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Extended to November 15, 2019

Form **990-PF** C&E 996

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

2018

Open to Public Inspection

For calendar year 2018 or tax year beginning , and ending

Name of foundation: RUTH A CARVER FOUNDATION

A Employer identification number: 47-5169797

Number and street (or P O box number if mail is not delivered to street address): 116 S ASPEN STREET — Room/suite:

B Telephone number: 563-299-4567

City or town, state or province, country, and ZIP or foreign postal code: ASPEN, CO 81611

C If exemption application is pending, check here ▶ ☐ 6

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 04

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

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶$ 4299226.

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			N/A	
	2 Check ▶ ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	42530.	42530.		Statement 1
	4 Dividends and interest from securities	84591.	84591.		Statement 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	80808.			
	b Gross sales price for all assets on line 6a 1220852.				
	7 Capital gain net income (from Part IV, line 2)		80808.		
	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	207929.	207929.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees Stmt 3	5725.	5725.		0.
	b Accounting fees				
	c Other professional fees Stmt 4	38258.	38258.		0.
	17 Interest				
	18 Taxes Stmt 5	5046.	2946.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses				
	24 **Total operating and administrative expenses.** Add lines 13 through 23	49029.	46929.		0.
	25 Contributions, gifts, grants paid	163609.			163609.
	26 **Total expenses and disbursements.** Add lines 24 and 25	212638.	46929.		163609.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-4709.			
	b **Net investment income** (if negative, enter -0-)		161000.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	195400.	268115.	268115.
	2 Savings and temporary cash investments			
	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 ▶	2130.	0.	0.
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations Stmt 8	86258.	89168.	88188.
	b Investments - corporate stock Stmt 9	2418728.	2371482.	2698625.
	c Investments - corporate bonds Stmt 10	1102846.	1110504.	1087242.
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other Stmt 11	215626.	184432.	157056.
	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)	4020988.	4023701.	4299226.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26, and lines 30 and 31.**			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31			
	27 Capital stock, trust principal, or current funds	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	4020988.	4023701.	
	30 **Total net assets or fund balances**	4020988.	4023701.	
	31 **Total liabilities and net assets/fund balances**	4020988.	4023701.	

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	4020988.
2	Enter amount from Part I, line 27a	2	-4709.
3	Other increases not included in line 2 (itemize) ▶ See Statement 6	3	11200.
4	Add lines 1, 2, and 3	4	4027479.
5	Decreases not included in line 2 (itemize) ▶ See Statement 7	5	3778.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	4023701.

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				
b	See Attached Statement			
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))
a				
b				
c				
d				
e	1220852.		1140044.	80808.

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

	(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				
b				
c				
d				
e				80808.

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 — 80808.

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))
2017	358825.	4397068.	.081606
2016	83994.	4600133.	.018259
2015			
2014			
2013			

2	Total of line 1, column (d)	2	.099865
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	.049933
4	Enter the net value of noncharitable-use assets for 2018 from Part X, line 5	4	4666099.
5	Multiply line 4 by line 3	5	232992.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	1610.
7	Add lines 5 and 6	7	234602.
8	Enter qualifying distributions from Part XII, line 4	8	163609.

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 IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	Capital Gain Distributions 4545	P	Various	12/31/18
b	100000 ENERGY TRANSFER PARTNERS NOTE	P	08/23/17	06/15/18
c	100000 AGCO CORP SENIOR DEBT	P	03/29/17	05/08/18
d	1500 ARMOUR 7.875% REIT	P	02/08/13	03/27/18
e	100000 ICAHN ENTERPRISES	P	07/15/14	01/16/18
f	1500 KAYNE ANDERSON	P	02/20/14	01/24/18
g	500 KAYNE ANDERSON	P	10/13/14	01/24/18
h	SEE STATEMENT D-1	P	Various	12/31/18
i	SEE STATEMENT D-1	P	Various	12/31/18
j	VIA GSOCS II FEEDER HOLDINGS	P	Various	12/31/18
k				
l				
m				
n				
o				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	377.			377.
b	100000.		100000.	0.
c	107750.		107426.	324.
d	36690.		37500.	-810.
e	100000.		100000.	0.
f	29786.		49319.	-19533.
g	9929.		16260.	-6331.
h	146496.		170601.	-24105.
i	673821.		558938.	114883.
j	16003.			16003.
k				
l				
m				
n				
o				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				377.
b				0.
c				324.
d				-810.
e				0.
f				-19533.
g				-6331.
h				-24105.
i				114883.
j				16003.
k				
l				
m				
n				
o				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	80808.
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 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	3220.
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	3220.
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	3220.
6	Credits/Payments:			
a	2018 estimated tax payments and 2017 overpayment credited to 2018	6a 2894.		
b	Exempt foreign organizations - tax withheld at source	6b 0.		
c	Tax paid with application for extension of time to file (Form 8868)	6c 1000.		
d	Backup withholding erroneously withheld	6d 0.		
7	Total credits and payments. Add lines 6a through 6d		7	3894.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ 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	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶		10	674.
11	Enter the amount of line 10 to be: **Credited to 2019 estimated tax** ▶ 674. **Refunded** ▶		11	0.

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition	1b		X
	If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ 0. **(2)** On foundation managers. ▶ $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? 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. ▶ CO			
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 2018 or the tax year beginning in 2018? See the instructions for Part XIV. If "Yes," complete Part XIV	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
	Website address ▶ N/A			
14	The books are in care of ▶ RUTH A. CARVER Telephone no. ▶ 563-299-4567			
	Located at ▶ 116 S ASPEN STREET, ASPEN, CO ZIP+4 ▶ 81611			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A			
16	At any time during calendar year 2018, 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 2018?	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 2018, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2018? ☐ 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 2018 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 2018.) 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 2018?	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		
8 Is the foundation subject to the section 4960 tax on payment(s) of more than $1,000,000 in remuneration or excess parachute payment(s) during the year?	☐ Yes ☒ No			

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
RUTH A CARVER 116 S. ASPEN STREET ASPEN, CO 81611	PRESIDENT 2.00	0.	0.	0.

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

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

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

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

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

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

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments

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

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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	4525879.
b	Average of monthly cash balances	1b	211277.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	4737156.
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	4737156.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	71057.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	4666099.
6	**Minimum investment return** Enter 5% of line 5	6	233305.

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	233305.
2a	Tax on investment income for 2018 from Part VI, line 5 — 2a: 3220.		
b	Income tax for 2018. (This does not include the tax from Part VI.) — 2b:		
c	Add lines 2a and 2b	2c	3220.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	230085.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	230085.
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	230085.

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	163609.
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	163609.
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	163609.

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 2017	(c) 2017	(d) 2018
1 Distributable amount for 2018 from Part XI, line 7				230085.
2 Undistributed income, if any, as of the end of 2018				
a Enter amount for 2017 only			4425.	
b Total for prior years: ______ , ______ , ______		0.		
3 Excess distributions carryover, if any, to 2018:				
a From 2013				
b From 2014				
c From 2015				
d From 2016				
e From 2017				
f **Total** of lines 3a through e	0.			
4 Qualifying distributions for 2018 from Part XII, line 4: ▶ $ 163609.				
a Applied to 2017, but not more than line 2a			4425.	
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 2018 distributable amount				159184.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2018 (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 2017. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2018. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2019				70901.
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 2013 not applied on line 5 or line 7	0.			
9 **Excess distributions carryover to 2019.** Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2014				
b Excess from 2015				
c Excess from 2016				
d Excess from 2017				
e Excess from 2018				

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 2018, 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) 2018	(b) 2017	(c) 2016	(d) 2015	(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).)

