARES TR PROSHARES ULTRA CONSUMER GOODS | 420 00 | 10/22/2014 | 2/23/2016 | 42,028 48 | 37,453 81 | Long | $4,574 67 |
| AQR LARGE CAP MULTI STYLE FUND CLASS N | 2,957 974 | AVG | 2/23/2016 | 37,093 00 | 38,424 04 | Long | ($1 331 04) |
| PROSHARES TR PROSHARES ULTRA CONSUMER GOODS | 2,649 00 | 10/22/2014 | 8/25/2016 | 107,123 22 | 78,742 17 | Long | $28,381 05 |
| PROSHARES TR PROSHARES ULTRA HEALTH CARE | 1,335 00 | 10/22/2014 | 8/25/2016 | 87,604 12 | 77,396 96 | Long | $10,207 16 |
| PROSHARES TR PROSHARES ULTRA HEALTH CARE | 242 00 | 10/22/2014 | 8/25/2016 | 15,880 30 | 12,868 09 | Long | $3,012 21 |
| FIRST TR IPOX INDEX FD SHS | 1,887 00 | 6/22/2015 | 8/25/2016 | 101,140 99 | 105,728 61 | Long | ($4 587 62) |
| FIRST TR IPOX INDEX FD SHS | 1,200 00 | 4/24/2015 | 8/25/2016 | 64,318 60 | 66,050 31 | Long | ($1,731 71) |
| AQR LARGE CAP MULTI STYLE FUND CLASS N | 21 035 | AVG | 8/25/2016 | 292 39 | 273 25 | Long | $19 14 |
| AQR LARGE CAP MULTI STYLE FUND CLASS N | 38 793 | AVG | 8/25/2016 | 539 22 | 503 93 | Long | $35 29 |
| AQR LARGE CAP MULTI STYLE FUND CLASS N | 46 37 | AVG | 8/25/2016 | 644 54 | 602 35 | Long | $42 19 |
| AQR LARGE CAP MULTI STYLE FUND CLASS N | 6,985 799 | AVG | 8/25/2016 | 97,102 61 | 90,745 45 | Long | $6,357 16 |
| AQR LARGE CAP MULTI STYLE FUND CLASS N | 2,841 912 | AVG | 8/25/2016 | 39,502 58 | 36,916 41 | Long | $2,586 17 |
| AQR LARGE CAP MULTI STYLE FUND CLASS N | 279 466 | AVG | 8/25/2016 | 3,884 58 | 3,630 26 | Long | $254 32 |
| PROSHARES TR PROSHARES ULTRA CONSUMER GOODS | 2,787 00 | 11/21/2014 | 11/15/2016 | 97,440 37 | 91,132 02 | Long | $6,308 35 |
| PROSHARES TR PROSHARES ULTRA CONSUMER GOODS | 1,602 00 | 10/22/2014 | 11/15/2016 | 56,009 86 | 46,420 36 | Long | $9,589 50 |
| PROSHARES TR PROSHARES ULTRA CONSUMER GOODS | 90 00 | 10/22/2014 | 11/15/2016 | 3,146 62 | 2,675 27 | Long | $471 35 |
| | | | | 753,751.48 | 689,563.29 | | $64,188.19 |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| CREDIT SUISSE NASSAU BRH VELOCITYSHARES DAILY INVERSE VIX SHORT TERM ETN | 6,268 00 | 9/17/2015 | 1/4/2016 | 144,161.34 | 198,842 90 | Short | ($54,681 56) |
| UNDISCOVERED MANAGERS BEHAVIORAL VALUE FUND CLASS A | 15 403 | AVG | 2/23/2016 | 785.55 | 885 37 | Short | ($99 82) |
| UNDISCOVERED MANAGERS BEHAVIORAL VALUE FUND CLASS A | 28 72 | AVG | 2/23/2016 | 1,464 72 | 1,650 83 | Short | ($186 11) |
| UNDISCOVERED MANAGERS BEHAVIORAL VALUE FUND CLASS A | 47 921 | AVG | 2/23/2016 | 2,443.97 | 2,754 52 | Short | ($310 55) |
| UNDISCOVERED MANAGERS BEHAVIORAL VALUE FUND CLASS A | 2,549 748 | AVG | 2/23/2016 | 130,037 15 | 146,560 76 | Short | ($16,523 61) |
| PACER FDS TR TRENDPILOT 750 ETF | 5,434 00 | 6/22/2015 | 2/23/2016 | 117,697.87 | 136,828 12 | Short | ($19.130 25) |
| AQR LARGE CAP MULTI STYLE FUND CLASS N | 0 012 | AVG | 8/25/2016 | 0.16 | 0 16 | Short | $0 00 |
| AQR LARGE CAP MULTI STYLE FUND CLASS N | 88 718 | AVG | 8/25/2016 | 1,233.18 | 1,152 45 | Short | $80 73 |
| UBS AG LONDON BRH ETRACS MONTHLY PAY 2XLEVERAGED S&P DIVID INDEX ETN | 1,398 00 | 8/25/2016 | 11/15/2016 | 89,570.75 | 94,679 13 | Short | ($5,108 38) |
| SPDR SER TR S&P SEMICONDUCTOR ETF | 1,204 00 | 2/23/2016 | 11/15/2016 | 63,964.02 | 48,135 92 | Short | $15,828 10 |
| ISHARES TR EDGE MSCI USA MOMENTUM FACTOR ETF | 947 00 | 12/17/2015 | 11/15/2016 | 70,702.63 | 70,288 63 | Short | $414 00 |
| ISHARES TR CORE S&P 500 ETF | 598 00 | 2/23/2016 | 11/15/2016 | 130,678.69 | 115,634 72 | Short | $15,043 97 |
| FIRST TR NASDAQ 100 EQUAL WEIGHTED INDEX ISIN#US3373441050 FD SHS | 3,313 00 | 2/23/2016 | 11/15/2016 | 151,162.61 | 130,796 93 | Short | $20,365 68 |
| | | | | **903,902.64** | **948,210.44** | | **($44,307.80)** |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| PUBLIC SVC ENTERPRISE GROUP INC COM | 650 00 | 08/04/2014 | 03/01/2016 | 27,925 39 | 22,882 60 | Long | $5,042 79 |
| PROCTER & GAMBLE CO COM | 101 00 | 12/07/2012 | 03/01/2016 | 8,202 38 | 7,105 96 | Long | $1,096 42 |
| PRAXAIR INC COM | 160 00 | 11/24/2014 | 03/01/2016 | 16,866 91 | 20,744 80 | Long | ($3 877 89) |
| PRAXAIR INC COM | 143 00 | 11/06/2013 | 03/01/2016 | 15,074 80 | 17,914 54 | Long | ($2,839 74) |
| PRAXAIR INC COM | 78 00 | 06/07/2013 | 03/01/2016 | 8,222 62 | 8,867 04 | Long | ($644 42) |
| PRAXAIR INC COM | 97 00 | 04/11/2013 | 03/01/2016 | 10,225 57 | 10,910 08 | Long | ($684 51) |
| HEWLETT PACKARD ENTERPRISE CO COM | 1,500 00 | 08/12/2014 | 03/01/2016 | 19,814 57 | 27,812 84 | Long | ($7,998 27) |
| DU PONT E I DE NEMOURS & CO COM | 370 00 | 10/20/2014 | 03/01/2016 | 23,292 29 | 23,794 58 | Long | ($502 29) |
| DU PONT E I DE NEMOURS & CO COM | 298 00 | 11/06/2013 | 03/01/2016 | 18,759 73 | 17,125 39 | Long | $1,634 34 |
| DU PONT E I DE NEMOURS & CO COM | 143 00 | 06/07/2013 | 03/01/2016 | 9,002 15 | 7,483 40 | Long | $1,518 75 |
| DU PONT E I DE NEMOURS & CO COM | 27 00 | 12/07/2012 | 03/01/2016 | 1,699 71 | 1,097 10 | Long | $602 61 |
| DU PONT E I DE NEMOURS & CO COM | 193 00 | 07/20/2012 | 03/01/2016 | 12,149 76 | 8,946 26 | Long | $3,203 50 |
| DEERE & CO | 67 00 | 03/03/2014 | 03/01/2016 | 5,434 26 | 5,804 61 | Long | ($370 35) |
| CONOCOPHILLIPS COM | 700 00 | 10/15/2014 | 03/01/2016 | 24,067 93 | 44,929 01 | Long | ($20,861 08) |
| CISCO SYSTEMS INC | 406 00 | 11/06/2013 | 03/01/2016 | 10,886 04 | 9,429 35 | Long | $1,456 69 |
| CISCO SYSTEMS INC | 307 00 | 06/07/2013 | 03/01/2016 | 8,231 56 | 7,507 69 | Long | $723 87 |
| CISCO SYSTEMS INC | 267 00 | 10/04/2012 | 03/01/2016 | 7,159 05 | 5,047 63 | Long | $2,111 42 |
| BLACKROCK INC COM | 160 00 | 08/12/2014 | 03/01/2016 | 51,462 16 | 49,711 60 | Long | $1,750 56 |
| AMGEN INC COM | 270 00 | 05/06/2014 | 03/01/2016 | 39,773 10 | 30,651 61 | Long | $9,121 49 |
| DEERE & CO | 623 00 | 03/03/2014 | 05/25/2016 | 49,944 87 | 53,974 23 | Long | ($4 029 36) |
| APPLIED MATERIALS INC | 946 00 | 03/03/2015 | 08/03/2016 | 24,750 13 | 23,314 17 | Long | $1,435 96 |
| | | | | **392,944.98** | **405,054.49** | | **($12,109.51)** |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| VIACOM INC NEW CL B | 282 00 | 10/13/2015 | 03/01/2016 | 10,539 10 | 13,120 05 | Short | ($2,580 95) |
| VIACOM INC NEW CL B | 500 00 | 08/10/2015 | 03/01/2016 | 18,686 34 | 23,287 50 | Short | ($4 601 16) |
| VIACOM INC NEW CL B | 700 00 | 04/02/2015 | 03/01/2016 | 26,160 88 | 47,344 50 | Short | ($21,183 62) |
| STRYKER CORP | 188 00 | 08/11/2015 | 03/01/2016 | 18,990 12 | 18,972 49 | Short | $17 63 |
| STRYKER CORP | 400 00 | 08/10/2015 | 03/01/2016 | 40,404 52 | 40,895 00 | Short | ($490 48) |
| STARWOOD HOTELS & RESORTS WORLDWIDE INC COM | 500 00 | 11/04/2015 | 03/01/2016 | 35,200 98 | 38,671 50 | Short | ($3 470 52) |
| SPDR S&P 500 ETF TR TR UNIT | 300 00 | 01/06/2016 | 03/01/2016 | 59,366 75 | 59,639 94 | Short | ($273 19) |
| PUBLIC SVC ENTERPRISE GROUP INC COM | 970 00 | 10/13/2015 | 03/01/2016 | 41,673 28 | 41,222 38 | Short | $450 90 |
| PRAXAIR INC COM | 161 00 | 10/13/2015 | 03/01/2016 | 16,972 33 | 17,416 42 | Short | ($444 09) |
| NORDSTROM INC | 500 00 | 10/26/2015 | 03/01/2016 | 26,066 61 | 32,625 05 | Short | ($6 558 44) |
| NORDSTROM INC | 604 00 | 10/13/2015 | 03/01/2016 | 31,488 47 | 41,452 52 | Short | ($9,964 05) |
| NORDSTROM INC | 405 00 | 09/08/2015 | 03/01/2016 | 21,113 95 | 29,988 43 | Short | ($8 874 48) |
| NEXTERA ENERGY INC COM | 84 00 | 04/01/2015 | 03/01/2016 | 9,499 36 | 8,801 94 | Short | $697 42 |
| MICROSOFT CORP COM | 187 00 | 08/11/2015 | 03/01/2016 | 9,771 18 | 8,655 29 | Short | $1,115 89 |
| MCDONALDS CORP | 99 00 | 10/13/2015 | 03/01/2016 | 11,765 90 | 10,215 80 | Short | $1,550 10 |
| M & T BK CORP | 78 00 | 10/13/2015 | 03/01/2016 | 8,174 53 | 9,293 70 | Short | ($1 119 17) |
| M & T BK CORP | 500 00 | 04/06/2015 | 03/01/2016 | 52,400 85 | 62,052 50 | Short | ($9,651 65) |
| KINDER MORGAN INC DEL COM | 1,000 00 | 10/26/2015 | 03/01/2016 | 18,093 10 | 28,275 00 | Short | ($10 181 90) |
| KINDER MORGAN INC DEL COM | 2,172 00 | 10/13/2015 | 03/01/2016 | 39,298 22 | 68,418 00 | Short | ($29,119 78) |
| JOHNSON & JOHNSON COM | 91 00 | 10/13/2015 | 03/01/2016 | 9,743 16 | 8,674 71 | Short | $1,068 45 |
| HEWLETT PACKARD ENTERPRISE CO COM | 856 00 | 10/13/2015 | 03/01/2016 | 11,307 51 | 13,235 52 | Short | ($1,928 01) |
| DU PONT E I DE NEMOURS & CO COM | 208 00 | 10/13/2015 | 03/01/2016 | 13,094 04 | 11,601 51 | Short | $1,492 53 |
| DOW CHEM CO COM | 137 00 | 10/13/2015 | 03/01/2016 | 6,855 81 | 6,360 77 | Short | $495 04 |
| CONOCOPHILLIPS COM | 254 00 | 10/13/2015 | 03/01/2016 | 8,733 21 | 13,971 65 | Short | ($5 238 44) |
| CONOCOPHILLIPS COM | 300 00 | 03/03/2015 | 03/01/2016 | 10,314 83 | 19,493 10 | Short | ($9,178 27) |
| COCA COLA COMPANY | 117 00 | 04/06/2015 | 03/01/2016 | 5,106 17 | 4,837 37 | Short | $268 80 |
| CATERPILLAR INC COM | 580 00 | 10/13/2015 | 03/01/2016 | 39,997 95 | 40,697 85 | Short | ($699 90) |
| BLACKROCK INC COM | 58 00 | 10/13/2015 | 03/01/2016 | 18,655 03 | 18,276 18 | Short | $378 85 |
| AVALONBAY CMNTYS INC COM | 2 00 | 04/06/2015 | 03/01/2016 | 353 35 | 351 73 | Short | $1 62 |
| APPLIED MATERIALS INC | 1,054 00 | 03/03/2015 | 03/01/2016 | 20,334 90 | 25,975 83 | Short | ($5 640 93) |
| AMGEN INC COM | 193 00 | 10/13/2015 | 03/01/2016 | 28,430 40 | 28,542 42 | Short | ($112 02) |
| NEXTERA ENERGY INC COM | 82 00 | 10/13/2015 | 04/01/2016 | 9,641 68 | 8,286 52 | Short | $1,355 16 |
| NEXTERA ENERGY INC COM | 200 00 | 05/13/2015 | 04/01/2016 | 23,516 28 | 19,981 30 | Short | $3,534 98 |
| NEXTERA ENERGY INC COM | 316 00 | 04/01/2015 | 04/01/2016 | 37,155 73 | 33,112 06 | Short | $4,043 67 |
| DEERE & CO | 207 00 | 10/13/2015 | 05/25/2016 | 16,594 85 | 15,917 89 | Short | $676 96 |
| DOW CHEM CO COM | 348 00 | 10/13/2015 | 07/06/2016 | 16,680 49 | 16,157 29 | Short | $523 20 |
| PUTNAM SHORT DURATION INCOME FUND CLASS Y | 4 49 | 07/29/2016 | 08/03/2016 | 45 13 | 45 12 | Short | $0 01 |
| PUTNAM SHORT DURATION INCOME FUND CLASS Y | 3 28 | 06/30/2016 | 08/03/2016 | 32 96 | 32 93 | Short | $0 03 |
| PUTNAM SHORT DURATION INCOME FUND CLASS Y | 5,976 096 | 06/03/2016 | 08/03/2016 | 60,059 76 | 60,000 00 | Short | $59 76 |
| JOHNSON & JOHNSON COM | 129 00 | 10/13/2015 | 08/03/2016 | 15,988 56 | 12,297 12 | Short | $3,691 44 |
| APPLIED MATERIALS INC | 544 00 | 10/13/2015 | 08/03/2016 | 14,232 64 | 8,263 20 | Short | $5,969 44 |
| | | | | **862,540.91** | **966,460.08** | | **($103,919 17)** |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| BAXALTA INC | 1,125 00 | 7/10/2012 | 1/12/2016 | 44,923.46 | 27,864.30 | Long | $17,059 16 |
| BAXTER INTERNATIONAL INC | 1,125.00 | 7/10/2012 | 1/12/2016 | 39,917.08 | 32,698.16 | Long | $7,218.92 |
| EMC CORP. MASS | 3,000.00 | 11/9/2012 | 1/12/2016 | 73,714.04 | 72,985.12 | Long | $728.92 |
| MORGAN STANLEY | 3,200.00 | 2/4/2014 | 1/12/2016 | 89,984.24 | 93,287.68 | Long | ($3,303 44) |
| DISCVER FINANCIAL SERVICES | 555 00 | 8/29/2013 | 4/5/2016 | 28,301 00 | 26,610.14 | Long | $1,690.86 |
| INTEL CORP | 865.00 | | 4/5/2016 | 27,520.07 | 20,308.32 | Long | $7,211.75 |
| BROADRIDGE FINL SOLUTIONS | 275.00 | 3/26/2014 | 4/6/2016 | 16,260.40 | 10,077.57 | Long | $6,182 83 |
| GLOBAL PAYMENTS INC. | 1,260.00 | 4/3/2012 | 4/7/2016 | 90,330.45 | 29,630.79 | Long | $60,699 66 |
| VALERO ENERGY CORP | 620.00 | 11/4/2014 | 4/8/2016 | 39,120.03 | 31,200.44 | | $7,919.59 |
| SHIRE PHARMACEUTICAL GRP PLC ADR | 500.00 | | 4/12/2016 | 90,661.02 | 93,160.04 | Long | ($2,499 02) |
| WISE CNTY VA INDL DEV PUB FACS LEASE TXBL 1.70% | 250,000.00 | 12/5/2012 | 4/22/2016 | 250,000.00 | 248,715.00 | Long | $1,285 00 |
| INGEVITY CORP | 0 33 | 2/5/2014 | 5/23/2016 | 8 43 | 9.82 | Long | ($1 39) |
| INGEVITY CORP | 333.00 | | 5/26/2016 | 9,043 02 | 9,801.88 | Long | ($758 86) |
| WESTROCK CO. | 190 00 | 2/5/2014 | 6/23/2016 | 7,833.17 | 8,613.75 | Long | ($780 58) |
| VISA INC-CLASS A SHARES | 700.00 | | 7/1/2016 | 52,533.64 | 16,201.33 | Long | $36,332.31 |
| VALERO ENERGY CORP | 1,380.00 | | 7/5/2016 | 68,328.99 | 67,441.21 | Long | $887 78 |
| WESTROCK CO. | 1,810.00 | | 7/6/2016 | 65,971.66 | 81,874.02 | Long | ($15,902 36) |
| METLIFE INC | 340.00 | 9/12/2012 | 7/11/2016 | 13,501.85 | 11,970.41 | Long | $1,531.44 |
| METLIFE INC | 1,660.00 | 9/12/2012 | 8/10/2016 | 66,694.02 | 58,443.79 | Long | $8,250.23 |
| AGRIUM INC | 1,000 00 | 6/25/2014 | 8/30/2016 | 94,651 34 | 92,046.45 | Long | $2,604.89 |
| TOYOTA MTR CRD CORP MTN | 100,000.00 | 9/22/2011 | 9/15/2016 | 100,000.00 | 99,947.00 | Long | $53.00 |
| NXP SEMICONDUCTORE NV | 1,125.00 | | 9/29/2016 | 107,293.74 | 93,014.44 | Long | $14,279.30 |
| LEHMAN BRTH HLD | 200,000.00 | | 11/7/2016 | 2 00 | 201,456.72 | Long | ($201,454 72) |
| ADVANSIX INC. | 375.00 | 3/18/2014 | 11/22/2016 | 9.79 | 7.48 | Long | $2.31 |
| ALLEGRAN PLC | 275 00 | | 12/7/2016 | 51,920.30 | 82,331.08 | Long | ($30,410 78) |
| MEDTRONIC PLC | 1,500 00 | | 12/7/2016 | 108,087.04 | 112,244.64 | Long | ($4,157 60) |
| ADVANSIX INC. | 37 00 | | 12/8/2016 | 751 34 | 461.08 | Long | $290.26 |
| L BRANDS INC | 1,200.00 | 5/20/2015 | 12/9/2016 | 88,915 30 | 106,845.00 | Long | ($17,929 70) |
| VANGUARD TOTAL INTL STOCK INDEX 569 | 62,729.91 | | 12/23/2016 | 153,606.65 | 172,034.97 | Long | ($18,428 32) |
| VANGUARD TOTAL INTL STOCK INDEX 569 | 6,377.43 | | 12/23/2016 | 155,992.01 | 177,006.14 | Long | ($21,014 13) |
| | | | | 1,935,876.08 | 2,078,288.77 | | ($142,412.69) |

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| Description (Symbol/CUSIP) | Quantity | Purchase Date | Sale Date | Proceeds | Basis | Time Held | Realized Gain/(Loss)$ |
|---|---|---|---|---|---|---|---|
| NXP SEMICONDUCTORS NV | 375.00 | 10/29/2015 | 9/29/2016 | 35,764.58 | 27,903.94 | Short | $7,860.64 |
| WELLS FARGO & CO. NEW COM STK | 1,325 00 | 4/7/2016 | 10/5/2016 | 59,307.16 | 62,899.94 | Short | ($3,592.78) |
| UTILITIES SELECT SECTOR SPDR | 2,300 00 | | 12/9/2016 | 109,389.06 | 121,708.44 | Short | ($12,319 38) |
| | | | | **204,460.80** | **212,512.32** | | **($8,051.52)** |

| *Description* | *Shares* | *Cost* | *Market Value/ Per Unit* | *Percent Of Total Market* | *Projected Annual Income* | *Current Yield* |
|---|---|---|---|---|---|---|
| ***Equities*** | | | | | | |
| Chubb LTD | 640 | 85,077.60 | 84,556.80<br>132.12 | 0.77% | 1,766.00 | 2.09% |
| AT&T Inc | 2,040 | 86,750.59 | 86,761.20<br>42.53 | 0.79% | 3,998.00 | 4.61% |
| Abbvie Laboratories | 1,200 | 67,212.60 | 75,144.00<br>62.62 | 0.69% | 3,072.00 | 4.09% |
| Albemarle Corporation | 1,000 | 80,867.15 | 86,080.00<br>86.08 | 0.79% | 1,220.00 | 1.42% |
| Alphabet Inc Class C | 85 | 51,755.10 | 65,604.70<br>771.82 | 0.60% | 0.00 | 0.00% |
| Altria Group Inc | 2,200 | 44,352.00 | 148,764.00<br>67.62 | 1.36% | 5,368.00 | 3.61% |
| Amazon Com Inc | 110 | 84,530.51 | 82,485.70<br>749.87 | 0.75% | 0.00 | 0.00% |
| Anheuser Busch Inbev Sa/NV | 775 | 86,374.45 | 81,716.00<br>105.44 | 0.75% | 2,476.00 | 3.03% |
| Apple Computer | 1,225 | 66,218.25 | 141,879.50<br>115.82 | 1.30% | 2,793.00 | 1.97% |
| Bank of America Corp | 4,100 | 67,783.10 | 90,610.00<br>22.10 | 0.83% | 1,230.00 | 1.36% |

| *Description* | *Shares* | *Cost* | *Market Value/ Per Unit* | *Percent Of Total Market* | *Projected Annual Income* | *Current Yield* |
|---|---|---|---|---|---|---|
| Becton Dickinson | 430 | 73,142.48 | 71,186.50<br>165.55 | 0.65% | 1,255.00 | 1.76% |
| Booz Allen Hamilton Holdings | 2,370 | 87,459.49 | 85,485.90<br>36.07 | 0.78% | 1,422.00 | 1.66% |
| Borgwarner, Inc. | 1,945 | 69,398.24 | 76,710.80<br>39.44 | 0.70% | 1,089.00 | 1.42% |
| Broadridge Finl Solutions In | 1,450 | 53,136.26 | 96,135.00<br>66.30 | 0.88% | 1,914.00 | 1.99% |
| CVS Health Corp. | 1,000 | 103,058.60 | 78,910.00<br>78.91 | 0.72% | 2,000.00 | 2.53% |
| Church and Dwight Co Inc | 2,500 | 77,783.78 | 110,475.00<br>44.19 | 1.01% | 1,775.00 | 1.61% |
| Citigroup Inc | 2,000 | 59,554.60 | 118,860.00<br>59.43 | 1.09% | 1,280.00 | 1.08% |
| Comcast Corp-Cl A | 1,240 | 86,076.96 | 85,622.00<br>69.05 | 0.78% | 1,364.00 | 1.59% |
| Dte Energy Company | 670 | 64,991.91 | 66,001.70<br>98 51 | 0.60% | 2,211.00 | 3.35% |
| Diamondback Energy | 330 | 32,913.47 | 33,349.80<br>101.06 | 0.30% | 0.00 | 0.00% |
| Discover Financial Services | 1,345 | 64,187.66 | 96,961.05<br>72.09 | 0.89% | 1,614.00 | 1.66% |
| Dollar General | 1,200 | 59,907.36 | 88,884.00<br>74.07 | 0.81% | 1,200.00 | 1.35% |
| Dr Pepper Snapple Group Inc | 950 | 85,958.09 | 86,136.50<br>90.67 | 0.79% | 2,014.00 | 2.34% |
| Exxon Mobil Corp | 1,000 | 59,369.88 | 90,260.00<br>90.26 | 0.82% | 3,000.00 | 3.32% |
| Fidelity National Info Serv | 825 | 52,968.71 | 62,403.00<br>75.64 | 0.57% | 858.00 | 1.37% |

| *Description* | *Shares* | *Cost* | *Market Value/ Per Unit* | *Percent Of Total Market* | *Projected Annual Income* | *Current Yield* |
|---|---|---|---|---|---|---|
| General Dynamics Corp | 675 | 101,388.04 | 116,545.50<br>172.66 | 1.06% | 2,052.00 | 1.76% |
| General Electric Co | 4,000 | 100,232.84 | 126,400.00<br>31.60 | 1.15% | 3,840.00 | 3.04% |
| Global Payments Inc. | 1,440 | 33,863.76 | 99,950.40<br>69.41 | 0.91% | 57.00 | 0.06% |
| Home Depot Inc | 875 | 101,018.41 | 117,320.00<br>134.08 | 1.07% | 2,415.00 | 2.06% |
| Honeywell International Inc | 940 | 87,441.93 | 108,899.00<br>115.85 | 0.99% | 2,500.00 | 2.30% |
| Hormel Foods Inc. | 2,650 | 93,340.94 | 92,246.50<br>34.81 | 0.84% | 1,802.00 | 1.95% |
| Intel Corp | 2,135 | 45,761.60 | 77,436.45<br>36.27 | 0.71% | 2,220.00 | 2.87% |
| Intercontinental Exchange Group Inc | 2,625 | 108,410.11 | 148,102.50<br>56.42 | 1.35% | 1,785.00 | 1.21% |
| Johnson & Johnson | 1,100 | 72,523.78 | 126,731.00<br>115.21 | 1.16% | 3,520.00 | 2.78% |
| McKesson Corp | 350 | 25,924.49 | 49,157.50<br>140.45 | 0.45% | 392.00 | 0.80% |
| Oracle Corporation | 1,780 | 69,594.46 | 68,441.00<br>38.45 | 0.62% | 1,068.00 | 1.56% |
| PNC Financial Services Group, Inc. | 1,000 | 81,883.88 | 116,960.00<br>116.96 | 1.07% | 2,200.00 | 1.88% |
| Parsley Energy | 920 | 32,532.86 | 32,420.80<br>35.24 | 0.30% | 0.00 | 0.00% |
| Pepsico, Inc. | 1,050 | 57,434.28 | 109,861.50<br>104.63 | 1.00% | 3,160.00 | 2.88% |
| Pfizer Corp. | 3,500 | 106,245.50 | 113,680.00<br>32.48 | 1.04% | 4,480.00 | 3.94% |

| *Description* | *Shares* | *Cost* | *Market Value/ Per Unit* | *Percent Of Total Market* | *Projected Annual Income* | *Current Yield* |
|---|---|---|---|---|---|---|
| Schlumberger, LTD. | 560 | 43,366.12 | 47,012.00<br>83.95 | 0.43% | 1,120.00 | 2.38% |
| Sherwin Williams Co | 320 | 86,929.70 | 85,996.80<br>268.74 | 0.79% | 1,075.00 | 1.25% |
| TJX Companies Inc. | 1,500 | 109,246.41 | 112,695.00<br>75.13 | 1.03% | 1,560.00 | 1.38% |
| Texas Instruments, Inc. | 1,190 | 85,575.04 | 86,834.30<br>72.97 | 0.79% | 2,380.00 | 2.74% |
| 3M Company | 700 | 52,460.40 | 124,999.00<br>178.57 | 1.14% | 3,108.00 | 2.49% |
| Unilever PLC Sponsored ADR | 2,000 | 85,517.20 | 81,400.00<br>40.70 | 0.74% | 2,764.00 | 3.40% |
| Vanguard Small-Cap Idx Fd Inst Shs Fund # 857 | 7,655.429 | 212,671.62 | 472,875.85<br>61 77 | 4.32% | 7,111.00 | 1.50% |
| Verizon Communications | 1,225 | 35,991.64 | 65,390.50<br>53.38 | 0.60% | 2,829.00 | 4.33% |
| Visa Inc- Class A Shares | 900 | 20,511.49 | 70,218.00<br>78.02 | 0.64% | 594.00 | 0.85% |
| Wec Energy Group Inc | 1,750 | 102,756.73 | 102,637.50<br>58.65 | 0.94% | 3,640.00 | 3.55% |
| ***Total Equities*** | | ***$ 3,703,452.07*** | ***$ 4,945,194.25*** | ***45.15%*** | ***$ 102,591.00*** | ***2.07%*** |

