Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ Do not enter social security numbers on this form as it may be made public.

▶ Information about Form 990-PF and its separate instructions is at *www.irs.gov/form990pf*.

OMB No 1545-0052

2016

Open to Public Inspection

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

Name of foundation: THE WALTERS FAMILY FOUNDATION

A Employer identification number: 47-6667269

Number and street (or P O box number if mail is not delivered to street address): 250 SANCTUARY LANE

Room/suite:

B Telephone number (see instructions): (802) 425-7001

City or town, state or province, country, and ZIP or foreign postal code: CHARLOTTE, VT 05445-6312

C If exemption application is pending, check here ▶ ☐

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

D 1 Foreign organizations, check here ▶ ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ $ 459,519.

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

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

SCANNED MAY 18 2017

Part I Analysis of Revenue and Expenses *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)*

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc received (attach schedule)	49,830.			
	2 Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	9,069.	9,069.		ATCH 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	31,170.			
	b Gross sales price for all assets on line 6a 1,400,227.				
	7 Capital gain net income (from Part IV, line 2)		31,170.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 **Total.** Add lines 1 through 11	90,069.	40,239.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule) ATCH 2	1,540.			1,540.
	c Other professional fees (attach schedule) [3]	2,189.	2,189.		
	17 Interest				
	18 Taxes (attach schedule) (see instructions) [4]	1,848.	128.		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)				
	24 **Total operating and administrative expenses.** Add lines 13 through 23	5,577.	2,317.		1,540.
	25 Contributions, gifts, grants paid	30,000.			30,000.
	26 **Total expenses and disbursements** Add lines 24 and 25	35,577.	2,317.	0.	31,540.
	27 Subtract line 26 from line 12				
	a **Excess of revenue over expenses and disbursements**	54,492.			
	b **Net investment income** (if negative, enter -0-)		37,922.		
	c **Adjusted net income** (if negative, enter -0-)				

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

	Line	Description	Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1	Cash - non-interest-bearing	84,951.	97,620.	97,620.
	2	Savings and temporary cash investments			
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U S and state government obligations (attach schedule)			
	b	Investments - corporate stock (attach schedule) ATCH 5	304,976.	333,869.	361,899.
	c	Investments - corporate bonds (attach schedule)			
	11	Investments - land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments - mortgage loans			
	13	Investments - other (attach schedule)			
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I)	389,927.	431,489.	459,519.
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ X			
	27	Capital stock, trust principal, or current funds	389,927.	431,489.	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see instructions)	389,927.	431,489.	
	31	**Total liabilities and net assets/fund balances** (see instructions)	389,927.	431,489.	

Part III Analysis of Changes in Net Assets or Fund Balances

Line	Description		Amount
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	389,927.
2	Enter amount from Part I, line 27a	2	54,492.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	444,419.
5	Decreases not included in line 2 (itemize) ▶ ATCH 6	5	12,930.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	431,489.

Part IV Capital Gains and Losses for Tax on Investment Income

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

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

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

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

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	31,170.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	3	0.

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) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	72,030.	375,435.	0.191857
2014	5,875.	411,454.	0.014279
2013			
2012			
2011			

2	**Total** of line 1, column (d)	2	0.206136
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	0.103068
4	Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	402,625.
5	Multiply line 4 by line 3	5	41,498.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	379.
7	Add lines 5 and 6	7	41,877.
8	Enter qualifying distributions from Part XII, line 4	8	31,540.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 . . . Date of ruling or determination letter ______ (attach copy of letter if necessary - see instructions) b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b . . . c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		1	758.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) . . .		2	
3 Add lines 1 and 2 . . .		3	758.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) . . .		4	0.
5 **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- . . .		5	758.
6 Credits/Payments			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a 1,360.		
b Exempt foreign organizations - tax withheld at source . . .	6b		
c Tax paid with application for extension of time to file (Form 8868) . . .	6c		
d Backup withholding erroneously withheld . . .	6d		
7 Total credits and payments Add lines 6a through 6d . . .		7	1,360.
8 Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached . . .		8	
9 **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** . . . ▶		9	
10 **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** . . . ▶		10	602.
11 Enter the amount of line 10 to be **Credited to 2017 estimated tax** ▶ 602. **Refunded** ▶		11	

Part VII-A Statements Regarding Activities

		Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . .	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? . . .	1b		X
*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c Did the foundation file **Form 1120-POL** for this year? . . .	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ ______ (2) On foundation managers ▶ $ ______			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? . . . *If "Yes," attach a detailed description of the activities*	2		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* . . .	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year? . . .	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? . . .	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . *If "Yes," attach the statement required by General Instruction T*	5		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . .	6	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NC,			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* . . .	8b	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? *If "Yes," complete Part XIV* . . .	9		X
10 Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses* ATCH 7 . . .	10	X	

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

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ KIRK W. & LORETTA M. WALTERS Telephone no ▶ 802-425-7001

Located at ▶ 250 SANCTUARY LANE CHARLOTTE, VT ZIP+4 ▶ 05445

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

			Yes	No
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		X
	See the instructions for exceptions and filing requirements for FinCEN Form 114 If "Yes," enter the name of the foreign country ▶			

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

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

			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b		X
	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?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No			
	If "Yes," list the years ▶			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions)	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 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)*	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b		X

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

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

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
ATCH 8		0.	0.	0.

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

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

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

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

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

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

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

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

Part IX-B **Summary of Program-Related Investments** (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	
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	91,286.
b	Average of monthly cash balances	1b	317,470.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	408,756.
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	
3	Subtract line 2 from line 1d	3	408,756.
4	Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	6,131.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	402,625.
6	**Minimum investment return.** Enter 5% of line 5	6	20,131.

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	20,131.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	758.		
b	Income tax for 2016 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	758.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	19,373.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	19,373.
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	19,373.

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	31,540.
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	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	31,540.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	31,540.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				19,373.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only				
b Total for prior years 20 14 ,20 13 ,20 12				
3 Excess distributions carryover, if any, to 2016				
a From 2011				
b From 2012				
c From 2013				
d From 2014 4,917.				
e From 2015 54,611.				
f Total of lines 3a through e	59,528.			
4 Qualifying distributions for 2016 from Part XII, line 4 ▶ $ 31,540.				
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions)				
c Treated as distributions out of corpus (Election required - see instructions)				
d Applied to 2016 distributable amount				19,373.
e Remaining amount distributed out of corpus	12,167.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	71,695.			
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount - see instructions				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount - see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)				
9 **Excess distributions carryover to 2017.** Subtract lines 7 and 8 from line 6a	71,695.			
10 Analysis of line 9				
a Excess from 2012				
b Excess from 2013				
c Excess from 2014 4,917.				
d Excess from 2015 54,611.				
e Excess from 2016 12,167.				

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)

	Tax year	Prior 3 years			
	(a) 2016	**(b)** 2015	**(c)** 2014	**(d)** 2013	**(e) Total**
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 (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942 (j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 Information Regarding Foundation Managers:

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

KIRK W. AND LORETTA M. WALTERS

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 Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
ATCH 9				
Total . . . . ▶ **3a**				30,000.
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	9,069.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	31,170.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)				40,239.	

