

Form **990-PF**

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

OMB No 1545-0052

2017

Department of the Treasury
Internal Revenue Service

▶ 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.

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Open to Public Inspection

For calendar year 2017 or tax year beginning November 1, 2017, and ending October 31, 2018

Name of foundation: **The Goppert Foundation**

Employer identification number: **446013933**

Number and street (or P.O. box number if mail is not delivered to street address): **200 Unity Circle North**

Room/suite: **B**

Telephone number (see instructions): **(816)942-7595**

City or town, state or province, country, and ZIP or foreign postal code: **Lee's Summit, Missouri, USA 64086**

G Check all that apply:

- Initial return
- Initial return of a former public charity
- Final return
- Amended return
- Address change
- Name change

H Check type of organization:

- Section 501(c)(3) exempt private foundation
- Section 4947(a)(1) nonexempt charitable trust
- Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ **48,006,431**

J Accounting method:

- Cash
- Accrual
- Other (specify) _____

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

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)	46			
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	655,317	655,317	0	
	4 Dividends and interest from securities	1,401,467	1,401,467	0	
	5a Gross rents	0	0	0	
	b Net rental income or (loss)	0			
	6a Net gain or (loss) from sale of assets not on line 10	579,234			
	b Gross sales price for all assets on line 6a	0			
	7 Capital gain net income (from Part IV, line 2)		579,234		
	8 Net short-term capital gain			0	
	9 Income modifications			0	
	10a Gross sales less returns and allowances	0			
b Less Cost of goods sold	0				
c Gross profit or (loss) (attach schedule)	0		0		
11 Other income (attach schedule)	0	0	0		
12 Total. Add lines 1 through 11	2,636,064	2,636,018	0		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	8,000	4,000	0	4,000
	14 Other employee salaries and wages	0	0	0	0
	15 Pension plans, employee benefits	0	0	0	0
	16a Legal fees (attach schedule)	8,755	4,378	0	4,377
	b Accounting fees (attach schedule)	0	0	0	0
	c Other professional fees (attach schedule)	268,354	134,177	0	134,177
	17 Interest	0	0	0	0
	18 Taxes (attach schedule) (see instructions)	24,747	0	0	0
	19 Depreciation (attach schedule) and depletion	2,850	2,850	0	
	20 Occupancy	24,687	12,343	0	12,344
	21 Travel, conferences, and meetings	0	0	0	0
	22 Printing and publications	19	10	0	9
	23 Other expenses (attach schedule)	7,190	3,595	0	3,595
	24 Total operating and administrative expenses. Add lines 13 through 23	344,602	161,353	0	158,502
	25 Contributions, gifts, grants paid	2,339,681			2,339,681
26 Total expenses and disbursements. Add lines 24 and 25	2,684,283	161,353	0	2,498,183	
27 Subtract line 26 from line 12.					
a Excess of revenue over expenses and disbursements	-48,219				
b Net investment income (if negative, enter -0-)		2,474,665			
c Adjusted net income (if negative, enter -0-)			0		

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1	Cash—non-interest-bearing		1,380,502	1,196,219	1,196,219
	2	Savings and temporary cash investments		0	0	0
	3	Accounts receivable ▶	0			
		Less: allowance for doubtful accounts ▶	0	0	0	0
	4	Pledges receivable ▶	0			
		Less: allowance for doubtful accounts ▶	0	0	0	0
	5	Grants receivable		0	0	0
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)		0	0	0
	7	Other notes and loans receivable (attach schedule) ▶	0			
		Less: allowance for doubtful accounts ▶	0	0	0	0
	8	Inventories for sale or use		0	0	0
	9	Prepaid expenses and deferred charges		0	0	0
	10a	Investments—U.S. and state government obligations (attach schedule)		12,292,050	11,262,656	11,882,903
	b	Investments—corporate stock (attach schedule)		5,412,808	5,412,808	6,908,331
	c	Investments—corporate bonds (attach schedule)		0	0	0
	11	Investments—land, buildings, and equipment: basis ▶	0			
	Less: accumulated depreciation (attach schedule) ▶	0	0	0	0	
12	Investments—mortgage loans		0	0	0	
13	Investments—other (attach schedule)		19,805,047	20,956,923	27,865,802	
14	Land, buildings, and equipment: basis ▶	0				
	Less accumulated depreciation (attach schedule) ▶	0	777	34,101	34,101	
15	Other assets (describe ▶ Tax(343) GNMA 5 / Acr Int 119,413)		19,404	-338	119,075	
16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)		38,910,588	38,862,369	48,006,431	
Liabilities	17	Accounts payable and accrued expenses		0	0	
	18	Grants payable		0	0	
	19	Deferred revenue		0	0	
	20	Loans from officers, directors, trustees, and other disqualified persons		0	0	
	21	Mortgages and other notes payable (attach schedule)		0	0	
	22	Other liabilities (describe ▶ 0)		0	0	
	23	Total liabilities (add lines 17 through 22)		0	0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> 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 ▶ <input checked="" type="checkbox"/> 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		31,736,637	31,736,683	
29	Retained earnings, accumulated income, endowment, or other funds		7,173,951	7,125,686		
30	Total net assets or fund balances (see instructions)		38,910,588	38,862,369		
31	Total liabilities and net assets/fund balances (see instructions)		38,910,588	38,862,369		

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	38,910,588
2	Enter amount from Part I, line 27a	2	-48,219
3	Other increases not included in line 2 (itemize) ▶	3	0
4	Add lines 1, 2, and 3	4	38,862,369
5	Decreases not included in line 2 (itemize) ▶	5	0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	38,862,369

