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EXTENDED TO NOVEMBER 15, 2018

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

Form 990-PF

Department of the Treasury
Internal Revenue Service

For calendar year 2017 or tax year beginning

, and ending

Name of foundation

A Employer identification number

WEST FOUNDATION

23-7332105

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

Room/suite

15950 N. DALLAS PARKWAY, SUITE 600

B Telephone number

972-661-1843

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

DALLAS, TX 75248

C If exemption application is pending, check here ☐

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeD 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundationE If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

I Fair market value of all assets at end of year (from Part II, col. (c), line 16)

J Accounting method:

☒ Cash☐ Accrual☐ Other (specify)

\$ 17,463,982. (Part I, column (d) must be on cash basis.)

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

1 Contributions, gifts, grants, etc., received

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

3 Interest on savings and temporary cash investments

4 Dividends and interest from securities

5a Gross rents

b Net rental income or (loss)

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

b Gross sales price for all assets on line 6a 19,058,465.

7 Capital gain net income (from Part IV, line 2)

8 Net short-term capital gain

9 Income modifications

10a Gross sales less returns and allowances

b Less Cost of goods sold

c Gross profit or (loss)

11 Other income

12 Total. Add lines 1 through 11

13 Compensation of officers, directors, trustees, etc

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees STMT 3

b Accounting fees STMT 4

c Other professional fees STMT 5

17 Interest

18 Taxes STMT 6

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses STMT 7

24 Total operating and administrative expenses. Add lines 13 through 23

25 Contributions, gifts, grants paid

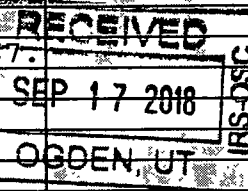
26 Total expenses and disbursements. Add lines 24 and 25

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

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

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



5108

2

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			1,305,096.	307,916.	307,916.
	2 Savings and temporary cash investments					
	3 Accounts receivable ▶ 88,443.					
	Less: allowance for doubtful accounts ▶				88,443.	88,443.
	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			13,652,148.	9,202,451.	10,119,770.
	c Investments - corporate bonds STMT 10			6,760,763.	5,959,012.	5,985,668.
	11 Investments - land, buildings, and equipment basis ▶					
	Less accumulated depreciation ▶					
	12 Investments - mortgage loans					
	13 Investments - other STMT 11			1,972,152.	511,938.	549,246.
	14 Land, buildings, and equipment basis ▶ 198,138.					
	Less accumulated depreciation STMT 12 ▶ 60,680.			167,137.	137,458.	395,909.
	15 Other assets (describe ▶)			2,500.	2,500.	17,030.
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)			23,859,796.	16,209,718.	17,463,982.
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 ▶ ☐					
	and complete lines 24 through 26, and lines 30 and 31.					
	24 Unrestricted					
	25 Temporarily restricted					
	26 Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ ☒					
	and complete lines 27 through 31.					
	27 Capital stock, trust principal, or current funds			5,349,080.	5,349,080.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds			18,510,716.	10,860,638.	
	30 Total net assets or fund balances			23,859,796.	16,209,718.	
	31 Total liabilities and net assets/fund balances			23,859,796.	16,209,718.	

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	23,859,796.
2 Enter amount from Part I, line 27a	2	-8,024,120.
3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 8	3	374,042.
4 Add lines 1, 2, and 3	4	16,209,718.
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	16,209,718.

Part IV Capital Gains and Losses for Tax on Investment Income

(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 UBS DALLAS (SEE ATTACHMENT A-1)	P	VARIOUS	12/31/17
b UBS FORT WORTH (SEE ATTACHMENT A-2)	P	VARIOUS	12/31/17
c 53.350 ACRES LOOP 11 AND FM 367, WICHITA FALLS, TX	P	VARIOUS	08/23/17
e CAPITAL GAINS DIVIDENDS			

(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 16,691,527.		15,604,542.	1,086,985.
b 2,243,940.		2,277,873.	-33,933.
c			
d 96,030.		34,783.	61,247.
e 26,968.			26,968.

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			1,086,985.
b			-33,933.
c			
d			61,247.
e			26,968.

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	1,141,267.
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	3,132,551.	24,836,776.	.126126
2015	2,355,908.	26,807,479.	.087882
2014	770,861.	22,010,215.	.035023
2013	880,936.	17,372,633.	.050708
2012	830,169.	17,531,759.	.047352

2 Total of line 1, column (d)	2	.347091
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	.069418
4 Enter the net value of noncharitable-use assets for 2017 from Part X, line 5	4	21,273,065.
5 Multiply line 4 by line 3	5	1,476,734.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	14,935.
7 Add lines 5 and 6	7	1,491,669.
8 Enter qualifying distributions from Part XII, line 4	8	9,417,889.

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

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-)

3 Add lines 1 and 2

4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only; others, enter -0-)

5 **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-

6 Credits/Payments:

a 2017 estimated tax payments and 2016 overpayment credited to 2017

b Exempt foreign organizations - tax withheld at source

c Tax paid with application for extension of time to file (Form 8868)

d Backup withholding erroneously withheld

7 Total credits and payments. Add lines 6a through 6d

8 Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached

9 **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed**

10 **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid**

11 Enter the amount of line 10 to be: **Credited to 2018 estimated tax** ☒

6a	10,000.
6b	0.
6c	24,000.
6d	0.

1	14,935.
2	0.
3	14,935.
4	0.
5	14,935.
7	34,000.
8	99.
9	
10	18,966.
11	0.

18,966. | Refunded ☒

Part VII-A Statements Regarding Activities

1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?

b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.

c Did the foundation file Form 1120-POL for this year?

d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:

(1) On the foundation. ☒ \$ 0. (2) On foundation managers. ☒ \$ 0.

e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☒ \$ 0.

2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.

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

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?

b If "Yes," has it filed a tax return on Form 990-T for this year?

5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?

If "Yes," attach the statement required by General Instruction T

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?

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

8a Enter the states to which the foundation reports or with which it is registered. See instructions. ☒ TX

b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation

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

10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses

	Yes	No
1a		X
1b		X
1c		X
2		X
3		X
4a		X
4b		
5		X
6	X	
7	X	
8a	X	
9		X
10		X

N/A

Part VII-A Statements Regarding Activities (continued)

- 11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions
- 12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions **SEE STATEMENT 14**
- 13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application?

	Yes	No
11		X
12	X	
13	X	

Website address **N/A**

- 14 The books are in care of **ARMANINO, LLP** Telephone no. **972-661-1843**
 Located at **15950 N. DALLAS PARKWAY, SUITE 600, DALLAS, TX** ZIP+4 **75248**

- 15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - check here and enter the amount of tax-exempt interest received or accrued during the year

15 **N/A**

- 16 At any time during calendar year 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?

	Yes	No
16		X

See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country **N/A****Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required****File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.**

- 1a During the year, did the foundation (either directly or indirectly):

- (1) Engage in the sale or exchange, or leasing of property with a disqualified person?
- (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?
- (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?
- (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?
- (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?

☐ Yes ☒ No

☐ Yes ☒ No

☐ Yes ☒ No

☒ Yes ☐ No

☐ Yes ☒ No

- (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)

☐ Yes ☒ No

- b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions. Organizations relying on a current notice regarding disaster assistance, check here

1b **X**

- 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 ☒ NoIf "Yes," list the years **N/A**

- b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)

N/A

- c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.

- 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?

☐ 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

- 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)

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

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

N/A

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

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

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
KIM W. DINSDALE 15950 N. DALLAS PARKWAY, SUITE 600 DALLAS, TX 75248	TRUSTEE/PRESIDENT 1.15	18,959.	0.	0.
STUART B. WEST 15950 N. DALLAS PARKWAY, SUITE 600 DALLAS, TX 75248	TRUSTEE/VP 1.15	40,000.	0.	0.
ANDREW L. WEST 15950 N. DALLAS PARKWAY, SUITE 600 DALLAS, TX 75248	TRUSTEE/VP 1.15	40,000.	0.	0.
AMY W. WALLS 15950 N. DALLAS PARKWAY, SUITE 600 DALLAS, TX 75248	TRUSTEE/PRESIDENT 1.15	21,041.	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	20,043,854.
b	Average of monthly cash balances	1b	1,239,011.
c	Fair market value of all other assets	1c	314,155.
d	Total (add lines 1a, b, and c)	1d	21,597,020.
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	21,597,020.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	323,955.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	21,273,065.
6	Minimum investment return. Enter 5% of line 5	6	1,063,653.

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	1,063,653.
2a	Tax on investment income for 2017 from Part VI, line 5	2a	14,935.
b	Income tax for 2017. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	14,935.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,048,718.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	1,048,718.
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	1,048,718.

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	9,417,889.
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	9,417,889.
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	14,935.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	9,402,954.

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				1,048,718.
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				
b From 2013				
c From 2014				
d From 2015	654,124.			
e From 2016	2,026,499.			
f Total of lines 3a through e	2,680,623.			
4 Qualifying distributions for 2017 from Part XII, line 4: ► \$ 9,417,889.				
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				1,048,718.
e Remaining amount distributed out of corpus	8,369,171.			
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:	11,049,794.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
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	0.			
9 Excess distributions carryover to 2018. Subtract lines 7 and 8 from line 6a	11,049,794.			
10 Analysis of line 9:				
a Excess from 2013				
b Excess from 2014				
c Excess from 2015	654,124.			
d Excess from 2016	2,026,499.			
e Excess from 2017	8,369,171.			

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

N/A

1 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)

2 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).)

NONE

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

NONE

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

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc., 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				
INSTITUTIONS (SEE ATTACHMENT C)	NONE	SEE ATTACHED	ENDOWMENTS/SCHOLARSHIPS	9,327,368.
Total			3a	9,327,368.
b Approved for future payment				
NONE				
Total			3b	0.

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES			STATEMENT 1	
SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
ROYALTY INTEREST	5.	0.	5.	5.	
UBS DIVIDEND	466,882.	26,968.	439,914.	439,914.	
UBS INTEREST	141,237.	0.	141,237.	141,237.	
TO PART I, LINE 4	608,124.	26,968.	581,156.	581,156.	

FORM 990-PF	OTHER INCOME		STATEMENT 2	
DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	
ROYALTY INCOME FROM OIL & GAS	12,232.	12,232.		
OTHER INCOME	6,646.	6,646.		
TOTAL TO FORM 990-PF, PART I, LINE 11	18,878.	18,878.		

FORM 990-PF	LEGAL FEES		STATEMENT 3	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	4,058.	2,029.		2,029.
TO FM 990-PF, PG 1, LN 16A	4,058.	2,029.		2,029.

FORM 990-PF	ACCOUNTING FEES		STATEMENT 4	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	31,725.	12,690.		15,863.
TO FORM 990-PF, PG 1, LN 16B	31,725.	12,690.		15,863.

FORM 990-PF	OTHER PROFESSIONAL FEES		STATEMENT 5	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
UBS INVESTMENT MANAGEMENT FEES	174,097.	174,097.		0.
UBS MISC. INVESTMENT FEES	326.	326.		0.
TO FORM 990-PF, PG 1, LN 16C	174,423.	174,423.		0.

FORM 990-PF	TAXES		STATEMENT 6	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
UBS INVESTMENT FOREIGN TAXES	7,761.	7,761.		0.
PAYROLL TAX EXPENSE	152.	76.		76.
EXCISE TAX	12,000.	0.		0.
UBTI INCOME TAX	56,552.	0.		0.
AD VALOREM TAXES	2,412.	0.		0.
OIL & GAS SEVERANCE TAXES	364.	364.		0.
OKLAHOMA INCOME TAX	216.	0.		0.
TO FORM 990-PF, PG 1, LN 18	79,457.	8,201.		76.

FORM 990-PF	OTHER EXPENSES		STATEMENT 7	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MISCELLANEOUS FEES	1,733.	867.		867.
DUES & SUBSCRIPTIONS	750.	375.		375.
INSURANCE	2,826.	1,413.		1,413.
MEALS	364.	182.		182.
OTHER DEDUCTIONS - OIL & GAS	58.	58.		0.
REPAIRS & MAINTENANCE	8,100.	4,050.		4,050.
POSTAGE	93.	46.		47.
TO FORM 990-PF, PG 1, LN 23	13,924.	6,991.		6,934.

FORM 990-PF	OTHER INCREASES IN NET ASSETS OR FUND BALANCES	STATEMENT 8
DESCRIPTION		AMOUNT
BOOK/TAX DIFFERENCE- FAIR MARKET VALUE ADJUSTMENT TO CONTRIBUTED SECURITIES		374,042.
TOTAL TO FORM 990-PF, PART III, LINE 3		374,042.

FORM 990-PF	CORPORATE STOCK	STATEMENT 9
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
UBS INVESTMENT - CORPORATE STOCKS (SEE ATTACHMENT B)	9,202,451.	10,119,770.
TOTAL TO FORM 990-PF, PART II, LINE 10B	9,202,451.	10,119,770.

FORM 990-PF	CORPORATE BONDS	STATEMENT 10
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
UBS INVESTMENT - CORPORATE BONDS (SEE ATTACHMENT B)	5,959,012.	5,985,668.
TOTAL TO FORM 990-PF, PART II, LINE 10C	5,959,012.	5,985,668.

FORM 990-PF		OTHER INVESTMENTS		STATEMENT 11
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE	
UBS INVESTMENT - BROAD COMMODITIES (SEE ATTACHMENT B)	COST	511,938.	549,246.	
TOTAL TO FORM 990-PF, PART II, LINE 13		511,938.	549,246.	

FORM 990-PF DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT STATEMENT 12

DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
LAND	129,840.	0.	129,840.
OTHER	68,298.	60,680.	7,618.
TOTAL TO FM 990-PF, PART II, LN 14	198,138.	60,680.	137,458.

FORM 990-PF OTHER ASSETS STATEMENT 13

DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
ACCUMULATED DEPLETION	-58,320.	-58,320.	0.
OKLAHOMA ROYALTY INTERESTS	58,320.	58,320.	14,530.
QUITCLAIM DEED	2,500.	2,500.	2,500.
TO FORM 990-PF, PART II, LINE 15	2,500.	2,500.	17,030.

FORM 990-PF EXPLANATION CONCERNING PART VII-A, LINE 12 STATEMENT 14
 QUALIFYING DISTRIBUTION STATEMENT

EXPLANATION

THE WEST FOUNDATION MADE CHARITABLE DISTRIBUTIONS OF \$75,000 TO THE ANDREW LANE WEST FAMILY DONOR ADVISED FUND. THIS DONOR ADVISED FUND IS HELD BY THE WICHITA FALLS AREA COMMUNITY FOUNDATION (EIN: 75-2817894).

ANDREW L. WEST, TRUSTEE OF THE FOUNDATION, HAD ADVISORY PRIVILEGES OVER THIS DONOR ADVISED FUND.

THIS GRANT HAS BEEN TREATED AS QUALIFYING DISTRIBUTIONS FOR THE WEST FOUNDATION UNDER SECTION 4942 OF THE CODE.

THIS DISTRIBUTION IS BEING USED TO FURTHER THE FOUNDATION'S EXEMPT PURPOSES DESCRIBED IN SECTION 170(C) (2)(B).



Consolidated report prepared for Checking

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
00434NAA3		3,000.00	11/01/2013	2,992.50	03/07/2017	3,097.50	105.00	3.50%	L
00434NAA3		2,000.00	11/15/2013	1,957.50	03/07/2017	2,065.00	107.50	5.49%	L
00434NAA3		3,000.00	01/03/2014	2,910.00	03/07/2017	3,097.50	187.50	6.44%	L
00434NAA3		6,000.00	06/24/2016	5,760.00	03/07/2017	6,195.00	435.00	7.55%	S
00089H106	ACSAY	0.81	12/09/2016	4.85	02/23/2017	5.01	0.16	3.29%	S
00089H106	ACSAY	449.00	12/09/2016	2,693.06	05/30/2017	3,555.19	862.13	32.01%	S
00089H106	ACSAY	0.42	12/09/2016	2.44	08/03/2017	3.22	0.78	31.96%	S
005098108	GOLF	94.00	08/09/2017	1,597.70	10/02/2017	1,688.20	90.50	5.66%	S
005098108	GOLF	57.00	08/09/2017	968.82	10/18/2017	1,039.66	70.84	7.31%	S
005098108	GOLF	29.00	08/09/2017	492.90	11/30/2017	575.09	82.19	16.67%	S
006754204	AHEXY	235.00	07/08/2016	5,822.38	11/15/2017	8,697.34	2,874.96	49.37%	L
006754204	AHEXY	265.00	07/13/2016	7,122.01	11/15/2017	9,807.63	2,685.62	37.70%	L
006754204	AHEXY	10.00	08/07/2017	382.85	11/15/2017	370.10	-12.75	-3.33%	S
006754204	AHEXY	39.00	08/07/2017	1,493.12	11/16/2017	1,452.42	-40.70	-2.72%	S
006754204	AHEXY	100.00	10/05/2017	3,869.50	11/16/2017	3,724.16	-145.34	-3.75%	S
006754204	AHEXY	85.00	10/25/2017	3,274.63	11/16/2017	3,165.53	-109.10	-3.33%	S
G0084W101	ADNT	23.00	08/09/2017	1,495.28	10/02/2017	1,943.69	448.41	29.98%	S
G0084W101	ADNT	20.00	08/09/2017	1,300.24	10/18/2017	1,711.36	411.12	31.61%	S
G0084W101	ADNT	11.00	08/09/2017	715.13	11/30/2017	856.45	141.32	19.76%	S
00724F101	ADBE	15.00	02/17/2016	1,215.00	08/07/2017	2,221.32	1,006.32	82.82%	L
00101JAK2		2,000.00	12/14/2016	2,146.71	10/20/2017	2,229.40	82.69	3.85%	S
00751Y106	AAP	363.00	05/25/2017	47,588.75	11/10/2017	29,459.25	-18,129.50	-38.09%	S
00751Y106	AAP	308.00	08/07/2017	33,742.48	11/10/2017	24,995.74	-8,746.74	-25.92%	S
00751Y106	AAP	41.00	10/19/2017	3,550.60	11/10/2017	3,327.35	-223.25	-6.28%	S
007924103	AEG	494.00	10/09/2014	3,936.98	09/29/2017	2,855.25	-1,081.73	-27.47%	L

Realized gain/loss

Year 2017

ACCESS MIDSTREAM 04 875% 051523 DTD121912
FC051513 CALL@MW+50BPACCESS MIDSTREAM 04 875% 051523 DTD121912
FC051513 CALL@MW+50BPACCESS MIDSTREAM 04 875% 051523 DTD121912
FC051513 CALL@MW+50BPACCESS MIDSTREAM 04 875% 051523 DTD121912
FC051513 CALL@MW+50BP

ACS ACTIV DE CONSTRU Y SERV ADR

ACS ACTIV DE CONSTRU Y SERV ADR

ACS ACTIV DE CONSTRU Y SERV ADR

ACUSHNET HLDGS CORP

ACUSHNET HLDGS CORP

ACUSHNET HLDGS CORP

ADECCO GROUP AG UNSPONSORED ADR

ADECCO GROUP AG UNSPONSORED ADR

ADECCO GROUP AG UNSPONSORED ADR

ADECCO GROUP AG UNSPONSORED ADR

ADECCO GROUP AG UNSPONSORED ADR

ADECCO GROUP AG UNSPONSORED ADR

ADIENT PLC

ADIENT PLC

ADIENT PLC

ADOBE SYSTEMS INC (DELAWARE)

ADT CORP NTS B/E 06 250% 101521 DTD041514
FC101514 CALL@MW+50BP

ADVANCE AUTO PARTS INC

ADVANCE AUTO PARTS INC

ADVANCE AUTO PARTS INC

AEGION NV ADR N Y SHS NETHERLANDS ADR



2017 FORM 990-PF

PART IV ATTACHMENT A-1

Consolidated report prepared for Checking
 3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL H
 3A 04730 West Fdn MMB 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REIN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFI
 3A 07806 West Fdn OGARP 3A 09715 West Fdn RACHIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
AEGON NV ADR N Y SHS NETHERLANDS ADR	007924103	AEG	1,285.00	10/09/2014	10,240.94	10/02/2017	7,333.20	-2,907.74	-28.39%	L
AEGON NV ADR N Y SHS NETHERLANDS ADR	007924103	AEG	202.00	02/04/2015	1,502.64	10/02/2017	1,152.76	-349.88	-23.28%	L
AEGON NV ADR N Y SHS NETHERLANDS ADR	007924103	AEG	466.00	08/25/2015	2,873.87	10/02/2017	2,659.36	-214.51	-7.46%	L
AEGON NV ADR N Y SHS NETHERLANDS ADR	007924103	AEG	523.00	01/04/2016	2,875.14	10/02/2017	2,984.64	109.50	3.80%	L
AEGON NV ADR N Y SHS NETHERLANDS ADR	007924103	AEG	559.00	05/25/2016	2,843.35	10/02/2017	3,190.08	346.73	12.19%	L
AEGON NV ADR N Y SHS NETHERLANDS ADR	007924103	AEG	430.00	05/25/2016	2,187.20	10/03/2017	2,430.52	243.32	11.12%	L
AES CORP NTS B/E 08 000% 060120 DTD120108 FC060109 M&W T +50BP	00130HBN4		2,000.00	11/07/2014	2,201.20	03/28/2017	2,315.00	113.80	5.16%	L
AES CORP NTS B/E 08 000% 060120 DTD120108 FC060109 M&W T +50BP	00130HBN4		1,000.00	11/13/2014	1,088.42	08/28/2017	1,162.60	74.18	6.81%	L
AES CORP NTS B/E 08 000% 060120 DTD120108 FC060109 M&W T +50BP	00130HBN4		2,000.00	11/14/2014	2,175.65	08/28/2017	2,325.20	149.55	6.87%	L
AES CORP NTS B/E 08 000% 060120 DTD120108 FC060109 M&W T +50BP	00130HBN4		2,000.00	11/17/2014	2,174.60	08/28/2017	2,325.20	150.60	6.92%	L
AES CORP NTS B/E 08 000% 060120 DTD120108 FC060109 M&W T +50BP	00130HBN4		2,000.00	03/07/2017	2,266.12	08/28/2017	2,325.20	59.08	2.60%	S
AGREE REALTY CORP	008492100	ADC	9.00	08/09/2017	443.55	10/02/2017	445.32	1.77	0.39%	S
AGREE REALTY CORP	008492100	ADC	11.00	08/09/2017	542.11	10/18/2017	554.84	12.73	2.34%	S
AGREE REALTY CORP	008492100	ADC	2.00	08/09/2017	98.56	11/30/2017	98.21	-0.35	-0.35%	S
AIRBUS SE UNSPONSORED ADR	009279100	EADSY	383.00	10/18/2016	5,635.16	05/05/2017	7,857.99	2,222.83	39.44%	S
AIRBUS SE UNSPONSORED ADR	009279100	EADSY	438.00	10/18/2016	6,444.38	06/20/2017	9,311.37	2,866.99	44.48%	S
ALASKA AIR GROUP INC	011659109	ALK	17.00	08/09/2017	1,300.47	10/02/2017	1,300.47	0.00	0.00%	S
ALASKA AIR GROUP INC	011659109	ALK	14.00	08/09/2017	1,127.95	10/18/2017	1,127.95	0.00	0.00%	S
ALASKA AIR GROUP INC	011659109	ALK	10.00	08/09/2017	692.98	11/30/2017	692.98	0.00	0.00%	S
ALBANY INTL CORP NEW CL A	012348108	AIN	4.00	08/16/2017	205.91	10/02/2017	231.59	25.68	12.47%	S
ALBANY INTL CORP NEW CL A	012348108	AIN	11.00	08/16/2017	566.25	10/18/2017	634.69	68.44	12.08%	S
ALBANY INTL CORP NEW CL A	012348108	AIN	1.00	08/16/2017	51.48	11/30/2017	64.59	13.11	25.46%	S
ALBEMARLE CORP	012653101	ALB	84.00	08/09/2017	9,404.25	09/13/2017	10,546.98	1,142.73	12.15%	S
ALBEMARLE CORP	012653101	ALB	2.00	08/09/2017	223.91	10/02/2017	270.93	47.02	20.99%	S
ALBEMARLE CORP	012653101	ALB	2.00	08/09/2017	223.91	10/18/2017	279.75	55.84	24.93%	S



Consolidated report prepared for Checking

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
012653101	ALB	45.00	08/09/2017	5,149.95	11/07/2017	6,561.42	1,411.47	27.40%	S
0131044F1		1,000.00	02/01/2017	980.00	06/06/2017	995.00	15.00	1.53%	S
013104AL8		7,000.00	02/13/2017	6,930.00	07/13/2017	6,650.00	-280.00	-4.04%	S
013104AL8		7,000.00	02/13/2017	6,930.00	07/18/2017	6,658.75	-271.25	-3.91%	S
00162Q866	AMLP	30,251.00	10/04/2017	341,631.64	10/26/2017	317,265.16	-24,366.48	-7.13%	S
00162Q866	AMLP	100,000.00	10/05/2017	1,139,916.10	10/26/2017	1,048,775.77	-91,140.33	-7.99%	S
015271109	ARE	40.00	08/09/2017	4,838.76	09/06/2017	4,810.40	-28.36	-0.58%	S
015271109	ARE	2.00	08/09/2017	241.47	10/02/2017	237.93	-3.54	-1.46%	S
015271109	ARE	1.00	08/09/2017	120.74	10/18/2017	123.37	2.63	2.17%	S
015271109	ARE	35.00	08/09/2017	4,708.67	11/07/2017	4,894.02	185.35	3.93%	S
01609W102	BABA	35.00	08/29/2017	5,892.50	10/16/2017	6,295.48	402.98	6.83%	S
01609W102	BABA	36.00	08/29/2017	6,060.85	10/17/2017	6,372.93	312.08	5.14%	S
01609W102	BABA	57.00	08/29/2017	9,596.35	12/04/2017	9,772.42	176.07	1.83%	S
01609W102	BABA	19.00	10/25/2017	3,234.70	12/04/2017	3,257.48	22.78	0.70%	S
01609W102	BABA	20.00	11/02/2017	3,723.60	12/04/2017	3,428.92	-294.68	-7.91%	S
01609W102	BABA	24.00	11/02/2017	4,468.33	12/18/2017	4,165.12	-303.21	-6.78%	S
017175100	Y	7.00	10/17/2017	3,863.60	10/24/2017	3,908.71	45.11	1.16%	S
017175100	Y	45.00	10/18/2017	25,210.36	10/24/2017	25,127.43	-82.93	-0.32%	S
018522300	ALE	14.00	08/09/2017	1,046.28	10/02/2017	1,089.17	42.89	4.09%	S
018522300	ALE	18.00	08/09/2017	1,345.22	10/18/2017	1,422.51	77.29	5.74%	S
018522300	ALE	45.00	08/09/2017	3,363.05	11/07/2017	3,475.96	112.91	3.35%	S
018522300	ALE	7.00	08/09/2017	523.14	11/30/2017	560.69	37.55	7.17%	S
018802108	LNT	29.00	08/09/2017	1,205.71	10/02/2017	1,208.40	2.69	0.22%	S
018802108	LNT	29.00	08/09/2017	1,205.71	10/18/2017	1,255.67	49.96	4.14%	S
018802108	LNT	19.00	08/09/2017	789.95	11/30/2017	857.07	67.12	8.49%	S
020002AX9		26,000.00	01/26/2010	26,942.83	10/02/2017	28,152.54	1,209.71	4.48%	L

Realized gain/loss - Year 2017 (continued)

 ALBEMARLE CORP
 ALBERTSONS INC 07.450% 08/01/29 DTD072799
 FC020100 MW +208P
 ALBERTSONS INC MW+308P 08.000% 050131
 DTD050101 FC110101
 ALBERTSONS INC MW+308P 08.000% 050131
 DTD050101 FC110101
 ALERIAN MLP ETF
 ALEXANDRIA REAL ESTATE EQUITIES
 ALEXANDRIA REAL ESTATE EQUITIES
 ALEXANDRIA REAL ESTATE EQUITIES
 ALEXANDRIA REAL ESTATE EQUITIES
 ALIBABA GROUP HLDG LTD SPON ADR
 ALIBABA GROUP HLDG LTD SPON ADR
 ALIBABA GROUP HLDG LTD SPON ADR
 ALIBABA GROUP HLDG LTD SPON ADR
 ALIBABA GROUP HLDG LTD SPON ADR
 ALLEGHANY CORP DEL NEW
 ALLEGHANY CORP DEL NEW
 ALLETE INC NEW
 ALLETE INC NEW
 ALLETE INC NEW
 ALLETE INC NEW
 ALLIANT ENERGY CORP
 ALLIANT ENERGY CORP
 ALLIANT ENERGY CORP
 ALLSTATE CORP NTS B/E 07.450% 05/16/19 DTD051309
 FC111609 CALL@MW+458P



3A 01040 West Fdn SEIX
3A 04730 West Fdn MMM
3A 06635 West Fdn CAMB
3A 07806 West Fdn OGARP
3A 09708 West Fdn INDEX

3A 09710 West Bristol Fd
3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHIN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR
3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking
3A 04727 West Fdn GL FI
3A 04728 West Fdn LONDON
3A 04729 West Fdn NFJ
3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
ALLSTATE CORP NTS B/E 07 450% 051619 DTD051309 FC111609 CALL@MMW+45BP	020002AX9		5,000.00	08/18/2010	5,247.38	10/02/2017	5,413.95	166.57	3.17%	L
ALLY FINANCIAL INC B/E 05.125% 093024 DTD092914 FC033015	02005NAV2		2,000.00	01/08/2015	2,040.49	03/30/2017	2,055.00	14.51	0.71%	L
ALLY FINANCIAL INC B/E 05 125% 093024 DTD092914 FC033015	02005NAV2		4,000.00	01/12/2015	4,081.05	03/30/2017	4,110.00	28.95	0.70%	L
ALLY FINANCIAL INC B/E 05 125% 093024 DTD092914 FC033015	02005NAV2		1,000.00	01/22/2015	1,026.38	03/30/2017	1,027.50	1.12	0.10%	L
ALLY FINANCIAL INC B/E 05 125% 093024 DTD092914 FC033015	02005NAV2		1,000.00	01/22/2015	1,026.35	04/03/2017	1,028.75	2.40	0.23%	L
ALLY FINANCIAL INC B/E 05.125% 093024 DTD092914 FC033015	02005NAV2		1,000.00	02/02/2016	1,011.10	04/03/2017	1,028.75	17.65	1.74%	L
ALLY FINANCIAL INC B/E 05 125% 093024 DTD092914 FC033015	02005NAV2		1,000.00	02/02/2016	1,011.09	04/06/2017	1,020.00	8.91	0.88%	L
ALLY FINANCIAL INC B/E 05 125% 093024 DTD092914 FC033015	02005NAV2		2,000.00	06/14/2016	2,060.59	04/06/2017	2,040.00	-20.59	-0.99%	S
ALLY FINANCIAL INC NTS 08 000% 031520 DTD091510 FC031511 B/E	02005NAE0		5,000.00	02/03/2011	5,214.73	10/20/2017	5,631.90	417.17	7.99%	L
ALPHABET INC CL A	02079K305	GOOGL	1.00	01/05/2017	813.54	08/04/2017	943.48	129.94	15.97%	S
ALPHABET INC CL A	02079K305	GOOGL	31.00	07/09/2014	18,036.73	09/27/2017	29,332.45	11,295.72	62.62%	L
ALPHABET INC CL A	02079K305	GOOGL	45.00	07/26/2016	33,968.66	09/27/2017	42,579.37	8,610.71	25.34%	L
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	92.00	01/05/2017	3,949.28	08/04/2017	3,959.60	10.32	0.26%	S
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	356.00	04/28/2014	12,596.46	10/04/2017	15,822.71	3,226.25	25.61%	L
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	17.00	10/27/2014	633.19	10/04/2017	755.58	122.39	19.32%	L
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	10.00	11/26/2014	388.68	10/04/2017	444.46	55.78	14.35%	L
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	20.00	01/16/2015	744.17	10/04/2017	888.91	144.74	19.44%	L
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	70.00	03/27/2015	2,585.75	10/04/2017	3,111.21	525.46	20.32%	L
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	6,787.00	06/30/2015	249,266.69	10/04/2017	301,653.75	52,387.06	21.01%	L
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	82.00	07/16/2015	3,041.22	10/04/2017	3,644.56	603.34	19.83%	L
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	70.00	08/25/2015	2,430.19	10/04/2017	3,111.20	681.01	28.02%	L
ALPS SECTOR DIVID DOGS ETF	00162Q858	SDOG	22.00	09/28/2015	740.46	10/04/2017	977.81	237.35	32.05%	L
AMDOCS LTD GBP	G02602103	DOX	20.00	12/20/2013	819.28	10/20/2017	1,322.39	503.11	61.40%	L
AMDOCS LTD GBP	G02602103	DOX	80.00	12/23/2013	3,279.42	10/20/2017	5,289.56	2,010.14	61.29%	L



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 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
AMDOCS LTD GBP	G02602103	DOX	5.00	12/27/2013	205.99	10/20/2017	330.60	124.61	60.49%	L
AMDOCS LTD GBP	G02602103	DOX	155.00	03/04/2014	6,913.00	10/20/2017	10,248.52	3,335.52	48.24%	L
AMDOCS LTD GBP	G02602103	DOX	70.00	05/12/2015	3,737.62	10/20/2017	4,628.36	890.74	23.83%	L
AMDOCS LTD GBP	G02602103	DOX	80.00	05/25/2016	4,600.00	10/20/2017	5,289.56	689.56	14.99%	L
AMDOCS LTD GBP	G02602103	DOX	175.00	09/27/2017	11,573.63	10/20/2017	11,570.91	-2.72	-0.02%	S
AMER EXPRESS CO NTS 02.650% 120222 DTD120312 FC060213	025816BD0		36,000.00	10/23/2013	34,043.40	08/01/2017	36,152.64	2,109.24	6.19%	L
AMER EXPRESS CO NTS 02.650% 120222 DTD120312 FC060213	025816BD0		12,000.00	08/07/2015	11,587.20	08/01/2017	12,050.88	463.68	4.00%	L
AMER EXPRESS CO NTS 02.650% 120222 DTD120312 FC060213	025816BD0		15,000.00	12/28/2015	14,639.10	08/01/2017	15,063.60	424.50	2.89%	L
AMER EXPRESS CO NTS 02.650% 120222 DTD120312 FC060213	025816BD0		4,000.00	07/28/2016	4,073.95	08/01/2017	4,016.96	-56.99	-1.39%	L
AMERICA MOVIL S A B DE C V SER L SPON ADR	02364W105	AMX	126.00	08/29/2017	2,359.53	09/12/2017	2,338.51	-21.02	-0.89%	S
AMERICAN EXPRESS CREDIT 03 300% 050327 DTD050317 FC110317 B/E	0258M0EL9		67,000.00	08/01/2017	67,636.89	10/02/2017	67,735.66	98.77	0.14%	S
AMERIGAS PARTNER B/E 05 875% 082026 DTD062716 FC082016 CALL@MMW+50BP	030981AJ3		3,000.00	07/06/2016	3,027.02	10/26/2017	3,118.20	91.18	3.01%	L
AMERIPRISE FINANCIAL INC	03076C106	AMP	7.00	01/05/2017	795.13	08/04/2017	1,034.93	239.80	30.15%	S
AMERIPRISE FINANCIAL INC	03076C106	AMP	2.00	01/19/2017	226.67	08/04/2017	295.69	69.02	30.44%	S
AMERIPRISE FINANCIAL INC	03076C106	AMP	162.00	06/04/2015	20,349.70	09/27/2017	23,956.82	3,607.12	17.72%	L
AMERIPRISE FINANCIAL INC	03076C106	AMP	1.00	08/10/2015	125.19	09/27/2017	147.88	22.69	18.12%	L
AMERIPRISE FINANCIAL INC	03076C106	AMP	10.00	08/25/2015	1,113.20	09/27/2017	1,478.82	365.62	32.84%	L
AMERIPRISE FINANCIAL INC	03076C106	AMP	6.00	09/28/2015	632.22	09/27/2017	887.29	255.07	40.34%	L
AMERIPRISE FINANCIAL INC	03076C106	AMP	40.00	02/04/2016	3,404.00	09/27/2017	5,915.26	2,511.26	73.77%	L
AMERIPRISE FINANCIAL INC	03076C106	AMP	390.00	07/26/2016	37,636.40	09/27/2017	57,673.82	20,037.42	53.23%	L
AMISURG CORP NTS B/E 05.625% 071522 DTD011515 FC071515 CALL@MMW+50BP	03232PAD0		3,000.00	11/21/2016	3,045.00	10/20/2017	3,059.85	14.85	0.48%	S
AMTRUST FINANCIAL SERVICES INC	032359309	AFSI	351.00	08/09/2017	4,923.44	08/16/2017	4,875.53	-47.91	-0.97%	S
AMTRUST FINANCIAL SERVICES INC	032359309	AFSI	81.00	08/09/2017	1,136.18	10/02/2017	1,125.88	-10.30	-0.90%	S
AMTRUST FINANCIAL SERVICES INC	032359309	AFSI	62.00	08/09/2017	869.67	10/18/2017	861.17	-8.50	-0.97%	S



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3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
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 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
AMTRUST FINANCIAL SERVICES INC	AFSI	184.00	08/09/2017	2,580.95	11/10/2017	1,905.02	-675.93	-26.18%	S
AMTRUST FINANCIAL SERVICES INC	AFSI	527.00	08/09/2017	7,392.17	11/16/2017	4,899.04	-2,493.13	-33.72%	S
AMTRUST FINANCIAL SERVICES INC	AFSI	355.00	08/09/2017	4,979.55	11/17/2017	3,230.18	-1,749.37	-35.13%	S
AMTRUST FINANCIAL SERVICES INC	AFSI	213.00	08/09/2017	2,987.73	11/20/2017	1,911.74	-1,075.99	-36.01%	S
ANADARKO PETROLEUM CORP	APC	99.00	03/11/2016	4,622.08	02/02/2017	6,753.01	2,130.93	46.10%	S
ANADARKO PETROLEUM CORP	APC	64.00	04/13/2016	3,182.62	02/02/2017	4,365.58	1,182.96	37.16%	S
ANADARKO PETROLEUM CORP	APC	27.00	04/13/2016	1,342.67	10/20/2017	1,321.21	-21.46	-1.59%	L
ANADARKO PETROLEUM CORP	APC	114.00	05/13/2016	5,443.81	10/20/2017	5,578.47	134.66	2.47%	L
ANADARKO PETROLEUM CORP	APC	45.00	05/25/2016	2,284.65	10/20/2017	2,202.02	-82.63	-3.61%	L
ANADARKO PETROLEUM CORP	APC	99.00	07/14/2017	4,438.14	10/20/2017	4,844.45	406.31	9.15%	S
ANADARKO PETROLEUM CORP	APC	95.00	09/27/2017	4,199.00	10/20/2017	4,648.72	449.72	10.71%	S
ANALOG DEVICES INC	ADI	29.00	08/11/2010	845.93	10/20/2017	2,582.83	1,736.90	205.32%	L
ANALOG DEVICES INC	ADI	20.00	02/05/2013	884.60	10/20/2017	1,781.26	896.66	101.36%	L
ANALOG DEVICES INC	ADI	55.00	12/23/2013	3,274.70	10/20/2017	5,789.09	2,514.39	76.78%	L
ANALOG DEVICES INC	ADI	55.00	03/04/2014	2,801.70	10/20/2017	4,898.46	2,096.76	74.83%	L
ANALOG DEVICES INC	ADI	35.00	05/25/2016	2,028.25	10/20/2017	3,117.21	1,088.96	53.68%	L
ANALOG DEVICES INC	ADI	72.00	11/14/2016	4,792.49	10/20/2017	6,412.53	1,620.04	33.80%	S
ANALOG DEVICES INC	ADI	61.00	09/27/2017	4,801.01	10/20/2017	5,432.84	631.83	13.16%	S
ANTERO RESOURCES CORP 05 625% DTD120115	FC060116 CALL@MMW+50BP	2,000.00	04/27/2017	2,065.00	10/26/2017	2,088.56	23.56	1.14%	S
ANTERO RESOURCES FIN 05 375% 110121 DTD050114	FC110114 CALL@MMW+50BP	2,000.00	08/14/2014	2,059.57	04/27/2017	2,060.00	0.43	0.02%	L
ANTERO RESOURCES FIN 05 375% 110121 DTD050114	FC110114 CALL@MMW+50BP	3,000.00	08/27/2014	3,109.40	04/27/2017	3,090.00	-19.40	-0.62%	L
ANTERO RESOURCES FIN 05 375% 110121 DTD050114	FC110114 CALL@MMW+50BP	3,000.00	09/04/2014	3,095.75	04/27/2017	3,090.00	-5.75	-0.18%	L
ANTERO RESOURCES FIN 05 375% 110121 DTD050114	FC110114 CALL@MMW+50BP	3,000.00	12/22/2014	2,906.25	05/01/2017	3,090.00	183.75	6.32%	L
ANTERO RESOURCES FIN 05 375% 110121 DTD050114	FC110114 CALL@MMW+50BP	2,000.00	12/24/2014	1,950.00	05/01/2017	2,060.00	110.00	5.64%	L