13 **Total.** Add line 12, columns (b), (d), and (e) . . . . 13 40,239.

(See worksheet in line 13 instructions to verify calculations)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions)

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

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d If the answer to any of the above is "Yes," complete the following schedule Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
	N/A		N/A

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

Sign Here

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

▶ [signature] 5/12/17 ▶ Trustee

Signature of officer or trustee Date Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
CATHY H ATTIG	[signature] CPA	5/11/17		P00641183
Firm's name ▶ DANAHER ATTIG & PLANTE PLC			Firm's EIN ▶ 20-3682035	
Firm's address ▶ 150 KENNEDY DR, PO BOX 2166 SOUTH BURLINGTON, VT 05407-2166			Phone no 802-383-0399	

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.*

OMB No 1545-0047

2016

Name of the organization	Employer identification number
THE WALTERS FAMILY FOUNDATION	47-6667269

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 THE WALTERS FAMILY FOUNDATION

Employer identification number

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	KIRK W. AND LORETTA M. WALTERS 250 SANCTUARY LANE CHARLOTTE, VT 05445-6312	$ 49,830.	Person [X] Payroll [ ] Noncash [X] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions)

Name of organization THE WALTERS FAMILY FOUNDATION

Employer identification number

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

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
1	3000 SHS PEOPLES UNITED BANK	$ 49,830.	11/08/2016

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

Name of organization THE WALTERS FAMILY FOUNDATION

Employer identification number

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

Use duplicate copies of Part III if additional space is needed

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

ATTACHMENT 1

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

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
INTEREST		11.	11.
DIVIDENDS		9,058.	9,058.
	TOTAL	9,069.	9,069.

ATTACHMENT 2

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
TAX PREPARATION FEES	1,540.			1,540.
TOTALS	1,540.			1,540.

ATTACHMENT 3

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
INVESTMENT MANAGEMENT FEES	2,189.	2,189.
TOTALS	2,189.	2,189.

ATTACHMENT 4

FORM 990PF, PART I - TAXES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
FOREIGN TAX PAID	128.	128.
FEDERAL ESTIMATED PAYMENTS	1,360.	
FEDERAL PRIOR YEAR BAL DUE	360.	
TOTALS	1,848.	128.

ATTACHMENT 5

FORM 990PF, PART II - CORPORATE STOCK

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
PEOPLES UNITED STOCK	36,900.	58,080.
SECURITIES,OPTIONS & ETF'S	296,969.	303,819.
TOTALS	333,869.	361,899.

ATTACHMENT 6

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

DESCRIPTION	AMOUNT
DIFFERENCE BETWEEN COST AND FMV OF DONATED SECURITIES	12,930.
TOTAL	12,930.

FORM 990PF, PART VII-A, LINE 10 - SUBSTANTIAL CONTRIBUTORS

ATTACHMENT 7

NAME AND ADDRESS

KIRK W. AND LORETTA M. WALTERS
250 SANCTUARY LANE
CHARLOTTE, VT 05445-6312

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

ATTACHMENT 8

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
KIRK W. WALTERS 250 SANCTUARY LANE CHARLOTTE, VT 05445-6312	TRUSTEE			
LORETTA M. WALTERS 250 SANCTUARY LANE CHARLOTTE, VT 05445-6312	TRUSTEE			
	GRAND TOTALS	0.	0.	0.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 9

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
ST. CATHERINE OF SIENA 72 CHURCH STREET SHELBURNE, VT 05482	NO RELATIONSHIP PC	GENERAL SUPPORT	25,000.
BOYS & GIRLS CLUB OF BURLINGTON 62 OAK STREET BURLINGTON, VT 05401	NO RELATIONSHIP PC	GENERAL SUPPORT	5,000.
		TOTAL CONTRIBUTIONS PAID	30,000

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		SEE ATTACHED WELLS FARGO - 3157					VARIOUS	VARIOUS
1,324,597.		1,312,219.					12,378.	
		4621 SHS PEOPLES UNITED BANK					11/03/2015	VARIOUS
75,630.		56,838.					18,792.	
TOTAL GAIN(LOSS)							31,170.	

WALTERS FAMILY FOUNDATION
DIV C

DECEMBER 1, 2016 - DECEMBER 31, 2016
ACCOUNT NUMBER: 8482-3157

Additional information

	THIS PERIOD	THIS YEAR		THIS PERIOD	THIS YEAR
Gross proceeds	103,892.38	1,296,431.56	Foreign withholding	-84 57	-127 61

Portfolio detail

Cash and Sweep Balances

Sweep Balances - You have the right, in the course of normal business operations, to withdraw balances in the Bank Deposit Sweep or redeem shares of the money market mutual fund used in the sweep, subject to any open commitments in any of your accounts and have the proceeds returned to your accounts or remitted to you. Note, however, that as required by federal banking regulations, the banks in the Bank Deposit Sweep reserve the right to require seven days prior notice before permitting a transfer out of the Bank Deposit Sweep. In addition, the money market mutual funds in the sweep reserve the right to require one or more day's prior notice before permitting withdrawals

Bank Deposit Sweep - Consists of monies held at Wells Fargo Bank, N.A. and (if amounts exceed $250,000) at one or more other Wells Fargo affiliated banks These assets are not covered by SIPC, but are instead eligible for FDIC insurance of up to $250,000 per depositor, per institution, in accordance with FDIC rules. For additional information on the Bank Deposit Sweep for your account, please contact Your Financial Advisor.

DESCRIPTION	% OF ACCOUNT	ANNUAL PERCENTAGE YIELD EARNED* COST	CURRENT MARKET VALUE	ESTIMATED ANNUAL INCOME
Cash	-6.13	0.00	-23,391 15	0.00
BANK DEPOSIT SWEEP	26.45	0.01	100,846.95	10.08
Interest Period 12/01/16 - 12/31/16				
Total Cash and Sweep Balances	**20.31**	77,455.80	**$77,455.80**	**$10.08**

* APYE measures the total amount of the interest paid on an account based on the interest rate and the frequency of the compounding during the interest period The annual percentage yield earned is expressed as an annualized rate, based on a 365 day year.

Stocks, options & ETFs

Stocks and ETFs

This section may include foreign equity securities that may be denominated in currencies other than US dollars. The amounts, annual income and annual yield on your statement for such securities will be estimated based on prevailing exchange rates and the amount does not necessarily reflect the rate you will receive if converted to US dollars. The "Quantity" field reflects total shares held, regardless of the currency in which your shares are denominated. Please contact Your Financial Advisor if you have additional questions regarding your foreign security holdings.

