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C&E 927

Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2017

Open to Public Inspection

For calendar year 2017 or tax year beginning , and ending

Name of foundation
Robert & Diana Borman Family Charitable Foundation

A Employer identification number
26-1419554

Number and street (or P O box number if mail is not delivered to street address) / Room/suite
8 Hamilton Road

B Telephone number
(914) 238-9531

City or town, state or province, country, and ZIP or foreign postal code
Ridgefield, CT 06877

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 change

D 1. Foreign organizations, check here ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶$ 4,820,618.

J Accounting method: ☐ Cash ☒ Accrual ☐ Other (specify) (Part I, column (d) must be on cash basis.)

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue				
1 Contributions, gifts, grants, etc., received	3,567,959.		N/A	
2 Check ▶ ☐ if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments	86.	86.		Statement 1
4 Dividends and interest from securities	41,349.	41,349.		Statement 2
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	888,680.			
b Gross sales price for all assets on line 6a 1,066,646.				
7 Capital gain net income (from Part IV, line 2)		888,680.		
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	4,498,074.	930,115.		
Operating and Administrative Expenses				
13 Compensation of officers, directors, trustees, etc	0.	0.		0.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees				
b Accounting fees Stmt 3	1,450.	725.		725.
c Other professional fees Stmt 4	8,479.	8,479.		0.
17 Interest				
18 Taxes Stmt 5	433.	433.		0.
19 Depreciation and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses Stmt 6	100.	0.		100.
24 **Total operating and administrative expenses.** Add lines 13 through 23	10,462.	9,637.		825.
25 Contributions, gifts, grants paid	39,500.			39,500.
26 **Total expenses and disbursements.** Add lines 24 and 25	49,962.	9,637.		40,325.
27 Subtract line 26 from line 12:				
a Excess of revenue over expenses and disbursements	4,448,112.			
b **Net investment income** (if negative, enter -0-)		920,478.		
c **Adjusted net income** (if negative, enter -0-)			N/A	

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

16260410 793251 08505-220 2017.03030 Robert & Diana Borman Famil 08505-01

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

		Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	11,857.	243,898.	243,898.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock Stmt 8	891,814.	3,499,387.	3,499,387.
	c Investments - corporate bonds Stmt 9	0.	1,077,333.	1,077,333.
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other			
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	903,671.	4,820,618.	4,820,618.
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 ▶ [X] and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	903,671.	4,820,618.	
	30 **Total net assets or fund balances**	903,671.	4,820,618.	
	31 **Total liabilities and net assets/fund balances**	903,671.	4,820,618.	

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	903,671.
2	Enter amount from Part I, line 27a	2	4,448,112.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	5,351,783.
5	Decreases not included in line 2 (itemize) ▶ See Statement 7	5	531,165.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	4,820,618.

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	Publicly Traded Security			
b	Capital Gains Dividends			
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))
a	1,056,287.		177,966.	878,321.
b	10,359.			10,359.
c				
d				
e				

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				878,321.
b				10,359.
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7; If (loss), enter -0- in Part I, line 7 }	2	888,680.
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	47,615.	818,149.	.058198
2015	38,401.	951,276.	.040368
2014	23,082.	759,495.	.030391
2013	18,067.	478,467.	.037760
2012	287.	375,370.	.000765

2	**Total** of line 1, column (d)	2	.167482
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	.033496
4	Enter the net value of noncharitable-use assets for 2017 from Part X, line 5	4	1,492,919.
5	Multiply line 4 by line 3	5	50,007.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	9,205.
7	Add lines 5 and 6	7	59,212.
8	Enter qualifying distributions from Part XII, line 4	8	40,325.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary-see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b	1	18,410.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations, enter 4% of Part I, line 12, col. (b).		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only; others, enter -0-)	2	0.
3	Add lines 1 and 2	3	18,410.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only; others, enter -0-)	4	0.
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	18,410.
6	Credits/Payments:		
a	2017 estimated tax payments and 2016 overpayment credited to 2017 — 6a: 0.		
b	Exempt foreign organizations - tax withheld at source — 6b: 0.		
c	Tax paid with application for extension of time to file (Form 8868) — 6c: 0.		
d	Backup withholding erroneously withheld — 6d: 0.		
7	Total credits and payments. Add lines 6a through 6d	7	0.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	5.
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	18,415.
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	
11	Enter the amount of line 10 to be: **Credited to 2018 estimated tax** ▶ ______ **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

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

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

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

Website address ▶ N/A

14 The books are in care of ▶ Kate Borman Telephone no. ▶ (914) 238-9531

Located at ▶ 8 Hamilton Road, Ridgefield, CT ZIP+4 ▶ 06877

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

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

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

			Yes	No
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			
1a	During the year, did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions N/A	1b		
	Organizations relying on a current notice regarding disaster assistance, check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2017?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2017, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2017? ☐ Yes ☒ No			
	If "Yes," list the years ▶ ______, ______, ______, ______			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.) N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ______, ______, ______, ______			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2017 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2017.) N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2017?	4b		X

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

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

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

1 List all officers, directors, trustees, 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
Adam K. Borman 8 Hamilton Road Ridgefield, CT 06877	Trustee 0.10	0.	0.	0.
Diana L. Borman 8 Hamilton Road Ridgefield, CT 06877	Trustee 0.10	0.	0.	0.
Kate E. Borman 8 Hamilton Road Ridgefield, CT 06877	Trustee 0.10	0.	0.	0.
Robert G. Borman 8 Hamilton Road Ridgefield, CT 06877	Trustee 0.10	0.	0.	0.

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

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

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

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

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

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

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	1,441,086.
b	Average of monthly cash balances	1b	74,568.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	1,515,654.
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	1,515,654.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	22,735.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,492,919.
6	**Minimum investment return.** Enter 5% of line 5	6	74,646.

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	74,646.
2a	Tax on investment income for 2017 from Part VI, line 5 — 2a: 18,410.		
b	Income tax for 2017. (This does not include the tax from Part VI.) — 2b:		
c	Add lines 2a and 2b	2c	18,410.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	56,236.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	56,236.
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	56,236.

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	40,325.
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	40,325.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	40,325.

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				56,236.
2 Undistributed income, if any, as of the end of 2017				
a Enter amount for 2016 only			39,360.	
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				
e From 2016				
f **Total** of lines 3a through e	0.			
4 Qualifying distributions for 2017 from Part XII, line 4: ▶ $ 40,325.				
a Applied to 2016, but not more than line 2a			39,360.	
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				965.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2017 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 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				55,271.
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	0.			
10 Analysis of line 9:				
a Excess from 2013				
b Excess from 2014				
c Excess from 2015				
d Excess from 2016				
e Excess from 2017				

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

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				
Camp CaPella P.O. Box 552 Holden, ME 04429	N/A	PC	General Operating Support	10,000.
Gettysburg College P.O. Box 400 Gettysburg, PA 17325	N/A	PC	Baseball and Girls Lacrosse	4,000.
Hartford Hospital 80 Seymour Street Hartford, CT 06102	N/A	PC	General Operating Support	10,000.
North Pond Association 136 North Shore Drive Smithfield, ME 04978	N/A	PC	Programming	2,500.
Oswego SMCA - Youth Arts 223 Hewitt Union #29 Oswego, NY 13126	N/A	PC	General Operating Support	3,000.
Total See continuation sheet(s)			▶ 3a	39,500.
b Approved for future payment				
None				
Total			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	86.	
4 Dividends and interest from securities			14	41,349.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	888,680.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		930,115.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 930,115.

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

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

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

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

▶ [signature] 4/10/18 ▶ Trustee

Signature of officer or trustee Date Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
Nicholas E. Porto	[signature]	04/10/18		P01310283
Firm's name ▶ Baker Newman Noyes			Firm's EIN ▶ 01-0494526	
Firm's address ▶ P.O. Box 507 Portland, ME 04112			Phone no. (207) 879-2100	

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
The Prospector Theater 25 Prospect Street Ridgefield, CT 06877	N/A	PC	Sensory Screening Program	10,000.
Total from continuation sheets				10,000.

723631
04-01-17

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

Schedule of Contributors

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

OMB No 1545-0047

2017

Name of the organization	**Employer identification number**
Robert & Diana Borman Family Charitable Foundation	26-1419554

Organization type (check one)

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

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

General Rule

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

Special Rules

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

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

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

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

Name of organization	Employer identification number
Robert & Diana Borman Family Charitable Foundation	26-1419554

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	Robert B. Borman Charitable REmainder Unitrust 8 Hamilton Road Ridgefield, CT 06877	$ 3,566,509.	Person [X] Payroll [ ] Noncash [X] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)

Name of organization: Robert & Diana Borman Family Charitable Foundation

Employer identification number: 26-1419554

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
1	Various Publicly Traded Securities	$ 3,427,892.	12/26/17
		$	
		$	
		$	
		$	
		$	

Name of organization	Employer identification number
Robert & Diana Borman Family Charitable Foundation	26-1419554

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

Use duplicate copies of Part III if additional space is needed

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

Source	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
Interest Income	86.	86.	
Total to Part I, line 3	86.	86.	

Form 990-PF Dividends and Interest from Securities Statement 2

Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
Dividends	51,708.	10,359.	41,349.	41,349.	
To Part I, line 4	51,708.	10,359.	41,349.	41,349.	

Form 990-PF Accounting Fees Statement 3

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Accounting Fees	1,450.	725.		725.
To Form 990-PF, Pg 1, ln 16b	1,450.	725.		725.

Form 990-PF Other Professional Fees Statement 4

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Investment Management Fees	8,479.	8,479.		0.
To Form 990-PF, Pg 1, ln 16c	8,479.	8,479.		0.

Form 990-PF	Taxes	Statement 5

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Foreign Tax	433.	433.		0.
To Form 990-PF, Pg 1, ln 18	433.	433.		0.

Form 990-PF	Other Expenses	Statement 6

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
NYS Filing Fees	100.	0.		100.
To Form 990-PF, Pg 1, ln 23	100.	0.		100.

Form 990-PF	Other Decreases in Net Assets or Fund Balances	Statement 7

Description	Amount
Unrealized Adjustment, Including Book vs Tax Gain on Donated Securities	531,165.
Total to Form 990-PF, Part III, line 5	531,165.

Form 990-PF	Corporate Stock	Statement 8

Description	Book Value	Fair Market Value
Equities - See Statement 10	3,499,387.	3,499,387.
Total to Form 990-PF, Part II, line 10b	3,499,387.	3,499,387.

Form 990-PF	Corporate Bonds	Statement 9

Description	Book Value	Fair Market Value
Fixed Income Securities - See Statement 10	1,077,333.	1,077,333.
Total to Form 990-PF, Part II, line 10c	1,077,333.	1,077,333.