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3A 01040 West Fdn SEIX 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
 3A 04730 West Fdn MMB 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
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 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
ANTERO RESOURCES FIN 05 375% 110121 DTD050114 FC110114 CALL@MW+50BP		1,000.00	12/29/2014	975.00	10/19/2017	1,023.85	48.85	5.01%	L
APACHE CORP	APA	217.00	01/22/2016	8,400.13	10/20/2017	9,038.06	637.93	7.59%	L
APACHE CORP	APA	77.00	03/08/2016	3,647.37	10/20/2017	3,207.05	-440.32	-12.07%	L
APACHE CORP	APA	10.00	05/25/2016	588.30	10/20/2017	416.50	-171.80	-29.20%	L
APACHE CORP	APA	315.00	09/27/2017	14,064.75	10/20/2017	13,119.76	-944.99	-6.71%	S
APPLE INC	AAPL	16.00	12/21/2015	1,693.44	08/07/2017	2,523.46	830.02	49.01%	L
APPLIED INDL TECH INC	AIT	6.00	08/09/2017	334.28	10/02/2017	396.32	62.04	18.55%	S
APPLIED INDL TECH INC	AIT	9.00	08/09/2017	501.43	10/18/2017	585.98	84.55	16.86%	S
APPLIED INDL TECH INC	AIT	4.00	08/09/2017	222.86	11/30/2017	255.63	32.77	14.70%	S
ARAMARK SVCS INC NTS B/E 05 125% 011524 DTD121715 FC071516 CALL@MW+50BP		2,000.00	11/23/2016	2,057.50	10/20/2017	2,112.50	55.00	2.67%	S
ARCONIC INC	ARNC	49.00	12/23/2013	1,083.56	10/20/2017	1,328.01	244.45	22.55%	L
ARCONIC INC	ARNC	196.67	03/04/2014	5,062.66	10/20/2017	5,330.11	267.45	5.28%	L
ARCONIC INC	ARNC	143.33	05/25/2016	2,991.43	10/20/2017	3,884.67	893.24	29.85%	L
ARCONIC INC	ARNC	327.00	09/27/2017	8,279.64	10/20/2017	8,862.44	582.80	7.03%	S
ARES CAPITAL CORP	ARCC	116.00	08/09/2017	1,890.32	10/02/2017	1,900.16	9.84	0.52%	S
ARES CAPITAL CORP	ARCC	98.00	08/09/2017	1,597.00	10/18/2017	1,616.32	19.32	1.20%	S
ARES CAPITAL CORP	ARCC	60.00	08/09/2017	977.76	11/30/2017	971.08	-6.68	-0.68%	S
ARMSTRONG WORLD INDUSTRIES INC NEW	AWI	616.00	08/12/2016	27,523.56	08/08/2017	29,052.79	1,529.23	5.55%	S
ARMSTRONG WORLD INDUSTRIES INC NEW	AWI	75.00	08/15/2016	3,396.56	08/08/2017	3,537.27	140.71	4.14%	S
ASTELLAS PHARMA INC ADP	ALPMY	990.00	07/26/2016	15,944.85	05/10/2017	12,290.38	-3,654.47	-22.91%	S
ASTELLAS PHARMA INC ADP	ALPMY	68.00	07/27/2016	1,117.03	05/10/2017	844.19	-272.84	-24.42%	S
ASTELLAS PHARMA INC ADP	ALPMY	113.00	12/22/2016	1,559.41	05/10/2017	1,402.84	-156.57	-10.04%	S
AT&T INC 02.450% 063020 DTD050415 FC123015 CALL@MW+17.5BP		65,000.00	08/07/2017	65,472.32	10/02/2017	65,430.95	-41.37	-0.06%	S
AT&T INC CALL @MW+BP 05.500% 020118 DTD020108 FC080108		19,000.00	10/03/2014	19,339.74	08/07/2017	19,346.56	6.82	0.03%	L
AT&T INC CALL @MW+BP 05.500% 020118 DTD020108 FC080108		22,000.00	07/27/2015	22,386.65	08/07/2017	22,401.28	14.63	0.06%	L



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Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
AT&T INC CALL @MMW+BP 05 500% 020118 DTD020108 FC080108		15,000.00	02/01/2016	15,257.35	08/07/2017	15,273.60	16.25	0.10%	L
AT&T INC CALL @MMW+BP 05 500% 020118 DTD020108 FC080108		7,000.00	07/25/2016	7,140.60	08/07/2017	7,127.68	-12.92	-0.18%	L
AT&T INC NTS B/E 01 750% 011518 DTD011516 FC071516 CALL@MMW+20BP		240,000.00	05/09/2016	240,390.50	08/24/2017	240,060.00	-330.50	-0.13%	L
AUTOLIV INC \$0.20	ALV	41.00	08/09/2017	4,425.75	09/25/2017	5,096.25	670.50	15.14%	S
AUTOLIV INC \$0.20	ALV	11.00	08/09/2017	1,187.39	10/02/2017	1,357.37	169.98	14.31%	S
AUTOLIV INC \$0.20	ALV	16.00	08/09/2017	1,727.12	10/18/2017	2,013.39	286.27	16.57%	S
AUTOLIV INC \$0.20	ALV	104.00	08/09/2017	11,226.28	11/09/2017	12,772.88	1,546.60	13.77%	S
AUTOLIV INC \$0.20	ALV	5.00	08/09/2017	539.73	11/30/2017	638.54	98.81	18.30%	S
AUTOLIV INC \$0.20	ALV	48.00	08/09/2017	5,181.36	12/06/2017	6,093.64	912.28	17.60%	S
AUTONATION INC NTS B/E 05 500% 020120 DTD020112 FC080112		5,000.00	04/02/2012	5,046.05	03/28/2017	5,368.75	322.70	6.39%	L
AVERY DENNISON CORP	AVY	18.00	08/09/2017	1,677.91	10/02/2017	1,783.40	105.49	6.28%	S
AVERY DENNISON CORP	AVY	21.00	08/09/2017	1,957.56	10/18/2017	2,115.75	158.19	8.08%	S
AVERY DENNISON CORP	AVY	1.00	12/23/2013	49.58	10/20/2017	99.30	49.72	100.28%	L
AVERY DENNISON CORP	AVY	40.00	03/04/2014	2,068.00	10/20/2017	3,972.07	1,904.07	92.07%	L
AVERY DENNISON CORP	AVY	105.00	03/05/2014	5,368.69	10/20/2017	10,426.67	5,057.98	94.21%	L
AVERY DENNISON CORP	AVY	5.00	10/02/2014	219.90	10/20/2017	496.51	276.61	125.78%	L
AVERY DENNISON CORP	AVY	5.00	05/25/2016	374.95	10/20/2017	496.51	121.56	32.42%	L
AVERY DENNISON CORP	AVY	35.00	09/27/2017	3,264.28	10/20/2017	3,475.56	211.28	6.47%	S
AVERY DENNISON CORP	AVY	40.00	08/09/2017	3,728.69	10/24/2017	3,962.56	233.87	6.27%	S
AVERY DENNISON CORP	AVY	58.00	08/09/2017	5,406.60	11/16/2017	6,268.78	862.18	15.94%	S
AVERY DENNISON CORP	AVY	7.00	08/09/2017	652.52	11/30/2017	796.37	143.85	22.04%	S
AVERY DENNISON CORP	AVY	99.00	08/09/2017	9,228.50	12/06/2017	11,064.15	1,835.65	19.89%	S
AXA ADR	AXAHY	50.00	10/10/2016	1,137.80	01/24/2017	1,215.84	78.04	6.85%	S
AXA ADR	AXAHY	336.00	10/10/2016	7,646.02	02/15/2017	8,191.23	545.21	7.13%	S
B&G FOODS INC CL A	BGS	71.00	08/09/2017	2,187.38	10/02/2017	2,286.22	98.84	4.51%	S



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Consolidated report prepared for Checking

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
B&G FOODS INC CL A	BGS	64.00	08/09/2017	1,971.73	10/18/2017	2,079.95	108.22	5.48%	S
B&G FOODS INC CL A	BGS	32.00	08/09/2017	985.86	11/30/2017	1,235.17	249.31	25.28%	S
BALL CORP NTS B/E 04 375% 121520 DTD121415 FC070116 CALL@MW+50BP	BVA	3,000.00	12/18/2015	3,036.79	10/20/2017	3,145.98	109.19	3.59%	L
BANCO BILBAO VIZCAYA ARGENTARIA S A SPON ADR	BLX	318.00	10/09/2014	3,637.92	08/10/2017	2,839.35	-798.57	-21.95%	L
BANCO LATINOAMERICANO DE COMERCIO EXTERIOR, S.A ORD	BLX	29.00	08/09/2017	756.34	10/02/2017	852.00	95.66	12.64%	S
BANCO LATINOAMERICANO DE COMERCIO EXTERIOR, S A ORD	BLX	56.00	08/09/2017	1,460.52	10/18/2017	1,627.33	166.81	11.42%	S
BANCO LATINOAMERICANO DE COMERCIO EXTERIOR, S.A ORD	BLX	28.00	08/09/2017	730.26	11/30/2017	821.81	91.55	12.53%	S
BANK OF THE OZARKS INC	OZRK	52.00	08/09/2017	2,257.23	10/02/2017	2,518.83	261.60	11.58%	S
BANK OF THE OZARKS INC	OZRK	58.00	08/09/2017	2,517.68	10/18/2017	2,660.40	142.72	5.66%	S
BANK OF THE OZARKS INC	OZRK	29.00	08/09/2017	1,258.84	11/30/2017	1,398.35	139.51	11.08%	S
BAXTER INTL INC	BAX	254.00	11/20/2015	9,766.63	10/20/2017	16,148.95	6,382.32	65.34%	L
BAXTER INTL INC	BAX	110.00	01/20/2016	3,832.69	10/20/2017	6,993.64	3,160.95	82.47%	L
BAXTER INTL INC	BAX	40.00	05/25/2016	1,748.00	10/20/2017	2,543.14	795.14	45.48%	L
BAXTER INTL INC	BAX	79.00	10/26/2016	3,866.62	10/20/2017	5,022.70	1,156.08	29.89%	S
BAXTER INTL INC	BAX	123.00	09/27/2017	7,342.49	10/20/2017	7,820.16	477.67	6.50%	S
BB&T CORP MED TERM NTS 06 850% 043019 DTD050409 FC103009 B/E	05531FA89	44,000.00	01/24/2014	48,253.17	03/10/2017	48,218.72	-34.45	-0.07%	L
BB&T CORP MED TERM NTS 06 850% 043019 DTD050409 FC103009 B/E	05531FA89	6,000.00	06/16/2016	6,671.89	03/10/2017	6,575.28	-96.61	-1.44%	S
BERKSHIRE HATHAWAY FIN 02 900% 101520 DTD101513 FC041514 CORP NTS	084664BZ3	26,000.00	02/19/2016	26,822.23	10/02/2017	26,814.58	-7.65	-0.02%	L
BERKSHIRE HATHAWAY INC 01.550% 020918 DTD021113 FC080913 CALL@MW+12.5BP	084670BH0	38,000.00	12/16/2014	38,013.76	10/02/2017	38,001.52	-12.24	-0.03%	L
BERKSHIRE HATHAWAY INC 02.100% 081419 DTD081414 FC021415 NTS CALL@MW+108	084670BL1	6,000.00	07/07/2016	6,109.12	10/02/2017	6,060.00	-49.12	-0.80%	L
BGC PARTNERS INC CL A	05541T101	87.00	08/09/2017	1,102.93	10/02/2017	1,283.31	180.38	16.35%	S
BGC PARTNERS INC CL A	05541T101	117.00	08/09/2017	1,483.26	10/18/2017	1,865.23	381.97	25.75%	S
BGC PARTNERS INC CL A	05541T101	51.00	08/09/2017	646.55	11/30/2017	830.82	184.27	28.50%	S

Realized gain/loss - Year 2017 (continued)



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3A 01040 West Fdn SEIX 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
 3A 04730 West Fdn MMM 3A 09710 West Bristol Fd 3A 00894 West Fdn TW 3A 04728 West Fdn LONDON
 3A 06635 West Fdn CAMB 3A 09713 West Fdn EDGE 3A 01044 West Fdn EQ 3A 04729 West Fdn NFJ
 3A 07806 West Fdn QGARP 3A 09714 West Fdn GLOVIS 3A 02479 West Fdn MIP 3A 04729 West Fdn NFJ
 3A 09708 West Fdn INDEX 3A 09715 West Fdn RACHLN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
DTD091114 FC031115									
BK OF NY MELLON CORP B/E 03.250% 091124									
DTD091114 FC031115									
BLACK KNIGHT INC	BKI	11,000.00	03/10/2016	11,216.80	10/02/2017	11,292.71	75.91	0.67%	L
BLACK KNIGHT INC	BKI	0.80	08/09/2017	34.61	10/02/2017	33.67	-0.94	-2.71%	S
BLACK KNIGHT INC	BKI	165.00	08/09/2017	7,105.93	10/16/2017	7,718.67	612.74	8.62%	S
BLACK KNIGHT INC	BKI	5.00	08/09/2017	215.33	10/18/2017	228.27	12.94	6.00%	S
BLACK KNIGHT INC	BKI	153.00	08/09/2017	6,589.14	10/31/2017	6,977.79	388.65	5.89%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	488.78	01/05/2017	5,249.49	08/08/2017	5,396.12	146.63	2.79%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	149.46	01/19/2017	1,603.65	08/08/2017	1,649.98	46.33	2.88%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	1.36	01/31/2017	14.67	08/08/2017	15.04	0.37	2.52%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	2.29	02/28/2017	24.89	08/08/2017	25.30	0.41	1.64%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	2.59	03/31/2017	28.09	08/08/2017	28.56	0.47	1.67%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	2.68	04/28/2017	29.33	08/08/2017	29.60	0.27	0.92%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	2.64	05/31/2017	29.03	08/08/2017	29.19	0.16	0.55%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	2.52	06/30/2017	27.72	08/08/2017	27.85	0.13	0.46%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	2.38	07/31/2017	26.31	08/08/2017	26.26	-0.05	-0.19%	S
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	16,416.05	04/17/2013	183,026.46	09/29/2017	181,397.34	-1,629.12	-0.89%	L
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	60.21	12/20/2013	676.17	09/29/2017	665.37	-10.80	-1.59%	L
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	10.91	12/20/2013	122.51	09/29/2017	120.55	-1.96	-1.59%	L
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	4,469.69	10/10/2014	49,971.18	09/29/2017	49,390.12	-581.06	-1.16%	L
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	221.83	10/27/2014	2,499.99	09/29/2017	2,451.19	-48.80	-1.95%	L
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	BLICX	97.63	10/31/2014	1,111.07	09/29/2017	1,078.85	-32.22	-2.89%	L



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3A 01040 West Fdn SEIX	3A 09710 West Bristol Fd	3A 00893 West Fdn	3A 01043 West Fdn ROOS	3A 04727 West Fdn GL FI
3A 04730 West Fdn MMM	3A 09713 West Fdn EDGE	3A 00894 West Fdn MLP	3A 01044 West Fdn TW	3A 04728 West Fdn LONDON
3A 06635 West Fdn CAMB	3A 09714 West Fdn GLOVIS	3A 01039 West Fdn REIN	3A 02479 West Fdn OPP EQ	3A 04729 West Fdn NFJ
3A 07806 West Fdn OGARP	3A 09715 West Fdn RACHLN	3A 01041 West Fdn YACKT	3A 03355 West Fdn TW MCO	3A 09676 Checking
3A 09708 West Fdn INDEX	3A 09843 West Fdn KAYNE	3A 01042 West Fdn ANCHOR	3A 04338 West Fdn KAYNE	

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
09256H336	BLICX	377.12	11/05/2014	4,291.64	09/29/2017	4,167.19	-124.45	-2.89%	L
09256H336	BLICX	553.59	11/26/2014	6,344.13	09/29/2017	6,117.16	-226.97	-3.57%	L
09256H336	BLICX	109.50	11/28/2014	1,252.71	09/29/2017	1,210.01	-42.70	-3.40%	L
09256H336	BLICX	91.86	12/22/2014	1,034.39	09/29/2017	1,015.10	-19.29	-1.86%	L
09256H336	BLICX	152.8	12/22/2014	172.08	09/29/2017	168.86	-3.22	-1.87%	L
09256H336	BLICX	138.04	12/31/2014	1,551.60	09/29/2017	1,525.38	-26.22	-1.68%	L
09256H336	BLICX	92.19	01/30/2015	1,035.30	09/29/2017	1,018.71	-16.59	-1.60%	L
09256H336	BLICX	102.10	02/27/2015	1,164.93	09/29/2017	1,128.17	-36.76	-3.15%	L
09256H336	BLICX	291.30	03/27/2015	3,291.71	09/29/2017	3,218.89	-72.82	-2.21%	L
09256H336	BLICX	142.86	03/31/2015	1,614.34	09/29/2017	1,578.62	-35.72	-2.21%	L
09256H336	BLICX	136.67	04/30/2015	1,544.37	09/29/2017	1,510.21	-34.16	-2.21%	L
09256H336	BLICX	143.16	05/29/2015	1,611.96	09/29/2017	1,581.89	-30.07	-1.86%	L
09256H336	BLICX	11,156.09	06/04/2015	124,836.66	09/29/2017	123,274.81	-1,561.85	-1.25%	L
09256H336	BLICX	176.70	06/30/2015	1,950.71	09/29/2017	1,952.48	1.77	0.09%	L
09256H336	BLICX	316.74	07/16/2015	3,525.31	09/29/2017	3,499.96	-25.35	-0.71%	L
09256H336	BLICX	170.84	07/31/2015	1,887.78	09/29/2017	1,887.78	0.00	0.00%	L
09256H336	BLICX	152.60	08/31/2015	1,638.88	09/29/2017	1,686.19	47.31	2.88%	L
09256H336	BLICX	164.72	09/30/2015	1,736.10	09/29/2017	1,820.10	84.00	4.83%	L
09256H336	BLICX	147.41	10/30/2015	1,589.09	09/29/2017	1,628.89	39.80	2.50%	L
09256H336	BLICX	153.30	11/30/2015	1,638.79	09/29/2017	1,693.98	55.19	3.36%	L



Consolidated report prepared for Checking

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
09256H336	BIICX	95.51	12/23/2015	1,005.72	09/29/2017	1,055.38	49.66	4.93%	L
09256H336	BIICX	165.68	12/31/2015	1,741.32	09/29/2017	1,830.79	89.47	5.13%	L
09256H336	BIICX	129.48	01/29/2016	1,328.50	09/29/2017	1,430.79	102.29	7.69%	L
09256H336	BIICX	136.91	02/29/2016	1,393.78	09/29/2017	1,512.90	119.12	8.54%	L
09256H336	BIICX	161.55	03/31/2016	1,689.81	09/29/2017	1,785.12	95.31	5.64%	L
09256H336	BIICX	1,604.58	04/18/2016	16,896.19	09/29/2017	17,730.57	834.38	4.93%	L
09256H336	BIICX	182.40	04/29/2016	1,924.31	09/29/2017	2,015.51	91.20	4.73%	L
09256H336	BIICX	186.24	05/31/2016	1,970.42	09/29/2017	2,057.95	87.53	4.44%	L
09256H336	BIICX	188.57	06/30/2016	1,991.31	09/29/2017	2,083.71	92.40	4.64%	L
09256H336	BIICX	151.50	07/29/2016	1,630.13	09/29/2017	1,674.06	43.93	2.69%	L
09256H336	BIICX	155.22	08/31/2016	1,673.30	09/29/2017	1,715.22	41.92	2.50%	L
09256H336	BIICX	140.91	09/30/2016	1,516.15	09/29/2017	1,557.01	40.86	2.69%	S
09256H336	BIICX	133.58	10/31/2016	1,425.31	09/29/2017	1,476.07	50.76	3.56%	S
09256H336	BIICX	142.81	11/30/2016	1,513.81	09/29/2017	1,578.07	64.26	4.24%	S
09256H336	BIICX	113.96	12/22/2016	1,213.68	09/29/2017	1,259.27	45.59	3.75%	S
09256H336	BIICX	157.26	12/30/2016	1,677.97	09/29/2017	1,737.74	59.77	3.56%	S
09256H336	BIICX	148.64	01/31/2017	1,600.86	09/29/2017	1,642.48	41.62	2.59%	S
09256H336	BIICX	143.08	02/28/2017	1,553.86	09/29/2017	1,581.04	27.18	1.74%	S
09256H336	BIICX	161.34	03/31/2017	1,752.18	09/29/2017	1,782.84	30.66	1.74%	S
09256H336	BIICX	167.09	04/28/2017	1,828.01	09/29/2017	1,846.39	18.38	1.00%	S

Realized gain/loss - Year 2017 (continued)



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3A 01040 West Fdn SEIX 3A 09710 West Bristol Ed 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
 3A 04730 West Fdn MIMM 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn R&N 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ
 3A 07806 West Fdn QGARP 3A 09715 West Fdn RACHUN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CLAS	CU	SY	QU	PD	PA	SD	SA	RG	PL
CLASS	CLAS	SY	QU	PD	PA	SD	SA	RG	PL
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL	09256H336	BICX	164.96	05/31/2017	1,811.30	09/29/2017	1,822.85	11.55	0.63%
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL	09256H336	BICX	157.25	06/30/2017	1,728.20	09/29/2017	1,737.64	9.44	0.54%
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL	09256H336	BICX	148.48	07/31/2017	1,642.20	09/29/2017	1,640.71	-1.49	-0.09%
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL	09256H336	BICX	126.08	08/31/2017	1,390.68	09/29/2017	1,393.21	2.53	0.18%
BOEING CO B/E 02 600% 103025 DTD102915	0970238P9	BOKF	44,000.00	10/28/2015	43,056.20	10/02/2017	43,728.52	672.32	1.56%
BOEING CO B/E 02 600% 103025 DTD102915	0970238P9	BOKF	19,000.00	01/27/2016	18,610.31	10/02/2017	18,882.77	272.46	1.46%
BOK FINANCIAL CORP NEW	05561Q201	BOKF	13.00	08/09/2017	1,075.51	10/02/2017	1,164.78	89.27	8.30%
BOK FINANCIAL CORP NEW	05561Q201	BOKF	11.00	08/09/2017	910.05	10/18/2017	986.35	76.30	8.38%
BOK FINANCIAL CORP NEW	05561Q201	BOKF	4.00	08/09/2017	330.92	11/30/2017	355.07	24.15	7.29%
BOSTON SCIENTIFIC CORP	101137107	BSX	115.00	09/06/2012	641.38	10/20/2017	3,421.37	2,779.99	433.43%
BOSTON SCIENTIFIC CORP	101137107	BSX	670.00	12/23/2013	7,954.64	10/20/2017	19,933.21	11,978.57	150.58%
BOSTON SCIENTIFIC CORP	101137107	BSX	199.00	09/27/2017	5,318.28	10/20/2017	5,920.46	602.18	11.32%
BOYD GAMING CORP NTS B/E 06 875% 051523	1033048K6		3,000.00	06/22/2015	3,090.00	10/19/2017	3,210.00	120.00	3.88%
BRANCH BANKING & TRUST 02 625% 011522	07330NAQ8		56,000.00	03/10/2017	55,714.40	10/02/2017	56,798.00	1,083.60	1.94%
BROADRIDGE FINANCIAL SOLUTIONS INC	11133T103	BR	19.00	08/09/2017	1,425.45	10/02/2017	1,536.87	111.42	7.81%
BROADRIDGE FINANCIAL SOLUTIONS INC	11133T103	BR	14.00	08/09/2017	1,050.34	10/18/2017	1,170.02	119.68	11.39%
BROADRIDGE FINANCIAL SOLUTIONS INC	11133T103	BR	37.00	02/05/2013	872.03	10/20/2017	3,118.51	2,246.48	257.61%
BROADRIDGE FINANCIAL SOLUTIONS INC	11133T103	BR	155.00	12/23/2013	6,153.72	10/20/2017	13,054.03	6,910.31	112.29%
BROADRIDGE FINANCIAL SOLUTIONS INC	11133T103	BR	160.00	03/04/2014	6,124.80	10/20/2017	13,485.45	7,360.65	120.17%
BROADRIDGE FINANCIAL SOLUTIONS INC	11133T103	BR	70.00	06/29/2015	3,528.29	10/20/2017	5,899.88	2,371.59	67.21%
BROADRIDGE FINANCIAL SOLUTIONS INC	11133T103	BR	30.00	05/25/2016	1,972.50	10/20/2017	2,528.52	556.02	28.18%
BROADRIDGE FINANCIAL SOLUTIONS INC	11133T103	BR	243.00	09/27/2017	18,385.38	10/20/2017	20,481.03	2,095.65	11.39%
BROADRIDGE FINANCIAL SOLUTIONS INC	11133T103	BR	8.00	08/09/2017	600.19	11/30/2017	721.26	121.07	20.17%
BWX TECHNOLOGIES INC	05605H100	BWXT	18.00	08/11/2010	299.55	10/20/2017	1,077.38	777.83	259.66%



3A 01040 West Fdn SEIX
3A 04730 West Fdn MMM
3A 06635 West Fdn CAMB
3A 07806 West Fdn OGARP
3A 09708 West Fdn INDEX

3A 09710 West Bristol Fd
3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHIN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR

3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking

3A 04727 West Fdn GL H
3A 04728 West Fdn LONDON
3A 04729 West Fdn NFJ
3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
BWX TECHNOLOGIES INC	BWXT	20.00	09/10/2010	320.45	10/20/2017	1,197.09	876.64	273.56%	L
BWX TECHNOLOGIES INC	BWXT	70.00	06/06/2011	1,401.97	10/20/2017	4,189.82	2,787.85	198.85%	L
BWX TECHNOLOGIES INC	BWXT	35.00	02/05/2013	678.64	10/20/2017	2,094.91	1,416.27	208.69%	L
BWX TECHNOLOGIES INC	BWXT	90.00	12/23/2013	2,215.46	10/20/2017	5,386.90	3,171.44	143.15%	L
BWX TECHNOLOGIES INC	BWXT	110.00	03/04/2014	2,643.71	10/20/2017	6,584.00	3,940.29	149.04%	L
BWX TECHNOLOGIES INC	BWXT	160.00	05/25/2016	5,590.40	10/20/2017	9,576.73	3,986.33	71.30%	L
BWX TECHNOLOGIES INC	BWXT	164.00	09/27/2017	8,683.80	10/20/2017	9,816.14	1,132.34	13.03%	S
CABELA'S INC **MERGER 09/2017**		113.00	02/06/2013	5,639.83	01/12/2017	6,511.04	871.21	15.44%	L
CABELA'S INC **MERGER 09/2017**		5.00	08/23/2013	335.20	01/12/2017	288.10	-47.10	-14.05%	L
CABELA'S INC **MERGER 09/2017**		33.00	12/23/2013	2,149.96	01/12/2017	1,901.46	-248.50	-11.55%	L
CABELA'S INC **MERGER 09/2017**		37.00	05/25/2016	1,807.82	01/12/2017	2,131.93	324.11	17.92%	S
CABOT OIL & GAS CORP	COG	557.00	01/03/2017	12,476.41	10/20/2017	14,208.80	1,732.39	13.88%	S
CABOT OIL & GAS CORP	COG	147.00	09/27/2017	3,595.62	10/20/2017	3,749.90	154.28	4.29%	S
CALPINE CORP NTS 8/E 05 750% 011525 DTD072214 FC041515 CALL@MW+50BP		5,000.00	12/17/2014	4,881.25	08/01/2017	4,662.50	-218.75	-4.48%	L
CALPINE CORP NTS 8/E 05 750% 011525 DTD072214 FC041515 CALL@MW+50BP		4,000.00	12/18/2014	4,020.00	08/01/2017	3,725.00	-295.00	-7.33%	L
CALPINE CORP NTS 8/E 05 750% 011525 DTD072214 FC041515 CALL@MW+50BP		5,000.00	06/01/2016	4,875.00	08/01/2017	4,656.25	-218.75	-4.48%	L
CARMAX INC	KMX	396.00	02/06/2013	15,830.89	08/08/2017	25,788.91	9,958.02	62.90%	L
CARMAX INC	KMX	13.00	08/23/2013	633.13	08/08/2017	846.60	213.47	33.71%	L
CARMAX INC	KMX	194.00	12/23/2013	9,260.84	08/08/2017	12,633.96	3,373.12	36.42%	L
CARMAX INC	KMX	70.00	05/25/2016	3,776.15	08/08/2017	4,558.65	782.50	20.72%	L
CASEY'S GEN STORES INC	CASY	100.00	11/21/2016	12,244.75	10/20/2017	11,219.14	-1,025.61	-8.37%	S
CASEY'S GEN STORES INC	CASY	70.00	09/27/2017	7,630.35	10/20/2017	7,853.40	223.05	2.92%	S
CASS INFORMATION SYSTEMS INC	CASS	0.90	10/20/2017	54.07	12/15/2017	56.92	2.85	5.27%	S
CBRE SERVICES INC 8/E 05 000% 031523 DTD031413 FC091513 CALL@MW+50BP		2,000.00	03/20/2013	2,028.74	01/03/2017	2,060.00	31.26	1.54%	L
CBRE SERVICES INC 8/E 05 000% 031523 DTD031413 FC091513 CALL@MW+50BP		1,000.00	03/20/2013	1,014.37	01/09/2017	1,030.00	15.63	1.54%	L



Consolidated report prepared for Checking

3A 01040 West Fdn SEIX 3A 09710 West Bristol Ed 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FL
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 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REIN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ
 3A 07806 West Fdn QGARP 3A 09715 West Fdn RACHUN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
CBRE SERVICES INC B/E 05 000% 031523 DTD031413 FC091513 CALL@MMW+50BP		1,000.00	04/23/2013	1,020.00	01/09/2017	1,030.00	10.00	0.98%	L
CBRE SERVICES INC B/E 05 000% 031523 DTD031413 FC091513 CALL@MMW+50BP		1,000.00	04/23/2013	1,020.00	01/17/2017	1,030.00	10.00	0.98%	L
CBRE SERVICES INC B/E 05 000% 031523 DTD031413 FC091513 CALL@MMW+50BP		2,000.00	01/02/2014	1,935.00	01/17/2017	2,060.00	125.00	6.45%	L
CBRE SERVICES INC B/E 05 000% 031523 DTD031413 FC091513 CALL@MMW+50BP		2,000.00	01/02/2014	1,935.00	03/07/2017	2,067.50	132.50	6.84%	L
CBRE SERVICES INC B/E 05 000% 031523 DTD031413 FC091513 CALL@MMW+50BP		3,000.00	11/13/2015	3,033.75	03/07/2017	3,101.25	67.50	2.22%	L
CBRE SERVICES INC B/E 05 000% 031523 DTD031413 FC091513 CALL@MMW+50BP		2,000.00	06/01/2016	2,063.08	03/07/2017	2,067.50	4.42	0.21%	S
CBRE SERVICES INC B/E 05 000% 031523 DTD031413 FC091513 CALL@MMW+50BP		7,000.00	06/01/2016	7,220.68	03/08/2017	7,227.50	6.82	0.09%	S
CBRE SERVICES INC B/E 05 000% 031523 DTD031413 FC091513 CALL@MMW+50BP		2,000.00	08/15/2016	2,103.73	10/20/2017	2,108.76	5.03	0.23%	L
CDW LLC / CDW FIN CORP 05 500% 120124 DTD120114 FC060115 CALL@MMW+50BP		3,000.00	04/11/2017	3,172.65	10/26/2017	3,324.45	151.80	4.78%	S
CDW LLC / CDW FIN CORP 06 000% 081522 DTD080514 FC021515 CALL@MMW+50BP		7,000.00	02/16/2016	7,262.50	04/03/2017	7,432.74	170.24	2.34%	L
CDW LLC / CDW FIN CORP 06 000% 081522 DTD080514 FC021515 CALL@MMW+50BP		2,000.00	02/17/2016	2,075.00	04/03/2017	2,123.64	48.64	2.34%	L
CDW LLC / CDW FIN CORP 06 000% 081522 DTD080514 FC021515 CALL@MMW+50BP		2,000.00	06/10/2016	2,093.95	04/03/2017	2,123.64	29.69	1.41%	S
CENTENE CORP NTS B/E 04 750% 051522 DTD042914 FC111514 CALL@MMW+50BP		2,000.00	03/10/2016	2,035.00	10/20/2017	2,088.40	53.40	2.62%	L
CENTURYLINK INC	CTL	37.00	01/05/2017	942.39	08/04/2017	839.51	-102.88	-10.91%	S
CENTURYLINK INC	CTL	11.00	01/19/2017	280.01	08/04/2017	249.58	-30.43	-10.86%	S
CENTURYLINK INC	CTL	396.00	01/14/2014	12,140.13	08/08/2017	8,732.55	-3,407.58	-28.06%	L
CENTURYLINK INC	CTL	1,000.00	02/12/2014	30,145.70	08/08/2017	22,051.89	-8,093.81	-26.84%	L
CENTURYLINK INC	CTL	16.00	10/27/2014	643.47	08/08/2017	352.83	-290.64	-45.16%	L
CENTURYLINK INC	CTL	100.00	11/26/2014	4,068.99	08/08/2017	2,205.19	-1,863.80	-45.80%	L
CENTURYLINK INC	CTL	25.00	01/16/2015	957.25	08/08/2017	551.30	-405.95	-42.40%	L
CENTURYLINK INC	CTL	300.00	03/27/2015	10,254.00	08/08/2017	6,615.57	-3,638.43	-35.48%	L
CENTURYLINK INC	CTL	105.00	06/04/2015	3,450.30	08/08/2017	2,315.45	-1,134.85	-32.89%	L



Consolidated report prepared for Checking

3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
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 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REIN 3A 02479 West Fdn OP EQ 3A 04729 West Fdn NFJ
 3A 07806 West Fdn RACHLN 3A 09715 West Fdn RACHLN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
CENTURYLINK INC	CTL	211.00	06/30/2015	6,213.00	08/08/2017	4,652.95	-1,560.05	-25.10%	L
CENTURYLINK INC	CTL	97.00	08/10/2015	2,782.92	08/08/2017	2,139.03	-643.89	-23.13%	L
CENTURYLINK INC	CTL	60.00	08/25/2015	1,593.59	08/08/2017	1,323.11	-270.48	-16.97%	L
CENTURYLINK INC	CTL	84.00	09/28/2015	2,108.82	08/08/2017	1,852.36	-256.46	-12.16%	L
CENTURYLINK INC	CTL	25.00	07/26/2016	767.38	08/08/2017	551.30	-216.08	-28.15%	L
CENTURYLINK INC NTS B/E 07 500% 040124 DTD040616 FC1001116 CALL@MW+50BP	CTL	3,000.00	06/09/2017	3,336.64	10/20/2017	3,239.70	-96.94	-2.90%	S
CHESAPEAKE ENERGY CORP 06 625% 081520 DTD081710 CALL@MW+50BP B/E	CTL	2,000.00	05/01/2017	2,021.85	10/13/2017	2,080.00	58.15	2.87%	S
CHESAPEAKE ENERGY CORP 06 625% 081520 DTD081710 CALL@MW+50BP B/E	CTL	3,000.00	05/02/2017	3,039.35	10/13/2017	3,120.00	80.65	2.65%	S
CHESAPEAKE ENERGY CORP 06 625% 081520 DTD081710 CALL@MW+50BP B/E	CTL	6,000.00	06/26/2017	5,970.00	10/13/2017	6,240.00	270.00	4.52%	S
CHESAPEAKE ENERGY CORP 06 625% 081520 DTD081710 CALL@MW+50BP B/E	CTL	8,000.00	08/29/2017	8,057.71	10/13/2017	8,320.00	262.29	3.25%	S
CHEVRON CORP	CVX	18.00	01/05/2017	2,113.54	08/04/2017	1,976.91	-136.63	-6.46%	S
CHEVRON CORP	CVX	5.00	01/19/2017	578.40	08/04/2017	549.14	-29.26	-5.05%	S
CHEVRON CORP	CVX	725.00	08/24/2015	51,112.50	10/04/2017	85,117.76	34,005.26	66.53%	L
CHEVRON CORP	CVX	190.00	08/25/2015	14,181.60	10/04/2017	22,306.72	8,125.12	57.29%	L
CHEVRON CORP	CVX	677.00	09/28/2015	51,747.79	10/04/2017	79,482.37	27,734.58	53.59%	L
CHINA MOBILE LTD SPON ADR	CHL	113.00	10/29/2015	6,921.80	05/15/2017	6,154.11	-767.69	-11.09%	L
CHINA MOBILE LTD SPON ADR	CHL	47.00	10/29/2015	2,878.98	10/04/2017	2,377.06	-501.92	-17.43%	L
CHINA MOBILE LTD SPON ADR	CHL	54.00	01/04/2016	2,970.67	10/04/2017	2,731.10	-239.57	-8.06%	L
CHINA MOBILE LTD SPON ADR	CHL	59.00	05/25/2016	3,310.43	10/04/2017	2,983.97	-326.46	-9.86%	L
CHINA MOBILE LTD SPON ADR	CHL	118.00	10/05/2016	7,436.60	10/04/2017	5,967.95	-1,468.65	-19.74%	S
CHINA MOBILE LTD SPON ADR	CHL	42.00	02/09/2017	2,387.88	10/04/2017	2,124.19	-263.69	-11.04%	S
CHINA MOBILE LTD SPON ADR	CHL	74.00	08/07/2017	3,957.97	10/04/2017	3,742.61	-215.36	-5.44%	S
CHINA PETROLEUM & CHEMICAL CORP SPON ADR	SNP	112.00	11/06/2017	8,016.56	12/20/2017	8,016.56	0.00	0.00%	S
CHINA PETROLEUM & CHEMICAL CORP SPON ADR	SNP	60.00	12/04/2017	4,297.79	12/20/2017	4,294.58	-3.21	-0.07%	S
CHINA PETROLEUM & CHEMICAL CORP SPON ADR	SNP	28.00	12/04/2017	2,005.64	12/21/2017	2,046.19	40.55	2.02%	S



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3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
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 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REN 3A 02479 West Fdn OPP EO 3A 04729 West Fdn NEJ
 3A 07806 West Fdn QGARP 3A 09715 West Fdn RACHLN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
16945R104	CHU	381.00	08/29/2017	5,579.75	09/18/2017	5,394.15	-185.60	-3.32%	S
12543DAR1		3,000.00	03/11/2016	3,025.91	02/08/2017	3,007.50	-18.41	-0.60%	S
184496AJ6		2,000.00	01/20/2016	2,020.00	06/30/2017	2,031.50	11.50	0.56%	L
184496AJ6		2,000.00	01/21/2016	2,027.57	06/30/2017	2,031.50	3.93	0.19%	L
184496AJ6		2,000.00	01/26/2016	2,031.50	06/30/2017	2,031.50	0.00	0.00%	L
184496AJ6		3,000.00	02/03/2016	3,040.37	06/30/2017	3,047.25	6.88	0.22%	L
184496AJ6		4,000.00	06/09/2016	4,083.77	06/30/2017	4,063.00	-20.77	-0.50%	L
18451QAM0		2,000.00	01/26/2016	1,850.00	10/20/2017	2,072.50	222.50	12.02%	L
189054109	CLX	6.00	02/05/2013	479.48	10/20/2017	767.08	287.60	59.98%	L
189054109	CLX	30.00	12/23/2013	2,782.80	10/20/2017	3,835.41	1,052.61	37.82%	L
189054109	CLX	45.00	03/04/2014	3,914.10	10/20/2017	5,753.12	1,839.02	46.98%	L
189054109	CLX	10.00	05/25/2016	1,300.30	10/20/2017	1,278.47	-21.83	-1.67%	L
189054109	CLX	56.00	09/27/2017	7,552.72	10/20/2017	7,159.44	-393.28	-5.20%	S
12623EAF8		2,000.00	12/08/2015	1,975.00	10/20/2017	2,012.80	37.80	1.91%	L
191216100	KO	18.00	01/05/2017	751.84	08/04/2017	819.70	67.86	9.02%	S
191216100	KO	6.00	01/19/2017	247.07	08/04/2017	273.23	26.16	10.58%	S
191216100	KO	372.00	05/11/2009	8,001.91	08/08/2017	16,960.24	8,958.33	111.95%	L
191216100	KO	4.00	10/27/2014	163.36	08/08/2017	182.37	19.01	11.63%	L
191216100	KO	40.00	11/05/2014	1,688.60	08/08/2017	1,823.68	135.08	7.99%	L
191216100	KO	40.00	03/27/2015	1,601.39	08/08/2017	1,823.68	222.29	13.88%	L
191216100	KO	5.00	06/04/2015	202.90	08/08/2017	227.96	25.06	12.35%	L
191216100	KO	845.00	07/26/2016	38,274.28	08/08/2017	38,525.28	251.00	0.65%	L
191216AV2		50,000.00	12/20/2012	52,389.92	10/02/2017	52,283.00	-106.92	-0.20%	L



3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL H
 3A 04730 West Fdn MMM 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
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 3A 07806 West Fdn OGARP 3A 09715 West Fdn RACHIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CALL@MW+10BP

