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

2009

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

For calendar year 2009, or tax year beginning , and ending

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

Use the IRS label. Otherwise, print or type. See Specific Instructions.	Name of foundation WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND		A Employer identification number 04-6037391
	Number and street (or P.O. box number if mail is not delivered to street address) Room/suite ONE HAMDEN CENTER, 2319 WHITNEY AVENUE 2B		B Telephone number (203) 230-3330
	City or town, state, and ZIP code HAMDEN, CT 06518		C If exemption application is pending, check here ☐
	H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 98,797,180. (Part I, column (d) must be on cash basis.)		J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	E If private foundation status was terminated under section 507(b)(1)(A), check here ☐ F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)		(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	388,571.			
	2 Check ☐ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	43.	43.		STATEMENT 1
	4 Dividends and interest from securities	2,981,401.	2,981,401.		STATEMENT 2
	5a Gross rents	<11,604.>	<11,604.>		STATEMENT 3
	b Net rental income or (loss)	<11,604.>			
	6a Net gain or (loss) from sale of assets not on line 10	298,097.			STATEMENT 4
	b Gross sales price for all assets on line 6a	11,693,899.			
	7 Capital gain net income (from Part IV, line 2)		306,601.		
	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	<168,496.>	<137,569.>	0.	STATEMENT 5	
12 Total. Add lines 1 through 11	3,488,012.	3,138,872.	0.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	249,493.	12,415.	0.	237,078.
	14 Other employee salaries and wages	627,007.	4,803.	0.	622,204.
	15 Pension plans, employee benefits	297,167.	5,984.	0.	291,183.
	16a Legal fees STMT 6	11,791.	1,576.	0.	10,215.
	b Accounting fees STMT 7	133,766.	64,963.	0.	68,803.
	c Other professional fees STMT 8	2,194,097.	984,649.	0.	1,209,448.
	17 Interest				
	18 Taxes STMT 9	5,364.	5,364.	0.	0.
	19 Depreciation and depletion	31,416.	0.	0.	
	20 Occupancy	153,770.	2,690.	0.	151,080.
	21 Travel, conferences, and meetings	34,084.	518.	0.	33,566.
	22 Printing and publications	14,101.	151.	0.	13,950.
	23 Other expenses STMT 10	223,094.	29,472.	0.	193,622.
	24 Total operating and administrative expenses. Add lines 13 through 23	3,975,150.	1,112,585.	0.	2,831,149.
	25 Contributions, gifts, grants paid	4,380,481.			4,380,481.
26 Total expenses and disbursements. Add lines 24 and 25	8,355,631.	1,112,585.	0.	7,211,630.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	<4,867,619.>				
b Net investment income (if negative, enter -0-)		2,026,287.			
c Adjusted net income (if negative, enter -0-)			0.		

Part II Balance Sheets

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing	203,352.	870,413.	870,413.
	2	Savings and temporary cash investments	4,469,831.	5,452,938.	5,452,938.
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons			
	7	Other notes and loans receivable ▶			
		Less: allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U.S. and state government obligations STMT 11	4,081,202.	2,492,604.	2,556,283.
	b	Investments - corporate stock STMT 12	65,705,006.	57,726,884.	69,132,931.
	c	Investments - corporate bonds STMT 13	1,262,163.	1,299,988.	1,362,397.
Liabilities	11	Investments - land, buildings, and equipment basis ▶			
		Less: accumulated depreciation ▶			
	12	Investments - mortgage loans			
	13	Investments - other STMT 14	14,835,243.	17,870,596.	19,305,721.
	14	Land, buildings, and equipment: basis ▶ 730,728.			
		Less: accumulated depreciation ▶ 631,766.	129,302.	98,962.	98,962.
	15	Other assets (describe ▶ STATEMENT 15)	17,535.	17,535.	17,535.
	16	Total assets (to be completed by all filers)	90,703,634.	85,829,920.	98,797,180.
	17	Accounts payable and accrued expenses			
	18	Grants payable			
Net Assets or Fund Balances	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable			
	22	Other liabilities (describe ▶ STATEMENT 16)	6,095.	0.	
	23	Total liabilities (add lines 17 through 22)	6,095.	0.	
Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.	24	Unrestricted	90,697,539.	85,829,920.	
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg., and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances	90,697,539.	85,829,920.	
	31	Total liabilities and net assets/fund balances	90,703,634.	85,829,920.	

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	90,697,539.
2	Enter amount from Part I, line 27a	2	<4,867,619.>
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	85,829,920.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	85,829,920.

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 11,693,899.		11,387,298.	306,601.

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			306,601.

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	306,601.
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))
2008	8,223,409.	109,268,345.	.075259
2007	5,807,531.	118,941,018.	.048827
2006	6,025,970.	108,691,184.	.055441
2005	5,504,932.	100,407,915.	.054826
2004	4,648,351.	94,263,483.	.049312

2 Total of line 1, column (d)	2	.283665
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	.056733
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	88,989,280.
5 Multiply line 4 by line 3	5	5,048,629.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	20,263.
7 Add lines 5 and 6	7	5,068,892.
8 Enter qualifying distributions from Part XII, line 4	8	7,212,706.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	20,263.
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	20,263.
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	20,263.
6 Credits/Payments:			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	39,996.	
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	39,996.	
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	19,733.	
11 Enter the amount of line 10 to be: Credited to 2010 estimated tax ☒ 19,733. 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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ☒ \$ 0. (2) On foundation managers. ☒ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☒ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	X	
b If "Yes," has it filed a tax return on Form 990-T for this year?	X	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV.	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☒ CT, NY, CA		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

Part VII-A Statements Regarding Activities (continued)

11- At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		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? Website address ► <u>WWW.WCGMF.ORG</u>	13	X	
14 The books are in care of ► <u>EDWARD H PIKAART, JR</u> Telephone no. ► <u>203-865-2927</u> Located at ► <u>ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE,</u> ZIP+4 ► <u>06518</u>			
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year	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)? Organizations relying on a current notice regarding disaster assistance check here ☐	1b	X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?	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 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? ☐ 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 2009 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 2009.) 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 2009?	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 "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

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 17		249,493.	60,071.	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
NANCY B LEONARD - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	PUBLIC AFFAIRS OFFICER	103,000.	40,144.	0.
CARMEN SIBERON - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	GRANTS MANAGER	103,000.	40,099.	0.
PRISCILLA FAUSTINI - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	EXECUTIVE ASSISTANT	61,800.	37,979.	0.
ANGELA FRUSCIANTE - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	PROGRAM OFFICER	72,100.	16,953.	0.
GAIL TORRES QUINTERO - ONE HAMDEN CENTER, 2B, 2319 WHITNEY AVE, HAMDEN,	CONVENING COORDINATOR	60,180.	16,950.	0.
Total number of other employees paid over \$50,000			2	2

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
CHARTER OAK GROUP 114 RIDGEWOOD ROAD, GLASTONBURY, CT 06033	GRANT CONSULTING	162,632.
MORRISON DOWNS ASSOCIATES, INC 79 MAPLE STREET, MILFORD, CT 06460	GRANT CONSULTING	141,681.
CAMBRIDGE ASSOCIATES 100 SUMMER STREET, BOSTON, MA 02110	INVESTMENT ADVISORS	126,850.
CENTER FOR THE STUDY OF SOCIAL POLICY - 1575 EYE STREET, N.W. SUITE 500, WASHINGTON, DC	GRANT CONSULTING	111,308.
PIKAART VISCONTI AND ASSOCIATES 41 MIDDLETOWN AVENUE, NORTH HAVEN, CT 06473	ACCOUNTING	105,466.
Total number of others receiving over \$50,000 for professional services		5

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 SEE ATTACHED STATEMENT	
	114,976.
2 SEE ATTACHED STATEMENT	
	54,032.
3 SEE ATTACHED STATEMENT	
	49,062.
4 SEE ATTACHED STATEMENT	
	26,306.

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.	
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	86,465,742.
b	Average of monthly cash balances	1b	3,878,705.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	90,344,447.
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	90,344,447.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	1,355,167.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	88,989,280.
6	Minimum investment return. Enter 5% of line 5	6	4,449,464.

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	4,449,464.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	20,263.
b	Income tax for 2009. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	20,263.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	4,429,201.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	4,429,201.
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	4,429,201.

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	7,211,630.
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	1,076.
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	7,212,706.
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	20,263.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	7,192,443.

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 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				4,429,201.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2009:				
a From 2004	68,881.			
b From 2005	626,168.			
c From 2006	783,159.			
d From 2007	100,348.			
e From 2008	2,641,555.			
f Total of lines 3a through e	4,220,111.			
4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$ 7,212,706.				
a Applied to 2008, 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 2009 distributable amount				4,429,201.
e Remaining amount distributed out of corpus	2,783,505.			
5 Excess distributions carryover applied to 2009 (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	7,003,616.			
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 2008. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				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 2004 not applied on line 5 or line 7	68,881.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	6,934,735.			
10 Analysis of line 9:				
a Excess from 2005	626,168.			
b Excess from 2006	783,159.			
c Excess from 2007	100,348.			
d Excess from 2008	2,641,555.			
e Excess from 2009	2,783,505.			

N/A

- b. Check box to indicate whether the foundation is a private operating foundation described in section**

☐ 4942(i)(3) or ☐ 4942(j)(5)

- (4) Gross investment income

[illegible]Form **990-PF** (2009)

Part XV **Supplementary Information** (continued)

3 - Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> SEE ATTACHED SCHEDULE	N/A			4,380,481.
Total				▶ 3a 4,380,481.
b <i>Approved for future payment</i> SEE ATTACHED SCHEDULE	N/A			2,150,851.
Total				▶ 3b 2,150,851.

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. | | |

[illegible]

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

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

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.

Sign Here

Signature of officer or trustee

Date _____

11/15/10

EXECUTIVE DIRECTOR

Title

**Paid
Preparer's
Use Only**

Preparer's 
signature

Firm's name (or yours if self-employed),
address, and ZIP code

PIKAART VISCONTI & ASSOCIATES, P.C.

41 MIDDLETOWN AVENUE

NORTH HAVEN, CT 06473-3926

Date	
------	--

11/15/10

Check if self-employed	
------------------------	--

EIN ►

Preparer's identifying number

Phone no. (203) 865-2927

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, or 990-PF.

OMB No 1545-0047

2009

Name of the organization

Employer identification number

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

04-6037391

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

- ☐ 501(c)() (enter number) organization
- ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
- ☐ 527 political organization

Form 990-PF

- ☒ 501(c)(3) exempt private foundation
- ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
- ☐ 501(c)(3) taxable private foundation

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

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$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 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 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 (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, aggregate contributions 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 990-EZ that received from any one contributor, during the year, 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. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990, or check the box on line H of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Privacy Act and Paperwork Reduction Act Notice, see the Instructions
for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2009)

Name of organization

Employer identification number

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

04-6037391

Part I Contributors (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	WILLIAM & JEAN GRAUSTEIN ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	\$ 295,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
2	NTNY CUST ACCT FOR WCG &NT AS CO-TTS ART 8D TRUST FBO THELMA EWIG 50 SOUTH LASALLE STREET CHICAGO, IL 60603	\$ 91,822.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)

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	PASS THROUGH FROM LIMITED PARTNERSHIPS	P	VARIOUS	VARIOUS
b	PASS THROUGH FROM LIMITED PARTNERSHIPS	P	VARIOUS	VARIOUS
c	PASS THROUGH FROM LIMITED PARTNERSHIPS	P	VARIOUS	VARIOUS
d	PASS THROUGH FROM LIMITED PARTNERSHIPS	P	VARIOUS	VARIOUS
e	SEE ATTACHED PAGE	P	VARIOUS	VARIOUS
f	TIFF - MULTI ASSET FUND	P	VARIOUS	VARIOUS
g	CAPITAL GAINS DIVIDENDS			
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 61,237.			61,237.
b 128,979.			128,979.
c 44.			44.
d 8,845.			8,845.
e 6,938,954.		7,087,282.	<148,328.>
f 4,522,613.		4,300,016.	222,597.
g 33,227.			33,227.
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			(i) 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			61,237.
b			128,979.
c			44.
d			8,845.
e			<148,328.>
f			222,597.
g			33,227.
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	306,601.
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

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	AMOUNT
NORTHERN TRUST COMPANY	43.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	43.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
COMMONFUND CAPITAL INTERNATIONAL PARTNERS V LP K-1 DIVIDENDS	3,403.	0.	3,403.
COMMONFUND CAPITAL INTERNATIONAL PARTNERS V LP K-1 INTEREST	13,342.	0.	13,342.
COMMONFUND CAPITAL INTERNATIONAL PARTNERS VI LP K-1 DIVIDENDS	824.	0.	824.
COMMONFUND CAPITAL INTERNATIONAL PARTNERS VI LP K-1 INTEREST	1,846.	0.	1,846.
COMMONFUND CAPITAL NATURAL RESOURCES LP K-1 DIVIDENDS	1,322.	0.	1,322.
COMMONFUND CAPITAL NATURAL RESOURCES LP K-1 INTEREST	2,764.	0.	2,764.
COMMONFUND CAPITAL NATURAL RESOURCES PARTNERS VII LP K-1 INTEREST	11.	0.	11.
COMMONFUND CAPITAL PRIVATE EQUITY PARTNERS VI LP K-1 DIVIDENDS	1,917.	0.	1,917.
COMMONFUND CAPITAL PRIVATE EQUITY PARTNERS VI LP K-1 INTEREST	5,496.	0.	5,496.
COMMONFUND CAPITAL PRIVATE EQUITY PARTNERS VII LP K-1 DIVIDENDS	290.	0.	290.
COMMONFUND CAPITAL PRIVATE EQUITY PARTNERS VII LP K-1 INTEREST	627.	0.	627.
COMMONFUND CAPITAL VENTURE PARTNERS VII LP K-1 DIVIDENDS	81.	0.	81.
COMMONFUND CAPITAL VENTURE PARTNERS VII LP K-1 INTEREST	870.	0.	870.
COMMONFUND CAPITAL VENTURE PARTNERS VIII LP K-1 DIVIDENDS	12.	0.	12.
COMMONFUND CAPITAL VENTURE PARTNERS VIII LP K-1 INTEREST	563.	0.	563.
NORTHERN TRUST COMPANY	1,557.	0.	1,557.

NORTHERN TRUST COMPANY CUSTODIAL DIVIDENDS	209,807.	0.	209,807.
NORTHERN TRUST COMPANY CUSTODIAL INTEREST	192,375.	0.	192,375.
NORTHERN TRUST COMPANY CUSTODIAL INTEREST	4,022.	0.	4,022.
POMONA CAPITAL VI, LP K-1 DIVIDENDS	7,543.	0.	7,543.
POMONA CAPITAL VI, LP K-1 INTEREST	26,582.	0.	26,582.
TIFF INTERNATIONAL EQUITY FUND	146,862.	705.	146,157.
TIFF MULTI-ASSET FUND	2,069,043.	0.	2,069,043.
TIFF PARTNERS I, LLC K-1 DIVIDENDS	1.	0.	1.
TIFF PARTNERS I, LLC K-1 INTEREST	288.	0.	288.
TIFF PARTNERS II, LLC K-1 DIVIDENDS	386.	0.	386.
TIFF PARTNERS II, LLC K-1 INTEREST	596.	0.	596.
TIFF PARTNERS III, LLC K-1 DIVIDENDS	130.	0.	130.
TIFF PARTNERS III, LLC K-1 INTEREST	2,988.	0.	2,988.
TIFF PARTNERS IV, LLC K-1 DIVIDENDS	3,553.	0.	3,553.
TIFF PARTNERS IV, LLC K-1 INTEREST	16,633.	0.	16,633.
TIFF PARTNERS V-US, LLC K-1 DIVIDENDS	1,139.	0.	1,139.
TIFF PARTNERS V-US, LLC K-1 INTEREST	5,031.	0.	5,031.
TIFF PRIVATE EQUITY PARTNERS 2005, LLC K-1 DIVIDENDS	5,300.	0.	5,300.
TIFF PRIVATE EQUITY PARTNERS 2005, LLC K-1 INTEREST	11,366.	0.	11,366.
TIFF PRIVATE EQUITY PARTNERS 2006, LLC K-1 DIVIDENDS	2,163.	0.	2,163.
TIFF PRIVATE EQUITY PARTNERS 2006, LLC K-1 INTEREST	21,057.	0.	21,057.
TIFF PRIVATE EQUITY PARTNERS 2007, LLC K-1 DIVIDENDS	686.	0.	686.
TIFF PRIVATE EQUITY PARTNERS 2007, LLC K-1 INTEREST	9,041.	0.	9,041.
TIFF PRIVATE EQUITY PARTNERS 2008, LLC K-1 DIVIDENDS	52.	0.	52.
TIFF PRIVATE EQUITY PARTNERS 2008, LLC K-1 INTEREST	1,299.	0.	1,299.
TIFF PRIVATE EQUITY PARTNERS 2009, LLC K-1 INTEREST	80.	0.	80.
TIFF R & R PARTNERS I, LLC K-1 DIVIDENDS	31.	0.	31.
TIFF R & R PARTNERS I, LLC K-1 INTEREST	12,171.	0.	12,171.

PIFF R & R PARTNERS II, LLC K-1 DIVIDENDS	507.	0.	507.
PIFF R & R PARTNERS II, LLC K-1 INTEREST	12,501.	0.	12,501.
PIFF R & R PARTNERS III, LLC K-1 DIVIDENDS	144.	0.	144.
PIFF R & R PARTNERS III, LLC K-1 INTEREST	4,822.	0.	4,822.
PIFF REAL ESTATE PARTNERS I, LLC K-1 INTEREST	3,626.	0.	3,626.
PIFF REAL ESTATE PARTNERS I, LLC K-1 DIVIDENDS	578.	0.	578.
PIFF REAL ESTATE PARTNERS II, LLC K-1 INTEREST	3,632.	0.	3,632.
PIFF REALTY AND RESOURCES 2008, LLC K-1 DIVIDENDS	157.	0.	157.
PIFF REALTY AND RESOURCES 2008, LLC K-1 INTEREST	1,017.	0.	1,017.
PIFF REALTY AND RESOURCES 2009, LLC K-1 INTEREST	51.	0.	51.
PIFF SECONDARY PARTNERS II, LLC K-1 DIVIDENDS	3,466.	0.	3,466.
PIFF SECONDARY PARTNERS II, LLC K-1 INTEREST	19,866.	0.	19,866.
FUCKERBROOK SB GLOBAL DISTRESSED FUND I LP K-1 DIVIDENDS	26,019.	0.	26,019.
FUCKERBROOK SB GLOBAL DISTRESSED FUND I LP K-1 INTEREST	30,736.	0.	30,736.
VANGUARD LONG-TERM TREASURY FUND	122,356.	32,522.	89,834.
TOTAL TO FM 990-PF, PART I, LN 4	3,014,628.	33,227.	2,981,401.

FORM 990-PF	RENTAL INCOME	STATEMENT	3
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KIND AND LOCATION OF PROPERTY	ACTIVITY NUMBER	GROSS RENTAL INCOME
PASS-THROUGH OF RENTAL INCOME	1	<11,254.>
PASS-THROUGH OF OTHER RENTAL INCOME	2	<350.>
TOTAL TO FORM 990-PF, PART I, LINE 5A		<11,604.>

FORM 990-PF

GAIN OR (LOSS) FROM SALE OF ASSETS

STATEMENT

4

(A) DESCRIPTION OF PROPERTY		MANNER ACQUIRED		DATE ACQUIRED		DATE SOLD	
		PURCHASED		VARIOUS		VARIOUS	
PASS THROUGH FROM LIMITED PARTNERSHIPS							
(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS			
61,237.	0.	0.	0.	61,237.			

(A) DESCRIPTION OF PROPERTY			MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
PASS THROUGH FROM LIMITED PARTNERSHIPS			PURCHASED	VARIOUS	VARIOUS
(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS	
128,979.	0.	0.	0.	128,979.	

(A) DESCRIPTION OF PROPERTY		MANNER ACQUIRED		DATE ACQUIRED		DATE SOLD	
PASS THROUGH FROM LIMITED PARTNERSHIPS		PURCHASED		VARIOUS		VARIOUS	
(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS			
44.	0.	0.	0.	44.			

(A) DESCRIPTION OF PROPERTY	(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	MANNER ACQUIRED PURCHASED	DATE ACQUIRED VARIOUS	DATE SOLD VARIOUS
PASS THROUGH FROM LIMITED PARTNERSHIPS	8,845.	0.	0.	0.		8,845.

(A) DESCRIPTION OF PROPERTY	(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	MANNER ACQUIRED PURCHASED	DATE ACQUIRED VARIOUS	DATE SOLD VARIOUS
SEE ATTACHED PAGE	6,938,954.	7,087,282.	0.	0.		<148,328.>

(A) DESCRIPTION OF PROPERTY	(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	MANNER ACQUIRED PURCHASED	DATE ACQUIRED VARIOUS	DATE SOLD VARIOUS
TIFF - MULTI ASSET FUND	4,522,613.	4,277,403.	22,613.	0.		222,597.

(A) DESCRIPTION OF PROPERTY	(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	MANNER ACQUIRED PURCHASED	DATE ACQUIRED VARIOUS	DATE SOLD VARIOUS
PASS THROUGH LIMITED PARTNERS	0.	8,504.	0.	0.		<8,504.>

NET GAIN OR LOSS FROM SALE OF ASSETS	264,870.
CAPITAL GAINS DIVIDENDS FROM PART IV	33,227.
TOTAL TO FORM 990-PF, PART I, LINE 6A	298,097.

FORM 990-PF	OTHER INCOME	STATEMENT	5
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DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
PASS-THROUGH OF GUARANTEED PAYMENTS	3.	3.	0.
PASS-THROUGH OF OTHER INCOME	<8,029.>	<8,029.>	0.
PASS-THROUGH OF OTHER PORTFOLIO INCOME	<94,030.>	<94,030.>	0.
PASS-THROUGH OF ORDINARY INCOME	<74,740.>	<74,740.>	0.
PASS-THROUGH OF ROYALTY INCOME	39,016.	39,016.	0.
PASS-THROUGH OF OTHER INCOME	<41,242.>	0.	0.
SECURITIES LITIGATION SETTLEMENT	211.	211.	0.
REFUND OF 990T 2004 AND 2005	9,604.	0.	0.
REFUND OF STATE OVERPAYMENT	711.	0.	0.
TOTAL TO FORM 990-PF, PART I, LINE 11	<168,496.>	<137,569.>	0.

FORM 990-PF	LEGAL FEES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
GENERAL COUNSEL	11,791.	1,576.	0.	10,215.
TO FM 990-PF, PG 1, LN 16A	11,791.	1,576.	0.	10,215.

FORM 990-PF	ACCOUNTING FEES	STATEMENT	7
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
AUDITORS	69,501.	34,750.	0.	34,751.
ACCOUNTANTS	64,265.	30,213.	0.	34,052.
TO FORM 990-PF, PG 1, LN 16B	133,766.	64,963.	0.	68,803.

FORM 990-PF

OTHER PROFESSIONAL FEES

STATEMENT 8

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT ADVISOR	126,849.	126,849.	0.	0.
INVESTMENT CUSTODIAN	6,651.	6,651.	0.	0.
INVESTMENT MANAGER	64,823.	64,823.	0.	0.
PROGRAM DEVELOPMENT	224,008.	0.	0.	224,008.
PASS THROUGH OF INVESTMENT FEES AND OTHER DEDUCTIONS	786,326.	786,326.	0.	0.
COMMUNITY LIAISONS	264,247.	0.	0.	264,247.
CAPACITY BUILDING	499,310.	0.	0.	499,310.
TECHNICAL ASSISTANCE PROVIDERS	70,575.	0.	0.	70,575.
EVALUATION	0.	0.	0.	0.
WEBSITE DEVELOPMENT	18,194.	0.	0.	18,194.
DISCOVERY FALL CONFERENCE	28,861.	0.	0.	28,861.
DONALD DAVIS WORKSHOP	38,739.	0.	0.	38,739.
STORIES/MEDIA WORK	12,141.	0.	0.	12,141.
KNOWLEDGE MANAGEMENT	47,493.	0.	0.	47,493.
ECE CAMPAIGN	3,435.	0.	0.	3,435.
EMPLOYEE WELLNESS	2,445.	0.	0.	2,445.
TO FORM 990-PF, PG 1, LN 16C	2,194,097.	984,649.	0.	1,209,448.

FORM 990-PF

TAXES

STATEMENT 9

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN	3,864.	3,864.	0.	0.
NYS CHARITABLE FILING FEE	1,500.	1,500.	0.	0.
TO FORM 990-PF, PG 1, LN 18	5,364.	5,364.	0.	0.

FORM 990-PF	OTHER EXPENSES			STATEMENT 10
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PAYROLL FEES	2,302.	46.	0.	2,256.
DUES, FEES, MEMBERSHIPS	4,644.	38.	0.	4,606.
TRAINING BOARD & STAFF	2,204.	2.	0.	2,202.
OFFICE SUPPLIES	9,553.	246.	0.	9,307.
OFFICE	3,267.	1.	0.	3,266.
COMPUTER MAINTENANCE & SUPPLIES	30,825.	630.	0.	30,195.
POSTAGE	7,548.	572.	0.	6,976.
STATIONERY	635.	13.	0.	622.
BANK CHARGES	30.	1.	0.	29.
CONVENING	98,332.	155.	0.	98,177.
TELECOMMUNICATIONS	11,759.	280.	0.	11,479.
ANNUAL REPORT	500.	0.	0.	500.
LIABILITY INSURANCE	18,293.	381.	0.	17,912.
INVESTMENT INTEREST	27,107.	27,107.	0.	0.
COMMUNICATIONS	6,095.	0.	0.	6,095.
TO FORM 990-PF, PG 1, LN 23	223,094.	29,472.	0.	193,622.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS			STATEMENT 11
DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
SEE ATTACHED SCHEDULE	X		2,492,604.	2,556,283.
TOTAL U.S. GOVERNMENT OBLIGATIONS			2,492,604.	2,556,283.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			2,492,604.	2,556,283.

FORM 990-PF	CORPORATE STOCK	STATEMENT 12
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
SEE ATTACHED SCHEDULE	57,726,884.	69,132,931.
TOTAL TO FORM 990-PF, PART II, LINE 10B	57,726,884.	69,132,931.

FORM 990-PF	CORPORATE BONDS	STATEMENT 13
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
SEE ATTACHED SCHEDULE	1,299,988.	1,362,397.
TOTAL TO FORM 990-PF, PART II, LINE 10C	1,299,988.	1,362,397.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT 14
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
SEE ATTACHED SCHEDULE	COST	17,870,596.	19,305,721.
TOTAL TO FORM 990-PF, PART II, LINE 13		17,870,596.	19,305,721.

FORM 990-PF	OTHER ASSETS	STATEMENT 15
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DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
SECURITY DEPOSITS	12,999.	12,999.	12,999.
PROGRAM-RELATED INVESTMENT - LOCAL INITIATIVES SUPPORT CORPORATION	4,536.	4,536.	4,536.
TO FORM 990-PF, PART II, LINE 15	17,535.	17,535.	17,535.

FORM 990-PF	OTHER LIABILITIES	STATEMENT	16
DESCRIPTION	BOY AMOUNT	EOY AMOUNT	
EMPLOYEE WITHHOLDING	6,095.	0.	
TOTAL TO FORM 990-PF, PART II, LINE 22	6,095.	0.	

FORM 990-PF	PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS	STATEMENT	17
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NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
WILLIAM C GRAUSTEIN ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 15.00	4,343.	0.	0.
P RANGANATH NAYAK ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 2.00	2,500.	0.	0.
BENJAMIN R SHUTE, JR ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 3.00	3,750.	0.	0.
DAVID C OXMAN ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 3.00	0.	0.	0.
DAVID M NEE ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	EXECUTIVE DIRECTOR 50.00	233,900.	60,071.	0.
LISA GRAUSTEIN ONE HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVENUE HAMDEN, CT 06518	TRUSTEE 2.00	0.	0.	0.

WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND

04-6037391

BARBARA TINNEY	TRUSTEE			
ONE HAMDEN CENTER, SUITE 2B, 2319				
WHITNEY AVENUE	2.00	5,000.	0.	0.
HAMDEN, CT 06518				

TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII

249,493.	60,071.	0.
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FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 18

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

DAVID M NEE, EXECUTIVE DIRECTOR, WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND
1 HAMDEN CENTER, SUITE 2B, 2319 WHITNEY AVE
HAMDEN, CT 06518

TELEPHONE NUMBER

203-230-3330

FORM AND CONTENT OF APPLICATIONS

A BRIEF LETTER SHOULD INCLUDE A PROBLEM AND OPPORTUNITY STATEMENT, THE METHODS FOR ADDRESSING THE PROBLEM, AND ITS PROPOSED SOLUTION. ENCLOSE A CURRENT COPY OF IRS 501(C)(3) DETERMINATION LETTER. AFTER THE LETTER IS REVIEWED, AN APPLICATION FORM IS PROVIDED, WHEN APPROPRIATE, FOR COMPLETION BY THE APPLICANT.

ANY SUBMISSION DEADLINES

NO ESTABLISHED DEADLINE.

RESTRICTIONS AND LIMITATIONS ON AWARDS

THE MEMORIAL FUND WILL WORK WITH COMMUNITIES AND NONPROFIT ORGANIZATIONS THAT BENEFIT CONNECTICUT'S CHILDREN THROUGH EDUCATIONAL CHANGE IN SCHOOLS, POLICY RESEARCH AND ADVOCACY, AND INCREASED LEVELS OF COMMUNITY ENGAGEMENT AND PARENTAL INVOLVEMENT. GRANTS ARE NOT MADE TO ORGANIZATIONS THAT ARE NOT RECOGNIZED AS 501(C)(3), INDIVIDUALS, RELIGIOUS ORGANIZATIONS FOR SECTARIAN PURPOSES, CAPITAL CAMPAIGNS, POLITICAL CAUSES AND ACTIVITIES, AND SCHOLARSHIPS.

