Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation
## or Section 4947(a)(1) Nonexempt Charitable Trust Treated as a Private Foundation

**Note** The foundation may be able to use a copy of this return to satisfy state reporting requirements.

OMB No 1545-0052

**2008**

For calendar year 2008, or tax year beginning JUL 1, 2008 , and ending JUN 30, 2009

G Check all that apply: [ ] Initial return [ ] Final return [ ] Amended return [ ] Address change [ ] Name change

Use the IRS label Otherwise, print or type. See Specific Instructions

Name of foundation
Visiting Nurse Association of Chicago
(AKA) VNA Foundation

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
20 North Wacker Drive | 3118

City or town, state, and ZIP code
Chicago,, IL 60606

A Employer identification number
36-2167943

B Telephone number
312 214 1521

C If exemption application is pending, check here ▶ [ ]

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

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

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶$ 40,305,345.

J Accounting method: [ ] Cash [X] Accrual
[ ] Other (specify)
(Part I, column (d) must be on cash basis )

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

| | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| Revenue | 1 Contributions, gifts, grants, etc., received | 13,370. | | N/A | |
| | 2 Check ▶ [ ] if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 334. | 334. | | Statement 2 |
| | 4 Dividends and interest from securities | 1,009,183. | 1,009,183. | | Statement 3 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | <4,636,115.> | | | Statement 1 |
| | b Gross sales price for all assets on line 6a 22,289,729. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 0. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) | | | | |
| | 11 Other income | | | | |
| | 12 **Total.** Add lines 1 through 11 | <3,613,228.> | 1,009,517. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 140,200. | 28,040. | | 112,160. |
| | 14 Other employee salaries and wages | 119,486. | 0. | | 119,486. |
| | 15 Pension plans, employee benefits | 57,037. | 6,189. | | 50,848. |
| | 16a Legal fees Stmt 4 | 5,579. | 0. | | 5,579. |
| | b Accounting fees Stmt 5 | 25,450. | 16,478. | | 8,972. |
| | c Other professional fees Stmt 6 | 180,816. | 180,816. | | 0. |
| | 17 Interest | | | | |
| | 18 Taxes Stmt 7 | 7,724. | 0. | | 0. |
| | 19 Depreciation and depletion | 3,803. | 0. | | |
| | 20 Occupancy | 25,757. | 5,151. | | 20,606. |
| | 21 Travel, conferences, and meetings | 16,452. | 764. | | 15,688. |
| | 22 Printing and publications | 21,032. | 0. | | 21,032. |
| | 23 Other expenses Stmt 8 | 63,388. | 2,842. | | 60,546. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 666,724. | 240,280. | | 414,917. |
| | 25 Contributions, gifts, grants paid | 2,267,723. | | | 2,267,723. |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 2,934,447. | 240,280. | | 2,682,640. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | <6,547,675.> | | | |
| | b **Net investment income** (if negative, enter -0-) | | 769,237. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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LHA For Privacy Act and Paperwork Reduction Act Notice, see the instructions.

| **Part II** Balance Sheets | Attached schedules and amounts in the description column should be for end-of-year amounts only | Beginning of year (a) Book Value | End of year (b) Book Value | End of year (c) Fair Market Value |
|---|---|---|---|---|
| Assets | 1 Cash - non-interest-bearing | 58,655. | 26,055. | 26,055. |
| | 2 Savings and temporary cash investments | | | |
| | 3 Accounts receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 Other notes and loans receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | 956. | 49,589. | 49,589. |
| | 10a Investments - U.S. and state government obligations | | | |
| | b Investments - corporate stock Stmt 9 | 34,771,284. | 26,249,009. | 26,249,009. |
| | c Investments - corporate bonds Stmt 10 | 11,447,122. | 10,497,370. | 10,497,370. |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other Stmt 11 | 5,351,008. | 3,425,411. | 3,425,411. |
| | 14 Land, buildings, and equipment: basis ▶ 30,798. | | | |
| | Less accumulated depreciation Stmt 12 ▶ 19,519. | 2,550. | 11,279. | 11,279. |
| | 15 Other assets (describe ▶ Statement 13) | 62,276. | 46,632. | 46,632. |
| | 16 **Total assets** (to be completed by all filers) | 51,693,851. | 40,305,345. | 40,305,345. |
| Liabilities | 17 Accounts payable and accrued expenses | 2,414. | 451. | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable | | | |
| | 22 Other liabilities (describe ▶ Statement 14) | 19,381. | 0. | |
| | 23 **Total liabilities** (add lines 17 through 22) | 21,795. | 451. | |
| Net Assets or Fund Balances | **Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 Unrestricted | 43,057,102. | 31,703,478. | |
| | 25 Temporarily restricted | 16,768. | 3,230. | |
| | 26 Permanently restricted | 8,598,186. | 8,598,186. | |
| | **Foundations that do not follow SFAS 117, check here ▶ [ ] and complete lines 27 through 31.** | | | |
| | 27 Capital stock, trust principal, or current funds | | | |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | | | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 **Total net assets or fund balances** | 51,672,056. | 40,304,894. | |
| | 31 **Total liabilities and net assets/fund balances** | 51,693,851. | 40,305,345. | |

**Part III** Analysis of Changes in Net Assets or Fund Balances

| | | |
|---|---|---|
| 1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 51,672,056. |
| 2 Enter amount from Part I, line 27a | 2 | <6,547,675.> |
| 3 Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 Add lines 1, 2, and 3 | 4 | 45,124,381. |
| 5 Decreases not included in line 2 (itemize) ▶ Unrealized (Loss) on Investments | 5 | 4,819,487. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 40,304,894. |

## Part IV Capital Gains and Losses for Tax on Investment Income

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

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | 22,289,729. | | 26,925,844. | <4,636,115.> |

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

| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | <4,636,115.> |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7; If (loss), enter -0- in Part I, line 7 } — 2 — <4,636,115.>

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):
If gain, also enter in Part I, line 8, column (c).
If (loss), enter -0- in Part I, line 8 — 3 — N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col. (b) divided by col. (c)) |
|---|---|---|---|
| 2007 | 2,596,097. | 51,537,886. | .050373 |
| 2006 | 2,488,990. | 51,826,359. | .048026 |
| 2005 | 2,346,148. | 48,155,768. | .048720 |
| 2004 | 2,165,329. | 44,434,639. | .048731 |
| 2003 | 1,789,551. | 42,173,276. | .042433 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | .238283 |
| 3 | Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | .047657 |
| 4 | Enter the net value of noncharitable-use assets for 2008 from Part X, line 5 | 4 | 37,329,114. |
| 5 | Multiply line 4 by line 3 | 5 | 1,778,994. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 7,692. |
| 7 | Add lines 5 and 6 | 7 | 1,786,686. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 2,695,173. |

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

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

| | | | | |
|---|---|---|---|---|
| **1a** Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling letter: ________ **(attach copy of ruling letter if necessary-see instructions)** | | | | |
| **b** Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b | | | 1 | 7,692. |
| **c** All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b) | | | | |
| **2** Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 2 | 0. |
| **3** Add lines 1 and 2 | | | 3 | 7,692. |
| **4** Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 4 | 0. |
| **5** **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | | | 5 | 7,692. |
| **6** Credits/Payments: | | | | |
| **a** 2008 estimated tax payments and 2007 overpayment credited to 2008 | 6a | 45,627. | | |
| **b** Exempt foreign organizations - tax withheld at source | 6b | | | |
| **c** Tax paid with application for extension of time to file (Form 8868) | 6c | | | |
| **d** Backup withholding erroneously withheld | 6d | | | |
| **7** Total credits and payments. Add lines 6a through 6d | | | 7 | 45,627. |
| **8** Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached | | | 8 | |
| **9** **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | | 9 | |
| **10** **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | | 10 | 37,935. |
| **11** Enter the amount of line 10 to be: **Credited to 2009 estimated tax** ▶ 37,935. **Refunded** ▶ | | | 11 | 0. |

**Part VII-A** **Statements Regarding Activities**

| | | Yes | No |
|---|---|---|---|
| **1a** During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| **b** Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? | 1b | | X |
| *If the answer is "Yes" to* **1a** *or* **1b**, *attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | | | |
| **c** Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| **d** Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ 0. **(2)** On foundation managers. ▶ $ 0. | | | |
| **e** Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0. | | | |
| **2** Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities* | 2 | | X |
| **3** Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| **4a** Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| **b** If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| **5** Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.* | 5 | | X |
| **6** Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| **7** Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV.* | 7 | X | |
| **8a** Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ IL | | | |
| **b** If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| **9** Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2008 or the taxable year beginning in 2008 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| **10** Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

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

| | | | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008? | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ www.vnafoundation.net

14 The books are in care of ▶ Mr. Robert DiLeonardi Telephone no. ▶312-214-1521

Located at ▶20 N Wacker Dr Ste 3118, Chicago, IL ZIP+4 ▶60606

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ | 15 | N/A

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

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

| | | | Yes | No |
|---|---|---|---|---|
| **1a** | During the year did the foundation (either directly or indirectly): | | | |
| | **(1)** Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No | | | |
| | **(2)** Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No | | | |
| | **(3)** Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No | | | |
| | **(4)** Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No | | | |
| | **(5)** Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No | | | |
| | **(6)** Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No | | | |
| **b** | If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? | 1b | | X |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| **c** | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2008? | 1c | | X |
| **2** | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | | |
| **a** | At the end of tax year 2008, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2008? ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ ____, ____, ____, ____ | | | |
| **b** | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.) N/A | 2b | | |
| **c** | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ____, ____, ____, ____ | | | |
| **3a** | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| **b** | If "Yes," did it have excess business holdings in 2008 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2008.)* N/A | 3b | | |
| **4a** | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| **b** | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2008? | 4b | | X |

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

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

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

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

*If "Yes," attach the statement required by Regulations section 53 4945-5(d)*

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X

*If you answered "Yes" to 6b, also file Form 8870*

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

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? N/A | 7b |

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| See Statement 15 | | 140,200. | 22,438. | 0. |

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

| (a) Name and address of each employee paid more than $50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| Claudia Baier<br>20 N. Wacker Drive Suite 3118, Chicag | Program Officer<br>40.00 | 86,120. | 13,780. | 0. |

**Total** number of other employees paid over $50,000 ▶ 0

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

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

| **(a)** Name and address of each person paid more than $50,000 | **(b)** Type of service | **(c)** Compensation |
|---|---|---|
| Harris Associates LP<br>2 North LaSalle St., Chicago, IL. 60602 | Investment Advisory | 79,639. |
| William Blair and Company<br>222 W. Adams St., Chicago, IL. 60606 | Investment Advisory | 58,700. |
| | | |
| | | |
| | | |

**Total** number of others receiving over $50,000 for professional services ▶ 0

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

| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc. | Expenses |
|---|---|
| 1 The goal of the 2008-2009 VNA Foundation Super Star in Community Nursing Award Program was to acknowledge the service that public health/community health nurses provide, | 0. |
| 2 recognize the value of nursing in the community, help attract young people to the profession, and contribute to efforts to decrease the nursing shortage. An all | 0. |
| 3 volunteer, independent panel of community health experts, members of the public health community, and former recipients chose a program winner and three finalists,who received | 0. |
| 4 awards ranging from $5,000 to $25,000, with $45,000 awarded in total. The Foundation maintains significant involvement in this program. | 58,093. |

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions.<br>3 | |
| **Total.** Add lines 1 through 3 ▶ | 0. |

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | |
| a | Average monthly fair market value of securities | 1a | 37,847,967. |
| b | Average of monthly cash balances | 1b | 49,611. |
| c | Fair market value of all other assets | 1c | |
| d | **Total** (add lines 1a, b, and c) | 1d | 37,897,578. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e 0. | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0. |
| 3 | Subtract line 2 from line 1d | 3 | 37,897,578. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 568,464. |
| 5 | **Net value of noncharitable-use assets**. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 37,329,114. |
| 6 | **Minimum investment return**. Enter 5% of line 5 | 6 | 1,866,456. |

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

| | | | |
|---|---|---|---|
| 1 | Minimum investment return from Part X, line 6 | 1 | 1,866,456. |
| 2a | Tax on investment income for 2008 from Part VI, line 5 2a 7,692. | | |
| b | Income tax for 2008. (This does not include the tax from Part VI.) 2b | | |
| c | Add lines 2a and 2b | 2c | 7,692. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 1,858,764. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 1,858,764. |
| 6 | Deduction from distributable amount (see instructions) | 6 | 0. |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | 7 | 1,858,764. |

## Part XII Qualifying Distributions (see instructions)

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes: | | |
| a | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 | 1a | 2,682,640. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | 12,533. |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions**. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 2,695,173. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | 5 | 7,692. |
| 6 | **Adjusted qualifying distributions**. Subtract line 5 from line 4 | 6 | 2,687,481. |

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

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

| | (a) Corpus | (b) Years prior to 2007 | (c) 2007 | (d) 2008 |
|---|---|---|---|---|
| 1 Distributable amount for 2008 from Part XI, line 7 | | | | 1,858,764. |
| 2 Undistributed income, if any, as of the end of 2007 | | | | |
| a Enter amount for 2007 only | | | 0. | |
| b Total for prior years: ____, ____, ____ | | 0. | | |
| 3 Excess distributions carryover, if any, to 2008: | | | | |
| a From 2003 | | | | |
| b From 2004 | | | | |
| c From 2005 | | | | |
| d From 2006 1,789,955. | | | | |
| e From 2007 92,455. | | | | |
| f **Total** of lines 3a through e | 1,882,410. | | | |
| 4 Qualifying distributions for 2008 from Part XII, line 4: ▶ $ 2,695,173. | | | | |
| a Applied to 2007, but not more than line 2a | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | 0. | | | |
| d Applied to 2008 distributable amount | | | | 1,858,764. |
| e Remaining amount distributed out of corpus | 836,409. | | | |
| 5 Excess distributions carryover applied to 2008 (If an amount appears in column (d), the same amount must be shown in column (a)) | 0. | | | 0. |
| 6 **Enter the net total of each column as indicated below:** | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 2,718,819. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | 0. | | |
| e Undistributed income for 2007. Subtract line 4a from line 2a. Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2008. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2009 | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) | 0. | | | |
| 8 Excess distributions carryover from 2003 not applied on line 5 or line 7 | 0. | | | |
| 9 **Excess distributions carryover to 2009.** Subtract lines 7 and 8 from line 6a | 2,718,819. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2004 | | | | |
| b Excess from 2005 | | | | |
| c Excess from 2006 1,789,955. | | | | |
| d Excess from 2007 92,455. | | | | |
| e Excess from 2008 836,409. | | | | |

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2008, enter the date of the ruling ▶

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

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | **(a)** 2008 | **(b)** 2007 | **(c)** 2006 | **(d)** 2005 | **(e) Total** |
| 2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| b 85% of line 2a | | | | | |
| c Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| d Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c | | | | | |
| 3 Complete 3a, b, or c for the alternative test relied upon: a "Assets" alternative test - enter: (1) Value of all assets | | | | | |
| (2) Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed | | | | | |
| c "Support" alternative test - enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| (3) Largest amount of support from an exempt organization | | | | | |
| (4) Gross investment income | | | | | |

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

1 **Information Regarding Foundation Managers:**

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

None

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

None

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

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

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

Robert N. DiLeonardi, 312-214-1521
20 N. Wacker Drive Suite 3118, Chicago, IL. 60606

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

See Attached

c Any submission deadlines:

See Attached

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

See Attached

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| See Attached Listing | None | Public Charity | Charitable | 2267723. |
| **Total** | | | ▶ **3a** | 2267723. |
| **b** *Approved for future payment* | | | | |
| None | | | | |
| **Total** | | | ▶ **3b** | 0. |

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**Part XVI-A** **Analysis of Income-Producing Activities**

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 334. | |
| 4 Dividends and interest from securities | | | 14 | 1,009,183. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | <4,636,115.> | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | 0. | | <3,626,598.> | 0. |

**13 Total.** Add line 12, columns (b), (d), and (e) 13 <3,626,598.>

(See worksheet in line 13 instructions to verify calculations.)

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

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

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

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

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

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

**2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

**b** If "Yes," complete the following schedule.

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|---|---|---|
| N/A | | |

**Sign Here**

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

▶ [signature] 12-10-09 ▶ Board Chair

Signature of officer or trustee | Date | Title

**Paid Preparer's Use Only**

| | | | |
|---|---|---|---|
| Preparer's signature ▶ [signature] | Date 12/1/09 | Check if self-employed ▶ ☐ | Preparer's identifying number |
| Firm's name (or yours if self-employed), address, and ZIP code ▶ Varey & Vaccariello CPAs PC 617 East Golf Road, Suite 107 Arlington Heights, Illinois 60005 | | EIN ▶ | |
| | | Phone no. 847-228-6977 | |



823622
01-02-09

**Schedule B**
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

# Schedule of Contributors

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

OMB No 1545-0047

**2008**

| Name of the organization | Employer identification number |
|---|---|
| Visiting Nurse Association of Chicago (AKA) VNA Foundation | 36-2167943 |

**Organization type** (check one)

| Filers of: | Section: |
|---|---|
| Form 990 or 990-EZ | ☐ 501(c)( ) (enter number) organization |
| | ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation |
| | ☐ 527 political organization |
| Form 990-PF | ☒ 501(c)(3) exempt private foundation |
| | ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | ☐ 501(c)(3) taxable private foundation |

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

**General Rule**

☒ For organizations filing Form 990, 990-EZ, or 990-PF that received, during the year, $5,000 or more (in money or property) from any one contributor. Complete Parts I and II

**Special Rules**

☐ For a section 501(c)(3) organization filing Form 990, or Form 990-EZ, that met the 33 1/3% support test of the regulations under sections 509(a)(1)/170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of **(1)** $5,000 or **(2)** 2% of the amount on Form 990, Part VIII, line 1h or 2% of the amount on Form 990-EZ, line 1 Complete Parts I and II.

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

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or Form 990-EZ, that received from any one contributor, during the year, some contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not aggregate to more than $1,000. (If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of $5,000 or more during the year.) .. ▶ $ ____________

**Caution.** Organizations that are not covered by the General Rule and/or the Special Rules do not file Schedule B (Form 990, 990-EZ, or 990-PF), but they **must** answer "No" on Part IV, line 2 of their Form 990, or check the box in the heading of their Form 990-EZ, or on line 2 of their Form 990-PF, to certify that they do not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

| Name of organization | Employer identification number |
|---|---|
| Visiting Nurse Association of Chicago (AKA) VNA Foundation | 36-2167943 |

**Part I Contributors** (see instructions)

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Aggregate contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | George Zendt Charitable Trust<br>c/o Bank of America 231 S. LaSalle St.<br>Chicago, IL. 60697 | $ 6,103. | Person [X]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution.) |

**Part IV** Capital Gains and Losses for Tax [redacted]vestment Income

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | Northern Trust as Custodian-Equities (See Attache | P | Various | Various |
| b | Northern Trust as Custodian-Fixed Income (See Att | P | Various | Various |
| c | 2000u Orrington Fund Ltd Cl II | P | 02/28/06 | 07/01/08 |
| d | Capital Gains Dividends | | | |
| e | | | | |
| f | | | | |
| g | | | | |
| h | | | | |
| i | | | | |
| j | | | | |
| k | | | | |
| l | | | | |
| m | | | | |
| n | | | | |
| o | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 13,136,267. | | 18,629,828. | <5,493,561.> |
| b | 6,293,600. | | 6,296,016. | <2,416.> |
| c | 2,240,229. | | 2,000,000. | 240,229. |
| d | 619,633. | | | 619,633. |
| e | | | | |
| f | | | | |
| g | | | | |
| h | | | | |
| i | | | | |
| j | | | | |
| k | | | | |
| l | | | | |
| m | | | | |
| n | | | | |
| o | | | | |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | <5,493,561.> |
| b | | | | <2,416.> |
| c | | | | 240,229. |
| d | | | | 619,633. |
| e | | | | |
| f | | | | |
| g | | | | |
| h | | | | |
| i | | | | |
| j | | | | |
| k | | | | |
| l | | | | |
| m | | | | |
| n | | | | |
| o | | | | |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7; If (loss), enter "-0-" in Part I, line 7 } | 2 | <4,636,115.> |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 | 3 | N/A |

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04-25-08

2008 DEPRECIATION AND AMORTIZATION REPORT

Form 990-PF Page 1 990-PF

| Asset No | Description | Date Acquired | Method | Life | Line No | Unadjusted Cost Or Basis | Bus % Excl | * Reduction In Basis | Basis For Depreciation | Accumulated Depreciation | Current Sec 179 | Current Year Deduction |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Furniture and Fixtures | Varies | SL | 5.00 | 16 | 18,266. | | | 18,266. | 15,716. | | 2,550. |
| 2 | RND Computer/Printer | 113008 | SL | 5.00 | 16 | 3,670. | | | 3,670. | | | 367. |
| 3 | Network/install | 121108 | SL | 5.00 | 16 | 1,144. | | | 1,144. | | | 114. |
| 4 | Phone System | 113008 | SL | 5.00 | 16 | 3,898. | | | 3,898. | | | 390 |
| 5 | ACS Computer | 110608 | SL | 5.00 | 16 | 1,910. | | | 1,910. | | | 191. |
| 6 | CAB Computer | 110608 | SL | 5.00 | 16 | 1,910. | | | 1,910. | | | 191. |
| | * Total 990-PF Pg 1 Depr | | | | | 30,798. | | 0. | 30,798. | 15,716. | 0. | 3,803. |

828102
04-25-08

(D) - Asset disposed

* ITC, Section 179, Salvage, Bonus, Commercial Revitalization Deduction, GO Zone

| Form 990-PF | Gain or (Loss) from Sale of Assets | Statement 1 |
|---|---|---|

| (a) Description of Property | Manner Acquired | Date Acquired | Date Sold |
|---|---|---|---|
| Northern Trust as Custodian-Equities (See Attached Schedule) | Purchased | Various | Various |

| (b) Gross Sales Price | (c) Cost or Other Basis | (d) Expense of Sale | (e) Deprec. | (f) Gain or Loss |
|---|---|---|---|---|
| 13,136,267. | 18,629,828. | 0. | 0. | <5,493,561.> |

| (a) Description of Property | Manner Acquired | Date Acquired | Date Sold |
|---|---|---|---|
| Northern Trust as Custodian-Fixed Income (See Attached Schedule) | Purchased | Various | Various |

| (b) Gross Sales Price | (c) Cost or Other Basis | (d) Expense of Sale | (e) Deprec. | (f) Gain or Loss |
|---|---|---|---|---|
| 6,293,600. | 6,296,016. | 0. | 0. | <2,416.> |

| (a) Description of Property | Manner Acquired | Date Acquired | Date Sold |
|---|---|---|---|
| 2000u Orrington Fund Ltd Cl II | Purchased | 02/28/06 | 07/01/08 |

| (b) Gross Sales Price | (c) Cost or Other Basis | (d) Expense of Sale | (e) Deprec. | (f) Gain or Loss |
|---|---|---|---|---|
| 2,240,229. | 2,000,000. | 0. | 0. | 240,229. |

| | |
|---|---|
| Capital Gains Dividends from Part IV | 619,633. |
| Total to Form 990-PF, Part I, line 6a | <4,636,115.> |

## Form 990-PF Interest on Savings and Temporary Cash Investments Statement 2

| Source | Amount |
|---|---|
| Interest from Checking Account | 334. |
| Total to Form 990-PF, Part I, line 3, Column A | 334. |

## Form 990-PF Dividends and Interest from Securities Statement 3

| Source | Gross Amount | Capital Gains Dividends | Column (A) Amount |
|---|---|---|---|
| Dividends/Interest-Custody Account | 1,628,816. | 619,633. | 1,009,183. |
| Total to Fm 990-PF, Part I, ln 4 | 1,628,816. | 619,633. | 1,009,183. |

## Form 990-PF Legal Fees Statement 4

| Description | (a) Expenses Per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Legal re General Corporate Matters-Quarles and Brady, LLP | 0. | 0. | | 0. |
| 300 N. LaSalle St. Suite 4000 Chicago, IL. 60654 | 5,579. | 0. | | 5,579. |
| To Fm 990-PF, Pg 1, ln 16a | 5,579. | 0. | | 5,579. |

## Form 990-PF Accounting Fees Statement 5

| Description | (a) Expenses Per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Bookkeeping and Tax-Varey & Vaccariello CPAs PC 617 E. Golf Road | 20,465. | 14,615. | | 5,850. |
| Suite 107 Arlington Heights, IL. 60005 | 0. | 0. | | 0. |

| | | | | |
|---|---|---|---|---|
| Annual Audit-McGladrey and Pullen 1 S. Wacker Drive Chicago, IL. 60606 | 4,985. | 1,863. | | 3,122. |
| To Form 990-PF, Pg 1, ln 16b | 25,450. | 16,478. | | 8,972. |

Form 990-PF Other Professional Fees Statement 6

| Description | (a) Expenses Per Books | (b) Net Invest-ment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Investment Advisory-Harris Assoc. LP 2 N. LaSalle St. Chicago, IL. 60602 | 79,639. | 79,639. | | 0. |
| Investment Advisory-William Blair & Co 222 W. Adams St. | 58,700. | 58,700. | | 0. |
| Custody-Northern Trust Company 50 S. LaSalle St. Chicago, IL. 60675 | 42,477. | 42,477. | | 0. |
| To Form 990-PF, Pg 1, ln 16c | 180,816. | 180,816. | | 0. |

Form 990-PF Taxes Statement 7

| Description | (a) Expenses Per Books | (b) Net Invest-ment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Federal Excise Tax | 7,724. | 0. | | 0. |
| To Form 990-PF, Pg 1, ln 18 | 7,724. | 0. | | 0. |

Form 990-PF Other Expenses Statement 8

| Description | (a) Expenses Per Books | (b) Net Invest-ment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Supplies | 29,941. | 1,067. | | 28,874. |
| Insurance | 5,899. | 92. | | 5,807. |
| Special Initiatives-Super Star Nurse Awards Program | 13,093. | 0. | | 13,093. |
| Illinois State Filing Fee | 15. | 0. | | 15. |

| | | | | |
|---|---|---|---|---|
| Payroll Service and Third Party Admin | 5,404. | 360. | | 5,044. |
| Memberships/Dues | 2,420. | 0. | | 2,420. |
| Telephone | 6,616. | 1,323. | | 5,293. |
| To Form 990-PF, Pg 1, ln 23 | 63,388. | 2,842. | | 60,546. |

Form 990-PF Corporate Stock Statement 9

| Description | Book Value | Fair Market Value |
|---|---|---|
| See attached Schedule-Northern Trust as Custodian | 26,249,009. | 26,249,009. |
| Total to Form 990-PF, Part II, line 10b | 26,249,009. | 26,249,009. |

Form 990-PF Corporate Bonds Statement 10

| Description | Book Value | Fair Market Value |
|---|---|---|
| See attached Schedule-Northern Trust as Custodian | 10,497,370. | 10,497,370. |
| Total to Form 990-PF, Part II, line 10c | 10,497,370. | 10,497,370. |

Form 990-PF Other Investments Statement 11

| Description | Valuation Method | Book Value | Fair Market Value |
|---|---|---|---|
| See attached Schedule-Northern Trust as Custodian | FMV | 2,131,505. | 2,131,505. |
| See attached Schedule-Northern Trust as Custodian | FMV | 1,293,906. | 1,293,906. |
| Total to Form 990-PF, Part II, line 13 | | 3,425,411. | 3,425,411. |

| Form 990-PF | Depreciation of Assets Not Held for Investment | | Statement 12 |
|---|---|---|---|
| Description | Cost or Other Basis | Accumulated Depreciation | Book Value |
| Furniture and Fixtures | 18,266. | 18,266. | 0. |
| RND Computer/Printer | 3,670. | 367. | 3,303. |
| Network/install | 1,144. | 114. | 1,030. |
| Phone System | 3,898. | 390. | 3,508. |
| ACS Computer | 1,910. | 191. | 1,719. |
| CAB Computer | 1,910. | 191. | 1,719. |
| Total To Fm 990-PF, Part II, ln 14 | 30,798. | 19,519. | 11,279. |

| Form 990-PF | Other Assets | | Statement 13 |
|---|---|---|---|
| Description | Beginning of Yr Book Value | End of Year Book Value | Fair Market Value |
| Accrued Income Receivable | 59,487. | 43,843. | 43,843. |
| Security Deposit | 2,789. | 2,789. | 2,789. |
| To Form 990-PF, Part II, line 15 | 62,276. | 46,632. | 46,632. |

| Form 990-PF | Other Liabilities | Statement 14 |
|---|---|---|
| Description | BOY Amount | EOY Amount |
| Federal Excise Tax Payable | 19,381. | 0. |
| Total to Form 990-PF, Part II, line 22 | 19,381. | 0. |

Form 990-PF Part VIII - List of Officers, Directors Trustees and Foundation Managers Statement 15

| Name and Address | Title and Avrg Hrs/Wk | Compen-sation | Employee Ben Plan Contrib | Expense Account |
|---|---|---|---|---|
| Robert N. DiLeonardi<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Executive Director<br>40.00 | 140,200. | 22,438. | 0. |
| Brigid E. Kenney<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Chairman of the Board, Director<br>2.00 | 0. | 0. | 0. |
| Katherine H. Miller<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Vice Chair, Director<br>2.00 | 0. | 0. | 0. |
| M. Catherine Ryan<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Treasurer, Director<br>2.00 | 0. | 0. | 0. |
| Marie W. Harris<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Secretary, Director<br>2.00 | 0. | 0. | 0. |
| Janet Cabot<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Director<br>2.00 | 0. | 0. | 0. |
| Julia Muennich Cowell<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Director<br>2.00 | 0. | 0. | 0. |
| Anne M. Davis<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Director (Retired FYE 2009)<br>2.00 | 0. | 0. | 0. |
| Nancy Jones Emrich<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Director<br>2.00 | 0. | 0. | 0. |

| | | | | |
|---|---|---|---|---|
| Dian Langenhorst<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Director<br>2.00 | 0. | 0. | 0. |
| Paul Kuehnert<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Director<br>2.00 | 0. | 0. | 0. |
| Sandra Wilks<br>c/o VNA Foundation 20 N. Wacker<br>Dr. Suite 3118<br>Chicago, IL. 60606 | Director<br>2.00 | 0. | 0. | 0. |
| Totals included on 990-PF, Page 6, Part VIII | | 140,200. | 22,438. | 0. |

