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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

DEC 1, 2016

and ending NOV 30, 2017

Name of foundation
PEACOCK FOUNDATION, INC.Number and street (or P.O. box number if mail is not delivered to street address)
100 SE 2ND STRoom/suite
2370City or town, state or province, country, and ZIP or foreign postal code
MIAMI, FL 33131-2127A Employer identification number
59-0999759B Telephone number
305 373-1386G Check all that apply:
☐ Initial return
☐ Final return
☐ Address change
☐ Initial return of a former public charity
☐ Amended return
☐ Name changeH Check type of organization:
☐ Section 4947(a)(1) nonexempt charitable trust
☒ Section 501(c)(3) exempt private foundation
☐ Other taxable private foundationI Fair market value of all assets at end of year
(from Part II, col (c), line 16)
\$ 47,275,738.J Accounting method:
☐ Cash
☒ Accrual
☐ Other (specify) _____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 ☐**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))

(Part I, column (d) must be on cash basis)

03
04

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				
2 Check ☒ if the foundation is not required to attach Sch. B				
3 Interest on savings and temporary cash investments			N/A	
4 Dividends and interest from securities				
5a Gross rents	992,434.	985,934.		
b Net rental income or (loss)				STATEMENT 1
6a Net gain or (loss) from sale of assets not on line 10				
b Gross sales price for all assets on line 6a	11,141,621.	1,757,737.		
7 Capital gain net income (from Part IV, line 2)				
8 Net short-term capital gain		1,757,737.		
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss)				
11 Other income				
12 Total. Add lines 1 through 11	49,855.	49,215.		
13 Compensation of officers, directors, trustees, etc	2,800,026.	2,792,886.		STATEMENT 2
14 Other employee salaries and wages	175,545.	35,109.		
15 Pension plans, employee benefits	119,854.	0.		
16a Legal fees	77,175.	9,172.		
b Accounting fees				
c Other professional fees	35,900.	0.		
17 Interest	122,420.	121,739.		
18 Taxes	9,948.	9,948.		
19 Depreciation and depletion	52,326.	1,299.		
20 Occupancy				
21 Travel, conferences, and meetings	83,699.	4,185.		
22 Printing and publications	23,199.	0.		
23 Other expenses	2,410.	0.		
24 Total operating and administrative expenses. Add lines 13 through 23	101,689.	60,076.		
25 Contributions, gifts, grants paid	804,165.	241,528.		
26 Total expenses and disbursements. Add lines 24 and 25	1,686,995.			
27 Subtract line 26 from line 12:	2,491,160.	241,528.		
a Excess of revenue over expenses and disbursements				
b Net investment income (if negative enter -0-)	308,866.			
c Adjusted net income (if negative, enter -0-)		2,551,358.		
			N/A	

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623501 11-23-16 LHA For Paperwork Reduction Act Notice, see instructions.

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2016.05040 PEACOCK FOUNDATION, INC. 16200441

Form 990-PF (2016)

Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only

					Beginning of year			End of year		
					(a) Book Value			(b) Book Value		
										(c) Fair Market Value
Assets	1	Cash - non-interest-bearing				237,667.		301,733.		301,733.
	2	Savings and temporary cash investments				1,899,636.		197,655.		197,655.
	3	Accounts receivable								
		Less: allowance for doubtful accounts								
	4	Pledges receivable								
		Less: allowance for doubtful accounts								
	5	Grants receivable								
	6	Receivables due from officers, directors, trustees, and other disqualified persons								
	7	Other notes and loans receivable								
		Less: allowance for doubtful accounts								
	8	Inventories for sale or use								
	9	Prepaid expenses and deferred charges								
	10a	Investments - U.S. and state government obligations	STMT 8			3,637,472.		3,358,042.		3,358,042.
	b	Investments - corporate stock	STMT 9			2,613,354.		3,178,040.		3,178,040.
	c	Investments - corporate bonds	STMT 10			1,402,994.		2,138,473.		2,138,473.
Liabilities	11	Investments - land, buildings, and equipment basis								
		Less: accumulated depreciation								
	12	Investments - mortgage loans								
	13	Investments - other	STMT 11			33,668,715.		38,012,144.		38,012,144.
	14	Land, buildings, and equipment; basis	96,917.							
		Less: accumulated depreciation	96,917.							
	15	Other assets (describe)	STATEMENT 12			135,823.		89,651.		89,651.
	16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)				43,595,661.		47,275,738.		47,275,738.
	17	Accounts payable and accrued expenses				24,500.		24,725.		
	18	Grants payable								
Net Assets or Fund Balances	19	Deferred revenue								
	20	Loans from officers, directors, trustees, and other disqualified persons								
	21	Mortgages and other notes payable								
	22	Other liabilities (describe) DEFERRED FEDERAL E				26,700.		94,873.		
	23	Total liabilities (add lines 17 through 22)				51,200.		119,598.		
		Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.		☒						
	24	Unrestricted				43,544,461.		47,156,140.		
	25	Temporarily restricted								
	26	Permanently restricted								
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.		☐						
	27	Capital stock, trust principal, or current funds								
	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				43,544,461.		47,156,140.		
	31	Total liabilities and net assets/fund balances				43,595,661.		47,275,738.		

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	43,544,461.
2	Enter amount from Part I, line 27a	2	308,866.
3	Other increases not included in line 2 (itemize) UNREALIZED GAINS ON INVESTMENTS	3	3,370,986.
4	Add lines 1, 2, and 3	4	47,224,313.
5	Decreases not included in line 2 (itemize) SEE STATEMENT 7	5	68,173.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	47,156,140.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a PUBLICLY TRADED SECURITIES			VARIOUS	VARIOUS
b DAVIDSON KEMPNER INSTITUTION PARTNERS, L.P.		P	VARIOUS	VARIOUS
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 11,141,621.		9,599,324.	1,542,297.
b 215,440.			215,440.
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			1,542,297.
b			215,440.
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	1,757,737.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3	N/A

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

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

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

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

☐ Yes ☒ No

If "Yes," the foundation 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	2,143,965.	42,711,641.	.050196
2014	2,305,757.	45,113,196.	.051110
2013	2,458,147.	47,438,594.	.051817
2012	2,131,964.	45,634,641.	.046718
2011	2,026,767.	42,838,277.	.047312

2 Total of line 1, column (d)	2	.247153
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	.049431
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	45,049,797.
5 Multiply line 4 by line 3	5	2,226,857.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	25,514.
7 Add lines 5 and 6	7	2,252,371.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	2,198,380.

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	51,027.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	51,027.
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	51,027.
6 Credits/Payments:			
a 2016 estimated tax payments and 2015 overpayment credited to 2016		6a	52,101.
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	52,101.
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	1,074.
11 Enter the amount of line 10 to be: Credited to 2017 estimated tax ☐ 1,074. Refunded ☐ 0.		11	0.

