Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**

OMB Nos. 1210-0110
1210-0089

2016

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2016 or fiscal plan year beginning 12/01/2016 and ending 11/30/2017

A This return/report is for:
- ☐ a multiemployer plan
- ☐ a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- ☒ a single-employer plan
- ☐ a DFE (specify) ____

B This return/report is:
- ☐ the first return/report
- ☐ the final return/report
- ☐ an amended return/report
- ☐ a short plan year return/report (less than 12 months)

C If the plan is a collectively-bargained plan, check here. . . . . ▶ ☐

D Check box if filing under:
- ☒ Form 5558
- ☐ automatic extension
- ☐ the DFVC program
- ☐ special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan
FREDERIC W. COOK & CO., INC. DEFERRED PROFIT SHARING PLAN

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan 01/01/1973

2a Plan sponsor's name (employer, if for a single-employer plan)
Mailing address (include room, apt., suite no. and street, or P.O. Box)
City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)
FREDERIC W. COOK & CO., INC.

685 THIRD AVENUE
28TH FLOOR
NEW YORK, NY 10017

2b Employer Identification Number (EIN) 13-2733056

2c Plan Sponsor's telephone number 212-986-6330

2d Business code (see instructions) 541600

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	09/10/2018	ROSEMARY KILLEEN
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

Preparer's name (including firm name, if applicable) and address (include room or suite number)

Preparer's telephone number

3a Plan administrator's name and address [X] Same as Plan Sponsor	**3b** Administrator's EIN	
	3c Administrator's telephone number	
4 If the name and/or EIN of the plan sponsor has changed since the last return/report filed for this plan, enter the name, EIN and the plan number from the last return/report:	**4b** EIN	
a Sponsor's name	**4c** PN	

5 Total number of participants at the beginning of the plan year	**5**	121
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines **6a(1), 6a(2), 6b, 6c,** and **6d**).		
a(1) Total number of active participants at the beginning of the plan year	**6a(1)**	92
a(2) Total number of active participants at the end of the plan year	**6a(2)**	93
b Retired or separated participants receiving benefits	**6b**	0
c Other retired or separated participants entitled to future benefits	**6c**	32
d Subtotal. Add lines **6a(2)**, **6b**, and **6c**.	**6d**	125
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	0
f Total. Add lines **6d** and **6e**.	**6f**	125
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	124
h Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	0
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:

2E 2F 2G 2J 2R 2T 3D

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

9a Plan funding arrangement (check all that apply)		**9b** Plan benefit arrangement (check all that apply)	
(1)	[ ] Insurance	**(1)**	[ ] Insurance
(2)	[ ] Code section 412(e)(3) insurance contracts	**(2)**	[ ] Code section 412(e)(3) insurance contracts
(3)	[X] Trust	**(3)**	[X] Trust
(4)	[ ] General assets of the sponsor	**(4)**	[ ] General assets of the sponsor

10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules

- **(1)** [X] **R** (Retirement Plan Information)
- **(2)** [ ] **MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary
- **(3)** [ ] **SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary

b General Schedules

- **(1)** [X] **H** (Financial Information)
- **(2)** [ ] **I** (Financial Information – Small Plan)
- **(3)** [ ] ___ **A** (Insurance Information)
- **(4)** [X] **C** (Service Provider Information)
- **(5)** [ ] **D** (DFE/Participating Plan Information)
- **(6)** [ ] **G** (Financial Transaction Schedules)

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2016 Form M-1 annual report. If the plan was not required to file the 2016 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

SCHEDULE C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**2016** **This Form is Open to Public Inspection.**

For calendar plan year 2016 or fiscal plan year beginning 12/01/2016 and ending 11/30/2017

A Name of plan
FREDERIC W. COOK & CO., INC. DEFERRED PROFIT SHARING PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
FREDERIC W. COOK & CO., INC.

D Employer Identification Number (EIN)
13-2733056

Part I Service Provider Information (see instructions)

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

a Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. . . . . [X] Yes [ ] No

b If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
37 60 64 65 71	RECORDKEEPER	1183	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [X] No [ ]

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes [ ] No [ ]	Yes [ ] No [ ]		Yes [ ] No [ ]

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes [ ] No [ ]	Yes [ ] No [ ]		Yes [ ] No [ ]

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	**(c)** Relationship to employer, employee organization, or person known to be a party-in-interest	**(d)** Enter direct compensation paid by the plan. If none, enter -0-.	**(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	**(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	**(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	**(h)** Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	**(c)** Relationship to employer, employee organization, or person known to be a party-in-interest	**(d)** Enter direct compensation paid by the plan. If none, enter -0-.	**(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	**(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	**(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	**(h)** Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	**(c)** Relationship to employer, employee organization, or person known to be a party-in-interest	**(d)** Enter direct compensation paid by the plan. If none, enter -0-.	**(e)** Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	**(f)** Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	**(g)** Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	**(h)** Did the service provider give you a formula instead of an amount or estimated amount?
			Yes ☐ No ☐	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ABF SM CAP VALUE A - BOSTON FINANC P.O. BOX 8480 BOSTON, MA 02266	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
ARTISAN MID CAP VAL - BOSTON FINAN 04-2526037	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
BARON ASSET FUND - DST SYSTEMS INC 43-1581814	0.40%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
OPPHMR DEV MKTS A - OFI GLOBAL ASS 225 LIBERTY STREET NEW YORK, NY 10281	0.50%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP EQUITY INC ADV - T. ROWE PRICE 52-2269240	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AIG FOCUSED DIVIDENDSTRATEGY CL A 3200 PLAZA 5 HARBORSIDE FINANCIAL CTR JERSEY, NJ 07311-4007	0.40%

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

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Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)

(complete as many entries as needed)

a Name:	**b** EIN:
c Position:	
d Address:	**e** Telephone:

Explanation:

a Name:	**b** EIN:
c Position:	
d Address:	**e** Telephone:

Explanation:

a Name:	**b** EIN:
c Position:	
d Address:	**e** Telephone:

Explanation:

a Name:	**b** EIN:
c Position:	
d Address:	**e** Telephone:

Explanation:

a Name:	**b** EIN:
c Position:	
d Address:	**e** Telephone:

Explanation:

SCHEDULE H (Form 5500)

Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Financial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2016

This Form is Open to Public Inspection

For calendar plan year 2016 or fiscal plan year beginning 12/01/2016 and ending 11/30/2017

A Name of plan
FREDERIC W. COOK & CO., INC. DEFERRED PROFIT SHARING PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
FREDERIC W. COOK & CO., INC.

D Employer Identification Number (EIN)
13-2733056

Part I Asset and Liability Statement

1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a	19500	16837
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	0	0
(2) Participant contributions	1b(2)	0	0
(3) Other	1b(3)	0	0
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	2090004	2278996
(2) U.S. Government securities	1c(2)	0	0
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)	0	0
(B) All other	1c(3)(B)	0	0
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	0	0
(B) Common	1c(4)(B)	4476239	1989588
(5) Partnership/joint venture interests	1c(5)	0	0
(6) Real estate (other than employer real property)	1c(6)	0	0
(7) Loans (other than to participants)	1c(7)	0	0
(8) Participant loans	1c(8)	145024	109854
(9) Value of interest in common/collective trusts	1c(9)	0	0
(10) Value of interest in pooled separate accounts	1c(10)	0	0
(11) Value of interest in master trust investment accounts	1c(11)	0	0
(12) Value of interest in 103-12 investment entities	1c(12)	0	0
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	45586690	61597429
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	0	0

			(a) Beginning of Year	(b) End of Year
1d	Employer-related investments:			
	(1) Employer securities	**1d(1)**	0	0
	(2) Employer real property	**1d(2)**	0	0
e	Buildings and other property used in plan operation	**1e**	0	0
f	Total assets (add all amounts in lines 1a through 1e)	**1f**	52317457	65992704
	Liabilities			
g	Benefit claims payable	**1g**	0	0
h	Operating payables	**1h**	0	0
i	Acquisition indebtedness	**1i**	0	0
j	Other liabilities	**1j**	0	0
k	Total liabilities (add all amounts in lines 1g through1j)	**1k**	0	0
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	**1l**	52317457	65992704

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

	Income		(a) Amount	(b) Total
a	**Contributions:**			
	(1) Received or receivable in cash from: **(A)** Employers	**2a(1)(A)**	2598718	
	(B) Participants	**2a(1)(B)**	778239	
	(C) Others (including rollovers)	**2a(1)(C)**	38461	
	(2) Noncash contributions	**2a(2)**	0	
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	**2a(3)**		3415418
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	**2b(1)(A)**	11862	
	(B) U.S. Government securities	**2b(1)(B)**	0	
	(C) Corporate debt instruments	**2b(1)(C)**	0	
	(D) Loans (other than to participants)	**2b(1)(D)**	0	
	(E) Participant loans	**2b(1)(E)**	6068	
	(F) Other	**2b(1)(F)**	0	
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	**2b(1)(G)**		17930
	(2) Dividends: **(A)** Preferred stock	**2b(2)(A)**	0	
	(B) Common stock	**2b(2)(B)**	16146	
	(C) Registered investment company shares (e.g. mutual funds)	**2b(2)(C)**	2248639	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	**2b(2)(D)**		2264785
	(3) Rents	**2b(3)**		0
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	**2b(4)(A)**	608800	
	(B) Aggregate carrying amount (see instructions)	**2b(4)(B)**	565298	
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	**2b(4)(C)**		43502
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	**2b(5)(A)**	0	
	(B) Other	**2b(5)(B)**	614537	
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	**2b(5)(C)**		614537

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		0
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		0
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		0
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		0
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		8526405
c Other income	2c		0
d Total income. Add all **income** amounts in column (b) and enter total	2d		14882577
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	1204470	
(2) To insurance carriers for the provision of benefits	2e(2)	0	
(3) Other	2e(3)	0	
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		1204470
f Corrective distributions (see instructions)	2f		0
g Certain deemed distributions of participant loans (see instructions)	2g		0
h Interest expense	2h		0
i Administrative expenses: (1) Professional fees	2i(1)	0	
(2) Contract administrator fees	2i(2)	0	
(3) Investment advisory and management fees	2i(3)	2522	
(4) Other	2i(4)	338	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		2860
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		1207330
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		13675247
l Transfers of assets:			
(1) To this plan	2l(1)		0
(2) From this plan	2l(2)		

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) [ ] Unqualified **(2)** [ ] Qualified **(3)** [X] Disclaimer **(4)** [ ] Adverse

b Did the accountant perform a limited scope audit pursuant to 29 CFR 2520.103-8 and/or 103-12(d)? [X] Yes [ ] No

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: WILKIN AND GUTTENPLAN PC **(2)** EIN: 22-2612018

d The opinion of an independent qualified public accountant is **not attached** because:

(1) [ ] This form is filed for a CCT, PSA, or MTIA. **(2)** [ ] It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

		Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)	4a		X	
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)	4b		X	

			Yes	No	Amount
c	Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	4c		X	
d	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	4d		X	
e	Was this plan covered by a fidelity bond?	4e	X		500000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	4f		X	
g	Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	4g		X	
h	Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	4h		X	
i	Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	4i	X		
j	Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked, and see instructions for format requirements.)	4j		X	
k	Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	4k		X	
l	Has the plan failed to provide any benefit when due under the plan?	4l		X	
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	4m		X	
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	4n		X	
o	Defined Benefit Plan or Money Purchase Pension Plan Only: Were any distributions made during the plan year to an employee who attained age 62 and had not separated from service?	4o		X	

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? If "Yes," enter the amount of any plan assets that reverted to the employer this year ☐ **Yes** ☒ **No** **Amount:**

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	**5b(2)** EIN(s)	**5b(3)** PN(s)

5c If the plan is a defined benefit plan, is it covered under the PBGC insurance program (See ERISA section 4021.)? ..... ☐ Yes ☐ No ☐ Not determined
If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year_____. (See instructions.)

