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EXTENDED TO NOVEMBER 15, 2017
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.

For calendar year 2016 or tax year beginning

, and ending

Name of foundation

THE TRES CHICAS FOUNDATION

Number and street (or P O box number if mail is not delivered to street address)

12100 WILSHIRE BLVD.

A Employer identification number

77-0544704

B Telephone number

(310)826-2060

C If exemption application is pending, check here ► D 1. Foreign organizations, check here ► 2. Foreign organizations meeting the 85% test, check here and attach computation ► E If private foundation status was terminated under section 507(b)(1)(A), check here ► F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ► G Check all that apply: Initial return Initial return of a former public charity
 Final return Amended return
 Address change Name changeH Check type of organization: Section 501(c)(3) exempt private foundation
 Section 4947(a)(1) nonexempt charitable trust Other taxable private foundationI Fair market value of all assets at end of year (from Part II, col (c), line 16) **\$ 5,836,537.** J Accounting method: Cash Accrual
 Other (specify) _____

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received		292,910.		N/A	
2 Check ► <input type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		42,327.	42,327.		STATEMENT 1
4 Dividends and interest from securities		95,451.	95,451.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		65,838.			
b Gross sales price for all assets on line 6a	1,879,760.				
7 Capital gain net income (from Part IV, line 2)			65,838.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income					
12 Total. Add lines 1 through 11		496,526.	203,616.	RECEIVED BOOKS JUL 31 2017 OGDEN, UT	0.
13 Compensation of officers, directors, trustees, etc		0.	0.		
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees	STMT 3	8,390.	8,390.		0.
b Accounting fees	STMT 4	3,576.	1,826.		0.
c Other professional fees					
17 Interest					
18 Taxes	STMT 5	29,758.	29,758.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses	STMT 5	41,724.	39,974.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		310,000.			310,000.
25 Contributions, gifts, grants paid					
26 Total expenses and disbursements. Add lines 24 and 25		351,724.	39,974.		310,000.
27 Subtract line 26 from line 12:		144,802.			
a Excess of revenue over expenses and disbursements					
b Net investment income (if negative, enter -0-)		163,642.			
c Adjusted net income (if negative, enter -0-)				N/A	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing			
	2	Savings and temporary cash investments		328,313.	466,274.
	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			
	7	Other notes and loans receivable ►			
		Less: allowance for doubtful accounts ►			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U.S. and state government obligations			
	b	Investments - corporate stock	STMT 6	3,661,448.	3,581,525.
	c	Investments - corporate bonds	STMT 7	1,101,974.	1,203,225.
Liabilities	11	Investments - land, buildings, and equipment basis ►			
		Less accumulated depreciation ►			
	12	Investments - mortgage loans			
	13	Investments - other	STMT 8	600,000.	585,513.
	14	Land, buildings, and equipment; basis ►			
		Less accumulated depreciation ►			
	15	Other assets (describe ►)			
	16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		5,691,735.	5,836,537.
	17	Accounts payable and accrued expenses			
	18	Grants payable			
Net Assets or Fund Balances	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable			
	22	Other liabilities (describe ►)			
	23	Total liabilities (add lines 17 through 22)		0.	0.
	Foundations that follow SFAS 117, check here ► <input checked="" type="checkbox"/>				
	and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted		5,691,735.	5,836,537.
	25	Temporarily restricted			
	26	Permanently restricted			
Net Assets or Fund Balances	Foundations that do not follow SFAS 117, check here ► <input type="checkbox"/>				
	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		5,691,735.	5,836,537.
31 Total liabilities and net assets/fund balances			5,691,735.	5,836,537.	

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	5,691,735.
2	Enter amount from Part I, line 27a	2	144,802.
3	Other increases not included in line 2 (itemize) ►	3	0.
4	Add lines 1, 2, and 3	4	5,836,537.
5	Decreases not included in line 2 (itemize) ►	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	5,836,537.

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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.)
a HAWTHORN - SEE ATTACHED SCHEDULE			P	VARIOUS	12/31/16
b HAWTHORN - SEE ATTACHED SCHEDULE			P	VARIOUS	12/31/16
c CAPITAL GAINS DIVIDENDS					
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 428,306.		448,998.	-20,692.		
b 1,422,498.		1,364,924.	57,574.		
c 28,956.			28,956.		
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))		
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any			
a			-20,692.		
b			57,574.		
c			28,956.		
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	65,838.	
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	}		3	N/A	

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

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

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

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

 Yes No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2015	203,846.	5,609,915.	.036337
2014	248,819.	5,854,646.	.042499
2013	141,000.	5,904,300.	.023881
2012	161,000.	5,566,940.	.028921
2011	150,000.	5,403,954.	.027757

2 Total of line 1, column (d)

2 .159395

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 .031879

4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5

4 5,677,673.

