

efile GRAPHIC print - DO NOT PROCESS		As Filed Data -		DLN: 93491226005248			
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 instructions is at www.irs.gov/form990pf .			OMB No 1545-0052 2016 Open to Public Inspection		
For calendar year 2016, or tax year beginning 10-01-2016, and ending 09-30-2017							
Name of foundation THE WORTHAM FOUNDATION INC				A Employer identification number 74-1334356			
% BARBARA J SNYDER		Room/suite		B Telephone number (see instructions) (713) 526-8849			
Number and street (or P.O. box number if mail is not delivered to street address) 2727 ALLEN PARKWAY STE 1570							
City or town, state or province, country, and ZIP or foreign postal code HOUSTON, TX 770192167				C If exemption application is pending, check here ▶ ☐			
G Check all that apply ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change				D 1. Foreign organizations, check here ▶ ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐			
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation				E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐			
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 241,489,040		J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) (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 ▶ ☐			
Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))				(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc., received (attach schedule)	0				
	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	5,760,932	5,760,932			
	5a	Gross rents					
	b	Net rental income or (loss)					
	6a	Net gain or (loss) from sale of assets not on line 10	7,611,015				
	b	Gross sales price for all assets on line 6a 44,473,080					
	7	Capital gain net income (from Part IV, line 2)		7,611,015			
	8	Net short-term capital gain					
	9	Income modifications					
	10a	Gross sales less returns and allowances					
Operating and Administrative Expenses	b	Less Cost of goods sold					
	c	Gross profit or (loss) (attach schedule)					
	11	Other income (attach schedule)	502,101	502,101			
	12	Total. Add lines 1 through 11	13,874,048	13,874,048			
	13	Compensation of officers, directors, trustees, etc	172,000	68,800		103,200	
	14	Other employee salaries and wages	295,990	183,257		112,733	
	15	Pension plans, employee benefits					
	16a	Legal fees (attach schedule)					
	b	Accounting fees (attach schedule)	168,021	168,021	0	0	
	c	Other professional fees (attach schedule)	699,381	699,381			
	17	Interest					
	18	Taxes (attach schedule) (see instructions)	288,432	32,503		6,821	
	19	Depreciation (attach schedule) and depletion					
	20	Occupancy	84,078	63,059		21,020	
	21	Travel, conferences, and meetings					
	22	Printing and publications					
23	Other expenses (attach schedule)	79,323	41,813		37,510		
24	Total operating and administrative expenses. Add lines 13 through 23	1,787,225	1,256,834	0	281,284		
25	Contributions, gifts, grants paid	8,416,315			8,416,315		
26	Total expenses and disbursements. Add lines 24 and 25	10,203,540	1,256,834	0	8,697,599		
	27	Subtract line 26 from line 12					
	a	Excess of revenue over expenses and disbursements	3,670,508				
	b	Net investment income (if negative, enter -0-)		12,617,214			
	c	Adjusted net income (if negative, enter -0-)					
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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)			
		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value		
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	7,281,525	4,364,031	4,364,031
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____	72,947		
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)	16,827,067	22,060,598	22,244,175
	b	Investments—corporate stock (attach schedule)	160,158,078	162,649,741	184,237,781
	c	Investments—corporate bonds (attach schedule)	31,328,701	30,266,774	30,631,053
	11	Investments—land, buildings, and equipment basis ▶ _____ 225,349 Less accumulated depreciation (attach schedule) ▶ _____ 225,349			12,000
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ 24,412 Less accumulated depreciation (attach schedule) ▶ _____ 24,412			
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	215,668,318	219,341,144	241,489,040	
Liabilities	17	Accounts payable and accrued expenses	-3,587	-1,518	
	18	Grants payable.			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule).			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)	-3,587	-1,518	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds	210,770,845	215,671,905	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	4,901,060	3,670,508	
30	Total net assets or fund balances (see instructions)	215,671,905	219,341,144		
31	Total liabilities and net assets/fund balances (see instructions) .	215,671,905	219,341,144		

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	215,671,905
2	Enter amount from Part I, line 27a	2	3,670,508
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	219,341,144
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6	219,341,144

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e			

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

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	7,611,015
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 { }	3	

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	11,364,574	221,645,341	0 051274
2014	11,359,240	228,909,193	0 049623
2013	13,012,227	236,980,803	0 054908
2012	10,708,662	219,796,888	0 048721
2011	10,313,560	206,799,026	0 049872
2 Total of line 1, column (d)			2 0 254398
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years			3 0 05088
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			4 223,689,648
5 Multiply line 4 by line 3			5 11,381,329
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 126,172
7 Add lines 5 and 6			7 11,507,501
8 Enter qualifying distributions from Part XII, line 4			8 8,697,599

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b	1	252,344
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	
3	Add lines 1 and 2.	3	252,344
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	252,344
6	Credits/Payments		
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a	333,000
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	333,000
8	Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	80,656
11	Enter the amount of line 10 to be Credited to 2017 estimated tax 80,656 Refunded	11	

Part VII-A Statements Regarding Activities

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

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address NONE	13	Yes	
14	The books are in care of BARBARA J SNYDER Telephone no (713) 526-8849			

Located at **2727 ALLEN PKWY 1570 HOUSTON TX** ZIP+4 **770192167**

15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ☐ and enter the amount of tax-exempt interest received or accrued during the year 15			
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR). If "Yes," enter the name of the foreign country ▶	16	Yes	No

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

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

1a	During the year did the foundation (either directly or indirectly)		Yes	No
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? ☐ Organizations relying on a current notice regarding disaster assistance check here. ☐	1b		No
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016? ☐	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions) ☐	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016). ☐	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b		No

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

5a During the year did the foundation pay or incur any amount to (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No (3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No (4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions). ☐ Yes ☒ No (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? ☐ Yes ☒ No Organizations relying on a current notice regarding disaster assistance check here. ▶ ☐ c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No If "Yes," attach the statement required by Regulations section 53.4945–5(d)	5b		
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No If "Yes" to 6b, file Form 8870	6b		No
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No	7b		

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	Title, and average hours per week (b) devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
FRED C BURNS 2727 ALLEN PARKWAY STE 1570 HOUSTON, TX 770192167	SECRETARY TREASURER 5 0	43,000	0	0
BRADY F CARRUTH 2727 ALLEN PARKWAY STE 1570 HOUSTON, TX 770192167	PRESIDENT ASST TREASURER 5 0	43,000	0	0
R W WORTHAM III 2727 ALLEN PARKWAY STE 1570 HOUSTON, TX 770192167	CHAIRMAN ASST TREASURER 5 0	43,000	0	0
THOMAS E SMITH 2727 ALLEN PARKWAY STE 1570 HOUSTON, TX 770192167	TRUSTEE ASST TREASURER 5 0	43,000	0	0
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	Title, and average hours per week (b) devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	Expense account, (e) other allowances
WILLIAM V H CLARKE 2727 ALLEN PKWY HOUSTON, TX 770192167	CONTROLLER 5 0	185,318		
BARBARA J SNYDER 2727 ALLEN PKWY HOUSTON, TX 770192167	GRANTS COORD 36 0	110,672		
Total number of other employees paid over \$50,000. ▶				

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)***3** Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
HIRTLE & CALLAGHAN 300 BARR HARBOR DR STE 500 W CONSHOHOCKEN, PA 19428	INVESTMENT MGMT	305,773
TBM CONSULTING INC 914 MAIN ST 1502 HOUSTON, TX 77002	FINANCIAL REPORTING	48,960
AVALON ADVISORS 2929 ALLEN PKWY STE 3000 HOUSTON, TX 77019	INVESTMENT MGMT	132,840
J P MORGAN CHASE BANK NA 270 PARK AVE NEW YORK, NY 100172014	INVESTMENT MGMT	151,309
VAUGHAN NELSON SCARBROUGH ET AL 6300 CHASE BANK TOWER HOUSTON, TX 77002	INVESTMENT MGMT	63,596

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

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 SEE ATTACHMENT 20	3,300
2	
3	
4	

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities.	1a	216,141,716
b	Average of monthly cash balances.	1b	10,954,373
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	227,096,089
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	227,096,089
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	3,406,441
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4.	5	223,689,648
6	Minimum investment return. Enter 5% of line 5.	6	11,184,482

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	11,184,482
2a	Tax on investment income for 2016 from Part VI, line 5.	2a	252,344
b	Income tax for 2016 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	252,344
3	Distributable amount before adjustments. Subtract line 2c from line 1.	3	10,932,138
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	10,932,138
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	10,932,138

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	8,697,599
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	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4.	4	8,697,599
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions).	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	8,697,599

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				10,932,138
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.			0	
b Total for prior years 2014, 2013, 2012		0		
3 Excess distributions carryover, if any, to 2016				
a From 2011. 113,385				
b From 2012.				
c From 2013. 1,552,183				
d From 2014. 279,061				
e From 2015. 616,039				
f Total of lines 3a through e.	2,560,668			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ 8,697,599				
a Applied to 2015, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2016 distributable amount.				8,697,599
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a))	2,234,539			2,234,539
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	326,129			
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.				
d Subtract line 6c from line 6b Taxable amount—see instructions		0		
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount—see instructions			0	
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions).				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions).				
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	326,129			
10 Analysis of line 9				
a Excess from 2012.				
b Excess from 2013.				
c Excess from 2014.				
d Excess from 2015. 326,129				
e Excess from 2016.				

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

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

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

1 Information Regarding Foundation Managers:
a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000) (See section 507(d)(2)) 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 BARBARA J SNYDER 2727 ALLEN PARKWAY 1570 HOUSTON, TX 770192125 (713) 526-8849
b The form in which applications should be submitted and information and materials they should include APPLICATION FORMS MAY BE OBTAINED BY WRITING OR CALLING BARBARA J SNYDER, 2727 ALLEN PARKWAY STE 1570 HOUSTON TX 77019 TELEPHONE NUMBER 713-526-8849
c Any submission deadlines APPLICATIONS SHOULD BE SUBMITTED BY THE SECOND WEEK OF JANUARY, APRIL, JULY OR OCTOBER IN ORDER TO B
d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors AWARDS ARE GRANTED PRIMARILY FOR CULTURAL ARTS AND CIVIC BEAUTIFICATION PROJECTS WHICH BENEFIT THE CITIZENS OF HOUSTON, HARRIS COUNTY, TEXAS

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i> SEE ATTACHMENT 17 VARIOUS VARIOUS, TX 77001	NONE	PC	OPERATIONAL, CAPITAL AND ENDOWMENT GRANTS TO PUBLIC CHARITABLE ORGANIZATIONS IN THE UNITED STATES	8,416,315
Total ▶ 3a				8,416,315
b <i>Approved for future payment</i> SEE ATTACHMENT 18-1 VARIOUS VARIOUS, TX 77001	NONE	PC	OPERATIONAL, CAPITAL AND ENDOWMENT GRANTS TO PUBLIC CHARITABLE ORGANIZATIONS IN THE UNITED STATES	10,399,001
Total ▶ 3b				10,399,001

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2016)

Part XVII

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

[illegible]

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

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

Print/Type preparer's name DEIDRE A SCINTA CPA	Preparer's Signature	Date	Check if self-employed ☒	PTIN P00524632
Firm's name ► DEIDRE A SCINTA CPA				Firm's EIN ►
Firm's address ► 2727 ALLEN PARKWAY SUITE 1580 HOUSTON, TX 77019				Phone no (713) 526-3012

TY 2016 Accounting Fees Schedule**Name:** THE WORTHAM FOUNDATION INC**EIN:** 74-1334356

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MELTON & MELTON CPAS	19,500	19,500		
DEIDRE SCINTA CPA	3,000	3,000		
TBM CONSULTING INC	49,698	49,698		
BANK OF NEW YORK CUSTODY	95,823	95,823		

TY 2016 Contractor Compensation Explanation**Name:** THE WORTHAM FOUNDATION INC**EIN:** 74-1334356

Contractor	Explanation
HIRTLE CALLAGHAN	INVESTMENT MANAGER - CONTRACT CHIEF INVESTMENT OFFICER
TBM CONSULTING INC	TAX AND ACCOUNTING SERVICES
AVALON ADVISORS	INVESTMENT MANAGER
J P MORGAN CHASE BANK NA	INVESTMENT MANAGER
VAUGHAN NELSON SCARBROUGH ET AL	INVESTMENT MANAGER

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

TY 2016 Depreciation Schedule

Name: THE WORTHAM FOUNDATION INC

EIN: 74-1334356

TY 2016 Investments Corporate Bonds Schedule**Name:** THE WORTHAM FOUNDATION INC**EIN:** 74-1334356

Name of Bond	End of Year Book Value	End of Year Fair Market Value
SEE ATTACHMENT 9	30,266,774	30,631,053

TY 2016 Investments Corporate Stock Schedule**Name:** THE WORTHAM FOUNDATION INC**EIN:** 74-1334356

Name of Stock	End of Year Book Value	End of Year Fair Market Value
SEE ATTACHM 8-39 - 8-47	162,649,741	184,237,781

TY 2016 Investments Government Obligations Schedule**Name:** THE WORTHAM FOUNDATION INC**EIN:** 74-1334356**US Government Securities - End
of Year Book Value:**

22,060,598

**US Government Securities - End
of Year Fair Market Value:**

22,244,175

**State & Local Government
Securities - End of Year Book
Value:****State & Local Government
Securities - End of Year Fair
Market Value:**

TY 2016 Other Expenses Schedule**Name:** THE WORTHAM FOUNDATION INC**EIN:** 74-1334356**Other Expenses Schedule**

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
MAINTENANCE & REPAIR HISTORIC	3,300			3,300
INSURANCE EXPENSE	32,694	17,982		14,712
OFFICE EXPENSE	43,329	23,831		19,498

TY 2016 Other Income Schedule**Name:** THE WORTHAM FOUNDATION INC**EIN:** 74-1334356**Other Income Schedule**

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
ROYALTY INCOME	4,841	4,841	
HIRTLE CALLAGHAN PE FND IV LP	60,077	60,077	
HIRTLE CALLAGHAN PE FND V LP			
HIRTLE CALLAGHAN PE FND VI LP	51,980	51,980	
HIRTLE CALLAGHAN PE FND VII LP	338,431	338,431	
HIRTLE CALLAGHAN PE FND VIII LP	43,406	43,406	
MISCELLANEOUS INCOME	3,366	3,366	

TY 2016 Other Professional Fees Schedule**Name:** THE WORTHAM FOUNDATION INC**EIN:** 74-1334356

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
AVALON ADVISORS	132,840	132,840		
J P MORGAN CHASE BANK NA	151,309	151,309		
HIRTLE & CALLAGHAN INC/BANK OF	305,773	305,773		
VAUGHAN NELSON & CO	63,596	63,596		
BANK OF NEW YORK MELLON	21,311	21,311		
COVENANT TECHNOLOGIES	24,552	24,552		

TY 2016 Taxes Schedule**Name:** THE WORTHAM FOUNDATION INC**EIN:** 74-1334356

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL EXCISE TAX	249,108			
PAYROLL TAXES	17,950	11,129		6,821
AD VALOREM TAXES	672	672		
SEV TAX	56	56		
OTHER TAX	20,646	20,646		

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
 HOUSTON, TX 77019
 FOR THE TAX YEAR ENDED: 09/30/2017
 FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10A
 INVESTMENTS - GOVERNMENT BONDS - ATTACHMENT 7

ALL AMOUNTS ARE AT COST

DESCRIPTION	BEGINNING OF YEAR AMOUNT	END OF YEAR AMOUNT	FMV END OF YEAR AMOUNT
FHLMC POOL - 6.0% - 7/1/17	6,259	0	-
FNMA POOL-3 5%-2/1/26	535,131	406,851	413,032
FNMA POOL-3 5%-8/1/26	296,354	244,064	246,834
FNMA POOL-4%-2/1/41	152,145	118,960	121,640
FNMA POOL-5%-6/1/22	24,132	16,227	17,334
FNMA POOL-5.5%-9/1/17	1,953	0	-
FNMA POOL-6.5%-10/1/31	18,421	17,513	19,842
FNMA POOL-6.5%-11/1/16	52	0	-
USTB - 5 25% - 11/15/2028	846,517	839,897	962,370
USTN- 50%-7/31/17	1 049,010	0	-
USTN- 625%-8/31/17	948,526	0	-
USTN - 2 625% - 11/15/2020	1,153,189	1,429,565	1,441,174
USTN-2%-2/15/23	1,480,131	1,676,016	1,650,908
VANGUARD FIXED INCOME TIPS FND	10,315,248	13,518,021	13,571,624
MEXICO BOND 5.575% 10/12/10	0	20,534	21,328
USTN-2.25% 8/15/27	0	30,316	29,995
USTN-1 5% 8/15/20	0	57,474	57,230
USTN-2 125% 7/31/24	0	33,757	33,452
USTN-1 375% 7/31/19	0	98,813	98,442
USTB-3% 5/15/47	0	36,924	36,220
USTN-2% 2/15/25	0	14,999	14,894
USTB-3% 11/15/44	0	41,628	42,032
USTN-1.625% 8/15/22	0	33,331	33,172
USTN-1 125% 6/30/21	0	58,378	58,124
USTN-1 25% 4/30/19	0	499,117	498,555
USTN-1 375% 2/15/20	0	1,447,725	1,444,171
USTB-3.125% 11/15/41	0	226,726	238,052
USTN-2% 11/15/26	0	1,193,762	1,193,750
TOTAL	16,827,068	22,060,598	22,244,175

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)

