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

Name of foundation SHIRLEY C CARIS FAMILY FOUNDATION		A Employer identification number 86-0965394	
Number and street (or P O box number if mail is not delivered to street address) P O BOX 14315		B Telephone number (see instructions) (480) 451-9244	
City or town, state or province, country, and ZIP or foreign postal code SCOTTSDALE, AZ 852674315		C If exemption application is pending, check here ☐	
G Check all that apply ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ 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) \$ 11,995,872		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	
J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	122,966	122,966	122,966	
	4 Dividends and interest from securities	112,240	112,240	112,240	
	5a Gross rents	3,600	3,600	3,600	
	b Net rental income or (loss) 3,600				
	6a Net gain or (loss) from sale of assets not on line 10	-30,901			
	b Gross sales price for all assets on line 6a 6,265,767				
	7 Capital gain net income (from Part IV, line 2)		41,978		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	147,343	223	147,343	
	12 Total. Add lines 1 through 11	355,248	281,007	386,149	
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	722			
	b Accounting fees (attach schedule)	3,000			
	c Other professional fees (attach schedule)				
	17 Interest	1	1		
	18 Taxes (attach schedule) (see instructions)	47,478	2,925		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	81,236	60,978		
	24 Total operating and administrative expenses. Add lines 13 through 23	132,437	63,904		0
	25 Contributions, gifts, grants paid	433,000			433,000
	26 Total expenses and disbursements. Add lines 24 and 25	565,437	63,904		433,000
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-210,189			
	b Net investment income (if negative, enter -0-)		217,103		
	c Adjusted net income (if negative, enter -0-)			386,149	

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing			
	2 Savings and temporary cash investments	8,078,797	466,589	466,589
	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)			
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)	934,382	8,489,572	9,094,283
	14 Land, buildings, and equipment basis ▶ <u>3,040,000</u> Less accumulated depreciation (attach schedule) ▶ _____	3,040,000	3,040,000	2,435,000
15 Other assets (describe ▶ _____)				
16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	12,053,179	11,996,161	11,995,872	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule).			
	22 Other liabilities (describe ▶ _____)			
	23 Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ☒ and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted	12,053,179	11,996,161	
	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)	12,053,179	11,996,161	
31 Total liabilities and net assets/fund balances (see instructions) .	12,053,179	11,996,161		

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	12,053,179
2 Enter amount from Part I, line 27a	2	-210,189
3 Other increases not included in line 2 (itemize) ▶ _____	3	534,116
4 Add lines 1, 2, and 3	4	12,377,106
5 Decreases not included in line 2 (itemize) ▶ _____	5	380,945
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6	11,996,161

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)
1a			

(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			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			
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	41,978
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 { }	3	

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

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

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

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



Yes



No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015			
2014			
2013			
2012			
2011			

2 Total of line 1, column (d)	2	
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	
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	
5 Multiply line 4 by line 3	5	
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	
7 Add lines 5 and 6	7	
8 Enter qualifying distributions from Part XII, line 4 ,	8	

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	4,342
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	4,342
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	4,342
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	2,880
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	1,510
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d.	7	4,390
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	48
11	Enter the amount of line 10 to be Credited to 2017 estimated tax ▶ 48 Refunded ▶	11	

Part VII-A Statements Regarding Activities

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

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u>	13	Yes	
14	The books are in care of ► <u>SHIRLEY CARIS FOUNDATION</u> Telephone no ► <u>(480) 451-9244</u>			

Located at ► P O BOX 14315 SCOTTSDALE AZ ZIP+4 ► 85267

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		
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	Yes	No
	See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes," enter the name of the foreign country ►			

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

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

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

5a During the year did the foundation pay or incur any amount to (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions). ☐ Yes ☒ No (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? ☐ Yes ☒ No Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐ c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No If "Yes," attach the statement required by Regulations section 53.4945–5(d)	5b		
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No If "Yes" to 6b, file Form 8870	6b		No
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? ☐ Yes ☒ No	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	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
CATHERINE ANN HART P O BOX 14315 SCOTTSDALE, AZ 85267	PRESIDENT 3 00	0	0	0
SHERRY LYNN COWAN 13456 N HIGHWAY 87 PAYSON, AZ 85541	SECR/TREAS 3 00	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	Title, and average hours per week (b) devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
NONE				
Total number of other employees paid over \$50,000. ▶				

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

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

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

Part IX-A Summary of Direct Charitable Activities

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

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities.	1a	8,334,084
b	Average of monthly cash balances.	1b	209,988
c	Fair market value of all other assets (see instructions).	1c	921,030
d	Total (add lines 1a, b, and c).	1d	9,465,102
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	9,465,102
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	141,977
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	9,323,125
6	Minimum investment return. Enter 5% of line 5.	6	466,156

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	466,156
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	4,342
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	4,342
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	461,814
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	461,814
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	461,814

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	433,000
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	433,000
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	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	433,000

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				461,814
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			479,855	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2016				
a From 2011.				
b From 2012.				
c From 2013.				
d From 2014.				
e From 2015.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>433,000</u>				
a Applied to 2015, but not more than line 2a			433,000	
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.				
e Remaining amount distributed out of corpus				
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				
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			46,855	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				461,814
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				
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)

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

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

1 Information Regarding Foundation Managers:

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

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

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

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

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

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

c Any submission deadlines

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

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

Recipient	If recipient is an individual, 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 <i>Paid during the year</i> See Additional Data Table				
Total			3a	433,000
b <i>Approved for future payment</i>				
Total			3b	

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2016)

Part XVII

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

[illegible]

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

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

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

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

Print/Type preparer's name STEVEN M DEAN CPA	Preparer's Signature	Date 2017-05-23	Check if self-employed ☐	PTIN P00963306
Firm's name ▶ COSSE' & WALLACE CPA'S				Firm's EIN ▶ 86-0694276
Firm's address ▶ PO BOX 3969 SEDONA, AZ 86340				Phone no (928) 282-3040

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
ARIZONA WOMENS BOARD KDNY 5921 E INDIAN BEND ROAD PARADISE VALLEY, AZ 85253		501 C (3)	CHARITABLE PROGRAM	5,000
BOARD OF VISITORS 6245 N 24TH PARKWAY SUITE 110 PHOENIX, AZ 85016		501 C (3)	CHARITABLE PROGRAM	20,000
BOSTON CHILDRENS HOSPITAL 300 LONGWOOD AVENUE BOSTON, MA 02115		501 C (3)	CHARITABLE PROGRAM	20,000
BROPHY COLLEGE PREPARATORY 4701 N CENTRAL PHOENIX, AZ 85012		501 C (3)	CHARITABLE PROGRAM	10,000
BROWN UNIVERSITY BOX 1932 PROVIDENCE, RI 02912		501 C (3)	CHARITABLE PROGRAM	25,000
CHILD CRISIS ARIZONA PO BOX 4114 MESA, AZ 85211		501 C (3)	CHARITABLE PROGRAM	5,000
DESERT BOTANICAL GARDEN 1201 N GALVIN PARKWAY PHOENIX, AZ 85008		501 C (3)	CHARITABLE PROGRAM	5,000
GABRIEL'S ANGELS 727 E BETHANY HOME ROAD SUITE C-100 PHOENIX, AZ 85014		501 C (3)	CHARITABLE PROGRAM	5,000
GARDENS FOR HUMANITY PO BOX 1202 SEDONA, AZ 86339		501 C (3)	CHARITABLE PROGRAM	3,000
GILA COUNTY COMMUNITY AZ 4H CLUB PO BOX 210036 TUCSON, AZ 85721		501 C (3)	CHARITABLE PROGRAM	20,000
GILA COUNTY MOUNTED POSSE PO BOX 1551 PAYSON, AZ 85547		501 C (3)	CHARITABLE PROGRAM	20,000
GRACIE LEE HAUGHT MEMORIAL FUND 308 E AERO DRIVE PAYSON, AZ 85547		501 C (3)	CHARITABLE PROGRAM	35,000
KITCHEN ON THE STREET 21006 N 22ND STREET C1 PHOENIX, AZ 85024		501 C (3)	CHARITABLE PROGRAM	15,000
MEDICINE HORSE CENTER PO BOX 1074 MANCOS, CO 81328		501 C (3)	CHARITABLE PROGRAM	19,000
NORTHWESTERN UNIVERSITY 1201 DAVIS STREET EVANSTON, IL 60208		501 C (3)	CHARITABLE PROGRAM	25,000
Total ► 3a				433,000

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
RIM COUNTRY ARIZONANS FOR CHILDREN PO BOX 2711 PAYSON, AZ 85547		501 C (3)	CHARITABLE PROGRAM	20,000
RYAN HOUSE 110 W MERRILL ST 1ST FLOOR PHOENIX, AZ 85013		501 C (3)	CHARITABLE PROGRAM	5,000
SEDONA CREATIVE LIFE CTR PO BOX 14315 SCOTTSDALE, AZ 85267		501 C (3)	CHARITABLE PROGRAM	90,000
TIME OUT INC PO BOX 306 PAYSON, AZ 85547		501 C (3)	CHARITABLE PROGRAM	45,000
UMOM NEW DAY CENTERS 3333 EAST VAN BUREN PHOENIX, AZ 85008		501 C (3)	CHARITABLE PROGRAM	5,000
UNIVERSITY OF ARIZONA FOUNDATION 1111 NORTH CHERRY AVENUE TUCSON, AZ 85721		501 C (3)	CHARITABLE PROGRAM	6,000
WEST COAST EQUINE FOUNDATION PO BOX 108 LOCKEFORD, CA 95237		501 C (3)	CHARITABLE PROGRAM	15,000
WOUNDED WARRIOR PROJECT 4899 BELFORT ROAD SUITE 300 JACKSONVILLE, FL 32256		501 C (3)	CHARITABLE PROGRAM	5,000
XAVIER COLLEGE PREPAR 4710 N 5TH STREET PHOENIX, AZ 85012		501 C (3)	CHARITABLE PROGRAM	10,000
Total ▶ 3a				433,000

TY 2016 Accounting Fees Schedule**Name:** SHIRLEY C CARIS FAMILY FOUNDATION**EIN:** 86-0965394

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INDIRECT ACCOUNTING FEES	3,000			

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2016 Gain/Loss from Sale of Other Assets Schedule

Name: SHIRLEY C CARIS FAMILY FOUNDATION

EIN: 86-0965394

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
SEE ATTACHED SCHEDULE		PURCHASE								
UBS INVESTMENT ACCOUNT		PURCHASE			90,382	100,297			-9,915	
UBS INVESTMENT ACCOUNT		PURCHASE			1,678,038	1,840,583			-162,545	
UBS PMP DIV ACCOUNT		PURCHASE			29,129	32,399			-3,270	
UBS PMP DIV ACCOUNT		PURCHASE			48,584	49,778			-1,194	
UBS PIMCO ACCOUNT		PURCHASE			39,663	40,715			-1,052	
UBS PIMCO ACCOUNT		PURCHASE			320,189	353,405			-33,216	
UBS PIMCO ACCOUNT		PURCHASE			232,758	243,265			-10,507	
UBS PIMCO ACCOUNT-RTN OF PRINCIPAL		PURCHASE			23,621	23,621				
UBS MAC ACCOUNT		PURCHASE			643,494	623,370			20,124	
UBS MAC ACCOUNT		PURCHASE			181,578	180,782			796	
UBS MAC ACCOUNT		PURCHASE			335,721	345,755			-10,034	
UBS MAC ACCOUNT-RTN OF PRINCIPAL		PURCHASE			91,323	91,323				
UBS MAC ACCOUNT		PURCHASE			308,610	308,655			-45	
NORTHERN TRUST		PURCHASE			1,223,066	1,151,752			71,314	
NORTHERN TRUST		PURCHASE			886,037	910,968			-24,931	
LONG-TERM GAIN/LOSS FROM PASS-THROUGH ENTITY					91,596				91,596	

TY 2016 Investments - Other Schedule**Name:** SHIRLEY C CARIS FAMILY FOUNDATION**EIN:** 86-0965394

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
DEL RIO 246, LLC	AT COST	576,090	576,090
TEXAS REVENUE SHARING AGREEMENT	AT COST	16,645	344,940
NORTHERN TRUST	AT COST	7,896,837	8,173,253

TY 2016 Land, Etc. Schedule

Name: SHIRLEY C CARIS FAMILY FOUNDATION

EIN: 86-0965394

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
LAND/BUILDING/FURN/FIXT(SCLC)	3,040,000		3,040,000	2,435,000

TY 2016 Legal Fees Schedule**Name:** SHIRLEY C CARIS FAMILY FOUNDATION**EIN:** 86-0965394

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INDIRECT LEGAL FEES	722			

TY 2016 Other Decreases Schedule**Name:** SHIRLEY C CARIS FAMILY FOUNDATION**EIN:** 86-0965394

Description	Amount
CRYOCELL 1099 > BOOK INCOME	36,782
K-1 AMOUNTS GRETER THAN BOOKS	194,737
SEC. ACCT AT COST NOT FMV	149,426

TY 2016 Other Expenses Schedule**Name:** SHIRLEY C CARIS FAMILY FOUNDATION**EIN:** 86-0965394**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
DEL RIO 246, LLC	12,191	12,191		
UBS MANAGEMENT FEES	31,484	31,484		
NORTHERN TRUST MNGT FEES	17,303	17,303		
LICENSE/FEES	240			
INSURANCE	16,835			
STORAGE	2,984			
POSTAGE	140			
UTILITIES	59			

TY 2016 Other Income Schedule**Name:** SHIRLEY C CARIS FAMILY FOUNDATION**EIN:** 86-0965394**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
CRYOCELL	147,120		147,120
NORTHERN TRUST	223	223	223

TY 2016 Other Increases Schedule**Name:** SHIRLEY C CARIS FAMILY FOUNDATION**EIN:** 86-0965394

Description	Amount
INVESTMENT EXPENSES NOT ON BOOKS	5,240
FOREIGN TAXES NOT ON BOOKS	2,925
1099/RETURN INCOME LESS THAN BOOK INCOME	525,951

TY 2016 Taxes Schedule**Name:** SHIRLEY C CARIS FAMILY FOUNDATION**EIN:** 86-0965394

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL INCOME TAX	2,718			
PROPERTY TAXES	41,835			
FOREIGN TAXES PAID INVESTMENT AC	2,925	2,925		

UBS FINANCIAL SERVICES INC.

