

Form **990-PF****Return of Private Foundation**

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

Department of the Treasury
Internal Revenue Service

Do not enter social security numbers on this form as it may be made public.
Go to www.irs.gov/Form990PF for instructions and the latest information.

OMB No 1545-0052

2018

Open to Public Inspection

For calendar year 2018 or tax year beginning **OCT 1, 2018**, and ending **SEP 30, 2019**

Name of foundation
GLENN FOUNDATION FOR MEDICAL RESEARCH, INC.

Number and street (or P.O. box number if mail is not delivered to street address)
ONE EAST WASHINGTON STREET

City or town, state or province, country, and ZIP or foreign postal code
PHOENIX, AZ 85004-2554

A Employer identification number
86-0710305

B Telephone number
405-348-8987

C If exemption application is pending, check here ☐ *le*

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

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

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

G Check all that apply. ☐ Initial return ☐ Initial return of a former public charity
☐ Final return ☐ Amended return
☐ Address change ☐ Name change

H Check type of organization ☒ Section 501(c)(3) exempt private foundation *04*
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col. (c), line 16)
\$ 184,597,901. (Part I, column (d) must be on cash basis)

J Accounting method. ☒ Cash ☐ Accrual
☐ Other (specify)

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received		0.		N/A	
2 Check ☒ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		460.	460.		STATEMENT 1
4 Dividends and interest from securities		4,650,406.	4,650,406.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		<1,091,786.>			
b Gross sales price for all assets on line 6a		67,270,080.			
7 Capital gain net income (from Part IV, line 2)			0.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income		26,419.	26,419.		STATEMENT 3
12 Total. Add lines 1 through 11		3,585,499.	4,677,285.		
13 Compensation of officers, directors, trustees, etc.		279,990.	0.		279,990.
14 Other employee salaries and wages					
15 Pension plans, employee benefits		15,755.	0.		15,755.
16a Legal fees STMT 4		22,723.	0.		22,723.
b Accounting fees STMT 5		21,902.	0.		21,902.
c Other professional fees					
17 Interest		17,290.	17,290.		0.
18 Taxes STMT 6		42,951.	30,116.		12,835.
19 Depreciation and depletion		1,356.	1,356.		
20 Occupancy		7,604.	0.		7,604.
21 Travel, conferences, and meetings		80,206.	0.		80,206.
22 Printing and publications					
23 Other expenses STMT 7		1,246,524.	1,018,150.		228,375.
24 Total operating and administrative expenses. Add lines 13 through 23		1,736,301.	1,066,912.		669,390.
25 Contributions, gifts, grants paid		8,034,043.			8,034,043.
26 Total expenses and disbursements. Add lines 24 and 25		9,770,344.	1,066,912.		8,703,433.
27 Subtract line 26 from line 12.					
a Excess of revenue over expenses and disbursements		<6,184,845.>			
b Net investment income (if negative, enter -0-)			3,610,373.		
c Adjusted net income (if negative, enter -0-)				N/A	

**GLENN FOUNDATION FOR MEDICAL
RESEARCH, INC.**

Form 990-PF (2018)

86-0710305

Page 2

Part II Balance Sheets Attached schedules and amounts in the description column should be for end-of year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	73,141,726.	64,268,007.	64,268,007.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable		1,479,609.	1,030,997.
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 8	103,623,764.	103,927,261.	115,400,967.
	c Investments - corporate bonds			
	Liabilities	11 Investments - land, buildings, and equipment basis ▶		
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 9		2,942,145.	3,897,256.	3,897,256.
14 Land, buildings, and equipment: basis ▶ 123,151.				
Less: accumulated depreciation ▶ 122,477.		2,924.	674.	674.
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)		179,710,559.	173,572,807.	184,597,901.
17 Accounts payable and accrued expenses			126.	
18 Grants payable				
Assets or Fund Balances	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶ STATEMENT 19)	1,324,802.	1,373,215.	
23 Total liabilities (add lines 17 through 22)	1,324,802.	1,373,341.		
Assets or Fund Balances	Foundations that follow SFAS 117, check here and complete lines 24 through 26, and lines 30 and 31. ▶ ☐			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	178,385,757.	172,199,466.	
30 Total net assets or fund balances	178,385,757.	172,199,466.		
31 Total liabilities and net assets/fund balances	179,710,559.	173,572,807.		

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	178,385,757.
2 Enter amount from Part I, line 27a	2	<6,184,845.>
3 Other increases not included in line 2 (itemize) ▶ ROUNDING	3	1.
4 Add lines 1, 2, and 3	4	172,200,913.
5 Decreases not included in line 2 (itemize) ▶ NON-DEDUCTIBLE PORTFOLIO DEDUCTIONS	5	1,447.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	172,199,466.

Form 990-PF (2018)

**GLENN FOUNDATION FOR MEDICAL
RESEARCH, INC.**

Form 990-PF (2018)

86-0710305 Page 3

Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) ((e) plus (f) minus (g))
a			
b			
c			
d			
e 67,270,080.		68,361,865.	<1,091,786.>

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

(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			<1,091,786.>

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	<1,091,786.>
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8	3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
 If "Yes," the foundation doesn't qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year, see the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2017	11,117,369.	191,432,231.	.058075
2016	10,911,600.	204,708,182.	.053303
2015	11,927,475.	216,505,501.	.055091
2014	11,608,878.	231,670,865.	.050109
2013	11,404,795.	240,108,464.	.047499

2 Total of line 1, column (d)	2	.264077
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	.052815
4 Enter the net value of noncharitable-use assets for 2018 from Part X, line 5	4	181,444,431.
5 Multiply line 4 by line 3	5	9,582,988.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	36,104.
7 Add lines 5 and 6	7	9,619,092.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	8,703,433.

**GLENN FOUNDATION FOR MEDICAL
RESEARCH, INC.**

Form 990-PF (2018)

86-0710305

Page 4

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter. _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	72,207.
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	72,207.
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	72,207.
6 Credits/Payments			
a 2018 estimated tax payments and 2017 overpayment credited to 2018	6a	51,042.	
b Exempt foreign organizations - tax withheld at source	6b	0.	
c Tax paid with application for extension of time to file (Form 8868)	6c	0.	
d Backup withholding erroneously withheld	6d	0.	
7 Total credits and payments. Add lines 6a through 6d	7	51,042.	
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached	8	484.	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	21,649.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be: Credited to 2019 estimated tax ☐ Refunded ☐	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes? See the instructions for the definition. If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year. (1) On the foundation. ☐ \$ 0. (2) On foundation managers. ☐ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☐ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered. See instructions. ☐ CA, AZ		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2018 or the tax year beginning in 2018? See the instructions for Part XIV. If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

Form 990-PF (2018)

**GLENN FOUNDATION FOR MEDICAL
RESEARCH, INC.**

Form 990-PF (2018)

86-0710305

Page 5

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>GLENNFOUNDATION.ORG</u>	X	
14 The books are in care of ► <u>COPELAND, TROTTER & NORMAN, PC</u> Telephone no. ► <u>(405) 348-8987</u> Located at ► <u>PO BOX 2690, EDMOND, OK</u> ZIP+4 ► <u>73083-2690</u>		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 <u>N/A</u>		
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 ►		X

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? ☐ Yes ☒ No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions Organizations relying on a current notice regarding disaster assistance, check here ► ☐	1b	X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2018?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)). a At the end of tax year 2018, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2018? ☐ Yes ☒ No If "Yes," list the years ► _____ b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) <u>N/A</u> c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____	2b	
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No b If "Yes," did it have excess business holdings in 2018 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2018) <u>N/A</u>	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2018?	4b	X

Form 990-PF (2018)

GLENN FOUNDATION FOR MEDICAL
RESEARCH, INC.

Form 990-PF (2018)

86-0710305

Page 6

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:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions

N/A

Organizations relying on a current notice regarding disaster assistance, check here

☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If "Yes" to 6b, file Form 8870.

6b

X

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

8 Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?

☐ Yes ☒ No

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

1 List all officers, directors, trustees, and foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 15	VARIOUS			
1270 COAST VILLAGE CIRCLE SUITE 100				
SANTA BARBARA, CA 93108	40.00	279,990.	15,755.	0.

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

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

Total number of other employees paid over \$50,000

0

Form 990-PF (2018)

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

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

[illegible]

Total number of others receiving over \$50,000 for professional services

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.

1	N/A	
2		
3		
4		

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

1	N/A	
2		
All other program-related investments. See instructions.		
3		

Total. Add lines 1 through 3Form **990-PF** (2018)

**GLENN FOUNDATION FOR MEDICAL
RESEARCH, INC.**

Form 990-PF (2018)

86-0710305

Page 8

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	111,823,705.
b	Average of monthly cash balances	1b	68,376,734.
c	Fair market value of all other assets	1c	4,007,105.
d	Total (add lines 1a, b, and c)	1d	184,207,544.
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	184,207,544.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	2,763,113.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	181,444,431.
6	Minimum investment return. Enter 5% of line 5	6	9,072,222.

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	9,072,222.
2a	Tax on investment income for 2018 from Part VI, line 5	2a	72,207.
b	Income tax for 2018. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	72,207.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	9,000,015.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	9,000,015.
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	9,000,015.

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	8,703,433.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8; and Part XIII, line 4	4	8,703,433.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	8,703,433.

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.

Form 990-PF (2018)

**GLENN FOUNDATION FOR MEDICAL
RESEARCH, INC.**

Form 990-PF (2018)

86-0710305

Page 9

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				9,000,015.
2 Undistributed income, if any, as of the end of 2018				
a Enter amount for 2017 only			7,799,456.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2018.				
a From 2013				
b From 2014				
c From 2015				
d From 2016				
e From 2017				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2018 from Part XII, line 4: ▶ \$ 8,703,433.				
a Applied to 2017, but not more than line 2a			7,799,456.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2018 distributable amount				903,977.
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				8,096,038.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2013 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2019. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2014				
b Excess from 2015				
c Excess from 2016				
d Excess from 2017				
e Excess from 2018				

N/A

- ☐ 4942(j)(3) or ☐ 4942(j)(5)

- (4) Gross investment income**

[illegible]

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

GLENN FOUNDATION FOR MEDICAL
RESEARCH, INC.

Form 990-PF (2018)

86-0710305 Page 11

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
STATEMENT 21 1270 COAST VILLAGE CIRCLE SANTA BARBARA, CA 93108			MEDICAL RESEARCH	8,034,043.
Total			3a	8,034,043.
b Approved for future payment				
NONE				
Total			3b	0.

Form 990-PF (2018)

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

- | | | | | |
|----------|--|--------------|------------|-----------|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c)(3) (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | Yes | No |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| (1) | Cash | 1a(1) | | X |
| (2) | Other assets | 1a(2) | | X |
| b | Other transactions: | | | |
| (1) | Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| (2) | Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| (3) | Rental of facilities, equipment, or other assets | 1b(3) | | X |
| (4) | Reimbursement arrangements | 1b(4) | | X |
| (5) | Loans or loan guarantees | 1b(5) | | X |
| (6) | Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |
| d | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | | |

[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
N/A		

**Sign
Here**

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


Signature of officer or trustee

12/

Date

Title

May the IRS discuss this return with the preparer
about help? See instructions.

☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

Preparer's signature

Date _____

Check ☐
self-employed

PTIN

JACKI TROTTER


OTTER & NORMAN, PC

2-13-2020

P00848827

Firm's name ► COPELAND, TROTTER & NORMAN, PC

Firm's EIN ▶ 73-1297294

Firm's address ► 1301 SOUTH BROADWAY, SUITE 200
EDMOND, OK 73034

Phone no. 405-348-8987

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 STATEMENT 11 S/T CMD	P	10/01/18	09/30/19
b	SEE STATEMENT 11 L/T CMD	P	10/01/17	09/30/19
c	SEE STATEMENT 12 S/T PARTNERSHIPS	P	10/01/18	09/30/19
d	SEE STATEMENT 12 L/T PARTNERSHIP	P	10/01/17	09/30/19
e	SEE STATEMENT 13 A S/T STOCK		10/01/18	09/30/19
f	SEE STATEMENT 13 A L/T STOCK		10/01/17	09/30/19
g				
h				
i				
j				
k				
l				
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a		379,553.	<379,553.>
b		569,329.	<569,329.>
c		12,270.	<12,270.>
d	373,399.		373,399.
e	42,877,679.	43,307,936.	<430,258.>
f	24,019,002.	24,092,777.	<73,775.>
g			
h			
i			
j			
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			<379,553.>
b			<569,329.>
c			<12,270.>
d			373,399.
e			<430,258.>
f			<73,775.>
g			
h			
i			
j			
k			
l			
m			
n			
o			

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	<1,091,786.>
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
MONTECITO BANK	460.	460.	
TOTAL TO PART I, LINE 3	460.	460.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
DIVIDEND INCOME	3,741,499.	0.	3,741,499.	3,741,499.	
INTEREST INCOME	868,411.	0.	868,411.	868,411.	
PARTNERSHIP DIVIDENDS K1'S	21,900.	0.	21,900.	21,900.	
PARTNERSHIP INTEREST K1'S	18,596.	0.	18,596.	18,596.	
TO PART I, LINE 4	4,650,406.	0.	4,650,406.	4,650,406.	

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
SEE STATEMENT 20	26,419.	26,419.	
TOTAL TO FORM 990-PF, PART I, LINE 11	26,419.	26,419.	

FORM 990-PF	LEGAL FEES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	22,723.	0.		22,723.
TO FM 990-PF, PG 1, LN 16A	22,723.	0.		22,723.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING FEES	21,902.	0.		21,902.
TO FORM 990-PF, PG 1, LN 16B	21,902.	0.		21,902.

FORM 990-PF	TAXES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	30,116.	30,116.		0.
PAYROLL TAXES	12,835.	0.		12,835.
TO FORM 990-PF, PG 1, LN 18	42,951.	30,116.		12,835.

FORM 990-PF	OTHER EXPENSES	STATEMENT	7
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
STATEMENT 16	1,246,524.	1,018,150.		228,375.
TO FORM 990-PF, PG 1, LN 23	1,246,524.	1,018,150.		228,375.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
INVESTMENTS CORP. SECURITIES STMT 17	103,927,261.	115,400,967.
TOTAL TO FORM 990-PF, PART II, LINE 10B	103,927,261.	115,400,967.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
OTHER INVESTMENTS - STATEMENT 18	COST	3,897,256.	3,897,256.
TOTAL TO FORM 990-PF, PART II, LINE 13		3,897,256.	3,897,256.