RUTH A CARVER

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

None

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

Check here ▶ [X] if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc., to individuals or organizations under other conditions, complete items 2a, b, c, and d.

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

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

c Any submission deadlines:

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

Part XV Supplementary Information *(continued)*

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ASPEN CENTER FOR ENVIRONMENTAL STUDIES (2) 100 PUPPY SMITH STREET ASPEN, CO 81611	N/A	501(C)(3)	ENVIRONMENTAL	8000.
ASPEN COMMUNITY CHURCH 200 EAST BLEEKER STREET ASPEN, CO 81611	N/A	501(C)(3)	RELIGIOUS	16600.
ASPEN FILM FESTIVAL 113 EAST HALLAM SUITE 103 ASPEN, CO 81611	N/A	501(C)(3)	EDUCATIONAL	925.
ASPEN HISTORICAL SOCIETY (2) 620 WEST BLEEKER STREET ASPEN, CO 81611	N/A	501(C)(3)	EDUCATIONAL	6500.
ASPEN HOPE 1460 E. VALLEY ROAD BASALT, CO 81621	N/A	501(C)(3)	EDUCATIONAL	100.
Total See continuation sheet(s)			▶ 3a	163609.
b Approved for future payment None				
Total			▶ 3b	0.

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
ASPEN INSTITUTE SOCIETY OF FELLOWS (PRESIDENT'S SOCIETY & ASPEN LEAF) (2) ONE DUPONT CIRCLE NW WASHINGTON, DC 20036	N/A	501(C)(3)	GENERAL	15000.
ASPEN INSTITUTE (ASPEN WORDS) ONE DUPONT CIRCLE NW WASHINGTON, DC 20036	N/A	501(C)(3)	EDUCATIONAL	2500.
ASPEN MUSIC FESTIVAL AND SCHOOL (ANNUAL FUND) 225 MUSIC SCHOOL ROAD ASPEN, CO 81611	N/A	501(C)(3)	EDUCATIONAL	35000.
ASPEN MUSICAL FESTIVAL AND SCHOOL OPERA,ARTISTS,WINTER, & SCHOLARSHIP (4) 225 MUSIC SCHOOL ROAD ASPEN, CO 81611	N/A	501(C)(3)	EDUCATIONAL	3900.
ASPEN SANTA FE BALLET (3) 0245 SAGE WAY ASPEN, CO 81611	N/A	501(C)(3)	GENERAL	25700.
ASPEN SANTA FE BALLET-DANCING WITH STARS BENEFIT 0245 SAGE WAY ASPEN, CO 81611	N/A	501(C)(3)	GENERAL GENERAL	6750.
BUDDY PROGRAM 110 E. HALLAM STREET STE 125 ASPEN, CO 81611	N/A	501(C)(3)	EDUCATIONAL	1000.
COLORADO ROCKY MOUNTAIN SCHOOL 500 HOLDEN WAY CARBONDALE, CO 81623	N/A	501(C)(3)	EDUCATIONAL	1000.
CORNELL COLLEGE 600 FIRST STREET SW MOUNT VERNON, IA 52314	N/A	501(C)(3)	EDUCATIONAL	10000.
DOCTORS WITHOUT BORDERS 40 RECTOR STREET 16TH FLOOR NEW YORK, NY 10006	N/A	501(C)(3)	MEDICAL	100.
Total from continuation sheets				131484.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	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	42530.	
4 Dividends and interest from securities			14	84591.	
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	80808.	
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.		207929.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 207929.

(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

Ruth A Carver — 11/6/19 — -

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
John R Anderson	John R Anderson	10/29/19		P01360782

Firm's name ▶ John R. Anderson — Firm's EIN ▶

Firm's address ▶ 105 W. Madison Street Suite 1600 Chicago, IL 60602 — Phone no. 312-376-1125

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
ENGLISH IN ACTION P.O. BOX 4856 BASALT, CO 81621	N/A	501(C)(3)	EDUCATIONAL	100.
INDEPENDENCE PASS FOUNDATION P.O. BOX 1700 ASPEN, CO 81612	N/A	501(C)(3)	ENVIRONMENTAL	100.
MOUNTAIN RESCUE ASPEN 37925 HIGHWAY 82 ASPEN, CO 81611	N/A	501(C)(3)	MEDICAL	100.
OVERSEAS PRESS CLUB FOUNDATION 40 WEST 45 STREET NEW YORK, NY 10036	N/A	501(C)(3)	EDUCATIONAL	1000.
PLANNED PARENTHOOD 123 WILLIAM STREET 10TH FLOOR NEW YORK, NY 10038	N/A	501(C)(3)	EDUCATIONAL	500.
FRIENDS OF FLORENCE 4545 W STREET NW WASHINGTON, DC 20007	N/A	501(C)(3)	EDUCATIONAL	1000.
UNIVERSITY OF IOWA CENTER FOR ADVANCEMENT ONE WEST PARK ROAD IOWA CITY, IA 52242	N/A	501(C)(3)	EDUCATIONAL	25000.
JAZZ ASPEN SNOWMASS 110 EAST HALLAM ASPEN, CO 81611	N/A	501(C)(3)	EDUCATIONAL	100.
ANDERSON RANCH ARTS CENTER 5263 OWL CREEK ROAD SNOWMASS VILLAGE, CO 81615	N/A	501(C)(3)		2385.
ASPEN HALL OF FAME P.O. BOX 510 ASPEN, CO 81612	N/A	501(C)(3)		249.
Total from continuation sheets				

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
WELLS FARGO 4545 ACCRUED INTEREST PAID	-2846.	-2846.	
WELLS FARGO 4545 BOND PREMIUM AMORTIZATION	-16439.	-16439.	
WELLS FARGO 4545 TAXABLE INTEREST	57127.	57127.	
WELLS FARGO 4545 U.S. INFLATION BOND OID	2165.	2165.	
WELLS FARGO 4545 U.S. INTEREST	1847.	1847.	
WELLS FARGO 7848	676.	676.	
Total to Part I, line 3	42530.	42530.	

Form 990-PF Dividends and Interest from Securities Statement 2

Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
GCM GROSV. GSOCS II K-1 INT & DIVIDEND	34262.	0.	34262.	34262.	
WELLS FARGO 4545	5461.	0.	5461.	5461.	
WELLS FARGO 7848	44868.	0.	44868.	44868.	
To Part I, line 4	84591.	0.	84591.	84591.	

Form 990-PF Legal Fees Statement 3

Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
NEAL GERBER EISENBERG	1325.	1325.		0.
TAX PREP FEES	4400.	4400.		0.
To Fm 990-PF, Pg 1, ln 16a	5725.	5725.		0.

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
WELLS FARGO FEES 7848	29965.	29965.		0.
GCM GSOCS K-1 EXPENSES	7474.	7474.		0.
WELLS FARGO FEES 7848-ADR FEES	819.	819.		0.
To Form 990-PF, Pg 1, ln 16c	38258.	38258.		0.