Account UX 40846

Proceeds Not Reported to the IRS

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This section of your tax information statement provides proceeds transactions grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis is always presented as \$0.00 and the Proceeds is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, Proceeds of sale and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
BUFFALO EMERGING OPPORTUNITIES FUND / CUSIP: 119530301 / Symbol: 02/03/16							
	443 050	5,533.69	12/18/15	6,291.31	...	-757.62	Sale
GABELLI EQUITY INCOME FUND CLASS I / CUSIP: 36239T848 / Symbol: 02/03/16							
13 transactions for 02/03/16							
	45.494	1,124.62	02/25/15	1,380.85	0.00	-256.23	Sale
	46.705	1,154.54	03/27/15	1,385.37	0.00	-230.83	Sale
	45.843	1,133.24	04/28/15	1,390.06	0.00	-256.82	Sale
	45.964	1,136.23	05/27/15	1,394.65	0.00	-258.42	Sale
	46.668	1,153.64	06/26/15	1,399.21	0.00	-245.57	Sale
	47.714	1,179.49	07/29/15	1,403.85	0.00	-224.36	Sale
	50.956	1,259.63	08/27/15	1,408.53	0.00	-148.90	Sale
	509.978	12,606.65	09/28/15	12,862.74	0.00	-256.09	Sale
	51.373	1,269.94	10/28/15	1,417.49	0.00	-147.55	Sale
	52.106	1,288.06	11/24/15	1,422.61	0.00	-134.55	Sale
	13.453	332.56	12/29/15	361.25	0.00	-28.69	Sale
	39 720	981.88	12/29/15	1,066.56	0.00	-84.68	Sale
	58.915	1,456.38	01/27/16	1,434.58	...	21.80	Sale
02/03/16	1,054.889	26,076.86	Various	28,327.75	0.00	-2,250.89	Total of 13 transactions
CENTER COAST MLP FOCUS FUND CLASS I / CUSIP: 461418568 / Symbol: 02/03/16							
10 transactions for 02/03/16							
	65.496	442.76	02/10/15	687.47	0.00	-244.71	Sale
	93.332	630.92	02/25/15	988.67	0.00	-357.75	Sale

UBS FINANCIAL SERVICES INC.

Account UX 40846

Proceeds Not Reported to the IRS

(continued)

2016

02/28/2017

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CENTER COAST MLP FOCUS FUND CLASS I / CUSIP: 461418568 / Symbol (cont'd)							
	97 726	660.63	03/27/15	996.81	0.00	-336.18	Sale
	94.640	639.76	04/28/15	1,009.54	0.00	-369.78	Sale
	96.329	651.19	05/27/15	1,019.55	0.00	-368.36	Sale
	101.323	684.94	06/26/15	1,028.52	0.00	-343.58	Sale
	105.263	711.58	07/29/15	1,038.74	0.00	-327.16	Sale
	113.166	765.00	08/27/15	1,048.49	0.00	-283.49	Sale
	122.437	827.68	11/11/15	1,048.79	0.00	-221.11	Sale
	127.958	864.99	11/23/15	1,062.44	0.00	-197.45	Sale
02/03/16	1,017.670	6,879.45	Various	9,929.02	0.00	-3,049.57	Total of 10 transactions

MFS UTILITIES FUND CLASS I / CUSIP: 552986879 / Symbol.

14 transactions for 02/03/16							
	18.036	303.55	02/27/15	392.10	...	-88.55	Sale
	18.317	308.27	03/31/15	396.93	...	-88.66	Sale
	17.928	301.73	04/30/15	395.85	...	-94.12	Sale
	17.834	300.15	05/29/15	395.56	...	-95.41	Sale
	19.015	320.02	06/30/15	401.79	...	-81.77	Sale
	18.726	315.16	07/31/15	396.80	...	-81.64	Sale
	19.936	335.52	08/31/15	396.33	...	-60.81	Sale
	21.337	359.10	09/30/15	395.37	...	-36.27	Sale
	22.386	376.76	10/30/15	432.27	...	-55.51	Sale
	23.463	394.88	11/30/15	432.19	...	-37.31	Sale
	7.781	130.95	12/22/15	128.77	...	2.18	Sale
	628.178	10,572.24	12/22/15	10,396.35	...	175.89	Sale
	43.276	728.33	12/31/15	730.93	...	-2.60	Sale
	21.462	361.21	01/29/16	357.34	...	3.87	Sale
02/03/16	897.675	15,107.87	Various	15,848.58	...	-540.71	Total of 14 transactions

UBS FINANCIAL SERVICES INC.

Account UX 40846

Proceeds Not Reported to the IRS

(continued)

2016

02/28/2017

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G) or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
OPPENHEIMER DEVELOPING MARKETS CLASS Y / CUSIP: 683974505 / Symbol:							
02/03/16	36.124	989.44	12/02/15	1,116.23	...	-126.79	Sale
VOYA GLOBAL REAL ESTATE FUND CLASS I / CUSIP: 92914A885 / Symbol:							
4 transactions for 02/03/16							
	44.581	832.78	04/01/15	937.98	...	-105.20	Sale
	71.736	1,340.03	07/01/15	1,407.46	...	-67.43	Sale
	43.599	814.43	10/01/15	833.61	...	-19.18	Sale
	71.830	1,341.78	12/31/15	1,404.28	..	-62.50	Sale
02/03/16	231.746	4,329.02	Various	4,583.33	.	-254.31	Total of 4 transactions
WELLS FARGO PREMIER LARGE COMPANY GROWTH FUND CLASS INST / CUSIP: 94984B454 / Symbol: MFWFRO							
02/03/16	2,188.634	29,327.70	12/11/15	32,194.80	..	-2,867.10	Sale
WILLIAM BLAIR ALLOCATION FUND CLASS I / CUSIP: 969251784 / Symbol:							
02/03/16	193.473	2,137.88	12/17/15	2,205.59	...	-67.71	Sale
Totals:		90,381.91		100,296.61	0.00	-9,914.70	

UBS FINANCIAL SERVICES INC.

Account UX 40846

2016

(continued)

02/28/2017

Proceeds Not Reported to the IRS

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ALLIANZGI INCOME & GROWTH FUND CLASS P / CUSIP: 018922708 / Symbol:							
01/22/16	470.056	4,973.19	12/02/13	6,058.71	1,085.52 W	0.00	Sale
01/29/16	172.212	1,837.50	12/02/13	2,219.70	382.20 W	0.00	Sale
	Security total:	6,810.69		8,278.41	1,467.72 W	0.00	
BUFFALO EMERGING OPPORTUNITIES FUND / CUSIP: 119530301 / Symbol:							
01/29/16	55.031	700.00	12/02/13	1,052.75	..	-352.75	Sale
	4 transactions for 02/03/16						
	4,699.288	58,694.11	12/02/13	89,897.38	..	-31,203.27	Sale
	12.626	157.70	12/18/13	243.17	..	-85.47	Sale
	157.459	1,966.67	12/18/14	2,664.20	..	-697.53	Sale
	209.475	2,616.34	12/18/14	3,544.31	..	-927.97	Sale
02/03/16	5,078.848	63,434.82	Various	96,349.06	..	-32,914.24	Total of 4 transactions
	Security total:	64,134.82		97,401.81	..	-33,266.99	
FIRST EAGLE OVERSEAS FUND CLASS I / CUSIP: 32008F200 / Symbol:							
01/29/16	90.403	1,950.00	03/11/10	1,835.12	..	114.88	Sale
02/03/16	630.213	13,593.69	03/11/10	12,792.93	..	800.76	Sale
	Security total:	15,543.69		14,628.05	..	915.64	
GABELLI EQUITY INCOME FUND CLASS I / CUSIP: 36239T848 / Symbol:							
01/29/16	120.710	3,025.00	03/11/10	2,183.51	0.00	841.49	Sale
	66 transactions for 02/03/16						
	776.474	19,194.43	03/11/10	14,045.53	0.00	5,148.90	Sale
	854.682	21,127.74	03/24/10	15,696.20	0.00	5,431.54	Sale
	12.423	307.10	03/29/10	229.13	0.00	77.97	Sale
	1,046.206	25,862.22	03/31/10	19,266.96	0.00	6,595.26	Sale
	13.962	345.13	04/28/10	260.54	0.00	84.59	Sale
	204.005	5,043.01	04/29/10	3,857.02	0.00	1,185.99	Sale

UBS FINANCIAL SERVICES INC.

Account UX 40846

2016

(continued)

02/28/2017

Proceeds Not Reported to the IRS

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
GABELLI EQUITY INCOME FUND CLASS I / CUSIP: 36239T848 / Symbol: (cont'd)							
	15.874	392.41	05/26/10	265.92	0.00	126.49	Sale
	15.700	388.11	06/28/10	266.49	0.00	121.62	Sale
	15.251	377.01	07/28/10	267.30	0.00	109.71	Sale
	15.682	387.65	08/27/10	267.46	0.00	120.19	Sale
	14.576	360.32	09/28/10	268.77	0.00	91.55	Sale
	14.339	354.45	10/27/10	269.33	0.00	85.12	Sale
	14.256	352.41	11/23/10	269.82	0.00	82.59	Sale
	1,089.252	26,926.31	12/02/10	21,306.81	0.00	5,619.50	Sale
	15.033	371.62	12/29/10	303.14	0.00	68.48	Sale
	13.183	325.89	01/27/11	272.97	0.00	52.92	Sale
	13.190	326.06	02/24/11	273.39	0.00	52.67	Sale
	12.961	320.40	03/29/11	273.92	0.00	46.48	Sale
	12.534	309.83	04/27/11	274.64	0.00	35.19	Sale
	12.770	315.66	05/26/11	274.84	0.00	40.82	Sale
	13.052	322.65	06/28/11	275.09	0.00	47.56	Sale
	13.045	322.48	07/27/11	275.43	0.00	47.05	Sale
	14.010	346.33	08/29/11	275.19	0.00	71.14	Sale
	14.907	368.49	09/28/11	275.01	0.00	93.48	Sale
	13.439	332.20	10/27/11	276.46	0.00	55.74	Sale
	12.406	306.67	11/28/11	236.45	0.00	70.22	Sale
	10.236	253.03	12/28/11	204.60	0.00	48.43	Sale
	9.716	240.17	01/27/12	202.97	0.00	37.20	Sale
	2,531.209	62,571.47	02/09/12	54,172.83	0.00	8,398.64	Sale
	12.915	319.27	02/27/12	278.64	0.00	40.63	Sale
	12.770	315.66	03/28/12	279.18	0.00	36.48	Sale
	12.793	316.24	04/26/12	279.59	0.00	36.65	Sale
	12.878	318.35	05/29/12	268.81	0.00	49.54	Sale
	12.977	320.78	06/27/12	269.17	0.00	51.61	Sale
	12.146	300.26	07/27/12	261.64	0.00	38.62	Sale
	12.036	297.52	08/29/12	262.11	0.00	35.41	Sale
	11.832	292.50	09/26/12	262.63	0.00	29.87	Sale

UBS FINANCIAL SERVICES INC.

