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Form **990-PF**
 Department of the Treasury
 Internal Revenue Service

Return of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation
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 ▶ Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.

OMB No 1545-0052
2016
Open to Public Inspection

For calendar year 2016, or tax year beginning 06-01-2016, and ending 05-31-2017

Name of foundation ERNEST PRETE JR FOUNDATION		A Employer identification number 95-4333283	
Number and street (or P O box number if mail is not delivered to street address) Room/suite 16530 VENTURA BLVD		B Telephone number (see instructions)	
City or town, state or province, country, and ZIP or foreign postal code ENCINO, CA 91436		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 6,845,284		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis)			

Part I Analysis of Revenue and Expenses <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))</i>		(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 <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	16,696	16,696	16,696	
	4 Dividends and interest from securities	212,205	212,205	212,205	
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	-183,199			
	b Gross sales price for all assets on line 6a	8,478,669			
	7 Capital gain net income (from Part IV, line 2)				
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss) (attach schedule)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11	45,702	228,901	228,901		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	75,003	12,000		63,003
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	27,750	4,440		23,310
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	10,943	6,044		4,899
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy	4,000			4,000
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	41,239	26,562		14,677
	24 Total operating and administrative expenses. Add lines 13 through 23	158,935	49,046		109,889
25 Contributions, gifts, grants paid	214,325			214,325	
26 Total expenses and disbursements. Add lines 24 and 25	373,260	49,046		324,214	
27 Subtract line 26 from line 12					
a Excess of revenue over expenses and disbursements	-327,558				
b Net investment income (if negative, enter -0-)		179,855			
c Adjusted net income (if negative, enter -0-)			228,901		

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing			
	2 Savings and temporary cash investments	34,007	95,978	95,978
	3 Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4 Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ _____ 500,000 Less allowance for doubtful accounts ▶ _____		500,000	500,000
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			6,249,306
	b Investments—corporate stock (attach schedule)	6,718,141	5,828,611	
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)			
	14 Land, buildings, and equipment basis ▶ _____ 500 Less accumulated depreciation (attach schedule) ▶ 500			
15 Other assets (describe ▶ _____)				
16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	6,752,148	6,424,589	6,845,284	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶ _____)	977	976	
	23 Total liabilities (add lines 17 through 22)	977	976	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted	6,751,171	6,423,613	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg , and equipment fund			
29 Retained earnings, accumulated income, endowment, or other funds				
30 Total net assets or fund balances (see instructions)	6,751,171	6,423,613		
31 Total liabilities and net assets/fund balances (see instructions) .	6,752,148	6,424,589		

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	6,751,171
2 Enter amount from Part I, line 27a	2	-327,558
3 Other increases not included in line 2 (itemize) ▶ _____	3	
4 Add lines 1, 2, and 3	4	6,423,613
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	6,423,613

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a See Additional Data Table				
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 See Additional Data Table				
b				
c				
d				
e				
(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 See Additional Data Table				
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				
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 -183,199
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		{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7		3 -184,743

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015			
2014			
2013			
2012			
2011			
2 Total of line 1, column (d)			2
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			3
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4
5 Multiply line 4 by line 3			5
6 Enter 1% of net investment income (1% of Part I, line 27b)			6
7 Add lines 5 and 6			7
8 Enter qualifying distributions from Part XII, line 4			8

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

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

Table with 11 rows for excise tax calculation. Includes categories like 'Exempt operating foundations', 'Domestic foundations', and 'Tax due'. Total amount owed is 3,839.

Part VII-A Statements Regarding Activities

Table with 10 rows for activity statements. Includes questions about political campaigns, political expenditures, and state reporting. Columns for 'Yes' and 'No'.

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).
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)
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A
14 The books are in care of MOHAMMAD J VIRANI Telephone no (818) 907-0632
Located at 16530 VENTURA BLVD STE 306 ENCINO CA ZIP+4 91436
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 -Check here and enter the amount of tax-exempt interest received or accrued during the year. 15
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.
1a During the year did the foundation (either directly or indirectly)
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?
(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)?
(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).
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here.
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?
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? 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).
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20, 20, 20, 20
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?
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).
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
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?

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? Yes No

Organizations relying on a current notice regarding disaster assistance check here.

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

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes No

If "Yes" to 6b, file Form 8870

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

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? Yes No

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

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

(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
MOHAMMAD J VIRANI 16530 VENTURA BLVD STE 306 ENCINO, CA 91436	Director 20 00	75,003		
LEON SMALL 16530 VENTURA BLVD STE 306 ENCINO, CA 91436	Director 0 00	0		
REBECCA NATALIA 16530 VENTURA BLVD STE 306 ENCINO, CA 91436	Director 0 00	0		

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

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

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

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

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

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

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

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1	
2	
3	
4	

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

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

	Amount
1	
2	
All other program-related investments. See instructions	
3	

Total. Add lines 1 through 3 ▶

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities.	1a	6,394,851
b	Average of monthly cash balances.	1b	64,992
c	Fair market value of all other assets (see instructions).	1c	250,000
d	Total (add lines 1a, b, and c).	1d	6,709,843
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	6,709,843
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	100,648
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	6,609,195
6	Minimum investment return. Enter 5% of line 5.	6	330,460

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	330,460
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	3,597
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	3,597
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	326,863
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	326,863
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	326,863

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	324,214
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	4	324,214
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	324,214

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				326,863
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			322,502	
b Total for prior years 20___, 20___, 20___				
3 Excess distributions carryover, if any, to 2016				
a From 2011.				
b From 2012.				
c From 2013.				
d From 2014.				
e From 2015.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>324,214</u>				
a Applied to 2015, but not more than line 2a			322,502	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2016 distributable amount.				1,712
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				325,151
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions).				
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2012.				
b Excess from 2013.				
c Excess from 2014.				
d Excess from 2015.				
e Excess from 2016.				

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

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

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

2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					

3 Complete 3a, b, or c for the alternative test relied upon

a "Assets" alternative test—enter

(1) Value of all assets

(2) Value of assets qualifying under section 4942(j)(3)(B)(i)

b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . .

c "Support" alternative test—enter

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).

