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EXTENDED TO NOVEMBER 15, 2019

Form **990-PF** — **Return of Private Foundation** — OMB No 1545-0052 — **2018**

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.

Department of the Treasury Internal Revenue Service — Open to Public Inspection

For calendar year 2018 or tax year beginning , and ending

Name of foundation: THE BATTEN FOUNDATION

A Employer identification number: 54-1451569

Number and street (or P O box number if mail is not delivered to street address): P.O. BOX 3310 — Room/suite

B Telephone number: (757) 625-7670

City or town, state or province, country, and ZIP or foreign postal code: NORFOLK, VA 23514

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: [X] 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) ▶$ 55,309,746.

J Accounting method: [X] 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	8,000,336.		N/A	
	2 Check ▶ [ ] if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	2,078,294.	1,930,671.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	4,557,199.			
	b Gross sales price for all assets on line 6a 15,419,916.				
	7 Capital gain net income (from Part IV, line 2)		4,557,199.		
	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	-847,054.	-755,619.		STATEMENT 2
	12 Total. Add lines 1 through 11	13,788,775.	5,732,251.		
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	3,095.	3,095.		0.
	b Accounting fees STMT 4	8,000.	8,000.		0.
	c Other professional fees				
	17 Interest				
	18 Taxes STMT 5	229,805.	39,176.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 6	1,266,893.	1,264,968.		0.
	24 Total operating and administrative expenses. Add lines 13 through 23	1,507,793.	1,315,239.		0.
	25 Contributions, gifts, grants paid	15,732,000.			15,732,000.
	26 Total expenses and disbursements. Add lines 24 and 25	17,239,793.	1,315,239.		15,732,000.
	27 Subtract line 26 from line 12.				
	a Excess of revenue over expenses and disbursements	-3,451,018.			
	b Net investment income (if negative, enter -0-)		4,417,012.		
	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	35,587.	3,620.	3,620.
	2 Savings and temporary cash investments	2,621,381.	360,330.	360,330.
	3 Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 8	9,227,899.	6,754,620.	6,257,904.
	c Investments - corporate bonds STMT 9	1,097,730.	795,764.	777,629.
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 10	43,152,588.	42,019,528.	47,910,263.
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶ INVESTMENT IN TRANS)	1,896,710.	0.	0.
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	58,031,895.	49,933,862.	55,309,746.
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 ▶)	1,940.	302,650.	
	23 Total liabilities (add lines 17 through 22)	1,940.	302,650.	
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	58,029,955.	49,631,212.	
	30 Total net assets or fund balances	58,029,955.	49,631,212.	
	31 Total liabilities and net assets/fund balances	58,031,895.	49,933,862.	

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	58,029,955.
2	Enter amount from Part I, line 27a	2	-3,451,018.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	54,578,937.
5	Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 7	5	4,947,725.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	49,631,212.

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

	(a) List and describe the kind(s) of property sold (for example, real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a				
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))
a				
b				
c				
d				
e	15,419,916.		10,862,717.	4,557,199.

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				4,557,199.

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	4,557,199.
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	2,732,009.	59,483,606.	.045929
2016	1,025,003.	41,786,527.	.024530
2015	955,000.	44,393,605.	.021512
2014	685,000.	33,845,733.	.020239
2013	1,405,000.	29,301,027.	.047951

2 Total of line 1, column (d)	2	.160161
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	.032032
4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5	4	63,701,019.
5 Multiply line 4 by line 3	5	2,040,471.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	44,170.
7 Add lines 5 and 6	7	2,084,641.
8 Enter qualifying distributions from Part XII, line 4	8	15,732,000.

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.

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 ▶ ☐ 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	44,170.
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	44,170.
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	44,170.
6 Credits/Payments.			
a 2018 estimated tax payments and 2017 overpayment credited to 2018	6a 136,921.		
b Exempt foreign organizations - tax withheld at source	6b 0.		
c Tax paid with application for extension of time to file (Form 8868)	6c 0.		
d Backup withholding erroneously withheld	6d 0.		
7 Total credits and payments. Add lines 6a through 6d		7	136,921.
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	92,751.
11 Enter the amount of line 10 to be: **Credited to 2019 estimated tax** ▶	92,751. **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?	4b	X	
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. ▶ VA			
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 ▶ EDIE CRAWFORD Telephone no. ▶ 757-625-7670

Located at ▶ 101 W. MAIN STREET, SUITE 700, NORFOLK, VA ZIP+4 ▶ 23510

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

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

			Yes	No
16	At any time during calendar year 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
JANE BATTEN P.O. BOX 3310 NORFOLK, VA 23514	PRESIDENT 2.00	0.	0.	0.
LOUIS RYAN P.O. BOX 3310 NORFOLK, VA 23514	ASST. SEC. 2.00	0.	0.	0.

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

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

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

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

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

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

Part IX-A **Summary of Direct Charitable Activities**

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

Part IX-B **Summary of Program-Related Investments**

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes			
a	Average monthly fair market value of securities		1a	62,651,497.
b	Average of monthly cash balances		1b	2,019,588.
c	Fair market value of all other assets		1c	
d	**Total** (add lines 1a, b, and c)		1d	64,671,085.
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	64,671,085.
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	970,066.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	63,701,019.
6	**Minimum investment return** Enter 5% of line 5		6	3,185,051.

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	3,185,051.
2a	Tax on investment income for 2018 from Part VI, line 5	2a 44,170.		
b	Income tax for 2018. (This does not include the tax from Part VI.)	2b 22,365.		
c	Add lines 2a and 2b		2c	66,535.
3	Distributable amount before adjustments. Subtract line 2c from line 1		3	3,118,516.
4	Recoveries of amounts treated as qualifying distributions		4	0.
5	Add lines 3 and 4		5	3,118,516.
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	3,118,516.

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	15,732,000.
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	15,732,000.
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	44,170.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	15,687,830.

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				3,118,516.
2 Undistributed income, if any, as of the end of 2018				
a Enter amount for 2017 only			0.	
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 ▶ $ 15,732,000.				
a Applied to 2017, 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 2018 distributable amount				3,118,516.
e Remaining amount distributed out of corpus	12,613,484.			
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	12,613,484.			
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				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 2013 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a	12,613,484.			
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 12,613,484.				

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).)

JANE BATTEN

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*				
CHESAPEAKE BAY FOUNDATION 1108 E MAIN STREET, SUITE 1600 RICHMOND, VA 23219		501(C)(3)	FOR GENERAL CHARITABLE PURPOSES.	1,000,000.
U.S. NAVAL ACEDEMY FOUNDATION 291 WOOD ROAD ANNAPOLIS, MD 21402		501(C)(3)	FOR GENERAL CHARITABLE PURPOSES.	1,732,000.
DARDEN SCHOOL BUSINESS 100 DARDEN BLVD CHARLOTTESVILLE, VA 22903		501(C)(3)	FOR GENERAL CHARITABLE PURPOSES.	5,000,000.
UNITED WAY OF SOUTH HAMPTON ROADS 2515 WALMER AVE NORFOLK, VA 23513		501(C)(3)	FOR GENERAL CHARITABLE PURPOSES.	5,000,000.
BATTEN SCHOOL FOUNDATION 235 MCCORMICK RD CHARLOTTESVILLE, VA 22903		501(C)(3)	FOR GENERAL CHARITABLE PURPOSES.	3,000,000.
Total			▶ 3a	15,732,000.
b *Approved for future payment*				
NONE				
Total			▶ 3b	0.

Form **990-PF** (2018)

823611 12-11-18

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	SCHWAB 2219- EXHIBIT A	P		12/31/18
b	SCHWAB 2219- EXHIBIT A	P		12/31/18
c	SCHWAB 2219- EXHIBIT A	P		12/31/18
d	SCHWAB 9107- EXHIBIT B	P		12/31/18
e	SFM CAPITAL MARKETS, LP	P		12/31/18
f	SFM CAPITAL MARKETS, LP	P		12/31/18
g	SFM GLOBAL STRATEGIES QP, LP			12/31/18
h	SFM GLOBAL STRATEGIES QP, LP	P		12/31/18
i	SFM GLOBAL STRATEGIES QP, LP - SECTION 1231 LOSS	P		12/31/18
j	SFM OPPORTUNITIES V, LP	P		12/31/18
k	YIELD POOL II, LP	P		12/31/18
l	HARBOR GROUP BEACON II- SECTION 1231 GAIN	P		12/31/18
m	SFM OPPORTUNITIES V, LP	P		12/31/18
n	SFM OPPORTUNITIES V, LP - SECTION 1231 GAIN	P		12/31/18
o	YIELD POOL II, LP - SECTION 1231 GAIN	P		12/31/18

	(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	284,662.		294,948.	-10,286.
b	670,592.		680,382.	-9,790.
c	481,855.		476,421.	5,434.
d	11,570,660.		8,908,871.	2,661,789.
e			490,806.	-490,806.
f	1,627,788.			1,627,788.
g			739.	-739.
h	468,040.			468,040.
i			251.	-251.
j	78,178.			78,178.
k	2.			2.
l	13,719.			13,719.
m	99.			99.
n	14,387.			14,387.
o	12,479.			12,479.

	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				-10,286.
b				-9,790.
c				5,434.
d				2,661,789.
e				-490,806.
f				1,627,788.
g				-739.
h				468,040.
i				-251.
j				78,178.
k				2.
l				13,719.
m				99.
n				14,387.
o				12,479.

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	
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	

823591
04-01-18

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	SFM OPPORTUNITIES VI, LP	P		12/31/18
b	YIELD POOL II, LP	P		12/31/18
c	UBTI CAPITAL GAIN	P		12/31/18
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				0.
b			10,299.	-10,299.
c	197,455.			197,455.
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				0.
b				-10,299.
c				197,455.
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7; If (loss), enter "-0-" in Part I, line 7 }	2	4,557,199.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	3	N/A

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04-01-18

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	2,078,294.	
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	523000	-463,519.	14	-558,164.	
8 Gain or (loss) from sales of assets other than inventory	523000	197,455.	18	4,359,744.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a EXCISE TAX REFUND			01	111,921.	
b STATE INCOME TAX REFUND			01	9,882.	
c BUSINESS INCOME TAX					
d REFUND			01	52,826.	
e					
12 Subtotal. Add columns (b), (d), and (e)		-266,064.		6,054,503.	0.

13 Total. Add line 12, columns (b), (d), and (e) 13 5,788,439.

(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

Jane P. Batten | Date | DIRECTOR

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
BETH P. BRADBERRY	BETH P. BRADBERRY	11/12/19		P00622198
Firm's name ▶ ROSELINE TAX ADVISORS, PLLC			Firm's EIN ▶ 20-3565336	
Firm's address ▶ 140 VIRGINIA STREET, SUITE 300 RICHMOND, VA 23219			Phone no. 804-545-7440	

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

Schedule of Contributors

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

OMB No 1545-0047

2018

Name of the organization	Employer identification number
THE BATTEN FOUNDATION	54-1451569

Organization type (check one)

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

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

General Rule

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

Special Rules

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

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

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

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

Name of organization	Employer identification number
THE BATTEN FOUNDATION	54-1451569

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	JANE P. BATTEN 8104 OCEAN FRONT AVENUE VIRGINIA BEACH, VA 23451	$ 8,000,336.	Person [X] Payroll [ ] Noncash [X] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)

Name of organization: THE BATTEN FOUNDATION

Employer identification number: 54-1451569

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
1	SEE ATTACHED STATEMENT	$ 5,032,642.	06/13/18
1	SEE ATTACHED STATEMENT	$ 2,967,694.	09/06/18
		$	
		$	
		$	
		$	

Name of organization: THE BATTEN FOUNDATION

Employer identification number: 54-1451569

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

Use duplicate copies of Part III if additional space is needed

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

FORM 990-PF	OTHER DECREASES IN NET ASSETS OR FUND BALANCES	STATEMENT 7

DESCRIPTION	AMOUNT
DIFFERENCE BETWEEN FMV AND COST BASIS OF SECURITIES CONTRIBUTED	2,321,690.
UNREALIZED LOSS ON INVESTMENTS	2,626,035.
TOTAL TO FORM 990-PF, PART III, LINE 5	4,947,725.

FORM 990-PF	CORPORATE STOCK	STATEMENT 8

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
US & FOREIGN EQUITIES, MUNI BONDS & ACCRUED INTEREST	6,754,620.	6,257,904.
TOTAL TO FORM 990-PF, PART II, LINE 10B	6,754,620.	6,257,904.

FORM 990-PF	CORPORATE BONDS	STATEMENT 9

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS	795,764.	777,629.
TOTAL TO FORM 990-PF, PART II, LINE 10C	795,764.	777,629.

FORM 990-PF	OTHER INVESTMENTS		STATEMENT 10
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
DOUBLELINE TOTAL RETURN	FMV	1,542,581.	1,511,550.
SFM CAPITAL MARKETS	FMV	16,015,158.	19,138,318.
SFM GLOBAL STRATEGIES QP, LP	FMV	15,165,046.	15,324,832.
SFM OPPORTUNITIES V, LP	FMV	1,373,351.	1,898,335.
METWEST TOTAL RETURN BOND FUND	FMV	1,741,202.	1,707,124.
MAINGATE MLP FUND CL I	FMV	355,122.	307,943.
HGI SF KFB, LLC	FMV	462,243.	1,466,275.
YIELD POOL II, LP	FMV	1,537,354.	2,144,190.
HARBOR GROUP BEACON II	FMV	1,089,466.	1,385,654.
HGI SF K30	FMV	535,079.	527,354.
HGI SF K34	FMV	1,469,518.	1,452,041.
YIELD POOL III, LP	FMV	437,746.	748,407.
SFM OPPORTUNITIES VI, LP	FMV	295,662.	298,240.
TOTAL TO FORM 990-PF, PART II, LINE 13		42,019,528.	47,910,263.

FORM 990-PF	OTHER ASSETS		STATEMENT 11
DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
INVESTMENT IN TRANSIT	1,896,710.	0.	0.
TO FORM 990-PF, PART II, LINE 15	1,896,710.	0.	0.