Account UX 40846

2016

(continued)

02/28/2017

Proceeds Not Reported to the IRS

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
GABELLI EQUITY INCOME FUND CLASS I / CUSIP: 36239T848 / Symbol: (cont'd)							
11.777		291.12	10/31/12	259.47	0.00	31.65	Sale
11.777		291.11	11/28/12	259.82	0.00	31.29	Sale
11.620		287.25	12/27/12	260.32	0.00	26.93	Sale
10.724		265.10	01/29/13	257.85	0.00	7.25	Sale
10.859		268.44	02/26/13	258.13	0.00	10.31	Sale
10.321		255.13	03/26/13	258.85	0.00	-3.72	Sale
10.094		249.53	04/26/13	255.82	0.00	-6.29	Sale
9.717		240.21	05/29/13	256.41	0.00	-16.20	Sale
33.805		835.65	06/26/13	854.70	0.00	-19.05	Sale
31.835		786.96	07/29/13	848.52	0.00	-61.56	Sale
32.977		815.19	08/28/13	850.97	0.00	-35.78	Sale
31.981		790.58	09/26/13	855.03	0.00	-64.45	Sale
30.523		754.53	10/29/13	847.85	0.00	-93.32	Sale
30.534		754.79	11/26/13	850.95	0.00	-96.16	Sale
5,233.610		129,374.83	12/02/13	145,378.37	0.00	-16,003.54	Sale
49.094		1,213.60	12/23/13	1,376.27	0.00	-162.67	Sale
50.657		1,252.25	01/29/14	1,384.52	0.00	-132.27	Sale
49.134		1,214.59	02/26/14	1,394.75	0.00	-180.16	Sale
49.186		1,215.88	03/27/14	1,403.91	0.00	-188.03	Sale
48.175		1,190.87	04/28/14	1,395.86	0.00	-204.99	Sale
47.859		1,183.07	05/28/14	1,404.94	0.00	-221.87	Sale
46.938		1,160.30	06/26/14	1,414.05	0.00	-253.75	Sale
47.401		1,171.75	07/29/14	1,422.78	0.00	-251.03	Sale
46.136		1,140.48	08/27/14	1,399.85	0.00	-259.37	Sale
179.798		4,444.61	09/26/14	5,266.66	0.00	-822.05	Sale
49.180		1,215.73	10/29/14	1,422.39	0.00	-206.66	Sale
45.547		1,125.92	11/25/14	1,366.96	0.00	-241.04	Sale
45.668		1,128.91	12/29/14	1,371.52	0.00	-242.61	Sale
47.610		1,176.92	01/28/15	1,376.03	0.00	-199.11	Sale
13,229.253		327,027.13	Various	312,519.53	0.00	14,507.60	Total of 66 transactions

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LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
GABELLI EQUITY INCOME FUND CLASS I / CUSIP: 36239T848 / Symbol: (cont'd)							
Security total:		330,052.13		314,703.04	0.00	15,349.09	
GOLDMAN SACHS SMALL MID CAP GROWTH CLASS I / CUSIP: 38143H746 / Symbol:							
01/29/16	92.033	1,675.00	03/11/10	1,239.42	.	435.58	Sale
OAKMARK INTL FUND CLASS I / CUSIP: 413838202 / Symbol:							
01/29/16	95.165	1,850.00	03/24/10	1,650.16	...	199.84	Sale
CENTER COAST MLP FOCUS FUND CLASS I / CUSIP: 461418568 / Symbol:							
01/29/16	206.847	1,450.00	12/02/13	2,035.98	458.81 W	-127.17	Sale
17 transactions for 02/03/16							
16,245.234	109,817.78	12/02/13		159,900.86	0.00	-50,083.08	Sale
93.993	635.39	01/29/14		919.66	0.00	-284.27	Sale
93.453	631.74	02/26/14		928.59	0.00	-296.85	Sale
94.196	636.77	03/27/14		936.10	0.00	-299.33	Sale
91.590	619.14	04/28/14		947.21	0.00	-328.07	Sale
90.373	610.93	05/28/14		956.56	0.00	-345.63	Sale
87.920	594.33	06/26/14		967.00	0.00	-372.67	Sale
88.864	600.72	07/29/14		973.91	0.00	-373.19	Sale
85.880	580.55	08/27/14		978.43	0.00	-397.88	Sale
87.777	593.37	09/26/14		984.36	0.00	-390.99	Sale
90.205	609.79	10/29/14		990.10	0.00	-380.31	Sale
91.726	620.07	11/11/14		996.83	0.00	-376.76	Sale
87.183	589.35	11/24/14		965.02	0.00	-375.67	Sale
94.201	636.80	01/28/15		969.89	0.00	-333.09	Sale
127.754	863.62	09/28/15		1,249.80	0.00	-386.18	Sale
120.261	812.96	10/28/15		1,215.83	0.00	-402.87	Sale
161.958	1,094.84	01/27/16		1,535.83	0.00	-440.99	Sale
02/03/16	17,832.567	120,548.15	Various	176,415.98	0.00	-55,867.83	Total of 17 transactions

UBS FINANCIAL SERVICES INC.

Account UX 40846

Proceeds Not Reported to the IRS

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2016

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CENTER COAST MLP FOCUS FUND CLASS I / CUSIP: 461418568 / Symbol: (cont'd)							
Security total.		121,998.15		178,451.96	458.81 W	-55,995.00	
JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS I / CUSIP: 47803W406 / Symbol:							
01/29/16	96.921	1,700.00	12/02/13	1,725.44	25.44 W	0.00	Sale
MFS UTILITIES FUND CLASS I / CUSIP: 552986879 / Symbol:							
01/29/16	93.844	1,562.50	03/11/10	1,407.21	..	155.29	Sale
71 transactions for 02/03/16							
239.871		4,037.03	03/11/10	3,596.90	..	440.13	Sale
1,410.796		23,743.69	03/24/10	20,857.92	..	2,885.77	Sale
673.642		11,337.39	03/31/10	10,000.00	..	1,337.39	Sale
10.832		182.31	04/01/10	160.80	..	21.51	Sale
132.579		2,231.30	04/29/10	2,000.00	..	231.30	Sale
12.447		209.49	05/03/10	187.03	..	22.46	Sale
15.510		261.03	06/01/10	216.71	..	44.32	Sale
15.858		266.89	07/01/10	217.28	..	49.61	Sale
14.627		246.17	08/02/10	217.86	..	28.31	Sale
16.989		285.92	09/01/10	247.93	..	37.99	Sale
18.481		311.04	10/01/10	284.17	..	26.87	Sale
17.751		298.76	11/01/10	285.06	..	13.70	Sale
18.144		305.37	12/01/10	285.91	..	19.46	Sale
25.915		436.14	12/31/10	426.81	..	9.33	Sale
10.389		174.84	02/01/11	173.91	..	0.93	Sale
10.160		171.00	03/01/11	174.27	..	-3.27	Sale
9.964		167.69	04/01/11	174.60	..	-6.91	Sale
11.004		185.20	05/02/11	201.43	..	-16.23	Sale
11.027		185.57	06/01/11	201.85	..	-16.28	Sale
12.437		209.33	07/01/11	223.55	..	-14.22	Sale
12.643		212.77	08/01/11	224.07	..	-11.30	Sale
15.738		264.87	09/01/11	267.40	..	-2.53	Sale

UBS FINANCIAL SERVICES INC.

Account UX 40846

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02/28/2017

Proceeds Not Reported to the IRS

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
MFS UTILITIES FUND CLASS I / CUSIP: 552986879 / Symbol: (cont'd)							
	16,923	284.81	10/03/11	268.19	...	16.62	Sale
	15,677	263.84	11/01/11	269.04	...	-5.20	Sale
	13,782	231.96	12/01/11	232.80	...	-0.84	Sale
	21,550	362.68	12/30/11	366.37	...	-3.69	Sale
	9,548	160.70	01/31/12	163.10	...	-2.40	Sale
	1,873,632	31,533.22	02/09/12	32,605.69	...	-1,072.47	Sale
	13,480	226.87	02/29/12	238.65	...	-11.78	Sale
	13,464	226.61	03/30/12	239.17	...	-12.56	Sale
	13,464	226.60	04/30/12	239.71	...	-13.11	Sale
	13,821	232.61	05/31/12	231.10	...	1.51	Sale
	13,174	221.73	06/29/12	231.64	...	-9.91	Sale
	12,578	211.68	07/31/12	225.32	...	-13.64	Sale
	12,557	211.34	08/31/12	225.83	...	-14.49	Sale
	12,197	205.28	09/28/12	226.33	...	-21.05	Sale
	12,144	204.39	10/31/12	226.81	...	-22.42	Sale
	15,488	260.66	11/30/12	284.14	...	-23.48	Sale
	2,316	38.98	12/11/12	42.91	...	-3.93	Sale
	31,178	524.73	12/31/12	582.28	...	-57.55	Sale
	10,353	174.23	01/31/13	200.62	...	-26.39	Sale
	10,249	172.49	02/28/13	200.97	...	-28.48	Sale
	9,859	165.93	03/28/13	201.34	...	-35.41	Sale
	9,489	159.71	04/30/13	201.69	...	-41.98	Sale
	1,501	25.27	05/31/13	30.42	...	-5.15	Sale
	9,970	167.79	05/31/13	202.00	...	-34.21	Sale
	10,000	168.30	06/28/13	202.41	...	-34.11	Sale
	13,784	231.99	07/31/13	289.65	...	-57.66	Sale
	14,309	240.82	08/30/13	290.34	...	-49.52	Sale
	13,799	232.24	09/30/13	291.08	...	-58.84	Sale
	14,678	247.03	10/31/13	320.94	...	-73.91	Sale
	14,878	250.39	11/29/13	321.74	...	-71.35	Sale
	3,284,739	55,282.17	12/02/13	70,736.32	...	-15,454.15	Sale

UBS FINANCIAL SERVICES INC.

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Proceeds Not Reported to the IRS

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
MFS UTILITIES FUND CLASS I / CUSIP 552986879 / Symbol: (cont'd)							
	195,291	3,286.75	12/10/13	4,015.56	...	-728.81	Sale
	204,267	3,437.81	12/10/13	4,200.13	...	-762.32	Sale
	45,528	766.23	12/31/13	952.12	...	-185.89	Sale
	18,444	310.42	01/31/14	384.25	...	-73.83	Sale
	17,902	301.29	02/28/14	384.98	...	-83.69	Sale
	17,447	293.64	03/31/14	385.70	...	-92.06	Sale
	21,223	357.18	04/30/14	483.00	...	-125.82	Sale
	21,880	368.24	05/30/14	508.27	...	-140.03	Sale
	21,091	354.97	06/30/14	509.41	...	-154.44	Sale
	22,198	373.59	07/31/14	510.54	...	-136.95	Sale
	23,296	392.07	08/29/14	556.31	...	-164.24	Sale
	24,472	411.86	09/30/14	561.14	...	-149.28	Sale
	23,818	400.86	10/31/14	557.58	...	-156.72	Sale
	24,418	410.96	11/28/14	577.00	...	-166.04	Sale
	110,894	1,866.34	12/22/14	2,399.75	...	-533.41	Sale
	469,432	7,900.54	12/22/14	10,158.50	...	-2,257.96	Sale
	30,376	511.23	12/31/14	655.82	...	-144.59	Sale
	18,208	306.44	01/30/15	388.01	...	-81.57	Sale
02/03/16	9,561,573	160,921.27	Various	179,202.13	...	-18,280.86	Total of 71 transactions
Security total:							
		162,483.77		180,609.34	...	-18,125.57	
OPPENHEIMER DEVELOPING MARKETS CLASS Y / CUSIP: 683974505 / Symbol:							
01/29/16	46,460	1,312.50	03/11/10	1,341.28	...	-28.78	Sale
14 transactions for 02/03/16							
	618,501	16,940.75	03/11/10	17,855.82	...	-915.07	Sale
	75,261	2,061.41	03/24/10	2,166.06	...	-104.65	Sale
	409,763	11,223.41	03/31/10	12,000.00	...	-776.59	Sale
	80,351	2,200.81	04/29/10	2,400.00	...	-199.19	Sale
	756,417	20,718.27	12/02/10	26,336.63	...	-5,618.36	Sale

UBS FINANCIAL SERVICES INC.

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Proceeds Not Reported to the IRS

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)gross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
OPPENHEIMER DEVELOPING MARKETS CLASS Y / CUSIP: 683974505 / Symbol. (cont'd)							
	5.981	163.81	12/22/10	209.59	...	-45.78	Sale
	60.790	1,665.04	12/12/11	1,800.11	...	-135.07	Sale
	960.488	26,307.76	02/09/12	31,445.60	...	-5,137.84	Sale
	13.875	380.03	12/07/12	470.05	...	-90.02	Sale
	1,810.628	49,593.09	12/02/13	67,611.22	...	-18,018.13	Sale
	5.100	139.68	12/06/13	189.41	...	-49.73	Sale
	25.098	687.42	12/06/13	932.19	...	-244.77	Sale
	30.979	848.51	12/05/14	1,129.18	...	-280.67	Sale
	82.812	2,268.22	12/05/14	3,018.51	...	-750.29	Sale
02/03/16	4,936.043	135,198.21	Various	167,564.37	...	-32,366.16	Total of 14 transactions
	Security total:	136,510.71		168,905.65	...	-32,394.94	
ROYCE SPECIAL EQUITY FD / CUSIP: 780905782 / Symbol:							
01/29/16	40.299	700.00	03/24/10	764.48	...	-64.48	Sale
VOYA GLOBAL REAL ESTATE FUND CLASS I / CUSIP: 92914A885 / Symbol:							
01/29/16	83.021	1,550.00	03/24/10	1,229.32	.	320.68	Sale
	26 transactions for 02/03/16						
	1,221.123	22,810.58	03/24/10	18,081.50	...	4,729.08	Sale
	669.463	12,505.56	03/31/10	10,000.00	...	2,505.56	Sale
	36.394	679.84	04/01/10	544.36	...	135.48	Sale
	129.638	2,421.65	04/29/10	2,000.00	...	421.65	Sale
	34.373	642.08	07/01/10	459.79	...	182.29	Sale
	20.351	380.16	10/01/10	321.91	...	58.25	Sale
	1,084.553	20,259.45	12/02/10	17,513.28	...	2,746.17	Sale
	128.893	2,407.71	01/03/11	2,099.40	...	308.31	Sale
	39.454	736.99	04/04/11	658.01	...	78.98	Sale
	36.121	674.75	07/01/11	625.93	...	48.82	Sale
	46.340	865.63	10/03/11	630.07	...	235.56	Sale

UBS FINANCIAL SERVICES INC.