(3) Largest amount of support from an exempt organization

(4) Gross investment income

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

1 Information Regarding Foundation Managers:

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

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

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

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

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

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

c Any submission deadlines

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

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			▶ 3a	214,325
b <i>Approved for future payment</i>				
Total			▶ 3b	

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
444 STARBUCKS	P	2016-01-27	2017-05-17
379 WALMART STORES	P	2017-01-31	2017-05-12
461 LAS VEGAS SANDS CORP	P	2016-01-11	2016-01-11
281 ACACIA COMMUNICATIONS	P	2017-03-03	2017-04-05
500 BRISTOL MERS SQUIBB	P	2017-01-23	2017-03-10
14 ALPHABET INC	P	2016-04-19	2017-03-03
419 ADVISORSHARES TR	P	2016-03-21	2017-02-14
25000 GOLDMAN SACHS GROUP	P	2016-10-11	2017-01-27
200000 CITIMORTGAGE ALTERNATIVE	P	2016-01-11	2016-01-11
150000 CSMC MTG BACKED	P	2016-01-11	2016-01-11

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
26,537		24,993	1,544
28,595		25,005	3,590
27,345		24,991	2,354
15,913		15,005	908
29,042		24,999	4,043
11,584		10,575	1,009
18,815		16,028	2,787
16,871		18,433	-1,562
10,742		11,923	-1,181
3,846		4,409	-563

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			1,544
			3,590
			2,354
			908
			4,043
			1,009
			2,787
			-1,562
			-1,181
			-563

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co.)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
450000 CWALT INC	P	2016-03-17	2017-01-20
69 EXXON MOBIL CORP	P	2016-08-10	2017-01-19
50 THERMO FISHER SCIENTIFIC INC	P	2016-01-11	2016-01-11
95 POWERSHARES EXCHANGE-TRADED FUNDS	P	2016-01-11	2016-01-11
70 ISHARES TR NASDAQ BIOTECH	P	2016-01-11	2016-01-11
211 PROSHARES TR ST TERM	P	2016-03-21	2017-01-13
275 POWERSHARE GLOBAL EXCHANGE	P	2016-01-11	2016-01-11
200 JOHNSON CTLS INTL	P	2016-01-11	2016-01-11
231 VANGUARD INTL EQUITY INDEX	P	2016-03-21	2017-01-11
204 MAGELLAN MIDSTREAM PARTNERS	P	2016-01-11	2016-01-11

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
44,963		61,525	-16,562
5,850		5,998	-148
7,213		7,186	27
9,501		8,983	518
19,233		18,968	265
16,409		16,215	194
5,907		5,538	369
8,738		9,148	-410
8,477		7,990	487
15,057		14,059	998

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-16,562
			-148
			27
			518
			265
			194
			369
			-410
			487
			998

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
117 ISHARES TR AGENCY	P	2016-03-23	2017-01-11
150 FIRST TR EXCHANGE TRADED FD	P	2016-03-23	2017-01-11
717 DOUBLELINE OPPORTUNISTIC	P	2016-01-11	2016-01-11
20 ADIENT PLC	P	2016-01-11	2016-01-11
500 OLLIES BARGAIN OUTLET	P	2016-01-11	2016-01-11
1000 INDEXIQETF TR	P	2016-01-11	2016-01-11
319 FIRST TR LOW DURATIONOPPORTUNITIES	P	2016-01-11	2016-01-11
600 BARCLAYS BK	P	2016-01-11	2016-01-11
727 ALPS ETF TR ALERIAN	P	2016-01-11	2016-01-11
123 CATERPILLAR INC	P	2016-01-11	2016-01-11

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
13,164		13,403	-239
5,202		4,776	426
16,609		18,335	-1,726
1,156		932	224
14,755		13,602	1,153
28,781		28,668	113
16,638		16,274	364
13,158		30,105	-16,947
9,194		8,589	605
11,730		9,117	2,613

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-239
			426
			-1,726
			224
			1,153
			113
			364
			-16,947
			605
			2,613

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

List and describe the kind(s) of property sold (e g , real estate, (a) 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
AMERITRADE - SEE ATTACHED	P	2016-06-30	2017-05-31
AMERITRADE - SEE ATTACHED	P	2016-06-30	2017-06-30


Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(e) Gross sales price	Depreciation allowed (f) (or allowable)	Cost or other basis (g) plus expense of sale	Gain or (loss) (h) (e) plus (f) minus (g)
3,849,111		3,945,850	-96,739
4,168,533		4,240,246	-71,713

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			-96,739
			-71,713

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
CALIF STATE POLYTECHNIC UNIV POMONA PROJECT BLUE PHASE I RIPARIAN HABIT POMONA, CA 91768			PROJECT BLUE PHASE 1 RIPARIAN HABITAT FOR THE COLLEGE OF SCIENCE	44,000
WATTS LEARNING CENTER FOUND 310 W 95TH STREET LOS ANGELES, CA 90003	NONE		EDUCATION	400
THE SALVATION ARMY 832 W JAMES M WOOD BLVD LOS ANGELES, CA 90015			CHARITY	1,000
CAL POLY POMONA - COLLEGE OF SCIENC 3801 W TEMPLE AVENUE POMONA, CA 91768			ENVIRONMENTAL SCIENCE EDUCATION PROJECT	118,000
ALAPIO 3148 FOND DRIVE ENCINO, CA 91436			FREE MEDICAL CLINIC	5,000
Total 				214,325
3a				

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
A THOUSAND JOYS 1313 WEST 8TH STREET SUITE 212 LOS ANGELES, CA 90017			IMPROVING TRAUMA SERVICES TO YOUTH & FAMILIES	2,000
ASSISTANCE LEAGUE OF SFV 22335 SHERMAN WAY CANOGA PARK, CA 91303			HELP SCHOOL CHILDREN (RAPE VICTIMS)	500
ST JOHN THE BAPTIST SOCIAL SERVICES 3883 BALDWIN PARK BLVD BALDWIN PARK, CA 91706			THANKSGIVING FOOD PROGRAM	600
CAL POLY SAN LUIS OBISPO 1 GRAND AVE SAN LUIS OBISPO, CA 93407			SUPPORT AGRICULTURE, FOOD & ENVIRONMENTAL SCIENCES	24,000
HOPE OF THE VALLEY PO BOX 7609 MISSION HILLS, CA 91346			CHARITY	625
Total ▶ 3a				214,325

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
DEBO INC 18653 VENTURA BLVD 586 TARZANA, CA 91356			CHARITY	200
CSUN FOUNDATION 18111 NORDHOFF STREET NORTHRIDGE, CA 91330			TO FUND THE DEPT OF GEOLOGICAL SCIENCE	15,000
ST JOHN THE BAPTIST CHURCH 3883 BALDWIN PARK BLVD BALDWIN PARK, CA 91706			CHARITY	1,000
CITY OF SANTA PAULA 210 S 10TH ST VENTURA, CA 93060			CHARITY	2,000
Total ▶ 3a				214,325