GENERAL EXPLANATION

STATEMENT 10

FORM/LINE IDENTIFIER

FORM 990 PF

EXPLANATION:

SECTION 1.263(A)-1(F) DE MINIMIS SAFE HARBOR ELECTION
GLENN FOUNDATION FOR MEDICAL RESEARCH, INC. IS MAKING THE DE MINIMIS
SAFE HARBOR ELECTION UNDER REG. SEC. 1.263(A)-1(F)

Glenn Foundation
EIN 86-0710305

S/T 40%	-379,552 80
L/T 60 %	<u>-569,329 21</u>
	-948.882 01

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC.
 EIN: 86-0710305
 FORM 990PF PART IV, LINE 1C - CAPITAL GAINS (LOSSES)
 FYE: 09-30-2019

DESCRIPTION	GAIN (LOSS)		TOTAL
	SHORT-TERM	LONG-TERM	
DAVENPORT BRITISH	(38,304)		(38,304)
GREEN ENERGY METALS FUND	17,581	(62,763)	(45,182)
THE BLACKSTONE GROUP	(27,466)	6,093	(21,373)
PORTOLAN EQUITY FUND	(75,328)	259,957	184,629
THE BLACKSTONE GROUP 1231		3,240	3,240
RAYMOND JAMES 1256	111,240	166,861	278,101
THE BLACKSTONE 1256	7	11	18
	(12,270)	373,399	361,129

*1231 LT

*1256 40% ST 60% LT

SEC 1256

RAYMOND JAMES 985	111,240	166,861	278,101
THE BLACKSTONE	7	11	18

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC
EIN 86-0710305
STOCK GAIN (LOSS) SUMMARY PAGE
FYE 9-30-2019

Stock Account	GAIN (LOSS)	BASIS	SALES PRICE
MORGAN STANLEY 814-890187-350	(299,085.38)	2,119,366.22	1,820,280.84
MORGAN STANLEY 814-890187-350	160,969.79	1,360,628.64	1,521,598.43
MORGAN STANLEY 814-890188-350	24,750.18	41,887.06	66,637.24
RAYMOND JAMES 590N7628	(213,505.37)	11,513,150.14	11,299,644.77
RAYMOND JAMES 590N7628	(20,030.29)	379,256.35	359,226.06
RAYMOND JAMES 627XM177	269,065.19	24,914,836.86	25,183,902.05
RAYMOND JAMES 627XM177	251,271.21	10,738,278.34	10,989,549.55
RAYMOND JAMES 49519053	(201,319.81)	886,581.63	685,261.82
RAYMOND JAMES 49519053	9,093.54	92,698.28	101,791.82
RAYMOND JAMES 49533723	(3,173.83)	54,054.42	50,880.59
RAYMOND JAMES 49533723	(24,481.41)	345,593.81	321,112.40
RAYMOND JAMES 572K8641	(20,344.79)	1,806,969.29	1,786,624.50
RAYMOND JAMES 572K8641	(219,366.55)	10,578,685.12	10,359,318.57
UBS 32494	52,693.32	452.09	53,145.41
UBS 32494	0.00	0.00	0.00
UBS 39221	(2,884.69)	1,201,034.96	1,198,150.27
UBS 39221	(19,771.69)	100,635.31	80,863.62
UBS 39222	(36,465.56)	769,603.61	733,138.05
UBS 39222	(3,354.68)	276,355.95	273,001.27
WELLS FARGO 2190-3767	13.21	0.00	13.21
WELLS FARGO 2190-3767	(208,105.01)	220,645.16	12,540.15
	<u>(504,032.62)</u>	<u>67,400,713.24</u>	<u>66,896,680.62</u>
TOTAL SHORT TERM	(430,257.53)	43,307,936.28	42,877,678.75
TOTAL LONG TERM	<u>(73,775.09)</u>	<u>24,092,776.96</u>	<u>24,019,001.87</u>
	<u>(504,032.62)</u>	<u>67,400,713.24</u>	<u>66,896,680.62</u>

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC

EIN: 86-0710305

RAYMOND JAMES ALEX BROWN #590N7628

FYE 9-30-2019

Memo	Sales Price	Date of		#of Shares	Cost Basis	Gain (Loss)
		Sale	Purchase			
SHORT TERM						
ALLERGAN PLC	248,433.49	12/21/18	VARIOUS S/T	1800	316,480.20	(68,046.71)
ALLERGAN PLC 11-16-18 CALL @ 165.00 EXPIRED	9,359.87	11/09/18	11/19/18	18	0.00	9,359.87
ALLERGAN PLC 11-9-18 CALL @ 165.00	-3,528.07	10/31/18	11/09/18	18	0.00	(3,528.07)
BROADCOM 3-15-19 CALL @ 280.00	-1,395.07	02/19/19	03/18/19	5	0.00	(1,395.07)
BROADCOM CORP	149,656.92	04/23/19	01/15/19	500	126,141.85	23,515.07
CARNIVAL CORP 10-19-18 CALL @ 65.00 EXPIRED	1,599.97	10/03/18	10/22/18	40	0.00	1,599.97
CARNIVAL CORP 4-18-19 CALL @ 54.00	394.05	04/03/19	04/22/19	40	0.00	394.05
CARNIVAL CORP 5-17-19 CALL @ 55.00	2,350.25	04/22/19	05/17/19	40	0.00	2,350.25
CARNIVAL CORP 6-21-19 CALL @ 55.00 EXPIRED	3,225.30	05/17/19	06/24/19	40	0.00	3,225.30
CARNIVAL CORP 8-16-19 CALL @ 48.00 EXPIRED	604.98	07/30/19	08/19/19	11.00	0.00	604.98
CELEGENE CORPORATION	125,685.01	01/07/19	08/31/18	1500	140,756.55	(15,071.54)
CVS HEALTH CORPORATION	134,047.16	11/09/18	06/15/18	1700	117,860.49	16,186.67
CVS HEALTH CORPORATION	120,840.07	12/05/18	VARIOUS S/T	1500	106,763.91	14,076.16
FIMM TREASURY ONLY PORTFOLIO MM	2,668,999.30	08/09/19	VARIOUS S/T	2668999.30	2,668,999.30	0.00
FIMM TREASURY ONLY PORTFOLIO MM	2,692,976.94	08/20/19	8/12/2019	2692976.94	2,692,976.94	0.00
FIMM TREASURY ONLY PORTFOLIO MM	2,564,903.19	9/12/2019	VARIOUS S/T	2,564,903.19	2,564,903.19	0.00
GILEAD SCIENCES INC	102,593.70	02/14/19	10/02/18	1600	122,970.24	(20,376.54)
ISHARES TR GLB INFRASTRUCTURE ETF	445,132.21	03/26/19	10/22/18	10000	414,680.00	30,452.21
MARATHON OIL COMPANY	66,454.17	06/14/19	10/02/18	5100	120,257.49	(53,803.32)
MARATHON OIL CORP 10-19-18 CALL @ 25.00 EXPIRED	1,325.98	10/01/18	10/22/18	51	0.00	1,325.98
MAXIM INTEGRATED 11-16-18 CALL @ 60.00 EXPIRED	989.04	10/02/18	11/19/18	10	0.00	989.04
MAXIM INTEGRATED 1-18-19 CALL @ 50.00	-949.62	01/07/19	01/18/19	10	0.00	(949.62)
MAXIM INTEGRATED 12-21-18 CALL @ 160.00 EXPIRED	283.63	11/28/18	12/24/18	10	0.00	283.63
MAXIM INTEGRATED 12-21-18 CALL @ 55.00 EXPIRED	1,033.66	11/09/18	12/24/18	10	0.00	1,033.66
MAXIM INTEGRATED 3-15-19 CALL @ 155.00 EXPIRED	1,489.98	02/20/19	03/18/19	10	0.00	1,489.98
MAXIM INTEGRATED PRODUCTS	53,432.63	02/20/19	07/15/16	1000	38,077.73	15,354.90
PAYPAL HOLDINGS	139,870.17	11/14/18	09/24/18	1600	144,509.12	(4,638.95)
PAYPAL HOLDINGS INC 10-19-18 CALL @ 90.00	1,106.24	10/03/18	10/19/18	16	0.00	1,106.24
PAYPAL HOLDINGS INC 10-26-18 CALL @ 85.00	929.08	10/19/18	10/29/18	16	0.00	929.08
QUIDEL CORP 10-19-18 CALL @ 65.00 EXPIRED	14,439.81	09/24/18	10/22/18	38	0.00	14,439.81
QUIDEL CORPORATION	175,089.56	12/12/18	VARIOUS S/T	3800	280,491.28	(105,401.72)
QUIDEL CORPORATION 11-16-18 CALL @ 65.00 EXPIRED	9,879.87	10/26/18	11/19/18	38	0.00	9,879.87
RINGCENTRAL INC	16,573.78	01/18/18	08/16/18	200	17,866.38	(1,292.60)
RINGCENTRAL INC	116,016.49	01/23/19	08/16/18	1400	125,064.66	(9,048.17)
RINGCENTRAL INC 10-19-18 CALL @ 95.00 EXPIRED	1,285.42	10/03/18	10/22/18	16	0.00	1,285.42
RINGCENTRAL INC 11-16-18 CALL @ 75.00	7,087.87	10/25/18	11/19/18	16	0.00	7,087.87

STATEMENT 13 A

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC
EIN: 86-0710305
RAYMOND JAMES ALEX BROWN #590N7628
FYE 9-30-2019

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost		Gain (Loss)
					Basis		
SHORT TERM							
RINGCENTRAL INC 12-21-18 CALL @ 65.00 EXPIRED	8,639.88	11/19/18	12/24/18	16	0.00		8,639.88
SALESFORCE INC 3-1-19 CALL @ 167.50	1,070.98	02/14/19	03/04/19	9	0.00		1,070.98
SALESFORCE INC 3-15-19 CALL @ 170.00 EXPIRED	2,717.96	03/04/19	03/18/19	9	0.00		2,717.96
SALESFORCE INC 5-17-19 CALL @ 170.00 EXPIRED	2,309.95	05/01/19	05/20/19	15	0.00		2,309.95
SPDR S&P 500 ETF TRUST	1,165,664.84	10/04/18	02/07/18	4000	1,067,279.60		98,385.24
SPLUNK INC 10-19-18 CALL @ 120.00 EXPIRED	2,617.96	10/03/18	10/22/18	14	0.00		2,617.96
SPLUNK INCORPORATED	134,426.53	11/06/18	06/14/18	1400	164,555.02		(30,128.49)
THERAPEUTICSMD INC.	64,707.85	06/13/19	06/08/18	27300	191,181.90		(126,474.05)
THERAPEUTICSMD INC.	45,271.79	06/13/19	01/14/19	19100	91,334.29		(46,062.50)
	11,299,644.77				11,513,150.14		(213,505.37)
LONG TERM							
MAXIM INTEGRATED PRODUCTS	54,509.69	03/26/19	07/15/16	1000	38,077.73		16,431.96
NUTANIX INC.	153,128.95	03/05/19	01/17/19	4500	217,570.87		(64,441.92)
PFIZER INC	151,587.42	10/23/18	08/03/16	3500	123,607.75		27,979.67
	359,226.06				379,256.35		(20,030.29)
						cost	proceeds
SHORT TERM GAIN(LOSS)	(213,505.37)				11,513,150.14		11,299,644.77
LONG TERM GAIN(LOSS)	(20,030.29)				379,256.35		359,226.06
	(233,535.66)				11,892,406.49		11,658,870.83
						(233,535.66)	

GLENN FOUNDATION
86-0710305
SCHEDULE D ATTACHMENT
FYE 9/30/19
MORGAN STANLEY 814-890188-350

Memo	Sales Price	Date of Sale	Date of Purchase	# of Shares	Cost Basis	Gain (Loss)
Jan-19						
SHORT TERM						
NETFLIX INC 1-18-19 PUT @ 280 00 EXPIRED	6,793 91	07/17/18	01/22/19	8	0 00	6,793 91
Jun-19						
SHORT TERM						
CAESARS ENTERTAINMENT GROUP	50,089 46	06/20/19	03/18/19	5000	41,887 06	8,202.40
FACEBOOK 6-21-19 PUT @ 155 00 EXPIRED	9,753 87	07/26/18	06/20/19	10	0 00	9,753 87
	59,843 33				41,887 06	17,956 27
SHORT TERM GAIN(LOSS)	24,750.18				41,887.06	66,637.24 24,750 18

GLENN FOUNDATION
86-0710305
SCHEDULE D ATTACHMENT
FYE 9/30/19
MORGAN STANLEY 814-890187-350

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
Oct-18						
SHORT TERM						
AERIE PHARMACEUTICALS INC	32,575 83	10/30/18	06/25/18	635	43,312 46	(10,736.63)
AERIE PHARMACEUTICALS INC	43,348 95	10/30/18	08/28/18	845	53,643 22	(10,294 27)
AERIE PHARMACEUTICALS INC	1,539 02	10/30/18	09/28/18	30	1,847 93	(308 91)
AERIE PHARMACEUTICALS INC	39,918 91	10/31/18	9/28/2018	750	46,198 35	(6,279.44)
BLACKROCK INC	41,074 31	10/30/18	1/2/2018	104	52,921 45	(11,847.14)
GENERAL ELECTRIC	66,226 92	10/30/18	VARIOUS S/T	6555	86,345 76	(20,118 84)
PIONEER NATURAL RESOURCES CO	36,546 93	10/26/18	04/25/18	241	47,538 09	(10,991.16)
PIONEER NATURAL RESOURCES CO	87,137 28	10/29/18	VARIOUS S/T	600	108,604 12	(21,466 84)
	348,368 15				440,411 38	(92,043 23)
LONG TERM						
GARRETT MOTION INC CASH IN LIEU	8 19	10/04/18	05/22/13		4 21	3 98
RESIDEO TECHNOLOGIES INC CASH IN LIEU	16.40	10/31/18	05/22/13		11 90	4 50
	24 59				16.11	8 48
Nov-18						
SHORT TERM						
ALDER BIOPHARMACEUTICALS INC	5,146.83	11/15/18	06/08/18	395	6,699 87	(1,553 04)
ALDER BIOPHARMACEUTICALS INC	30,125 19	11/15/18	06/11/18	2312	38,102 22	(7,977 03)
ALDER BIOPHARMACEUTICALS INC	11,752 99	11/15/18	11/02/18	902	12,850 25	(1,097 26)
ALDER BIOPHARMACEUTICALS INC	9,173 38	11/16/18	VARIOUS S/T	694	9,862 28	(688 90)
FEDEX CORP	18,256 14	11/30/18	09/18/18	80	19,642 03	(1,385.89)
GILEAD SCIENCE	21,263 29	11/15/18	07/25/18	305	23,861 71	(2,598.42)
HOME DEPOT INC	18,984 32	11/13/18	05/16/18	107	19,938 98	(954 66)
HOME DEPOT INC	21,444 23	11/30/18	05/16/18	122	22,734 16	(1,289.93)
LYONDELLBASELL NV	19,103 64	12/29/18	03/07/18	205	22,353.41	(3,249 77)
	155,250 01				176,044 91	(20,794.90)
LONG TERM						
CELGENE CORP	117,384 84	11/15/18	VARIOUS L/T	1685	117,629 01	(244.17)
GILEAD SCIENCE	142,220 01	11/15/18	06/26/17	2040	145,364 69	(3,144.68)
HONEYWELL INTERNATIONAL	48,564 51	11/07/18	11/18/15	325	31,914 35	16,650 16
HONEYWELL INTERNATIONAL	37,357 31	11/07/18	05/22/13	250	19,179 35	18,177 96
HONEYWELL INTERNATIONAL	37,357 31	11/07/18	10/10/14	250	21,088 15	16,269 16
PALO ALTO NETWORKS INC	51,254 56	11/07/18	04/09/14	271	18,134 72	33,119 84
RESIDEO TECHNOLOGIES INC.	5,271 92	11/07/18	05/22/13	220	3,400 65	1,871 27
VANGUARD TTL STK MKT ETF	30,714 18	11/07/18	12/30/16	215	24,831.45	5,882 73
	470,124 64				381,542 37	88,582 27
Dec-18						
SHORT TERM						
CELGENE CORP	36,453.65	12/11/18	VARIOUS S/T	520	32,628.72	3,824 93
HESS CORPORATION	70,830.02	12/03/18	10/01/18	1270	94,176.72	(23,346.70)
HESS CORPORATION	80,664 67	12/14/18	10/31/18	1585	91,156 04	(10,491.37)
	187,948 34				217,961 48	(30,013 14)
LONG TERM						
CONSTELLATION BRANDS INC	191,282 89	12/31/18	VARIOUS L/T	1193	184,067.90	7,214 99
FEDEX CORP	47,829 25	12/31/18	10/02/14	300	47,639 25	190 00
FEDEX CORP	39,857 71	12/31/18	10/10/14	250	38,840.00	1,017.71
FEDEX CORP	15,943 08	12/31/18	11/18/15	100	16,111 06	(167.98)
	294,912 93				286,658 21	8,254 72