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XIV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>FL</u>		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)		X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>WWW.PEACOCKFOUNDATIONINC.ORG</u>	X	
14 The books are in care of ► <u>THE FOUNDATION</u> Telephone no. ► <u>305 373-1386</u> Located at ► <u>100 SE 2ND ST. SUITE 2370, MIAMI, FL</u> ZIP+4 ► <u>33131</u>		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year		N/A
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? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►		X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☒ Yes ☐ No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☒ Yes ☐ No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here		X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?		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? If "Yes," list the years ►	☐ Yes ☒ No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	
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)	N/A	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		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?		X

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Part VII-B. Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to:

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

Organizations relying on a current notice regarding disaster assistance check here

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

N/A

☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?☐ Yes ☒ No**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

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.

(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 14		175,545.	22,241.	0.

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
BARBARA QUESADA - 100 SE 2ND ST., SUITE 2370, MIAMI, FL 33131	ADMIN ASSISTANT	66,200.	24,825.	0.
KATHARINE N MCCUNE - 100 SE 2ND ST., SUITE 2370, MIAMI, FL 33131	OPERATIONS AND PROGRAM ASSISTANT	53,654.	7,845.	0.

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

0

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
ATLANTA CONSULTING GROUP 2 BUCKHEAD PLAZA 3050 PEACHTREE RD, N.W., ATLANTA, GA 30305	INVESTMENT MANAGEMENT	89,665.

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

0

Part IX-A Summary of Direct Charitable Activities

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

Expenses

1	N/A	
2		
3		
4		

Part IX-B Summary of Program-Related Investments

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

Amount

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

Total. Add lines 1 through 3

0.

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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	44,340,765.
b	Average of monthly cash balances	1b	1,389,799.
c	Fair market value of all other assets	1c	5,271.
d	Total (add lines 1a, b, and c)	1d	45,735,835.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	45,735,835.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	686,038.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	45,049,797.
6	Minimum investment return. Enter 5% of line 5	6	2,252,490.

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	2,252,490.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	51,027.
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	51,027.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	2,201,463.
4	Recoveries of amounts treated as qualifying distributions	4	640.
5	Add lines 3 and 4	5	2,202,103.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	2,202,103.

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	2,198,380.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	2,198,380.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	2,198,380.

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.

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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				2,202,103.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only			1,875,763.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2016:				
a From 2011				
b From 2012				
c From 2013				
d From 2014				
e From 2015				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2016 from Part XII, line 4: ► \$ 2,198,380.				
a Applied to 2015, but not more than line 2a			1,875,763.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2016 distributable amount				322,617.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:	0.			
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				1,879,486.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2012				
b Excess from 2013				
c Excess from 2014				
d Excess from 2015				
e Excess from 2016				

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				
SEE ATTACHMENT A	N/A	PC	SEE ATTACHMENT A	1,686,995.
Total			▶ 3a	1,686,995.
b Approved for future payment				
NONE				
Total			▶ 3b	0.

Form 990-PF (2016)

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

- | | | |
|--|-------|-----|
| <p>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?</p> <p>a Transfers from the reporting foundation to a noncharitable exempt organization of:</p> <p>(1) Cash</p> <p>(2) Other assets</p> <p>b Other transactions:</p> <p>(1) Sales of assets to a noncharitable exempt organization</p> <p>(2) Purchases of assets from a noncharitable exempt organization</p> <p>(3) Rental of facilities, equipment, or other assets</p> <p>(4) Reimbursement arrangements</p> <p>(5) Loans or loan guarantees</p> <p>(6) Performance of services or membership or fundraising solicitations</p> <p>c Sharing of facilities, equipment, mailing lists, other assets, or paid employees</p> <p>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.</p> | | Yes |
| | 1a(1) | |
| | 1a(2) | |
| | | |
| | 1b(1) | |
| | 1b(2) | |
| | 1b(3) | |
| | 1b(4) | |
| | 1b(5) | |
| | 1b(6) | |
| | 1c | |

	Yes	No
1a(1)		X
1a(2)		X
1b(1)		X
1b(2)		X
1b(3)		X
1b(4)		X
1b(5)		X
1b(6)		X
1c		X

[illegible]

- 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
N/A		

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, this return is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.					May the IRS discuss this return with the preparer shown below (see instr.)? ☒ Yes ☐ No
	 Signature of officer or trustee		2/5/18 Date	PRESIDENT Title		
Paid Preparer Use Only	Print/Type preparer's name CHRISTOPHER PETERMANN		 Preparer's signature	2/5/18 Date	Check ☐ if self-employed	PTIN P00097440
	Firm's name PKF O'CONNOR DAVIES, LLP					Firm's EIN 27-1728945
	Firm's address 665 FIFTH AVENUE NEW YORK, NY 10022-5305					Phone no. (212) 286-2600

FORM 990-PF		DIVIDENDS AND INTEREST FROM SECURITIES			STATEMENT 1
SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
DIVIDENDS AND INTEREST	985,934.	0.	985,934.	985,934.	
TAX EXEMPT INTEREST	6,500.	0.	6,500.	0.	
TO PART I, LINE 4	992,434.	0.	992,434.	985,934.	

FORM 990-PF		OTHER INCOME		STATEMENT 2
DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	
OTHER INCOME	794.	794.		
OTHER PARTNERSHIP INCOME	48,421.	48,421.		
GRANT REFUND	640.	0.		
TOTAL TO FORM 990-PF, PART I, LINE 11	49,855.	49,215.		

FORM 990-PF		ACCOUNTING FEES		STATEMENT 3
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BOOKKEEPING-FABRICANT & COMPANY, PA	12,900.	0.		12,900.
AUDIT AND TAX PREP EXPENSES-PKF O'CONNOR DAVIES	23,000.	0.		24,500.
TO FORM 990-PF, PG 1, LN 16B	35,900.	0.		37,400.

FORM 990-PF	OTHER PROFESSIONAL FEES		STATEMENT 4	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT PORTFOLIO MANAGEMENT FEES	121,739.	121,739.		0.
OTHER PROFESSIONAL FEES	681.	0.		681.
TO FORM 990-PF, PG 1, LN 16C	122,420.	121,739.		681.

FORM 990-PF	TAXES		STATEMENT 5	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL EXCISE TAX	51,027.	0.		0.
FOREIGN TAX	1,299.	1,299.		0.
TO FORM 990-PF, PG 1, LN 18	52,326.	1,299.		0.

