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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ Do not enter social security numbers on this form as it may be made public.

▶ Go to www.irs.gov/Form990PF for instructions and the latest information.

OMB No 1545-0052

2017

Open to Public Inspection

For calendar year 2017 or tax year beginning , and ending

Name of foundation: SUSAN AND ELIHU ROSE FOUNDATION, INC.

A Employer identification number: 13-3484181

Number and street (or P O box number if mail is not delivered to street address) / Room/suite: 777 THIRD AVENUE, 6TH FLOOR

B Telephone number: 212 210-6666

City or town, state or province, country, and ZIP or foreign postal code: NEW YORK, NY 10017-1307

C If exemption application is pending, check here ▶ ☐

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

D 1. Foreign organizations, check here ▶ ☐

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

03/04

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

04

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) ▶$ 14,781,745.

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).)

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received	2,100,000.		N/A	
	2 Check ▶ ☐ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	681.	681.		STATEMENT 1
	4 Dividends and interest from securities	152,383.	155,189.		STATEMENT 2
	5a Gross rents		46,063.		
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	5,113,796.			
	b Gross sales price for all assets on line 6a 3,591,024.				
	7 Capital gain net income (from Part IV, line 2)		5,212,728.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss)				
	11 Other income	0.	100,459.		STATEMENT 3
	12 **Total.** Add lines 1 through 11	7,366,860.	5,515,120.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees STMT 4	20,783.	15,578.		20,783.
	b Accounting fees STMT 5	25,019.	0.		25,019.
	c Other professional fees STMT 6	81,463.	81,463.		0.
	17 Interest				
	18 Taxes STMT 7	112,593.	2,951.		0.
	19 Depreciation and depletion		2,314.		
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 8	6,703.	62,027.		2,370.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	246,561.	164,333.		48,172.
	25 Contributions, gifts, grants paid	5,071,335.			5,071,335.
	26 **Total expenses and disbursements** Add lines 24 and 25	5,317,896.	164,333.		5,119,507.
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	2,048,964.			
	b **Net investment income** (if negative, enter -0-)		5,350,787.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

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723501 01-03-18 LHA For Paperwork Reduction Act Notice, see instructions. Form **990-PF** (2017)

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	551,059.	2,225,614.	2,225,614.
	3 Accounts receivable ▶			
	Less. allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 9	3,464,711.	3,921,267.	4,945,681.
	c Investments - corporate bonds STMT 10	919,205.	931,673.	927,088.
	11 Investments - land buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 11	1,760,274.	1,665,659.	6,683,362.
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	6,695,249.	8,744,213.	14,781,745.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here** ▶ [X] **and complete lines 24 through 26, and lines 30 and 31.**			
	24 Unrestricted	6,695,249.	8,744,213.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ [ ] **and complete lines 27 through 31.**			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 **Total net assets or fund balances**	6,695,249.	8,744,213.	
	31 **Total liabilities and net assets/fund balances**	6,695,249.	8,744,213.	

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	6,695,249.
2 Enter amount from Part I, line 27a	2	2,048,964.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	8,744,213.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	8,744,213.

Part IV Capital Gains and Losses for Tax on Investment Income SEE ATTACHED STATEMENT

	(a) List and describe the kind(s) of property sold (for example, 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				
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))
a				
b				
c				
d				
e	3,591,024.		3,134,437.	5,212,728.

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

	(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col (k), but not less than -0-) or Losses (from col. (h))
a				
b				
c				
d				
e				5,212,728.

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	5,212,728.
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). If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col. (c))
2016	5,098,592.	16,656,446.	.306103
2015	2,811,767.	18,704,089.	.150329
2014	4,283,511.	19,321,136.	.221701
2013	9,518,858.	2,151,274.	4.424754
2012	5,951,342.	3,680,128.	1.617156

2 Total of line 1, column (d)	2	6.720043
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5.0, or by the number of years the foundation has been in existence if less than 5 years	3	1.344009
4 Enter the net value of noncharitable-use assets for 2017 from Part X, line 5	4	15,996,434.
5 Multiply line 4 by line 3	5	21,499,351.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	53,508.
7 Add lines 5 and 6	7	21,552,859.
8 Enter qualifying distributions from Part XII, line 4	8	5,119,507.

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	107,016.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations, enter 4% of Part I, line 12, col (b).				
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)			2	0.
3 Add lines 1 and 2			3	107,016.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only, others, enter -0-)			4	0.
5 **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-			5	107,016.
6 Credits/Payments:				
a 2017 estimated tax payments and 2016 overpayment credited to 2017	6a	139,651.		
b Exempt foreign organizations - tax withheld at source	6b	0.		
c Tax paid with application for extension of time to file (Form 8868)	6c	0.		
d Backup withholding erroneously withheld	6d	0.		
7 Total credits and payments Add lines 6a through 6d			7	139,651.
8 Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached			8	153.
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	32,482.
11 Enter the amount of line 10 to be **Credited to 2018 estimated tax** ▶		32,482. Refunded ▶	11	0.

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		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition	1b		X
If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?	2		X
If "Yes," attach a detailed description of the activities.			
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?	5		X
If "Yes," attach the statement required by *General Instruction T*			
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	7	X	
8a Enter the states to which the foundation reports or with which it is registered. See instructions. ▶ DE, NY			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G*? If "No," attach explanation	8b	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2017 or the tax year beginning in 2017? See the instructions for Part XIV. If "Yes," complete Part XIV	9		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

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

Website address ▶ NONE

14 The books are in care of ▶ MICHAEL SCHINDLER Telephone no.▶212 210-6666

Located at ▶777 THIRD AVENUE, 6TH FLOOR, NEW YORK, NY ZIP+4 ▶10017-1307

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - check here ▶ ☐

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

			Yes	No
16	At any time during calendar year 2017, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ▶			

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

			Yes	No
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			
1a	During the year, did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ 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	1b		X
	Organizations relying on a current notice regarding disaster assistance, check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2017?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2017, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2017? ☐ Yes ☒ No			
	If "Yes," list the years ▶ ______, ______, ______, ______			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.) N/A	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. ▶ ______, ______, ______, ______			
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 2017 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 2017.) N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2017?	4b		X

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

			Yes	No
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 [X] 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 [X] No			
(3) Provide a grant to an individual for travel, study, or other similar purposes?	[ ] Yes [X] No			
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions	[ ] Yes [X] 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 [X] No			
b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions	N/A	5b		
Organizations relying on a current notice regarding disaster assistance, check here	▶ [ ]			
c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A	[ ] Yes [ ] No			
If "Yes," attach the statement required by Regulations section 53.4945-5(d).				
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	[ ] Yes [X] No			
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		6b		X
If "Yes" to 6b, file Form 8870.				
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	[ ] Yes [X] No			
b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?	N/A	7b		

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ELIHU ROSE 777 THIRD AVENUE, 6TH FLOOR NEW YORK, NY 10017-1307	PRESIDENT/SECRETARY/DIRECTOR 2.00	0.	0.	0.
SUSAN W. ROSE 777 THIRD AVENUE, 6TH FLOOR NEW YORK, NY 10017-1307	TREASURER/DIRECTOR 2.00	0.	0.	0.

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

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

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

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

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

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over $50,000 for professional services ▶		0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3 ▶	0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	11,825,344.
b	Average of monthly cash balances	1b	1,772,024.
c	Fair market value of all other assets	1c	2,642,667.
d	**Total** (add lines 1a, b, and c)	1d	16,240,035.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e: 0.		
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	16,240,035.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	243,601.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	15,996,434.
6	**Minimum investment return.** Enter 5% of line 5	6	799,822.

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	799,822.
2a	Tax on investment income for 2017 from Part VI, line 5	2a	107,016.		
b	Income tax for 2017 (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	107,016.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	692,806.
4	Recoveries of amounts treated as qualifying distributions			4	0.
5	Add lines 3 and 4			5	692,806.
6	Deduction from distributable amount (see instructions)			6	0.
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	692,806.

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	5,119,507.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8; and Part XIII, line 4	4	5,119,507.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	5,119,507.

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 2016	(c) 2016	(d) 2017
1 Distributable amount for 2017 from Part XI, line 7				692,806.
2 Undistributed income, if any, as of the end of 2017				
a Enter amount for 2016 only			0.	
b Total for prior years: ____, ____, ____		0.		
3 Excess distributions carryover, if any, to 2017				
a From 2012 5,771,610.				
b From 2013 9,397,276.				
c From 2014 3,382,513.				
d From 2015 1,912,226.				
e From 2016 4,331,931.				
f Total of lines 3a through e	24,795,556.			
4 Qualifying distributions for 2017 from Part XII, line 4 ▶ $ 5,119,507.				
a Applied to 2016, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2017 distributable amount				692,806.
e Remaining amount distributed out of corpus	4,426,701.			
5 Excess distributions carryover applied to 2017 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 **Enter the net total of each column as indicated below.**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	29,222,257.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2016. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2017. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2018				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2012 not applied on line 5 or line 7	5,771,610.			
9 **Excess distributions carryover to 2018.** Subtract lines 7 and 8 from line 6a	23,450,647.			
10 Analysis of line 9:				
a Excess from 2013 9,397,276.				
b Excess from 2014 3,382,513.				
c Excess from 2015 1,912,226.				
d Excess from 2016 4,331,931.				
e Excess from 2017 4,426,701.				

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2017, enter the date of the ruling ▶

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

	Tax year	Prior 3 years			
	(a) 2017	(b) 2016	(c) 2015	(d) 2014	(e) Total
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test - enter: (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 **Information Regarding Foundation Managers:**

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

SEE STATEMENT 12

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 ▶ [X] 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., to individuals or organizations under other conditions, complete items 2a, b, c, and d.

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

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

c Any submission deadlines:

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

Part XV Supplementary Information *(continued)*

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
92ND STREET Y 1395 LEXINGTON AVENUE NEW YORK , NY 10128	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
ACKERMAN INSTITUTE FOR THE FAMILY 936 BROADWAY NEW YORK, NY 10010	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
AMERICAN ACADEMY OF ARTS AND SCIENCES 136 IRVING STREET CAMBRIDGE, MA 02138	N/A	PC	GENERAL OPERATING EXPENSES	5,300.
AMERICAN ACADEMY OF ARTS AND SCIENCES 136 IRVING STREET CAMBRIDGE, MA 02138	N/A	PC	2018 DUES	325.
AMERICAN ASSOCIATES OF THE NATIONAL THEATRE INC. 268 W 44TH ST, STE 4 NEW YORK, NY 10036	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
Total SEE CONTINUATION SHEET(S)			▶ 3a	5,071,335.
b Approved for future payment				
AMERICAN JEWISH HISTORICAL SOCIETY 15 WEST 16TH STREET - 5TH FLOOR NEW YORK, NY 10011	N/A	PC	ELIHU ROSE FAMILY ARCHIVES	250,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	QUALITY RESEARCH CENTER	100,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	ROSE CENTER FOR FOOT AND ANKLE RESEARCH	300,000.
Total SEE CONTINUATION SHEET(S)			▶ 3b	7,010,000.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	681.	
4 Dividends and interest from securities			14	152,383.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	5,212,728.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)		0.		5,365,792.	0.

13 Total. Add line 12, columns (b), (d), and (e) 13 5,365,792.

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

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes).

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

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

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

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

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

Sign Here

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

Signature of officer or trustee | Date: 11/12/18 | Title: PRESIDENT

May the IRS discuss this return with the preparer shown below? See instr ☒ Yes ☐ No

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
JOSEPH L. ALI, CPA	Joseph L Ali	10/30/18		P02093808

Firm's name ▶ PKF O'CONNOR DAVIES, LLP | Firm's EIN ▶ 27-1728945

Firm's address ▶ 665 FIFTH AVENUE NEW YORK, NY 10022-5342 | Phone no. 212 286-2600

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	PUBLICLY TRADED SECURITIES	P	VARIOUS	VARIOUS
b	INSTITUTIONAL DIVERSIFIED ARBITRAGE STATEGIES	P	VARIOUS	VARIOUS
c	INSTITUTIONAL INVESTMENT FUND LTD.	P	VARIOUS	VARIOUS
d	MILLENIUM INTERNATIONAL LTD.	P	VARIOUS	VARIOUS
e	THRU SCHEDULE K-1S	P	VARIOUS	VARIOUS
f	CAPITAL GAINS DIVIDENDS			
g				
h				
i				
j				
k				
l				
m				
n				
o				

	(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	3,590,994.		3,134,437.	456,557.
b				2,457,310.
c				1,349,899.
d				850,000.
e				98,932.
f	30.			30.
g				
h				
i				
j				
k				
l				
m				
n				
o				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(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				456,557.
b				2,457,310.
c				1,349,899.
d				850,000.
e				98,932.
f				30.
g				
h				
i				
j				
k				
l				
m				
n				
o				

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	5,212,728.
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). If (loss), enter "-0-" in Part I, line 8	3	N/A

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Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
AMERICAN COMPOSERS ORCHESTRA INC. 244 WEST 54TH STREET SUITE 805 NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	10,000.
AMERICAN FRIENDS OF ISRAELI NAVYSEAL INC. 138 WEST 133RD STREET, SUITE 99 NEW YORK, NY 10030	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
AMERICAN JEWISH HISTORICAL SOCIETY 15 WEST 16TH STREET - 5TH FLOOR NEW YORK, NY 10011	N/A	PC	GENERAL OPERATING EXPENSES	10,000.
AMERICAN MUSEUM OF NATURAL HISTORY CPW @ 79TH ST NEW YORK, NY 10024	N/A	PC	PATRONS CIRCLE	150.
AMERICAN TECHNION SOCIETY 55 E 59TH ST, STE 14 NEW YORK, NY 10022	N/A	PC	ANNUAL OPERATING FUND TO SUPPORT MASTER'S FELLOWSHIP	25,000.
ARMY WAR COLLEGE FOUNDATION 125 FORBES AVENUE CARLISLE, PA 17013	N/A	PC	GENERAL OPERATING EXPENSES	20,000.
BRADFORD EDUCATIONAL FOUNDATION 300 CAMPUS DRIVE BRADFORD, PA 16701	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
BREAST CANCER RESEARCH FOUNDATION 60 EAST 56TH STREET,8TH FLOOR NEW YORK, NY 10022	N/A	PC	HOT PINK PARTY	13,450.
BREAST CANCER RESEARCH FOUNDATION 60 EAST 56TH STREET,8TH FLOOR NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
BUSINESS EXECUTIVES FOR NATIONAL SECURITY 1030 15TH ST NW, STE 200 E WASHINGTON, DC 20005	N/A	PC	GENERAL OPERATING EXPENSES	25,000.
Total from continuation sheets				5,059,710.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
CARNEGIE HALL 881 SEVENTH AVE NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	132,850.
CARNEGIE HALL 881 SEVENTH AVE NEW YORK, NY 10019	N/A	PC	GALA TABLE	30,000.
CARNEGIE HILL NEIGHBORS INC. 1326 MADISON AVENUE NEW YORK, NY 10128	N/A	PC	GENERAL OPERATING EXPENSES	250.
CENTRAL PARK CONSERVANCY 14 EAST 60TH STREET NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
CENTRAL SYNAGOGUE 123 E 55TH ST NEW YORK, NY 10022	N/A	PC	YOM KIPPUR APPEAL PLEDGE	25,000.
CHINA INSTITUTE IN AMERICA INCORPORATED 100 WASHINGTON STREET NEW YORK, NY 10006	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
COUNCIL ON FOREIGN RELATIONS 58 E 68TH ST NEW YORK, NY 10131	N/A	PC	GENERAL OPERATING EXPENSES	30,000.
FAMILY EQUALITY COUNCIL 475 PARK AVENUE SOUTH, SUITE 2100 NEW YORK, NY 10016	N/A	PC	GENERAL OPERATING EXPENSES	9,000.
FOOTSTEPS INC. 114 JOHN ST UNIT 930 NEW YORK, NY 10272	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
FRIENDS OF THE NEW CITIES FOUNDATION 1209 ORANGE STREET WILMINTON, DE 19801	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
Total from continuation sheets				

Part XV **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
HARMONY PROGRAM 1700 BROADWAY NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	555.
HASTY PUDDING INSTITUTE OF 1770 PO BOX 381940 CAMBRIDGE, MA 02238	N/A	PC	GENERAL OPERATING EXPENSES	25,000.
HEAF 2090 ADAM CLAYTON POWELL BLVD, 10TH FL NEW YORK, NY 10027	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
HORACE MANN SCHOOL 231 W 246TH ST BRONX, NY 10471	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	GENERAL OPERATING EXPENSES	33,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	RHEUMATOLOGY COUNCIL	25,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	QUALITY RESEARCH CENTER	100,000.
HOSPITAL FOR SPECIAL SURGERY 535 E 70TH ST NEW YORK, NY 10021	N/A	PC	ROSE CENTER FOR FOOT AND ANKLE RESEARCH	300,000.
HOSPITAL FOR SPECIAL SURGERY 535 E. 70TH ST. NEW YORK, NY 10021	N/A	PC	SUSAN W. ROSE AND JONATHAN T. DELAND CHAIR FOR RESEARCH IN FOOT AND ANKLE SURGERY	240,000.
HUNTER COLLEGE FOUNDATION 695 PARK AVENUE ROOM E 1313A NEW YORK, NY 10065	N/A	PC	GENERAL OPERATING EXPENSES	7,500.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
ICAHN SCHOOL OF MEDICINE MOUNT SINAI ONE GUSTAVE L. LEVY PLACE NEW YORK, NY 10029	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
INSTITUTE FOR SPORTS MEDICINE RESEARCH C/O VASSALLO, 157 E 57TH STREET, NO 15A, NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
INTERNATIONAL FRIENDS OF THE INTERNATIONAL LYRIC ART FESTIVAL IN AIX-EN-PROVENCE INC C/O MORRIS MCVEIGH LLP, 767 THIRD AVENUE, NEW YORK, NY 10017	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	EDNA LANDAU/PIANO DEPARTMENT	32,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GRADUATE FELLOWSHIP FUND	200,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	EDNA LANDAU/PIANO DEPARTMENT	30,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING EXPENSES	68,000.
KENT PRESENTS INC. PO BOX 648 KENT, CT 06757	N/A	PC	TICKETS FOR BENEFIT	4,300.
LIBRARY OF AMERICA 14 E 60TH ST NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	30,350.
LIBRARY OF AMERICA 14 E 60TH ST NEW YORK, NY 10022	N/A	PC	ENDOWMENT	100,000.
Total from continuation sheets				