GLENN FOUNDATION
86-0710305
SCHEDULE D ATTACHMENT
FYE 9/30/19
MORGAN STANLEY 814-890187-350

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
Jan-19						
SHORT TERM						
ILLUMINA INC	16,800.24	01/31/19	12/19/18	60	18,271.81	(1,471.57)
Feb-19						
SHORT TERM						
COCA COLA CO	81,446.41	02/14/19	10/29/18	1775	82,274.45	(828.04)
WABTEC CORP CASH IN LIEU	43.44	02/28/18	02/26/18	0.595	45.79	(2.35)
	81,489.85				82,320.24	(830.39)
Mar-19						
SHORT TERM						
ILLUMINA INC	22,266.81	03/05/19	12/20/18	73	21,520.00	746.81
ILLUMINA INC	11,285.92	03/05/19	12/21/18	37	10,721.61	564.31
LOCKHEED MARTIN CORP	15,494.94	03/18/19	10/23/18	52	16,582.34	(1,087.40)
WABTEC CORP	5,174.01	03/04/19	02/26/18	71	5,463.77	(289.76)
	54,221.68				54,287.72	(66.04)
LONG TERM						
ABBVIE INC	33,972.35	03/13/19	12/29/15	431	25,635.69	8,336.66
JPMORGAN CHASE & CO	32,167.79	03/25/19	11/18/15	325	21,709.94	10,457.85
LYONDELLBASELL NV	14,621.06	03/21/19	03/20/15	165	15,125.65	(504.59)
WELLS FARGO & CO	109,099.88	03/19/19	VARIOUS L/T	2100	101,338.12	7,761.76
	189,861.08				163,809.40	26,051.68
Apr-19						
SHORT TERM						
BERKSHIRE HATHAWAY	39,781.18	04/04/19	05/10/18	195	39,074.70	706.48
GENERAL ELECTRIC	18,516.97	04/03/19	02/25/19	1830	19,967.31	(1,450.34)
GENERAL ELECTRIC	13,640.69	04/25/19	01/07/19	1495	12,863.58	777.11
GILEAD SCIENCE	114,635.91	04/24/19	12/31/18	1825	113,600.96	1,034.95
	186,574.75				185,506.55	1,068.20
LONG TERM						
ABBVIE INC	34,379.46	04/23/19	12/29/15	435	25,873.59	8,505.87
BAIDU INC	142,074.54	04/29/19	VARIOUS L/T	857	144,504.65	(2,430.11)
BRISTOL MYERS SQUIBB CO	55,899.51	04/25/19	05/01/17	1230	69,599.30	(13,699.79)
LYONDELLBASELL NV	21,640.34	04/01/19	02/18/14	250	21,321.78	318.56
LYONDELLBASELL NV	71,413.14	04/01/19	03/20/15	825	75,628.25	(4,215.11)
	325,406.99				336,927.57	(11,520.58)
May-19						
SHORT TERM						
NVIDIA CORPORATION	59,860.72	05/31/19	01/10/19	437	63,130.2	(3,269.48)
LONG TERM						
NVIDIA CORPORATION	33,560.36	05/31/19	05/31/17	245	35,303.59	(1,743.23)

GLENN FOUNDATION
86-0710305
SCHEDULE D ATTACHMENT
FYE 9/30/19
MORGAN STANLEY 814-890187-350

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
Jun-19						
SHORT TERM						
FEDEX CORP	125,830.94	06/25/19	03/20/19	803	140,361.51	(14,530.57)
LONG TERM						
ABBVIE INC	27,816.97	06/24/19	12/29/15	355	21,115.19	6,701.78
GARRETT MOTION INC.	1,923.13	06/24/19	05/22/13	132	1,229.40	693.73
FEDEX CORP	31,548.68	06/26/19	02/18/14	200	26,526.10	5,022.58
	61,288.78				48,870.69	12,418.09
Jul-19						
SHORT TERM						
AERIE PHARMACEUTICALS INC	75,805.97	07/18/19	VARIOUS S/T	3184	135,787.65	(59,981.68)
NETFLIX	13,615.92	07/22/19	10/16/18	44	15,081.64	(1,465.72)
UNITED TECHNOLOGIES CORP	33,875.07	07/22/19	04/23/19	255	35,706.71	(1,831.64)
	123,296.96				186,576.00	(63,279.04)
LONG TERM						
NETFLIX	35,587.06	07/22/19	07/17/18	115	40,692.68	(5,105.62)
PHILLIPS 66	1,014.12	07/25/19	02/02/16	10	792.70	221.42
	36,601.18				41,485.38	(4,884.20)
Aug-19						
SHORT TERM						
ALIBABA GROUP HLDG LTD	153,136.88	08/05/19	04/05/19	995	183,868.94	(30,732.06)
ALIBABA GROUP HLDG LTD	32,320.35	08/05/19	04/10/19	210	38,950.04	(6,629.69)
ALIBABA GROUP HLDG LTD	26,844.24	08/06/19	05/09/19	170	30,404.40	(3,560.16)
GENERAL ELECTRIC	79,993.32	08/15/19	VARIOUS S/T	10005	86,087.02	(6,093.70)
UBER TECHNOLOGIES INC	91,769.44	08/14/19	06/05/19	2515	111,188.90	(19,419.46)
	384,064.23				450,499.30	(66,435.07)
LONG TERM						
ABBVIE INC	42,143.68	08/02/19	05/20/13	645	30,018.24	12,125.44
ABBVIE INC	2,286.87	08/02/19	06/14/13	35	1,513.16	773.71
	44,430.55				31,531.40	12,899.15
Sep-19						
SHORT TERM						
NETFLIX	22,327.92	09/20/19	10/23/18	83	26,399.93	(4,072.01)
NETFLIX	25,018.03	09/20/19	10/26/18	93	28,298.93	(3,280.90)
NETFLIX	19,906.82	09/20/19	11/28/18	74	19,791.55	115.27
NETFLIX	29,322.20	09/20/19	12/14/18	109	29,504.71	(182.51)
	96,574.97				103,995.12	(7,420.15)
LONG TERM						
NETFLIX	15,333.62	09/20/19	04/27/18	57	17,754.47	(2,420.85)
PALO ALTO NETWORKS INC	50,053.71	09/04/19	04/09/14	250	16,729.45	33,324.26
	65,387.33				34,483.92	30,903.41
SHORT TERM GAIN (LOSS)					cost	proceeds
					2,119,366.22	1,820,280.84
LONG TERM GAIN (LOSS)					1,360,628.64	1,521,598.43
TOTAL GAIN (LOSS)					3,479,994.86	3,341,879.27

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC
EIN 86-0710305
RAYMOND JAMES #49519053
FYE 9-30-2019

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
Oct-18						
SHORT TERM						
JD COM INC	11,435 20	10/25/18	06/15/18	500	20,302 45	(8,867 25)
Nov-18						
SHORT TERM						
CTRIIP INTL	34,639 54	11/06/18	06/14/18	1000	50,527 50	(15,887 96)
LONG TERM						
MERCER INTERNATIONAL INC	71,754 06	11/6/2018	6/24/2014	5000	46,968 40	24,785 66
Dec-19						
SHORT TERM						
58 COM INC	27,115 24	12/21/18	06/15/18	500	40,649 30	(13,534 06)
AGIOS PHARMACEUTICALS INC	20,824 71	12/21/18	06/14/18	430	39,999 84	(19,175 13)
ALIBABA GROUP HOLDING LTD	130,203 85	12/21/18	VARIOUS S/T	955	158,536 10	(28,332 25)
BAOZUN INC	10,376 26	12/21/18	06/08/18	345	21,560 08	(11,183 82)
CTRIIP INTL	26,134 66	12/21/18	VARIOUS S/T	1000	50,527 50	(24,392 84)
DROPBOX INC	27,609 77	12/21/18	06/14/18	1300	40,300 31	(12,690 54)
HUYA INC	7,910 04	12/21/18	06/08/18	500	15,205 85	(7,295 81)
IQIYI INCORPORATED	15,544 89	12/21/18	06/15/18	1000 000	34,984 10	(19,439 21)
JD COM INC	10,059 91	12/21/18	06/15/18	1000	20,302 45	(10,242 54)
MERCER INTERNATIONAL INC	5 77	12/20/18	10/04/18	0 547	8 96	(3 19)
MERCER INTERNATIONAL INC	34,953 75	12/21/18	VARIOUS S/T	3310 82104	53,793 18	(18,839 43)
STAMPS COM INC	22,547 70	12/21/18	06/14/18	150	40,872 50	(18,324 80)
	333,286 55				516,740 17	(183,453 62)
LONG TERM						
MERCER INTERNATIONAL INC	30,037 76	12/21/18	VARIOUS L/T	2845 17896	45,729 88	(15,692 12)
Jan-19						
SHORT TERM						
MERCER INTERNATIONAL INC	5 46	01/04/19	12/20/18	0 52204	5 62	(0 16)
MERCER INTERNATIONAL INC	722 69	01/07/19	12/20/18	71	763 95	(41 26)
MICROSOFT CORPORATION	13 70	01/04/19	12/14/18	0 1407	15 62	(1 92)
MICROSOFT CORPORATION	39,048 23	01/07/19	VARIOUS S/T	398	40,319 70	(1,271 47)
TABLEAU SOFTWARE INC	45,755 03	01/07/19	06/14/18	395	40,080 21	5,674 82
	85,545 11				81 185 10	4,360 01
May-19						
SHORT TERM						
ISHARES 20+ YR TR BD ETF	100,482 91	05/08/19	04/02/18	800	97,144 48	3,338 43
SPDR GOLD SHARES	119,872 51	05/23/19	VARIOUS S/T	1000	120,681 93	(809 42)
	220,355 42				217,826 41	2,529 01
SHORT TERM GAIN(LOSS)	(201,319.81)				cost	proceeds
LONG TERM GAIN(LOSS)	9,093 54				886,581.63	685,261 82
	(192,226.27)				92,698.28	101,791.82
					979,279 91	787,053 64
					(192,226 27)	

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC
EIN 86-0710305
RAYMOND JAMES #49533723
FYE 9-30-2019

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
Jan-19						
SHORT TERM						
BLACKROCK ENH CAP & INCOME FD	28,125 33	01/14/19	01/10/18	1904	31,719 88	(3,594 55)
EATON VANCE ENH EQTY INC	7,488 86	01/14/19	01/10/18	464	7,255 20	233 66
EATON VANCE TX MDG DIV EQ	4,685 37	01/14/19	VARIOUS S/T	434 601	5,161 64	(476 27)
FIRST TRUST HIGH INCOME FD	6,268 13	01/14/19	VARIOUS S/T	449 3311	5,574 63	693 50
FIRST TRUST HIGH INCOME FD	11 38	01/15/19	VARIOUS S/T	0 8256	11 66	(0 28)
	46,579 07				49,723 01	(3,143 94)
LONG TERM						
BLACKROCK SCIENCE & TECH TR	8,129 74	01/14/19	03/28/17	274	5,533 37	2,596 37
CALAMOS STRATEGIC TOTAL RETURN FD	2,526 71	01/14/19	03/28/17	225	2,464 58	62 13
COHEN & STEERS QUALITY RLTY FD	1,350 43	01/14/19	07/02/13	122	1,353 83	(3 40)
EATON VANCE TX MDG DIV EQ	2 15	01/11/19	07/02/13	0 198	2 03	0 12
EATON VANCE TX MDG DIV EQ	52,927 54	01/14/19	VARIOUS L/T	4909 399	51,858 07	1,069 47
FIRST TR ENHANCED EQUITY	24,935 34	01/14/19	03/28/17	1829	25,895 53	(960 19)
FIRST TRUST HIGHT INCOME FD	62,560 76	01/14/19	VARIOUS L/T	4484 6689	75,430 77	(12,870 01)
FRANKLIN LTD DURATION INC	13,496 06	01/14/19	01/10/12	1439	18,807 73	(5,311 67)
FRANKLIN LTD DURATION INC	13,580 47	01/14/19	01/13/12	1448	18,783 89	(5,203 42)
FRANKLIN LTD DURATION INC	740 92	01/14/19	01/20/12	79	1,020 68	(279 76)
GUGGENHEIM TAXABLE MUNI MNGD	6,275 68	01/14/19	01/10/12	285	6,104 70	170 98
GUGGENHEIM TAXABLE MUNI MNGD	2,113 91	01/14/19	01/13/12	96	2,058 24	55 67
HANCOCK JOHN TAX-ADV DIV INCOME	5,688 86	01/14/19	03/28/17	259	6,338 77	(649 91)
INVESCO DYNAMIC CREDIT OPP FD	3,219 47	01/14/19	01/10/12	298	3,221 92	(2 45)
INVESCO DYNAMIC CREDIT OPP FD	1,788 59	01/14/19	01/13/12	165	1,817 12	(28 53)
LMP CAP & INCOME FUND INC	902 48	01/14/19	03/28/17	77	1,057 20	(154 72)
NUVEEN CREDIT STRATEGIES INCOME FD	4,400 99	01/14/19	03/28/17	567	4,977 69	(576 70)
NUVEEN MTG OPPORTUNITY	35,813 36	01/14/19	03/28/17	1,577 00	39,013 39	(3,200 03)
NUVEEN TAXABLE MUNICIPAL INCOME FD	2,551 62	01/14/19	03/28/17	129	2,682 27	(130 65)
PGIM SHORT DURATION HIGH YIELD	3,413 93	01/14/19	03/28/17	251 0000	3,856 14	(442 21)
PUTNAM PREMIER INCOME TRUST	1,997 47	01/14/19	03/28/17	411 0000	2,157 71	(160 24)
TEKLA HEALTHCARE OPPORTUNITY FD	9,246 80	01/14/19	03/28/17	541	9,222 70	24 10
TRI CONTL CORP	4,119 79	01/14/19	01/10/18	168	4,577 60	(457 81)
WESTERN ASSET HIGH YIELD DEFINED OPP FD	1,908 57	01/14/19	03/28/17	138	2,088 77	(180 20)
	263,691 64				290,324 70	(26,633 06)
Aug-19						
SHORT TERM						
EATON VANCE ENH EQTY INC	6 82	08/26/19	01/10/18	0 41942	6 56	0 26
EATON VANCE ENH EQTY INC	4,294 70	08/26/19	VARIOUS S/T	263 7415	4,324 85	(30 15)
	4,301 52				4,331 41	(29 89)
LONG TERM						
EATON VANCE ENH EQTY INC	57,420 76	08/26/19	VARIOUS L/T	3526 259	55,269 11	2,151 65
					cost	proceeds
SHORT TERM GAIN(LOSS)					54,054.42	50,880 59
LONG TERM GAIN(LOSS)					345,593 81	321,112 40
					399,648 23	371,992 99
					(27,655 24)	

