

For calendar year 2018, or tax year beginning 10-01-2018, and ending 09-30-2019

| | | | |
|--|--|---|--|
| Name of foundation HSU HWA CHAO FOUNDATION | | A Employer identification number 33-0591357 | |
| Number and street (or P.O. box number if mail is not delivered to street address) 114 W 47TH ST NY8-114-07-07 AFT | | Room/suite | B Telephone number (see instructions) (888) 866-3275 |
| City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 100361510 | | C If exemption application is pending, check here ▶ <input type="checkbox"/> | |
| G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change | | D 1. Foreign organizations, check here..... ▶ <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ... ▶ <input type="checkbox"/> | |
| H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation | | E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ <input type="checkbox"/> | |
| I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 3,344,501 | J Accounting method: <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> 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 ▶ <input type="checkbox"/> |

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).) | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|------------------------------------|---------------------------|-------------------------|---|
| Revenue | 1 Contributions, gifts, grants, etc., received (attach schedule) | | | | |
| | 2 Check ▶ <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B | | | | |
| | 3 Interest on savings and temporary cash investments | | | | |
| | 4 Dividends and interest from securities . . . | 87,203 | 87,203 | | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) _____ | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | -125,957 | | | |
| | b Gross sales price for all assets on line 6a _____ 2,164,297 | | | | |
| | 7 Capital gain net income (from Part IV, line 2) . . . | | 0 | | |
| | 8 Net short-term capital gain | | | 0 | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances _____ | | | | |
| Operating and Administrative Expenses | b Less: Cost of goods sold | | | | |
| | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 Total. Add lines 1 through 11 | -38,754 | 87,203 | | |
| | 13 Compensation of officers, directors, trustees, etc. | | | | |
| | 14 Other employee salaries and wages | | 0 | 0 | 0 |
| | 15 Pension plans, employee benefits | | 0 | 0 | |
| | 16a Legal fees (attach schedule) | | | | 0 |
| | b Accounting fees (attach schedule) | | | | |
| | c Other professional fees (attach schedule) | 5,676 | 3,405 | | 2,270 |
| | 17 Interest | | | | 0 |
| | 18 Taxes (attach schedule) (see instructions) | 11,686 | 172 | | 0 |
| | 19 Depreciation (attach schedule) and depletion | 0 | 0 | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | 0 | 0 | |
| | 22 Printing and publications | | 0 | 0 | |
| | 23 Other expenses (attach schedule) | 85 | | | 85 |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | 17,447 | 3,577 | 0 | 2,355 |
| | 25 Contributions, gifts, grants paid | 391,000 | | | 391,000 |
| | 26 Total expenses and disbursements. Add lines 24 and 25 | 408,447 | 3,577 | 0 | 393,355 |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | -447,201 | | | |
| | b Net investment income (if negative, enter -0-) | | 83,626 | | |
| c Adjusted net income (if negative, enter -0-) | | | | 0 | |

| Part II Balance Sheets | | Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.) | | |
|--|--|--|----------------|-----------------------|
| | | Beginning of year | End of year | |
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 Cash—non-interest-bearing | -1,814 | 1,611 | 1,611 |
| | 2 Savings and temporary cash investments | 206,075 | 31,045 | 31,045 |
| | 3 Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____ | | 0 | 0 |
| | 4 Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____ 0 | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments—U.S. and state government obligations (attach schedule) | | | |
| | b Investments—corporate stock (attach schedule) | 1,600,306 | 753,229 | 914,803 |
| | c Investments—corporate bonds (attach schedule) | | | |
| | 11 Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____ | | | |
| | 12 Investments—mortgage loans | | | |
| | 13 Investments—other (attach schedule) | 1,698,659 | 2,270,025 | 2,397,042 |
| | 14 Land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____ | | | |
| 15 Other assets (describe ▶ _____) | | | | |
| 16 Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I) | 3,503,226 | 3,055,910 | 3,344,501 | |
| 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 (attach schedule) | | | |
| | 22 Other liabilities (describe ▶ _____) | | | |
| | 23 Total liabilities (add lines 17 through 22) | | 0 | |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31. | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31. | | | |
| | 27 Capital stock, trust principal, or current funds | 3,503,226 | 3,055,910 | |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | | | |
| 29 Retained earnings, accumulated income, endowment, or other funds | | | | |
| 30 Total net assets or fund balances (see instructions) | 3,503,226 | 3,055,910 | | |
| 31 Total liabilities and net assets/fund balances (see instructions) . | 3,503,226 | 3,055,910 | | |

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 | 3,503,226 |
| 2 Enter amount from Part I, line 27a | 2 | -447,201 |
| 3 Other increases not included in line 2 (itemize) ▶ _____ | 3 | 0 |
| 4 Add lines 1, 2, and 3 | 4 | 3,056,025 |
| 5 Decreases not included in line 2 (itemize) ▶ _____ | 5 | 115 |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 . | 6 | 3,055,910 |

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 See Additional Data Table | | | |
| 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 See Additional Data Table | | | |
| b | | | |
| c | | | |
| d | | | |
| e | | | |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|---|--|---|
| (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 See Additional Data Table | | | |
| b | | | |
| c | | | |
| d | | | |
| e | | | |

| | | |
|--|----------|--|
| 2 Capital gain net income or (net capital loss) <div style="display: flex; align-items: center; margin-top: 5px;"> <div style="flex: 1; border-left: 1px solid black; padding-left: 5px;"> If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 </div> <div style="width: 20px; text-align: center; border-left: 1px solid black; border-right: 1px solid black;"> 2 </div> <div style="width: 150px; text-align: right;">-125,957</div> </div> | | |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 | 3 | |

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes☐ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see 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 | | | |
| 2016 | | | |
| 2015 | | | |
| 2014 | | | |
| 2013 | | | |

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

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

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

| | | | |
|-----------|---|-----------|-------|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions) | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b | 1 | 1,673 |
| 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 | 1,673 |
| 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 | 1,673 |
| 6 | Credits/Payments: | | |
| a | 2018 estimated tax payments and 2017 overpayment credited to 2018 | 6a | 4,674 |
| b | Exempt foreign organizations—tax withheld at source | 6b | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | 0 |
| d | Backup withholding erroneously withheld | 6d | |
| 7 | Total credits and payments. Add lines 6a through 6d. | 7 | 4,674 |
| 8 | Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached. | 8 | 0 |
| 9 | Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed ▶ | 9 | |
| 10 | Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid ▶ | 10 | 3,001 |
| 11 | Enter the amount of line 10 to be: Credited to 2019 estimated tax ▶ 1,676 Refunded ▶ | 11 | 1,325 |

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 | No |
| b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? (see Instructions for definition). <i>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.</i> | 1b | No |
| c Did the foundation file Form 1120-POL for this year? | 1c | No |
| d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ _____ (2) On foundation managers. ▶ \$ _____ | | |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ _____ | | |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i> | 2 | No |
| 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? <i>If "Yes," attach a conformed copy of the changes</i> | 3 | No |
| 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year? | 4a | No |
| b If "Yes," has it filed a tax return on Form 990-T for this year? | 4b | |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i> | 5 | No |
| 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 | Yes |
| 7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i> | 7 | Yes |
| 8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CA _____ | | |
| 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? <i>If "No," attach explanation .</i> | 8b | Yes |
| 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 taxable year beginning in 2018? See the instructions for Part XIV. <i>If "Yes," complete Part XIV</i> | 9 | No |
| 10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i> | 10 | No |

Part VII-A Statements Regarding Activities (continued)

| | | | | |
|-----------|---|-----------|------------|-----------|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions. | 11 | | No |
| 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 | | No |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► _____ | 13 | Yes | |
| 14 | The books are in care of ► <u>BANK OF AMERICA</u> Telephone no. ► <u>(888) 866-3275</u> | | | |

Located at ► 114 W 47TH ST NY8-114-07-07 NEW YORK NY ZIP+4 ► 100361510

| | | | |
|-----------|---|-----------|-------------------------|
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ► 15 | | |
| 16 | At any time during calendar year 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? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign country ► _____ | 16 | Yes No |

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

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

| | | Yes | No |
|-----------|---|------------|-----------|
| 1a | During the year did the foundation (either directly or indirectly): | | |
| | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| | (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| | (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | |
| b | If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions <input type="checkbox"/> Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/> | 1b | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2018? | 1c | No |
| 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► 20____, 20____, 20____, 20____ | | |
| b | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.) | 2b | |
| c | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20____, 20____, 20____, 20____ | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.) | 3b | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | No |
| 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 | No |

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

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

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

| | | | | |
|---|--|--|--|--|
| 1 List all officers, directors, trustees, foundation managers and their compensation. See instructions | | | | |
| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
| PHYLIS Y HSIA | PRESIDENT | 0 | | |
| 3124 SCHOLARSHIP IRVINE, CA 92612 | 1 | | | |
| DAVID C HSIA | SECRETARY | 0 | | |
| 3124 SCHOLARSHIP IRVINE, CA 92612 | 1 | | | |
| SUSAN HSIA LEW | DIRECTOR | 0 | | |
| 1788 PORT STANHOPE CIRCLE NEWPORT BEACH, CA 92660 | 1 | | | |
| DANIEL HSIA | DIRECTOR | 0 | | |
| 1590 ROSECRANS AVE STE D406 MANHATTAN BEACH, CA 90266 | 1 | | | |
| 2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE." | | | | |
| (a) Name and address of each employee paid more than \$50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Total number of other employees paid over \$50,000. | | | | 0 |

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)
3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".

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

Part IX-A Summary of Direct Charitable Activities

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

| | Expenses |
|----------|----------|
| 1 | |
| | |
| | |
| 2 | |
| | |
| | |
| 3 | |
| | |
| | |
| 4 | |
| | |
| | |

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

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

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 | 3,386,046 |
| b | Average of monthly cash balances. | 1b | 169,764 |
| c | Fair market value of all other assets (see instructions). | 1c | 0 |
| d | Total (add lines 1a, b, and c). | 1d | 3,555,810 |
| 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 | 3,555,810 |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). | 4 | 53,337 |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 3,502,473 |
| 6 | Minimum investment return. Enter 5% of line 5. | 6 | 175,124 |

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 | 175,124 |
| 2a | Tax on investment income for 2018 from Part VI, line 5. | 2a | 1,673 |
| b | Income tax for 2018. (This does not include the tax from Part VI.). | 2b | |
| c | Add lines 2a and 2b. | 2c | 1,673 |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1. | 3 | 173,451 |
| 4 | Recoveries of amounts treated as qualifying distributions. | 4 | 0 |
| 5 | Add lines 3 and 4. | 5 | 173,451 |
| 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 | 173,451 |

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 | 393,355 |
| b | Program-related investments—total from Part IX-B. | 1b | 0 |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes. | 2 | 0 |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required). | 3a | 0 |
| b | Cash distribution test (attach the required schedule). | 3b | 0 |
| 4 | Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 393,355 |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions. | 5 | 0 |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4. | 6 | 393,355 |