JLH Foundation
December 31, 2016
76-0668991

# Equities

## Stocks

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **ABBVIE INCORPORATED (ABBV)** | 526.000 | 12/05/2016 | $60.958 | $32,064 01 | $62.620 | **$32,938.12** | 4.09% | $1,346.56 | 2.73% | $874.11 |
| **AIR PRODUCTS & CHEMICALS INCORPORATED (APD)** | 235 000 | | $136 509 | $32,079 51 | $143 820 | **$33,797.70** | 2 39% | $808 40 | 5 36% | $1,718 19 |
| **LOT 1** | 217 000 | 07/18/2016 | $136 453 | $29,610 31 | $143 820 | $31,208 94 | 2 39% | $746.48 | 5 40% | $1,598 63 |
| **LOT 2** | 18 000 | 10/04/2016 | $137 178 | $2,469.20 | $143 820 | $2,588 76 | 2 39% | $61 92 | 4.84% | $119 56 |
| **APPLE INCORPORATED (AAPL)** | 336 000 | | $70 290 | $23,617 44 | $115.820 | **$38,915.52** | 1.97% | $766 08 | 64 77% | $15,298 08 |
| **LOT 1** | 196 000 | 09/24/2013 | $70.129 | $13,745 20 | $115.820 | $22,700 72 | 1 97% | $446 88 | 65 15% | $8,955 52 |
| **LOT 2** | 56 000 | 10/02/2013 | $70 000 | $3,920 00 | $115 820 | $6,485.92 | 1 97% | $127.68 | 65 46% | $2,565.92 |
| **LOT 3** | 84.000 | 10/14/2013 | $70 860 | $5,952.24 | $115 820 | $9,728 88 | 1 97% | $191.52 | 63 45% | $3,776.64 |
| **CME GROUP INCORPORATED (CME)** | 318 000 | | $66 493 | $21,144 91 | $115.350 | **$36,681.30** | 2.08% | $763.20 | 73 48% | $15,536 39 |
| **LOT 1** | 70.000 | 03/06/2013 | $61.930 | $4,335 10 | $115.350 | $8,074 50 | 2.08% | $168 00 | 86 26% | $3,739 40 |
| **LOT 2** | 61 000 | 03/20/2013 | $62 017 | $3,783 02 | $115 350 | $7,036 35 | 2.08% | $146.40 | 86 00% | $3,253 33 |
| **LOT 3** | 64 000 | 04/03/2013 | $60 185 | $3,851 84 | $115.350 | $7,382.40 | 2 08% | $153 60 | 91.66% | $3,530 56 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 4** | 45 000 | 10/02/2013 | $73 125 | $3,290 63 | $115 350 | $5,190 75 | 2 08% | $108 00 | 57 74% | $1,900 12 |
| **LOT 5** | 78 000 | 10/14/2013 | $75 440 | $5,884 32 | $115 350 | $8,997 30 | 2 08% | $187 20 | 52 90% | $3,112.98 |
| **CARNIVAL CORPORATION PAIRED CTF (PANAMA) (CCL)** | 561.000 | 01/22/2016 | $49.668 | $27,863.47 | $52 060 | **$29,205.66** | 2 69% | $785 40 | 4 82% | $1,342 19 |
| **CHEVRON CORPORATION NEW (CVX)** | 202 000 | | $119 211 | $24,080 63 | $117 700 | **$23,775.40** | 3 67% | $872 64 | (1 27)% | $(305 23) |
| **LOT 1** | 36 000 | 03/06/2013 | $118 440 | $4,263 84 | $117 700 | $4,237 20 | 3 67% | $155 52 | (0 62)% | $(26 64) |
| **LOT 2** | 31.000 | 03/20/2013 | $120 720 | $3,742 32 | $117 700 | $3,648 70 | 3 67% | $133 92 | (2 50)% | $(93 62) |
| **LOT 3** | 32 000 | 04/03/2013 | $117 810 | $3,769.92 | $117 700 | $3,766.40 | 3 67% | $138 24 | (0.09)% | $(3.52) |
| **LOT 4** | 46.000 | 10/02/2013 | $120 740 | $5,554 04 | $117 700 | $5,414 20 | 3 67% | $198 72 | (2 52)% | $(139 84) |
| **LOT 5** | 57 000 | 10/14/2013 | $118 430 | $6,750 51 | $117 700 | $6,708 90 | 3 67% | $246 24 | (0.62)% | $(41 61) |
| **JPMORGAN CHASE & COMPANY (JPM)** | 461 000 | 02/10/2014 | $56 598 | $26,091.45 | $86.290 | **$39,779.69** | 2.23% | $885 12 | 52 46% | $13,688.24 |
| **KRAFT HEINZ COMPANY (KHC)** | 487 000 | | $51.605 | $25,131.83 | $87 320 | **$42,524.84** | 2 75% | $1,168 80 | 69 21% | $17,393 01 |
| **LOT 1** | 88 000 | 03/06/2013 | $49 360 | $4,343 68 | $87 320 | $7,684 16 | 2 75% | $211 20 | 76 90% | $3,340.48 |
| **LOT 2** | 74 000 | 03/20/2013 | $51 390 | $3,802 86 | $87 320 | $6,461 68 | 2 75% | $177 60 | 69.92% | $2,658.82 |
| **LOT 3** | 75 000 | 04/03/2013 | $51.630 | $3,872 25 | $87 320 | $6,549 00 | 2 75% | $180 00 | 69 13% | $2,676.75 |
| **LOT 4** | 98 000 | 10/02/2013 | $52 390 | $5,134 22 | $87 320 | $8,557 36 | 2 75% | $235 20 | 66.67% | $3,423 14 |
| **LOT 5** | 122 000 | 10/14/2013 | $52 328 | $6,384 02 | $87 320 | $10,653 04 | 2 75% | $292 80 | 66 87% | $4,269 02 |
| **LOT 6** | 30 000 | 02/10/2014 | $53.160 | $1,594 80 | $87 320 | $2,619 60 | 2 75% | $72 00 | 64 26% | $1,024 80 |
| **MARATHON PETE CORPORATION (MPC)** | 712.000 | | $37.149 | $26,450 24 | $50 350 | **$35,849.20** | 2 86% | $1,025 28 | 35 53% | $9,398 96 |
| **LOT 1** | 96 000 | 03/06/2013 | $44.405 | $4,262 88 | $50 350 | $4,833 60 | 2 86% | $138 24 | 13 39% | $570.72 |
| **LOT 2** | 82 000 | 03/20/2013 | $45 905 | $3,764 21 | $50 350 | $4,128.70 | 2.86% | $118 08 | 9 68% | $364 49 |
| **LOT 3** | 96 000 | 04/03/2013 | $40 435 | $3,881 76 | $50 350 | $4,833 60 | 2 86% | $138 24 | 24 52% | $951.84 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est. Income Yield | Est. Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 4** | 260 000 | 10/02/2013 | $32 905 | $8,555 25 | $50 350 | $13,091 00 | 2 86% | $374 40 | 53 02% | $4,535 75 |
| **LOT 5** | 178 000 | 10/14/2013 | $33 630 | $5,986 14 | $50 350 | $8,962 30 | 2 86% | $256.32 | 49 72% | $2,976 16 |
| **MERCK & COMPANY INCORPORATED (MRK)** | 528.000 | 12/05/2016 | $60.447 | $31,916.07 | $58.870 | **$31,083.36** | 3.19% | $992 64 | (2 61)% | $(832 71) |
| **MICROSOFT CORPORATION (MSFT)** | 697 000 | | $30.607 | $21,332 90 | $62 140 | **$43,311.58** | 2 51% | $1,087 32 | 103 03% | $21,978 68 |
| **LOT 1** | 155 000 | 03/06/2013 | $27 950 | $4,332 23 | $62.140 | $9,631.70 | 2.51% | $241 80 | 122 33% | $5,299 47 |
| **LOT 2** | 133 000 | 03/20/2013 | $28 370 | $3,773 21 | $62 140 | $8,264 62 | 2 51% | $207 48 | 119.03% | $4,491 41 |
| **LOT 3** | 134 000 | 04/03/2013 | $28.710 | $3,847 13 | $62 140 | $8,326 76 | 2 51% | $209.04 | 116.44% | $4,479 63 |
| **LOT 4** | 100 000 | 10/02/2013 | $33 603 | $3,360 33 | $62 140 | $6,214 00 | 2 51% | $156 00 | 84 92% | $2,853 67 |
| **LOT 5** | 175 000 | 10/14/2013 | $34 400 | $6,020 00 | $62 140 | $10,874 50 | 2 51% | $273 00 | 80 64% | $4,854 50 |
| **MICROCHIP TECHNOLOGY INCORPORATED (MCHP)** | 592 000 | | $34.966 | $20,700.02 | $64.150 | **$37,976.80** | 2 25% | $853 66 | 83 46% | $17,276 78 |
| **LOT 1** | 118.000 | 03/06/2013 | $33 450 | $3,947 06 | $64 150 | $7,569 70 | 2 25% | $170 14 | 91 78% | $3,622 64 |
| **LOT 2** | 104.000 | 03/20/2013 | $33 105 | $3,442 89 | $64 150 | $6,671 60 | 2.25% | $149 96 | 93 78% | $3,228 71 |
| **LOT 3** | 109 000 | 04/03/2013 | $32 020 | $3,490 16 | $64 150 | $6,992.35 | 2.25% | $157 17 | 100 34% | $3,502 19 |
| **LOT 4** | 110.000 | 10/02/2013 | $37 277 | $4,100 49 | $64 150 | $7,056 50 | 2 25% | $158 61 | 72.09% | $2,956.01 |
| **LOT 5** | 151 000 | 10/14/2013 | $37 877 | $5,719 42 | $64 150 | $9,686 65 | 2.25% | $217 73 | 69.36% | $3,967 23 |
| **ORACLE CORPORATION (ORCL)** | 780.000 | 07/18/2016 | $41 669 | $32,501 82 | $38 450 | **$29,991.00** | 1 56% | $468 00 | (7 73)% | $(2,510.82) |
| **PEPSICO INCORPORATED (PEP)** | 285 000 | 10/17/2016 | $106 887 | $30,462 74 | $104.630 | **$29,819.55** | 2 88% | $857 85 | (2 11)% | $(643.19) |
| **PFIZER INCORPORATED (PFE)** | 822 000 | | $28 736 | $23,620 69 | $32 480 | **$26,698.56** | 3 94% | $1,052.16 | 13 03% | $3,077 87 |
| **LOT 1** | 155.000 | 03/06/2013 | $27.958 | $4,333.49 | $32.480 | $5,034.40 | 3.94% | $198.40 | 16.17% | $700 91 |
| **LOT 2** | 133 000 | 03/20/2013 | $28 278 | $3,760 97 | $32 480 | $4,319 84 | 3 94% | $170 24 | 14.86% | $558.87 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est. Income Yield | Est Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 3** | 134 000 | 04/03/2013 | $28 948 | $3,879 03 | $32 480 | $4,352 32 | 3 94% | $171 52 | 12 20% | $473 29 |
| **LOT 4** | 400 000 | 10/14/2013 | $29 118 | $11,647.20 | $32 480 | $12,992 00 | 3 94% | $512.00 | 11 55% | $1,344 80 |
| **TIME WARNER INCORPORATED COM NEW (TWX)** | 416.000 | 07/18/2016 | $77 999 | $32,447 46 | $96 530 | **$40,156.48** | 1 67% | $669 76 | 23.76% | $7,709.02 |
| **UNION PAC CORPORATION (UNP)** | 304 000 | | $73.451 | $22,328.99 | $103 680 | **$31,518.72** | 2.33% | $735.68 | 41 16% | $9,189 73 |
| **LOT 1** | 62.000 | 03/06/2013 | $69 745 | $4,324 19 | $103 680 | $6,428.16 | 2 33% | $150 04 | 48 66% | $2,103 97 |
| **LOT 2** | 54 000 | 03/20/2013 | $69.530 | $3,754.62 | $103 680 | $5,598 72 | 2.33% | $130.68 | 49 12% | $1,844 10 |
| **LOT 3** | 54 000 | 04/03/2013 | $69 620 | $3,759 48 | $103 680 | $5,598 72 | 2 33% | $130 68 | 48 92% | $1,839 24 |
| **LOT 4** | 56 000 | 10/02/2013 | $77 925 | $4,363 80 | $103 680 | $5,806.08 | 2 33% | $135 52 | 33 05% | $1,442 28 |
| **LOT 5** | 78 000 | 10/14/2013 | $78 550 | $6,126 90 | $103 680 | $8,087.04 | 2 33% | $188 76 | 31.99% | $1,960.14 |
| **VERIZON COMMUNICATIONS INCORPORATED (VZ)** | 508 000 | | $47 505 | $24,132 45 | $53.380 | **$27,117.04** | 4 33% | $1,173.48 | 12 37% | $2,984 59 |
| **LOT 1** | 91 000 | 03/06/2013 | $47 369 | $4,310 58 | $53 380 | $4,857.58 | 4 33% | $210 21 | 12 69% | $547.00 |
| **LOT 2** | 77.000 | 03/20/2013 | $48.760 | $3,754.52 | $53.380 | $4,110.26 | 4.33% | $177.87 | 9.47% | $355.74 |
| **LOT 3** | 79 000 | 04/03/2013 | $48 970 | $3,868 63 | $53 380 | $4,217 02 | 4.33% | $182 49 | 9 01% | $348 39 |
| **LOT 4** | 130.000 | 10/02/2013 | $46 638 | $6,062.94 | $53 380 | $6,939 40 | 4 33% | $300 30 | 14 46% | $876 46 |
| **LOT 5** | 131 000 | 10/14/2013 | $46 838 | $6,135 78 | $53.380 | $6,992 78 | 4 33% | $302.61 | 13.97% | $857 00 |
| **EATON CORPORATION PLC SHS (IRELAND) (ETN)** | 443 000 | 05/03/2016 | $63.200 | $27,997 60 | $67 090 | **$29,720.87** | 3.40% | $1,010 04 | 6 16% | $1,723.27 |
| **CHUBB LIMITED (SWITZERLAND) (CB)** | 254 000 | | $90 757 | $23,052 23 | $132.120 | **$33,558.48** | 2 09% | $701 04 | 45 58% | $10,506 25 |
| **LOT 1** | 49 000 | 03/06/2013 | $87 089 | $4,267 36 | $132 120 | $6,473 88 | 2 09% | $135 24 | 51.71% | $2,206 52 |
| **LOT 2** | 43 000 | 03/20/2013 | $88.500 | $3,805 49 | $132 120 | $5,681.16 | 2 09% | $118 68 | 49.29% | $1,875.67 |
| **LOT 3** | 44.000 | 04/03/2013 | $88 160 | $3,879 04 | $132 120 | $5,813 28 | 2 09% | $121 44 | 49.86% | $1,934 24 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 4 | 51 000 | 10/02/2013 | $93 697 | $4,778.55 | $132 120 | $6,738.12 | 2 09% | $140.76 | 41.01% | $1,959 57 |
| LOT 5 | 67 000 | 10/14/2013 | $94.355 | $6,321 79 | $132.120 | $8,852 04 | 2 09% | $184 92 | 40 02% | $2,530 25 |
| **Stocks Total** | | | | $529,016 46 | | **$674,419.87** | 2 67% | $18,023 11 | 27 49% | $145,403 41 |
| **Equities Total** | | | | **$529,016.46** | | **$674,419.87** | **2.67%** | **$18,023.11** | **27.49%** | **$145,403.41** |

## Mutual Funds

### Open-End Funds

| Description (Symbol) | Quantity | Amount Invested | Total Cost Basis | Price | Value | Est Income Yield | Est Annual Income | Investment Gain or (Loss) | Cost Basis Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|
| HARTFORD BALANCED INCOME FUND CLASS I N/L (HBLIX) | 7,373.146 | $100,000 00 | $102,481 02 | $13.830 | **$101,970.61** | 2.75% | $2,809 17 | $1,970 61<br>1 97% | $(510.41)<br>(0.50)% |
| LORD ABBETT BOND DEBENTURE FUND CLASS F N/L (LBDFX) | 12,889 310 | $100,000 00 | $100,933 89 | $7 920 | **$102,083.34** | 4 65% | $4,743 27 | $2,083 34<br>2 08% | $1,149.45<br>1 14% |
| **Open-End Funds Total** | | $200,000 00 | $203,414 91 | | **$204,053.95** | 3 70% | $7,552 44 | $4,053 95 | $639 04 |
| **Mutual Funds Total** | | | **$203,414.91** | | **$204,053.95** | **3.70%** | **$7,552.44** | | **$639.04** |

**Portfolio Total** **$888,724.34**

| | | | |
|---|---|---|---|
| Equities Cost | 529,016.46 | Equities FMV | 674,419.87 |
| Mutual Funds Cost | 203,414.91 + | Mutual Funds FMV | 204,053.95 + |
| | -------------- | | -------------- |
| Total Cost Basis | 732,431.37 = | Total FMV | 878,473.82 = |



Attachment 3-1

| Description | Quantity | Market Price | Market Value | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|
| **Mutual Funds 12.00% of Portfolio** | | | | | |
| AQR STYLE PREMIA ALTERNATIVE FUND CLASS I<br>Security Identifier: QSPIX<br>CUSIP: 00203H420<br>Open End Fund<br>Dividend Option: Reinvest, Capital Gains Option: Reinvest | 6,909.340 | 9.9200 | 68,540.65 | 1,195.13 | 1.74% |
| DOUBLELINE SHILLER ENHANCED CAPE FUND CLASS I<br>Security Identifier: DSEEX<br>CUSIP: 258620822<br>Open End Fund<br>Dividend Option: Reinvest, Capital Gains Option: Reinvest | 10,604.979 | 13.7300 | 145,606.36 | 3,152.07 | 2.16% |
| **Total Mutual Funds** | | | $214,147.01 | $4,347.20 | |

| Description | Quantity | Market Price | Market Value | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|
| **Exchange-Traded Products 87.00% of Portfolio** | | | | | |
| CLAYMORE EXCHANGE TRADED FD TR 2 GUGGENHEIM TOTAL RETURN BD ETF<br>Security Identifier: GTO<br>CUSIP: 18385P705<br>Dividend Option: Cash; Capital Gains Option: Cash | 3,470.000 | 50.5800 | 175,512.60 | 4,707.81 | 2.68% |
| FIRST TR EXCHANGE-TRADED FD II INDLS PROD DURABL ALPHADEX FD ANNUAL<br>Security Identifier: FXR<br>CUSIP: 33734X150<br>Dividend Option: Cash; Capital Gains Option: Cash | 4,228.000 | 32.8800 | 139,016.64 | 716.22 | 0.51% |
| ISHARES TR NASDAQ BIOTECHNOLOGY ETF<br>Security Identifier: IBB<br>CUSIP: 464287556<br>Dividend Option: Cash; Capital Gains Option: Cash | 470.000 | 265.3800 | 124,728.60 | 231.56 | 0.18% |
| PROSHARES TR PROSHARES ULTRA HEALTH CARE<br>Security Identifier: RXL<br>CUSIP: 74347R735<br>Dividend Option: Cash; Capital Gains Option: Cash | 5,543.000 | 60.1300 | 333,300.59 | 406.01 | 0.12% |



Attachment 5-1

| Description | Quantity | Market Price | Market Value | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|
| **Exchange-Traded Products** *(continued)* | | | | | |
| PROSHARES TR PROSHARES ULTRA CONSUMER SERVICES<br>Security Identifier: UCC<br>CUSIP: 74347R750<br>Dividend Option: Cash; Capital Gains Option: Cash | 755.000 | 114.8500 | 86,711.75 | 184.34 | 0.21% |
| RYDEX ETF TR GUGGENHEIM S&P 500 EQUAL WEIGHT ETF<br>Security Identifier: RSP<br>CUSIP: 78355W106<br>Dividend Option. Cash; Capital Gains Option: Cash | 1,957.000 | 86.6400 | 169,554.48 | 2,028.96 | 1.19% |
| SPDR SER TR S&P 600 SMALL CAP VALUE ETF<br>Security Identifier: SLYV<br>CUSIP: 78464A300<br>Dividend Option. Cash; Capital Gains Option. Cash | 1,186.000 | 119.0100 | 141,145.86 | 1,919.30 | 1.35% |
| SPDR SER TR S&P 400 MID CAP VALUE ETF<br>Security Identifier: MDYV<br>CUSIP: 78464A839<br>Dividend Option: Cash; Capital Gains Option: Cash | 925.000 | 93.9600 | 86,913.00 | 1,590.76 | 1.83% |
| SPDR SER TR S&P SEMICONDUCTOR ETF<br>Security Identifier: XSD<br>CUSIP: 78464A862<br>Dividend Option: Cash; Capital Gains Option: Cash | 3,216.000 | 56.1100 | 180,449.76 | 1,146.37 | 0.63% |
| UBS AG LONDON BRH ETRACS MONTHLY PAY 2XLEVERAGED S&P DIVID INDEX ETN<br>Security Identifier: SDYL<br>CUSIP: 90267L409<br>Dividend Option: Cash, Capital Gains Option. Cash | 1,296.000 | 68.0200 | 88,153.92 | 4,437.63 | 5.03% |
| **Total Exchange-Traded Products** | | | **$1,525,487.20** | **$17,368.96** | |

| | |
|---|---|
| Total Equities FMV | 1,739,634.21 |
| Unrealized Gain/Loss | 89,961.22 - |
| Other Adjustment | 3,061.51 - |
| | ----------------- |
| Total Cost Basis | 1,646,611.48 = |

| | |
|---|---|
| Mutual Funds FMV | 214,147.01 |
| Exchange-Traded Products FMV | 1,525,487.2 + |
| | -------------- |
| Total Equities FMV | 1,739,634.21 = |

# Equities

## REITs / Tangibles †

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est. Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **ENTERPRISE PRODUCTS PARTNERS L P (EPD)** | 4,000.000 | | $17.250 | $68,999.97 | $27.040 | **$108,160.00** | 5.99% | $6,480 00 | 56.75% | $39,160 03 |
| **LOT 1** | 3,000 000 | 02/16/2010 | $16 333 | $48,997 78 | $27 040 | $81,120 00 | 5 99% | $4,860 00 | 65 56% | $32,122 22 |
| **LOT 2** | 1,000 000 | 03/15/2011 | $20 002 | $20,002 19 | $27 040 | $27,040 00 | 5 99% | $1,620 00 | 35 19% | $7,037 81 |
| **SPECTRA ENERGY PARTNERS LP (SEP)** | 1,400.000 | 02/16/2010 | $28 599 | $40,038 26 | $45.840 | **$64,176.00** | 5 90% | $3,787 00 | 60.29% | $24,137 74 |
| **WELLTOWER INCORPORATED REIT (HCN)** | 1,000 000 | 08/12/2011 | $42 100 | $42,100.23 | $66 930 | **$66,930.00** | 5 14% | $3,440 00 | 58 98% | $24,829 77 |
| **WILLIAMS PARTNERS L P NEW COM UNIT LTD PAR (WPZ)** | 1,126.000 | 02/16/2010 | $44.121 | $49,680 03 | $38 030 | **$42,821.78** | 8 94% | $3,828 40 | (13 80)% | $(6,858 25) |

# Equities (continued)

## REITs / Tangibles (continued) †

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est. Income Yield | Est Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **TEEKAY LNG PARTNERS L P PRTNRSP UNITS (MARSHALL ISLANDS) (TGP)** | 1,000 000 | 03/15/2011 | $38 718 | $38,718.15 | $14 450 | **$14,450.00** | 3 88% | $560 00 | (62 68)% | $(24,268.15) |
| **REITs / Tangibles Total** | | | | $239,536.64 | | **$296,537.78** | 6 10% | $18,095 40 | 23 80% | $57,001 14 |

# Mutual Funds

## Closed-End Funds

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est Income Yield | Est. Annual Income | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|
| **ROYCE VALUE TR INCORPORATED (RVT)** | 6,114.000 | | $12.549 | $76,724 78 | $13 390 | **$81,866.46** | 7.62% | $6,236 28 | $5,141.68 |
| **LOT 1** | 5,995 137 | 09/14/2016 | $12 528 | $75,105 86 | $13.390 | $80,274 88 | 7.62% | $6,115 04 | $5,169.02 |
| **LOT 2** | 118 863 | Reinvests | $13 620 | $1,618.92 | $13 390 | $1,591 58 | 7 62% | $121 24 | $(27 34) |
| **Closed-End Funds Total** | | | | $76,724 78 | | **$81,866.46** | 7 62% | $6,236 28 | $5,141 68 |
| **Mutual Funds Total** | | | | **$76,724.78** | | **$81,866.46** | **7.62%** | **$6,236.28** | **$5,141.68** |

```
Equities Cost                      239,536.64
Mutual Funds Cost                   76,724.78 +
                               ---------------
Total Cost Before Adjustment       316,261.42 =
Partnership Adjustment                174,202 -
                               ---------------
Total Cost Basis                   142,059.42 =

Equities FMV         296,537.78
Mutual Funds FMV      81,866.46 +
                 ---------------
Total FMV            378,404.24 =
```