Your assets (continued)

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
ACCENTURE PLC IRELAND CL A								
Symbol ACN Exchange NYSE								
EAI $830 Current yield 1 74%	May 17, 16	62 000	116 849	7,244 69	153.090	9,491 58	2,246 89	LT
	Jan 12, 17	24 000	115 379	2,769.10	153 090	3,674 16	905 06	ST
	Mar 6, 17	44 000	123 240	5,422.56	153.090	6,735.96	1,313 40	ST
	Mar 6, 17	17 000	123 080	2,092 36	153 090	2,602 53	510 17	ST
	Mar 16, 17	36 000	123 870	4,459 32	153 090	5,511 24	1,051 92	ST
	Mar 16, 17	18 000	124 568	2,242 24	153 090	2,755 62	513 38	ST
	Apr 12, 17	51.000	115 920	5,911 92	153 090	7,807 59	1,895.67	ST
	May 5, 17	31.000	120 920	3,748 52	153.090	4,745 79	997 27	ST
	May 5, 17	19 000	121 060	2,300 14	153 090	2,908 71	608 57	ST
	Jun 5, 17	10 000	126 749	1,267 49	153.090	1,530 90	263.41	ST
Security total		312 000	120 059	37,458 34		47,764 08	10,305.74	
ADOBE SYSTEMS INC (DELAWARE)								
Symbol ADBE Exchange OTC	May 17, 16	75 000	96 829	7,262 18	175 240	13,143 00	5,880 82	LT
	Jan 12, 17	25 000	108 240	2,706.00	175.240	4,381 00	1,675 00	ST
	Mar 6, 17	33 000	120 310	3,970 23	175 240	5,782 92	1,812 69	ST
	Mar 6, 17	17 000	120 340	2,045 78	175 240	2,979.08	933 30	ST
	Mar 16, 17	36 000	121 958	4,390 52	175 240	6,308 64	1,918 12	ST
	Mar 16, 17	19 000	122 070	2,319 33	175 240	3,329 56	1,010.23	ST
	Apr 12, 17	28 000	129 630	3,629 64	175.240	4,906 72	1,277.08	ST
	May 5, 17	30 000	134 280	4,028.40	175 240	5,257 20	1,228 80	ST
	May 5, 17	9 000	134 658	1,211.93	175 240	1,577 16	365 23	ST
	Jun 5, 17	4 000	143 740	574 96	175 240	700 96	126 00	ST
Security total		276 000	116.446	32,138 97		48,366.24	16,227 27	
ALPHABET INC CL A								
Symbol GOOGL Exchange OTC	May 17, 16	10.000	733 429	7,334 29	1,053 400	10,534 00	3,199 71	LT
	Jan 12, 17	3 000	827 350	2,482 05	1,053 400	3,160 20	678 15	ST
	Mar 6, 17	5 000	846.790	4,233 95	1,053 400	5,267 00	1,033 05	ST

continued next page

STATEMENT 10

EIN: 26-1419554

Your Financial Advisor:
REAL/VIGUE/PLATT
212-626-8500/800-458-1764

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Mar 6, 17	3.000	846 290	2,538 87	1,053.400	3,160.20	621 33	ST
	Mar 16, 17	5 000	868 560	4,342 80	1,053.400	5,267 00	924 20	ST
	Mar 16, 17	3 000	869 590	2,608 77	1,053 400	3,160 20	551.43	ST
	Apr 12, 17	7 000	838 338	5,868 37	1,053 400	7,373 80	1,505 43	ST
	May 5, 17	1 000	951 640	951 64	1,053 400	1,053 40	101 76	ST
	May 5, 17	1.000	952 650	952 65	1,053 400	1,053 40	100 75	ST
	Jun 5, 17	1 000	1,002 610	1,002 61	1,053 400	1,053 40	50 79	ST
Security total		39 000	828 615	32,316 00		41,082 60	8,766 60	
AMERICAN TOWER CORP REIT Symbol AMT Exchange NYSE EAI $837 Current yield. 1 96%	Mar 15, 17	113 000	115 207	13,018 46	142 670	16,121 71	3,103 25	ST
	Mar 15, 17	43 000	115 207	4,953 93	142 670	6,134 81	1,180 88	ST
	Mar 16, 17	39 000	115 500	4,504.50	142 670	5,564 13	1,059 63	ST
	Mar 16, 17	21 000	115 129	2,417 71	142 670	2,996 07	578 36	ST
	Apr 12, 17	31 000	122 219	3,788 79	142 670	4,422.77	633 98	ST
	May 5, 17	30.000	127 719	3,831 57	142 670	4,280 10	448 53	ST
	May 5, 17	10 000	127.739	1,277 39	142 670	1,426 70	149 31	ST
	Jun 5, 17	12 000	131 690	1,580 28	142 670	1,712 04	131 76	ST
Security total		299 000	118 303	35,372 63		42,658 33	7,285 70	
AMERIPRISE FINANCIAL INC Symbol AMP Exchange NYSE EAI $1,042 Current yield. 1 96%	May 17, 16	77 000	95 198	7,330.32	169.470	13,049.19	5,718 87	LT
	Jan 12, 17	24 000	115 040	2,760.96	169 470	4,067.28	1,306 32	ST
	Mar 6, 17	22 000	132 060	2,905 32	169 470	3,728.34	823 02	ST
	Mar 6, 17	14 000	132 080	1,849 12	169.470	2,372 58	523 46	ST
	Mar 16, 17	32 000	134.300	4,297 60	169 470	5,423 04	1,125 44	ST
	Mar 16, 17	17 000	134 898	2,293 28	169 470	2,880 99	587 71	ST
	Apr 12, 17	42 000	128 676	5,404 40	169 470	7,117 74	1,713 34	ST
	May 5, 17	39 000	127 745	4,982 06	169 470	6,609 33	1,627 27	ST
	May 5, 17	19 000	127.818	2,428 56	169 470	3,219 93	791 37	ST
	Jun 5, 17	28 000	123 268	3,451 53	169 470	4,745 16	1,293 63	ST
Security total		314 000	120 074	37,703 15		53,213 58	15,510 43	

continued next page

STATEMENT 10

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
AMERISOURCEBERGEN CORP								
Symbol ABC Exchange NYSE								
EAI $651 Current yield 1.66%	Nov 14, 16	76 000	81 118	6,164 97	91 820	6,978 32	813 35	LT
	Jan 12, 17	32 000	84 605	2,707 36	91 820	2,938 24	230 88	ST
	Mar 6, 17	68 000	90 480	6,152 64	91.820	6,243 76	91 12	ST
	Mar 6, 17	24 000	90 480	2,171 54	91 820	2,203 68	32 14	ST
	Mar 16, 17	54 000	88 749	4,792 49	91 820	4,958 28	165.79	ST
	Mar 16, 17	27 000	88 948	2,401 62	91.820	2,479 14	77 52	ST
	Apr 12, 17	59 000	87 100	5,138 90	91 820	5,417 38	278 48	ST
	May 5, 17	58 000	86 455	5,014 39	91.820	5,325 56	311 17	ST
	May 5, 17	27 000	86 290	2,329 83	91 820	2,479 14	149 31	ST
	Jun 5, 17	3 000	93 236	279 71	91 820	275.46	-4 25	ST
Security total		428 000	86 807	37,153 45		39,298 96	2,145 51	
APPLE INC								
Symbol: AAPL Exchange: OTC								
EAI $10,080 Current yield 1 49%	Sep 20, 01	3,000 000	1 120	3,360 00	169 230	507,690 00	504,330 00	LT
	Sep 20, 01	202 000	1 120	226 24	169 230	34,184 46	33,958 22	LT
	Jul 3, 02	798 000	1 253	1,000 35	169 230	135,045 54	134,045 19	LT
Security total		4,000 000	1 147	4,586 59		676,920 00	672,333 41	
BLACKROCK INC								
Symbol BLK Exchange NYSE	Dec 12, 16	22 000	389 580	8,570 76	513.710	11,301 62	2,730 86	LT
	Jan 12, 17	7 000	378 900	2,652 30	513 710	3,595 97	943 67	ST
	Mar 6, 17	12 000	387 656	4,651 88	513 710	6,164 52	1,512 64	ST
	Mar 6, 17	6 000	387.550	2,325 30	513 710	3,082 26	756 96	ST
	Mar 16, 17	11 000	389 309	4,282 40	513 710	5,650 81	1,368 41	ST
	Mar 16, 17	6 000	390 390	2,342.34	513 710	3,082 26	739 92	ST
	Apr 12, 17	13 000	383 810	4,989 53	513 710	6,678 23	1,688 70	ST
	May 5, 17	13 000	383 079	4,980 03	513 710	6,678.23	1,698 20	ST
	May 5, 17	5.000	382.330	1,911 65	513.710	2,568 55	656 90	ST
Security total		95 000	386 381	36,706.19		48,802.45	12,096 26	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
BRITISH AMER TOBACCO PLC GB SPON ADR								
Symbol BTI Exchange AMEX								
EAI· $1,550 Current yield 4 25%	May 17, 16	120 000	60.575	7,269 00	66 990	8,038 80	769 80	LT
	Jan 12, 17	48 000	57 455	2,757 84	66 990	3,215 52	457 68	ST
	Mar 6, 17	87 000	63.099	5,489 69	66.990	5,828.13	338 44	ST
	Mar 6, 17	32 000	63 109	2,019 49	66 990	2,143 68	124 19	ST
	Mar 16, 17	69 000	63.810	4,402 89	66 990	4,622.31	219 42	ST
	Mar 16, 17	36 000	63.720	2,293.92	66.990	2,411 64	117.72	ST
	Apr 12, 17	57 000	67 228	3,832 05	66 990	3,818.43	-13 62	ST
	May 5, 17	63 000	68.689	4,327 41	66 990	4,220.37	-107 04	ST
	May 5, 17	22 000	68 670	1,510 74	66.990	1,473 78	-36 96	ST
	Jun 5, 17	11 000	72 730	800 03	66 990	736 89	-63 14	ST
Security total		545 000	63 675	34,703 06		36,509 55	1,806.49	
CHEVRON CORP								
Symbol CVX Exchange NYSE								
EAI $1,629 Current yield 3 45%	Jan 9, 17	57 000	115 626	6,590 69	125 190	7,135 83	545 14	ST
	Jan 12, 17	24 000	116 149	2,787 58	125 190	3,004 56	216 98	ST
	Mar 6, 17	59 000	112 910	6,661 69	125 190	7,386.21	724 52	ST
	Mar 6, 17	21 000	112 990	2,372 79	125 190	2,628 99	256.20	ST
	Mar 16, 17	48 000	107 690	5,169 12	125 190	6,009 12	840 00	ST
	Mar 16, 17	24 000	107 560	2,581 44	125 190	3,004 56	423.12	ST
	Apr 12, 17	41 000	108 780	4,459 98	125 190	5,132 79	672 81	ST
	May 5, 17	52 000	105 599	5,491 15	125 190	6,509 88	1,018 73	ST
	May 5, 17	21 000	105 089	2,206 87	125 190	2,628 99	422 12	ST
	Jun 5, 17	30.000	103 230	3,096 90	125 190	3,755 70	658 80	ST
Security total		377 000	109 863	41,418 21		47,196 63	5,778.42	
CHUBB LTD CHF								
Symbol CB Exchange NYSE								
EAI $775 Current yield 1 94%								
CHF Exchange rate 0 97450	May 17, 16	58 000	124 919	7,245 35	146 130	8,475 54	1,230 19	LT
	Jan 12, 17	21 000	129 230	2,713 83	146 130	3,068 73	354 90	ST