								ESTIMATED	
DESCRIPTION	% OF ACCOUNT	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ANNUAL INCOME	ANNUAL YIELD (%)
AMGEN INC AMGN Acquired 12/14/16 S	3.83	100	148.86	14,886.31	146.2100	14,621.00	-265.31	460.00	3.14

WELLS FARGO ADVISORS

WALTERS FAMILY FOUNDATION
DIV C

DECEMBER 1, 2016 - DECEMBER 31, 2016
ACCOUNT NUMBER: 8482-3157

Stocks, options & ETFs

Stocks and ETFs continued

								ESTIMATED	
DESCRIPTION	% OF ACCOUNT	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ANNUAL INCOME	ANNUAL YIELD (%)
APPLE INC AAPL Acquired 12/28/16 S	6.08	200	116 95	23,391.15	115 8200	23,164.00	-227.15	456.00	1 96
AT & T INC T Acquired Net Tax Lots S	4.46	400	41.28	16,514.83	42.5300	17,012.00	497.17	784 00	4.60
CISCO SYSTEMS INC CSCO Acquired Net Tax Lots S	4.76	600	30.36	18,217.66	30.2200	18,132.00	-85.66	624.00	3.44
EXXON MOBIL CORP XOM Acquired 08/01/16 S	4.73	200	87.17	17,434.42	90.2600	18,052.00	617.58	600.00	3.32
INTEL CORP INTC Acquired Net Tax Lots S	4.76	500	36.97	18,485.98	36.2700	18,135.00	-350.98	520 00	2 86
JOHNSON & JOHNSON JNJ Acquired 11/22/16 S	6.04	200	112.42	22,484.95	115.2100	23,042.00	557.05	640.00	2.77
JPMORGAN CHASE & CO JPM Acquired 09/06/16 S	4.53	200	67.18	13,437.88	86 2900	17,258.00	3,820.12	384 00	2.22
MCDONALDS CORP MCD Acquired 11/21/16 S	6.38	200	119.42	23,885.04	121.7200	24,344.00	458.96	752.00	3 08
NATIONAL GRID PLC SPON ADR NEW NGG Acquired 12/20/16 S	4.59	300	58.27	17,481.81	58.3300	17,499.00	17.19	887.10	5 06
PEPSICO INCORPORATED PEP Acquired 12/02/16 S	5.49	200	100.37	20,074 52	104.6300	20,926.00	851.48	602.00	2.87
PLAINS GP HLDGS LP INT CL A NEW INT PAGP Acquired 12/08/16 S	5.46	600	33.62	20,177.70	34.6800	20,808.00	630.30	1,320.00	6.34

WALTERS FAMILY FOUNDATION
DIV C

DECEMBER 1, 2016 - DECEMBER 31, 2016
ACCOUNT NUMBER: 8482-3157

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION	% OF ACCOUNT	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED ANNUAL INCOME	ESTIMATED ANNUAL YIELD (%)
SPDR DOW JONES INDL ET AVERAGE ETF TR DIA Acquired 11/21/16 S	15.54	300	188.97	56,693.58	197.5100	59,253.00	2,559.42	1,338 30	2.25
WAL-MART STORES INC WMT Acquired 11/22/16 S	5 44	300	70 33	21,101.79	69 1200	20,736.00	-365.79	600.00	2.89
Total Stocks and ETFs	**82.09**			**$304,267.62**		**$312,982.00**	**$8,714.38**	**$9,967.40**	**3.18**

Options

Listed options are priced based on the closing "bid-ask" prices and the last reported trade

DESCRIPTION	% OF ACCOUNT	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS
CALL AMGEN INC ^ $150 EXP 01/20/17 Acquired 12/14/16 S	-0.04	-1	3.55	-355.01	1.5200	-152.00	203.01
CALL APPLE INC $120 EXP 02/17/17 Acquired 12/28/16 S	-0.10	-2	2.41	-481.91	1.9500	-390.00	91.91
CALL AT&T INC ^ $39 EXP 01/20/17 Acquired 12/16/16 S	-0.37	-4	2.62	-1,048.90	3.5000	-1,400.00	-351.10
CALL CISCO SYSTEMS $31 EXP 02/17/17 Acquired 12/16/16 S	-0 08	-6	0 61	-366 23	0.5100	-306.00	60.23
CALL EXXON MOBIL CORP $90 EXP 02/17/17 Acquired 12/16/16 S	-0.12	-2	3.15	-631.55	2.3200	-464.00	167.55
CALL INTEL CORP ^ $36 EXP 01/20/17 Acquired 11/30/16 S	-0.11	-5	0 53	-266.97	0 8500	-425.00	-158.03
CALL JOHNSON & JOHNSON ^ $115 EXP 01/20/17 Acquired 11/22/16 S	-0.09	-2	1.32	-265.34	1.7000	-340.00	-74.66

WELLS FARGO ADVISORS

WALTERS FAMILY FOUNDATION
DIV C

DECEMBER 1, 2016 - DECEMBER 31, 2016
ACCOUNT NUMBER: 8482-3157

Stocks, options & ETFs

Options continued

DESCRIPTION	% OF ACCOUNT	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS
CALL JP MORGAN CHASE ^ $80 EXP 01/20/17 Acquired 12/16/16 S	-0.33	-2	6.25	-1,250.39	6.3000	-1,260.00	-9 61
CALL MCDONALDS CORP ^ $120 EXP 01/20/17 Acquired 11/21/16 S	-0.15	-2	2.02	-403.91	2.8700	-574.00	-170 09
CALL NATIONAL GRID PLC $60 EXP 02/17/17 Acquired 12/20/16 S	-0.04	-3	0 78	-234.55	0.5500	-165.00	69.55
CALL PEPSICO INC ^ $105 EXP 01/20/17 Acquired 12/02/16 S	-0.06	-2	0.54	-109.31	1.1700	-234.00	-124 69
CALL PLAINS GP HLDGS LP ^ $35 EXP 01/20/17 Acquired 12/08/16 S	-0.13	-6	0.85	-509.75	0.8000	-480.00	29.75
CALL SPDR DOW JONES IND ^ $188 EXP 01/20/17 Acquired 11/21/16 S	-0.77	-3	4.00	-1,199.85	9 7700	-2,931.00	-1,731.15
CALL WAL-MART STORES INC ^ $72.50 EXP 01/20/17 Acquired 11/22/16 S	-0.01	-3	0 58	-175.13	0.1400	-42.00	133.13
Total Options	**-2.40**			**-$7,298.80**		**-$9,163.00**	**-$1,864.20**
Total Stocks, options & ETFs	**79.69**			**$296,968.82**		**$303,819.00**	**$6,850.18**

Wells Fargo-6510 cash	20,164.69	20,164.69
Wells Fargo-0242 3000 shs Peoples	36,900.00	58,080.00
	431,489.31	459,519.49

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WALTERS FAMILY FOUNDATION
DIV C

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Proceeds from Broker and Barter Exchange Transactions