# Equities

## Stocks

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est. Income Yield | Est. Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **AIA GROUP LIMITED SPONSORED ADR (HONG KONG) (AAGIY)** | 139 000 | | $19.814 | $2,754.18 | $22.572 | **$3,137.51** | 1.52% | $47 54 | 13.92% | $383 33 |
| **LOT 1** | 4.000 | 05/30/2013 | $17 870 | $71.48 | $22.572 | $90.29 | 1.52% | $1.37 | 26.32% | $18.81 |
| **LOT 2** | 44 000 | 05/31/2013 | $18 085 | $795.74 | $22.572 | $993 17 | 1 52% | $15 05 | 24 81% | $197 43 |
| **LOT 3** | 25 000 | 10/10/2013 | $19 500 | $487 50 | $22 572 | $564 30 | 1 52% | $8 55 | 15 75% | $76 80 |
| **LOT 4** | 21.000 | 01/10/2014 | $19 484 | $409 16 | $22 572 | $474.01 | 1.52% | $7 18 | 15 85% | $64 85 |
| **LOT 5** | 28 000 | 07/29/2014 | $21.410 | $599.48 | $22.572 | $632 02 | 1 52% | $9 58 | 5 43% | $32 54 |
| **LOT 6** | 8.000 | 03/11/2015 | $24 260 | $194 08 | $22 572 | $180 58 | 1 52% | $2 74 | (6 96)% | $(13 50) |
| **LOT 7** | 9 000 | 03/16/2016 | $21 860 | $196 74 | $22 572 | $203 15 | 1 52% | $3 08 | 3 26% | $6 41 |
| **ACADIA HEALTHCARE COMPANY INCORPORATED (ACHC)** | 38.000 | | $53 249 | $2,023 48 | $33 100 | **$1,257.80** | | | (37 84)% | $(765 68) |
| **LOT 1** | 26 000 | 03/24/2016 | $52 782 | $1,372 33 | $33 100 | $860 60 | | | (37 29)% | $(511 73) |
| **LOT 2** | 4.000 | 03/28/2016 | $53 170 | $212 68 | $33 100 | $132.40 | | | (37.75)% | $(80.28) |
| **LOT 3** | 8.000 | 07/01/2016 | $54 809 | $438 47 | $33 100 | $264 80 | | | (39 61)% | $(173 67) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **AETNA INCORPORATED NEW (AET)** | 30 000 | | $114 011 | $3,420.32 | $124 010 | **$3,720.30** | 0 81% | $30 00 | 8 77% | $299 98 |
| **LOT 1** | 29.000 | 05/19/2015 | $114 048 | $3,307 39 | $124 010 | $3,596 29 | 0 81% | $29 00 | 8 73% | $288 90 |
| **LOT 2** | 1 000 | 03/16/2016 | $112 930 | $112 93 | $124 010 | $124 01 | 0.81% | $1 00 | 9 81% | $11.08 |
| **AKZO NOBEL NV SPONSORED ADR (NETHERLANDS) (AKZOY)** | 198.000 | | $22 212 | $4,397 98 | $20 881 | **$4,134.44** | 2 26% | $93.26 | (5.99)% | $(263 54) |
| **LOT 1** | 84 000 | 03/04/2013 | $21 500 | $1,806 00 | $20 881 | $1,754.00 | 2 26% | $39 56 | (2 88)% | $(52 00) |
| **LOT 2** | 16 000 | 05/03/2013 | $20.950 | $335.20 | $20.881 | $334 10 | 2 26% | $7 54 | (0 33)% | $(1 10) |
| **LOT 3** | 38.000 | 10/10/2013 | $21 700 | $824 60 | $20 881 | $793 48 | 2.26% | $17 90 | (3 77)% | $(31 12) |
| **LOT 4** | 35.000 | 07/29/2014 | $24 600 | $861 00 | $20 881 | $730 84 | 2.26% | $16 49 | (15 12)% | $(130 16) |
| **LOT 5** | 14 000 | 03/11/2015 | $24 200 | $338 80 | $20 881 | $292 33 | 2 26% | $6 59 | (13 72)% | $(46 47) |
| **LOT 6** | 11 000 | 03/16/2016 | $21 125 | $232 38 | $20 881 | $229 69 | 2.26% | $5 18 | (1 16)% | $(2 69) |
| **ALIBABA GROUP HLDG LIMITED SPONSORED ADS (CAYMAN ISLANDS) (BABA)** | 36 000 | | $74 294 | $2,674 59 | $87 810 | **$3,161.16** | | | 18 19% | $486 57 |
| **LOT 1** | 5 000 | 04/15/2015 | $84.410 | $422 05 | $87 810 | $439 05 | | | 4 03% | $17 00 |
| **LOT 2** | 10 000 | 02/03/2016 | $63 342 | $633 42 | $87 810 | $878 10 | | | 38 63% | $244 68 |
| **LOT 3** | 9.000 | 05/03/2016 | $75 918 | $683 26 | $87 810 | $790 29 | | | 15 66% | $107 03 |
| **LOT 4** | 12 000 | 06/14/2016 | $77 988 | $935 86 | $87 810 | $1,053 72 | | | 12 59% | $117 86 |
| **ALIGN TECHNOLOGY INCORPORATED (ALGN)** | 26 000 | 01/07/2015 | $59 238 | $1,540 19 | $96.130 | **$2,499.38** | | | 62.28% | $959 19 |
| **ALLSTATE CORPORATION (ALL)** | 12 000 | 05/19/2015 | $68 677 | $824 12 | $74.120 | **$889.44** | 1 78% | $15 84 | 7.93% | $65 32 |
| **ALPHABET INCORPORATED CAP STK CLASS C (GOOG)** | 4.000 | | $491.008 | $1,964.03 | $771.820 | **$3,087.28** | | | 57.19% | $1,123.25 |
| **LOT 1** | 3 000 | 03/04/2013 | $406 860 | $1,220 58 | $771 820 | $2,315 46 | | | 89 70% | $1,094 88 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 2 | 1 000 | 12/18/2015 | $743 450 | $743 45 | $771 820 | $771.82 | | | 3 82% | $28 37 |
| **ALPHABET INCORPORATED CAP STK CLASS A (GOOGL)** | 5 000 | | $524.906 | $2,624 53 | $792 450 | **$3,962.25** | | | 50 97% | $1,337.72 |
| LOT 1 | 3 000 | 03/04/2013 | $409 287 | $1,227 86 | $792 450 | $2,377 35 | | | 93 62% | $1,149 49 |
| LOT 2 | 1.000 | 09/18/2015 | $665 920 | $665 92 | $792 450 | $792 45 | | | 19 00% | $126 53 |
| LOT 3 | 1.000 | 02/04/2016 | $730 750 | $730 75 | $792 450 | $792 45 | | | 8 44% | $61 70 |
| **ALTRIA GROUP INCORPORATED (MO)** | 63.000 | | $54 223 | $3,416 02 | $67.620 | **$4,260.06** | 3.61% | $153.72 | 24.71% | $844 04 |
| LOT 1 | 34.000 | 05/19/2015 | $51 697 | $1,757.69 | $67 620 | $2,299 08 | 3 61% | $82 96 | 30 80% | $541.39 |
| LOT 2 | 17 000 | 07/07/2015 | $51 692 | $878 77 | $67.620 | $1,149 54 | 3 61% | $41 48 | 30.81% | $270 77 |
| LOT 3 | 12 000 | 05/12/2016 | $64 963 | $779 56 | $67.620 | $811 44 | 3 61% | $29 28 | 4 09% | $31 88 |
| **AMADEUS IT GROUP S A ADS (SPAIN) (AMADY)** | 47 000 | | $47 036 | $2,210.70 | $45 534 | **$2,140.10** | 1.41% | $30.17 | (3.19)% | $(70 60) |
| LOT 1 | 31 000 | 06/21/2016 | $45 525 | $1,411 29 | $45.534 | $1,411 55 | 1 41% | $19 90 | 0 02% | $0 26 |
| LOT 2 | 16 000 | 09/28/2016 | $49 963 | $799 41 | $45 534 | $728 54 | 1 41% | $10 27 | (8 87)% | $(70 87) |
| **AMAZON COM INCORPORATED (AMZN)** | 5 000 | | $649 722 | $3,248.61 | $749 870 | **$3,749.35** | | | 15 41% | $500 74 |
| LOT 1 | 3 000 | 10/19/2015 | $571 850 | $1,715 55 | $749 870 | $2,249 61 | | | 31 13% | $534 06 |
| LOT 2 | 2 000 | 08/30/2016 | $766 530 | $1,533 06 | $749.870 | $1,499 74 | | | (2 17)% | $(33 32) |
| **AMBEV SA SPONSORED ADR (BRAZIL) (ABEV)** | 150 000 | 09/22/2016 | $6 094 | $914 06 | $4 910 | **$736.50** | 3 38% | $24 90 | (19 43)% | $(177 56) |
| **AMGEN INCORPORATED (AMGN)** | 20 000 | 05/19/2015 | $163 109 | $3,262 18 | $146.210 | **$2,924.20** | 3.15% | $92.00 | (10 36)% | $(337 98) |
| **ANADARKO PETE CORPORATION (APC)** | 13.000 | 12/13/2016 | $72 564 | $943 33 | $69 730 | **$906.49** | 0.29% | $2.60 | (3 91)% | $(36.84) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **ANSYS INCORPORATED (ANSS)** | 20 000 | | $77 173 | $1,543 45 | $92 490 | **$1,849.80** | | | 19 85% | $306.35 |
| **LOT 1** | 17 000 | 03/04/2013 | $77 000 | $1,309 00 | $92.490 | $1,572 33 | | | 20 12% | $263 33 |
| **LOT 2** | 3 000 | 07/29/2014 | $78 150 | $234 45 | $92 490 | $277 47 | | | 18 35% | $43 02 |
| **APPLE INCORPORATED (AAPL)** | 60 000 | | $75.084 | $4,505 05 | $115.820 | **$6,949.20** | 1 97% | $136.80 | 54 25% | $2,444 15 |
| **LOT 1** | 35 000 | 03/04/2013 | $60 313 | $2,110 95 | $115 820 | $4,053 70 | 1 97% | $79 80 | 92 03% | $1,942 75 |
| **LOT 2** | 7 000 | 04/23/2013 | $57 821 | $404 75 | $115 820 | $810 74 | 1 97% | $15 96 | 100 31% | $405 99 |
| **LOT 3** | 5.000 | 05/19/2015 | $130.100 | $650 50 | $115.820 | $579 10 | 1.97% | $11 40 | (10 98)% | $(71 40) |
| **LOT 4** | 13.000 | 07/27/2016 | $102.988 | $1,338 85 | $115.820 | $1,505 66 | 1.97% | $29 64 | 12.46% | $166 81 |
| **APPLIED MATLS INCORPORATED (AMAT)** | 130.000 | | $26 763 | $3,479.19 | $32 270 | **$4,195.10** | 1 24% | $52.00 | 20 58% | $715.91 |
| **LOT 1** | 68 000 | 07/08/2016 | $24.955 | $1,696 91 | $32 270 | $2,194.36 | 1 24% | $27.20 | 29 32% | $497 45 |
| **LOT 2** | 15.000 | 07/13/2016 | $25 850 | $387 75 | $32.270 | $484 05 | 1 24% | $6 00 | 24.84% | $96 30 |
| **LOT 3** | 19 000 | 08/23/2016 | $30 013 | $570 25 | $32 270 | $613 13 | 1 24% | $7 60 | 7 52% | $42 88 |
| **LOT 4** | 28 000 | 09/14/2016 | $29 439 | $824 28 | $32 270 | $903 56 | 1.24% | $11 20 | 9 62% | $79 28 |
| **APTARGROUP INCORPORATED (ATR)** | 18 000 | 03/04/2013 | $53 279 | $959 02 | $73.450 | **$1,322.10** | 1 74% | $23 04 | 37.86% | $363 08 |
| **ARTISAN PARTNERS ASSET MGMT IN CLASS A (APAM)** | 39 000 | | $53 598 | $2,090 32 | $29.750 | **$1,160.25** | 8.07% | $93.60 | (44 49)% | $(930 07) |
| **LOT 1** | 28.000 | 06/30/2014 | $54 089 | $1,514 49 | $29 750 | $833 00 | 8 07% | $67 20 | (45.00)% | $(681 49) |
| **LOT 2** | 11 000 | 07/29/2014 | $52 348 | $575 83 | $29.750 | $327.25 | 8 07% | $26.40 | (43 17)% | $(248 58) |
| **BHP BILLITON PLC SPONSORED ADR (UNITED KINGDOM) (BBL)** | 55.000 | | $19 785 | $1,088.15 | $31 460 | **$1,730.30** | 1 91% | $33 00 | 59 01% | $642 15 |
| **LOT 1** | 44 000 | 02/03/2016 | $19 286 | $848 58 | $31 460 | $1,384 24 | 1 91% | $26 40 | 63.12% | $535 66 |
| **LOT 2** | 11 000 | 03/16/2016 | $21 779 | $239 57 | $31 460 | $346 06 | 1 91% | $6 60 | 44.45% | $106 49 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **BP PLC SPONSORED ADR (UNITED KINGDOM) (BP)** | 143 000 | | $31 717 | $4,535.57 | $37 380 | **$5,345.34** | 6 37% | $340 34 | 17.85% | $809 77 |
| **LOT 1** | 130 000 | 01/28/2016 | $31 901 | $4,147 18 | $37 380 | $4,859 40 | 6 37% | $309.40 | 17 17% | $712 22 |
| **LOT 2** | 13 000 | 03/16/2016 | $29 876 | $388 39 | $37 380 | $485 94 | 6 37% | $30 94 | 25 12% | $97 55 |
| **BNP PARIBAS SPONSORED ADR (FRANCE) (BNPQY)** | 149 000 | | $29.667 | $4,420.33 | $31.933 | **$4,758.02** | 3.47% | $165.09 | 7.64% | $337 69 |
| **LOT 1** | 41 000 | 03/04/2013 | $27 810 | $1,140.21 | $31 933 | $1,309.25 | 3 47% | $45 42 | 14 83% | $169.04 |
| **LOT 2** | 21 000 | 10/10/2013 | $36 393 | $764 25 | $31 933 | $670 59 | 3 47% | $23 27 | (12.26)% | $(93 66) |
| **LOT 3** | 1.000 | 03/04/2014 | $40.730 | $40.73 | $31 933 | $31 93 | 3 47% | $1.11 | (21 61)% | $(8 80) |
| **LOT 4** | 19 000 | 07/29/2014 | $33 827 | $642 72 | $31 933 | $606 73 | 3 47% | $21 05 | (5 60)% | $(35 99) |
| **LOT 5** | 21 000 | 12/11/2014 | $30 924 | $649 40 | $31 933 | $670 59 | 3 47% | $23 27 | 3.26% | $21 19 |
| **LOT 6** | 9 000 | 03/11/2015 | $27 484 | $247.36 | $31 933 | $287 40 | 3 47% | $9 97 | 16.19% | $40 04 |
| **LOT 7** | 9 000 | 03/16/2016 | $25 320 | $227 88 | $31 933 | $287 40 | 3 47% | $9 97 | 26 12% | $59 52 |
| **LOT 8** | 28.000 | 04/13/2016 | $25 278 | $707 78 | $31.933 | $894 12 | 3 47% | $31 02 | 26.33% | $186 34 |
| **BT GROUP PLC ADR (UNITED KINGDOM) (BT)** | 49 000 | | $29.765 | $1,458.50 | $23 030 | **$1,128.47** | 3 90% | $44 05 | (22.63)% | $(330 03) |
| **LOT 1** | 18 000 | 03/04/2013 | $20 150 | $362.70 | $23 030 | $414 54 | 3.90% | $16 18 | 14.29% | $51.84 |
| **LOT 2** | 2.000 | 10/10/2013 | $27 890 | $55 78 | $23 030 | $46 06 | 3 90% | $1.80 | (17 43)% | $(9.72) |
| **LOT 3** | 2 000 | 07/28/2015 | $36 190 | $72 38 | $23.030 | $46.06 | 3 90% | $1 80 | (36 36)% | $(26 32) |
| **LOT 4** | 6 000 | 07/29/2015 | $37.035 | $222.21 | $23 030 | $138 18 | 3.90% | $5 39 | (37.82)% | $(84.03) |
| **LOT 5** | 2 000 | 07/31/2015 | $36.370 | $72.74 | $23 030 | $46 06 | 3.90% | $1 80 | (36 68)% | $(26.68) |
| **LOT 6** | 4.000 | 08/03/2015 | $36 658 | $146 63 | $23.030 | $92.12 | 3 90% | $3 60 | (37 18)% | $(54 51) |
| **LOT 7** | 2.000 | 08/04/2015 | $36 740 | $73 48 | $23 030 | $46 06 | 3 90% | $1 80 | (37 32)% | $(27.42) |
| **LOT 8** | 8 000 | 08/06/2015 | $36 466 | $291 73 | $23 030 | $184 24 | 3 90% | $7 19 | (36 85)% | $(107 49) |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 9** | 5 000 | 03/16/2016 | $32 170 | $160 85 | $23 030 | $115 15 | 3 90% | $4 49 | (28 41)% | $(45 70) |
| **BANK AMER CORPORATION (BAC)** | 301.000 | | $16.968 | $5,107.36 | $22.100 | **$6,652.10** | 1 36% | $90 30 | 30 25% | $1,544.74 |
| **LOT 1** | 98 000 | 08/05/2015 | $17 956 | $1,759 73 | $22 100 | $2,165 80 | 1.36% | $29 40 | 23.08% | $406 07 |
| **LOT 2** | 89 000 | 10/05/2016 | $16 182 | $1,440 24 | $22 100 | $1,966.90 | 1.36% | $26.70 | 36.57% | $526 66 |
| **LOT 3** | 39 000 | 10/11/2016 | $16 119 | $628 64 | $22 100 | $861 90 | 1 36% | $11 70 | 37 11% | $233 26 |
| **LOT 4** | 75.000 | 10/27/2016 | $17 050 | $1,278 75 | $22 100 | $1,657 50 | 1 36% | $22 50 | 29 62% | $378 75 |
| **BANKUNITED INCORPORATED (BKU)** | 58 000 | | $35.748 | $2,073.38 | $37.690 | **$2,186.02** | 2 23% | $48 72 | 5 43% | $112 64 |
| **LOT 1** | 44.000 | 12/21/2015 | $36 182 | $1,592.00 | $37.690 | $1,658 36 | 2 23% | $36 96 | 4 17% | $66 36 |
| **LOT 2** | 14.000 | 03/10/2016 | $34 384 | $481 38 | $37 690 | $527 66 | 2 23% | $11.76 | 9.61% | $46 28 |
| **BARCLAYS PLC ADR (UNITED KINGDOM) (BCS)** | 284.000 | | $9 534 | $2,707 52 | $11.000 | **$3,124.00** | 2 79% | $87.19 | 15.38% | $416 48 |
| **LOT 1** | 226.000 | 05/03/2016 | $9 695 | $2,191.09 | $11 000 | $2,486 00 | 2 79% | $69 38 | 13 46% | $294 91 |
| **LOT 2** | 58 000 | 08/30/2016 | $8 904 | $516 43 | $11 000 | $638 00 | 2 79% | $17.81 | 23.54% | $121 57 |
| **BAYER A G SPONSORED ADR (GERMANY) (BAYRY)** | 53 000 | | $116 709 | $6,185.57 | $104 558 | **$5,541.57** | 2 00% | $110 82 | (10 41)% | $(644 00) |
| **LOT 1** | 13.000 | 03/04/2013 | $98.800 | $1,284 40 | $104 558 | $1,359 25 | 2.00% | $27.18 | 5 83% | $74 85 |
| **LOT 2** | 7 000 | 10/10/2013 | $116 690 | $816.83 | $104 558 | $731 91 | 2 00% | $14 64 | (10 40)% | $(84.92) |
| **LOT 3** | 3 000 | 02/11/2014 | $135.410 | $406 23 | $104 558 | $313 67 | 2 00% | $6 27 | (22 79)% | $(92 56) |
| **LOT 4** | 7 000 | 07/29/2014 | $133 740 | $936 18 | $104 558 | $731 91 | 2 00% | $14 64 | (21.82)% | $(204.27) |
| **LOT 5** | 6 000 | 10/22/2014 | $132 992 | $797.95 | $104 558 | $627 35 | 2 00% | $12 55 | (21 38)% | $(170.60) |
| **LOT 6** | 3 000 | 03/11/2015 | $148 150 | $444 45 | $104.558 | $313 67 | 2 00% | $6 27 | (29 43)% | $(130 78) |
| **LOT 7** | 3 000 | 03/16/2016 | $110.150 | $330 45 | $104 558 | $313 67 | 2 00% | $6 27 | (5 08)% | $(16 78) |
| **LOT 8** | 6 000 | 08/30/2016 | $108 467 | $650 80 | $104 558 | $627 35 | 2 00% | $12.55 | (3.60)% | $(23 45) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 9 | 5.000 | 09/22/2016 | $103 656 | $518 28 | $104 558 | $522 79 | 2 00% | $10 45 | 0 87% | $4 51 |
| **BIOGEN INCORPORATED (BIIB)** | 5 000 | 08/04/2016 | $315 248 | $1,576 24 | $283.580 | **$1,417.90** | | | (10 05)% | $(158 34) |
| **BJS RESTAURANTS INCORPORATED (BJRI)** | 38.000 | 06/08/2016 | $47.139 | $1,791 27 | $39 300 | **$1,493.40** | | | (16.63)% | $(297 87) |
| **BLACKBAUD INCORPORATED (BLKB)** | 36 000 | | $29.064 | $1,046.31 | $64.000 | **$2,304.00** | 0.75% | $17 28 | 120 20% | $1,257 69 |
| LOT 1 | 29 000 | 03/04/2013 | $27 600 | $800 40 | $64 000 | $1,856 00 | 0 75% | $13 92 | 131 88% | $1,055 60 |
| LOT 2 | 7 000 | 07/29/2014 | $35 130 | $245 91 | $64 000 | $448 00 | 0 75% | $3 36 | 82 18% | $202 09 |
| **BOOZ ALLEN HAMILTON HLDG CORPORATION CLASS A (BAH)** | 64.000 | 10/27/2016 | $30 731 | $1,966.76 | $36 070 | **$2,308.48** | 1 66% | $38 40 | 17.37% | $341.72 |
| **BRAMBLES LIMITED SPONSORED ADR (AUSTRALIA) (BXBLY)** | 185 000 | | $16 612 | $3,073.16 | $17 958 | **$3,322.23** | 2 24% | $74.56 | 8.10% | $249 07 |
| LOT 1 | 39 000 | 11/09/2015 | $15 194 | $592 57 | $17 958 | $700 36 | 2 24% | $15 72 | 18 19% | $107 79 |
| LOT 2 | 24 000 | 11/10/2015 | $14 949 | $358 78 | $17 958 | $430 99 | 2 24% | $9 67 | 20 13% | $72 21 |
| LOT 3 | 27 000 | 11/11/2015 | $14 974 | $404 30 | $17 958 | $484 87 | 2 24% | $10 88 | 19 93% | $80 57 |
| LOT 4 | 59.000 | 12/14/2016 | $18 210 | $1,074 37 | $17 958 | $1,059.52 | 2 24% | $23 78 | (1 38)% | $(14 85) |
| LOT 5 | 36 000 | 12/21/2016 | $17 865 | $643 14 | $17.958 | $646 49 | 2.24% | $14.51 | 0 52% | $3 35 |
| **BROCADE COMMUNICATIONS SYSTEMS INCORPORATED COM NEW (BRCD)** | 125 000 | | $9 764 | $1,220 50 | $12 490 | **$1,561.25** | 1 76% | $27 50 | 27 92% | $340 75 |
| LOT 1 | 27.000 | 03/04/2016 | $10 221 | $275 96 | $12 490 | $337.23 | 1.76% | $5.94 | 22.20% | $61 27 |
| LOT 2 | 98.000 | 04/06/2016 | $9 638 | $944 54 | $12 490 | $1,224.02 | 1.76% | $21.56 | 29.59% | $279.48 |
| **BURLINGTON STORES INCORPORATED (BURL)** | 61 000 | | $64 168 | $3,914 27 | $84 750 | **$5,169.75** | | | 32 07% | $1,255 48 |
| LOT 1 | 34.000 | 06/19/2015 | $51 814 | $1,761 66 | $84 750 | $2,881 50 | | | 63 57% | $1,119 84 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 2 | 27 000 | 08/30/2016 | $79 726 | $2,152 61 | $84 750 | $2,288.25 | | | 6.30% | $135 64 |
| **CEB INCORPORATED (CEB)** | 20 000 | | $58 018 | $1,160 36 | $60 600 | **$1,212.00** | 2 72% | $33.00 | 4 45% | $51 64 |
| LOT 1 | 14.000 | 03/04/2013 | $55.240 | $773 36 | $60.600 | $848 40 | 2.72% | $23 10 | 9 70% | $75.04 |
| LOT 2 | 6 000 | 07/29/2014 | $64 500 | $387 00 | $60 600 | $363.60 | 2 72% | $9 90 | (6.05)% | $(23 40) |
| **CIGNA CORPORATION (CI)** | 8 000 | 05/19/2015 | $133 758 | $1,070.06 | $133 390 | **$1,067.12** | 0 03% | $0 32 | (0.27)% | $(2 94) |
| **CVS HEALTH CORPORATION (CVS)** | 17.000 | 03/20/2014 | $73 705 | $1,252 99 | $78 910 | **$1,341.47** | 2.53% | $34 00 | 7.06% | $88 48 |
| **CALATLANTIC GROUP INCORPORATED (CAA)** | 37.000 | | $35.574 | $1,316 22 | $34.010 | **$1,258.37** | 0 47% | $5 92 | (4 40)% | $(57 85) |
| LOT 1 | 18.656 | 03/04/2013 | $35.924 | $670.20 | $34.010 | $634.49 | 0 47% | $2.98 | (5 33)% | $(35.71) |
| LOT 2 | 18.344 | 07/29/2014 | $35 217 | $646.02 | $34 010 | $623 88 | 0 47% | $2 94 | (3 43)% | $(22 14) |
| **CALLON PETE COMPANY DEL (CPE)** | 178.000 | | $11.608 | $2,066.20 | $15 370 | **$2,735.86** | | | 32 41% | $669.66 |
| LOT 1 | 84 000 | 04/25/2016 | $10.308 | $865 87 | $15 370 | $1,291 08 | | | 49 11% | $425 21 |
| LOT 2 | 62 000 | 07/01/2016 | $11 557 | $716 55 | $15 370 | $952.94 | | | 32.99% | $236 39 |
| LOT 3 | 32.000 | 09/09/2016 | $15 118 | $483 78 | $15 370 | $491 84 | | | 1 67% | $8.06 |
| **CAPITAL ONE FINL CORPORATION (COF)** | 15 000 | 05/19/2015 | $85 370 | $1,280 55 | $87 240 | **$1,308.60** | 1 83% | $24 00 | 2.19% | $28 05 |
| **CATALENT INCORPORATED (CTLT)** | 77 000 | | $27 748 | $2,136 56 | $26 960 | **$2,075.92** | | | (2.84)% | $(60.64) |
| LOT 1 | 58 000 | 06/05/2015 | $29 385 | $1,704 31 | $26.960 | $1,563.68 | | | (8 25)% | $(140 63) |
| LOT 2 | 19 000 | 02/02/2016 | $22 750 | $432 25 | $26 960 | $512 24 | | | 18.51% | $79.99 |
| **CAVCO INDUSTRIES INCORPORATED DEL (CVCO)** | 14 000 | | $90.821 | $1,271.50 | $99 850 | **$1,397.90** | | | 9 94% | $126 40 |
| LOT 1 | 4 000 | 03/24/2016 | $87.630 | $350.52 | $99 850 | $399 40 | | | 13 94% | $48.88 |
| LOT 2 | 2 000 | 03/28/2016 | $89 305 | $178 61 | $99 850 | $199 70 | | | 11 81% | $21 09 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 3** | 3 000 | 03/29/2016 | $92 750 | $278 25 | $99 850 | $299 55 | | | 7.65% | $21 30 |
| **LOT 4** | 5 000 | 06/30/2016 | $92 824 | $464.12 | $99 850 | $499.25 | | | 7 57% | $35 13 |
| **CELGENE CORPORATION (CELG)** | 14 000 | 07/28/2016 | $111 627 | $1,562 78 | $115 750 | **$1,620.50** | | | 3.69% | $57 72 |
| **CHEVRON CORPORATION NEW (CVX)** | 26 000 | | $105.793 | $2,750 62 | $117.700 | **$3,060.20** | 3 67% | $112 32 | 11 25% | $309.58 |
| **LOT 1** | 15 000 | 05/19/2015 | $105 089 | $1,576.34 | $117 700 | $1,765 50 | 3 67% | $64 80 | 12 00% | $189 16 |
| **LOT 2** | 11.000 | 07/15/2016 | $106.753 | $1,174 28 | $117 700 | $1,294 70 | 3 67% | $47 52 | 10 25% | $120 42 |
| **CISCO SYSTEMS INCORPORATED (CSCO)** | 83 000 | | $22.014 | $1,827.15 | $30 220 | **$2,508.26** | 3 44% | $86 32 | 37.28% | $681 11 |
| **LOT 1** | 68 000 | 01/27/2014 | $21 930 | $1,491 24 | $30 220 | $2,054 96 | 3 44% | $70 72 | 37 80% | $563 72 |
| **LOT 2** | 12 000 | 02/14/2014 | $22 550 | $270 60 | $30 220 | $362 64 | 3 44% | $12 48 | 34 01% | $92.04 |
| **LOT 3** | 3 000 | 03/04/2014 | $21 770 | $65 31 | $30.220 | $90 66 | 3 44% | $3 12 | 38.81% | $25 35 |
| **CITIGROUP INCORPORATED COM NEW (C)** | 47 000 | | $50 577 | $2,377.12 | $59.430 | **$2,793.21** | 1.08% | $30 08 | 17.50% | $416 09 |
| **LOT 1** | 21.000 | 03/04/2013 | $42 650 | $895 65 | $59.430 | $1,248.03 | 1 08% | $13 44 | 39 34% | $352 38 |
| **LOT 2** | 3 000 | 03/16/2016 | $42 567 | $127 70 | $59 430 | $178 29 | 1.08% | $1 92 | 39 62% | $50 59 |
| **LOT 3** | 23.000 | 12/07/2016 | $58 860 | $1,353 77 | $59.430 | $1,366.89 | 1 08% | $14 72 | 0 97% | $13.12 |
| **COGNEX CORPORATION (CGNX)** | 43 000 | | $38.882 | $1,671.93 | $63 620 | **$2,735.66** | 0.47% | $12 90 | 63.62% | $1,063 73 |
| **LOT 1** | 17.000 | 11/05/2014 | $40.600 | $690.20 | $63.620 | $1,081.54 | 0.47% | $5.10 | 56.70% | $391.34 |
| **LOT 2** | 10 000 | 01/07/2015 | $38 201 | $382 01 | $63 620 | $636 20 | 0 47% | $3 00 | 66 54% | $254 19 |