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STATEMENT 10

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Mar 6, 17	37 000	138 098	5,109 64	146 130	5,406 81	297 17	ST
	Mar 6, 17	16.000	138.150	2,210 40	146 130	2,338 08	127 68	ST
	Mar 16, 17	33 000	137 550	4,539 15	146 130	4,822 29	283 14	ST
	Mar 16, 17	17 000	137.548	2,338 33	146 130	2,484 21	145.88	ST
	Apr 12, 17	35.000	136 730	4,785 55	146 130	5,114 55	329 00	ST
	May 5, 17	34 000	138 049	4,693 67	146 130	4,968 42	274 75	ST
	May 5, 17	15 000	137 789	2,066 84	146 130	2,191 95	125 11	ST
	Jun 5, 17	7 000	145 068	1,015 48	146 130	1,022 91	7 43	ST
Security total		273 000	134 499	36,718 24		39,893 49	3,175 25	
COCA COLA CO COM Symbol KO Exchange NYSE EAI $1,277 Current yield 3 23%	May 17, 16	161 000	45 258	7,286 59	45 880	7,386.68	100.09	LT
	Jan 12, 17	67 000	40 969	2,744 98	45 880	3,073 96	328 98	ST
	Mar 6, 17	148 000	42 240	6,251 52	45 880	6,790.24	538 72	ST
	Mar 6, 17	53 000	42 240	2,238 72	45 880	2,431 64	192 92	ST
	Mar 16, 17	108 000	42 206	4,558 27	45 880	4,955.04	396 77	ST
	Mar 16, 17	56 000	42 248	2,365 94	45 880	2,569 28	203 34	ST
	Apr 12, 17	106 000	42 776	4,534 29	45 880	4,863.28	328 99	ST
	May 5, 17	99 000	43 728	4,329.17	45 880	4,542.12	212 95	ST
	May 5, 17	42 000	43 659	1,833.68	45 880	1,926.96	93 28	ST
	Jun 5, 17	23 000	45 900	1,055 70	45 880	1,055 24	-0 46	ST
Security total		863.000	43.104	37,198.86		39,594 44	2,395 58	
COLGATE PALMOLIVE CO Symbol. CL Exchange NYSE EAI $827 Current yield 2 12%	May 17, 16	102 000	71.515	7,294 54	75 450	7,695 90	401 36	LT
	Jan 12, 17	42.000	65.839	2,765.24	75 450	3,168.90	403 66	ST
	Mar 6, 17	75 000	73.729	5,529 74	75.450	5,658 75	129 01	ST
	Mar 6, 17	27 000	73 610	1,987 47	75 450	2,037 15	49 68	ST
	Mar 16, 17	62.000	73 770	4,573 74	75.450	4,677.90	104 16	ST
	Mar 16, 17	31 000	73 879	2,290 25	75 450	2,338 95	48 70	ST
	Apr 12, 17	65 000	73 669	4,788 54	75 450	4,904 25	115 71	ST
	May 5, 17	74 000	71 890	5,319 86	75 450	5,583 30	263 44	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	May 5, 17	32.000	71 685	2,293 92	75 450	2,414.40	120 48	ST
	Jun 5, 17	7 000	76 880	538.16	75 450	528.15	-10 01	ST
Security total		517 000	72 305	37,381 46		39,007 65	1,626 19	
COMCAST CORP NEW CL A Symbol CMCSA Exchange OTC EAI $603 Current yield 1 57%	May 17, 16	238 000	30 738	7,315.74	40 050	9,531 90	2,216 16	LT
	Jan 12, 17	78.000	35 639	2,779.88	40 050	3,123 90	344 02	ST
	Mar 6, 17	112 000	37.376	4,186.13	40 050	4,485 60	299 47	ST
	Mar 6, 17	58.000	37 258	2,161 02	40 050	2,322 90	161 88	ST
	Mar 16, 17	118 000	37 658	4,443 75	40 050	4,725 90	282 15	ST
	Mar 16, 17	61 000	37 729	2,301 47	40 050	2,443 05	141 58	ST
	Apr 12, 17	129 000	37 426	4,827 98	40 050	5,166 45	338 47	ST
	May 5, 17	109 000	38 469	4,193 22	40 050	4,365 45	172 23	ST
	May 5, 17	49 000	38 535	1,888 22	40 050	1,962 45	74 23	ST
	Jun 5, 17	5 000	41 690	208 45	40 050	200 25	-8 20	ST
Security total		957 000	35 847	34,305 86		38,327 85	4,021 99	
CRANE CO Symbol CR Exchange NYSE EAI $653 Current yield 1 48%	May 17, 16	132 000	55.551	7,332 81	89 220	11,777 04	4,444 23	LT
	Jan 12, 17	38 000	72 750	2,764 50	89 220	3,390 36	625 86	ST
	Mar 6, 17	41 000	75 370	3,090 17	89 220	3,658 02	567 85	ST
	Mar 6, 17	29 000	75 355	2,185 30	89.220	2,587 38	402 08	ST
	Mar 16, 17	63.000	74 519	4,694 70	89 220	5,620 86	926 16	ST
	Mar 16, 17	32.000	74 569	2,386 21	89.220	2,855 04	468 83	ST
	Apr 12, 17	63 000	74 725	4,707 70	89 220	5,620.86	913 16	ST
	May 5, 17	46 000	78.755	3,622.73	89 220	4,104 12	481 39	ST
	May 5, 17	21.000	79.199	1,663 18	89 220	1,873 62	210 44	ST
	Jun 5, 17	30.000	79 049	2,371 47	89 220	2,676 60	305 13	ST
Security total		495 000	70 341	34,818 77		44,163.90	9,345.13	
DANAHER CORP Symbol DHR Exchange NYSE EAI $255 Current yield 0 60%	May 17, 16	74.000	74 522	5,514 63	92 820	6,868 68	1,354 05	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Jan 12, 17	34 000	81 030	2,755 02	92 820	3,155 88	400 86	ST
	Mar 6, 17	78 000	85 980	6,706 44	92.820	7,239 96	533 52	ST
	Mar 6, 17	25 000	85 980	2,149 50	92 820	2,320 50	171 00	ST
	Mar 16, 17	52 000	86 140	4,479 28	92.820	4,826.64	347 36	ST
	Mar 16, 17	27 000	86 580	2,337.66	92 820	2,506 14	168 48	ST
	Apr 12, 17	56 000	86 018	4,817.06	92 820	5,197 92	380 86	ST
	May 5, 17	63.000	84 069	5,296.35	92 820	5,847 66	551 31	ST
	May 5, 17	27 000	83 805	2,262 74	92 820	2,506 14	243 40	ST
	Jun 5, 17	19 000	86 570	1,644 83	92.820	1,763.58	118 75	ST
Security total		455 000	83 436	37,963 51		42,233 10	4,269.59	
DIAGEO PLC NEW GB SPON ADR Symbol DEO Exchange NYSE EAI $1,018 Current yield 2 18%	May 17, 16	67 000	108 298	7,256.03	146 030	9,784.01	2,527 98	LT
	Jan 12, 17	26 000	107.120	2,785 12	146 030	3,796 78	1,011 66	ST
	Mar 6, 17	49 000	112 480	5,511 52	146 030	7,155 47	1,643 95	ST
	Mar 6, 17	19 000	112 408	2,135 77	146 030	2,774 57	638 80	ST
	Mar 16, 17	38 000	114 468	4,349 82	146 030	5,549 14	1,199 32	ST
	Mar 16, 17	20 000	114 810	2,296 20	146 030	2,920 60	624 40	ST
	Apr 12, 17	38 000	116 200	4,415 60	146.030	5,549 14	1,133.54	ST
	May 5, 17	36 000	119 068	4,286 48	146.030	5,257 08	970 60	ST
	May 5, 17	14 000	119 479	1,672 71	146 030	2,044 42	371 71	ST
	Jun 5, 17	13 000	122 929	1,598 08	146 030	1,898 39	300 31	ST
Security total		320 000	113 460	36,307 33		46,729 60	10,422 27	
ECOLAB INC Symbol ECL Exchange NYSE EAI $485 Current yield 1 22%	May 17, 16	62 000	117.719	7,298.58	134 180	8,319 16	1,020 58	LT
	Jan 12, 17	23 000	118.039	2,714.90	134 180	3,086 14	371 24	ST
	Mar 6, 17	42.000	125 270	5,261 34	134 180	5,635 56	374 22	ST
	Mar 6, 17	18 000	125 308	2,255 56	134 180	2,415 24	159 68	ST
	Mar 16, 17	37.000	124 888	4,620 89	134 180	4,964 66	343 77	ST
	Mar 16, 17	18 000	124 775	2,245 96	134 180	2,415 24	169 28	ST
	Apr 12, 17	38 000	125 020	4,750 76	134.180	5,098 84	348 08	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	May 5, 17	36 000	126 290	4,546 44	134.180	4,830 48	284 04	ST
	May 5, 17	16 000	126 210	2,019 36	134.180	2,146 88	127 52	ST
	Jun 5, 17	6 000	134 078	804 47	134 180	805 08	0 61	ST
Security total		296 000	123 373	36,518 26		39,717 28	3,199 02	
FACEBOOK INC CL A								
Symbol FB Exchange OTC	May 17, 16	62 000	118 450	7,343 90	176 460	10,940 52	3,596 62	LT
	Jan 12, 17	22 000	126.330	2,779 26	176 460	3,882 12	1,102 86	ST
	Mar 6, 17	33 000	137 480	4,536 84	176 460	5,823 18	1,286.34	ST
	Mar 6, 17	15 000	137 190	2,057 85	176 460	2,646 90	589 05	ST
	Mar 16, 17	31 000	139 980	4,339 38	176 460	5,470 26	1,130 88	ST
	Mar 16, 17	16 000	140.000	2,240.00	176.460	2,823 36	583 36	ST
	Apr 12, 17	34 000	139 910	4,756 94	176 460	5,999 64	1,242 70	ST
	May 5, 17	21.000	150 300	3,156.30	176 460	3,705 66	549 36	ST
	May 5, 17	10 000	150 300	1,503 00	176.460	1,764 60	261 60	ST
	Jun 5, 17	12 000	153 608	1,843 30	176 460	2,117 52	274 22	ST
Security total		256 000	134 987	34,556 77		45,173 76	10,616 99	
HOME DEPOT INC								
Symbol HD Exchange NYSE								
EAI $897 Current yield 1 88%	May 17, 16	55 000	131 870	7,252 85	189 530	10,424 15	3,171 30	LT
	Jan 12, 17	20 000	134 950	2,699 00	189.530	3,790 60	1,091 60	ST
	Mar 6, 17	34 000	147 125	5,002 25	189 530	6,444 02	1,441 77	ST
	Mar 6, 17	15 000	146 979	2,204 69	189 530	2,842 95	638 26	ST
	Mar 16, 17	30 000	148 280	4,448 40	189 530	5,685 90	1,237 50	ST
	Mar 16, 17	15 000	148 659	2,229 89	189.530	2,842 95	613 06	ST
	Apr 12, 17	33 000	147 360	4,862 88	189 530	6,254 49	1,391 61	ST
	May 5, 17	24 000	154 329	3,703 90	189 530	4,548 72	844 82	ST
	May 5, 17	11 000	155.029	1,705 32	189 530	2,084 83	379 51	ST
	Jun 5, 17	15 000	154 539	2,318.09	189.530	2,842 95	524 86	ST
Security total		252 000	144.553	36,427.27		47,761 56	11,334 29	
HONEYWELL INTL INC								
Symbol HON Exchange NYSE								
EAI $873 Current yield 1.94%	May 17, 16	64 000	113.426	7,259 27	153 360	9,815 04	2,555 77	LT