FORM 990-PF	OTHER EXPENSES		STATEMENT 6	
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BOARD MEETINGS	3,140.	1,570.		1,570.
DUES	2,250.	0.		2,250.
INSURANCE	7,382.	0.		7,382.
OFFICE EXPENSES	419.	0.		419.
OFFICE SUPPLIES	704.	0.		704.
POSTAGE	218.	0.		218.
EQUIPMENT RENTAL, REPAIRS AND MAINTENANCE	28,797.	0.		28,797.
OTHER PARTNERSHIP EXPENSES	58,506.	58,506.		0.
LICENSES AND PERMITS	273.	0.		273.
TO FORM 990-PF, PG 1, LN 23	101,689.	60,076.		41,613.

FORM 990-PF	OTHER DECREASES IN NET ASSETS OR FUND BALANCES	STATEMENT 7
DESCRIPTION		AMOUNT
PROVISION FOR DEFERRED FEDERAL EXCISE TAX		68,173.
TOTAL TO FORM 990-PF, PART III, LINE 5		68,173.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT 8
DESCRIPTION	U.S. GOV'T OTHER GOV'T	BOOK VALUE FAIR MARKET VALUE
MUNICIPAL BONDS-SEE ATTACHMENT B		X 3,296,708. 3,296,708.
TREASURY BONDS-SEE ATTACHMENT B	X	61,334. 61,334.
TOTAL U.S. GOVERNMENT OBLIGATIONS		61,334. 61,334.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS		3,296,708. 3,296,708.
TOTAL TO FORM 990-PF, PART II, LINE 10A		3,358,042. 3,358,042.

FORM 990-PF	CORPORATE STOCK	STATEMENT 9
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK-SEE ATTACHMENT B	3,178,040.	3,178,040.
TOTAL TO FORM 990-PF, PART II, LINE 10B	3,178,040.	3,178,040.

FORM 990-PF	CORPORATE BONDS	STATEMENT 10
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS-SEE ATTACHMENT B	2,138,473.	2,138,473.
TOTAL TO FORM 990-PF, PART II, LINE 10C	2,138,473.	2,138,473.

FORM 990-PF

OTHER INVESTMENTS

STATEMENT 11

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
CERTIFICATE OF DEPOSIT	COST	446,853.	446,853.
OTHER INVESTMENTS-SEE ATTACHMENT B	FMV	4,387,748.	4,387,748.
PREFERRED STOCK-SEE ATTACHMENT B	FMV	1,633,673.	1,633,673.
MUTUAL FUNDS-SEE ATTACHMENT B	FMV	27,301,175.	27,301,175.
EXCHANGE TRADED FUNDS - SEE ATTACHMENT B	FMV	4,242,695.	4,242,695.
TOTAL TO FORM 990-PF, PART II, LINE 13		38,012,144.	38,012,144.

FORM 990-PF

OTHER ASSETS

STATEMENT 12

DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
SECURITY DEPOSIT	5,271.	5,271.	5,271.
ACCRUED DIVIDENDS AND INTEREST RECEIVABLE	56,499.	61,354.	61,354.
FINE ARTS	21,952.	21,952.	21,952.
PREPAID FEDERAL EXCISE TAXES	52,101.	1,074.	1,074.
TO FORM 990-PF, PART II, LINE 15	135,823.	89,651.	89,651.

FORM 990-PF

OTHER LIABILITIES

STATEMENT 13

DESCRIPTION	BOY AMOUNT	EOY AMOUNT
DEFERRED FEDERAL EXCISE TAX PAYABLE	26,700.	94,873.
TOTAL TO FORM 990-PF, PART II, LINE 22	26,700.	94,873.

FORM 990-PF

PART VIII - LIST OF OFFICERS, DIRECTORS
TRUSTEES AND FOUNDATION MANAGERS

STATEMENT 14

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
ROBIN REITER-FARAGALLI 100 SE 2ND ST., SUITE 2370 MIAMI, FL 33131-2127	PRESIDENT 1.00	0.	0.	0.
MELANIE INK BROEKER 100 SE 2ND ST., SUITE 2370 MIAMI, FL 33131-2127	VICE PRESIDENT 0.50	0.	0.	0.
CHARLES P. SACHER, PA 100 SE 2ND ST., SUITE 2370 MIAMI, FL 33131-2127	SECRETARY/TREASURER 0.50	0.	0.	0.
JORGE ECHENIQUE 100 SE 2ND ST., SUITE 2370 MIAMI, FL 33131-2127	DIRECTOR 0.50	0.	0.	0.
DONALD KRESS 100 SE 2ND ST., SUITE 2370 MIAMI, FL 33131-2127	DIRECTOR 0.50	0.	0.	0.
JAN GRIFFIN 100 SE 2ND ST., SUITE 2370 MIAMI, FL 33131-2127	DIRECTOR 0.50	0.	0.	0.
JOELLE M. ALLEN 100 SE 2ND ST., SUITE 2370 MIAMI, FL 33131-2127	EXECUTIVE DIRECTOR 40.00	175,545.	22,241.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		175,545.	22,241.	0.

Peacock Foundation, Inc.

Attachment A

EIN# 59-0999759**Grants Paid****Fiscal Year Ended: November 30, 2017**

Payee Organization	Status	Purpose	Amount
Actors' Playhouse Productions, Inc. 280 Miracle Mile Coral Gables, Florida 33134	PC	2017-18 Youth Programming	\$25,000.00
Best Buddies International, Inc 100 SE Second Street, Suite 2200 Miami, Florida 33131	PC	Best Buddies Jobs	\$50,000 00
Boggy Creek Gang, Inc 30500 Brantley Branch Road Eustis, Florida 32736	PC	2017 Summer Camp	\$25,000 00
Boys & Girls Clubs of Miami-Dade, Inc P O. Box 330219 Miami, Florida 33233-0219	PC	Project Learn and Great Futures for Teen	\$50,000 00
Branches, Inc 11500 NW 12th Avenue Miami, Florida 33168	PC	2017 Summer Shade Camp	\$15,000 00
Branches, Inc 11500 NW 12th Avenue Miami, Florida 33168	PC	Hurricane Irma Recovery	\$15,000 00
Branches, Inc. 11500 NW 12th Avenue Miami, Florida 33168	PC	Grow and Climb Programs Florida City & Lakeview	\$35,000 00
Breakthrough Miami, Inc 3250 SW Third Avenue, 6th Floor Miami, Florida 33129	PC	2017 Program Support	\$60,000 00
Camillus House, Inc 1603 NW 7th Avenue Miami, Florida 33136	PC	Compassionate Hospitality Program	\$20,000 00
CARE Elementary School, Inc 2025 NW 1st Avenue Miami, Florida 33127	PC	Teachers' Aide Program and After School CARE	\$10,000.00
Centro Campesino Farmworker Center, Inc P O. Box 343449 Florida City, Florida 33034	PC	Hurricane Irma Recovery	\$15,000.00

