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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

▶ 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 **JUL 1, 2016**, and ending **JUN 30, 2017**

Name of foundation

**RICH FOUNDATION, INC.
C/O FD RICH COMPANY**

A Employer identification number

22-2544173

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

222 SUMMER STREET

Room/suite

B Telephone number

203-359-2900

City or town, state or province, country, and ZIP or foreign postal code

STAMFORD, CT 06901C If exemption application is pending, check here ☐

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeD 1. Foreign organizations, check here ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐H Check type of organization: ☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationE If private foundation status was terminated under section 507(b)(1)(A), check here ☐

I Fair market value of all assets at end of year

(from Part II, col (c), line 16)

J Accounting method: ☒ Cash ☐ Accrual☐ Other (specify) _____F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐▶ \$ **1336555.** (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).)

(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

2 Check ☒ if the foundation is not required to attach Sch. B

3 Interest on savings and temporary cash investments

4 Dividends and interest from securities

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

b Gross sales price for all assets on line 6a **344401.**

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)

11 Other income

12 Total Add lines 1 through 11

13 Compensation of officers, directors, trustees, etc

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees

b Accounting fees Stmt 3

c Other professional fees Stmt 4

17 Interest

18 Taxes Stmt 5

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses Stmt 6

24 Total operating and administrative expenses Add lines 13 through 23

25 Contributions, gifts, grants paid

26 Total expenses and disbursements. Add lines 24 and 25

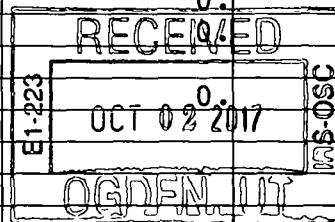
27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

b Net investment income (if negative, enter -0-)

c Adjusted net income (if negative, enter -0-)

Operating and Administrative Expenses



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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	17478.	7859.	7859.
	2 Savings and temporary cash investments	100043.	20222.	20222.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
	Liabilities	11 Investments - land, buildings, and equipment basis ▶		
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other Stmt 7		1153061.	1160983.	1250084.
14 Land, buildings, and equipment: basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶ LINCOLN SCULPTURE)		58390.	58390.	58390.
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		1328972.	1247454.	1336555.
17 Accounts payable and accrued expenses		150.	3500.	
18 Grants payable				
Net Assets or Fund Balances	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	150.	3500.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> X			
	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted	1328822.	1243954.	
	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	1328822.	1243954.		
31 Total liabilities and net assets/fund balances	1328972.	1247454.		

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	1328822.
2 Enter amount from Part I, line 27a	2	<84868.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	1243954.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1243954.

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a PEOPLES UNITED BANK - SEE ATTACHED	P	07/01/16	06/30/17
b Capital Gains Dividends			
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 332446.		338996.	<6550.>
b 11955.			11955.
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			<6550.>
b			11955.
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	5405.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):		3	N/A

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col. (c))
2015	89565.	57514.	1.557273
2014	127625.	57514.	2.219025
2013	134348.	57514.	2.335918
2012	102379.	57514.	1.780071
2011	49350.	57514.	.858052

2 Total of line 1, column (d)	2	8.750339
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	1.750068
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	57514.
5 Multiply line 4 by line 3	5	100653.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	81.
7 Add lines 5 and 6	7	100734.
8 Enter qualifying distributions from Part XII, line 4	8	87900.

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.

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		1	163.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		2	0.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		3	163.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
3 Add lines 1 and 2		5	163.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-			
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a		
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7		0.
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> 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		163.
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 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.		X
c Did the foundation file Form 1120-POL for this year?		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? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
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?	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	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> CT		
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	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		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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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)		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)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A	X	
14 The books are in care of THOMAS L RICH Telephone no. 203-359-2900 Located at 222 SUMMER STREET, STAMFORD, CT ZIP+4 06901		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year 15 N/A		
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country		X

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
1a During the year did the foundation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here N/A		
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?		X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years N/A b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No b If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.) N/A		
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		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?		X

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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)?

