

Form **990-PF**

**Return of Private Foundation**

OMB No 1545-0052

**2016**

Department of the Treasury  
Internal Revenue Service

or Section 4947(a)(1) Trust Treated as Private Foundation  
Do not enter social security numbers on this form as it may be made public.

Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf)

Open to Public Inspection

For calendar year 2016 or tax year beginning , 2016, and ending , 20

Name of foundation  
SCHUMANN, ROBERT F FDN-MAIN

Number and street (or P.O. box number if mail is not delivered to street address) Room/suite  
1525 W W.T. HARRIS BLVD. D1114-044

City or town, state or province, country, and ZIP or foreign postal code  
CHARLOTTE, NC 28262

**A Employer identification number**  
45-4757108

**B Telephone number (see instructions)**  
800-352-3705

**C** If exemption application is pending, check here . . . . .

**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:

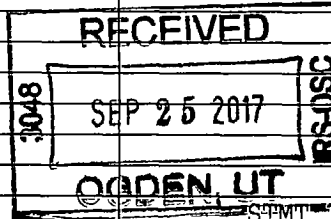
|                          |                |                          |   |
|--------------------------|----------------|--------------------------|---|
| <input type="checkbox"/> | Initial return | <input type="checkbox"/> | Initial return of a former public charity |
| <input type="checkbox"/> | Final return   | <input type="checkbox"/> | Amended return                            |
| <input type="checkbox"/> | Address change | <input type="checkbox"/> | Name change                               |

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

**I** Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 43,306,416.

**J** Accounting method.  Cash  Accrual  
 Other (specify) \_\_\_\_\_  
(Part I, column (d) must be on cash basis)

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).) |  | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|--|------------------------------------|---------------------------|-------------------------|---|
| <b>1</b>  | Contributions, gifts, grants, etc., received (attach schedule)                             | 18,199,135.                        |                           |                         |   |
| <b>2</b>  | Check <input type="checkbox"/> if the foundation is not required to attach Sch. B. . . . . |                                    |                           |                         |   |
| <b>3</b>  | Interest on savings and temporary cash investments.  | 3,270.                             | 3,270.                    |                         | STMT 1  |
| <b>4</b>  | Dividends and interest from securities . . . . .   | 887,230.                           | 807,649.                  |                         | STMT 2  |
| <b>5a</b>   | Gross rents . . . . .  |                                    |                           |                         |   |
| <b>b</b>  | Net rental income or (loss)  |                                    |                           |                         |   |
| <b>6a</b>   | Net gain or (loss) from sale of assets not on line 10                                      | 10,312,035.                        |                           |                         |   |
| <b>b</b>  | Gross sales price for all assets on line 6a <u>38,541,901</u>                              |                                    |                           |                         |   |
| <b>7</b>  | Capital gain net income (from Part IV, line 2) . . . . .                                   |                                    | 10,312,035.               |                         |   |
| <b>8</b>  | Net short-term capital gain . . . . .  |                                    |                           |                         |   |
| <b>9</b>  | Income modifications . . . . .   |                                    |                           |                         |   |
| <b>10a</b>  | Gross sales less returns and allowances . . . . .  |                                    |                           |                         |   |
| <b>b</b>  | Less Cost of goods sold . . . . .  |                                    |                           |                         |   |
| <b>c</b>  | Gross profit or (loss) (attach schedule) . . . . .   |                                    |                           |                         |   |
| <b>11</b>   | Other income (attach schedule) . . . . .   | 3,193.                             | 3,193.                    |                         |   |
| <b>12</b>   | <b>Total.</b> Add lines 1 through 11 . . . . .   | 29,404,863.                        | 11,126,147.               |                         |   |
| <b>13</b>   | Compensation of officers, directors, trustees, etc. . . . .                                | 321,877.                           | 221,261.                  |                         | 100,616.  |
| <b>14</b>   | Other employee salaries and wages . . . . .  |                                    | NONE                      | NONE                    |   |
| <b>15</b>   | Pension plans, employee benefits . . . . .   |                                    | NONE                      | NONE                    |   |
| <b>16a</b>  | Legal fees (attach schedule) . . . . .   |                                    |                           |                         |   |
| <b>b</b>  | Accounting fees (attach schedule) STMT 19  | 2,200.                             | NONE                      | NONE                    | 2,200.  |
| <b>c</b>  | Other professional fees (attach schedule) STMT 20  | 9,443.                             | 9,443.                    |                         |   |
| <b>17</b>   | Interest . . . . .   |                                    |                           |                         |   |
| <b>18</b>   | Taxes (attach schedule) (see instructions) STMT 21   | 268,086.                           | 13,517.                   |                         |   |
| <b>19</b>   | Depreciation (attach schedule) and depletion . . . . .                                     |                                    |                           |                         |   |
| <b>20</b>   | Occupancy . . . . .  | 2,627.                             |                           |                         | 2,627.  |
| <b>21</b>   | Travel, conferences, and meetings . . . . .  |                                    | NONE                      | NONE                    |   |
| <b>22</b>   | Printing and publications . . . . .  |                                    | NONE                      | NONE                    |   |
| <b>23</b>   | Other expenses (attach schedule) STMT 22   | 1,836.                             | 1,836.                    |                         |   |
| <b>24</b>   | <b>Total operating and administrative expenses.</b><br>Add lines 13 through 23. . . . .    | 606,069.                           | 246,057.                  | NONE                    | 105,443.  |
| <b>25</b>   | Contributions, gifts, grants paid . . . . .  | 2,007,233.                         |                           |                         | 2,007,233.  |
| <b>26</b>   | <b>Total expenses and disbursements</b> Add lines 24 and 25                                | 2,613,302.                         | 246,057.                  | NONE                    | 2,112,676.  |
| <b>27</b>   | Subtract line 26 from line 12  |                                    |                           |                         |   |
| <b>a</b>  | Excess of revenue over expenses and disbursements . . . . .                                | 26,791,561.                        |                           |                         |   |
| <b>b</b>  | <b>Net investment income</b> (if negative, enter -0-)                                      |                                    | 10,880,090.               |                         |   |
| <b>c</b>  | <b>Adjusted net income</b> (if negative, enter -0-)  |                                    |                           |                         |   |



SCANNED SEP 26 2017

| Part II Balance Sheets      |   | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)      |                | Beginning of year     | End of year |             |
|-----------------------------|---|---|----------------|-----------------------|-------------|-------------|
|                             |   | (a) Book Value  | (b) Book Value | (c) Fair Market Value |             |             |
| Assets                      | 1   | Cash - non-interest-bearing   |                |                       | -701.       | -701.       |
|                             | 2   | Savings and temporary cash investments  |                | 2,803,149.            | 6,601,864.  | 6,601,864.  |
|                             | 3   | Accounts receivable   |                |                       |             |             |
|                             |   | Less: allowance for doubtful accounts   |                |                       |             |             |
|                             | 4   | Pledges receivable  |                |                       |             |             |
|                             |   | Less: allowance for doubtful accounts   |                |                       |             |             |
|                             | 5   | Grants receivable   |                |                       |             |             |
|                             | 6   | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) |                |                       |             |             |
|                             | 7   | Other notes and loans receivable (attach schedule)  |                |                       |             |             |
|                             |   | Less: allowance for doubtful accounts   | NONE           |                       |             |             |
|                             | 8   | Inventories for sale or use   |                |                       |             |             |
|                             | 9   | Prepaid expenses and deferred charges   |                |                       |             |             |
|                             | 10a   | Investments - U.S. and state government obligations (attach schedule)   | STMT 23.       | 1,480,207.            | 1,747,011.  | 1,713,493.  |
|                             | b   | Investments - corporate stock (attach schedule)   | STMT 25.       | 9,083,980.            | 23,981,743. | 26,170,308. |
|                             | c   | Investments - corporate bonds (attach schedule)   | STMT 37.       | 978,520.              | 5,787,782.  | 5,758,044.  |
|                             | 11  | Investments - land, buildings, and equipment basis  |                |                       |             |             |
|                             | Less: accumulated depreciation (attach schedule)  |   |                |                       |             |             |
| 12                          | Investments - mortgage loans  |   |                |                       |             |             |
| 13                          | Investments - other (attach schedule)   | STMT 42.  |                | 2,953,742.            | 3,063,408.  |             |
| 14                          | Land, buildings, and equipment basis  |   |                |                       |             |             |
|                             | Less: accumulated depreciation (attach schedule)  |   |                |                       |             |             |
| 15                          | Other assets (describe)   |   |                |                       |             |             |
| 16                          | <b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item I)                        |   | 14,345,856.    | 41,071,441.           | 43,306,416. |             |
| Liabilities                 | 17  | Accounts payable and accrued expenses   |                |                       |             |             |
|                             | 18  | Grants payable  |                |                       |             |             |
|                             | 19  | Deferred revenue  |                |                       |             |             |
|                             | 20  | Loans from officers, directors, trustees, and other disqualified persons  |                |                       |             |             |
|                             | 21  | Mortgages and other notes payable (attach schedule)   |                |                       |             |             |
|                             | 22  | Other liabilities (describe)  |                |                       |             |             |
| 23                          | <b>Total liabilities</b> (add lines 17 through 22)  |   |                |                       | NONE        |             |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31. |   |                |                       |             |             |
|                             | 24  | Unrestricted  |                |                       |             |             |
|                             | 25  | Temporarily restricted  |                |                       |             |             |
|                             | 26  | Permanently restricted  |                |                       |             |             |
|                             | Foundations that do not follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 27 through 31.   |   |                |                       |             |             |
|                             | 27  | Capital stock, trust principal, or current funds  |                | 14,345,856.           | 41,071,441. |             |
|                             | 28  | Paid-in or capital surplus, or land, bldg, and equipment fund   |                |                       |             |             |
| 29                          | Retained earnings, accumulated income, endowment, or other funds  |   |                |                       |             |             |
| 30                          | <b>Total net assets or fund balances</b> (see instructions)   |   | 14,345,856.    | 41,071,441.           |             |             |
| 31                          | <b>Total liabilities and net assets/fund balances</b> (see instructions)  |   | 14,345,856.    | 41,071,441.           |             |             |

| 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 14,345,856. |
| 2   | Enter amount from Part I, line 27a   | 2 26,791,561. |
| 3   | Other increases not included in line 2 (itemize) <b>SEE STATEMENT 43</b>   | 3 6,016.      |
| 4   | Add lines 1, 2, and 3  | 4 41,143,433. |
| 5   | Decreases not included in line 2 (itemize) <b>SEE STATEMENT 44</b>   | 5 71,992.     |
| 6   | <b>Total net assets or fund balances at end of year</b> (line 4 minus line 5) - Part II, column (b), line 30   | 6 41,071,441. |

**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<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr ) | (d) Date sold<br>(mo., day, yr )  |
|---|--|---|--|--|--------------------------------------|---|
| <b>1a PUBLICLY TRADED SECURITIES</b>  |  |   |  |  |                                      |   |
| b   |  |   |  |  |                                      |   |
| c   |  |   |  |  |                                      |   |
| d   |  |   |  |  |                                      |   |
| e   |  |   |  |  |                                      |   |
| (e) Gross sales price   | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |  |                                      |   |
| a 38,541,898.   |  | 28,229,863.                                     | 10,312,035.                                  |  |                                      |   |
| b   |  |   |  |  |                                      |   |
| c   |  |   |  |  |                                      |   |
| d   |  |   |  |  |                                      |   |
| e   |  |   |  |  |                                      |   |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69   |  |   |  |  |                                      | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
| (i) F.M.V. as of 12/31/69   | (j) Adjusted basis<br>as of 12/31/69       | (k) Excess of col. (i)<br>over col. (j), if any |  |  |                                      |   |
| a   |  |   | 10,312,035.                                  |  |                                      |   |
| b   |  |   |  |  |                                      |   |
| c   |  |   |  |  |                                      |   |
| d   |  |   |  |  |                                      |   |
| e   |  |   |  |  |                                      |   |
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 }   |  |   |  | 2  | 10,312,035.                          |   |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6).<br>If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 |  |   |  | 3  |                                      |   |

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

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

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

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

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

| (a)<br>Base period years<br>Calendar year (or tax year beginning in) | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(col (b) divided by col (c)) |
|--|--|--|---|
| 2015   | NONE                                     | 19,564,085.                                  | NONE  |
| 2014   |  |  |   |
| 2013   |  |  |   |
| 2012   |  |  |   |
| 2011   |  |  |   |

|   |   |             |
|---|---|-------------|
| 2 Total of line 1, column (d)   | 2 | NONE        |
| 3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years.                                       | 3 | NONE        |
| 4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5  | 4 | 42,364,134. |
| 5 Multiply line 4 by line 3.  | 5 | NONE        |
| 6 Enter 1% of net investment income (1% of Part I, line 27b).   | 6 | 108,801.    |
| 7 Add lines 5 and 6.  | 7 | 108,801.    |
| 8 Enter qualifying distributions from Part XII, line 4.<br>If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions. | 8 | 2,112,676.  |

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

|   |                    |    |          |
|---|--------------------|----|----------|
| <b>1a</b> Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 . . . . .<br>Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions) |                    | 1  | 108,801. |
| <b>b</b> Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b . . . . .   |                    |    |          |
| <b>c</b> All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).   |                    |    |          |
| <b>2</b> Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) . . . . .  |                    | 2  |          |
| <b>3</b> Add lines 1 and 2 . . . . .  |                    | 3  | 108,801. |
| <b>4</b> Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) . . . . .  |                    | 4  | NONE     |
| <b>5</b> Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- . . . . .  |                    | 5  | 108,801. |
| <b>6</b> Credits/Payments   |                    |    |          |
| <b>a</b> 2016 estimated tax payments and 2015 overpayment credited to 2016 . . . . .  | <b>6a</b> 254,489. |    |          |
| <b>b</b> Exempt foreign organizations - tax withheld at source . . . . .  | <b>6b</b> NONE     |    |          |
| <b>c</b> Tax paid with application for extension of time to file (Form 8868) . . . . .  | <b>6c</b> NONE     |    |          |
| <b>d</b> Backup withholding erroneously withheld . . . . .  | <b>6d</b>          |    |          |
| <b>7</b> Total credits and payments. Add lines 6a through 6d . . . . .  |                    | 7  | 254,489. |
| <b>8</b> Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached . . . . .   |                    | 8  |          |
| <b>9</b> Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed . . . . .  |                    | 9  |          |
| <b>10</b> Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . . . .   |                    | 10 | 145,688. |
| <b>11</b> Enter the amount of line 10 to be. Credited to 2017 estimated tax <input type="checkbox"/> 108,804. Refunded <input type="checkbox"/> . . . . .   |                    | 11 | 36,884.  |

**Part VII-A Statements Regarding Activities**

|   | Yes | No |
|---|-----|----|
| <b>1a</b> 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>b</b> Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? . . . . .<br>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  |
| <b>c</b> Did the foundation file Form 1120-POL for this year? . . . . .   |     | X  |
| <b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year.<br>(1) On the foundation. <input type="checkbox"/> \$ _____ (2) On foundation managers. <input type="checkbox"/> \$ _____   |     |    |
| <b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input type="checkbox"/> \$ _____  |     |    |
| <b>2</b> Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . . .<br>If "Yes," attach a detailed description of the activities   |     | X  |
| <b>3</b> 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  |
| <b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .   |     | X  |
| <b>b</b> If "Yes," has it filed a tax return on Form 990-T for this year? . . . . .   |     |    |
| <b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .<br>If "Yes," attach the statement required by General Instruction T   |     | X  |
| <b>6</b> Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:<br>• By language in the governing instrument, or<br>• 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   |    |
| <b>7</b> 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   |    |
| <b>8a</b> Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> CT  |     |    |
| <b>b</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   |    |
| <b>9</b> 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 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If "Yes," complete Part XIV . . . . .   |     | X  |
| <b>10</b> Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses . . . . . STMT 45  | X   |    |

Part VII-A Statements Regarding Activities (continued)

11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) . . . . . 11 Yes No X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) . . . . . 12 Yes No X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address SEE STATEMENT 46 Telephone no. Located at ZIP+4
14 The books are in care of SEE STATEMENT 46 Telephone no. Located at ZIP+4
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
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? . . . . . 16 Yes No 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.

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 X
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? Yes No X
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? X Yes No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? X 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 X
(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 X
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
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 2016?
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 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? Yes No X
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.)
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? Yes No X
b If "Yes," did it have excess business holdings in 2016 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 2016)
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?
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 2016?

