Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

2016

Open to Public Inspection

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

HARDEN FOUNDATION
P.O. BOX 779
SALINAS, CA 93902

A Employer identification number: 94-6098887

B Telephone number (see instructions): (831) 442-3005

C If exemption application is pending, check here ► ☐

D 1 Foreign organizations, check here ► ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ► ☐

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

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

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

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

I Fair market value of all assets at end of year (from Part II, column (c), line 16) ► $ 59,550,139.

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.	122.		
	4 Dividends and interest from securities	977,437.	977,437.		
	5a Gross rents	110,247.	110,247.		
	b Net rental income or (loss) 69,219.				
	6a Net gain or (loss) from sale of assets not on line 10	1,469,173.			
	b Gross sales price for all assets on line 6a 12,037,578.				
	7 Capital gain net income (from Part IV, line 2)		1,469,173.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule) SEE STATEMENT 1	772,434.	145.		
	12 **Total** Add lines 1 through 11	3,329,413.	2,557,124.	0.	
OPERATING AND ADMINISTRATIVE EXPENSES	13 Compensation of officers, directors, trustees, etc	231,765.	107,870.		123,895.
	14 Other employee salaries and wages	93,367.			93,367.
	15 Pension plans, employee benefits	112,042.	27,401.		78,889.
	16a Legal fees (attach schedule)				
	b Accounting fees (attach sch) SEE ST 2	36,887.	18,444.		18,444.
	c Other professional fees (attach sch) SEE ST 3	454,529.	454,529.		
	17 Interest				
	18 Taxes (attach schedule)(see instrs) SEE STM 4	60,396.	2,320.		4,976.
	19 Depreciation (attach schedule) and depletion	173,199.	7,479.		
	20 Occupancy	39,995.	12,840.		25,468.
	21 Travel, conferences, and meetings	8,103.	2,889.		5,207.
	22 Printing and publications	2,129.			2,129.
	23 Other expenses (attach schedule) SEE STATEMENT 5	200,401.	56,753.		134,968.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	1,412,813.	690,525.		487,343.
	25 Contributions, gifts, grants paid PART XV	2,601,827.			2,201,828.
	26 **Total expenses and disbursements** Add lines 24 and 25	4,014,640.	690,525.	0.	2,689,171.
	27 Subtract line 26 from line 12				
	a **Excess of revenue over expenses and disbursements**	-685,227.			
	b **Net investment income** (if negative, enter -0-)		1,866,599.		
	c **Adjusted net income** (if negative, enter -0-)			0.	

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
ASSETS	1	Cash – non-interest-bearing	94,938.	133,476.	133,476.
	2	Savings and temporary cash investments	4,058,669.	1,246,056.	1,246,056.
	3	Accounts receivable ► 29,352.			
		Less allowance for doubtful accounts ►	32,475.	29,352.	29,352.
	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 sch) ►			
		Less allowance for doubtful accounts ►			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges	14,760.	15,595.	15,595.
	10a	Investments – U S and state government obligations (attach schedule)	25,002.	16,006.	16,006.
	b	Investments – corporate stock (attach schedule)	41,400,328.	44,075,213.	44,075,213.
	c	Investments – corporate bonds (attach schedule)	2,059,959.	2,119,598.	2,119,598.
	11	Investments – land, buildings, and equipment: basis ►			
		Less accumulated depreciation (attach schedule) ►			
	12	Investments – mortgage loans			
	13	Investments – other (attach schedule)			
	14	Land, buildings, and equipment basis ► 8,164,324.			
		Less accumulated depreciation (attach schedule) SEE STMT 6 ► 2,625,352.	5,705,583.	5,538,972.	11,907,976.
	15	Other assets (describe ► SEE STATEMENT 7)	4,198.	6,867.	6,867.
	16	**Total assets** (to be completed by all filers – see the instructions Also, see page 1, item I)	53,395,912.	53,181,135.	59,550,139.
LIABILITIES	17	Accounts payable and accrued expenses	33,608.	34,812.	
	18	Grants payable	100,000.	500,000.	
	19	Deferred revenue	36,157.	39,710.	
	20	Loans from officers, directors, trustees, & other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ► SEE STATEMENT 8)	996,870.	1,062,563.	
	23	**Total liabilities** (add lines 17 through 22)	1,166,635.	1,637,085.	
NET ASSETS OR FUND BALANCES		**Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.** ► [X]			
	24	Unrestricted	52,229,277.	51,544,050.	
	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)	52,229,277.	51,544,050.	
	31	**Total liabilities and net assets/fund balances** (see instructions)	53,395,912.	53,181,135.	

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	52,229,277.
2	Enter amount from Part I, line 27a	2	-685,227.
3	Other increases not included in line 2 (itemize) ►	3	
4	Add lines 1, 2, and 3	4	51,544,050.
5	Decreases not included in line 2 (itemize) ►	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	51,544,050.

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 shares MLC Company)	(b) How acquired P — Purchase D — Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a	SCHEDULE ATTACH UBS	P	VARIOUS	VARIOUS
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	12,037,578.		10,568,405.	1,469,173.
b				
c				
d				
e				

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

	(i) F M V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a				1,469,173.
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	1,469,173.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6). If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	0.

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	2,811,694.	54,709,825.	0.051393
2014	3,144,301.	53,892,798.	0.058344
2013	2,996,367.	50,241,405.	0.059639
2012	2,612,221.	46,494,788.	0.056183
2011	3,392,450.	48,579,055.	0.069834

2	**Total** of line 1, column (d)	2	0.295393
3	Average distribution ratio for the 5-year base period— divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.059079
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	51,893,306.
5	Multiply line 4 by line 3	5	3,065,805.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	18,666.
7	Add lines 5 and 6	7	3,084,471.
8	Enter qualifying distributions from Part XII, line 4	8	2,695,543.

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)

1 a 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	37,332.
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	0.
3 Add lines 1 and 2		3	37,332.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	0.
5 **Tax based on investment income** Subtract line 4 from line 3 If zero or less, enter -0-		5	37,332.
6 Credits/Payments			
a 2016 estimated tax pmts and 2015 overpayment credited to 2016	6a 44,198.		
b Exempt foreign organizations– tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c 7,000.		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments Add lines 6a through 6d		7	51,198.
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	0.
10 **Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ►		10	13,866.
11 Enter the amount of line 10 to be **Credited to 2017 estimated tax** ► 13,866.	**Refunded** ►	11	0.

Part VII-A Statements Regarding Activities

		Yes	No
1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
*If the answer is 'Yes' to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year. **(1)** On the foundation ► $ 0. **(2)** On foundation managers ► $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ► $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?	2		X
If 'Yes,' attach a detailed description of the activities			
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If 'Yes,' attach a conformed copy of the changes*	3		X
4 a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If 'Yes,' has it filed a tax return on **Form 990-T** for this year?	4b	N/A	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?	5		X
If 'Yes,' attach the statement required by General Instruction T			
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • 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	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? *If 'Yes,' complete Part II, col (c), and Part XV*	7	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) ► CA			
b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990 PF to the Attorney General (or designate) of each state as required by *General Instruction G? If 'No,' attach explanation*	8b	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? *If 'Yes,' complete Part XIV*	9		X
10 Did any persons become substantial contributors during the tax year? *If 'Yes,' attach a schedule listing their names and addresses*	10		X

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

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

Website address ► HTTP://WWW.HARDENFOUNDATION.ORG

14 The books are in care of ► JOSEPH C. GRAINGER Telephone no ► (831) 442-3005

Located at ► 1636 ERCIA STREET SALINAS CA ZIP + 4 ► 93906

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** – Check here N/A ► ☐

and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A

			Yes	No
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for FinCEN Form 114 If 'Yes,' enter the name of the foreign country ►			

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

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

			Yes	No
1 a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? **Exception.** Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No			
b	If any answer is 'Yes' to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1 b	N/A	
	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?	1 c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No If 'Yes,' list the years ► 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)	2 b	N/A	
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ► 20__ , 20__ , 20__ , 20__			
3 a	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)*	3 b	N/A	
4 a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4 b		X

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

5 a During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc, organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is 'Yes' to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? **5b** N/A

Organizations relying on a current notice regarding disaster assistance check here ► ☐

c If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

If 'Yes,' attach the statement required by Regulations section 53 4945-5(d)

6 a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No: X

If 'Yes' to 6b, file Form 8870

7 a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction? N/A **7b**

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 9		231,765.	47,084.	0.

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

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
MARIA HOLGUIN-GUERRERO 1636 ERCIA ST. SALINAS, CA 93906	PROG OFFICER 40	99,367.	42,035.	0.

Total number of other employees paid over $50,000 ► 0

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

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

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
UBS FINANCIAL SERVICES, INC. 200 CLOCK TOWER PLACE, SUITE C-100 CARMEL, CA 93923-8680	INVESTMENT MANAGER	333,667.
REIK & CO. 1540 INTERNATIONAL PARKWAY,# 2000 LAKE MARY, FL 32746	INVESTMENT MANAGER	120,862.
ROLLIE HAAS MASTER LANDSCAPES P.O. BOX 2208 SALINAS, CA 93902	YARD MAINTENANCE	56,655.
Total number of others receiving over $50,000 for professional services ►		0

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

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 SEE STATEMENT 10	
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 ►	0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes				
a	Average monthly fair market value of securities			1a	44,684,852.
b	Average of monthly cash balances			1b	2,062,929.
c	Fair market value of all other assets (see instructions)			1c	5,935,778.
d	**Total** (add lines 1a, b, and c)			1d	52,683,559.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.		
2	Acquisition indebtedness applicable to line 1 assets			2	0.
3	Subtract line 2 from line 1d			3	52,683,559.
4	Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions)			4	790,253.
5	**Net value of noncharitable-use assets** Subtract line 4 from line 3 Enter here and on Part V, line 4			5	51,893,306.
6	**Minimum investment return** Enter 5% of line 5			6	2,594,665.

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	2,594,665.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	37,332.		
b	Income tax for 2016 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	37,332.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	2,557,333.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	2,557,333.
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	2,557,333.

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	2,689,171.
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	6,372.
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	2,695,543.
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	2,695,543.

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				2,557,333.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years 20 __, 20 __, 20 __		0.		
3 Excess distributions carryover, if any, to 2016				
a From 2011 996,657.				
b From 2012 309,359.				
c From 2013 528,674.				
d From 2014 515,453.				
e From 2015 202,538.				
f **Total** of lines 3a through e	2,552,681.			
4 Qualifying distributions for 2016 from Part XII, line 4 ► $ 2,695,543.				
a Applied to 2015, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required – see instructions)		0.		
c Treated as distributions out of corpus (Election required – see instructions)	0.			
d Applied to 2016 distributable amount				2,557,333.
e Remaining amount distributed out of corpus	138,210.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	2,690,891.			
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount – see instructions		0.		
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount – see instructions			0.	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required – see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	996,657.			
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a	1,694,234.			
10 Analysis of line 9				
a Excess from 2012 309,359.				
b Excess from 2013 528,674.				
c Excess from 2014 515,453.				
d Excess from 2015 202,538.				
e Excess from 2016 138,210.				

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

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

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

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

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

1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

SEE STATEMENT 11

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

SEE STATEMENT FOR LINE 2A

c Any submission deadlines

SEE STATEMENT FOR LINE 2A

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

SEE STATEMENT FOR LINE 2A

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
SCHEDULE ATTACHED	NOT APPLICABLE	PUBLIC	SCHEDULE ATTACHED	2,201,828.
Total			► 3a	2,201,828.
b Approved for future payment				
SEE STATEMENT 12				
Total			► 3b	500,000.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions)
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	122.	
4 Dividends and interest from securities			14	977,437.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property			16	69,219.	
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	1,469,173.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue					
a CONSENT PAYMENT			1	145.	
b FMV ADJUSTMENT-SECURITIES			1	772,289.	
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				3,288,385.	
13 **Total.** Add line 12, columns (b), (d), and (e)				13	3,288,385.

(See worksheet in line 13 instructions to verify calculations)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions)
1	NOT APPLICABLE

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

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

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

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

2 a 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
N/A		

Sign Here

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

Signature of officer or trustee: [signature] Date: 8/17/17 Title: EXECUTIVE DIRECTOR

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
RICHARD PIEROTTI	[signature]	8/14/17		P00314987

Firm's name ► KOKJER PIEROTTI MAIOCCO &DUCK Firm's EIN ► 94-1138201

Firm's address ► 333 PINE ST 5TH FLOOR SAN FRANCISCO, CA 94104-3319 Phone no (415) 981-4224

TEEA0503L 12/16/16

STATEMENT 1
FORM 990-PF, PART I, LINE 11
OTHER INCOME

	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
CONSENT PAYMENT	$ 145.	$ 145.	
FMV ADJUSTMENT-SECURITIES	772,289.		
TOTAL	$ 772,434.	$ 145.	$ 0.

STATEMENT 2
FORM 990-PF, PART I, LINE 16B
ACCOUNTING FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
KOKJER, PIEROTTI, MAIOCCO & DUCK LLP	$ 36,887.	$ 18,444.		$ 18,444.
TOTAL	$ 36,887.	$ 18,444.	$ 0.	$ 18,444.

STATEMENT 3
FORM 990-PF, PART I, LINE 16C
OTHER PROFESSIONAL FEES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
REIK-INVESTMENT MANAGEMENT FEES	$ 120,862.	$ 120,862.		
UBS - INVESTMENT MANAGEMENT	333,667.	333,667.		
TOTAL	$ 454,529.	$ 454,529.	$ 0.	$ 0.

STATEMENT 4
FORM 990-PF, PART I, LINE 18
TAXES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
2016 EXCISE TAX -INVESTMENT INCOME	$ 53,025.			
ATTORNEY GENERAL	75.			
REAL ESTATE TAXES	41,660.	$ 36,684.		$ 4,976.
REAL ESTATE TAXES-RENTAL ALLOCATION	-34,364.	-34,364.		
TOTAL	$ 60,396.	$ 2,320.	$ 0.	$ 4,976.

STATEMENT 5
FORM 990-PF, PART I, LINE 23
OTHER EXPENSES

	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ALARM EXPENSES	$ 3,679.	$ 449.		$ 3,230.
COMPUTER & SOFTWARE SUPPORT EXPENSE	13,471.	2,923.		10,548.
DUES & SUBSCRIPTIONS	2,260.			2,260.
HOUSE SUPPLIES	54.			54.
INSURANCE	28,022.	13,873.		14,011.
INSURANCE REIMBURSEMENTS & OTHER	-2,350.			-2,350.
INSURANCE-RENTAL ALLOCATION	-6,664.	-6,664.		
OFFICE EXPENSES	2,005.	234.		1,771.
OFFICE SUPPLIES	5,572.	1,422.		4,124.
RENTAL EXPENSES	41,028.	41,028.		
REPAIRS & MAINTENANCE	96,313.	3,124.		87,416.
SALINAS VALLEY MEMORIAL HOSP.-FLOWERS	2,728.			2,564.
STATE COMPENSATION INSURANCE	1,984.	364.		
UTILITIES-HOUSE	12,299.			11,340.
TOTAL	$ 200,401.	$ 56,753.	$ 0.	$ 134,968.

STATEMENT 6
FORM 990-PF, PART II, LINE 14
LAND, BUILDINGS, AND EQUIPMENT

CATEGORY	BASIS	ACCUM. DEPREC.	BOOK VALUE	FAIR MARKET VALUE
FURNITURE AND FIXTURES	$ 298,973.	$ 283,116.	$ 15,857.	$ 15,858.
IMPROVEMENTS	6,474,354.	2,342,236.	4,132,118.	4,132,118.
LAND	1,390,997.		1,390,997.	7,760,000.
TOTAL	$ 8,164,324.	$ 2,625,352.	$ 5,538,972.	$ 11,907,976.

STATEMENT 7
FORM 990-PF, PART II, LINE 15
OTHER ASSETS

	BOOK VALUE	FAIR MARKET VALUE
EXCISE TAX OVERPAYMENT	$ 6,867.	$ 6,867.
TOTAL	$ 6,867.	$ 6,867.

STATEMENT 8
FORM 990-PF, PART II, LINE 22
OTHER LIABILITIES

RANCH 4 SALES DEPOSIT	$ 750,000.
DEFERRED EXCISE TAX	312,563.

STATEMENT 8 (CONTINUED)
FORM 990-PF, PART II, LINE 22
OTHER LIABILITIES

TOTAL $ 1,062,563.

STATEMENT 9
FORM 990-PF, PART VIII, LINE 1
LIST OF OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED	COMPEN-SATION	CONTRI-BUTION TO EBP & DC	EXPENSE ACCOUNT/ OTHER
LINDA TAYLOR 150 MAIN STREET, SUITE 400 SALINAS, CA 93901	PRESIDENT 0	$ 0.	$ 0.	$ 0.
LYDIA M. TORRES 310 THIRD STREET SOLEDAD, CA 93960	NON-VOTING/NBM 40.00	66,053.	9,162.	0.
CHRIS DALMAN 15961 TORO HILLS AVE. SALINAS, CA 93908	SECRETARY 0	0.	0.	0.
C. BILL ELLIOT 26001 BUCKS RUN SALINAS, CA 93908	VICE PRES/TREAS 0	0.	0.	0.
JOSEPH C. GRAINGER 19667 WOODCREST DRIVE SALINAS, CA 93908	EXEC. DIRECTOR 40.00	165,712.	37,922.	0.
MIKE ANTLE P.O. BOX 4070 SALINAS, CA 93912	DIRECTOR 0	0.	0.	0.
	TOTAL	$ 231,765.	$ 47,084.	$ 0.

STATEMENT 10
FORM 990-PF, PART IX-A, LINE 1
SUMMARY OF DIRECT CHARITABLE ACTIVITIES

DIRECT CHARITABLE ACTIVITIES	EXPENSES
THE HARDEN FOUNDATION IS NOT INVOLVED IN THE DIRECT ACTIVE CONDUCT OF CHARITABLE ACTIVITIES. THE FOUNDATION PROVIDES SUPPORT TO 501(C)(3) ORGANIZATIONS WITH A DEMONSTRATED ABILITY TO PROVIDE MEANINGFUL AND MEASURABLE ONGOING BENEFITS TO THE PEOPLE OF MONTEREY COUNTY, CALIFORNIA. AFTER GRANTING SUPPORT, HARDEN FOUNDATION DOES NOT MAINTAIN SIGNIFICANT INVOLVEMENT WITH THE GRANTEE ORGANIZATION.	

STATEMENT 11
FORM 990-PF, PART XV, LINE 2A-D
APPLICATION SUBMISSION INFORMATION

NAME OF GRANT PROGRAM:	
NAME:	JOSEPH GRAINGER
CARE OF:	HARDEN FOUNDATION
STREET ADDRESS:	P.O. BOX 779
CITY, STATE, ZIP CODE:	SALINAS, CA 93902
TELEPHONE:	(831) 442-3005
E-MAIL ADDRESS:	JOE@HARDENFOUNDATION.ORG
FORM AND CONTENT:	SEE ATTACHED "GUIDELINES FOR GRANT APPLICANTS"
SUBMISSION DEADLINES:	SEE ATTACHED "GUIDELINES FOR GRANT APPLICANTS"
RESTRICTIONS ON AWARDS:	SEE ATTACHED "GUIDELINES FOR GRANT APPLICANTS"

STATEMENT 12
FORM 990-PF, PART XV, LINE 3B
RECIPIENT APPROVED FOR FUTURE PAYMENT

NAME AND ADDRESS	DONEE RELATIONSHIP	FOUND-ATION STATUS	PURPOSE OF GRANT	AMOUNT
RANCHO CIELO 710 OLD STAGE ROAD SALINAS CA 93908	N/A	PUBLIC	CAPITAL SUPPORT FOR THE TED TAYLOR VOCATIONAL CENTER AT THE RANCHO CIELO YOUTH CAMPUS.	$ 300,000.
FOOD BANK FOR MONTEREY COUNTY 815 W MARKET ST. #5 SALINAS CA 93901	N/A	PUBLIC	FUNDING FOR CAPITAL CAMPAIGN FOR THE CONSTRUCTION OF A NEW FOOD BANK FACILITY IN SALINAS, CALIFORNIA.	200,000.
			TOTAL	$ 500,000.

HARDEN FOUNDATION 94-6098887								
P O BOX 779								
SALINAS, CA 93902								
2016 FORM 990-PF RETURN OF PRIVATE FOUNDATION								
PART I, LINE 19 AND PART II, LINE 14 DEPRECIATION, DEPLETION AND ACCUMULATED DEPRECIATION								
FOR THE YEAR END 12/31/2016								
	DATE		PRIOR			DEPRECIATION	CHARITABLE	CHARITABLE
	ACQUIRED	BASIS	DEPRECIATION	METHOD	LIFE	EXPENSE	%	AMOUNT
LEATHER SOFA	08/02/90	4,800	4,800					
COCKTAIL TABLE	10/11/90	427	427					
GRANDFATHER CLOCK	10/11/90	2 335	2,335					
2 CHAIRS	10/16/90	1,129	1,129					
BUKHARA RUG	11/28/90	448	448					
CREDENZA	05/01/85	789	789					
TYPEWRITER STAND	05/01/85	200	200					
AT & T PHONE SYSTEM	10/07/86	1,533	1,533					
PHONE JACKS AND LINES	12/17/86	400	400					
SECURITY SYSTEM	12/11/86	1,329	1,329					
3 MONROE CALCULATORS	04/30/86	150	150					
2 IBM TYPEWRITERS - USED	04/30/86	300	300					
TABLE - USED	04/30/86	300	300					
2 RADIOS	04/30/86	60	60					
4 CONFERENCE ROOM CHAIRS	04/30/86	600	600					
ROUND WOODEN CHAIRS	04/30/86	100	100					
2 EXECUTIVE DESK CHAIRS	04/30/86	200	200					
SECRETARIAL CHAIR	04/30/86	100	100					
2 LATERAL FILE CABINETS	04/30/86	125	125					
CHECK PROTECTOR	04/30/86	25	25					
TYPEWRITER STAND	04/30/86	50	50					
TABLE	04/30/86	30	30					
LAMP AND CHAIR	04/30/86	100	100					
REFRIGERATOR - OFFICE	01/20/87	439	439					
AT & T - 2 PHONES	05/01/90	571	571					
PAINTINGS - BATHROOMS	04/01/91	571	571					
FAX MACHINE	04/01/91	2 077	2,077					
SAFE	12/01/92	1,236	1,236					
RICOH COPIER	08/25/93	3,818	3,818					
OFFICE LIGHTING	06/01/93	1,491	1,491					
OFFICE FURNITURE - JOE AND LYDIA	06/01/95	12 564	12,564					
OFFICE FURNITURE - JOE SETTEE	06/01/95	2,064	2,064					
OFFICE FURNITURE - GRAINGER GROWERS	09/01/95	1,170	1,170					
PICTURES - JOE'S OFFICE	08/01/95	565	565					
TELEPHONE SYSTEM	06/01/96	7,014	7,014					
BOOKCASE-JOE'S OFFICE	06/01/97	1,672	1,672					
CELLULAR TELEPHONE-JOE	02/01/99	154	154					
MONROE CALCULATORS	03/12/99	308	308					
OFFICE FURNITURE & EQUIPMENT	12/08/00	500	500					
OFFICE FURNITURE	01/18/01	4,542	4,542					
OFFICE FURNITURE	09/01/01	9 560	9,560					
OFFICE FURNITURE	03/04/02	193	193					
OFFICE FURNITURE	11/25/02	86	86					
TV	09/21/04	461	461					
TYPEWRITER	11/05/04	105	105					
OFFICE FURNITURE	11/04/05	433	433					
OFFICE FURNITURE	02/08/06	5 117	5 117					
OFFICE EQUIPMENT	07/20/06	705	705					
HARDEN HOME FURNISHINGS	VARIOUS	36,851	36,851					
OFFICE FURNITURE & EQUIPMENT	11/13/2007	3,712	3,712					
OFFICE FURNITURE & EQUIPMENT	02/29/08	197	197					
HARDEN HOME FURNISHINGS	05/04/07	1,077	1,077					
OFFICE FURNITURE & EQUIPMENT	06/03/08	1,603	1,603					
OFFICE FURNITURE & EQUIPMENT	08/11/08	14,220	14,220					
OFFICE FURNITURE & EQUIPMENT	09/19/08	958	958					
OFFICE FURNITURE & EQUIPMENT	10/31/08	269	269					
OFFICE FURNITURE & EQUIPMENT	11/24/08	269	269					
OFFICE FURNITURE & EQUIPMENT-GABILAN	05/13/09	528	528					
OFFICE FURNITURE & EQUIPMENT-PALACE	08/26/09	2,456	2 222	SL MACRS	7	234	75%	175
OFFICE FURNITURE & EQUIPMENT-VECTOR	09/21/09	1,359	1,214	SL MACRS	7	146	75%	109
OFFICE FURNITURE & EQUIPMENT-PALACE	12/16/09	2,493	2,136	SL MACRS	7	356	75%	267
HOUSE EQUIPMENT	02/23/09	468	457	SL MACRS	7	11	75%	8
OFFICE FURNITURE & EQUIPMENT	01/21/10	1,101	931	SL MACRS	7	157	75%	118
OFFICE FURNITURE & EQUIPMENT	03/19/10	1,053	865	SL MACRS	7	150	75%	113
OFFICE FURNITURE & EQUIPMENT	04/22/10	1,476	1,195	SL MACRS	7	211	75%	158
OFFICE FURNITURE & EQUIPMENT	05/20/10	201	201					
WATER HEATER	07/18/11	1,250	789	SL MACRS	7	179	75%	134
SECURITY CAMERAS	02/10/14	10,000	3,750	SL MACRS	5	2,000	75%	1,500
SECURITY CAMERAS	02/10/14	5,154	1,933	SL MACRS	5	1,031	75%	773
SECURITY CAMERAS	03/05/14	2,821	1,011	SL MACRS	5	564	75%	423
SECURITY CAMERAS	08/11/14	1,560	429	SL MACRS	5	312	75%	234
		$ 164,024	149,763			5,351		$ 4,013

HARDEN FOUNDATION 94-6098887								
P O BOX 779								
SALINAS CA 93902								
2016 FORM 990-PF RETURN OF PRIVATE FOUNDATION								
PART I, LINE 19 AND PART II, LINE 14 DEPRECIATION, DEPLETION AND ACCUMULATED DEPRECIATION								
FOR THE YEAR END 12/31/2016								
	DATE		PRIOR			DEPRECIATION	CHARITABLE	CHARITABLE
	ACQUIRED	BASIS	DEPRECIATION	METHOD	LIFE	EXPENSE	%	AMOUNT
COMPUTER TABLE	05/29/96	636	636					
HP LASERJET III	08/01/91	1,692	1,692					
GRANT MANAGER - SOFTWARE	09/01/91	3,017	3,017					
386 - 25 MHZ COMPUTER SYSTEM	09/01/91	2,782	2,782					
COMPUTER SOFTWARE (UTILITY, WP)	09/01/91	642	642					
GRANT MANAGER - SOFTWARE	08/18/93	450	450					
486DX2 - 66MHZ COMPUTER SYSTEM	11/03/93	3 197	3,197					
HP LASERJET 4 PRINTER	11/09/93	1 458	1,458					
SOFTWARE	11/09/93	1 049	1,049					
MOUSE	02/16/94	43	43					
KEYBOARD	06/01/94	55	55					
SOFTWARE	11/01/94	75	75					
WORDPERFECT UPGRADE	03/17/95	198	198					
PENTIUM PC 90 INCLUDING INSTALLATI(	06/01/95	3 053	3,053					
NETWORK CABLE AND WIRING	09/01/95	973	973					
NETWORK CARDS AND CONNECTIONS	10/01/95	394	394					
RIVERSIDE GRANTS SOFTWARE	11/07/95	5,032	5,032					
DOS UPGRADE AND NOVELL SOFTWAR	03/01/96	1 199	1,199					
NETWORK SERVER HARDWARE	03/01/96	8 269	8 269					
WORKSTATION UPGRADES	03/01/96	880	880					
LAPTOP - JOE	10/01/96	4,284	4 284					
KENRICK SOFTWARE	01/01/96	5,805	5 805					
COMPUTER-FRANK	04/01/97	2,172	2,172					
COMPUTER EQUIPMENT	10/01/97	1,282	1,282					
LYDIA COMPUTER UPGRADE	03/01/98	1,176	1,176					
PRINTER-JOE	02/01/99	295	295					
GIFT SOFTWARE FOR WINDOWS	03/16/99	3,840	3,840					
WINDOWS NT FILE SERVER	09/20/99	5,158	5,158					
COMPUTER EQUIPMENT	11/24/99	508	508					
MODEM & NETWORK CARD	12/07/99	130	130					
COMPUTER EQUIPMENT	02/07/00	483	483					
COMPUTER EQUIPMENT	03/14/00	2 077	2 077					
COMPUTER EQUIPMENT	04/26/00	3,876	3,876					
COMPUTER EQUIPMENT	05/01/00	596	596					
COMPUTER EQUIPMENT	11/16/00	4 010	4,010					
COMPUTER	03/31/01	3,165	3 165					
COMPUTER EQUIPMENT & SOFTWARE	02/21/02	4 215	4 215					
AB COMPUTER	04/12/02	654	654					
COMPUTER EQUIPMENT & SOFTWARE	04/22/02	1,716	1 716					
AB COMPUTER	06/12/02	546	546					
LONG HOUSE COMMUNICATION	07/11/02	1,600	1 600					
AB COMPUTER	07/23/02	281	281					
AB COMPUTER	10/17/03	961	961					
SERVER	09/27/04	8,065	8 065					
SERVER	11/04/04	924	924					
SOFTWARE	11/18/04	2,534	2,534					
WIRING	11/18/04	336	336					
WIRING NETWORK	02/18/05	1,675	1 675					
COMPUTER & SOFTWARE	01/06/06	643	643					
COMPUTER & SOFTWARE	02/01/06	688	688					
COMPUTER & SOFTWARE	02/08/06	871	871					
COMPUTER & SOFTWARE	02/13/06	688	688					
COMPUTER & SOFTWARE	03/17/06	2,251	2,251					
COMPUTER & SOFTWARE	07/19/06	601	601					
COMPUTER & SOFTWARE	09/05/06	925	925					
COMPUTER & SOFTWARE	08/13/07	3,934	3,934					
COMPUTER & SOFTWARE	12/03/08	3,467	3,467					
COMPUTER & SOFTWARE	12/15/08	2,915	2 915					
COMPUTER & SOFTWARE	03/10/09	236	236					
COMPUTER & SOFTWARE	04/20/09	423	423					
COMPUTER & SOFTWARE	06/08/09	1,115	1 115					
COMPUTER & SOFTWARE	09/16/09	912	912					
COMPUTER & SOFTWARE	01/13/10	721	721					
COMPUTER & SOFTWARE	05/19/11	1 218	1,116	SL MACRS	5	102	75 00%	76
COMPUTER & SOFTWARE	12/29/11	1 201	961	SL MACRS	5	240	75 00%	180
COMPUTER & SOFTWARE	11/29/12	850	531	SL MACRS	5	170	75 00%	128
COMPUTER & SOFTWARE	02/12/13	1,908	1,097	SL MACRS	5	382	75 00%	286
COMPUTER & SOFTWARE	06/04/13	1,903	967	SL MACRS	5	381	75 00%	285
COMPUTER & SOFTWARE	11/12/13	1,698	722	SL MACRS	5	340	75 00%	255
COMPUTER & SOFTWARE	02/24/14	130	49	SL MACRS	5	26	75 00%	19
COMPUTER & SOFTWARE	12/17/14	5,683	1,184	SL MACRS	5	1,137	75 00%	852
COMPUTER & SOFTWARE	02/02/15	680	119	SL MACRS	5	136	75 00%	102
COMPUTER & SOFTWARE	02/18/15	971	170	SL MACRS	5	194	75 00%	146
COMPUTER & SOFTWARE	03/24/16	866	-	SL MACRS	5	137	75 00%	103
		$ 134 949	124 757			3,244		2 433