5 Multiply line 4 by line 3

5 180,999.

6 Enter 1% of net investment income (1% of Part I, line 27b)

6 1,636.

7 Add lines 5 and 6

7 182,635.

8 Enter qualifying distributions from Part XII, line 4

8 310,000.

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

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-)

3 Add lines 1 and 2

4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-

6 Credits/Payments:

a 2016 estimated tax payments and 2015 overpayment credited to 2016

6a 1,160.

b Exempt foreign organizations - tax withheld at source

6b

c Tax paid with application for extension of time to file (Form 8868)

6c 2,200.

d Backup withholding erroneously withheld

6d

7 Total credits and payments. Add lines 6a through 6d

7 3,360.

8 Enter any **penalty** for underpayment of estimated tax. Check here if Form 2220 is attached

8

9 Tax due. If the total of lines 5 and 8 is more than line 7, enter **amount owed**

9

10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid**

10

11 Enter the amount of line 10 to be: **Credited to 2017 estimated tax** ►

1,640.

Refunded ►

11

84.

Part VII-A Statements Regarding Activities

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?

Yes No 1a

b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?

1b *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.*1c

c Did the foundation file Form 1120-POL for this year?

d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:

(1) On the foundation. ► \$ 0. (2) On foundation managers. ► \$ 0.

e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ► \$ 0.

2 Has the foundation engaged in any activities that have not previously been reported to the IRS?

2 *If "Yes," attach a detailed description of the activities.*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

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?

4a

b If "Yes," has it filed a tax return on Form 990-T for this year?

4b

5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?

5 *If "Yes," attach the statement required by General Instruction T.*

6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:

6 • By language in the governing instrument, or
• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?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

8a Enter the states to which the foundation reports or with which it is registered (see instructions) ►

CA 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 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 10 Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*10

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? Website address ► N/A	13	X
14 The books are in care of ► CHRIS MORRIS Telephone no. ► (310) 826-2060 Located at ► 12100 WILSHIRE BLVD., #1150, LOS ANGELES, CA ZIP+4 ► 90025		
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	N/A
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►	16	Yes X

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?	<input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	<input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No
(6) Agree to pay money or property to a government official? (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.)	<input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here	► N/A	
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?	<input type="checkbox"/>	Yes <input checked="" type="checkbox"/> 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.)	► N/A	
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____, _____, _____, _____	► 2b	
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/>	Yes <input checked="" type="checkbox"/> No
b If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016)	► N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	► 3b	
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?	► 4a X	
	► 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))?
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?
- (3) Provide a grant to an individual for travel, study, or other similar purposes?
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions)
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

Yes No
 Yes No
 Yes No
 Yes No
 Yes No

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

5b

Organizations relying on a current notice regarding disaster assistance check here

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

N/A

Yes No

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

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

Yes No

6b

X

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

If "Yes" to 6b, file Form 8870

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

Yes No

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

N/A

7b

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ALISON ZUBER 687 GROVE LANE SANTA BARBARA, CA 93105	CHAIRMAN 0.00	0.	0.	0.
AMISHA ZUBER 687 GROVE LANE SANTA BARBARA, CA 93105	CHIEF FINANCIAL OFFICER 0.00	0.	0.	0.
SIERRA ZUBER 687 GROVE LANE SANTA BARBARA, CA 93105	SECRETARY 0.00	0.	0.	0.

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

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

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

►

0

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Part VIII **Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**
3 Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

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

►

0

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

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

Expenses

1	N/A	
2		
3		
4		

Part IX-B **Summary of Program-Related Investments**

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

Amount

1	N/A	
2		
3	All other program-related investments. See instructions.	
Total. Add lines 1 through 3		► 0.

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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	5,366,842.
b	Average of monthly cash balances	1b	397,293.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	5,764,135.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	5,764,135.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	86,462.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	5,677,673.
6	Minimum investment return. Enter 5% of line 5	6	283,884.