FORM 990-PF	OTHER LIABILITIES	STATEMENT 12
DESCRIPTION	BOY AMOUNT	EOY AMOUNT
ROC KF16 PARTNERS, LLC	0.	263,048.
OCM/GFI POWER OPPORTUNITIES	1,940.	39,602.
TOTAL TO FORM 990-PF, PART II, LINE 22	1,940.	302,650.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
HGI SF K30	69,609.	0.	69,609.	69,609.	
HGI SF K34	201,413.	0.	201,413.	201,413.	
HGI SF KFB, LLC	179,522.	0.	179,522.	179,522.	
OCM/GFI POWER OPP FUND II	8.	0.	8.	8.	
REFUND	87.	0.	87.	87.	
ROC KF16 PARTNERS, LLC	322,333.	0.	322,333.	322,333.	
SCHWAB 2219	23,469.	0.	23,469.	23,469.	
SCHWAB 2219	1,000.	0.	1,000.	1,000.	
SCHWAB 2219: ACCRUED INTEREST PAID - TAXABLE	-475.	0.	-475.	-475.	
SCHWAB 2219: ACCRUED INTEREST PAID - TAX-EXEMPT	-42.	0.	-42.	0.	
SCHWAB 2219: AMORTIZED BOND PREMIUM - TAXABLE	-3.	0.	-3.	-3.	
SCHWAB 2219: AMORTIZED BOND PREMIUM-TAX-EXEMPT	-8,547.	0.	-8,547.	0.	
SCHWAB 2219: T/E INTEREST	143,153.	0.	143,153.	0.	
SCHWAB 9107	289,462.	0.	289,462.	289,462.	
SFM CAPITAL MARKETS	418,876.	0.	418,876.	418,876.	
SFM CAPITAL MARKETS: T/E INTEREST	1,966.	0.	1,966.	0.	
SFM GLOBAL STRATEGIES	360,344.	0.	360,344.	360,344.	
SFM GLOBAL STRATEGIES: T/E INT	11,093.	0.	11,093.	0.	
SFM OPPORTUNITIES V, LP	8,290.	0.	8,290.	8,290.	
SFM OPPORTUNITIES VI, LP	1,811.	0.	1,811.	1,811.	
YIELD POOL II, LP	52,545.	0.	52,545.	52,545.	
YIELD POOL III, LP	2,380.	0.	2,380.	2,380.	
TO PART I, LINE 4	2,078,294.	0.	2,078,294.	1,930,671.	

FORM 990-PF | OTHER INCOME | STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
HARBOR GROUP BEACON II	-142,478.	-142,478.	
SFM CAPITAL MARKETS, LP	19,854.	19,854.	
SFM GLOBAL STRATEGIES, LP	2,409.	2,409.	
SFM GLOBAL STRATEGIES, LP	13,604.	13,604.	
SFM OPPORTUNITIES V, LP	-97,192.	-97,192.	
SFM OPPORTUNITIES V, LP	16.	16.	
SFM OPPORTUNITIES VI, LP	-142.	-142.	
YIELD POOL II, LP	-219,084.	-219,084.	
YIELD POOL III, LP	68,641.	68,641.	
ROC KF16	-203,792.	-203,792.	
ORDINARY GAIN/LOSS PARTNERSHIP UBTI	-463,519.	0.	
OTHER PARTNERSHIP CAPITAL GAINS UBTI	0.	-197,455.	
EXCISE TAX REFUND	111,921.	0.	
STATE INCOME TAX REFUND	9,882.	0.	
BUSINESS INCOME TAX REFUND	52,826.	0.	
TOTAL TO FORM 990-PF, PART I, LINE 11	-847,054.	-755,619.	

FORM 990-PF | LEGAL FEES | STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	3,095.	3,095.		0.
TO FM 990-PF, PG 1, LN 16A	3,095.	3,095.		0.

FORM 990-PF | ACCOUNTING FEES | STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	8,000.	8,000.		0.
TO FORM 990-PF, PG 1, LN 16B	8,000.	8,000.		0.

FORM 990-PF — TAXES — STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX PAID	111,921.	0.		0.
STATE TAX PAID	25,882.	0.		0.
FOREIGN TAX	39,176.	39,176.		0.
FORM 990-T	52,826.	0.		0.
TO FORM 990-PF, PG 1, LN 18	229,805.	39,176.		0.

FORM 990-PF — OTHER EXPENSES — STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
SFM CAPITAL MARKETS	316,812.	315,428.		0.
SFM GLOBAL STRATEGIES QP, LP	532,147.	532,136.		0.
SCHWAB MANAGEMENT FEES	133,441.	133,441.		0.
SFM OPPORTUNITIES V, LP	70,600.	70,280.		0.
SFM OPPORTUNITIES VI, LP	31,033.	31,021.		0.
YIELD POOL II, LP	41,912.	41,728.		0.
YIELD POOL III, LP	18,275.	18,261.		0.
ROC KF16 PARTNERS, LLC	8,050.	8,050.		0.
HGI SF K34	16,966.	16,966.		0.
HGI SF KFB, LLC	15,057.	15,057.		0.
HGI SF K30	5,954.	5,954.		0.
HARBOR GROUP BEACON II	74,887.	74,887.		0.
OCM/GFI POWER OPPORTUNITIES FUND II	1,430.	1,430.		0.
BANK OF AMERICA - SERVICE CHARGE	304.	304.		0.
SCC REGISTRATION FEE	25.	25.		0.
TO FORM 990-PF, PG 1, LN 23	1,266,893.	1,264,968.		0.

Exhibit A

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Schwab One® Account of
THE BATTEN FOUNDATION
MGR: THE MOORINGS GROUP LLC

Account Number
1342-2219

TAX YEAR 2018
YEAR-END SUMMARY

Date Prepared: February 8, 2019

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REALIZED GAIN OR (LOSS)

The information in the following sections include all your realized gain or (loss) transactions during the tax year. They may be helpful for, but not limited to, Schedule D
Please consult with your tax advisor or financial advisor regarding specific questions

Short-Term Realized Gain or (Loss)

This section is for covered securities and corresponds to transactions reported on your 1099B as **"cost basis is reported to the IRS."** Report on Form 8949, Part I, with Box A checked

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis *Adjusted*	(+)Wash Sale Loss Disallowed *(-)Market Discount*	(=)Realized Gain or (Loss) *Adjusted*
US TREASU NT 2 125%11/24UST NOTE DUE 11/30/24	9128283J7	300,000 00	12/22/17	11/13/18	$ 284,662.10	$ 294,947 50	--	$ (10,285 40)
						$ *294,947.50*	--	$ *(10,285 40)*[b]
Security Subtotal					**$ 284,662.10**	**$ 294,947.50**	--	**$ (10,285.40)**
						$ *294,947.50*	--	**$ *(10,285.40)*[b]**
Total Short-Term *(Cost basis is reported to the IRS)*					**$ 284,662.10**	**$ 294,947.50**	--	**$ (10,285.40)**
						$ *294,947.50*	--	**$ *(10,285.40)*[b]**
Total Short-Term					**$ 284,662.10**	**$ 294,947.50**	--	**$ (10,285.40)**
						$ *294,947.50*	--	**$ *(10,285.40)*[b]**

Long-Term Realized Gain or (Loss)

This section is for covered securities and corresponds to transactions reported on your 1099B as **"cost basis is reported to the IRS."** Report on Form 8949, Part II, with Box D checked

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis *Adjusted*	(+)Wash Sale Loss Disallowed *(-)Market Discount*	(=)Realized Gain or (Loss) *Adjusted*
AMERICAN EXPRES 2 125%19 DUE 03/18/19	0258M0DK2	50,000 00	03/14/14	04/17/18	$ 49,775.00	$ 49,966.37	--	$ (191 37)
						$ *49,966.37*	--	$ *(191.37)*[b]

Please see the "Endnotes for Your Realized Gain or (Loss)" for an explanation of the codes and symbols in this Realized Gain or (Loss) section.

Exhibit A

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Long-Term Realized Gain or (Loss) (continued)

This section is for covered securities and corresponds to transactions reported on your 1099B as **"cost basis is reported to the IRS."** Report on Form 8949, Part II, with Box D checked

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis *Adjusted*	(+)Wash Sale Loss Disallowed *(-)Market Discount*	(=)Realized Gain or (Loss) *Adjusted*
AMERICAN EXPRES 2 125%19	0258M0DK2	50,000.00	09/01/15	04/17/18 $	49,775 00 $	50,010.00	-- $	(235.00)
DUE 03/18/19					$	*50,002.69*	-- $	*(227 69)*[b]
Security Subtotal				**$**	**99,550.00 $**	**99,976.37**	**-- $**	**(426.37)**
					$	***99,969.06***	**-- $**	***(419.06)***[b]
PORT HOUSTON AUTH T	7342603X8	100,000 00	07/22/15	10/01/18 $	100,000.00 $	110,565.00	-- $	(10,565 00)
5XXX**MATURED**					$	*100,000.00*	-- $	*0 00*[b]
Security Subtotal				**$**	**100,000.00 $**	**110,565.00**	**-- $**	**(10,565.00)**
					$	***100,000.00***	**-- $**	***0.00***[b]
PRINCE GRGS CN MD 4%24GO LTX	741701G83	175,000.00	05/02/14	11/13/18 $	177,191.50 $	184,026.00	-- $	(6,834.50)
DUE 09/15/24					$	*180,469 96*	-- $	*(3,278 46)*[b]
Security Subtotal				**$**	**177,191.50 $**	**184,026.00**	**-- $**	**(6,834.50)**
					$	***180,469.96***	**-- $**	***(3,278.46)***[b]
TN ST SCH BD AU 2 138%21FINL	880558GP0	50,000 00	04/09/15	11/14/18 $	48,302.50 $	50,002.00	-- $	(1,699.50)
EDUC DUE 11/01/21					$	*50,000 91*	-- $	*(1,698 41)*[b]
Security Subtotal				**$**	**48,302.50 $**	**50,002.00**	**-- $**	**(1,699.50)**
					$	***50,000.91***	**-- $**	***(1,698.41)***[b]
VIRGINIA ST RES 2 249%20FINL AUTH	92818MUN8	240,000.00	06/04/15	11/13/18 $	235,792 40 $	239,944.80	-- $	(4,152 40)
DUE 11/01/20					$	*239,944 80*	-- $	*(4,152 40)*[b]
Security Subtotal				**$**	**235,792.40 $**	**239,944.80**	**-- $**	**(4,152.40)**
					$	***239,944.80***	**-- $**	***(4,152.40)***[b]

Please see the "Endnotes for Your Realized Gain or (Loss)" for an explanation of the codes and symbols in this Realized Gain or (Loss) section.

Exhibit A

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Long-Term Realized Gain or (Loss) (continued)

This section is for covered securities and corresponds to transactions reported on your 1099B as **"cost basis is reported to the IRS."** Report on Form 8949, Part II, with Box D checked

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis *Adjusted*	(+)Wash Sale Loss Disallowed *(-)Market Discount*	(=)Realized Gain or (Loss) *Adjusted*
VIRGINIA ST RES 2 249%20FINL AUTH DUE 11/01/20	92818MTV2	10,000.00	06/04/15	05/16/18	$ 9,755 90	$ 9,997.70	--	$ (241.80)
					$	*9,997 70*	--	*$ (241 80)*[b]
Security Subtotal					**$ 9,755.90**	**$ 9,997.70**	--	**$ (241.80)**
					$	***9,997.70***	--	***$ (241.80)***[b]
Total Long-Term *(Cost basis is reported to the IRS)*					**$ 670,592.30**	**$ 694,511.87**	--	**$ (23,919.57)**
					$	***680,382.43***	--	***$ (9,790.13)***[b]

Long-Term Realized Gain or (Loss)

The transactions in this section are not reported on Form 1099-B or to the IRS. Report on Form 8949, Part II, with Box F checked

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis *Adjusted*	(+)Wash Sale Loss Disallowed *(-)Market Discount*	(=)Realized Gain or (Loss) *Adjusted*
DUKE ENERGY OHIO 5 45%19 DUE 04/01/19	26442EAA8	250,000.00	03/18/09	11/13/18	$ 252,115.00	$ 249,915.00[a]	--	$ 2,200.00
					$	*249,915 00*	*$ 58.07*	*$ 2,141 93*[b]
Security Subtotal					**$ 252,115.00**	**$ 249,915.00**	--	**$ 2,200.00**
					$	***249,915.00***	***$ 58.07***	***$ 2,141.93***[b]
MACON-BIBB CO GA 3 5%20FINL AUTH DUE 06/01/20	555542LN7	225,000.00	06/28/13	01/25/18	$ 229,739.75	$ 229,116.25	--	$ 623.50
					$	*226,506 28*	--	*$ 3,233 47*[b]
Security Subtotal					**$ 229,739.75**	**$ 229,116.25**	--	**$ 623.50**
					$	***226,506.28***	--	***$ 3,233.47***[b]
Total Long-Term *(Transactions are not reported on Form 1099-B or to the IRS)*					**$ 481,854.75**	**$ 479,031.25**	--	**$ 2,823.50**
					$	***476,421.28***	***$ 58.07***	***$ 5,375.40***[b]
Total Long-Term					**$ 1,152,447.05**	**$ 1,173,543.12**	--	**$ (21,096.07)**
					$	***1,156,803.71***	***$ 58.07***	***$ (4,414.73)***[b]

Exhibit A

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MGR: THE MOORINGS GROUP LLC

Account Number
1342-2219

TAX YEAR 2018
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Realized Gain or (Loss) Summary

Total Realized Gain or (Loss)

Description		Total Proceeds		(-)Cost Basis *Adjusted*		(+)Wash Sale Loss Disallowed *(-)Market Discount*		(=)Realized Gain or (Loss) *Adjusted*
Total Short-Term Realized Gain or (Loss) *(Cost basis is reported to the IRS Report on Form 8949, Part I, with Box A checked)*	$	284,662.10	$	294,947.50		--	$	(10,285.40)
			$	*294,947.50*		--	*$*	*(10,285.40)*[b]
Total Short-Term Realized Gain or (Loss)	$	284,662.10	$	294,947.50		--	$	(10,285.40)
			$	*294,947.50*		--	*$*	*(10,285.40)*[b]
Total Long-Term Realized Gain or (Loss) *(Cost basis is reported to the IRS Report on Form 8949, Part II, with Box D checked)*	$	670,592.30	$	694,511.87		--	$	(23,919.57)
			$	*680,382.43*		--	*$*	*(9,790.13)*[b]
Total Long-Term Realized Gain or (Loss) *(Transactions are not reported on Form 1099-B or to the IRS Report on Form 8949, Part II, with Box F checked)*	$	481,854.75	$	479,031.25		--	$	2,823.50
			$	*476,421.28*	*$*	*58.07*	*$*	*5,375.40*[b]
Total Long-Term Realized Gain or (Loss)	$	1,152,447.05	$	1,173,543.12		--	$	(21,096.07)
			$	*1,156,803.71*	*$*	*58.07*	*$*	*(4,414.73)*[b]
TOTAL REALIZED GAIN OR (LOSS)	$	1,437,109.15	$	1,468,490.62		--	$	(31,381.47)
			$	*1,451,751.21*	*$*	*58.07*	*$*	*(14,700.13)*[b]

