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## 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 separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

OMB No. 1545-0052

2016

Open to Public Inspection

|  |   |   |
|--|---|---|
| For calendar year 2016 or tax year beginning <b>JUL 1, 2016</b> , and ending <b>JUN 30, 2017</b>   |   |   |
| Name of foundation<br><b>RICH FOUNDATION, INC.</b><br><b>C/O FD RICH COMPANY</b>   |   | A Employer identification number<br><b>22-2544173</b>   |
| Number and street (or P O box number if mail is not delivered to street address)<br><b>222 SUMMER STREET</b>   |   | Room/suite  |
| City or town, state or province, country, and ZIP or foreign postal code<br><b>STAMFORD, CT 06901</b>  |   | B Telephone number<br><b>203-359-2900</b>   |
| G Check all that apply:<br><input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity<br><input type="checkbox"/> Final return <input type="checkbox"/> Amended return<br><input type="checkbox"/> Address change <input type="checkbox"/> Name change |   | C If exemption application is pending, check here ► <input type="checkbox"/>  |
| H Check type of organization:<br><input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation   |   | D 1. Foreign organizations, check here ► <input type="checkbox"/><br>2 Foreign organizations meeting the 85% test, check here and attach computation ► <input type="checkbox"/> |
| I Fair market value of all assets at end of year<br>(from Part II, col. (c), line 16)  | J Accounting method:<br><input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) _____ | E If private foundation status was terminated under section 507(b)(1)(A), check here ► <input type="checkbox"/>   |
| ► \$ <b>1336555.</b> (Part I, column (d) must be on cash basis.)   |   | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ► <input type="checkbox"/>  |
| <b>Part I Analysis of Revenue and Expenses</b><br>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))  |   | (a) Revenue and expenses per books      (b) Net investment income      (c) Adjusted net income      (d) Disbursements for charitable purposes (cash basis only)                 |
| 1 Contributions, gifts, grants, etc., received   |   |   |
| 2 Check ► <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B  |   |   |
| 3 Interest on savings and temporary cash investments   |   | 1137.      1137. <b>Statement 1</b>   |
| 4 Dividends and interest from securities   |   | 17606.      17606. <b>Statement 2</b>   |
| 5a Gross rents   |   |   |
| b Net rental income or (loss)  |   |   |
| 6a Net gain or (loss) from sale of assets not on line 10   |   | 5405.   |
| b Gross sales price for all assets on line 6a  |   | <b>344401.</b>  |
| 7 Capital gain net income (from Part IV, line 2)   |   | 5405.   |
| 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  |   | 24148.      24148.  |
| 13 Compensation of officers, directors, trustees, etc  |   | 0.      0.      0.  |
| 14 Other employee salaries and wages   |   |   |
| 15 Pension plans, employee benefits  |   |   |
| 16a Legal fees   |   |   |
| b Accounting fees Stmt 3   |   | 2600.      0.      0.   |
| c Other professional fees Stmt 4   |   | 59.      0.      0.   |
| 17 Interest Stmt 5   |   | 964.      0.      0.  |
| 18 Taxes   |   |   |
| 19 Depreciation and depletion  |   |   |
| 20 Occupancy   |   |   |
| 21 Travel, conferences, and meetings   |   |   |
| 22 Printing and publications   |   |   |
| 23 Other expenses Stmt 6   |   | 17493.      16013.      0.  |
| 24 Total operating and administrative expenses Add lines 13 through 23   |   | 21116.      16013.      0.  |
| 25 Contributions, gifts, grants paid   |   | 87900.      87900.  |
| 26 Total expenses and disbursements. Add lines 24 and 25   |   | 109016.      16013.      87900.   |
| 27 Subtract line 26 from line 12:  |   | <84868. >   |
| a Excess of revenue over expenses and disbursements  |   | 8135.   |
| b Net investment income (if negative, enter -0-)   |   |   |
| c Adjusted net income (if negative, enter -0-)   |   | N/A   |