HOUSTON, TX 77019

FOR THE TAX YEAR ENDED: 09/30/2017

ATTACHMENT 8-1

FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10b

INVESTMENTS - CORPORATE STOCK

ALL AMOUNTS ARE AT COST	BEGINNING	END	FMV
<u>DESCRIPTION</u>	<u>OF YEAR</u>	<u>OF YEAR</u>	<u>END</u>
	<u>AMOUNT</u>	<u>AMOUNT</u>	<u>OF YEAR</u>
			<u>AMOUNT</u>
H-C GROWTH PORTFOLIO	26,238,072	24,441,348	29,680,579
H-C INTL EQ PORTFOLIO	51,486,990	51,801,155	57,711,499
H-C SSGA FDS EM MKTS PORTFOLIO	16,978,387	17,374,761	18,377,332
H-C VALUE PORTFOLIO	23,475,480	27,183,217	29,475,817
H-C FIXED	-	1,027,743	1,027,743
H-C PRIVATE EQUITY IV LP	621,899	395,633	342,758
H-C PRIVATE EQUITY V LP	1,365,710	1,188,935	1,257,085
H-C PRIVATE EQUITY VI LP	1,834,938	1,585,355	1,797,896
H-C PRIVATE EQUITY VII LP	1,932,664	1,583,785	2,131,923
H-C PRIVATE EQUITY VIII LP	1,138,129	1,041,663	1,500,482
AMERIS BANCORP	9,460	21,083	23,040
BANK OF AMERICA	578,417	475,101	693,885
BARCLAYS PLC	129,497	395,472	369,495
CAPITAL ONE FINL	250,147	-	-
CITIGROUP INC	506,974	95,902	105,691
CITIZENS FINL GP	352,992	413,595	551,387
COMERICA INC	595,989	595,989	995,269
FIRST HORIZON NATL CORP	15,261	-	-
FIRST INTERSTATE BANC SYS	37,712	100,045	113,105
KEYCORP	251,939	217,773	229,792
LLOYDS BANKING GRP	-	13,733	14,333
M & T	21,251	-	-
MORGAN STANLEY	263,711	14,758	28,420
PACWEST BANCORP	129,298	88,920	111,173
PNC FINANCIAL SVC	15,980	-	-
REGIONS FINANCIAL	255,151	607,443	794,580
SUMITOMO	103,634	-	-
SUNTRUST BANKS	220,898	183,220	204,593
UBS	59,256	12,722	13,188
FIFTH THIRD BANCORP	-	359,852	375,212
CENTERSTATE BANKS	-	25,968	28,033
TRICO BANCSHARES	-	33,107	42,625
DNB ASA-SPONSOR ADR	-	25,857	28,678
SEACOAST BANKING	-	27,032	27,330
FNB CORP	-	225,798	224,045
TCF FINANCIAL CORP	-	286,029	285,795
BANCORPSOUTH INC	-	137,673	141,949
FCB FINANCIAL HOLDINGS	-	131,271	135,240
GOLDMAN SACHS	-	13,937	14,231
ZIONS BANCORP	-	12,054	14,107

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)

HOUSTON, TX 77019

FOR THE TAX YEAR ENDED: 09/30/2017

ATTACHMENT 8-1

FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10b

INVESTMENTS - CORPORATE STOCK

ALL AMOUNTS ARE AT COST				
	<u>DESCRIPTION</u>	<u>BEGINNING OF YEAR AMOUNT</u>	<u>END OF YEAR AMOUNT</u>	<u>FMV END OF YEAR AMOUNT</u>
	BNP PARIBAS	139,674	104,270	115,630
	ABB LTD	88,316	88,316	107,044
	ADVANCED SEMICONDUCTOR	-	64,284	63,716
	ALLIANZ	118,684	118,684	153,148
	ASTRAZENECA PLC	40,212	40,212	52,853
	BAE SYSTEMS	116,402	116,402	133,688
	BAYER	68,917	-	-
	BCE INC	114,346	74,519	75,865
	BHP	49,806	-	-
	BOC HONG KONG	47,598	38,855	57,936
	BRIT AM TOBACCO	107,536	107,536	130,521
	CNOOC, LTD	87,094	-	-
	DAIMLER AG UNSP	-	68,827	68,998
	DEUTSCH POST	7,877	-	-
	DEUTSCHE TELEKOM	117,040	56,507	68,109
	DIAGEO	72,826	72,826	91,830
	ENGIE	79,347	95,319	83,117
	GLAXOSMITHKLINE	120,502	120,502	97,440
	HONDA MOTOR	74,572	52,586	45,818
	HSBC HOLDINGS	102,984	137,236	135,630
	IMPERIAL TOBACCO	86,652	60,373	69,232
	ING GROEP N.V.	-	89,151	113,651
	JAPAN TOBACCO	106,145	106,145	101,618
	MANULIFE FIN CORP	59,058	66,245	82,377
	MICHELIN	118,902	91,671	129,511
	MMC NORILSK NICKEL	-	58,063	60,114
	MUENCHENER	99,788	64,220	69,485
	NESTLE SA	113,214	110,126	134,836
	NIPPON TEL & TEL	69,705	59,695	103,099
	NN GROUP NV	-	77,192	82,919

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)

HOUSTON, TX 77019

FOR THE TAX YEAR ENDED: 09/30/2017

ATTACHMENT 8-1

FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10b

INVESTMENTS - CORPORATE STOCK

ALL AMOUNTS ARE AT COST				
	<u>DESCRIPTION</u>	<u>BEGINNING OF YEAR AMOUNT</u>	<u>END OF YEAR AMOUNT</u>	<u>FMV END OF YEAR AMOUNT</u>
	NOVARTIS	159,861	159,861	181,144
	ORKLA	69,615	54,598	66,388
	PROSIEBEN	95,304	116,114	90,950
	ROCHE	99,705	99,705	96,640
	ROYAL DUTCH SHELL	69,084	103,418	100,689
	SANOFI	100,067	76,507	75,183
	SIEMENS	130,272	130,272	149,990
	SINGAPORE TELECOM	98,554	59,559	53,127
	SMITHS GP	66,511	66,511	63,646
	SMURFIT KAPPA GROUP	-	122,326	142,630
	SONIC HEALTHCARE	71,949	71,949	94,946
	SSE PLC	110,905	80,883	61,021
	STATOIL	42,688	-	-
	TELEFONICA	80,751	80,751	89,734
	TELEKOMUNIKASI	26,706	26,706	45,276
	TOTAL SA	137,475	137,475	132,997
	UBS GROUP AG	102,743	102,743	97,498
	UNILEVER	149,953	84,042	131,364
	UNITED OVERSEAS BANK	91,218	91,218	100,050
	VERMILION	60,761	86,683	89,484
	VODAFONE GP	120,258	105,274	45,991
	ZURICH INS GP	44,802	96,806	113,841
	ABBVIE	21,740	-	-
	ACCENTURE	66,131	59,716	94,954
	ACE LTD	100,699	-	-
	AIR PRODUCTS & CHEM	-	124,194	128,839
	ALTRIA GP	196,259	215,049	250,002
	ANALOG DEVICES	53,434	62,913	109,091
	APPLE INC	-	133,600	139,016
	ARTHUR J. GALLAGHER	62,348	69,970	95,464

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017
FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10b
INVESTMENTS - CORPORATE STOCK

ALL AMOUNTS ARE AT COST		BEGINNING	END	FMV
	<u>DESCRIPTION</u>	<u>OF YEAR</u>	<u>OF YEAR</u>	<u>END</u>
		<u>AMOUNT</u>	<u>AMOUNT</u>	<u>OF YEAR</u>
				<u>AMOUNT</u>
	AUTOMATIC DATA	77,414	76,166	115,551
	BB & T CORP	125,464	159,131	188,652
	BANK OF AMERICA	154,840	227,022	359,347
	BRISTOL MYERS SQUIBB	84,419	93,551	115,051
	CHEVRON	136,314	240,651	259,558
	CHUBB LTD	-	114,477	149,392
	CINCINNATI FIN	61,058	69,312	107,351
	CINEMARK HLDGS	30,649	-	-
	CME GROUP	134,651	181,045	297,818
	CMS ENERGY	74,373	85,953	128,167
	COCA COLA	44,072	61,756	66,488
	COCA COLA ENTERPRISES	53,380	53,380	57,470
	COMCAST CORP	51,770	74,172	90,813
	CONOCOPHILLIPS	176,573	290,092	288,188
	CULLEN FROST BANKERS	21,881	-	-
	DR PEPPER SNAPPLE GR	67,301	150,682	155,707
	DTE ENERGY	16,076	19,232	29,739
	EDISON INTL	80,406	112,665	141,838
	ELI LILLY	171,885	127,754	134,127
	EXXON MOBIL	249,404	206,778	188,882
	FIDELITY NATL	79,303	91,471	166,888
	GENERAL DYNAMICS	-	115,587	121,292
	GILEAD	42,408	45,828	44,075
	HOME DEPOT	122,432	136,212	224,895
	HONEYWELL INTL	172,141	142,288	196,593
	ILLINOIS TOOL WORKS	133,658	131,593	232,297
	JOHNSON & JOHNSON	187,124	233,707	320,865
	KIMBERLY CLARK	77,581	-	-
	KLA-TENCOR	66,959	78,455	124,550
	L BRANDS	128,399	-	-

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)

HOUSTON, TX 77019

FOR THE TAX YEAR ENDED: 09/30/2017

ATTACHMENT 8-1

FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10b

INVESTMENTS - CORPORATE STOCK

ALL AMOUNTS ARE AT COST				
	<u>DESCRIPTION</u>	<u>BEGINNING OF YEAR AMOUNT</u>	<u>END OF YEAR AMOUNT</u>	<u>FMV END OF YEAR AMOUNT</u>
	M & T BANK	84,699	94,741	131,409
	MERCK & CO	221,685	276,210	349,476
	METLIFE INC	190,762	-	-
	MICROSOFT CORP	188,331	270,077	429,360
	MONDELEZ	123,889	125,290	147,230
	NISOURCE	33,031	39,817	84,166
	NORTHERN TR	94,463	128,555	190,571
	OCCIDENTAL PET	262,630	327,808	258,895
	PEPSICO INC	54,618	130,750	139,510
	PFIZER	231,023	287,740	344,291
	PNC FINANCIAL	138,851	190,479	306,871
	PPG INDUSTRIES	68,857	170,247	190,372
	PROCTOR & GAMBLE	130,029	48,056	52,404
	PRUDENTIAL FINANCIAL	-	229,783	219,444
	REPUBLIC SERVICES	-	84,712	101,402
	SNAP-ON, INC.	38,964	27,024	37,849
	T ROWE PRICE	134,524	146,439	181,753
	TEXAS INSTRUMENTS	102,827	141,497	259,060
	TIME WARNER	83,251	28,928	39,134
	TIME WARNER CABLE	16,586	16,586	22,438
	TRAVELERS	201,191	227,454	305,687
	US BANCORP	209,482	260,612	319,557
	V F CORP	117,956	-	-
	VALIDUS	15,394	17,938	22,538
	VERIZON	175,425	238,125	245,817
	WELLS FARGO & CO	240,597	239,886	296,707
	3M CO	132,679	79,671	118,384
	XCEL	72,259	81,757	110,540
	ABBVIE, INC.	112,239	179,444	313,054
	ALLSTATE CORP	28,818	-	-

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)

HOUSTON, TX 77019

FOR THE TAX YEAR ENDED: 09/30/2017

ATTACHMENT 8-1

FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10b

INVESTMENTS - CORPORATE STOCK

ALL AMOUNTS ARE AT COST	BEGINNING OF YEAR AMOUNT	END OF YEAR AMOUNT	FMV END OF YEAR AMOUNT
<u>DESCRIPTION</u>			
ALTRIA GROUP, INC.	250,917	246,583	405,064
AMGEN	128,933	218,699	264,945
AT&T	437,831	579,896	591,193
BANK OF AMERICA 6.625%	41,927	60,113	62,184
B B & T	143,721	192,481	222,683
BOEING CO	278,643	431,406	744,327
CAPITAL ONE FINL 6.25%	41,163	59,409	62,192
CENTERPOINT ENERGY	238,628	330,231	383,615
CHEVRON	303,017	414,159	425,938
CINCINNATI FINL CORP	116,030	215,884	266,617
CISCO SYSTEMS	286,889	502,780	600,363
CMS ENERGY	157,933	240,329	291,770
CROWN CASTLE	185,042	-	-
COCA COLA, INC.	260,641	545,645	564,830
CROWN CASTLE	-	264,727	286,043
CYPRESS SEMICONDUCTOR	-	203,163	222,401
DIGITAL REALTY	-	205,626	225,300
DOMINION RES	200,933	300,373	344,493
DOW CHEMICAL	164,944	364,859	437,118
DUKE ENERGY	306,754	423,969	463,742
EPR	92,857	167,454	193,250
EXXON MOBIL	397,627	606,166	603,045
GEN ELEC	311,368	436,408	441,261
GENERAL MILLS	111,655	-	-
GENERAL PARTS	-	223,792	235,108
GILEAD SCIENCES	-	211,071	249,218
GLAXOSMITHKLINE	262,803	204,744	204,096
HOST HOTELS	-	249,524	257,029
IBM	138,242	-	-
INTEL CORP	161,962	264,915	377,182

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)

HOUSTON, TX 77019

FOR THE TAX YEAR ENDED: 09/30/2017

ATTACHMENT 8-1

FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10b

INVESTMENTS - CORPORATE STOCK

ALL AMOUNTS ARE AT COST	BEGINNING	END	FMV
<u>DESCRIPTION</u>	<u>OF YEAR</u>	<u>OF YEAR</u>	<u>END</u>
	<u>AMOUNT</u>	<u>AMOUNT</u>	<u>OF YEAR</u>
			<u>AMOUNT</u>
INT'L PAPER	161,521	353,097	415,525
INVESCO LTD	-	248,722	264,096
IRON MOUNTAIN INC	-	222,685	233,128
ISHARES IBOXX HIGH YIELD	190,120	262,769	251,280
ISHARES IBOXX ISHARES IBOXX INV	151,450	213,015	214,941
ISHARES IBOXX PFD STOCK INDEX F	280,352	427,933	416,004
ISHARES TR MBS ETF	-	42,573	
JOHNSON & JOHNSON	104,472	165,452	224,267
JP MORGAN 1/400 PFD SER O 5.5%	28,635	-	-
JP MORGAN CHASE	174,588	-	-
KIMBERLY CLARK CORP	121,071	185,884	199,703
LAMAR ADVERTISING CO	222,145	329,791	356,356
LAS VEGAS SANDS CORP		204,025	231,361
LILY, ELI & CO	-	172,481	207,520
LOCKHEED MARTIN CORP	164,122	260,475	483,432
LYONDELLBASELL INDUSTRIES	-	212,060	222,169
MACQUARIE INFRASTRUCTURE CORP	146,726	228,133	205,352
MATTEL	173,362	-	-
MAXIM INTEGRATED	118,000	188,542	269,371
McDONALD'S	173,754	195,708	265,416
MERCK & CO	207,174	311,957	366,060
METLIFE INC	-	187,684	224,320
MICROSOFT CORP	226,910	284,703	418,783
MID-AMERICA	126,415	-	-
NATIONAL RETAIL	138,994	-	-
OCCIDENTAL PET	185,349	212,445	220,305
PAYCHEX INC	135,439	209,157	254,290
PEOPLES UTD FINL INC	143,769	212,903	242,949
PEPSICO INC	297,306	442,692	490,069
PFIZER, INC	359,505	591,340	654,952

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017 **ATTACHMENT 8-1**
FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10b
INVESTMENTS - CORPORATE STOCK

ALL AMOUNTS ARE AT COST	BEGINNING OF YEAR <u>AMOUNT</u>	END OF YEAR <u>AMOUNT</u>	FMV END OF YEAR <u>AMOUNT</u>
<u>DESCRIPTION</u>			
PHILIP MORRIS INTL	345,384	510,783	578,584
PIMCO ETF TR	-	26,180	
PROCTOR & GAMBLE	259,909	625,105	667,793
REYNOLDS AMERICAN, INC.	151,619	-	-
ROYAL DUTCH SHELL	123,350	180,529	219,891
SIMON PTTY GP	170,361	268,084	249,082
SOUTHERN CO	276,289	325,013	308,697
TUPPERWARE	141,623	236,351	224,283
UPS	123,057	245,330	287,135
VALERO ENERGY	-	259,628	293,488
VERIZON	421,382	547,465	536,670
WALMART	188,107	360,744	398,123
WEINGARTEN	126,405	-	-
WELLS FARGO & CO	146,420	228,783	283,250
WILLIAMS COS., INC.	-	-	-
ADAMS	238,447	-	-
ABERDEEN	303,706	-	-
ALLIANCE	615,285	-	-
EDINGBURGH DRAGON	501,025	-	-
EDINGBURGH WW	402,255	-	-
FIDELITY NATL	321,895	-	-
HENDERSON	418,943	-	-
JPMORGAN JAP	264,252	-	-
JAPAN SMALLER	207,922	-	-
MONKS	629,497	-	-
MONTANARO	306,372	-	-
NEUBERGER	658,964	-	-
POLAR	269,270	-	-
WITAN	550,927	-	-
ALLIANZ	215,442	-	-

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017 ATTACHMENT 8-1
FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10b
INVESTMENTS - CORPORATE STOCK

ALL AMOUNTS ARE AT COST				FMV
		BEGINNING	END	END
		OF YEAR	OF YEAR	OF YEAR
<u>DESCRIPTION</u>		<u>AMOUNT</u>	<u>AMOUNT</u>	<u>AMOUNT</u>
BLACKROCK MS		500,171	-	-
BLACKSTONE GSO		300,241	-	-
BLACKROCK DEBT		412,913	-	-
LEGG MASON		194,562	-	-
NUVEEN		328,474	-	-
PIMCO		290,008	-	-
WA/CLAY		280,044	-	-
NEXPOINT		376,497	-	-
CENTRAL FUND CANADA		211,600	-	-
			-	-
TOTALS		160,158,078	162,649,741	<u>184,371,781</u>

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017

FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10c
INVESTMENTS - CORPORATE BONDS - ATTACHMENT 9