HARDEN FOUNDATION 94-6098887								
P O BOX 779								
SALINAS, CA 93902								
2016 FORM 990-PF RETURN OF PRIVATE FOUNDATION								
PART I, LINE 19 AND PART II, LINE 14-DEPRECIATION, DEPLETION AND ACCUMULATED DEPRECIATION								
FOR THE YEAR END 12/31/2016								
	DATE				PRIOR	CURRENT	CHARITABLE	CHARITABLE
	ACQUIRED	LIFE	METHOD	BASIS	DEPRECIATION	PROVISION	%	AMOUNT
RANCH4 DEPRECIABLE ITEMS-								
1/2 SHOP & STORAGE	12/27/85			1,479	1,479			
1/2 SHOP & STORAGE	12/30/87			1,479	1,479			
1/2 EQUIPMENT SHED	12/27/85			5,200	5,200			
1/2 EQUIPMENT SHED	12/30/87			5,200	5,200			
1/2 2 WELLS WITH 30HP MOTORS	12/27/85			24,350	24,350			
1/2 2 WELLS WITH 30HP MOTORS	12/30/87			24,350	24,350			
HARDEN FOUNDATION OFFICE	06/01/90	31 5	SL	386,673	313,537	12,275	66 67%	8,184
UNDERGROUND ELECTRICAL	05/01/93	31 5	SL	29,219	21,025	928	75 00%	696
CARPET CARETAKERS APARTMENT	03/01/93			1,679	1,679			
POOL FILTER	10/01/93			1,043	1,043			
HARDEN HOME	VARIOUS			238,358	238,358			
RETROFITTING-HARDEN HOME	05/09/95	39	SL	12,924	6,849	331	100 00%	331
GARAGE DOORS-HARDEN HOME & OFFICE	09/15/95	39	SL	3,175	1,655	81	83 33%	68
SEWER AND WATER LINES-OFFICE	09/01/95	39	SL	10,046	5,237	258	83 33%	215
SEWER AND WATER LINES-HOUSE	09/01/95	39	SL	10,046	5,237	258	100 00%	258
BLOCK WALL	02/01/96	39	SL	87,806	44,841	2,251	83 33%	1,876
ENTRANCE GATE AND DRIVEWAY	02/01/96	39	SL	113,586	58 007	2,912	83 33%	2,427
LANDSCAPING	02/29/96			52,219	52,219			
LANDSCAPING-ENTRY	03/01/97			7,887	7,887			
BARN PROJECT	03/01/97	39	SL	21,000	10,679	538	83 33%	449
SERVICE GATE	05/01/96	39	SL	17,706	8,929	454	100 00%	454
LANDSCAPING FOUNDATION GROUNDS	10/01/96			35,746	35,746			
WINDOWS-MILL	09/01/97	39	SL	5,321	2,501	136	100 00%	136
ROOF-MILL	10/01/97	39	SL	12,003	5,617	308	100 00%	308
REMODELING-HARDEN HOME-39 YR	01/01/98	39	SL	22,219	10,255	570	100 00%	570
REMODELING-HARDEN HOME-7 YR	01/01/98			77,567	77,567			
REMODELING-HARDEN HOME-7 YR	09/01/98			15,557	15,557			
REMODELING-HARDEN HOME-7 YR	03/08/99			2,388	2,388			
FURNITURE & ACCESSORIES-HARDEN HOME-7YR	02/01/00			7,945	7,945			
PATIO IMPROVEMENTS	12/01/99	39	SL	235,347	97,056	6 035	100 00%	6,035
PATIO & LIGHTING IMPROVEMENTS	9/1/2000	39	SL	34,393	13,596	882	100 00%	882
FURNITURE & ACCESSORIES-HARDEN HOME-7YR	8/1/2000			11,922	11,922			
HOUSE LIGHTING	12/1/2000			2,806	2,806			
LANDSCAPING	8/17/2001	39	SL	9,024	3,317	231	100 00%	231
PAVING & PATIO IMPROVEMENTS	2/1/2002	39	SL	51,961	18,542	1,332	100 00%	1,332
HOME IMPROVEMENTS	9/1/2001	39	SL	8,751	3,216	224	100 00%	224
ROLL-UP BARN DOORS IMPROVEMENT	3/18/2003	39	SL	9,871	3,227	253	100 00%	253
AWNING	6/24/2004			533	533			
PATIO FURNITURE	3/8/2004			491	491			
IMPROVEMENTS-HARDEN HOME	8/10/2005	39	SL	4,972	1,339	127	100 00%	127
IMPROVEMENTS-HARDEN HOME	2/1/2006	39	SL	6,020	1,531	154	100 00%	154
REAL PROPERTY IMPROVEMENTS	8/28/2006	39	SL	3,871	926	99	100 00%	99
ROOFING	8/16/2007	39	SL	38,096	8,140	977	100 00%	977
IMPROVEMENTS	9/14/2007	39	SL	24,890	5,318	638	100 00%	638
WINDMILL	7/1/2007	39	SL	1,980,806	431,714	50,790	100 00%	50,790
WINDMILL IMPROVEMENTS	10/1/2007	39	SL	19,048	4,029	488	100 00%	488
WINDMILL IMPROVEMENTS	10/24/2007	39	SL	16,000	3,350	410	100 00%	410
WINDMILL IMPROVEMENTS	2/1/2008	39	SL	2,085	423	53	100 00%	53
WINDMILL IMPROVEMENTS	2/25/2008	39	SL	2,048	411	53	100 00%	53
YARD EQUIPMENT	8/7/2008			517	517			
REAL PROPERTY IMPROVEMENTS	9/17/2008	39	SL	2,699	502	69	100 00%	69
APEX SIGNS & GRAPHICS	11/17/2008			595	595			
IMPROVEMENTS-DILBECK & SONS	11/24/2008	39	SL	76,171	13,834	1,953	100 00%	1,953
IMPROVEMENTS-CARETAKERS	11/24/2008	39	SL	7,703	1,399	198	100 00%	198
WINDMILL IMPROVEMENTS	6/1/2008	39	SL	12,141	2,361	311	100 00%	311
OFFICE IMPROVEMENTS	11/24/2008	39	SL	18,391	3,340	472	100 00%	472
OFFICE IMPROVEMENTS	12/29/2008	39	SL	1,955	351	50	100 00%	50
RESOURCE CENTER & PARKING LOT	12/1/2008	39	SL	2,208,722	401,157	56,634	100 00%	56,634
SERVICE GATE	12/1/2008			20,987	20,987			
LANDSCAPING	11/1/2008	15	SL	129,971	62,097	8,665	100 00%	8,665
IMPROVEMENTS	3/10/2009	39	SL	55,251	9,681	1,417	100 00%	1,417
FIRST ALARM	3/30/2009	7	SL	3,750	3,616	134	100 00%	134
IMPROVEMENTS	6/22/2009	39	SL	79,709	13,285	2,044	100 00%	2,044
IMPROVEMENTS	9/30/2009	39	SL	44,628	7,152	1,144	100 00%	1,144
APEX SIGNS & GRAPHICS	10/1/2009	7	SL	604	539	65	100 00%	65
PARKING IMPROVEMENTS	1/22/2009	15	SL	1,182	545	79	100 00%	79
PARKING IMPROVEMENTS	4/20/2009	15	SL	398	177	27	100 00%	27

HARDEN FOUNDATION 94-6098887								
P O BOX 779								
SALINAS, CA 93902								
2016 FORM 990-PF RETURN OF PRIVATE FOUNDATION								
PART I, LINE 19 AND PART II, LINE 14-DEPRECIATION, DEPLETION AND ACCUMULATED DEPRECIATION								
FOR THE YEAR END 12/31/2016								
	DATE				PRIOR	CURRENT	CHARITABLE	CHARITABLE
	ACQUIRED	LIFE	METHOD	BASIS	DEPRECIATION	PROVISION	%	AMOUNT
PARKING IMPROVEMENTS	5/26/2009	15	SL	448	196	30	100 00%	30
PARKING IMPROVEMENTS - A&b fire	6/1/2009	15	SL	150	66	10	100 00%	10
PARKING IMPROVEMENTS - BFI	6/8/2009	15	SL	119	52	8	100 00%	8
OFFICE IMPROVEMENTS - QUARTZ INTERN	2/11/2009	39	SL	1,955	347	50	100 00%	50
OFFICE IMPROVEMENTS - WHEELERS FLOORING	2/23/2009	39	SL	4,880	855	125	100 00%	125
OFFICE IMPROVEMENTS - WHEELERS FLOORING	5/13/2009	39	SL	8,100	1,385	208	100 00%	208
PARKING IMPROVEMENTS	2/18/2010	15	SL	871	339	58	100 00%	58
OFFICE IMPROVEMENTS-transparent glass coat	2/17/2010	39	SL	5,270	788	135	100 00%	135
LAND & IMPRV-Gate & Fence	2/18/2010	15	SL	14,000	5,444	933	100 00%	933
LANDSCAPING - WALKWAY	8/23/2010	15	SL	4,523	1,608	302	100 00%	302
Land & Improvements_Real Property_Roy Alsop Pump	6/13/2011	15	SL	14,265	4,359	951	100 00%	951
Improvements-Bunkhouse Room & Parking Area	2/22/2011	7	SL	3,717	2,567	531	100 00%	531
Improvements-Bunkhouse Room & Parking Area	4/20/2011	7	SL	5,387	3,591	770	100 00%	770
Improvements-Bunkhouse Room & Parking Area	5/19/2011	7	SL	939	615	134	100 00%	134
Improvements-Bunkhouse Room & Parking Area	9/19/2011	7	SL	727	442	104	100 00%	104
Improvements-Bunkhouse Room & Parking Area	2/7/2011	7	SL	1,911	1,115	273	100 00%	273
Improvements - Real Prop	2/21/2012	7	SL	555	307	79	100 00%	79
Improvements - Real Prop	3/12/2012	7	SL	555	301	79	100 00%	79
LAND & IMPRV-Gate & Fence	8/14/2013	15	SL	7,634	1,209	509	100 00%	509
Improvements - Phone System Bunkhouse	10/8/2013	7	SL	741	234	106	100 00%	106
Improvements - Water Heater	11/4/2013	39	SL	1,259	69	32	100 00%	32
SIGNS	4/21/2014	7	SL	648	158	93	100 00%	93
WINDMILL IMPROVEMENTS	12/15/2014	39	SL	23,461	627	602	100 00%	602
IMPROVEMENTS - PATIO FURNITURE	10/20/2015	7	SL	4,037	120	577	100 00%	577
IMPROVEMENTS - PATIO FURNITURE	3/21/2016	7	SL	4,714		533	100 00%	533
IMPROVEMENTS - PATIO FURNITURE	6/14/2016	7	SL	698		54	100 00%	54
IMPROVEMENTS - PATIO FURNITURE	10/14/2016	7	SL	310		9	100 00%	9
GRAND TOTAL DEPRECIATION								
DEPRECIATION PER FORM 990-PF				6,474,354	2,177,632	164,604		159,274
LAND				1,390,997				
FURNITURE AND EQUIPMENT				298,973	274,520	8,595		6,446
PART II, LINE 14				$ 8,164,324	$ 2,452,153	$ 173,199		$ 165,720

HARDEN FOUNDATION
FEIN 94-6098887
2016 FORM 990-PF
FOR THE YEAR ENDED 12/31/16
PART II

	See Attachment for UBS Account	Cost	FMV	Unrealized Gain (Loss)	Attachment Page
Line 10a Investments - U S and state government					
	ML 09282 EF	-	-	-	
	ML 09273 EF	16,005	16,006	1	17
		16,005	16,006	1	
Line 10b Investments - corporate stock					
	ML 09274 EF	4,921,884	16,737,771	11,815,887	21
	ML 09282 EF	-	1,215	1,215	22
	ML 09279 EF	8,002,285	10,184,331	2,182,047	36
	ML 09275 EF	4,217,792	3,501,585	(716,207)	51
	ML 09278 EF	11,312,909	13,650,310	2,337,401	59
		28,454,870	44,075,213	15,620,343	
Line 10c Investments - corporate bonds					
	ML 09273 EF	2,111,773	2,119,598	7,826	17

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC Money market sweep balances are protected by SIPC but are not insured by the FDIC See the *Important information about your statement* at the end of this document for details about those balances

Holding	Opening balance on Dec 1 ($)	Closing balance on Dec 30 ($)	Price per share on Dec 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
UBS BANK USA BUS ACCT	109,040 93	62,598 84					250,000 00

Fixed income

Corporate bonds and notes

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected Cost basis has been adjusted for accreted original issue discount (OID) Cost basis has been automatically adjusted for amortization of bond premium using the constant yield method If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request UBS adjust cost basis for the bond premium amortization

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
ARROW ELECTRONICS INC CALL@MW+35BP RATE 03 000% MATURES 03/01/18 ACCRUED INTEREST $19 83 CUSIP 042735BB5 Moody Baa3 S&P BBB- EAI $60 Current yield 2 97% Original cost basis $2,029 16	Nov 08, 16	2,000 000	101 299	2,025 98	101 139	2,022 78	-3 20	ST

continued next page

Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
DISH DBS CORP NTS B/E CALL@MW+50BP RATE 07 875% MATURES 09/01/19 ACCRUED INTEREST $1,015 21 CUSIP 25470XAB1 Moody Ba3 S&P B+ EAI $3,071 Current yield 7 09%								
Original cost basis $42,802 50	Oct 27, 15	39,000 000	106 960	41,714 55	111 000	43,290 00	1,575 45	LT
WILLIS NA INC NTS B/E CALL@MW+50BP RATE 07 000% MATURES 09/29/19 ACCRUED INTEREST $1,143 33 CUSIP 970648AE1 Moody Baa3 S&P BBB EAI $3,920 Current yield 6 29%								
Original cost basis $64,442 00	May 12, 15	56,000 000	109 698	61,431 35	111 259	62,305 04	873 69	LT
CDK GLOB INC NTS B/E RATE 03 800% MATURES 10/15/19 ACCRUED INTEREST $245 41 CUSIP 12508EAB7 Moody Ba1 S&P BB+								
EAI $1,178 Current yield 3 77%	Jun 21, 16	25,000 000	100 000	25,000 00	100 750	25,187 50	187.50	ST
Original cost basis $6,030 00	Jul 20, 16	6,000 000	100 461	6,027 68	100 750	6,045 00	17 32	ST
Security total		31,000 000		31,027 68		31,232 50	204 82	
RPM INTL INC (DELA) B/E CALL@MW+45BP RATE 06.125% MATURES 10/15/19 ACCRUED INTEREST $89 32 CUSIP 749685AR4 Moody Baa3 S&P BBB EAI $429 Current yield 5 58%								
Original cost basis $7,941 71	May 14, 15	7,000 000	108 690	7,608 30	109.817	7,687 19	78 89	LT

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Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
HCA INC NTS B/E								
0BP								
RATE 06 500% MATURES 02/15/20								
ACCRUED INTEREST $1,389 37								
CUSIP 404121AC9								
Moody Ba1 S&P BBB-								
EAI $3,705 Current yield 5 94%								
Original cost basis $43,728 75	Jul 14, 15	39,000 000	108 472	42,304 24	109 400	42,666 00	361.76	LT
Original cost basis $20,047 50	Sep 03, 15	18,000 000	108 177	19,471 91	109.400	19,692 00	220.09	LT
Security total		57,000 000		61,776 15		62,358 00	581 85	
MASCO CORP B/E								
M\W +50BP								
RATE 07 125% MATURES 03/15/20								
ACCRUED INTEREST $1,205 31								
CUSIP 574599BG0								
Moody Ba2 S&P BBB								
EAI $4,133 Current yield 6 33%								
Original cost basis $68,425 50	May 12, 15	58,000 000	112 202	65,077 41	112 500	65,250 00	172 59	LT
VALMONT INDUSTRIES INC								
+45BP								
RATE 06 625% MATURES 04/20/20								
ACCRUED INTEREST $760 03								
CUSIP 920253AD3								
Moody Baa3 S&P BBB+								
EAI $3,909 Current yield 5 98%								
Original cost basis $57,975 00	May 12, 15	50,000 000	110 938	55,469 29	110 746	55,373 00	-96 29	LT
Original cost basis $10,097 10	Apr 22, 16	9,000 000	110 198	9,917 83	110 746	9,967 14	49.31	ST
Security total		59,000 000		65,387 12		65,340 14	-46 98	

continued next page

Your assets › Fixed income › Corporate bonds and notes (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
DUN & BRADSTREET CORP CALL@MW+37 5BP RATE 04 000% MATURES 06/15/20 CALLABLE ACCRUED INTEREST $68 33 CUSIP 26483EAH3 S&P BBB- EAI $1,640 Current yield 3 90% Original cost basis $41,101 27	Jun 24, 15	41,000 000	100 176	41,072 44	102 638	42,081 58	1,009.14	LT
INTL GAME TECHNOLOGY B/E RATE 05 500% MATURES 06/15/20 ACCRUED INTEREST $18 33 CUSIP 459902AS1 Moody Ba2 S&P BB+ EAI $440 Current yield 5 31%	Sep 29, 15	8,000 000	98 425	7,874 00	103 500	8,280 00	406 00	LT
JUNIPER NETWORKS INC NTS CALL@MW+30BP RATE 03 300% MATURES 06/15/20 CALLABLE ACCRUED INTEREST $61 87 CUSIP 48203RAH7 Moody Baa2 S&P BBB EAI $1,485 Current yield 3 23% Original cost basis $45,875 25	May 12, 16	45,000 000	101 657	45,746 04	102 136	45,961 20	215 16	ST
L-3 COMMS CORP NTS B/E RATE 04 750% MATURES 07/15/20 ACCRUED INTEREST $1,328 01 CUSIP 502413AZ0 Moody Baa3 S&P BBB- EAI $2,898 Current yield 4 47% Original cost basis $65,315 75	May 12, 15	61,000 000	104 967	64,029 88	106 308	64,847 88	818.00	LT

continued next page

Your assets › Fixed income › Corporate bonds and notes (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
EXPEDIA INC NTS B/E CALL@MW+50BP RATE 05 950% MATURES 08/15/20 ACCRUED INTEREST $1,294 12 CUSIP 30212PAH8 Moody Ba1 S&P BBB- EAI $3,451 Current yield 5 44%								
Original cost basis $64,771 50	May 12, 15	58,000 000	108 270	62,796 93	109 307	63,398 06	601 13	LT
AMER TOWERS INC NTS B/E RATE 05 050% MATURES 09/01/20 ACCRUED INTEREST $1,001 58 CUSIP 029912BC5 Moody Baa3 S&P BBB- EAI $3,030 Current yield 4 71%								
Original cost basis $65,610 00	May 12, 15	60,000 000	106 629	63,977 69	107 312	64,387 20	409 51	LT
BLOCK FINANCIAL NTS B/E CALL@MW+45BP RATE 04 125% MATURES 10/01/20 CALLABLE ACCRUED INTEREST $673 06 CUSIP 093662AF1 Moody Baa3 S&P BBB								
EAI $2,723 Current yield 4 04%	Sep 25, 15	51,000 000	99 674	50,833 74	102 094	52,067 94	1,234.20	LT
Original cost basis $12,194 52	Nov 03, 15	12,000 000	101 264	12,151.73	102 094	12,251 28	99.55	LT
Original cost basis $3,117 75	Oct 28, 16	3,000 000	103 761	3,112 85	102 094	3,062 82	-50 03	ST
Security total		66,000 000		66,098 32		67,382 04	1,283 72	
FISERV INC CALL@MW+30BP RATE 04 625% MATURES 10/01/20 ACCRUED INTEREST $594 56 CUSIP 337738AJ7 Moody Baa2 S&P BBB EAI $2,405 Current yield 4 33%								
Original cost basis $56,420 00	May 12, 15	52,000 000	106 058	55,150 44	106 804	55,538 08	387 64	LT

continued next page

Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
FIDELITY NATL INFORM B/E CALL@MW+35BP RATE 03 625% MATURES 10/15/20 CALLABLE ACCRUED INTEREST $188 80 CUSIP 31620MAP1 Moody Baa3 S&P BBB EAI $906 Current yield 3 50%	Oct 13, 15	25,000 000	99 869	24,967 25	103 527	25,881 75	914 50	LT
ARROW ELECTRONICS INC 0BPS RATE 05 125% MATURES 03/01/21 ACCRUED INTEREST $880 93 CUSIP 04273WAB7 Moody Baa3 S&P BBB- EAI $2,665 Current yield 4 87% Original cost basis $56,316 00	May 12, 15	52,000 000	106 129	55,187 22	105 319	54,765 88	-421 34	LT
R R DONNELLEY & SONS CO CALL@MW+50BP RATE 07 875% MATURES 03/15/21 ACCRUED INTEREST $1,332 19 CUSIP 74978DAA2 Moody B2 S&P B+ EAI $4,568 Current yield 7 65% Original cost basis $54,155 75	May 12, 15	47,000 000	111 382	52,349 69	103 000	48,410 00	-3,939 69	LT
Original cost basis $11,962 50	Oct 26, 16	11,000 000	108 432	11,927 55	103 000	11,330 00	-597 55	ST
Security total		58,000 000		64,277 24		59,740 00	-4,537 24	
TOTAL SYS SERVICES INC CALL@MW+37 5BP RATE 03 800% MATURES 04/01/21 CALLABLE ACCRUED INTEREST $450 93 CUSIP 891906AD1 Moody Baa3 S&P BBB- EAI $1,824 Current yield 3 68%	Mar 14, 16	27,000 000	99 776	26,939 52	103 215	27,868 05	928 53	ST
Original cost basis $21,336 63	Mar 21, 16	21,000 000	101 373	21,288 38	103 215	21,675 15	386 77	ST
Security total		48,000 000		48,227 90		49,543 20	1,315 30	

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Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
GAP INC CALL@MW T+40BP RATE 05 950% MATURES 04/12/21 ACCRUED INTEREST $825 06 CUSIP 364760AK4 Moody Baa2 S&P BB+ EAI $3,808 Current yield 5 65%								
Original cost basis $65,022 75	May 12, 15	57,000 000	110 455	62,959 61	105 234	59,983 38	-2,976 23	LT
Original cost basis $7,426 86	May 04, 16	7,000 000	105 362	7,375.37	105 234	7,366 38	-8.99	ST
Security total		64,000 000		70,334 98		67,349 76	-2,985 22	
VERISK ANALYTICS INC B/E 0BP RATE 05 800% MATURES 05/01/21 ACCRUED INTEREST $608 35 CUSIP 92345YAA4 Moody Baa3 S&P BBB- EAI $3,712 Current yield 5 21%								
Original cost basis $72,272 00	May 12, 15	64,000 000	109 639	70,169 56	111 270	71,212 80	1,043 24	LT
DISH DBS CORP NTS B/E CALL@MW+50BP RATE 06 750% MATURES 06/01/21 ACCRUED INTEREST $38 06 CUSIP 25470XAE5 Moody Ba3 S&P B+ EAI $473 Current yield 6 22%								
Original cost basis $7,630 00	Oct 27, 16	7,000 000	108 687	7,608 12	108.500	7,595 00	-13 12	ST
CENTURYLINK INC NTS B/E CALL@MW +50BP RATE 06 450% MATURES 06/15/21 ACCRUED INTEREST $134 37 CUSIP 156700AR7 Moody Ba3 S&P BB EAI $3,225 Current yield 6 13%								
Original cost basis $53,412 50	May 12, 15	50,000 000	105 195	52,597 64	105 250	52,625 00	27 36	LT

continued next page

Your assets › Fixed income › Corporate bonds and notes (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
TRINITY ACQUISITION PLC								
CALL@MW+35BP								
RATE 03 500% MATURES 09/15/21								
CALLABLE								
ACCRUED INTEREST $61 24								
CUSIP 89641UAD3								
Moody Baa3 S&P BBB								
EAI $210 Current yield 3 47%								
Original cost basis $6,266 22	Sep 29, 16	6,000 000	104 223	6,253 41	100 976	6,058 56	-194 85	ST
STEEL DYNAMICS INC NTS								
CALL@MW+50BP								
RATE 05 125% MATURES 10/01/21								
CALLABLE								
ACCRUED INTEREST $684 18								
CUSIP 858119BC3								
Moody Ba2 S&P BB+								
EAI $2,768 Current yield 4 91%								
Original cost basis $45,320 00	Jun 09, 16	44,000 000	102 816	45,239 21	104 294	45,889 36	650 15	ST
Original cost basis $10,425 00	Sep 09, 16	10,000 000	104 014	10,401 44	104 294	10,429 40	27.96	ST
Security total		54,000 000		55,640 65		56,318 76	678 11	
KLA TENCOR CORP B/E								
CALL@MW+35BP								
RATE 04 125% MATURES 11/01/21								
CALLABLE								
ACCRUED INTEREST $74 36								
CUSIP 482480AD2								
Moody Baa2 S&P BBB								
EAI $454 Current yield 3 96%								
Original cost basis $11,092 84	Aug 17, 15	11,000 000	100 674	11,074 23	104 281	11,470 91	396 68	LT
LABORATORY CORP OF AMER								
CALL@MW+25BP								
RATE 03 200% MATURES 02/01/22								
CALLABLE								
ACCRUED INTEREST $847 64								
CUSIP 50540RAP7								
Moody Baa2 S&P BBB								
EAI $2,048 Current yield 3 17%	May 20, 15	64,000 000	99 913	63,944 32	100 831	64,531 84	587.52	LT

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Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
HCA INC B/E RATE 05 875% MATURES 03/15/22 ACCRUED INTEREST $68 54 CUSIP 404121AE5 Moody Ba1 S&P BBB- EAI $235 Current yield 5 45% Original cost basis $4,450 00	Oct 27, 16	4,000 000	110 915	4,436 60	107 750	4,310 00	-126 60	ST
URS CORP NTS B/E LL CALL@MW+50BP RATE 05 000% MATURES 04/01/22 CALLABLE ACCRUED INTEREST $778 74 CUSIP 903243AC7 Moody WR S&P BB- EAI $3,150 Current yield 4 98%	May 12, 15	55,000 000	96 225	52,923 75	100 500	55,275 00	2,351 25	LT
	Oct 26, 16	8,000 000	99 675	7,974 00	100 500	8,040 00	66 00	ST
Security total		63,000 000		60,897 75		63,315 00	2,417 25	
MOTOROLA INC NTS B/E 0BP RATE 03 750% MATURES 05/15/22 ACCRUED INTEREST $131 25 CUSIP 620076BB4 Moody Baa3 S&P BBB- EAI $1,050 Current yield 3 71% Original cost basis $28,250 04	Nov 17, 16	28,000 000	100 875	28,245 07	101 077	28,301 56	56.49	ST
TRANSDIGM INC NTS B/E CALL@MW+50BP RATE 06 000% MATURES 07/15/22 CALLABLE ACCRUED INTEREST $1,402 50 CUSIP 893647AW7 Moody B3 S&P CCC+ EAI $3,060 Current yield 5 77%	Mar 09, 16	23,000 000	100 500	23,115.00	104 000	23,920 00	805 00	ST
	Dec 06, 16	28,000 000	103 500	28,980 00	104 000	29,120 00	140 00	ST
Security total		51,000 000		52,095 00		53,040 00	945 00	

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Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
FIDELITY NATL INFORM NTS CALL@MW+45BP RATE 04 500% MATURES 10/15/22 CALLABLE ACCRUED INTEREST $346 87 CUSIP 31620MAQ9 Moody Baa3 S&P BBB EAI $1,665 Current yield 4 23% Original cost basis $38,144 04	Nov 30, 15	37,000 000	102 657	37,983 40	106 376	39,359 12	1,375.72	LT
RPM INTL INC B/E CALL@MW+25BP RATE 03 450% MATURES 11/15/22 CALLABLE ACCRUED INTEREST $250 12 CUSIP 749685AS2 Moody Baa3 S&P BBB EAI $2,001 Current yield 3 48%	May 12, 15	58,000 000	97 875	56,767 50	99 159	57,512 22	744 72	LT
DUN & BRADSTREET CORP CALL@MW+45BP RATE 04 375% MATURES 12/01/22 ACCRUED INTEREST $84 58 CUSIP 26483EAG5 S&P BBB- EAI $1,050 Current yield 4 32%	Oct 22, 15	21,000 000	99 514	20,897 94	101 327	21,278 67	380 73	LT
Original cost basis $3,113 25	Oct 26, 16	3,000 000	103 675	3,110 27	101 327	3,039 81	-70 46	ST
Security total		24,000 000		24,008 21		24,318 48	310.27	
AMERICAN TOWER CORP NTS CALL@MW+25BP RATE 03 500% MATURES 01/31/23 ACCRUED INTEREST $29 16 CUSIP 03027XAB6 Moody Baa3 S&P BBB- EAI $70 Current yield 3 49% Original cost basis $2,063 82	Nov 01, 16	2,000 000	103 114	2,062 28	100 303	2,006 06	-56 22	ST

continued next page

Your assets › Fixed income › Corporate bonds and notes (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
ARROW ELECTRONICS INC CALL@MW+40BP RATE 04 500% MATURES 03/01/23 CALLABLE ACCRUED INTEREST $133 87 CUSIP 042735BC3 Moody Baa3 S&P BBB- EAI $405 Current yield 4 42% Original cost basis $9,240 75	May 12, 15	9,000 000	102 182	9,196 40	101 901	9,171 09	-25 31	LT
MOTOROLA INC MTNS CALL@MW+30BP RATE 03 500% MATURES 03/01/23 ACCRUED INTEREST $462.77 CUSIP 620076BC2 Moody Baa3 S&P BBB- EAI $1,400 Current yield 3 55%	Sep 26, 16	40,000 000	99 645	39,858 00	98 565	39,426 00	-432 00	ST
TOTAL SYS SERVICES IN CALL@MW+30BP RATE 03 750% MATURES 06/01/23 ACCRUED INTEREST $51 35 CUSIP 891906AB5 Moody Baa3 S&P BBB- EAI $638 Current yield 3 78%	Mar 15, 16	17,000 000	97 442	16,565 14	99 320	16,884 40	319 26	ST
CDW LLC / CDW FIN CORP CALL@MW+50BP RATE 05 000% MATURES 09/01/23 CALLABLE ACCRUED INTEREST $875 97 CUSIP 12513GBB4 Moody Ba3 S&P BB- EAI $2,650 Current yield 4 99%	May 12, 15	30,000 000	102 125	30,637 50	100 125	30,037 50	-600 00	LT
	May 12, 15	23,000 000	102 750	23,632 50	100 125	23,028 75	-603 75	LT
Security total		53,000 000		54,270 00		53,066 25	-1,203.75	

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Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
VIACOM INC B/E CALL@MW+30BP RATE 04 250% MATURES 09/01/23 CALLABLE ACCRUED INTEREST $899 11 CUSIP 92553PAT9 Moody Baa3 S&P BBB- EAI $2,720 Current yield 4 25% Original cost basis $65,939 20	May 21, 15	64,000 000	102 512	65,607 97	100 080	64,051 20	-1,556 77	LT
JUNIPER NETWORKS INC B/E CALL@MW+30BP RATE 04.500% MATURES 03/15/24 ACCRUED INTEREST $223 12 CUSIP 48203RAG9 Moody Baa2 S&P BBB EAI $765 Current yield 4 40% Original cost basis $18,098 71	Aug 17, 16	17,000 000	106 184	18,051 41	102 259	17,384 03	-667 38	ST
QVC INC NTS B/E CALL@MW+35BP RATE 04 850% MATURES 04/01/24 ACCRUED INTEREST $587 52 CUSIP 747262AS2 Moody Ba2 S&P BBB- EAI $2,377 Current yield 4 82% Original cost basis $49,973 14	Oct 04, 16	49,000 000	101 932	49,946 74	100 526	49,257 74	-689.00	ST
DAVITA HEALTHCARE PARTNE CALL@MW+50BP RATE 05 125% MATURES 07/15/24 CALLABLE ACCRUED INTEREST $1,197 96 CUSIP 23918KAQ1 Moody B1 S&P B+ EAI $2,614 Current yield 5 14%	May 12, 15	51,000 000	99 600	50,796 00	99 750	50,872 50	76 50	LT

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Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
TRANSDIGM INC B/E CALL@MW+50BP RATE 06 500% MATURES 07/15/24 ACCRUED INTEREST $238 33 CUSIP 893647AX5 Moody B3 S&P CCC+ EAI $520 Current yield 6 21% Original cost basis $8,440 00	Oct 28, 16	8,000 000	105 400	8,432 02	104 625	8,370 00	-62 02	ST
EXPEDIA INC CALL@MW+35BP RATE 04 500% MATURES 08/15/24 ACCRUED INTEREST $50 62 CUSIP 30212PAJ4 Moody Ba1 S&P BBB- EAI $135 Current yield 4 43% Original cost basis $3,134 82	Oct 31, 16	3,000 000	104 410	3,132 32	101 623	3,048 69	-83 63	ST
CDK GLOB INC NTS B/E CALL@MW+35BP RATE 05 000% MATURES 10/15/24 ACCRUED INTEREST $395 83 CUSIP 12508EAD3 Moody Ba1 S&P BB+ EAI $1,900 Current yield 5 15% Original cost basis $36,017 28	Jul 26, 16	36,000 000	100 043	36,015 70	97 000	34,920 00	-1,095.70	ST
	Nov 15, 16	2,000 000	97 177	1,943 54	97 000	1,940 00	-3.54	ST
Security total		38,000 000		37,959 24		36,860 00	-1,099.24	
KLA-TENCOR CORP NTS B/E CALL@MW+37 5BP RATE 04 650% MATURES 11/01/24 CALLABLE ACCRUED INTEREST $396 28 CUSIP 482480AE0 Moody Baa2 S&P BBB EAI $2,418 Current yield 4 39%	Aug 13, 15	15,000 000	98 588	14,788 20	105 861	15,879 15	1,090.95	LT
	Aug 24, 15	37,000 000	98 432	36,419 84	105 861	39,168 57	2,748.73	LT
Security total		52,000 000		51,208 04		55,047 72	3,839.68	

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Your assets › **Fixed income** › **Corporate bonds and notes** (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
AT&T INC NTS B/E								
CALL@MW+30BP								
RATE 03 950% MATURES 01/15/25								
CALLABLE								
ACCRUED INTEREST $1,194 87								
CUSIP 00206RDD1								
Moody Baa1 S&P BBB+								
EAI $2,607 Current yield 3 94%								
Original cost basis $66,343 68	Mar 21, 16	64,000 000	103 382	66,164 63	100 173	64,110 72	-2,053 91	ST
Original cost basis $2,078 06	Nov 08, 16	2,000 000	103 842	2,076 85	100 173	2,003 46	-73.39	ST
Security total		66,000 000		68,241 48		66,114 18	-2,127 30	
QVC INC B/E								
CALL@MW+30BP								
RATE 04 450% MATURES 02/15/25								
ACCRUED INTEREST $317 06								
CUSIP 747262AU7								
Moody Ba2 S&P BBB-								
EAI $846 Current yield 4.63%	Oct 05, 16	19,000 000	98 958	18,802.02	96 123	18,263.37	-538.65	ST
MASCO CORP NTS B/E								
CALL@MW+40BP								
RATE 04 450% MATURES 04/01/25								
CALLABLE								
ACCRUED INTEREST $22 00								
CUSIP 574599BJ4								
Moody Ba2 S&P BBB								
EAI $89 Current yield 4 38%								
Original cost basis $2,102 50	Oct 31, 16	2,000 000	105 037	2,100 75	101 500	2,030 00	-70 75	ST
DAVITA INC B/E								
CALL@MW+50BP								
RATE 05 000% MATURES 05/01/25								
CALLABLE								
ACCRUED INTEREST $90 13								
CUSIP 23918KAR9								
Moody B1 S&P B+								
EAI $550 Current yield 5 08%	Oct 26, 16	11,000 000	96 750	10,642 50	98 375	10,821 25	178.75	ST

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Your assets › Fixed income › Corporate bonds and notes (continued)

Holding	Trade date	Total face value at maturity ($)	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
JUNIPER NETWORKS INC CALL@MW+37 5BP RATE 04 350% MATURES 06/15/25 CALLABLE ACCRUED INTEREST $5 43 CUSIP 48203RAJ3 Moody Baa2 S&P BBB EAI $131 Current yield 4 31%								
Original cost basis $3,131 82	Nov 02, 16	3,000 000	104 323	3,129 71	100 837	3,025 11	-104 60	ST
DISCOVERY COMM INC B/E CALL@MW+50BP RATE 04 900% MATURES 03/11/26 CALLABLE ACCRUED INTEREST $919 83 CUSIP 25470DAL3 Moody Baa3 S&P BBB- EAI $3,038 Current yield 4 65%								
Original cost basis $47,548 82	Mar 31, 16	46,000 000	103 161	47,454 09	105 302	48,438 92	984 83	ST
Original cost basis $16,850 08	May 19, 16	16,000 000	105 039	16,806 34	105 302	16,848 32	41 98	ST
Security total		62,000 000		64,260 43		65,287 24	1,026 81	
Total		**$2,034,000.000**		**$2,111,772.78**		**$2,119,598.36**	**$7,825.58**	

Total accrued interest: $28,187.59

Total estimated annual income: $103,222

Your assets › **Fixed income** (continued)

Government securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values Actual market values may vary and thus gains/losses may not be accurately reflected Cost basis has been adjusted for accreted original issue discount (OID) Cost basis has been automatically adjusted for amortization of bond premium using the constant yield method If you have made a tax election to deduct the premium amortization on taxable debt securities, you may request that UBS adjust cost basis for the bond premium amortization