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 | | | | 173,451 |
| 2 Undistributed income, if any, as of the end of 2018: | | | | |
| a Enter amount for 2017 only. | | | 185,768 | |
| b Total for prior years: 2016, 2015, 20____ | | 204,517 | | |
| 3 Excess distributions carryover, if any, to 2018: | | | | |
| a From 2013. 0 | | | | |
| b From 2014. 0 | | | | |
| c From 2015. 0 | | | | |
| d From 2016. 0 | | | | |
| e From 2017. 0 | | | | |
| f Total of lines 3a through e. | 0 | | | |
| 4 Qualifying distributions for 2018 from Part XII, line 4: ► \$ 393,355 | | | | |
| a Applied to 2017, but not more than line 2a | | | 185,768 | |
| b Applied to undistributed income of prior years (Election required—see instructions). | | 204,517 | | |
| c Treated as distributions out of corpus (Election required—see instructions). | 0 | | | |
| d Applied to 2018 distributable amount. | | | | 3,070 |
| e Remaining amount distributed out of corpus | 0 | | | |
| 5 Excess distributions carryover applied to 2018. (If an amount appears in column (d), the same amount must be shown in column (a).) | 0 | | | 0 |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 | 0 | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b. | | 0 | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. | | 0 | | |
| d Subtract line 6c from line 6b. Taxable amount—see instructions. | | 0 | | |
| e Undistributed income for 2017. Subtract line 4a from line 2a. Taxable amount—see instructions. | | | 0 | |
| f Undistributed income for 2018. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2019. | | | | 170,381 |
| 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 (see instructions). | 0 | | | |
| 9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a. | 0 | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2014. 0 | | | | |
| b Excess from 2015. 0 | | | | |
| c Excess from 2016. 0 | | | | |
| d Excess from 2017. 0 | | | | |
| e Excess from 2018. 0 | | | | |

Part XIV

1a 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 organization is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

| | | | | | | |
|----|---|----------|---------------|----------|----------|-----------|
| 2a | Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | Tax year | Prior 3 years | | | (e) Total |
| | | (a) 2018 | (b) 2017 | (c) 2016 | (d) 2015 | |
| | | | | | | |

| | | | | | |
|-----------------------------------|--|--|--|--|--|
| 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(i)(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(i)(3)(B)(iii). | | | | | |
|---|--|--|--|--|--|

| | | | | | |
|---|--|--|--|--|--|
| (3) Largest amount of support from an exempt organization | | | | | |
|---|--|--|--|--|--|

| | | | | | |
|-----------------------------|--|--|--|--|--|
| (4) Gross investment income | | | | | |
|-----------------------------|--|--|--|--|--|

Part XV

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).)

PHYLIS Y HSIA DAVID C HSIA

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.

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

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

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

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 <i>Paid during the year</i> See Additional Data Table | | | | |
| Total ▶ 3a | | | | |
| b <i>Approved for future payment</i> | | | | |
| Total ▶ 3b | | | | |

Enter gross amounts unless otherwise indicated.

[illegible]

Part XVII

- | | | | |
|--|--|------------|-----------|
| | | Yes | No |
|--|--|------------|-----------|

| | | |
|--|--|--|
| | | |
|--|--|--|

- | | | |
|-------|--|----|
| 1a(1) | | No |
| 1a(2) | | No |

| | | |
|--|--|--|
| | | |
|--|--|--|

- | | | |
|--------------|--|-----------|
| 1b(1) | | No |
| 1b(2) | | No |
| 1b(3) | | No |
| 1b(4) | | No |
| 1b(5) | | No |
| 1b(6) | | No |

| | | |
|----|--|----|
| 1c | | No |
|----|--|----|

value
ue

[illegible]

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 |
|--------------------------|--------------------------|---------------------------------|
| | | |
| | | |
| | | |
| | | |

May the IRS discuss this return with the preparer shown below
(see instr.)? ☒ Yes ☐ No