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC

EIN: 86-0710305

RAYMOND JAMES AB #627XM177

FYE 9-30-2019

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
SHORT TERM						
ABBVIE INC	173,856.38	06/05/19	06/12/18	2300	229,724.00	(55,867.62)
ABBVIE INC	166,297.42	06/05/19	08/17/18	2200	214,349.96	(48,052.54)
ABBVIE INC 10-19-18 CALL @ 105.00 EXPIRED	1,425.98	07/25/18	10/22/18	23	0.00	1,425.98
AIR PRODUCTS & CHEMICALS 11-16-18 CALL @ 160.00	-19,376.29	VARIOUS S/T	11/19/18	71	0.00	(19,376.29)
AIR PRODUCTS & CHEMICALS 12-21-18 CALL @ 170.00 EXPIRED	36,496.68	09/19/18	12/24/18	70	0.00	36,496.68
AIR PRODUCTS & CHEMICALS 3-15-19 CALL @ 170.00	-74,876.26	11/19/18	03/18/19	71	0.00	(74,876.26)
AIR PRODUCTS & CHEMICALS 3-15-19 CALL @ 180.00	-17,670.05	01/02/19	03/14/19	38	0.00	(17,670.05)
AIR PRODUCTS & CHEMICALS 9-20-19 CALL @ 190.00	-98,385.14	03/14/19	09/20/19	68	0.00	(98,385.14)
ALLERGAN PLC	484,386.54	12/28/18	08/31/18	3800	721,791.76	(237,405.22)
ALLERGAN PLC 11-16-18 CALL @ 160.00	-17,357.20	10/31/18	11/09/18	38	0.00	(17,357.20)
ALLERGAN PLC 11-16-18 CALL @ 200.00	3,582.48	10/26/18	10/31/18	38	0.00	3,582.48
ALLERGAN PLC 12-21-18 CALL @ 160.00 EXPIRED	46,523.16	11/09/18	12/24/18	38	0.00	46,523.16
AMGEN 11-16-18 CALL @ 230.00	3,171.78	09/26/18	10/26/18	69	0.00	3,171.78
AMGEN INC 11-16-18 CALL @ 205.00 EXPIRED	10,129.84	10/26/18	11/19/18	69	0.00	10,129.84
AMGEN INC 1-18-19 CALL 212.50 EXPIRED	3,522.49	01/02/19	01/22/19	69	0.00	3,522.49
AMGEN INC 12-21-18 CALL @ 215.00 EXPIRED	5,752.11	11/21/18	12/24/18	69	0.00	5,752.11
AMGEN INC 2-15-19 CALL @ 192.50 EXPIRED	4,805.67	01/31/19	02/19/19	69	0.00	4,805.67
AMGEN INC 3-15-19 CALL @ 200.00 EXPIRED	3,173.95	02/25/19	03/18/19	69	0.00	3,173.95
AMGEN INC 4-18-19 CALL @ 210.00 EXPIRED	3,737.11	03/20/19	04/22/19	69	0.00	3,737.11
AMGEN INC 5-10-19 CALL @ 192.50 EXPIRED	3,449.92	04/30/19	05/13/19	69	0.00	3,449.92
AMGEN INC 9-20-19 CALL @ 210.00 EXPIRED	3,932.91	09/10/19	09/23/19	69	0.00	3,932.91
APPLE 12-21-18 CALL @ 220.00 EXPIRED	19,557.80	08/07/18	12/24/18	36	0.00	19,557.80
APPLE 12-21-18 CALL @ 230.00 EXPIRED	6,287.71	VARIOUS S/T	12/24/18	31	0.00	6,287.71
APPLE 2-15-19 CALL @ 170.00	-8,498.13	01/25/19	02/15/19	67	0.00	(8,498.13)
APPLE 3-29-19 CALL @ 180.00	-38,822.61	02/15/19	03/26/19	67	0.00	(38,822.61)
APPLE 4-18-19 CALL @ 220.00 EXPIRED	54,287.13	09/21/18	04/22/19	30	0.00	54,287.13
APPLE 8-16-19 CALL @ 210.00	-34,222.48	03/26/19	08/01/19	67	0.00	(34,222.48)
CARNIVAL CORP 1-18-19 CALL @ 70.00 EXPIRED	14,379.13	09/17/18	01/22/19	156	0.00	14,379.13
CARNIVAL CORP 4-18-19 CALL @ 54.00	1,536.78	04/03/19	04/22/19	156	0.00	1,536.78
CARNIVAL CORP 4-18-19 CALL @ 60.00 EXPIRED	9,372.43	01/23/19	04/22/19	156	0.00	9,372.43
CARNIVAL CORP 5-17-19 CALL @ 55.00	9,166.01	04/22/19	05/17/19	156	0.00	9,166.01
CARNIVAL CORP 6-21-19 CALL @ 55.00 EXPIRED	12,578.67	05/17/19	06/24/19	156	0.00	12,578.67
CARNIVAL CORP 8-16-19 CALL @ 48.00 EXPIRED	4,894.89	07/30/19	08/19/19	89	0.00	4,894.89
CHEVRON CORP 4-18-19 CALL @ 130.00 EXPIRED	5,451.92	02/05/19	04/22/19	116	0.00	5,451.92
CHEVRON CORP 9-20-19 CALL @ 135.00 EXPIRED	10,207.78	05/10/19	09/23/19	116	0.00	10,207.78
CHEVRON CORPORATION 12-21-18 CALL @ 125.00 EXPIRED	11,599.84	11/20/18	12/24/18	116	0.00	11,599.84
CHUBB LIMITED 11-16-18 CALL @ 130.00	-9,468.07	10/30/18	11/19/18	54	0.00	(9,468.07)
CHUBB LIMITED 8-16-19 CALL @ 145.00	-12,075.05	05/15/19	07/26/19	54.00	0.00	(12,075.05)
CHUBB LIMITED 8-16-19 CALL @ 150.00	-28,765.15	03/14/19	08/13/19	47	0.00	(28,765.15)

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC

EIN: 86-0710305

RAYMOND JAMES AB #627XM177

FYE 9-30-2019

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
CHUBB LIMITED 8-16-19 CALL @ 150.00	-27,988.99	03/14/19	08/14/19	32	0.00	(27,988.99)
CHUBB LTD 2-15-19 CALL @ 135.00	20,876.08	11/19/18	02/19/19	54	0.00	20,876.08
CHUBB LTD 2-15-19 CALL @ 150.00 EXPIRED	15,505.82	09/20/18	02/19/19	79	0.00	15,505.82
CHUBB LTD 5-17-19 CALL @ 140.00	-20,145.68	02/19/19	05/15/19	54	0.00	(20,145.68)
CME GROUP INC 11-16-18 CALL @ 195.00	-5,706.54	10/25/18	11/19/18	66	0.00	(5,706.54)
CME GROUP INC 1-18-19 CALL @ 185.00 EXPIRED	4,133.62	01/11/19	01/22/19	58	0.00	4,133.62
CME GROUP INC 2-8-19 CALL @ 195.00 EXPIRED	679.99	01/10/19	02/11/19	8	0.00	679.99
CME GROUP INC 3-15-19 CALL @ 210.00 EXPIRED	18,945.16	11/19/18	03/18/19	66	0.00	18,945.16
CME GROUP INC 6-21-19 CALL @ 21.00 EXPIRED	11,638.05	01/24/19	06/24/19	58	0.00	11,638.05
CME GROUP INC 9-20-19 CALL @ 220.00 EXPIRED	6,408.53	07/05/19	09/23/19	66	0.00	6,408.53
CME GROUP INC 9-20-19 CALL @ 230.00 EXPIRED	3,157.73	07/16/19	09/23/19	66	0.00	3,157.73
CROWN CASTLE INTL 11-16-18 CALL @ 110.00	-9,007.12	10/19/18	11/19/18	76	0.00	(9,007.12)
DIGITAL REALTY TRUST 10-18-19 CALL @ 120.00	-20,502.83	06/13/19	09/10/19	61	0.00	(20,502.83)
DIGITAL REALTY TRUST 10-19-18 CALL @ 130.00 EXPIRED	5,485.41	08/06/18	10/22/18	61	0.00	5,485.41
DIGITAL REALTY TRUST 11-16-18 CALL @ 115.00 EXPIRED	9,759.87	10/24/18	11/19/18	61	0.00	9,759.87
DIGITAL REALTY TRUST 1-18-19 CALL @ 130.00 EXPIRED	8,169.89	08/17/18	01/22/19	38	0.00	8,169.89
DIGITAL REALTY TRUST 2-15-19 CALL @ 110.00	-20,874.34	01/11/19	02/15/19	61	0.00	(20,874.34)
DIGITAL REALTY TRUST 7-19-19 CALL @ 115.00	-659.16	02/15/19	06/13/19	61	0.00	(659.16)
EATON CORP 10-19-18 CALL @ 85.00	-6,890.02	43.671.00	10/02/18	01/10/00	0.00	(6,890.02)
EATON CORP 4-18-19 CALL @ 77.50	-18,266.27	01/02/19	03/26/19	100	0.00	(18,266.27)
EATON CORP 4-18-19 CALL @ 90.00 EXPIRED	9,099.88	10/02/18	04/22/19	26	0.00	9,099.88
EATON CORP 8-16-19 CALL @ 82.50	11,836.31	03/26/19	07/24/19	100.00	0.00	11,836.31
FIMM TREASURY ONLY PORTFOLIO MONEY MARKET	4,555,001.57	07/10/19	VARIOUS S/T	4555001.60	4,555,001.57	0.00
FIMM TREASURY ONLY PORTFOLIO MONEY MARKET	4,302,114.90	07/23/19	07/11/19	4302114.90	4,302,114.90	0.00
FIMM TREASURY ONLY PORTFOLIO MONEY MARKET	3,210,311.08	08/06/19	VARIOUS S/T	3210311.08	3,210,311.08	0.00
FIMM TREASURY ONLY PORTFOLIO MONEY MARKET	4,271,847.87	09/06/19	VARIOUS S/T	4271847.87	4,271,847.87	0.00
FIMM TREASURY ONLY PORTFOLIO MONEY MARKET	3,721,907.84	09/20/19	09/09/19	3721907.84	3,721,907.84	0.00
HARRIS CORP 4-18-19 CALL @ 165.00	195.20	03/18/19	04/17/19	54	0.00	195.20
HARRIS CORP 5-17-19 CALL @ 170.00	-17,172.07	04/05/19	05/15/19	18	0.00	(17,172.07)
HOME DEPOT 10-19-18 CALL @ 220.00 EXPIRED	2,759.96	07/24/18	10/22/18	24	0.00	2,759.96
HOME DEPOT 11-16-18 CALL @ 195.00 EXPIRED	1,871.97	10/25/18	11/19/18	24	0.00	1,871.97
HOME DEPOT 11-16-18 CALL @ 205.00 EXPIRED	18,467.75	09/14/18	11/19/18	19	0.00	18,467.75
HOME DEPOT 12-21-18 CALL @ 182.50 EXPIRED	1,159.61	12/17/18	12/24/18	43	0.00	1,159.61
HOME DEPOT 2-15-19 CALL @ 220.00	29,615.57	09/25/18	02/14/19	58	0.00	29,615.57
HOME DEPOT 3-15-19 CALL @ 200.00 EXPIRED	3,667.85	01/02/19	03/18/19	43	0.00	3,667.85
HOME DEPOT 4-18-19 CALL @ 200.00	-23,312.63	03/25/19	04/18/19	43	0.00	(23,312.63)
HOME DEPOT 4-18-19 CALL @ 205.00	-5,775.09	02/14/19	04/18/19	58	0.00	(5,775.09)
HOME DEPOT 6-21-19 CALL @ 215.00	14,453.02	04/18/19	06/24/19	58	0.00	14,453.02
HOME DEPOT 8-16-19 CALL @ 210.00	1,824.02	04/18/19	08/01/19	43	0.00	1,824.02
HOME DEPOT 9-20-19 CALL @ 235.00 EXPIRED	4,854.00	06/24/19	09/23/19	58	0.00	4,854.00