Holding	Trade date	Quantity	Purchase price ($)	Adjusted cost basis ($)	Price on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
U S TREASURY NOTE RATE 0 8750% MATURES 01/31/17 ACCRUED INTEREST $57 82 CUSIP 912828SC5 EAI $70 Current yield 0 87% Original cost basis $16,248 18	Nov 30, 12	16,000 000	100 031	16,005 06	100 040	16,006 40	1.34	LT

Your total assets

		Value on Dec 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**62,598.84**	**2.81%**	**62,598.84**		
Fixed income	Corporate bonds and notes	2,119,598 36		2,111,772.78	103,222 00	7,825 58
	Government securities	16,006 40		16,005 06	70 00	1 34
	Total accrued interest	28,245 41				
	Total fixed income	**2,163,850.17**	**97.19%**	**2,127,777.84**	**103,292.00**	**7,826.92**
Total		**$2,226,449.01**	**100.00%**	**$2,190,376.68**	**$103,292.00**	**$7,826.92**

Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Nov 30		**Cash and money balance**					**$109,040.93**
Dec 1	Interest	DISH DBS CORP NTS B/E 06 750% 060121 DTD050511 FC120111 CALL@MW+50BP PAID ON 7000 CUSIP 25470XAE5				236 25	
Dec 1	Interest	CDW LLC / CDW FIN CORP 05 500% 120124 DTD120114 FC060115 CALL@MW+50BP PAID ON 7000 CUSIP 12513GBA6				192 50	

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Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC Money market sweep balances are protected by SIPC but are not insured by the FDIC See the *Important information about your statement* at the end of this document for details about those balances

Holding	Opening balance on Dec 1 ($)	Closing balance on Dec 30 ($)	Price per share on Dec 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
UBS BANK USA BUS ACCT	52,966 85	97,554 22					250,000 00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
BERKSHIRE HATHAWAY INC NEW CL B								
Symbol BRK B Exchange NYSE	Nov 3, 94	2,302 940	23 061	53,108 13	162 980	375,333 16	322,225 03	LT
	Dec 29, 94	3,036 600	23 315	70,798 61	162 980	494,905 07	424,106 46	LT
	Dec 30, 94	2,024 400	23 315	47,199 07	162 980	329,936 71	282,737 64	LT
	Jul 17, 98	1,012 200	73 822	74,723 53	162 980	164,968 36	90,244 83	LT
	Jan 20, 99	354 270	66 388	23,519 54	162 980	57,738 92	34,219 38	LT
	Jan 22, 99	961 590	66 388	63,838 74	162 980	156,719 94	92,881 20	LT
	Dec 28, 15	308 000	132 918	40,939 05	162 980	50,197 84	9,258 79	LT
Security total		10,000 000	37 413	374,126 67		1,629,800 00	1,255,673 33	
BOSWELL J G CO Symbol BWEL Exchange OTC								
EAI $12,600 Current yield 1 42%	Jan 3, 13	22 000	814 000	17,908 00	635 000	13,970 00	-3,938 00	LT

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Jan 9, 13	15 000	814 000	12,210 00	635 000	9,525 00	-2,685 00	LT
	Feb 21, 13	63 000	826 000	52,038 00	635 000	40,005 00	-12,033 00	LT
	Mar 6, 13	50 000	837 200	41,860 00	635 000	31,750 00	-10,110 00	LT
	Mar 6, 13	50 000	843 000	42,150 00	635 000	31,750 00	-10,400 00	LT
	Sep 16, 15	80 000	645 000	51,600 00	635 000	50,800 00	-800 00	LT
	Sep 18, 15	15 000	645 000	9,675 00	635 000	9,525 00	-150 00	LT
	Sep 22, 15	79 000	645 000	50,955 00	635 000	50,165 00	-790 00	LT
	Sep 24, 15	24 000	645 000	15,480 00	635 000	15,240 00	-240 00	LT
	Sep 25, 15	2 000	645 000	1,290 00	635 000	1,270 00	-20 00	LT
	Nov 25, 15	100 000	640 000	64,000 00	635 000	63,500 00	-500 00	LT
	Dec 4, 15	100 000	649 000	64,900 00	635.000	63,500 00	-1,400 00	LT
	Dec 4, 15	65 000	647 000	42,055 00	635 000	41,275 00	-780 00	LT
	Dec 8, 15	35 000	647 000	22,645 00	635 000	22,225 00	-420 00	LT
	Dec 28, 15	80 000	630 000	50,400 00	635 000	50,800 00	400 00	LT
	Dec 29, 15	100 000	625 000	62,500 00	635 000	63,500 00	1,000 00	LT
	Dec 29, 15	50 000	624 999	31,249 99	635 000	31,750 00	500 01	LT
	Dec 29, 15	50 000	625 000	31,250 00	635 000	31,750 00	500 00	LT
	Dec 30, 15	120 000	625 000	75,000 00	635 000	76,200 00	1,200 00	LT
	Mar 21, 16	46 000	641 000	29,486 00	635 000	29,210 00	-276 00	ST
	Mar 28, 16	37 000	650 000	24,050 00	635 000	23,495 00	-555 00	ST
	Mar 29, 16	17 000	650 000	11,050 00	635 000	10,795 00	-255 00	ST
	Apr 19, 16	100 000	635 000	63,500 00	635.000	63,500 00		ST
	Apr 26, 16	96 000	645 000	61,920 00	635 000	60,960 00	-960.00	ST
	Apr 28, 16	4 000	645 000	2,580 00	635 000	2,540 00	-40 00	ST
Security total		1,400 000	665 537	931,751 99		889,000.00	-42,751 99	
CHURCH & DWIGHT CO INC Symbol CHD Exchange NYSE EAI $49,586 Current yield 1 61%	Oct 20, 93	9,840 000	1 970	19,387 96	44 190	434,829 60	415,441 64	LT
	Dec 12, 94	60,000 000	1 424	85,447 94	44 190	2,651,400 00	2,565,952 06	LT
Security total		69,840 000	1 501	104,835 90		3,086,229 60	2,981,393 70	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
CINTAS CORP								
Symbol CTAS Exchange OTC								
EAI $3,990 Current yield 1 15%	Jul 3, 95	3,000 000	12 083	36,250 00	115 560	346,680 00	310,430 00	LT
MC CORMICK & CO NV								
Symbol MKC Exchange NYSE								
EAI $49,350 Current yield 2 01%	Jun 15, 93	9,050 000	10 593	95,873 44	93 330	844,636 50	748,763 06	LT
	Oct 17, 94	7,000 000	10 187	71,312 50	93 330	653,310 00	581,997 50	LT
	Jan 5, 95	3,000 000	9 468	28,406 25	93 330	279,990 00	251,583 75	LT
	Sep 17, 97	2,000 000	12 062	24,125 00	93 330	186,660 00	162,535 00	LT
	Sep 17, 97	2,000 000	12 062	24,125 00	93 330	186,660 00	162,535 00	LT
	Sep 17, 97	2,000 000	12 062	24,125 00	93 330	186,660 00	162,535 00	LT
	Sep 17, 97	1,200 000	12 062	14,475 00	93 330	111,996 00	97,521 00	LT
Security total		26,250 000	10 760	282,442 19		2,449,912 50	2,167,470 31	
MERCK KGAA ORD EUR								
Symbol MKGAF Exchange OTC								
EUR Exchange rate 0 94809	Dec 28, 15	2,000 000	97 000	194,000 00	104 831	209,662 00	15,662 00	LT
	Dec 28, 15	1,000 000	96 793	96,793 80	104 831	104,831 00	8,037 20	LT
	Jan 6, 16	2,000 000	92 671	185,342 00	104 831	209,662 00	24,320 00	ST
Security total		5,000 000	95 227	476,135 80		524,155 00	48,019 20	
ROYAL DUTCH SHELL PLC ADS								
REPSTG 2 CL B ORD SHS SPON								
ADR								
Symbol RDS B Exchange NYSE								
EAI $75,200 Current yield 6 49%	Dec 3, 15	20,000 000	49.574	991,485 27	57 970	1,159,400 00	167,914 73	LT
SMUCKER J M CO NEW								
Symbol SJM Exchange NYSE								
EAI $15,000 Current yield 2 34%	Feb 23, 16	2,500 000	123 246	308,117 30	128 060	320,150 00	12,032 70	ST
	Apr 4, 16	2,500 000	127 964	319,910 00	128 060	320,150 00	240 00	ST
Security total		5,000 000	125 605	628,027 30		640,300 00	12,272 70	
STARBUCKS CORP								
Symbol SBUX Exchange OTC								
EAI $10,000 Current yield 1 80%	Apr 22, 16	10,000 000	57 511	575,117 50	55 520	555,200 00	-19,917 50	ST

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
TEJON RANCH CO								
Symbol TRC Exchange NYSE	Jan 14, 91	3,550 000	22 750	80,762 50	25 430	90,276 50	9,514 00	LT
TIFFANY & CO NEW								
Symbol TIF Exchange NYSE								
EAI $45,360 Current yield 2 32%	Jan 23, 95	25,200 000	3 801	95,809 74	77 430	1,951,236 00	1,855,426 26	LT
TOOTSIE ROLL INDUST								
Symbol TR Exchange NYSE								
EAI $9,648 Current yield 0 91%	Oct 17, 94	3,816 864	8 188	31,253 50	39 750	151,720 35	120,466 85	LT
	Dec 12, 94	22,983 136	7 105	163,310 59	39 750	913,579 65	750,269 06	LT
Security total		26,800 000	7 260	194,564 09		1,065,300 00	870,735 91	
US BANCORP DEL (NEW)								
Symbol USB Exchange NYSE								
EAI $28,000 Current yield 2 18%	Jan 21, 94	5,200 000	4 011	20,859 12	51 370	267,124 00	246,264 88	LT
	Nov 2, 94	4,500 000	4 346	19,558 22	51 370	231,165 00	211,606 78	LT
	Nov 3, 94	12,600 000	4 322	54,466 59	51 370	647,262 00	592,795 41	LT
	Nov 4, 94	2,700 000	4 353	11,754 00	51 370	138,699 00	126,945 00	LT
Security total		25,000 000	4 266	106,637 93		1,284,250 00	1,177,612 07	
WILLIAMS SONOMA INC								
Symbol WSM Exchange NYSE								
EAI $32,604 Current yield 3 06%	Mar 2, 92	22,030,000	1 994	43,937 61	48 390	1,066,031 70	1,022,094 09	LT
Total				**$4,921,884.49**		**$16,737,771.30**	**$11,815,886.81**	

Total estimated annual income: $331,338

Your total assets

		Value on Dec 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**97,554.22**	**0.58%**	**97,554.22**		
Equities	**Common stock**	**16,737,771.30**	**99.42%**	**4,921,884.49**	**331,338.00**	**11,815,886.81**
Total		**$16,835,325.52**	**100.00%**	**$5,019,438.71**	**$331,338.00**	**$11,815,886.81**

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC Money market sweep balances are protected by SIPC but are not insured by the FDIC See the *Important information about your statement* at the end of this document for details about those balances

Holding	Opening balance on Dec 1 ($)	Closing balance on Dec 30 ($)	Price per share on Dec 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
UBS BANK USA BUS ACCT	25,323 70	5,324 75					250,000 00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
NTHN CALIF BANCORP INC								
Symbol NRLB Exchange OTC		1,350 000	---This information was unavailable---		0 900	1,215 00		

Your total assets

		Value on Dec 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**5,324.75**	**81.42%**	**5,324.75**		
Equities	*** Common stock**	**1,215.00**	**18.58%**			
Total		**$6,539.75**	**100.00%**	**$5,324.75**		

* Missing cost basis information

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC Money market sweep balances are protected by SIPC but are not insured by the FDIC See the *Important information about your statement* at the end of this document for details about those balances

Holding	Opening balance on Dec 1 ($)	Closing balance on Dec 30 ($)	Price per share on Dec 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
Cash	0 00	749 12					
UBS BANK USA BUS ACCT	250,000 00	250,000 00					250,000 00
UBS SELECT GOVT CAPITAL	82,123 99	158,139 98	1 00	0 22%	Nov 1 to Nov 30	30	
Total	**$332,123.99**	**$408,889.10**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
ADVANCE AUTO PARTS INC								
Symbol AAP Exchange NYSE								
EAI $184 Current yield 0 14%	Nov 25, 16	765 000	170 987	130,805 06	169 120	129,376 80	-1,428 26	ST
ALLERGAN PLC								
Symbol AGN Exchange NYSE								
EAI $2,377 Current yield 1 33%	Dec 15, 16	849 000	192 987	163,846 13	210 010	178,298 49	14,452 36	ST
ALPHABET INC CL A								
Symbol GOOGL Exchange OTC	Jan 14, 15	136 000	504 202	68,571 59	792 450	107,773 20	39,201 61	LT
	Feb 18, 15	56 000	541 546	30,326 59	792 450	44,377 20	14,050 61	LT
Security total		192 000	515 095	98,898 18		152,150 40	53,252 22	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
AON PLC								
Symbol AON Exchange NYSE								
EAI $3,429 Current yield 1 18%	Jun 11, 09	79 000	49 080	3,877 32	111 530	8,810 87	4,933 55	LT
	Dec 1, 09	227 000	49 080	11,141 16	111 530	25,317 31	14,176 15	LT
	Dec 2, 09	707 000	49 080	34,699 56	111 530	78,851 71	44,152 15	LT
	Dec 3, 09	891 000	49 080	43,730 28	111 530	99,373 23	55,642 95	LT
	Dec 4, 09	100 000	49 080	4,908 00	111 530	11,153 00	6,245 00	LT
	Sep 1, 15	353 000	91 023	32,131 12	111 530	39,370 09	7,238 97	LT
	Nov 13, 15	241 000	93 063	22,428 38	111 530	26,878 73	4,450 35	LT
Security total		2,598 000	58 859	152,915 82		289,754 94	136,839 12	
BANK OF AMER CORP								
Symbol BAC Exchange NYSE								
EAI $3,251 Current yield 1 36%	Mar 20, 15	5,797 000	15 886	92,096 36	22 100	128,113 70	36,017 34	LT
	Apr 14, 15	3,367 000	15 800	53,198 94	22 100	74,410 70	21,211 76	LT
	Apr 29, 15	1,674 000	15 968	26,731 10	22 100	36,995 40	10,264 30	LT
Security total		10,838 000	15 873	172,026 40		239,519 80	67,493 40	
BIO RAD LABORATORIES INC CL A								
Symbol BIO Exchange NYSE	Jun 24, 16	362 000	138 318	50,071 30	182 280	65,985 36	15,914 06	ST
	Jun 28, 16	59 000	138 343	8,162 26	182 280	10,754 52	2,592 26	ST
Security total		421 000	138 322	58,233 56		76,739 88	18,506 32	
CALPINE CORP NEW								
Symbol CPN Exchange NYSE	Oct 11, 16	8,082 000	12 964	104,779 09	11 430	92,377 26	-12,401.83	ST
	Oct 17, 16	1,382 000	12 664	17,501 92	11 430	15,796 26	-1,705 66	ST
	Dec 2, 16	5,316 000	10 496	55,797 80	11 430	60,761 88	4,964 08	ST
Security total		14,780.000	12 049	178,078 81		168,935 40	-9,143 41	
CHENIERE ENERGY INC NEW								
Symbol LNG Exchange AMEX	Feb 9, 16	2,340 000	24 221	56,677 37	41.430	96,946 20	40,268 83	ST
	Feb 10, 16	805 000	24 997	20,122 83	41 430	33,351 15	13,228.32	ST
	Feb 11, 16	318 000	24.481	7,785 09	41 430	13,174 74	5,389 65	ST
	Feb 16, 16	226 000	26 415	5,969 99	41 430	9,363 18	3,393 19	ST
	Mar 10, 16	726 000	35 388	25,692 12	41 430	30,078 18	4,386 06	ST
	Mar 11, 16	25 000	36 244	906 10	41 430	1,035 75	129 65	ST
	Mar 15, 16	308 000	35 696	10,994 46	41 430	12,760 44	1,765 98	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Apr 1, 16	372 000	33 437	12,438 86	41 430	15,411 96	2,973 10	ST
	Apr 4, 16	418 000	33 737	14,102 23	41 430	17,317 74	3,215 51	ST
	Apr 6, 16	207 000	33 481	6,930 63	41.430	8,576 01	1,645 38	ST
	Nov 7, 16	802 000	37 447	30,033 14	41 430	33,226 86	3,193 72	ST
	Nov 15, 16	704 000	37 699	26,540 31	41 430	29,166 72	2,626 41	ST
Security total		7,251 000	30 091	218,193 13		300,408 93	82,215 80	
CIGNA CORP								
Symbol CI Exchange NYSE								
EAI $48 Current yield 0 03%	Sep 28, 15	44 000	135 109	5,944 81	133 390	5,869 16	-75 65	LT
	Oct 28, 15	93 000	132 510	12,323 43	133 390	12,405 27	81 84	LT
	Nov 3, 15	117 000	132 020	15,446 34	133 390	15,606 63	160 29	LT
	Nov 4, 15	220 000	130 586	28,729 01	133 390	29,345 80	616 79	LT
	Apr 11, 16	251 000	131 848	33,093 92	133 390	33,480 89	386 97	ST
	May 9, 16	262 000	131 007	34,323 99	133 390	34,948 18	624 19	ST
	May 13, 16	224,000	127 620	28,586 97	133 390	29,879 36	1,292 39	ST
Security total		1,211 000	130 841	158,448 47		161,535 29	3,086 82	
CIT GROUP INC								
Symbol CIT Exchange NYSE								
EAI $5,052 Current yield 1 41%	Jul 21, 14	39 000	43.633	1,701 72	42 680	1,664 52	-37 20	LT
	Jul 23, 14	833 000	48 753	40,611 75	42 680	35,552 44	-5,059 31	LT
	Aug 7, 14	572 000	48 377	27,672 10	42 680	24,412 96	-3,259 14	LT
	Aug 8, 14	208 000	48 429	10,073 32	42 680	8,877 44	-1,195 88	LT
	Aug 12, 14	78 000	48 460	3,779 89	42.680	3,329 04	-450 85	LT
	Aug 13, 14	78 000	48 399	3,775 17	42 680	3,329 04	-446 13	LT
	Aug 15, 14	182 000	48 361	8,801 83	42 680	7,767 76	-1,034 07	LT
	Aug 22, 14	718 000	47 971	34,443 32	42 680	30,644 24	-3,799 08	LT
	Oct 17, 14	402 000	45 115	18,136 23	42 680	17,157 36	-978 87	LT
	Mar 3, 15	741 000	46 466	34,431 90	42 680	31,625 88	-2,806 02	LT
	Mar 4, 15	312 000	46 455	14,494 12	42 680	13,316 16	-1,177 96	LT
	Apr 6, 15	423 000	45 477	19,237 07	42 680	18,053 64	-1,183 43	LT
	Apr 7, 15	243 000	45 462	11,047 44	42 680	10,371 24	-676 20	LT
	Oct 21, 15	554 000	39 979	22,148 64	42 680	23,644 72	1,496 08	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Nov 2, 15	810 000	43 348	35,112 12	42 680	34,570 80	-541 32	LT
	Nov 3, 15	324 000	41 829	13,552 79	42 680	13,828 32	275 53	LT
	Nov 4, 15	414 000	42 019	17,395 95	42 680	17,669 52	273 57	LT
	Nov 5, 15	118 000	42 471	5,011 66	42 680	5,036 24	24 58	LT
	Mar 31, 16	1,293 000	30 885	44,508 57[2]	42 680	55,185 24	10,676 67	
	Apr 1, 16	78 000	31 051	2,422 03	42 680	3,329 04	907 01	ST
Security total		8,420 000	43 748	368,357 62		359,365 60	-8,992 02	
CITIGROUP INC Symbol C Exchange NYSE EAI $4,845 Current yield 1 08%	Dec 17, 09	884 100	31 983	28,277 05	59 430	52,542 06	24,265 01	LT
	Dec 18, 09	1,324 500	32 602	43,181 35	59 430	78,715 04	35,533 69	LT
	Mar 31, 11	1,202 400	44 198	53,143 68	59 430	71,458 63	18,314 95	LT
	May 12, 11	694 000	41 999	29,147 72	59 430	41,244 42	12,096 70	LT
	May 13, 11	230 000	41 888	9,634 40	59 430	13,668 90	4,034 50	LT
	Jun 1, 11	1,000 000	40 182	40,182 50	59 430	59,430 00	19,247 50	LT
	Jul 27, 12	1,226 000	27 388	33,578 67	59 430	72,861 18	39,282 51	LT
	Jan 17, 14	128 000	52 660	6,740 51	59 430	7,607 04	866 53	LT
	Feb 5, 15	470 000	48 519	22,804 02	59 430	27,932 10	5,128 08	LT
	Jun 16, 16	412 000	41 590	17,135 08	59 430	24,485 16	7,350 08	ST
Security total		7,571 000	37 488	283,824 98		449,944 53	166,119 55	
CVS HEALTH CORP Symbol CVS Exchange NYSE EAI $7,398 Current yield 2 53%	Feb 4, 11	1,527 000	32 622	49,814 41	78 910	120,495 57	70,681 16	LT
	Sep 29, 16	761 000	89 707	68,267 41	78 910	60,050 51	-8,216 90	ST
	Oct 4, 16	354 000	86 555	30,640 47	78 910	27,934 14	-2,706 33	ST
	Nov 28, 16	1,057 000	74 361	78,600 11	78 910	83,407 87	4,807 76	ST
Security total		3,699 000	61 455	227,322 40		291,888 09	64,565 69	
DISCOVER FINANCIAL SERVICES Symbol DFS Exchange NYSE EAI $5,909 Current yield 1 66%	Feb 4, 15	655 000	56 853	37,239 04	72 090	47,218 95	9,979 91	LT
	Feb 5, 15	1,591 000	57 528	91,527 53	72,090	114,695 19	23,167 66	LT
	Feb 6, 15	1,142 000	58 773	67,118 77	72 090	82,326 78	15,208 01	LT
	Mar 6, 15	942 000	59 755	56,289 78	72 090	67,908 78	11,619 00	LT

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Your assets › **Equities** › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 7, 15	168 000	54 842	9,213 57	72 090	12,111 12	2,897 55	LT
	Aug 12, 15	166 000	54 598	9,063 32	72 090	11,966 94	2,903 62	LT
	Aug 13, 15	67 000	54 766	3,669 38	72 090	4,830 03	1,160 65	LT
	Aug 21, 15	59 000	54 250	3,200 75	72 090	4,253 31	1,052 56	LT
	Aug 24, 15	80 000	52 993	4,239 46	72 090	5,767 20	1,527 74	LT
	Sep 1, 15	54 000	51 941	2,804 86	72 090	3,892 86	1,088 00	LT
Security total		4,924 000	57 751	284,366 46		354,971.16	70,604 70	
DOW CHEMICAL Symbol DOW Exchange NYSE EAI $4,263 Current yield 3 22%	Dec 12, 16	2,317 000	58 231	134,921 23	57 220	132,578 74	-2,342 49	ST
EDISON INTL Symbol EIX Exchange NYSE EAI $2,233 Current yield 3 01%	Jan 11, 16	376 000	58 970	22,173 02	71 990	27,068 24	4,895 22	ST
	Jan 12, 16	220 000	58 790	12,933 87	71 990	15,837.80	2,903 93	ST
	Jan 15, 16	303 000	58 809	17,819 16	71 990	21,812.97	3,993 81	ST
	Jan 20, 16	130 000	58 851	7,650 75	71 990	9,358 70	1,707 95	ST
Security total		1,029 000	58 870	60,576 80		74,077.71	13,500 91	
EQT CORP Symbol EQT Exchange NYSE EAI $567 Current yield 0 18%	Nov 3, 15	440 000	65 667	28,893 48	65 400	28,776.00	-117 48	LT
	Nov 4, 15	187 000	65 991	12,340.49	65 400	12,229.80	-110 69	LT
	Nov 5, 15	206 000	66 988	13,799 57	65 400	13,472.40	-327 17	LT
	Nov 9, 15	242 000	66 663	16,132 59	65.400	15,826.80	-305 79	LT
	Nov 10, 15	467 000	66 734	31,164 96	65 400	30,541 80	-623 16	LT
	Nov 18, 15	361 000	59 942	21,639 24	65 400	23,609 40	1,970 16	LT
	Nov 24, 15	315 000	59 556	18,760 27	65 400	20,601 00	1,840 73	LT
	Dec 8, 15	502 000	52 731	26,471 46	65 400	32,830 80	6,359 34	LT
	Dec 21, 15	334 000	49 327	16,475 22	65 400	21,843 60	5,368 38	LT
	Dec 31, 15	94 000	52 047	4,892 42	65 400	6,147 60	1,255 18	LT
	Jan 6, 16	322 000	50 102	16,133 00	65 400	21,058 80	4,925 80	ST
	Mar 4, 16	516 000	58 883	30,383 78	65 400	33,746 40	3,362 62	ST
	May 3, 16	281 000	66 968	18,818 18	65 400	18,377 40	-440 78	ST

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Oct 24, 16	455 000	64 196	29,209 23	65 400	29,757 00	547 77	ST
Security total		4,722 000	60 380	285,113 89		308,818 80	23,704 91	
GENERAL MOTORS CO								
Symbol GM Exchange NYSE								
EAI $11,566 Current yield 4 36%	Nov 23, 10	937 000	33 697	31,574 65	34 840	32,645 08	1,070 43	LT
	Feb 3, 11	456 000	35 559	16,215 22	34 840	15,887 04	-328 18	LT
	Feb 15, 11	473 000	36 013	17,034 57	34 840	16,479 32	-555 25	LT
	Feb 22, 11	544 000	35 662	19,400 13	34 840	18,952 96	-447 17	LT
	Feb 23, 11	119 000	35,494	4,223 89	34 840	4,145 96	-77 93	LT
	Feb 1, 12	1,629 000	24 411	39,766 50	34 840	56,754 36	16,987 86	LT
	Feb 2, 12	357 000	24 502	8,747 43	34 840	12,437 88	3,690 45	LT
	Jun 8, 12	388 000	21 711	8,423 87	34 840	13,517 92	5,094 05	LT
	Mar 18, 13	2,706 000	28 028	75,845 93	34 840	94,277 04	18,431 11	LT
Security total		7,609 000	29 075	221,232 19		265,097 56	43,865 37	
GENL ELECTRIC CO								
Symbol GE Exchange NYSE								
EAI $5,626 Current yield 3 04%	Mar 17, 15	4,090 000	25 248	103,268 00	31 600	129,244 00	25,976 00	LT
	Apr 21, 15	1,696 000	26 903	45,628 68	31 600	53,593 60	7,964 92	LT
	Nov 21, 16	74 000	30 789	2,278 45	31 600	2,338 40	59 95	ST
Security total		5,860 000	25 798	151,175 13		185,176 00	34,000 87	
GLAXO SMITHKLINE PLC ADR								
Symbol GSK Exchange NYSE								
EAI $10,740 Current yield 5 37%	May 10, 16	2,515 000	42 947	108,012 96	38 510	96,852 65	-11,160 31	ST
	May 11, 16	714 000	42 428	30,293 81	38 510	27,496 14	-2,797 67	ST
	May 12, 16	486 000	42 382	20,597 94	38 510	18,715 86	-1,882 08	ST
	Jun 10, 16	674 000	41 033	27,656 58	38 510	25,955 74	-1,700 84	ST
	Sep 12, 16	807 000	43 289	34,934 95	38 510	31,077 57	-3,857 38	ST
Security total		5,196 000	42 628	221,496 24		200,097 96	-21,398 28	
HESS CORP								
Symbol HES Exchange NYSE								
EAI $4,828 Current yield 1 61%	Jun 26, 15	129 000	67 827	8,749 71	62 290	8,035 41	-714 30	LT
	Jun 29, 15	708 000	67 577	47,844 94	62 290	44,101 32	-3,743 62	LT
	Jul 8, 15	554 000	64 425	35,691 73	62 290	34,508 66	-1,183.07	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Aug 7, 15	578 000	56 501	32,657 69	62 290	36,003 62	3,345 93	LT
	Feb 8, 16	672 000	37 153	24,966 82	62 290	41,858 88	16,892 06	ST
	Sep 15, 16	719,000	46 985	33,782 43	62 290	44,786 51	11,004 08	ST
	Sep 28, 16	343 000	49 808	17,084 15	62 290	21,365 47	4,281 32	ST
	Nov 7, 16	1,125 000	47 486	53,422 31	62 290	70,076 25	16,653 94	ST
Security total		4,828 000	52 651	254,199 78		300,736 12	46,536 34	
ING GROEP N V NL SPON ADR Symbol ING Exchange NYSE EAI $4,625 Current yield 4 24%	May 20, 16	2,767 000	11 777	32,587 51	14 100	39,014 70	6,427 19	ST
	May 23, 16	3,477 000	11 759	40,888 82	14 100	49,025 70	8,136 88	ST
	May 24, 16	659 000	12 184	8,029 65	14 100	9,291 90	1,262 25	ST
	Jun 9, 16	831 000	12 211	10,148 09	14.100	11,717 10	1,569 01	ST
Security total		7,734 000	11 851	91,654 07		109,049 40	17,395 33	
INGERSOLL-RAND PLC Symbol IR Exchange NYSE EAI $3,746 Current yield 2 13%	Dec 8, 05	1,263 000	28 280	35,718 76	75 040	94,775 52	59,056 76	LT
	Apr 7, 14	869 000	55 027	47,818 64	75 040	65,209 76	17,391 12	LT
	Apr 8, 14	209 000	55 107	11,517 49	75 040	15,683 36	4,165 87	LT
Security total		2,341 000	40 604	95,054 89		175,668.64	80,613 75	
INTERPUBLIC GROUP OF COS INC Symbol IPG Exchange NYSE EAI $4,034 Current yield 2 56%	Jan 8, 14	89 000	17 395	1,548 23	23 410	2,083 49	535 26	LT
	Mar 6, 14	2,595 000	17.533	45,499 69	23 410	60,748 95	15,249 26	LT
	Mar 7, 14	153 000	17 675	2,704 34	23 410	3,581 73	877 39	LT
	Mar 10, 14	291 000	17 615	5,126 08	23 410	6,812 31	1,686 23	LT
	Apr 22, 14	1,692 000	17 463	29,548 58	23 410	39,609 72	10,061 14	LT
	Apr 24, 14	1,412 000	17 238	24,340 76	23 410	33,054 92	8,714 16	LT
	Apr 25, 14	492 000	17 169	8,447 30	23 410	11,517 72	3,070 42	LT
Security total		6,724 000	17 432	117,214 98		157,408 84	40,193 86	
JPMORGAN CHASE & CO Symbol JPM Exchange NYSE EAI $7,884 Current yield 2 23%	Dec 1, 05	998 000	38 570	38,492 86	86 290	86,117 42	47,624 56	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Sep 26, 08	2,100 000	41 047	86,199 33	86 290	181,209 00	95,009 67	LT
	Dec 18, 13	1,008 000	55 794	56,240 65	86 290	86,980 32	30,739 67	LT
Security total		4,106 000	44 065	180,932 84		354,306 74	173,373 90	
KONINKLIJKE PHILIPS NV SPON ADR Symbol PHG Exchange NYSE EAI $5,452 Current yield 2.51%	Apr 28, 15	1,168 000	28.878	33,730 20	30 570	35,705 76	1,975 56	LT
	Apr 29, 15	2,692 000	29 028	78,143 64	30 570	82,294 44	4,150 80	LT
	May 5, 15	1,150 000	28 223	32,456 56	30 570	35,155 50	2,698 94	LT
	May 6, 15	388 000	28 254	10,962 63	30 570	11,861 16	898 53	LT
	May 7, 15	544 000	28 130	15,303 05	30 570	16,630 08	1,327 03	LT
	Feb 8, 16	424 000	24 410	10,349 84	30 570	12,961 68	2,611 84	ST
	Feb 9, 16	752 000	24.209	18,205 24	30 570	22,988 64	4,783 40	ST
Security total		7,118 000	27 979	199,151 16		217,597 26	18,446 10	
MACY'S INC Symbol M Exchange NYSE EAI $7,736 Current yield 4 22%	Sep 14, 16	3,489 000	35 692	124,530 09	35 810	124,941.09	411 00	ST
	Sep 21, 16	760 000	35 995	27,356 28	35 810	27,215 60	-140 68	ST
	Dec 23, 16	874 000	36 452	31,859 83	35 810	31,297.94	-561 89	ST
Security total		5,123 000	35.867	183,746 20		183,454.63	-291 57	
METLIFE INC Symbol MET Exchange NYSE EAI $7,069 Current yield 2 97%	Oct 9, 08	1,573 000	27 998	44,041 17	53 890	84,768 97	40,727 80	LT
	Dec 3, 09	2,219 000	34 250	76,000 75	53 890	119,581 91	43,581 16	LT
	Dec 6, 10	626 000	40 831	25,560 21	53 890	33,735 14	8,174 93	LT
Security total		4,418 000	32.957	145,602 13		238,086 02	92,483 89	
MICROSOFT CORP Symbol MSFT Exchange OTC EAI $2,758 Current yield 2 51%	Apr 5, 13	378 000	28 404	10,736 90	62 140	23,488 92	12,752 02	LT
	Apr 16, 13	1,390 000	28 990	40,297 07	62 140	86,374 60	46,077 53	LT
Security total		1,768 000	28 865	51,033 97		109,863 52	58,829 55	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
OCCIDENTAL PETROLEUM CRP								
Symbol OXY Exchange NYSE								
EAI $10,315 Current yield 4 27%	Apr 15, 10	229 000	82 535	18,900 71	71 230	16,311 67	-2,589 04	LT
	Aug 27, 13	367 000	84 215	30,907 05	71 230	26,141 41	-4,765 64	LT
	Aug 29, 13	421 000	85 083	35,820 30	71 230	29,987 83	-5,832 47	LT
	Aug 30, 13	87 000	84 926	7,388 62	71 230	6,197 01	-1,191 61	LT
	Jan 31, 14	885 000	84 600	74,871 57	71 230	63,038 55	-11,833 02	LT
	Feb 3, 14	577 000	84 648	48,842 09	71 230	41,099 71	-7,742 38	LT
	Mar 27, 15	827 000	72 939	60,320 90	71 230	58,907 21	-1,413 69	LT
Security total		3,393 000	81 654	277,051 24		241,683 39	-35,367 85	
ORACLE CORP								
Symbol ORCL Exchange NYSE								
EAI $5,539 Current yield 1 56%	Aug 14, 13	1,430 000	33 605	48,055 58	38 450	54,983 50	6,927 92	LT
	Aug 15, 13	864 000	32 785	28,326 33	38 450	33,220 80	4,894 47	LT
	Oct 24, 13	4,324 000	33 069	142,992 09	38,450	166,257 80	23,265.71	LT
	Dec 8, 15	1,156 000	38 616	44,641 02	38 450	44,448 20	-192 82	LT
	Jun 2, 16	748 000	38 316	28,660 74	38 450	28,760 60	99 86	ST
	Dec 14, 16	709 000	40 774	28,909 26	38 450	27,261 05	-1,648 21	ST
Security total		9,231 000	34 838	321,585 02		354,931 95	33,346 93	
PAYPAL HOLDINGS INC								
Symbol PYPL Exchange OTC	Sep 19, 14	290 000	31 864	9,240 65	39 470	11,446 30	2,205 65	LT
	Sep 22, 14	768 000	31 685	24,334 74	39 470	30,312 96	5,978 22	LT
	Oct 16, 14	970 000	28 900	28,033 56	39 470	38,285.90	10,252 34	LT
	Feb 13, 15	534 000	34 116	18,218 40	39.470	21,076 98	2,858 58	LT
	Feb 17, 15	164 000	34 144	5,599 67	39 470	6,473 08	873 41	LT
Security total		2,726 000	31 338	85,427 02		107,595 22	22,168 20	
PFIZER INC								
Symbol PFE Exchange NYSE								
EAI $7,767 Current yield 3 94%	Dec 29, 10	538 000	17 610	9,474 56	32 480	17,474 24	7,999 68	LT
	Aug 4, 14	1,652 000	28 714	47,436 35	32 480	53,656 96	6,220 61	LT
	Oct 15, 14	2,384 000	28 117	67,032 36	32 480	77,432 32	10,399 96	LT
	Jan 8, 16	1,494 000	31 189	46,596 81	32 480	48,525 12	1,928 31	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		6,068 000	28 105	170,540 08		197,088 64	26,548 56	
PHILIP MORRIS INTL INC								
Symbol PM Exchange NYSE								
EAI $4,360 Current yield 4 55%	Jun 23, 06	1,048 000	37 873	39,691 53	91 490	95,881 52	56,189 99	LT
PHILLIPS 66								
Symbol PSX Exchange NYSE								
EAI $3,868 Current yield 2 92%	Nov 29, 13	245 000	69 629	17,059 33	86 410	21,170 45	4,111.12	LT
	Dec 3, 13	96 000	69 891	6,709 54	86 410	8,295 36	1,585 82	LT
	Dec 5, 13	76 000	69 441	5,277 53	86 410	6,567.16	1,289.63	LT
	Aug 1, 14	321 000	79 708	25,586 43	86 410	27,737 61	2,151 18	LT
	Nov 17, 14	636 000	72 670	46,218 44	86 410	54,956 76	8,738 32	LT
	Nov 18, 14	79 000	72 997	5,766 83	86 410	6,826 39	1,059 56	LT
	Nov 19, 14	82 000	74 570	6,114 76	86 410	7,085 62	970 86	LT
Security total		1,535 000	73 442	112,732 86		132,639 35	19,906 49	
PNC FINANCIAL SERVICES GROUP								
Symbol PNC Exchange NYSE								
EAI $2,946 Current yield 1 88%	Aug 27, 14	716 000	84 945	60,821 26	116 960	83,743 36	22,922 10	LT
	Oct 16, 14	623 000	78 977	49,202 79	116 960	72,866 08	23,663 29	LT
Security total		1,339 000	82 169	110,024 05		156,609 44	46,585 39	
RAYTHEON CO NEW								
Symbol RTN Exchange NYSE								
EAI $4,374 Current yield 2 06%	Oct 13, 03	204 000	27 577	5,625 87	142 000	28,968 00	23,342 13	LT
	Aug 16, 11	692 000	41 067	28,418 71	142 000	98,264.00	69,845.29	LT
	Aug 17, 11	304 000	41 369	12,576 36	142 000	43,168 00	30,591 64	LT
	Aug 18, 11	247 000	40 105	9,906 03	142 000	35,074 00	25,167 97	LT
	Aug 19, 11	46 000	39 822	1,831 83	142 000	6,532 00	4,700 17	LT
Security total		1,493 000	39 088	58,358 80		212,006 00	153,647 20	
SOUTHWEST AIRLINES CO								
Symbol LUV Exchange NYSE								
EAI $2,342 Current yield 0 80%	Jun 29, 16	938 000	38 811	36,405 09	49 840	46,749 92	10,344 83	ST
	Jun 30, 16	1,341 000	38 921	52,194 00	49 840	66,835 44	14,641 44	ST
	Jul 1, 16	1,054 000	39 624	41,764 43	49 840	52,531 36	10,766 93	ST
	Jul 22, 16	905 000	37 767	34,179 41	49 840	45,105.20	10,925 79	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Oct 26, 16	1,616 000	37 258	60,209 25	49 840	80,541 44	20,332 19	ST
Security total		5,854 000	38 393	224,752 18		291,763 36	67,011 18	
SUNCOR ENERGY INC NEW CAD								
Symbol SU Exchange NYSE								
EAI $5,651 Current yield 2 62%								
CAD Exchange rate 1 34105	Jan 21, 15	1,583 000	29 590	46,841 60	32 690	51,748 27	4,906 67	LT
	Jan 22, 15	2,369 000	29 646	70,232 32	32 690	77,442 61	7,210 29	LT
	Jan 23, 15	999 000	30 134	30,104 46	32 690	32,657 31	2,552 85	LT
	Jan 26, 15	102 000	29 907	3,050 52	32 690	3,334 38	283 86	LT
	Jun 19, 15	1,546 000	27 548	42,590 75	32 690	50,538 74	7,947 99	LT
Security total		6,599 000	29 220	192,819 65		215,721 31	22,901 66	
SYMANTEC CORP								
Symbol SYMC Exchange OTC								
EAI $2,592 Current yield 1 26%	Aug 19, 16	4,282 000	23 674	101,374 32	23 890	102,296 98	922 66	ST
	Nov 30, 16	2,063 000	24 595	50,739 69	23 890	49,285 07	-1,454 62	ST
	Dec 15, 16	2,295 000	24 787	56,887 54	23 890	54,827 55	-2,059 99	ST
Security total		8,640 000	24 190	209,001 55		206,409 60	-2,591.95	
SYNCHRONY FINL								
Symbol SYF Exchange NYSE								
EAI $4,387 Current yield 1 43%	Mar 17, 15	2,767 000	24 035	66,505 19	36 270	100,359 09	33,853 90	LT
	Aug 31, 16	2,757 000	27 681	76,319 00	36 270	99,996 39	23,677 39	ST
	Sep 22, 16	827 000	27 476	22,723 15	36 270	29,995.29	7,272 14	ST
	Oct 5, 16	773 000	28 008	21,650 65	36 270	28,036 71	6,386 06	ST
	Oct 6, 16	1,054 000	27.069	28,531 37	36 270	38,228 58	9,697 21	ST
	Nov 4, 16	258 000	28 308	7,303 70	36 270	9,357 66	2,053 96	ST
Security total		8,436 000	26 438	223,033 06		305,973.72	82,940 66	
TARGET CORP								
Symbol TGT Exchange NYSE								
EAI $5,810 Current yield 3 32%	Feb 12, 14	577 000	56 760	32,750 98	72 230	41,676 71	8,925 73	LT
	May 22, 14	1,173 000	55 934	65,611 05	72 230	84,725 79	19,114 74	LT
	Jun 8, 16	671 000	68 660	46,071 33	72 230	48,466 33	2,395 00	ST
Security total		2,421 000	59 659	144,433 36		174,868 83	30,435 47	