Part V Trust Information

6a Name of trust	**6b** Trust's EIN

6c Name of trustee or custodian	**6d** Trustee's or custodian's telephone number

SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Retirement Plan Information

This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2016

This Form is Open to Public Inspection.

For calendar plan year 2016 or fiscal plan year beginning 12/01/2016 and ending 11/30/2017

A Name of plan
FREDERIC W. COOK & CO., INC. DEFERRED PROFIT SHARING PLAN

B Three-digit plan number (PN) ▶ 001

C Plan sponsor's name as shown on line 2a of Form 5500
FREDERIC W. COOK & CO., INC.

D Employer Identification Number (EIN)
13-2733056

Part I Distributions

All references to distributions relate only to payments of benefits during the plan year.

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions **1**

2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits):

EIN(s): 04-6568107

Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.

3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year **3**

Part II Funding Information (If the plan is not subject to the minimum funding requirements of section of 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

If the plan is a defined benefit plan, go to line 8.

5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. **Date:** Month _____ Day _____ Year _____

If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.

6 **a** Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived) **6a**

b Enter the amount contributed by the employer to the plan for this plan year **6b**

c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount) **6c**

If you completed line 6c, skip lines 8 and 9.

7 Will the minimum funding amount reported on line 6c be met by the funding deadline? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

Part III Amendments

9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box. ..... ☐ **Increase** ☐ **Decrease** ☐ **Both** ☐ **No**

Part IV ESOPs (see instructions). If this is not a plan described under Section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.

10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ..... ☐ **Yes** ☐ **No**

11 **a** Does the ESOP hold any preferred stock? ..... ☐ **Yes** ☐ **No**

b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ..... ☐ **Yes** ☐ **No**

12 Does the ESOP hold any stock that is not readily tradable on an established securities market? ..... ☐ **Yes** ☐ **No**

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

14 Enter the number of participants on whose behalf no contributions were made by an employer as an employer of the participant for:

a The current year	**14a**	
b The plan year immediately preceding the current plan year	**14b**	
c The second preceding plan year	**14c**	

15 Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year	**15a**	
b The corresponding number for the second preceding plan year	**15b**	

16 Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year	**16a**	
b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	**16b**	

17 If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment. ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

18 If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment ☐

19 If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:
Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

Part VII IRS Compliance Questions

20a Is the plan a 401(k) plan? If "No," skip b	☐ Yes ☐ No
20b How did the plan satisfy the nondiscrimination requirements for employee deferrals under section 401(k)(3) for the plan year? Check all that apply:	☐ Design-based safe harbor ☐ "Prior year" ADP test ☐ "Current year" ADP test ☐ N/A
21a What testing method was used to satisfy the coverage requirements under section 410(b) for the plan year? Check all that apply:	☐ Ratio percentage test ☐ Average benefit test ☐ N/A
21b Did the plan satisfy the coverage and nondiscrimination requirements of sections 410(b) and 401(a)(4) for the plan year by combining this plan with any other plan under the permissive aggregation rules?	☐ Yes ☐ No

22a If the plan is a master and prototype plan (M&P) or volume submitter plan that received a favorable IRS opinion letter or advisory letter, enter the date of the letter _____/_____/_____ and the serial number _____.

22b If the plan is an individually-designed plan that received a favorable determination letter from the IRS, enter the date of the most recent determination letter _____/_____/_____.

Frederic W. Cook & Co., Inc.
Deferred Profit Sharing Plan
Financial Statements
November 30, 2017 and 2016



Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
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November 30, 2017 and 2016

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Independent Auditors' Report

To the Plan Administrator and Participants of the
Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of Frederic W. Cook & Co., Inc. Deferred Profit Sharing (the "Plan"), which comprise the Statements of Net Assets Available for Benefits as of November 30, 2017 and 2016, and the related Statement of Changes in Net Assets Available for Benefits for the year ended November 30, 2017, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Plan management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient, appropriate audit evidence to provide a basis for an audit opinion.

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the Plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by Fidelity Management Trust Company ("Fidelity"), except for comparing the information with the related information included in the financial statements and supplemental schedule. We have been informed by the Plan administrator that Fidelity holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from Fidelity as of and for the year ended November 30, 2017 and 2016, that the information provided to the Plan administrator by Fidelity is complete and accurate.

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Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient, appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

Other Matter – Supplemental Schedule

The supplemental Schedule of Assets Held at November 30, 2017, is presented for the purpose of additional analysis and is not a required part of the financial statements but is required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we do not express an opinion on the supplemental schedule.

Report on Form and Content in Compliance with DOL Rules and Regulations

The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by Fidelity, has been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.



East Brunswick, New Jersey

September 6, 2018

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Statements of Net Assets Available for Benefits
November 30, 2017 and 2016

	2017	2016
Assets		
Investments at fair value		
Mutual funds	$ 61,597,429	$ 45,586,690
Cash equivalents	2,295,833	2,109,504
Common stock	1,989,588	4,476,239
Total Investments	65,882,850	52,172,433
Participants' notes receivable	109,854	145,024
Net Assets Available for Benefits	$ 65,992,704	$ 52,317,457

The accompanying notes are an integral part of these financial statements.

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Statement of Changes in Net Assets Available for Benefits
For the year ended November 30, 2017

Additions	
Additions to net assets attributed to	
Investment Income	
Net appreciation in fair value of investments:	
Mutual funds	$ 8,526,405
Common stock	658,039
Interest and dividends	2,276,647
Total Investment Income	11,461,091
Contributions	
Participant deferrals	778,239
Employer	2,598,718
Participant rollover contributions	38,461
Total Contributions	3,415,418
Interest on Participant Notes Receivable	6,068
Total Additions to Net Assets	14,882,577
Deductions	
Deductions from Net Assets Attributed To	
Benefits paid to participants	1,204,470
Administrative Expenses	2,860
Total Deductions	1,207,330
Net Increase in Net Assets Available for Benefits	13,675,247
Net Assets Available for Benefits - Beginning of Year	52,317,457
Net Assets Available for Benefits - End of Year	$ 65,992,704

The accompanying notes are an integral part of these financial statements.

Note 1 Description of Plan

The following description of Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan (the "Plan") is provided for general information purposes only. Participants should refer to the Plan agreement for a more complete description of the Plan's provisions.

General

The Plan is a defined contribution plan established on January 1, 1973, by Frederic W. Cook & Co., Inc. (collectively, the "Company" or "Plan Sponsor") under the provision of Section 401(a) of the Internal Revenue Code ("IRC"), which includes a qualified cash or deferred arrangement as described in section 401(k) of the IRC, for the benefit of eligible employees of the Company. Effective August 27, 2014, a new volume submitter Plan document was adopted and became effective, which covers all eligible employees (as defined by the Plan) of the Company. There were no significant changes to Plan provisions as a result of the adoption of the new Plan document. The Plan is subject to the provisions of the Employee Retirement Security Act of 1974, as amended (ERISA).

Plan Administration

Plan investments are held by Fidelity Management Trust Company ("Fidelity"), which executes transactions pursuant to instructions from the Plan administrator.

Plan Contributions

Eligible employees can contribute up to 75% of their eligible compensation as defined by the Plan, subject to certain limitations under the IRC. Eligible employees are permitted to make both pre-tax and after-tax (ROTH) contributions provided the total of such elective contributions does not exceed the limits stated in the Plan. Participants who have obtained age 50 before the end of the Plan year are eligible to make catch up contributions. Participants may also contribute amounts representing distributions from other qualified plans. The Plan allows for a discretionary employer contribution. Employer contributions for the year ended November 30, 2017 totaled $2,598,718.

Participants' Accounts

Each participant's account is credited with the participant's contributions and allocations of the Company's contribution, if any, and Plan earnings and are charged with an allocation of administrative expenses. Allocations are based upon participant earnings or account balances, as defined. The benefit to which a participant is entitled is the benefit which can be provided from the participant's vested account.

Vesting

Participants are fully vested in their contributions, rollover amounts and discretionary non-elective employer contributions plus earnings thereon.

Note 1 Description of Plan (Continued)

Participants' Notes Receivable

A participant may borrow from his or her account up to a maximum equal to the lesser of $50,000 or 50 percent of the vested account balance. The maximum loan term is five years unless the loan is taken to purchase a principal residence. Notes are secured by the balance in the participant's account and bear interest at a rate of prime plus one percent, determined as of the date of the loan origination. Notes are repaid through payroll deductions. Participants' notes receivable are valued at unpaid principal plus accrued interest. Delinquent participant loans are reclassified as distributions based on the terms of the Plan document.

Payment of Benefits

Upon retirement, death, disability, or termination of service, a participant (or a participant's beneficiary in the event of death) may elect to receive a lump-sum distribution equal to the participant's vested account balance. Additionally, participants may be eligible to take distributions representing hardship withdrawals subject to requirements imposed by the Plan and the IRC. Benefit payments to participants are recorded when paid.

Note 2 Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements are prepared on the accrual basis of accounting.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires the Plan's management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein, and disclosure of contingent assets and liabilities at the date of the financial statements. Actual results could differ from these estimates.

Investment Valuation and Income Recognition

Mutual Funds

Mutual funds are reported at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. See Note 3 for discussion of fair value measurements.

Common stock

Valued at the closing price reported on the active market on which the individual securities are traded.

Note 2 Summary of Significant Accounting Policies (Continued)

Investment Valuation and Income Recognition (Continued)

Cash Equivalents
All highly liquid financial instruments with a maturity date of 90 days or less when purchased are considered to be cash equivalents.

Net Appreciation in Fair Value of Investments
Net realized and unrealized appreciation is recorded in the accompanying statement of changes in net assets available for benefits as net appreciation in fair value of investments. Included in net appreciation in fair value of investments is the Plan's gains and losses on investments bought and sold during the year as well as held during the year.