Form 990-PF Taxes Statement 5

Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
WELLS FARGO 7848 FOREIGN TAX	2946.	2946.		0.
2018 EXCISE TAX PAYMENTS	1600.	0.		0.
2017 EXTENSION EXCISE TAX PAYMENT	500.	0.		0.
To Form 990-PF, Pg 1, ln 18	5046.	2946.		0.

Form 990-PF Other Increases in Net Assets or Fund Balances Statement 6

Description	Amount
2018 OUTSTANDING CHECKS CASHED IN 2019	11200.
Total to Form 990-PF, Part III, line 3	11200.

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

Description	Amount
2018 BOND DISPOSAL BASIS ADJUSTMENTS	1044.
2018 LOSS ADJUSTMENT JANUARY 2018 KAYNE ANDERSON SALE	2734.
Total to Form 990-PF, Part III, line 5	3778.

Form 990-PF U.S. and State/City Government Obligations Statement 8

Description	U.S. Gov't	Other Gov't	Book Value	Fair Market Value
75000 US TREASURY INDEX NOTE 1/19	X		89168.	88188.
Total U.S. Government Obligations			89168.	88188.
Total State and Municipal Government Obligations				
Total to Form 990-PF, Part II, line 10a			89168.	88188.

Form 990-PF Corporate Stock Statement 9

Description	Book Value	Fair Market Value
MANAGED BROKER ACCOUNT	2314801.	2649155.
1500 GOLUB CAP BDC 8/17 PURCHASE	28610.	24735.
1500 GOLUB CAP BDC 1/18 PURCHASE	28071.	24735.
Total to Form 990-PF, Part II, line 10b	2371482.	2698625.

Form 990-PF Corporate Bonds Statement 10

Description	Book Value	Fair Market Value
50000 ICAHN ENTERPRISES 8/20	50441.	49937.
75000 NETFLIX SR NOTE 2/21	76345.	75938.
75000 ADT CORP 10/21	77728.	76031.
50000 ZIMMER HOLDINGS 11/19	51143.	50582.
50000 NORDSTROM INC 5/20	51218.	50843.

50000 GAP UNSECURED 4/21	52762.	51053.
100000 REPUBLIC NY 5/21	113927.	110590.
100000 KOHLS 11/21	101140.	103045.
100000 JABRIL CIRCUIT NOTE 9/22	103914.	99000.
50000 UNITED RENTALS 1ST LIEN 7/23	51470.	49063.
50000 DAVITA HEALTHCARE 7/24	50296.	46875.
25000 CVS HEALTH COPR 3/21	25188.	24916.
100000 BANK OF NEW YORK MELLON 9/21	101640.	101151.
50000 CITIGROUP UNSECURED 12/21	50207.	49189.
50000 WYNDHAM WORLDWIDE 4.25% 3/22	51076.	47750.
100000 BB&T CORP MED TERM NOTE 3/22	102009.	101279.
Total to Form 990-PF, Part II, line 10c	1110504.	1087242.

Form 990-PF Other Investments Statement 11

Description	Valuation Method	Book Value	Fair Market Value
187 GROSVENOR GSOCS II	FMV	184432.	157056.
Total to Form 990-PF, Part II, line 13		184432.	157056.

2018 Year-End Account Summary

As of Date: 02/15/19

Account Number: 2264-7848

RUTH A CARVER FOUNDATION
116 S ASPEN ST

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Please consult with your Financial Advisor or tax advisor regarding specific questions.

STATEMENT D-1 PG 1 OF 17

Proceeds from Broker and Barter Exchange Transactions

Short Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
ACS ACTIVIDADES DE CONST SERVICIOS S A. CUSIP· 00089H106	0 24800	02/22/2018	02/22/2018	1.71	0 00	0.00	0.00	1.71	Cash in Lieu
	0 30600	07/26/2018	07/26/2018	2.63	0.00	0.00	0.00	2 63	Cash in Lieu
Subtotals	**0.55400**			**$4.34**	**$0.00**	**$0.00**	**$0.00**	**$4.34**	
ARCELORMITTAL LUXEMBOURG NY REGISTRY SHS NEW 2017 CUSIP 03938L203	75.24563	05/04/2017	02/01/2018	2,708.11	1,715.29	0 00	0.00	992.82	
	59 75437	05/05/2017	02/01/2018	2,150 58	1,402.49	0 00	0.00	748.09	
Subtotals	**135.00000**			**$4,858.69**	**$3,117.78**	**$0.00**	**$0.00**	**$1,740.91**	
BAIDU INC ADR CUSIP: 056752108	16.00000	05/02/2017	03/23/2018	3,740 69	2,868.96	0.00	0 00	871.73	
BAYER AG SPONSORED ADR CUSIP: 072730302	317.00000	10/13/2017	08/23/2018	7,544.88	11,112.72	0.00	0 00	-3,567.84	
	131.00000	10/27/2017	08/23/2018	3,117.91	4,252.26	0 00	0.00	-1,134.35	
	65 00000	03/05/2018	08/23/2018	1,547 06	1,895.27	0.00	0.00	-348 21	
	246.00000	06/26/2018	08/23/2018	5,855 03	6,922.14	0 00	0.00	-1,067.11	
Subtotals	**759.00000**			**$18,064.88**	**$24,182.39**	**$0.00**	**$0.00**	**($6,117.51)**	
BRITISH AMERN TOB PLC SPON ADR CUSIP: 110448107	97.00000	10/11/2017	06/26/2018	4,862.69	6,280.27	0 00	0 00	-1,417.58	

WELLS FARGO ADVISORS

2018 Year-End Account Summary

As of Date: 02/15/19

Account Number: 2264-7848

RUTH A CARVER FOUNDATION
116 S ASPEN ST

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STATEMENT D-1 PG 2 OF 17

Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
BROWN-FORMAN CORP CL B CUSIP: 115637209	0.50000	03/01/2018	03/01/2018	27.44	0.00	0 00	0 00	27.44	Cash in Lieu
CANADIAN NATURAL RESOURCES LTD CUSIP: 136385101	72 00000	03/05/2018	10/03/2018	2,363.74	2,239.71	0.00	0.00	124.03	
CARREFOUR SA SPONS ADR CUSIP 144430204	690.00000	08/09/2017	07/13/2018	2,069 08	3,320 48	0.00	0.00	-1,251.40	
CTRIP.COM INTERNATIONAL LTD ADR CUSIP: 22943F100	299.00000	06/28/2018	11/15/2018	7,966 22	14,434.52	0.00	0 00	-6,468.30	
DEUTSCHE BOERSE AG-UNSPO ADR CUSIP: 251542106	275 00000	10/25/2017	03/05/2018	3,651.48	2,901.25	0 00	0 00	750 23	
FAST RETAILING CO LTD ADR CUSIP: 31188H101	46.00000	11/28/2017	04/17/2018	1,994.58	1,709.66	0.00	0 00	284.92	
	349.00000	11/28/2017	09/20/2018	17,635 05	12,971.11	0.00	0.00	4,663.94	
Subtotals	**395.00000**			**$19,629.63**	**$14,680.77**	**$0.00**	**$0.00**	**$4,948.86**	
GOLDMAN SACHS GROUP INC CUSIP· 38141G104	61.00000	10/20/2017	08/21/2018	14,545.90	14,930.97	0.00	0.00	-385 07	
	40.00000	11/29/2017	11/08/2018	9,298.69	9,679.14	0.00	0.00	-380.45	
	26.00000	01/23/2018	11/08/2018	6,044 15	6,755.14	0.00	0.00	-710 99	
Subtotals	**127.00000**			**$29,888.74**	**$31,365.25**	**$0.00**	**$0.00**	**($1,476.51)**	
ELI LILLY & CO CUSIP 532457108	218.00000	06/22/2017	01/16/2018	18,600.67	18,450 00	0.00	0.00	150.67	