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Jan 12, 17	23 000	117 299	2,697.88	153 360	3,527 28	829 40	ST
	Mar 6, 17	40 000	126 039	5,041 56	153 360	6,134 40	1,092 84	ST
	Mar 6, 17	17 000	125 908	2,140 45	153 360	2,607 12	466 67	ST
	Mar 16, 17	35 000	126 555	4,429 43	153 360	5,367 60	938.17	ST
	Mar 16, 17	18 000	126 835	2,283 03	153.360	2,760 48	477 45	ST
	Apr 12, 17	42 000	123 830	5,200 86	153 360	6,441 12	1,240 26	ST
	May 5, 17	26 000	130.910	3,403 66	153 360	3,987.36	583 70	ST
	May 5, 17	14 000	130 969	1,833 57	153 360	2,147.04	313 47	ST
	Jun 5, 17	14 000	133.859	1,874 03	153.360	2,147 04	273 01	ST
Security total		293 000	123 426	36,163.74		44,934 48	8,770 74	
INTEL CORP								
Symbol INTC Exchange OTC								
EAI $1,174 Current yield 2 36%	May 17, 16	241 000	30 388	7,323 56	46 160	11,124 56	3,801.00	LT
	Jan 12, 17	75 000	36 650	2,748 75	46 160	3,462 00	713 25	ST
	Mar 6, 17	127 000	35 526	4,511 87	46 160	5,862 32	1,350 45	ST
	Mar 6, 17	68 000	35.459	2,411 27	46 160	3,138 88	727 61	ST
	Mar 16, 17	132 000	35 237	4,651 35	46 160	6,093 12	1,441 77	ST
	Mar 16, 17	67 000	35.288	2,364 36	46 160	3,092 72	728 36	ST
	Apr 12, 17	122 000	35 896	4,379 35	46 160	5,631 52	1,252 17	ST
	May 5, 17	122 000	36 569	4,461 53	46 160	5,631 52	1,169 99	ST
	May 5, 17	49 000	36 628	1,794 82	46 160	2,261 84	467 02	ST
	Jun 5, 17	74 000	36 229	2,680.95	46 160	3,415 84	734 89	ST
Security total		1,077 000	34 659	37,327.81		49,714 32	12,386 51	
INTERCONTINENTALEXCHANGE GROUP								
Symbol ICE Exchange NYSE								
EAI $510 Current yield 1 13%	May 17, 16	140 000	52 359	7,330.37	70 560	9,878 40	2,548 03	LT
	Jan 12, 17	48 000	56 920	2,732.16	70 560	3,386 88	654 72	ST
	Mar 6, 17	81 000	59 020	4,780.62	70 560	5,715.36	934 74	ST
	Mar 6, 17	38 000	58 960	2,240 48	70 560	2,681 28	440 80	ST
	Mar 16, 17	68 000	60 850	4,137 80	70 560	4,798 08	660 28	ST
	Mar 16, 17	36 000	60 858	2,190 92	70 560	2,540 16	349.24	ST
	Apr 12, 17	82 000	60 169	4,933 86	70 560	5,785 92	852 06	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	May 5, 17	77 000	60 658	4,670 74	70 560	5,433 12	762 38	ST
	May 5, 17	35 000	60 560	2,119 60	70 560	2,469 60	350 00	ST
	Jun 5, 17	33 000	61 589	2,032 44	70 560	2,328 48	296 04	ST
Security total		638 000	58 259	37,168 99		45,017 28	7,848 29	
INVESCO LTD Symbol. IVZ Exchange. NYSE EAI $1,376 Current yield 3 18%	May 17, 16	259 000	28 276	7,323 59	36 540	9,463 86	2,140 27	LT
	Jan 12, 17	89 000	30 939	2,753.65	36.540	3,252.06	498.41	ST
	Mar 6, 17	147 000	32.155	4,726 93	36 540	5,371 38	644 45	ST
	Mar 6, 17	69 000	32 166	2,219 51	36 540	2,521.26	301 75	ST
	Mar 16, 17	134.000	32 627	4,372 11	36 540	4,896 36	524 25	ST
	Mar 16, 17	69.000	32.698	2,256.23	36 540	2,521 26	265 03	ST
	Apr 12, 17	187 000	30 737	5,747 99	36 540	6,832 98	1,084 99	ST
	May 5, 17	117 000	32 259	3,774 41	36 540	4,275 18	500 77	ST
	May 5, 17	67 000	32 238	2,160 01	36 540	2,448 18	288 17	ST
	Jun 5, 17	48 000	33 258	1,596 43	36 540	1,753 92	157 49	ST
Security total		1,186 000	31 139	36,930 86		43,336 44	6,405 58	
JOHNSON & JOHNSON COM Symbol JNJ Exchange NYSE EAI $988 Current yield 2 41%	Jun 12, 17	222 000	131 615	29,218 56	139 720	31,017 84	1,799 28	ST
	Jun 12, 17	72 000	131 615	9,476 29	139 720	10,059 84	583 55	ST
Security total		294 000	131 615	38,694 85		41,077.68	2,382 83	
LOCKHEED MARTIN CORP Symbol LMT Exchange NYSE EAI $1,120 Current yield 2 49%	May 17, 16	30 000	242 909	7,287 27	321 050	9,631 50	2,344 23	LT
	Jan 12, 17	11 000	252 850	2,781 35	321 050	3,531 55	750 20	ST
	Mar 6, 17	19 000	268 160	5,095 04	321 050	6,099 95	1,004 91	ST
	Mar 6, 17	8.000	267 930	2,143 44	321.050	2,568.40	424 96	ST
	Mar 16, 17	17 000	268.198	4,559 38	321.050	5,457 85	898 47	ST
	Mar 16, 17	9.000	268 570	2,417.13	321.050	2,889.45	472 32	ST
	Apr 12, 17	17 000	269 001	4,573.03	321.050	5,457 85	884 82	ST
	May 5, 17	17 000	270.875	4,604 88	321 050	5,457 85	852 97	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	May 5, 17	7 000	271 350	1,899.45	321 050	2,247 35	347 90	ST
	Jun 5, 17	5 000	281.240	1,406 20	321 050	1,605 25	199 05	ST
Security total		140 000	262 623	36,767.17		44,947.00	8,179 83	
LOWES COMPANIES INC Symbol LOW Exchange NYSE EAI $792 Current yield 1 76%	May 17, 16	96 000	75 719	7,269.04	92 940	8,922 24	1,653 20	LT
	Jan 12, 17	39 000	71 458	2,786 90	92 940	3,624 66	837 76	ST
	Mar 6, 17	65 000	81 345	5,287.43	92 940	6,041.10	753 67	ST
	Mar 6, 17	23 000	81 250	1,868 75	92 940	2,137 62	268 87	ST
	Mar 16, 17	50 000	83 449	4,172 45	92 940	4,647 00	474 55	ST
	Mar 16, 17	27 000	83 748	2,261 22	92.940	2,509.38	248 16	ST
	Apr 12, 17	63 000	81 709	5,147 67	92 940	5,855 22	707 55	ST
	May 5, 17	44.000	85 230	3,750 12	92 940	4,089.36	339 24	ST
	May 5, 17	22.000	85 589	1,882.96	92 940	2,044 68	161.72	ST
	Jun 5, 17	54 000	79.589	4,297 81	92 940	5,018.76	720 95	ST
Security total		483 000	80 175	38,724 35		44,890 02	6,165.67	
MARSH & MCLENNAN COS INC Symbol MMC Exchange NYSE EAI $764 Current yield 1 84%	May 17, 16	113 000	64.470	7,285.11	81 390	9,197 07	1,911 96	LT
	Jan 12, 17	41.000	67 450	2,765 45	81 390	3,336 99	571 54	ST
	Mar 6, 17	63 000	74 220	4,675 86	81 390	5,127 57	451 71	ST
	Mar 6, 17	27 000	74 160	2,002 32	81 390	2,197 53	195 21	ST
	Mar 16, 17	60 000	74 520	4,471 20	81 390	4,883 40	412 20	ST
	Mar 16, 17	32 000	74 440	2,382 08	81 390	2,604 48	222 40	ST
	Apr 12, 17	69 000	73 189	5,050 10	81 390	5,615 91	565 81	ST
	May 5, 17	60.000	74.429	4,465 74	81 390	4,883 40	417 66	ST
	May 5, 17	27 000	74.328	2,006 88	81 390	2,197 53	190 65	ST
	Jun 5, 17	17 000	77 478	1,317 14	81 390	1,383 63	66 49	ST
Security total		509.000	71 556	36,421 88		41,427 51	5,005 63	
MCDONALDS CORP Symbol MCD Exchange NYSE EAI $1,046 Current yield 2 35%	May 17, 16	56 000	129 120	7,230 72	172 120	9,638 72	2,408 00	LT
	Jan 12, 17	23 000	121.889	2,803 45	172 120	3,958 76	1,155 31	ST