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 Charles Schwab (See Attached)		P	Various	Various
b				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))	
a 579234		0	579,234	
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69.				(i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col. (h))
(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		
a			579,234	
b				
c				
d				
e				
2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }		2	579,234
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c). See instructions. If (loss), enter -0- in Part I, line 8			3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? Yes No
 If "Yes," the foundation 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	2,305,528	46,449,459	.0496
2015	2,201,749	44,723,817	.0492
2014	2,206,887	43,002,846	.0513
2013	1,957,770	40,771,384	.0480
2012	1,876,893	38,694,043	.0485
2 Total of line 1, column (d)			2 .2466
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 .0493
4 Enter the net value of noncharitable-use assets for 2017 from Part X, line 5			4 48,718,117
5 Multiply line 4 by line 3			5 2,401,803
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 24,747
7 Add lines 5 and 6			7 2,426,550
8 Enter qualifying distributions from Part XII, line 4 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.			8 2,498,183

3

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

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. 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 <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	1	24,747	
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	24,747	
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	24,747	
6	Credits/Payments			
a	2017 estimated tax payments and 2016 overpayment credited to 2017	6a	24,404	
b	Exempt foreign organizations—tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d	7	24,404	
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	0	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	343	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	0	
11	Enter the amount of line 10 to be Credited to 2018 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11	0	

Part VII-A Statements Regarding Activities

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

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		✓
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		✓
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ None	✓	
14	The books are in care of ▶ Thomas A Goppert Telephone no ▶ 816/942-7595 Located at ▶ 200 Unity Circle North Suite B ZIP+4 ▶ 64086		
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶ 15		
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? 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

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

		Yes	No
1a	During the year, did the foundation (either directly or indirectly): (1) Engage in the sale or exchange, or leasing of property with a disqualified person? . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? . . . <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions Organizations relying on a current notice regarding disaster assistance, check here ▶ <input type="checkbox"/>	1b	✓
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	✓
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20____, 20____, 20____, 20____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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 20, 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.)	3b	✓
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	✓
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	✓

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

5a During the year, did the foundation pay or incur any amount to:		Yes	No
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(3) Provide a grant to an individual for travel, study, or other similar purposes? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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 5b			
Organizations relying on a current notice regarding disaster assistance, check here <input type="checkbox"/>			
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? <input type="checkbox"/> Yes <input type="checkbox"/> 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? 6b			✓
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? 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. See instructions.

(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
Richard D. Goppert KC, MO	Chm. Director 5	0	0	0
M. Charles Kellogg Leawood, KS	VP Director 4	4,000	0	0
Autumn Y. Markley Lee's Summit, MO	VP Director 25	0	0	0
Thomas A. Goppert Lake Winnebago, MO	Pres Director 12	0	0	0
Billy E Campbell Norborne, MO	Director 1	0	0	0
Carolyn Kellogg Leawood, KS	Director 1	4,000	0	0

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

(a) Name and address of each employee paid more than \$50,000	(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. See instructions. 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 None	
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 None	
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	48,439,340
b	Average of monthly cash balances	1b	1,012,313
c	Fair market value of all other assets (see instructions)	1c	8,364
d	Total (add lines 1a, b, and c)	1d	49,460,017
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	49,460,017
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	741,900
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	48,718,117
6	Minimum investment return. Enter 5% of line 5	6	2,435,906

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	2,435,906
2a	Tax on investment income for 2017 from Part VI, line 5	2a	24,747
b	Income tax for 2017. (This does not include the tax from Part VI.)	2b	0
c	Add lines 2a and 2b	2c	24,747
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	2,411,159
4	Recoveries of amounts treated as qualifying distributions	4	0
5	Add lines 3 and 4	5	2,411,159
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	2,411,159

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	2,498,183
b	Program-related investments—total from Part IX-B	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	0
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	0
b	Cash distribution test (attach the required schedule)	3b	0
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8; and Part XIII, line 4	4	2,498,183
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions	5	24,747
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	2,473,436

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				2,411,159
2 Undistributed income, if any, as of the end of 2017				
a Enter amount for 2016 only			0	
b Total for prior years: 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2017:				
a From 2012				
b From 2013				
c From 2014	78,852			
d From 2015	6,810			
e From 2016	24,350			
f Total of lines 3a through c	110,012			
4 Qualifying distributions for 2017 from Part XII, line 4: ► \$ <u>2,498,183</u>				
a Applied to 2016, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions)		0		
c Treated as distributions out of corpus (Election required—see instructions)	0			
d Applied to 2017 distributable amount				2,411,159
e Remaining amount distributed out of corpus	87,024			
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	197,036			
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 instructions			0	
f Undistributed income for 2017. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2018				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions)	0			
8 Excess distributions carryover from 2012 not applied on line 5 or line 7 (see instructions)	0			
9 Excess distributions carryover to 2018. Subtract lines 7 and 8 from line 6a	197,036			
10 Analysis of line 9.				
a Excess from 2013	0			
b Excess from 2014	78,852			
c Excess from 2015	6,810			
d Excess from 2016	24,350			
e Excess from 2017	87,024			

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2017, enter the date of the ruling **NOT APPLICABLE**

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				(e) Total
	(a) 2017	(b) 2016	(c) 2015	(d) 2014	
2a 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).)

Clarence H. Goppert, founder and former chairman deceased 1999
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. See instructions.