2018 Year-End Account Summary

As of Date: 02/15/19

Account Number: 2264-7848

RUTH A CARVER FOUNDATION
116 S ASPEN ST

STATEMENT D-1 PG 3 OF 17

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
MITSUBISHI ESTATE LTD ADR CUSIP: 606783207	182.00000	10/05/2017	06/08/2018	3,267 55	3,191.73	0.00	0 00	75.82	
PANASONIC CORP - ADR CUSIP. 69832A205	153.00000	09/13/2017	05/24/2018	2,132.82	2,196.65	0.00	0.00	-63.83	
	67.00000	09/27/2017	05/24/2018	933 98	954.49	0.00	0.00	-20.51	
	195.00000	09/29/2017	05/24/2018	2,718 31	2,825.63	0.00	0.00	-107 32	
Subtotals	**415.00000**			**$5,785.11**	**$5,976.77**	**$0.00**	**$0.00**	**($191.66)**	
PHILIP MORRIS INTERNATIONAL INC CUSIP: 718172109	38 00000	01/24/2018	10/31/2018	3,363.05	4,207.27	0.00	0 00	-844.22	
	107.00000	01/24/2018	12/24/2018	7,118.11	11,846.77	0 00	0 00	-4,728.66	
	36.00000	06/26/2018	12/24/2018	2,394.89	2,884.38	0.00	0.00	-489.49	
Subtotals	**181.00000**			**$12,876.05**	**$18,938.42**	**$0.00**	**$0.00**	**($6,062.37)**	
RIGHTMOVE PLC UNSPONSORED ADR CUSIP: 76657Y101	0.25000	09/06/2018	09/06/2018	3 16	0.00	0 00	0 00	3.16	Cash in Lieu
TATA MOTORS LIMITED SPONSORED ADR CUSIP: 876568502	117.00000	08/21/2017	05/31/2018	2,426 94	3,409.73	0.00	0.00	-982.79	
DELPHI TECHNOLOGIES PLC CUSIP: G2709G107	266.00000	01/10/2018	10/09/2018	6,408 91	15,242.74	0.00	0.00	-8,833.83	
Totals				**$146,496.01**	**$170,600.77**	**$0.00**	**$0.00**	**($24,104.76)**	

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Proceeds from Broker and Barter Exchange Transactions continued

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Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
AIA GROUP LTD SPONSORED ADR CUSIP: 001317205	125.00000	03/13/2017	12/31/2018	4,116.91	3,159 54	0.00	0.00	957.37	
ABAXIS INC CHG CUSIP 002567105	239.00000	05/18/2016	08/01/2018	19,837.00	10,678.52	0.00	0.00	9,158.48	Merger
ABBVIE INC CUSIP: 00287Y109	64.00000	05/18/2016	01/09/2018	6,415.94	3,884.20	0.00	0.00	2,531.74	
	58.00000	05/18/2016	02/21/2018	6,978 51	3,520 05	0.00	0.00	3,458.46	
	250.00000	05/18/2016	07/11/2018	23,826.62	15,172.61	0 00	0.00	8,654.01	
Subtotals	372.00000			$37,221.07	$22,576.86	$0.00	$0.00	$14,644.21	
AIR PRODUCTS & CHEMICALS INC CUSIP: 009158106	19.00000	05/18/2016	07/27/2018	3,065 91	2,474.16	0.00	0.00	591.75	
	6.00000	05/18/2016	08/21/2018	1,000.47	781.32	0.00	0 00	219 15	
	8.00000	05/18/2016	08/31/2018	1,331.37	1,041.75	0.00	0.00	289 62	
Subtotals	33.00000			$5,397.75	$4,297.23	$0.00	$0.00	$1,100.52	
AIRBUS SE ADR CUSIP: 009279100	104 00000	10/13/2016	07/19/2018	3,220 68	1,490.68	0.00	0 00	1,730.00	
AMAZON COM INC CUSIP: 023135106	11.00000	01/10/2017	03/14/2018	17,612.87	8,766.64	0.00	0.00	8,846 23	
AMBEV SA ADR SPONSORED ADR CUSIP: 02319V103	1,063.00000	08/31/2016	06/27/2018	4,989 12	6,270.96	0.00	0 00	-1,281.84	
	982.00000	09/07/2016	06/27/2018	4,608.96	6,083.59	0 00	0.00	-1,474.63	
	278 00000	02/03/2017	06/27/2018	1,304.78	1,527.50	0.00	0.00	-222.72	
Subtotals	2,323.00000			$10,902.86	$13,882.05	$0.00	$0.00	($2,979.19)	

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Proceeds from Broker and Barter Exchange Transactions, continued

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Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
APPLE INC CUSIP: 037833100	61 00000	05/18/2016	08/23/2018	13,203.55	5,800.48	0.00	0.00	7,403.07	
AUTODESK INC CUSIP: 052769106	17.00000	05/18/2016	08/03/2018	2,235.59	984.13	0 00	0 00	1,251.46	
	7.00000	05/18/2016	09/19/2018	1,029.27	405.23	0.00	0.00	624.04	
	8.00000	05/18/2016	11/16/2018	1,078.69	463.12	0.00	0.00	615.57	
Subtotals	**32.00000**			**$4,343.55**	**$1,852.48**	**$0.00**	**$0.00**	**$2,491.07**	
AUTOHOME INC-ADR CUSIP: 05278C107	59.00000	06/14/2016	03/19/2018	5,056.39	1,505 24	0.00	0.00	3,551.15	
	62.00000	06/14/2016	03/20/2018	5,524.97	1,581.78	0.00	0.00	3,943.19	
	4.00000	06/14/2016	03/21/2018	357.75	102.05	0.00	0.00	255.70	
	31 00000	06/14/2016	05/01/2018	3,024.31	790 89	0.00	0.00	2,233 42	
	3.00000	06/14/2016	05/02/2018	289.19	76 54	0 00	0 00	212.65	
Subtotals	**159.00000**			**$14,252.61**	**$4,056.50**	**$0.00**	**$0.00**	**$10,196.11**	
BHP BILLITON PLC-ADR CUSIP: 05545E209	199.00000	09/09/2016	04/24/2018	8,518.29	5,363.33	0.00	0.00	3,154.96	
BAIDU INC ADR CUSIP 056752108	29 00000	05/02/2017	08/07/2018	6,551.02	5,199.99	0.00	0.00	1,351.03	
BANCO BILBAO VIZCAYA ARGENTARIA, S A. ADR CUSIP: 05946K101	919 00000	05/18/2016	02/20/2018	7,938.13	5,863.12	0.00	0.00	2,075 01	
	649 00000	10/11/2016	02/20/2018	5,605.94	4,040.93	0.00	0.00	1,565.01	
Subtotals	**1,568.00000**			**$13,544.07**	**$9,904.05**	**$0.00**	**$0.00**	**$3,640.02**	
BLACKROCK INC CUSIP: 09247X101	12.00000	12/15/2016	01/23/2018	7,074.86	4,720.92	0.00	0.00	2,353.94	