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EIN: 26-1419554

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Mar 6, 17	46 000	128 050	5,890 30	172 120	7,917 52	2,027 22	ST
	Mar 6, 17	17 000	127 860	2,173 62	172 120	2,926 04	752 42	ST
	Mar 16, 17	35 000	128.255	4,488 94	172 120	6,024 20	1,535 26	ST
	Mar 16, 17	18 000	128 510	2,313 18	172 120	3,098 16	784.98	ST
	Apr 12, 17	34 000	130 989	4,453 63	172 120	5,852 08	1,398 45	ST
	May 5, 17	19 000	143 030	2,717 57	172 120	3,270 28	552 71	ST
	May 5, 17	8 000	143 330	1,146 64	172 120	1,376 96	230 32	ST
	Jun 5, 17	3 000	152 980	458 94	172 120	516 36	57 42	ST
Security total		259 000	130 027	33,676 99		44,579 08	10,902 09	
MEDTRONIC PLC Symbol MDT Exchange NYSE EAI $843 Current yield 2 28%	May 17, 16	89 000	81 580	7,260 62	80 750	7,186 75	-73 87	LT
	Jan 12, 17	37 000	74 920	2,772 04	80 750	2,987.75	215 71	ST
	Mar 6, 17	71 000	81 789	5,807.02	80.750	5,733 25	-73 77	ST
	Mar 6, 17	25 000	81 739	2,043.48	80 750	2,018.75	-24 73	ST
	Mar 16, 17	55 000	82 099	4,515 45	80 750	4,441 25	-74.20	ST
	Mar 16, 17	28 000	82.388	2,306 89	80 750	2,261 00	-45 89	ST
	Apr 12, 17	64 000	80 019	5,121 27	80 750	5,168.00	46 73	ST
	May 5, 17	44 000	84 130	3,701 72	80 750	3,553 00	-148 72	ST
	May 5, 17	23.000	83 900	1,929 70	80 750	1,857 25	-72 45	ST
	Jun 5, 17	22 000	85 710	1,885 62	80.750	1,776 50	-109 12	ST
Security total		458 000	81 537	37,343 81		36,983 50	-360 31	
MICROSOFT CORP Symbol MSFT Exchange OTC EAI $921 Current yield 1 96%	May 17, 16	143 000	51 150	7,314 45	85 540	12,232 22	4,917 77	LT
	Jan 12, 17	44 000	62 459	2,748.20	85 540	3,763 76	1,015 56	ST
	Mar 6, 17	60.000	64 460	3,867 60	85 540	5,132 40	1,264 80	ST
	Mar 6, 17	35 000	64 410	2,254 35	85 540	2,993 90	739 55	ST
	Mar 16, 17	71 000	64 459	4,576 65	85 540	6,073 34	1,496 69	ST
	Mar 16, 17	36 000	64 510	2,322 36	85 540	3,079 44	757 08	ST
	Apr 12, 17	68 000	65 319	4,441 75	85 540	5,816.72	1,374 97	ST
	May 5, 17	53.000	68 665	3,639 25	85 540	4,533 62	894 37	ST

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STATEMENT 10

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	May 5, 17	23 000	68 750	1,581 25	85 540	1,967 42	386 17	ST
	Jun 5, 17	15 000	72 259	1,083 89	85 540	1,283 10	199 21	ST
Security total		548 000	61 733	33,829 75		46,875 92	13,046 17	
MONDELEZ INTL INC Symbol MDLZ Exchange OTC EAI $742 Current yield 2 06%	May 15, 17	607 000	45.575	27,664 33	42 800	25,979 60	-1,684 73	ST
	May 15, 17	211 000	45.575	9,616 43	42 800	9,030.80	-585 63	ST
	Jun 5, 17	25.000	46 849	1,171 23	42 800	1,070.00	-101 23	ST
Security total		843 000	45 613	38,451 99		36,080 40	-2,371.59	
NEXTERA ENERGY INC COM Symbol NEE Exchange NYSE EAI $1,093 Current yield 2 52%	May 17, 16	61 000	120 330	7,340.13	156 190	9,527 59	2,187.46	LT
	Jan 12, 17	23 000	119 130	2,739 99	156 190	3,592 37	852 38	ST
	Mar 6, 17	39 000	130.570	5,092 23	156.190	6,091 41	999 18	ST
	Mar 6, 17	16 000	130.600	2,089.60	156 190	2,499 04	409 44	ST
	Mar 16, 17	34.000	130.879	4,449 89	156.190	5,310 46	860 57	ST
	Mar 16, 17	18.000	130 578	2,350 42	156 190	2,811 42	461 00	ST
	Apr 12, 17	39 000	129 410	5,046 99	156 190	6,091 41	1,044 42	ST
	May 5, 17	28 000	135 217	3,786 10	156 190	4,373.32	587 22	ST
	May 5, 17	13 000	134 590	1,749 67	156 190	2,030.47	280 80	ST
	Jun 5, 17	7 000	141 898	993 29	156 190	1,093 33	100.04	ST
Security total		278 000	128 195	35,638 31		43,420 82	7,782 51	
NOVARTIS AG SPON ADR Symbol NVS Exchange NYSE EAI $1,115 Current yield 2 74%	May 17, 16	97 000	75 179	7,292 45	83 960	8,144 12	851 67	LT
	Jan 12, 17	38 000	72 700	2,762 60	83 960	3,190 48	427 88	ST
	Mar 6, 17	75 000	75 740	5,680 50	83 960	6,297 00	616 50	ST
	Mar 6, 17	29 000	75 708	2,195 56	83 960	2,434 84	239 28	ST
	Mar 16, 17	61 000	75 518	4,606 60	83 960	5,121 56	514 96	ST
	Mar 16, 17	31 000	75 450	2,338 95	83.960	2,602 76	263 81	ST
	Apr 12, 17	69 000	74 088	5,112 14	83.960	5,793 24	681.10	ST
	May 5, 17	48.000	77 578	3,723.79	83 960	4,030 08	306 29	ST
	May 5, 17	24 000	77 769	1,866 46	83.960	2,015 04	148 58	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Jun 5, 17	12 000	81 780	981 36	83 960	1,007 52	26 16	ST
Security total		484 000	75.538	36,560 41		40,636 64	4,076 23	
O REILLY AUTOMOTIVE INC								
Symbol ORLY Exchange OTC	May 17, 16	28 000	259 520	7,266 56	240 540	6,735 12	-531 44	LT
	Jan 12, 17	10 000	280 839	2,808 39	240.540	2,405 40	-402 99	ST
	Mar 6, 17	20 000	269 835	5,396.70	240 540	4,810.80	-585 90	ST
	Mar 6, 17	9 000	270 398	2,433 59	240 540	2,164.86	-268 73	ST
	Mar 16, 17	17 000	270.930	4,605 81	240 540	4,089 18	-516 63	ST
	Mar 16, 17	8.000	271 200	2,169 60	240 540	1,924.32	-245 28	ST
	Apr 12, 17	23 000	252 733	5,812 88	240 540	5,532.42	-280 46	ST
	May 5, 17	20 000	251 059	5,021 18	240 540	4,810 80	-210 38	ST
	May 5, 17	10 000	251 770	2,517 70	240.540	2,405 40	-112 30	ST
	Jun 5, 17	15 000	240 280	3,604 20	240 540	3,608.10	3 90	ST
Security total		160.000	260.229	41,636.61		38,486 40	-3,150 21	
PARKER HANNIFIN CORP								
Symbol PH Exchange NYSE								
EAI $744 Current yield 1 32%	Sep 18, 17	212 000	172 833	36,640 61	199 580	42,310 96	5,670 35	ST
	Sep 18, 17	70 000	172 833	12,098 31	199 580	13,970 60	1,872 29	ST
Security total		282 000	172 833	48,738 92		56,281 56	7,542 64	
PEPSICO INC								
Symbol PEP Exchange OTC								
EAI $1,082 Current yield 2 69%	May 17, 16	71 000	103.429	7,343 52	119 920	8,514 32	1,170 80	LT
	Jan 12, 17	27 000	101 860	2,750 22	119 920	3,237 84	487 62	ST
	Mar 6, 17	48 000	109 660	5,263 68	119 920	5,756 16	492 48	ST
	Mar 6, 17	19 000	109 660	2,083 54	119 920	2,278 48	194 94	ST
	Mar 16, 17	40 000	110 769	4,430 76	119 920	4,796 80	366.04	ST
	Mar 16, 17	21 000	110.900	2,328 90	119 920	2,518.32	189.42	ST
	Apr 12, 17	39 000	113 020	4,407.78	119 920	4,676.88	269.10	ST
	May 5, 17	42 000	113 229	4,755 62	119 920	5,036 64	281 02	ST
	May 5, 17	17 000	112 890	1,919 13	119 920	2,038 64	119 51	ST
	Jun 5, 17	12.000	117 350	1,408 20	119 920	1,439 04	30 84	ST
Security total		336 000	109 200	36,691 35		40,293 12	3,601 77	