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

6b

X

If "Yes" to 6b, file Form 8870.

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

☐ Yes ☒ No

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

N/A

7b

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
THOMAS L. RICH 222 SUMMER STREET STAMFORD, CT 06901	PRESIDENT 0.50	0.	0.	0.
FRANK D. RICH III 222 SUMMER STREET STAMFORD, CT 06901	VICE PRESIDENT 0.50	0.	0.	0.
COLLEEN FRACCOLA 222 SUMMER STREET STAMFORD, CT 06901	TREASURER/SECRETARY 0.50	0.	0.	0.

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

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

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

0

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	0.
b	Average of monthly cash balances	1b	
c	Fair market value of all other assets	1c	58390.
d	Total (add lines 1a, b, and c)	1d	58390.
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	58390.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	876.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	57514.
6	Minimum investment return. Enter 5% of line 5	6	2876.

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	2876.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	163.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	163.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	2713.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	2713.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	2713.

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	87900.
b	Program-related investments - total from Part IX-B	1b	0.
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	87900.
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	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	87900.

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.

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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				2713.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011	50550.			
b From 2012	99845.			
c From 2013	133530.			
d From 2014	133800.			
e From 2015	87149.			
f Total of lines 3a through e	504874.			
4 Qualifying distributions for 2016 from Part XII, line 4: ► \$ 87900.				
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				2713.
e Remaining amount distributed out of corpus	85187.			
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	590061.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				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	50550.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	539511.			
10 Analysis of line 9:				
a Excess from 2012	99845.			
b Excess from 2013	133530.			
c Excess from 2014	133800.			
d Excess from 2015	87149.			
e Excess from 2016	85187.			

N/A

- ☐ 4942(j)(3) or ☐ 4942(j)(5)

(4) Gross investment income

[illegible]

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 8

- 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:

RICH FOUNDATION, INC.

Form 990-PF (2016)

C/O FD RICH COMPANY

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Part XV Supplementary Information (continued)

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

3 Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
ALIX'S LEMON(LUNG CANCER),C/O ALIX EDMONDSON MARTINEZ GOFUNDME.COM EASTON, CT 06612		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	2500.
AVON THEATRE FILM CENTER, INC. 8 SOUND SHORE DRIVE GREENWICH, CT 06830		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1000.
BOSTON ARCHITECTURAL COLLEGE, OFFICE OF INSTITUTIONAL ADVANCEMENT 320 NEWBURY STREET BOSTON, MA 02215		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1500.
BOYS & GIRLS CLUB OF STAMFORD, INC.,THE MARY C. RICH CLUBHOUSE 347 STILLWATER AVENUE STAMFORD, CT 06902		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	3500.
CATHLIC CHARITIES OF FAIRFIELD COUNTY 238 JEWET AVENUE BRIDGEPORT, CT 06606		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	250.
Total	See continuation sheet(s)			87900.
b Approved for future payment				
None				
Total				0

Form 990-PF (2016)

Enter gross amounts unless otherwise indicated.

(See worksheet in line 13 instructions to verify calculations.)

623621 11-23-16



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

- | | | Yes | No |
|--|---|-------|----|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | |
| | a Transfers from the reporting foundation to a noncharitable exempt organization of: | | |
| | (1) Cash | 1a(1) | X |
| | (2) Other assets | 1a(2) | X |
| | b Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | X |
| | (4) Reimbursement arrangements | 1b(4) | X |
| | (5) Loans or loan guarantees | 1b(5) | X |
| (6) Performance of services or membership or fundraising solicitations | 1b(6) | X | |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | X | |
| d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | | |

[illegible]

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

[illegible]