Part XV **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
LINCOLN CENTER THEATER 150 W 65TH STREET NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING EXPENSES	15,000.
MANHATTAN JEWISH EXPERIENCE SYNAGOGUE 131 W 86TH STREET NEW YORK, NY 10024	N/A	PC	GENERAL OPERATING EXPENSES	500.
MARLBORO MUSIC 1538 WALNUT STREET, NO 301 PHILADELPHIA, PA 19102	N/A	PC	SERIES IN WEILL HALL OF MUSICIANS	10,000.
METROPOLITAN OPERA LINCOLN CENTER NEW YORK, NY 10023	N/A	PC	TICKETS FOR BENEFIT	4,730.
METROPOLITAN OPERA LINCOLN CENTER NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING EXPENSES	5,500.
MUSEUM OF THE CITY OF NEW YORK 1220 FIFTH AVE NEW YORK, NY 10029	N/A	PC	GENERAL OPERATING EXPENSES	25,000.
MUSEUM OF WORLD WAR II, INC. 46 ELIOT ST NATICK, MA 01760	N/A	PC	ESTABLISHING, IMPROVING AND EXPANDING THE MUSEUM	25,000.
NATIONAL PARKS OF NY HARBOR CONSERVANCY 26 WALL ST NEW YORK, NY 10005	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
NEUE GALERIE NEW YORK 1048 FIFTH AVENUE NEW YORK, NY 10028	N/A	PC	GENERAL OPERATING EXPENSES	500.
NEW YORK CITY CENTER 130 W 56TH ST, 9TH FL NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
NEW YORK HISTORICAL SOCIETY 170 CPW NEW YORK, NY 10024	N/A	PC	GENERAL OPERATING EXPENSES	5,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ANNUAL FUND	150,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	GENERAL OPERATING EXPENSES	83,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ENDOWMENT TEACHING ARTIST	500,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ARTIST INCENTIVE FUND	400,000.
NEW YORK PRESBYTERIAN HOSPITAL 525 E 68TH ST NEW YORK, NY 10065	N/A	PC	FRIENDS OF THE IRIS CANTOR WOMEN'S HEALTH CENTER	2,000.
NEW YORK PUBLIC RADIO DBA WNYC RADIO WQXR AND NJ PUBLIC RADIO 160 VARICK STREET NEW YORK, NY 10013	N/A	PC	GENERAL OPERATING EXPENSES	7,500.
NEW YORK YOUTH SYMPHONY 110 W 40TH STREET, RM 1503 NEW YORK, NY 10018	N/A	PC	GENERAL OPERATING EXPENSES	1,000.
NORMAN ROCKWELL MUSEUM PO BOX 3085 STOCKBRIDGE, MA 01262	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
ORCHESTRA OF ST. LUKES 330 W 42ND ST, 9TH FL NEW YORK, NY 10036	N/A	PC	GIFT OF MUSIC GALA HONORING DAVID BURY, PABLO HERAS-CASADO	1,000.
Total from continuation sheets				

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Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	TICKETS FOR BENEFIT	68,000.
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	BOARD DUES	35,000.
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	VETERANS ROOM PROJECT	2,000,000.
PEF ISRAEL ENDOWMENT FUNDS 630 THIRD AVENUE, 15TH FLOOR NEW YORK, NY 10017	N/A	PC	COMMANDERS FOR ISRAEL'S SECURITY	10,000.
PLANNED PARENTHOOD OF NYC 26 BLEECKER STREET NEW YORK, NY 10012	N/A	PC	GENERAL OPERATING EXPENSES	850.
RESCUE CO. NO. 1 114 WEST TANNER STREET MT. AETNA, PA 19544	N/A	PC	GENERAL OPERATING EXPENSES	100.
ROUNDTABLE CULTURAL SEMINARS 45 E 78TH ST, 5TH FL NEW YORK, NY 10075	N/A	PC	GENERAL OPERATING EXPENSES	4,275.
SAMUEL WAXMAN CANCER RESEARCH FDN. 30 OAKLEY AVE MT. VERNON, NY 10550	N/A	PC	GENERAL OPERATING EXPENSES	10,000.
SMITH COLLEGE COLLEGE HALL 204 10 ELM ST NORTHAMPTON, MA 01063	N/A	PC	GENERAL OPERATING EXPENSES	2,000.
SMITHSONIAN INSTITUTION P.O. BOX 37012, MRC 619 WASHINGTON, DC 20013	N/A	PC	GENERAL OPERATING EXPENSES	25,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
THE ARMY HISTORICAL FOUNDATION 2425 WILSON BLVD ARLINGTON, VA 22201	N/A	PC	GENERAL OPERATING EXPENSES	100.
THE FRICK COLLECTION 1 EAST 70TH STREET NEW YORK, NY 10021	N/A	PC	GENERAL OPERATING EXPENSES	250.
THE JEWISH MUSEUM 1109 FIFTH AVENUE NEW YORK, NY 10128	N/A	PC	GENERAL OPERATING EXPENSES	25,000.
THE MORGAN LIBRARY 14 E 60TH STREET NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	250.
THE MUSEUM OF MODERN ART 11 WEST 53RD STREET NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	1,750.
THE NEW YORK SOCIETY LIBRARY 53 EAST 79TH STREET NEW YORK, NY 10075	N/A	PC	GENERAL OPERATING EXPENSES	2,500.
THE VIENNA PHILHARMONIC SOCIETY 10 EAST 62ND STREET NEW YORK, NY 10065	N/A	PC	TICKETS FOR BENEFIT	1,500.
UNITED JEWISH APPEAL - FEDERATION OF JEWISH PHILANTHROPIES OF NEW YORK INC. DBA UJA-FEDERATI 130 EAST 59TH STREET NEW YORK, NY 10022	N/A	PC	GENERAL OPERATING EXPENSES	25,000.
WNET 825 EIGHTH AVENUE, 14TH FLOOR NEW YORK, NY 10019	N/A	PC	GENERAL OPERATING EXPENSES	50,000.
YALE ALUMNI FUND P.O. BOX 803 NEW HAVEN, CT 06503	N/A	PC	GENERAL OPERATING EXPENSES	2,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
YALE UNIVERSITY P.O. BOX 2038 NEW HAVEN, CT 06521	N/A	PC	NATHAN HALE ASSOCIATES	2,000.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Approved for Future Payment (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
HOSPITAL FOR SPECIAL SURGERY 535 E. 70TH ST. NEW YORK, NY 10021	N/A	PC	SUSAN W. ROSE AND JONATHAN T. DELAND CHAIR FOR RESEARCH IN FOOT AND ANKLE SURGERY	660,000.
JUILLIARD SCHOOL 60 LINCOLN CENTER PLAZA NEW YORK 10023	N/A	PC	GRADUATE FELLOWSHIP FUND	800,000.
LIBRARY OF AMERICA 14 E 60TH ST NEW YORK, NY 10022	N/A	PC	ENDOWMENT	400,000.
NEW YORK PHILHARMONIC 10 LINCOLN CENTER PLAZA NEW YORK, NY 10023	N/A	PC	ENDOWMENT TEACHING ARTIST	1,500,000.
PARK AVENUE ARMORY 643 PARK AVE NEW YORK, NY 10065	N/A	PC	RENOVATION PROJECT	3,000,000.
Total from continuation sheets				6,360,000.

723635
04-01-17

Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Go to www.irs.gov/Form990 for the latest information.

OMB No 1545-0047

2017

Name of the organization	Employer identification number
SUSAN AND ELIHU ROSE FOUNDATION, INC.	13-3484181

Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	☐ 501(c)( ) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☒ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**
Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling $5,000 or more (in money or property) from any one contributor Complete Parts I and II See instructions for determining a contributor's total contributions

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** $5,000, or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc , purposes, but no such contributions totaled more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc , contributions totaling $5,000 or more during the year ▶ $ ______________

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

Name of organization	Employer identification number
SUSAN AND ELIHU ROSE FOUNDATION, INC.	13-3484181

Part I **Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	ELIHU & SUSAN ROSE 777 THIRD AVENUE, 6TH FLOOR NEW YORK, NY 10017-1307	$ 2,100,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)

Name of organization	Employer identification number
SUSAN AND ELIHU ROSE FOUNDATION, INC.	13-3484181

Part II **Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
		$	

Name of organization	Employer identification number
SUSAN AND ELIHU ROSE FOUNDATION, INC.	13-3484181

Part III *Exclusively* religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry For organizations completing Part III, enter the total of exclusively religious, charitable, etc , contributions of $1,000 or less for the year (Enter this info once) ▶ $

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
CHECKING ACCOUNTS	350.	350.	
MONEY MARKET ACCOUNTS	331.	331.	
TOTAL TO PART I, LINE 3	681.	681.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
PUBLICLY TRADED SECURITIES	152,413.	30.	152,383.	152,383.	
THRU SCHEDULE K-1'S	0.	0.	0.	2,806.	
TO PART I, LINE 4	152,413.	30.	152,383.	155,189.	

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
ORDINARY BUSINESS INCOME THRU SCHEDULE K-1'S	0.	10,264.	
OTHER INCOME THRU SCHEDULE K-1'S	0.	90,195.	
TOTAL TO FORM 990-PF, PART I, LINE 11	0.	100,459.	

FORM 990-PF LEGAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
GENERAL AND ADMINISTRATIVE LEGAL FEES	20,783.	0.		20,783.
LEGAL FEES THRU RENTAL PROPERTY	0.	15,578.		0.
TO FM 990-PF, PG 1, LN 16A	20,783.	15,578.		20,783.

FORM 990-PF ACCOUNTING FEES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING AND RETURN PREPARATION FEES	25,019.	0.		25,019.
TO FORM 990-PF, PG 1, LN 16B	25,019.	0.		25,019.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT MANAGEMENT FEES	52,713.	52,713.		0.
INVESTMENT ADVISORS	28,750.	28,750.		0.
TO FORM 990-PF, PG 1, LN 16C	81,463.	81,463.		0.

FORM 990-PF — TAXES — STATEMENT 7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL EXCISE TAX	110,000.	0.		0.
FOREIGN TAXES WITHHELD	2,593.	2,593.		0.
FOREIGN TAXES WITHHELD THRU SCHEDULE K-1'S	0.	358.		0.
TO FORM 990-PF, PG 1, LN 18	112,593.	2,951.		0.

FORM 990-PF — OTHER EXPENSES — STATEMENT 8

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ADR FEES, AGENT CUSTODIAN FEES AND OTHER STOCK FEES	4,333.	4,333.		0.
FILING FEES	1,059.	0.		1,059.
OTHER CHARITABLE EXPENSES	1,311.	0.		1,311.
OTHER INVESTMENT EXPENSES THRU SCHEDULE K-1'S	0.	6,425.		0.
RENTAL PROPERTY MAINTENANCE CHARGES	0.	50,636.		0.
RENTAL PROPERTY INSURANCE	0.	560.		0.
RENTAL PROPERTY MISCELLANEOUS EXPENSES	0.	73.		0.
TO FORM 990-PF, PG 1, LN 23	6,703.	62,027.		2,370.

FORM 990-PF — CORPORATE STOCK — STATEMENT 9

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK - SEE ATTACHMENT A-1	3,315,101.	4,198,802.
CORPORATE STOCK - SEE ATTACHMENT A-2	99,063.	124,759.
CORPORATE STOCK - SEE ATTACHMENT A-3	204,408.	237,027.
CORPORATE STOCK - SEE ATTACHMENT A-4	205,192.	262,781.
CORPORATE STOCK - SEE ATTACHMENT A-5	97,503.	122,312.
TOTAL TO FORM 990-PF, PART II, LINE 10B	3,921,267.	4,945,681.

FORM 990-PF CORPORATE BONDS STATEMENT 10

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS - SEE ATTACHMENT B-1	425,000.	417,730.
CORPORATE BONDS - SEE ATTACHMENT B-2	506,673.	509,358.
TOTAL TO FORM 990-PF, PART II, LINE 10C	931,673.	927,088.

FORM 990-PF OTHER INVESTMENTS STATEMENT 11

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
FARALLON CAPITAL INSTITUTIONAL PARTNERS, LP	COST	778,032.	756,229.
GOODHUE HOUSE COMPANY	COST	354,643.	1,666,178.
GOODHUE RESIDENTIAL COMPANY	COST	1.	199,625.
INSTITUTIONAL DIVERSIFIED ARBITRAGE STRATEGIES LTD.	COST	1.	54,528.
INSTITUTIONAL INVESTMENT FUND LTD.	COST	1.	36,930.
MILLENNIUM INTERNATIONAL, LTD	COST	1.	2,757,351.
MUTUAL FUNDS - SEE ATTACHMENT C-1	COST	390,141.	392,748.
REAL ESTATE - 20 EAST 35TH STREET	COST	122,183.	799,000.
EXCHANGE TRADED FUNDS - SEE ATTACHMENT C-2	COST	20,656.	20,773.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,665,659.	6,683,362.

FORM 990-PF PART XV - LINE 1A LIST OF FOUNDATION MANAGERS STATEMENT 12

NAME OF MANAGER

ELIHU ROSE
SUSAN W. ROSE

Susan and Elihu Rose Foundation, Inc.
EIN: 13-3484181
Portfolio Holdings
December 31, 2017

Note	**P** indicates position adjusted for Pending Trade Activity

Equity Detail

	Price	Quantity	Value	Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est Annual Inc / Accrued Div	Yield
US Large Cap Equity							
ALPHABET INC/CA-CL C 02079K-10-7 GOOG	1,046 40	171 000	178,934 40	94,532 43	84,401 97		
COCA-COLA CO/THE 191216-10-0 KO	45.88	5,850 000	268,398 00	259,912 37	8,485 63	8,658 00	3 23%
COMCAST CORP-CLASS A 20030N-10-1 CMCS A	40 05	6,725 000	269,336 25	223,043 72	46,292 53	4,236 75	1 57%
DARDEN RESTAURANTS INC 237194-10-5 DRI	96 02	1,950 000	187,239 00	162,638 77	24,600 23	4,914 00	2 62%
DUNKIN' BRANDS GROUP INC 265504-10-0 DNKN	64 47	650 000	41,905 50	34,816 73	7,088 77	838 50	2 00%
FACEBOOK INC-A 30303M-10-2 FB	176 46	50 000	8,823 00	4,535 97	4,287 03		
HERSHEY CO/THE 427866-10-8 HSY	113 51	1,125 000	127,698 75	120,055 69	7,643 06	2,952 00	2 31%
KELLOGG CO 487836-10-8 K	67 98	3,025 000	205,639 50	197,055 37	8,584 13	6,534 00	3 18%
LULULEMON ATHLETICA INC 550021-10-9 LULU	78 59	2,125 000	167 003 75	108,569 87	58,433 88		
MCDONALD'S CORP 580135-10-1 MCD	172 12	1,475 000	253,877 00	151,987 11	101,889 89	5,959 00	2 35%
MICROSOFT CORP 594918-10-4 MSFT	85 54	3,025 000	258,758 50	169,427 13	89,331 37	5,082 00	1 96%

Susan and Elihu Rose Foundation, Inc.
EIN: 13-3484181
Portfolio Holdings
December 31, 2017

		Price	Quantity	Value		Adjusted Tax Cost Original Cost	Unrealized Gain/Loss	Est Annual Inc Accrued Div	Yield
	US Large Cap Equity								
	NIKE INC -CL B 654106-10-3 NKE	62 55	2,300 000	143 865 00		115,300 68	28,564 32	1,840 00 660 00	1 28%
	PROCTER & GAMBLE CO/THE 742718-10-9 PG	91 88	1,900 000	174,572 00		168,595 86	5,976 14	5,240 20	3 00%
	SCHWAB (CHARLES) CORP 808513-10-5 SCHW	51 37	325 000	16,695 25		12,902 56	3,792 69	104 00	0 62%
P	ULTA SALON COSME V PFD 90384S-30-3 ULTA	223 66	805 000	180 046 30		170 296 02	9,750 28		
	VISA INC-CLASS A SHARES 92826C-83-9 V	114 02	105 000	11,972 10		5,468 05	6,504 05	81 90	0 68%
	WAL-MART STORES INC 931142-10-3 WMT	98 75	2,650 000	261,687 50		161,467 85	100,219 65	5,406 00 1,402 50	2 07%
	WALT DISNEY CO/THE 254687-10-6 DIS	107 51	2,650 000	284,901 50		252,922 82	31,978 68	4,452 00 2,226 00	1 56%
	Total US Large Cap Equity			$3,041,353.30	A	$2,413,529.00	$627,824.30	$56,298.35 $4,288 50	1 85%
	Non-US Equity								
P	ANHEUSER-BUSCH INBEV-SPN ADR 03524A-10-8 BUD	111 56	1,150 000	128,294 00		127,810 62	483 38	3,693 80	2 88%
	DIAGEO PLC-SPONSORED ADR 25243Q-20-5 DEO	146 03	1,395 000	203,711 85		152,288 05	51,423 80	4,436 10	2 18%
	HEINEKEN NV ISIN NL0000009165 SEDOL 7792559 N39471-94-6 EUR	104 39	2,100 000	219,209 64		171,359 68	47,849 96		

Susan and Elihu Rose Foundation, Inc.
EIN: 13-3484181
Portfolio Holdings
December 31, 2017

	Price	Quantity	Value		Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est Annual Inc / Accrued Div	Yield
Non-US Equity								
LVMH MOET HENNESSY LOUIS VUI HELD BY EUROCLEAR ISIN FR0000121014 SEDOL 4061412 502441-92-6 EUR	294 68	605 000	178,279 17		105,766 52	72,512 65		
NESTLE SA-SPONS ADR 641069-40-6 NSRG Y	85 97	3,075 000	264,357 75		225,474 66	38,883 09	5,894 77	2 23%
Total Non-US Equity			$993,852.41	A	$782,699.53	$211,152.88	$14,024.67	1.41%
Emerging Market Equity								
CARNIVAL CORP 143658-30-0 CCL	66 37	2,675 000	177,539 75	A	132,815 94	44,723 81	4,815 00	2 71%
COST OF PENDING PURCHASES			(13,943.35)	A	(13,943.35)			

	Fair Market Value	Cost Basis
Total Corporate Stock per Attachment A-1=ΣA =	$4,198,802.22	$3,315,101.12

Susan and Elihu Rose Foundation, Inc.
EIN: 13-3484181
Portfolio Holdings
December 31, 2017

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
ACCENTURE PLC IRELAND CL A (ACN)	5/3/16	22 000	$113 525	$153 090	$2,497 55	$3,367 98	$870 43 LT		
	9/8/16	22 000	112 352	153 090	2,471 75	3,367 98	896 23 LT		
	Total	44 000			4,969 30	6,735 96	1,766 66 LT	117 00	1 73
Next Dividend Payable 05/2018, Asset Class Equities									
ADOBE SYSTEMS (ADBE)	5/3/16	23 000	94 003	175 240	2,162 06	4,030 52	1,868 46 LT		
	9/8/16	22 000	101 873	175 240	2,241.21	3,855 28	1,614 07 LT		
	9/14/16	1 000	98 990	175 240	98 99	175 24	76 25 LT		
	6/28/17	9 000	143 176	175 240	1,288 58	1,577 16	288 58 ST		