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| <b>Part II</b> <b>Balance Sheets</b> |  | Attached schedules and amounts in the description column should be for end-of-year amounts only |                       |                 |
|--------------------------------------|--|---|-----------------------|-----------------|
|                                      |  | Beginning of year   | End of year           |                 |
| Assets                               | (a) Book Value   | (b) Book Value  | (c) Fair Market Value |                 |
|                                      | 1 Cash - non-interest-bearing  | <b>17478.</b>   | <b>7859.</b>          | <b>7859.</b>    |
|                                      | 2 Savings and temporary cash investments   | <b>100043.</b>  | <b>20222.</b>         | <b>20222.</b>   |
|                                      | 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  |   |                       |                 |
|                                      | 11 Investments - land, buildings, and equipment basis ►  |   |                       |                 |
|                                      | Less accumulated depreciation ►  |   |                       |                 |
|                                      | 12 Investments - mortgage loans  | <b>Stmt 7</b>   | <b>1153061.</b>       | <b>1160983.</b> |
|                                      | 13 Investments - other   | <b>1153061.</b>   | <b>1160983.</b>       | <b>1250084.</b> |
|                                      | 14 Land, buildings, and equipment: basis ►   |   |                       |                 |
|                                      | Less accumulated depreciation ►  |   |                       |                 |
|                                      | 15 Other assets (describe ► <u>LINCOLN SCULPTURE</u> )   | <b>58390.</b>   | <b>58390.</b>         | <b>58390.</b>   |
|                                      | 16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)   | <b>1328972.</b>   | <b>1247454.</b>       | <b>1336555.</b> |
| Liabilities                          | 17 Accounts payable and accrued expenses   | <b>150.</b>   | <b>3500.</b>          |                 |
|                                      | 18 Grants payable  |   |                       |                 |
|                                      | 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)   | <b>150.</b>   | <b>3500.</b>          |                 |
| 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  | <b>1328822.</b>   | <b>1243954.</b>       |                 |
|                                      | 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   | <b>1328822.</b>   | <b>1243954.</b>       |                 |
|                                      | 31 Total liabilities and net assets/fund balances  | <b>1328972.</b>   | <b>1247454.</b>       |                 |

**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<br>(must agree with end-of-year figure reported on prior year's return) | 1 <b>1328822.</b>        |
| 2 Enter amount from Part I, line 27a  | 2 <b>&lt;84868. &gt;</b> |
| 3 Other increases not included in line 2 (itemize) ►  | 3 <b>0.</b>              |
| 4 Add lines 1, 2, and 3   | 4 <b>1243954.</b>        |
| 5 Decreases not included in line 2 (itemize) ►  | 5 <b>0.</b>              |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30   | 6 <b>1243954.</b>        |

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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<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.)  | (d) Date sold<br>(mo., day, yr.) |
|---|--|--|--|---|----------------------------------|
| <b>1a PEOPLES UNITED BANK - SEE ATTACHED</b>  |  |  | P  | 07/01/16  | 06/30/17                         |
| <b>b Capital Gains Dividends</b>  |  |  |  |   |                                  |
| <b>c</b>  |  |  |  |   |                                  |
| <b>d</b>  |  |  |  |   |                                  |
| <b>e</b>  |  |  |  |   |                                  |
| (e) Gross sales price   |  | (f) Depreciation allowed (or allowable)      | (g) Cost or other basis plus expense of sale     | (h) Gain or (loss)<br>(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   |  |  |  | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |                                  |
| (i) F.M.V. as of 12/31/69   | (j) Adjusted basis as of 12/31/69  | (k) Excess of col. (i) over col. (j), if any |  |   |                                  |
| a   |  |  |  | <6550.>   |                                  |
| b   |  |  |  | 11955.  |                                  |
| c   |  |  |  |   |                                  |
| d   |  |  |  |   |                                  |
| e   |  |  |  |   |                                  |
| 2 Capital gain net income or (net capital loss)   | { If gain, also enter in Part I, line 7<br>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):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter -0- in Part I, line 8 | { If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter -0- in Part I, line 8 } |  | 3  | N/A   |                                  |