Income Recognition
Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date.

Expenses
Expenses related to the administration of the Plan were primarily paid by the Company. Personnel and facilities of the Company were used by the Plan at no additional cost to the Plan. Investment related expenses, other than those paid directly by the Plan, were integrated with investment performance.

Subsequent Events
Management has evaluated subsequent events and transactions for potential recognition or disclosure through the date of the auditors' report, which is the date the financial statements were available to be issued.

Note 3 Investments (Unaudited)

Fair Value Measurements
Generally accepted accounting principles ("GAAP") establish a framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The Plan did not hold any level 2 or level 3 investments at November 30, 2017 and 2016.

Level 1 investments in the fair value hierarchy under GAAP are described below:

Level 1
Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Note 3 Investments (Unaudited) (Continued)

The asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

Investments reported on the statement of net assets available for benefits for the years ended November 30, 2017 and 2016 are presented in the aggregate.

The following table sets forth by level, within the fair value hierarchy, the Plan's financial assets at fair value as of November 30, 2017 and 2016:

Investments at fair value:

	November 30,	
	2017	2016
Level 1 – Mutual Funds	$ 61,597,429	$ 45,586,690
Level 1 – Cash	2,295,833	2,109,504
Level 1 – Common stock	1,989,588	4,476,239
Total	$ 65,882,850	$ 52,172,433

The above information, included in the accompanying financial statements and supplemental schedule, was obtained from data that has been prepared by and certified to as complete and accurate by Fidelity. See also Note 7.

Note 4 Plan Termination

Although it has not expressed any intent to do so, the Company has the right under the Plan to discontinue contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination or partial termination, participants are fully vested, and net assets will be distributed to participants and beneficiaries in proportion to their respective account balances.

Note 5 Tax Status

The IRS has determined and informed the Company by a letter dated March 31, 2014, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC).

Although the Plan has been amended since receiving the determination letter, the Plan administrator believes that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan is qualified, and the related trust is tax-exempt. The Plan administrator believes that the Plan is designed and is currently being operated in compliance with the applicable requirement of the IRC.

Accounting principles generally accepted in the United States of America require Plan management to evaluate tax positions taken by the Plan and recognize a tax liability if the organization has taken an uncertain position that more likely than not would not be sustained upon examination by the taxing authorities. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes the Plan will be open for examination for three years.

Note 6 Related Party and Party-In-Interest Transactions

Certain Plan investments are mutual funds, managed by Fidelity Investments Institutional Operations Company, Inc., a subsidiary of Fidelity. Fidelity is the trustee as defined by the Plan and, therefore, these transactions qualify as party-in-interest transactions. Fees incurred by the Plan for the year ended November 30, 2017 totaled $2,860.

Note 7 Risk and Uncertainties

Cash equivalents are held in deposit accounts which, at times, may exceed federally insured limits.

The Plan invests in various investment securities. All investments are self-directed. The investment choices consist mainly of mutual funds and common stock. Investment securities, in general, are exposed to various risks such as interest, credit, and overall market volatility risk.

Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for Plan benefits and participant account balances.

Note 7 Risk and Uncertainties (Continued)

The Plan's exposure to a concentration of credit risk is limited by the diversification of investments across a variety of participant-directed fund elections. Additionally, the investments within each participant-directed fund election are further diversified into varied financial instruments.

At November 30, 2017, one investment option accounted for more than 10% of the Plan's total net assets:

Vanguard Primecap Admiral Overview	$18,234,503	28%

SUPPLEMENTARY INFORMATION

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Supplementary Information
Schedule H, Line 4i - Schedule of Assets Held at November 30, 2017

EIN: 04-2033129
Plan #: 001

(a)	(b) Identity of Issuer/Borrower/Lessor Or Similar Party	(c) Description of Investment Including Maturity Date Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
	Vanguard Primecap Admiral Overview	Registered Investment Company	**	$ 18,234,503
*	Fidelity 500 Index PR	Registered Investment Company	**	6,189,837
*	Fidelity Freedom 2020 K	Registered Investment Company	**	3,107,843
*	Fidelity Freedom 2035 K	Registered Investment Company	**	2,729,974
*	Fidelity Capital Appreciation K	Registered Investment Company	**	2,393,761
*	Fidelity International Discovery K	Registered Investment Company	**	2,223,634
	Artisan Mid Cap Value	Registered Investment Company	**	1,755,357
*	Fidelity Freedom 2050 K	Registered Investment Company	**	1,502,262
*	Fidelity Extended Market Index Investor	Registered Investment Company	**	1,493,254
*	Fidelity Total Bond	Registered Investment Company	**	1,407,983
*	Fidelity Small Cap Index PR	Registered Investment Company	**	1,396,992
*	Fidelity Freedom 2030 K	Registered Investment Company	**	1,320,394
*	Fidelity US Bond Index PR	Registered Investment Company	**	1,299,978
*	Fidelity Value Discovery K	Registered Investment Company	**	1,297,690
*	Fidelity Capital & Income	Registered Investment Company	**	1,216,528
*	Fidelity Balanced K	Registered Investment Company	**	1,141,065
*	Fidelity Freedom 2040 K	Registered Investment Company	**	1,059,241
	ABF Small Cap Value A	Registered Investment Company	**	931,746
*	Fidelity Real Estate Investment	Registered Investment Company	**	903,878
*	Fidelity Freedom 2025 K	Registered Investment Company	**	841,096
*	Fidelity Freedom 2015 K	Registered Investment Company	**	766,462
	Baron Asset Fund	Registered Investment Company	**	638,781
*	Fidelity Freedom 2010 K	Registered Investment Company	**	614,126
*	Fidelity International Index PR	Registered Investment Company	**	503,972
*	Fidelity Freedom 2055 K	Registered Investment Company	**	480,642
*	Fidelity Freedom 2045 K	Registered Investment Company	**	422,419
	Oppenheimer Developing Markets Fund	Registered Investment Company	**	371,492
*	Fidelity Stock Trading Select Mid Cap	Registered Investment Company	**	249,722
	T. Rowe Price Equity Inc Advantage	Registered Investment Company	**	216,455
*	Fidelity Stock Trading Select Large Cap Val	Registered Investment Company	**	143,688
*	Fidelity Value K	Registered Investment Company	**	131,075
*	Fidelity Freedom 2060 K	Registered Investment Company	**	76,182
*	Fidelity Freedom Inc K	Registered Investment Company	**	65,828
				57,127,860
	Brokerage Link Accounts - Exhibit I	Registered Investment Company	**	6,459,157
*	Cash equivalents	Fidelity Cash Reserve Account	**	2,295,833
		Total Investments		$ 65,882,850
	Participant Notes Receivable	Participant Notes Receivable with interest rates ranging from 4.25% - 5.00%		$ 109,854

(a) * Party-In-Interest as defined by ERISA.
(d) ** Cost is omitted for Participant-directed investments.

See Independent Auditors' Report.

EXHIBIT I

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2017

	CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
		CASH				
*	316067107	FIDELITY CASH RESERVES	971,946.580	$1.00	$971,946.58	$971,946.58
		COMMON STOCK				
	285512109	ELECTRONICS ARTS NFS LLC IS A MARKET	18.000	$106.35	$1,914.30	$1,969.21
	30303M102	FACEBOOK INC COM USD0.000006 CL A	306.000	$177.18	$54,217.08	$31,696.14
	31428X106	FEDEX CORP NFS LLC IS A	100.000	$231.46	$23,146.00	$0.00
	378973408	GLOBALSTAR INC COM	10,000.000	$1.58	$15,800.00	$14,379.50
	437076102	HOME DEPOT INC NFS IS A SPECIALIST	113.113	$179.82	$20,339.98	$13,472.67
	451663108	IDEARC INC COM	10.193	$0.00	$0.00	$165.01
	45253H101	IMMUNOGEN INC NFS LLC IS A MARKET	100.000	$6.35	$635.00	$0.00
	458140100	INTEL CORP NFS LLC IS A MARKET	200.002	$44.84	$8,968.09	$2,590.05
	524ESC100	LEHMAN BROTHERS HOLDINGS INC	25.639	$0.00	$0.00	$1,476.06
	53632A102	LIQTECH INTL INC COM	7,500.000	$0.48	$3,637.50	$4,037.91
	539439109	LLOYDS TSB GROUP PLC	425.237	$3.61	$1,535.11	$1,110.17
	D18190898	DEUTSCHE BANK AG ISIN #DE0005140008	302.488	$18.86	$5,704.92	$3,899.10
	G6674U108	NOVOCURE LTD COM USD0.00	27,000.000	$19.25	$519,750.00	$261,087.78
	G7945E105	SEADRILL LIMITED ISIN #BMG7945E1057	2,551.000	$0.30	$755.10	$23,097.38
	000375204	ABB LTD SPONSORED ADR	1,000.000	$25.74	$25,740.00	$25,510.64
	00165C104	AMC ENTERTAINMENT HOLDINGS INC COM	607.672	$14.25	$8,659.33	$9,041.91
	00507V109	ACTIVISION BLIZZARD INC COM	34.000	$62.40	$2,121.60	$1,980.55
	005094107	ACTUA CORP COM	4.000	$15.50	$62.00	$0.00
	008073108	AEROVIRNMENT INC	200.000	$45.58	$9,116.00	$6,451.95
	02079K107	ALPHABET INC CAP STK CL C	17.047	$1,021.41	$17,411.98	$0.00
	02079K305	ALPHABET INC CAP STK CL A	43.000	$1,036.17	$44,555.31	$23,959.93
	023135106	AMAZON.COM INC NFS LLC IS A MARKET	29.000	$1,176.75	$34,125.75	$28,181.35
	037833100	APPLE COMPUTER INC NFS LLC IS A MARKET	1,683.920	$171.85	$289,381.65	$148,912.36
	06738E204	BARCLAYS PLC ADR	305.963	$10.35	$3,166.72	$2,201.78
	067532101	BARFRESH FOOD GROUP INC COM	42,000.000	$0.60	$25,200.00	$30,030.98
	067901108	BARRICK GOLD CORP NFS IS A SPECIALIST	591.885	$13.78	$8,156.18	$15,964.21
	084670702	BERKSHIRE HATHAWAY INC DEL CL B NEW	420.000	$193.01	$81,064.20	$66,601.89
	08860E309	BEYOND CORP COM NEW	67.000	$0.00	$0.00	$0.00
	090624107	BIOMETRICS 2000 CORP	1,000.000	$0.00	$0.00	$0.00
	124857202	CBS CORP NEW CL B	140.000	$56.06	$7,848.40	$800.55
	13057Q206	CALIFORNIA RES CORP COM NEW	5.000	$15.73	$78.65	$0.00
	16119P108	CHARTER COMMUNICATIONS INC	1.713	$326.21	$558.80	$0.00
	165167107	CHESAPEAKE ENERGY CORPORATION	1,583.707	$4.07	$6,445.69	$33,014.47
	548661107	LOWES COMPANIES NFS IS A SPECIALIST	175.924	$83.37	$14,666.78	$14,066.69
	57886P103	MAZOR ROBOTICS LTD SPON ADS EA REPR 2	2,000.000	$58.15	$116,300.00	$76,351.00
	580135101	MCDONALDS CORP NFS IS A SPECIALIST	204.856	$171.97	$35,229.09	$18,031.66
	594918104	MICROSOFT CORP NFS LLC IS A MARKET	123.966	$84.17	$10,434.22	$6,240.45
	60786L206	MODUSLINK GLOBAL SOLUTIONS INC COM	101.714	$1.65	$167.83	$79.47
	639027101	NATURES SUNSHINE PRODUCTS INC COM	355.000	$12.85	$4,561.75	$4,371.45
	64066G101	NEOTHETICS INC COM ISIN #US64066G1013	6,350.000	$1.34	$8,509.00	$27,943.80
	649445103	NEW YORK COMMUNITY BANCORP	1,013.392	$13.34	$13,518.65	$12,900.65
	656568508	NORTEL NETWORKS CORP NEW COM	52.000	$0.00	$0.00	$0.00
	67066G104	NVIDIA CORP NFS LLC IS A MARKET	20.000	$200.71	$4,014.20	$2,933.75
	674599105	OCCIDENTAL PETROLEUM CORP	119.000	$70.50	$8,389.50	$10,054.13
	68404C102	OPUS MAGNUM AMERIS INC COM	5.000	$0.00	$0.00	$0.00
	70450Y103	PAYPAL HLDGS INC COM	400.000	$75.73	$30,292.00	$0.00
	747525103	QUALCOMM INC NFS LLC IS A MARKET	333.136	$66.34	$22,100.24	$3,875.93
	74758R208	QUALSTAR CORP COM NEW	20.000	$7.56	$151.20	$52.13
	751212101	RALPH LAUREN CORP CLASS A COM	342.918	$95.15	$32,628.65	$37,988.60
	756577102	RED HAT INC NFS LLC IS A MARKET	2.000	$126.76	$253.52	$0.00
	780097689	ROYAL BK SCOTLAND GROUP PLC SPONSORED	500.000	$7.54	$3,770.00	$2,063.32
	784635104	SPX CORP NFS IS A SPECIALIST	114.194	$31.89	$3,641.65	$1,017.01
	78469X107	SPX FLOW INC COM	114.000	$44.77	$5,103.78	$0.00
	818ESC998	SEVENTY SEVEN ESC	111.000	$0.00	$0.00	$0.00
	876030107	TAPESTRY INC COM	400.000	$41.69	$16,676.00	$0.00
	879382208	TELEFONICA S A ADR REPRSTG THREE SHRS	37.233	$10.22	$380.52	$221.46
	879455103	TELENAV INC COM	1,000.000	$5.50	$5,500.00	$5,267.95