William Caspar Graustein Memorial Fund

EIN # 04-6037391

Form 990-PF, Part II, Lines 10a-c & 13 Investments

	2009	
	Book Value	Market Value
<u>Line 10a</u>		
Total Government Bonds - Page 19	\$ 507,453	\$ 538,066
Total Government Agencies - None	-	-
Total Government Backed Mortgage Securities - Page 24	464,989	502,739
Total US Treasury Bills - None	-	-
Vanguard Long-Term Treasury Fund	1,520,162	1,515,478
Total Investments - U S and State Government Obligations	<u>\$ 2,492,604</u>	<u>\$ 2,556,283</u>

<u>Line 10b</u>		
Total Equities - Page 18	\$ 7,428,838	\$10,535,675
TIFF Intl Equity Fund	2,000,016	2,094,654
TIFF Multi-Asset Fund	41,298,030	47,967,434
TIFF Absolute Return Pool II	5,000,000	6,088,444
Nyes Ledge Capital Offshore Fund	2,000,000	2,446,724
Less Pending Stock Purchases - None	-	-
Total Investments - Corporate Stock	<u>\$ 57,726,884</u>	<u>\$69,132,931</u>

<u>Line 10c</u>		
Total Corporate Bonds - Page 22	\$ 749,416	\$ 816,251
Total non-Government Backed CMOS - Page 27	280,027	263,114
Total Asset backed Securities - Page 26	270,544	283,032
Total Investments - Corporate Bonds	<u>\$ 1,299,988</u>	<u>\$ 1,362,397</u>

<u>Line 13</u>		
TIFF Limited Partnership I	\$ 56,110	\$ 57,325
TIFF Limited Partnership II	\$ 133,786	139,815
TIFF Limited Partnership III	\$ 336,967	324,564
TIFF Limited Partnership IV	\$ 1,198,173	1,137,124
TIFF Realty & Resources Limited Partnership I	\$ 432,400	457,200
TIFF Realty & Resources Limited Partnership II	\$ 630,391	718,400
TIFF Realty & Resources Limited Partnership III	\$ 394,571	416,044
TIFF Real Estate Partners I	\$ 750,904	892,955
TIFF Real Estate Partners II	\$ 785,842	1,048,710
TIFF R&R 2008	\$ 186,363	182,158
TIFF R&R 2009	\$ 19,493	21,102
TIFF PARTNERS V - US	\$ 1,430,375	1,393,259
TIFF PEP 2005	\$ 556,307	563,644
TIFF PEP 2006	\$ 948,192	944,976
TIFF PEP 2007	\$ 675,813	610,759
TIFF PEP 2008	\$ 204,728	205,010
TIFF PEP 2009	\$ 30,463	30,063
TIFF Secondary Partners	\$ 1,348,764	1,109,288
Pomona Capital VI	\$ 2,164,201	2,140,593
Commonfund Capital PEP VI	\$ 408,682	497,011
Commonfund Capital PEP VII	\$ 95,035	154,964
Commonfund Nat Res Partners	\$ 530,870	762,226
Commonfund Nat Res Prtns VIII	\$ 16,204	20,962
Commonfund International Partners V	\$ 1,880,418	2,307,911
Commonfund International Partners VI	\$ 458,386	700,646
Commonfund Venture Partners VII	\$ 492,953	574,293
Commonfund Venture Partners VIII	\$ 366,922	571,198
Tuckerbrook GDF Fund	\$ 1,337,283	1,323,521
Total Investments - Other	<u>\$ 17,870,596</u>	<u>\$19,305,721</u>



◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss Translation	Total
Common stock								
Canada - USD								
CDN NAT RES LTD COM CDN NAT RES COM STK SEDOL 2125202	3,046,000 71,950		307.62	219,159.70	23,715.24	195,444.46	0.00	195,444.46
5 Feb 03	1,200,000	7.79		86,340.00	9,342.84	76,997.16	0.00	76,997.16
29 Jan 03	800,000	7.79		57,560.00	6,228.56	51,331.44	0.00	51,331.44
6 Feb 03	649,000	7.79		46,695.55	5,052.92	41,642.63	0.00	41,642.63
23 Jan 03	237,000	7.79		17,052.15	1,845.21	15,206.94	0.00	15,206.94
22 Jan 03	160,000	7.79		11,512.00	1,245.71	10,266.29	0.00	10,266.29
Total USD			307.62	219,159.70	23,715.24	195,444.46	0.00	195,444.46
Total Canada			307.62	219,159.70	23,715.24	195,444.46	0.00	195,444.46
Germany - USD								
ADR SAP AG SPONSORED ADR SEDOL 2775135	5,520,000 46,810		0.00	258,391.20	247,399.05	10,992.15	0.00	10,992.15
27 Feb 07	2,956,000	46.10		136,370.36	136,283.13	2,087.23	0.00	2,087.23
28 Feb 07	1,840,000	45.99		86,130.40	84,625.28	1,505.12	0.00	1,505.12
21 Apr 09	431,000	38.14		20,175.11	16,438.34	3,736.77	0.00	3,736.77
6 Nov 08	293,000	34.31		13,715.33	10,052.30	3,663.03	0.00	3,663.03
Total USD			0.00	258,391.20	247,399.05	10,992.15	0.00	10,992.15
Total Germany			0.00	258,391.20	247,399.05	10,992.15	0.00	10,992.15
Switzerland - USD								
ADR NESTLE S A SPONSORED ADR REPSTG REG SH SEDOL B014JG9	10,305,000 48,350		0.00	498,246.75	219,210.08	279,036.67	0.00	279,036.67

**- Lot Level Information Not Verified

Northern Trust

Generated by Northern Trust from reviewed periodic data on 5 Feb 10

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID Acquisition Date	Shares/PAR		Local cost/share	Accrued income/expense	Market value	Cost	Unrealized gain/loss		Total
	Local market price	Market							
Common stock									
18 Nov 02	4,974 000		21 27		240,492 90	105,807 95	134,684 95	0 00	134,684 95
19 Nov 02	2,686 500		21 27		129,892 28	57,147 78	72,744 50	0 00	72,744 50
31 Mar 03	1,750 000		21 27		84,612 50	37,226 36	47,386 14	0 00	47,386 14
15 Nov 02	894 500		21 27		43,249 07	19,027 99	24,221 08	0 00	24,221 08
ADR NOVARTIS AG SEDOL 2620105									
8 Feb 05	5,319 000 54 430			0 00	289,513 17	249,520 75	39,992 42	- 0 00	39,992 42
7 Feb 05	1,900 000		47 59		103,417 00	90,411 50	13,005 50	0 00	13,005 50
26 Jul 05	1,400 000		47 74		76,202 00	66,837 96	9,364 04	0 00	9,364 04
13 May 05	862 000		48 59		46,918 66	41,888 80	5,029 86	0 00	5,029 86
21 Apr 09	457 000		48 44		24,874 51	22,134 80	2,739 71	0 00	2,739 71
6 Nov 08	417 000		35 70		22,697 31	14,884 94	7,812 37	0 00	7,812 37
	283 000		47 22		15,403 69	13,362 75	2,040 94	0 00	2,040 94
Total USD				0 00	787,759 92	468,730 83	319,029 09	0 00	319,029 09
Total Switzerland									
				0 00	787,759 92	468,730 83	319,029 09	0 00	319,029 09
United Kingdom - USD									
ADR BP P L C SPONSORED ADR SEDOL 2142621									
9 Jan 04	3,853 000 57 970			0 00	223,358 41	186,759 11	36,599 30	0 00	36,599 30
21 Apr 09	3,152,000		49 38		182,721 44	155,652 76	27,068 68	0 00	27,068 68
6 Nov 08	303,000		39 88		17,564 91	12,082 76	5,482 15	0 00	5,482 15
29 Sep 08	208 000		46 84		11,941 82	9,649 86	2,291 96	0 00	2,291 96
	192 000		48 82		11,130 24	9,373 73	1,756 51	0 00	1,756 51
Total USD				0 00	223,358 41	186,759 11	36,599 30	0 00	36,599 30
Total United Kingdom									
				0 00	223,358 41	186,759 11	36,599 30	0 00	36,599 30

** - Lot Level Information Not Verified

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss Translation	Total
Common stock								
United States - USD								
AIR PROD & CHEM INC COM SEDOL 2011602	3,175,000 81,060		1,428.75	257,365.50	177,730.50	79,635.00	0.00	79,635.00
13 Sep 05								
14 Sep 05	1,000,000	56.03		81,060.00	56,027.00	25,033.00	0.00	25,033.00
12 Sep 05	875,000	56.05		70,927.50	49,047.60	21,879.90	0.00	21,879.90
19 Sep 05	700,000	55.76		56,742.00	39,035.08	17,706.92	0.00	17,706.92
	600,000	56.03		48,636.00	33,620.82	15,015.18	0.00	15,015.18
AMERICAN EXPRESS CO								
SEDOL 2026082	6,555,000 40,520		0.00	265,608.60	135,278.63	130,329.97	0.00	130,329.97
16 Nov 93								
9 Nov 01	4,580,000	20.77		185,581.60	95,139.04	90,442.56	0.00	90,442.56
8 Jul 94	878,000	20.77		35,576.56	18,238.44	17,338.12	0.00	17,338.12
21 Apr 09	579,000	20.77		23,461.08	12,027.40	11,433.68	0.00	11,433.68
	518,000	19.06		20,989.36	9,873.75	11,115.61	0.00	11,115.61
ANALOG DEVICES INC COM								
SEDOL 2032067	7,501,000 31,580		0.00	236,881.58	238,707.69	- 1,826.11	0.00	- 1,826.11
19 Dec 06								
22 Feb 05	2,200,000	32.60		69,476.00	71,719.34	- 2,243.34	0.00	- 2,243.34
18 Dec 06	1,734,000	36.50		54,759.72	63,283.72	- 8,524.00	0.00	- 8,524.00
20 Dec 06	900,000	32.85		28,422.00	29,565.54	- 1,143.54	0.00	- 1,143.54
13 May 05	697,000	33.25		22,011.26	23,173.09	- 1,161.83	0.00	- 1,161.83
21 Apr 09	606,000	35.29		19,137.48	21,388.22	- 2,250.74	0.00	- 2,250.74
29 Sep 08	589,000	20.35		18,600.62	11,986.15	6,614.47	0.00	6,614.47
6 Nov 08	374,000	25.20		11,810.92	9,426.03	2,384.89	0.00	2,384.89
	401,000	20.36		12,663.58	8,165.60	4,497.98	0.00	4,497.98

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID Acquisition Date	Shares/PAR		Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss		Total
	Local market price							Translation		
Common stock										
AVON PRODUCTS INC COM USD0.25 SEDOL 2066721	6,651 000 31 500			0.00	209,506 50	94,050 74	115,455 76		0 00	115,455 76
2 Mar 00	4,400 000		14 14		138,600 00	62,219 70	76,380 30		0 00	76,380 30
12 Oct 99	1,751 000		14 14		55,156 50	24,760 62	30,395 88		0 00	30,395 88
23 Mar 01	500 000		14 14		15,750 00	7,070 42	8,679 58		0 00	8,679 58
BAKER HUGHES INC COM SEDOL 2072085	3,757 000 40 480			0.00	152,083 36	126,896 28	25,187 08		0 00	25,187 08
8 Jul 09	2,121 000		33 71		85,858 08	71,507 82	14,350 26		0 00	14,350 26
7 Jul 09	1,171 000		33 45		47,402 08	39,171 82	8,230 26		0 00	8,230 26
9 Jul 09	465 000		34 87		18,823 20	16,216 64	2,606 56		0 00	2,606 56
BECTON DICKINSON & CO COM SEDOL 2087807	3,045 000 78 860			1,126 65	240,128 70	67,639 94	172,488 76		0 00	172,488 76
22 Dec 99	882 000		22 21		69,554 52	19,592 26	49,962 26		0 00	49,962 26
16 Dec 93	653 000		22 21		51,495 58	14,505 38	36,990 20		0 00	36,990 20
20 Dec 93	546 000		22 21		43,057 56	12,128 54	30,929 02		0 00	30,929 02
17 Dec 93	514 000		22 21		40,534 04	11,417 71	29,116 33		0 00	29,116 33
27 Jul 99	450 000		22 21		35,487 00	9,996 05	25,490 95		0 00	25,490 95
BORG WARNER INC COM SEDOL 2111955	3,524 000 33 220			0 00	117,067 28	71,225 30	45,841 98		0 00	45,841 98
27 Oct 08	2,018 000		20 19		67,037 96	40,749 68	26,288 28		0 00	26,288 28
27 Oct 08	1,056 000		19 94		35,080 32	21,057 48	14,022 84		0 00	14,022 84
28 Oct 08	450 000		20 93		14,949 00	9,418 14	5,530 86		0 00	5,530 86
CARNIVAL CORP COM PAIRED SEDOL 2523044	5,852 000 31 690			0 00	185,449 88	128,833 77	56,616 11		0 00	56,616 11

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Cost Method: HIGH COST

Description Asset ID Acquisition Date	Shares/PAR		Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	
	Local market price	Total							
Common stock									
22 Oct 01	2,368 000		22 02		75,041 92	52,132 33	22,909 59	0 00	22,909 5
10 Mar 03	2,300 000		22 02		72,887 00	50,635 28	22,251 72	0 00	22,251 7
22 Dec 94	751 000		22 02		23,799 19	16,533 52	7,265 67	0 00	7,265 6
7 Mar 03	403 000		22 02		12,771 07	8,872 18	3,898 89	0 00	3,898 8
20 Dec 94	30,000		22 02		950 70	660 46	290 24	0 00	290 2
CATERPILLAR INC COM SEDOL 2180201									
	3,646 000			0 00	207,785 54	128,225 57	79,559 97	0 00	79,559 9
	56,990								
27 May 09	2,503 000		35 23		142,645 97	88,168 68	54,477 29	0 00	54,477 2
26 May 09	1,143 000		35 05		65,139 57	40,056 89	25,082 68	0 00	25,082 6
CHARLES RIV LABORATORIES INTL INC COM SEDOL 2604336									
	3,978 000			0 00	134,018 82	141,578 53	- 7,559 71	0 00	- 7,559 7
	33 690								
13 Feb 09	1,097 000		27 92		36,957 93	30,625 61	6,332 32	0 00	6,332 3
5 Feb 07	600 000		45 64		20,214 00	27,385 44	- 7,171 44	0 00	- 7,171 4
1 Feb 07	600 000		45 60		20,214 00	27,359 28	- 7,145 28	0 00	- 7,145
17 Feb 09	628 000		27 45		21,157 32	17,240 80	3,916 52	0 00	3,916 5
30 Jan 07	350,000		45 03		11,791 50	15,760 75	- 3,969 25	0 00	- 3,969 2
21 Apr 09	313,000		26 25		10,544 97	8,217 00	2,327 97	0 00	2,327 9
6 Feb 07	150,000		45 68		5,053 50	6,851 98	- 1,798 48	0 00	- 1,798
31 Jan 07	100,000		44 90		3,369 00	4,490 42	- 1,121 42	0 00	- 1,121 4
6 Nov 08	140,000		26 05		4,716 60	3,647 25	1,069 35	0 00	1,069 3
CISCO SYSTEMS INC SEDOL 2198163									
	14,128 000			0 00	338,224 32	265,505 88	72,718 44	0 00	72,718 4
	23 940								
10 Jan 06	12,262 000		19 01		293,552 28	233,082 23	60,470 05	0 00	60,470 0
21 Apr 09	1,111 000		17 65		26,597 34	19,609 71	6,987 63	0 00	6,987 6
Nov 08	755,000		16 97		18,074 70	12,813 94	5,260 76	0 00	5,260 7

Northern Trust

Cost Method	HIGH COST
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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID Acquisition Date	Shares/PAR		Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss		Total
	Local market price							Translation		
Common stock										
9 Jun 03	1,600,000		15.97		51,536.00	25,555.94	25,980.06		0.00	25,980.06
3 Apr 00	1,476,000		15.97		47,541.96	23,575.35	23,966.61		0.00	23,966.61
30 Mar 00	1,146,000		15.97		36,912.66	18,304.44	18,608.22		0.00	18,608.22
DOVER CORP COM SEDOL: 2278407	3,435,000			0.00	142,930.35	110,224.40	32,705.95		0.00	32,705.95
18 Aug 98	800,000		32.33		33,288.00	25,860.95	7,427.05		0.00	7,427.05
22 Oct 01	703,000		32.33		29,251.83	22,725.32	6,526.51		0.00	6,526.51
23 Jul 02	504,000		32.33		20,971.44	16,292.40	4,679.04		0.00	4,679.04
21 Apr 09	373,000		31.54		15,520.53	11,764.57	3,755.96		0.00	3,755.96
28 Apr 98	300,000		32.33		12,483.00	9,697.85	2,785.15		0.00	2,785.15
19 Aug 98	276,000		32.33		11,484.36	8,922.03	2,562.33		0.00	2,562.33
6 Nov 08	254,000		30.27		10,568.94	7,687.89	2,881.05		0.00	2,881.05
17 Aug 98	154,000		32.33		6,407.94	4,978.23	1,429.71		0.00	1,429.71
17 Jul 98	71,000		32.33		2,954.31	2,295.16	659.15		0.00	659.15
EMERSON ELECTRIC CO COM SEDOL: 2313405	5,430,000			0.00	231,318.00	187,314.77	44,003.23		0.00	44,003.23
18 Feb 09	1,608,000		29.91		68,500.80	48,090.62	20,410.18		0.00	20,410.18
8 Oct 08	943,000		36.99		40,171.80	34,883.93	5,287.87		0.00	5,287.87
6 Oct 08	938,000		36.33		39,958.80	34,082.04	5,876.76		0.00	5,876.76
7 Oct 08	773,000		37.33		32,929.80	28,858.25	4,071.55		0.00	4,071.55
3 Oct 08	520,000		39.38		22,152.00	20,477.34	1,674.66		0.00	1,674.66
21 Apr 09	426,000		32.50		18,147.60	13,846.83	4,300.77		0.00	4,300.77
6 Nov 08	222,000		31.87		9,457.20	7,075.76	2,381.44		0.00	2,381.44
EOG RESOURCES INC COM SEDOL: 2318024	2,139,000			0.00	208,124.70	103,042.38	105,082.32		0.00	105,082.32
	97,300									

** - Lot Level Information Not Verified

Northern Trust

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Market	Translation	Total
Common stock								
3 Mar 09	1,708 000	47 44		166,188 40	81,035 38	85,153 02	0 00	85,153 02
4 Mar 09	244 000	50 65		23,741 20	12,359 09	11,382 11	0 00	11,382 11
5 Mar 09	187 000	51 59		18,195 10	9,647 91	8,547 19	0 00	8,547 19
EXELON CORP COM SEDOL 2670519	3,455,000 48 870		0 00	168,845 85	182,276 83	- 13,430 98	0 00	- 13,430 98
7 May 09	1,199 000	47 85		58,595 13	57,375 87	1,219 26	0 00	1,219 26
7 Oct 08	950 000	55 69		46,426 50	52,902 75	- 6,476 25	0 00	- 6,476 25
6 Oct 08	710 000	56 10		34,697 70	39,832 42	- 5,134 72	0 00	- 5,134 72
3 Oct 08	258 000	61 71		12,608 46	15,921 28	- 3,312 82	0 00	- 3,312 82
21 Apr 09	201 000	46 09		9,822 87	9,264 15	558 72	0 00	558 72
6 Nov 08	137 000	50 95		6,695 19	6,980 36	- 285 17	0 00	- 285 17
FEDEX CORP COM SEDOL 2142784	3,179 000 83 450		349 69	265,287 55	108,036 94	157,250 61	0 00	157,250 61
20 Oct 98	900 000	28 29		75,105 00	25,460 82	49,644 18	0 00	49,644 18
13 Oct 98	895 000	28 29		74,687 75	25,319 37	49,368 38	0 00	49,368 38
26 Mar 01	500 000	28 29		41,725 00	14,144 90	27,580 10	0 00	27,580 10
21 Apr 09	250 000	52 34		20,862 50	13,084 75	7,777 75	0 00	7,777 75
6 Nov 08	170 000	62 95		14,186 50	10,702 33	3,484 17	0 00	3,484 17
29 Sep 08	120 000	79 94		10,014 00	9,593 08	420 92	0 00	420 92
12 Oct 98	294 000	28 29		24,534 30	8,317 20	16,217 10	0 00	16,217 10
24 Jan 01	50 000	28 29		4,172 50	1,414 49	2,758 01	0 00	2,758 01
GOLDMAN SACHS GROUP INC COM SEDOL 2407966	1,034 000 168 840		0 00	174,580 56	166,942 43	7,638 13	0 00	7,638 13
20 Aug 07	489 000	172 87		82,562 76	84,535 34	- 1,972 58	0 00	- 1,972 58
17 Aug 07	356 000	174 33		60,107 04	62,061 30	- 1,954 26	0 00	- 1,954 26

** - Lot Level Information Not Verified

Northern Trust

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Cost Method: HIGH COST

Equities

**** - Lot Level Information Not Verified**

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Common stock								
MEDTRONIC INC COM SEDOL 2575465	5,140,000 43,980		0.00	226,057.20	220,619.21	5,437.99	0.00	5,437.99
11 Jan 00								
26 Nov 01	1,392,000	44.29		61,220.16	61,647.13	- 426.97	0.00	- 426.97
15 Oct 03	1,300,000	44.29		57,174.00	57,572.75	- 398.75	0.00	- 398.75
16 Dec 03	771,000	44.29		33,908.58	34,145.07	- 236.49	0.00	- 236.49
16 Oct 03	556,000	44.29		24,452.88	24,623.42	- 170.54	0.00	- 170.54
21 Apr 09	443,000	44.29		19,483.14	19,619.02	- 135.88	0.00	- 135.88
6 Nov 08	404,000	30.71		17,767.92	12,408.70	5,359.22	0.00	5,359.22
	274,000	38.70		12,050.52	10,603.12	1,447.40	0.00	1,447.40
MICROSOFT CORP COM SEDOL 2588173	13,253,000 30,490		0.00	404,083.97	300,636.51	103,447.46	0.00	103,447.46
31 May 06	5,691,000	23.06		173,518.59	131,237.31	42,281.28	0.00	42,281.28
21 Jun 06	5,327,000	22.98		162,420.23	122,403.81	40,016.42	0.00	40,016.42
21 Apr 09	1,040,000	18.85		31,709.60	19,608.68	12,100.92	0.00	12,100.92
6 Nov 08	707,000	21.35		21,556.43	15,096.43	6,460.00	0.00	6,460.00
13 May 05	488,000	25.19		14,879.12	12,290.28	2,588.84	0.00	2,588.84
MONSANTO CO NEW COM SEDOL 2854320	3,056,000 81,750		0.00	249,828.00	215,405.19	34,422.81	0.00	34,422.81
26 Jun 07	1,566,000	67.80		128,020.50	106,180.13	21,840.37	0.00	21,840.37
10 Sep 09	736,000	78.97		60,168.00	58,120.30	2,047.70	0.00	2,047.70
27 Jun 07	629,000	65.47		51,420.75	41,183.52	10,237.23	0.00	10,237.23
21 Apr 09	125,000	79.37		10,218.75	9,921.24	297.51	0.00	297.51
OCCIDENTAL PETROLEUM CORP SEDOL 2655408	2,085,000 81,350		688.05	169,614.75	124,710.16	44,904.59	0.00	44,904.59

** - Lot Level Information Not Verified

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Equities

Description Asset ID Acquisition Date	Shares/PAR Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Unrealized gain/loss		Total
						Market	Translation	
Common stock								
PEPSICO INC COM SEDOL 2681511	1,399 000	59.20		113,808.65	82,814.22	30,994.43	0.00	30,994.43
	686 000	61.07		55,806.10	41,895.94	13,910.16	0.00	13,910.16
	3,722 000		1,674.90	226,297.60	235,481.23	- 9,183.63	0.00	- 9,183.63
	60 800							
	1,743 000	65.00		105,974.40	113,295.17	- 7,320.77	0.00	- 7,320.77
	819 000	65.88		49,795.20	53,958.10	- 4,162.90	0.00	- 4,162.90
20 Apr 07	559 000	66.70		33,987.20	37,286.64	- 3,299.44	0.00	- 3,299.44
	358 000	49.21		21,766.40	17,618.33	4,148.07	0.00	4,148.07
	21 Apr 09							
	243 000	54.83		14,774.40	13,322.99	1,451.41	0.00	1,451.41
PROCTER & GAMBLE CO COM SEDOL: 2704407	4,143 000		0.00	251,190.09	251,148.27	41.82	0.00	41.82
	60 630							
	2,159 000	61.36		130,900.17	132,481.42	- 1,581.25	0.00	- 1,581.25
	758 000	61.27		45,957.54	46,443.72	- 486.18	0.00	- 486.18
	617 000	61.43		37,408.71	37,903.05	- 494.34	0.00	- 494.34
	286 000	61.83		17,340.18	17,682.58	- 342.40	0.00	- 342.40
	3 Jul 07							
	323 000	51.51		19,583.49	16,637.50	2,945.99	0.00	2,945.99
PROGRESSIVE CORP OH COM SEDOL 2705024	14,248 000		0.00	256,321.52	116,549.49	139,772.03	0.00	139,772.03
	17 990							
	10,710 000	5.57		192,672.90	59,649.21	133,023.69	0.00	133,023.69
	1,118 000	15.84		20,112.82	17,708.67	2,404.15	0.00	2,404.15
	951 000	18.57		17,108.49	17,657.31	- 548.82	0.00	- 548.82
	709 000	16.74		12,754.91	11,868.09	886.82	0.00	886.82
	760 000	12.72		13,672.40	9,666.21	4,006.19	0.00	4,006.19
	Nov 08							

** - Lot Level Information Not Verified

Cost Method: HIGH COST

Equities

Description Asset ID Acquisition Date	Shares/PAR		Local cost/share	Accrued income/expense	Market value	Cost	Unrealized gain/loss		Total
	Local market price	Market							
Common stock									
UTI WORLDWIDE INC ORD NPV SEDOL 2676368	7,509,000 14,320			0.00	107,528.88	174,854.25	- 67,325.37	0.00	- 67,325.37
30 Mar 07	2,310,000		24.58		33,079.20	56,789.50	- 23,710.30	0.00	- 23,710.30
2 Apr 07	976,000		24.45		13,976.32	23,866.32	- 9,890.00	0.00	- 9,890.00
29 Mar 07	771,000		24.06		11,040.72	18,553.58	- 7,512.86	0.00	- 7,512.86
22 Dec 06	600,000		28.52		8,592.00	17,110.98	- 8,518.98	0.00	- 8,518.98
21 Dec 06	500,000		28.69		7,160.00	14,345.65	- 7,185.65	0.00	- 7,185.65
3 Apr 07	567,000		24.61		8,119.44	13,954.84	- 5,835.40	0.00	- 5,835.40
21 Apr 09	587,000		12.73		8,405.84	7,475.33	930.51	0.00	930.51
29 Sep 08	372,000		15.98		5,327.04	5,945.01	- 617.97	0.00	- 617.97
13 Dec 06	200,000		27.69		2,864.00	5,537.26	- 2,673.26	0.00	- 2,673.26
12 Dec 06	200,000		27.51		2,864.00	5,502.44	- 2,638.44	0.00	- 2,638.44
6 Nov 08	399,000		12.52		5,713.68	4,996.32	717.36	0.00	717.36
20 Dec 06	27,000		28.78		386.64	777.02	- 390.38	0.00	- 390.38
WAL-MART STORES INC COM SEDOL 2936921	3,874,000 53,450			1,055.67	207,065.30	177,114.38	29,950.92	0.00	29,950.92
28 Apr 06	3,493,000		45.55		186,700.85	159,094.98	27,605.87	0.00	27,605.87
13 May 05	381,000		47.30		20,364.45	18,019.40	2,345.05	0.00	2,345.05
WELLS FARGO & CO NEW COM STK SEDOL 2649100	8,143,000 26,990			0.00	219,779.57	176,092.00	43,687.57	0.00	43,687.57
1 May 09	6,006,000		20.03		162,101.94	120,289.37	41,812.57	0.00	41,812.57
17 Dec 09	2,137,000		26.11		57,677.63	55,802.63	1,875.00	0.00	1,875.00

**** - Lot Level Information Not Verified**

Cost Method: HIGH COST

Equities

**** - Lot Level Information Not Verified**

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description Asset ID Acquisition Date	Local market price	Shares/PA Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss Translation	Total
Government bonds								
United States - USD								
UNITED STATES TREAS BDS 8 1/8% 15/5/2021USD1000 8 125% DUE 05-15-2021 SEDOL 2931175	160,000 000 136 797		1,687 85	218,875 04	208,600 00	10,275 04	0 00	10,275 04
Issue Date: 15 May 91 Rate: 8.125% Yield to Maturity 3.808% Maturity Date: 15 May 21								
26 Jul 07	160,000 000	130 38		218,875 04	208,600 00	10,275 04	0 00	10,275 04
UNITED STATES TREAS NTS DTD 00150 4 75% DUE 01-31-2012 REG SEDOL B1P8J42	137,000 000 107 320		2,723 25	147,028 81	137,428 12	9,600 69	0 00	9,600 69
Issue Date: 31 Jan 07 Rate: 4.75% Yield to Maturity 0.814% Maturity Date: 31 Jan 12								
15 Feb 07	137,000 000	100 31		147,028 81	137,428 12	9,600 69	0 00	9,600 69
UNITED STATES TREAS NTS 4 875 DUE 02-15-2012 REG SEDOL 2846547	160,000 000 107 602		2,946 20	172,162 56	161,425 00	10,737 56	0 00	10,737 56
Issue Date: 15 Feb 02 Rate: 4.875% Yield to Maturity 0.86% Maturity Date: 15 Feb 12								
26 Jul 07	160,000 000	100 89		172,162 56	161,425 00	10,737 56	0 00	10,737 56
Total USD			7,357 30	538,066 41	507,453 12	30,613 29	0 00	30,613 29
Total United States			7,357 30	538,066 41	507,453 12	30,613 29	0 00	30,613 29
Total government bonds			7,357 30	538,066 41	507,453 12	30,613 29	0 00	30,613 29

** - Lot Level Information Not Verified

Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description	Asset ID	Acquisition Date	Local market price	Shares/PAR	Local cost/share	Accrued income/expense	Market value	Cost	Market	Translation	Unrealized gain/loss	Total
Corporate bonds												
13 Jan 09			100,000,000		103.13		121,845.10	103,125.00	18,720.10	0.00		18,720.10
Total USD						17,055.89	778,265.43	718,290.58	59,974.85	0.00		59,974.85
Total United States						17,055.89	778,265.43	718,290.58	59,974.85	0.00		59,974.85
Total corporate bonds						17,855.62	816,250.58	749,416.08	66,834.50	0.00		66,834.50
Government mortgage backed securities												
United States - USD												
FEDERAL HOME LN MTG CORP POOL #A3-7107			199,388,220			747.71	199,658.19	184,776.79	14,881.40	0.00		14,881.40
4 5% 09-01-2035 BEO			100.135									
CUSIP 31297S3Q6												
Issue Date: 1 Aug 05 Rate 4 5% Yield to Maturity 4.157% Maturity Date 1 Sep 35												
7 Nov 05			199,388,220		92.67		199,658.19	184,776.79	14,881.40	0.00		14,881.40
FHLMC MULTICLASS SER 3209 CL TB 5			120,000,000			500.00	124,130.16	115,106.25	9,023.91	0.00		9,023.91
06-15-2031			103.442									
CUSIP 31397A5V1												
Issue Date 1 Aug 06 Rate 5% Yield to Maturity 2.982% Maturity Date 15 Jun 31												
13 Oct 06			120,000,000		95.92		124,130.16	115,106.25	9,023.91	0.00		9,023.91
FNMA REMIC TR SER 97-11 CL E 7 GTD MTG			27,560,930			160.77	30,358.03	25,541.21	4,816.82	0.00		4,816.82
PASS THRU CTF DUE 03-18-2027 REG			110.149									
CUSIP 31359NTJ0												
Issue Date 1 Feb 97 Rate 7% Yield to Maturity 4.225% Maturity Date 18 Mar 27												
17 Apr 97			27,560,930		92.67		30,358.03	25,541.21	4,816.82	0.00		4,816.82