ALL AMOUNTS ARE AT COST

DESCRIPTION	BEGINNING OF YEAR AMOUNT	END OF YEAR AMOUNT	FMV END OF YEAR AMOUNT
AIG-4 125% 2/15/24	268,298	294,325	292,034
AIG LIFE (SUNAM)-6.625%-2/15/29	651,184	645,372	669,471
ALLEGHANY CORP-4.95%-6/27/22	214,502	212,460	219,486
ALLEGHANY CORP-5.625%-9/15/20	538,504	0	0
AMGEN-3.125%-5/1/25	587,678	588,541	604,332
CAMDEN PROPERTY TRUST-2.95%-12/	444,181	444,917	449,568
CAMDEN PROPERTY TRUST-5.7%-5/15/17	659,322	0	0
CHEVRON CORP-2.356%-12/05/22	599,085	601,124	615,787
CHUBB INA HOLDINGS-5.625%-9/15/2020	848,898	0	0
CIMAREX ENERGY-4.375%	789,378	0	0
ENTERPRISE PRODUCTS-6.3%-9/15	521,793	0	0
GEN ELEC CO-5.3%-2/11/21	901,444	890,202	934,652
GOLDMAN SACHS-6.125%-2/15/33	444,903	440,983	439,554
HSBC USA INC-9.125%-5/15/21	729,963	711,637	790,542
IBM CORP-6.22%-08/01/2027	454,954	447,949	438,368
J P MORGAN CHASE-4.95%-3/25/20	539,258	0	0
NATIONAL CITY CORP - 6 875% - 05/15/19	766,839	759,628	807,075
OCCIDENTAL PET - 9.25% - 8/1/19	866,674	845,464	927,803
PHARMACIA CORP-6.6%-12/01/28	968,765	950,797	978,900
RANGE RESOURCES-6%-8/15/22	583,357	585,263	596,250
TRANSATLANTIC HOLDINGS-8%-11/30/39	210,497	209,177	203,531
TRANS CANADA PIPELINES -9.875%	750,000	750,000	915,518
UNITEDHEALTH-2 875%-3/15/23	507,427	506,349	509,840
WELLS FARGO - 3 5% - 3/8/22	762,989	760,730	778,973
H-C HI YIELD BND PORTFOLIO	16,718,809	15,947,799	15,514,763
HESS 4.3% 4/1/27	0	770,354	769,163
BP CAP 2.75% 5/10/23	0	647,462	652,178
JP MORGAN 2 972% 1/15/23	0	902,182	913,977
CHUBB 8.875%	0	840,190	1,098,255
DIAMOND OFFSHORE 5.7% 10/15/39	0	9,855	9,870
REGENCY 5.5% 4/15/23	0	19,938	19,551
JP MORGAN 1.65622% 3/9/21	0	11,046	11,007
WELLS FARGO 2.55805% 3/4/21	0	10,302	10,311
ROYAL BK CANADA 1.605% 1/10/19	0	10,069	10,042
REGIONS FINL 3.2% 2/8/21	0	10,391	10,219
MORGAN STANLEY 1.98178% 2/14/20	0	10,053	10,051
GOLDMAN SACHS 2.35178% 11/15/21	0	10,117	10,137
CITIGROUP 2.53222% 3/30/21	0	10,283	10,245
BANK OF MONTREAL 2.1% 12/12/19	0	10,146	10,045
ALLSTATE CORP 1.20113% 5/15/67	0	19,901	19,700
ATWOOD OCEANICS 6.5% 2/1/20	0	49,086	48,694

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017

FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 10c
INVESTMENTS - CORPORATE BONDS - ATTACHMENT 9

ALL AMOUNTS ARE AT COST			
DESCRIPTION	BEGINNING OF YEAR AMOUNT	END OF YEAR AMOUNT	FMV END OF YEAR AMOUNT
HUNTINGTON BANCS 3.15% 3/14/21	0	10,337	10,253
ROYAL BANK CANADA 4.65% 1/27/26	0	10,904	10,707
WELLS FARGO 3% 10/23/26	0	11,572	11,734
WALGREENS BOOTS 2.7% 11/18/29	0	12,416	12,164
VERIZON 4.4% 11/1/34	0	10,549	11,007
THERMO FISHER 3 15% 1/15/23	0	5,159	5,089
MICROSOFT 3.7% 8/8/46	0	12,574	13,110
MDC HLDGS 6% 1/15/43	0	11,248	11,493
LEXMARK VARIABLE 3/15/20	0	14,679	14,599
GOLDMAN SACHS 3.5% 11/16/26	0	9,126	9,024
FEDEX CORP 3 2% 2/1/25	0	12,281	12,219
EXELON 3.4% 3/15/22	0	13,438	13,316
ENTERPRISE - FLOATING 1/15/68	0	18,185	17,170
ENSCO 5 75% 10/1/44	0	10,985	10,763
EMC 1.875% 6/1/18	0	26,091	25,897
DUKE ENERGY 3.75% 4/15/24	0	5,230	5,230
DU PONT 4.625% 1/15/2020	0	11,991	11,656
CITIGROUP 4 45% 9/29/27	0	14,479	14,778
CIMAREX 3 9% 5/15/27	0	16,224	16,290
CENTURYLINK INC 5 625% 4/1/25	0	26,738	25,853
BANK NOVA SCOTIA 4 5% 12/16/25	0	9,774	9,484
BANK AMERICA CORP 3.875% 8/1/25	0	11,451	11,523
ANHEUSER-BUSCH 3.7% 2/1/24	0	9,533	9,448
AMAZON 2.6% 12/5/19	0	11,412	11,206
ACTIVIS FUNDING 3.8% 3/15/25	0	9,257	9,347
ABBVIE INC 4.4%	0	17,049	17,802
TOTAL	31,328,702	30,266,774	30,631,053

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017
FORM 990PF SUPPORTING SCHEDULE - PART XV, LINE 3a
SUPPLEMENTARY INFORMATION

ATTACHMENT 17

RECIPIENT	RELATIONSHIP	FDN STATUS	PURPOSE	AMOUNT
ALLEY THEATRE 615 TEXAS AVE, HOUSTON, TX 77002	NONE	PUBLIC	GENERAL OPERATIONS	150,000
AFTER DINNER PLAYERS 2710 W ALABAMA HOUSTON TX 77098	NONE	PUBLIC	CAPITAL FUNDING	250,000
BARD COLLEGE ANNANDALE ON HUDSON, NY 12504	NONE	PUBLIC	GENERAL OPERATIONS	10,000
BUFFALO BAYOU PARTNERSHIP 1113 VINE STREET #215 HOUSTON TX 77002	NONE	PUBLIC	GENERAL OPERATIONS	25,000
BUFFALO BAYOU PARTNERSHIP 1019 COMMERCE STREET #200 HOUSTON TX 77002	NONE	PUBLIC	CAPITAL FUNDING	700,000
CHILDREN'S MUSEUM 1500 BINZ, HOUSTON, TX 77004-7112	NONE	PUBLIC	GENERAL OPERATIONS	150,000
CLASSICAL THEATRE COMPANY 4617 MONTROSE BLVD., HOUSTON, TX 77006	NONE	PUBLIC	GENERAL OPERATIONS	10,000
CONTEMPORARY ARTS MUSEUM 5216 MONTROSE BLVD HOUSTON TX 77006-6598	NONE	PUBLIC	GENERAL OPERATIONS	70,000
DA CAMERA SOCIETY 3912 MANDELL, HOUSTON, TX 77006	NONE	PUBLIC	GENERAL OPERATIONS	150,000
DIVERSE WORKS 1117 E FWY, HOUSTON TX 77002-1118	NONE	PUBLIC	GENERAL OPERATIONS	10,000
1894 INC (1894 GRAND OPERA HOUSE) 2020 POST OFFICE GALVESTON TX 77550	NONE	PUBLIC	GENERAL OPERATORS	50,000
ENSEMBLE THEATRE P O BOX 131095 HOUSTON TX 77219-1095	NONE	PUBLIC	GENERAL OPERATIONS	10,000
FRIENDS OF THE TX HISTORICAL COMMISSION P. O. BOX 13497 AUSTIN TX 78711	NONE	PUBLIC	CAPITAL	50,000
GALVESTON HISTORICAL FOUNDATION	NONE	PUBLIC	CAPITAL	35,000

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017
FORM 990PF SUPPORTING SCHEDULE - PART XV, LINE 3a
SUPPLEMENTARY INFORMATION

ATTACHMENT 17

RECIPIENT RELATIONSHIP FDN STATUS PURPOSE AMOUNT				
502 20TH ST GALVESTON TX 77550				
HARRIS COUNTY HERITAGE SOCIETY 1100 BAGBY HOUSTON TX 77002	NONE	PUBLIC	GENERAL OPERATIONS	30,000
HERMANN PARK CONSERVANCY 6201-A HERMANN PARK DR HOUSTON TX 77030	NONE	PUBLIC	CAPITAL	250,000
HITS THEATRE 311 W 18TH STREET HOUSTON TX 77008	NONE	PUBLIC	OPERATIONS	20,000
HOUSTON BALLET 601 PRESTON HOUSTON TX 77002	NONE	PUBLIC	GENERAL OPERATIONS	400,000
HOUSTON CENTER FOR CONTEMPORARY CRAFT 4848 MAIN ST HOUSTON TX 77002	NONE	PUBLIC	GENERAL OPERATIONS	55,000
HOUSTON CENTER FOR PHOTOGRAPHY 1441 W ALABAMA HOUSTON TX 77006-4103	NONE	PUBLIC	GENERAL OPERATIONS	10,000
HOUSTON CHILDREN'S CHORUS P O B 66567 HOUSTON TX 77166-6567	NONE	PUBLIC	GENERAL OPERATIONS	15,000
HOUSTON GOLF ASSOCIATION 5810 WILSON RD #112 HOUSTON TX 77396	NONE	PUBLIC	CAPITAL	1,000,000
HOUSTON GRAND OPERA 510 PRESTON, HOUSTON, TX 77002-1594	NONE	PUBLIC	GENERAL OPERATIONS	850,000
HOUSTON GRAND OPERA 510 PRESTON, HOUSTON, TX 77002-1594	NONE	PUBLIC	SEEKING HUMAN SPIRIT	400,000
HOUSTON PUBLIC MEDIA FOUNDATION 4343 ELGIN, HOUSTON TX 77204-0008	NONE	PUBLIC	GENERAL OPERATIONS	100,000
HOUSTON SHAKESPEARE FESTIVAL UNIVERSITY OF HOUSTON-THEATRE & DANCE 3351 CULLEN BLVD., ROOM 133, HOUSTON, TX 77204-4016	NONE	PUBLIC	GENERAL OPERATIONS	10,000
HOUSTON SYMPHONY SOCIETY	NONE	PUBLIC	GENERAL OPERATIONS	1,000,000

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017
FORM 990PF SUPPORTING SCHEDULE - PART XV, LINE 3a
SUPPLEMENTARY INFORMATION

ATTACHMENT 17

RECIPIENT	RELATIONSHIP	FDN STATUS	PURPOSE	AMOUNT
615 LOUISIANA, HOUSTON, TX 77002-2798				
LAWNDALE ART CENTER 4912 MAIN STREET, HOUSTON, TX 77002	NONE	PUBLIC	CAPITAL	10,000
MAIN STREET THEATRE 2540 TIMES BLVD HOUSTON TX 77005	NONE	PUBLIC	GENERAL OPERATIONS	15,000
MEMORIAL PARK CONSERVANCY 1575 NORTH PICNIC LANE HOUSTON TX 77007	NONE	PUBLIC	CAPITAL	500,000
MENIL COLLECTION 1515 BRANARD HOUSTON TX 77006	NONE	PUBLIC	GENERAL OPERATIONS	200,000
MENIL COLLECTION 1515 BRANARD HOUSTON TX 77006	NONE	PUBLIC	CAPITAL	150,000
MUSEUM OF FINE ARTS - HOUSTON 1001 BISSONNET, HOUSTON, TX 77005	NONE	PUBLIC	ICAA & LATIN AMER. ART	50,000
MUSEUM OF HEALTH & MEDICAL SCIENCE 1515 HERMANN DR HOUSTON TX 77004-7126	NONE	PUBLIC	GENERAL OPERATIONS	75,000
MUSEUM OF PRINTING HISTORY 1324 CLAY STREET HOUSTON TX 77019	NONE	PUBLIC	GENERAL OPERATIONS	35,000
MUSIC IN CONTEXT P O BOX 20129, HOUSTON TX 77025-0129	NONE	PUBLIC	GENERAL OPERATIONS	25,000
OPERA IN THE HEIGHTS 1703 HEIGHTS BLVD HOUSTON TX 77008	NONE	PUBLIC	GENERAL OPERATIONS	15,000
RIVER OAKS CHAMBER ORCHESTRA 1973 W GEAY #3 HOUSTON TX 77019	NONE	PUBLIC	GENERAL OPERATIONS	15,000
RONALD MCDONALD HOUSE-HOUSTON 1907 HOLCOMBE BLVD HOUSTON TX 77030	NONE	PUBLIC	CAPITAL	100,000
ROSENBERG LIBRARY 2310 SEALY AVE GALVESTON TX 77550-2296	NONE	PUBLIC	CAPITAL	100,000

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017
ATTACHMENT 17
FORM 990PF SUPPORTING SCHEDULE - PART XV, LINE 3a
SUPPLEMENTARY INFORMATION

<u>RECIPIENT</u>	<u>RELATIONSHIP</u>	<u>FDN</u> <u>STATUS</u>	<u>PURPOSE</u>	<u>AMOUNT</u>
SOCIETY FOR THE PERFORMING ARTS 615 LOUISIANA, HOUSTON TX 77002-2796	NONE	PUBLIC	GENERAL OPERATIONS	150,000
SOUTH MAIN ALLIANCE P. O. BOX 273122 HOUSTON TX 77277	NONE	PUBLIC	CAPITAL	100,000
SPARK P O BOX 1562, HOUSTON TX 77251	NONE	PUBLIC	GENERAL OPERATIONS	40,000
ST. GEORGE'S SCHOOL 372 PURGATORY RD., MIDDLETON, RI 02842	NONE	PUBLIC	GENERAL OPERATIONS	15,000
ST. LUKES UNITED METHODIST CHURCH 3471 WESTHEIMER RD., HOUSTON, TX 77027	NONE	PUBLIC	CAPITAL	25,000
STAGES, INC 3201 ALLEN PKWY #101, HOUSTON, TX 77019	NONE	PUBLIC	GENERAL OPERATIONS	90,000
STUDENT CONSERVATION ASSN INC 1800 N KENT ARLINGTON VA 22209	NONE	PUBLIC	GENERAL OPERATIONS	10,000
TEXAN-FRENCH ALLIANCE FOR THE ARTS 777 POST OAK BLVD #600 HOUSTON TX 77056	NONE	PUBLIC	GENERAL OPERATIONS	10,000
TEXAS A & M FOUNDATION 401 GEORGE BUSH DR., COLLEGE STATION, TX 77840	NONE	PUBLIC	IKE DIKE	26,315
THEATRE UNDER THE STARS 2600 SW FREEWAY #600 HOUSTON TX 77098	NONE	PUBLIC	CAPITAL	500,000
THEATRE UNDER THE STARS 2600 SW FREEWAY #600 HOUSTON TX 77098	NONE	PUBLIC	GENERAL OPERATIONS	175,000
TREES FOR HOUSTON 3100 WESLAYAN #305, HOUSTON TX 77027	NONE	PUBLIC	GENERAL OPERATIONS	65,000
UNITED WAY OF GREATER HOUSTON 50 WAUGH DR HOUSTON TX 77007	NONE	PUBLIC	GENERAL OPERATIONS	50,000

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017 ATTACHMENT 17
FORM 990PF SUPPORTING SCHEDULE - PART XV, LINE 3a
SUPPLEMENTARY INFORMATION

<u>RECIPIENT</u>	<u>RELATIONSHIP</u>	<u>FDN</u> <u>STATUS</u>	<u>PURPOSE</u>	<u>AMOUNT</u>
WOODLANDS CENTER FOR THE PERFORMING ARTS, 2005 LAKE ROBBINS DR, THE WOODLANDS, TX 77380	NONE	PUBLIC	GENERAL OPERATIONS	50,000
YOUNG AUDIENCES OF HOUSTON 2515 W MAIN, #500, HOUSTON, TX 77098	NONE	PUBLIC	GENERAL OPERATIONS	<u>10,000</u>
TOTAL CONTRIBUTIONS PAID				<u><u>8,416,315</u></u>

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017 ATTACHMENT 18-1
FORM 990PF SUPPORTING SCHEDULE - PART XV, LINE 3b
SUPPLEMENTARY INFORMATION

<u>RECIPIENT</u>	<u>RELATIONSHIP</u>	<u>STATUS</u>	<u>PURPOSE</u>	<u>AMOUNT</u>
HOUSTON ARBORETUM & NATURE CENTER 4501 WOODWAY DR HOUSTON TX 77024	NONE	PUBLIC	CAPITAL	250,000
HOUSTON BOTANIC GARDEN 3701 KIRBY DRIVE #992 HOUSTON TX 77098	NONE	PUBLIC	CAPITAL	2,000,000
HOUSTON GOLF ASSOCIATION 510 PRESTON, HOUSTON, TX 77002-1594	NONE	PUBLIC	CAPITAL	2,000,000
HOUSTON PARKS BOARD 300 N POST OAK LN HOUSTON TX 77024	NONE	PUBLIC	CAPITAL	400,000
HOUSTON SPCA 900 PORTWAY DR HOUSTON TX 77024	NONE	PUBLIC	CAPITAL	250,000
MEMORIAL PARK CONSERVANCY 7575 N. PICNIC LN, HOUSTON, TX 77007	NONE	PUBLIC	CAPITAL	2,500,000
MUSEUM OF FINE ARTS HOUSTON 1001 BISSONNET, HOUSTON, TX 77005	NONE	PUBLIC	CAPITAL	999,001
STAGES REPERTORY THEATRE 3201 ALLEN PARKWAY, #101 HOUSTON TX 77019	NONE	PUBLIC	CAPITAL	1 500,000
WILLIAM MARSH RICE UNIVERSITY P. O. BOX 1892, MS 84 HOUSTON TX 77005	NONE	PUBLIC	CAPITAL	500,000
TOTAL CONTRIBUTIONS APPROVED FOR FUTURE PAYMENT				<u>10 399,001</u>

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)

HOUSTON, TX 77019

FOR THE TAX YEAR ENDED: 09/30/2017

ATTACHMENT 19

FORM 990PF SUPPORTING SCHEDULE - PART XV

SUPPLEMENTARY INFORMATION

QUESTION 2a:

Applications should be addressed to:

Barbara J. Snyder, 2727 Allen Parkway, Suite 1570, Houston, TX 77019

Telephone number:

(713) 526-8849

QUESTION 2b:

Application forms may be obtained by writing or calling:

Barbara J. Snyder, 2727 Allen Parkway, Suite 1570, Houston, TX 77019

Telephone number:

(713) 526-8849

QUESTION 2c:

Applications should be submitted by the second week of January, April, July, or October in order to be considered at the Foundation's quarterly Trustee meetings, which are held in mid-February, May, August, and November.

QUESTION 2d:

Awards are granted primarily for cultural arts and civic beautification projects and to those projects which benefit the citizens of Houston, Harris County, Texas.