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	283,884.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	1,636.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	1,636.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	282,248.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	282,248.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	282,248.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:	1a	310,000.
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1b	0.
b	Program-related investments - total from Part IX-B	2	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	3a	
3	Amounts set aside for specific charitable projects that satisfy the:	3b	
a	Suitability test (prior IRS approval required)	4	310,000.
b	Cash distribution test (attach the required schedule)	5	1,636.
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	6	308,364.
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		
6	Adjusted qualifying distributions. Subtract line 5 from line 4		

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				282,248.
2 Undistributed income, if any, as of the end of 2016			74,342.	
a Enter amount for 2015 only				
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011				
b From 2012				
c From 2013				
d From 2014				
e From 2015				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2016 from Part XII, line 4: ► \$ 310,000.			74,342.	
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				235,658.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	0.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed			0.	
d Subtract line 6c from line 6b. Taxable amount - see instructions			0.	
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr.				0.
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				46,590.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2012				
b Excess from 2013				
c Excess from 2014				
d Excess from 2015				
e Excess from 2016				

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

N/A

1 a 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

4942(j)(3) or 4942(j)(5)

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

Part XV | Supplementary Information (Complete this part only if the 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).)

NONE

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.

NONE

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:

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
CATSS P.O. BOX 422 OBERLIN, OH 44074	NONE	PUBLIC CHARITY	GENERAL CHARITABLE	15,000.
REGENTS OF UNIVERSITY OF CALIFORNIA FBO GWYNNE HAZEN CHERRY MEMORIAL LABS 10833 LE CONTE AVENUE LOS ANGELES, CA 90095-1752	NONE	PUBLIC CHARITY	GENERAL CHARITABLE	100,000.
DIRECT RELIEF INTERNATIONAL 27 S. LA PATERA LANE SANTA BARBARA, CA 93117-9806	NONE	PUBLIC CHARITY	GENERAL CHARITABLE	50,000.
EARTHJUSTICE 50 CALIFORNIA STREET, STE 500 SAN FRANCISCO, CA 94111	NONE	PUBLIC CHARITY	GENERAL CHARITABLE	10,000.
ACLU FOUNDATION 125 BROAD STREET, 18TH FL NEW YORK, NY 10004	NONE	PUBLIC CHARITY	GENERAL CHARITABLE	40,000.
Total	SEE CONTINUATION SHEET(S)			► 3a 310,000.
b Approved for future payment				
NONE				
Total				► 3b 0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated.	Unrelated business income		(e) Related or exempt function income	
	(a) Business code	(b) 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 42,327.	
4 Dividends and interest from securities			14 95,451.	
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 65,838.	
9 Net income or (loss) from special events				
10 Gross profit or (loss) from sales of inventory				
11 Other revenue:				
a				
b				
c				
d				
e				
12 Subtotal. Add columns (b), (d), and (e)		0.	203,616.	0.
13 Total. Add line 12, columns (b), (d), and (e)			13	203,616.

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

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

OMB No 1545-0047

- 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 .

2016

Name of the organization

THE TRES CHICAS FOUNDATION

Employer identification number

77-0544704

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 foundationCheck 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)

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2016)

Name of organization

Employer identification number

THE TRES CHICAS FOUNDATION

77-0544704

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	<u>ALISON C. ZUBER</u> <u>687 GROVE LANE</u> <u>SANTA BARBARA, CA 93105</u>	\$ <u>77,110.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
2	<u>ALISON C. ZUBER</u> <u>687 GROVE LANE</u> <u>SANTA BARBARA, CA 93105</u>	\$ <u>55,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
3	<u>ALISON C. ZUBER</u> <u>687 GROVE LANE</u> <u>SANTA BARBARA, CA 93105</u>	\$ <u>140,000.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
4	<u>ALISON C. ZUBER</u> <u>687 GROVE LANE</u> <u>SANTA BARBARA, CA 93105</u>	\$ <u>20,800.</u>	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
		\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Name of organization

Employer identification number

THE TRES CHICAS FOUNDATION

77-0544704

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

Employer identification number

THE TRES CHICAS FOUNDATION

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 info once) ► \$ _____

(a) No. _____

THE TRES CHICAS FOUNDATION

77-0544704

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Total from continuation sheets

95 000.

623631
04-01-16

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
HAWTHORN	42,327.	42,327.	
TOTAL TO PART I, LINE 3	42,327.	42,327.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
HAWTHORN	124,407.	28,956.	95,451.	95,451.	
TO PART I, LINE 4	124,407.	28,956.	95,451.	95,451.	

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING	8,390.	8,390.		0.
TO FORM 990-PF, PG 1, LN 16B	8,390.	8,390.		0.

FORM 990-PF TAXES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL INCOME TAX	1,750.	0.		0.
FOREIGN TAXES WITHHELD	1,826.	1,826.		0.
TO FORM 990-PF, PG 1, LN 18	3,576.	1,826.		0.