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
TERADYNE INC								
Symbol TER Exchange NYSE								
EAI $1,607 Current yield 0 95%	May 15, 14	392 000	17 494	6,857 88	25.400	9,956 80	3,098 92	LT
	May 16, 14	552 000	17 739	9,792 20	25 400	14,020 80	4,228 60	LT
	May 19, 14	816 000	17 976	14,669 23	25 400	20,726 40	6,057 17	LT
	May 20, 14	570 000	17 792	10,141 73	25 400	14,478 00	4,336.27	LT
	May 21, 14	190 000	17 938	3,408 30	25 400	4,826 00	1,417 70	LT
	Jul 18, 14	288 000	19 622	5,651 34	25 400	7,315 20	1,663 86	LT
	Jul 21, 14	1,008 000	19 705	19,862 84	25 400	25,603 20	5,740 36	LT
	Jul 24, 14	932 000	18.746	17,471 55	25 400	23,672 80	6,201 25	LT
	Aug 5, 14	310 000	18 548	5,749 97	25 400	7,874 00	2,124 03	LT
	Aug 6, 14	554 000	18 750	10,388 05	25 400	14,071 60	3,683 55	LT
	Aug 7, 14	728 000	18 610	13,548 22	25 400	18,491 20	4,942 98	LT
	Aug 8, 14	170 000	18 566	3,156 36	25 400	4,318 00	1,161 64	LT
	Aug 12, 14	184 000	18 708	3,442 31	25 400	4,673 60	1,231 29	LT
Security total		6,694 000	18 545	124,139 98		170,027 60	45,887 62	
TIME WARNER INC NEW								
Symbol TWX Exchange NYSE								
EAI $1,747 Current yield 1 67%	Jan 30, 14	553 000	60 719	33,577 70	96 530	53,381 09	19,803.39	LT
	Mar 23, 16	532 000	71 149	37,851 43	96 530	51,353 96	13,502 53	ST
Security total		1,085 000	65 833	71,429 13		104,735 05	33,305 92	
UNION PACIFIC CORP								
Symbol UNP Exchange NYSE								
EAI $4,250 Current yield 2.33%	Mar 17, 04	1,756 000	15 500	27,218 44	103 680	182,062 08	154,843 64	LT
UNUM GROUP								
Symbol UNM Exchange NYSE								
EAI $6,402 Current yield 1 82%	Sep 14, 10	1,497 000	22 193	33,224 27	43 930	65,763 21	32,538 94	LT
	Jan 24, 12	129 000	22 926	2,957 57	43 930	5,666 97	2,709 40	LT
	Jan 25, 12	121 000	23 076	2,792 27	43 930	5,315 53	2,523 26	LT
	Jan 26, 12	629 000	22 902	14,405 92	43 930	27,631 97	13,226 05	LT
	Mar 8, 12	1,139 000	23 437	26,694 86	43 930	50,036 27	23,341 41	LT
	Aug 9, 12	1,298 000	19 330	25,090 73	43 930	57,021 14	31,930 41	LT
	Aug 10, 12	760 000	19 356	14,710 64	43 930	33,386 80	18,676 16	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Feb 4, 15	415 000	32 468	13,474 34	43 930	18,230 95	4,756 61	LT
	Feb 5, 15	622 000	32 761	20,377 59	43 930	27,324 46	6,946 87	LT
	Jan 28, 16	404 000	28 082	11,345 41	43 930	17,747 72	6,402 31	ST
	Jan 29, 16	388 000	28 115	10,908 74	43 930	17,044 84	6,136 10	ST
	Feb 1, 16	219 000	28 304	6,198 62	43 930	9,620 67	3,422 05	ST
	Feb 2, 16	382 000	27 742	10,597 52	43 930	16,781.26	6,183 74	ST
Security total		8,003 000	24 088	192,778 48		351,571.79	158,793 31	
VIACOM INC NEW CL B Symbol VIAB Exchange OTC EAI $5,587 Current yield 2 28%	Mar 9, 06	3,321 000	38 164	126,743 97	35 100	116,567 10	-10,176 87	LT
	Nov 11, 14	417 000	69 445	28,958 90	35 100	14,636 70	-14,322 20	LT
	Feb 5, 15	489 000	66 018	32,282 95	35 100	17,163 90	-15,119 05	LT
	Jul 31, 15	556 000	57 021	31,703 68	35 100	19,515 60	-12,188 08	LT
	Aug 3, 15	75 000	56 634	4,247 57	35 100	2,632 50	-1,615 07	LT
	Aug 6, 15	904 000	40 632	36,731.70	35 100	31,730 40	-5,001 30	LT
	Dec 21, 15	482 000	39 334	18,959 08	35 100	16,918 20	-2,040 88	LT
	Apr 19, 16	740 000	35 798	26,490 96	35 100	25,974 00	-516 96	ST
Security total		6,984 000	43 831	306,118 81		245,138 40	-60,980 41	
WELLS FARGO & CO NEW Symbol WFC Exchange NYSE EAI $4,335 Current yield 2 76%	Dec 9, 05	47 000	31 471	1,479 17	55 110	2,590.17	1,111 00	LT
	May 2, 11	1,455 000	29 107	42,350 83	55 110	80,185 05	37,834 22	LT
	Dec 18, 13	636 000	44 115	28,057 20	55 110	35,049 96	6,992.76	LT
	Sep 15, 16	714 000	45 422	32,431 31	55 110	39,348 54	6,917 23	ST
Security total		2,852 000	36 577	104,318 51		157,173 72	52,855 21	
XL GROUP LTD Symbol XL Exchange NYSE EAI $2,481 Current yield 2 15%	Dec 27, 16	3,101 000	38 183	118,408 58	37 260	115,543 26	-2,865.32	ST
Total				**$8,002,284.85**		**$10,184,331.48**	**$2,182,046.63**	

Total estimated annual income: $201,980

[2] Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction

Your assets (continued)

Your total assets

		Value on Dec 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**408,889.10**	**3.86%**	**408,889.10**		
Equities	**Common stock**	**10,184,331.48**	**96.14%**	**8,002,284.85**	**201,980.00**	**2,182,046.63**
Total		**$10,593,220.58**	**100.00%**	**$8,411,173.95**	**$201,980.00**	**$2,182,046.63**

Account activity this month

For more information about the price/value shown for restricted securities see *Important information about your statement* at the end of this document

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Nov 30		**Cash and money balance**					**$332,123.99**
Dec 1	Bought	CVS HEALTH CORP UNSOLICITED		1,057 000	74 361500	-78,600 11	
		SYMBOL CVS ▶ CUSIP NO 126650100 ▶ Location of Execution 01 ▶ Capacity Agent					
Dec 1	Dividend	EQT CORP PAID ON 4722				141 66	
Dec 1	Dividend	PHILLIPS 66 PAID ON 1535				967 05	
Dec 1	Dividend	PFIZER INC PAID ON 6068				1,820 40	
Dec 1	Dividend	UBS SELECT GOVERNMENT CAPITAL FUND AS OF 11/30/16				21 42	
Dec 1	Dividend	WELLS FARGO & CO NEW PAID ON 3758				1,428 04	257,902 45
Dec 5	Bought	SYMANTEC CORP UNSOLICITED		2,063 000	24 595100	-50,739 69	
		SYMBOL SYMC ▶ CUSIP NO 871503108 ▶ Location of Execution 09 ▶ Capacity Agent					
Dec 5	Dividend	UBS SELECT GOVERNMENT CAPITAL FUND				.18	207,162 94
Dec 7	Interest	UBS BANK USA BUSINESS ACCOUNT AS OF 12/06/16				4 14	
Dec 7	Bought	CALPINE CORP NEW UNSOLICITED		5,316 000	10 496200	-55,797 80	151,369 28
		SYMBOL CPN ▶ CUSIP NO 131347304 ▶ Location of Execution 01 ▶ Capacity Agent					
Dec 8	Sold	CITIGROUP INC UNSOLICITED Other fees and charges $1 50		-1,199 000	57 246600	68,637 17	
		SYMBOL C ▶ CUSIP NO 172967424 ▶ Location of Execution 01 ▶ Capacity Agent					
Dec 8	Dividend	MICROSOFT CORP PAID ON 1768				689 52	220,695 97
Dec 9	Transfer	TO ML 09282 7100				-60,000 00	160,695 97
Dec 12	Dividend	TARGET CORP PAID ON 2421 AS OF 12/10/16				1,452 60	162,148 57

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Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC Money market sweep balances are protected by SIPC but are not insured by the FDIC See the *Important information about your statement* at the end of this document for details about those balances

Holding	Opening balance on Dec 1 ($)	Closing balance on Dec 30 ($)	Price per share on Dec 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
UBS BANK USA BUS ACCT	250,000 00	250,000 00					250,000 00
UBS SELECT GOVT CAPITAL	5,296 89	15,317 82	1 00	0 22%	Nov 1 to Nov 30	30	
Total	**$255,296.89**	**$265,317.82**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
AEGON NV ADR N Y SHS								
NETHERLANDS ADR								
Symbol AEG Exchange NYSE	Aug 13, 07	1,394 000	18 152	25,304 86	5 530	7,708 82	-17,596 04	LT
	Aug 14, 07	152 000	18.100	2,751 20	5 530	840 56	-1,910 64	LT
	Sep 6, 07	1,130 000	18 081	20,431 98	5 530	6,248 90	-14,183 08	LT
	Feb 13, 08	1,340 000	14 036	18,809 18	5 530	7,410 20	-11,398 98	LT
	Apr 29, 08	340 000	15.100	5,134 00	5 530	1,880 20	-3,253.80	LT
	Aug 12, 08	428 000	10 630	4,549 64	5 530	2,366 84	-2,182 80	LT
	Aug 16, 10	750 000	5 515	4,136 25	5 530	4,147 50	11 25	LT
	Sep 16, 10	170 000	5.760	979 29	5.530	940.10	-39 19	LT
	Sep 17, 10	1,100 000	5 697	6,267 36	5 530	6,083 00	-184 36	LT

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Your assets › **Equities** › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Apr 23, 12	1,260 000	4 475	5,639 38	5 530	6,967 80	1,328 42	LT
	May 22, 12	463 000	4 090	1,893 67	5 530	2,560 39	666 72	LT
	Aug 17, 15	2,460 000	6 680	16,433 05	5 530	13,603 80	-2,829 25	LT
	Aug 25, 15	2,465 000	6 149	15,158 27	5 530	13,631 45	-1,526 82	LT
	Earnings	2,684 000	5 712	15,333 36	5 530	14,842 52	-490 84	
Security total		16,136 000	8 851	142,821 49		89,232 08	-53,589 41	
AMERICA MOVIL S A B DE C V SER L SPON ADR Symbol AMX Exchange NYSE EAI $828 Current yield 2 27%	Dec 15, 11	225 000	22 507	5,064 23	12 570	2,828 25	-2,235 98	LT
	Dec 27, 11	200 000	22 518	4,503 76	12 570	2,514 00	-1,989 76	LT
	Jan 4, 12	80 000	23 118	1,849 44	12 570	1,005 60	-843 84	LT
	Feb 17, 12	720 000	23 457	16,889 62	12 570	9,050 40	-7,839 22	LT
	Mar 19, 13	775 000	18 909	14,654 79	12 570	9,741 75	-4,913 04	LT
	Dec 31, 15	905 000	14 215	12,865 03	12 570	11,375 85	-1,489 18	LT
Security total		2,905 000	19 218	55,826 87		36,515 85	-19,311 02	
BARCLAYS PLC ADR Symbol BCS Exchange NYSE EAI $1,681 Current yield 2 79%	Nov 7, 07	525 000	43 189	22,674 54	11 000	5,775 00	-16,899 54	LT
	Dec 13, 07	770 000	43 292	33,335 23	11 000	8,470 00	-24,865 23	LT
	Dec 20, 07	450 000	39 858	17,936 19	11 000	4,950 00	-12,986 19	LT
	Feb 4, 08	1,050 000	38 157	40,065 80	11 000	11,550 00	-28,515 80	LT
	Mar 12, 12	35 000	14 761	516 64	11 000	385 00	-131 64	LT
	Mar 16, 12	90 000	15 763	1,418 70	11 000	990 00	-428 70	LT
	Mar 28, 12	180 000	15 988	2,877 97	11 000	1,980 00	-897 97	LT
	Apr 11, 12	120 000	13.399	1,607 94	11 000	1,320 00	-287 94	LT
	Oct 1, 13	1,006 000	12 004	12,076 31	11 000	11,066 00	-1,010 31	LT
	Jun 6, 14	1,120 000	16 350	18,312 00	11 000	12,320 00	-5,992 00	LT
	Earnings	128 000	15 578	1,994 00	11 000	1,408 00	-586 00	
Security total		5,474 000	27 917	152,815 32		60,214 00	-92,601 32	
BP PLC SPON ADR Symbol BP Exchange NYSE EAI $8,328 Current yield 6 37%	May 26, 11	53 000	45 262	2,398 89	37 380	1,981 14	-417.75	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Jun 6, 11	10 000	43 960	439 60	37 380	373 80	-65 80	LT
	Jul 11, 11	60 000	43 788	2,627 31	37 380	2,242 80	-384 51	LT
	Aug 5, 11	140 000	38 770	5,427 80	37 380	5,233 20	-194 60	LT
	Aug 11, 11	75 000	38 288	2,871 64	37 380	2,803.50	-68 14	LT
	Aug 19, 11	330 000	38 975	12,861 85	37 380	12,335 40	-526 45	LT
	Aug 25, 11	30 000	39 467	1,184 03	37 380	1,121 40	-62 63	LT
	Aug 26, 11	15 000	37 956	569 34	37 380	560 70	-8.64	LT
	Sep 20, 11	15 000	38 363	575 45	37 380	560 70	-14 75	LT
	Oct 4, 11	45 000	33 659	1,514 68	37 380	1,682.10	167 42	LT
	Oct 28, 11	10 000	44 954	449 54	37 380	373 80	-75 74	LT
	Dec 12, 11	70 000	41 818	2,927 29	37 380	2,616 60	-310 69	LT
	Mar 21, 12	210 000	46 029	9,666 26	37 380	7,849 80	-1,816 46	LT
	Mar 22, 12	120 000	45 814	5,497 79	37 380	4,485 60	-1,012 19	LT
	Mar 28, 12	30 000	45 119	1,353 57	37 380	1,121 40	-232 17	LT
	May 9, 12	70 000	39 028	2,731 96	37 380	2,616 60	-115 36	LT
	Feb 8, 13	525 000	43 344	22,756 07	37 380	19,624 50	-3,131 57	LT
	Apr 19, 13	370 000	41 024	15,179 14	37 380	13,830 60	-1,348 54	LT
	Apr 26, 13	280 000	42 176	11,809 50	37 380	10,466 40	-1,343 10	LT
	Sep 17, 13	300 000	42 140	12,642 00	37 380	11,214 00	-1,428 00	LT
	Feb 25, 16	370 000	28.672	10,608 68	37 380	13,830 60	3,221 92	ST
	Earnings	371 000	35 362	13,119 42	37 380	13,867 98	748 56	
Security total		3,499 000	39 786	139,211 81		130,792 62	-8,419 19	
CANON INC ADR JAPAN SPON ADR Symbol CAJ Exchange NYSE EAI $2,151 Current yield 4 72%	Aug 28, 13	100 000	30 482	3,048 27	28 140	2,814 00	-234 27	LT
	Sep 30, 13	855 000	32 092	27,438 66	28 140	24,059.70	-3,378 96	LT
	Feb 28, 14	665 000	31 106	20,685 56	28 140	18,713 10	-1,972.46	LT
Security total		1,620 000	31 588	51,172 49		45,586 80	-5,585 69	
CARREFOUR SA SPON ADR Symbol CRRFY Exchange OTC	Oct 23, 09	1,255 000	9 180	11,521 33	4 840	6,074 20	-5,447 13	LT
	Sep 21, 11	4,620 000	4 408	20,367 27	4 840	22,360 80	1,993 53	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Jan 12, 12	120 000	4 246	509 60	4 840	580 80	71 20	LT
	Aug 1, 12	3,795 000	3 624	13,753 08	4 840	18,367 80	4,614 72	LT
	Jun 27, 16	5,360 000	4 789	25,672 04	4 840	25,942 40	270 36	ST
	Earnings	1,256 000	5 311	6,671 11	4 840	6,079 04	-592 07	
Security total		16,406 000	4 784	78,494 43		79,405 04	910 61	
CEMEX S A B DE C V SPON ADR								
Symbol CX Exchange NYSE	Nov 27, 09	397 228	8 350	3,316 94	8 030	3,189 74	-127 20	LT
	Apr 15, 10	473 606	8 207	3,887 16	8 030	3,803 05	-84 11	LT
	May 17, 10	296 004	8 296	2,455 91	8 030	2,376 91	-79 00	LT
	Jun 7, 10	189 767	8 091	1,535 51	8 030	1,523 83	-11 68	LT
	Jun 29, 10	474 417	7.835	3,717 10	8 030	3,809 57	92 47	LT
	Jul 19, 10	626 231	7 397	4,632 69	8 030	5,028 63	395 94	LT
	Aug 6, 10	347 906	7 462	2,596 21	8 030	2,793 68	197 47	LT
	Aug 13, 10	278 325	6 915	1,924 69	8.030	2,234 95	310 26	LT
	Aug 20, 10	569 301	6 678	3,801 84	8 030	4,571 49	769 65	LT
	Mar 4, 15	2,038 816	9 076	18,505 99	8 030	16,371 69	-2,134 30	LT
	Nov 18, 15	1,658 800	5 621	9,325 49	8 030	13,320 16	3,994 67	LT
	Jan 26, 16	1,757 600	3 805	6,688 68	8 030	14,113 53	7,424 85	ST
Security total		9,108 000	6 850	62,388 21		73,137 24	10,749 02	
CHINA MOBILE LTD SPON ADR								
Symbol CHL Exchange NYSE								
EAI $1,728 Current yield 2 97%	Mar 3, 14	150 000	47 927	7,189 11	52 430	7,864 50	675 39	LT
	Mar 7, 14	295 000	47 586	14,037 93	52 430	15,466 85	1,428 92	LT
	Apr 25, 14	405 000	44 622	18,072 15	52 430	21,234 15	3,162 00	LT
	Jun 26, 15	260 000	64 776	16,841 86	52 430	13,631 80	-3,210 06	LT
Security total		1,110 000	50 578	56,141 05		58,197 30	2,056 25	
COMPAGNIE DE SAINT-GOBAIN ADR								
Symbol CODYY Exchange OTC								
EAI $342 Current yield 2 15%	Dec 2, 16	1,725 000	8 562	14,770 99	9 220	15,904 50	1,133 51	ST
CREDIT SUISSE GROUP SPON ADR								
Symbol CS Exchange NYSE	Jul 8, 15	1,710 000	27 573	47,149 83	14 310	24,470 10	-22,679 73	LT
	Sep 17, 15	740 000	26 954	19,946 18	14.310	10,589 40	-9,356 78	LT
	Jan 5, 16	880 000	21 158	18,619 83	14 310	12,592 80	-6,027 03	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	May 12, 16	1,835 000	13 198	24,218 33	14 310	26,258 85	2,040 52	ST
	Earnings	186 000	12 815	2,383 60	14 310	2,661.66	278 06	
Security total		5,351 000	20 990	112,317 77		76,572 81	-35,744 96	
DAI NIPPON PRINTING CO SPON ADR Symbol DNPLY Exchange OTC EAI $1,103 Current yield 2 23%	Jul 21, 06	2,035 000	14 954	30,432 41	9 840	20,024 40	-10,408 01	LT
	Nov 29, 06	3,000 000	14 869	44,608 20	9 840	29,520 00	-15,088.20	LT
Security total		5,035 000	14 904	75,040 61		49,544 40	-25,496 21	
DAIICHI SANKYO CO LTD SPON ADR Symbol DSNKY Exchange OTC EAI $1,523 Current yield 2 25%	May 31, 13	65 000	16 651	1,082 33	20 300	1,319 50	237 17	LT
	Jan 30, 14	1,210 000	16 421	19,870 50	20 300	24,563 00	4,692 50	LT
	Mar 20, 14	1,070 000	16 197	17,331 75	20 300	21,721 00	4,389 25	LT
	May 7, 14	995 000	16 550	16,467 65	20 300	20,198 50	3,730 85	LT
Security total		3,340 000	16 393	54,752 23		67,802 00	13,049 77	
EMBRAER S A SPON ADR Symbol ERJ Exchange NYSE EAI $112 Current yield 0 18%	Jan 3, 14	1,195 000	32 344	38,651 32	19 250	23,003 75	-15,647 57	LT
	Jan 3, 14	960 000	32 353	31,059 17	19 250	18,480 00	-12,579 17	LT
	Mar 23, 15	520 000	31 800	16,536 36	19.250	10,010 00	-6,526 36	LT
	Dec 6, 16	620 000	19 763	12,253 54	19 250	11,935 00	-318 54	ST
Security total		3,295 000	29 894	98,500 39		63,428 75	-35,071 64	
ENGIE SPON ADR Symbol ENGIY Exchange OTC EAI $7,683 Current yield 7 04%	Mar 9, 12	20 000	26 103	522 07	12 740	254 80	-267 27	LT
	Mar 22, 12	340 000	25.922	8,813 48	12.740	4,331 60	-4,481.88	LT
	Mar 27, 12	460 000	26 254	12,077 12	12 740	5,860 40	-6,216 72	LT
	Mar 29, 12	1,220 000	25 873	31,565 67	12 740	15,542 80	-16,022 87	LT
	Apr 3, 12	160 000	25 742	4,118 80	12.740	2,038 40	-2,080 40	LT
	Apr 10, 12	140 000	24 202	3,388 31	12 740	1,783 60	-1,604 71	LT
	May 2, 12	20 000	23 166	463 32	12 740	254 80	-208 52	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	May 4, 12	80 000	22 702	1,816 21	12 740	1,019 20	-797 01	LT
	Jul 24, 12	3,135 000	20 413	63,995 38	12 740	39,939 90	-24,055 48	LT
	Dec 20, 12	780 000	20 217	15,769 31	12 740	9,937 20	-5,832 11	LT
	Feb 19, 13	970 000	19 819	19,225 16	12 740	12,357 80	-6,867 36	LT
	May 7, 15	550 000	20 506	11,278 42	12 740	7,007 00	-4,271 42	LT
	May 15, 15	690.000	20 481	14,132 09	12 740	8,790.60	-5,341 49	LT
Security total		8,565 000	21 852	187,165 34		109,118 10	-78,047 24	
ENI SPA IT SPON ADR Symbol E Exchange NYSE EAI $4,648 Current yield 3 98%	Jul 13, 09	250 000	43 858	10,964 63	32 240	8,060 00	-2,904 63	LT
	Feb 26, 10	710 000	45 040	31,978 40	32 240	22,890 40	-9,088 00	LT
	Apr 8, 10	40 000	46 000	1,840 03	32 240	1,289 60	-550 43	LT
	Apr 22, 10	340 000	46 718	15,884 15	32 240	10,961 60	-4,922 55	LT
	Apr 29, 10	170 000	44 885	7,630 48	32 240	5,480 80	-2,149 68	LT
	May 5, 10	40 000	42 757	1,710 30	32 240	1,289 60	-420 70	LT
	May 6, 10	80 000	41 085	3,286 87	32 240	2,579 20	-707 67	LT
	May 7, 10	15 000	39 652	594 79	32 240	483 60	-111 19	LT
	May 12, 10	20 000	42 020	840 40	32 240	644 80	-195 60	LT
	May 17, 10	60 000	39 285	2,357 12	32 240	1,934 40	-422 72	LT
	Jun 2, 10	195 000	36 600	7,137 00	32 240	6,286 80	-850 20	LT
	Jun 7, 10	40 000	35 328	1,413 15	32 240	1,289 60	-123 55	LT
	Mar 9, 11	120 000	49 703	5,964 38	32 240	3,868.80	-2,095 58	LT
	Mar 15, 11	40 000	46 967	1,878 71	32 240	1,289 60	-589 11	LT
	May 24, 11	90 000	46 143	4,152 88	32 240	2,901 60	-1,251 28	LT
	Jul 12, 11	20 000	43 749	874 98	32 240	644 80	-230 18	LT
	Sep 23, 11	45 000	33 587	1,511 43	32 240	1,450 80	-60 63	LT
	Sep 29, 11	60 000	35 649	2,138 97	32 240	1,934 40	-204 57	LT
	Jan 5, 15	630 000	34.240	21,571 20	32 240	20,311 20	-1,260 00	LT
	Feb 13, 15	320 000	35 900	11,488 28	32 240	10,316 80	-1,171 48	LT
	Apr 15, 16	335 000	30 686	10,279 90	32 240	10,800 40	520 50	ST
Security total		3,620 000	40 193	145,498 05		116,708 80	-28,789 25	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
ERICSSON SEK 10 NEW 2002 ADR								
Symbol ERIC Exchange OTC								
EAI $2,061 Current yield 5 15%	Jul 8, 15	4,700 000	10 063	47,299 39	5 830	27,401 00	-19,898 39	LT
	Aug 4, 15	2,170 000	10 541	22,874 40	5 830	12,651.10	-10,223 30	LT
Security total		6,870 000	10 215	70,173.79		40,052 10	-30,121 69	
ERSTE GROUP BANK AG SPON ADR								
Symbol EBKDY Exchange OTC								
EAI $1,052 Current yield 1.78%	Aug 20, 14	2,685 000	12 518	33,612 18	14 615	39,241 27	5,629.09	LT
	Sep 30, 14	1,360 000	11 368	15,460 75	14 615	19,876 40	4,415 65	LT
Security total		4,045 000	12 132	49,072 93		59,117 67	10,044 74	
FIRST PAC CO LTD SPONS ADR ADR								
Symbol FPAFY Exchange OTC								
EAI $1,193 Current yield 2.05%	May 21, 12	5,500 000	4 992	27,456 00	3 460	19,030 00	-8,426 00	LT
	May 29, 12	900 000	4 984	4,485 96	3 460	3,114 00	-1,371 96	LT
	Jun 5, 12	2,800 000	4 933	13,814 92	3 460	9,688 00	-4,126 92	LT
	Feb 7, 14	4,020 000	5.008	20,134 57	3 460	13,909 20	-6,225 37	LT
	Jun 19, 15	3,585 000	4 313	15,462 46	3 460	12,404 10	-3,058 36	LT
Security total		16,805 000	4 841	81,353 91		58,145 30	-23,208 61	
GAZPROM PJSC LEVEL 1 ADR								
PROGRAM (RUSSIA) SPON ADR								
Symbol OGZPY Exchange OTC								
EAI $1,928 Current yield 3 69%	Oct 22, 14	7,230 000	6 556	47,404 21	5 090	36,800 70	-10,603 51	LT
	Mar 17, 15	3,025 000	4 530	13,704 16	5 090	15,397 25	1,693 09	LT
Security total		10,255 000	5 959	61,108.37		52,197.95	-8,910 42	
GLAXO SMITHKLINE PLC ADR								
Symbol GSK Exchange NYSE								
EAI $6,387 Current yield 5 37%	Jul 11, 07	370 000	51 846	19,183 35	38 510	14,248 70	-4,934 65	LT
	Jul 25, 07	750 000	52 585	39,438 98	38 510	28,882 50	-10,556 48	LT
	Dec 3, 13	385 000	53 003	20,406 39	38 510	14,826 35	-5,580 04	LT
	Jun 20, 14	355 000	54 546	19,363 90	38 510	13,671 05	-5,692.85	LT
	Sep 8, 14	770 000	46 573	35,861 36	38 510	29,652 70	-6,208 66	LT
	May 8, 15	460 000	45 400	20,884 00	38 510	17,714 60	-3,169 40	LT
Security total		3,090 000	50 206	155,137 98		118,995 90	-36,142 08	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
G4S ADR								
Symbol GFSZY Exchange OTC								
EAI $1,907 Current yield 3 87%	Mar 12, 14	2,700 000	19 583	52,874 10	14 480	39,096 00	-13,778 10	LT
	Mar 21, 14	705 000	19 806	13,963 51	14 480	10,208 40	-3,755 11	LT
Security total		3,405 000	19 629	66,837 61		49,304 40	-17,533 21	
HONDA MOTOR CO ADR JAPAN ADR								
Symbol HMC Exchange NYSE								
EAI $2,233 Current yield 2 48%	Apr 11, 11	715 000	34 137	24,408 09	29 190	20,870 85	-3,537 24	LT
	Apr 12, 11	15 000	34 136	512 04	29 190	437 85	-74 19	LT
	Feb 27, 14	415 000	36 202	15,024 20	29 190	12,113 85	-2,910 35	LT
	Apr 28, 14	640 000	32 494	20,796 35	29 190	18,681 60	-2,114 75	LT
	Jan 5, 15	585 000	28 969	16,947 22	29 190	17,076 15	128 93	LT
	Mar 5, 15	710 000	33 247	23,605 37	29 190	20,724 90	-2,880 47	LT
Security total		3,080 000	32 887	101,293 27		89,905 20	-11,388 07	
HSBC HOLDINGS PLC NEW GB SPON ADR								
Symbol HSBC Exchange NYSE								
EAI $5,197 Current yield 6 35%	Jun 20, 11	330 000	48 448	15,988 10	40 180	13,259 40	-2,728 70	LT
	Jul 27, 11	10 000	49 599	495 99	40 180	401 80	-94 19	LT
	Jul 29, 11	20 000	48 910	978 21	40 180	803 60	-174 61	LT
	Nov 9, 11	280 000	41 792	11,701 87	40 180	11,250 40	-451 47	LT
	Nov 15, 11	15 000	39 364	590 46	40 180	602.70	12 24	LT
	Apr 23, 12	40 000	43 917	1,756 70	40 180	1,607 20	-149 50	LT
	Oct 3, 13	515 000	54 293	27,961 00	40 180	20,692 70	-7,268 30	LT
	Oct 14, 13	240 000	55 280	13,267 27	40 180	9,643 20	-3,624 07	LT
	Mar 27, 15	450 000	43 231	19,454 31	40 180	18,081 00	-1,373 31	LT
	Earnings	138 000	42 302	5,837 78	40 180	5,544 84	-292.94	
Security total		2,038 000	48 102	98,031 69		81,886 84	-16,144 85	
J SAINSBURY PLC SPON ADR								
Symbol JSAIY Exchange OTC								
EAI $2,654 Current yield 4 58%	Jun 20, 08	1,198 000	25 848	30,966 98	12 212	14,629 97	-16,337 01	LT
	Apr 12, 11	1,475 000	22 109	32,612 10	12 212	18,012 70	-14,599 40	LT
	Mar 21, 14	1,265 000	20 285	25,660 90	12 212	15,448 18	-10,212 72	LT