TY 2016 Accounting Fees Schedule**Name:** ERNEST PRETE JR FOUNDATION**EIN:** 95-4333283**Software ID:** 16000303**Software Version:** 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
	27,750	4,440	0	23,310

**TY 2016 Land, Etc.
Schedule****Name:** ERNEST PRETE JR FOUNDATION**EIN:** 95-4333283**Software ID:** 16000303**Software Version:** 2016v3.0

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
Furniture and Fixtures	500	500		

TY 2016 Other Expenses Schedule**Name:** ERNEST PRETE JR FOUNDATION**EIN:** 95-4333283**Software ID:** 16000303**Software Version:** 2016v3.0**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANK CHARGES	144	144		
BROKER'S FEES	37,740	26,418		11,322
DIRECTOR'S FEES	3,000			3,000
PARKING	65			65
TRANSFER FEES	290			290

TY 2016 Other Liabilities Schedule**Name:** ERNEST PRETE JR FOUNDATION**EIN:** 95-4333283**Software ID:** 16000303**Software Version:** 2016v3.0

Description	Beginning of Year - Book Value	End of Year - Book Value
PAYROLL TAXES PAYABLE	972	972
ROUNDING		3
Rounding	5	1

TY 2016 Taxes Schedule**Name:** ERNEST PRETE JR FOUNDATION**EIN:** 95-4333283**Software ID:** 16000303**Software Version:** 2016v3.0

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL	4,482	4,482		
FOREIGN TAX	457	457		
MISC TAXES	95	95		
PAYROLL	5,899	1,000		4,899
STATE	10	10		



2016 Realized Capital Gains & Losses

Prete Foundation x9138
06/01/2016 - 05/31/2017

Created 9/19/2017 6:37 pm

Entire Period			
Short Term Gain	77,622.84	Long Term Gain	337,826.30
Short Term Loss	-174,361.69	Long Term Loss	-409,539.61
Short Term Net	-96,738.85	Long Term Net	-71,713.31
Short Term Sales	3,649,111.13	Long Term Sales	4,168,533.17
Short Term Cost	3,945,849.98	Long Term Cost	4,240,246.48