FORM 990-PF

OTHER EXPENSES

STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	29,269.	29,269.		0.
LICENSES AND FEES	95.	95.		0.
OTHER INVESTMENT EXPENSE	394.	394.		0.
TO FORM 990-PF, PG 1, LN 23	29,758.	29,758.		0.

FORM 990-PF

CORPORATE STOCK

STATEMENT 6

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
INVESTMENT	3,581,525.	3,581,525.
TOTAL TO FORM 990-PF, PART II, LINE 10B	3,581,525.	3,581,525.

FORM 990-PF

CORPORATE BONDS

STATEMENT 7

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
INVESTMENT	1,203,225.	1,203,225.
TOTAL TO FORM 990-PF, PART II, LINE 10C	1,203,225.	1,203,225.

FORM 990-PF

OTHER INVESTMENTS

STATEMENT 8

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
INVESTMENT	COST	585,513.	585,513.
TOTAL TO FORM 990-PF, PART II, LINE 13		585,513.	585,513.

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
37. ABBOTT LABORATORIES INC	12/02/2015	10/11/2016	1,518.08	1,689.05			-170.97
52. ADOBE SYSTEMS INC	03/18/2015	01/13/2016	4,714.27	3,943.21			771.06
52. ADOBE SYSTEMS INC	VAR	01/19/2016	4,684.59	3,929.12			755.47
8. ALBERMARLE CORP	05/15/2015	02/01/2016	409.97	511.79			-102.82
16. AMERICAN EAGLE OUTFITTERS INC	08/19/2015	08/10/2016	285.11	272.17			12.94
26. AMERICAN EAGLE OUTFITTERS INC	05/12/2016	08/17/2016	460.37	364.00			96.37
23. AMERICAN EXPRESS CO	VAR	01/22/2016	1,292.93	1,943.00			-650.07
24. AMERISOURCEBERGEN CORP	VAR	10/31/2016	1,609.80	1,830.92	W		141.12
32. BORG WARNER INC.	01/13/2016	12/01/2016	1,174.89	1,111.87			63.02
14. CABELAS INC	VAR	05/26/2016	685.05	704.28			-19.23
17. CABELAS INC	VAR	05/27/2016	816.39	675.36			161.03
12. CBOT CORP	VAR	01/04/2016	474.59	552.72			-78.13
6. COCA COLA ENTERPRISES	04/06/2015	04/01/2016	303.51	274.54			28.97
5. COOPER COS INC NEW	VAR	02/01/2016	639.71	713.19			-133.48
6. COOPER COS INC NEW	VAR	09/01/2016	1,107.54	896.53			211.01
5000. DEUTSCHE X-TRACKERS MSCI EUR ETF	08/26/2015	02/12/2016	112,848.03	127,750.00			-14,901.97
8. DOLLAR GENERAL CORP	10/27/2015	05/26/2016	700.70	519.32			181.38
4. DOLLAR GENERAL CORP	10/27/2015	08/16/2016	363.23	259.66			103.57
9. DOLLAR GENERAL CORP	10/27/2015	08/19/2016	823.38	584.24			239.24
16. E-TRADE FINANCIAL CORP	09/15/2016	10/19/2016	453.75	439.20			14.55
162. EBAY INC	VAR	09/29/2016	5,227.30	3,900.05			1,327.25
.38 EQUINIX INC	11/10/2015	01/29/2016	114.49	112.83			1.66
35. EVERSOURCE ENERGY	05/18/2015	04/06/2016	1,980.72	1,729.42			251.30
55. EVERSOURCE ENERGY	VAR	04/11/2016	3,133.27	2,629.40			503.87
12. EVERSOURCE ENERGY	06/16/2015	05/16/2016	684.95	558.05			126.90
5. HERSHEY FOODS CORP	VAR	07/01/2016	558.94	471.67			87.27
14. HERSHEY FOODS CORP	VAR	07/12/2016	1,527.37	1,277.43			249.94
18. HERSHEY FOODS CORP	08/24/2015	07/19/2016	1,961.18	1,574.74			386.44
2. INGREDION INC	04/06/2015	04/01/2016	212.15	158.56			53.59
1. INTERPUBLIC GROUP COMPANIES INC	05/06/2015	01/29/2016	22.10	20.70			1.40
20. INTUIT SOFTWARE	VAR	04/06/2016	2,094.41	1,761.10			333.31
11. INTUIT SOFTWARE	08/27/2015	05/31/2016	1,170.70	930.50			240.20
7. INTUIT SOFTWARE	08/27/2015	06/23/2016	754.92	592.13			162.79
Totals							