Peacock Foundation, Inc.**EIN# 59-0999759****Grants Paid****Fiscal Year Ended: November 30, 2017**

Attachment A

Payee Organization	Status	Purpose	Amount
Centro Mater Child Care Services, Inc. 8298 NW 103rd Street Hialeah Gardens, Florida 33016-2202	PC	2017 Summer Camp	\$25,000.00
Chapman Partnership, Inc. 1550 North Miami Avenue Miami, Florida 33136	PC	Mobile Dental Unit	\$25,000.00
Children's Resource Fund, Inc. 8571 SW 112 Street Miami, Florida 33156	PC	2017 Enrichment Summer Camp	\$25,000.00
City Year, Inc 44 W. Flagler Street, Suite 500 Miami, Florida 33130	PC	Whole School Whole Child	\$50,000.00
Communities in Schools of Miami, Inc 12485 SW 137 Avenue, Suite 109 Miami, Florida 33186	PC	Program Support	\$40,000.00
Cornerstone Christian Center of Homestead Florida, Inc 13295 SW 268 Street Homestead, Florida 33032	PC	Bridge to Hope Expansion	\$20,000.00
Cornerstone Christian Center of Homestead Florida, Inc. 13295 SW 268 Street Homestead, Florida 33032	PC	Hurricane Irma Recovery	\$10,000.00
Council on Foundations 2121 Crystal Drive, Suite 700 Arlington, Virginia 22202	PC	2017 Support Contribution	\$7,300.00
Covenant House Florida, Inc. 733 Breakers Avenue Fort Lauderdale, Florida 33304	PC	More Opportunities for Moms & Babies (MOM)	\$70,000.00
Educate Tomorrow Corp 1717 North Bayshore Drive, Suite 203 Miami, Florida 33132	PC	2017-18 Program Support	\$40,000.00
Epilepsy Foundation of Florida, Inc 1200 NW 78 Ave, Suite 400 Miami, Florida 33126	PC	Case Management System Modernization	\$25,500.00

Peacock Foundation, Inc.

Attachment A

EIN# 59-0999759**Grants Paid****Fiscal Year Ended: November 30, 2017**

Payee Organization	Status	Purpose	Amount
Farmworker Association of Florida, Inc 450 Davis Parkway Florida City, Florida 33034	PC	Hurricane Irma Recovery	\$10,000.00
FEDCAP Rehabilitation Services, Inc 7700 N. Kendall Drive, Suite 709 Miami, Florida 33156	PC	Dementia Care Coaching	\$25,000.00
Florida Philanthropic Network 1211 North Westshore Boulevard, Suite 314 Tampa, Florida 33607	PC	2017 Support Contribution	\$4,600.00
Foster Care Review, Inc 155 NW 3rd Street, Suite 4338 Miami, Florida 33128	PC	Citizen Review Panel and Permanency Roundtable Programs	\$50,000.00
GableStage, Inc. 1200 Anastasia Avenue, Suite 230 Coral Gables, Florida 33134	PC	2018 Educational Programming	\$25,000 00
Girl Scout Council of Tropical Florida, Inc. 11347 S.W 160th Street Miami, Florida 33157-2799	PC	General Operating Support	\$30,000.00
Historical Association of Southern Florida, Inc 101 West Flagler Street Miami, Florida 33130	PC	History Mysteries and Making Miami Home	\$25,000 00
Humane Society of Greater Miami 16101 West Dixie Highway North Miami Beach, Florida 33160	PC	Spay/Neuter Program	\$25,000 00
Jewish Community Services of South Florida, Inc. 735 NE 125 Street North Miami, Florida 33161	PC	Senior Emergency Meals and Shopping Program	\$70,000 00
Junior Achievement of Greater Miami, Inc. 301 71st Street, Second Floor Miami Beach, Florida 33141	PC	JA Career Success	\$25,000 00

Peacock Foundation, Inc.

Attachment A

EIN# 59-0999759**Grants Paid****Fiscal Year Ended: November 30, 2017**

Payee Organization	Status	Purpose	Amount
Key Clubhouse of South Florida, Inc. 1400 NW 54 Street, Suite 102 Miami, Florida 33142	PC	General Operating Support	\$35,000 00
Legal Aid Service of Broward County, Inc PO Box 120910 Fort Lauderdale, Florida 33312	PC	LIFT Sanctions Project	\$45,000.00
Lighthouse of Broward County, Inc. 650 North Andrews Avenue Fort Lauderdale, Florida 33311	PC	Vital Living Program	\$30,000.00
Miami Dade College Foundation, Inc 300 N E. Second Avenue, 1423-1 Miami, Florida 33132	PC	Miami Book Fair International's Generation Genius Authors Program	\$15,000.00
Miami Lighthouse for the Blind 601 S.W Eighth Avenue Miami, Florida 33130	PC	Low Vision Program for Seniors	\$50,000.00
Miami-Dade Urban Debate League, Inc 21150 Point Place, Apt 1503 Aventura, Florida 33180	PC	Debate Training & Tournaments	\$10,000.00
Network for Teaching Entrepreneurship 1951 NW 7th Avenue, Suite 300 Miami, Florida 33136	PC	Entrepreneurship II Pathway	\$60,000 00
Performing Arts Center Trust, Inc. 1300 Biscayne Boulevard Miami, Florida 33132	PC	Learning Through the Arts: Kitty Hawk	\$25,000 00
The Miami Foundation 40 NW Third Street, Suite 305 Miami, Florida 33128	PC	Philanthropy Miami 2017	\$1,595.00
The Miami Foundation 40 NW Third Street, Suite 305 Miami, Florida 33128	PC	Philanthropy Miami 2018	\$5,000.00
The Miami Foundation 40 NW Third Street, Suite 305 Miami, Florida 33128	PC	Open Access Training	\$15,000.00

Peacock Foundation, Inc.
EIN# 59-0999759
Grants Paid
Fiscal Year Ended: November 30, 2017