ATTACHMENT 19

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017 **ATTACHMENT 20**
FORM 990PF SUPPORTING SCHEDULE - PART IX-A & IX-B
SUPPLEMENTARY INFORMATION

PART IX-A:

The foundation provides maintenance, repair, preservation, and rehabilitation services on an as needed basis for Texas historic sites. During the fiscal year ended September 30, 2017, the foundation provided partial maintenance and repair for the historic cemetery at Fairfield, Texas. The activities were limited to the maintenance and preservation of the grounds and other public areas which constitute the historic site as designated by the State of Texas. The foundation contracted with local providers to perform the actual activities and paid for these services directly. Net expenses - \$3,300 00
The scope of the benefit provided by these direct charitable activities is very broad. The benefit extends to all of the citizens of the State of Texas in the case of the historic site preservation in Fairfield, Texas. The foundation intends to keep its direct involvement in these areas very limited. Only in cases where the need appears to be significant and where there is no evidence of an effective supporting agency does the foundation consider it appropriate to become directly involved in projects of this type.

PART IX-B:

The foundation does not derive any income from its grant programs or direct charitable activities.

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)**HOUSTON, TX 77019****FOR THE TAX YEAR ENDED: 09/30/2017****ATTACHMENT 21****FORM 990PF SUPPORTING SCHEDULE - PART II, LINE 11****INVESTMENTS - LAND, BUILDINGS, & EQUIPMENT****ALL AMOUNTS ARE AT COST**

<u>DESCRIPTION</u>	<u>END OF YEAR AMOUNT</u>	<u>DEPRECIATION/ DEPLETION</u>	<u>MARKET VALUE</u>
ROYALTY:			
AEROPRES	312	312	
ALLIED CHEM	436	436	
APACHE/FLA GAS	32,368	32,368	
AMOCO	3,732	3,732	
BRINKLEY	2	2	
CITIES SERV	6,612	6,612	
CONOCO	12,470	12,470	
CROWN	1	1	
BFO ENERGY	761	761	
ENSEARCH/EP OPER	6,156	6,156	
KOCH	2,010	2,010	
MOSBACHER	117,757	117,757	
NEUMIN	5,270	5,270	
BIG 6	368	368	
PERMIAN	1,963	1,963	
PHILLIPS	816	816	
PLACID	124	124	
SUN EXP	28,255	28,255	
TXO	5,842	5,842	
UNITED GAS/ENRON	92	92	
WALTHALL	2	2	
TOTAL ROYALTY	225,349	225,349	12,000

ATTACHMENT 21

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017 SCHEDULE D
FORM 990PF SUPPORTING SCHEDULE - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Description	SHARES OR FACE VALUE	Date of Purchase	Date of Sale	Proceeds From Sale	Cost of Shares Sold	Gain/Loss
CAPITAL ONE	49	10/27/2017	11/21/2016	3 939 59	3 707 51	232 08
CAPITAL ONE	160	10/27/2017	11/21/2016	12 854 23	12 455 91	398 32
CAPITAL ONE	416	10/27/2017	12/7/2016	35 748 56	32 954 26	2 794 30
CAPITAL ONE	324	10/27/2017	12/7/2016	27 822 44	25,925 23	1 897 21
CAPITAL ONE	1752	10/30/2014	3/31/2017	27 284 36	17 105 83	10 178 53
CAPITAL ONE	606	7/24/2015	4/7/2017	51 700 67	47 958 81	3 741 86
CAPITAL ONE	521	11/18/2016	5/5/2017	43 034 03	41,613 44	1 420 59
CASH MERGER GAIN	CASH MERGER	10/27/2017	12/31/2016	18 61	-	18 61
CENTERPOINT ENERGY	742	4/25/2013	7/5/2017	20 421 22	21 056 03	(634 81
CENTRAL FUND CANADA	17734	4/25/2013	10/6/2016	211 599 55	178,398 98	33 200 57
CIMAREX	5000	5/5/2017	6/2/2017	9 086 88	9 169 34	(82 46
CIMAREX 4 375-1	750000	9/30/2016	5/15/2017	783 210 00	786,559 23	(3 349 23
CINCINNATI FIN	497	9/30/2016	12/5/2016	38 253 70	25 538 84	12 714 86
CINEMARK HLDGS	28	10/4/2013	6/27/2017	1 062 51	901 45	161 06
CINEMARK HLDGS	280	10/4/2013	6/27/2017	10 670 09	9 014 55	1 655 54
CINEMARK HLDGS	66	10/4/2013	6/27/2017	2 501 60	2 124 86	376 74
CINEMARK HLDGS	385	10/4/2013	8/7/2017	14 517 60	12 395 00	2 122 60
CINEMARK HLDGS	22	10/4/2013	8/7/2017	830 55	708 28	122 27
CINEMARK HLDGS	223	5/2/2017	8/22/2017	7 961 63	7 799 02	162 61
CINEMARK HLDGS	10	5/2/2017	8/22/2017	357 91	441 10	(83 19)
CINEMARK HLDGS	25	5/2/2017	8/22/2017	895 60	1 102 75	(207 15)
CIRIGROUP	7000	5/5/2017	6/2/2017	7 191 23	7 329 61	(138 38)
CITIGROUP INC	423	5/24/2017	11/16/2016	21 053 66	22 512 28	(1 458 62)
CITIGROUP INC	723	5/24/2017	10/21/2016	35 459 34	35 506 74	(47 40)
CITIGROUP INC	137	5/2/2017	10/21/2016	6 710 44	5,857 1	853 27
CITIGROUP INC	367	5/24/2017	10/26/2016	18 122 84	14,790 37	3 332 47
CITIGROUP INC	423	5/2/2017	11/16/2016	22 512 28	21 053 66	1 458 62
CITIGROUP INC	2849	5/2/2017	11/16/2016	35 459 34	35 506 74	(47 40)
CITIGROUP INC	927	5/2/2017	11/16/2016	48 699 53	37,804 62	10 894 91
CITIGROUP INC	25	5/2/2017	11/16/2016	1 311 18	1 028 57	282 61
CITIGROUP INC	39	5/2/2017	11/16/2016	2 022 30	1 607 94	414 36
CITIGROUP INC	140	5/2/2017	11/16/2016	7 246 04	5 853 66	1 392 38
CITIGROUP INC	1323	5/2/2017	11/16/2016	69 001 55	55,110 62	13,890 93
CITIGROUP INC	529	5/2/2017	11/16/2016	27 624 41	21,454 80	6 169 61
CITIGROUP INC	519	5/2/2017	11/16/2016	27 198 07	20 081 50	7 116 57
CITIGROUP INC	338	5/2/2017	11/17/2016	18 394 70	12 618 99	5 775 71
CITIGROUP INC	520	5/30/2017	11/17/2016	28 282 29	19 413 83	8 868 46
CITIGROUP INC	60	5/2/2017	11/18/2016	3 238 27	2 252 13	986 14
CITIGROUP INC	117	5/30/2017	11/18/2016	6 358 06	4 525 00	1 833 06
CITIGROUP INC	257	5/2/2017	11/18/2016	14 067 37	9 944 87	4 122 50
CITIGROUP INC	863	5/30/2017	12/5/2016	48 683 01	33 907 79	14 775 22
CITIGROUP INC	1113	5/30/2017	12/7/2016	62 713 63	47,442 87	15 270 76
CITIGROUP INC	735	5/30/2017	12/7/2016	41 255 98	31 458 05	9 797 93
CITIGROUP INC	89	5/30/2017	12/8/2016	5 091 16	3 884 97	1 206 19
CITIGROUP INC	132	5/30/2017	12/8/2016	7 546 78	5 746 26	1 800 52
CITIGROUP INC	553	11/10/2016	2/28/2017	31 735 37	24 103 77	7 631 60
CITIGROUP INC	204	11/10/2016	2/28/2017	1 829 66	21 167 37	(19 337 71)
CITIGROUP INC	154	11/10/2016	3/31/2017	9 497 19	7 654 83	1 842 36
CITIGROUP INC	86	11/10/2016	6/16/2017	5 561 96	4 274 78	1 287 18
CITIGROUP INC	202	11/10/2016	7/10/2017	13 829 18	10 040 75	3 788 43
CITIGROUP INC	406	5/24/2017	7/12/2017	27 598 11	23 043 35	4 554 76
CITIGROUP INC	488	5/24/2017	7/17/2017	32 667 43	29 912 20	2 755 23
CITIGROUP INC	179	5/24/2017	7/25/2017	11 909 84	10 971 89	937 95
CITIGROUP INC	1142	5/30/177	9/28/2017	80 928 24	70 568 33	10 359 91
CITIZENS FINANCIAL	533	8/12/2015	11/7/2016	13 908 92	14 278 19	(369 27)

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017 SCHEDULE D
FORM 990PF SUPPORTING SCHEDULE - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Description	SHARES OR FACE VALUE	Date of Purchase	Date of Sale	Proceeds From Sale	Cost of Shares Sold	Gain/Loss
CITIZENS FINANCIAL	345	8/12/2015	11/7/2016	9 088 21	8 970 70	117 51
CITIZENS FINANCIAL	823	8/25/2015	11/7/2016	21,561 22	21 751 91	(190 69)
CITIZENS FINANCIAL	75	8/25/2015	11/7/2016	1 980 33	1 983 43	(3 10)
CITIZENS FINANCIAL	210	8/25/2015	11/7/2016	5 487 63	5 559 57	(71 94)
CITIZENS FINANCIAL	910	8/25/2015	11/10/2016	24 760 92	22 918 44	1 842 48
CITIZENS FINANCIAL	322	8/25/2015	11/10/2016	8 766 98	7 651 70	1 115 28
CITIZENS FINANCIAL	717	10/29/2015	1/11/2017	25 504 07	17 156 06	8 348 01
CITIZENS FINANCIAL	128	12/11/2016	1/11/2017	4 503 29	3,107 55	1 395 74
CITIZENS FINANCIAL	612	12/14/2015	1/11/2017	21 084 29	14,784 99	6 299 30
CITIZENS FINANCIAL	1272	11/6/2016	2/28/2017	46 120 19	31,489 44	14,630 75
CITIZENS FINANCIAL	952	10/29/2016	2/28/2017	34 637 67	24 439 64	10,198 03
CITIZENS FINANCIAL	5508	10/25/2016	2/28/2017	49 410 64	40 307 23	9,103 41
CNOOC LTD	110	9/28/2014	6/2/2017	12 659 18	22 070 74	(9 411 56)
CNOOC LTD	260	8/26/2014	6/5/2017	29,599 78	51,314 50	(21 714 72)
CNOOC LTD	70	8/26/2014	6/5/2017	7 976 75	13 708 80	(5 732 05)
COCA COLA CO	84	10/4/2013	12/16/2016	3 511 55	3 108 00	403 55
COCA COLA CO	567	10/4/2013	12/16/2016	23 655 01	20,979 00	2,676 01
COCA COLA CO	188	6/23/2014	8/8/2017	8 608 96	9,656 00	(1,047 04)
COCA COLA CO	62	6/23/2014	8/8/2017	2 837 68	2 294 00	543 68
COCA COLA CO	19	11/30/2015	8/9/2017	868 54	703 00	165 54
COCA COLA CO	174	11/30/2015	8/9/2017	7 918 68	6 438 00	1 480 68
CULLEN FROST BANKERS NC	92	10/4/2013	8/2/2017	8,361 02	6,472 79	1,888 23
CULLEN FROST BANKERS NC	248	10/4/2013	8/4/2017	22 499 44	18 188 71	4,310 73
DEUTSCH POST	40	9/1/2015	10/13/2016	1 312 77	1 411 56	(98 79)
DEUTSCH POST	50	9/1/2015	10/14/2016	1 640 97	1 760 64	(119 67)
DEUTSCH POST	50	9/1/2015	10/17/2016	1 640 96	1 767 95	(126 99)
DEUTSCH POST	50	9/1/2015	10/18/2016	1 640 97	1 781 32	(140 35)
DEUTSCH POST	50	9/1/2015	10/19/2016	1,640 96	1 771 60	(130 64)
DEUTSCHE TELEKOM	75	9/1/2015	11/17/2016	1 181 11	1 174 75	(13 64)
DEUTSCHE TELEKOM	515	9/1/2015	11/21/2016	7 972 97	8 039 98	(66 91)
DEUTSCHE TELEKOM	630	10/4/2013	11/21/2016	9 722 79	9 753 35	(30 56)
DEUTSCHE TELEKOM	5	10/4/2013	11/23/2016	77 41	78 81	(1 40)
DEUTSCHE TELEKOM	550	10/4/2013	12/9/2016	8 840 73	8 514 82	325 91
DEUTSCHE TELEKOM	595	9/1/2015	12/12/2016	9 687 22	9 211 49	475 73
DEUTSCHE TELEKOM	270	9/1/2015	12/13/2016	4 469 13	4 180 01	289 12
DEUTSCHE TELEKOM	50	10/10/2013	1/31/2017	961 08	774 07	87 01
DEUTSCHE TELEKOM	15	10/10/2013	1/31/2017	262 59	232 22	28 37
DEUTSCHE TELEKOM	35	10/10/2013	1/31/2017	613 76	541 85	71 91
DEUTSCHE TELEKOM	45	10/10/2013	3/23/2017	777 43	696 67	80 76
DEUTSCHE TELEKOM	40	10/10/2013	3/23/2017	679 49	619 26	60 23
DEUTSCHE TELEKOM	45	10/10/2013	3/23/2017	767 11	696 67	70 44
DEUTSCHE TELEKOM	40	10/10/2013	3/23/2017	677 28	619 26	58 02
DEUTSCHE TELEKOM	640	10/10/2013	3/23/2017	10,750 43	9 908 16	842 27
DEUTSCHE TELEKOM	35	10/10/2013	3/23/2017	591 74	541 85	49 89
DNB ASA-SPONSOR ADR	434	6/14/2017	8/2/2017	8,376 53	7,430 11	946 42
DNB ASA-SPONSOR ADR	121	6/15/2017	8/7/2017	2,312 84	2 063 17	249 67
DNB ASA-SPONSOR ADR	567	6/14/2017	8/7/2017	10 816 64	9 828 37	988 27
DNB ASA-SPONSOR ADR	116	6/15/2017	8/8/2017	2 220 66	2 029 31	191 35
DNB ASA-SPONSOR ADR	508	7/20/2017	8/9/2017	9 692 42	9 221 83	470 59
DUKE ENERGY CORPORATION	2000	5/5/2017	6/6/2017	2,084 74	2 109 99	(25 25)
DUKE ENERGY CORPORATION	248	4/25/2013	7/5/2017	20 862 16	18 455 84	2 406 32
DUPONT	6000	5/5/2017	6/2/2017	6,395 03	6 496 28	(101 25)
DUPONT	2000	5/5/2017	6/6/2017	2 010 72	2 014 04	(3 32)
EDINBURGH DRAGON TR	97710	3/3/2016	10/6/2016	315 827 46	248 108 57	67 718 89
EDINBURGH DRAGON TR	4855	10/10/2013	10/7/2016	16 218 61	13 765 80	2,452 81

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017
SCHEDULE D
FORM 990PF SUPPORTING SCHEDULE - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

<u>Description</u>	<u>SHARES OR FACE VALUE</u>	<u>Date of Purchase</u>	<u>Date of Sale</u>	<u>Proceeds From Sale</u>	<u>Cost of Shares Sold</u>	<u>Gain/Loss</u>
EDINBURGH DRAGON TR	50481	2/20/2016	1/10/2016	168,948.93	144,099.48	24,849.45
EDINBURGH WORLDWIDE INV (GBP)	73120	2/20/2016	1/11/2016	402,254.68	358,544.33	43,710.35
ELI LILLY	306	11/21/2016	4/6/2017	25,776.82	20,360.47	5,416.35
ELI LILLY & CO	25	7/27/2015	11/29/2016	1,664.64	1,964.50	(299.86)
ELI LILLY & CO	1090	7/27/2015	11/29/2016	72,796.03	91,271.29	(18,475.26)
ENTERPRISE	6000	5/5/2017	6/2/2017	6,221.06	6,319.36	(98.30)
ENTERPRISE	3000	5/5/2017	6/6/2017	3,110.53	3,165.15	(54.62)
ENTERPRISE	500000	4/22/2016	9/15/2017	50,000.00	500,000.00	-
EXELON	7000	5/5/2017	6/2/2017	7,175.71	7,214.02	(38.31)
EXXON	92	12/11/2014	2/28/2017	7,563.56	8,298.15	(734.59)
EXXON	115	12/11/2014	2/28/2017	9,492.11	10,372.69	(880.58)
EXXON	124	12/11/2014	2/28/2017	10,263.32	11,184.46	(921.14)
EXXON	47	12/11/2014	2/28/2017	3,889.00	4,239.27	(350.27)
EXXON	15	12/11/2014	2/28/2017	1,239.64	1,352.96	(113.32)
EXXON	46	12/11/2014	2/28/2017	3,802.97	4,149.08	(346.11)
EXXON	60	1/15/2015	5/10/2017	4,908.63	4,908.63	(4,908.63)
EXXON	60	1/15/2015	5/10/2017	4,908.63	4,908.63	4,908.63
EXXON	122	11/13/2015	5/10/2017	20,001.69	7,460.22	12,541.47
EXXON	108	11/13/2015	5/10/2017	8,849.67	9,058.41	(208.74)
EXXON	7	11/13/2015	5/10/2017	573.18	625.78	(52.60)
EXXON	3	11/13/2015	5/11/2017	246.51	268.58	(22.07)
FEDEX	7000	5/5/2017	6/2/2017	7,074.87	7,195.68	(120.81)
FHLMC POOL-6%-7/1/17		7/21/2003	10/31/2016	714.61	735.21	(20.60)
FHLMC POOL-6%-7/1/17	837.470	7/21/2003	12/31/2016	837.47	861.19	(23.72)
FHLMC POOL-6%-7/1/17	775.090	7/21/2003	1/31/2017	775.09	796.85	(21.76)
FHLMC POOL-6%-7/1/17	759.780	7/21/2003	2/28/2017	759.78	780.92	(21.14)
FHLMC POOL-6%-7/1/17	570.910	7/21/2003	3/31/2017	570.91	586.66	(15.75)
FHLMC POOL-6%-7/1/17	329.580	7/21/2003	4/30/2017	329.58	338.59	(9.01)
FHLMC POOL-6%-7/1/17	466.550	7/21/2003	5/15/2017	466.55	479.19	(12.64)
FHLMC POOL-6%-7/1/17		7/21/2003	6/30/2017	434.05	445.69	(11.64)
FHLMC POOL-6%-7/1/17		7/21/2003	7/1/2017	1,219.92	1,219.92	-
FHLMC POOL-6%-7/1/17		7/21/2003	7/1/2017	360.56	-	360.56
FHLMC POOL-6%-7/1/17		7/21/2003	8/25/2017	2,376.63	2,447.83	(71.20)
FIDELITY	5000	5/5/2017	6/2/2017	5,201.94	5,100.30	101.64
FIDELITY	6000	5/5/2017	6/2/2017	5,354.00	6,275.49	(921.49)
FIDELITY EUROPEAN VAL. ES (GBP)	46628	2/23/2016	10/7/2016	105,071.80	109,166.07	(4,094.27)
FIDELITY EUROPEAN VALUES (GBP)	31090	12/11/2014	10/6/2016	70,480.18	69,032.55	1,447.63
FIDELITY EUROPEAN VALLES (GBP)	46628	5/5/2017	10/7/2016	109,166.07	110,874.42	(1,708.35)
FIDELITY EUROPEAN VALUES (GBP)	61552	2/20/2016	10/10/2016	142,249.04	147,322.49	(5,073.45)
FIRST HORIZON NATIONAL CORP	18	10/19/2015	10/11/2016	281.41	273.17	8.24
FIRST HORIZON NATIONAL CORP	497	10/19/2015	10/11/2016	7,791.90	7,545.66	246.24
FIRST HORIZON NATIONAL CORP	366	7/31/2016	10/13/2016	5,758.96	5,579.44	179.52
FIRST HORIZON NATIONAL CORP	122	7/31/2016	10/13/2016	1,915.97	1,862.73	53.24
FNMA - 6.5% - 10/1/31		8/21/2007	10/31/2016	76.95	75.18	1.77
FNMA - 6.5% - 10/1/31		8/21/2007	11/25/2016	77.43	75.65	1.78
FNMA - 6.5% - 10/1/31	77.880	9/19/2002	12/31/2016	77.88	76.10	1.78
FNMA POOL - 5.5 - 9/1/17		9/19/2002	10/31/2016	199.16	199.96	(0.80)
FNMA POOL - 5.5 - 9/1/17	204.690	9/19/2002	12/31/2016	204.69	205.37	(0.68)
FNMA POOL - 5.5 - 9/1/17	384.150	9/19/2002	3/31/2017	384.15	384.99	(0.84)
FNMA POOL - 5.5 - 9/1/17	74.62	9/19/2002	5/25/2017	74.62	74.73	(0.11)
FNMA POOL - 5.5 - 9/1/17		9/19/2002	6/30/2017	74.97	75.05	(0.08)
FNMA POOL - 5.5 - 9/1/17		8/21/2007	7/31/2017	75.36	75.41	(0.05)
FNMA POOL - 5.5 - 9/1/17		8/21/2007	8/25/2017	302.31	297.22	5.09
FNMA POOL - 5.5% - 9/1/17		9/19/2002	11/25/2016	201.90	202.64	(0.74)
FNMA POOL - 5.5% - 9/1/17	245.480	9/19/2002	1/31/2017	249.49	250.22	(0.73)