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◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description Asset ID Acquisition Date	Local market price	Shares/PAR	Local cost/share	Accrued income/expense	Market value	Cost	Market	Translation	Total
Government mortgage backed securities									
GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP: 36204FVE1	2,489,840 110 749			14 52	2,757 47	2,331 13	426.34	0 00	426 34
Issue Date 1 Nov 93 Rate 7% Maturity Date 15 Oct 23									
19 Jul 94	2,489,840		93 63		2,757 47	2,331 13	426 34	0 00	426 34
GNMA POOL #370975 SER 2023 6.5% DUE 12-15-2023 REG CUSIP: 36204JCL8	17,874 600 106.518			96 82	19,039 67	17,729 40	1,310 27	0 00	1,310 27
Issue Date 1 Dec 93 Rate 6.5% Yield to Maturity 4.885% Maturity Date 15 Dec 23									
12 Nov 93	17,874,600		99 19		19,039 67	17,729 40	1,310 27	0 00	1,310 27
GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP: 36204JDD5	26,465 230 106 557			132 33	28,200 56	25,059 32	3,141 24	0 00	3,141 24
Issue Date 1 Jan 94 Rate 6% Yield to Maturity 4.267% Maturity Date 15 Jan 24									
5 Oct 95	26,465,230		94 69		28,200 56	25,059 32	3,141 24	0 00	3,141 24
GNMA 5% DUE 10-20-2036 CUSIP: 36375L6T2	53,310 030 100.882			222 13	53,780 33	53,909 77	- 129.44	0 00	- 129 44
Issue Date 1 Dec 07 Rate 5% Yield to Maturity 1.939% Maturity Date 20 Oct 36									
7 Jan 08	53,310 030		101 13		53,780 33	53,909 77	- 129.44	0 00	- 129 44
Total USD				2,100 89	502,738.96	464,989.20	37,749.76	0 00	37,749.76
Total United States				2,100 89	502,738 96	464,989 20	37,749 76	0 00	37,749 76
Total government mortgage backed securities				2,100.89	502,738.96	464,989.20	37,749.76	0.00	37,749 76

** - Lot Level Information Not Verified

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description	Asset ID	Acquisition Date	Local market price	Shares/PA Local cost/share	Accrued income/expense	Market value	Cost	Market	Unrealized gain/loss	Total
Asset backed securities										
United States - USD										
AMERICREDIT 9 78999996185% DUE 04-15-2014 CUSIP 03064AAD6			20,000 000 110 599		87 02	22,119 72	20,600 00	1,519 72	0 00	1,519 72
Issue Date: 14 Jul 09 Rate 9 78999996185% Yield to Maturity 3 645% Maturity Date 15 Apr 14										
20 Jul 09			20,000 000	103 00		22,119 72	20,600 00	1,519 72	0 00	1,519 72
CARMAX AUTO OWNER 4 65000009537% DUE 08-17-2015 CUSIP 14313BAE8			50,000 000 98 831		103 33	49,415 30	49,995 15	- 579 85	0 00	- 579 85
Issue Date: 10 Nov 09 Rate 4 65000009537% Yield to Maturity 4 631% Maturity Date 17 Aug 15										
30 Oct 09			50,000 000	99 99		49,415 30	49,995 15	- 579 85	0 00	- 579 85
CG & U FAC LN TR II SEQUENTIAL PAY CL D 4 00 BD DUE 6-1-2018 REG CUSIP 193906AD6			87,598 790 82 000		292 00	71,831 01 *	65,179 02	6,651 99	0 00	6,651 99
Issue Date: 9 May 88 Rate: 4% Maturity Date 1 Jun 18										
30 Nov 93			87,598 790	74 41		71,831 01	65,179 02	6,651 99	0 00	6,651 99
CONTINENTAL AIRLS PASS THRU TRS CTF 1998-1 CL A 6 648 3-15-2019 BEO SEDOL 2150992			13,050 000 96 500		255 45	12,593 25	12,528 00	65 25	0 00	65 25
Issue Date: 20 Feb 98 Rate 6 648% Yield to Maturity 7 595% Maturity Date 15 Mar 19										
29 Sep 09			13,050 000	96 00		12,593 25	12,528 00	65 25	0 00	65 25

** - Lot Level Information Not Verified

◆ Asset Detail - Taxable

Cost Method: HIGH COST

Fixed Income

Description	Asset ID	Acquisition Date	Local market price	Shares/PAR	Local cost/share	Accrued income/expense	Market value	Cost	Market	Translation	Unrealized gain/loss	Total
Asset backed securities												
FORD CR AUTO OWNER TR 2008-C ASSET BACKED NT CL A-4B 04-15-2013 REG CUSIP 34528XAG4			124,999 990 101 658			117 06	127,072 61	122,242 19	4,830 42	0 00		4,830 42
Issue Date 22 May 08 Rate: 1 98313% Yield to Maturity 0 757% Maturity Date 15 Apr 13												
28 May 09			55,000 000		98 75		55,911 95	54,312 50	1,599 46	- 0 01		1,599 45
11 May 09			54,999 990		97 34		55,911 95	53,539 06	2,372 88	0 01		2,372 89
11 May 09			15,000 000		95 94		15,248 71	14,390 63	858 08	0 00		858 08
Total USD						854 86	283,031 89	270,544 36	12,487 53	0 00		12,487 53
Total United States						854 86	283,031 89	270,544 36	12,487 53	0 00		12,487 53
Total asset backed securities						854 86	283,031 89	270,544 36	12,487 53	0 00		12,487 53

Non-government backed c.m.o.s

United States - USD

CMO BANC AMER MTG 2007-3 TR MTG PASS THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG CUSIP: 05954CAM0			54,868 360 81 578			320 07	44,760 57	55,897 14	- 11,136 57	0 00		- 11,136 57
Issue Date: 1 Aug 07 Rate: 7% Yield to Maturity 11 847% Maturity Date 25 Sep 37												
18 Sep 07			54,868 360		101 87		44,760 57	55,897 14	- 11,136 57	0 00		- 11,136 57
CMO CITIMORTGAGE ALTERNATIVE LN TR SER 2006-2006-A1 CL IIA-1 5 25 03-01-21 REG CUSIP: 17309AAH2			57,124 870 82 500			249 92	47,128 02	57,008 85	- 9,880 83	0 00		- 9,880 83
Issue Date 1 Apr 06 Rate 5 25% Yield to Maturity 11 005% Maturity Date 25 Mar 21												
31 Jan 08			57,124 870		99 80		47,128 02	57,008 85	- 9,880 83	0 00		- 9,880 83

** - Lot Level Information Not Verified

Northern Trust

Generated by Northern Trust from reviewed periodic data on 5 Feb 10

Cost Method: HIGH COST

Fixed Income

Description		Shares/PAR		Unrealized gain/loss				
Asset ID	Local market price	Local cost/share	Accrued income/expense	Market value	Cost	Market	Translation	Total
Acquisition Date								
Non-government backed c.m.o.s								
CMO FEDERAL HOME LN MTG CORP SER 2932 CLAP 5% DUE 01-15-2031 REG CUSIP: 31395M7F0	125,000 000 104 046		520.83	130,057.88	121,933.59	8,124.29	0.00	8,124.29
Issue Date: 1 Feb 05 Rate 5% Yield to Maturity 2.709% Maturity Date 15 Jan 31								
8 Nov 06	125,000 000	97.55		130,057.88	121,933.59	8,124.29	0.00	8,124.29
CMO RESDNTL AST MTG PROPS INC 5.75 DUE 02-25-2033 BEC CUSIP: 760985TC5	50,000 000 82 335		239.58	41,167.60	45,187.50	- 4,019.90	0.00	- 4,019.90
Issue Date: 1 Mar 03 Rate 5.75% Yield to Maturity 8.7719% Maturity Date 25 Feb 33								
14 Aug 07	50,000 000	90.38		41,167.60	45,187.50	- 4,019.90	0.00	- 4,019.90
Total USD			1,330.40	263,114.07	280,027.08	- 16,913.01	0.00	- 16,913.01
Total United States			1,330.40	263,114.07	280,027.08	- 16,913.01	0.00	- 16,913.01
Total non-government backed c.m.o.s			1,330.40	263,114.07	280,027.08	- 16,913.01	0.00	- 16,913.01
Total fixed income			29,499.07	2,403,201.91	2,272,429.84	130,772.07	0.00	130,772.07

**** - Lot Level Information Not Verified**

W. C. GRAUSTEIN MEMORIAL FUND

EIN # 04-6037391

FORM 990-PF PART II, LINE 14 Equipment, Furniture and Improvements

			2008	2009	2009
			ACCUMULATED		ACCUMULATED
	COST	LIFE	DEPRECIATION	DEPRECIATION	DEPRECIATION
EQUIPMENT					
1993 ADDITIONS	29,278	5	29,278	-	29,278
1994 ADDITIONS	22,963	5	22,963	-	22,963
1995 ADDITIONS	4,071	5	4,071	-	4,071
1996 ADDITIONS	10,604	5	10,604	-	10,604
1997 ADDITIONS	3,310	5	3,310	-	3,310
1998 ADDITIONS	6,055	5	6,055	-	6,055
1998 DISPOSAL	(2,684)	5	(2,684)	-	(2,684)
1999 ADDITIONS	10,281	5	10,281	-	10,281
2000 ADDITIONS	29,669	5	29,669	-	29,669
2001 ADDITIONS	24,697	5	24,697	-	24,697
2002 ADDITIONS	10,444	5	10,444	-	10,444
2003 ADDITIONS	5,300	5	5,300	-	5,300
2004 ADDITIONS	6,766	5	6,089	677	6,766
2005 ADDITIONS	2,342	5	1,639	468	2,108
2006 ADDITIONS	33,738	5	16,869	6,748	23,616
2007 ADDITIONS	16,581	5	4,974	3,316	8,290
2008 ADDITIONS	2,902	5	290	580	871
2009 ADDITIONS	1,076	5		108	108
Total	217,391		183,849	11,897	195,745
FURNITURE					
1994 ADDITIONS	111,821	5	111,821	-	111,821
1994 ACCTS PAY	3,075	5	3,075	-	3,075
1995 ADDITIONS	848	5	848	-	848
1995 DISPOSAL	(996)	5	(996)	-	(996)
1995 ACCTS PAY	2,328	5	2,328	-	2,328
1996 ADDITIONS	2,256	5	2,256	-	2,256
1997 ADDITIONS	2,564	5	2,564	-	2,564
2000 ADDITIONS	127,712	7	127,712	-	127,712
2001 ADDITIONS	11,696	6	11,696	-	11,696
2002 ADDITIONS	3,576	5	3,576	-	3,576
2003 ADDITIONS	2,726	5	2,726	-	2,726
2004 ADDITIONS	3,272	5	2,945	327	3,272
2005 ADDITIONS	888	5	622	178	799
2006 ADDITIONS	3,548	5	1,774	710	2,483
2007 ADDITIONS	6,074	5	1,822	1,215	3,037
2008 ADDITIONS	18,888	5	1,889	3,778	5,666
Total	300,276		276,658	6,207	282,865
LEASEHOLD IMPROVEMENTS					
2000 ADDITIONS	107,527	7	107,527	-	107,527
2001 ADDITIONS	11,672	6	11,672	-	11,672
2002 ADDITIONS	5,161	5	5,161	-	5,161
2004 ADDITIONS	2,500	3	2,500	-	2,500
2007 ADDITIONS	44,286	7	9,490	6,327	15,817
2008 ADDITIONS	41,915	6	3,493	6,986	10,479
Total	213,061		139,843	13,312	153,155
TOTAL	730,728		600,350	31,416	631,765

William Caspar Graustein Memorial Fund
EIN #04-6037391
Form 990 PF – Part IX-A

Summary of 2009 Direct Charitable Activities

Community Leadership Program. The Community Leadership Program offers nonprofit staff, volunteers and board members opportunities to learn about and discuss important issues, at no cost to participants. Through meetings, full day seminars, and year-long leadership training, participants build their own skills and develop a network of leaders within the community, working on critical social issues.

No-cost meeting space for Connecticut nonprofits. The Memorial Fund provides meeting space for nonprofit organizations, at no or low cost to them, in order to bring people together for training, consultation, planning, program oversight, evaluation and other activities that improve the status of children and families in Connecticut.

Council on Foundations (COF). As an active member of the Council on Foundations, Executive Director David Nee served on the Professional Development Committee and the Committee on Family Philanthropy. At the Family Philanthropy conference, Mr. Nee helped to design and present a session on “Navigating Change and Transitions” for chief executive officers and trustees of family foundations. The Council, a membership organization of some 2,100 grantmaking foundations and giving programs worldwide, supports networks of philanthropic organizations, including family foundations.

Connecticut Council for Philanthropy. The Connecticut Council for Philanthropy is a nonprofit association of grantmakers committed to promoting and supporting effective philanthropy for the public good in Connecticut. The Memorial Fund helps to lead the Council’s Early Childhood Affinity Group of other philanthropic funders interested in early childhood issues. Memorial Fund staff serves on the Communications Committee and the Public Policy Committee.

William Caspar Graustein Memorial Fund

EIN # 04-6037391

FORM 990-PF PART XV, LINE 3a & 3b

GRANTS AND CONTRIBUTIONS PAID

FOUNDATION STATUS OF RECIPIENTS

THE WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND ONLY EXTENDS GRANTS TO ORGANIZATIONS THAT HAVE BEEN GRANTED 501(C)(3) TAX EXEMPT STATUS BY THE INTERNAL REVENUE SERVICE OR ARE OTHERWISE EXEMPT. ALL GRANTEES MUST FURNISH A COPY OF THEIR EXEMPTION TO THE FUND BEFORE THEY WILL RECEIVE ANY MONEYS.

PURPOSE OF GRANTS OR CONTRIBUTIONS

THE WILLIAM CASPAR GRAUSTEIN MEMORIAL FUND WORKS COLLABORATIVELY TO IMPROVE THE EFFECTIVENESS OF EDUCATION FOR CONNECTICUT'S CHILDREN. THE MEMORIAL FUND DISTRIBUTES GRANTS TO SUPPORT EDUCATIONAL CHANGE IN SCHOOLS, TO INFORM PUBLIC DEBATE THROUGH POLICY RESEARCH AND ADVOCACY AND TO STRENGTHEN THE INVOLVEMENT OF PARENTS AND THE COMMUNITY IN EDUCATION. THE MEMORIAL FUND PROVIDES GRANTS, TECHNICAL ASSISTANCE, AND A FORUM FOR INFORMATION-SHARING ACROSS THE STATE.

Schedule of Appropriations and Payments

Fiscal Year 2009

12/31/2009

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Approved for
		Future Payment 2009
Achievement First 403 James Street New Haven, CT 06513 <i>Connecticut Expansion</i> \$40,000.00 2009	\$40,000 00	\$0.00
All Our Kin P.O. Box 8477 New Haven, CT 06530 <i>Expansion Planning Project</i> \$20,000.00 2009	\$10,000.00	\$10,000 00
All Our Kin P.O. Box 8477 New Haven, CT 06530 <i>Expanding High Quality Infant-Toddler Care in CT</i> \$50,000.00 2009	\$0 00	\$50,000.00
Alliance for Children and Families 11700 West Lake Park Drive Milwaukee, WI 53224-3099 <i>General Support</i> \$1,000 00 2009	\$1,000.00	\$0.00
Area Cooperative Educational Service 350 State Street North Haven, CT 06473 <i>West Haven Discovery</i> \$15,000.00 2006	\$7,500.00	\$0.00
Area Cooperative Educational Service 350 State Street North Haven, CT 06473	\$30,000 00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
<i>Hamden Discovery</i>		
\$30,000.00 2008		
Area Cooperative Educational Service 350 State Street North Haven, CT 06473	\$25,000.00	\$0.00
<i>East Haven Discovery</i> \$25,000.00 2008		
Area Cooperative Educational Service 350 State Street North Haven, CT 06473	\$0.00	\$3,940.00
<i>East Haven Discovery Grant</i> \$3,940.00 2009		
Association of Small Foundations 1720 N Street, NW Washington, DC 20036	\$495.00	\$0.00
<i>2009 Membership</i> \$495.00 2009		
Association of Small Foundations 1720 N Street, NW Washington, DC 20036	\$500.00	\$0.00
<i>General Support</i> \$500.00 2009		
BBB Wise Giving Alliance 4200 Wilson Boulevard, Suite 800 Arlington, VA 22203	\$500.00	\$0.00
<i>General Support</i> \$500.00 2009		
Boys & Girls Club of the Lower Naugatuck Valley 1 Positive Place Shelton, CT 06484	\$35,000.00	\$0.00
<i>Shelton Discovery</i> \$35,000.00 2008		
The Bridge Academy 401 Kossuth Street Bridgeport, CT 06608	\$750.00	\$0.00
<i>Parent Workshops</i> \$750.00 2009		
The Bridge Family Center, Inc. 1022 Farmington Avenue West Hartford, CT 06107	\$20,000.00	\$0.00
<i>West Hartford Discovery</i> \$20,000.00 2008		
The Bridge Family Center, Inc. 1022 Farmington Avenue West Hartford, CT 06107	\$5,000.00	\$0.00
<i>West Hartford Discovery Grant</i> \$5,000.00 2009		
Bridgeport Child Advocacy Coalition Burroughs Community Center 2470 Fairfield Avenue Bridgeport, CT 06605	\$80,000.00	\$0.00
<i>Bridgeport Teacher Recruitment and Retention Initiative Preschool Through High School</i>		

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
\$80,000.00		
2008		
Bridgeport Child Advocacy Coalition	\$1,000.00	\$0.00
Burroughs Community Center		
2470 Fairfield Avenue		
Bridgeport, CT 06605		
<i>Breakfast Conference</i>		
\$1,000.00		
2009		
Bridgeport Child Advocacy Coalition	\$0.00	\$80,000.00
Burroughs Community Center		
2470 Fairfield Avenue		
Bridgeport, CT 06605		
<i>Teachers Are Key to Good Education</i>		
<i>Working with Parent and Community</i>		
<i>Leaders to Mobilize for Better Teacher</i>		
<i>Recruitment and Support in Bridgeport</i>		
\$80,000.00		
2009		
Bridgeport Hospital	\$25,000.00	\$0.00
267 Grant Street		
P.O. Box 5000		
Bridgeport, CT 06610		
<i>Child First Early Childhood Mental Health</i>		
<i>Community Consultation</i>		
\$25,000.00		
2008		
Bridgeport Public Education Fund. In	\$20,000.00	\$0.00
446 University Avenue		
Bridgeport, CT 06604		
<i>Bridgeport Discovery Partnership Grant</i>		
\$40,000.00		
2008		
Bridgeport Public Education Fund. In	\$35,000.00	\$0.00
446 University Avenue		
Bridgeport, CT 06604		
<i>Bridgeport Discovery</i>		
\$35,000.00		
2008		
Bridgeport Public Education Fund. In	\$8,750.00	\$0.00
446 University Avenue		
Bridgeport, CT 06604		
<i>Bridgeport Discovery Grant</i>		
\$8,750.00		
2009		
Brown University	\$0.00	\$25,000.00
Box 1977		
Providence, RI 02912		
<i>Politics of implementing the American</i>		
<i>Recovery and Reinvestment Act of 2009</i>		
\$25,000.00		
2009		
Caroline House, Inc.	\$750.00	\$0.00
574 Stillman Street		
Bridgeport, CT 06608		
<i>Mother and Child Literacy Program</i>		
\$750.00		
2009		
Center for Assessment and Policy	\$100,000.00	\$50,000.00
Development		
1622 Riverside Drive		
Trenton, NJ 08618		
<i>Evaluation of Discovery</i>		
\$150,000.00		
2009		

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
CERC Foundation 805 Brook Street Building 4 Rocky Hill, CT 06067 <i>Connecticut Data Quality and Access Campaign</i> \$25,000.00 2008	\$25,000.00	\$0.00
CERC Foundation 805 Brook Street Building 4 Rocky Hill, CT 06067 <i>Connecticut Data Quality and Access Initiative</i> \$20,000.00 2009	\$0.00	\$20,000.00
Child Health and Development Institute Connecticut, Inc. 270 Farmington Avenue Suite 367 Farmington, CT 06032 <i>ChildFirst Replication Project</i> \$20,000.00 2009	\$10,000.00	\$10,000.00
Community Foundation for Greater New Haven 70 Audubon Street New Haven, CT 06510 <i>New Haven Discovery</i> \$40,000.00 2008	\$40,000.00	\$0.00
Community Foundation for Greater New Haven 70 Audubon Street New Haven, CT 06510 <i>"Making A Good Gift Better" program</i> \$3,000.00 2009	\$3,000.00	\$0.00
Community Foundation for Greater New Haven 70 Audubon Street New Haven, CT 06510 <i>Parents and Communities for Kids (PACK)</i> \$20,000.00 2009	\$10,000.00	\$10,000.00
Community Foundation for Greater New Haven 70 Audubon Street New Haven, CT 06510 <i>New Haven Discovery Grant</i> \$10,000.00 2009	\$10,000.00	\$0.00
Community Foundation of Greater New Britain 74A Vine Street New Britain, CT 06052 <i>New Britain Discovery</i> \$40,000.00 2008	\$40,000.00	\$0.00
Community Foundation of Greater New Britain 74A Vine Street New Britain, CT 06052 <i>Southington Discovery</i> \$30,000.00 2008	\$30,000.00	\$0.00
Community Foundation of Greater New Britain 74A Vine Street New Britain, CT 06052 <i>Southington Discovery</i> \$30,000.00 2008	\$1,000.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
Britain 74A Vine Street New Britain, CT 06052 <i>To honor Merrill Gay</i> \$1,000.00 2009		
Community Foundation of Greater Ne Britain 74A Vine Street New Britain, CT 06052 <i>New Britain Discovery Grant</i> \$10,000.00 2009	\$10,000.00	\$0.00
Community Foundation of Southeast Connecticut PO Box 769 New London, CT 06320 <i>Lisbon Discovery</i> \$10,000.00 2007	\$5,000.00	\$0.00
Community Mediation, Inc. 32 Elm Street New Haven, CT 06510 <i>Community Conversations About Education</i> \$139,500.00 2008	\$69,750.00	\$0.00
Community Mediation, Inc. 32 Elm Street New Haven, CT 06510 <i>2009 Rev Howard Nash Community Leadership Award Breakfast</i> \$2,500.00 2009	\$2,500.00	\$0.00
Community Mediation, Inc. 32 Elm Street New Haven, CT 06510 <i>Community Conversations about Education</i> \$120,000.00 2009	\$120,000.00	\$0.00
Community Mediation, Inc. 32 Elm Street New Haven, CT 06510 <i>Farewell Celebration for Charlie Pillsbury</i> \$1,000.00 2009	\$1,000.00	\$0.00
Connecticut Appleseed Center for Law and Justice, Inc. 25 Dudley Road Wilton, CT 06897 <i>Parents' Access to Legal Information Project</i> \$5,000.00 2009	\$5,000.00	\$0.00
Connecticut Association for Human Services 110 Bartholomew Avenue Suite 4030 Hartford, CT 06106 <i>Discovery Statewide Core Partners - Connecticut Early Childhood Alliance</i> \$182,000.00 2007	\$91,000.00	\$0.00
Connecticut Association for Human	\$0.00	\$454,161.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
Services		
110 Bartholomew Avenue		
Suite 4030		
Hartford, CT 06106		
<i>Connecticut Early Childhood Alliance</i>		
\$555,547.00		
2008		
Connecticut Association for Human	\$67,000.00	\$67,000.00
Services		
110 Bartholomew Avenue		
Suite 4030		
Hartford, CT 06106		
<i>Connecticut Early Childhood Alliance</i>		
\$134,000.00		
2008		
Connecticut Association for Human	\$185,000.00	\$0.00
Services		
110 Bartholomew Avenue		
Suite 4030		
Hartford, CT 06106		
<i>Discoverv Statewide Core Partners</i>		
\$185,000.00		
2008		
Connecticut Association for Human	\$12,500.00	\$12,500.00
Services		
110 Bartholomew Avenue		
Suite 4030		
Hartford, CT 06106		
<i>Improving Access to Work Supports</i>		
<i>through Online Screening</i>		
\$25,000.00		
2009		
Connecticut Association for Human	\$0.00	\$100,000.00
Services		
110 Bartholomew Avenue		
Suite 4030		
Hartford, CT 06106		
<i>Connecticut Early Childhood Alliance -</i>		
<i>Core Operating Grant</i>		
\$100,000.00		
2009		
Connecticut Association for Human	\$0.00	\$100,000.00
Services		
110 Bartholomew Avenue		
Suite 4030		
Hartford, CT 06106		
<i>CT - Parent Power -Parent Organizing</i>		
<i>Project</i>		
\$100,000.00		
2009		
Connecticut Association for Human	\$0.00	\$100,000.00
Services		
110 Bartholomew Avenue		
Suite 4030		
Hartford, CT 06106		
<i>Impact & Influence Strategies to</i>		
<i>Implement Effective Early Childhood</i>		
<i>Policies</i>		
\$100,000.00		
2009		
Connecticut Association for Human	\$0.00	\$50,000.00
Services		
110 Bartholomew Avenue		
Suite 4030		
Hartford, CT 06106		

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
<i>Improving Child Outcomes</i>		
\$50,000.00		
2009		
Connecticut Association of Boards of Education, Inc.	\$1,000.00	\$0.00
81 Wolcott Hill Road		
Wethersfield, CT 06109		
<i>Scholarship for urban board members to attend convention</i>		
\$1,000.00		
2009		
Connecticut Association of Nonprofits	\$790.00	\$0.00
90 Brainard Road		
Hartford, CT 06114		
<i>2010 Membership</i>		
\$790.00		
2009		
The Connecticut Business & Industry Associates	\$5,000.00	\$0.00
350 Church Street		
Hartford, CT 06103		
<i>Connecticut Business Summit on Early Childhood Investment</i>		
\$5,000.00		
2009		
Connecticut Center for School Change	\$400,000.00	\$0.00
151 New Park Avenue		
Suite 203		
Hartford, CT 06106		
<i>Systemic Instructional Improvement Program</i>		
<i>Superintendents' Network</i>		
<i>Parents Supporting Educational Excellence</i>		
<i>Kindegarten Transition Institute</i>		
\$800,000.00		
2008		
Connecticut Center for School Change	\$350,000.00	\$350,000.00
151 New Park Avenue		
Suite 203		
Hartford, CT 06106		
<i>General Support</i>		
\$700,000.00		
2009		
Connecticut Coalition Against Gun Violence Education Fund	\$500.00	\$0.00
PO Box 523		
Southport, CT 06890		
<i>General Support</i>		
\$500.00		
2009		
Connecticut Consortium of Education Foundations	\$1,500.00	\$0.00
P.O. Box 1032		
Weston, CT 06883		
<i>Annual Conference</i>		
\$1,500.00		
2009		
Connecticut Council for Philanthropy	\$6,000.00	\$0.00
221 Main Street		
Hartford, CT 06106		
<i>2009 Membership</i>		
\$6,000.00		
2009		
Connecticut Head Start State	\$3,000.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
Collaboration Office Governor's Collaboration for Young Children 25 Sigourney Street Hartford, CT 06106 <i>General Support for Head Start for Cavity Free Kids Statewide Training</i> \$3,000.00 2009		
The Connecticut Hospice, Inc. 100 Double Beach Road Branford, CT 06405 <i>In Memory of Kenny Heath</i> \$1,000.00 2009	\$1,000.00	\$0.00
The Connecticut Humanities Council 37 Broad Street Middletown, CT 06457 <i>Connecticut's Urban Reading Initiative</i> \$4,000.00 2009	\$4,000.00	\$0.00
Connecticut Public Broadcasting, Inc. 1049 Asylum Avenue Hartford, CT 06105 <i>Voices in Conflict</i> \$5,000.00 2009	\$5,000.00	\$0.00
Connecticut Resources Recovery Auth 1410 Honeyspot Road Extension Stratford, CT 06615 <i>"RAZ" Recycling Awareness Zone</i> \$750.00 2009	\$750.00	\$0.00
Connecticut State University System 39 Woodland Street Hartford, CT 06105 <i>Henry Barnard Distinguished Student Awards Banquet</i> \$1,000.00 2009	\$1,000.00	\$0.00
Connecticut Voices for Children 33 Whitney Ave. New Haven, CT 06510 <i>Discovery Statewide Core Partners</i> \$150,000.00 2008	\$150,000.00	\$0.00
Connecticut Voices for Children 33 Whitney Ave. New Haven, CT 06510 <i>Connecticut News Project, Inc</i> \$5,000.00 2009	\$5,000.00	\$0.00
Connecticut Voices for Children 33 Whitney Ave. New Haven, CT 06510 <i>Early Care and Education Years X & XI 2010-2011</i> \$100,000.00 2009	\$0.00	\$100,000.00
The Consultation Center, Inc. 389 Whitnev Avenue New Haven, CT 06511 <i>Hamden Youth Leadership Development</i> \$2,000.00 2009	\$2,000.00	\$0.00
Council on Foundations	\$11,520.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
2121 Crystal Drive Suite 700 Arlington, VA 22202 <i>2009 Membership</i> \$11,520.00 2009		
Courage To Speak Foundation, Inc. 161 East Avenue Suite 14 Norwalk, CT 06851 <i>Courage To Speak - Courageous Parenting</i> 101 \$750.00 2009	\$750.00	\$0.00
Coventry Early Childhood Center 1171 Main Street P.O. Box 251 Coventry, CT 06238 <i>Coventry Discovery</i> \$10,000.00 2008	\$10,000.00	\$0.00
Crossroads Community Resource Development Center, Inc. 53 Vine Street 2nd Floor Meriden, CT 06451 <i>State of Black CT Alliance Forum</i> \$500.00 2009	\$500.00	\$0.00
Crossroads Community Resource Development Center, Inc. 53 Vine Street 2nd Floor Meriden, CT 06451 <i>"CT Public Schools Town Hall Meeting"</i> \$1,000.00 2009	\$1,000.00	\$0.00
CT Association for Education of Young Children 2321 Whitney Avenue Hamden, CT 06518 <i>NAEYC Associate Degree Accreditation Facilitation Project</i> \$25,000.00 2008	\$25,000.00	\$0.00
CT Association for Education of Young Children 2321 Whitney Avenue Hamden, CT 06518 <i>NAEYC Associate Degree Accreditation Facilitation Project</i> \$20,000.00 2009	\$0.00	\$20,000.00
Danbury Children First, Inc. 83 West Street Danbury, CT 06810 <i>Core Support</i> \$60,000.00 2008	\$60,000.00	\$0.00
Danbury Children First, Inc. 83 West Street Danbury, CT 06810 <i>Core Support</i> \$40,000.00 2009	\$0.00	\$40,000.00
East Haddam Early Childhood Council	\$710.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
P.O. Box 572 Moodus. CT 06469 <i>Early Literacy Project</i> \$710.00 2009		
East Hartford ChildPlan, Inc. East Hartford Community Cultural Center 50 Chapman Place, Room 2 East Hartford. CT 06108 <i>East Hartford Discovery Partnership Grant</i> \$37,104.00 2008	\$18,552.00	\$0.00
East Hartford ChildPlan, Inc. East Hartford Community Cultural Center 50 Chapman Place, Room 2 East Hartford. CT 06108 <i>East Hartford Discovery</i> \$40,000.00 2008	\$40,000.00	\$0.00
East Hartford ChildPlan, Inc. East Hartford Community Cultural Center 50 Chapman Place. Room 2 East Hartford, CT 06108 <i>East Hartford Discovery Grant</i> \$10,000.00 2009	\$0.00	\$10,000.00
EASTCONN 376 Hartford Turnpike Hampton. CT 06247 <i>Killingly, Plainfield, and Putnam Discovery</i> \$90,000.00 2007	\$45,000.00	\$0.00
EASTCONN 376 Hartford Turnpike Hampton. CT 06247 <i>Northeast Early Care and Education Collaborative</i> \$25,000.00 2007	\$12,500.00	\$0.00
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Ashford Discovery</i> \$10,000.00 2008	\$10,000.00	\$0.00
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Northeast Early Care and Education Collaborative</i> \$36,000.00 2008	\$25,000.00	\$11,000.00
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Killingly, Plainfield, and Putnam Discovery</i> \$60,000.00 2008	\$60,000.00	\$0.00
EASTCONN 376 Hartford Turnpike Hampton, CT 06247 <i>Chaplin Discovery</i>	\$20,000.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
\$20,000.00		
2008		
EASTCONN	\$5,000.00	\$0.00
376 Hartford Turnpike		
Hampton, CT 06247		
<i>Chaplin Discovery Grant</i>		
\$5,000.00		
2009		
EASTCONN	\$15,000.00	\$0.00
376 Hartford Turnpike		
Hampton, CT 06247		
<i>Killingly, Plainfield, and Putnam</i>		
<i>Discovery Grant</i>		
\$15,000.00		
2009		
Edgewood School	\$750.00	\$0.00
737 Edgewood Avenue		
New Haven, CT 06515		
<i>Geography Club</i>		
\$750.00		
2009		
Education Connection	\$16,838.50	\$0.00
355 Goshen Road		
P.O. Box 909		
Litchfield, CT 06759		
<i>Danbury Discovery Partnership Grant</i>		
\$33,677.00		
2008		
Education Connection	\$10,000.00	\$0.00
355 Goshen Road		
P.O. Box 909		
Litchfield, CT 06759		
<i>Thomaston Discovery</i>		
\$10,000.00		
2008		
Education Connection	\$25,000.00	\$0.00
355 Goshen Road		
P.O. Box 909		
Litchfield, CT 06759		
<i>Torrington Discovery</i>		
\$25,000.00		
2008		
Education Connection	\$1,000.00	\$0.00
355 Goshen Road		
P.O. Box 909		
Litchfield, CT 06759		
<i>To honor Juleen Flanigan</i>		
\$1,000.00		
2009		
Education Connection	\$0.00	\$2,500.00
355 Goshen Road		
P.O. Box 909		
Litchfield, CT 06759		
<i>Thomaston Discovery</i>		
\$2,500.00		
2009		
Education Connection	\$6,250.00	\$0.00
355 Goshen Road		
P.O. Box 909		
Litchfield, CT 06759		
<i>Torrington Discovery Grant</i>		
\$6,250.00		
2009		
Education Writers Association	\$100.00	\$0.00
2122 P Street NW		
Suite 201		