**Paid
Preparer
Use Only**

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---------------------------------|---|---|-------------------------------------|
| 1 | .54 INVESCO BALANCED RISK | | 2016-01-19 | 2018-12-24 |
| 1 | 873. INVESCO BALANCED RISK | | 2016-01-19 | 2018-12-24 |
| | 34. INVESCO BALANCED RISK | | 2016-12-13 | 2018-12-24 |
| | 1. INVESCO BALANCED RISK | | 2016-12-13 | 2018-12-24 |
| | 24. INVESCO BALANCED RISK | | 2016-12-13 | 2018-12-24 |
| | 1. INVESCO BALANCED RISK | | 2017-12-13 | 2018-12-24 |
| | 31. INVESCO BALANCED RISK | | 2017-12-13 | 2018-12-24 |
| | 1. INVESCO BALANCED RISK | | 2017-12-13 | 2018-12-24 |
| | 31. INVESCO BALANCED RISK | | 2017-12-13 | 2018-12-24 |
| | 989. AQR LONG-SHORT EQUITY FUND | | 2017-05-10 | 2018-12-26 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 5 | | 5 | |
| 8,861 | | 8,817 | 44 |
| 345 | | 361 | -16 |
| 10 | | 10 | |
| 244 | | 255 | -11 |
| 10 | | 10 | |
| 315 | | 335 | -20 |
| 10 | | 11 | -1 |
| 315 | | 335 | -20 |
| 10,474 | | 13,628 | -3,154 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | |
| | | | 44 |
| | | | -16 |
| | | | |
| | | | -11 |
| | | | |
| | | | -20 |
| | | | -1 |
| | | | -20 |
| | | | -3,154 |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d | | | |
|---|---|---|-------------------------------------|
| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
| 199. AQR LONG-SHORT EQUITY FUND | | 2017-05-31 | 2018-12-26 |
| 1 1. AQR LONG-SHORT EQUITY FUND | | 2017-05-31 | 2018-12-26 |
| 2. AQR LONG-SHORT EQUITY FUND | | 2017-12-21 | 2018-12-26 |
| .92 AQR LONG-SHORT EQUITY FUND | | 2017-12-21 | 2018-12-26 |
| 1. AQR LONG-SHORT EQUITY FUND | | 2017-12-21 | 2018-12-26 |
| 22. AQR LONG-SHORT EQUITY FUND | | 2017-12-21 | 2018-12-26 |
| 37. AQR LONG-SHORT EQUITY FUND | | 2017-12-21 | 2018-12-26 |
| 44. AQR LONG-SHORT EQUITY FUND | | 2018-12-20 | 2018-12-26 |
| 27. AQR LONG-SHORT EQUITY FUND | | 2018-12-20 | 2018-12-26 |
| .71 AQR LONG-SHORT EQUITY FUND | | 2018-12-20 | 2018-12-26 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 2,107 | | 2,740 | -633 |
| 11 | | 14 | -3 |
| 21 | | 28 | -7 |
| 10 | | 13 | -3 |
| 11 | | 14 | -3 |
| 233 | | 310 | -77 |
| 392 | | 522 | -130 |
| 466 | | 479 | -13 |
| 286 | | 294 | -8 |
| 8 | | 9 | -1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -633 |
| | | | -3 |
| | | | -7 |
| | | | -3 |
| | | | -3 |
| | | | -77 |
| | | | -130 |
| | | | -13 |
| | | | -8 |
| | | | -1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--------------------------------|---|---|-------------------------------------|
| 100. ACTIVISION BLIZZARD INC | | | 2018-06-19 | 2018-11-30 |
| 1 | 32. ALLIANCE DATA SYS CORP COM | | 2018-06-19 | 2018-11-30 |
| 8. AMERICAN TOWER REIT INC | | | 2018-12-24 | 2019-09-03 |
| 6. AMERICAN WATER WORKS CO INC | | | 2010-07-22 | 2019-09-03 |
| 1. AMGEN INC | | | 2018-06-19 | 2019-09-03 |
| 79. AMPHENOL CORP NEW CL A | | | 2018-06-19 | 2018-12-24 |
| 32. BIOMARIN PHARMACEUTICAL INC | | | 2018-05-17 | 2018-12-24 |
| 45. BIOMARIN PHARMACEUTICAL INC | | | 2018-06-19 | 2018-12-24 |
| 15. BLACKROCK INC CL A | | | 2018-06-19 | 2018-11-30 |
| 205000. BLACKROCK LIQUIDITY FUNDS TEMPCASH | | | 2019-02-19 | 2019-03-15 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 4,973 | | 7,703 | -2,730 |
| 6,366 | | 7,491 | -1,125 |
| 1,892 | | 1,228 | 664 |
| 775 | | 129 | 646 |
| 206 | | 186 | 20 |
| 6,004 | | 7,069 | -1,065 |
| 2,574 | | 2,810 | -236 |
| 3,620 | | 4,287 | -667 |
| 6,379 | | 7,886 | -1,507 |
| 205,103 | | 205,103 | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -2,730 |
| | | | -1,125 |
| | | | 664 |
| | | | 646 |
| | | | 20 |
| | | | -1,065 |
| | | | -236 |
| | | | -667 |
| | | | -1,507 |
| | | | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|----------------------------|---|---|-------------------------------------|
| 424. BLACKSTONE ALT MULTI | | | 2015-10-09 | 2018-12-24 |
| 1 | 1028. BLACKSTONE ALT MULTI | | 2015-11-05 | 2018-12-24 |
| | 1. BLACKSTONE ALT MULTI | | 2015-12-21 | 2018-12-24 |
| | 49. BLACKSTONE ALT MULTI | | 2015-12-21 | 2018-12-24 |
| | 1. BLACKSTONE ALT MULTI | | 2016-12-19 | 2018-12-24 |
| | 18. BLACKSTONE ALT MULTI | | 2017-12-19 | 2018-12-24 |
| | 1. BLACKSTONE ALT MULTI | | 2017-12-19 | 2018-12-24 |
| | 36. BLACKSTONE ALT MULTI | | 2018-06-19 | 2018-12-24 |
| | 10. BLACKSTONE ALT MULTI | | 2018-12-19 | 2018-12-24 |
| | .42 BLACKSTONE ALT MULTI | | 2018-12-19 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 4,371 | | 4,354 | 17 |
| 10,599 | | 10,691 | -92 |
| 10 | | 10 | |
| 505 | | 494 | 11 |
| 10 | | 10 | |
| 186 | | 194 | -8 |
| 10 | | 10 | |
| 371 | | 381 | -10 |
| 103 | | 104 | -1 |
| 4 | | 4 | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 17 |
| | | | -92 |
| | | | |
| | | | 11 |
| | | | |
| | | | -8 |
| | | | |
| | | | -10 |
| | | | -1 |
| | | | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--------------------------|---|---|-------------------------------------|
| .16 BLACKROCK STRATEGIC | | | 2019-03-19 | 2019-04-10 |
| 1 | 107. BLACKROCK STRATEGIC | | 2018-12-24 | 2019-04-10 |
| 219.14 BLACKROCK STRATEGIC | | | 2018-12-24 | 2019-09-03 |
| 102.05 BLACKROCK STRATEGIC | | | 2018-12-24 | 2019-09-10 |
| 519. BLACKROCK CREDIT STRATEGIES INCOME FUND | | | 2018-06-19 | 2018-12-24 |
| 20. BLACKROCK CREDIT STRATEGIES INCOME FUND | | | 2018-06-19 | 2018-12-24 |
| 1. BLACKROCK CREDIT STRATEGIES INCOME FUND | | | 2018-06-19 | 2018-12-24 |
| .01 BLACKROCK CREDIT STRATEGIES INCOME FUND | | | 2018-12-24 | 2018-12-24 |
| .12 BLACKROCK CREDIT STRATEGIES INCOME FUND | | | 2019-03-19 | 2019-04-10 |
| 199. BLACKROCK CREDIT STRATEGIES INCOME FUND | | | 2018-06-19 | 2019-04-10 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 2 | | 2 | |
| 1,048 | | 1,027 | 21 |
| 2,176 | | 2,104 | 72 |
| 1,010 | | 980 | 30 |
| 5,034 | | 5,257 | -223 |
| 194 | | 203 | -9 |
| 10 | | 10 | |
| | | | |
| 1 | | 1 | |
| 2,014 | | 2,016 | -2 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | |
| | | | 21 |
| | | | 72 |
| | | | 30 |
| | | | -223 |
| | | | -9 |
| | | | |
| | | | |
| | | | |
| | | | -2 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--|---|---|-------------------------------------|
| .02 BLACKROCK CREDIT STRATEGIES INCOME FUND | | | 2018-06-19 | 2019-04-10 |
| 1 | 866.81 BLACKROCK CREDIT STRATEGIES INCOME FUND | | 2018-06-19 | 2019-09-03 |
| | 621.37 BLACKROCK CREDIT STRATEGIES INCOME FUND | | 2018-06-19 | 2019-09-10 |
| | 3. BROADCOM INC | | 2018-11-30 | 2019-09-10 |
| | 104. CVS HEALTH CORP | | 2018-12-24 | 2019-03-19 |
| | 94. CONOCOPHILLIPS | | 2018-11-30 | 2019-06-03 |
| | 33. CONSTELLATION BRANDS INC | | 2018-06-19 | 2018-11-30 |
| | 3. CONSTELLATION BRANDS INC | | 2019-02-15 | 2019-09-03 |
| | 172. DR HORTON INC | | 2018-06-19 | 2018-10-24 |
| | 35. DR HORTON INC | | 2018-11-30 | 2019-09-03 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| | | | |
| 8,946 | | 8,781 | 165 |
| 6,413 | | 6,294 | 119 |
| 869 | | 710 | 159 |
| 5,930 | | 6,598 | -668 |
| 5,598 | | 6,206 | -608 |
| 6,451 | | 7,642 | -1,191 |
| 623 | | 523 | 100 |
| 6,047 | | 7,153 | -1,106 |
| 1,734 | | 1,298 | 436 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | |
| | | | 165 |
| | | | 119 |
| | | | 159 |
| | | | -668 |
| | | | -608 |
| | | | -1,191 |
| | | | 100 |
| | | | -1,106 |
| | | | 436 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--|---|---|-------------------------------------|
| 133. DXC TECHNOLOGY CO | | | 2019-03-19 | 2019-06-03 |
| 1 | .32 DOUBLELINE TOTAL RETURN BOND FUND | | 2015-01-29 | 2018-12-24 |
| | 830. DOUBLELINE TOTAL RETURN BOND FUND | | 2015-01-29 | 2018-12-24 |
| | .78 DOUBLELINE TOTAL RETURN BOND FUND | | 2019-03-19 | 2019-04-09 |
| | 272. DOUBLELINE TOTAL RETURN BOND FUND | | 2015-01-29 | 2019-04-09 |
| | .02 DOUBLELINE TOTAL RETURN BOND FUND | | 2019-03-19 | 2019-04-10 |
| | 357. DOUBLELINE TOTAL RETURN BOND FUND | | 2015-01-29 | 2019-04-10 |
| | .18 DOUBLELINE TOTAL RETURN BOND FUND | | 2015-01-29 | 2019-04-10 |
| | 217. DOUBLELINE TOTAL RETURN BOND FUND | | 2015-01-29 | 2019-05-01 |
| | .8 DOUBLELINE TOTAL RETURN BOND FUND | | 2015-01-29 | 2019-05-01 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 6,277 | | 8,866 | -2,589 |
| 3 | | 4 | -1 |
| 8,657 | | 9,213 | -556 |
| 8 | | 8 | |
| 2,861 | | 3,019 | -158 |
| | | | |
| 3,759 | | 3,963 | -204 |
| 2 | | 2 | |
| 2,279 | | 2,400 | -121 |
| 8 | | 9 | -1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -2,589 |
| | | | -1 |
| | | | -556 |
| | | | |
| | | | -158 |
| | | | |
| | | | -204 |
| | | | |
| | | | -121 |
| | | | -1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--|---|---|-------------------------------------|
| 906.74 DOUBLELINE TOTAL RETURN BOND FUND | | | 2015-01-29 | 2019-09-03 |
| 1 | 550.96 DOUBLELINE TOTAL RETURN BOND FUND | | 2015-01-29 | 2019-09-10 |
| .4 DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-14 | 2018-10-24 |
| 590. DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2018-10-24 |
| . DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-14 | 2018-12-24 |
| .96 DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2018-12-24 |
| 139. DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2018-12-24 |
| 275. DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2019-04-09 |
| .04 DOUBLELINE CORE FIXED INCOME FUND | | | 2019-03-19 | 2019-04-09 |
| .88 DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2019-04-10 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 9,820 | | 10,065 | -245 |
| 5,917 | | 6,116 | -199 |
| 4 | | 4 | |
| 6,254 | | 6,319 | -65 |
| | | | |
| 10 | | 10 | |
| 1,476 | | 1,489 | -13 |
| 2,976 | | 2,945 | 31 |
| | | | |
| 10 | | 9 | 1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -245 |
| | | | -199 |
| | | | |
| | | | -65 |
| | | | |
| | | | |
| | | | -13 |
| | | | 31 |
| | | | |
| | | | 1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---------------------------------------|---|---|-------------------------------------|
| 346. DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2019-04-10 |
| 1 | .12 DOUBLELINE CORE FIXED INCOME FUND | | 2019-03-19 | 2019-04-10 |
| 242. DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2019-05-01 |
| .11 DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2019-05-01 |
| 870.12 DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2019-09-03 |
| 533.66 DOUBLELINE CORE FIXED INCOME FUND | | | 2016-12-16 | 2019-09-10 |
| 16. DOUBLELINE SHILLER ENHANCED CAPE/USA | | | 2018-06-19 | 2018-12-24 |
| .57 DOUBLELINE SHILLER ENHANCED CAPE/USA | | | 2018-12-06 | 2018-12-24 |
| 275.96 DOUBLELINE SHILLER ENHANCED CAPE/USA | | | 2018-06-19 | 2019-09-03 |
| 192.68 DOUBLELINE SHILLER ENHANCED CAPE/USA | | | 2018-06-19 | 2019-09-10 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 3,751 | | 3,706 | 45 |
| 1 | | 1 | |
| 2,621 | | 2,592 | 29 |
| 1 | | 1 | |
| 9,754 | | 9,319 | 435 |
| 5,934 | | 5,715 | 219 |
| 194 | | 255 | -61 |
| 7 | | 9 | -2 |
| 4,203 | | 4,396 | -193 |
| 2,996 | | 3,069 | -73 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 45 |
| | | | |
| | | | 29 |
| | | | |
| | | | 435 |
| | | | 219 |
| | | | -61 |
| | | | -2 |
| | | | -193 |
| | | | -73 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---|---|---|-------------------------------------|
| 18. EQUINIX INC | | | 2018-06-19 | 2018-12-24 |
| 1 | 1. FACEBOOK INC | | 2018-06-19 | 2018-11-30 |
| | 39. FACEBOOK INC | | 2018-06-19 | 2018-11-30 |
| | 2. FACEBOOK INC | | 2018-08-03 | 2018-11-30 |
| | 43. FEDEX CORP | | 2018-12-24 | 2019-09-03 |
| | 104. GENERAL MILLS INC | | 2013-07-18 | 2018-11-30 |
| | 57. GENERAL MILLS INC | | 2018-06-19 | 2018-11-30 |
| | 213. GLOBAL X FUNDS GLOBAL X SOCIAL MEDIA ETF | | 2018-11-30 | 2019-01-07 |
| | . GOLDMAN SACHS MUNI BD | | 2018-09-28 | 2018-10-18 |
| | 1296. GOLDMAN SACHS STRUCTURED | | 2018-05-23 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 6,119 | | 7,237 | -1,118 |
| 140 | | 203 | -63 |
| 5,458 | | 7,689 | -2,231 |
| 280 | | 356 | -76 |
| 6,656 | | 6,605 | 51 |
| 4,385 | | 5,332 | -947 |
| 2,403 | | 2,561 | -158 |
| 6,155 | | 6,237 | -82 |
| | | | |
| 12,714 | | 16,913 | -4,199 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -1,118 |
| | | | -63 |
| | | | -2,231 |
| | | | -76 |
| | | | 51 |
| | | | -947 |
| | | | -158 |
| | | | -82 |
| | | | |
| | | | -4,199 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|------------------------------|---|---|-------------------------------------|
| .76 GOLDMAN SACHS STRUCTURED | | | 2018-05-23 | 2018-12-24 |
| 1 | 19. GOLDMAN SACHS STRUCTURED | | 2018-06-19 | 2018-12-24 |
| 738. GUGGENHEIM LIMITED DURATION FUND | | | 2018-01-30 | 2018-12-24 |