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Proceeds Not Reported to the IRS

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
VOYA GLOBAL REAL ESTATE FUND CLASS I / CUSIP: 92914A885 / Symbol: (cont'd)							
	23,622	441.27	01/03/12	354.51	..	86.76	Sale
	1,536,803	28,707.49	02/09/12	25,354.35	..	3,353.14	Sale
	29,579	552.54	04/02/12	496.88	..	55.66	Sale
	37,991	709.68	07/02/12	642.37	..	67.31	Sale
	32,245	602.34	10/01/12	558.12	..	44.22	Sale
	144,603	2,701.18	12/31/12	2,611.37	..	89.81	Sale
	25,784	481.65	04/01/13	480.08	..	1.57	Sale
	42,297	790.11	07/01/13	758.76	..	31.35	Sale
	22,995	429.54	10/01/13	424.92	..	4.62	Sale
	4,613,349	86,177.35	12/02/13	83,727.30	..	2,450.05	Sale
	63,075	1,178.24	12/31/13	1,156.10	..	22.14	Sale
	40,087	748.83	04/01/14	756.02	..	-7.19	Sale
	79,991	1,494.23	07/01/14	1,624.61	..	-130.38	Sale
	60,107	1,122.80	10/01/14	1,143.24	..	-20.44	Sale
	100,435	1,876.12	12/31/14	2,040.84	..	-164.72	Sale
02/03/16	10,299,667	192,397.77	Various	175,063.72	..	17,334.05	Total of 26 transactions
	Security total:	193,947.77		176,293.04	..	17,654.73	
WELLS FARGO PREMIER LARGE COMPANY GROWTH FUND CLASS INST / CUSIP: 94984B454 / Symbol: MFWFRO							
01/29/16	271,978	3,712.50	12/02/13	3,850.54	..	-138.04	Sale
	2 transactions for 02/03/16						
	29,890,002	400,526.03	12/02/13	423,168.21	..	-22,642.18	Sale
	429,810	5,759.45	12/11/14	6,588.99	..	-829.54	Sale
02/03/16	30,319,812	406,285.48	Various	429,757.20	..	-23,471.72	Total of 2 transactions
	Security total:	409,997.98		433,607.74	..	-23,609.76	

UBS FINANCIAL SERVICES INC.

Account UX 40846

2016

(continued)

02/28/2017

Proceeds Not Reported to the IRS

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
WILLIAM BLAIR ALLOCATION FUND CLASS I / CUSIP: 969251784 / Symbol							
01/29/16	175.868	1,975.00	12/02/13	2,237.05	...	-262.05	Sale
	<i>5 transactions for 02/03/16</i>						
	18,862.629	208,432.05	12/02/13	239,933.83	...	-31,501.78	Sale
	95.231	1,052.30	12/19/13	1,179.72	...	-127.42	Sale
	157.807	1,743.77	12/19/13	1,954.91	...	-211.14	Sale
	282.223	3,118.57	12/19/13	3,496.18	...	-377.61	Sale
	1,118.533	12,359.79	12/18/14	13,523.06	...	-1,163.27	Sale
	20,516.424	226,706.48	Various	260,087.70	..	-33,381.22	Total of 5 transactions
02/03/16							
	Security total:	228,681.48		262,324.75	..	-33,643.27	
	Totals:	1,676,086.19		1,840,583.29	1,951.97 W	-162,545.13	

UBS FINANCIAL SERVICES INC.

Account UX 25029

Proceeds Not Reported to the IRS

2016

02/14/2017

This section of your tax information statement provides proceeds transactions grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. Tax lots with an additional notation of "Ordinary" represent neither short- nor long-term capital transactions. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis is always presented as \$0.00 and the Proceeds is the net of proceeds received when the option was written and the cost to close the position.

Several column headings describe two related items: a quantity and a qualifier. For example, Proceeds of sale and, if the sale is the result of an option exercise or assignment, whether the proceeds are gross or net (adjusted for any option premium). When these conditions exist, the qualifier is shown to the right of the amount.

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G) gross or (N) net	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
BRITISH AMER TOBACCO PLC GB SPON ADR / CUSIP: 110448107 / Symbol: BTI							
3 transactions for 01/11/16							
	12,000	1,269.84	02/03/15	1,364.42	...	-94.58	Sale
	7,000	740.73	05/12/15	781.06	...	-40.33	Sale
	3,000	317.46	07/07/15	325.65	...	-8.19	Sale
01/11/16	22,000	2,328.03	Various	2,471.13	...	-143.10	Total of 3 transactions
CRANE CO COMMON STOCK / CUSIP: 224399105 / Symbol: CR							
01/11/16	1,000	45.89	05/12/15	60.78	...	-14.89	Sale
05/11/16	17,000	944.15	05/12/15	1,033.19	...	-89.04	Sale
	Security total:	990.04		1,093.97	...	-103.93	
DOMINION RESOURCES INC VA (NEW) / CUSIP: 25746U109 / Symbol: D							
2 transactions for 05/11/16							
	20,000	1,421.80	05/12/15	1,419.95	...	1.85	Sale
	5,000	355.45	07/07/15	346.50	...	8.95	Sale
05/11/16	25,000	1,777.25	Various	1,766.45	...	10.80	Total of 2 transactions
HOME DEPOT INC / CUSIP: 437076102 / Symbol: HD							
01/11/16	12,000	1,492.62	10/09/15	1,449.76	...	42.86	Sale

UBS FINANCIAL SERVICES INC.

Account UX 25029

Proceeds Not Reported to the IRS (continued)

2016

02/14/2017

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column] Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (Gross or (Net)	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ILLINOIS TOOL WORKS INC COMMON STOCK / CUSIP: 452308109 / Symbol: ITW							
3 transactions for 01/11/16							
	6,000	495.76	05/12/15	574.02	...	-78.26	Sale
	3,000	247.89	07/07/15	280.59	...	-32.70	Sale
	2,000	165.25	10/09/15	175.95	...	-10.70	Sale
01/11/16	11,000	908.90	Various	1,030.56	...	-121.66	Total of 3 transactions
JOHNSON CONTROLS INC **MERGER EFF: 09/2016** / CUSIP: 478366107 / Symbol:							
05/11/16	15,000	618.64	07/07/15	760.92	...	-142.28	Sale
MARSH & MCLENNAN COS INC / CUSIP: 571748102 / Symbol: MMC							
01/11/16	16,000	829.91	10/09/15	857.21	...	-27.30	Sale
05/11/16	18,000	1,155.63	10/09/15	964.36	...	191.27	Sale
	Security total:	1,985.54		1,821.57	...	163.97	
OCCIDENTAL PETROLEUM CRP COMMON STOCK / CUSIP: 674599105 / Symbol: OXY							
3 transactions for 01/11/16							
	31,000	1,879.60	02/03/15	2,518.59	...	-638.99	Sale
	15,000	909.49	05/12/15	1,152.15	...	-242.66	Sale
	5,000	303.16	07/07/15	370.20	...	-67.04	Sale
01/11/16	51,000	3,092.25	Various	4,040.94	...	-948.69	Total of 3 transactions
PEPSICO INC COMMON STOCK / CUSIP: 713448108 / Symbol: PEP							
01/11/16	9,000	875.17	10/09/15	894.85	...	-19.68	Sale
SCHLUMBERGER LTD NETHERLANDS ANTILLES FOREIGN STOCK / CUSIP: 806857108 / Symbol: SLB							
4 transactions for 05/11/16							
	114,000	8,475.15	05/12/15	10,581.99	...	-2,106.84	Sale
	13,000	966.46	07/07/15	1,089.40	...	-122.94	Sale
	8,000	594.75	10/09/15	610.40	...	-15.65	Sale

UBS FINANCIAL SERVICES INC.

Account UX 25029

Proceeds Not Reported to the IRS

(continued)

02/14/2017

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)Gross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
SCHLUMBERGER LTD NETHERLANDS ANTILLES FOREIGN STOCK / CUSIP: 806857108 / Symbol: SLB (cont'd)							
05/11/16	6.000	446.06	01/11/16	387.04	.	59.02	Sale
	141.000	10,482.42	Various	12,668.83	...	-2,186.41	Total of 4 transactions
TEXAS INSTRUMENTS / CUSIP: 882508104 / Symbol: TXN							
01/11/16	21.000	1,068.67	10/09/15	1,072.23	...	-3.56	Sale
05/11/16	5.000	290.26	10/09/15	255.29	...	34.97	Sale
	Security total:	1,358.93		1,327.52	...	31.41	
TORONTO DOMINION BK NEW CANADA FOREIGN STOCK CAD / CUSIP: 891160509 / Symbol:							
2 transactions for 05/11/16							
	28.000	1,226.45	07/07/15	1,158.49	.	67.96	Sale
	3.000	131.41	01/11/16	107.85	...	23.56	Sale
05/11/16	31.000	1,357.86	Various	1,266.34	...	91.52	Total of 2 transactions
ACCENTURE PLC IRELAND CL A FOREIGN STOCK / CUSIP: G1151C101 / Symbol: ACN							
05/11/16	6.000	699.48	01/11/16	591.28	...	108.20	Sale
MEDTRONIC PLC FOREIGN STOCK / CUSIP: G5960L103 / Symbol: MDT							
01/11/16	16.000	1,162.22	01/27/15	1,215.03	0.00	-52.81	Sale
	Totals:	29,129.35		32,399.15	0.00	-3,269.80	

UBS FINANCIAL SERVICES INC.

Account UX 25029

2016

(continued)

02/14/2017

Proceeds Not Reported to the IRS

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G) or (N) net acquired	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
BOEING COMPANY COMMON STOCK / CUSIP: 097023105 / Symbol: BA							
01/11/16	3.000	389.37	11/27/13	404.01	...	-14.64	Sale
BRITISH AMER TOBACCO PLC GB SPON ADR / CUSIP: 110448107 / Symbol: BTI							
01/11/16	67.000	7,089.90	11/27/13	7,125.45	...	-35.55	Sale
COLGATE PALMOLIVE CO COMMON STOCK / CUSIP: 194162103 / Symbol: CL							
01/11/16	9.000	562.17	11/27/13	591.00	...	-28.83	Sale
05/11/16	6.000	431.71	11/27/13	393.99	...	37.72	Sale
Security total:		993.88		984.99	...	8.89	
DIAGEO PLC NEW GB SPON ADR / CUSIP: 25243Q205 / Symbol: DEO							
01/11/16	4.000	419.09	11/27/13	511.90	...	-92.81	Sale
DOMINION RESOURCES INC VA (NEW) / CUSIP: 25746U109 / Symbol: D							
01/11/16	13.000	902.36	04/15/14	914.62	...	-12.26	Sale
2 transactions for 05/11/16							
01/11/16	101.000	7,180.09	04/15/14	7,105.93	...	74.16	Sale
05/11/16	5.000	355.45	02/03/15	389.05	...	-33.60	Sale
05/11/16	106.000	7,535.54	Various	7,494.98	...	40.56	Total of 2 transactions
Security total:		8,437.90		8,409.60	...	28.30	
ILLINOIS TOOL WORKS INC COMMON STOCK / CUSIP: 452308109 / Symbol: ITW							
01/11/16	105.000	8,675.85	11/27/13	8,342.82	...	333.03	Sale
INTEL CORP COMMON STOCK / CUSIP: 458140100 / Symbol: INTC							
01/11/16	33.000	1,052.02	11/27/13	786.39	...	265.63	Sale
MICROSOFT CORP / CUSIP: 594918104 / Symbol: MSFT							
01/11/16	42.000	2,174.80	04/15/14	1,672.85	...	501.95	Sale

UBS FINANCIAL SERVICES INC.