Beginning Balance	Amount Paid 2009	Future Payment 2009
Recipient and/or Purpose		
Washington, DC 20037		
2009 Membership		
\$100 00		
2009		
Education Writers Association	\$100.00	\$0.00
2122 P Street NW		
Suite 201		
Washington, DC 20037		
2009 Membership		
\$100 00		
2009		
Exchange Club for the Prevention of C	\$2,500.00	\$0.00
Abuse of Rockville, CT, Inc.		
19 Elm Street		
Rockville, CT 06066		
Statewide Credential		
\$2,500.00		
2009		
Family Centers, Inc.	\$20,000.00	\$0.00
60 Palmer's Hill Rd.		
Stamford, CT 06902		
Stamford Discoverv		
\$20,000 00		
2008		
Farmington Valley YMCA	\$30,000.00	\$0.00
97 Salmon Brook Road		
Granby, CT 06035		
Granby Discovery		
\$30,000.00		
2008		
Farmington Valley YMCA	\$1,000.00	\$0.00
97 Salmon Brook Road		
Granby, CT 06035		
Joint Parent Provider Workshops		
\$1,000.00		
2009		
First Church Early Learning Center	\$35,000.00	\$0.00
107 Palisado Avenue		
Windsor, CT 06095		
Windsor Discoverv		
\$35,000.00		
2008		
First Church Early Learning Center	\$8,750.00	\$0.00
107 Palisado Avenue		
Windsor, CT 06095		
Windsor Discoverv Grant		
\$8,750 00		
2009		
First Congregational Church	\$35,000.00	\$0.00
10 Wintonbury Avenue		
Bloomfield, CT 06002		
Bloomfield Discoverv		
\$35,000.00		
2008		
First Congregational Church	\$8,750.00	\$0.00
10 Wintonbury Avenue		
Bloomfield, CT 06002		
Bloomfield Discoverv Grant		
\$8,750 00		
2009		
First United Methodist Church	\$15,000.00	\$0.00
8 Church Street		
Stafford Springs, CT 06076		
Stafford Discovery		
\$15,000.00		
2008		
First United Methodist Church	\$3,750.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
8 Church Street Stafford Springs, CT 06076 <i>Stafford Discovery Grant</i> \$3,750.00 2009		
The Foundation Center 79 Fifth Avenue/16th Street New York, NY 10003 <i>General Support</i> \$2,500.00 2009	\$2,500.00	\$0.00
The Foundation for Educational Advancement, Inc. P.O. Box 1117 Simsbury, CT 06070 <i>Health Education Lead Poisoning initiative (H E L.P.)</i> \$2,500.00 2009	\$2,500.00	\$0.00
Grantmakers for Children, Youth and Families 8757 Georgia Avenue, Suite 540 Silver Spring, MD 20910 <i>2009 Fall Forum</i> \$2,000.00 2009	\$2,000.00	\$0.00
Grantmakers for Children, Youth and Families 8757 Georgia Avenue, Suite 540 Silver Spring, MD 20910 <i>2009 Membership</i> \$2,500.00 2009	\$2,500.00	\$0.00
Grantmakers for Education 720 SW Washington Street Suite 605 Portland, OR 97205 <i>2009 Membership</i> \$750.00 2009	\$750.00	\$0.00
Grantmakers for Effective Organizatio 1725 DeSales St. NW Suite 404 Washington, DC 20036 <i>2009 Membership</i> \$1,000.00 2009	\$1,000.00	\$0.00
Grants Managers Network 141 Homestead Avenue Metairie, LA 70005 <i>2009 Membership</i> \$500.00 2009	\$500.00	\$0.00
Hamden Public Schools 60 Putnam Ave Hamden, CT 06514 <i>Prejudice Reduction Conference</i> \$2,000.00 2009	\$2,000.00	\$0.00
Hartford Symphony Orchestra 99 Pratt Street, Suite 500 Hartford, CT 06103 <i>Instrument Zoo and Instrument Making Workshop</i> \$750.00	\$750.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
2009		
Hispanics in Philanthropy	\$27,500.00	\$0.00
55 Second St. Suite 1500 San Francisco, CA 94105 <i>The Funders' Collaborative for Strong Latino Communities: Technical Assistance</i> \$55,000.00		
2008		
Hispanics in Philanthropy	\$2,000.00	\$0.00
55 Second St. Suite 1500 San Francisco, CA 94105 <i>2009 Membership</i> \$2,000 00		
2009		
Hockanum Valley Child Care Center.	\$27,000.00	\$0.00
695 Hartford Turnpike Vernon, CT 06066 <i>Vernon Discovery</i> \$27,000.00		
2008		
Independent Sector	\$4,000.00	\$0.00
1602 L Street NW Suite 900 Washington, DC 20036 <i>2009 Membership</i> \$4,000 00		
2009		
Independent Sector	\$4,000.00	\$0.00
1602 L Street NW Suite 900 Washington, DC 20036 <i>Annual Fund</i> \$4,000.00		
2009		
Interfaith Center on Corporate Responsibility	\$1,500.00	\$0.00
475 Riverside Drive, Suite 1842 New York, NY 10115 <i>Sponsorship 2009</i> \$1,500.00		
2009		
Interfaith Center on Corporate Responsibility	\$3,600.00	\$0 00
475 Riverside Drive, Suite 1842 New York, NY 10115 <i>2009 Membership</i> \$3,600.00		
2009		
International Festival of Arts and Idea	\$2,500.00	\$0 00
195 Church Street 12th Floor New Haven, CT 06510 \$2,500.00		
2009		
LEARN	\$30,000.00	\$0.00
44 Hatchetts Hill Road Old Lyme, CT 06371 <i>Groton Discovery</i> \$30,000.00		
2008		
LEARN	\$25,000.00	\$0.00
44 Hatchetts Hill Road Old Lyme, CT 06371 <i>New London Discovery</i>		

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
\$25,000.00		
2008		
LEARN	\$7,500.00	\$0.00
44 Hatchetts Hill Road		
Old Lyme, CT 06371		
<i>Groton Discovery Grant</i>		
\$7,500.00		
2009		
LEARN	\$6,250.00	\$0.00
44 Hatchetts Hill Road		
Old Lyme, CT 06371		
<i>New London Discovery Grant</i>		
\$6,250.00		
2009		
Literacy Volunteers of America of Northern Connecticut	\$20,000.00	\$0.00
170 Elm Street		
Enfield, CT 06082		
<i>Enfield Discovery</i>		
\$20,000.00		
2008		
Literacy Volunteers of America of Northern Connecticut	\$0.00	\$5,000.00
170 Elm Street		
Enfield, CT 06082		
<i>Enfield Discovery Grant</i>		
\$5,000.00		
2009		
Local Initiatives Support Corporation	\$50,000.00	\$50,000.00
501 Seventh Avenue, 8th Floor		
New York, NY 10018		
<i>Children's Investment Partnership - Recoverable Grants</i>		
\$100,000.00		
2008		
Local Initiatives Support Corporation	\$75,000.00	\$0.00
501 Seventh Avenue, 8th Floor		
New York, NY 10018		
<i>Operational</i>		
\$75,000.00		
2008		
Local Initiatives Support Corporation	\$0.00	\$70,000.00
501 Seventh Avenue, 8th Floor		
New York, NY 10018		
<i>CIP Operational Budget</i>		
\$70,000.00		
2009		
Manchester Early Learning Center. In	\$10,000.00	\$0.00
80 Waddell Road		
Manchester, CT 06040		
<i>Manchester Discovery</i>		
\$10,000.00		
2008		
Meriden Children First Initiative	\$175,000.00	\$0.00
105 Miller Street		
Meriden, CT 06450		
<i>Connecticut Parent Power</i>		
\$175,000.00		
2008		
Meriden Children First Initiative	\$35,000.00	\$0.00
105 Miller Street		
Meriden, CT 06450		
<i>Meriden Discovery</i>		
\$35,000.00		
2008		
Meriden Children First Initiative	\$40,000.00	\$0.00

Beginning Balance	Amount Paid 2009	Future Payment 2009
Recipient and/or Purpose		
105 Miller Street Meriden, CT 06450 <i>Meriden Parent & Child Well-Being Project</i> \$40,000.00 2009		
Meriden Children First Initiative	\$8,750.00	\$0.00
105 Miller Street Meriden, CT 06450 <i>Meriden Discovery Grant</i> \$8,750.00 2009		
National Committee for Responsive Philanthropy	\$750.00	\$0.00
1331 H Street NW Suite 200 Washington, DC 20005 <i>General Activities</i> \$750.00 2009		
University of Connecticut - School of Education	\$2,500.00	\$0.00
University of Connecticut 249 Glenbrook Road Unit 2064C Storrs, CT 06269 <i>Schwab Fellowship Fund</i> \$2,500.00 2009		
Friends of New Haven Academy, Inc.	\$1,000.00	\$0.00
104 Canner Street New Haven, CT 06511 <i>General Support</i> \$1,000.00 2009		
New Haven Family Alliance, Inc.	\$1,000.00	\$0.00
370 James Street 2nd Floor New Haven, CT 06513 <i>Sponsorship for "White Washed"</i> \$1,000.00 2009		
The New Haven Reads Community Bo Bank, Inc.	\$3,000.00	\$0.00
45 Bristol Street New Haven, CT 06511 <i>Parent Outreach</i> \$3,000.00 2009		
New London Office of Youth Affairs	\$750.00	\$0.00
120 Broad Street New London, CT 06320 <i>Family Center Parent/Child Yoga & Science</i> \$750.00 2009		
New York Regional Association of Grantmakers	\$6,650.00	\$0.00
79 Fifth Avenue 4th Floor New York, NY 10003 <i>2008 Membership</i> \$6,650.00 2009		
Norwich Branch of the NAACP	\$2,500.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
PO Box 24 Norwich, CT 06360 <i>Norwich Branch of the NAACP Centennial Celebration</i> \$2,500.00 2009		
O'Connell Elementary School 120 Park Street Bristol, CT 06010 <i>Family Fun - Math Night</i> \$750.00 2009	\$750.00	\$0.00
One World Progressive Institute PO Box 8862 New Haven, CT 06531 <i>Community Outreach and Parent Education Programs</i> \$1,000.00 2009	\$1,000.00	\$0.00
Online Journalism Project, Inc. 493 Central Avenue New Haven, CT 06515 <i>School Accountability and Civic Engagement Project</i> \$20,000.00 2009	\$20,000.00	\$0.00
Peace Games 280 Summer Street Mezzanine Level Boston, MA 02210 <i>General Support</i> \$750.00 2009	\$750.00	\$0.00
Philanthropy New York 79 Fifth Avenue Fourth Floor New York, NY 10003-3076 <i>2009 Membership</i> \$1,000.00 2009	\$1,000.00	\$0.00
Pierce Memorial Baptist Home Pierce Memorial Baptist Home P.O. Box 326 44 Canterbury Road Brooklyn, CT 06234 <i>Brooklyn Discovery</i> \$30,000.00 2008	\$30,000.00	\$0.00
Pierce Memorial Baptist Home Pierce Memorial Baptist Home P.O. Box 326 44 Canterbury Road Brooklyn, CT 06234 <i>Brooklyn Discovery Grant</i> \$7,500.00 2009	\$7,500.00	\$0.00
Plumb Memorial Library 65 Wooster Street Shelton, CT 06484 <i>Passport to Family Fun</i> \$1,000.00 2008	\$1,000.00	\$0.00
Portland Public Schools 33 Main Street Portland, CT 06480 <i>Intensive Reading Intervention Program</i>	\$750.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
\$750.00		
2009		
Poverty and Race Research Action Co	\$2,500.00	\$0.00
1200 18th Street NW		
Suite 200		
Washington, DC 20036		
<i>Sheff Movement coalition</i>		
\$2,500.00		
2009		
Prayer Mission Church of God in Chr	\$1,000.00	\$0.00
Inc.		
18 Wall Street		
PO Box 1894		
Newtown, CT 06457		
<i>Unity Day</i>		
\$1,000.00		
2009		
Projects for a New Millennium	\$750.00	\$0.00
26 Prospect Hill		
Stony Creek, CT 06405		
<i>Pathways to a Sustainable Future</i>		
\$750.00		
2009		
The Quinnipiac Chamber of Commerce	\$30,000.00	\$0.00
Trust		
100 South Turnpike Road		
Wallingford, CT 06492		
<i>Wallingford Discovery</i>		
\$30,000.00		
2008		
The Quinnipiac Chamber of Commerce	\$7,500.00	\$0.00
Trust		
100 South Turnpike Road		
Wallingford, CT 06492		
<i>Wallingford Discovery Grant</i>		
\$7,500.00		
2009		
Regional Youth/Adult Substance Abuse	\$500.00	\$0.00
Project		
2470 Fairfield Avenue		
Bridgeport, CT 06605		
<i>Good Friends Brunch</i>		
\$500.00		
2009		
Rensselaer Hartford	\$40,000.00	\$0.00
110 8th Street		
Troy, NY 12180		
<i>Administrative Support for the Parent</i>		
<i>Leadership Management (SERC)</i>		
\$40,000.00		
2008		
Rensselaer Hartford	\$0.00	\$250,000.00
110 8th Street		
Troy, NY 12180		
<i>Administrative Support for Parent</i>		
<i>Leadership Training</i>		
\$250,000.00		
2009		
The Riverfront Children's Center	\$750.00	\$0.00
476 Thames Street		
Groton, CT 06340		
<i>"Let's Read Together"</i>		
\$750.00		
2009		
Sesame Workshop	\$500.00	\$0.00
One Lincoln Plaza		

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
New York, NY 10023 <i>General Support</i> \$500.00 2009		
Share Our Strength 1730 M Street NW Suite 700 Washington, DC 20036 <i>Taste of the Nation New Haven</i> \$1,000.00 2009	\$1,000.00	\$0.00
Stratford Library Association 2203 Main Street Stratford, CT 06615 <i>Stratford Discovery</i> \$24,000.00 2008	\$24,000.00	\$0.00
TEAM Inc. 30 Elizabeth Street Derby, CT 06418 <i>Derby Discovery Grant</i> \$35,000.00 2008	\$35,000.00	\$0.00
TEAM Inc. 30 Elizabeth Street Derby, CT 06418 <i>Derby Discovery Grant</i> \$8,750.00 2009	\$8,750.00	\$0.00
Thames Valley Council for Community Action, Inc. One Sylvandale Road Jewett City, CT 06350 <i>Griswold Discovery</i> \$25,000.00 2008	\$25,000.00	\$0.00
Thames Valley Council for Community Action, Inc. One Sylvandale Road Jewett City, CT 06350 <i>Lisbon Discovery</i> \$10,000.00 2008	\$10,000.00	\$0.00
Thames Valley Council for Community Action, Inc. One Sylvandale Road Jewett City, CT 06350 <i>Griswold Discovery Grant</i> \$6,250.00 2009	\$6,250.00	\$0.00
Third Sector New England, Inc. 89 South Street Suite 700 Boston, MA 02111 <i>Teach Our Children</i> \$20,000.00 2009	\$10,000.00	\$10,000.00
The Thompson Ecumenical Empowerment Group, Inc. 65 Main Street P.O. Box 664 North Grosvenordale, CT 06255 <i>Thompson Discovery</i> \$40,000.00 2008	\$40,000.00	\$0.00
Young Mens Christian Association of	\$30,000.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
Metropolitan Hartford Inc. 1321 Silas Deane Highway Wethersfield, CT 06109 <i>Wethersfield Discoverv</i> \$30,000 00 2008		
United Community and Family Service Inc.	\$0.00	\$0.00
34 East Town Street Norwich, CT 06360 <i>Children First Southeastern Connecticut (CFSECT) (Regional Grant)</i> \$30,000.00 2007		
United Community and Family Service Inc.	\$35,000 00	\$10,000.00
34 East Town Street Norwich, CT 06360 <i>Children First Southeastern Connecticut (CFSECT)</i> \$45,000.00 2008		
United Community and Family Service Inc.	\$10,000.00	\$0.00
34 East Town Street Norwich, CT 06360 <i>Colchester Discovery</i> \$10,000.00 2008		
United Community and Family Service Inc.	\$45,000.00	\$0.00
34 East Town Street Norwich, CT 06360 <i>Norwich Discoverv</i> \$45,000.00 2008		
United Community and Family Service Inc.	\$0.00	\$2,500.00
34 East Town Street Norwich, CT 06360 <i>Colchester Discovery Grant</i> \$2,500.00 2009		
United Community and Family Service Inc.	\$11,250 00	\$0.00
34 East Town Street Norwich, CT 06360 <i>Norwich Discoverv Grant</i> \$11,250 00 2009		
United Way of Central and Northeast Connecticut	\$25,000.00	\$0.00
30 Laurel Street Hartford, CT 06106 <i>Mansfield Discovery</i> \$25,000 00 2008		
United Way of Central and Northeast Connecticut	\$6,250.00	\$0 00
30 Laurel Street Hartford, CT 06106 <i>Mansfield Discovery Grant</i> \$6,250.00 2009		
United Way of Coastal Fairfield	\$35,000 00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
75 Washington Ave. Bridgeport, CT 06604 <i>Norwalk Discovery</i> \$35,000.00 2008		
United Way of Coastal Fairfield 75 Washington Ave. Bridgeport, CT 06604 <i>Norwalk Discovery Grant</i> \$8,750.00 2009	\$8,750.00	\$0.00
United Way of Connecticut 1344 Silas Deane Highway Rocky Hill, CT 06067 <i>Survey Project</i> \$5,000.00 2009	\$5,000.00	\$0.00
United Way of Greater New Haven 900 Chapel St. 10th Floor New Haven, CT 06510 <i>Branford Discovery</i> \$10,000.00 2007	\$5,000.00	\$0.00
United Way of Greater New Haven 900 Chapel St. 10th Floor New Haven, CT 06510 <i>Grantwriting for the "Elm City Collaborative Early Head Start Program"</i> \$3,000.00 2009	\$3,000.00	\$0.00
United Way of Greater New Haven 900 Chapel St. 10th Floor New Haven, CT 06510	\$500.00	\$0.00
<i>Tent City 2009</i> \$500.00 2009		
United Way of Greater New Haven 900 Chapel St. 10th Floor New Haven, CT 06510 <i>Hamden Discovery Grant</i> \$7,500.00 2009	\$0.00	\$7,500.00
United Way of Greater Waterbury 60 North Main Street, 3rd Floor Waterbury, CT 06702 <i>Waterbury Discovery</i> \$30,000.00 2008	\$30,000.00	\$0.00
United Way of Greater Waterbury 60 North Main Street, 3rd Floor Waterbury, CT 06702 <i>Waterbury Discovery Grant</i> \$7,500.00 2009	\$7,500.00	\$0.00
United Way of Greenwich 1 Lafayette Court Greenwich, CT 06830 <i>Greenwich Discovery Partnership Grants</i> \$23,000.00 2008	\$11,500.00	\$0.00
United Way of Greenwich 1 Lafayette Court	\$10,800.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
Greenwich, CT 06830 <i>Greenwich and Norwalk Regional Collaborative</i> \$10,800.00 2008		
United Way of Greenwich 1 Lafayette Court Greenwich, CT 06830 <i>Greenwich Discovery</i> \$20,000.00 2008	\$20,000.00	\$0.00
United Way of Greenwich 1 Lafayette Court Greenwich, CT 06830 <i>Greenwich Discovery Grant</i> \$5,000.00 2009	\$5,000.00	\$0.00
Middlesex United Way 100 Riverview Center Suite 230 Middletown, CT 06457 <i>Middlesex County Birth-to-Five Initiative</i> \$45,000.00 2008	\$25,000.00	\$20,000.00
Middlesex United Way 100 Riverview Center Suite 230 Middletown, CT 06457 <i>Middletown Discovery</i> \$40,000.00 2008	\$40,000.00	\$0.00
Middlesex United Way 100 Riverview Center Suite 230 Middletown, CT 06457 <i>Middletown Discovery Grant</i> \$10,000.00 2009	\$10,000.00	\$0.00
United Way of Milford 20 Evergreen Ave. Milford, CT 06460 <i>Milford Discovery</i> \$20,000.00 2008	\$20,000.00	\$0.00
United Way of Milford 20 Evergreen Ave. Milford, CT 06460 <i>Milford Discovery Grant</i> \$5,000.00 2009	\$5,000.00	\$0.00
United Way of Naugatuck and Beacon Falls, Inc. 284 Church Street PO Box 209 Naugatuck, CT 06770 <i>Naugatuck Discovery</i> \$30,000.00 2008	\$30,000.00	\$0.00
United Way of Naugatuck and Beacon Falls, Inc. 284 Church Street PO Box 209 Naugatuck, CT 06770 <i>Naugatuck Discovery Grant</i> \$4,660.00 2009	\$4,660.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
United Way of West Central Connecticut Inc. 200 Main Street Bristol, CT 06010 <i>Bristol Discovery Partnership Grant</i> \$17,330.00 2008	\$8,665.00	\$0.00
United Way of West Central Connecticut Inc. 200 Main Street Bristol, CT 06010 <i>Bristol Discovery</i> \$35,000.00 2008	\$35,000.00	\$0.00
United Way of West Central Connecticut Inc. 200 Main Street Bristol, CT 06010 <i>Plymouth Discovery</i> \$10,000.00 2008	\$10,000.00	\$0.00
United Way of West Central Connecticut Inc. 200 Main Street Bristol, CT 06010 <i>Bristol Discovery Grant</i> \$8,750.00 2009	\$8,750.00	\$0.00
United Way of West Central Connecticut Inc. 200 Main Street Bristol, CT 06010 <i>Plymouth Discovery Grant</i> \$2,500.00 2009	\$2,500.00	\$0.00
United Way of Western Connecticut 85 West Street Danbury, CT 06810 <i>Danbury Discovery</i> \$40,000.00 2008	\$40,000.00	\$0.00
United Way of Western Connecticut 62 Palmer's Hill Road Stamford, CT 06802 <i>Stamford Discovery Grant</i> \$5,000.00 2009	\$0.00	\$5,000.00
United Way of Western Connecticut 85 West Street Danbury, CT 06810 <i>Danbury Discovery Grant</i> \$10,000.00 2009	\$10,000.00	\$0.00
University of Connecticut One Bishop Circle, U-14 Storrs, CT 06269-4014 <i>Nonprofit Leadership Program Scholarship Fund</i> \$2,000.00 2009	\$2,000.00	\$0.00
Valley United Way Three Corporate Drive Suite 501 Shelton, CT 06484 <i>Valley Regional Early Care Initiative</i> \$45,000.00	\$32,500.00	\$0.00

Beginning Balance Recipient and/or Purpose	Amount Paid 2009	Future Payment 2009
2007 Valley United Way Three Corporate Drive Suite 501 Shelton, CT 06484 <i>Ansonia Discovery</i> \$25,000.00	\$25,000.00	\$0.00
2008 Valley United Way Three Corporate Drive Suite 501 Shelton, CT 06484 <i>Valley Regional Early Care Initiative</i> \$45,000.00	\$25,000.00	\$20,000.00
2008 Valley United Way Three Corporate Drive Suite 501 Shelton, CT 06484 <i>Ansonia Discovery Grant</i> \$6,250.00	\$0.00	\$6,250.00
2009 Valley United Way Three Corporate Drive Suite 501 Shelton, CT 06484 <i>Shelton Discovery Grant</i> \$8,750.00	\$0.00	\$8,750.00
2009 West Haven Community House Assoc. 227 Elm Street West Haven, CT 06516 <i>West Haven Discovery</i> \$30,000.00	\$30,000.00	\$0.00
2008 West Haven Community House Assoc. 227 Elm Street West Haven, CT 06516 <i>West Haven Discovery Grant</i> \$7,500.00	\$7,500.00	\$0.00
2009 Windham Regional Community Council Inc. 872 Main Street Willimantic, CT 06226 <i>Windham Discovery</i> \$35,000.00	\$35,000.00	\$0.00
2008 Windham Regional Community Council Inc. 872 Main Street Willimantic, CT 06226 <i>"Cruising for a Cause"</i> \$1,000.00	\$1,000.00	\$0.00
2009 Windham Regional Community Council Inc. 872 Main Street Willimantic, CT 06226 <i>Windham Discovery Grant</i> \$8,750.00	\$8,500.00	\$250.00
2009 Winsted Area Child Care Center, Inc. P.O. Box 585 185 Prospect St. Winsted, CT 06098	\$0.00	\$1,000.00

Beginning Balance R�cipient and/or Purpose	Amount Paid 2009	Future Payment 2009
<i>Winchester and Torrington Regional Collaborative</i> \$25,000.00 2007		
Winsted Area Child Care Center, Inc. P.O. Box 585 185 Prospect St. Winsted, CT 06098 <i>Winchester and Torrington Regional Collaborative</i> \$25,000.00 2008	\$24,000.00	\$1,000.00
Winsted Area Child Care Center, Inc. P.O. Box 585 185 Prospect St. Winsted, CT 06098 <i>Winchester Discovery</i> \$30,000.00 2008	\$30,000.00	\$0.00
Winsted Area Child Care Center, Inc. P.O. Box 585 185 Prospect St. Winsted, CT 06098 <i>Winchester Discovery Grant</i> \$7,500.00 2009	\$7,500.00	\$0.00
WSHU National Public Radio Sacred Heart University 5151 Park Avenue Fairfield, CT 06432 <i>Challenge Grant</i> \$4,000.00 2009	\$4,000.00	\$0.00
YMCA of Metropolitan Hartford 241 Trumbull Street Hartford, CT 06103 <i>Granby Discovery Grant</i> \$7,500.00 2009	\$0.00	\$7,500.00
Grand Totals (229 items)	\$4,380,480.50	\$2,150,851.00

◆ Realized Gain/Loss Detail - Taxable

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
					Short Term	Long Term	Translation	Short Term	Long Term	
Sales										
Equities										
Common Stock										
Canada										
26 May 09 29 May 09	CDN NAT RES LTD COM CDN NAT RES COM STK SEDOL 2125202	- 700.00	37,668.06	- 34,693.29	2,974.77	0.00	0.00	2,974.77	0.00	0.00
29 Sep 08 6 Nov 08 21 Apr 09	- 196.00 - 195.00 - 309.00	10,547.06 10,493.25 16,627.75	- 12,250.14 - 8,576.68 - 13,866.47	0.00 0.00 0.00	- 1,703.08 1,916.57 2,761.28	0.00 0.00 0.00	0.00 0.00 0.00	- 1,703.08 1,916.57 2,761.28	0.00 0.00 0.00	0.00 0.00 0.00
8 Jul 09 13 Jul 09	CDN NAT RES LTD COM CDN NAT RES COM STK SEDOL 2125202	- 1,034.00	46,720.70	- 8,593.38	18.02	38,109.30	0.00	18.02	0.00	38,109.30
23 Jan 03 6 Nov 08	- 1,019.00 - 15.00	46,042.93 677.77	- 7,933.63 - 659.75	0.00 0.00	0.00 18.02	38,109.30 0.00	0.00 0.00	0.00 18.02	0.00 0.00	38,109.30 0.00
21 Sep 09 24 Sep 09	CDN NAT RES LTD COM CDN NAT RES COM STK SEDOL 2125202	- 474.00	31,856.72	- 3,690.43	0.00	28,166.29	0.00	0.00	0.00	28,166.29
23 Jan 03	- 474.00	31,856.72	- 3,690.43	0.00	0.00	28,166.29	0.00	0.00	0.00	28,166.29
Total Canada			116,245.48	- 46,977.10	2,992.79	66,275.59	0.00	2,992.79	66,275.59	66,275.59
Germany										
26 May 09 29 May 09	ADR SAP AG SPONSORED ADR SEDOL 2775135	- 993.00	41,580.01	- 48,010.17	- 3,384.00	- 3,046.16	0.00	- 3,384.00	- 3,046	- 3,046
27 Feb 07 29 Sep 08	- 720.00 - 273.00	30,148.65 11,431.36	- 33,194.81 - 14,815.36	0.00 - 3,384.00	0.00 - 3,384.00	- 3,046.16 0.00	0.00 0.00	0.00 - 3,384.00	- 3,046 0.00	- 3,046 0.00
21 Sep 09 24 Sep 09	ADR SAP AG SPONSORED ADR SEDOL 2775135	- 850.00	43,020.37	- 39,188.32	0.00	3,832.05	0.00	0.00	3,832.0	3,832.0
27 Feb 07	- 850.00	43,020.37	- 39,188.32	0.00	0.00	3,832.05	0.00	0.00	3,832.0	3,832.0
Total Germany			84,600.38	- 87,198.49	- 3,384.00	785.89	0.00	- 3,384.00	785.89	785.89