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

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

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

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

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

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

| (a)<br>Base period years<br>Calendar year (or tax year beginning in) | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(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.                    | (attach copy of letter if necessary-see instructions) | 1      | 163. |
| Date of ruling or determination letter: |   |   |        |      |
| 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 |   |        |      |
| c                                       | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).                          |   |        |      |
| 2                                       | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)   | 2   | 0.     |      |
| 3                                       | Add lines 1 and 2   |   |        |      |
| 4                                       | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                       |   |        |      |
| 5                                       | <b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-  |   |        |      |
| 6 Credits/Payments:                     |   | 6a<br>6b<br>6c<br>6d                                  | 7      | 0.   |
| a                                       | 2016 estimated tax payments and 2015 overpayment credited to 2016   |   |        |      |
| b                                       | Exempt foreign organizations - tax withheld at source   |   |        |      |
| c                                       | Tax paid with application for extension of time to file (Form 8868)   |   |        |      |
| d                                       | Backup withholding erroneously withheld   |   |        |      |
| 7                                       | Total credits and payments. Add lines 6a through 6d   | 8<br>9  | 8<br>9 | 163. |
| 8                                       | Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached                          |   |        |      |
| 9                                       | <b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>   |   |        |      |
| 10                                      | <b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>   |   |        |      |
| 11                                      | Enter the amount of line 10 to be: <b>Credited to 2017 estimated tax</b> ► <span style="float: right;">Refunded</span>                            | 11  | 0.     |      |

**Part VII-A Statements Regarding Activities**

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

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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)  | 11  | X     |
| 12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)   | 12  | X     |
| 13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <b>N/A</b>   | 13  | X     |
| 14 The books are in care of ► <b>THOMAS L RICH</b> Located at ► <b>222 SUMMER STREET, STAMFORD, CT</b> Telephone no. ► <b>203-359-2900</b> ZIP+4 ► <b>06901</b>   |     |       |
| 15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year  | 15  | N/A   |
| 16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ► | 16  | Yes X |

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

|   | Yes                          | No                                     |
|---|------------------------------|--|
| File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.   |                              |  |
| 1a During the year did the foundation (either directly or indirectly):  |                              |  |
| (1) Engage in the sale or exchange, or leasing of property with a disqualified person?  | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?  | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?  | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?  | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?   | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)   | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| b If any answer is "Yes" to 1a(1)-(6), did <b>any</b> 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?   | 1b                           | X                                      |
| 2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016?  | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| If "Yes," list the years ► _____, _____, _____, _____   |                              |  |
| b Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement - see instructions.)   | N/A                          |  |
| c If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here.   | 2b                           |  |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?   | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| b If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.) | N/A                          |  |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?  | 3b                           |  |
| b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?   | 4a                           | X                                      |
|   | 4b                           | X                                      |

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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))?
- (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?
- (3) Provide a grant to an individual for travel, study, or other similar purposes?
- (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions)
- (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

Yes  No

Yes  No

Yes  No

Yes  No

Yes  No

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

N/A

5b



Organizations relying on a current notice regarding disaster assistance check here

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

N/A

Yes  No

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

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

Yes  No

6b

X

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

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

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

Yes  No

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

N/A

7b

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

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

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

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## Part VIII

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

## 3 Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

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



0

## Part IX-A Summary of Direct Charitable Activities

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

Expenses

|   |     |  |
|---|-----|--|
| 1 | N/A |  |
| 2 |     |  |
| 3 |     |  |
| 4 |     |  |
|   |     |  |

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

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

Amount

|   |     |  |
|---|-----|--|
| 1 | N/A |  |
| 2 |     |  |
| 3 |     |  |
|   |     |  |
|   |     |  |

All other program-related investments. See instructions.

|   |  |  |
|---|--|--|
| 3 |  |  |
|   |  |  |
|   |  |  |
|   |  |  |
|   |  |  |

Total. Add lines 1 through 3



0.

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

|   |    |        |
|---|----|--------|
| 1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: |    |        |
| a Average monthly fair market value of securities   | 1a | 0.     |
| b Average of monthly cash balances  | 1b |        |
| c Fair market value of all other assets   | 1c | 58390. |
| d <b>Total</b> (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 <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5  | 57514. |
| 6 <b>Minimum investment return.</b> 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 |       |
| 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 <b>Distributable amount as adjusted.</b> 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 <b>Qualifying distributions.</b> 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 <b>Adjusted qualifying distributions.</b> 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)**