THE WORTHAM FOUNDATION, INC. - 74-1334356 FORM 990PF (2016)
HOUSTON, TX 77019
FOR THE TAX YEAR ENDED: 09/30/2017 SCHEDULE D
FORM 990PF SUPPORTING SCHEDULE - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Description	SHARES OR FACE VALUE	Date of Purchase	Date of Sale	Proceeds From Sale	Cost of Shares Sold	Gain/Loss
FNMA POOL - 6 5% - 11/1/16		8/25/2011	10/31/2016	49 15	51 01	(1 86)
FNMA POOL - 6 5% - 11/1/16		8/25/2011	11/1/2016	0 67	0 68	(0 01)
FNMA POOL 3 5%	2407 110	8/25/2011	2/28/2017	2,407 11	2,482 64	(75 53)
FNMA POOL 3 5%	9618 91	8/16/2011	2/28/2017	9,618 91	9,886 83	(267 92)
FNMA POOL 3 5%	2364 56	8/25/2011	4/30/2017	2 364 56	2,437 66	(73 10)
FNMA POOL 3 5%	5476 31	8/16/2011	4/30/2017	5 476 31	5,626 47	(150 16)
FNMA POOL 3 5%	2 340 810	8/25/2011	5/25/2017	2 340 81	2 412 63	(71 82)
FNMA POOL 3 5%	24,051 94	8/16/2011	5/25/2017	24 051 94	24 706 10	(654 16)
FNMA POOL 3 5%		8/25/2011	6/30/2017	2,407 56	2 480 84	(73 28)
FNMA POOL 3 5%		8/16/2011	6/30/2017	7 541 67	7 745 05	(203 38)
FNMA POOL 3 5%		8/25/2011	7/31/2017	2,337 11	2,407 70	(70 59)
FNMA POOL 3 5%		8/16/2011	7/31/2017	4,515 64	4,636 41	(120 77)
FNMA POOL 3 5%		8/25/2011	8/25/2017	9,845 40	10,106 45	(261 05)
FNMA POOL 3 5%		8/16/2011	8/25/2017	81 63	79 81	1 82
FNMA POOL 3 5%		8/25/2011	9/30/2017	2 361 65	2 431 82	(70 17)
FNMA POOL 3 5%		8/16/2011	9/30/2017	12 699 79	13 033 58	(333 79)
FNMA POOL 4%	2492 350	8/25/2011	2/28/2017	2,492 35	2 579 25	(86 90)
FNMA POOL 4%	1805 12	8/25/2011	4/30/2017	1,805 12	1,867 79	(62 67)
FNMA POOL 4%		8/26/2011	9/30/2017	1 292 49	1 336 87	(44 38)
FNMA POOL 5%	1585 26	8/16/2011	2/28/2017	1 585 26	1 557 55	27 71
FNMA POOL 5%	1055 63	8/16/2011	4/30/2017	1 055 63	1 037 40	18 23
FNMA POOL 5%		8/21/2007	9/30/2017	702 14	690 40	11 74
FNMA POOL 5 5%	307 27	9/19/2002	2/28/2017	307 27	308 05	(0 78)
FNMA POOL 5 5%	74 23	9/19/2002	4/30/2017	74 23	74 36	(0 13)
FNMA POOL 6 5%	78 80	8/25/2011	2/28/2017	78 80	77 01	1 79
FNMA POOL 6 5%	79 73	8/25/2011	4/30/2017	79 73	77 93	1 80
FNMA POOL 6 5%		1/17/2002	9/30/2017	82 10	80 28	1 82
FNMA POOL-3 5%-2/1/26		8/16/2011	10/31/2016	4 807 58	4 945 80	(138 22)
FNMA POOL-3 5%-2/1/26		8/16/2011	11/28/2016	15 525 70	15 968 58	(442 88)
FNMA POOL-3 5%-2/1/26	20 640 080	8/16/2011	12/31/2016	20,640 08	21 224 33	(584 25)
FNMA POOL-3 5%-2/1/26	4 441 690	8/16/2011	1/31/2017	4 441 69	4 566 42	(124 73)
FNMA POOL-3 5%-2/1/26	4 472 890	8/16/2011	3/31/2017	4 470 89	4 594 50	(123 61)
FNMA POOL-3 5%-8/1/26		8/25/2011	10/31/2016	2 541 80	2 623 97	(82 17)
FNMA POOL-3 5%-8/1/26		8/25/2011	11/22/2016	2 385 21	2 461 75	(76 54)
FNMA POOL-3 5%-8/1/26	12 767 120	8/25/2011	12/31/2016	12 767 12	13 173 84	(406 72)
FNMA POOL-3 5%-8/1/26	2 460 770	8/25/2011	1/31/2017	2 460 77	2 538 57	(77 80)
FNMA POOL-3 5%-8/1/26	13 358 750	8/25/2011	3/31/2017	13 358 75	13 774 99	(416 24)
FNMA POOL-4%-2/1/41		1/17/2002	10/31/2016	4 487 44	4 635 74	(148 30)
FNMA POOL-4%-2/1/41		4/8/2016	11/25/2016	3 519 01	3 642 49	(123 48)
FNMA POOL-4%-2/1/41	5960 840	4/8/2016	12/31/2016	5 960 84	6 169 56	(208 72)
FNMA POOL-4%-2/1/41	3981 190	5/5/2017	1/31/2017	3,981 19	4,120 30	(139 11)
FNMA POOL-4%-2/1/41	2 247 200	2/8/2017	3/31/2017	2 247 20	2 325 39	(78 19)
FNMA POOL-4%-2/1/41	1 916 14	1/17/2002	5/25/2017	1,916 14	1 982 53	(66 39)
FNMA POOL-4%-2/1/41		1/17/2002	6/30/2017	1 103 84	1 142 00	(38 16)
FNMA POOL-4%-2/1/41		1/17/2002	7/31/2017	2 651 19	2 742 64	(91 45)
FNMA POOL-5%-6/01/22		8/26/2011	10/31/2016	336 30	330 28	6 02
FNMA POOL-5%-6/01/22		4/8/2016	11/25/2016	734 25	721 18	13 07
FNMA POOL-5%-6/01/22	682 830	4/8/2016	12/31/2016	682 83	670 75	12 08
FNMA POOL-5%-6/01/22	1246 180	5/5/2017	1/31/2017	1 246 18	1 224 28	21 92
FNMA POOL-5%-6/01/22	544 660	2/8/2017	3/31/2017	544 66	535 19	9 47
FNMA POOL-5%-6/01/22	288 85	1/17/2002	5/25/2017	288 85	283 89	4 96
FNMA POOL-5%-6/01/22		1/17/2002	6/30/2017	293 77	288 76	5 01
FNMA POOL-5%-6/01/22		8/26/2011	7/31/2017	298 81	293 75	5 06
FNMA POOL-5%-6/01/22		8/26/2011	8/25/2017	770 50	797 02	(26 52)
FNMA POOL-6 5%-10/1/31	78 330	4/8/2016	1/31/2017	78 33	76 55	1 78

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FNMA POOL-6 5%-10/1/31	79 250	4/8/2016	3/31/2017	79 25	77 46	1 79
FNMA POOL-6 5%-10/1/31	80 2	5/5/2017	5/25/2017	80 20	78 40	1 80
FNMA POOL-6 5%-10/1/31		2/8/2017	8/30/2017	80 68	78 87	1 81
FNMA POOL-6 5%-10/1/31		1/17/2002	7/31/2017	81 15	79 34	1 81
FNMA POOL-6 5%-10/1/31		1/17/2002	8/25/2017	99 36	99 33	0 03
GENERAL ELECTRIC	1482	4/25/2013	7/3/2017	40 393 98	43 015 05	(2 621 07)
GENERAL MILLS	1960	9/25/2015	1/11/2017	120,952 10	111 654 8	9 297 23
GLAXOSMITHKLINE	1724	4/8/2016	11/29/2016	65 494 19	73 412 71	(7,918 52)
GLAXOSMITHKLINE	1037	4/8/2016	11/29/2016	39,445 47	44 930 44	(5,484 97)
GOLDMAN SACHS GROUP	4000	5/5/2017	6/2/2017	3 960 92	3 974 06	(13 14)
GOLDMAN SACHS GROUP	237	2/8/2017	6/26/2017	52 963 68	56 710 49	(3,746 81)
GOLDMAN SACHS GROUP	48	2/8/2017	7/12/2017	10 824 03	11 543 29	(719 26)
GROWTH PORTFOLIO	LTCG		12/31/2016	1 959 262 54		1 959 262 54
GROWTH PORTFOLIO	STCG		12/31/2016	273,177 59	-	273 177 59
GROWTH PORTFOLIO	146842	3/27/2017	3/31/2017	1 000,000 00	1 025 122 35	(25 122 35)
GROWTH PORTFOLIO	65746 220	3/27/2017	3/31/2017	193,096 65		193 096 65
HALLIBURTON	14000	5/5/2017	6/2/2017	14,412 48	14,480 72	(78 24)
HALLIBURTON	8000	5/5/2017	6/2/2017	8 635 48	8 280 91	354 57
HENDERSON ALTERNATIVE STRATE	45087	3/2/2016	10/5/2016	134 805 37	125 126 64	9,678 73
HENDERSON ALTERNATIVE STRATE	11010	9/25/2015	10/6/2016	33 640 02	31 809 72	1,830 30
HENDERSON ALTERNATIVE STRATE	79016	2/20/2016	10/10/2016	250 497 67	256 755 68	(6 258 01)
HIRTLE CALLAGHAN TR	649 7 258		11/30/2016	1 000,000 00	797 465 88	202 534 12
HIRTLE CALLAGHAN TR	216450 216		4/26/2017	1 500 000 00	1 587 264 30	(87,264 30)
HIRTLE CALLAGHAN TR	242013 553		4/26/2017	2 500 000 00	2 331 801 50	168 199 50
HIRTLE CALLAGHAN TR GROWTH PORTFOLIO	223214 286		4/26/2017	3 500 000 00	2 739,508 91	760,491 09
HIRTLE CALLAGHAN TR VALUE PORTFOLIO	122793 553		11/30/2016	1 600 000 00	1 477 206 82	122 793 18
HOME DEPOT	521	10/4/2013	7/18/2017	75 443 28	39 601 52	35 841 76
HONDA	260	10/4/2013	9/25/2017	7 704 84	8 660 86	(956 02)
HONDA	250	10/4/2013	9/26/2017	7,464 21	8 327 75	(863 54)
HONDA	150	10/4/2013	9/27/2017	4 480 47	4,996 65	(516 18)
HONEYWELL INTERNATIONAL INC	12	10/4/2013	4/11/2017	570 08	873 03	(302 95)
HONEYWELL INTERNATIONAL INC	2	4/23/2014	4/28/2017	258 75	186 02	72 73
HONEYWELL INTERNATIONAL INC	21	4/23/2014	4/28/2017	2 720 11	1 953 24	766 87
HONEYWELL INTERNATIONAL INC	7	4/23/2014	4/28/2017	905 68	651 08	254 60
HONEYWELL INTERNATIONAL INC	18	4/23/2014	4/28/2017	2 328 09	1 674 21	653 88
HONEYWELL INTERNATIONAL INC	25	4/23/2014	4/28/2017	3 230 42	2 325 29	905 13
HONEYWELL INTERNATIONAL INC	3	4/23/2014	4/28/2017	387 96	279 03	108 93
HONEYWELL INTERNATIONAL INC	63	4/23/2014	5/1/2017	10 796 12	7 751 28	3 044 84
HONEYWELL INTERNATIONAL INC	72	4/23/2014	5/1/2017	9 373 84	6 701 21	2 672 63
HONEYWELL INTERNATIONAL INC	11	4/23/2014	5/1/2017	1 433 10	1 027 58	405 52
HONEYWELL INTERNATIONAL, INC	25	4/23/2014	5/1/2017	3 259 14	2 335 41	923 73
HONEYWELL INTERNATIONAL, INC	21	4/23/2014	5/2/2017	2 721 28	1 961 74	759 54
HONEYWELL INTERNATIONAL, INC	21	4/23/2014	5/2/2017	1 429 99	1 027 58	402 41
HONEYWELL INTERNATIONAL INC	44	4/23/2014	7/18/2017	6 002 37	4 110 31	1 892 06
HONEYWELL INTERNATIONAL INC	2	4/23/2014	7/18/2017	273 20	186 96	86 24
HONEYWELL INTERNATIONAL INC	264	4/24/2014	7/18/2017	35 994 85	24 670 84	11 324 01
HONEYWELL INTERNATIONAL INC	148	4/24/2014	8/2/2017	20 209 51	13 918 91	6 290 60
HONEYWELL INTERNATIONAL, INC	50	10/23/2014	8/21/2017	6 906 04	4 811 13	2 094 91
HONEYWELL INTERNATIONAL, INC	19	10/23/2014	8/21/2017	2 624 27	1 828 23	796 04
HONEYWELL INTERNATIONAL, INC	24	10/23/2014	8/21/2017	3 322 31	2 309 34	1 012 97
HONEYWELL INTERNATIONAL, INC	58	7/28/2014	8/22/2017	7 938 56	5 580 91	2 357 65
HSBC HOLDINGS	126	7/28/2014	12/27/2016	5,107 70	4 982 86	124 84
HSBC HOLDINGS	867	5/5/2017	5/30/2017	37 494 77	37 494 77	-
HSBC HOLDINGS	489	3/17/2017	6/1/2017	19 977 60	21 099 11	(1 121 51)
HSBC HOLDINGS	211	3/7/2017	7/14/2017	10 086 46	8 589 18	1,497 28