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
AT & T INC CUSIP: 00206R102	400.00000	02/24/2016	03/18/2016	15,003.54	14,734.44	0.00	0.00	269.10	**Box 6:** Gross Proceeds Assignment
	400 00000	03/23/2016	06/17/2016	15,448.72	15,419.00	0.00	0.00	29.72	**Box 6:** Gross Proceeds Assignment
	400.00000	04/13/2016	06/17/2016	15,448.72	15,372.68	0 00	0.00	76.04	**Box 6:** Gross Proceeds Assignment
Subtotals	**1200.00000**			**$45,900.98**	**$45,526.12**	**$0.00**	**$0.00**	**$374.86**	
ABBOTT LABORATORIES CUSIP. 002824100	300.00000	01/07/2016	01/28/2016	11,043.01	12,624.45	0.00	0.00	-1,581.44	**Box 6:** Gross Proceeds
AMGEN INC CUSIP: 031162100	100.00000	06/08/2016	08/12/2016	15,701.15	15,764.17	0.00	0.00	-63.02	**Box 6:** Gross Proceeds Assignment
ANHEUSER BUSCH INBEV SA/NV-SPONSORED ADR CUSIP: 03524A108	200 00000	11/10/2016	12/14/2016	20,526.00	21,816.00	0.00	0.00	-1,290.00	**Box 6:** Gross Proceeds
AVANGRID INC CUSIP: 05351W103	300.00000	03/29/2016	05/20/2016	12,469.00	12,096.45	0.00	0 00	372.55	**Box 6:** Gross Proceeds Assignment
	100.00000	03/29/2016	05/25/2016	4,121.42	4,032.15	0.00	0.00	89.27	**Box 6:** Gross Proceeds
Subtotals	**400.00000**			**$16,590.42**	**$16,128.60**	**$0.00**	**$0.00**	**$461.82**	

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WALTERS FAMILY FOUNDATION
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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
BOEING CO CUSIP: 097023105	100 00000	05/23/2016	08/09/2016	13,418.43	12,739.30	0.00	0.00	679 13	**Box 6:** Gross Proceeds Assignment
CISCO SYSTEMS INC CUSIP: 17275R102	500.00000	12/15/2015	01/19/2016	11,965 58	13,410.50	0.00	0.00	-1,444.92	**Box 6:** Gross Proceeds
	600.00000	12/15/2015	02/19/2016	15,251.46	16,092.60	0.00	0.00	-841.14	**Box 6:** Gross Proceeds Assignment
Subtotals	**1100.00000**			**$27,217.04**	**$29,503.10**	**$0.00**	**$0.00**	**($2,286.06)**	
COCA-COLA COMPANY CUSIP: 191216100	300.00000	06/16/2016	12/02/2016	12,089 86	13,455.63	0.00	0.00	-1,365 77	**Box 6:** Gross Proceeds
DIAGEO PLC SPONSORED ADR NEW CUSIP: 25243Q205	100.00000	03/10/2016	04/15/2016	10,861.00	10,620 37	0.00	0.00	240.63	**Box 6:** Gross Proceeds Assignment
	100.00000	04/27/2016	07/15/2016	10,645.29	10,896.93	0.00	0.00	-251.64	**Box 6:** Gross Proceeds Assignment
Subtotals	**200.00000**			**$21,506.29**	**$21,517.30**	**$0.00**	**$0.00**	**($11.01)**	
DOW CHEMICAL COMPANY CUSIP. 260543103	300.00000	08/23/2016	10/21/2016	16,111.87	16,036.32	0.00	0.00	75 55	**Box 6:** Gross Proceeds Assignment
	300.00000	11/28/2016	12/22/2016	16,779.23	16,210.77	0.00	0 00	568.46	**Box 6:** Gross Proceeds Assignment
Subtotals	**600.00000**			**$32,891.10**	**$32,247.09**	**$0.00**	**$0.00**	**$644.01**	
DUKE ENERGY CORP COM NEW CUSIP 26441C204	200.00000	01/05/2016	02/09/2016	14,631 76	14,059.50	0.00	0.00	572.26	**Box 6:** Gross Proceeds Assignment
	200.00000	02/23/2016	03/18/2016	15,270.38	14,958.78	0.00	0.00	311.60	**Box 6:** Gross Proceeds Assignment
	200.00000	05/25/2016	06/17/2016	15,679.59	15,375.26	0.00	0.00	304.33	**Box 6:** Gross Proceeds Assignment

WELLS FARGO ADVISORS

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WALTERS FAMILY FOUNDATION
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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
DUKE ENERGY CORP COM NEW CUSIP: 26441C204	200.00000	08/24/2016	12/16/2016	15,160.95	16,255.92	0 00	0.00	-1,094.97	**Box 6:** Gross Proceeds Assignment
	100.00000	11/18/2016	12/16/2016	7,580.49	7,344.37	0.00	0.00	236.12	**Box 6:** Gross Proceeds Assignment
Subtotals	**900.00000**			**$68,323.17**	**$67,993.83**	**$0.00**	**$0.00**	**$329.34**	
EMERSON ELECTRIC CO CUSIP: 291011104	300.00000	06/21/2016	07/15/2016	16,184.54	15,940 17	0.00	0.00	244.37	**Box 6:** Gross Proceeds Assignment
	300.00000	08/24/2016	11/18/2016	16,081 88	16,185.93	0 00	0.00	-104 05	**Box 6:** Gross Proceeds Assignment
Subtotals	**600.00000**			**$32,266.42**	**$32,126.10**	**$0.00**	**$0.00**	**$140.32**	
EXELON CORPORATION CUSIP. 30161N101	500 00000	12/22/2015	02/09/2016	14,673.38	13,670 65	0.00	0.00	1,002.73	**Box 6:** Gross Proceeds Assignment
	400.00000	03/07/2016	03/18/2016	13,744.00	13,513.88	0.00	0.00	230.12	**Box 6:** Gross Proceeds Assignment
Subtotals	**900.00000**			**$28,417.38**	**$27,184.53**	**$0.00**	**$0.00**	**$1,232.85**	
EXXON MOBIL CORP CUSIP: 30231G102	400.00000	12/04/2015	03/18/2016	32,439.15	30,953 36	0.00	0.00	1,485.79	**Box 6:** Gross Proceeds Assignment
	200.00000	04/06/2016	05/10/2016	17,228.38	16,610.96	0.00	0.00	617.42	**Box 6:** Gross Proceeds Assignment
Subtotals	**600.00000**			**$49,667.53**	**$47,564.32**	**$0.00**	**$0.00**	**$2,103.21**	
GENERAL ELECTRIC COMPANY CUSIP 369604103	400 00000	05/26/2016	06/15/2016	12,187.60	12,044.72	0.00	0.00	142 88	**Box 6:** Gross Proceeds Assignment