| **LOT 3** | 16.000 | 08/11/2015 | $37 483 | $599.72 | $63 620 | $1,017 92 | 0.47% | $4 80 | 69.73% | $418 20 |
| **COLGATE PALMOLIVE COMPANY (CL)** | 23 000 | | $71 683 | $1,648 72 | $65.440 | **$1,505.12** | 2 38% | $35.88 | (8.71)% | $(143 60) |
| **LOT 1** | 18 000 | 06/06/2016 | $71 623 | $1,289 22 | $65.440 | $1,177.92 | 2 38% | $28 08 | (8.63)% | $(111.30) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 2 | 5 000 | 06/10/2016 | $71 900 | $359 50 | $65 440 | $327 20 | 2 38% | $7 80 | (8 98)% | $(32 30) |
| **COMPASS MINERALS INTERNATIONAL INCORPORATED (CMP)** | 23 000 | | $77 288 | $1,777.62 | $78 350 | **$1,802.05** | 3 55% | $63 94 | 1 37% | $24 43 |
| LOT 1 | 13 000 | 03/04/2013 | $74 049 | $962.64 | $78 350 | $1,018 55 | 3 55% | $36.14 | 5.81% | $55.91 |
| LOT 2 | 5 000 | 10/10/2013 | $74 888 | $374 44 | $78 350 | $391.75 | 3 55% | $13 90 | 4 62% | $17 31 |
| LOT 3 | 5 000 | 07/29/2014 | $88.108 | $440 54 | $78 350 | $391 75 | 3 55% | $13 90 | (11 08)% | $(48 79) |
| **CONSTELLATION BRANDS INCORPORATED CLASS A (STZ)** | 6 000 | 10/11/2016 | $169 745 | $1,018.47 | $153.310 | **$919.86** | 1 04% | $9.60 | (9.68)% | $(98.61) |
| **COOPER COMPANIES INCORPORATED COM NEW (COO)** | 7 000 | 06/10/2016 | $163.681 | $1,145 77 | $174 930 | **$1,224.51** | 0 03% | $0 42 | 6 87% | $78 74 |
| **COSTAR GROUP INCORPORATED (CSGP)** | 13 000 | | $121 413 | $1,578 37 | $188.490 | **$2,450.37** | | | 55.25% | $872 00 |
| LOT 1 | 8 000 | 03/04/2013 | $102 800 | $822 40 | $188 490 | $1,507 92 | | | 83 36% | $685 52 |
| LOT 2 | 4 000 | 07/29/2014 | $149 010 | $596 04 | $188.490 | $753 96 | | | 26 49% | $157 92 |
| LOT 3 | 1.000 | 11/14/2014 | $159 930 | $159.93 | $188 490 | $188.49 | | | 17.86% | $28 56 |
| **DAIKIN INDUSTRIES LIMITED ADR (JAPAN) (DKILY)** | 23.000 | | $137.494 | $3,162.37 | $184.079 | **$4,233.82** | 1.01% | $42.85 | 33.88% | $1,071.45 |
| LOT 1 | 18 000 | 12/16/2015 | $138 117 | $2,486.10 | $184 079 | $3,313.42 | 1 01% | $33 53 | 33.28% | $827 32 |
| LOT 2 | 2 000 | 02/04/2016 | $128 950 | $257 90 | $184 079 | $368 16 | 1 01% | $3 73 | 42 75% | $110 26 |
| LOT 3 | 1.000 | 02/05/2016 | $128 670 | $128 67 | $184.079 | $184 08 | 1 01% | $1.86 | 43 06% | $55.41 |
| LOT 4 | 2.000 | 03/16/2016 | $144 850 | $289 70 | $184 079 | $368 16 | 1 01% | $3 73 | 27.08% | $78 46 |
| **DANONE SPONSORED ADR (FRANCE) (DANOY)** | 241.000 | | $14 209 | $3,424.33 | $12 699 | **$3,060.46** | 1 84% | $56.39 | (10.63)% | $(363 87) |
| LOT 1 | 84 000 | 03/04/2013 | $14 130 | $1,186 92 | $12 699 | $1,066 72 | 1 84% | $19 65 | (10 13)% | $(120.20) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 2 | 47 000 | 10/10/2013 | $14 629 | $687 57 | $12 699 | $596 85 | 1 84% | $10 99 | (13 19)% | $(90 72) |
| LOT 3 | 37 000 | 07/29/2014 | $15.110 | $559 08 | $12.699 | $469 86 | 1.84% | $8 65 | (15.96)% | $(89 22) |
| LOT 4 | 14.000 | 03/11/2015 | $13 186 | $184 61 | $12.699 | $177 79 | 1 84% | $3 27 | (3 69)% | $(6 82) |
| LOT 5 | 41 000 | 08/13/2015 | $13 504 | $553.68 | $12 699 | $520 66 | 1.84% | $9 59 | (5 96)% | $(33 02) |
| LOT 6 | 18 000 | 03/16/2016 | $14 026 | $252 47 | $12 699 | $228 58 | 1 84% | $4 21 | (9 46)% | $(23.89) |
| **DELTA AIR LINES INCORPORATED DEL COM NEW (DAL)** | 29 000 | 05/19/2015 | $46 290 | $1,342.41 | $49.190 | **$1,426.51** | 1 65% | $23.49 | 6 26% | $84 10 |
| **DICKS SPORTING GOODS INCORPORATED (DKS)** | 36 000 | | $59 090 | $2,127 23 | $53 100 | **$1,911.60** | 1.14% | $21 78 | (10 14)% | $(215 63) |
| LOT 1 | 22 000 | 09/14/2016 | $58 504 | $1,287 08 | $53.100 | $1,168 20 | 1 14% | $13 31 | (9 24)% | $(118 88) |
| LOT 2 | 14 000 | 09/26/2016 | $60 011 | $840 15 | $53 100 | $743 40 | 1.14% | $8 47 | (11 52)% | $(96.75) |
| **DISCOVER FINL SVCS (DFS)** | 64 000 | 05/19/2015 | $60 067 | $3,844 27 | $72 090 | **$4,613.76** | 1 66% | $76 80 | 20 02% | $769.49 |
| **DORMAN PRODUCTS INCORPORATED (DORM)** | 48.000 | | $51 035 | $2,449 70 | $73 060 | **$3,506.88** | | | 43 16% | $1,057 18 |
| LOT 1 | 23 000 | 06/11/2014 | $53 723 | $1,235 64 | $73 060 | $1,680 38 | | | 35.99% | $444 74 |
| LOT 2 | 9.000 | 07/29/2014 | $49 060 | $441 54 | $73 060 | $657 54 | | | 48 92% | $216 00 |
| LOT 3 | 8 000 | 06/19/2015 | $49 970 | $399 76 | $73 060 | $584 48 | | | 46 21% | $184 72 |
| LOT 4 | 8 000 | 01/04/2016 | $46 595 | $372 76 | $73.060 | $584.48 | | | 56 80% | $211 72 |
| **DRIL-QUIP INCORPORATED (DRQ)** | 18.000 | | $79 958 | $1,439.24 | $60.050 | **$1,080.90** | | | (24.90)% | $(358.34) |
| LOT 1 | 13.000 | 03/04/2013 | $79.670 | $1,035.71 | $60.050 | $780.65 | | | (24 63)% | $(255 06) |
| LOT 2 | 1 000 | 07/29/2014 | $106 470 | $106 47 | $60 050 | $60 05 | | | (43 60)% | $(46 42) |
| LOT 3 | 4 000 | 04/16/2015 | $74 265 | $297 06 | $60 050 | $240.20 | | | (19 14)% | $(56 86) |
| **ENI S P A SPONSORED ADR (ITALY) (E)** | 88 000 | | $29 599 | $2,604 72 | $32 240 | **$2,837.12** | 3 98% | $112.99 | 8 92% | $232 40 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 1** | 70 000 | 04/12/2016 | $29 873 | $2,091 09 | $32 240 | $2,256 80 | 3 98% | $89 87 | 7 92% | $165 71 |
| **LOT 2** | 18.000 | 09/22/2016 | $28 535 | $513 63 | $32.240 | $580.32 | 3 98% | $23 11 | 12 98% | $66.69 |
| **EOG RES INCORPORATED (EOG)** | 23 000 | | $95 550 | $2,197 64 | $101.100 | **$2,325.30** | 0 66% | $15.41 | 5 81% | $127.66 |
| **LOT 1** | 12 000 | 09/20/2016 | $90 787 | $1,089 44 | $101 100 | $1,213 20 | 0 66% | $8 04 | 11.36% | $123.76 |
| **LOT 2** | 7 000 | 10/05/2016 | $97 949 | $685 64 | $101 100 | $707 70 | 0.66% | $4.69 | 3.22% | $22 06 |
| **LOT 3** | 4.000 | 12/01/2016 | $105 640 | $422 56 | $101.100 | $404.40 | 0 66% | $2 68 | (4 30)% | $(18 16) |
| **EAGLE MATERIALS INCORPORATED (EXP)** | 14 000 | 11/11/2016 | $93 417 | $1,307.84 | $98 530 | **$1,379.42** | 0.41% | $5 60 | 5 47% | $71 58 |
| **ELECTRONIC ARTS INCORPORATED (EA)** | 19.000 | 07/20/2015 | $74 823 | $1,421 63 | $78 760 | **$1,496.44** | | | 5 26% | $74 81 |
| **ENERGEN CORPORATION (EGN)** | 33 000 | 05/26/2016 | $48 188 | $1,590 22 | $57.670 | **$1,903.11** | | | 19.68% | $312.89 |
| **ENGIE SPONS ADR (FRANCE) (ENGIY)** | 168 000 | | $22 223 | $3,733 40 | $12 784 | **$2,147.71** | 7 02% | $150 70 | (42 47)% | $(1,585 69) |
| **LOT 1** | 51.000 | 03/04/2013 | $18 900 | $963.90 | $12 784 | $651 98 | 7.02% | $45 75 | (32 36)% | $(311 92) |
| **LOT 2** | 29.000 | 10/10/2013 | $26.453 | $767.13 | $12 784 | $370.74 | 7 02% | $26.01 | (51.67)% | $(396 39) |
| **LOT 3** | 22.000 | 07/29/2014 | $26 904 | $591.88 | $12 784 | $281.25 | 7 02% | $19.73 | (52.48)% | $(310.63) |
| **LOT 4** | 20 000 | 09/04/2014 | $25.145 | $502 89 | $12.784 | $255 68 | 7 02% | $17 94 | (49 16)% | $(247 21) |
| **LOT 5** | 24.000 | 02/13/2015 | $21.647 | $519.52 | $12 784 | $306.82 | 7 02% | $21.53 | (40 94)% | $(212 70) |
| **LOT 6** | 12 000 | 03/11/2015 | $19 669 | $236 03 | $12 784 | $153 41 | 7 02% | $10.76 | (35 00)% | $(82.62) |
| **LOT 7** | 10 000 | 03/16/2016 | $15.205 | $152 05 | $12.784 | $127 84 | 7 02% | $8 97 | (15 92)% | $(24 21) |
| **EXELON CORPORATION (EXC)** | 74 000 | | $32 808 | $2,427 80 | $35 490 | **$2,626.26** | 3 58% | $94 13 | 8 17% | $198 46 |
| **LOT 1** | 65 000 | 08/12/2015 | $32.742 | $2,128 25 | $35 490 | $2,306 85 | 3.58% | $82 68 | 8 39% | $178 60 |
| **LOT 2** | 9 000 | 08/24/2015 | $33 283 | $299 55 | $35 490 | $319 41 | 3 58% | $11 45 | 6 63% | $19 86 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **EXPONENT INCORPORATED (EXPO)** | 46 000 | | $32 284 | $1,485 06 | $60 300 | **$2,773.80** | 1 19% | $33.12 | 86.78% | $1,288 74 |
| **LOT 1** | 26.000 | 06/19/2013 | $29 103 | $756 69 | $60 300 | $1,567 80 | 1 19% | $18 72 | 107 19% | $811 11 |
| **LOT 2** | 10 000 | 10/10/2013 | $35.627 | $356.27 | $60 300 | $603 00 | 1 19% | $7 20 | 69 25% | $246 73 |
| **LOT 3** | 10 000 | 07/29/2014 | $37 210 | $372 10 | $60 300 | $603 00 | 1 19% | $7 20 | 62 05% | $230.90 |
| **EXXON MOBIL CORPORATION (XOM)** | 51 000 | | $87.245 | $4,449.51 | $90.260 | **$4,603.26** | 3 32% | $153 00 | 3 46% | $153 75 |
| **LOT 1** | 42 000 | 05/19/2015 | $86 739 | $3,643 04 | $90 260 | $3,790 92 | 3 32% | $126 00 | 4 06% | $147 88 |
| **LOT 2** | 9 000 | 05/12/2016 | $89 608 | $806 47 | $90 260 | $812 34 | 3 32% | $27.00 | 0.73% | $5.87 |
| **FACEBOOK INCORPORATED CLASS A (FB)** | 36 000 | | $112 034 | $4,033.21 | $115.050 | **$4,141.80** | | | 2.69% | $108.59 |
| **LOT 1** | 25 000 | 11/05/2015 | $109 086 | $2,727 14 | $115 050 | $2,876.25 | | | 5 47% | $149 11 |
| **LOT 2** | 1 000 | 03/16/2016 | $110 650 | $110 65 | $115 050 | $115.05 | | | 3.98% | $4.40 |
| **LOT 3** | 10 000 | 05/12/2016 | $119 542 | $1,195.42 | $115 050 | $1,150 50 | | | (3 76)% | $(44 92) |
| **FIRST REP BK SAN FRANCISCO CAL (FRC)** | 42 000 | | $38 494 | $1,616 75 | $92 140 | **$3,869.88** | 0 69% | $26 88 | 139 36% | $2,253.13 |
| **LOT 1** | 27 000 | 03/04/2013 | $36.950 | $997 65 | $92 140 | $2,487 78 | 0 69% | $17.28 | 149 36% | $1,490 13 |
| **LOT 2** | 9 000 | 06/05/2013 | $37.329 | $335 96 | $92 140 | $829 26 | 0 69% | $5 76 | 146 83% | $493 30 |
| **LOT 3** | 1 000 | 10/10/2013 | $46 890 | $46.89 | $92 140 | $92 14 | 0 69% | $0 64 | 96 50% | $45.25 |
| **LOT 4** | 5 000 | 07/29/2014 | $47 250 | $236.25 | $92.140 | $460 70 | 0 69% | $3 20 | 95 01% | $224 45 |
| **FIVE BELOW INCORPORATED (FIVE)** | 58 000 | | $36 099 | $2,093 73 | $39 960 | **$2,317.68** | | | 10.70% | $223.95 |
| **LOT 1** | 35 000 | 08/11/2015 | $37.123 | $1,299.30 | $39.960 | $1,398 60 | | | 7.64% | $99 30 |
| **LOT 2** | 23 000 | 09/04/2015 | $34 540 | $794 43 | $39 960 | $919 08 | | | 15.69% | $124 65 |
| **FOOT LOCKER INCORPORATED (FL)** | 30 000 | 05/19/2015 | $63 586 | $1,907 57 | $70 890 | **$2,126.70** | 1 55% | $33 00 | 11 49% | $219.13 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **FORD MTR COMPANY DEL COM PAR $0.01 (F)** | 89 000 | | $14.671 | $1,305 70 | $12 130 | **$1,079.57** | 4 95% | $53.40 | (17 32)% | $(226 13) |
| **LOT 1** | 88 000 | 09/16/2015 | $14 667 | $1,290.73 | $12 130 | $1,067 44 | 4 95% | $52 80 | (17 30)% | $(223.29) |
| **LOT 2** | 1 000 | 10/14/2015 | $14 970 | $14 97 | $12 130 | $12.13 | 4.95% | $0 60 | (18 97)% | $(2 84) |
| **GEA GROUP AG ADR (GERMANY) (GEAGY)** | 75.000 | | $40 837 | $3,062 76 | $40 323 | **$3,024.23** | 2 19% | $66.23 | (1.26)% | $(38 53) |
| **LOT 1** | 6 000 | 12/15/2015 | $40.497 | $242 98 | $40 323 | $241.94 | 2 19% | $5 30 | (0 43)% | $(1.04) |
| **LOT 2** | 28 000 | 12/16/2015 | $41 476 | $1,161 34 | $40.323 | $1,129 04 | 2 19% | $24.72 | (2 78)% | $(32 30) |
| **LOT 3** | 5.000 | 03/16/2016 | $46 170 | $230.85 | $40 323 | $201 62 | 2 19% | $4 42 | (12.66)% | $(29 23) |
| **LOT 4** | 21 000 | 12/13/2016 | $40 323 | $846 78 | $40 323 | $846 78 | 2.19% | $18 54 | 0.00% | $0 00 |
| **LOT 5** | 15 000 | 12/20/2016 | $38 721 | $580 81 | $40.323 | $604 85 | 2 19% | $13 25 | 4.14% | $24 04 |
| **GARTNER INCORPORATED (IT)** | 34 000 | | $53.736 | $1,827 01 | $101 070 | **$3,436.38** | | | 88.09% | $1,609 37 |
| **LOT 1** | 25.000 | 03/04/2013 | $50.590 | $1,264 75 | $101 070 | $2,526 75 | | | 99.78% | $1,262 00 |
| **LOT 2** | 6.000 | 10/10/2013 | $58 830 | $352 98 | $101 070 | $606 42 | | | 71 80% | $253 44 |
| **LOT 3** | 3 000 | 07/29/2014 | $69 760 | $209.28 | $101 070 | $303 21 | | | 44 88% | $93 93 |
| **GENERAL ELECTRIC COMPANY (GE)** | 46 000 | 10/06/2015 | $27 214 | $1,251 83 | $31 600 | **$1,453.60** | 3 04% | $44 16 | 16.12% | $201 77 |
| **GILEAD SCIENCES INCORPORATED (GILD)** | 33.000 | 05/19/2015 | $110.213 | $3,637 03 | $71 610 | **$2,363.13** | 2 63% | $62 04 | (35.03)% | $(1,273 90) |
| **GLACIER BANCORP INCORPORATED NEW (GBCI)** | 36 000 | 03/04/2013 | $17 470 | $628 92 | $36 230 | **$1,304.28** | 2.21% | $28.80 | 107.38% | $675.36 |
| **GLOBAL PMTS INCORPORATED (GPN)** | 16.000 | 05/24/2016 | $77.176 | $1,234.81 | $69.410 | **$1,110.56** | 0.06% | $0.64 | (10.06)% | $(124.25) |
| **GOLDMAN SACHS GROUP INCORPORATED (GS)** | 20 000 | | $186 168 | $3,723 35 | $239 450 | **$4,789.00** | 1 09% | $52 00 | 28 62% | $1,065 65 |
| **LOT 1** | 15 000 | 11/03/2015 | $191 519 | $2,872 78 | $239 450 | $3,591 75 | 1 09% | $39.00 | 25 03% | $718 97 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 2** | 1 000 | 03/16/2016 | $151 300 | $151 30 | $239 450 | $239 45 | 1 09% | $2 60 | 58 26% | $88 15 |
| **LOT 3** | 4 000 | 10/20/2016 | $174.818 | $699.27 | $239 450 | $957 80 | 1.09% | $10 40 | 36.97% | $258.53 |
| **GRACO INCORPORATED (GGG)** | 18 000 | 11/29/2016 | $81.158 | $1,460.84 | $83 090 | **$1,495.62** | 1.73% | $25 92 | 2.38% | $34.78 |
| **GREENHILL & COMPANY INCORPORATED (GHL)** | 35 000 | | $51.021 | $1,785 74 | $27 700 | **$969.50** | 6 50% | $63 00 | (45 71)% | $(816 24) |
| **LOT 1** | 8 000 | 03/04/2013 | $59 100 | $472.80 | $27.700 | $221 60 | 6 50% | $14.40 | (53 13)% | $(251 20) |
| **LOT 2** | 5 000 | 10/10/2013 | $45 950 | $229 75 | $27 700 | $138 50 | 6 50% | $9 00 | (39 72)% | $(91.25) |
| **LOT 3** | 16 000 | 04/08/2014 | $49 054 | $784 87 | $27 700 | $443 20 | 6 50% | $28 80 | (43 53)% | $(341 67) |
| **LOT 4** | 6 000 | 07/29/2014 | $49 720 | $298 32 | $27 700 | $166 20 | 6.50% | $10 80 | (44 29)% | $(132 12) |
| **HDFC BANK LIMITED ADR REPS 3 SHS (INDIA) (HDB)** | 56.000 | | $53 296 | $2,984.55 | $60 680 | **$3,398.08** | 0.66% | $22 57 | 13 86% | $413 53 |
| **LOT 1** | 8 000 | 03/04/2013 | $37 530 | $300 24 | $60 680 | $485 44 | 0 66% | $3 22 | 61 68% | $185 20 |
| **LOT 2** | 8 000 | 10/10/2013 | $33.510 | $268 08 | $60.680 | $485 44 | 0 66% | $3 22 | 81.08% | $217.36 |
| **LOT 3** | 12 000 | 06/10/2015 | $57 246 | $686 95 | $60 680 | $728 16 | 0 66% | $4 84 | 6.00% | $41 21 |
| **LOT 4** | 11 000 | 12/13/2016 | $63 814 | $701 95 | $60 680 | $667 48 | 0.66% | $4 43 | (4 91)% | $(34 47) |
| **LOT 5** | 17 000 | 12/20/2016 | $60 431 | $1,027 33 | $60 680 | $1,031.56 | 0 66% | $6.85 | 0.41% | $4 23 |
| **HP INCORPORATED (HPQ)** | 93.000 | 05/19/2015 | $15 710 | $1,461 02 | $14 840 | **$1,380.12** | 3 58% | $49.38 | (5 54)% | $(80 90) |
| **HARRIS CORPORATION DEL (HRS)** | 17.000 | 11/14/2016 | $105 348 | $1,790.91 | $102.470 | **$1,741.99** | 2 07% | $36 04 | (2 73)% | $(48 92) |
| **HEARTLAND EXPRESS INCORPORATED (HTLD)** | 82 000 | | $16 182 | $1,326 96 | $20 360 | **$1,669.52** | 0 39% | $6 56 | 25 82% | $342 56 |
| **LOT 1** | 48 000 | 03/04/2013 | $13 570 | $651 36 | $20 360 | $977 28 | 0 39% | $3 84 | 50 04% | $325 92 |
| **LOT 2** | 12 000 | 10/10/2013 | $13 950 | $167 40 | $20 360 | $244 32 | 0 39% | $0 96 | 45 95% | $76 92 |
| **LOT 3** | 22 000 | 07/29/2014 | $23 100 | $508 20 | $20.360 | $447 92 | 0.39% | $1 76 | (11 86)% | $(60 28) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **HITACHI LIMITED ADR 10 COM (JAPAN) (HTHIY)** | 28 000 | | $74.064 | $2,073 79 | $54 186 | **$1,517.21** | 1.69% | $25 68 | (26 84)% | $(556 58) |
| **LOT 1** | 13 000 | 12/17/2013 | $73 262 | $952.41 | $54 186 | $704 42 | 1 69% | $11.92 | (26 04)% | $(247 99) |
| **LOT 2** | 7 000 | 03/31/2014 | $74 440 | $521 08 | $54.186 | $379 30 | 1 69% | $6.42 | (27.21)% | $(141 78) |
| **LOT 3** | 5 000 | 07/29/2014 | $80 490 | $402 45 | $54 186 | $270 93 | 1 69% | $4.59 | (32 68)% | $(131 52) |
| **LOT 4** | 3 000 | 03/11/2015 | $65 950 | $197 85 | $54.186 | $162 56 | 1 69% | $2 75 | (17.84)% | $(35 29) |
| **HOLOGIC INCORPORATED (HOLX)** | 51 000 | 12/16/2016 | $40.360 | $2,058 36 | $40 120 | **$2,046.12** | | | (0 59)% | $(12 24) |
| **HOME DEPOT INCORPORATED (HD)** | 36.000 | | $112 900 | $4,064 40 | $134 080 | **$4,826.88** | 2.06% | $99 36 | 18 76% | $762.48 |
| **LOT 1** | 35 000 | 05/19/2015 | $112 663 | $3,943 22 | $134 080 | $4,692 80 | 2 06% | $96 60 | 19 01% | $749 58 |
| **LOT 2** | 1.000 | 08/20/2015 | $121.180 | $121 18 | $134 080 | $134.08 | 2 06% | $2.76 | 10.65% | $12 90 |
| **ICU MED INCORPORATED (ICUI)** | 16 000 | | $58 925 | $942.80 | $147 350 | **$2,357.60** | | | 150 06% | $1,414.80 |
| **LOT 1** | 9 000 | 03/04/2013 | $56 780 | $511 02 | $147 350 | $1,326 15 | | | 159.51% | $815 13 |
| **LOT 2** | 3 000 | 10/10/2013 | $64 980 | $194 94 | $147.350 | $442.05 | | | 126 76% | $247 11 |
| **LOT 3** | 4 000 | 07/29/2014 | $59 210 | $236 84 | $147 350 | $589 40 | | | 148.86% | $352 56 |
| **IBERIABANK CORPORATION (IBKC)** | 30.000 | | $56 307 | $1,689 21 | $83 750 | **$2,512.50** | 1 72% | $43 20 | 48.74% | $823.29 |
| **LOT 1** | 13.000 | 03/04/2013 | $49.520 | $643.76 | $83.750 | $1,088.75 | 1.72% | $18.72 | 69.12% | $444.99 |
| **LOT 2** | 4 000 | 10/10/2013 | $54 130 | $216 52 | $83 750 | $335 00 | 1 72% | $5 76 | 54 72% | $118 48 |
| **LOT 3** | 7 000 | 07/29/2014 | $66 249 | $463 74 | $83 750 | $586 25 | 1 72% | $10 08 | 26 42% | $122 51 |
| **LOT 4** | 6 000 | 01/07/2015 | $60 865 | $365 19 | $83 750 | $502 50 | 1 72% | $8 64 | 37.60% | $137.31 |
| **IDEXX LABS INCORPORATED (IDXX)** | 16 000 | | $72 041 | $1,152 66 | $117 270 | **$1,876.32** | | | 62.78% | $723 66 |
| **LOT 1** | 7 000 | 08/06/2015 | $75 984 | $531 89 | $117 270 | $820 89 | | | 54 33% | $289 00 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 2** | 9 000 | 10/30/2015 | $68 974 | $620 77 | $117 270 | $1,055 43 | | | 70 02% | $434 66 |
| **INGREDION INCORPORATED (INGR)** | 12 000 | | $117.520 | $1,410 24 | $124.960 | **$1,499.52** | 1.60% | $24 00 | 6.33% | $89 28 |
| **LOT 1** | 9.000 | 05/05/2016 | $117.006 | $1,053 05 | $124 960 | $1,124 64 | 1 60% | $18 00 | 6.80% | $71 59 |
| **LOT 2** | 3 000 | 05/26/2016 | $119 063 | $357 19 | $124 960 | $374 88 | 1 60% | $6 00 | 4 95% | $17 69 |
| **INTEL CORPORATION (INTC)** | 91 000 | | $34.608 | $3,149 34 | $36.270 | **$3,300.57** | 2 87% | $94 64 | 4.80% | $151 23 |
| **LOT 1** | 58 000 | 05/19/2015 | $33 040 | $1,916 31 | $36 270 | $2,103 66 | 2.87% | $60 32 | 9.78% | $187 35 |
| **LOT 2** | 33.000 | 09/16/2016 | $37 365 | $1,233 03 | $36 270 | $1,196 91 | 2 87% | $34 32 | (2.93)% | $(36 12) |
| **INTERNATIONAL BUSINESS MACHINES (IBM)** | 15.000 | | $150 882 | $2,263 23 | $165 990 | **$2,489.85** | 3 37% | $84 00 | 10 01% | $226 62 |
| **LOT 1** | 4.000 | 05/19/2015 | $173 160 | $692.64 | $165 990 | $663 96 | 3 37% | $22.40 | (4 14)% | $(28.68) |
| **LOT 2** | 11 000 | 03/11/2016 | $142.781 | $1,570 59 | $165 990 | $1,825 89 | 3.37% | $61 60 | 16.26% | $255 30 |
| **INTESA SANPAOLO S P A SPON ADR (ITALY) (ISNPY)** | 212 000 | | $18 068 | $3,830.46 | $15 353 | **$3,254.84** | 4 38% | $142 46 | (15 03)% | $(575 62) |
| **LOT 1** | 59 000 | 02/13/2015 | $19.287 | $1,137 92 | $15 353 | $905 83 | 4 38% | $39.64 | (20 40)% | $(232 09) |
| **LOT 2** | 8.000 | 03/11/2015 | $19.099 | $152.79 | $15.353 | $122.82 | 4.38% | $5.38 | (19.62)% | $(29.97) |
| **LOT 3** | 37 000 | 12/15/2015 | $20 287 | $750 61 | $15 353 | $568 06 | 4 38% | $24 86 | (24 32)% | $(182 55) |
| **LOT 4** | 41 000 | 12/17/2015 | $20 303 | $832 44 | $15 353 | $629.47 | 4.38% | $27 55 | (24 38)% | $(202 97) |
| **LOT 5** | 11 000 | 03/16/2016 | $17 237 | $189 61 | $15.353 | $168 88 | 4 38% | $7.39 | (10 93)% | $(20.73) |
| **LOT 6** | 56 000 | 11/03/2016 | $13 698 | $767 09 | $15 353 | $859 77 | 4 38% | $37.63 | 12 08% | $92.68 |
| **JPMORGAN CHASE & COMPANY (JPM)** | 104 000 | | $66 782 | $6,945 31 | $86.290 | **$8,974.16** | 2 23% | $199 68 | 29.21% | $2,028 85 |
| **LOT 1** | 101 000 | 05/19/2015 | $66.998 | $6,766 81 | $86.290 | $8,715 29 | 2 23% | $193 92 | 28.79% | $1,948 48 |
| **LOT 2** | 3 000 | 03/16/2016 | $59 500 | $178 50 | $86.290 | $258 87 | 2 23% | $5.76 | 45.03% | $80.37 |
| **JOHNSON & JOHNSON (JNJ)** | 35.000 | 05/19/2015 | $103 769 | $3,631 93 | $115 210 | **$4,032.35** | 2 78% | $112.00 | 11 02% | $400.42 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est. Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **KBC GROUP NV ADR (BELGIUM) (KBCSY)** | 77 000 | | $30.796 | $2,371 32 | $31 026 | **$2,389.00** | 1 10% | $26 18 | 0 75% | $17 68 |
| LOT 1 | 72 000 | 12/17/2015 | $31 107 | $2,239 68 | $31 026 | $2,233 87 | 1 10% | $24 48 | (0 26)% | $(5 81) |
| LOT 2 | 5 000 | 03/16/2016 | $26.328 | $131 64 | $31 026 | $155.13 | 1.10% | $1 70 | 17 84% | $23 49 |
| **KDDI CORPORATION ADR (JAPAN) (KDDIY)** | 199.000 | | $7.008 | $1,394 52 | $12 590 | **$2,505.41** | 1 37% | $34 43 | 79 66% | $1,110 89 |