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.				May the IRS discuss this return with the preparer shown below (see instr 1)? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	Signature of officer or trustee 		Date 8/14/17	Title PRESIDENT		
Paid Preparer Use Only	Print/Type preparer's name LOUIS W. FIGLIUZZI, CPA		Preparer's signature 	Date 08/07/17	Check <input checked="" type="checkbox"/> if self-employed	PTIN P01384801
	Firm's name ▶ LOUIS W. FIGLIUZZI, CPA					Firm's EIN ▶
	Firm's address ▶ 21 APRIL DRIVE EASTON, CT 06612					Phone no. 203-220-9050

RICH FOUNDATION, INC.
C/O FD RICH COMPANY

22-2544173

Part XV **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

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
CATHOLIC RELIEF SERVICES 228 WEST LEXINGTON STREET BALTIMORE, MD 21201		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	250.
CHILDCARE LEARNING CENTER 64 PALMERS HILL ROAD STAMFORD, CT 06902		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	2000.
CITY OF NORWALK, CT (MAYORS YOUTH SUMMER EMPLOYMENT PROGRAM SYEP) 125 EAST AVENUE NORWALK, CT 06856-5125		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1000.
CT BALLET 20 ACOSTA STREET STAMFORD, CT 06902		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1500.
FAIRFIELD COUNTY COMMUNITY FOUNDATION 383 MAIN AVENUE, #401 NORWALK, CT 06851-1543		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1500.
FERGUSON LIBRARY FOUNDATION ONE PUBLIC LIBRARY PLAZA STAMFORD, CT 06904		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1000.
FRANKLIN STREET WORKS 43 FRANKLIN STREET STAMFORD, CT 06901		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	500.
FUTURE 5 135 ATLANTIC STREET STAMFORD, CT 06901		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	2000.
GOLDEN RETRIEVER RESCUE FUND OF SOUTH FLORIDA PO BOX 17084 PLANTATION, FL 33318		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	250.
HOUSING DEVELOPMENT FUND 100 PROSPECT STREET STAMFORD, CT 06905		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	500.
Total from continuation sheets				79150.

RICH FOUNDATION, INC.
C/O FD RICH COMPANY

22-2544173

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
HUMAN SERVICES COUNCIL ONE PARK STREET NORWALK, CT 06851		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	500.
KIDS HELPING KIDS 110 LENOX AVE, SUITE 206 STAMFORD, CT 06906		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	500.
LITERACY VOLUNTEERS OF FAMILY CENTER 60 PALMERS HILL ROAD STAMFORD, CT 06902		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	500.
LUPUS LA 8383 WILSHIRE BLVD, #232 BEVERLY HILLS, CA 90211		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1000.
MA-YI THEATER COMPANY 520 EIGHT AVENUE, #309 NEW YORK, NY 10018		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1000.
MARCH OF DIMES 580 WHITE PLAINS ROAD, SUITE 445 TARRYTOWN, NY 10591		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	3000.
MARITIME AQUARIUM AT NORWALK 10 NORTH WATER STREET NORWALK, CT 06854		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	5000.
MILL RIVER COLLABORATIVE 1010 WASHINGTON BOULEVARD STAMFORD, CT 06901		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	25000.
NEIGHBORS LINK STAMFORD 75 SELLECK STREET STAMFORD, CT 06902		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	250.
NORWALK COMMUNITY BENEFIT FUND, C/O CITY OF NORWALK, CT CITY CLERK'S OFFICE 125 EAST AVENUE NORWALK, CT 06851		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1500.
Total from continuation sheets				