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
1400. ISHARES TBOXX \$ INVESTMENT GRADE CORPORATE BOND	VAR	11/10/2016	165,868.38	169,749.06			-3,880.68
1500. ISHARES NSCI EAFE SMALL-CAP ETF	10/27/2015	02/12/2016	65,668.56	75,240.00			-9,571.44
4. JUNIPER NETWORKS INC	01/29/2016	04/01/2016	101.37	92.12			9.25
22. JUNIPER NETWORKS INC	01/29/2016	07/11/2016	499.61	506.66			-7.05
42. JUNIPER NETWORKS INC	01/29/2016	07/14/2016	910.47	967.26			3.21
6. KAR AUCTION SERVICES INC	08/21/2015	07/27/2016	256.67	224.63			32.04
49. LEVEL 3 COMMUNICATIONS INC	12/11/2015	11/10/2016	2,653.25	2,541.44			111.81
1. MET BK CORP	12/31/2015	12/19/2016	152.63	122.03			30.60
17. NORDSTROM INC	08/12/2016	11/17/2016	994.65	878.55			116.10
11. NORDSTROM INC	08/12/2016	11/18/2016	627.48	568.47			59.01
12. NORDSTROM INC	08/12/2016	11/29/2016	672.47	620.15			52.32
40. OASES PETROLEUM INC	04/06/2015	03/09/2016	246.82	648.00			-401.18
20. OWENS CORNING INC	04/16/2015	01/19/2016	860.78	858.83			1.95
13. OWENS CORNING INC	04/16/2015	03/01/2016	560.03	558.24			1.79
24. OWENS CORNING INC	VAR	03/02/2016	1,061.13	1,011.38			49.75
34. OWENS ILL INC NEW	03/04/2016	05/16/2016	639.70	527.23			112.47
80. OWENS ILL INC NEW	VAR	05/18/2016	1,498.90	1,205.01			293.89
10. PPL CORPORATION	05/10/2016	12/23/2016	342.87	387.40			-44.53
9. Pinnacle West Capital Corp	VAR	04/14/2016	666.16	562.21			103.95
67. PRAXAIR INC	VAR	12/09/2016	8,304.13	7,851.14			452.99
3. SBD FINANCIAL GROUP	07/15/2016	12/19/2016	507.37	310.29			197.08
18. ST JUDE MEDICAL INC	VAR	08/26/2016	1,372.29	994.52			377.77
7. ST JUDE MEDICAL INC	04/01/2016	08/31/2016	548.72	385.65			163.07
7. ST JUDE MEDICAL INC	04/01/2016	10/12/2016	549.77	385.65			164.12
16. ST JUDE MEDICAL INC	04/01/2016	10/13/2016	1,249.27	881.47			367.80
17. ST JUDE MEDICAL INC	04/01/2016	10/28/2016	1,339.56	936.57			402.99
8. SCOTTS CO CL A	VAR	11/03/2016	712.54	584.83			127.71
7. SCOTTS CO CL A	03/02/2016	12/23/2016	670.76	491.51			179.25
.28. SHIRE PLC SPONSORED ADR	06/03/2016	06/14/2016	47.47	53.74			-6.27
59. SHIRE PLC SPONSORED ADR	06/03/2016	12/05/2016	10,402.64	11,323.57			-920.93
4. J.M. SMUCKER CO THE NEW COM WI	10/21/2015	02/01/2016	510.72	465.04			45.68
3. SUNTRUST BANKS INC	06/01/2016	07/28/2016	127.32	129.50			-2.18
24. SVISCO CORP	VAR	02/01/2016	995.50	920.30			75.20
Totals							