Susan and Elihu Rose Foundation, Inc.
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Portfolio Holdings
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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	6/29/17	2 000	142 115	175 240	284 23	350 48	66 25 ST		
	Total	57 000			6 075 07	9,988.68	3,558 78 LT 354 83 ST	—	—
Asset Class Equities									
ALIGN TECHNOLOGY (ALGN)	5/3/16	3 000	75 150	222 190	225 45	666 57	441 12 LT		
	9/8/16	10 000	95 573	222 190	955 73	2,221 90	1,266 17 LT		
	12/9/16	10 000	98 814	222 190	988 14	2 221 90	1 233 76 LT		
	Total	23 000			2,169 32	5,110 37	2,941 05 LT	—	—
Asset Class Equities									
ALPHABET INC CL A (GOOGL)	5/3/16	1 000	712 095	1,053 400	712 10	1,053 40	341 30 LT		
	9/8/16	3 000	802 760	1,053 400	2,408 28	3 160 20	751 92 LT		
	Total	4 000			3,120 38	4,213 60	1,093 22 LT	—	—
Asset Class· Equities									
ALPHABET INC CL C (GOOG)	5/3/16	4 000	696 375	1,046 400	2,785 50	4,185 60	1,400 10 LT		
	9/8/16	4 000	775 660	1 046 400	3,102 64	4 185 60	1 082 96 LT		
	Total	8 000			5,888 14	8,371 20	2,483 06 LT	—	—
Asset Class Equities									
AUTOMATIC DATA PROCESSING INC (ADP)	5/3/16	26 000	88 965	117 190	2,313 09	3,046 94	733 85 LT		
	9/8/16	26 000	89 447	117 190	2 325 61	3,046 94	721 33 LT		
	12/9/16	5 000	98 056	117 190	490 28	585 95	95 67 LT		
	12/12/16	5 000	98 232	117 190	491 16	585 95	94 79 LT		
	Total	62 000			5 620 14	7,265 78	1,645 64 LT	156 00	2 14
Next Dividend Payable 01/01/18, Asset Class Equities									
CELGENE CORP (CELG)	5/3/16	20 000	104 505	104 360	2,090 10	2,087 20	(2 90) LT		
	9/8/16	19 000	107 810	104 360	2 048 39	1,982 84	(65 55) LT		
	12/23/16	8 000	118 435	104 360	947.48	834 88	(112 60) LT		
	Total	47 000			5 085 97	4,904 92	(181 05) LT	—	—
Asset Class· Equities									
DOLLAR GEN CORP NEW COM (DG)	7/27/16	10 000	95 742	93 010	957 42	930 10	(27 32) LT		
	9/8/16	13 000	70 727	93 010	919 45	1 209 13	289 68 LT		
	10/10/16	20 000	69 247	93 010	1,384 93	1,860 20	475 27 LT		
	Total	43 000			3,261 80	3,999.43	737 63 LT	45 00	1 12
Next Dividend Payable 01/2018, Asset Class Equities									
FACEBOOK INC CL-A (FB)	5/3/16	17 000	117 969	176 460	2,005 48	2,999 82	994 34 LT		
	5/3/16	10 000	117 735	176 460	1 177 35	1,764 60	587 25 LT		
	9/8/16	26 000	130 217	176 460	3 385 63	4 587 96	1,202 33 LT		

Susan and Elihu Rose Foundation, Inc.
EIN: 13-3484181
Portfolio Holdings
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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	Total	53 000			6,568 46	9,352.38	2,783 92 LT	—	—
Asset Class Equities									
GARTNER INC (IT)	5/3/16	18 000	87 183	123 150	1,569 30	2,216 70	647 40 LT		
	9/8/16	18 000	90 623	123 150	1,631 22	2 216 70	585 48 LT		
	Total	36 000			3,200 52	4,433 40	1,232 88 LT	—	—
Asset Class Equities									
MASTERCARD INC CL A (MA)	5/3/16	10 000	96 485	151 360	964 85	1,513 60	548 75 LT		
	9/8/16	9 000	99 796	151 360	898.16	1,362 24	464 08 LT		
	9/14/16	1 000	98 730	151 360	98 73	151 36	52 63 LT		
	Total	20 000			1,961 74	3,027.20	1,065 46 LT	20 00	0 66
Next Dividend Payable 02/2018, Asset Class Equities									
MICROSOFT CORP (MSFT)	7/13/17	32 000	71.838	85 540	2,298 81	2,737 28	438 47 ST		
	9/5/17	31 000	73 612	85 540	2,281 96	2,651 74	369 78 ST		
	Total	63 000			4 580 77	5,389 02	808 25 ST	106 00	1 96
Next Dividend Payable 03/2018, Asset Class· Equities									
NESTLE SPON ADR REP REG SHR (NSRGY)	5/3/16	29 000	74 799	85 970	2,169 16	2,493 13	323 97 LT		
	9/8/16	27 000	80.917	85 970	2,184 76	2,321 19	136 43 LT		
	6/8/17	1 000	83 390	85 970	83 39	85 97	2 58 ST		
	Total	57 000			4,437 31	4,900.29	460 40 LT 2 58 ST	109 00	2 22
Next Dividend Payable 05/2018; Asset Class Equities									
NIKE INC B (NKE)	5/3/16	57 000	59 767	62 550	3,406 72	3,565 35	158 63 LT		
	9/8/16	57 000	56 297	62 550	3,208 91	3,565 35	356 44 LT		
	Total	114 000			6,615 63	7,130 70	515 07 LT	91 00	1 27
Next Dividend Payable 01/02/18, Asset Class· Equities									
O'REILLY AUTOMOTIVE INC NEW (ORLY)	5/3/16	7 000	268 687	240 540	1,880 81	1,683 78	(197 03) LT		
	9/8/16	7 000	282 267	240 540	1,975 87	1,683 78	(292 09) LT		
	9/14/16	1 000	277 010	240 540	277 01	240 54	(36 47) LT		
	4/28/17	4 000	248 283	240 540	993 13	962.16	(30 97) ST		
	7/5/17	5 000	176 504	240 540	882 52	1,202 70	320 18 ST		
	Total	24 000			6,009 34	5,772.96	(525 59) LT 289 21 ST	—	—
Asset Class Equities									
ORACLE CORP (ORCL)	5/3/16	59 000	39 635	47 280	2,338 47	2,789 52	451 05 LT		
	9/8/16	59 000	40 745	47 280	2,403 96	2,789 52	385 56 LT		

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	Total	118 000			4,742 43	5,579 04	836 61 LT	90 00	1 61
Next Dividend Payable 01/2018, Asset Class Equities									
PRICELINE GRP INC COM NEW (PCLN)	5/3/16	2 000	1,351 095	1,737 740	2,702 19	3,475 48	773 29 LT		
	9/8/16	1 000	1,445 390	1,737 740	1,445 39	1,737 74	292 35 LT		
	9/14/16	1 000	1 425 430	1,737 740	1 425 43	1,737 74	312 31 LT		
	Total	4 000			5 573 01	6,950.96	1 377 95 LT	—	—
Asset Class Equities									
REGENERON PHARM (REGN)	5/3/16	3 000	379 420	375 960	1,138 26	1.127 88	(10 38) LT		
	9/8/16	5 000	403 210	375 960	2,016 05	1.879 80	(136 25) LT		
	12/27/16	5 000	386 890	375.960	1 934 45	1,879 80	(54 65) LT		
	Total	13 000			5 088 76	4,887.48	(201 28) LT	—	—
Asset Class Equities									
STARBUCKS CORP WASHINGTON (SBUX)	5/3/16	52 000	56 409	57 430	2,933 25	2,986 36	53 11 LT		
	9/8/16	52 000	55 317	57 430	2 876 50	2,986 36	109 86 LT		
	Total	104 000			5,809 75	5,972.72	162 97 LT	125 00	2 09
Next Dividend Payable 03/2018, Asset Class· Equities									
VISA INC CL A (V)	5/3/16	27 000	77 421	114 020	2,090 37	3,078 54	988 17 LT		
	9/8/16	46 000	82 937	114 020	3,815 08	5,244 92	1,429 84 LT		
	Total	73 000			5,905 45	8,323 46	2,418 01 LT	57 00	0 68
Next Dividend Payable 03/2018, Asset Class Equities									
ZOETIS INC CLASS-A (ZTS)	11/8/17	1 000	69 050	72 040	69 05	72 04	2 99 ST		
	11/9/17	1 000	69 280	72 040	69 28	72 04	2 76 ST		
	11/10/17	3 000	68 913	72 040	206 74	216 12	9 38 ST		
	11/13/17	2 000	68 695	72 040	137 39	144 08	6 69 ST		
	11/13/17	4 000	69 003	72 040	276 01	288 16	12 15 ST		
	11/14/17	3 000	69 547	72 040	208 64	216 12	7 48 ST		
	11/15/17	3 000	69 883	72 040	209 65	216 12	6 47 ST		
	11/16/17	3 000	70 207	72 040	210 62	216 12	5 50 ST		
	11/17/17	14 000	70 854	72 040	991 95	1,008.56	16 61 ST		
	Total	34 000			2 379 33	2,449 36	70 03 ST	17 00	0 69
Next Dividend Payable 03/2018, Asset Class Equities									

	Percentage of Holdings		Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	98 99%	Total Corporate Stock per Attachment A-2 =	$99,062 62	$124,758 91	$24,171 39 LT $1,524.90 ST	$933 00	0 75%

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COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
3M COMPANY (MMM)	5/3/16	5 000	$167 770	$235 370	$838 85	$1,176 85	$338.00 LT		
	7/15/16	7 000	181 107	235 370	1,267 75	1,647 59	379 84 LT		
	9/8/16	14 000	179 591	235 370	2,514 28	3,295 18	780 90 LT		
	Total	26 000			4,620 88	6,119.62	1,498 74 LT	122 00	1 99
Next Dividend Payable 03/2018, Asset Class Equities									
ADIENT PLC COM (ADNT)	10/28/16	4 000	46 585	78 700	186 34	314 80	128 46 LT	4 00	1 27
Next Dividend Payable 02/2018; Asset Class Equities									

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
ALTRIA GROUP INC (MO)	5/3/16	10 000	63 350	71 410	633 50	714 10	80 60 LT		
	7/15/16	22 000	69 245	71 410	1,523 39	1,571 02	47 63 LT		
	9/8/16	50 000	66 295	71 410	3,314 75	3,570 50	255 75 LT		
	8/11/17	13 000	64 245	71 410	835 19	928 33	93 14 ST		
	Total	95 000			6,306 83	**6,783 95**	383 98 LT 93 14 ST	251 00	3 69
Next Dividend Payable 01/10/18, Asset Class Equities									
ASTRAZENECA PLC ADS (AZN)	5/3/16	34 000	29 120	34 700	990 08	1,179 80	189 72 LT		
	7/15/16	33 000	30 247	34 700	998 15	1,145 10	146 95 LT		
	9/8/16	55 000	33 037	34 700	1,817 01	1 908 50	91 49 LT		
	8/11/17	31 000	29 080	34 700	901 49	1,075 70	174 21 ST		
	Total	153 000			4 706 73	**5,309 10**	428 16 LT 174 21 ST	210 00	3 95
Next Dividend Payable 03/2018, Asset Class Equities									
AT&T INC (T)	5/3/16	38 000	38 930	38 880	1,479 34	1,477 44	(1 90) LT		
	7/15/16	34 000	42 800	38 880	1,455 20	1 321 92	(133 28) LT		
	9/8/16	76 000	41 240	38 880	3,134 24	2 954 88	(179 36) LT		
	8/11/17	26 000	38 165	38 880	992 29	1,010 88	18 59 ST		
	Total	174 000			7,061 07	**6,765.12**	(314 54) LT 18 59 ST	348 00	5 14
Next Dividend Payable 02/2018, Asset Class Equities									
BCE INC (BCE)	5/3/16	26 000	46 007	48 010	1,196 19	1 248 26	52 07 LT		
	7/15/16	26 000	48 347	48 010	1,257 02	1,248 26	(8 76) LT		
	9/8/16	54 000	47 735	48 010	2,577 70	2,592 54	14 84 LT		
	11/9/16	19 000	44 198	48 010	839 76	912 19	72 43 LT		
	4/4/17	21 000	44 318	48 010	930 67	1,008 21	77 54 ST		
	Total	146 000			6,801 34	**7,009 46**	130 58 LT 77 54 ST	326 00	4 65
Next Dividend Payable 01/15/18, Asset Class. Equities									
BOEING CO (BA)	7/15/16	3 000	132 386	294 910	397 16	884 73	487 57 LT		
	9/8/16	19 000	132 307	294 910	2.513 83	5,603 29	3,089 46 LT		
	Total	22 000			2 910 99	**6,488.02**	3,577 03 LT	150 00	2 31
Next Dividend Payable 03/2018, Asset Class Equities									
BRIGHTHOUSE FINL INC (BHF)	5/3/16	2 288	54 698	58 640	125 15	134 16	9 01 LT		
	7/15/16	2 797	52 059	58 640	145 61	164 01	18 40 LT		
	9/8/16	4 915	45 805	58 640	225 13	288 21	63 08 LT		

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	Total	10 000			495 89	586.40	90 49 LT	—	—
Asset Class Equities									
CHEVRON CORP (CVX)	5/3/16	15 000	101 250	125 190	1,518 75	1,877 85	359 10 LT		
	7/15/16	15 000	106 830	125 190	1,602 45	1,877 85	275 40 LT		
	9/8/16	33 000	104 197	125 190	3,438 49	4,131 27	692 78 LT		
	8/11/17	1 000	109 590	125 190	109 59	125 19	15 60 ST		
	Total	64 000			6,669 28	8,012 16	1,327 28 LT 15 60 ST	276 00	3 44
Next Dividend Payable 03/2018, Asset Class Equities									
CHUBB LTD (CB)	5/3/16	12 000	118 289	146 130	1,419 47	1,753 56	334 09 LT		
	7/15/16	11 000	129 623	146 130	1,425 85	1,607 43	181 58 LT		
	9/8/16	24 000	126 757	146 130	3,042 17	3,507 12	464 95 LT		
	Total	47 000			5,887 49	6,868 11	980 62 LT	133 00	1 93
Next Dividend Payable 01/19/18, Asset Class· Equities									
CISCO SYS INC (CSCO)	5/3/16	54 000	26 957	38 300	1,455 67	2,068 20	612 53 LT		
	7/15/16	50 000	29 769	38 300	1,488 43	1,915 00	426 57 LT		
	9/8/16	88 000	31 487	38 300	2,770 82	3,370 40	599 58 LT		
	8/11/17	20 000	31 429	38 300	628 58	766 00	137 42 ST		
	Total	212 000			6,343 50	8,119 60	1,638 68 LT 137 42 ST	246 00	3 02
Next Dividend Payable 01/2018, Asset Class Equities									
CONOCOPHILLIPS (COP)	5/3/16	32 000	44 948	54 890	1,438 32	1,756 48	318 16 LT		
	7/15/16	39 000	42 857	54 890	1,671 42	2,140 71	469 29 LT		
	9/8/16	75 000	43 235	54 890	3,242 63	4,116 75	874 12 LT		
	8/11/17	2 000	44 710	54 890	89 42	109 78	20 36 ST		
	Total	148 000			6,441 79	8,123 72	1,661 57 LT 20 36 ST	157 00	1 93
Next Dividend Payable 03/2018, Asset Class Equities									
CORNING INC (GLW)	5/3/16	53 000	18 557	31 990	983 53	1,695 47	711 94 LT		
	7/15/16	42 000	21 327	31 990	895 74	1,343 58	447 84 LT		
	9/8/16	83 000	22 705	31 990	1,884 52	2,655 17	770 65 LT		
	Total	178 000			3,763 79	5,694 22	1,930 43 LT	110 00	1 93
Next Dividend Payable 03/2018; Asset Class Equities									
DIAGEO PLC SPON ADR NEW (DEO)	5/3/16	11 000	108 940	146 030	1,198 34	1,606 33	407 99 LT		
	7/15/16	11 000	113 000	146 030	1,243 00	1,606 33	363 33 LT		
	9/8/16	22 000	113 690	146 030	2,501 18	3,212 66	711 48 LT		

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	Total	44 000			4,942 52	6,425 32	1,482 80 LT	140 00	2 17
Next Dividend Payable 04/2018, Asset Class Equities									
DOWDUPONT INC (DWDP)	5/3/16	28 069	50 883	71 220	1,428 24	1,999 07	570 83 LT		
	7/15/16	30 621	52 644	71 220	1,612 01	2,180 83	568 82 LT		
	9/8/16	52 310	53 803	71 220	2,814 46	3,725 52	911 06 LT		
	Total	111 000			5,854 71	7,905.42	2,050 71 LT	169 00	2 13
Next Dividend Payable 03/2018, Asset Class- Equities									
ELI LILLY & CO (LLY)	5/3/16	13 000	76 500	84 460	994 50	1,097 98	103 48 LT		
	7/15/16	12 000	80 057	84 460	960 68	1,013 52	52 84 LT		
	9/8/16	26 000	79 947	84 460	2 078 61	2 195 96	117 35 LT		
	8/11/17	3 000	81 193	84 460	243 58	253 38	9 80 ST		
	Total	54 000			4,277 37	4,560.84	273 67 LT 9 80 ST	122 00	2 67
Next Dividend Payable 03/2018; Asset Class Equities									
EXXON MOBIL CORP (XOM)	5/3/16	11 000	87 837	83 640	966 21	920 04	(46 17) LT		
	7/15/16	10 000	94 777	83 640	947 77	836 40	(111 37) LT		
	9/8/16	25 000	89 165	83 640	2 229 13	2,091 00	(138 13) LT		
	4/4/17	20 000	81 658	83 640	1,633 16	1,672 80	39 64 ST		
	8/11/17	4 000	78 358	83 640	313 43	334 56	21 13 ST		
	Total	70 000			6,089 70	5,854.80	(295 67) LT 60 77 ST	216 00	3 68
Next Dividend Payable 03/2018; Asset Class Equities									
GENERAL ELECTRIC CO (GE)	5/3/16	50 000	30 575	17 450	1 528 75	872 50	(656 25) LT		
	7/15/16	47 000	32 824	17 450	1,542 72	820 15	(722 57) LT		
	9/8/16	105 000	30 967	17 450	3,251 55	1 832 25	(1,419 30) LT		
	8/11/17	71 000	25 220	17 450	1,790 61	1 238 95	(551 66) ST		
	Total	273 000			8,113 63	4,763 85	(2,798 12) LT (551 66) ST	131 00	2 74
Next Dividend Payable 01/25/18, Asset Class Equities									
HCP INCORPORATED (HCP)	5/3/16	21 000	30 828	26 080	647 38	547 68	(99 70) LT R		
	7/15/16	20 000	33 940	26 080	678 79	521.60	(157 19) LT R		
	9/8/16	34 000	36 746	26 080	1,249 38	886 72	(362 66) LT R		
	8/11/17	40 000	29 049	26 080	1,161 94	1.043.20	(118 74) ST		
	Total	115 000			3,737 49	2,999 20	(619 55) LT (118 74) ST	170 00	5 66
Next Dividend Payable 02/2018, Asset Class Alt									