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HSBC HOLDINGS	115	3/13/2017	8/7/2017	5,763.15	4,680.01	1,083.14
IBM CORP	1813	8/9/2016	8/7/2017	281,986.76	289,253.12	(27,266.36)
ILLINOIS TOOL WORKS	58	10/4/2013	6/27/2017	8,474.84	4,356.12	4,118.52
ILLINOIS TOOL WORKS	84	10/4/2013	6/27/2017	12,255.91	6,308.87	5,947.04
ILLINOIS TOOL WORKS	180	10/4/2013	8/2/2017	25,184.93	13,519.01	11,665.92
IMPERIAL BRANDS	265	10/4/2013	12/9/2016	11,437.63	9,474.64	1,962.99
IMPERIAL BRANDS	295	10/4/2013	12/12/2016	12,597.67	10,547.24	2,050.43
IMPERIAL BRANDS	175	10/4/2013	12/13/2016	7,480.32	6,256.84	1,223.48
ISHARES MBS	451	5/5/2017	6/6/2017	48,121.70	48,273.98	(152.28)
ISHARES MTB	696	5/5/2017	6/6/2017	74,263.20	74,460.21	(197.01)
JAPAN SMALLER CAPITALIZATION	5570	4/23/2014	10/7/2016	50,194.06	41,765.15	8,428.91
JAPAN SMALLER CAPITALIZATION	17203	2/20/2016	10/11/2016	157,727.95	135,014.14	22,713.81
JP MORGAN	1491	4/25/2013	1/11/2017	128,287.61	70,660.58	57,627.03
JP MORGAN CHASE	1936	4/25/2013	2/21/2017	174,993.16	98,477.20	76,515.96
JP MORGAN CHASE	510	10/31/2016	2/21/2017	46,074.94	32,360.53	13,714.41
JP MORGAN CHASE	396	10/15/2014	6/23/2017	10,690.14	10,839.00	(148.86)
JP MORGAN CHASE	540	10/15/2014	6/26/2017	14,551.44	14,061.67	489.77
JP MORGAN CHASE	867	3/7/2017	5/30/2017	37,492.00	35,185.25	2,306.75
JP MORGAN CHASE-2 2	4000	5/5/2017	7/5/2017	4,032.37	4,027.35	5.02
JP MORGAN CHASE-4 95 -3/25/20	500000	11/3/2011	1/17/2017	536,100.00	537,705.44	394.56
JPMORGAN CHASE DEP SHS 6 7%-12/31/49	629	5/4/2017	6/27/2017	16,932.81	16,270.66	662.15
JPMORGAN JAPANESE INV TR	63660	9/16/2016	10/5/2016	264,252.01	256,634.69	7,617.32
KEYCORP	859	8/11/2016	10/17/2016	10,896.19	11,183.58	(287.39)
KEYCORP	323	8/11/2016	10/17/2016	4,106.86	4,205.23	(98.37)
KEYCORP	1231	8/11/2016	10/17/2016	15,676.81	16,026.76	(349.95)
KEYCORP	2231	8/11/2016	10/17/2016	28,395.32	29,046.06	(650.74)
KEYCORP	2002	8/11/2016	10/17/2016	24,579.43	26,064.63	(1,485.20)
KEYCORP	960	8/11/2016	10/17/2016	11,748.23	12,498.53	(750.30)
KEYCORP	152	8/11/2016	10/17/2016	1,872.53	1,978.93	(106.40)
KEYCORP	1040	8/11/2016	10/20/2016	12,919.32	12,644.33	274.99
KEYCORP	253	8/11/2016	10/20/2016	3,129.15	2,990.89	138.26
KEYCORP	296	8/11/2016	10/20/2016	3,694.71	3,499.22	195.49
KEYCORP	956	9/16/2016	10/28/2016	13,140.51	11,301.54	1,838.97
KEYCORP	13	9/16/2016	10/28/2016	177.92	153.68	24.24
KEYCORP	2093	8/11/2016	10/28/2016	28,898.89	24,599.77	4,299.12
KEYCORP	2791	8/11/2016	11/4/2016	39,257.36	33,533.23	5,724.13
KEYCORP	634	8/11/2016	11/4/2016	8,915.05	7,764.53	1,150.52
KEYCORP	45	8/11/2016	11/4/2016	631.74	551.11	80.63
KEYCORP	1054	11/17/2016	11/16/2016	16,674.13	12,908.23	3,765.90
KEYCORP	278	4/24/2017	11/16/2016	4,293.59	3,404.64	888.95
KEYCORP	100	4/24/2017	11/16/2016	1,542.33	1,224.68	317.64
KEYCORP	1141	9/16/2016	11/16/2016	17,959.29	13,992.18	3,967.11
KEYCORP	290	8/11/2016	11/16/2016	4,565.81	3,579.73	986.08
KEYCORP	495	8/11/2016	12/7/2016	8,826.35	6,110.23	2,716.12
KEYCORP	329	8/11/2016	12/7/2016	5,884.44	4,061.14	1,823.30
KEYCORP	67	7/31/2016	2/28/2017	3,165.93	2,086.97	1,078.96
KEYCORP	125	7/31/2016	2/28/2017	5,957.65	4,041.70	1,915.95
KIMBERLY CLARK CORP	38	9/17/2015	7/18/2017	4,711.34	4,098.90	612.44
KIMBERLY CLARK CORP	23	9/17/2015	7/18/2017	2,852.21	2,480.92	371.29
KIMBERLY CLARK CORP	9	9/17/2015	7/18/2017	1,110.35	975.26	135.09
KIMBERLY CLARK CORP	12	9/17/2015	7/18/2017	1,491.90	1,297.70	194.20
KIMBERLY CLARK CORP	42	9/17/2015	7/18/2017	5,207.04	4,536.57	670.47
KIMBERLY CLARK CORP	1	9/17/2015	9/27/2017	469.76	432.06	37.70
KIMBERLY CLARK CORP	16	9/17/2015	9/27/2017	5,399.88	4,964.92	434.96
KIMBERLY CLARK CORP	12	9/17/2015	9/28/2017	7,280.22	6,691.10	589.12

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KIMBERLY CLARK CORP	16	9/17/2015	9/28/2017	1 882 26	1 726 74	155 52
KIMBERLY CLARK CORP	183	9/17/2015	9/28/2017	21 526 66	23 800 60	(2,273 94)
KIMBERLY CLARK CORP	22	9/17/2015	9/28/2017	2 580 44	2 365 64	214 80
KIMBERLY CLARK CORP	89	9/17/2015	9/29/2017	13 869 00	9 984 57	3,884 43
KIMBERLY CLARK CORP	51	9/17/2015	9/29/2017	5 941 25	6 034 69	(93 44)
KIMBERLY CLARK CORP	74	9/17/2015	9/29/2017	8 627 28	8 710 48	(83 20)
KIMBERLY CLARK CORP	2	9/17/2015	9/29/2017	232 57	261 04	(28 47)
KIMBERLY CLARK CORP	198	9/17/2015	9/29/2017	21 066 13	23 205 10	(138 97)
KIMBERLY CLARK CORP	29	9/17/2015	9/29/2017	3 389 96	3 785 14	(395 18)
L BRANDS	305	10/4/2013	4/5/2017	14 363 73	18 755 19	(4 391 46)
L BRANDS	180	10/4/2013	4/5/2017	8 527 69	11 068 64	(2 540 95)
L BRANDS	117	10/4/2013	4/10/2017	5 119 20	7 119 19	(1 999 99)
L BRANDS	38	10/4/2013	4/10/2017	1 668 36	2 168 12	(499 76)
L BRANDS	292	10/4/2013	4/10/2017	12 815 58	16 703 22	(3 887 64)
L BRANDS	607	10/4/2013	4/10/2017	26,186 56	46 206 26	(20 019 70)
L BRANDS	154	10/4/2013	4/10/2017	6,736 65	11 385 42	(4 628 77)
L BRANDS	220	10/4/2013	4/10/2017	9 634 27	151 567 14	(141 932 87)
L BRANDS	115	10/4/2013	4/10/2017	5 326 43	8 368 98	(3 042 55)
L BRANDS	18	10/4/2013	4/11/2017	851 15	1 311 43	(460 28)
L BRANDS	49	10/4/2013	4/11/2017	2 327 76	3 537 08	(1 209 32)
L BRANDS	4	10/4/2013	4/11/2017	188 62	289 42	(100 80)
L BRANDS	32	10/4/2013	4/11/2017	1,518 00	2 311 23	(793 23)
LEGG MASON BW GLOBAL INC	1651	2/23/2016	10/6/2016	18 308 76	14 232 10	4,076 66
LEGG MASON BW GLOBAL INC	5611	9/17/2015	10/7/2016	62 223 18	48 615 91	13 607 27
LEGG MASON BW GLOBAL INC	572	2/20/2016	10/11/2016	6 343 19	4 996 07	1,347 12
LEGG MASON BW GLOBAL INC	624	2/20/2016	10/12/2016	6 919 85	5 480 34	1 439 51
LEGG MASON BW GLOBAL INC	2294	2/20/2016	10/13/2016	25 439 31	20 147 26	5 292 05
LEGG MASON BW GLOBAL INC	4004	2/20/2016	10/14/2016	44,402 36	35 846 97	8 555 39
LEGG MASON BW GLOBAL INC	3277	2/20/2016	10/17/2016	36 340 30	29 434 64	6 905 66
LLOYDS BANKING GROUP	12138	12/12/2016	5/24/2017	46 262 97	38 213 52	8 049 45
LLOYDS BANKING GROUP	120	12/12/2016	5/24/2017	457 79	382 81	74 98
LLOYDS BANKING GROUP	26499	12/27/2016	5/24/2017	100 609 21	84,891 38	15 717 83
LLOYDS BANKING GROUP	6849	12/27/2016	5/31/2017	26 251 67	22,038 03	4 213 64
LLOYDS BANKING GROUP	8093	12/23/2016	8/9/2017	28 574 91	26 028 21	2 546 70
LLOYDS BANKING GROUP	285	12/12/2016	8/9/2017	1 002 43	943 32	59 11
LLOYDS BANKING GROUP	7711	12/12/2016	8/10/2017	26,964 74	25,522 64	1 442 10
LLOYDS BANKING GROUP	15472	12/27/2016	8/10/2017	54 280 71	51 210 77	3 069 94
LLOYDS BANKING GROUP	15350	1/18/2017	8/17/2017	50 887 45	52 267 07	(1 379 62)
LLOYDS BANKING GROUP	11491	1/18/2017	8/17/2017	38 080 29	38 245 49	(165 20)
LLOYDS BANKING GROUP	11514	1/20/2017	8/24/2017	38 645 85	38 322 04	323 81
LLOYDS BANKING GROUP	7790	1/20/2017	8/25/2017	26 217 42	26 722 10	(504 68)
LLOYDS BANKING GROUP	3780	1/20/2017	8/25/2017	12 731 12	13 340 04	(608 92)
LLOYDS BANKING GROUP	30943	3/2/2017	8/29/2017	102 632 46	106 453 85	(3 821 39)
LLOYDS BANKING GROUP	10514	6/26/2017	9/7/2017	34 432 56	36,870 49	(2 437 93)
LLOYDS BANKING GROUP	52	6/26/2017	9/7/2017	169 78	182 35	(12 57)
LOCKHEED MARTIN CORP	109	2/10/2016	9/19/2017	33 368 11	23,513 96	9 854 15
LOCKHEED MARTIN CORP	87	10/6/2015	9/19/2017	26 633 27	18,429 02	8 204 25
M & T BANK	46	1/20/2017	11/4/2016	5 638 03	5 653 27	(15 24)
M & T BANK	43	11/9/2015	11/30/2016	5 276 21	5 279 29	(3 08)
M & T BANK	51	11/9/2015	7/14/2017	8 405 15	6 267 75	2 137 40
M & T BANK	33	11/9/2015	8/9/2017	5 407 70	4,050 63	1 357 07
MANULIFE FINANCIAL	555	11/9/2015	9/22/2017	10 973 01	9 034 40	1 938 61
MANULIFE FINANCIAL	575	11/9/2015	9/25/2017	11 395 89	9 356 12	2 039 77
MANULIFE FINANCIAL	5	11/9/2015	9/26/2017	99 60	81 04	18 56
MATTEL	4740	12/14/2014	5/8/2017	102 672 79	118 732 53	(16 059 74)

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<u>Description</u>	<u>SHARES OR FACE VALUE</u>	<u>Date of Purchase</u>	<u>Date of Sale</u>	<u>Proceeds From Sale</u>	<u>Cost of Shares Sold</u>	<u>Gain/Loss</u>
MATTEL	1655	12/14/2014	5/8/2017	35,822.84	44,075.12	(8,252.28)
MATTEL	2913	7/5/2016	5/8/2017	63,171.10	70,231.28	(7,060.18)
MCDONALD'S	225	10/6/2015	9/12/2017	35,142.50	22,895.19	12,247.31
MCDONALD'S	275	4/22/2013	9/12/2017	42,951.94	27,301.20	15,650.74
MCDONALD'S	324	4/22/2013	9/19/2017	50,668.18	32,165.78	18,502.40
METLIFE	16	12/11/2014	2/28/2017	1,323.43	1,443.16	(119.73)
METLIFE	11	8/9/2015	2/28/2017	536.29	534.56	1.73
METLIFE	117	8/9/2015	2/28/2017	6,271.74	6,254.34	17.40
METLIFE	222	8/9/2015	2/28/2017	11,897.24	11,867.20	30.04
METLIFE	6	8/9/2015	2/28/2017	318.45	320.74	(2.29)
METLIFE	16	8/9/2015	2/28/2017	848.07	855.29	(7.22)
METLIFE	9	8/9/2015	2/28/2017	475.22	481.10	(5.88)
METLIFE	16	8/9/2015	2/28/2017	847.59	853.88	(6.29)
METLIFE	2	8/9/2015	2/28/2017	105.76	106.56	(0.80)
METLIFE	1	8/9/2015	2/28/2017	52.93	53.28	(0.35)
METLIFE	38	8/9/2015	2/28/2017	2,012.37	2,024.58	(12.21)
METLIFE	33	8/9/2015	2/28/2017	1,746.52	1,763.57	(17.05)
METLIFE	168	8/9/2015	2/28/2017	8,492.43	9,087.06	(594.63)
METLIFE	124	8/9/2015	2/28/2017	6,542.41	6,710.26	(167.85)
METLIFE	14	8/9/2015	2/28/2017	749.17	757.61	(8.44)
METLIFE	46	8/9/2015	2/28/2017	2,456.27	2,489.29	(33.02)
METLIFE	13	8/9/2015	2/28/2017	695.00	703.49	(7.49)
METLIFE	40	8/9/2015	2/28/2017	2,135.11	2,164.00	(28.89)
METLIFE	32	8/9/2015	2/28/2017	1,707.97	1,731.68	(23.71)
METLIFE	85	8/9/2015	2/28/2017	4,545.75	4,599.78	(54.03)
METLIFE	31	8/9/2015	2/28/2017	1,654.91	1,677.57	(22.66)
METLIFE	66	8/9/2015	2/28/2017	3,518.39	3,571.59	(53.20)
METLIFE	33	8/9/2015	2/28/2017	1,765.11	1,785.79	(20.68)
METLIFE	2	8/9/2015	2/28/2017	107.13	108.23	(1.10)
METLIFE	19	8/9/2015	2/28/2017	1,018.48	1,028.18	(9.70)
METLIFE	62	8/9/2015	2/28/2017	3,316.49	3,355.13	(38.64)
METLIFE	101	8/9/2015	2/28/2017	5,405.00	5,445.15	(40.15)
METLIFE	3	8/9/2015	2/28/2017	180.22	181.29	(1.07)
METLIFE	41	8/9/2015	2/28/2017	2,197.14	2,204.24	(7.10)
METLIFE	6	8/9/2015	2/28/2017	321.46	322.57	(1.12)
METLIFE	16	8/9/2015	2/28/2017	859.19	860.19	(1.00)
METLIFE	16	8/9/2015	2/28/2017	857.19	860.19	(3.00)
METLIFE	62	8/9/2015	2/28/2017	3,323.91	3,173.05	150.86
METLIFE	41	8/9/2015	2/28/2017	2,196.60	2,068.24	128.36
METLIFE	34	8/9/2015	2/28/2017	1,819.71	1,714.34	105.37
METLIFE	23	8/9/2015	3/17/2017	1,213.18	1,159.46	53.72
METLIFE	9	8/9/2015	3/17/2017	474.30	453.70	20.60
METLIFE	142	8/19/2015	3/17/2017	7,454.45	7,158.40	296.05
METLIFE	50	11/13/2015	3/17/2017	2,623.13	2,520.57	102.56
METLIFE	121	11/13/2015	3/17/2017	6,367.40	6,089.51	277.89
METLIFE	16	11/13/2015	3/17/2017	841.99	798.72	43.27
METLIFE	91	11/13/2015	3/17/2017	4,777.24	4,542.70	234.54
METLIFE	15	11/13/2015	3/17/2017	787.97	748.80	39.17
METLIFE	221	11/13/2015	3/17/2017	11,615.51	11,031.30	584.21
METLIFE	198	2/3/2016	3/17/2017	10,404.75	9,880.83	523.92
METLIFE	4	2/3/2016	3/17/2017	210.54	199.61	10.93
METLIFE	147	2/3/2016	3/17/2017	7,985.21	7,335.77	649.44
METLIFE	9	2/3/2016	3/17/2017	492.84	449.13	43.71
METLIFE	94	4/26/2016	3/17/2017	10,609.82	8,279.72	2,330.10
METLIFE	12	4/26/2016	3/17/2017	3,939.16	3,006.00	933.16

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CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