Close Date	Rec Type	Open Date	Security	Shares Sold	Proceeds	Book Cost	Wash Cost Adj	FI Cost/Adj	Cost	Strain/Loss	LT Gain/Loss	OR Gain/Loss	Trading Method	Settle
11/09/2016		03/16/2016	GLOBAL LONG/SHORT EQUIT (AGAZX)	2,712,477	29,483.00	30,020.00			30,020.00	-537.00				11/10/16
11/09/2016		07/22/2016	GLOBAL LONG/SHORT EQUIT (AGAZX)	30,668.165	333,344.58	334,303.00			334,303.00	-958.42				11/10/16
07/22/2016		12/23/2016	ALERIAN MLP ETF (AMLPL)	3,425	44,178.39	55,942.61			55,942.61		-11,764.22			07/21/16
07/22/2016		01/28/2015	ALERIAN MLP ETF (AMLPL)	1,754	22,624.50	27,922.09			27,922.09		-5,297.59			07/21/16
07/22/2016		07/28/2015	ALERIAN MLP ETF (AMLPL)	1,693	21,837.67	25,119.20			25,119.20	-3,281.53				07/21/16
07/22/2016		08/25/2015	ALERIAN MLP ETF (AMLPL)	1,785	23,024.36	24,469.13			24,469.13	-1,444.77				07/21/16
07/22/2016		12/21/2012	BERKSHIRE HATHAWAY INC CL B (BRK B)	423	61,148.40	38,051.08			38,051.08		23,097.32			07/21/16
07/22/2016		01/28/2015	BLACKROCK GL'S EQUITY FUN (BDMIX)	7,582.14	79,819.93	90,000.00			90,000.00		-10,180.07			07/21/16
07/22/2016		06/27/2014	BLACKROCK INC CL A (BLK)	139	50,315.44	44,062.99			44,062.99		6,252.45			07/21/16
07/22/2016		08/25/2015	BLACKROCK INC CL A (BLK)	4	1,447.93	1,221.21			1,221.21	226.72				07/21/16
07/22/2016		06/10/2003	CANOE EIT INCOME FUND (ENDTF)	1,666	13,684.94	24,496.47			24,496.47		-10,811.53			07/21/16
09/01/2016	Redemption	05/29/2007	CAPITAL ONE FINANCIA 6 15% 9/1/2016 (14040HANE)	69,000	69,000.00	70,376.97		-1,376.97	69,000.00					09/01/16
11/15/2016		03/16/2016	CATALYST HEDGED FUT STRAT C (HFXX)	2,727,273	32,852.10	30,020.00			30,020.00	2,832.10				11/16/16
02/06/2017		07/22/2016	CATALYST HEDGED FUT STRAT C (HFXX)	1,999,283	24,082.90	22,393.31			22,393.31	1,689.59				02/06/17
02/06/2017		07/22/2016	CATALYST HEDGED FUT STRAT C (HFXX)	27,738.128	256,557.68	310,685.69			310,685.69	-54,128.01				02/06/17
02/06/2017		03/16/2016	COLUMBIA INDIA CONSUMER ETF (INCO)	130	4,621.18	3,814.61			3,814.61	806.57				02/06/17
02/06/2017		03/24/2016	COLUMBIA INDIA CONSUMER ETF (INCO)	125	4,443.43	3,775.44			3,775.44	667.99				02/06/17
02/06/2017		04/07/2016	COLUMBIA INDIA CONSUMER ETF (INCO)	120	4,265.71	3,605.96			3,605.96	659.75				02/06/17
02/06/2017		07/22/2016	COLUMBIA INDIA CONSUMER ETF (INCO)	3,570	126,904.60	123,815.55			123,815.55	3,089.05				02/06/17
07/22/2016		01/28/2015	DEUTSCHE X-TRACKERS MSCI EU (DBEU)	4,411	111,250.95	120,048.89			120,048.89		-8,797.94			07/21/16
07/22/2016		04/10/2015	DEUTSCHE X-TRACKERS MSCI EU (DBEU)	4,940	124,592.99	150,020.39			150,020.39		-25,427.40			07/21/16
07/22/2016		07/28/2015	DEUTSCHE X-TRACKERS MSCI EU (DBEU)	3,780	95,336.34	104,479.20			104,479.20					07/21/16
07/22/2016		08/25/2015	DEUTSCHE X-TRACKERS MSCI EU (DBEU)	6,901	174,051.87	174,932.07			174,932.07	-9,142.86				07/21/16
07/22/2016		05/22/2013	EBAY INC (EBAY)	713	21,661.50	15,299.04			15,299.04		6,362.46			07/21/16
07/25/2016		06/27/2014	ENTERPRISE PRODUCTS PARTNER (EPD)	1,126	33,121.40	43,992.76			43,992.76		-10,871.36			07/28/16
07/25/2016		12/11/2014	ENTERPRISE PRODUCTS PARTNER (EPD)	284	8,648.04	10,026.90			10,026.90		-1,378.86			07/28/16
07/22/2016		07/28/2015	ENTERPRISE PRODUCTS PARTNER (EPD)	447	13,148.55	12,996.57			12,996.57	151.98				07/28/16