# Asset Summary



| Country | Accrued income/expense | Market value | Cost | Unrealized gain/loss Market | Unrealized gain/loss Translation | Unrealized gain/loss Total | Market value incl. accruals | % |
|---|---|---|---|---|---|---|---|---|
| ***Equities*** | | | | | | | | |
| **Common stock** | | | | | | | | |
| Ireland - USD | 0 00 | 393,120 00 | 436,918 65 | - 43,798 65 | 0 00 | - 43,798 65 | 393,120 00 | 0 980% |
| United Kingdom - USD | 0 00 | 7,237,193 45 | 8,378,624 01 | - 1,141,430 56 | 0 00 | - 1,141,430 56 | 7,237,193 45 | 18 047% |
| United States - USD | 26,863 00 | 18,618,696 00 | 17,259,679 14 | 1,359,016 86 | 0 00 | 1,359,016 86 | 18,645,559 00 | 46 496% |
| **Total common stock** | **26,863.00** | **26,249,009.45** | **26,075,221.80** | **173,787.65** | **0 00** | **173,787.65** | **26,275,872.45** | **65 523%** |
| **Total equities** | **26,863.00** | **26,249,009.45** | **26,075,221.80** | **173,787.65** | **0 00** | **173,787 65** | **26,275,872.45** | **65.523%** |
| ***Fixed Income*** | | | | | | | | |
| **Government agencies** | | | | | | | | |
| United States - USD | 16,856 00 | 2,980,985 81 | 2,969,861 75 | 11,124 06 | 0 00 | 11,124 06 | 2,997,841 81 | 7 476% |
| **Total government agencies** | **16,856.00** | **2,980,985.81** | **2,969,861.75** | **11,124.06** | **0.00** | **11,124.06** | **2,997,841.81** | **7.476%** |
| **Corporate bonds** | | | | | | | | |
| United States - USD | 0 00 | 7,516,384 24 | 7,302,204 27 | 214,179 97 | 0 00 | 214,179 97 | 7,516,384 24 | 18 743% |
| **Total corporate bonds** | **0.00** | **7,516,384.24** | **7,302,204.27** | **214,179.97** | **0.00** | **214,179.97** | **7,516,384.24** | **18.743%** |
| **Total fixed income** | **16,856.00** | **10,497,370.05** | **10,272,066.02** | **225,304.03** | **0.00** | **225,304 03** | **10,514,226.05** | **26.219%** |
| ***Hedge Fund*** | | | | | | | | |
| **Hedge fund of funds** | | | | | | | | |
| Multi-National Companies Region - USD | 0 00 | 34,228 97 | 30,900 00 | 3,328 97 | 0 00 | 3,328 97 | 34,228 97 | 0 085% |
| United States - USD | 0 00 | 2,097,276.03 | 2,000,000 00 | - 16,904 60 | 0 00 | - 16,904 60 | 2,097,276.03 | 4 945% |
| **Total hedge fund of funds** | **0.00** | 2,131,503.00 | **2,030,900.00** | **- 13,575.63** | **0.00** | **- 13,575.63** | | **5.031%** |
| **Total hedge fund** | **0.00** | | **2,030,900.00** | **- 13,575.63** | **0.00** | **- 13,575.63** | 2,131,503.00 | **5.031%** |

# Asset Summary



| Country | Accrued income/expense | Market value | Cost | Unrealized gain/loss Market | Unrealized gain/loss Translation | Unrealized gain/loss Total | Market value incl accruals | % |
|---|---|---|---|---|---|---|---|---|
| ***Cash and Cash Equivalents*** | | | | | | | | |
| **Short term investment funds** | | | | | | | | |
| Short Term Investment Funds | 123 58 | 570,794 11 | 570,794 11 | 0 00 | 0 00 | 0 00 | 570,917 69 | 1 424% |
| **Total short term investment funds** | **123.58** | **570,794.11** | **570,794.11** | **0.00** | **0.00** | **0.00** | **570,917.69** | **1.424%** |
| **Total cash and cash equivalents** | **123.58** | **570,794.11** | **570,794.11** | **0.00** | **0.00** | **0.00** | **570,917.69** | **1.424%** |
| ***Adjustments To Cash*** | | | | | | | | |
| **Pending trade purchases** | | | | | | | | |
| Pending trade purchases | 0 00 | - 990,742 79 | - 990,742 79 | 0 00 | 0 00 | 0 00 | -990,742 79 | - 2 471% |
| **Total pending trade purchases** | **0.00** | **- 990,742.79** | **- 990,742.79** | **0.00** | **0.00** | **0.00** | **-990,742.79** | **- 2.471%** |
| **Pending trade sales** | | | | | | | | |
| Pending trade sales | 0 00 | 1,713,854 48 | 1,713,854 48 | 0 00 | 0 00 | 0 00 | 1,713,854 48 | 4 274% |
| **Total pending trade sales** | **0.00** | **1,713,854.48** | **1,713,854.48** | **0.00** | **0.00** | **0.00** | **1,713,854.48** | **4.274%** |
| **Total adjustments to cash** | **0.00** | **723,111.69** | **723,111.69** | **0.00** | **0 00** | **0 00** | **723,111.69** | **1.803%** |
| **Total Unrealized Gains** | | | | | | **2,987,110.35** | | |
| **Total Unrealized Losses** | | | | | | **- 2,601,594.30** | | |
| **Total** | **43,842.58** | **40,057,609.67** | **39,672,093.62** | **385,516.05** | **0.00** | **385,516.05** | **40,101,452.25** | **100.000%** |

**Total Cost incl. Accruals** **39,715,936.20**

# Asset Detail - Base Currency



| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Equities*** | | | | | | | |
| **Common stock** | | | | | | | |
| **Ireland - USD** | | | | | | | |
| COVIDIEN PLC USD0 20 CUSIP G2554F105 | | | | | | | |
| 10,500 00 | 37 4400000 | 0 00 | 393,120 00 | 436,918 65 | - 43,798 65 | 0 00 | - 43,798 65 |
| Total USD | | 0.00 | 393,120.00 | 436,918 65 | - 43,798 65 | 0 00 | - 43,798 65 |
| Total Ireland | | 0 00 | 393,120 00 | 436,918 65 | - 43,798 65 | 0.00 | - 43,798 65 |
| **United Kingdom - USD** | | | | | | | |
| ADR WNS HLDGS LTD SPONSORED ADR CUSIP 92932M101 | | | | | | | |
| 7,475 00 | 8 8800000 | 0 00 | 66,378 00 | 115,920 78 | - 49,542 78 | 0 00 | - 49,542 78 |
| DIAGEO PLC SPONSORED ADR NEW CUSIP 25243Q205 | | | | | | | |
| 7,000 00 | 57 2500000 | 0 00 | 400,750 00 | 358,661 50 | 42,088 50 | 0 00 | 42,088 50 |
| MFO TEMPLETON INSTL FDS FOREIGN EQUITY SER - PRIMARY SHS CUSIP 880210505 | | | | | | | |
| 420,500 96 | 16 1000000 | 0 00 | 6,770,065 45 | 7,904,041 73 | - 1,133,976 28 | 0 00 | - 1,133,976 28 |
| Total USD | | 0 00 | 7,237,193 45 | 8,378,624 01 | - 1,141,430 56 | 0 00 | - 1,141,430 56 |
| Total United Kingdom | | 0 00 | 7,237,193 45 | 8,378,624 01 | - 1,141,430 56 | 0 00 | - 1,141,430 56 |
| **United States - USD** | | | | | | | |
| ABBOTT LAB COM CUSIP 002824100 | | | | | | | |
| 7,000 00 | 47 0400000 | 0 00 | 329,280 00 | 333,792 90 | - 4,512 90 | 0 00 | - 4,512 90 |
| ACTIVISION BLIZZARD INC COM STK CUSIP 00507V109 | | | | | | | |
| 12,430 00 | 12 6300000 | 0 00 | 156,990 90 | 92,356 74 | 64,634 16 | 0 00 | 64,634 16 |
| ADOBE SYS INC COM CUSIP 00724F101 | | | | | | | |
| 5,120 00 | 28 3000000 | 0 00 | 144,896 00 | 147,779 76 | - 2,883 76 | 0 00 | - 2,883 76 |

# Asset Detail - Base Currency



| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|

## *Equities*

### Common stock

| Description/Asset ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued income/expense | Market value | Cost | Unrealized gain/loss Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| AFFILIATED MANAGERS GROUP INC COM STK CUSIP 008252108 | | | | | | | |
| 3,423 00 | 58 1900000 | 0 00 | 199,184 37 | 249,715 83 | - 50,531 46 | 0 00 | - 50,531 46 |
| ALLERGAN INC COM CUSIP 018490102 | | | | | | | |
| 5,040 00 | 47 5800000 | 0 00 | 239,803 20 | 275,404 60 | - 35,601 40 | 0 00 | - 35,601 40 |
| APACHE CORP COM CUSIP 037411105 | | | | | | | |
| 9,020 00 | 72 1500000 | 0 00 | 650,793 00 | 685,844 16 | - 35,051 16 | 0 00 | - 35,051 16 |
| APPLE INC CUSIP· 037833100 | | | | | | | |
| 2,150 00 | 142 4300000 | 0 00 | 306,224 50 | 202,193 12 | 104,031 38 | 0 00 | 104,031 38 |
| BED BATH BEYOND INC COM CUSIP 075896100 | | | | | | | |
| 4,770 00 | 30 7500000 | 0 00 | 146,677 50 | 115,343 98 | 31,333 52 | 0 00 | 31,333 52 |
| CAPELLA ED CO COM CUSIP 139594105 | | | | | | | |
| 2,175 00 | 59 9500000 | 0 00 | 130,391 25 | 88,781 33 | 41,609 92 | 0 00 | 41,609 92 |
| CARDIONET INC COM STK CUSIP. 14159L103 | | | | | | | |
| 7,900 00 | 16 3200000 | 0 00 | 128,928 00 | 188,913 74 | - 59,985 74 | 0 00 | - 59,985 74 |
| CAVIUM NETWORKS INC COM CUSIP 14965A101 | | | | | | | |
| 7,330 00 | 16 8100000 | 0 00 | 123,217 30 | 106,254 96 | 16,962 34 | 0 00 | 16,962 34 |
| CELGENE CORP COM CUSIP 151020104 | | | | | | | |
| 4,210 00 | 47 8400000 | 0 00 | 201,406 40 | 281,169 59 | - 79,763 19 | 0 00 | - 79,763 19 |
| COGNIZANT TECHNOLOGY SOLUTIONS CORP CL ACL A CUSIP 192446102 | | | | | | | |
| 4,625 00 | 26 7000000 | 0 00 | 123,487 50 | 143,147 82 | - 19,660 32 | 0 00 | - 19,660 32 |
| DANAHER CORP COM CUSIP 235851102 | | | | | | | |
| 3,035 00 | 61 7400000 | 91 05 | 187,380 90 | 133,466 49 | 53,914 41 | 0 00 | 53,914 41 |

## Asset Detail - Base Currency



| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | <br>Translation | <br>Total |
|---|---|---|---|---|---|---|---|
| ***Equities*** | | | | | | | |
| **Common stock** | | | | | | | |
| DEVRY INC DEL COM CUSIP 251893103 | | | | | | | |
| 5,120 00 | 50 0400000 | 409 60 | 256,204 80 | 223,046 14 | 33,158 66 | 0 00 | 33,158 66 |
| ECOLAB INC COM CUSIP 278865100 | | | | | | | |
| 4,950 00 | 38 9900000 | 693 00 | 193,000 50 | 155,110 25 | 37,890 25 | 0 00 | 37,890 25 |
| EXPEDITORS INTL WASH INC COM CUSIP 302130109 | | | | | | | |
| 4,565 00 | 33 3400000 | 0 00 | 152,197 10 | 202,215 91 | - 50,018 81 | 0 00 | - 50,018 81 |
| FASTENAL CO COM CUSIP 311900104 | | | | | | | |
| 8,605 00 | 33 1700000 | 0 00 | 285,427 85 | 325,700 94 | - 40,273 09 | 0 00 | - 40,273 09 |
| FLIR SYS INC COM CUSIP 302445101 | | | | | | | |
| 4,860 00 | 22 5600000 | 0 00 | 109,641 60 | 92,910 14 | 16,731 46 | 0 00 | 16,731 46 |
| FOOT LOCKER INC COM CUSIP 344849104 | | | | | | | |
| 30,000 00 | 10 4700000 | 0 00 | 314,100 00 | 537,258 65 | - 223,158 65 | 0 00 | - 223,158 65 |
| FORTUNE BRANDS INC COM STK CUSIP 349631101 | | | | | | | |
| 11,000 00 | 34 7400000 | 0 00 | 382,140 00 | 296,429 10 | 85,710 90 | 0 00 | 85 710 90 |
| GENERAL DYNAMICS CORP COM CUSIP 369550108 | | | | | | | |
| 6,700 00 | 55 3900000 | 2,546 00 | 371,113 00 | 324,347 00 | 46,766 00 | 0 00 | 46,766 00 |
| GILEAD SCIENCES INC CUSIP 375558103 | | | | | | | |
| 10,015 00 | 46 8400000 | 0 00 | 469,102 60 | 390,344 52 | 78,758 08 | 0 00 | 78,758 08 |
| GOODRICH CORPORATION CUSIP 382388106 | | | | | | | |
| 9,000 00 | 49 9700000 | 2,250 00 | 449,730 00 | 365,163 30 | 84,566 70 | 0 00 | 84,566 70 |
| GOOGLE INC CL A CL A CUSIP 38259P508 | | | | | | | |
| 838 00 | 421 5900000 | 0 00 | 353,292 42 | 422,613 48 | - 69,321 06 | 0 00 | - 69,321 06 |

# Asset Detail - Base Currency



| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Equities*** | | | | | | | |
| **Common stock** | | | | | | | |
| HEWLETT PACKARD CO COM CUSIP 428236103 | | | | | | | |
| 11,970 00 | 38 6500000 | 957 60 | 462,640 50 | 335,139 00 | 127,501 50 | 0 00 | 127,501 50 |
| IDEXX LABS INC CUSIP 45168D104 | | | | | | | |
| 5,175 00 | 46 2000000 | 0 00 | 239,085 00 | 256,159 12 | - 17,074 12 | 0 00 | - 17,074 12 |
| IHS INC COM CL A COM CL A CUSIP 451734107 | | | | | | | |
| 3,130 00 | 49 8700000 | 0 00 | 156,093 10 | 152,145 22 | 3,947 88 | 0 00 | 3,947 88 |
| ILL TOOL WKS INC COM CUSIP 452308109 | | | | | | | |
| 11,300 00 | 37 3400000 | 3,503 00 | 421,942 00 | 329,592 75 | 92,349 25 | 0 00 | 92,349 25 |
| INNERWORKINGS INC COM CUSIP 45773Y105 | | | | | | | |
| 13,285 00 | 4 7500000 | 0 00 | 63,103 75 | 164,294 47 | - 101,190 72 | 0 00 | - 101,190 72 |
| INTEL CORP COM CUSIP 458140100 | | | | | | | |
| 20,000 00 | 16 5500000 | 0 00 | 331,000 00 | 311,250 00 | 19,750 00 | 0 00 | 19,750 00 |
| INTUITIVE SURGICAL INC COM NEW STK CUSIP 46120E602 | | | | | | | |
| 790 00 | 163 6600000 | 0 00 | 129,291 40 | 79,585 54 | 49,705 86 | 0 00 | 49,705 86 |
| JOHNSON CTL INC COM CUSIP 478366107 | | | | | | | |
| 9,120 00 | 21 7200000 | 1,185 60 | 198,086 40 | 118,288.22 | 79,798 18 | 0 00 | 79,798 18 |
| JUNIPER NETWORKS INC COM CUSIP 48203R104 | | | | | | | |
| 6,600 00 | 23 6000000 | 0 00 | 155,760 00 | 106,973 46 | 48,786 54 | 0 00 | 48,786 54 |
| KINETIC CONCEPTS INC COM NEW COM NEW CUSIP 49460W208 | | | | | | | |
| 12,700 00 | 27 2500000 | 0 00 | 346,075 00 | 317,288 27 | 28,786 73 | 0 00 | 28,786 73 |
| KNIGHT TRANSN INC COM CUSIP 499064103 | | | | | | | |
| 9,090 00 | 16 5500000 | 0 00 | 150,439 50 | 160,988 78 | - 10,549 28 | 0 00 | - 10,549 28 |

# Asset Detail - Base Currency



| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Equities*** | | | | | | | |
| **Common stock** | | | | | | | |
| KRAFT FOODS INC CL A CUSIP 50075N104 | | | | | | | |
| 14,700 00 | 25 3400000 | 4,263 00 | 372,498 00 | 326,748 66 | 45,749.34 | 0 00 | 45,749 34 |
| K12 INC COM STOCK USD 0001 CUSIP 48273U102 | | | | | | | |
| 8,708 00 | 21 5500000 | 0 00 | 187,657 40 | 178,568 87 | 9,088 53 | 0 00 | 9,088 53 |
| LABORATORY CORP AMER HLDGS COM NEW COM NEW CUSIP 50540R409 | | | | | | | |
| 5,800 00 | 67 7900000 | 0 00 | 393,182 00 | 327,560 22 | 65,621 78 | 0 00 | 65,621 78 |
| LEGGETT & PLATT INC COM CUSIP 524660107 | | | | | | | |
| 25,000 00 | 15 2300000 | 6,250 00 | 380,750 00 | 324,437 50 | 56,312 50 | 0 00 | 56 312 50 |
| MC DONALDS CORP COM CUSIP 580135101 | | | | | | | |
| 5,330 00 | 57 4900000 | 0 00 | 306,421 70 | 305,570 15 | 851 55 | 0 00 | 851 55 |
| MICROSOFT CORP COM CUSIP 594918104 | | | | | | | |
| 15,010 00 | 23 7700000 | 0 00 | 356,787 70 | 299,857 77 | 56,929 93 | 0 00 | 56,929 93 |
| MONSANTO CO NEW COM CUSIP 61166W101 | | | | | | | |
| 2,400 00 | 74 3400000 | 636 00 | 178,416 00 | 249,956 29 | - 71,540 29 | 0 00 | - 71,540 29 |
| MSCI INC CL A CL A CUSIP. 55354G100 | | | | | | | |
| 5,551 00 | 24 4400000 | 0 00 | 135,666 44 | 119,229 93 | 16,436 51 | 0 00 | 16,436 51 |
| NUVASIVE INC COM CUSIP 670704105 | | | | | | | |
| 3,230 00 | 44 6000000 | 0 00 | 144,058 00 | 101,879 18 | 42,178 82 | 0 00 | 42,178 82 |
| OMNICOM GROUP INC COM CUSIP 681919106 | | | | | | | |
| 6,820 00 | 31 5800000 | 1,023 00 | 215,375 60 | 305,622 09 | - 90,246 49 | 0 00 | - 90,246 49 |
| ORACLE CORP COM CUSIP 68389X105 | | | | | | | |
| 20,000 00 | 21 4200000 | 0 00 | 428,400 00 | 245,400 00 | 183,000 00 | 0 00 | 183,000 00 |

# Asset Detail - Base Currency

| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Equities*** | | | | | | | |
| **Common stock** | | | | | | | |
| PARTNERRE HLDG LTD COM STK CUSIP G6852T105 | | | | | | | |
| 8,000 00 | 64 9500000 | 0 00 | 519,600 00 | 500,062 40 | 19,537 60 | 0 00 | 19,537 60 |
| PENTAIR INC COM CUSIP 709631105 | | | | | | | |
| 17,000 00 | 25 6200000 | 0 00 | 435,540 00 | 513,443 84 | - 77,903 84 | 0 00 | - 77,903 84 |
| PEPSICO INC COM CUSIP 713448108 | | | | | | | |
| 5,010 00 | 54 9600000 | 0 00 | 275,349 60 | 262,197 38 | 13,152 22 | 0 00 | 13,152 22 |
| PRAXAIR INC COM CUSIP 74005P104 | | | | | | | |
| 2,785 00 | 71 0700000 | 0 00 | 197,929 95 | 118,215 81 | 79,714 14 | 0 00 | 79,714 14 |
| PROCTER & GAMBLE CO COM CUSIP 742718109 | | | | | | | |
| 7,000 00 | 51 1000000 | 0 00 | 357,700 00 | 326,088 00 | 31,612 00 | 0 00 | 31,612 00 |
| QUALCOMM INC COM CUSIP 747525103 | | | | | | | |
| 9,560 00 | 45 2000000 | 0 00 | 432,112 00 | 378,355 65 | 53,756 35 | 0 00 | 53,756 35 |
| ROPER INDS INC NEW COM CUSIP 776696106 | | | | | | | |
| 3,442 00 | 45 3100000 | 0 00 | 155,957 02 | 188,428 72 | - 32,471 70 | 0 00 | - 32,471 70 |
| SCHWAB CHARLES CORP COM NEW CUSIP 808513105 | | | | | | | |
| 10,760 00 | 17 5400000 | 0 00 | 188,730 40 | 203,318 48 | - 14,588 08 | 0 00 | - 14,588 08 |
| SILICON LABORATORIES INC COM CUSIP 826919102 | | | | | | | |
| 6,570 00 | 37 9400000 | 0 00 | 249,265 80 | 231,302 86 | 17,962 94 | 0 00 | 17,962 94 |
| SMART BALANCE INC COM STK CUSIP 83169Y108 | | | | | | | |
| 17,130 00 | 6 8100000 | 0 00 | 116,655 30 | 110,652 40 | 6,002 90 | 0 00 | 6,002 90 |
| SMITH INTL INC COM CUSIP 832110100 | | | | | | | |
| 0 00 | 25 7500000 | 611 40 | 0 00 | 0 00 | 0 00 | 0 00 | 0 00 |

# Asset Detail - Base Currency



| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Equities*** | | | | | | | |
| **Common stock** | | | | | | | |
| SNAP-ON INC COM CUSIP 833034101 | | | | | | | |
| 12,000 00 | 28 7400000 | 0 00 | 344,880 00 | 461,929 50 | - 117,049 50 | 0 00 | - 117,049 50 |
| STERIS CORP COM CUSIP 859152100 | | | | | | | |
| 16,500 00 | 26 0800000 | 0 00 | 430,320 00 | 523,624 20 | - 93,304 20 | 0 00 | - 93,304 20 |
| TORCHMARK CORP COM CUSIP 891027104 | | | | | | | |
| 9,000 00 | 37 0400000 | 0 00 | 333,360 00 | 340,128 00 | - 6,768 00 | 0 00 | - 6,768 00 |
| TRANSDIGM GROUP INC COM CUSIP 893641100 | | | | | | | |
| 2,840 00 | 36 2000000 | 0 00 | 102,808 00 | 104,042 13 | - 1,234 13 | 0 00 | - 1,234 13 |
| ULTIMATE SOFTWARE GROUP INC COM CUSIP 90385D107 | | | | | | | |
| 5,020 00 | 24 2400000 | 0 00 | 121,684 80 | 171,412 79 | - 49,727 99 | 0 00 | - 49,727 99 |
| UNITEDHEALTH GROUP INC COM CUSIP 91324P102 | | | | | | | |
| 8,030 00 | 24 9800000 | 0 00 | 200,589 40 | 201,106 91 | - 517 51 | 0 00 | - 517 51 |
| VISTAPRINT COM INC COM STK CUSIP G93762204 | | | | | | | |
| 7,415 00 | 42 6500000 | 0 00 | 316,249 75 | 198,163 46 | 118,086 29 | 0 00 | 118,086 29 |
| WAL-MART STORES INC COM CUSIP 931142103 | | | | | | | |
| 6,800 00 | 48.4400000 | 0 00 | 329,392 00 | 331,836 60 | - 2,444 60 | 0 00 | - 2,444 60 |
| WALTER ENERGY INC CUSIP 93317Q105 | | | | | | | |
| 12,000 00 | 36 2400000 | 0 00 | 434,880 00 | 198,021 39 | 236,858 61 | 0 00 | 236,858 61 |
| WEATHERFORD INTL LTD CUSIP H27013103 | | | | | | | |
| 8,830 00 | 19 5600000 | 0 00 | 172,714 80 | 109,340 12 | 63,374 68 | 0 00 | 63,374 68 |
| XTO ENERGY INC COM CUSIP 98385X106 | | | | | | | |
| 19,550 00 | 38 1400000 | 2,443 75 | 745,637 00 | 292,168 56 | 453,468 44 | 0 00 | 453,468 44 |
| Total USD | | 26,863 00 | 18,618,696 00 | 17,259,679.14 | 1,359,016 86 | 0 00 | 1,359,016 86 |

## Asset Detail - Base Currency

| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>Income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| *Equities* | | | | | | | |
| **Common stock** | | | | | | | |
| Total United States | | 26,863 00 | 18,618,696.00 | 17,259,679 14 | 1,359,016 86 | 0 00 | 1,359,016 86 |
| **Total Common Stock** | | | | | | | |
| **1,030,307.96** | | **26,863.00** | **26,249,009 45** | **26,075,221 80** | **173,787.65** | **0 00** | **173,787.65** |
| **Total Equities** | | | | | | | |
| **1,030,307.96** | | **26,863 00** | **26,249,009.45** | **26,075,221.80** | **173,787.65** | **0.00** | **173,787.65** |

| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>Income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| *Fixed Income* | | | | | | | |
| **Government agencies** | | | | | | | |
| **United States - USD** | | | | | | | |
| MFB NTGI COMMON DAILY AGGREGATE BOND INDEX FUND - LENDING CUSIP 003999AU3 | | | | | | | |
| 290,913 03 | 10 2470000 | 16,856 00 | 2,980,985 81 | 2,969,861 75 | 11,124 06 | 0 00 | 11,124 06 |
| Issue Date 5 Feb 04 | | | | | | | |
| Total USD | | 16,856 00 | 2,980,985 81 | 2,969,861.75 | 11,124.06 | 0 00 | 11,124 06 |
| Total United States | | 16,856 00 | 2,980,985 81 | 2,969,861 75 | 11,124 06 | 0 00 | 11,124 06 |
| **Total Government Agencies** | | | | | | | |
| **290,913.03** | | **16,856.00** | **2,980,985.81** | **2,969,861.75** | **11,124.06** | **0.00** | **11,124.06** |

# Asset Detail - Base Currency



| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Fixed Income*** | | | | | | | |
| **Corporate bonds** | | | | | | | |
| **United States - USD** | | | | | | | |
| MFB NORTHERN FDS BD INDEX FD CUSIP 665162533 | | | | | | | |
| 524,248 28 | 10 1600000 | 0 00 | 5,326,362 52 | 5,295,151 31 | 31,211 21 | 0 00 | 31,211 21 |
| Issue Date 25 Aug 08 | | | | | | | |
| MFB NTGI-QM COMMON DAILY TIPS FUND - LENDING CUSIP 782997977 | | | | | | | |
| 187,405 59 | 11 6860000 | 0 00 | 2,190,021 72 | 2,007,052 96 | 182,968 76 | 0 00 | 182,968 76 |
| Total USD | | 0 00 | 7,516,384.24 | 7,302,204.27 | 214,179 97 | 0 00 | 214,179 97 |
| Total United States | | 0 00 | 7,516,384.24 | 7,302,204.27 | 214,179 97 | 0 00 | 214,179 97 |
| **Total Corporate Bonds** | | | | | | | |
| **711,653.87** | | **0.00** | **7,516,384.24** | **7,302,204.27** | **214,179.97** | **0.00** | **214,179.97** |
| **Total Fixed Income** | | | | | | | |
| **1,002,566.90** | | **16,856.00** | **10,497,370.05** | **10,272,066.02** | **225,304.03** | **0.00** | **225,304.03** |

| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>Income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Hedge Fund*** | | | | | | | |
| **Hedge fund of funds** | | | | | | | |
| **Multi-National Companies Region - USD** | | | | | | | |
| CF THE ORRINGTON FD LTD CL II CUSIP 687999920 | | | | | | | |
| 30 90 | 1,107 7338000 | 0 00 | 34,228 97 | 30,900 00 | 3,328 97 | 0 00 | 3,328 97 |
| Total USD | | 0 00 | 34,228 97 | 30,900 00 | 3,328 97 | 0 00 | 3,328 97 |

# Asset Detail - Base Currency



| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Hedge Fund*** | | | | | | | |
| **Hedge fund of funds** | | | | | | | |
| Total Multi-National Companies Region | | 0.00 | 34,228 97 | 30,900 00 | 3,328 97 | 0 00 | 3,328 97 |
| **United States - USD** | | | | | | | |
| CF AURORA OFFSHORE LTD II CLASS A USD UNRESTRICTED SERIES 01/08 FD CUSIP 511999SA3 | | | | | | | |
| 1,612 43 | 1,229 8800000 | 0 00 | 1,983,095 40 | 2,000,000 00 | - 16,904 60 | 0 00 | - 16,904 60 |
| Total USD | | 0 00 | 1,983,095 40 | 2,000,000.00 | - 16,904 60 | 0 00 | - 16,904 60 |
| Total United States | | 0 00 | 1,983,095 40 | 2,000,000 00 | - 16,904 60 | 0 00 | - 16,904 60 |
| **Total Hedge Fund of Funds** | | | | | | | |
| **1,643.33** | | **0.00** | **2,017,324.37** | **2,030,900.00** | **- 13,575.63** | **0.00** | **- 13,575 63** |
| **Total Hedge Fund** | | | | | | | |
| **1,643.33** | | **0.00** | **2,017,324.37** | **2,030,900.00** | **- 13,575.63** | **0.00** | **- 13,575.63** |

| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Cash and Cash Equivalents*** | | | | | | | |
| **Short term investment funds** | | | | | | | |
| NORTHN INSTL FDS DIVERSIFIED ASSETS PORTFOLIO CUSIP 665278107 | | | | | | | |
| | 1 0000000 | 123 58 | 570,794 11 | 570,794 11 | 0 00 | 0 00 | 0 00 |
| Total short term investment funds - all currencies | | 123.58 | 570,794.11 | 570,794 11 | 0 00 | 0 00 | 0 00 |
| Total short term investment funds - all countries | | 123 58 | 570,794 11 | 570,794 11 | 0 00 | 0 00 | 0 00 |

# Asset Detail - Base Currency



| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Cash and Cash Equivalents*** | | | | | | | |
| **Short term investment funds** | | | | | | | |
| **Total Short Term Investment Funds** | | | | | | | |
| **570,794.11** | | **123.58** | **570,794.11** | **570,794.11** | **0.00** | **0.00** | **0.00** |
| **Total Cash and Cash Equivalents** | | | | | | | |
| **570,794.11** | | **123.58** | **570,794.11** | **570,794.11** | **0.00** | **0.00** | **0.00** |

| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Adjustments To Cash*** | | | | | | | |
| **Pending trade purchases** | | | | | | | |
| USD - United States dollar | 1.0000000 | 0 00 | - 990,742 79 | - 990,742 79 | 0 00 | 0 00 | 0 00 |
| Total pending trade purchases - all currencies | | 0 00 | - 990,742 79 | - 990,742 79 | 0 00 | 0 00 | 0 00 |
| Total pending trade purchases - all countries | | 0 00 | - 990,742 79 | - 990,742 79 | 0 00 | 0 00 | 0 00 |
| **Total Pending trade purchases** | | | | | | | |
| **0.00** | | **0.00** | **- 990,742.79** | **- 990,742.79** | **0.00** | **0.00** | **0 00** |
| **Pending trade sales** | | | | | | | |
| USD - United States dollar | 1.0000000 | 0 00 | 1,713,854 48 | 1,713,854 48 | 0 00 | 0 00 | 0 00 |
| Total pending trade sales - all currencies | | 0.00 | 1,713,854 48 | 1,713,854 48 | 0.00 | 0 00 | 0 00 |

## Asset Detail - Base Currency

| Description/Asset ID<br>Investment Mgr ID<br>Shares/PAR value | Exchange rate/<br>Local market price | Accrued<br>income/expense | Market value | Cost | Unrealized gain/loss<br>Market | Translation | Total |
|---|---|---|---|---|---|---|---|
| ***Adjustments To Cash*** | | | | | | | |
| **Pending trade sales** | | | | | | | |
| Total pending trade sales - all countries | | 0 00 | 1,713,854 48 | 1,713,854 48 | 0 00 | 0 00 | 0 00 |
| **Total Pending trade sales** | | | | | | | |
| **0.00** | | **0.00** | **1,713,854.48** | **1,713,854.48** | **0.00** | **0.00** | **0.00** |
| **Total Adjustments To Cash** | | | | | | | |
| **0.00** | | **0.00** | **723,111.69** | **723,111.69** | **0.00** | **0.00** | **0.00** |
| **Total** | | | | | | | |
| **2,605,312.30** | | **43,842.68** | **40,057,609.67** | **39,672,093.62** | **385,516.05** | **0.00** | **385,516.05** |

FORM 990PF PART XV LINES 2-b c+d
36-2167943 YEAR ENDED 6-30-09

20 N Wacker Dr , Suite 3118, Chicago, IL 60606 Phone 312 214 1521

VNA Foundation

**Home**

**About VNA**

**Applying for a grant**

**About our grantees**

**Special Initiatives**

**Contact**

## Guidelines for Grant Applications

The grantmaking goal of the VNA Foundation is to support home - and community-based health care and health services for the medically underserved in Cook and the collar counties of Lake, McHenry, DuPage, Kane and Will, with a focus on Chicago To meet this goal, program, operating, and capital grants will be considered which are in support of but not limited to the following areas.