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

Autumn Y. Markley V.P., c/o The Goppert Foundation 200 Unity Circle North Suite B, Lee's Summit, MO 64086

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

Formal written request, including 501(c)3 status verification

c Any submission deadlines:

None

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				
See Schedule	N/A	501(c)3	Various regional charities	2,339,681
Total				3a 2,339,681
b Approved for future payment				
See Schedule	N/A	501(c)3	Various regional charities	707,000
Total				3b 707,000

THE GOPPERT FOUNDATION
2017 990-PF SUPPORTING SCHEDULES
ID# 446013933

PART I LINE 16a

Legal Fees Pathway Financial Management	\$8,755
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PART I LINE 16c

Goppert Financial Corp for reimbursement of time devoted to "The Foundation" in investment capacities, tax assistance and evaluation of grant applications

	\$160,380
Charles Schwab Investment Services	<u>\$107,974</u>
Total	\$268,354

Allocation	50% in investment functions	\$134,177
	50% in charitable functions	<u>\$134,177</u>
Total		\$268,354

PART I LINE 18

'15 Excise Tax on investment income	\$ 24,747
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PART I LINE 19

Depreciation	\$ 2,850
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PART I LINE 23

IT / Office Move	\$ 3,210
Foreign Taxes Charles Schwab Inv	\$ 2,438
Liability Insurance	<u>\$ 1,542</u>
Total	\$ 7,190

PART II LINE 10b

	(b)	(c)
Investments		
CAI non-voting stock	\$5,412,808	\$6,908,331

PART II LINE 13

	(b)	(c)
Investments Charles Schwab Fund	\$20,956,923	\$27,865,802

PART III LINE 5

Adj to Fund Balances rounding adj	<u>0</u>
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Part II Item 10a

Call

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Sec ID	Description	Maturity	EstMaturity	Original Face	Issue Dt	Aft Tx Yld	Sch	Intn	S&P	Book Value	Unrealized P/L
Type	Rate	C-P Date/Price/Code	EstMaturity	Par/Cur Face	Par Price	Tax Eq Yld	Calc	Qual	Moody	Market Value	Realized P/L
467485UN4	JACKSON CNTY MO UT REORG	4.9500 03/01/2022		1,000,000.00	11/15/2009	4.950000	ms	1 m	AA-	1,000,000.00	46,820.00
223	167057236			1,000,000.00	11/15/2009	4.950000	n	UMB	NR	1,046,820.00	0.00
1 Holdings for 2022 3.33 Yrs				1,000,000.00		4.950000				1,000,000.00	46,820.00
791697EN4	ST LOUIS MO UT SFL ADMIN BRD	6.1000 04/01/2025		500,000.00	12/21/2010	5.020410	ao	1 m	AA+	529,301.25	40,468.75
131	167057256			500,000.00	04/20/2011	5.020000	a		NR	569,770.00	0.00
223	167057256			553,675.00	110 735000	5.020410	n	UMB	smics	1,046,820.00	0.00
915626L09	SEDGWICK CNTY KANS UT UNI SCH	5.3900 10/01/2025		500,000.00	03/01/2010	5.390000	ao	1 m	AA	500,000.00	23,235.00
131	167057247			500,000.00	03/01/2010	5.390000	a		AA2	523,235.00	0.00
223	167057247			500,000.00	100.000000	5.390000	n	UMB	smics	1,029,301.25	63,703.75
2 Holdings for 2025 6.67 Yrs				1,000,000.00		5.205205				1,029,301.25	63,703.75
428864CV2	HICKORY CNTY SCH DIST R-1	5.3500 03/01/2026		350,000.00	06/15/2010	5.350000	ms	1 m	AA+	350,000.00	29,347.50
131	167057234			350,000.00	06/15/2010	5.350000	a		NR	379,347.50	0.00
223	167057234			350,000.00	100.000000	5.350000	n	UMB	smics	770,393.00	28,420.00
566880UN8	MARIKOPA CNTY ARIZ SCH DIST NO	6.0000 07/01/2025		765,000.00	02/24/2010	5.551310	jj	1 m	NR	759,813.00	0.00
131	167057241			765,000.00	02/24/2010	5.551310	a		AA2	791,476.65	0.00
223	167057241			791,476.65	100.000000	5.551310	n	UMB	smics	1,521,831.79	4,721.71
48542KCC2	KANSAS ST DEV FIN AUTH REV	5.6500 11/01/2021		150,000.00	02/25/2010	5.000760	mm	1 m	A+	151,831.79	0.00
131	167057254			150,000.00	02/25/2010	5.000760	a		AA3	156,553.50	0.00
224	167057254			157,233.00	104 822000	5.000760	n	UMB	smics	1,272,224.79	62,489.21
3 Holdings for 2026 7.62 Yrs				1,265,000.00		5.430329				1,272,224.79	62,489.21
183513CX6	CLAY CNTY MO UT SCR DIST R-II	5.5100 03/01/2027		474,000.00	06/05/2010	5.510000	ms	1 m	AA+	474,000.00	49,343.40
131	167057226			474,000.00	06/05/2010	5.510000	a		NR	523,343.40	0.00
223	167057226			474,000.00	100.000000	5.510000	n	UMB	smics	250,000.00	27,842.50
394532FM2	GREENE CNTY MO REORG SD #03	5.7200 03/01/2027		250,000.00	06/15/2010	5.720000	mo	1 m	AA+	250,000.00	27,842.50
131	167057233			250,000.00	06/29/2010	5.719000	a		NR	277,842.50	0.00
223	167057233			250,000.00	100.000000	5.720000	n	UMB	smics	250,000.00	26,465.00
56910LFT0	MARION CNTY MO UT SCR DIST	5.4500 03/01/2027		250,000.00	08/01/2010	5.450000	ms	1 m	AA+	250,000.00	26,465.00
131	167057243			250,000.00	08/10/2010	5.450000	a		NR	276,465.00	0.00
223	167057243			250,000.00	100.000000	5.450000	n	UMB	smics	250,000.00	10/26/2018