**RICH FOUNDATION, INC.
C/O FD RICH COMPANY**

22-2544173

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
NORWALK PRESERVATION TRUST PO BOX 874 NORWALK, CT 06852		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	500.
PALM BEACH ZOO & CONSERVATION SOCIETY 1301 SUMMIT BOULEVARD WEST PALM BEACH, FL 33405		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	10000.
SACRED HEART UNIVERSITY 5151 PARK AVENUE FAIRFIELD, CT 06825		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	6000.
SHATTERPROOF CHALLENGE 101 MERRIT 7 CORPORATE PARK, 1ST FLOOR NORWALK, CT 06851		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1000.
THE PALACE(STAMFORD CENTER FOR THE ARTS) 61 ATLANTIC STREET STAMFORD, CT 06901		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	2500.
STAMFORD CITIZEN OF THE YEAR, CITY OF STAMFORD 888 WASHINGTON BOULEVARD STAMFORD, CT 06901Q		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	2000.
STAMFORD DOWNTOWN SPECIAL SERVICES DISTRICT FIVE LANDMARK SQUARE, SUITE 110 STAMFORD, CT 06902		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	3000.
STAMFORD FAMILY YMCA 10 BELL STREET STAMFORD, CT 06901		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1200.
STAMFORD MUSEUM & NATURE CENTER 39 SCOFIELDTOWN ROAD STAMFORD, CT 06903		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	2500.
STAMFORD SYMPHONY ORCHESTRA ONE STAMFORD PLAZA STAMFORD, CT 06901		NON-PROFIT	GRANT TO PROVIDE FINANCIAL ASSISTANCE TO THEIR CHARITY	1250.
Total from continuation sheets				

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3 Grants and Contributions Paid During the Year (Continuation)

Total from continuation sheets

Form 990-PF Interest on Savings and Temporary Cash Investments Statement 1

Source	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
PEOPLES INVESTMENTS	958.	958.	
SIGNATURE BANK	179.	179.	
Total to Part I, line 3	1137.	1137.	

Form 990-PF Dividends and Interest from Securities Statement 2

Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
PEOPLES INVESTMENT	29561.	11955.	17606.	17606.	
To Part I, line 4	29561.	11955.	17606.	17606.	

Form 990-PF Accounting Fees Statement 3

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
ACCOUNTING	2600.	0.		0.
To Form 990-PF, Pg 1, ln 16b	2600.	0.		0.

Form 990-PF Other Professional Fees Statement 4

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
ADVERTISING	59.	0.		0.
To Form 990-PF, Pg 1, ln 16c	59.	0.		0.

Form 990-PF	Taxes		Statement	5
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
FEDERAL TAXES	931.	0.		0.
OTHER	33.	0.		0.
To Form 990-PF, Pg 1, ln 18	964.	0.		0.

Form 990-PF	Other Expenses		Statement	6
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
STATE FILING FEES	50.	0.		0.
INSURANCE	505.	0.		0.
INVESTMENT FEES	16013.	16013.		0.
OFFICE EXPENSES	925.	0.		0.
To Form 990-PF, Pg 1, ln 23	17493.	16013.		0.

Form 990-PF	Other Investments		Statement	7
Description	Valuation Method	Book Value	Fair Market Value	
PEOPLES INVESTMENTS	COST	1055983.	1145084.	
OTHER	COST	105000.	105000.	
Total to Form 990-PF, Part II, line 13		1160983.	1250084.	

Form 990-PF

Grant Application Submission Information
Part XV, Lines 2a through 2d

Statement 8

Name and Address of Person to Whom Applications Should be Submitted

THE RICH FOUNDATION
222 SUMMER STREET
STAMFORD, CT 06901

Telephone Number

203-359-2900

Form and Content of Applications

THE NAME, ADDRESS AND TELEPHONE NUMBERS OF THE ORGANIZATION REQUESTING THE FUNDS.