COCA-COLA COTHE B/E 03.300% 090121 DTD081011
CALL@MW+10BP

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
191216AV2		4,000.00	09/06/2016	4,269.87	10/02/2017	4,182.64	-87.23	-2.04%	L
19247R103	RFI	239.00	01/05/2017	2,991.48	08/04/2017	3,044.19	52.71	1.76%	S
19247R103	RFI	81.00	01/19/2017	991.32	08/04/2017	1,031.72	40.40	4.07%	S
19247R103	RFI	1.00	01/31/2017	12.73	08/04/2017	12.73	0.00	0.00%	S
19247R103	RFI	2.00	02/28/2017	25.53	08/04/2017	25.48	-0.05	-0.19%	S
19247R103	RFI	2.00	03/31/2017	24.71	08/04/2017	25.47	0.76	3.07%	S
19247R103	RFI	2.00	04/28/2017	25.47	08/04/2017	25.48	0.01	0.03%	S
19247R103	RFI	2.00	05/31/2017	24.87	08/04/2017	25.47	0.60	2.41%	S
19247R103	RFI	2.00	06/30/2017	25.30	08/04/2017	25.48	0.18	0.71%	S
19247R103	RFI	2.00	07/31/2017	25.45	08/04/2017	25.47	0.02	0.07%	S
19247R103	RFI	1,393.00	03/30/2015	18,823.35	10/05/2017	17,494.61	-1,328.74	-7.05%	L
19247R103	RFI	1,300.00	03/30/2015	17,579.68	10/05/2017	16,326.63	-1,253.05	-7.12%	L
19247R103	RFI	578.00	03/30/2015	7,822.00	10/05/2017	7,259.08	-562.92	-7.19%	L
19247R103	RFI	571.00	03/30/2015	7,715.82	10/05/2017	7,171.16	-544.66	-7.05%	L
19247R103	RFI	2,884.00	04/01/2015	39,172.90	10/05/2017	36,220.00	-2,952.90	-7.53%	L
19247R103	RFI	8,925.00	06/04/2015	112,721.11	10/05/2017	112,088.61	-632.50	-0.56%	L
19247R103	RFI	457.00	06/30/2015	5,517.25	10/05/2017	5,739.44	222.19	4.02%	L
19247R103	RFI	800.00	09/28/2015	9,315.03	10/05/2017	10,047.15	732.12	7.85%	L
19247R103	RFI	105.00	08/31/2017	1,350.84	10/05/2017	1,318.69	-32.15	-2.38%	S
19247R103	RFI	108.00	09/29/2017	1,351.66	10/05/2017	1,356.37	4.71	0.34%	S
194162103	CL	11.00	01/05/2017	735.24	08/04/2017	785.84	50.60	6.88%	S
194162103	CL	4.00	01/19/2017	268.68	08/04/2017	285.76	17.08	6.35%	S
194162103	CL	272.00	07/09/2014	18,916.24	08/07/2017	19,494.64	578.40	3.05%	L
194162103	CL	3.00	10/27/2014	197.55	08/07/2017	215.01	17.46	8.83%	L
194162103	CL	20.00	06/04/2015	1,327.40	08/07/2017	1,433.43	106.03	7.98%	L
194162103	CL	5.00	08/25/2015	316.05	08/07/2017	358.36	42.31	13.38%	L



3A 01040 West Fdn SEIX
3A 04730 West Fdn MMM
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3A 09710 West Bristol Fd
3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHLN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR

3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking

3A 04727 West Fdn GL FI
3A 04728 West Fdn LONDON
3A 04729 West Fdn NFJ
3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
194162103	CL	221.00	12/21/2015	14,508.82	08/07/2017	15,839.39	1,330.57	9.17%	L
19625W104	CLNS	138.00	08/09/2017	1,936.64	10/02/2017	1,740.15	-196.49	-10.14%	S
19625W104	CLNS	146.00	08/09/2017	2,048.90	10/18/2017	1,832.77	-216.13	-10.54%	S
19625W104	CLNS	80.00	08/09/2017	1,122.69	11/30/2017	974.67	-148.02	-13.18%	S
20030N101	CMCSA	22.00	01/05/2017	771.43	08/04/2017	872.50	101.07	13.10%	S
20030N101	CMCSA	4.00	01/19/2017	145.28	08/04/2017	158.64	13.36	9.19%	S
20030N101	CMCSA	602.00	07/09/2014	16,346.37	09/11/2017	22,700.36	6,353.99	38.87%	L
20030N101	CMCSA	6.00	10/27/2014	163.01	09/11/2017	226.25	63.24	38.79%	L
20030N101	CMCSA	20.00	03/27/2015	560.20	09/11/2017	754.16	193.96	34.62%	L
20030N101	CMCSA	46.00	08/10/2015	1,367.12	09/11/2017	1,734.58	367.46	26.87%	L
20030N101	CMCSA	1,080.00	07/26/2016	36,306.90	09/11/2017	40,724.90	4,418.00	12.16%	L
200340AP2		8,000.00	10/18/2016	8,046.28	10/02/2017	7,996.96	-49.32	-0.61%	S
12543DAU4		5,000.00	05/24/2016	4,925.00	10/11/2017	4,925.00	0.00	0.00%	L
12543DAU4		1,000.00	06/03/2016	985.00	10/11/2017	985.00	0.00	0.00%	L
12543DAU4		4,000.00	06/03/2016	4,020.00	10/17/2017	3,925.00	-95.00	-2.36%	L
12543DAU4		3,000.00	06/08/2016	3,030.00	10/17/2017	2,943.75	-86.25	-2.84%	L
12543DAU4		1,000.00	09/26/2017	1,006.25	10/17/2017	981.25	-25.00	-2.48%	L
12543DAU4		4,000.00	09/26/2017	4,025.00	10/20/2017	3,925.00	-100.00	-2.48%	L
12543DAU4		1,000.00	09/26/2017	1,013.75	10/20/2017	981.25	-32.50	-3.20%	L
20605PAC5		7,000.00	06/01/2016	7,229.31	01/16/2017	7,227.50	-1.81	-0.02%	S
20605PAC5		2,000.00	06/23/2016	2,070.69	01/16/2017	2,065.00	-5.69	-0.27%	S
20605PAE1		2,000.00	08/06/2015	2,000.00	02/10/2017	2,075.00	75.00	3.75%	L
20605PAE1		7,000.00	08/11/2015	6,965.00	02/10/2017	7,262.50	297.50	4.27%	L



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 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
20825C104	COP	41.00	01/05/2017	2,087.72	08/04/2017	1,864.64	-223.08	-10.68%	S
20825C104	COP	13.00	01/19/2017	650.38	08/04/2017	591.23	-59.15	-9.09%	S
20825C104	COP	1,580.00	08/24/2015	66,154.60	10/05/2017	78,409.97	12,255.37	18.52%	L
20825C104	COP	340.00	08/25/2015	15,266.00	10/05/2017	16,873.03	1,607.03	10.52%	L
20825C104	COP	1,031.00	09/28/2015	48,302.35	10/05/2017	51,164.98	2,862.63	5.92%	L
20825C104	COP	905.00	02/04/2016	31,970.66	10/05/2017	44,912.04	12,941.38	40.47%	L
20825C104	COP	140.00	07/26/2016	5,711.44	10/05/2017	6,947.72	1,236.28	21.64%	L
20854PAL3		2,000.00	02/03/2016	1,300.00	10/19/2017	2,042.50	742.50	57.11%	L
209034107	CNSL	28.00	08/09/2017	540.91	10/02/2017	539.30	-1.61	-0.29%	S
209034107	CNSL	19.00	08/09/2017	359.69	10/18/2017	371.65	11.96	3.32%	S
209034107	CNSL	16.00	08/09/2017	223.88	11/30/2017	223.88	0.00	0.00%	S
21036PAH1		2,000.00	11/05/2015	2,200.51	02/24/2017	2,286.64	86.13	3.91%	L
21036PAH1		1,000.00	11/06/2015	1,096.24	02/24/2017	1,143.32	47.08	4.29%	L
21036PAH1		1,000.00	11/06/2015	1,096.10	02/27/2017	1,141.60	45.50	4.15%	L
21036PAH1		3,000.00	11/09/2015	3,274.78	02/27/2017	3,424.80	150.02	4.58%	L
21036PAH1		2,000.00	12/18/2015	2,145.79	02/27/2017	2,283.20	137.41	6.40%	L
217204106	CPRT	1,342.00	02/09/2016	22,964.44	08/08/2017	41,346.25	18,381.81	80.04%	L
217204106	CPRT	148.00	05/25/2016	3,255.93	08/08/2017	4,559.79	1,303.86	40.04%	L
21871N101	CXW	210.00	09/10/2015	6,072.39	10/20/2017	5,473.71	-598.68	-9.85%	L
21871N101	CXW	25.00	09/11/2015	722.88	10/20/2017	651.63	-71.25	-9.85%	L
21871N101	CXW	115.00	09/22/2015	3,509.42	10/20/2017	2,997.51	-511.91	-14.58%	L
21871N101	CXW	135.00	09/23/2015	4,113.34	10/20/2017	3,518.82	-594.52	-14.45%	L
21871N101	CXW	126.00	05/04/2016	3,964.02	10/20/2017	3,284.22	-679.80	-17.14%	L
21871N101	CXW	105.00	05/25/2016	3,421.82	10/20/2017	2,736.86	-684.96	-20.01%	L
21871N101	CXW	756.00	09/27/2017	19,749.49	10/20/2017	19,705.36	-44.13	-0.22%	S



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3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn OPP EQ 3A 02479 West Fdn TW MCO 3A 04729 West Fdn NFJ

3A 07806 West Fdn QGARP 3A 09715 West Fdn RACHLN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking

3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
22160KAGO		60,000.00	09/12/2017	60,025.81	10/02/2017	59,865.00	-160.81	-0.26%	S
COSTCO WHSL CORP NTS B/E 01.750% 02/15/20									
DTD021715 FC081515 CALL@MW+10BP									
CRANE CO	CR	16.00	08/09/2017	1,202.57	10/02/2017	1,291.99	89.42	7.43%	S
CRANE CO	CR	18.00	08/09/2017	1,352.88	10/18/2017	1,484.25	131.37	9.71%	S
CRANE CO	CR	40.00	08/09/2017	3,006.42	10/30/2017	3,325.18	318.76	10.60%	S
CRANE CO	CR	10.00	08/09/2017	751.60	10/31/2017	831.13	79.53	10.58%	S
CRANE CO	CR	7.00	08/09/2017	526.13	11/30/2017	594.50	68.37	12.99%	S
CROWN AMER CAP CORP NTS 04.500% 01/15/23									
DTD071513 FC011514 CALL@MW+50BP									
CULLEN FROST BANKERS INC	CFR	2,000.00	11/15/2016	2,021.63	10/19/2017	2,093.30	71.67	3.54%	S
CULLEN FROST BANKERS INC	CFR	16.00	08/09/2017	1,441.27	10/02/2017	1,525.40	84.13	5.83%	S
CULLEN FROST BANKERS INC	CFR	22.00	08/09/2017	1,981.75	10/18/2017	2,140.55	158.80	8.01%	S
CULLEN FROST BANKERS INC	CFR	9.00	08/09/2017	810.72	11/30/2017	886.66	75.94	9.36%	S
CVS HEALTH CORP	CVS	9.00	01/05/2017	731.70	08/04/2017	702.71	-28.99	-3.96%	S
CVS HEALTH CORP	CVS	3.00	01/19/2017	249.78	08/04/2017	234.24	-15.54	-6.22%	S
CVS HEALTH CORP	CVS	197.00	07/09/2014	15,053.75	08/07/2017	15,520.78	467.03	3.10%	L
CVS HEALTH CORP	CVS	2.00	10/27/2014	169.40	08/07/2017	157.57	-11.83	-6.98%	L
CVS HEALTH CORP	CVS	5.00	09/28/2015	487.40	08/07/2017	393.93	-93.47	-19.17%	L
CVS HEALTH CORP	CVS	14.00	12/21/2015	1,332.32	08/07/2017	1,103.00	-229.32	-17.21%	L
D R HORTON INC 04.000% 02/15/20 DTD020915									
FC081515 CALL@MW+50BP									
D R HORTON INC 04.000% 02/15/20 DTD020915									
FC081515 CALL@MW+50BP									
DANAHER CORP	DHR	9,000.00	03/04/2015	9,071.75	01/27/2017	9,326.25	254.50	2.80%	L
DANAHER CORP	DHR	2,000.00	01/08/2016	2,001.90	01/27/2017	2,072.50	70.60	3.52%	L
DANAHER CORP	DHR	9.00	01/05/2017	720.26	08/04/2017	729.71	9.45	1.31%	S
DANAHER CORP	DHR	3.00	01/19/2017	241.25	08/04/2017	243.23	1.98	0.82%	S
DANAHER CORP	DHR	223.00	07/09/2014	13,155.63	08/07/2017	18,052.26	4,896.63	37.22%	L
DANAHER CORP	DHR	2.00	10/27/2014	117.09	08/07/2017	161.90	44.81	38.26%	L
DANAHER CORP	DHR	1.00	09/28/2015	63.59	08/07/2017	80.95	17.36	27.29%	L
DANAHER CORP	DHR	130.00	12/21/2015	8,992.13	08/07/2017	10,523.74	1,531.61	17.03%	L
DAVITA INC NTS B/E 05.750% 08/15/22 DTD082812									
FC021513 CALL@MW+50BP									
23918KAP3		3,000.00	06/19/2014	3,140.15	10/26/2017	3,090.60	-49.55	-1.57%	L



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3A 01040 West Fdn SEIX 3A 09710 West Bristol Ed 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI

3A 04730 West Fdn MMB 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON

3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REIN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ

3A 07806 West Fdn OGARP 3A 09715 West Fdn RACHLN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking

3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

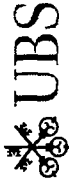
CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
23304Y100	DBSDY	20.00	06/02/2016	905.97	08/08/2017	1,227.35	321.38	35.47%	L
243537107	DECK	394.00	02/06/2013	16,257.97	08/08/2017	26,024.04	9,766.07	60.06%	L
243537107	DECK	71.00	12/23/2013	5,978.40	08/08/2017	4,689.61	-1,288.79	-21.55%	L
243537107	DECK	52.00	04/10/2014	4,152.20	08/08/2017	3,434.65	-717.55	-17.28%	L
243537107	DECK	71.00	05/25/2016	3,485.45	08/08/2017	4,689.61	1,204.16	34.54%	L
25157Y202	DPSGY	16.00	10/28/2014	490.23	01/24/2017	537.17	46.94	9.57%	L
25157Y202	DPSGY	202.00	10/28/2014	6,189.22	02/27/2017	6,868.15	678.93	10.96%	L
25157Y202	DPSGY	11.00	10/28/2014	337.04	02/28/2017	376.12	39.08	11.59%	L
25157Y202	DPSGY	67.00	10/30/2014	2,044.16	02/28/2017	2,290.95	246.79	12.07%	L
25157Y202	DPSGY	128.00	01/04/2016	3,479.68	02/28/2017	4,376.72	897.04	25.77%	L
25157Y202	DPSGY	88.00	05/25/2016	2,570.92	02/28/2017	3,009.00	438.08	17.03%	S
25470F302	DISCK	223.00	07/02/2015	6,930.39	05/01/2017	6,137.25	-793.14	-11.44%	L
25470F302	DISCK	252.00	07/02/2015	7,831.66	05/15/2017	6,380.07	-1,451.59	-18.53%	L
25470F302	DISCK	50.00	07/08/2015	1,554.50	05/15/2017	1,265.89	-288.61	-18.56%	L
25470F302	DISCK	10.00	10/13/2015	269.50	05/15/2017	253.18	-16.32	-6.05%	L
25470F302	DISCK	160.00	05/25/2016	4,075.20	05/15/2017	4,050.84	-24.36	-0.59%	S
25470XA14		2,000.00	03/20/2014	2,076.57	05/23/2017	2,120.00	43.43	2.09%	L
25470XA14		1,000.00	03/20/2014	1,038.25	05/25/2017	1,060.00	21.75	2.09%	L
25470XA14		2,000.00	04/03/2014	2,094.87	05/25/2017	2,120.00	25.13	1.19%	L
25470XA14		2,000.00	04/03/2014	2,088.28	10/19/2017	2,072.50	-15.78	-0.75%	L
25470XA14		4,000.00	04/24/2014	4,205.11	10/19/2017	4,145.00	-60.11	-1.42%	L
25470XA14		8,000.00	04/24/2014	8,410.01	10/20/2017	8,260.88	-149.13	-1.77%	L
25470XA14		4,000.00	08/31/2017	4,311.66	10/20/2017	4,130.44	-181.22	-4.20%	S
256677105	DG	187.00	04/10/2017	13,004.99	10/20/2017	15,592.39	2,587.40	19.89%	S



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CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
3A 01040 West Fdn SEIX 3A 04730 West Fdn MMM 3A 06635 West Fdn CAMB 3A 07806 West Fdn OGARP 3A 09708 West Fdn INDEX	DG	49.00	09/27/2017	3,703.91	10/20/2017	4,085.71	381.80	10.30%	S
3A 09710 West Bristol Fd 3A 08994 West Fdn MLP 3A 01039 West Fdn REIN 3A 01041 West Fdn YACKT 3A 01042 West Fdn ANCHOR	DLTR	170.00	09/04/2013	9,216.36	08/08/2017	12,869.93	3,653.57	39.64%	L
3A 01043 West Fdn ROOS 3A 01044 West Fdn TW 3A 02479 West Fdn OPP EQ 3A 03355 West Fdn TW MCO 3A 04338 West Fdn KAYNE	DLTR	146.00	12/23/2013	8,168.01	08/08/2017	11,052.99	2,884.98	35.32%	L
	DLTR	49.00	05/25/2016	3,817.45	08/08/2017	3,709.57	-107.88	-2.82%	L
	DLTR	121.00	10/13/2016	9,500.06	08/08/2017	9,160.36	-339.70	-3.57%	S
	D	174.00	10/26/2017	14,027.36	12/19/2017	14,296.71	269.35	1.92%	S
	DCI	13.00	08/09/2017	614.25	10/02/2017	602.94	-11.31	-1.84%	S
	DCI	13.00	08/09/2017	614.25	10/18/2017	613.46	-0.79	-0.12%	S
	DCI	5.00	08/09/2017	236.25	11/30/2017	248.64	12.39	5.24%	S
		204.00	02/09/2016	10,167.56	08/08/2017	10,672.89	505.33	4.97%	L
		222.00	02/10/2016	11,225.32	08/08/2017	11,614.62	389.30	3.46%	L
		130.00	04/29/2016	7,805.79	08/08/2017	6,801.35	-1,004.44	-12.86%	L
		74.00	05/25/2016	4,423.68	08/08/2017	3,871.54	-552.14	-12.48%	L
	DTE	97.00	10/26/2017	10,710.74	12/19/2017	10,659.01	-51.73	-0.48%	S
		7,000.00	03/10/2016	6,971.37	10/02/2017	7,032.55	61.18	0.87%	L
	EONGY	376.00	02/12/2016	3,556.81	06/28/2017	3,640.69	83.88	2.35%	L
	EWBC	27.00	08/09/2017	1,538.29	10/02/2017	1,620.26	81.97	5.32%	S
	EWBC	26.00	08/09/2017	1,481.32	10/18/2017	1,499.91	18.59	1.25%	S
	EWBC	12.00	08/09/2017	683.69	11/30/2017	739.54	55.85	8.16%	S
	EGP	4.00	08/09/2017	335.01	10/02/2017	352.35	17.34	5.17%	S
	EGP	5.00	08/09/2017	418.75	10/18/2017	459.05	40.30	9.62%	S
	EGP	4.00	08/09/2017	335.01	11/30/2017	375.27	40.26	12.01%	S
	EV	376.00	07/31/2012	9,981.71	08/08/2017	18,237.46	8,255.75	82.70%	L
	EV	48.00	02/06/2013	1,787.52	08/08/2017	2,328.19	540.67	30.24%	L
	EV	42.00	08/23/2013	1,661.23	08/08/2017	2,037.16	375.93	22.62%	L
	EV	120.00	12/23/2013	5,190.17	08/08/2017	5,820.47	630.30	12.14%	L
	EV	67.00	05/25/2016	2,428.75	08/08/2017	3,249.76	821.01	33.80%	L

Realized gain/loss - Year 2017 (continued)



2017 FORM 990-PF

PART IV ATTACHMENT A-1

Consolidated report prepared for Checking

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
278865100	ECL	6.00	01/05/2017	711.06	08/04/2017	796.61	85.55	12.03%	S
278865100	ECL	2.00	01/19/2017	237.62	08/04/2017	265.53	27.91	11.74%	S
278865100	ECL	170.00	07/09/2014	18,677.90	09/27/2017	22,533.83	3,855.93	20.64%	L
278865100	ECL	2.00	10/27/2014	222.44	09/27/2017	265.10	42.66	19.17%	L
278865100	ECL	10.00	12/08/2014	1,037.70	09/27/2017	1,325.52	287.82	27.73%	L
278865100	ECL	1.00	07/16/2015	114.50	09/27/2017	132.56	18.06	15.77%	L
278865100	ECL	310.00	07/26/2016	37,210.97	09/27/2017	41,091.10	3,880.13	10.42%	L
28035Q102	EPC	274.00	02/06/2013	16,959.03	08/08/2017	20,229.20	3,270.17	19.28%	L
28035Q102	EPC	45.00	12/23/2013	3,367.86	08/08/2017	3,322.31	-45.55	-1.35%	L
28035Q102	EPC	77.00	03/18/2014	5,143.37	08/08/2017	5,684.85	541.48	10.52%	L
28035Q102	EPC	88.00	06/09/2015	8,439.33	08/08/2017	6,496.97	-1,942.36	-23.01%	L
28035Q102	EPC	61.00	05/25/2016	4,895.87	08/08/2017	4,503.58	-392.29	-8.01%	L
28336LBQ1		4,000.00	12/02/2009	3,930.00	02/22/2017	4,065.32	135.32	3.44%	L
28336LBQ1		5,000.00	08/18/2010	5,014.47	02/22/2017	5,081.65	67.18	1.33%	L
28370TAE9		6,000.00	04/26/2016	6,159.58	05/10/2017	6,446.25	286.67	4.65%	L
28370TAE9		3,000.00	06/01/2016	3,081.47	05/10/2017	3,223.13	141.66	4.59%	S
28370TAE9		4,000.00	11/22/2016	4,249.07	05/10/2017	4,297.50	48.43	1.13%	S
29082A107	ERJ	73.00	08/29/2017	1,627.83	10/09/2017	1,645.03	17.20	1.05%	S
29272W109	ENR	21.00	02/06/2013	555.46	04/26/2017	1,239.39	683.93	123.12%	L
29272W109	ENR	267.00	02/06/2013	7,062.26	08/08/2017	11,064.25	4,001.99	56.66%	L
29272W109	ENR	45.00	12/23/2013	1,439.24	08/08/2017	1,864.76	425.52	29.56%	L
29272W109	ENR	77.00	03/18/2014	2,198.01	08/08/2017	3,190.82	992.81	45.16%	L
29272W109	ENR	88.00	06/09/2015	3,606.54	08/08/2017	3,646.64	40.10	1.11%	L
29272W109	ENR	418.00	12/21/2015	14,553.05	08/08/2017	17,321.57	2,768.52	19.02%	L
29272W109	ENR	91.00	05/25/2016	4,292.47	08/08/2017	3,770.96	-521.51	-12.14%	L

Realized gain/loss - Year 2017 (continued)



Consolidated report prepared for Checking

3A 01040 West Fdn SEIX
3A 04730 West Fdn MVM
3A 06635 West Fdn CAMB
3A 07806 West Fdn OGARP
3A 09708 West Fdn INDEX

3A 09710 West Bristol Fd
3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHIN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR

3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

3A 04727 West Fdn GL FI
3A 04728 West Fdn LONDON
3A 04729 West Fdn NFJ
3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
ENLINK MIDSTREAM LLC	29336T100	ENLC	87.00	08/09/2017	1,486.66	10/02/2017	1,487.67	1.01	0.06%	S
ENLINK MIDSTREAM LLC	29336T100	ENLC	96.00	08/09/2017	1,580.84	10/18/2017	1,580.84	0.00	ws11	S
ENLINK MIDSTREAM LLC	29336T100	ENLC	45.00	08/09/2017	751.33	11/30/2017	744.73	-6.60	ws12	S
ENTERCOM COMMUNICATIONS CORP	293639100	ETM	21.00	10/02/2017	247.43	10/18/2017	247.90	0.47	0.18%	S
ENTERCOM COMMUNICATIONS CORP	293639100	ETM	34.00	10/02/2017	396.26	11/30/2017	396.26	0.00	ws13	S
ENERGY CORP NEW	29364G103	ETR	29.00	08/11/2010	2,279.69	10/20/2017	2,479.94	200.25	8.78%	L
ENERGY CORP NEW	29364G103	ETR	30.00	02/05/2013	1,949.98	10/20/2017	2,565.45	615.47	31.56%	L
ENERGY CORP NEW	29364G103	ETR	40.00	12/23/2013	2,513.60	10/20/2017	3,420.60	907.00	36.08%	L
ENERGY CORP NEW	29364G103	ETR	30.00	03/04/2014	1,912.80	10/20/2017	2,565.45	652.65	34.12%	L
ENERGY CORP NEW	29364G103	ETR	15.00	10/13/2015	1,026.15	10/20/2017	1,282.73	256.58	25.00%	L
ENERGY CORP NEW	29364G103	ETR	15.00	05/25/2016	1,110.75	10/20/2017	1,282.72	171.97	15.48%	L
ENERGY CORP NEW	29364G103	ETR	11.00	07/13/2017	828.73	10/20/2017	940.67	111.94	13.50%	S
ENERGY CORP NEW	29364G103	ETR	75.00	09/27/2017	5,754.00	10/20/2017	6,413.63	659.63	11.46%	S
EPAM SYSTEMS INC	29414B104	EPAM	185.00	11/23/2016	12,504.85	10/20/2017	16,895.63	4,390.78	35.11%	S
EPAM SYSTEMS INC	29414B104	EPAM	37.00	09/27/2017	3,053.24	10/20/2017	3,379.12	325.88	10.67%	S
EPR PROPERTIES REIT	26884U109	EPR	15.00	08/09/2017	1,024.91	10/02/2017	1,046.38	21.47	2.09%	S
EPR PROPERTIES REIT	26884U109	EPR	21.00	08/09/2017	1,434.89	10/18/2017	1,493.91	59.02	4.11%	S
EPR PROPERTIES REIT	26884U109	EPR	12.00	08/09/2017	819.38	11/30/2017	810.94	-8.44	-1.03%	S
ESTERLINE TECHNOLOGIES CORP	297425100	ESL	57.00	06/24/2015	5,453.05	10/20/2017	5,513.77	60.72	1.11%	L
ESTERLINE TECHNOLOGIES CORP	297425100	ESL	44.00	06/25/2015	4,209.76	10/20/2017	4,256.24	46.48	1.10%	L
ESTERLINE TECHNOLOGIES CORP	297425100	ESL	90.00	09/04/2015	6,899.35	10/20/2017	8,705.95	1,806.60	26.18%	L
ESTERLINE TECHNOLOGIES CORP	297425100	ESL	75.00	05/25/2016	5,052.00	10/20/2017	7,254.96	2,202.96	43.60%	L
ESTERLINE TECHNOLOGIES CORP	297425100	ESL	45.00	09/27/2017	3,816.00	10/20/2017	4,352.98	536.98	14.07%	S
EXPEDITORS INTL WASH INC	302130109	EXPD	70.00	08/23/2013	2,870.69	10/20/2017	4,128.85	1,258.16	43.82%	L
EXPEDITORS INTL WASH INC	302130109	EXPD	5.00	12/11/2013	212.50	10/20/2017	294.92	82.42	38.78%	L
EXPEDITORS INTL WASH INC	302130109	EXPD	45.00	12/23/2013	1,958.95	10/20/2017	2,654.27	695.32	35.49%	L
EXPEDITORS INTL WASH INC	302130109	EXPD	75.00	03/04/2014	2,969.25	10/20/2017	4,423.77	1,454.52	48.98%	L



3A 01040 West Fdn SEIX 3A 09710 West Bristol Ed 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
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 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REIN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ
 3A 07806 West Fdn QGARP 3A 09715 West Fdn RACHLN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
EXPEDITORS INTL WASH INC	302130109	EXPD	45.00	05/25/2016	2,215.35	10/20/2017	2,654.26	438.91	19.81%	L
EXPEDITORS INTL WASH INC	302130109	EXPD	80.00	09/27/2017	4,736.40	10/20/2017	4,718.69	-17.71	-0.37%	S
EXXON MOBIL CORP	30231G102	XOM	23.00	01/05/2017	2,040.79	08/04/2017	1,845.71	-195.08	-9.55%	S
EXXON MOBIL CORP	30231G102	XOM	9.00	01/19/2017	765.54	08/04/2017	722.23	-43.31	-5.65%	S
EXXON MOBIL CORP	30231G102	XOM	820.00	08/24/2015	55,694.40	10/04/2017	66,950.43	11,256.03	20.21%	L
EXXON MOBIL CORP	30231G102	XOM	260.00	08/25/2015	18,396.84	10/04/2017	21,228.19	2,831.35	15.39%	L
EXXON MOBIL CORP	30231G102	XOM	698.00	09/28/2015	51,041.81	10/04/2017	56,989.51	5,947.70	11.65%	L
EXXON MOBIL CORP	30231G102	XOM	10.00	04/18/2016	849.60	10/04/2017	816.47	-33.13	-3.89%	L
EXXON MOBIL CORP B/E 03 043% 030126 DTD030316 FC090116 CALL@MMW+20BP	30231GAT9		60,000.00	03/15/2016	60,591.74	10/02/2017	61,121.40	529.66	0.87%	L
EXXON MOBIL CORP B/E 03 043% 030126 DTD030316 FC090116 CALL@MMW+20BP	30231GAT9		4,000.00	07/25/2016	4,248.70	10/02/2017	4,074.76	-173.94	-4.09%	L
FACEBOOK INC CL A	30303M102	FB	170.00	06/04/2015	13,892.40	08/04/2017	28,793.53	14,901.13	107.26%	L
FACEBOOK INC CL A	30303M102	FB	10.00	08/25/2015	866.70	08/04/2017	1,693.73	827.03	95.42%	L
FACEBOOK INC CL A	30303M102	FB	10.00	04/18/2016	1,097.90	08/04/2017	1,693.74	595.84	54.27%	L
FACEBOOK INC CL A	30303M102	FB	295.00	07/26/2016	35,723.85	08/04/2017	49,965.24	14,241.39	39.86%	L
FACEBOOK INC CL A	30303M102	FB	6.00	01/05/2017	724.50	08/04/2017	1,015.90	291.40	40.22%	S
FACEBOOK INC CL A	30303M102	FB	2.00	01/19/2017	255.52	08/04/2017	338.63	83.11	32.52%	S
FACEBOOK INC CL A	30303M102	FB	46.00	12/21/2015	4,782.27	08/07/2017	7,881.46	3,099.19	64.80%	L
FASTENAL CO	311900104	FAST	117.00	07/14/2015	4,909.06	01/04/2017	5,514.27	605.21	12.32%	L
FASTENAL CO	311900104	FAST	10.00	05/25/2016	457.60	01/04/2017	471.31	13.71	2.99%	S
FIDELITY NATIONAL FINANCIAL IN COM	31620R303	FNF	55.00	08/09/2017	1,916.22	10/18/2017	1,916.22	0.00	0.00%	S
FIDELITY NATIONAL FINANCIAL IN COM	31620R303	FNF	175.00	08/09/2017	6,184.31	11/20/2017	6,949.84	765.53	12.37%	S
FIDELITY NATIONAL FINANCIAL IN COM	31620R303	FNF	22.00	08/09/2017	777.45	11/30/2017	888.78	111.33	14.31%	S
FIDELITY NATIONAL FINANCIAL IN COM	31620R303	FNF	123.00	08/09/2017	4,346.69	12/07/2017	4,886.45	539.76	12.41%	S
FIDELITY NATIONAL FINANCIAL IN COM	31620R303	FNF	66.00	08/09/2017	2,332.37	12/08/2017	2,626.60	294.23	12.61%	S
FIRST AMERN FINL CORP COM	31847R102	FAF	125.00	04/01/2011	2,050.31	10/20/2017	6,296.73	4,246.42	207.11%	L
FIRST AMERN FINL CORP COM	31847R102	FAF	225.00	07/22/2013	5,057.57	10/20/2017	11,334.11	6,276.54	124.10%	L



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3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
 3A 04730 West Fdn MMM 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REIN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ
 3A 07806 West Fdn OGARP 3A 09715 West Fdn RACHLN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MICO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
31847R102	FAF	55.00	12/23/2013	1,535.60	10/20/2017	2,770.56	1,234.96	80.42%	L
31847R102	FAF	195.00	03/04/2014	5,153.85	10/20/2017	9,822.90	4,669.05	90.59%	L
31847R102	FAF	170.00	05/25/2016	6,492.30	10/20/2017	8,563.55	2,071.25	31.90%	L
31847R102	FAF	386.00	09/27/2017	18,738.37	10/20/2017	19,444.30	705.93	3.76%	S
32054K103	FR	204.00	08/23/2013	3,094.71	08/08/2017	6,116.43	3,021.72	97.64%	L
32054K103	FR	432.00	11/07/2013	7,596.62	08/08/2017	12,952.45	5,355.83	70.50%	L
32054K103	FR	213.00	12/23/2013	3,701.61	08/08/2017	6,386.27	2,684.66	72.52%	L
32054K103	FR	103.00	05/25/2016	2,551.11	08/08/2017	3,088.20	537.09	21.05%	L
337344105	QQEW	63.00	01/05/2017	2,983.04	08/04/2017	3,425.92	442.88	14.84%	S
337344105	QQEW	18.00	01/19/2017	868.48	08/04/2017	978.84	110.36	12.70%	S
337344105	QQEW	5,055.00	03/27/2015	219,538.65	08/08/2017	275,820.22	56,281.57	25.63%	L
337344105	QQEW	13.00	06/30/2015	568.23	08/08/2017	709.33	141.10	24.83%	L
337344105	QQEW	195.00	08/25/2015	7,996.93	08/08/2017	10,639.95	2,643.02	33.05%	L
337344105	QQEW	40.00	02/04/2016	1,569.20	08/08/2017	2,182.55	613.35	39.08%	L
341081FM4		108,000.00	11/08/2016	113,545.57	10/02/2017	110,090.88	-3,454.69	-3.04%	S
349553107	FTS	16.00	08/09/2017	576.42	10/02/2017	576.71	0.29	0.05%	S
349553107	FTS	12.00	08/09/2017	432.32	10/18/2017	447.24	14.92	3.45%	S
349553107	FTS	10.00	08/09/2017	360.26	11/30/2017	366.89	6.63	1.84%	S
354613101	BEN	361.00	07/07/2016	11,735.32	10/20/2017	16,278.05	4,542.73	38.70%	L
354613101	BEN	160.00	10/13/2016	5,446.19	10/20/2017	7,214.65	1,768.46	32.47%	L
354613101	BEN	111.00	11/09/2016	4,237.11	10/20/2017	5,005.16	768.05	18.12%	S
354613101	BEN	223.00	09/27/2017	9,745.10	10/20/2017	10,055.42	310.32	3.18%	S
358029106	FMS	85.00	01/27/2016	3,717.44	10/25/2017	4,142.19	424.75	11.42%	L
358029106	FMS	50.00	01/29/2016	2,191.69	10/25/2017	2,436.59	244.90	11.17%	L



3A 01040 West Fdn SEIX	3A 00893 West Fdn	3A 01043 West Fdn ROOS	3A 04727 West Fdn GL FI
3A 04730 West Fdn MMM	3A 00894 West Fdn MIP	3A 01044 West Fdn TW	3A 04728 West Fdn LONDON
3A 06635 West Fdn CAMB	3A 01039 West Fdn REIN	3A 02479 West Fdn OPP EQ	3A 04729 West Fdn NFI
3A 07806 West Fdn QGARP	3A 01041 West Fdn YACKT	3A 03355 West Fdn TW MCO	3A 09676 Checking
3A 09708 West Fdn INDEX	3A 01042 West Fdn ANCHOR	3A 04338 West Fdn KAYNE	

Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
FRESENIUS MEDICAL CARE AG & CO KGAA SPON ADR	358029106	FMS	122.00	01/29/2016	5,347.72	10/26/2017	5,890.65	542.93	10.15%	L
FRESENIUS MEDICAL CARE AG & CO KGAA SPON ADR	358029106	FMS	110.00	05/25/2016	4,735.80	10/26/2017	5,311.24	575.44	12.15%	L
FRESENIUS MEDICAL CARE AG & CO KGAA SPON ADR	358029106	FMS	94.00	08/07/2017	4,320.50	10/26/2017	4,538.69	218.19	5.05%	S
FRESENIUS MEDICAL CARE AG & CO KGAA SPON ADR	358029106	FMS	52.00	10/05/2017	2,548.43	10/26/2017	2,510.77	-37.66	-1.47%	S
FT-PREFERRED SECUR & INC ETF	33739E108	FPE	235.00	01/05/2017	4,501.40	08/04/2017	4,749.24	247.84	5.50%	S
FT-PREFERRED SECUR & INC ETF	33739E108	FPE	71.00	01/19/2017	1,364.49	08/04/2017	1,434.88	70.39	5.15%	S
FT-PREFERRED SECUR & INC ETF	33739E108	FPE	8,789.00	03/27/2015	168,383.82	10/04/2017	176,479.98	8,096.16	4.80%	L
FT-PREFERRED SECUR & INC ETF	33739E108	FPE	7,992.00	06/30/2015	151,451.84	10/04/2017	160,476.51	9,024.67	5.95%	L
FT-PREFERRED SECUR & INC ETF	33739E108	FPE	231.00	07/16/2015	4,407.13	10/04/2017	4,638.39	231.26	5.24%	L
FT-PREFERRED SECUR & INC ETF	33739E108	FPE	1,305.00	04/18/2016	24,502.92	10/04/2017	26,203.94	1,701.02	6.94%	L
FT-PREFERRED SECUR & INC ETF	33739E108	FPE	5,065.00	04/17/2017	99,444.53	10/04/2017	101,703.39	2,258.86	2.27%	S
GALLAGHER ARTHUR J & CO	363576109	AIG	19.00	08/09/2017	1,118.66	10/02/2017	1,169.82	51.16	4.57%	S
GALLAGHER ARTHUR J & CO	363576109	AIG	14.00	08/09/2017	824.28	10/18/2017	867.99	43.71	5.30%	S
GALLAGHER ARTHUR J & CO	363576109	AIG	11.00	08/09/2017	647.64	11/30/2017	724.55	76.91	11.87%	S
GARMIN LTD SHS CHF	H2906T109	GRMN	19.00	08/09/2017	992.42	10/02/2017	1,020.68	28.26	2.84%	S
GARMIN LTD SHS CHF	H2906T109	GRMN	18.00	08/09/2017	940.19	10/18/2017	988.54	48.35	5.14%	S
GARMIN LTD SHS CHF	H2906T109	GRMN	59.00	08/09/2017	3,081.73	10/24/2017	3,323.80	242.07	7.85%	S
GARMIN LTD SHS CHF	H2906T109	GRMN	6.00	08/09/2017	313.40	11/30/2017	373.26	59.86	19.10%	S
GE CPTL INTL FNDG CO 03 373% 111525 DTD051516 FC111516 CALL@MW+20BP	36164Q6M5		55,000.00	07/20/2016	59,319.35	10/02/2017	56,873.85	-2,445.50	-4.12%	L
GEMALTO NV SPON ADR	36863N208	GTOMY	25.00	11/02/2015	804.61	05/05/2017	748.12	-56.49	-7.02%	L
GEMALTO NV SPON ADR	36863N208	GTOMY	260.00	11/02/2015	8,367.94	05/23/2017	7,880.90	-487.04	-5.82%	L
GEMALTO NV SPON ADR	36863N208	GTOMY	94.00	01/04/2016	2,742.45	05/23/2017	2,849.24	106.79	3.89%	L
GEMALTO NV SPON ADR	36863N208	GTOMY	86.00	05/25/2016	2,666.86	05/23/2017	2,606.76	-60.10	-2.25%	S
GENUINE PARTS CO	372460105	GPC	14.00	12/01/2009	511.81	04/10/2017	1,261.44	749.63	146.46%	L
GENUINE PARTS CO	372460105	GPC	15.00	08/11/2010	651.15	04/10/2017	1,351.54	700.39	107.56%	L
GENUINE PARTS CO	372460105	GPC	4.00	10/15/2010	193.09	04/10/2017	360.41	167.32	86.65%	L
GENUINE PARTS CO	372460105	GPC	46.00	10/15/2010	2,220.57	10/20/2017	4,067.69	1,847.12	83.18%	L