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2017

	CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
	88033T102	TENGTU INTL CORP	12,500.000	$0.00	$0.00	$0.00
	887228104	TIME INC COM USD0.01	1.116	$18.60	$20.76	$2.06
	887317303	TIME WARNER INC NEW COM NEW	15.752	$91.51	$1,441.47	$174.45
	89366M201	TRANSENTERIX INC	5,000.000	$2.31	$11,550.00	$22,033.05
	903899102	ULTRALIFE BATTERIES INC	3,692.000	$6.55	$24,182.60	$20,265.46
	913017109	UNITED TECHNOLOGIES CORP	406.469	$121.45	$49,365.66	$31,408.67
	91688R108	UR ENERGY INC COM ISIN #CA91688R1082	40,098.000	$0.64	$25,646.68	$34,622.95
	92343V104	VERIZON COMMUNICATIONS	250.245	$50.89	$12,734.97	$7,253.22
	92553P201	VIACOM INC NEW CL B	590.345	$28.32	$16,718.57	$34,617.77
	928583103	VOGOGO INC COM NPV ISIN #CA9285831033	5,000.000	$0.46	$2,290.00	$9,590.80
	98462Y100	YAMANA GOLD INC ISIN #CA98462Y1007	1,827.812	$2.54	$4,642.64	$11,817.23
	17275R102	CISCO SYS INC NFS LLC IS A MARKET	1,476.383	$37.30	$55,069.09	$6,591.98
	229050307	CRYOPORT INC COM PAR $0.001	23,325.000	$7.11	$165,840.75	$77,407.81
	24703L103	DELL TECHNOLOGIES INC COM CL V	7.000	$78.24	$547.68	$0.00
	25179M103	DEVON ENERGY CORP NEW	108.357	$38.53	$4,175.00	$7,492.38
	254687106	DISNEY WALT CO DEL (HOLDING COMPANY)	430.363	$104.82	$45,110.65	$26,620.16
	270318108	EARTHFIRST TECHNOLOGIES INC	30,000.000	$0.00	$0.00	$0.00
	278642103	EBAY INC NFS LLC IS A MARKET EXTERNAL FUND	400.000	$34.67	$13,868.00	$0.00
	86704B822	FOCUS DIVIDEND STRAT PORTFOLIO CLASS A	4,839.683	$19.74	$95,535.34	$82,384.14
	921908208	VANGUARD SPECIALIZED GOLD & PREC METALS	899.892	$9.96	$8,962.92	$13,422.67
	921926101	VANGUARD EXPLORER	2,411.990	$105.39	$254,199.63	$95,103.91
	922031869	VANGUARD INFLATION PROTECTED SECS FIDELITY FUND	4,857.621	$13.12	$63,731.99	$62,458.25
*	315911800	SPRTN TOTAL MKT INDX FID ADVANTAGE CLASS	999.407	$77.06	$77,014.30	$31,811.15
*	316390780	FIDELITY SELECT GOLD UNIT	993.871	$19.72	$19,599.14	$26,868.00
	19248A109	COHEN & STEERS SELECT UTIL FD INC	215.000	$23.43	$5,037.45	$5,010.15
	27828G107	EATON VANCE TAX ADVANTAGE DIVID	12,387.042	$22.63	$280,318.76	$136,338.72
	27828H105	EATON VANCE LTD DURATION INCOME FD	25,081.966	$13.42	$336,599.98	$270,055.71
	33733E203	FIRST TR EXCHANGE TRADED FD AMEX	50.081	$125.38	$6,279.16	$4,319.69
	37950E200	GLOBAL X FDS INTERBOLSA FTSE	536.336	$9.73	$5,218.01	$4,720.31
	37950E218	GLOBAL X FUNDS GLOBAL X NEXT	214.498	$23.07	$4,948.73	$5,754.31
	37954Y665	GLOBAL X FDS GBL X MSCI NIGER	299.000	$21.17	$6,329.83	$7,596.24
	464286475	ISHARES INC MSCI EMERGING MARKETS	89.159	$51.83	$4,621.11	$4,081.67
	464286657	ISHARES INC MCSI BRIC INDEX FD	29.004	$44.20	$1,281.98	$1,354.76
	464286715	ISHARES INC MSCI TURKEY INDEX FD	161.835	$37.89	$6,131.93	$6,079.71
	464286822	ISHARES INC MSCI MEXICO FREE INDEX FD	101.552	$50.19	$5,096.89	$4,611.43
	464287150	ISHARES TR S&P 1500 INDEX FD	1,380.218	$60.71	$83,793.03	$78,846.75
	464287168	ISHARES TR DOW JONES SELECT DIVID INDEX	275.000	$98.59	$27,112.25	$19,114.20
	464287556	ISHARES TR NASDAQ BIOTECHNOLOGY INDEX	90.000	$315.76	$28,418.40	$27,908.55
	464288885	ISHARES TR MSCI EAFE GROWTH INDEX FD	118.167	$79.93	$9,445.09	$6,710.80
	464289180	ISHARES TRUST MSCI EUROPE FINL SECTOR	309.427	$23.24	$7,191.08	$4,660.60
	46429B135	ISHARES TRUST S&P INTL PFD STK INDEX	340.003	$18.57	$6,313.86	$6,320.67
	46429B416	ISHARES TRUST MSCI UNITED KINGDOM SMALL	205.790	$42.58	$8,762.54	$6,567.24
	46429B507	ISHARES TR MSCI IRELAND CAPPED	101.345	$46.33	$4,695.31	$3,763.05
	46429B606	ISHARES TR MSCI POLAND INVESTABLE	207.116	$26.72	$5,534.14	$4,212.69
	61744H105	MORGAN STANLEY EMERGING MKTS DEB FD	706.109	$9.97	$7,039.91	$6,600.56
	61745C105	MORGAN STANLEY INDIA INVT FD INC	4,100.847	$35.89	$147,162.18	$97,598.78
	73935A104	POWERSHARES QQQ TR UNIT SER 1	796.697	$155.15	$123,607.54	$94,072.87
	73936T565	POWERSHARES GLOBAL EXCHANGE TRADED FD	651.491	$14.99	$9,765.85	$9,392.94
	74347X633	PROSHARES TR ULTRA FINANCIALS NEW	49.000	$125.39	$6,144.11	$4,991.07
	780910105	ROYCE VALUE TR INC	273.496	$16.12	$4,408.76	$4,112.85
	780915104	ROYCE MICRO-CAP TRUST INC	406.319	$9.47	$3,847.84	$4,273.92
	78355W106	RYDEX ETF TR S&P 500 EQUAL	1,430.224	$100.25	$143,379.96	$102,129.44
	78462F103	S & P 500 DEPOSITORY RECEIPT	2,202.959	$265.01	$583,806.16	$324,887.70
	78463X756	SPDR INDEX SHS FDS S&P EMERGING MKTS SM	117.502	$51.11	$6,005.53	$4,789.73
	78464A292	SPDR SER TR WELLS FARGO PFD STOCK ETF	337.998	$44.90	$15,176.11	$14,629.09
	78468R408	SPDR SER TR CAP SHORT TERM HIGH	1,027.969	$27.74	$28,515.86	$28,891.48
	808524748	SCHWAB STRATEGIC TR SCHWAB FUNDAMENTAL	115.439	$35.80	$4,132.72	$3,136.02