**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)?  Yes  No  
 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?  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?  Yes  No  
 If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?  Yes  No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?  Yes  No

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

**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (if not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|----------------------|---|---|---|---------------------------------------|
| SEE STATEMENT 47     |   | 321,877.                                  |   |                                       |
|                      |   |   |   |                                       |
|                      |   |   |   |                                       |
|                      |   |   |   |                                       |
|                      |   |   |   |                                       |

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

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

Total number of other employees paid over \$50,000  NONE

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

**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."**

| (a) Name and address of each person paid more than \$50,000 | (b) Type of service | (c) Compensation |
|---|---------------------|------------------|
| NONE  |                     | NONE             |
|   |                     |                  |
|   |                     |                  |
|   |                     |                  |
|   |                     |                  |

Total number of others receiving over \$50,000 for professional services . . . . . **NONE**

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

| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc | Expenses |
|---|----------|
| 1 NONE  |          |
| 2   |          |
| 3   |          |
| 4   |          |

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|--|--------|
| 1 NONE   |        |
| 2  |        |
| All other program-related investments See instructions<br>3 NONE   |        |
| Total. Add lines 1 through 3 . . . . .   |        |

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

|   |   |    |             |
|---|---|----|-------------|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:           |    |             |
| a | Average monthly fair market value of securities . . . . .   | 1a | 34,683,600. |
| b | Average of monthly cash balances . . . . .  | 1b | 8,325,673.  |
| c | Fair market value of all other assets (see instructions). . . . .   | 1c | NONE        |
| d | <b>Total</b> (add lines 1a, b, and c) . . . . .   | 1d | 43,009,273. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) . . . . .   | 1e |             |
| 2 | Acquisition indebtedness applicable to line 1 assets . . . . .  | 2  | NONE        |
| 3 | Subtract line 2 from line 1d . . . . .  | 3  | 43,009,273. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .    | 4  | 645,139.    |
| 5 | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4 . . . . . | 5  | 42,364,134. |
| 6 | <b>Minimum investment return.</b> Enter 5% of line 5 . . . . .  | 6  | 2,118,207.  |

**Part XI Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here  and do not complete this part.)

|    |  |    |            |
|----|--|----|------------|
| 1  | Minimum investment return from Part X, line 6 . . . . .  | 1  | 2,118,207. |
| 2a | Tax on investment income for 2016 from Part VI, line 5 . . . . .   | 2a | 108,801.   |
| b  | Income tax for 2016. (This does not include the tax from Part VI.) . . . . .                                       | 2b |            |
| c  | Add lines 2a and 2b . . . . .  | 2c | 108,801.   |
| 3  | Distributable amount before adjustments. Subtract line 2c from line 1 . . . . .                                    | 3  | 2,009,406. |
| 4  | Recoveries of amounts treated as qualifying distributions . . . . .  | 4  | NONE       |
| 5  | Add lines 3 and 4 . . . . .  | 5  | 2,009,406. |
| 6  | Deduction from distributable amount (see instructions). . . . .  | 6  | NONE       |
| 7  | <b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1. . . . . | 7  | 2,009,406. |

**Part XII Qualifying Distributions** (see instructions)

|   |  |    |            |
|---|--|----|------------|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:   |    |            |
| a | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 . . . . .  | 1a | 2,112,676. |
| b | Program-related investments - total from Part IX-B . . . . .   | 1b |            |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes . . . . .  | 2  | NONE       |
| 3 | Amounts set aside for specific charitable projects that satisfy the:   |    |            |
| a | Suitability test (prior IRS approval required) . . . . .   | 3a | NONE       |
| b | Cash distribution test (attach the required schedule) . . . . .  | 3b | NONE       |
| 4 | <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 . . . . .                                    | 4  | 2,112,676. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) . . . . . | 5  | 108,801.   |
| 6 | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4 . . . . .  | 6  | 2,003,875. |

**Note:** The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.



**Part XIII Undistributed Income** (see instructions)

|   | (a)<br>Corpus | (b)<br>Years prior to 2015 | (c)<br>2015 | (d)<br>2016 |
|---|---------------|----------------------------|-------------|-------------|
| <b>1</b> Distributable amount for 2016 from Part XI, line 7 . . . . .   |               |                            |             | 2,009,406.  |
| <b>2</b> Undistributed income, if any, as of the end of 2016  |               |                            |             |             |
| <b>a</b> Enter amount for 2015 only. . . . .  |               |                            | 45,480.     |             |
| <b>b</b> Total for prior years 20 <u>14</u> , 20 <u>  </u> , 20 <u>  </u>   |               | NONE                       |             |             |
| <b>3</b> Excess distributions carryover, if any, to 2016  |               |                            |             |             |
| <b>a</b> From 2011 . . . . .  | NONE          |                            |             |             |
| <b>b</b> From 2012 . . . . .  | NONE          |                            |             |             |
| <b>c</b> From 2013 . . . . .  | NONE          |                            |             |             |
| <b>d</b> From 2014 . . . . .  | NONE          |                            |             |             |
| <b>e</b> From 2015 . . . . .  | NONE          |                            |             |             |
| <b>f</b> Total of lines 3a through e . . . . .  | NONE          |                            |             |             |
| <b>4</b> Qualifying distributions for 2016 from Part XII, line 4 ▶ \$ <u>2,112,676.</u>   |               |                            |             |             |
| <b>a</b> Applied to 2015, but not more than line 2a . . . . .   |               |                            | 45,480.     |             |
| <b>b</b> Applied to undistributed income of prior years (Election required - see instructions) . . . . .  |               | NONE                       |             |             |
| <b>c</b> Treated as distributions out of corpus (Election required - see instructions) . . . . .  | NONE          |                            |             |             |
| <b>d</b> Applied to 2016 distributable amount. . . . .  |               |                            |             | 2,009,406.  |
| <b>e</b> Remaining amount distributed out of corpus. . . . .  | 57,790.       |                            |             |             |
| <b>5</b> Excess distributions carryover applied to 2016 . (If an amount appears in column (d), the same amount must be shown in column (a).)  | NONE          |                            |             | NONE        |
| <b>6</b> Enter the net total of each column as indicated below:   |               |                            |             |             |
| <b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5  | 57,790.       |                            |             |             |
| <b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b. . . . .  |               | NONE                       |             |             |
| <b>c</b> 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 . . . . . |               | NONE                       |             |             |
| <b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions . . . . .   |               | NONE                       |             |             |
| <b>e</b> Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instructions . . . . .  |               |                            |             |             |
| <b>f</b> Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017 . . . . .  |               |                            |             | NONE        |
| <b>7</b> 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) . . . . .       | NONE          |                            |             |             |
| <b>8</b> Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions) . . . . .  | NONE          |                            |             |             |
| <b>9</b> Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a . . . . .  | 57,790.       |                            |             |             |
| <b>10</b> Analysis of line 9.   |               |                            |             |             |
| <b>a</b> Excess from 2012 . . . . .   | NONE          |                            |             |             |
| <b>b</b> Excess from 2013 . . . . .   | NONE          |                            |             |             |
| <b>c</b> Excess from 2014 . . . . .   | NONE          |                            |             |             |
| <b>d</b> Excess from 2015 . . . . .   | NONE          |                            |             |             |
| <b>e</b> Excess from 2016 . . . . .   | 57,790.       |                            |             |             |

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

NOT APPLICABLE

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling . . . . .

b Check box to indicate whether the foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

Table with columns: Tax year (a) 2016, (b) 2015, (c) 2014, (d) 2013, (e) Total. Rows include: 2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed; b 85% of line 2a; c Qualifying distributions from Part XII, line 4 for each year listed; d Amounts included in line 2c not used directly for active conduct of exempt activities; e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c; 3 Complete 3a, b, or c for the alternative test relied upon; a "Assets" alternative test - enter (1) Value of all assets, (2) Value of assets qualifying under section 4942(j)(3)(B)(i); b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed; c "Support" alternative test - enter (1) Total support other than gross investment income, (2) Support from general public and 5 or more exempt organizations, (3) Largest amount of support from an exempt organization, (4) Gross investment income.

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year - see instructions.)

1 Information Regarding Foundation Managers:

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2).)

N/A

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

N/A

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

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

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

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

c Any submission deadlines:

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

**Part XV** Supplementary Information *(continued)*

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

| Recipient  | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount     |
|--|---|--------------------------------|----------------------------------|------------|
| Name and address (home or business)  |   |                                |                                  |            |
| <b>a Paid during the year</b>  |   |                                |                                  |            |
| Various Charities see attachment<br>100 NORTH MAINS STREET Winston-Salem NC 2710 | N/A   | PC                             | CHARITABLE                       | 2,007,233. |
| <b>Total</b> . . . . . ▶ <b>3a</b>   |   |                                |                                  | 2,007,233. |
| <b>b Approved for future payment</b>   |   |                                |                                  |            |
| <b>Total</b> . . . . . ▶ <b>3b</b>   |   |                                |                                  |            |



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

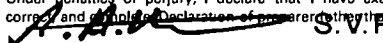
| (a) Line no. | (b) Amount involved | (c) Name of noncharitable exempt organization | (d) Description of transfers, transactions, and sharing arrangements |
|--------------|---------------------|---|--|
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |
|              |                     |   |  |

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (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 |
|--------------------------|--------------------------|---------------------------------|
|                          |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |

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 the taxpayer) is based on all information of which preparer has any knowledge.

**Sign Here**  
  
 Wells Fargo Bank, N.A.      09/18/2017  
 Signature of officer or trustee      Date

May the IRS discuss this return?

**Paid Preparer Use Only**

|                            |                      |
|----------------------------|----------------------|
| Print/Type preparer's name | Preparer's signature |
| Firm's name ▶              |                      |
| Firm's address ▶           |                      |

**Schedule B**  
(Form 990, 990-EZ,  
or 990-PF)

Department of the Treasury  
Internal Revenue Service

**Schedule of Contributors**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990)

OMB No. 1545-0047

**2016**

Name of the organization

Employer identification number

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

501(c)( ) (enter number) organization

4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

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

**General Rule**

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

**Special Rules**

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

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

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

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

Name of organization **SCHUMANN, ROBERT F FDN-MAIN** Employer identification number **45-4757108**

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

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                            | (c)<br>Total contributions | (d)<br>Type of contribution   |
|------------|--|----------------------------|---|
| 1          | R Schumann Marital M Schumann<br>Robert F Schumann Trust U/A | \$ 18,199,135.             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input checked="" type="checkbox"/><br>(Complete Part II for noncash contributions.) |
|            |  | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |
|            |  | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |
|            |  | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |
|            |  | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |
|            |  | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |
|            |  | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions.)            |

|  |   |
|--|---|
| Name of organization<br><b>SCHUMANN, ROBERT F FDN-MAIN</b> | Employer identification number<br><b>45-4757108</b> |
|--|---|

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

| (a) No.<br>from<br>Part I | (b)<br>Description of noncash property given               | (c)<br>FMV (or estimate)<br>(See instructions) | (d)<br>Date received |
|---------------------------|--|--|----------------------|
| 1                         | Cash Received 7,060,066.57<br>Various Assets 11,139,068.29 | \$ _____                                       | 02/01/2016           |
| _____                     | _____<br>_____<br>_____                                    | \$ _____                                       | _____                |
| _____                     | _____<br>_____<br>_____                                    | \$ _____                                       | _____                |
| _____                     | _____<br>_____<br>_____                                    | \$ _____                                       | _____                |
| _____                     | _____<br>_____<br>_____                                    | \$ _____                                       | _____                |
| _____                     | _____<br>_____<br>_____                                    | \$ _____                                       | _____                |
| _____                     | _____<br>_____<br>_____                                    | \$ _____                                       | _____                |



SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

=====

| DESCRIPTION<br>-----           | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|--------------------------------|--|--------------------------------------|
| SECURED MARKET DEPOSIT ACCOUNT | 3,270.   | 3,270.                               |
|                                | -----  | -----                                |
| TOTAL                          | 3,270.   | 3,270.                               |
|                                | =====  | =====                                |

## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION                          | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|--------------------------------------|---|-----------------------------|
| ABB LTD - ADR                        | 1,441.                                  | 1,441.                      |
| AFLAC INC                            | 347.                                    | 347.                        |
| AES CORPORATION 8.000% 6/01/20       | 388.                                    | 388.                        |
| AIA GROUP LTD-SP ADR                 | 230.                                    | 230.                        |
| AT & T INC                           | 1,102.                                  | 1,102.                      |
| AT&T INC 3.000% 6/30/22              | 1,038.                                  | 1,038.                      |
| ABAXIS INC                           | 297.                                    | 297.                        |
| ABBOTT LABS                          | 53.                                     | 53.                         |
| ACCESS MIDSTREAM PAR 4.875% 5/15/23  | 218.                                    | 218.                        |
| AETNA INC-NEW                        | 126.                                    | 126.                        |
| INV BALANCE RISK COMM STR-Y #8611    | 21,324.                                 | 21,324.                     |
| AIR LEASE CORP                       | 21.                                     | 21.                         |
| AIR PRODS & CHEMS INC COM            | 183.                                    | 183.                        |
| AKZO NOBEL N.V. - ADR                | 579.                                    | 579.                        |
| ALBEMARLE CORP COM                   | 10.                                     | 10.                         |
| ALLIANZ SE ADR                       | 403.                                    | 403.                        |
| ALLY FINANCIAL INC 8.000% 3/15/20    | 472.                                    | 472.                        |
| ALLY FINANCIAL INC 5.125% 9/30/24    | 184.                                    | 184.                        |
| ALTRIA GROUP INC                     | 14,125.                                 | 14,125.                     |
| AMADEUS IT GROUP, S.A. ADR           | 101.                                    | 101.                        |
| AMBEV SA-SPN ADR                     | 78.                                     | 78.                         |
| AMERICAN ASSETS TRUST INC            | 1,178.                                  | 1,178.                      |
| AMERICAN CAMPUS CMNTYS INC           | 733.                                    | 227.                        |
| AMERICAN EAGLE OUTFITTERS INC NEW    | 336.                                    | 336.                        |
| AMERICAN EXPRESS 6.150% 8/28/17      | 909.                                    | 909.                        |
| AMERICAN HONDA FINAN 2.450% 9/24/20  | 568.                                    | 568.                        |
| AMERICAN TOWER CORP                  | 3,240.                                  | 3,240.                      |
| AMERISOURCEBERGEN CORP               | 195.                                    | 195.                        |
| AMERIGAS PART/FIN CO 5.875% 8/20/26  | 46.                                     | 46.                         |
| AMGEN INC                            | 11,392.                                 | 11,392.                     |
| ANHEUSER-BUSCH INBEV 3.650% 2/01/26  | 522.                                    | 522.                        |
| ANTERO RESOURCES FIN 5.375% 11/01/21 | 582.                                    | 582.                        |
| FJZ552 5892 09/18/2017 10:13:37      |   |                             |

## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

=====

| DESCRIPTION<br>-----                | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|-------------------------------------|--|--------------------------------------|
| APARTMENT INVT & MGMT CO CL A       | 895.   | 895.                                 |
| APPLE INC                           | 8,175.   | 8,175.                               |
| APPLE INC 2.850% 5/06/21            | 1,116.   | 1,116.                               |
| APTARGROUP INC COM                  | 202.   | 202.                                 |
| ARCHER-DANIELS-MIDLA 2.500% 8/11/26 | 65.  | 65.                                  |
| ARM HOLDINGS PLC - ADR              | 79.  | 79.                                  |
| ARTISAN PARTNERS ASSET MANAGEM      | 1,634.   | 436.                                 |
| AUTOMATIC DATA PROCESSING INC       | 5,544.   | 5,544.                               |
| AVALONBAY CMNTYS INC                | 667.   | 667.                                 |
| AVERY DENNISON CORP                 | 336.   | 336.                                 |
| AVIS BUDGET CAR/FINA 5.500% 4/01/23 | 27.  | 27.                                  |
| BASF AKTIENGESELLSCHAFT - LVL 1 ADR | 359.   | 359.                                 |
| BB&T CORPORATION 1.450% 1/12/18     | 175.   | 175.                                 |
| BHP BILLITON PLC ADR                | 343.   | 343.                                 |
| BP PLC - ADR                        | 3,622.   | 3,622.                               |
| BNP PARIBAS - ADR                   | 655.   | 655.                                 |
| BT GROUP PLC - ADR                  | 216.   | 216.                                 |
| BALL CORP 4.375% 12/15/20           | 56.  | 56.                                  |
| BANCO BILBAO VIZCAYA ARGENT- ADR    | 122.   | 122.                                 |
| BANCO SANTANDER CEN-SPON - ADR      | 500.   | 500.                                 |
| BANK OF AMERICA CORP 2.600% 1/15/19 | 260.   | 260.                                 |
| BANK OF NY MELLON CO 1.600% 5/22/18 | 460.   | 460.                                 |
| BANK N S HALIFAX                    | 343.   | 343.                                 |
| BANK OF NOVA SCOTIA 2.350% 10/21/20 | 90.  | 90.                                  |
| BARCLAYS PLC - ADR                  | 78.  | 78.                                  |
| BAYER AG - ADR                      | 407.   | 407.                                 |
| BEMIS INC                           | 133.   | 133.                                 |
| BERRY PLASTICS CORP 5.125% 7/15/23  | 101.   | 101.                                 |
| BIG LOTS INC                        | 207.   | 207.                                 |
| BIOGEN INC 4.050% 9/15/25           | 536.   | 536.                                 |
| BLACKROCK INC                       | 3,664.   | 3,664.                               |
| BOEING CO                           | 362.   | 362.                                 |
| BORG WARNER INC.                    | 199.   | 199.                                 |