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3A 07806 West Fdn QGARP	3A 09715 West Fdn RACHLN	3A 01041 West Fdn YACKT	3A 03355 West Fdn TW MCO
3A 09708 West Fdn INDEX	3A 09843 West Fdn KAYNE	3A 01042 West Fdn ANCHOR	3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
GENUINE PARTS CO	GPC	30.00	12/18/2012	1,904.92	10/20/2017	2,652.84	747.92	39.26%	L
GENUINE PARTS CO	GPC	25.00	02/05/2013	1,723.61	10/20/2017	2,210.70	487.09	28.25%	L
GENUINE PARTS CO	GPC	55.00	12/23/2013	4,538.60	10/20/2017	4,863.55	324.95	7.15%	L
GENUINE PARTS CO	GPC	35.00	03/04/2014	3,083.15	10/20/2017	3,094.98	11.83	0.38%	L
GENUINE PARTS CO	GPC	5.00	10/13/2015	425.30	10/20/2017	442.14	16.84	3.95%	L
GENUINE PARTS CO	GPC	20.00	05/25/2016	1,907.20	10/20/2017	1,768.56	-138.64	-7.26%	L
GENUINE PARTS CO	GPC	86.00	09/27/2017	7,222.71	10/20/2017	7,604.81	382.10	5.29%	S
GILEAD SCIENCES INC	GILD	497.00	01/05/2017	37,921.02	05/25/2017	32,178.63	-5,742.39	-15.14%	S
GLOBUS MED INC CL A	GMED	78.00	10/07/2016	1,788.56	10/20/2017	2,383.87	595.31	33.28%	L
GLOBUS MED INC CL A	GMED	64.00	10/10/2016	1,484.71	10/20/2017	1,955.99	471.28	31.74%	L
GLOBUS MED INC CL A	GMED	375.00	10/11/2016	8,585.18	10/20/2017	11,460.91	2,875.73	33.49%	L
GLOBUS MED INC CL A	GMED	126.00	09/27/2017	3,718.89	10/20/2017	3,850.86	131.97	3.54%	S
GOODYEAR TIRE & RUBBER 04 875% 031527 DTD030717 FC091517 CALL @MW+50BP		2,000.00	05/03/2017	2,002.41	10/19/2017	2,057.00	54.59	2.72%	S
GOODYEAR TIRE & RUBBER 07 000% 051522 DTD022812 FC111512 CO NTS B/E		4,000.00	09/24/2015	4,212.38	05/15/2017	4,140.00	-72.38	-1.71%	L
GOODYEAR TIRE & RUBBER 07 000% 051522 DTD022812 FC111512 CO NTS B/E		2,000.00	09/25/2015	2,106.23	05/15/2017	2,070.00	-36.23	-1.72%	L
GOODYEAR TIRE & RUBBER 07 000% 051522 DTD022812 FC111512 CO NTS B/E		2,000.00	09/29/2015	2,094.64	05/15/2017	2,070.00	-24.64	-1.17%	L
GOODYEAR TIRE & RUBBER 07 000% 051522 DTD022812 FC111512 CO NTS B/E		5,000.00	06/10/2016	5,313.07	05/15/2017	5,175.00	-138.07	-2.59%	S
GRAMERCY PPTY TRUST REIT	GPT	132.00	08/09/2017	3,822.06	09/06/2017	4,038.96	216.90	5.67%	S
GRAMERCY PPTY TRUST REIT	GPT	69.00	08/09/2017	1,989.93	10/18/2017	2,110.67	120.74	6.06%	S
GRAMERCY PPTY TRUST REIT	GPT	31.00	08/09/2017	894.02	11/30/2017	881.65	-12.37	-1.38%	S
GREAT PLAINS ENERGY INC	GXP	32.00	08/09/2017	1,008.32	10/02/2017	983.34	-24.98	-2.47%	S
GREAT PLAINS ENERGY INC	GXP	40.00	08/09/2017	1,260.39	10/18/2017	1,278.77	18.38	1.45%	S
GREAT PLAINS ENERGY INC	GXP	27.00	08/09/2017	850.77	11/30/2017	925.00	74.23	8.72%	S
H B FULLER CO	FUL	6.00	09/13/2017	332.00	10/02/2017	349.86	17.86	5.37%	S
H B FULLER CO	FUL	8.00	09/13/2017	442.66	10/18/2017	456.64	13.98	3.15%	S

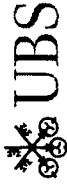


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3A 04729 West Fdn NFJ
3A 09676 Checking

Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
H B FULLER CO	FUL	9.00	09/13/2017	498.00	11/30/2017	507.59	9.59	1.92%	S
HAEMONETICS CORP MASS	HAE	50.00	03/16/2011	1,577.52	09/27/2017	2,073.45	495.93	31.43%	L
HAEMONETICS CORP MASS	HAE	80.00	06/03/2011	2,645.96	09/27/2017	3,317.53	671.57	25.38%	L
HAEMONETICS CORP MASS	HAE	35.00	02/05/2013	1,455.75	09/27/2017	1,451.41	-4.34	-0.29%	L
HAEMONETICS CORP MASS	HAE	25.00	05/16/2013	999.34	09/27/2017	1,036.73	37.39	3.74%	L
HAEMONETICS CORP MASS	HAE	10.00	05/16/2013	399.74	10/20/2017	457.24	57.50	14.38%	L
HAEMONETICS CORP MASS	HAE	70.00	12/23/2013	2,996.00	10/20/2017	3,200.68	204.68	6.83%	L
HAEMONETICS CORP MASS	HAE	150.00	03/04/2014	5,437.50	10/20/2017	6,858.59	1,421.09	26.13%	L
HAEMONETICS CORP MASS	HAE	25.00	10/13/2015	814.00	10/20/2017	1,143.10	329.10	40.42%	L
HAEMONETICS CORP MASS	HAE	185.00	05/25/2016	5,170.75	10/20/2017	8,458.93	3,288.18	63.59%	L
HAIN CELESTIAL GROUP INC	HAIN	317.00	12/01/2016	12,355.61	10/20/2017	11,878.67	-476.94	-3.86%	S
HAIN CELESTIAL GROUP INC	HAIN	247.00	02/17/2017	8,623.81	10/20/2017	9,255.61	631.80	7.32%	S
HAIN CELESTIAL GROUP INC	HAIN	84.00	07/13/2017	3,314.73	10/20/2017	3,147.66	-167.07	-5.04%	S
HAIN CELESTIAL GROUP INC	HAIN	295.00	09/27/2017	12,748.43	10/20/2017	11,054.28	-1,694.15	-13.28%	S
HARDING LOEVNER INTERNATIONAL EQUITY FUND	HLMIX	239.33	03/23/2017	4,667.00	08/08/2017	5,169.59	502.59	10.76%	S
HARDING LOEVNER INTERNATIONAL EQUITY FUND	HLMIX	14,410.70	03/21/2017	280,000.00	09/29/2017	319,341.22	39,341.22	14.05%	S
HARRIS CORP DELA	HRS	43.00	08/09/2017	5,068.32	09/06/2017	5,258.62	190.30	3.75%	S
HARRIS CORP DELA	HRS	51.00	08/09/2017	6,011.27	09/19/2017	6,587.63	576.36	9.58%	S
HARRIS CORP DELA	HRS	41.00	08/09/2017	4,832.59	09/25/2017	5,337.40	504.81	10.44%	S
HARRIS CORP DELA	HRS	41.00	08/09/2017	4,832.59	10/02/2017	5,426.63	594.04	12.29%	S
HARTFORD FINCL SERVICES GROUP INC	HIG	34.00	01/29/2014	1,128.47	09/08/2017	1,767.94	639.47	56.66%	L
HARTFORD FINCL SERVICES GROUP INC	HIG	13.00	01/29/2014	431.48	09/27/2017	729.74	298.26	69.12%	L
HARTFORD FINCL SERVICES GROUP INC	HIG	53.00	01/29/2014	1,759.09	10/20/2017	2,995.23	1,236.14	70.27%	L
HARTFORD FINCL SERVICES GROUP INC	HIG	25.00	02/20/2014	850.42	10/20/2017	1,412.84	562.42	66.13%	L
HARTFORD FINCL SERVICES GROUP INC	HIG	20.00	02/26/2014	681.96	10/20/2017	1,130.27	448.31	65.73%	L
HARTFORD FINCL SERVICES GROUP INC	HIG	160.00	03/04/2014	5,644.80	10/20/2017	9,042.20	3,397.40	60.18%	L
HARTFORD FINCL SERVICES GROUP INC	HIG	5.00	03/05/2014	179.50	10/20/2017	287.56	103.06	57.41%	L



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 3A 04338 West Fdn KAYNE
 3A 04728 West Fdn LONDON
 3A 04729 West Fdn NFJ
 3A 09676 Checking

Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
416515104	HIG	80.00	05/25/2016	3,648.80	10/20/2017	4,521.10	872.30	23.90%	L
418056107	HAS	135.00	10/14/2013	6,276.00	08/08/2017	13,741.58	7,465.58	118.95%	L
418056107	HAS	71.00	12/23/2013	3,768.50	08/08/2017	7,227.05	3,458.55	91.77%	L
418056107	HAS	1.00	12/23/2013	53.08	10/02/2017	97.44	44.36	83.57%	L
418056107	HAS	3.00	12/23/2013	159.23	10/18/2017	290.00	130.77	82.12%	L
418056107	HAS	28.00	12/02/2009	856.71	10/20/2017	2,734.84	1,878.13	219.22%	L
418056107	HAS	25.00	03/19/2010	952.07	10/20/2017	2,441.82	1,489.75	156.47%	L
418056107	HAS	20.00	08/11/2010	860.80	10/20/2017	1,953.45	1,092.65	126.93%	L
418056107	HAS	50.00	09/06/2012	1,891.29	10/20/2017	4,883.64	2,992.35	158.21%	L
418056107	HAS	50.00	02/05/2013	1,886.00	10/20/2017	4,883.63	2,997.63	158.94%	L
418056107	HAS	55.00	12/23/2013	2,919.95	10/20/2017	5,372.00	2,452.05	83.97%	L
418056107	HAS	65.00	03/04/2014	3,577.60	10/20/2017	6,348.73	2,771.13	77.45%	L
418056107	HAS	35.00	05/13/2015	2,467.98	10/20/2017	3,418.55	950.57	38.51%	L
418056107	HAS	10.00	05/25/2016	865.00	10/20/2017	976.73	111.73	12.91%	L
418056107	HAS	246.00	09/27/2017	25,433.94	10/20/2017	24,027.49	-1,406.45	-5.52%	S
418056107	HAS	5.00	12/23/2013	265.39	11/30/2017	465.50	200.11	75.40%	L
419879101	HA	7.00	11/09/2017	231.28	11/30/2017	301.03	69.75	30.15%	S
404119857		2,000.00	10/05/2016	2,105.00	10/16/2017	2,105.00	0.00	0.00%	L
404119857		11,000.00	10/05/2016	11,676.09	10/17/2017	11,550.00	-126.09	-1.07%	L
404119857		3,000.00	09/19/2017	3,223.28	10/17/2017	3,150.00	-73.28	-2.27%	S
404119857		2,000.00	09/19/2017	2,166.82	10/17/2017	2,100.00	-66.82	-3.08%	L
4041198M0		2,000.00	05/15/2014	2,008.45	10/20/2017	2,035.10	26.65	1.32%	L
40415F101	HDB	80.00	08/29/2017	7,584.08	10/09/2017	7,419.73	-164.35	-2.16%	S
40415F101	HDB	10.00	08/29/2017	956.30	12/04/2017	945.08	-11.22	-1.17%	S
40415F101	HDB	62.00	08/30/2017	5,968.21	12/04/2017	5,859.53	-108.68	-1.82%	S



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Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
40415F101	HDB	23.00	10/25/2017	2,116.28	12/04/2017	2,173.69	57.41	2.71%	S
G4388N106	HELE	30.00	01/26/2017	2,788.48	10/20/2017	2,826.08	37.60	1.34%	S
G4388N106	HELE	107.00	01/21/2017	9,933.74	10/20/2017	10,079.71	145.97	1.46%	S
G4388N106	HELE	61.00	09/27/2017	6,138.13	10/20/2017	5,746.37	-391.76	-6.38%	S
427096508	HTGC	61.00	08/09/2017	814.13	10/02/2017	782.61	-31.52	-3.87%	S
427096508	HTGC	76.00	08/09/2017	1,014.33	10/18/2017	963.74	-50.59	-4.98%	S
427096508	HTGC	22.00	08/09/2017	293.62	11/30/2017	295.03	1.41	0.48%	S
427096508	HTGC	44.00	08/09/2017	587.24	12/18/2017	571.53	-15.71	-2.67%	S
427096508	HTGC	178.00	08/09/2017	2,375.66	12/19/2017	2,275.89	-99.77	-4.19%	S
427866108	HSY	113.00	11/25/2015	9,831.00	10/20/2017	12,336.88	2,505.88	25.48%	L
427866108	HSY	15.00	05/25/2016	1,371.60	10/20/2017	1,637.64	266.04	19.39%	L
427866108	HSY	47.00	09/27/2017	4,949.10	10/20/2017	5,131.27	182.17	3.68%	S
428040CJ6		4,000.00	05/31/2016	4,056.93	02/14/2017	3,990.00	-66.93	-1.64%	S
42809H107	HES	214.00	01/29/2016	8,915.71	10/20/2017	9,621.84	706.13	7.92%	L
42809H107	HES	56.00	03/11/2016	2,867.68	10/20/2017	2,517.86	-349.82	-12.19%	L
42809H107	HES	35.00	05/25/2016	2,057.30	10/20/2017	1,573.67	-483.63	-23.50%	L
42809H107	HES	308.00	09/27/2017	13,362.58	10/20/2017	13,848.25	485.67	3.63%	S
43283X105	HGV	0.90	12/21/2015	17.77	01/04/2017	23.96	6.19	34.83%	L
43283X105	HGV	198.60	12/21/2015	3,921.14	01/05/2017	5,023.58	1,102.44	28.11%	L
43283X105	HGV	32.40	06/30/2016	673.07	01/05/2017	819.56	146.49	21.76%	S
43300A203	HLT	665.00	12/21/2015	29,459.30	01/05/2017	38,090.54	8,631.24	29.29%	L
43300A203	HLT	108.00	06/30/2016	5,033.94	01/05/2017	6,186.13	1,152.19	22.88%	S
404251100	HNI	48.00	08/09/2017	1,743.19	10/02/2017	2,018.11	274.92	15.77%	S
404251100	HNI	41.00	08/09/2017	1,488.97	10/18/2017	1,753.93	264.96	17.79%	S
404251100	HNI	20.00	08/09/2017	726.33	11/30/2017	697.80	-28.53	-3.92%	S
436106108	HFC	275.00	08/09/2017	7,972.01	10/02/2017	9,930.96	1,958.95	24.57%	S
436106108	HFC	118.00	08/09/2017	3,420.72	10/06/2017	4,123.71	702.99	20.55%	S



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3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHIN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR

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3A 03355 West Fdn TW MCO
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Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
436106108	HFC	34.00	08/09/2017	985.63	10/18/2017	1,234.54	248.91	25.25%	S
436106108	HFC	22.00	08/09/2017	637.76	11/30/2017	977.22	339.46	53.22%	S
437076102	HD	6.00	01/05/2017	803.70	08/04/2017	911.81	108.11	13.45%	S
437076102	HD	1.00	01/19/2017	135.48	08/04/2017	151.97	16.49	12.17%	S
437076102	HD	149.00	07/09/2014	11,957.70	09/27/2017	22,866.50	10,908.80	91.22%	L
437076102	HD	2.00	10/27/2014	191.12	09/27/2017	306.93	115.81	60.59%	L
437076102	HD	5.00	06/04/2015	557.25	09/27/2017	767.34	210.09	37.70%	L
437076102	HD	275.00	07/26/2016	37,662.76	09/27/2017	42,203.27	4,540.51	12.05%	L
4385168A3		47,000.00	03/19/2012	49,457.38	10/02/2017	50,289.53	832.15	1.68%	L
4385168A3		8,000.00	12/18/2015	8,535.99	10/02/2017	8,559.92	23.93	0.28%	L
4385168A3		5,000.00	07/25/2016	5,455.37	10/02/2017	5,349.95	-105.42	-1.93%	L
43940T109	HOPE	68.00	08/09/2017	1,165.31	10/02/2017	1,216.50	51.19	4.39%	S
43940T109	HOPE	69.00	08/09/2017	1,182.45	10/18/2017	1,227.55	45.10	3.81%	S
43940T109	HOPE	27.00	08/09/2017	462.69	11/30/2017	504.62	41.93	9.06%	S
44106M102	HPT	48.00	01/05/2017	1,501.28	08/04/2017	1,379.50	-121.78	-8.11%	S
44106M102	HPT	15.00	01/19/2017	464.17	08/04/2017	431.09	-33.08	-7.12%	S
44106M102	HPT	2,886.00	06/04/2015	83,907.56	08/08/2017	82,719.44	-1,188.12	-1.41%	L
44106M102	HPT	418.00	08/10/2015	11,102.97	08/08/2017	11,980.85	877.88	7.90%	L
44106M102	HPT	90.00	09/28/2015	2,237.31	08/08/2017	2,579.61	342.30	15.29%	L
44106M102	HPT	350.00	02/04/2016	7,954.05	08/08/2017	10,031.81	2,077.76	26.12%	L
404280406	HSBC	107.00	10/09/2014	5,405.35	05/04/2017	4,566.90	-838.45	-15.51%	L
404280406	HSBC	58.00	05/19/2015	2,775.30	05/04/2017	2,475.51	-299.79	-10.80%	L
404280406	HSBC	30.00	01/04/2016	1,149.47	05/04/2017	1,280.44	130.97	11.39%	L
443510607	HUBB	9.00	08/09/2017	1,064.97	10/02/2017	1,056.41	-8.56	-0.80%	S
443510607	HUBB	6.00	08/09/2017	709.98	10/18/2017	721.19	11.21	1.57%	S
443510607	HUBB	3.00	08/09/2017	354.99	11/30/2017	376.70	21.71	6.11%	S



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3A 09710 West Bristol Fd
3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHLN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR
3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking

3A 04727 West Fdn GL FI

3A 04728 West Fdn LONDON

3A 04729 West Fdn NFJ

3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
HUNTINGTON BANCSHARES	446150104	HBAN	980.00	03/09/2016	9,161.82	10/20/2017	13,857.86	4,696.04	51.25%	L
HUNTINGTON BANCSHARES	446150104	HBAN	155.00	05/25/2016	1,613.55	10/20/2017	2,191.80	578.25	35.83%	L
HUNTINGTON BANCSHARES	446150104	HBAN	895.00	06/24/2016	7,840.65	10/20/2017	12,655.90	4,815.25	61.41%	L
HUNTINGTON BANCSHARES	446150104	HBAN	742.00	09/27/2017	9,864.89	10/20/2017	10,492.38	627.49	6.36%	S
HUNTSMAN CORP	447011107	HUN	10.00	08/09/2017	255.67	10/02/2017	276.90	21.23	8.30%	S
HUNTSMAN CORP	447011107	HUN	43.00	08/09/2017	1,099.38	10/18/2017	1,242.24	142.86	12.99%	S
HUNTSMAN CORP	447011107	HUN	26.00	08/09/2017	664.74	11/30/2017	832.24	167.50	25.19%	S
ICAHN ENTERPRISES/FIN 06 000% 080120 DTD080113 FC020114 NTS B/E	451102AX5		3,000.00	02/25/2014	3,108.31	10/26/2017	3,095.70	-12.61	-0.40%	L
IDEX CORP	45167R104	IEX	5.00	08/09/2017	582.49	10/02/2017	610.94	28.45	4.88%	S
IDEX CORP	45167R104	IEX	6.00	08/09/2017	699.00	10/18/2017	749.11	50.11	7.16%	S
IDEX CORP	45167R104	IEX	2.00	08/09/2017	232.99	11/30/2017	269.39	36.40	15.62%	S
INGREDION INC COM	457187102	INGR	8.00	08/09/2017	981.04	10/18/2017	986.70	5.66	0.57%	S
INGREDION INC COM	457187102	INGR	5.00	08/09/2017	613.15	11/30/2017	692.08	78.93	12.87%	S
INTERCONTINENTALEXCHANGE GROUP	45866F104	ICE	13.00	01/05/2017	739.93	08/04/2017	843.42	103.49	13.98%	S
INTERCONTINENTALEXCHANGE GROUP	45866F104	ICE	4.00	01/19/2017	229.20	08/04/2017	259.51	30.31	13.22%	S
INTERCONTINENTALEXCHANGE GROUP	45866F104	ICE	395.00	07/09/2014	14,605.92	08/08/2017	25,492.79	10,886.87	74.53%	L
INTERCONTINENTALEXCHANGE GROUP	45866F104	ICE	5.00	10/27/2014	205.95	08/08/2017	322.69	116.74	56.68%	L
INTERCONTINENTALEXCHANGE GROUP	45866F104	ICE	25.00	01/16/2015	1,034.00	08/08/2017	1,613.47	579.47	56.04%	L
INTERCONTINENTALEXCHANGE GROUP	45866F104	ICE	700.00	07/26/2016	36,656.75	08/08/2017	45,177.10	8,520.35	23.24%	L
INTESA SANPAOLO SPON ADR	46115H107	ISNPY	250.00	03/10/2016	4,398.72	03/03/2017	3,644.87	-753.85	-17.13%	S
INTESA SANPAOLO SPON ADR	46115H107	ISNPY	180.00	03/15/2016	3,188.31	03/03/2017	2,624.31	-564.00	-17.68%	S
INTESA SANPAOLO SPON ADR	46115H107	ISNPY	114.00	06/01/2016	1,743.81	03/03/2017	1,662.06	-81.75	-4.68%	S
INTESA SANPAOLO SPON ADR	46115H107	ISNPY	248.00	06/01/2016	3,793.55	08/07/2017	5,106.22	1,312.67	34.60%	L
INTL LEASE FIN CORP NTS 08:250% 121520 DTD120710 FC061511 B/E	459745GF6		4,000.00	04/13/2012	4,178.01	03/03/2017	4,745.60	567.59	13.58%	L
INTL LEASE FIN CORP NTS 08:250% 121520 DTD120710 FC061511 B/E	459745GF6		3,000.00	04/13/2012	3,132.30	03/17/2017	3,522.00	389.70	12.44%	L
INTL LEASE FIN CORP NTS 08:250% 121520 DTD120710 FC061511 B/E	459745GF6		1,000.00	04/13/2012	1,044.01	03/20/2017	1,174.32	130.31	12.48%	L



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3A 07806 West Fdn QGARP 3A 09715 West Fdn RACHIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking

3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
INTL LEASE FIN CORP NTS 08 250% 121520 DTD120710									
FC061511 B/E									
INVESCO LTD	IVZ	3,000.00	12/27/2013	3,298.41	03/20/2017	3,522.96	224.55	6.80%	L
INVESCO LTD	IVZ	24.00	01/05/2017	755.20	08/04/2017	827.98	72.78	9.63%	S
INVESCO LTD	IVZ	8.00	01/19/2017	244.24	08/04/2017	275.99	31.75	12.99%	S
INVESCO LTD	IVZ	455.00	08/18/2014	18,043.94	08/07/2017	15,766.02	-2,277.92	-12.62%	L
INVESCO LTD	IVZ	5.00	10/27/2014	188.95	08/07/2017	173.25	-15.70	-8.30%	L
INVESCO LTD	IVZ	10.00	11/26/2014	402.80	08/07/2017	346.51	-56.29	-13.97%	L
INVESCO LTD	IVZ	60.00	01/16/2015	2,152.49	08/07/2017	2,079.04	-73.45	-3.41%	L
INVESCO LTD	IVZ	5.00	06/04/2015	195.70	08/07/2017	173.25	-22.45	-11.47%	L
INVESCO LTD	IVZ	6.00	06/30/2015	226.14	08/07/2017	207.90	-18.24	-8.06%	L
INVESCO LTD	IVZ	50.00	08/25/2015	1,705.50	08/07/2017	1,732.53	27.03	1.58%	L
INVESCO LTD	IVZ	30.00	09/28/2015	939.00	08/07/2017	1,039.52	100.52	10.70%	L
INVESCO LTD	IVZ	1,002.00	12/21/2015	31,258.49	08/07/2017	34,719.90	3,461.41	11.07%	L
INVESCO LTD	IVZ	309.00	01/04/2016	10,079.68	10/20/2017	11,547.99	1,468.31	14.56%	L
INVESCO LTD	IVZ	75.00	01/04/2016	2,826.36	10/20/2017	2,802.91	-23.45	-0.82%	L
INVESCO LTD	IVZ	55.00	01/04/2016	2,048.74	10/20/2017	2,055.47	6.73	0.32%	L
INVESCO LTD	IVZ	40.00	01/04/2016	1,427.45	10/20/2017	1,494.88	67.43	4.72%	L
INVESCO LTD	IVZ	95.00	05/25/2016	2,946.90	10/20/2017	3,550.36	603.46	20.47%	L
INVESCO LTD	IVZ	254.00	09/27/2017	8,793.48	10/20/2017	9,492.52	699.04	7.94%	S
IPG PHOTONICS CORP	IPGP	50.00	03/18/2016	4,728.04	01/04/2017	4,998.51	270.47	5.72%	S
IPG PHOTONICS CORP	IPGP	20.00	05/25/2016	1,705.20	01/04/2017	1,999.40	294.20	17.25%	S
IRON MTN INC B/E 05 750% 081524 DTD081012									
CALL@MW+50BP									
ISHARES CHINA LARGE -CAP ETF	FXI	584.00	08/29/2017	25,847.78	09/12/2017	25,952.36	104.58	0.40%	S
ISHARES CHINA LARGE -CAP ETF	FXI	175.00	10/27/2017	8,124.41	11/06/2017	8,132.06	7.65	0.09%	S
ISHARES LATIN AMER 40 ETF	ILF	259.00	08/29/2017	8,956.19	09/20/2017	9,295.40	339.21	3.78%	S
ISHARES LATIN AMER 40 ETF	ILF	256.00	08/29/2017	8,852.46	10/03/2017	9,131.31	278.85	3.14%	S
ISHARES LATIN AMER 40 ETF	ILF	175.00	08/29/2017	6,051.48	10/09/2017	6,137.58	86.10	1.42%	S



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 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
464286400	EWZ	143.00	08/29/2017	5,740.01	09/25/2017	6,051.62	311.61	5.42%	S
464286400	EWZ	253.00	08/29/2017	10,000.86	11/02/2017	10,000.86	0.00	0.00%	S
464286400	EWZ	100.00	08/29/2017	3,983.91	11/06/2017	3,983.91	0.00	0.00%	S
464286400	EWZ	108.00	09/06/2017	4,302.62	11/06/2017	4,302.62	0.00	0.00%	S
464286400	EWZ	36.00	09/06/2017	1,410.30	12/11/2017	1,410.30	0.00	0.00%	S
464286400	EWZ	57.00	09/12/2017	2,232.98	12/11/2017	2,232.98	0.00	0.00%	S
464286400	EWZ	142.00	09/18/2017	5,562.85	12/11/2017	5,562.85	0.00	0.00%	S
464286400	EWZ	71.00	10/03/2017	2,781.42	12/11/2017	2,781.42	0.00	0.00%	S
464286400	EWZ	182.00	10/25/2017	7,129.85	12/11/2017	7,129.85	0.00	0.00%	S
464286400	EWZ	32.00	10/25/2017	1,253.60	12/11/2017	1,253.60	0.00	0.00%	S
464286640	ECH	442.00	08/29/2017	21,344.13	08/30/2017	20,985.72	-358.41	-1.67%	S
464286640	ECH	123.00	08/29/2017	5,939.66	11/06/2017	6,260.65	320.99	5.40%	S
464286640	ECH	121.00	10/24/2017	6,158.86	11/06/2017	6,158.86	0.00	0.00%	S
464298671	MCHI	96.00	08/29/2017	5,886.71	09/19/2017	6,161.17	274.46	4.66%	S
464298671	MCHI	883.00	08/29/2017	54,145.47	11/02/2017	58,135.82	3,990.35	7.36%	S
464298671	MCHI	38.00	08/29/2017	2,330.15	11/02/2017	2,499.22	169.07	7.25%	S
464298671	MCHI	137.00	08/29/2017	8,400.83	11/03/2017	9,016.45	615.62	7.32%	S
464298671	MCHI	204.00	09/12/2017	12,849.86	11/03/2017	13,425.95	576.09	4.48%	S
464298671	MCHI	124.00	09/12/2017	7,810.69	11/07/2017	8,348.74	538.05	6.88%	S
464298671	MCHI	83.00	09/12/2017	5,228.13	11/30/2017	5,502.77	274.64	5.25%	S
464298671	MCHI	42.00	09/28/2017	2,614.03	11/30/2017	2,784.54	170.51	6.52%	S
464298598	INDA	556.00	08/29/2017	18,359.42	09/25/2017	18,359.42	0.00	0.00%	S
464298598	INDA	113.00	08/29/2017	3,817.13	11/22/2017	3,967.51	150.38	3.93%	S
464298598	INDA	306.00	08/30/2017	10,618.01	11/22/2017	10,743.87	125.86	1.18%	S
464298598	INDA	134.00	08/30/2017	4,649.71	12/06/2017	4,564.46	-85.25	-1.83%	S
464298598	INDA	226.00	09/13/2017	7,769.83	12/06/2017	7,698.26	-71.57	-0.92%	S
464346814	EWM	192.00	09/18/2017	6,221.66	10/11/2017	6,221.66	0.00	0.00%	S



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Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
ISHARES MSCI MALAYSIA ETF	46434G814	EWM	87.00	09/18/2017	2,865.59	10/19/2017	2,793.95	-71.64	-2.50%	S
ISHARES MSCI MALAYSIA ETF	46434G814	EWM	192.00	09/19/2017	6,388.31	10/19/2017	6,165.96	-222.35	-3.48%	S
ISHARES MSCI MALAYSIA ETF	46434G814	EWM	72.00	09/19/2017	2,357.21	10/19/2017	2,312.23	-44.98	-1.90%	S
ISHARES MSCI MEXICO ETF	464286822	EWW	218.00	09/25/2017	10,961.16	11/01/2017	10,961.16	0.00	0.00%	S
ISHARES MSCI MEXICO ETF	464286822	EWW	110.00	10/19/2017	5,692.71	11/01/2017	5,530.86	-161.85	-2.84%	S
ISHARES MSCI MEXICO ETF	464286822	EWW	105.00	10/19/2017	6,060.83	12/11/2017	5,244.63	-816.20	-13.46%	S
ISHARES MSCI MEXICO ETF	464286822	EWW	58.00	10/25/2017	3,261.87	12/11/2017	2,897.03	-364.84	-11.18%	S
ISHARES MSCI MEXICO ETF	464286822	EWW	55.00	10/25/2017	3,093.15	12/26/2017	2,643.24	-449.91	-14.54%	S
ISHARES MSCI MEXICO ETF	464286822	EWW	31.00	10/25/2017	1,639.75	12/26/2017	1,489.82	-149.93	-9.14%	S
ISHARES MSCI PHILIPPINES ETF	464298408	EPHE	163.00	09/25/2017	6,058.69	10/24/2017	5,937.96	-120.73	-1.99%	S
ISHARES MSCI PHILIPPINES ETF	464298408	EPHE	163.00	09/28/2017	5,973.84	10/24/2017	5,937.95	-35.89	-0.60%	S
ISHARES MSCI POLAND ETF	464298606	EPOL	310.00	08/29/2017	8,312.49	11/06/2017	8,312.49	0.00	0.00%	S
ISHARES MSCI POLAND ETF	464298606	EPOL	36.00	08/29/2017	961.93	12/21/2017	961.93	0.00	0.00%	S
ISHARES MSCI POLAND ETF	464298606	EPOL	114.00	10/25/2017	3,046.11	12/21/2017	3,046.11	0.00	0.00%	S
ISHARES MSCI POLAND ETF	464298606	EPOL	196.00	11/30/2017	5,250.72	12/21/2017	5,237.18	-13.54	-0.25%	S
ISHARES MSCI POLAND ETF	464298606	EPOL	112.00	11/30/2017	2,992.67	12/21/2017	2,992.67	0.00	0.00%	S
ISHARES MSCI RUSSIA ETF	46434G798	ERUS	459.00	08/29/2017	14,404.75	10/11/2017	15,546.02	1,141.27	7.92%	S
ISHARES MSCI RUSSIA ETF	46434G798	ERUS	201.00	08/29/2017	6,307.97	10/13/2017	6,890.14	582.17	9.22%	S
ISHARES MSCI RUSSIA ETF	46434G798	ERUS	322.00	08/29/2017	10,105.29	11/17/2017	10,930.04	824.75	8.16%	S
ISHARES MSCI RUSSIA ETF	46434G798	ERUS	46.00	09/20/2017	1,517.77	11/17/2017	1,561.43	43.66	2.87%	S
ISHARES MSCI RUSSIA ETF	46434G798	ERUS	234.00	09/20/2017	7,691.46	12/21/2017	7,691.46	0.00	0.00%	S
ISHARES MSCI RUSSIA ETF	46434G798	ERUS	141.00	10/25/2017	4,634.59	12/21/2017	4,634.59	0.00	0.00%	S
ISHARES MSCI SOUTH AFRICA ETF	464286780	EZA	96.00	08/29/2017	6,032.94	09/06/2017	5,985.94	-37.00	-0.61%	S
ISHARES MSCI SOUTH AFRICA ETF	464286780	EZA	143.00	08/29/2017	8,558.35	09/19/2017	8,558.35	0.00	0.00%	S
ISHARES MSCI SOUTH AFRICA ETF	464286780	EZA	103.00	10/11/2017	6,204.63	10/24/2017	6,204.63	0.00	0.00%	S
ISHARES MSCI SOUTH AFRICA ETF	464286780	EZA	143.00	10/11/2017	9,137.74	10/25/2017	8,456.82	-680.92	-7.45%	S
ISHARES MSCI SOUTH AFRICA ETF	464286780	EZA	8.00	10/11/2017	488.08	10/25/2017	473.11	-14.97	-3.06%	S



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3A 01040 West Fdn SEIX
3A 04730 West Fdn MMM
3A 06635 West Fdn CAMB
3A 07806 West Fdn OGARP
3A 09708 West Fdn INDEX

3A 09710 West Bristol Fd
3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHLN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR

3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking

3A 04727 West Fdn GL FI
3A 04728 West Fdn LONDON
3A 04729 West Fdn NFJ
3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
464286780	EZA	103.00	10/13/2017	6,573.54	10/25/2017	6,091.28	-482.26 ws50	-7.33%	S
464286780	EZA	6.00	10/13/2017	378.30	10/25/2017	354.83	-23.47	-6.20%	S
464286780	EZA	201.00	11/27/2017	12,568.86	12/11/2017	12,268.82	-300.04 ws51	-2.38%	S
464286772	EWY	66.00	08/29/2017	4,520.99	08/30/2017	4,532.90	11.91	0.26%	S
464286772	EWY	132.00	08/29/2017	8,981.73	09/28/2017	8,981.73	0.00 ws52	0.00%	S
464286772	EWY	111.00	08/29/2017	7,603.49	11/30/2017	8,343.13	739.64	9.72%	S
464286772	EWY	165.00	08/29/2017	11,302.48	12/06/2017	12,238.38	935.90	8.28%	S
464286772	EWY	121.00	08/29/2017	8,288.49	12/14/2017	9,094.26	805.77	9.72%	S
464286772	EWY	115.00	08/29/2017	7,877.49	12/26/2017	8,323.63	446.14	5.66%	S
46434G772	EWT	120.00	08/29/2017	4,467.60	08/30/2017	4,490.30	22.70	0.50%	S
46434G772	EWT	497.00	08/29/2017	18,423.41	09/13/2017	18,423.41	0.00 ws53	0.00%	S
46434G772	EWT	219.00	08/29/2017	8,153.37	11/06/2017	8,308.67	155.30	1.90%	S
46434G772	EWT	332.00	08/29/2017	12,360.36	11/17/2017	12,542.67	182.31	1.47%	S
46434G772	EWT	220.00	08/29/2017	8,190.60	11/21/2017	8,411.99	221.39	2.70%	S
46434G772	EWT	112.00	08/29/2017	4,169.76	11/30/2017	4,149.50	-20.26	-0.48%	S
46434G772	EWT	114.00	08/29/2017	4,244.22	12/06/2017	4,091.40	-152.82	-3.60%	S
46434G772	EWT	210.00	08/29/2017	7,818.30	12/11/2017	7,675.32	-142.98	-1.82%	S
46434G772	EWT	36.00	09/28/2017	1,291.65	12/11/2017	1,315.77	24.12	1.86%	S
464286624	THD	177.00	08/29/2017	14,657.87	10/05/2017	15,361.50	703.63	4.80%	S
464286715	TUR	206.00	08/29/2017	9,244.96	09/18/2017	9,105.05	-139.91 ws54	-1.51%	S
464286715	TUR	55.00	08/29/2017	2,422.43	10/03/2017	2,305.28	-117.15 ws55	-4.83%	S
464286715	TUR	53.00	09/25/2017	2,334.16	10/03/2017	2,221.45	-112.71 ws56	-4.82%	S
464287614	IWF	32.00	01/05/2017	3,413.44	08/04/2017	3,907.43	493.99	14.47%	S
464287614	IWF	9.00	01/19/2017	968.94	08/04/2017	1,098.96	130.02	13.41%	S
464287614	IWF	2,560.00	07/26/2016	266,460.42	10/04/2017	322,294.30	55,833.88	20.95%	L
46428Q109	SLV	122.00	11/27/2015	1,630.14	08/25/2017	1,969.05	338.91	20.79%	L
45031UBX8		4,000.00	12/17/2015	3,900.00	10/16/2017	4,000.00	100.00	2.56%	L

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3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn BOOS 3A 04727 West Fdn GL FI
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Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
45031UBX8		6,000.00	12/22/2015	5,879.94	10/16/2017	6,000.00	120.06	2.04%	L
45031UBX8		2,000.00	06/13/2016	1,985.00	10/16/2017	2,000.00	15.00	0.75%	L
45031UBX6		2,000.00	03/24/2016	1,965.00	10/19/2017	2,093.40	128.40	6.53%	L
46625HHL7		34,000.00	10/31/2011	35,046.13	10/02/2017	36,275.62	1,229.49	3.50%	L
46625HHL7		10,000.00	04/01/2016	10,678.89	10/02/2017	10,669.30	-9.59	-0.08%	L
46625HHL7		6,000.00	08/08/2016	6,431.95	10/02/2017	6,401.58	-30.37	-0.47%	L
48123V102	JCOM	23.00	08/09/2017	1,703.59	10/02/2017	1,703.59	0.00	0.00%	S
48123V102	JCOM	22.00	08/09/2017	1,651.72	10/18/2017	1,651.72	0.00	0.00%	S
48123V102	JCOM	13.00	08/09/2017	990.52	11/30/2017	983.95	-6.57	-0.66%	S
48123V102	JCOM	30.00	08/09/2017	2,285.84	12/18/2017	2,286.34	0.50	0.02%	S
48123V102	JCOM	33.00	08/09/2017	2,514.41	12/19/2017	2,513.93	-0.48	-0.01%	S
803431410	JARIX	202.32	01/05/2017	3,749.00	08/08/2017	3,949.31	200.31	5.34%	S
803431410	JARIX	62.17	01/19/2017	1,143.25	08/08/2017	1,213.50	70.25	6.14%	S
803431410	JARIX	4.10	03/29/2017	75.64	08/08/2017	80.11	4.47	5.90%	S
803431410	JARIX	0.96	03/29/2017	17.62	08/08/2017	18.66	1.04	5.90%	S
803431410	JARIX	0.86	03/29/2017	15.76	08/08/2017	16.69	0.93	5.90%	S
803431410	JARIX	4.23	06/28/2017	80.55	08/08/2017	82.63	2.08	2.58%	S
803431410	JARIX	1.62	06/28/2017	30.83	08/08/2017	31.62	0.79	2.56%	S
803431410	JARIX	3,999.30	04/07/2015	85,865.08	09/29/2017	75,946.80	-9,918.28	-11.55%	L
803431410	JARIX	2,171.80	06/04/2015	45,021.45	09/29/2017	41,242.52	-3,778.93	-8.39%	L
803431410	JARIX	151.78	06/26/2015	3,042.21	09/29/2017	2,872.77	-169.44	-5.56%	L



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Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	37.58	06/26/2015	755.71	09/29/2017	713.63	-42.08	-5.56%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	6,425.79	06/30/2015	126,587.98	09/29/2017	122,025.68	-4,562.30	-3.60%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	44.51	08/10/2015	887.44	09/29/2017	845.16	-42.28	-4.76%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	254.05	09/28/2015	4,745.57	09/29/2017	4,824.33	78.76	1.65%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	41.73	09/28/2015	779.50	09/29/2017	792.44	12.94	1.66%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	340.85	12/29/2015	6,373.87	09/29/2017	6,472.72	98.85	1.55%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	305.70	12/29/2015	5,716.65	09/29/2017	5,805.30	88.65	1.55%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	3.08	12/29/2015	57.55	09/29/2017	58.46	0.91	1.58%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	490.43	02/04/2016	8,558.07	09/29/2017	9,313.34	755.27	8.82%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	203.48	03/30/2016	3,872.22	09/29/2017	3,864.09	-8.13	-0.20%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	129.38	03/30/2016	2,462.06	09/29/2017	2,456.89	-5.17	-0.20%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	1.54	03/30/2016	29.31	09/29/2017	29.22	-0.09	-0.30%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	185.44	06/28/2016	3,471.36	09/29/2017	3,521.43	50.07	1.44%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	129.13	06/28/2016	2,417.28	09/29/2017	2,452.14	34.86	1.44%	L
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	226.26	09/29/2016	4,258.25	09/29/2017	4,296.72	38.47	0.90%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	68.55	09/29/2016	1,290.15	09/29/2017	1,301.80	11.65	0.90%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	370.42	12/28/2016	6,593.48	09/29/2017	7,034.27	440.79	6.68%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	160.39	12/28/2016	2,854.89	09/29/2017	3,045.75	190.86	6.68%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	51.35	12/28/2016	914.10	09/29/2017	975.21	61.11	6.68%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	803431410	JARIX	245.06	03/29/2017	4,516.52	09/29/2017	4,653.74	137.22	3.03%	S