Any Submission Deadlines

NONE

Restrictions and Limitations on Awards

NONE



DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
03/14/17	SOLD 16 SHS 03/09/17 TO FOX RIVER @ 138.65 COMMISSION: .80 SEC FEE/OTHER COST: .05	80	2,217.55	1,347.32-	870.23
		-	-	-	-
03/14/17	BERKSHIRE HATHAWAY INC DEL CL B SOLD 4 SHS 03/09/17 TO FOX RIVER @ 175.4201 COMMISSION: .20 SEC FEE/OTHER COST: .02 CAPITAL ONE FINL CORP SOLD 28 SHS 03/09/17 TO FIN TECH SECURITIES @ 92.7201 COMMISSION: 1.40 SEC FEE/OTHER COST: .06 CISCO SYSTEMS INC SOLD 24 SHS 03/09/17 TO FOX RIVER @ 34.0549 COMMISSION: 1 20 SEC FEE/OTHER COST: DANAHER CORP SOLD 8 SHS 03/09/17 TO FOX RIVER @ 86.95 COMMISSION: .40 SEC FEE/OTHER COST: DISNEY (WALT) COMPANY HOLDING CO SOLD 5 SHS 03/09/17 TO FOX RIVER @ 111.131 COMMISSION: .25 SEC FEE/OTHER COST: .01	.20	701.46	584 36-	1,258 60 117 10
03/14/17		1.40	2,594.71	2,310.56-	284.15
03/14/17		1.20	816.10	600.48-	215.62
03/14/17		40	695 18	522.72-	172.46
03/14/17		.25	555.39	495 75-	59.64

SCHEDULE G - SALES AND REDEMPTIONS
FOR PERIOD 07/01/16 THRU 06/30/17

ACCOUNT NO. 62-P043-13-6

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PEOPLE'S UNITED BANK AGENT FOR
THE RICH FOUNDATION

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
03/14/17	ECOLAB INC SOLD 4 SHS 03/09/17 TO FOX RIVER @ 123.97 COMMISSION: SEC FEE/OTHER COST: EXXON MOBIL CORP 01	.20	495.67	481.32-	14.35
03/14/17	SOLD 72 SHS 03/09/17 TO CONVERGEX @ 81.27 COMMISSION: SEC FEE/OTHER COST: FIDELITY SMALL CAP DISCOVERY #384 01	3.60	5,847.71	6,765.30-	917.59-
02/01/17	SOLD 188.620 SHS 01/31/17 @ 31.81 FORTIS INC SOLD .688 SHS 11/01/16 CASH IN LIEU OF FRACTION SOLD 70 SHS 11/03/16 TO CONVERGEX @ 32.1401 COMMISSION: SEC FEE/OTHER COST:	.00	6,000.00	5,588.81-	411.19
11/01/16		.00	22.47	21.68-	.79
11/08/16		3.50	2,246.26	2,206.05-	40.21
		3.50			
		.05			
			2,268.73	2,227.73-	41.00
07/14/16	FORTIVE CORP SOLD .500 SHS 07/14/16 CASH IN LIEU OF FRACTION	00	25.44	20.87-	4.57
03/14/17	GILEAD SCIENCES INC SOLD 26 SHS 03/09/17 TO ISI GROUP INC. @ 68.54 COMMISSION: SEC FEE/OTHER COST:	1.30	1,780.70	2,817.35-	1,036.65-
		1.30			
		.04			