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information	
BOEING CO CUSIP: 097023105	30.00000	05/18/2016	01/16/2018	10,108.67	3,975.00	0 00	0.00	6,133.67		
	32.00000	05/18/2016	12/10/2018	10,302.82	4,240 00	0 00	0.00	6,062.82		
Subtotals	**62.00000**			**$20,411.49**	**$8,215.00**	**$0.00**	**$0.00**	**$12,196.49**		
BROOKFIELD ASSET MANGMNT CLASS A CUSIP· 112585104	33.00000	05/18/2016	09/19/2018	1,414.67	1,121.49	0.00	0 00	293.18	Ongınal Basis.	1,126.11
	27 00000	05/18/2016	10/08/2018	1,167.26	917 58	0.00	0.00	249.68	Orıgınal Basis.	921.36
	29 00000	05/18/2016	11/16/2018	1,271.39	985.55	0 00	0.00	285.84	Orıgınal Basis.	989 61
Subtotals	**89.00000**			**$3,853.32**	**$3,024.62**	**$0.00**	**$0.00**	**$828.70**		
BROWN-FORMAN CORP CL B CUSIP: 115637209	13.00000	11/23/2016	04/02/2018	690.59	481.22	0.00	0.00	209.37		
CK HUTCHISON ADR HOLDINGS LTD UNSPON CUSIP: 12562Y100	960 00000	05/18/2016	11/15/2018	9,791.87	11,020.80	0.00	0 00	-1,228 93		
	130.00000	07/07/2016	11/15/2018	1,325 99	1,389.49	0 00	0.00	-63.50		
Subtotals	**1,090.00000**			**$11,117.86**	**$12,410.29**	**$0.00**	**$0.00**	**($1,292.43)**		
CANADIAN NATURAL RESOURCES LTD CUSIP: 136385101	407.00000	03/28/2017	10/03/2018	13,361.68	13,043 70	0.00	0.00	317 98		
CARREFOUR SA SPONS ADR CUSIP 144430204	2,265.00000	11/07/2016	07/13/2018	6,791.96	12,127 46	0 00	0 00	-5,335.50		
CELGENE CORP CUSIP: 151020104	82.00000	05/18/2016	01/09/2018	8,639.67	8,344.73	0 00	0.00	294.94		
COLFAX CORP CUSIP: 194014106	20.00000	05/18/2016	12/21/2018	398.52	513.64	0 00	0.00	-115.12		

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Proceeds from Broker and Barter Exchange Transactions, continued

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Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
COSTCO WHSL CORP NEW COM CUSIP: 22160K105	53.00000	05/18/2016	09/11/2018	12,946.35	7,499 94	0 00	0.00	5,446 41	
DBS GROUP HOLDINGS SPON ADR CUSIP: 23304Y100	53.00000	05/23/2016	02/15/2018	4,544.51	2,346 13	0.00	0.00	2,198.38	
DENTSPLY SIRONA INC CUSIP. 24906P109	28.00000	02/17/2017	09/19/2018	1,078.42	1,755 97	0.00	0.00	-677.55	
	6.00000	03/01/2017	09/19/2018	231 09	385.91	0.00	0 00	-154 82	
	10.00000	03/01/2017	10/08/2018	360.34	643.16	0.00	0.00	-282.82	
	19.00000	03/28/2017	10/08/2018	684.66	1,194.06	0.00	0 00	-509.40	
	18.00000	04/05/2017	10/08/2018	648 63	1,128.21	0.00	0.00	-479.58	
	22.00000	04/07/2017	10/08/2018	792.77	1,378.04	0.00	0.00	-585.27	
	14.00000	04/07/2017	10/15/2018	509 20	876 93	0.00	0.00	-367.73	
	35.00000	04/20/2017	10/15/2018	1,273.02	2,199.89	0.00	0 00	-926 87	
	10.00000	05/11/2017	10/15/2018	363 72	623.71	0.00	0.00	-259.99	
	8.00000	06/07/2017	10/15/2018	290.98	508.66	0.00	0 00	-217.68	
	8 00000	07/28/2017	10/15/2018	290 98	500.72	0.00	0.00	-209.74	
	9.00000	09/21/2017	10/15/2018	327.36	525 72	0 00	0 00	-198 36	
Subtotals	**187.00000**			**$6,851.17**	**$11,720.98**	**$0.00**	**$0.00**	**($4,869.81)**	
DOLLAR GENERAL CORP CUSIP. 256677105	8.00000	05/18/2016	12/21/2018	801.97	644.00	0 00	0.00	157.97	
DOLLAR TREE STORES INC CUSIP: 256746108	33.00000	05/18/2016	05/15/2018	3,146 26	2,491.50	0.00	0 00	654.76	
	10.00000	05/18/2016	05/30/2018	961.89	755.00	0.00	0 00	206.89	
	49.00000	05/18/2016	06/22/2018	4,265 23	3,699.50	0.00	0.00	565.73	
	1.00000	05/25/2016	06/22/2018	87.05	78.56	0.00	0.00	8.49	

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
DOLLAR TREE STORES INC CUSIP: 256746108									
Subtotals	**93.00000**			**$8,460.43**	**$7,024.56**	**$0.00**	**$0.00**	**$1,435.87**	
ECOLAB INC CUSIP· 278865100	7.00000	05/18/2016	05/15/2018	1,021 69	819 56	0.00	0 00	202.13	
	6.00000	05/18/2016	06/22/2018	828 00	702.48	0 00	0.00	125.52	
	7.00000	05/18/2016	07/27/2018	986.45	819.56	0.00	0 00	166.89	
	96.00000	05/18/2016	12/17/2018	14,375 85	11,239.68	0 00	0.00	3,136.17	
Subtotals	**116.00000**			**$17,211.99**	**$13,581.28**	**$0.00**	**$0.00**	**$3,630.71**	
FACEBOOK INC CLASS A CUSIP· 30303M102	40.00000	05/18/2016	03/20/2018	6,486.63	4,724.00	0 00	0.00	1,762.63	
	48.00000	05/18/2016	04/24/2018	7,848.66	5,668 80	0.00	0.00	2,179.86	
	48.00000	05/18/2016	10/30/2018	6,783.90	5,668 80	0 00	0.00	1,115.10	
Subtotals	**136.00000**			**$21,119.19**	**$16,061.60**	**$0.00**	**$0.00**	**$5,057.59**	
FIDELITY NATIONAL INFORMATION SVCS CUSIP. 31620M106	9.00000	05/18/2016	03/19/2018	896 82	655.29	0.00	0.00	241.53	
	14.00000	05/18/2016	04/02/2018	1,322.13	1,019.34	0 00	0.00	302.79	
	12.00000	05/18/2016	05/15/2018	1,252.99	873.72	0 00	0.00	379 27	
	7.00000	05/18/2016	05/30/2018	723.61	509.67	0 00	0.00	213.94	
	13.00000	05/18/2016	06/22/2018	1,396 68	946 53	0.00	0.00	450.15	
	15.00000	05/18/2016	07/27/2018	1,611.73	1,092.15	0.00	0.00	519.58	
	12.00000	05/18/2016	08/03/2018	1,245.28	873.72	0.00	0.00	371 56	
Subtotals	**82.00000**			**$8,449.24**	**$5,970.42**	**$0.00**	**$0.00**	**$2,478.82**	
FOREST CITY REALTY TR INC CLASS A CUSIP: 345605109	55.00000	05/18/2016	03/19/2018	1,144 50	1,195.65	0 00	0.00	-51.15	
	45.00000	05/18/2016	04/02/2018	888.58	978 26	0 00	0.00	-89.68	
	9.00000	05/18/2016	04/19/2018	181.80	195 65	0.00	0.00	-13.85	
	15 00000	05/18/2016	04/20/2018	303 07	326 09	0.00	0 00	-23.02	