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Anr. Income	Current Yield %
HSBC HOLDINGS PLC SPON ADR NEW (HSBC)	5/3/16	30 000	32 667	51 640	980 01	1,549 20	569 19 LT		
	7/15/16	34 000	31 757	51 640	1,079 74	1,755 76	676 02 LT		
	9/8/16	44 000	38 135	51 640	1,677 94	2,272 16	594 22 LT		
	Total	108 000			3,737 69	5,577 12	1,839 43 LT	275 00	4 93
Asset Class Equities									
INTEL CORP (INTC)	5/3/16	32 000	30 370	46 160	971 84	1,477 12	505 28 LT		
	7/15/16	26 000	35 007	46 160	910 18	1,200 16	289 98 LT		
	9/8/16	54 000	36 437	46 160	1,967 58	2,492 64	525 06 LT		
	8/11/17	12 000	35 865	46 160	430 38	553 92	123 54 ST		
	Total	124 000			4,279 98	5,723 84	1,320 32 LT 123 54 ST	135 00	2 35
Next Dividend Payable 03/2018, Asset Class Equities									
JOHNSON & JOHNSON (JNJ)	5/3/16	14 000	112 977	139 720	1,581 68	1,956 08	374 40 LT		
	7/15/16	13 000	122 925	139 720	1,598 03	1,816 36	218 33 LT		
	9/8/16	28 000	119 436	139 720	3,344 22	3,912 16	567 94 LT		
	Total	55 000			6,523 93	7,684 60	1,160 67 LT	185 00	2 40
Next Dividend Payable 03/2018, Asset Class· Equities									
JOHNSON CTLS INTL PLC (JCI)	9/6/16	19 000	45 690	38 110	868 11	724 09	(144 02) LT		
	9/8/16	23 000	47 745	38 110	1,098 14	876 53	(221 61) LT		
	11/9/16	40 000	43 431	38 110	1,737 24	1,524 40	(212 84) LT		
	4/4/17	38 000	41 354	38 110	1,571 47	1,448 18	(123 29) ST		
	8/11/17	12 000	38 800	38 110	465 60	457 32	(8 28) ST		
	Total	132 000			5,740 56	5,030.52	(578 47) LT (131 57) ST	137 00	2 72
Next Dividend Payable 01/12/18, Asset Class· Equities									
JPMORGAN CHASE & CO (JPM)	5/3/16	11 000	62 317	106 940	685 49	1,176 34	490 85 LT		
	7/15/16	25 000	63 885	106 940	1,597 13	2,673 50	1,076 37 LT		
	9/8/16	42 000	67 385	106 940	2,830 17	4,491 48	1,661 31 LT		
	Total	78 000			5,112 79	8,341.32	3,228 53 LT	175 00	2 09
Next Dividend Payable 01/2018, Asset Class Equities									
KIMBERLY CLARK CORP (KMB)	5/3/16	3 000	126 390	120 660	379 17	361 98	(17 19) LT		
	7/15/16	9 000	136 032	120 660	1,224 29	1,085 94	(138 35) LT		
	9/8/16	21 000	125 793	120 660	2,641 66	2,533 86	(107.80) LT		
	8/11/17	7 000	120 819	120 660	845 73	844 62	(1 11) ST		
	Total	40 000			5,090 85	4,826.40	(263 34) LT (1 11) ST	155 00	3 21

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Next Dividend Payable 01/03/18, Asset Class Equities									
MERCK & CO INC NEW COM (MRK)	5/3/16	27 000	55 377	56 270	1,495 19	1 519 29	24 10 LT		
	7/15/16	24 000	59 407	56 270	1 425 77	1,350 48	(75 29) LT		
	9/8/16	45 000	63 187	56 270	2 843 41	2 532 15	(311 26) LT		
	8/11/17	10 000	62 400	56 270	624 00	562 70	(61 30) ST		
	Total	106 000			6,388 37	5,964 62	(362.45) LT (61 30) ST	204 00	3 42
Next Dividend Payable 01/08/18; Asset Class. Equities									
METLIFE INCORPORATED (MET)	5/3/16	27 000	40 092	50 560	1,082 48	1,365 12	282 64 LT		
	7/15/16	33 000	38 167	50 560	1,259 52	1,668 48	408 96 LT		
	9/8/16	58 000	38 944	50 560	2 258 76	2,932 48	673 72 LT		
	8/11/17	1 000	46 720	50 560	46 72	50 56	3 84 ST		
	Total	119 000			4,647 48	6,016 64	1,365 32 LT 3 84 ST	190 00	3 15
Next Dividend Payable 03/2018, Asset Class Equities									
MICROSOFT CORP (MSFT)	5/3/16	23 000	49 970	85 540	1,149 30	1,967 42	818 12 LT		
	7/15/16	28 000	53 490	85 540	1,497 71	2,395 12	897 41 LT		
	9/8/16	49 000	57 297	85 540	2 807 54	4,191 46	1 383 92 LT		
	Total	100 000			5,454 55	8,554 00	3,099 45 LT	168 00	1 96
Next Dividend Payable 03/2018, Asset Class Equities									
NEXTERA ENERGY INC (NEE)	5/3/16	12 000	117 884	156 190	1 414 61	1,874 28	459 67 LT		
	7/15/16	12 000	127 286	156 190	1 527 43	1,874 28	346 85 LT		
	9/8/16	24 000	125 210	156 190	3 005 04	3,748 56	743 52 LT		
	Total	48 000			5,947 08	7,497 12	1,550 04 LT	189 00	2 52
Next Dividend Payable 03/2018, Asset Class Equities									
NOVARTIS AG ADR (NVS)	11/9/16	53 000	74 035	83 960	3,923 86	4 449 88	526 02 LT		
	4/4/17	12 000	74 783	83 960	897 40	1 007 52	110 12 ST		
	Total	65 000			4,821 26	5,457.40	526 02 LT 110 12 ST	150 00	2 74
Asset Class Equities									
PFIZER INC (PFE)	5/3/16	45 000	33 787	36 220	1,520 43	1,629 90	109 47 LT		
	7/15/16	38 000	36 737	36 220	1,396 01	1,376 36	(19 65) LT		
	9/8/16	91 000	34 725	36 220	3,159 98	3,296 02	136 04 LT		
	9/12/17	18 000	35 338	36 220	636 09	651 96	15 87 ST		
	Total	192 000			6,712 51	6,954 24	225 86 LT 15 87 ST	261 00	3 75

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Next Dividend Payable 03/2018, Asset Class· Equities									
PHILIP MORRIS INTL INC (PM)	7/15/16	13 000	103 477	105 650	1,345 20	1,373 45	28 25 LT		
	9/8/16	30 000	101 117	105 650	3,033 50	3,169 50	136 00 LT		
	Total	43 000			4,378 70	**4,542.95**	164 25 LT	184 00	4 05
Next Dividend Payable 01/11/18, Asset Class· Equities									
RAYTHEON CO (NEW) (RTN)	5/3/16	2 000	126 120	187 850	252 24	375 70	123 46 LT		
	7/15/16	11 000	138 957	187 850	1,528 53	2,066 35	537 82 LT		
	9/8/16	21 000	139 505	187 850	2,929 61	3,944 85	1,015 24 LT		
	Total	34 000			4,710 38	**6,386.90**	1,676 52 LT	108 00	1 69
Next Dividend Payable 02/01/18, Asset Class Equities									
ROYAL DUTCH SHELL PLC CL B (RDS'B)	5/3/16	28 000	51 980	68 290	1,455 44	1,912.12	456 68 LT		
	7/15/16	25 000	56 807	68 290	1,420 18	1,707 25	287 07 LT		
	9/8/16	61 000	54 029	68 290	3,295 74	4,165 69	869 95 LT		
	8/11/17	1 000	57 560	68 290	57 56	68 29	10 73 ST		
	Total	115 000			6,228 92	**7,853 35**	1,613 70 LT 10 73 ST	432 00	5 50
Asset Class· Equities									
SIEMENS AKTIENGESELLSCHAFT (SIEGY)	9/13/17	49 000	69 818	69 270	3,421.09	**3,394.23**	(26 86) ST	79 00	2 32
Next Dividend Payable 02/2018, Asset Class Equities									
SUNTRUST BKS (STI)	12/19/17	50 000	66 064	64 590	3,303 20	**3,229.50**	(73 70) ST	80 00	2 47
Next Dividend Payable 03/2018, Asset Class Equities									
TRAVELERS COMPANIES INC COM (TRV)	5/3/16	11 000	110 334	135 640	1,213 67	1,492 04	278 37 LT		
	7/15/16	10 000	118 607	135 640	1,186 07	1,356 40	170 33 LT		
	9/8/16	21 000	117 153	135 640	2,460 22	2,848 44	388 22 LT		
	8/11/17	1 000	128 140	135 640	128 14	135 64	7 50 ST		
	Total	43 000			4,988 10	**5,832.52**	836 92 LT 7 50 ST	124 00	2 12
Next Dividend Payable 03/2018, Asset Class Equities									
UNILEVER NV NY SH NEW (UN)	5/3/16	5 000	44 260	56 320	221 30	281 60	60 30 LT		
	7/15/16	33 000	46 347	56 320	1,529 45	1,858 56	329 11 LT		
	9/8/16	62 000	46 747	56 320	2,898 29	3,491 84	593 55 LT		
	Total	100 000	.		4,649 04	**5,632.00**	982 96 LT	133 00	2 36
Next Dividend Payable 03/2018, Asset Class: Equities									
WELLS FARGO & CO NEW (WFC)	5/3/16	29 000	49 950	60 670	1,448 55	1,759.43	310 88 LT		
	7/15/16	33 000	47 520	60 670	1,568 15	2,002 11	433 96 LT		
	9/8/16	60 000	49 907	60 670	2,994 41	3,640 20	645 79 LT		

Susan and Elihu Rose Foundation, Inc.
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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	8/11/17	6 000	51 815	60 670	310 89	364 02	53 13 ST		
	Total	128 000			6,322 00	7,765 76	1,390 63 LT 53 13 ST	200 00	2 57
Next Dividend Payable 03/2018; Asset Class· Equities									
WELLTOWER INC (HCN)	5/3/16	16 000	71 847	63 770	1,149 55	1,020 32	(129 23) LT R		
	7/15/16	14 000	76 181	63 770	1,066 54	892 78	(173 76) LT R		
	9/8/16	28 000	77 422	63 770	2,167 82	1,785 56	(382 26) LT R		
	11/9/16	35 000	63 272	63 770	2,214 52	2 231 95	17 43 LT		
	8/11/17	2 000	69 975	63 770	139 95	127 54	(12 41) ST		
	Total	95 000			6,738 38	6,058 15	(667 82) LT (12 41) ST	331 00	5 46
Next Dividend Payable 02/2018, Asset Class Alt									

	Percentage of Holdings		Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	98 97%	Total Corporate Stock per Attachment A-3 =	$204,408 20	$237,026 89	$32,663 86 LT $(45 19) ST	$7,176 00	3.03%

Susan and Elihu Rose Foundation, Inc.
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COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
AECOM (ACM)	5/3/16	25 000	$32 258	$37 150	$806 44	$928 75	$122 31 LT		
	7/15/16	22 000	34 380	37 150	756 36	817 30	60 94 LT		
	9/8/16	49 000	30 247	37 150	1,482 11	1,820 35	338 24 LT		
	5/15/17	2 000	32 285	37 150	64 57	74 30	9 73 ST		
	Total	98 000			3,109 48	3,640.70	521 49 LT 9 73 ST	—	—

Asset Class Equities

Susan and Elihu Rose Foundation, Inc.
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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
AERCAP HOLDINGS N V (AER)	5/3/16	34 000	39 507	52 610	1,343 25	1 788 74	445 49 LT		
	7/15/16	26 000	36 975	52 610	961 35	1 367 86	406 51 LT		
	9/8/16	58 000	40 697	52 610	2,360 44	3 051 38	690 94 LT		
	Total	118 000			4,665 04	6,207 98	1,542 94 LT	—	—
Asset Class: Equities									
AETNA INC (NEW)(CT) (AET)	5/3/16	19 000	114.732	180 390	2,179 91	3,427 41	1 247 50 LT		
	7/15/16	17 000	118 809	180 390	2,019 76	3,066 63	1 046 87 LT		
	9/8/16	36 000	116 420	180 390	4 191 12	6 494 04	2 302 92 LT		
	Total	72 000			8 390 79	12,988 08	4,597 29 LT	144 00	1 10
Next Dividend Payable 01/2018, Asset Class Equities									
AFFILIATED MGRS GROUP INC (AMG)	2/13/17	36 000	167 598	205 250	6,033 52	7,389.00	1,355 48 ST	29 00	0 39
Next Dividend Payable 02/2018, Asset Class Equities									
AFLAC INCORPORATED (AFL)	5/3/16	31 000	68 810	87 780	2,133 12	2,721 18	588 06 LT		
	7/15/16	28 000	73 267	87 780	2,051 48	2 457 84	406 36 LT		
	9/8/16	55 000	73 030	87 780	4,016 65	4,827 90	811 25 LT		
	5/15/17	14 000	73 553	87 780	1,029 74	1 228 92	199 18 ST		
	Total	128 000			9,230 99	11,235.84	1 805 67 LT 199 18 ST	230 00	2 04
Next Dividend Payable 03/2018, Asset Class Equities									
AMERIPRISE FINCL INC (AMP)	5/3/16	22 000	95 565	169 470	2,102 44	3,728 34	1,625 90 LT		
	7/15/16	23 000	95 992	169 470	2,207 82	3,897 81	1,689 99 LT		
	9/8/16	38 000	100 794	169 470	3,830 19	6,439 86	2,609 67 LT		
	Total	83 000			8,140 45	14,066 01	5,925 56 LT	276 00	1 96
Next Dividend Payable 02/2018, Asset Class. Equities									
ANTHEM INC COM (ANTM)	5/3/16	15 000	142 090	225 010	2,131 35	3,375 15	1,243 80 LT		
	7/15/16	17 000	134 707	225 010	2,290 02	3,825 17	1,535 15 LT		
	9/8/16	34 000	127 290	225 010	4 327 86	7 650 34	3,322 48 LT		
	Total	66 000			8,749 23	14,850 66	6,101 43 LT	185 00	1 24
Next Dividend Payable 03/2018, Asset Class Equities									
ARRIS INTL INC (ARRS)	5/3/16	24 000	23.108	25 690	554 58	616 56	61 98 LT		
	7/15/16	18 000	25 007	25 690	450 13	462 42	12 29 LT		
	9/8/16	49 000	28 237	25 690	1 383 63	1,258 81	(124 82) LT		
	3/21/17	14 000	25 965	25 690	363 51	359 66	(3 85) ST		
	5/15/17	14 000	27 981	25 690	391 73	359 66	(32 07) ST		
	Total	119 000			3,143 58	3,057 11	(50 55) LT (35 92) ST	—	—

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Asset Class: Equities									
ASSURANT INC (AIZ)	5/3/16	10 000	86 345	100 840	863 45	1,008.40	144 95 LT		
	7/15/16	10 000	88 022	100 840	880 22	1,008 40	128 18 LT		
	9/8/16	17 000	90 215	100 840	1,533 66	1,714 28	180 62 LT		
	Total	37 000			3,277 33	3,731.08	453 75 LT	83 00	2 22
Next Dividend Payable 03/2018, Asset Class Equities									
AVIS BUDGET GROUP COM (CAR)	5/3/16	16 000	23 889	43 880	382 22	702 08	319 86 LT		
	7/15/16	12 000	36 030	43 880	432 36	526 56	94 20 LT		
	9/8/16	25 000	38 194	43 880	954 86	1,097 00	142 14 LT		
	5/15/17	2 000	23 575	43.880	47 15	87 76	40 61 ST		
	Total	55 000			1,816 59	2,413.40	556 20 LT 40 61 ST	—	—
Asset Class. Equities									
BROADCOM LTD SHS (AVGO)	5/3/16	14 000	143 876	256 900	2,014 27	3,596 60	1,582 33 LT		
	7/15/16	13 000	160 570	256 900	2,087 41	3,339 70	1,252 29 LT		
	9/8/16	22 000	168 323	256 900	3,703 11	5,651 80	1,948 69 LT		
	Total	49 000			7,804 79	12,588.10	4,783 31 LT	343 00	2 72
Next Dividend Payable 03/2018, Asset Class Equities									
CELANESE CORP SERIES A COM STK (CE)	5/3/16	25 000	70 890	107 080	1,772 24	2,677 00	904 76 LT		
	7/15/16	21 000	70 312	107 080	1,476 56	2,248 68	772 12 LT		
	9/8/16	44 000	63 825	107 080	2,808 30	4,711 52	1,903 22 LT		
	Total	90 000			5,057 10	9,637.20	3,580 10 LT	166 00	1 72
Next Dividend Payable 02/2018, Asset Class Equities									
COMMSCOPE HOLDING COMPANY INC (COMM)	10/5/16	59.000	30 880	37 830	1,821 92	2,231 97	410 05 LT		
	11/1/16	37.000	30 718	37 830	1,136 55	1,399.71	263.16 LT		
	3/21/17	11 000	39 998	37 830	439 98	416 13	(23 85) ST		
	5/15/17	14 000	36 420	37 830	509 88	529 62	19 74 ST		
	9/25/17	4 000	32 508	37 830	130 03	151 32	21 29 ST		
	Total	125 000			4,038 36	4,728.75	673 21 LT 17 18 ST	—	—
Asset Class Equities									
CORNING INC (GLW)	5/3/16	116 000	18 557	31 990	2,152 61	3,710 84	1 558 23 LT		
	7/15/16	88 000	21 327	31 990	1,876 78	2,815 12	938 34 LT		
	9/8/16	166 000	22 707	31 990	3,769 30	5,310 34	1 541 04 LT		
	Total	370 000			7,798 69	11,836 30	4,037 61 LT	229 00	1 93
Next Dividend Payable 03/2018; Asset Class Equities									