FJZ552 5892 09/18/2017 10:13:37

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

=====

| DESCRIPTION<br>-----                 | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|--------------------------------------|--|--------------------------------------|
| BOSTON PROPERTIES INC COM            | 1,011.   | 1,011.                               |
| BOYD GAMING CORP 6.875% 5/15/23      | 396.   | 396.                                 |
| BRAMBLES LTD-SPONSORED ADR           | 201.   | 201.                                 |
| BRISTOL MYERS SQUIBB CO              | 4,860.   | 4,860.                               |
| BRITISH AMERICAN TOBACCO P.L.C - ADR | 535.   | 535.                                 |
| CCO HLDGS LLC/CAP CO 5.750% 1/15/24  | 81.  | 81.                                  |
| CBRE SERVICES INC 5.000% 3/15/23     | 366.   | 366.                                 |
| CBS OUTDOOR AMERS CA 5.625% 2/15/24  | 146.   | 146.                                 |
| CDW LLC/CDW FINANCE 6.000% 8/15/22   | 140.   | 140.                                 |
| CDW CORP/DE                          | 593.   | 593.                                 |
| CHS/COMMUNITY HEALTH 7.125% 7/15/20  | 302.   | 302.                                 |
| CHS/COMMUNITY HEALTH 5.125% 8/15/18  | 40.  | 40.                                  |
| AI CHS/COMMUNITY HEA 5.125% 8/01/21  | 64.  | 64.                                  |
| CIT GROUP INC 5.250% 3/15/18         | 222.   | 222.                                 |
| CK HUTCHISON HOLDIN-UNSP ADR         | 448.   | 448.                                 |
| CNH CAPITAL LLC 3.625% 4/15/18       | 149.   | 149.                                 |
| CSC HOLDINGS INC 7.625% 7/15/18      | 101.   | 101.                                 |
| CSC HOLDINGS. LLC 6.750% 11/15/21    | 218.   | 218.                                 |
| CSX CORP                             | 3,780.   | 3,780.                               |
| CVS HEALTH CORPORATION               | 241.   | 241.                                 |
| CVS CAREMARK CORP 2.250% 12/05/18    | 706.   | 706.                                 |
| CALPINE CORP 5.750% 1/15/25          | 297.   | 297.                                 |
| CANON INC - ADR                      | 296.   | 296.                                 |
| CARRIZO OIL & GAS IN 6.250% 4/15/23  | 29.  | 29.                                  |
| CATERPILLAR INC                      | 924.   | 924.                                 |
| CELANESE US HOLDINGS 5.875% 6/15/21  | 171.   | 171.                                 |
| CENTENE CORP 5.750% 6/01/17          | 177.   | 177.                                 |
| CENTENE CORP 4.750% 5/15/22          | 250.   | 250.                                 |
| CENTURYLINK INC 7.500% 4/01/24       | 194.   | 194.                                 |
| CHASE ISSUANCE TRUST 1.370% 6/15/21  | 677.   | 677.                                 |
| CHEMOURS CO 6.625% 5/15/23           | 105.   | 105.                                 |
| CHESAPEAKE LODGING TRUST             | 824.   | 733.                                 |
| CHEVRON CORP                         | 3,184.   | 3,184.                               |

FJZ552 5892 09/18/2017 10:13:37

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

=====

| DESCRIPTION<br>-----                 | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|--------------------------------------|--|--------------------------------------|
| DPS CHINA MOBILE LIMITED ADR         | 519.   | 519.                                 |
| CINEMARK USA INC 5.125% 12/15/22     | 234.   | 234.                                 |
| CISCO SYSTEMS INC                    | 17,826.  | 17,826.                              |
| CISCO SYSTEMS INC 4.450% 1/15/20     | 538.   | 538.                                 |
| CITIGROUP INC 4.500% 1/14/22         | 445.   | 445.                                 |
| CITIBANK CREDIT CARD 5.350% 2/07/20  | 3,418.   | 3,418.                               |
| CITIZENS PPTY INS CO 5.000% 6/01/19  | 1,598.   |                                      |
| CLEAN HARBORS INC 5.250% 8/01/20     | 101.   | 101.                                 |
| CLEAR CHANNEL WORLDW 6.500% 11/15/22 | 376.   | 376.                                 |
| COCA COLA CO                         | 413.   | 413.                                 |
| COCA-COLA CO/THE 2.875% 10/27/25     | 240.   | 240.                                 |
| COMCAST CORP CLASS A                 | 4,696.   | 4,696.                               |
| COMERICA INC                         | 3,733.   | 3,733.                               |
| COMPASS GROUP PLC - ADR              | 62.  | 62.                                  |
| COMPUTER PROGRAMS & SYSTEMS INC      | 421.   | 421.                                 |
| CONCHO RESOURCES INC 6.500% 1/15/22  | 60.  | 60.                                  |
| CONNECTICUT ST 4.000% 3/01/17        | 5,072.   |                                      |
| CONNECTICUT ST 5.000% 12/15/16       | 3,061.   |                                      |
| CONNECTICUT ST 5.000% 6/01/16        | 5,117.   |                                      |
| CONNECTICUT ST 5.000% 5/01/16        | 3,914.   |                                      |
| CONNECTICUT ST 5.000% 6/01/16        | 2,659.   |                                      |
| CONNECTICUT ST 4.500% 6/01/22        | 3,277.   |                                      |
| CONNECTICUT ST SPL 4.500% 2/01/16    | 1,761.   |                                      |
| CONSOL ENERGY INC 5.875% 4/15/22     | 282.   | 282.                                 |
| CONSTELLATION BRANDS INC             | 52.  | 52.                                  |
| CONSTELLATION BRANDS 6.000% 5/01/22  | 256.   | 256.                                 |
| CONTINENTAL RESOURCE 5.000% 9/15/22  | 268.   | 268.                                 |
| CONVERGYS CORP                       | 86.  | 86.                                  |
| CORESITE REALTY CORP                 | 1,787.   | 1,787.                               |
| COSTCO WHOLESALE CORP                | 131.   | 131.                                 |
| COSTCO WHOLESALE COR 1.700% 12/15/19 | 517.   | 517.                                 |
| CROWN CASTLE INTL CO 4.875% 4/15/22  | 112.   | 112.                                 |
| CROWN CASTLE INTL CORP               | 2,803.   | 2,512.                               |

FJZ552 5892 09/18/2017 10:13:37

## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION                          | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|--------------------------------------|---|-----------------------------|
| DDR CORP                             | 335.                                    | 155.                        |
| D.R. HORTON INC 5.750% 8/15/23       | 334.                                    | 334.                        |
| D.R. HORTON INC 4.000% 2/15/20       | 47.                                     | 47.                         |
| DST SYS INC COM                      | 196.                                    | 196.                        |
| DAIKIN INDUSTRIES-UNSPONADR ADR      | 365.                                    | 365.                        |
| DAIMLER AG- SPN ADR                  | 489.                                    | 489.                        |
| DANAHER CORP                         | 465.                                    | 465.                        |
| DANONE ADR                           | 297.                                    | 297.                        |
| DASSAULT SYSTEMES S.A. - ADR         | 41.                                     | 41.                         |
| DAVITA INC 5.750% 8/15/22            | 155.                                    | 155.                        |
| DAVITA HEALTHCARE PA 5.125% 7/15/24  | 91.                                     | 91.                         |
| DELTA AIR LINES INC                  | 228.                                    | 228.                        |
| DELUXE CORP                          | 253.                                    | 253.                        |
| DENSO CORPORATION - ADR              | 204.                                    | 204.                        |
| DEUTSCHE BOERSE AG ADR               | 146.                                    | 146.                        |
| DEUTSCHE TELEKOM AG - ADR            | 526.                                    | 526.                        |
| DIAGEO PLC - ADR                     | 102.                                    | 102.                        |
| DIAMONDBACK ENERGY 7.625% 10/01/21   | 144.                                    | 144.                        |
| WALT DISNEY CO                       | 483.                                    | 483.                        |
| WALT DISNEY COMPANY/ 2.300% 2/12/21  | 374.                                    | 374.                        |
| DISH DBS CORP 7.875% 9/01/19         | 291.                                    | 291.                        |
| DISH DBS CORP 5.875% 7/15/22         | 105.                                    | 105.                        |
| DIST OF COLUMBIA INC 5.000% 12/01/17 | 2,064.                                  |                             |
| DOMINION RES INC VA                  | 294.                                    | 294.                        |
| DONALDSON CO INC                     | 287.                                    | 287.                        |
| DOW CHEMICAL CO                      | 1,554.                                  | 1,554.                      |
| DRIEHAUS ACTIVE INCOME FUND          | 7,369.                                  | 7,369.                      |
| DUKE ENERGY HOLDING CORP. COM        | 273.                                    | 273.                        |
| DUKE ENERGY CORP 3.750% 4/15/24      | 885.                                    | 885.                        |
| DYNEGY INC 6.750% 11/01/19           | 302.                                    | 302.                        |
| E M C CORP MASS                      | 6,038.                                  | 6,038.                      |
| ENI SPA - ADR                        | 2,402.                                  | 2,402.                      |
| EPR PROPERTIES                       | 1,823.                                  | 1,690.                      |

FJZ552 5892 09/18/2017 10:13:37

## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION                          | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|--------------------------------------|---|-----------------------------|
| EATON VANCE GLOBAL MACRO - I #0088   | 8,956.                                  | 6,232.                      |
| ECOLAB INC                           | 1,353.                                  | 1,353.                      |
| EL PASO PIPELINE PAR 5.000% 10/01/21 | 173.                                    | 173.                        |
| EMERSON ELECTRIC CO                  | 4,275.                                  | 4,275.                      |
| ENGIE-SPON ADR                       | 1,330.                                  | 1,330.                      |
| EQUINIX INC                          | 1,197.                                  | 1,197.                      |
| EQUINIX INC 5.750% 1/01/25           | 79.                                     | 79.                         |
| EQUITY RESIDENTIAL PPTYS TR SH BEN   | 14.                                     | 14.                         |
| ERICSSON (LM) TEL-SP ADR             | 216.                                    | 216.                        |
| EXPEDIA INC                          | 7.                                      | 7.                          |
| EXPONENT INC                         | 233.                                    | 233.                        |
| EXPRESS SCRIPTS HOLD 2.250% 6/15/19  | 650.                                    | 650.                        |
| EXTRA SPACE STORAGE INC              | 2,385.                                  | 2,385.                      |
| EXXON MOBIL CORPORATION              | 1,143.                                  | 1,143.                      |
| EXXON MOBIL CORPORAT 1.819% 3/15/19  | 364.                                    | 364.                        |
| FACTSET RESH SYS INC COM             | 175.                                    | 175.                        |
| FED HOME LN BK 1.375% 2/18/21        | 880.                                    | 880.                        |
| FED NATL MTG ASSN 1.750% 9/12/19     | 1,351.                                  | 1,351.                      |
| FED NATL MTG ASSN 2.625% 9/06/24     | 965.                                    | 965.                        |
| FED HOME LN MTG CORP 1.375% 5/01/20  | 943.                                    | 943.                        |
| FNMA POOL #AU0920 3.500% 7/01/43     | 1,517.                                  | 1,517.                      |
| FEDERATED INVESTORS INC              | 796.                                    | 796.                        |
| FEDEX CORPORATION                    | 446.                                    | 446.                        |
| FID ADV EMER MKTS INC- CL I #607     | 42,737.                                 | 42,737.                     |
| FIFTH THIRD BANCORP 2.300% 3/01/19   | 332.                                    | 332.                        |
| FIRST INDL RLTY TR INC COM           | 749.                                    | 720.                        |
| FIRST POTOMAC RLTY TR                | 1,002.                                  |                             |
| FOOT LOCKER INC                      | 330.                                    | 330.                        |
| FORD MOTOR COMPANY                   | 220.                                    | 220.                        |
| FORD MOTOR CREDIT CO 5.875% 8/02/21  | 824.                                    | 824.                        |
| FORTIVE CORP                         | 42.                                     | 42.                         |
| FULLER H B CO                        | 92.                                     | 92.                         |
| GEA GROUP AG ADR                     | 115.                                    | 115.                        |

FJZ552 5892 09/18/2017 10:13:37

## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

=====

| DESCRIPTION<br>-----                 | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|--------------------------------------|--|--------------------------------------|
| GEO GROUP INC/THE                    | 2,135.   | 1,665.                               |
| GLP CAPITAL LP / FIN 4.875% 11/01/20 | 183.   | 183.                                 |
| GENERAL ELECTRIC CO                  | 35,616.  | 35,616.                              |
| GENERAL ELECTRIC CO 2.700% 10/09/22  | 756.   | 756.                                 |
| GENERAL GROWTH PROPERTIE-W/I         | 2,118.   | 2,118.                               |
| GENERAL MOTORS CO                    | 694.   | 694.                                 |
| GENERAL MOTORS FINL 3.250% 5/15/18   | 173.   | 173.                                 |
| GENERAL MOTORS FINL 4.250% 5/15/23   | 245.   | 245.                                 |
| GILEAD SCIENCES INC                  | 8,592.   | 8,592.                               |
| GILEAD SCIENCES INC 2.550% 9/01/20   | 464.   | 464.                                 |
| GLAXOSMITHKLINE PLC - ADR            | 767.   | 767.                                 |
| GOLDMAN SACHS GROUP INC              | 2,145.   | 2,145.                               |
| GOLDMAN SACHS GROUP 5.750% 1/24/22   | 1,086.   | 1,086.                               |
| GOODYEAR TIRE & RUBB 7.000% 5/15/22  | 314.   | 314.                                 |
| GRACO INC                            | 350.   | 350.                                 |
| GRAPHIC PACKAGING IN 4.750% 4/15/21  | 178.   | 178.                                 |
| HCA INC 3.750% 3/15/19               | 118.   | 118.                                 |
| HCA INC 5.000% 3/15/24               | 301.   | 301.                                 |
| HCP INC                              | 15,211.  | 2,864.                               |
| HDFC BANK LTD. - ADR                 | 42.  | 42.                                  |
| HSBC - ADR                           | 26,690.  | 26,690.                              |
| HALLIBURTON CO                       | 579.   | 579.                                 |
| HASBRO INC                           | 44.  | 44.                                  |
| HENRY JACK & ASSOC INC COM           | 271.   | 271.                                 |
| HERTZ CORP 6.750% 4/15/19            | 263.   | 263.                                 |
| HITACHI LIMITED - ADR                | 224.   | 224.                                 |
| HOME DEPOT INC                       | 5,435.   | 5,435.                               |
| HOME DEPOT INC 2.000% 4/01/21        | 631.   | 631.                                 |
| HONDA MOTOR CO., LTD. - ADR          | 623.   | 623.                                 |
| HOST HOTELS & RESORTS, INC.          | 1,134.   | 1,134.                               |
| HUNTINGTON BANCSHARES INC            | 209.   | 209.                                 |
| ILG INC                              | 199.   | 199.                                 |
| ISTAR FINANCIAL INC 5.000% 7/01/19   | 77.  | 77.                                  |
| FUZ552 5892 09/18/2017 10:13:37      |  |                                      |



FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

=====

| DESCRIPTION<br>-----                | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|-------------------------------------|--|--------------------------------------|
| ISTAR FINANCIAL INC 4.000% 11/01/17 | 186.   | 186.                                 |
| ISTAR INC 6.500% 7/01/21            | 107.   | 107.                                 |
| IBERDROLA S.A.ADA ADR               | 926.   | 926.                                 |
| ICAHN ENTERPRISES/FI 6.000% 8/01/20 | 139.   | 139.                                 |
| INGREDION INC                       | 158.   | 158.                                 |
| INTEL CORP                          | 839.   | 839.                                 |
| INTER PARFUMS INC                   | 120.   | 120.                                 |
| INTERNATIONAL BUSINESS MACHS CORP   | 11,070.  | 11,070.                              |
| INTL LEASE FINANCE 8.250% 12/15/20  | 987.   | 987.                                 |
| INTERVAL LEISURE GROUP INC          | 199.   | 199.                                 |
| INTESA SANPAOLO-SPON ADR            | 496.   | 496.                                 |
| INTUIT COM                          | 7,200.   | 7,200.                               |
| IRON MOUNTAIN INC 5.750% 8/15/24    | 148.   | 148.                                 |
| ISHARES SELECT DIVIDEND ETF         | 29,349.  | 29,349.                              |
| ISHARES RUSSELL MID-CAP ETF         | 8,978.   | 8,978.                               |
| ISHARES RUSSELL 2000 ETF            | 4,477.   | 4,477.                               |
| ISHARES FLOATING RATE BOND ETF      | 513.   | 513.                                 |
| JPMORGAN CHASE & CO                 | 4,052.   | 4,052.                               |
| JPMORGAN CHASE & CO 2.250% 1/23/20  | 440.   | 440.                                 |
| JABIL CIRCUIT INC COM               | 210.   |                                      |
| JPMBB COMMERCIAL MO 3.0456% 4/15/47 | 1,870.   | 1,870.                               |
| JOHNSON & JOHNSON                   | 27,356.  | 27,356.                              |
| KBC GROEP NV-UNSP ADR               | 445.   | 445.                                 |
| KLA-TENCOR CORP COM                 | 1,872.   | 1,872.                               |
| KAO CORP ADR                        | 52.  | 52.                                  |
| KDDI CORP-UNSPONSORED ADR           | 581.   | 581.                                 |
| KILROY REALTY CORP COM              | 512.   | 512.                                 |
| KIMBERLY CLARK CORP COM             | 5,520.   | 5,520.                               |
| KIMCO RLTY CORP                     | 1,421.   | 1,269.                               |
| KINDRED HEALTHCARE 8.750% 1/15/23   | 122.   | 122.                                 |
| KONINKLIJKE AHOND-SP ADR            | 498.   | 498.                                 |
| PHILIPS ELECTRONICS - NY SHR ADR    | 348.   | 348.                                 |
| KROGER CO                           | 197.   | 197.                                 |