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)

Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
FOREST CITY REALTY TR INC CLASS A CUSIP: 345605109	72.00000	05/18/2016	09/19/2018	1,809.61	1,565.19	0.00	0 00	244.42	
Subtotals	**196.00000**			**$4,327.56**	**$4,260.84**	**$0.00**	**$0.00**	**$66.72**	
FOX FACTORY HOLDING CORP CUSIP: 35138V102	157.00000	11/30/2016	03/15/2018	5,915.20	3,906 69	0.00	0.00	2,008.51	
	46 00000	11/30/2016	03/16/2018	1,734.51	1,144.63	0.00	0 00	589 88	
	113.00000	03/08/2017	03/16/2018	4,260 87	3,074 78	0.00	0 00	1,186.09	
Subtotals	**316.00000**			**$11,910.58**	**$8,126.10**	**$0.00**	**$0.00**	**$3,784.48**	
GARRETT MOTION INC CUSIP: 366505105	0.16429	05/18/2016	10/01/2018	2.88	2 00	0.00	0 00	0 88	Cash in Lieu
	0.03571	12/06/2016	10/01/2018	0.63	0.44	0.00	0 00	0.19	Cash in Lieu
	20.53571	05/18/2016	10/09/2018	329.88	250.18	0.00	0.00	79.70	
	4.46429	12/06/2016	10/09/2018	71.72	54.55	0.00	0 00	17.17	
Subtotals	**25.20000**			**$405.11**	**$307.17**	**$0.00**	**$0.00**	**$97.94**	
GOLDMAN SACHS GROUP INC CUSIP: 38141G104	24.00000	10/20/2017	11/08/2018	5,579.21	5,874.47	0.00	0.00	-295.26	
INTUIT INC CUSIP: 461202103	11.00000	05/18/2016	05/15/2018	2,090.49	1,130.69	0.00	0.00	959.80	
	13.00000	05/18/2016	05/30/2018	2,614.60	1,336.27	0.00	0.00	1,278.33	
	6.00000	05/18/2016	06/22/2018	1,240.71	616.74	0.00	0.00	623.97	
	9.00000	05/18/2016	07/27/2018	1,910.10	925.11	0.00	0.00	984.99	
Subtotals	**39.00000**			**$7,855.90**	**$4,008.81**	**$0.00**	**$0.00**	**$3,847.09**	
JPMORGAN CHASE & CO CUSIP: 46625H100	193.00000	04/26/2017	12/10/2018	19,513.15	17,121.97	0.00	0.00	2,391.18	

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
KOMATSU LTD SPON ADR NEW CUSIP: 500458401	441.00000	12/22/2016	01/25/2018	16,914.91	10,114 55	0.00	0.00	6,800.36	
LEUCADIA NATIONAL CORP CUSIP: 527288104	14 00000	05/18/2016	02/05/2018	357.89	246.47	0.00	0.00	111.42	
	19.00000	05/18/2016	02/21/2018	481.85	334.50	0 00	0.00	147 35	
	20 00000	05/18/2016	04/02/2018	439.56	352.09	0.00	0.00	87.47	
Subtotals	**53.00000**			**$1,279.30**	**$933.06**	**$0.00**	**$0.00**	**$346.24**	
LIBERTY BROADBAND CORP COM SER C CUSIP: 530307305	21.00000	05/18/2016	05/30/2018	1,464 13	1,201.70	0.00	0.00	262.43	
LIBERTY EXPEDIA HOLDINGS INC SER A CUSIP: 53046P109	14 00000	05/18/2016	11/16/2018	564 68	479.52	0.00	0.00	85.16	
LLOYDS BANKING GROUP PLC ADR CUSIP: 539439109	2,159 00000	10/05/2017	12/18/2018	5,613 55	7,776 72	0.00	0.00	-2,163.17	
LOEWS CORPORATION CUSIP: 540424108	10.00000	05/18/2016	02/05/2018	498.09	402.40	0.00	0.00	95.69	
	11.00000	05/18/2016	02/21/2018	553.74	442.64	0.00	0.00	111.10	
	5.00000	05/18/2016	03/19/2018	254.11	201.20	0.00	0.00	52.91	
	31.00000	05/18/2016	04/02/2018	1,499.23	1,247.44	0.00	0.00	251.79	
	9.00000	05/18/2016	04/19/2018	463 52	362.16	0.00	0.00	101.36	
	21.00000	05/18/2016	04/20/2018	1,084.34	845.04	0.00	0 00	239.30	
	42.00000	05/18/2016	05/15/2018	2,153.43	1,690.08	0.00	0.00	463.35	
	10.00000	05/18/2016	06/22/2018	490 13	402 40	0.00	0.00	87.73	
Subtotals	**139.00000**			**$6,996.59**	**$5,593.36**	**$0.00**	**$0.00**	**$1,403.23**	

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RUTH A CARVER FOUNDATION
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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)

Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information	
M & T BANK CORP CUSIP: 55261F104	7.00000	05/18/2016	03/19/2018	1,317.78	812.14	0.00	0 00	505.64		
	7.00000	05/18/2016	05/15/2018	1,291.35	812.14	0.00	0 00	479 21		
Subtotals	**14.00000**			**$2,609.13**	**$1,624.28**	**$0.00**	**$0.00**	**$984.85**		
MACQUARIE INFRASTRUCTURE CORPORATION CUSIP: 55608B105	15 00000	05/18/2016	04/20/2018	585 73	972 46	0 00	0.00	-386.73	Original Basis·	1,055.85
	51 00000	05/18/2016	05/15/2018	1,924.27	3,288.79	0.00	0.00	-1,364.52	Original Basis:	3,589.89
Subtotals	**66.00000**			**$2,510.00**	**$4,261.25**	**$0.00**	**$0.00**	**($1,751.25)**		
MC CORMICK & CO INC NON VTG CUSIP: 579780206	80 00000	05/18/2016	12/06/2018	11,958.67	7,670.56	0.00	0.00	4,288 11		
MICROCHIP TECHNOLOGY INC CUSIP: 595017104	9.00000	05/18/2016	02/05/2018	831 36	424.84	0.00	0.00	406.52	Original Basis·	437.81
MITSUBISHI ESTATE LTD ADR CUSIP: 606783207	564.00000	05/18/2016	06/08/2018	10,125.81	10,975 44	0.00	0.00	-849.63		
	73.00000	06/27/2016	06/08/2018	1,310.61	1,302.44	0.00	0.00	8.17		
Subtotals	**637.00000**			**$11,436.42**	**$12,277.88**	**$0.00**	**$0.00**	**($841.46)**		
MOHAWK INDS INC CUSIP: 608190104	11 00000	05/18/2016	12/21/2018	1,247.39	2,138.07	0.00	0.00	-890.68		
MOODY'S CORP CUSIP: 615369105	13.00000	05/18/2016	08/03/2018	2,236 89	1,224 47	0.00	0.00	1,012.42		
	7 00000	05/18/2016	08/21/2018	1,204.21	659.33	0.00	0.00	544.88		
	8 00000	05/18/2016	08/31/2018	1,417.83	753 52	0.00	0.00	664.31		
	15.00000	05/18/2016	09/19/2018	2,668.47	1,412.85	0.00	0.00	1,255 62		
	15 00000	05/18/2016	10/08/2018	2,393.75	1,412.85	0.00	0.00	980.90		
	5.00000	05/18/2016	12/21/2018	666.28	470 95	0 00	0 00	195 33		