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss			Total		
					Short Term	Long Term	Translation	Short Term	Long Term	Short Term	Long Term	
Sales												
Equities												
Switzerland												
13 Feb 09 19 Feb 09	ADR NESTLE S A SPONSORED ADR REPSTG REG SH SEDOL B014JG9	- 1,524 00	48,927 28	- 55,412.65	- 10,157 52	3,672 15	0 00	- 10,157 52	3,672 15	3,672 15		
19 Nov 02 30 Sep 08 6 Nov 08		- 339 00 - 572 00 - 613 00	10,883 43 18,363 78 19,680 07	- 7,211.28 - 24,571 75 - 23,629 62	0 00 - 6,207 97 - 3,949 55	3,672 15 0 00 0 00	0 00 0 00 0 00	0 00 - 6,207.97 - 3,949 55	0 00 0 00 0 00	3,672.15 0 00 0 00		
26 May 09 29 May 09	ADR NESTLE S A SPONSORED ADR REPSTG REG SH SEDOL B014JG9	- 1,885 00	69,988 25	- 49,183 15	3,711 43	17,093 67	0 00	3,711 43	17,093 67	17,093 67		
18 Nov 02 21 Apr 09		- 1,078 00 - 807 00	40,025 11 29,963 14	- 22,931 44 - 26,251 71	0 00 3,711 43	17,093 67 0 00	0 00 0 00	0 00 3,711 43	0 00 0 00	17,093 67 0 00		
21 Sep 09 24 Sep 09	ADR NESTLE S A SPONSORED ADR REPSTG REG SH SEDOL B014JG9	- 1,583 00	67,940 61	- 33,673 90	0 00	34,266.71	0 00	0 00	0 00	34,266 7		
15 Nov 02		- 1,583 00	67,940 61	- 33,673 90	0 00	34,266 71	0 00	0 00	0 00	34,266 7		
21 Sep 09 24 Sep 09	ADR NOVARTIS AG SEDOL 2620105	- 826 00	40,062 93	- 40,139 39	0 00	- 76 46	0 00	0 00	0 00	- 76 4		
26 Jul 05		- 826 00	40,062 93	- 40,139 39	0 00	- 76 46	0 00	0 00	0 00	- 76 4		
26 May 09 29 May 09	ADR NOVARTIS AG SEDOL 2620105	- 975 00	39,243 52	- 48,366 71	- 3,189 79	- 5,933.40	0 00	- 3,189.79	- 5,933 4	- 5,933 4		
26 Jul 05 29 Sep 08		- 711 00 - 264 00	28,617 58 10,625 94	- 34,550 98 - 13,815 73	0 00 - 3,189 79	- 5,933 40 0 00	0 00 0 00	0 00 - 3,189 79	0 00 0 00	- 5,933 4 0 00		
Total Switzerland			266,162.59	- 226,775.80	- 9,635.88	49,022.67	0 00	- 9,635.88	49,022.67	49,022 67		

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Realized gain/loss			Total
					Market Short Term	Long Term	Translation	
Sales								
Equities								
21 Sep 09	ADR BP P L C SPONSORED ADR	- 599.00	32,542.83	- 30,460.65	0.00	2,082.18	0.00	2,082.18
24 Sep 09	SEDOL 2142621							
9 Jan 04		- 483.00	26,240.71	- 23,851.61	0.00	2,389.10	0.00	2,389.10
26 Aug 08		- 116.00	6,302.12	- 6,609.04	0.00	- 306.92	0.00	- 306.92
Total United Kingdom			66,264.46	- 70,342.80	- 6,160.52	2,082.18	0.00	2,082.18
United States								
26 May 09	AIR PROD & CHEM INC COM	- 687.00	43,113.02	- 48,558.53	- 5,445.51	0.00	0.00	- 5,445.51
29 May 09	SEDOL 2011602							
26 Sep 08		- 687.00	43,113.02	- 48,558.53	- 5,445.51	0.00	0.00	- 5,445.51
21 Sep 09	AIR PROD & CHEM INC COM	- 488.00	38,516.84	- 27,355.42	2,469.47	8,691.95	0.00	2,469.47
24 Sep 09	SEDOL 2011602							
14 Sep 05		- 380.00	29,992.62	- 21,300.67	0.00	8,691.95	0.00	8,691.95
6 Nov 08		- 108.00	8,524.22	- 6,054.75	2,469.47	0.00	0.00	2,469.47
10 Sep 09	AIR PROD & CHEM INC COM	- 773.00	57,320.41	- 48,381.62	8,938.79	0.00	0.00	8,938.79
15 Sep 09	SEDOL 2011602							
26 Sep 08		- 184.00	13,644.19	- 13,005.49	638.70	0.00	0.00	638.70
29 Sep 08		- 191.00	14,163.25	- 12,668.74	1,494.51	0.00	0.00	1,494.51
6 Nov 08		- 97.00	7,192.86	- 5,438.06	1,754.80	0.00	0.00	1,754.80
21 Apr 09		- 301.00	22,320.11	- 17,269.33	5,050.78	0.00	0.00	5,050.78
26 May 09	AMERICAN EXPRESS CO	- 1,243.00	30,038.68	- 55,331.51	- 3,468.75	- 21,824.08	0.00	- 3,468.75
29 May 09	SEDOL 2026082							
31 Dec 07		- 787.00	19,018.86	- 40,842.94	0.00	- 21,824.08	0.00	- 21,824.08
29 Sep 08		- 328.00	7,926.54	- 11,271.42	- 3,344.88	0.00	0.00	- 3,344.88
6 Nov 08		- 128.00	3,093.28	- 3,217.15	- 123.87	0.00	0.00	- 123.87
21 Sep 09	AMERICAN EXPRESS CO	- 1,025.00	34,890.10	- 22,268.96	1,994.74	10,626.40	0.00	1,994.74
24 Sep 09	SEDOL 2026082							
16 Nov 93		- 801.00	27,265.34	- 16,638.94	0.00	10,626.40	0.00	10,626.40
6 Nov 08		- 224.00	7,624.76	- 5,630.02	1,994.74	0.00	0.00	1,994.74

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Realized gain/loss			Total	
					Short Term	Long Term	Translation	Short Term	Long Term

Sales

Equities

21 Sep 09	ANALOG DEVICES INC COM	- 1,173 00	31,998 73	- 42,850 47	0 00	- 10,851 74	0 00	0 00	- 10,851 74
24 Sep 09	SEDOL 2032067								
22 Feb 05		- 266 00	7,256 32	- 9,707 88	0 00	- 2,451 56	0 00	0 00	- 2,451 56
23 Feb 05		- 907 00	24,742 41	- 33,142 59	0 00	- 8,400 18	0 00	0 00	- 8,400 18
26 May 09	ANALOG DEVICES INC COM	- 1,369 00	32,311 53	- 50,076 61	0 00	- 17,765 08	0 00	0 00	- 17,765 08
29 May 09	SEDOL 2032067								
23 Feb 05		- 656 00	15,483 10	- 23,970 83	0 00	- 8,487 73	0 00	0 00	- 8,487 73
9 Oct 07		- 713 00	16,828 43	- 26,105 78	0 00	- 9,277 35	0 00	0 00	- 9,277 35
26 May 09	AVON PRODUCTS INC COM USD0 25	- 1,150 00	29,759 28	- 32,357 76	- 2,598 48	0 00	0 00	- 2,598 48	0 00
29 May 09	SEDOL 2066721								
29 Sep 08		- 328 00	8,487 86	- 13,203 12	- 4,715 26	0 00	0 00	- 4,715 26	0 00
6 Nov 08		- 352 00	9,108 93	- 9,092 27	16 66	0 00	0 00	16 66	0 00
21 Apr 09		- 470 00	12,162 49	- 10,062 37	2,100 12	0 00	0 00	2,100 12	0 00
21 Sep 09	AVON PRODUCTS INC COM USD0 25	- 1,023 00	32,428 26	- 14,814 97	493 91	17,119 38	0 00	493 91	17,119 38
24 Sep 09	SEDOL 2066721								
12 Oct 99		- 975 00	30,906 70	- 13,787 32	0 00	17,119 38	0 00	0 00	17,119 38
21 Apr 09		- 48 00	1,521 56	- 1,027 65	493 91	0 00	0 00	493 91	0 00
21 Sep 09	BAKER HUGHES INC COM	- 535 00	23,523 34	- 18,657 86	4,865 48	0 00	0 00	4,865 48	0 00
24 Sep 09	SEDOL 2072085								
9 Jul 09		- 535 00	23,523 34	- 18,657 86	4,865 48	0 00	0 00	4,865 48	0 00
21 Sep 09	BECTON DICKINSON & CO COM	- 471 00	33,327 29	- 10,690 75	14 51	22,622 03	0 00	14 51	22,622 03
24 Sep 09	SEDOL 2087807								
17 Dec 93		- 188 00	13,302 61	- 4,176 13	0 00	9,126 48	0 00	0 00	9,126 48
21 Dec 93		- 278 00	19,670 89	- 6,175 34	0 00	13,495 55	0 00	0 00	13,495 55
21 Apr 09		- 5 00	353 79	- 339 28	14 51	0 00	0 00	14 51	0 00
26 May 09	BECTON DICKINSON & CO COM	- 547 00	36,040 90	- 39,115 11	- 3,074 21	0 00	0 00	- 3,074 21	0 00
29 May 09	SEDOL 2087807								
29 Sep 08		- 151 00	9,949 13	- 12,142 12	- 2,192 99	0 00	0 00	- 2,192 99	0 00
6 Nov 08		- 162 00	10,673 91	- 11,094 57	- 420 66	0 00	0 00	- 420 66	0 00
21 Apr 09		- 234 00	15,417 86	- 15,878 42	- 460 56	0 00	0 00	- 460 56	0 00

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market			Realized gain/loss			Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Translation	Short Term	Long Term

Sales

Equities

26 May 09	BORG WARNER INC COM	- 655.00	19,840.52	- 14,786.67	4,853.85	0.00	0.00	4,853.85	0.00	0.00	4,853.85	0.00
29 May 09	SEDOL 2111955											
28 Oct 08		- 188.00	5,637.28	- 3,934.69	1,702.59	0.00	0.00	1,702.59	0.00	0.00	1,702.59	0.00
6 Nov 08		- 189.00	5,667.26	- 4,056.66	1,610.60	0.00	0.00	1,610.60	0.00	0.00	1,610.60	0.00
21 Apr 09		- 278.00	8,335.98	- 6,795.32	1,540.66	0.00	0.00	1,540.66	0.00	0.00	1,540.66	0.00
21 Sep 09	BORG WARNER INC COM	- 552.00	16,697.57	- 11,552.92	5,144.65	0.00	0.00	5,144.65	0.00	0.00	5,144.65	0.00
24 Sep 09	SEDOL 2111955											
28 Oct 08		- 552.00	16,697.57	- 11,552.92	5,144.65	0.00	0.00	5,144.65	0.00	0.00	5,144.65	0.00
26 May 09	CARNIVAL CORP COM PAIRED	- 1,058.00	26,970.15	- 28,180.88	- 1,210.73	0.00	0.00	- 1,210.73	0.00	0.00	- 1,210.73	0.00
29 May 09	SEDOL 2523044											
29 Sep 08		- 292.00	7,443.56	- 9,626.01	- 2,182.45	0.00	0.00	- 2,182.45	0.00	0.00	- 2,182.45	0.00
6 Nov 08		- 306.00	7,800.44	- 6,806.06	994.38	0.00	0.00	994.38	0.00	0.00	994.38	0.00
21 Apr 09		- 460.00	11,726.15	- 11,748.81	- 22.66	0.00	0.00	- 22.66	0.00	0.00	- 22.66	0.00
21 Sep 09	CARNIVAL CORP COM PAIRED	- 927.00	29,904.25	- 20,409.81	70.12	9,424.32	0.00	70.12	9,424.32	0.00	70.12	9,424.32
24 Sep 09	SEDOL 2523044											
22 Dec 94		- 920.00	29,678.44	- 20,254.12	0.00	9,424.32	0.00	0.00	9,424.32	0.00	0.00	9,424.32
6 Nov 08		- 7.00	225.81	- 155.69	70.12	0.00	0.00	70.12	0.00	0.00	70.12	0.00
21 Sep 09	CATERPILLAR INC COM	- 572.00	30,275.18	- 20,148.81	10,126.37	0.00	0.00	10,126.37	0.00	0.00	10,126.37	0.00
24 Sep 09	SEDOL 2180201											
27 May 09		- 572.00	30,275.18	- 20,148.81	10,126.37	0.00	0.00	10,126.37	0.00	0.00	10,126.37	0.00
26 May 09	CHARLES RIV LABORATORIES INTL INC COM	- 719.00	21,439.37	- 34,497.71	- 3,531.53	- 9,526.81	0.00	- 3,531.53	- 9,526.81	0.00	- 3,531.53	- 9,526.81
29 May 09	SEDOL 2604336											
2 Feb 07		- 324.00	9,661.13	- 14,893.60	0.00	- 5,232.47	0.00	0.00	- 5,232.47	0.00	0.00	- 5,232.47
8 Feb 07		- 265.00	7,901.86	- 12,196.20	0.00	- 4,294.34	0.00	0.00	- 4,294.34	0.00	0.00	- 4,294.34
29 Sep 08		- 130.00	3,876.38	- 7,407.91	- 3,531.53	0.00	0.00	- 3,531.53	0.00	0.00	- 3,531.53	0.00
21 Sep 09	CHARLES RIV LABORATORIES INTL INC COM	- 626.00	22,815.86	- 28,761.51	0.00	- 5,945.65	0.00	0.00	- 5,945.65	0.00	0.00	- 5,945.65
24 Sep 09	SEDOL 2604336											
2 Feb 07		- 576.00	20,993.51	- 26,477.51	0.00	- 5,484.00	0.00	0.00	- 5,484.00	0.00	0.00	- 5,484.00
6 Feb 07		- 50.00	1,822.35	- 2,284.00	0.00	- 461.65	0.00	0.00	- 461.65	0.00	0.00	- 461.65

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Trade Date	Security Description	Settle Date	Acquisition Date	Shares/Par	Proceeds	Cost	Market	Realized gain/loss	Total		
							Short Term	Long Term	Translation	Short Term	Long Term

Sales

Equities

26 May 09	CISCO SYSTEMS INC	29 May 09	SEDOL 2198163	- 2,613 00	47,679 23	- 60,009 14	- 11,786 91	- 543 00	0 00	- 11,786 91	- 543 00
10 Jan 06				- 713 00	13,010 06	- 13,553 06	0 00	- 543 00	0 00	0 00	- 543 00
12 Jun 08				- 1,196 00	21,823 33	- 31,250 88	- 9,427 55	0 00	0 00	- 9,427 55	0 00
29 Sep 08				- 704 00	12,845 84	- 15,205 20	- 2,359 36	0 00	0 00	- 2,359 36	0 00
21 Sep 09	CISCO SYSTEMS INC	24 Sep 09	SEDOL 2198163	- 2,192 00	51,817 76	- 41,666 63	0 00	10,151 13	0 00	0 00	- 10,151 13
10 Jan 06				- 2,192 00	51,817 76	- 41,666 63	0 00	10,151 13	0 00	0 00	10,151 13
12 Jan 09	CITIGROUP INC COM	15 Jan 09	SEDOL 2297907	- 10,211 00	56,896 39	- 134,576 50	- 48,064 42	- 29,615 69	0 00	- 48,064 42	- 29,615 69
17 Nov 93				- 7,531 00	41,963 25	- 71,578 94	0 00	- 29,615 69	0 00	0 00	- 29,615 69
24 Jan 08				- 1,843 00	10,269 32	- 50,099 19	- 39,829 87	0 00	0 00	- 39,829 87	0 00
29 Sep 08				- 404 00	2,251 12	- 7,776 07	- 5,524 95	0 00	0 00	- 5,524 95	0 00
6 Nov 08				- 433 00	2,412 70	- 5,122 30	- 2,709 60	0 00	0 00	- 2,709 60	0 00
21 Sep 09	COCA COLA CO COM	24 Sep 09	SEDOL 2206657	- 771 00	40,908 20	- 40,696 00	0 00	212 20	0 00	0 00	212 20
27 Jul 07				- 771 00	40,908 20	- 40,696 00	0 00	212 20	0 00	0 00	212 20
26 May 09	COCA COLA CO COM	29 May 09	SEDOL 2206657	- 897 00	42,236 67	- 47,367 16	0 00	- 5,130 49	0 00	0 00	- 5,130 49
3 Jul 07				- 201 00	9,464 40	- 10,629 91	0 00	- 1,165 51	0 00	0 00	- 1,165 51
27 Jul 07				- 696 00	32,772 27	- 36,737 25	0 00	- 3,964 98	0 00	0 00	- 3,964 98
1 May 09	COCA COLA CO COM	6 May 09	SEDOL 2206657	- 1,275 00	54,173 22	- 69,926 40	- 8,922 81	- 6,830 37	0 00	- 8,922 81	- 6,830 37
3 Jul 07				- 657 00	27,915 14	- 34,745 51	0 00	- 6,830 37	0 00	0 00	- 6,830 37
2 Jun 08				- 618 00	26,258 08	- 35,180 89	- 8,922 81	0 00	0 00	- 8,922 81	0 00
21 Sep 09	COMCAST CORP NEW-CL A	24 Sep 09	SEDOL 2044545	- 1,610 00	27,610 78	- 40,877 68	0 00	- 13,266 90	0 00	0 00	- 13,266 90
10 Aug 07				- 1,021 00	17,509 69	- 25,703 57	0 00	- 8,193 88	0 00	0 00	- 8,193 88
13 Aug 07				- 589 00	10,101 09	- 15,174 11	0 00	- 5,073 02	0 00	0 00	- 5,073 02

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market			Realized gain/loss			Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Long Term	Short Term	Long Term

Sales

Equities

26 May 09	COMCAST CORP NEW-CL A	- 1,958 00	28,253 80	- 50,442 98	0 00	- 22,189 18	0 00	0 00	- 22,189 18	- 22,189 18	0 00	- 22,189 18
29 May 09	SEDOL 2044545											
13 Aug 07												
26 May 09	COSTCO WHOLESALE CORP NEW COM	- 890 00	44,164 13	- 47,186 52	- 3,058 87	36 48	0 00	- 3,058 87	36 48	- 3,058 87	36 48	36 48
29 May 09	SEDOL 2701271											
9 Jun 04		- 4 00	198 49	- 162 01	0 00	36 48	0 00	0 00	36 48	0 00	0 00	36 48
29 Sep 08		- 243 00	12,058 30	- 15,329 12	- 3,270 82	0 00	0 00	- 3,270 82	0 00	- 3,270 82	0 00	0 00
6 Nov 08		- 260 00	12,901 88	- 13,968 27	- 1,066 39	0 00	0 00	- 1,066 39	0 00	- 1,066 39	0 00	0 00
21 Apr 09		- 383 00	19,005 46	- 17,727 12	1,278 34	0 00	0 00	1,278 34	0 00	1,278 34	0 00	0 00
21 Sep 09	COSTCO WHOLESALE CORP NEW COM	- 762 00	44,408 74	- 30,845 39	0 00	13,563 35	0 00	0 00	13,563 35	0 00	0 00	13,563 35
24 Sep 09	SEDOL 2701271											
8 Jun 04		- 33 00	1,923 21	- 1,318 63	0 00	604 58	0 00	0 00	604 58	0 00	0 00	604 58
9 Jun 04		- 729 00	42,485 53	- 29,526 76	0 00	12,958 77	0 00	0 00	12,958 77	0 00	0 00	12,958 77
21 Sep 09	CVS CAREMARK CORP COM STK	- 1,167 00	42,080 93	- 18,639 87	0 00	23,441 06	0 00	0 00	23,441 06	0 00	0 00	23,441 06
24 Sep 09	SEDOL 2577609											
31 Mar 00		- 1,043 00	37,609 61	- 16,659 28	0 00	20,950 33	0 00	0 00	20,950 33	0 00	0 00	20,950 33
3 Apr 00		- 124 00	4,471 32	- 1,980 59	0 00	2,490 73	0 00	0 00	2,490 73	0 00	0 00	2,490 73
26 May 09	CVS CAREMARK CORP COM STK	- 1,363 00	41,273 98	- 41,985 91	- 883 64	171 71	0 00	- 883 64	171 71	- 883 64	171 71	171 71
29 May 09	SEDOL 2577609											
31 Mar 00		- 12 00	363 38	- 191 67	0 00	171 71	0 00	0 00	171 71	0 00	0 00	171 71
29 Sep 08		- 370 00	11,204 24	- 12,082 46	- 878 22	0 00	0 00	- 878 22	0 00	- 878 22	0 00	0 00
6 Nov 08		- 397 00	12,021 84	- 11,890 79	131 05	0 00	0 00	131 05	0 00	131 05	0 00	0 00
21 Apr 09		- 584 00	17,684 52	- 17,820 99	- 136 47	0 00	0 00	- 136 47	0 00	- 136 47	0 00	0 00
21 Sep 09	DOVER CORP COM	- 725 00	28,230 77	- 23,436 49	0 00	4,794 28	0 00	0 00	4,794 28	0 00	0 00	4,794 28
24 Sep 09	SEDOL 2278407											
21 Jul 98		- 725 00	28,230 77	- 23,436 49	0 00	4,794 28	0 00	0 00	4,794 28	0 00	0 00	4,794 28
18 Dec 09	DOVER CORP COM	- 1,334 00	54,205 42	- 43,123 15	0 00	11,082 27	0 00	0 00	11,082 27	0 00	0 00	11,082 27
23 Dec 09	SEDOL 2278407											
21 Jul 98		- 309 00	12,555 83	- 9,988 80	0 00	2,567 03	0 00	0 00	2,567 03	0 00	0 00	2,567 03
22 Oct 01		- 1,025 00	41,649 59	- 33,134 35	0 00	8,515 24	0 00	0 00	8,515 24	0 00	0 00	8,515 24

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market			Realized gain/loss			Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Long Term	Short Term	Long Term

Sales

Equities

26 May 09	DOVER CORP COM	- 865.00	27,179.59	- 29,308.90	- 1,561.15	- 568.16	0.00	- 1,561.15	- 568.16	- 568.16		
29 May 09	SEDOL 2278407											
21 Jul 98		- 13.00	408.48	- 420.24	0.00	- 11.76	0.00	0.00	- 11.76	- 11.76		
14 Aug 98		- 615.00	19,324.22	- 19,880.62	0.00	- 556.40	0.00	0.00	- 556.40	- 556.40		
29 Sep 08		- 237.00	7,446.89	- 9,008.04	- 1,561.15	0.00	0.00	- 1,561.15	0.00	0.00		
21 Sep 09	EATON CORP COM	- 469.00	27,668.26	- 18,374.44	9,293.82	0.00	0.00	9,293.82	0.00	0.00		
24 Sep 09	SEDOL 2300883											
27 Mar 09		- 469.00	27,668.26	- 18,374.44	9,293.82	0.00	0.00	9,293.82	0.00	0.00		
17 Nov 09	EATON CORP COM	- 934.00	60,465.14	- 34,693.92	25,771.22	0.00	0.00	25,771.22	0.00	0.00		
20 Nov 09	SEDOL 2300883											
23 Mar 09		- 141.00	9,128.04	- 5,174.26	3,953.78	0.00	0.00	3,953.78	0.00	0.00		
25 Mar 09		- 793.00	51,337.10	- 29,519.66	21,817.44	0.00	0.00	21,817.44	0.00	0.00		
18 Nov 09	EATON CORP COM	- 516.00	32,963.45	- 18,935.60	14,027.85	0.00	0.00	14,027.85	0.00	0.00		
23 Nov 09	SEDOL 2300883											
23 Mar 09		- 516.00	32,963.45	- 18,935.60	14,027.85	0.00	0.00	14,027.85	0.00	0.00		
9 Nov 09	EATON CORP COM	- 796.00	51,662.97	- 30,236.24	21,426.73	0.00	0.00	21,426.73	0.00	0.00		
13 Nov 09	SEDOL 2300883											
24 Mar 09		- 603.00	39,136.65	- 22,674.91	16,461.74	0.00	0.00	16,461.74	0.00	0.00		
27 Mar 09		- 193.00	12,526.32	- 7,561.33	4,964.99	0.00	0.00	4,964.99	0.00	0.00		
26 May 09	EATON CORP COM	- 554.00	25,042.09	- 22,303.14	2,738.95	0.00	0.00	2,738.95	0.00	0.00		
29 May 09	SEDOL 2300883											
27 Mar 09		- 317.00	14,329.14	- 12,419.39	1,909.75	0.00	0.00	1,909.75	0.00	0.00		
21 Apr 09		- 237.00	10,712.95	- 9,883.75	829.20	0.00	0.00	829.20	0.00	0.00		
16 Nov 09	EATON CORP COM	- 762.00	50,478.69	- 26,575.58	21,903.11	0.00	0.00	21,903.11	0.00	0.00		
19 Nov 09	SEDOL 2300883											
24 Mar 09		- 555.00	36,765.98	- 20,869.94	15,896.04	0.00	0.00	15,896.04	0.00	0.00		
25 Mar 09		- 207.00	13,712.71	- 7,705.64	6,007.07	0.00	0.00	6,007.07	0.00	0.00		
4 May 09	ELECTR ARTS COM	- 1,885.00	39,018.49	- 61,926.71	- 3,947.30	- 18,960.92	0.00	- 3,947.30	- 18,960.92	- 18,960.92		
7 May 09	SEDOL 2310194											
27 Jun 06		- 929.00	19,229.80	- 38,190.72	0.00	- 18,960.92	0.00	0.00	- 18,960.92	- 18,960.92		

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					Short Term	Long Term	Translation	Short Term	Long Term			
Sales												
Equities												
29 Sep 08		- 262 00	5,423 26	- 9,634 37	- 4,211 11	0 00	0 00	- 4,211 11	0 00	- 4,211 11	0 00	
6 Nov 08		- 281 00	5,816 55	- 6,252 39	- 435 84	0 00	0 00	- 435 84	0 00	- 435 84	0 00	
21 Apr 09		- 413 00	8,548 88	- 7,849 23	699 65	0 00	0 00	699 65	0 00	699 65	0 00	
1 May 09	ELECTR ARTS COM	- 5,149 00	102,531 96	- 248,132 85	0 00	- 145,600 89	0 00	0 00	- 145,600 89	0 00	- 145,600 89	
6 May 09	SEDOL 2310194											
7 Apr 05		- 2,794 00	55,636 88	- 146,767 98	0 00	- 91,131 10	0 00	0 00	- 91,131 10	0 00	- 91,131 10	
13 May 05		- 428 00	8,522 76	- 22,146 86	0 00	- 13,624 10	0 00	0 00	- 13,624 10	0 00	- 13,624 10	
27 Jun 06		- 1,927 00	38,372 32	- 79,218 01	0 00	- 40,845 69	0 00	0 00	- 40,845 69	0 00	- 40,845 69	
23 Mar 09	EMC CORP COM	- 7,368 00	86,171 22	- 79,001 87	0 00	7,169 35	0 00	0 00	7,169 35	0 00	7,169 35	
26 Mar 09	SEDOL 2295172											
30 Aug 04		- 773 00	9,040 49	- 8,246 75	0 00	793 74	0 00	0 00	793 74	0 00	793 74	
31 Aug 04		- 6,595 00	77,130 73	- 70,755 12	0 00	6,375 61	0 00	0 00	6,375 61	0 00	6,375 61	
24 Mar 09	EMC CORP COM	- 4,401 00	52,077 17	- 46,811 07	925 89	4,340 21	0 00	925 89	4,340 21	925 89	4,340 21	
27 Mar 09	SEDOL 2295172											
30 Aug 04		- 3,727 00	44,101 71	- 39,761 50	0 00	4,340 21	0 00	0 00	4,340 21	0 00	4,340 21	
6 Nov 08		- 674 00	7,975 46	- 7,049 57	925 89	0 00	0 00	925 89	0 00	925 89	0 00	
3 Mar 09	EMC CORP COM	- 4,129 00	41,898 37	- 45,501 61	- 837 04	- 2,766 20	0 00	- 837 04	- 2,766 20	- 837 04	- 2,766 20	
6 Mar 09	SEDOL 2295172											
13 Jul 01		- 941 00	9,548 65	- 10,458 52	0 00	- 909 87	0 00	0 00	- 909 87	0 00	- 909 87	
29 May 02		- 955 00	9,690 71	- 10,614 12	0 00	- 923 41	0 00	0 00	- 923 41	0 00	- 923 41	
31 Aug 04		- 1,605 00	16,286 48	- 17,219 40	0 00	- 932 92	0 00	0 00	- 932 92	0 00	- 932 92	
29 Sep 08		- 628 00	6,372 53	- 7,209 57	- 837 04	0 00	0 00	- 837 04	0 00	- 837 04	0 00	
21 Sep 09	EMERSON ELECTRIC CO COM	- 846 00	34,321 33	- 33,315 06	1,006 27	0 00	0 00	1,006 27	0 00	1,006 27	0 00	
24 Sep 09	SEDOL 2313405											
3 Oct 08		- 846 00	34,321 33	- 33,315 06	1,006 27	0 00	0 00	1,006 27	0 00	1,006 27	0 00	
26 May 09	EMERSON ELECTRIC CO COM	- 978 00	31,894 29	- 38,513 15	- 6,618 86	0 00	0 00	- 6,618 86	0 00	- 6,618 86	0 00	
29 May 09	SEDOL 2313405											
3 Oct 08		- 978 00	31,894 29	- 38,513 15	- 6,618 86	0 00	0 00	- 6,618 86	0 00	- 6,618 86	0 00	
21 Sep 09	EOG RESOURCES INC COM	- 335 00	27,184 55	- 17,432 70	9,751 85	0 00	0 00	9,751 85	0 00	9,751 85	0 00	
24 Sep 09	SEDOL 2318024											
5 Mar 09		- 55 00	4,463 14	- 2,837 62	1,625 52	0 00	0 00	1,625 52	0 00	1,625 52	0 00	
6 Mar 09		- 280 00	22,721 41	- 14,595 08	8,126 33	0 00	0 00	8,126 33	0 00	8,126 33	0 00	

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					Market Short Term	Long Term	Translation	Short Term	Long Term

Sales

Equities

26 May 09 29 May 09	EDG RESOURCES INC COM SEDOL 2318024	- 395.00	26,676.90	- 21,357.63	5,319.27	0.00	0.00	5,319.27	0.00
6 Mar 09 21 Apr 09		- 226.00 - 169.00	15,263.24 11,413.66	- 11,780.32 - 9,577.31	3,482.92 1,836.35	0.00 0.00	0.00 0.00	3,482.92 1,836.35	0.00 0.00
21 Sep 09 24 Sep 09	EXELON CORP COM SEDOL 2670519	- 542.00	27,570.83	- 33,447.04	- 5,876.21	0.00	0.00	- 5,876.21	0.00
3 Oct 08		- 542.00	27,570.83	- 33,447.04	- 5,876.21	0.00	0.00	- 5,876.21	0.00
26 May 09 29 May 09	EXELON CORP COM SEDOL 2670519	- 620.00	28,793.23	- 38,260.45	- 9,467.22	0.00	0.00	- 9,467.22	0.00
3 Oct 08		- 620.00	28,793.23	- 38,260.45	- 9,467.22	0.00	0.00	- 9,467.22	0.00
21 Sep 09 24 Sep 09	FEDEX CORP COM SEDOL 2142784	- 496.00	37,293.28	- 42,277.99	- 185.42	- 4,799.29	0.00	- 185.42	- 4,799.29
9 Sep 08 29 Sep 08		- 457.00 - 39.00	34,360.95 2,932.33	- 39,160.24 - 3,117.75	0.00 - 185.42	- 4,799.29 0.00	0.00 0.00	0.00 - 185.42	- 4,799.29 0.00
26 May 09 29 May 09	FEDEX CORP COM SEDOL 2142784	- 588.00	31,806.28	- 50,385.60	- 18,579.32	0.00	0.00	- 18,579.32	0.00
9 Sep 08		- 588.00	31,806.28	- 50,385.60	- 18,579.32	0.00	0.00	- 18,579.32	0.00
27 May 09 1 Jun 09	GENERAL ELECTRIC CO SEDOL 2380498	- 4,234.00	55,698.95	- 108,968.73	- 6,924.47	- 46,345.31	0.00	- 6,924.47	- 46,345.31
17 Apr 98 7 Jan 02 23 Jul 02 29 Sep 08 6 Nov 08 21 Apr 09		- 321.00 - 1,015.00 - 1,100.00 - 493.00 - 528.00 - 777.00	4,222.81 13,352.49 14,470.67 6,485.50 6,945.92 10,221.56	- 10,329.89 - 32,663.03 - 35,398.36 - 11,851.72 - 9,580.98 - 9,144.75	0.00 0.00 0.00 - 5,366.22 - 2,635.06 1,076.61	- 6,107.08 - 19,310.54 - 20,927.69 0.00 0.00 0.00	0.00 0.00 0.00 0.00 0.00 0.00	0.00 0.00 0.00 - 5,366.22 - 2,635.06 1,076.61	- 6,107.08 - 19,310.54 - 20,927.69 0.00 0.00 0.00
26 May 09 29 May 09	GENERAL ELECTRIC CO SEDOL 2380498	- 7,180.00	95,569.79	- 231,054.75	0.00	- 135,484.96	0.00	0.00	- 135,484.96
16 Apr 98 17 Apr 98		- 2,279.00 - 4,901.00	30,334.76 65,235.03	- 73,338.97 - 157,715.78	0.00 0.00	- 43,004.21 - 92,480.75	0.00 0.00	0.00 0.00	- 43,004.21 - 92,480.75