FJZ552 5892 09/18/2017 10:13:37

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION<br>-----                 | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|--------------------------------------|--|--------------------------------------|
| KUBOTA LIMITED - ADR                 | 49.  | 49.                                  |
| LKQ CORP 4.750% 5/15/23              | 125.   | 125.                                 |
| L'OREAL - ADR                        | 183.   | 183.                                 |
| LVMH MOET HENNESSY UNSP ADR - ADR    | 691.   | 691.                                 |
| LAMAR MEDIA CORP 5.000% 5/01/23      | 254.   | 254.                                 |
| LANDSTAR SYS INC COM                 | 83.  | 83.                                  |
| LAS VEGAS SANDS CORP                 | 731.   | 731.                                 |
| LASALLE HOTEL PROPERTIES COM         | 661.   | 661.                                 |
| LEAR CORP                            | 156.   | 156.                                 |
| LEAR CORP 5.250% 1/15/25             | 309.   | 309.                                 |
| LENNAR CORP 4.500% 6/15/19           | 307.   | 307.                                 |
| LENNAR CORP 4.750% 5/30/25           | 308.   | 308.                                 |
| LENNOX INTERNATIONAL INC             | 45.  | 45.                                  |
| LEUCADIA NATIONAL CO 5.500% 10/18/23 | 211.   | 211.                                 |
| LEVEL 3 FINANCING IN 5.375% 5/01/25  | 141.   | 141.                                 |
| LEVEL 3 COMMUNICATIO 5.750% 12/01/22 | 212.   | 212.                                 |
| LIFEPOINT HEALTH INC 5.875% 12/01/23 | 132.   | 132.                                 |
| ELI LILLY & CO COM                   | 44.  | 44.                                  |
| LINCOLN NATL CORP IND                | 182.   | 182.                                 |
| LINEAR TECHNOLOGY CORP               | 321.   | 321.                                 |
| LLOYDS BANKING GROUP PLC - ADR       | 1,150.   | 1,150.                               |
| LOCKHEED MARTIN CORP                 | 359.   | 359.                                 |
| LOCKHEED MARTIN CORP 2.500% 11/23/20 | 819.   | 819.                                 |
| LOWES COS INC                        | 267.   | 267.                                 |
| M & T BANK CORPORATION COM           | 7,350.   | 7,350.                               |
| MGM RESORTS INTL 6.750% 10/01/20     | 504.   | 504.                                 |
| MANPOWERGROUP INC                    | 189.   | 189.                                 |
| MARKETAXESS HLDGS INC                | 178.   | 178.                                 |
| MARSH & MCLENNAN COS INC             | 1,240.   | 1,240.                               |
| MARRIOTT INTERNATIONAL INC CLASS A   | 230.   | 230.                                 |
| MASCO CORP 5.950% 3/15/22            | 177.   | 177.                                 |
| MASTERCARD INC                       | 97.  | 97.                                  |
| MCDONALDS CORP                       | 96.  | 96.                                  |

FJZ552 5892 09/18/2017 10:13:37

## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

=====

| DESCRIPTION<br>-----                 | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|--------------------------------------|--|--------------------------------------|
| MCKESSON CORP                        | 33.  | 33.                                  |
| MEDICAL PPTYS TR INC                 | 1,115.   | 866.                                 |
| MEDTRONIC INC 2.500% 3/15/20         | 653.   | 653.                                 |
| MERCK & CO INC NEW                   | 430.   | 430.                                 |
| MERCK & CO INC 2.800% 5/18/23        | 918.   | 918.                                 |
| METROPOLITAN ATLANTA 5.000% 7/01/18  | 1,551.   |                                      |
| MICROSOFT CORP                       | 27,205.  | 27,205.                              |
| MICROSOFT CORP 3.125% 11/03/25       | 838.   | 838.                                 |
| MID AMERICA APARTMENT COM            | 1,922.   | 1,922.                               |
| MINERALS TECHNOLOGIES INC COM        | 47.  | 47.                                  |
| MITSUBISHI UFJ FINL GROUP INC ADR    | 672.   | 672.                                 |
| MONDELEZ INTERNATIONAL INC           | 4,412.   | 882.                                 |
| MONSANTO CO NEW                      | 2,810.   | 2,810.                               |
| MORGAN STANLEY                       | 34.  | 34.                                  |
| MORGAN STANLEY 3.875% 4/29/24        | 835.   | 835.                                 |
| NRG ENERGY INC 7.625% 1/15/18        | 126.   | 126.                                 |
| NRG ENERGY INC 6.625% 3/15/23        | 206.   | 206.                                 |
| NTT DOCOMO, INC. - ADR               | 625.   | 625.                                 |
| NATIONAL GRID PLC ADR                | 507.   | 507.                                 |
| NATIONAL RETAIL PPTYS INC            | 1,515.   | 1,289.                               |
| NATIONSTAR MORT/CAP 9.625% 5/01/19   | 333.   | 333.                                 |
| NATIONSTAR MORT/CAP 6.500% 7/01/21   | 120.   | 120.                                 |
| NATIONSTAR MORT/CAP 6.500% 8/01/18   | 70.  | 70.                                  |
| NESTLE S.A. REGISTERED SHARES - ADR  | 1,689.   | 1,689.                               |
| NEW YORK N Y CITY TR 5.000% 11/01/18 | 1,604.   |                                      |
| NEXTERA ENERGY INC                   | 324.   | 324.                                 |
| NIKE INC CL B                        | 71.  | 71.                                  |
| NOBLE ENERGY INC                     | 220.   | 220.                                 |
| NORFOLK SOUTHERN CORP                | 1,239.   | 1,239.                               |
| NORTHROP GRUMMAN CORP                | 268.   | 268.                                 |
| NOVO NORDISK A/S - ADR               | 169.   | 169.                                 |
| NVIDIA CORP                          | 271.   | 108.                                 |
| ORACLE CORPORATION                   | 1,388.   | 1,388.                               |

FJZ552 5892 09/18/2017 10:13:37

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION                         | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|-------------------------------------|---|-----------------------------|
| ORACLE CORP 2.950% 5/15/25          | 797.                                    | 797.                        |
| OPPENHEIMER DEVELOPING MKT-I #799   | 12,467.                                 | 12,467.                     |
| ORBITAL ATK INC                     | 76.                                     | 76.                         |
| OUTFRONT MEDIA INC                  | 2,143.                                  | 2,143.                      |
| PIMCO FOREIGN BD FD USD H-INST #103 | 4,636.                                  | 4,543.                      |
| PNC BANK NA 2.150% 4/29/21          | 572.                                    | 572.                        |
| PVH CORP 4.500% 12/15/22            | 295.                                    | 295.                        |
| PEPSICO INC 2.250% 1/07/19          | 533.                                    | 533.                        |
| PFIZER INC                          | 10,019.                                 | 10,019.                     |
| PHILIP MORRIS INTERNATIONAL IN      | 17,610.                                 | 17,610.                     |
| PHILIP MORRIS INTL 5.650% 5/16/18   | 1,609.                                  | 1,609.                      |
| PIEDMONT OFFICE REALTY TRU-A        | 754.                                    | 617.                        |
| PIMCO ENHANCED SHORT MATURITY       | 2,289.                                  | 2,289.                      |
| PINNACLE FOODS INC                  | 115.                                    | 115.                        |
| POLARIS INDS INC COM                | 333.                                    | 333.                        |
| POOL CORPORATION                    | 203.                                    | 203.                        |
| POST HOLDINGS INC 7.375% 2/15/22    | 170.                                    | 170.                        |
| PRICESMART INC                      | 96.                                     | 75.                         |
| PRIMERICA INC                       | 468.                                    | 468.                        |
| PRINCIPAL FINANCIAL 3.125% 5/15/23  | 245.                                    | 245.                        |
| PROCTER & GAMBLE CO                 | 21,493.                                 | 21,493.                     |
| PROLOGIS INC                        | 1,391.                                  | 1,391.                      |
| PRUDENTIAL FINL INC                 | 545.                                    | 545.                        |
| PRUDENTIAL PLC - ADR                | 359.                                    | 359.                        |
| PUBLIC SVC ENTERPRISE GROUP INC     | 292.                                    | 292.                        |
| PUBLIC STORAGE INC COM              | 737.                                    | 737.                        |
| PULTEGROUP INC 5.500% 3/01/26       | 187.                                    | 187.                        |
| QBE INSURANCE GROUP-SPN ADR         | 448.                                    | 448.                        |
| QUALCOMM INC                        | 9,581.                                  | 9,581.                      |
| RLI CORP COM                        | 932.                                    | 932.                        |
| RLJ LODGING TRUST                   | 1,267.                                  | 1,267.                      |
| RADIAN GROUP INC 5.500% 6/01/19     | 240.                                    | 240.                        |
| RADIAN GROUP INC 7.000% 3/15/21     | 191.                                    | 191.                        |

FJZ552 5892 09/18/2017 10:13:37

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION                          | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|--------------------------------------|---|-----------------------------|
| RAMCO-GERSHENSON PPTYS TR COM        | 805.                                    | 805.                        |
| RANGE RESOURCES CORP 5.000% 3/15/23  | 101.                                    | 101.                        |
| RECKITT BENCKIS/S ADR                | 637.                                    | 637.                        |
| REINSURANCE GROUP AMER CLASS A NEW   | 106.                                    | 106.                        |
| RELX NV ADR                          | 445.                                    | 445.                        |
| REPUBLIC SERVICES INC CL A COMM      | 900.                                    | 900.                        |
| RICE ENERGY INC 6.250% 5/01/22       | 210.                                    | 210.                        |
| RIO TINTO PLC - ADR                  | 350.                                    | 350.                        |
| RITE AID CORP 6.750% 6/15/21         | 307.                                    | 307.                        |
| ROYAL BANK OF CANADA 1.625% 4/15/19  | 390.                                    | 390.                        |
| ROYAL CARIBBEAN CRUI 5.250% 11/15/22 | 254.                                    | 254.                        |
| ROYAL DUTCH SHELL PLC ADR            | 1,807.                                  | 1,807.                      |
| ROYAL DUTCH SHELL PLC ADR            | 9,968.                                  | 9,968.                      |
| RYDER SYSTEM INC 2.500% 3/01/17      | 823.                                    | 823.                        |
| SBA TELECOMMUNICATIO 5.750% 7/15/20  | 133.                                    | 133.                        |
| S&P GLOBAL INC                       | 81.                                     | 81.                         |
| SLM CORP 5.500% 1/15/19              | 108.                                    | 108.                        |
| SPDR S & P 500 ETF TRUST             | 10,299.                                 | 10,299.                     |
| SABINE PASS LIQUEFAC 5.625% 3/01/25  | 204.                                    | 204.                        |
| SABRA HEALTH CARE REIT -             | 1,494.                                  | 629.                        |
| VR SACRAMENTO CNTY 0.975% 6/01/34    | 10,429.                                 |                             |
| SALLY HOLDINGS/SALLY 5.750% 6/01/22  | 341.                                    | 341.                        |
| SALT RIVER PROJ ARIZ 5.000% 12/01/18 | 1,445.                                  |                             |
| SANOFI-ADR                           | 916.                                    | 916.                        |
| SAP SE                               | 316.                                    | 316.                        |
| SCHLUMBERGER LTD                     | 3,751.                                  | 3,751.                      |
| SCHNEIDER ELECTRIC SE - ADR          | 428.                                    | 428.                        |
| SCHWAB CHARLES CORP NEW              | 494.                                    | 494.                        |
| AMEX ENERGY SELECT SPDR              | 1,778.                                  | 1,778.                      |
| SERVISFIRST BANCSHARES INC           | 38.                                     | 38.                         |
| SEVEN & I HOLDINGS CO., LTD ADR      | 199.                                    | 199.                        |
| SHIRE PLC ADR                        | 10.                                     | 10.                         |
| SIMON PROPERTY GROUP INC             | 3,940.                                  | 3,940.                      |

FJZ552 5892 09/18/2017 10:13:37

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION                          | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|--------------------------------------|---|-----------------------------|
| SINGAPORE TELECOMMUNICATIONS LTD ADR | 804.                                    | 804.                        |
| SKYWORKS SOLUTIONS INC               | 35.                                     | 35.                         |
| SMUCKER (J.M.) CO 3.500% 10/15/21    | 826.                                    | 826.                        |
| SOFTBANK GROUP CORP-UNSPON ADR       | 80.                                     | 80.                         |
| SOUTHERN CALIF PUB 5.000% 7/01/23    | 1,399.                                  |                             |
| SOUTHWEST AIRLINES CO                | 45.                                     | 45.                         |
| SOUTHWESTERN ENERGY 4.050% 1/23/20   | 86.                                     | 86.                         |
| SPRINGLEAF FINANCE 8.250% 12/15/20   | 223.                                    | 223.                        |
| SPRINT CAP CORP 6.875% 11/15/28      | 23.                                     | 23.                         |
| SPRINT CAP CORP 6.900% 5/01/19       | 109.                                    | 109.                        |
| SPRINT NEXTEL CORP 11.500% 11/15/21  | 267.                                    | 267.                        |
| SPRINT NEXTEL CORP 6.000% 11/15/22   | 185.                                    | 185.                        |
| STAG INDUSTRIAL INC                  | 1,010.                                  | 686.                        |
| STANDARD PACIFIC COR 8.375% 5/15/18  | 411.                                    | 411.                        |
| STANLEY BLACK & DECKER, INC.         | 187.                                    | 187.                        |
| STARBUCKS CORP COM                   | 234.                                    | 234.                        |
| STATE STREET CORP 2.650% 5/19/26     | 225.                                    | 225.                        |
| STEEL DYNAMICS INC 5.250% 4/15/23    | 247.                                    | 247.                        |
| SUMITOMO TRUST AND BANKING ADR       | 976.                                    | 976.                        |
| SUNCOR ENERGY INC NEW F              | 330.                                    | 330.                        |
| SUNTRUST BANKS INC                   | 396.                                    | 396.                        |
| SUNTRUST BANKS INC 2.900% 3/03/21    | 761.                                    | 761.                        |
| SYMRISE AG ADR                       | 134.                                    | 134.                        |
| SYNGENTA AG - ADR                    | 363.                                    | 363.                        |
| SYSCO CORP                           | 125.                                    | 125.                        |
| TJX COMPANIES INC                    | 269.                                    | 269.                        |
| T-MOBILE USA INC 6.542% 4/28/20      | 106.                                    | 106.                        |
| T-MOBILE USA INC 6.125% 1/15/22      | 93.                                     | 93.                         |
| TAIWAN SEMICONDUCTOR MANUFACTU - ADR | 1,103.                                  | 1,103.                      |
| TAKEDA PHARMACEUTIC-SP ADR           | 1,421.                                  | 1,421.                      |
| TAMPA FLA 5.000% 11/15/16            | 4,630.                                  |                             |
| TANGER FACTORY OUTLET CTR            | 126.                                    | 126.                        |
| TARGA RESOURCES PART 5.250% 5/01/23  | 27.                                     | 27.                         |
| FJZ552 5892 09/18/2017 10:13:37      |   |                             |

## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION                          | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|--------------------------------------|---|-----------------------------|
| TARGET CORP                          | 2,922.                                  | 2,922.                      |
| TECHNIP - ADR                        | 326.                                    | 326.                        |
| TELEFONICA SA - ADR                  | 2,167.                                  | 2,167.                      |
| TELENOR ASA - ADR                    | 365.                                    | 365.                        |
| TELIA CO-UNSPON ADR                  | 1,813.                                  | 1,813.                      |
| TELSTRA CORP-ADR                     | 492.                                    | 492.                        |
| TEMPUR SEALY INTL IN 5.500% 6/15/26  | 91.                                     | 91.                         |
| TENARIS S.A. - ADR                   | 214.                                    | 214.                        |
| TENET HEALTHCARE COR 4.750% 6/01/20  | 302.                                    | 302.                        |
| TENET HEALTHCARE COR 8.125% 4/01/22  | 424.                                    | 424.                        |
| TERADYNE INC                         | 29.                                     | 29.                         |
| TESORO LOGISTICS LP/ 6.125% 10/15/21 | 680.                                    | 680.                        |
| 3M CO                                | 1,770.                                  | 1,770.                      |
| TIFFANY & CO NEW                     | 960.                                    | 960.                        |
| TIME WARNER INC                      | 172.                                    | 172.                        |
| TIME WARNER CABLE INC                | 563.                                    | 563.                        |
| TOKIO MARINE HOLDINGS INC ADR        | 1,413.                                  | 1,413.                      |
| TOKYO ELECTRON LTD-UNSP ADR          | 412.                                    | 412.                        |
| TORO CO                              | 284.                                    | 284.                        |
| TORONTO DOMINION BK ONT COM NEW      | 376.                                    | 376.                        |
| TOTAL S.A. - ADR                     | 1,038.                                  | 1,038.                      |
| TOYOTA MOTOR CORPORATION - ADR       | 469.                                    | 469.                        |
| TRANSDIGM INC 5.500% 10/15/20        | 233.                                    | 233.                        |
| E-TRACS ALERIAN MLP INFRASTRUCTURE   | 19,578.                                 | 19,578.                     |
| UGI CORP NEW COM                     | 97.                                     | 97.                         |
| US BANCORP                           | 18,214.                                 | 18,214.                     |
| UNILEVER PLC - ADR                   | 916.                                    | 916.                        |
| UNILEVER N.V. - ADR                  | 392.                                    | 392.                        |
| UNION PACIFIC CORP                   | 992.                                    | 992.                        |
| UNITED OVERSEAS BANK LIMITED - ADR   | 826.                                    | 826.                        |
| UNITED RENTALS NORTH 5.750% 11/15/24 | 347.                                    | 347.                        |
| US TREASURY NOTE 1.000% 3/15/18      | 389.                                    | 389.                        |
| US TREASURY NOTE 1.000% 9/15/18      | 448.                                    | 448.                        |