| LOT 1 | 165 000 | 03/04/2013 | $6.217 | $1,025 75 | $12 590 | $2,077 35 | 1.37% | $28.55 | 102 52% | $1,051 60 |
| LOT 2 | 7.000 | 10/10/2013 | $9 067 | $63 47 | $12 590 | $88 13 | 1.37% | $1 21 | 38 85% | $24.66 |
| LOT 3 | 27 000 | 09/24/2015 | $11.307 | $305 30 | $12 590 | $339 93 | 1.37% | $4 67 | 11 34% | $34 63 |
| **KINDER MORGAN INCORPORATED DEL (KMI)** | 51 000 | 11/30/2016 | $22 233 | $1,133 90 | $20.710 | **$1,056.21** | 2 41% | $25 50 | (6 85)% | $(77 69) |
| **KUBOTA CORPORATION ADR (JAPAN) (KUBTY)** | 45 000 | | $70.463 | $3,170.82 | $71 527 | **$3,218.72** | 1 47% | $47.34 | 1.51% | $47 90 |
| LOT 1 | 22 000 | 06/22/2016 | $68 545 | $1,507 98 | $71 527 | $1,573.59 | 1 47% | $23 14 | 4 35% | $65 61 |
| LOT 2 | 12 000 | 07/21/2016 | $71 608 | $859 30 | $71 527 | $858 32 | 1 47% | $12 62 | (0.11)% | $(0 98) |
| LOT 3 | 11 000 | 12/21/2016 | $73 049 | $803 54 | $71 527 | $786.80 | 1.47% | $11 57 | (2.08)% | $(16 74) |
| **L OREAL COMPANY ADR (FRANCE) (LRLCY)** | 76 000 | | $36 807 | $2,797 35 | $36 579 | **$2,780.00** | 1 50% | $41 65 | (0 62)% | $(17 35) |
| LOT 1 | 15 000 | 06/18/2014 | $34 665 | $519 98 | $36.579 | $548 69 | 1.50% | $8.22 | 5.52% | $28 71 |
| LOT 2 | 6 000 | 03/11/2015 | $35 710 | $214.26 | $36.579 | $219 47 | 1.50% | $3.29 | 2 43% | $5 21 |
| LOT 3 | 51 000 | 04/30/2015 | $37.745 | $1,925.00 | $36 579 | $1,865 53 | 1.50% | $27.95 | (3 09)% | $(59 47) |
| LOT 4 | 4 000 | 03/16/2016 | $34 528 | $138 11 | $36 579 | $146 32 | 1 50% | $2 19 | 5 94% | $8 21 |
| **LVMH MOET HENNESSY LOU VUITTON ADR (FRANCE) (LVMUY)** | 85 000 | | $35 227 | $2,994 30 | $38 266 | **$3,252.61** | 1 49% | $48 54 | 8 63% | $258 31 |
| LOT 1 | 29.000 | 03/04/2013 | $33.624 | $975.09 | $38.266 | $1,109.71 | 1.49% | $16 56 | 13.81% | $134.62 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est. Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 2 | 15 000 | 10/10/2013 | $39 153 | $587 29 | $38 266 | $573 99 | 1 49% | $8 57 | (2.26)% | $(13.30) |
| LOT 3 | 1.000 | 03/04/2014 | $36 040 | $36 04 | $38.266 | $38 27 | 1 49% | $0.57 | 6 19% | $2 23 |
| LOT 4 | 12 000 | 07/29/2014 | $34.984 | $419.81 | $38 266 | $459 19 | 1 49% | $6 85 | 9.38% | $39.38 |
| LOT 5 | 16 000 | 01/15/2015 | $34 093 | $545 49 | $38 266 | $612.26 | 1.49% | $9 14 | 12 24% | $66 77 |
| LOT 6 | 12 000 | 03/11/2015 | $35 882 | $430 58 | $38.266 | $459 19 | 1 49% | $6 85 | 6.64% | $28 61 |
| **LEAR CORPORATION COM NEW (LEA)** | 29.000 | | $115 453 | $3,348 13 | $132 370 | **$3,838.73** | 0 91% | $34 80 | 14 65% | $490 60 |
| LOT 1 | 28 000 | 05/19/2015 | $115 586 | $3,236 41 | $132 370 | $3,706 36 | 0 91% | $33 60 | 14.52% | $469 95 |
| LOT 2 | 1 000 | 03/16/2016 | $111 720 | $111.72 | $132 370 | $132.37 | 0 91% | $1 20 | 18 48% | $20 65 |
| **LINCOLN ELEC HLDGS INCORPORATED (LECO)** | 28.000 | 08/11/2016 | $64.498 | $1,805.93 | $76 670 | **$2,146.76** | 1 83% | $39 20 | 18.87% | $340.83 |
| **LINDE AG SPONSORED ADR LE (GERMANY) (LNEGY)** | 202.000 | 06/21/2016 | $14 466 | $2,922 11 | $16 465 | **$3,325.93** | 1 65% | $54.94 | 13 82% | $403.82 |
| **LITHIA MTRS INCORPORATED CLASS A (LAD)** | 22.000 | 10/17/2016 | $95 932 | $2,110.51 | $96 830 | **$2,130.26** | 1 03% | $22 00 | 0 94% | $19 75 |
| **LLOYDS BANKING GROUP PLC SPONSORED ADR (UNITED KINGDOM) (LYG)** | 921.000 | 06/14/2016 | $3 628 | $3,341.20 | $3 100 | **$2,855.10** | 4.23% | $120 65 | (14.55)% | $(486 10) |
| **LOCKHEED MARTIN CORPORATION (LMT)** | 5 000 | 05/19/2015 | $193 254 | $966 27 | $249 940 | **$1,249.70** | 2.91% | $36 40 | 29 33% | $283 43 |
| **LOWES COMPANIES INCORPORATED (LOW)** | 22.000 | 02/24/2016 | $67 268 | $1,479 89 | $71.120 | **$1,564.64** | 1 97% | $30 80 | 5 73% | $84 75 |
| **MARKETAXESS HLDGS INCORPORATED (MKTX)** | 30 000 | | $42.047 | $1,261.40 | $146 920 | **$4,407.60** | 0.71% | $31.20 | 249 42% | $3,146 20 |
| LOT 1 | 25.000 | 03/04/2013 | $39.190 | $979.75 | $146.920 | $3,673.00 | 0.71% | $26.00 | 274 89% | $2,693 25 |
| LOT 2 | 5 000 | 07/29/2014 | $56 330 | $281 65 | $146 920 | $734 60 | 0 71% | $5 20 | 160 82% | $452 95 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **MERCK & COMPANY INCORPORATED (MRK)** | 35 000 | | $53 732 | $1,880.63 | $58 870 | **$2,060.45** | 3 19% | $65 80 | 9.56% | $179.82 |
| **LOT 1** | 16 000 | 03/04/2013 | $43 310 | $692.96 | $58.870 | $941 92 | 3 19% | $30 08 | 35 93% | $248 96 |
| **LOT 2** | 19.000 | 10/03/2016 | $62.509 | $1,187 67 | $58 870 | $1,118 53 | 3 19% | $35 72 | (5.82)% | $(69 14) |
| **METLIFE INCORPORATED (MET)** | 36 000 | | $43 187 | $1,554 72 | $53.890 | **$1,940.04** | 2 97% | $57 60 | 24 78% | $385.32 |
| **LOT 1** | 29 000 | 03/04/2016 | $42 445 | $1,230 91 | $53 890 | $1,562 81 | 2 97% | $46 40 | 26 96% | $331 90 |
| **LOT 2** | 7.000 | 04/28/2016 | $46.259 | $323 81 | $53 890 | $377.23 | 2.97% | $11.20 | 16 50% | $53 42 |
| **MICHAELS COMPANIES INCORPORATED (MIK)** | 88.000 | | $27.240 | $2,397 16 | $20.450 | **$1,799.60** | | | (24.93)% | $(597 56) |
| **LOT 1** | 62 000 | 06/30/2016 | $28 130 | $1,744 04 | $20 450 | $1,267 90 | | | (27 30)% | $(476.14) |
| **LOT 2** | 26 000 | 08/11/2016 | $25 120 | $653 12 | $20 450 | $531.70 | | | (18 59)% | $(121 42) |
| **MICROSOFT CORPORATION (MSFT)** | 140.000 | | $52.489 | $7,348 40 | $62 140 | **$8,699.60** | 2.51% | $218 40 | 18 39% | $1,351.20 |
| **LOT 1** | 55.000 | 05/19/2015 | $47.438 | $2,609 09 | $62.140 | $3,417 70 | 2 51% | $85.80 | 30.99% | $808 61 |
| **LOT 2** | 42 000 | 10/26/2015 | $53 748 | $2,257.43 | $62 140 | $2,609.88 | 2.51% | $65 52 | 15 61% | $352.45 |
| **LOT 3** | 21.000 | 11/30/2015 | $54.623 | $1,147.08 | $62.140 | $1,304.94 | 2.51% | $32.76 | 13.76% | $157.86 |
| **LOT 4** | 22 000 | 11/17/2016 | $60 673 | $1,334 80 | $62 140 | $1,367 08 | 2 51% | $34 32 | 2 42% | $32 28 |
| **MICROCHIP TECHNOLOGY INCORPORATED (MCHP)** | 35 000 | | $34 093 | $1,193 25 | $64 150 | **$2,245.25** | 2 25% | $50 47 | 88 16% | $1,052.00 |
| **LOT 1** | 26 000 | 03/04/2013 | $33 049 | $859.28 | $64 150 | $1,667.90 | 2 25% | $37 49 | 94 10% | $808 62 |
| **LOT 2** | 9 000 | 10/10/2013 | $37.108 | $333 97 | $64 150 | $577 35 | 2 25% | $12 98 | 72.87% | $243 38 |
| **MIDDLEBY CORPORATION (MIDD)** | 29 000 | 03/04/2013 | $49 927 | $1,447 87 | $128.810 | **$3,735.49** | | | 158 00% | $2,287 62 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **MITSUBISHI UFJ FINL GROUP INCORPORATED SPONSORED ADR (JAPAN) (MTU)** | 550 000 | | $5 799 | $3,189 63 | $6 160 | **$3,388.00** | 2 37% | $80 30 | 6 22% | $198.37 |
| **LOT 1** | 185.000 | 03/04/2013 | $5 687 | $1,052 15 | $6 160 | $1,139 60 | 2 37% | $27.01 | 8 31% | $87.45 |
| **LOT 2** | 61 000 | 05/30/2013 | $6 089 | $371.41 | $6 160 | $375 76 | 2 37% | $8.91 | 1.17% | $4 35 |
| **LOT 3** | 24 000 | 10/10/2013 | $6 418 | $154 03 | $6 160 | $147 84 | 2 37% | $3 50 | (4 02)% | $(6 19) |
| **LOT 4** | 109 000 | 07/29/2014 | $5 938 | $647.24 | $6.160 | $671.44 | 2 37% | $15 91 | 3.74% | $24 20 |
| **LOT 5** | 89 000 | 12/11/2014 | $5.668 | $504.42 | $6 160 | $548 24 | 2 37% | $12 99 | 8.69% | $43 82 |
| **LOT 6** | 48 000 | 03/11/2015 | $6 199 | $297 55 | $6 160 | $295.68 | 2 37% | $7 01 | (0 63)% | $(1 87) |
| **LOT 7** | 34.000 | 03/16/2016 | $4 789 | $162 83 | $6 160 | $209 44 | 2.37% | $4 96 | 28 62% | $46 61 |
| **MOHAWK INDUSTRIES INCORPORATED (MHK)** | 3 000 | 09/18/2015 | $204 540 | $613.62 | $199.680 | **$599.04** | | | (2 38)% | $(14 58) |
| **NESTLE S A SPONSORED ADR (SWITZERLAND) (NSRGY)** | 80 000 | | $70.743 | $5,659.43 | $71 875 | **$5,750.00** | 2 71% | $155 76 | 1 60% | $90.57 |
| **LOT 1** | 29 000 | 03/04/2013 | $69 750 | $2,022.75 | $71 875 | $2,084 38 | 2 71% | $56 46 | 3 05% | $61 63 |
| **LOT 2** | 7.000 | 09/11/2013 | $66 290 | $464 03 | $71.875 | $503 13 | 2 71% | $13.63 | 8.43% | $39 10 |
| **LOT 3** | 18 000 | 10/10/2013 | $67.760 | $1,219.68 | $71.875 | $1,293 75 | 2 71% | $35 05 | 6 07% | $74 07 |
| **LOT 4** | 1.000 | 03/04/2014 | $75 320 | $75.32 | $71 875 | $71 88 | 2 71% | $1 95 | (4 57)% | $(3 44) |
| **LOT 5** | 15 000 | 07/29/2014 | $76 050 | $1,140.75 | $71 875 | $1,078 13 | 2 71% | $29.21 | (5 49)% | $(62 62) |
| **LOT 6** | 5.000 | 03/11/2015 | $75 060 | $375 30 | $71 875 | $359 38 | 2.71% | $9 74 | (4.24)% | $(15.92) |
| **LOT 7** | 5.000 | 03/16/2016 | $72.320 | $361 60 | $71 875 | $359.38 | 2.71% | $9.74 | (0 61)% | $(2.22) |
| **NORDSON CORPORATION (NDSN)** | 22 000 | | $74.492 | $1,638.83 | $112.050 | **$2,465.10** | 0.96% | $23.76 | 50.42% | $826.27 |
| **LOT 1** | 17 000 | 12/19/2013 | $73 346 | $1,246 88 | $112 050 | $1,904 85 | 0 96% | $18 36 | 52 77% | $657 97 |
| **LOT 2** | 5 000 | 07/29/2014 | $78 390 | $391 95 | $112 050 | $560.25 | 0.96% | $5.40 | 42.94% | $168 30 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est Income Yield | Est Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **NORTHROP GRUMMAN CORPORATION (NOC)** | 20.000 | 05/19/2015 | $158 568 | $3,171 36 | $232 580 | **$4,651.60** | 1 55% | $72 00 | 46 68% | $1,480 24 |
| **NOVARTIS A G SPONSORED ADR (SWITZERLAND) (NVS)** | 73 000 | | $75 054 | $5,478.91 | $72.840 | **$5,317.32** | 3 16% | $168 12 | (2 95)% | $(161 59) |
| LOT 1 | 30.000 | 03/04/2013 | $68 770 | $2,063 10 | $72 840 | $2,185.20 | 3 16% | $69.09 | 5.92% | $122.10 |
| LOT 2 | 14 000 | 10/10/2013 | $73 969 | $1,035 57 | $72 840 | $1,019 76 | 3 16% | $32 24 | (1 53)% | $(15 81) |
| LOT 3 | 6 000 | 02/11/2014 | $80.747 | $484 48 | $72 840 | $437 04 | 3 16% | $13 82 | (9 79)% | $(47 44) |
| LOT 4 | 7.000 | 07/29/2014 | $88 499 | $619 49 | $72 840 | $509.88 | 3.16% | $16 12 | (17 69)% | $(109 61) |
| LOT 5 | 4 000 | 03/11/2015 | $96 518 | $386 07 | $72 840 | $291 36 | 3.16% | $9 21 | (24.53)% | $(94 71) |
| LOT 6 | 4.000 | 03/16/2016 | $72 620 | $290 48 | $72 840 | $291 36 | 3 16% | $9 21 | 0 30% | $0 88 |
| LOT 7 | 8 000 | 04/12/2016 | $74 965 | $599.72 | $72 840 | $582 72 | 3 16% | $18 42 | (2 83)% | $(17 00) |
| **NVIDIA CORPORATION (NVDA)** | 24.000 | 09/01/2016 | $63 066 | $1,513 59 | $106.740 | **$2,561.76** | 0 52% | $13.44 | 69 25% | $1,048 17 |
| **OGE ENERGY CORPORATION (OGE)** | 64 000 | | $30 984 | $1,982 99 | $33 450 | **$2,140.80** | 3 62% | $77.44 | 7.96% | $157 81 |
| LOT 1 | 42.000 | 08/11/2016 | $31 293 | $1,314.30 | $33.450 | $1,404 90 | 3 62% | $50 82 | 6 89% | $90.60 |
| LOT 2 | 22 000 | 10/17/2016 | $30 395 | $668 69 | $33 450 | $735 90 | 3 62% | $26 62 | 10.05% | $67 21 |
| **OSHKOSH CORPORATION (OSK)** | 44 000 | | $55 527 | $2,443.18 | $64.610 | **$2,842.84** | 1 30% | $36 96 | 16 36% | $399 66 |
| LOT 1 | 29 000 | 09/30/2016 | $56 336 | $1,633.74 | $64 610 | $1,873 69 | 1 30% | $24 36 | 14 69% | $239 95 |
| LOT 2 | 15 000 | 10/11/2016 | $53.963 | $809 44 | $64 610 | $969.15 | 1.30% | $12 60 | 19.73% | $159 71 |
| **OWENS CORNING NEW (OC)** | 45.000 | 01/20/2016 | $42.047 | $1,892.10 | $51.560 | **$2,320.20** | 1.55% | $36.00 | 22.63% | $428.10 |
| **PFIZER INCORPORATED (PFE)** | 86 000 | 03/04/2013 | $27 658 | $2,378 59 | $32 480 | **$2,793.28** | 3 94% | $110 08 | 17 43% | $414 69 |
| **PHILIP MORRIS INTERNATIONAL INCORPORATED (PM)** | 27 000 | | $99 645 | $2,690 42 | $91 490 | **$2,470.23** | 4 55% | $112 32 | (8.18)% | $(220 19) |
| LOT 1 | 9 000 | 04/06/2016 | $100 603 | $905 43 | $91 490 | $823 41 | 4 55% | $37 44 | (9 06)% | $(82 02) |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est. Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 2** | 8.000 | 04/14/2016 | $100 083 | $800 66 | $91 490 | $731.92 | 4.55% | $33 28 | (8 59)% | $(68 74) |
| **LOT 3** | 10.000 | 09/14/2016 | $98 433 | $984 33 | $91 490 | $914 90 | 4.55% | $41 60 | (7 05)% | $(69.43) |
| **PORTLAND GENERAL ELEC COMPANY COM NEW (POR)** | 55 000 | | $37.160 | $2,043 81 | $43 330 | **$2,383.15** | 2.95% | $70 40 | 16.60% | $339 34 |
| **LOT 1** | 43 000 | 01/04/2016 | $35 842 | $1,541 21 | $43 330 | $1,863 19 | 2.95% | $55 04 | 20 89% | $321 98 |
| **LOT 2** | 12 000 | 06/08/2016 | $41 883 | $502 60 | $43 330 | $519 96 | 2 95% | $15 36 | 3 45% | $17 36 |
| **POWER INTEGRATIONS INCORPORATED (POWI)** | 37 000 | | $48 513 | $1,794 98 | $67 850 | **$2,510.45** | 0 77% | $19.24 | 39.86% | $715 47 |
| **LOT 1** | 10 000 | 03/04/2013 | $40 930 | $409 30 | $67 850 | $678 50 | 0 77% | $5 20 | 65 77% | $269.20 |
| **LOT 2** | 3 000 | 10/10/2013 | $54 080 | $162 24 | $67 850 | $203 55 | 0 77% | $1 56 | 25.46% | $41.31 |
| **LOT 3** | 8 000 | 05/02/2014 | $49 415 | $395 32 | $67 850 | $542 80 | 0.77% | $4 16 | 37 31% | $147.48 |
| **LOT 4** | 8 000 | 07/29/2014 | $53 930 | $431 44 | $67.850 | $542.80 | 0 77% | $4.16 | 25.81% | $111.36 |
| **LOT 5** | 4.000 | 10/30/2015 | $50 630 | $202 52 | $67.850 | $271.40 | 0 77% | $2 08 | 34 01% | $68 88 |
| **LOT 6** | 4.000 | 03/16/2016 | $48.540 | $194.16 | $67 850 | $271 40 | 0.77% | $2 08 | 39 78% | $77 24 |
| **PREMIER INCORPORATED CLASS A (PINC)** | 46.000 | | $32 822 | $1,509 82 | $30.360 | **$1,396.56** | | | (7 50)% | $(113 26) |
| **LOT 1** | 33 000 | 01/13/2016 | $32 962 | $1,087.76 | $30.360 | $1,001.88 | | | (7.90)% | $(85.88) |
| **LOT 2** | 13 000 | 02/12/2016 | $32 466 | $422 06 | $30 360 | $394 68 | | | (6 49)% | $(27 38) |
| **PRICESMART INCORPORATED (PSMT)** | 29 000 | | $81 546 | $2,364 82 | $83 500 | **$2,421.50** | 0 84% | $20 30 | 2 40% | $56 68 |
| **LOT 1** | 10 000 | 03/04/2013 | $74 150 | $741 50 | $83.500 | $835 00 | 0 84% | $7 00 | 12.61% | $93 50 |
| **LOT 2** | 4.000 | 06/21/2013 | $87 253 | $349 01 | $83 500 | $334 00 | 0.84% | $2.80 | (4.30)% | $(15 01) |
| **LOT 3** | 4 000 | 10/10/2013 | $97 060 | $388 24 | $83.500 | $334 00 | 0 84% | $2 80 | (13 97)% | $(54 24) |
| **LOT 4** | 7 000 | 07/29/2014 | $81 650 | $571 55 | $83 500 | $584 50 | 0 84% | $4 90 | 2 27% | $12 95 |
| **LOT 5** | 4 000 | 04/16/2015 | $78 630 | $314 52 | $83.500 | $334 00 | 0 84% | $2 80 | 6 19% | $19 48 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **PROASSURANCE CORPORATION (PRA)** | 55 000 | | $45 316 | $2,492 40 | $56 200 | **$3,091.00** | 2 21% | $68 20 | 24 02% | $598 60 |
| **LOT 1** | 26 000 | 03/04/2013 | $46 650 | $1,212 90 | $56 200 | $1,461 20 | 2 21% | $32 24 | 20 47% | $248.30 |
| **LOT 2** | 13 000 | 10/10/2013 | $43.518 | $565.74 | $56.200 | $730 60 | 2 21% | $16 12 | 29 14% | $164 86 |
| **LOT 3** | 16 000 | 07/29/2014 | $44 610 | $713 76 | $56 200 | $899 20 | 2.21% | $19 84 | 25 98% | $185 44 |
| **PROCTER AND GAMBLE COMPANY (PG)** | 20 000 | 11/08/2016 | $87 508 | $1,750 16 | $84 080 | **$1,681.60** | 3 19% | $53 56 | (3 92)% | $(68 56) |
| **PRUDENTIAL FINL INCORPORATED (PRU)** | 28.000 | | $85 653 | $2,398 27 | $104 060 | **$2,913.68** | 2.69% | $78 40 | 21.49% | $515 41 |
| **LOT 1** | 17.000 | 05/19/2015 | $86 108 | $1,463 84 | $104 060 | $1,769 02 | 2 69% | $47.60 | 20 85% | $305.18 |
| **LOT 2** | 11 000 | 10/05/2016 | $84 948 | $934 43 | $104 060 | $1,144 66 | 2 69% | $30 80 | 22 50% | $210 23 |
| **QUAKER CHEMICAL CORPORATION (KWR)** | 15.000 | | $79 293 | $1,189 40 | $127.940 | **$1,919.10** | 1 08% | $20 70 | 61 35% | $729 70 |
| **LOT 1** | 12 000 | 09/15/2015 | $79 052 | $948 62 | $127 940 | $1,535 28 | 1.08% | $16 56 | 61 84% | $586 66 |
| **LOT 2** | 3 000 | 09/16/2015 | $80 260 | $240 78 | $127 940 | $383 82 | 1 08% | $4 14 | 59 41% | $143 04 |
| **QEP RES INCORPORATED (QEP)** | 203.000 | | $19.649 | $3,988.84 | $18.410 | **$3,737.23** | | | (6 31)% | $(251 61) |
| **LOT 1** | 15 000 | 03/04/2013 | $29 270 | $439 05 | $18.410 | $276.15 | | | (37.10)% | $(162.90) |
| **LOT 2** | 13 000 | 10/10/2013 | $29.010 | $377.13 | $18 410 | $239 33 | | | (36.54)% | $(137.80) |
| **LOT 3** | 34.000 | 01/29/2015 | $18 965 | $644 82 | $18.410 | $625 94 | | | (2 93)% | $(18 88) |
| **LOT 4** | 76 000 | 07/13/2016 | $17 434 | $1,325 01 | $18 410 | $1,399 16 | | | 5 60% | $74 15 |
| **LOT 5** | 65 000 | 08/04/2016 | $18 505 | $1,202 83 | $18 410 | $1,196 65 | | | (0.51)% | $(6.18) |
| **QUALCOMM INCORPORATED (QCOM)** | 26 000 | 01/13/2016 | $46 117 | $1,199 03 | $65 200 | **$1,695.20** | 3 25% | $55 12 | 41 38% | $496 17 |
| **RPM INTERNATIONAL INCORPORATED (RPM)** | 92.000 | | $35 710 | $3,285 33 | $53 830 | **$4,952.36** | 2 23% | $110 40 | 50 74% | $1,667 03 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 1** | 50 000 | 03/04/2013 | $30 320 | $1,515 99 | $53 830 | $2,691 50 | 2 23% | $60 00 | 77 54% | $1,175 51 |
| **LOT 2** | 18 000 | 10/10/2013 | $36 950 | $665 10 | $53.830 | $968.94 | 2.23% | $21 60 | 45 68% | $303 84 |
| **LOT 3** | 24.000 | 07/29/2014 | $46 010 | $1,104 24 | $53.830 | $1,291 92 | 2 23% | $28 80 | 17 00% | $187 68 |
| **RAYTHEON COMPANY COM NEW (RTN)** | 29 000 | 05/19/2015 | $106 610 | $3,091 69 | $142 000 | **$4,118.00** | 2.06% | $84 97 | 33 20% | $1,026 31 |
| **RBC BEARINGS INCORPORATED (ROLL)** | 30 000 | | $55.425 | $1,662 75 | $92 810 | **$2,784.30** | | | 67.45% | $1,121.55 |
| **LOT 1** | 12 000 | 03/04/2013 | $49 020 | $588 24 | $92 810 | $1,113.72 | | | 89 33% | $525 48 |
| **LOT 2** | 5 000 | 10/10/2013 | $64 710 | $323 55 | $92.810 | $464 05 | | | 43 42% | $140 50 |
| **LOT 3** | 6 000 | 07/29/2014 | $58 150 | $348 90 | $92 810 | $556 86 | | | 59 60% | $207 96 |
| **LOT 4** | 7 000 | 08/08/2014 | $57 437 | $402 06 | $92 810 | $649 67 | | | 61 59% | $247 61 |
| **RECKITT BENCKISER PLC SPONSORED ADR (UNITED KINGDOM) (RBGLY)** | 179 000 | | $14.827 | $2,653 99 | $17 017 | **$3,046.04** | 2 27% | $69 09 | 14 77% | $392.05 |
| **LOT 1** | 76.000 | 03/04/2013 | $13 369 | $1,016 06 | $17 017 | $1,293 29 | 2 27% | $29 33 | 27.28% | $277 23 |
| **LOT 2** | 41 000 | 10/10/2013 | $13 525 | $554 53 | $17 017 | $697 70 | 2 27% | $15 82 | 25.82% | $143 17 |
| **LOT 3** | 33 000 | 07/29/2014 | $17 455 | $576.02 | $17 017 | $561 56 | 2 27% | $12 73 | (2 51)% | $(14.46) |
| **LOT 4** | 13 000 | 03/11/2015 | $17 150 | $222 95 | $17.017 | $221 22 | 2 27% | $5 02 | (0 78)% | $(1.73) |
| **LOT 5** | 16 000 | 05/01/2015 | $17 777 | $284 43 | $17 017 | $272 27 | 2 27% | $6 17 | (4 28)% | $(12 16) |
| **RELX NV SPONSORED ADR (NETHERLANDS) (RENX)** | 221.000 | | $14 767 | $3,263 59 | $16 760 | **$3,703.96** | 2 33% | $86.19 | 13 49% | $440.37 |
| **LOT 1** | 123 040 | 03/19/2014 | $14 049 | $1,728 55 | $16 760 | $2,062 15 | 2 33% | $47 99 | 19 30% | $333 60 |
| **LOT 2** | 33.836 | 07/29/2014 | $15 049 | $509 19 | $16 760 | $567 09 | 2 33% | $13 20 | 11 37% | $57.90 |
| **LOT 3** | 9 124 | 03/11/2015 | $15 825 | $144.39 | $16 760 | $152.92 | 2 33% | $3 56 | 5.91% | $8 53 |
| **LOT 4** | 39 000 | 09/23/2015 | $15 619 | $609 16 | $16 760 | $653 64 | 2 33% | $15 21 | 7 30% | $44 48 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 5** | 16 000 | 03/16/2016 | $17 019 | $272 30 | $16 760 | $268 16 | 2 33% | $6 24 | (1 52)% | $(4 14) |
| **RIO TINTO PLC SPONSORED ADR (UNITED KINGDOM) (RIO)** | 117.000 | | $48.053 | $5,622.17 | $38.460 | **$4,499.82** | 3 93% | $176 90 | (19.96)% | $(1,122 35) |
| **LOT 1** | 31 000 | 03/04/2013 | $50 460 | $1,564 26 | $38 460 | $1,192 26 | 3.93% | $46 87 | (23 78)% | $(372 00) |
| **LOT 2** | 4.000 | 05/03/2013 | $47 000 | $188 00 | $38.460 | $153 84 | 3 93% | $6 05 | (18.17)% | $(34 16) |
| **LOT 3** | 5 000 | 07/18/2013 | $44 780 | $223 90 | $38 460 | $192 30 | 3 93% | $7 56 | (14 11)% | $(31 60) |
| **LOT 4** | 29 000 | 10/10/2013 | $48 549 | $1,407 92 | $38.460 | $1,115.34 | 3 93% | $43.85 | (20.78)% | $(292.58) |
| **LOT 5** | 19 000 | 07/29/2014 | $58.990 | $1,120.81 | $38 460 | $730 74 | 3.93% | $28 73 | (34 80)% | $(390 07) |
| **LOT 6** | 7.000 | 03/11/2015 | $42 529 | $297.70 | $38 460 | $269 22 | 3.93% | $10 58 | (9 57)% | $(28 48) |
| **LOT 7** | 12 000 | 05/01/2015 | $45.590 | $547 08 | $38 460 | $461.52 | 3.93% | $18.14 | (15 64)% | $(85 56) |
| **LOT 8** | 10 000 | 03/16/2016 | $27 250 | $272 50 | $38 460 | $384 60 | 3 93% | $15 12 | 41.14% | $112.10 |
| **RITCHIE BROS AUCTIONEERS (CANADA) (RBA)** | 81 000 | | $21.470 | $1,739.09 | $34 000 | **$2,754.00** | 2 00% | $55 08 | 58.36% | $1,014.91 |
| **LOT 1** | 26.000 | 03/04/2013 | $21.470 | $558.22 | $34 000 | $884 00 | 2 00% | $17 68 | 58.36% | $325 78 |
| **LOT 2** | 13 000 | 10/10/2013 | $18 520 | $240 76 | $34.000 | $442 00 | 2 00% | $8 84 | 83.59% | $201.24 |