Exhibit B

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Brokerage Account of
THE BATTEN FOUNDATION

Account Number
9731-9107

TAX YEAR 2018
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REALIZED GAIN OR (LOSS)

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Long-Term Realized Gain or (Loss)

This section is for covered securities and corresponds to transactions reported on your 1099B as **"cost basis is reported to the IRS."** Report on Form 8949, Part II, with Box D checked

Description OR Option Symbol		CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
ABBVIE INC		00287Y109	828.00	05/08/17	06/21/18 $	79,340.02 $	54,826 83	-- $	24,513.19
Security Subtotal					**$**	**79,340.02 $**	**54,826.83**	**-- $**	**24,513.19**
ACCENTURE PLC A	FCLASS	G1151C101	32 00	05/08/17	06/21/18 $	5,121.14 $	3,870.68	-- $	1,250.46
ACCENTURE PLC A	FCLASS	G1151C101	35.00	05/08/17	06/21/18 $	5,601 26 $	4,233 55	-- $	1,367 71
ACCENTURE PLC A	FCLASS	G1151C101	41.00	05/08/17	06/21/18 $	6,561 46 $	4,963.26	-- $	1,598 20
ACCENTURE PLC A	FCLASS	G1151C101	68.00	05/08/17	06/21/18 $	10,882.43 $	8,231.74	-- $	2,650 69
ACCENTURE PLC A	FCLASS	G1151C101	100.00	05/08/17	06/21/18 $	16,004 67 $	12,105 51	-- $	3,899 16
ACCENTURE PLC A	FCLASS	G1151C101	100.00	05/08/17	06/21/18 $	16,006.98 $	12,095.86	-- $	3,911.12
Security Subtotal					**$**	**60,177.94 $**	**45,500.60**	**-- $**	**14,677.34**
ADIDAS AG ADR	FSPONSORED	00687A107	114 00	05/08/17	09/10/18 $	13,740.83 $	11,379.64	-- $	2,361 19
ADIDAS AG ADR	FSPONSORED	00687A107	52.00	06/16/17	09/10/18 $	6,267.75 $	5,082.07	-- $	1,185 68
Security Subtotal					**$**	**20,008.58 $**	**16,461.71**	**-- $**	**3,546.87**

Exhibit B

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Brokerage Account of
THE BATTEN FOUNDATION

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Long-Term Realized Gain or (Loss) (continued)

This section is for covered securities and corresponds to transactions reported on your 1099B as **"cost basis is reported to the IRS."** Report on Form 8949, Part II, with Box D checked

Description OR Option Symbol		CUSIP Number	Quantity/Par	Date Acquired	Date Sold		Total Proceeds		(-)Cost Basis	(+)Wash Sale Loss Disallowed		(=)Realized Gain or (Loss)
ADOBE INC		00724F101	10.00	06/16/17	09/10/18	$	2,655.04	$	1,378.90	--	$	1,276.14
ADOBE INC		00724F101	12.00	06/16/17	09/10/18	$	3,186.04	$	1,654.68	--	$	1,531 36
ADOBE INC		00724F101	12.00	06/16/17	09/10/18	$	3,186 04	$	1,654.68	--	$	1,531.36
ADOBE INC		00724F101	25 00	06/16/17	09/10/18	$	6,637.61	$	3,447.25	--	$	3,190 36
ADOBE INC		00724F101	40.00	06/16/17	09/10/18	$	10,620.14	$	5,515 60	--	$	5,104 54
ADOBE INC		00724F101	1.00	08/01/17	09/10/18	$	265 50	$	147.38	--	$	118.12
ADOBE INC		00724F101	73 00	08/01/17	09/10/18	$	19,381.81	$	10,758 60	--	$	8,623.21
ADOBE INC		00724F101	100 00	08/01/17	09/10/18	$	26,551.82	$	14,737.80	--	$	11,814.02
ADOBE INC		00724F101	100.00	08/01/17	09/10/18	$	26,551 82	$	14,737 81	--	$	11,814.01
Security Subtotal						**$**	**99,035.82**	**$**	**54,032.70**	**--**	**$**	**45,003.12**
AGEAS	FSPONSORED ADR	00844W208	244.00	05/08/17	06/21/18	$	12,312.53	$	10,382 27	--	$	1,930 26
AGEAS	FSPONSORED ADR	00844W208	363 00	05/08/17	06/21/18	$	18,317 41	$	15,449.51	--	$	2,867.90
Security Subtotal						**$**	**30,629.94**	**$**	**25,831.78**	**--**	**$**	**4,798.16**
AIA GROUP LTD ADR	FSPONSORED	001317205	200 00	05/08/17	06/21/18	$	6,840.87	$	5,614.50	--	$	1,226 37
AIA GROUP LTD ADR	FSPONSORED	001317205	751 00	05/08/17	06/21/18	$	25,657.43	$	21,082.45	--	$	4,574.98
Security Subtotal						**$**	**32,498.30**	**$**	**26,696.95**	**--**	**$**	**5,801.35**
AIRBUS GROUP ADR	FSPONSORED	009279100	806.00	05/08/17	06/21/18	$	23,151.13	$	16,566.07	--	$	6,585.06

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol		CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
AIRBUS GROUP ADR	FSPONSORED	009279100	555.00	07/18/17	09/10/18 $	16,852.96 $	11,639.91	-- $	5,213.05
Security Subtotal					$	**40,004.09 $**	**28,205.98**	-- $	**11,798.11**
ALFA LAVAL ADR	FSPONSORED	015393101	86.00	05/08/17	06/21/18 $	2,079 88 $	1,746 35	-- $	333 53
ALFA LAVAL ADR	FSPONSORED	015393101	414.00	05/08/17	06/21/18 $	10,012.47 $	8,407.41	-- $	1,605.06
ALFA LAVAL ADR	FSPONSORED	015393101	744 00	05/08/17	06/21/18 $	17,993 43 $	15,107.93	-- $	2,885 50
Security Subtotal					$	**30,085.78 $**	**25,261.69**	-- $	**4,824.09**
ALIBABA GROUP HOLDING FSPONSORED ADR		01609W102	354.00	05/08/17	06/21/18 $	71,537.73 $	41,332 64	-- $	30,205 09
Security Subtotal					$	**71,537.73 $**	**41,332.64**	-- $	**30,205.09**
ALIGN TECHNOLOGY INC		016255101	193 00	05/08/17	06/21/18 $	70,280 82 $	26,445 95	-- $	43,834 87
Security Subtotal					$	**70,280.82 $**	**26,445.95**	-- $	**43,834.87**
ALPHABET INC A	CLASS	02079K305	27.00	05/08/17	06/21/18 $	31,515 15 $	25,885 30	-- $	5,629 85
ALPHABET INC A	CLASS	02079K305	1.00	05/08/17	09/10/18 $	1,176.13 $	958.71	-- $	217 42
ALPHABET INC A	CLASS	02079K305	3.00	05/08/17	09/10/18 $	3,528.38 $	2,876.14	-- $	652 24
ALPHABET INC A	CLASS	02079K305	168.00	05/08/17	09/10/18 $	197,561 31 $	161,064.11	-- $	36,497.20

Exhibit B

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Brokerage Account of
THE BATTEN FOUNDATION

Account Number
9731-9107

TAX YEAR 2018
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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
ALPHABET INC CLASS A	02079K305	30.00	08/01/17	09/10/18 $	35,278 80 $	28,401 75	-- $	6,877.05
Security Subtotal				**$**	**269,059.77 $**	**219,186.01**	**-- $**	**49,873.76**
AMADEUS IT GROUP S A FSPONSORED ADR	02263T104	90.00	05/08/17	06/21/18 $	7,236 21 $	5,082.75	-- $	2,153.46
AMADEUS IT GROUP S A FSPONSORED ADR	02263T104	207 00	05/08/17	06/21/18 $	16,643 27 $	11,694.28	-- $	4,948.99
AMADEUS IT GROUP S A FSPONSORED ADR	02263T104	82.00	08/01/17	09/10/18 $	7,373 31 $	5,065 38	-- $	2,307.93
Security Subtotal				**$**	**31,252.79 $**	**21,842.41**	**-- $**	**9,410.38**
AMAZON COM INC	023135106	143.00	05/08/17	06/21/18 $	247,225.24 $	135,717 67	-- $	111,507.57
AMAZON COM INC	023135106	15.00	08/01/17	09/10/18 $	29,098.30 $	14,947.80	-- $	14,150.50
Security Subtotal				**$**	**276,323.54 $**	**150,665.47**	**-- $**	**125,658.07**
AMGEN INC	031162100	361 00	05/08/17	09/10/18 $	73,103.42 $	58,858 78	-- $	14,244.64
Security Subtotal				**$**	**73,103.42 $**	**58,858.78**	**-- $**	**14,244.64**
ANGLO AMERICAN PLC FSPONSORED ADR	03485P300	977.00	05/08/17	06/21/18 $	10,842.58 $	6,322 23	-- $	4,520.35
ANGLO AMERICAN PLC FSPONSORED ADR	03485P300	1,470.00	05/08/17	06/21/18 $	16,313.82 $	9,543.78	-- $	6,770.04
Security Subtotal				**$**	**27,156.40 $**	**15,866.01**	**-- $**	**11,290.39**
ANTHEM INC	036752103	6 00	08/01/17	09/10/18 $	1,573.72 $	1,120.17	-- $	453 55

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol		CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
ANTHEM INC		036752103	197 00	08/01/17	09/10/18 $	51,672.56 $	36,778.79	-- $	14,893 77
Security Subtotal					$	**53,246.28 $**	**37,898.96**	**-- $**	**15,347.32**
APPLE INC		037833100	35.00	05/08/17	06/21/18 $	6,539.20 $	5,355.45	-- $	1,183.75
APPLE INC		037833100	1,485.00	05/08/17	06/21/18 $	277,469 74 $	227,224.14	-- $	50,245.60
APPLE INC		037833100	52.00	08/01/17	09/10/18 $	11,372 23 $	7,803 17	-- $	3,569 06
APPLE INC		037833100	100.00	08/01/17	09/10/18 $	21,869 63 $	15,006.09	-- $	6,863.54
APPLE INC		037833100	100.00	08/01/17	09/10/18 $	21,869.63 $	15,006.09	-- $	6,863.54
APPLE INC		037833100	100 00	08/01/17	09/10/18 $	21,869 63 $	15,006.10	-- $	6,863 53
APPLE INC		037833100	100 00	08/01/17	09/10/18 $	21,870 12 $	15,006.10	-- $	6,864 02
Security Subtotal					$	**382,860.18 $**	**300,407.14**	**-- $**	**82,453.04**
APTIV PLC	F	G6095L109	72.00	05/08/17	06/21/18 $	6,982 96 $	5,227.31	-- $	1,755.65
APTIV PLC	F	G6095L109	78 00	05/08/17	06/21/18 $	7,564.88 $	5,672.00	-- $	1,892 88
APTIV PLC	F	G6095L109	200 00	05/08/17	06/21/18 $	19,405.32 $	14,520 29	-- $	4,885.03
Security Subtotal					$	**33,953.16 $**	**25,419.60**	**-- $**	**8,533.56**
ASML HLDGS NV ADR	FSPONSORED	N07059210	70.00	05/08/17	06/21/18 $	14,263.77 $	9,334.81	-- $	4,928 96
ASML HLDGS NV ADR	FSPONSORED	N07059210	15 00	08/01/17	09/10/18 $	2,778.86 $	2,264 71	-- $	514.15
ASML HLDGS NV ADR	FSPONSORED	N07059210	67 00	08/01/17	09/10/18 $	12,412 91 $	10,115.68	-- $	2,297.23
Security Subtotal					$	**29,455.54 $**	**21,715.20**	**-- $**	**7,740.34**

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ASTRAZENECA PLC FSPONSORED ADR	046353108	667.00	05/08/17	06/21/18	$ 23,575 86	$ 20,231.39	--	$ 3,344 47
ASTRAZENECA PLC FSPONSORED ADR	046353108	10.00	08/01/17	09/10/18	$ 377.54	$ 299 32	--	$ 78 22
ASTRAZENECA PLC FSPONSORED ADR	046353108	100.00	08/01/17	09/10/18	$ 3,775.24	$ 2,993.20	--	$ 782 04
ASTRAZENECA PLC FSPONSORED ADR	046353108	100.00	08/01/17	09/10/18	$ 3,775.24	$ 2,993.21	--	$ 782.03
ASTRAZENECA PLC FSPONSORED ADR	046353108	100.00	08/01/17	09/10/18	$ 3,775.24	$ 2,993 21	--	$ 782.03
ASTRAZENECA PLC FSPONSORED ADR	046353108	100 00	08/01/17	09/10/18	$ 3,775 24	$ 2,993 21	--	$ 782.03
Security Subtotal					**$ 39,054.36**	**$ 32,503.54**	**--**	**$ 6,550.82**
AU OPTRONICS CORP FSPONSORED ADR	002255107	1,479.00	05/08/17	06/21/18	$ 6,300.69	$ 5,458.02	--	$ 842.67
Security Subtotal					**$ 6,300.69**	**$ 5,458.02**	**--**	**$ 842.67**
AUTOLIV INC	052800109	57.00	05/08/17	06/21/18	$ 8,683.18	$ 5,852.76	--	$ 2,830 42
AUTOLIV INC	052800109	197.00	05/08/17	06/21/18	$ 30,010.30	$ 20,217.43	--	$ 9,792 87
Security Subtotal					**$ 38,693.48**	**$ 26,070.19**	**--**	**$ 12,623.29**
AUTOZONE INC	053332102	57.00	07/18/17	09/10/18	$ 43,596.67	$ 28,259.28	--	$ 15,337.39
AUTOZONE INC	053332102	10.00	08/01/17	09/10/18	$ 7,648 54	$ 5,483.55	--	$ 2,164.99
Security Subtotal					**$ 51,245.21**	**$ 33,742.83**	**--**	**$ 17,502.38**