Attachment A

Payee Organization	Status	Purpose	Amount
Shake-a-Leg Miami, Inc 2620 South Bayshore Drive Miami, Florida 33133	PC	Seaworthy Program	\$25,000 00
South Florida National Parks Trust 1390 South Dixie Highway, Suite 2203 Coral Gables, Florida 33146	PC	2017/18 Everglades Environmental Education Program	\$40,000 00
South Florida PBS, Inc P O Box 610002 Miami, Florida 33261-0002	PC	Great Performances	\$25,000 00
Star of the Sea Foundation, Inc 5640 Maloney Avenue Key West, Florida 33040	PC	Community Kitchen	\$40,000 00
Star of the Sea Foundation, Inc 5640 Maloney Avenue Key West, Florida 33040	PC	Hurricane Irma Recovery	\$50,000.00
The Learning Experience School, Inc 5651 S W 82 Avenue Road Miami, Florida 33143	PC	Job Coach	\$33,000 00
The Murray Dranoff Foundation, Inc 3550 Biscayne Boulevard, Suite 702 Miami, Florida 33137	PC	PIANO SLAM	\$25,000 00
Voices for Children Foundation, Inc. 601 NW 1st Court, 10th Floor Miami, Florida 33136	PC	Staff Advocates	\$100,000.00
Women of Tomorrow Mentor and Scholarship Program 8400 NW 36th Street, Suite 450 Doral, Florida 33166	PC	General Operating Support	\$35,000.00
YMCA of South Florida, Inc 900 SW 3 Avenue, Suite 300 Fort Lauderdale, Florida 33316	PC	Active Older Adult Program	\$45,000.00
Zoo Miami Foundation, Inc 12400 S W 152 Street Miami, Florida 33177-1499	PC	Conservation Teen Scientist	\$30,000 00
Grand Totals			\$1,686,995 00

Peacock Foundation, Inc.
 EIN#: 59-0999759
 Portfolio Holdings
 November 30, 2017

	<u>Market Value</u>
Municipal Bonds	
Page 2 of 11	107,680
Page 3 of 11	3,189,028
Sub-total Municipal Bonds	<u>\$ 3,296,708</u>
Corporate Stock	
Page 11 of 11	3,178,040
Sub-total Corporate Stock	<u>\$ 3,178,040</u>
Corporate Bonds	
Page 5 of 11	2,138,473
Sub-total Corporate Bonds	<u>\$ 2,138,473</u>
Certificate of Deposit	
Page 6 of 11	446,853
Sub-total Certificate of Deposit	<u>\$ 446,853</u>
Other Investments	
Davidson Kempner Institution Partners, L.P.	4,387,748
Sub-total Other Investments	<u>\$ 4,387,748</u>
Preferred Securities	
Page 7 of 11	1,633,673
Sub-total Preferred Securities	<u>\$ 1,633,673</u>
Mutual Funds	
Page 10 of 11	27,301,175
Sub-total Mutual Funds	<u>\$ 27,301,175</u>
Treasury Bonds	
Page 4 of 11	61,334
Sub-total Treasury Bonds	<u>\$ 61,334</u>
Exchange Traded Funds	
Page 1 of 11	159,840
Page 7 of 11	200,300
Page 8 of 11	263,530
Page 10 of 11	3,619,025
Exchange Traded Funds	<u>\$ 4,242,695</u>
Total Investments	<u><u>46,686,699</u></u>



Janney Montgomery Scott LLC

Member NYSE • FINRA • SIPC

Peacock Foundation, Inc.
Investments

EIN# 59-0999759

PORTFOLIO DETAILS

JANNEY ADVANTAGE INSURED SWEEP**

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
JANNEY CORPORATE INSURED SWEEP PRODUCT						N/A	127,983.34				0.15%		1.6%

TOTAL JANNEY ADVANTAGE INSURED SWEEP

127,983.34

1.6%

**Janney Advantage Insured Sweep balances are FDIC insured, are not covered by Janney or SIPC and are not available for margin purposes

CREDIT/(DEBIT) BALANCE

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
CASH							490.00						

TOTAL CREDIT/(DEBIT) BALANCE

490.00

EQUITIES - MUTUAL FUNDS, ETFs, UITs

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
VANECK VECTORS PFD SECS EX FINLS ETF	PFXF	8,000	6/28/17	161,360.00	20.1700	19.9800	159,840.00	(1,520.00)	ST		9,632.00	6.02%	1.9%

TOTAL EQUITIES - MUTUAL FUNDS, ETFs, UITs

161,360.00

(1,520.00)

1.9%

FIXED INCOME - BONDS & PREFERREDs

MUNICIPAL BONDS - TAX EXEMPT

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
MASSACHUSETTS EDL FING AUTH ED LN SER J REV AMT B/E OID @98.495 5 17% CPN 5.000% DUE 07/01/23 DTD 07/13/11 FC 01/01/12 CALL 07/01/21 @ 100.000 MOODY'S NR /S&P. AA	57563RJK6	100,000	7/28/11	99,619.35	99.6193	107.6800	107,680.00	8,060.65	LT	2,083.33	5,000.00	4.64%	1.3%



Janney Montgomery Scott LLC

Member SIPC • FINRA • NYSE

Peacock Foundation, Inc.
Investments

PORTFOLIO DETAILS

FIXED INCOME - BONDS & PREFERRED
MUNICIPAL BONDS - TAX EXEMPT

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
TOTAL MUNICIPAL BONDS - TAX EXEMPT		100,000		99,619.35			107,680.00	8,060.65		2,083.33	5,000.00	4.64%	1.3%

MUNICIPAL BONDS - TAXABLE

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
JEA FL WTR & SWR SYS REV SER B B/E TXBL CPN 5.200% DUE 10/01/19 DTD 01/27/10 FC 04/01/10 MOODY'S: AA2/S&P AAA	46613PYB6	500,000	1/15/10	500,000.57	100.0001	105.7720	528,860.00	28,859.43	LT	4,333.33	26,000.00	4.91%	6.4%
BALTIMORE MD CONS PUB IMPT C BABS B/E TXBL CPN 4.189% DUE 10/15/19 DTD 06/09/10 FC 10/15/10 MOODY'S AA2/S&P AA	059189NM8	200,000 100,000	5/27/10 5/27/10	200,000.57 100,000.57	100.0002 100.0005	103.6880 103.6880	207,376.00 103,688.00	7,375.43 3,687.43	LT LT	1,070.00 535.78	8,378.00 4,189.00	4.04% 4.04%	
		300,000		300,001.14			311,064.00	11,062.86		1,605.78	12,567.00	4.04%	3.7%
KENTUCKY ST PPTY & BLDGS COMM REV RFDG RD FD PJ 73 4TH SER B/E TXBL CPN 3.509% DUE 11/01/19 DTD 11/15/11 FC 05/01/12 MOODY'S AA3/S&P A	49151FAZ3	250,000	11/77/11	250,368.92	100.1475	102.1040	255,260.00	4,891.08	LT	731.04	8,772.50	3.43%	3.1%
OHIO ST BLDG AUTH ST FACS ADMIN BLDG SER B REV BABS B/E TXBL CPN 5.130% DUE 10/01/22 DTD 04/01/10 FC 10/01/10 CALL 04/01/20 @ 100.000 MOODY'S AA2/S&P AA	67755CC72	400,000	3/17/10	400,000.70	100.0001	105.6960	422,784.00	22,783.30	LT	3,420.00	20,520.00	4.85%	5.1%
NEW YORK NY SER D1 BABS B/E TXBL	64966HTT7	250,000	1/6/10	244,377.50	97.7510	112.2550	280,637.50	36,260.00	LT	6,498.75	12,997.50	4.63%	3.4%