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2017

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
808524888	SCHWAB STRATEGIC TR INTL SMALL CAP	137.682	$36.56	$5,033.65	$4,099.84
81369Y605	SECTOR SPDR TR SHS BEN INT FINANCIAL	206.000	$27.52	$5,669.12	$4,998.39
81369Y886	SECTOR SPDR TR SHS BEN INT UTILITIES	57.000	$56.60	$3,226.20	$3,000.10
92189F429	VANECK VECTORS ETF TR PFD SECS EX FINL	469.218	$19.98	$9,374.98	$9,626.04
92189F775	VANECK VECTORS ETF TR EGYPT INDX ETF	158.523	$32.66	$5,177.36	$5,331.16
92189F817	VANECK VECTORS ETF TR VIETNAM ETF	307.595	$16.94	$5,210.66	$4,033.35
92189F825	VANECK VECTORS ETF TR BRAZIL SMALL CP	252.741	$23.20	$5,863.59	$2,579.44
921908844	VANGUARD SPECIALIZED PORTFOLIOS DIV	522.156	$101.12	$52,800.41	$27,690.69
921932828	VANGUARD ADMIRAL FDS INC S&P SMALLCAP 600	204.445	$141.76	$28,982.12	$21,933.54
921937793	VANGUARD BD INDEX FD INC LONG TERM BD	225.990	$93.91	$21,222.72	$20,914.43
921943858	VANGUARD TAX MANAGED FD EUROPE PACIFIC	2,404.954	$44.56	$107,164.75	$92,290.44
921946406	VANGUARD WHITEHALL FDS HIGH DIVIDEND	161.448	$85.01	$13,724.69	$8,448.65
92204A306	VANGUARD SECTOR INDEX FDS VANGUARD	44.473	$94.49	$4,202.25	$4,827.18
92204A876	VANGUARD SECTOR INDEX FDS VANGUARD	184.620	$124.86	$23,051.65	$14,698.59
922042676	VANGUARD INTL EQUITY INDEX FDS GLOBAL	85.494	$60.49	$5,171.53	$4,236.33
922042858	VANGUARD INTL EQUITY INDEX FD INC	112.215	$44.48	$4,991.32	$4,488.31
92206C409	VANGUARD SCOTTSDALE FDS VANGUARD SHORT	4,098.066	$79.63	$326,329.00	$327,112.83
922908538	VANGUARD INDEX FDS MID-CAP GROWTH INDEX	101.859	$127.97	$13,034.90	$7,690.72
922908553	VANGUARD INDEX FDS FORMERLY VANGUARD	63.210	$84.39	$5,334.29	$4,308.24
922908595	VANGUARD INDEX FDS VANGUARD SMALL CAP	168.175	$160.98	$27,072.81	$21,522.86
922908611	VANGUARD INDEX FDS VANGUARD SMALL CAP	131.460	$132.97	$17,480.24	$14,491.77
922908629	VANGUARD INDEX FDS VANGUARD MID CAP	208.118	$153.83	$32,014.79	$27,066.68
922908744	VANGUARD INDEX FDS VANGUARD VALUE	84.239	$105.23	$8,864.47	$5,809.06
922908769	VANGUARD INDEX TR VANGUARD TOTAL STK	7,111.616	$136.34	$969,597.73	$717,678.90
97717W315	WISDOMTREE TR EMERGING MKTS HIGH	137.681	$43.40	$5,975.36	$6,796.05
97717X305	WISDOMTREE TR MIDDLE EAST DIVIDEND FD	184.321	$16.73	$3,083.69	$3,097.63
18383Q838	CLAYMORE EXCHANGE TRADED FD TR 2	962.160	$14.94	$14,374.67	$14,203.93
021346101	ALTABA INC COM	200.000	$70.06	$14,012.00	$0.00
09249W101	BLACKROCK LTD DURATION INCOME TR	17,998.915	$15.91	$286,362.74	$187,520.10

NET ASSETS : $7,431,104.09

Less Cash: (971,947)

$6,459,157

* Party-In-Interest as defined by ERISA.

Wilkin & Guttenplan P.C.
Certified Public Accountants and Consultants

September 6, 2018

To the Plan Administrator and Trustees of

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan

We have conducted a DOL limited-scope audit of the financial statements of Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan (the "Plan") for the year ended November 30, 2017 and have issued our report thereon dated September 6, 2018. As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the Plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3 to those financial statements. Because of the significance of the information that we did not audit, we are unable to, and have not, expressed an opinion on those financial statements and supplemental schedule as a whole. We did, however, audit the form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by the trustee, in accordance with auditing standards generally accepted in the United States of America and found them to be presented in compliance with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards, as well as certain information related to the Planned scope and timing of our audit. We have communicated such information in our engagement letter dated May 8, 2018.

Professional standards require that we provide you with certain information related to our audit. Part I of this letter relays this required information. Part II details our comments and recommendations, all of which have been discussed with appropriate members of management, that are intended to improve the internal control or result in other operating efficiencies. We will be pleased to discuss this letter as well as the comments in further detail at your convenience, perform any additional study of these matters, or assist you in implementing the recommendations. We will review the status of these comments during our next audit engagement.

This letter does not affect our report on the above referenced financial statements of the Plan.

PART I - COMMUNICATION OF INFORMATION AS REQUIRED BY PROFESSIONAL STANDARDS

A. Our Responsibilities under Generally Accepted Auditing Standards

Our responsibilities under Generally Accepted Auditing Standards are as stated in our engagement letter which has been accepted by you.

As part of our audit, we considered the Plan's internal control to plan our auditing procedures and not to provide assurance on the internal control.

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B. Other Information in Documents Containing Audited Financial Statements

We have not been informed of any documents that contain your audited financial statements. If there were such documents, we will communicate with those charged with governance our responsibility with respect to such other information, any procedures performed, as requested by you, relating to the other information and the results of the procedures.

C. Planned Scope and Timing of the Audit

We performed the audit according to the planned scope and timing as previously communicated.

D. Significant Accounting Policies, Accounting Estimates and Financial Statement Disclosures

Management has the responsibility for the selection and use of appropriate accounting policies and procedures. In accordance with the terms of our engagement letter, we will advise management about the appropriateness of accounting policies and their application. The significant accounting policies used by the Plan are described in Note 2 to the financial statements and are considered to be appropriate. New accounting policies, if adopted and/or changes in the application of existing policies, if any, during the year are described in the Notes to the financial statements. We noted no transactions entered into by the Plan during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period. Financial statement disclosures included in the audited financial statements are also considered to be appropriate in nature. Accounting estimates are an integral part of the preparation of financial statements and are based upon management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. All such estimates have been disclosed in the financial statements and/or in the notes to the financial statements.

The financial statement disclosures are neutral, consistent, and clear.

E. Difficulties Encountered in Performing the Audit

Management was very cooperative in the course of our audit and no difficulties were encountered.

F. Audit Adjustments

For purposes of this letter, professional standards define an audit adjustment as a proposed correction of the financial statements that, in our judgment, may not have been detected except through our auditing procedures. An audit adjustment may or may not indicate matters that could have a significant effect on the Plan's financial reporting process (that is, cause future financial statements to be materially misstated).

F. Audit Adjustments (Continued)

Audit adjustments proposed by us related to various accounts. These adjustments have been included as an attachment to the representation letter. We have been advised that all audit adjustments will be approved and recorded by the Plan. The effects of uncorrected misstatements, if any, are immaterial, both individually and in the aggregate, to the financial statements taken as a whole.

G. Disagreements with Management

For purposes of this letter, professional standards define a disagreement with management as a matter, whether or not resolved to our satisfaction, concerning a financial accounting, reporting, or auditing matter that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

H. Supplementary Information Accompanying the Audited Financial Statements

With respect to the supplementary information accompanying the financial statements, we made certain inquiries of you and evaluated the form, content, and methods of preparing the information to determine that the information complies with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA, the method of preparing it has not changed from the prior period, and the information is appropriate and complete in relation to our audit of the financial statements. We compared and reconciled the supplementary information to the underlying accounting records used to prepare the financial statements or to the financial statements themselves.

PART II - COMMENTS AND RECOMMENDATIONS

A. Employees Opting out of Plan Participation

We recommend that the Plan obtain and retain an opt-out waiver from eligible employees who elect not to participate in the Plan. This waiver provides substantiation that the Plan has offered participation to eligible employees in the event of a Department of Labor or Internal Revenue Service audit.

B. Timely Remittance of Participant Contributions

Because of the continued focus on the issue by the Department of Labor, we recommend that management keep a log of each payroll including the payroll check date and the date the funds were remitted to the Plan. For any pay periods for which remittance was longer than the normal process, management should document the reasons for the delay.

During our audit we noted that payroll and 401k contributions were funded before the payroll date. We recommend that the funding either be on the payroll date or after the payroll date, but no later than the DOL recommendation. Plan contributions (including loan repayments) must be forwarded as of the "earliest date" they can be reasonably segregated from the employer's general assets, but no later than the 15th business day of the month after the month of payroll deduction.

C. Monitoring and Oversight

We recommend that Plan management and trustees provide monitoring and oversight of Plan operations, including investment menu selections, Plan fees, contribution remittances and other areas as needed. We further recommend that documentation be maintained to demonstrate that such monitoring and oversight are being providing. Documentation can include: meeting agendas and minutes, memos, e-mails, etc.

D. Cyber Attacks and Responding to Breaches

Plan fiduciaries have a responsibility to protect Plan information from cyber-attacks and respond to breaches promptly. According to the Department of Labor (DOL), Plan Sponsors should have a plan in place to address a breach.

We recommend an approach such as the following:

- Establishing procedures for how the Plan Sponsor and service providers will communicate with participants in the event of a breach and how they can protect their data.
- Creating a process for determining how a breach will be remedied.
- Documenting a process for how cybersecurity breaches are responded to and the steps that are taken to correct an actual breach, to demonstrate prompt action.
- Evaluate service providers and negotiate contract provisions to lower or mitigate the costs of correcting a possible cyberattack.
- Review and understand the business insurance coverage limitations and consider cyber insurance to address any coverage gaps.
- Additionally, Plan administrators and fiduciaries should consult with their ERISA counsel.

Developing a plan will ensure that Plan Fiduciaries are ready to respond to a breach in a timely and effective manner.

E. Personnel Files

During our audit, we noted that management does not maintain documentation of individual's termination dates in their personnel file. While we understand that management maintains a spreadsheet of the termination dates, we recommend that management maintain documentation of communication with individual's regarding their termination date in their personnel file.

F. Maintain Minutes of Meetings regarding the Plan

Meeting minutes were not maintained during the current year. Management and the profit sharing committee have a fiduciary responsibility to the participants to record minutes of all meetings. We recommend that the committee record minutes which documents items relating to the Plan that were discussed, positions taken and decisions made. These minutes should be maintained in a central location. These minutes provide permanent evidence that the committee is carrying out its fiduciary duties and serve as a record, should questions arise at a later date, about matters discussed or decisions reached.

G. Individuals' Portals on Fidelity

During the course of our audit, we noted that two individuals who were not eligible to participate in the Plan, had Fidelity 401k portals. Although the individuals did not contribute to the Plan, their personal information was entered into the Fidelity 401k portal. We recommend that only individuals who are eligible to participate in the Plan be entered into the Fidelity 401k system.