| .06 GUGGENHEIM LIMITED DURATION FUND | | | 2018-01-30 | 2018-12-24 |
| .63 GUGGENHEIM LIMITED DURATION FUND | | | 2018-12-20 | 2018-12-24 |
| 607.25 GUGGENHEIM LIMITED DURATION FUND | | | 2018-01-30 | 2019-09-03 |
| 206.51 GUGGENHEIM LIMITED DURATION FUND | | | 2018-01-30 | 2019-09-10 |
| 1. GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2018-12-24 |
| 296. GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2018-12-24 |
| 14. GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 7 | | 10 | -3 |
| 186 | | 242 | -56 |
| 18,177 | | 18,288 | -111 |
| 1 | | 1 | |
| 15 | | 16 | -1 |
| 15,029 | | 15,048 | -19 |
| 5,095 | | 5,117 | -22 |
| 27 | | 27 | |
| 7,882 | | 8,013 | -131 |
| 373 | | 379 | -6 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -3 |
| | | | -56 |
| | | | -111 |
| | | | -1 |
| | | | -19 |
| | | | -22 |
| | | | |
| | | | -131 |
| | | | -6 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---|---|---|-------------------------------------|
| .58 GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2018-12-20 | 2018-12-24 |
| 1 | 111. GUGGENHEIM- TOTAL RETURN BOND FUND | | 2017-08-09 | 2019-04-09 |
| .07 GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2019-04-09 |
| .62 GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2019-03-19 | 2019-04-09 |
| 1. GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2019-04-10 |
| 14. GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2019-04-10 |
| 124. GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2019-04-10 |
| .71 GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2019-04-10 |
| 95. GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2019-05-01 |
| .44 GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2019-05-01 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 15 | | 15 | |
| 2,966 | | 3,005 | -39 |
| 2 | | 2 | |
| 17 | | 17 | |
| 27 | | 27 | |
| 374 | | 379 | -5 |
| 3,315 | | 3,357 | -42 |
| 19 | | 19 | |
| 2,539 | | 2,572 | -33 |
| 12 | | 12 | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | |
| | | | -39 |
| | | | |
| | | | |
| | | | -5 |
| | | | -42 |
| | | | |
| | | | -33 |
| | | | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---|---|---|-------------------------------------|
| .22 GUGGENHEIM- TOTAL RETURN BOND FUND | | | 2017-08-09 | 2019-05-01 |
| 1 | 375.17 GUGGENHEIM- TOTAL RETURN BOND FUND | | 2017-08-09 | 2019-09-03 |
| | 205.91 GUGGENHEIM- TOTAL RETURN BOND FUND | | 2017-08-09 | 2019-09-10 |
| | 200. HALLIBURTON CO | | 2018-11-30 | 2018-12-24 |
| | 570. OAKMARK INTERNATIONAL FUND | | 2017-01-17 | 2018-12-24 |
| | 1. OAKMARK INTERNATIONAL FUND | | 2017-12-15 | 2018-12-24 |
| | 15. OAKMARK INTERNATIONAL FUND | | 2017-12-15 | 2018-12-24 |
| | 36. OAKMARK INTERNATIONAL FUND | | 2018-06-19 | 2018-12-24 |
| | 30. OAKMARK INTERNATIONAL FUND | | 2018-12-13 | 2018-12-24 |
| | .16 OAKMARK INTERNATIONAL FUND | | 2018-12-13 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 6 | | 6 | |
| 10,388 | | 10,156 | 232 |
| 5,640 | | 5,574 | 66 |
| 5,056 | | 6,239 | -1,183 |
| 11,303 | | 13,424 | -2,121 |
| 20 | | 24 | -4 |
| 297 | | 418 | -121 |
| 714 | | 972 | -258 |
| 595 | | 633 | -38 |
| 3 | | 3 | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 232 |
| | | | 66 |
| | | | -1,183 |
| | | | -2,121 |
| | | | -4 |
| | | | -121 |
| | | | -258 |
| | | | -38 |
| | | | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|------------------------------|---|---|-------------------------------------|
| 1. OAKMARK INTERNATIONAL FUND | | | 2018-12-13 | 2018-12-24 |
| 1 | 1. HARTFORD SCHRODERS INTL | | 2017-01-17 | 2019-05-01 |
| | 559. HARTFORD SCHRODERS INTL | | 2017-01-17 | 2019-05-01 |
| | .17 HARTFORD SCHRODERS INTL | | 2017-01-17 | 2019-05-01 |
| | .26 HARTFORD SCHRODERS INTL | | 2019-03-19 | 2019-05-01 |
| | 970. HARTFORD SCHRODERS INTL | | 2015-11-19 | 2019-05-01 |
| | 1. HARTFORD SCHRODERS INTL | | 2016-06-29 | 2019-05-01 |
| | 1. HARTFORD SCHRODERS INTL | | 2016-09-29 | 2019-05-01 |
| | 1. HARTFORD SCHRODERS INTL | | 2016-12-29 | 2019-05-01 |
| | 1. HARTFORD SCHRODERS INTL | | 2016-03-30 | 2019-05-01 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 20 | | 26 | -6 |
| 9 | | 9 | |
| 5,098 | | 4,975 | 123 |
| 2 | | 1 | 1 |
| 2 | | 2 | |
| 8,846 | | 7,983 | 863 |
| 9 | | 8 | 1 |
| 9 | | 8 | 1 |
| 9 | | 8 | 1 |
| 9 | | 8 | 1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -6 |
| | | | |
| | | | 123 |
| | | | 1 |
| | | | |
| | | | 863 |
| | | | 1 |
| | | | 1 |
| | | | 1 |
| | | | 1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|------------------------------|---|---|-------------------------------------|
| 1. HARTFORD SCHRODERS INTL | | | 2019-06-05 | 2019-07-02 |
| 1 | 132. HARTFORD SCHRODERS INTL | | 2019-06-05 | 2019-07-02 |
| 1. HARTFORD SCHRODERS INTL | | | 2019-06-14 | 2019-07-02 |
| 81. HARTFORD SCHRODERS INTL | | | 2019-06-14 | 2019-07-02 |
| 1. HARTFORD SCHRODERS INTL | | | 2019-02-15 | 2019-07-02 |
| 267. HARTFORD SCHRODERS INTL | | | 2019-02-15 | 2019-07-02 |
| 72. HARTFORD SCHRODERS INTL | | | 2017-01-17 | 2019-07-02 |
| 1. HARTFORD SCHRODERS INTL | | | 2017-12-18 | 2019-07-02 |
| 1. HARTFORD SCHRODERS INTL | | | 2018-12-18 | 2019-07-02 |
| 27. HARTFORD SCHRODERS INTL | | | 2017-12-18 | 2019-07-02 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 9 | | 9 | |
| 1,196 | | 1,147 | 49 |
| 9 | | 9 | |
| 734 | | 710 | 24 |
| 9 | | 8 | 1 |
| 2,419 | | 2,400 | 19 |
| 652 | | 641 | 11 |
| 9 | | 9 | |
| 9 | | 8 | 1 |
| 245 | | 273 | -28 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | |
| | | | 49 |
| | | | |
| | | | 24 |
| | | | 1 |
| | | | 19 |
| | | | 11 |
| | | | |
| | | | 1 |
| | | | -28 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|-----------------------------|---|---|-------------------------------------|
| 19. HARTFORD SCHRODERS INTL | | | 2018-12-18 | 2019-07-02 |
| 1 | 25. HARTFORD SCHRODERS INTL | | 2018-12-18 | 2019-07-02 |
| 69. HARTFORD SCHRODERS INTL | | | 2018-06-19 | 2019-07-02 |
| 262. HARTFORD SCHRODERS INTL | | | 2019-03-19 | 2019-07-02 |
| .99 HARTFORD SCHRODERS INTL | | | 2019-06-20 | 2019-07-02 |
| 77. HARTFORD SCHRODERS INTL | | | 2019-06-20 | 2019-07-02 |
| 789. HARTFORD SCHRODERS INTL | | | 2018-12-24 | 2019-07-02 |
| 458. HUNTINGTON BANCSHARES INC/OH | | | 2018-06-19 | 2018-11-30 |
| 22. INVESCO S&P 500 EQUAL WEIGHT ETF | | | 2017-08-28 | 2019-09-03 |
| 43. INVESCO S&P 500 EQUAL WEIGHT ETF | | | 2017-08-28 | 2019-09-10 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 172 | | 158 | 14 |
| 227 | | 207 | 20 |
| 625 | | 680 | -55 |
| 2,374 | | 2,397 | -23 |
| 9 | | 9 | |
| 698 | | 695 | 3 |
| 7,148 | | 6,344 | 804 |
| 6,680 | | 7,044 | -364 |
| 2,294 | | 2,029 | 265 |
| 4,632 | | 3,965 | 667 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|-----------------------------------|--|--|
| (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 | |
| | | | 14 |
| | | | 20 |
| | | | -55 |
| | | | -23 |
| | | | |
| | | | 3 |
| | | | 804 |
| | | | -364 |
| | | | 265 |
| | | | 667 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---------------------------|---|---|-------------------------------------|
| 1228. ISHARES COMEX GOLD TR | | | 2017-05-31 | 2018-10-31 |
| 1 | 52. ISHARES COMEX GOLD TR | | 2018-06-19 | 2018-10-31 |
| 672. ISHARES COMEX GOLD TR | | | 2017-05-05 | 2018-10-31 |
| 298. ISHARES COMEX GOLD TR | | | 2017-05-05 | 2018-10-31 |
| 298. ISHARES COMEX GOLD TR | | | 2017-05-05 | 2018-11-30 |
| 52. ISHARES COMEX GOLD TR | | | 2018-06-19 | 2018-11-30 |
| 1228. ISHARES COMEX GOLD TR | | | 2017-05-31 | 2018-11-30 |
| 672. ISHARES COMEX GOLD TR | | | 2017-05-05 | 2018-11-30 |
| 298. ISHARES COMEX GOLD TR | | | 2017-05-05 | 2018-12-24 |
| 672. ISHARES COMEX GOLD TR | | | 2017-05-05 | 2018-12-31 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 3 | | 3 | |
| | | | |
| 2 | | 2 | |
| 1 | | 1 | |
| 1 | | 1 | |
| | | | |
| 3 | | 3 | |
| 2 | | 2 | |
| 3,624 | | 3,508 | 116 |
| 2 | | 2 | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | 116 |
| | | | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|-----------------------------|---|---|-------------------------------------|
| 52. ISHARES COMEX GOLD TR | | | 2018-06-19 | 2018-12-31 |
| 1 | 1228. ISHARES COMEX GOLD TR | | 2017-05-31 | 2018-12-31 |
| 69. ISHARES COMEX GOLD TR | | | 2017-05-05 | 2019-04-10 |
| 491. ISHARES COMEX GOLD TR | | | 2017-05-05 | 2019-09-03 |
| 227. ISHARES CORE S&P MID-CAP ETF | | | 2018-01-24 | 2018-12-24 |
| 226. ISHARES CORE S&P MID-CAP ETF | | | 2018-06-19 | 2018-12-24 |
| 438. ISHARES CORE S&P SMALL CAP ETF | | | 2018-06-19 | 2018-12-24 |
| 58. ISHARES EDGE MSCI USA QUALITY FACTOR ETF | | | 2018-06-19 | 2019-09-03 |
| 58. ISHARES EDGE MSCI USA QUALITY FACTOR ETF | | | 2018-06-19 | 2019-09-10 |
| 51. ISHARES EDGE MSCI USA MOMENTUM FACTOR | | | 2018-01-24 | 2019-09-03 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| | | | |
| 3 | | 3 | |
| 864 | | 812 | 52 |
| 7,247 | | 5,778 | 1,469 |
| 35,851 | | 44,919 | -9,068 |
| 35,693 | | 45,035 | -9,342 |
| 28,870 | | 37,667 | -8,797 |
| 5,230 | | 4,950 | 280 |
| 5,341 | | 4,950 | 391 |
| 6,124 | | 5,687 | 437 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | |
| | | | |
| | | | 52 |
| | | | 1,469 |
| | | | -9,068 |
| | | | -9,342 |
| | | | -8,797 |
| | | | 280 |
| | | | 391 |
| | | | 437 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---|---|---|-------------------------------------|
| 18. ISHARES EDGE MSCI USA MOMENTUM FACTOR | | | 2018-01-24 | 2019-09-10 |
| 1 | 280. ISHARES CORE MSCI TOTAL INTL STOCK ETF | | 2018-06-19 | 2018-12-24 |
| 51. ISHARES CORE DIVIDEND GROWTH ETF | | | 2016-01-19 | 2018-12-24 |
| 88. ISHARES CORE DIVIDEND GROWTH ETF | | | 2016-01-19 | 2019-09-03 |
| 87. ISHARES CORE DIVIDEND GROWTH ETF | | | 2016-01-19 | 2019-09-10 |
| .3 JOHN HANCOCK INTL GROWTH | | | 2019-03-19 | 2019-05-01 |
| 541. JOHN HANCOCK INTL GROWTH | | | 2018-05-23 | 2019-05-01 |
| 1.88 JOHN HANCOCK INTL GROWTH | | | 2018-12-17 | 2019-09-03 |
| 1. JOHN HANCOCK INTL GROWTH | | | 2018-12-17 | 2019-09-03 |
| 40. JOHN HANCOCK INTL GROWTH | | | 2018-05-23 | 2019-09-03 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 2,139 | | 2,007 | 132 |
| 14,327 | | 16,934 | -2,607 |
| 1,604 | | 1,226 | 378 |
| 3,334 | | 2,115 | 1,219 |
| 3,376 | | 2,091 | 1,285 |
| 8 | | 8 | |
| 14,861 | | 15,738 | -877 |
| 52 | | 45 | 7 |
| 28 | | 25 | 3 |
| 1,107 | | 1,164 | -57 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 132 |
| | | | -2,607 |
| | | | 378 |
| | | | 1,219 |
| | | | 1,285 |
| | | | |
| | | | -877 |
| | | | 7 |
| | | | 3 |
| | | | -57 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--------------------------------|---|---|-------------------------------------|
| 8.12 JOHN HANCOCK INTL GROWTH | | | 2018-12-17 | 2019-09-10 |
| 1 | 14.53 JOHN HANCOCK INTL GROWTH | | 2018-12-24 | 2019-09-10 |
| .27 JP MORGAN STRATEGIC | | | 2017-05-31 | 2018-12-24 |
| 248. JP MORGAN STRATEGIC | | | 2017-05-31 | 2018-12-24 |
| .19 JP MORGAN STRATEGIC | | | 2017-05-31 | 2018-12-24 |
| .93 JP MORGAN STRATEGIC | | | 2017-11-29 | 2018-12-24 |
| 1. JP MORGAN STRATEGIC | | | 2017-11-29 | 2018-12-24 |
| 5. JP MORGAN STRATEGIC | | | 2017-12-28 | 2018-12-24 |
| 1. JP MORGAN STRATEGIC | | | 2017-12-28 | 2018-12-24 |
| 4. JP MORGAN STRATEGIC | | | 2018-01-30 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 226 | | 196 | 30 |
| 404 | | 333 | 71 |
| 3 | | 3 | |
| 2,817 | | 2,897 | -80 |
| 2 | | 2 | |
| 11 | | 11 | |
| 11 | | 12 | -1 |
| 57 | | 58 | -1 |
| 11 | | 12 | -1 |
| 45 | | 47 | -2 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 30 |
| | | | 71 |
| | | | |
| | | | -80 |
| | | | |
| | | | |
| | | | -1 |
| | | | -1 |
| | | | -1 |
| | | | -2 |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d | | | |
|---|---|---|-------------------------------------|
| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
| 5. JP MORGAN STRATEGIC | | 2018-02-27 | 2018-12-24 |
| 1 5. JP MORGAN STRATEGIC | | 2018-03-28 | 2018-12-24 |
| 1. JP MORGAN STRATEGIC | | 2018-04-27 | 2018-12-24 |
| 6. JP MORGAN STRATEGIC | | 2018-04-27 | 2018-12-24 |
| 5. JP MORGAN STRATEGIC | | 2018-05-30 | 2018-12-24 |
| .5 JP MORGAN STRATEGIC | | 2019-03-19 | 2019-04-10 |
| 81. JP MORGAN STRATEGIC | | 2017-05-31 | 2019-04-10 |
| 153.43 JP MORGAN STRATEGIC | | 2017-05-31 | 2019-09-03 |
| 93.88 JP MORGAN STRATEGIC | | 2017-05-31 | 2019-09-10 |
| 3. LAM RESEARCH CORP | | 2016-01-04 | 2019-09-03 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 57 | | 58 | -1 |
| 57 | | 58 | -1 |
| 11 | | 12 | -1 |
| 68 | | 70 | -2 |
| 57 | | 58 | -1 |
| 6 | | 6 | |
| 934 | | 946 | -12 |
| 1,760 | | 1,792 | -32 |