| **LOT 3** | 21 000 | 10/29/2013 | $19 897 | $417.84 | $34 000 | $714 00 | 2 00% | $14 28 | 70 88% | $296 16 |
| **LOT 4** | 21.000 | 07/29/2014 | $24.870 | $522 27 | $34 000 | $714.00 | 2 00% | $14.28 | 36 71% | $191 73 |
| **ROCHE HLDG LIMITED SPONSORED ADR (SWITZERLAND) (RHHBY)** | 167.000 | | $29.361 | $4,903 27 | $28 607 | **$4,777.37** | 2 93% | $139 95 | (2 57)% | $(125 90) |
| **LOT 1** | 92 000 | 03/04/2013 | $28.670 | $2,637 64 | $28 607 | $2,631.84 | 2 93% | $77 10 | (0 22)% | $(5.80) |
| **LOT 2** | 24.000 | 03/26/2013 | $28.985 | $695.64 | $28.607 | $686.57 | 2.93% | $20.11 | (1.30)% | $(9.07) |
| **LOT 3** | 28 000 | 04/09/2013 | $29 904 | $837 30 | $28 607 | $801 00 | 2 93% | $23 46 | (4 34)% | $(36.30) |
| **LOT 4** | 3.000 | 10/10/2013 | $32.440 | $97.32 | $28 607 | $85.82 | 2.93% | $2.51 | (11 82)% | $(11 50) |
| **LOT 5** | 11 000 | 03/11/2015 | $32 430 | $356 73 | $28 607 | $314.68 | 2 93% | $9 22 | (11 79)% | $(42 05) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 6** | 9 000 | 03/16/2016 | $30 960 | $278 64 | $28 607 | $257.46 | 2 93% | $7 54 | (7 60)% | $(21.18) |
| **SS&C TECHNOLOGIES HLDGS INCORPORATED (SSNC)** | 64 000 | | $21 883 | $1,400.50 | $28 600 | **$1,830.40** | 0 87% | $16 00 | 30.70% | $429 90 |
| **LOT 1** | 50 000 | 06/03/2014 | $21 934 | $1,096 70 | $28 600 | $1,430 00 | 0 87% | $12 50 | 30 39% | $333 30 |
| **LOT 2** | 14 000 | 07/25/2014 | $21 700 | $303 80 | $28 600 | $400.40 | 0 87% | $3 50 | 31 80% | $96 60 |
| **SVB FINL GROUP (SIVB)** | 23.000 | | $74 370 | $1,710 51 | $171 660 | **$3,948.18** | | | 130.82% | $2,237 67 |
| **LOT 1** | 17 000 | 03/04/2013 | $67 050 | $1,139 85 | $171 660 | $2,918 22 | | | 156.02% | $1,778 37 |
| **LOT 2** | 6.000 | 03/10/2016 | $95 110 | $570 66 | $171 660 | $1,029 96 | | | 80.49% | $459.30 |
| **SCHLUMBERGER LIMITED (NETHERLANDS ANTILLES) (SLB)** | 28 000 | 04/01/2016 | $72 120 | $2,019 36 | $83 950 | **$2,350.60** | 2.38% | $56.00 | 16.40% | $331 24 |
| **SCHNEIDER ELECTRIC SE ADR (FRANCE) (SBGSY)** | 277 000 | | $14 562 | $4,033 56 | $13 946 | **$3,863.04** | 2 90% | $112 19 | (4 23)% | $(170.52) |
| **LOT 1** | 62 000 | 01/08/2014 | $16 696 | $1,035 17 | $13 946 | $864.65 | 2 90% | $25.11 | (16.47)% | $(170 52) |
| **LOT 2** | 19.000 | 07/29/2014 | $18.176 | $345.35 | $13.946 | $264.97 | 2.90% | $7.70 | (23.27)% | $(80.38) |
| **LOT 3** | 131 000 | 07/14/2015 | $14 066 | $1,842 59 | $13 946 | $1,826 93 | 2 90% | $53 06 | (0 85)% | $(15 66) |
| **LOT 4** | 49 000 | 11/06/2015 | $12 555 | $615 18 | $13 946 | $683 35 | 2 90% | $19 85 | 11 08% | $68 17 |
| **LOT 5** | 16 000 | 03/16/2016 | $12 204 | $195 27 | $13 946 | $223 14 | 2 90% | $6 48 | 14 27% | $27 87 |
| **SEVEN & I HLDGS COMPANY LIMITED ADR (JAPAN) (SVNDY)** | 97 000 | | $17 872 | $1,733 55 | $19 090 | **$1,851.73** | 1 56% | $28 81 | 6 82% | $118 18 |
| **LOT 1** | 44 000 | 03/04/2013 | $14 963 | $658 35 | $19 090 | $839 96 | 1 56% | $13 07 | 27 59% | $181 61 |
| **LOT 2** | 20 000 | 10/10/2013 | $18 863 | $377 25 | $19 090 | $381 80 | 1 56% | $5 94 | 1 21% | $4 55 |
| **LOT 3** | 20 000 | 07/29/2014 | $21 723 | $434 45 | $19 090 | $381 80 | 1 56% | $5 94 | (12 12)% | $(52 65) |
| **LOT 4** | 7 000 | 03/11/2015 | $19 210 | $134 47 | $19 090 | $133 63 | 1 56% | $2 08 | (0.62)% | $(0 84) |
| **LOT 5** | 6 000 | 03/16/2016 | $21 505 | $129 03 | $19 090 | $114 54 | 1 56% | $1 78 | (11.23)% | $(14 49) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **SIGNATURE BK NEW YORK N Y (SBNY)** | 12.000 | 03/04/2013 | $74 600 | $895 20 | $150 200 | **$1,802.40** | | | 101 34% | $907 20 |
| **SOFTBANK GROUP CORPORATION ADR (JAPAN) (SFTBY)** | 59.000 | | $29.196 | $1,722 54 | $33 288 | **$1,963.99** | 0 40% | $7 85 | 14 02% | $241 45 |
| **LOT 1** | 55 000 | 06/11/2015 | $29 470 | $1,620 84 | $33.288 | $1,830 84 | 0 40% | $7 32 | 12.96% | $210 00 |
| **LOT 2** | 4 000 | 03/16/2016 | $25 425 | $101.70 | $33 288 | $133 15 | 0 40% | $0.53 | 30 92% | $31.45 |
| **STEEL DYNAMICS INCORPORATED (STLD)** | 97 000 | | $21 255 | $2,061 77 | $35.580 | **$3,451.26** | 1 57% | $54 32 | 67.39% | $1,389 49 |
| **LOT 1** | 61 000 | 03/07/2016 | $20.249 | $1,235 20 | $35 580 | $2,170 38 | 1.57% | $34.16 | 75 71% | $935 18 |
| **LOT 2** | 29 000 | 04/06/2016 | $22.761 | $660 07 | $35 580 | $1,031.82 | 1.57% | $16 24 | 56 32% | $371.75 |
| **LOT 3** | 7.000 | 04/14/2016 | $23.786 | $166.50 | $35.580 | $249.06 | 1.57% | $3.92 | 49.59% | $82.56 |
| **SUMITOMO MITSUI FINL GROUP INCORPORATED SPONSORED ADR (JAPAN) (SMFG)** | 608 000 | | $7 326 | $4,453.96 | $7 640 | **$4,645.12** | 3 12% | $144 70 | 4 29% | $191 16 |
| **LOT 1** | 192 000 | 03/04/2013 | $8 220 | $1,578 22 | $7.640 | $1,466 88 | 3 12% | $45 68 | (7 05)% | $(111.34) |
| **LOT 2** | 63 000 | 07/29/2014 | $8 250 | $519 75 | $7 640 | $481 32 | 3 12% | $14 99 | (7.39)% | $(38 43) |
| **LOT 3** | 30.000 | 03/11/2015 | $7 758 | $232 74 | $7 640 | $229 20 | 3.12% | $7.14 | (1 52)% | $(3 54) |
| **LOT 4** | 21 000 | 03/16/2016 | $6 300 | $132 30 | $7 640 | $160 44 | 3 12% | $5 00 | 21 27% | $28 14 |
| **LOT 5** | 83.000 | 04/12/2016 | $6 142 | $509 78 | $7 640 | $634 12 | 3.12% | $19 75 | 24 39% | $124.34 |
| **LOT 6** | 137 000 | 07/20/2016 | $6 049 | $828.75 | $7 640 | $1,046 68 | 3 12% | $32 59 | 26 30% | $217.93 |
| **LOT 7** | 82 000 | 12/20/2016 | $7 956 | $652 42 | $7 640 | $626 48 | 3 12% | $19 51 | (3 98)% | $(25 94) |
| **SUPERIOR ENERGY SVCS INCORPORATED (SPN)** | 65.000 | 05/19/2015 | $22.709 | $1,476 08 | $16 880 | **$1,097.20** | 1 90% | $20 80 | (25.67)% | $(378 88) |
| **SYMANTEC CORPORATION (SYMC)** | 80.000 | 08/18/2016 | $23.118 | $1,849 46 | $23 890 | **$1,911.20** | 1 26% | $24 00 | 3.34% | $61 74 |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **SYMRISE AG ADR (GERMANY) (SYIEY)** | 173 000 | | $11 316 | $1,957 71 | $15 249 | **$2,638.08** | 0 97% | $25 60 | 34 75% | $680 37 |
| **LOT 1** | 76 000 | 03/04/2013 | $9 533 | $724 47 | $15 249 | $1,158 92 | 0 97% | $11 24 | 59 97% | $434 45 |
| **LOT 2** | 44.000 | 10/10/2013 | $10.610 | $466.84 | $15 249 | $670 96 | 0 97% | $6 51 | 43 72% | $204 12 |
| **LOT 3** | 31 000 | 07/29/2014 | $13.580 | $420.98 | $15 249 | $472 72 | 0 97% | $4.58 | 12 29% | $51 74 |
| **LOT 4** | 12 000 | 03/11/2015 | $15 360 | $184 32 | $15 249 | $182 99 | 0.97% | $1 77 | (0.72)% | $(1 33) |
| **LOT 5** | 10 000 | 03/16/2016 | $16.110 | $161 10 | $15 249 | $152.49 | 0 97% | $1 48 | (5.34)% | $(8.61) |
| **TAIWAN SEMICONDUCTOR MFG LIMITED SPONSORED ADR (TAIWAN) (TSM)** | 160 000 | | $21 194 | $3,391 03 | $28.750 | **$4,600.00** | 2 62% | $120 32 | 35.65% | $1,208 97 |
| **LOT 1** | 35 000 | 03/04/2013 | $18 170 | $635.94 | $28.750 | $1,006 25 | 2.62% | $26 32 | 58 23% | $370 31 |
| **LOT 2** | 31 000 | 10/10/2013 | $17 650 | $547 15 | $28 750 | $891 25 | 2.62% | $23 31 | 62 89% | $344 10 |
| **LOT 3** | 19 000 | 07/29/2014 | $20 660 | $392 54 | $28 750 | $546 25 | 2 62% | $14 29 | 39 16% | $153 71 |
| **LOT 4** | 29 000 | 12/12/2014 | $22 114 | $641 30 | $28 750 | $833.75 | 2 62% | $21 81 | 30.01% | $192 45 |
| **LOT 5** | 11.000 | 03/11/2015 | $23.530 | $258 83 | $28 750 | $316 25 | 2 62% | $8.27 | 22 18% | $57 42 |
| **LOT 6** | 10 000 | 03/16/2016 | $25 020 | $250 20 | $28 750 | $287.50 | 2 62% | $7 52 | 14 91% | $37 30 |
| **LOT 7** | 25.000 | 06/21/2016 | $26 603 | $665 07 | $28.750 | $718 75 | 2 62% | $18.80 | 8 07% | $53 68 |
| **TECHNIP NEW SPONSORED ADR (FRANCE) (TKPPY)** | 172.000 | | $16 225 | $2,790 72 | $17.881 | **$3,075.53** | 2 07% | $63 81 | 10.21% | $284 81 |
| **LOT 1** | 48 000 | 01/10/2014 | $23.769 | $1,140 91 | $17 881 | $858.29 | 2 07% | $17.80 | (24 77)% | $(282 62) |
| **LOT 2** | 15 000 | 07/29/2014 | $23 367 | $350 50 | $17 881 | $268 22 | 2 07% | $5 56 | (23 48)% | $(82 28) |
| **LOT 3** | 100 000 | 01/28/2016 | $11.753 | $1,175 31 | $17 881 | $1,788 10 | 2 07% | $37 09 | 52.14% | $612.79 |
| **LOT 4** | 9.000 | 03/16/2016 | $13 778 | $124 00 | $17 881 | $160 93 | 2.07% | $3.34 | 29 78% | $36.93 |
| **TECHTRONIC INDUSTRIES LIMITED SPONSORED ADR (HONG KONG) (TTNDY)** | 141 000 | | $18 785 | $2,648.65 | $17 928 | **$2,527.85** | 1.37% | $34.55 | (4.56)% | $(120.80) |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 1 | 58.000 | 11/04/2016 | $18.398 | $1,067 08 | $17 928 | $1,039 82 | 1 37% | $14 21 | (2 55)% | $(27 26) |
| LOT 2 | 12 000 | 11/07/2016 | $18.879 | $226 55 | $17 928 | $215 14 | 1 37% | $2 94 | (5 04)% | $(11 41) |
| LOT 3 | 36 000 | 12/14/2016 | $19 040 | $685 45 | $17.928 | $645 41 | 1 37% | $8.82 | (5 84)% | $(40 04) |
| LOT 4 | 35 000 | 12/15/2016 | $19 131 | $669 57 | $17 928 | $627.48 | 1.37% | $8 58 | (6 29)% | $(42 09) |
| TEXAS CAPITAL BANCSHARES INCORPORATED (TCBI) | 29 000 | 11/14/2014 | $59 419 | $1,723.14 | $78 400 | **$2,273.60** | | | 31 95% | $550 46 |
| THERMO FISHER SCIENTIFIC INCORPORATED (TMO) | 11 000 | 10/18/2016 | $151.751 | $1,669 26 | $141 100 | **$1,552.10** | 0.43% | $6 60 | (7.02)% | $(117.16) |
| THOR INDUSTRIES INCORPORATED (THO) | 13 000 | 10/18/2016 | $82 009 | $1,066.12 | $100 050 | **$1,300.65** | 1 32% | $17.16 | 22 00% | $234 53 |
| TOKIO MARINE HOLDINGS INCORPORATED ADR (JAPAN) (TKOMY) | 42 000 | | $31.175 | $1,309 37 | $41 120 | **$1,727.04** | 2 32% | $40.15 | 31 90% | $417 67 |
| LOT 1 | 18 000 | 03/04/2013 | $28 820 | $518.76 | $41.120 | $740 16 | 2 32% | $17 21 | 42.68% | $221 40 |
| LOT 2 | 10 000 | 10/10/2013 | $32 180 | $321 80 | $41.120 | $411 20 | 2 32% | $9 56 | 27.78% | $89.40 |
| LOT 3 | 8.000 | 07/29/2014 | $32.490 | $259 92 | $41.120 | $328 96 | 2 32% | $7.65 | 26 56% | $69 04 |
| LOT 4 | 3 000 | 03/11/2015 | $34 990 | $104 97 | $41 120 | $123 36 | 2 32% | $2.87 | 17 52% | $18 39 |
| LOT 5 | 3 000 | 03/16/2016 | $34 640 | $103 92 | $41 120 | $123 36 | 2 32% | $2 87 | 18 71% | $19.44 |
| TORO COMPANY (TTC) | 54 000 | | $23 395 | $1,263 35 | $55 950 | **$3,021.30** | 1 25% | $37 80 | 139 15% | $1,757 95 |
| LOT 1 | 46 000 | 03/04/2013 | $22.685 | $1,043 51 | $55 950 | $2,573 70 | 1 25% | $32 20 | 146 64% | $1,530 19 |
| LOT 2 | 8 000 | 10/10/2013 | $27 480 | $219 84 | $55 950 | $447 60 | 1 25% | $5 60 | 103.60% | $227 76 |
| TREEHOUSE FOODS INCORPORATED (THS) | 36 000 | | $85 583 | $3,080.98 | $72 190 | **$2,598.84** | | | (15 65)% | $(482 14) |
| LOT 1 | 9 000 | 01/29/2015 | $90 912 | $818.21 | $72 190 | $649 71 | | | (20 59)% | $(168 50) |
| LOT 2 | 5 000 | 01/30/2015 | $91 704 | $458 52 | $72 190 | $360 95 | | | (21.28)% | $(97 57) |
| LOT 3 | 5 000 | 02/12/2016 | $80 376 | $401 88 | $72 190 | $360.95 | | | (10 18)% | $(40 93) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 4** | 11.000 | 11/01/2016 | $87 825 | $966 07 | $72 190 | $794 09 | | | (17 80)% | $(171 98) |
| **LOT 5** | 6 000 | 12/20/2016 | $72.717 | $436 30 | $72 190 | $433.14 | | | (0.72)% | $(3.16) |
| **TUPPERWARE BRANDS CORPORATION (TUP)** | 24 000 | | $79 393 | $1,905 44 | $52 620 | **$1,262.88** | 5.17% | $65 28 | (33.72)% | $(642.56) |
| **LOT 1** | 13 000 | 03/04/2013 | $79.400 | $1,032.20 | $52 620 | $684 06 | 5 17% | $35.36 | (33 73)% | $(348 14) |
| **LOT 2** | 5.000 | 10/10/2013 | $86.460 | $432.30 | $52 620 | $263 10 | 5 17% | $13 60 | (39 14)% | $(169 20) |
| **LOT 3** | 6 000 | 07/29/2014 | $73 490 | $440 94 | $52 620 | $315 72 | 5.17% | $16.32 | (28 40)% | $(125 22) |
| **TYLER TECHNOLOGIES INCORPORATED (TYL)** | 23 000 | | $68 529 | $1,576.16 | $142 770 | **$3,283.71** | | | 108 34% | $1,707 55 |
| **LOT 1** | 20.000 | 03/04/2013 | $57 900 | $1,158 00 | $142 770 | $2,855 40 | | | 146 58% | $1,697 40 |
| **LOT 2** | 1 000 | 07/29/2014 | $94 640 | $94 64 | $142.770 | $142 77 | | | 50 86% | $48.13 |
| **LOT 3** | 2 000 | 08/17/2016 | $161 760 | $323.52 | $142 770 | $285 54 | | | (11 74)% | $(37.98) |
| **ULTIMATE SOFTWARE GROUP INCORPORATED (ULTI)** | 13.000 | | $166 373 | $2,162 85 | $182 350 | **$2,370.55** | | | 9 60% | $207.70 |
| **LOT 1** | 10 000 | 04/30/2015 | $166 559 | $1,665 59 | $182.350 | $1,823 50 | | | 9 48% | $157 91 |
| **LOT 2** | 2 000 | 02/12/2016 | $159 760 | $319.52 | $182 350 | $364.70 | | | 14 14% | $45 18 |
| **LOT 3** | 1.000 | 03/16/2016 | $177 740 | $177.74 | $182.350 | $182.35 | | | 2 59% | $4.61 |
| **UNITEDHEALTH GROUP INCORPORATED (UNH)** | 32 000 | | $135 828 | $4,346 51 | $160 040 | **$5,121.28** | 1 56% | $80.00 | 17 83% | $774 77 |
| **LOT 1** | 9.000 | 05/19/2015 | $120.467 | $1,084.20 | $160.040 | $1,440 36 | 1 56% | $22.50 | 32 85% | $356.16 |
| **LOT 2** | 9 000 | 09/26/2016 | $139 763 | $1,257 87 | $160.040 | $1,440 36 | 1.56% | $22.50 | 14 51% | $182 49 |
| **LOT 3** | 5.000 | 10/20/2016 | $145 060 | $725 30 | $160 040 | $800 20 | 1 56% | $12 50 | 10 33% | $74 90 |
| **LOT 4** | 9 000 | 10/27/2016 | $142 127 | $1,279.14 | $160 040 | $1,440 36 | 1.56% | $22.50 | 12 60% | $161 22 |
| **URBAN OUTFITTERS INCORPORATED (URBN)** | 75 000 | | $35 469 | $2,660 14 | $28 480 | **$2,136.00** | | | (19 70)% | $(524.14) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 1** | 18 000 | 03/04/2013 | $41 000 | $738 00 | $28 480 | $512 64 | | | (30 54)% | $(225 36) |
| **LOT 2** | 9 000 | 10/10/2013 | $36 339 | $327 05 | $28.480 | $256 32 | | | (21.63)% | $(70.73) |
| **LOT 3** | 10.000 | 07/29/2014 | $35 349 | $353 49 | $28.480 | $284.80 | | | (19 43)% | $(68 69) |
| **LOT 4** | 15 000 | 10/20/2014 | $30.395 | $455 92 | $28 480 | $427 20 | | | (6.30)% | $(28 72) |
| **LOT 5** | 23 000 | 05/20/2015 | $34 160 | $785 68 | $28 480 | $655 04 | | | (16 63)% | $(130 64) |
| **VWR CORPORATION (VWR)** | 69 000 | 06/17/2016 | $29 403 | $2,028 80 | $25.030 | **$1,727.07** | | | (14 87)% | $(301 73) |
| **VANTIV INCORPORATED CLASS A (VNTV)** | 45 000 | | $47 422 | $2,133 97 | $59.620 | **$2,682.90** | | | 25 72% | $548 93 |
| **LOT 1** | 38 000 | 09/21/2015 | $46 574 | $1,769 82 | $59 620 | $2,265 56 | | | 28.01% | $495.74 |
| **LOT 2** | 7.000 | 12/04/2015 | $52 021 | $364 15 | $59 620 | $417 34 | | | 14 61% | $53.19 |
| **VERIFONE SYSTEMS INCORPORATED (PAY)** | 48 000 | 03/13/2015 | $34 735 | $1,667 30 | $17 730 | **$851.04** | | | (48 96)% | $(816 26) |
| **VERIZON COMMUNICATIONS INCORPORATED (VZ)** | 103 000 | | $48 703 | $5,016 42 | $53 380 | **$5,498.14** | 4 33% | $237 93 | 9 60% | $481 72 |
| **LOT 1** | 85 000 | 05/19/2015 | $49 460 | $4,204 08 | $53.380 | $4,537 30 | 4 33% | $196 35 | 7.93% | $333.22 |
| **LOT 2** | 18 000 | 08/24/2015 | $45.130 | $812 34 | $53 380 | $960 84 | 4 33% | $41 58 | 18.28% | $148.50 |
| **VODAFONE GROUP PLC NEW SPNSR ADR (UNITED KINGDOM) (VOD)** | 63 000 | | $46.535 | $2,931.72 | $24 430 | **$1,539.09** | 6 11% | $94.06 | (47.50)% | $(1,392.63) |
| **LOT 1** | 13 636 | 03/04/2013 | $46 273 | $631 00 | $24.430 | $333 13 | 6.11% | $20 36 | (47 21)% | $(297 87) |
| **LOT 2** | 7.636 | 10/10/2013 | $63 818 | $487.34 | $24.430 | $186.55 | 6 11% | $11 40 | (61.72)% | $(300.79) |
| **LOT 3** | 5.273 | 01/07/2014 | $71.189 | $375.36 | $24.430 | $128.82 | 6.11% | $7.87 | (65.68)% | $(246.54) |
| **LOT 4** | 5 455 | 02/11/2014 | $66 678 | $363 70 | $24 430 | $133 27 | 6.11% | $8 14 | (63 36)% | $(230 43) |
| **LOT 5** | 1 000 | 03/04/2014 | $41 270 | $41 27 | $24.430 | $24 43 | 6 11% | $1 49 | (40.80)% | $(16.84) |
| **LOT 6** | 9 000 | 07/29/2014 | $34 490 | $310.41 | $24 430 | $219 87 | 6 11% | $13 44 | (29.17)% | $(90 54) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est. Income Yield | Est. Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 7** | 17 000 | 04/30/2015 | $35 181 | $598.08 | $24 430 | $415 31 | 6 11% | $25 38 | (30 56)% | $(182.77) |
| **LOT 8** | 4 000 | 03/16/2016 | $31.140 | $124.56 | $24 430 | $97 72 | 6.11% | $5 97 | (21 55)% | $(26.84) |
| **WPP PLC NEW ADR (UNITED KINGDOM) (WPPGY)** | 32 000 | | $107 118 | $3,427 79 | $110.660 | **$3,541.12** | 2 99% | $105 98 | 3 31% | $113.33 |
| **LOT 1** | 13 000 | 04/30/2014 | $107 814 | $1,401 58 | $110.660 | $1,438.58 | 2 99% | $43 05 | 2.64% | $37 00 |
| **LOT 2** | 5.000 | 05/07/2014 | $107 570 | $537 85 | $110 660 | $553 30 | 2 99% | $16 56 | 2 87% | $15 45 |
| **LOT 3** | 6 000 | 07/29/2014 | $102 650 | $615 90 | $110 660 | $663.96 | 2 99% | $19 87 | 7 80% | $48 06 |
| **LOT 4** | 1 000 | 03/11/2015 | $114 080 | $114.08 | $110 660 | $110 66 | 2 99% | $3 31 | (3 00)% | $(3 42) |
| **LOT 5** | 5.000 | 02/03/2016 | $106.900 | $534.50 | $110 660 | $553 30 | 2 99% | $16 56 | 3.52% | $18 80 |
| **LOT 6** | 2 000 | 03/16/2016 | $111 940 | $223 88 | $110.660 | $221.32 | 2 99% | $6 62 | (1 14)% | $(2 56) |
| **WABTEC CORPORATION (WAB)** | 38 000 | | $58 848 | $2,236.21 | $83 020 | **$3,154.76** | 0 48% | $15 20 | 41 08% | $918 55 |
| **LOT 1** | 24 000 | 03/04/2013 | $48 950 | $1,174 80 | $83 020 | $1,992 48 | 0 48% | $9.60 | 69 60% | $817 68 |
| **LOT 2** | 8.000 | 07/29/2014 | $83 900 | $671 20 | $83.020 | $664 16 | 0 48% | $3 20 | (1.05)% | $(7 04) |
| **LOT 3** | 6 000 | 02/12/2016 | $65.035 | $390 21 | $83 020 | $498.12 | 0 48% | $2 40 | 27.65% | $107 91 |
| **WAGEWORKS INCORPORATED (WAGE)** | 49.000 | | $41.388 | $2,028 02 | $72 500 | **$3,552.50** | | | 75 17% | $1,524 48 |
| **LOT 1** | 28 000 | 01/13/2016 | $40 378 | $1,130 57 | $72.500 | $2,030 00 | | | 79 56% | $899.43 |
| **LOT 2** | 8 000 | 01/25/2016 | $42 275 | $338 20 | $72.500 | $580 00 | | | 71 50% | $241.80 |
| **LOT 3** | 13 000 | 02/03/2016 | $43 019 | $559 25 | $72 500 | $942 50 | | | 68 53% | $383 25 |
| **WAL-MART STORES INCORPORATED (WMT)** | 38.000 | | $71 069 | $2,700 63 | $69 120 | **$2,626.56** | 2 89% | $76 00 | (2.74)% | $(74 07) |
| **LOT 1** | 27.000 | 08/30/2016 | $71 330 | $1,925 91 | $69 120 | $1,866.24 | 2 89% | $54 00 | (3 10)% | $(59 67) |
| **LOT 2** | 11.000 | 09/09/2016 | $70.429 | $774 72 | $69 120 | $760 32 | 2 89% | $22 00 | (1 86)% | $(14 40) |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est. Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **WEBSTER FINL CORPORATION CONN (WBS)** | 48.000 | | $36 189 | $1,737 05 | $54 280 | **$2,605.44** | 1 84% | $48.00 | 49.99% | $868 39 |
| **LOT 1** | 31 000 | 03/27/2015 | $36 389 | $1,128 06 | $54 280 | $1,682 68 | 1 84% | $31.00 | 49 17% | $554 62 |
| **LOT 2** | 17 000 | 04/16/2015 | $35.823 | $608 99 | $54.280 | $922.76 | 1 84% | $17.00 | 51.52% | $313 77 |
| **WELLCARE HEALTH PLANS INCORPORATED (WCG)** | 8 000 | 12/01/2016 | $138.428 | $1,107 42 | $137.080 | **$1,096.64** | | | (0 97)% | $(10.78) |
| **WEST PHARMACEUTICAL SVSC INCORPORATED (WST)** | 41 000 | | $47.699 | $1,955 66 | $84 830 | **$3,478.03** | 0 61% | $21 32 | 77.84% | $1,522 37 |
| **LOT 1** | 34 000 | 08/01/2014 | $40 524 | $1,377 83 | $84 830 | $2,884.22 | 0 61% | $17 68 | 109 33% | $1,506 39 |
| **LOT 2** | 7.000 | 11/29/2016 | $82 547 | $577 83 | $84 830 | $593 81 | 0.61% | $3 64 | 2.77% | $15 98 |
| **XEROX CORPORATION (XRX)** | 98 000 | 05/19/2015 | $11 280 | $1,105.43 | $8 730 | **$855.54** | 3 55% | $30 38 | (22.61)% | $(249 89) |
| **ZEBRA TECHNOLOGIES CORPORATION CLASS A (ZBRA)** | 40.000 | | $54 429 | $2,177 15 | $85 760 | **$3,430.40** | | | 57 56% | $1,253 25 |
| **LOT 1** | 22 000 | 03/04/2013 | $43 930 | $966 46 | $85 760 | $1,886 72 | | | 95 22% | $920 26 |
| **LOT 2** | 10 000 | 01/04/2016 | $66.558 | $665 58 | $85 760 | $857 60 | | | 28 85% | $192 02 |
| **LOT 3** | 8 000 | 03/24/2016 | $68 139 | $545 11 | $85 760 | $686.08 | | | 25 86% | $140 97 |
| **ZURICH INS GROUP LIMITED SPONSORED ADR (SWITZERLAND) (ZURVY)** | 153 000 | | $29 585 | $4,526 48 | $27 589 | **$4,221.12** | 6.35% | $268 06 | (6 75)% | $(305 36) |
| **LOT 1** | 23.000 | 11/27/2013 | $28.025 | $644.58 | $27.589 | $634.55 | 6.35% | $40.30 | (1.56)% | $(10.03) |
| **LOT 2** | 15 000 | 04/30/2014 | $28 768 | $431 52 | $27 589 | $413 84 | 6 35% | $26 28 | (4 10)% | $(17.68) |
| **LOT 3** | 11.000 | 07/29/2014 | $29.910 | $329.01 | $27 589 | $303 48 | 6.35% | $19.27 | (7.76)% | $(25.53) |
| **LOT 4** | 23 000 | 07/31/2014 | $29 180 | $671 14 | $27 589 | $634 55 | 6.35% | $40.30 | (5 45)% | $(36 59) |
| **LOT 5** | 5 000 | 03/11/2015 | $31.050 | $155 25 | $27 589 | $137 95 | 6 35% | $8 76 | (11 14)% | $(17 30) |
| **LOT 6** | 24 000 | 07/14/2015 | $31 706 | $760 94 | $27 589 | $662.14 | 6 35% | $42 05 | (12 98)% | $(98 80) |