SCHEDULE G - SALES AND REDEMPTIONS
FOR PERIOD 07/01/16 THRU 06/30/17

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ACCOUNT NO. 62-P043-13-6

PEOPLE'S UNITED BANK AGENT FOR
THE RICH FOUNDATION

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
07/11/16	HARMAN INTL INDS INC NEW SOLD 63 SHS 07/06/16 TO CONVERGEX @ 70.1637 COMMISSION: 3.15 SEC FEE/OTHER COST: .10 OAKMARK INTERNATIONAL #109 SOLD 813.891 SHS 07/06/16 @ 18.43 SOLD 234.852 SHS 08/22/16 @ 21.29 SOLD 507.614 SHS 01/31/17 @ 23.64 SOLD 242.424 SHS 03/27/17 @ 24.75	3.15	4,417.07	6,359.36-	1,942.29-
07/07/16		.00	15,000.00	20,689.11-	5,689.11-
08/23/16		.00	5,000.00	5,969.94-	969.94-
02/01/17		.00	12,000.00	12,903.55-	903.55-
03/28/17		.00	6,000.00	6,162.42-	162.42-
			38,000.00	45,725.02-	7,725.02-
03/14/17	HOME DEPOT INC SOLD 4 SHS 03/09/17 TO FOX RIVER @ 146.87 COMMISSION: .20 SEC FEE/OTHER COST: .01 HONEYWELL INTL INC SOLD 5 SHS 03/09/17 TO FOX RIVER @ 126.92 COMMISSION: .25 SEC FEE/OTHER COST: .01 ISHARES U.S. HOME CONSTRUCTION ETF SOLD 18 SHS 03/09/17 TO FOX RIVER @ 31.6647 COMMISSION: .90 SEC FEE/OTHER COST: .01 ITC HOLDINGS CORP CASH AND STOCK MERGER AT \$22.57 CASH AND 0.752 SHARES PER SHARE	.20	587.27	372.36-	214.91
03/14/17		.25	634.34	458.13-	176.21
03/14/17		.90	569.05	417.24-	151.81
10/18/16		.00	4,349.31	3,253.98-	1,095.33



SCHEDULE G - SALES AND REDEMPTIONS
FOR PERIOD 07/01/16 THRU 06/30/17

ACCOUNT NO. 62-P043-13-6

PEOPLE'S UNITED BANK AGENT FOR
THE RICH FOUNDATION

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DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
03/14/17	JPMORGAN CHASE & CO SOLD 9 SHS 03/09/17 TO FIN TECH SECURITIES @ 91.9701 COMMISSION: SEC FEE/OTHER COST: JOHNSON & JOHNSON INC SOLD 6 SHS 03/09/17 TO FOX RIVER @ 125.4101 COMMISSION: SEC FEE/OTHER COST: KEYCORP NEW SOLD 57 SHS 03/09/17 TO FOX RIVER @ 18.9738 COMMISSION: SEC FEE/OTHER COST: L A M RESH CORP SOLD 76 SHS 11/03/16 TO CONVERGEX @ 95.2104 COMMISSION: SEC FEE/OTHER COST: MFS VALUE 1 #893	.45	827.26	553.77-	273.49
03/14/17	JOHNSON & JOHNSON INC SOLD 6 SHS 03/09/17 TO FOX RIVER @ 125.4101 COMMISSION: SEC FEE/OTHER COST: KEYCORP NEW SOLD 57 SHS 03/09/17 TO FOX RIVER @ 18.9738 COMMISSION: SEC FEE/OTHER COST: L A M RESH CORP SOLD 76 SHS 11/03/16 TO CONVERGEX @ 95.2104 COMMISSION: SEC FEE/OTHER COST: MFS VALUE 1 #893	.30	752.14	612.90-	139.24
03/14/17	JOHNSON & JOHNSON INC SOLD 6 SHS 03/09/17 TO FOX RIVER @ 125.4101 COMMISSION: SEC FEE/OTHER COST: KEYCORP NEW SOLD 57 SHS 03/09/17 TO FOX RIVER @ 18.9738 COMMISSION: SEC FEE/OTHER COST: L A M RESH CORP SOLD 76 SHS 11/03/16 TO CONVERGEX @ 95.2104 COMMISSION: SEC FEE/OTHER COST: MFS VALUE 1 #893	2.85	1,078.63	731.87-	346.76
11/08/16	JOHNSON & JOHNSON INC SOLD 6 SHS 03/09/17 TO FOX RIVER @ 125.4101 COMMISSION: SEC FEE/OTHER COST: KEYCORP NEW SOLD 57 SHS 03/09/17 TO FOX RIVER @ 18.9738 COMMISSION: SEC FEE/OTHER COST: L A M RESH CORP SOLD 76 SHS 11/03/16 TO CONVERGEX @ 95.2104 COMMISSION: SEC FEE/OTHER COST: MFS VALUE 1 #893	3.80	7,232.03	5,959.21-	1,272.82
02/01/17	JOHNSON & JOHNSON INC SOLD 6 SHS 03/09/17 TO FOX RIVER @ 125.4101 COMMISSION: SEC FEE/OTHER COST: KEYCORP NEW SOLD 57 SHS 03/09/17 TO FOX RIVER @ 18.9738 COMMISSION: SEC FEE/OTHER COST: L A M RESH CORP SOLD 76 SHS 11/03/16 TO CONVERGEX @ 95.2104 COMMISSION: SEC FEE/OTHER COST: MFS VALUE 1 #893	.00	5,000.00	4,526.89-	473.11
03/10/17	JOHNSON & JOHNSON INC SOLD 6 SHS 03/09/17 TO FOX RIVER @ 125.4101 COMMISSION: SEC FEE/OTHER COST: KEYCORP NEW SOLD 57 SHS 03/09/17 TO FOX RIVER @ 18.9738 COMMISSION: SEC FEE/OTHER COST: L A M RESH CORP SOLD 76 SHS 11/03/16 TO CONVERGEX @ 95.2104 COMMISSION: SEC FEE/OTHER COST: MFS VALUE 1 #893	00	2,000.00	1,734.14-	265.86
03/14/17	METLIFE INC SOLD 47 SHS 03/09/17 TO FIN TECH SECURITIES @ 53.9201 COMMISSION: SEC FEE/OTHER COST:	2.35	2,531.84	2,601.45-	69.61-