07/22/2016		08/23/2012	EXPRESS SCRIPTS HOLDING CO (ESRX)	544	43,054.20	33,303.68			33,303.68		9,750.52			07/21/16
09/02/2016		03/16/2016	FINL SELECT SECTOR SPDR TR (XLF)	250	6,126.49	5,569.08			5,569.08	557.41				09/08/16
09/02/2016		03/24/2016	FINL SELECT SECTOR SPDR TR (XLF)	220	5,391.31	4,883.00			4,883.00	508.31				09/08/16
09/02/2016		04/07/2016	FINL SELECT SECTOR SPDR TR (XLF)	320	7,841.91	7,063.63			7,063.63	778.28				09/08/16
09/02/2016		07/22/2016	FINL SELECT SECTOR SPDR TR (XLF)	8,055	197,395.56	190,581.20			190,581.20	6,814.36				09/08/16
05/19/2017		03/24/2016	GUGGENHEIM TOTAL RETURN BO (GIBX)	567,063	15,250.18	14,792.00			14,792.00		458.18			05/22/16
05/19/2017		07/22/2016	GUGGENHEIM TOTAL RETURN BO (GIBX)	2,406,915	64,729.82	65,139.18			65,139.18	-409.36				05/22/16
05/19/2017	Wash Sale Adj	06/16/2017	GUGGENHEIM TOTAL RETURN BO (GIBX)	2,406,915	64,729.82	0.00			0.00	-409.36				05/22/16
07/25/2016		07/12/2002	ING GROEP NV (IND)	4,000	104,190.18	100,000.00			100,000.00		4,190.18			07/28/16
07/22/2016		08/27/2010	IQ HEDGE MACRO TRACKER ETF (MCRO)	743	18,467.63	20,008.99			20,008.99		-1,541.36			07/21/16
07/22/2016		02/23/2011	IQ HEDGE MACRO TRACKER ETF (MCRO)	183	4,548.55	4,920.87			4,920.87		-372.32			07/21/16
07/22/2016		05/02/2011	IQ HEDGE MACRO TRACKER ETF (MCRO)	884	21,972.25	24,990.68			24,990.68		-3,018.43			07/21/16
07/22/2016		10/31/2014	IQ HEDGE MACRO TRACKER ETF (MCRO)	190	4,722.54	5,000.42			5,000.42		-277.88			07/21/16
07/22/2016		01/29/2014	IQ HEDGE MARKET NEUTRAL TRA (QMN)	2,169	55,654.89	55,461.04			55,461.04	193.85				07/21/16
07/22/2016		10/31/2014	IQ HEDGE MARKET NEUTRAL TRA (QMN)	189	4,849.60	4,835.83			4,835.83	13.77				07/21/16
07/22/2016		01/28/2015	IQ HEDGE MARKET NEUTRAL TRA (QMN)	2,316	59,426.80	58,922.51			58,922.51	504.29				07/21/16
07/22/2016		01/28/2015	IQ HEDGE MULTI-STRATEGY TRA (QAI)	2,007	58,682.68	59,373.48			59,373.48		-690.80			07/21/16
07/22/2016		08/23/2010	ISHARES CORE S&P 500 ETF (IVV)	315	68,761.41	33,868.80			33,868.80		34,892.61			07/21/16
07/22/2016		02/23/2011	ISHARES CORE S&P 500 ETF (IVV)	75	16,371.77	9,880.50			9,880.50	6,491.27				07/21/16
07/22/2016		05/23/2011	ISHARES CORE S&P 500 ETF (IVV)	76	16,590.05	10,063.92			10,063.92	6,526.13				07/21/16
08/04/2011		08/04/2011	ISHARES CORE S&P 500 ETF (IVV)	203	44,312.91	25,007.16			25,007.16	19,305.75				07/21/16
07/22/2016		08/08/2011	ISHARES CORE S&P 500 ETF (IVV)	215	46,932.39	25,034.26			25,034.26	21,898.13				07/21/16
07/22/2016		08/19/2011	ISHARES CORE S&P 500 ETF (IVV)	88	18,209.54	9,974.80			9,974.80	8,234.74				07/21/16
07/22/2016		08/22/2011	ISHARES CORE S&P 500 ETF (IVV)	87	18,991.25	9,944.97			9,944.97	9,046.28				07/21/16
07/22/2016		01/18/2012	ISHARES CORE S&P 500 ETF (IVV)	517	112,856.03	76,913.57			76,913.57	35,942.46				07/21/16
07/22/2016		12/23/2014	ISHARES CORE DIVIDEND GROWT (DGRO)	2,224	62,644.98	59,900.10			59,900.10	2,744.88				07/21/16
07/22/2016		07/22/2016	ISHARES CORE DIVIDEND GROWT (DGRO)	2,003	56,419.92	52,255.87			52,255.87	4,164.05				07/21/16
07/22/2016		08/25/2015	ISHARES CORE DIVIDEND GROWT (DGRO)	510	14,365.53	12,506.17			12,506.17	1,859.36				07/21/16