## Equities (continued)

### Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est. Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 7 | 22 000 | 07/27/2015 | $31 021 | $682 46 | $27.589 | $606 96 | 6 35% | $38.54 | (11 06)% | $(75 50) |
| LOT 8 | 22 000 | 07/28/2015 | $30 348 | $667 66 | $27.589 | $606 96 | 6 35% | $38 54 | (9 09)% | $(60.70) |
| LOT 9 | 8 000 | 03/16/2016 | $22 990 | $183 92 | $27.589 | $220 71 | 6 35% | $14 02 | 20 00% | $36.79 |
| **ALKERMES PLC SHS (IRELAND) (ALKS)** | 38 000 | | $57 663 | $2,191.18 | $55 580 | **$2,112.04** | | | (3 61)% | $(79 14) |
| LOT 1 | 20 000 | 06/19/2015 | $65.063 | $1,301 26 | $55 580 | $1,111 60 | | | (14.58)% | $(189 66) |
| LOT 2 | 7.000 | 08/06/2015 | $68 627 | $480 39 | $55 580 | $389 06 | | | (19 01)% | $(91 33) |
| LOT 3 | 11 000 | 01/25/2016 | $37 230 | $409 53 | $55 580 | $611.38 | | | 49.29% | $201 85 |
| **AMDOCS LIMITED SHS (GUERNSEY) (DOX)** | 33 000 | 05/19/2015 | $55.549 | $1,833 13 | $58 250 | **$1,922.25** | 1 34% | $25 74 | 4 86% | $89.12 |
| **INGERSOLL-RAND PLC SHS (IRELAND) (IR)** | 32 000 | 04/29/2016 | $65.204 | $2,086.53 | $75 040 | **$2,401.28** | 2 13% | $51.20 | 15.08% | $314 75 |
| **JAMES RIV GROUP LIMITED (BERMUDA) (JRVR)** | 48.000 | 11/29/2016 | $39.150 | $1,879 22 | $41 550 | **$1,994.40** | 2 89% | $57 60 | 6 13% | $115 18 |
| **STERIS PLC SHS USD (UNITED KINGDOM) (STE)** | 39 000 | | $74.360 | $2,900 04 | $67 390 | **$2,628.21** | 1 66% | $43.68 | (9.37)% | $(271.83) |
| LOT 1 | 22 000 | 11/02/2015 | $74 360 | $1,635 92 | $67 390 | $1,482.58 | 1 66% | $24 64 | (9 37)% | $(153.34) |
| LOT 2 | 8 000 | 11/02/2015 | $74 360 | $594 88 | $67.390 | $539.12 | 1 66% | $8 96 | (9 37)% | $(55 76) |
| LOT 3 | 9.000 | 11/02/2015 | $74.360 | $669 24 | $67 390 | $606 51 | 1 66% | $10 08 | (9.37)% | $(62 73) |
| **UBS GROUP AG SHS (SWITZERLAND) (UBS)** | 237.000 | | $17.890 | $4,239.96 | $15.664 | **$3,712.37** | 4 37% | $162.11 | (12.44)% | $(527 59) |
| LOT 1 | 69 000 | 03/04/2013 | $15 390 | $1,061 90 | $15 664 | $1,080.82 | 4.37% | $47 20 | 1 78% | $18 92 |
| LOT 2 | 32.000 | 10/10/2013 | $20 480 | $655 36 | $15 664 | $501 25 | 4 37% | $21 89 | (23 52)% | $(154 11) |
| LOT 3 | 30 000 | 01/07/2014 | $19 620 | $588.59 | $15.664 | $469 92 | 4 37% | $20 52 | (20 16)% | $(118 67) |
| LOT 4 | 4 000 | 03/04/2014 | $20 860 | $83 44 | $15 664 | $62 66 | 4 37% | $2.74 | (24.90)% | $(20 78) |
| LOT 5 | 43 000 | 07/29/2014 | $18 060 | $776.58 | $15.664 | $673.55 | 4 37% | $29 41 | (13 27)% | $(103 03) |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 6 | 9.000 | 03/11/2015 | $17 240 | $155 16 | $15 664 | $140 98 | 4 37% | $6 16 | (9 14)% | $(14 18) |
| LOT 7 | 37 000 | 12/17/2015 | $19 235 | $711 71 | $15 664 | $579.57 | 4 37% | $25.31 | (18 57)% | $(132.14) |
| LOT 8 | 13 000 | 03/16/2016 | $15.940 | $207 22 | $15 664 | $203 63 | 4 37% | $8 89 | (1.73)% | $(3 59) |
| **LYONDELLBASELL INDUSTRIES N V SHS - A - (NETHERLANDS) (LYB)** | 31 000 | 05/19/2015 | $100 641 | $3,119 88 | $85.780 | **$2,659.18** | 3.96% | $105 40 | (14 77)% | $(460 70) |
| **BROADCOM LIMITED SHS (SINGAPORE) (AVGO)** | 14 000 | | $149 964 | $2,099 49 | $176 770 | **$2,474.78** | 2 31% | $57.12 | 17 88% | $375.29 |
| LOT 1 | 7 000 | 03/11/2016 | $149 019 | $1,043 13 | $176 770 | $1,237 39 | 2 31% | $28 56 | 18 62% | $194 26 |
| LOT 2 | 7 000 | 03/17/2016 | $150 909 | $1,056 36 | $176 770 | $1,237 39 | 2 31% | $28 56 | 17 14% | $181.03 |
| **Stocks Total** | | | | $469,788.16 | | **$537,244.41** | 1 83% | $9,839 62 | 14 36% | $67,456 25 |

## REITs / Tangibles †

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **AGNC INVT CORPORATION REIT (AGNC)** | 164.000 | | $18.534 | $3,039 51 | $18.130 | **$2,973.32** | 11 91% | $354.24 | (2 18)% | $(66 19) |
| LOT 1 | 67 000 | 03/07/2016 | $18 334 | $1,228 39 | $18 130 | $1,214 71 | 11.91% | $144 72 | (1 11)% | $(13.68) |
| LOT 2 | 41 000 | 03/17/2016 | $18.767 | $769 43 | $18.130 | $743 33 | 11 91% | $88.56 | (3 39)% | $(26.10) |
| LOT 3 | 34 000 | 04/28/2016 | $18 263 | $620 93 | $18 130 | $616.42 | 11 91% | $73 44 | (0 73)% | $(4 51) |
| LOT 4 | 22 000 | 06/06/2016 | $19.125 | $420.76 | $18.130 | $398.86 | 11.91% | $47.52 | (5.20)% | $(21.90) |
| **AMERICAN CAMPUS CMNTYS INCORPORATED REIT (ACC)** | 88 000 | | $39 046 | $3,436 05 | $49 770 | **$4,379.76** | 3.38% | $147.84 | 27 46% | $943 71 |
| LOT 1 | 15 000 | 03/04/2013 | $44 608 | $669 12 | $49 770 | $746 55 | 3 38% | $25 20 | 11 57% | $77.43 |
| LOT 2 | 12 000 | 06/21/2013 | $36 331 | $435 97 | $49 770 | $597 24 | 3.38% | $20.16 | 36 99% | $161 27 |

## Equities (continued)

### REITs / Tangibles (continued) †

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est. Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 3 | 15 000 | 10/10/2013 | $33 233 | $498 49 | $49 770 | $746.55 | 3 38% | $25.20 | 49.76% | $248 06 |
| LOT 4 | 13.000 | 04/25/2014 | $36.717 | $477 32 | $49 770 | $647 01 | 3.38% | $21 84 | 35 55% | $169 69 |
| LOT 5 | 21 000 | 07/29/2014 | $39 337 | $826 08 | $49 770 | $1,045.17 | 3 38% | $35 28 | 26 52% | $219 09 |
| LOT 6 | 6 000 | 01/07/2015 | $42 430 | $254 58 | $49 770 | $298 62 | 3 38% | $10 08 | 17 30% | $44.04 |
| LOT 7 | 6 000 | 03/16/2016 | $45 748 | $274 49 | $49 770 | $298 62 | 3 38% | $10 08 | 8 79% | $24 13 |
| **EASTERLY GOVT PPTYS INCORPORATED REIT (DEA)** | 102 000 | | $18 735 | $1,910 96 | $20.020 | **$2,042.04** | 4 80% | $97 92 | 6 86% | $131.08 |
| LOT 1 | 91 000 | 10/05/2016 | $18 707 | $1,702 30 | $20 020 | $1,821 82 | 4 80% | $87 36 | 7 02% | $119 52 |
| LOT 2 | 11 000 | 10/17/2016 | $18 969 | $208.66 | $20.020 | $220 22 | 4.80% | $10 56 | 5 54% | $11.56 |
| **HCP INCORPORATED REIT (HCP)** | 32 000 | 07/15/2016 | $37 360 | $1,195.51 | $29.720 | **$951.04** | 4 98% | $47 36 | (20 45)% | $(244.47) |
| **MID AMER APT CMNTYS INCORPORATED REIT (MAA)** | 31 000 | | $69 467 | $2,153 47 | $97 920 | **$3,035.52** | 3.55% | $107 88 | 40 96% | $882 05 |
| LOT 1 | 12 000 | 03/04/2013 | $69.207 | $830 48 | $97.920 | $1,175 04 | 3 55% | $41.76 | 41 49% | $344 56 |
| LOT 2 | 7 000 | 10/10/2013 | $62 254 | $435 78 | $97 920 | $685 44 | 3 55% | $24 36 | 57.29% | $249 66 |
| LOT 3 | 4 000 | 06/30/2014 | $72 668 | $290 67 | $97 920 | $391.68 | 3 55% | $13 92 | 34 75% | $101.01 |
| LOT 4 | 8 000 | 07/29/2014 | $74.568 | $596.54 | $97.920 | $783 36 | 3.55% | $27 84 | 31.32% | $186.82 |
| **PHYSICIANS RLTY TR REIT (DOC)** | 115 000 | 06/17/2016 | $20 051 | $2,305.88 | $18.960 | **$2,180.40** | 4 75% | $103.50 | (5.44)% | $(125.48) |
| **SUN CMNTYS INCORPORATED REIT (SUI)** | 32.000 | | $65.481 | $2,095 40 | $76 610 | **$2,451.52** | 3 39% | $83.20 | 17.00% | $356 12 |
| LOT 1 | 26.000 | 11/05/2015 | $65 624 | $1,706 22 | $76 610 | $1,991.86 | 3.39% | $67 60 | 16 74% | $285 64 |

## Equities (continued)

### REITs / Tangibles (continued) †

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **LOT 2** | 6 000 | 02/12/2016 | $64 863 | $389 18 | $76 610 | $459 66 | 3 39% | $15 60 | 18 11% | $70 48 |
| **REITs / Tangibles Total** | | | | $16,136 78 | | **$18,013.60** | 5.23% | $941 94 | 11 63% | $1,876.82 |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Equities Total** | **$485,924.94** | **$555,258.01** | **1.94%** | **$10,781.56** | **14.27%** | **$69,333.07** |

## Mutual Funds

### Open-End Funds

| Description (Symbol) | Quantity | Amount Invested | Total Cost Basis | Price | **Value** | Est. Income Yield | Est. Annual Income | Investment Gain or (Loss) | Cost Basis Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|
| **BAIRD AGGREGATE BOND FUND INSTL CLASS N/L (BAGIX)** | 10,846 378 | $111,726.25 | $117,076 54 | $10 700 | **$116,056.24** | 2.46% | $2,852.60 | $4,329.99<br>3.88% | $(1,020 30)<br>(0 87)% |
| **DODGE & COX INCOME FUND N/L (DODIX)** | 8,987 418 | $112,448 46 | $123,397 75 | $13.590 | **$122,139.01** | 3 22% | $3,936.49 | $9,690 55<br>8.62% | $(1,258 74)<br>(1 02)% |
| **FEDERATED INSTITUTIONAL HIGH YIELD BOND FD INSTIT. SHRS N/L (FIHBX)** | 3,378 747 | $29,261 66 | $34,217.67 | $9 860 | **$33,314.45** | 5 77% | $1,922 51 | $4,052 79<br>13.85% | $(903 22)<br>(2.64)% |
| **FEDERATED SHORT TERM INCOME FUND CLASS Y N/L (FSTYX)** | 3,820 493 | $31,439 42 | $32,893 29 | $8 490 | **$32,435.99** | 1 55% | $504 31 | $996.57<br>3.17% | $(457 30)<br>(1 39)% |
| **GOLDMAN SACHS EMERGING MARKETS DEBT FD INST. CLS N/L (GSDIX)** | 1,695 811 | $16,272 72 | $21,014 85 | $12 400 | **$21,028.06** | 5 32% | $1,119 24 | $4,755.34<br>29.22% | $13 21<br>0 06% |