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					Short Term	Long Term	Short Term	Long Term	

Sales

Equities

26 May 09	GENERAL ELECTRIC CO	- 1,827 00	24,288.97	- 58,793.46	0.00	- 34,504.49	0.00	0.00	- 34,504.49	
29 May 09	SEDOL 2380498									
16 Apr 98		- 1,827 00	24,288.97	- 58,793.46	0.00	- 34,504.49	0.00	0.00	- 34,504.49	
21 Sep 09	GOLDMAN SACHS GROUP INC COM	- 159.00	29,049.14	- 28,308.39	0.00	740.75	0.00	0.00	740.75	
24 Sep 09	SEDOL 2407966									
17 Aug 07		- 43.00	7,856.06	- 7,496.17	0.00	359.89	0.00	0.00	359.89	
25 Mar 08		- 116.00	21,193.08	- 20,812.22	0.00	380.86	0.00	0.00	380.86	
26 May 09	GOLDMAN SACHS GROUP INC COM	- 190.00	26,158.92	- 34,088.98	0.00	- 7,930.06	0.00	0.00	- 7,930.06	
29 May 09	SEDOL 2407966									
25 Mar 08		- 190.00	26,158.92	- 34,088.98	0.00	- 7,930.06	0.00	0.00	- 7,930.06	
21 Sep 09	GOOGLE INC CL A CL A	- 76.00	37,742.14	- 37,030.23	0.00	711.91	0.00	0.00	711.91	
24 Sep 09	SEDOL B020QX2									
8 Aug 08		- 76.00	37,742.14	- 37,030.23	0.00	711.91	0.00	0.00	711.91	
26 May 09	GOOGLE INC CL A CL A	- 89.00	35,485.17	- 43,364.34	- 7,879.17	0.00	0.00	- 7,879.17	0.00	
29 May 09	SEDOL B020QX2									
8 Aug 08		- 89.00	35,485.17	- 43,364.34	- 7,879.17	0.00	0.00	- 7,879.17	0.00	
26 May 09	GRAINGER W W INC COM	- 666.00	51,387.90	- 51,836.92	- 497.89	48.87	0.00	- 497.89	48.87	
29 May 09	SEDOL 2380863									
12 Nov 93		- 1.00	77.16	- 28.29	0.00	48.87	0.00	0.00	48.87	
29 Sep 08		- 182.00	14,042.94	- 15,153.96	- 1,111.02	0.00	0.00	- 1,111.02	0.00	
6 Nov 08		- 196.00	15,123.16	- 14,385.54	737.62	0.00	0.00	737.62	0.00	
21 Apr 09		- 287.00	22,144.64	- 22,269.13	- 124.49	0.00	0.00	- 124.49	0.00	
8 Jul 09	GRAINGER W W INC COM	- 280.00	22,143.51	- 7,920.99	0.00	14,222.52	0.00	0.00	14,222.52	
13 Jul 09	SEDOL 2380863									
12 Nov 93		- 280.00	22,143.51	- 7,920.99	0.00	14,222.52	0.00	0.00	14,222.52	
9 Jul 09	GRAINGER W W INC COM	- 333.00	26,223.10	- 9,420.32	0.00	16,802.78	0.00	0.00	16,802.78	
14 Jul 09	SEDOL 2380863									
12 Nov 93		- 333.00	26,223.10	- 9,420.32	0.00	16,802.78	0.00	0.00	16,802.78	

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					Short Term	Long Term	Translation	Short Term	Long Term	Long Term	Short Term	Long Term

Sales

Equities

21 Sep 09	GRAINGER W W INC COM	- 481.00	43,885.41	- 13,607.14	0.00	30,278.27	0.00	0.00	0.00	30,278.27	0.00	30,278.27
24 Sep 09	SEDOL 2380863											
12 Nov 93												
21 Sep 09	INTERNATIONAL BUSINESS MACHS CORP COM	- 319.00	38,891.51	- 17,814.07	0.00	21,077.44	0.00	0.00	0.00	21,077.44	0.00	21,077.44
24 Sep 09	SEDOL 2005973											
9 Apr 98		- 319.00	38,891.51	- 17,814.07	0.00	21,077.44	0.00	0.00	0.00	21,077.44	0.00	21,077.44
26 May 09	INTERNATIONAL BUSINESS MACHS CORP COM	- 380.00	39,399.62	- 37,772.14	1,340.44	287.04	0.00	1,340.44	0.00	287.04	1,340.44	287.04
29 May 09	SEDOL 2005973											
9 Apr 98		- 6.00	622.10	- 335.06	0.00	287.04	0.00	0.00	0.00	287.04	0.00	287.04
29 Sep 08		- 102.00	10,575.69	- 11,525.43	- 949.74	0.00	0.00	- 949.74	0.00	0.00	- 949.74	0.00
6 Nov 08		- 111.00	11,508.84	- 9,484.84	2,024.00	0.00	0.00	2,024.00	0.00	0.00	2,024.00	0.00
21 Apr 09		- 161.00	16,692.99	- 16,426.81	266.18	0.00	0.00	266.18	0.00	0.00	266.18	0.00
26 May 09	JOHNSON & JOHNSON COM	- 702.00	38,568.49	- 40,709.13	- 2,356.09	215.45	0.00	- 2,356.09	0.00	215.45	- 2,356.09	215.45
29 May 09	SEDOL 2475833											
8 Jul 94		- 7.00	384.59	- 169.14	0.00	215.45	0.00	0.00	0.00	215.45	0.00	215.45
29 Sep 08		- 190.00	10,438.77	- 12,871.80	- 2,433.03	0.00	0.00	- 2,433.03	0.00	0.00	- 2,433.03	0.00
6 Nov 08		- 205.00	11,262.87	- 11,913.33	- 650.46	0.00	0.00	- 650.46	0.00	0.00	- 650.46	0.00
21 Apr 09		- 300.00	16,482.26	- 15,754.86	727.40	0.00	0.00	727.40	0.00	0.00	727.40	0.00
21 Sep 09	JOHNSON & JOHNSON COM	- 595.00	36,073.92	- 14,376.80	0.00	21,697.12	0.00	0.00	0.00	21,697.12	0.00	21,697.12
24 Sep 09	SEDOL 2475833											
8 Jul 94		- 595.00	36,073.92	- 14,376.80	0.00	21,697.12	0.00	0.00	0.00	21,697.12	0.00	21,697.12
26 May 09	MEDTRONIC INC COM	- 935.00	30,779.59	- 42,843.28	- 4,333.87	- 7,729.82	0.00	- 4,333.87	0.00	- 7,729.82	- 4,333.87	- 7,729.82
29 May 09	SEDOL 2575465											
16 Oct 03		- 680.00	22,385.16	- 30,114.98	0.00	- 7,729.82	0.00	0.00	0.00	- 7,729.82	0.00	- 7,729.82
29 Sep 08		- 255.00	8,394.43	- 12,728.30	- 4,333.87	0.00	0.00	- 4,333.87	0.00	0.00	- 4,333.87	0.00
21 Sep 09	MEDTRONIC INC COM	- 808.00	30,331.54	- 35,783.68	0.00	- 5,452.14	0.00	0.00	0.00	- 5,452.14	0.00	- 5,452.14
24 Sep 09	SEDOL 2575465											
11 Jan 00		- 808.00	30,331.54	- 35,783.68	0.00	- 5,452.14	0.00	0.00	0.00	- 5,452.14	0.00	- 5,452.14
26 May 09	MICROSOFT CORP COM	- 2,430.00	48,824.73	- 61,959.50	- 3,934.57	- 9,200.20	0.00	- 3,934.57	0.00	- 9,200.20	- 3,934.57	- 9,200.20
29 May 09	SEDOL 2588173											

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Settle Date	Acquisition Date		Shares/Par	Proceeds	Cost	Short Term	Long Term	Translation	Short Term	Long Term
Sales										
Equities										
22 Feb 05			- 1,771.00	35,583.78	- 44,783.98	0.00	- 9,200.20	0.00	0.00	- 9,200.20
29 Sep 08			- 659.00	13,240.95	- 17,175.52	- 3,934.57	0.00	0.00	- 3,934.57	0.00
21 Sep 09	MICROSOFT CORP COM		- 2,061.00	51,977.08	- 52,003.16	0.00	- 26.08	0.00	0.00	- 26.08
24 Sep 09	SEDOL 2588173									
22 Feb 05			- 946.00	23,857.50	- 23,921.88	0.00	- 64.38	0.00	0.00	- 64.38
13 May 05			- 1,115.00	28,119.58	- 28,081.28	0.00	38.30	0.00	0.00	38.30
21 Sep 09	MONSANTO CO NEW COM		- 473.00	37,131.53	- 40,803.90	- 3,672.37	0.00	0.00	- 3,672.37	0.00
24 Sep 09	SEDOL 2654320									
20 Oct 08			- 279.00	21,902.11	- 24,723.86	- 2,821.75	0.00	0.00	- 2,821.75	0.00
6 Nov 08			- 129.00	10,126.78	- 10,921.00	- 794.22	0.00	0.00	- 794.22	0.00
21 Apr 09			- 65.00	5,102.64	- 5,159.04	- 56.40	0.00	0.00	- 56.40	0.00
26 May 09	MONSANTO CO NEW COM		- 457.00	38,937.99	- 41,096.06	- 2,158.07	0.00	0.00	- 2,158.07	0.00
29 May 09	SEDOL 2654320									
29 Sep 08			- 94.00	8,009.13	- 8,928.45	- 919.32	0.00	0.00	- 919.32	0.00
20 Oct 08			- 363.00	30,928.86	- 32,167.61	- 1,238.75	0.00	0.00	- 1,238.75	0.00
21 Sep 09	OCCIDENTAL PETROLEUM CORP		- 331.00	25,490.97	- 20,215.10	5,275.87	0.00	0.00	5,275.87	0.00
24 Sep 09	SEDOL 2655408									
9 Jul 09			- 331.00	25,490.97	- 20,215.10	5,275.87	0.00	0.00	5,275.87	0.00
7 May 09	PEPSICO INC COM		- 1,148.00	56,892.72	- 77,862.61	- 14,817.93	- 6,151.96	0.00	- 14,817.93	- 6,151.96
12 May 09	SEDOL 2681511									
23 Apr 07			- 357.00	17,692.25	- 23,844.21	0.00	- 6,151.96	0.00	0.00	- 6,151.96
2 Jun 08			- 564.00	27,950.78	- 38,066.16	- 10,115.38	0.00	0.00	- 10,115.38	0.00
29 Sep 08			- 227.00	11,249.69	- 15,952.24	- 4,702.55	0.00	0.00	- 4,702.55	0.00
26 May 09	PEPSICO INC COM		- 676.00	34,477.34	- 45,120.42	0.00	- 10,643.08	0.00	0.00	- 10,643.08
29 May 09	SEDOL 2681511									
20 Apr 07			- 340.00	17,340.67	- 22,678.82	0.00	- 5,338.15	0.00	0.00	- 5,338.15
23 Apr 07			- 336.00	17,136.67	- 22,441.60	0.00	- 5,304.93	0.00	0.00	- 5,304.93
21 Sep 09	PEPSICO INC COM		- 566.00	33,466.71	- 37,753.56	0.00	- 4,286.85	0.00	0.00	- 4,286.85
24 Sep 09	SEDOL 2681511									
20 Apr 07			- 566.00	33,466.71	- 37,753.56	0.00	- 4,286.85	0.00	0.00	- 4,286.85

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Translation	Realized gain/loss		
					Short Term	Long Term		Short Term	Long Term	
Sales										
Equities										
26 May 09 29 May 09	PROCTER & GAMBLE CO COM SEDOL 2704407	- 752.00	40,099.13	- 47,146.53	- 2,345.72	- 4,701.68	0.00	- 2,345.72	- 4,701.68	
3 Jul 07 27 Jul 07 6 Nov 08		- 390.00 - 143.00 - 219.00	20,796.09 7,625.23 11,677.81	- 24,112.61 - 9,010.39 - 14,023.53	0.00 0.00 - 2,345.72	- 3,316.52 - 1,385.16 0.00	0.00 0.00 0.00	0.00 0.00 - 2,345.72	- 3,316.52 - 1,385.16 0.00	
21 Sep 09 24 Sep 09	PROCTER & GAMBLE CO COM SEDOL 2704407	- 620.00	35,420.18	- 38,332.86	0.00	- 2,912.68	0.00	0.00	- 2,912.68	
3 Jul 07		- 620.00	35,420.18	- 38,332.86	0.00	- 2,912.68	0.00	0.00	- 2,912.68	
21 Sep 09 24 Sep 09	PROGRESSIVE CORP OH COM SEDOL 2705024	- 2,222.00	37,839.68	- 41,300.62	0.00	- 3,460.94	0.00	0.00	- 3,460.94	
5 Feb 08 6 Feb 08		- 1,434.00 - 788.00	24,420.39 13,419.29	- 26,625.22 - 14,675.40	0.00 0.00	- 2,204.83 - 1,256.11	0.00 0.00	0.00 0.00	- 2,204.83 - 1,256.11	
26 May 09 29 May 09	PROGRESSIVE CORP OH COM SEDOL 2705024	- 2,599.00	42,111.55	- 49,295.08	0.00	- 7,183.53	0.00	0.00	- 7,183.53	
17 Sep 07 18 Sep 07 6 Feb 08		- 1,278.00 - 313.00 - 1,008.00	20,707.41 5,071.53 16,332.61	- 24,392.04 - 6,130.45 - 18,772.59	0.00 0.00 0.00	- 3,684.63 - 1,058.92 - 2,439.98	0.00 0.00 0.00	0.00 0.00 0.00	- 3,684.63 - 1,058.92 - 2,439.98	
26 May 09 29 May 09	QUALCOMM INC COM SEDOL 2714923	- 647.00	27,358.27	- 23,546.57	3,811.70	0.00	0.00	3,811.70	0.00	
15 Dec 08 21 Apr 09		- 372.00 - 275.00	15,729.95 11,628.32	- 12,541.87 - 11,004.70	3,188.08 623.62	0.00 0.00	0.00 0.00	3,188.08 623.62	0.00 0.00	
21 Sep 09 24 Sep 09	QUALCOMM INC COM SEDOL 2714923	- 552.00	24,767.60	- 18,566.76	6,200.84	0.00	0.00	6,200.84	0.00	
12 Dec 08 15 Dec 08		- 147.00 - 405.00	6,595.72 18,171.88	- 4,912.31 - 13,654.45	1,683.41 4,517.43	0.00 0.00	0.00 0.00	1,683.41 4,517.43	0.00 0.00	
21 Sep 09 24 Sep 09	SYSCO CORP COM SEDOL 2868165	- 1,470.00	37,704.53	- 13,920.35	0.00	23,784.18	0.00	0.00	23,784.18	
17 Aug 95		- 1,470.00	37,704.53	- 13,920.35	0.00	23,784.18	0.00	0.00	23,784.18	
26 May 09 29 May 09	SYSCO CORP COM SEDOL 2868165	- 1,728.00	40,381.80	- 43,958.83	- 3,577.03	0.00	0.00	- 3,577.03	0.00	

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					Short Term	Long Term	Translation	Short Term	Long Term	Long Term	Short Term	Long Term

Sales

Equities

29 Sep 08		- 473.00	11,053.58	- 14,874.90	- 3,821.32	0.00	0.00	- 3,821.32	0.00	0.00	- 3,821.32	0.00
6 Nov 08		- 508.00	11,871.50	- 12,611.46	- 739.96	0.00	0.00	- 739.96	0.00	0.00	- 739.96	0.00
21 Apr 09		- 747.00	17,456.72	- 16,472.47	984.25	0.00	0.00	984.25	0.00	0.00	984.25	0.00
9 Jul 09	TEXAS INSTRUMENTS INC COM	- 1,000.00	20,553.57	- 13,642.84	0.00	6,910.73	0.00	0.00	0.00	6,910.73	0.00	6,910.73
14 Jul 09	SEDOL 2885409											
7 Dec 93		- 404.00	8,303.64	- 5,511.71	0.00	2,791.93	0.00	0.00	0.00	2,791.93	0.00	2,791.93
12 Mar 01		- 96.00	1,973.14	- 1,309.71	0.00	663.43	0.00	0.00	0.00	663.43	0.00	663.43
23 Jul 02		- 500.00	10,276.79	- 6,821.42	0.00	3,455.37	0.00	0.00	0.00	3,455.37	0.00	3,455.37
26 May 09	TEXAS INSTRUMENTS INC COM	- 1,183.00	22,181.85	- 39,163.25	- 757.59	- 16,223.81	0.00	- 757.59	- 16,223.81	- 16,223.81	- 757.59	- 16,223.81
29 May 09	SEDOL 2885409											
9 Oct 07		- 918.00	17,212.97	- 33,436.78	0.00	- 16,223.81	0.00	0.00	0.00	- 16,223.81	0.00	- 16,223.81
29 Sep 08		- 265.00	4,968.88	- 5,726.47	- 757.59	0.00	0.00	- 757.59	0.00	0.00	- 757.59	0.00
8 Jul 09	TEXAS INSTRUMENTS INC COM	- 5,754.00	117,059.81	- 78,500.96	0.00	38,558.85	0.00	0.00	0.00	38,558.85	0.00	38,558.85
13 Jul 09	SEDOL 2885409											
7 Dec 93		- 5,754.00	117,059.81	- 78,500.96	0.00	38,558.85	0.00	0.00	0.00	38,558.85	0.00	38,558.85
7 Jul 09	TEXAS INSTRUMENTS INC COM	- 986.00	20,465.77	- 17,164.76	3,002.24	298.77	0.00	3,002.24	298.77	298.77	3,002.24	298.77
10 Jul 09	SEDOL 2885409											
7 Dec 93		- 42.00	871.77	- 573.00	0.00	298.77	0.00	0.00	0.00	298.77	0.00	298.77
29 Sep 08		- 66.00	1,369.92	- 1,426.21	- 56.29	0.00	0.00	- 56.29	0.00	0.00	- 56.29	0.00
6 Nov 08		- 355.00	7,368.51	- 6,279.20	1,089.31	0.00	0.00	1,089.31	0.00	0.00	1,089.31	0.00
21 Apr 09		- 523.00	10,855.57	- 8,886.35	1,969.22	0.00	0.00	1,969.22	0.00	0.00	1,969.22	0.00
26 May 09	TIFFANY & CO COM	- 1,071.00	29,970.73	- 48,033.41	0.00	- 18,062.68	0.00	0.00	0.00	- 18,062.68	0.00	- 18,062.68
29 May 09	SEDOL 2892090											
15 Mar 06		- 10.00	279.84	- 384.75	0.00	- 104.91	0.00	0.00	0.00	- 104.91	0.00	- 104.91
12 May 08		- 361.00	10,102.18	- 15,740.83	0.00	- 5,638.65	0.00	0.00	0.00	- 5,638.65	0.00	- 5,638.65
13 May 08		- 574.00	16,062.74	- 26,102.13	0.00	- 10,039.39	0.00	0.00	0.00	- 10,039.39	0.00	- 10,039.39
14 May 08		- 126.00	3,525.97	- 5,805.70	0.00	- 2,279.73	0.00	0.00	0.00	- 2,279.73	0.00	- 2,279.73
21 Sep 09	TIFFANY & CO COM	- 927.00	35,744.20	- 35,282.55	0.00	461.65	0.00	0.00	0.00	461.65	0.00	461.65
24 Sep 09	SEDOL 2892090											
15 Mar 06		- 216.00	8,328.75	- 8,310.62	0.00	18.13	0.00	0.00	0.00	18.13	0.00	18.13
28 Mar 06		- 711.00	27,415.45	- 26,971.93	0.00	443.52	0.00	0.00	0.00	443.52	0.00	443.52

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					Short Term	Long Term	Translation	Short Term	Long Term	Long Term

Sales

Equities

21 Sep 09	UNION PAC CORP COM	- 558.00	34,584.95	- 35,263.48	- 678.53	0.00	0.00	- 678.53	0.00	0.00
24 Sep 09	SEDOL 2914734									
3 Oct 08		- 558.00	34,584.95	- 35,263.48	- 678.53	0.00	0.00	- 678.53	0.00	0.00
26 May 09	UNION PAC CORP COM	- 654.00	30,969.37	- 41,330.32	- 10,360.95	0.00	0.00	- 10,360.95	0.00	0.00
29 May 09	SEDOL 2914734									
3 Oct 08		- 654.00	30,969.37	- 41,330.32	- 10,360.95	0.00	0.00	- 10,360.95	0.00	0.00
21 Sep 09	UTI WORLDWIDE INC ORD NPV	- 1,147.00	17,597.04	- 33,052.76	0.00	- 15,455.72	0.00	0.00	- 15,455.72	
24 Sep 09	SEDOL 2676368									
14 Dec 06		- 500.00	7,670.90	- 14,401.65	0.00	- 6,730.75	0.00	0.00	- 6,730.75	
15 Dec 06		- 174.00	2,669.47	- 5,038.88	0.00	- 2,369.41	0.00	0.00	- 2,369.41	
20 Dec 06		- 473.00	7,256.67	- 13,612.23	0.00	- 6,355.56	0.00	0.00	- 6,355.56	
26 May 09	UTI WORLDWIDE INC ORD NPV	- 1,370.00	16,517.93	- 39,830.46	0.00	- 23,312.53	0.00	0.00	- 23,312.53	
29 May 09	SEDOL 2676368									
15 Dec 06		- 526.00	6,341.92	- 15,232.49	0.00	- 8,890.57	0.00	0.00	- 8,890.57	
18 Dec 06		- 300.00	3,617.06	- 8,709.66	0.00	- 5,092.60	0.00	0.00	- 5,092.60	
19 Dec 06		- 200.00	2,411.38	- 5,794.70	0.00	- 3,383.32	0.00	0.00	- 3,383.32	
27 Dec 06		- 200.00	2,411.38	- 5,858.50	0.00	- 3,447.12	0.00	0.00	- 3,447.12	
5 Mar 07		- 144.00	1,736.19	- 4,235.11	0.00	- 2,498.92	0.00	0.00	- 2,498.92	
26 May 09	WAL-MART STORES INC COM	- 704.00	35,375.16	- 35,086.19	111.84	197.13	0.00	111.84	197.13	
29 May 09	SEDOL 2936921									
26 Jul 05		- 401.00	20,149.77	- 19,952.64	0.00	197.13	0.00	0.00	197.13	
21 Apr 09		- 303.00	15,225.39	- 15,113.55	111.84	0.00	0.00	111.84	0.00	
21 Sep 09	WAL-MART STORES INC COM	- 599.00	30,404.45	- 29,592.81	0.00	811.64	0.00	0.00	811.64	
24 Sep 09	SEDOL 2936921									
13 May 05		- 86.00	4,365.25	- 4,067.37	0.00	297.88	0.00	0.00	297.88	
26 Jul 05		- 513.00	26,039.20	- 25,525.44	0.00	513.76	0.00	0.00	513.76	
3 Mar 09	WAL-MART STORES INC COM	- 1,777.00	84,513.82	- 92,177.36	- 4,951.99	- 2,711.55	0.00	- 4,951.99	- 2,711.55	
6 Mar 09	SEDOL 2936921									
26 Jul 05		- 1,234.00	58,688.83	- 61,400.38	0.00	- 2,711.55	0.00	0.00	- 2,711.55	
29 Sep 08		- 262.00	12,460.68	- 15,560.44	- 3,099.76	0.00	0.00	- 3,099.76	0.00	
6 Nov 08		- 281.00	13,364.31	- 15,216.54	- 1,852.23	0.00	0.00	- 1,852.23	0.00	

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					Short Term	Long Term	Translation	Long Term	Short Term	Long Term
<i>Sales</i>										
<i>Equities</i>										
21 Sep 09	WELLS FARGO & CO NEW COM STK	- 943.00	26,799.37	- 18,886.59	7,912.78	0.00	0.00	7,912.78	0.00	0.00
24 Sep 09	SEDOL 2649100									
1 May 09		- 943.00	26,799.37	- 18,886.59	7,912.78	0.00	0.00	7,912.78	0.00	0.00
26 May 09	WELLS FARGO & CO NEW COM STK	- 1,136.00	28,109.02	- 22,752.04	5,356.98	0.00	0.00	5,356.98	0.00	0.00
29 May 09	SEDOL 2649100									
1 May 09		- 1,136.00	28,109.02	- 22,752.04	5,356.98	0.00	0.00	5,356.98	0.00	0.00
Total United States			3,863,055.91	- 4,244,684.29	- 24,215.08	- 357,413.30	0.00	- 24,215.08	- 357,413.30	
Total S/T translation gain/loss for Equities							0.00			
Total L/T translation gain/loss for Equities							0.00			
Total realized gains for Equities					202,309.15	448,118.79	0.00	202,309.15	448,118.79	
Total realized losses for Equities					- 242,711.84	- 687,365.76	0.00	- 242,711.84	- 687,365.76	
Total Equities			4,396,328.82	- 4,675,978.48	- 40,402.69	- 239,246.97	0.00	- 40,402.69	- 239,246.97	

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Trade Date	Security Description	Settle Date	Acquisition Date	Shares/Par	Proceeds	Cost	Market	Realized gain/loss		
							Short Term	Long Term	Translation	Total
Sales										
Fixed Income										
Asset Backed Securities										
United States										
21 Jul 09	CARMAX AUTO OWNER TR 2008-2 ASSET BKD			- 55,000 00	54,656 25	- 48,881 25	5,775 00	0.00	0.00	5,775 00
24 Jul 09	NTS CL A-3B FLTG RATE 10-15-2012 REG									
	CUSIP 14312XAJ0									
30 Jan 09				- 55,000 00	54,656 25	- 48,881 25	5,775 00	0.00	0.00	5,775 00
Total United States						- 48,881.25	5,775.00	0.00	0.00	5,775.00
Corporate Bonds										
United States										
21 Sep 09	INTERNATIONAL BUSINESS MACHS CORP IBM			- 100,000 00	113,750 00	- 98,970 00	14,780 00	0.00	0.00	14,780 00
24 Sep 09	CORP 6 5 10 15 13 6 5 DUE 10-15-2013 BEO									
	SEDOL B3DSL75									
10 Oct 08				- 100,000 00	113,750 00	- 98,970 00	14,780 00	0.00	0.00	14,780 00
27 May 09	MCDONALDS CORP MEDIUM TERM NTS BOOK			- 150,000 00	154,125 00	- 147,585 00	6,540 00	0.00	0.00	6,540 00
1 Jun 09	ENTRY SR NT 5 35% DUE 03-01-2018									
	SEDOL B2Q14J7									
11 Jun 08				- 150,000 00	154,125 00	- 147,585 00	6,540 00	0.00	0.00	6,540 00
Total United States						- 246,555.00	21,320.00	0.00	0.00	21,320.00

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Settle Date	Acquisition Date			Short Term	Long Term	Short Term	Long Term

Sales

Fixed Income

22 Apr 09	UNITED STATES TREAS NTS DTD 00049 4%			- 260,000 00	285,512.50	- 250,270.32	0.00	35,242.18	0.00	35,242.18
23 Apr 09	DUE02-15-2014 REG SEDOL 2376226									
30 Jul 07				- 260,000 00	285,512.50	- 250,270.32	0.00	35,242.18	0.00	35,242.18
26 May 09	UNITED STATES TREAS NTS DTD 00079			- 125,000 00	127,500.00	- 122,050.78	0.00	5,449.22	0.00	5,449.22
27 May 09	3.625%DUE 01-15-2010 REG SEDOL B05L5V3									
4 Jan 06				- 125,000 00	127,500.00	- 122,050.78	0.00	5,449.22	0.00	5,449.22
21 Sep 09	UNITED STATES TREAS NTS NT 4 25% DUE			- 110,000 00	119,556.25	- 104,139.06	0.00	15,417.19	0.00	15,417.19
22 Sep 09	08-15-2014 REG SEDOL B02GYQ9									
15 Jun 07				- 110,000 00	119,556.25	- 104,139.06	0.00	15,417.19	0.00	15,417.19
Total United States					619,310.94	- 548,776.56	0.00	70,534.38	0.00	70,534.38

Government Mortgage Backed Securities

United States

9 Jan 09	FEDERAL HOME LN MTG CORP POOL #A3-7107			- 52,326 59	53,348.60	- 48,492.03	0.00	4,856.57	0.00	4,856.57
13 Jan 09	4.5% 09-01-2035 BEO CUSIP 31297S3Q6									
7 Nov 05				- 52,326 59	53,348.60	- 48,492.03	0.00	4,856.57	0.00	4,856.57
26 May 09	GNMA POOL #550612 4.5% 08-15-2035 BEO			- 231,282.19	233,739.70	- 212,851.93	0.00	20,887.77	0.00	20,887.77
29 May 09	CUSIP 36213CVD9									
27 Jun 06				- 231,282.19	233,739.70	- 212,851.93	0.00	20,887.77	0.00	20,887.77
4 May 09	GNMA POOL #550612 4.5% 08-15-2035 BEO			- 0.12	0.00	- 0.11	0.00	- 0.11	0.00	- 0.11
4 May 09	CUSIP 36213CVD9									
27 Jun 06				- 0.12	0.00	- 0.11	0.00	- 0.11	0.00	- 0.11
21 Sep 09	GNMA POOL #782150 5.5% 04-15-2037 BEO			- 134,378.76	139,637.90	- 132,132.11	0.00	7,705.79	0.00	7,705.79
24 Sep 09	CUSIP 36241KL71									