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
PRAXAIR INC								
Symbol PX Exchange NYSE								
EAI $923 Current yield 2 04%	Sep 12, 16	59 000	118 030	6,963.77	154 680	9,126 12	2,162.35	LT
	Jan 12, 17	23 000	117 319	2,698 34	154 680	3,557 64	859 30	ST
	Mar 6, 17	52 000	118 159	6,144 31	154 680	8,043 36	1,899 05	ST
	Mar 6, 17	20 000	117 890	2,357 80	154.680	3,093.60	735 80	ST
	Mar 16, 17	39 000	117 658	4,588 70	154 680	6,032 52	1,443 82	ST
	Mar 16, 17	20 000	117 880	2,357 60	154 680	3,093 60	736 00	ST
	Apr 12, 17	38 000	118 780	4,513 64	154 680	5,877 84	1,364 20	ST
	May 5, 17	25 000	127 670	3,191 75	154 680	3,867.00	675 25	ST
	May 5, 17	10 000	129 139	1,291 39	154 680	1,546 80	255.41	ST
	Jun 5, 17	7 000	134.608	942 26	154 680	1,082 76	140 50	ST
Security total		293 000	119.623	35,049.56		45,321 24	10,271 68	
RED HAT INC								
Symbol RHT Exchange NYSE	May 17, 16	100 000	72 694	7,269.44	120 100	12,010 00	4,740 56	LT
	Jan 12, 17	38 000	72 518	2,755 72	120 100	4,563 80	1,808.08	ST
	Mar 6, 17	59 000	82.260	4,853 34	120 100	7,085 90	2,232 56	ST
	Mar 6, 17	24.000	82 049	1,969.18	120.100	2,882 40	913 22	ST
	Mar 16, 17	50 000	84 209	4,210 45	120 100	6,005 00	1,794 55	ST
	Mar 16, 17	26 000	84 230	2,189 98	120 100	3,122 60	932.62	ST
	Apr 12, 17	52 000	85 719	4,457.39	120 100	6,245 20	1,787.81	ST
	May 5, 17	48 000	88.120	4,229.76	120 100	5,764 80	1,535 04	ST
	May 5, 17	19 000	88 453	1,680 62	120.100	2,281 90	601 28	ST
	Jun 5, 17	12 000	92 269	1,107 23	120 100	1,441 20	333 97	ST
Security total		428 000	81 129	34,723 11		51,402 80	16,679 69	
ROCKWELL AUTOMATION INC NEW								
Symbol. ROK Exchange NYSE								
EAI $808 Current yield 1 70%	May 17, 16	64 000	114 879	7,352 26	196.350	12,566 40	5,214 14	LT
	Jan 12, 17	20 000	140 110	2,802.20	196 350	3,927.00	1,124 80	ST
	Mar 6, 17	21 000	152 909	3,211 09	196 350	4,123.35	912 26	ST
	Mar 6, 17	13 000	152 809	1,986.52	196 350	2,552 55	566 03	ST
	Mar 16, 17	29 000	154 840	4,490 36	196 350	5,694 15	1,203 79	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Mar 16, 17	15 000	155 299	2,329 49	196 350	2,945 25	615 76	ST
	Apr 12, 17	31 000	154 232	4,781 21	196 350	6,086 85	1,305 64	ST
	May 5, 17	29 000	155 521	4,510 11	196 350	5,694 15	1,184 04	ST
	May 5, 17	12 000	156 100	1,873 20	196 350	2,356 20	483 00	ST
	Jun 5, 17	8 000	162 550	1,300 40	196 350	1,570 80	270 40	ST
Security total		242 000	143.127	34,636 84		47,516 70	12,879 86	
SCHLUMBERGER LTD NETHERLANDS ANTILLES Symbol SLB Exchange NYSE EAI $974 Current yield 2 97%	Sep 18, 17	366 000	67 713	24,783 16	67 390	24,664.74	-118 42	ST
	Sep 18, 17	121 000	67 713	8,193 34	67 390	8,154 19	-39 15	ST
Security total		487 000	67 714	32,976 50		32,818.93	-157 57	
STARBUCKS CORP Symbol SBUX Exchange OTC EAI $739 Current yield 2 09%	May 17, 16	132 000	55 299	7,299 59	57 430	7,580 76	281 17	LT
	Jan 12, 17	48 000	57 830	2,775 84	57 430	2,756.64	-19 20	ST
	Mar 6, 17	98 000	56 790	5,565.42	57 430	5,628 14	62 72	ST
	Mar 6, 17	42.000	56 709	2,381.78	57 430	2,412 06	30 28	ST
	Mar 16, 17	92 000	54 759	5,037.83	57 430	5,283 56	245 73	ST
	Mar 16, 17	45 000	54.820	2,466 90	57 430	2,584 35	117 45	ST
	Apr 12, 17	65.000	57 699	3,750 44	57.430	3,732 95	-17 49	ST
	May 5, 17	60 000	60 779	3,646 74	57 430	3,445 80	-200 94	ST
	May 5, 17	21 000	60.745	1,275 65	57 430	1,206 03	-69 62	ST
	Jun 5, 17	13 000	64 430	837 59	57 430	746.59	-91 00	ST
Security total		616 000	56 880	35,037 78		35,376 88	339 10	
SUNCOR ENERGY INC NEW CAD Symbol SU Exchange: NYSE EAI $1,268 Current yield 2.74% CAD Exchange rate 1 25295	Jan 24, 17	217.000	32 157	6,978 25	36 720	7,968 24	989 99	ST
	Jan 24, 17	85 000	32 157	2,733 41	36 720	3,121 20	387 79	ST
	Mar 6, 17	199.000	31 396	6,247 96	36 720	7,307 28	1,059 32	ST
	Mar 6, 17	77 000	31 336	2,412 92	36 720	2,827 44	414 52	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Mar 16, 17	157 000	30 730	4,824.61	36 720	5,765.04	940 43	ST
	Mar 16, 17	79 000	30 698	2,425 22	36.720	2,900 88	475.66	ST
	Apr 12, 17	147 000	31 020	4,559 94	36 720	5,397 84	837 90	ST
	May 5, 17	163 000	31 029	5,057 73	36.720	5,985.36	927 63	ST
	May 5, 17	65 000	31 049	2,018 19	36 720	2,386 80	368 61	ST
	Jun 5, 17	72 000	31.049	2,235.53	36 720	2,643 84	408 31	ST
Security total		1,261 000	31 319	39,493 76		46,303.92	6,810 16	
TEXAS INSTRUMENTS Symbol TXN Exchange OTC EAI $1,195 Current yield 2 37%	May 17, 16	126 000	57 782	7,280.62	104 440	13,159 44	5,878 82	LT
	Jan 12, 17	37.000	75.050	2,776.85	104 440	3,864 28	1,087 43	ST
	Mar 6, 17	42 000	77 889	3,271 34	104.440	4,386 48	1,115 14	ST
	Mar 6, 17	28 000	77 740	2,176 72	104 440	2,924 32	747 60	ST
	Mar 16, 17	47.000	81 735	3,841 55	104 440	4,908.68	1,067 13	ST
	Mar 16, 17	26 000	81 818	2,127 29	104 440	2,715 44	588 15	ST
	Apr 12, 17	68.000	78 988	5,371.25	104 440	7,101 92	1,730 67	ST
	May 5, 17	59 000	79 318	4,679 82	104 440	6,161 96	1,482 14	ST
	May 5, 17	29 000	79 328	2,300 54	104 440	3,028 76	728 22	ST
	Jun 5, 17	20 000	81 900	1,638 00	104 440	2,088 80	450 80	ST
Security total		482 000	73 577	35,463 98		50,340 08	14,876 10	
THERMO FISHER SCIENTIFIC INC Symbol· TMO Exchange NYSE EAI $134 Current yield 0 32%	May 17, 16	48 000	150 648	7,231.15	189.880	9,114 24	1,883.09	LT
	Jan 12, 17	19 000	146 300	2,779 70	189 880	3,607 72	828 02	ST
	Mar 6, 17	34.000	158 569	5,391.35	189 880	6,455 92	1,064 57	ST
	Mar 6, 17	13 000	158 640	2,062 32	189 880	2,468.44	406 12	ST
	Mar 16, 17	30 000	157 909	4,737 27	189 880	5,696 40	959 13	ST
	Mar 16, 17	15 000	157.850	2,367 75	189 880	2,848 20	480 45	ST
	Apr 12, 17	35 000	152.609	5,341 32	189 880	6,645.80	1,304 48	ST
	May 5, 17	12 000	170.140	2,041.68	189 880	2,278.56	236 88	ST
	May 5, 17	8 000	170 338	1,362 71	189 880	1,519 04	156 33	ST
	Jun 5, 17	9 000	176 240	1,586 16	189 880	1,708 92	122 76	ST

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Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
Security total		223 000	156.509	34,901 41		42,343.24	7,441 83	
TJX COS INC NEW								
Symbol TJX Exchange NYSE								
EAI $645 Current yield 1 63%	May 17, 16	97 000	75 128	7,287.51	76 460	7,416 62	129 11	LT
	Jan 12, 17	36 000	75.768	2,727.68	76 460	2,752 56	24 88	ST
	Mar 6, 17	69 000	78 498	5,416 40	76 460	5,275 74	-140 66	ST
	Mar 6, 17	29 000	78 486	2,276 10	76 460	2,217 34	-58 76	ST
	Mar 16, 17	56 000	79 168	4,433 46	76 460	4,281 76	-151 70	ST
	Mar 16, 17	28 000	79 568	2,227 93	76.460	2,140.88	-87 05	ST
	Apr 12, 17	70 000	76 759	5,373 13	76 460	5,352 20	-20 93	ST
	May 5, 17	53 000	78 660	4,168 98	76 460	4,052 38	-116 60	ST
	May 5, 17	28 000	78 525	2,198.70	76 460	2,140 88	-57 82	ST
	Jun 5, 17	50 000	74 999	3,749.95	76 460	3,823 00	73 05	ST
Security total		516 000	77 248	39,859.84		39,453.36	-406 48	
UNION PACIFIC CORP								
Symbol UNP Exchange NYSE								
EAI $942 Current yield 1 98%	May 17, 16	89 000	82.198	7,315 71	134.100	11,934 90	4,619.19	LT
	Jan 12, 17	26.000	104 560	2,718 56	134 100	3,486.60	768 04	ST
	Mar 6, 17	31 000	109.066	3,381.05	134 100	4,157 10	776.05	ST
	Mar 6, 17	21 000	108.859	2,286.04	134 100	2,816 10	530.06	ST
	Mar 16, 17	47 000	105 750	4,970 25	134 100	6,302 70	1,332 45	ST
	Mar 16, 17	23 000	105.620	2,429 26	134 100	3,084 30	655 04	ST
	Apr 12, 17	42.000	106.800	4,485.63	134 100	5,632 20	1,146 57	ST
	May 5, 17	37 000	110 518	4,089 20	134 100	4,961 70	872 50	ST
	May 5, 17	16 000	110 370	1,765 92	134 100	2,145 60	379 68	ST
	Jun 5, 17	22 000	110 610	2,433 42	134 100	2,950 20	516 78	ST
Security total		354 000	101.342	35,875.04		47,471 40	11,596 36	
UNTD TECHNOLOGIES CORP								
Symbol UTX Exchange NYSE								
EAI $902 Current yield 2 20%	May 17, 16	72 000	101 279	7,292 09	127 570	9,185 04	1,892 95	LT
	Jan 12, 17	25 000	110 210	2,755 25	127 570	3,189 25	434 00	ST
	Mar 6, 17	44 000	112 070	4,931 08	127 570	5,613 08	682 00	ST

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Mar 6, 17	20.000	112 000	2,240 00	127.570	2,551 40	311 40	ST
	Mar 16, 17	41 000	112 330	4,605 53	127.570	5,230 37	624 84	ST
	Mar 16, 17	21 000	112 650	2,365 65	127 570	2,678 97	313 32	ST
	Apr 12, 17	42 000	112 569	4,727.90	127 570	5,357 94	630 04	ST
	May 5, 17	25 000	121 050	3,026 25	127 570	3,189 25	163.00	ST
	May 5, 17	12 000	121 060	1,452 72	127 570	1,530 84	78 12	ST
	Jun 5, 17	20 000	121.479	2,429 58	127 570	2,551 40	121 82	ST
Security total		322.000	111 261	35,826 05		41,077 54	5,251 49	
VF CORP Symbol VFC Exchange NYSE EAI $1,321 Current yield 2 49%	May 17, 16	121 000	60 371	7,304 92	74.000	8,954 00	1,649 08	LT
	Jan 12, 17	53.000	51 865	2,748 85	74 000	3,922 00	1,173.15	ST
	Mar 6, 17	125 000	52 966	6,620 78	74 000	9,250 00	2,629 22	ST
	Mar 6, 17	43 000	52 940	2,276.42	74 000	3,182 00	905 58	ST
	Mar 16, 17	80 000	53.959	4,316 79	74 000	5,920 00	1,603 21	ST
	Mar 16, 17	41 000	54 110	2,218 51	74 000	3,034 00	815 49	ST
	Apr 12, 17	81 000	55 159	4,467 88	74 000	5,994 00	1,526 12	ST
	May 5, 17	94 000	54 239	5,098 55	74 000	6,956 00	1,857 45	ST
	May 5, 17	37 000	54 428	2,013 87	74 000	2,738 00	724 13	ST
	Jun 5, 17	43 000	54 520	2,344 36	74 000	3,182 00	837 64	ST
Security total		718 000	54 890	39,410 93		53,132 00	13,721.07	
VISA INC CL A Symbol V Exchange NYSE EAI $320 Current yield 0 68%	Sep 12, 16	93 000	82 484	7,671 04	114 020	10,603 86	2,932 82	LT
	Jan 12, 17	34 000	81 160	2,759 44	114 020	3,876.68	1,117 24	ST
	Mar 6, 17	54 000	88 969	4,804 33	114 020	6,157 08	1,352 75	ST
	Mar 6, 17	23 000	88 816	2,042 79	114 020	2,622 46	579 67	ST
	Mar 16, 17	49 000	89 580	4,389 42	114 020	5,586 98	1,197 56	ST
	Mar 16, 17	26 000	89 760	2,333 76	114 020	2,964.52	630 76	ST
	Apr 12, 17	56 000	88 868	4,976 66	114 020	6,385 12	1,408 46	ST
	May 5, 17	42.000	92 110	3,868 62	114 020	4,788.84	920.22	ST
	May 5, 17	20 000	92 059	1,841 18	114 020	2,280 40	439 22	ST