|  | <b>(a)<br/>Corpus</b> | <b>(b)<br/>Years prior to 2015</b> | <b>(c)<br/>2015</b> | <b>(d)<br/>2016</b> |
|--|-----------------------|------------------------------------|---------------------|---------------------|
| 1 Distributable amount for 2016 from Part XI, line 7   |                       |                                    |                     | <b>2713.</b>        |
| 2 Undistributed income, if any, as of the end of 2016  |                       |                                    | 0.                  |                     |
| a Enter amount for 2015 only   |                       |                                    | 0.                  |                     |
| b Total for prior years:   |                       | 0.                                 |                     |                     |
| 3 Excess distributions carryover, if any, to 2016:   |                       |                                    |                     |                     |
| a From 2011  | <b>50550.</b>         |                                    |                     |                     |
| b From 2012  | <b>99845.</b>         |                                    |                     |                     |
| c From 2013  | <b>133530.</b>        |                                    |                     |                     |
| d From 2014  | <b>133800.</b>        |                                    |                     |                     |
| e From 2015  | <b>87149.</b>         |                                    |                     |                     |
| f Total of lines 3a through e  | <b>504874.</b>        |                                    |                     |                     |
| 4 Qualifying distributions for 2016 from Part XII, line 4: ► \$ <b>87900.</b>  |                       |                                    | 0.                  |                     |
| 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   |                       |                                    | <b>2713.</b>        |                     |
| e Remaining amount distributed out of corpus   |                       | <b>85187.</b>                      |                     |                     |
| 5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))   |                       | <b>0.</b>                          |                     | <b>0.</b>           |
| 6 Enter the net total of each column as indicated below:   | <b>590061.</b>        |                                    |                     |                     |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5  |                       |                                    | 0.                  |                     |
| 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   | <b>50550.</b>         |                                    |                     |                     |
| 9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a  | <b>539511.</b>        |                                    |                     |                     |
| 10 Analysis of line 9:   |                       |                                    |                     |                     |
| a Excess from 2012   | <b>99845.</b>         |                                    |                     |                     |
| b Excess from 2013   | <b>133530.</b>        |                                    |                     |                     |
| c Excess from 2014   | <b>133800.</b>        |                                    |                     |                     |
| d Excess from 2015   | <b>87149.</b>         |                                    |                     |                     |
| e Excess from 2016   | <b>85187.</b>         |                                    |                     |                     |



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## 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)  |   |                                |  |             |
| <i>a Paid during the year</i>  |   |                                |  |             |
| 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.        |
| <b>Total</b>   | <b>See continuation sheet(s)</b>  |                                |  | ► 3a 87900. |
| <i>b Approved for future payment</i>   |   |                                |  |             |
| None   |   |                                |  |             |
| <b>Total</b>   |   |                                |  | ► 3b 0.     |

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## Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

| Enter gross amounts unless otherwise indicated.                 | Unrelated business income |               | Excluded by section 512, 513, or 514 |               | (e)<br>Related or exempt<br>function income |
|---|---------------------------|---------------|--------------------------------------|---------------|---|
|   | (a)<br>Business<br>code   | (b)<br>Amount | (c)<br>Exclu-<br>sion<br>code        | (d)<br>Amount |   |
| 1 Program service revenue:                                      |                           |               |                                      |               |   |
| a   |                           |               |                                      |               |   |
| b   |                           |               |                                      |               |   |
| c   |                           |               |                                      |               |   |
| d   |                           |               |                                      |               |   |
| e   |                           |               |                                      |               |   |
| f   |                           |               |                                      |               |   |
| g Fees and contracts from government agencies                   |                           |               |                                      |               |   |
| 2 Membership dues and assessments                               |                           |               |                                      |               |   |
| 3 Interest on savings and temporary cash investments            |                           |               |                                      |               | 1137.                                       |
| 4 Dividends and interest from securities                        |                           |               |                                      |               | 17606.                                      |
| 5 Net rental income or (loss) from real estate:                 |                           |               |                                      |               |   |
| a Debt-financed property  |                           |               |                                      |               |   |
| b Not debt-financed property                                    |                           |               |                                      |               |   |
| 6 Net rental income or (loss) from personal property            |                           |               |                                      |               |   |
| 7 Other investment income                                       |                           |               |                                      |               |   |
| 8 Gain or (loss) from sales of assets other than inventory      |                           |               |                                      |               | 5405.                                       |
| 9 Net income or (loss) from special events                      |                           |               |                                      |               |   |
| 10 Gross profit or (loss) from sales of inventory               |                           |               |                                      |               |   |
| 11 Other revenue:   |                           |               |                                      |               |   |
| a   |                           |               |                                      |               |   |
| b   |                           |               |                                      |               |   |
| c   |                           |               |                                      |               |   |
| d   |                           |               |                                      |               |   |
| e   |                           |               |                                      |               |   |
| 12 Subtotal. Add columns (b), (d), and (e)                      |                           | 0.            |                                      | 0.            | 24148.                                      |
| 13 Total. Add line 12, columns (b), (d), and (e)                |                           |               |                                      |               | 24148.                                      |
| (See worksheet in line 13 instructions to verify calculations.) |                           |               |                                      | 13            |   |