JSA
XG500 3000

DETAIL OF SHORT-TERM CAPITAL GAINS AND LOSSES

USA 5900 3 000

CIV297 6681 02/23/2017 6223-12350403872448

DETAIL OF LONG-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
32. AGL RES. INC.	03/01/2013	04/14/2016	2,085.41	1,273.79			811.62
107. ABBOTT LABORATORIES INC	VAR	10/11/2016	4,390.11	4,453.62			-63.51
125. ABBOTT LABORATORIES INC	VAR	10/18/2016	5,136.75	4,761.12			375.63
128. ABBOTT LABORATORIES INC	10/22/2013	10/24/2016	5,181.60	4,735.91			445.69
24. ADVANSTIX INC - W/1	VAR	11/11/2016	389.17	119.84			269.33
6. ALBEMARLE CORP	07/11/2013	02/01/2016	307.40	304.26			-86.86
7. ALBEMARLE CORP	VAR	07/27/2016	591.57	444.39			147.18
9. ALBEMARLE CORP	VAR	12/29/2016	779.38	561.63			217.75
8. ALEXANDRIA REAL ESTATE EQUITIES INC	VAR	07/27/2016	873.82	698.78			185.04
13. ALLIANCE DATA SYSTEMS CORP.	VAR	12/12/2016	2,978.18	3,566.84			-588.66
17. AMERICAN EAGLE OUTFITTERS INC	05/20/2015	08/11/2016	318.57	292.67			35.90
26. AMERICAN EAGLE OUTFITTERS INC	VAR	08/17/2016	460.37	356.61			103.76
83. AMERICAN EAGLE OUTFITTERS INC	VAR	10/10/2016	1,493.59	905.27			508.32
54. AMERICAN EAGLE OUTFITTERS INC	VAR	10/11/2016	955.00	630.09			327.91
53. AMERICAN EXPRESS CO	VAR	01/22/2016	2,979.37	4,701.99			-1,722.62
57. AMERICAN EXPRESS CO	VAR	12/14/2016	4,217.18	1,429.09			-211.91
150. BADGER METER INC	VAR	07/10/2016	11,198.18	5,861.58			5,336.60
200. BAXALTA INC -W/1 MERGED 06/03/16 @ \$18.00 P/S	VAR	01/28/2016	7,945.30	3,849.10			4,096.20
400. BAXALTA INC -W/1 MERGED 06/03/16 @ \$18.00 P/S	VAR	06/03/2016	18,577.31	6,054.05			12,523.26
75. BEAUMS COMPANY	05/24/2005	03/16/2016	3,943.60	2,018.06			1,865.54
31789.503 BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO	VAR	05/17/2016	108,676.07	124,448.57			-15,772.50
113. BORG WARNER INC.	VAR	11/15/2016	3,827.02	5,759.98			-1,932.96
126. BORG WARNER INC.	VAR	12/01/2016	4,626.11	5,505.56			-879.45
13. CABELAS INC	VAR	05/12/2016	636.20	807.07			-70.87
7. CABELAS INC	VAR	05/19/2016	333.75	427.90			-94.15
9. CABELAS INC	VAR	05/26/2016	440.39	523.85			-83.46
3. CABELAS INC	11/06/2014	05/27/2016	147.60	147.90			-0.30
7. CABOT CORP	02/06/2015	03/31/2016	342.15	322.34			19.81
8. CABOT CORP	02/06/2015	04/01/2016	391.87	368.39			13.48
11. CABOT CORP	02/06/2015	07/26/2016	539.98	506.54			33.44
33. CABOT CORP	VAR	07/27/2016	1,588.87	1,507.62			81.25
9. CABOT CORP	VAR	07/28/2016	451.49	380.81			73.68
11. CITRIX SYSTEMS INC	05/14/2014	07/11/2016	915.84	660.99			254.85
Totals							