- Home health care services
- Community and school-based services
- Primary care and chronic disease management
- Health promotion

Priority will be given to programs in which care is provided by nurses

**All grants must:**

- Have measurable goals and objectives Visit our Outcome Measures page for examples
- Benefit the medically underserved
- Be submitted by an organization exempt from income tax under sec 501 (c)(3), *and designated as a public charity under section 509(a)(1) or 509(a)(2)*, of the Internal Revenue Code. *VNA Foundation does not provide grants to section 509(a)(3) "supporting organizations " Please attach to each letter of intent (or other initial communication with the foundation) your most recent IRS Determination Letter stating your status as a 501(c)(3) organization with a 509(a)(1) or 509(a)(2) designation.*

## Application Procedures

1. Review carefully the Guidelines for Grant Applicants listed above to determine your eligibility for consideration.

2 If you wish to apply, see Application Deadlines to learn current submission deadlines

funding, including the overall goal, the specific outcome measures demonstrating the impact of the grant (beyond just volume measures), a workplan of how the objectives are to be achieved, the identity of the key staff, the specific amount to be requested, the total time frame, and your *most recent IRS Determination Letter stating your status as a 501(c)(3) organization with further designation as 509(a)(1) or 509(a)(2) public charity* **Facsimiles and emails are not accepted.**

4 Based upon review of this letter, you will either be asked to submit a full proposal (including a completed Chicago Area Grant Application Form, a narrative of no more than 7 pages, and budget with narrative, and attachments) or be advised to look elsewhere for funding

5 If you are invited to submit a full proposal for capital funding, please follow the application guidelines for Capital Requests

## Submission Information

All correspondence should be sent to

**Robert N. DiLeonardi**
Executive Director
VNA Foundation
20 North Wacker Drive, Suite 3118
Chicago, IL 60606
Phone: (312) 214-1521




Recipient of the 2005 Wilmer Shields Rich Silver Award for excellence in communications sponsored b
Recipient of the 2002 Wilmer Shields Rich Bronze Award for excellence incommunications sponsored b

20 N Wacker Dr , Suite 3118, Chicago, IL 60606 Phone 312 214 1521



# LOI and proposal deadlines

Letters of intent and proposals are due in our office by 5:00 p.m on the days listed below. Please provide a copy of your Letter of Intent (3 page maximum). **Faxed or emailed letters of intent and proposals will not be accepted.**

**Based upon review of the Letter of Intent**, you will either be asked to submit **a complete copy of a full proposal** (including a completed Chicago Area Grant Application Form, a narrative of no more than 7 pages, and budget with narrative, and attachments) or be advised to look elsewhere for funding.

Grantees interested in renewal funding, and those with multiyear awards, should contact their Program Officer to discuss acceptability and timing of a request Also see Renewal Funding.

**Note that our deadlines are not the same every year.**

## Quarterly Deadlines

| Letters of Intent Due | Proposals Due |
|---|---|
| June 11, 2009 | July 16, 2009 |
| September 10, 2009 | October 15, 2009 |
| December 17, 2009 | January 21, 2010 |
| March 18, 2010 | April 22, 2010 |





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Recipient of the 2002 Wilmer Shields Rich Bronze Award for excellence incommunications sponsored l

# VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION
## Chicago, Illinois
## 36-2167943
## Grants paid in 2008
## Form 990 PF Part XV Supplementary Information Line 3a

| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Access Community Health Network<br>600 W Fullerton St, Suite 200<br>Chicago, IL 60661 | Funds a Specialty Care Nurse Practitioner; toward a Nurse Practitioner who will work with children and adults with chronic diseases and other serious health issues at a health center in the Grand Boulevard neighborhood. | $ 35,000.00 |
| Public charity | Advocate Health Care<br>205 W Touhy, Suite 225<br>Park Ridge, IL 60068 | Mobile Dental Program; to provide oral health care to at-risk, underserved populations in the Chicago area. | 30,000.00 |
| Public charity | AIDS Foundation of Chicago<br>200 W Jackson, Suite 2200<br>Chicago, IL 60606 | Treatment Coordinator for HIV Positive Patients: to support the completion of a pilot program that will assess the effectiveness of a new medical case management model for individuals living with HIV/AIDS. | 48,750.00 |
| Public charity | American Indian Center<br>1630 W Wilson Ave<br>Chicago, IL 60640 | Community Health Outreach Services; help institutionalize the Wellness program that includes outreach screening, health education and referrals for American Indians. | 55,613.00 |
| Public charity | Casa Central<br>1343 N California<br>Chicago, IL 60622 | Adult Wellness Center; for the salaries and wages of a part-time contractual RN, a part-time staff LPN, and 3 full-time staff CNAs for the Adult Wellness Center program, benefiting low-income Hispanic elderly. | 25,000.00 |

**VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION**

**Chicago, Illinois**

**36-2167943**

**Grants paid in 2008**

**Form 990 PF Part XV Supplementary Information Line 3a**

| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Catholic Charities<br>721 N LaSalle St<br>Chicago, IL 60610 | Community Family Service Center; partial support for a Therapist to provide mental and behavioral health services to at-risk youths on the South and West sides of Chicago. | 25,000.00 |
| Public charity | Centro San Bonifacio<br>4145 W Armitage<br>2nd Floor<br>Chicago, IL 60639 | Comadres Home-Based Education and Support; to provide home-based prenatal & post-partum health education and support and support during labor and delivery, to low-income Spanish speaking women. | 25,000.00 |
| Public charity | Chicago Care Child Society<br>5467 S University<br>Chicago, IL 60615 | Teen Parent Initiative's Young Mothers Project; for the salary of a RN who will do home visits to students at a junior high school for pregnant and parenting teens. | 50,000.00 |
| Public charity | Children's Home and Aid Society<br>125 S Wacker Dr<br>14th Floor<br>Chicago, IL 60606-4475 | Nursing Partnership at the Rice Center & Family Center; for on-call and part-time nursing coverage at night and on weekends at a residential treatment center for abused and neglected children. | 47,097.00 |
| Public charity | Chinese American Service League<br>2141 S Tan Court<br>Chicago, IL 60616 | Community Care Homemakers Program; bilingual homemakers services to Chinese Elderly left to suffer various health ailments alone, at home or in nursing facility, due to language barrier. | 55,000.00 |

# VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION
## Chicago, Illinois
## 36-2167943
## Grants paid in 2008
## Form 990 PF Part XV Supplementary Information Line 3a

| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Christian Community Health Center<br>9718 S. Halsted St<br>PO Box 288080<br>Chicago, IL 60628 | Assistant Clinical Nurse Manager; support the salary of new Assistant Clinical Nurse Manager. | 50,000.00 |
| Public charity | Circle Family Healthcare Network<br>5002 W Madison<br>Chicago, IL 60644 | Mobile Healthcare Program Initiative; toward the services of the Mobile Health Team to provide holistic medical care to residents of transitional homeless shelters. | 60,000.00 |
| Public charity | Communities in Schools of Chicago<br>815 W. Van Buren<br>Suite 300<br>Chicago, IL 60607 | Connecting Health Services to Underserved CPS Children; free vision screening, glasses, physicals, immunizations, oral hygiene and asthma care to underserved CPS students. | 40,000.00 |
| Public charity | Community Health, Inc.<br>2611 W Chicago Ave<br>Chicago, IL 60622 | Nursing Staff; toward the salaries and benefits of three nurses at this free clinic for the working poor. | 71,500.00 |
| Public charity | Community Nurse Health Association<br>23 Calenar Court<br>LaGrange, IL 60525 | Nurse Practitioner Salaries for Pediatric Clinic and Adult Clinic; for salary support for part-time nurse practitioners who staff the pediatric and adult clinics at this agency serving low income families in the western suburbs. | 60,000.00 |
| Public charity | Concern America<br>3411 W Diversy<br>Suite 8<br>Chicago, IL 60647 | Emerging Health Care Leadership Program; mentors youth and adults to enter nursing school and community nursing centers. | 25,000.00 |

# VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION

**Chicago, Illinois**

**36-2167943**

**Grants paid in 2008**

**Form 990 PF Part XV Supplementary Information Line 3a**

| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Connections for Abused Women and Their Children<br>PO Box 477916<br>Chicago, IL 60647-7916 | Hospital Crisis Intervention Project Expansion Pilot; support services and training for females victimized by sex trade who present at Stroger (Cook County) Hospital. | 25,000.00 |
| Public charity | Connections for the Homeless<br>2010 Dewey Ave<br>Evanston, IL 60201 | Health Services Program; Health Services Program Nurse and Coordinator salaries, operating expenses, and education materials. | 40,000.00 |
| Public charity | Deborah's Place<br>2822 W Jackson<br>Chicago, IL 60612 | Health Services Program; toward its Health Services program which provides Nurse Practitioner services, health education, assistance with accessing prescriptions, and follow-up to ensure medication compliance and referral completion. | 15,000.00 |
| Public charity | DuPage Community Clinic<br>1506 E Roosevelt Road<br>PO Box 606<br>Wheaton, IL 60189-0606 | Chronic Disease & Spanish-Speaking Health Services; operations support to provide care to chronic disease and Spanish-speaking patients. | 69,000.00 |
| Public charity | Erie Family Health Center<br>1701 W Superior Ave<br>Chicago, IL 60622 | The Behavioral Health Program at Ryerson Elementary; for the salary and benefits of four staff people, supplies, travel, and general operations for the behavioral health services at its school based health center (SBHC) at Ryerson Elementary. | 32,491.00 |
| Public charity | Family Health Partnership Clinic<br>13707 W Jackson St<br>Woodstock, IL 60098 | Diabetes Project; for increased Nurse Practitioner time to work with patients with diabetes, as well as for purchasing glucometer test strips, and pneumovax and flu vaccines. | 43,500.00 |

# VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION

**Chicago, Illinois**
**36-2167943**
**Grants paid in 2008**
**Form 990 PF Part XV Supplementary Information Line 3a**

| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Family Network<br>330 Laurel Ave<br>Highland Park, IL<br>60035 | right from the Start; for a prevention-based early intervention program for at-risk families in Southeast Lake County who are expecting a baby, or have a child up to four years old. | 25,000.00 |
| Public charity | Fox Valley Volunteer Hospice<br>200 Whitfield Dr<br>Geneva, IL 60134 | Lean on Me (Cunta Conmigo); to recruit, train and sustain a core of Spanish-speaking hospice volunteers. | 5,000.00 |
| Public charity | Goldie's Place<br>5705 N Lincoln Ave<br>Chicago, IL 60659 | Dental Care Program; toward construction costs for a dental operatory that will be used to provide services for people who are homeless. | 20,000.00 |
| Public charity | Health and Medicine Policy Research Group<br>29 E Madison<br>Suite 602<br>Chicago, IL 60602-4404 | Chicago Area Schweitzer Fellows Program & Fellows for Life; to fund six Albert Schweitzer Nursing fellows, post-baccalaureate nursing students who will provide at least 200 hours of direct service at community-based clinics and service sites in medically underserved areas within the city of Chicago. | 42,000.00 |
| Public charity | HealthReach, Inc<br>1800 Grand Ave<br>Waukegan, IL 60085 | Urgent Care Program; to hire a part-time Physician Assistant who will provide timely access to health care for patients with urgent healthcare needs. | 32,000.00 |
| Public charity | Heartland International Health Center<br>208 S LaSalle St<br>Suite 1818<br>Chicago, IL 60604-1156 | Prenatal Care Management; partial salary support for two RNs who will provide prenatal case management at two community health centers and at two school-based health centers. | 50,000.00 |

**VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION**
**Chicago, Illinois**
**36-2167943**
**Grants paid in 2008**
**Form 990 PF Part XV Supplementary Information Line 3a**

| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Hospice of Northeastern Illinois 410 S Hager Ave Barrington, IL 60010 | Hope's Friends; toward the salary and benefits of two part-time nurses who provide specialized, in home nurse-driven palliative and hospice care and integrative therapy to children with life-threatening or terminal illnesses. | 55,000.00 |
| Public charity | Howard Brown Health Center 4025 N Sheridan Rd Chicago, IL 60613 | Broadway Youth Center; toward the provision of health care at a center offering a variety of comprehensive services for gay, lesbian, bisexual, transgendered and/or homeless youth. | 20,000.00 |
| Public charity | Illinois College of Optometry 3241 S. Michigan Ave Chicago, IL 60616-3878 | Vision of Hope Health Alliance; for a program that provides comprehensive eye care and primary healthcare to under and uninsured adults in Chicago. | 10,000.00 |
| Public charity | Illinois College of Optometry 3241 S. Michigan Ave Chicago, IL 60616-3878 | Vision of Hope Health Alliance; to provide comprehensive eye care, and to link people who are treated for vision problems, who are found to have other health problems as well, to community based primary health care. | 10,000.00 |
| Public charity | Illinois Foundation of Dentistry for the Handicapped PO Box 211 Northbrook, IL 60065-0211 | Dental Housecalls; for funding of its Dental Housecalls program of free or discounted dental care for disabled or elderly Chicago residents. | 25,000.00 |

**VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION**

**Chicago, Illinois**

**36-2167943**

**Grants paid in 2008**

**Form 990 PF Part XV Supplementary Information Line 3a**

| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Infant Welfare Society of Chicago<br>3600 W Fullerton<br>Chicago, IL 60647 | Women's Health Clinic (Lead Nurse); for the salary of a lead nurse in its Women's Clinic. | 60,000.00 |
| Public charity | Interfaith Council for the Homeless<br>642 N Kedzie<br>Chicago, IL 60612 | Housing First Healthcare; in conjunction w/Housing First program, provide LPN for medical screening, referrals and assessments to residents. | 20,000.00 |
| Public charity | Interfaith House<br>3456 W Franklin<br>Chicago, IL 60624 | General Operating Support; to provide care for homeless people after they have been released from a hospital or ER. | 50,000.00 |
| Public charity | Jane Addams Hull House Association<br>1030 W Van Buren<br>Chicago, IL 60607 | Emerge Transitional Housing Program; toward medical case management for formerly homeless individuals and families who live in supportive housing. | 27,500.00 |
| Public charity | Lake Forest Hospital<br>660 N Westmoreland Rd<br>Lake Forest, IL 60045 | Lake Forest Hospital Care Coach; CareCoach mobile health care screening to underserved and uninsured Lake County residents. | 35,000.00 |
| Public charity | Local Initiatives Support Corporation/ Chicago<br>1 North LaSalle St<br>12th Floor<br>Chicago, IL 60602 | School-Based Telepsychiatry Network; to support efforts to create a school-based telepsychiatry network in five Chicago Public Schools in low-income neighborhoods. | 35,000.00 |

## VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION

**Chicago, Illinois**

**36-2167943**

**Grants paid in 2008**

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| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Marillac Social Center<br>212 S Francisco<br>Chicago, IL 60612 | Family Nurse Practitioner; for the salary of a Nurse Practitioner to provide primary care, chronic disease management, referrals and health education for people of all ages on the West side. | 37,500.00 |
| Public charity | Maryville Academy<br>1150 N River Rd<br>Des Plaines, IL 60016 | The Maryville Crisis Nursery; toward salaries for two nurses at a nursery that temporarily houses infants and children up to age five whose families are experiencing a crisis. | 33,000.00 |
| Public charity | Mount Sinai Hospital<br>California at 15th St<br>Chicago, IL 60608 | Home Health Nurse for the Uninsured; toward home health care for people who are uninsured, or under insured. | 50,000.00 |
| Public charity | North Side Housing & Supportive Services<br>835 W Addison<br>Chicago, IL 60613 | Health Care Case Management; to provide primary healthcare, preventive care and health education to homeless men on the North side of Chicago. | 32,500.00 |
| Public charity | Norwegian American Hospital<br>1044 N Francisco<br>Chicago, IL 60622 | NAH Pediatric Care-A-Van; toward a Nurse Practitioner, van manager/driver, medical director, and general support of operations of the Care-A-Van program that provides pediatric healthcare services and outreach in the community. | 25,025.00 |

# VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION

**Chicago, Illinois**

**36-2167943**

**Grants paid in 2008**

**Form 990 PF Part XV Supplementary Information Line 3a**

| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | PCC Community Wellness Center<br>14 W Lake St<br>Oak Park, IL 60302 | Maternal Child Health Community Services; toward the community health nursing team which provides education and breast feeding support. | 60,000.00 |
| Public charity | Pillars<br>333 N La Grange Rd<br>LaGrange Park, IL 60526 | Constance Morris House Health Care Project; for health services for women and children in Pillar's domestic violence shelter and who receive counseling from the agency. | 20,000.00 |
| Public charity | Rape Victim Advocates<br>180 N Michigan<br>Suite 600<br>Chicago, IL 60601 | General Operating Support; general operating support for an agency that provides medical advocacy in ERs, counseling, prevention education and legal advocacy to survivors of sexual assault. | 25,000.00 |
| Public charity | Respiratory Health Association of Metropolitan Chicago<br>1440 W Washington<br>Chicago, IL 60607 | Comprehensive Influenza Prevention Program; continued support of the Comprehensive Influenza Prevention Program. | 20,000.00 |
| Public charity | Saint Xavier University<br>3700 W 103rd St<br>Chicago, IL 60655 | Primary Care Services Offered On-Site at St. Margaret of Scotland; for the salary of a Part-time Nurse Practitioner at a new school based health center at an elementary school on the Southwest side of Chicago. | 50,115.00 |
| Public charity | St. Bernard Hospital and Health Care Center<br>326 W 64th St<br>Chicago, IL 60621 | Pediatric Mobile Health Unit; toward the salary of a Nurse Practitioner who will provide health services and health education in a mobile health clinic. | 75,000.00 |

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**Chicago, Illinois**
**36-2167943**
**Grants paid in 2008**
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| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Teen Living Program<br>162 W Hubbard<br>Suite 400<br>Chicago, IL 60610 | Whole Health; for continued support of its health program for youth who are homeless which focuses on improving the health and wellness of homeless youth, teaching them healthy living skills, and encouraging them to adopt healthy lifestyles. | 20,000 00 |
| Public charity | The Children's Clinic<br>370 Lake Street<br>Oak Park, IL 60302 | General Operating Support; to support a clinic for children from working poor and uninsured families. | 25,000.00 |
| Public charity | The Research and Education Foundation of the Michael Reese Medical Staff<br>2100 W Harrison St<br>2nd Floor<br>Chicago, IL 60612 | Relocation of Family Planning Program; toward the relocation of the Family Planning Program. | 13,892.00 |
| Public charity | Thresholds<br>4101 N Ravenswood<br>Chicago, IL 60613 | Nursing Services for the Mentally Ill; for on-site nursing services at a facility for persons with Severe and Persistent Mental Illness. | 35,750.00 |
| Public charity | Tri City Health Partnership<br>318 Walnut St<br>St. Charles, IL 60174 | Expansion of Free Health Care Services and Cancer Treatment Fund; toward general operating support and a new cancer treatment fund at this clinic in Kane County. | 20,000.00 |

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| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | University of Illinois at Chicago<br>UIC Neighborhood Initiative (MC 275)<br>1747 W Roosevelt Rd<br>5th Floor<br>Chicago, IL 60608 | Gladstone Community Health Center Partnership; to support health center staff salaries, specifically the continued support of a pediatric nurse practitioner at the school based health center at Gladstone Elementary on the near West side. | 21,480.00 |
| Public charity | Well Child Center<br>620 Wing St<br>Unit #2<br>Elgin, IL 60123 | Pediatric Dental Program; toward comprehensive dental services for children and youth in northern Kane County. | 40,000.00 |
| Public charity | Youth Guidance<br>122 S Michigan<br>Suite 1510<br>Chicago, IL 60603-6153 | Roberto Clemente Wildcats Student Health Center; toward an additional part-time staff person (either a Nurse Practitioner or Physicians Assistant) at this school-based health center in a high school in the West Town/Humboldt Park neighborhood. | 20,000.00 |
| Public charity | YWCA of Evanston/North Shore<br>1215 Church St<br>Evanston, IL 60201 | Domestic Violence Services, Health & Wellness Program; toward a wellness program for residents of the Ys two programs for women who have experienced domestic abuse. | 20,000.00 |
| Public charity | Chicago Women in Philanthropy<br>216 W Jackson Blvd<br>Suite 625<br>Chicago, IL 60606 | In support of staff's participation in CWIP activities | 500.00 |

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| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Public charity | Loyola University Chicago<br>6525 N Sheridan Rd<br>Chicago, IL 60626 | ABSN Nursing Scholarship; scholarship for an Accelerated Baccalaureate of Science in Nursing student. | 33,345.00 |
| Public charity | Rush University Medical Center<br>600 S Paulina St<br>Suite 440<br>Chicago, IL 60612 | GEM Nursing Scholarship; scholarship for the Generalist Entry Masters in Nursing. | 52,685.00 |
| Public charity | Rush University Medical Center<br>600 S Paulina St<br>Suite 440<br>Chicago, IL 60612 | Nursing Scholarship; scholarship for a Masters in Nursing. | 32,480.00 |
| Individual | Ronna Ellwing<br>c/o VNA Foundation<br>20 N. Wacker #3118<br>Chicago, IL 60606 | Super Star in Nursing Community Nursing Award; Award Winner, award to promote community/public health nursing. | 25,000.00 |
| Individual | Theresa Heaton<br>c/o VNA Foundation<br>20 N. Wacker #3118<br>Chicago, IL 60606 | Super Star in Nursing Community Nursing Award; Runner-up, award to promote community/public health nursing | 10,000.00 |
| Individual | Monica Ryan<br>c/o VNA Foundation<br>20 N. Wacker #3118<br>Chicago, IL 60606 | Super Star in Nursing Community Nursing Award; Finalist, award to promote community/public health nursing. | 5,000.00 |

VISITING NURSE ASSOCIATION OF CHICAGO (AKA) VNA FOUNDATION
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| Charitable Designation | Entity | Description | Amount |
|---|---|---|---|
| Individual | Ingrid Forsberg<br>c/o VNA Foundation<br>20 N. Wacker #3118<br>Chicago, IL 60606 | Super Star in Nursing Community Nursing Award; Finalist, award to promote community/public health nursing. | 5,000.00 |
| Public charity | Donors Forum<br>208 S LaSalle St<br>Chicago, IL 60604 | Philanthropy resource for Chicago Foundations; program support. | 3,945.00 |
| Public charity | Council on Foundations<br>2121 Crystal Dr<br>Suite 700<br>Arlington, VA 22202 | National Foundation organization; program support. | 5,550.00 |
| Public charity | Association of Small Foundations<br>1720 N Street NW<br>Washington, DC 20036 | Association of foundations; program support. | 505.00 |
| | **Total of grant funds paid in 2008** | | $ 2,267,723.00 |

# Investment Transaction Detail



## Sales

### Equities

#### Common stock

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| **Canada - USD** | | | | | | | | |
| 7 Oct 08<br>10 Oct 08<br>Settled | SUNCOR INC COM STK NPV<br>CUSIP 867229106 / SU<br>ISI GROUP INC / 165 60<br>OTHER CHARGES 63<br>SOLD 4,140 00 SHARES 10-07-08<br>AT A PRICE OF $26 7839 LESS<br>BROKER COMMISSION OF $165 60<br>AND OTHER CHARGES OF $0 63 ISI<br>GROUP | - 4,140 000<br>26 783900 | 110,719 12 | 0 00 | - 39,053 79 | 71,665 33 | 0 00 | 71,665 33 |
| Total Canada - USD | | | 110,719 12 | 0 00 | - 39,053 79 | 71,665 33 | 0 00 | 71,665 33 |
| **Germany - USD** | | | | | | | | |
| 29 Jan 09<br>3 Feb 09<br>Settled | QIAGEN N V COM<br>CUSIP N72482107 / QGEN<br>THOMAS WEISEL PARTNERS 226 / 78 40<br>OTHER CHARGES 20<br>SOLD 1,960 00 SHARES 01-29-09<br>AT A PRICE OF $17 4986 LESS<br>BROKER COMMISSION OF $78 40<br>AND OTHER CHARGES OF $0 20<br>THOMAS WEISEL PARTNERS | - 1,960 000<br>17 498600 | 34,218 66 | 0 00 | - 35,487 51 | - 1,268 85 | 0 00 | - 1,268 85 |
| 10 Mar 09<br>13 Mar 09<br>Settled | QIAGEN N V COM<br>CUSIP N72482107 / QGEN<br>BERNSTEIN, SANFORD C & CO / 90 00<br>OTHER CHARGES 21<br>SOLD 2,250 00 SHARES 03-10-09<br>AT A PRICE OF $16 0703 LESS<br>BROKER COMMISSION OF $90 00<br>AND OTHER CHARGES OF $0 21<br>BERNSTEIN, SANFORD C & CO INC | - 2,250 000<br>16 070300 | 36,067 97 | 0 00 | - 40,738 22 | - 4,670 25 | 0 00 | - 4,670 25 |
| 15 May 09<br>20 May 09<br>Settled | QIAGEN N V COM<br>CUSIP N72482107 / QGEN<br>THOMAS WEISEL PARTNERS 226 / 180 00<br>OTHER CHARGES 1 92<br>SOLD 4,500 00 SHARES 05-15-09<br>AT A PRICE OF $16 5729 LESS<br>BROKER COMMISSION OF $180 00<br>AND OTHER CHARGES OF $1 92<br>THOMAS WEISEL PARTNERS | - 4,500 000<br>16 572900 | 74,396 13 | 0 00 | - 81,476 43 | - 7,080 30 | 0 00 | - 7,080 30 |

# Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Accrued Interest | Realized Gain/Loss Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| **Sales** | | | | | | | | |
| **Equities** | | | | | | | | |
| 18 May 09<br>21 May 09<br>Settled | QIAGEN N V COM<br>CUSIP N72482107 / QGEN<br>THOMAS WEISEL PARTNERS 226 / 40 00<br>OTHER CHARGES 43<br>SOLD 1,000 00 SHARES 05-18-09<br>AT A PRICE OF $16 5173 LESS<br>BROKER COMMISSION OF $40 00<br>AND OTHER CHARGES OF $0 43<br>THOMAS WEISEL PARTNERS | - 1,000 000<br>16 517300 | 16,476 87 | 0 00 | - 18,105 88 | - 1,629 01 | 0 00 | - 1,629 01 |
| 19 May 09<br>22 May 09<br>Settled | QIAGEN N V COM<br>CUSIP N72482107 / QGEN<br>THOMAS WEISEL PARTNERS 226 / 41 20<br>OTHER CHARGES 44<br>SOLD 1,030 00 SHARES 05-19-09<br>AT A PRICE OF $16 5826 LESS<br>BROKER COMMISSION OF $41 20<br>AND OTHER CHARGES OF $0 44<br>THOMAS WEISEL PARTNERS | - 1,030 000<br>16 582600 | 17,038 44 | 0 00 | - 18,649 05 | - 1,610 61 | 0 00 | - 1,610 61 |
| Total Germany - USD | | | 178,198 07 | 0 00 | - 194,457 09 | - 16,259 02 | 0 00 | - 16,259 02 |
| **Ireland - USD** | | | | | | | | |
| 29 Jun 09<br>2 Jul 09<br>Pending | COVIDIEN PLC USD0 20<br>CUSIP G2554F105 / COV<br>ALLEN AND COMPANY LLC / 45 00<br>OTHER CHARGES 1 44<br>SOLD 1,500 00 SHARES 06-29-09<br>AT A PRICE OF $37 32 LESS<br>BROKER COMMISSION OF $45 00<br>AND OTHER CHARGES OF $1 44<br>ALLEN AND COMPANY LLC | - 1,500 000<br>37 320000 | 55,933 56 | 0 00 | - 62,416 95 | - 6,483 39 | 0 00 | - 6,483 39 |
| Total Ireland - USD | | | 55,933.56 | 0 00 | - 62,416 95 | - 6,483 39 | 0 00 | - 6,483 39 |
| **Mexico - USD** | | | | | | | | |
| 14 Apr 09<br>17 Apr 09<br>Settled | ADR WAL-MART DE MEX SAB DE CV<br>CUSIP 93114W107 / WMMVY<br>INVESTMENT TECHNOLOGY GROUP INC / 2 00<br>OTHER CHARGES 08<br>SOLD 100 00 SHARES 04-14-09 AT<br>A PRICE OF $28 425 LESS BROKER<br>COMMISSION OF $2 00 AND OTHER<br>CHARGES OF $0 08 INVESTMENT<br>TECHNOLOGY GROUP | - 100 000<br>28 425000 | 2,840 42 | 0 00 | - 3,346 83 | - 506 41 | 0 00 | - 506 41 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 15 Apr 09<br>20 Apr 09<br>Settled | ADR WAL-MART DE MEX SAB DE CV<br>CUSIP 93114W107 / WMMVY<br>INVESTMENT TECHNOLOGY GROUP INC / 29 20<br>OTHER CHARGES 1 07<br>SOLD 1,460 00 SHARES 04-15-09<br>AT A PRICE OF $28 277 LESS<br>BROKER COMMISSION OF $29 20<br>AND OTHER CHARGES OF $1 07<br>INVESTMENT TECHNOLOGY GROUP | - 1,460 000<br>28 277000 | 41,254 15 | 0 00 | - 48,863 66 | - 7,609 51 | 0 00 | - 7,609 5 |
| 12 May 09<br>15 May 09<br>Settled | ADR WAL-MART DE MEX SAB DE CV<br>CUSIP 93114W107 / WMMVY<br>CREDIT SUISSE FIRST BOSTON CORPORATION /12 00<br>OTHER CHARGES 24<br>SOLD 300 00 SHARES 05-12-09 AT<br>A PRICE OF $30 2006 LESS<br>BROKER COMMISSION OF $12 00<br>AND OTHER CHARGES OF $0 24<br>FIRST BOSTON CORP | - 300 000<br>30 200600 | 9,047 94 | 0 00 | - 10,040 48 | - 992 54 | 0 00 | - 992 54 |
| 13 May 09<br>18 May 09<br>Settled | ADR WAL-MART DE MEX SAB DE CV<br>CUSIP 93114W107 / WMMVY<br>CREDIT SUISSE FIRST BOSTON CORPORATION /113 76<br>OTHER CHARGES 2 15<br>SOLD 2,844 00 SHARES 05-13-09<br>AT A PRICE OF $29 3118 LESS<br>BROKER COMMISSION OF $113 76<br>AND OTHER CHARGES OF $2 15<br>FIRST BOSTON CORP | - 2,844 000<br>29 311800 | 83,246 85 | 0 00 | - 95,183 73 | - 11,936 88 | 0 00 | - 11,936 88 |
| Total Mexico - USD | | | 136,389 36 | 0 00 | - 157,434 70 | - 21,045 34 | 0 00 | - 21,045 34 |
| **Switzerland - USD** | | | | | | | | |
| 18 Nov 08<br>21 Nov 08<br>Settled | ADR ABB LTD SPONSORED ADR<br>CUSIP 000375204 / ABB<br>J P MORGAN SECURITIES INC / 324 00<br>OTHER CHARGES 48<br>SOLD 8,100 00 SHARES 11-18-08<br>AT A PRICE OF $10 384 LESS<br>BROKER COMMISSION OF $324 00<br>AND OTHER CHARGES OF $0 48<br>J P MORGAN SEC (STKS & BONDS) | - 8,100 000<br>10 384000 | 83,785 92 | 0 00 | - 186,770 20 | - 102,984 28 | 0 00 | - 102,984 28 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 19 Nov 08<br>24 Nov 08<br>Settled | ADR ABB LTD SPONSORED ADR<br>CUSIP 000375204 / ABB<br>J P MORGAN SECURITIES INC / 132 60<br>OTHER CHARGES 20<br>SOLD 3,315 00 SHARES 11-19-08<br>AT A PRICE OF $10 3078 LESS<br>BROKER COMMISSION OF $132 60<br>AND OTHER CHARGES OF $0 20<br>J P MORGAN SEC (STKS & BONDS) | - 3,315 000<br>10 307800 | 34,037 56 | 0 00 | - 76,437 43 | - 42,399 87 | 0 00 | - 42,399 87 |
| Total Switzerland - USD | | | 117,823 48 | 0 00 | - 263,207 63 | - 145,384 15 | 0 00 | - 145,384 15 |
| **United Kingdom - USD** | | | | | | | | |
| 29 Jan 09<br>3 Feb 09<br>Settled | ADR WNS HLDGS LTD SPONSORED ADR<br>CUSIP 92932M101 / WNS<br>INVESTMENT TECHNOLOGY GROUP INC / 2 00<br>OTHER CHARGES 01<br>SOLD 100 00 SHARES 01-29-09 AT<br>A PRICE OF $7 1226 LESS BROKER<br>COMMISSION OF $2 00 AND OTHER<br>CHARGES OF $0 01 INVESTMENT<br>TECHNOLOGY GROUP | - 100 000<br>7 122600 | 710 25 | 0 00 | - 1,550 78 | - 840 53 | 0 00 | - 840 53 |
| 3 Feb 09<br>6 Feb 09<br>Settled | ADR WNS HLDGS LTD SPONSORED ADR<br>CUSIP 92932M101 / WNS<br>INVESTMENT TECHNOLOGY GROUP INC / 6 00<br>OTHER CHARGES 02<br>SOLD 300 00 SHARES 02-03-09 AT<br>A PRICE OF $6 0848 LESS BROKER<br>COMMISSION OF $6 00 AND OTHER<br>CHARGES OF $0 02 INVESTMENT<br>TECHNOLOGY GROUP | - 300 000<br>6 084800 | 1,819 42 | 0 00 | - 4,652 34 | - 2,832 92 | 0 00 | - 2,832 92 |
| 5 Feb 09<br>10 Feb 09<br>Settled | ADR WNS HLDGS LTD SPONSORED ADR<br>CUSIP 92932M101 / WNS<br>MERRILL PROFESSIONAL CLEARING CORP /<br>36 00<br>OTHER CHARGES 03<br>SOLD 900 00 SHARES 02-05-09 AT<br>A PRICE OF $5 75 LESS BROKER<br>COMMISSION OF $36 00 AND OTHER<br>CHARGES OF $0 03 MERRILL<br>PROFESSIONAL CLEARING | - 900 000<br>5 750000 | 5,138 97 | 0 00 | - 13,957 02 | - 8,818 05 | 0 00 | - 8,818 05 |

# Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| **Sales** | | | | | | | | |
| **Equities** | | | | | | | | |
| 6 Feb 09<br>11 Feb 09<br>Settled | ADR WNS HLDGS LTD SPONSORED ADR<br>CUSIP 92932M101 / WNS<br>MERRILL PROFESSIONAL CLEARING CORP / 48 00<br>OTHER CHARGES 04<br>SOLD 1,200 00 SHARES 02-06-09<br>AT A PRICE OF $5 80 LESS<br>BROKER COMMISSION OF $48 00<br>AND OTHER CHARGES OF $0 04<br>MERRILL PROFESSIONAL CLEARING | - 1,200 000<br>5 800000 | 6,911 96 | 0 00 | - 18,609 36 | - 11,697 40 | 0 00 | - 11,697 40 |
| Total United Kingdom - USD | | | 14,580 60 | 0 00 | - 38,769 50 | - 24,188 90 | 0 00 | - 24,188 90 |
| **United States - USD** | | | | | | | | |
| 20 Aug 08<br>25 Aug 08<br>Settled | #REORG INGERSOLL-RAND CO CL A PLAN OF REORG/ST OF INCOR #2053135 07/01/09<br>CUSIP G4776G101 / IR<br>GOLDMAN EXECUTING & CLEARING / 120 00<br>OTHER CHARGES 2 57<br>SOLD 12,000 00 SHARES 08-20-08<br>AT A PRICE OF $38 1722 LESS<br>BROKER COMMISSION OF $120 00<br>AND OTHER CHARGES OF $2 57<br>SPEAR, LEEDS, & KELLOGG | - 12,000 000<br>38 172200 | 457,943 83 | 0 00 | - 517,200 00 | - 59,256 17 | 0 00 | - 59,256 17 |
| 22 Aug 08<br>27 Aug 08<br>Settled | #REORG/ALPHARMA INC CASH MERGER EFF 12/30/08<br>CUSIP 020813101 / ALO<br>INVEMED ASSOCIATES INC / 120 00<br>OTHER CHARGES 77<br>SOLD 4,000 00 SHARES 08-22-08<br>AT A PRICE OF $34.30 LESS<br>BROKER COMMISSION OF $120 00<br>AND OTHER CHARGES OF $0 77<br>INVEMED ASSOCIATES | - 4,000 000<br>34 300000 | 137,079 23 | 0 00 | - 104,270 74 | 32,808 49 | 0 00 | 32,808 49 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 8 Oct 08<br>14 Oct 08<br>Settled | #REORG/ALPHARMA INC CASH MERGER EFF 12/30/08<br>CUSIP 020813101 / ALO<br>STIFEL NICOLAUS AND COMPAN / 90 00<br>OTHER CHARGES 56<br>SOLD 3,000 00 SHARES 10-08-08<br>AT A PRICE OF $32 994 LESS<br>BROKER COMMISSION OF $90 00<br>AND OTHER CHARGES OF $0 56<br>STIFEL, NICOLAUS & CO , INC | - 3,000 000<br>32 994000 | 98,891 44 | 0 00 | - 78,203 05 | 20,688 39 | 0 00 | 20,688 39 |
| 9 Jul 08<br>14 Jul 08<br>Settled | #REORG/GENENTECH INC CASH MERGER EFF 3/26/09<br>CUSIP 368710406 / DNA<br>MORGAN STANLEY & CO INC NEW YORK / 48 00<br>OTHER CHARGES 53<br>SOLD 1,200 00 SHARES 07-09-08<br>AT A PRICE OF $78 4651 LESS<br>BROKER COMMISSION OF $48 00<br>AND OTHER CHARGES OF $0 53<br>MORGAN STANLEY & CO | - 1,200 000<br>78 465100 | 94,109 59 | 0 00 | - 94,804 51 | - 694 92 | 0 00 | - 694 92 |
| 7 Jan 09<br>12 Jan 09<br>Settled | #REORG/GENENTECH INC CASH MERGER EFF 3/26/09<br>CUSIP 368710406 / DNA<br>ROBERT W BAIRD & COMPANY INC MILWAUKEE USA / 42 40<br>OTHER CHARGES 51<br>SOLD 1,060 00 SHARES 01-07-09<br>AT A PRICE OF $85 1912 LESS<br>BROKER COMMISSION OF $42 40<br>AND OTHER CHARGES OF $0 51<br>ROBERT W BAIRD & CO INC | - 1,060 000<br>85 191200 | 90,259 76 | 0 00 | - 83,901 78 | 6,357 98 | 0 00 | 6,357 98 |
| 30 Jan 09<br>4 Feb 09<br>Settled | #REORG/GENENTECH INC CASH MERGER EFF 3/26/09<br>CUSIP 368710406 / DNA<br>UBS WARBURG LLC / 14 70<br>OTHER CHARGES 23<br>SOLD 490 00 SHARES 01-30-09 AT<br>A PRICE OF $81 1444 LESS<br>BROKER COMMISSION OF $14 70<br>AND OTHER CHARGES OF $0 23<br>WARBURG DILLON READ LLC | - 490 000<br>81 144400 | 39,745 83 | 0 00 | - 38,784 79 | 961 04 | 0 00 | 961 04 |

# Investment Transaction Detail

## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 11 Feb 09<br>17 Feb 09<br>Settled | #REORG/GENENTECH INC CASH MERGER EFF 3/26/09<br>CUSIP 368710406 / DNA<br>LEERINK SWANN & CO /IPO / 63 40<br>OTHER CHARGES 74<br>SOLD 1,585 00 SHARES 02-11-09<br>AT A PRICE OF $83 0411 LESS<br>BROKER COMMISSION OF $63 40<br>AND OTHER CHARGES OF $0 74<br>LEERINK SWANN & CO/IPO | - 1,585 000<br>83 041100 | 131,556 00 | 0 00 | - 125,456 91 | 6,099 09 | 0 00 | 6,099 09 |
| 11 Feb 09<br>17 Feb 09<br>Settled | #REORG/TYCO MAND EXCH/REDOMESTICATION TOTYCO ELECTRONICS LTD 2053003 06/25/2009 CUSIP G9144P105 / TEL<br>FRIEDMAN BILLING AND RAMSEY / 630 00<br>OTHER CHARGES 1 64<br>SOLD 21,000 00 SHARES 02-11-09<br>AT A PRICE OF $13 8816 LESS<br>BROKER COMMISSION OF $630 00<br>AND OTHER CHARGES OF $1 64<br>FRIEDMAN BILLING & RAMSEY | - 21,000 000<br>13 881600 | 290,881 96 | 0 00 | - 622,297 22 | - 331,415 26 | 0 00 | - 331,415 26 |
| 12 Nov 08<br>17 Nov 08<br>Settled | ACTIVISION BLIZZARD INC COM STK<br>CUSIP 00507V109 / ATVI<br>PACIFIC CREST SECURITES / 86 00<br>OTHER CHARGES 14<br>SOLD 2,150 00 SHARES 11-12-08<br>AT A PRICE OF $11 4754 LESS<br>BROKER COMMISSION OF $86 00<br>AND OTHER CHARGES OF $0 14<br>PACIFIC CREST SECURITIES | - 2,150 000<br>11 475400 | 24,585 97 | 0 00 | - 15,877 04 | 8,708 93 | 0 00 | 8,708 93 |
| 26 Nov 08<br>2 Dec 08<br>Settled | ACTIVISION BLIZZARD INC COM STK<br>CUSIP 00507V109 / ATVI<br>OPPENHEIMER AND COMPANY / 90 00<br>OTHER CHARGES 15<br>SOLD 2,250 00 SHARES 11-26-08<br>AT A PRICE OF $11 5198 LESS<br>BROKER COMMISSION OF $90 00<br>AND OTHER CHARGES OF $0 15<br>FAHNESTOCK & CO | - 2,250 000<br>11 519800 | 25,829 40 | 0 00 | - 16,615 50 | 9,213 90 | 0 00 | 9,213 90 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 9 Dec 08<br>12 Dec 08<br>Settled | ACTIVISION BLIZZARD INC COM STK<br>CUSIP 00507V109 / ATVI<br>KEEFE BRUYETTE AND WOODS INC / 60 80<br>OTHER CHARGES 10<br>SOLD 1,520 00 SHARES 12-09-08<br>AT A PRICE OF $10 7027 LESS<br>BROKER COMMISSION OF $60 80<br>AND OTHER CHARGES OF $0 10<br>KEEFE, BRUYETTE, & WOODS INC | - 1,520 000<br>10 702700 | 16,207 20 | 0 00 | - 11,224 69 | 4,982 51 | 0 00 | 4,982 51 |
| 12 Nov 08<br>17 Nov 08<br>Settled | ADOBE SYS INC COM<br>CUSIP 00724F101 / ADBE<br>UBS WARBURG LLC / 74 00<br>OTHER CHARGES 24<br>SOLD 1,850.00 SHARES 11-12-08<br>AT A PRICE OF $23 0933 LESS<br>BROKER COMMISSION OF $74 00<br>AND OTHER CHARGES OF $0 24<br>WARBURG DILLON READ LLC | - 1,850 000<br>23 093300 | 42,648 37 | 0 00 | - 58,504 33 | - 15,855 96 | 0 00 | - 15,855 96 |
| 4 Jun 09<br>9 Jun 09<br>Settled | ADOBE SYS INC COM<br>CUSIP 00724F101 / ADBE<br>DEUTSCHE BANK SECURITIES INC / 170 40<br>OTHER CHARGES 3 20<br>SOLD 4,260.00 SHARES 06-04-09<br>AT A PRICE OF $29 2524 LESS<br>BROKER COMMISSION OF $170 40<br>AND OTHER CHARGES OF $3 20<br>ALEX BROWN & SONS | - 4,260 000<br>29 252400 | 124,441 62 | 0 00 | - 122,957 38 | 1,484 24 | 0 00 | 1,484 24 |
| 19 Feb 09<br>24 Feb 09<br>Settled | ALLERGAN INC COM<br>CUSIP 018490102 / AGN<br>LIQUIDNET INC / 4.00<br>OTHER CHARGES 05<br>SOLD 200 00 SHARES 02-19-09 AT<br>A PRICE OF $40 7316 LESS<br>BROKER COMMISSION OF $4 00 AND<br>OTHER CHARGES OF $0 05<br>LIQUIDNET INC | - 200 000<br>40 731600 | 8,142 27 | 0 00 | - 11,403 83 | - 3,261 56 | 0 00 | - 3,261 56 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 20 Feb 09<br>25 Feb 09<br>Settled | ALLERGAN INC COM<br>CUSIP. 018490102 / AGN<br>LIQUIDNET INC / 12 40<br>OTHER CHARGES 15<br>SOLD 620 00 SHARES 02-20-09 AT<br>A PRICE OF $40 3707 LESS<br>BROKER COMMISSION OF $12 40<br>AND OTHER CHARGES OF $0 15<br>LIQUIDNET INC | - 620 000<br>40 370700 | 25,017 28 | 0 00 | - 35,351 88 | - 10,334 60 | 0 00 | - 10,334 60 |
| 7 Apr 09<br>13 Apr 09<br>Settled | AMPHENOL CORP NEW CL A<br>CUSIP 032095101 / APH<br>BERNSTEIN, SANFORD C & CO / 28 80<br>OTHER CHARGES 55<br>SOLD 720 00 SHARES 04-07-09 AT<br>A PRICE OF $29 4985 LESS<br>BROKER COMMISSION OF $28 80<br>AND OTHER CHARGES OF $0 55<br>BERNSTEIN, SANFORD C & CO INC | - 720 000<br>29 498500 | 21,209 57 | 0 00 | - 19,271 98 | 1,937 59 | 0 00 | 1,937 59 |
| 4 Jun 09<br>9 Jun 09<br>Settled | AMPHENOL CORP NEW CL A<br>CUSIP 032095101 / APH<br>LIQUIDNET INC / 58 00<br>OTHER CHARGES 2 52<br>SOLD 2,900 00 SHARES 06-04-09<br>AT A PRICE OF $33 7471 LESS<br>BROKER COMMISSION OF $58 00<br>AND OTHER CHARGES OF $2 52<br>LIQUIDNET INC | - 2,900 000<br>33 747100 | 97,806 07 | 0 00 | - 77,623 24 | 20,182 83 | 0 00 | 20,182 83 |
| 5 Jun 09<br>10 Jun 09<br>Settled | AMPHENOL CORP NEW CL A<br>CUSIP 032095101 / APH<br>LIQUIDNET INC / 30 60<br>OTHER CHARGES 1 32<br>SOLD 1,530 00 SHARES 06-05-09<br>AT A PRICE OF $33 4739 LESS<br>BROKER COMMISSION OF $30 60<br>AND OTHER CHARGES OF $1 32<br>LIQUIDNET INC | - 1,530 000<br>33 473900 | 51,183 15 | 0 00 | - 40,952 95 | 10,230 20 | 0 00 | 10,230 20 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 8 Oct 08<br>14 Oct 08<br>Settled | AVON PRODUCTS INC COM USD0 25<br>CUSIP 054303102 / AVP<br>STIFEL NICOLAUS AND COMPAN / 36 00<br>OTHER CHARGES 24<br>SOLD 1,200 00 SHARES 10-08-08<br>AT A PRICE OF $35 0825 LESS<br>BROKER COMMISSION OF $36 00<br>AND OTHER CHARGES OF $0 24<br>STIFEL, NICOLAUS & CO , INC | - 1,200 000<br>35 082500 | 42,062 76 | 0 00 | - 36,261 26 | 5,801 50 | 0 00 | 5,801 50 |
| 19 Mar 09<br>24 Mar 09<br>Settled | AVON PRODUCTS INC COM USD0 25<br>CUSIP 054303102 / AVP<br>CREDIT SUISSE FIRST BOSTON CORPORATION /480 00<br>OTHER CHARGES 1 67<br>SOLD 16,000 00 SHARES 03-19-09<br>AT A PRICE OF $18 5297 LESS<br>BROKER COMMISSION OF $480 00<br>AND OTHER CHARGES OF $1 67<br>FIRST BOSTON CORP | - 16,000 000<br>18 529700 | 295,993 53 | 0 00 | - 449,020 86 | - 153,027 33 | 0 00 | - 153,027 33 |
| 1 Apr 09<br>6 Apr 09<br>Settled | BED BATH BEYOND INC COM<br>CUSIP 075896100 / BBBY<br>BARCLAYS CAPITAL LE / 48 40<br>OTHER CHARGES 17<br>SOLD 1,210 00 SHARES 04-01-09<br>AT A PRICE OF $24 2012 LESS<br>BROKER COMMISSION OF $48 40<br>AND OTHER CHARGES OF $0 17<br>BARCLAYS CAPITAL LE | - 1,210 000<br>24 201200 | 29,234 88 | 0 00 | - 29,259 17 | - 24 29 | 0 00 | - 24 29 |
| 11 Feb 09<br>17 Feb 09<br>Settled | CARNIVAL CORP COM PAIRED<br>CUSIP 143658300 / CCL<br>FRIEDMAN BILLING AND RAMSEY / 405 00<br>OTHER CHARGES 1 64<br>SOLD 13,500 00 SHARES 02-11-09<br>AT A PRICE OF $21 679 LESS<br>BROKER COMMISSION OF $405 00<br>AND OTHER CHARGES OF $1 64<br>FRIEDMAN BILLING & RAMSEY | - 13,500 000<br>21 679000 | 292,259 86 | 0 00 | - 499,945 30 | - 207,685 44 | 0 00 | - 207,685 44 |

## Investment Transaction Detail



### Sales

#### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 18 Mar 09<br>23 Mar 09<br>Settled | CISCO SYSTEMS INC<br>CUSIP 17275R102 / CSCO<br>COWEN LLC / 251 60<br>OTHER CHARGES 58<br>SOLD 6,290 00 SHARES 03-18-09<br>AT A PRICE OF $16 3207 LESS<br>BROKER COMMISSION OF $251 60<br>AND OTHER CHARGES OF $0 58<br>COWEN LLC | - 6,290 000<br>16 320700 | 102,405 02 | 0 00 | - 179,182 00 | - 76,776 98 | 0 00 | - 76,776 98 |
| 26 Mar 09<br>31 Mar 09<br>Settled | CISCO SYSTEMS INC<br>CUSIP 17275R102 / CSCO<br>CREDIT SUISSE FIRST BOSTON CORPORATION /727 00<br>OTHER CHARGES 1 74<br>SOLD 18,175 00 SHARES 03-26-09<br>AT A PRICE OF $17 0355 LESS<br>BROKER COMMISSION OF $727 00<br>AND OTHER CHARGES OF $1 74<br>FIRST BOSTON CORP | - 18,175 000<br>17 035500 | 308,891 47 | 0 00 | - 517,747 66 | - 208,856 19 | 0 00 | - 208,856 19 |
| 21 Oct 08<br>24 Oct 08<br>Settled | CITRIX SYS INC COM<br>CUSIP 177376100 / CTXS<br>JONESTRADING INST SERV / 57 00<br>OTHER CHARGES 23<br>SOLD 1,900 00 SHARES 10-21-08<br>AT A PRICE OF $21 0425 LESS<br>BROKER COMMISSION OF $57 00<br>AND OTHER CHARGES OF $0 23<br>JONESTRADING INST SERV | - 1,900 000<br>21.042500 | 39,923 52 | 0 00 | - 72,490 72 | - 32,567 20 | 0 00 | - 32,567 20 |
| 21 Oct 08<br>24 Oct 08<br>Settled | CITRIX SYS INC COM<br>CUSIP 177376100 / CTXS<br>LIQUIDNET INC / 24 00<br>OTHER CHARGES 15<br>SOLD 1,200 00 SHARES 10-21-08<br>AT A PRICE OF $20 8366 LESS<br>BROKER COMMISSION OF $24 00<br>AND OTHER CHARGES OF $0 15<br>LIQUIDNET INC | - 1,200 000<br>20 836600 | 24,979 77 | 0 00 | - 45,783 61 | - 20,803 84 | 0 00 | - 20,803 84 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 23 Oct 08<br>28 Oct 08<br>Settled | CITRIX SYS INC COM<br>CUSIP 177376100 / CTXS<br>LIQUIDNET INC / 30 00<br>OTHER CHARGES 20<br>SOLD 1,500 00 SHARES 10-23-08<br>AT A PRICE OF $22 8047 LESS<br>BROKER COMMISSION OF $30 00<br>AND OTHER CHARGES OF $0 20<br>LIQUIDNET INC | - 1,500 000<br>22 804700 | 34,176 85 | 0 00 | - 57,229 51 | - 23,052 66 | 0 00 | - 23,052 66 |
| 18 Sep 08<br>23 Sep 08<br>Settled | CME GROUP INC COM STK<br>CUSIP 12572Q105 / CME<br>LIQUIDNET INC / 6 70<br>OTHER CHARGES 63<br>SOLD 335 00 SHARES 09-18-08 AT<br>A PRICE OF $331 3849 LESS<br>BROKER COMMISSION OF $6 70 AND<br>OTHER CHARGES OF $0 63<br>LIQUIDNET INC | - 335 000<br>331 384900 | 111,006 61 | 0 00 | - 223,416 16 | - 112,409 55 | 0 00 | - 112,409 55 |
| 14 Oct 08<br>17 Oct 08<br>Settled | COACH INC COM<br>CUSIP 189754104 / COH<br>HARRIS NESBITT CORP / 96 00<br>OTHER CHARGES 27<br>SOLD 2,400 00 SHARES 10-14-08<br>AT A PRICE OF $19 9138 LESS<br>BROKER COMMISSION OF $96 00<br>AND OTHER CHARGES OF $0 27<br>BURNS FRY INC | - 2,400 000<br>19 913800 | 47,696 85 | 0 00 | - 87,482 03 | - 39,785 18 | 0 00 | - 39,785 18 |
| 15 Oct 08<br>20 Oct 08<br>Settled | COACH INC COM<br>CUSIP· 189754104 / COH<br>HARRIS NESBITT CORP / 56 00<br>OTHER CHARGES 14<br>SOLD 1,400 00 SHARES 10-15-08<br>AT A PRICE OF $17 7303 LESS<br>BROKER COMMISSION OF $56 00<br>AND OTHER CHARGES OF $0 14<br>BURNS FRY INC | - 1,400 000<br>17 730300 | 24,766 28 | 0 00 | - 51,031 19 | - 26,264 91 | 0 00 | - 26,264 91 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 16 Oct 08<br>21 Oct 08<br>Settled | COACH INC COM<br>CUSIP 189754104 / COH<br>HARRIS NESBITT CORP / 31 40<br>OTHER CHARGES 08<br>SOLD 785 00 SHARES 10-16-08 AT<br>A PRICE OF $16 2067 LESS<br>BROKER COMMISSION OF $31 40<br>AND OTHER CHARGES OF $0 08<br>BURNS FRY INC | - 785 000<br><br>16 206700 | 12,690 78 | 0 00 | - 28,613 91 | - 15,923 13 | 0 00 | - 15,923 13 |
| 18 Feb 09<br>23 Feb 09<br>Settled | COGNIZANT TECHNOLOGY SOLUTIONS CORP CL<br>ACL A<br>CUSIP 192446102 / CTSH<br>LIQUIDNET INC / 82 80<br>OTHER CHARGES 47<br>SOLD 4,140 00 SHARES 02-18-09<br>AT A PRICE OF $19 8435 LESS<br>BROKER COMMISSION OF $82 80<br>AND OTHER CHARGES OF $0 47<br>LIQUIDNET INC | - 4,140 000<br><br>19 843500 | 82,068 82 | 0 00 | - 128,136 65 | - 46,067 83 | 0 00 | - 46,067 83 |
| 6 Oct 08<br>9 Oct 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>MERRIMAN CURHAN FORD & CO / 40 00<br>OTHER CHARGES 17<br>SOLD 1,000 00 SHARES 10-06-08<br>AT A PRICE OF $29 1914 LESS<br>BROKER COMMISSION OF $40 00<br>AND OTHER CHARGES OF $0 17<br>MERRIMAN CURHAN FORD & CO | - 1,000 000<br><br>29 191400 | 29,151 23 | 0 00 | - 20,025 15 | 9,126 08 | 0 00 | 9,126 08 |
| 7 Oct 08<br>10 Oct 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>MERRIMAN CURHAN FORD & CO / 16 00<br>OTHER CHARGES 07<br>SOLD 400 00 SHARES 10-07-08 AT<br>A PRICE OF $29 1475 LESS<br>BROKER COMMISSION OF $16 00<br>AND OTHER CHARGES OF $0 07<br>MERRIMAN CURHAN FORD & CO | - 400 000<br><br>29 147500 | 11,642 93 | 0 00 | - 8,010 06 | 3,632 87 | 0 00 | 3,632 87 |

# Investment Transaction Detail



## *Sales*

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Accrued Interest | Realized Gain/Loss Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 21 Oct 08<br>24 Oct 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>CREDIT SUISSE FIRST BOSTON CORPORATION /2 00<br>OTHER CHARGES 02<br>SOLD 100 00 SHARES 10-21-08 AT A PRICE OF $24 967 LESS BROKER COMMISSION OF $2 00 AND OTHER CHARGES OF $0 02 FIRST BOSTON CORP | - 100 000<br>24 967000 | 2,494 68 | 0 00 | - 2,002 52 | 492 16 | 0 00 | 492 16 |
| 22 Oct 08<br>27 Oct 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>UBS WARBURG LLC / 6 00<br>OTHER CHARGES 05<br>SOLD 300 00 SHARES 10-22-08 AT A PRICE OF $24 3132 LESS BROKER COMMISSION OF $6 00 AND OTHER CHARGES OF $0 05 WARBURG DILLON READ LLC | - 300 000<br>24 313200 | 7,287 91 | 0 00 | - 6,007 55 | 1,280 36 | 0 00 | 1,280 36 |
| 27 Oct 08<br>30 Oct 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>UBS WARBURG LLC / 2 00<br>OTHER CHARGES 02<br>SOLD 100 00 SHARES 10-27-08 AT A PRICE OF $21 5351 LESS BROKER COMMISSION OF $2 00 AND OTHER CHARGES OF $0 02 WARBURG DILLON READ LLC | - 100 000<br>21 535100 | 2,151 49 | 0 00 | - 2,002 52 | 148 97 | 0 00 | 148 97 |
| 27 Oct 08<br>30 Oct 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>KNIGHT SECURITIES L P / 9 00<br>OTHER CHARGES 04<br>SOLD 300 00 SHARES 10-27-08 AT A PRICE OF $20 875 LESS BROKER COMMISSION OF $9 00 AND OTHER CHARGES OF $0 04 KNIGHT SECURITIES L P | - 300 000<br>20 875000 | 6,253 46 | 0 00 | - 6,007 55 | 245 91 | 0 00 | 245 91 |

# Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|

## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Principal | Accrued Interest | Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 28 Oct 08<br>31 Oct 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>KNIGHT SECURITIES L P / 12 00<br>OTHER CHARGES 05<br>SOLD 400 00 SHARES 10-28-08 AT A PRICE OF $20 8214 LESS BROKER COMMISSION OF $12 00 AND OTHER CHARGES OF $0 05 KNIGHT SECURITIES L P | - 400 000<br>20 821400 | 8,316 51 | 0 00 | - 8,010 06 | 306 45 | 0 00 | 306 45 |
| 30 Oct 08<br>4 Nov 08<br>Settled | COINSTAR INC COM<br>CUSIP· 19259P300 / CSTR<br>KNIGHT SECURITIES L P / 6 00<br>OTHER CHARGES 03<br>SOLD 200 00 SHARES 10-30-08 AT A PRICE OF $21 4465 LESS BROKER COMMISSION OF $6 00 AND OTHER CHARGES OF $0 03 KNIGHT SECURITIES L P | - 200 000<br>21 446500 | 4,283 27 | 0 00 | - 4,005 03 | 278 24 | 0 00 | 278 24 |
| 31 Oct 08<br>5 Nov 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>KNIGHT SECURITIES L P / 30 00<br>OTHER CHARGES 14<br>SOLD 1,000 00 SHARES 10-31-08 AT A PRICE OF $23 9775 LESS BROKER COMMISSION OF $30 00 AND OTHER CHARGES OF $0 14 KNIGHT SECURITIES L P | - 1,000 000<br>23 977500 | 23,947 36 | 0 00 | - 20,025 15 | 3,922 21 | 0 00 | 3,922 21 |
| 3 Nov 08<br>6 Nov 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>KNIGHT SECURITIES L P / 3 00<br>OTHER CHARGES 02<br>SOLD 100 00 SHARES 11-03-08 AT A PRICE OF $23 7913 LESS BROKER COMMISSION OF $3 00 AND OTHER CHARGES OF $0 02 KNIGHT SECURITIES L P | - 100 000<br>23 791300 | 2,376 11 | 0 00 | - 2,002 52 | 373 59 | 0 00 | 373 59 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 4 Nov 08<br>7 Nov 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>KNIGHT SECURITIES L P / 12 00<br>OTHER CHARGES 06<br>SOLD 400 00 SHARES 11-04-08 AT<br>A PRICE OF $24 0936 LESS<br>BROKER COMMISSION OF $12 00<br>AND OTHER CHARGES OF $0 06<br>KNIGHT SECURITIES L P | - 400 000<br>24 093600 | 9,625 38 | 0 00 | - 8,010 06 | 1,615 32 | 0 00 | 1,615 32 |
| 11 Nov 08<br>14 Nov 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>KNIGHT SECURITIES L P / 3 00<br>OTHER CHARGES 02<br>SOLD 100 00 SHARES 11-11-08 AT<br>A PRICE OF $20 6132 LESS<br>BROKER COMMISSION OF $3 00 AND<br>OTHER CHARGES OF $0 02 KNIGHT<br>SECURITIES L P | - 100 000<br>20 613200 | 2,058 30 | 0 00 | - 2,002 51 | 55 79 | 0 00 | 55 79 |
| 12 Nov 08<br>17 Nov 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>KNIGHT SECURITIES L P / 24 00<br>OTHER CHARGES 10<br>SOLD 800 00 SHARES 11-12-08 AT<br>A PRICE OF $20 2198 LESS<br>BROKER COMMISSION OF $24 00<br>AND OTHER CHARGES OF $0 10<br>KNIGHT SECURITIES L P | - 800 000<br>20 219800 | 16,151 74 | 0 00 | - 16,020 12 | 131 62 | 0 00 | 131 62 |
| 13 Nov 08<br>18 Nov 08<br>Settled | COINSTAR INC COM<br>CUSIP 19259P300 / CSTR<br>KNIGHT SECURITIES L P / 16 35<br>OTHER CHARGES 07<br>SOLD 545 00 SHARES 11-13-08 AT<br>A PRICE OF $19 9657 LESS<br>BROKER COMMISSION OF $16 35<br>AND OTHER CHARGES OF $0 07<br>KNIGHT SECURITIES L P | - 545 000<br>19 965700 | 10,864 89 | 0 00 | - 10,913 71 | - 48 82 | 0 00 | - 48 82 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 19 Mar 09<br>24 Mar 09<br>Settled | CONAGRA FOODS INC<br>CUSIP 205887102 / CAG<br>CREDIT SUISSE FIRST BOSTON CORPORATION /645 00<br>OTHER CHARGES 1 77<br>SOLD 21,500 00 SHARES 03-19-09<br>AT A PRICE OF $14 6494 LESS<br>BROKER COMMISSION OF $645 00<br>AND OTHER CHARGES OF $1 77<br>FIRST BOSTON CORP | - 21,500 000<br>14 649400 | 314,315 33 | 0 00 | - 442,774 80 | - 128,459 47 | 0 00 | - 128,459 47 |
| 9 Jul 08<br>14 Jul 08<br>Settled | DANAHER CORP COM<br>CUSIP 235851102 / DHR<br>LEHMAN BROTHERS INC NEW YORK / 36 00<br>OTHER CHARGES 52<br>SOLD 1,200 00 SHARES 07-09-08<br>AT A PRICE OF $76 5078 LESS<br>BROKER COMMISSION OF $36 00<br>AND OTHER CHARGES OF $0 52<br>LEHMAN BROTHERS, INC | - 1,200 000<br>76 507800 | 91,772 84 | 0 00 | - 52,255 67 | 39,517 17 | 0 00 | 39,517 17 |
| 10 Jul 08<br>15 Jul 08<br>Settled | DANAHER CORP COM<br>CUSIP 235851102 / DHR<br>LEHMAN BROTHERS INC NEW YORK / 13 50<br>OTHER CHARGES 20<br>SOLD 450 00 SHARES 07-10-08 AT<br>A PRICE OF $75 8049 LESS<br>BROKER COMMISSION OF $13 50<br>AND OTHER CHARGES OF $0 20<br>LEHMAN BROTHERS, INC | - 450 000<br>75 804900 | 34,098 51 | 0 00 | - 19,595 88 | 14,502 63 | 0 00 | 14,502 63 |
| 2 Apr 09<br>7 Apr 09<br>Settled | DANAHER CORP COM<br>CUSIP 235851102 / DHR<br>LIQUIDNET INC / 30 00<br>OTHER CHARGES 46<br>SOLD 1,500 00 SHARES 04-02-09<br>AT A PRICE OF $53 5876 LESS<br>BROKER COMMISSION OF $30 00<br>AND OTHER CHARGES OF $0 46<br>LIQUIDNET INC | - 1,500 000<br>53 587600 | 80,350 94 | 0 00 | - 65,963 67 | 14,387 27 | 0 00 | 14,387 27 |

# ◆ Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|

## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Principal | Accrued Interest | Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 9 Jan 09<br>14 Jan 09<br>Settled | DEVRY INC DEL COM<br>CUSIP 251893103 / DV<br>CREDIT SUISSE FIRST BOSTON CORPORATION /19 20<br>OTHER CHARGES 16<br>SOLD 480 00 SHARES 01-09-09 AT<br>A PRICE OF $56 1092 LESS<br>BROKER COMMISSION OF $19 20<br>AND OTHER CHARGES OF $0 16<br>FIRST BOSTON CORP | - 480 000<br>56 109200 | 26,913 06 | 0 00 | - 21,308 22 | 5,604 84 | 0 00 | 5,604 84 |
| 26 Nov 08<br>2 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>BLOOMBERG TRADEBOOK LLC / 16 00<br>OTHER CHARGES. 08<br>SOLD 800 00 SHARES 11-26-08 AT<br>A PRICE OF $16 7635 LESS<br>BROKER COMMISSION OF $16 00<br>AND OTHER CHARGES OF $0 08<br>BLOOMBERG TRADEBOOK LLC | - 800 000<br>16 763500 | 13,394 72 | 0 00 | - 24,054 95 | - 10,660 23 | 0 00 | - 10,660 23 |
| 28 Nov 08<br>3 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>BLOOMBERG TRADEBOOK LLC / 4 00<br>OTHER CHARGES 02<br>SOLD 200 00 SHARES 11-28-08 AT<br>A PRICE OF $16 7451 LESS<br>BROKER COMMISSION OF $4 00 AND<br>OTHER CHARGES OF $0 02<br>BLOOMBERG TRADEBOOK LLC | - 200 000<br>16 745100 | 3,345 00 | 0 00 | - 6,013 74 | - 2,668 74 | 0 00 | - 2,668 74 |
| 5 Dec 08<br>10 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>KNIGHT SECURITIES L P / 12 00<br>OTHER CHARGES 04<br>SOLD 400 00 SHARES 12-05-08 AT<br>A PRICE OF $16 8508 LESS<br>BROKER COMMISSION OF $12 00<br>AND OTHER CHARGES OF $0 04<br>KNIGHT SECURITIES L P | - 400 000<br>16 850800 | 6,728 28 | 0 00 | - 12,027 47 | - 5,299 19 | 0 00 | - 5,299 19 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 8 Dec 08<br>11 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>KNIGHT SECURITIES L P / 16 80<br>OTHER CHARGES 06<br>SOLD 560 00 SHARES 12-08-08 AT A PRICE OF $17 5668 LESS BROKER COMMISSION OF $16 80 AND OTHER CHARGES OF $0 06 KNIGHT SECURITIES L P | - 560 000<br>17 566800 | 9,820 55 | 0 00 | - 16,838 47 | - 7,017 92 | 0 00 | - 7,017 92 |
| 9 Dec 08<br>12 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>KNIGHT SECURITIES L P / 15 00<br>OTHER CHARGES 05<br>SOLD 500 00 SHARES 12-09-08 AT A PRICE OF $17 8497 LESS BROKER COMMISSION OF $15 00 AND OTHER CHARGES OF $0 05 KNIGHT SECURITIES L P | - 500 000<br>17 849700 | 8,909 80 | 0 00 | - 15,034 34 | - 6,124 54 | 0 00 | - 6,124 54 |
| 10 Dec 08<br>15 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>KNIGHT SECURITIES L P / 7 20<br>OTHER CHARGES 03<br>SOLD 240 00 SHARES 12-10-08 AT A PRICE OF $18 1141 LESS BROKER COMMISSION OF $7 20 AND OTHER CHARGES OF $0 03 KNIGHT SECURITIES L P | - 240 000<br>18 114100 | 4,340 15 | 0 00 | - 7,216 49 | - 2,876 34 | 0 00 | - 2,876 34 |
| 17 Dec 08<br>22 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>LIQUIDNET INC / 19 40<br>OTHER CHARGES 10<br>SOLD 970 00 SHARES 12-17-08 AT A PRICE OF $18 1928 LESS BROKER COMMISSION OF $19 40 AND OTHER CHARGES OF $0 10 LIQUIDNET INC | - 970 000<br>18 192800 | 17,627 52 | 0 00 | - 29,166 63 | - 11,539 11 | 0 00 | - 11,539 11 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 18 Dec 08<br>23 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>AVONDALE PARTNERS / 12 00<br>OTHER CHARGES 04<br>SOLD 300 00 SHARES 12-18-08 AT A PRICE OF $18 5398 LESS BROKER COMMISSION OF $12 00 AND OTHER CHARGES OF $0 04 AVONDALE PARTNERS | - 300 000<br>18 539800 | 5,549 90 | 0 00 | - 9,020 61 | - 3,470 71 | 0 00 | - 3,470 71 |
| 19 Dec 08<br>24 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>AVONDALE PARTNERS / 28 00<br>OTHER CHARGES 08<br>SOLD 700 00 SHARES 12-19-08 AT A PRICE OF $18 2756 LESS BROKER COMMISSION OF $28 00 AND OTHER CHARGES OF $0 08 AVONDALE PARTNERS | - 700 000<br>18 275600 | 12,764 84 | 0 00 | - 21,048 08 | - 8,283 24 | 0 00 | - 8,283 24 |
| 22 Dec 08<br>26 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>AVONDALE PARTNERS / 7 60<br>OTHER CHARGES 02<br>SOLD 190 00 SHARES 12-22-08 AT A PRICE OF $17 7986 LESS BROKER COMMISSION OF $7 60 AND OTHER CHARGES OF $0 02 AVONDALE PARTNERS | - 190 000<br>17 798600 | 3,374 11 | 0 00 | - 5,713 05 | - 2,338 94 | 0 00 | - 2,338 94 |
| 23 Dec 08<br>29 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>AVONDALE PARTNERS / 12 00<br>OTHER CHARGES 03<br>SOLD 300 00 SHARES 12-23-08 AT A PRICE OF $17 1473 LESS BROKER COMMISSION OF $12 00 AND OTHER CHARGES OF $0 03 AVONDALE PARTNERS | - 300 000<br>17 147300 | 5,132 16 | 0 00 | - 9,020 60 | - 3,888 44 | 0 00 | - 3,888 44 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 24 Dec 08<br>30 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>LIQUIDNET INC / 2 00<br>OTHER CHARGES· 01<br>SOLD 100 00 SHARES 12-24-08 AT<br>A PRICE OF $16 9853 LESS<br>BROKER COMMISSION OF $2 00 AND<br>OTHER CHARGES OF $0 01<br>LIQUIDNET INC | - 100 000<br>16 985300 | 1,696 52 | 0 00 | - 3,006 87 | - 1,310 35 | 0 00 | - 1,310 35 |
| 26 Dec 08<br>31 Dec 08<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>LIQUIDNET INC / 6 00<br>OTHER CHARGES 03<br>SOLD 300 00 SHARES 12-26-08 AT<br>A PRICE OF $17 1388 LESS<br>BROKER COMMISSION OF $6 00 AND<br>OTHER CHARGES OF $0 03<br>LIQUIDNET INC | - 300 000<br>17 138800 | 5,135 61 | 0 00 | - 9,020 60 | - 3,884 99 | 0 00 | - 3,884 99 |
| 29 Dec 08<br>2 Jan 09<br>Settled | DTS INC COM<br>CUSIP 23335C101 / DTSI<br>LIQUIDNET INC / 2 80<br>OTHER CHARGES 02<br>SOLD 140 00 SHARES 12-29-08 AT<br>A PRICE OF $16 8097 LESS<br>BROKER COMMISSION OF $2 80 AND<br>OTHER CHARGES OF $0 02<br>LIQUIDNET INC | - 140 000<br>16 809700 | 2,350 54 | 0 00 | - 4,209 62 | - 1,859 08 | 0 00 | - 1,859 08 |
| 31 Jul 08<br>5 Aug 08<br>Settled | EURONET WORLDWIDE INC COM<br>CUSIP 298736109 / EEFT<br>LIQUIDNET INC / 40 00<br>OTHER CHARGES 19<br>SOLD 2,000 00 SHARES 07-31-08<br>AT A PRICE OF $16 1565 LESS<br>BROKER COMMISSION OF $40 00<br>AND OTHER CHARGES OF $0 19<br>LIQUIDNET INC | - 2,000 000<br>16 156500 | 32,272 81 | 0 00 | - 45,211 68 | - 12,938 87 | 0 00 | - 12,938 87 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Accrued Interest | Realized Gain/Loss Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 1 Aug 08<br>6 Aug 08<br>Settled | EURONET WORLDWIDE INC COM<br>CUSIP 298736109 / EEFT<br>LIQUIDNET INC / 36 00<br>OTHER CHARGES 17<br>SOLD 1,800 00 SHARES 08-01-08<br>AT A PRICE OF $16 2197 LESS<br>BROKER COMMISSION OF $36 00<br>AND OTHER CHARGES OF $0 17<br>LIQUIDNET INC | - 1,800 000<br>16 219700 | 29,159 29 | 0 00 | - 40,690 52 | - 11,531 23 | 0 00 | - 11,531 23 |
| 4 Aug 08<br>7 Aug 08<br>Settled | EURONET WORLDWIDE INC COM<br>CUSIP 298736109 / EEFT<br>LEHMAN BROTHERS INC NEW YORK / 24 00<br>OTHER CHARGES 08<br>SOLD 800 00 SHARES 08-04-08 AT<br>A PRICE OF $16 0047 LESS<br>BROKER COMMISSION OF $24 00<br>AND OTHER CHARGES OF $0 08<br>LEHMAN BROTHERS, INC | - 800 000<br>16 004700 | 12,779 68 | 0 00 | - 18,084 67 | - 5,304 99 | 0 00 | - 5,304 99 |
| 4 Aug 08<br>7 Aug 08<br>Settled | EURONET WORLDWIDE INC COM<br>CUSIP 298736109 / EEFT<br>CREDIT SUISSE FIRST BOSTON CORPORATION<br>/12 00<br>OTHER CHARGES 06<br>SOLD 600 00 SHARES 08-04-08 AT<br>A PRICE OF $15 9922 LESS<br>BROKER COMMISSION OF $12 00<br>AND OTHER CHARGES OF $0 06<br>FIRST BOSTON CORP | - 600 000<br>15 992200 | 9,583 26 | 0 00 | - 13,563 51 | - 3,980 25 | 0 00 | - 3,980 25 |
| 4 Aug 08<br>7 Aug 08<br>Settled | EURONET WORLDWIDE INC COM<br>CUSIP 298736109 / EEFT<br>LIQUIDNET INC / 16 00<br>OTHER CHARGES 08<br>SOLD 800 00 SHARES 08-04-08 AT<br>A PRICE OF $16 0737 LESS<br>BROKER COMMISSION OF $16 00<br>AND OTHER CHARGES OF $0 08<br>LIQUIDNET INC | - 800 000<br>16 073700 | 12,842 88 | 0 00 | - 18,084 67 | - 5,241 79 | 0 00 | - 5,241 79 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 5 Aug 08<br>8 Aug 08<br>Settled | EURONET WORLDWIDE INC COM<br>CUSIP 298736109 / EEFT<br>CREDIT SUISSE FIRST BOSTON CORPORATION /32 00<br>OTHER CHARGES 15<br>SOLD 1,600 00 SHARES 08-05-08 AT A PRICE OF $16 0797 LESS BROKER COMMISSION OF $32 00 AND OTHER CHARGES OF $0 15 FIRST BOSTON CORP | - 1,600 000<br>16.079700 | 25,695 37 | 0 00 | - 36,169 35 | - 10,473 98 | 0 00 | - 10,473 98 |
| 5 Aug 08<br>8 Aug 08<br>Settled | EURONET WORLDWIDE INC COM<br>CUSIP 298736109 / EEFT<br>LIQUIDNET INC / 12 00<br>OTHER CHARGES 06<br>SOLD 600 00 SHARES 08-05-08 AT A PRICE OF $15 9904 LESS BROKER COMMISSION OF $12 00 AND OTHER CHARGES OF $0 06 LIQUIDNET INC | - 600 000<br>15 990400 | 9,582 18 | 0 00 | - 13,563 50 | - 3,981 32 | 0 00 | - 3,981 32 |
| 6 Aug 08<br>11 Aug 08<br>Settled | EURONET WORLDWIDE INC COM<br>CUSIP 298736109 / EEFT<br>CREDIT SUISSE FIRST BOSTON CORPORATION /24 00<br>OTHER CHARGES 11<br>SOLD 1,200 00 SHARES 08-06-08 AT A PRICE OF $15 9765 LESS BROKER COMMISSION OF $24 00 AND OTHER CHARGES OF $0 11 FIRST BOSTON CORP | - 1,200 000<br>15 976500 | 19,147 69 | 0 00 | - 27,127 01 | - 7,979 32 | 0 00 | - 7,979 32 |
| 7 Aug 08<br>12 Aug 08<br>Settled | EURONET WORLDWIDE INC COM<br>CUSIP 298736109 / EEFT<br>SUNTRUST ROBINSON HUMPHREY / 18 20<br>OTHER CHARGES 05<br>SOLD 455 00 SHARES 08-07-08 AT A PRICE OF $15 732 LESS BROKER COMMISSION OF $18 20 AND OTHER CHARGES OF $0 05 SUNTRUST ROBINSON HUMPHREY | - 455 000<br>15 732000 | 7,139 81 | 0 00 | - 10,285 66 | - 3,145 85 | 0 00 | - 3,145 85 |

# ◆ Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 18 Sep 08<br>23 Sep 08<br>Settled | FASTENAL CO COM<br>CUSIP 311900104 / FAST<br>LIQUIDNET INC / 22 20<br>OTHER CHARGES 34<br>SOLD 1,110 00 SHARES 09-18-08<br>AT A PRICE OF $53 5801 LESS<br>BROKER COMMISSION OF $22 20<br>AND OTHER CHARGES OF $0 34<br>LIQUIDNET INC | - 1,110 000<br>53 580100 | 59,451 37 | 0 00 | - 41,633 07 | 17,818 30 | 0 00 | 17,818 30 |
| 1 May 09<br>6 May 09<br>Settled | FLIR SYS INC COM<br>CUSIP 302445101 / FLIR<br>SIDOTI & COMPANY LLC / 77 60<br>OTHER CHARGES. 1 25<br>SOLD 1,940 00 SHARES 05-01-09<br>AT A PRICE OF $25 0557 LESS<br>BROKER COMMISSION OF $77 60<br>AND OTHER CHARGES OF $1 25<br>SIDOTI AND COMPANY LLC | - 1,940 000<br>25 055700 | 48,529 21 | 0 00 | - 37,087 59 | 11,441 62 | 0 00 | 11,441 62 |
| 31 Oct 08<br>5 Nov 08<br>Settled | FOOT LOCKER INC COM<br>CUSIP 344849104 / FL<br>ALLEN AND COMPANY LLC / 375 00<br>OTHER CHARGES 98<br>SOLD 12,500 00 SHARES 10-31-08<br>AT A PRICE OF $13 9534 LESS<br>BROKER COMMISSION OF $375 00<br>AND OTHER CHARGES OF $0 98<br>ALLEN AND COMPANY LLC | - 12,500 000<br>13 953400 | 174,041 52 | 0 00 | - 223,857 77 | - 49,816 25 | 0 00 | - 49,816 25 |
| 23 Apr 09<br>28 Apr 09<br>Settled | FORTUNE BRANDS INC COM STK<br>CUSIP 349631101 / FO<br>ALLEN AND COMPANY LLC / 90 00<br>OTHER CHARGES 2 69<br>SOLD 3,000 00 SHARES 04-23-09<br>AT A PRICE OF $34 8808 LESS<br>BROKER COMMISSION OF $90 00<br>AND OTHER CHARGES OF $2 69<br>ALLEN AND COMPANY LLC | - 3,000 000<br>34 880800 | 104,549 71 | 0 00 | - 80,844 30 | 23,705 41 | 0 00 | 23,705 41 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 29 Jun 09<br>2 Jul 09<br>Pending | FORTUNE BRANDS INC COM STK<br>CUSIP 349631101 / FO<br>ALLEN AND COMPANY LLC / 30 00<br>OTHER CHARGES 94<br>SOLD 1,000 00 SHARES 06-29-09<br>AT A PRICE OF $36 34 LESS<br>BROKER COMMISSION OF $30 00<br>AND OTHER CHARGES OF $0 94<br>ALLEN AND COMPANY LLC | - 1,000 000<br>36 340000 | 36,309 06 | 0 00 | - 26,948 10 | 9,360 96 | 0 00 | 9,360 96 |
| 15 Jul 08<br>18 Jul 08<br>Settled | GILEAD SCIENCES INC<br>CUSIP 375558103 / GILD<br>J P MORGAN SECURITIES INC / 69 20<br>OTHER CHARGES 54<br>SOLD 1,730 00 SHARES 07-15-08<br>AT A PRICE OF $55 4633 LESS<br>BROKER COMMISSION OF $69 20<br>AND OTHER CHARGES OF $0 54<br>J P MORGAN SEC (STKS & BONDS) | - 1,730 000<br>55 463300 | 95,881 77 | 0 00 | - 56,703 94 | 39,177 83 | 0 00 | 39,177 83 |
| 18 Sep 08<br>23 Sep 08<br>Settled | HEALTHWAYS INC COM STK<br>CUSIP 422245100 / HWAY<br>LIQUIDNET INC / 38 00<br>OTHER CHARGES 19<br>SOLD 1,900 00 SHARES 09-18-08<br>AT A PRICE OF $17 2954 LESS<br>BROKER COMMISSION OF $38 00<br>AND OTHER CHARGES OF $0 19<br>LIQUIDNET INC | - 1,900 000<br>17 295400 | 32,823 07 | 0 00 | - 82,421 24 | - 49,598 17 | 0 00 | - 49,598 17 |
| 18 Sep 08<br>23 Sep 08<br>Settled | HEALTHWAYS INC COM STK<br>CUSIP 422245100 / HWAY<br>UBS WARBURG LLC / 26 00<br>OTHER CHARGES 13<br>SOLD 1,300 00 SHARES 09-18-08<br>AT A PRICE OF $17 5565 LESS<br>BROKER COMMISSION OF $26 00<br>AND OTHER CHARGES OF $0 13<br>WARBURG DILLON READ LLC | - 1,300 000<br>17 556500 | 22,797 32 | 0 00 | - 56,393 48 | - 33,596 16 | 0 00 | - 33,596 16 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Accrued Interest | Realized Gain/Loss Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 19 Sep 08<br>24 Sep 08<br>Settled | HEALTHWAYS INC COM STK<br>CUSIP 422245100 / HWAY<br>LIQUIDNET INC / 14 00<br>OTHER CHARGES 07<br>SOLD 700 00 SHARES 09-19-08 AT<br>A PRICE OF $17 0333 LESS<br>BROKER COMMISSION OF $14 00<br>AND OTHER CHARGES OF $0 07<br>LIQUIDNET INC | - 700 000<br>17 033300 | 11,909 24 | 0 00 | - 30,365 72 | - 18,456 48 | 0 00 | - 18,456 48 |
| 19 Sep 08<br>24 Sep 08<br>Settled | HEALTHWAYS INC COM STK<br>CUSIP 422245100 / HWAY<br>UBS WARBURG LLC / 30 00<br>OTHER CHARGES 15<br>SOLD 1,500 00 SHARES 09-19-08<br>AT A PRICE OF $17 025 LESS<br>BROKER COMMISSION OF $30 00<br>AND OTHER CHARGES OF $0 15<br>WARBURG DILLON READ LLC | - 1,500 000<br>17 025000 | 25,507 35 | 0 00 | - 65,069 40 | - 39,562 05 | 0 00 | - 39,562 05 |
| 22 Sep 08<br>25 Sep 08<br>Settled | HEALTHWAYS INC COM STK<br>CUSIP 422245100 / HWAY<br>BLOOMBERG TRADEBOOK LLC / 7 40<br>OTHER CHARGES 04<br>SOLD 370 00 SHARES 09-22-08 AT<br>A PRICE OF $17 1305 LESS<br>BROKER COMMISSION OF $7 40 AND<br>OTHER CHARGES OF $0 04<br>BLOOMBERG TRADEBOOK LLC | - 370 000<br>17 130500 | 6,330 85 | 0 00 | - 16,050 45 | - 9,719 60 | 0 00 | - 9,719 60 |
| 31 Jul 08<br>5 Aug 08<br>Settled | HOLOGIC INC COM<br>CUSIP 436440101 / HOLX<br>MERRILL LYNCH PIERCE FENNER & SMITH /<br>256 00<br>OTHER CHARGES 68<br>SOLD 6,400 00 SHARES 07-31-08<br>AT A PRICE OF $18 8214 LESS<br>BROKER COMMISSION OF $256 00<br>AND OTHER CHARGES OF $0 68<br>MERRILL LYNCH, PIERCE, FENNER | - 6,400 000<br>18 821400 | 120,200 28 | 0 00 | - 183,873 46 | - 63,673 18 | 0 00 | - 63,673 18 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 6 Aug 08<br>11 Aug 08<br>Settled | HOLOGIC INC COM<br>CUSIP 436440101 / HOLX<br>LEERINK SWANN & CO /IPO / 40 00<br>OTHER CHARGES 11<br>SOLD 1,000 00 SHARES 08-06-08<br>AT A PRICE OF $19 0547 LESS<br>BROKER COMMISSION OF $40 00<br>AND OTHER CHARGES OF $0 11<br>LEERINK SWANN & CO/IPO | - 1,000 000<br>19 054700 | 19,014 59 | 0 00 | - 28,730 23 | - 9,715 64 | 0 00 | - 9,715 64 |
| 7 Aug 08<br>12 Aug 08<br>Settled | HOLOGIC INC COM<br>CUSIP 436440101 / HOLX<br>LEERINK SWANN & CO /IPO / 56 00<br>OTHER CHARGES 16<br>SOLD 1,400 00 SHARES 08-07-08<br>AT A PRICE OF $20 0594 LESS<br>BROKER COMMISSION OF $56 00<br>AND OTHER CHARGES OF $0 16<br>LEERINK SWANN & CO/IPO | - 1,400 000<br>20 059400 | 28,027 00 | 0 00 | - 40,222 32 | - 12,195 32 | 0 00 | - 12,195 32 |
| 8 Aug 08<br>13 Aug 08<br>Settled | HOLOGIC INC COM<br>CUSIP 436440101 / HOLX<br>LEERINK SWANN & CO /IPO / 48 00<br>OTHER CHARGES 14<br>SOLD 1,200 00 SHARES 08-08-08<br>AT A PRICE OF $20 5783 LESS<br>BROKER COMMISSION OF $48 00<br>AND OTHER CHARGES OF $0 14<br>LEERINK SWANN & CO/IPO | - 1,200 000<br>20 578300 | 24,645 82 | 0 00 | - 34,476 27 | - 9,830 45 | 0 00 | - 9,830 45 |
| 11 Aug 08<br>14 Aug 08<br>Settled | HOLOGIC INC COM<br>CUSIP 436440101 / HOLX<br>LEERINK SWANN & CO /IPO / 10 80<br>OTHER CHARGES 04<br>SOLD 270 00 SHARES 08-11-08 AT<br>A PRICE OF $20 763 LESS BROKER<br>COMMISSION OF $10 80 AND OTHER<br>CHARGES OF $0 04 LEERINK SWANN<br>& CO/IPO | - 270 000<br>20 763000 | 5,595 17 | 0 00 | - 7,757 16 | - 2,161 99 | 0 00 | - 2,161 99 |