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
GILEAD SCIENCES INC CUSIP. 375558103	200.00000	08/23/2016	12/14/2016	15,183 54	16,262.14	0 00	0 00	-1,078 60	**Box 6:** Gross Proceeds
	100.00000	11/22/2016	12/14/2016	7,591.78	7,438.96	0 00	0 00	152.82	**Box 6:** Gross Proceeds
Subtotals	**300.00000**			**$22,775.32**	**$23,701.10**	**$0.00**	**$0.00**	**($925.78)**	
INTEL CORP CUSIP. 458140100	500.00000	03/31/2016	08/02/2016	16,439.46	16,218.15	0 00	0.00	221.31	**Box 6:** Gross Proceeds Assignment
INTERNATIONAL BUSINESS MACHINE CORP CUSIP. 459200101	100.00000	03/31/2016	06/17/2016	15,144.63	15,246.47	0 00	0.00	-101.84	**Box 6:** Gross Proceeds Assignment
	100.00000	06/22/2016	08/05/2016	15,881.61	15,236 52	0.00	0.00	645.09	**Box 6:** Gross Proceeds Assignment
	100 00000	09/20/2016	11/11/2016	15,363.80	15,476.97	0 00	0.00	-113.17	**Box 6:** Gross Proceeds Assignment
Subtotals	**300.00000**			**$46,390.04**	**$45,959.96**	**$0.00**	**$0.00**	**$430.08**	
JPMORGAN CHASE & CO CUSIP. 46625H100	300.00000	03/21/2016	04/15/2016	18,476.48	18,133 41	0 00	0.00	343.07	**Box 6:** Gross Proceeds Assignment
	200.00000	06/16/2016	07/15/2016	12,737.65	12,284.60	0 00	0 00	453 05	**Box 6:** Gross Proceeds Assignment
Subtotals	**500.00000**			**$31,214.13**	**$30,418.01**	**$0.00**	**$0.00**	**$796.12**	
JOHNSON & JOHNSON CUSIP 478160104	100.00000	01/28/2016	04/15/2016	10,723.73	10,225.58	0.00	0.00	498 15	**Box 6:** Gross Proceeds Assignment
KINDER MORGAN INC DEL CUSIP: 49456B101	700.00000	06/22/2016	08/19/2016	13,832.58	12,984.02	0 00	0.00	848.56	**Box 6:** Gross Proceeds Assignment

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WALTERS FAMILY FOUNDATION
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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
ELI LILLY & CO CUSIP. 532457108	200.00000	07/21/2016	12/16/2016	14,173.61	16,045.88	0.00	0.00	-1,872.27	**Box 6:** Gross Proceeds Assignment
MERCK & CO INC NEW CUSIP: 58933Y105	500 00000	09/01/2015	01/07/2016	26,105.97	26,486.30	0.00	0.00	-380.33	**Box 6:** Gross Proceeds
	300.00000	03/21/2016	04/15/2016	16,114.75	15,803 73	0.00	0.00	311.02	**Box 6:** Gross Proceeds Assignment
	200.00000	04/27/2016	06/10/2016	11,160.33	11,274 50	0.00	0.00	-114.17	**Box 6:** Gross Proceeds Assignment
Subtotals	**1000.00000**			**$53,381.05**	**$53,564.53**	**$0.00**	**$0.00**	**($183.48)**	
MICROSOFT CORP CUSIP. 594918104	300.00000	02/11/2016	03/18/2016	15,992.55	14,797 56	0.00	0.00	1,194.99	**Box 6:** Gross Proceeds Assignment
	300.00000	04/22/2016	08/15/2016	16,054.39	15,582.48	0 00	0.00	471.91	**Box 6:** Gross Proceeds Assignment
Subtotals	**600.00000**			**$32,046.94**	**$30,380.04**	**$0.00**	**$0.00**	**$1,666.90**	
PEPSICO INCORPORATED CUSIP: 713448108	100.00000	02/11/2016	02/19/2016	9,849.75	9,670.20	0.00	0.00	179.55	**Box 6:** Gross Proceeds Assignment
	100.00000	02/29/2016	03/18/2016	9,937.75	9,827.49	0.00	0 00	110 26	**Box 6:** Gross Proceeds Assignment
	300.00000	03/30/2016	05/06/2016	30,968.70	30,618.84	0.00	0.00	349.86	**Box 6:** Gross Proceeds Assignment
	100.00000	05/19/2016	06/10/2016	10,275 23	10,101 61	0 00	0.00	173.62	**Box 6:** Gross Proceeds Assignment
Subtotals	**600.00000**			**$61,031.43**	**$60,218.14**	**$0.00**	**$0.00**	**$813.29**	

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
PFIZER INCORPORATED CUSIP 717081103	500.00000	01/07/2016	04/15/2016	15,229.48	15,878 30	0.00	0.00	-648 82	**Box 6:** Gross Proceeds Assignment
	400 00000	06/22/2016	08/02/2016	14,338.32	13,967.56	0.00	0 00	370 76	**Box 6:** Gross Proceeds Assignment
	400.00000	09/20/2016	11/22/2016	12,447.09	13,527.24	0.00	0 00	-1,080.15	**Box 6:** Gross Proceeds
Subtotals	**1300.00000**			**$42,014.89**	**$43,373.10**	**$0.00**	**$0.00**	**($1,358.21)**	
PROCTER & GAMBLE CO CUSIP: 742718109	100.00000	01/19/2016	03/18/2016	7,904.79	7,662.81	0.00	0.00	241.98	**Box 6:** Gross Proceeds Assignment
	200.00000	04/20/2016	07/15/2016	16,665.57	16,486 82	0 00	0.00	178.75	**Box 6:** Gross Proceeds Assignment
Subtotals	**300.00000**			**$24,570.36**	**$24,149.63**	**$0.00**	**$0.00**	**$420.73**	
RAYTHEON COMPANY CUSIP. 755111507	100.00000	04/19/2016	05/20/2016	12,829.68	12,626.01	0 00	0.00	203.67	**Box 6:** Gross Proceeds Assignment
ROYAL BANK CANADA MONTREAL QUE CUSIP: 780087102	500.00000	11/30/2015	03/18/2016	25,249.72	28,336.25	0.00	0 00	-3,086.53	**Box 6:** Gross Proceeds Assignment
SPDR DOW JONES INDL ETF AVERAGE ETF TR CUSIP: 78467X109	200.00000	11/25/2015	03/17/2016	33,083.28	35,630.80	0.00	0.00	-2,547.52	**Box 6:** Gross Proceeds Assignment
	100.00000	01/11/2016	03/17/2016	16,541.66	16,297.82	0.00	0.00	243.84	**Box 6:** Gross Proceeds Assignment
	100.00000	03/24/2016	04/14/2016	17,620.58	17,397.80	0 00	0.00	222.78	**Box 6:** Gross Proceeds Assignment
	200.00000	05/23/2016	06/16/2016	35,480.54	35,037.20	0.00	0 00	443 34	**Box 6:** Gross Proceeds Assignment