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Sec ID	Description	Maturity	EstMaturity	Original Face	Issue Dt	Aft Tx Yld	Sch	Intn	S&P	Book Value	Unrealized P/L
Type	Rate	C-P Date/Price/Code	EstMaturity	Par/Cur Face	Par Price	Tax Eq Yld	Calc	Qual	Moody	Market Value	Realized P/L
11364PDC2	FEDERAL NATL MORTGAGE ASSN	6.0300 10/08/2027		540,000.00	10/08/1997	5.010200	ao	8 m	AA+	579,281.13	69,404.67
120	167057231			540,000.00	04/21/2011	5.010200	a		AAA	648,685.80	0.00
103	167057231			603,597.40	111.777296	5.010200	n	UMB	Bloomberg	1,553,281.13	173,055.57
4 Holdings for 2027 8.55 Yrs				1,514,000.00		5.356505				1,553,281.13	173,055.57
442403FY2	HOUSTON TEX LTD INDPT SCH	5.1000 04/15/2019		500,000.00	11/01/2009	5.106480	fa15	1 m	AA+	501,442.19	3,572.81
131	167057252			500,000.00	04/15/2011	5.106480	a		AA	505,015.00	0.00
223	167057252			532,495.00	106.499000	5.106480	n	UMB	smics	293,084.38	34,274.42
11359MEAR7	FEDERAL NATL MORTGAGE ASSN	6.1600 08/07/2028		370,000.00	08/06/1998	5.040730	fa	7 m	AA+	327,359.80	0.00
120	167057230			370,000.00	04/21/2011	5.040000	a		AA	327,359.80	0.00
103	167057230			305,821.20	113.267111	5.040730	n	UMB	Bloomberg	950,000.00	25,650.00
4784496P1	JOHNSON CNTY KANS UT BUILD	5.3000 09/01/2028		950,000.00	12/17/2009	5.350000	ms	1 m	AAA	950,000.00	0.00
131	167057237			950,000.00	12/17/2009	5.350000	a		AA	975,650.00	0.00
223	167057237			950,000.00	100 000000	5.350000	n	UMB	smics	1,744,526.57	63,497.23
3 Holdings for 2028 9.67 Yrs				1,720,000.00		5.230661				1,808,023.80	82,523.80
567288RY3	MARIKOPA CNTY ARIZ UT UNI SCH	6.3050 07/01/2029		500,000.00	12/15/2010	5.440840	jj	1 m	AA	534,780.46	61,189.54
131	167057255			500,000.00	04/21/2011	5.440000	a		AA1	595,970.00	0.00
223	167057255			549,740.00	109.948000	5.440840	n	UMB	smics	739,936.30	29,579.30
478718E70	JOHNSON CNTY KANS UT UNI SCH	5.6000 09/01/2029		735,000.00	07/01/2010	5.211140	ms	1 m	AA	739,936.30	0.00
131	167057253			735,000.00	05/06/2011	5.210000	a		AA2	769,515.60	0.00
223	167057253			755,888.70	102.842000	5.211140	n	UMB	smics	253,537.98	4,792.02
915668JN9	SEDGWICK CNTY KANS UT UNI	6.6000 10/01/2029		250,000.00	10/01/2009	5.001280	ao	1 m	NR	258,330.00	0.00
131	167057248			250,000.00	08/05/2011	5.000000	a		AA3	258,330.00	0.00
223	167057248			276,500.00	110.600000	5.001280	n	UMB	smics	1,528,254.74	95,560.86
3 Holdings for 2029 10.80 Yrs				1,485,000.00		5.253150				1,623,815.60	138,815.60
367224CS0	GASCONADE CNTY MO UT	5.7700 03/01/2030		500,000.00	08/12/2010	5.770000	ms	1 m	AA+	500,000.00	17,790.00
131	167057232			500,000.00	08/12/2010	5.770000	a		NR	517,790.00	0.00
223	167057232			500,000.00	100.000000	5.770000	n	UMB	smics	400,000.00	14,648.00
775567CA5	ROLLA MO SCR DIST #31	5.8500 03/01/2030		400,000.00	06/25/2010	5.850000	ms	1 m	AA+	400,000.00	14,648.00
131	167057244			400,000.00	06/25/2010	5.850000	a		NR	414,648.00	0.00
223	167057244			400,000.00	100.000000	5.850000	n	UMB	smics	400,000.00	10/26/2018

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Sec ID	Description	Maturity	EstMaturity	Original Face	Issue Dt	Aft Tx Yld	Sch	Intn	S&P	Book Value	Unrealized P/L
Type	Rate	C-P Date/Price/Code	EstMaturity	Par/Cur Face	Par Price	Tax Eq Yld	Calc	Qual	Moody	Market Value	Realized P/L
982671W09	WYANDOTTE CNTY/KANS CITY KANS	5.7000 08/01/2030		730,000.00	02/26/2010	5.710440	fa	1 m	AA	729,353.91	21,713.89
131	167057250			730,000.00	02/26/2010	5.710000	a		AA	751,067.80	0.00
223	167057250			729,087.50	99 875000	5.710440	n	UMB	smics	519,539.70	15,467.50
982671XQ7	WYANDOTTE CNTY/KANS CITY KANS	5.7000 08/01/2030		520,000.00	02/26/2010	5.710440	fa	1 m	AA	519,539.70	15,467.50
131	167057251			520,000.00	02/26/2010	5.710000	a		AA	535,007.20	0.00
224	167057251			519,350.00	99 875000	5.710440	n	UMB	smics	495,588.06	13,181.94
794760H50	SALINA KANS UT APT AUTH	5.0000 09/01/2030		500,000.00	08/15/2011	5.100240	ms	1 m	NR	508,770.00	0.00
131	167057246			500,000.00	08/15/2011	5.100000	a		AA3	508,770.00	0.00
223	167057246			493,940.00	98 788000	5.100240	n	UMB	smics	2,644,481.67	82,801.33
5 Holdings for 2030 11.63 Yrs				2,650,000.00		5.627611				2,727,283.00	77,283.00
485106GX0	KANSAS CITY MO REV SFL OBLG	5.2500 03/01/2032		500,000.00	03/29/2012	5.370410	ms	1 m	AA-	494,319.92	28,585.08
131	167057239			500,000.00	03/29/2012	5.370000	a		AA	522,905.00	0.00
224	167057239			492,690.00	98.538000	5.370410	n	UMB	smics	494,319.92	28,585.08
1 Holdings for 2032 13.34 Yrs				500,000.00		5.370410				494,319.92	28,585.08
				500,000.00		5.370000				522,905.00	0.00
				492,690.00		5.370410				494,319.92	28,585.08