This information is intended solely for the use of the Board of Trustees and management of the Plan and is not intended to be and should not be used by anyone other than those specified parties.

We would like to thank all management and Plan officials for the cooperation and courtesy extended to us during our audit.

Very truly yours,



Wilkin & Guttenplan, P.C.
Certified Public Accountants

Frederic W. Cook & Co., Inc.
Deferred Profit Sharing Plan
Financial Statements
November 30, 2017 and 2016



Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
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November 30, 2017 and 2016

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Independent Auditors' Report

To the Plan Administrator and Participants of the
Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan

Report on the Financial Statements

We were engaged to audit the accompanying financial statements of Frederic W. Cook & Co., Inc. Deferred Profit Sharing (the "Plan"), which comprise the Statements of Net Assets Available for Benefits as of November 30, 2017 and 2016, and the related Statement of Changes in Net Assets Available for Benefits for the year ended November 30, 2017, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Plan management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient, appropriate audit evidence to provide a basis for an audit opinion.

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the Plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Note 3, which was certified by Fidelity Management Trust Company ("Fidelity"), except for comparing the information with the related information included in the financial statements and supplemental schedule. We have been informed by the Plan administrator that Fidelity holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from Fidelity as of and for the year ended November 30, 2017 and 2016, that the information provided to the Plan administrator by Fidelity is complete and accurate.

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Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient, appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on these financial statements.

Other Matter – Supplemental Schedule

The supplemental Schedule of Assets Held at November 30, 2017, is presented for the purpose of additional analysis and is not a required part of the financial statements but is required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we do not express an opinion on the supplemental schedule.

Report on Form and Content in Compliance with DOL Rules and Regulations

The form and content of the information included in the financial statements and supplemental schedule, other than that derived from the information certified by Fidelity, has been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.



East Brunswick, New Jersey

September 6, 2018

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Statements of Net Assets Available for Benefits
November 30, 2017 and 2016

	2017	2016
Assets		
Investments at fair value		
Mutual funds	$ 61,597,429	$ 45,586,690
Cash equivalents	2,295,833	2,109,504
Common stock	1,989,588	4,476,239
Total Investments	65,882,850	52,172,433
Participants' notes receivable	109,854	145,024
Net Assets Available for Benefits	$ 65,992,704	$ 52,317,457

The accompanying notes are an integral part of these financial statements.

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Statement of Changes in Net Assets Available for Benefits
For the year ended November 30, 2017

Additions	
Additions to net assets attributed to	
Investment Income	
Net appreciation in fair value of investments:	
Mutual funds	$ 8,526,405
Common stock	658,039
Interest and dividends	2,276,647
Total Investment Income	11,461,091
Contributions	
Participant deferrals	778,239
Employer	2,598,718
Participant rollover contributions	38,461
Total Contributions	3,415,418
Interest on Participant Notes Receivable	6,068
Total Additions to Net Assets	14,882,577
Deductions	
Deductions from Net Assets Attributed To	
Benefits paid to participants	1,204,470
Administrative Expenses	2,860
Total Deductions	1,207,330
Net Increase in Net Assets Available for Benefits	13,675,247
Net Assets Available for Benefits - Beginning of Year	52,317,457
Net Assets Available for Benefits - End of Year	$ 65,992,704

The accompanying notes are an integral part of these financial statements.

Note 1 Description of Plan

The following description of Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan (the "Plan") is provided for general information purposes only. Participants should refer to the Plan agreement for a more complete description of the Plan's provisions.

General

The Plan is a defined contribution plan established on January 1, 1973, by Frederic W. Cook & Co., Inc. (collectively, the "Company" or "Plan Sponsor") under the provision of Section 401(a) of the Internal Revenue Code ("IRC"), which includes a qualified cash or deferred arrangement as described in section 401(k) of the IRC, for the benefit of eligible employees of the Company. Effective August 27, 2014, a new volume submitter Plan document was adopted and became effective, which covers all eligible employees (as defined by the Plan) of the Company. There were no significant changes to Plan provisions as a result of the adoption of the new Plan document. The Plan is subject to the provisions of the Employee Retirement Security Act of 1974, as amended (ERISA).

Plan Administration

Plan investments are held by Fidelity Management Trust Company ("Fidelity"), which executes transactions pursuant to instructions from the Plan administrator.

Plan Contributions

Eligible employees can contribute up to 75% of their eligible compensation as defined by the Plan, subject to certain limitations under the IRC. Eligible employees are permitted to make both pre-tax and after-tax (ROTH) contributions provided the total of such elective contributions does not exceed the limits stated in the Plan. Participants who have obtained age 50 before the end of the Plan year are eligible to make catch up contributions. Participants may also contribute amounts representing distributions from other qualified plans. The Plan allows for a discretionary employer contribution. Employer contributions for the year ended November 30, 2017 totaled $2,598,718.

Participants' Accounts

Each participant's account is credited with the participant's contributions and allocations of the Company's contribution, if any, and Plan earnings and are charged with an allocation of administrative expenses. Allocations are based upon participant earnings or account balances, as defined. The benefit to which a participant is entitled is the benefit which can be provided from the participant's vested account.

Vesting

Participants are fully vested in their contributions, rollover amounts and discretionary non-elective employer contributions plus earnings thereon.

Note 1 Description of Plan (Continued)

Participants' Notes Receivable

A participant may borrow from his or her account up to a maximum equal to the lesser of $50,000 or 50 percent of the vested account balance. The maximum loan term is five years unless the loan is taken to purchase a principal residence. Notes are secured by the balance in the participant's account and bear interest at a rate of prime plus one percent, determined as of the date of the loan origination. Notes are repaid through payroll deductions. Participants' notes receivable are valued at unpaid principal plus accrued interest. Delinquent participant loans are reclassified as distributions based on the terms of the Plan document.

Payment of Benefits

Upon retirement, death, disability, or termination of service, a participant (or a participant's beneficiary in the event of death) may elect to receive a lump-sum distribution equal to the participant's vested account balance. Additionally, participants may be eligible to take distributions representing hardship withdrawals subject to requirements imposed by the Plan and the IRC. Benefit payments to participants are recorded when paid.

Note 2 Summary of Significant Accounting Policies

Basis of Accounting

The accompanying financial statements are prepared on the accrual basis of accounting.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires the Plan's management to make estimates and assumptions that affect the reported amounts of assets and liabilities and changes therein, and disclosure of contingent assets and liabilities at the date of the financial statements. Actual results could differ from these estimates.

Investment Valuation and Income Recognition

Mutual Funds

Mutual funds are reported at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. See Note 3 for discussion of fair value measurements.

Common stock

Valued at the closing price reported on the active market on which the individual securities are traded.

Note 2 Summary of Significant Accounting Policies (Continued)

Investment Valuation and Income Recognition (Continued)

Cash Equivalents
All highly liquid financial instruments with a maturity date of 90 days or less when purchased are considered to be cash equivalents.

Net Appreciation in Fair Value of Investments
Net realized and unrealized appreciation is recorded in the accompanying statement of changes in net assets available for benefits as net appreciation in fair value of investments. Included in net appreciation in fair value of investments is the Plan's gains and losses on investments bought and sold during the year as well as held during the year.

Income Recognition
Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on the accrual basis. Dividends are recorded on the ex-dividend date.

Expenses
Expenses related to the administration of the Plan were primarily paid by the Company. Personnel and facilities of the Company were used by the Plan at no additional cost to the Plan. Investment related expenses, other than those paid directly by the Plan, were integrated with investment performance.

Subsequent Events
Management has evaluated subsequent events and transactions for potential recognition or disclosure through the date of the auditors' report, which is the date the financial statements were available to be issued.

Note 3 Investments (Unaudited)

Fair Value Measurements
Generally accepted accounting principles ("GAAP") establish a framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The Plan did not hold any level 2 or level 3 investments at November 30, 2017 and 2016.

Level 1 investments in the fair value hierarchy under GAAP are described below:

Level 1
Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Note 3 Investments (Unaudited) (Continued)

The asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The methods described above may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, while the Plan believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

Investments reported on the statement of net assets available for benefits for the years ended November 30, 2017 and 2016 are presented in the aggregate.

The following table sets forth by level, within the fair value hierarchy, the Plan's financial assets at fair value as of November 30, 2017 and 2016:

Investments at fair value:

	November 30,	
	2017	2016
Level 1 – Mutual Funds	$ 61,597,429	$ 45,586,690
Level 1 – Cash	2,295,833	2,109,504
Level 1 – Common stock	1,989,588	4,476,239
Total	$ 65,882,850	$ 52,172,433

The above information, included in the accompanying financial statements and supplemental schedule, was obtained from data that has been prepared by and certified to as complete and accurate by Fidelity. See also Note 7.

Note 4 Plan Termination

Although it has not expressed any intent to do so, the Company has the right under the Plan to discontinue contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination or partial termination, participants are fully vested, and net assets will be distributed to participants and beneficiaries in proportion to their respective account balances.

Note 5 Tax Status

The IRS has determined and informed the Company by a letter dated March 31, 2014, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC).

Although the Plan has been amended since receiving the determination letter, the Plan administrator believes that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan is qualified, and the related trust is tax-exempt. The Plan administrator believes that the Plan is designed and is currently being operated in compliance with the applicable requirement of the IRC.

Accounting principles generally accepted in the United States of America require Plan management to evaluate tax positions taken by the Plan and recognize a tax liability if the organization has taken an uncertain position that more likely than not would not be sustained upon examination by the taxing authorities. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes the Plan will be open for examination for three years.

Note 6 Related Party and Party-In-Interest Transactions

Certain Plan investments are mutual funds, managed by Fidelity Investments Institutional Operations Company, Inc., a subsidiary of Fidelity. Fidelity is the trustee as defined by the Plan and, therefore, these transactions qualify as party-in-interest transactions. Fees incurred by the Plan for the year ended November 30, 2017 totaled $2,860.

Note 7 Risk and Uncertainties

Cash equivalents are held in deposit accounts which, at times, may exceed federally insured limits.

The Plan invests in various investment securities. All investments are self-directed. The investment choices consist mainly of mutual funds and common stock. Investment securities, in general, are exposed to various risks such as interest, credit, and overall market volatility risk.

Due to the level of risk associated with certain investment securities, it is reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the statements of net assets available for Plan benefits and participant account balances.

Note 7 Risk and Uncertainties (Continued)

The Plan's exposure to a concentration of credit risk is limited by the diversification of investments across a variety of participant-directed fund elections. Additionally, the investments within each participant-directed fund election are further diversified into varied financial instruments.