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Sep 30, 14	810 000	16 288	13,193 36	12 212	9,891 72	-3,301 64	LT
Security total		4,748 000	21 574	102,433 34		57,982 57	-44,450 77	
KINGFISHER PLC NEW SPON ADR								
Symbol KGFHY Exchange OTC								
EAI $1,610 Current yield 2 94%	Dec 31, 15	6,415 000	9 886	63,423 17	8 550	54,848 25	-8,574 92	LT
LUKOIL PJSC SPON ADR								
Symbol LUKOY Exchange OTC								
EAI $5,861 Current yield 4 28%	Feb 10, 12	10 000	60 632	606 32	56 120	561 20	-45 12	LT
	Feb 14, 12	30 000	61 848	1,855 46	56 120	1,683 60	-171 86	LT
	Mar 22, 12	850 000	62 285	52,942 68	56 120	47,702 00	-5,240 68	LT
	Mar 27, 12	270 000	63 786	17,222 22	56 120	15,152 40	-2,069 82	LT
	Mar 28, 12	30 000	62 714	1,881 44	56 120	1,683 60	-197 84	LT
	Mar 29, 12	20 000	61 082	1,221 65	56 120	1,122 40	-99 25	LT
	Mar 3, 14	310 000	49 468	15,335 20	56 120	17,397 20	2,062.00	LT
	Mar 14, 14	125 000	50 997	6,374 71	56 120	7,015 00	640 29	LT
	May 21, 14	375 000	57 065	21,399 56	56 120	21,045 00	-354 56	LT
	Aug 4, 15	420 000	39 548	16,610 29	56 120	23,570.40	6,960 11	LT
Security total		2,440 000	55 512	135,449 53		136,932 80	1,483 27	
MARKS & SPENCER GROUP INC SPON ADR								
Symbol MAKSY Exchange OTC								
EAI $3,402 Current yield 5 29%	Mar 17, 08	610 000	14 423	8,798 15	8 510	5,191 10	-3,607 05	LT
	Jul 9, 08	3,130 000	9 299	29,108 06	8 510	26,636 30	-2,471 76	LT
	Jul 23, 08	1,890 000	10 847	20,501 02	8 510	16,083 90	-4,417 12	LT
	Jul 5, 16	1,930 000	7 910	15,267 26	8 510	16,424 30	1,157 04	ST
Security total		7,560 000	9 745	73,674 49		64,335 60	-9,338 89	
MITSUBISHI TANABE PHARMA CORP SPON ADR								
Symbol MTZPY Exchange OTC								
EAI $1,092 Current yield 1 66%	Jan 8, 14	2,370 000	14 356	34,024 67	19 550	46,333 50	12,308 83	LT
	Mar 24, 14	1,000 000	14 255	14,255 60	19 550	19,550 00	5,294.40	LT
Security total		3,370 000	14 326	48,280 27		65,883 50	17,603 23	

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
MITSUBISHI UFJ FINANCIAL GROUP INC SPON ADR								
Symbol MTU Exchange NYSE								
EAI $2,026 Current yield 2 37%	Nov 21, 06	1,275 000	11 774	15,012 36	6 160	7,854 00	-7,158 36	LT
	Mar 28, 07	4,040 000	11 450	46,261 23	6 160	24,886 40	-21,374 83	LT
	Apr 18, 07	3,110 000	11 182	34,777 58	6 160	19,157 60	-15,619 98	LT
	Jul 25, 07	5,450 000	11 094	60,466 66	6 160	33,572 00	-26,894 66	LT
Security total		13,875 000	11 281	156,517 83		85,470 00	-71,047 83	
MS&AD INS GROUP HLDGS ADR								
Symbol MSADY Exchange OTC								
EAI $1,534 Current yield 2 34%	Sep 20, 07	2,980 000	17 670	52,659 24	15 410	45,921 80	-6,737 44	LT
	Jul 9, 14	1,280 000	11 656	14,920 06	15 410	19,724 80	4,804 74	LT
Security total		4,260 000	15 864	67,579 30		65,646 60	-1,932 70	
NISSAN MTR LTD SPONS ADR JAPAN ADR								
Symbol NSANY Exchange OTC								
EAI $2,655 Current yield 3 43%	Nov 8, 13	735 000	18 097	13,301 52	20 000	14,700 00	1,398 48	LT
	Nov 22, 13	1,170 000	18 409	21,538 88	20 000	23,400 00	1,861 12	LT
	Dec 30, 13	810 000	16 851	13,649 31	20 000	16,200 00	2,550 69	LT
	Jan 10, 14	1,155 000	17 931	20,710 88	20.000	23,100 00	2,389 12	LT
Security total		3,870 000	17 881	69,200 59		77,400 00	8,199 41	
NOKIA CORP SPONS ADR FINLAND ADR								
Symbol NOK Exchange NYSE								
EAI $1,516 Current yield 4 22%	May 12, 16	7,470 000	5 200	38,844 00	4 810	35,930 70	-2,913 30	ST
ORANGE SPON ADR								
Symbol ORAN Exchange NYSE								
EAI $1,673 Current yield 2 82%	Jun 21, 13	1,410 000	9 707	13,687 40	15 140	21,347 40	7,660.00	LT
	Jun 21, 13	344 000	9 687	3,332 37	15 140	5,208.16	1,875 79	LT
	Feb 20, 15	945 000	17 781	16,803 51	15 140	14,307 30	-2,496 21	LT
	Jun 26, 15	1,220 000	16 412	20,022 96	15 140	18,470 80	-1,552.16	LT
Security total		3,919 000	13 740	53,846 24		59,333 66	5,487 42	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
PETROLEO BRASILEIRO SA								
PETROBRAS NON VTG SPON ADR								
Symbol PBR A Exchange NYSE	Sep 4, 15	340 000	4 555	1,548 73	8 810	2,995 40	1,446 67	LT
	Jan 6, 16	5,645 000	3 190	18,009 24	8 810	49,732 45	31,723 21	ST
Security total		5,985 000	3 268	19,557 97		52,727 85	33,169 88	
POSCO SPON ADR								
Symbol PKX Exchange NYSE								
EAI $496 Current yield 0.76%	Dec 27, 11	45 000	83 889	3,775 04	52.550	2,364 75	-1,410 29	LT
	Jan 4, 12	50 000	84 980	4,249 02	52 550	2,627 50	-1,621 52	LT
	Feb 14, 12	50 000	90.957	4,547 88	52 550	2,627 50	-1,920 38	LT
	Feb 17, 12	75 000	91 283	6,846 28	52 550	3,941 25	-2,905 03	LT
	Mar 27, 12	45 000	85 008	3,825 36	52 550	2,364 75	-1,460 61	LT
	Mar 29, 12	20 000	82 419	1,648 38	52 550	1,051 00	-597 38	LT
	Mar 15, 13	205 000	74 399	15,251 84	52 550	10,772 75	-4,479 09	LT
	Feb 26, 14	280 000	67 406	18,873 88	52 550	14,714 00	-4,159 88	LT
	Sep 4, 15	465 000	38 899	18,088 31	52 550	24,435 75	6,347 44	LT
Security total		1,235 000	62 434	77,105 99		64,899 25	-12,206 74	
PUBLICIS GROUPE S A NEW SPON ADR								
Symbol PUBGY Exchange OTC								
EAI $893 Current yield 2 03%	Jan 26, 16	2,560 000	13 980	35,790 10	17.195	44,019 20	8,229 10	ST
REPSOL SA SPON ADR								
Symbol REPYY Exchange OTC								
EAI $2,679 Current yield 3 89%	Jan 6, 15	3,965 000	17 279	68,511 63	14 100	55,906 50	-12,605 13	LT
	Sep 4, 15	915 000	13 418	12,277 65	14 100	12,901 50	623 85	LT
Security total		4,880 000	16 555	80,789 28		68,808 00	-11,981 28	
SANOFI SPON ADR								
Symbol SNY Exchange NYSE								
EAI $2,731 Current yield 2 78%	Feb 22, 07	255 000	43 786	11,165 66	40 440	10,312 20	-853 46	LT
	Jul 27, 07	520 000	41 458	21,558 52	40 440	21,028 80	-529 72	LT
	Aug 17, 07	510 000	39 008	19,894 13	40 440	20,624 40	730 27	LT
	Dec 17, 13	560 000	50 080	28,045 12	40 440	22,646 40	-5,398 72	LT
	May 3, 16	585 000	41 448	24,247 57	40 440	23,657 40	-590 17	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
Security total		2,430 000	43 173	104,911 00		98,269 20	-6,641 80	
SCHNEIDER ELEC SE UNSPONSORED ADR								
Symbol SBGSY Exchange OTC								
EAI $2,173 Current yield 2 93%	Aug 21, 15	3,715 000	12 866	47,799 35	13 810	51,304 15	3,504 80	LT
	Aug 31, 15	1,650 000	12 537	20,686 26	13 810	22,786 50	2,100 24	LT
Security total		5,365 000	12 765	68,485 61		74,090 65	5,605 04	
SHINHAN FINANCIAL HLDG CO SPON ADR								
Symbol SHG Exchange NYSE								
EAI $1,400 Current yield 2.11%	Apr 9, 15	1,345 000	36 021	48,449 32	37 640	50,625 80	2,176 48	LT
	Jul 20, 15	415 000	34 151	14,172 83	37 640	15,620 60	1,447 77	LT
	Jul 22, 15	5 000	34 250	171 25	37 640	188 20	16 95	LT
Security total		1,765 000	35 577	62,793 40		66,434 60	3,641 20	
SWATCH GROUP AG ADR								
Symbol SWGAY Exchange OTC								
EAI $743 Current yield 1 41%	Jun 15, 15	2,400 000	19 712	47,310 00	15 485	37,164 00	-10,146 00	LT
	Jul 31, 15	1,010 000	21 590	21,806 10	15 485	15,639 85	-6,166 25	LT
Security total		3,410 000	20 269	69,116 10		52,803 85	-16,312 25	
SWISS RE LTD SPON ADR								
Symbol SSREY Exchange OTC								
EAI $2,050 Current yield 4 10%	Jun 22, 11	1,185 000	14 059	16,660 06	23 760	28,155 60	11,495 54	LT
	May 29, 15	920 000	22.567	20,761 71	23 760	21,859 20	1,097 49	LT
Security total		2,105 000	17 778	37,421 77		50,014 80	12,593 03	
TAKEDA PHARMACEUTICAL CO LTD SPON ADR								
Symbol TKPYY Exchange OTC								
EAI $1,630 Current yield 2 92%	Mar 4, 08	180 000	27 292	4,912 63	20 780	3,740 40	-1,172 23	LT
	Oct 4, 10	525 000	23 126	12,141 41	20 780	10,909 50	-1,231.91	LT
	Oct 28, 10	860 000	23 199	19,951 57	20 780	17,870 80	-2,080 77	LT
	Mar 31, 11	60 000	23 452	1,407 16	20 780	1,246 80	-160 36	LT
	Jul 12, 11	1,060 000	23 044	24,427 06	20 780	22,026 80	-2,400 26	LT
Security total		2,685 000	23 404	62,839 83		55,794 30	-7,045.53	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
TELECOM ITALIA SPA NEW REPSTG								
10 ORD SHS SPON ADR								
Symbol TI Exchange NYSE	Aug 10, 07	693 000	26 385	18,284 94	8 890	6,160 77	-12,124 17	LT
	Dec 17, 09	990 000	15 764	15,607 25	8 890	8,801 10	-6,806 15	LT
	Jun 11, 12	1,430 000	8 878	12,695 97	8 890	12,712.70	16 73	LT
	Jul 16, 13	2,915 000	6 417	18,706 98	8 890	25,914 35	7,207 37	LT
	Jun 27, 16	4,365 000	7 609	33,217 22	8 890	38,804 85	5,587 63	ST
Security total		10,393.000	9 479	98,512 36		92,393.77	-6,118 59	
TELEFONICA BRASIL SA SPON ADR								
Symbol VIV Exchange NYSE								
EAI $2,402 Current yield 3 89%	Jul 24, 13	579 000	21 780	12,611 08	13 380	7,747.02	-4,864 06	LT
	May 12, 15	1,455 000	15 220	22,145 68	13 380	19,467 90	-2,677 78	LT
	May 26, 15	1,345 000	13 962	18,779 70	13 380	17,996 10	-783 60	LT
	Jan 6, 16	1,240 000	8 763	10,866 12	13 380	16,591 20	5,725 08	ST
Security total		4,619 000	13 943	64,402 58		61,802 22	-2,600 36	
TESCO PLC SPONS ADR								
UNITED KINGDOM								
Symbol TSCDY Exchange OTC	Feb 21, 12	2,905 000	15 370	44,652 46	7 590	22,048 95	-22,603 51	LT
	Mar 28, 12	1,590 000	16 239	25,821 28	7 590	12,068 10	-13,753 18	LT
	Jan 10, 14	2,290 000	15 991	36,621 45	7 590	17,381 10	-19,240 35	LT
	Aug 22, 14	2,095 000	12 348	25,870 95	7 590	15,901 05	-9,969 90	LT
	Sep 30, 14	2,085 000	9 145	19,067 53	7 590	15,825 15	-3,242 38	LT
	Nov 12, 15	1,595 000	7 841	12,507 67	7 590	12,106 05	-401 62	LT
Security total		12,560 000	13 100	164,541 34		95,330 40	-69,210 94	
TIM PARTICIPACOES SA SPON ADR								
Symbol TSU Exchange NYSE								
EAI $685 Current yield 2 13%	Aug 6, 15	2,720 000	13 204	35,916 51	11 800	32,096 00	-3,820.51	LT
UBS GROUP AG CHF								
Symbol UBS Exchange NYSE								
EAI $2,901 Current yield 4 37%								
CHF Exchange rate 1 01635	Jun 4, 10	1,355 000	12 927	17,517 03	15 670	21,232 85	3,715 82	LT
	Jun 24, 10	1,050 000	13 984	14,683 52	15 670	16,453 50	1,769 98	LT
	Sep 23, 11	100 000	10 946	1,094 66	15 670	1,567.00	472 34	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Sep 29, 11	80 000	12 540	1,003 26	15 670	1,253 60	250 34	LT
	Oct 17, 11	240 000	11 824	2,837 86	15 670	3,760 80	922 94	LT
	Oct 19, 11	40 000	11 737	469 49	15 670	626 80	157 31	LT
	Aug 8, 14	1,375 000	17.385	23,905 06	15 670	21,546 25	-2,358 81	LT
Security total		4,240 000	14 507	61,510 88		66,440 80	4,929 92	
WILLIS TOWERS WATSON PUB LTD CO Symbol WLTW Exchange OTC EAI $739 Current yield 1 57%	Jun 16, 14	130 187	113 801	14,815 47	122 280	15,919 25	1,103 78	LT
	Jul 8, 14	254 813	113 910	29,025 88	122 280	31,158 55	2,132 67	LT
Security total		385 000	113 874	43,841 35		47,077 80	3,236 45	
WM MORRISON SUPERMARKETS PLC ADR Symbol MRWSY Exchange OTC EAI $2,139 Current yield 2 08%	Nov 26, 13	3,060 000	21 420	65,547 65	14 180	43,390 80	-22,156 85	LT
	Jan 7, 14	745 000	20 794	15,491 98	14 180	10,564 10	-4,927 88	LT
	Feb 7, 14	825 000	19 568	16,143 68	14 180	11,698 50	-4,445 18	LT
	Apr 7, 14	1,550 000	17.217	26,687 75	14 180	21,979 00	-4,708 75	LT
	Jun 27, 14	1,070 000	15 696	16,795 47	14 180	15,172 60	-1,622 87	LT
Security total		7,250 000	19 402	140,666 53		102,805 00	-37,861 53	
Total				**$4,147,377.96**		**$3,451,337.02**	**-$696,040.95**	

Total estimated annual income: $99,769

Fixed income

Preferred securities

Holding	Trade date	Number of shares	Purchase price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
SURGUTNEFTEGAZ SPON ADR Symbol SGTPY Exchange OTC EAI $8,453 Current yield 16 82%	Mar 20, 15	9,795 000	7 188	70,414 30	5 130	50,248 35	-20,165 95	LT

Your assets (continued)

Your total assets

		Value on Dec 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**265,317.82**	**7.04%**	**265,317.82**		
Equities	**Common stock**	**3,451,337.02**	**91.63%**	**4,147,377.96**	**99,769.00**	**-696,040.95**
Fixed income	**Preferred securities**	**50,248.35**	**1.33%**	**70,414.30**	**8,453.00**	**-20,165.95**
Total		**$3,766,903.19**	**100.00%**	**$4,483,110.08**	**$108,222.00**	**-$716,206.90**

Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Nov 30		**Cash and money balance**					**$255,296.89**
Dec 1	Dividend	UBS SELECT GOVERNMENT CAPITAL FUND AS OF 11/30/16				28	255,297.17
Dec 2	Fee	NISSAN MTR LTD SPONS ADR JAPAN ADR CUSIP 654744408				-115 80	
Dec 2	Foreign Tax Withheld	NISSAN MTR LTD SPONS ADR JAPAN ADR CUSIP 654744408				-313 25	
Dec 2	Foreign Dividend	NISSAN MTR LTD SPONS ADR JAPAN ADR PAID ON 4825 CUSIP 654744408				2,045 39	
Dec 2	Foreign Tax Withheld	POSCO SPON ADR CUSIP 693483109				-58 82	
Dec 2	Foreign Dividend	POSCO SPON ADR PAID ON 1690 CUSIP 693483109				267 38	257,122 07
Dec 6	Foreign Dividend	HSBC HOLDINGS PLC NEW GB SPON ADR PAID ON 2038 CUSIP 404280406				1,019 00	
Dec 6	Fee	HONDA MOTOR CO ADR JAPAN ADR CUSIP 438128308				-16 78	
Dec 6	Foreign Tax Withheld	HONDA MOTOR CO ADR JAPAN ADR CUSIP 438128308				-125 83	

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Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC Money market sweep balances are protected by SIPC but are not insured by the FDIC See the *Important information about your statement* at the end of this document for details about those balances

Holding	Opening balance on Dec 1 ($)	Closing balance on Dec 30 ($)	Price per share on Dec 30 ($)	Average rate	Dividend/Interest period	Days in period	Cap amount ($)
UBS BANK USA BUS ACCT	250,000 00	250,000 00					250,000 00
UBS SELECT GOVT CAPITAL	206,152 80	140,443 36	1 00	0 22%	Nov 1 to Nov 30	30	
Total	**$456,152.80**	**$390,443.36**					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
ABBVIE INC COM								
Symbol ABBV Exchange NYSE								
EAI $18,432 Current yield 4 09%	Mar 12, 15	4,308 000	58 100	250,296.52	62 620	269,766.96	19,470 44	LT
	Apr 1, 15	2,892 000	57 040	164,960 84	62 620	181,097 04	16,136 20	LT
Security total		7,200 000	57 675	415,257 36		450,864 00	35,606 64	
AKAMAI TECHNOLOGIES INC								
Symbol AKAM Exchange OTC	Jul 8, 16	4,564 000	56 384	257,340 68	66 680	304,327 52	46,986.84	ST
ALLERGAN PLC								
Symbol AGN Exchange NYSE								
EAI $4,925 Current yield 1 33%	Mar 17, 15	193 000	305 000	58,865 00	210.010	40,531 93	-18,333 07	LT
	Mar 24, 15	578 000	311 415	179,998 33	210 010	121,385 78	-58,612 55	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Nov 2, 15	250 000	312 707	78,176 95	210 010	52,502 50	-25,674 45	LT
	Apr 5, 16	738 000	231 989	171,208 25	210 010	154,987 38	-16,220 87	ST
Security total		1,759.000	277 572	488,248 53		369,407 59	-118,840 94	
ALPHABET INC CL A								
Symbol GOOGL Exchange OTC	Mar 18, 09	71 000	168 255	11,946 14	792 450	56,263 95	44,317 81	LT
	Jul 9, 10	75 000	232 528	17,439 61	792 450	59,433 75	41,994 14	LT
	Sep 13, 10	75 000	241 351	18,101 37	792 450	59,433 75	41,332 38	LT
	Feb 2, 12	115 000	292 530	33,641 00	792 450	91,131 75	57,490 75	LT
	Apr 29, 14	422 000	535 044	225,788 91	792 450	334,413 90	108,624 99	LT
Security total		758 000	404 904	306,917 03		600,677 10	293,760 07	
APPLE INC								
Symbol AAPL Exchange OTC								
EAI $12,540 Current yield 1 97%	Apr 10, 12	1,168 000	89 886	104,987 45	115 820	135,277 76	30,290 31	LT
	Apr 24, 12	868 000	79 919	69,370 47	115 820	100,531 76	31,161 29	LT
	Jul 16, 12	686 000	86 887	59,604 58	115 820	79,452 52	19,847 94	LT
	Dec 10, 12	1,001 000	75 643	75,719 10	115 820	115,935 82	40,216 72	LT
	Mar 6, 13	1,120 000	60 939	72,613 69[2]	115 820	129,718 40	57,104 71	LT
	Jul 1, 14	657 000	93 758	61,599 47	115 820	76,093 74	14,494 27	LT
Security total		5,500 000	80 708	443,894 76		637,010 00	193,115 24	
BLACKROCK INC								
Symbol BLK Exchange NYSE								
EAI $6,595 Current yield 2 41%	Dec 15, 16	720 000	392 844	282,848 11	380 540	273,988 80	-8,859.31	ST
BOEING COMPANY								
Symbol BA Exchange NYSE								
EAI $17,710 Current yield 3 65%	Aug 26, 14	473 000	128 820	60,932 33	155 680	73,636 64	12,704 31	LT
	Sep 3, 14	936 000	125 991	117,928 51	155 680	145,716 48	27,787 97	LT
	Nov 13, 14	564 000	128 124	72,262 16	155 680	87,803.52	15,541 36	LT
	Feb 23, 16	1,145 000	116 328	133,196 36	155 680	178,253.60	45,057 24	ST
Security total		3,118 000	123 258	384,319 36		485,410 24	101,090 88	
BRISTOL MYERS SQUIBB CO								
Symbol BMY Exchange NYSE								
EAI $7,714 Current yield 2 67%	Feb 25, 14	198 000	54 349	10,761 26	58 440	11,571 12	809 86	LT
	May 28, 14	3,124 000	48 582	151,772 35	58 440	182,566 56	30,794 21	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
	Nov 10, 16	1,623 000	56 435	91,594 82	58 440	94,848 12	3,253 30	ST
Security total		4,945 000	51 391	254,128 43		288,985.80	34,857 37	
CARNIVAL CORP NEW (PAIRED STOCK)								
Symbol CCL Exchange NYSE								
EAI $9,771 Current yield 2 69%	Dec 5, 14	3,943 000	44 562	175,709 54	52 060	205,272 58	29,563 04	LT
	Dec 29, 14	3,036 000	46 127	140,043 70	52 060	158,054 16	18,010 46	LT
Security total		6,979 000	45 243	315,753 24		363,326 74	47,573 50	
CELGENE CORP								
Symbol CELG Exchange OTC	Apr 1, 09	456 000	18 603	8,483 42	115 750	52,782 00	44,298 58	LT
	Sep 17, 09	2,354 000	26 449	62,263 06	115 750	272,475 50	210,212 44	LT
	Aug 22, 16	560 000	113 825	63,742 34	115 750	64,820 00	1,077 66	ST
	Nov 10, 16	732 000	119 980	87,825 43	115 750	84,729 00	-3,096 43	ST
Security total		4,102 000	54 197	222,314 25		474,806 50	252,492 25	
CERNER CORP								
Symbol CERN Exchange OTC	Oct 28, 11	3,355 000	32 233	108,143 06	47 370	158,926 35	50,783 29	LT
	Nov 2, 12	164 000	38 985	6,393 69	47 370	7,768 68	1,374.99	LT
	Feb 2, 16	2,501 000	56 258	140,702 76	47.370	118,472 37	-22,230 39	ST
Security total		6,020 000	42 399	255,239 51		285,167 40	29,927 89	
COSTCO WHOLESALE CORP								
Symbol COST Exchange OTC								
EAI $4,180 Current yield 1 12%	Mar 11, 09	436 000	39.529	17,235 04	160 110	69,807 96	52,572 92	LT
	Dec 18, 09	736 000	58.387	42,972 91	160 110	117,840 96	74,868 05	LT
	Apr 10, 14	634 000	113 069	71,685 75	160 110	101,509 74	29,823 99	LT
	Nov 22, 16	516 000	152 371	78,623 44	160 110	82,616 76	3,993 32	ST
Security total		2,322 000	90 662	210,517 14		371,775 42	161,258 28	
DARDEN RESTAURANTS INC								
Symbol DRI Exchange NYSE								
EAI $11,955 Current yield 3 08%	Mar 4, 16	3,316 000	64 653	214,389 68	72 720	241,139 52	26,749 84	ST
	Apr 5, 16	2,021 000	65.019	131,403 60	72.720	146,967 12	15,563 52	ST
Security total		5,337 000	64 792	345,793 28		388,106 64	42,313 36	

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
ECOLAB INC								
Symbol ECL Exchange NYSE								
EAI $4,052 Current yield 1 26%	Dec 3, 15	1,761 000	118 358	208,428 79	117.220	206,424 42	-2,004 37	LT
	Dec 15, 15	977 000	114 570	111,935 77	117 220	114,523 94	2,588 17	LT
Security total		2,738 000	117 007	320,364 56		320,948 36	583 80	
EXPEDIA INC								
Symbol EXPE Exchange OTC								
EAI $3,466 Current yield 0.92%	Mar 20, 14	430 000	75 519	32,473 30	113 280	48,710 40	16,237 10	LT
	Apr 10, 14	1,418 000	69 598	98,691 24	113 280	160,631 04	61,939 80	LT
	May 13, 14	765 000	71 128	54,413 53	113 280	86,659 20	32,245 67	LT
	Aug 10, 16	720 000	113 950	82,044 00	113 280	81,561 60	-482 40	ST
Security total		3,333 000	80 295	267,622 07		377,562 24	109,940 17	
EXPRESS SCRIPTS HLDG CO								
Symbol ESRX Exchange OTC	Apr 2, 15	3,208 000	84 865	272,248 52	68 790	220,678 32	-51,570 20	LT
	May 14, 15	807 000	87 130	70,314 15	68 790	55,513 53	-14,800 62	LT
	Jan 14, 16	1,456 000	78 785	114,711 11	68 790	100,158 24	-14,552 87	ST
Security total		5,471 000	83 581	457,273 78		376,350 09	-80,923 69	
FACEBOOK INC CL A								
Symbol FB Exchange OTC	May 16, 13	2,621 000	26 501	69,460 43	115 050	301,546 05	232,085 62	LT
	Nov 7, 16	710 000	122 275	86,815 89	115 050	81,685 50	-5,130 39	ST
Security total		3,331 000	46 916	156,276 32		383,231 55	226,955 23	
FEDEX CORP								
Symbol FDX Exchange NYSE								
EAI $2,782 Current yield 0 86%	May 3, 13	888 000	95 037	84,393 48	186 200	165,345 60	80,952 12	LT
	May 14, 13	851 000	100 420	85,457 85	186 200	158,456 20	72,998 35	LT
Security total		1,739 000	97 672	169,851 33		323,801 80	153,950 47	
FIDELITY NATL INFORMATION SVCS								
Symbol FIS Exchange NYSE								
EAI $5,027 Current yield 1 37%	Mar 10, 16	3,249 000	61 159	198,705 91	75 640	245,754 36	47,048 45	ST
	Mar 17, 16	1,585 000	63 118	100,042 66	75 640	119,889 40	19,846 74	ST
Security total		4,834 000	61 802	298,748 57		365,643 76	66,895 19	

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
GENL ELECTRIC CO								
Symbol GE Exchange NYSE								
EAI $10,944 Current yield 3 04%	Apr 19, 16	9,490 000	31 154	295,654 31	31 600	299,884 00	4,229 69	ST
	Jul 8, 16	1,910 000	32 189	61,482 52	31 600	60,356 00	-1,126 52	ST
Security total		11,400 000	31 328	357,136 83		360,240 00	3,103 17	
GRAINGER W W INC								
Symbol GWW Exchange NYSE								
EAI $7,676 Current yield 2 10%	Nov 10, 16	1,222 000	227 999	278,615 14	232 250	283,809.50	5,194 36	ST
	Nov 22, 16	351 000	224 854	78,923 96	232 250	81,519 75	2,595 79	ST
Security total		1,573 000	227 298	357,539 10		365,329 25	7,790 15	
HOME DEPOT INC								
Symbol HD Exchange NYSE								
EAI $8,396 Current yield 2 06%	May 26, 15	1,887 000	111 084	209,615 89	134 080	253,008 96	43,393 07	LT
	Nov 6, 15	1,155 000	125 188	144,592 26	134.080	154,862 40	10,270 14	LT
Security total		3,042 000	116 439	354,208 15		407,871 36	53,663 21	
HONEYWELL INTL INC								
Symbol HON Exchange NYSE								
EAI $8,621 Current yield 2 30%	Dec 11, 14	2,700 000	97 891	264,306 51	115 850	312,795 00	48,488 49	LT
	Dec 6, 16	541 000	113 533	61,421 79	115 850	62,674 85	1,253 06	ST
Security total		3,241 000	100 502	325,728.30		375,469 85	49,741.55	
MASTERCARD INC CL A								
Symbol MA Exchange NYSE								
EAI $2,688 Current yield 0 85%	Sep 18, 14	1,515 000	77 448	117,334 78	103 250	156,423 75	39,088 97	LT
	Nov 20, 14	1,539 000	84 660	130,292 20	103 250	158,901.75	28,609 55	LT
Security total		3,054 000	81 083	247,626 98		315,325 50	67,698 52	
MC CORMICK & CO NV								
Symbol MKC Exchange NYSE								
EAI $5,510 Current yield 2 01%	Feb 17, 15	71 000	74 687	5,302 82	93 330	6,626 43	1,323 61	LT
	Feb 18, 15	1,627 000	75 055	122,115 62	93 330	151,847 91	29,732 29	LT
	Mar 12, 15	1,233 000	72 811	89,776 83	93 330	115,075.89	25,299 06	LT
Security total		2,931 000	74 103	217,195 27		273,550 23	56,354 96	

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
MICROSOFT CORP								
Symbol MSFT Exchange OTC								
EAI $12,644 Current yield 2 51%	Jan 27, 16	4,031 000	52 139	210,175 94	62 140	250,486 34	40,310 40	ST
	Feb 22, 16	2,426 000	52 965	128,494 06	62 140	150,751 64	22,257 58	ST
	Jul 8, 16	1,648 000	52 349	86,271 65	62 140	102,406 72	16,135 07	ST
Security total		8,105 000	52 430	424,941 65		503,644 70	78,703 05	
PALO ALTO NETWORKS INC								
Symbol PANW Exchange NYSE	Aug 23, 16	2,053 000	142 706	292,976 86	125 050	256,727 65	-36,249 21	ST
REGENERON PHARMACEUTICLS INC								
Symbol REGN Exchange OTC	Nov 9, 16	617 000	411 766	254,059 87	367 090	226,494 53	-27,565 34	ST
	Nov 22, 16	254 000	399 992	101,598 02	367 090	93,240 86	-8,357 16	ST
Security total		871 000	408 333	355,657 89		319,735 39	-35,922 50	
STARBUCKS CORP								
Symbol SBUX Exchange OTC								
EAI $6,500 Current yield 1 80%	Jan 2, 13	3,892 000	27 319	106,326 52	55 520	216,083 84	109,757 32	LT
	Mar 6, 14	2,608 000	36 587	95,420 59	55 520	144,796 16	49,375 57	LT
Security total		6,500 000	31 038	201,747 11		360,880 00	159,132 89	
TARGET CORP								
Symbol TGT Exchange NYSE								
EAI $11,450 Current yield 3 32%	Jan 27, 16	2,898 000	71 624	207,568 96	72 230	209,322 54	1,753 58	ST
	Feb 16, 16	1,873 000	71 331	133,604 65	72 230	135,286 79	1,682 14	ST
Security total		4,771 000	71 510	341,173 61		344,609 33	3,435 72	
TJX COS INC NEW								
Symbol TJX Exchange NYSE								
EAI $6,002 Current yield 1 38%	Jun 19, 14	4,320 000	55 341	239,073 56	75 130	324,561 60	85,488 04	LT
	Jul 1, 14	1,451 000	53.455	77,563 21	75 130	109,013 63	31,450 42	LT
Security total		5,771 000	54 867	316,636 77		433,575 23	116,938 46	
VERIZON COMMUNICATIONS INC								
Symbol VZ Exchange NYSE								
EAI $16,202 Current yield 4 33%	Jul 18, 14	3,407 000	50 748	172,899 12	53 380	181,865 66	8,966 54	LT
	Sep 3, 14	1,434 000	49 949	71,627 73	53 380	76,546 92	4,919 19	LT
	Feb 16, 16	2,173 000	50 257	109,209 33	53 380	115,994 74	6,785 41	ST
Security total		7,014 000	50 433	353,736 18		374,407 32	20,671 14	