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STATEMENT 10

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized gain or loss ($)	Holding period
	Jun 5, 17	13 000	96 420	1,253 46	114.020	1,482.26	228 80	ST
Security total		410.000	87 660	35,940 70		46,748 20	10,807 50	
WALT DISNEY CO (HOLDING CO)								
DISNEY COM								
Symbol DIS Exchange: NYSE								
EAI. $610 Current yield 1 56%	Jun 13, 16	77 000	98.148	7,557 40	107.510	8,278 27	720.87	LT
	Jan 12, 17	26 000	107 900	2,805 40	107 510	2,795 26	-10 14	ST
	Mar 6, 17	41 000	110.710	4,539 11	107 510	4,407 91	-131 20	ST
	Mar 6, 17	20.000	110.500	2,210.00	107 510	2,150 20	-59 80	ST
	Mar 16, 17	40 000	111 629	4,465 16	107 510	4,300.40	-164 76	ST
	Mar 16, 17	20 000	111 756	2,235 13	107 510	2,150 20	-84 93	ST
	Apr 12, 17	40 000	113.149	4,525.96	107 510	4,300 40	-225 56	ST
	May 5, 17	46 000	111 090	5,110 14	107 510	4,945 46	-164 68	ST
	May 5, 17	19 000	111 150	2,111.85	107 510	2,042 69	-69 16	ST
	Jun 5, 17	34 000	106.579	3,623 69	107 510	3,655 34	31 65	ST
Security total		363.000	107 944	39,183 84		39,026 13	-157 71	
Total				**$1,840,900.05**		**$2,861,729.64**	**$1,020,829.59**	

Total estimated annual income: $49,373

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES RUSSELL 2000 ETF									
Symbol IWM									
Trade date Jan 12, 17	37 000	134 960	4,993 52	4,993 52	152 460	5,641.02	647 50		ST
Trade date Mar 6, 17	30 000	137 370	4,121 10	4,121.10	152 460	4,573 80	452 70		ST

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STATEMENT 10

ROBERT & DIANA BORMAN FAMILY CHARITABLE FOUNDATION

EIN: 26-1419554

Your Financial Advisor:
REAL/VIGUE/PLATT
212-626-8500/800-458-1764

Your assets › **Equities** › **Closed end funds & Exchange traded products** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date Mar 16, 17	36 000	138 160	4,973 76	4,973.76	152 460	5,488 56	514 80		ST
Trade date May 5, 17	11 000	138 010	1,518 11	1,518 11	152.460	1,677 06	158 95		ST
EAI $219 Current yield 1 26%									
Security total	114 000	136 899	15,606.49	15,606.49		17,380.44	1,773.95	1,773 95	
ISHARES MSCI EAFE ETF									
Symbol EFA									
Trade date Jan 12, 17	105 000	59 300	6,226 50	6,226.50	70.310	7,382 55	1,156 05		ST
Trade date Mar 6, 17	389 000	60 650	23,592 85	23,592.85	70 310	27,350.59	3,757 74		ST
Trade date Mar 6, 17	162.000	60 609	9,818.66	9,818 66	70 310	11,390 22	1,571 56		ST
Trade date Mar 16, 17	635 000	61 999	39,369 94	39,369 94	70 310	44,646 85	5,276 91		ST
Trade date Mar 16, 17	419 000	62.066	26,005 74	26,005 74	70 310	29,459.89	3,454 15		ST
Trade date Apr 12, 17	324 000	61 916	20,060 85	20,060 85	70 310	22,780 44	2,719 59		ST
Trade date May 5, 17	220.000	65 075	14,316 50	14,316 50	70.310	15,468 20	1,151 70		ST
Trade date May 5, 17	42 000	65 340	2,744 28	2,744 28	70 310	2,953 02	208 74		ST
Trade date Jun 5, 17	520 000	66 846	34,760 28	34,760 28	70 310	36,561 20	1,800 92		ST
Trade date Jul 20, 17	513 000	66 718	34,226 54	34,226 54	70 310	36,069 03	1,842.49		ST
EAI $6,006 Current yield 2 57%									
Security total	3,329 000	63 419	211,122 14	211,122 14		234,061 99	22,939 85	22,939 85	
VANGUARD MID-CAP ETF									
Symbol VO									
Trade date Aug 9, 17	691.000	143 563	99,202 06	99,202 06	154 780	106,952.98	7,750 92		ST
Trade date Aug 9, 17	253 000	143 563	36,321 45	36,321 45	154 780	39,159 34	2,837 89		ST
EAI $1,971 Current yield 1 35%									
Security total	944.000	143 563	135,523 51	135,523 51		146,112 32	10,588 81	10,588 81	
Total			**$362,252.14**	**$362,252.14**		**$397,554.75**	**$35,302.61**	**$35,302.61**	

Total estimated annual income: $8,196

STATEMENT 10

Your assets › **Equities** (continued)

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
COHEN & STEERS GLOBAL									
INFRASTRUCTURE FUND INC									
CLASS I									
Symbol CSUIX									
Trade date Aug 8, 17	2,610 917	19 479	50,860.66	50,860 66	19 200	50,129.60	-731 06		ST
Trade date Aug 8, 17	821 713	19.480	16,006 97	16,006.97	19 200	15,776.89	-230 08		ST
Total reinvested	163 646	19 130		3,130 55	19.200	3,142 00	11 45		
EAI $1,597 Current yield 2 31%									
Security total	3,596 276	19 464	66,867 63	69,998 18		69,048.49	-949 69	2,180 86	
DREYFUS GLOBAL EMERGING									
MARKETS FUND CLASS I									
Symbol DGIEX									
Trade date Jul 20, 17	4,075 055	16 989	69,235.18	69,235 18	18 810	76,651 78	7,416 60		ST
Total reinvested	49 889	18 639		929 93	18 810	938 41	8 48		
EAI $940 Current yield 1 21%									
Security total	4,124 944	17 010	69,235 18	70,165 11		77,590.19	7,425 08	8,355 01	
DREYFUS/THE BOSTON									
COMPANY SMALL/MID CAP									
GROWTH FUND									
Symbol SDSCX									
Trade date Mar 6, 17	972 574	18 199	17,700 84	17,700 84	19 700	19,159 71	1,458 87		ST
Trade date: Apr 12, 17	742 297	18 209	13,517 22	13,517 22	19 700	14,623.25	1,106 03		ST
Trade date May 5, 17	1,901 082	18 890	35,911 44	35,911 44	19 700	37,451 31	1,539 87		ST
Trade date Jul 20, 17	726 810	19 919	14,478 05	14,478 05	19 700	14,318 16	-159 89		ST

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STATEMENT 10

Your assets › **Equities** › **Mutual funds** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Total reinvested	401 573	19 519		7,838 69	19 700	7,910 99	72 30		
Security total	4,744 336	18 853	81,607 55	89,446 24		93,463 41	4,017 18	11,855 87	
Total			**$217,710.36**	**$229,609.53**		**$240,102.09**	**$10,492.57**	**$22,391.73**	

Total estimated annual income. $2,537

Fixed income

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
VANGUARD SHORT-TERM									
INFLATION PROTECTED SEC									
INDEX FD ETF									
Symbol VTIP									
Trade date Jan 12, 17	102 000	49 270	5,025 54	5,025 54	48.820	4,979 64	-45.90		ST
Trade date Mar 6, 17	184 000	49 336	9,077 92	9,077 92	48.820	8,982 88	-95 04		ST
Trade date Mar 16, 17	154 000	49.315	7,594 66	7,594.66	48.820	7,518.28	-76.38		ST
EAI $326 Current yield 1 52%									
Security total	440 000	49.314	21,698 12	21,698.12		21,480 80	-217 32	-217 32	

STATEMENT 10

Your assets › **Fixed income** (continued)

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
BLACKROCK HIGH YIELD									
BOND I									
Symbol BHYIX									
Trade date May 17, 16	3,583 539	7 319	26,231 50	26,231 50	7 800	27,951.60	1,720.10		LT
Trade date Jan 12, 17	975.327	7 709	7,519 77	7,519 77	7.800	7,607 55	87 78		ST
Trade date Mar 6, 17	3,054 673	7 770	23,734.81	23,734 81	7.800	23,826 45	91 64		ST
Trade date Mar 6, 17	1,140 214	7 769	8,859.46	8,859 46	7 800	8,893 67	34 21		ST
Trade date. Mar 16, 17	1,464 366	7 700	11,275 62	11,275 62	7 800	11,422 05	146.43		ST
Trade date Mar 16, 17	710 608	7 699	5,471 68	5,471.68	7.800	5,542 74	71.06		ST
Trade date Apr 12, 17	2,452 846	7 740	18,985 03	18,985 03	7.800	19,132 20	147 17		ST
Trade date May 5, 17	1,219 611	7 759	9,464 18	9,464 18	7 800	9,512 96	48 78		ST
Trade date May 5, 17	543 201	7 760	4,215 24	4,215.24	7 800	4,236 97	21 73		ST
Trade date Jul 20, 17	1,124 645	7.829	8,805 97	8,805 97	7 800	8,772.23	-33 74		ST
Total reinvested	850 566	7 756		6,597.70	7 800	6,634 41	36 71		
EAI $7,532 Current yield 5 64%									
Security total	17,119 596	7 661	124,563 26	131,160 96		133,532 84	2,371 87	8,969 57	
COHEN & STEERS PREFERRED									
SEC & INC FUND I									
Symbol CPXIX									
Trade date Mar 6, 17	24 926	13.800	343 98	343 98	14.170	353 20	9 22		ST
Trade date Apr 12, 17	715 352	13 860	9,914 78	9,914 78	14.170	10,136 54	221.76		ST
Trade date May 5, 17	527 655	14 020	7,397.73	7,397 73	14 170	7,476 87	79 14		ST
Trade date May 5, 17	467 212	14 019	6,550 31	6,550 31	14 170	6,620 39	70 08		ST
Trade date Jun 5, 17	674 809	14 119	9,528 30	9,528 30	14 170	9,562 04	33 74		ST