<u>Description</u>	<u>SHARES OR FACE VALUE</u>	<u>Date of Purchase</u>	<u>Date of Sale</u>	<u>Proceeds From Sale</u>	<u>Cost of Shares Sold</u>	<u>Gain/Loss</u>
METLIFE	15	4/26/2016	3/17/2017	815.23	626.31	188.92
METLIFE	191	4/27/2016	3/17/2017	10,446.39	8,174.94	2,271.45
METLIFE	112	4/27/2016	3/17/2017	6,110.33	5,222.08	888.25
METLIFE	6	6/24/2016	3/17/2017	325.48	279.81	45.67
METLIFE	15	6/24/2016	3/17/2017	814.70	699.52	115.18
METLIFE	120	6/24/2016	3/17/2017	6,408.08	5,595.71	812.37
METLIFE	23	6/24/2016	3/17/2017	1,232.66	1,074.55	158.11
METLIFE	25	6/24/2016	3/17/2017	1,343.61	1,168.44	175.17
METLIFE	3	6/24/2016	3/17/2017	160.75	140.29	20.46
METLIFE	226	6/24/2016	3/17/2017	12,170.40	10,159.35	2,011.05
METLIFE	185	6/24/2016	3/17/2017	10,080.72	7,348.50	2,732.22
METLIFE	124	6/24/2016	3/17/2017	6,699.62	4,924.00	1,775.62
MICHELIN	20	1/30/2015	4/5/2017	483.51	393.24	90.27
MICHELIN	20	1/30/2015	4/5/2017	479.05	393.24	85.81
MICHELIN	20	1/30/2015	4/7/2017	480.26	393.24	87.02
MICHELIN	20	1/30/2015	4/10/2017	476.89	393.24	83.65
MICHELIN	20	1/30/2015	4/11/2017	478.44	393.23	85.21
MICHELIN	20	1/30/2015	4/12/2017	476.79	393.24	83.55
MICHELIN	20	1/30/2015	4/13/2017	471.58	393.23	78.35
MICHELIN	15	1/30/2015	4/13/2017	356.53	294.93	61.60
MICHELIN	5	1/30/2015	4/18/2017	118.30	98.31	19.99
MICHELIN	5	1/30/2015	4/19/2017	118.04	98.31	19.73
MICROSOFT CORP	875	4/25/2013	4/6/2017	57,164.51	43,306.79	13,857.72
MICROSOFT CORP	6000	5/5/2017	6/2/2017	5,724.84	5,916.22	(191.38)
MICROSOFT CORP	1202	2/10/2015	9/12/2017	89,655.46	51,272.64	38,382.82
MICROSOFT CORP	345	4/22/2013	9/12/2017	25,733.06	10,703.62	15,029.44
MICROSOFT CORP	1427	4/22/2013	9/19/2017	107,823.48	44,272.67	63,550.81
MICROSOFT CORP	721	10/4/2013	8/8/2017	52,026.02	24,349.04	27,676.98
MID-AMER APT	942	11/9/2015	10/13/2016	80,416.78	80,952.16	(535.38)
MID-AMER APT	528	11/9/2015	10/13/2016	45,184.93	45,462.49	(277.56)
MONDELEZ	448	10/4/2013	5/4/2017	19,757.04	13,533.85	6,223.19
MONDELEZ COST BAS S AD.	3697	2/22/2016	2/28/2017	1,159.46	-	1,159.46
MONKS INV TR (GBP)	11275	2/22/2016	10/5/2016	63,025.24	50,415.46	12,609.78
MONKS INV TR (GBP)	23975	2/22/2016	10/6/2016	133,915.26	106,381.50	27,533.76
MONKS INV TR (GBP)	6144	1/30/2015	10/7/2016	34,153.46	28,061.96	6,091.50
MONKS INV TR (GBP)	70606	2/20/2016	10/10/2016	398,403.30	341,984.58	56,418.72
MONTANARO EUROPEAN SMALLER (GBP)	41000	2/29/2016	10/6/2016	306,372.06	284,846.02	21,526.04
MORGAN STANLEY	101	4/24/2017	10/11/2016	3,290.41	3,706.57	(416.16)
MORGAN STANLEY	471	4/24/2017	10/11/2016	15,368.54	17,265.71	1,897.17
MORGAN STANLEY	251	4/24/2017	10/14/2016	10,220.09	9,156.71	1,063.38
MORGAN STANLEY	202	4/24/2017	10/14/2016	8,176.95	7,369.14	807.81
MORGAN STANLEY	647	4/24/2017	10/14/2016	20,921.27	23,654.40	(2,733.13)
MORGAN STANLEY	106	4/24/2017	10/14/2016	3,394.97	3,901.90	(506.93)
MORGAN STANLEY	439	4/24/2017	10/20/2016	14,026.85	16,040.79	(2,013.94)
MORGAN STANLEY	168	4/24/2017	10/20/2016	5,372.29	5,600.33	(228.04)
MORGAN STANLEY	1398	4/24/2017	10/21/2016	45,824.47	44,126.91	1,697.56
MORGAN STANLEY	87	4/24/2017	10/25/2016	2,843.08	2,744.58	98.50
MORGAN STANLEY	632	4/24/2017	10/26/2016	20,942.82	19,917.50	1,025.32
MORGAN STANLEY	1012	4/24/2017	11/4/2016	33,680.14	32,079.14	1,601.00
MORGAN STANLEY	606	10/19/2015	1/11/2017	26,223.47	23,022.11	3,201.36
MORGAN STANLEY	917	10/30/2014	3/31/2017	54,637.25	39,247.88	15,389.37
MORGAN STANLEY	1175	4/24/2017	6/26/2017	52,954.22	49,836.25	3,117.97
MORGAN STANLEY	291	4/24/2017	7/14/2017	13,255.77	12,313.14	942.63
MORGAN STANLEY	364	4/24/2017	7/25/2017	16,984.90	15,402.00	1,582.90
MUENCHENER	1795	4/24/2017	9/8/2017	35,916.66	35,469.20	447.46

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Description	SHARES OR FACE VALUE	Date of Purchase	Date of Sale	Proceeds From Sale	Cost of Shares Sold	Gain/Loss
MUENCHENER	5	4/24/2017	9/11/2017	100.69	98.80	1.89
NAT'L RETAIL	1624	5/21/2014	5/19/2017	59,606.47	71,093.42	(11,486.95)
NAT'L RETAIL	1532	11/14/2014	5/19/2017	56,511.33	55,532.01	979.32
NAT'L RETAIL	1390	11/14/2014	5/22/2017	50,999.37	47,942.93	3,056.44
NAT'L RETAIL	919	5/4/2017	5/22/2017	33,535.04	31,715.17	1,819.87
NESTLE S A	15	11/14/2014	9/7/2017	1,261.29	1,029.22	232.07
NESTLE S A	30	11/14/2014	9/7/2017	2,535.24	2,058.44	476.80
NEUBERGER BERMAN REAL ESTATE	3391	5/5/2017	10/7/2016	15,432.10	11,910.28	3,521.82
NEUBERGER BERMAN REAL ESTATE	11437	2/20/2016	10/11/2016	52,048.64	41,401.02	10,647.62
NEUBERGER BERMAN REAL ESTATE	17005	2/20/2016	10/12/2016	7,388.06	62,399.48	14,989.58
NEUBERGER BERMAN REAL ESTATE	18835	2/20/2016	10/13/2016	85,716.20	69,038.16	16,678.04
NEUBERGER BERMAN REAL ESTATE	14235	2/20/2016	10/13/2016	64,782.06	51,764.43	13,017.63
NEUBERGER BERMAN REAL ESTATE	1107	2/20/2016	10/14/2016	5,037.85	4,085.52	952.33
NEUBERGER BERMAN REAL ESTATE	22513	2/20/2016	10/17/2016	102,836.42	83,210.16	19,626.26
NEUBERGER BERMAN REAL ESTATE	19423	2/20/2016	10/18/2016	89,934.71	75,003.05	14,931.66
NEUBERGER BERMAN REAL ESTATE	20523	2/20/2016	10/19/2016	98,971.01	87,038.15	11,932.86
NEUBERGER BERMAN REAL ESTATE	13551	2/20/2016	10/20/2016	66,817.29	60,662.68	6,154.61
NEXPOINT CREDIT STRATEGIES	1458	2/23/2016	10/7/2016	32,233.64	25,667.80	6,565.84
NEXPOINT CREDIT STRATEGIES	1458	2/22/2016	10/7/2016	25,667.80	19,101.96	6,565.84
NEXPOINT CREDIT STRATEGIES	2262	2/20/2016	10/11/2016	39,822.06	29,701.83	10,120.23
NEXPOINT CREDIT STRATEGIES	5438	2/20/2016	10/12/2016	95,672.40	70,811.98	24,860.42
NEXPOINT CREDIT STRATEGIES	949	2/20/2016	10/13/2016	16,655.90	12,335.76	4,320.14
NEXPOINT CREDIT STRATEGIES	4464	2/20/2016	10/19/2016	78,317.49	58,495.19	19,822.30
NEXPOINT CREDIT STRATEGIES	6622	2/23/2016	10/20/2016	120,361.01	96,062.95	24,298.06
NIPPON TEL & TEL	145	10/4/2013	11/16/2016	3,819.82	1,773.68	2,046.14
NIPPON TEL & TEL	235	2/20/2016	11/21/2016	6,190.75	3,248.19	2,942.56
NUVEEN MORTGAGE TERM FUND	2936	2/29/2016	10/6/2016	65,565.87	60,418.55	5,147.32
NUVEEN MORTGAGE TERM FUND	791	5/5/2017	10/7/2016	15,654.52	14,473.78	1,180.74
NUVEEN MORTGAGE TERM FUND	664	2/20/2016	10/11/2016	14,828.25	13,724.17	1,104.08
NUVEEN MORTGAGE TERM FUND	1,38	2/20/2016	10/13/2016	23,180.31	21,339.25	1,841.06
NUVEEN MORTGAGE TERM FUND	2100	2/20/2016	10/13/2016	46,986.57	42,991.80	3,994.77
NUVEEN MORTGAGE TERM FUND	2,034	2/20/2016	10/14/2016	45,422.68	42,040.18	3,382.50
NUVEEN MORTGAGE TERM FUND	874	2/20/2016	10/17/2016	19,469.28	17,879.99	1,589.29
NUVEEN MORTGAGE TERM FUND	1245	2/20/2016	10/18/2016	27,770.97	25,832.54	1,938.43
NUVEEN MORTGAGE TERM FUND	1900	2/20/2016	10/19/2016	42,448.58	39,639.58	2,809.00
NUVEEN MORTGAGE TERM FUND	1212	2/20/2016	10/20/2016	27,237.39	25,765.92	1,471.47
OCCIDENTAL PETROLEUM CORP	606	8/3/2015	11/21/2016	40,937.67	46,129.51	(5,191.84)
OCCIDENTAL PETROLEUM CORP	1957	8/3/2015	3/13/2017	122,791.44	139,219.87	(16,428.43)
ORKLA	35	2/5/2014	1/31/2017	313.99	274.75	39.24
ORKLA	35	2/5/2014	1/31/2017	309.82	274.74	35.08
ORKLA	35	2/5/2014	1/31/2017	307.66	274.75	32.91
ORKLA	35	2/5/2014	1/31/2017	310.92	274.74	36.18
ORKLA	35	2/5/2014	1/31/2017	317.23	275.04	42.19
ORKLA	35	2/5/2014	1/31/2017	319.16	275.75	43.41
ORKLA	35	2/5/2014	1/31/2017	322.81	275.75	47.06
ORKLA	35	2/5/2014	1/31/2017	324.33	275.75	48.58
ORKLA	35	2/5/2014	1/31/2017	322.88	275.76	47.12
ORKLA	30	2/5/2014	1/31/2017	275.24	236.36	38.88
ORKLA	50	1/30/2014	2/28/2017	459.73	393.94	65.79
ORKLA	40	1/30/2014	2/28/2017	366.86	315.15	51.71
ORKLA	260	1/30/2014	2/28/2017	2,407.57	2,048.46	359.11
ORKLA	295	1/31/2014	2/28/2017	2,746.66	2,301.88	444.78
ORKLA	295	1/31/2014	2/28/2017	2,756.07	2,278.99	477.08
ORKLA	220	1/31/2014	2/28/2017	2,078.07	1,687.62	390.45
ORKLA	40	1/31/2014	2/28/2017	375.95	306.84	69.11

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ORKLA	40	1/31/2014	2/28/2017	376.78	306.84	69.94
ORKLA	250	2/3/2014	2/28/2017	2,343.62	1,929.66	413.96
ORKLA	45	2/3/2014	2/28/2017	431.13	347.75	83.38
ORKLA	25	2/3/2014	2/28/2017	226.00	193.19	32.81
ORKLA	25	2/4/2014	2/28/2017	220.26	193.19	27.07
PACWEST BANCORP	54	11/21/2014	12/7/2016	2,798.57	2,267.93	530.64
PACWEST BANCORP	59	11/21/2014	12/7/2016	3,057.00	2,477.92	579.08
PACWEST BANCORP	148	11/7/2014	12/20/2016	8,018.81	6,215.81	1,803.00
PACWEST BANCORP	96	10/30/2014	12/27/2016	5,274.88	4,031.88	1,243.00
PACWEST BANCORP	138	10/30/2014	1/11/2017	7,695.67	5,665.80	2,029.87
PACWEST BANCORP	248	1/24/2014	3/31/2017	14,060.65	9,600.59	4,460.06
PACWEST BANCORP	258	10/30/2014	3/31/2017	14,386.82	11,748.95	2,637.87
PACWEST BANCORP	222	10/30/2014	3/31/2017	12,377.30	10,101.24	2,276.06
PACWEST BANCORP	165	12/29/2014	7/25/2017	8,072.73	7,594.00	478.73
PIMCO DYNAMIC CREDIT INC	17203	2/22/2016	10/6/2016	290,008.44	228,335.03	61,673.41
PLAINS GP HOLDINGS	9425	2/7/2017	8/7/2017	200,379.34	304,206.60	(103,827.26)
PNC FINANCIAL	192	10/30/2014	7/25/2017	24,380.72	16,456.57	7,924.15
PNC FINANCIAL	106	1/11/2017	8/10/2017	13,875.98	12,626.54	1,249.44
PNC FINANCIAL	107	1/11/2017	8/15/2017	13,847.37	12,745.65	1,101.72
POLAR CAPITAL GLOBAL FIN	35230	3/11/2016	10/6/2016	46,615.81	46,496.52	119.29
POLAR CAPITAL GLOBAL FIN	113040	3/11/2016	10/6/2016	149,572.86	149,112.27	460.59
POLAR CAPITAL GLOBAL FIN	53015	2/3/2014	10/7/2016	73,081.68	77,505.51	(4,423.83)
PROCTOR & GAMBLE	245	1/29/2015	10/7/2016	20,819.63	18,523.20	2,296.43
PROCTOR & GAMBLE	492	2/7/2017	11/17/2016	40,824.82	37,197.61	3,627.21
PROCTOR & GAMBLE	185	1/24/2014	12/16/2016	15,727.95	13,986.91	1,741.04
PROCTOR & GAMBLE	53	1/24/2014	12/16/2016	4,512.38	4,007.06	505.32
PROCTOR & GAMBLE	171	2/7/2017	12/16/2016	14,492.86	12,928.44	1,564.42
RECLASS FR 2016		12/31/2016	6/30/2017	202.19	-	202.19
RECLASS FR 2016		12/31/2016	6/30/2017	-2,067.28	-	(2,067.28)
REGIONS FINANCIAL	755	10/30/2014	10/13/2016	7,845.49	7,371.52	473.97
REGIONS FINANCIAL	222	2/7/2017	10/14/2016	2,264.73	2,167.52	97.21
REGIONS FINANCIAL	222	8/31/2016	10/14/2016	2,269.93	2,167.52	102.41
REGIONS FINANCIAL	1517	1/24/2014	10/14/2016	15,612.62	14,811.38	801.24
REGIONS FINANCIAL	61	10/31/2014	10/20/2016	609.69	595.58	14.11
REGIONS FINANCIAL	1521	10/31/2014	10/20/2016	15,226.86	14,850.43	376.43
REGIONS FINANCIAL	361	8/31/2016	10/20/2016	3,629.42	3,524.66	104.76
REGIONS FINANCIAL	1093	10/31/2014	3/31/2017	27,749.58	17,580.35	10,169.23
REGIONS FINANCIAL	1795	10/31/2014	3/31/2017	27,556.78	17,525.66	10,031.12
REYNOLDS AMERICAN, INC	1486	4/25/2013	10/26/2016	80,631.96	46,650.96	33,980.98
REYNOLDS AMERICAN, INC	1385	4/25/2013	10/26/2016	75,100.82	48,260.04	26,840.78
REYNOLDS AMERICAN, INC	3034	8/12/2015	2/7/2017	181,981.73	69,378.33	112,603.40
ROWAN COS 5.85% 1/15/2044	14000	5/2/2017	9/28/2017	10,710.00	11,301.57	(591.57)
SANOFI	250	5/2/2017	12/12/2016	10,103.58	12,666.69	(2,563.11)
SANOFI	215	4/25/2013	12/13/2016	8,528.20	10,893.35	(2,365.15)
SIGNA TELECOM	30	10/4/2013	2/28/2017	815.85	913.95	(98.10)
SIGNA TELECOM	45	10/4/13	2/28/2017	210.38	1,370.92	(130.54)
SIGNA TELECOM	140	10/4/2013	2/28/2017	3,820.88	4,265.08	(444.20)
SIGNA TELECOM	45	10/4/2013	2/28/2017	237.15	1,370.92	(133.77)
SIGNA TELECOM	30	10/4/2013	2/28/2017	816.73	913.95	(97.22)
SIGNA TELECOM	30	10/4/2013	2/28/2017	816.25	913.95	(97.70)
SIGNA TELECOM	25	10/4/2013	2/28/2017	676.20	761.62	(85.42)
SIGNA TELECOM	20	10/4/2013	2/28/2017	547.07	609.30	(62.23)
SIGNA TELECOM	20	10/10/13	2/28/2017	523.31	464.45	58.86
SIGNA TELECOM	25	10/10/2013	2/28/2017	606.37	541.85	64.52
SIGNA TELECOM	25	10/10/2013	2/28/2017	609.53	541.85	67.68