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 30 ($)	Value on Dec 30 ($)	Unrealized gain or loss ($)	Holding period
VISA INC CL A								
Symbol V Exchange NYSE								
EAI $3,054 Current yield 0 85%	Jul 16, 12	1,291 000	32 076	41,410 83	78 020	100,723 82	59,312 99	LT
	Aug 28, 12	2,496 000	31 888	79,594 94	78 020	194,737 92	115,142 98	LT
	Jun 9, 14	840 000	53 130	44,629 92	78 020	65,536 80	20,906 88	LT
Security total		4,627 000	35 798	165,635 69		360,998 54	195,362 85	
WALGREENS BOOTS ALLIANCE INC								
Symbol WBA Exchange OTC								
EAI $8,718 Current yield 1 81%	Dec 15, 15	2,527 000	82 749	209,107 74	82 760	209,134 52	26 78	LT
	Jan 12, 16	1,692 000	81 691	138,221 68	82 760	140,029 92	1,808 24	ST
	Feb 17, 16	1,593 000	77 598	123,614 73	82 760	131,836 68	8,221 95	ST
Security total		5,812 000	81 030	470,944 15		481,001 12	10,056 97	
WALT DISNEY CO (HOLDING CO)								
DISNEY COM								
Symbol DIS Exchange NYSE								
EAI $5,546 Current yield 1 50%	Mar 1, 16	2,187 000	96 810	211,724 56	104 220	227,929 14	16,204 58	ST
	Mar 17, 16	1,368 000	99 511	136,132 28	104 220	142,572 96	6,440 68	ST
Security total		3,555 000	97 850	347,856 84		370,502 10	22,645 26	
WILLIAMS SONOMA INC								
Symbol WSM Exchange NYSE								
EAI $9,330 Current yield 3 06%	May 25, 16	4,473 000	52 127	233,164 52	48 390	216,448 47	-16,716 05	ST
	Jun 9, 16	1,831 000	52 591	96,294 30	48 390	88,602 09	-7,692 21	ST
Security total		6,304 000	52 262	329,458 82		305,050.56	-24,408 26	
Total				**$11,312,908.51**		**$13,650,309.68**	**$2,337,401.17**	

Total estimated annual income: $232,430

[2] Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction

Your assets (continued)

Your total assets

		Value on Dec 30 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**390,443.36**	**2.78%**	**390,443.36**		
Equities	**Common stock**	**13,650,309.68**	**97.22%**	**11,312,908.51**	**232,430.00**	**2,337,401.17**
Total		**$14,040,753.04**	**100.00%**	**$11,703,351.87**	**$232,430.00**	**$2,337,401.17**

Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

Date	Activity	Description	Your expense code	Quantity/ Face value	Price/Value ($)	Cash amount ($)	Cash and money balance ($)
Nov 30		**Cash and money balance**					**$456,152.80**
Dec 1	Dividend	UBS SELECT GOVERNMENT CAPITAL FUND AS OF 11/30/16				37 74	
Dec 1	Dividend	TJX COS INC NEW PAID ON 5771				1,500 46	457,691 00
Dec 2	Dividend	BOEING COMPANY PAID ON 3118				3,398 62	
Dec 2	Dividend	STARBUCKS CORP PAID ON 6500				1,625 00	462,714 62
Dec 6	Dividend	VISA INC CL A PAID ON 4627				763 46	463,478 08
Dec 7	Interest	UBS BANK USA BUSINESS ACCOUNT AS OF 12/06/16				4 20	463,482 28
Dec 8	Dividend	EXPEDIA INC PAID ON 3333				866 58	
Dec 8	Dividend	MICROSOFT CORP PAID ON 8105				3,160 95	467,509 81
Dec 9	Transfer	TO ML 09282 7100				-125,000 00	
Dec 9	Dividend	HONEYWELL INTL INC PAID ON 2700				1,795 50	
Dec 9	Bought	HONEYWELL INTL INC UNSOLICITED		541 000	113 533800	-61,421 79	282,883 52
		*See the Average Price Trade Explanation ▶ SYMBOL HON ▶ CUSIP NO. 438516106 ▶ Location of Execution 01 ▶ Capacity Agent					
Dec 12	Dividend	TARGET CORP PAID ON 4771 AS OF 12/10/16				2,862.60	
Dec 12	Dividend	WALGREENS BOOTS ALLIANCE INC PAID ON 5812				2,179 50	287,925 62
Dec 14	St Cap Gain	UBS SELECT GOVERNMENT CAPITAL FUND AS OF 12/13/16				15	287,925 77
Dec 15	Dividend	HOME DEPOT INC PAID ON 3042				2,098 98	290,024 75

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HARDEN FOUNDATION
FEIN 94-6098887
2016 FORM 990-PF
PART IV, LINE 2 CAPITAL GAIN NET INCOME OR (NET CAPITAL LOSS)
FOR THE YEAR ENDED DECEMBER 31, 2016

DESCRIPTION	STATEMENT	DATE ACQUIRED	DATE SOLD	SALES PRICE	COST BASIS	WASH LOSS DISALLOWED	GAIN (LOSS)	ATTACHMENT PAGE
UBS A/C# ML 09274 EF								
SEE ATTACHMENT (LT)	REALIZED GAIN/LOSS-DETAIL	VARIOUS	VARIOUS	20	5	-	15	2
UBS A/C# ML 09279 EF								
SEE ATTACHMENT (ST)	REALIZED GAIN/LOSS-DETAIL	VARIOUS	VARIOUS	584,428	630,406	-	(45,978)	5
SEE ATTACHMENT (LT)	REALIZED GAIN/LOSS-DETAIL	VARIOUS	VARIOUS	3,479,222	2,972,648	-	506,574	12
				4,063,649	3,603,053	-	460 596	
UBS A/C# ML 09275 EF								
SEE ATTACHMENT (ST)	REALIZED GAIN/LOSS-DETAIL	VARIOUS	VARIOUS	87,678	62,497		25,181	14
SEE ATTACHMENT (LT)	REALIZED GAIN/LOSS-DETAIL	VARIOUS	VARIOUS	734,363	818,826	-	(84,463)	18
				822,041	881 323	-	(59,282)	
UBS A/C# ML 09273 EF								
SEE ATTACHMENT (ST)	REALIZED GAIN/LOSS-DETAIL	VARIOUS	VARIOUS	344,505	349,048		(4,543)	21
SEE ATTACHMENT (LT)	REALIZED GAIN/LOSS-DETAIL	VARIOUS	VARIOUS	395,384	393,024	-	2,359	22
				739,888	742,072	-	(2,184)	
UBS A/C# ML 09278 EF								
SEE ATTACHMENT (ST)	REALIZED GAIN/LOSS-DETAIL	VARIOUS	VARIOUS	1,634,096	1,843,744	-	(209,648)	24
SEE ATTACHMENT (LT)	REALIZED GAIN/LOSS-DETAIL	VARIOUS	VARIOUS	4,777,883	3,498,208	-	1,279,675	27
				6,411,980	5,341,953	-	1,070,027	
UBS A/C# ML 09282 EF								
		VARIOUS	VARIOUS	-	-	-	-	N/A
TOTAL				12,037,578	10,568,405	-	1,469,173	

UBS

UBS Financial Services Inc
200 Clock Tower Place
Suite C-100
Carmel CA 93923-8680

EPZ3003921207 1216 X12 ML 0

2016 Year End Summary

Account name: HARDEN FOUNDATION
(REIK & CO)

Account number: ML 09274 EE

Your Financial Advisor
ELLIOTT/ENZ
Phone 831-622-0222/800-937-2400

HARDEN FOUNDATION
(REIK & CO)
PO BOX 779
SALINAS CA 93902-0779

Summary of gains and losses

	Amount ($)
Long term	15.45

Realized gains and losses

Estimated 2016 gains and losses for transactions with trade dates through 12/30/16 have been incorporated into this statement Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss Please check with your tax advisor To calculate gains and losses, we liquidate the oldest security lot first This is known as the first-in, first-out or FIFO accounting method We use this method unless you specified which tax lot to close when you placed your order This is known as a versus purchases or VSP order

See Important information about your statement on the last page of this statement for more information We may not adjust gains and losses for all capital changes Cost basis for coupon tax-exempt municipal securities, include securities subject to AMT, has been adjusted for mandatory amortization of bond premium Estimates in the Unclassified section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
TOOTSIE ROLL INDUST	FIFO	0 600	Oct 17, 94	Apr 08, 16	20 36	4 91			15 45

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UBS

UBS Financial Services Inc
200 Clock Tower Place
Suite C-100
Carmel CA 93923-8680

EPZ3003921185 1216 X12 ML 0

2016 Year End Summary

Account name: HARDEN FOUNDATION
(NWQ LCV)
Account number: ML 09279 EE

Your Financial Advisor:
ELLIOTT/ENZ
Phone 831-622-0222/800-937-2400

HARDEN FOUNDATION
(NWQ LCV)
PO BOX 779
SALINAS CA 93902-0779

Summary of gains and losses

	Amount ($)
Short term	-45,977 81
Long term	506,573 98
Total	**$460,596.17**

Realized gains and losses

Estimated 2016 gains and losses for transactions with trade dates through 12/30/16 have been incorporated into this statement Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital gain or loss Please check with your tax advisor To calculate gains and losses, we liquidate the oldest security lot first This is known as the first-in first-out or FIFO accounting method We use this method unless you specified which tax lot to close when you placed your order This is known as a versus purchases or VSP order

See Important information about your statement on the last page of this statement for more information We may not adjust gains and losses for all capital changes Cost basis for coupon tax-exempt municipal securities, include securities subject to AMT, has been adjusted for mandatory amortization of bond premium Estimates in the Unclassified section can not be classified as short term or long term because information is missing or the product is one in which the gain/loss calculation is not provided

Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
AGRIUM INC (CANADA) CAD	FIFO	342 000	Jan 05, 16	Sep 21, 16	31,152 78	30,077 84			1,074 94
	FIFO	418 000	Jan 06, 16	Sep 21, 16	38,075 63	36,307 02			1,768 61
AXIS CAPITAL HOLDINGS LTD SHS	FIFO	545 000	Jun 24, 16	Dec 20, 16	35,484 23	28,684 77			6,799 46
	FIFO	198 000	Jun 27, 16	Dec 20, 16	12,891 52	10,209 55			2,681 97
	FIFO	148 000	Jun 28, 16	Dec 20, 16	9,636 09	7,682 38			1,953 71
CIGNA CORP	FIFO	40 000	Aug 24, 15	Apr 20, 16	5,673 12	5,447 70			225 42
COPA HOLDINGS SA CL A	FIFO	121 000	May 07, 15	May 06, 16	6,629 45	11,418 54		-4,789 09	
	FIFO	276 000	Aug 13, 15	Jun 29, 16	14,329 91	17,605 87		-3,275 96	
	FIFO	243 000	Aug 13, 15	Jun 30, 16	12,656 67	15,500 83		-2,844 16	
	FIFO	160 000	Aug 13, 15	Jul 01, 16	8,544 29	10,206 30		-1,662 01	
EDISON INTL	FIFO	50 000	Jan 11, 16	Apr 20, 16	3,514 43	2,948.54			565 89
	FIFO	534 000	Jan 11, 16	May 10, 16	38,001 49	31,490 41			6,511 08
ENSCO PLC CL A	FIFO	1,831 000	Apr 15, 16	May 17, 16	20,043 70	17,553 80			2,489 90
	FIFO	79 000	Apr 15, 16	Jun 06, 16	808 96	757 37			51 59
	FIFO	1,903,000	Apr 15, 16	Jun 08, 16	21,444,63	18,244,06			3,200 57
	FIFO	855 000	Apr 15, 16	Jun 20, 16	8,986 02	8,196 88			789 14
	FIFO	316 000	Apr 15, 16	Jun 22, 16	3,436 68	3,029 49			407 19
	FIFO	450 000	Apr 15, 16	Jun 23, 16	4,849 18	4,314 15			535,03
	FIFO	1,465 000	Apr 15, 16	Jun 28, 16	14,201 84	14,044 96			156 88
	FIFO	1,262 000	Apr 15, 16	Jun 29, 16	12,550 32	12,098 79			451 53
	FIFO	1,127 000	Apr 15, 16	Jun 30, 16	10,726 33	10,804 55		-78 22	
EQT CORP	FIFO	430 000	Nov 03, 15	Sep 22, 16	32,132 94	28,236 81			3,896 13

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ERICSSON SEK 10 NEW 2002 ADR	FIFO	1,031 000	Jun 16, 16	Dec 23, 16	5,987 92	7,758 07		-1,770 15	
	FIFO	1,545 000	Jun 24, 16	Dec 23, 16	8,973 16	11,506 39		-2,533 23	
	FIFO	6,080 000	Sep 08, 16	Dec 23, 16	35,311 87	42,477 31		-7,165 44	
	FIFO	2,283 000	Sep 13, 16	Dec 23, 16	13,259 37	15,557 28		-2,297 91	
HESS CORP	FIFO	475 000	Jun 15, 15	Apr 18, 16	28,448 65	31,989 69		-3,541 04	
	FIFO	41 000	Jun 15, 15	Apr 27, 16	2,514 74	2,761 21		-246 47	
	FIFO	98 000	Jun 19, 15	Apr 27, 16	6,010 83	6,725 65		-714 82	
ING GROEP N V NL SPON ADR	FIFO	976 000	May 20, 16	Dec 12, 16	14,164 96	11,494 55			2,670 41
KONINKLIJKE PHILIPS NV SPON ADR	FIFO	50 000	Apr 28, 15	Apr 20, 16	1,424 52	1,443 93		-19 41	
ROYAL DUTCH SHELL PLC CL A SPON ADR	FIFO	902 000	Mar 03, 15	Feb 05, 16	40,311 17	57,185 27		-16,874 10	
TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	FIFO	779 000	Mar 08, 16	Dec 14, 16	28,706 54	43,812 52		-15,105 98	
	FIFO	690 000	Mar 21, 16	Dec 14, 16	25,426 84	37,371 85		-11,945 01	
	FIFO	763 000	Sep 29, 16	Dec 14, 16	28,116 93	35,461 19		-7,344 26	
Total					**$584,427.71**	**$630,405.52**		**-$82,207.26**	**$36,229.45**
Net short-term capital gains and losses								**-$45,977.81**	

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ABBVIE INC COM	FIFO	10 000	Feb 04, 15	Apr 20, 16	605 29	575 06			30 23
	FIFO	368 000	Feb 04, 15	Jun 10, 16	22,319 89	21,162 29			1,157 60
	FIFO	215 000	Feb 04, 15	Aug 23, 16	14,221 53	12,363 83			1,857 70
	FIFO	303 000	Feb 13, 15	Aug 23, 16	20,042 44	17,470 53			2,571 91
	FIFO	479 000	Feb 13, 15	Sep 29, 16	30,159 63	27,618 42			2,541 21
	FIFO	736 000	Feb 17, 15	Sep 29, 16	46,341 30	42,971 21			3,370 09

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
AGRIUM INC (CANADA) CAD	FIFO	454 000	Nov 22, 13	Apr 19, 16	39,427 09	40,319 65		-892 56	
	FIFO	97 000	Nov 22, 13	Apr 20, 16	8,466 67	8,614 55		-147 88	
	FIFO	13 000	Nov 22, 13	Apr 22, 16	1,122 68	1,154 52		-31 84	
	FIFO	147 000	Nov 22, 13	Apr 25, 16	12,739 74	13,055 04		-315 30	
	FIFO	30 000	Nov 22, 13	Apr 27, 16	2,585 41	2,664 30		-78 89	
	FIFO	143 000	Nov 22, 13	Jun 07, 16	13,703 88	12,699 80			1,004 08
	FIFO	111 000	Nov 26, 13	Jun 07, 16	10,637 28	9,853 64			783 64
	FIFO	48 000	Nov 27, 13	Jun 07, 16	4,599 90	4,275 17			324 73
	FIFO	59 000	Nov 27, 13	Jun 08, 16	5,677 29	5,254 89			422 40
	FIFO	48 000	Dec 10, 13	Jun 08, 16	4,618 81	4,337 03			281 78
	FIFO	50 000	May 16, 14	Jun 08, 16	4,811 26	4,575 86			235 40
	FIFO	362 000	May 16, 14	Sep 21, 16	32,974 59	33,129 23		-154 64	
	FIFO	189 000	May 20, 14	Sep 21, 16	17,216 01	17,345 34		-129 33	
ALPHABET INC CL A	FIFO	30 000	Jan 14, 15	Apr 18, 16	23,530 02	15,126 09			8,403 93
AON PLC	FIFO	124 000	Sep 27, 06	Apr 18, 16	13,048 64	6,085 92			6,962 72
	FIFO	131 000	Jun 11, 09	Apr 18, 16	13,785.25	6,429 48			7,355 77
	FIFO	490 000	Jun 11, 09	Sep 21, 16	54,321 15	24,049 20			30,271 95
APACHE CORP	FIFO	175 000	Apr 18, 07	Apr 20, 16	9,665 65	13,084 75		-3,419 10	
	FIFO	21 000	Apr 18, 07	Apr 21, 16	1,154 70	1,570 17		-415 47	
	FIFO	300 000	Apr 18, 07	Apr 21, 16	16,495 74	22,443 48		-5,947 74	
	FIFO	127 000	Feb 27, 13	Apr 21, 16	6,983 20	9,430 73		-2,447 53	
	FIFO	757 000	Feb 27, 13	Sep 22, 16	46,177 36	56,213.08		-10,035 72	
	FIFO	218 000	May 20, 13	Sep 22, 16	13,298 10	18,324 45		-5,026 35	
	FIFO	105 000	May 20, 13	Sep 28, 16	6,659 79	8,825 99		-2,166 20	
	FIFO	770 000	Jun 19, 15	Sep 28, 16	48,838 50	43,463 11			5,375 39
BANK OF AMER CORP	FIFO	1,260 000	Mar 20, 15	Dec 12, 16	28,542 54	20,017 49			8,525 05
CALIFORNIA RESOURCES CORP **REVERSE SPLIT EFF 06/2016**	FIFO	0 131	Apr 14, 10	Mar 24, 16	0 16	0 19		-0 03	
	FIFO	44 992	Apr 14, 10	Mar 30, 16	48 59	65 93		-17 34	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	30 800	Apr 15, 10	Mar 30, 16	33 26	45 08		-11 82	
	FIFO	34 357	Aug 27, 13	Mar 30, 16	37 11	51 31		-14 20	
	FIFO	39 413	Aug 29, 13	Mar 30, 16	42 56	59 46		-16 90	
	FIFO	8 144	Aug 30, 13	Mar 30, 16	8 80	12 26		-3 46	
	FIFO	82 852	Jan 31, 14	Mar 30, 16	89 48	124 29		-34 81	
	FIFO	54 017	Feb 03, 14	Mar 30, 16	58 34	81 08		-22 74	
	FIFO	77 422	Mar 27, 15	Mar 30, 16	83 61	100 13		-16 52	
CIGNA CORP	FIFO	204 000	Aug 24, 15	Dec 12, 16	27,024 17	27,783 27		-759 10	
	FIFO	283 000	Aug 25, 15	Dec 12, 16	37,489 41	38,503 28		-1,013 87	
	FIFO	215 000	Sep 28, 15	Dec 12, 16	28,481 36	29,048 52		-567 16	
CISCO SYSTEMS INC	FIFO	490 000	Sep 08, 11	Apr 18, 16	13,804 57	7,935 75			5,868 82
	FIFO	1,222 000	Sep 08, 11	May 11, 16	32,859 47	19,790 77			13,068 70
	FIFO	3,031 000	Sep 08, 11	Dec 14, 16	92,526 23	49,088 26			43,437 97
	FIFO	1,956 000	Feb 10, 12	Dec 14, 16	59,710 10	38,875 89			20,834 21
CIT GROUP INC	FIFO	255 000	Jul 18, 14	Apr 18, 16	8,346 91	8,346 91	-2,775 02		
	FIFO	185 000	Jul 18, 14	Apr 20, 16	6,269 73	6,269.73	-1,799 12		
	FIFO	295 000	Jul 18, 14	Dec 12, 16	12,547 14	12,866 54		-319 40	
	FIFO	276 000	Jul 21, 14	Dec 12, 16	11,739 02	12,042 96		-303 94	
CITIGROUP INC	FIFO	1,199 000	Dec 17, 09	Dec 05, 16	68,637 17	38,348 82			30,288 35
COPA HOLDINGS SA CL A	FIFO	195 000	Nov 18, 14	Apr 18, 16	12,978 49	22,196 36		-9,217 87	
	FIFO	313 000	Nov 18, 14	May 06, 16	17,148 90	35,628 01		-18,479 11	
	FIFO	234 000	Nov 19, 14	May 06, 16	12,820 57	27,338 81		-14,518 24	
	FIFO	319 000	May 07, 15	Jun 29, 16	16,562 47	30,103 42		-13,540 95	
CVS HEALTH CORP	FIFO	195 000	Feb 04, 11	Apr 18, 16	20,044 59	6,361 37			13,683 22
	FIFO	173 000	Feb 04, 11	Dec 12, 16	13,774 58	5,643 67			8,130 91
DISCOVER FINANCIAL SERVICES	FIFO	428 000	Feb 04, 15	Dec 12, 16	30,679 78	24,333 30			6,346 48
EBAY INC	FIFO	745 000	Sep 17, 14	Mar 21, 16	18,100 42	15,154 01			2,946 41
	FIFO	501 000	Sep 18, 14	Mar 21, 16	12,172 23	10,260 02			1,912 21

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	372 000	Sep 19, 14	Mar 21, 16	9,038 07	7,665 06			1,373 01
	FIFO	768 000	Sep 22, 14	Mar 21, 16	18,659 22	15,736.04			2,923 18
	FIFO	483 000	Oct 16, 14	Mar 21, 16	11,734 91	9,026 56			2,708 35
	FIFO	487 000	Oct 16, 14	Mar 22, 16	11,775 75	9,101 31			2,674 44
	FIFO	534 000	Feb 13, 15	Mar 22, 16	12,912 21	11,780 92			1,131 29
	FIFO	164 000	Feb 17,.15	Mar 22, 16	3,965 55	3,621 02			344 53
FORD MOTOR CO COM NEW	FIFO	3,034 000	Jan 15, 14	Jun 29, 16	37,835 89	50,453 29		-12,617 40	
	FIFO	4,327 000	Jan 15, 14	Jun 30, 16	53,563 19	71,954 98		-18,391 79	
	FIFO	1,290 000	Jan 15, 14	Jul 01, 16	16,413 09	21,451 80		-5,038 71	
	FIFO	2,860 000	Feb 03, 14	Jul 01, 16	36,388 70	41,657 90		-5,269 20	
GENERAL MOTORS CO	FIFO	1,256 000	Nov 22, 10	Sep 14, 16	38,545 93	42,973 28		-4,427 35	
	FIFO	427 000	Nov 22, 10	Dec 12, 16	15,855 31	14,609 55			1,245 76
	FIFO	52 000	Nov 23, 10	Dec 12, 16	1,930 86	1,752 28			178 58
HESS CORP	FIFO	202 000	Jun 19, 15	Dec 12, 16	12,721 68	13,863 08		-1,141 40	
	FIFO	62 000	Jun 26, 15	Dec 12, 16	3,904 68	4,205 29		-300 61	
INGERSOLL-RAND PLC	FIFO	670 000	Dec 08, 05	Nov 15, 16	50,197 12	18,948 20			31,248 92
INTERPUBLIC GROUP OF COS INC	FIFO	212 000	Jan 07, 14	Apr 18, 16	5,035 10	3,710 36			1,324 74
	FIFO	313 000	Jan 08, 14	Apr 18, 16	7,433 91	5,444 89			1,989 02
	FIFO	1,708 000	Jan 08, 14	Jun 08, 16	40,990 43	29,712 02			11,278 41
JPMORGAN CHASE & CO	FIFO	529 000	Dec 01, 05	Dec 12, 16	44,807.07	20,403 53			24,403 54
LOEWS CORP	FIFO	255 000	Oct 10, 08	Jan 20, 16	8,771 58	6,175 82			2,595 76
	FIFO	735 000	Oct 15, 08	Jan 20, 16	25,282 80	22,904 58			2,378 22
	FIFO	165 000	Oct 15, 08	Jan 21, 16	5,685 18	5,141 85			543.33
	FIFO	261 000	Oct 16, 08	Jan 21, 16	8,992 93	7,804 00			1,188 93
	FIFO	539 000	Oct 16, 08	May 02, 16	21,652 35	16,116 32			5,536 03
	FIFO	206 000	Mar 19, 09	May 02, 16	8,275 29	4,735.28			3,540 01
	FIFO	538 000	Mar 19, 09	May 03, 16	21,451 47	12,366 90			9,084 57
	FIFO	226 000	Mar 19, 09	May 04, 16	8,994 69	5,195 02			3,799 67
	FIFO	147 000	Mar 19, 09	May 05, 16	5,859 76	3,379 06			2,480 70

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	183 000	Mar 19, 09	May 06, 16	7,260 64	4,206 58			3,054 06
	FIFO	346 000	Mar 20, 09	May 06, 16	13,727 77	7,930.87			5,796 90
	FIFO	354 000	Mar 20, 09	May 10, 16	14,115 86	8,114 25			6,001 61
	FIFO	58 000	Mar 20, 09	May 11, 16	2,313 56	1,329 45			984 11
	FIFO	71.000	Mar 20, 09	May 11, 16	2,832 12	1,627.44			1,204 68
	FIFO	50 000	Mar 20, 09	May 12, 16	1,980 07	1,146 08			833 99
	FIFO	21 000	Mar 20, 09	May 13, 16	833 30	481 35			351 95
METRO AG ADR	FIFO	1,105 000	Aug 18, 14	Apr 18, 16	7,265 22	7,690 47		-425 25	
	FIFO	1,000 000	Aug 18, 14	Apr 20, 16	6,734 85	6,959.70		-224 85	
	FIFO	814 000	Aug 18, 14	Jul 22, 16	5,037 00	5,665 20		-628 20	
	FIFO	2,481 000	Aug 19, 14	Jul 22, 16	15,352 35	17,541 66		-2,189 31	
	FIFO	3,831 000	Aug 19, 14	Jul 25, 16	23,737 51	27,086 70		-3,349 19	
	FIFO	634 000	Aug 20, 14	Jul 25, 16	3,928 37	4,453 85		-525.48	
	FIFO	112 000	Aug 20, 14	Jul 27, 16	711 18	786.80		-75 62	
	FIFO	4,960 000	Aug 20, 14	Aug 11, 16	30,552 93	34,844 00		-4,291 07	
	FIFO	3,138 000	Oct 01, 14	Aug 11, 16	19,329 66	19,970 54		-640 88	
	FIFO	3,078 000	Oct 02, 14	Aug 11, 16	18,960 07	19,565 30		-605 23	
MICROSOFT CORP	FIFO	825 000	Aug 15, 11	Apr 05, 16	45,275 18	21,002.19			24,272 99
	FIFO	250 000	Mar 28, 13	Apr 05, 16	13,719 75	7,121 07			6,598 68
	FIFO	616 000	Mar 28, 13	Apr 22, 16	32,011 40	17,546 33			14,465 07
	FIFO	814 000	Mar 28, 13	Jun 13, 16	40,295 62	23,186 22			17,109 40
	FIFO	338 000	Apr 05, 13	Jun 13, 16	16,732 09	9,600 72			7,131 37
OCCIDENTAL PETROLEUM CRP	FIFO	240 000	Apr 14, 10	Apr 18, 16	17,626 11	19,834 60		-2,208.49	
	FIFO	242 000	Apr 14, 10	Oct 04, 16	17,658 82	19,999 88		-2,341 06	
	FIFO	100 000	Apr 15, 10	Oct 04, 16	7,297 03	8,253 58		-956 55	
ORACLE CORP	FIFO	280 000	Aug 14, 13	Apr 18, 16	11,528 41	9,409 48			2,118 93
PACCAR INC	FIFO	599 000	Sep 09, 11	Feb 26, 16	31,223 21	21,258 87			9,964 34
	FIFO	306.000	Sep 09, 11	Mar 01, 16	16,073 92	10,860 13			5,213 79
	FIFO	307 000	Sep 09, 11	Mar 08, 16	16,115 34	10,895 61			5,219 73

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	431 000	Sep 12, 11	Mar 08, 16	22,624 46	15,082 33			7,542 13
	FIFO	116 000	Sep 28, 11	Mar 08, 16	6,089 18	4,066 77			2,022 41
	FIFO	215 000	Sep 28, 11	Mar 09, 16	11,287 21	7,537 56			3,749 65
	FIFO	186 000	Sep 29, 11	Mar 09, 16	9,764 75	6,580 11			3,184 64
	FIFO	151 000	Sep 29, 11	Mar 11, 16	7,949 98	5,341 91			2,608 07
	FIFO	152 000	Sep 30, 11	Mar 11, 16	8,002 62	5,249 76			2,752 86
	FIFO	311 000	Sep 30, 11	Mar 14, 16	16,507 27	10,741 29			5,765 98
PAYPAL HOLDINGS INC	FIFO	200 000	Sep 17, 14	Apr 20, 16	7,997 83	6,291 19			1,706 64
	FIFO	545 000	Sep 17, 14	Aug 11, 16	20,889 94	17,143 49			3,746 45
	FIFO	501 000	Sep 18, 14	Aug 11, 16	19,203 42	15,866 43			3,336 99
	FIFO	82 000	Sep 19, 14	Aug 11, 16	3,143 07	2,612 87			530 20
PHILIP MORRIS INTL INC	FIFO	100 000	Jun 23, 06	Apr 20, 16	9,862 78	3,787 36			6,075 42
PNC FINANCIAL SERVICES GROUP	FIFO	80 000	Aug 27, 14	Apr 20, 16	6,978 43	6,795 67			182 76
	FIFO	406 000	Aug 27, 14	Nov 16, 16	43,760 33	34,488 04			9,272 29
RAYTHEON CO NEW	FIFO	45 000	Oct 13, 03	Apr 20, 16	5,701 88	1,241 00			4,460 88
	FIFO	109 000	Oct 13, 03	Dec 12, 16	15,671 68	3,005 98			12,665 70
ROYAL DUTCH SHELL PLC CL A SPON ADR	FIFO	608 000	Dec 08, 14	Feb 05, 16	27,172 05	39,972 60		-12,800 55	
	FIFO	812 000	Dec 23, 14	Feb 05, 16	36,288 99	55,719 68		-19,430.69	
	FIFO	457 000	Jan 30, 15	Feb 05, 16	20,423 73	28,113.22		-7,689 49	
SANOFI SPON ADR	FIFO	430 000	Oct 09, 13	Apr 18, 16	18,817 25	21,007 09		-2,189 84	
	FIFO	264 000	Oct 09, 13	Apr 19, 16	11,665 12	12,897 38		-1,232 26	
	FIFO	6 000	Oct 09, 13	May 10, 16	239 75	293 12		-53 37	
	FIFO	152 000	Dec 03, 13	May 10, 16	6,073 65	7,820 13		-1,746 48	
	FIFO	860 000	Oct 15, 14	May 10, 16	34,364 08	43,861 72		-9,497 64	
	FIFO	642 000	Nov 18, 14	May 10, 16	25,653 18	31,099 56		-5,446 38	
	FIFO	652 000	Jan 05, 15	May 10, 16	26,052 76	28,741 26		-2,688 50	
	FIFO	166 000	Jan 06, 15	May 10, 16	6,633 07	7,350 03		-716 96	
	FIFO	687 000	Jan 06, 15	May 11, 16	27,238 69	30,418 48		-3,179 79	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	797 000	Jan 06, 15	May 13, 16	31,362 86	35,288 99		-3,926 13	
SUNCOR ENERGY INC NEW CAD	FIFO	365,000	Jan 21, 15	Apr 18, 16	10,326 90	10,800 50		-473 60	
	FIFO	150 000	Jan 21, 15	Apr 20, 16	4,401 43	4,438 56		-37 13	
TARGET CORP	FIFO	316 000	Feb 10, 14	Mar 02, 16	25,497 67	17,827 36			7,670 31
	FIFO	284 000	Feb 12, 14	Mar 02, 16	22,915 63	16,120 07			6,795 56
TERADYNE INC	FIFO	500 000	May 08, 14	Jan 08, 16	9,716 57	8,804.50			912 07
	FIFO	324 000	May 08, 14	Jan 13, 16	6,284 58	5,705 32			579 26
	FIFO	186 000	May 09, 14	Jan 13, 16	3,607 81	3,270 68			337 13
	FIFO	982 000	May 09, 14	Jan 14, 16	19,089 24	17,267 78			1,821 46
	FIFO	784 000	May 13, 14	Jan 14, 16	15,240 29	14,042 85			1,197 44
	FIFO	356 000	May 14, 14	Jan 14, 16	6,920 33	6,336 94			583 39
	FIFO	118 000	May 14, 14	Dec 12, 16	3,017 78	2,100 45			917 33
	FIFO	722 000	May 15, 14	Dec 12, 16	18,464 75	12,631 10			5,833 65
TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	FIFO	991 000	May 30, 13	Nov 03, 16	38,689.98	38,482 71			207 27
	FIFO	10 000	May 31, 13	Nov 03, 16	390 41	386 25			4 16
	FIFO	658 000	May 31, 13	Nov 03, 16	25,689 21	25,417 09			272.12
	FIFO	296 000	Jan 08, 14	Nov 03, 16	11,556 24	12,200 56		-644 32	
	FIFO	1,112 000	Jan 08, 14	Dec 14, 16	40,977 75	45,834 52		-4,856 77	
TIME WARNER INC NEW	FIFO	50 000	Dec 21, 10	Apr 20, 16	3,749 43	1,526.45			2,222 98
	FIFO	330 000	Dec 21, 10	Oct 21, 16	30,105 97	10,074 60			20,031 37
	FIFO	955 000	Dec 22, 10	Oct 21, 16	87,124 85	29,292 44			57,832 41
	FIFO	334 000	Jan 30, 14	Oct 21, 16	30,470 89	20,280 20			10,190 69
UNUM GROUP	FIFO	705 000	May 20, 10	Apr 20, 16	23,718 08	15,064 51			8,653 57
	FIFO	689 000	May 20, 10	May 18, 16	24,241 04	14,722 62			9,518 42
	FIFO	379 000	May 20, 10	Nov 08, 16	13,904 49	8,098.51			5,805 98
	FIFO	963 000	Sep 13, 10	Nov 08, 16	35,329.87	21,325 83			14,004 04
	FIFO	1,732 000	Sep 14, 10	Nov 08, 16	63,542 40	38,439 83			25,102 57