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STATEMENT 10

Your assets › **Fixed income** › **Mutual funds** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date Jul 20, 17	1,107 672	14 270	15,806 48	15,806 48	14 170	15,695 71	-110 77		ST
Total reinvested	190 585	14 167		2,700 11	14 170	2,700 59	0 48		
EAI $2,781 Current yield 5 29%									
Security total	3,708 211	14 088	49,541 58	52,241 69		52,545 34	303 65	3,003 76	
COHEN & STEERS LOW									
DURATION PREF & INC FUND									
CLASS I									
Symbol· LPXIX									
Trade date· Jun 9, 16	895 093	9 929	8,888 27	8,888 27	10 150	9,085 19	196 92		LT
Trade date· Jan 24, 17	1,085 615	10 030	10,888 72	10,888.72	10 150	11,018.99	130 27		ST
Trade date· Jan 24, 17	225 023	10 029	2,256 98	2,256 98	10 150	2,283 98	27 00		ST
Trade date Mar 6, 17	1,489.289	10 100	15,041.82	15,041 82	10.150	15,116 28	74 46		ST
Trade date Mar 6, 17	941 122	10 099	9,505 33	9,505 33	10 150	9,552.39	47 06		ST
Trade date Mar 16, 17	1,239 826	10 060	12,472 65	12,472 65	10 150	12,584 23	111 58		ST
Trade date Mar 16, 17	994 633	10 060	10,006.01	10,006 01	10 150	10,095 52	89 51		ST
Trade date Apr 12, 17	2,471 370	10 100	24,960 84	24,960 84	10 150	25,084.41	123 57		ST
Trade date May 5, 17	1,105 155	10 170	11,239 43	11,239 43	10.150	11,217 32	-22 11		ST
Trade date May 5, 17	420 712	10 169	4,278 64	4,278 64	10 150	4,270 23	-8 41		ST
Trade date Aug 11, 17	4,234 268	10 229	43,316 56	43,316.56	10.150	42,977 82	-338 74		ST
Trade date Aug 11, 17	795 722	10.230	8,140 24	8,140 24	10.150	8,076.58	-63 66		ST
Total reinvested	559 712	10 175		5,695 39	10 150	5,681 08	-14.31		
EAI $7,455 Current yield 4 46%									
Security total	16,457 540	10 129	160,995.49	166,690 88		167,044.03	353 14	6,048 53	
DOUBLE LINE TOTAL RETURN									
FUND INSTL									
Symbol DBLTX									
Trade date Jan 12, 17	1,409 516	10 670	15,039 54	15,039.54	10 630	14,983 15	-56 39		ST
Trade date Mar 6, 17	363 569	10 590	3,850 20	3,850 20	10 630	3,864 74	14 54		ST
Trade date May 5, 17	189 357	10 670	2,020 44	2,020 44	10 630	2,012 86	-7 58		ST
Total reinvested	62 010	10 679		662 26	10.630	659.17	-3.09		
EAI $785 Current yield 3 65%									
Security total	2,024 452	10 656	20,910 18	21,572 44		21,519 92	-52 52	609 74	

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STATEMENT 10

Your Financial Advisor:
REAL/VIGUE/PLATT
212-626-8500/800-458-1764

Your assets › **Fixed income** › **Mutual funds** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
JPMORGAN GLOBAL BOND									
OPPORTUNITIES FUND CLASS									
I									
Symbol GBOSX									
Trade date Jan 12, 17	497.335	10 069	5,008.16	5,008 16	10.310	5,127 52	119 36		ST
Trade date Mar 16, 17	216 392	10 120	2,189 89	2,189 89	10 310	2,231 00	41 11		ST
Total reinvested	22 776	10 202		232 37	10 310	234 82	2 45		
EAI $252 Current yield 3 32%									
Security total	736 503	10 089	7,198 05	7,430 42		7,593.34	162 92	395 29	
PIMCO INCOME FUND									
CLASS P									
Symbol PONPX									
Trade date May 17, 16	5,475 990	11 869	65,000 00	65,000 00	12 410	67,957.04	2,957 04		LT
Trade date Jan 12, 17	1,243 966	12.090	15,039 55	15,039 55	12 410	15,437 62	398 07		ST
Trade date Mar 6, 17	1,545.004	12 190	18,833 60	18,833.60	12 410	19,173 50	339 90		ST
Trade date Mar 6, 17	875 224	12 189	10,668.98	10,668 98	12 410	10,861 53	192 55		ST
Trade date Mar 16, 17	547 153	12 189	6,669 79	6,669 79	12 410	6,790 17	120 38		ST
Trade date Apr 12, 17	2,936 722	12 249	35,974 84	35,974 84	12 410	36,444 72	469 88		ST
Trade date May 5, 17	828 399	12 269	10,164 45	10,164 45	12 410	10,280 43	115 98		ST
Trade date May 5, 17	749 465	12 269	9,195 93	9,195 93	12 410	9,300.86	104 93		ST
Trade date Jun 5, 17	1,568 205	12 349	19,367 33	19,367 33	12 410	19,461 42	94 09		ST
Trade date Jul 20, 17	1,212 486	12 380	15,010 58	15,010 58	12 410	15,046 95	36 37		ST
Total reinvested	856 260	12 281		10,516 08	12 410	10,626.19	110 11		
EAI $11,667 Current yield 5 27%									
Security total	17,838 874	12.133	205,925 05	216,441 13		221,380 42	4,939.30	15,455 38	
PIMCO INVESTMENT GRADE									
CORPORATE BOND FUND									
CLASS P									
Symbol PBDPX									
Trade date May 17, 16	3,985 073	10 260	40,886.85	40,886 85	10 540	42,002 67	1,115 82		LT
Trade date Jan 12, 17	912 570	10 289	9,390 34	9,390 34	10 540	9,618 49	228 15		ST

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STATEMENT 10

Your assets › **Fixed income** › **Mutual funds** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Trade date Mar 6, 17	3,303 934	10 299	34,030 52	34,030 52	10 540	34,823.46	792 94		ST
Trade date Mar 6, 17	913 615	10 299	9,410 23	9,410 23	10 540	9,629 50	219 27		ST
Trade date Mar 16, 17	640.377	10 249	6,563.86	6,563 86	10.540	6,749 57	185 71		ST
Trade date Mar 16, 17	300 050	10 249	3,075 51	3,075 51	10 540	3,162 53	87 02		ST
Trade date Apr 12, 17	2,256 325	10 420	23,510 91	23,510 91	10 540	23,781 67	270 76		ST
Trade date May 5, 17	1,366 096	10 429	14,248 38	14,248 38	10 540	14,398 65	150 27		ST
Trade date May 5, 17	554 352	10 429	5,781 89	5,781 89	10 540	5,842.87	60 98		ST
Trade date Jun 5, 17	1,745 255	10.559	18,429 89	18,429 89	10.540	18,394 99	-34 90		ST
Trade date Jul 20, 17	1,471.489	10 599	15,597 78	15,597.78	10.540	15,509 49	-88 29		ST
Total reinvested	716 154	10 531		7,541 82[2]	10 540	7,548 26	6 44		
EAI $6,285 Current yield 3.28%									
Security total	18,165 290	10 375	180,926.16	188,467.98		191,462 15	2,994 17	10,535 99	
PIMCO LOW DURATION INCOME FUND CLASS P									
Symbol PFTPX									
Trade date Mar 16, 17	7,538 792	8 430	63,552 02	63,552.02	8 570	64,607 45	1,055 43		ST
Trade date Mar 16, 17	3,007 235	8 429	25,350 99	25,350.99	8 570	25,772.00	421 01		ST
Trade date Apr 12, 17	4,786 254	8.460	40,491 71	40,491 71	8 570	41,018.20	526.49		ST
Trade date May 5, 17	1,665 148	8 490	14,137 11	14,137.11	8 570	14,270 32	133 21		ST
Trade date May 5, 17	716.306	8 490	6,081 44	6,081 44	8 570	6,138 74	57 30		ST
Trade date Jul 20, 17	2,106 526	8 550	18,010.80	18,010.80	8 570	18,052 93	42 13		ST
Total reinvested	378 320	8 555		3,236 69	8 570	3,242 20	5 51		
EAI $5,352 Current yield 3 09%									
Security total	20,198 581	8.459	167,624 07	170,860 76		173,101 83	2,241 08	5,477 77	
PIMCO SHORT-TERM FUND CLASS P									
Symbol PTSPX									
Trade date May 17, 16	4,629 630	9.719	45,000 00	45,000 00	9 870	45,694 45	694 45		LT
Trade date Jan 12, 17	767 323	9 800	7,519.77	7,519 77	9 870	7,573 48	53 71		ST
Trade date Mar 6, 17	1,310 892	9 830	12,886 07	12,886 07	9 870	12,938 50	52 43		ST
Trade date Apr 12, 17	897 092	9 819	8,809.44	8,809 44	9 870	8,854 30	44 86		ST
Trade date May 5, 17	1,110 436	9 830	10,915 59	10,915.59	9 870	10,960 00	44 41		ST

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STATEMENT 10

Your assets › **Fixed income** › **Mutual funds** (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 29 ($)	Value on Dec 29 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Total reinvested	167 313	9 818		1,642 69	9.870	1,651 38	8 69		
EAI $1,386 Current yield 1 58%									
Security total	8,882 686	9 769	85,130 87	86,773 56		87,672 11	898 55	2,541 24	
Total			**$1,002,814.71**	**$1,041,639.82**		**$1,055,851.98**	**$14,212.16**	**$53,037.27**	

Total estimated annual income: $43,495

[2] Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction

Your total assets

		Value on Dec 29 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**209,978.96**	**4.39%**	**209,978.96**		
Equities	Common stock	2,861,729 64		1,840,900 05	49,373 00	1,020,829 59
	Closed end funds & Exchange traded products	397,554 75		362,252 14	8,196 00	35,302 61
	Mutual funds	240,102 09		229,609.53	2,537 00	10,492 57
	Total equities	**3,499,386.48**	**73.10%**	**2,432,761.72**	**60,106.00**	**1,066,624.77**
Fixed income	Closed end funds & Exchange traded products	21,480 80		21,698.12	326.00	-217 32
	Mutual funds	1,055,851 98		1,041,639 82	43,495 00	14,212.16
	Total fixed income	**1,077,332.78**	**22.51%**	**1,063,337.94**	**43,821.00**	**13,994.84**
Total		**$4,786,698.22**	**100.00%**	**$3,706,078.62**	**$103,927.00**	**$1,080,619.61**

Account activity this month

	Date	Activity	Description	Amount ($)
Deposits and other funds credited	Dec 26	Transfer	JOURNAL FROM WE B9766 KATE E RICHARDSON TTEE	7,015 73
	Total deposits and other funds credited			**$7,015.73**

	Date	Activity	Description	Amount ($)
Dividend and interest income				
Taxable dividends	Dec 1	Dividend	INTEL CORP PAID ON 1077 SYMBOL INTC	293 48

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STATEMENT 10