SCHEDULE G - SALES AND REDEMPTIONS
FOR PERIOD 07/01/16 THRU 06/30/17

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ACCOUNT NO. 62-P043-13-6

PEOPLE'S UNITED BANK AGENT FOR
THE RICH FOUNDATION

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
03/14/17	OCCIDENTAL PETROLEUM CORP SOLD 79 SHS 03/09/17 TO CONVERGEX @ 61.44 COMMISSION: 3.95 SEC FEE/OTHER COST: .11	3.95	4,849.70	6,566.55-	1,716.85-
03/14/17	ORACLE CORPORATION SOLD 12 SHS 03/09/17 TO FOX RIVER @ 42.37 COMMISSION: .60 SEC FEE/OTHER COST: .02	.60	507.82	473.76-	34.06
09/21/16	OPPENHEIMER DEVELOPING MARKETS I #799 SOLD 89.874 SHS 09/20/16 @ 33.38	00	3,000.00	3,563.68-	563.68-
03/28/17	SOLD 84.435 SHS 03/27/17 @ 35.53	.00	3,000.00	3,348.01-	348.01-
03/14/17	PHILLIPS 66 SOLD 39 SHS 03/09/17 TO CONVERGEX @ 76.98 COMMISSION: 1.95 SEC FEE/OTHER COST: .07	1.95	6,000.00	6,911.69-	911.69-
03/14/17	PRICELINE GROUP INC SOLD 1 SHS 03/09/17 TO FOX RIVER @ 1748.71 COMMISSION: .05 SEC FEE/OTHER COST: .04	.05	1,748.62	1,198.72-	549.90
03/28/17	PRINCIPAL MIDCAP INSTL #4749 SOLD 209.467 SHS 03/27/17 @ 23.87	.00	5,000.00	4,581.04-	418.96