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BAIDU COM INC ADR	FSPONSORED	056752108	94 00	05/08/17	06/21/18	$	24,563.67 $	16,666 07	-- $	7,897.60
Security Subtotal						**$**	**24,563.67 $**	**16,666.07**	**-- $**	**7,897.60**
BANK OF AMERICA CORP		060505104	3,945 00	05/08/17	06/21/18	$	114,646.31 $	94,527 15	-- $	20,119 16
BANK OF AMERICA CORP		060505104	208.00	08/01/17	09/10/18	$	6,401 58 $	5,090 55	-- $	1,311 03
Security Subtotal						**$**	**121,047.89 $**	**99,617.70**	**-- $**	**21,430.19**
BERKSHIRE HATHAWAY B	CLASS	084670702	46 00	05/08/17	09/10/18	$	9,898 61 $	7,591 38	-- $	2,307.23
BERKSHIRE HATHAWAY B	CLASS	084670702	197.00	05/08/17	09/10/18	$	42,391.90 $	32,510.89	-- $	9,881.01
BERKSHIRE HATHAWAY B	CLASS	084670702	256.00	05/08/17	09/10/18	$	55,087 94 $	42,247 66	-- $	12,840.28
Security Subtotal						**$**	**107,378.45 $**	**82,349.93**	**-- $**	**25,028.52**
BHP GROUP LTD ADR	FSPONSORED	088606108	824 00	05/08/17	06/21/18	$	39,483.59 $	28,051 03	-- $	11,432.56
Security Subtotal						**$**	**39,483.59 $**	**28,051.03**	**-- $**	**11,432.56**
BIDVEST GRP LTD ADR	FSPONSORED	088836309	238.00	05/08/17	06/21/18	$	7,029.10 $	5,778 83	-- $	1,250.27
BIDVEST GRP LTD ADR	FSPONSORED	088836309	648 00	05/08/17	06/21/18	$	19,138.05 $	15,612 03	-- $	3,526.02
Security Subtotal						**$**	**26,167.15 $**	**21,390.86**	**-- $**	**4,776.29**

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BIOGEN INC	09062X103	154 00	05/08/17	09/10/18	$	52,421.98	$	40,109.63	--	$	12,312.35
Security Subtotal					**$**	**52,421.98**	**$**	**40,109.63**	**--**	**$**	**12,312.35**
BOEING CO	097023105	299 00	05/08/17	06/21/18	$	100,925 68	$	55,624.93	--	$	45,300.75
Security Subtotal					**$**	**100,925.68**	**$**	**55,624.93**	**--**	**$**	**45,300.75**
BOSTON SCIENTIFIC CO	101137107	35.00	05/08/17	09/10/18	$	1,256.52	$	923.78	--	$	332.74
BOSTON SCIENTIFIC CO	101137107	559 00	05/08/17	09/10/18	$	20,068 45	$	14,754.15	--	$	5,314 30
BOSTON SCIENTIFIC CO	101137107	700.00	05/08/17	09/10/18	$	25,130.44	$	18,475 68	--	$	6,654.76
BOSTON SCIENTIFIC CO	101137107	65.00	08/01/17	09/10/18	$	2,333.48	$	1,722.09	--	$	611.39
BOSTON SCIENTIFIC CO	101137107	95 00	08/01/17	09/10/18	$	3,410 56	$	2,516.91	--	$	893 65
BOSTON SCIENTIFIC CO	101137107	100.00	08/01/17	09/10/18	$	3,589.95	$	2,649.37	--	$	940 58
BOSTON SCIENTIFIC CO	101137107	100.00	08/01/17	09/10/18	$	3,589 95	$	2,649.38	--	$	940 57
Security Subtotal					**$**	**59,379.35**	**$**	**43,691.36**	**--**	**$**	**15,687.99**
BP PLC FSPONSORED ADR	055622104	880.00	05/08/17	06/21/18	$	39,166 16	$	31,188.45	--	$	7,977.71
BP PLC FSPONSORED ADR	055622104	267 00	08/01/17	09/10/18	$	11,249.54	$	9,689.04	--	$	1,560.50
Security Subtotal					**$**	**50,415.70**	**$**	**40,877.49**	**--**	**$**	**9,538.21**
BURBERRY GROUP PLC FSPONSORED ADR	12082W204	18.00	05/08/17	06/21/18	$	508.38	$	377.86	--	$	130.52
BURBERRY GROUP PLC FSPONSORED ADR	12082W204	100 00	05/08/17	06/21/18	$	2,823 56	$	2,099 23	--	$	724 33
BURBERRY GROUP PLC FSPONSORED ADR	12082W204	277.00	05/08/17	06/21/18	$	7,821.27	$	5,833 58	--	$	1,987 69

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold		Total Proceeds		(-)Cost Basis	(+)Wash Sale Loss Disallowed		(=)Realized Gain or (Loss)
BURBERRY GROUP PLC FSPONSORED ADR	12082W204	341.00	05/08/17	06/21/18	$	9,628 34	$	7,158.36	--	$	2,469.98
BURBERRY GROUP PLC FSPONSORED ADR	12082W204	500.00	05/08/17	06/21/18	$	14,117 82	$	10,496.13	--	$	3,621 69
Security Subtotal					**$**	**34,899.37**	**$**	**25,965.16**	**--**	**$**	**8,934.21**
C A E INC F	124765108	1,573.00	05/08/17	06/21/18	$	31,844 11	$	24,937.00	--	$	6,907.11
Security Subtotal					**$**	**31,844.11**	**$**	**24,937.00**	**--**	**$**	**6,907.11**
C S L LIMITED FSPONSORED ADR	12637N204	328.00	05/08/17	06/21/18	$	23,781 30	$	16,344 27	--	$	7,437.03
C S L LIMITED FSPONSORED ADR	12637N204	297.00	08/01/17	09/10/18	$	22,254 91	$	15,077.70	--	$	7,177.21
Security Subtotal					**$**	**46,036.21**	**$**	**31,421.97**	**--**	**$**	**14,614.24**
CADENCE DESIGN SYS	127387108	803.00	05/08/17	06/21/18	$	36,074.49	$	26,367.44	--	$	9,707.05
Security Subtotal					**$**	**36,074.49**	**$**	**26,367.44**	**--**	**$**	**9,707.05**
CANADIAN NATURAL RES F	136385101	663.00	06/16/17	09/10/18	$	21,536.97	$	18,794.37	--	$	2,742 60
Security Subtotal					**$**	**21,536.97**	**$**	**18,794.37**	**--**	**$**	**2,742.60**
CATERPILLAR INC	149123101	376 00	08/01/17	09/10/18	$	53,453.63	$	42,530 55	--	$	10,923.08
Security Subtotal					**$**	**53,453.63**	**$**	**42,530.55**	**--**	**$**	**10,923.08**
CHARLES SCHWAB CORP	808513105	940 00	05/08/17	06/21/18	$	51,452.99	$	37,990.35	--	$	13,462 64
Security Subtotal					**$**	**51,452.99**	**$**	**37,990.35**	**--**	**$**	**13,462.64**

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CHINA CONSTR BANK FSPONSORED ADR	168919108	1,508.00	05/08/17	06/21/18 $	28,201 82 $	24,082 28	-- $	4,119 54
Security Subtotal				**$**	**28,201.82 $**	**24,082.28**	**-- $**	**4,119.54**
CHRISTIAN HANSEN HLD FSPONSORED ADR	12545M207	171.00	05/08/17	06/21/18 $	8,310.21 $	5,788 17	-- $	2,522 04
CHRISTIAN HANSEN HLD FSPONSORED ADR	12545M207	573 00	05/08/17	06/21/18 $	27,846 49 $	19,360.89	-- $	8,485.60
Security Subtotal				**$**	**36,156.70 $**	**25,149.06**	**-- $**	**11,007.64**
CISCO SYSTEMS INC	17275R102	1.00	07/18/17	09/10/18 $	47 11 $	31.51	-- $	15 60
CISCO SYSTEMS INC	17275R102	21.00	07/18/17	09/10/18 $	989.25 $	661.78	-- $	327.47
CISCO SYSTEMS INC	17275R102	75 00	07/18/17	09/10/18 $	3,533.03 $	2,363.50	-- $	1,169 53
CISCO SYSTEMS INC	17275R102	100 00	07/18/17	09/10/18 $	4,710 71 $	3,151.33	-- $	1,559.38
CISCO SYSTEMS INC	17275R102	100.00	07/18/17	09/10/18 $	4,710.71 $	3,151.33	-- $	1,559.38
CISCO SYSTEMS INC	17275R102	100.00	07/18/17	09/10/18 $	4,710 71 $	3,151 33	-- $	1,559.38
CISCO SYSTEMS INC	17275R102	200 00	07/18/17	09/10/18 $	9,421.43 $	6,302.66	-- $	3,118 77
CISCO SYSTEMS INC	17275R102	200.00	07/18/17	09/10/18 $	9,421.43 $	6,302 66	-- $	3,118.77
CISCO SYSTEMS INC	17275R102	700 00	07/18/17	09/10/18 $	32,974 98 $	22,059.32	-- $	10,915.66
CISCO SYSTEMS INC	17275R102	79.00	08/01/17	09/10/18 $	3,721.46 $	2,500 92	-- $	1,220.54
CISCO SYSTEMS INC	17275R102	100 00	08/01/17	09/10/18 $	4,710.71 $	3,165.73	-- $	1,544.98
CISCO SYSTEMS INC	17275R102	100.00	08/01/17	09/10/18 $	4,710 71 $	3,165.73	-- $	1,544.98
CISCO SYSTEMS INC	17275R102	100 00	08/01/17	09/10/18 $	4,710.71 $	3,165.73	-- $	1,544 98
CISCO SYSTEMS INC	17275R102	100.00	08/01/17	09/10/18 $	4,710 71 $	3,165 73	-- $	1,544.98

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CISCO SYSTEMS INC		17275R102	200 00	08/01/17	09/10/18	$	9,421 43 $	6,331 46	--	$	3,089.97
Security Subtotal						**$**	**102,505.09 $**	**68,670.72**	**--**	**$**	**33,834.37**
CME GROUP INC A	CLASS	12572Q105	128.00	06/16/17	09/10/18	$	22,318 06 $	16,155.99	--	$	6,162.07
CME GROUP INC A	CLASS	12572Q105	205.00	08/01/17	09/10/18	$	35,743.78 $	25,381.90	--	$	10,361.88
Security Subtotal						**$**	**58,061.84 $**	**41,537.89**	**--**	**$**	**16,523.95**
CNOOC LIMITED ADR	FSPONSORED	126132109	62.00	05/08/17	06/21/18	$	9,821.87 $	7,067.51	--	$	2,754.36
CNOOC LIMITED ADR	FSPONSORED	126132109	86.00	05/08/17	06/21/18	$	13,623 89 $	9,793.65	--	$	3,830 24
CNOOC LIMITED ADR	FSPONSORED	126132109	45.00	05/10/17	06/21/18	$	7,128.78 $	5,205.15	--	$	1,923.63
Security Subtotal						**$**	**30,574.54 $**	**22,066.31**	**--**	**$**	**8,508.23**
CSX CORP		126408103	726.00	05/08/17	06/21/18	$	46,588 83 $	37,619.01	--	$	8,969 82
Security Subtotal						**$**	**46,588.83 $**	**37,619.01**	**--**	**$**	**8,969.82**
DASSAULT SYSTEM S A FSPONSORED ADR		237545108	98 00	05/08/17	06/21/18	$	13,967.71 $	8,938 14	--	$	5,029.57
DASSAULT SYSTEM S A FSPONSORED ADR		237545108	103 00	08/01/17	09/10/18	$	15,379.96 $	10,253.45	--	$	5,126.51
Security Subtotal						**$**	**29,347.67 $**	**19,191.59**	**--**	**$**	**10,156.08**

Exhibit B

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Brokerage Account of
THE BATTEN FOUNDATION

Account Number
9731-9107

TAX YEAR 2018
YEAR-END SUMMARY

Date Prepared. February 8, 2019

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
DBS GROUP HOLDINGS LIM FSPONSORED ADR	23304Y100	233 00	05/08/17	06/21/18 $	18,460 06 $	13,487.50	-- $	4,972 56
Security Subtotal				$	**18,460.06 $**	**13,487.50**	-- $	**4,972.56**
DEUTSCHE BOERSE FSPONSORED ADR	251542106	966.00	05/08/17	06/21/18 $	12,875 28 $	9,780 87	-- $	3,094 41
DEUTSCHE BOERSE FSPONSORED ADR	251542106	623.00	06/16/17	09/10/18 $	8,412.27 $	6,643.64	-- $	1,768.63
DEUTSCHE BOERSE FSPONSORED ADR	251542106	481 00	08/01/17	09/10/18 $	6,494.87 $	5,074 69	-- $	1,420 18
Security Subtotal				$	**27,782.42 $**	**21,499.20**	-- $	**6,283.22**
DEVON ENERGY CORP	25179M103	1,107 00	08/01/17	09/10/18 $	44,842.58 $	36,513 81	-- $	8,328.77
Security Subtotal				$	**44,842.58 $**	**36,513.81**	-- $	**8,328.77**
DIAGEO PLC FSPONSORED ADR	25243Q205	169.00	05/08/17	06/21/18 $	24,489.76 $	20,272 38	-- $	4,217 38
Security Subtotal				$	**24,489.76 $**	**20,272.38**	-- $	**4,217.38**
DOUBLELINE TOTAL RETURN BD FD CL I	258620103	9,454.93	02/28/12	05/14/18 $	98,328 58 $	106,279 00	-- $	(7,950.42)
DOUBLELINE TOTAL RETURN BD FD CL I	258620103	41,545.06	05/28/15	05/14/18 $	432,056.42 $	457,433.97	-- $	(25,377 55)
Security Subtotal				$	**530,385.00 $**	**563,712.97**	-- $	**(33,327.97)**
DSV AS FSPONSORED ADR	26251A108	309 00	05/08/17	06/21/18 $	12,756.80 $	8,928 87	-- $	3,827.93
DSV AS FSPONSORED ADR	26251A108	620 00	05/08/17	06/21/18 $	25,596.16 $	17,907 45	-- $	7,688.71