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC

EIN: 86-0710305

RAYMOND JAMES AB #627XM177

FYE 9-30-2019

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
INGERSOLL-RAND 10-19-18 CALL @ 105.00 EXPIRED	9,571.72	10/04/18	10/22/18	56	0.00	9,571.72
INGERSOLL-RAND 11-16-18 CALL @ 100.00	-17,890.47	10/26/18	11/14/18	56	0.00	(17,890.47)
INGERSOLL-RAND 3-15-19 CALL @ 105.00	19,162.69	11/14/18	03/18/19	56	0.00	19,162.69
INGERSOLL-RAND 6-21-19 CALL @ 115.00	-46,827.36	03/18/19	06/06/19	56	0.00	(46,827.36)
INGERSOLL-RAND 9-20-19 CALL @ 120.00	36,475.95	06/06/19	08/22/19	56	0.00	36,475.95
ISHARES TR RUSSELL 2000 10-19-18 CALL @ 169.00 EXPIRED	3,719.95	10/05/18	10/22/18	120	0.00	3,719.95
ISHARES TR RUSSELL 2000 11-16-18 CALL @ 157.00 EXPIRED	8,999.88	10/31/18	11/19/18	120	0.00	8,999.88
ISHARES TR RUSSELL 2000 12-21-18 CALL @ 157.00 EXPIRED	7,297.23	11/23/18	12/24/18	120	0.00	7,297.23
ISHARES TR RUSSELL 2000 3-15-19 CALL @ 155.00	1,586.10	02/08/19	03/18/19	120	0.00	1,586.10
ISHARES TR RUSSELL 2000 5-17-19 CALL @ 163.00 EXPIRED	10,870.43	03/18/19	05/20/19	120	0.00	10,870.43
ISHARES TR RUSSELL 2000 8/16/19 CALL @ 162.00 EXPIRED	8,279.82	06/25/19	08/19/19	120	0.00	8,279.82
JP MORGAN CHASE & CO 10-19-18 CALL @ 117.00 EXPIRED	3,919.94	10/03/18	10/22/18	80	0.00	3,919.94
JP MORGAN CHASE & CO 11-16-18 CALL @ 110.00	7,786.13	10/31/18	11/19/18	161	0.00	7,786.13
JP MORGAN CHASE & CO 1-18-19 CALL @ 120.00 EXPIRED	11,603.16	11/19/18	01/22/19	161	0.00	11,603.16
JP MORGAN CHASE & CO 3-15-19 CALL @ 110.00 EXPIRED	3,279.95	02/26/19	03/18/19	80	0.00	3,279.95
JP MORGAN CHASE & CO 4-18-19 CALL @ 107.00	-14,956.45	03/22/19	04/16/19	80	0.00	(14,956.45)
JP MORGAN CHASE & CO 9-20-19 CALL @ 115.00	-8,802.38	04/16/19	09/19/19	80	0.00	(8,802.38)
KANSAS CITY SOUTHERN 10-19-18 CALL @ 125.00 EXPIRED	5,919.92	09/19/18	10/22/18	74	0.00	5,919.92
KANSAS CITY SOUTHERN 12-21-18 CALL @ 105.00 EXPIRED	6,487.02	11/15/18	12/24/18	74	0.00	6,487.02
KANSAS CITY SOUTHERN 1-25-19 CALL @ 106.00	-11,109.79	01/14/19	01/23/19	74	0.00	(11,109.79)
KANSAS CITY SOUTHERN 6-21-19 CALL @ 115.00	1,073.34	01/23/19	06/21/19	74	0.00	1,073.34
KANSAS CITY SOUTHERN 9-20-19 CALL @ 120.00	-35,587.10	06/21/19	09/06/19	74	0.00	(35,587.10)
KLA-TENCOR CORP 2-15-19 CALL @ 105.00	-491.10	01/30/19	02/13/19	8	0.00	(491.10)
KLA-TENCOR CORP 2-15-19 CALL @ 110.00 EXPIRED	2,934.79	01/30/19	02/19/19	45	0.00	2,934.79
KLA-TENCOR CORP 3-15-19 CALL @ 115.00	-3,187.43	02/22/19	03/14/19	47	0.00	(3,187.43)
KLA-TENCOR CORP 4-18-19 CALL @ 125.00 EXPIRED	4,067.04	02/25/19	04/22/19	46	0.00	4,067.04
KLA-TENCOR CORP 6-21-19 CALL @ 115.00	3,135.95	02/13/19	06/24/19	8	0.00	3,135.95
KLA-TENCOR CORP 9-20-19 CALL @ 130.00	-36,022.70	03/14/19	08/20/19	47	0.00	(36,022.70)
KLA-TENCOR CORP 9-20-19 CALL @ 135.00	-6,760.02	06/24/19	08/21/19	8	0.00	(6,760.02)
L3HARRIS TECHNOLOGIES INC	335,243.05	08/20/19	03/19/19	1800	289,351.26	45,891.79
L3HARRIS TECHNOLOGIES INC	660,479.36	08/20/19	03/19/19	3600	578,702.52	81,776.84
L3HARRIS TECHNOLOGIES INC	330,239.68	08/20/19	04/08/19	1800	293,419.08	36,820.60
MARATHON PETE CORP 11-16-18 CALL @ 82.50 EXPIRED	43,799.43	07/27/18	11/19/18	120	0.00	43,799.43
MAXIM INTEGRATED 11-16-18 CALL @ 60.00 EXPIRED	8,308.02	10/02/18	11/19/18	84	0.00	8,308.02
MAXIM INTEGRATED 1-18-19 CALL @ 50.00	-7,976.79	01/07/19	01/18/19	84	0.00	(7,976.79)
MAXIM INTEGRATED 12-21-18 CALL @ 55.00 EXPIRED	8,682.75	11/09/18	12/24/18	84	0.00	8,682.75
MAXIM INTEGRATED 12-21-18 CALL @ 60.00 EXPIRED	2,382.54	11/28/18	12/24/18	84	0.00	2,382.54
MAXIM INTEGRATED PRODUCTS INC.	467,561.44	01/30/19	04/20/16	8400	306,534.41	161,027.03
MERCK & CO 10-18-19 CALL @ 77.50	38,198.24	09/14/19	09/11/19	136	0.00	38,198.24
MERCK & CO 10-19-18 CALL @ 70.00	-14,902.90	08/01/18	10/05/18	136	0.00	(14,902.90)

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC

EIN: 86-0710305

RAYMOND JAMES AB #627XM177

FYE 9-30-2019

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
MERCK & CO 3-15-19 CALL @ 75.00	-68,810.60	10/05/18	03/14/19	136	0.00	(68,810.60)
MICROCHIP TECHNOLOGY 10-18-19 CALL @ 100.00	9,790.34	06/21/19	09/06/19	72	0.00	9,790.34
MICROCHIP TECHNOLOGY 10-19-18 CALL @ 100.00 EXPIRED	2,624.93	05/17/18	10/22/18	7	0.00	2,624.93
MICROCHIP TECHNOLOGY 10-19-18 CALL @ 105.00	8,261.80	05/08/18	10/18/18	54	0.00	8,261.80
MICROCHIP TECHNOLOGY 10-19-18 CALL @ 85.00 EXPIRED	7,234.05	09/26/18	10/22/18	173	0.00	7,234.05
MICROCHIP TECHNOLOGY 11-16-18 CALL @ 70.00	-23,620.12	10/26/02	11/16/18	90	0.00	(23,620.12)
MICROCHIP TECHNOLOGY 11-16-18 CALL @ 75.00	2,267.42	10/18/18	11/19/18	54	0.00	2,267.42
MICROCHIP TECHNOLOGY 1-18-19 CALL @ 85.00 EXPIRED	5,348.04	11/19/18	01/22/19	54	0.00	5,348.04
MICROCHIP TECHNOLOGY 12-21-18 CALL @ 72.50	10,845.55	11/16/18	12/07/18	90	0.00	10,845.55
MICROCHIP TECHNOLOGY 6-21-19 CALL @ 85.00	-1,403.88	05/30/19	06/21/19	72	0.00	(1,403.88)
MICROCHIP TECHNOLOGY INC	646,129.02	09/17/19	05/31/19	7200	581,353.20	64,775.82
MICROSOFT CORP 10-19-18 CALL @ 100.00	17,852.54	08/15/18	10/11/18	179	0.00	17,852.54
MICROSOFT CORP 1-18-19 CALL @ 115.00	45,623.85	10/11/18	12/19/18	179	0.00	45,623.85
MICROSOFT CORP 3-15-19 CALL @ 125.00 EXPIRED	11,462.87	12/19/18	03/18/19	179	0.00	11,462.87
MONOLITHIC 10-19-18 CALL @ 140.00 EXPIRED	3,253.01	09/26/18	10/22/18	49	0.00	3,253.01
MONOLITHIC 11-16-18 CALL @ 120.00	-18,282.78	10/26/18	11/16/18	49	0.00	(18,282.78)
MONOLITHIC 6-21-19 CALL @ 135.00 EXPIRED	54,539.04	03/14/19	06/24/19	49	0.00	54,539.04
MONOLITHIC 9-20-19 CALL @ 165.00 EXPIRED	2,793.94	07/16/19	09/23/19	22	0.00	2,793.94
MONOLITHIC PWR SYSTEMS 3-15-19 CALL @ 130.00	-14,539.68	11/16/18	03/14/19	49	0.00	(14,539.68)
MOTOROLA SOLUTIONS 12-21-18 CALL @ 135.00	1,883.43	07/12/18	11/30/18	173	0.00	1,883.43
MOTOROLA SOLUTIONS 12-21-18 CALL @ 140.00 EXPIRED	4,374.94	09/26/18	12/24/18	25	0.00	4,374.94
MOTOROLA SOLUTIONS 4-18-19 CALL @ 145.00 EXPIRED	44,445.63	11/30/18	04/22/19	173	0.00	44,445.63
MOTOROLA SOLUTIONS 6-21-19 CALL @ 155.00	-46,482.48	05/10/19	06/13/19	86	0.00	(46,482.48)
ORACLE CORP	680,670.76	10/23/18	05/18/18	1440	672,383.52	8,287.24
ORACLE CORP 12-21-18 CALL @ 52.50	11,874.84	09/21/18	10/15/18	144	0.00	11,874.84
PFIZER INC 10-19-18 CALL @ 36.00	-7,421.97	08/07/18	10/16/18	223	0.00	(7,421.97)
PFIZER INC 12-21-18 CALL @ 45.00 EXPIRED	14,915.53	10/16/18	12/24/18	223	0.00	14,915.53
PFIZER INC 9-20-19 CALL @ 45.00 EXPIRED	10,034.79	05/07/19	09/23/19	223	0.00	10,034.79
UNION PAC CORP 11-16-18 CALL @ 150.00	-13,160.43	10/26/18	11/19/18	73	0.00	(13,160.43)
UNION PAC CORP 12-21-18 CALL @ 155.00 EXPIRED	21,646.28	11/19/18	12/24/18	73	0.00	21,646.28
UNION PAC CORP 12-21-18 CALL @ 160.00 EXPIRED	9,998.49	10/31/18	12/24/18	97	0.00	9,998.49
UNION PAC CORP 2-15-19 CALL @ 165.00	-18,579.09	01/09/19	02/13/19	85	0.00	(18,579.09)
UNION PAC CORP 6-21-19 CALL @ 180.00 EXPIRED	29,957.24	02/13/19	06/24/19	85	0.00	29,957.24
UNION PAC CORPORATION 10-19-18 CALL @ 160.00 EXPIRED	3,924.83	07/24/18	10/22/18	73	0.00	3,924.83
VERIZON 5-17-19 CALL @ 50.00	6,635.04	04/24/19	05/17/19	156	0.00	6,635.04
VERIZON 6-21-19 CALL @ 57.50	18,119.36	05/17/19	06/21/19	156	0.00	18,119.36
VERIZON 7-19-19 CALL @ 57.50	2,718.35	06/21/19	07/09/19	156.00	0.00	2,718.35
VERIZON 8-16-19 CALL @ 57.50 EXPIRED	20,381.58	07/09/19	08/19/19	156	0.00	20,381.58
VERIZON 9-20-19 CALL @ 57.50	-35,478.22	07/23/19	09/20/19	178	0.00	(35,478.22)
WALMART STORES 11-16-18 CALL @ 100.00	1,665.97	10/18/18	11/19/18	14	0.00	1,665.97

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC

EIN: 86-0710305

RAYMOND JAMES AB #627XM177

FYE 9-30-2019

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
WALMART STORES 11-16-18 CALL @ 105.00 EXPIRED	7,351.14	10/10/18	11/19/18	101	0.00	7,351.14
WALMART STORES 12-21-18 CALL @ 100.00 EXPIRED	1,665.97	11/19/18	12/24/18	14	0.00	1,665.97
WALMART STORES 12-21-18 CALL @ 105.00 EXPIRED	4,734.52	11/16/18	12/24/18	48	0.00	4,734.52
WALMART STORES 2-15-19 CALL @ 97.50	-2,083.87	01/17/19	02/15/19	59	0.00	(2,083.87)
WALMART STORES 2-15-19 CALL @ 99.00	-81.05	02/01/19	02/15/19	81	0.00	(81.05)
WALMART STORES 3-15-19 CALL @ 105.00 EXPIRED	4,616.93	02/15/19	03/18/19	81	0.00	4,616.93
WALMART STORES 3-15-19 CALL @ 97.50	12,585.47	02/15/19	03/14/19	59	0.00	12,585.47
WALMART STORES 4-18-19 CALL @ 97.50	15,516.79	03/14/19	04/22/19	59	32,178.14	(16,661.35)
WALMART STORES 6-21-19 CALL @ 107.00	-21,546.07	05/29/19	06/21/19	81	0.00	(21,546.07)
WALMART STORES 6-21-19 CALL @ 97.50	-32,284.79	04/22/19	06/21/19	59	0.00	(32,284.79)
WALMART STORES INC	650,732.60	09/24/19	10/11/18	5900	572,472.28	78,260.32
WASTE MGMT INC 11-16-18 CALL @ 90.00	-4,449.14	10/25/18	11/16/18	63	0.00	(4,449.14)
WASTE MGMT INC 11-16-18 CALL @ 92.50	5,043.02	10/09/18	11/19/18	62	0.00	5,043.02
WASTE MGMT INC 12-21-18 CALL @ 95.00 EXPIRED	4,091.94	11/19/18	12/24/18	62	0.00	4,091.94
WASTE MGMT INC 2-15-19 CALL @ 97.50	-5,643.00	01/24/19	02/14/19	62	0.00	(5,643.00)
WASTE MGMT INC 4-18-19 CALL @ 100.00	9,672.82	08/14/19	04/17/19	62	27,091.32	(17,418.50)
WASTE MGMT INC.	380,437.64	04/23/19	02/22/18	3900	334,302.15	46,135.49
	25,183,902.05				24,914,836.86	269,065.19
LONG TERM						
ABBVIE INC	22,676.93	06/05/19	09/01/17	300	22,093.98	582.95
ABBVIE INC	665,189.67	06/05/19	06/13/17	8800	607,012.56	58,177.11
ABBVIE INC	393,066.62	06/05/19	06/08/17	5200	351,678.08	41,388.54
AIR PRODUCTS AND CHEMICAL INC	1,349,375.80	09/24/19	VARIOUS L/T	7100	1,031,613.93	317,761.87
ALPS ETF TR ALERIAN MLP	366,094.08	01/15/19	03/29/12	37900	624,971.00	(258,876.92)
CROWN CASTLE	901,158.16	03/15/19	11/10/17	7600	871,102.12	30,056.04
KRAFT HEINZ CO	972,406.26	10/11/18	VARIOUS L/T	17404	1,582,473.25	(610,066.99)
MAXIM INTEGRATED PRODUCTS INC.	448,834.16	02/20/19	VARIOUS L/T	8400	311,676.93	137,157.23
MICROCHIP TECHNOLOGY INC	553,469.47	04/23/19	05/26/17	6400	520,660.48	32,808.99
MICROCHIP TECHNOLOGY INC	211,488.26	04/23/19	06/08/17	2500	220,336.48	(8,848.22)
MICROCHIP TECHNOLOGY INC	1,280,499.25	09/09/19	VARIOUS L/T	14400	1,201,316.63	79,182.62
MOTOROLA SOLUTIONS INC.	303,366.81	02/20/19	12/11/17	2500	232,671.25	70,695.56
ORACLE CORP	235,105.94	10/16/18	04/29/16	5000	198,285.89	36,820.05
ORACLE CORP	244,510.18	10/16/18	12/05/16	5200	209,506.96	35,003.22
ORACLE CORP	122,255.09	10/16/18	02/06/17	2600	104,720.98	17,534.11
ORACLE CORP	291,531.37	10/16/18	05/22/17	6200	276,506.36	15,025.01
ORACLE CORP	343,254.68	10/16/18	06/06/17	7300	335,495.59	7,759.09
ORACLE CORP	272,722.89	10/16/18	09/05/17	5800	287,680.00	(14,957.11)
VERIZON COMMUNICATIONS	1,125,980.96	01/10/19	VARIOUS L/T	20800	1,040,844.01	85,136.95