DETAIL OF LONG-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
7. CITRIX SYSTEMS INC	VAR	07/14/2016	593.73	417.15			176.58
31. CITRIX SYSTEMS INC	VAR	07/28/2016	2,749.48	1,777.61			971.87
54. COCA COLA ENTERPRISES	VAR	04/01/2016	2,731.59	2,176.22			555.37
1. COOPER COS INC NEW	05/14/2014	09/27/2016	178.44	135.10			43.34
200. CRAY INC	05/10/2013	02/18/2016	8,394.51	3,589.21			4,805.30
35. DRAHAER CORP	VAR	10/17/2016	2,660.29	2,128.38			531.91
18. DARLING INGREDIENTS INC	05/14/2014	05/27/2016	270.00	357.30			-87.30
30. DARLING INGREDIENTS INC	VAR	06/17/2016	454.33	568.51			-114.18
14. DARLING INGREDIENTS INC	VAR	07/07/2016	207.24	263.86			-56.62
12. DARLING INGREDIENTS INC	11/10/2014	07/08/2016	176.18	226.09			-49.91
4524.887 DIAMOND HILL LONG-SHORT FUND CL I	06/20/2008	02/12/2016	100,000.00	83,393.67			16,606.33
150. DONALDSON INC	12/01/2004	09/06/2016	5,633.35	2,255.11			3,378.24
5208.331 DREIEHAUS ACTIVE INCOME FUND FUND	640	05/09/2014	02/12/2016	50,000.00	56,093.75		-6,093.75
16. E*TRADE FINANCIAL CORP	03/06/2015	10/19/2016	453.75	442.89			10.86
75. ECOLAB INC	01/05/2005	03/16/2016	7,945.39	2,555.81			5,389.58
2.62 EQUINIX INC	VAR	01/29/2016	789.39	600.71			188.68
2. EQUINIX INC	01/22/2015	04/15/2016	640.65	458.24			182.41
28. EVERSOURCE ENERGY	10/07/2014	05/16/2016	1,598.20	1,283.27			314.93
41. EVERSOURCE ENERGY	10/07/2014	09/12/2016	2,213.56	1,879.08			334.48
51. EVERSOURCE ENERGY	VAR	09/16/2016	2,749.06	2,327.03			422.03
100. FISERV INC	06/12/2009	02/18/2016	9,617.04	2,321.80			7,295.24
.5. FORTIVE CORP	08/15/2013	07/12/2016	25.40	16.46			8.94
120. FORTIVE CORP	VAR	12/08/2016	6,446.50	4,066.58			2,379.92
300. GENERAL ELECTRIC CO	VAR	01/28/2016	8,461.69	11,003.47			-2,541.78
28. GREAT PLAINS ENERGY INC	05/14/2014	04/14/2016	885.77	717.92			167.85
4. HANOVER INSURANCE GROUP INC	07/23/2014	01/07/2016	317.11	250.59			66.52
3. HANOVER INSURANCE GROUP INC	07/23/2014	01/08/2016	235.26	187.94			47.32
10. HANOVER INSURANCE GROUP INC	07/23/2014	08/02/2016	817.58	626.48			191.10
2. HANOVER INSURANCE GROUP INC	07/23/2014	08/03/2016	162.52	125.29			37.23
5. INGREDION INC	03/18/2015	04/01/2016	530.38	397.10			133.28
22. INTERPUBLIC GROUP COMPANIES INC	05/14/2014	01/29/2016	486.30	394.02			92.28
78. INTERPUBLIC GROUP COMPANIES INC	VAR	03/14/2016	1,658.04	1,118.19			539.85
9. INTERPUBLIC GROUP COMPANIES INC	03/01/2013	03/15/2016	190.62	113.85			76.77
Totals							

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DETAIL OF LONG-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
7. INTUIT SOFTWARE	05/14/2014	06/23/2016	754.92	527.59			227.33
24. INTUIT SOFTWARE	VAR	07/29/2016	2,654.58	1,597.79			1,056.79
90. INVESTORS BANCORP INC NEW	VAR	04/06/2016	1,016.22	960.65			55.57
34. INVESTORS BANCORP INC NEW	VAR	04/07/2016	386.07	357.09			29.98
159. INVESTORS BANCORP INC NEW	VAR	04/21/2016	1,827.27	1,655.90			181.37
6. JUNIPER NETWORKS INC	05/14/2014	04/01/2016	152.05	149.64			2.41
59. JUNIPER NETWORKS INC	VAR	07/14/2016	1,363.28	1,116.50			246.78
52. KROGER CO	03/01/2013	01/25/2016	1,930.66	757.62			1,173.04
20. LIGO CORP	VAR	07/19/2016	652.32	514.46			137.86
23. MICROCHIP TECHNOLOGY INC	05/14/2014	08/08/2016	1,301.27	936.66			364.61
82. NUNWELL RUBBERMAID INC	VAR	02/01/2016	3,200.90	2,194.67			1,006.23
70. NUNWELL RUBBERMAID INC	08/15/2013	08/01/2016	3,762.33	1,822.79			1,939.54
83. NON INC	VAR	04/20/2016	1,495.11	2,711.84			-1,216.73
86. NON INC	VAR	06/22/2016	1,615.97	2,626.88			-1,010.91
272. NON INC	VAR	12/29/2016	5,534.56	7,505.55			-1,970.99
11. O REILLY AUTOMOTIVE INC	08/15/2013	01/29/2016	2,855.86	1,365.54			1,490.34
9. O REILLY AUTOMOTIVE INC	08/15/2013	02/09/2016	2,139.50	1,117.26			1,022.24
9. O REILLY AUTOMOTIVE INC	08/15/2013	02/10/2016	2,143.14	1,117.26			1,025.88
66. OASIS PETROLEUM INC	VAR	03/09/2016	407.26	3,049.84			-2,642.58
5376.024 OPPENHEIMER INTERNATIONAL GROWTH FUND CLASS-Y	VAR	11/10/2016	186,655.55	200,000.00			-13,344.45
154. PAYPAL HOLDINGS INC-W/I	VAR	01/29/2016	5,381.49	4,808.93			572.56
66. PAYPAL HOLDINGS INC-W/I	VAR	02/10/2016	2,222.21	2,039.04			193.17
68. PAYPAL HOLDINGS INC-W/I	VAR	02/17/2016	2,480.60	1,980.53			500.07
4. PIONEER NAT RES CO	05/14/2014	09/01/2016	711.90	824.28			-112.38
23. PORTLAND GENERAL ELECTRIC CO	05/14/2014	04/14/2016	896.34	759.46			136.88
20. PORTLAND GENERAL ELECTRIC CO	05/14/2014	04/15/2016	785.08	650.40			124.68
61. PROGRESSIVE CORP OHIO	06/20/2014	02/09/2016	1,869.81	1,574.34			295.47
7. QORVO INC	07/16/2015	07/28/2016	448.39	562.44			-114.05
36. SCANA CORP W/I	VAR	05/09/2016	2,502.64	1,811.07			671.57
18. SCANA CORP W/I	VAR	05/10/2016	1,257.63	899.44			398.19
57. SCHLUMBERGER LTD	VAR	12/13/2016	4,918.43	5,361.03			-442.60
3. J.M. SMUCKER CO/THE NEW COM WI	05/14/2014	02/01/2016	303.04	299.07			83.97
8. J.M. SMUCKER CO/THE NEW COM WI	VAR	02/29/2016	1,024.38	791.22			233.16
Totals							