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Proceeds from Broker and Barter Exchange Transactions, continued

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Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)

Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
MOODY'S CORP CUSIP· 615369105									
Subtotals	63.00000			$10,587.43	$5,933.97	$0.00	$0.00	$4,653.46	
MOTOROLA SOLUTIONS INC COM NEW CUSIP. 620076307	11.00000	05/18/2016	01/12/2018	1,060.48	767.14	0.00	0.00	293.34	
	7 00000	05/18/2016	02/05/2018	728 44	488.18	0.00	0.00	240 26	
Subtotals	18.00000			$1,788.92	$1,255.32	$0.00	$0.00	$533.60	
NETFLIX.COM INC CUSIP· 64110L106	50.00000	01/03/2017	01/30/2018	14,022.58	6,361 56	0.00	0.00	7,661.02	
	24 00000	01/03/2017	06/21/2018	10,007 11	3,053.55	0 00	0 00	6,953.56	
Subtotals	74.00000			$24,029.69	$9,415.11	$0.00	$0.00	$14,614.58	
O'REILLY AUTOMOTIVE INC CUSIP: 67103H107	7.00000	05/18/2016	12/21/2018	2,313.48	1,781 64	0.00	0 00	531 84	
PANASONIC CORP - ADR CUSIP· 69832A205	489.00000	12/06/2016	01/31/2018	7,312.29	5,333.77	0 00	0.00	1,978.52	
	648 00000	12/06/2016	05/24/2018	9,033.13	7,068.06	0.00	0 00	1,965.07	
Subtotals	1,137.00000			$16,345.42	$12,401.83	$0.00	$0.00	$3,943.59	
PROGRESSIVE CORP OHIO CUSIP: 743315103	16.00000	05/18/2016	09/19/2018	1,123.62	517.60	0 00	0 00	606.02	
	11.00000	05/18/2016	10/08/2018	778 66	355 85	0.00	0.00	422.81	
Subtotals	27.00000			$1,902.28	$873.45	$0.00	$0.00	$1,028.83	
REGENERON PHARMACEUTICAL INC CUSIP: 75886F107	19.00000	11/09/2016	02/21/2018	6,031.82	7,956.94	0 00	0 00	-1,925.12	

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
RESIDEO TECHNOLOGIES CUSIP: 76118Y104	34.50000	05/18/2016	11/05/2018	847.42	675 79	0.00	0.00	171.63	
	7.50000	12/06/2016	11/05/2018	184.23	147.37	0.00	0.00	36 86	
Subtotals	**42.00000**			**$1,031.65**	**$823.16**	**$0.00**	**$0.00**	**$208.49**	
ROCKWELL AUTOMATION INC CUSIP: 773903109	60 00000	05/25/2017	12/06/2018	9,857.04	9,522.02	0.00	0.00	335.02	
ROPER TECHNOLOGIES INC CUSIP: 776696106	8.00000	05/18/2016	08/21/2018	2,419 29	1,444.32	0.00	0.00	974.97	
	9.00000	05/18/2016	12/21/2018	2,319 62	1,624.86	0.00	0 00	694.76	
Subtotals	**17.00000**			**$4,738.91**	**$3,069.18**	**$0.00**	**$0.00**	**$1,669.73**	
ROSS STORES INC (CALIF) CUSIP. 778296103	20.00000	05/18/2016	07/27/2018	1,717.34	1,092.19	0.00	0.00	625.15	
	32.00000	05/18/2016	08/03/2018	2,841 87	1,747.49	0.00	0 00	1,094 38	
	15.00000	05/18/2016	08/31/2018	1,430.00	819.14	0.00	0.00	610 86	
	26 00000	05/18/2016	10/08/2018	2,463.29	1,419.83	0.00	0 00	1,043 46	
	33 00000	05/18/2016	11/16/2018	3,142 18	1,802.10	0.00	0.00	1,340.08	
	17.00000	05/18/2016	12/21/2018	1,310.18	928.34	0.00	0 00	381.84	
	7.00000	05/25/2016	12/21/2018	539 49	375.09	0.00	0.00	164.40	
	7.00000	07/28/2017	12/21/2018	539 49	384.30	0.00	0.00	155.19	
Subtotals	**157.00000**			**$13,983.84**	**$8,568.48**	**$0.00**	**$0.00**	**$5,415.36**	
KONINKLIJKE DSM NV-ADR CUSIP: 780249108	114.00000	05/18/2016	01/31/2018	2,945.19	1,691.19	0.00	0.00	1,254 00	
ROYAL KPN N V SPN ADR CUSIP: 780641205	3,594.00000	05/18/2016	04/12/2018	10,731.07	14,327.56	0.00	0.00	-3,596.49	
	107.00000	10/04/2016	04/12/2018	319.48	356.36	0 00	0.00	-36 88	
	583.00000	12/01/2016	04/12/2018	1,740.75	1,667.38	0.00	0.00	73.37	
Subtotals	**4,284.00000**			**$12,791.30**	**$16,351.30**	**$0.00**	**$0.00**	**($3,560.00)**	

WELLS FARGO ADVISORS

2018 Year-End Account Summary

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
S&P GLOBAL INC CUSIP: 78409V104	6.00000	05/18/2016	07/27/2018	1,220.34	643 30	0.00	0.00	577.04	
	9.00000	05/18/2016	08/03/2018	1,778.54	964 95	0.00	0.00	813 59	
	8.00000	05/18/2016	08/31/2018	1,653.94	857 73	0 00	0.00	796 21	
	7.00000	05/18/2016	11/16/2018	1,272.37	750.52	0 00	0.00	521 85	
	10.00000	05/18/2016	12/21/2018	1,621 22	1,072.17	0.00	0 00	549 05	
Subtotals	**40.00000**			**$7,546.41**	**$4,288.67**	**$0.00**	**$0.00**	**$3,257.74**	
SCHLUMBERGER LTD CUSIP: 806857108	74 00000	05/18/2016	06/26/2018	4,831.77	5,461.13	0.00	0 00	-629 36	
	91 00000	05/18/2016	12/17/2018	3,581.15	6,715.71	0.00	0 00	-3,134.56	
	63.00000	08/23/2016	12/17/2018	2,479 26	5,160.81	0.00	0.00	-2,681.55	
	65.00000	05/30/2017	12/17/2018	2,557.98	4,495.81	0.00	0.00	-1,937.83	
Subtotals	**293.00000**			**$13,450.16**	**$21,833.46**	**$0.00**	**$0.00**	**($8,383.30)**	
SECOM LTD ADR CUSIP: 813113206	104.00000	05/18/2016	11/08/2018	2,069.36	2,036.85	0 00	0.00	32 51	
SHERWIN WILLIAMS CO CUSIP: 824348106	5 00000	08/31/2016	08/21/2018	2,235.35	1,426.46	0.00	0.00	808 89	
	1.00000	09/02/2016	08/21/2018	447.07	286.86	0.00	0 00	160.21	
	2.00000	09/16/2016	08/21/2018	894.14	547.38	0 00	0.00	346 76	
	3 00000	09/16/2016	09/19/2018	1,427.11	821.06	0.00	0.00	606.05	
	4.00000	03/28/2017	09/19/2018	1,902.83	1,240.96	0.00	0.00	661.87	
	2.00000	03/28/2017	10/15/2018	805.17	620.47	0.00	0 00	184.70	
	7.00000	08/10/2017	10/15/2018	2,818.13	2,335.25	0.00	0.00	482 88	
Subtotals	**24.00000**			**$10,529.80**	**$7,278.44**	**$0.00**	**$0.00**	**$3,251.36**	