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC

EIN: 86-0710305

RAYMOND JAMES AB #627XM177

FYE 9-30-2019

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
WASTE MGMT INC.	234,115.47	04/23/19	10/13/17	2400	185,306.16	48,809.31
WASTE MGMT INC	652,447.50	05/21/19	VARIOUS L/T	6200	522,325.70	130,121.80
	10,989,549.55				10,738,278.34	251,271.21
SHORT TERM GAIN(LOSS)	269,065.19				cost	proceeds
LONG TERM GAIN(LOSS)	251,271.21				24,914,836.86	25,183,902.05
	520,336.40				10,738,278.34	10,989,549.55
					35,653,115.20	36,173,451.60
					520,336.40	

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC
EIN 86-0710305
RAYMOND JAMES ALEX BROWN #572K8641
FYE 9-30-2019

Memo	Sales Price	Date of		#of Shares	Cost Basis	Gain (Loss)
		Sale	Purchase			
Feb-19						
SHORT TERM						
PIMCO SHORT TERM FUND	699,994 05	02/19/19	02/23/18	71428 571	705,000 00	(5,005 95)
LONG TERM						
DOUBLELINE TOTAL RETURN BOND FUND	449,994 05	02/15/19	06/06/14	43062 201	472,392 35	(22,398 30)
GUGGENHEIM FLOATING RATE STRATEGIES FUND	289,994 05	02/19/19	5/4/2016	11489 699	293,141 66	(3,147 61)
PIONEER FLOATING RATE FUND	449,994 05	02/19/19	06/06/14	67975 831	471,752 27	(21,758 22)
PIONEER MULTI-ASSET INCOME FUND	249,994 05	02/19/19	VARIOUS L/T	25227 043	253,060 90	(3,066 85)
PUTNAM SHORT DURATION INCOME FUND	899,994 05	02/15/19	05/04/16	89641 434	899,103 58	890 47
VIRTUS SENIOR FLOATING RATE FUND	349,994 05	02/19/19	VARIOUS L/T	38419 319	376,211 25	(26,217 20)
	2,689,964 30				2,765,662 01	(75,697 71)
Jun-19						
LONG TERM						
PIMCO SHORT TERM FUND	3,759,923 04	06/20/19	02/23/18	384450 209	3,829,055 02	(69,131 98)
PIONEER MULTI-ASSET INCOME FUND	1,949,612 73	06/24/19	VARIOUS L/T	196335 622	1,991,383 28	(41,770 55)
	5,709,535 77				5,820,438 30	(110,902 53)
Aug-19						
SHORT TERM						
DOUBLELINE TOTAL RETURN BOND FUND	99,994 05	08/01/19	06/06/14	9380 863	102,688 67	(2,694 62)
GUGGENHEIM FLOATING RATE STRATEGIES FUND	99,994 05	08/02/19	05/04/16	3935 458	100,472 25	(478 20)
PIONEER FLOATING RATE FUND	99,994 05	08/02/19	06/06/14	14992 504	104,047 98	(4,053 93)
PIONEER SHORT TERM INCOME FUND	49,994 05	8/2/2019	6/24/2019	5274 262	50,158 23	(164 18)
VIRTUS SENIOR FLOATING RATE FUND	99,994 05	08/02/19	VARIOUS L/T	10905 125	108,595 77	(8,601 72)
	449,970 25				465,962 90	(15,992 65)
LONG TERM						
PUTNAM SHORT DURATION INCOME FUND	499,994 05	08/01/19	05/04/19	49751 244	499,004 98	989 07
PIMCO LOW DURATION FUND	99,994 05	08/02/19	06/24/19	10244 949	100,511 25	(517 20)
	599,988 10				599,516 23	471 87
SHORT TERM						
Sep-19						
PIMCO LOW DURATION FUND	187,917 05	09/04/19	06/24/19	19078 477	187,541 43	375 62
PIMCO LOW DURATION FUND	99,994 05	09/17/19	06/24/19	10214 505	100,408 58	(414 53)
PIONEER SHORT TERM INCOME FUND	97,359 05	09/04/19	06/24/19	10216 684	97,160 67	198 38
PUTNAM SHORT DURATION INCOME FUND	251,390 05	09/03/19	05/04/19	25014 527	250,895 71	494 34
	636,660 20				636,006 39	653 81
LONG TERM						
DOUBLELINE TOTAL RETURN BOND FUND	147,099 05	09/03/19	06/06/14	13595 656	149,144 35	(2,045 30)
DOUBLELINE TOTAL RETURN BOND FUND	99,994 05	09/16/19	06/06/14	9363 296	102,715 36	(2,721 31)
GUGGENHEIM FLOATING RATE STRATEGIES FUND	99,994 05	09/17/19	05/04/16	3958 828	101,003 29	(1,009 24)
PIONEER FLOATING RATE FUND	169,654 05	09/04/19	VARIOUS L/T	25628 399	177,684 12	(8,030 07)
PIONEER FLOATING RATE FUND	99,994 05	09/17/19	VARIOUS L/T	15082 956	104,040 52	(4,046 47)
PUTNAM SHORT DURATION INCOME FUND	499,994 05	09/16/19	05/04/16	49751 244	499,004 98	989 07
VIRTUS SENIOR FLOATING RATE FUND	143,107 05	09/04/19	09/26/14	15726 703	153,020 82	(9,913 77)
VIRTUS SENIOR FLOATING RATE FUND	99,994 05	09/17/19	09/26/14	10940 919	106,455 14	(6,461 09)
	1,359,830 40				1,393,068 58	(33,238 18)
SHORT TERM GAIN(LOSS)						
	(20,344.79)				cost	proceeds
LONG TERM GAIN(LOSS)						
	(219,366.55)				1,806,969.29	1,786,624.50
	(239,711.34)				10,578,685.12	10,359,318.57
					12,385,654.41	12,145,943.07
						(239,711.34)

GLENN FOUNDATION
FEI # 86-0710305
UBS FINANCIAL SERVICES JP 32494 WH
SCHEDULE D ATTACHMENT
Y/E 09/30/19

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
Nov-18						
SHORT TERM						
SPDR S&P 500 ETF TR 11-16-18 PUT @ 262 00 EXPIRED	8,310 64	10/12/18	11/19/18	32	0 00	8,310 64
Nov-18						
SHORT TERM						
SPDR S&P 500 ETF TR 12-21-18 PUT @ 258 00	(2,176 62)	43,424 00	43,454 00	32 00	0 00	(2,176 62)
Jan-19						
SHORT TERM						
SPDR S&P 500 ETF TR 1-18-19 PUT @ 252.00 EXPIRED	13,380 57	12/20/18	01/22/19	32	0 00	13,380.57
Mar-19						
SHORT TERM						
SPDR S&P 500 ETF TR 3-15-19 PUT @ 257 00 EXPIRED	6,532.66	03/11/19	03/18/19	32	0 00	6,532 66
Apr-19						
SHORT TERM						
SPDR S&P 500 ETF TR 3-15-19 PUT @ 265.00 EXPIRED	3,158 71	03/26/19	04/22/19	32	0 00	3,158 71
Jun-19						
SHORT TERM						
SPDR S&P 500 ETF TR 6-21-19 PUT @ 264 00 EXPIRED	7,204 60	05/14/19	06/24/19	32	0 00	7,204 60
Aug-19						
SHORT TERM						
LOSS ON CONVERSION OF COMMODITY ACCOUNT	445 36				452 09	(6 73)
SPDR S&P 500 ETF TR 5-15-15 PUT @ 197 00	8,722 90	08/06/19	08/26/19	32	0	8,722 90
	9,168 26				452 09	8,716 17
Sep-19						
SHORT TERM						
SPDR S&P 500 ETF TR 9-20-19 PUT @ 271 EXPIRED	7,566 59	08/26/19	09/23/19	32	0 00	7,566 59
SHORT TERM GAIN(LOSS)	52,693.32				cost 452.09	proceeds 53,145.41 52,693 32

GLENN FOUNDATION
FEI # 86-0710305
UBS FINANCIAL SERVICES JP 39221 V3
SCHEDULE D ATTACHMENT
Y/E 09/30/19

Memo	Sales Price	Date of Sale	Date of Purchase	#of Shares	Cost Basis	Gain (Loss)
Nov-18						
SHORT TERM						
COCA COLA CO 11-16-18 CALL @ 48 00	-2,873 73	09/26/18	11/15/18	18	0 00	(2,873 73)
PROCTER & GAMBLE 11-16-18 CALL @ 87 50	-4,969 75	09/26/18	11/15/18	9	0 00	(4,969 75)
VERIZON COMMUNICATIONS 11-16-18 CALL @ 55 00	-5,282 57	09/26/18	11/15/18	15	0 00	(5,282 57)
	-13,126 05				0 00	(13,126 05)
Dec-18						
SHORT TERM						
CHEVRON CORP 12-21-18 CALL @ 130 00 EXPIRED	922 86	09/26/18	12/24/18	6	0 00	922 86
CISCO SYSTEMS INC 12-21-18 CALL @ 50 00 EXPIRED	2,108 65	09/26/18	12/24/18	17	0 00	2,108 65
COCA COLA CO	967 57	12/28/18	03/22/18	21	907 40	60 17
COCA COLA CO	1,105 78	12/28/18	06/21/18	24	1,042 92	62 86
COCA COLA CO	7,648 38	12/28/18	09/27/18	166	7,634 75	13 63
COCA COLA CO 12-14-18 CALL @ 51 00 EXPIRED	467 99	11/19/18	12/17/18	18	0 00	467 99
EXXON MOBIL CORP 12-21-18 CALL @ 92 50 EXPIRED	498 38	09/26/18	12/24/18	9	0 00	498 38
INTERNATIONAL BUSINESS MACHINES 12-21-18 CALL @ 160 00 EXPIREI	696 43	09/26/18	12/24/18	5	0 00	696 43
JP MORGAN 12-21-18 CALL @ 125 00 EXPIRED	770 13	09/26/18	12/24/18	7	0 00	770 13
MCDONALDS CORP	88,379 61	12/03/18	09/27/18	500	82,970 10	5,409 51
MCDONALDS CORP	1,534 45	12/28/18	09/27/18	9	1,493 46	40 99
PFIZER 12-21-18 CALL @ 92 50 EXPIRED	933 06	09/26/18	12/24/18	19	0 00	933 06
PFIZER INC	1,020 81	12/28/18	06/21/18	25	902 63	118 18
PFIZER INC	2,245 79	12/28/18	09/27/18	55	2,424 36	(178 57)
PROCTER & GAMBLE 12-14-18 CALL @ 97 00 EXPIRED	649 81	11/19/18	12/17/18	9	0 00	649 81
PROCTER & GAMBLE CO	262 62	12/28/18	03/22/18	3	235 26	27 36
PROCTER & GAMBLE CO	4,114 35	12/28/18	06/21/18	47	3,587.75	526 60
PROCTER & GAMBLE CO	4,552 05	12/28/18	09/27/18	52	4,375 53	176 52
PROCTER & GAMBLE CO	4,026 81	12/28/18	09/27/18	46	4,293 83	(267 02)
VERIZON COMMUNICATIONS 12-21-18 CALL @ 62 50 EXPIRED	752 79	11/19/18	12/24/18	15	0 00	752 79
VERIZON COMMUNICATIONS INC	1,965 87	12/28/18	03/22/18	37	1,777 64	188 23
VERIZON COMMUNICATIONS INC	1,700 21	12/28/18	06/21/18	32	1,542 02	158 19
VERIZON COMMUNICATIONS INC	53 13	12/28/18	09/27/18	1	53.40	(0 27)
VERIZON COMMUNICATIONS INC	5,419 42	12/28/18	09/27/18	102	5,696 92	(277 50)
	132,796 95				118,937 97	13,858 98
Feb-19						
SHORT TERM						
EXXON MOBILE CORP	62,796 55	02/11/19	09/27/18	870	75577 58	(12,781 03)
EXXON MOBILE CORP	9,455 57	02/11/19	12/28/18	131	8541 7	913 87
EXXON MOBILE CORP	7,145 81	02/11/19	06/21/18	99	7979 48	(833 67)
INTERNATIONAL BUSINESS MACHINES	6,386 26	02/08/19	06/21/18	54	7,777 84	(1,391 58)
INTERNATIONAL BUSINESS MACHINES	236 53	02/08/19	09/27/18	2	300 21	(63 68)
INTERNATIONAL BUSINESS MACHINES	4,848 83	02/08/19	12/28/18	41	4,417 28	431 55
INTERNATIONAL BUSINESS MACHINES	59,486 86	02/08/19	VARIOUS L/T	503	85,270 12	(25,783 26)
	150,356 41				189,864 21	(39,507 80)
Mar-19						
SHORT TERM						
CHEVRON CORP	225 72	03/19/19	03/22/18	2	229 81	(4 09)
CHEVRON CORP	4,288 67	03/19/19	09/27/18	38	4,684 47	(395 80)
CHEVRON CORP	2,144 34	03/19/19	12/28/18	19	1,921 35	222 99
CISCO SYSTEMS	84,472 90	03/19/19	VARIOUS S/T	1800	86,730 76	(2,257 86)
CISCO SYSTEMS	968 39	03/21/19	12/28/18	18	740 11	228 28
COCA COLA CO 3-15-19 CALL @ 40 00 EXPIRED	1,223 82	12/27/18	03/18/19	16	0 00	1,223 82
JPMORGAN CHASE CO	82,022 93	03/19/18	VARIOUS S/T	800	92,059 81	(10,036 88)
MERCK & CO INC	78,660 50	03/15/19	12/28/18	1000	71,293 89	7,366 61
MERCK & CO INC	3,732 57	03/21/19	12/28/18	46	3,279 52	453 05
PFIZER 3-15-19 CALL @ 44.00 EXPIRED	1,751 86	12/27/18	03/18/19	18	0 00	1,751.86
PROCTER & GAMBLE CO	75,703 14	03/19/19	09/27/18	800	75,209 88	493 26
VERIZON COMMUNICATIONS INC	81,820 05	03/19/19	09/27/18	1400	76,188 53	5,631 52
	417,014 89				412,338 13	4,676 76
LONG TERM						
CHEVRON CORP	72,343 12	03/19/19	VARIOUS L/T	641	93,805 37	(21,462 25)
ISHARES MSCI EAFE INDEX FUND	2,039 81	03/21/19	VARIOUS L/T	31	1,697 15	342 66
ISHARES TRUST RUSSELL 2000 INDEX FUND	5,459 33	03/21/19	03/20/16	35	4,296 15	1,163.18
	79,842 26				99,798 67	(19,956 41)
Apr-19						
SHORT TERM						
DOW INC CASH IN LIEU	18 69	04/02/19	04/01/19	0 33	18 84	(0 15)