Account UX 25029

Proceeds Not Reported to the IRS (continued)

2016

02/14/2017

LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part II, with Box F checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional Information
NEXTERA ENERGY INC COM / CUSIP: 65339F101 / Symbol: NEE							
01/11/16	16.000	1,685.49	11/27/13	1,353.75	...	331.74	Sale
05/11/16	2.000	238.32	11/27/13	169.22	...	69.10	Sale
	Security total:	1,923.81		1,522.97	...	400.84	
OCCIDENTAL PETROLEUM CRP COMMON STOCK / CUSIP: 674599105 / Symbol: OXY							
01/11/16	88.000	5,335.66	11/27/13	8,150.51	...	-2,814.85	Sale
ROCKWELL AUTOMATION INC NEW / CUSIP: 773903109 / Symbol: ROK							
05/11/16	10.000	1,141.53	02/03/15	1,136.22	...	5.31	Sale
TORONTO DOMINION BK NEW CANADA FOREIGN STOCK CAD / CUSIP: 891160509 / Symbol:							
05/11/16	222.000	9,724.07	02/03/15	9,321.16	...	402.91	Sale
UNION PACIFIC CORP COMMON STOCK / CUSIP: 907818108 / Symbol: UNP							
05/11/16	4.000	340.87	04/15/14	370.30	...	-29.43	Sale
UNTD TECHNOLOGIES CORP COMMON STOCK / CUSIP: 913017109 / Symbol: UTX							
01/11/16	6.000	540.79	11/27/13	670.56	...	-129.77	Sale
05/11/16	2.000	204.03	11/27/13	223.52	...	-19.49	Sale
	Security total:	744.82		894.08	...	-149.26	
INVESCO LTD FOREIGN STOCK / CUSIP: G491BT108 / Symbol: IVZ							
01/11/16	2.000	59.17	04/15/14	69.07	...	-9.90	Sale
MEDTRONIC PLC FOREIGN STOCK / CUSIP: G5960L103 / Symbol: MDT							
05/11/16	1.000	81.28	01/27/15	75.67	0.00	5.61	Sale
	Totals:	48,584.02		49,777.99	0.00	-1,193.97	

2016 Tax Information Statement

Account Number: 43-93598
 Recipient's Tax ID Number: XX-XXX5394
 Recipient's Name and Address:
 SHIRLEY C. CARIS FAMILY FOUNDATION
 6808 N 48TH ST
 PARADISE VALLEY, AZ 85253-4060

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Ref: PP

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

Sales are listed at Gross Proceeds less commissions and option premiums.
 Cost or Other Basis amounts shown with a "U" are unknown or unsubstantiated.

Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
11.0	CRANE CO									
224399105	08/31/2016	10/09/2015	707.06	564.62			142.44		0.00	0.00
20000.0	KINDER MORGAN 3.45% DUE 02-15-2023									
4945508M7	09/01/2016	Various	19,979.00	18,824.90			1,154.10		0.00	0.00
49.0	JOHNSON CONTROLS INC									
478366107	09/06/2016	Various	2,250.80	1,913.04			337.76		0.00	0.00
19000.0	TARGA RES PARTNERS 6.875% DUE 02-01-2021									
87612BAH5	09/07/2016	05/06/2016	19,640.87	19,188.68			452.19		0.00	0.00
56.0	INVESCO LTD COM STK USD0.20									
G491BT108	09/07/2016	Various	1,762.61	1,718.45			44.16		0.00	0.00
81.0	CHUBB LTD ORD CHF24.15									
H1467J104	09/07/2016	05/11/2016	10,340.23	10,075.53			264.70		0.00	0.00
5.0	ADR DIAGEO PLC SPONSORED ADR NEW									
25243Q205	09/09/2016	05/11/2016	559.24	548.45			10.79		0.00	0.00
0.91	JOHNSON CTLS INTL PLC COM USD0.01									
G51502105	09/14/2016	09/06/2016	43.26	43.78			-0.52		0.00	0.00
26.0	ADR NOVARTIS AG SPONSORED ADR ISIN #US66987V1098									
66987V109	09/16/2016	Various	2,060.97	2,027.19			33.78		0.00	0.00

This is important tax information and is being furnished to you.

2016 Tax Information Statement

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Recipient's Name and Address:
SHIRLEY C. CARIS FAMILY FOUNDATION
6808 N 48TH ST
PARADISE VALLEY, AZ 85253-4060

Account Number: 43-93598
Recipient's Tax ID Number: XX-XXX5394

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
1502.98	FEDERAL NATL MTG ASSN GTD MTG POOL #AL6970 3.5% 07-01-2035 BEO									
3138EPW83	09/26/2016	10/19/2015	1,502.98	1,502.98			0.00		0.00	0.00
83.87	FNMA POOL #AL8419 4.5% 05-01-2046 BEO									
3138ETK96	09/26/2016	05/06/2016	83.87	91.46			-7.59		0.00	0.00
1827.0	FNMA POOL #AS3892 4% 11-01-2044 BEO									
3138WDKE0	09/26/2016	05/10/2016	1,827.00	1,827.00			0.00		0.00	0.00
42.71	FNMA POOL #AW3616 4% 06-01-2044 BEO									
3138XTAS4	09/26/2016	05/06/2016	42.71	42.71			0.00		0.00	0.00
3616.85	FNMA POOL #MA2420 3.5% 10-01-2045 BEO									
31418BVN3	09/26/2016	10/29/2015	3,616.85	3,616.85			0.00		0.00	0.00
129.11	FNMA POOL #MA2539 4% 02-01-2046 BEO									
31418BZD1	09/26/2016	07/19/2016	129.11	137.50			-8.39		0.00	0.00
2455.79	MFO ALLIANZ FDS ALLIANZGI INC & GROWTH FD CL P									
018922708	09/28/2016	Various	27,725.87	26,207.96			1,517.91		0.00	0.00
30000.0	GEN MTRS FINL CO 3.1% DUE 01-15-2019 01-15-2019									
37045XBB1	09/28/2016	10/07/2015	30,591.30	29,986.20			605.10		0.00	0.00
18000.0	HCA INC 5.375% DUE 02-01-2025									
404119BR9	09/28/2016	03/16/2016	18,589.14	18,213.78			375.36		0.00	0.00

This is important tax information and is being furnished to you.

2016 Tax Information Statement

Page 10 of 70
 Recipient's Name and Address:
 SHIRLEY C. CARIS FAMILY FOUNDATION
 6808 N 48TH ST
 PARADISE VALLEY, AZ 85253-4060

Account Number: 43-93598
 Recipient's Tax ID Number: XX-XXX5394

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

Sales are listed at Gross Proceeds less commissions and option premiums.
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Description of property				Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Federal Income Tax	
Cusip Number	Date Sold or Disposed	Date Acquired							Withheld	State Tax Withheld
83.0	NORDSTROM INC									
655664100	09/28/2016	Various		4,255.32	4,077.79			177.53	0.00	0.00
13.0	ROCKWELL INTL CORP NEW									
773903109	09/28/2016	Various		1,512.52	1,362.10			150.42	0.00	0.00
36000.0	WESTN GAS PARTNERS	4.65% DUE 07-01-2026	07-01-2026							
958254AF1	09/28/2016	06/30/2016		37,443.60	35,926.56			1,517.04	0.00	0.00
36000.0	BRIXMOR OPER	4.125% DUE 06-15-2026								
11120VAC7	09/30/2016	06/02/2016		37,369.80	35,758.08			1,611.72	0.00	0.00
16293 11	MFO COHEN & STEERS REAL ESTATE SEC I FO CLI									
191912401	09/30/2016	Various		255,475.91	228,737.84			26,738.07	0.00	0.00
22000.0	ENABLE MIDSTREAM	3.9% DUE 05-15-2024								
292480AH3	09/30/2016	05/25/2016		20,623.46	18,791.53			1,831.93	0.00	0.00
20000.0	REGENCY ENERGY	5.5% DUE 04-15-2023	04-23-2023							
75886AAG3	09/30/2016	Various		20,694.80	19,412.63			1,282.17	0.00	0.00
36000.0	SOVRAN ACQSTN LTD	3.5% DUE 07-01-2026								
84610WAB1	09/30/2016	06/13/2016		36,850.68	35,800.92			1,049.76	0.00	0.00
5.0	BOEING CO COM									
097023105	10/03/2016	05/11/2016		655.24	669.17			-13.93	0.00	0.00

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2016 Tax Information Statement

Account Number: 43-93598
 Recipient's Tax ID Number: XX-XXX5394
 Recipient's Name and Address:
 SHIRLEY C. CARIS FAMILY FOUNDATION
 6808 N 48TH ST
 PARADISE VALLEY, AZ 85253-4060

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 Ref: PP

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

Sales are listed at Gross Proceeds less commissions and option premiums.
 Cost or Other Basis amounts shown with a "U" are unknown or unsubstantiated.

Description of property		Cusp Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
COCA COLA CO		221.0									
	191216100		10/03/2016	Various	9,343.68	9,170.26			173.42	0.00	0.00
EXXON MOBIL CORP COM		113.0									
	30231G102		10/03/2016	05/11/2016	9,820.62	10,062.57			-241.95	0.00	0.00
HOME DEPOT INC		74.0									
	437076102		10/03/2016	Various	9,474.75	8,954.07			520.68	0.00	0.00
INTEL CORP COM		49.0									
	458140100		10/03/2016	05/11/2016	1,847.26	1,476.34			370.92	0.00	0.00
LOCKHEED MARTIN CORP		42.0									
	539830109		10/03/2016	01/11/2016	10,017.62	9,026.67			990.95	0.00	0.00
MARSH & MCLENNAN COS INC		157.0									
	571748102		10/03/2016	10/09/2015	10,517.20	8,411.34			2,105.86	0.00	0.00
MCDONALDS CORP		78.0									
	580135101		10/03/2016	01/11/2016	8,962.78	9,050.27			-87.49	0.00	0.00
MICROSOFT CORP COM		21.0									
	594918104		10/03/2016	05/11/2016	1,205.37	1,077.86			127.51	0.00	0.00
PEPSICO INC		95.0									
	713448108		10/03/2016	Various	10,330.07	9,452.05			878.02	0.00	0.00

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 Recipient's Name and Address: Ref: PP
 SHIRLEY C. CARIS FAMILY FOUNDATION
 6808 N 48TH ST
 PARADISE VALLEY, AZ 85253-4060

Account Number: 43-93598
 Recipient's Tax ID Number: XX-XXX5394

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

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174.0	TEXAS INSTRUMENTS INC											
882508104		10/03/2016		10/09/2015		12,188.43	8,884.20			3,304.23	0.00	0.00
16.0	UNION PAC CORP COM											
907818108		10/03/2016		01/11/2016		1,554.37	1,191.46			362.91	0.00	0.00
10.0	UNITED TECHNOLOGIES CORP											
913017109		10/03/2016		10/09/2015		1,013.08	955.57			57.51	0.00	0.00
21.0	V F CORP											
918204108		10/03/2016		Various		1,171.78	1,188.94			-17.16	0.00	0.00
86.0	ACCENTURE PLC SHS CL A NEW											
G1151C101		10/03/2016		01/11/2016		10,447.04	8,475.07			1,971.97	0.00	0.00
203.0	JOHNSON CTLS INTL PLC COM USD0.01											
G51502105		10/03/2016		09/06/2016		9,396.66	9,766.33			-369.67	0.00	0.00
21000.0	AMERICREDIT 1.6% DUE 11-09-2020											
03066DAD8		10/06/2016		04/05/2016		20,737.50	20,999.72			-262.22	0.00	0.00
56000.0	GM FINL AUTOMOBILE 1.64% DUE 07-20-2019											
36250UAD6		10/06/2016		02/18/2016		55,860.00	55,998.31			-138.31	0.00	0.00
20000.0	HONDA AUTO 1.23% DUE 09-23-2019 -2019											
43814LAC3		10/06/2016		10/14/2015		19,800.00	19,997.31			-197.31	0.00	0.00

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SHIRLEY C. CARIS FAMILY FOUNDATION
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									Withheld	Withheld
37000.0	LAM RESH CORP 3.45% DUE 06-15-2023									
512807AQ1	10/13/2016 Various			37,370.00	37,161.52			208.48	0.00	0.00
6053.89	MFO ROWE T PRICE QUANTIT MGMT FDS INC F QM U S SMALL CAP GROWTH ETY FD									
779917103	10/20/2016 02/03/2016			162,970.83	139,118.49			23,852.34	0.00	0.00
154.05	FNMA POOL #AL8419 4.5% 05-01-2046 BEO									
3138ETK96	10/25/2016 05/06/2016			154.05	167.99			-13.94	0.00	0.00
708.77	FNMA POOL #AS3892 4% 11-01-2044 BEO									
3138WDKE0	10/25/2016 05/10/2016			708.77	708.77			0.00	0.00	0.00
47.11	FNMA POOL #AW3616 4% 06-01-2044 BEO									
3138XTAS4	10/25/2016 05/06/2016			47.11	47.11			0.00	0.00	0.00
3358.6	FNMA POOL #MA2420 3.5% 10-01-2045 BEO									
31418BVN3	10/25/2016 10/29/2015			3,358.60	3,358.60			0.00	0.00	0.00
52.33	FNMA POOL #MA2539 4% 02-01-2046 BEO									
31418BZD1	10/25/2016 07/19/2016			52.33	55.73			-3.40	0.00	0.00
29000.0	ANHEUSER-BUSCH 4.9% DUE 02-01-2046									
035242AN6	11/14/2016 01/13/2016			31,523.58	28,931.85			2,591.73	0.00	0.00
36000.0	SANTANDER UK GROUP 3.125% DUE 01-08-2021 01-08-2021									
80281LAD7	11/14/2016 01/06/2016			36,081.00	36,079.07			1.93	0.00	0.00