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 3A 09708 West Fdn INDEX 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	JARIX	57.07	03/29/2017	1,051.74	09/29/2017	1,083.71	31.97	3.03%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	JARIX	51.07	03/29/2017	941.21	09/29/2017	969.80	28.59	3.03%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	JARIX	252.74	06/28/2017	4,809.66	09/29/2017	4,799.55	-10.11	-0.21%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	JARIX	96.72	06/28/2017	1,840.56	09/29/2017	1,836.70	-3.86	-0.20%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	JARIX	303.15	09/27/2017	5,702.21	09/29/2017	5,756.78	54.57	0.95%	S
JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS FUND CLASS I	JARIX	49.11	09/27/2017	923.70	09/29/2017	932.54	8.84	0.95%	S
JAMES RIV GROUP HLDGS LTD	JRVR	6.00	09/06/2017	231.93	10/02/2017	249.78	17.85	7.69%	S
JAMES RIV GROUP HLDGS LTD	JRVR	11.00	09/06/2017	425.19	10/18/2017	468.82	43.63	10.26%	S
JAMES RIV GROUP HLDGS LTD	JRVR	8.00	09/06/2017	309.24	11/30/2017	322.48	13.24	4.28%	S
JANUS CAPITAL GROUP INC **MERGER EFF 05/2017**	47102X105	69.00	07/25/2013	635.34	05/04/2017	950.03	314.69	49.53%	L
JANUS CAPITAL GROUP INC **MERGER EFF 05/2017**	47102X105	15.00	08/23/2013	131.69	05/04/2017	206.52	74.83	56.82%	L
JANUS CAPITAL GROUP INC **MERGER EFF 05/2017**	47102X105	25.00	12/23/2013	302.00	05/04/2017	344.22	42.22	13.98%	L
JANUS CAPITAL GROUP INC **MERGER EFF 05/2017**	47102X105	250.00	03/04/2014	2,770.00	05/04/2017	3,442.12	672.12	24.26%	L
JANUS CAPITAL GROUP INC **MERGER EFF 05/2017**	47102X105	200.00	11/20/2014	2,945.18	05/04/2017	2,753.70	-191.48	-6.50%	L
JANUS CAPITAL GROUP INC **MERGER EFF 05/2017**	47102X105	180.00	11/21/2014	2,791.33	05/04/2017	2,478.33	-313.00	-11.21%	L
JANUS CAPITAL GROUP INC **MERGER EFF 05/2017**	47102X105	170.00	05/25/2016	2,546.60	05/04/2017	2,340.65	-205.95	-8.08%	S
JOHNSON & JOHNSON B/E 02 450% 030126 DTD030116 FC090116 CALL@MW+15BP	4781608Y9	60,000.00	03/23/2016	59,946.60	10/02/2017	58,956.60	-990.00	-1.65%	L
JOHNSON & JOHNSON B/E 02 450% 030126 DTD030116 FC090116 CALL@MW+15BP	4781608Y9	6,000.00	07/26/2016	6,203.51	10/02/2017	5,895.66	-307.85	-4.96%	L
KAR AUCTION SVCS INC	KAR	26.00	08/09/2017	1,141.92	10/02/2017	1,252.42	110.50	9.67%	S
KAR AUCTION SVCS INC	KAR	27.00	08/09/2017	1,185.83	10/18/2017	1,302.18	116.35	9.81%	S
KAR AUCTION SVCS INC	KAR	16.00	08/09/2017	702.72	11/30/2017	804.48	101.76	14.48%	S
KENNEDY-WILSON INC MTN 05.875% 040124 DTD032514 FC100114 CALL@MW+50BP	489399AG0	3,000.00	02/10/2017	3,117.05	10/19/2017	3,120.00	2.95	0.09%	S
KIMBERLY CLARK CORP B/E 02 400% 030122 DTD020912 FC090112	494368BH5	10,000.00	02/04/2016	10,135.57	10/02/2017	10,050.80	-84.77	-0.83%	L



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Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
4943688J1		52,000.00	06/20/2016	53,562.57	10/02/2017	51,673.96	-1,888.61	-3.52%	L
49446R794	KIMPRI	4,000.00	12/14/2015	101,600.00	08/24/2017	101,118.95	-481.05	-0.47%	L
49456B101	KMI	52.00	01/05/2017	1,128.91	08/04/2017	1,051.47	-77.44	-6.85%	S
49456B101	KMI	14.00	01/19/2017	311.21	08/04/2017	283.09	-28.12	-9.03%	S
49456B101	KMI	577.66	11/28/2014	10,860.31	10/04/2017	10,860.31	0.00	0.00%	L
49456B101	KMI	54.83	11/28/2014	1,030.78	10/04/2017	1,030.78	0.00	0.00%	L
49456B101	KMI	28.51	11/28/2014	536.01	10/04/2017	536.01	0.00	0.00%	L
49456B101	KMI	360.00	12/08/2014	6,768.16	10/04/2017	6,768.16	0.00	0.00%	L
49456B101	KMI	90.00	03/27/2015	1,692.04	10/04/2017	1,692.04	0.00	0.00%	L
49456B101	KMI	115.00	06/04/2015	2,162.05	10/04/2017	2,162.05	0.00	0.00%	L
49456B101	KMI	115.00	07/16/2015	2,162.06	10/04/2017	2,162.06	0.00	0.00%	L
49456B101	KMI	361.00	08/10/2015	6,786.96	10/04/2017	6,786.96	0.00	0.00%	L
49456B101	KMI	161.00	09/28/2015	3,026.87	10/04/2017	3,026.87	0.00	0.00%	L
49456B101	KMI	2,405.00	02/04/2016	37,677.69	10/04/2017	45,215.09	7,537.40	20.00%	L
494580AF0		2,000.00	04/19/2016	1,945.00	08/24/2017	1,945.00	0.00	0.00%	L
494580AF0		3,000.00	04/21/2016	2,955.00	08/30/2017	2,902.50	-52.50	-1.77%	L
494580AF0		2,000.00	05/27/2016	1,972.50	08/30/2017	1,935.00	-37.50	-1.90%	L
494580AF0		2,000.00	06/09/2016	1,981.20	09/05/2017	1,940.00	-41.20	-2.07%	L
494580AF0		3,000.00	06/09/2016	2,977.50	09/21/2017	2,805.00	-172.50	-5.79%	L
494580AF0		1,000.00	06/09/2016	990.60	09/21/2017	935.00	-55.60	-5.61%	L
500467501	ADARNY	299.00	05/04/2017	6,267.43	06/21/2017	5,446.53	-820.90	-13.09%	S
500467501	ADARNY	108.00	05/08/2017	2,313.07	06/21/2017	1,967.30	-345.77	-14.94%	S
500467501	ADARNY	384.00	05/17/2017	8,637.31	06/21/2017	6,994.87	-1,642.44	-19.01%	S
500472303	PHG	264.00	10/10/2014	7,702.65	01/30/2017	7,670.88	-31.77	-0.41%	L



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3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR
3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

3A 04727 West Fdn GL FI

3A 04728 West Fdn LONDON

3A 04729 West Fdn NFJ

3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
500472303	PHG	15.00	06/10/2015	447.82	01/30/2017	435.84	-11.98	-2.67%	L
500472303	PHG	85.00	08/21/2015	2,194.00	01/30/2017	2,469.79	275.79	12.57%	L
500472303	PHG	78.00	01/04/2016	1,930.41	01/30/2017	2,266.40	335.99	17.40%	L
500472303	PHG	98.00	05/25/2016	2,594.05	01/30/2017	2,847.52	253.47	9.77%	S
500472303	PHG	22.00	06/15/2016	539.00	01/30/2017	639.24	100.24	18.59%	S
500767306	KWEB	214.00	08/29/2017	11,696.98	09/27/2017	12,131.38	434.40	3.71%	S
500767306	KWEB	597.00	08/29/2017	32,631.31	09/28/2017	33,628.29	996.98	3.05%	S
500767306	KWEB	162.00	08/30/2017	8,969.94	09/28/2017	9,125.27	155.33	1.73%	S
500767306	KWEB	49.00	08/30/2017	2,690.59	09/28/2017	2,760.11	69.52	2.58%	S
500767306	KWEB	42.00	09/18/2017	2,365.81	09/28/2017	2,365.81	0.00	0.00%	S
500767306	KWEB	62.00	10/16/2017	3,453.31	10/27/2017	3,453.31	0.00	0.00%	S
500767306	KWEB	42.00	10/16/2017	2,339.33	10/27/2017	2,339.33	0.00	0.00%	S
500767306	KWEB	34.00	10/25/2017	1,893.75	10/27/2017	1,893.75	0.00	0.00%	S
500767306	KWEB	696.00	11/02/2017	39,741.60	11/20/2017	42,044.39	2,302.79	5.79%	S
500767306	KWEB	183.00	11/02/2017	10,449.30	11/27/2017	10,955.06	505.76	4.84%	S
500767306	KWEB	62.00	11/02/2017	3,819.39	11/27/2017	3,711.55	-107.84	-2.82%	S
500767306	KWEB	42.00	11/02/2017	2,706.11	11/27/2017	2,514.28	-191.83	-7.08%	S
500767306	KWEB	34.00	11/02/2017	1,976.81	11/27/2017	2,035.37	58.56	2.96%	S
500767306	KWEB	282.00	11/03/2017	16,168.44	11/27/2017	16,881.57	713.13	4.41%	S
513272104	LW	771.00	03/08/2017	31,435.98	08/08/2017	33,492.70	2,056.72	6.54%	S
517942108	LHO	35.00	08/09/2017	977.43	10/02/2017	1,016.03	38.60	3.94%	S
517942108	LHO	32.00	08/09/2017	893.65	10/18/2017	975.69	82.04	9.18%	S
517942108	LHO	20.00	08/09/2017	558.53	11/30/2017	564.79	6.26	1.12%	S
525327102	LDO	33.00	08/09/2017	1,872.92	10/02/2017	1,976.32	103.40	5.52%	S
525327102	LDO	27.00	08/09/2017	1,552.38	10/18/2017	1,666.13	133.75	8.72%	S
525327102	LDO	11.00	08/09/2017	624.31	11/30/2017	696.39	72.08	11.54%	S
5260578V5		2,000.00	06/01/2015	1,968.18	10/19/2017	2,094.40	126.22	6.41%	L



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3A 01040 West Fdn SEIX
 3A 04730 West Fdn MWM
 3A 06635 West Fdn CAMB
 3A 07806 West Fdn OGARP
 3A 09708 West Fdn INDEX
 3A 09710 West Bristol Fd
 3A 09713 West Fdn EDGE
 3A 09714 West Fdn GLOVIS
 3A 09715 West Fdn RACHIN
 3A 09843 West Fdn KAYNE
 3A 00893 West Fdn
 3A 00894 West Fdn MLP
 3A 01039 West Fdn REIN
 3A 01041 West Fdn YACKT
 3A 01042 West Fdn ANCHOR
 3A 01043 West Fdn ROOS
 3A 01044 West Fdn TW
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 3A 04338 West Fdn KAYNE
 3A 04727 West Fdn GL FI
 3A 04728 West Fdn LONDON
 3A 04729 West Fdn NFJ
 3A 09676 Checking

Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
LENNAR CORP CALL@MW+50BP 04 500% 061519 DTD021214 FC061514 NTS B/E	5260578T0		1,000.00	10/29/2015	1,017.47	10/26/2017	1,027.60	10.13	0.99%	L
LENNAR CORP CALL@MW+50BP 04 500% 061519 DTD021214 FC061514 NTS B/E	5260578T0		1,000.00	11/05/2015	1,017.54	10/26/2017	1,027.60	10.06	0.98%	L
LEUCADIA NATL CORP B/E 05 500% 101823 DTD101813 FC041814 CALL@MW+45BP	527288BE3		2,000.00	10/06/2015	2,004.81	10/20/2017	2,137.18	132.37	6.60%	L
LEVEL 3 COMM INC NTS B/E 05 750% 120122 DTD120114 FC030115 CALL@MW+50BP	52729NBX7		3,000.00	02/10/2015	3,086.25	10/19/2017	3,091.35	5.10	0.16%	L
LEVEL 3 FING INC NTS B/E 05 375% 050125 DTD090115 FC030116 CALL@MW+50BP	527298BH5		3,000.00	05/26/2016	3,067.50	10/19/2017	3,120.15	52.65	1.71%	L
LIBERTY BROADBAND CORP	530307305	LBRDK	56.00	09/19/2014	2,805.57	10/20/2017	5,229.19	2,423.62	86.38%	L
LIBERTY BROADBAND CORP	530307305	LBRDK	44.75	12/05/2014	2,405.04	10/20/2017	4,178.68	1,773.64	73.74%	L
LIBERTY BROADBAND CORP	530307305	LBRDK	0.25	12/05/2014	13.75	10/20/2017	23.34	9.59	69.74%	L
LIBERTY BROADBAND CORP	530307305	LBRDK	70.00	12/08/2014	3,761.62	10/20/2017	6,536.49	2,774.87	73.76%	L
LIBERTY BROADBAND CORP	530307305	LBRDK	40.00	01/09/2015	1,614.42	10/20/2017	3,735.13	2,120.71	131.36%	L
LIBERTY BROADBAND CORP	530307305	LBRDK	35.00	05/05/2016	2,056.11	10/20/2017	3,268.24	1,212.13	58.95%	L
LIBERTY BROADBAND CORP	530307305	LBRDK	55.00	05/25/2016	3,245.00	10/20/2017	5,135.81	1,890.81	58.26%	L
LIBERTY BROADBAND CORP	530307305	LBRDK	99.00	09/27/2017	9,788.63	10/20/2017	9,244.46	-544.17	-5.55%	S
LIBERTY SIRIUS GROUP SER C	531229607	LSXMK	230.00	09/19/2014	6,683.82	10/20/2017	10,076.80	3,392.98	50.76%	L
LIBERTY SIRIUS GROUP SER C	531229607	LSXMK	115.00	12/02/2014	3,302.29	10/20/2017	5,038.40	1,736.11	52.57%	L
LIBERTY SIRIUS GROUP SER C	531229607	LSXMK	175.00	06/29/2015	5,003.93	10/20/2017	7,667.14	2,663.21	53.22%	L
LIBERTY SIRIUS GROUP SER C	531229607	LSXMK	95.00	05/25/2016	2,994.40	10/20/2017	4,162.15	1,167.75	38.99%	L
LIBERTY SIRIUS GROUP SER C	531229607	LSXMK	140.00	06/03/2016	4,408.29	10/20/2017	6,133.71	1,725.42	39.14%	L
LIBERTY SIRIUS GROUP SER C	531229607	LSXMK	381.00	09/27/2017	16,680.18	10/20/2017	16,692.44	12.26	0.07%	S
LINCOLN ELEC HOLDINGS NEW	533900106	LECO	7.00	08/09/2017	612.75	10/02/2017	649.21	36.46	5.95%	S
LINCOLN ELEC HOLDINGS NEW	533900106	LECO	9.00	08/09/2017	787.81	10/18/2017	855.61	67.80	8.60%	S
LINCOLN ELEC HOLDINGS NEW	533900106	LECO	4.00	08/09/2017	350.14	11/30/2017	363.79	13.65	3.89%	S
LITTELFUSE INC	537008104	LFUS	7.00	08/09/2017	1,274.25	10/02/2017	1,370.65	96.40	7.56%	S
LITTELFUSE INC	537008104	LFUS	6.00	08/09/2017	1,092.21	10/18/2017	1,245.34	153.13	14.02%	S
LITTELFUSE INC	537008104	LFUS	2.00	08/09/2017	364.07	11/30/2017	404.69	40.62	11.15%	S



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 3A 04730 West Fdn MMB 3A 09713 West Fdn EDGE 3A 00894 West Fdn MIP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REIN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ
 3A 07806 West Fdn OGARP 3A 09715 West Fdn RACHLN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
548661107	LOW	11.00	01/05/2017	782.10	08/04/2017	859.85	77.75	9.94%	S
548661107	LOW	3.00	01/19/2017	214.62	08/04/2017	234.50	19.88	9.26%	S
548661107	LOW	265.00	06/13/2016	20,721.22	08/08/2017	20,561.43	-159.79	-0.77%	L
548661107	LOW	460.00	07/26/2016	37,337.74	08/08/2017	35,691.54	-1,646.20	-4.40%	L
55261F104	MTB	117.00	02/06/2013	12,139.10	08/08/2017	19,318.57	7,179.47	59.14%	L
55261F104	MTB	30.00	12/23/2013	3,468.30	08/08/2017	4,953.48	1,485.18	42.82%	L
55261F104	MTB	11.00	05/25/2016	1,310.87	08/08/2017	1,816.28	505.41	38.55%	L
55261F104	MTB	34.00	10/19/2011	2,459.90	10/20/2017	5,603.75	3,143.85	127.80%	L
55261F104	MTB	50.00	12/23/2013	5,757.00	10/20/2017	8,240.81	2,483.81	43.14%	L
55261F104	MTB	35.00	03/04/2014	4,089.40	10/20/2017	5,768.56	1,679.16	41.06%	L
55261F104	MTB	30.00	05/25/2016	3,561.60	10/20/2017	4,944.49	1,382.89	38.82%	L
55261F104	MTB	31.00	09/27/2017	5,073.77	10/20/2017	5,109.30	35.53	0.70%	S
G5753U112	MHLD	57.00	08/09/2017	466.52	10/02/2017	481.93	15.41	3.30%	S
G5753U112	MHLD	27.00	08/09/2017	220.98	10/18/2017	236.38	15.40	6.96%	S
G5753U112	MHLD	291.00	08/09/2017	2,381.69	11/21/2017	1,870.42	-511.27	-21.46%	S
G5753U112	MHLD	126.00	08/09/2017	1,031.25	11/22/2017	811.26	-219.99	-21.33%	S
G5753U112	MHLD	353.00	08/09/2017	2,889.13	11/27/2017	2,343.94	-545.19	-18.87%	S
G5753U112	MHLD	21.00	08/09/2017	171.87	11/28/2017	140.69	-31.18	-18.14%	S
570535104	MKL	8.00	11/21/2016	7,269.14	10/20/2017	8,596.44	1,327.30	18.25%	S
570535104	MKL	13.00	11/23/2016	11,728.90	10/20/2017	13,969.22	2,240.32	19.10%	S
570535104	MKL	6.00	09/27/2017	6,340.80	10/20/2017	6,447.33	106.53	1.68%	S
570506AQ8		2,000.00	10/02/2013	2,030.00	02/24/2017	2,035.00	5.00	0.24%	L
570506AQ8		3,000.00	10/09/2013	3,052.50	02/24/2017	3,052.50	0.00	0.00%	L
570506AQ8		2,000.00	10/30/2013	2,062.28	02/28/2017	2,035.00	-27.28	-1.32%	L
570506AQ8		1,000.00	11/05/2013	1,029.00	02/28/2017	1,017.50	-11.50	-1.11%	L

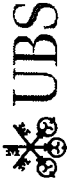


3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GLFH
 3A 04730 West Fdn MMM 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REIN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ
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 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
MARKWEST ENERGY NTS B/E 05 500% 021523 DTD081012 FC021513 CALL@MW+50BP	570506AQ8		2,000.00	11/05/2013	2,056.86	05/01/2017	2,040.00	-16.86	-0.81%	L
MARKWEST ENERGY NTS B/E 05 500% 021523 DTD081012 FC021513 CALL@MW+50BP	570506AQ8		1,000.00	11/05/2013	1,027.93	06/27/2017	1,020.00	-7.93	-0.77%	L
MARKWEST ENERGY NTS B/E 05 500% 021523 DTD081012 FC021513 CALL@MW+50BP	570506AQ8		1,000.00	12/11/2013	1,015.00	06/27/2017	1,020.00	5.00	0.49%	L
MARKWEST ENERGY NTS B/E 05 500% 021523 DTD081012 FC021513 CALL@MW+50BP	570506AQ8		1,000.00	12/11/2013	1,015.00	08/03/2017	1,021.25	6.25	0.61%	L
MARKWEST ENERGY NTS B/E 05 500% 021523 DTD081012 FC021513 CALL@MW+50BP	570506AQ8		1,000.00	12/12/2013	1,012.50	08/03/2017	1,021.25	8.75	0.86%	L
MARKWEST ENERGY NTS B/E 05 500% 021523 DTD081012 FC021513 CALL@MW+50BP	570506AQ8		1,000.00	12/12/2013	1,012.50	08/31/2017	1,022.50	10.00	0.98%	L
MARKWEST ENERGY NTS B/E 05 500% 021523 DTD081012 FC021513 CALL@MW+50BP	570506AQ8		2,000.00	12/30/2013	2,020.00	08/31/2017	2,045.00	25.00	1.23%	L
MARTIN MARIETTA MATERIALS INC	573284106	MLM	55.00	02/06/2013	5,413.57	08/08/2017	11,584.02	6,170.45	113.98%	L
MARTIN MARIETTA MATERIALS INC	573284106	MLM	71.00	11/13/2013	7,163.34	08/08/2017	14,953.92	7,790.58	108.75%	L
MARTIN MARIETTA MATERIALS INC	573284106	MLM	35.00	12/23/2013	3,391.95	08/08/2017	7,371.64	3,979.69	117.32%	L
MARTIN MARIETTA MATERIALS INC	573284106	MLM	80.00	03/18/2014	9,976.94	08/08/2017	16,849.49	6,872.55	68.88%	L
MARTIN MARIETTA MATERIALS INC	573284106	MLM	25.00	05/25/2016	4,800.50	08/08/2017	5,265.46	464.96	9.68%	L
MASCO CORP B/E 05 950% 031522 DTD031212 CALL@MW+50BP	574599BH8		2,000.00	03/15/2012	1,997.50	06/27/2017	2,304.92	307.42	15.39%	L
MATTEL INC	577081102	MAT	75.00	04/21/2010	1,343.86	06/15/2017	1,529.37	185.51	13.80%	L
MATTEL INC	577081102	MAT	105.00	08/11/2010	1,725.30	06/15/2017	2,141.11	415.81	24.10%	L
MATTEL INC	577081102	MAT	25.00	02/05/2013	835.69	06/15/2017	509.79	-325.90	-38.99%	L
MATTEL INC	577081102	MAT	85.00	12/23/2013	3,545.10	06/15/2017	1,733.28	-1,811.82	-51.10%	L
MATTEL INC	577081102	MAT	55.00	03/04/2014	1,830.62	06/15/2017	1,121.54	-709.08	-38.73%	L
MATTEL INC	577081102	MAT	40.00	10/02/2014	1,114.08	06/15/2017	815.66	-298.42	-26.78%	L
MATTEL INC	577081102	MAT	75.00	06/25/2015	1,827.61	06/15/2017	1,529.37	-298.24	-16.31%	L
MATTEL INC	577081102	MAT	70.00	06/29/2015	1,704.96	06/15/2017	1,427.41	-277.55	-16.27%	L
MATTEL INC	577081102	MAT	30.00	10/13/2015	613.13	06/15/2017	611.75	-1.38	-0.22%	L
MATTEL INC	577081102	MAT	163.00	08/23/2016	5,410.36	06/15/2017	3,323.82	-2,086.54	-38.56%	S
MAXIM INTEGRATED PRODS INC	57772K101	MXIM	16.00	08/09/2017	711.60	10/02/2017	768.62	57.02	8.01%	S



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Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
57772K101	MXIM	16.00	08/09/2017	711.60	10/18/2017	798.62	87.02	12.22%	S
57772K101	MXIM	51.00	08/09/2017	2,268.23	10/30/2017	2,663.27	395.04	17.41%	S
57772K101	MXIM	7.00	08/09/2017	311.32	11/30/2017	366.17	54.85	17.61%	S
578787103	MZDAY	1,344.00	04/26/2016	10,943.79	10/19/2017	9,459.79	-1,484.00	-13.56%	L
578787103	MZDAY	212.00	04/28/2016	1,709.06	10/19/2017	1,492.17	-216.89	-12.69%	L
578787103	MZDAY	459.00	05/25/2016	3,733.97	10/19/2017	3,230.69	-503.28	-13.47%	L
578787103	MZDAY	734.00	08/07/2017	5,621.12	10/19/2017	5,166.28	-454.84	-8.09%	S
578787103	MZDAY	555.00	10/05/2017	4,218.00	10/19/2017	3,906.39	-311.61	-7.38%	S
55262C100	MBI	1,326.00	02/06/2013	12,950.38	08/08/2017	12,823.45	-126.93	-0.98%	L
55262C100	MBI	186.00	08/23/2013	2,291.54	08/08/2017	1,798.76	-492.78	-21.50%	L
55262C100	MBI	300.00	12/23/2013	3,453.00	08/08/2017	2,901.24	-551.76	-15.97%	L
55262C100	MBI	572.00	03/18/2014	8,143.28	08/08/2017	5,531.68	-2,611.60	-32.07%	L
55262C100	MBI	371.00	05/25/2016	2,747.74	08/08/2017	3,587.86	840.12	30.57%	L
58155Q103	MCK	220.00	12/21/2015	42,521.91	01/05/2017	32,185.29	-10,336.62	-24.30%	L
58155Q103	MCK	39.00	06/30/2016	7,239.18	01/05/2017	5,705.58	-1,533.60	-21.18%	S
58155Q103	MCK	135.00	01/04/2016	26,237.49	10/20/2017	20,340.92	-5,896.57	-22.47%	L
58155Q103	MCK	25.00	05/25/2016	4,573.50	10/20/2017	3,766.84	-806.66	-17.63%	L
58155Q103	MCK	23.00	09/27/2017	3,559.02	10/20/2017	3,465.49	-93.53	-2.62%	S
58463J304	MPW	159.00	08/09/2017	1,981.86	10/02/2017	2,083.25	101.39	5.11%	S
58463J304	MPW	171.00	08/09/2017	2,131.43	10/18/2017	2,281.95	150.52	7.06%	S
58463J304	MPW	91.00	08/09/2017	1,134.27	11/30/2017	1,242.35	108.08	9.52%	S
58463J304	MPW	226.00	08/09/2017	2,816.99	12/11/2017	3,075.62	258.63	9.18%	S
G5960L103	MDT	11.00	01/05/2017	779.46	08/04/2017	919.36	139.90	17.94%	S
G5960L103	MDT	2.00	01/19/2017	151.26	08/04/2017	167.16	15.90	10.51%	S
G5960L103	MDT	231.00	06/04/2015	17,252.50	08/07/2017	19,498.28	2,245.78	13.01%	L
G5960L103	MDT	2.00	06/30/2015	146.14	08/07/2017	168.82	22.68	15.51%	L
G5960L103	MDT	26.00	09/28/2015	1,689.16	08/07/2017	2,194.61	505.45	29.92%	L



2017 FORM 990-PF

PART IV ATTACHMENT A-1

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3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL H 3A 04730 West Fdn MMM 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON 3A 06635 West Fdn CAMB 3A 09714 West Fdn GIOVIS 3A 01039 West Fdn REN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NF 3A 07806 West Fdn OGARP 3A 09715 West Fdn RACHIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
MEDTRONIC PLC	G5960L103	MDT	179.00	12/21/2015	13,548.10	08/07/2017	15,109.06	1,560.96	11.52%	L
METLIFE INC B/E 04 750% 020821 DTD080610 FC020811	59156RAX6		47,000.00	01/25/2011	47,440.80	10/02/2017	50,740.26	3,299.46	6.95%	L
METLIFE INC B/E 04 750% 020821 DTD080610 FC020811	59156RAX6		8,000.00	01/04/2016	8,548.11	10/02/2017	8,636.64	88.53	1.03%	L
METLIFE INC B/E 04 750% 020821 DTD080610 FC020811	59156RAX6		5,000.00	08/17/2016	5,478.29	10/02/2017	5,397.90	-80.39	-1.46%	L
MGIC INVMT CORP NTS B/E 05 750% 081523 DTD080516 CALL@MW+50BP	552848AF0		2,000.00	08/05/2016	2,059.66	10/20/2017	2,208.40	148.74	7.22%	L
MGIC INVMT CORP NTS B/E 05 750% 081523 DTD080516 CALL@MW+50BP	552848AF0		2,000.00	08/08/2016	2,067.16	10/20/2017	2,208.40	141.24	6.83%	L
MGM RESORTS INTL NTS B/E 06 750% 100120 DTD040113 FC100113 CALL@MW+50BP	5529538Y6		3,000.00	07/23/2014	3,158.01	10/04/2017	3,307.50	149.49	4.73%	L
MGM RESORTS INTL NTS B/E 06 750% 100120 DTD040113 FC100113 CALL@MW+50BP	5529538Y6		5,000.00	07/23/2014	5,263.12	10/05/2017	5,500.00	236.88	4.50%	L
MGM RESORTS INTL NTS B/E 06 750% 100120 DTD040113 FC100113 CALL@MW+50BP	5529538Y6		6,000.00	05/18/2016	6,380.06	10/06/2017	6,607.50	227.44	3.56%	L
MGM RESORTS INTL NTS B/E 06 750% 100120 DTD040113 FC100113 CALL@MW+50BP	5529538Y6		3,000.00	05/18/2016	3,187.86	10/19/2017	3,300.30	112.44	3.52%	L
MICROSOFT CORP	594918104	MSFT	92.00	05/25/2017	6,380.73	08/07/2017	6,661.11	280.38	4.39%	S
MICROSTRATEGY INC NEW CL A	594972408	MSTR	14.00	06/26/2017	2,590.09	08/14/2017	1,819.20	-770.89	-29.76%	S
MICROSTRATEGY INC NEW CL A	594972408	MSTR	32.00	06/27/2017	5,950.52	08/14/2017	4,158.17	-1,792.35	-30.12%	S
MICROSTRATEGY INC NEW CL A	594972408	MSTR	22.00	06/28/2017	4,111.37	08/14/2017	2,858.74	-1,252.63	-30.46%	S
MKS INSTRUMENTS INC	55306N104	MKSI	4.00	09/25/2017	353.91	10/02/2017	379.01	25.10	7.09%	S
MKS INSTRUMENTS INC	55306N104	MKSI	2.00	09/25/2017	176.95	10/18/2017	200.89	23.94	13.52%	S
MKS INSTRUMENTS INC	55306N104	MKSI	2.00	09/25/2017	176.96	11/30/2017	187.19	10.23	5.78%	S
MOMO INC UNSPONSORED ADR	608798107	MOMO	65.00	08/29/2017	2,222.03	09/18/2017	2,393.90	171.87	7.73%	S
MSA SAFETY INC COM	553498106	MSA	17.00	08/09/2017	1,177.42	10/02/2017	1,360.33	182.91	15.53%	S
MSA SAFETY INC COM	553498106	MSA	13.00	08/09/2017	900.38	10/18/2017	1,052.72	152.34	16.91%	S
MSA SAFETY INC COM	553498106	MSA	5.00	08/09/2017	346.30	11/30/2017	428.54	82.24	23.74%	S
MSC INDL DIRECT CO INC	553530106	MSM	15.00	07/30/2015	1,051.16	04/26/2017	1,380.92	329.76	31.37%	L
MSC INDL DIRECT CO INC	553530106	MSM	100.00	07/30/2015	7,007.72	08/08/2017	7,012.84	5.12	0.07%	L
MSC INDL DIRECT CO INC	553530106	MSM	25.00	07/31/2015	1,761.57	08/08/2017	1,753.21	-8.36	-0.47%	L
MSC INDL DIRECT CO INC	553530106	MSM	206.00	08/03/2015	14,597.51	08/08/2017	14,446.44	-151.07	-1.03%	L



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Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
MSC INDL DIRECT CO INC	MSM	2.00	08/03/2015	141.72	10/02/2017	150.75	9.03	6.37%	L
MSC INDL DIRECT CO INC	MSM	6.00	08/03/2015	425.17	10/18/2017	472.55	47.38	11.14%	L
MSC INDL DIRECT CO INC	MSM	1.00	08/03/2015	70.87	11/30/2017	89.90	19.03	26.85%	L
MURATA MFG CO LTD ADR	MRAAY	19.00	04/25/2016	659.91	12/08/2017	616.20	-43.71	-6.62%	L
MURATA MFG CO LTD ADR	MRAAY	107.00	04/26/2016	3,720.58	12/08/2017	3,470.20	-250.38	-6.72%	L
MURATA MFG CO LTD ADR	MRAAY	133.00	04/28/2016	4,546.68	12/08/2017	4,313.42	-233.26	-5.13%	L
MURATA MFG CO LTD ADR	MRAAY	245.00	05/25/2016	6,847.75	12/08/2017	7,945.78	1,098.03	16.03%	L
MURATA MFG CO LTD ADR	MRAAY	21.00	08/07/2017	832.65	12/08/2017	681.07	-151.58	-18.20%	S
MURATA MFG CO LTD ADR	MRAAY	170.00	10/05/2017	6,137.85	12/08/2017	5,513.40	-624.45	-10.17%	S
MURATA MFG CO LTD ADR	MRAAY	48.00	10/25/2017	1,825.44	12/08/2017	1,556.72	-268.72	-14.72%	S
MYLAN N V EUR	MYL	19.00	01/05/2017	744.04	08/04/2017	628.91	-115.13	-15.47%	S
MYLAN N V EUR	MYL	7.00	01/19/2017	259.13	08/04/2017	231.70	-27.43	-10.58%	S
MYLAN N V EUR	MYL	277.00	08/10/2015	15,861.02	09/27/2017	8,888.72	-6,972.30	-43.95%	L
MYLAN N V EUR	MYL	20.00	08/25/2015	1,038.20	09/27/2017	641.79	-396.41	-38.18%	L
MYLAN N V EUR	MYL	81.00	09/28/2015	3,379.32	09/27/2017	2,599.23	-780.09	-23.08%	L
MYLAN N V EUR	MYL	70.00	04/18/2016	3,282.48	09/27/2017	2,246.25	-1,036.23	-31.56%	L
MYLAN N V EUR	MYL	805.00	07/26/2016	37,899.58	09/27/2017	25,831.85	-12,067.73	-31.84%	L
MYLAN N V EUR	MYL	800.00	12/21/2015	42,666.72	11/02/2017	28,558.70	-14,108.02	-33.06%	L
MYLAN N V EUR	MYL	168.00	06/30/2016	7,230.01	11/02/2017	5,997.32	-1,232.69	-17.04%	L
MYLAN N V EUR	MYL	369.00	10/06/2016	13,616.10	11/02/2017	13,172.70	-443.40	-3.25%	L
MYLAN N V EUR	MYL	7.00	10/06/2016	259.53	11/02/2017	249.89	-9.64	-3.71%	L
MYLAN N V EUR	MYL	941.00	08/07/2017	30,305.66	11/02/2017	33,592.16	3,286.50	10.84%	S
MYLAN N V EUR	MYL	94.00	10/19/2017	3,552.26	11/02/2017	3,355.65	-196.61	-5.53%	S
NATIONSTAR MORTGAGE LLC 06.500% 080118 DTD072213 FC020114 CALL@MW+508P		2,000.00	03/16/2016	1,978.92	10/20/2017	2,004.40	25.48	1.28%	L
NATL FUEL GAS CO	NFG	5.00	12/13/2012	266.15	10/20/2017	287.71	21.56	8.10%	L
NATL FUEL GAS CO	NFG	20.00	02/05/2013	1,098.80	10/20/2017	1,150.82	52.02	4.73%	L
NATL FUEL GAS CO	NFG	50.00	02/13/2013	2,910.10	10/20/2017	2,877.07	-33.03	-1.13%	L



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Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
NATL FUEL GAS CO	636180101	NFG	55.00	05/17/2013	3,508.98	10/20/2017	3,164.78	-344.20	-9.80%	L
NATL FUEL GAS CO	636180101	NFG	60.00	12/23/2013	4,312.20	10/20/2017	3,452.48	-859.72	-19.93%	L
NATL FUEL GAS CO	636180101	NFG	50.00	03/04/2014	3,700.00	10/20/2017	2,877.07	-822.93	-22.24%	L
NATL FUEL GAS CO	636180101	NFG	85.00	10/13/2015	4,496.54	10/20/2017	4,891.01	394.47	8.77%	L
NATL FUEL GAS CO	636180101	NFG	176.00	09/27/2017	10,371.68	10/20/2017	10,127.28	-244.40	-2.35%	S
NATL RURAL UTIL COOP B/E 03 050% 021522 DTD020212 CALL@MW+208P	637432MQ5		32,000.00	01/14/2014	31,505.60	10/02/2017	32,894.72	1,389.12	4.40%	L
NATL RURAL UTIL COOP B/E 03 050% 021522 DTD020212 CALL@MW+208P	637432MQ5		28,000.00	01/05/2016	28,339.05	10/02/2017	28,782.88	443.83	1.56%	L
NATL RURAL UTIL COOP B/E 03 050% 021522 DTD020212 CALL@MW+208P	637432MQ5		5,000.00	07/07/2016	5,250.23	10/02/2017	5,139.80	-110.43	-2.10%	L
NETEASE INC SPON ADR	64110W102	NITES	21.00	09/19/2017	6,084.75	10/03/2017	5,722.67	-362.08	-5.95%	S
NEW YORK CMNTY BANCORP	649445103	NYCB	5.00	12/21/2009	70.98	09/27/2017	63.85	-7.13	-10.04%	L
NEW YORK CMNTY BANCORP	649445103	NYCB	45.00	08/11/2010	763.65	09/27/2017	574.63	-189.02	-24.75%	L
NEW YORK CMNTY BANCORP	649445103	NYCB	10.00	10/25/2011	126.94	09/27/2017	127.70	0.76	0.59%	L
NEW YORK CMNTY BANCORP	649445103	NYCB	270.00	10/25/2011	3,427.30	10/20/2017	3,468.07	40.77	1.18%	L
NEW YORK CMNTY BANCORP	649445103	NYCB	160.00	02/05/2013	2,161.01	10/20/2017	2,055.15	-105.86	-4.89%	L
NEW YORK CMNTY BANCORP	649445103	NYCB	250.00	12/23/2013	4,157.48	10/20/2017	3,211.18	-946.30	-22.76%	L
NEW YORK CMNTY BANCORP	649445103	NYCB	305.00	03/04/2014	4,880.00	10/20/2017	3,917.63	-962.37	-19.72%	L
NEW YORK CMNTY BANCORP	649445103	NYCB	485.00	05/25/2016	7,478.70	10/20/2017	6,229.68	-1,249.02	-16.70%	L
NEWMARKET CORP	651587107	NEU	11.00	12/23/2013	3,633.37	08/08/2017	4,833.03	1,199.66	33.01%	L
NEWMARKET CORP	651587107	NEU	118.00	01/04/2016	44,008.08	08/08/2017	51,845.27	7,837.19	17.80%	L
NEWMARKET CORP	651587107	NEU	13.00	05/25/2016	5,294.38	08/08/2017	5,711.77	417.39	7.88%	L
NEXTERA ENERGY INC COM	65339F101	NEE	43.00	10/26/2017	6,613.40	12/19/2017	6,663.47	50.07	0.75%	S
NISOURCE INC	65473P105	NI	59.00	12/23/2013	688.96	10/20/2017	1,567.77	878.81	127.55%	L
NISOURCE INC	65473P105	NI	55.00	03/04/2014	688.05	10/20/2017	1,461.47	773.42	112.40%	L
NISOURCE INC	65473P105	NI	375.00	08/26/2015	6,113.21	10/20/2017	9,964.61	3,851.40	63.00%	L
NISOURCE INC	65473P105	NI	244.00	09/27/2017	6,413.54	10/20/2017	6,483.64	70.10	1.09%	S
NORDSON CORP	655663102	NDSN	8.00	08/09/2017	1,028.07	10/02/2017	954.15	-73.92	-7.19%	S



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Realized gain/loss - Year 2017 (continued)

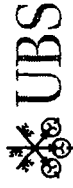
CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
655663102	NDSN	9.00	08/09/2017	1,156.57	10/18/2017	1,111.74	-44.83	-3.87%	S
655663102	NDSN	4.00	08/09/2017	514.04	11/30/2017	511.47	-2.57	-0.49%	S
655664100	JWN	22.00	08/09/2017	1,029.97	10/02/2017	960.30	-69.67	-6.76%	S
655664100	JWN	28.00	08/09/2017	1,310.86	10/18/2017	1,184.93	-125.93	-9.60%	S
655664100	JWN	14.00	08/09/2017	655.43	11/30/2017	634.75	-20.68	-3.15%	S
655664100	JWN	66.00	08/09/2017	3,089.90	12/18/2017	3,066.48	-23.42	-0.75%	S
655664100	JWN	1.00	08/09/2017	46.81	12/19/2017	46.37	-0.44	-0.93%	S
665772CH0		64,000.00	09/10/2012	63,737.60	10/02/2017	63,330.56	-407.04	-0.63%	L
629377BU5		1,000.00	01/15/2014	1,031.24	12/14/2017	103.63	-927.61	-89.95%	L
629377BU5		2,000.00	03/26/2014	2,063.70	12/14/2017	207.27	-1,856.43	-89.95%	L
629377BU5		2,000.00	03/31/2014	2,063.70	12/14/2017	207.27	-1,856.43	-89.95%	L
629377BU5		2,000.00	04/02/2014	2,063.70	12/14/2017	207.27	-1,856.43	-89.95%	L
629377BU5		3,000.00	04/07/2014	3,095.54	12/14/2017	310.91	-2,784.63	-89.95%	L
629377BU5		3,000.00	06/08/2016	3,000.00	12/14/2017	310.90	-2,689.10	-89.63%	L
62943WAB5		3,000.00	01/20/2017	3,081.98	10/19/2017	3,138.75	56.77	1.84%	S
665772CK3		8,000.00	02/05/2016	8,027.92	10/02/2017	8,041.28	13.36	0.16%	L
665772CK3		4,000.00	06/16/2016	4,127.69	10/02/2017	4,020.64	-107.05	-2.59%	L
665859AM6		62,000.00	02/29/2016	64,560.81	10/02/2017	64,484.28	-76.53	-0.11%	L
670690155	NRIIX	198.37	01/05/2017	4,574.49	08/08/2017	4,790.71	216.22	4.72%	S
670690155	NRIIX	60.30	01/19/2017	1,387.57	08/08/2017	1,456.32	68.75	4.95%	S
670690155	NRIIX	0.74	01/31/2017	17.18	08/08/2017	17.92	0.74	4.30%	S
670690155	NRIIX	1.15	02/28/2017	26.92	08/08/2017	27.70	0.78	2.89%	S
670690155	NRIIX	1.15	03/31/2017	27.01	08/08/2017	27.67	0.66	2.44%	S