At November 30, 2017, one investment option accounted for more than 10% of the Plan's total net assets:

Vanguard Primecap Admiral Overview	$18,234,503	28%

SUPPLEMENTARY INFORMATION

Frederic W. Cook & Co., Inc. Deferred Profit Sharing Plan
Supplementary Information
Schedule H, Line 4i - Schedule of Assets Held at November 30, 2017

EIN: 04-2033129
Plan #: 001

(a)	(b) Identity of Issuer/Borrower/Lessor Or Similar Party	(c) Description of Investment Including Maturity Date Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
	Vanguard Primecap Admiral Overview	Registered Investment Company	**	$ 18,234,503
*	Fidelity 500 Index PR	Registered Investment Company	**	6,189,837
*	Fidelity Freedom 2020 K	Registered Investment Company	**	3,107,843
*	Fidelity Freedom 2035 K	Registered Investment Company	**	2,729,974
*	Fidelity Capital Appreciation K	Registered Investment Company	**	2,393,761
*	Fidelity International Discovery K	Registered Investment Company	**	2,223,634
	Artisan Mid Cap Value	Registered Investment Company	**	1,755,357
*	Fidelity Freedom 2050 K	Registered Investment Company	**	1,502,262
*	Fidelity Extended Market Index Investor	Registered Investment Company	**	1,493,254
*	Fidelity Total Bond	Registered Investment Company	**	1,407,983
*	Fidelity Small Cap Index PR	Registered Investment Company	**	1,396,992
*	Fidelity Freedom 2030 K	Registered Investment Company	**	1,320,394
*	Fidelity US Bond Index PR	Registered Investment Company	**	1,299,978
*	Fidelity Value Discovery K	Registered Investment Company	**	1,297,690
*	Fidelity Capital & Income	Registered Investment Company	**	1,216,528
*	Fidelity Balanced K	Registered Investment Company	**	1,141,065
*	Fidelity Freedom 2040 K	Registered Investment Company	**	1,059,241
	ABF Small Cap Value A	Registered Investment Company	**	931,746
*	Fidelity Real Estate Investment	Registered Investment Company	**	903,878
*	Fidelity Freedom 2025 K	Registered Investment Company	**	841,096
*	Fidelity Freedom 2015 K	Registered Investment Company	**	766,462
	Baron Asset Fund	Registered Investment Company	**	638,781
*	Fidelity Freedom 2010 K	Registered Investment Company	**	614,126
*	Fidelity International Index PR	Registered Investment Company	**	503,972
*	Fidelity Freedom 2055 K	Registered Investment Company	**	480,642
*	Fidelity Freedom 2045 K	Registered Investment Company	**	422,419
	Oppenheimer Developing Markets Fund	Registered Investment Company	**	371,492
*	Fidelity Stock Trading Select Mid Cap	Registered Investment Company	**	249,722
	T. Rowe Price Equity Inc Advantage	Registered Investment Company	**	216,455
*	Fidelity Stock Trading Select Large Cap Val	Registered Investment Company	**	143,688
*	Fidelity Value K	Registered Investment Company	**	131,075
*	Fidelity Freedom 2060 K	Registered Investment Company	**	76,182
*	Fidelity Freedom Inc K	Registered Investment Company	**	65,828
				57,127,860
	Brokerage Link Accounts - Exhibit I	Registered Investment Company	**	6,459,157
*	Cash equivalents	Fidelity Cash Reserve Account	**	2,295,833
		Total Investments		$ 65,882,850
	Participant Notes Receivable	Participant Notes Receivable with interest rates ranging from 4.25% - 5.00%		$ 109,854

(a) * Party-In-Interest as defined by ERISA.
(d) ** Cost is omitted for Participant-directed investments.

See Independent Auditors' Report.

EXHIBIT I

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2017

	CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
		CASH				
*	316067107	FIDELITY CASH RESERVES	971,946.580	$1.00	$971,946.58	$971,946.58
		COMMON STOCK				
	285512109	ELECTRONICS ARTS NFS LLC IS A MARKET	18.000	$106.35	$1,914.30	$1,969.21
	30303M102	FACEBOOK INC COM USD0.000006 CL A	306.000	$177.18	$54,217.08	$31,696.14
	31428X106	FEDEX CORP NFS LLC IS A	100.000	$231.46	$23,146.00	$0.00
	378973408	GLOBALSTAR INC COM	10,000.000	$1.58	$15,800.00	$14,379.50
	437076102	HOME DEPOT INC NFS IS A SPECIALIST	113.113	$179.82	$20,339.98	$13,472.67
	451663108	IDEARC INC COM	10.193	$0.00	$0.00	$165.01
	45253H101	IMMUNOGEN INC NFS LLC IS A MARKET	100.000	$6.35	$635.00	$0.00
	458140100	INTEL CORP NFS LLC IS A MARKET	200.002	$44.84	$8,968.09	$2,590.05
	524ESC100	LEHMAN BROTHERS HOLDINGS INC	25.639	$0.00	$0.00	$1,476.06
	53632A102	LIQTECH INTL INC COM	7,500.000	$0.48	$3,637.50	$4,037.91
	539439109	LLOYDS TSB GROUP PLC	425.237	$3.61	$1,535.11	$1,110.17
	D18190898	DEUTSCHE BANK AG ISIN #DE0005140008	302.488	$18.86	$5,704.92	$3,899.10
	G6674U108	NOVOCURE LTD COM USD0.00	27,000.000	$19.25	$519,750.00	$261,087.78
	G7945E105	SEADRILL LIMITED ISIN #BMG7945E1057	2,551.000	$0.30	$755.10	$23,097.38
	000375204	ABB LTD SPONSORED ADR	1,000.000	$25.74	$25,740.00	$25,510.64
	00165C104	AMC ENTERTAINMENT HOLDINGS INC COM	607.672	$14.25	$8,659.33	$9,041.91
	00507V109	ACTIVISION BLIZZARD INC COM	34.000	$62.40	$2,121.60	$1,980.55
	005094107	ACTUA CORP COM	4.000	$15.50	$62.00	$0.00
	008073108	AEROVIRNMENT INC	200.000	$45.58	$9,116.00	$6,451.95
	02079K107	ALPHABET INC CAP STK CL C	17.047	$1,021.41	$17,411.98	$0.00
	02079K305	ALPHABET INC CAP STK CL A	43.000	$1,036.17	$44,555.31	$23,959.93
	023135106	AMAZON.COM INC NFS LLC IS A MARKET	29.000	$1,176.75	$34,125.75	$28,181.35
	037833100	APPLE COMPUTER INC NFS LLC IS A MARKET	1,683.920	$171.85	$289,381.65	$148,912.36
	06738E204	BARCLAYS PLC ADR	305.963	$10.35	$3,166.72	$2,201.78
	067532101	BARFRESH FOOD GROUP INC COM	42,000.000	$0.60	$25,200.00	$30,030.98
	067901108	BARRICK GOLD CORP NFS IS A SPECIALIST	591.885	$13.78	$8,156.18	$15,964.21
	084670702	BERKSHIRE HATHAWAY INC DEL CL B NEW	420.000	$193.01	$81,064.20	$66,601.89
	08860E309	BEYOND CORP COM NEW	67.000	$0.00	$0.00	$0.00
	090624107	BIOMETRICS 2000 CORP	1,000.000	$0.00	$0.00	$0.00
	124857202	CBS CORP NEW CL B	140.000	$56.06	$7,848.40	$800.55
	13057Q206	CALIFORNIA RES CORP COM NEW	5.000	$15.73	$78.65	$0.00
	16119P108	CHARTER COMMUNICATIONS INC	1.713	$326.21	$558.80	$0.00
	165167107	CHESAPEAKE ENERGY CORPORATION	1,583.707	$4.07	$6,445.69	$33,014.47
	548661107	LOWES COMPANIES NFS IS A SPECIALIST	175.924	$83.37	$14,666.78	$14,066.69
	57886P103	MAZOR ROBOTICS LTD SPON ADS EA REPR 2	2,000.000	$58.15	$116,300.00	$76,351.00
	580135101	MCDONALDS CORP NFS IS A SPECIALIST	204.856	$171.97	$35,229.09	$18,031.66
	594918104	MICROSOFT CORP NFS LLC IS A MARKET	123.966	$84.17	$10,434.22	$6,240.45
	60786L206	MODUSLINK GLOBAL SOLUTIONS INC COM	101.714	$1.65	$167.83	$79.47
	639027101	NATURES SUNSHINE PRODUCTS INC COM	355.000	$12.85	$4,561.75	$4,371.45
	64066G101	NEOTHETICS INC COM ISIN #US64066G1013	6,350.000	$1.34	$8,509.00	$27,943.80
	649445103	NEW YORK COMMUNITY BANCORP	1,013.392	$13.34	$13,518.65	$12,900.65
	656568508	NORTEL NETWORKS CORP NEW COM	52.000	$0.00	$0.00	$0.00
	67066G104	NVIDIA CORP NFS LLC IS A MARKET	20.000	$200.71	$4,014.20	$2,933.75
	674599105	OCCIDENTAL PETROLEUM CORP	119.000	$70.50	$8,389.50	$10,054.13
	68404C102	OPUS MAGNUM AMERIS INC COM	5.000	$0.00	$0.00	$0.00
	70450Y103	PAYPAL HLDGS INC COM	400.000	$75.73	$30,292.00	$0.00
	747525103	QUALCOMM INC NFS LLC IS A MARKET	333.136	$66.34	$22,100.24	$3,875.93
	74758R208	QUALSTAR CORP COM NEW	20.000	$7.56	$151.20	$52.13
	751212101	RALPH LAUREN CORP CLASS A COM	342.918	$95.15	$32,628.65	$37,988.60
	756577102	RED HAT INC NFS LLC IS A MARKET	2.000	$126.76	$253.52	$0.00
	780097689	ROYAL BK SCOTLAND GROUP PLC SPONSORED	500.000	$7.54	$3,770.00	$2,063.32
	784635104	SPX CORP NFS IS A SPECIALIST	114.194	$31.89	$3,641.65	$1,017.01
	78469X107	SPX FLOW INC COM	114.000	$44.77	$5,103.78	$0.00
	818ESC998	SEVENTY SEVEN ESC	111.000	$0.00	$0.00	$0.00
	876030107	TAPESTRY INC COM	400.000	$41.69	$16,676.00	$0.00
	879382208	TELEFONICA S A ADR REPRSTG THREE SHRS	37.233	$10.22	$380.52	$221.46
	879455103	TELENAV INC COM	1,000.000	$5.50	$5,500.00	$5,267.95