Open Date	Security	Shares Held	Precedes	Book Cost	W9 Cost Adj	FI Cost Adj	Cost	ST Gain/Loss	LT Gain/Loss	OR Gain/Loss	Trading Method
03/16/2016	ISHARES EDGE MSCI MIN VOL E (EEMV)	80	4,099.01	3,970.36			3,970.36	128.65			02/09/12
03/24/2016	ISHARES EDGE MSCI MIN VOL E (EEMV)	75	3,842.82	3,757.76			3,757.76	85.06			02/09/12
04/07/2016	ISHARES EDGE MSCI MIN VOL E (EEMV)	75	3,842.82	3,748.94			3,748.94	93.88			02/09/12
06/24/2016	ISHARES EDGE MSCI MIN VOL E (EEMV)	310	15,883.65	15,321.70			15,321.70	561.95			02/09/12
07/22/2016	ISHARES EDGE MSCI MIN VOL E (EEMV)	5,595	286,674.30	295,971.70			295,971.70	-9,297.40			02/09/12
03/16/2016	ISHARES EDGE MSCI MIN VOL E (EFAV)	65	4,122.81	4,262.66			4,262.66	-139.85			02/09/12
03/16/2016	ISHARES EDGE MSCI MIN VOL E (EFAV)	100	6,342.78	6,545.00			6,545.00	-202.22			02/09/12
03/24/2016	ISHARES EDGE MSCI MIN VOL E (EFAV)	160	10,148.46	10,478.33			10,478.33	-329.87			02/09/12
04/07/2016	ISHARES EDGE MSCI MIN VOL E (EFAV)	170	10,782.73	11,185.43			11,185.43	-402.70			02/09/12
07/22/2016	ISHARES EDGE MSCI MIN VOL U (USMV)	5,300	336,167.59	354,311.89			354,311.89	-18,144.30			02/09/12
03/24/2016	ISHARES EDGE MSCI MIN VOL U (USMV)	500	22,905.50	21,591.50			21,591.50	1,314.00			02/09/12
04/07/2016	ISHARES EDGE MSCI MIN VOL U (USMV)	330	15,117.63	14,494.62			14,494.62	623.01			02/09/12
07/22/2016	ISHARES EDGE MSCI MIN VOL U (USMV)	12,015	550,419.15	566,515.20			566,515.20	-16,096.05			02/09/12
01/29/2014	ISHARES EMERGING MARKETS DI (DVEYE)	418	14,733.35	18,523.67			18,523.67	-3,790.32			07/27/12
02/25/2014	ISHARES EMERGING MARKETS DI (DVEYE)	330	11,631.59	15,017.60			15,017.60	-3,386.01			07/27/12
10/31/2014	ISHARES EMERGING MARKETS DI (DVEYE)	336	11,843.08	14,955.60			14,955.60	-3,112.52			07/27/12
12/23/2014	ISHARES EMERGING MARKETS DI (DVEYE)	1,435	50,579.80	59,995.20			59,995.20	-9,415.40			07/27/12
07/28/2015	ISHARES EMERGING MARKETS DI (DVEYE)	707	24,919.80	26,121.60			26,121.60	-1,201.80			07/27/12
08/25/2015	ISHARES EMERGING MARKETS DI (DVEYE)	782	27,963.35	25,020.87			25,020.87	2,942.48			07/27/12
08/11/2010	ISHARES EUROPE (IEV)	1,473	56,235.28	51,819.52			51,819.52	4,415.76			07/27/12
05/23/2011	ISHARES EUROPE (IEV)	241	9,200.75	10,010.42			10,010.42	-809.67			07/27/12
08/04/2011	ISHARES EUROPE (IEV)	549	20,959.38	20,002.82			20,002.82	956.56			07/27/12
08/09/2011	ISHARES EUROPE (IEV)	721	27,525.90	25,030.24			25,030.24	2,495.66			07/27/12
08/19/2011	ISHARES EUROPE (IEV)	296	10,918.73	10,020.30			10,020.30	898.43			07/27/12
08/22/2011	ISHARES EUROPE (IEV)	580	11,300.50	9,992.01			9,992.01	1,308.49			07/27/12
01/29/2015	ISHARES EUROPE (IEV)	303	22,142.88	19,990.28			19,990.28	2,152.60			07/27/12
08/25/2015	ISHARES GLOBAL FINANCIALS E (IXG)	931	46,010.38	49,682.44			49,682.44	-2,306.01			07/27/12
08/16/2012	ISHARES GLOBAL ENERGY (IXC)	3,830	123,855.29	149,982.69			149,982.69	-26,127.40			07/27/12
10/31/2014	ISHARES GLOBAL ENERGY (IXC)	958	30,960.00	39,960.48			39,960.48	-8,980.48			07/27/12
12/23/2014	ISHARES GLOBAL ENERGY (IXC)	791	25,579.51	29,963.08			29,963.08	-4,383.57			07/27/12
07/28/2015	ISHARES GLOBAL ENERGY (IXC)	796	25,741.21	26,106.57			26,106.57	-365.36			07/27/12
08/25/2015	ISHARES GLOBAL ENERGY (IXC)	868	28,069.55	24,981.73			24,981.73	3,087.82			07/27/12
08/16/2012	ISHARES BOX \$ HIGH YIELD (HYG)	1,029	88,542.26	94,178.67			94,178.67	-5,636.41			07/27/12
08/15/2013	ISHARES BOX \$ HIGH YIELD (HYG)	563	48,444.40	51,193.03			51,193.03	-2,748.63			07/27/12
02/25/2014	ISHARES BOX \$ HIGH YIELD (HYG)	159	13,681.46	15,027.09			15,027.09	-1,345.63			07/27/12
04/10/2015	ISHARES BOX \$ HIGH YIELD (HYG)	576	49,563.02	52,568.35			52,568.35	-3,005.33			07/27/12
07/28/2015	ISHARES BOX \$ HIGH YIELD (HYG)	299	25,728.02	26,125.66			26,125.66	-397.64			07/27/12
08/25/2015	ISHARES BOX \$ HIGH YIELD (HYG)	293	25,211.74	25,065.21			25,065.21	146.53			07/27/12
08/01/2007	ISHARES INTERNATIONAL SELEC (IDV)	204	5,936.29	10,000.08			10,000.08	-4,063.79			07/27/12
09/30/2009	ISHARES INTERNATIONAL SELEC (IDV)	635	18,478.15	20,052.00			20,052.00	-1,573.85			07/27/12
05/28/2010	ISHARES INTERNATIONAL SELEC (IDV)	182	5,296.11	4,988.62			4,988.62	307.49			07/27/12
08/11/2010	ISHARES INTERNATIONAL SELEC (IDV)	2,863	83,311.74	82,993.36			82,993.36	318.38			07/27/12
08/23/2010	ISHARES INTERNATIONAL SELEC (IDV)	1,200	34,919.35	34,451.04			34,451.04	468.31			07/27/12
02/23/2011	ISHARES INTERNATIONAL SELEC (IDV)	282	8,206.05	9,861.54			9,861.54	-1,655.49			07/27/12
08/08/2011	ISHARES INTERNATIONAL SELEC (IDV)	828	24,094.35	24,996.00			24,996.00	-901.65			07/27/12
08/09/2011	ISHARES INTERNATIONAL SELEC (IDV)	331	9,631.92	9,999.51			9,999.51	-367.59			07/27/12
08/19/2011	ISHARES INTERNATIONAL SELEC (IDV)	164	4,772.31	4,985.08			4,985.08	-212.77			07/27/12
08/22/2011	ISHARES INTERNATIONAL SELEC (IDV)	644	18,740.05	20,009.72			20,009.72	-1,269.67			07/27/12
08/16/2012	ISHARES INTERNATIONAL SELEC (IDV)	1,579	45,948.05	49,987.98			49,987.98	-4,039.93			07/27/12
07/31/2013	ISHARES INTERNATIONAL SELEC (IDV)	1,464	42,601.60	50,024.88			50,024.88	-7,423.28			07/27/12
08/25/2015	ISHARES INTERNATIONAL SELEC (IDV)	851	24,763.64	25,012.34			25,012.34	-248.70			07/27/12
11/22/2016	ISHARES MSCI JAPAN (EJWJ)	2,236	26,517.59	27,995.55			27,995.55	-1,477.96			07/27/12
01/17/2007	ISHARES MSCI JAPAN (EJWJ)	117	1,387.55	1,652.04			1,652.04	-264.49			07/27/12