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
EOG RESOURCES INC (EOG)	5/3/16	26 000	80 332	107 910	2,088 64	2,805 66	717 02 LT		
	7/15/16	25 000	83 991	107 910	2,099 78	2 697 75	597 97 LT		
	9/8/16	38 000	95 145	107 910	3,615 51	4 100 58	485 07 LT		
	5/15/17	9 000	94 491	107 910	850 42	971 19	120 77 ST		
	9/25/17	5 000	96 434	107 910	482 17	539 55	57 38 ST		
	Total	103 000			9,136 52	11,114.73	1,800 06 LT 178 15 ST	69 00	0 62
Next Dividend Payable 01/2018, Asset Class: Equities									
FLEXTRONICS INTL LTD (FLEX)	5/15/17	182 000	16 105	17 990	2,931 13	3,274 18	343 05 ST		
	6/2/17	178 000	17 580	17 990	3 129 31	3,202 22	72 91 ST		
	Total	360 000			6,060 44	6,476.40	415 96 ST	—	—
Asset Class. Equities									
GOODYEAR TIRE & RUBBER (GT)	5/3/16	45 000	28 435	32 310	1,279 58	1,453 95	174 37 LT		
	7/15/16	41 000	26.419	32 310	1,083 17	1,324 71	241 54 LT		
	9/8/16	70 000	31.377	32 310	2,196 40	2,261 70	65 30 LT		
	5/15/17	4 000	34 070	32 310	136 28	129 24	(7 04) ST		
	Total	160 000			4,695 43	5,169.60	481 21 LT (7 04) ST	90 00	1 74
Next Dividend Payable 03/2018, Asset Class Equities									
HCA HEALTHCARE INC (HCA) *Asset Class Equities*	10/11/17	129 000	75 547	87 840	9,745 52	11,331.36	1,585 84 ST	—	—
HERTZ GLOBAL HOLDINGS INC (HTZ)	5/3/16	14 000	34 550	22 100	483 70	309 40	(174 30) LT		
	7/15/16	15 000	51 184	22 100	767 76	331 50	(436 26) LT		
	9/8/16	22 000	51 722	22 100	1,137 88	486 20	(651 68) LT		
	3/21/17	1 000	18 640	22 100	18 64	22 10	3 46 ST		
	5/15/17	2 000	10 410	22 100	20 82	44 20	23 38 ST		
	Total	54 000			2,428 80	1,193 40	(1 262 24) LT 26 84 ST	—	—
Asset Class Equities									
JOHNSON CTLS INTL PLC (JCI)	9/6/16	82 000	45 690	38 110	3,746 58	3 125 02	(621 56) LT		
	9/8/16	96 000	47 745	38 110	4,583 52	3,658 56	(924 96) LT		
	3/21/17	19 000	41 547	38 110	789 39	724 09	(65 30) ST		
	5/15/17	24 000	42 549	38 110	1,021 18	914 64	(106 54) ST		
	9/25/17	28 000	39 955	38 110	1 118 75	1 067 08	(51 67) ST		
	Total	249 000			11,259 42	9,489 39	(1,546 52) LT (223 51) ST	259 00	2 72

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Next Dividend Payable 01/12/18, Asset Class: Equities									
LIBERTY INTERACTIVE CORP QVC A (QVCA)	5/3/16	81 000	26 416	24 420	2,139 69	1,978 02	(161 67) LT		
	7/15/16	83 000	26 757	24 420	2,220 84	2,026 86	(193 98) LT		
	9/8/16	216 000	19 877	24 420	4,293 39	5,274 72	981 33 LT		
	Total	380 000			8,653 92	**9,279 60**	625 68 LT	—	—
Asset Class: Equities									
LINCOLN NTL CORP IND (LNC)	5/13/16	38 000	43.224	76 870	1,642 51	2,921 06	1,278 55 LT		
	7/15/16	34 000	42 697	76 870	1,451 70	2,613 58	1,161 88 LT		
	9/8/16	76 000	47 137	76 870	3,582 43	5,842 12	2,259 69 LT		
	Total	148 000			6,676 64	**11,376 76**	4,700 12 LT	195 00	1 71
Next Dividend Payable 02/2018; Asset Class: Equities									
MICROSEMI CORP (MSCC)	5/3/16	18 000	33 360	51 650	600 48	929.70	329 22 LT		
	7/15/16	17 000	33 848	51 650	575 41	878 05	302 64 LT		
	9/8/16	36 000	40 668	51 650	1,464 03	1,859 40	395 37 LT		
	9/25/17	3 000	49 417	51 650	148 25	154 95	6 70 ST		
	Total	74 000			2,788 17	**3,822 10**	1,027 23 LT 6 70 ST	—	—
Asset Class: Equities									
NATIONAL OILWELL VARCO INC (NOV)	5/3/16	62 000	34 414	36 020	2,133 68	2,233 24	99 56 LT		
	7/15/16	66 000	33 747	36 020	2,227 31	2,377 32	150 01 LT		
	9/8/16	102 000	35 207	36 020	3,591 10	3,674 04	82 94 LT		
	5/15/17	8 000	33 748	36 020	269 98	288 16	18 18 ST		
	9/25/17	1 000	36 010	36 020	36 01	36 02	0 01 ST		
	Total	239 000			8,258 08	**8,608 78**	332 51 LT 18 19 ST	48 00	0 55
Next Dividend Payable 03/2018, Asset Class Equities									
NCR CORPORATION (NCR)	5/3/16	21 000	28 522	33 990	598 97	713 79	114 82 LT		
	7/15/16	17 000	30 500	33 990	518 50	577 83	59 33 LT		
	9/8/16	40 000	33 090	33 990	1,323 60	1,359 60	36 00 LT		
	Total	78 000			2,441 07	**2,651.22**	210 15 LT	—	—
Asset Class Equities									
OWENS ILLINOIS COM NEW (OI)	5/3/16	27 000	19 065	22.170	514 76	598 59	83 83 LT		
	7/15/16	26 000	18 137	22 170	471.56	576 42	104 86 LT		
	9/8/16	45 000	18 370	22 170	826 65	997 65	171 00 LT		
	5/15/17	3 000	22 267	22 170	66 80	66 51	(0 29) ST		
	9/25/17	4 000	24 160	22 170	96 64	88 68	(7 96) ST		

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	Total	105 000			1 976 41	2,327 85	359 69 LT (8 25) ST	—	—
Asset Class. Equities									
SUNCOR ENERGY INC (SU)	5/3/16	77 000	27 427	36 720	2 111 88	2,827 44	715 56 LT		
	7/15/16	77 000	27 887	36 720	2 147 28	2,827 44	680 16 LT		
	9/8/16	151 000	27 777	36 720	4,194 31	5,544 72	1,350 41 LT		
	Total	305 000			8,453 47	11,199 60	2,746 13 LT	307 00	2 74
Next Dividend Payable 03/2018, Asset Class Equities									
TE CONNECTIVITY LTD NEW (TEL)	5/3/16	36 000	59 883	95 040	2 155 77	3,421 44	1,265 67 LT		
	7/15/16	37 000	59 967	95 040	2,218 78	3,516 48	1 297 70 LT		
	9/8/16	61 000	62 875	95 040	3,835 38	5,797 44	1 962 06 LT		
	Total	134 000			8,209 93	12,735 36	4,525 43 LT	214 00	1 68
Next Dividend Payable 03/2018; Asset Class Equities									
TENNECO AUTOMOTIVE INC (TEN)	5/3/16	9 000	53 197	58 540	478 77	526 86	48 09 LT		
	7/15/16	9 000	50 094	58 540	450 85	526 86	76 01 LT		
	9/8/16	16 000	56 660	58 540	906 56	936 64	30 08 LT		
	Total	34 000			1,836 18	1,990.36	154 18 LT	34 00	1 70
Next Dividend Payable 03/2018, Asset Class Equities									
WESTERN DIGITAL CORPORATION (WDC)	5/3/16	39 000	39 525	79 530	1 541 48	3,101 67	1,560 19 LT		
	7/15/16	45 000	51 627	79 530	2,323 22	3,578 85	1,255 63 LT		
	9/8/16	72 000	53 470	79 530	3,849 84	5,726 16	1,876 32 LT		
	Total	156 000			7,714 54	12,406 68	4,692 14 LT	312 00	2 51
Next Dividend Payable 01/16/18, Asset Class Equities									
WESTERN UN CO (WU)	5/3/16	84 000	19 925	19 010	1,673 70	1,596.84	(76 86) LT		
	7/15/16	74 000	20 097	19 010	1,487 19	1,406 74	(80 45) LT		
	9/8/16	142 000	21 247	19 010	3,017 02	2,699 42	(317 60) LT		
	Total	300 000			6,177 91	5,703 00	(474 91) LT	210 00	3 68
Next Dividend Payable 03/2018, Asset Class Equities									
WHIRLPOOL CORP (WHR)	7/29/16	13 000	192 012	168 640	2 496 15	2,192 32	(303 83) LT		
	9/8/16	32 000	175 330	168 640	5,610 56	5,396 48	(214 08) LT		
	Total	45 000			8,106 71	7,588 80	(517 91) LT	198 00	2 60
Next Dividend Payable 03/2018, Asset Class· Equities									
WILLIS TOWERS WATSON PUB LTD (WLTW)	5/3/16	17 000	126 246	150 690	2,146 19	2,561 73	415 54 LT		
	7/15/16	17 000	124 769	150 690	2,121 07	2,561 73	440 66 LT		
	9/8/16	31 000	126 030	150 690	3,906 93	4,671 39	764 46 LT		
	5/15/17	1 000	142 260	150 690	142 26	150 69	8 43 ST		

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	Total	66 000			8,316 45	9,945.54	1,620 66 LT 8 43 ST	140 00	1 40

Next Dividend Payable 01/16/18; Asset Class. Equities

	Percentage of Holdings		Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	99.10%	**Total Corporate Stock per Attachment A-4 =**	$205,191.55	$262,780 74	$54,001.62 LT $3,587 57 ST	$3,761 00	1 43%

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COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
ADOBE SYSTEMS (ADBE)	7/20/16	7 000	$98 595	$175 240	$690 17	$1,226 68	$536 51 LT		
	9/8/16	11 000	101 880	175 240	1,120 68	1,927 64	806 96 LT		
	Total	18 000			1,810 85	**3,154.32**	1,343 47 LT	—	—
Asset Class Equities									
AKAMAI TECHNOLOGIES INC (AKAM)	7/20/16	16 000	57 750	65 040	924 00	1,040 64	116 64 LT		
	9/8/16	25 000	53 567	65 040	1,339 18	1,626 00	286 82 LT		
	9/29/16	2 000	52 870	65 040	105 74	130 08	24 34 LT		
	3/21/17	5 000	63 244	65 040	316 22	325 20	8 98 ST		

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	4/4/17	4 000	59 128	65 040	236 51	260 16	23 65 ST		
	6/8/17	3 000	48 537	65 040	145 61	195 12	49 51 ST		
	Total	55 000			3,067 26	3,577.20	427 80 LT 82 14 ST	—	—
Asset Class· Equities									
ALEXION PHARM INC (ALXN)	7/20/16	6 000	126 973	119 590	761 84	717 54	(44 30) LT		
	9/8/16	6 000	129 883	119 590	779 30	717 54	(61 76) LT		
	9/8/16	2 000	128 990	119 590	257 98	239 18	(18 80) LT		
	12/12/16	1 000	113 440	119 590	113 44	119 59	6 15 LT		
	6/8/17	4 000	102 978	119 590	411 91	478 36	66 45 ST		
	Total	19 000			2,324 47	2,272.21	(118 71) LT 66 45 ST	—	—
Asset Class. Equities									
ALPHABET INC CL A (GOOGL)	7/20/16	1 000	757 500	1,053 400	757 50	1.053 40	295 90 LT		
	9/8/16	1 000	802 760	1,053 400	802 76	1 053 40	250 64 LT		
	Total	2.000			1,560 26	2,106.80	546 54 LT	—	—
Asset Class Equities									
ALPHABET INC CL C (GOOG)	7/20/16	2 000	740 230	1,046 400	1 480 46	2 092 80	612 34 LT		
	9/8/16	1 000	775 510	1.046 400	775 51	1.046 40	270 89 LT		
	Total	3 000			2 255 97	3,139 20	883 23 LT	—	—
Asset Class Equities									
AMAZON COM INC (AMZN)	7/20/16	3 000	744 903	1 169 470	2,234 71	3.508 41	1,273 70 LT		
	9/8/16	2 000	784 260	1,169 470	1 568 52	2 338 94	770 42 LT		
	Total	5 000			3,803 23	5,847.35	2,044 12 LT	—	—
Asset Class. Equities									
AMERICAN EXPRESS CO (AXP)	7/20/16	13 000	64 575	99 310	839 48	1 291 03	451 55 LT		
	9/8/16	13 000	66 457	99 310	863 94	1 291 03	427 09 LT		
	Total	26 000			1,703 42	2,582.06	878 64 LT	36 00	1 39
Next Dividend Payable 02/2018, Asset Class Equities									
ANHEUSER BUSCH INBEV SA SPON (BUD)	7/20/16	8 000	125 970	111 560	1 007 76	892 48	(115 28) LT		
	9/8/16	7 000	126 696	111 560	886 87	780 92	(105 95) LT		
	11/2/16	2 000	114 720	111 560	229 44	223.12	(6 32) LT		
	3/21/17	3 000	111 750	111 560	335 25	334 68	(0 57) ST		
	Total	20 000			2,459 32	2,231 20	(227 55) LT (0 57) ST	64 00	2 86
Asset Class Equities									

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
APPLE INC (AAPL)	7/20/16	7 000	99 837	169 230	698 86	1,184 61	485 75 LT		
	9/8/16	6 000	105 598	169 230	633 59	1,015 38	381 79 LT		
	9/8/16	1 000	105 610	169 230	105 61	169 23	63 62 LT		
	8/23/17	2 000	159 880	169 230	319 76	338 46	18 70 ST		
	Total	16 000			1,757 82	2,707.68	931 16 LT 18 70 ST	40 00	1 47
Next Dividend Payable 02/2018; Asset Class: Equities									
BIOGEN INC COM (BIIB)	7/20/16	4 000	241 153	318 570	964 61	1,274 28	309 67 LT		
	9/8/16	4 000	285 305	318 570	1,141 22	1,274 28	133 06 LT		
	6/8/17	1 000	256 570	318 570	256 57	318 57	62 00 ST		
	Total	9 000			2,362 40	2,867 13	442 73 LT 62.00 ST	—	—
Asset Class Equities									
BLACKROCK INC (BLK)	7/20/16	3 000	358 810	513 710	1,076 43	1,541 13	464 70 LT		
	9/8/16	3 000	372 137	513 710	1,116 41	1,541 13	424 72 LT		
	3/21/17	1 000	376 800	513 710	376.80	513 71	136 91 ST		
	Total	7 000			2,569 64	3,595 97	889 42 LT 136 91 ST	70 00	1 94
Next Dividend Payable 03/2018, Asset Class Equities									
CELGENE CORP (CELG)	7/20/16	15 000	104 763	104 360	1,571 44	1,565 40	(6 04) LT		
	9/8/16	15 000	107 859	104 360	1,617 89	1,565 40	(52 49) LT		
	6/8/17	1 000	116 420	104 360	116 42	104 36	(12 06) ST		
	10/27/17	2 000	97 325	104 360	194.65	208 72	14 07 ST		
	Total	33 000			3,500 40	3,443 88	(58 53) LT 2 01 ST	—	—
Asset Class: Equities									
CHARLES SCHWAB NEW (SCHW)	7/20/16	26 000	27 787	51 370	722 45	1,335 62	613 17 LT		
	9/8/16	21 000	30 970	51 370	650 37	1,078 77	428 40 LT		
	6/8/17	2 000	39 815	51 370	79 63	102 74	23 11 ST		
	Total	49 000			1,452 45	2,517 13	1,041 57 LT 23 11 ST	16 00	0 63
Next Dividend Payable 02/2018, Asset Class· Equities									
CHIPOTLE MEXICAN GRILL INC COM (CMG)	12/12/16	2 000	380 515	289 030	761 03	578 06	(182 97) LT		
	7/18/17	1 000	370 160	289 030	370 16	289 03	(81 13) ST		
	Total	3 000			1,131 19	867 09	(182 97) LT [illegible]	—	—

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Asset Class. Equities									
COCA COLA CO (KO)	9/8/16	25 000	43 577	45 880	1,089 43	1,147 00	57.57 LT		
	9/29/16	2 000	42 155	45 880	84 31	91 76	7 45 LT		
	3/21/17	3 000	42 547	45 880	127 64	137 64	10 00 ST		
	Total	30 000			1,301 38	1,376 40	65 02 LT 10 00 ST	44 00	3 19
Next Dividend Payable 03/2018; Asset Class Equities									
COMCAST CORP (NEW) CLASS A (CMCSA)	7/20/16	33 000	33 534	40 050	1,106 61	1,321 65	215 04 LT		
	9/8/16	42 000	33 085	40 050	1,389 57	1,682 10	292 53 LT		
	Total	75 000			2,496 18	3,003.75	507 57 LT	47 00	1 56
Next Dividend Payable 01/24/18, Asset Class Equities									
COSTCO WHOLESALE CORP NEW (COST)	10/5/17	3 000	166 467	186 120	499 40	558 36	58 96 ST		
	10/6/17	3 000	157 397	186 120	472 19	558 36	86 17 ST		
	10/9/17	1 000	154 780	186 120	154 78	186 12	31 34 ST		
	10/10/17	2 000	156 740	186 120	313 48	372 24	58 76 ST		
	10/25/17	2 000	162 040	186 120	324 08	372 24	48 16 ST		
	Total	11 000			1,763 93	2,047 32	283 39 ST	22 00	1 07
Next Dividend Payable 03/2018, Asset Class Equities									
CVS HEALTH CORP COM (CVS)	7/20/16	5 000	97 005	72 500	485 03	362 50	(122 53) LT		
	9/8/16	20 000	92 730	72 500	1 854 60	1,450 00	(404 60) LT		
	3/21/17	2 000	78 685	72 500	157 37	145 00	(12 37) ST		
	6/8/17	1 000	78 270	72 500	78 27	72 50	(5 77) ST		
	Total	28 000			2,575 27	2,030 00	(527 13) LT (18 14) ST	56 00	2 75
Next Dividend Payable 02/2018, Asset Class Equities									
DENTSPLY SIRONA INC (XRAY)	10/28/16	2 000	57 120	65 830	114 24	131 66	17 42 LT		
	10/31/16	1 000	57 370	65 830	57 37	65 83	8 46 LT		
	11/1/16	2 000	58 515	65 830	117 03	131 66	14 63 LT		
	11/2/16	1 000	60 060	65 830	60 06	65 83	5 77 LT		
	11/3/16	2 000	59 805	65 830	119 61	131 66	12 05 LT		
	11/4/16	4 000	60 865	65 830	243 46	263 32	19 86 LT		
	11/9/16	1 000	60 840	65 830	60 84	65 83	4 99 LT		
	11/10/16	2 000	61 310	65 830	122 62	131 66	9 04 LT		
	11/16/16	2 000	60 485	65 830	120 97	131 66	10.69 LT		
	11/22/16	2 000	59 455	65 830	118 91	131 66	12 75 LT		
	12/1/16	2 000	57 925	65 830	115 85	131 66	15 81 LT		