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
WAL MART STORES INC	FIFO	492 000	Apr 23, 15	Jun 07, 16	34,889 81	39,004 97		-4,115 16	
	FIFO	163 000	Apr 23, 15	Jun 08, 16	11,569 52	12,922 38		-1,352 86	
	FIFO	1,492 000	Apr 23, 15	Sep 07, 16	107,621 13	118,283 37		-10,662 24	
WELLS FARGO & CO NEW	FIFO	445 000	Dec 09, 05	Apr 18, 16	21,721 63	14,004 95			7,716 68
	FIFO	90 000	Dec 09, 05	Apr 20, 16	4,529 61	2,832 46			1,697 15
	FIFO	1,492 000	Dec 09, 05	Sep 22, 16	67,965 39	46,955 92			21,009 47
	FIFO	906 000	Dec 09, 05	Dec 12, 16	50,736 25	28,513.46			22,222 79
Total					**$3,479,221.55**	**$2,972,647.57**		**-$248,453.81**	**$755,027.79**
Net long-term capital gains or losses									**$506,573.98**
Net capital gains/losses:									**$460,596.17**

UBS

UBS Financial Services Inc
200 Clock Tower Place
Suite C-100
Carmel CA 93923-8680

EPZ3003921201 1216 X12 ML 0

2016 Year End Summary

Account name: HARDEN FOUNDATION
(BRANDES INT'L)
Account number: ML 09275 EE

Your Financial Advisor:
ELLIOTT/ENZ
Phone 831-622-0222/800-937-2400

HARDEN FOUNDATION
(BRANDES INT'L)
PO BOX 779
SALINAS CA 93902-0779

Summary of gains and losses

	Amount ($)
Short term	25,181 37
Long term	-84,463 25
Total	**$-59,281.88**

Realized gains and losses

Estimated 2016 gains and losses for transactions with trade dates through 12/30/16 have been incorporated into this statement Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss Please check with your tax advisor To calculate gains and losses, we liquidate the oldest security lot first This is known as the first-in, first-out or FIFO accounting method We use this method unless you specified which tax lot to close when you placed your order This is known as a versus purchases or VSP order

See Important information about your statement on the last page of this statement for more information We may not adjust gains and losses for all capital changes Cost basis for coupon tax-exempt municipal securities, include securities subject to AMT, has been adjusted for mandatory amortization of bond premium Estimates in the Unclassified section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided

Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO PAULO ADS SPON ADR	FIFO	2,275 000	Feb 23, 15	Feb 23, 16	13,016 36	12,673 57			342 79
	FIFO	1,196 000	Jul 08, 15	May 19, 16	8,805 24	6,248 74			2,556 50
	FIFO	1,199 000	Jul 08, 15	May 26, 16	8,810 78	6,264 42			2,546 36
H LUNBDBECK A/S SPON ADR	FIFO	280 000	Mar 30, 15	Jan 26, 16	9,365 35	5,912 03			3,453 32
	FIFO	830 000	May 12, 15	Jan 26, 16	27,761 58	17,704 65			10,056 93
PETROLEO BRASILEIRO SA PETROBRAS NON VTG SPON ADR	FIFO	735 000	Sep 04, 15	Aug 15, 16	5,656 07	3,348 00			2,308 07
PUBLICIS GROUPE S A NEW SPON ADR	FIFO	740 000	Jan 26, 16	Sep 07, 16	14,262 97	10,345 57			3,917 40
Total					**$87,678.35**	**$62,496.98**			**$25,181.37**
Net short-term capital gains and losses									**$25,181.37**

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
BANCO SANTANDER BRASIL ADS	FIFO	280 000	Nov 23, 11	Apr 12, 16	1,316 03	1,927 80		-611 77	
	FIFO	50 000	Mar 22, 12	Apr 12, 16	235 00	482 22		-247 22	
	FIFO	3,066 000	Mar 28, 12	Apr 12, 16	14,410 50	28,908 09		-14,497 59	
	FIFO	509 000	Mar 28, 12	Apr 12, 16	2,453 99	4,799.16		-2,345 17	
	FIFO	180 000	Apr 10, 12	Apr 12, 16	867 81	1,528 54		-660 73	
	FIFO	1,975 000	Jul 18, 13	Apr 12, 16	9,521 86	11,751 25		-2,229 39	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
CANON INC ADR JAPAN SPON ADR	FIFO	245 000	Apr 14, 09	Jun 16, 16	6,946 92	7,639 64		-692 72	
	FIFO	160 000	Aug 10, 12	Jun 16, 16	4,536 77	5,474 16		-937 39	
	FIFO	200 000	Aug 10, 12	Oct 28, 16	5,640 84	6,842 70		-1,201 86	
	FIFO	410 000	Aug 28, 13	Oct 28, 16	11,563 71	12,497 91		-934 20	
CEMEX S A B DE C V SPON ADR	FIFO	0 640	Nov 27, 09	May 10, 16	4 44	5 35		-0 91	
	FIFO	2,140 000	Nov 27, 09	Sep 06, 16	18,316 29	17,869 49			446 80
CENTRAIS ELETRICAS BRAS SA SPON ADR REP 50 COM (ELETROBRAS)	FIFO	2,840 000	Dec 20, 99	Jun 01, 16	6,525 32	27,113 76		-20,588 44	
	FIFO	1,980 000	May 07, 01	Jun 01, 16	4,549 35	16,295 40		-11,746 05	
	FIFO	360 000	Apr 27, 12	Jun 01, 16	827 15	3,015 07		-2,187 92	
	FIFO	2,782 000	Dec 17, 13	Jun 01, 16	6,392 06	7,108 01		-715 95	
	FIFO	1,392 000	Dec 17, 13	Jun 01, 16	3,198 33	3,577 72		-379 39	
COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO PAULO ADS SPON ADR	FIFO	2,635 000	Feb 23, 15	Mar 21, 16	16,795 91	14,679 06			2,116 85
	FIFO	1,720 000	Feb 23, 15	Mar 30, 16	11,472 49	9,581 78			1,890 71
	FIFO	1,760 000	Feb 23, 15	Apr 26, 16	12,763 06	9,804 61			2,958.45
	FIFO	380 000	Feb 23, 15	May 19, 16	2,797 65	2,116 90			680 75
CRH PLC IRELAND SPON ADR	FIFO	360 000	Oct 29, 10	May 26, 16	10,979 98	6,246 76			4,733.22
	FIFO	375 000	Oct 29, 10	Aug 11, 16	11,796 42	6,507 04			5,289 38
	FIFO	400 000	Oct 29, 10	Sep 06, 16	13,747 38	6,940 84			6,806 54
	FIFO	20 000	Oct 29, 10	Nov 10, 16	704 06	347 04			357 02
	FIFO	325 000	Jul 11, 13	Nov 10, 16	11,441 03	6,637 28			4,803 75
	FIFO	785 000	Jul 11, 13	Nov 17, 16	26,960 86	16,031 58			10,929 28
DAIICHI SANKYO CO LTD SPON ADR	Adjustment	185 000	Oct 25, 10	Mar 28, 16	4,162 76	4,002 96			159 80
	Adjustment	350 000	Oct 29, 10	Mar 28, 16	7,875 49	7,373 00			502 49
	Adjustment	450 000	Mar 14, 11	Mar 28, 16	10,125 64	9,036 18			1,089 46

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	Adjustment	50 000	Mar 15, 11	Mar 28, 16	1,125 07	940 28			184 79
	Adjustment	50 000	Mar 31, 11	Mar 28, 16	1,125 07	965 52			159 55
	Adjustment	215 000	May 31, 13	Mar 28, 16	4,837 80	3,580 01			1,257 79
	FIFO	555 000	May 31, 13	Apr 25, 16	13,318 71	9,241 41			4,077 30
GLAXO SMITHKLINE PLC ADR	FIFO	330 000	Dec 22, 06	Jun 28, 16	13,457 41	17,293 58		-3,836 17	
	FIFO	190 000	Jun 21, 07	Jun 28, 16	7,748 20	9,880 65		-2,132 45	
	FIFO	250 000	Jun 21, 07	Jul 07, 16	10,930 58	13,000 85		-2,070 27	
	FIFO	50 000	Jul 11, 07	Jul 07, 16	2,186 12	2,592 35		-406 23	
HONDA MOTOR CO ADR JAPAN ADR	FIFO	600 000	Mar 24, 11	Dec 01, 16	17,843 87	22,749 24		-4,905 37	
	FIFO	465 000	Apr 01, 11	Dec 01, 16	13,829 00	17,141 85		-3,312 85	
	FIFO	80 000	Apr 11, 11	Dec 01, 16	2,379 18	2,730 98		-351 80	
ITALCEMENTI S P A UNSPONS ADR	FIFO	2,065 000	Apr 19, 11	Jan 26, 16	23,038 37	20,395 59			2,642 78
	FIFO	1,655 000	Apr 02, 13	Jan 26, 16	18,464 17	9,620 96			8,843 21
	FIFO	1,770 000	Apr 02, 13	May 05, 16	20,809 44	10,289 48			10,519 96
	FIFO	2,045 000	Apr 02, 13	Jul 07, 16	23,800 21	11,888 13			11,912 08
	FIFO	2,905 000	Jul 23, 14	Jul 07, 16	33,809 11	23,235 61			10,573 50
MITSUBISHI TANABE PHARMA CORP SPON ADR	FIFO	715 000	Jan 08, 14	Feb 03, 16	12,104 01	10,264 82			1,839 19
NISSAN MTR LTD SPONS ADR JAPAN ADR	FIFO	325 000	Sep 13, 13	Sep 07, 16	6,656 08	6,519 31			136 77
	FIFO	575 000	Oct 04, 13	Sep 07, 16	11,776.15	11,494 02			282 13
	FIFO	830 000	Oct 04, 13	Dec 02, 16	15,631 97	16,591 37		-959 40	
	FIFO	125 000	Nov 08, 13	Dec 02, 16	2,354 21	2,262 16			92 05
ORANGE SPON ADR	FIFO	279 000	Jun 29, 10	Mar 11, 16	5,016 28	4,989 38			26 90
	FIFO	280 000	May 15, 12	Mar 11, 16	5,034 27	3,583 89			1,450 38
	FIFO	586 000	Jun 21, 13	Mar 11, 16	10,535 99	5,676 66			4,859 33
PETROLEO BRASILEIRO SA PETROBRAS NON VTG SPON ADR	FIFO	475 000	Jun 29, 10	Mar 10, 16	1,986 69	14,176 42		-12,189 73	
	FIFO	30 000	Jul 16, 10	Mar 10, 16	125 48	909 41		-783 93	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	15 000	Aug 13, 10	Mar 10, 16	62 73	470 48		-407 75	
	FIFO	130 000	Aug 20, 10	Mar 10, 16	543 73	3,972 31		-3,428 58	
	FIFO	30.000	Aug 26, 10	Mar 10, 16	125 48	884 99		-759 51	
	FIFO	990 000	Oct 19, 10	Mar 10, 16	4,140 68	30,379 64		-26,238 96	
	FIFO	10 000	Oct 22, 10	Mar 10, 16	41 82	290 00		-248 18	
	FIFO	100 000	Aug 25, 11	Mar 10, 16	418 25	2,496 85		-2,078 60	
	FIFO	320 000	Oct 17, 11	Mar 10, 16	1,338 41	7,040 00		-5,701 59	
	FIFO	775 000	Apr 03, 13	Mar 10, 16	3,241 44	13,663 25		-10,421 81	
	FIFO	1,280 000	Jul 09, 13	Mar 10, 16	5,353 61	17,313 41		-11,959 80	
	FIFO	1,145 000	Jan 31, 14	Mar 10, 16	4,788 97	13,908 43		-9,119 46	
	FIFO	115 000	Jan 31, 14	Mar 30, 16	553 00	1,396 92		-843 92	
	FIFO	2,475 000	Jan 06, 15	Mar 30, 16	11,901 52	15,131 66		-3,230 14	
	FIFO	3,115 000	Jan 06, 15	Apr 12, 16	15,915 43	19,044 48		-3,129 05	
	FIFO	2,440 000	Jan 06, 15	Apr 27, 16	13,510 23	14,917 67		-1,407.44	
	FIFO	530 000	Jan 06, 15	Apr 27, 16	3,058 67	3,240 32		-181 65	
	FIFO	795 000	Jan 06, 15	Aug 15, 16	6,117 79	4,860 47			1,257 32
	FIFO	1,090 000	Sep 04, 15	Oct 07, 16	10,278 59	4,965.06			5,313 53
	FIFO	890 000	Sep 04, 15	Oct 17, 16	9,265 15	4,054 04			5,211 11
	FIFO	1,095 000	Sep 04, 15	Oct 20, 16	12,075 84	4,987 84			7,088 00
POSCO SPON ADR	FIFO	155 000	Nov 09, 11	Nov 08, 16	8,375 16	12,764 92		-4,389 76	
	FIFO	10 000	Nov 16, 11	Nov 08, 16	540 34	846 25		-305 91	
	FIFO	50 000	Nov 18, 11	Nov 08, 16	2,701 66	4,165 75		-1,464 09	
	FIFO	240 000	Dec 27, 11	Nov 08, 16	12,968 00	20,133 55		-7,165 55	
TELEFONICA BRASIL SA SPON ADR	FIFO	369 067	Nov 14, 00	Jun 08, 16	4,647 34	9,928 95		-5,281 61	
	FIFO	130 093	May 15, 01	Jun 08, 16	1,638 15	3,226 55		-1,588 40	
	FIFO	78 875	Jan 21, 05	Jun 08, 16	993 21	943 35			49 86
	FIFO	185 963	Sep 11, 09	Jun 08, 16	2,341 68	2,760 52		-418 84	
	FIFO	321 000	Jul 24, 13	Jun 08, 16	4,042 07	6,991 64		-2,949 57	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
WILLIS TOWERS WATSON PUB LTD CO	FIFO	0 439	Jun 13, 14	Jan 05, 16	55 26	50 19			5 07
	FIFO	201 523	Jun 13, 14	Apr 28, 16	24,991 66	23,016 92			1,974 74
	FIFO	67 476	Jun 16, 14	Apr 28, 16	8,367 99	7,678 92			689 07
	FIFO	110 000	Jun 16, 14	May 05, 16	13,971 67	12,518.17			1,453 50
WM MORRISON SUPERMARKETS PLC ADR	FIFO	1,990 000	Nov 26, 13	Oct 18, 16	27,144 80	42,627 39		-15,482 59	
Total					**$734,362.87**	**$818,826.12**		**-$209,127.66**	**$124,664.41**
Net long-term capital gains or losses								**-$84,463.25**	
Net capital gains/losses								**-$59,281.88**	

End of statement for account number ML 09275 EE

UBS

UBS Financial Services Inc
200 Clock Tower Place
Suite C-100
Carmel CA 93923-8680

EPZ3003921209 1216 X12 ML 0

2016 Year End Summary

Account name: HARDEN FOUNDATION
Account number: ML 09273 EE

Your Financial Advisor:
ELLIOTT/ENZ
Phone 831-622-0222/800-937-2400

HARDEN FOUNDATION
PO BOX 779
SALINAS CA 93902-0779

Summary of gains and losses

	Amount ($)
Short term	-4,543.18
Long term	2,359 41
Total	**$-2,183.77**

Realized gains and losses

Estimated 2016 gains and losses for transactions with trade dates through 12/30/16 have been incorporated into this statement Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss Please check with your tax advisor To calculate gains and losses, we liquidate the oldest security lot first This is known as the first-in first-out or FIFO accounting method We use this method unless you specified which tax lot to close when you placed your order This is known as a versus purchases or VSP order

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Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ALCOA INC B/E 05 400% 041521 DTD042111 CALL @ MAKE-WHOLET+30BPS	FIFO	6,000 000	Feb 04, 16	Apr 21, 16	6,150 00	5,370 00			780 00
	FIFO	23,000 000	Feb 04, 16	Apr 28, 16	23,517 50	20,585 00			2,932 50
CDW LLC / CDW FIN CORP 05 500% 120124 DTD120114 FC060115 CALL@MW+50BP Original cost basis $7,455 00	FIFO	7,000 000	Oct 27, 16	Dec 19, 16	7,134 40	7,448 18		-313 78	
DIRECTV HOLDINGS/FING 03.950% 011525 DTD121114 FC071515 CALL@MW+30BP	Adjustment	64,000 000	May 18, 15	Mar 21, 16	66,407.68	64,471 44			1,936 24
INTL GAME TECHNOLOGY B/E 07 500% 061519 DTD061509 FC121509 Original cost basis $18,190 00	FIFO	17,000 000	Jan 22, 16	Oct 04, 16	18,933 75	17,960 77			972 98
JARDEN CORP 07 500% 050117 DTD021307 FC050107SR SUB NTS Original cost basis $15,459 50	FIFO	14,000 000	May 12, 15	Mar 03, 16	14,350 00	14,867 14		-517 14	
R R DONNELLEY & SONS CO 07 625% 061520 DTD062110 CALL @ MW +65BP Original cost basis $7,017 50	FIFO	7,000 000	Jan 25, 16	Aug 25, 16	7,700 00	7,015 48			684.52
SEAGATE HDD CAYMAN NTS 07 000% 110121 DTD010112 CALL@MW+50BP	Adjustment	57,000 000	May 12, 15	Mar 16, 16	56,857 50	61,321 57		-4,464 07	
SEAGATE HDD CAYMAN NTS 04 750% 060123 DTD060114 FC120114 CALL@MW+50BP	FIFO	7,000 000	Jan 12, 16	Mar 15, 16	5,897 50	6,300 00		-402 50	

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
SERVICE CORP INTL 04 500% 111520 DTD110812 FC051513 CALL@MW+50BP	Adjustment	50,000 000	May 12, 15	Jan 21, 16	50,500 00	51,352 99		-852 99	
TRANSDIGM INC NTS B/E 07 500% 071521 DTD070113 FC011514 CALL@MW+50BP	FIFO	28,000 000	Feb 05, 16	Nov 28, 16	29,575 00	28,490 00			1,085 00
XEROX CORP NTS B/E 04 500% 051521 DTD051811 FC111511 CALL@MW +20BP	FIFO	60,000 000	May 12, 15	Feb 25, 16	57,481 20	63,865 14		-6,383 94	
Total					**$344,504.53**	**$349,047.71**		**-$12,934.42**	**$8,391.24**
Net short-term capital gains and losses								**-$4,543.18**	

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ALCOA INC 06 150% 081520 DTD080310 FC021511 Original cost basis $39,593 75	FIFO	35,000 000	May 12, 15	May 16, 16	36,968 75	38,771 00		-1,802 25	
ALTRIA GROUP INC NTS B/E 09 250% 080619 DTD020609 FC080609 Original cost basis $64,754 19	FIFO	51,000 000	May 19, 15	Oct 05, 16	61,725 81	60,409 08			1,316.73
AVNET INC NTS B/E 05 875% 061520 DTD062210 FC121510 CALL@MW+45BP Original cost basis $50,265 00	FIFO	45,000 000	May 12, 15	Jul 25, 16	50,170 95	49,099 36			1,071 59
AVNET INC NTS B/E 04 875% 120122 DTD112712 FC060113 CALL@MW+50BP Original cost basis $14,773 50	FIFO	14,000 000	May 12, 15	Aug 29, 16	15,295 84	14,656 47			639 37

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
CA INC NTS B/E 04 500% 081523 DTD081613 FC021514 CALL@MW+30BP Original cost basis $20,980 00	FIFO	20,000 000	May 12, 15	Sep 28, 16	21,800 80	20,836 75			964 05
Original cost basis $44,112 60	FIFO	42,000 000	May 22, 15	Sep 28, 16	45,781 68	43,808 76			1,972 92
DELUXE CORP NTS B/E 06 000% 111520 DTD112712 FC051513 CALL@MW+50BP	FIFO	23,000 000	May 12, 15	Nov 15, 16	23,690 00	24,088 24		-398 24	
	FIFO	27,000 000	May 15, 15	Nov 15, 16	27,810 00	28,243 97		-433.97	
DISH DBS CORP NTS B/E 07.875% 090119 DTD081709 FC030110 CALL@MW+50BP Original cost basis $10,975 00	FIFO	10,000 000	Oct 27, 15	Dec 19, 16	11,076 10	10,703 46			372 64
INTL GAME TECHNOLOGY B/E 07 500% 061519 DTD061509 FC121509 Original cost basis $27,592 50	FIFO	26,000 000	May 19, 15	Oct 04, 16	28,957 50	27,094 77			1,862 73
LEXMARK INTL INC NTS B/E 05 125% 031520 DTD030413 FC091513 CALL@MW+50BP	Adjustment	62,000 000	May 12, 15	May 20, 16	63,085 00	66,278 96		-3,193 96	
US TSY NOTE 00 875 % DUE 01/31/17 DTD 01/31/12 FC 07/31/12 Original cost basis $9,139 60	FIFO	9,000 000	Nov 30, 12	Feb 05, 16	9,021 09	9,033 29		-12 20	
Total					**$395,383.52**	**$393,024.11**		**-$5,840.62**	**$8,200.03**
Net long-term capital gains or losses									**$2,359.41**
Net capital gains/losses:								**-$2,183.77**	

UBS Financial Services Inc
200 Clock Tower Place
Suite C-100
Carmel CA 93923-8680

2016 Year End Summary

EPZ3003921195 1216 X12 ML 0

Account name: HARDEN FOUNDATION
(RED GRANITE)
Account number: ML 09278 EE

Your Financial Advisor:
ELLIOTT/ENZ
Phone 831-622-0222/800-937-2400

HARDEN FOUNDATION
(RED GRANITE)
PO BOX 779
SALINAS CA 93902-0779

Summary of gains and losses

	Amount ($)
Short term	-209,648 33
Long term	1,279,675 32
Total	**$1,070,026.99**

Realized gains and losses

Estimated 2016 gains and losses for transactions with trade dates through 12/30/16 have been incorporated into this statement Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss Please check with your tax advisor To calculate gains and losses, we liquidate the oldest security lot first This is known as the first-in first-out or FIFO accounting method We use this method unless you specified which tax lot to close when you placed your order This is known as a versus purchases or VSP order

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Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ALLERGAN PLC	FIFO	334 769	Mar 17, 15	Feb 08, 16	88,621 45	102,104 76		-13,483 31	
	FIFO	227 230	Mar 17, 15	Feb 08, 16	60,153 23	69,305 24		-9,152 01	
CVS HEALTH CORP	FIFO	1,322 000	Dec 01, 15	Nov 10, 16	101,953 86	125,609.30		-23,655 44	
ECOLAB INC	FIFO	176 000	Dec 03, 15	Sep 27, 16	21,062 76	20,831 04			231 72
FIDELITY NATL INFORMATION SVCS	FIFO	182 000	Mar 10, 16	Sep 27, 16	14,142 91	11,130 96			3,011 95
HAIN CELESTIAL GROUP INC	FIFO	4,133 000	May 05, 16	Sep 15, 16	145,787 98	186,065 18		-40,277 20	
HARMAN INTL INDS INC NEW	FIFO	3,439 000	Aug 16, 16	Dec 15, 16	379,567 23	293,022.75			86,544 48
MANPOWERGROUP INC	FIFO	2,513 000	Jul 01, 15	Jun 28, 16	148,218 53	225,849 09		-77,630 56	
	FIFO	1,428 000	Aug 11, 15	Jun 28, 16	84,224 46	132,570 66		-48,346 20	
	FIFO	980 000	Mar 22, 16	Jun 28, 16	57,801 10	77,881 68		-20,080 58	
PAYPAL HOLDINGS INC	FIFO	4,610 000	Nov 02, 15	Aug 23, 16	174,364 84	170,169 39			4,195 45
PRICELINE GROUP INC NEW	FIFO	248 000	Aug 11, 15	Jan 20, 16	262,072 30	322,737 03		-60,664 73	
STERICYCLE INC	FIFO	915 000	May 19, 16	Aug 16, 16	78,977 15	89,007 27		-10,030 12	
WALGREENS BOOTS ALLIANCE INC	FIFO	211 000	Dec 15, 15	Sep 27, 16	17,148 34	17,460.12		-311 78	
Total					**$1,634,096.14**	**$1,843,744.47**		**-$303,631.93**	**$93,983.60**
Net short-term capital gains and losses								**-$209,648.33**	

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ABBVIE INC COM	FIFO	464 000	Mar 12, 15	Jul 13, 16	30,068 86	26,958 58			3,110 28
ADVANSIX INC	FIFO	108 000	Dec 11, 14	Oct 19, 16	1,757 93	1,406 70			351.23

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
ALEXION PHARMACEUTICALS INC	FIFO	160 000	Aug 04, 15	Sep 27, 16	20,061 86	31,573 39		-11,511 53	
	FIFO	1,056 000	Aug 04, 15	Nov 10, 16	134,174 97	208,384.39		-74,209 42	
	FIFO	823 000	Sep 17, 15	Nov 10, 16	104,570 08	137,678 85		-33,108 77	
ALPHABET INC CL A	FIFO	48 000	Mar 18, 09	Aug 10, 16	38,801 98	8,076 27			30,725 71
AMAZON COM INC	FIFO	171 000	May 09, 13	Jan 14, 16	101,032 72	44,634 38			56,398 34
	FIFO	308 000	Apr 25, 14	Jan 14, 16	181,977 06	93,861 90			88,115 16
APPLE INC	FIFO	366 000	Apr 10, 12	Jul 13, 16	35,641 47	32,898 46			2,743 01
BIOGEN INC	FIFO	323 000	Nov 17, 11	Jan 19, 16	86,410 89	35,258 97			51,151 92
	FIFO	825 000	Dec 06, 11	Jan 19, 16	220,708 93	92,532 33			128,176 60
BOEING COMPANY	FIFO	126 000	Aug 26, 14	Sep 27, 16	16,590 06	16,231 45			358 61
BRISTOL MYERS SQUIBB CO	FIFO	1,757 000	Feb 11, 14	Jan 05, 16	120,091 03	92,901 90			27,189 13
	FIFO	1,050 000	Feb 25, 14	Jan 05, 16	71,767 54	57,067 29			14,700 25
CARNIVAL CORP NEW (PAIRED STOCK)	FIFO	849 000	Dec 05, 14	Sep 27, 16	41,127 63	37,833 48			3,294 15
CELGENE CORP	FIFO	1,287 000	Apr 01, 09	Feb 05, 16	126,193 05	23,943 35			102,249 70
CERNER CORP	FIFO	274 000	Oct 28, 11	Sep 27, 16	17,043 80	8,831 95			8,211 85
COGNIZANT TECH SOLUTIONS CRP	FIFO	2,553 000	Dec 19, 13	Jan 07, 16	146,184 39	124,065 97			22,118 42
	FIFO	1,089 000	Dec 19, 13	Apr 14, 16	65,623 67	52,921 21			12,702 46
	FIFO	1,442 000	Feb 11, 14	Apr 14, 16	86,895 62	70,381 78			16,513 84
	FIFO	1,276 000	Jan 30, 15	Apr 14, 16	76,892 38	69,711 20			7,181 18
COSTCO WHOLESALE CORP	FIFO	171 000	Mar 11, 09	Sep 27, 16	25,749 83	6,759 61			18,990 22
CVS HEALTH CORP	FIFO	279 000	May 21, 15	Sep 27, 16	25,258 35	29,199 14		-3,940 79	
	FIFO	1,881 000	May 21, 15	Nov 10, 16	145,064 45	196,858 68		-51,794.23	
	FIFO	1,665 000	Jun 08, 15	Nov 10, 16	128,406 33	166,225 44		-37,819 11	
EXPEDIA INC	FIFO	143 000	Mar 20, 14	Sep 27, 16	16,142 21	10,799.26			5,342 95
EXPRESS SCRIPTS HLDG CO	FIFO	356 000	Apr 02, 15	Sep 27, 16	25,184 24	30,212 12		-5,027 88	
FACEBOOK INC CL A	FIFO	1,415 000	May 16, 13	Jan 07, 16	141,768 93	37,499 62			104,269 31
	FIFO	779 000	May 16, 13	Feb 08, 16	78,025 85	20,644 67			57,381 18

continued next page

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
	FIFO	168 000	May 16, 13	Sep 27, 16	21,631 21	4,452 25			17,178 96
FEDEX CORP	FIFO	718 000	May 03, 13	Apr 19, 16	119,754 41	68,237 07			51,517 34
GILEAD SCIENCES INC	FIFO	1,896 000	Dec 17, 10	Feb 03, 16	160,588 05	35,311 58			125,276 47
	FIFO	120 000	Jul 26, 12	Feb 03, 16	10,163 80	3,114 56			7,049 24
	FIFO	1,600 000	Jul 26, 12	Feb 03, 16	135,517 35	41,527 52			93,989 83
HOME DEPOT INC	FIFO	189 000	May 26, 15	Sep 27, 16	23,907 04	20,994 91			2,912 13
HONEYWELL INTL INC	FIFO	181 000	Dec 11, 14	Jul 13, 16	21,600 88	17,812 63			3,788 25
INTUITIVE SURGICAL INC NEW	FIFO	257 000	Jul 18, 13	Apr 21, 16	164,785 04	108,434 88			56,350 16
	FIFO	294 000	Jul 18, 13	Nov 22, 16	189,140 89	124,046 13			65,094 76
	FIFO	163 000	Jul 19, 13	Nov 22, 16	104,863 83	60,637 63			44,226 20
MASTERCARD INC CL A	FIFO	223 000	Sep 18, 14	Sep 27, 16	22,641 53	17,271 06			5,370 47
	FIFO	731 000	Sep 18, 14	Nov 07, 16	77,197 77	56,615 00			20,582 77
MC CORMICK & CO NV	FIFO	2,171 000	Feb 17, 15	Apr 05, 16	216,480 89	162,146 78			54,334 11
PAYPAL HOLDINGS INC	FIFO	645 000	Jan 16, 14	Jul 13, 16	25,512 42	21,113 90			4,398 52
	FIFO	1,773 000	Jan 16, 14	Aug 23, 16	67,060 49	58,038 66			9,021 83
	FIFO	1,222 000	Feb 20, 14	Aug 23, 16	46,219 92	40,852.74			5,367 18
	FIFO	1,395 000	May 13, 14	Aug 23, 16	52,763 33	43,701 02			9,062 31
SALESFORCE COM INC	FIFO	1,526 000	May 24, 13	Jan 20, 16	103,593 96	64,142 36			39,451 60
	FIFO	316 000	Jul 02, 13	Jan 20, 16	21,451 96	12,037.89			9,414 07
	FIFO	1,147 000	Jul 02, 13	Feb 08, 16	62,035 16	43,694 51			18,340 65
	FIFO	1,569 000	Apr 24, 14	Feb 08, 16	84,858 90	86,345 21		-1,486 31	
STARBUCKS CORP	FIFO	435 000	Dec 18, 12	Jul 13, 16	24,652 74	11,918 61			12,734 13
	FIFO	46.000	Jan 02, 13	Jul 13, 16	2,606 96	1,256 69			1,350 27
STERICYCLE INC	FIFO	783 000	Nov 01, 12	Aug 16, 16	67,583 72	74,813 77		-7,230 05	
	FIFO	1,179 000	Dec 20, 12	Aug 16, 16	101,763 99	109,463 08		-7,699 09	
TJX COS INC NEW	FIFO	379 000	Jun 19, 14	Aug 10, 16	30,762 76	20,974 27			9,788 49
VERIZON COMMUNICATIONS INC	FIFO	1,200 000	Jul 18, 14	Sep 15, 16	62,401 28	60,897 84			1,503 44

continued next page

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount ($)	Cost basis ($)	Wash sale cost basis adjustment($)	Loss ($)	Gain ($)
VF CORP	FIFO	2,779 000	Oct 17, 14	Jan 05, 16	169,933 83	178,580 21		-8,646 38	
	FIFO	1,504 000	Oct 31, 14	Jan 05, 16	91,968 51	101,825 91		-9,857 40	
VISA INC CL A	FIFO	2,390 000	Jul 16, 12	Feb 05, 16	170,015 26	76,662 95			93,352 31
	FIFO	185 000	Jul 16, 12	Sep 27, 16	15,209 45	5,934 16			9,275 29
Total					**$4,777,883.44**	**$3,498,208.12**		**-$252,330.96**	**$1,532,006.28**
Net long-term capital gains or losses									**$1,279,675.32**
Net capital gains/losses:									**$1,070,026.99**

Guidelines for Grant Applications

Grantmaking

Introduction

The Foundation seeks to support nonprofit organizations that will achieve all or some of the following objectives:

- Improve the well-being of young people
- Strengthen the family
- Develop individual self-reliance and health
- Prevent inappropriate institutionalization of individuals
- Improve the quality of life through cultural activities
- Encourage more humane treatment of animals
- Eliminate duplication and improve coordination of social and community services

The Harden Foundation seeks to support 501(C)3 organizations with a demonstrated ability to provide meaningful and measurable ongoing benefits to the people of Monterey County, California and especially the Salinas Valley.

Scope and Types of Grants

Geographic Limits:

501(C)3 organizations who provide services or programs in Monterey County, California are eligible to submit grant proposals to the Foundation. The Harden Foundation does not make grants to organizations headquartered outside of Monterey County unless they demonstrate service to the area. The Foundation will consider grants in the following seven focus areas: Children, Youth, & Families, Senior Citizens, General, Health, Agricultural Education, Animal Welfare and Environment, and Arts & Culture.

Type of Grants

The Foundation provides both general support and project support to a broad range of nonprofits working in the Foundation's focus areas. The Foundation will consider proposals for one-time capital grants, special projects, and operating support. Requests for ongoing operating support are discouraged. In general, operating grants for start-up programs will be made for a maximum of two (2) years. Thereafter, operating grants will be made at the Board's discretion and, if granted, will be on a matching basis. Operating grants will not be made in amounts exceeding one-third of the operating budget of the organization except for start-up funds. Typically, grants range from $5,000 to $100,000, and higher for major or capital projects.