FJZ552 5892 09/18/2017 10:13:37

## FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

=====

| DESCRIPTION                        |                 | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS | NET<br>INVESTMENT<br>INCOME |
|------------------------------------|-----------------|---|-----------------------------|
| -----                              |                 | -----                                   | -----                       |
| US TREASURY NOTE                   | 1.750% 9/30/22  | 1,042.                                  | 1,042.                      |
| US TREASURY NOTE                   | 2.250% 11/15/25 | 1,272.                                  | 1,272.                      |
| US TREASURY NOTE                   | 1.500% 2/28/23  | 543.                                    | 543.                        |
| US TREASURY NOTE                   | 1.125% 2/28/21  | 407.                                    | 407.                        |
| US TREASURY NOTE                   | 1.625% 5/15/26  | 829.                                    | 829.                        |
| US TREASURY NOTE                   | 0.875% 5/15/19  | 214.                                    | 214.                        |
| US TREASURY NOTE                   | 2.125% 8/31/20  | 591.                                    | 591.                        |
| US TREASURY NOTE                   | 2.750% 11/15/23 | 883.                                    | 883.                        |
| US TREASURY NOTE                   | 1.750% 4/30/22  | 861.                                    | 861.                        |
| UNITED TECHNOLOGIES CORP           |                 | 3,734.                                  | 3,734.                      |
| UNITEDHEALTH GROUP INC             |                 | 2,872.                                  | 2,872.                      |
| UNITEDHEALTH GROUP                 | 3.350% 7/15/22  | 309.                                    | 309.                        |
| UNIV OF ILLINOIS IL                | 5.250% 10/01/24 | 5,666.                                  | 6,099.                      |
| UNIV OF ILLINOIS IL                | 5.250% 10/01/24 | 2,440.                                  | 2,826.                      |
| VALERO ENERGY CORP                 |                 | 523.                                    | 523.                        |
| VANGUARD FTSE EMERGING MARKETS ETF |                 | 9,269.                                  | 9,269.                      |
| VENTAS INC COM                     |                 | 1,571.                                  | 1,571.                      |
| VENTAS REALTY LP/CAP               | 2.700% 4/01/20  | 503.                                    | 503.                        |
| VANGUARD REIT VIPER                |                 | 9,520.                                  | 6,564.                      |
| VEREIT OPERATING PAR               | 4.875% 6/01/26  | 422.                                    | 422.                        |
| VERISIGN INC                       | 4.625% 5/01/23  | 249.                                    | 249.                        |
| VERIZON COMMUNICATIONS             |                 | 17,197.                                 | 17,197.                     |
| VERIZON COMMUNICATIO               | 5.150% 9/15/23  | 1,327.                                  | 1,327.                      |
| VISA INC-CLASS A SHRS              |                 | 679.                                    | 679.                        |
| VISA INC                           | 3.150% 12/14/25 | 1,033.                                  | 1,033.                      |
| VODAFONE GROUP PLC-SP ADR          |                 | 358.                                    | 358.                        |
| VODAFONE GROUP PLC                 | 1.500% 2/19/18  | 494.                                    | 494.                        |
| WPP PLC NEW ADR                    |                 | 655.                                    | 655.                        |
| WESTERN REFNG INC                  |                 | 130.                                    | 130.                        |
| WESTPAC BANKING CORPORATION - ADR  |                 | 256.                                    | 256.                        |
| WESTPAC BANKING CORP               | 2.600% 11/23/20 | 743.                                    | 743.                        |
| WHITING PETROLEUM CO               | 5.000% 3/15/19  | 12.                                     | 12.                         |
| WILLIAMS SONOMA INC                |                 | 171.                                    | 171.                        |

FJZ552 5892 09/18/2017 10:13:37



SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES  
=====

| DESCRIPTION<br>-----               | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|------------------------------------|--|--------------------------------------|
| WISCONSIN ST HLTH & 4.500% 8/15/17 | 8,435.   | 9,188.                               |
| WOLSELEY PLC ADR                   | 154.   | 154.                                 |
| ZAYO GROUP LLC/ZAYO 6.000% 4/01/23 | 231.   | 231.                                 |
| ZURICH INSURANCE GROUP-ADR         | 1,740.   | 1,740.                               |
| ACCENTURE PLC                      | 770.   | 770.                                 |
| COCA-COLA EUROPEAN PARTNERS        | 55.  | 55.                                  |
| EATON CORP PLC                     | 3,675.   |                                      |
| XL GROUP PLC                       | 2,600.   | 2,600.                               |
| UBS GROUP AG                       | 716.   | 716.                                 |
| CORE LABORATORIES N V COM          | 423.   | 423.                                 |
| LYONDELLBASELL INDU-CL A           | 345.   | 345.                                 |
|                                    | -----  | -----                                |
| TOTAL                              | 887,230.   | 807,649.                             |
|                                    | =====  | =====                                |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART I - OTHER INCOME

=====

| DESCRIPTION<br>-----  | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|-----------------------|--|--------------------------------------|
| INVESTMENT FEE REBATE | 3,193.   | 3,193.                               |
| TOTALS                | -----<br>3,193.<br>-----                         | -----<br>3,193.<br>-----             |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART I - ACCOUNTING FEES  
=====

| DESCRIPTION<br>-----           | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- | ADJUSTED<br>NET<br>INCOME<br>----- | CHARITABLE<br>PURPOSES<br>----- |
|--------------------------------|--|--------------------------------------|------------------------------------|---------------------------------|
| TAX PREPARATION FEE (NON-ALLOC | 2,200.   |                                      |                                    | 2,200.                          |
| TOTALS                         | 2,200.   | NONE                                 | NONE                               | 2,200.                          |

=====

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART I - OTHER PROFESSIONAL FEES  
=====

| DESCRIPTION<br>-----           | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|--------------------------------|--|--------------------------------------|
| INVESTMENT MGMT FEES-SUBJECT T | 9,443.   | 9,443.                               |
| TOTALS                         | -----<br>9,443.<br>=====                         | -----<br>9,443.<br>=====             |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART I - TAXES  
=====

| DESCRIPTION<br>-----           | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|--------------------------------|--|--------------------------------------|
| FOREIGN TAXES                  | 9,733.   | 9,733.                               |
| FEDERAL TAX PAYMENT - PRIOR YE | 80.  |                                      |
| FEDERAL ESTIMATES - PRINCIPAL  | 254,489.   |                                      |
| FOREIGN TAXES ON QUALIFIED FOR | 2,951.   | 2,951.                               |
| FOREIGN TAXES ON NONQUALIFIED  | 833.   | 833.                                 |
|                                | -----  | -----                                |
| TOTALS                         | 268,086.   | 13,517.                              |
|                                | =====  | =====                                |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART I - OTHER EXPENSES  
=====

| DESCRIPTION<br>----- | REVENUE<br>AND<br>EXPENSES<br>PER BOOKS<br>----- | NET<br>INVESTMENT<br>INCOME<br>----- |
|----------------------|--|--------------------------------------|
| ADR FEES             | 1,836.   | 1,836.                               |
| TOTALS               | -----<br>1,836.<br>=====                         | -----<br>1,836.<br>=====             |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONS  
=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 176553FX8 CITIZENS PPTY INS CO | 52,023.                          |                               |                      |
| 20772G3R7 CONNECTICUT ST       | 127,811.                         |                               |                      |
| 20772GPY8 CONNECTICUT ST       | 50,996.                          |                               |                      |
| 20772GSF6 CONNECTICUT ST       | 120,558.                         |                               |                      |
| 20772GXH6 CONNECTICUT ST       | 100,746.                         |                               |                      |
| 20772GYE2 CONNECTICUT ST       | 75,711.                          |                               |                      |
| 20772GYR3 CONNECTICUT ST       | 145,754.                         |                               |                      |
| 207758FE8 CONNECTICUT ST SPL   | 85,152.                          |                               |                      |
| 25477GDR3 DIST OF COLUMBIA INC | 78,600.                          |                               |                      |
| 591745ZR8 METROPOLITAN ATLANTA | 51,887.                          |                               |                      |
| 64971QCR2 NEW YORK N Y CITY TR | 53,884.                          |                               |                      |
| 78615RCU5 VR SACRAMENTO CNTY   | 39,411.                          |                               |                      |
| 79575DG79 SALT RIVER PROJ ARIZ | 70,266.                          |                               |                      |
| 84247PDR9 SOUTHERN CALIF PUB   | 56,390.                          | 108,676.                      | 110,207.             |
| 87515EAN4 TAMPA FLA            | 66,033.                          |                               |                      |
| 914325CL7 UNIV OF ILLINOIS IL  | 106,286.                         |                               |                      |
| 914325CU7 UNIV OF ILLINOIS IL  | 46,591.                          |                               |                      |
| 97710BCC4 WISCONSIN ST HLTH &  | 152,108.                         |                               |                      |
| 3135G0ZR7 FED NATL MTG ASSN    |                                  | 105,590.                      | 100,968.             |
| 3137EADR7 FED HOME LN MTG CORP |                                  | 50,341.                       | 49,613.              |
| 3138X0AW8 FNMA POOL #AU0920    |                                  | 78,441.                       | 77,042.              |
| 912828J68 US TREASURY NOTE     |                                  | 215,927.                      | 215,101.             |
| 912828L40 US TREASURY NOTE     |                                  | 200,753.                      | 199,578.             |
| 912828L57 US TREASURY NOTE     |                                  | 152,012.                      | 147,159.             |
| 912828P79 US TREASURY NOTE     |                                  | 99,828.                       | 96,180.              |
| 912828P87 US TREASURY NOTE     |                                  | 99,617.                       | 97,301.              |
| 912828R36 US TREASURY NOTE     |                                  | 49,152.                       | 46,625.              |
| 912828R44 US TREASURY NOTE     |                                  | 49,799.                       | 49,522.              |
| 912828T83 US TREASURY NOTE     |                                  | 119,405.                      | 119,137.             |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONS

=====

| DESCRIPTION<br>-----       | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>---         |
|----------------------------|----------------------------------|-------------------------------|------------------------------|
| 912828VV9 US TREASURY NOTE |                                  | 212,962.                      | 208,315.                     |
| 912828WE6 US TREASURY NOTE |                                  | 103,113.                      | 98,132.                      |
| 912828WZ9 US TREASURY NOTE |                                  | 101,395.                      | 98,613.                      |
| TOTALS                     | -----<br>1,480,207.<br>=====     | -----<br>1,747,011.<br>=====  | -----<br>1,713,493.<br>===== |



SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION                    | BEGINNING<br>BOOK VALUE | ENDING<br>BOOK VALUE | ENDING<br>FMV |
|--------------------------------|-------------------------|----------------------|---------------|
| 02079K107 ALPHABET INC CL C    | 38,668.                 | 146,970.             | 262,419.      |
| 02079K305 ALPHABET INC CL A    | 38,898.                 | 70,145.              | 69,736.       |
| 02209S103 ALTRIA GROUP INC     | 143,475.                |                      |               |
| 03027X100 AMERICAN TOWER CORP  | 38,136.                 | 118,209.             | 118,045.      |
| 031162100 AMGEN INC            | 158,716.                |                      |               |
| 037833100 APPLE INC            | 140,906.                | 325,737.             | 444,980.      |
| 053015103 AUTOMATIC DATA PROCE | 114,223.                |                      |               |
| 084670108 BERKSHIRE HATHAWAY I | 115,986.                | 115,986.             | 244,121.      |
| 09247X101 BLACKROCK INC        | 34,292.                 | 72,455.              | 152,216.      |
| 110122108 BRISTOL MYERS SQUIBB | 81,034.                 | 55,954.              | 57,096.       |
| 126408103 CSX CORP             | 222,726.                |                      |               |
| 149123101 CATERPILLAR INC      | 18,813.                 |                      |               |
| 156782104 CERNER CORP COM      | 101,499.                |                      |               |
| 166764100 CHEVRON CORP         | 25,844.                 | 66,332.              | 76,858.       |
| 17275R102 CISCO SYSTEMS INC    | 234,500.                | 144,833.             | 217,644.      |
| 20030N101 COMCAST CORP CLASS A | 54,456.                 | 108,912.             | 331,440.      |
| 200340107 COMERICA INC         | 153,635.                |                      |               |
| 235851102 DANAHER CORP         | 27,846.                 |                      |               |
| 254687106 WALT DISNEY CO       | 10,917.                 | 21,833.              | 62,532.       |
| 260543103 DOW CHEMICAL CO      | 11,934.                 | 23,862.              | 45,776.       |
| 268648102 E M C CORP MASS      | 407,925.                |                      |               |
| 278865100 ECOLAB INC           | 33,375.                 |                      |               |
| 291011104 EMERSON ELECTRIC CO  | 87,644.                 |                      |               |
| 30303M102 FACEBOOK INC         | 21,268.                 | 117,972.             | 110,448.      |
| 31428X106 FEDEX CORPORATION    | 18,668.                 | 40,461.              | 41,709.       |
| 369604103 GENERAL ELECTRIC CO  | 509,127.                |                      |               |
| 375558103 GILEAD SCIENCES INC  | 79,527.                 | 34,627.              | 104,909.      |
| 38141G104 GOLDMAN SACHS GROUP  | 51,418.                 | 47,876.              | 60,341.       |
| 404280406 HSBC - ADR           | 253,428.                |                      |               |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 406216101 HALLIBURTON CO       | 40,159.                          | 39,235.                       | 43,867.              |
| 40650V100 HALYARD HEALTH INC   | 4,399.                           |                               |                      |
| 437076102 HOME DEPOT INC       | 44,352.                          | 49,941.                       | 102,035.             |
| 45104G104 ICICI BANK LTD. - AD | 42,799.                          |                               |                      |
| 459200101 INTERNATIONAL BUSINE | 394,492.                         |                               |                      |
| 461202103 INTUIT COM           | 425,240.                         |                               |                      |
| 46625H100 JPMORGAN CHASE & CO  | 36,179.                          | 118,597.                      | 243,942.             |
| 478160104 JOHNSON & JOHNSON    | 384,030.                         | 82,592.                       | 139,519.             |
| 482480100 KLA-TENCOR CORP COM  | 40,055.                          |                               |                      |
| 494368103 KIMBERLY CLARK CORP  | 101,810.                         |                               |                      |
| 55261F104 M & T BANK CORPORATI | 377,790.                         |                               |                      |
| 571748102 MARSH & MCLENNAN COS | 30,705.                          |                               |                      |
| 594918104 MICROSOFT CORP       | 279,718.                         | 245,367.                      | 450,080.             |
| 609207105 MONDELEZ INTERNATION | 122,322.                         |                               |                      |
| 61166W101 MONSANTO CO NEW      | 52,232.                          |                               |                      |
| 655044105 NOBLE ENERGY INC     | 52,941.                          |                               |                      |
| 655844108 NORFOLK SOUTHERN COR | 23,164.                          |                               |                      |
| 68389X105 ORACLE CORPORATION   | 55,379.                          |                               |                      |
| 717081103 PFIZER INC           | 142,310.                         | 27,383.                       | 27,608.              |
| 718172109 PHILIP MORRIS INTERN | 224,955.                         | 146,424.                      | 171,086.             |
| 742718109 PROCTER & GAMBLE CO  | 323,250.                         | 130,608.                      | 164,124.             |
| 747525103 QUALCOMM INC         | 244,958.                         | 83,104.                       | 82,152.              |
| 760759100 REPUBLIC SERVICES IN | 26,889.                          |                               |                      |
| 780259206 ROYAL DUTCH SHELL PL | 118,321.                         | 11,831.                       | 13,051.              |
| 79466L302 SALESFORCE COM INC   | 61,083.                          | 58,125.                       | 55,453.              |
| 806857108 SCHLUMBERGER LTD     | 90,993.                          | 137,445.                      | 156,987.             |
| 808513105 SCHWAB CHARLES CORP  | 22,610.                          |                               |                      |
| 812578102 SEATTLE GENETICS INC | 57,086.                          |                               |                      |
| 81369Y506 AMEX ENERGY SELECT S | 80,079.                          |                               |                      |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 87612E106 TARGET CORP          | 31,890.                          | 64,185.                       | 86,676.              |
| 88579Y101 3M CO                | 18,269.                          | 19,893.                       | 43,750.              |
| 886547108 TIFFANY & CO NEW     | 52,634.                          |                               |                      |
| 88732J207 TIME WARNER CABLE IN | 15,420.                          |                               |                      |
| 902973304 US BANCORP           | 467,640.                         | 49,752.                       | 98,374.              |
| 907818108 UNION PACIFIC CORP   | 11,123.                          | 22,245.                       | 45,619.              |
| 913017109 UNITED TECHNOLOGIES  | 53,596.                          | 107,074.                      | 156,209.             |
| 91324P102 UNITEDHEALTH GROUP I | 26,820.                          | 53,640.                       | 176,044.             |
| 92343V104 VERIZON COMMUNICATIO | 247,003.                         | 21,449.                       | 30,106.              |
| 92826C839 VISA INC-CLASS A SHR | 13,349.                          | 98,188.                       | 95,965.              |
| 949746101 WELLS FARGO & CO     | 727,430.                         |                               |                      |
| G0177J108 ALLERGAN PLC         | 84,180.                          | 41,995.                       | 30,871.              |
| G1151C101 ACCENTURE PLC        | 19,083.                          |                               |                      |
| G29183103 EATON CORP PLC       | 51,874.                          | 82,562.                       | 113,047.             |
| G98290102 XL GROUP PLC         | 134,485.                         |                               |                      |
| 000375204 ABB LTD - ADR        |                                  | 42,431.                       | 46,249.              |
| 001317205 AIA GROUP LTD-SP ADR |                                  | 27,683.                       | 26,402.              |
| 00206R102 AT & T INC           |                                  | 28,917.                       | 30,919.              |
| 002567105 ABAXIS INC           |                                  | 51,616.                       | 58,786.              |
| 00687A107 ADIDAS-AG ADR        |                                  | 52,927.                       | 50,586.              |
| 00724F101 ADOBE SYS INC        |                                  | 58,686.                       | 58,476.              |
| 008252108 AFFILIATED MANAGERS  |                                  | 40,948.                       | 38,940.              |
| 00888Y508 INV BALANCE RISK COM |                                  | 775,000.                      | 777,723.             |
| 010199305 AKZO NOBEL N.V. - AD |                                  | 36,611.                       | 35,128.              |
| 012653101 ALBEMARLE CORP COM   |                                  | 18,295.                       | 18,249.              |
| 015351109 ALEXION PHARMACEUTIC |                                  | 43,634.                       | 43,557.              |
| 01609W102 ALIBABA GROUP HOLDIN |                                  | 128,762.                      | 120,475.             |
| 018805101 ALLIANZ SE ADR       |                                  | 27,481.                       | 30,340.              |
| 02263T104 AMADEUS IT GROUP, S. |                                  | 18,466.                       | 18,155.              |