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol		CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
DSV AS	FSPONSORED ADR	26251A108	160 00	08/01/17	09/10/18 $	7,439.75 $	5,267 35	-- $	2,172.40
Security Subtotal					$	**45,792.71 $**	**32,103.67**	-- $	**13,689.04**
E ON SE AG ADR	FSPONSORED	268780103	808.00	05/08/17	06/21/18 $	8,510 45 $	6,171 61	-- $	2,338.84
Security Subtotal					$	**8,510.45 $**	**6,171.61**	-- $	**2,338.84**
E-TRADE FINL CO		269246401	744 00	05/08/17	06/21/18 $	48,105.18 $	26,558 31	-- $	21,546.87
Security Subtotal					$	**48,105.18 $**	**26,558.31**	-- $	**21,546.87**
ECOPETROL S A ADR	FSPONSORED	279158109	100 00	05/08/17	06/21/18 $	1,958.73 $	930 46	-- $	1,028.27
ECOPETROL S A ADR	FSPONSORED	279158109	100.00	05/08/17	06/21/18 $	1,958 73 $	930.46	-- $	1,028.27
ECOPETROL S A ADR	FSPONSORED	279158109	100 00	05/08/17	06/21/18 $	1,959 23 $	930 46	-- $	1,028.77
ECOPETROL S A ADR	FSPONSORED	279158109	100 00	05/08/17	06/21/18 $	1,959 43 $	930.46	-- $	1,028.97
ECOPETROL S A ADR	FSPONSORED	279158109	156 00	05/08/17	06/21/18 $	3,055 62 $	1,451.53	-- $	1,604.09
ECOPETROL S A ADR	FSPONSORED	279158109	265.00	05/08/17	06/21/18 $	5,189 85 $	2,465.73	-- $	2,724.12
ECOPETROL S A ADR	FSPONSORED	279158109	1,235.00	05/08/17	06/21/18 $	24,186.66 $	11,465 38	-- $	12,721.28
Security Subtotal					$	**40,268.25 $**	**19,104.48**	-- $	**21,163.77**
ENCANA CORP	F	292505104	470.00	07/18/17	09/10/18 $	5,671.81 $	4,466.02	-- $	1,205.79

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol		CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
ENCANA CORP	F	292505104	703.00	07/18/17	09/10/18 $	8,483 57 $	6,680 03	-- $	1,803.54
ENCANA CORP	F	292505104	1,100 00	07/18/17	09/10/18 $	13,274 43 $	10,452 40	-- $	2,822.03
Security Subtotal					$	**27,429.81 $**	**21,598.45**	**-- $**	**5,831.36**
ENI SPA ROMA ADR	FSPONSORED	26874R108	490.00	05/08/17	09/10/18 $	18,006 83 $	15,682.84	-- $	2,323 99
ENI SPA ROMA ADR	FSPONSORED	26874R108	309 00	08/01/17	09/10/18 $	11,355.32 $	9,858.96	-- $	1,496.36
Security Subtotal					$	**29,362.15 $**	**25,541.80**	**-- $**	**3,820.35**
EXPRESS SCRIPTS HLDG ACT	XXXCORP	30219G108	566.00	05/08/17	06/21/18 $	44,973.92 $	34,870 55	-- $	10,103.37
EXPRESS SCRIPTS HLDG ACT	XXXCORP	30219G108	81 00	08/01/17	09/10/18 $	7,306.54 $	5,056 11	-- $	2,250.43
Security Subtotal					$	**52,280.46 $**	**39,926.66**	**-- $**	**12,353.80**
FACEBOOK INC A	CLASS	30303M102	791.00	05/08/17	06/21/18 $	158,682.92 $	119,493 41	-- $	39,189 51
FACEBOOK INC A	CLASS	30303M102	52 00	05/10/17	06/21/18 $	10,431 75 $	7,820.03	-- $	2,611.72
Security Subtotal					$	**169,114.67 $**	**127,313.44**	**-- $**	**41,801.23**
FIFTH THIRD BANCORP		316773100	1,179 00	05/08/17	06/21/18 $	35,770.39 $	29,409.21	-- $	6,361 18
Security Subtotal					$	**35,770.39 $**	**29,409.21**	**-- $**	**6,361.18**
GIVAUDAN SA ADR	FSPONSORED	37636P108	244 00	05/08/17	09/10/18 $	11,785 36 $	9,608 30	-- $	2,177 06

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Long-Term Realized Gain or (Loss) (continued)

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GIVAUDAN SA ADR	FSPONSORED	37636P108	325.00	05/08/17	09/10/18 $	15,697 72 $	12,783.95	-- $	2,913.77
Security Subtotal					**$**	**27,483.08 $**	**22,392.25**	**-- $**	**5,090.83**
GLENCORE PLC ADR	FSPONSORED	37827X100	100 00	05/08/17	06/21/18 $	984 69 $	731.97	-- $	252.72
GLENCORE PLC ADR	FSPONSORED	37827X100	1,555.00	05/08/17	06/21/18 $	15,313 84 $	11,382 12	-- $	3,931.72
Security Subtotal					**$**	**16,298.53 $**	**12,114.09**	**-- $**	**4,184.44**
HERMES INTERNTNL SCA FSPONSORED ADR		42751Q105	185.00	05/08/17	06/21/18 $	11,298 40 $	8,952 66	-- $	2,345.74
Security Subtotal					**$**	**11,298.40 $**	**8,952.66**	**-- $**	**2,345.74**
HEXAGON AB ADR	FSPONSORED	428263107	202.00	05/08/17	06/21/18 $	11,419.01 $	8,985 55	-- $	2,433.46
HEXAGON AB ADR	FSPONSORED	428263107	117.00	08/01/17	09/10/18 $	6,738 84 $	5,798.09	-- $	940.75
Security Subtotal					**$**	**18,157.85 $**	**14,783.64**	**-- $**	**3,374.21**
HITACHI LTD ADR	FSPONSORED	433578507	191.00	05/08/17	06/21/18 $	13,494 43 $	10,736 48	-- $	2,757.95
HITACHI LTD ADR	FSPONSORED	433578507	90.00	05/10/17	06/21/18 $	6,358 63 $	5,022.72	-- $	1,335.91
Security Subtotal					**$**	**19,853.06 $**	**15,759.20**	**-- $**	**4,093.86**
HOME DEPOT INC		437076102	507.00	05/08/17	06/21/18 $	101,413 05 $	79,548.18	-- $	21,864.87

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold		Total Proceeds		(-)Cost Basis	(+)Wash Sale Loss Disallowed		(=)Realized Gain or (Loss)
HOME DEPOT INC	437076102	72.00	08/01/17	09/10/18	$	15,175 88	$	10,794 15	--	$	4,381 73
Security Subtotal					**$**	**116,588.93**	**$**	**90,342.33**	**--**	**$**	**26,246.60**
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	100.00	05/08/17	06/21/18	$	194 97	$	168.65	--	$	26 32
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	573 04	05/08/17	06/21/18	$	1,100.04	$	966 41	--	$	133 63
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	689 36	05/08/17	06/21/18	$	1,323 33	$	1,162.57	--	$	160.76
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	1,926.96	05/08/17	06/21/18	$	3,699.09	$	3,249 73	--	$	449 36
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	2,500 00	05/08/17	06/21/18	$	4,799 13	$	4,216.13	--	$	583.00
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	2,500.00	05/08/17	06/21/18	$	4,799 13	$	4,216.14	--	$	582.99
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	2,688.00	05/08/17	06/21/18	$	5,133.14	$	4,511.52	--	$	621.62
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	4,310.64	05/08/17	06/21/18	$	8,274.93	$	7,234.95	--	$	1,039 98
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	500 00	05/08/17	09/10/18	$	1,015 95	$	843 23	--	$	172.72
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	1,028.00	05/08/17	09/10/18	$	2,085.70	$	1,733.67	--	$	352 03
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	559.00	08/01/17	09/10/18	$	1,135 83	$	929 06	--	$	206.77
HONG KONG & CHINA GAS FSPONSORED ADR	438550303	1,000.00	08/01/17	09/10/18	$	2,028 88	$	1,661 99	--	$	366.89

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Long-Term Realized Gain or (Loss) (continued)

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HONG KONG & CHINA GAS FSPONSORED ADR		438550303	1,472 00	08/01/17	09/10/18	$	2,986 52	$	2,446 46	--	$	540.06
Security Subtotal						$	**38,576.64**	$	**33,340.51**	--	$	**5,236.13**
HONG KONG EXC & CLR FSPONSORED ADR		43858F109	519.00	05/08/17	06/21/18	$	15,998.21	$	12,647.79	--	$	3,350 42
HONG KONG EXC & CLR FSPONSORED ADR		43858F109	575.00	05/08/17	06/21/18	$	17,724.42	$	14,000 45	--	$	3,723.97
Security Subtotal						$	**33,722.63**	$	**26,648.24**	--	$	**7,074.39**
HUNTINGTON INGALLS		446413106	135.00	05/08/17	09/10/18	$	33,478 36	$	26,371 80	--	$	7,106.56
HUNTINGTON INGALLS		446413106	27.00	08/01/17	09/10/18	$	6,695.67	$	5,582 88	--	$	1,112.79
Security Subtotal						$	**40,174.03**	$	**31,954.68**	--	$	**8,219.35**
IHS MARKIT LTD	F	G47567105	50 00	05/08/17	09/10/18	$	2,748.25	$	2,191 87	--	$	556.38
IHS MARKIT LTD	F	G47567105	50.00	05/08/17	09/10/18	$	2,748 25	$	2,195.32	--	$	552 93
IHS MARKIT LTD	F	G47567105	66 00	05/08/17	09/10/18	$	3,627.69	$	2,897 82	--	$	729.87
IHS MARKIT LTD	F	G47567105	89.00	05/08/17	09/10/18	$	4,891.87	$	3,907.66	--	$	984.21
IHS MARKIT LTD	F	G47567105	94 00	05/08/17	09/10/18	$	5,166.68	$	4,120.71	--	$	1,045 97
IHS MARKIT LTD	F	G47567105	99.00	05/08/17	09/10/18	$	5,441.52	$	4,346 73	--	$	1,094.79
IHS MARKIT LTD	F	G47567105	100.00	05/08/17	09/10/18	$	5,496 27	$	4,390 63	--	$	1,105.64
IHS MARKIT LTD	F	G47567105	100.00	05/08/17	09/10/18	$	5,496.65	$	4,390 63	--	$	1,106.02
Security Subtotal						$	**35,617.18**	$	**28,441.37**	--	$	**7,175.81**

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IMPERIAL LOGISTICS LTD FSPONSORED ADR		452833205	1,287 00	06/16/17	09/10/18 $	15,940.77 $	15,809 31	-- $	131.46
Security Subtotal					$	**15,940.77 $**	**15,809.31**	-- $	**131.46**
INDUSTRIAL & COMMERCIA FSPONSORED ADR		455807107	1,304.00	05/08/17	06/21/18 $	19,994.89 $	16,722 23	-- $	3,272.66
Security Subtotal					$	**19,994.89 $**	**16,722.23**	-- $	**3,272.66**
INFINEON TECH AG FSPONSORED ADR		45662N103	491 00	05/08/17	06/21/18 $	13,464.84 $	10,004 66	-- $	3,460.18
Security Subtotal					$	**13,464.84 $**	**10,004.66**	-- $	**3,460.18**
INFOSYS LTD ADR	FSPONSORED	456788108	79.00	05/08/17	06/21/18 $	1,437 15 $	1,192 66	-- $	244 49
INFOSYS LTD ADR	FSPONSORED	456788108	100 00	05/08/17	06/21/18 $	1,818 68 $	1,509.70	-- $	308.98
INFOSYS LTD ADR	FSPONSORED	456788108	100.00	05/08/17	06/21/18 $	1,818.68 $	1,509.70	-- $	308.98
INFOSYS LTD ADR	FSPONSORED	456788108	100 00	05/08/17	06/21/18 $	1,818 78 $	1,509.70	-- $	309.08
INFOSYS LTD ADR	FSPONSORED	456788108	100 00	05/08/17	06/21/18 $	1,819.07 $	1,509.70	-- $	309.37
INFOSYS LTD ADR	FSPONSORED	456788108	100.00	05/08/17	06/21/18 $	1,819.18 $	1,509 70	-- $	309.48
INFOSYS LTD ADR	FSPONSORED	456788108	1,075.00	05/08/17	06/21/18 $	19,550.79 $	16,229 27	-- $	3,321.52
Security Subtotal					$	**30,082.33 $**	**24,970.43**	-- $	**5,111.90**

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INTEL CORP	458140100	1 00	05/08/17	06/21/18	$	52 51	$	36 54	--	$	15.97
INTEL CORP	458140100	100 00	05/08/17	06/21/18	$	5,249 68	$	3,654 24	--	$	1,595.44
INTEL CORP	458140100	100 00	05/08/17	06/21/18	$	5,249.68	$	3,654.24	--	$	1,595 44
INTEL CORP	458140100	200 00	05/08/17	06/21/18	$	10,499 35	$	7,308 49	--	$	3,190 86
INTEL CORP	458140100	296 00	05/08/17	06/21/18	$	15,539 92	$	10,816.57	--	$	4,723.35
INTEL CORP	458140100	300 00	05/08/17	06/21/18	$	15,749.04	$	10,962.73	--	$	4,786 31
INTEL CORP	458140100	400.00	05/08/17	06/21/18	$	20,998 71	$	14,616 98	--	$	6,381.73
Security Subtotal					**$**	**73,338.89**	**$**	**51,049.79**	**--**	**$**	**22,289.10**
INTUITIVE SURGICAL	46120E602	117.00	05/08/17	06/21/18	$	56,717.67	$	32,795.76	--	$	23,921 91
INTUITIVE SURGICAL	46120E602	21.00	08/01/17	09/10/18	$	11,381 61	$	6,591.74	--	$	4,789 87
Security Subtotal					**$**	**68,099.28**	**$**	**39,387.50**	**--**	**$**	**28,711.78**
ISHARES CORE MSCI EAFE ETF	46432F842	100.00	12/02/15	05/14/18	$	6,790 82	$	5,611.03	--	$	1,179.79
ISHARES CORE MSCI EAFE ETF	46432F842	100.00	12/02/15	05/14/18	$	6,790.82	$	5,611.03	--	$	1,179 79
ISHARES CORE MSCI EAFE ETF	46432F842	100.00	12/02/15	05/14/18	$	6,790.82	$	5,611.03	--	$	1,179.79
ISHARES CORE MSCI EAFE ETF	46432F842	100 00	12/02/15	05/14/18	$	6,790 82	$	5,611.03	--	$	1,179.79
ISHARES CORE MSCI EAFE ETF	46432F842	100 00	12/02/15	05/14/18	$	6,791.32	$	5,611.03	--	$	1,180.29
ISHARES CORE MSCI EAFE ETF	46432F842	100.00	12/02/15	05/14/18	$	6,791 32	$	5,611 03	--	$	1,180.29
ISHARES CORE MSCI EAFE ETF	46432F842	100 00	12/02/15	05/14/18	$	6,791.32	$	5,611.03	--	$	1,180.29
ISHARES CORE MSCI EAFE ETF	46432F842	100.00	12/02/15	05/14/18	$	6,791 32	$	5,611.03	--	$	1,180.29
ISHARES CORE MSCI EAFE ETF	46432F842	300 00	12/02/15	05/14/18	$	20,372.46	$	16,833.09	--	$	3,539.37
ISHARES CORE MSCI EAFE ETF	46432F842	300.00	12/02/15	05/14/18	$	20,372.46	$	16,833.09	--	$	3,539.37
ISHARES CORE MSCI EAFE ETF	46432F842	300 00	12/02/15	05/14/18	$	20,372.46	$	16,833.09	--	$	3,539.37