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Peacock Foundation, Inc.
Investments

EIN# 59-0999759

PORTFOLIO DETAILS

MUNICIPAL BONDS - TAXABLE

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
CPN 5.199% DUE 12/01/22 DTD 12/17/09 FC 06/01/10 MOODY'S AA2/S&P- AA	684273GZ2	265,000	12/28/10	264,684.65	99.8810	107.2320	284,164.80	19,480.15	LT	4,730.82	16,066.95	5.65%	3.4%
ORANGE CNTY CA LOC TRASN AUTH SALES TAX MEASURE M2 A BABS REV B/E TXBL CPN 6.063% DUE 02/15/23 DTD 12/23/10 FC 02/15/11 CALL 02/15/20 @ 100.000 MOODY'S AA2/S&P AA+													
MILWAUKEE CNTY WI CORP PURP SER A BABS B/E TXBL CPN 5.000% DUE 10/01/24 DTD 05/01/10 FC 04/01/11 CALL 10/01/18 @ 100.000 MOODY'S AA2/S&P AA	602245WL2	500,000	4/30/10	499,377.50	99.8755	102.3170	511,585.00	12,207.50	LT	4,166.67	25,000.00	4.88%	6.1%
HAMPTON CNTY SC SCH DIST 1 QSCB B/E TXBL ED FIN PG CPN 6.250% DUE 06/01/28 DTD 12/30/10 FC 06/01/11 CALL 06/01/20 @ 100.000 MOODY'S AA1	409146AA5	250,000	12/28/10	251,114.31	100.4457	125.0590	312,647.50	61,533.19	LT	7,812.50	15,625.00	4.99%	3.8%
JERSEY CITY NJ GENL IMPT SER B BABS AGM CR B/E TXBL CPN 7.125% DUE 11/01/36 DTD 11/16/10 FC 05/01/11 CALL 11/01/20 @ 100.000 MOODY'S AA3/S&P AA	476576DM2	250,000	11/15/10	253,000.53	101.2002	112.8100	282,025.00	29,024.47	LT	1,484.38	17,812.50	6.31%	3.4%
TOTAL MUNICIPAL BONDS - TAXABLE		2,965,000		2,962,925.82			3,189,027.80	226,101.98		34,783.27	155,361.45	4.87%	38.3%



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PORTFOLIO DETAILS

US GOVERNMENT/AGENCY BONDS

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
U.S. TREASURY BOND CPN 8.000% DUE 11/15/21 DTD 11/15/91 FC 05/15/92 MOODY'S AAA /S&P NR	912810EL8	50,000	10/30/94	50,000.00	100.0000	122.6680	61,334.00	11,334.00	LT	176.80	4,000.00	6.52%	0.7%
TOTAL US GOVERNMENT/AGENCY BONDS		50,000		50,000.00			61,334.00	11,334.00		176.80	4,000.00	6.52%	0.7%

CORPORATE BONDS

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
GENL ELECTRIC CO PERPETUAL PFD SER D FXDNAR CPN 5.000% DTD 01/20/16 FC 06/15/16 CALL 01/21/21 @ 100.000 MOODY'S A3 /S&P A	369604BQ5	246,000	6/7/12	206,494.53	83.9408	103.7500	255,225.00	48,730.47	LT	12,300.00	4,811.00	4.81%	3.1%
FORD MOTOR CREDIT CO LLC CREDIT NOTES SURVIVOR OPTION CPN 3.000% DUE 12/20/18 DTD 03/28/13 FC 09/20/13 MOODY'S BAA2/S&P BBB	34540TEK4	300,000	3/25/13	297,750.00	99.2500	99.8870	299,661.00	1,911.00	LT	1,775.00	9,000.00	3.00%	3.6%
ICAHN ENTPRS LP FIN CORP SR NOTE CPN 6.000% DUE 08/01/20 DTD 08/01/13 FC 02/01/14 CALL 12/31/17 @ 103.000 MOODY'S BA3 /S&P BB+	451102AX5	100,000	09/22/16	99,375.00	99.3750	103.0000	103,000.00	3,625.00	LT	2,000.00	6,000.00	5.82%	
		50,000	02/27/17	51,254.77	102.5095	103.0000	51,500.00	245.23	ST	1,000.00	3,000.00	5.82%	
		100,000	05/19/17	102,321.71	102.3217	103.0000	103,000.00	678.29	ST	2,000.00	6,000.00	5.82%	
		40,000	09/11/17	41,102.45	102.7561	103.0000	41,200.00	97.55	ST	800.00	2,400.00	5.82%	
		290,000		294,053.93			298,700.00	4,646.07		5,800.00	17,400.00	5.82%	3.6%
HEWLETT PACKARD CO GLBL NOTE CPN 4.650% DUE 12/09/21	428236BV4	200,000	10/26/12	199,996.00	99.9980	106.7780	213,556.00	13,560.00	LT	4,443.33	9,300.00	4.35%	2.6%



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PORTFOLIO DETAILS

CORPORATE BONDS

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
DTD 12/09/11 FC 06/09/12 MOODY'S BAA2/S&P BBB													
TOLL BROS FIN CORP GTD SR NOTE CPN 4.375% DUE 04/15/23 DTD 04/10/13 FC 10/15/13 CALL 01/15/23 @ 100.000 MOODY'S BA1/S&P BB+	88947EAND	250,000	06/25/14	247,187.50	98.8750	103.6250	259,062.50	11,875.00	LT	1,397.57	10,937.50	4.22%	3.1%
CYS CAREMARK CORP SR NOTE CPN 4.000% DUE 12/05/23 DTD 12/05/13 FC 06/05/14 CALL 09/05/23 @ 100.000 MOODY'S BAA1/S&P BBB+	126650CC2	200,000	01/27/17	209,589.76	104.7948	104.1410	208,282.00	(1,307.76)	ST	3,911.11	8,000.00	3.84%	2.5%
MCKESSON CORP NEW SR NOTE CPN 3.796% DUE 03/15/24 DTD 03/10/14 FC 09/15/14 CALL 12/15/23 @ 100.000 MOODY'S BAA2/S&P BBB+	581557BE4	200,000	01/27/17	207,728.70	103.8643	103.1020	206,204.00	(1,524.70)	ST	1,602.76	7,592.00	3.68%	2.5%
U S WEST COMMS INC CPN 7.125% DUE 11/15/43 DTD 11/15/93 FC 05/15/94 CALL 12/31/17 @ 102.010 MOODY'S BA2/S&P BBB-	912920AG0	200,000	7/17/12	201,571.05	100.7855	91.1410	182,282.00	(19,289.05)	LT	633.33	14,250.00	7.81%	2.2%
CITIGROUP INC NOTE PERPETUAL FXD/VAR CPN 5.950% DTD 04/24/15 FC 11/15/15 CALL 05/15/25 @ 100.000 MOODY'S BA3/S&P BB+	172967JM4	200,000	6/15/17	211,938.00	105.9690	107.7500	215,500.00	3,562.00	ST		11,900.00	5.52%	2.6%
TOTAL CORPORATE BONDS		2,086,000		2,076,309.47			2,138,472.50	62,163.03		19,563.10	100,679.50	4.70%	25.7%