| 1,078 | | 1,096 | -18 |
| 637 | | 232 | 405 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -1 |
| | | | -1 |
| | | | -1 |
| | | | -2 |
| | | | -1 |
| | | | |
| | | | -12 |
| | | | -32 |
| | | | -18 |
| | | | 405 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--|---|---|-------------------------------------|
| 5. LAM RESEARCH CORP | | | 2016-01-04 | 2019-09-10 |
| 1 | 23. LOCKHEED MARTIN CORPORATION | | 2018-06-19 | 2018-12-24 |
| | 2866. LORD ABBETT SHORT DURATION INCOME FUND | | 2015-11-09 | 2018-10-24 |
| | .54 LORD ABBETT SHORT DURATION INCOME FUND | | 2018-03-29 | 2018-10-24 |
| | 27. LORD ABBETT SHORT DURATION INCOME FUND | | 2018-04-30 | 2018-10-24 |
| | 1. LORD ABBETT SHORT DURATION INCOME FUND | | 2018-05-31 | 2018-10-24 |
| | 71. LORD ABBETT SHORT DURATION INCOME FUND | | 2018-05-31 | 2018-10-24 |
| | .04 LORD ABBETT SHORT DURATION INCOME FUND | | 2018-06-19 | 2018-10-24 |
| | 1151. LORD ABBETT SHORT DURATION INCOME FUND | | 2015-11-09 | 2018-12-24 |
| | .17 LORD ABBETT SHORT DURATION INCOME FUND | | 2015-11-09 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 1,142 | | 386 | 756 |
| 5,683 | | 6,942 | -1,259 |
| 11,894 | | 12,496 | -602 |
| 2 | | 2 | |
| 112 | | 113 | -1 |
| 4 | | 4 | |
| 295 | | 297 | -2 |
| | | | |
| 4,754 | | 5,018 | -264 |
| 1 | | 1 | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 756 |
| | | | -1,259 |
| | | | -602 |
| | | | |
| | | | -1 |
| | | | |
| | | | -2 |
| | | | |
| | | | -264 |
| | | | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--|---|---|-------------------------------------|
| .06 LORD ABBETT SHORT DURATION INCOME FUND | | | 2018-06-19 | 2018-12-24 |
| 1 | 3536.56 LORD ABBETT SHORT DURATION INCOME FUND | | 2015-11-09 | 2019-09-03 |
| | 1272.21 LORD ABBETT SHORT DURATION INCOME FUND | | 2015-11-09 | 2019-09-10 |
| | 125. MAXIM INTEGRATED PRODUCTS INC | | 2018-06-19 | 2018-10-24 |
| | 17. MORGAN STANLEY | | 2019-02-15 | 2019-09-03 |
| | 46. MORGAN STANLEY | | 2019-06-20 | 2019-09-03 |
| | 176. MORGAN STANLEY | | 2018-12-24 | 2019-09-03 |
| | 132. NETAPP INC | | 2019-03-19 | 2019-06-03 |
| | 4. NETFLIX COM INC | | 2019-06-05 | 2019-09-24 |
| | 4. NETFLIX COM INC | | 2019-06-14 | 2019-09-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| | | | |
| 14,924 | | 15,419 | -495 |
| 5,356 | | 5,547 | -191 |
| 6,137 | | 7,511 | -1,374 |
| 695 | | 711 | -16 |
| 1,881 | | 1,999 | -118 |
| 7,197 | | 6,619 | 578 |
| 7,739 | | 8,859 | -1,120 |
| 1,021 | | 1,409 | -388 |
| 1,021 | | 1,360 | -339 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | |
| | | | -495 |
| | | | -191 |
| | | | -1,374 |
| | | | -16 |
| | | | -118 |
| | | | 578 |
| | | | -1,120 |
| | | | -388 |
| | | | -339 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--|---|---|-------------------------------------|
| 21. NETFLIX COM INC | | | 2018-11-30 | 2019-09-24 |
| 1 | 224. NOBLE ENERGY INC | | 2018-06-19 | 2018-11-30 |
| | 21. NOBLE ENERGY INC | | 2019-06-03 | 2019-09-03 |
| | 52. NOBLE ENERGY INC | | 2019-06-03 | 2019-09-10 |
| | 4. NORTHROP GRUMMAN CORP | | 2018-12-24 | 2019-09-03 |
| | 1223. PIMCO ALL ASSET ALL AUTHORITY FUND | | 2017-05-31 | 2018-12-24 |
| | .24 PIMCO ALL ASSET ALL AUTHORITY FUND | | 2017-09-14 | 2018-12-24 |
| | 14. PIMCO ALL ASSET ALL AUTHORITY FUND | | 2017-09-14 | 2018-12-24 |
| | 31. PIMCO ALL ASSET ALL AUTHORITY FUND | | 2017-12-28 | 2018-12-24 |
| | 1. PIMCO ALL ASSET ALL AUTHORITY FUND | | 2017-12-28 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 5,358 | | 5,978 | -620 |
| 5,296 | | 7,797 | -2,501 |
| 464 | | 451 | 13 |
| 1,254 | | 1,116 | 138 |
| 1,465 | | 908 | 557 |
| 10,114 | | 10,896 | -782 |
| 2 | | 2 | |
| 116 | | 126 | -10 |
| 256 | | 275 | -19 |
| 8 | | 9 | -1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -620 |
| | | | -2,501 |
| | | | 13 |
| | | | 138 |
| | | | 557 |
| | | | -782 |
| | | | |
| | | | -10 |
| | | | -19 |
| | | | -1 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---------------------------------------|---|---|-------------------------------------|
| 4. PIMCO ALL ASSET ALL AUTHORITY FUND | | | 2018-03-15 | 2018-12-24 |
| 1 | 8. PIMCO ALL ASSET ALL AUTHORITY FUND | | 2018-06-14 | 2018-12-24 |
| 6. PIMCO ALL ASSET ALL AUTHORITY FUND | | | 2018-06-19 | 2018-12-24 |
| .72 PIMCO ALL ASSET ALL AUTHORITY FUND | | | 2018-06-19 | 2018-12-24 |
| .19 PIMCO DYNAMIC BOND FUND | | | 2019-03-19 | 2019-04-10 |
| 87. PIMCO DYNAMIC BOND FUND | | | 2018-12-24 | 2019-04-10 |
| 128.66 PIMCO DYNAMIC BOND FUND | | | 2018-12-24 | 2019-09-03 |
| 101.12 PIMCO DYNAMIC BOND FUND | | | 2018-12-24 | 2019-09-10 |
| .07 PIMCO INCOME FUND | | | 2015-02-23 | 2018-12-24 |
| 606. PIMCO INCOME FUND | | | 2015-02-23 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 33 | | 35 | -2 |
| 66 | | 69 | -3 |
| 50 | | 51 | -1 |
| 6 | | 6 | |
| 2 | | 2 | |
| 942 | | 927 | 15 |
| 1,371 | | 1,370 | 1 |
| 1,081 | | 1,077 | 4 |
| 1 | | 1 | |
| 7,139 | | 7,424 | -285 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -2 |
| | | | -3 |
| | | | -1 |
| | | | |
| | | | 15 |
| | | | 1 |
| | | | 4 |
| | | | |
| | | | -285 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|------------------------|---|---|-------------------------------------|
| .46 PIMCO INCOME FUND | | | 2019-03-19 | 2019-04-09 |
| 1 | 243. PIMCO INCOME FUND | | 2015-02-23 | 2019-04-09 |
| .15 PIMCO INCOME FUND | | | 2019-03-19 | 2019-04-10 |
| 311. PIMCO INCOME FUND | | | 2015-02-23 | 2019-04-10 |
| .23 PIMCO INCOME FUND | | | 2019-03-19 | 2019-05-01 |
| .64 PIMCO INCOME FUND | | | 2015-02-23 | 2019-05-01 |
| 224. PIMCO INCOME FUND | | | 2015-02-23 | 2019-05-01 |
| 453. PIMCO INCOME FUND | | | 2015-02-23 | 2019-09-03 |
| 572.78 PIMCO INCOME FUND | | | 2015-02-23 | 2019-09-10 |
| 601. PIMCO DIVERSIFIED INCOME FUND | | | 2017-02-02 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 6 | | 5 | 1 |
| 2,923 | | 2,977 | -54 |
| 2 | | 2 | |
| 3,744 | | 3,810 | -66 |
| 3 | | 3 | |
| 8 | | 8 | |
| 2,699 | | 2,744 | -45 |
| 5,391 | | 5,550 | -159 |
| 6,839 | | 7,017 | -178 |
| 6,202 | | 6,382 | -180 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|-----------------------------------|--|--|
| (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 | |
| | | | 1 |
| | | | -54 |
| | | | |
| | | | -66 |
| | | | |
| | | | |
| | | | -45 |
| | | | -159 |
| | | | -178 |
| | | | -180 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|-----------------------------------|---|---|-------------------------------------|
| .42 PIMCO DIVERSIFIED INCOME FUND | | | 2017-02-02 | 2018-12-24 |
| 1 | .52 PIMCO DIVERSIFIED INCOME FUND | | 2017-02-02 | 2018-12-24 |
| 315. PIMCO DIVERSIFIED INCOME FUND | | | 2017-02-02 | 2019-04-09 |
| .29 PIMCO DIVERSIFIED INCOME FUND | | | 2019-03-19 | 2019-04-09 |
| 334. PIMCO DIVERSIFIED INCOME FUND | | | 2017-02-02 | 2019-04-10 |
| .31 PIMCO DIVERSIFIED INCOME FUND | | | 2017-02-02 | 2019-04-10 |
| .68 PIMCO DIVERSIFIED INCOME FUND | | | 2019-03-19 | 2019-04-10 |
| 250. PIMCO DIVERSIFIED INCOME FUND | | | 2017-02-02 | 2019-05-01 |
| .07 PIMCO DIVERSIFIED INCOME FUND | | | 2017-02-02 | 2019-05-01 |
| .69 PIMCO DIVERSIFIED INCOME FUND | | | 2017-02-02 | 2019-05-01 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 4 | | 5 | -1 |
| 5 | | 6 | -1 |
| 3,424 | | 3,345 | 79 |
| 3 | | 3 | |
| 3,637 | | 3,547 | 90 |
| 3 | | 3 | |
| 7 | | 7 | |
| 2,723 | | 2,655 | 68 |
| 1 | | 1 | |
| 7 | | 7 | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -1 |
| | | | -1 |
| | | | 79 |
| | | | |
| | | | 90 |
| | | | |
| | | | |
| | | | 68 |
| | | | |
| | | | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--------------------------------------|---|---|-------------------------------------|
| 759.44 PIMCO DIVERSIFIED INCOME FUND | | | 2017-02-02 | 2019-09-03 |
| 1 | 572.25 PIMCO DIVERSIFIED INCOME FUND | | 2017-02-02 | 2019-09-10 |
| 68. PRINCIPAL FINANCIAL GROUP INC | | | 2013-07-18 | 2018-12-24 |
| 67. PRINCIPAL FINANCIAL GROUP INC | | | 2018-06-19 | 2018-12-24 |
| 8. PROCTER & GAMBLE CO/THE | | | 2018-06-19 | 2019-09-03 |
| 19. REGENERON PHARMACEUTICALS INC | | | 2018-12-24 | 2019-06-03 |
| 19. REGENERON PHARMACEUTICALS INC | | | 2019-01-04 | 2019-09-03 |
| 12. REGENERON PHARMACEUTICALS INC | | | 2019-06-14 | 2019-09-03 |
| 381. REGIONS FINANCIAL CORP | | | 2018-06-19 | 2018-11-30 |
| 2647. SPDR PORTFOLIO S&P 500 GROWTH ETF | | | 2018-06-19 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 8,506 | | 8,065 | 441 |
| 6,381 | | 6,077 | 304 |
| 2,827 | | 2,714 | 113 |
| 2,786 | | 3,735 | -949 |
| 968 | | 610 | 358 |
| 5,872 | | 6,517 | -645 |
| 5,389 | | 6,590 | -1,201 |
| 3,403 | | 3,754 | -351 |
| 6,276 | | 7,215 | -939 |
| 80,982 | | 94,868 | -13,886 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 441 |
| | | | 304 |
| | | | 113 |
| | | | -949 |
| | | | 358 |
| | | | -645 |
| | | | -1,201 |
| | | | -351 |
| | | | -939 |
| | | | -13,886 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|--|---|---|-------------------------------------|
| 3882. SPDR PORTFOLIO S&P 500 VALUE ETF | | | 2018-06-19 | 2018-12-24 |
| 1 | 29. SPDR PORTFOLIO S&P 500 HIGH DIVIDEND ETF | | 2018-06-19 | 2018-12-24 |
| 102. SPDR PORTFOLIO S&P 500 HIGH DIVIDEND ETF | | | 2018-06-19 | 2019-09-10 |
| 25. SCHLUMBERGER LTD COM | | | 2016-07-18 | 2018-11-30 |
| 93. SCHLUMBERGER LTD COM | | | 2018-06-19 | 2018-11-30 |
| 25. SCHLUMBERGER LTD COM | | | 2016-08-11 | 2019-06-03 |
| 93. SCHLUMBERGER LTD COM | | | 2018-07-13 | 2019-06-03 |
| 70. SCHLUMBERGER LTD COM | | | 2018-12-24 | 2019-06-03 |
| 121. SOUTHWEST AIRLINES COMPANY | | | 2018-06-19 | 2018-12-24 |
| 93. SYSCO CORPORATION | | | 2018-11-30 | 2019-09-10 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 100,271 | | 115,790 | -15,519 |
| 952 | | 1,068 | -116 |
| 3,872 | | 3,757 | 115 |
| 1,127 | | 1,984 | -857 |
| 4,193 | | 6,114 | -1,921 |
| 883 | | 1,740 | -857 |
| 3,284 | | 5,209 | -1,925 |
| 2,472 | | 2,474 | -2 |
| 5,393 | | 6,257 | -864 |
| 7,142 | | 6,225 | 917 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -15,519 |
| | | | -116 |
| | | | 115 |
| | | | -857 |
| | | | -1,921 |
| | | | -857 |
| | | | -1,925 |
| | | | -2 |
| | | | -864 |
| | | | 917 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---|---|---|-------------------------------------|
| 30. TAKE-TWO INTERACTIVE SOFTWARE | | | 2019-02-15 | 2019-02-20 |
| 1 | 57. TAKE-TWO INTERACTIVE SOFTWARE | | 2018-11-30 | 2019-02-20 |
| | 84. TARGET CORP | | 2018-06-19 | 2018-11-30 |
| | 14. TARGET CORP | | 2019-02-15 | 2019-09-03 |
| | 68. TEXAS INSTRUMENTS INC | | 2018-06-19 | 2018-11-30 |
| | 8. TEXAS INSTRUMENTS INC | | 2018-07-13 | 2019-09-03 |
| | 7. TEXAS INSTRUMENTS INC | | 2018-07-13 | 2019-09-10 |
| | 36. 3M CO | | 2018-06-19 | 2019-06-03 |
| | 7. UNITED TECHNOLOGIES CORP | | 2004-11-01 | 2019-09-10 |
| | 266. VANGUARD TOTAL INTERNATIONAL STOCK ETF | | 2018-12-24 | 2019-05-01 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 2,658 | | 2,779 | -121 |
| 5,050 | | 6,225 | -1,175 |
| 5,949 | | 6,418 | -469 |
| 1,492 | | 1,022 | 470 |
| 6,755 | | 7,712 | -957 |
| 972 | | 824 | 148 |
| 876 | | 721 | 155 |
| 5,767 | | 7,161 | -1,394 |
| 938 | | 241 | 697 |
| 14,189 | | 12,236 | 1,953 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -121 |
| | | | -1,175 |
| | | | -469 |
| | | | 470 |
| | | | -957 |
| | | | 148 |
| | | | 155 |
| | | | -1,394 |
| | | | 697 |
| | | | 1,953 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|---------------------------------|---|---|-------------------------------------|
| 16. VANGUARD TOTAL INTERNATIONAL STOCK ETF | | | 2018-12-24 | 2019-09-10 |
| 1 | 89. VANGUARD S&P 500 GROWTH ETF | | 2018-12-24 | 2019-09-03 |
| | 55. VANGUARD S&P 500 GROWTH ETF | | 2018-12-24 | 2019-09-10 |
| | 96. VANGUARD S&P 500 VALUE ETF | | 2018-12-24 | 2019-09-03 |
| | 97. VANGUARD S&P 500 VALUE ETF | | 2018-12-24 | 2019-09-10 |
| | 221. VANGUARD INTERNATIONAL | | 2018-05-23 | 2019-05-01 |
| | 13. VANGUARD INTERNATIONAL | | 2018-05-23 | 2019-09-10 |
| | 133. VANGUARD INTL EQUITY INDX | | 2017-01-17 | 2019-05-01 |
| | 8. VANGUARD INTL EQUITY INDX | | 2017-01-17 | 2019-09-10 |
| | 1. VANGUARD INTL EQUITY INDX | | 2018-06-19 | 2019-09-10 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 825 | | 736 | 89 |
| 14,270 | | 11,313 | 2,957 |
| 8,883 | | 6,991 | 1,892 |
| 10,605 | | 8,910 | 1,695 |
| 11,116 | | 9,003 | 2,113 |
| 14,734 | | 14,609 | 125 |
| 859 | | 859 | |
| 14,164 | | 12,966 | 1,198 |
| 817 | | 780 | 37 |
| 102 | | 118 | -16 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 89 |
| | | | 2,957 |
| | | | 1,892 |
| | | | 1,695 |
| | | | 2,113 |
| | | | 125 |
| | | | |
| | | | 1,198 |
| | | | 37 |
| | | | -16 |

| Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d | | | |
|---|--------------------------|---|---|
| List and describe the kind(s) of property sold (e.g., real estate, (a) 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | | (b) How acquired P—Purchase D—Donation | (c) Date acquired (mo., day, yr.) |
| 36. VANGUARD MID-CAP ETF | | | 2018-12-24 |
| 1 | 38. VANGUARD MID-CAP ETF | | 2018-12-24 |
| 42. VANGUARD SMALL-CAP ETF | | | 2018-12-24 |
| 21. VANGUARD SMALL-CAP ETF | | | 2018-12-24 |
| 257. VIACOM INC | | | 2018-06-19 |
| 319. VIACOM INC | | | 2019-03-19 |
| .8 VIRTUS KAR INTERNATIONAL SMALL-CAP FUND | | | 2019-07-02 |
| 31.16 VIRTUS KAR INTERNATIONAL SMALL-CAP FUND | | | 2019-07-02 |
| 40.1 VIRTUS KAR INTERNATIONAL SMALL-CAP FUND | | | 2019-07-02 |
| 61. ZIMMER HLDGS INC COM | | | 2018-06-19 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 5,876 | | 4,718 | 1,158 |
| 6,321 | | 4,981 | 1,340 |
| 6,301 | | 5,260 | 1,041 |
| 3,228 | | 2,630 | 598 |
| 6,594 | | 7,493 | -899 |
| 7,790 | | 8,905 | -1,115 |
| 13 | | 14 | -1 |
| 520 | | 545 | -25 |
| 682 | | 701 | -19 |
| 5,961 | | 6,812 | -851 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 1,158 |
| | | | 1,340 |
| | | | 1,041 |
| | | | 598 |
| | | | -899 |
| | | | -1,115 |
| | | | -1 |
| | | | -25 |
| | | | -19 |
| | | | -851 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|-------------------|---|---|-------------------------------------|
| 500. ALLERGAN PLC | | | 2013-10-01 | 2018-11-14 |
| 1 | 250. ALLERGAN PLC | | 2013-10-01 | 2018-11-20 |
| | 250. ALLERGAN PLC | | 2013-10-01 | 2018-11-28 |
| | 250. ALLERGAN PLC | | 2013-10-01 | 2018-12-06 |
| | 250. ALLERGAN PLC | | 2013-10-01 | 2018-12-12 |
| | 250. ALLERGAN PLC | | 2013-10-01 | 2018-12-19 |
| | 250. ALLERGAN PLC | | 2013-10-01 | 2019-01-09 |
| | 250. ALLERGAN PLC | | 2013-10-01 | 2019-01-30 |
| | 250. ALLERGAN PLC | | 2013-10-01 | 2019-02-05 |
| | 250. ALLERGAN PLC | | 2013-10-01 | 2019-02-11 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 79,040 | | 72,000 | 7,040 |
| 38,222 | | 36,000 | 2,222 |
| 38,500 | | 36,000 | 2,500 |
| 38,408 | | 36,000 | 2,408 |
| 38,448 | | 36,000 | 2,448 |
| 34,132 | | 36,000 | -1,868 |
| 36,250 | | 36,000 | 250 |
| 36,007 | | 36,000 | 7 |
| 34,630 | | 36,000 | -1,370 |
| 33,258 | | 36,000 | -2,742 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | 7,040 |
| | | | 2,222 |
| | | | 2,500 |
| | | | 2,408 |
| | | | 2,448 |
| | | | -1,868 |
| | | | 250 |
| | | | 7 |
| | | | -1,370 |
| | | | -2,742 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|---|-----------------------|---|---|-------------------------------------|
| 250. ALLERGAN PLC | | | 2013-10-01 | 2019-02-12 |
| 1 | 500. ALLERGAN PLC | | 2013-10-01 | 2019-05-31 |
| | 500. ALLERGAN PLC | | 2013-10-01 | 2019-06-04 |
| | 500. ALLERGAN PLC | | 2013-10-01 | 2019-06-11 |
| | 500. ALLERGAN PLC | | 2013-10-01 | 2019-06-13 |
| | 500. ALLERGAN PLC | | 2013-10-01 | 2019-06-18 |
| | 500. ALLERGAN PLC | | 2013-10-01 | 2019-06-19 |
| | 300. ALLERGAN PLC | | 2013-10-01 | 2019-06-25 |
| | 45. ACCENTURE PLC SHS | | 2018-06-19 | 2018-12-24 |
| | 307. INVESCO LTD | | 2018-11-30 | 2018-12-24 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|-----------------------|--|---|--|
| 34,413 | | 36,000 | -1,587 |
| 61,499 | | 72,000 | -10,501 |
| 63,444 | | 72,000 | -8,556 |
| 62,717 | | 72,000 | -9,283 |
| 61,133 | | 72,000 | -10,867 |
| 58,153 | | 72,000 | -13,847 |
| 62,749 | | 72,000 | -9,251 |
| 49,208 | | 43,200 | 6,008 |
| 6,045 | | 7,326 | -1,281 |
| 4,926 | | 6,235 | -1,309 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|--------------------------------------|---|--|
| (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 | |
| | | | -1,587 |
| | | | -10,501 |
| | | | -8,556 |
| | | | -9,283 |
| | | | -10,867 |
| | | | -13,847 |
| | | | -9,251 |
| | | | 6,008 |
| | | | -1,281 |
| | | | -1,309 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| List and describe the kind(s) of property sold (e.g., real estate, (a) 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.) |
|--|--|--|--|
| 5. MEDTRONIC PLC SHS | | 2018-06-19 | 2019-09-03 |
| 1 77. APTIV PLC SHS | | 2018-06-19 | 2018-11-30 |
| CAPITAL GAIN DIVIDENDS | P | | |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (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) |
|------------------------------|---|--|---|
| 536 | | 432 | 104 |
| 5,553 | | 7,731 | -2,178 |
| | | | 6,604 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col.(h)) |
|---|---|--|---|
| (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 | |
| | | | 104 |
| | | | -2,178 |
| | | | |

| Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment | | | | |
|--|---|--------------------------------|----------------------------------|---------|
| Recipient | 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 |
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| ENVIRONMENTAL DEFENSE FUND INC 257 PARK AVENUE SOUTH NEW YORK, NY 10010 | N/A | PC | UNRESTRICTED GENERAL | 30,000 |
| COOPERATIVE FOR ASSISTANCE & RELIEF EVERYWHERE151 ELLIS ST NE ATLANTA, GA 30303 | N/A | PC | UNRESTRICTED GENERAL | 5,000 |
| EVERYTOWN FOR GUN SAFETY SUPPORT FUND INCPO BOX 4184 NEW YORK, NY 10163 | N/A | PC | UNRESTRICTED GENERAL | 22,000 |
| Total ▶ 3a | | | | 391,000 |

| Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment | | | | |
|--|---|--------------------------------|----------------------------------|---------|
| Recipient | 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 |
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| NEWS LITERACY PROJECT INC 5525 DEVON ROAD BETHESDA, MD 20814 | N/A | PC | UNRESTRICTED GENERAL | 6,000 |
| SAGE HILL SCHOOL 20402 NEWPORT COAST DR NEWPORT COAST, CA 92657 | N/A | PC | UNRESTRICTED GENERAL | 3,750 |
| ST MARY & ALL ANGELS CHRISTIAN CHURCH 7 PURSUIT ALISO VIEJO, CA 92656 | N/A | PC | UNRESTRICTED GENERAL | 3,750 |
| Total ▶ 3a | | | | 391,000 |


| Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment | | | | |
|--|---|--------------------------------|----------------------------------|---------|
| Recipient | 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 |
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| PROJECT DRAWDOWN 3450 SACRAMENTO ST SAN FRANCISCO, CA 94118 | N/A | PC | UNRESTRICTED GENERAL | 20,000 |
| LITTLE RED DOG INC 23046 AVENIDA DE LA CARLOTA LAGUANA HILLS, CA 92653 | N/A | PC | UNRESTRICTED GENERAL | 500 |
| CLIMATE ACTION CAMPAIGN 4452 PARK BLVD STE 209 SAN DIEGO, CA 92116 | N/A | PC | UNRESTRICTED GENERAL | 5,000 |
| Total ▶ 3a | | | | 391,000 |

| Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment | | | | |
|--|---|--------------------------------|----------------------------------|---------|
| Recipient | 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 |
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| AL OTRO LADO INC 1200 N STATE STREET 1008 LOS ANGELES, CA 90033 | N/A | PC | UNRESTRICTED GENERAL | 10,000 |
| WORLD WILDLIFE FUND INC 1250 24TH ST NW WASHINGTON, DC 20037 | N/A | PC | UNRESTRICTED GENERAL | 1,500 |
| ILLUMINATION FOUNDATION 1091 N BATAVIA ST ORANGE, CA 92867 | N/A | PC | UNRESTRICTED GENERAL | 2,500 |
| Total ▶ 3a | | | | 391,000 |

| Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment | | | | |
|--|---|--------------------------------|----------------------------------|---------|
| Recipient | 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 |
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| NATIONAL DOMESTIC VIOLENCE HOTLINEPO BOX 161810 AUSTIN, TX 78716 | N/A | PC | UNRESTRICTED GENERAL | 5,000 |
| ORANGE COUNTY JUSTICE FUND 695 TOWN CENTER DRIVE COSTA MESA, CA 92626 | N/A | PC | UNRESTRICTED GENERAL | 10,000 |
| KINDRED SPIRITS CHORUS - IRVINE 5051 BEREAN LN IRVINE, CA 92603 | N/A | PC | UNRESTRICTED GENERAL | 1,000 |
| Total ▶ 3a | | | | 391,000 |

| Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment | | | | |
|--|---|--------------------------------|----------------------------------|---------|
| Recipient | 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 |
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| ALLIANCE FOR CLIMATE PROTECTION 750 NINTH STREET NW STE 520 WASHINGTON, DC 20001 | N/A | PC | UNRESTRICTED GENERAL | 10,000 |
| UNIVERSITY OF CALIFORNIA IRVINE FOUNDATION100 THEORY DR STE 250 IRVINE, CA 92617 | N/A | PC | UNRESTRICTED GENERAL | 120,000 |
| CALIFORNIA WESTERN SCHOOL OF LAW225 CEDAR ST SAN DIEGO, CA 92101 | N/A | PC | UNRESTRICTED GENERAL | 500 |
| Total ▶ 3a | | | | 391,000 |

| Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment | | | | |
|--|---|--------------------------------|----------------------------------|---------|
| Recipient | 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 |
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| HUMAN OPTIONS INC 5540 TRABUCO ROAD STE 100 IRVINE, CA 92620 | N/A | PC | UNRESTRICTED GENERAL | 15,000 |
| MANHATTAN BEACH EDUCATION FOUNDATION PO BOX 1110 MANHATTAN BEACH, CA 90266 | N/A | PC | UNRESTRICTED GENERAL | 3,500 |
| ASIAN PACIFIC COMMUNITY FUND OF SOUTHERN CALIFORNIA 1145 WILSHIRE BLVD STE 105 LOS ANGELES, CA 90017 | N/A | PC | UNRESTRICTED GENERAL | 100,000 |
| Total ▶ 3a | | | | 391,000 |

| Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment | | | | |
|--|---|--------------------------------|----------------------------------|---------|
| Recipient | 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 |
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> | | | | |
| SOUTHERN CALIFORNIA PUBLIC RADIO 474 S RAYMOND AVE PASADENA, CA 91105 | N/A | PC | UNRESTRICTED GENERAL | 16,000 |
| Total  3a | | | | 391,000 |