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Brokerage Account of
THE BATTEN FOUNDATION

Account Number
9731-9107

TAX YEAR 2018
YEAR-END SUMMARY

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol		CUSIP Number	Quantity/Par	Date Acquired	Date Sold		Total Proceeds		(-)Cost Basis	(+)Wash Sale Loss Disallowed		(=)Realized Gain or (Loss)
ISHARES CORE MSCI EAFE ETF		46432F842	400.00	12/02/15	05/14/18	$	27,163.28	$	22,444 13	--	$	4,719.15
ISHARES CORE MSCI EAFE ETF		46432F842	400.00	12/02/15	05/14/18	$	27,163 68	$	22,444 12	--	$	4,719.56
ISHARES CORE MSCI EAFE ETF		46432F842	400.00	12/02/15	05/14/18	$	27,163.68	$	22,444.12	--	$	4,719 56
ISHARES CORE MSCI EAFE ETF		46432F842	400.00	12/02/15	05/14/18	$	27,165 28	$	22,444 12	--	$	4,721.16
ISHARES CORE MSCI EAFE ETF		46432F842	700.00	12/02/15	05/14/18	$	47,535.74	$	39,277 22	--	$	8,258.52
ISHARES CORE MSCI EAFE ETF		46432F842	1,000 00	12/02/15	05/14/18	$	67,909.21	$	56,110.31	--	$	11,798.90
ISHARES CORE MSCI EAFE ETF		46432F842	1,000.00	12/02/15	05/14/18	$	67,909 21	$	56,110 31	--	$	11,798.90
ISHARES CORE MSCI EAFE ETF		46432F842	1,000 00	12/02/15	05/14/18	$	67,909.21	$	56,110 31	--	$	11,798.90
ISHARES CORE MSCI EAFE ETF		46432F842	1,000.00	12/02/15	05/14/18	$	67,909 21	$	56,110 31	--	$	11,798.90
ISHARES CORE MSCI EAFE ETF		46432F842	1,000 00	12/02/15	05/14/18	$	67,909.21	$	56,110.31	--	$	11,798 90
ISHARES CORE MSCI EAFE ETF		46432F842	1,000.00	12/02/15	05/14/18	$	67,909.21	$	56,110 31	--	$	11,798.90
ISHARES CORE MSCI EAFE ETF		46432F842	1,400 00	12/02/15	05/14/18	$	95,071.49	$	78,554.44	--	$	16,517 05
ISHARES CORE MSCI EAFE ETF		46432F842	1,500.00	12/02/15	05/14/18	$	101,877.31	$	84,165 47	--	$	17,711.84
ISHARES CORE MSCI EAFE ETF		46432F842	1,800.00	12/02/15	05/14/18	$	122,252.78	$	100,998 56	--	$	21,254.22
ISHARES CORE MSCI EAFE ETF		46432F842	1,800 00	12/02/15	05/14/18	$	122,252.78	$	100,998.56	--	$	21,254 22
ISHARES CORE MSCI EAFE ETF		46432F842	5,600.00	12/02/15	05/14/18	$	380,285.93	$	314,217 76	--	$	66,068.17
Security Subtotal						**$**	**1,500,833.15**	**$**	**1,240,037.87**	**--**	**$**	**260,795.28**
ITOCHU CORP ADR	FSPONSORED	465717106	173 00	05/08/17	06/21/18	$	6,243.98	$	5,022.87	--	$	1,221.11
ITOCHU CORP ADR	FSPONSORED	465717106	342 00	05/08/17	06/21/18	$	12,343.58	$	9,922 27	--	$	2,421 31

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Brokerage Account of
THE BATTEN FOUNDATION

Account Number
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TAX YEAR 2018
YEAR-END SUMMARY

Date Prepared: February 8, 2019

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Long-Term Realized Gain or (Loss) (continued)

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ITOCHU CORP FSPONSORED ADR	465717106	308 00	06/16/17	09/10/18 $	10,856 53 $	8,930 79	-- $	1,925 74
Security Subtotal				**$**	**29,444.09 $**	**23,875.93**	**-- $**	**5,568.16**
J G C CORP FSPONSORED ADR	466140100	185 00	05/08/17	06/21/18 $	7,096 24 $	5,902.01	-- $	1,194 23
J G C CORP FSPONSORED ADR	466140100	584 00	05/08/17	06/21/18 $	22,401.12 $	18,616 45	-- $	3,784 67
Security Subtotal				**$**	**29,497.36 $**	**24,518.46**	**-- $**	**4,978.90**
J P MORGAN CHASE & CO	46625H100	1,315 00	05/08/17	06/21/18 $	140,414 44 $	114,541 45	-- $	25,872 99
J P MORGAN CHASE & CO	46625H100	207 00	08/01/17	09/10/18 $	23,535 63 $	19,262 16	-- $	4,273.47
Security Subtotal				**$**	**163,950.07 $**	**133,803.61**	**-- $**	**30,146.46**
J SAINSBURY PLC FSPONSORED ADR	466249208	1,266 00	06/16/17	09/10/18 $	21,051 53 $	16,646 52	-- $	4,405 01
Security Subtotal				**$**	**21,051.53 $**	**16,646.52**	**-- $**	**4,405.01**
KASIKORNBANK PUBLIC FSPONSORED ADR	485785109	15 00	05/08/17	09/10/18 $	379.66 $	333.27	-- $	46.39
KASIKORNBANK PUBLIC FSPONSORED ADR	485785109	100 00	05/08/17	09/10/18 $	2,531.17 $	2,221.80	-- $	309 37
KASIKORNBANK PUBLIC FSPONSORED ADR	485785109	100 00	05/08/17	09/10/18 $	2,531.17 $	2,221.80	-- $	309.37
KASIKORNBANK PUBLIC FSPONSORED ADR	485785109	100.00	05/08/17	09/10/18 $	2,531.17 $	2,221.81	-- $	309.36
KASIKORNBANK PUBLIC FSPONSORED ADR	485785109	100.00	05/08/17	09/10/18 $	2,534.17 $	2,221.81	-- $	312.36

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
KASIKORNBANK PUBLIC FSPONSORED ADR	485785109	200.00	05/08/17	09/10/18 $	5,062 32 $	4,443.61	-- $	618 71
Security Subtotal				$	**15,569.66 $**	**13,664.10**	-- $	**1,905.56**
KERING S A FSPONSORED ADR	492089107	318.00	05/08/17	06/21/18 $	17,650 18 $	10,085.55	-- $	7,564.63
KERING S A FSPONSORED ADR	492089107	145.00	08/01/17	09/10/18 $	7,538 58 $	5,067.48	-- $	2,471.10
Security Subtotal				$	**25,188.76 $**	**15,153.03**	-- $	**10,035.73**
KOMATSU LTD FSPONSORED ADR	500458401	195.00	05/08/17	06/21/18 $	5,537.10 $	4,967.89	-- $	569.21
KOMATSU LTD FSPONSORED ADR	500458401	388.00	05/08/17	06/21/18 $	11,017 40 $	9,895.85	-- $	1,121.55
KOMATSU LTD FSPONSORED ADR	500458401	583.00	05/08/17	06/21/18 $	16,555 97 $	14,852.72	-- $	1,703.25
Security Subtotal				$	**33,110.47 $**	**29,716.46**	-- $	**3,394.01**
KONINKLIJKE PHILIPS N FSPONSORED ADR	500472303	8 00	05/08/17	09/10/18 $	352.03 $	288.62	-- $	63.41
KONINKLIJKE PHILIPS N FSPONSORED ADR	500472303	100 00	05/08/17	09/10/18 $	4,400.34 $	3,607.80	-- $	792.54
KONINKLIJKE PHILIPS N FSPONSORED ADR	500472303	100 00	05/08/17	09/10/18 $	4,400.34 $	3,607.81	-- $	792.53
KONINKLIJKE PHILIPS N FSPONSORED ADR	500472303	101.00	05/08/17	09/10/18 $	4,444.34 $	3,643.88	-- $	800.46
Security Subtotal				$	**13,597.05 $**	**11,148.11**	-- $	**2,448.94**

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Brokerage Account of
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TAX YEAR 2018
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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
LEAR CORP	521865204	89.00	05/08/17	06/21/18 $	17,758 28 $	12,726.66	-- $	5,031 62
LEAR CORP	521865204	100.00	05/08/17	06/21/18 $	19,957.62 $	14,299 62	-- $	5,658.00
Security Subtotal				**$**	**37,715.90 $**	**27,026.28**	**-- $**	**10,689.62**
LILLY ELI & CO	532457108	652.00	08/01/17	09/10/18 $	69,549 51 $	53,710 19	-- $	15,839 32
Security Subtotal				**$**	**69,549.51 $**	**53,710.19**	**-- $**	**15,839.32**
LONZA GROUP AG FSPONSORED ADR	54338V101	445 00	05/08/17	06/21/18 $	12,099.08 $	9,207.55	-- $	2,891.53
LONZA GROUP AG FSPONSORED ADR	54338V101	663.00	05/08/17	06/21/18 $	18,026.26 $	13,737.01	-- $	4,289 25
Security Subtotal				**$**	**30,125.34 $**	**22,944.56**	**-- $**	**7,180.78**
LOWES COMPANIES INC	548661107	635.00	08/01/17	09/10/18 $	71,404 95 $	49,427.00	-- $	21,977 95
Security Subtotal				**$**	**71,404.95 $**	**49,427.00**	**-- $**	**21,977.95**
LVMH MOET HENNESSY LOU FSPONSORED ADR	502441306	383 00	05/08/17	06/21/18 $	25,302.98 $	19,621.25	-- $	5,681.73
LVMH MOET HENNESSY LOU FSPONSORED ADR	502441306	100.00	08/01/17	09/10/18 $	6,608 46 $	5,097 78	-- $	1,510 68
Security Subtotal				**$**	**31,911.44 $**	**24,719.03**	**-- $**	**7,192.41**
MACQUARIE GROUP LTD FSPONSORED ADR	55607P204	88.00	05/08/17	06/21/18 $	7,905.26 $	6,123.25	-- $	1,782.01
MACQUARIE GROUP LTD FSPONSORED ADR	55607P204	100.00	05/08/17	06/21/18 $	8,983.25 $	6,958.23	-- $	2,025.02

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Brokerage Account of
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TAX YEAR 2018
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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
MACQUARIE GROUP LTD FSPONSORED ADR	55607P204	74 00	06/16/17	09/10/18 $	6,448.05 $	5,104 29	-- $	1,343.76
MACQUARIE GROUP LTD FSPONSORED ADR	55607P204	306.00	08/01/17	09/10/18 $	26,663 57 $	21,215.34	-- $	5,448 23
Security Subtotal				**$**	**50,000.13 $**	**39,401.11**	**-- $**	**10,599.02**
MAKITA CORP FSPONSORED ADR	560877300	557.00	06/16/17	09/10/18 $	23,990.30 $	20,345 09	-- $	3,645 21
Security Subtotal				**$**	**23,990.30 $**	**20,345.09**	**-- $**	**3,645.21**
MASTERCARD INC CLASS A	57636Q104	482 00	05/08/17	06/21/18 $	97,032 92 $	56,210.97	-- $	40,821.95
MASTERCARD INC CLASS A	57636Q104	6.00	08/01/17	09/10/18 $	1,272.20 $	777.68	-- $	494.52
MASTERCARD INC CLASS A	57636Q104	6.00	08/01/17	09/10/18 $	1,272.20 $	777.68	-- $	494.52
MASTERCARD INC CLASS A	57636Q104	28 00	08/01/17	09/10/18 $	5,936 93 $	3,629.19	-- $	2,307.74
Security Subtotal				**$**	**105,514.25 $**	**61,395.52**	**-- $**	**44,118.73**
METHANEX CORP F	59151K108	100 00	05/08/17	06/21/18 $	6,861.55 $	4,195 86	-- $	2,665.69
METHANEX CORP F	59151K108	100.00	05/08/17	06/21/18 $	6,861.55 $	4,195 86	-- $	2,665 69
METHANEX CORP F	59151K108	377 00	05/08/17	06/21/18 $	25,868.06 $	15,818.38	-- $	10,049 68
Security Subtotal				**$**	**39,591.16 $**	**24,210.10**	**-- $**	**15,381.06**

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Long-Term Realized Gain or (Loss) (continued)