**THE GOPPERT FOUNDATION
PLEDGES
As of 10/31/2018**

	PLEDGES PAID 17-18
<u>DISTRIBUTED IN 16-17 (date pd)</u>	
KVC Health Systems Niles Home 11/8/17	\$ 125,000
Center for developmentally disabled 11/8/2017	\$ 75,000
Walnut Community Service Org 11/8/2017	\$ 7,000
Summit Chistian Academy 11/8/2017	\$ 175,000
Norborne Community Center 11/8/2017	\$ 45,000
Marian Hope Center 1/3/2018	\$ 25,000
Walnut Community Service Org Gerard Field 1/11/2018	\$ 25,000
Walnut Community Service Org Crawford County 1/11/2018	\$ 25,000
KC Public Library 1/26/2018	\$ 200,000
Clinton Convalescent Center 2/13/2018	\$ 10,000
Northwest Foundation 4/4/18	\$ 125,000
Norborne Community Center Lex La Ray 4/9/2018	\$ 132,522
Rehabilitation institute of Kansas City 5/16/2018	\$ 75,000
Boy Scouts of America 5/16/2018	\$ 19,300
Carroll County Mem Hospital 5/18/2018	\$ 25,000
Literacy KC 5/31/2018	\$ 50,000
St Paul School Alumni (Track) 6/7/2018	\$ 50,000
Welcome House 6/20/2018	\$ 20,979
Community Service League 6/25/2018	\$ 2,500
University of Kansas Williams Fund 7/25/2018	\$ 40,000
Garnett Community Foundation 8/6/2018	\$ 7,380
Ottawa Community Partnership 8/6/2018	\$ 50,000
St Teresa's Academy 8/13/2018	\$ 125,000
University of St Marys 8/13/2018	\$ 100,000
Mid American Nazarene University 8/13/2018	\$ 125,000
Park University 8/13/2018	\$ 150,000
Foundation for Linn State Technical College 9/19/2018	\$ 100,000
East Central Kansas Area Agency 9/19/2018	\$ 100,000
Kansas State University Endowment 9/28/2018	\$ 40,000
UMKC Endowment 9/28/2018	\$ 40,000
Summit Chistian Academy 10/25/2018	\$ 175,000
Walnut Comm Service 10/25/2018	\$ 25,000
Bishop Miege Endowment 10/25/2018	\$ 50,000
TOTAL	\$ 2,339,681
<u>FUTURE PLEDGES</u>	
Walnut community service org (2/19)	\$ 7,000
Carrol County Memeorial Hospital 6/15/18,19,20	\$ 50,000
St Teresa's Academy 11/18,19,20,21	\$ 375,000
Mid American Nazarene University 11/15/2019	\$ 125,000.00
Park University 12/19	\$ 150,000 00
	\$ 707,000
<u>TOTAL PLEDGES</u>	\$ 3,046,681

Date	Action	Symbol/CUSIP	Description	Amount
11/1/2017	Cash Dividend	VZ	VERIZON COMMUNICATN	\$3,245.00
11/1/2017	Cash Dividend	GIS	GENERAL MILLS INC	\$1,470.00
11/1/2017	Cash Dividend	DE	DEERE & CO	\$1,200.00
11/1/2017	Cash Dividend	T	A T & T INC	\$1,960.00
11/9/2017	Cash Dividend	NUE	NUCOR CORP	\$377.50
11/15/2017	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$108.98
11/15/2017	Cash Dividend	PG	PROCTER & GAMBLE	\$2,068.80
11/20/2017	Cash Dividend	CAT	CATERPILLAR INC	\$1,560.00
11/21/2017	Long Term Cap Gain Reinvest	APDKX	ARTISAN INTL VALUE FUND ADV	\$41,775.27
11/21/2017	Short Term Cap Gain Reinvest	APDKX	ARTISAN INTL VALUE FUND ADV	\$3,505.01
11/21/2017	Cash Dividend	APDKX	ARTISAN INTL VALUE FUND ADV	\$19,874.11
11/24/2017	Foreign Tax Paid	RY	ROYAL BANK OF CANADA F	(\$626.32)
11/24/2017	Cash Dividend	RY	ROYAL BANK OF CANADA F	\$2,505.26
12/1/2017	Cash Dividend	PSX	PHILLIPS 66	\$1,400.00
12/1/2017	Cash Dividend	PFE	PFIZER INCORPORATED	\$640.00
12/1/2017	Cash Dividend	INTC	INTEL CORPORATION	\$2,452.50
12/1/2017	Cash Dividend	COP	CONOCOPHILLIPS	\$1,139.50
12/1/2017	Cash Dividend	AFL	AFLAC INC	\$1,350.00
12/8/2017	Long Term Cap Gain Reinvest	SWDSX	SCHWAB DIVIDEND EQUITY FUND	\$107,552.70
12/8/2017	Cash Dividend	SWDSX	SCHWAB DIVIDEND EQUITY FUND	\$16,606.31
12/8/2017	Cash Dividend	HON	HONEYWELL INTL INC	\$745.00
12/8/2017	Short Term Cap Gain Reinvest	SWDSX	SCHWAB DIVIDEND EQUITY FUND	\$55,700.81
12/11/2017	Long Term Cap Gain Reinvest	COFRX	COLUMBIA CONTRARIAN CORE FD CL INST. 2	\$54,763.29
12/11/2017	Cash Dividend	COFRX	COLUMBIA CONTRARIAN CORE FD CL INST 2	\$12,421.88
12/11/2017	Cash Dividend	MPC	MARATHON PETE CORP	\$800.00
12/11/2017	Short Term Cap Gain Reinvest	COFRX	COLUMBIA CONTRARIAN CORE FD CL INST 2	\$3,430.29
12/11/2017	Cash Dividend	XOM	EXXON MOBIL CORP	\$2,464.00
12/12/2017	Long Term Cap Gain Reinvest	ACIIX	AMERICAN CENTURY-EQUITY-INCOME CL I	\$217,683.44
12/12/2017	Cash Dividend	VLO	VALERO ENERGY CORP	\$1,540.00
12/12/2017	Cash Dividend	JNJ	JOHNSON & JOHNSON	\$2,520.00
12/12/2017	Short Term Cap Gain Reinvest	ACIIX	AMERICAN CENTURY EQUITY INCOME CL I	\$74,098.78
12/13/2017	Long Term Cap Gain Reinvest	SGIIX	FIRST-EAGLE GLOBAL FUND CL I	\$51,442.45
12/13/2017	Cash Dividend	SGIIX	FIRST EAGLE GLOBAL FUND CL I	\$15,718.53