FJZ552 5892 09/18/2017 10:13:37

75

STATEMENT 27

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION                    | BEGINNING<br>BOOK VALUE | ENDING<br>BOOK VALUE | ENDING<br>FMV |
|--------------------------------|-------------------------|----------------------|---------------|
| -----                          | -----                   | -----                | ---           |
| 023135106 AMAZON COM INC COM   |                         | 175,421.             | 170,220.      |
| 02319V103 AMBEV SA-SPN ADR     |                         | 7,855.               | 6,304.        |
| 024013104 AMERICAN ASSETS TRUS |                         | 74,942.              | 79,483.       |
| 024835100 AMERICAN CAMPUS CMNT |                         | 48,156.              | 50,069.       |
| 02553E106 AMERICAN EAGLE OUTFI |                         | 45,085.              | 38,972.       |
| 03073E105 AMERISOURCEBERGEN CO |                         | 43,349.              | 41,597.       |
| 03748R101 APARTMENT INVT & MGM |                         | 105,749.             | 113,852.      |
| 038336103 APTARGROUP INC COM   |                         | 24,508.              | 23,357.       |
| 04316A108 ARTISAN PARTNERS ASS |                         | 36,718.              | 39,925.       |
| 045327103 ASPEN TECHNOLOGY INC |                         | 41,492.              | 56,922.       |
| 05278C107 AUTOHOME INC-ADR     |                         | 62,439.              | 62,492.       |
| 053484101 AVALONBAY CMNTYS INC |                         | 48,516.              | 47,299.       |
| 054536107 AXA - ADR            |                         | 12,862.              | 13,734.       |
| 055262505 BASF AKTIENGESELLSCH |                         | 18,383.              | 22,217.       |
| 05545E209 BHP BILLITON PLC ADR |                         | 10,794.              | 14,881.       |
| 055622104 BP PLC - ADR         |                         | 79,781.              | 91,506.       |
| 05565A202 BNP PARIBAS - ADR    |                         | 30,386.              | 40,227.       |
| 05577E101 BT GROUP PLC - ADR   |                         | 11,140.              | 9,396.        |
| 05964H105 BANCO SANTANDER CEN- |                         | 19,173.              | 23,351.       |
| 064149107 BANK N S HALIFAX     |                         | 12,967.              | 14,755.       |
| 06738E204 BARCLAYS PLC - ADR   |                         | 20,842.              | 27,313.       |
| 072730302 BAYER AG - ADR       |                         | 47,072.              | 46,717.       |
| 081437105 BEMIS INC            |                         | 9,696.               | 9,038.        |
| 089302103 BIG LOTS INC         |                         | 50,138.              | 47,398.       |
| 09061G101 BIOMARIN PHARMACEUTI |                         | 36,465.              | 33,799.       |
| 097023105 BOEING CO            |                         | 121,138.             | 125,478.      |
| 099724106 BORG WARNER INC.     |                         | 51,589.              | 55,886.       |
| 101121101 BOSTON PROPERTIES IN |                         | 51,346.              | 51,696.       |
| 105105209 BRAMBLES LTD-SPONSOR |                         | 29,653.              | 28,403.       |

FJZ552 5892 09/18/2017 10:13:37

76

STATEMENT 28

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION                    | BEGINNING<br>BOOK VALUE | ENDING<br>BOOK VALUE | ENDING<br>FMV |
|--------------------------------|-------------------------|----------------------|---------------|
| -----                          | -----                   | -----                | ---           |
| 110448107 BRITISH AMERICAN TOB |                         | 18,430.              | 17,239.       |
| 12514G108 CDW CORP/DE          |                         | 60,780.              | 75,374.       |
| 126650100 CVS HEALTH CORPORATI |                         | 12,966.              | 13,178.       |
| 138006309 CANON INC - ADR      |                         | 33,791.              | 32,727.       |
| 151020104 CELGENE CORP COM     |                         | 84,740.              | 91,558.       |
| 16119P108 CCH I LLC            |                         | 29,406.              | 30,520.       |
| 163086101 CHEFS' WAREHOUSE HOL |                         | 8,163.               | 6,920.        |
| 165240102 CHESAPEAKE LODGING T |                         | 29,734.              | 31,032.       |
| 16941M109 DPS CHINA MOBILE LIM |                         | 28,398.              | 25,743.       |
| 172755100 CIRRUS LOGIC INC     |                         | 51,394.              | 53,996.       |
| 172967424 CITIGROUP INC.       |                         | 78,646.              | 77,259.       |
| 191216100 COCA COLA CO         |                         | 9,102.               | 8,582.        |
| 19625X102 COLONY STARWOOD HOME |                         | 45,785.              | 47,421.       |
| 20449X302 COMPASS GROUP PLC -  |                         | 19,831.              | 20,361.       |
| 20605P101 CONCHO RESOURCES INC |                         | 35,769.              | 35,272.       |
| 21036P108 CONSTELLATION BRANDS |                         | 19,970.              | 18,704.       |
| 212485106 CONVERGYS CORP       |                         | 47,831.              | 44,920.       |
| 217204106 COPART INC COM       |                         | 54,087.              | 64,941.       |
| 21870Q105 CORESITE REALTY CORP |                         | 86,953.              | 95,561.       |
| 22002T108 CORPORATE OFFICE PRO |                         | 47,059.              | 51,482.       |
| 22160K105 COSTCO WHOLESALE COR |                         | 38,399.              | 40,188.       |
| 22822V101 CROWN CASTLE INTL CO |                         | 111,943.             | 107,334.      |
| 233326107 DST SYS INC COM      |                         | 46,143.              | 42,539.       |
| 23381B106 DAIKIN INDUSTRIES-UN |                         | 32,289.              | 36,686.       |
| 233825108 DAIMLER AG- SPN ADR  |                         | 26,058.              | 28,625.       |
| 23636T100 DANONE ADR           |                         | 29,479.              | 25,714.       |
| 248019101 DELUXE CORP          |                         | 57,125.              | 57,932.       |
| 251542106 DEUTSCHE BOERSE AG A |                         | 9,338.               | 8,773.        |
| 251566105 DEUTSCHE TELEKOM AG  |                         | 35,119.              | 34,730.       |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 25243Q205 DIAGEO PLC - ADR     |                                  | 9,755.                        | 9,147.               |
| 25746U109 DOMINION RES INC VA  |                                  | 10,574.                       | 10,952.              |
| 257651109 DONALDSON CO INC     |                                  | 27,335.                       | 33,706.              |
| 262037104 DRIL-QUIP INC COM    |                                  | 47,201.                       | 48,520.              |
| 26441C204 DUKE ENERGY HOLDING  |                                  | 8,596.                        | 8,461.               |
| 26874R108 ENI SPA - ADR        |                                  | 60,069.                       | 65,189.              |
| 26875P101 EOG RESOURCES, INC   |                                  | 13,759.                       | 13,143.              |
| 26884U109 EPR PROPERTIES       |                                  | 70,056.                       | 70,837.              |
| 277923728 EATON VANCE GLOBAL M |                                  | 487,000.                      | 489,073.             |
| 29265W207 ENEL SOCIETA PER AZI |                                  | 19,449.                       | 20,875.              |
| 29286D105 ENGIE-SPON ADR       |                                  | 22,523.                       | 18,078.              |
| 29444U700 EQUINIX INC          |                                  | 92,543.                       | 96,501.              |
| 30212P303 EXPEDIA INC          |                                  | 10,590.                       | 9,969.               |
| 30214U102 EXPONENT INC         |                                  | 24,663.                       | 29,246.              |
| 30225T102 EXTRA SPACE STORAGE  |                                  | 119,244.                      | 104,737.             |
| 30231G102 EXXON MOBIL CORPORAT |                                  | 30,169.                       | 32,133.              |
| 30249U101 FMC TECHNOLOGIES INC |                                  | 23,928.                       | 27,998.              |
| 303075105 FACTSET RESH SYS INC |                                  | 49,200.                       | 49,683.              |
| 314211103 FEDERATED INVESTORS  |                                  | 36,726.                       | 34,388.              |
| 315616102 F5 NETWORKS INC      |                                  | 50,635.                       | 55,283.              |
| 32054K103 FIRST INDL RLTY TR I |                                  | 45,528.                       | 51,528.              |
| 33610F109 FIRST POTOMAC RLTY T |                                  | 36,003.                       | 43,683.              |
| 339041105 FLEETCOR TECHNOLOGIE |                                  | 38,261.                       | 33,823.              |
| 344849104 FOOT LOCKER INC      |                                  | 42,306.                       | 42,321.              |
| 359694106 FULLER H B CO        |                                  | 60,063.                       | 60,677.              |
| 361592108 GEA GROUP AG ADR     |                                  | 30,120.                       | 25,915.              |
| 370023103 GENERAL GROWTH PROPE |                                  | 113,506.                      | 97,397.              |
| 37733W105 GLAXOSMITHKLINE PLC  |                                  | 56,566.                       | 51,834.              |
| 379577208 GLOBUS MEDICAL INC - |                                  | 27,696.                       | 29,425.              |

FJZ552 5892 09/18/2017 10:13:37

78

STATEMENT 30

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 384109104 GRACO INC            |                                  | 40,650.                       | 43,456.              |
| 40414L109 HCP INC              |                                  | 70,610.                       | 60,985.              |
| 40415F101 HDFC BANK LTD. - ADR |                                  | 30,488.                       | 28,702.              |
| 40418F108 HFF INC              |                                  | 33,105.                       | 36,119.              |
| 426281101 HENRY JACK & ASSOC I |                                  | 31,456.                       | 33,381.              |
| 433578507 HITACHI LIMITED - AD |                                  | 11,481.                       | 13,716.              |
| 438128308 HONDA MOTOR CO., LTD |                                  | 40,055.                       | 42,968.              |
| 44107P104 HOST HOTELS & RESORT |                                  | 45,405.                       | 52,262.              |
| 443320106 HUB GROUP INC        |                                  | 51,486.                       | 53,113.              |
| 44967H101 ILG INC              |                                  | 57,648.                       | 57,890.              |
| 450737101 IBERDROLA S.A.ADA AD |                                  | 48,664.                       | 47,712.              |
| 452327109 ILLUMINA INC         |                                  | 17,411.                       | 12,804.              |
| 457187102 INGREDION INC        |                                  | 77,451.                       | 75,226.              |
| 458140100 INTEL CORP           |                                  | 18,103.                       | 20,311.              |
| 458334109 INTER PARFUMS INC    |                                  | 51,940.                       | 49,944.              |
| 46115H107 INTESA SANPAOLO-SPON |                                  | 23,005.                       | 27,048.              |
| 464287168 ISHARES SELECT DIVID |                                  | 2,127,069.                    | 2,177,051.           |
| 464287499 ISHARES RUSSELL MID- |                                  | 828,325.                      | 870,154.             |
| 464287655 ISHARES RUSSELL 2000 |                                  | 373,476.                      | 444,331.             |
| 48241F104 KBC GROEP NV-UNSP AD |                                  | 17,342.                       | 20,452.              |
| 485537302 KAO CORP ADR         |                                  | 18,436.                       | 16,204.              |
| 48667L106 KDDI CORP-UNSPONSORE |                                  | 23,511.                       | 20,721.              |
| 49427F108 KILROY REALTY CORP C |                                  | 47,177.                       | 47,739.              |
| 49446R109 KIMCO RLTY CORP      |                                  | 132,342.                      | 115,082.             |
| 495724403 KINGFISHER PLC - ADR |                                  | 13,268.                       | 12,577.              |
| 500467501 KONINKLIJKE AHOLD-SP |                                  | 48,091.                       | 43,009.              |
| 500472303 PHILIPS ELECTRONICS  |                                  | 18,164.                       | 19,993.              |
| 501173207 KUBOTA LIMITED - ADR |                                  | 27,373.                       | 27,231.              |
| 502117203 L'OREAL - ADR        |                                  | 23,947.                       | 23,448.              |

FJZ552 5892 09/18/2017 10:13:37

79

STATEMENT 31

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 502441306 LVMH MOET HENNESSY U |                                  | 41,518.                       | 46,316.              |
| 50540R409 LABORATORY CRP OF AM |                                  | 46,634.                       | 44,805.              |
| 517834107 LAS VEGAS SANDS CORP |                                  | 13,328.                       | 13,566.              |
| 517942108 LASALLE HOTEL PROPER |                                  | 19,960.                       | 24,589.              |
| 526107107 LENNOX INTERNATIONAL |                                  | 32,071.                       | 30,787.              |
| 532457108 ELI LILLY & CO COM   |                                  | 10,738.                       | 10,812.              |
| 535223200 LINDE AG ADR         |                                  | 25,966.                       | 28,616.              |
| 536797103 LITHIA MOTORS INC CL |                                  | 54,803.                       | 55,677.              |
| 539439109 LLOYDS BANKING GROUP |                                  | 69,397.                       | 72,528.              |
| 539830109 LOCKHEED MARTIN CORP |                                  | 16,940.                       | 18,246.              |
| 553573106 MSG NETWORKS INC     |                                  | 52,123.                       | 62,049.              |
| 562750109 MANHATTAN ASSOCIATES |                                  | 25,022.                       | 24,129.              |
| 56418H100 MANPOWERGROUP INC    |                                  | 33,928.                       | 37,503.              |
| 57060D108 MARKETAXESS HLDGS IN |                                  | 42,084.                       | 43,782.              |
| 571903202 MARRIOTT INTERNATION |                                  | 49,385.                       | 56,388.              |
| 57636Q104 MASTERCARD INC       |                                  | 81,525.                       | 83,942.              |
| 58463J304 MEDICAL PPTYS TR INC |                                  | 92,526.                       | 87,601.              |
| 58933Y105 MERCK & CO INC NEW   |                                  | 18,755.                       | 19,250.              |
| 592688105 METTLER-TOLEDO INTL  |                                  | 22,949.                       | 23,439.              |
| 594972408 MICROSTRATEGY INC CL |                                  | 63,507.                       | 62,181.              |
| 59522J103 MID AMERICA APARTMEN |                                  | 114,157.                      | 111,629.             |
| 603158106 MINERALS TECHNOLOGIE |                                  | 60,038.                       | 64,195.              |
| 606822104 MITSUBISHI UFJ FINL  |                                  | 21,838.                       | 28,293.              |
| 61174X109 MONSTER BEVERAGE COR |                                  | 40,055.                       | 37,911.              |
| 62942M201 NTT DOCOMO, INC. - A |                                  | 35,942.                       | 32,260.              |
| 62944T105 NVR INC COM          |                                  | 35,292.                       | 35,049.              |
| 636274300 NATIONAL GRID PLC AD |                                  | 36,724.                       | 30,507.              |
| 637417106 NATIONAL RETAIL PPTY |                                  | 72,145.                       | 66,963.              |
| 641069406 NESTLE S.A. REGISTER |                                  | 112,940.                      | 106,606.             |



SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 64110L106 NETFLIX INC          |                                  | 51,966.                       | 58,805.              |
| 65339F101 NEXTERA ENERGY INC   |                                  | 16,761.                       | 16,485.              |
| 654106103 NIKE INC CL B        |                                  | 20,351.                       | 19,163.              |
| 66987V109 NOVARTIS AG - ADR    |                                  | 109,536.                      | 102,195.             |
| 67066G104 NVIDIA CORP          |                                  | 62,700.                       | 94,038.              |
| 670837103 OGE ENERGY CORP COM  |                                  | 36,474.                       | 37,966.              |
| 67103H107 O'REILLY AUTOMOTIVE  |                                  | 49,377.                       | 49,835.              |
| 679580100 OLD DOMINION FREIGHT |                                  | 52,240.                       | 63,828.              |
| 683974604 OPPENHEIMER DEVELOPI | 1,400,000.                       |                               | 1,396,647.           |
| 69007J106 OUTFRONT MEDIA INC   |                                  | 55,431.                       | 62,299.              |
| 697435105 PALO ALTO NETWORKS I |                                  | 36,047.                       | 30,262.              |
| 701094104 PARKER HANNIFIN CORP |                                  | 27,758.                       | 27,300.              |
| 720190206 PIEDMONT OFFICE REAL |                                  | 48,614.                       | 49,557.              |
| 731068102 POLARIS INDS INC COM |                                  | 36,372.                       | 39,300.              |
| 73278L105 POOL CORPORATION     |                                  | 21,013.                       | 25,668.              |
| 741503403 THE PRICELINE GROUP  |                                  | 52,999.                       | 52,778.              |
| 741511109 PRICESMART INC       |                                  | 37,008.                       | 36,740.              |
| 74164M108 PRIMERICA INC        |                                  | 101,838.                      | 125,715.             |
| 74340W103 PROLOGIS INC         |                                  | 125,470.                      | 142,480.             |
| 74435K204 PRUDENTIAL PLC - ADR |                                  | 13,403.                       | 14,165.              |
| 744573106 PUBLIC SVC ENTERPRIS |                                  | 10,624.                       | 10,575.              |
| 74460D109 PUBLIC STORAGE INC C |                                  | 39,423.                       | 34,866.              |
| 74728G605 QBE INSURANCE GROUP- |                                  | 21,963.                       | 24,936.              |
| 74925K581 BOSTON P LNG/SHRT RE | 1,033,056.                       |                               | 1,088,924.           |
| 749607107 RLI CORP COM         |                                  | 24,764.                       | 23,484.              |
| 74965L101 RLJ LODGING TRUST    |                                  | 40,241.                       | 44,988.              |
| 74975E303 RWE AG - ADR         |                                  | 25,551.                       | 21,575.              |
| 751452202 RAMCO-GERSHENSON PPT |                                  | 55,597.                       | 46,938.              |
| 75524B104 RBC BEARINGS INC     |                                  | 31,795.                       | 40,372.              |