Close Date	Rec Type	Opert Date	Security	Shares Sold	Proceeds	Book Cost	WS Cost Adj	FI Cost Adj	Cost	RTIGain/Loss	LT Gain/Loss	Trading Subsc
07/22/2016		09/30/2009	ISHARES MSCI JAPAN (EWJ)	1,004	11,906.82	10,009.88			10,009.88		1,896.94	07/27/12
07/22/2016		05/28/2010	ISHARES MSCI JAPAN (EWJ)	521	6,178.74	4,993.79			4,993.79		1,184.95	07/27/12
07/22/2016		01/29/2014	ISHARES MSCI JAPAN (EWJ)	2,393	28,379.52	27,734.87			27,734.87		644.65	07/27/12
07/22/2016		12/23/2014	ISHARES MSCI JAPAN (EWJ)	5,209	61,775.54	60,007.16			60,007.16		1,768.38	07/27/12
07/22/2016		07/28/2015	ISHARES MSCI JAPAN (EWJ)	2,745	32,554.02	34,971.30			34,971.30	-2,417.28		07/27/12
07/22/2016		07/28/2015	ISHARES MSCI JAPAN (EWJ)	8,203	97,282.53	104,504.58			104,504.58	-7,222.03		07/27/12
07/22/2016		08/19/2011	ISHARES MSCI EMRG MKTS INDE (EEM)	97	3,484.03	3,862.46			3,862.46		-378.43	07/27/12
07/22/2016		08/22/2011	ISHARES MSCI EMRG MKTS INDE (EEM)	500	17,958.94	19,989.50			19,989.50		-2,030.56	07/27/12
07/22/2016		01/18/2013	ISHARES MSCI EMRG MKTS INDE (EEM)	1,146	41,161.89	51,282.35			51,282.35		-10,120.46	07/27/12
07/22/2016		07/31/2013	ISHARES MSCI EMRG MKTS INDE (EEM)	1,268	45,543.87	49,995.97			49,995.97		-4,452.10	07/27/12
07/22/2016		08/15/2013	ISHARES MSCI EMRG MKTS INDE (EEM)	1,290	46,334.06	51,185.91			51,185.91		-4,851.85	07/27/12
07/22/2016		01/29/2014	ISHARES MSCI EMRG MKTS INDE (EEM)	734	26,363.72	27,744.47			27,744.47		-1,380.75	07/27/12
07/22/2016		07/28/2015	ISHARES MSCI EMRG MKTS INDE (EEM)	712	25,573.53	26,126.91			26,126.91		-553.38	07/27/12
07/22/2016		08/25/2015	ISHARES MSCI EMRG MKTS INDE (EEM)	190	6,824.40	6,262.40			6,262.40		562.00	07/27/12
07/22/2016		10/29/2009	ISHARES MSCI ALL COUNTRY AS (AAXJ)	276	15,806.42	14,584.34			14,584.34		1,222.08	07/27/12
07/22/2016		10/28/2010	ISHARES MSCI ALL COUNTRY AS (AAXJ)	478	27,374.88	25,033.94			25,033.94		2,340.94	07/27/12
07/22/2016		05/28/2010	ISHARES MSCI ALL COUNTRY AS (AAXJ)	95	5,440.61	4,995.10			4,995.10		445.51	07/27/12
07/22/2016		09/22/2010	ISHARES MSCI ALL COUNTRY AS (AAXJ)	845	48,392.83	50,003.52			50,003.52		-1,610.69	07/27/12
07/22/2016		08/09/2011	ISHARES MSCI ALL COUNTRY AS (AAXJ)	92	5,268.81	5,012.16			5,012.16		256.65	07/27/12
07/22/2016		08/19/2011	ISHARES MSCI ALL COUNTRY AS (AAXJ)	95	5,440.61	5,016.95			5,016.95		423.66	07/27/12
07/22/2016		01/29/2014	ISHARES MSCI ALL COUNTRY AS (AAXJ)	250	14,317.41	13,894.98			13,894.98		422.43	07/27/12
07/22/2016		02/25/2014	ISHARES MSCI ALL COUNTRY AS (AAXJ)	263	15,061.91	15,035.68			15,035.68		26.23	07/27/12
07/22/2016		10/31/2014	ISHARES MSCI ALL COUNTRY AS (AAXJ)	16	916.31	1,006.63			1,006.63		-90.32	07/27/12
07/22/2016		12/23/2014	ISHARES MSCI ALL COUNTRY AS (AAXJ)	995	56,983.28	60,025.56			60,025.56		-3,042.28	07/27/12
07/22/2016		01/28/2015	ISHARES MSCI ALL COUNTRY AS (AAXJ)	2,463	141,055.08	155,986.72			155,986.72		-14,931.64	07/27/12
07/22/2016		08/25/2015	ISHARES MSCI ALL COUNTRY AS (AAXJ)	119	6,815.09	6,259.40			6,259.40		555.69	07/27/12
07/22/2016		01/28/2015	ISHARES RUSSELL 2000 VALUE (IWN)	152	15,466.49	15,088.34			15,088.34		378.15	07/27/12
07/22/2016		04/10/2015	ISHARES RUSSELL 2000 VALUE (IWN)	242	24,624.29	25,099.05			25,099.05		-474.76	07/27/12
07/22/2016		08/25/2015	ISHARES RUSSELL 2000 VALUE (IWN)	70	7,122.73	6,334.55			6,334.55		788.18	07/27/12
07/22/2016		01/28/2015	ISHARES RUSSELL 2000 GROWTH (IWO)	106	15,304.56	15,037.88			15,037.88		266.68	07/27/12
07/22/2016		04/10/2015	ISHARES RUSSELL 2000 GROWTH (IWO)	163	23,534.37	25,036.52			25,036.52		-1,502.15	07/27/12
07/22/2016		08/25/2015	ISHARES RUSSELL 2000 GROWTH (IWO)	46	6,641.60	6,384.07			6,384.07		257.53	07/27/12
07/22/2016		01/28/2015	ISHARES RUSSELL MID-CAP VAL (IWS)	203	15,544.87	15,011.93			15,011.93		532.94	07/27/12
07/22/2016		04/10/2015	ISHARES RUSSELL MID-CAP VAL (IWS)	330	25,269.99	25,009.64			25,009.64		260.35	07/27/12
07/22/2016		08/25/2015	ISHARES RUSSELL MID-CAP VAL (IWS)	93	7,121.54	6,310.05			6,310.05		811.49	07/27/12
07/22/2016		01/28/2015	ISHARES RUSSELL MID-CAP GRO (IWP)	162	15,762.99	15,099.24			15,099.24		663.75	07/27/12
07/22/2016		04/10/2015	ISHARES RUSSELL MID-CAP GRO (IWP)	251	24,422.90	25,009.94			25,009.94		-587.04	07/27/12
07/22/2016		08/25/2015	ISHARES RUSSELL MID-CAP GRO (IWP)	69	6,713.86	6,244.68			6,244.68		469.18	07/27/12
07/22/2016		03/16/2016	ISHARES S&P 500 GROWTH ETF (IVW)	90	10,742.02	10,236.45			10,236.45		505.57	11/18/12
07/22/2016		03/24/2016	ISHARES S&P 500 GROWTH ETF (IVW)	80	9,548.45	9,115.52			9,115.52		432.93	11/18/12
07/22/2016		04/07/2016	ISHARES S&P 500 GROWTH ETF (IVW)	10	1,193.56	1,159.35			1,159.35		34.21	11/18/12
07/22/2016		08/27/2010	ISHARES S&P GSCI COMMODITY (GSG)	2,578	37,070.69	73,752.61			73,752.61		-36,681.92	07/27/12
07/22/2016		10/31/2014	ISHARES S&P GSCI COMMODITY (GSG)	109	1,567.38	3,006.79			3,006.79		-1,439.41	07/27/12
07/22/2016		12/23/2014	ISHARES S&P GSCI COMMODITY (GSG)	5,367	77,175.48	119,894.49			119,894.49		-42,719.01	07/27/12
07/22/2016		01/28/2015	ISHARES S&P GSCI COMMODITY (GSG)	3,155	45,367.74	59,989.17			59,989.17		-14,621.43	07/27/12
07/22/2016		07/28/2015	ISHARES S&P GSCI COMMODITY (GSG)	1,902	27,350.06	35,006.31			35,006.31		-7,656.25	07/27/12
07/22/2016		07/28/2015	ISHARES S&P GSCI COMMODITY (GSG)	2,834	40,751.87	52,281.63			52,281.63		-11,529.76	07/27/12
07/22/2016		08/25/2015	ISHARES S&P GSCI COMMODITY (GSG)	1,531	22,015.22	24,984.39			24,984.39		-2,969.17	07/27/12
07/22/2016		07/31/2013	ISHS GLB TECH (IXN)	146	15,088.08	10,638.14			10,638.14		4,449.94	07/27/12
07/22/2016		01/29/2014	ISHS GLB TECH (IXN)	349	36,066.71	27,766.44			27,766.44		8,300.27	07/27/12
07/22/2016		10/31/2014	ISHS GLB TECH (IXN)	44	4,547.09	4,076.16			4,076.16		470.93	07/27/12
11/15/2016		03/16/2016	ISHS S&P 500 VAL (IVE)	90	8,828.81	8,008.96			8,008.96		819.85	11/18/12
11/15/2016		03/24/2016	ISHS S&P 500 VAL (IVE)	120	11,771.74	10,637.61			10,637.61		1,134.13	11/18/12
11/15/2016		04/07/2016	ISHS S&P 500 VAL (IVE)	65	6,376.37	5,781.85			5,781.85		594.52	11/18/12
11/15/2016		04/14/2016	ISHS S&P 500 VAL (IVE)	198	19,423.38	18,059.59			18,059.59		1,363.79	11/18/12