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PORTFOLIO DETAILS

CERTIFICATES OF DEPOSIT

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
GE CAPITAL BANK SALT LAKE CITY UT CD FDIC #33778 CPN 1.450% DUE 12/05/17 DTD 12/05/14 FC 06/05/15	36162PEA6	100,000	6/2/16/17	100,007.48	100.0074	100.0030	100,003.00	(4.48)	ST	711.09	1,450.00	1.44%	1.2%
GOLDMAN SACHS BANK USA NEW YORK NY CD FDIC #33124 CPN 5.000% DUE 01/16/18 DTD 01/16/08 FC 07/16/08	381426FV2	100,000	1/11/08	98,500.00	98.5000	100.4360	100,436.00	1,936.00	LT	1,890.41	5,000.00	4.97%	1.2%
CAPITAL ONE NA MCLEAN VA CD FDIC #04297 CPN 2.300% DUE 07/15/20 DTD 07/15/15 FC 01/15/16	14042E4P2	245,000	6/11/8/17	246,513.93	100.6179	100.5770	246,413.65	(100.28)	ST	2,145.93	5,635.00	2.28%	3.0%
TOTAL CERTIFICATES OF DEPOSIT		445,000		445,021.41			446,852.65	1,831.24		4,747.43	12,085.00	2.70%	5.4%
TOTAL BONDS		5,646,000		5,633,876.05			5,943,366.95	309,490.90		61,353.93	277,125.95	4.66%	71.4%

PREFERRED SECURITIES

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
BANK AMERICA CORP DEP SHS REP 1/1000TH NONCUMUL PFD SER W PERP TL 6.625%	BACW	4,000	6/10/13/14	100,279.60	25.0699	26.6300	106,520.00	6,240.40	LT		6,625.20	6.21%	1.3%
BB&T CORP DEP SHS REPSTG 1/1000TH SER E NON CUMUL PERPETUAL PFD 5.625%	BBTE	4,000	8/29/13	85,797.00	21.4492	25.4100	101,640.00	15,843.00	LT		5,625.20	5.53%	1.2%
CAPITAL ONE FINANCIAL CORP DEP SHS REPSTG 1/40TH PERP PFD SER C	COFC	6,000	1/9/15	148,920.00	24.8200	26.4100	158,460.00	9,540.00	LT		9,375.00	5.91%	1.9%



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PREFERRED SECURITIES

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
CITIGROUP INC DEP SHS REPSTG 1/1000TH NONCUMUL SER S PERPETUAL 6.3%	C'S	4,000	3/29/17	104,122.39	26.0305	27.0500	108,200.00	4,077.61	ST		6,300.00	5.82%	1.3%
CUSTOMERS BANCORP INC NON CUMUL PERPETUAL PFD SER F FXD/MAR 6%	CUBIF	14,000	7/28/17	365,400.00	26.1000	26.2100	366,940.00	1,540.00	ST		21,000.00	5.72%	4.4%
JPMORGAN CHASE & COMPANY DEP REPSTG 1/400TH NON CUMUL PFD Y PERPTL 6.125%	JPMF	8,000	3/2/15	201,197.47	25.1496	27.0000	216,000.00	14,802.53	LT		12,249.60	5.67%	2.6%
STATE STREET CORP REPSTG 1/4000TH OWNERSHIP NON CUMUL PERPTL PFD E 6%	STTE	10,000	11/20/14	249,000.00	24.9000	26.4200	264,200.00	15,200.00	LT		15,000.00	5.67%	3.2%
STELLUS CAP INVT CORP NOTE 5.75% 09/15/22	SCA	4,000	6/8/17	99,960.00	24.9900	25.2283	100,913.20	953.20	ST		5,750.00	5.69%	1.2%
STERLING BANCORP DEP SHS REPSTG 1/40TH NON CUMUL SER A PERPTL PFD 6.5%	STLA	4,000	12/28/16	100,484.28	25.1210	26.2100	104,840.00	4,355.72	ST		6,500.00	6.19%	1.3%
WESTERN ALLIANCE BANCORP SUB DEBENTURES 6.25% 07/01/56	WALA	4,000	6/21/16	99,200.00	24.8000	26.4900	105,960.00	6,760.00	LT		6,250.00	5.89%	1.3%
TOTAL PREFERRED SECURITIES				1,554,360.74			1,633,673.20	79,312.46			94,675.00	5.79%	19.6%
TOTAL FIXED INCOME - BONDS & PREFERRED				7,188,236.79			7,577,040.15	388,803.36		61,353.93	371,800.95	4.90%	91.0%

FIXED INCOME - MUTUAL FUNDS, ETFs & UITs

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
FIRST TRUST EXCHANGE	FPE	5,000	6/5/17	99,550.00	19.9100	20.0300	100,150.00	600.00	ST		5,420.00	5.41%	
TRADED FUND III PFD SECS		5,000	6/11/27/17	100,427.00	20.0854	20.0300	100,150.00	(277.00)	ST		5,420.00	5.41%	



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FIXED INCOME - MUTUAL FUNDS, ETFs & UITs

Description	Symbol/ CUSIP	Quantity	Purchase Date	Cost Amount	Unit Cost	Current Price	Current Value	Unrealized Gain/(Loss)	Term	Accrued Interest	Est. Ann. Income	Est. Yield	% of Port.
& INCOME ETF													
		10,000		199,977.00			200,300.00	323.00			10,840.00	5.41%	2.4%
SPDR BLOOMBERG BARCLAYS SHORT TERM HIGH YIELD BOND ETF	SJNK	6,500	c12/12/13	200,395.00	30.8300	27.7400	180,310.00	(20,085.00)	LT		10,250.50	5.68%	
		3,000	c3/3/14	92,700.00	30.9000	27.7400	83,220.00	(9,480.00)	LT		4,731.00	5.68%	
		9,500		293,095.00			263,530.00	(29,565.00)			14,981.50	5.68%	3.2%
TOTAL FIXED INCOME - MUTUAL FUNDS, ETFs & UITs													
				493,072.00			463,830.00	(29,242.00)			25,821.50	5.56%	5.6%
TOTAL ACCOUNT VALUE													
				7,842,668.79			8,329,183.49	358,041.36		61,353.93	407,254.45	4.88%	100.0%