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METROPOLITAN WEST TOTAL RETURN BOND I	592905509	69,000.00	10/17/14	05/14/18 $	713,445 00 $	753,498 85	-- $	(40,053.85)
Security Subtotal				$	**713,445.00 $**	**753,498.85**	**-- $**	**(40,053.85)**
MICROSOFT CORP	594918104	2,495.00	05/08/17	06/21/18 $	252,246 25 $	172,010 25	-- $	80,236 00
MICROSOFT CORP	594918104	9 00	08/01/17	09/10/18 $	984.62 $	653.36	-- $	331.26
MICROSOFT CORP	594918104	100 00	08/01/17	09/10/18 $	10,940 26 $	7,259 60	-- $	3,680.66
MICROSOFT CORP	594918104	100.00	08/01/17	09/10/18 $	10,940 26 $	7,259.60	-- $	3,680.66
MICROSOFT CORP	594918104	100.00	08/01/17	09/10/18 $	10,940.26 $	7,259 61	-- $	3,680.65
Security Subtotal				$	**286,051.65 $**	**194,442.42**	**-- $**	**91,609.23**
MITSUBISHI CO FSPONSORED ADR	606769305	529.00	07/18/17	09/10/18 $	29,885.81 $	22,717.57	-- $	7,168.24
Security Subtotal				$	**29,885.81 $**	**22,717.57**	**-- $**	**7,168.24**
MITSUI & CO LTD FSPONSORED ADR	606827202	60 00	05/08/17	06/21/18 $	19,776.79 $	17,173.35	-- $	2,603 44
Security Subtotal				$	**19,776.79 $**	**17,173.35**	**-- $**	**2,603.44**
MOTOROLA SOLUTIONS	620076307	243 00	06/16/17	09/10/18 $	30,866 62 $	20,591 91	-- $	10,274 71
MOTOROLA SOLUTIONS	620076307	24 00	08/01/17	09/10/18 $	3,048.55 $	2,207 56	-- $	840.99
Security Subtotal				$	**33,915.17 $**	**22,799.47**	**-- $**	**11,115.70**
MSCI INC	55354G100	265 00	05/08/17	06/21/18 $	45,170 34 $	26,030 60	-- $	19,139.74

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Long-Term Realized Gain or (Loss) (continued)

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MSCI INC	55354G100	51 00	08/01/17	09/10/18	$ 9,100 48	$ 5,639 94	--	$ 3,460 54
Security Subtotal					**$ 54,270.82**	**$ 31,670.54**	**--**	**$ 22,600.28**
NASPERS LTD FUNSPONSORED ADR	631512209	100 00	05/08/17	06/21/18	$ 4,758 52	$ 3,863.74	--	$ 894 78
NASPERS LTD FUNSPONSORED ADR	631512209	588 00	05/08/17	06/21/18	$ 27,934.82	$ 22,718.78	--	$ 5,216 04
Security Subtotal					**$ 32,693.34**	**$ 26,582.52**	**--**	**$ 6,110.82**
NETFLIX INC	64110L106	276 00	05/08/17	06/21/18	$ 113,181 46	$ 43,165.83	--	$ 70,015.63
Security Subtotal					**$ 113,181.46**	**$ 43,165.83**	**--**	**$ 70,015.63**
NEXTERA ENERGY INC	65339F101	313 00	05/08/17	09/10/18	$ 53,968.38	$ 42,244 30	--	$ 11,724.08
Security Subtotal					**$ 53,968.38**	**$ 42,244.30**	**--**	**$ 11,724.08**
NIKON CORP PLC FSPONSORED ADR	654111202	73 00	05/08/17	09/10/18	$ 1,320.34	$ 1,083.22	--	$ 237.12
NIKON CORP PLC FSPONSORED ADR	654111202	500 00	05/08/17	09/10/18	$ 9,058.45	$ 7,442 14	--	$ 1,616 31
NIKON CORP PLC FSPONSORED ADR	654111202	503 00	05/08/17	09/10/18	$ 9,112 80	$ 7,463.81	--	$ 1,648.99
NIKON CORP PLC FSPONSORED ADR	654111202	655.00	05/08/17	09/10/18	$ 11,866.58	$ 9,749.21	--	$ 2,117 37
Security Subtotal					**$ 31,358.17**	**$ 25,738.38**	**--**	**$ 5,619.79**

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
NINTENDO LTD FSPONSORED ADR	654445303	331.00	05/08/17	06/21/18 $	13,817.43 $	10,616.48	-- $	3,200.95
Security Subtotal				$	**13,817.43 $**	**10,616.48**	**-- $**	**3,200.95**
NOVO-NORDISK A S FSPONSORED ADR	670100205	506 00	05/08/17	09/10/18 $	24,500.36 $	20,526.18	-- $	3,974.18
Security Subtotal				$	**24,500.36 $**	**20,526.18**	**-- $**	**3,974.18**
NVIDIA CORP	67066G104	386 00	05/08/17	06/21/18 $	100,145 58 $	39,674 17	-- $	60,471.41
Security Subtotal				$	**100,145.58 $**	**39,674.17**	**-- $**	**60,471.41**
OCCIDENTAL PETROL CO	674599105	616 00	05/08/17	06/21/18 $	50,890.03 $	37,334.55	-- $	13,555.48
OCCIDENTAL PETROL CO	674599105	105.00	08/01/17	09/10/18 $	8,078.22 $	6,465.60	-- $	1,612.62
Security Subtotal				$	**58,968.25 $**	**43,800.15**	**-- $**	**15,168.10**
PAYPAL HOLDINGS INCORPOR	70450Y103	629.00	08/01/17	09/10/18 $	56,510.60 $	37,329 81	-- $	19,180.79
Security Subtotal				$	**56,510.60 $**	**37,329.81**	**-- $**	**19,180.79**
PERNOD RICARD S A FSPONSORED ADR	714264207	405.00	05/08/17	06/21/18 $	13,116.88 $	10,511 46	-- $	2,605.42
Security Subtotal				$	**13,116.88 $**	**10,511.46**	**-- $**	**2,605.42**
PETROLEO BRASILEIRO FSPONSORED ADR	71654V408	1,754.00	06/16/17	09/10/18 $	19,169 77 $	14,177 27	-- $	4,992.50

Exhibit B

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Brokerage Account of
THE BATTEN FOUNDATION

Account Number
9731-9107

TAX YEAR 2018
YEAR-END SUMMARY

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Long-Term Realized Gain or (Loss) (continued)

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PETROLEO BRASILEIRO FSPONSORED ADR	71654V408	875 00	08/01/17	09/10/18 $	9,563 03 $	7,652 45	--	$ 1,910.58
Security Subtotal				$	**28,732.80 $**	**21,829.72**	--	$ **6,903.08**
PFIZER INC	717081103	2,477 00	05/08/17	09/10/18 $	104,436.94 $	82,860.60	--	$ 21,576.34
PFIZER INC	717081103	302.00	08/01/17	09/10/18 $	12,733.13 $	9,995 11	--	$ 2,738.02
Security Subtotal				$	**117,170.07 $**	**92,855.71**	--	$ **24,314.36**
PING AN INSURNCE GP FSPONSORED ADR	72341E304	1,041.00	05/08/17	06/21/18 $	20,034.04 $	11,607.94	--	$ 8,426.10
PING AN INSURNCE GP FSPONSORED ADR	72341E304	478.00	08/01/17	09/10/18 $	8,984 82 $	7,437.71	--	$ 1,547.11
PING AN INSURNCE GP FSPONSORED ADR	72341E304	500 00	08/01/17	09/10/18 $	9,398 35 $	7,780 03	--	$ 1,618.32
Security Subtotal				$	**38,417.21 $**	**26,825.68**	--	$ **11,591.53**
POSCO FSPONSORED ADR	693483109	400.00	05/08/17	06/21/18 $	30,679.53 $	23,550.47	--	$ 7,129.06
POSCO FSPONSORED ADR	693483109	86.00	05/10/17	06/21/18 $	6,596 10 $	5,074.65	--	$ 1,521.45
Security Subtotal				$	**37,275.63 $**	**28,625.12**	--	$ **8,650.51**
PUBLIC JOINT STOCK CO FSPONSORED ADR	69343P105	272.00	05/08/17	06/21/18 $	17,669 38 $	13,343 83	--	$ 4,325 55
PUBLIC JOINT STOCK CO FSPONSORED ADR	69343P105	296 00	06/16/17	09/10/18 $	19,544.84 $	13,886 34	--	$ 5,658.50

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
PUBLIC JOINT STOCK CO FSPONSORED ADR	69343P105	237 00	08/01/17	09/10/18 $	15,649 07 $	11,247.64	-- $	4,401.43
Security Subtotal				**$**	**52,863.29 $**	**38,477.81**	**-- $**	**14,385.48**
REGIONS FINL CO	7591EP100	2,025.00	05/08/17	06/21/18 $	37,928.48 $	29,063.70	-- $	8,864 78
Security Subtotal				**$**	**37,928.48 $**	**29,063.70**	**-- $**	**8,864.78**
RIO TINTO PLC FSPONSORED ADR	767204100	89.00	05/08/17	06/21/18 $	4,879 00 $	3,416 35	-- $	1,462 65
RIO TINTO PLC FSPONSORED ADR	767204100	400 00	05/08/17	06/21/18 $	21,930.46 $	15,354.37	-- $	6,576.09
RIO TINTO PLC FSPONSORED ADR	767204100	132 00	06/16/17	09/10/18 $	6,118.45 $	5,192 55	-- $	925.90
Security Subtotal				**$**	**32,927.91 $**	**23,963.27**	**-- $**	**8,964.64**
ROYAL DSM N V FSPONSORED ADR	780249108	399.00	05/08/17	06/21/18 $	10,000 50 $	7,174.18	-- $	2,826 32
ROYAL DSM N V FSPONSORED ADR	780249108	1,113.00	05/08/17	06/21/18 $	27,896 12 $	19,949.91	-- $	7,946.21
Security Subtotal				**$**	**37,896.62 $**	**27,124.09**	**-- $**	**10,772.53**
ROYAL DUTCH SHELL FSPONSORED ADR	780259206	1,105 00	05/08/17	06/21/18 $	73,804 78 $	60,178.83	-- $	13,625.95
Security Subtotal				**$**	**73,804.78 $**	**60,178.83**	**-- $**	**13,625.95**
SAFRAN FSPONSORED ADR	786584102	485 00	05/08/17	06/21/18 $	13,931.35 $	10,324 78	-- $	3,606 57

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Long-Term Realized Gain or (Loss) (continued)

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SAFRAN	FSPONSORED ADR	786584102	230.00	06/16/17	09/10/18 $	7,708.00 $	5,129.35	-- $	2,578 65
Security Subtotal					$	**21,639.35 $**	**15,454.13**	-- $	**6,185.22**
SENSATA TECH	F	G8060N102	37 00	05/08/17	06/21/18 $	1,913.71 $	1,474.31	-- $	439.40
SENSATA TECH	F	G8060N102	100 00	05/08/17	06/21/18 $	5,172.17 $	3,984 62	-- $	1,187 55
SENSATA TECH	F	G8060N102	150.00	05/08/17	06/21/18 $	7,759 46 $	5,968 41	-- $	1,791 05
SENSATA TECH	F	G8060N102	362 00	05/08/17	06/21/18 $	18,726.15 $	14,424 33	-- $	4,301 82
Security Subtotal					$	**33,571.49 $**	**25,851.67**	-- $	**7,719.82**
SHOPRITE HOLDINGS LTD FSPONSORED ADR		82510E209	391 00	05/08/17	06/21/18 $	6,455.56 $	5,745.61	-- $	709.95
SHOPRITE HOLDINGS LTD FSPONSORED ADR		82510E209	735.00	05/08/17	06/21/18 $	12,135 14 $	10,763.59	-- $	1,371.55
Security Subtotal					$	**18,590.70 $**	**16,509.20**	-- $	**2,081.50**
SOFTBANK GRP CORP FSPONSORED ADR		83404D109	497 00	05/08/17	09/10/18 $	22,009.43 $	18,930.21	-- $	3,079.22
SOFTBANK GRP CORP FSPONSORED ADR		83404D109	133.00	05/10/17	09/10/18 $	5,889.85 $	5,098 72	-- $	791 13
Security Subtotal					$	**27,899.28 $**	**24,028.93**	-- $	**3,870.35**
SONOVA HOLDING A G FSPONSORED ADR		83569C102	28.00	05/08/17	09/10/18 $	1,125.14 $	843 45	-- $	281 69
SONOVA HOLDING A G FSPONSORED ADR		83569C102	350 00	05/08/17	09/10/18 $	14,057 28 $	10,543.08	-- $	3,514.20

Exhibit B

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Brokerage Account of
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TAX YEAR 2018
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Long-Term Realized Gain or (Loss) (continued)

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SONOVA HOLDING A G FSPONSORED ADR		83569C102	472 00	05/08/17	09/10/18 $	18,966.69 $	14,220 32	-- $	4,746.37
Security Subtotal					**$**	**34,149.11 $**	**25,606.85**	**-- $**	**8,542.26**
SONY CORP ADR	FSPONSORED	835699307	464.00	05/08/17	06/21/18 $	22,722 63 $	16,326.52	-- $	6,396 11
SONY CORP ADR	FSPONSORED	835699307	142.00	05/10/17	06/21/18 $	6,953.91 $	5,060 15	-- $	1,893.76
Security Subtotal					**$**	**29,676.54 $**	**21,386.67**	**-- $**	**8,289.87**
SUNCOR ENERGY INC	F	867224107	100.00	06/16/17	09/10/18 $	3,870 89 $	2,973.55	-- $	897 34
SUNCOR ENERGY INC	F	867224107	100 00	06/16/17	09/10/18 $	3,870 89 $	2,973 55	-- $	897.34
SUNCOR ENERGY INC	F	867224107	100.00	06/16/17	09/10/18 $	3,870 89 $	2,973 55	-- $	897.34
SUNCOR ENERGY INC	F	867224107	100.00	06/16/17	09/10/18 $	3,870.89 $	2,973 55	-- $	897.34
SUNCOR ENERGY INC	F	867224107	124.00	06/16/17	09/10/18 $	4,799.90 $	3,687.20	-- $	1,112.70
SUNCOR ENERGY INC	F	867224107	177.00	06/16/17	09/10/18 $	6,851.52 $	5,263 18	-- $	1,588.34
SUNCOR ENERGY INC	F	867224107	200.00	06/16/17	09/10/18 $	7,741.78 $	5,947.10	-- $	1,794.68
SUNCOR ENERGY INC	F	867224107	10.00	08/01/17	09/10/18 $	387 08 $	322 20	-- $	64 88
SUNCOR ENERGY INC	F	867224107	76.00	08/01/17	09/10/18 $	2,941.88 $	2,448.75	-- $	493 13
SUNCOR ENERGY INC	F	867224107	100.00	08/01/17	09/10/18 $	3,870 89 $	3,222 04	-- $	648.85
SUNCOR ENERGY INC	F	867224107	100 00	08/01/17	09/10/18 $	3,870.89 $	3,222.04	-- $	648 85
SUNCOR ENERGY INC	F	867224107	190 00	08/01/17	09/10/18 $	7,354 69 $	6,121 88	-- $	1,232.81
Security Subtotal					**$**	**53,302.19 $**	**42,128.59**	**-- $**	**11,173.60**