Part IV
Capital Gains

12/13/2017	Short Term Cap Gain Reinvest	SGIIX	FIRST EAGLE GLOBAL FUND CL I	\$2,104.46
12/14/2017	Long Term Cap Gain Reinvest	OAKMX	OAKMARK FUND INV	\$83,297.59
12/14/2017	Cash Dividend	OAKMX	OAKMARK FUND INV	\$10,900.94
12/14/2017	Cash Dividend	MSFT	MICROSOFT CORP	\$2,100.00
12/15/2017	Cash Dividend	AGCO	A G C CORP	\$280.00
12/18/2017	Cash Dividend	DUK	DUKE ENERGY CORP	\$2,937.00
12/20/2017	Long Term Cap Gain Reinvest	FUNFX	AMERICAN FD FUNDAMENTAL INV FD CL F3	\$19,354.37
12/20/2017	Cash Dividend	FUNFX	AMERICAN FD FUNDAMENTAL INV FD CL F3	\$2,918.32
12/22/2017	Cash Dividend	VYMI	VANGUARD INTERNATNL HGH DIV YLD ETF	\$6,900.15
12/26/2017	Cash Dividend	ACIIX	AMERICAN CENTURY EQUITY INCOME CL I	\$19,769.20
12/26/2017	Cash Dividend	WMB	WILLIAMS COMPANIES	\$1,200.00
12/26/2017	Cash Dividend	XLI	SELECT SECTOR INDUSTRIALSPDR ETF	\$4,700.03
12/26/2017	Cash Dividend	XLP	SPDR FUND CONSUMER STAPLES ETF	\$5,701.62
12/26/2017	Cash Dividend	XLB	SPDR FUND MATERIALS SELECT SECTR ETF	\$4,174.32
12/27/2017	Cash Dividend	VYM	VANGUARD HIGH DIVIDEND YIELD ETF	\$14,148.20
12/28/2017	Cash Dividend	KXI	ISHARES GLOBAL CONSUMER STAP ETF	\$8,916.21
12/28/2017	Cash Dividend	IBB	ISHARES NASDAQ BIOTECHNOLOGY ETF	\$827.90
12/29/2017	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$240.17
12/29/2017	Cash Dividend	DFF	WISDOMTREE EUROPE SMLCP DIVIDEND ETF	\$1,204.20
12/29/2017	Cash Dividend	RPG	GUGGENHEIM S&P 500 PURE GROWTH ETF	\$1,265.02
12/29/2017	Cash Dividend	RSP	GUGGENHEIM S&P 500 EQUALWEIGHT ETF	\$1,374.90
12/29/2017	Cash Dividend	TDIV	FIRST TR NASDAQ TECH DIVIDX ETF	\$1,706.07
1/2/2018	Cash Dividend	WMT	WAL-MART STORES INC	\$969.00
1/16/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$105.01
1/19/2018	Cash Dividend	CB	CHUBB LTD F	\$1,420.00
1/24/2018	Cash Dividend	CSCO	CISCO SYSTEMS INC	\$1,450.00
1/25/2018	Cash Dividend	GE	GENERAL ELECTRIC CO	\$600.00
1/29/2018	Cash Dividend	CPB	CAMPBELL SOUP CO	\$2,100.00
2/1/2018	Cash Dividend	VZ	VERIZON COMMUNICATN	\$3,245.00
2/1/2018	Cash Dividend	GIS	GENERAL MILLS INC	\$1,470.00
2/1/2018	Cash Dividend	DE	DEERE & CO	\$1,200.00
2/1/2018	Cash Dividend	T	A T & T INC	\$2,000.00
2/9/2018	Cash Dividend	NUE	NUCOR CORP	\$380.00
2/15/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$209.49