# Investment Transaction Detail



| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Transaction Amount<br>Principal | Transaction Amount<br>Accrued Interest | Realized Gain/Loss<br>Cost | Realized Gain/Loss<br>Market | Realized Gain/Loss<br>Translation | Realized Gain/Loss<br>Total |
|---|---|---|---|---|---|---|---|---|
| ***Sales*** | | | | | | | | |
| **Equities** | | | | | | | | |
| 1 Jul 08<br>7 Jul 08<br>Settled | HONEYWELL INTL INC COM STK<br>CUSIP· 438516106 / HON<br>GOLDMAN SACHS & COMPANY / 270 00<br>OTHER CHARGES 2 57<br>SOLD 9,000 00 SHARES 07-01-08<br>AT A PRICE OF $50 8711 LESS<br>BROKER COMMISSION OF $270 00<br>AND OTHER CHARGES OF $2 57<br>GOLDMAN, SACHS & COMPANY | - 9,000 000<br>50 871100 | 457,567 33 | 0 00 | - 175,158 00 | 282,409 33 | 0 00 | 282,409 33 |
| 8 Oct 08<br>14 Oct 08<br>Settled | IDEARC INC COM STK<br>CUSIP 451663108 / IDARQ<br>INSTINET / 500 00<br>OTHER CHARGES 78<br>SOLD 200,000 00 SHARES<br>10-08-08 AT A PRICE OF $ 6957<br>LESS BROKER COMMISSION OF<br>$500 00 AND OTHER CHARGES OF<br>$0 78 INSTINET | - 200,000 000<br>0 695700 | 138,639 22 | 0 00 | - 1,287,188 90 | - 1,148,549 68 | 0 00 | - 1,148,549 68 |
| 7 Jan 09<br>12 Jan 09<br>Settled | IDEXX LABS INC<br>CUSIP 45168D104 / IDXX<br>SOLEIL SECURITIES CORP / 44 00<br>OTHER CHARGES 20<br>SOLD 1,100 00 SHARES 01-07-09<br>AT A PRICE OF $32.113 LESS<br>BROKER COMMISSION OF $44 00<br>AND OTHER CHARGES OF $0 20<br>SOLEIL SECURITIES CORP | - 1,100 000<br>32 113000 | 35,280 10 | 0 00 | - 54,449 28 | - 19,169 18 | 0 00 | - 19,169 18 |
| 8 Jan 09<br>13 Jan 09<br>Settled | IDEXX LABS INC<br>CUSIP 45168D104 / IDXX<br>SOLEIL SECURITIES CORP / 12 40<br>OTHER CHARGES 06<br>SOLD 310 00 SHARES 01-08-09 AT<br>A PRICE OF $31 6638 LESS<br>BROKER COMMISSION OF $12 40<br>AND OTHER CHARGES OF $0 06<br>SOLEIL SECURITIES CORP | - 310 000<br>31 663800 | 9,803 32 | 0 00 | - 15,344 80 | - 5,541 48 | 0 00 | - 5,541 48 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 29 Dec 08<br>2 Jan 09<br>Settled | IHS INC COM CL A COM CL A<br>CUSIP 451734107 / IHS<br>LIQUIDNET INC / 9 60<br>OTHER CHARGES 10<br>SOLD 480 00 SHARES 12-29-08 AT<br>A PRICE OF $36 0637 LESS<br>BROKER COMMISSION OF $9 60 AND<br>OTHER CHARGES OF $0 10<br>LIQUIDNET INC | - 480 000<br>36 063700 | 17,300 88 | 0 00 | - 23,888 08 | - 6,587 20 | 0 00 | - 6,587 20 |
| 7 Jan 09<br>12 Jan 09<br>Settled | IHS INC COM CL A COM CL A<br>CUSIP 451734107 / IHS<br>MERRILL LYNCH PIERCE FENNER & SMITH /<br>28 00<br>OTHER CHARGES 17<br>SOLD 700 00 SHARES 01-07-09 AT<br>A PRICE OF $41 1302 LESS<br>BROKER COMMISSION OF $28 00<br>AND OTHER CHARGES OF $0.17<br>MERRILL LYNCH, PIERCE, FENNER | - 700 000<br>41 130200 | 28,762 97 | 0 00 | - 34,836 78 | - 6,073 81 | 0 00 | - 6,073 81 |
| 8 Jan 09<br>13 Jan 09<br>Settled | IHS INC COM CL A COM CL A<br>CUSIP 451734107 / IHS<br>MERRILL LYNCH PIERCE FENNER & SMITH /<br>6 00<br>OTHER CHARGES 04<br>SOLD 150 00 SHARES 01-08-09 AT<br>A PRICE OF $39 4412 LESS<br>BROKER COMMISSION OF $6 00 AND<br>OTHER CHARGES OF $0 04 MERRILL<br>LYNCH, PIERCE, FENNER | - 150 000<br>39 441200 | 5,910 14 | 0 00 | - 7,465 02 | - 1,554 88 | 0 00 | - 1,554 88 |
| 19 Jun 09<br>24 Jun 09<br>Settled | IHS INC COM CL A COM CL A<br>CUSIP 451734107 / IHS<br>LIQUIDNET INC / 21 60<br>OTHER CHARGES 1 31<br>SOLD 1,080 00 SHARES 06-19-09<br>AT A PRICE OF $47 0307 LESS<br>BROKER COMMISSION OF $21 60<br>AND OTHER CHARGES OF $1 31<br>LIQUIDNET INC | - 1,080 000<br>47 030700 | 50,770 25 | 0 00 | - 52,497 39 | - 1,727 14 | 0 00 | - 1,727 14 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 9 Dec 08<br>12 Dec 08<br>Settled | INNERWORKINGS INC COM<br>CUSIP 45773Y105 / INWK<br>LIQUIDNET INC / 18 00<br>OTHER CHARGES 04<br>SOLD 900 00 SHARES 12-09-08 AT A PRICE OF $6 2452 LESS BROKER COMMISSION OF $18 00 AND OTHER CHARGES OF $0 04 LIQUIDNET INC | - 900 000<br>6 245200 | 5,602 64 | 0 00 | - 11,130 22 | - 5,527 58 | 0 00 | - 5,527 58 |
| 10 Dec 08<br>15 Dec 08<br>Settled | INNERWORKINGS INC COM<br>CUSIP 45773Y105 / INWK<br>LIQUIDNET INC / 16 00<br>OTHER CHARGES 03<br>SOLD 800 00 SHARES 12-10-08 AT A PRICE OF $6 0742 LESS BROKER COMMISSION OF $16 00 AND OTHER CHARGES OF $0 03 LIQUIDNET INC | - 800 000<br>6 074200 | 4,843 33 | 0 00 | - 9,893 53 | - 5,050 20 | 0 00 | - 5,050 20 |
| 11 Dec 08<br>16 Dec 08<br>Settled | INNERWORKINGS INC COM<br>CUSIP 45773Y105 / INWK<br>LIQUIDNET INC / 19 00<br>OTHER CHARGES 04<br>SOLD 950 00 SHARES 12-11-08 AT A PRICE OF $5 9425 LESS BROKER COMMISSION OF $19 00 AND OTHER CHARGES OF $0 04 LIQUIDNET INC | - 950 000<br>5 942500 | 5,626 34 | 0 00 | - 11,748 57 | - 6,122 23 | 0 00 | - 6,122 23 |
| 16 Jul 08<br>21 Jul 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>LIQUIDNET INC / 8 00<br>OTHER CHARGES 11<br>SOLD 400 00 SHARES 07-16-08 AT A PRICE OF $48 2494 LESS BROKER COMMISSION OF $8 00 AND OTHER CHARGES OF $0 11 LIQUIDNET INC | - 400 000<br>48 249400 | 19,291 65 | 0 00 | - 10,521 60 | 8,770 05 | 0 00 | 8,770 05 |
| 17 Jul 08<br>22 Jul 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>LIQUIDNET INC / 4 00<br>OTHER CHARGES 06<br>SOLD 200 00 SHARES 07-17-08 AT A PRICE OF $47 8014 LESS BROKER COMMISSION OF $4 00 AND OTHER CHARGES OF $0 06 LIQUIDNET INC | - 200 000<br>47 801400 | 9,556 22 | 0 00 | - 5,260 80 | 4,295 42 | 0 00 | 4,295 42 |

# Investment Transaction Detail



| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Transaction Amount<br>Principal | Accrued Interest | Realized Gain/Loss<br>Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|

## Sales

### Equities

| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Principal | Accrued Interest | Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 18 Jul 08<br>23 Jul 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>CREDIT SUISSE FIRST BOSTON CORPORATION /4 00<br>OTHER CHARGES 06<br>SOLD 200 00 SHARES 07-18-08 AT A PRICE OF $47 5537 LESS BROKER COMMISSION OF $4 00 AND OTHER CHARGES OF $0 06 FIRST BOSTON CORP | - 200 000<br>47 553700 | 9,506 68 | 0 00 | - 5,260 80 | 4,245 88 | 0 00 | 4,245 88 |
| 22 Jul 08<br>25 Jul 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>CREDIT SUISSE FIRST BOSTON CORPORATION /8 00<br>OTHER CHARGES 11<br>SOLD 400 00 SHARES 07-22-08 AT A PRICE OF $48 0947 LESS BROKER COMMISSION OF $8 00 AND OTHER CHARGES OF $0 11 FIRST BOSTON CORP | - 400 000<br>48 094700 | 19,229 77 | 0 00 | - 10,521 60 | 8,708 17 | 0 00 | 8,708 17 |
| 5 Aug 08<br>8 Aug 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>CREDIT SUISSE FIRST BOSTON CORPORATION /4 00<br>OTHER CHARGES 06<br>SOLD 200 00 SHARES 08-05-08 AT A PRICE OF $47 3457 LESS BROKER COMMISSION OF $4 00 AND OTHER CHARGES OF $0 06 FIRST BOSTON CORP | - 200 000<br>47.345700 | 9,465 08 | 0 00 | - 5,260 80 | 4,204 28 | 0 00 | 4,204 28 |
| 6 Aug 08<br>11 Aug 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>LEHMAN BROTHERS INC NEW YORK / 9 00<br>OTHER CHARGES 09<br>SOLD 300 00 SHARES 08-06-08 AT A PRICE OF $47 6407 LESS BROKER COMMISSION OF $9 00 AND OTHER CHARGES OF $0 09 LEHMAN BROTHERS, INC | - 300 000<br>47 640700 | 14,283 12 | 0 00 | - 7,891 20 | 6,391 92 | 0 00 | 6,391 92 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 8 Aug 08<br>13 Aug 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>UBS WARBURG LLC / 8 00<br>OTHER CHARGES 11<br>SOLD 400 00 SHARES 08-08-08 AT<br>A PRICE OF $47 93 LESS BROKER<br>COMMISSION OF $8 00 AND OTHER<br>CHARGES OF $0 11 WARBURG<br>DILLON READ LLC | - 400 000<br>47 930000 | 19,163 89 | 0 00 | - 10,521 61 | 8,642 28 | 0 00 | 8,642 28 |
| 8 Aug 08<br>13 Aug 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>MERRILL LYNCH PIERCE FENNER & SMITH /<br>8 00<br>OTHER CHARGES 11<br>SOLD 400 00 SHARES 08-08-08 AT<br>A PRICE OF $48 02 LESS BROKER<br>COMMISSION OF $8 00 AND OTHER<br>CHARGES OF $0 11 MERRILL<br>LYNCH, PIERCE, FENNER | - 400 000<br>48 020000 | 19,199 89 | 0 00 | - 10,521 60 | 8,678 29 | 0 00 | 8,678 29 |
| 18 Sep 08<br>23 Sep 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>UBS WARBURG LLC / 24 00<br>OTHER CHARGES 31<br>SOLD 1,200 00 SHARES 09-18-08<br>AT A PRICE OF $45.8503 LESS<br>BROKER COMMISSION OF $24 00<br>AND OTHER CHARGES OF $0 31<br>WARBURG DILLON READ LLC | - 1,200 000<br>45 850300 | 54,996 05 | 0 00 | - 31,564 82 | 23,431 23 | 0 00 | 23,431 23 |
| 19 Sep 08<br>24 Sep 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>UBS WARBURG LLC / 6 00<br>OTHER CHARGES 08<br>SOLD 300 00 SHARES 09-19-08 AT<br>A PRICE OF $47 3067 LESS<br>BROKER COMMISSION OF $6 00 AND<br>OTHER CHARGES OF $0 08 WARBURG<br>DILLON READ LLC | - 300 000<br>47 306700 | 14,185 93 | 0 00 | - 7,891 20 | 6,294 73 | 0 00 | 6,294 73 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 22 Sep 08<br>25 Sep 08<br>Settled | INTEGRA LIFESCIENCES HLDG CORP COM DESP<br>CUSIP 457985208 / IART<br>INVESTMENT TECHNOLOGY GROUP INC / 2 00<br>OTHER CHARGES 03<br>SOLD 100 00 SHARES 09-22-08 AT A PRICE OF $47 491 LESS BROKER COMMISSION OF $2 00 AND OTHER CHARGES OF $0 03 INVESTMENT TECHNOLOGY GROUP | - 100 000<br>47 491000 | 4,747 07 | 0 00 | - 2,630 40 | 2,116 67 | 0 00 | 2,116 67 |
| 12 Aug 08<br>15 Aug 08<br>Settled | INTERCONTINENTALEXCHANGE INC COM<br>CUSIP 45865V100 / ICE<br>LIQUIDNET INC / 22 10<br>OTHER CHARGES 53<br>SOLD 1,105 00 SHARES 08-12-08 AT A PRICE OF $84 5481 LESS BROKER COMMISSION OF $22 10 AND OTHER CHARGES OF $0 53 LIQUIDNET INC | - 1,105 000<br>84 548100 | 93,403 02 | 0 00 | - 153,329 12 | - 59,926 10 | 0 00 | - 59,926 10 |
| 14 Apr 09<br>17 Apr 09<br>Settled | INTUITIVE SURGICAL INC COM NEW STK<br>CUSIP 46120E602 / ISRG<br>LIQUIDNET INC / 5 40<br>OTHER CHARGES 81<br>SOLD 270 00 SHARES 04-14-09 AT A PRICE OF $116 0687 LESS BROKER COMMISSION OF $5 40 AND OTHER CHARGES OF $0 81 LIQUIDNET INC | - 270 000<br>116 068700 | 31,332 34 | 0 00 | - 27,200 12 | 4,132 22 | 0 00 | 4,132 22 |
| 11 Feb 09<br>17 Feb 09<br>Settled | ITT CORP INC COM<br>CUSIP 450911102 / ITT<br>FRIEDMAN BILLING AND RAMSEY / 30 00<br>OTHER CHARGES 25<br>SOLD 1,000 00 SHARES 02-11-09 AT A PRICE OF $42 9969 LESS BROKER COMMISSION OF $30 00 AND OTHER CHARGES OF $0 25 FRIEDMAN BILLING & RAMSEY | - 1,000 000<br>42 996900 | 42,966 65 | 0 00 | - 62,538 30 | - 19,571 65 | 0 00 | - 19,571 65 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 19 Mar 09<br>24 Mar 09<br>Settled | ITT CORP INC COM<br>CUSIP 450911102 / ITT<br>CREDIT SUISSE FIRST BOSTON CORPORATION /240 00<br>OTHER CHARGES 1 75<br>SOLD 8,000 00 SHARES 03-19-09<br>AT A PRICE OF $38 9883 LESS<br>BROKER COMMISSION OF $240 00<br>AND OTHER CHARGES OF $1 75<br>FIRST BOSTON CORP | - 8,000 000<br>38 988300 | 311,664 65 | 0 00 | - 500,306 40 | - 188,641 75 | 0 00 | - 188,641 75 |
| 3 Jul 08<br>9 Jul 08<br>Settled | JOHNSON CTL INC COM<br>CUSIP· 478366107 / JCI<br>D A DAVIDSON & CO INC / 124 00<br>OTHER CHARGES 50<br>SOLD 3,100 00 SHARES 07-03-08<br>AT A PRICE OF $28.7042 LESS<br>BROKER COMMISSION OF $124 00<br>AND OTHER CHARGES OF $0 50 D<br>A DAVIDSON & CO , INC | - 3,100 000<br>28 704200 | 88,858 52 | 0 00 | - 78,999 08 | 9,859 44 | 0 00 | 9,859 44 |
| 7 Jul 08<br>10 Jul 08<br>Settled | JOHNSON CTL INC COM<br>CUSIP 478366107 / JCI<br>D A DAVIDSON & CO INC / 233 00<br>OTHER CHARGES 94<br>SOLD 5,825 00 SHARES 07-07-08<br>AT A PRICE OF $28 6115 LESS<br>BROKER COMMISSION OF $233 00<br>AND OTHER CHARGES OF $0 94 D<br>A DAVIDSON & CO , INC | - 5,825 000<br>28 611500 | 166,428 05 | 0 00 | - 148,441 82 | 17,986 23 | 0 00 | 17,986 23 |
| 23 Apr 09<br>28 Apr 09<br>Settled | KNIGHT TRANSN INC COM<br>CUSIP 499064103 / KNX<br>NEXT GENERATION EQUITY RESEARCH / 65 20<br>OTHER CHARGES 74<br>SOLD 1,630 00 SHARES 04-23-09<br>AT A PRICE OF $17 4383 LESS<br>BROKER COMMISSION OF $65 20<br>AND OTHER CHARGES OF $0 74<br>NEXT GENERATION EQUITY | - 1,630 000<br>17 438300 | 28,358 49 | 0 00 | - 28,868 17 | - 509 68 | 0 00 | - 509 68 |

# Investment Transaction Detail



| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|

## Sales

### Equities

| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Principal | Accrued Interest | Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 29 Jun 09<br>2 Jul 09<br>Pending | K12 INC COM STOCK USD 0001<br>CUSIP 48273U102 / LRN<br>LIQUIDNET INC / 22 00<br>OTHER CHARGES 61<br>SOLD 1,100 00 SHARES 06-29-09<br>AT A PRICE OF $21 2525 LESS<br>BROKER COMMISSION OF $22 00<br>AND OTHER CHARGES OF $0 61<br>LIQUIDNET INC | - 1,100 000<br>21 252500 | 23,355 14 | 0 00 | - 22,556 93 | 798 21 | 0 00 | 798 21 |
| 30 Jun 09<br>6 Jul 09<br>Pending | K12 INC COM STOCK USD 0001<br>CUSIP 48273U102 / LRN<br>LIQUIDNET INC / 12 00<br>OTHER CHARGES 34<br>SOLD 600 00 SHARES 06-30-09 AT<br>A PRICE OF $21 4704 LESS<br>BROKER COMMISSION OF $12 00<br>AND OTHER CHARGES OF $0 34<br>LIQUIDNET INC | - 600 000<br>21 470400 | 12,869 90 | 0 00 | - 12,303 78 | 566 12 | 0 00 | 566 12 |
| 27 Aug 08<br>2 Sep 08<br>Settled | LIFE TIME FITNESS INC COM<br>CUSIP 53217R207 / LTM<br>KNIGHT SECURITIES L P / 21 00<br>OTHER CHARGES 14<br>SOLD 700 00 SHARES 08-27-08 AT<br>A PRICE OF $35 3014 LESS<br>BROKER COMMISSION OF $21 00<br>AND OTHER CHARGES OF $0 14<br>KNIGHT SECURITIES L P | - 700 000<br>35 301400 | 24,689 84 | 0 00 | - 33,163 07 | - 8,473 23 | 0 00 | - 8,473 23 |
| 28 Aug 08<br>3 Sep 08<br>Settled | LIFE TIME FITNESS INC COM<br>CUSIP 53217R207 / LTM<br>KNIGHT SECURITIES L P / 33 90<br>OTHER CHARGES 23<br>SOLD 1,130 00 SHARES 08-28-08<br>AT A PRICE OF $35 4268 LESS<br>BROKER COMMISSION OF $33 90<br>AND OTHER CHARGES OF $0 23<br>KNIGHT SECURITIES L.P | - 1,130 000<br>35 426800 | 39,998 15 | 0 00 | - 53,534 67 | - 13,536 52 | 0 00 | - 13,536 52 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 29 Aug 08<br>4 Sep 08<br>Settled | LIFE TIME FITNESS INC COM<br>CUSIP 53217R207 / LTM<br>DOUGHERTY COMPANY / 20 00<br>OTHER CHARGES 10<br>SOLD 500 00 SHARES 08-29-08 AT A PRICE OF $35 412 LESS BROKER COMMISSION OF $20 00 AND OTHER CHARGES OF $0 10 DOUGHERTY COMPANY | - 500 000<br>35 412000 | 17,685 90 | 0 00 | - 23,687 90 | - 6,002 00 | 0 00 | - 6,002 00 |
| 2 Sep 08<br>5 Sep 08<br>Settled | LIFE TIME FITNESS INC COM<br>CUSIP 53217R207 / LTM<br>DOUGHERTY COMPANY / 8 00<br>OTHER CHARGES 05<br>SOLD 200 00 SHARES 09-02-08 AT A PRICE OF $35 984 LESS BROKER COMMISSION OF $8 00 AND OTHER CHARGES OF $0 05 DOUGHERTY COMPANY | - 200 000<br>35 984000 | 7,188 75 | 0 00 | - 9,475 16 | - 2,286 41 | 0 00 | - 2,286 41 |
| 3 Sep 08<br>8 Sep 08<br>Settled | LIFE TIME FITNESS INC COM<br>CUSIP 53217R207 / LTM<br>DOUGHERTY COMPANY / 6 00<br>OTHER CHARGES 03<br>SOLD 150 00 SHARES 09-03-08 AT A PRICE OF $35 5022 LESS BROKER COMMISSION OF $6 00 AND OTHER CHARGES OF $0 03 DOUGHERTY COMPANY | - 150 000<br>35 502200 | 5,319 30 | 0 00 | - 7,106 37 | - 1,787 07 | 0 00 | - 1,787 07 |
| 19 Sep 08<br>24 Sep 08<br>Settled | LIFE TIME FITNESS INC COM<br>CUSIP. 53217R207 / LTM<br>NEEDHAM & COMPANY / 30 80<br>OTHER CHARGES 17<br>SOLD 770 00 SHARES 09-19-08 AT A PRICE OF $39 4196 LESS BROKER COMMISSION OF $30 80 AND OTHER CHARGES OF $0 17 NEEDHAM & CO | - 770 000<br>39 419600 | 30,322 12 | 0 00 | - 36,479 37 | - 6,157 25 | 0 00 | - 6,157 25 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 7 Oct 08<br>10 Oct 08<br>Settled | LIFE TIME FITNESS INC COM<br>CUSIP 53217R207 / LTM<br>LIQUIDNET INC / 24 00<br>OTHER CHARGES 18<br>SOLD 1,200 00 SHARES 10-07-08<br>AT A PRICE OF $26 0126 LESS<br>BROKER COMMISSION OF $24 00<br>AND OTHER CHARGES OF $0 18<br>LIQUIDNET INC | - 1,200 000<br>26 012600 | 31,190 94 | 0 00 | - 56,850 98 | - 25,660 04 | 0 00 | - 25,660 04 |
| 13 Nov 08<br>18 Nov 08<br>Settled | LIFE TIME FITNESS INC COM<br>CUSIP 53217R207 / LTM<br>BARCLAYS CAPITAL LE / 65 20<br>OTHER CHARGES 14<br>SOLD 1,630 00 SHARES 11-13-08<br>AT A PRICE OF $14 3555 LESS<br>BROKER COMMISSION OF $65 20<br>AND OTHER CHARGES OF $0 14<br>BARCLAYS CAPITAL LE | - 1,630 000<br>14 355500 | 23,334 13 | 0 00 | - 77,222 57 | - 53,888 44 | 0 00 | - 53,888 44 |
| 2 Sep 08<br>5 Sep 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD<br>RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 2 00<br>OTHER CHARGES 01<br>SOLD 100 00 SHARES 09-02-08 AT<br>A PRICE OF $10 0629 LESS<br>BROKER COMMISSION OF $2 00 AND<br>OTHER CHARGES OF $0 01<br>LIQUIDNET INC | - 100 000<br>10 062900 | 1,004 28 | 0 00 | - 2,454 58 | - 1,450 30 | 0 00 | - 1,450 30 |
| 3 Sep 08<br>8 Sep 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD<br>RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 4 00<br>OTHER CHARGES 02<br>SOLD 200 00 SHARES 09-03-08 AT<br>A PRICE OF $10 1033 LESS<br>BROKER COMMISSION OF $4 00 AND<br>OTHER CHARGES OF $0 02<br>LIQUIDNET INC | - 200 000<br>10 103300 | 2,016 64 | 0 00 | - 4,909 16 | - 2,892 52 | 0 00 | - 2,892 52 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 4 Sep 08<br>9 Sep 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 4 00<br>OTHER CHARGES 02<br>SOLD 200 00 SHARES 09-04-08 AT A PRICE OF $10 1497 LESS BROKER COMMISSION OF $4 00 AND OTHER CHARGES OF $0 02 LIQUIDNET INC | - 200 000<br>10 149700 | 2,025 92 | 0 00 | - 4,909 16 | - 2,883 24 | 0 00 | - 2,883 2 |
| 5 Sep 08<br>10 Sep 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>WEEDEN AND & CO / 1 50<br>OTHER CHARGES 01<br>SOLD 100 00 SHARES 09-05-08 AT A PRICE OF $10 1313 LESS BROKER COMMISSION OF $1 50 AND OTHER CHARGES OF $0 01 WEEDEN & CO | - 100 000<br>10 131300 | 1,011 62 | 0 00 | - 2,454 58 | - 1,442 96 | 0 00 | - 1,442 96 |
| 9 Sep 08<br>12 Sep 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 2 00<br>OTHER CHARGES 01<br>SOLD 100 00 SHARES 09-09-08 AT A PRICE OF $10 0657 LESS BROKER COMMISSION OF $2 00 AND OTHER CHARGES OF $0 01 LIQUIDNET INC | - 100 000<br>10 065700 | 1,004 56 | 0 00 | - 2,454 58 | - 1,450 02 | 0 00 | - 1,450 02 |
| 12 Nov 08<br>17 Nov 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 14 00<br>OTHER CHARGES 04<br>SOLD 1,400 00 SHARES 11-12-08 AT A PRICE OF $3 8959 LESS BROKER COMMISSION OF $14 00 AND OTHER CHARGES OF $0 04 LIQUIDNET INC | - 1,400 000<br>3 895900 | 5,440 22 | 0 00 | - 34,364 12 | - 28,923 90 | 0 00 | - 28,923 90 |

## Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|

*Sales*

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Principal | Accrued Interest | Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 12 Nov 08<br>17 Nov 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>INVESTMENT TECHNOLOGY GROUP INC / 2 00<br>OTHER CHARGES 01<br>SOLD 100 00 SHARES 11-12-08 AT A PRICE OF $3 925 LESS BROKER COMMISSION OF $2 00 AND OTHER CHARGES OF $0 01 INVESTMENT TECHNOLOGY GROUP | - 100 000<br>3 925000 | 390 49 | 0 00 | - 2,454 58 | - 2,064 09 | 0 00 | - 2,064 09 |
| 13 Nov 08<br>18 Nov 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 18 00<br>OTHER CHARGES. 04<br>SOLD 1,800 00 SHARES 11-13-08 AT A PRICE OF $3 9293 LESS BROKER COMMISSION OF $18 00 AND OTHER CHARGES OF $0 04 LIQUIDNET INC | - 1,800 000<br>3 929300 | 7,054 70 | 0 00 | - 44,182 45 | - 37,127 75 | 0 00 | - 37,127 75 |
| 14 Nov 08<br>19 Nov 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 3 00<br>OTHER CHARGES 01<br>SOLD 300 00 SHARES 11-14-08 AT A PRICE OF $3 9212 LESS BROKER COMMISSION OF $3 00 AND OTHER CHARGES OF $0 01 LIQUIDNET INC | - 300 000<br>3 921200 | 1,173 35 | 0 00 | - 7,363 74 | - 6,190 39 | 0 00 | - 6,190 39 |
| 17 Nov 08<br>20 Nov 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 4 00<br>OTHER CHARGES 01<br>SOLD 400 00 SHARES 11-17-08 AT A PRICE OF $3 8352 LESS BROKER COMMISSION OF $4 00 AND OTHER CHARGES OF $0 01 LIQUIDNET INC | - 400 000<br>3 835200 | 1,530 07 | 0 00 | - 9,818 32 | - 8,288 25 | 0 00 | - 8,288 25 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 18 Nov 08<br>21 Nov 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD<br>RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 3 00<br>OTHER CHARGES 01<br>SOLD 300 00 SHARES 11-18-08 AT<br>A PRICE OF $3 8816 LESS BROKER<br>COMMISSION OF $3 00 AND OTHER<br>CHARGES OF $0 01 LIQUIDNET INC | - 300 000<br>3 881600 | 1,161 47 | 0 00 | - 7,363 74 | - 6,202 27 | 0 00 | - 6,202 27 |
| 19 Nov 08<br>24 Nov 08<br>Settled | MCCORMICK & SCHMICKS SEAFOOD<br>RESTAURANTSINC COM<br>CUSIP 579793100 / MSSR<br>LIQUIDNET INC / 2 55<br>OTHER CHARGES 01<br>SOLD 255 00 SHARES 11-19-08 AT<br>A PRICE OF $3 8701 LESS BROKER<br>COMMISSION OF $2 55 AND OTHER<br>CHARGES OF $0 01 LIQUIDNET INC | - 255 000<br>3 870100 | 984 32 | 0 00 | - 6,259 18 | - 5,274 86 | 0 00 | - 5,274 86 |
| 19 Mar 09<br>24 Mar 09<br>Settled | MEDTRONIC INC COM<br>CUSIP 585055106 / MDT<br>CREDIT SUISSE FIRST BOSTON CORPORATION<br>/360 00<br>OTHER CHARGES 1 88<br>SOLD 12,000 00 SHARES 03-19-09<br>AT A PRICE OF $27 8631 LESS<br>BROKER COMMISSION OF $360 00<br>AND OTHER CHARGES OF $1 88<br>FIRST BOSTON CORP | - 12,000 000<br>27 863100 | 333,995 32 | 0 00 | - 562,977 29 | - 228,981 97 | 0 00 | - 228,981 97 |
| 11 Feb 09<br>17 Feb 09<br>Settled | MUELLER WTR PRODS INC COM SER A STK<br>CUSIP 624758108 / MWA<br>MORGAN STANLEY & CO INC NEW YORK /<br>127 48<br>OTHER CHARGES 25<br>SOLD 12,748 00 SHARES 02-11-09<br>AT A PRICE OF $3 5013 LESS<br>BROKER COMMISSION OF $127 48<br>AND OTHER CHARGES OF $0 25<br>MORGAN STANLEY & CO | - 12,748 000<br>3 501300 | 44,506 84 | 0 00 | - 172,774 50 | - 128,267 66 | 0 00 | - 128,267 66 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Accrued Interest | Realized Gain/Loss Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 12 Feb 09<br>18 Feb 09<br>Settled | MUELLER WTR PRODS INC COM SER A STK<br>CUSIP 624758108 / MWA<br>MORGAN STANLEY & CO INC NEW YORK / 100 00<br>OTHER CHARGES 19<br>SOLD 10,000 00 SHARES 02-12-09<br>AT A PRICE OF $3 3346 LESS<br>BROKER COMMISSION OF $100 00<br>AND OTHER CHARGES OF $0 19<br>MORGAN STANLEY & CO | - 10,000 000<br>3 334600 | 33,245 81 | 0 00 | - 135,530 67 | - 102,284 86 | 0 00 | - 102,284 86 |
| 13 Feb 09<br>19 Feb 09<br>Settled | MUELLER WTR PRODS INC COM SER A STK<br>CUSIP 624758108 / MWA<br>MORGAN STANLEY & CO INC NEW YORK / 68 81<br>OTHER CHARGES 14<br>SOLD 6,881 00 SHARES 02-13-09<br>AT A PRICE OF $3 4227 LESS<br>BROKER COMMISSION OF $68 81<br>AND OTHER CHARGES OF $0 14<br>MORGAN STANLEY & CO | - 6,881 000<br>3 422700 | 23,482 65 | 0 00 | - 93,258 65 | - 69,776 00 | 0 00 | - 69,776 00 |
| 26 Mar 09<br>31 Mar 09<br>Settled | MUELLER WTR PRODS INC COM SER A STK<br>CUSIP 624758108 / MWA<br>CITIGROUP GLOBAL MARKETS INC/SMITH BARNEY / 292 00<br>OTHER CHARGES 50<br>SOLD 29,200 00 SHARES 03-26-09<br>AT A PRICE OF $3 0257 LESS<br>BROKER COMMISSION OF $292 00<br>AND OTHER CHARGES OF $0 50<br>SMITH BARNEY INC | - 29,200 000<br>3 025700 | 88,057 94 | 0 00 | - 395,749 56 | - 307,691 62 | 0 00 | - 307,691 62 |
| 31 Oct 08<br>5 Nov 08<br>Settled | NEWFIELD EXPLORATION<br>CUSIP 651290108 / NFX<br>ALLEN AND COMPANY LLC / 360 00<br>OTHER CHARGES 1 45<br>SOLD 12,000 00 SHARES 10-31-08<br>AT A PRICE OF $21 4859 LESS<br>BROKER COMMISSION OF $360 00<br>AND OTHER CHARGES OF $1 45<br>ALLEN AND COMPANY LLC | - 12,000 000<br>21 485900 | 257,469 35 | 0 00 | - 598,049 70 | - 340,580 35 | 0 00 | - 340,580 35 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 30 Oct 08<br>4 Nov 08<br>Settled | NUANCE COMMUNICATIONS INC COM<br>CUSIP 67020Y100 / NUAN<br>LIQUIDNET INC / 28 00<br>OTHER CHARGES 08<br>SOLD 1,400 00 SHARES 10-30-08<br>AT A PRICE OF $9 1602 LESS<br>BROKER COMMISSION OF $28 00<br>AND OTHER CHARGES OF $0 08<br>LIQUIDNET INC | - 1,400 000<br>9 160200 | 12,796 20 | 0 00 | - 8,913 82 | 3,882 38 | 0 00 | 3,882 38 |
| 31 Oct 08<br>5 Nov 08<br>Settled | NUANCE COMMUNICATIONS INC COM<br>CUSIP 67020Y100 / NUAN<br>LIQUIDNET INC / 8 00<br>OTHER CHARGES 03<br>SOLD 400 00 SHARES 10-31-08 AT<br>A PRICE OF $9 0054 LESS BROKER<br>COMMISSION OF $8 00 AND OTHER<br>CHARGES OF $0 03 LIQUIDNET INC | - 400 000<br>9 005400 | 3,594 13 | 0 00 | - 2,546 80 | 1,047 33 | 0 00 | 1,047 33 |
| 5 Nov 08<br>10 Nov 08<br>Settled | NUANCE COMMUNICATIONS INC COM<br>CUSIP 67020Y100 / NUAN<br>LIQUIDNET INC / 34 00<br>OTHER CHARGES 10<br>SOLD 1,700 00 SHARES 11-05-08<br>AT A PRICE OF $9 8107 LESS<br>BROKER COMMISSION OF $34 00<br>AND OTHER CHARGES OF $0 10<br>LIQUIDNET INC | - 1,700 000<br>9 810700 | 16,644 09 | 0 00 | - 10,823 92 | 5,820 17 | 0 00 | 5,820 17 |
| 6 Nov 08<br>12 Nov 08<br>Settled | NUANCE COMMUNICATIONS INC COM<br>CUSIP 67020Y100 / NUAN<br>LIQUIDNET INC / 20 00<br>OTHER CHARGES 06<br>SOLD 1,000 00 SHARES 11-06-08<br>AT A PRICE OF $9 2967 LESS<br>BROKER COMMISSION OF $20 00<br>AND OTHER CHARGES OF $0 06<br>LIQUIDNET INC | - 1,000 000<br>9 296700 | 9,276 64 | 0 00 | - 6,367 01 | 2,909 63 | 0 00 | 2,909 63 |