SCHEDULE G - SALES AND REDEMPTIONS
FOR PERIOD 07/01/16 THRU 06/30/17

ACCOUNT NO. 62-P043-13-6

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PEOPLE'S UNITED BANK AGENT FOR
THE RICH FOUNDATION

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
03/14/17	STARBUCKS CORP SOLD 12 SHS 03/09/17 TO FOX RIVER @ 54.88 COMMISSION: SEC FEE/OTHER COST: .60 02	.60	657.94	656.66-	1.28
03/14/17	T J X COS INC SOLD 8 SHS 03/09/17 TO FOX RIVER @ 78.0701 COMMISSION: SEC FEE/OTHER COST: .40 .02	.40	624.14	482.40-	141.74
11/08/16	TARGET CORP SOLD 37 SHS 11/03/16 TO CONVERGEX @ 67.7134 COMMISSION: SEC FEE/OTHER COST: 1.85 .06	1.85	2,503.49	3,033.54-	530.05-
03/14/17	THERMO FISHER SCIENTIFIC INC SOLD 12 SHS 03/09/17 TO FOX RIVER @ 157.7346 COMMISSION: SEC FEE/OTHER COST: .60 .04	.60	1,892.17	1,478.16-	414.01
03/14/17	UNITEDHEALTH GROUP INC SOLD 3 SHS 03/09/17 TO FOX RIVER @ 168.47 COMMISSION: SEC FEE/OTHER COST: .15 .01	.15	505.25	265.32-	239.93
03/14/17	VISA INC CLASS A SHARES SOLD 24 SHS 03/09/17 TO ISI GROUP INC. @ 89.33 COMMISSION: SEC FEE/OTHER COST: 1.20 .05	1.20	2,142.67	1,632.61-	510.06

SCHEDULE G - SALES AND REDEMPTIONS
FOR PERIOD 07/01/16 THRU 06/30/17

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PEOPLE'S UNITED BANK AGENT FOR
THE RICH FOUNDATION

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
11/08/16	WELLS FARGO & CO NEW SOLD 137 SHS 11/03/16 TO CONVERGEX @ 45.4911 COMMISSION: 6.85 SEC FEE/OTHER COST: .14	6.85	6,225.29	7,079.84-	854.55-
03/14/17	WISDOMTREE EUROPE HEDGED EQ FUND ETF SOLD 50 SHS 03/09/17 TO FOX RIVER @ 60.93 COMMISSION: 2.50 SEC FEE/OTHER COST: .07	2.50	3,043.93	3,340.00-	296.07-
TOTAL EQUITY FIXED INCOME POWERSHARES TRUST II ETF SENIOR LN PORT					6,351.08-
11/08/16	SOLD 104 SHS 11/03/16 TO FOX RIVER @ 23.0701 COMMISSION: 5.20 SEC FEE/OTHER COST: .06	5.20	2,394.03	2,531.35-	137.32-
07/11/16	SPDR BARCLAYS INT-TERM CORP BOND ETF SOLD 200 SHS 07/06/16 TO FOX RIVER @ 34.891 COMMISSION: 10.00 SEC FEE/OTHER COST: .16	10.00	6,968.04	6,866.00-	102.04
11/08/16	SPDR BLMG BARCLAYS HGH YIELD BD ETF SOLD 81 SHS 11/03/16 TO CONVERGEX @ 35.8405 COMMISSION: 4.05 SEC FEE/OTHER COST: .07	4.05	2,898.97	3,245.66-	346.69-

SCHEDULE G - SALES AND REDEMPTIONS
FOR PERIOD 07/01/16 THRU 06/30/17

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PEOPLE'S UNITED BANK AGENT FOR
THE RICH FOUNDATION

DATE	DESCRIPTION	BROKER COMMISSION	PROCEEDS	COST	REALIZED GAIN/LOSS
07/11/16	VANGUARD INT-TERM GOVT BOND ETF SOLD 100 SHS 07/06/16 TO FOX RIVER @ 67.315	5.00	6,726.35	6,543.50	182.85
	COMMISSION.	5.00			
	SEC FEE/OTHER COST:	.15			
	TOTAL FIXED INCOME CASH EQUIVALENTS		18,987.39	19,186.51	199.12
06/30/17	DREYFUS GOVT CASH MGMT IS #289 SALES (18) 07/01/16 TO 06/30/17 FEDERATED INST PRIME OBLIGATIONS FUND #10	.00	113,131.18	113,131.18	.00
06/30/17	SALES (4) 07/01/16 TO 06/30/17	.00	66,368.52	66,368.52	.00
	TOTAL CASH EQUIVALENTS		179,499.70	179,499.70	.00
	TOTAL SALES AND REDEMPTIONS		332,445.81	338,996.01	6,550.20