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<u>Description</u>	<u>SHARES OR FACE VALUE</u>	<u>Date of Purchase</u>	<u>Date of Sale</u>	<u>Proceeds From Sale</u>	<u>Cost of Shares Sold</u>	<u>Gain/Loss</u>
SIGNA TELECOM	710	3/17/2014	2/28/2017	13 086 15	19 368 68	(6 282 53)
SIGNA TELECOM	35	10/10/2013	2/28/2017	602 48	541 85	60 63
SIGNA TELECOM	1220	1/20/2015	2/28/2017	27 658 50	23 987 38	3 671 12
SINGAPORE TELECOM	200	10/10/2013	12/9/2016	5 267 08	6,092 98	(825 90)
SINGAPORE TELECOM	225	1/20/2015	12/12/2016	5,921 94	6,854 60	(932 66)
SINGAPORE TELECOM	190	1/20/2015	12/13/2016	5 103 84	5,788 33	(684 49)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	795 33	913 95	(118 62)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	799 49	913 95	(114 46)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	805 05	913 95	(108 90)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	792 50	913 95	(121 45)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	791 14	913 95	(122 81)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	794 25	913 95	(119 70)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	800 63	913 95	(113 32)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	812 11	913 95	(101 84)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	818 08	913 95	(95 87)
SINGAPORE TELECOM	30	10/4/2013	1/31/2017	813 20	913 95	(100 75)
SNAP-ON	1	10/4/2013	4/28/2017	1 827 67	1,096 18	831 49
SNAP-ON	39	10/4/2013	4/28/2017	6 827 71	3,886 46	2 941 25
SNAP-ON	5	10/4/2013	5/1/2017	11 117 14	6,477 44	4,639 70
SNAP-ON	1	10/4/2013	5/2/2017	171 25	99 65	71 60
SNAP-ON	4	10/4/2013	5/2/2017	681 94	398 61	283 33
SNAP-ON	5	10/4/2013	5/2/2017	852 63	498 26	354 37
SNAP-ON	12	10/4/2013	5/3/2017	2,012 25	1 195 84	816 41
SNAP-ON	5	10/4/2013	5/4/2017	838 21	498 26	339 95
SNAP-ON	13	10/4/2013	5/5/2017	2 189 04	1 295 49	893 55
SNAP-ON	6	10/4/2013	5/8/2017	1 005 08	587 92	407 16
SOCIETE GENERALE-SPONS ADR	1424	11/17/2017	6/14/2017	15 345 27	12 717 45	2 627 82
SOCIETE GENERALE-SPONS ADR	4170	5/2/2017	11/10/2016	33 551 08	30 842 86	2 708 22
SOCIETE GENERALE-SPONS ADR	2620	10/4/2013	11/17/2016	22 521 20	19 285 33	3 235 87
SOCIETE GENERALE-SPONS ADR	2689	5/2/2017	12/23/2016	28 039 98	19 624 27	6 415 71
SOCIETE GENERALE-SPONS ADR	1343	5/2/2017	12/27/2016	12 994 72	9 680 28	3 314 44
SOCIETE GENERALE-SPONS ADR	2675	10/21/2016	1/11/2017	26 957 00	19 296 60	7 660 40
SOCIETE GENERALE-SPONS ADR	367	10/25/2016	2/28/2017	21 167 37	16 728 55	4 438 82
SOCIETE GENERALE-SPONS ADR	21	10/25/2016	2/28/2017	994 02	652 97	341 05
SOCIETE GENERALE-SPONS ADR	7725	10/30/2014	2/28/2017	189 833 87	132 074 76	57 759 11
SOCIETE GENERALE-SPONS ADR	3050	10/25/2016	3/31/2017	29 315 96	23 091 30	6 224 66
SOCIETE GENERALE-SPONS ADR	2768	10/25/2016	3/31/2017	27 260 33	20 976 21	6 284 12
SOCIETE GENERALE-SPONS ADR	4771	10/25/2016	3/31/2017	48 176 51	36 096 59	12,079 92
SOCIETE GENERALE-SPONS ADR	5421	10/25/2016	3/31/2017	54 431 08	41 490 58	12 940 50
SOCIETE GENERALE-SPONS ADR	1424	5/2/2017	6/14/2017	15 345 27	12 717 45	2 627 82
SOUTHERN CO	1103	7/19/2016	7/3/2017	54 344 50	58,951 93	(4 607 43)
SSE PLC	10	3/21/2014	11/17/2016	246 03	313 46	(67 43)
SSE PLC	1175	3/24/2014	11/18/2016	29 030 28	36 875 42	(7,845 14)
SSE PLC	30	10/25/2016	11/21/2016	745 61	951 34	(205 73)
STATOIL	350	10/4/2013	1/31/2017	6 628 12	7 962 57	(1 334 45)
STATOIL	675	10/4/2013	1/31/2017	12 673 12	15 356 38	(2 683 26)
STOCK COST VALUE CHANGE		10/4/2013	6/30/2017	-2 181 53	-	(2 181 53)
SUMITOMO MITSUBISHI SPON	839	7/31/2016	12/27/2016	6 600 52	4,778 57	1,821 95
SUMITOMO MITSUBISHI SPON	67	7/31/2016	12/28/2016	524 33	383 92	140 41
SUMITOMO MITSUBISHI SPON	505	7/31/2016	12/28/2016	3 942 20	2,910 71	1 031 49
SUMITOMO MITSUBISHI SPON	596	7/24/2015	3/31/2017	55 958 88	47 377 67	8,581 21
SUMITOMO MITSUBISHI SPON	595	7/31/2016	3/31/2017	4 518 94	3 461 17	1 057 77
SUMITOMO MITSUBISHI SPON	89	7/31/2016	3/31/2017	675 70	517 72	157 98
SUMITOMO MITSUBISHI SPON	2990	7/31/2016	3/31/2017	22,675 67	17,487 75	5 187 92
SUMITOMO MITSUBISHI SPON	2772	10/25/2016	3/31/2017	27 987 16	24,361 71	3 625 45

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Description	SHARES OR FACE VALUE	Date of Purchase	Date of Sale	Proceeds From Sale	Cost of Shares Sold	Gain/Loss
SUMITOMO MITSUI SPON	304	7/31/2016	3/31/2017	2 244 17	1 833 68	410 49
SUMITOMO MITSUI SPON	3199	7/31/2016	3/31/2017	23,583 16	19 575 87	4 007 29
SUMITOMO MITSUI SPON	1269	10/25/2016	3/31/2017	12 913 06	11 333 18	1,579 88
SUMITOMO MITSUI SPON	1872	7/31/2016	3/31/2017	9 152 80	11 299 17	(2,146 37)
SUMITOMO MITSUI SPON	1522	7/31/2016	3/31/2017	11 377 77	9,152 80	2 224 97
SUMITOMO MITSUI SPON	2076	8/22/2016	4/24/2017	14,789 10	12 264 89	2,524 21
SUMITOMO MITSUI SPON	76	11/21/2016	4/24/2017	541 49	444 58	96 91
SUMITOMO MITSUI SPON	143	11/21/2016	4/24/2017	1 019 21	840 33	178 88
SUMITOMO MITSUI SPON	1345	11/21/2016	4/24/2017	9,739 74	8,673 08	1,066 66
SUMITOMO MITSUI SPON	543	8/22/2016	5/17/2017	4 006 77	3,629 05	377 72
SUMITOMO MITSUI SPON	384	8/22/2016	5/18/2017	2 806 05	2,597 48	208 57
SUMITOMO MITSUI SPON	372	11/21/2016	5/18/2017	2 704 35	2 502 79	201 56
SUMITOMO MITSUI SPON	12825	11/21/2016	5/19/2017	93 764 09	95 044 90	(1 280 81)
SUMITOMO MITSUI SPON	214	11/21/2016	12/28/2016	1 674 90	1 226 35	448 55
SUMITOMO MITSUI SPON	501	11/21/2016	12/28/2016	3 942 20	2,910 71	1 031 49
SUNTRUST BANKS	339	8/31/2016	10/14/2016	15 517 56	13 047 84	2 469 72
SUNTRUST BANKS	54	8/31/2016	10/14/2016	2 464 78	2 078 42	386 36
SUNTRUST BANKS	149	8/31/2016	10/14/2016	6 772 35	5 734 89	1,037 46
SUNTRUST BANKS	7	8/31/2016	10/14/2016	318 70	269 42	49 28
SUNTRUST BANKS	689	11/21/2016	10/21/2016	31 056 97	26 519 06	4 537 91
SUNTRUST BANKS	192	11/21/2016	10/21/2016	8,699 91	7 389 93	1 309 98
SUNTRUST BANKS	163	7/12/2017	10/28/2016	7,399 21	6 273 74	1 125 47
SUNTRUST BANKS	5	7/12/2017	10/28/2016	226 39	192 45	33 94
SUNTRUST BANKS	669	7/12/2017	10/28/2016	30 261 70	27,357 46	2 904 24
SUNTRUST BANKS	83	7/12/2017	10/31/2016	3 753 73	3 526 37	227 36
SUNTRUST BANKS	186	11/21/2016	11/7/2016	8 335 87	7,886 33	449 54
SUNTRUST BANKS	198	8/31/2016	11/7/2016	8 849 71	8 399 06	450 65
SUNTRUST BANKS	5278	11/21/2016	11/7/2016	23 550 80	22 402 88	1 147 92
SUNTRUST BANKS	57	9/16/2016	9/22/2017	3,194 68	2 436 20	758 48
SUNTRUST BANKS	7	9/16/2016	9/22/2017	296 04	299 43	(3 39)
SUNTRUST BANKS	76	9/16/2016	9/25/2017	4 325 76	3,250 94	1 074 82
SUNTRUST BANKS	110	9/16/2016	9/26/2017	6 270 33	4,712 62	1 557 71
TARGET CORP	3493	3/6/2017	6/23/2017	178 937 24	200,828 43	(21,891 19)
TCF FINANCIAL CORP	151	2/15/2017	8/9/2017	2 375 80	2,376 00	(0 20)
TCF FINANCIAL CORP	151	2/15/17	8/9/2017	2 376 90	2 376 90	-
TCF FINANCIAL CORP	362	2/15/2017	8/10/2017	5,723 35	5 731 53	(8 18)
THERMO FISHER	3000	5/5/2017	6/2/2017	3 048 21	3 092 24	(44 03)
TIME WARNER INC	188	10/23/2014	10/27/2016	16,475 16	11 936 90	4 538 26
TIME WARNER INC	30	2/15/2017	11/15/2016	2 596 30	1,904 82	691 48
TIME WARNER INC	126	2/15/2017	11/15/2016	10 906 73	8 000 26	2 906 47
TIME WARNER INC	60	2/15/2017	11/15/2016	5 214 74	3 809 65	1,405 09
TIME WARNER INC	8	2/15/2017	11/15/2016	694 65	507 95	186 70
TIME WARNER INC	226	10/4/2013	1/11/2017	21 443 45	14 349 68	7 093 77
TIME WARNER INC	10	10/4/2013	1/11/2017	947 87	634 94	312 93
TIME WARNER INC	6	10/4/2013	1/11/2017	567 83	380 97	186 86
TIME WARNER INC	18	10/4/2013	1/11/2017	1 705 74	1 142 89	562 85
TIME WARNER INC	4	10/4/2013	1/11/2017	378 53	253 98	124 55
TIME WARNER INC	10	10/4/2013	1/11/2017	939 53	634 94	304 59
TIME WARNER INC	10	10/4/2013	1/11/2017	942 34	634 94	307 40
TIME WARNER INC	18	10/4/2013	1/11/2017	1,684 26	1 142 90	541 36
TIME WARNER INC	16	10/4/2013	1/11/2017	1,498 38	1 015 91	482 47
TIME WARNER INC	9	10/4/2013	1/11/2017	846 05	571 45	274 60
TIME WARNER INC		10/4/2013	1/11/2017	653 70	444 46	209 24
TIME WARNER INC	16	10/4/2013	1/11/2017	1,491 61	1,015 91	475 70
TIME WARNER INC	12	10/4/2013	1/11/2017	1 120 72	761 93	358 79

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TIME WARNER INC	19	10/4/2013	1/11/2017	1 773 42	1 206 39	567 03
TIME WARNER INC	6	10/4/2013	1/11/2017	560 66	380 96	179 70
TIME WARNER, INC	28	10/4/2013	1/11/2017	2 600 48	1 777 84	822 64
TIME WARNER, INC	147	10/23/2014	8/8/2017	15 066 03	9 333 64	5 732 39
TORONTO DOM BANK	2066	4/24/2017	5/5/2017	95 920 22	101 496 23	(5,576 01)
U S TREASURY	950000	4/24/2017	11/22/2016	948,998 05	948 755 58	242 47
UBS GROUP	309	4/24/2017	12/7/2016	4,647 65	4 975 03	(127 38)
UBS GROUP	153	4/24/2017	12/7/2016	2,393 60	2 463 36	(69 76)
UBS GROUP	784	11/8/2014	12/2/2016	12 704 29	12,624 42	79 87
UBS GROUP	623	4/6/2016	1/11/2017	17 324 01	10 226 75	97 26
UBS GROUP	982	4/6/2016	5/30/2017	15 936 04	16 245 22	(309 18)
UNILEVER	1517	10/4/2013	11/18/2016	5 034 97	54 527 26	2,507 71
UNILEVER	50	10/4/2013	1/31/2017	2,066 12	1 888 57	177 55
UNILEVER	30	10/4/2013	1/31/2017	1 239 50	1,133 15	106 35
UNILEVER	90	10/4/2013	1/31/2017	3 773 28	3 399 43	373 85
UNILEVER	65	10/4/2013	2/28/2017	2 642 82	2,455 15	187 67
USTN 5%		10/14/2015	7/31/2017	1 400 000 00	1 399,798 80	201 20
USTN 1 375%-7/31/2019	32400	8/14/2017	9/28/2017	32 424 04	32 444 30	(20 26)
USTN- 875%-5/15/2019	69300	5/3/2017	8/16/2017	68 947 03	68 933 10	13 93
USTN-1%-5/15/2018	11100	5/3/2017	7/5/2017	11 091 10	11 083 96	7 14
USTN-1%-5/15/2018	61800	5/3/2017	8/16/2017	61 854 79	61 933 59	(78 80)
USTN-1 125%-7/31/2023	34800	5/3/2017	8/16/2017	33,526 14	33 391 84	134 30
USTN-1 625%-2/15/2026	14700	5/5/2017	8/16/2017	14 093 70	14,039 53	54 17
USTN-1 875%-6/30/2020	56400	6/2/2017	8/16/2017	57 240 06	57,452 26	(212 20)
USTN-2 25% 11/15/2025	15800	5/5/2017	8/16/2017	16 021 92	15,946 95	74 97
USTN-2 625% 11/15/20	325000	12/15/2011	9/30/2017	336 248 05	334 726 24	1 521 81
VALUE PORTFOLIO	147601 476		12/22/2016	2 000,000 141	1 529 610 65	470 389 35
VALUE PORTFOLIO	STCG		12/22/2016	620,892 67	-	620 892 67
VALUE PORTFOLIO	LTCG		12/22/2016	905,472 64	-	905 472 64
VERIZON COMMUNICATIONS	6000	5/5/2017	6/2/2017	5 749 62	5,874 96	(125 34)
VERIZON COMMUNICATIONS	506	4/25/2013	7/3/2017	22 673 76	23 275 39	(601 63)
VF CORP	120	10/4/2013	1/11/2017	6 405 33	7,880 60	(1 475 27)
VF CORP	29	10/4/2013	1/11/2017	1 547 24	1 906 37	(359 13)
VF CORP	5	10/4/2013	1/11/2017	267 58	328 68	(61 00)
VF CORP	83	10/4/2013	1/11/2017	4 431 63	5 456 16	(1,024 53)
VF CORP	263	10/4/2013	1/11/2017	14,116 99	17 347 57	(3 230 58)
VF CORP	166	10/27/2015	2/28/2017	8 829 64	11 094 71	(2 265 07)
VF CORP	164	10/28/2015	2/28/2017	8 680 43	11 053 79	(2 373 36)
VF CORP	282	10/27/2015	5/4/2017	15 023 50	17 580 15	(2 557 15)
VF CORP	265	10/28/2015	5/5/2017	14 169 91	18 332 85	(4 162 94)
VF CORP	155	1/11/2016	5/15/2017	8 616 46	10 046 44	(1,429 98)
VF CORP	107	1/11/2016	5/15/2017	5 948 81	6 015 03	(66 22)
VF CORP	266	3/11/2016	5/16/2017	14 511 25	16 741 42	(2 230 17)
VODAPHONE	30	10/4/2013	4/5/2017	793 48	1 954 35	(1 160 87)
VODAPHONE	30	10/4/2013	4/5/2017	788 90	1 954 35	(1 167 45)
VODAPHONE	30	10/4/2013	4/5/2017	783 12	1 954 35	(1 171 25)
VODAPHONE	30	10/4/2013	4/10/2017	782 78	1 954 35	(1 171 57)
VODAPHONE	30	10/4/2013	4/11/2017	773 81	1 954 35	(1 180 54)
VODAPHONE	30	10/4/2013	4/12/2017	766 40	1 954 55	(1 188 15)
VODAPHONE	25	10/4/2013	4/12/2017	642 84	1 628 62	(985 78)
VODAPHONE	25	10/4/2013	4/17/2017	643 72	1 628 62	(984 90)
WA/CLAY US NFL-LKD OPP&INC	581	10/4/2013	10/6/2016	5 874 49	5,268 07	606 42
WA/CLAY US NFL-LKD OPP&INC	2261	10/4/2013	10/7/2016	22,860 97	20,606 85	2 254 12
WA/CLAY US NFL-LKD OPP&INC	315	2/20/2016	10/11/2016	3 184 97	2,884 86	300 11
WA/CLAY US NFL-LKD OPP&INC	10230	2/20/2016	10/13/2016	103 435 53	94 169 61	9 265 92

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WA/CLAY US INFL-LKD OPP&INC	2743	2/20/2016	10/13/2016	27 734 47	25 214 59	2 519 88
WA/CLAY US INFL-LKD OPP&INC	315	2/20/2016	10/14/2016	3 184 97	2 897 15	287 82
WA/CLAY US INFL-LKD OPP&INC	7533	2/20/2016	10/17/2016	76 166 16	69 778 47	6 387 69
WA/CLAY US INFL-LKD OPP&INC	3719	2/20/2016	10/18/2016	37 602 81	34 454 08	3 148 73
WALGREENS	6000	5/5/2017	6/2/2017	6 818 11	6 091 30	726 81
WASH SALE ADJ TO COST BASIS	WASH SALE	2/20/2016	8/14/2017	847 19	-	847 19
WASH SALE ADJ TO COST BASIS		2/20/2016	5/26/2017	2 017 91	-	2 017 91
WEIGARTEN	1221	1/21/2014	3/14/2017	39 350 50	42 644 72	3 294 22
WEIGARTEN	1325	1/29/2014	3/15/2017	42 054 45	46 277 03	4 222 58
WEIGARTEN	1072	10/29/2014	3/15/2017	33 547 93	37 483 34	3 935 41
WELLS FARGO	6000	5/14/2013	6/2/2017	6 118 63	6 117 99	0 64
WELLS FARGO & CO	907	10/4/2013	11/9/2016	40 697 66	37 221 29	3 476 37
WELLS FARGO & CO	60	10/4/2013	2/28/2017	3 339 20	2 462 27	876 93
WELLS FARGO & CO	68	10/4/2013	2/28/2017	3 781 06	2 790 57	990 49
WELLS FARGO & CO	347	10/4/2013	2/28/2017	19 514 86	14 240 12	5 274 74
WITAN INVESTMENT TR PLC	23942	2/22/2016	10/6/2016	257 095 34	255 071 52	2 023 82
WITAN INVESTMENT TR PLC	12900	2/20/2016	10/7/2016	137 204 51	138 186 03	981 52
WITAN INVESTMENT TR PLC	14594	2/20/2016	10/10/2016	156 626 82	160 480 03	3 853 21
ZIONS BANCORP	50	11/16/2016	12/27/2016	2 181 75	1 828 48	353 27
ZIONS BANCORP	69	11/16/2016	12/27/2016	3 003 43	2 523 30	480 13
ZIONS BANCORP	174	11/18/2016	12/27/2016	7 577 22	6 363 10	1 214 12
ZIONS BANCORP	1221	11/16/2016	1/11/2017	52 363 15	44 923 90	7 439 25
ZIONS BANCORP	115	11/17/2016	1/11/2017	4 899 69	4 419 08	480 61
ZIONS BANCORP	156	11/17/2016	1/11/2017	6 605 36	5 994 58	610 78
ZIONS BANCORP	333	11/18/2016	1/11/2017	13 956 56	12 769 62	1 186 94
ZIONS BANCORP	610	11/17/2016	7/10/2017	27 190 38	23 318 77	3 871 61
ZIONS BANCORP	2530	11/17/2016	9/15/2017	108 412 30	96 275 07	12 137 23
ZIONS BANCORP	379	11/17/2016	9/15/2017	16 264 41	14 460 45	1 803 96
ZIONS BANCORP	2038	5/24/2017	9/18/2017	87 446 72	83 702 96	3 743 76

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