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
SPDR DOW JONES INDL ETF AVERAGE ETF TR CUSIP: 78467X109	100.00000	06/17/2016	08/18/2016	18,070.56	17,633 55	0.00	0.00	437 01	**Box 6:** Gross Proceeds Assignment
	200.00000	06/17/2016	08/18/2016	36,141.14	35,306 72	0.00	0.00	834.42	**Box 6:** Gross Proceeds Assignment
	100.00000	06/24/2016	08/18/2016	18,070.58	17,496.26	0.00	0.00	574.32	**Box 6:** Gross Proceeds Assignment
	200.00000	08/23/2016	09/15/2016	37,225.73	37,103.84	0.00	0.00	121 89	**Box 6:** Gross Proceeds Assignment
	200.00000	09/20/2016	10/20/2016	36,741.34	36,304.70	0 00	0.00	436 64	**Box 6:** Gross Proceeds Assignment
	200.00000	11/01/2016	11/17/2016	36,531.25	35,896.54	0.00	0.00	634.71	**Box 6:** Gross Proceeds Assignment
Subtotals	**1600.00000**			**$285,506.66**	**$284,105.23**	**$0.00**	**$0.00**	**$1,401.43**	
SANOFI ADR CUSIP: 80105N105	300.00000	07/12/2016	09/01/2016	11,477 72	12,430 62	0 00	0 00	-952.90	**Box 6:** Gross Proceeds
TARGET CORP CUSIP: 87612E106	200.00000	07/19/2016	08/18/2016	13,997.23	14,750.18	0 00	0.00	-752.95	**Box 6:** Gross Proceeds
UNION PACIFIC CORP CUSIP. 907818108	200.00000	03/24/2016	05/20/2016	16,367.56	16,198.08	0.00	0.00	169 48	**Box 6:** Gross Proceeds Assignment
UNITED TECHNOLOGIES CORP CUSIP 913017109	100.00000	11/24/2015	01/13/2016	8,855.60	9,669.54	0 00	0.00	-813.94	**Box 6:** Gross Proceeds
	200.00000	11/24/2015	03/18/2016	18,128 47	19,339 08	0.00	0.00	-1,210.61	**Box 6:** Gross Proceeds Assignment
Subtotals	**300.00000**			**$26,984.07**	**$29,008.62**	**$0.00**	**$0.00**	**($2,024.55)**	

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WALTERS FAMILY FOUNDATION
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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
VERIZON COMMUNICATIONS COM CUSIP: 92343V104	600.00000	12/01/2015	02/19/2016	28,031.42	27,446.88	0.00	0.00	584.54	**Box 6:** Gross Proceeds Assignment
WAL-MART STORES INC CUSIP: 931142103	500.00000	10/21/2015	03/08/2016	32,877.25	29,396.60	0 00	0.00	3,480.65	**Box 6:** Gross Proceeds Assignment
	400.00000	04/18/2016	06/17/2016	26,417.74	27,696.48	0.00	0.00	-1,278.74	**Box 6:** Gross Proceeds Assignment
Subtotals	**900.00000**			**$59,294.99**	**$57,093.08**	**$0.00**	**$0.00**	**$2,201.91**	
WASTE MGMT INC DEL CUSIP: 94106L109	300.00000	01/13/2016	02/19/2016	16,114.36	15,701.94	0 00	0.00	412 42	**Box 6:** Gross Proceeds Assignment
	300.00000	04/18/2016	05/20/2016	17,504.50	17,152.05	0.00	0.00	352.45	**Box 6:** Gross Proceeds Assignment
	200.00000	08/05/2016	11/18/2016	12,715.06	13,213 58	0 00	0 00	-498.52	**Box 6:** Gross Proceeds Assignment
Subtotals	**800.00000**			**$46,333.92**	**$46,067.57**	**$0.00**	**$0.00**	**$266.35**	
CALL GILEAD SCIENCES $85 EXP 11/18/16 CUSIP N/A	2 00000	11/02/2016	09/28/2016	237 75	6 13	0 00	0.00	231.62	**Box 6:** Gross Proceeds Short Sale
CALL SPDR DOW JONES IND $164 EXP 02/19/16 CUSIP: N/A	3.00000	02/11/2016	01/12/2016	1,230.43	57 00	0 00	0.00	1,173 43	**Box 6:** Gross Proceeds Short Sale
CALL SPDR DOW JONES IND $180 EXP 02/19/16 CUSIP. N/A	2.00000	01/11/2016	12/22/2015	210.17	16.07	0.00	0.00	194.10	**Box 6:** Gross Proceeds Short Sale

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
CALL GILEAD SCIENCES $85 EXP 10/21/16 CUSIP· N/A	2.00000	09/28/2016	08/23/2016	248.71	50.08	0.00	0.00	198.63	**Box 6:** Gross Proceeds Short Sale
CALL GILEAD SCIENCES $82.50 EXP 01/20/17 CUSIP: N/A	3.00000	12/14/2016	11/02/2016	218.06	175.65	0 00	0.00	42.41	**Box 6:** Gross Proceeds Short Sale
CALL EMERSON ELECTRIC CO $55 EXP 10/21/16 CUSIP: N/A	3.00000	09/19/2016	08/24/2016	307.93	45.12	0.00	0.00	262.81	**Box 6:** Gross Proceeds Short Sale
CALL JP MORGAN CHASE $67 50 EXP 10/21/16 CUSIP. N/A	2.00000	10/21/2016	09/06/2016	262.12	97.86	0.00	0 00	164.26	**Box 6:** Gross Proceeds Short Sale
CALL JP MORGAN CHASE $70 EXP 12/16/16 CUSIP: N/A	2.00000	12/16/2016	10/21/2016	188.00	3,161 59	0.00	0.00	-2,973.59	**Box 6:** Gross Proceeds Short Sale
CALL COCA-COLA COMPANY $44 EXP 09/16/16 CUSIP: N/A	3.00000	08/31/2016	07/27/2016	136.02	21.65	0.00	0 00	114.37	**Box 6:** Gross Proceeds Short Sale
CALL COCA-COLA COMPANY $45 EXP 07/15/16 CUSIP: N/A	3.00000	07/15/2016	06/16/2016	212.89	174 31	0.00	0.00	38.58	**Box 6:** Gross Proceeds Short Sale
CALL COCA-COLA COMPANY $43 EXP 11/18/16 CUSIP: N/A	3 00000	11/10/2016	09/28/2016	215.88	12.85	0.00	0.00	203.03	**Box 6:** Gross Proceeds Short Sale

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
CALL COCA-COLA COMPANY $45 EXP 08/19/16 CUSIP. N/A	3.00000	07/27/2016	07/15/2016	347.69	24.11	0.00	0.00	323.58	**Box 6:** Gross Proceeds Short Sale
CALL COCA-COLA COMPANY $42 EXP 12/16/16 CUSIP. N/A	3 00000	12/02/2016	11/16/2016	95 88	13.14	0 00	0.00	82 74	**Box 6:** Gross Proceeds Short Sale
CALL COCA-COLA COMPANY $44 EXP 10/21/16 CUSIP. N/A	3.00000	09/28/2016	08/31/2016	113.88	24.12	0.00	0.00	89.76	**Box 6:** Gross Proceeds Short Sale
CALL ELI LILLY & CO $80 EXP 12/16/16 CUSIP. N/A	2.00000	11/23/2016	10/21/2016	664.93	18.08	0.00	0.00	646.85	**Box 6:** Gross Proceeds Short Sale
CALL ELI LILLY & CO $80 EXP 09/16/16 CUSIP. N/A	2.00000	09/01/2016	07/21/2016	437 91	27.16	0.00	0.00	410.75	**Box 6:** Gross Proceeds Short Sale
CALL ELI LILLY & CO $80 EXP 10/21/16 CUSIP. N/A	2.00000	10/21/2016	09/01/2016	159 18	16.76	0.00	0 00	142.42	**Box 6:** Gross Proceeds Short Sale
CALL EXXON MOBIL CORP $87.50 EXP 12/16/16 CUSIP. N/A	2.00000	12/16/2016	10/21/2016	288.10	750 08	0.00	0 00	-461.98	**Box 6:** Gross Proceeds Short Sale
CALL CISCO SYSTEMS $27 EXP 02/19/16 CUSIP. N/A	11.00000	01/19/2016	01/06/2016	573.14	88 29	0.00	0.00	484 85	**Box 6:** Gross Proceeds Short Sale