FJZ552 5892 09/18/2017 10:13:37

81

STATEMENT 33

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 756255204 RECKITT BENCKIS/S AD |                                  | 39,982.                       | 34,490.              |
| 756577102 RED HAT INC          |                                  | 37,472.                       | 33,595.              |
| 75886F107 REGENERON PHARMACEUT |                                  | 41,492.                       | 39,646.              |
| 75955B102 RELX NV ADR          |                                  | 32,836.                       | 31,526.              |
| 767204100 RIO TINTO PLC - ADR  |                                  | 30,926.                       | 39,383.              |
| 771195104 ROCHE HOLDINGS LTD - |                                  | 64,383.                       | 58,059.              |
| 780259107 ROYAL DUTCH SHELL PL |                                  | 39,508.                       | 44,985.              |
| 78409V104 S&P GLOBAL INC       |                                  | 24,894.                       | 22,906.              |
| 78462F103 SPDR S & P 500 ETF T |                                  | 1,751,499.                    | 1,732,358.           |
| 78573L106 SABRA HEALTH CARE RE |                                  | 30,368.                       | 34,530.              |
| 80105N105 SANOFI-ADR           |                                  | 57,936.                       | 58,517.              |
| 803054204 SAP SE ADR           |                                  | 42,829.                       | 47,277.              |
| 80687P106 SCHNEIDER ELECTRIC S |                                  | 29,646.                       | 32,826.              |
| 81616X103 SELECT COMFORT CORPO |                                  | 48,299.                       | 46,484.              |
| 81619Q105 SELECT MEDICAL HOLDI |                                  | 30,139.                       | 32,449.              |
| 81768T108 SERVISFIRST BANCSHAR |                                  | 22,661.                       | 27,706.              |
| 81783H105 SEVEN & I HOLDINGS C |                                  | 17,828.                       | 15,794.              |
| 82481R106 SHIRE PLC ADR        |                                  | 68,688.                       | 64,233.              |
| 825690100 SHUTTERSTOCK INC     |                                  | 66,932.                       | 70,425.              |
| 826197501 SIEMENS AG - SPONSOR |                                  | 26,863.                       | 30,238.              |
| 828806109 SIMON PROPERTY GROUP |                                  | 198,462.                      | 170,563.             |
| 82929R304 SINGAPORE TELECOMMUN |                                  | 36,664.                       | 30,651.              |
| 83084V106 SKY PLC-SPN ADR      |                                  | 7,967.                        | 8,824.               |
| 83404D109 SOFTBANK GROUP CORP- |                                  | 14,211.                       | 16,614.              |
| 848577102 SPIRIT AIRLINES INC  |                                  | 25,154.                       | 29,161.              |
| 848637104 SPLUNK INC           |                                  | 30,716.                       | 27,928.              |
| 85254J102 STAG INDUSTRIAL INC  |                                  | 28,791.                       | 32,225.              |
| 855244109 STARBUCKS CORP COM   |                                  | 53,067.                       | 52,633.              |
| 86562M209 SUMITOMO TRUST AND B |                                  | 32,570.                       | 39,293.              |

FJZ552 5892 09/18/2017 10:13:37

82

STATEMENT 34

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 867224107 SUNCOR ENERGY INC NE |                                  | 7,320.                        | 9,088.               |
| 87155N109 SYMRISE AG ADR       |                                  | 25,421.                       | 22,482.              |
| 87157D109 SYNAPTICS INC        |                                  | 18,207.                       | 17,467.              |
| 87160A100 SYNGENTA AG - ADR    |                                  | 31,664.                       | 31,699.              |
| 872540109 TJX COMPANIES INC    |                                  | 32,588.                       | 32,456.              |
| 874039100 TAIWAN SEMICONDUCTOR |                                  | 72,162.                       | 79,149.              |
| 874060205 TAKEDA PHARMACEUTIC- |                                  | 48,503.                       | 44,968.              |
| 875465106 TANGER FACTORY OUTLE |                                  | 26,902.                       | 26,692.              |
| 878546209 TECHNIP - ADR        |                                  | 21,049.                       | 26,748.              |
| 87873R101 TECHTRONIC INDUSTRIE |                                  | 14,440.                       | 14,088.              |
| 879360105 TELEDYNE TECHNOLOGIE |                                  | 52,673.                       | 67,404.              |
| 879382208 TELEFONICA SA - ADR  |                                  | 32,714.                       | 30,443.              |
| 87944W105 TELENOR ASA - ADR    |                                  | 9,227.                        | 8,203.               |
| 87960M205 TELIA CO-UNSPON ADR  |                                  | 37,706.                       | 31,751.              |
| 87969N204 TELSTRA CORP-ADR     |                                  | 14,839.                       | 13,275.              |
| 88031M109 TENARIS S.A. - ADR   |                                  | 8,857.                        | 11,534.              |
| 881575302 TESCO PLC - ADR      |                                  | 36,458.                       | 40,713.              |
| 88160R101 TESLA MOTORS INC     |                                  | 25,644.                       | 26,925.              |
| 887317303 TIME WARNER INC      |                                  | 29,165.                       | 34,365.              |
| 889094108 TOKIO MARINE HOLDING |                                  | 50,425.                       | 58,677.              |
| 891092108 TORO CO              |                                  | 21,093.                       | 28,590.              |
| 891160509 TORONTO DOMINION BK  |                                  | 16,433.                       | 18,996.              |
| 89151E109 TOTAL S.A. - ADR     |                                  | 27,498.                       | 29,410.              |
| 892331307 TOYOTA MOTOR CORPORA |                                  | 16,438.                       | 16,994.              |
| 89531P105 TREX COMPANY INC     |                                  | 26,813.                       | 29,173.              |
| 902641646 E-TRACS ALERIAN MLP  |                                  | 750,655.                      | 795,480.             |
| 90347A100 UBIQUITI NETWORKS IN |                                  | 52,815.                       | 52,540.              |
| 90384S303 ULTA SALON COSMETICS |                                  | 21,751.                       | 22,435.              |
| 904767704 UNILEVER PLC - ADR   |                                  | 48,136.                       | 42,409.              |

FJZ552 5892 09/18/2017 10:13:37

83

STATEMENT 35

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE STOCK

=====

| DESCRIPTION                    | BEGINNING<br>BOOK VALUE | ENDING<br>BOOK VALUE | ENDING<br>FMV |
|--------------------------------|-------------------------|----------------------|---------------|
| -----                          | -----                   | -----                | ---           |
| 904784709 UNILEVER N.V. - ADR  |                         | 10,895.              | 10,142.       |
| 911271302 UNITED OVERSEAS BANK |                         | 40,064.              | 42,126.       |
| 911363109 UNITED RENTAL INC CO |                         | 76,433.              | 87,209.       |
| 91307C102 UNITED THERAPEUTICS  |                         | 50,671.              | 57,946.       |
| 922042858 VANGUARD FTSE EMERGI |                         | 644,594.             | 636,884.      |
| 92220P105 VARIAN MED SYS INC   |                         | 38,775.              | 37,618.       |
| 92276F100 VENTAS INC COM       |                         | 59,403.              | 56,518.       |
| 92334N103 VEOLIA ENVIRONNEMENT |                         | 10,078.              | 7,782.        |
| 92857W308 VODAFONE GROUP PLC-S |                         | 28,653.              | 22,671.       |
| 92927K102 WABCO HOLDINGS INC   |                         | 108,813.             | 108,804.      |
| 92937A102 WPP PLC NEW ADR      |                         | 30,691.              | 30,763.       |
| 950814103 WESCO AIRCRAFT HOLDI |                         | 31,166.              | 30,483.       |
| 969904101 WILLIAMS SONOMA INC  |                         | 47,427.              | 42,680.       |
| 977868306 WOLSELEY PLC ADR     |                         | 13,837.              | 14,556.       |
| 98138H101 WORKDAY INC          |                         | 36,661.              | 29,741.       |
| 989825104 ZURICH INSURANCE GRO |                         | 64,417.              | 72,950.       |
| G25839104 COCA-COLA EUROPEAN P |                         | 14,279.              | 11,869.       |
| H42097107 UBS GROUP AG         |                         | 27,766.              | 31,826.       |
| N22717107 CORE LABORATORIES N  |                         | 26,519.              | 28,570.       |
| N51488117 MOBILEYE NV          |                         | 14,243.              | 13,685.       |
| N53745100 LYONDELLBASELL INDU- |                         | 14,045.              | 14,926.       |
| N6596X109 NXP SEMICONDUCTORS N |                         | 18,090.              | 19,014.       |
|                                | -----                   | -----                | -----         |
| TOTALS                         | 9,083,980.              | 23,981,743.          | 26,170,308.   |
|                                | =====                   | =====                | =====         |

FJZ552 5892 09/18/2017 10:13:37

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE BONDS

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 46429B655 ISHARES FLOATING RAT | 278,451.                         |                               |                      |
| 57060U522 MARKET VECTORS J.P.  | 90,755.                          |                               |                      |
| 72201R833 PIMCO ENHANCED SHORT | 609,314.                         |                               |                      |
| 00101JAK2 ADT CORP             |                                  | 7,603.                        | 7,595.               |
| 00130HBN4 AES CORPORATION      |                                  | 12,785.                       | 12,788.              |
| 00206RCM2 AT&T INC             |                                  | 50,895.                       | 49,081.              |
| 00434NAA3 ACCESS MIDSTREAM PAR |                                  | 19,813.                       | 20,373.              |
| 02005NAE0 ALLY FINANCIAL INC   |                                  | 40,974.                       | 40,770.              |
| 02005NAV2 ALLY FINANCIAL INC   |                                  | 20,621.                       | 20,350.              |
| 025816AX7 AMERICAN EXPRESS     |                                  | 42,602.                       | 41,194.              |
| 02665WAZ4 AMERICAN HONDA FINAN |                                  | 61,901.                       | 60,310.              |
| 030981AJ3 AMERIGAS PART/FIN CO |                                  | 12,561.                       | 12,180.              |
| 03232PAD0 AMSURG CORP          |                                  | 20,450.                       | 20,620.              |
| 035242AP1 ANHEUSER-BUSCH INBEV |                                  | 52,801.                       | 50,760.              |
| 03674PAL7 ANTERO RESOURCES FIN |                                  | 38,218.                       | 39,878.              |
| 038522AK4 ARAMARK SERVICES INC |                                  | 20,607.                       | 20,625.              |
| 039483BL5 ARCHER-DANIELS-MIDLA |                                  | 30,063.                       | 28,338.              |
| 05531FAM5 BB&T CORPORATION     |                                  | 50,166.                       | 49,918.              |
| 058498AU0 BALL CORP            |                                  | 12,625.                       | 12,540.              |
| 06051GEX3 BANK OF AMERICA CORP |                                  | 40,686.                       | 40,342.              |
| 06406HDB2 BANK OF NY MELLON CO |                                  | 50,405.                       | 50,021.              |
| 064159GW0 BANK OF NOVA SCOTIA  |                                  | 61,360.                       | 59,785.              |
| 085790AY9 BERRY PLASTICS CORP  |                                  | 20,405.                       | 20,350.              |
| 09062XAF0 BIOGEN INC           |                                  | 43,020.                       | 41,182.              |
| 095370AD4 BLUE CUBE SPINCO IN  |                                  | 20,236.                       | 20,528.              |
| 103304BK6 BOYD GAMING CORP     |                                  | 17,103.                       | 17,200.              |
| 1248EPBE2 CCO HLDGS LLC/CAP CO |                                  | 21,073.                       | 20,900.              |
| 12505BAA8 CBRE SERVICES INC    |                                  | 25,890.                       | 25,790.              |
| 12505FAD3 CBS OUTDOOR AMERS CA |                                  | 15,924.                       | 15,638.              |

FJZ552 5892 09/18/2017 10:13:37

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE BONDS

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 12513GAZ2 CDW LLC/CDW FINANCE  |                                  | 10,694.                       | 10,575.              |
| 12543DAR1 CHS/COMMUNITY HEALTH |                                  | 2,035.                        | 1,960.               |
| 12543DAU4 AI CHS/COMMUNITY HEA |                                  | 13,715.                       | 12,985.              |
| 12623EAF8 CNH CAPITAL LLC      |                                  | 9,053.                        | 9,113.               |
| 126304AK0 CSC HOLDINGS INC     |                                  | 20,488.                       | 20,283.              |
| 126307AF4 CSC HOLDINGS. LLC    |                                  | 19,213.                       | 19,350.              |
| 126650CB4 CVS CAREMARK CORP    |                                  | 51,199.                       | 50,439.              |
| 131347CF1 CALPINE CORP         |                                  | 20,613.                       | 20,265.              |
| 14042RBT7 CAPITAL ONE NA       |                                  | 65,129.                       | 63,421.              |
| 15135BAD3 CENTENE CORP         |                                  | 18,356.                       | 18,180.              |
| 163851AB4 CHEMOURS CO          |                                  | 20,691.                       | 20,790.              |
| 17275RAH5 CISCO SYSTEMS INC    |                                  | 55,497.                       | 53,587.              |
| 172967FT3 CITIGROUP INC        |                                  | 43,756.                       | 42,647.              |
| 184496AJ6 CLEAN HARBORS INC    |                                  | 12,303.                       | 12,285.              |
| 18451QAM0 CLEAR CHANNEL WORLDW |                                  | 13,194.                       | 13,293.              |
| 191216BS8 COCA-COLA CO/THE     |                                  | 58,104.                       | 54,275.              |
| 20605PAC5 CONCHO RESOURCES INC |                                  | 13,420.                       | 13,451.              |
| 20854PAL3 CONSOL ENERGY INC    |                                  | 10,856.                       | 12,740.              |
| 21036PAH1 CONSTELLATION BRANDS |                                  | 20,430.                       | 20,301.              |
| 22160KAF2 COSTCO WHOLESALE COR |                                  | 50,950.                       | 49,947.              |
| 228189AB2 CROWN AMER/CAP CORP  |                                  | 20,318.                       | 20,400.              |
| 23331ABK4 D.R. HORTON INC      |                                  | 12,548.                       | 12,330.              |
| 23918KAP3 DAVITA INC           |                                  | 13,698.                       | 13,585.              |
| 23918KAQ1 DAVITA HEALTHCARE PA |                                  | 13,365.                       | 12,968.              |
| 25470XAB1 DISH DBS CORP        |                                  | 19,899.                       | 19,980.              |
| 25470XAJ4 DISH DBS CORP        |                                  | 20,273.                       | 21,050.              |
| 262028855 DRIEHAUS ACTIVE INCO |                                  | 425,850.                      | 437,545.             |
| 263534CK3 E.I. DU PONT DE NEMO |                                  | 61,428.                       | 58,976.              |
| 26441CAN5 DUKE ENERGY CORP     |                                  | 53,101.                       | 51,562.              |

FJZ552 5892 09/18/2017 10:13:37

86

STATEMENT 38

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE BONDS

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 28370TAE9 EL PASO PIPELINE PAR |                                  | 12,556.                       | 12,777.              |
| 29444UAP1 EQUINIX INC          |                                  | 14,838.                       | 14,630.              |
| 30219GAH1 EXPRESS SCRIPTS HOLD |                                  | 50,657.                       | 49,995.              |
| 30231GAD4 EXXON MOBIL CORPORAT |                                  | 50,856.                       | 50,082.              |
| 315920702 FID ADV EMER MKTS IN |                                  | 1,825,000.                    | 1,834,490.           |
| 316773CQ1 FIFTH THIRD BANCORP  |                                  | 50,956.                       | 50,433.              |
| 345397VU4 FORD MOTOR CREDIT CO |                                  | 57,470.                       | 55,219.              |
| 369604BD4 GENERAL ELECTRIC CO  |                                  | 62,321.                       | 59,989.              |
| 375558BB8 GILEAD SCIENCES INC  |                                  | 51,896.                       | 50,527.              |
| 38141GGS7 GOLDMAN SACHS GROUP  |                                  | 23,103.                       | 22,484.              |
| 382550BC4 GOODYEAR TIRE & RUBB |                                  | 10,768.                       | 10,550.              |
| 38869PAK0 GRAPHIC PACKAGING IN |                                  | 15,840.                       | 15,750.              |
| 404119BM0 HCA INC              |                                  | 13,423.                       | 13,358.              |
| 404119BS7 HCA INC              |                                  | 21,000.                       | 20,600.              |
| 42804DCJ6 HERTZ CORP           |                                  | 3,043.                        | 3,000.               |
| 45031UBU4 ISTAR FINANCIAL INC  |                                  | 12,608.                       | 13,049.              |
| 45031UBX8 ISTAR FINANCIAL INC  |                                  | 12,929.                       | 13,065.              |
| 45031UBY6 ISTAR INC            |                                  | 12,896.                       | 13,390.              |
| 451102AX5 ICAHN ENTERPRISES/FI |                                  | 12,794.                       | 13,276.              |
| 459745GF6 INTL LEASE FINANCE   |                                  | 41,106.                       | 40,775.              |
| 46284PAP9 IRON MOUNTAIN INC    |                                  | 13,383.                       | 13,358.              |
| 46625HKA7 JPMORGAN CHASE & CO  |                                  | 35,255.                       | 34,918.              |
| 494580AF0 KINDRED HEALTHCARE   |                                  | 20,295.                       | 19,635.              |
| 501889AB5 LKQ CORP             |                                  | 13,217.                       | 12,935.              |
| 513075BE0 LAMAR MEDIA CORP     |                                  | 13,625.                       | 13,390.              |
| 526057BT0 LENNAR CORP          |                                  | 13,536.                       | 13,423.              |
| 526057BV5 LENNAR CORP          |                                  | 13,043.                       | 12,675.              |
| 527288BE3 LEUCADIA NATIONAL CO |                                  | 12,963.                       | 13,767.              |
| 527298BH5 LEVEL 3 FINANCING IN |                                  | 20,436.                       | 20,400.              |