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

| Line No.<br>▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). |
|---------------|---|
| 3             | <b>NOT APPLICABLE</b>   |
| 4             | <b>NOT APPLICABLE</b>   |
| 8             | <b>NOT APPLICABLE</b>   |
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**Part XV | Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

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

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**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

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

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**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

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

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## Part XV Supplementary Information

### 3 Grants and Contributions Paid During the Year (Continuation)

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

| Source                  | (a)<br>Revenue<br>Per Books | (b)<br>Net Investment<br>Income | (c)<br>Adjusted<br>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<br>Amount | Capital<br>Gains<br>Dividends | (a)<br>Revenue<br>Per Books | (b)<br>Net Invest-<br>ment Income | (c)<br>Adjusted<br>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)<br>Expenses<br>Per Books | (b)<br>Net Invest-<br>ment Income | (c)<br>Adjusted<br>Net Income | (d)<br>Charitable<br>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)<br>Expenses<br>Per Books | (b)<br>Net Invest-<br>ment Income | (c)<br>Adjusted<br>Net Income | (d)<br>Charitable<br>Purposes |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| ADVERTISING                  | 59.                          | 0.                                |                               | 0.                            |
| To Form 990-PF, Pg 1, ln 16c | 59.                          | 0.                                |                               | 0.                            |

## Form 990-PF

## Taxes

## Statement 5

| Description                 | (a)<br>Expenses<br>Per Books | (b)<br>Net Invest-<br>ment Income | (c)<br>Adjusted<br>Net Income | (d)<br>Charitable<br>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)<br>Expenses<br>Per Books | (b)<br>Net Invest-<br>ment Income | (c)<br>Adjusted<br>Net Income | (d)<br>Charitable<br>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<br>Method | Book Value | Fair Market<br>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

**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<br>COMMISSION | PROCEEDS | COST      | REALIZED<br>GAIN/LOSS |
|----------|--|----------------------|----------|-----------|-----------------------|
| 03/14/17 | SOLD 16 SHS 03/09/17<br>TO FOX RIVER<br>@ 138.65                                     | .80                  | 2,217.55 | 1,347.32- | 870.23                |
|          | COMMISSION:<br>SEC FEE/OTHER COST: .05   |                      |          |           |                       |
| 03/14/17 | BERKSHIRE HATHAWAY INC DEL CL B<br>SOLD 4 SHS 03/09/17<br>TO FOX RIVER<br>@ 175.4201 | .20                  | 3,127.77 | 1,869.17- | 1,258.60              |
|          | COMMISSION:<br>SEC FEE/OTHER COST: .02   |                      |          |           |                       |
| 03/14/17 | CAPITAL ONE FINL CORP<br>SOLD 28 SHS 03/09/17<br>TO FIN TECH SECURITIES<br>@ 92.7201 | .02                  | 701.46   | 584.36-   | 117.10                |
|          | COMMISSION:<br>SEC FEE/OTHER COST: .06   |                      |          |           |                       |
| 03/14/17 | TO FIN TECH SECURITIES<br>SOLD 24 SHS 03/09/17<br>TO FOX RIVER<br>@ 34.0549          | 1.40                 | 2,594.71 | 2,310.56- | 284.15                |
|          | COMMISSION:<br>SEC FEE/OTHER COST: .06   |                      |          |           |                       |
| 03/14/17 | CISCO SYSTEMS INC<br>SOLD 24 SHS 03/09/17<br>TO FOX RIVER<br>@ 86.95                 | 1.20                 | 816.10   | 600.48-   | 215.62                |
|          | COMMISSION:<br>SEC FEE/OTHER COST: .02   |                      |          |           |                       |
| 03/14/17 | DANAHER CORP<br>SOLD 8 SHS 03/09/17<br>TO FOX RIVER<br>@ 86.95                       | .40                  | 695.18   | 522.72-   | 172.46                |
|          | COMMISSION:<br>SEC FEE/OTHER COST: .02   |                      |          |           |                       |
| 03/14/17 | DISNEY (WALT) COMPANY HOLDING CO<br>SOLD 5 SHS 03/09/17<br>TO FOX RIVER<br>@ 111.131 | .25                  | 555.39   | 495.75-   | 59.64                 |
|          | COMMISSION:<br>SEC FEE/OTHER COST: .01   |                      |          |           |                       |