The Foundation will consider **one** grant request per organization in a calendar year. Multi-year grants will be considered only in exceptional cases. Grant requests should not exceed $100,000.

Deadlines for submitting grant applications are **MARCH 1** and **SEPTEMBER 1** of each year. Grants will be reviewed and funded semi-annually, in January (for previous year September 1 deadline) and in July for March 1 deadline.

Exceptions:

The Foundation does **NOT** fund:

- Organizations that do not have a current 501©3 status
- Organizations that support sectarian religious programs
- Creation or addition to endowments
- Annual events, conferences, or fundraising events
- Academic or medical research or scholarships to individuals
- Foundations or associations established for the benefit of an organization which receives substantial tax support
- Individuals
- Political parties, candidates or partisan political organizations or activities
- Organizations whose activities are located outside of Monterey County
- The Foundation does not accept unsolicited proposals from public or private institutions of primary, secondary or higher education. However, grant proposals from public institutions will be considered for special projects, which are agriculture related.

Guide for Submitting a Grant Application

Determine if your organization is eligible

In order to be considered for funding, an organization must be designated as a nonprofit, tax exempt "charitable organization" (without private foundation status) and conduct programs within our focus areas and in our geographic funding area. The applicant should also be current on all reports due to the Foundation for any previous grants.

Submit a grant proposal and the necessary attachments

Complete the **Harden Foundation Grant Application** and include the necessary attachments. Please submit only **one** copy of the complete grant application package.

You may download the Harden Foundation Grant Application form our website, www.hardenfoundation.org or call our office to obtain the forms at 831-442-3005. Supporting materials submitted as part of your grant application cannot be returned. Please do **not** submit any materials for which you do not have a copy. Please do **not** submit your proposal in a binder or folder.

Applications may be mailed, dropped off, or sent via e-mail to the Foundation's office. Faxed applications are **not** accepted. E-mail applications can be sent either as a Word document or scanned PDF document to: grants@hardenfoundation.org. For applications submitted by e-mail in Word format, a copy of the signed Grant Application Form (page7 of the Harden Foundation Grant Application) should be mailed to the Foundation.

- Send one complete copy of your grant application.
- Use standard typeface no smaller than 11 points 1" margins.
- Use 8.5 x 11" white paper only with 1" margins
- Print your application single-sided.
- Do not bind your application or put application in a presentation binder.
- Clip the application together with a single clip. Do not staple any portion of the application.

Responsibility of Grant Recipients

If a grant application is approved for funding, a Grant Agreement outlining the terms and conditions of the grant will be sent to grantee. The Grant Agreement must be signed by an authorized management official of the organization and returned to the Harden Foundation. All funds awarded must be used for the specific purpose outlined in the Grant Agreement and any requests for a revision of use of funds must be submitted in writing to the Harden Foundation and request must be approved.

The Harden Foundation requires that organizations submit a completed Grantee Report for any grants previously awarded by the Foundation before a new grant application will be considered for funding. Grantee Reports are due within one year of the grant's award date. The Harden Foundation Grantee Report form is available on our website at: www.hardenfoundation.org.

Harden Foundation
Grant Application

Deadlines: (March 1st, September 1st)

Table of Contents

Before You Begin: Strategies for a Successful Grant Application

Dear Nonprofit Colleague:

Some strategies for successful grant seeking include:

- Research the funding interest of the foundation before applying and obtain a copy of its current grant guidelines.
- Familiarize yourself with the application process and procedures.
- Follow the specified format and any specific instructions.

Please research the grant guidelines and instructions before applying for a grant.

WHAT IS THE PURPOSE OF THE GRANT APPLICATION FORMAT?
The application is designed to benefit both grantseeker and grantmaker. It is not simply a form to be filled in. It is a format to be used as an outline for organizing and writing proposals.

HOW SHOULD YOU USE THE GRANT APPLICATION FORMAT?
Read this entire document before you begin. Pay attention to the instructions. You may duplicate the forms if necessary. Copies can be downloaded from the Harden Foundation website.

TIP - *Do not simply produce a mass mailing of a single proposal.*

Take care to tailor each request, particularly in the narrative, to the specific interests of each funder.

HOW SHOULD YOU START?
Know your purpose. Clarify your organization's priorities and purpose in seeking funds.

WHAT SHOULD YOU DO NEXT?
Conduct research to identify if grants are made to your type of organization and in your geographic area. Review grant guidelines and make certain that the purpose of your proposal fits within the Harden Foundation guidelines.

TIP - *Share your passion, your organization's uniqueness and strengths and how you will make a difference through your outcomes*

THE REVIEW PROCESS
During the review process, staff members may ask various people for information, including your organization's board members, other agencies and grantmakers, clients, and members of the community. If you do not wish us to contact any of these sources, please let us know.

Harden Foundation
Grant Application Checklist

Each item listed on this Grant Application Checklist should be enclosed in this order with your application. Note that incomplete proposals will not be accepted. Please do not type answers on this checklist, indicate the items enclosed by marking the corresponding box. Submit **one copy** of the completed Grant Application packet (see Section III, Submitting your Application), including the following:

I. General Forms

- ❑ A completed and signed Grant Application Form (two pages) – with signature of authorized representative
- ❑ A letter from the Board Chairperson or Board member indicating approval for this grant application

II. Proposal Narrative (3 - 5 pages only), including the following information:

❑ **Introduction and Background of Organization (incorporating the following points:)**

1. Briefly describe your organization's history and major accomplishments
2. Describe your current programs and activities
3. Who is your constituency (be specific about demographics such as race, gender, ethnicity, age, sexual orientation and people with disabilities)? How are they actively involved in your work and how do they benefit from this program and/or your organization?

❑ **Describe Your Request (incorporating the following points):**

TIP - *Be clear and succinct. Grantmakers appreciate a concise*

1. Problem statement. what problems, needs or issues are addressed, and how was this determined?
2. How does your work address and/or change the underlying or root causes of the problem?
3. If other than general operating support, describe the program for which you seek funding, why you decided to pursue this project and whether it is new or an expansion of an existing program
4. Include a list of all other grant requests (pending and approved) for this project, showing funding source and amount requested

❑ **Evaluation**

1. **Please include in your 3-5 page narrative:**

   a. What are the goals, expected outcomes and activities involved in this request, and when will each be accomplished?
   b. Provide a clear plan for the evaluation of the results of the program/project in relation to its stated objectives. How will you show that the expected outcomes were met? Include:
      - Expected outcomes

TIP - *Set measurable goals and specify your plans to communicate with the funder during the grant period.*

III. Project Budget

- ❑ A detailed program/project budget, in your agency's normal format, showing revenues and expenses for the total program/project, and explaining how the funds requested in this application would be allocated (for the year(s) reflected in the grant request). Note. requests for operating support will not require a program/project budget, but please indicate in your narrative how the requested funds will be allocated.

IV. Organizational Structure

- ❑ A list of the current Board of Directors with related demographic information (include name, city of residence and profession of each Board member)
- ❑ Staff roster with name and title
- ❑ Organization Chart, if available

TIP – *Follow the budget and financial instructions carefully and include all information requested.*

V. Organization's Financial Statements

- ❑ A detailed organization current annual budget (for the year reflected in the grant request), showing both income and expenses
- ❑ Complete financial statements for the most recently completed fiscal year including:
  1. Balance Sheet or Statement of Financial Position. This financial statement lists the organization's assets and liabilities by category at a specific point in time. Examples of asset lines are cash, accounts receivable, prepaid expenses, property and equipment. Examples of liability lines are accounts payable, salaries and wages payable, accrued vacation, plus equity/real estate, vehicles, and long term debt.
  2. Profit & Loss Statement or Statement of Activities This financial statement lists income and expenses by categories. Examples of income categories are grants, individual donations, earned revenue and events Examples of expense lines are salaries and wages, payroll taxes, insurance, contract services, occupancy/utilities/rent, insurance and vehicle operation/maintenance.
- ❑ Complete year-to-date financial statements. 1) Balance Sheet or Statement of Financial Position, and 2) Profit & Loss Statement or Statement of Activities. If your year-to-date statements cover a period of three months or less, please provide financial statements for two completed years, including both the most recently completed fiscal year and the prior year's statement.
- ❑ A list of the ten largest financial gifts (grants or gifts from individuals or organizations) received in your most recent fiscal year (donors who have requested anonymity may be listed as Anonymous)

V. Other

- ❑ If applicable, a completed Grant Report for a previous grant, if not already submitted (Please refer to the specific grant agreement/contract).

SUBMITTING YOUR APPLICATION

Please refer to the Harden Foundation website for proposal deadlines and other information about submitting an application.

A. By E-mail:

Applications via e-mail can be sent to

- grants@hardenfoundation org

The preferred format is one scanned PDF document comprising all parts of the application, signed as appropriate, in the order requested.

- If necessary, documents such as the narrative, financials, and board list, may be scanned as separate PDF files
- Please do not scan the individual pages of a document as separate files. For example, don't create a separate PDF document for each page of the narrative
- If you are including a Grant Report for a previous grant, this should be a separate document

For other formats:

☑ Use standard typeface no smaller than 11 points with 1" margins
☑ Save in standard Word or Excel format
☑ To comply with audit requirements for signatures, if you email unsigned files:
- MAIL a signed Grant Application Form (page 7 of this packet)
- MAIL a signed Board Approval letter (Section I.D. of this checklist).

B. On Paper:

Applications are accepted by U S. mail or by hand delivery

Send one complete copy of your grant application.

☑ Use standard typeface no smaller than 11 points
☑ Use 8 ½ x 11" white paper only with 1" margins
☑ Print your application single-sided
☑ Collate the parts in the order listed on the checklist
☑ Do not bind your application or put your application in a presentation folder
☑ Do not use tabs or separate sheets of paper to divide your application into sections
☑ Clip the application together with a single clip. Do not staple any portion of the application
☑ Faxed applications are not accepted

Harden Foundation
Grant Application Form

Please provide the information requested on this form **completed on these two pages only**. Please do not type "see attached" on any item. You may print this form on your computer, or type directly on the form. Please do not bind your application or put your application in a presentation folder. Clip the application together with a single clip - do not use staples.

A. ORGANIZATION AND PROGRAM/PROJECT INFORMATION

1. Legal organization name: ______________________________

2. Year organization was founded: ______________________________

3. Tax status: Tax ID # (EIN): ______________________________

   ___ 501 (c) (3) nonprofit

   ___ 501 (c) (____) Specify: ______________________________

   ___ Other status: ______________________________

4. Organization address: ______________________________

____

____

5. Telephone: ______________________________ 6. Fax: ______________________________

7. Organization website: ______________________________

8. Executive Director or principal officer (Name and Title): ______________________________

9. Email: ______________________________

10. Contact for this proposal: ______________________________

11. Daytime telephone: ______________________________ 12. Email: ______________________________

13. Mailing address, if different from above: ______________________________

____

____

14. Amount requested: ______________________________

15. Period grant will cover: ______________________________

16. Type of request (check all that apply):

___ General Support ___ Program/project support
___ Capital Project ___ Organizational Development ___ Other ________________

17. Program/Project Title: ____

18. Total Project Budget: ____

19. Total organizational budget (current year): ______________________________

20. Percentage of budget spent on fundraising (derive from Part IX, 5.D on the organization's 990): ________

21. Fiscal Year ending date: ____

22. Summary of the organization's mission (two to three sentences): ______________________

____

____

23. Summary of the project or grant request (two to three sentences): ____________________

____

____

24. Who will be served by the project or grant {demographics, direct number served and service area(s)}?

____

____

B. BOARD OF DIRECTORS INFORMATION

1. What is the minimum and maximum number of Board members required by your organization's Bylaws?

   ____

2. How much **money** did the Board of Directors (your organization's governing board) contribute to the organization in the most recent fiscal year? ______________________________

3. What percentage of the Board of Directors donated funds? ______________________

C. ORGANIZATION AGREEMENT and SIGNATURE

The organization hereby agrees that funds, if granted, will be used only for the purpose described above unless written approval from the grantmaker is received.

____
Signature of authorized representative

______________________________________ ____________________
Print Name and Title Date Application Submitted

Helpful Hints – Preparing a Program/Project Budget

The budget tips and sample provided below are meant to serve as a guide, not a mandatory budget format. Your budget does not have to duplicate this format exactly.

TIPS ON PREPARING A PROJECT BUDGET FOR YOUR GRANT APPLICATION

- Clearly depict how much money is needed and how it will be used
- The budget should include sources (income) and uses (expenses) of funds
- Sources of funds should include names of other funding organizations and amounts pledged or received as well as amounts still needed to be raised and possible sources for those funds
- Indicate the time period covered by the budget
- Indicate if requested expenses are one-time or ongoing
- Make sure that you have accounted for all costs, such as benefits and payroll taxes as well as salaries, so that there will be no surprises mid-project
- Finally, make sure all the numbers add up

SAMPLE BUDGET CATEGORIES

Below is a list of suggested budget categories to use when developing your proposal budget. The clearer you are about where funds are coming from and how they will be used, the easier it will be for the reviewer to assess your financial need.

Sources of Funds

- ✓ Federal/state/local grants or contracts
- ✓ Bequests
- ✓ Corporate and foundation grants
- ✓ United Way and Federated Campaigns
- ✓ Other fundraising, such as individual gifts and special events
- ✓ Other types of income (fees, membership dues, sales of publications or merchandise, etc.)

Uses of Funds (Expenses)

- ✓ Salaries, benefits and payroll taxes
- ✓ Professional or consulting fees
- ✓ Insurance
- ✓ Travel and transportation
- ✓ Supplies, copying, postage
- ✓ Rent and utilities
- ✓ Maintenance
- ✓ Staff training and development
- ✓ Administrative overhead
- ✓ Equipment—non-capitalized (minor)
- ✓ Equipment—capitalized (major)
- ✓ Other services

SAMPLE FORMAT FOR A PROGRAM/PROJECT BUDGET

Organization Name: ABC Nonprofit
Program Name: Kids and College
Program Date: 7/1/15– 6/30/16
Request to: (Name of Funder)

	Sources of Funds:					
Income:	**(Name of this funder) This Request**	Other Proposals	Committed Funds	Program Revenue	**TOTAL**	Actual (Leave this column blank until the final grant report)
(Name of Funder)	**$25,000**				**$25,000**	
Foundation A		$50,000			$50,000	
Foundation B			$2,500		$2,500	
State Grant		$2,500			$2,500	
Annual Silent Auction				$10,000	$10,000	
Donations from individuals				$5,000	$5,000	
	$25,000	$52,500	$2,500	$15,000	**$95,000**	

Expenses:	**(Name of Funder)**	(Other Source)	(Other Source)	Program Revenue	**TOTAL**	Actual (Leave this column blank until the final grant report)
Ongoing. Salaries:						
Program Manager	**$15,000**	$30,000			$45,000	
Part-Time Staff 1			$2,500		$2,500	
Part-Time Staff 2		$2,500			$2,500	
Taxes and Benefits	**$2,000**				$2,000	
Professional Services (Evaluation)				$5,000	$5,000	
Supplies		$5,000			$5,000	
Travel		$5,000		$5,000	$10,000	
Publications and Postage		$5,000			$5,000	
Rent and Utilities				$4,000	$4,000	
One-time. Staff Training	**$3,000**	$6,000		$1,000	$10,000	
Equipment	**$5,000**				$5,000	
	$25,000	$52,500	$2,500	$15,000	**$95,000**	

Payments Made, by Grantee Organization

12/31/2016

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Active Seniors Inc.					
Funding to upgrade old kitchen appliances at the Active Seniors, Inc facility in Salinas $14,000 00	98599	1/28/2016	$14,000 00		14184
Agriculture and Land Based Training Association					
Operating support for the Farmer Education and Enterprise Development program $10,000 00	98598	3/16/2016	$10,000 00		14202
Alliance on Aging					
Program support to provide services for seniors in Monterey County $40,000 00	98592	2/23/2016	$40,000 00		14194
Alzheimer's Disease and Related Disorders					
General operating support $25,000 00	98645	8/30/2016	$5,000 00		1928
General operating support $25,000.00	98645	9/14/2016	$5,000 00		14226
General operating support $25,000 00	98645	9/21/2016	$10,000 00		1941
General operating support $25,000 00	98645	10/14/2016	$5,000 00		1972
		Total Alzheimer's Disease and Related Disorders (4 items)	$25,000 00		

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
American Cancer Society /Mty-San Benito Unit *Funding to support patient services and an advertising campaign to promote the Road to Recovery transportation program* $5,000 00	98715	12/16/2016	$5,000 00		2056
American Red Cross Monterey Bay Area Chapter *Funding for their Disaster Response & Preparedness programs* $20,000 00	98698	12/28/2016	$20,000 00		2057
Animal Friends Rescue Project *Funding to help cover medical costs for rescued dogs and cats* $15.000 00	98597	4/8/2016	$15.000 00		1748
Ariel Theatrical, Inc. *Operating support for their Spring and Winter youth arts programs* $25,000 00	98706	10/13/2016	$25.000 00		1962
Aspiranet *Funding for the Cherish Receiving Center, which provides a safe haven for children removed from their homes due to abuse and neglect in Monterey County* $10.000 00	98548	7/22/2016	$10.000 00		1875
Blind and Visually Impaired Center of Monterey County					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Operating support to meet the needs of blind and low vision residents of Monterey County $20,000 00	98648	10/14/2016	$20,000 00		1975
Boys & Girls Club of Monterey County *General operating support* $75,000 00	98708	8/30/2016	$75,000 00		1929
Breathe California, Central Coast *Operating support for the asthma and lung health education program in Monterey County* $5,000 00	98602	5/24/2016	$5,000 00		1809
California Agricultural Leadership Foundation *Operating support for the Ag Leadership Program* $20,000 00	98655	10/31/2016	$20,000 00		2000
California International Airshow *Funding for the 2016 President Box* $1,140 00	98653	2/23/2016	$1,140 00		14195
Caminos Del Arte *Funding to support the Caminos Del Arte Mariachi Academy* $6,000 00	98512	1/19/2016	$310 51		1649
Funding to support the Mariachi Academy and youth arts and leadership programs $5,000 00	98691	9/14/2016	$3,690 00		14227

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
		Total Caminos Del Arte (2 items)	$4,000 51		
Cancer Patients Alliance *Funding to support advocating for cancer patients in the Salinas Valley* $10,000 00	98683	8/19/2016	$10,000 00		1918
Carmel Bach Festival *Operating support for the Family and Youth Community Outreach programs in Salinas* $10,000 00	98527	6/29/2016	$10,000 00		1856
Carmel Ideas Foundation *Funding for the Student Festival, Festival to Schools and The Big Read programs in Monterey County* $10,000 00	98528	8/12/2016	$10,000 00		1910
Center for Community Advocacy *Funding for the Salinas youth leadership development program, Youth for Change* $10,000.00	98603	3/16/2016	$10,000 00		14203
Central Coast YMCA *General operating support* $36,000.00	98590	5/27/2016	$36,000 00		1814
Central Coast Youth Sports Organization, Inc.					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Funding to support youth sports and after school programs in Greenfield $5,000 00	98625	3/24/2016	$5,000 00		1723
Chamber Music Monterey Bay					
Funding to replace a single-user business software system with a new customer relationship management (CRM) technology system $5,000 00	98543	7/13/2016	$5,000 00		14210
Christine Marie's Star Riders					
Funding for the therapeutic horseback riding program for special needs children and adults with disabilities $20,000 00	98637	8/12/2016	$20,000 00		1917
Coastal Kids Home Care					
Funding to provide in-home nursing and therapeutic care and counseling for seriously ill children and their families in Monterey County $20,000 00	98721	8/30/2016	$15,000 00		1931
Funding to provide in-home nursing and therapeutic care and counseling for seriously ill children and their families in Monterey County $20,000 00	98721	11/28/2016	$5,000 00		2025
		Total Coastal Kids Home Care (2 items)	$20,000 00		
Colleagues of the Arts					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Funding for the student awards and mentoring program for youth in Monterey County $5,000.00	98529	2/23/2016	$5,000 00		14196
Community Human Services Project					
Operating support to provide family support services including SuperKids/SuperTeens school-based counseling programs $20.000 00	98606	3/16/2016	$20.000 00		14204
Community Partnership for Youth					
Operating support for their Afterschool Mentor-Tutor Programs $25,000 00	98661	8/23/2016	$20,000 00		1923
Operating support for their Afterschool Mentor-Tutor Programs $25,000 00	98661	9/14/2016	$5,000 00		14229
		Total Community Partnership for Youth (2 items)	$25,000 00		
Deaf and Hard of Hearing Service Center, Inc.					
Operating support for the Words in Hands literacy program in Monterey County $10.000 00	98444	1/19/2016	$10,000 00		14177
Door to Hope					
Funding to implement an Electronic Health Record system into their MCSTART Clinic operations $15.000 00	98699	8/12/2016	$15.000 00		1911
Easter Seals Central California					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
General operating support to continue to provide services to children and adults with disabilities in Monterey County $20,000 00	98531	1/28/2016	$20,000 00		14185
General operating support $20,000 00	98670	10/31/2016	$20,000 00		2001
Total Easter Seals Central California (2 items)			$40,000 00		
Educational Resources of Monterey County					
Operating support to provide educational programs, activities and events for youth and families in North County $5,000 00	98574	2/23/2016	$5,000 00		14201
El Camino Real Futbol League					
Funding to help send boys & girls futbol teams to the regional IV Tournaments in Idaho and Colorado $5,000 00	98723	6/10/2016	$5,000 00		1826
Funding to support youth soccer programs in Monterey County $20,000 00	98553	7/22/2016	$20,000 00		1876
Total El Camino Real Futbol League (2 items)			$25,000 00		
El Sistema USA/Salinas, Inc.					
Operating support for Youth Orchestra Salinas (YOSAL), a classical music training program for youth $35,000 00	98577	6/10/2016	$35,000 00		1827

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Exponent Philanthropy					
Funding for general support $1,000 00	98722	4/21/2016	$1,000 00		1760
First Night Monterey					
Funding to provide arts programs and ongoing remodeling of the Greenfield Cultural Arts Center $10,000 00	98703	9/29/2016	$7,000 00		1956
Funding to provide arts programs and ongoing remodeling of the Greenfield Cultural Arts Center $10,000.00	98703	12/13/2016	$3,000 00		2048
	Total First Night Monterey	(2 items)	$10,000 00		
Food Bank for Monterey County					
General operating support $50.000 00	98588	12/16/2016	$50,000 00		2055
Funding for capital campaign to help purchase a building $300.000 00	98642	12/28/2016	$100,000 00		2059
	Total Food Bank for Monterey County	(2 items)	$150,000 00		
Foundation for Monterey County Free Libraries					
Funding for their homework centers and for general operating support $35.000 00	98651	10/31/2016	$30.000 00		2002

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Funding for their homework centers and for general operating support $35.000 00	98651	12/9/2016	$5.000 00		2041
		Total Foundation for Monterey County Free Libraries (2 items)	$35,000 00		
Future Citizens Foundation (First Tee of Monterey)					
General operating support for their youth programs $20,000 00	98638	5/31/2016	$20,000 00		1820
Gateway Center of Monterey County, Inc.					
Funding for construction and remodeling costs of facilities serving adults with developmental disabilities $15,000 00	98629	1/28/2016	$15.000 00		14186
Girl Scouts of California's Central Coast					
General operating support for the Alisal Center in Salinas $10.000 00	98630	3/24/2016	$10.000 00		1725
Harmony at Home					
Operating support for their Bullying Prevention Program serving 2.600 Salinas children $15.000 00	98623	2/23/2016	$15,000 00		14198
Hartnell College Foundation					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Funding for the Agricultural Business and Technology Institute at Hartnell College $300,000 00	98312 9600189	1/28/2016	$100,000 00		14187
Health Projects Center *Operating support to provide services to family caregivers of persons living with cognitive impairment* $20,000 00	98673	8/12/2016	$20,000 00		1912
Hope Services *Funding for their E-Waste Program serving adults with developmental disabilities in Salinas* $10,000 00	98470	1/19/2016	$10,000 00		14178
Hope, Horses and Kids *Funding to provide equine assisted learning for special needs children in Monterey County* $12,000 00	98516	4/5/2016	$5,200 00		1743
Independent Transportation Network Monterey County *Funding to provide transportation services for seniors and adults with visual impairment* $10,000 00	98624	4/8/2016	$10,000 00		1749
Interim, Inc. *Funding for operating costs and pre-development and renovation costs for Bridge Houses in Marina and Monterey* $25,000 00	98620	1/28/2016	$25,000 00		14188

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Jacob's Heart Children's Cancer Association					
Funding to provide support to children with cancer and their families in Monterey County $20,000 00	98594	8/30/2016	$20,000 00		1934
Josephine Kernes Memorial Pool					
Funding to provide therapeutic adaptive aquatic servcies for disabled children and adults in Monterey County $10,000 00	98600	2/23/2016	$10.000 00		14199
Kinship Center					
Funding to provide services for foster, adoptive and relative families of abused and neglected children in Monterey County $25,000 00	98554	1/19/2016	$25,000 00		14179
Operating support for the Family Ties Program supporting relative caregivers in Monterey County $20,000 00	98693	10/14/2016	$20,000 00		1978
		Total Kinship Center (2 items)	$45,000 00		
Legal Services for Seniors					
General operating support to provide legal assistance for over 2,500 seniors in Monterey County $25.000 00	98566	4/27/2016	$25,000 00		1771
Lyceum of Monterey County					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Funding for enrichment classes and academic events for youth throughout Monterey County $10.000 00	98581	3/16/2016	$10.000 00		14205
Marina Youth Arts, Inc. *Operating support for after-school arts programs in Marina* $10,000 00	98639	8/23/2016	$10.000 00		1925
Meals on Wheels of the Salinas Valley, Inc. *Operating support to provide home-delivered meals to seniors and disabled adults* $50,000 00	98556	1/19/2016	$10,000 00		14180
Operating support to provide home-delivered meals to seniors and disabled adults $50.000 00	98556	3/4/2016	$10,000 00		1694
Operating support to provide home-delivered meals to seniors and disabled adults $50,000 00	98556	4/1/2016	$10,000 00		1737
Operating support to provide home-delivered meals to seniors and disabled adults $50,000 00	98556	5/5/2016	$10,000 00		1784
Total Meals on Wheels of the Salinas Valley, Inc		(4 items)	$40,000 00		
Mee Memorial Hospital Foundation *Funding to replace outdated laparoscopic surgery equipment at Mee Memorial Hospital* $50,000 00	98593	1/28/2016	$50,000 00		14189

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Monterey Bay Retired Senior Volunteer Program					
Operating support for the senior volunteer program in Monterey County $20,000 00	98717	12/6/2016	$20,000 00		2034
Monterey County Agriculture & Rural Life Museum					
Funding for their School Tour Education Program $5,000 00	98668	9/14/2016	$5,000 00		14232
Monterey County Pops!					
Funding to provide pops and patriotic music for youth and families in Monterey County $15,000.00	98503	1/19/2016	$6,715 00		14181
Funding to provide pops and patriotic music for youth and families in Monterey County $15,000 00	98503	8/12/2016	$785 00		1913
	Total Monterey County Pops!	(2 items)	$7,500 00		
Monterey County Rape Crisis Center					
Operating support for prevention education services in public schools throughout Monterey County $25,000 00	98663	11/22/2016	$25,000 00		14241
Monterey County Symphony Association					
General operating support $35,000 00	98704	11/22/2016	$20,000 00		14242
Monterey Horse Park					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Operating support to continue community outreach activities $20.000 00	98561	3/4/2016	$5,000 00		1695
Operating support to continue community outreach activities $20,000.00	98561	9/29/2016	$15,000 00		1958
		Total Monterey Horse Park (2 items)	$20,000 00		
Monterey Jazz Festival *Funding for the Monterey Jazz in the Schools program* $10,000 00	98689	11/22/2016	$10,000 00		14243
National Steinbeck Center Foundation *General operating support* $25.000 00	98677	12/6/2016	$18,000 00		2038
Natividad Medical Foundation *Funding to help underwrite costs of new operating room equipment at Natividad Medical Center* $45,787 00	98626	1/28/2016	$45,787 00		14190
Pacific Repertory Theatre *Operating support for the School of Dramatic Arts (SoDA) activities and onstage productions* $15,000 00	98656	9/21/2016	$15.000 00		1948
Partners For Peace					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Operating support to provide prevention and intervention services for parents, family and youth $15.000 00	98658	10/19/2016	$15.000 00		1988
Partnership for Children					
Operating support for the Partnership for Children program in Monterey County $20,000 00	98727	9/29/2016	$20,000 00		1959
Peace of Mind Dog Rescue					
Funding for the Rescue/Adoption and Helping Paw program for senior dogs and cats $5,000 00	98619	5/27/2016	$5,000.00		1816
Planned Parenthood Mar Monte					
Operating support for their outreach and education programs $10,000 00	98690	10/14/2016	$10,000 00		1979
Public Recreation Unlimited, Inc.					
Funding for the new Multiple Purpose Stadium $300,000 00	98346 9600188	1/19/2016	$100,000 00		14183
Funding for 2016 Rodeo Buckle & Tiara $4,200 00	98725	6/29/2016	$4,200 00		1860
		Total Public Recreation Unlimited, Inc. (2 items)	$104,200 00		
Rancho Cielo					
General operating support $30,000 00	98615	4/8/2016	$15,000 00		1752

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Capital support for the Ted Taylor Vocational Center at the Rancho Cielo Youth Campus $500,000 00	98090	4/27/2016	$100.000 00		1772
General operating support $30.000 00	98615	5/27/2016	$15,000 00		1817
Capital support for the Ted Taylor Vocational Center at the Rancho Cielo Youth Campus $500.000 00	98090	7/13/2016	$100.000 00		14213
		Total Rancho Cielo (4 items)	$230,000.00		
The Read to Me Project					
Funding to support a school-based, year-long reading program to help children achieve kindergarten readiness and a lifetime of literacy $10,000 00	98686	8/12/2016	$10.000 00		1915
Restorative Justice Partners, Inc.					
Operating support for Restorative Justice in the schools programs in Salinas $10.000 00	98515	2/23/2016	$10,000 00		14200
Salinas Area RIF Program					
Funding to purchase books for nearly 16,000 students in the Salinas Valley in grades pre-school to sixth grade $5,000 00	98576	1/28/2016	$5,000 00		14191
Salinas Girls Fast Pitch, Inc.					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Funding to help send teams to either regional or national tournaments in July or August 2016 $10,000 00	98759	9/14/2016	$10.000 00		14237
Salinas Jaycees Foundation, Inc. *Funding for the 2016 Children's Shopping Tour* $10.000 00	98792	12/6/2016	$10,000 00		2037
Salinas Police Activities League *Funding for the 2016 Christmas Toy Drive* $10,000 00	98788	11/22/2016	$10,000 00		14244
Salinas Valley Memorial Hospital Foundation *Funding to help underwrite equipment & construciton costs and services for the new Taylor Farms Family Health and Wellness Center in Gonzales* $50,000 00	98579	1/28/2016	$50,000 00		14192
Salinas Valley Youth Soccer League *Operating support for their youth soccer programs* $20.000 00	98545	1/19/2016	$5,000.00		14182
Operating support for their youth soccer programs $20.000 00	98545	4/21/2016	$5,000 00		1766
Operating support for their youth soccer programs $20.000.00	98545	7/22/2016	$5,000.00		1879

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Total Salinas Valley Youth Soccer League		(3 items)	$15.000 00		
Second Chance Youth Program					
General operating support addressing gang violence in the Salinas Valley $15.000 00	98614	3/16/2016	$15,000 00		14206
Seniors Council of Santa Cruz and San Benito County					
Operating support for the Foster Grandparent Program in Monterey County $25,000 00	98582	5/27/2016	$25,000 00		1818
Shelter Outreach Plus					
Operating support for the Natividad Family Shelter $10.000 00	98610	5/31/2016	$10.000 00		1822
Silicon Valley Monterey Bay Council-Boy Scouts of America					
Funding for their scouting program in the Alisal School District in Salinas $5,000 00	98627	11/22/2016	$5.000 00		14245
Soledad Community Health Care District Foundation					
Funding to help offset the costs of a new ultrasound system at the Soledad Medical Clinic $35.000 00	98628	1/28/2016	$35,000 00		14193
SpectorDance					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
General operating support for their performing arts programs in Monterey County $5,000 00	98539	3/4/2016	$5,000 00		1698
Sun Street Centers *Funding to support county-wide youth alcohol and drug prevention services and anti-bullying activities* $25,000 00	98676	10/14/2016	$25,000 00		1981
Sunrise House *Funding to support violence prevention and drug intervention programs for youth and their families in Monterey County* $15,000 00	98716	11/22/2016	$15,000 00		14243
Valley Guild *Funding for inspection and repair of eight Basement Column Supports* $20,000.00	98793	11/23/2016	$20,000 00		2024
Ventana Wildlife Society *Operating support for the youth education and outreach programs in Monterey County* $15,000 00	98585	7/13/2016	$15,000 00		14217
Veterans Transition Center of Monterey County *General operating support* $20,000 00	98631	5/5/2016	$20,000 00		1788
Voices for Children - CASA					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Funding to recruit, train and supervise court appointed advocates working with abused or neglected children in foster care $20,000 00	98584	3/16/2016	$20,000 00		14207
Young Life Monterey County *Operating support to provide after-school youth programs in the Salinas Valley* $15.000 00	98611	2/19/2016	$15.000 00		1684
Youth Arts Collective *Funding to provide after-school youth arts programs for youth ages 14-22* $10,000.00	98684	9/14/2016	$10,000 00		14240
Youth Music Monterey *General operating support for the Youth and Honors Orchestras, Chamber Players, Brass Choir and South County Strings programs* $15,000 00	98518	3/4/2016	$15,000 00		1699
Funding for the Youth & Honors Orchestras, South County Strings, Brass Choir, Woodwind Ensenble & Chamber Players programs $15.000 00	98665	12/16/2016	$15,000.00		2053
		Total Youth Music Monterey (2 items)	$30,000 00		
YWCA of Monterey County					

Payee Organization Project Title, Grant Amount	Grant No. Ref. No.	Payment Date	Payment Amount	Payment Fund	Check Number Notes
Operating support to provide services to abused women and children in Monterey County $15.000.00	98618	4/5/2016	$11,000 00		1747 Reissue of Payment [4083] for $15,000 00, paid on 4/5/2016
Operating support to provide services to abused women and children in Monterey County $15.000 00	98618	4/5/2016	($15,000.00)		VOID - 1747 Void of Payment [4083] for $15.000 00, paid on 4/5/2016
Operating support to provide services to abused women and children in Monterey County $15,000 00	98618	4/5/2016	$15,000 00		1747
Operating support to provide services to abused women and children in Monterey County $15,000 00	98618	5/27/2016	$4,000 00		1819
		Total YWCA of Monterey County (4 items)	$15,000 00		
		Grand Total (122 items)	$2,201,827 51		