2/15/2018	Cash Dividend	PG	PROCTER & GAMBLE	\$2,068.80
2/20/2018	Cash Dividend	CAT	CATERPILLAR INC	\$1,560.00
2/23/2018	Foreign Tax Paid	RY	ROYAL BANK OF CANADA F	(\$628.44)
2/23/2018	Cash Dividend	RY	ROYAL BANK OF CANADA F	\$2,513.74
3/1/2018	Cash Dividend	PSX	PHILLIPS 66	\$1,400.00
3/1/2018	Cash Dividend	PFE	PFIZER INCORPORATED	\$680.00
3/1/2018	Cash Dividend	INTC	INTEL CORPORATION	\$2,700.00
3/1/2018	Cash Dividend	COP	CONOCOPHILLIPS	\$1,225.50
3/1/2018	Cash Dividend	AFL	AFLAC INC	\$1,560.00
3/6/2018	Cash Dividend	VLO	VALERO ENERGY CORP	\$1,760.00
3/8/2018	Cash Dividend	MSFT	MICROSOFT CORP	\$2,100.00
3/9/2018	Cash Dividend	HON	HONEYWELL INTL INC	\$745.00
3/9/2018	Cash Dividend	XOM	EXXON MOBIL CORP	\$2,464.00
3/12/2018	Cash Dividend	MPC	MARATHON PETE CORP	\$920.00
3/13/2018	Cash Dividend	JNJ	JOHNSON & JOHNSON	\$2,520.00
3/15/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$235.76
3/15/2018	Cash Dividend	AGCO	A G C O CORP	\$300.00
3/16/2018	Cash Dividend	FUNFX	AMERICAN FD FUNDAMENTAL INV FD CL F3	\$1,281.29
3/16/2018	Cash Dividend	DUK	DUKE ENERGY CORP	\$2,937.00
3/20/2018	Cash Dividend	ACIIX	AMERICAN CENTURY EQUITY INCOME CL I	\$11,906.20
3/21/2018	Cash Dividend	XLI	SELECT SECTOR INDUSTRIALSPDR ETF	\$3,595.13
3/21/2018	Cash Dividend	XLP	SPDR FUND CONSUMER STAPLES ETF	\$4,075.22
3/21/2018	Cash Dividend	XLB	SPDR FUND MATERIALS SELECT SECTR ETF	\$3,276.75
3/23/2018	Cash Dividend	DFE	WISDOMTREE EUROPE SMLCP DIVIDEND ETF	\$380.92
3/26/2018	Cash Dividend	WMB	WILLIAMS COMPANIES	\$1,360.00
3/29/2018	Cash Dividend	TDIV	FIRST TR NASDAQ TECH DIVIDX ETF	\$1,881.81
3/29/2018	Cash Dividend	SWDSX	SCHWAB DIVIDEND EQUITY FUND	\$5,966.24
3/29/2018	Cash Dividend	VYMI	VANGUARD INTERNATNL HGH DIV YLD ETF	\$5,557.64
3/29/2018	Cash Dividend	VYM	VANGUARD HIGH DIVIDEND YIELD ETF	\$13,384.80
3/29/2018	Cash Dividend	RPG	GUGGENHEIM S&P 500 PURE GROWTH ETF	\$1,423.31
3/29/2018	Cash Dividend	RSP	GUGGENHEIM S&P 500 EQUALWEIGHT ETF	\$1,285.50
4/2/2018	Cash Dividend	WMT	WAL-MART STORES	\$988.00
4/16/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$380.89
4/20/2018	Cash Dividend	CB	CHUBB LTD F	\$1,420.00

4/25/2018	Cash Dividend	GE	GENERAL ELECTRIC CO	\$600.00
4/25/2018	Cash Dividend	CSCO	CISCO SYSTEMS INC	\$1,650.00
4/30/2018	Cash Dividend	CPB	CAMPBELL SOUP CO	\$2,100.00
5/1/2018	Cash Dividend	VZ	VERIZON COMMUNICATN	\$3,245.00
5/1/2018	Cash Dividend	GIS	GENERAL MILLS INC	\$1,470.00
5/1/2018	Cash Dividend	DE	DEERE & CO	\$1,200.00
5/1/2018	Cash Dividend	T	A T & T INC	\$2,000.00
5/11/2018	Cash Dividend	NUE	NUCOR CORP	\$380.00
5/15/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$362.03
5/15/2018	Cash Dividend	PG	PROCTER & GAMBLE	\$2,151.60
5/19/2018	Cash Dividend	CAT	CATERPILLAR INC	\$1,560.00
5/24/2018	Foreign Tax Paid	RY	ROYAL BANK OF CANADA F	(\$637.10)
5/24/2018	Cash Dividend	RY	ROYAL BANK OF CANADA F	\$2,548.41
6/1/2018	Cash Dividend	PSX	PHILLIPS 66	\$1,600.00
6/1/2018	Cash Dividend	PFE	PFIZER INC	\$680.00
6/1/2018	Cash Dividend	INTC	INTEL CORP	\$2,700.00
6/1/2018	Cash Dividend	COP	CONOCOPHILLIPS	\$1,225.50
6/1/2018	Cash Dividend	AFL	AFLAC INC	\$1,560.00
6/4/2018	Cash Dividend	WMT	WAL-MART STORES	\$988.00
6/5/2018	Cash Dividend	VLO	VALERO ENERGY CORP	\$1,760.00
6/8/2018	Cash Dividend	HON	HONEYWELL INTL INC	\$745.00
6/11/2018	Cash Dividend	MPC	MARATHON PETE CORP	\$920.00
6/11/2018	Cash Dividend	XOM	EXXON MOBIL CORP	\$2,624.00
6/12/2018	Cash Dividend	JNJ	JOHNSON & JOHNSON	\$2,700.00
6/14/2018	Cash Dividend	MSFT	MICROSOFT CORP	\$2,100.00
6/15/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$420.23
6/15/2018	Long Term Cap Gain Reinvest	FUNEX	AMERICAN-FD-FUNDAMENTAL INV FD CL F3	\$3,365.24
6/15/2018	Cash Dividend	FUNFX	AMERICAN FD FUNDAMENTAL INV FD CL F3	\$1,281.57
6/15/2018	Cash Dividend	AGCO	A G O CORP	\$300.00
6/18/2018	Cash Dividend	DUK	DUKE ENERGY CORP	\$2,937.00
6/19/2018	Cash Dividend	ACIX	AMERICAN CENTURY EQUITY INCOME CL I	\$20,039.17
6/20/2018	Cash Dividend	XLI	SELECT SECTOR INDUSTRIALSPDR ETF	\$3,529.22
6/20/2018	Cash Dividend	XLP	SPDR FUND CONSUMER STAPLES ETF	\$5,375.57
6/20/2018	Cash Dividend	XLB	SPDR FUND MATERIALS SELECT SECTR ETF	\$4,057.71