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Proceeds from Broker and Barter Exchange Transactions, continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
STARBUCKS CORP CUSIP: 855244109	205 00000	05/18/2016	03/08/2018	11,786.54	11,296.53	0.00	0.00	490.01	
	298.00000	05/18/2016	06/21/2018	15,104.85	16,421.29	0.00	0.00	-1,316.44	
Subtotals	503.00000			$26,891.39	$27,717.82	$0.00	$0.00	($826.43)	
SUMITOMO MITSUI FINL GROUP INC SPON ADR CUSIP: 86562M209	839 00000	06/07/2017	08/17/2018	6,548.39	6,415.17	0 00	0 00	133 22	
TATA MOTORS LIMITED SPONSORED ADR CUSIP: 876568502	360 00000	03/14/2017	05/31/2018	7,467.48	12,888.04	0.00	0.00	-5,420.56	
VERISIGN INC CUSIP: 92343E102	9.00000	05/18/2016	02/05/2018	1,007.34	755.54	0 00	0 00	251.80	
VERISK ANALYTICS INC CUSIP: 92345Y106	8.00000	05/18/2016	01/12/2018	772 37	613.15	0.00	0.00	159.22	
ALLERGAN PLC CUSIP: G0177J108	134.00000	05/18/2016	05/02/2018	20,530 94	30,801.51	0.00	0.00	-10,270.57	
AON PLC CLASS A CUSIP: G0408V102	10 00000	05/18/2016	05/15/2018	1,412.36	1,058.50	0.00	0.00	353.86	
	14.00000	05/18/2016	05/30/2018	1,965.35	1,481.90	0.00	0.00	483.45	
	21 00000	05/18/2016	06/22/2018	2,879.98	2,222.85	0.00	0 00	657.13	
	6.00000	05/18/2016	07/27/2018	867.33	635.10	0.00	0.00	232.23	
	9.00000	05/18/2016	08/03/2018	1,280.40	952.65	0.00	0.00	327.75	
	7.00000	05/18/2016	08/21/2018	1,003 65	740 95	0.00	0.00	262.70	
	11.00000	05/18/2016	10/08/2018	1,713.39	1,164.35	0.00	0.00	549 04	
	7 00000	05/18/2016	11/16/2018	1,148.71	740.95	0.00	0.00	407.76	
	8.00000	05/18/2016	12/21/2018	1,129.41	846 80	0 00	0.00	282 61	

WELLS FARGO ADVISORS

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Proceeds from Broker and Barter Exchange Transactions continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)

Gross Proceeds

Description CUSIP (Box 1a)		Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
AON PLC CLASS A CUSIP: G0408V102										
	Subtotals	**93.00000**			**$13,400.58**	**$9,844.05**	**$0.00**	**$0.00**	**$3,556.53**	
AXALTA COATING SYSTEMS LTD CUSIP: G0750C108		4.00000	07/19/2016	04/02/2018	120 00	111.08	0 00	0.00	8 92	
		19.00000	07/27/2016	04/02/2018	570.01	547.65	0.00	0.00	22.36	
		11.00000	08/10/2016	04/02/2018	330.02	310.42	0.00	0.00	19 60	
		11.00000	08/10/2016	04/19/2018	346.05	310.42	0 00	0.00	35.63	
	Subtotals	**45.00000**			**$1,366.08**	**$1,279.57**	**$0.00**	**$0.00**	**$86.51**	
DELPHI TECHNOLOGIES PLC CUSIP· G2709G107		75.48123	07/13/2017	10/09/2018	1,818 61	3,519.53	0 00	0.00	-1,700.92	
		21 51877	08/08/2017	10/09/2018	518 46	1,026.48	0 00	0.00	-508.02	
	Subtotals	**97.00000**			**$2,337.07**	**$4,546.01**	**$0.00**	**$0.00**	**($2,208.94)**	
LIBERTY GLOBAL PLC SHS CL A CUSIP: G5480U104		17.00000	05/18/2016	03/19/2018	544.35	544 75	0.00	0.00	-0.40	
APTIV PLC CUSIP: G6095L109		228.00000	07/13/2017	12/20/2018	14,227.37	17,425.11	0.00	0 00	-3,197.74	
		65.00000	08/08/2017	12/20/2018	4,056 05	5,082.11	0 00	0 00	-1,026 06	
	Subtotals	**293.00000**			**$18,283.42**	**$22,507.22**	**$0.00**	**$0.00**	**($4,223.80)**	
WHITE MOUNTAIN INS GRP CUSIP: G9618E107		2.00000	05/18/2016	04/19/2018	1,718.31	1,651.46	0 00	0.00	66.85	
		2.00000	05/18/2016	04/20/2018	1,716 12	1,651.46	0.00	0.00	64.66	
		1.00000	10/14/2016	04/20/2018	858.06	846.97	0.00	0.00	11.09	
		1.00000	10/19/2016	04/20/2018	858.06	837.66	0.00	0.00	20.40	
	Subtotals	**6.00000**			**$5,150.55**	**$4,987.55**	**$0.00**	**$0.00**	**$163.00**	

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STATEMENT

Proceeds from Broker and Barter Exchange Transactions continued

Long Term Gains/Losses (Box 2) For Covered Securities (Box 5)
Gross Proceeds

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
SENSATA TECHNOLOGIES	26 00000	05/18/2016	02/05/2018	1,397.63	899.34	0.00	0.00	498.29	
HLDG BV ALMELO	20.00000	05/18/2016	02/21/2018	1,079.53	691 80	0.00	0.00	387.73	
CUSIP: N7902X106	3.00000	06/30/2016	02/21/2018	161.94	102 77	0.00	0.00	59.17	
	9.00000	06/30/2016	03/19/2018	474.17	308.31	0.00	0.00	165.86	
Subtotals	**58.00000**			**$3,113.27**	**$2,002.22**	**$0.00**	**$0.00**	**$1,111.05**	
Totals				**$673,820.60**	**$558,937.60**	**$0.00**	**$0.00**	**$114,883.00**	

For some tax lots complete data is not available Therefore, you may see N/A in the Proceeds, Gain/Loss or Cost columns In these situations, you should determine the actual cost or proceeds and calculate the Gain/Loss Please note that the totals will include any available cost or proceeds, even if the Gain/Loss is marked N/A