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
	1/17/17	3 000	58 230	65 830	174 69	197 49	22 80 ST		
	2/17/17	4 000	62 530	65 830	250 12	263 32	13 20 ST		
	9/15/17	4 000	59 245	65 830	236 98	263 32	26 34 ST		
	Total	32 000			1,912 75	2,106 56	131 47 LT 62 34 ST	11 00	0 52
Next Dividend Payable 01/12/18, Asset Class Equities									
EBAY INC (EBAY)	7/20/16	25 000	27 037	37 740	675 92	943 50	267 58 LT		
	9/8/16	16 000	32 755	37 740	524 08	603 84	79 76 LT		
	3/21/17	2 000	33 175	37 740	66 35	75 48	9 13 ST		
	Total	43 000			1,266 35	1,622.82	347 34 LT 9 13 ST	—	—
Asset Class· Equities									
ECOLAB INC (ECL)	7/20/16	8 000	119 980	134 180	959 84	1,073 44	113 60 LT		
	9/8/16	8 000	122 440	134 180	979 52	1,073 44	93 92 LT		
	3/21/17	1 000	124 430	134 180	124 43	134 18	9 75 ST		
	Total	17 000			2,063 79	2,281.06	207 52 LT 9 75 ST	28 00	1 22
Next Dividend Payable 01/16/18; Asset Class Equities									
FACEBOOK INC CL-A (FB)	7/20/16	9 000	122 107	176 460	1,098 96	1,588 14	489 18 LT		
	9/8/16	10 000	130 260	176 460	1,302 60	1,764 60	462 00 LT		
	6/8/17	1.000	153 710	176 460	153 71	176 46	22 75 ST		
	Total	20 000			2,555.27	3,529 20	951 18 LT 22 75 ST	—	—
Asset Class Equities									
HOME DEPOT INC (HD)	7/20/16	9 000	137 210	189 530	1,234 89	1,705 77	470 88 LT		
	9/8/16	11 000	131 350	189 530	1,444 85	2,084 83	639 98 LT		
	Total	20 000			2,679 74	3,790 60	1,110 86 LT	71 00	1 87
Next Dividend Payable 03/2018, Asset Class. Equities									
HONEYWELL INTERNATIONAL INC (HON)	3/8/17	2.000	126 755	153 360	253 51	306 72	53 21 ST		
	3/9/17	2 000	126 540	153 360	253 08	306 72	53 64 ST		
	3/10/17	2 000	126 910	153 360	253 82	306 72	52 90 ST		
	3/13/17	2 000	126 750	153 360	253 50	306 72	53 22 ST		
	3/15/17	2 000	126 755	153 360	253 51	306 72	53 21 ST		
	3/16/17	2 000	126 590	153 360	253 18	306 72	53 54 ST		
	3/27/17	2 000	124 220	153 360	248 44	306 72	58 28 ST		
	9/15/17	3 000	138 793	153 360	416 38	460 08	43 70 ST		

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	Total	17 000			2,185 42	2,607.12	421 70 ST	51 00	1 95
Next Dividend Payable 03/2018, Asset Class Equities									
JOHNSON & JOHNSON (JNJ)	7/20/16	1 000	125 190	139 720	125 19	139 72	14 53 LT		
	7/20/16	5 000	125 197	139 720	625 99	698 60	72 61 LT		
	9/8/16	8 000	119 434	139 720	955 47	1,117 76	162 29 LT		
	6/8/17	1 000	130 450	139 720	130 45	139 72	9 27 ST		
	Total	15 000			1,837 10	2,095 80	249 43 LT 9 27 ST	50 00	2 38
Next Dividend Payable 03/2018, Asset Class Equities									
MC CORMICK AND CO NON VOTING (MKC)	8/9/17	5 000	96 218	101 910	481 09	509 55	28 46 ST		
	10/4/17	7 000	99 509	101 910	696 56	713 37	16 81 ST		
	Total	12 000			1,177 65	1,222.92	45 27 ST	25 00	2 04
Next Dividend Payable 01/16/18, Asset Class: Equities									
MICROSOFT CORP (MSFT)	7/20/16	30 000	56 447	85 540	1 693 42	2 566 20	872 78 LT		
	9/8/16	26 000	57 310	85 540	1 490 06	2,224 04	733 98 LT		
	Total	56 000			3,183 48	4,790 24	1,606 76 LT	94 00	1 96
Next Dividend Payable 03/2018, Asset Class Equities									
MONSANTO CO/NEW (MON)	7/20/16	4 000	106 933	116 780	427 73	467 12	39 39 LT		
	9/8/16	9 000	107 946	116 780	971 51	1,051 02	79 51 LT		
	11/16/16	2 000	100 745	116 780	201 49	233 56	32 07 LT		
	Total	15 000			1,600 73	1,751.70	150 97 LT	32 00	1 82
Next Dividend Payable 01/2018, Asset Class Equities									
ORACLE CORP (ORCL)	12/8/17	12 000	49 430	47 280	593 16	567 36	(25 80) ST		
	12/14/17	6 000	50 232	47 280	301 39	283 68	(17 71) ST		
	12/15/17	19 000	48 056	47 280	913 06	898 32	(14 74) ST		
	Total	37 000			1,807 61	1,749 36	(58 25) ST	28 00	1 60
Next Dividend Payable 01/2018, Asset Class: Equities									
PALO ALTO NETWORKS INC (PANW)	7/20/16	3 000	129 680	144 940	389 04	434 82	45 78 LT		
	9/1/16	1 000	139 390	144 940	139 39	144 94	5 55 LT		
	9/8/16	4 000	147 340	144 940	589 36	579 76	(9 60) LT		
	12/5/16	3 000	129 270	144 940	387 81	434 82	47 01 LT		
	3/21/17	2 000	112 310	144 940	224 62	289 88	65 26 ST		
	Total	13 000			1,730 22	1,884 22	88 74 LT 65 26 ST	—	—
Asset Class Equities									

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PAYPAL HLDGS INC COM (PYPL)	7/20/16	11 000	40 337	73 620	443 71	809.82	366 11 LT		
	9/8/16	23 000	39 110	73 620	899 53	1 693 26	793 73 LT		
	Total	34 000			1,343 24	2,503 08	1,159 84 LT	—	—
Asset Class. Equities									
PIONEER NATURAL RESOURCES CO (PXD)	2/24/17	2 000	185 070	172 850	370 14	345 70	(24 44) ST		
	3/1/17	2 000	192 100	172 850	384 20	345 70	(38 50) ST		
	3/9/17	1 000	184 520	172 850	184 52	172 85	(11 67) ST		
	4/25/17	1 000	177 580	172 850	177 58	172 85	(4 73) ST		
	5/4/17	2 000	165 150	172 850	330 30	345 70	15 40 ST		
	5/8/17	1 000	171 440	172 850	171 44	172 85	1 41 ST		
	6/8/17	1 000	164 330	172 850	164 33	172 85	8 52 ST		
	8/2/17	1 000	145 940	172 850	145 94	172 85	26 91 ST		
	Total	11 000			1,928 45	1,901.35	(27 10) ST	1 00	0 05
Next Dividend Payable 04/2018; Asset Class. Equities									
PRAXAIR INC (PX)	11/9/17	1 000	149 100	154 680	149 10	154 68	5 58 ST		
	11/10/17	1 000	148 120	154 680	148 12	154 68	6 56 ST		
	11/13/17	2 000	147 975	154 680	295 95	309 36	13 41 ST		
	11/15/17	2 000	146 575	154 680	293 15	309 36	16 21 ST		
	11/17/17	2 000	150 635	154 680	301 27	309 36	8 09 ST		
	Total	8 000			1,187 59	1,237.44	49 85 ST	25 00	2 02
Next Dividend Payable 03/2018, Asset Class Equities									
RED HAT INC (RHT)	7/20/16	13 000	73 857	120 100	960 14	1,561 30	601 16 LT		
	9/8/16	14 000	72 794	120 100	1,019 12	1,681 40	662 28 LT		
	Total	27 000			1,979 26	3,242.70	1,263 44 LT	—	—
Asset Class Equities									
REGENERON PHARM (REGN)	7/20/16	1 000	386 090	375 960	386 09	375 96	(10 13) LT		
	9/8/16	1 000	403 000	375 960	403 00	375 96	(27 04) LT		
	12/9/16	1 000	375 300	375 960	375 30	375 96	0 66 LT		
	1/6/17	1 000	358 630	375 960	358 63	375 96	17 33 ST		
	Total	4.000			1,523 02	1,503.84	(36.51) LT 17 33 ST	—	—
Asset Class Equities									
ROCKWELL COLLINS INC (COL)	7/20/16	1 000	86 953	135 620	86 95	135 62	48 67 LT		
	9/8/16	10 000	84 015	135 620	840.15	1,356 20	516 05 LT		
	10/26/16	1 000	81 250	135 620	81 25	135 62	54 37 LT		
	Total	12 000			1,008 35	1,627.44	619 09 LT	16 00	0 98

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Next Dividend Payable 03/2018, Asset Class Equities									
SCHLUMBERGER LTD (SLB)	7/20/16	17 000	80 740	67 390	1,372 58	1,145 63	(226 95) LT		
	9/8/16	19 000	79 360	67 390	1 507 84	1 280 41	(227 43) LT		
	3/21/17	2 000	79 015	67 390	158 03	134 78	(23 25) ST		
	6/8/17	4 000	68 590	67 390	274 36	269 56	(4 80) ST		
	Total	42 000			3,312 81	2,830 38	(454 38) LT (28 05) ST	84 00	2 96
Next Dividend Payable 01/12/18, Asset Class Equities									
SPLUNK INC (SPLK)	5/26/17	8 000	62 728	82 840	501 82	662 72	160 90 ST		
	6/8/17	1 000	61 050	82 840	61 05	82 84	21 79 ST		
	6/15/17	2 000	57 285	82 840	114 57	165 68	51 11 ST		
	6/16/17	2 000	57 665	82 840	115 33	165 68	50 35 ST		
	6/28/17	4 000	57 063	82 840	228 25	331 36	103 11 ST		
	7/11/17	2 000	58 395	82 840	116 79	165 68	48 89 ST		
	7/12/17	2 000	60 340	82 840	120 68	165 68	45 00 ST		
	7/19/17	2 000	61 835	82 840	123 67	165 68	42 01 ST		
	Total	23 000			1,382 16	1,905 32	523 16 ST	—	—
Asset Class: Equities									
TEXAS INSTRUMENTS (TXN)	7/20/16	11 000	65 570	104 440	721 27	1 148 84	427 57 LT		
	9/8/16	10 000	68 915	104 440	689 15	1,044 40	355 25 LT		
	Total	21 000			1,410 42	2,193.24	782 82 LT	52 00	2 37
Next Dividend Payable 02/2018, Asset Class Equities									
THERMO FISHER SCIENTIFIC (TMO)	7/20/16	5 000	157 850	189 880	789 25	949 40	160 15 LT		
	9/8/16	7 000	150 810	189 880	1,055 67	1,329 16	273 49 LT		
	1/23/17	1 000	143 090	189 880	143 09	189 88	46 79 ST		
	Total	13 000			1,988 01	2,468.44	433 64 LT 46 79 ST	8 00	0 32
Next Dividend Payable 01/15/18; Asset Class Equities									
UNITED PARCEL SER INC CL-B (UPS)	7/20/16	9 000	110 627	119 150	995 64	1,072 35	76 71 LT		
	9/8/16	9 000	109 190	119.150	982 71	1,072 35	89 64 LT		
	2/7/17	1 000	105 700	119 150	105 70	119 15	13 45 ST		
	3/21/17	1 000	106 850	119 150	106 85	119 15	12 30 ST		
	Total	20 000			2,190 90	2,383 00	166 35 LT 25 75 ST	66 00	2 76
Next Dividend Payable 02/2018, Asset Class Equities									

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
UNITEDHEALTH GP INC (UNH)	7/20/16	6 000	143 439	220 460	860 63	1,322 76	462 13 LT		
	9/8/16	11 000	135 447	220 460	1,489 92	2,425 06	935 14 LT		
	Total	17 000			2,350 55	3,747.82	1,397 27 LT	51 00	1 36
Next Dividend Payable 03/2018, Asset Class Equities									
VISA INC CL A (V)	7/20/16	19 000	79 555	114 020	1,511 54	2,166 38	654 84 LT		
	9/8/16	17 000	82 937	114 020	1.409 93	1,938 34	528 41 LT		
	Total	36 000			2,921 47	4,104.72	1,183 25 LT	28 00	0 68
Next Dividend Payable 03/2018, Asset Class Equities									
VMWARE INC CLASS A (VMW)	7/20/16	8 000	70 240	125 320	561 92	1,002 56	440 64 LT		
	9/8/16	8 000	73 990	125 320	591 92	1,002 56	410 64 LT		
	Total	16 000			1,153.84	2,005.12	851 28 LT	—	—
Asset Class: Equities									
W W GRAINGER INC (GWW)	7/20/16	4 000	217 340	236 250	869.36	945 00	75 64 LT		
	9/8/16	3 000	229 250	236 250	687 75	708 75	21 00 LT		
	6/8/17	1 000	171 320	236 250	171 32	236 25	64 93 ST		
	10/19/17	1 000	205 050	236 250	205 05	236 25	31 20 ST		
	Total	9 000			1,933 48	2,126 25	96 64 LT 96 13 ST	46 00	2 16
Next Dividend Payable 03/2018, Asset Class. Equities									
WALT DISNEY CO HLDG CO (DIS)	7/20/16	10 000	98 397	107 510	983 97	1,075 10	91 13 LT		
	8/30/16	1 000	94 970	107 510	94 97	107 51	12 54 LT		
	9/8/16	13 000	94 115	107 510	1,223 50	1,397 63	174.13 LT		
	6/8/17	2 000	104 405	107 510	208 81	215 02	6 21 ST		
	Total	26 000			2,511 25	2,795 26	277 80 LT 6 21 ST	44 00	1 57
Next Dividend Payable 01/11/18, Asset Class Equities									
YUM CHINA HLDNGS (YUMC)	9/8/16	4 000	26 851	40 020	107 41	160 08	52 67 LT		
	11/8/16	11 000	26 708	40 020	293 79	440 22	146 43 LT		
	11/9/16	10 000	26 274	40 020	262 74	400 20	137 46 LT		
	11/10/16	9 000	26 198	40 020	235 78	360 18	124 40 LT		
	11/11/16	11 000	26 676	40 020	293 44	440 22	146 78 LT		
	3/21/17	3 000	26 607	40.020	79 82	120 06	40 24 ST		
	7/7/17	7 000	37 217	40 020	260 52	280 14	19 62 ST		
	Total	55 000			1,533 50	2,201.10	607 74 LT 59 86 ST	22 00	0 99
Next Dividend Payable 03/2018, Asset Class· Equities									

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
ZOETIS INC CLASS-A (ZTS)	7/20/16	13 000	50 217	72 040	652 82	936 52	283 70 LT		
	9/8/16	21 000	51 500	72 040	1,081 50	1,512 84	431 34 LT		
	3/21/17	4 000	53 618	72 040	214 47	288 16	73 69 ST		
	Total	38 000			1,948 79	2,737 52	715 04 LT 73 69 ST	19 00	0 69

Next Dividend Payable 03/2018, Asset Class- Equities

	Percentage of Holdings		Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
STOCKS	97.23%	**Total Corporate Stock per Attachment A-5 =**	$97,502 64	$122,312.31	$22,793 96 LT $2,015 71 ST	$1,247.00	1 02%

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CORPORATE BONDS

Security Description	Trade Date	Face Value	Orig Unit Cost / Adj Unit Cost	Unit Price	Orig Total Cost / Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income / Accrued Interest	Current Yield %
HSBC CONTINGENT 9 15% WORSTOF RTY SPX SX5E	6/23/17	200,000 000	$100 000	$96 860	$200,000 00			—	—
DISCRETIONARYCALL			$100 000		$200,000 00	$193,720 00	$(6,280 00) ST	—	

Coupon Rate 9 150%, Matures 03/26/2020, CUSIP 40435FAK3
Interest Paid Quarterly Sep 28, Yield to Maturity 10.752%, Floater; Trading Flat, Issued 06/28/17, Asset Class: Struct Inv

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Security Description	Trade Date	Face Value	Orig Unit Cost / Adj Unit Cost	Unit Price	Orig Total Cost / Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income / Accrued Interest	Current Yield %
JPM CONTINGENT 9 85% WORSTOF R TY SPX SX5E	11/29/17	225,000 000	100 000	99 560	225 000 00			—	—
DISCRETIONARY CALL			100 000		225,000 00	224,010 00	(990 00) ST	—	

Coupon Rate 9 850% Matures 03/03/2021 CUSIP 48129HQD2
Interest Paid Quarterly Mar 05, Yield to Maturity 10 005%, First Coupon 03/05/18, Floater, Trading Flat, Issued 12/04/17, Asset Class Struct Inv

	Percentage of Holdings		Orig Total Cost / Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income / Accrued Interest	Current Yield %
CORPORATE FIXED INCOME			$425,000 00			—	—
	56 80%	**Total Corporate Bonds per Attachment B-1 =**	$425,000 00	$417,730 00	$(7,270 00) ST	—	

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CORPORATE BONDS

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Unit Price	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income Accrued Interest	Current Yield %
DUN & BRADSTREET CORP	5/26/16	7,000 000	$104 179	$102 560	$7,292 53			$298 00	4 15
Coupon Rate 4 250%, Matures 06/15/2020, CUSIP 26483EAH3			$102 603		$7,182 18	$7,179.20	$(2 98) LT	$13 22	
Int. Semi-Annually Jun/Dec 15, Callable $100 00 on 05/15/20, Yield to Call 3 121%, S&P BB+, Issued 06/15/15, Asset Class FI & Pref									
EXPEDIA INC	6/13/16	7,000 000	111 913	107 589	7,833 88			417 00	5 53
Coupon Rate 5 950%, Matures 08/15/2020, CUSIP 30212PAH8			107 664		7,536 48	7,531 23	(5 25) LT	157 34	
Int. Semi-Annually Feb/Aug 15, Yield to Maturity 2.921%; Moody BA1 S&P BBB-, Issued 08/05/10, Asset Class. FI & Pref									
AMERICAN TOWER CORP	9/21/16	6,000 000	110 662	106 029	6,639 72			303 00	4 76
Coupon Rate 5 050%, Matures 09/01/2020, CUSIP 029912BC5			107 331		6,439.86	6,361.74	(78 12) LT	100 99	