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Long-Term Realized Gain or (Loss) (continued)

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Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
SVENSKA CELLULOSA AKTI FSPONSORED ADR	869587402	293.00	05/08/17	06/21/18 $	3,155.02 $	1,958.23	-- $	1,196.79
Security Subtotal				$	**3,155.02 $**	**1,958.23**	**-- $**	**1,196.79**
SWIRE PACIFIC LTD FSPONSORED ADR	870794302	149.00	05/08/17	09/10/18 $	1,604.43 $	1,424.23	-- $	180 20
SWIRE PACIFIC LTD FSPONSORED ADR	870794302	733 00	05/08/17	09/10/18 $	7,933 25 $	7,006 47	-- $	926 78
SWIRE PACIFIC LTD FSPONSORED ADR	870794302	867.00	05/08/17	09/10/18 $	9,383.53 $	8,289.56	-- $	1,093 97
SWIRE PACIFIC LTD FSPONSORED ADR	870794302	900 00	05/08/17	09/10/18 $	9,740.69 $	8,605 08	-- $	1,135.61
Security Subtotal				$	**28,661.90 $**	**25,325.34**	**-- $**	**3,336.56**
SYMRISE AG FSPONSORED ADR	87155N109	464.00	05/08/17	09/10/18 $	10,480.12 $	8,230.60	-- $	2,249.52
SYMRISE AG FSPONSORED ADR	87155N109	489 00	05/08/17	09/10/18 $	11,044.78 $	8,667.10	-- $	2,377.68
SYMRISE AG FSPONSORED ADR	87155N109	283.00	06/16/17	09/10/18 $	6,391 97 $	5,106 03	-- $	1,285 94
SYMRISE AG FSPONSORED ADR	87155N109	288 00	08/01/17	09/10/18 $	6,504.89 $	5,089 59	-- $	1,415.30
Security Subtotal				$	**34,421.76 $**	**27,093.32**	**-- $**	**7,328.44**
TE CONNECTIVITY LTD F	H84989104	139 00	05/08/17	06/21/18 $	13,294.92 $	10,506 71	-- $	2,788 21
TE CONNECTIVITY LTD F	H84989104	279.00	05/08/17	06/21/18 $	26,685.49 $	21,140 79	-- $	5,544.70
Security Subtotal				$	**39,980.41 $**	**31,647.50**	**-- $**	**8,332.91**

Exhibit B

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Brokerage Account of
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TAX YEAR 2018
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Long-Term Realized Gain or (Loss) (continued)

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TELEFLEX INCORPORATE	879369106	131.00	05/08/17	06/21/18 $	36,142 72 $	25,548.64	-- $	10,594 08
TELEFLEX INCORPORATE	879369106	34.00	08/01/17	09/10/18 $	8,574.33 $	6,955.23	-- $	1,619 10
Security Subtotal				**$**	**44,717.05 $**	**32,503.87**	**-- $**	**12,213.18**
TENCENT HOLDINGS FSPONSORED ADR	88032Q109	100.00	05/08/17	06/21/18 $	5,001.66 $	3,153.27	-- $	1,848.39
TENCENT HOLDINGS FSPONSORED ADR	88032Q109	300.00	05/08/17	06/21/18 $	15,005.90 $	9,459.80	-- $	5,546 10
TENCENT HOLDINGS FSPONSORED ADR	88032Q109	454.00	05/08/17	06/21/18 $	22,703 03 $	14,315 83	-- $	8,387.20
TENCENT HOLDINGS FSPONSORED ADR	88032Q109	1,000.00	05/08/17	06/21/18 $	50,006.68 $	31,532 67	-- $	18,474.01
Security Subtotal				**$**	**92,717.27 $**	**58,461.57**	**-- $**	**34,255.70**
TESCO PLC FSPONSORED ADR	881575302	1,000.00	07/18/17	09/10/18 $	9,356.10 $	6,920.48	-- $	2,435.62
TESCO PLC FSPONSORED ADR	881575302	1,779.00	07/18/17	09/10/18 $	16,630.26 $	12,311.54	-- $	4,318.72
Security Subtotal				**$**	**25,986.36 $**	**19,232.02**	**-- $**	**6,754.34**
TEXAS INSTRUMENTS	882508104	741 00	08/01/17	09/10/18 $	80,298 55 $	60,552.06	-- $	19,746.49
Security Subtotal				**$**	**80,298.55 $**	**60,552.06**	**-- $**	**19,746.49**
TJX COMPANIES INC	872540109	675.00	08/01/17	09/10/18 $	74,944.66 $	47,740 95	-- $	27,203.71
Security Subtotal				**$**	**74,944.66 $**	**47,740.95**	**-- $**	**27,203.71**
TORONTO-DOMINION BK F	891160509	814 00	05/08/17	06/21/18 $	47,039 73 $	38,124.57	-- $	8,915.16

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TORONTO-DOMINION BK F	891160509	245.00	05/10/17	06/21/18 $	14,158.15 $	11,466 05	-- $	2,692.10
Security Subtotal				$	**61,197.88 $**	**49,590.62**	**-- $**	**11,607.26**
TOTAL S A FSPONSORED ADR	89151E109	617.00	05/08/17	09/10/18 $	37,066.71 $	32,314 59	-- $	4,752.12
Security Subtotal				$	**37,066.71 $**	**32,314.59**	**-- $**	**4,752.12**
TOYOTA MOTOR CORP FSPONSORED ADR	892331307	395 00	05/08/17	06/21/18 $	52,276.59 $	43,513 02	-- $	8,763.57
TOYOTA MOTOR CORP FSPONSORED ADR	892331307	47.00	05/10/17	06/21/18 $	6,220 25 $	4,978.02	-- $	1,242 23
Security Subtotal				$	**58,496.84 $**	**48,491.04**	**-- $**	**10,005.80**
TREASURY WINE ESTATE FSPONSORED ADR	89465J109	920.00	05/08/17	06/21/18 $	12,660.84 $	8,586 71	-- $	4,074.13
TREASURY WINE ESTATE FSPONSORED ADR	89465J109	1,844.00	05/08/17	06/21/18 $	25,376 73 $	17,233.44	-- $	8,143.29
Security Subtotal				$	**38,037.57 $**	**25,820.15**	**-- $**	**12,217.42**
UNITED MICROELECTRONIC FSPONSORED ADR	910873405	1.00	05/08/17	06/21/18 $	2.92 $	2.02	-- $	0.90
UNITED MICROELECTRONIC FSPONSORED ADR	910873405	4,214.00	05/08/17	06/21/18 $	12,303.06 $	8,513.02	-- $	3,790.04
UNITED MICROELECTRONIC FSPONSORED ADR	910873405	8,386.00	05/08/17	06/21/18 $	24,483.51 $	16,922.87	-- $	7,560.64
Security Subtotal				$	**36,789.49 $**	**25,437.91**	**-- $**	**11,351.58**

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UNITEDHEALTH GRP INC	91324P102	417 00	05/08/17	06/21/18 $	105,075.60 $	72,746 43	-- $	32,329.17
Security Subtotal				$	**105,075.60 $**	**72,746.43**	**-- $**	**32,329.17**
UPM-KYMMENE CORP FSPONSORED ADR	915436109	328 00	05/08/17	06/21/18 $	11,599.20 $	8,782.23	-- $	2,816.97
UPM-KYMMENE CORP FSPONSORED ADR	915436109	479.00	05/08/17	06/21/18 $	16,939.07 $	12,832.09	-- $	4,106.98
Security Subtotal				$	**28,538.27 $**	**21,614.32**	**-- $**	**6,923.95**
UTD OVERSEAS BK FSPONSORED ADR	911271302	398 00	05/08/17	06/21/18 $	15,463 52 $	13,348 30	-- $	2,115 22
Security Subtotal				$	**15,463.52 $**	**13,348.30**	**-- $**	**2,115.22**
VAIL RESORTS INC	91879Q109	161.00	08/01/17	09/10/18 $	47,422.41 $	34,124.07	-- $	13,298.34
Security Subtotal				$	**47,422.41 $**	**34,124.07**	**-- $**	**13,298.34**
VALE SA FSPONSORED ADR	91912E105	1,777.00	06/16/17	09/10/18 $	23,132 38 $	14,007.71	-- $	9,124.67
VALE SA FSPONSORED ADR	91912E105	77.00	08/01/17	09/10/18 $	1,002.36 $	762.29	-- $	240 07
VALE SA FSPONSORED ADR	91912E105	423.00	08/01/17	09/10/18 $	5,506.47 $	4,187 66	-- $	1,318.81
Security Subtotal				$	**29,641.21 $**	**18,957.66**	**-- $**	**10,683.55**
VANGUARD S&P 500 ETF	922908363	2,600 00	02/17/16	05/14/18 $	653,422.30 $	459,820 80	-- $	193,601.50
VANGUARD S&P 500 ETF	922908363	1,139.00	06/24/16	05/14/18 $	286,249.23 $	213,154 31	-- $	73,094.92
Security Subtotal				$	**939,671.53 $**	**672,975.11**	**-- $**	**266,696.42**

Exhibit B

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Brokerage Account of
THE BATTEN FOUNDATION

Account Number
9731-9107

TAX YEAR 2018
YEAR-END SUMMARY

Date Prepared: February 8, 2019

YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.
The information in this and all subsequent sections is not provided to the IRS by Charles Schwab It is provided to you as additional tax reporting information you may need to complete your tax return

Long-Term Realized Gain or (Loss) (continued)

This section is for covered securities and corresponds to transactions reported on your 1099B as **"cost basis is reported to the IRS."** Report on Form 8949, Part II, with Box D checked

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold	Total Proceeds	(-)Cost Basis	(+)Wash Sale Loss Disallowed	(=)Realized Gain or (Loss)
VARIAN MEDICAL SYSTM	92220P105	285 00	05/08/17	06/21/18 $	33,516 03 $	27,236 70	-- $	6,279.33
Security Subtotal				**$**	**33,516.03 $**	**27,236.70**	**-- $**	**6,279.33**
VF CORP	918204108	237.00	06/16/17	09/10/18 $	21,358.89 $	13,355 16	-- $	8,003 73
VF CORP	918204108	1.00	08/01/17	09/10/18 $	90.13 $	62.54	-- $	27 59
VF CORP	918204108	317 00	08/01/17	09/10/18 $	28,568 65 $	19,823.77	-- $	8,744.88
Security Subtotal				**$**	**50,017.67 $**	**33,241.47**	**-- $**	**16,776.20**
VISA INC CLASS A	92826C839	802 00	05/08/17	06/21/18 $	108,169.65 $	73,724.79	-- $	34,444 86
VISA INC CLASS A	92826C839	79.00	08/01/17	09/10/18 $	11,398 03 $	7,973 68	-- $	3,424.35
Security Subtotal				**$**	**119,567.68 $**	**81,698.47**	**-- $**	**37,869.21**
VIVENDI SA FSPONSORED ADR	92852T201	480.00	05/08/17	06/21/18 $	11,795.10 $	9,817.11	-- $	1,977.99
Security Subtotal				**$**	**11,795.10 $**	**9,817.11**	**-- $**	**1,977.99**
VOYA FINL INC	929089100	704.00	05/08/17	06/21/18 $	34,982.41 $	25,764.31	-- $	9,218.10
VOYA FINL INC	929089100	151.00	08/01/17	09/10/18 $	7,294.84 $	5,999.65	-- $	1,295 19
Security Subtotal				**$**	**42,277.25 $**	**31,763.96**	**-- $**	**10,513.29**
WAL-MART STORES	931142103	510 00	07/18/17	09/10/18 $	49,476 70 $	38,866.95	-- $	10,609.75
Security Subtotal				**$**	**49,476.70 $**	**38,866.95**	**-- $**	**10,609.75**
WOLTERS KLUWER N V FSPONSORED ADR	977874205	210.00	05/08/17	06/21/18 $	11,672.27 $	9,112 65	-- $	2,559 62

charles SCHWAB

Brokerage Account of
THE BATTEN FOUNDATION

Account Number
9731-9107

TAX YEAR 2018
YEAR-END SUMMARY

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Date Prepared: February 8, 2019

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Long-Term Realized Gain or (Loss) (continued)

This section is for covered securities and corresponds to transactions reported on your 1099B as **"cost basis is reported to the IRS."** Report on Form 8949, Part II, with Box D checked

Description OR Option Symbol	CUSIP Number	Quantity/Par	Date Acquired	Date Sold		Total Proceeds		(-)Cost Basis	(+)Wash Sale Loss Disallowed		(=)Realized Gain or (Loss)
WOLTERS KLUWER N V FSPONSORED ADR	977874205	339.00	05/08/17	06/21/18	$	18,842 39	$	14,701.96	--	$	4,140 43
Security Subtotal					**$**	**30,514.66**	**$**	**23,814.61**	**--**	**$**	**6,700.05**
YASKAWA ELECTRIC CO FSPONSORED ADR	985087105	137.00	05/08/17	06/21/18	$	10,001.18	$	5,471 32	--	$	4,529 86
YASKAWA ELECTRIC CO FSPONSORED ADR	985087105	212.00	05/08/17	06/21/18	$	15,477 33	$	8,499.66	--	$	6,977.67
YASKAWA ELECTRIC CO FSPONSORED ADR	985087105	288 00	05/08/17	06/21/18	$	21,025 81	$	11,501.76	--	$	9,524 05
Security Subtotal					**$**	**46,504.32**	**$**	**25,472.74**	**--**	**$**	**21,031.58**
21ST CENT FOX MERGER ELECTION	90130A101	1,025.00	07/18/17	09/10/18	$	46,103 15	$	28,059.20	--	$	18,043.95
Security Subtotal					**$**	**46,103.15**	**$**	**28,059.20**	**--**	**$**	**18,043.95**
Total Long-Term *(Cost basis is reported to the IRS)*					**$**	**11,570,659.61**	**$**	**8,908,870.76**	**--**	**$**	**2,661,788.85**
Total Long-Term					**$**	**11,570,659.61**	**$**	**8,908,870.76**	**--**	**$**	**2,661,788.85**