GLENN FOUNDATION
FEI # 86-0710305
UBS FINANCIAL SERVICES JP 39221 V3
SCHEDULE D ATTACHMENT
Y/E 09/30/19

Memo	Sales Price	Date of Sale	Date of Purchase	#of Shares	Cost Basis	Gain (Loss)
Jun-19						
SHORT TERM						
CHEVRON CORP 6-21-19 CALL @ 135 00 EXPIRED	462 28	03/20/19	06/24/19	6	0 00	462 28
COCA COLA CO	77,144 30	06/14/19	09/27/18	1619	74,461 86	2,682 44
COCA COLA CO	8,624 53	06/14/19	03/21/19	181	8,255 34	369 19
CORTEVA INC	8 32	06/03/19	03/19/19	0 333	9 93	(1 61)
CORTEVA INC	13,618 17	06/25/19	03/19/19	492	14,673 68	(1,055 51)
DOWDUPONT DE NEMOURS	1,539 98	03/20/19	06/24/19	14	0 00	1,539 98
DOWDUPONT INC	24 67	06/18/19	03/21/19	0 333	27 37	(2 70)
DOWDUPONT INC	36,014 35	06/25/19	03/21/19	492	40,395 68	(4,381 33)
EXXON MOBIL CORP 6-21-19 CALL @ 87 50 EXPIRED	405 60	03/20/19	06/24/19	10	0 00	405 60
HOME DEPOT	79,020 45	06/25/19	03/21/19	400	73,841 87	5,178 58
HOME DEPOT	9,487 79	06/27/19	03/21/19	46	8,491 82	995 97
INTL BUSINESS MACHINES 6-21-19 CALL @ 150 00 EXPIRED	758 15	03/20/19	06/24/19	5	0 00	758 15
JPMORGAN 6-21-19 CALL @ 115 00 EXPIRED	627 63	03/20/19	06/24/19	7	0 00	627 63
JPMORGAN CHASE CO	82,282 60	06/27/19	VARIOUS S/T	762	82,228 39	54 21
PFIZER 6-21-19 CALL @ 44 00 EXPIRED	1,095 53	03/20/19	06/24/19	19	0 00	1,095 53
PFIZER INC	3,270 90	06/27/19	09/27/19	74	3,261 88	9 02
PROCTER & GAMBLE CO	5,428 79	06/25/19	09/27/18	51	4,291 39	1,137 40
PROCTER & GAMBLE CO	79,728 74	06/25/19	03/21/19	749	76,114 94	3,613 80
PROCTER & GAMBLE CO	1,457 87	06/27/19	03/21/19	13	1,321 09	136 78
VERIZON COMMUNICATIONS 6-21-19 CALL @ 60 00 EXPIRED	1,105 99	03/20/19	06/24/19	14	0 00	1,105 99
	402,106 64				387,375 24	14,731 40
Aug-19						
SHORT TERM						
WALGREENS BOOTS 8-16-19 CALL @ 55.00 EXPIRED	2,401 55	06/26/19	08/19/19	16	0 00	2,401 55
Sep-19						
SHORT TERM						
3M CO 9-20-19 CALL @ 185 00 EXPIRED	1,043 98	06/26/19	09/23/19	4	0 00	1,043 98
CATERPILLAR INC 9-20-19 CALL @ 140 00 EXPIRED	2,292 81	06/26/19	09/23/19	6	0 00	2,292 81
CHEVRON CORP 9-20-19 CALL @ 135 00 EXPIRED	475 92	06/26/19	09/23/19	6	0 00	475 92
COCA COLA CO	87,469 99	09/26/19	06/27/19	1605	83,405 66	4,064 33
COCA COLA CO	435 99	09/26/19	03/21/19	8	364 88	71 11
COCA COLA CO 9-20-19 CALL @ 55 00 EXPIRED	719 99	06/26/19	09/23/19	16	0 00	719 99
DOW INC 9-20-19 CALL @ 52 50 EXPIRED	2,159 96	06/26/19	09/23/19	16	0 00	2,159 96
EXXON MOBIL CORP 9-20-19 CALL @ 82 50 EXPIRED	503 38	06/26/19	09/23/19	10	0 00	503 38
INTERNATIONAL BUSINESS MACHINES	2,140 89	09/26/19	12/28/18	15	1,616 07	524 82
INTL BUSINESS MACHINES 9-20-19 CALL @ 150 00 EXPIRED	751 13	06/26/19	09/23/19	6	0 00	751 13
PFIZER 9-20-19 CALL @ 47 00 EXPIRED	612 19	06/26/19	09/23/19	18	0 00	612 19
VERIZON COMMUNICATIONS 9-20-19 CALL @ 62 50 EXPIRED	587 99	06/26/19	09/23/19	14	0 00	587 99
VERIZON COMMUNICATIONS INC	3,575 50	09/26/19	03/21/19	59	3,414 51	160 99
WALGREENS BOOTS ALLIANCE INC	3,811 47	09/26/19	06/27/19	70	3,699 45	112 02
	106,581.19				92,500 57	14,080 62
LONG TERM						
ISHARES MSCI EAFE INDEX FUND	65 55	09/26/19	10/05/12	1	54 51	11 04
ISHARES TRUST RUSSELL 200 INDEX FUND	774 01	09/26/19	09/20/16	5	613 74	160 27
VERIZON COMMUNICATIONS INC	181 80	09/26/19	09/25/18	3	168 39	13 41
	1,021 36				836 64	184 72
					cost	proceeds
SHORT TERM GAIN(LOSS)	(2,884 69)				1,201,034 96	1,198,150 27
LONG TERM GAIN(LOSS)	(19,771 69)				100,635 31	80,863.62
	(22,656 38)				1,301,670 27	1,279,013 89
						(22,656 38)

GLENN FOUNDATION
FEI # 86-0710305
UBS FINANCIAL SERVICES JP 39222 V3
SCHEDULE D ATTACHMENT
Y/E 09/30/19

	Sales Price	Date of Sale	Date of Purchase	#of Shares	Cost Basis	Gain (Loss)
Dec-18						
SHORT TERM						
BHP GROUP PLC	64,425 58	12/11/18	09/25/18	1633	71,861 92	(7,436 34)
CHINA MOBILE	6,458 41	12/11/18	12/12/17	130	6,354 29	104 12
ENBRIDGE INC	807 74	12/11/18	06/18/18	25	817 25	(9 51)
ITAU UNIBANCO HLDG	93,045 84	12/11/18	VARIOUS S/T	10005	71,558 07	21,487 77
PEMBINA PIPELINE CORP	4,503 27	12/11/18	06/18/18	137	4,756 08	(252 81)
VODAFONE GROUP	66,440 24	12/11/18	VARIOUS S/T	3179	79,094 85	(12,654 61)
WESTPAC BANKING LTD	23,207 55	12/11/18	VARIOUS S/T	1247	27,426 13	(4,218 58)
	258,888 63				261 868 59	(2,979 96)
LONG TERM						
BCE INC	7,179 13	12/11/18	01/06/17	166	7,228 75	(49 62)
BCE INC	951 45	12/11/18	01/09/17	22	961 62	(10 17)
BCE INC	1,081 19	12/11/18	01/10/17	25	1,111 50	(30 31)
NATIONAL GRID PLC	6,214 02	12/11/18	01/06/17	117	7,406 72	(1,192 70)
TRANSCANADA CORP	3,787 30	12/11/18	01/06/17	94	4,243 78	(456 48)
WESTPAC BANKING LTD	42,004 37	12/11/18	VARIOUS L/T	2257	52,789 19	(10,784 82)
	61,217 46				73,741 56	(12,524 10)
Mar-19						
SHORT TERM						
ANHEUSER BUSCH	76,640 48	03/26/19	VARIOUS S/T	930	82,781 85	(6,141 37)
BHP BILLITON PLC	5,550 50	03/26/19	12/11/18	105	4,767 79	782 71
BP PLC	1,098 99	03/26/19	09/25/18	25	1,121 69	(22 70)
CHINA MOBILE	10,629 11	03/26/19	06/18/18	205	9,254 73	1,374 38
CHINA MOBILE	2,799 86	03/26/19	04/02/18	54	2,467 25	332 61
ENBRIDGE INC	3,656 21	03/26/19	06/18/18	100	3,268 98	387 23
PEMBINA PIPELINE CORP	2,869 95	03/26/19	06/18/18	77	2,673 13	196 82
POSCO	66,474 73	03/26/19	12/11/18	1186	66,784 65	(309 92)
STMICROELECTRONICS NV	79,663 28	03/26/19	VARIOUS S/T	4834	85,814 78	(6,151 50)
ULTRAPAR PARTICIPACOES SA	68,700 55	03/26/19	12/11/18	5317	66,821 03	1,879 52
	318,083 66				325,755 88	(7,672 22)
LONG TERM						
CHINA MOBILE	48,271 68	03/26/19	12/12/17	931	45,506 50	2,765 18
CHINA MOBILE	8,295 88	03/26/19	03/06/18	160	7,337 60	958 28
MANULIFE FINANCIAL CORP	71,631 31	03/26/19	02/11/18	4274	66,361 23	5,270 08
NATIONAL GRID PLC	2,045 46	03/26/19	VARIOUS L/T	35	2 207 61	(162 15)
ROYALDUTCH SHELL PLC	821 59	03/26/19	12/12/17	13	820 63	0 96
TRANSCANADA CORP	2,712 56	03/26/19	01/06/17	60	2,708 79	3 77
	133,778 48				124,942 36	8,836 12
Jun-19						
SHORT TERM						
AEGON NV	70,238 83	06/11/19	VARIOUS S/T	14725	89,976 74	(19,737 91)
BHP GROUP LTD	638 51	06/11/19	12/18/18	12	544 89	93 62
BT GROUP PLC	63,156 68	06/11/19	03/26/19	4721	71,836 09	(8,679 41)
HSBC HOLDINGS PLC	1,744 22	06/11/19	04/02/18	42	2,001 56	(257 34)
ITAU UNIBANCO HLDG	2,372 47	06/11/19	03/26/19	265	2,308 15	64 32
RIO TINTO PLC	1,796 60	06/11/19	03/26/19	31	1,754 91	41 69
TRANSCANADA CORP	16,218 45	06/11/19	VARIOUS S/T	325	13,556 80	2,661 65
	156,165 76				181,979 14	(25,813 38)
LONG TERM						
BCE INC	1,407 87	06/11/19	01/10/17	30	1,333 79	74 08
BCE INC	2,064 88	06/11/19	02/15/17	44	1,961 48	103 40
BCE INC	1,454 80	06/11/19	04/10/17	31	1,381 67	73 13
TRANSCANADA CORP	62,977 51	06/11/19	VARIOUS L/T	1262	58,320 53	4,656 98
WPP PLC	10,100 27	06/11/19	09/07/17	160	14,674 56	(4,574 29)
	78,005 33				77,672 03	333 30
					cost	proceeds
SHORT TERM GAIN(LOSS)	(36,465.56)				769,603.61	733,138.05
LONG TERM GAIN(LOSS)	(3,354.68)				276,355.95	273,001.27
	(39,820.24)				1,045,959.56	1,006,139.32
						(39,820 24)

GLENN FOUNDATION
FEI # 86-0710305
WELLS FARGO 2190-3767
SCHEDULE D ATTACHMENT
Y/E 09/30/19

Memo	Sales Price	Date of Sale	Purchase	#of Shares	Cost Basis	Gain (Loss)
Jan-19						
LONG TERM						
RB ENERGY INC WORTHLESS	0 00	1/2/2019	07/06/11	5000	10,315.35	(10,315.35)
Apr-19						
SHORT TERM						
NEWMONT GOLDCORP	13.21	04/18/19	04/18/19	0.4	0.00	13.21
LONG TERM						
GOLD CORP INC.	4.50	04/18/19	01/12/12	225	10,407.99	(10,403.49)
GOLD CORP INC.	4 00	04/18/19	01/17/13	200	7,480.06	(7,476.06)
	8.50				17,888.05	(17,879.55)
Aug-19						
LONG TERM						
ANTRIM ENERGY INC	12,531.65	08/16/19	VARIOUS L/T	300000	192,441.76	(179,910.11)
SHORT TERM GAIN(LOSS)	13.21				cost 0.00	proceeds 13.21
LONG TERM GAIN(LOSS)	(208,105.01)				220,645.16	12,540.15
	(208,091.80)				220,645.16	12,553.36
						(208,091.80)