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Security Description	Trade Date	Face Value	Orig Unit Cost / Adj Unit Cost	Unit Price	Orig Total Cost / Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income / Accrued Interest	Current Yield %
Int Semi-Annually Mar/Sep 01; Yield to Maturity 2 690%, Moody BAA3 S&P BBB-; Issued 08/16/10, Asset Class. FI & Pref									
GAP INC	5/24/16	7 000 000	101 875	107 829	7 131 25				
Coupon Rate 5 950%, Matures 04/12/2021, CUSIP 364760AK4			101 315		7,092 02	7,548 03	456 01 LT		
	7/21/16	7 000 000	106 375	107 829	7 446 25				
			104 574		7 320 15	7,548 03	227 88 LT		
	Total	14,000 000			14,577 50			833 00	5 51
					14 412 17	15,096 06	683 89 LT	182 79	
Int Semi-Annually Apr/Oct 12, Callable $100 00 on 01/12/21, Yield to Call 3 217%; Moody BAA2 S&P BB+; Issued 04/12/11, Asset Class FI & Pref									
DISH DBS CORPORATION	7/20/16	7,000 000	108 250	105 000	7,577 50				
Coupon Rate 6 750%, Matures 06/01/2021, CUSIP 25470XAE5			106 004		7,420 30	7,350 00	(70 30) LT		
	7/21/16	7,000 000	107 750	105 000	7,542 50				
			105 647		7,395 31	7 350 00	(45 31) LT		
	Total	14,000 000			15,120 00			945 00	6 42
					14,815 61	14,700 00	(115 61) LT	78 74	
Int Semi-Annually Jun/Dec 01, Yield to Maturity 5 134%, Moody BA3 S&P B+, Issued 05/05/11, Asset Class FI & Pref									
AMERICAN TOWERS, INC	6/6/16	7,000 000	115 770	110 613	8 103 90			413 00	5 33
Coupon Rate 5 900%, Matures 11/01/2021, CUSIP 029912BE1			111 438		7,800 67	7,742 91	(57 76) LT	68 83	
Int Semi-Annually May/Nov 01, Yield to Maturity 2.950%; Moody BAA3 S&P BBB-, Issued 10/06/11, Asset Class. FI & Pref									
WESCO DISTRIBUTION INC	7/21/16	15,000 000	104 000	102 500	15,600 00			806 00	5 24
Coupon Rate 5 375%, Matures 12/15/2021, CUSIP 95081QAK0			103 200		15,480 02	15,375 00	(105 02) LT	35 83	
Int Semi-Annually Jun/Dec 15, Callable $102 68 on 01/28/18, Yield to Maturity 4 675%; Moody B1 S&P BB-, Issued 06/15/14, Asset Class FI & Pref									
CENTURYLINK INC	6/10/16	7,000 000	96 000	97 940	6 720 00				
Coupon Rate 5 800%, Matures 03/15/2022, CUSIP 156700AS5			96 000		6,720 00	6 855 80	135 80 LT		
	8/4/16	8,000 000	102 250	97 940	8 180 00				
			101 749		8 139 94	7,835 20	(304 74) LT		
	Total	15,000 000			14,900 00			870 00	5 92
					14,859 94	14,691.00	(168 94) LT	256 16	
Int Semi-Annually Mar/Sep 15, Yield to Maturity 6 363%, Moody B2 S&P B+, Issued 03/12/12, Asset Class FI & Pref									
MASCO CORP	5/26/16	4 000 000	112 250	110 713	4 490 00				
Coupon Rate 5 950%, Matures 03/15/2022: CUSIP 574599BH8			109 123		4,364 92	4,428 52	63 60 LT		
	9/9/16	6,000 000	115 500	110 713	6,930 00				
			112 033		6 721 97	6,642 78	(79 19) LT		
	Total	10,000 000			11,420 00			595 00	5 37
					11,086 89	11,071 30	(15 59) LT	175 19	
Int Semi-Annually Mar/Sep 15; Yield to Maturity 3 205%; Moody BA1 S&P BBB, Issued 03/12/12; Asset Class FI & Pref									
REGAL ENTERTAINMENT GRP	10/26/16	7,000 000	104 125	103 125	7,288 75			403 00	5 58
Coupon Rate 5 750%, Matures 03/15/2022, CUSIP 758766AH2			103 502		7,245 16	7,218 75	(26 41) LT	118 51	

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Int Semi-Annually Mar/Sep 15, Callable $104 31 on 01/28/18, Yield to Maturity 4.916%, Moody B3 S&P B+ (-), Issued 03/11/14 Asset Class FI & Pref									
INFOR US INC	8/11/16	5,000 000	101 500	103 500	5,075 00				
Coupon Rate 6 500%, Matures 05/15/2022, CUSIP 45672NAG6			101 187		5,059 34	5,175 00	115 66 LT		
	8/31/16	9,000 000	101 625	103 500	9,146 25				
			101 625		9,146 25	9,315 00	168 75 LT		
	Total	14,000 000			14 221 25			910 00	6 28
					14,205 59	14,490.00	284 41 LT	116 27	
Int. Semi-Annually May/Nov 15, Callable $103 25 on 05/15/18, Yield to Maturity 5.585%, Moody CAA1 S&P CCC+, Issued 11/15/15, Asset Class FI & Pref									
MOTOROLA SOLUTIONS INC	2/13/17	2,000 000	101 675	102 715	2,033 50			75 00	3 65
Coupon Rate 3 750%, Matures 05/15/2022, CUSIP 620076BB4			101 416		2,028 31	2,054 30	25 99 ST	9 58	
Int Semi-Annually May/Nov 15, Yield to Maturity 3 081%, Moody BAA3 S&P BBB-, Issued 05/15/12, Asset Class FI & Pref									
TRANSDIGM INC	6/13/16	7,000 000	101 600	102 000	7,112 00				
Coupon Rate 6 000%, Matures 07/15/2022, CUSIP 893647AW7			101 564		7,109 49	7,140 00	30 51 LT		
	7/21/16	7,000 000	104 300	102 000	7,301 00				
			103 680		7,257 57	7,140 00	(117 57) LT		
	Total	14,000 000			14,413 00			840 00	5 88
					14,367 06	14,280 00	(87 06) LT	387 33	
Int. Semi-Annually Jan/Jul 15, Callable $104 50 on 01/28/18, Yield to Maturity 5 495%, Moody B3 S&P B-; Issued 06/04/14; Asset Class: FI & Pref									
DAVITA INC	5/26/16	7,000 000	105 000	102 875	7,350.00				
Coupon Rate 5 750%, Matures 08/15/2022, CUSIP 23918KAP3			103 859		7,270 15	7 201 25	(68 90) LT		
	7/21/16	7,000 000	105 775	102 875	7,404 25				
			104 550		7,318 50	7,201 25	(117 25) LT		
	Total	14,000 000			14,754 25			805 00	5 58
					14,588 65	14,402 50	(186 15) LT	304 11	
Int Semi-Annually Feb/Aug 15, Callable $102.87 on 01/28/18, Yield to Maturity 5 043%, Moody BA3 S&P B+, Issued 08/28/12; Asset Class. FI & Pref									
VERISK ANALYTICS INC	6/13/16	7,000 000	105 916	104 399	7,414 12				
Coupon Rate 4 125%, Matures 09/12/2022, CUSIP 92345YAC0			104 556		7,318 90	7,307 93	(10 97) LT		
	3/22/17	8,000 000	104 435	104 399	8,354 80				
			103 861		8,308 90	8,351 92	43 02 ST		
	Total	15,000 000			15,768 92			619 00	3 95
					15,627 80	15,659 85	(10 97) LT 43 02 ST	187 34	
Int Semi-Annually Mar/Sep 12, Yield to Maturity 3 110%; Moody BAA3 S&P BBB-, Issued 09/12/12, Asset Class FI & Pref									
TESORO CORP	6/2/16	7,000 000	102 250	103 250	7,157 50				
Coupon Rate 5 375%, Matures 10/01/2022, CUSIP 881609AZ4			102 037		7,142 60	7,227 50	84 90 LT		
	7/20/16	7,000 000	103 500	103 250	7,245 00				
			102 954		7,206 79	7,227 50	20 71 LT		

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	Total	14,000 000			14,402 50			753 00	5 20
					14,349 39	14,455 00	105 61 LT	188 12	
Int Semi-Annually Apr/Oct 01; Callable $102.68 on 01/28/18; Yield to Call 005%, Moody BAA3 S&P BBB-, Issued 09/27/12; Asset Class FI & Pref									
DUN & BRADSTREET CORP	7/26/16	8 000 000	103 181	101 418	8 254 48			370 00	4 56
Coupon Rate 4 625%, Matures 12/01/2022, CUSIP 26483EAG5			102 535		8,202 82	8,113.44	(89 38) LT	30 83	
Int. Semi-Annually Jun/Dec 01, Callable $100 00 on 09/01/22, Yield to Call 4.285%, S&P BB+; Issued 12/03/12; Asset Class FI & Pref									
MOTOROLA SOLUTIONS INC	2/10/17	8,000 000	99 283	100 704	7,942 64			280 00	3 47
Coupon Rate 3 500%, Matures 03/01/2023, CUSIP 620076BC2			99 283		7,942.64	8,056 32	113 68 ST	93 33	
Int Semi-Annually Mar/Sep 01, Yield to Maturity 3 350%, Moody BAA3 S&P BBB-, Issued 02/28/13, Asset Class FI & Pref									
STEEL DYNAMICS INC	12/16/16	7,000 000	104 875	103 000	7,341 25			368 00	5 10
Coupon Rate 5 250%, Matures 04/15/2023 CUSIP 858119AZ3			104 165		7 291 52	7,210.00	(81 52) LT	77 58	
Int Semi-Annually Apr/Oct 15, Callable $102 62 on 04/15/18, Yield to Call 3 779%, Moody BA1 S&P BB+, Issued 10/15/13; Asset Class. FI & Pref									
TRINITY ACQUISITIONS PLC	6/8/16	7,000 000	106 163	105 939	7,431 38				
Coupon Rate 4 625%, Matures 08/15/2023, CUSIP 89641UAA9			104 961		7,347 28	7,415 73	68 45 LT		
	11/9/17	4 000 000	107 525	105 939	4,301 00				
			107 365		4,294 59	4,237 56	(57 03) ST		
	Total	11,000 000			11,732 38			509 00	4 36
					11 641 87	11,653 29	68 45 LT	192 19	
							(57 03) ST		
Int Semi-Annually Feb/Aug 15, Yield to Maturity 3 453%, Moody BAA3 S&P BBB, Issued 08/15/13, Asset Class FI & Pref									
CDW LLC/CDW FINANCE	7/19/16	5 000 000	102 975	103 375	5,148 75				
Coupon Rate 5 000%, Matures 09/01/2023, CUSIP 12513GBB4			102 790		5,139 49	5,168 75	29 26 LT		
	7/21/16	2,000 000	103 225	103 375	2,064 50				
			102 944		2,058 87	2 067 50	8 63 LT		
	Total	7,000 000			7,213 25			350 00	4 83
					7,198 36	7,236 25	37 89 LT	116 66	
Int Semi-Annually Mar/Sep 01, Callable $103 75 on 03/01/18, Yield to Maturity 4 321%, Moody BA3 S&P BB-, Issued 03/03/15, Asset Class FI & Pref									
VIACOM INC	6/13/16	7,000 000	103 463	102 099	7 242 38				
Coupon Rate 4 250% Matures 09/01/2023 CUSIP 92553PAT9			102 796		7,195 73	7,146 93	(48 80) LT		
	7/19/16	7,000 000	105 701	102 099	7 399 07				
			104 650		7 325 48	7,146 93	(178 55) LT		
	Total	14,000 000			14,641 45			595 00	4 16
					14,521 21	14,293 86	(227 35) LT	198 33	
Int Semi-Annually Mar/Sep 01, Callable $100 00 on 06/01/23; Yield to Call 3 817%, Moody BAA3 S&P BBB- (-), Issued 08/19/13; Asset Class FI & Pref									
VERIZON COMMUNICATIONS	8/1/17	14,000 000	111 937	111 264	15,671 18			721 00	4 62
Coupon Rate 5 150% Matures 09/15/2023, CUSIP 92343VBR4			111 203		15 568 41	15,576.96	8 55 ST	212 29	
Int Semi-Annually Mar/Sep 15, Yield to Maturity 2 987%, Moody BAA1 S&P BBB+; Issued 09/18/13, Asset Class· FI & Pref									

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GANNETT CO INC	5/31/16	7,000 000	107 125	104 750	7,498 75				
Coupon Rate 6 375%, Matures 10/15/2023, CUSIP 364725BE0			105 815		7,407 04	7,332 50	(74 54) LT		
	7/21/16	7,000 000	108 850	104 750	7,619 50				
			107 330		7,513 13	7,332 50	(180 63) LT		
	Total	14,000 000			15,118 25			893 00	6 08
					14,920 17	14,665 00	(255 17) LT	188 41	
Int Semi-Annually Apr/Oct 15, Callable $103 18 on 10/15/18, Yield to Call 4 187%, Moody BA2 S&P BB+, Issued 10/03/13, Asset Class FI & Pref									
LIMITED BRANDS INC	2/23/17	11,000 000	104 875	107 875	11,536 25				
Coupon Rate 5 625%, Matures 10/15/2023, CUSIP 501797AJ3			104 336		11 476 91	11,866 25	389 34 ST		
	4/4/17	3,000 000	104 375	107 875	3,131 25				
			103 947		3,118 42	3,236 25	117 83 ST		
	Total	14,000 000			14,667 50			788 00	5 21
					14,595 33	15,102.50	507 17 ST	166 24	
Int Semi-Annually Apr/Oct 15, Yield to Maturity 4 082%, Moody BA1 S&P BB+, Issued 10/16/13, Asset Class FI & Pref									
TEMPUR SEALY INTERNATIONAL INC	11/2/17	3,000 000	105 563	104 000	3,166 88				
Coupon Rate 5 625%, Matures 10/15/2023, CUSIP 88023UAD3			105 456		3,163 67	3,120 00	(43 67) ST		
	11/3/17	6,000 000	105 250	104 000	6,315 00				
			105 169		6,310 16	6,240 00	(70 16) ST		
	Total	9,000 000			9,481 88			506 00	5 40
					9,473 83	9,360.00	(113 83) ST	106 87	
Int Semi-Annually Apr/Oct 15, Callable $104 21 on 10/15/18, Yield to Maturity 4.823%; Moody B1 S&P BB; Issued 09/24/15, Asset Class FI & Pref									
SALLY HOLDINGS/SALLY CAP	4/5/17	10,000 000	101 125	101 000	10,112 50			550 00	5 44
Coupon Rate 5 500%, Matures 11/01/2023, CUSIP 79546VAK2			101 095		10,109 45	10,100 00	(9 45) ST	91 66	
Int Semi-Annually May/Nov 01. Callable $102 75 on 11/01/18, Yield to Maturity 5 297%, Moody BA3 S&P BB+, Issued 10/29/13, Asset Class FI & Pref									
KOHL'S CORPORATION	4/19/17	4,000 000	103 066	105 373	4,122 64				
Coupon Rate 4 750%, Matures 12/15/2023, CUSIP 500255AT1			102 787		4,111 46	4,214 92	103 46 ST		
	5/2/17	7,000 000	102 835	105 373	7,198 45				
			102 587		7,181 11	7,376 11	195 00 ST		
	Total	11,000 000			11,321 09			523.00	4 51
					11,292 57	11,591.03	298.46 ST	23 22	
Int. Semi-Annually Jun/Dec 15, Callable $100.00 on 09/15/23; Yield to Call 3 696%, Moody BAA2 S&P BBB-, Issued 09/12/13, Asset Class FI & Pref									
CBS OUTDOOR AMERS CAPITAL LLC	11/14/16	12,000 000	102 950	105 750	12,354 00				
Coupon Rate 5 625%, Matures 02/15/2024, CUSIP 12505FAD3			102 904		12,348 48	12,690 00	341 52 LT		
	12/21/16	2,000 000	104 500	105.750	2,090 00				
			103 968		2,079 35	2,115 00	35 65 LT		
	Total	14,000 000			14,444 00			788 00	5.32
					14,427 83	14,805 00	377 17 LT	100 62	

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Int Semi-Annually May/Nov 15, Callable $102 81 on 02/15/19, Yield to Call 2 860%, Moody B1 S&P BB-, Issued 11/15/14, Asset Class FI & Pref									
QVC INC	10/17/16	15 000 000	102 090	105 085	15 313 50			728 00	4 61
Coupon Rate 4 850%, Matures 04/01/2024, CUSIP 747262AS2			101 799		15,269 79	15,762.75	492 96 LT	181 87	
Int Semi-Annually Apr/Oct 01, Yield to Maturity 3.924%, Moody BA2 S&P BBB-, Issued 03/18/14, Asset Class FI & Pref									
WILLIS NORTH AMERICA INC	9/20/17	4,000 000	102 248	101 660	4,089 92			144 00	3 54
Coupon Rate 3 600%, Matures 05/15/2024, CUSIP 970648AF8			102 164		4,086 55	4,066.40	(20 15) ST	18 40	
Int Semi-Annually May/Nov 15, Callable $100.00 on 03/15/24, Yield to Call 3.301%, Moody BAA3 S&P BBB, Issued 05/16/17; Asset Class FI & Pref									
SIGNET UK FINANCE PLC	10/30/17	6,000 000	99 000	98 462	5 940 00				
Coupon Rate 4 700%, Matures 06/15/2024, CUSIP 82671AAA1			99 000		5,940 00	5 907 72	(32 28) ST		
	11/9/17	6,000 000	98 450	98 462	5,907 00				
			98 450		5,907 00	5,907 72	0 72 ST		
	11/13/17	4 000 000	98 600	98 462	3,944 00				
			98 600		3,944 00	3 938 48	(5 52) ST		
	Total	16,000 000			15,791 00			752 00	4 77
					15,791 00	15,753.92	(37 08) ST	33 42	
Int. Semi-Annually Jun/Dec 15; Callable $100.00 on 03/15/24; Yield to Maturity 4.981%, Moody BA1 S&P BBB-; Issued 05/19/14, Asset Class FI & Pref									
EXPEDIA INC	8/4/16	7,000 000	104 632	104 725	7,324 24			315 00	4 29
Coupon Rate 4 500% Matures 08/15/2024, CUSIP 30212PAJ4			103 923		7,274 64	7,330.75	56 11 LT	119 00	
Int. Semi-Annually Feb/Aug 15, Callable $100 00 on 05/15/24, Yield to Call 3 661%, Moody BA1 S&P BBB-, Issued 08/18/14; Asset Class· FI & Pref									
MOTOROLA SOLUTIONS INC	1/10/17	5,000 000	100 927	102 566	5 046 35			200 00	3 89
Coupon Rate 4 000%, Matures 09/01/2024, CUSIP 620076BF5			100 824		5,041 19	5,128.30	87 11 ST	66 66	
Int Semi-Annually Mar/Sep 01, Yield to Maturity 3 563%, Moody BAA3 S&P BBB-, Issued 08/19/14, Asset Class FI & Pref									
ARROW ELECTRONICS INC	9/7/17	3,000 000	99 907	97 988	2 997 21				
Coupon Rate 3 250%; Matures 09/08/2024, CUSIP 042735BG4			99 907		2 997 21	2 939 64	(57 57) ST		
	11/29/17	2 000 000	98 792	97 988	1 975 84				
			98 792		1,975 84	1 959 76	(16 08) ST		
	Total	5,000 000			4,973 05			163 00	3 32
					4 973 05	4,899.40	(73 65) ST	51 00	
Int. Semi-Annually Mar/Sep 08, Callable $100.00 on 07/08/24; Yield to Maturity 3 591%, First Coupon 03/08/18, Moody BAA3 S&P BBB-, Issued 09/08/17, Asset Class FI & Pref									
STEEL DYNAMICS INC	8/1/16	7 000 000	106 000	106 250	7 420 00			385 00	5 17
Coupon Rate 5 500%, Matures 10/01/2024, CUSIP 858119BD1			105 115		7,358 07	7,437 50	79 43 LT	96 25	
Int Semi-Annually Apr/Oct 01, Callable $102 75 on 10/01/19, Yield to Call 3 330%, Moody BA1 S&P BB+, Issued 04/01/15, Asset Class FI & Pref									