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Account Number: 43-93598
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Cusip Number	Date Sold or Disposed	Date Acquired							Withheld	State Tax Withheld
38000.0	BROADRIDGE FINL	3.4% DUE 06-27-2026								
11133TAC7	11/18/2016	Various	37,055.32		38,032.16			-976.84	0.00	0.00
19000.0	HOLLYFRONTIER CORP	5 875% DUE 04-01-2026								
436106AA6	11/18/2016	Various	18,939.01		19,438.54			-499.53	0.00	0.00
30000.0	ABBVIE INC	2.3% DUE 05-14-2021								
00287YAU3	11/22/2016	05/09/2016	29,397.00		29,947.80			-550.80	0.00	0.00
59000.0	FORD CR AUTO OWNER	1.6% DUE 06-15-2021 1.6% DUE 06-15-2021								
34531PAE1	11/22/2016	01/20/2016	58,557.50		58,996.89			-439.39	0.00	0.00
92.25	FNMA POOL #AL8419	4.5% 05-01-2046 BEO								
3138ETK96	11/25/2016	05/06/2016	92.25		100.60			-8.35	0.00	0.00
1946.02	FNMA POOL #AS3892	4% 11-01-2044 BEO								
3138WDKE0	11/25/2016	05/10/2016	1,946.02		1,946.02			0.00	0.00	0.00
43.25	FNMA POOL #AW3616	4% 06-01-2044 BEO								
3138XTAS4	11/25/2016	05/06/2016	43.25		43.25			0.00	0.00	0.00
53.2	FNMA POOL #MA2539	4% 02-01-2046 BEO								
31418BZD1	11/25/2016	07/19/2016	53.20		56.66			-3.46	0.00	0.00
29000.0	UNDER ARMOUR INC	3.25% DUE 06-15-2026								
904311AA5	12/21/2016	06/08/2016	27,161.98		28,877.33			-1,715.35	0.00	0.00

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THE NORTHERN TRUST COMPANY
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77.37	FNMA POOL #AL8419	4.5% 05-01-2046 BEO								
3138ETK96	12/27/2016	05/06/2016	77.37	84.37			-7.00		0.00	0.00
1582.59	FNMA POOL #AS3892	4% 11-01-2044 BEO					0.00		0.00	0.00
3138WDKE0	12/27/2016	05/10/2016	1,582.59	1,582.59			0.00		0.00	0.00
38.46	FNMA POOL #AW3616	4% 06-01-2044 BEO					0.00		0.00	0.00
3138XTAS4	12/27/2016	05/06/2016	38.46	38.46			0.00		0.00	0.00
77.15	FNMA POOL #MA2539	4% 02-01-2046 BEO					-5.01		0.00	0.00
31418BZD1	12/27/2016	07/19/2016	77.15	82.16			-5.01		0.00	0.00
Total Short Term Sales			1,223,066.18	1,151,751.83	0.00	0.00	71,314.35		0.00	0.00
Long Term Sales										
394.94	FEDERAL HOME LN MTG CORP POOL #G07961	3.5% 03-01-2045 BEO								
3128MAFA2	08/15/2016	08/07/2015	394.94	394.94			0.00		0.00	0.00
306.89	FEDERAL HOME LN MTG CORP POOL #G08623	3.5% 01-01-2045 BEO					0.00		0.00	0.00
3128MJVR8	08/15/2016	02/04/2015	306.89	306.89			0.00		0.00	0.00
299.14	FEDERAL HOME LN MTG CORP POOL #G08624	4% 01-01-2045 BEO					0.00		0.00	0.00
3128MJVS6	08/15/2016	01/14/2015	299.14	299.14			0.00		0.00	0.00

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Cusip Number	Date Sold or Disposed	Acquired									Withheld	Tax	Withheld	
518.48	FEDERAL HOME LN MTG CORP POOL #C09071	4%02-01-2045 BEO												
31292SCG3	08/15/2016	02/06/2015	518.48		518.48					0.00	0.00			0.00
624.68	FEDERAL HOME LN MTG CORP POOL #A97046	4.5% 02-01-2041 BEO												
312945ZK7	08/15/2016	02/09/2011	624.68		624.68					0.00	0.00			0.00
117.88	FNMA POOL #310151	5.5% 11-01-2034 BEO												
31374CQC3	08/25/2016	01/30/2015	117.88		117.88					0.00	0.00			0.00
217.2	FEDERAL NATL MTG ASSN GTD MTG POOL #A11190	4.5% 04-01-2041 BEO												
3138AEKC6	08/25/2016	06/23/2011	217.20		217.20					0.00	0.00			0.00
1361.16	FEDERAL NATL MTG ASSN GTD MTG POOL #A11191	4.5% 04-01-2041 BEO												
3138AEKD4	08/25/2016	10/05/2012	1,361.16		1,361.16					0.00	0.00			0.00
1724.24	FEDERAL NATL MTG ASSN GTD MTG POOL #AL0393	4.5% 06-01-2041 BEO												
3138EGNK6	08/25/2016	11/17/2011	1,724.24		1,724.24					0.00	0.00			0.00
486.47	FEDERAL NATL MTG ASSN GTD MTG POOL #AL4301	4.5% 04-01-2042 BEO												
3138ELX73	08/25/2016	05/13/2014	486.47		486.47					0.00	0.00			0.00
132.45	FEDERAL NATL MTG ASSN GTD MTG POOL #AL5213	4.5% 04-01-2044 BEO												
3138EMYK1	08/25/2016	01/21/2015	132.45		132.45					0.00	0.00			0.00
72.5	FNMA POOL #AO0763	4% 04-01-2042 BEO												
3138LQZ56	08/25/2016	02/07/2013	72.50		72.50					0.00	0.00			0.00

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Cusip Number	Date Sold or Disposed	Date Acquired								Withheld		
196.23	FNMA POOL #AS0907	3.5% 11-01-2028 BEO										
3138WAAH0	08/25/2016	02/06/2015	196.23		196.23			0.00		0.00		0.00
134.35	FNMA POOL #AS4168	4% 12-01-2044 BEO										
3138WDT27	08/25/2016	01/16/2015	134.35		134.35			0.00		0.00		0.00
24.19	FNMA POOL #AS4783	3.5% 04-01-2045 BEO										
3138WEJ59	08/25/2016	05/11/2015	24.19		24.19			0.00		0.00		0.00
166.91	FNMA POOL #AB3274	4.5% 07-01-2041 BEO										
31416YT81	08/25/2016	12/17/2012	166.91		166.91			0.00		0.00		0.00
1561.88	FNMA POOL #AB3738	3.5% 10-01-2041 BEO										
31417AEL9	08/25/2016	Various	1,561.88		1,561.88			0.00		0.00		0.00
651.29	FNMA POOL #AB4524	4% DUE 02-01-2042 BEO										
31417BA23	08/25/2016	02/03/2012	651.29		651.29			0.00		0.00		0.00
2505.32	FNMA POOL #MA0907	4% 11-01-2041 BEO										
31418AAH1	08/25/2016	11/17/2011	2,505.32		2,505.32			0.00		0.00		0.00
611.71	FNMA POOL #MA1028	4% 04-01-2042 BEO										
31418AEA2	08/25/2016	Various	611.71		611.71			0.00		0.00		0.00
595.01	FNMA POOL #MA2190	4% 02-01-2045 BEO										
31418BNG7	08/25/2016	02/20/2015	595.01		595.01			0.00		0.00		0.00

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103.92	FNMA POOL #AD8033 4% 08-01-2040 BE0			103.92	103.92			0.00	0.00	0.00
31418V4T6	08/25/2016	10/29/2014		103.92				0.00		
170.0	CRANE CO									
224399105	08/31/2016	Various		10,927.36	10,276.90			650.46	0.00	0.00
20000.0	NUSTAR LOGISTICS L 6.75% DUE 02-01-2021									
67059TAD7	09/01/2016	09/09/2013		21,217.60	20,162.64			1,054.96	0.00	0.00
195.0	JOHNSON CONTROLS INC									
478366107	09/06/2016	07/07/2015		8,957.26	9,892.02			-934.76	0.00	0.00
26000.0	SPRINT NEXTEL CORP 6 DUE 11-15-2022									
852061AS9	09/07/2016	06/02/2015		23,530.00	24,797.50			-1,267.50	0.00	0.00
286.0	INVESCO LTD COM STK USD0.20									
G491BT108	09/07/2016	Various		9,001.88	9,985.90			-984.02	0.00	0.00
87.0	ADR DIAGEO PLC SPONSORED ADR NEW									
25243Q205	09/09/2016	Various		9,730.73	10,756.89			-1,026.15	0.00	0.00
30000.0	REYNOLDS GROUP 5.75 DUE 10-15-2020									
761735AP4	09/09/2016	02/11/2013		30,871.80	30,468.18			403.62	0.00	0.00
20000.0	T-MOBILE USA INC 6.375% DUE 03-01-2025									
87264AAN5	09/09/2016	06/02/2015		21,412.00	20,819.06			592.94	0.00	0.00

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476.7	FEDERAL HOME LN MTG CORP POOL #G07961	3.5% 03-01-2045 BEO							
3128MAFA2	09/15/2016	08/07/2015	476.70	476.70			0.00	0.00	0.00
504.97	FEDERAL HOME LN MTG CORP POOL #G08623	3.5% 01-01-2045 BEO							
3128MJVR8	09/15/2016	02/04/2015	504.97	504.97			0.00	0.00	0.00
465.15	FEDERAL HOME LN MTG CORP POOL #G08624	4%01-01-2045 BEO							
3128MJVS6	09/15/2016	01/14/2015	465.15	465.15			0.00	0.00	0.00
346.15	FEDERAL HOME LN MTG CORP POOL #C09071	4%02-01-2045 BEO							
31292SCG3	09/15/2016	02/06/2015	346.15	346.15			0.00	0.00	0.00
1044.72	FEDERAL HOME LN MTG CORP POOL #A97046	4.5% 02-01-2041 BEO							
312945ZK7	09/15/2016	02/09/2011	1,044.72	1,044.72			0.00	0.00	0.00
20000.0	CCO HLDGS LLC / 5.75% DUE 01-15-2024								
1248EPBE2	09/16/2016	06/02/2015	21,025.00	20,591.49			433.51	0.00	0.00
23000.0	CONCHO RES INC 6.5% DUE 01-15-2022								
20605PAC5	09/16/2016	05/20/2011	23,756.93	23,100.44			656.49	0.00	0.00
24000.0	DAVITA INC 5.125% DUE 07-15-2024	07-15-2024							
23918KAQ1	09/16/2016	06/02/2015	24,348.00	24,224.33			123.67	0.00	0.00
108.0	ADR NOVARTIS AG SPONSORED ADR ISIN #US66987V1098								
66987V109	09/16/2016	Various	8,560.97	8,588.78			-27.81	0.00	0.00

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154.56	FNMA POOL #310151	5.5% 11-01-2034	BEO							
31374CQC3	09/26/2016	01/30/2015	154.56	154.56			0.00		0.00	0.00
381.71	FEDERAL NATL MTG ASSN	GTD MTG POOL #A11190	4.5% 04-01-2041	BEO						
3138AEKC6	09/26/2016	06/23/2011	381.71	381.71			0.00		0.00	0.00
1905.08	FEDERAL NATL MTG ASSN	GTD MTG POOL #A11191	4.5% 04-01-2041	BEO						
3138AEKD4	09/26/2016	10/05/2012	1,905.08	1,905.08			0.00		0.00	0.00
2153.97	FEDERAL NATL MTG ASSN	GTD MTG POOL #AL0393	4.5% 06-01-2041	BEO						
3138EGNK6	09/26/2016	11/17/2011	2,153.97	2,153.97			0.00		0.00	0.00
516.96	FEDERAL NATL MTG ASSN	GTD MTG POOL #AL4301	4.5% 04-01-2042	BEO						
3138ELX73	09/26/2016	05/13/2014	516.96	516.96			0.00		0.00	0.00
113.77	FEDERAL NATL MTG ASSN	GTD MTG POOL #AL5213	4.5% 04-01-2044	BEO						
3138EMYK1	09/26/2016	01/21/2015	113.77	113.77			0.00		0.00	0.00
401.28	FEDERAL NATL MTG ASSN	GTD MTG POOL #AL7231	3.5% 08-01-2045	BEO						
3138EQA93	09/26/2016	09/14/2015	401.28	401.28			0.00		0.00	0.00
815.81	FEDERAL NATL MTG ASSN	GTD MTG POOL #AL7206	4% 08-01-2045	BEO						
3138EQAG7	09/26/2016	09/14/2015	815.81	815.81			0.00		0.00	0.00
1077.39	FNMA POOL #AO0763	4% 04-01-2042	BEO							
3138LQZ56	09/26/2016	02/07/2013	1,077.39	1,077.39			0.00		0.00	0.00