Mutual Funds

Open-End Funds

Description (Symbol)	Quantity	Amount Invested	Total Cost Basis	Price	Value	Estimated Income Yield	Estimated Annual Income	Investment Gain or (Loss)	Cost Basis Gain or (Loss)
DELAWARE EMERGING MARKETS INSTITUTIONAL CLASS N/L (DEMIX)	134,318.764	\$1,955,785.37	\$1,983,045.84	\$20.260	\$2,721,298.16	0.68%	\$18,401.67	\$765,512.79 39.14%	\$738,252.32 37.23%
EATON VANCE ATLANTA CAPITAL SMID CAP FUND CLASS I N/L (EISMIX)	122,160.485	\$2,763,384.86	\$3,139,047.11	\$34.610	\$4,227,974.39			\$1,464,589.53 53.00%	\$1,088,927.28 34.69%
FPA NEW INCOME FUND INSTITUTIONAL CLASS N/L (FPNIX)	37,738.093	\$350,000.00	\$398,267.74	\$10.000	\$377,380.93	2.80%	\$10,566.67	\$27,380.93 7.82%	\$20,886.81 (5.24)%
FPA CRESCENT FUND INSTITUTIONAL CLASS N/L (FPACX)	40,526.739	\$924,999.99	\$1,195,034.96	\$35.160	\$1,424,920.14	1.05%	\$14,994.89	\$499,920.15 54.05%	\$229,885.18 19.24%
VULCAN VALUE PARTNERS FUND N/L (VVPLX)	166,159.827	\$2,835,012.54	\$3,233,981.29	\$20.780	\$3,452,801.21	1.12%	\$38,715.24	\$617,788.67 21.79%	\$218,819.92 6.77%
FIRST EAGLE OVERSEAS FUND CLASS I N/L (SGOIX)	142,786.533	\$2,932,795.81	\$3,332,093.94	\$26.030	\$3,716,733.45	1.24%	\$46,120.05	\$783,937.64 26.73%	\$384,639.51 11.54%
HARDING LOEWNER INTERNATIONAL EQUITY PORTFOLIO INST CLS N/L (HLMIX)	165,885.343	\$2,541,788.10	\$2,681,673.56	\$22.890	\$3,797,115.50	0.76%	\$29,029.94	\$1,255,327.40 49.39%	\$1,115,441.94 41.59%
ADVISORY RESEARCH MLP AND ENERGY INCOME FD CLASS I N/L (INFIX)	189,043.227	\$1,656,824.08	\$2,056,475.78	\$8.420	\$1,591,743.97	8.48%	\$134,976.86	\$(65,080.11) (3.93)%	\$(464,731.81) (22.60)%
PIMCO SHORT TERM FUND INSTITUTIONAL CLASS N/L (PTSHX)	71,998.119	\$691,677.08	\$707,048.49	\$9.890	\$712,061.40	1.68%	\$11,951.69	\$20,384.32 2.95%	\$5,012.91 0.71%
PIMCO ALL ASSET ALL AUTHORITY INSTITUTIONAL CLASS N/L (PAUIX)	119,469.559	\$989,415.48	\$1,245,144.00	\$8.980	\$1,072,836.64	4.89%	\$52,447.14	\$83,421.16 8.43%	\$(172,307.36) (13.84)%
T. ROWE PRICE INTERNATIONAL DISCOVERY FUND N/L (PRIDX)	21,112.241	\$1,000,000.00	\$1,026,204.77	\$72.050	\$1,521,136.96	0.43%	\$6,544.79	\$521,136.96 52.11%	\$494,932.19 48.23%



Mutual Funds (continued)

Open-End Funds (continued)

Description (Symbol)	Quantity	Amount Invested	Total Cost Basis	Price	Value	Estimated Income Yield	Estimated Annual Income	Investment Gain or (Loss)	Cost Basis Gain or (Loss)
WELLS FARGO ABSOLUTE RETURN FUND CLASS I N/L (WABIX)	92,637.783	\$932,497.77	\$1,009,655.38	\$11.490	\$1,064,408.13	1.06%	\$11,301.81	\$131,910.36 14.15%	\$54,752.75 5.42%
WELLS FARGO SHORT TERM HIGH YIELD BOND FD CL I N/L (STYIX)	201,587.613	\$1,600,000.00	\$1,626,808.08	\$8.040	\$1,620,764.41	3.15%	\$51,001.67	\$20,764.41 1.30%	\$6,043.67 (0.37)%
Open-End Funds Total		\$21,174,181.08	\$23,634,480.94		\$27,301,175.29	1.56%	\$426,052.42	\$6,126,994.21	\$3,666,694.35
Mutual Funds Total			\$23,634,480.94		\$27,301,175.29	1.56%	\$426,052.42		\$3,666,694.35

Exchange-Traded Products (ETPs) *

Exchange-Traded Funds

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Estimated Income Yield	Estimated Annual Income	Gain or (Loss) Pct
GUGGENHEIM S&P 500 EQUAL WEIGHT ETF (RSP)	36,100.000	10/31/2017	\$96.580	\$3,486,523.56	\$100.250	\$3,619,025.00	1.22%	\$44,330.80	3.80%
Exchange-Traded Funds Total				\$3,486,523.56		\$3,619,025.00	1.22%	\$44,330.80	3.80%
Exchange-Traded Products Total				\$3,486,523.56		\$3,619,025.00	1.22%	\$44,330.80	3.80%

* Please see the Exchange-Traded Products on the Understanding Your Statement page



Alternative Investments

Alternative Mutual Funds **

Description (Symbol)	Quantity	Amount Invested	Total Cost Basis	Price	Value	Est Income Yield	Est Annual Income	Investment Gain or (Loss)	Cost Basis Gain or (Loss)
BOSTON PARTNERS LONG/SHORT RESEARCH FUND INST CLASS N/L (BPIRX)	189,394.600	\$2,550,030.00	\$2,696,822.37	\$16.780	\$3,178,041.39			\$628,011.39 24.63%	\$481,219.02 17.84%
Alternative Mutual Funds Total		\$2,550,030.00	\$2,696,822.37		\$3,178,041.39	0.00%	\$0.00	\$628,011.39	\$481,219.02
Alternative Investments Total		\$2,550,030.00			\$3,178,041.39	0.00%	\$0.00	\$628,011.39	

** Please see Alternative Mutual Funds on the Understanding Your Statement page.

Portfolio Total \$34,167,424.00