Client	Trade Date	Rec Type	Open Date	Security	Shares Sold	Proceeds	Block Cost	WS Cost Adj	FI Cost Adj	Capex	ST Gain/Loss	LT Gain/Loss	OR Gain/Loss	Trading Method	Settle
	07/22/2016		07/22/2016	ISHS S&P 500 VAL (VE)	323	31,685.61	30,949.56			30,949.56	736.05				11/18/2
	07/22/2016		11/11/2015	ITC HOLDINGS CORP (ITC)	1,850	86,127.65	59,954.25			59,954.25	26,173.40				07/21/2
	07/25/2016		01/29/2015	MAGELLAN MIDSTREAM PARTNERS (MMP)	115	57,159.30	60,002.44			60,002.44		-2,843.14			07/28/2
	07/25/2016		07/28/2015	MAGELLAN MIDSTREAM PARTNERS (MMP)	773	8,334.20	7,997.79			7,997.79	336.41				07/28/2
	07/22/2016		05/08/2015	MASTERCARD INC-A (MA)	690	64,326.41	65,067.14			65,067.14		-740.73			07/21/2
	07/22/2016		08/25/2015	MASTERCARD INC-A (MA)	8	745.81	720.48			720.48	25.33				07/21/2
	07/22/2016		08/23/2012	ORACLE CORP (ORCL)	1,058	43,475.96	33,348.05			33,348.05	10,127.91				07/21/2
	07/22/2016		05/22/2013	PAYPAL HOLDINGS INC (PYPL)	713	26,515.14	23,658.57			23,658.57	2,856.57				07/21/2
	07/22/2016		09/16/2002	PEMBINA PIPELINE CORP (PBA)	2,125	61,966.26	28,998.00			28,998.00	32,968.26				07/21/2
	07/22/2016		03/18/2004	PEMBINA PIPELINE CORP (PBA)	850	24,786.50	13,685.91			13,685.91	11,100.59				07/21/2
	07/22/2016		04/02/2002	PERMIAN BASIN RTY TR UNIT B (PBT)	2,400	16,791.92	13,920.00			13,920.00	2,871.92				07/21/2
	07/22/2016		07/28/2015	PIMCO 1-5 YEAR U.S. TIPS IN (STPZ)	2,011	105,918.76	104,534.80			104,534.80	1,383.96				07/21/2
	07/22/2016		04/07/2016	PIMCO ENH SHRT MTY (MINT)	600	60,701.49	60,479.49			60,479.49	222.00				07/21/2
	07/25/2016		01/25/2002	PLAINS ALL AMERN PIPELINE L (PAA)	1,000	28,866.20	13,250.00			13,250.00	15,616.20				07/28/2
	07/25/2016		01/25/2002	PLAINS ALL AMERN PIPELINE L (PAA)	1,000	28,866.19	13,250.00			13,250.00	15,616.19				07/28/2
	07/22/2016		01/08/2013	POTASH CORPORATION OF SASKA (POT)	955	16,172.89	8,009.84			8,009.84	-23,821.56				07/21/2
	07/22/2016		10/30/2014	POTASH CORPORATION OF SASKA (POT)	236	3,996.65	8,009.84			39,994.45	-4,013.19				07/21/2
	07/22/2016		07/28/2010	POWERSHARES LISTED PRIVATE (PSP)	476	8,061.04	13,002.18			13,002.18	-4,941.14				07/21/2
	07/22/2016		08/27/2010	POWERSHARES LISTED PRIVATE (PSP)	2,262	23,679.17	20,017.44			20,017.44	3,661.73				07/21/2
	07/22/2016		02/23/2011	POWERSHARES LISTED PRIVATE (PSP)	447	4,679.30	4,934.79			4,934.79	-255.49				07/21/2
	07/22/2016		05/02/2011	POWERSHARES LISTED PRIVATE (PSP)	2,044	21,397.09	24,998.12			24,998.12	-3,601.03				07/21/2
	07/22/2016		10/31/2014	POWERSHARES LISTED PRIVATE (PSP)	450	4,710.71	4,997.30			4,997.30	-286.59				07/21/2
	11/01/2016	Redemption	05/08/2007	RYDER SYSTEM, INC 5.85% 11/1/2016 (78355HJK6)	69,000	69,000.00	69,404.76		-404.76	69,000.00					11/01/2
	07/22/2016		03/12/2014	UNILEVER PLC SPONS ADR (UL)	961	44,850.65	38,026.10			38,026.10	6,824.55				07/21/2
	11/15/2016		03/16/2016	VANGUARD FTSE DEVELOPED MKT (VEA)	310	11,129.83	11,000.55			11,000.55	129.28				11/18/2
	11/15/2016		03/24/2016	VANGUARD FTSE DEVELOPED MKT (VEA)	300	10,770.81	10,557.51			10,557.51	213.30				11/18/2
	11/15/2016		04/07/2016	VANGUARD FTSE DEVELOPED MKT (VEA)	325	11,668.38	11,343.92			11,343.92	324.46				11/18/2
	11/15/2016		06/17/2016	VANGUARD FTSE DEVELOPED MKT (VEA)	180	6,462.48	6,300.22			6,300.22	162.26				11/18/2
	08/17/2016		03/16/2016	VANGUARD MARKET NEUTRAL FUN (VMNFX)	1,110,642	13,130.00	13,814.48			13,814.48	-684.48				06/20/2
	06/24/2016		03/16/2016	VANGUARD MARKET NEUTRAL FUN (VMNFX)	1,302,874	15,432.09	16,205.52			16,205.52	-773.43				06/21/2
	11/15/2016		03/16/2016	VANGUARD SM-CAP VALUE (VBR)	90	10,412.53	8,949.55			8,949.55	1,562.98				11/18/2
	11/15/2016		03/24/2016	VANGUARD SM-CAP VALUE (VBR)	80	9,255.58	7,919.14			7,919.14	1,336.44				11/18/2
	11/15/2016		04/07/2016	VANGUARD SM-CAP VALUE (VBR)	92	10,643.92	9,168.34			9,168.34	1,475.58				11/18/2
	11/15/2016		07/22/2016	VANGUARD SM-CAP VALUE (VBR)	88	10,181.14	9,664.40			9,664.40	516.74				07/21/2
	07/22/2016		07/28/2015	WELLS FARGO & CO (WFC)	1,044	50,384.97	60,037.52			60,037.52	-9,652.55				07/21/2
	07/22/2016		08/25/2015	WELLS FARGO & CO (WFC)	19	916.97	999.97			999.97	-83.00				07/21/2
	07/22/2016		04/10/2015	WISDOMTREE JAPAN HEDGED EQU (DXJ)	2,522	104,531.76	143,043.55			143,043.55	-38,511.79				07/21/2
	07/22/2016		08/25/2015	WISDOMTREE JAPAN HEDGED EQU (DXJ)	493	20,433.84	25,032.96			25,032.96	-4,599.12				07/21/2
	07/22/2016		01/28/2015	WISDOMTREE MANAGED FUTURES (WDTI)	2,725	114,139.81	119,963.49			119,963.49	-5,823.68				07/21/2
				Total		8,017,644.30	8,188,287.55		-1,781.73	8,186,096.46	-96,738.85	-71,713.31			

****Important Disclaimer.** Intraday data is at least 20-minutes delayed. GainsKeeper® service and tax lot and performance reporting is offered and conducted by Wolters Kluwer Financial Services, Inc. ("WKFS") and is made available by TD Ameritrade for general reference and education purposes only. TD Ameritrade is not responsible for the reliability or suitability of the information. However, TD Ameritrade is required to provide accurate tax lot basis information in connection with 1099-B reporting for "covered" securities and uses the services of the GainsKeeper system in so doing. TD Ameritrade is solely responsible for the accuracy of tax lot basis information it makes available to its clients for "covered" securities, whether through the GainsKeeper system or otherwise. TD Ameritrade does not provide tax advice. You may wish to consult independent sources with respect to tax lot and performance reporting.

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