6/25/2018	Cash Dividend	WMB	WILLIAMS COMPANIES	\$1,360.00
6/25/2018	Cash Dividend	KXI	ISHARES GLOBAL CONSUMER STAP ETF	\$10,041.20
6/27/2018	Cash Dividend	VYMI	VANGUARD INTERNATNL HGH DIV YLD ETF	\$13,784.30
6/27/2018	Cash Dividend	VYM	VANGUARD HIGH DIVIDEND YIELD ETF	\$13,864.40
6/28/2018	Cash Dividend	DFE	WISDOMTREE EUROPE SMLCP DIVIDEND ETF	\$7,220.56
6/29/2018	Cash Dividend	SWDSX	SCHWAB DIVIDEND EQUITY FUND	\$6,436.74
6/29/2018	Cash Dividend	RPG	INVECO S&P 500 PURE GROWTH ETF	\$1,083.11
6/29/2018	Cash Dividend	RSP	INVECO S&P 500 EQUAL WEIGHT ETF	\$1,207.14
6/29/2018	Cash Dividend	TDIV	FIRST TR NASDAQ TECH DIVIDX ETF	\$2,146.29
7/2/2018	Cash Dividend	IBB	ISHARES NASDAQ BIOTECHNOLOGY ETF	\$1,030.00
7/13/2018	Cash Dividend	CB	CHUBB LTD F	\$1,460.00
7/16/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$462.83
7/25/2018	Cash Dividend	GE	GENERAL ELECTRIC CO	\$600.00
7/25/2018	Cash Dividend	CSCO	CISCO SYSTEMS INC	\$1,650.00
7/30/2018	Cash Dividend	CPB	CAMPBELL SOUP CO	\$2,100.00
8/1/2018	Cash Dividend	VZ	VERIZON COMMUNICATN	\$3,245.00
8/1/2018	Cash Dividend	GIS	GENERAL MILLS INC	\$1,470.00
8/1/2018	Cash Dividend	DE	DEERE & CO	\$1,380.00
8/1/2018	Cash Dividend	T	A T & T INC	\$2,000.00
8/10/2018	Cash Dividend	NUE	NUCOR CORP	\$380.00
8/15/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$524.01
8/15/2018	Cash Dividend	PG	PROCTER & GAMBLE	\$2,151.60
8/20/2018	Cash Dividend	CAT	CATERPILLAR INC	\$1,720.00
8/24/2018	Foreign Tax Paid	RY	ROYAL BANK OF CANADA F	(\$631.04)
8/24/2018	Cash Dividend	RY	ROYAL BANK OF CANADA F	\$2,524.16
9/1/2018	Cash Dividend	INTC	INTEL CORP	\$2,700.00
9/1/2018	Cash Dividend	AFL	AFLAC INC	\$1,560.00
9/4/2018	Cash Dividend	WMT	WAL-MART STORES	\$988.00
9/4/2018	Cash Dividend	PSX	PHILLIPS 66	\$1,600.00
9/4/2018	Cash Dividend	PFE	PFIZER INC	\$680.00
9/4/2018	Cash Dividend	COP	CONOCOPHILLIPS	\$1,225.50
9/5/2018	Cash Dividend	VLO	VALERO ENERGY CORP	\$1,760.00
9/7/2018	Cash Dividend	HON	HONEYWELL INTL INC	\$745.00
9/10/2018	Cash Dividend	MPC	MARATHON PETE CORP	\$920.00

9/10/2018	Cash Dividend	XOM	EXXON MOBIL CORP	\$2,624.00
9/11/2018	Cash Dividend	JNJ	JOHNSON & JOHNSON	\$2,700.00
9/13/2018	Cash Dividend	MSFT	MICROSOFT CORP	\$2,100.00
9/14/2018	Cash Dividend	FUNFX	AMERICAN FD FUNDAMENTAL INV FD CL F3	\$1,343.07
9/14/2018	Cash Dividend	AGCO	A G C O CORP	\$300.00
9/17/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$621.79
9/17/2018	Cash Dividend	DUK	DUKE ENERGY CORP	\$3,060.75
9/18/2018	Cash Dividend	ACIX	AMERICAN CENTURY EQUITY INCOME CL I	\$16,750.36
9/24/2018	Cash Dividend	WMB	WILLIAMS COMPANIES	\$1,360.00
9/26/2018	Cash Dividend	XLI	SELECT SECTOR INDUSTRIALSPDR ETF	\$4,490.86
9/26/2018	Cash Dividend	XLP	SPDR FUND CONSUMER STAPLES ETF	\$5,302.89
9/26/2018	Cash Dividend	XLB	SPDR FUND MATERIALS SELECT SECTR ETF	\$4,187.72
9/28/2018	Cash Dividend	TDIV	FIRST TR NASDAQ TECH DIVIDX ETF	\$1,813.08
9/28/2018	Cash Dividend	SWDSX	SCHWAB DIVIDEND EQUITY FUND	\$7,643.00
9/28/2018	Cash Dividend	DFE	WISDOMTREE EUROPE SMLCP DIVIDEND ETF	\$1,695.16
9/28/2018	Cash Dividend	RPG	INVECO S&P 500 PURE GROWTH ETF	\$1,760.47
9/28/2018	Cash Dividend	RSP	INVECO S&P 500 EQUAL WEIGHT ETF	\$1,457.76
10/1/2018	Cash Dividend	VYMI	VANGUARD INTERNATNL HGH DIV YLD ETF	\$8,402.65
10/1/2018	Cash Dividend	VYM	VANGUARD HIGH DIVIDEND YIELD ETF	\$14,779.60
10/2/2018	Cash Dividend	IBB	ISHARES NASDAQ BIOTECHNOLOGY ETF	\$213.67
10/12/2018	Cash Dividend	CB	CHUBB LTD F	\$1,460.00
10/15/2018	Interest (Money Fund Dividend)	SWUXX	SCHWAB US TREAS MONEY FD	\$604.94
10/24/2018	Cash Dividend	CSCO	CISCO SYSTEMS INC	\$1,650.00
10/25/2018	Cash Dividend	GE	GENERAL ELECTRIC CO	\$600.00
10/29/2018	Cash Dividend	CPB	CAMPBELL SOUP CO	\$2,100.00