TY 2018 Investments Corporate Stock Schedule

Name: HSU HWA CHAO FOUNDATION
 EIN: 33-0591357

Investments Corporation Stock Schedule

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|--------------------------------|------------------------|-------------------------------|
| 030420103 AMERICAN WTR WKS CO | 3,230 | 9,809 |
| 032095101 AMPHENOL CORP NEW | 8,926 | 8,975 |
| 478160104 JOHNSON & JOHNSON CO | 6,725 | 7,116 |
| 512807108 LAM RESH CORP COM | 3,913 | 9,938 |
| G5960L103 MEDTRONIC PLC SHS | 8,406 | 10,319 |
| 02079K305 ALPHABET INC SHS | 10,259 | 10,990 |
| 084670702 BERKSHIRE HATHAWAYIN | 4,775 | 7,489 |
| 09061G101 BIOMARIN PHARMACEUTI | | |
| 30231G102 EXXON MOBIL CORP | 6,670 | 8,826 |
| 30303M102 FACEBOOK INC | 7,393 | 9,260 |
| 57772K101 MAXIM INTERGRATED PR | | |
| 88579Y101 3M CO | | |
| 92553P201 VIACOM INC NEW | | |
| 023135106 AMAZON COM INC | 8,640 | 8,680 |
| 09247X101 BLACKROCK INC CL A | 9,436 | 9,358 |
| 742718109 PROCTER & GAMBLE CO | 6,402 | 10,448 |
| 92343V104 VERIZON COMMUNICATIO | 7,644 | 9,718 |
| 036752103 ANTHEM INC | 8,508 | 8,163 |
| 30212P303 EXPEDIA INC | 9,380 | 10,215 |
| 58933Y105 MERCK AND CO INC SHS | 3,882 | 9,176 |
| 594918104 MICROSOFT CORP COM | 1,461 | 9,732 |
| 74251V102 PRINCIPAL FINL GROUP | | |
| 806857108 SCHLUMBERGER LIMITED | | |
| 98956P102 ZIMMER HLDGS INC | | |
| 025816109 AMERICAN EXPRESS COM | 6,895 | 8,398 |
| 16119P108 CHARTER COMMUNICATIO | 7,325 | 10,303 |
| 446150104 HUNTINGTON BANCSHARE | | |
| 882508104 TEXAS INSTRUMENTS IN | 8,093 | 9,951 |
| G1151C101 ACCENTURE PLC SHS | | |
| 001055102 AFLAC INC | 3,605 | 8,267 |

Investments Corporation Stock Schedule

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|--------------------------------|------------------------|-------------------------------|
| 34959J108 FORTIVE CORP | 7,945 | 8,090 |
| 844741108 SOUTHWEST AIRLINES C | | |
| 87612E106 TARGET CORP | 7,005 | 10,263 |
| 883556102 THERMO ELECTRON CORP | 6,702 | 9,321 |
| 913017109 UNITED TECHNOLOGIES | 5,336 | 9,966 |
| G6095L109 APTIV PLC SHS | | |
| 018581108 ALLIANCE DATA SYS CO | | |
| 031162100 AMGEN INC | 9,206 | 9,676 |
| 21036P108 CONSTELLATION BRANDS | 8,636 | 10,157 |
| 23331A109 D R HORTON INC | 7,985 | 10,858 |
| 29444U700 EQUINIX INC | | |
| 370334104 GENERAL MILLS INC CO | | |
| 46625H100 J P MORGAN CHASE & C | 6,074 | 10,592 |
| 539830109 LOCKHEED MARTIN CORP | | |
| 778296103 ROSS STORES INC | 8,297 | 10,546 |
| 92826C839 VISA INC CL A SHRS | 3,926 | 8,945 |
| 655044105 NOBLE ENERGY INC | 8,705 | 9,186 |
| 7591EP100 REGIONS FINL CORP NE | 9,916 | 10,093 |
| 79466L302 SALESFORCE COM INC | 9,207 | 9,649 |
| 00507V109 ACTIVISION BLIZZARD | | |
| 278865100 ECOLAB INC COM | 7,219 | 9,902 |
| G0177J108 ALLERGAN PLC | 365,040 | 426,615 |
| 124857202 CBS CORP NEW | 7,402 | 7,307 |
| 44980X109 IPG PHOTONICS CORP D | 8,916 | 9,492 |
| 075887109 BECTON DICKINSON AND | 8,800 | 9,107 |
| 459200101 INTERNATIONAL BUSINE | 6,217 | 7,271 |
| 406216101 HALLIBURTON COMPANY | 9,799 | 8,652 |
| M2682V108 CYBER-ARK SOFTWARE L | 8,080 | 7,986 |
| H1467J104 CHUBB LTD | 8,096 | 9,525 |
| 11135F101 BROADCOM LTD | 8,329 | 9,386 |

Investments Corporation Stock Schedule

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|----------------------------------|-------------------------------|--------------------------------------|
| 254687106 DISNEY (WALT) COMPAN | 7,464 | 9,513 |
| 25278X109 DIAMONDBACK ENERGY I | 10,260 | 8,811 |
| 595017104 MICROCHIP TECHNOLOGY | 8,858 | 9,570 |
| 609207105 MONDELEZ INTERNATIONAL | 7,693 | 9,349 |
| 666807102 NORTHROP GRUMMAN COR | 6,601 | 10,494 |
| 848637104 SPLUNK INC | 8,749 | 9,429 |
| 00724F101 ADOBE SYS INC COM | 7,817 | 9,945 |
| 285512109 ELECTRONIC ARTS | 10,363 | 10,467 |
| 03027X100 AMERICAN TOWER REIT | 7,018 | 9,509 |

TY 2018 Investments - Other Schedule

Name: HSU HWA CHAO FOUNDATION
EIN: 33-0591357

Investments Other Schedule 2

| Category/ Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|----------------------------------|-----------------------|------------|-------------------------------|
| 46432F396 ISHARES EDGE MSCI US | AT COST | 79,197 | 84,668 |
| 46432F834 ISHARES TR CORE MSCI | | | |
| 78464A409 SPDR DJ WILSHR LG CA | AT COST | 95,250 | 97,964 |
| 78468R788 SPDR S AND P 500 HIG | AT COST | 41,326 | 42,234 |
| 40168W483 GUGGENHEIM LIMITED | AT COST | 161,521 | 161,407 |
| 413838202 HARRIS ASSOC INVT TR | | | |
| 00203H446 AQR LONG SHORT EQUIT | | | |
| 09257V201 BLACKSTONE ALT MULTI | | | |
| 41665H417 HARTFORD SCHRODERS I | | | |
| 46137V357 INVESCO S&P 500 EQUA | AT COST | 62,190 | 70,576 |
| 464285105 ISHARES COMEX GOLD T | AT COST | 29,117 | 33,276 |
| 258620822 DOUBLELINE SHILLER | AT COST | 65,475 | 65,391 |
| 40168W525 GUGGENHEIM TOTAL RET | AT COST | 120,857 | 123,130 |
| 464287507 ISHARES CORE S&P MID | AT COST | 14,784 | 15,072 |
| 258620301 DOUBLELINE CORE FIXE | AT COST | 119,611 | 122,933 |
| 47803T627 JOHN HANCOCK INTL GR | AT COST | 12,932 | 14,691 |
| 00141V697 INVESCO BALANCED RIS | | | |
| 46432F339 ISHARES EDGE MSCI US | AT COST | 87,489 | 93,971 |
| 4812A4351 JP MORGAN STRATEGIC | AT COST | 34,174 | 33,746 |
| 922042718 VANGUARD INTL EQUITY | AT COST | 14,222 | 14,885 |
| 258620103 DOUBLELINE TOTAL RET | AT COST | 123,626 | 122,921 |
| 72201M719 PIMCO INCOME FUND CL | AT COST | 124,563 | 123,161 |
| 46434V621 ISH TR CORE DIVID GR | AT COST | 39,942 | 56,753 |
| 543916464 LORD ABBETT SHORT | AT COST | 161,041 | 161,155 |
| 72201M438 PIMCO ALL ASSET ALL | | | |
| 72201M826 PIMCO DIVERSIFIED IN | AT COST | 118,202 | 122,714 |
| 78464A508 SPDR DR WLSHR LG CAP | AT COST | 13,589 | 13,839 |
| 921946810 VANGUARD INTERNATIONAL | AT COST | 13,697 | 15,045 |
| 38144N593 GOLDMAN SACHS STRUCT | | | |
| 464287804 ISHARES CORE S&P SMA | AT COST | 11,653 | 12,299 |

Investments Other Schedule 2

| Category/ Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|--------------------------------|------------------------------|-------------------|--------------------------------------|
| 09260C604 BLACKROCK CREDIT | | | |
| 09260B887 BLACKROCK CREDIT | AT COST | 120,600 | 123,145 |
| 921909768 VANGUARD TOTAL INTL | AT COST | 14,019 | 14,930 |
| 921932505 VANGUARD S&P 500 GRO | AT COST | 78,913 | 97,643 |
| 72201M453 PIMCO UNCONSTRAINED | AT COST | 33,879 | 33,743 |
| 922908629 VANGUARD MID-CAP ETF | AT COST | 78,928 | 98,381 |
| 92828W825 VIRTUS KAR INTERNATI | AT COST | 15,247 | 14,846 |
| 09260B382 BLACKROCK STRATEGIC | AT COST | 32,905 | 33,741 |
| 922908751 VANGUARD SMALL CAP | AT COST | 28,719 | 34,317 |
| 921932703 VANGUARD S AND P 500 | AT COST | 114,464 | 136,572 |
| 09248U643 BLACKROCK LIQUIDITY | AT COST | 207,893 | 207,893 |

TY 2018 Other Decreases Schedule

Name: HSU HWA CHAO FOUNDATION

EIN: 33-0591357

| Description | Amount |
|-------------------|--------|
| TIMING DIFFERENCE | 115 |

TY 2018 Other Expenses Schedule**Name:** HSU HWA CHAO FOUNDATION**EIN:** 33-0591357**Other Expenses Schedule**

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|-------------------------------|--------------------------------------|--------------------------|------------------------|---|
| STATE FILING FEE | 85 | 0 | | 85 |
| OTHER EXPENSE (NON-DEDUCTIBLE | | 0 | | 0 |

TY 2018 Other Professional Fees Schedule**Name:** HSU HWA CHAO FOUNDATION**EIN:** 33-0591357

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|----------------------------|---------------|----------------------------------|--------------------------------|--|
| INVESTMENT MANAGEMENT FEES | 5,676 | 3,405 | | 2,270 |

TY 2018 Taxes Schedule**Name:** HSU HWA CHAO FOUNDATION**EIN:** 33-0591357

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|-------------------------------|--------|--------------------------|------------------------|---|
| FOREIGN TAXES | 144 | 144 | | 0 |
| EXCISE TAX - PRIOR YEAR | 6,840 | 0 | | 0 |
| EXCISE TAX ESTIMATES | 4,674 | 0 | | 0 |
| FOREIGN TAXES ON NONQUALIFIED | 28 | 28 | | 0 |