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<br>COMMISSION | PROCEEDS  | COST      | REALIZED<br>GAIN/LOSS |
|----------|---|----------------------|-----------|-----------|-----------------------|
| 03/14/17 | ECOLAB INC<br>SOLD 4 SHS 03/09/17<br>TO FOX RIVER<br>@ 123.97               | .20                  | 495.67    | 481.32-   | 14.35                 |
|          | COMMISSION:<br>SEC FEE/OTHER COST:<br>EXXON MOBIL CORP                      | .20<br>01            |           |           |                       |
| 03/14/17 | SOLD 72 SHS 03/09/17<br>TO CONVERGE <sup>X</sup><br>@ 81.27                 | 3.60                 | 5,847.71  | 6,765.30- | 917.59-               |
|          | COMMISSION:<br>SEC FEE/OTHER COST:<br>FIDELITY SMALL CAP DISCOVERY #384     | 3.60<br>.13          |           |           |                       |
| 02/01/17 | SOLD 188.620 SHS 01/31/17<br>@ 31.81  | .00                  | 6,000.00  | 5,588.81- | 411.19                |
| 11/01/16 | SOLD .688 SHS 11/01/16<br>CASH IN LIEU OF FRACTION                          | .00                  | 22.47     | 21.68-    | .79                   |
| 11/08/16 | SOLD 70 SHS 11/03/16<br>TO CONVERGE <sup>X</sup><br>@ 32.1401               | 3.50                 | 2,246.26  | 2,206.05- | 40.21                 |
|          | COMMISSION:<br>SEC FEE/OTHER COST:  | 3.50<br>.05          |           |           |                       |
| 07/14/16 | FORTIVE CORP<br>SOLD .500 SHS 07/14/16<br>CASH IN LIEU OF FRACTION          | 2,268.73             | 2,227.73- | 41.00     |                       |
| 03/14/17 | GILEAD SCIENCES INC<br>SOLD 26 SHS 03/09/17<br>TO ISI GROUP INC.<br>@ 68.54 | 1.30                 | 1,780.70  | 2,817.35- | 1,036.65-             |
|          | COMMISSION:<br>SEC FEE/OTHER COST:  | 1.30<br>.04          |           |           |                       |