# ◆ Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Accrued Interest | Realized Gain/Loss Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|

## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Principal | Accrued Interest | Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 7 Nov 08<br>13 Nov 08<br>Settled | NUANCE COMMUNICATIONS INC COM<br>CUSIP 67020Y100 / NUAN<br>LIQUIDNET INC / 26 00<br>OTHER CHARGES 07<br>SOLD 1,300 00 SHARES 11-07-08<br>AT A PRICE OF $9 0619 LESS<br>BROKER COMMISSION OF $26 00<br>AND OTHER CHARGES OF $0 07<br>LIQUIDNET INC | - 1,300 000<br>9 061900 | 11,754 40 | 0 00 | - 8,277 12 | 3,477 28 | 0 00 | 3,477 28 |
| 13 Nov 08<br>18 Nov 08<br>Settled | NUANCE COMMUNICATIONS INC COM<br>CUSIP 67020Y100 / NUAN<br>LIQUIDNET INC / 40 00<br>OTHER CHARGES 09<br>SOLD 2,000 00 SHARES 11-13-08<br>AT A PRICE OF $7 6447 LESS<br>BROKER COMMISSION OF $40 00<br>AND OTHER CHARGES OF $0 09<br>LIQUIDNET INC | - 2,000 000<br>7 644700 | 15,249 31 | 0 00 | - 12,734 02 | 2,515 29 | 0 00 | 2,515 29 |
| 14 Nov 08<br>19 Nov 08<br>Settled | NUANCE COMMUNICATIONS INC COM<br>CUSIP 67020Y100 / NUAN<br>J P MORGAN SECURITIES INC / 40 00<br>OTHER CHARGES 05<br>SOLD 1,000 00 SHARES 11-14-08<br>AT A PRICE OF $7.8355 LESS<br>BROKER COMMISSION OF $40 00<br>AND OTHER CHARGES OF $0 05<br>J P MORGAN SEC (STKS & BONDS) | - 1,000 000<br>7 835500 | 7,795 45 | 0 00 | - 6,367 01 | 1,428 44 | 0 00 | 1,428 44 |
| 14 Nov 08<br>19 Nov 08<br>Settled | NUANCE COMMUNICATIONS INC COM<br>CUSIP 67020Y100 / NUAN<br>LIQUIDNET INC / 16 00<br>OTHER CHARGES 04<br>SOLD 800 00 SHARES 11-14-08 AT<br>A PRICE OF $7 8404 LESS BROKER<br>COMMISSION OF $16 00 AND OTHER<br>CHARGES OF $0 04 LIQUIDNET INC | - 800 000<br>7 840400 | 6,256 28 | 0 00 | - 5,093 61 | 1,162 67 | 0 00 | 1,162 67 |

# ◆ Investment Transaction Detail



## *Sales*

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 17 Nov 08<br>20 Nov 08<br>Settled | NUANCE COMMUNICATIONS INC COM<br>CUSIP 67020Y100 / NUAN<br>J P MORGAN SECURITIES INC / 59 40<br>OTHER CHARGES 07<br>SOLD 1,485 00 SHARES 11-17-08<br>AT A PRICE OF $7 5087 LESS<br>BROKER COMMISSION OF $59 40<br>AND OTHER CHARGES OF $0 07<br>J P MORGAN SEC (STKS & BONDS) | - 1,485 000<br>7 508700 | 11,090 95 | 0 00 | - 9,455 02 | 1,635 93 | 0 00 | 1,635 9[illegible] |
| 17 Mar 09<br>20 Mar 09<br>Settled | OMNICOM GROUP INC COM<br>CUSIP· 681919106 / OMC<br>LIQUIDNET INC / 35 00<br>OTHER CHARGES 23<br>SOLD 1,750 00 SHARES 03-17-09<br>AT A PRICE OF $23 322 LESS<br>BROKER COMMISSION OF $35 00<br>AND OTHER CHARGES OF $0 23<br>LIQUIDNET INC | - 1,750 000<br>23 322000 | 40,778 27 | 0 00 | - 78,422 09 | - 37,643 82 | 0 00 | - 37,643 82 |
| 14 Apr 09<br>17 Apr 09<br>Settled | OMNICOM GROUP INC COM<br>CUSIP 681919106 / OMC<br>RBC DAIN RAUSCHER / 132 00<br>OTHER CHARGES· 2 29<br>SOLD 3,300 00 SHARES 04-14-09<br>AT A PRICE OF $26 9399 LESS<br>BROKER COMMISSION OF $132 00<br>AND OTHER CHARGES OF $2 29<br>DAIN RAUSCHER | - 3,300 000<br>26 939900 | 88,767 38 | 0 00 | - 147,881 66 | - 59,114 28 | 0 00 | - 59,114 28 |
| 8 Oct 08<br>14 Oct 08<br>Settled | ORACLE CORP COM<br>CUSIP 68389X105 / ORCL<br>INSTINET / 6 25<br>OTHER CHARGES 24<br>SOLD 2,500 00 SHARES 10-08-08<br>AT A PRICE OF $17 03 LESS<br>BROKER COMMISSION OF $6 25 AND<br>OTHER CHARGES OF $0 24<br>INSTINET | - 2,500 000<br>17 030000 | 42,568 51 | 0 00 | - 30,675 00 | 11,893 51 | 0 00 | 11,893 51 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 23 Apr 09<br>28 Apr 09<br>Settled | ORACLE CORP COM<br>CUSIP 68389X105 / ORCL<br>INSTINET / 12 50<br>OTHER CHARGES 2 52<br>SOLD 5,000 00 SHARES 04-23-09<br>AT A PRICE OF $19 54 LESS<br>BROKER COMMISSION OF $12 50<br>AND OTHER CHARGES OF $2 52<br>INSTINET | - 5,000 000<br>19 540000 | 97,684 98 | 0 00 | - 61,350 00 | 36,334 98 | 0 00 | 36,334 9[illegible] |
| 2 Apr 09<br>7 Apr 09<br>Settled | PHARMACEUTICAL PROD DEV INC COM<br>CUSIP 717124101 / PPDI<br>MERRILL LYNCH PIERCE FENNER & SMITH /<br>148 00<br>OTHER CHARGES 50<br>SOLD 3,700 00 SHARES 04-02-09<br>AT A PRICE OF $23 8788 LESS<br>BROKER COMMISSION OF $148 00<br>AND OTHER CHARGES OF $0 50<br>MERRILL LYNCH, PIERCE, FENNER | - 3,700 000<br>23 878800 | 88,203 06 | 0 00 | - 125,087 92 | - 36,884 86 | 0 00 | - 36,884 86 |
| 3 Apr 09<br>8 Apr 09<br>Settled | PHARMACEUTICAL PROD DEV INC COM<br>CUSIP 717124101 / PPDI<br>MERRILL LYNCH PIERCE FENNER & SMITH /<br>109 20<br>OTHER CHARGES 36<br>SOLD 2,730 00 SHARES 04-03-09<br>AT A PRICE OF $23 1945 LESS<br>BROKER COMMISSION OF $109 20<br>AND OTHER CHARGES OF $0 36<br>MERRILL LYNCH, PIERCE, FENNER | - 2,730 000<br>23 194500 | 63,211 43 | 0 00 | - 92,294 60 | - 29,083 17 | 0 00 | - 29,083 17 |
| 20 Mar 09<br>25 Mar 09<br>Settled | PHILLIPS VAN HEUSEN CORP COM<br>CUSIP 718592108 / PVH<br>WEDBUSH MORGAN SECURITIES, INC / 84 00<br>OTHER CHARGES 21<br>SOLD 2,100 00 SHARES 03-20-09<br>AT A PRICE OF $17 70 LESS<br>BROKER COMMISSION OF $84 00<br>AND OTHER CHARGES OF $0 21<br>WEDBUSH MORGAN SECURITIES INC | - 2,100 000<br>17 700000 | 37,085 79 | 0 00 | - 66,732 38 | - 29,646 59 | 0 00 | - 29,646 59 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 23 Mar 09<br>26 Mar 09<br>Settled | PHILLIPS VAN HEUSEN CORP COM<br>CUSIP 718592108 / PVH<br>WEDBUSH MORGAN SECURITIES, INC / 73 60<br>OTHER CHARGES 19<br>SOLD 1,840 00 SHARES 03-23-09<br>AT A PRICE OF $17 9623 LESS<br>BROKER COMMISSION OF $73 60<br>AND OTHER CHARGES OF $0 19<br>WEDBUSH MORGAN SECURITIES INC | - 1,840 000<br>17 962300 | 32,976 84 | 0 00 | - 58,470 27 | - 25,493 43 | 0 00 | - 25,493 43 |
| 18 Sep 08<br>23 Sep 08<br>Settled | PRAXAIR INC COM<br>CUSIP 74005P104 / PX<br>STEPHENS INC / 58 00<br>OTHER CHARGES 67<br>SOLD 1,450 00 SHARES 09-18-08<br>AT A PRICE OF $81 3616 LESS<br>BROKER COMMISSION OF $58 00<br>AND OTHER CHARGES OF $0 67<br>STEPHENS, INC | - 1,450 000<br>81 361600 | 117,915 65 | 0 00 | - 60,772 52 | 57,143 13 | 0 00 | 57,143 13 |
| 12 Nov 08<br>17 Nov 08<br>Settled | PRAXAIR INC COM<br>CUSIP 74005P104 / PX<br>LIQUIDNET INC / 15 00<br>OTHER CHARGES 25<br>SOLD 750 00 SHARES 11-12-08 AT<br>A PRICE OF $58 5218 LESS<br>BROKER COMMISSION OF $15 00<br>AND OTHER CHARGES OF $0 25<br>LIQUIDNET INC | - 750 000<br>58 521800 | 43,876 10 | 0 00 | - 31,434 06 | 12,442 04 | 0 00 | 12,442 04 |
| 10 Mar 09<br>13 Mar 09<br>Settled | QUALCOMM INC COM<br>CUSIP 747525103 / QCOM<br>BERNSTEIN, SANFORD C & CO / 47 20<br>OTHER CHARGES 23<br>SOLD 1,180 00 SHARES 03-10-09<br>AT A PRICE OF $34 0047 LESS<br>BROKER COMMISSION OF $47 20<br>AND OTHER CHARGES OF $0 23<br>BERNSTEIN, SANFORD C & CO INC | - 1,180 000<br>34 004700 | 40,078 12 | 0 00 | - 46,700 80 | - 6,622 68 | 0 00 | - 6,622 68 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 20 Aug 08<br>25 Aug 08<br>Settled | ROCKWELL COLLINS INC COM<br>CUSIP 774341101 / COL<br>COWEN LLC / 134 80<br>OTHER CHARGES 98<br>SOLD 3,370 00 SHARES 08-20-08<br>AT A PRICE OF $51 6016 LESS<br>BROKER COMMISSION OF $134 80<br>AND OTHER CHARGES OF $0 98<br>COWEN LLC | - 3,370 000<br>51 601600 | 173,761 61 | 0 00 | - 204,635 63 | - 30,874 02 | 0 00 | - 30,874 02 |
| 23 Apr 09<br>28 Apr 09<br>Settled | ROPER INDS INC NEW COM<br>CUSIP 776696106 / ROP<br>CITIGROUP GLOBAL MARKETS INC/SMITH<br>BARNEY / 60 00<br>OTHER CHARGES 1 61<br>SOLD 1,500 00 SHARES 04-23-09<br>AT A PRICE OF $41 7595 LESS<br>BROKER COMMISSION OF $60 00<br>AND OTHER CHARGES OF $1 61<br>SMITH BARNEY INC | - 1,500 000<br>41 759500 | 62,577 64 | 0 00 | - 82,115 95 | - 19,538 31 | 0 00 | - 19,538 31 |
| 24 Apr 09<br>29 Apr 09<br>Settled | ROPER INDS INC NEW COM<br>CUSIP 776696106 / ROP<br>CITIGROUP GLOBAL MARKETS INC/SMITH<br>BARNEY / 4 00<br>OTHER CHARGES 12<br>SOLD 100 00 SHARES 04-24-09 AT<br>A PRICE OF $44 1534 LESS<br>BROKER COMMISSION OF $4 00 AND<br>OTHER CHARGES OF $0 12 SMITH<br>BARNEY INC | - 100 000<br>44 153400 | 4,411 22 | 0 00 | - 5,474 40 | - 1,063 18 | 0 00 | - 1,063 18 |
| 2 Apr 09<br>7 Apr 09<br>Settled | SALESFORCE COM INC COM STK<br>CUSIP 79466L302 / CRM<br>J P MORGAN SECURITIES INC / 37 20<br>OTHER CHARGES 18<br>SOLD 930 00 SHARES 04-02-09 AT<br>A PRICE OF $34 1526 LESS<br>BROKER COMMISSION OF $37 20<br>AND OTHER CHARGES OF $0 18<br>J P MORGAN SEC (STKS & BONDS) | - 930 000<br>34 152600 | 31,724 54 | 0 00 | - 51,427 86 | - 19,703 32 | 0 00 | - 19,703 32 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 29 Jun 09<br>2 Jul 09<br>Pending | SALESFORCE COM INC COM STK<br>CUSIP 79466L302 / CRM<br>LIQUIDNET INC / 28 00<br>OTHER CHARGES 1 40<br>SOLD 1,400 00 SHARES 06-29-09<br>AT A PRICE OF $38 8927 LESS<br>BROKER COMMISSION OF $28 00<br>AND OTHER CHARGES OF $1.40<br>LIQUIDNET INC | - 1,400 000<br>38 892700 | 54,420 38 | 0 00 | - 77,418 29 | - 22,997 91 | 0 00 | - 22,997 91 |
| 30 Jun 09<br>6 Jul 09<br>Pending | SALESFORCE COM INC COM STK<br>CUSIP 79466L302 / CRM<br>LIQUIDNET INC / 24 60<br>OTHER CHARGES 1 21<br>SOLD 1,230 00 SHARES 06-30-09<br>AT A PRICE OF $38 2018 LESS<br>BROKER COMMISSION OF $24 60<br>AND OTHER CHARGES OF $1 21<br>LIQUIDNET INC | - 1,230 000<br>38 201800 | 46,962 40 | 0 00 | - 68,017 49 | - 21,055 09 | 0 00 | - 21,055 09 |
| 9 Mar 09<br>12 Mar 09<br>Settled | SCHERING-PLOUGH CORP COM<br>CUSIP 806605101 / SGP<br>ALLEN AND COMPANY LLC / 375 00<br>OTHER CHARGES 1 41<br>SOLD 12,500 00 SHARES 03-09-09<br>AT A PRICE OF $20 107 LESS<br>BROKER COMMISSION OF $375 00<br>AND OTHER CHARGES OF $1 41<br>ALLEN AND COMPANY LLC | - 12,500 000<br>20 107000 | 250,961 09 | 0 00 | - 204,653 75 | 46,307 34 | 0 00 | 46,307 34 |
| 29 Jun 09<br>2 Jul 09<br>Pending | SCHERING-PLOUGH CORP COM<br>CUSIP 806605101 / SGP<br>ALLEN AND COMPANY LLC / 450 00<br>OTHER CHARGES 9 60<br>SOLD 15,000 00 SHARES 06-29-09<br>AT A PRICE OF $24 8966 LESS<br>BROKER COMMISSION OF $450 00<br>AND OTHER CHARGES OF $9 60<br>ALLEN AND COMPANY LLC | - 15,000 000<br>24 896600 | 372,989 40 | 0 00 | - 245,584 50 | 127,404 90 | 0 00 | 127,404 90 |

# ◆ Investment Transaction Detail



| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Transaction Amount<br>Principal | Accrued Interest | Realized Gain/Loss<br>Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| ***Sales*** | | | | | | | | |
| **Equities** | | | | | | | | |
| 21 Apr 09<br>24 Apr 09<br>Settled | SCHLUMBERGER LTD COM STK<br>CUSIP 806857108 / SLB<br>MCDONALD AND COMPANY/KEYBANC / 75 60<br>OTHER CHARGES 2 27<br>SOLD 1,890 00 SHARES 04-21-09<br>AT A PRICE OF $46 6234 LESS<br>BROKER COMMISSION OF $75 60<br>AND OTHER CHARGES OF $2 27<br>MCDONALD & CO | - 1,890 000<br>46 623400 | 88,040 36 | 0 00 | - 181,184 42 | - 93,144 06 | 0 00 | - 93,144 06 |
| 17 Dec 08<br>22 Dec 08<br>Settled | SCHWAB CHARLES CORP COM NEW<br>CUSIP 808513105 / SCHW<br>BARCLAYS CAPITAL LE / 167 20<br>OTHER CHARGES 39<br>SOLD 4,180 00 SHARES 12-17-08<br>AT A PRICE OF $16 5203 LESS<br>BROKER COMMISSION OF $167 20<br>AND OTHER CHARGES OF $0 39<br>BARCLAYS CAPITAL LE | - 4,180 000<br>16 520300 | 68,887 26 | 0 00 | - 79,610 00 | - 10,722 74 | 0 00 | - 10,722 74 |
| 17 Jul 08<br>22 Jul 08<br>Settled | SCRIPPS E W CO OHIO CL A NEW COM STK<br>CUSIP 811054402 / SSP<br>MORGAN STANLEY & CO INC NEW YORK /<br>43 33<br>OTHER CHARGES 22<br>SOLD 4,333 00 SHARES 07-17-08<br>AT A PRICE OF $8 9882 LESS<br>BROKER COMMISSION OF $43 33<br>AND OTHER CHARGES OF $0 22<br>MORGAN STANLEY & CO | - 4,333 000<br>8 988200 | 38,902 32 | 0 00 | - 41,192 26 | - 2,289 94 | 0 00 | - 2,289 94 |
| 25 Jul 08<br>25 Jul 08<br>Settled | SCRIPPS E W CO OHIO CL A NEW COM STK<br>CUSIP 811054402 / SSP<br><br>RECEIVED CASH IN LIEU OF<br>FRACTIONAL INTEREST CASH RATE<br>OF 8 11 PER SHARE/PAR PER<br>FRACTIONAL AMOUNT ALLOCATION<br>PAID FROM REVERSE SPLIT CUSIP | - 0 330<br>0 000000 | 2 68 | 0 00 | - 3 14 | - 0 46 | 0 00 | - 0 46 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 23 Dec 08<br>29 Dec 08<br>Settled | SCRIPPS NETWORKS INTERACTIVE INC CL A COM STK<br>CUSIP 811065101 / SNI<br>ALLEN AND COMPANY LLC / 390 00<br>OTHER CHARGES 1 47<br>SOLD 13,000 00 SHARES 12-23-08 AT A PRICE OF $20 1055 LESS BROKER COMMISSION OF $390 00 AND OTHER CHARGES OF $1 47 ALLEN AND COMPANY LLC | - 13,000 000<br>20 105500 | 260,980 03 | 0 00 | - 543,700 63 | - 282,720 60 | 0 00 | - 282,720 60 |
| 6 Jan 09<br>9 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>J P MORGAN SECURITIES INC / 8 00<br>OTHER CHARGES 01<br>SOLD 200 00 SHARES 01-06-09 AT A PRICE OF $7 2728 LESS BROKER COMMISSION OF $8 00 AND OTHER CHARGES OF $0 01 J P MORGAN SEC (STKS & BONDS) | - 200 000<br>7 272800 | 1,446 55 | 0 00 | - 1,207 54 | 239 01 | 0 00 | 239 01 |
| 6 Jan 09<br>9 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>LIQUIDNET INC / 2 00<br>OTHER CHARGES 01<br>SOLD 100 00 SHARES 01-06-09 AT A PRICE OF $7 2884 LESS BROKER COMMISSION OF $2 00 AND OTHER CHARGES OF $0 01 LIQUIDNET INC | - 100 000<br>7 288400 | 726 83 | 0 00 | - 603 77 | 123 06 | 0 00 | 123 06 |
| 7 Jan 09<br>12 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>J P MORGAN SECURITIES INC / 4 00<br>OTHER CHARGES 01<br>SOLD 100 00 SHARES 01-07-09 AT A PRICE OF $7 0002 LESS BROKER COMMISSION OF $4 00 AND OTHER CHARGES OF $0 01 J P MORGAN SEC (STKS & BONDS) | - 100 000<br>7 000200 | 696 01 | 0 00 | - 603 77 | 92 24 | 0 00 | 92 24 |

# Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|

## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Principal | Accrued Interest | Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 7 Jan 09<br>12 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>LIQUIDNET INC / 6 00<br>OTHER CHARGES 02<br>SOLD 300 00 SHARES 01-07-09 AT A PRICE OF $7 0081 LESS BROKER COMMISSION OF $6 00 AND OTHER CHARGES OF $0 02 LIQUIDNET INC | - 300 000<br>7 008100 | 2,096 41 | 0 00 | - 1,811 30 | 285 11 | 0 00 | 285 11 |
| 8 Jan 09<br>13 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>LIQUIDNET INC / 28 00<br>OTHER CHARGES 06<br>SOLD 1,400 00 SHARES 01-08-09 AT A PRICE OF $6 9018 LESS BROKER COMMISSION OF $28 00 AND OTHER CHARGES OF $0 06 LIQUIDNET INC | - 1,400 000<br>6 901800 | 9,634 46 | 0 00 | - 8,452 75 | 1,181 71 | 0 00 | 1,181 71 |
| 8 Jan 09<br>13 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>J P MORGAN SECURITIES INC / 4 00<br>OTHER CHARGES 01<br>SOLD 100 00 SHARES 01-08-09 AT A PRICE OF $6 9067 LESS BROKER COMMISSION OF $4 00 AND OTHER CHARGES OF $0 01 J P MORGAN SEC (STKS & BONDS) | - 100 000<br>6 906700 | 686 66 | 0 00 | - 603 77 | 82 89 | 0 00 | 82 89 |
| 9 Jan 09<br>14 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>J P MORGAN SECURITIES INC / 16 00<br>OTHER CHARGES 02<br>SOLD 400.00 SHARES 01-09-09 AT A PRICE OF $6 9724 LESS BROKER COMMISSION OF $16 00 AND OTHER CHARGES OF $0 02 J P MORGAN SEC (STKS & BONDS) | - 400 000<br>6 972400 | 2,772 94 | 0 00 | - 2,415 07 | 357 87 | 0 00 | 357 87 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Transaction Amount<br>Principal | Accrued Interest | Realized Gain/Loss<br>Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 9 Jan 09<br>14 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>LIQUIDNET INC / 12 00<br>OTHER CHARGES 03<br>SOLD 600 00 SHARES 01-09-09 AT A PRICE OF $6 9499 LESS BROKER COMMISSION OF $12 00 AND OTHER CHARGES OF $0 03 LIQUIDNET INC | - 600 000<br>6 949900 | 4,157 91 | 0 00 | - 3,622 61 | 535 30 | 0 00 | 535 30 |
| 12 Jan 09<br>15 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>LIQUIDNET INC / 4 00<br>OTHER CHARGES 01<br>SOLD 200 00 SHARES 01-12-09 AT A PRICE OF $7 0196 LESS BROKER COMMISSION OF $4 00 AND OTHER CHARGES OF $0 01 LIQUIDNET INC | - 200 000<br>7 019600 | 1,399 91 | 0 00 | - 1,207 54 | 192 37 | 0 00 | 192 37 |
| 12 Jan 09<br>15 Jan 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>J P MORGAN SECURITIES INC / 12 80<br>OTHER CHARGES 02<br>SOLD 320 00 SHARES 01-12-09 AT A PRICE OF $7 0588 LESS BROKER COMMISSION OF $12 80 AND OTHER CHARGES OF $0 02 J P MORGAN SEC (STKS & BONDS) | - 320 000<br>7 058800 | 2,246 00 | 0 00 | - 1,932 06 | 313 94 | 0 00 | 313 94 |
| 5 Feb 09<br>10 Feb 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>LIQUIDNET INC / 12 00<br>OTHER CHARGES 03<br>SOLD 600 00 SHARES 02-05-09 AT A PRICE OF $7 3492 LESS BROKER COMMISSION OF $12 00 AND OTHER CHARGES OF $0 03 LIQUIDNET INC | - 600 000<br>7 349200 | 4,397 49 | 0 00 | - 3,622 60 | 774 89 | 0 00 | 774 89 |
| 6 Feb 09<br>11 Feb 09<br>Settled | SMART BALANCE INC COM STK<br>CUSIP 83169Y108 / SMBL<br>LIQUIDNET INC / 22 00<br>OTHER CHARGES 04<br>SOLD 1,100 00 SHARES 02-06-09 AT A PRICE OF $6 4241 LESS BROKER COMMISSION OF $22 00 AND OTHER CHARGES OF $0 04 LIQUIDNET INC | - 1,100 000<br>6 424100 | 7,044 47 | 0 00 | - 6,641 44 | 403 03 | 0 00 | 403 03 |