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TRINITY INDUSTRIES INC	8/10/16	9,000 000	96 500	99 895	8,685 00				
Coupon Rate 4 550%, Matures 10/01/2024, CUSIP 896522AH2			96 500		8,685 00	8,990 55	305 55 LT		
	9/23/16	5,000 000	99 317	99 895	4,965 85				
			99 317		4,965 85	4,994 75	28 90 LT		
	12/21/16	2,000 000	95 161	99 895	1,903 22				
			95 161		1,903 22	1,997 90	94 68 LT		
	Total	16 000 000			15,554 07			728 00	4 55
					15 554 07	**15,983 20**	429 13 LT	182 00	
Int Semi-Annually Apr/Oct 01, Callable $100 00 on 07/01/24; Yield to Maturity 4.567%, Moody BA1 (-) S&P BBB- (-), Issued 09/25/14; Asset Class· FI & Pref									
KLA-TENCOR CORP	5/24/16	7,000 000	105 705	108 470	7,399 35				
Coupon Rate 4 650%, Matures 11/01/2024, CUSIP 482480AE0			104 761		7,333 24	7,592 90	259 66 LT		
	8/10/16	7,000 000	110 518	108 470	7,736 26				
			108 936		7,625 53	7,592 90	(32 63) LT		
	Total	14,000 000			15,135 61			651 00	4 28
					14,958 77	**15,185 80**	227 03 LT	108 50	
Int Semi-Annually May/Nov 01, Callable $100 00 on 08/01/24, Yield to Call 3.212%; Moody BAA2 S&P BBB, Issued 11/06/14, Asset Class FI & Pref									
UNITED RENTALS INC	7/22/16	7,000 000	105 250	105 250	7,367 50			403 00	5 46
Coupon Rate 5 750%, Matures 11/15/2024, CUSIP 911365BB9			104 491		7,314 36	**7,367.50**	53 14 LT	51 43	
Int Semi-Annually May/Nov 15, Callable $102 87 on 05/15/19, Yield to Call 3.839%; Moody BA3 S&P BB-, Issued 03/26/14, Asset Class FI & Pref									
CARLISLE COS INC	11/13/17	7 000 000	99 893	100 790	6,992 51			245 00	3 47
Coupon Rate 3 500%, Matures 12/01/2024; CUSIP 142339AG5			99 893		6,992 51	**7,055.30**	62 79 ST	30 62	
Int Semi-Annually Jun/Dec 12, Callable $100 00 on 10/01/24, Yield to Call 3.368%, First Coupon 06/01/18, Moody BAA2 S&P BBB, Issued 11/16/17, Asset Class. FI & Pref									
AT&T INC	12/20/17	9,000 000	101 736	102 386	9,156 24			356 00	3 86
Coupon Rate 3 950%, Matures 01/15/2025, CUSIP 00206RDD1			101 730		9,155 71	**9,214 74**	59 03 ST	163 92	
Int Semi-Annually Jan/Jul 15; Callable $100 00 on 10/15/24; Yield to Call 3.551%; Moody BAA1 (-) S&P BBB+ (-), Issued 01/15/16, Asset Class FI & Pref									
REGAL ENTERTAINMENT GRP	10/31/16	3,000 000	101 000	102 500	3,030 00				
Coupon Rate 5 750%, Matures 02/01/2025, CUSIP 758766AF6			100 989		3,029 68	3,075 00	45 32 LT		
	4/27/17	5,000 000	104 250	102 500	5,212 50				
			103 946		5,197 30	5,125 00	(72 30) ST		
	Total	8,000 000			8 242 50			460 00	5 60
					8,226 98	**8,200.00**	45 32 LT	191 66	
							(72 30) ST		
Int Semi-Annually Feb/Aug 01; Callable $102 87 on 02/01/18, Yield to Maturity 5.321%, Moody B3 S&P B+ (-), Issued 01/17/13, Asset Class: FI & Pref									
AMERICAN TOWER CORP	12/19/17	2,000 000	103 370	103.622	2,067 40			80 00	3 86
Coupon Rate 4 000%, Matures 06/01/2025, CUSIP 03027XAG5			103 359		2,067 18	**2,072 44**	5 26 ST	6 66	
Int Semi-Annually Jun/Dec 01; Callable $100.00 on 03/01/25, Yield to Call 3 425%; Moody BAA3 S&P BBB-; Issued 05/07/15, Asset Class· FI & Pref									

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Security Description	Trade Date	Face Value	Orig Unit Cost / Adj Unit Cost	Unit Price	Orig Total Cost / Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income / Accrued Interest	Current Yield %
UNITED RENTALS INC	12/8/16	5 000 000	101 750	106 000	5,087 50			275 00	5 18
Coupon Rate 5.500%, Matures 07/15/2025, CUSIP 911365BD5			101 634		5,081 69	5,300 00	218 31 LT	126 80	
Int Semi-Annually Jan/Jul 15; Callable $102 75 on 07/15/20, Yield to Call 4 029%, Moody BA3 S&P BB-, Issued 03/26/15, Asset Class FI & Pref									
CDW LLC CDW FINANCE CORP	10/20/17	7,000 000	105 375	103 500	7 376 25			350 00	4 83
Coupon Rate 5 000%, Matures 09/01/2025, CUSIP 12513GBC2			105 288		7 370 14	7,245 00	(125 14) ST	116 66	
Int Semi-Annually Mar/Sep 01, Callable $103 75 on 03/01/20, Yield to Maturity 4 455%, Moody BA3 S&P BB-, Issued 03/02/17, Asset Class FI & Pref									
SALLY HLDGS LLC / SALLY CAP INC	6/7/17	3,000 000	102 500	99 500	3 075 00				
Coupon Rate 5 625%, Matures 12/01/2025, CUSIP 79546VAL0			102 444		3 073 31	2,985 00	(88 31) ST		
	10/12/17	2,000 000	102 750	99 500	2 055 00				
			102 718		2,054 36	1,990 00	(64 36) ST		
	Total	5,000 000			5 130 00			281 00	5 64
					5.127 67	4,975 00	(152 67) ST	23 43	
Int. Semi-Annually Jun/Dec 01, Callable $102 81 on 12/01/20; Yield to Maturity 5 704%; Moody BA3 S&P BB+, Issued 12/03/15, Asset Class FI & Pref									
DISCOVERY COMMUNICATIONS	5/24/16	7,000 000	105 518	106 681	7,386 26				
Coupon Rate 4 900% Matures 03/11/2026, CUSIP 25470DAL3			104 764		7,333 49	7,467 67	134 18 LT		
	7/22/16	7,000 000	106 574	106 681	7,460 18				
			105 751		7,402 55	7,467 67	65 12 LT		
	Total	14,000 000			14 846 44			686 00	4 59
					14,736 04	14,935 34	199 30 LT	209 61	
Int Semi-Annually Mar/Sep 11; Callable $100.00 on 12/11/25, Yield to Call 3 913%, Moody BAA3 S&P BBB-, Issued 03/11/16, Asset Class FI & Pref									
PENSKE AUTOMOTIVE GROUP	5/11/17	15,000 000	99 750	101 470	14,962 50			825 00	5 42
Coupon Rate 5 500%, Matures 05/15/2026, CUSIP 70959WAG8			99 750		14,962 50	15,220 50	258 00 ST	105 41	
Int Semi-Annually May/Nov 15; Callable $102.75 on 05/15/21, Yield to Maturity 5 279%, Moody B1 S&P B+; Issued 05/25/16, Asset Class FI & Pref									
TEMPUR SEALY INTERNATIONAL INC	11/14/17	4,000 000	101 850	102 520	4,074 00				
Coupon Rate 5 500%, Matures 06/15/2026, CUSIP 88023UAG6			101 850		4,073 99	4,100 80	26 81 ST		
	11/29/17	2,000 000	102 250	102 520	2,045 00				
			102 245		2,044 89	2,050 40	5 51 ST		
	Total	6,000 000			6,119 00			330 00	5 36
					6,118 88	6,151 20	32 32 ST	14 66	
Int Semi-Annually Jun/Dec 15, Callable $102 75 on 06/15/21, Yield to Maturity 5.129%, Moody B1 S&P BB, Issued 05/24/16, Asset Class FI & Pref									

	Percentage of Holdings		Orig Total Cost / Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income / Accrued Interest	Current Yield %
CORPORATE FIXED INCOME			$510,307.13			$25,483 00	5 00%
		Total Corporate Bonds per Attachment B-2 =	$506,672.58	$509,357.53	$1,844.87 LT	$5,876 54	
					$840.08 ST		

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MUTUAL FUNDS

"Total Purchases vs Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account.

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account. It may not reflect all distributions received in cash; due to but not limited to investments made prior to addition of this information on statements, securities transfers; timing of recent distributions, and certain adjustments made in your account

"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown. This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes Global Investment Manager Analysis (GIMA) status codes (FL, AL or NL), may be shown for certain mutual funds and are not guarantees of performance Refer to "GIMA Status in Investment Advisory Programs" in the June or December statement for a description of these codes

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
BLACKROCK TOTAL RET I (MAHQX)	5/2/16	284 323	$11 750	$11 700	$3,340 80	$3,326 58	$(14 22) LT		
	5/5/16	844 305	11 800	11 700	9,962 80	9,878 37	(84 43) LT		
	11/9/16	536 413	11 740	11 700	6,297 49	6,276 03	(21 46) LT		
	1/10/17	756 672	11 620	11 700	8,792 53	8,853 06	60 53 ST		
	Purchases	2,421 713			28,393 62	28,334.04	(120 11) LT 60 53 ST		
Long Term Reinvestments		49 215			581 33	575 82	(5 51) LT		
Short Term Reinvestments		81 770			957 22	956 71	(0 51) ST		
	Total	2,552 698			29,932 17	29,866 57	(125 62) LT 60 02 ST	929 00	3 11
Total Purchases vs Market Value					28,393 62	29,866 57			
Net Value Increase/(Decrease)						1,472 95			
GIMA Status FL, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest, Asset Class. FI & Pref									
DOUBLELINE TOTAL RETURN I (DBLTX)	5/2/16	1,072 597	10 850	10 630	11,637 68	11,401 71	(235 97) LT		
	11/9/16	393 592	10 780	10 630	4,242 92	4,183 88	(59 04) LT		
	Purchases	1,466 189			15,880 60	15,585 59	(295 01) LT		
Long Term Reinvestments		75 416			816 29	801 67	(14 62) LT		
Short Term Reinvestments		52 434			559 83	557 37	(2 46) ST		
	Total	1,594 039			17,256 72	16,944 63	(309 63) LT (2 46) ST	625 00	3 68
Total Purchases vs Market Value					15,880 60	16,944 63			
Net Value Increase/(Decrease)						1,064 03			

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
GIMA Status: AL, Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest, Asset Class. FI & Pref									
LORD ABBETT FLT RT F (LFRFX)	1/10/17	547 525	9 250	9 170	5,064 61	5,020 80	(43 81) ST		
	2/23/17	2,225 257	9 250	9 170	20,583 63	20,405.61	(178 02) ST		
	10/23/17	893 615	9 180	9 170	8,203 39	8,194 45	(8 94) ST		
	Purchases	3 666 397			33,851 63	33,620.86	(230 77) ST		
Short Term Reinvestments		278 303			2,559 52	2,552 04	(7 48) ST		
	Total	3,944 700			36,411 15	36,172.90	(238 25) ST	1,649 00	4 55
Total Purchases vs Market Value					33,851 63	36,172 90			
Net Value Increase/(Decrease)						2,321 27			
GIMA Status AL Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest; Asset Class FI & Pref									
LORD ABBETT SHT DURATION INC F (LDLFX)	11/9/16	3,133 591	4 330	4 250	13,568 46	13,317 76	(250 70) LT		
	2/23/17	4,826 777	4 310	4 250	20 803 41	20 513 80	(289 61) ST		
	6/20/17	2,165 193	4 290	4 250	9,288 68	9 202 07	(86 61) ST		
	Purchases	10,125 561			43 660 55	43,033 63	(250 70) LT (376 22) ST		
Long Term Reinvestments		118 016			508 03	501 57	(6 46) LT		
Short Term Reinvestments		743 202			3,190 44	3 158 61	(31 83) ST		
	Total	10,986 779			47,359 02	46,693.81	(257 16) LT (408 05) ST	1,791 00	3 83
Total Purchases vs Market Value					43,660 55	46,693 81			
Net Value Increase/(Decrease)						3,033 26			
GIMA Status- FL; Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest; Asset Class FI & Pref									
LORD ABBETT ULTRA SHORT BD F (LUBFX)	6/20/17	1,255 536	10 010	10 010	12,567 92	12 567 91	(0 01) ST		
	6/27/17	419 532	10 010	10 010	4 199 52	4 199 51	(0 01) ST		
	8/24/17	1,691 589	10 010	10 010	16,932 81	16 932 80	(0 01) ST		
	9/5/17	2 124 644	10 010	10 010	21,267 69	21,267 68	(0 01) ST		
	10/23/17	1,261 892	10 010	10 010	12,631 54	12,631 53	(0 01) ST		
	Purchases	6,753 193			67,599 48	67,599 43	(0 05) ST		
Short Term Reinvestments		25 007			250 32	250 32	0 00 ST		
	Total	6,778 200			67,849 80	67,849.78	(0 05) ST	834 00	1 22
Total Purchases vs Market Value					67,599 48	67,849 78			
Net Value Increase/(Decrease)						250 30			
Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest; Asset Class· FI & Pref									
PIMCO INCOME INST (PIMIX)	8/31/15	4,036 238	12 220	12 410	49 322 83	50,089 71	766 88 LT A		
	2/12/16	837 546	11 540	12 410	9 665 28	10 393 95	728 67 LT		
	Purchases	4,873 784			58,988 11	60,483.66	1,495 55 LT		

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Long Term Reinvestments		467 448			5,565 80	5,801 03	235 23 LT		
Short Term Reinvestments		280 146			3,453 61	3,476 61	23 00 ST		
	Total	5,621 378			68,007 52	69,761 30	1,730 78 LT 23 00 ST	3,744 00	5 36
Total Purchases vs Market Value					58,988 11	69,761 30			
Net Value Increase/(Decrease)						10,773 19			
GIMA Status FL, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest, Asset Class FI & Pref									
PIMCO INCOME P (PONPX)	5/2/16	2,913 740	11 850	12 410	34,527 82	36,159 51	1,631 69 LT		
	11/9/16	1,551 866	12 050	12 410	18,699 99	19,258 66	558 67 LT		
	Purchases	4,465 606			53,227 81	55,418 17	2,190 36 LT		
Long Term Reinvestments		117 060			1,404 36	1,452 71	48 35 LT		
Short Term Reinvestments		227 812			2,809 03	2,827 15	18 12 ST		
	Total	4,810 478			57,441 20	59,698.03	2,238 71 LT 18 12 ST	3,146 00	5 26
Total Purchases vs Market Value					53,227 81	59,698 03			
Net Value Increase/(Decrease)						6,470 22			
GIMA Status· FL, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest; Asset Class· FI & Pref									
PIMCO LOW DURATION INC P (PFTPX)	9/11/17	1,234 225	8 580	8 570	10,589 65	10,577 31	(12 34) ST		
	Purchases	1,234 225			10,589 65	10,577 31	(12 34) ST		
Short Term Reinvestments		8 431			72 34	72 25	(0 09) ST		
	Total	1,242 656			10,661 99	10,649.56	(12 43) ST	329 00	3 08
Total Purchases vs Market Value					10,589 65	10,649 56			
Net Value Increase/(Decrease)						59 91			
Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest; Asset Class FI & Pref									
PIMCO SHORT ASSET INVEST P (PAIPX)	11/9/16	1,634 276	10 040	10 040	16,408 13	16,408 13	0 00 LT		
	8/24/17	1,699 599	10 060	10 040	17,097 97	17,063 97	(34 00) ST		
	10/23/17	1,678 561	10 080	10 040	16,919 89	16,852 75	(67 14) ST		
	Purchases	5 012 436			50,425 99	50,324 85	(101 14) ST		
Long Term Reinvestments		3 978			39 94	39 94	0 00 LT		
Short Term Reinvestments		49 690			499 68	498.89	(0 79) ST		
	Total	5,066 104			50,965 61	50,863.68	(101 93) ST	679 00	1 33
Total Purchases vs Market Value					50,425 99	50,863 68			
Net Value Increase/(Decrease)						437 69			
Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest, Asset Class· FI & Pref									
PRU SH DUR MULTI SEC BOND Z (SDMZX)	9/13/17	434 163	9 750	9.730	4 233 09	4,224 41	(8 68) ST		
	Purchases	434 163			4,233 09	4,224 41	(8 68) ST		

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Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
Short Term Reinvestments		2 366			23 02	23 02	0 00 ST		
	Total	436 529			4 256 11	4,247 43	(8 68) ST	110 00	2 58
Total Purchases vs Market Value					4,233 09	4 247 43			
Net Value Increase/(Decrease)						14 34			

Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest, Asset Class FI & Pref

	Percentage of Holdings		Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
MUTUAL FUNDS	92 45%	**Total Mutual Funds per Attachment C-1 =**	$390,141 29	$392,747 69	$3,277 08 LT $(670 71) ST	$13,836 00	3 52%

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EXCHANGE-TRADED & CLOSED-END FUNDS

Global Investment Manager Analysis (GIMA) status codes (FL, AL or NL), may be shown for certain exchange-traded funds and are not guarantees of performance. Refer to "GIMA Status in Investment Advisory Programs" in the June or December statement for a description of these status codes

Security Description	Trade Date	Quantity	Unit Cost	Share Price	Total Cost	Market Value	Unrealized Gain/(Loss)	Est Ann Income	Current Yield %
ISHARES CORE U.S. AGGREGATE (AGG)	3/30/17	152 000	$108 399	$109 330	$16,476 69	$16,618 16	$141 47 ST		
	6/20/17	38 000	109 986	109 330	4,179 47	4,154 54	(24 93) ST		
	Total	190 000			20,656 16	20,772.70	116 54 ST	482 00	2 32

GIMA Status: AL; Next Dividend Payable 01/2018; Asset Class: FI & Pref