GLENN FOUNDATION FOR MEDICAL RESEARCH [GLENN FOUND.]
Depreciation Expense

Federal

10/01/2018 - 09/30/2019

System No.	S	Description	Date In Service	Method / Conv.	Life	Cost / Other Basis	Bus./ Inv. %	Sec. 179/ Bonus/ (Cur. Yr. Only)	Salvage/ Basis Adj.	Bag. Accum. Depreciation/ (Sec. 179)	Current Depreciation/ (Sec. 179)	Total Depreciation/ (Sec. 179)
Other Depr #1 - Other Depreciation												
71		CHAIR	3/9/2010	M / HY	5 0000	108 74	100 0000	0 00	0 00	108 74	0 00	108 74
72		OFFICE CHAIR	2/5/2010	M / HY	7 0000	581 40	100 0000	0 00	0 00	581 40	0 00	581 40
75		IMPACT SIGNS	4/30/2012	M / HY	7 0000	2,358 00	100 0000	0 00	0 00	2,305 39	52 61	2,358 00
76		CONFERENCE I	12/5/2011	M / HY	5 0000	8,103 67	100 0000	0 00	0 00	8,103 67	0 00	8,103 67
77		OFFICE FURNIT	1/6/2012	M / HY	5 0000	2,547 21	100 0000	0 00	0 00	2,547 21	0 00	2,547 21
78		SB SCREENS A	2/2/2012	M / HY	5 0000	2,493 63	100 0000	0 00	0 00	2,493 63	0 00	2,493 63
79		FURNITURE	2/13/2012	M / HY	5 0000	2,547 21	100 0000	0 00	0 00	2,547 21	0 00	2,547 21
80		OFFICE FURNIT	3/21/2012	M / HY	5 0000	21,877 97	100 0000	0 00	0 00	21,877 97	0 00	21,877 97
81	D	APPLE AUDIO E	2/13/2012	M / HY	5 0000	754 20	100 0000	0 00	0 00	754 20	0 00	754 20
82		TV MONITOR	3/12/2012	M / HY	5 0000	2,595 99	100 0000	0 00	0 00	2,595 99	0 00	2,595 99
84		TELEVISION	4/9/2012	M / HY	5 0000	1,615 17	100 0000	0 00	0 00	1,615 17	0 00	1,615 17
86		OFFICE FURNIT	5/10/2012	M / HY	5 0000	5,553 68	100 0000	0 00	0 00	5,553 68	0 00	5,553 68
87		ART AND FRAM	5/23/2012	M / HY	7 0000	5,488 79	100 0000	0 00	0 00	5,366 32	122 47	5,488 79
88		OFFICE FURNIT	6/30/2012	M / HY	5 0000	21,877 98	100 0000	0 00	0 00	21,877 98	0 00	21,877 98
89		OFFICE FURNIT	7/26/2012	M / HY	5 0000	4,574 37	100 0000	0 00	0 00	4,574 37	0 00	4,574 37
91		FILE CABINET	12/10/2012	M / HY	5 0000	1,433 24	100 0000	0 00	0 00	1,433 24	0 00	1,433 24
92		MAC BOOK	11/5/2013	M / HY	5 0000	3,566 92	100 0000	0 00	0 00	3,464 19	102 73	3,566 92
94		4 SAMSUNG TV	12/17/2012	M / HY	5 0000	6,251 57	100 0000	0 00	0 00	6,251 57	0 00	6,251 57
95		TELEVISION	4/4/2013	M / HY	5 0000	866 83	100 0000	0 00	0 00	866 83	0 00	866 83
97		ROUTERS	6/24/2013	M / HY	5 0000	429 84	100 0000	0 00	0 00	429 84	0 00	429 84
99	D	IPAD AIR	11/5/2013	M / HY	5 0000	1,006 32	100 0000	0 00	0 00	977 34	28 98	1,006 32
100		APPLE DIGITAL	8/7/2014	M / HY	5 0000	1,403 95	100 0000	0 00	0 00	1,363 52	40 43	1,403 95
102	D	APPLE MAC BF	11/14/2016	M / HY	5 0000	4,682 28	100 0000	0 00	0 00	3,558 53	224 75	3,783 28
103		APPLE MACBC	7/12/2018	M / MQ	5 0000	4,246 16	100 0000	0 00	0 00	4,246 16	0 00	4,246 16
104		EMAIL SERVER	7/13/2018	M / MQ	5 0000	17,946 34	100 0000	0 00	0 00	17,946 34	0 00	17,946 34
105	D	APPLE COMPU	5/26/2015	M / HY	5 0000	3,807 92	100 0000	0 00	0 00	3,478 92	109 67	3,588 59
106		1 APPLE MAC E	11/14/2016	M / HY	5 0000	4,682 28	100 0000	0 00	0 00	3,558 53	449 50	4,008 03
Subtotal: Other Depr #1 - Other Depreciation						133,401.66		0.00		130,477.94	1,131.14	131,609.08
Less dispositions and exchanges:						10,250.72		0.00		8,768.99	0.00	9,132.39
Net for: Other Depr #1 - Other Depreciation						123,150.94		0.00		121,708.95	1,131.14	122,476.69
Subtotal:												
Less dispositions and exchanges:						10,250.72		0.00		8,768.99	0.00	9,132.39
Grand Totals:						123,150.94		0.00		121,708.95	1,131.14	122,476.69

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC
EIN 86-0710305
9-30-2019

FORM 990PF, PART VIII – INFORMATION ABOUT OFFICERS, DIRECTORS

NAME	PAUL F GLENN
NAME (CONT'D)	1270 COAST VILLAGE CIRCLE
STREET	SUITE 100
STREET (CONT'D)	SANTA BARBARA, CA 93108
CITY, STATE, ZIP	CHAIRMAN, DIRECTOR
TITLE	PART TIME
TIME DEVOTED TO POSITION	NONE
COMPENSATION	NONE
CONTRIBUTION TO EMPLOYEE BENEFIT PLANS	REIMBURSEMENT OF
EXPENSE ACCOUNT	REASONABLE EXPENSES
NAME	MARK R. COLLINS
NAME (CONT'D)	1270 COAST VILLAGE CIRCLE
STREET	SUITE 200
STREET (CONT'D)	SANTA BARBARA, CA 93108
CITY, STATE, ZIP	PRESIDENT, DIRECTOR
TITLE	FULL TIME
TIME DEVOTED TO POSITION	\$279,990.10
COMPENSATION	Health Ins \$15,754 56
CONTRIBUTION TO EMPLOYEE BENEFIT PLANS	REIMBURSEMENT OF
EXPENSE ACCOUNT	REASONABLE EXPENSES
NAME	K LEONARD JUDSON
NAME (CONT'D)	1270 COAST VILLAGE CIRCLE
STREET	SUITE 100
STREET (CONT'D)	SANTA BARBARA, CA 93108
CITY, STATE, ZIP	CEO, SECRETARY, TREASURER,
TITLE	DIRECTOR
TIME DEVOTED TO POSITION	PART TIME
COMPENSATION	NONE
CONTRIBUTION TO EMPLOYEE BENEFIT PLANS	NONE
EXPENSE ACCOUNT	REIMBURSEMENT OF
	REASONABLE EXPENSES

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC.
EIN 86-0710305
9-30-2019

FORM 990PF, PART VIII – INFORMATION ABOUT OFFICERS, DIRECTORS

NAME	A. RAY COPELAND
NAME (CONT'D)	P.O. BOX 2690
STREET	
STREET (CONT'D)	EDMOND, OK 73083
CITY, STATE, ZIP	ASSISTANT TREASURER,
TITLE	DIRECTOR
TIME DEVOTED TO POSITION	PART TIME
COMPENSATION	NONE
CONTRIBUTION TO EMPLOYEE BENEFIT PLANS	NONE
EXPENSE ACCOUNT	REIMBURSEMENT OF REASONABLE EXPENSES

NAME	JACK N. RUDEL
NAME (CONT'D)	ONE EAST WASHINGTON STREET
STREET	SUITE 1900
STREET (CONT'D)	PHOENIX, AZ 85004-2554
CITY, STATE, ZIP	DIRECTOR, ASSISTANT
TITLE	SECRETARY
TIME DEVOTED TO POSITION	PART TIME
COMPENSATION	NONE
CONTRIBUTION TO EMPLOYEE BENEFIT PLANS	NONE
EXPENSE ACCOUNT	REIMBURSEMENT OF REASONABLE EXPENSES

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC.
EIN: 86-0710305
FORM 990PF, PART I, LINE 23 - OTHER EXPENSES
FYE: 09-30-2019

DESCRIPTION	(A) TOTAL OPERATING AND ADMINISTRATIVE EXPENSES	(B) NET INVESTMENT INCOME	(C) DISBURSEMENTS FOR CHARITABLE PURPOSES
Advertising	4,385		4,385
Books & subscriptions	845		845
Consulting	155,680		155,680
Dues	8,750		8,750
Fees	0	0	0
Investment Expense	875,375	875,375	0
Internet Data Line	9,539		9,539
Meals & Entertainment	14,609		14,609
Mileage Reimb.	467		467
Office Supplies	29,570	14,785	14,785
Portfolio Deductions	125,728	125,728	0
Postage	1,512	756	756
R&M	547	547	0
Security System	1,917	959	959
Telephone	16,706		16,706
Loss on Disposal of Asset	894		894
	1,246,524	1,018,150	228,375

GLENN FOUNDATION FOR MEDICAL RESEARCH
EIN: 86-0710305
990PF - INVESTMENTS - CORPORATE SECURITIES
FYE: 9/30/2019

Description	Inventory		Market Value
	End of Period		End of Period
	Shares	Cost	
RJ AB 627XM177			
SHORT STOCK	(1,525)	(697,125)	(982,145)
LONG STOCK	6,072,992	52,586,152	61,843,326
total	6,071,467	51,889,027	60,861,181
RJ AB 590N7628			
SHORT STOCK			
LONG STOCK	2,391,956	4,419,113	4,250,189
Total	2,391,956	4,419,113	4,250,189
RAYMOND JAMES 49533723			
LONG STOCK	202,603	2,867,811	2,887,065
RJ AB 49519053			
LONG STOCK	35,572	1,156,333	1,232,640

GLENN FOUNDATION FOR MEDICAL RESEARCH
 EIN: 86-0710305
 990PF - INVESTMENTS - CORPORATE SECURITIES
 FYE: 9/30/2019

Description	Inventory		Market Value
	End of Period		End of Period
	Shares	Cost	
MORGAN STANLEY 814-890187 & 188			
SHORT STOCK	(11)	(11,888)	(1,750)
LONG STOCK	43,111	4,896,045	8,598,282
TOTAL	43,100	4,884,157	8,596,532
HELD BY FOUNDATION			
LONG STOCK	107,653	1,561,977	100,343
RAYMOND JAMES 572K8641			
LONG STOCK	2,139,487	23,926,461	23,919,531
RJ AB 1553T985			
SHORT STOCK			
LONG STOCK	23,500	470,000	343,100
	23,500	470,000	343,100

GLENN FOUNDATION FOR MEDICAL RESEARCH
 EIN: 86-0710305
 990PF - INVESTMENTS - CORPORATE SECURITIES
 FYE: 9/30/2019

Description	Inventory		Market Value
	End of Period		End of Period
	Shares	Cost	
UBS JP 39221 V8			
SHORT STOCK	(117)	(12,150)	(11,052)
LONG STOCK	13,234	948,037	920,969
Total	13,117	935,887	909,917
UBS JP 39222 V8			
LONG STOCK	40,843	1,470,523	1,399,947

GLENN FOUNDATION FOR MEDICAL RESEARCH
 EIN: 86-0710305
 990PF - INVESTMENTS - CORPORATE SECURITIES
 FYE: 9/30/2019

Description	Inventory		Market Value
	End of Period		End of Period
	Shares	Cost	
UBS JP 32494			
SHORT STOCK	(3,230)	(652,052)	(958,567)
LONG STOCK			
Total	(3,230)	(652,052)	(958,567)
WELLS FARGO 2190-3767			
LONG STOCK	1,263,946	9,624,809	9,905,575
TOTAL STOCKS	12,330,014	102,554,046	113,447,453
Add back short stock		(1,373,215)	(1,953,514)
		103,927,261	115,400,967
TOTAL STOCKS	12,330,014	\$103,927,261	<u>\$115,400,967</u>

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC.
EIN 86-0710305
FORM 990PF, PART II, LINE 13 - OTHER INVESTMENTS
FYE 09-30-2019

DESCRIPTION	ID NUMBER	BOOK VALUE		FAIR MARKET VALUE
		BOY	EOY	
Davenport Gas	43-1999609	38,392	0	0
Gradient	62-1627822	(47,682)	(50,001)	(50,001)
Green Energy Metals Fund	26-0308422	978,920	921,351	921,351
Portolan Equity Fund LP	20-3384758	1,972,515	2,093,357	2,093,357
Commodity Contracts			932,549	932,549
		2,942,145	3,897,256	3,897,256

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC
EIN 86-0710305
OTHER LIABILITIES
FYE 9/30/2019

Liability	Amount
RAYMOND JAMES 627XN177 short stk	697,125
MORGAN STANLEY 814-890188-350 short stk	11,888
UBS JP 32494WH short stk	652,052
UBS JP 39221 VS short stk	12,150
	<u>1,373,215</u>

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC
EIN 86-0710305
FORM 990PF, PART I, LINE 11 - OTHER INCOME/(LOSS)
FYE 9/30/2019

DESCRIPTION		AMOUNT
INCOME (LOSS) FROM PARTNERSHIPS		
DAVENPORT BRITISH GAS	43-1999609	40
GRADIENT TECH	62-1627822	(876)
GREEN ENERGY METALS FD LP	26-0308422	22,169
GREEN ENERGY METALS FD LP	26-0308422	(31)
PORTOLAN EQUITY	20-3384758	933
THE BLACKSTONE GROUP	20-8875684	3,560
THE BLACKSTONE GROUP	20-8875684	570
THE BLACKSTONE GROUP	20-8875684	148
THE BLACKSTONE GROUP	20-8875684	(94)
		26,419
OTHER INCOME (LOSS)		
		0
		<u>26,419</u>

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC
Contributions Paid
Fiscal Year Ending 9/30/2018

Recipient	Address	Purpose of Contribution	Amount	Date
Albert Einstein College of Medicine	1300 Morris Park Ave Bronx, NY 10461	Various Research Grants	1,000,000	VARIOUS
Alliance for Aging Research	2021 K. Street NW Suite 305 Washington, DC 20006	Various Research Grants	10,000	VARIOUS
American Aging Assoc	245 N 15th Philadelphia, PA 10102	Various Research Grants	10,000	VARIOUS
American Federation For Aging Research	55 West 39th Street 16th Floor, New York, NY 10018	Various Research Grants	2,355,007	VARIOUS
BioAge Labs	Richmond, CA	Various Research Grants	60,000	VARIOUS
Buck Institute	8001 Redwood Blvd Novato, CA 94945	Various Research Grants	445,000	VARIOUS
Cold Springs Harbor lab	1 Bungtown Rd, Cold Springs Harbor, NY 11724	Various Research Grants	20,000	VARIOUS
Gerontological Society of America	1220 L Street NW Suite 901, Washington, DC 20005-4018	Various Research Grants	10,000	VARIOUS
Harvard Medical School	25 Shattuck Street Boston, MA 02115	Various Research Grants	1,000,000	VARIOUS
Mass General Hospital	55 Fruit St., Boston, MA 02114	Various Research Grants	60,000	VARIOUS
MDI Biological Lab	159 Old Bar Harbor Rd, Bar Harbor, ME 04609	Various Research Grants	20,000	VARIOUS
MIT	77 Massachusetts Ave, Cambridge, MA 02139	Various Research Grants	962,247	VARIOUS
NYU School of Medicine	550 1st Ave , New York, NY 10016	Various Research Grants	60,000	VARIOUS
Pres. & Fellows of Harvard	25 Shattuck Street Boston, MA 02115	Various Research Grants	60,000	VARIOUS
Progeria Research Foundation	P O. Box 3453, Peabody, MA 01961	Various Research Grants	3,000	VARIOUS
Rockefeller University	1230 York Ave , New York, NY 10065	Various Research Grants	65,000	VARIOUS
Salk Institute	P.O Box 85800, San Diego, CA 92186-5800	Various Research Grants	992,742	VARIOUS
Stanford University	450 Serra Mall Stanford, CA 94305	Various Research Grants	884,620	VARIOUS
University of California	1156 High Street	Various Research Grants	279,000	VARIOUS
University of Chicago	5801 S. Ellis Ave, Chicago, IL 60637	Various Research Grants	60,000	VARIOUS
University of IL at Chicago	1200 W Harrison St, Chicago, IL 60607	Various Research Grants	60,000	VARIOUS
University of Connecticut	Storrs, CT 06269	Various Research Grants	3,536	VARIOUS

GLENN FOUNDATION FOR MEDICAL RESEARCH, INC.
Contributions Paid
Fiscal Year Ending 9/30/2018

Recipient	Address	Purpose of Contribution	Amount	Date
University of Kentucky Research	Lexington, KY 40506	Various Research Grants	60,000	VARIOUS
University of Michigan	500 S State St Ann Arbor, MI 48109	Various Research Grants	2,000,000	VARIOUS
University of Pittsburgh	4200 Fifth Ave, Pittsburgh, PA 15260	Various Research Grants	60,000	VARIOUS
Yale University	P O. Box 1873 New Haven, CT 06508-1873	Various Research Grants	62,500	VARIOUS
Grants returned from prior year			(56,742)	
			<u>10,545,910</u>	