DETAIL OF LONG-TERM CAPITAL GAINS AND LOSSES

Capital Gain/Loss Detail	Date Acquired	Date Sold	Gross Sales Price	Cost or Other Basis	Adjustment Code(s)	Amount of Adjustment	Gain or Loss
3. J.M. SMUCKER CO/THE-NEW COM WI	03/01/2013	04/01/2016	387.26	286.29			100.97
5. J.M. SMUCKER CO/THE-NEW COM WI	03/01/2013	04/05/2016	612.16	477.15			155.01
9. J.M. SMUCKER CO/THE-NEW COM WI	VAR	04/13/2016	1,147.20	827.08			320.12
22. SHINTRUST BANKS INC	05/14/2014	07/28/2016	933.71	834.02			99.69
62. SHINTRUST BANKS INC	VAR	10/04/2016	2,729.02	1,784.43			944.59
44. SYSCO CORP	VAR	03/03/2016	1,967.51	1,440.24			527.27
39. TUX COMPANIES INC NEW	VAR	03/03/2016	2,913.98	2,158.60			755.38
32. TUX COMPANIES INC NEW	07/16/2014	03/11/2016	2,402.44	1,701.05			701.39
31. TUX COMPANIES INC NEW	VAR	05/17/2016	2,343.21	1,647.51			695.70
34. TUX COMPANIES INC NEW	VAR	06/28/2016	2,525.48	1,786.72			738.76
66. TUX COMPANIES INC NEW	VAR	09/08/2016	5,084.78	3,372.64			1,712.14
200000. TARGET CORP NTS	12/18/2008	07/15/2016	200,000.00	200,450.00			-450.00
38. TEXAS INSTRUMENTS INC	05/14/2014	04/08/2016	2,191.86	1,745.91			445.95
35. TEXAS INSTRUMENTS INC	VAR	07/28/2016	2,446.65	1,543.68			902.97
50. TORO CO	11/03/2005	09/06/2016	4,892.64	948.19			3,944.45
18745.723 TOUCHSTONE SANDS CAPITAL SELECT GROWTH FD CLASS Y	VAR	05/17/2016	282,498.05	300,000.00			-17,501.95
83. US BANCORP DEL COM NEW	VAR	06/28/2016	3,191.56	3,473.20			-281.64
175. Valspar Corp	VAR	04/12/2016	18,671.54	3,952.75			14,718.79
175. Valspar Corp	VAR	05/09/2016	18,691.68	3,838.24			14,853.44
15. XYLEM INC	05/14/2014	08/08/2016	708.15	564.15			144.00
21. ZIONS BANCORP	05/14/2014	10/19/2016	662.54	599.76			62.78
18. PEATAIR PLC SEDOL B1S09M3	12/29/2014	01/21/2016	767.69	1,210.27			-442.58
Totals							57,571.89
							1,422,498.44
							1,364,923.55

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