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Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

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CALL CISCO SYSTEMS $31 EXP 09/16/16 CUSIP: N/A	5.00000	09/16/2016	08/17/2016	308.66	35.16	0.00	0 00	273.50	**Box 6:** Gross Proceeds Short Sale
CALL AMGEN INC $157.50 EXP 06/17/16 CUSIP. N/A	1.00000	06/14/2016	06/08/2016	197.53	11.01	0.00	0.00	186.52	**Box 6:** Gross Proceeds Short Sale
CALL AMGEN INC $160 EXP 07/15/16 CUSIP: N/A	1.00000	06/28/2016	06/14/2016	116.94	13 04	0.00	0.00	103.90	**Box 6:** Gross Proceeds Short Sale
CALL CISCO SYSTEMS $31 EXP 11/18/16 CUSIP: N/A	5.00000	11/17/2016	09/16/2016	454.79	6.84	0.00	0.00	447.95	**Box 6:** Gross Proceeds Short Sale
CALL DOW CHEMICAL COMPNY $52.50 EXP 09/16/16 CUSIP: N/A	3.00000	09/16/2016	08/23/2016	433.72	73 82	0.00	0.00	359 90	**Box 6:** Gross Proceeds Short Sale
CALL DUKE ENERGY CORP $80 EXP 09/16/16 CUSIP: N/A	2.00000	09/15/2016	08/24/2016	389.91	20.57	0.00	0.00	369.34	**Box 6:** Gross Proceeds Short Sale
CALL CISCO SYSTEMS $30 EXP 12/16/16 CUSIP. N/A	6.00000	12/16/2016	11/17/2016	321.54	258 06	0.00	0 00	63.48	**Box 6:** Gross Proceeds Short Sale
CALL BOEING CORP $129 EXP 06/17/16 CUSIP: N/A	1.00000	06/17/2016	05/23/2016	219.06	80.04	0.00	0.00	139.02	**Box 6:** Gross Proceeds Short Sale

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Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

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CALL BOEING CORP $130 EXP 07/15/16 CUSIP. N/A	1.00000	07/14/2016	06/17/2016	315.84	162 04	0 00	0 00	153.80	**Box 6:** Gross Proceeds Short Sale
CALL ANHEUSER-BUSCH INBV $110 EXP 12/16/16 CUSIP: N/A	2.00000	12/14/2016	11/30/2016	89 92	10 08	0.00	0 00	79.84	**Box 6:** Gross Proceeds Short Sale
CALL ANHEUSER-BUSCH INBV $115 EXP 12/16/16 CUSIP. N/A	2.00000	11/29/2016	11/10/2016	146.66	20 08	0.00	0 00	126.58	**Box 6:** Gross Proceeds Short Sale
CALL INTEL CORP $33 EXP 05/20/16 CUSIP. N/A	5 00000	04/28/2016	04/13/2016	239.81	35.18	0.00	0.00	204.63	**Box 6:** Gross Proceeds Short Sale
CALL JOHNSON & JOHNSON $104 EXP 02/19/16 CUSIP. N/A	1.00000	02/17/2016	01/28/2016	90.65	5.04	0.00	0.00	85.61	**Box 6:** Gross Proceeds Short Sale
CALL INTEL CORP $32.50 EXP 04/15/16 CUSIP. N/A	5.00000	04/13/2016	03/31/2016	224.40	32.62	0.00	0 00	191.78	**Box 6:** Gross Proceeds Short Sale
CALL WAL-MART STORES INC $62 50 EXP 02/19/16 CUSIP· N/A	5 00000	02/18/2016	01/15/2016	930.12	325 18	0.00	0 00	604 94	**Box 6:** Gross Proceeds Short Sale
CALL DUKE ENERGY CORP $80 EXP 10/21/16 CUSIP: N/A	2.00000	10/19/2016	09/15/2016	249.91	10.08	0 00	0.00	239.83	**Box 6:** Gross Proceeds Short Sale

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Proceeds from Broker and Barter Exchange Transactions, continued

Short Term Gains or Losses (Box 2) For Covered Securities (Box 5)

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
CALL PFIZER INCORPORATED $32 EXP 04/15/16 CUSIP· N/A	5 00000	03/10/2016	02/03/2016	135.85	25.18	0.00	0.00	110 67	**Box 6:** Gross Proceeds Short Sale
CALL INTEL CORP $38 EXP 11/18/16 CUSIP: N/A	4.00000	10/20/2016	09/28/2016	347 85	36.16	0.00	0.00	311.69	**Box 6:** Gross Proceeds Short Sale
CALL INTEL CORP $37 EXP 12/16/16 CUSIP· N/A	4.00000	11/30/2016	10/20/2016	175.84	20.16	0.00	0 00	155.68	**Box 6:** Gross Proceeds Short Sale
CALL MERCK & CO INC $56 50 EXP 05/20/16 CUSIP: N/A	2.00000	05/09/2016	04/27/2016	197.18	12.07	0.00	0.00	185.11	**Box 6:** Gross Proceeds Short Sale
CALL INTL BUSINESS MACH $155 EXP 10/21/16 CUSIP: N/A	1.00000	10/18/2016	09/20/2016	400.95	11.96	0.00	0.00	388.99	**Box 6:** Gross Proceeds Short Sale
CALL PFIZER INCORPORATED $33 EXP 03/18/16 CUSIP: N/A	5.00000	02/02/2016	01/07/2016	245 81	44.53	0.00	0.00	201.28	**Box 6:** Gross Proceeds Short Sale
CALL INTEL CORP $32 EXP 06/17/16 CUSIP. N/A	5 00000	06/16/2016	04/28/2016	259 81	19.46	0.00	0.00	240 35	**Box 6:** Gross Proceeds Short Sale
CALL PFIZER INCORPORATED $33.50 EXP 10/21/16 CUSIP. N/A	4.00000	10/18/2016	09/20/2016	311.83	12.16	0 00	0 00	299 67	**Box 6:** Gross Proceeds Short Sale