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					Short Term	Long Term	Short Term	Long Term	Translation	Short Term	Long Term	
Sales												
Fixed Income												
4 Sep 07		- 134,378.76	139,837.90	- 132,132.11	0.00		7,705.79	0.00		0.00		7,705.79
Total United States			426,926.20	- 393,476.18	0.00		33,450.02	0.00		0.00		33,450.02
Non-Government Backed C.M.O.s												
United States												
31 Jul 09	CMO CR SUISSE 1ST BSTN MTG SECS CORP	- 60,154.21	50,980.70	- 58,218.06	0.00		- 7,237.36	0.00		0.00		- 7,237.36
5 Aug 09	5 25 DUE 08-25-2035 REG CUSIP: 225458E95											
14 Sep 07		- 60,154.21	50,980.70	- 58,218.06	0.00		- 7,237.36	0.00		0.00		- 7,237.36
6 Jan 09	CMO RESDNTL AST MTG PRODS INC 5 75 DUE	- 25,000.00	13,781.25	- 22,593.75	0.00		- 8,812.50	0.00		0.00		- 8,812.50
9 Jan 09	02-25-2033 BEO CUSIP: 760985TC5											
14 Aug 07		- 25,000.00	13,781.25	- 22,593.75	0.00		- 8,812.50	0.00		0.00		- 8,812.50
Total United States			64,761.95	- 80,811.81	0.00		- 16,049.86	0.00		0.00		- 16,049.86
Total S/T translation gain/loss for Fixed Income												
0.00												
Total L/T translation gain/loss for Fixed Income												
0.00												
Total realized gains for Fixed Income												
			27,095.00		27,095.00		103,984.51	0.00		27,095.00		103,984.51
Total realized losses for Fixed Income												
			0.00		0.00		- 16,049.97	0.00		0.00		- 16,049.97
Total Fixed Income			1,433,530.34	- 1,318,500.80	27,095.00		87,934.54	0.00		27,095.00		87,934.54

◆ Realized Gain/Loss Detail - Taxable

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total
					Short Term	Long Term	Translation	Short Term	Long Term
Sales									
Cash and Cash Equivalents									
Short Term Bills and Notes									
United States									
1 May 09	UNITED STATES TREAS BILLS 07-30-2009	- 400,000.00	396,652.45	- 396,652.45	0.00	0.00	0.00	0.00	0.00
1 May 09	DTD00469 SEDOL B3CC219								
30 Oct 08		- 400,000.00	396,652.45	- 396,652.45	0.00	0.00	0.00	0.00	0.00
23 Apr 09	UNITED STATES TREAS BILLS 07-30-2009	- 100,000.00	99,163.11	- 99,163.11	0.00	0.00	0.00	0.00	0.00
24 Apr 09	DTD00469 SEDOL B3CC219								
30 Oct 08		- 100,000.00	99,163.11	- 99,163.11	0.00	0.00	0.00	0.00	0.00
Total United States			495,815.56	- 495,815.56	0.00	0.00	0.00	0.00	0.00
Total S/T translation gain/loss for Cash and Cash Equivalents									
Total L/T translation gain/loss for Cash and Cash Equivalents									
Total realized gains for Cash and Cash Equivalents									
Total realized losses for Cash and Cash Equivalents									
Total Cash and Cash Equivalents			495,815.56	- 495,815.56	0.00	0.00	0.00	0.00	0.00
Total Sales			6,325,674.72	- 6,490,294.84	- 13,307.69	- 151,312.43	0.00	- 13,307.69	- 151,312.43

◆ Realized Gain/Loss Detail - Taxable

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Trade Date	Security Description	Settle Date	Acquisition Date	Shares/Par	Proceeds	Cost	Market	Realized gain/loss		
							Short Term	Long Term	Translation	Total
Principal Paydowns										
Fixed Income										
Asset Backed Securities										
United States										
1 Dec 09	CG & U FAC LN TR II SEQUENTIAL PAY CL D			- 10,936 99	10,936 99	- 8,137 81	0 00	2,799 18	0 00	2,799 18
1 Dec 09	4 00 BD DUE 6-1-2018 REG									
	CUSIP 193906AD6									
30 Nov 93				- 10,936 99	10,936 99	- 8,137 81	0 00	2,799 18	0 00	2,799 18
1 Jun 09	CG & U FAC LN TR II SEQUENTIAL PAY CL D			- 5,968 43	5,968 43	- 4,440 89	0 00	1,527 54	0 00	1,527 54
1 Jun 09	4 00 BD DUE 6-1-2018 REG									
	CUSIP 193906AD6									
30 Nov 93				- 5,968 43	5,968 43	- 4,440 89	0 00	1,527 54	0 00	1,527 54
Total United States					16,905.42	- 12,578.70	0.00	4,326.72	0.00	4,326.72
Corporate Bonds										
United States										
1 Nov 09	CMO CONTINENTAL AIRLS PASS THRU TRS SER			- 872.00	872 00	- 858 92	13 08	0 00	13 08	0 00
2 Nov 09	2000-1 CTF CL A-1 8.048 5-1-22BEO									
	SEDOL 2737276									
28 Sep 09				- 872 00	872 00	- 858 92	13 08	0 00	13 08	0 00
20 Nov 09	NORTHWEST AIRLS PASS THRU TRS NORTHWEST			- 685 99	685 99	- 641 40	44 59	0 00	44 59	0 00
20 Nov 09	AIRLINES INC PTHRU STEP UP 05-20-2023									
	CUSIP 667294BB7									
7 Oct 09				- 685 99	685 99	- 641 40	44 59	0 00	44 59	0 00
Total United States					1,557.99	- 1,500.32	57.67	0.00	57.67	0.00

◆ Realized Gain/Loss Detail - Taxable

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Trade Date	Security Description	Settle Date	Acquisition Date	Shares/Par	Proceeds	Cost	Market	Realized gain/loss		Total
							Short Term	Long Term	Short Term	Long Term

Principal Paydowns

Fixed Income

Government Mortgage Backed Securities

United States

4 May 09	FEDERAL HOME LN MTG CORP POOL #A3-7107	15 May 09	4.5% 09-01-2035 BEO	- 403.62	403.62	- 374.04	0.00	29.58	0.00	29.58
	CUSIP: 31297S3Q6									
7 Nov 05				- 403.62	403.62	- 374.04	0.00	29.58	0.00	29.58
4 Aug 09	FEDERAL HOME LN MTG CORP POOL #A3-7107	17 Aug 09	4.5% 09-01-2035 BEO	- 2,847.89	2,847.89	- 2,639.19	0.00	208.70	0.00	208.70
	CUSIP: 31297S3Q6									
7 Nov 05				- 2,847.89	2,847.89	- 2,639.19	0.00	208.70	0.00	208.70
2 Jul 09	FEDERAL HOME LN MTG CORP POOL #A3-7107	15 Jul 09	4.5% 09-01-2035 BEO	- 5,537.55	5,537.55	- 5,131.75	0.00	405.80	0.00	405.80
	CUSIP: 31297S3Q6									
7 Nov 05				- 5,537.55	5,537.55	- 5,131.75	0.00	405.80	0.00	405.80
2 Oct 09	FEDERAL HOME LN MTG CORP POOL #A3-7107	15 Oct 09	4.5% 09-01-2035 BEO	- 2,620.57	2,620.57	- 2,428.53	0.00	192.04	0.00	192.04
	CUSIP: 31297S3Q6									
7 Nov 05				- 2,620.57	2,620.57	- 2,428.53	0.00	192.04	0.00	192.04
2 Jun 09	FEDERAL HOME LN MTG CORP POOL #A3-7107	15 Jun 09	4.5% 09-01-2035 BEO	- 2,420.92	2,420.92	- 2,243.51	0.00	177.41	0.00	177.41
	CUSIP: 31297S3Q6									
7 Nov 05				- 2,420.92	2,420.92	- 2,243.51	0.00	177.41	0.00	177.41
5 Jan 09	FEDERAL HOME LN MTG CORP POOL #A3-7107	15 Jan 09	4.5% 09-01-2035 BEO	- 998.81	998.81	- 925.62	0.00	73.19	0.00	73.19
	CUSIP: 31297S3Q6									
7 Nov 05				- 998.81	998.81	- 925.62	0.00	73.19	0.00	73.19
3 Feb 09	FEDERAL HOME LN MTG CORP POOL #A3-7107	17 Feb 09	4.5% 09-01-2035 BEO	- 715.99	715.99	- 663.52	0.00	52.47	0.00	52.47
	CUSIP: 31297S3Q6									
7 Nov 05				- 715.99	715.99	- 663.52	0.00	52.47	0.00	52.47

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Realized gain/loss			Total
					Market Short Term	Long Term	Translation	

Principal Paydowns

Fixed Income

3 Nov 09	FEDERAL HOME LN MTG CORP POOL #A3-7107 16 Nov 09 4.5% 09-01-2035 BEO CUSIP 31297S3Q6	- 3,670.43	3,670.43	- 3,401.46	0.00	268.97	0.00	0.00	268.97
7 Nov 05		- 3,670.43	3,670.43	- 3,401.46	0.00	268.97	0.00	0.00	268.97
2 Dec 09	FEDERAL HOME LN MTG CORP POOL #A3-7107 15 Dec 09 4.5% 09-01-2035 BEO CUSIP 31297S3Q6	- 4,358.87	4,358.87	- 4,039.45	0.00	319.42	0.00	0.00	319.42
7 Nov 05		- 4,358.87	4,358.87	- 4,039.45	0.00	319.42	0.00	0.00	319.42
2 Sep 09	FEDERAL HOME LN MTG CORP POOL #A3-7107 15 Sep 09 4.5% 09-01-2035 BEO CUSIP 31297S3Q6	- 1,214.62	1,214.62	- 1,125.61	0.00	89.01	0.00	0.00	89.01
7 Nov 05		- 1,214.62	1,214.62	- 1,125.61	0.00	89.01	0.00	0.00	89.01
2 Apr 09	FEDERAL HOME LN MTG CORP POOL #A3-7107 15 Apr 09 4.5% 09-01-2035 BEO CUSIP 31297S3Q6	- 1,920.84	1,920.84	- 1,780.08	0.00	140.76	0.00	0.00	140.76
7 Nov 05		- 1,920.84	1,920.84	- 1,780.08	0.00	140.76	0.00	0.00	140.76
3 Mar 09	FEDERAL HOME LN MTG CORP POOL #A3-7107 16 Mar 09 4.5% 09-01-2035 BEO CUSIP 31297S3Q6	- 4,332.45	4,332.45	- 4,014.96	0.00	317.49	0.00	0.00	317.49
7 Nov 05		- 4,332.45	4,332.45	- 4,014.96	0.00	317.49	0.00	0.00	317.49
18 Apr 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG 20 Apr 09 PASS THRU CTF DUE 03-18-2027 REG CUSIP 31359NTJ0	- 501.83	501.83	- 465.05	0.00	36.78	0.00	0.00	36.78
17 Apr 97		- 501.83	501.83	- 465.05	0.00	36.78	0.00	0.00	36.78
18 Mar 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG 18 Mar 09 PASS THRU CTF DUE 03-18-2027 REG CUSIP 31359NTJ0	- 566.86	566.86	- 525.32	0.00	41.54	0.00	0.00	41.54
17 Apr 97		- 566.86	566.86	- 525.32	0.00	41.54	0.00	0.00	41.54

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Trade Date		Security Description	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		
Settle Date	Acquisition Date	Short Term				Long Term	Translation	Short Term	Long Term	
Principal Paydowns										
Fixed Income										
18 Jun 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG		- 339.42	339.42	- 314.55	0.00		24.87	0.00	24.87
18 Jun 09	PASS THRU CTF DUE 03-18-2027 REG									
	CUSIP 31359NTJ0									
17 Apr 97										
18 Sep 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG		- 254.11	254.11	- 235.49	0.00		18.62	0.00	18.62
18 Sep 09	PASS THRU CTF DUE 03-18-2027 REG									
	CUSIP 31359NTJ0									
17 Apr 97			- 254.11	254.11	- 235.49	0.00		18.62	0.00	18.62
18 Feb 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG		- 213.05	213.05	- 197.44	0.00		15.61	0.00	15.61
18 Feb 09	PASS THRU CTF DUE 03-18-2027 REG									
	CUSIP 31359NTJ0									
17 Apr 97			- 213.05	213.05	- 197.44	0.00		15.61	0.00	15.61
18 Nov 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG		- 609.24	609.24	- 564.59	0.00		44.65	0.00	44.65
18 Nov 09	PASS THRU CTF DUE 03-18-2027 REG									
	CUSIP 31359NTJ0									
17 Apr 97			- 609.24	609.24	- 564.59	0.00		44.65	0.00	44.65
18 Oct 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG		- 249.33	249.33	- 231.06	0.00		18.27	0.00	18.27
19 Oct 09	PASS THRU CTF DUE 03-18-2027 REG									
	CUSIP 31359NTJ0									
17 Apr 97			- 249.33	249.33	- 231.06	0.00		18.27	0.00	18.27
18 May 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG		- 630.00	630.00	- 583.83	0.00		46.17	0.00	46.17
18 May 09	PASS THRU CTF DUE 03-18-2027 REG									
	CUSIP 31359NTJ0									
17 Apr 97			- 630.00	630.00	- 583.83	0.00		46.17	0.00	46.17
18 Jul 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG		- 577.49	577.49	- 535.17	0.00		42.32	0.00	42.32
20 Jul 09	PASS THRU CTF DUE 03-18-2027 REG									
	CUSIP 31359NTJ0									
17 Apr 97			- 577.49	577.49	- 535.17	0.00		42.32	0.00	42.32

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market			Realized gain/loss			Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Translation	Short Term	Long Term

Principal Paydowns

Fixed Income

18 Dec 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG CUSIP 31359NTJ0	- 254 25	254 25	- 235 62	0 00	18 63	0 00	0 00	0 00	0 00	18 63	18 63
17 Apr 97												
18 Jan 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG CUSIP 31359NTJ0	- 254 25	254 25	- 235 62	0 00	18 63	0 00	0 00	0 00	0 00	18 63	18 63
20 Jan 09		- 359 07	359 07	- 332 76	0 00	26 31	0 00	0 00	0 00	0 00	26 31	26 31
17 Apr 97												
18 Aug 09	FNMA REMIC TR SER 97-11 CL E 7 GTD MTG PASS THRU CTF DUE 03-18-2027 REG CUSIP 31359NTJ0	- 638 28	638 28	- 591 51	0 00	46 77	0 00	0 00	0 00	0 00	46 77	46 77
17 Apr 97		- 638 28	638 28	- 591 51	0 00	46 77	0 00	0 00	0 00	0 00	46 77	46 77
3 Feb 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 34 14	34 14	- 34 83	0 00	- 0 69	0 00	0 00	0 00	0 00	- 0 69	- 0 69
17 Feb 09												
6 Dec 93		- 34 14	34 14	- 34 83	0 00	- 0 69	0 00	0 00	0 00	0 00	- 0 69	- 0 69
2 Jun 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 34 59	34 59	- 35 29	0 00	- 0 70	0 00	0 00	0 00	0 00	- 0 70	- 0 70
15 Jun 09												
6 Dec 93		- 34 59	34 59	- 35 29	0 00	- 0 70	0 00	0 00	0 00	0 00	- 0 70	- 0 70
4 May 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 32 79	32 79	- 33 46	0 00	- 0 67	0 00	0 00	0 00	0 00	- 0 67	- 0 67
15 May 09												
6 Dec 93		- 32 79	32 79	- 33 46	0 00	- 0 67	0 00	0 00	0 00	0 00	- 0 67	- 0 67
2 Dec 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 24 38	24 38	- 24 88	0 00	- 0 50	0 00	0 00	0 00	0 00	- 0 50	- 0 50
15 Dec 09												
6 Dec 93		- 24 38	24 38	- 24 88	0 00	- 0 50	0 00	0 00	0 00	0 00	- 0 50	- 0 50

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market			Realized gain/loss			Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Long Term	Short Term	Long Term

Principal Paydowns

Fixed Income

2 Apr 09 15 Apr 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 34 30	34.30	- 35.00	0.00	- 0.70	0.00	0.00	- 0.70	- 0.70	0.00	- 0.70
6 Dec 93												
5 Jan 09 15 Jan 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 34 30	34.30	- 35.00	0.00	- 0.70	0.00	0.00	- 0.70	- 0.70	0.00	- 0.70
6 Dec 93												
3 Nov 09 16 Nov 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 1,573.54	1,573.54	- 1,605.51	0.00	- 31.97	0.00	0.00	- 31.97	- 31.97	0.00	- 31.97
6 Dec 93												
2 Oct 09 15 Oct 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 29 18	29.18	- 29.77	0.00	- 0.59	0.00	0.00	- 0.59	- 0.59	0.00	- 0.59
6 Dec 93												
2 Sep 09 15 Sep 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 29 01	29.01	- 29.60	0.00	- 0.59	0.00	0.00	- 0.59	- 0.59	0.00	- 0.59
6 Dec 93												
2 Jul 09 15 Jul 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 597 30	597.30	- 609.44	0.00	- 12.14	0.00	0.00	- 12.14	- 12.14	0.00	- 12.14
6 Dec 93												
3 Mar 09 16 Mar 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 32 65	32.65	- 33.31	0.00	- 0.66	0.00	0.00	- 0.66	- 0.66	0.00	- 0.66
6 Dec 93												

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Trade Date	Security Description	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
Settle Date	Acquisition Date				Short Term	Long Term	Translation	Short Term	Long Term	

Principal Paydowns

Fixed Income

4 Aug 09 17 Aug 09	GNMA POOL #338250 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224TWK2	- 31.09	31.09	- 31.72	0.00	- 0.63	0.00	0.00	- 0.63
6 Dec 93									
2 Dec 09 15 Dec 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 77.00	77.00	- 78.56	0.00	- 1.56	0.00	0.00	- 1.56
6 Dec 93									
3 Feb 09 17 Feb 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 70.19	70.19	- 71.62	0.00	- 1.43	0.00	0.00	- 1.43
6 Dec 93									
2 Sep 09 15 Sep 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 75.58	75.58	- 77.12	0.00	- 1.54	0.00	0.00	- 1.54
6 Dec 93									
2 Oct 09 15 Oct 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 76.05	76.05	- 77.59	0.00	- 1.54	0.00	0.00	- 1.54
6 Dec 93									
4 May 09 15 May 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 71.89	71.89	- 73.35	0.00	- 1.46	0.00	0.00	- 1.46
6 Dec 93									
5 Jan 09 15 Jan 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 69.76	69.76	- 71.18	0.00	- 1.42	0.00	0.00	- 1.42
6 Dec 93									



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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		
					Short Term	Long Term	Translation	Short Term	Long Term

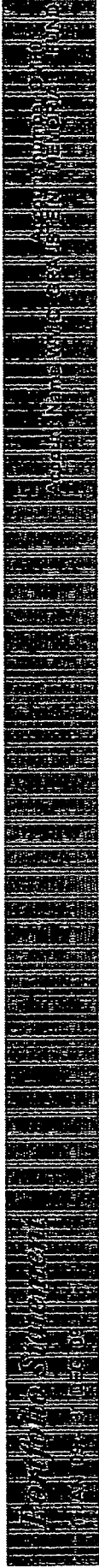
Principal Paydowns

Fixed Income

3 Mar 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 129.97	129.97	- 132.61	0.00	- 2.64	0.00	0.00	- 2.64
6 Dec 93									
2 Apr 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 71.44	71.44	- 72.89	0.00	- 1.45	0.00	0.00	- 1.45
6 Dec 93									
2 Jun 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 72.34	72.34	- 73.81	0.00	- 1.47	0.00	0.00	- 1.47
6 Dec 93									
3 Nov 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 76.52	76.52	- 78.07	0.00	- 1.55	0.00	0.00	- 1.55
6 Dec 93									
2 Jul 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 370.61	370.61	- 378.14	0.00	- 7.53	0.00	0.00	- 7.53
6 Dec 93									
4 Aug 09	GNMA POOL #339676 SER 2022 7% DUE 11-15-2022 REG CUSIP 36224VJV8	- 75.10	75.10	- 76.63	0.00	- 1.53	0.00	0.00	- 1.53
6 Dec 93									
3 Feb 09	GNMA POOL #351408 SER 2024 6 5% DUE 01-15-2024 REG CUSIP 36203KKV5	- 30.47	30.47	- 26.94	0.00	3.53	0.00	0.00	3.53
8 Jul 94									

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Long Term

Principal Paydowns

Fixed Income

2 Apr 09 15 Apr 09	GNMA POOL #351408 SER 2024 6.5% DUE 01-15-2024 REG CUSIP 36203KKV5	- 136.11	136.11	- 120.33	0.00	15.78	0.00	0.00	15.78	15.78
8 Jul 94										
4 Aug 09 17 Aug 09	GNMA POOL #351408 SER 2024 6.5% DUE 01-15-2024 REG CUSIP 36203KKV5	- 31.13	31.13	- 27.52	0.00	3.61	0.00	0.00	3.61	3.61
8 Jul 94										
5 Jan 09 15 Jan 09	GNMA POOL #351408 SER 2024 6.5% DUE 01-15-2024 REG CUSIP 36203KKV5	- 29.77	29.77	- 26.32	0.00	3.45	0.00	0.00	3.45	3.45
8 Jul 94										
2 Oct 09 15 Oct 09	GNMA POOL #351408 SER 2024 6.5% DUE 01-15-2024 REG CUSIP 36203KKV5	- 29.03	29.03	- 25.66	0.00	3.37	0.00	0.00	3.37	3.37
8 Jul 94										
2 Jun 09 15 Jun 09	GNMA POOL #351408 SER 2024 6.5% DUE 01-15-2024 REG CUSIP 36203KKV5	- 28.77	28.77	- 25.43	0.00	3.34	0.00	0.00	3.34	3.34
8 Jul 94										
2 Dec 09 15 Dec 09	GNMA POOL #351408 SER 2024 6.5% DUE 01-15-2024 REG CUSIP 36203KKV5	- 107.63	107.63	- 95.15	0.00	12.48	0.00	0.00	12.48	12.48
8 Jul 94										
2 Jul 09 15 Jul 09	GNMA POOL #351408 SER 2024 6.5% DUE 01-15-2024 REG CUSIP 36203KKV5	- 27.64	27.64	- 24.44	0.00	3.20	0.00	0.00	3.20	3.20
8 Jul 94										

◆ Realized Gain/Loss Detail - Taxable

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Trade Date	Security Description	Settle Date	Acquisition Date	Shares/Par	Proceeds	Cost	Market Short Term	Market Long Term	Realized gain/loss Translation	Short Term	Long Term	Total
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Principal Paydowns

Fixed Income

4 May 09	GNMA POOL #351408 SER 2024 6.5% DUE	15 May 09	01-15-2024 REG	- 45 50	45.50	- 40 22	0.00	5.28	0.00	0.00	5.28	5.28
	CUSIP 36203KKV5											
8 Jul 94												
3 Mar 09	GNMA POOL #351408 SER 2024 6.5% DUE	16 Mar 09	01-15-2024 REG	- 45 50	45.50	- 40 22	0.00	5.28	0.00	0.00	5.28	5.28
	CUSIP 36203KKV5											
8 Jul 94												
3 Nov 09	GNMA POOL #351408 SER 2024 6.5% DUE	16 Nov 09	01-15-2024 REG	- 143 81	143.81	- 127 14	0.00	16.67	0.00	0.00	16.67	16.67
	CUSIP 36203KKV5											
8 Jul 94												
2 Sep 09	GNMA POOL #351408 SER 2024 6.5% DUE	15 Sep 09	01-15-2024 REG	- 181 78	181.78	- 160.71	0.00	21.07	0.00	0.00	21.07	21.07
	CUSIP 36203KKV5											
8 Jul 94												
2 Oct 09	GNMA POOL #354751 SER 2024 6% DUE	15 Oct 09	02-15-2024 REG	- 36 67	36.67	- 35.51	0.00	1.16	0.00	0.00	1.16	1.16
	CUSIP 36203PBU6											
24 Dec 97												
3 Nov 09	GNMA POOL #354751 SER 2024 6% DUE	16 Nov 09	02-15-2024 REG	- 221 09	221.09	- 214 08	0.00	7.01	0.00	0.00	7.01	7.01
	CUSIP 36203PBU6											
24 Dec 97												
4 Aug 09	GNMA POOL #354751 SER 2024 6% DUE	17 Aug 09	02-15-2024 REG	- 40 04	40.04	- 38 77	0.00	1.27	0.00	0.00	1.27	1.27
	CUSIP 36203PBU6											
24 Dec 97												



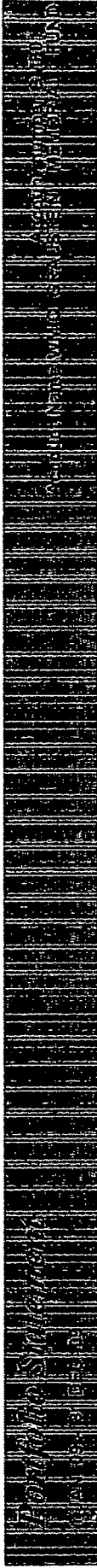
◆ Realized Gain/Loss Detail - Taxable

Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Long Term

Principal Paydowns

Fixed Income

2 Dec 09 15 Dec 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 41.87	41.87	- 40.54	0.00	1.33	0.00	0.00	0.00	1.33
24 Dec 97										
2 Jun 09 15 Jun 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 41.87	41.87	- 40.54	0.00	1.33	0.00	0.00	0.00	1.33
24 Dec 97										
2 Sep 09 15 Sep 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 200.81	200.81	- 194.44	0.00	6.37	0.00	0.00	0.00	6.37
24 Dec 97										
2 Sep 09 15 Sep 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 200.81	200.81	- 194.44	0.00	6.37	0.00	0.00	0.00	6.37
24 Dec 97										
2 Sep 09 15 Sep 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 36.80	36.80	- 35.63	0.00	1.17	0.00	0.00	0.00	1.17
24 Dec 97										
3 Mar 09 16 Mar 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 36.80	36.80	- 35.63	0.00	1.17	0.00	0.00	0.00	1.17
24 Dec 97										
3 Mar 09 16 Mar 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 143.09	143.09	- 138.55	0.00	4.54	0.00	0.00	0.00	4.54
24 Dec 97										
4 May 09 15 May 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 143.09	143.09	- 138.55	0.00	4.54	0.00	0.00	0.00	4.54
24 Dec 97										
3 Feb 09 17 Feb 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 41.36	41.36	- 40.05	0.00	1.31	0.00	0.00	0.00	1.31
24 Dec 97										
3 Feb 09 17 Feb 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 41.36	41.36	- 40.05	0.00	1.31	0.00	0.00	0.00	1.31
24 Dec 97										
3 Feb 09 17 Feb 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 40.55	40.55	- 39.26	0.00	1.29	0.00	0.00	0.00	1.29
24 Dec 97										
5 Jan 09 15 Jan 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 40.55	40.55	- 39.26	0.00	1.29	0.00	0.00	0.00	1.29
24 Dec 97										
5 Jan 09 15 Jan 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 39.29	39.29	- 38.04	0.00	1.25	0.00	0.00	0.00	1.25
24 Dec 97										
5 Jan 09 15 Jan 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 39.29	39.29	- 38.04	0.00	1.25	0.00	0.00	0.00	1.25



◆ Realized Gain/Loss Detail - Taxable

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		
					Short Term	Long Term	Translation	Short Term	Long Term

Principal Paydowns

Fixed Income

2 Apr 09 15 Apr 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 97 34	97 34	- 94 25	0 00	3 09	0 00	0 00	3 09
24 Dec 97									
2 Jul 09 15 Jul 09	GNMA POOL #354751 SER 2024 6% DUE 02-15-2024 REG CUSIP 36203PBU6	- 97 34 - 291 27	97 34 291 27	- 94 25 - 282 03	0 00	3 09 9 24	0 00	0 00	3 09 9 24
24 Dec 97									
2 Jun 09 15 Jun 09	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG CUSIP 36204DK81	- 33 54	33 54	- 32 46	0 00	1 08	0 00	0 00	1 08
22 Dec 97									
2 Sep 09 15 Sep 09	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG CUSIP 36204DK81	- 32 62	32 62	- 31 57	0 00	1 05	0 00	0 00	1 05
22 Dec 97									
2 Oct 09 15 Oct 09	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG CUSIP 36204DK81	- 31 75	31 75	- 30 72	0 00	1 03	0 00	0 00	1 03
22 Dec 97									
5 Jan 09 15 Jan 09	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG CUSIP 36204DK81	- 42 44	42 44	- 41 07	0 00	1 37	0 00	0 00	1 37
22 Dec 97									
2 Jul 09 15 Jul 09	GNMA POOL #366719 SER 2024 6% DUE 02-15-2024 REG CUSIP 36204DK81	- 31 45	31 45	- 30 43	0 00	1 02	0 00	0 00	1 02
22 Dec 97									
		- 31 45	31 45	- 30 43	0 00	1 02	0 00	0 00	1 02

Northern Trust

Generated by Northern Trust from reviewed periodic data on 5 Feb 10

◆ Realized Gain/Loss Detail - Taxable

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Long Term

Principal Paydowns

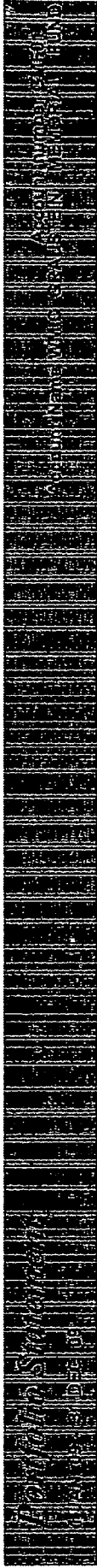
Fixed Income

3 Nov 09	GNMA POOL #366719 SER 2024 6% DUE	- 35 93	35 93	- 34 77	0 00	1 16	0 00	0 00	1 16	1 16
16 Nov 09	02-15-2024 REG CUSIP 36204DK81									
22 Dec 97										
4 May 09	GNMA POOL #366719 SER 2024 6% DUE	- 35 93	35 93	- 34 77	0 00	1 16	0 00	0 00	1 16	1 16
15 May 09	02-15-2024 REG CUSIP 36204DK81	- 34 04	34 04	- 32 94	0 00	1 10	0 00	0 00	1 10	1 10
22 Dec 97										
4 Aug 09	GNMA POOL #366719 SER 2024 6% DUE	- 37 16	37 16	- 35 96	0 00	1 20	0 00	0 00	1 20	1 20
17 Aug 09	02-15-2024 REG CUSIP 36204DK81									
22 Dec 97										
3 Feb 09	GNMA POOL #366719 SER 2024 6% DUE	- 47 89	47 89	- 46 34	0 00	1 55	0 00	0 00	1 55	1 55
17 Feb 09	02-15-2024 REG CUSIP 36204DK81									
22 Dec 97										
2 Apr 09	GNMA POOL #366719 SER 2024 6% DUE	- 1,055 66	1,055 66	- 1,021 52	0 00	34 14	0 00	0 00	34 14	34 14
15 Apr 09	02-15-2024 REG CUSIP 36204DK81									
22 Dec 97										
2 Dec 09	GNMA POOL #366719 SER 2024 6% DUE	- 33 29	33 29	- 32 21	0 00	1 08	0 00	0 00	1 08	1 08
15 Dec 09	02-15-2024 REG CUSIP 36204DK81									
22 Dec 97										
3 Mar 09	GNMA POOL #366719 SER 2024 6% DUE	- 507 91	507 91	- 491 48	0 00	16 43	0 00	0 00	16 43	16 43
16 Mar 09	02-15-2024 REG CUSIP 36204DK81									
22 Dec 97										