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2016 Tax Information Statement

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 Recipient's Name and Address: Ref: PP
 SHIRLEY C. CARIS FAMILY FOUNDATION
 6808 N 48TH ST
 PARADISE VALLEY, AZ 85253-4060

Account Number: 43-93598
 Recipient's Tax ID Number: XX-XX5394

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property				Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Federal Income Tax	
Cusip Number	Date Sold or Disposed	Date Acquired							Withheld	State Tax Withheld
186.48	FNMA POOL #AS0907 3.5% 11-01-2028 BEO									
3138WAAH0	09/26/2016	02/06/2015		186.48	186.48			0.00	0.00	0.00
109.38	FNMA POOL #AS4168 4% 12-01-2044 BEO									
3138WDT27	09/26/2016	01/16/2015		109.38	109.38			0.00	0.00	0.00
11.97	FNMA POOL #AS4783 3.5% 04-01-2045 BEO									
3138WEJ59	09/26/2016	05/11/2015		11.97	11.97			0.00	0.00	0.00
525.76	FNMA POOL #AB3274 4.5% 07-01-2041 BEO									
31416YT81	09/26/2016	12/17/2012		525.76	525.76			0.00	0.00	0.00
3957.69	FNMA POOL #AB3738 3.5% 10-01-2041 BEO									
31417AEL9	09/26/2016	Various		3,957.69	3,957.69			0.00	0.00	0.00
757.97	FNMA POOL #AB4524 4% DUE 02-01-2042 BEO									
31417BA23	09/26/2016	02/03/2012		757.97	757.97			0.00	0.00	0.00
2169.76	FNMA POOL #MA0907 4% 11-01-2041 BEO									
31418AAH1	09/26/2016	11/17/2011		2,169.76	2,169.76			0.00	0.00	0.00
592.38	FNMA POOL #MA1028 4% 04-01-2042 BEO									
31418AEA2	09/26/2016	Various		592.38	592.38			0.00	0.00	0.00
1367.22	FNMA POOL #MA2190 4% 02-01-2045 BEO									
31418BNG7	09/26/2016	02/20/2015		1,367.22	1,367.22			0.00	0.00	0.00

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Recipient's Name and Address:

43-93598

Account Number:

XX-XXX5394

Recipient's Tax ID Number:

Ref: PP

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

SHIRLEY C. CARIS FAMILY FOUNDATION
6808 N 48TH ST
PARADISE VALLEY, AZ 85253-4060

☐ Corrected ☐ FATCA ☐ 2nd TIN notice

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Description of property		Date Sold or Disposed		Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
156.03	FNMA POOL #AD8033 4% 08-01-2040 BEO											
314.18V4T6		09/26/2016	10/29/2014		156.03	156.03			0.00		0.00	0.00
19604.5	MFO ALLIANZ FDS ALLIANZGI INC & GROWTH FD CL P											
018922708		09/28/2016	Various		221,334.87	252,617.54			-31,282.67		0.00	0.00
19000.0	EQUINIX INC 5.375% DUE 04-01-2023											
29444UAM8		09/28/2016	03/14/2013		19,827.45	19,224.38			603.07		0.00	0.00
36000.0	HCA INC 5.375% DUE 02-01-2025											
404119BR9		09/28/2016	02/25/2015		37,178.28	37,795.16			-616.88		0.00	0.00
29000.0	LENNAR CORP 4.75% DUE 05-30-2025											
526057BV5		09/28/2016	04/21/2015		29,449.50	29,000.00			449.50		0.00	0.00
138.0	NORDSTROM INC											
655664100		09/28/2016	Various		7,075.11	8,808.33			-1,733.22		0.00	0.00
75.0	ROCKWELL INTL CORP NEW											
773903109		09/28/2016	02/03/2015		8,726.05	8,521.62			204.43		0.00	0.00
70.0	BOEING CO COM											
097023105		10/03/2016	Various		9,173.30	9,454.47			-281.17		0.00	0.00
140.0	COLGATE PALMOLIVE CO											
194162103		10/03/2016	Various		10,337.37	9,263.91			1,073.46		0.00	0.00

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2016 Tax Information Statement

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 Recipient's Name and Address:
 Ref: PP
 SHIRLEY C. CARIS FAMILY FOUNDATION
 6808 N 48TH ST
 PARADISE VALLEY, AZ 85253-4060

Account Number: 43-93598
 Recipient's Tax ID Number: XX-XXX5394
☐ Corrected ☐ FATCA ☐ 2nd TIN notice

THE NORTHERN TRUST COMPANY
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 CHICAGO, IL 60680

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285.0	INTEL CORP COM											
458140100	10/03/2016	Various	10,744.26	7,218.35					3,525.91		0.00	0.00
175.0	MICROSOFT CORP COM											
594918104	10/03/2016	Various	10,044.78	7,085.94					2,958.84		0.00	0.00
84.0	NEXTERA ENERGY INC COM											
65339F101	10/03/2016	Various	10,283.89	7,362.21					2,921.68		0.00	0.00
102.0	UNION PAC CORP COM											
907818108	10/03/2016	Various	9,909.08	9,719.04					190.04		0.00	0.00
89.0	UNITED TECHNOLOGIES CORP											
913017109	10/03/2016	Various	9,016.39	10,019.88					-1,003.49		0.00	0.00
143.0	V F CORP											
918204108	10/03/2016	Various	7,979.22	8,486.41					-507.19		0.00	0.00
124.0	MEDTRONIC PLC COMMON STOCK											
G5960L103	10/03/2016	Various	10,660.04	9,425.52					1,234.52		0.00	0.00
57000.0	CAP 1 MULTI-ASSET 1.39% DUE 01-15-2021											
14041NEU1	10/06/2016	04/16/2015	56,857.50	57,229.34					-371.84		0.00	0.00
604.09	FEDERAL HOME LN MTG CORP POOL #G07961 3.5% 03-01-2045 BEO											
3128MAFA2	10/17/2016	08/07/2015	604.09	604.09					0.00		0.00	0.00

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2016 Tax Information Statement

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43-93598

Account Number:

THE NORTHERN TRUST COMPANY
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CHICAGO, IL 60680

SHIRLEY C. CARIS FAMILY FOUNDATION
6808 N 48TH ST
PARADISE VALLEY, AZ 85253-4060

XX-XXX5394

Recipient's Tax ID Number:

☐ 2nd TIN notice

☐ Corrected ☐ FATCA

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Cusip Number	Date Sold or Disposed	Date Acquired									Withheld	State Tax Withheld
511.81	FEDERAL HOME LN MTG CORP POOL #G08623	3.5% 01-01-2045 BEO										
3128MJVR8	10/17/2016	02/04/2015		511.81		511.81				0.00	0.00	0.00
365.56	FEDERAL HOME LN MTG CORP POOL #G08624	4%01-01-2045 BEO										
3128MJVS6	10/17/2016	01/14/2015		365.56		365.56				0.00	0.00	0.00
628.07	FEDERAL HOME LN MTG CORP POOL #C09071	4%02-01-2045 BEO										
31292SCG3	10/17/2016	02/06/2015		628.07		628.07				0.00	0.00	0.00
618.02	FEDERAL HOME LN MTG CORP POOL #A97046	4.5% 02-01-2041 BEO										
312945ZK7	10/17/2016	02/09/2011		618.02		618.02				0.00	0.00	0.00
133.17	FNMA POOL #310151	5.5% 11-01-2034 BEO										
31374CQC3	10/25/2016	01/30/2015		133.17		133.17				0.00	0.00	0.00
367.99	FEDERAL NATL MTG ASSN GTD MTG POOL #A11190	4.5% 04-01-2041 BEO										
3138AEKC6	10/25/2016	06/23/2011		367.99		367.99				0.00	0.00	0.00
1322.29	FEDERAL NATL MTG ASSN GTD MTG POOL #A11191	4.5% 04-01-2041 BEO										
3138AEKD4	10/25/2016	10/05/2012		1,322.29		1,322.29				0.00	0.00	0.00
1787.15	FEDERAL NATL MTG ASSN GTD MTG POOL #AL0393	4.5% 06-01-2041 BEO										
3138EGNK6	10/25/2016	11/17/2011		1,787.15		1,787.15				0.00	0.00	0.00
556.37	FEDERAL NATL MTG ASSN GTD MTG POOL #AL4301	4.5% 04-01-2042 BEO										
3138ELX73	10/25/2016	05/13/2014		556.37		556.37				0.00	0.00	0.00

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Recipient's Name and Address:
SHIRLEY C. CARIS FAMILY FOUNDATION
6808 N 48TH ST
PARADISE VALLEY, AZ 85253-4060

Account Number: 43-93598
Recipient's Tax ID Number: XX-XXX5394

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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66.56	FEDERAL NATL MTG ASSN GTD MTG POOL #AL5213 4.5% 04-01-2044 BEO										
3138EMYK1	10/25/2016	01/21/2015	66.56	66.56					0.00	0.00	0.00
2199.39	FEDERAL NATL MTG ASSN GTD MTG POOL #AL6970 3.5% 07-01-2035 BEO										
3138EPW83	10/25/2016	10/19/2015	2,199.39	2,199.39					0.00	0.00	0.00
492.17	FEDERAL NATL MTG ASSN GTD MTG POOL #AL7231 3.5% 08-01-2045 BEO										
3138EQA93	10/25/2016	09/14/2015	492.17	492.17					0.00	0.00	0.00
1134.03	FEDERAL NATL MTG ASSN GTD MTG POOL #AL7206 4% 08-01-2045 BEO										
3138EQAG7	10/25/2016	09/14/2015	1,134.03	1,134.03					0.00	0.00	0.00
400.06	FNMA POOL #AQ0763 4% 04-01-2042 BEO										
3138LQZ56	10/25/2016	02/07/2013	400.06	400.06					0.00	0.00	0.00
124.78	FNMA POOL #AS0907 3.5% 11-01-2028 BEO										
3138WAAH0	10/25/2016	02/06/2015	124.78	124.78					0.00	0.00	0.00
164.37	FNMA POOL #AS4168 4% 12-01-2044 BEO										
3138WDT27	10/25/2016	01/16/2015	164.37	164.37					0.00	0.00	0.00
25.05	FNMA POOL #AS4783 3.5% 04-01-2045 BEO										
3138WEJ59	10/25/2016	05/11/2015	25.05	25.05					0.00	0.00	0.00
616.88	FNMA POOL #AB3274 4.5% 07-01-2041 BEO										
31416YT81	10/25/2016	12/17/2012	616.88	616.88					0.00	0.00	0.00

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2016 Tax Information Statement

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Recipient's Name and Address:
SHIRLEY C. CARIS FAMILY FOUNDATION
6808 N 48TH ST
PARADISE VALLEY, AZ 85253-4060

Account Number: 43-93598
Recipient's Tax ID Number: XX-XXX5394

THE NORTHERN TRUST COMPANY
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Description of property		Date Sold or Disposed		Date Acquired	Proceeds	Cost or Other Basis	Market Discount	Wash Loss Disallowed	Net Gain or Loss	Ordinary	Federal Income Tax Withheld	State Tax Withheld
1466.44	FNMA POOL #AB3738 3.5% 10-01-2041 BEO											
31417AEL9	10/25/2016 Various	10/25/2016	Various		1,466.44	1,466.44			0.00		0.00	0.00
976.94	FNMA POOL #AB4524 4% DUE 02-01-2042 BEO											
31417BA23	10/25/2016 02/03/2012	10/25/2016	02/03/2012		976.94	976.94			0.00		0.00	0.00
3239.89	FNMA POOL #MA0907 4% 11-01-2041 BEO											
31418AAH1	10/25/2016 11/17/2011	10/25/2016	11/17/2011		3,239.89	3,239.89			0.00		0.00	0.00
1058.73	FNMA POOL #MA1028 4% 04-01-2042 BEO											
31418AEA2	10/25/2016 Various	10/25/2016	Various		1,058.73	1,058.73			0.00		0.00	0.00
769.06	FNMA POOL #MA2190 4% 02-01-2045 BEO											
31418BNG7	10/25/2016 02/20/2015	10/25/2016	02/20/2015		769.06	769.06			0.00		0.00	0.00
113.32	FNMA POOL #AD8033 4% 08-01-2040 BEO											
31418V4T6	10/25/2016 10/29/2014	10/25/2016	10/29/2014		113.32	113.32			0.00		0.00	0.00
35000.0	UTD MEXICAN STS MEDIUM TERM NTS BOOK TBOND 4 DUE 10-02-2023 REG											
91086QBC1	11/14/2016 08/14/2015	11/14/2016	08/14/2015		34,737.50	35,923.07			-1,185.57		0.00	0.00
425.45	FEDERAL HOME LN MTG CORP POOL #G07961 3.5% 03-01-2045 BEO											
3128MAFA2	11/15/2016 08/07/2015	11/15/2016	08/07/2015		425.45	425.45			0.00		0.00	0.00
452.18	FEDERAL HOME LN MTG CORP POOL #G08623 3.5% 01-01-2045 BEO											
3128MJVR8	11/15/2016 02/04/2015	11/15/2016	02/04/2015		452.18	452.18			0.00		0.00	0.00