FJZ552 5892 09/18/2017 10:13:37

87

STATEMENT 39

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE BONDS

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|----------------------------------|-------------------------------|----------------------|
| 52729NBX7 LEVEL 3 COMMUNICATIO |                                  | 12,415.                       | 12,330.              |
| 552848AF0 MGIC INVESTMENT CORP |                                  | 28,201.                       | 28,148.              |
| 552953BY6 MGM RESORTS INTL     |                                  | 25,109.                       | 25,588.              |
| 574599BH8 MASCO CORP           |                                  | 21,227.                       | 20,995.              |
| 587118AE0 THE MEN'S WEARHOUSE  |                                  | 9,210.                        | 9,800.               |
| 594918BJ2 MICROSOFT CORP       |                                  | 52,977.                       | 50,559.              |
| 61746BDQ6 MORGAN STANLEY       |                                  | 41,918.                       | 41,023.              |
| 629377BU5 NRG ENERGY INC       |                                  | 19,989.                       | 20,050.              |
| 63860UAE0 NATIONSTAR MORT/CAP  |                                  | 10,445.                       | 10,463.              |
| 63860UAK6 NATIONSTAR MORT/CAP  |                                  | 10,558.                       | 12,150.              |
| 63860UAM2 NATIONSTAR MORT/CAP  |                                  | 12,955.                       | 13,211.              |
| 68389XBC8 ORACLE CORP          |                                  | 25,754.                       | 24,507.              |
| 693656AA8 PVH CORP             |                                  | 20,513.                       | 20,300.              |
| 718172AA7 PHILIP MORRIS INTL   |                                  | 54,672.                       | 52,700.              |
| 74251VAH5 PRINCIPAL FINANCIAL  |                                  | 61,414.                       | 59,672.              |
| 745867AW1 PULTEGROUP INC       |                                  | 13,494.                       | 12,903.              |
| 750236AT8 RADIAN GROUP INC     |                                  | 20,843.                       | 21,138.              |
| 762760AB2 RICE ENERGY INC      |                                  | 20,593.                       | 20,550.              |
| 767754CG7 RITE AID CORP        |                                  | 13,686.                       | 13,650.              |
| 78012KNL7 ROYAL BANK OF CANADA |                                  | 49,918.                       | 49,724.              |
| 780153AU6 ROYAL CARIBBEAN CRUI |                                  | 17,079.                       | 17,100.              |
| 78442FER5 SLM CORP             |                                  | 13,005.                       | 13,488.              |
| 785592AM8 SABINE PASS LIQUEFAC |                                  | 25,540.                       | 26,750.              |
| 79546VAJ5 SALLY HOLDINGS/SALLY |                                  | 11,558.                       | 11,426.              |
| 81180WAL5 SEAGATE HDD CAYMAN   |                                  | 20,057.                       | 20,007.              |
| 832696AB4 SMUCKER (J.M.) CO    |                                  | 53,299.                       | 51,976.              |
| 845467AK5 SOUTHWESTERN ENERGY  |                                  | 11,403.                       | 13,390.              |
| 85172FAJ8 SPRINGLEAF FINANCE   |                                  | 20,751.                       | 20,663.              |
| 852061AM2 SPRINT NEXTEL CORP   |                                  | 8,283.                        | 9,820.               |

FJZ552 5892 09/18/2017 10:13:37



SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - CORPORATE BONDS

=====

| DESCRIPTION<br>-----           | BEGINNING<br>BOOK VALUE<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>---         |
|--------------------------------|----------------------------------|-------------------------------|------------------------------|
| 85375CAX9 STANDARD PACIFIC COR |                                  | 13,343.                       | 13,020.                      |
| 857477AW3 STATE STREET CORP    |                                  | 60,931.                       | 56,906.                      |
| 858119AZ3 STEEL DYNAMICS INC   |                                  | 13,377.                       | 13,618.                      |
| 86614RAG2 SUMMIT MATERIALS LLC |                                  | 13,284.                       | 13,341.                      |
| 86765LAC1 SUNOCO LP/FINANCE CO |                                  | 12,240.                       | 12,240.                      |
| 87264AAF2 T-MOBILE USA INC     |                                  | 7,230.                        | 7,210.                       |
| 87264AAH8 T-MOBILE USA INC     |                                  | 13,797.                       | 13,715.                      |
| 88023UAG6 TEMPUR SEALY INTL IN |                                  | 20,478.                       | 20,100.                      |
| 88033GBU3 TENET HEALTHCARE COR |                                  | 13,393.                       | 13,130.                      |
| 88160QAD5 TESORO LOGISTICS LP/ |                                  | 14,264.                       | 14,700.                      |
| 88167AAC5 TEVA PHARMACEUTICALS |                                  | 59,942.                       | 57,401.                      |
| 893647AR8 TRANSDIGM INC        |                                  | 10,171.                       | 10,250.                      |
| 896047AH0 TRIBUNE MEDIA CO     |                                  | 12,126.                       | 12,195.                      |
| 911365BB9 UNITED RENTALS NORTH |                                  | 16,431.                       | 16,800.                      |
| 91324PCN0 UNITEDHEALTH GROUP   |                                  | 42,512.                       | 41,212.                      |
| 92276MBB0 VENTAS REALTY LP/CAP |                                  | 50,699.                       | 50,303.                      |
| 92340LAA7 VEREIT OPERATING PAR |                                  | 42,149.                       | 41,527.                      |
| 92343EAF9 VERISIGN INC         |                                  | 13,328.                       | 13,130.                      |
| 92343VBR4 VERIZON COMMUNICATIO |                                  | 28,744.                       | 27,644.                      |
| 92826CAD4 VISA INC             |                                  | 52,461.                       | 50,220.                      |
| 961214CS0 WESTPAC BANKING CORP |                                  | 56,424.                       | 55,222.                      |
| 989194AM7 ZAYO GROUP LLC/ZAYO  |                                  | 20,816.                       | 20,800.                      |
| TOTALS                         | -----<br>978,520.<br>=====       | -----<br>5,787,782.<br>=====  | -----<br>5,758,044.<br>===== |

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART II - OTHER INVESTMENTS

=====

| DESCRIPTION<br>-----           | COST/<br>FMV<br>C OR F<br>----- | ENDING<br>BOOK VALUE<br>----- | ENDING<br>FMV<br>--- |
|--------------------------------|---------------------------------|-------------------------------|----------------------|
| 161571HC1 CHASE ISSUANCE TRUST | C                               | 100,000.                      | 99,036.              |
| 46641WAT4 JPMBB COMMERCIAL MO  | C                               | 103,742.                      | 102,374.             |
| 70299RF16 PARTNERS GROUP PRIV  | C                               | 1,000,000.                    | 1,055,708.           |
| GRA994205 GRAHAM ALT INV FD II | C                               | 500,000.                      | 510,119.             |
| GTC997004 GAI CORBIN MULTI STR | C                               | 1,250,000.                    | 1,296,171.           |
|                                |                                 | -----                         | -----                |
| TOTALS                         |                                 | 2,953,742.                    | 3,063,408.           |
|                                |                                 | =====                         | =====                |

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

DESCRIPTION

AMOUNT

MF TAX EFFECTIVE DATE AFTER TYE  
ROUNDING  
MUTUAL FUND ADJUUSTMENT

1,184.  
24.  
4,808.

TOTAL

-----  
6,016.  
=====

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

=====

DESCRIPTION

AMOUNT

-----

-----

MF TAX EFFECTIVE DATE BEFORE TYE

18,480.

ROC

5,768.

ST/LT WASH SALES DISQUALIFIED

47,744.

-----

TOTAL

71,992.

=====

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART VII-A - NEW SUBSTANTIAL CONTRIBUTORS

=====

NAME AND ADDRESS

-----

R Schumann Marital M Schumann  
Robert F Schumann Trust U/A

' '

SCHUMANN, ROBERT F FDN-MAIN

45-4757108

FORM 990PF, PART VII-A, LINE 14 - BOOKS ARE IN THE CARE OF  
=====

NAME: Wells Fargo Bank , NA  
MAC D4001-065  
ADDRESS: 100 NORTH MAIN STREET  
WINSTON-SALEM, NC 27101  
  
TELEPHONE NUMBER: (800)352-3705

STATEMENT 46

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

OFFICER NAME:

Wells Fargo Bank

ADDRESS:

1525 West W T Harris Blvd  
Charlotte, NC 28288

TITLE:

Co-Trustee

COMPENSATION ..... 241,288.

COMPENSATION EXPLANATION:

See Attached Footnotes

OFFICER NAME:

Timothy W Crowley

ADDRESS:

PO Box 1089  
Madison, CT 06443

TITLE:

Co-Trustee

AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 20

COMPENSATION ..... 80,589.

TOTAL COMPENSATION:

321,877.

=====

# Tax Return Reconciliation

September 18, 2017

Robert F. Schumann Foundation  
76532600

| Organization  | Tax ID<br>Tax Status  | Grant Purpose   | Payment Date | Amount      |
|---|---|---|--------------|-------------|
| Art Works Studio School, Inc.<br>3711 Rhode Island Avenue<br>Mt. Rainier, MD 20712  | 275122542<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | Arts After School program   | 9/30/2016    | \$5,000.00  |
| Boys & Girls Clubs of North Central Georgia, Inc.<br>P.O. Box 767<br>Madison, GA 30650                                      | 271029072<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | Project Be Great - Education for Vulnerable Youth (Education and Art/Music Program) | 9/30/2016    | \$5,000.00  |
| Boys and Girls Club of Western Broome, Inc.<br>One Clubhouse Rd.<br>Endicott, NY 13760                                      | 161446907<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | general programming support   | 9/30/2016    | \$5,000.00  |
| Chesapeake Bay Foundation, Inc.<br>6 HERNDON AVE<br>Annapolis, MD 21403   | 526065757<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | Maryland Environmental Education program  | 9/30/2016    | \$50,000.00 |
| Compass Youth Collaborative, Inc.<br>55 Airport Road, Suite 201<br>Hartford, CT 06114                                       | 311768549<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | Environmental Enrichment After School Program                                       | 9/30/2016    | \$23,233.00 |
| Connecticut Fund for the Environment, Inc.<br>142 Temple St 3Rd Floor<br>New Haven, CT 06510-2600                           | 060990195<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | general programming support   | 9/30/2016    | \$1,000.00  |
| Connecticut River Foundation At Steamboat Dock, Inc.<br>AKA: Connecticut River Museum<br>67 Main St<br>Essex, CT 06426-1150 | 237417579<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | general programming support   | 9/30/2016    | \$1,000.00  |



| Organization  | Tax ID<br>Tax Status   | Grant Purpose   | Payment Date | Amount       |
|---|--|---|--------------|--------------|
| Environmental Defense Fund<br>Incorporated<br>257 Park Avenue South<br>New York, NY 10010       | 11-6107128<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly<br>Supported        | general programming support                           | 9/30/2016    | \$1,000.00   |
| Florence Griswold Museum, Inc.<br>96 Lyme St.<br>Old Lyme, CT 06371                             | 066062157<br>501(c)(3)<br>FC16-509(a)(2) under 170(b)(1)(A)(vii)                               | Implementing a Landscape<br>Master Plan               | 9/30/2016    | \$100,000.00 |
| Friends of Hammonasset, Inc.<br>Post Office Box 271<br>Madison, CT 06443-0271                   | 061546997<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly<br>Supported         | general programming support                           | 9/30/2016    | \$5,000.00   |
| Garfield Center Foundation, Inc.<br>210 High Street<br>Chestertown, MD 21620                    | 522343419<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly<br>Supported         | Audio Systems upgrade                                 | 9/30/2016    | \$18,000.00  |
| Gifford, Florida Youth Orchestra<br>8 Vista Gardens Trail, #102<br>Vero Beach, FL 32962         | 800605983<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly<br>Supported         | Off the Street -- On the Stage<br>programming support | 9/30/2016    | \$10,000.00  |
| Greenpeace Fund, Inc.<br>702 H Street NW, # 300<br>Washington, DC 20001-3874                    | 953313195<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly<br>Supported         | general programming support                           | 9/30/2016    | \$1,000.00   |
| Literacy Volunteers of Sullivan County<br>63 North Street<br>PO Box 759<br>Monticello, NY 12701 | 141774672<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly<br>Supported         | Pre-High School Equivalency<br>(HSE) Materials        | 9/30/2016    | \$1,000.00   |
| Lyme Academy of Fine Arts, Inc.<br>84 Lyme Street<br>Old Lyme, CT 06371                         | 060942210<br>501(c)(3)<br>FC11 - 509(a)(1) in 170(b)(1)(A)(ii) - School                        | Center for Arts programming                           | 9/30/2016    | \$25,000.00  |
| Middlesex Hospital<br>28 Crescent St<br>Middletown, CT 06457-3654                               | 060646718<br>501(c)(3)<br>FC12 - 509(a)(1) in 170(b)(1)(A)(iii) -<br>Hospital/Medical Research | general programming support                           | 9/30/2016    | \$1,000.00   |

| Organization   | Tax ID<br>Tax Status  | Grant Purpose   | Payment Date | Amount       |
|--|---|---|--------------|--------------|
| National Audubon Society, Inc. - Connecticut Chapter<br>613 Riversville Road<br>Greenwich, CT 06831      | 131624102<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | Be a Good Egg! - Coastal Bird Conservation project in Connecticut and the Atlantic Flyway | 9/30/2016    | \$100,000.00 |
| National Audubon Society, Inc. - Florida Chapter<br>4500 Biscayne Boulevard Suite 205<br>Miami, FL 33137 | 131624102<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | Citizen Science and Stewardship program to protect and manage critical wildlife areas     | 9/30/2016    | \$100,000.00 |
| National Audubon Society, Inc. - New York Chapter<br>2 Third Street, Suite 480<br>Troy, NY 12180         | 131624102<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | Expanding Audubon, NY coastal conservation program  | 9/30/2016    | \$100,000.00 |
| Natural Resources Defense Council<br>40 West 20th Street<br>New York, NY 10011                           | 132654926<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | general programming support   | 9/30/2016    | \$1,000.00   |
| Roger Tory Peterson Institute of Natural History<br>311 Curtis Street<br>Jamestown, NY 14701             | 112724904<br>501(c)(3)<br>FC11 - 509(a)(1) in 170(b)(1)(A)(ii) - School             | Bringing Nature Back in People's Lives Project  | 9/30/2016    | \$25,000.00  |
| Union of Concerned Scientists, Inc.<br>Two Brattle Square<br>Cambridge, MA 02138-3742                    | 042535767<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | general programming support   | 9/30/2016    | \$1,000.00   |
| United Way of Broome County, Inc.<br>Post Office Box 550<br>Binghamton, NY 13902                         | 150564074<br>501(c)(3)<br>FC16-509(a)(2) under 170(b)(1)(A)(vii)                    | general programming support   | 9/30/2016    | \$1,000.00   |
| Upstream Alliance, Inc.<br>1867 Lindamoor Drive<br>Annapolis, MD 21401                                   | 473035594<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | Upstream Alliance Networking Expeditions program  | 9/30/2016    | \$20,000.00  |

| Organization   | Tax ID<br>Tax Status  | Grant Purpose   | Payment Date     | Amount         |
|--|---|---|------------------|----------------|
| Wilderness Society<br>1615 M Street NW, 2nd Floor<br>Washington, DC 20036-3209 | 530167933<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | general programming support   | 9/30/2016        | \$1,000.00     |
| Wildlands Conservancy<br>3701 Orchid Place<br>Emmaus, Pa 18049                 | 237401326<br>501(c)(3)<br>FC15 - 509(a)(1) in 170(b)(1)(A)(vi) - Publicly Supported | Wild About Learning program   | 9/30/2016        | \$6,000.00     |
| Wesleyan University<br>237 High Street<br>Middletown, CT 06459                 | 060646959<br>501(c)(3)<br>FC11 - 509(a)(1) in 170(b)(1)(A)(ii) - School             | create Robert F. Schumann<br>Institute of the College of the<br>Environment | 12/15/2016       | \$400,000.00   |
|  |   |   | <i>Sub Total</i> | \$1,007,233.00 |

|   |               |           |               |
|---|---------------|-----------|---------------|
| Roberson Museum and<br>Science Center<br>30 Front Street<br>Binghamton, NY 13905                | 501 c 3<br>PC | 3/23/2016 | \$ 250,000.00 |
| Cornell University<br>Laboratory of Ornithology<br>159 Sapsucker Woods Road<br>Ithaca, NY 14850 | 501 c 3<br>PC | 3/23/2016 | \$ 250,000.00 |
| Community Child Care Center<br>555 NW 4th Street<br>Delray Beach, FL 33444                      | 501 c 3<br>PC | 3/23/2016 | \$ 250,000.00 |
| Governor Dummer Academy<br>1 Elm Street<br>Byfield, Ma 01922                                    | 501 c 3<br>PC | 3/23/2016 | \$ 250,000.00 |

*Grand Total* ————— \$ 2 007 233.00