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

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PEOPLE'S UNITED BANK AGENT FOR  
THE RICH FOUNDATION

| DATE     | DESCRIPTION  | BROKER<br>COMMISSION | PROCEEDS | COST      | REALIZED<br>GAIN/LOSS |
|----------|--|----------------------|----------|-----------|-----------------------|
| 03/14/17 | JPMORGAN CHASE & CO<br>SOLD 9 SHS 03/09/17<br>TO FIN TECH SECURITIES<br>@ 91.9701                                | .45                  | 827.26   | 553.77-   | 273.49                |
|          | COMMISSION:<br>SEC FEE/OTHER COST:<br>JOHNSON & JOHNSON INC<br>SOLD 6 SHS 03/09/17<br>TO FOX RIVER<br>@ 125.4101 | .45<br>.02           |          |           |                       |
| 03/14/17 | COMMISSION:<br>SEC FEE/OTHER COST:<br>KEYCORP NEW<br>SOLD 57 SHS 03/09/17<br>TO FOX RIVER<br>@ 18.9738           | .30<br>.02           | 752.14   | 612.90-   | 139.24                |
| 03/14/17 | COMMISSION:<br>SEC FEE/OTHER COST:<br>L A M RESH CORP<br>SOLD 76 SHS 11/03/16<br>TO CONVERGE EX<br>@ 95.2104     | 2.85<br>.03          | 1,078.63 | 731.87-   | 346.76                |
| 11/08/16 | COMMISSION:<br>SEC FEE/OTHER COST:<br>MFS VALUE I #893<br>SOLD 136.352 SHS 01/31/17<br>@ 36.67                   | 2.85<br>.03          | 7,232.03 | 5,959.21- | 1,272.82              |
| 02/01/17 | COMMISSION:<br>SEC FEE/OTHER COST:<br>METLIFE INC<br>SOLD 47 SHS 03/09/17<br>TO FIN TECH SECURITIES<br>@ 53.9201 | 3.80<br>.16          |          |           |                       |
| 03/10/17 | COMMISSION:<br>SEC FEE/OTHER COST:   | 0.00                 | 5,000.00 | 4,526.89- | 473.11                |
|          |  | 00                   | 2,000.00 | 1,734.14- | 265.86                |
|          |  |                      | 7,000.00 | 6,261.03- | 738.97                |
| 03/14/17 | METLIFE INC<br>SOLD 47 SHS 03/09/17<br>TO FIN TECH SECURITIES<br>@ 53.9201                                       | 2.35<br>2.35         | 2,531.84 | 2,601.45- | 69.61-                |
|          | COMMISSION:<br>SEC FEE/OTHER COST:   | 2.35<br>.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<br>COMMISSION | PROCEEDS | COST      | REALIZED<br>GAIN/LOSS |
|----------|---|----------------------|----------|-----------|-----------------------|
| 03/14/17 | OCCIDENTAL PETROLEUM CORP<br>SOLD 79 SHS 03/09/17<br>TO CONVERGE <del>X</del><br>@ 61.44<br>COMMISSION:<br>SEC FEE/OTHER COST:<br>.11 | 3.95                 | 4,849.70 | 6,566.55- | 1,716.85-             |
| 03/14/17 | ORACLE CORPORATION<br>SOLD 12 SHS 03/09/17<br>TO FOX RIVER<br>@ 42.37<br>COMMISSION:<br>SEC FEE/OTHER COST:<br>.60                    | .60                  | 507.82   | 473.76-   | 34.06                 |
| 09/21/16 | OPPENHEIMER DEVELOPING MARKETS I<br>#799<br>SOLD 89.874 SHS 09/20/16<br>@ 33.38   | 0.00                 | 3,000.00 | 3,563.68- | 563.68-               |
| 03/28/17 | SOLD 84.435 SHS 03/27/17<br>@ 35.53   | .00                  | 3,000.00 | 3,348.01- | 348.01-               |
|          |   |                      |          |           |                       |
| 03/14/17 | PHILLIPS 66<br>SOLD 39 SHS 03/09/17<br>TO CONVERGE <del>X</del><br>@ 76.98<br>COMMISSION:<br>SEC FEE/OTHER COST:<br>1.95              | 1.95                 | 3,000.20 | 6,911.69- | 911.69-               |
| 03/14/17 | PRICELINE GROUP INC<br>SOLD 1 SHS 03/09/17<br>TO FOX RIVER<br>@ 1748.71<br>COMMISSION:<br>SEC FEE/OTHER COST:<br>.07                  | .05                  | 1,748.62 | 1,198.72- | 549.90                |
| 03/28/17 | PRINCIPAL MIDCAP INSTL #4749<br>SOLD 209.467 SHS 03/27/17<br>@ 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