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CALL DIAGEO PLC $110 EXP 06/17/16 CUSIP. N/A	1 00000	06/14/2016	04/27/2016	221.75	9.01	0 00	0.00	212.74	**Box 6:** Gross Proceeds Short Sale
CALL AT&T INC $39 EXP 05/20/16 CUSIP: N/A	8.00000	05/19/2016	03/23/2016	369.32	24 28	0 00	0.00	345 04	**Box 6:** Gross Proceeds Short Sale
CALL UNION PACIFIC $81 EXP 04/15/16 CUSIP. N/A	2.00000	04/06/2016	03/24/2016	348.95	34.45	0 00	0 00	314.50	**Box 6:** Gross Proceeds Short Sale
CALL SANOFI-AVENTIS $41 EXP 09/16/16 CUSIP. N/A	3.00000	09/01/2016	08/10/2016	141 74	30 28	0.00	0.00	111.46	**Box 6:** Gross Proceeds Short Sale
CALL SANOFI-AVENTIS $42 EXP 08/19/16 CUSIP: N/A	3.00000	08/10/2016	07/12/2016	301.02	42.12	0.00	0 00	258.90	**Box 6:** Gross Proceeds Short Sale
CALL PROCTER & GAMBLE $82.50 EXP 05/20/16 CUSIP. N/A	2.00000	05/18/2016	04/20/2016	297 66	4.07	0.00	0.00	293.59	**Box 6:** Gross Proceeds Short Sale
CALL DUKE ENERGY CORP $80 EXP 12/16/16 CUSIP· N/A	2.00000	11/18/2016	10/20/2016	220.53	20.08	0.00	0.00	200 45	**Box 6:** Gross Proceeds Short Sale
CALL WAL-MART STORES INC $62.50 EXP 01/15/16 CUSIP. N/A	5 00000	01/15/2016	11/24/2015	247.67	81.03	0 00	0.00	166.64	**Box 6:** Gross Proceeds Short Sale

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CALL AT&T INC $41 EXP 09/16/16 CUSIP: N/A	3.00000	09/09/2016	07/20/2016	608.88	39.12	0.00	0.00	569.76	**Box 6:** Gross Proceeds Short Sale
CALL AT&T INC $41 EXP 11/18/16 CUSIP. N/A	3 00000	10/21/2016	09/09/2016	203 00	15.12	0.00	0.00	187 88	**Box 6:** Gross Proceeds Short Sale
CALL TARGET CORP $72.50 EXP 09/16/16 CUSIP: N/A	2.00000	08/18/2016	07/19/2016	546.68	93.54	0.00	0.00	453.14	**Box 6:** Gross Proceeds Short Sale
CALL AT&T INC $38 EXP 12/16/16 CUSIP: N/A	4 00000	12/16/2016	10/31/2016	129.62	1,460.16	0.00	0.00	-1,330.54	**Box 6:** Gross Proceeds Short Sale
CALL WASTE MANAGEMENT $65 EXP 10/21/16 CUSIP: N/A	2.00000	10/13/2016	09/09/2016	107.99	8.30	0.00	0 00	99.69	**Box 6:** Gross Proceeds Short Sale
CALL PFIZER INCORPORATED $33 EXP 12/16/16 CUSIP: N/A	4.00000	11/22/2016	10/18/2016	288.75	31.95	0.00	0.00	256.80	**Box 6:** Gross Proceeds Short Sale
CALL WAL-MART STORES INC $69 EXP 05/20/16 CUSIP: N/A	4 00000	05/18/2016	04/18/2016	522 04	27 00	0.00	0.00	495 04	**Box 6:** Gross Proceeds Short Sale
CALL EXXON MOBIL CORP $85 EXP 10/21/16 CUSIP: N/A	2 00000	10/21/2016	09/13/2016	481.91	246 04	0 00	0 00	235.87	**Box 6:** Gross Proceeds Short Sale

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CALL ABBOTT LABORATORIES $44 EXP 02/19/16 CUSIP. N/A	3.00000	01/21/2016	01/07/2016	176.48	28.62	0.00	0.00	147 86	**Box 6:** Gross Proceeds Short Sale
CALL ABBOTT LABORATORIES $43 EXP 03/18/16 CUSIP: N/A	3.00000	01/28/2016	01/21/2016	107 37	20.46	0.00	0.00	86.91	**Box 6:** Gross Proceeds Short Sale
CALL UNITED TECHNOLOGIES $90 EXP 02/19/16 CUSIP N/A	2.00000	02/11/2016	01/13/2016	357.98	12.07	0.00	0.00	345.91	**Box 6:** Gross Proceeds Short Sale
CALL UNITED TECHNOLOGIES $100 EXP 02/19/16 CUSIP. N/A	3.00000	01/13/2016	12/22/2015	145 82	29 20	0.00	0 00	116.62	**Box 6:** Gross Proceeds Short Sale
CALL WASTE MANAGEMENT $65 EXP 09/16/16 CUSIP· N/A	2.00000	09/09/2016	08/05/2016	329 85	20.08	0.00	0 00	309.77	**Box 6:** Gross Proceeds Short Sale
CALL EXXON MOBIL CORP $87 50 EXP 09/16/16 CUSIP: N/A	2.00000	09/13/2016	08/01/2016	323 92	26.08	0 00	0.00	297.84	**Box 6:** Gross Proceeds Short Sale
CALL AVANGRID INC $40 EXP 05/20/16 CUSIP. N/A	1.00000	05/20/2016	03/29/2016	156.42	55.04	0 00	0.00	101.38	**Box 6:** Gross Proceeds Short Sale
CALL ROYAL BANK CANADA $55 EXP 04/15/16 CUSIP. N/A	5.00000	01/20/2016	01/06/2016	308 17	123.13	0.00	0 00	185.04	**Box 6:** Gross Proceeds Short Sale

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CALL MICROSOFT CORP $52.50 EXP 06/17/16 CUSIP: N/A	3.00000	06/14/2016	04/22/2016	319 02	6.11	0.00	0.00	312 91	**Box 6:** Gross Proceeds Short Sale
CALL MERCK & CO INC $55 EXP 01/15/16 CUSIP: N/A	5.00000	01/07/2016	12/17/2015	234.82	25.18	0.00	0.00	209.64	**Box 6:** Gross Proceeds Short Sale
CALL ROYAL BANK CANADA $55 EXP 01/15/16 CUSIP: N/A	5.00000	01/06/2016	12/21/2015	275.23	25 18	0.00	0.00	250.05	**Box 6:** Gross Proceeds Short Sale
CALL EXXON MOBIL CORP $82.50 EXP 01/15/16 CUSIP· N/A	4.00000	01/11/2016	12/04/2015	307.85	16.14	0 00	0 00	291.71	**Box 6:** Gross Proceeds Short Sale
CALL CISCO SYSTEMS $27 EXP 01/08/16 CUSIP. N/A	11.00000	01/06/2016	12/15/2015	505.60	31.67	0.00	0 00	473.93	**Box 6:** Gross Proceeds Short Sale
CALL INTL BUSINESS MACH $152 50 EXP 05/06/16 CUSIP. N/A	1.00000	04/29/2016	03/31/2016	451.95	7 04	0.00	0.00	444 91	**Box 6:** Gross Proceeds Short Sale
CALL VERIZON COMMUNICATN $46.50 EXP 01/08/16 CUSIP. N/A	6.00000	01/04/2016	12/01/2015	193 32	30 21	0.00	0.00	163.11	**Box 6:** Gross Proceeds Short Sale
Totals				**$1,324,597.45**	**$1,312,219.25**	**$0.00**	**$0.00**	**$12,378.20**	