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CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
670690155	NRIIX	1.15	04/28/2017	27.24	08/08/2017	27.73	0.49	1.79%	S
670690155	NRIIX	1.14	05/31/2017	27.32	08/08/2017	27.65	0.33	1.20%	S
670690155	NRIIX	1.15	06/30/2017	27.56	08/08/2017	27.75	0.19	0.68%	S
670690155	NRIIX	1.14	07/31/2017	27.58	08/08/2017	27.43	-0.15	-0.54%	S
670690155	NRIIX	10,598.24	08/25/2015	231,695.86	09/29/2017	257,855.16	26,159.30	11.29%	L
670690155	NRIIX	8.10	08/31/2015	179.17	09/29/2017	197.00	17.83	9.95%	L
670690155	NRIIX	51.05	09/30/2015	1,111.87	09/29/2017	1,242.07	130.20	11.71%	L
670690155	NRIIX	49.45	10/30/2015	1,112.59	09/29/2017	1,203.17	90.58	8.14%	L
670690155	NRIIX	50.38	11/30/2015	1,112.64	09/29/2017	1,225.62	112.98	10.15%	L
670690155	NRIIX	51.26	12/31/2015	1,118.31	09/29/2017	1,247.18	128.87	11.52%	L
670690155	NRIIX	52.90	01/29/2016	1,123.76	09/29/2017	1,287.15	163.39	14.53%	L
670690155	NRIIX	53.03	02/29/2016	1,122.47	09/29/2017	1,290.18	167.71	14.94%	L
670690155	NRIIX	50.05	03/31/2016	1,127.25	09/29/2017	1,217.74	90.49	8.02%	L
670690155	NRIIX	97.08	04/18/2016	2,199.16	09/29/2017	2,362.00	162.84	7.40%	L
670690155	NRIIX	49.78	04/29/2016	1,136.40	09/29/2017	1,211.20	74.80	6.58%	L
670690155	NRIIX	50.13	05/31/2016	1,148.20	09/29/2017	1,219.73	71.53	6.22%	L
670690155	NRIIX	49.18	06/30/2016	1,153.72	09/29/2017	1,196.58	42.86	3.71%	L
670690155	NRIIX	3,912.74	07/26/2016	93,548.23	09/29/2017	95,197.04	1,648.81	1.76%	L
670690155	NRIIX	50.36	07/29/2016	1,211.22	09/29/2017	1,225.16	13.94	1.15%	L
670690155	NRIIX	66.00	08/31/2016	1,576.74	09/29/2017	1,605.90	29.16	1.84%	L
670690155	NRIIX	66.26	09/30/2016	1,583.81	09/29/2017	1,612.06	28.25	1.78%	S
670690155	NRIIX	68.12	10/31/2016	1,591.11	09/29/2017	1,657.23	66.12	4.15%	S
670690155	NRIIX	71.22	11/30/2016	1,598.57	09/29/2017	1,732.86	134.29	8.40%	S
670690155	NRIIX	70.58	12/30/2016	1,606.38	09/29/2017	1,717.19	110.81	6.89%	S
670690155	NRIIX	69.70	01/31/2017	1,613.60	09/29/2017	1,695.85	82.25	5.09%	S
670690155	NRIIX	69.06	02/28/2017	1,620.91	09/29/2017	1,680.30	59.39	3.66%	S
670690155	NRIIX	69.08	03/31/2017	1,628.12	09/29/2017	1,680.62	52.50	3.22%	S

Realized gain/loss - Year 2017 (continued)



Consolidated report prepared for Checking

3A 01040 West Fdn SEIX
3A 04730 West Fdn MMM
3A 06635 West Fdn CAMB
3A 07806 West Fdn OGARP
3A 09708 West Fdn INDEX

3A 09710 West Bristol Fd
3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHLN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR

3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

3A 04727 West Fdn GL FI
3A 04728 West Fdn LONDON
3A 04729 West Fdn NFJ
3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
NUVEEN REAL ASSET INCOME FUND CLASS I	670690155	NRIX	68.91	04/28/2017	1,635.31	09/29/2017	1,676.65	41.34	2.52%	S
NUVEEN REAL ASSET INCOME FUND CLASS I	670690155	NRIX	68.84	05/31/2017	1,642.43	09/29/2017	1,674.78	32.35	1.96%	S
NUVEEN REAL ASSET INCOME FUND CLASS I	670690155	NRIX	68.76	06/30/2017	1,649.65	09/29/2017	1,673.03	23.38	1.41%	S
NUVEEN REAL ASSET INCOME FUND CLASS I	670690155	NRIX	68.23	07/31/2017	1,656.70	09/29/2017	1,660.11	3.41	0.20%	S
NUVEEN REAL ASSET INCOME FUND CLASS I	670690155	NRIX	61.82	08/31/2017	1,502.80	09/29/2017	1,504.03	1.23	0.08%	S
O REILLY AUTOMOTIVE INC	67103H107	ORLY	170.00	12/21/2015	42,778.83	05/25/2017	41,354.61	-1,424.22	-3.32%	L
O REILLY AUTOMOTIVE INC	67103H107	ORLY	27.00	06/30/2016	7,331.04	05/25/2017	6,568.08	-762.96	-10.40%	S
O REILLY AUTOMOTIVE INC	67103H107	ORLY	3.00	01/05/2017	848.79	08/04/2017	617.84	-230.95	-27.20%	S
O REILLY AUTOMOTIVE INC	67103H107	ORLY	1.00	01/19/2017	278.16	08/04/2017	205.94	-72.22	-25.96%	S
O REILLY AUTOMOTIVE INC	67103H107	ORLY	78.00	07/09/2014	12,114.61	08/08/2017	15,829.81	3,715.20	30.66%	L
O REILLY AUTOMOTIVE INC	67103H107	ORLY	1.00	10/27/2014	170.77	08/08/2017	202.95	32.18	18.84%	L
O REILLY AUTOMOTIVE INC	67103H107	ORLY	130.00	07/26/2016	36,830.72	08/08/2017	26,383.02	-10,447.70	-28.36%	L
OCCIDENTAL PETROLEUM CRP	674599105	OXY	29.00	01/05/2017	2,050.58	08/04/2017	1,801.73	-248.85	-12.13%	S
OCCIDENTAL PETROLEUM CRP	674599105	OXY	10.00	01/19/2017	686.90	08/04/2017	621.28	-65.62	-9.55%	S
OCCIDENTAL PETROLEUM CRP	674599105	OXY	2,131.00	09/28/2015	138,539.89	10/04/2017	136,561.85	-1,978.04	-1.42%	L
OCCIDENTAL PETROLEUM CRP	674599105	OXY	55.00	04/18/2016	3,992.82	10/04/2017	3,524.59	-468.23	-11.72%	L
OLD DOMINION FREIGHT LINES INC	679580100	ODFL	393.00	02/06/2013	14,509.56	08/08/2017	38,028.87	23,519.31	162.09%	L
OLD DOMINION FREIGHT LINES INC	679580100	ODFL	76.00	12/23/2013	4,002.56	08/08/2017	7,354.18	3,351.62	83.73%	L
OLD DOMINION FREIGHT LINES INC	679580100	ODFL	151.00	05/11/2016	9,775.44	08/08/2017	14,611.60	4,836.16	49.47%	L
OLD DOMINION FREIGHT LINES INC	679580100	ODFL	66.00	05/25/2016	4,243.07	08/08/2017	6,386.53	2,143.46	50.51%	L
OMEGA HEALTHCARE INVS INC	681936100	OHI	57.00	08/09/2017	1,760.46	10/02/2017	1,792.10	31.64	1.79%	S
OMEGA HEALTHCARE INVS INC	681936100	OHI	67.00	08/09/2017	2,069.30	10/18/2017	2,158.03	88.73	4.28%	S
OMEGA HEALTHCARE INVS INC	681936100	OHI	35.00	08/09/2017	934.83	11/30/2017	934.83	0.00	0.00%	S
OMNICOM GROUP INC	681919106	OMC	75.00	08/25/2011	2,905.86	10/20/2017	5,522.95	2,617.09	90.06%	L
OMNICOM GROUP INC	681919106	OMC	30.00	02/05/2013	1,621.04	10/20/2017	2,209.18	588.14	36.28%	L
OMNICOM GROUP INC	681919106	OMC	25.00	12/23/2013	1,793.00	10/20/2017	1,840.98	47.98	2.67%	L
OMNICOM GROUP INC	681919106	OMC	40.00	03/04/2014	3,001.60	10/20/2017	2,945.57	-56.03	-1.86%	L



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3A 01040 West Fdn SEIX 3A 09710 West Bristol Ed 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
 3A 04730 West Fdn MMM 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn OPP EQ 3A 02479 West Fdn TW MCO 3A 04729 West Fdn NFJ
 3A 07806 West Fdn OGARP 3A 09715 West Fdn RACHUN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
OMNICOM GROUP INC	OMC	105.00	09/01/2015	6,851.06	10/20/2017	7,732.13	881.07	12.86%	L
OMNICOM GROUP INC	OMC	10.00	05/25/2016	830.10	10/20/2017	736.39	-93.71	-11.28%	L
OMNICOM GROUP INC	OMC	90.00	09/27/2017	7,102.80	10/20/2017	6,627.54	-475.26	-6.69%	S
ORBITAL ATK INC COM	OA	218.00	04/10/2013	6,956.10	08/08/2017	22,885.62	15,929.52	229.00%	L
ORBITAL ATK INC COM	OA	73.00	12/23/2013	3,868.01	08/08/2017	7,663.53	3,795.52	98.12%	L
ORBITAL ATK INC COM	OA	123.00	06/09/2015	9,125.78	08/08/2017	12,912.53	3,786.75	41.49%	L
ORBITAL ATK INC COM	OA	54.00	05/25/2016	4,768.69	08/08/2017	5,668.91	900.22	18.87%	L
ORBITAL ATK INC COM	OA	58.00	03/18/2016	4,757.91	10/20/2017	7,690.68	2,932.77	61.63%	L
ORBITAL ATK INC COM	OA	10.00	05/25/2016	883.90	10/20/2017	1,325.98	442.08	50.01%	L
ORBITAL ATK INC COM	OA	66.00	06/23/2016	5,772.88	10/20/2017	8,751.46	2,978.58	51.59%	L
ORBITAL ATK INC COM	OA	123.00	08/10/2016	8,625.02	10/20/2017	16,309.55	7,684.53	89.09%	L
ORBITAL ATK INC COM	OA	27.00	09/27/2017	2,869.43	10/20/2017	3,580.14	710.71	24.76%	S
PACKAGING CORP OF AMERICA	PKG	3.00	08/09/2017	329.16	10/02/2017	350.93	21.77	6.61%	S
PACKAGING CORP OF AMERICA	PKG	10.00	08/09/2017	1,097.21	10/18/2017	1,162.48	65.27	5.94%	S
PACKAGING CORP OF AMERICA	PKG	4.00	08/09/2017	438.88	11/30/2017	472.67	33.79	7.69%	S
PACWEST BANCORP	PACW	47.00	08/09/2017	2,218.23	10/02/2017	2,371.62	153.39	6.91%	S
PACWEST BANCORP	PACW	41.00	08/09/2017	1,935.04	10/18/2017	1,910.15	-24.89	-1.28%	S
PACWEST BANCORP	PACW	21.00	08/09/2017	991.13	11/30/2017	998.55	7.42	0.74%	S
PAREXEL INTL CORP **MERGER 10/2017**		655.00	12/21/2015	42,795.28	05/25/2017	52,172.53	9,377.25	21.91%	L
PAREXEL INTL CORP **MERGER 10/2017**		118.00	06/30/2016	7,242.93	05/25/2017	9,399.02	2,156.09	29.76%	S
PARK HOTELS & RESORTS INC REIT	PK	0.80	12/21/2015	18.27	01/04/2017	23.79	5.52	30.21%	L
PARK HOTELS & RESORTS INC REIT	PK	398.20	12/21/2015	9,093.80	01/05/2017	11,380.30	2,286.50	25.14%	L
PARK HOTELS & RESORTS INC REIT	PK	64.80	06/30/2016	1,557.04	01/05/2017	1,851.94	294.90	18.93%	S
PBF ENERGY INC CL A	PBF	494.00	06/30/2016	11,519.09	10/20/2017	13,670.15	2,151.06	18.67%	L
PBF ENERGY INC CL A	PBF	218.00	09/27/2017	5,092.48	10/20/2017	6,032.57	940.09	18.46%	S
PEBBLEBROOK HOTEL TR	PEB	90.00	08/09/2017	2,872.67	09/06/2017	3,000.72	128.05	4.45%	S
PEBBLEBROOK HOTEL TR	PEB	48.00	08/09/2017	1,531.58	10/02/2017	1,711.64	180.06	11.75%	S



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3A 01040 West Fdn SEIX	3A 09710 West Bristol Fd	3A 00893 West Fdn	3A 01043 West Fdn ROOS	3A 04727 West Fdn GL FI
3A 04730 West Fdn MMM	3A 09713 West Fdn EDGE	3A 00894 West Fdn MIP	3A 01044 West Fdn TW	3A 04728 West Fdn LONDON
3A 06635 West Fdn CAMB	3A 09714 West Fdn GLOVIS	3A 01039 West Fdn REIN	3A 02479 West Fdn OPP EQ	3A 04729 West Fdn NFJ
3A 07806 West Fdn OGARP	3A 09715 West Fdn RACHUN	3A 01041 West Fdn YACKT	3A 03355 West Fdn TW MICO	3A 09676 West Fdn Checking
3A 09708 West Fdn INDEX	3A 09843 West Fdn KAYNE	3A 01042 West Fdn ANCHOR	3A 04338 West Fdn KAYNE	

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
70509V100	PEB	33.00	08/09/2017	1,052.97	10/18/2017	1,231.53	178.56	16.95%	S
70509V100	PEB	56.00	08/09/2017	1,786.84	10/30/2017	1,976.63	189.79	10.62%	S
70509V100	PEB	27.00	08/09/2017	861.52	10/31/2017	947.69	86.17	10.00%	S
70509V100	PEB	17.00	08/09/2017	542.43	11/30/2017	648.22	105.79	19.50%	S
693304AL1		19,000.00	12/04/2009	19,110.96	09/07/2017	19,343.90	232.94	1.21%	L
693304AL1		26,000.00	01/20/2010	26,130.26	09/07/2017	26,470.60	340.34	1.30%	L
693304AL1		8,000.00	07/27/2016	8,158.90	09/07/2017	8,144.80	-14.10	-0.17%	L
70959W103	PAG	396.00	04/20/2017	19,121.41	08/08/2017	16,313.04	-2,808.37	-14.68%	S
70959W103	PAG	209.00	04/21/2017	9,963.20	08/08/2017	8,609.66	-1,353.54	-13.58%	S
713448CK2		65,000.00	03/08/2017	65,555.00	10/02/2017	65,524.55	-30.45	-0.04%	S
713448BY3		8,000.00	11/03/2016	8,359.05	03/08/2017	8,043.76	-315.29	-3.77%	S
713448BW7		56,000.00	07/11/2013	55,400.24	03/08/2017	57,157.52	1,757.28	3.17%	L
71654V408	PBR	581.00	09/25/2017	5,992.20	11/17/2017	5,804.11	-188.09	-3.13%	S
71654V408	PBR	191.00	10/25/2017	2,003.00	11/17/2017	1,908.07	-94.93	-4.73%	S
71654V408	PBR	760.00	11/06/2017	8,291.60	11/17/2017	7,592.30	-699.30	-8.43%	S
72651A207	PAGP	464.00	08/09/2017	9,978.97	08/16/2017	9,201.42	-777.55	-7.79%	S
69349LAM0		55,000.00	10/22/2013	54,952.70	08/07/2017	58,279.10	3,326.40	6.05%	L
69349LAG3		8,000.00	01/28/2016	7,881.12	08/07/2017	8,065.12	184.00	2.33%	L
69349LAG3		4,000.00	06/21/2016	4,032.46	08/07/2017	4,032.56	0.10	0.00%	L
69347SAT2		71,000.00	08/07/2017	71,348.11	10/02/2017	71,046.15	-301.96	-0.42%	S
69349H107	PNM	18.00	08/09/2017	746.73	10/02/2017	734.38	-12.35	-1.65%	S
69349H107	PNM	16.00	08/09/2017	663.76	10/18/2017	664.78	1.02	0.15%	S
69349H107	PNM	8.00	08/09/2017	331.88	11/30/2017	362.79	30.91	9.31%	S
737446104	POST	162.00	12/29/2016	13,020.22	08/08/2017	13,834.42	814.20	6.25%	S



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3A 01040 West Fdn SEIX 3A 09710 West Bristol Ed 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
 3A 04730 West Fdn MMB 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
 3A 06635 West Fdn CAMB 3A 01039 West Fdn REIN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFI
 3A 07806 West Fdn OGARP 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
737446104	POST	195.00	12/30/2016	15,716.42	08/08/2017	16,652.54	936.12	5.95%	S
693511106	PPL	513.00	09/30/2016	17,803.20	10/20/2017	19,356.53	1,553.33	8.72%	L
693511106	PPL	226.00	09/27/2017	8,757.50	10/20/2017	8,527.44	-230.06	-2.62%	S
742718DY2		61,000.00	11/09/2016	62,138.98	10/02/2017	61,434.32	-704.66	-1.13%	S
144141DC9		30,000.00	05/29/2014	30,114.55	10/02/2017	30,572.70	458.15	1.52%	L
144141DC9		3,000.00	07/28/2016	3,137.53	10/02/2017	3,057.27	-80.26	-2.55%	L
74432QBW4		50,000.00	07/24/2014	50,171.75	10/02/2017	50,273.50	101.75	0.20%	L
74432QBW4		10,000.00	01/12/2016	10,031.02	10/02/2017	10,054.70	23.68	0.23%	L
74432QBW4		6,000.00	07/11/2016	6,056.90	10/02/2017	6,032.82	-24.08	-0.39%	L
74456QBH8		84,000.00	09/07/2017	87,137.63	10/02/2017	85,583.65	-1,553.98	-1.78%	S
74456QBGO		12,000.00	07/16/2014	11,889.72	09/07/2017	12,025.32	135.60	1.14%	L
74456QAS5		23,000.00	02/03/2016	23,567.44	09/07/2017	23,546.48	-20.96	-0.08%	L
750236AT8		2,000.00	03/21/2016	2,043.68	09/26/2017	2,297.50	253.82	12.41%	L
750236AT8		3,000.00	03/22/2016	3,070.99	09/26/2017	3,446.25	375.26	12.21%	L
750236AT8		3,000.00	03/23/2016	3,076.45	09/26/2017	3,446.25	369.80	12.02%	L
751452202	RPT	51.00	08/09/2017	687.98	10/18/2017	687.98	0.00	0.00%	S
751452202	RPT	29.00	08/09/2017	403.05	11/30/2017	416.43	13.38	3.31%	S
758766109		10.00	12/27/2012	130.37	10/20/2017	163.13	32.76	25.12%	L
758766109		35.00	12/28/2012	459.95	10/20/2017	570.94	110.98	24.12%	L
758766109		175.00	01/17/2013	2,472.56	10/20/2017	2,854.71	382.15	15.45%	L
758766109		115.00	02/05/2013	1,600.42	10/20/2017	1,875.95	275.53	17.21%	L



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CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
3A 01040 West Fdn SEIX 3A 04730 West Fdn MMM 3A 06635 West Fdn CAMB 3A 07806 West Fdn QGARP 3A 09708 West Fdn INDEX	758766109	175 00	12/23/2013	3,294 15	10/20/2017	2,854 71	-439 44	-13 34%	L
3A 00893 West Fdn ROOS 3A 01043 West Fdn TW 3A 04727 West Fdn GL FI 3A 04728 West Fdn LONDON 3A 04729 West Fdn NFJ	758766109	190 00	03/04/2014	3,426 40	10/20/2017	3,099 40	-327 00	-9 54%	L
3A 00894 West Fdn MLP 3A 01039 West Fdn REIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 04338 West Fdn KAYNE	758766109	225 00	05/30/2014	4,208 24	10/20/2017	3,670 34	-537 90	-12 78%	L
3A 09710 West Bristol Fd 3A 09713 West Fdn EDGE 3A 09714 West Fdn GLOVIS 3A 09715 West Fdn RACHLN 3A 09843 West Fdn KAYNE	758766109	65 00	06/02/2014	1,216 39	10/20/2017	1,060 32	-156 07	-12 83%	L
3A 01040 West Fdn SEIX 3A 04730 West Fdn MMM 3A 06635 West Fdn CAMB 3A 07806 West Fdn QGARP 3A 09708 West Fdn INDEX	758766109	130 00	05/25/2016	2,759 90	10/20/2017	2,120 64	-639 26	-23 16%	L
3A 00893 West Fdn ROOS 3A 01043 West Fdn TW 3A 04727 West Fdn GL FI 3A 04728 West Fdn LONDON 3A 04729 West Fdn NFJ	758766109	613 00	09/27/2017	11,383 41	10/20/2017	9,999 64	-1,383 77	-12 15%	S
3A 00894 West Fdn MLP 3A 01039 West Fdn REIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 04338 West Fdn KAYNE	762760AB2	2,000 00	04/20/2016	1,945 00	10/20/2017	2,095 22	150 22	7 72%	L
3A 09710 West Bristol Fd 3A 09713 West Fdn EDGE 3A 09714 West Fdn GLOVIS 3A 09715 West Fdn RACHLN 3A 09843 West Fdn KAYNE	762760AB2	4,000 00	06/02/2016	3,940 00	11/13/2017	4,187 52	247 52	6 28%	L
3A 01040 West Fdn SEIX 3A 04730 West Fdn MMM 3A 06635 West Fdn CAMB 3A 07806 West Fdn QGARP 3A 09708 West Fdn INDEX	762760AB2	5,000 00	10/06/2016	5,198 01	11/13/2017	5,234 40	36 39	0 70%	L
3A 00893 West Fdn ROOS 3A 01043 West Fdn TW 3A 04727 West Fdn GL FI 3A 04728 West Fdn LONDON 3A 04729 West Fdn NFJ	762760AB2	2,000 00	10/11/2016	2,081 46	11/13/2017	2,093 76	12 30	0 59%	L
3A 00894 West Fdn MLP 3A 01039 West Fdn REIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 04338 West Fdn KAYNE	762760AB2	5,000 00	08/29/2017	5,198 12	11/13/2017	5,234 40	36 28	0 69%	S
3A 09710 West Bristol Fd 3A 09713 West Fdn EDGE 3A 09714 West Fdn GLOVIS 3A 09715 West Fdn RACHLN 3A 09843 West Fdn KAYNE	767754CG7	3,000 00	07/09/2015	3,117 09	10/26/2017	3,000 00	-117 09	-3 75%	L
3A 01040 West Fdn SEIX 3A 04730 West Fdn MMM 3A 06635 West Fdn CAMB 3A 07806 West Fdn QGARP 3A 09708 West Fdn INDEX	771195104	258 00	10/10/2014	8,902 29	10/25/2017	7,516 70	-1,385 59	-15 56%	L
3A 00893 West Fdn ROOS 3A 01043 West Fdn TW 3A 04727 West Fdn GL FI 3A 04728 West Fdn LONDON 3A 04729 West Fdn NFJ	771195104	66 00	12/23/2014	2,267 10	10/25/2017	1,922 88	-344 22	-15 18%	L
3A 00894 West Fdn MLP 3A 01039 West Fdn REIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 04338 West Fdn KAYNE	773903109	159 00	03/27/2015	18,016 29	08/04/2017	26,216 90	8,200 61	45 51%	L
3A 09710 West Bristol Fd 3A 09713 West Fdn EDGE 3A 09714 West Fdn GLOVIS 3A 09715 West Fdn RACHLN 3A 09843 West Fdn KAYNE	773903109	4 00	07/16/2015	493 88	08/04/2017	659 55	165 67	33 54%	L
3A 01040 West Fdn SEIX 3A 04730 West Fdn MMM 3A 06635 West Fdn CAMB 3A 07806 West Fdn QGARP 3A 09708 West Fdn INDEX	773903109	4 00	08/10/2015	474 92	08/04/2017	659 54	184 62	38 87%	L
3A 00893 West Fdn ROOS 3A 01043 West Fdn TW 3A 04727 West Fdn GL FI 3A 04728 West Fdn LONDON 3A 04729 West Fdn NFJ	773903109	5 00	08/25/2015	536 95	08/04/2017	824 44	287 49	53 54%	L
3A 00894 West Fdn MLP 3A 01039 West Fdn REIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 04338 West Fdn KAYNE	773903109	12 00	09/28/2015	1,201 08	08/04/2017	1,978 63	777 55	64 73%	L
3A 09710 West Bristol Fd 3A 09713 West Fdn EDGE 3A 09714 West Fdn GLOVIS 3A 09715 West Fdn RACHLN 3A 09843 West Fdn KAYNE	773903109	310 00	07/26/2016	37,075 38	08/04/2017	51,114 72	14,039 34	37 86%	L
3A 01040 West Fdn SEIX 3A 04730 West Fdn MMM 3A 06635 West Fdn CAMB 3A 07806 West Fdn QGARP 3A 09708 West Fdn INDEX	773903109	5 00	01/05/2017	688 75	08/04/2017	824 59	135 84	19 72%	S
3A 00893 West Fdn ROOS 3A 01043 West Fdn TW 3A 04727 West Fdn GL FI 3A 04728 West Fdn LONDON 3A 04729 West Fdn NFJ	773903109	2 00	01/19/2017	281 60	08/04/2017	329 83	48 23	17 12%	S

Realized gain/loss - Year 2017 (continued)



3A 01040 West Fdn SEIX
3A 04730 West Fdn MMM
3A 06635 West Fdn CAMB
3A 07806 West Fdn QGARP
3A 09708 West Fdn INDEX

3A 09710 West Bristol Fd
3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHLN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 01043 West Fdn ROOS
3A 04727 West Fdn GL FI
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
773903109	ROK	46.00	12/21/2015	4,621.19	08/07/2017	7,617.42	2,996.23	64.83%	L
774341101	COL	205.00	07/09/2014	16,063.76	08/04/2017	24,390.34	8,326.58	51.83%	L
774341101	COL	2.00	10/27/2014	159.18	08/04/2017	237.95	78.77	49.48%	L
774341101	COL	5.00	06/04/2015	468.20	08/04/2017	594.89	126.69	27.05%	L
774341101	COL	4.00	07/16/2015	372.40	08/04/2017	475.91	103.51	27.79%	L
774341101	COL	9.00	08/10/2015	793.71	08/04/2017	1,070.79	277.08	34.90%	L
774341101	COL	3.00	09/28/2015	241.38	08/04/2017	356.93	115.55	47.87%	L
774341101	COL	475.00	07/26/2016	39,971.25	08/04/2017	56,514.20	16,542.95	41.38%	L
774341101	COL	8.00	01/05/2017	742.15	08/04/2017	952.22	210.07	28.30%	S
774341101	COL	3.00	01/19/2017	269.52	08/04/2017	357.08	87.56	32.48%	S
774341101	COL	41.00	03/11/2013	2,501.77	10/20/2017	5,533.03	3,031.26	121.16%	L
774341101	COL	40.00	08/01/2013	2,908.46	10/20/2017	5,398.07	2,489.61	85.59%	L
774341101	COL	65.00	12/23/2013	4,752.80	10/20/2017	8,771.87	4,019.07	84.56%	L
774341101	COL	20.00	03/04/2014	1,665.00	10/20/2017	2,699.04	1,034.04	62.10%	L
774341101	COL	35.00	05/25/2016	3,116.05	10/20/2017	4,723.32	1,607.27	51.58%	L
774341101	COL	17.00	09/27/2017	2,131.29	10/20/2017	2,294.18	162.89	7.64%	S
774341101	COL	475.00	12/21/2015	42,573.97	11/10/2017	63,464.23	20,890.26	49.06%	L
774341101	COL	69.00	06/30/2016	5,844.99	11/10/2017	9,219.01	3,374.02	57.72%	L
774341101	COL	17.00	06/30/2016	1,440.07	11/10/2017	2,276.18	836.11	58.06%	L
774341101	COL	24.00	08/07/2017	3,016.78	11/10/2017	3,213.43	196.65	6.51%	S
774341101	COL	26.00	10/19/2017	3,494.40	11/10/2017	3,481.22	-13.18	-0.37%	S
779382AP5		2,000.00	01/12/2017	1,905.00	10/20/2017	1,895.80	-9.20	-0.48%	S
779382AP5		3,000.00	01/18/2017	2,872.50	10/20/2017	2,843.70	-28.80	-1.00%	S
780259206	RDSA	34.00	11/09/2015	1,765.46	01/23/2017	1,859.62	94.16	5.33%	L
780259206	RDSA	198.00	11/09/2015	10,281.23	10/18/2017	11,983.06	1,701.83	16.55%	L
749685103	RPM	10.00	08/09/2017	501.97	10/02/2017	518.19	16.22	3.23%	S



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 3A 06635 West Fdn CAMB 3A 09714 West Fdn GIOVIS 3A 01039 West Fdn REN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ
 3A 07806 West Fdn OGARP 3A 09715 West Fdn RACHLN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
RPM INTL INC (DELA)	749685103	RPM	18.00	08/09/2017	903.54	10/18/2017	932.04	28.50	3.15%	S
RPM INTL INC (DELA)	749685103	RPM	13.00	08/09/2017	652.55	11/30/2017	685.73	33.18	5.08%	S
SABINE PASS LIQUEFACTION 05 625% 030125 DITD090115 FC030116 CALL@MW+50BP	785592AM8		7,000.00	03/04/2016	6,641.25	02/22/2017	7,551.25	910.00	13.70%	S
SABINE PASS LIQUEFACTION 05 625% 030125 DITD090115 FC030116 CALL@MW+50BP	785592AM8		3,000.00	03/04/2016	2,842.50	02/23/2017	3,251.25	408.75	14.37%	S
SABINE PASS LIQUEFACTION 05 625% 030125 DITD090115 FC030116 CALL@MW+50BP	785592AM8		3,000.00	06/01/2016	3,000.00	02/23/2017	3,251.25	251.25	8.37%	S
SABINE PASS LIQUEFACTION 05 625% 030125 DITD090115 FC030116 CALL@MW+50BP	785592AM8		2,000.00	08/23/2016	2,104.18	10/19/2017	2,213.92	109.74	5.21%	L
SABINE PASS LIQUEFACTION 05 625% 030125 DITD090115 FC030116 CALL@MW+50BP	785592AM8		1,000.00	10/12/2016	1,071.77	10/19/2017	1,106.96	35.19	3.28%	L
SABRA HEALTH CARE RET INC	78573L106	SBRA	1,322.00	09/28/2017	28,650.38	10/20/2017	28,025.88	-624.50	-2.17%	S
SALLY HLDGS LLC NTS B/E 05 750% 060122 DTD051812 CALL@MW+50BP	79546VAJ5		3,000.00	10/05/2012	3,114.47	07/06/2017	3,086.25	-28.22	-0.90%	L
SALLY HLDGS LLC NTS B/E 05 750% 060122 DTD051812 CALL@MW+50BP	79546VAJ5		5,000.00	10/10/2012	5,191.00	07/06/2017	5,143.75	-47.25	-0.91%	L
SALLY HLDGS LLC NTS B/E 05 750% 060122 DTD051812 CALL@MW+50BP	79546VAJ5		5,000.00	05/25/2016	5,214.07	07/05/2017	5,143.75	-70.32	-1.34%	L
SEIKO EPSON CORP UNSPONSORED ADR	81603X108	SEKEY	429.00	09/03/2015	3,423.42	09/19/2017	5,382.20	1,958.78	57.21%	L
SEIKO EPSON CORP UNSPONSORED ADR	81603X108	SEKEY	414.00	09/03/2015	3,303.72	09/20/2017	5,188.83	1,885.11	57.06%	L
SEIKO EPSON CORP UNSPONSORED ADR	81603X108	SEKEY	332.00	09/03/2015	2,649.36	09/22/2017	4,102.17	1,452.81	54.83%	L
SEIKO EPSON CORP UNSPONSORED ADR	81603X108	SEKEY	30.00	09/14/2015	233.45	09/22/2017	370.68	137.23	58.78%	L
SEIKO EPSON CORP UNSPONSORED ADR	81603X108	SEKEY	26.00	01/04/2016	198.64	09/22/2017	321.25	122.61	61.72%	L
SEIKO EPSON CORP UNSPONSORED ADR	81603X108	SEKEY	190.00	01/04/2016	1,451.60	09/25/2017	2,369.02	917.42	63.20%	L
SEIKO EPSON CORP UNSPONSORED ADR	81603X108	SEKEY	155.00	05/25/2016	1,362.45	09/25/2017	1,932.62	570.17	41.84%	L
SEIKO EPSON CORP UNSPONSORED ADR	81603X108	SEKEY	16.00	05/25/2016	140.64	09/26/2017	197.86	57.22	40.68%	L
SEIKO EPSON CORP UNSPONSORED ADR	81603X108	SEKEY	137.00	08/07/2017	1,663.18	09/26/2017	1,694.19	31.01	1.86%	S
SEMPRA ENERGY	816851109	SRE	111.00	10/26/2017	12,793.19	12/19/2017	12,589.51	-203.68	-1.59%	S
SINCLAIR BROADCAST GROUP INC CL A	829226109	SBGI	78.00	08/09/2017	2,440.83	10/02/2017	2,484.32	43.49	1.78%	S
SINCLAIR BROADCAST GROUP INC CL A	829226109	SBGI	79.00	08/09/2017	2,401.54	10/18/2017	2,401.54	0.00	0.00%	S
SINCLAIR BROADCAST GROUP INC CL A	829226109	SBGI	42.00	08/09/2017	1,314.29	11/30/2017	1,427.97	113.68	8.64%	S



2017 FORM 990-PF

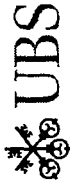
PART IV ATTACHMENT A-1

Consolidated report prepared for Checking

3A 01040 West Fdn SEIX 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
 3A 04730 West Fdn MIMM 3A 00894 West Fdn TW 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
 3A 06635 West Fdn CAMB 3A 01039 West Fdn GLOVIS 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ
 3A 07806 West Fdn QGARP 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking
 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
SINCLAIR BROADCAST GROUP INC CL A	829226109	146.00	08/09/2017	4,568.72	12/12/2017	5,263.94	695.22	15.21%	S
SINCLAIR BROADCAST GROUP INC CL A	829226109	115.00	08/09/2017	3,598.66	12/14/2017	4,198.92	600.26	16.68%	S
SIM CORP MED TERM NTS 07 250% 012522 DTD012712	78442FEL8	3,000.00	05/04/2017	3,197.82	10/26/2017	3,272.88	75.06	2.34%	S
SIM CORP MED TERM NTS 07 250% 012522 DTD012712	78442FEL8	4,000.00	05/18/2017	4,260.73	11/28/2017	4,330.00	69.27	1.62%	S
SIM CORP MED TERM NTS 07 250% 012522 DTD012712	78442FEL8	3,000.00	05/24/2017	3,202.90	11/28/2017	3,247.50	44.60	1.39%	S
SIM CORP MED TERM NTS 07 250% 012522 DTD012712	78442FEL8	2,000.00	07/07/2017	2,180.92	11/28/2017	2,165.00	-15.92	-0.72%	S
SIM CORP MED TERM NTS 07 250% 012522 DTD012712	78442FEL8	1,000.00	07/07/2017	1,090.30	12/01/2017	1,077.50	-12.80	-1.17%	S
SIM CORP MED TERM NTS 07 250% 012522 DTD012712	78442FEL8	1,000.00	09/12/2017	1,093.23	12/01/2017	1,077.50	-15.73	-1.43%	S
SIM CORP MED TERM NTS 07 250% 012522 DTD012712	78442FEL8	4,000.00	09/12/2017	4,369.06	12/18/2017	4,280.00	-89.06	-2.03%	S
SIM CORP MED TERM NTS 08 000% 032520 DTD032210	78442FEJ3	2,000.00	08/31/2017	2,201.43	10/20/2017	2,209.00	7.57	0.34%	S
SIM CORP MED TERM NTS 08 000% 032520 DTD032210	78442FEJ3	5,000.00	08/31/2017	5,482.50	11/28/2017	5,462.50	-20.00	-0.36%	S
SIM CORP MED TERM NTS 08 000% 032520 DTD032210	78442FEJ3	2,000.00	09/11/2017	2,199.80	11/28/2017	2,185.00	-14.80	-0.67%	S
SIM CORP MED TERM NTS 08 000% 032520 DTD032210	78442FEJ3	8,000.00	09/14/2017	8,796.22	11/28/2017	8,740.00	-56.22	-0.63%	S
SNAP ON INC	833034101	9.00	08/09/2017	1,334.94	10/02/2017	1,334.94	0.00	0.00%	S
SNAP ON INC	833034101	13.00	08/09/2017	2,003.65	10/18/2017	2,003.65	0.00	0.00%	S
SNAP ON INC	833034101	6.00	08/09/2017	930.14	11/30/2017	1,018.06	87.92	9.45%	S
SOCIETE GENERALE FRANCE SPONS ADR	83364L109	660.00	10/09/2014	6,334.91	02/15/2017	6,076.55	-258.36	-4.07%	L
SOCIETE GENERALE FRANCE SPONS ADR	83364L109	269.00	02/09/2015	2,239.51	02/15/2017	2,476.66	237.15	10.58%	L
SOCIETE GENERALE FRANCE SPONS ADR	83364L109	262.00	01/04/2016	2,352.22	02/15/2017	2,412.21	59.99	2.55%	L
SOCIETE GENERALE FRANCE SPONS ADR	83364L109	634.00	05/25/2016	5,221.90	02/15/2017	5,837.17	615.27	11.78%	S
SONOCO PRODUCTS CO	835495102	50.00	07/09/2012	1,477.54	10/20/2017	2,649.69	1,172.15	79.33%	L
SONOCO PRODUCTS CO	835495102	45.00	02/05/2013	1,413.11	10/20/2017	2,384.72	971.61	68.75%	L
SONOCO PRODUCTS CO	835495102	70.00	12/23/2013	2,875.50	10/20/2017	3,709.56	834.06	29.00%	L



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3A 09715 West Fdn RACHUN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR

3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MICO
3A 04338 West Fdn KAYNE

3A 04727 West Fdn GL FI
3A 04728 West Fdn LONDON
3A 04729 West Fdn NFI
3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
SONOCO PRODUCTS CO	835495102	SON	70.00	03/04/2014	10/20/2017	3,709.57	759.77	25.75%	L
SONOCO PRODUCTS CO	835495102	SON	15.00	05/25/2016	10/20/2017	794.91	87.81	12.41%	L
SONOCO PRODUCTS CO	835495102	SON	136.00	09/27/2017	10/20/2017	7,207.15	484.67	7.20%	S
SOWSTN EY STEP UP CALL 05 800% 012320 DTD012315 FC072315 CALL@MW+45BP	845467AK5		4,000.00	01/15/2016	09/25/2017	4,280.00	1,865.00	77.22%	L
SOWSTN EY STEP UP CALL 05 800% 012320 DTD012315 FC072315 CALL@MW+45BP	845467AK5		2,000.00	01/15/2016	09/25/2017	2,140.00	930.00	76.85%	L
SOWSTN EY STEP UP CALL 05 800% 012320 DTD012315 FC072315 CALL@MW+45BP	845467AK5		5,000.00	01/19/2016	09/25/2017	5,350.00	2,337.50	77.59%	L
SOWSTN EY STEP UP CALL 05 800% 012320 DTD012315 FC072315 CALL@MW+45BP	845467AK5		3,000.00	02/02/2016	09/25/2017	3,210.00	1,200.00	59.70%	L
SPECTRUM BRANDS HLDGS INC COM	84763R101	SPB	7.00	07/30/2015	04/26/2017	1,009.37	279.30	38.25%	L
SPECTRUM BRANDS HLDGS INC COM	84763R101	SPB	13.00	07/30/2015	08/08/2017	1,442.15	86.30	6.36%	L
SPECTRUM BRANDS HLDGS INC COM	84763R101	SPB	191.00	07/31/2015	08/08/2017	21,188.52	971.00	4.80%	L
SPECTRUM BRANDS HLDGS INC COM	84763R101	SPB	44.00	08/03/2015	08/08/2017	4,881.12	230.86	4.96%	L
SPECTRUM BRANDS HLDGS INC COM	84763R101	SPB	77.00	02/09/2016	08/08/2017	8,541.97	1,180.66	16.03%	L
SPECTRUM BRANDS HLDGS INC COM	84763R101	SPB	39.00	05/25/2016	08/08/2017	4,326.45	-261.86	-5.70%	L
SPRINGLEAF FIN CORP NTS 08 250% 121520 DTD041116 FC121516 CALL@MW+50BP	85172FAJ8		2,000.00	09/09/2016	10/20/2017	2,228.42	76.31	3.54%	L
SPRINT CORP NTS B/E 07 250% 091521 DTD091514 FC031515 CALL@MW+50BP	85207UAE5		2,000.00	01/10/2017	06/06/2017	2,275.00	141.25	6.61%	S
SPRINT CORP NTS B/E 07 250% 091521 DTD091514 FC031515 CALL@MW+50BP	85207UAE5		2,000.00	01/10/2017	06/09/2017	2,250.00	116.48	5.45%	S
SPRINT CORP NTS B/E 07 250% 091521 DTD091514 FC031515 CALL@MW+50BP	85207UAE5		3,000.00	01/10/2017	06/12/2017	3,367.50	167.57	5.23%	S
SPRINT CORP NTS B/E 07 250% 091521 DTD091514 FC031515 CALL@MW+50BP	85207UAE5		4,000.00	01/10/2017	06/13/2017	4,490.00	223.58	5.24%	S
SPRINT CORP NTS B/E 07 250% 091521 DTD091514 FC031515 CALL@MW+50BP	85207UAE5		2,000.00	01/10/2017	06/19/2017	2,232.50	99.76	4.67%	S
ST STREET CORP B/E 04 956% 031518 DTD021111 FC031511 SUB DEB	857477AF0		14,000.00	02/01/2016	04/18/2017	14,368.76	37.43	0.26%	L
STARBUCKS CORP	855244109	SBUX	13.00	01/05/2017	08/04/2017	720.70	-13.41	-1.82%	S
STARBUCKS CORP	855244109	SBUX	4.00	01/19/2017	08/04/2017	221.76	-10.84	-4.66%	S
STARBUCKS CORP	855244109	SBUX	322.00	07/09/2014	08/07/2017	17,905.59	5,143.14	40.29%	L