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PEOPLE'S UNITED BANK AGENT FOR  
THE RICH FOUNDATION

| DATE     | DESCRIPTION  | BROKER<br>COMMISSION   | PROCEEDS   | COST   | REALIZED<br>GAIN/LOSS  |
|----------|--|--|--|--|--|
| 03/14/17 | STARBUCKS CORP<br>SOLD 12 SHS 03/09/17<br>TO FOX RIVER<br>@ 54.88<br>COMMISSION:<br>SEC FEE/OTHER COST:<br>T J X COS INC<br>SOLD 8 SHS 03/09/17<br>TO FOX RIVER<br>@ 78.0701<br>COMMISSION:<br>SEC FEE/OTHER COST:<br>TARGET CORP<br>SOLD 37 SHS 11/03/16<br>TO CONVERGE<br>@ 67.7134<br>COMMISSION:<br>SEC FEE/OTHER COST:<br>THERMO FISHER SCIENTIFIC INC<br>SOLD 1.2 SHS 03/09/17<br>TO FOX RIVER<br>@ 157.7346<br>COMMISSION:<br>SEC FEE/OTHER COST:<br>UNITEDHEALTH GROUP INC<br>SOLD 3 SHS 03/09/17<br>TO FOX RIVER<br>@ 168.47<br>COMMISSION:<br>SEC FEE/OTHER COST:<br>VISA INC CLASS A SHARES<br>SOLD 24 SHS 03/09/17<br>TO ISI GROUP INC.<br>@ 89.33<br>COMMISSION:<br>SEC FEE/OTHER COST: | .60<br>.60<br>.02<br>.40<br>.40<br>.02<br>.02<br>.02<br>.02<br>.06<br>.06<br>.06<br>.04<br>.04<br>.04<br>.01<br>.01<br>.01 | 657.94<br>656.66-<br>624.14<br>482.40-<br>2,503.49<br>1,892.17<br>505.25<br>2,142.67<br>1.20 | 656.66-<br>482.40-<br>3,033.54-<br>1,478.16-<br>1,478.16-<br>2,142.67<br>1,632.61-<br>510.06 | 1.28<br>141.74<br>530.05-<br>414.01<br>239.93<br>265.32-<br>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<br>COMMISSION | PROCEEDS | COST        | REALIZED<br>GAIN/LOSS |
|----------|---|----------------------|----------|-------------|-----------------------|
| 11/08/16 | WELLS FARGO & CO NEW<br>SOLD 137 SHS 11/03/16<br>TO CONVERGEIX<br>@ 45.4911 | 6.85                 | 6,225.29 | 7,079.84-   | 854.55-               |
|          | COMMISSION:<br>SEC FEE/OTHER COST:<br>WISDOMTREE EUROPE HEDGED EQ FUND ETF  | 6.85<br>.14          |          |             |                       |
| 03/14/17 | SOLD 50 SHS 03/09/17<br>TO FOX RIVER<br>@ 60.93                             | 2.50                 | 3,043.93 | 3,340.00-   | 296.07-               |
|          | COMMISSION:<br>SEC FEE/OTHER COST:  | 2.50<br>.07          |          |             |                       |
|          | TOTAL EQUITY<br>POWERSHARES TRUST II ETF<br>SENIOR LN PORT                  | 133,958.72           |          | 140,309.80- | 6,351.08-             |
| 11/08/16 | SOLD 104 SHS 11/03/16<br>TO FOX RIVER<br>@ 23.0701                          | 5.20                 | 2,394.03 | 2,531.35-   | 137.32-               |
|          | COMMISSION:<br>SEC FEE/OTHER COST:<br>SPDR BARCLAYS INT-TERM CORP BOND ETF  | 5.20<br>.06          |          |             |                       |
| 07/11/16 | SOLD 200 SHS 07/06/16<br>TO FOX RIVER<br>@ 34.891                           | 10.00                | 6,968.04 | 6,866.00-   | 102.04                |
|          | COMMISSION:<br>SEC FEE/OTHER COST:<br>SPDR BILMBG BARCLAYS HGH YIELD BD ETF | 10.00<br>.16         |          |             |                       |
| 11/08/16 | SOLD 81 SHS 11/03/16<br>TO CONVERGEIX<br>@ 35.8405                          | 4.05                 | 2,898.97 | 3,245.66-   | 346.69-               |
|          | COMMISSION:<br>SEC FEE/OTHER COST   | 4.05<br>.07          |          |             |                       |

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<br>COMMISSION | PROCEEDS    | COST        | REALIZED<br>GAIN/LOSS |
|----------|---|----------------------|-------------|-------------|-----------------------|
| 07/11/16 | VANGUARD INT-TERM GOVT BOND ETF<br>SOLD 100 SHS 07/06/16<br>@ 67.315<br>COMMISSION.<br>SEC FEE/OTHER COST: .15    | 5.00                 | 6,726.35    | 6,543.50-   | 182.85                |
|          | TOTAL FIXED INCOME<br>CASH EQUIVALENTS  |                      | 18,987.39   | 19,186.51-  | 199.12-               |
| 06/30/17 | DREYFUS GOVT CASH MGMT IS #289<br>SALES (18) 07/01/16 TO 06/30/17<br>FEDERATED INST PRIME OBLIGATIONS<br>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-   |                       |