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Recipients Name and Address:
SHIRLEY C. CARIS FAMILY FOUNDATION
6808 N 48TH ST
PARADISE VALLEY, AZ 85253-4060

Account Number: 43-93598
Recipients Tax ID Number: XX-XXX5394

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308.5	FEDERAL HOME LN MTG CORP POOL #G08624 4%01-01-2045 BEO									
3128MJV56	11/15/2016	01/14/2015	308.50	308.50			0.00		0.00	0.00
434.1	FEDERAL HOME LN MTG CORP POOL #C09071 4%02-01-2045 BEO									
31292SCG3	11/15/2016	02/06/2015	434.10	434.10			0.00		0.00	0.00
642.14	FEDERAL HOME LN MTG CORP POOL #A97046 4.5% 02-01-2041 BEO									
312945ZK7	11/15/2016	02/09/2011	642.14	642.14			0.00		0.00	0.00
1136.55	US AWYS 2013-1 3.95 DUE 05-15-2027									
90346WAA1	11/15/2016	04/29/2015	1,136.55	1,191.90			-55.35		0.00	0.00
38000.0	TD AMERITRADE HLDG 2.95% DUE 04-01-2022									
87236VAE8	11/18/2016	03/05/2015	38,563.92	38,157.78			406.14		0.00	0.00
128.06	FNMA POOL #310151 5.5% 11-01-2034 BEO									
31374CQC3	11/25/2016	01/30/2015	128.06	128.06			0.00		0.00	0.00
295.04	FEDERAL NATL MTG ASSN GTD MTG POOL #A11190 4.5% 04-01-2041 BEO									
3138AEKC6	11/25/2016	06/23/2011	295.04	295.04			0.00		0.00	0.00
1500.18	FEDERAL NATL MTG ASSN GTD MTG POOL #A11191 4.5% 04-01-2041 BEO									
3138AEKD4	11/25/2016	10/05/2012	1,500.18	1,500.18			0.00		0.00	0.00
709.38	FEDERAL NATL MTG ASSN GTD MTG POOL #AL0393 4.5% 06-01-2041 BEO									
3138EGNK6	11/25/2016	11/17/2011	709.38	709.38			0.00		0.00	0.00

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 Recipient's Name and Address:
 SHIRLEY C. CARIS FAMILY FOUNDATION
 6808 N 48TH ST
 PARADISE VALLEY, AZ 85253-4060
 Ref: PP

Account Number: 43-93598
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Cusip Number	Date Sold or Disposed	Date Acquired									Withheld	State Tax Withheld
514.47	FEDERAL NATL MTG ASSN GTD MTG POOL #AL4301 4.5% 04-01-2042 BEO											
3138ELX73	11/25/2016	05/13/2014		514.47		514.47				0.00	0.00	0.00
36.2	FEDERAL NATL MTG ASSN GTD MTG POOL #AL5213 4.5% 04-01-2044 BEO											
3138EMYK1	11/25/2016	01/21/2015		36.20		36.20				0.00	0.00	0.00
1839.0	FEDERAL NATL MTG ASSN GTD MTG POOL #AL6970 3.5% 07-01-2035 BEO											
3138EPW83	11/25/2016	10/19/2015		1,839.00		1,839.00				0.00	0.00	0.00
538.41	FEDERAL NATL MTG ASSN GTD MTG POOL #AL7231 3.5% 08-01-2045 BEO											
3138EQA93	11/25/2016	09/14/2015		538.41		538.41				0.00	0.00	0.00
595.88	FEDERAL NATL MTG ASSN GTD MTG POOL #AL7206 4% 08-01-2045 BEO											
3138EQAG7	11/25/2016	09/14/2015		595.88		595.88				0.00	0.00	0.00
627.7	FNMA POOL #A00763 4% 04-01-2042 BEO											
3138LOZ56	11/25/2016	02/07/2013		627.70		627.70				0.00	0.00	0.00
340.47	FNMA POOL #AS0907 3.5% 11-01-2028 BEO											
3138WAAH0	11/25/2016	02/06/2015		340.47		340.47				0.00	0.00	0.00
276.17	FNMA POOL #AS4168 4% 12-01-2044 BEO											
3138WDT27	11/25/2016	01/16/2015		276.17		276.17				0.00	0.00	0.00
20.95	FNMA POOL #AS4783 3.5% 04-01-2045 BEO											
3138WEJ59	11/25/2016	05/11/2015		20.95		20.95				0.00	0.00	0.00

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 6808 N 48TH ST
 PARADISE VALLEY, AZ 85253-4060

Account Number: 43-93598
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Cusip Number											
706.0	FNMA POOL #AB3274 4.5% 07-01-2041 BEO										
31416YT81	11/25/2016	12/17/2012	706.00	706.00					0.00	0.00	0.00
3903.19	FNMA POOL #AB3738 3.5% 10-01-2041 BEO										
31417AEL9	11/25/2016	Various	3,903.19	3,903.19					0.00	0.00	0.00
626.89	FNMA POOL #AB4524 4% DUE 02-01-2042 BEO										
31417BA23	11/25/2016	02/03/2012	626.89	626.89					0.00	0.00	0.00
4137.65	FNMA POOL #MA0907 4% 11-01-2041 BEO										
31418AAH1	11/25/2016	11/17/2011	4,137.65	4,137.65					0.00	0.00	0.00
1059.63	FNMA POOL #MA1028 4% 04-01-2042 BEO										
31418AEA2	11/25/2016	Various	1,059.63	1,059.63					0.00	0.00	0.00
1191.14	FNMA POOL #MA2190 4% 02-01-2045 BEO										
31418BNG7	11/25/2016	02/20/2015	1,191.14	1,191.14					0.00	0.00	0.00
3367.57	FNMA POOL #MA2420 3.5% 10-01-2045 BEO										
31418BVN3	11/25/2016	10/29/2015	3,367.57	3,367.57					0.00	0.00	0.00
120.35	FNMA POOL #AD8033 4% 08-01-2040 BEO										
31418V4T6	11/25/2016	10/29/2014	120.35	120.35					0.00	0.00	0.00
918.63	UNITED AIRLS INC 3.45% DUE 12-01-2027 3.45% DUE 06-01-2049 REG										
90932LAA5	12/01/2016	11/02/2015	918.63	918.63					0.00	0.00	0.00

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2016 Tax Information Statement

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 Recipient's Tax ID Number: XX-XXX5394
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 SHIRLEY C. CARIS FAMILY FOUNDATION
 6808 N 48TH ST
 PARADISE VALLEY, AZ 85253-4060

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THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

Ref: PP

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Description of property

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454.29	FEDERAL HOME LN MTG CORP POOL #G07961	3.5% 03-01-2045 BEO								
3128MAFA2	12/15/2016	08/07/2015	454.29	454.29			0.00		0.00	0.00
392.92	FEDERAL HOME LN MTG CORP POOL #G08623	3.5% 01-01-2045 BEO								
3128MJVR8	12/15/2016	02/04/2015	392.92	392.92			0.00		0.00	0.00
320.84	FEDERAL HOME LN MTG CORP POOL #G08624	4%01-01-2045 BEO								
3128MJVS6	12/15/2016	01/14/2015	320.84	320.84			0.00		0.00	0.00
294.58	FEDERAL HOME LN MTG CORP POOL #C09071	4%02-01-2045 BEO								
31292SCG3	12/15/2016	02/06/2015	294.58	294.58			0.00		0.00	0.00
708.67	FEDERAL HOME LN MTG CORP POOL #A97046	4.5% 02-01-2041 BEO								
312945ZK7	12/15/2016	02/09/2011	708.67	708.67			0.00		0.00	0.00
29367.43	US AWYS 2013-1	3.95 DUE 05-15-2027								
90346WAA1	12/21/2016	04/29/2015	29,661.11	30,797.62			-1,136.51		0.00	0.00
128.97	FNMA POOL #310151	5.5% 11-01-2034 BEO								
31374CQC3	12/27/2016	01/30/2015	128.97	128.97			0.00		0.00	0.00
367.86	FEDERAL NATL MTG ASSN GTD MTG POOL #A11190	4.5% 04-01-2041 BEO								
3138AEKC6	12/27/2016	06/23/2011	367.86	367.86			0.00		0.00	0.00
702.04	FEDERAL NATL MTG ASSN GTD MTG POOL #A11191	4.5% 04-01-2041 BEO								
3138AEKD4	12/27/2016	10/05/2012	702.04	702.04			0.00		0.00	0.00

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Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Other Basis					Withheld		
1500.33	FEDERAL NATL MTG ASSN GTD MTG POOL #AL0393 4.5% 06-01-2041 BEO										
3138EGNK6	12/27/2016	11/17/2011	1,500.33	1,500.33				0.00	0.00		0.00
590.59	FEDERAL NATL MTG ASSN GTD MTG POOL #AL4301 4.5% 04-01-2042 BEO										
3138ELX73	12/27/2016	05/13/2014	590.59	590.59				0.00	0.00		0.00
20.27	FEDERAL NATL MTG ASSN GTD MTG POOL #AL5213 4.5% 04-01-2044 BEO										
3138EMYK1	12/27/2016	01/21/2015	20.27	20.27				0.00	0.00		0.00
2101.89	FEDERAL NATL MTG ASSN GTD MTG POOL #AL6970 3.5% 07-01-2035 BEO										
3138EPW83	12/27/2016	10/19/2015	2,101.89	2,101.89				0.00	0.00		0.00
455.86	FEDERAL NATL MTG ASSN GTD MTG POOL #AL7231 3.5% 08-01-2045 BEO										
3138EQA93	12/27/2016	09/14/2015	455.86	455.86				0.00	0.00		0.00
1287.0	FEDERAL NATL MTG ASSN GTD MTG POOL #AL7206 4% 08-01-2045 BEO										
3138EQAG7	12/27/2016	09/14/2015	1,287.00	1,287.00				0.00	0.00		0.00
856.96	FNMA POOL #AO0763 4% 04-01-2042 BEO										
3138LQZ56	12/27/2016	02/07/2013	856.96	856.96				0.00	0.00		0.00
347.23	FNMA POOL #AS0907 3.5% 11-01-2028 BEO										
3138WAAH0	12/27/2016	02/06/2015	347.23	347.23				0.00	0.00		0.00
195.83	FNMA POOL #AS4168 4% 12-01-2044 BEO										
3138WDT27	12/27/2016	01/16/2015	195.83	195.83				0.00	0.00		0.00

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7.27	FNMA POOL #AS4783 3.5% 04-01-2045 BEO									
3138WEJ59	12/27/2016	05/11/2015	7.27	7.27			0.00		0.00	0.00
391.42	FNMA POOL #AB3274 4.5% 07-01-2041 BEO									
31416YT81	12/27/2016	12/17/2012	391.42	391.42			0.00		0.00	0.00
2400.3	FNMA POOL #AB3738 3.5% 10-01-2041 BEO									
31417AEL9	12/27/2016	Various	2,400.30	2,400.30			0.00		0.00	0.00
642.44	FNMA POOL #AB4524 4% DUE 02-01-2042 BEO									
31417BA23	12/27/2016	02/03/2012	642.44	642.44			0.00		0.00	0.00
3578.61	FNMA POOL #MA0907 4% 11-01-2041 BEO									
31418AAH1	12/27/2016	11/17/2011	3,578.61	3,578.61			0.00		0.00	0.00
858.92	FNMA POOL #MA1028 4% 04-01-2042 BEO									
31418AEA2	12/27/2016	Various	858.92	858.92			0.00		0.00	0.00
1150.81	FNMA POOL #MA2190 4% 02-01-2045 BEO									
31418BNG7	12/27/2016	02/20/2015	1,150.81	1,150.81			0.00		0.00	0.00
1674.62	FNMA POOL #MA2420 3.5% 10-01-2045 BEO									
31418BVN3	12/27/2016	10/29/2015	1,674.62	1,674.62			0.00		0.00	0.00
113.89	FNMA POOL #AD8033 4% 08-01-2040 BEO									
31418V4T6	12/27/2016	10/29/2014	113.89	113.89			0.00		0.00	0.00

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0.01	US AWYS 2013-1	3.95 DUE 05-15-2027								
90346WAA1	12/28/2016	04/29/2015	0.01	0.01			0.00		0.00	0.00
Total Long Term Sales			886,037.34	910,968.24	0.00	0.00	-24,930.89		0.00	0.00

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