# Investment Transaction Detail



## *Sales*

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 15 Jul 08<br>18 Jul 08<br>Settled | SMITH INTL INC COM<br>CUSIP 832110100 / SII<br>MIDWEST RESEARCH SECURITIES / 40 00<br>OTHER CHARGES 45<br>SOLD 1,000 00 SHARES 07-15-08<br>AT A PRICE OF $79 0601 LESS<br>BROKER COMMISSION OF $40 00<br>AND OTHER CHARGES OF $0 45<br>MIDWEST RESEARCH SECURITIES | - 1,000.000<br>79 060100 | 79,019 65 | 0 00 | - 42,087 29 | 36,932 36 | 0 00 | 36,932 36 |
| 16 Jul 08<br>21 Jul 08<br>Settled | SMITH INTL INC COM<br>CUSIP 832110100 / SII<br>MIDWEST RESEARCH SECURITIES / 22 00<br>OTHER CHARGES 24<br>SOLD 550 00 SHARES 07-16-08 AT<br>A PRICE OF $76 5916 LESS<br>BROKER COMMISSION OF $22 00<br>AND OTHER CHARGES OF $0 24<br>MIDWEST RESEARCH SECURITIES | - 550 000<br>76 591600 | 42,103 14 | 0 00 | - 23,148 01 | 18,955 13 | 0 00 | 18,955 13 |
| 15 Jun 09<br>18 Jun 09<br>Settled | SMITH INTL INC COM<br>CUSIP 832110100 / SII<br>LIQUIDNET INC / 32 00<br>OTHER CHARGES 1 23<br>SOLD 1,600 00 SHARES 06-15-09<br>AT A PRICE OF $29 8529 LESS<br>BROKER COMMISSION OF $32 00<br>AND OTHER CHARGES OF $1 23<br>LIQUIDNET INC | - 1,600 000<br>29 852900 | 47,731 41 | 0 00 | - 66,254 03 | - 18,522 62 | 0 00 | - 18,522 62 |
| 16 Jun 09<br>19 Jun 09<br>Settled | SMITH INTL INC COM<br>CUSIP 832110100 / SII<br>UBS WARBURG LLC / 2 70<br>OTHER CHARGES 08<br>SOLD 90 00 SHARES 06-16-09 AT<br>A PRICE OF $30 3056 LESS<br>BROKER COMMISSION OF $2 70 AND<br>OTHER CHARGES OF $0 08 WARBURG<br>DILLON READ LLC | - 90 000<br>30 305600 | 2,724 72 | 0 00 | - 3,726 79 | - 1,002 07 | 0 00 | - 1,002 07 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 23 Jun 09<br>26 Jun 09<br>Settled | SMITH INTL INC COM<br>CUSIP 832110100 / SII<br>WILLIAM O'NEIL / 136 20<br>OTHER CHARGES 2 19<br>SOLD 3,405 00 SHARES 06-23-09<br>AT A PRICE OF $24 982 LESS<br>BROKER COMMISSION OF $136 20<br>AND OTHER CHARGES OF $2 19<br>WILLIAM O'NEIL AND COMPANY | - 3,405 000<br>24 982000 | 84,925 32 | 0 00 | - 140,996 86 | - 56,071 54 | 0 00 | - 56,071 54 |
| 21 Apr 09<br>24 Apr 09<br>Settled | ST JUDE MED INC COM<br>CUSIP 790849103 / STJ<br>ISI GROUP INC / 116 00<br>OTHER CHARGES 2 54<br>SOLD 2,900 00 SHARES 04-21-09<br>AT A PRICE OF $34 0157 LESS<br>BROKER COMMISSION OF $116 00<br>AND OTHER CHARGES OF $2 54 ISI<br>GROUP | - 2,900 000<br>34 015700 | 98,526 99 | 0 00 | - 134,906 61 | - 36,379 62 | 0 00 | - 36,379 62 |
| 21 Apr 09<br>24 Apr 09<br>Settled | ST JUDE MED INC COM<br>CUSIP 790849103 / STJ<br>LIQUIDNET INC / 10 00<br>OTHER CHARGES 44<br>SOLD 500 00 SHARES 04-21-09 AT<br>A PRICE OF $34 0051 LESS<br>BROKER COMMISSION OF $10 00<br>AND OTHER CHARGES OF $0 44<br>LIQUIDNET INC | - 500 000<br>34 005100 | 16,992 11 | 0 00 | - 23,259 76 | - 6,267 65 | 0 00 | - 6,267 65 |
| 22 Apr 09<br>27 Apr 09<br>Settled | ST JUDE MED INC COM<br>CUSIP 790849103 / STJ<br>ISI GROUP INC / 37 00<br>OTHER CHARGES 87<br>SOLD 925 00 SHARES 04-22-09 AT<br>A PRICE OF $36 3583 LESS<br>BROKER COMMISSION OF $37 00<br>AND OTHER CHARGES OF $0 87 ISI<br>GROUP | - 925 000<br>36 358300 | 33,593 56 | 0 00 | - 43,030 56 | - 9,437 00 | 0 00 | - 9,437 00 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| 8 Oct 08<br>14 Oct 08<br>Settled | TERADATA CORP DEL COM STK<br>CUSIP 88076W103 / TDC<br>LIQUIDNET INC / 480 00<br>OTHER CHARGES 2 25<br>SOLD 24,000 00 SHARES 10-08-08<br>AT A PRICE OF $16 715 LESS<br>BROKER COMMISSION OF $480 00<br>AND OTHER CHARGES OF $2 25<br>LIQUIDNET INC | - 24,000 000<br>16 715000 | 400,677 75 | 0 00 | - 611,442 99 | - 210,765 24 | 0 00 | - 210,765 24 |
| 11 Feb 09<br>17 Feb 09<br>Settled | TEXAS INSTRS INC COM<br>CUSIP 882508104 / TXN<br>FRIEDMAN BILLING AND RAMSEY / 630 00<br>OTHER CHARGES 1 91<br>SOLD 21,000 00 SHARES 02-11-09<br>AT A PRICE OF $16 1985 LESS<br>BROKER COMMISSION OF $630 00<br>AND OTHER CHARGES OF $1 91<br>FRIEDMAN BILLING & RAMSEY | - 21,000 000<br>16 198500 | 339,536 59 | 0 00 | - 519,823 50 | - 180,286 91 | 0 00 | - 180,286 91 |
| 9 Mar 09<br>12 Mar 09<br>Settled | US BANCORP<br>CUSIP 902973304 / USB<br>ALLEN AND COMPANY LLC / 510 00<br>OTHER CHARGES 96<br>SOLD 17,000 00 SHARES 03-09-09<br>AT A PRICE OF $10 042 LESS<br>BROKER COMMISSION OF $510 00<br>AND OTHER CHARGES OF $0 96<br>ALLEN AND COMPANY LLC | - 17,000 000<br>10 042000 | 170,203 04 | 0 00 | - 354,169 47 | - 183,966 43 | 0 00 | - 183,966 43 |
| 5 Feb 09<br>10 Feb 09<br>Settled | VISA INC COM CL A STK<br>CUSIP 92826C839 / V<br>LIQUIDNET INC / 8 60<br>OTHER CHARGES 13<br>SOLD 430 00 SHARES 02-05-09 AT<br>A PRICE OF $52 9914 LESS<br>BROKER COMMISSION OF $8 60 AND<br>OTHER CHARGES OF $0 13<br>LIQUIDNET INC | - 430 000<br>52 991400 | 22,777 57 | 0 00 | - 21,429 87 | 1,347 70 | 0 00 | 1,347 70 |

## ◆ Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| **Sales** | | | | | | | | |
| **Equities** | | | | | | | | |
| 5 Feb 09<br>10 Feb 09<br>Settled | VISA INC COM CL A STK<br>CUSIP 92826C839 / V<br>UBS WARBURG LLC / 25 50<br>OTHER CHARGES 25<br>SOLD 850 00 SHARES 02-05-09 AT<br>A PRICE OF $52 1969 LESS<br>BROKER COMMISSION OF $25 50<br>AND OTHER CHARGES OF $0 25<br>WARBURG DILLON READ LLC | - 850 000<br><br>52 196900 | 44,341 62 | 0 00 | - 42,361 36 | 1,980 26 | 0 00 | 1,980 26 |
| 12 Mar 09<br>17 Mar 09<br>Settled | VISA INC COM CL A STK<br>CUSIP 92826C839 / V<br>MERRILL LYNCH PIERCE FENNER & SMITH /<br>30 80<br>OTHER CHARGES 23<br>SOLD 770 00 SHARES 03-12-09 AT<br>A PRICE OF $52 7818 LESS<br>BROKER COMMISSION OF $30.80<br>AND OTHER CHARGES OF $0 23<br>MERRILL LYNCH, PIERCE, FENNER | - 770 000<br><br>52 781800 | 40,610 96 | 0 00 | - 38,374 41 | 2,236 55 | 0 00 | 2,236 55 |
| 13 Mar 09<br>18 Mar 09<br>Settled | VISA INC COM CL A STK<br>CUSIP 92826C839 / V<br>BERNSTEIN, SANFORD C & CO / 52 60<br>OTHER CHARGES 40<br>SOLD 1,315 00 SHARES 03-13-09<br>AT A PRICE OF $54 1807 LESS<br>BROKER COMMISSION OF $52 60<br>AND OTHER CHARGES OF $0 40<br>BERNSTEIN, SANFORD C & CO INC | - 1,315 000<br><br>54 180700 | 71,194 62 | 0 00 | - 65,535 52 | 5,659 10 | 0 00 | 5,659 10 |
| 28 Aug 08<br>3 Sep 08<br>Settled | VISTAPRINT COM INC COM STK<br>CUSIP G93762204 / VPRT<br>JEFFERIES & COMPANY / 36 00<br>OTHER CHARGES 17<br>SOLD 900 00 SHARES 08-28-08 AT<br>A PRICE OF $33 4859 LESS<br>BROKER COMMISSION OF $36 00<br>AND OTHER CHARGES OF $0 17<br>JEFFERIES & CO , INC | - 900 000<br><br>33 485900 | 30,101 14 | 0 00 | - 25,792 57 | 4,308 57 | 0 00 | 4,308 57 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Accrued Interest | Realized Gain/Loss Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| 29 Aug 08<br>4 Sep 08<br>Settled | VISTAPRINT COM INC COM STK<br>CUSIP G93762204 / VPRT<br>LIQUIDNET INC / 1 40<br>OTHER CHARGES 02<br>SOLD 70 00 SHARES 08-29-08 AT A PRICE OF $33 13 LESS BROKER COMMISSION OF $1 40 AND OTHER CHARGES OF $0 02 LIQUIDNET INC | - 70 000<br>33 130000 | 2,317 68 | 0 00 | - 2,006 09 | 311 59 | 0 00 | 311 59 |
| 29 Aug 08<br>4 Sep 08<br>Settled | VISTAPRINT COM INC COM STK<br>CUSIP G93762204 / VPRT<br>JEFFERIES & COMPANY / 40 00<br>OTHER CHARGES 19<br>SOLD 1,000 00 SHARES 08-29-08 AT A PRICE OF $33 1886 LESS BROKER COMMISSION OF $40 00 AND OTHER CHARGES OF $0 19 JEFFERIES & CO , INC | - 1,000 000<br>33 188600 | 33,148 41 | 0 00 | - 28,658 41 | 4,490 00 | 0 00 | 4,490 00 |
| 19 Sep 08<br>24 Sep 08<br>Settled | VISTAPRINT COM INC COM STK<br>CUSIP G93762204 / VPRT<br>PIPER JAFFRAY INC / 32 40<br>OTHER CHARGES 18<br>SOLD 810 00 SHARES 09-19-08 AT A PRICE OF $37 5925 LESS BROKER COMMISSION OF $32 40 AND OTHER CHARGES OF $0 18 PIPER, JAFFRAY & HOPWOOD, INC | - 810 000<br>37.592500 | 30,417 35 | 0 00 | - 23,213 31 | 7,204 04 | 0 00 | 7,204 04 |
| 9 Dec 08<br>12 Dec 08<br>Settled | VISTAPRINT COM INC COM STK<br>CUSIP G93762204 / VPRT<br>JEFFERIES & COMPANY / 16 00<br>OTHER CHARGES 04<br>SOLD 400 00 SHARES 12-09-08 AT A PRICE OF $16 9283 LESS BROKER COMMISSION OF $16 00 AND OTHER CHARGES OF $0 04 JEFFERIES & CO , INC | - 400 000<br>16 928300 | 6,755 28 | 0 00 | - 11,463 37 | - 4,708 09 | 0 00 | - 4,708 09 |

## Investment Transaction Detail



| Trade Date<br>Settle Date<br>Trade Status | Security Description<br>Asset ID / Ticker<br>Broker / Commission<br>Narrative | Shares/PAR<br>Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| **Sales** | | | | | | | | |
| **Equities** | | | | | | | | |
| 10 Dec 08<br>15 Dec 08<br>Settled | VISTAPRINT COM INC COM STK<br>CUSIP G93762204 / VPRT<br>JEFFERIES & COMPANY / 40 00<br>OTHER CHARGES 10<br>SOLD 1,000 00 SHARES 12-10-08<br>AT A PRICE OF $16 8292 LESS<br>BROKER COMMISSION OF $40 00<br>AND OTHER CHARGES OF $0 10<br>JEFFERIES & CO , INC | - 1,000 000<br>16 829200 | 16,789 10 | 0 00 | - 28,658 41 | - 11,869 31 | 0 00 | - 11,869 31 |
| 11 Dec 08<br>16 Dec 08<br>Settled | VISTAPRINT COM INC COM STK<br>CUSIP G93762204 / VPRT<br>JEFFERIES & COMPANY / 5 20<br>OTHER CHARGES 02<br>SOLD 130 00 SHARES 12-11-08 AT<br>A PRICE OF $17 0014 LESS<br>BROKER COMMISSION OF $5 20 AND<br>OTHER CHARGES OF $0 02<br>JEFFERIES & CO , INC | - 130 000<br>17 001400 | 2,204 96 | 0 00 | - 3,725 59 | - 1,520 63 | 0 00 | - 1,520 63 |
| 1 May 09<br>6 May 09<br>Settled | VISTAPRINT COM INC COM STK<br>CUSIP G93762204 / VPRT<br>CRAIG HALLUM / 8 00<br>OTHER CHARGES 20<br>SOLD 200 00 SHARES 05-01-09 AT<br>A PRICE OF $37 45 LESS BROKER<br>COMMISSION OF $8 00 AND OTHER<br>CHARGES OF $0 20 CRAIG HALLUM | - 200 000<br>37 450000 | 7,481 80 | 0 00 | - 5,344 93 | 2,136 87 | 0 00 | 2,136 87 |
| 19 Mar 09<br>24 Mar 09<br>Settled | WALTER ENERGY INC<br>CUSIP 93317Q105 / WLT<br>CREDIT SUISSE FIRST BOSTON CORPORATION<br>/225 00<br>OTHER CHARGES 1 08<br>SOLD 7,500 00 SHARES 03-19-09<br>AT A PRICE OF $25 5593 LESS<br>BROKER COMMISSION OF $225 00<br>AND OTHER CHARGES OF $1 08<br>FIRST BOSTON CORP | - 7,500 000<br>25 559300 | 191,468 67 | 0 00 | - 141,346 93 | 50,121 74 | 0 00 | 50,121 74 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 29 Jun 09<br>2 Jul 09<br>Pending | WALTER ENERGY INC<br>CUSIP 93317Q105 / WLT<br>ALLEN AND COMPANY LLC / 90 00<br>OTHER CHARGES 2 86<br>SOLD 3,000 00 SHARES 06-29-09<br>AT A PRICE OF $37 0025 LESS<br>BROKER COMMISSION OF $90 00<br>AND OTHER CHARGES OF $2 86<br>ALLEN AND COMPANY LLC | - 3,000 000<br>37 002500 | 110,914 64 | 0 00 | - 49,505 35 | 61,409 29 | 0 00 | 61,409 29 |
| 24 Apr 09<br>29 Apr 09<br>Settled | WALTER INVT MGMT CORP<br>CUSIP 93317W102 / WAC<br>CREDIT SUISSE FIRST BOSTON CORPORATION<br>/54 78<br>OTHER CHARGES 86<br>SOLD 5,478 00 SHARES 04-24-09<br>AT A PRICE OF $6 0807 LESS<br>BROKER COMMISSION OF $54 78<br>AND OTHER CHARGES OF $0 86<br>FIRST BOSTON CORP | - 5,478 000<br>6 080700 | 33,254 43 | 0 00 | - 43,176 30 | - 9,921 87 | 0 00 | - 9,921 87 |
| 4 May 09<br>4 May 09<br>Settled | WALTER INVT MGMT CORP<br>CUSIP 93317W102 / WAC<br>RECEIVED CASH IN LIEU OF<br>FRACTIONAL INTEREST CASH RATE<br>OF $ 6 73 | - 0 340<br>0 000000 | 2 29 | 0 00 | - 2 68 | - 0 39 | 0 00 | - 0 39 |
| 31 Oct 08<br>5 Nov 08<br>Settled | WASH POST CO CL B COM<br>CUSIP 939640108 / WPO<br>CITIGROUP GLOBAL MARKETS INC/SMITH<br>BARNEY / 8 00<br>OTHER CHARGES 1 86<br>SOLD 800 00 SHARES 10-31-08 AT<br>A PRICE OF $414 0638 LESS<br>BROKER COMMISSION OF $8 00 AND<br>OTHER CHARGES OF $1 86 SMITH<br>BARNEY INC | - 800 000<br>414 063800 | 331,241 18 | 0 00 | - 626,529 00 | - 295,287 82 | 0 00 | - 295,287 82 |

# Investment Transaction Detail



## Sales

### Equities

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Realized Gain/Loss Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 15 Jun 09<br>18 Jun 09<br>Settled | WEATHERFORD INTL LTD<br>CUSIP H27013103 / WFT<br>HOWARD, WEIL, DIV LEGG MASON\ / 92 80<br>OTHER CHARGES 1 31<br>SOLD 2,320 00 SHARES 06-15-09<br>AT A PRICE OF $21 8421 LESS<br>BROKER COMMISSION OF $92 80<br>AND OTHER CHARGES OF $1 31<br>HOWARD, WEIL, LABOUISSE | - 2,320 000<br>21 842100 | 50,579 56 | 0 00 | - 28,728 10 | 21,851 46 | 0 00 | 21,851 46 |
| 13 Nov 08<br>18 Nov 08<br>Settled | WELLS FARGO & CO NEW COM STK<br>CUSIP 949746101 / WFC<br>JONESTRADING INST SERV / 3 00<br>OTHER CHARGES. 02<br>SOLD 100 00 SHARES 11-13-08 AT<br>A PRICE OF $26 4087 LESS<br>BROKER COMMISSION OF $3 00 AND<br>OTHER CHARGES OF $0 02<br>JONESTRADING INST SERV | - 100 000<br>26 408700 | 2,637 85 | 0 00 | - 2,700 00 | - 62 15 | 0 00 | - 62 15 |
| 13 Nov 08<br>18 Nov 08<br>Settled | WELLS FARGO & CO NEW COM STK<br>CUSIP 949746101 / WFC<br>J P MORGAN SECURITIES INC / 30 00<br>OTHER CHARGES 12<br>SOLD 750 00 SHARES 11-13-08 AT<br>A PRICE OF $26 406 LESS BROKER<br>COMMISSION OF $30 00 AND OTHER<br>CHARGES OF $0 12 J P MORGAN<br>SEC (STKS & BONDS) | - 750 000<br>26 406000 | 19,774 38 | 0 00 | - 20,250 00 | - 475 62 | 0 00 | - 475 62 |
| 10 Dec 08<br>15 Dec 08<br>Settled | WELLS FARGO & CO NEW COM STK<br>CUSIP 949746101 / WFC<br>LIQUIDNET INC / 16 40<br>OTHER CHARGES 14<br>SOLD 820 00 SHARES 12-10-08 AT<br>A PRICE OF $29 4369 LESS<br>BROKER COMMISSION OF $16 40<br>AND OTHER CHARGES OF $0 14<br>LIQUIDNET INC | - 820 000<br>29 436900 | 24,121 72 | 0 00 | - 22,140 00 | 1,981 72 | 0 00 | 1,981 72 |

# Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Accrued Interest | Realized Gain/Loss Cost | Market | Translation | Total |
|---|---|---|---|---|---|---|---|---|
| ***Sales*** | | | | | | | | |
| **Equities** | | | | | | | | |
| 20 Jan 09<br>23 Jan 09<br>Settled | WELLS FARGO & CO NEW COM STK<br>CUSIP 949746101 / WFC<br>KEEFE BRUYETTE AND WOODS INC / 202 40<br>OTHER CHARGES. 46<br>SOLD 5,060 00 SHARES 01-20-09<br>AT A PRICE OF $16 1518 LESS<br>BROKER COMMISSION OF $202 40<br>AND OTHER CHARGES OF $0 46<br>KEEFE, BRUYETTE, & WOODS INC | - 5,060 000<br><br>16 151800 | 81,525 25 | 0 00 | - 136,779 33 | - 55,254 08 | 0 00 | - 55,254 08 |
| 15 Jun 09<br>18 Jun 09<br>Settled | XTO ENERGY INC COM<br>CUSIP 98385X106 / XTO<br>MACQUARIE SECURITIES (USA) INC / 48 40<br>OTHER CHARGES 1 33<br>SOLD 1,210 00 SHARES 06-15-09<br>AT A PRICE OF $42 5261 LESS<br>BROKER COMMISSION OF $48 40<br>AND OTHER CHARGES OF $1 33<br>MACQUARIE SECURITIES (USA) INC | - 1,210 000<br><br>42 526100 | 51,406 85 | 0 00 | - 41,087 84 | 10,319 01 | 0 00 | 10,319 01 |
| Total United States - USD | | | 12,522,622 53 | 0 00 | - 17,874,487 97 | - 5,351,865 44 | 0 00 | - 5,351,865 44 |
| Total common stock | | | 13,136,266 72 | 0 00 | - 18,629,827 63 | - 5,493,560 91 | 0 00 | - 5,493,560 91 |
| **Total equities** | | | **13,136,266.72** | **0.00** | **- 18,629,827.63** | **- 5,493,560.91** | **0.00** | **- 5,493,560.91** |
| **Fixed Income** | | | | | | | | |
| **Government agencies** | | | | | | | | |
| **United States - USD** | | | | | | | | |
| 27 Feb 09<br>2 Mar 09<br>Settled | MFB NTGI COMMON DAILY AGGREGATE BOND<br>INDEX FUND - LENDING<br>CUSIP 003999AU3 /<br>SOLD 55,422 52 UNITS 02-27-09<br>AT A PRICE OF $10 106 NET | - 55,422 520<br><br>10 106000 | 560,100 00 | 0 00 | - 566,017 76 | - 5,917 76 | 0 00 | - 5,917 76 |
| 13 Mar 09<br>16 Mar 09<br>Settled | MFB NTGI COMMON DAILY AGGREGATE BOND<br>INDEX FUND - LENDING<br>CUSIP 003999AU3 /<br>SOLD 38,345 35 UNITS 03-13-09<br>AT A PRICE OF $10 129 NET | - 38,345 350<br><br>10 129000 | 388,400 00 | 0 00 | - 391,612 46 | - 3,212 46 | 0 00 | - 3,212 46 |

# Investment Transaction Detail



## Sales

### Fixed Income

| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount Principal | Transaction Amount Accrued Interest | Cost | Realized Gain/Loss Market | Realized Gain/Loss Translation | Realized Gain/Loss Total |
|---|---|---|---|---|---|---|---|---|
| 31 Mar 09<br>1 Apr 09<br>Settled | MFB NTGI COMMON DAILY AGGREGATE BOND<br>INDEX FUND - LENDING<br>CUSIP. 003999AU3 /<br>SOLD 48,927 00 UNITS 03-31-09<br>AT A PRICE OF $10 205 NET | - 48,927 000<br>10 205000 | 499,300 00 | 0 00 | - 499,172 79 | 127 21 | 0 00 | 127 21 |
| 17 Apr 09<br>20 Apr 09<br>Settled | MFB NTGI COMMON DAILY AGGREGATE BOND<br>INDEX FUND - LENDING<br>CUSIP 003999AU3 /<br>SOLD 74,112 12 UNITS 04-17-09<br>AT A PRICE OF $10 221 NET | - 74,112 120<br>10 221000 | 757,500 00 | 0 00 | - 756,121 45 | 1,378 55 | 0 00 | 1,378 55 |
| 30 Apr 09<br>1 May 09<br>Settled | MFB NTGI COMMON DAILY AGGREGATE BOND<br>INDEX FUND - LENDING<br>CUSIP 003999AU3 /<br>SOLD 62,571 09 UNITS 04-30-09<br>AT A PRICE OF $10 198 NET | - 62,571 090<br>10 198000 | 638,100 00 | 0 00 | - 637,975 55 | 124 45 | 0 00 | 124 45 |
| 15 May 09<br>18 May 09<br>Settled | MFB NTGI COMMON DAILY AGGREGATE BOND<br>INDEX FUND - LENDING<br>CUSIP 003999AU3 /<br>SOLD 63,186 55 UNITS 05-15-09<br>AT A PRICE OF $10 287 NET | - 63,186 550<br>10 287000 | 650,000 00 | 0 00 | - 644,250 79 | 5,749 21 | 0 00 | 5,749 21 |
| 29 May 09<br>1 Jun 09<br>Settled | MFB NTGI COMMON DAILY AGGREGATE BOND<br>INDEX FUND - LENDING<br>CUSIP 003999AU3 /<br>SOLD 78,262 57 UNITS 05-29-09<br>AT A PRICE OF $10 222 NET | - 78,262 570<br>10 222000 | 800,000 00 | 0 00 | - 798,498 80 | 1,501 20 | 0 00 | 1,501 20 |
| 12 Jun 09<br>15 Jun 09<br>Settled | MFB NTGI COMMON DAILY AGGREGATE BOND<br>INDEX FUND - LENDING<br>CUSIP 003999AU3 /<br>SOLD 98,600 02 UNITS 06-12-09<br>AT A PRICE OF $10 143 NET | - 98,600 020<br>10 143000 | 1,000,100 00 | 0 00 | - 1,005,998 11 | - 5,898 11 | 0 00 | - 5,898 11 |
| 30 Jun 09<br>1 Jul 09<br>Pending | MFB NTGI COMMON DAILY AGGREGATE BOND<br>INDEX FUND - LENDING<br>CUSIP 003999AU3 /<br>SOLD 97,599 30 UNITS 06-30-09<br>AT A PRICE OF $10 247 NET | - 97,599 300<br>10 247000 | 1,000,100 00 | 0 00 | - 996,367 98 | 3,732 02 | 0 00 | 3,732 02 |
| Total United States - USD | | | 6,293,600 00 | 0 00 | - 6,296,015 69 | - 2,415 69 | 0 00 | - 2,415 69 |
| Total government agencies | | | 6,293,600 00 | 0 00 | - 6,296,015 69 | - 2,415 69 | 0 00 | - 2,415 69 |
| **Total fixed Income** | | | **6,293,600.00** | **0.00** | **- 6,296,015.69** | **- 2,415.69** | **0.00** | **- 2,415.69** |

# Investment Transaction Detail



| Trade Date / Settle Date / Trade Status | Security Description / Asset ID / Ticker / Broker / Commission / Narrative | Shares/PAR / Price | Transaction Amount: Principal | Transaction Amount: Accrued Interest | Realized Gain/Loss: Cost | Realized Gain/Loss: Market | Realized Gain/Loss: Translation | Realized Gain/Loss: Total |
|---|---|---|---|---|---|---|---|---|
| **Sales** | | | | | | | | |
| **Hedge Fund** | | | | | | | | |
| **Hedge fund of funds** | | | | | | | | |
| **Multi-National Companies Region - USD** | | | | | | | | |
| 1 Jul 08<br>19 Aug 08<br>Settled | CF THE ORRINGTON FD LTD CL II<br>CUSIP 687999920 /<br>SOLD 1,599 20 SHARES ON 07/01/2008 AT A PRICE OF 1125 560100 | - 1,599 200<br>1,125 560100 | 1,800,000 00 | 0 00 | - 1,599,200 00 | 200,800 00 | 0 00 | 200,800 00 |
| 2 Jan 09<br>10 Feb 09<br>Settled | CF THE ORRINGTON FD LTD CL II<br>CUSIP 687999920 /<br>SOLD 300 39 SHARES ON 01/02/2009 AT A PRICE OF 1095 259500 | - 300 390<br>1,095 259500 | 329,000 00 | 0 00 | - 300,390 00 | 28,610 00 | 0 00 | 28,610 00 |
| 1 May 09<br>26 May 09<br>Settled | CF THE ORRINGTON FD LTD CL II<br>CUSIP 687999920 /<br>SOLD 69 51 SHARES ON 05/01/2009 AT A PRICE OF 1107 733800 | - 69 510<br>1,107 733800 | 77,000 00 | 0 00 | - 69,510 00 | 7,490 00 | 0 00 | 7,490 00 |
| Total Multi-National Companies Region - USD | | | 2,206,000 00 | 0 00 | - 1,969,100 00 | 236,900 00 | 0 00 | 236,900 00 |
| Total hedge fund of funds | | | 2,206,000 00 | 0 00 | - 1,969,100 00 | 236,900 00 | 0 00 | 236,900 00 |
| **Total hedge fund** | | | **2,206,000.00** | **0.00** | **- 1,969,100.00** | **236,900.00** | **0.00** | **236,900.00** |
| **Total sales** | | **- 1,416,800.29** | **21,635,866.72** | **0.00** | **- 26,894,943.32** | **- 5,259,076.60** | **0.00** | **- 5,259,076.60** |
| **Total transactions** | | | **2,180,334.96** | **0.00** | **- 6,932,153.86** | **- 4,751,818.90** | **0.00** | **- 4,751,818.90** |

Form **8868** (Rev April 2009) Department of the Treasury Internal Revenue Service

# Application for Extension of Time To File an Exempt Organization Return

OMB No 1545-1709

▶ File a separate application for each return.

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box ▶ [X]
- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form).

**Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868.

**Part I** **Automatic 3-Month Extension of Time.** Only submit original (no copies needed)

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ▶ [ ]

*All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.*

**Electronic Filing (e-file).** Generally, you can electronically file Form 8868 if you want a 3-month automatic extension of time to file one of the returns noted below (6 months for a corporation required to file Form 990-T) However, you cannot file Form 8868 electronically if (1) you want the additional (not automatic) 3-month extension or (2) you file Forms 990-BL, 6069, or 8870, group returns, or a composite or consolidated Form 990-T. Instead, you must submit the fully completed and signed page 2 (Part II) of Form 8868 For more details on the electronic filing of this form, visit *www.irs.gov/efile* and click on *e-file for Charities & Nonprofits*

| Type or print | Name of Exempt Organization | Employer identification number |
|---|---|---|
| | Visiting Nurse Association of Chicago (AKA) VNA Foundation | 36-2167943 |
| File by the due date for filing your return See instructions | Number, street, and room or suite no. If a P O box, see instructions<br>20 North Wacker Drive, No. 3118 | |
| | City, town or post office, state, and ZIP code For a foreign address, see instructions<br>Chicago,, IL 60606 | |

**Check type of return to be filed** (file a separate application for each return)

- [ ] Form 990
- [ ] Form 990-BL
- [ ] Form 990-EZ
- [X] Form 990-PF
- [ ] Form 990-T (corporation)
- [ ] Form 990-T (sec. 401(a) or 408(a) trust)
- [ ] Form 990-T (trust other than above)
- [ ] Form 1041-A
- [ ] Form 4720
- [ ] Form 5227
- [ ] Form 6069
- [ ] Form 8870

- The books are in the care of ▶ Mr. Robert DiLeonardi 20 N Wacker Dr Ste 3118 - Chicago, IL 60606
  Telephone No. ▶ 312-214-1521 FAX No. ▶
- If the organization does not have an office or place of business in the United States, check this box ▶ [ ]
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ . If this is for the whole group, check this box ▶ [ ] If it is for part of the group, check this box ▶ [ ] and attach a list with the names and EINs of all members the extension will cover.

1 I request an automatic 3-month (6-months for a corporation required to file Form 990-T) extension of time until February 15, 2010 , to file the exempt organization return for the organization named above The extension is for the organization's return for:
▶ [ ] calendar year ______ or
▶ [X] tax year beginning JUL 1, 2008 , and ending JUN 30, 2009

2 If this tax year is for less than 12 months, check reason [ ] Initial return [ ] Final return [ ] Change in accounting period

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|---|---|---|---|
| 3a | If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions. | 3a | $ 7,692. |
| b | If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit. | 3b | $ 45,627. |
| c | **Balance Due.** Subtract line 3b from line 3a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions. | 3c | $ 0. |

**Caution.** If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

LHA **For Privacy Act and Paperwork Reduction Act Notice, see Instructions.** Form **8868** (Rev. 4-2009)

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05-26-09