## Mutual Funds (continued)

### Open-End Funds (continued)

| Description (Symbol) | Quantity | Amount Invested | Total Cost Basis | Price | **Value** | Est Income Yield | Est. Annual Income | Investment Gain or (Loss) | Cost Basis Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|
| **JPMORGAN HIGH YIELD FUND SELECT CLASS N/L (OHYFX)** | 4,551 801 | $29,913 37 | $36,285.37 | $7 350 | **$33,455.74** | 5 51% | $1,843 48 | $3,542 37<br>11.84% | $(2,829.63)<br>(7 80)% |
| **CLEARBRIDGE DIVIDEND STRATEGY FUND CLASS I N/L (SOPYX)** | 6,408 707 | $116,343 06 | $123,885 99 | $21.710 | **$139,133.03** | 1 40% | $1,941 84 | $22,789 97<br>19.59% | $15,247.04<br>12 31% |
| **METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS I N/L (MWTIX)** | 11,359 862 | $116,145 32 | $123,346.96 | $10 530 | **$119,619.35** | 1 92% | $2,294 69 | $3,474 03<br>2 99% | $(3,727 61)<br>(3 02)% |
| **LOOMIS SAYLES STRATEGIC ALPHA FUND CLASS Y N/L - NATIXIS (LASYX)** | 3,385 912 | $30,890 20 | $33,832.26 | $9.850 | **$33,351.23** | 2 34% | $778 76 | $2,461 03<br>7.97% | $(481 03)<br>(1 42)% |
| **PRUDENTIAL ABSOLUTE RETURN BOND FUND CLASS Z N/L (PADZX)** | 3,409 653 | $31,742 66 | $33,223 42 | $9.640 | **$32,869.05** | 2 35% | $773.99 | $1,126.39<br>3 55% | $(354 37)<br>(1 07)% |
| **TEMPLETON GLOBAL BOND FUND ADVISOR CLASS N/L (TGBAX)** | 1,923 886 | $18,650.78 | $24,542 35 | $11 960 | **$23,009.68** | 2 58% | $592 56 | $4,358 90<br>23 37% | $(1,532 67)<br>(6 25)% |
| **WELLS FARGO CORE BOND FUND CLASS I N/L (MBFIX)** | 7,738 169 | $98,683 00 | $100,163.11 | $12.690 | **$98,197.36** | 1.77% | $1,741 09 | $(485.64)<br>(0 49)% | $(1,965.75)<br>(1 96)% |
| **WESTERN ASSET INFLATION INDEX- ED PLUS BD FUND CLASS I N/L (WAIIX)** | 3,196 453 | $36,214 90 | $37,239.19 | $11.020 | **$35,224.91** | 0 83% | $290.88 | $(989 99)<br>(2.73)% | $(2,014 28)<br>(5 41)% |
| Open-End Funds Total | | $779,731.80 | $841,118 75 | | $839,834.10 | 2.45% | $20,592.44 | $60,102.30 | $(1,284 65) |
| Mutual Funds Total | | | **$841,118.75** | | $839,834.10 | **2.45%** | **$20,592.44** | | **$(1,284.65)** |

```
Equities Cost         485,924.94          Equities FMV           555,258.01
Mutual Funds Cost     841,118.75 +        Mutual Funds FMV       839,834.1 +
                   ---------------                           ----------------
Total Cost Basis    1,327,043.69 =        Total FMV            1,395,092.11 =
```

| Description | Shares | Cost | Market Value/ Per Unit | Percent Of Total Market | Projected Annual Income | Current Yield |
|---|---|---|---|---|---|---|
| ***Fixed Income*** | | | | | | |
| Goldman Sachs Group Inc<br>Note 5.625% Maturity 1/15/17 | 200,000 | 198,950.00 | 200,244.00<br>100.12 | 1.83% | 11,250.00 | 5.62% |
| AFLAC Inc.<br>2.65% Due 02/15/2017 | 300,000 | 302,497.00 | 300,453.00<br>100.15 | 2.74% | 7,950.00 | 2.65% |

| *Description* | *Shares* | *Cost* | *Market Value/ Per Unit* | *Percent Of Total Market* | *Projected Annual Income* | *Current Yield* |
|---|---|---|---|---|---|---|
| Farmer Mac<br>3.75% Due 05/17/2017 NC | 100,000 | 100,000.00 | 101,229.00<br>101.23 | 0.92% | 3,750.00 | 3.70% |
| Westpac Banking Corp.<br>2.00% Due 08/14/2017 | 150,000 | 150,106.50 | 150,657.00<br>100.44 | 1.38% | 3,000.00 | 1.99% |
| Jpmorgan Chase & Co<br>Mtnf 2.00% Due 08/15/2017 | 150,000 | 152,130.00 | 150,556.50<br>100.37 | 1.37% | 3,000.00 | 1.99% |
| Federal Home Loan Bank<br>2.25% Due 09/08/2017 NC | 235,000 | 238,743.55 | 237,352.35<br>101.00 | 2.17% | 5,287.00 | 2.23% |
| American Express<br>7.00% Due 03/19/2018 | 70,000 | 70,479.50 | 74,388.30<br>106.27 | 0.68% | 4,900.00 | 6.59% |
| New York City NY Trans Fin Auth REV<br>Txbl-Ser F-3 1.60% Due 05/01/2018 | 200,000 | 198,604.00 | 200,590.00<br>100.30 | 1.83% | 3,200.00 | 1.60% |
| Morris Cnty NJ Impt Auth Lease REV<br>Txbl-Gtd-Sussex Cnty<br>3.21% Due 06/15/2018 | 250,000 | 253,550.00 | 256,052.50<br>102.42 | 2.34% | 8,025.00 | 3.13% |
| New York City NY Trans Fin Auth<br>Txbl 2.15% Due 11/01/2018 | 50,000 | 49,683.50 | 50,595.00<br>101.19 | 0.46% | 1,075.00 | 2.12% |
| Georgia St Muni Elec Auth Ser A<br>Txbl 3.57% Due 01/01/2019 | 200,000 | 200,080.00 | 206,342.00<br>103.17 | 1.88% | 7,140.00 | 3.46% |
| Bank of America Corporation<br>5.49% Due 03/15/2019 | 200,000 | 195,672.00 | 212,170.00<br>106.09 | 1.94% | 10,980.00 | 5.18% |
| North Little Rock AR Elec REV<br>Txbl-Ser A 2.558% Due 07/01/2019 | 100,000 | 100,000.00 | 100,211.00<br>100.21 | 0.91% | 2,558.00 | 2.55% |
| Richmond VA Public Impt Ser-C<br>Txbl 2.06% Due 07/15/2019 | 150,000 | 150,465.00 | 151,255.50<br>100.84 | 1.38% | 3,090.00 | 2.04% |
| New York City NY Trans Fin Auth REV<br>Txbl-Fut Tax 1.95% Due 08/01/2019 | 100,000 | 100,000.00 | 100,546.00<br>100.55 | 0.92% | 1,950.00 | 1.94% |
| Colorado River TX Muni Wtr Dist<br>Txbl 3 50% Due 01/01/2020 | 250,000 | 255,464.50 | 259,342.50<br>103.74 | 2.37% | 8,750.00 | 3.37% |

| Description | Shares | Cost | Market Value/ Per Unit | Percent Of Total Market | Projected Annual Income | Current Yield |
|---|---|---|---|---|---|---|
| Georgia St Muni Elec Auth Ser 4<br>Txbl 3.78% Due 01/01/2020 | 50,000 | 50,060.00 | 52,286.50<br>104.57 | 0.48% | 1,890.00 | 3.61% |
| New York St Dorm Auth St Inc TX REV<br>Txbl-Ser C 1.97% Due 03/15/2020 | 250,000 | 250,000.00 | 248,362.50<br>99.35 | 2.27% | 4,925.00 | 1.98% |
| Mesa AZ Utility Sys REV<br>Txbl-Ref 3.269% Due 07/01/2020 | 150,000 | 151,866.00 | 154,362.00<br>102.91 | 1.41% | 4,903.00 | 3.18% |
| Coca-Cola Co.<br>3 15% Due 11/15/2020 | 350,000 | 362,197.50 | 363,597.50<br>103.89 | 3.32% | 11,025.00 | 3.03% |
| Greene Cnty OH Ref<br>Txbl 2.25% Due 12/01/2020<br>Callable 06/01/2019 @ 100 | 100,000 | 100,000.00 | 100,607.00<br>100.61 | 0.92% | 2,250.00 | 2.24% |
| Univ of N.Carolina At Chapel Hill<br>Txbl-REV Ser C 2.285% Due 12/01/2020 | 200,000 | 202,326.00 | 202,926.00<br>101.46 | 1.85% | 4,570.00 | 2.25% |
| Richfield MN-Ref-Tax Increment-Ser B<br>Txbl 2.00% Due 02/01/2021 | 80,000 | 79,753.60 | 79,194.40<br>98.99 | 0.72% | 1,600.00 | 2.02% |
| Oracle Corp<br>2.80% Due 07/08/2021 | 150,000 | 153,109.50 | 152,880.00<br>101.92 | 1.40% | 4,200.00 | 2.75% |
| Glendale WI Cmnty Dev Auth Ref<br>Txbl-Ser B 3.15% Due 10/01/2021 | 215,000 | 215,000.00 | 217,846.60<br>101.32 | 1.99% | 6,772.00 | 3.11% |
| Cuyahoga Cnty OH Capital Impt Ser B<br>Txbl 2.20% Due 12/01/2021<br>Callable 12/01/2020 @ 100 | 100,000 | 98,004.00 | 97,569.00<br>97.57 | 0.89% | 2,200.00 | 2.25% |
| Verizon Communications Inc<br>2.45% Due 11/01/2022 | 150,000 | 139,719.00 | 144,886.50<br>96.59 | 1.32% | 3,675.00 | 2.54% |
| State Street Corp.<br>3.10% Due 05/15/2023 | 285,000 | 285,935.45 | 284,441.40<br>99.80 | 2.60% | 8,835.00 | 3.11% |
| Federal Farm Credit Bank<br>1.73% Due 8/17/2023<br>Callable 8/17/17 @100 | 500,000 | 500,000.00 | 475,920.00<br>95.18 | 4.35% | 8,650.00 | 1.82% |

| *Description* | *Shares* | *Cost* | *Market Value/ Per Unit* | *Percent Of Total Market* | *Projected Annual Income* | *Current Yield* |
|---|---|---|---|---|---|---|
| ***Total Fixed Income*** | | ***$ 5,304,396.60*** | ***$ 5,326,864.05*** | ***48.63%*** | ***$ 151,400.00*** | ***2.84%*** |

JLH Foundation
December 31, 2016
76-0668991

# Equities

## Stocks

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **AT&T INCORPORATED (T)** | 1,793.000 c | 03/01/2016 | $37 316 | $66,908 48 | $42 530 | **$76,256.29** | 4 61% | $3,514 28 | 13 97% | $9,347 81 |
| **AIR PRODUCTS & CHEMICALS INCORPORATED (APD)** | 497 000 c | 03/01/2016 | $123.188 | $61,224.43 | $143.820 | **$71,478.54** | 2.39% | $1,709.68 | 16.75% | $10,254.11 |
| **AMERICAN EXPRESS COMPANY (AXP)** | 1,181 000 c | 03/01/2016 | $56 657 | $66,911 33 | $74 080 | **$87,488.48** | 1 73% | $1,511 68 | 30 75% | $20,577 15 |
| **AMERIPRISE FINL INCORPORATED (AMP)** | 600.000 c | 08/03/2016 | $94 872 | $56,922 90 | $110 940 | **$66,564.00** | 2 70% | $1,800 00 | 16 94% | $9,641 10 |
| **APPLIED MATLS INCORPORATED (AMAT)** | 2,000 000 c | 10/13/2015 | $15 190 | $30,379 41 | $32 270 | **$64,540.00** | 1 24% | $800 00 | 112 45% | $34,160 59 |
| **BOEING COMPANY (BA)** | 561.000 c | | $137 691 | $77,244.93 | $155 680 | **$87,336.48** | 3.65% | $3,186.48 | 13 06% | $10,091 55 |
| **LOT 1** | 491 000 | 10/13/2015 | $140 218 | $68,847 04 | $155 680 | $76,438 88 | 3 65% | $2,788 88 | 11 03% | $7,591 84 |
| **LOT 2** | 70 000 | 03/01/2016 | $119 970 | $8,397 89 | $155 680 | $10,897 60 | 3 65% | $397 60 | 29 77% | $2,499 71 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **CHEVRON CORPORATION NEW (CVX)** | 783 000 | | $106 606 | $83,472 73 | $117 700 | **$92,159.10** | 3 67% | $3,382 56 | 10 41% | $8,686 37 |
| **LOT 1** | 91 000 | 07/20/2012 | $108 060 | $9,833 46 | $117.700 | $10,710 70 | 3 67% | $393 12 | 8 92% | $877 24 |
| **LOT 2** | 74 000 c | 06/07/2013 | $121.180 | $8,967 32 | $117 700 | $8,709.80 | 3 67% | $319 68 | (2 87)% | $(257 52) |
| **LOT 3** | 172 000 c | 11/06/2013 | $119 345 | $20,527.34 | $117 700 | $20,244 40 | 3 67% | $743 04 | (1 38)% | $(282 94) |
| **LOT 4** | 172 000 c | 11/14/2014 | $115 927 | $19,939 44 | $117.700 | $20,244.40 | 3 67% | $743 04 | 1 53% | $304 96 |
| **LOT 5** | 271 000 c | 10/13/2015 | $88 366 | $23,947 32 | $117 700 | $31,896 70 | 3 67% | $1,170 72 | 33 20% | $7,949 38 |
| **LOT 6** | 3 000 c | 03/01/2016 | $85 950 | $257 85 | $117 700 | $353 10 | 3.67% | $12 96 | 36 94% | $95 25 |
| **CISCO SYSTEMS INCORPORATED (CSCO)** | 2,505 000 c | | $25 952 | $65,009 13 | $30 220 | **$75,701.10** | 3.44% | $2,605 20 | 16.45% | $10,691 97 |
| **LOT 1** | 505 000 | 11/06/2013 | $23 225 | $11,728 63 | $30 220 | $15,261 10 | 3.44% | $525 20 | 30 12% | $3,532 47 |
| **LOT 2** | 1,000.000 | 03/26/2015 | $27 075 | $27,075.00 | $30 220 | $30,220.00 | 3 44% | $1,040 00 | 11.62% | $3,145.00 |
| **LOT 3** | 1,000 000 | 11/13/2015 | $26 206 | $26,205 50 | $30 220 | $30,220 00 | 3.44% | $1,040 00 | 15 32% | $4,014 50 |
| **COCA COLA COMPANY (KO)** | 1,544.000 c | 04/06/2015 | $41.345 | $63,836.68 | $41.460 | **$64,014.24** | 3.38% | $2,161.60 | 0.28% | $177.56 |
| **CORNING INCORPORATED (GLW)** | 3,583 000 c | 03/01/2016 | $18.687 | $66,953 73 | $24 270 | **$86,959.41** | 2.22% | $1,934 82 | 29 88% | $20,005 68 |
| **COSTCO WHOLESALE CORPORATION NEW (COST)** | 350 000 c | 08/03/2016 | $165 846 | $58,046 10 | $160 110 | **$56,038.50** | 1 12% | $630.00 | (3 46)% | $(2,007.60) |
| **DOW CHEMICAL COMPANY (DOW)** | 1,000 000 c | 10/13/2015 | $46 429 | $46,429 01 | $57 220 | **$57,220.00** | 3 22% | $1,840.00 | 23.24% | $10,790 99 |
| **GENERAL DYNAMICS CORPORATION (GD)** | 488 000 c | | $141 691 | $69,145 12 | $172 660 | **$84,258.08** | 1 76% | $1,483 52 | 21.86% | $15,112 96 |
| **LOT 1** | 484.000 | 10/13/2015 | $141.720 | $68,592 48 | $172 660 | $83,567 44 | 1.76% | $1,471 36 | 21 83% | $14,974 96 |
| **LOT 2** | 4 000 | 03/01/2016 | $138 160 | $552.64 | $172 660 | $690.64 | 1 76% | $12.16 | 24.97% | $138.00 |
| **HP INCORPORATED (HPQ)** | 6,123 000 c | | $12 709 | $77,819 00 | $14 840 | **$90,865.32** | 3 58% | $3,251 31 | 16 76% | $13,046 32 |
| **LOT 1** | 1,500 000 | 08/12/2014 | $16 542 | $24,813 16 | $14 840 | $22,260 00 | 3 58% | $796 35 | (10.29)% | $(2,553 16) |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 2 | 856 000 | 10/13/2015 | $13.794 | $11,808.04 | $14 840 | $12,703.04 | 3 58% | $454 45 | 7 58% | $895 00 |
| LOT 3 | 3,767 000 | 03/01/2016 | $10 937 | $41,197 80 | $14 840 | $55,902 28 | 3.58% | $1,999 90 | 35.69% | $14,704 48 |
| **HOME DEPOT INCORPORATED (HD)** | 532 000 c | 03/01/2016 | $125 667 | $66,854 58 | $134 080 | **$71,330.56** | 2.06% | $1,468 32 | 6 70% | $4,475 98 |
| **INTEL CORPORATION (INTC)** | 2,220 000 c | | $24.044 | $53,378 33 | $36.270 | **$80,519.40** | 2 87% | $2,308 80 | 50 85% | $27,141 07 |
| LOT 1 | 382 000 | 12/07/2012 | $20 134 | $7,691 19 | $36 270 | $13,855 14 | 2 87% | $397 28 | 80 14% | $6,163 95 |
| LOT 2 | 14 000 | 04/11/2013 | $21 740 | $304 36 | $36 270 | $507 78 | 2 87% | $14 56 | 66 84% | $203 42 |
| LOT 3 | 308 000 | 06/07/2013 | $24 595 | $7,575 26 | $36 270 | $11,171 16 | 2 87% | $320 32 | 47 47% | $3,595 90 |
| LOT 4 | 849 000 | 11/06/2013 | $23 995 | $20,371.76 | $36 270 | $30,793.23 | 2 87% | $882.96 | 51 16% | $10,421 47 |
| LOT 5 | 600 000 | 01/17/2014 | $25 675 | $15,405.00 | $36 270 | $21,762 00 | 2 87% | $624.00 | 41 27% | $6,357 00 |
| LOT 6 | 67.000 | 03/01/2016 | $30.310 | $2,030.76 | $36 270 | $2,430 09 | 2.87% | $69 68 | 19 66% | $399 33 |
| **JPMORGAN CHASE & COMPANY (JPM)** | 1,139.000 c | 03/01/2016 | $58.666 | $66,821 14 | $86.290 | **$98,284.31** | 2.23% | $2,186 88 | 47.09% | $31,463.17 |
| **JOHNSON & JOHNSON (JNJ)** | 500 000 c | 10/13/2015 | $95 327 | $47,663.25 | $115.210 | **$57,605.00** | 2.78% | $1,600 00 | 20 86% | $9,941 75 |
| **L BRANDS INCORPORATED (LB)** | 1,000 000 c | 05/25/2016 | $65.215 | $65,214 76 | $65 840 | **$65,840.00** | 3 65% | $2,400 00 | 0 96% | $625.24 |
| **MCDONALDS CORPORATION (MCD)** | 567.000 c | 10/13/2015 | $103 190 | $58,508.67 | $121 720 | **$69,015.24** | 3 09% | $2,131.92 | 17.96% | $10,506 57 |
| **METLIFE INCORPORATED (MET)** | 1,616 000 c | | $48 812 | $78,879 98 | $53 890 | **$87,086.24** | 2 97% | $2,585.60 | 10 40% | $8,206.26 |
| LOT 1 | 830.000 | 11/06/2013 | $48 107 | $39,928.40 | $53.890 | $44,728 70 | 2 97% | $1,328 00 | 12 02% | $4,800 30 |
| LOT 2 | 570 000 | 08/12/2014 | $52 124 | $29,710 68 | $53 890 | $30,717 30 | 2 97% | $912 00 | 3 39% | $1,006 62 |
| LOT 3 | 40 000 | 10/13/2015 | $47 910 | $1,916.40 | $53.890 | $2,155 60 | 2 97% | $64 00 | 12 48% | $239 20 |
| LOT 4 | 176 000 | 03/01/2016 | $41 616 | $7,324 50 | $53.890 | $9,484 64 | 2.97% | $281 60 | 29 49% | $2,160.14 |
| **MICROSOFT CORPORATION (MSFT)** | 1,288 000 c | | $46 318 | $59,657 46 | $62 140 | **$80,036.32** | 2 51% | $2,009 28 | 34.16% | $20,378 86 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | **Value** | Est Income Yield | Est. Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| LOT 1 | 1,213 000 | 08/11/2015 | $46 285 | $56,143 71 | $62 140 | $75,375 82 | 2.51% | $1,892.28 | 34 26% | $19,232 11 |
| LOT 2 | 75 000 | 10/13/2015 | $46 850 | $3,513.75 | $62 140 | $4,660 50 | 2 51% | $117 00 | 32 64% | $1,146 75 |
| **NUCOR CORPORATION (NUE)** | 1,633 000 c | 03/01/2016 | $41.007 | $66,963.95 | $59 520 | **$97,196.16** | 2 54% | $2,465 83 | 45 15% | $30,232.21 |
| **OCCIDENTAL PETE CORPORATION DEL (OXY)** | 954 000 c | 03/01/2016 | $70.256 | $67,024.70 | $71 230 | **$67,953.42** | 4.27% | $2,900.16 | 1 39% | $928.72 |
| **PFIZER INCORPORATED (PFE)** | 2,230 000 c | 03/01/2016 | $30.007 | $66,914.50 | $32 480 | **$72,430.40** | 3.94% | $2,854 40 | 8 24% | $5,515 90 |
| **PROCTER AND GAMBLE COMPANY (PG)** | 830 000 c | | $78.110 | $64,831.47 | $84 080 | **$69,786.40** | 3 19% | $2,222 74 | 7 64% | $4,954 93 |
| LOT 1 | 37.000 | 12/07/2012 | $70.356 | $2,603.17 | $84.080 | $3,110 96 | 3 19% | $99 09 | 19.51% | $507.79 |
| LOT 2 | 121 000 | 06/07/2013 | $77 515 | $9,379 32 | $84 080 | $10,173 68 | 3 19% | $324 04 | 8.47% | $794.36 |
| LOT 3 | 232 000 | 11/06/2013 | $81 497 | $18,907.19 | $84 080 | $19,506.56 | 3.19% | $621 30 | 3 17% | $599 37 |
| LOT 4 | 250 000 | 01/28/2014 | $79 476 | $19,869 00 | $84 080 | $21,020 00 | 3 19% | $669.50 | 5 79% | $1,151.00 |
| LOT 5 | 190 000 | 10/13/2015 | $74 067 | $14,072 79 | $84 080 | $15,975 20 | 3 19% | $508 82 | 13 52% | $1,902 41 |
| **STRYKER CORPORATION (SYK)** | 668 000 c | | $96 028 | $64,146 82 | $119 810 | **$80,033.08** | 1 42% | $1,135.60 | 24 77% | $15,886 26 |
| LOT 1 | 2 000 | 08/11/2015 | $100 920 | $201.84 | $119 810 | $239.62 | 1 42% | $3 40 | 18 72% | $37 78 |
| LOT 2 | 116 000 | 10/13/2015 | $97 597 | $11,321 25 | $119 810 | $13,897 96 | 1.42% | $197.20 | 22 76% | $2,576.71 |
| LOT 3 | 550.000 | 11/13/2015 | $95.680 | $52,623.73 | $119.810 | $65,895 50 | 1 42% | $935.00 | 25.22% | $13,271.77 |
| **TIME WARNER INCORPORATED COM NEW (TWX)** | 1,003.000 c | 03/01/2016 | $66 547 | $66,746 14 | $96.530 | **$96,819.59** | 1.67% | $1,614.83 | 45 06% | $30,073.45 |
| **UNION PAC CORPORATION (UNP)** | 836.000 c | | $99.138 | $82,879 00 | $103 680 | **$86,676.48** | 2.33% | $2,023 12 | 4.58% | $3,797.48 |
| LOT 1 | 680 000 | 05/13/2015 | $102 348 | $69,596.44 | $103 680 | $70,502 40 | 2 33% | $1,645 60 | 1 30% | $905 96 |
| LOT 2 | 54.000 | 10/13/2015 | $93 950 | $5,073 29 | $103 680 | $5,598 72 | 2 33% | $130 68 | 10 36% | $525 43 |
| LOT 3 | 102.000 | 03/01/2016 | $80 483 | $8,209 27 | $103 680 | $10,575 36 | 2 33% | $246.84 | 28 82% | $2,366 09 |

# Equities (continued)

## Stocks (continued)

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est Income Yield | Est Annual Income | Gain or (Loss) Pct. | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **VALERO ENERGY CORPORATION NEW (VLO)** | 400 000 [c] | 07/06/2016 | $47 847 | $19,138 88 | $68 320 | **$27,328.00** | 3 51% | $960 00 | 42 79% | $8,189 12 |
| **VERSUM MATLS INCORPORATED (VSM)** | 248 000 | 03/01/2016 | $23 123 | $5,734.51 | $28.070 | **$6,961.36** | | | 21 39% | $1,226 85 |
| **INVESCO LIMITED SHS (BERMUDA) (IVZ)** | 2,419.000 [c] | | $29 981 | $72,523 16 | $30 340 | **$73,392.46** | 3.69% | $2,709 28 | 1.20% | $869 30 |
| **LOT 1** | 1,300 000 | 11/13/2015 | $31 887 | $41,452 45 | $30 340 | $39,442 00 | 3 69% | $1,456 00 | (4 85)% | $(2,010.45) |
| **LOT 2** | 1,119 000 | 03/01/2016 | $27.766 | $31,070 71 | $30.340 | $33,950 46 | 3 69% | $1,253 28 | 9 27% | $2,879 75 |
| **MEDTRONIC PLC SHS (IRELAND) (MDT)** | 907 000 [c] | 03/01/2016 | $74 017 | $67,132 97 | $71.230 | **$64,605.61** | 2 41% | $1,560 04 | (3 76)% | $(2,527 36) |
| **Stocks Total** | | | | $2,031,317 25 | | **$2,413,779.57** | 2 77% | $66,947 93 | 18 83% | $382,462 32 |

## REITs / Tangibles †

| Description (Symbol) | Quantity | Date Acquired | Unit Cost | Total Cost Basis | Price | Value | Est Income Yield | Est Annual Income | Gain or (Loss) Pct | Gain or (Loss) |
|---|---|---|---|---|---|---|---|---|---|---|
| **AVALONBAY CMNTYS INCORPORATED REIT (AVB)** | 382.000 [c] | | $176 185 | $67,302 51 | $177 150 | **$67,671.30** | 3.05% | $2,062 80 | 0 55% | $368 79 |
| **LOT 1** | 348 000 | 04/06/2015 | $175 865 | $61,200 85 | $177 150 | $61,648 20 | 3 05% | $1,879 20 | 0 73% | $447.35 |
| **LOT 2** | 34 000 | 10/13/2015 | $179 461 | $6,101.66 | $177 150 | $6,023 10 | 3 05% | $183.60 | (1 29)% | $(78 56) |