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3A 01040 West Fdn SEIX 3A 09710 West Bristol Fd 3A 00893 West Fdn 3A 01043 West Fdn ROOS 3A 04727 West Fdn GL FI
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 3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ
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 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
STARBUCKS CORP	SBUX	4.00	10/27/2014	151.98	08/07/2017	222.43	70.45	46.35%	L
STARBUCKS CORP	SBUX	10.00	08/25/2015	529.00	08/07/2017	556.07	27.07	5.11%	L
STARBUCKS CORP	SBUX	202.00	12/21/2015	11,931.13	08/07/2017	11,232.70	-698.43	-5.85%	L
STATE STREET BK & TR CO 05.250% 101518 DTD092403 FC041504 NTS B/E		46,000.00	02/09/2010	46,596.53	04/18/2017	48,331.28	1,734.75	3.72%	L
STATE STREET CORP B/E 03 300% 121624 DTD121514 FC061615		61,000.00	04/18/2017	62,756.99	10/02/2017	63,150.86	393.87	0.62%	S
STERIS PLC GBP	STE	48.00	08/09/2017	4,132.31	08/16/2017	4,147.37	15.06	0.36%	S
STERIS PLC GBP	STE	20.00	08/09/2017	1,721.79	10/02/2017	1,772.18	50.39	2.92%	S
STERIS PLC GBP	STE	24.00	08/09/2017	2,066.15	10/18/2017	2,173.41	107.26	5.19%	S
STERIS PLC GBP	STE	13.00	08/09/2017	1,119.17	11/30/2017	1,167.76	48.59	4.34%	S
STURM RUGER CO	RGR	42.00	06/03/2013	2,126.77	01/25/2017	2,159.12	32.35	1.52%	L
STURM RUGER CO	RGR	59.00	06/03/2013	2,987.61	08/08/2017	2,976.78	-10.83	-0.36%	L
STURM RUGER CO	RGR	253.00	06/04/2013	12,888.15	08/08/2017	12,764.82	-123.33	-0.95%	L
STURM RUGER CO	RGR	124.00	08/23/2013	6,407.68	08/08/2017	6,256.27	-151.41	-2.36%	L
STURM RUGER CO	RGR	36.00	12/23/2013	2,639.02	08/08/2017	1,816.34	-822.68	-31.17%	L
STURM RUGER CO	RGR	75.00	05/25/2016	5,041.50	08/08/2017	3,784.04	-1,257.46	-24.94%	L
SUMMIT MATLS LLC/FIN NTS 06 125% 071523 DTD070815 FC011516 CALL@MMW+50BP		2,000.00	11/04/2016	2,045.00	10/19/2017	2,070.80	25.80	1.26%	S
SUN COMMUNITIES INC	SUI	45.00	09/20/2012	1,663.79	10/20/2017	4,014.85	2,351.06	141.30%	L
SUN COMMUNITIES INC	SUI	45.00	02/05/2013	1,639.27	10/20/2017	4,014.86	2,375.59	144.91%	L
SUN COMMUNITIES INC	SUI	130.00	12/23/2013	4,845.27	10/20/2017	11,598.46	6,753.19	139.37%	L
SUN COMMUNITIES INC	SUI	65.00	03/04/2014	2,662.11	10/20/2017	5,799.23	3,137.12	117.84%	L
SUN COMMUNITIES INC	SUI	55.00	05/25/2016	3,685.75	10/20/2017	4,907.04	1,221.29	33.13%	L
SUN COMMUNITIES INC	SUI	215.00	09/27/2017	18,956.55	10/20/2017	19,182.08	225.53	1.18%	S
SUNOCO LP / SUNOCO FIN 05 500% 080120 DTD080116 FC020117 CALL@MMW+50BP		5,000.00	11/09/2016	5,088.59	12/14/2017	5,150.00	61.41	1.20%	L
SUNOCO LP / SUNOCO FIN 05 500% 080120 DTD080116 FC020117 CALL@MMW+50BP		8,000.00	11/10/2016	8,141.75	12/14/2017	8,240.00	98.25	1.20%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	STBFY	128.00	10/09/2014	2,250.70	02/03/2017	2,686.26	435.56	19.35%	L



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3A 01040 West Fdn SEIX
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3A 09710 West Bristol Fd
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3A 09715 West Fdn RACHIN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR

3A 01043 West Fdn ROOS
3A 04727 West Fdn GL FI
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	73.00	10/09/2014	1,283.60	02/06/2017	1,533.47	249.87	19.46%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	73.00	10/09/2014	1,283.60	02/07/2017	1,524.34	240.74	18.75%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	59.00	10/09/2014	1,037.43	02/08/2017	1,236.18	198.75	19.15%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	51.00	10/09/2014	896.77	02/09/2017	1,069.63	172.86	19.27%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	55.00	10/09/2014	967.09	02/10/2017	1,143.90	176.81	18.28%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	61.00	10/09/2014	1,072.60	02/11/2017	1,226.55	153.95	14.35%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	72.00	10/09/2014	1,266.02	02/15/2017	1,426.20	160.18	12.65%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	76.00	10/09/2014	1,336.36	02/16/2017	1,534.81	198.45	14.85%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	68.00	10/09/2014	1,195.68	02/17/2017	1,374.27	178.59	14.93%	L
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	8.00	05/25/2016	182.96	02/17/2017	161.68	-21.28	-11.63%	S
SUNTORY BEVERAGE & FOOD L UNSPONSORED ADR	86803T104	STBFY	58.00	05/25/2016	1,326.46	02/22/2017	1,188.21	-138.25	-10.42%	S
SUNTRUST BANK 07 250% 031518 DTD031708 FC091508 NTS	86787EAM9		22,000.00	02/01/2016	23,157.41	03/07/2017	23,151.26	-6.15	-0.02%	L
SUNTRUST BANKS INC	867914103	STI	85.00	10/19/2011	1,607.81	10/20/2017	5,083.99	3,476.18	216.20%	L
SUNTRUST BANKS INC	867914103	STI	155.00	10/25/2011	2,918.90	10/20/2017	9,270.80	6,351.90	217.61%	L
SUNTRUST BANKS INC	867914103	STI	35.00	02/05/2013	1,007.18	10/20/2017	2,093.41	1,086.23	107.84%	L
SUNTRUST BANKS INC	867914103	STI	115.00	12/23/2013	4,227.08	10/20/2017	6,878.33	2,651.25	62.72%	L
SUNTRUST BANKS INC	867914103	STI	100.00	03/04/2014	3,755.00	10/20/2017	5,981.17	2,226.17	59.28%	L
SUNTRUST BANKS INC	867914103	STI	55.00	05/25/2016	2,390.85	10/20/2017	3,289.64	898.79	37.59%	L
SUNTRUST BANKS INC	867914103	STI	94.00	09/27/2017	5,477.38	10/20/2017	5,622.29	144.91	2.64%	S
SUNTRUST BANKS INC 06 000% 091117 DTD091007 FC031108 SENIOR NTS	867914AZ6		24,000.00	01/11/2010	24,015.28	03/07/2017	24,520.80	505.52	2.10%	L
SUNTRUST BANKS INC 06 000% 091117 DTD091007 FC031108 SENIOR NTS	867914AZ6		10,000.00	09/05/2012	10,181.88	03/07/2017	10,217.00	35.12	0.34%	L
SUNTRUST BANKS INC NTS 02 700% 012722 DTD120116 FC072717 B/E	867914BM4		60,000.00	03/07/2017	59,781.60	10/02/2017	60,451.80	670.20	1.12%	S
SUPERIOR ENERGY SERVICES INC	868157108	SPN	708.00	01/19/2017	12,709.87	08/17/2017	5,902.81	-6,807.06	-53.55%	S
SYNCHRONY FINL	871658103	SYF	64.00	09/02/2014	1,641.41	04/11/2017	2,088.15	446.74	27.21%	L
SYNCHRONY FINL	871658103	SYF	15.00	09/02/2014	404.15	04/11/2017	489.41	85.26	21.09%	L



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CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
87165B103	SYF	5.00	09/03/2014	134.72	04/11/2017	163.14	28.42	21.09%	L
87165B103	SYF	83.00	03/23/2016	2,363.82	04/11/2017	2,708.07	344.25	14.56%	L
87165B103	SYF	117.00	03/23/2016	3,332.14	05/12/2017	3,072.93	-259.21	-7.77%	L
87165B103	SYF	138.00	05/04/2016	4,186.62	05/12/2017	3,624.47	-562.15	-13.42%	L
87165B103	SYF	140.00	05/25/2016	4,260.20	05/12/2017	3,677.01	-583.19	-13.68%	S
871829107	SYV	15.00	09/27/2012	465.91	10/20/2017	821.61	355.70	76.34%	L
871829107	SYV	85.00	10/26/2012	2,620.29	10/20/2017	4,655.76	2,035.47	77.68%	L
871829107	SYV	80.00	11/15/2012	2,385.66	10/20/2017	4,381.90	1,996.24	83.67%	L
871829107	SYV	80.00	02/05/2013	2,518.92	10/20/2017	4,381.90	1,862.98	73.95%	L
871829107	SYV	85.00	12/23/2013	3,094.46	10/20/2017	4,655.77	1,561.31	50.45%	L
871829107	SYV	125.00	03/04/2014	4,527.50	10/20/2017	6,846.72	2,319.22	51.22%	L
871829107	SYV	15.00	05/25/2016	731.25	10/20/2017	821.60	90.35	12.35%	L
871829107	SYV	213.00	09/27/2017	11,177.18	10/20/2017	11,666.81	489.63	4.38%	S
87264AA7		3,000.00	05/16/2017	3,213.55	10/20/2017	3,248.40	34.85	1.08%	S
87264AAH8		2,000.00	01/30/2014	2,055.00	10/19/2017	2,079.80	24.80	1.20%	L
87264AAAF2		7,000.00	10/15/2013	7,176.26	04/28/2017	7,114.52	-61.74	-0.86%	L
87264AAAF2		2,000.00	01/07/2014	2,073.51	04/28/2017	2,032.72	-40.79	-1.96%	L
875465106	SKT	36.00	08/09/2017	950.29	10/02/2017	883.42	-66.87	-7.03%	S
875465106	SKT	37.00	08/09/2017	976.68	10/18/2017	937.97	-38.71	-3.96%	S
875465106	SKT	23.00	08/09/2017	606.04	11/30/2017	575.22	-30.82	-5.08%	S
87612G101	TRGP	36.00	08/09/2017	1,587.27	10/02/2017	1,671.08	83.81	5.28%	S
87612G101	TRGP	31.00	08/09/2017	1,366.82	10/18/2017	1,380.71	13.89	1.01%	S
87612G101	TRGP	18.00	08/09/2017	777.26	11/30/2017	780.46	3.20	0.41%	S
879369106	TFX	8.00	08/09/2017	1,695.88	10/02/2017	1,942.20	246.32	14.52%	S
879369106	TFX	7.00	08/09/2017	1,483.90	10/18/2017	1,689.76	205.86	13.87%	S

Realized gain/loss - Year 2017 (continued)



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 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
879369106	TFX	17.00	08/09/2017	3,603.74	11/09/2017	4,302.15	698.41	19.38%	S
879369106	TFX	3.00	08/09/2017	635.96	11/30/2017	797.74	161.78	25.43%	S
879369106	VIV	189.00	09/12/2017	3,057.94	09/25/2017	3,057.44	-0.50	-0.01%	S
879369106	VIV	186.00	09/18/2017	3,062.96	09/25/2017	3,008.91	-54.05	-1.76%	S
88023U101	TPX	253.00	02/06/2013	9,738.30	04/20/2017	11,160.70	1,422.40	14.60%	L
88023U101	TPX	11.00	04/10/2014	536.25	04/20/2017	485.25	-51.00	-9.51%	L
88023U101	TPX	36.00	10/02/2014	1,964.71	04/20/2017	1,588.08	-376.63	-19.16%	L
88023U101	TPX	27.00	10/02/2014	1,473.53	08/08/2017	1,637.00	163.47	11.09%	L
88023U101	TPX	200.00	05/25/2016	11,770.00	08/08/2017	12,125.91	355.91	3.02%	L
88023U101	TPX	6.00	05/26/2016	350.06	08/08/2017	363.78	13.72	3.91%	L
88023UAG6		2,000.00	10/21/2016	2,059.70	02/13/2017	1,955.00	-104.70	-5.08%	S
88023UAG6		3,000.00	10/25/2016	3,103.69	02/13/2017	2,932.50	-171.19	-5.51%	S
88023UAG6		2,000.00	10/25/2016	2,069.10	02/16/2017	1,955.00	-114.10	-5.51%	S
88023UAG6		1,000.00	11/02/2016	1,028.68	02/16/2017	977.50	-51.18	-4.97%	S
88023UAG6		5,000.00	11/02/2016	5,143.38	02/21/2017	4,862.50	-280.88	-5.46%	S
88033G407	THC	458.00	02/06/2013	17,980.03	04/20/2017	6,795.75	-11,184.28	-62.20%	L
88033G407	THC	73.00	08/23/2013	2,915.61	04/20/2017	1,083.16	-1,832.45	-62.84%	L
88033G407	THC	245.00	12/23/2013	9,708.27	04/20/2017	3,635.28	-6,072.99	-62.55%	L
88033G407	THC	140.00	05/25/2016	4,004.95	04/20/2017	2,077.30	-1,927.65	-48.13%	S
88033GBU3		3,000.00	10/16/2013	2,954.40	08/21/2017	3,097.50	143.10	4.84%	L
88033GBU3		3,000.00	10/16/2013	2,954.40	09/06/2017	3,090.00	135.60	4.58%	L
88033GBU3		2,000.00	10/22/2013	2,002.26	09/06/2017	2,060.00	57.74	2.88%	L
88033GBU3		5,000.00	05/25/2016	5,100.31	09/06/2017	5,150.00	49.69	0.97%	L

3A 04338 West Fdn KAYNE

Report created on April 23, 2018



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 3A 04730 West Fdn MMM 3A 09713 West Fdn EDGE 3A 00894 West Fdn MLP 3A 01044 West Fdn TW 3A 04728 West Fdn LONDON
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 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
TIME WARNER INC NEW	887317303	TWX	8.00	01/05/2017	759.18	08/04/2017	820.78	61.60	8.11%	S
TIME WARNER INC NEW	887317303	TWX	2.00	01/19/2017	190.40	08/04/2017	205.20	14.80	7.77%	S
TIME WARNER INC NEW	887317303	TWX	280.00	06/13/2016	20,742.37	08/08/2017	28,629.96	7,887.59	38.02%	L
TIME WARNER INC NEW	887317303	TWX	475.00	07/26/2016	37,139.06	08/08/2017	48,568.67	11,429.61	30.77%	L
TIX COS INC NEW	872540109	TIX	10.00	01/05/2017	761.39	08/04/2017	702.69	-58.70	-7.70%	S
TIX COS INC NEW	872540109	TIX	3.00	01/19/2017	228.36	08/04/2017	210.81	-17.55	-7.68%	S
TIX COS INC NEW	872540109	TIX	257.00	07/09/2014	14,028.99	08/07/2017	18,183.25	4,154.26	29.61%	L
TIX COS INC NEW	872540109	TIX	3.00	10/27/2014	187.43	08/07/2017	212.26	24.83	13.24%	L
TIX COS INC NEW	872540109	TIX	15.00	06/04/2015	985.58	08/07/2017	1,061.27	75.69	7.67%	L
TIX COS INC NEW	872540109	TIX	126.00	12/21/2015	8,727.53	08/07/2017	8,914.75	187.22	2.14%	L
TOTAL S.A. FRANCE SPON ADR	89151E109	TOT	70.00	11/10/2015	3,478.80	02/15/2017	3,547.26	68.46	1.96%	L
TOTAL S.A. FRANCE SPON ADR	89151E109	TOT	99.00	11/11/2015	4,903.97	02/15/2017	5,016.83	112.86	2.30%	L
TRANSDIGM INC NTS B/E 05:500% 101520 DTD041513	893647AR8		8,000.00	08/07/2014	7,980.00	09/20/2017	8,110.00	130.00	1.62%	L
TRANSDIGM INC NTS B/E 05:500% 101520 DTD041513	893647AR8		5,000.00	05/27/2016	5,107.75	09/20/2017	5,068.75	-39.00	-0.76%	L
TRANSDIGM INC NTS B/E 05:500% 101520 DTD041513	893647AR8		3,000.00	03/31/2017	2,450.10	10/20/2017	2,450.10	0.00	0.00%	S
TRANSDIGM INC NTS B/E 05:500% 101520 DTD041513	893647AR8		32,000.00	01/04/2016	34,064.00	10/02/2017	34,039.36	-24.64	-0.07%	L
TRAVELPORT WORLDWIDE LTD	G9019D104	TVPT	163.00	08/09/2017	2,307.89	10/02/2017	2,568.84	260.95	11.30%	S
TRAVELPORT WORLDWIDE LTD	G9019D104	TVPT	121.00	08/09/2017	1,713.23	10/18/2017	1,912.21	198.98	11.61%	S
TRAVELPORT WORLDWIDE LTD	G9019D104	TVPT	72.00	08/09/2017	963.70	11/30/2017	963.70	0.00	0.00%	S
TRGT CORP B/E 03:500% 070124 DTD062614 FCO10115	87612EBD7		52,000.00	09/16/2014	52,214.21	09/12/2017	54,398.24	2,184.03	4.18%	L
TRGT CORP B/E 03:500% 070124 DTD062614 FCO10115	87612EBD7		6,000.00	01/27/2016	6,276.21	09/12/2017	6,276.72	0.51	0.00%	L
TRGT CORP B/E 03:500% 070124 DTD062614 FCO10115	87612EBD7		3,000.00	07/26/2016	3,295.57	09/12/2017	3,138.36	-157.21	-4.77%	L
TRGT CORP B/E 03:500% 070124 DTD062614 FCO10115	87612EBD7		2,000.00	09/26/2016	2,020.00	10/26/2017	2,078.06	58.06	2.87%	L
TUPPERWARE BRANDS CORP	899896104	TUP	16.00	08/09/2017	942.86	10/02/2017	984.32	41.46	4.39%	S



Consolidated report prepared for Checking

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
3A 01040 West Fdn SEIX 3A 04730 West Fdn MIMB 3A 06635 West Fdn CAMB 3A 07806 West Fdn QGARP 3A 09708 West Fdn INDEX	89896104	TUP	10 00 08/09/2017	589.29	10/18/2017	612.39	23.10	3.91%	S
TUPPERWARE BRANDS CORP	89896104	TUP	8 00 08/09/2017	471.44	11/30/2017	503.67	32.23	6.83%	S
TUPPERWARE BRANDS CORP	900111204	TKC	647 00 08/29/2017	6,207.97	10/03/2017	5,515.74	-692.23	-11.15%	S
TURKCELL ILETISIM HIZMETLERI A S NEW ADR	900111204	TKC	338 00 09/18/2017	2,886.22	10/03/2017	2,881.49	-4.73	-0.16%	S
TURKCELL ILETISIM HIZMETLERI A S NEW ADR	90347A100	UBNT	113 00 09/07/2017	6,585.35	10/20/2017	7,106.52	521.17	7.91%	S
UBIQUITI NETWORKS INC	90347A100	UBNT	358 00 09/08/2017	20,599.07	10/20/2017	22,514.45	1,915.38	9.29%	S
UBIQUITI NETWORKS INC	90347A100	UBNT	53 00 09/27/2017	3,459.84	10/20/2017	3,333.15	-126.69	-3.66%	S
UNITED PARCEL SERVICE 02 450% 100122 DTD092712 FC040113 CALL@MW+15BP	911312A09		5,000 00 07/13/2016	5,171.44	10/02/2017	5,046.90	-124.54	-2.40%	L
UNITED PARCEL SERVICE 03 125% 011521 DTD111210 FC071511 B/E	911312AM8		32,000 00 02/16/2012	32,961.78	10/02/2017	33,134.17	172.39	0.52%	L
UNITED PARCEL SERVICE 03 125% 011521 DTD111210 FC071511 B/E	911312AM8		11,000 00 09/04/2014	11,247.73	10/02/2017	11,389.88	142.15	1.26%	L
UNITED PARCEL SERVICE 03 125% 011521 DTD111210 FC071511 B/E	911312AM8		15,000 00 01/27/2016	15,475.78	10/02/2017	15,531.64	55.86	0.36%	L
UNITED RENTALS NORTH AM 05 750% 111524 DTD032614 FC051514 CALL@MW+50BP	911365B89		3,000 00 04/24/2014	3,105.24	03/15/2017	3,105.00	-0.24	0.00%	L
UNITED RENTALS NORTH AM 05 750% 111524 DTD032614 FC051514 CALL@MW+50BP	911365B89		1,000 00 04/25/2014	1,035.08	03/15/2017	1,035.00	-0.08	0.00%	L
UNITED RENTALS NORTH AM 05 750% 111524 DTD032614 FC051514 CALL@MW+50BP	911365B89		4,000 00 04/25/2014	4,140.15	03/21/2017	4,145.00	4.85	0.11%	L
UNITED RENTALS NORTH AM 05 750% 111524 DTD032614 FC051514 CALL@MW+50BP	911365B89		2,000 00 02/25/2016	1,890.00	03/21/2017	2,072.50	182.50	9.65%	L
UNITED RENTALS NORTH AM 05 750% 111524 DTD032614 FC051514 CALL@MW+50BP	911365B89		3,000 00 06/09/2016	3,067.50	03/28/2017	3,090.00	22.50	0.73%	S
UNTD NAT FOODS INC	911163103	UNFI	228 00 03/21/2016	9,660.59	05/08/2017	9,531.24	-129.35	-1.33%	L
UNTD NAT FOODS INC	911163103	UNFI	115 00 05/25/2016	3,952.55	05/08/2017	4,807.43	854.88	21.62%	S
UNTD TECHNOLOGIES CORP	913017109	UTX	7 00 01/05/2017	779.38	08/04/2017	847.96	68.58	8.79%	S
UNTD TECHNOLOGIES CORP	913017109	UTX	2 00 01/19/2017	221.80	08/04/2017	242.27	20.47	9.22%	S
UNTD TECHNOLOGIES CORP	913017109	UTX	160 00 07/09/2014	18,192.48	09/27/2017	19,008.36	815.88	4.48%	L
UNTD TECHNOLOGIES CORP	913017109	UTX	2 00 10/27/2014	207.50	09/27/2017	237.61	30.11	14.51%	L
UNTD TECHNOLOGIES CORP	913017109	UTX	6 00 06/30/2015	671.43	09/27/2017	712.81	41.38	6.16%	L
UNTD TECHNOLOGIES CORP	913017109	UTX	4 00 07/16/2015	445.40	09/27/2017	475.21	29.81	6.69%	L

Realized gain/loss - Year 2017 (continued)



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3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

Consolidated report prepared for Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
UNITD TECHNOLOGIES CORP	913017109	UTX	20.00	08/10/2015	1,990.80	09/27/2017	2,376.04	385.24	19.35%	L
UNITD TECHNOLOGIES CORP	913017109	UTX	12.00	09/28/2015	1,043.28	09/27/2017	1,425.63	382.35	36.64%	L
UNITD TECHNOLOGIES CORP	913017109	UTX	345.00	07/26/2016	37,068.87	09/27/2017	40,986.78	3,917.91	10.56%	L
UNITD TECHNOLOGIES CORP 01 950% 110121 DTD110116 FC050117 CALL@MW+10BP	913017CG2		59,000.00	01/10/2017	58,134.47	10/02/2017	58,105.56	-28.91	-0.04%	S
US BANK NA CINCINNATI 2 125% 102819 DTD102814 FC042815 NTS B/E	90331HML4		57,000.00	05/28/2015	57,307.06	10/02/2017	57,288.99	-18.07	-0.03%	L
US BANK NA CINCINNATI 2 125% 102819 DTD102814 FC042815 NTS B/E	90331HML4		9,000.00	07/07/2016	9,146.36	10/02/2017	9,045.63	-100.73	-1.10%	L
USG CORP NEW	903293405	USG	808.00	09/25/2014	22,828.10	08/08/2017	21,801.84	-1,026.26	-4.49%	L
USG CORP NEW	903293405	USG	80.00	10/02/2014	2,174.04	08/08/2017	2,158.60	-15.44	-0.71%	L
USG CORP NEW	903293405	USG	333.00	12/23/2014	9,243.25	08/08/2017	8,985.17	-258.08	-2.79%	L
USG CORP NEW	903293405	USG	309.00	05/11/2016	8,660.25	08/08/2017	8,337.58	-322.67	-3.72%	L
USG CORP NEW	903293405	USG	177.00	05/25/2016	5,180.14	08/08/2017	4,775.90	-404.24	-7.80%	L
VALIDUS HOLDINGS LTD	G9319H102	VR	25.00	08/09/2017	1,330.17	10/18/2017	1,295.75	-34.42	-2.58%	S
VALIDUS HOLDINGS LTD	G9319H102	VR	16.00	08/09/2017	786.54	11/30/2017	786.54	0.00	0.00%	S
VANECK VECTORS GOLD MINERS ETF	92189F106	GDX	756.00	02/23/2016	14,223.68	08/25/2017	17,768.31	3,544.63	24.92%	L
VANECK VECTORS GOLD MINERS ETF	92189F106	GDX	258.00	08/29/2017	6,252.97	09/18/2017	6,104.14	-148.83	-2.38%	S
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	134.00	01/05/2017	2,625.24	08/04/2017	2,699.18	73.94	2.81%	S
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	40.00	01/19/2017	785.70	08/04/2017	805.73	20.03	2.54%	S
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	5,000.00	10/10/2014	101,147.53	10/04/2017	99,748.20	-1,399.33	-1.38%	L
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	2,185.00	10/10/2014	44,201.47	10/04/2017	43,589.96	-611.51	-1.38%	L
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	127.00	10/27/2014	2,592.06	10/04/2017	2,533.61	-58.45	-2.25%	L
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	1,135.00	11/05/2014	23,362.08	10/04/2017	22,642.84	-719.24	-3.07%	L
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	270.00	11/26/2014	5,616.39	10/04/2017	5,386.40	-229.99	-4.09%	L
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	510.00	03/27/2015	10,520.37	10/04/2017	10,174.32	-346.05	-3.28%	L
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	149.00	07/16/2015	3,029.22	10/04/2017	2,972.50	-56.72	-1.87%	L
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	290.00	04/18/2016	5,843.34	10/04/2017	5,785.39	-57.95	-0.99%	L
VANECK VECTORS PFD SECURITIES ETF	92189F429	PFXF	225.00	07/26/2016	4,720.60	10/04/2017	4,488.67	-231.93	-4.91%	L



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 3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
922908629	VO	21 00	03/23/2017	2,914.80	08/04/2017	3,036.32	121.52	4.16%	S
922908629	VO	1,435.00	03/21/2017	198,112.80	08/08/2017	207,181.70	9,068.90	4.57%	S
92214X106	VREX	48 00	12/21/2015	1,167.59	03/01/2017	1,661.94	494.35	42.33%	L
92214X106	VREX	8 00	05/25/2016	205.58	03/01/2017	276.99	71.41	34.73%	S
92220P105	VAR	120.00	12/21/2015	8,314.88	04/18/2017	10,614.44	2,299.56	27.65%	L
92220P105	VAR	20 00	05/25/2016	1,464.02	04/18/2017	1,769.08	305.06	20.83%	S
92220P105	VAR	22 00	02/01/2017	1,728.93	04/18/2017	1,945.98	217.05	12.55%	S
92240G101	WVC	17 00	08/09/2017	1,037.50	10/02/2017	1,126.92	89.42	8.61%	S
92240G101	WVC	19 00	08/09/2017	1,159.55	10/18/2017	1,280.95	121.40	10.46%	S
92240G101	WVC	38 00	08/09/2017	2,319.11	10/24/2017	2,562.91	243.80	10.51%	S
92240G101	WVC	31 00	08/09/2017	1,891.91	10/25/2017	2,072.84	180.93	9.56%	S
92240G101	WVC	6 00	08/09/2017	366.17	11/30/2017	415.67	49.50	13.51%	S
92340LAA7		2,000.00	08/11/2016	2,132.66	01/11/2017	2,032.50	-100.16	-4.69%	S
92340LAA7		5,000.00	08/11/2016	5,331.57	01/12/2017	5,068.75	-262.82	-4.92%	S
92340LAA7		4,000.00	08/11/2016	4,265.19	01/13/2017	4,055.00	-210.19	-4.92%	S
92340LAA7		1,000.00	08/23/2016	1,074.93	01/13/2017	1,013.75	-61.18	-5.69%	S
923725105	VET	52 00	08/09/2017	1,648.33	10/02/2017	1,829.84	181.51	11.01%	S
923725105	VET	49 00	08/09/2017	1,553.23	10/18/2017	1,694.92	141.69	9.12%	S
923725105	VET	27 00	08/09/2017	855.86	11/30/2017	947.68	91.82	10.72%	S
92826C839	V	9 00	01/05/2017	730.32	08/04/2017	907.54	177.22	24.26%	S
92826C839	V	3 00	01/19/2017	244.95	08/04/2017	302.51	57.56	23.49%	S
92826C839	V	750 00	09/12/2016	61,537.35	08/08/2017	76,074.49	14,537.14	23.62%	S
928377100	VSTO	320 00	04/10/2013	6,582.47	01/24/2017	8,746.27	2,163.80	32.87%	L
928377100	VSTO	122 00	04/10/2013	2,509.56	02/21/2017	2,454.31	-55.25	-2.20%	L
928377100	VSTO	146 00	12/23/2013	4,987.09	02/21/2017	2,937.12	-2,049.97	-41.10%	L



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3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

3A 04727 West Fdn GL H

3A 04728 West Fdn LONDON

3A 04729 West Fdn NFJ

3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
VISTA OUTDOOR INC COM	928377100	VSTO	79.00	05/25/2016	3,957.90	02/21/2017	1,589.26	-2,368.64	-59.84%	S
VIVENDI SA ADR	928527201	VVHY	409.00	04/08/2015	10,465.16	05/19/2017	8,586.89	-1,878.27	-17.94%	L
VIVENDI SA ADR	928527201	VVHY	179.00	01/04/2016	3,716.30	05/19/2017	3,758.07	41.77	1.12%	L
VIVENDI SA ADR	928527201	VVHY	40.00	04/28/2016	784.67	05/19/2017	839.80	55.13	7.02%	L
VIVENDI SA ADR	928527201	VVHY	193.00	05/25/2016	3,801.01	05/19/2017	4,052.00	250.99	6.60%	S
VORNADO REALTY TRUST (VNO) 5.700% PREF CLBL PAR VALUE - 25.00 USD	929042851	VNOPRK	4,000.00	12/14/2015	99,790.76	08/24/2017	101,103.83	1,313.07	1.31%	L
WALT DISNEY CO (HOLDING CO) DISNEY COM	254687106	DIS	7.00	01/05/2017	751.66	08/04/2017	752.90	1.24	0.16%	S
WALT DISNEY CO (HOLDING CO) DISNEY COM	254687106	DIS	2.00	01/19/2017	215.62	08/04/2017	215.12	-0.50	-0.23%	S
WALT DISNEY CO (HOLDING CO) DISNEY COM	254687106	DIS	211.00	06/13/2016	20,705.01	09/27/2017	22,551.16	1,846.15	8.91%	L
WALT DISNEY CO (HOLDING CO) DISNEY COM	254687106	DIS	400.00	07/26/2016	38,706.40	09/27/2017	42,751.01	4,044.61	10.44%	L
WALT DISNEY CO MTN 05 500% 031519 DTD031609 FC091509 CALL@MMW	25468PC0		6,000.00	07/25/2016	6,374.31	10/02/2017	6,320.64	-53.67	-0.84%	L
WALT DISNEY COMPANY/THE 01.650% 010819 DTD010816 FC070816 NTS B/E	25468PDH6		16,000.00	01/06/2016	16,001.99	10/02/2017	16,006.88	4.89	0.03%	L
WALT DISNEY COMPANY/THE 02.300% 021221 DTD010816 FC081216 CALL@MMW+10BP	25468PDJ2		40,000.00	07/24/2017	40,491.22	10/02/2017	40,375.00	-116.22	-0.28%	S
WASH TRUST BANCORP INC	940610108	WASH	24.00	08/09/2017	1,238.50	10/02/2017	1,375.19	136.69	11.03%	S
WASH TRUST BANCORP INC	940610108	WASH	18.00	08/09/2017	928.88	10/18/2017	1,054.78	125.90	13.55%	S
WASH TRUST BANCORP INC	940610108	WASH	9.00	08/09/2017	464.44	11/30/2017	512.10	47.66	10.26%	S
WELLTOWER INC REIT	95040Q104	WELL	2.00	02/29/2012	101.55	10/20/2017	136.03	34.48	33.95%	L
WELLTOWER INC REIT	95040Q104	WELL	20.00	02/05/2013	1,207.06	10/20/2017	1,360.27	153.21	12.69%	L
WELLTOWER INC REIT	95040Q104	WELL	5.00	08/23/2013	299.16	10/20/2017	340.06	40.90	13.67%	L
WELLTOWER INC REIT	95040Q104	WELL	130.00	12/23/2013	6,782.88	10/20/2017	8,841.75	2,058.87	30.35%	L
WELLTOWER INC REIT	95040Q104	WELL	35.00	03/04/2014	2,046.30	10/20/2017	2,380.47	334.17	16.33%	L
WELLTOWER INC REIT	95040Q104	WELL	20.00	10/13/2015	1,375.41	10/20/2017	1,360.27	-15.14	-1.10%	L
WELLTOWER INC REIT	95040Q104	WELL	45.00	05/25/2016	3,091.57	10/20/2017	3,060.61	-30.96	-1.00%	L
WELLTOWER INC REIT	95040Q104	WELL	146.00	09/27/2017	10,490.83	10/20/2017	9,929.96	-560.87	-5.34%	S
WESTERN DIGITAL CORP NTS 10.500% 040124 DTD100116 FC040117 CALL@MMW+50BP	95810ZAL9		2,000.00	02/09/2017	2,345.98	10/20/2017	2,347.00	1.02	0.04%	S



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3A 06635 West Fdn CAMB 3A 09714 West Fdn GLOVIS 3A 01039 West Fdn REIN 3A 02479 West Fdn OPP EQ 3A 04729 West Fdn NFJ

3A 07806 West Fdn OGARP 3A 09715 West Fdn RACHIN 3A 01041 West Fdn YACKT 3A 03355 West Fdn TW MCO 3A 09676 Checking

3A 09708 West Fdn INDEX 3A 09843 West Fdn KAYNE 3A 01042 West Fdn ANCHOR 3A 04338 West Fdn KAYNE

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
WESTERN UNION CO	959802109	WU	440.00	08/07/2014	7,413.39	10/20/2017	8,936.85	1,523.46	20.55%	L
WESTERN UNION CO	959802109	WU	230.00	08/28/2014	4,022.52	10/20/2017	4,671.54	649.02	16.13%	L
WESTERN UNION CO	959802109	WU	100.00	08/29/2014	1,748.35	10/20/2017	2,031.10	282.75	16.17%	L
WESTERN UNION CO	959802109	WU	225.00	11/24/2014	4,098.15	10/20/2017	4,569.99	471.84	11.51%	L
WESTERN UNION CO	959802109	WU	20.00	11/26/2014	363.81	10/20/2017	406.22	42.41	11.65%	L
WESTERN UNION CO	959802109	WU	205.00	05/25/2016	3,977.00	10/20/2017	4,163.76	186.76	4.69%	L
WESTERN UNION CO	959802109	WU	778.00	09/27/2017	15,202.12	10/20/2017	15,801.98	599.86	3.94%	S
WHITE MOUNTAINS INSURANCE GROUP LTD	G9618E107	WTM	41.00	02/06/2013	22,750.49	08/08/2017	34,808.24	12,057.75	52.99%	L
WHITE MOUNTAINS INSURANCE GROUP LTD	G9618E107	WTM	12.00	12/23/2013	7,187.75	08/08/2017	10,187.77	3,000.02	41.73%	L
WHITE MOUNTAINS INSURANCE GROUP LTD	G9618E107	WTM	2.00	01/04/2016	1,460.52	08/08/2017	1,697.97	237.45	16.25%	L
WHITE MOUNTAINS INSURANCE GROUP LTD	G9618E107	WTM	2.00	05/25/2016	1,634.16	08/08/2017	1,697.96	63.80	3.90%	L
WISC ELEC POWER B/E 02 950% 091521 DTD091311 CALL@MW+15BP	976656CD8		14,000.00	05/02/2013	14,501.27	10/02/2017	14,310.52	-190.75	-1.31%	L
WOODWARD INC	980745103	WWD	95.00	05/17/2016	5,214.99	10/20/2017	7,726.17	2,511.18	48.15%	L
WOODWARD INC	980745103	WWD	65.00	05/18/2016	3,567.97	10/20/2017	5,286.33	1,718.36	48.16%	L
WOODWARD INC	980745103	WWD	15.00	05/19/2016	823.50	10/20/2017	1,219.92	396.42	48.13%	L
WOODWARD INC	980745103	WWD	30.00	05/25/2016	1,709.70	10/20/2017	2,439.85	730.15	42.70%	L
WOODWARD INC	980745103	WWD	40.00	09/27/2017	2,820.20	10/20/2017	3,253.12	432.92	15.35%	S
XCEL ENERGY INC	98389B100	XEL	37.00	12/01/2009	759.52	10/20/2017	1,821.14	1,061.62	139.77%	L
XCEL ENERGY INC	98389B100	XEL	65.00	08/11/2010	1,439.10	10/20/2017	3,199.29	1,760.19	122.31%	L
XCEL ENERGY INC	98389B100	XEL	30.00	02/05/2013	836.62	10/20/2017	1,476.59	639.97	76.49%	L
XCEL ENERGY INC	98389B100	XEL	5.00	08/23/2013	139.45	10/20/2017	246.10	106.65	76.47%	L
XCEL ENERGY INC	98389B100	XEL	85.00	12/23/2013	2,407.66	10/20/2017	4,183.69	1,776.03	73.76%	L
XCEL ENERGY INC	98389B100	XEL	50.00	03/04/2014	1,512.50	10/20/2017	2,461.00	948.50	62.71%	L
XCEL ENERGY INC	98389B100	XEL	20.00	05/25/2016	809.00	10/20/2017	984.39	175.39	21.67%	L
XCEL ENERGY INC	98389B100	XEL	107.00	09/27/2017	5,136.00	10/20/2017	5,266.53	130.53	2.54%	S
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	50.00	01/05/2017	1,430.50	08/04/2017	1,527.46	96.96	6.77%	S
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	33.00	01/19/2017	939.51	08/04/2017	1,008.13	68.62	7.30%	S



2017 FORM 990-PF

PART IV ATTACHMENT A-1

Consolidated report prepared for Checking

3A 01040 West Fdn SEIX
3A 04730 West Fdn MMM
3A 06635 West Fdn CAMB
3A 07806 West Fdn QGARP
3A 09708 West Fdn INDEX

3A 09710 West Bristol Fd
3A 09713 West Fdn EDGE
3A 09714 West Fdn GLOVIS
3A 09715 West Fdn RACHLN
3A 09843 West Fdn KAYNE

3A 00893 West Fdn
3A 00894 West Fdn MLP
3A 01039 West Fdn REIN
3A 01041 West Fdn YACKT
3A 01042 West Fdn ANCHOR

3A 01043 West Fdn ROOS
3A 01044 West Fdn TW
3A 02479 West Fdn OPP EQ
3A 03355 West Fdn TW MCO
3A 04338 West Fdn KAYNE

3A 04727 West Fdn GL H
3A 04728 West Fdn LONDON
3A 04729 West Fdn NFJ
3A 09676 Checking

Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	3,665.00	06/04/2015	110,995.61	08/07/2017	111,935.31	939.70	0.84%	L
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	1,052.00	06/04/2015	31,860.13	10/04/2017	32,322.27	462.14	1.45%	L
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	258.00	06/30/2015	7,402.02	10/04/2017	7,926.95	524.93	7.09%	L
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	635.00	08/25/2015	16,986.25	10/04/2017	19,510.12	2,523.87	14.85%	L
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	180.00	02/04/2016	4,478.04	10/04/2017	5,530.43	1,052.39	23.50%	L
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	275.00	04/18/2016	7,168.95	10/04/2017	8,449.26	1,280.31	17.85%	L
YANDEX N V CL A EUR	N97284108	YNDX	75.00	09/18/2017	2,426.25	10/03/2017	2,536.45	110.20	4.54%	S
ZAYO GROUP LLC/ZAYO CPTL 06.000% 040123 DTD100115 FC040116 CALL@MW+508P	989194AM7		2,000.00	05/05/2016	2,065.00	10/19/2017	2,109.68	44.68	2.16%	L
ZIMMER BIOMET HOLDINGS INC	98956P102	ZBH	8.00	08/11/2010	425.68	10/20/2017	978.22	552.54	129.80%	L
ZIMMER BIOMET HOLDINGS INC	98956P102	ZBH	10.00	09/21/2010	516.10	10/20/2017	1,222.77	706.67	136.92%	L
ZIMMER BIOMET HOLDINGS INC	98956P102	ZBH	40.00	02/03/2011	2,416.70	10/20/2017	4,891.09	2,474.39	102.38%	L
ZIMMER BIOMET HOLDINGS INC	98956P102	ZBH	10.00	01/11/2013	711.14	10/20/2017	1,222.77	511.63	71.94%	L
ZIMMER BIOMET HOLDINGS INC	98956P102	ZBH	40.00	02/05/2013	2,960.85	10/20/2017	4,891.08	1,930.23	65.19%	L
ZIMMER BIOMET HOLDINGS INC	98956P102	ZBH	30.00	12/23/2013	2,792.63	10/20/2017	3,668.32	875.69	31.35%	L
ZIMMER BIOMET HOLDINGS INC	98956P102	ZBH	45.00	03/04/2014	4,300.65	10/20/2017	5,502.47	1,201.82	27.94%	L
ZIMMER BIOMET HOLDINGS INC	98956P102	ZBH	10.00	10/13/2015	959.80	10/20/2017	1,222.77	262.97	27.39%	L
ZIMMER BIOMET HOLDINGS INC	98956P102	ZBH	136.00	09/27/2017	15,969.12	10/20/2017	16,629.70	660.58	4.13%	S
TOTAL REALIZED GAIN/(LOSS):					15,604,541.86		16,591,526.58	1,086,984.72	6.97%	



Consolidated report prepared for Checking

3A 01040	West Fdn SEIX	3A 09710	West Bristol Fd	3A 00893	West Fdn	3A 01043	West Fdn ROOS	3A 04727	West Fdn GL FI
3A 04730	West Fdn MMM	3A 09713	West Fdn EDGE	3A 00894	West Fdn MLP	3A 01044	West Fdn TW	3A 04728	West Fdn LONDON
3A 06635	West Fdn CAMB	3A 09714	West Fdn GLOVIS	3A 01039	West Fdn REIN	3A 02479	West Fdn OPP EQ	3A 04729	West Fdn NFJ
3A 07806	West Fdn OGARP	3A 09715	West Fdn RACHUN	3A 01041	West Fdn YACKT	3A 03355	West Fdn TW MCO	3A 09676	Checking
3A 09708	West Fdn INDEX	3A 09843	West Fdn KAYNE	3A 01042	West Fdn ANCHOR	3A 04338	West Fdn KAYNE		

Realized gain/loss - Year 2017 (continued)

TOTAL GAINS:	1,541,827 80
TOTAL LOSSES:	-454,843 08
SHORT TERM - TOTAL REALIZED GAIN/(LOSS):	-22,562 96
LONG TERM - TOTAL REALIZED GAIN/(LOSS):	1,109,547 68

ws1 Wash Sale adjustment amount of \$-135 36
ws2 Wash Sale adjustment amount of \$-54 50
ws3 Wash Sale adjustment amount of \$-151 63
ws4 Wash Sale adjustment amount of \$-438 41
ws5 Wash Sale adjustment amount of \$-62 50
ws6 Wash Sale adjustment amount of \$-20 00
ws7 Wash Sale adjustment amount of \$12 50
ws8 Wash Sale adjustment amount of \$50 00
ws9 Wash Sale adjustment amount of \$20 00
ws10 Wash Sale adjustment amount of \$-79 02
ws11 Wash Sale adjustment amount of \$-59 60
ws12 Wash Sale adjustment amount of \$-9 02
ws13 Wash Sale adjustment amount of \$-4 35
ws14 Wash Sale adjustment amount of \$-27 42
ws15 Wash Sale adjustment amount of \$-17 96
ws16 Wash Sale adjustment amount of \$17 96
ws17 Wash Sale adjustment amount of \$-66 31
ws18 Wash Sale adjustment amount of \$66 31
ws19 Wash Sale adjustment amount of \$-154 53
ws20 Wash Sale adjustment amount of \$-30 08
ws21 Wash Sale adjustment amount of \$-203 51
ws22 Wash Sale adjustment amount of \$-91 74
ws23 Wash Sale adjustment amount of \$-204 22
ws24 Wash Sale adjustment amount of \$-574 39
ws25 Wash Sale adjustment amount of \$-277 88
ws26 Wash Sale adjustment amount of \$-495 31
ws27 Wash Sale adjustment amount of \$-87 09
ws28 Wash Sale adjustment amount of \$-0 63
ws29 Wash Sale adjustment amount of \$-422 20
ws30 Wash Sale adjustment amount of \$232 37
ws31 Wash Sale adjustment amount of \$101 75
ws32 Wash Sale adjustment amount of \$-102 40
ws33 Wash Sale adjustment amount of \$102 40
ws34 Wash Sale adjustment amount of \$-1,175 64
ws35 Wash Sale adjustment amount of \$-63 51
ws36 Wash Sale adjustment amount of \$566 25
ws37 Wash Sale adjustment amount of \$312 78



Consolidated report prepared for Checking

3A 01040 West Fdn SEIX	3A 09710 West Bristol Fd	3A 00893 West Fdn	3A 01043 West Fdn ROOS	3A 04727 West Fdn GL H
3A 04730 West Fdn MMM	3A 09713 West Fdn EDGE	3A 00894 West Fdn MLP	3A 01044 West Fdn TW	3A 04728 West Fdn LONDON
3A 06635 West Fdn CAMB	3A 09714 West Fdn GLOVIS	3A 01039 West Fdn REIN	3A 02479 West Fdn OPP EQ	3A 04729 West Fdn NFJ
3A 07806 West Fdn QGARP	3A 09715 West Fdn RACHLN	3A 01041 West Fdn YACKT	3A 03355 West Fdn TW MCO	3A 09676 Checking
3A 09708 West Fdn INDEX	3A 09843 West Fdn KAYNE	3A 01042 West Fdn ANCHOR	3A 04338 West Fdn KAYNE	

Realized gain/loss - Year 2017 (continued)

ws38 Wash Sale adjustment amount of \$296.61
 ws39 Wash Sale adjustment amount of \$63.51
 ws40 Wash Sale adjustment amount of \$136.99
 ws41 Wash Sale adjustment amount of \$19.30
 ws42 Wash Sale adjustment amount of \$16.39
 ws43 Wash Sale adjustment amount of \$6.00
 ws44 Wash Sale adjustment amount of \$11.17
 ws45 Wash Sale adjustment amount of \$29.37
 ws46 Wash Sale adjustment amount of \$31.28
 ws47 Wash Sale adjustment amount of \$413.33
 ws48 Wash Sale adjustment amount of \$79.39
 ws49 Wash Sale adjustment amount of \$413.33
 ws50 Wash Sale adjustment amount of \$79.39
 ws51 Wash Sale adjustment amount of \$136.97
 ws52 Wash Sale adjustment amount of \$60.26
 ws53 Wash Sale adjustment amount of \$79.90
 ws54 Wash Sale adjustment amount of \$317.56
 ws55 Wash Sale adjustment amount of \$130.67
 ws56 Wash Sale adjustment amount of \$117.70
 ws57 Wash Sale adjustment amount of \$48.88
 ws58 Wash Sale adjustment amount of \$24.56
 ws59 Wash Sale adjustment amount of \$13,132.89
 ws60 Wash Sale adjustment amount of \$1,246.48
 ws61 Wash Sale adjustment amount of \$648.16
 ws62 Wash Sale adjustment amount of \$7,539.86
 ws63 Wash Sale adjustment amount of \$2,037.16
 ws64 Wash Sale adjustment amount of \$2,459.24
 ws65 Wash Sale adjustment amount of \$2,160.79
 ws66 Wash Sale adjustment amount of \$4,903.88
 ws67 Wash Sale adjustment amount of \$1,584.17
 ws68 Wash Sale adjustment amount of \$118.78
 ws69 Wash Sale adjustment amount of \$279.19
 ws70 Wash Sale adjustment amount of \$189.13
 ws71 Wash Sale adjustment amount of \$35.41
 ws72 Wash Sale adjustment amount of \$279.19
 ws73 Wash Sale adjustment amount of \$307.91
 ws74 Wash Sale adjustment amount of \$35.41
 ws75 Wash Sale adjustment amount of \$137.80
 ws76 Wash Sale adjustment amount of \$20.84
 ws77 Wash Sale adjustment amount of \$70.58
 ws78 Wash Sale adjustment amount of \$60.28
 ws79 Wash Sale adjustment amount of \$11.68
 ws80 Wash Sale adjustment amount of \$19.44
 ws81 Wash Sale adjustment amount of \$6.27
 ws82 Wash Sale adjustment amount of \$32.40
 ws83 Wash Sale adjustment amount of \$55.73
 ws84 Wash Sale adjustment amount of \$64.77



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This section contains important disclosures regarding the information and valuations presented here. All information presented is subject to change at any time and is provided only as of the date indicated. The information in this report is for informational purposes only and should not be relied upon as the basis of an investment or liquidation decision. UBS FS accounts statements and official tax documents are the only official record of your accounts and are not replaced, amended or superseded by any of the information presented in these reports. You should not rely on this information in making purchase or sell decisions, for tax purposes or otherwise.

UBS FS offers a number of investment advisory programs to clients, acting in our capacity as an investment adviser, including fee-based financial planning, discretionary account management, non-discretionary investment advisory programs, and advice on the selection of investment managers and mutual funds offered through our investment advisory programs. When we act as your investment adviser, we will have a written agreement with you expressly acknowledging our investment advisory relationship with you and describing our obligations to you. At the beginning of our advisory relationship, we will give you our Form ADV brochure(s) for the program(s) you selected that provides detailed information about, among other things, the advisory services we provide, our fees, our personnel, our other business activities and financial industry affiliations and conflicts between our interests and your interests.

In our attempt to provide you with the highest quality information available, we have compiled this report using data obtained from recognized statistical sources and authorities in the financial industry. While we believe this information to be reliable, we cannot make any representations regarding its accuracy or completeness. Please keep this guide as your Wealth Review.

Please keep in mind that most investment objectives are long term. Although it is important to evaluate your portfolio's performance over multiple time periods, we believe the greatest emphasis should be placed on the longer period returns.

Please review the report content carefully and contact your Financial Advisor with any questions.

Portfolio For purposes of this report "portfolio" is defined as all of the accounts presented on the cover page or the header of this report and does not necessarily include all of the client's accounts held at UBS FS or elsewhere.

Pricing All securities are priced using the closing price reported on the last business day preceding the date of this report. Every reasonable attempt has been made to

accurately price securities; however, we make no warranty with respect to any security's price. Please refer to the back of the first page of your UBS FS accounts statement for important information regarding the pricing used for certain types of securities, the sources of pricing data and other qualifications concerning the pricing of securities. To determine the value of securities in your account, we generally rely on third party quotation services. If a price is unavailable or believed to be unreliable, we may determine the price in good faith and may use other sources such as the last recorded transaction. When securities are held at another custodian or if you hold illiquid or restricted securities for which there is no published price, we will generally rely on the value provided by the custodian or issuer of that security.

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Gain/Loss reporting for Puerto Rico Income Tax Purposes Gain/Loss reporting may be prepared solely for Puerto Rico income tax purposes only. If you have received gain/loss reporting for Puerto Rico income tax purposes only and are NOT subject to Puerto Rico income taxes, you have received this reporting in error and you should contact your Financial Advisor immediately. Pursuant to the Puerto Rico Internal Revenue Code (PRIRC) long-term capital gains are derived from the sale or exchange of capital assets held longer than six (6) months. For the purposes of this report only, long term gains and losses are represented by assets held for a period of more than six (6) months. Both the Firm and your Financial Advisor will rely solely upon your representations and will not make the determination of whether you are subject to Puerto Rico income taxes. If you have received this reporting and you are NOT subject to Puerto Rico income taxes, the information provided in this reporting is inaccurate and should not be relied upon by you or your advisers for purposes other than determining realized gain/loss for Puerto Rico income tax purposes. Neither UBS FS nor its employees provide tax or legal advice. You should consult with your tax and/or legal advisors regarding your personal circumstances.

Gain/Loss 60/40: Index options listed in this report may be subject to IRS Tax Code - section 1256 categorizing

them as broad-based index options. If so, the index may be eligible to be treated as 60% long term and 40% short terms for tax purposes. Please contact your tax professional to determine eligibility.

The account listing may or may not include all of your accounts with UBS FS. The accounts included in this report are listed under the "Accounts included in this review" shown on the first page or listed at the top of each page. If an account number begins with "0" this denotes assets or liabilities held at other financial institutions. Information about these assets, including valuation, account type and cost basis, is based on the information you provided to us, or provided to us by third party data aggregators or custodians at your direction. We have not verified, and are not responsible for, the accuracy or completeness of this information.

Account changes At UBS, we are committed to helping you toward your financial goals. So that we may continue providing you with financial advice that is consistent with your investment objectives, please consider the following two questions:

- 1) Have there been any changes to your financial situation or investment objectives?
- 2) Would you like to implement or modify any restrictions regarding the management of your account? If the answer to either question is "yes," it is important that you contact your Financial Advisor as soon as possible to discuss these changes. For MAC advisory accounts, please contact your investment manager directly if you would like to impose or change any investment restrictions on your account.

ADV disclosure A complimentary copy of our current Form ADV Disclosure Brochure that describes the advisory program and related fees is available through your Financial Advisor. Please contact your Financial Advisor if you have any questions.

Important information for former Piper Jaffray and McDonald Investments clients As an accommodation to former Piper Jaffray and McDonald Investments clients, these reports include performance history for their Piper Jaffray accounts prior to August 12, 2006 and McDonald Investments accounts prior to February 9, 2007, the date the respective accounts were converted to UBS FS. UBS FS has not independently verified this information nor do we make any representations or warranties as to the accuracy or completeness of that information and will not be liable to you if any such information is unavailable, delayed or inaccurate.

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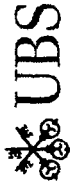


Realized gain/loss

Year 2017

Consolidated report prepared for PMP FD Jack End
 3A 09674 PMP Fixed Incm 3A 16611 PMP FD Bristol
 3A 09675 PMP FD FW 06359 West Foundation
 3A 09676 Checking FW 14941 PMP FD Jack End
 3A 09677 PMP Jcksn Endwd
 3A 14936 Jackson Expend

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	1,172.00	04/10/2014	35,383.65	03/21/2017	29,674.39	-5,709.26	-16.13%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	820.00	10/10/2014	21,978.68	03/21/2017	20,761.95	-1,216.73	-5.53%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	23.00	10/27/2014	622.60	03/21/2017	582.35	-40.25	-6.46%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	20.00	11/05/2014	546.84	03/21/2017	506.39	-40.45	-7.39%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	40.00	11/26/2014	1,109.56	03/21/2017	1,012.77	-96.79	-8.72%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	70.00	01/16/2015	1,801.94	03/21/2017	1,772.36	-29.58	-1.64%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	25.00	06/04/2015	679.14	03/21/2017	632.99	-46.15	-6.79%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	85.00	08/25/2015	2,119.53	03/21/2017	2,152.15	32.62	1.53%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	44.00	09/28/2015	1,019.48	03/21/2017	1,114.06	94.58	9.27%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	5,175.00	02/04/2016	114,642.30	03/21/2017	131,028.14	16,385.84	14.29%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	699.00	08/25/2014	20,994.96	03/22/2017	17,546.55	-3,448.41	-16.42%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	641.00	09/17/2014	18,868.46	03/22/2017	16,090.61	-2,777.85	-14.72%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	354.00	10/14/2014	9,436.07	03/22/2017	8,886.24	-549.83	-5.82%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	543.00	10/21/2014	14,636.05	03/22/2017	13,630.58	-1,005.47	-6.86%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	40.00	11/26/2014	1,109.57	03/22/2017	1,004.09	-105.48	-9.50%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	75.00	01/16/2015	1,930.65	03/22/2017	1,882.68	-47.97	-2.48%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	30.00	06/04/2015	814.96	03/22/2017	753.07	-61.89	-7.59%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	85.00	08/25/2015	2,119.53	03/22/2017	2,133.70	14.17	0.66%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	49.00	09/28/2015	1,135.33	03/22/2017	1,230.02	94.69	8.34%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	5,385.00	02/04/2016	119,294.45	03/22/2017	135,176.21	15,881.76	13.31%	L
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	415.00	07/26/2016	9,887.33	03/22/2017	10,417.48	530.15	5.36%	S
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	93.00	01/05/2017	2,257.02	03/22/2017	2,337.25	80.23	3.55%	S
ALPS INTL SECTOR DIVID DOGS ETF	00162Q718	IDOG	29.00	01/19/2017	697.13	03/22/2017	728.82	31.69	4.54%	S
BANC CALIF NA IRVI CA US RT 00 5000% MAT 01/17/17 FIXED RATE CD	059615JC9		25,000.00	10/12/2016	25,000.00	01/17/2017	25,000.00	0.00	0.00%	S
BEAL BANK NV US RT 00 8500% MAT 02/01/17 FIXED RATE CD	07370WWV4		240,000.00	01/25/2016	239,880.00	02/01/2017	240,000.00	120.00	0.05%	L
BLACKROCK MULTI-ASSET INCOME PORTFOLIO INSTL CLASS	09256H336	BLICX	182.15	08/14/2014	2,092.89	07/11/2017	2,000.00	-92.89	-4.43%	L



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 3A 14936 Jackson Expend

Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term	
BMO HARRIS BANK NA IL US RT 00 6500% MAT 05/19/17 FIXED RATE CD	05581WFJ9	240,000.00	04/12/2016	239,700.00	05/19/2017	240,000.00	300.00	0.12%	L	
DMB COMMUNITY BANK WI US RT 00.6000% MAT 01/31/17 FIXED RATE CD	23322GKY2	50,000.00	03/21/2016	49,975.00	01/31/2017	50,000.00	25.00	0.05%	S	
EQUITY COMWLTH REIT	294628102	EQC	0.25	01/01/1111	0.00	08/08/2017	0.00	0.00%	L	
FORTIS INC CANADA ORD CAD	349553107	FTS	597.84	10/14/2016	18,840.93	03/21/2017	19,116.47	275.54	1.46%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	212.00	10/14/2016	6,681.18	03/21/2017	6,778.89	97.71	1.46%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	67.68	10/14/2016	2,132.94	03/21/2017	2,164.13	31.19	1.46%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	56.40	10/14/2016	1,777.44	03/21/2017	1,803.44	26.00	1.46%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	22.56	10/14/2016	710.98	03/21/2017	721.38	10.40	1.46%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	4.51	10/14/2016	142.20	03/21/2017	144.28	2.08	1.46%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	3.01	10/14/2016	94.79	03/21/2017	96.18	1.39	1.46%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	695.60	10/14/2016	21,921.83	03/22/2017	22,534.58	612.75	2.79%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	104.53	10/14/2016	3,294.20	03/22/2017	3,386.28	92.08	2.79%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	67.68	10/14/2016	2,132.94	03/22/2017	2,192.56	59.62	2.79%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	60.16	10/14/2016	1,895.94	03/22/2017	1,948.94	53.00	2.79%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	54.90	10/14/2016	1,730.05	03/22/2017	1,778.40	48.35	2.79%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	45.12	10/14/2016	1,421.95	03/22/2017	1,461.71	39.76	2.79%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	30.08	10/14/2016	947.97	03/22/2017	974.46	26.49	2.79%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	12.67	10/14/2016	399.36	03/22/2017	410.52	11.16	2.79%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	5.26	10/14/2016	165.90	03/22/2017	170.53	4.63	2.79%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	24.00	01/05/2017	746.64	03/22/2017	776.63	29.99	4.01%	S
FORTIS INC CANADA ORD CAD	349553107	FTS	8.00	01/19/2017	248.40	03/22/2017	258.87	10.47	4.21%	S
HILTON GRAND VACATIONS INC	43283X105	HGV	0.10	03/27/2015	2.77	01/04/2017	2.66	-0.11	-3.97%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	0.50	03/27/2015	13.83	01/04/2017	13.31	-0.52	-3.75%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	54.70	03/27/2015	1,513.42	03/21/2017	1,560.09	46.67	3.08%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	3.00	06/04/2015	80.70	03/21/2017	85.56	4.86	6.02%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	2.50	06/30/2015	63.68	03/21/2017	71.30	7.62	11.96%	L

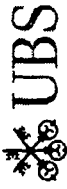


Consolidated report prepared for PMP FD Jack End

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Realized gain/loss - Year 2017 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
HILTON GRAND VACATIONS INC	43283X105	HGV	5.10	08/10/2015	123.43	03/21/2017	145.46	22.03	17.84%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	1.00	08/25/2015	22.79	03/21/2017	28.52	5.73	25.14%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	4.70	09/28/2015	98.03	03/21/2017	134.05	36.02	36.74%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	23.00	02/04/2016	383.74	03/21/2017	655.98	272.24	70.94%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	153.00	07/26/2016	3,391.05	03/21/2017	4,363.68	972.63	28.68%	S
HILTON GRAND VACATIONS INC	43283X105	HGV	57.60	03/27/2015	1,593.65	03/22/2017	1,616.50	22.85	1.43%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	3.50	06/04/2015	94.15	03/22/2017	98.22	4.07	4.32%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	2.20	06/30/2015	56.04	03/22/2017	61.74	5.70	10.17%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	5.30	08/10/2015	128.27	03/22/2017	148.74	20.47	15.95%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	1.00	08/25/2015	22.79	03/22/2017	28.07	5.28	23.16%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	4.90	09/28/2015	102.20	03/22/2017	137.51	35.31	34.54%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	24.00	02/04/2016	400.42	03/22/2017	673.54	273.12	68.20%	L
HILTON GRAND VACATIONS INC	43283X105	HGV	176.50	07/26/2016	3,911.54	03/22/2017	4,953.33	1,041.79	26.63%	S
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	184.00	03/27/2015	11,422.40	03/21/2017	10,482.86	-939.54	-8.22%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	10.00	06/04/2015	603.53	03/21/2017	569.72	-33.81	-5.60%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	8.33	06/30/2015	476.25	03/21/2017	474.77	-1.48	-0.31%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	17.00	08/10/2015	923.15	03/21/2017	968.52	45.37	4.91%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	3.33	08/25/2015	170.48	03/21/2017	189.91	19.43	11.39%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	15.67	09/28/2015	733.16	03/21/2017	892.56	159.40	21.74%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	76.67	02/04/2016	2,869.98	03/21/2017	4,367.86	1,497.88	52.19%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	510.00	07/26/2016	25,361.86	03/21/2017	29,055.75	3,693.89	14.56%	S
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	192.33	03/27/2015	11,939.72	03/22/2017	11,023.65	-916.07	-7.67%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	11.67	06/04/2015	704.11	03/22/2017	668.68	-35.43	-5.03%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	7.33	06/30/2015	419.11	03/22/2017	420.31	1.20	0.28%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	17.67	08/10/2015	959.34	03/22/2017	1,012.57	53.23	5.54%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	3.33	08/25/2015	170.48	03/22/2017	191.05	20.57	12.06%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	HLT	16.33	09/28/2015	764.37	03/22/2017	936.16	171.79	22.47%	L



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Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
HILTON WORLDWIDE HOLDINGS INC	43300A203	80.00	02/04/2016	2,994.76	03/22/2017	4,585.22	1,590.46	53.10%	L
HILTON WORLDWIDE HOLDINGS INC	43300A203	588.33	07/26/2016	29,254.56	03/22/2017	33,720.53	4,465.97	15.26%	S
MARSH & MCLENNAN COS INC 02 300% 040117 DTD031212 FC100112 CALL@MW+258P	571748AS1	100,000.00	03/29/2016	100,989.00	04/01/2017	100,000.00	-989.00	-0.97%	L
MCKESSON CORP	58155Q103	93.00	06/04/2015	21,804.88	03/21/2017	13,596.79	-8,208.09	-37.64%	L
MCKESSON CORP	58155Q103	1.00	06/30/2015	225.14	03/21/2017	146.20	-78.94	-35.06%	L
MCKESSON CORP	58155Q103	5.00	08/10/2015	1,087.20	03/21/2017	731.01	-356.19	-32.76%	L
MCKESSON CORP	58155Q103	7.00	09/28/2015	1,322.16	03/21/2017	1,023.41	-298.75	-22.59%	L
MCKESSON CORP	58155Q103	20.00	02/04/2016	3,089.60	03/21/2017	2,924.05	-165.55	-5.35%	L
MCKESSON CORP	58155Q103	175.00	07/26/2016	34,390.65	03/21/2017	25,585.35	-8,805.30	-25.60%	S
MCKESSON CORP	58155Q103	93.00	06/04/2015	21,804.88	03/22/2017	13,644.12	-8,160.76	-37.42%	L
MCKESSON CORP	58155Q103	5.00	06/30/2015	1,125.70	03/22/2017	733.56	-392.14	-34.83%	L
MCKESSON CORP	58155Q103	5.00	08/10/2015	1,087.20	03/22/2017	733.55	-353.65	-32.52%	L
MCKESSON CORP	58155Q103	7.00	09/28/2015	1,322.16	03/22/2017	1,026.98	-295.18	-22.32%	L
MCKESSON CORP	58155Q103	20.00	02/04/2016	3,089.60	03/22/2017	2,934.22	-155.38	-5.02%	L
MCKESSON CORP	58155Q103	205.00	07/26/2016	40,260.77	03/22/2017	30,075.76	-10,185.01	-25.29%	S
MCKESSON CORP	58155Q103	5.00	01/05/2017	732.65	03/22/2017	732.94	0.29	0.03%	S
MCKESSON CORP	58155Q103	2.00	01/19/2017	296.22	03/22/2017	293.18	-3.04	-1.02%	S
NATIONAL RETAIL PROPERTY CUMUL SER D 6 625% PREFERRED CLBL PAR VALUE	637417601	165.00	10/19/2015	4,240.50	02/23/2017	4,125.00	-115.50	-2.72%	L
NATIONAL RETAIL PROPERTY CUMUL SER D 6 625% PREFERRED CLBL PAR VALUE	637417601	4,000.00	12/14/2015	102,774.68	02/23/2017	100,000.00	-2,774.68	-2.69%	L
PAREXEL INTL CORP **MERGER 10/2017**	699462107	346.00	06/13/2016	20,767.75	03/21/2017	21,223.18	455.43	2.19%	S
PAREXEL INTL CORP **MERGER 10/2017**	699462107	555.00	07/26/2016	36,386.69	03/21/2017	34,042.96	-2,343.73	-6.44%	S
PAREXEL INTL CORP **MERGER 10/2017**	699462107	365.00	06/13/2016	21,908.18	03/22/2017	22,366.71	458.53	2.09%	S
PAREXEL INTL CORP **MERGER 10/2017**	699462107	640.00	07/26/2016	41,948.35	03/22/2017	39,218.35	-2,730.00	-6.50%	S
PAREXEL INTL CORP **MERGER 10/2017**	699462107	11.00	01/05/2017	746.89	03/22/2017	673.95	-72.94	-9.76%	S
PAREXEL INTL CORP **MERGER 10/2017**	699462107	3.00	01/19/2017	213.84	03/22/2017	183.81	-30.03	-14.04%	S
PARK HOTELS & RESORTS INC REIT	700517105	PK	03/27/2015	6.40	01/04/2017	5.95	-0.45	-7.03%	L



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Realized gain/loss - Year 2017 (continued)

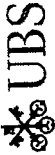
	CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
PARK HOTELS & RESORTS INC REIT	700517105	PK	110.40	03/27/2015	3,533.07	03/21/2017	2,886.16	-646.91	-18.31%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	6.00	06/04/2015	186.67	03/21/2017	156.85	-29.82	-15.97%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	5.00	06/30/2015	147.32	03/21/2017	130.72	-16.60	-11.26%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	10.20	08/10/2015	285.53	03/21/2017	266.65	-18.88	-6.61%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	2.00	08/25/2015	52.73	03/21/2017	52.29	-0.44	-0.83%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	9.40	09/28/2015	226.78	03/21/2017	245.74	18.96	8.36%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	46.00	02/04/2016	887.71	03/21/2017	1,202.57	314.86	35.46%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	306.00	07/26/2016	7,844.69	03/21/2017	7,999.67	154.98	1.97%	S
PARK HOTELS & RESORTS INC REIT	700517105	PK	51.00	03/09/2017	1,357.28	03/21/2017	1,333.28	-24.00	-1.76%	S
PARK HOTELS & RESORTS INC REIT	700517105	PK	115.20	03/27/2015	3,686.68	03/22/2017	2,993.67	-693.01	-18.79%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	7.00	06/04/2015	217.79	03/22/2017	181.91	-35.88	-16.47%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	4.40	06/30/2015	129.63	03/22/2017	114.34	-15.29	-11.79%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	10.60	08/10/2015	296.74	03/22/2017	275.46	-21.28	-7.17%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	2.00	08/25/2015	52.73	03/22/2017	51.97	-0.76	-1.44%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	9.80	09/28/2015	236.42	03/22/2017	254.67	18.25	7.71%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	48.00	02/04/2016	926.31	03/22/2017	1,247.37	321.06	34.66%	L
PARK HOTELS & RESORTS INC REIT	700517105	PK	353.00	07/26/2016	9,048.74	03/22/2017	9,173.32	124.58	1.37%	S
PARK HOTELS & RESORTS INC REIT	700517105	PK	57.00	03/09/2017	1,516.96	03/22/2017	1,481.24	-35.72	-2.35%	S
PUBLIC STORAGE CUMUL 5.900% PREFERRED CLBL PAR VALUE - 25.00 USD	74460W206		4,000.00	12/14/2015	100,519.60	07/26/2017	100,000.00	-519.60	-0.51%	L
REALTY INCOME (O) 6.625% PREFERRED CLBL PAR VALUE - 25.00 USD	756109807	OPRCL	4,000.00	12/14/2015	103,748.08	04/06/2017	100,000.00	-3,748.08	-3.61%	L
STANDARD B&T CO IL US RT 00 7500% MAT 06/30/17 FIXED RATE CD	853117QW2		50,000.00	03/21/2016	49,962.50	06/30/2017	50,000.00	37.50	0.07%	L
WELLTOWER INC PREFERRED	950400302		4,000.00	12/14/2015	104,000.00	03/07/2017	100,000.00	-4,000.00	-3.84%	L
WELLTOWER INC PREFERRED	950400302		4,000.00	12/14/2015	104,000.00	03/07/2017	100,000.00	-4,000.00	-3.84%	L
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	3,100.00	06/04/2015	93,884.41	03/21/2017	90,673.02	-3,211.39	-3.42%	L
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	4,000.00	06/04/2015	121,141.18	03/22/2017	116,477.46	-4,663.72	-3.84%	L
XTRACKERS MSCI EAFE HEDGED EQUITY ETF	233051200	DBEF	55.00	01/05/2017	1,573.54	03/22/2017	1,601.57	28.03	1.78%	S



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Realized gain/loss - Year 2017 (continued)

CUSIP	Symbol	Quantity	Purchase date	Purchase amount (\$)	Sale date	Sale amount (\$)	Realized gain/(loss) (\$)	Percent gain/(loss) (%)	Term
TOTAL REALIZED GAIN/(LOSS):									
TOTAL GAINS:									
		51,451.39							
TOTAL LOSSES:									
		-85,391.65							
SHORT TERM - TOTAL REALIZED GAIN/(LOSS):									
		-10,733.97							
LONG TERM - TOTAL REALIZED GAIN/(LOSS):									
		-23,206.29							
				2,277,872.70					
						2,243,940.20	-33,940.26	-1.49%	



Disclosures applicable to accounts at UBS Financial Services Inc.

This section contains important disclosures regarding the information and valuations presented here. All information presented is subject to change at any time and is provided only as of the date indicated. The information in this report is for informational purposes only and should not be relied upon as the basis of an investment or liquidation decision. UBS FS accounts statements and official tax documents are the only official record of your accounts and are not replaced, amended or superseded by any of the information presented in these reports. You should not rely on this information in making purchase or sell decisions, for tax purposes or otherwise.

UBS FS offers a number of investment advisory programs to clients, acting in our capacity as an investment adviser, including fee-based financial planning, discretionary account management, non-discretionary investment advisory programs, and advice on the selection of investment managers and mutual funds offered through our investment advisory programs. When we act as your investment adviser, we will have a written agreement with you expressly acknowledging our investment advisory relationship with you and describing our obligations to you. At the beginning of our advisory relationship, we will give you our Form ADV brochure(s) for the program(s) you selected that provides detailed information about, among other things, the advisory services we provide, our fees, our personnel, our other business activities and financial industry affiliations and conflicts between our interests and your interests.

In our attempt to provide you with the highest quality information available, we have compiled this report using data obtained from recognized statistical sources and authorities in the financial industry. While we believe this information to be reliable, we cannot make any representations regarding its accuracy or completeness. Please keep this guide as your Wealth Review.

Please keep in mind that most investment objectives are long term. Although it is important to evaluate your portfolio's performance over multiple time periods, we believe the greatest emphasis should be placed on the longer period returns.

Please review the report content carefully and contact your Financial Advisor with any questions.

Portfolio: For purposes of this report, "portfolio" is defined as all of the accounts presented on the cover page or the header of this report and does not necessarily include all of the client's accounts held at UBS FS or elsewhere.

Pricing: All securities are priced using the closing price, reported on the last business day preceding the date of this report. Every reasonable attempt has been made to

accurately price securities, however, we make no warranty with respect to any security's price. Please refer to the back of the page of your UBS FS accounts statement for important information regarding the pricing used for certain types of securities, the sources of pricing data and other qualifications concerning the pricing of securities. To determine the value of securities in your account, we generally rely on third party quotation services. If a price is unavailable or believed to be unreliable, we may determine the price in good faith and may use other sources such as the last recorded transaction. When securities are held at another custodian or if you hold illiquid or restricted securities for which there is no published price, we will generally rely on the value provided by the custodian or issuer of that security.

Gain/Loss: The gain/loss information may include calculations based upon non-UBS FS cost basis information. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS FS. In addition, if this report contains positions with unavailable cost basis, the gain/loss for these positions are excluded in the calculation for the Gain/Loss. As a result, these figures may not be accurate and are provided for informational purposes only. Clients should not rely on this information in making purchase or sell decisions, for tax purposes or otherwise. Rely only on year-end tax forms when preparing your tax return. See your monthly statement for additional information.

Gain/Loss reporting for Puerto Rico Income Tax Purposes: Gain/loss reporting may be prepared solely for Puerto Rico income tax purposes only. If you have received gain/loss reporting for Puerto Rico income tax purposes only and are NOT subject to Puerto Rico income taxes, you have received this reporting in error and you should contact your Financial Advisor immediately. Pursuant to the Puerto Rico Internal Revenue Code (PRIIRC), long-term capital gains are derived from the sale or exchange of capital assets held longer than six (6) months. For the purposes of this report only, long term gains and losses are represented by assets held for a period of more than six (6) months. Both the Firm and your Financial Advisor will rely solely upon your representations and will not make the determination of whether you are subject to Puerto Rico income taxes. If you have received this reporting and you are NOT subject to Puerto Rico income taxes, the information provided in this reporting is inaccurate and should not be relied upon by you or your advisers for purposes other than determining realized gain/loss for Puerto Rico income tax purposes. Neither UBS FS nor its employees provide tax or legal advice. You should consult with your tax and/or legal advisors regarding your personal circumstances.

Gain/Loss 60/40: Index options listed in this report may be subject to IRS Tax Code - section 1256 categorizing

them as broad-based index options. If so, the index may be eligible to be treated as 60% long term and 40% short term for tax purposes. Please contact your tax professional to determine eligibility.

The account listing may or may not include all of your accounts with UBS FS. The accounts included in this report are listed under the "Accounts included in this review" shown on the first page or listed at the top of each page. If an account number begins with "0" this denotes assets or liabilities held at other financial institutions. Information about these assets, including valuation, account type and cost basis, is based on the information you provided to us, or provided to us by third party data aggregators or custodians at your direction. We have not verified, and are not responsible for, the accuracy or completeness of this information.

Account changes: At UBS, we are committed to helping you work toward your financial goals. So that we may continue providing you with financial advice that is consistent with your investment objectives, please consider the following two questions:

- 1) Have there been any changes to your financial situation or investment objectives?
- 2) Would you like to implement or modify any restrictions regarding the management of your account?

If the answer to either question is "yes," it is important that you contact your Financial Advisor as soon as possible to discuss these changes. For MAC advisory accounts, please contact your investment manager directly if you would like to impose or change any investment restrictions on your account.

ADV disclosure: A complimentary copy of our current Form ADV Disclosure Brochure that describes the advisory program and related fees is available through your Financial Advisor. Please contact your Financial Advisor if you have any questions.

Important information for former Piper Jaffray and McDonald Investments clients: As an accommodation to former Piper Jaffray and McDonald Investments clients, these reports include performance history for their Piper Jaffray accounts prior to August 12, 2006 and McDonald Investments accounts prior to February 9, 2007. The date the respective accounts were converted to UBS FS. UBS FS has not independently verified this information nor do we make any representations or warranties as to the accuracy or completeness of that information and will not be liable to you if any such information is unavailable, delayed or inaccurate.

For insurance, annuities, and 529 Plans, UBS FS relies on information obtained from third party services it believes to be reliable. UBS FS does not independently verify or guarantee the accuracy or validity of any information provided by third parties. Information for insurance, annuities, and 529 Plans that has been provided by a

third party service may not reflect the quantity and market value as of the previous business day. When available, an "as of" date is included in the description. Investors outside the U.S. are subject to securities and tax regulations within their applicable jurisdiction that are not addressed in this report. Nothing in this report shall be construed to be a solicitation to buy or offer to sell any security, product or service to any non-U.S. investor, nor shall any such security, product or service be solicited, offered or sold in any jurisdiction where such activity would be contrary to the securities laws or other local laws and regulations or would subject UBS to any registration requirement within such jurisdiction.

Performance History prior to the account's inception at UBS Financial Services, Inc. may have been included in this report and is based on data provided by third party sources. UBS Financial Services Inc. has not independently verified this information nor does UBS Financial Services Inc. guarantee the accuracy or validity of the information.

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West Foundation (EIN: 23-7332105)
Gifts and Contributions Paid during 2017

Form 990PF - Part XV Attachment C

Organization	Recipient Status	Purpose of Grant	Amount
Amarillo Area Foundation 801 South Fillmore St. Amarillo, TX 79101	501 (c) (3)	Endowments/Scholarships	40,000
Gladney Center for Adoption 6300 John Ryan Dr. Fort Worth, TX 76132-4122	501 (c) (3)	Endowments/Scholarships	5,000
Hastings College 901 Turner Ave. Hastings, Nebraska	501 (c) (3)	Endowments/Scholarships	321,500
Jackson Dinsdale Endowment Fund at Hastings College 901 Turner Ave. Hastings, Nebraska	501 (c) (3)	Endowments/Scholarships	8,426,368
Midwestern State University 3410 Taft Blvd Wichita Falls, TX 76308	501 (c) (3)	Endowments/Scholarships	114,500
Wichita Falls Community Foundation P. O. Box 97533 Wichita Falls, TX 76307	501 (c) (3)	Endowments/Scholarships	75,000
Wichita Falls ISD P. O. Box 97533 Wichita Falls, TX 76307	501 (c) (3)	Endowments/Scholarships	345,000
Grants Paid to Institutions		Subtotal	9,327,368
		Total Gifts & Contributions Paid	<u>9,327,368</u>

West Foundation (EIN: 23-7332105)

2017 Form 990-PF

Part II - Line 10b, 10c and 13

Attachment B

	<u>VAL METHOD</u>	<u>BOOK</u>	<u>FMV</u>	
UBS Acct# 3A04730BR	COST	109,696	129,823	
UBS Acct# 3A07806BR	COST	2,027,983	2,501,823	
UBS Acct# 3A06635BR	COST	1,258,361	1,417,241	
UBS Acct# 3A09715BR	COST	1,404,428	1,443,733	
UBS Acct# 3A09714BR	COST	820,463	847,716	
UBS Acct# 3A09713BR	COST	1,760,854	1,887,107	
UBS Acct# 3A09843BR	COST	1,752,793	1,821,583	
UBS Acct# 3A09710BR	COST	67,874	70,745	
Total Corporate Stocks		9,202,451	10,119,770	Line 10 (b)
UBS Acct# 3A01040BR	COST	1,577,673	1,617,198	
UBS Acct# 3A09708BR	COST	4,346,306	4,333,783	
UBS Acct# 3A09710BR	COST	35,034	34,687	
Total Corporate Bonds		5,959,012	5,985,668	Line 10 (c)
UBS Acct# 3A04730BR	COST	510,264	547,515	
UBS Acct# 3A09710BR	COST	1,674	1,731	
Total Other Investments (Broad Commodities)		511,938	549,246	Line 13