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2017

	CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
	88033T102	TENGTU INTL CORP	12,500.000	$0.00	$0.00	$0.00
	887228104	TIME INC COM USD0.01	1.116	$18.60	$20.76	$2.06
	887317303	TIME WARNER INC NEW COM NEW	15.752	$91.51	$1,441.47	$174.45
	89366M201	TRANSENTERIX INC	5,000.000	$2.31	$11,550.00	$22,033.05
	903899102	ULTRALIFE BATTERIES INC	3,692.000	$6.55	$24,182.60	$20,265.46
	913017109	UNITED TECHNOLOGIES CORP	406.469	$121.45	$49,365.66	$31,408.67
	91688R108	UR ENERGY INC COM ISIN #CA91688R1082	40,098.000	$0.64	$25,646.68	$34,622.95
	92343V104	VERIZON COMMUNICATIONS	250.245	$50.89	$12,734.97	$7,253.22
	92553P201	VIACOM INC NEW CL B	590.345	$28.32	$16,718.57	$34,617.77
	928583103	VOGOGO INC COM NPV ISIN #CA9285831033	5,000.000	$0.46	$2,290.00	$9,590.80
	98462Y100	YAMANA GOLD INC ISIN #CA98462Y1007	1,827.812	$2.54	$4,642.64	$11,817.23
	17275R102	CISCO SYS INC NFS LLC IS A MARKET	1,476.383	$37.30	$55,069.09	$6,591.98
	229050307	CRYOPORT INC COM PAR $0.001	23,325.000	$7.11	$165,840.75	$77,407.81
	24703L103	DELL TECHNOLOGIES INC COM CL V	7.000	$78.24	$547.68	$0.00
	25179M103	DEVON ENERGY CORP NEW	108.357	$38.53	$4,175.00	$7,492.38
	254687106	DISNEY WALT CO DEL (HOLDING COMPANY)	430.363	$104.82	$45,110.65	$26,620.16
	270318108	EARTHFIRST TECHNOLOGIES INC	30,000.000	$0.00	$0.00	$0.00
	278642103	EBAY INC NFS LLC IS A MARKET EXTERNAL FUND	400.000	$34.67	$13,868.00	$0.00
	86704B822	FOCUS DIVIDEND STRAT PORTFOLIO CLASS A	4,839.683	$19.74	$95,535.34	$82,384.14
	921908208	VANGUARD SPECIALIZED GOLD & PREC METALS	899.892	$9.96	$8,962.92	$13,422.67
	921926101	VANGUARD EXPLORER	2,411.990	$105.39	$254,199.63	$95,103.91
	922031869	VANGUARD INFLATION PROTECTED SECS FIDELITY FUND	4,857.621	$13.12	$63,731.99	$62,458.25
*	315911800	SPRTN TOTAL MKT INDX FID ADVANTAGE CLASS	999.407	$77.06	$77,014.30	$31,811.15
*	316390780	FIDELITY SELECT GOLD UNIT	993.871	$19.72	$19,599.14	$26,868.00
	19248A109	COHEN & STEERS SELECT UTIL FD INC	215.000	$23.43	$5,037.45	$5,010.15
	27828G107	EATON VANCE TAX ADVANTAGE DIVID	12,387.042	$22.63	$280,318.76	$136,338.72
	27828H105	EATON VANCE LTD DURATION INCOME FD	25,081.966	$13.42	$336,599.98	$270,055.71
	33733E203	FIRST TR EXCHANGE TRADED FD AMEX	50.081	$125.38	$6,279.16	$4,319.69
	37950E200	GLOBAL X FDS INTERBOLSA FTSE	536.336	$9.73	$5,218.01	$4,720.31
	37950E218	GLOBAL X FUNDS GLOBAL X NEXT	214.498	$23.07	$4,948.73	$5,754.31
	37954Y665	GLOBAL X FDS GBL X MSCI NIGER	299.000	$21.17	$6,329.83	$7,596.24
	464286475	ISHARES INC MSCI EMERGING MARKETS	89.159	$51.83	$4,621.11	$4,081.67
	464286657	ISHARES INC MCSI BRIC INDEX FD	29.004	$44.20	$1,281.98	$1,354.76
	464286715	ISHARES INC MSCI TURKEY INDEX FD	161.835	$37.89	$6,131.93	$6,079.71
	464286822	ISHARES INC MSCI MEXICO FREE INDEX FD	101.552	$50.19	$5,096.89	$4,611.43
	464287150	ISHARES TR S&P 1500 INDEX FD	1,380.218	$60.71	$83,793.03	$78,846.75
	464287168	ISHARES TR DOW JONES SELECT DIVID INDEX	275.000	$98.59	$27,112.25	$19,114.20
	464287556	ISHARES TR NASDAQ BIOTECHNOLOGY INDEX	90.000	$315.76	$28,418.40	$27,908.55
	464288885	ISHARES TR MSCI EAFE GROWTH INDEX FD	118.167	$79.93	$9,445.09	$6,710.80
	464289180	ISHARES TRUST MSCI EUROPE FINL SECTOR	309.427	$23.24	$7,191.08	$4,660.60
	46429B135	ISHARES TRUST S&P INTL PFD STK INDEX	340.003	$18.57	$6,313.86	$6,320.67
	46429B416	ISHARES TRUST MSCI UNITED KINGDOM SMALL	205.790	$42.58	$8,762.54	$6,567.24
	46429B507	ISHARES TR MSCI IRELAND CAPPED	101.345	$46.33	$4,695.31	$3,763.05
	46429B606	ISHARES TR MSCI POLAND INVESTABLE	207.116	$26.72	$5,534.14	$4,212.69
	61744H105	MORGAN STANLEY EMERGING MKTS DEB FD	706.109	$9.97	$7,039.91	$6,600.56
	61745C105	MORGAN STANLEY INDIA INVT FD INC	4,100.847	$35.89	$147,162.18	$97,598.78
	73935A104	POWERSHARES QQQ TR UNIT SER 1	796.697	$155.15	$123,607.54	$94,072.87
	73936T565	POWERSHARES GLOBAL EXCHANGE TRADED FD	651.491	$14.99	$9,765.85	$9,392.94
	74347X633	PROSHARES TR ULTRA FINANCIALS NEW	49.000	$125.39	$6,144.11	$4,991.07
	780910105	ROYCE VALUE TR INC	273.496	$16.12	$4,408.76	$4,112.85
	780915104	ROYCE MICRO-CAP TRUST INC	406.319	$9.47	$3,847.84	$4,273.92
	78355W106	RYDEX ETF TR S&P 500 EQUAL	1,430.224	$100.25	$143,379.96	$102,129.44
	78462F103	S & P 500 DEPOSITORY RECEIPT	2,202.959	$265.01	$583,806.16	$324,887.70
	78463X756	SPDR INDEX SHS FDS S&P EMERGING MKTS SM	117.502	$51.11	$6,005.53	$4,789.73
	78464A292	SPDR SER TR WELLS FARGO PFD STOCK ETF	337.998	$44.90	$15,176.11	$14,629.09
	78468R408	SPDR SER TR CAP SHORT TERM HIGH	1,027.969	$27.74	$28,515.86	$28,891.48
	808524748	SCHWAB STRATEGIC TR SCHWAB FUNDAMENTAL	115.439	$35.80	$4,132.72	$3,136.02

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 11/30/2017

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
808524888	SCHWAB STRATEGIC TR INTL SMALL CAP	137.682	$36.56	$5,033.65	$4,099.84
81369Y605	SECTOR SPDR TR SHS BEN INT FINANCIAL	206.000	$27.52	$5,669.12	$4,998.39
81369Y886	SECTOR SPDR TR SHS BEN INT UTILITIES	57.000	$56.60	$3,226.20	$3,000.10
92189F429	VANECK VECTORS ETF TR PFD SECS EX FINL	469.218	$19.98	$9,374.98	$9,626.04
92189F775	VANECK VECTORS ETF TR EGYPT INDX ETF	158.523	$32.66	$5,177.36	$5,331.16
92189F817	VANECK VECTORS ETF TR VIETNAM ETF	307.595	$16.94	$5,210.66	$4,033.35
92189F825	VANECK VECTORS ETF TR BRAZIL SMALL CP	252.741	$23.20	$5,863.59	$2,579.44
921908844	VANGUARD SPECIALIZED PORTFOLIOS DIV	522.156	$101.12	$52,800.41	$27,690.69
921932828	VANGUARD ADMIRAL FDS INC S&P SMALLCAP 600	204.445	$141.76	$28,982.12	$21,933.54
921937793	VANGUARD BD INDEX FD INC LONG TERM BD	225.990	$93.91	$21,222.72	$20,914.43
921943858	VANGUARD TAX MANAGED FD EUROPE PACIFIC	2,404.954	$44.56	$107,164.75	$92,290.44
921946406	VANGUARD WHITEHALL FDS HIGH DIVIDEND	161.448	$85.01	$13,724.69	$8,448.65
92204A306	VANGUARD SECTOR INDEX FDS VANGUARD	44.473	$94.49	$4,202.25	$4,827.18
92204A876	VANGUARD SECTOR INDEX FDS VANGUARD	184.620	$124.86	$23,051.65	$14,698.59
922042676	VANGUARD INTL EQUITY INDEX FDS GLOBAL	85.494	$60.49	$5,171.53	$4,236.33
922042858	VANGUARD INTL EQUITY INDEX FD INC	112.215	$44.48	$4,991.32	$4,488.31
92206C409	VANGUARD SCOTTSDALE FDS VANGUARD SHORT	4,098.066	$79.63	$326,329.00	$327,112.83
922908538	VANGUARD INDEX FDS MID-CAP GROWTH INDEX	101.859	$127.97	$13,034.90	$7,690.72
922908553	VANGUARD INDEX FDS FORMERLY VANGUARD	63.210	$84.39	$5,334.29	$4,308.24
922908595	VANGUARD INDEX FDS VANGUARD SMALL CAP	168.175	$160.98	$27,072.81	$21,522.86
922908611	VANGUARD INDEX FDS VANGUARD SMALL CAP	131.460	$132.97	$17,480.24	$14,491.77
922908629	VANGUARD INDEX FDS VANGUARD MID CAP	208.118	$153.83	$32,014.79	$27,066.68
922908744	VANGUARD INDEX FDS VANGUARD VALUE	84.239	$105.23	$8,864.47	$5,809.06
922908769	VANGUARD INDEX TR VANGUARD TOTAL STK	7,111.616	$136.34	$969,597.73	$717,678.90
97717W315	WISDOMTREE TR EMERGING MKTS HIGH	137.681	$43.40	$5,975.36	$6,796.05
97717X305	WISDOMTREE TR MIDDLE EAST DIVIDEND FD	184.321	$16.73	$3,083.69	$3,097.63
18383Q838	CLAYMORE EXCHANGE TRADED FD TR 2	962.160	$14.94	$14,374.67	$14,203.93
021346101	ALTABA INC COM	200.000	$70.06	$14,012.00	$0.00
09249W101	BLACKROCK LTD DURATION INCOME TR	17,998.915	$15.91	$286,362.74	$187,520.10

NET ASSETS : $7,431,104.09

Less Cash: (971,947)

$6,459,157

* Party-In-Interest as defined by ERISA.