◆ Realized Gain/Loss Detail - Taxable

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
					Short Term	Long Term	Translation	Short Term	Long Term	
Principal Paydowns										
Fixed Income										
2 Apr 09 15 Apr 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 12 43	12 43	- 11 64	0 00	0 79	0 00	0 00		0 79
19 Jul 94										
3 Feb 09 17 Feb 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 11 42	11 42	- 10 69	0 00	0 73	0 00	0 00		0 73
19 Jul 94										
2 Sep 09 15 Sep 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 12 00	12 00	- 11 24	0 00	0 76	0 00	0 00		0 76
19 Jul 94										
2 Dec 09 15 Dec 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 18 84	18 84	- 17 64	0 00	1 20	0 00	0 00		1 20
19 Jul 94										
4 May 09 15 May 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 12 50	12 50	- 11 70	0 00	0 80	0 00	0 00		0 80
19 Jul 94										
5 Jan 09 15 Jan 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 11 31	11 31	- 10 59	0 00	0 72	0 00	0 00		0 72
19 Jul 94										
2 Oct 09 15 Oct 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 12 33	12 33	- 11 54	0 00	0 79	0 00	0 00		0 79
19 Jul 94										



◆ Realized Gain/Loss Detail - Taxable

Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
					Short Term	Long Term	Short Term	Long Term	Short Term	Long Term

Principal Paydowns

Fixed Income

3 Nov 09 16 Nov 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 12.41	12.41	- 11.62	0.00	0.79	0.00	0.00	0.00	0.79
19 Jul 94										
2 Jun 09 15 Jun 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 12.41	12.41	- 11.62	0.00	0.79	0.00	0.00	0.00	0.79
19 Jul 94										
2 Jul 09 15 Jul 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 11.85	11.85	- 11.09	0.00	0.76	0.00	0.00	0.00	0.76
19 Jul 94										
4 Aug 09 17 Aug 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 11.92	11.92	- 11.16	0.00	0.76	0.00	0.00	0.00	0.76
19 Jul 94										
3 Mar 09 16 Mar 09	GNMA POOL #368813 SER 2023 7% DUE 10-15-2023 REG CUSIP 36204FVE1	- 11.45	11.45	- 10.72	0.00	0.73	0.00	0.00	0.00	0.73
19 Jul 94										
4 Aug 09 17 Aug 09	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG CUSIP 36204JCL8	- 95.22	95.22	- 94.45	0.00	0.77	0.00	0.00	0.00	0.77
12 Nov 93										
2 Dec 09 15 Dec 09	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG CUSIP 36204JCL8	- 118.71	118.71	- 117.75	0.00	0.96	0.00	0.00	0.00	0.96
12 Nov 93										

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Trade Date		Security Description	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
Settle Date	Acquisition Date	Short Term				Long Term	Translation	Short Term	Long Term		
Principal Paydowns											
Fixed Income											
2 Jun 09	GNMA POOL #370975 SER 2023 6 5% DUE	- 90 53	90 53	- 89 79	0 00	0 74	0 00	0 00	0 00	0 74	0 74
15 Jun 09	12-15-2023 REG CUSIP: 36204JCL8										
12 Nov 93											
2 Apr 09	GNMA POOL #370975 SER 2023 6 5% DUE	- 90 53	90 53	- 89 79	0 00	0 74	0 00	0 00	0 00	0 74	0 74
15 Apr 09	12-15-2023 REG CUSIP: 36204JCL8	- 78 99	78 99	- 78 35	0 00	0 64	0 00	0 00	0 00	0 64	0 64
12 Nov 93											
3 Feb 09	GNMA POOL #370975 SER 2023 6.5% DUE	- 83 99	83 99	- 83 31	0 00	0 68	0 00	0 00	0 00	0 68	0 68
17 Feb 09	12-15-2023 REG CUSIP: 36204JCL8	- 83 99	83 99	- 83 31	0 00	0 68	0 00	0 00	0 00	0 68	0 68
12 Nov 93											
5 Jan 09	GNMA POOL #370975 SER 2023 6.5% DUE	- 85 88	85 88	- 85 18	0 00	0 70	0 00	0 00	0 00	0 70	0 70
15 Jan 09	12-15-2023 REG CUSIP: 36204JCL8	- 85 88	85 88	- 85 18	0 00	0 70	0 00	0 00	0 00	0 70	0 70
12 Nov 93											
2 Oct 09	GNMA POOL #370975 SER 2023 6 5% DUE	- 88 18	88 18	- 87 46	0 00	0 72	0 00	0 00	0 00	0 72	0 72
15 Oct 09	12-15-2023 REG CUSIP: 36204JCL8	- 88 18	88 18	- 87 46	0 00	0 72	0 00	0 00	0 00	0 72	0 72
12 Nov 93											
4 May 09	GNMA POOL #370975 SER 2023 6 5% DUE	- 84 64	84 64	- 83 95	0 00	0 69	0 00	0 00	0 00	0 69	0 69
15 May 09	12-15-2023 REG CUSIP: 36204JCL8	- 84 64	84 64	- 83 95	0 00	0 69	0 00	0 00	0 00	0 69	0 69
12 Nov 93											
3 Nov 09	GNMA POOL #370975 SER 2023 6 5% DUE	- 93 47	93 47	- 92 71	0 00	0 76	0 00	0 00	0 00	0 76	0 76
16 Nov 09	12-15-2023 REG CUSIP: 36204JCL8	- 93 47	93 47	- 92 71	0 00	0 76	0 00	0 00	0 00	0 76	0 76
12 Nov 93											

◆ Realized Gain/Loss Detail - Taxable

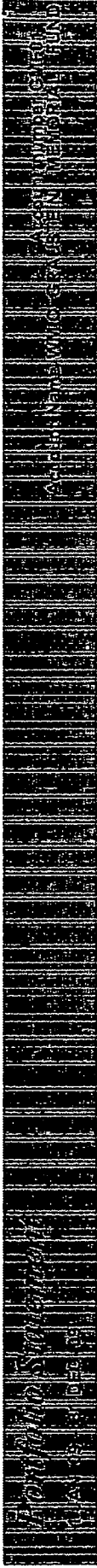
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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Realized gain/loss		
					Market Short Term	Long Term	Total Short Term Long Term

Principal Paydowns

Fixed Income

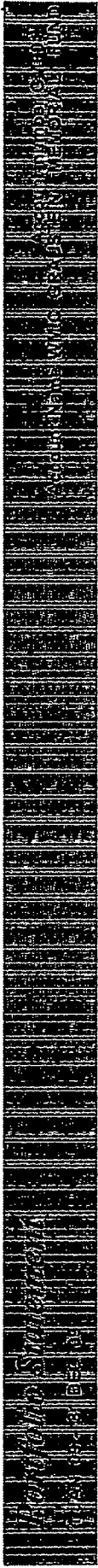
2 Jun 09 15 Jul 09	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG CUSIP 36204JCL8	- 87 35	87 35	- 86 64	0 00	0 71	0 00 0 71
12 Nov 93							
2 Sep 09 15 Sep 09	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG CUSIP 36204JCL8	- 87 35	87 35	- 86 64	0 00	0 71	0 00 0 71
12 Nov 93							
2 Sep 09 15 Sep 09	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG CUSIP 36204JCL8	- 95 13	95 13	- 94 36	0 00	0 77	0 00 0 77
12 Nov 93							
3 Mar 09 16 Mar 09	GNMA POOL #370975 SER 2023 6 5% DUE 12-15-2023 REG CUSIP 36204JCL8	- 95 83	95 83	- 95 05	0 00	0 78	0 00 0 78
12 Nov 93							
3 Feb 09 17 Feb 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP 36204JDD5	- 128 28	128 28	- 121 47	0 00	6 81	0 00 6 81
5 Oct 95							
2 Jul 09 15 Jul 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP 36204JDD5	- 132 98	132 98	- 125 92	0 00	7 06	0 00 7 06
5 Oct 95							
2 Apr 09 15 Apr 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP 36204JDD5	- 133 85	133 85	- 126 74	0 00	7 11	0 00 7 11
5 Oct 95							
3 Mar 09 16 Mar 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP 36204JDD5	- 158 48	158 48	- 150 06	0 00	8 42	0 00 8 42
5 Oct 95							
3 Mar 09 16 Mar 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP 36204JDD5	- 158 48	158 48	- 150 06	0 00	8 42	0 00 8 42
5 Oct 95							



◆ Realized Gain/Loss Detail - Taxable

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss			
					Short Term	Long Term	Translation	Short Term	Long Term	
Principal Paydowns										
Fixed Income										
2 Sep 09 15 Sep 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP: 36204JDD5	- 162 50	162 50	- 153 87	0 00	8 63	0 00	0 00	8 63	8 63
	5 Oct 95	- 162 50	162 50	- 153 87	0 00	8 63	0 00	0 00	8 63	8 63
4 Aug 09 17 Aug 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP: 36204JDD5	- 152 84	152 84	- 144 72	0 00	8 12	0 00	0 00	8 12	8 12
	5 Oct 95	- 152 84	152 84	- 144 72	0 00	8 12	0 00	0 00	8 12	8 12
2 Dec 09 15 Dec 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP: 36204JDD5	- 128 53	128 53	- 121 70	0 00	6 83	0 00	0 00	6 83	6 83
	5 Oct 95	- 128 53	128 53	- 121 70	0 00	6 83	0 00	0 00	6 83	6 83
4 May 09 15 May 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP: 36204JDD5	- 142 51	142 51	- 134 94	0 00	7 57	0 00	0 00	7 57	7 57
	5 Oct 95	- 142 51	142 51	- 134 94	0 00	7 57	0 00	0 00	7 57	7 57
5 Jan 09 15 Jan 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP: 36204JDD5	- 130 47	130 47	- 123 54	0 00	6 93	0 00	0 00	6 93	6 93
	5 Oct 95	- 130 47	130 47	- 123 54	0 00	6 93	0 00	0 00	6 93	6 93
2 Jun 09 15 Jun 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP: 36204JDD5	- 131 93	131 93	- 124 92	0 00	7 01	0 00	0 00	7 01	7 01
	5 Oct 95	- 131 93	131 93	- 124 92	0 00	7 01	0 00	0 00	7 01	7 01
3 Nov 09 16 Nov 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP: 36204JDD5	- 558 88	558 88	- 529 19	0 00	29 69	0 00	0 00	29 69	29 69
	5 Oct 95	- 558 88	558 88	- 529 19	0 00	29 69	0 00	0 00	29 69	29 69



◆ Realized Gain/Loss Detail - Taxable

Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss			Long Term	Short Term	Total
					Short Term	Long Term	Translation	Short Term	Long Term			
Principal Paydowns												
Fixed Income												
2 Oct 09 15 Oct 09	GNMA POOL #371000 SER 2024 6% DUE 01-15-2024 REG CUSIP 36204JDD5	- 146 29	146 29	- 138 52	0 00		7 77	0 00		7 77	0 00	7 77
5 Oct 95		- 146 29	146 29	- 138 52	0 00		7 77	0 00		7 77	0 00	7 77
5 Jan 09 15 Jan 09	GNMA POOL #550612 4 5% 08-15-2035 BEO CUSIP 36213CVD9	- 2,712 34	2,712 34	- 2,496 20	0 00		216 14	0 00		216 14	0 00	216 14
27 Jun 06		- 2,712 34	2,712 34	- 2,496 20	0 00		216 14	0 00		216 14	0 00	216 14
2 Apr 09 15 Apr 09	GNMA POOL #550612 4 5% 08-15-2035 BEO CUSIP 36213CVD9	- 1,618 87	1,618 87	- 1,489 87	0 00		129 00	0 00		129 00	0 00	129 00
27 Jun 06		- 1,618 87	1,618 87	- 1,489 87	0 00		129 00	0 00		129 00	0 00	129 00
3 Mar 09 16 Mar 09	GNMA POOL #550612 4 5% 08-15-2035 BEO CUSIP 36213CVD9	- 1,770 69	1,770 69	- 1,629 59	0 00		141 10	0 00		141 10	0 00	141 10
27 Jun 06		- 1,770 69	1,770 69	- 1,629 59	0 00		141 10	0 00		141 10	0 00	141 10
4 May 09 15 May 09	GNMA POOL #550612 4 5% 08-15-2035 BEO CUSIP 36213CVD9	- 910 14	910 14	- 837 61	0 00		72 53	0 00		72 53	0 00	72 53
27 Jun 06		- 910 14	910 14	- 837 61	0 00		72 53	0 00		72 53	0 00	72 53
3 Feb 09 17 Feb 09	GNMA POOL #550612 4 5% 08-15-2035 BEO CUSIP 36213CVD9	- 1,728 53	1,728 53	- 1,590 79	0 00		137 74	0 00		137 74	0 00	137 74
27 Jun 06		- 1,728 53	1,728 53	- 1,590 79	0 00		137 74	0 00		137 74	0 00	137 74
2 Jul 09 15 Jul 09	GNMA POOL #782150 5 5% 04-15-2037 BEO CUSIP 36241KL71	- 4,386 83	4,386 83	- 4,313 49	0 00		73 34	0 00		73 34	0 00	73 34
4 Sep 07		- 4,386 83	4,386 83	- 4,313 49	0 00		73 34	0 00		73 34	0 00	73 34
3 Mar 09 16 Mar 09	GNMA POOL #782150 5 5% 04-15-2037 BEO CUSIP 36241KL71	- 4,314 44	4,314 44	- 4,242 31	0 00		72 13	0 00		72 13	0 00	72 13
4 Sep 07		- 4,314 44	4,314 44	- 4,242 31	0 00		72 13	0 00		72 13	0 00	72 13
2 Jun 09 15 Jun 09	GNMA POOL #782150 5 5% 04-15-2037 BEO CUSIP 36241KL71	- 5,391 94	5,391 94	- 5,301 79	0 00		90 15	0 00		90 15	0 00	90 15
4 Sep 07		- 5,391 94	5,391 94	- 5,301 79	0 00		90 15	0 00		90 15	0 00	90 15

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Trade Date	Security Description	Settle Date	Acquisition Date	Shares/Par	Proceeds	Cost	Realized gain/loss				Total	
							Market	Short Term	Long Term	Translation	Short Term	Long Term

Principal Paydowns

Fixed Income

5 Jan 09	GNMA POOL #782150 5 5% 04-15-2037	BEO		- 1,634 24	1,634.24	- 1,606.92	0.00	0.00	27 32	0.00	0.00	27 32
15 Jan 09	CUSIP 36241KL71											
4 Sep 07												
4 Aug 09	GNMA POOL #782150 5 5% 04-15-2037	BEO		- 3,567 04	3,567.04	- 3,507.40	0.00	0.00	59 64	0.00	0.00	59 64
17 Aug 09	CUSIP 36241KL71											
4 Sep 07												
4 May 09	GNMA POOL #782150 5.5% 04-15-2037	BEO		- 3,567 04	3,567.04	- 3,507.40	0.00	0.00	59 64	0.00	0.00	59 64
15 May 09	CUSIP 36241KL71			- 4,826 72	4,826.72	- 4,746.02	0.00	0.00	80 70	0.00	0.00	80 70
4 Sep 07												
2 Apr 09	GNMA POOL #782150 5 5% 04-15-2037	BEO		- 3,782 24	3,782.24	- 3,719.01	0.00	0.00	63 23	0.00	0.00	63 23
15 Apr 09	CUSIP 36241KL71											
4 Sep 07												
2 Sep 09	GNMA POOL #782150 5 5% 04-15-2037	BEO		- 3,016 93	3,016.93	- 2,966.49	0.00	0.00	50 44	0.00	0.00	50 44
15 Sep 09	CUSIP 36241KL71											
4 Sep 07												
3 Feb 09	GNMA POOL #782150 5 5% 04-15-2037	BEO		- 3,016 93	3,016.93	- 2,966.49	0.00	0.00	50 44	0.00	0.00	50 44
17 Feb 09	CUSIP 36241KL71			- 3,796 26	3,796.26	- 3,732.79	0.00	0.00	63 47	0.00	0.00	63 47
4 Sep 07												
20 Nov 09	GNMA 5% DUE 10-20-2036			- 3,182 82	3,182.82	- 3,218.63	0.00	0.00	- 35 81	0.00	0.00	- 35 81
20 Nov 09	CUSIP 38375L6T2											
7 Jan 08												
20 May 09	GNMA 5% DUE 10-20-2036			- 4,294 41	4,294.41	- 4,342.72	0.00	0.00	- 48 31	0.00	0.00	- 48 31
20 May 09	CUSIP 38375L6T2											
7 Jan 08												
20 Aug 09	GNMA 5% DUE 10-20-2036			- 3,967 08	3,967.08	- 4,011.71	0.00	0.00	- 44 63	0.00	0.00	- 44 63
20 Aug 09	CUSIP 38375L6T2											
7 Jan 08												

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Realized gain/loss		
					Market Short Term	Long Term	Total

Principal Paydowns

Fixed Income

20 Mar 09	GNMA 5% DUE 10-20-2036	- 6,257.86	6,257.86	- 6,328.26	0.00	- 70.40	0.00	- 70.40
20 Mar 09	CUSIP 38375L6T2							
7 Jan 08		- 6,257.86	6,257.86	- 6,328.26	0.00	- 70.40	0.00	- 70.40
20 Feb 09	GNMA 5% DUE 10-20-2036	- 5,907.87	5,907.87	- 5,974.33	0.00	- 66.46	0.00	- 66.46
20 Feb 09	CUSIP 38375L6T2							
7 Jan 08		- 5,907.87	5,907.87	- 5,974.33	0.00	- 66.46	0.00	- 66.46
20 Sep 09	GNMA 5% DUE 10-20-2036	- 4,247.41	4,247.41	- 4,295.19	0.00	- 47.78	0.00	- 47.78
21 Sep 09	CUSIP 38375L6T2							
7 Jan 08		- 4,247.41	4,247.41	- 4,295.19	0.00	- 47.78	0.00	- 47.78
20 Dec 09	GNMA 5% DUE 10-20-2036	- 3,529.31	3,529.31	- 3,569.02	0.00	- 39.71	0.00	- 39.71
21 Dec 09	CUSIP 38375L6T2							
7 Jan 08		- 3,529.31	3,529.31	- 3,569.02	0.00	- 39.71	0.00	- 39.71
20 Jul 09	GNMA 5% DUE 10-20-2036	- 3,736.65	3,736.65	- 3,778.69	0.00	- 42.04	0.00	- 42.04
20 Jul 09	CUSIP 38375L6T2							
7 Jan 08		- 3,736.65	3,736.65	- 3,778.69	0.00	- 42.04	0.00	- 42.04
20 Jun 09	GNMA 5% DUE 10-20-2036	- 3,693.29	3,693.29	- 3,734.84	0.00	- 41.55	0.00	- 41.55
22 Jun 09	CUSIP 38375L6T2							
7 Jan 08		- 3,693.29	3,693.29	- 3,734.84	0.00	- 41.55	0.00	- 41.55
20 Jan 09	GNMA 5% DUE 10-20-2036	- 4,850.22	4,850.22	- 4,904.78	0.00	- 54.56	0.00	- 54.56
20 Jan 09	CUSIP 38375L6T2							
7 Jan 08		- 4,850.22	4,850.22	- 4,904.78	0.00	- 54.56	0.00	- 54.56
20 Oct 09	GNMA 5% DUE 10-20-2036	- 7,342.25	7,342.25	- 7,424.85	0.00	- 82.60	0.00	- 82.60
20 Oct 09	CUSIP 38375L6T2							
7 Jan 08		- 7,342.25	7,342.25	- 7,424.85	0.00	- 82.60	0.00	- 82.60
20 Apr 09	GNMA 5% DUE 10-20-2036	- 5,715.55	5,715.55	- 5,779.85	0.00	- 64.30	0.00	- 64.30
20 Apr 09	CUSIP 38375L6T2							
7 Jan 08		- 5,715.55	5,715.55	- 5,779.85	0.00	- 64.30	0.00	- 64.30

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Trade Date	Security Description	Settle Date	Acquisition Date	Shares/Par	Proceeds	Cost	Market	Realized gain/loss		Total
							Short Term	Long Term	Short Term	Long Term

Principal Paydowns

Fixed Income

Total United States					147,471.30	- 143,925.90	0.00	3,545.40	0.00	3,545.40
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Non-Government Backed C.M.O.s

United States

25 Jun 09	CMO BANC AMER MTG 2007-3 TR MTG PASS			- 206.54	206.54	- 210.41	0.00	- 3.87	0.00	- 3.87
25 Jun 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG									
	CUSIP 05954CAM0									
18 Sep 07										
25 May 09	CMO BANC AMER MTG 2007-3 TR MTG PASS			- 605.40	605.40	- 616.75	0.00	- 11.35	0.00	- 11.35
26 May 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG									
	CUSIP 05954CAM0									
18 Sep 07										
25 Dec 09	CMO BANC AMER MTG 2007-3 TR MTG PASS			- 524.03	524.03	- 533.86	0.00	- 9.83	0.00	- 9.83
28 Dec 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG									
	CUSIP 05954CAM0									
18 Sep 07										
25 Sep 09	CMO BANC AMER MTG 2007-3 TR MTG PASS			- 524.03	524.03	- 533.86	0.00	- 9.83	0.00	- 9.83
25 Sep 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG									
	CUSIP 05954CAM0									
18 Sep 07										
25 Sep 09	CMO BANC AMER MTG 2007-3 TR MTG PASS			- 344.33	344.33	- 350.79	0.00	- 6.46	0.00	- 6.46
25 Sep 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG									
	CUSIP 05954CAM0									
18 Sep 07										
25 Apr 09	CMO BANC AMER MTG 2007-3 TR MTG PASS			- 181.34	181.34	- 184.74	0.00	- 3.40	0.00	- 3.40
27 Apr 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG									
	CUSIP 05954CAM0									
18 Sep 07										
25 Aug 09	CMO BANC AMER MTG 2007-3 TR MTG PASS			- 1,650.17	1,650.17	- 1,681.11	0.00	- 30.94	0.00	- 30.94
25 Aug 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG									
	CUSIP 05954CAM0									
18 Sep 07										
25 Aug 09	CMO BANC AMER MTG 2007-3 TR MTG PASS			- 1,650.17	1,650.17	- 1,681.11	0.00	- 30.94	0.00	- 30.94
25 Aug 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG									
	CUSIP 05954CAM0									
18 Sep 07										

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market			Realized gain/loss			Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Long Term	Short Term	Long Term

Principal Paydowns

Fixed Income

25 Feb 09	CMO BANC AMER MTG 2007-3 TR MTG PASS	- 52.75	52.75	- 53.74	0.00	- 0.99	0.00	0.00	- 0.99	- 0.99	0.00	- 0.99
25 Feb 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG											
	CUSIP 05954CAM0											
18 Sep 07												
25 Jan 09	CMO BANC AMER MTG 2007-3 TR MTG PASS	- 219.03	219.03	- 223.14	0.00	- 4.11	0.00	0.00	- 4.11	- 4.11	0.00	- 4.11
26 Jan 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG											
	CUSIP 05954CAM0											
18 Sep 07												
25 Oct 09	CMO BANC AMER MTG 2007-3 TR MTG PASS	- 171.36	171.36	- 174.57	0.00	- 3.21	0.00	0.00	- 3.21	- 3.21	0.00	- 3.21
26 Oct 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG											
	CUSIP 05954CAM0											
18 Sep 07												
25 Mar 09	CMO BANC AMER MTG 2007-3 TR MTG PASS	- 252.21	252.21	- 256.94	0.00	- 4.73	0.00	0.00	- 4.73	- 4.73	0.00	- 4.73
25 Mar 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG											
	CUSIP 05954CAM0											
18 Sep 07												
25 Nov 09	CMO BANC AMER MTG 2007-3 TR MTG PASS	- 78.65	78.65	- 80.12	0.00	- 1.47	0.00	0.00	- 1.47	- 1.47	0.00	- 1.47
25 Nov 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG											
	CUSIP 05954CAM0											
18 Sep 07												
25 Jul 09	CMO BANC AMER MTG 2007-3 TR MTG PASS	- 324.98	324.98	- 331.07	0.00	- 6.09	0.00	0.00	- 6.09	- 6.09	0.00	- 6.09
27 Jul 09	THRU CTF CL 2-A-8 7% DUE 09-25-2037 REG											
	CUSIP 05954CAM0											
18 Sep 07												
25 Apr 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 1,238.28	1,238.28	- 1,235.76	0.00	2.52	0.00	0.00	2.52	2.52	0.00	2.52
27 Apr 09	2006- 2006-A1 CL IIA-1 5.25 03-01-21 REG											
	CUSIP 17309AAH2											
31 Jan 08												

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Trade Date		Security Description	Shares/Par	Proceeds	Cost	Market		Realized gain/loss			Total
Settle Date	Acquisition Date	Short Term				Long Term	Translation	Short Term	Long Term		
Principal Paydowns											
Fixed Income											
25 Aug 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 2,076 97	2,076 97	- 2,072 75	0 00	4 22	0 00	0 00	4 22	4 22	
25 Aug 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG CUSIP 17309AAH2										
31 Jan 08		- 2,076 97	2,076 97	- 2,072 75	0 00	4 22	0 00	0 00	4 22	4 22	
25 Nov 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 1,367 93	1,367 93	- 1,365 15	0 00	2 78	0 00	0 00	2 78	2 78	
25 Nov 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG CUSIP 17309AAH2										
31 Jan 08		- 1,367 93	1,367 93	- 1,365 15	0 00	2 78	0 00	0 00	2 78	2 78	
25 Jul 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 1,081 76	1,081 76	- 1,079 56	0 00	2 20	0 00	0 00	2 20	2 20	
27 Jul 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG CUSIP 17309AAH2										
31 Jan 08		- 1,081 76	1,081 76	- 1,079 56	0 00	2 20	0 00	0 00	2 20	2 20	
25 Jan 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 1,256 85	1,256 85	- 1,254 30	2 55	0 00	0 00	2 55	0 00	0 00	
26 Jan 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG CUSIP 17309AAH2										
31 Jan 08		- 1,256 85	1,256 85	- 1,254 30	2 55	0 00	0 00	2 55	0 00	0 00	
25 May 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 1,950 33	1,950 33	- 1,946 37	0 00	3 96	0 00	0 00	3 96	3 96	
26 May 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG CUSIP 17309AAH2										
31 Jan 08		- 1,950 33	1,950 33	- 1,946 37	0 00	3 96	0 00	0 00	3 96	3 96	
25 Dec 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 538 48	538 48	- 537 39	0 00	1 09	0 00	0 00	1 09	1 09	
28 Dec 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG CUSIP 17309AAH2										
31 Jan 08		- 538 48	538 48	- 537 39	0 00	1 09	0 00	0 00	1 09	1 09	
25 Jun 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 1,893 70	1,893 70	- 1,889 85	0 00	3 85	0 00	0 00	3 85	3 85	
25 Jun 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG CUSIP 17309AAH2										
31 Jan 08		- 1,893 70	1,893 70	- 1,889 85	0 00	3 85	0 00	0 00	3 85	3 85	

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Trade Date	Security Description	Shares/Par	Proceeds	Cost	Market	Realized gain/loss		Total
Settle Date	Acquisition Date				Short Term	Long Term	Short Term	Long Term

Principal Paydowns

Fixed Income

25 Feb 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 908.69	908.69	- 906.84	0.00	1.85	0.00	1.85
25 Feb 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG							
	CUSIP 17309AAH2							
31 Jan 08		- 908.69	908.69	- 906.84	0.00	1.85	0.00	1.85
25 Oct 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 990.08	990.08	- 988.07	0.00	2.01	0.00	2.01
26 Oct 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG							
	CUSIP 17309AAH2							
31 Jan 08		- 990.08	990.08	- 988.07	0.00	2.01	0.00	2.01
25 Sep 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 2,000.86	2,000.86	- 1,996.80	0.00	4.06	0.00	4.06
25 Sep 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG							
	CUSIP 17309AAH2							
31 Jan 08		- 2,000.86	2,000.86	- 1,996.80	0.00	4.06	0.00	4.06
25 Mar 09	CMO CITIMORTGAGE ALTERNATIVE LN TR SER	- 1,740.75	1,740.75	- 1,737.21	0.00	3.54	0.00	3.54
25 Mar 09	2006- 2006-A1 CL IIA-1 5 25 03-01-21 REG							
	CUSIP 17309AAH2							
31 Jan 08		- 1,740.75	1,740.75	- 1,737.21	0.00	3.54	0.00	3.54
25 Mar 09	CMO CR SUISSE 1ST BSTN MTG SECS CORP	- 2,467.70	2,467.70	- 2,388.27	0.00	79.43	0.00	79.43
25 Mar 09	5 25 DUE 08-25-2035 REG							
	CUSIP 225458E95							
14 Sep 07		- 2,467.70	2,467.70	- 2,388.27	0.00	79.43	0.00	79.43
25 Jun 09	CMO CR SUISSE 1ST BSTN MTG SECS CORP	- 3,028.27	3,028.27	- 2,930.80	0.00	97.47	0.00	97.47
25 Jun 09	5 25 DUE 08-25-2035 REG							
	CUSIP 225458E95							
14 Sep 07		- 3,028.27	3,028.27	- 2,930.80	0.00	97.47	0.00	97.47
25 Aug 09	CMO CR SUISSE 1ST BSTN MTG SECS CORP	- 3,319.96	3,319.96	- 3,213.10	0.00	106.86	0.00	106.86
25 Aug 09	5 25 DUE 08-25-2035 REG							
	CUSIP 225458E95							
14 Sep 07		- 3,319.96	3,319.96	- 3,213.10	0.00	106.86	0.00	106.86

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market			Realized gain/loss			Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Long Term	Short Term	Long Term

Principal Paydowns

Fixed Income

25 Jul 09	CMO CR SUISSE 1ST BSTN MTG SECS CORP	- 1,778.85	1,778.85	- 1,721.60	0.00	57.25	0.00	0.00	0.00	57.25	0.00	57.25
27 Jul 09	5.25 DUE 08-25-2035 REG CUSIP: 225458E95											
14 Sep 07												
25 Apr 09	CMO CR SUISSE 1ST BSTN MTG SECS CORP	- 1,778.85	1,778.85	- 1,721.60	0.00	57.25	0.00	0.00	0.00	57.25	0.00	57.25
27 Apr 09	5.25 DUE 08-25-2035 REG CUSIP: 225458E95	- 2,116.33	2,116.33	- 2,048.21	0.00	68.12	0.00	0.00	0.00	68.12	0.00	68.12
14 Sep 07												
25 Jan 09	CMO CR SUISSE 1ST BSTN MTG SECS CORP	- 459.55	459.55	- 444.76	0.00	14.79	0.00	0.00	0.00	14.79	0.00	14.79
26 Jan 09	5.25 DUE 08-25-2035 REG CUSIP: 225458E95											
14 Sep 07												
25 Feb 09	CMO CR SUISSE 1ST BSTN MTG SECS CORP	- 459.55	459.55	- 444.76	0.00	14.79	0.00	0.00	0.00	14.79	0.00	14.79
25 Feb 09	5.25 DUE 08-25-2035 REG CUSIP: 225458E95	- 1,075.96	1,075.96	- 1,041.33	0.00	34.63	0.00	0.00	0.00	34.63	0.00	34.63
14 Sep 07												
25 May 09	CMO CR SUISSE 1ST BSTN MTG SECS CORP	- 3,272.32	3,272.32	- 3,167.00	0.00	105.32	0.00	0.00	0.00	105.32	0.00	105.32
26 May 09	5.25 DUE 08-25-2035 REG CUSIP: 225458E95											
14 Sep 07												
Total United States		- 3,272.32	3,272.32	- 3,167.00	0.00	105.32	0.00	0.00	0.00	105.32	0.00	105.32
Total S/T translation gain/loss for Fixed Income		39,174.41	- 38,662.36		2.55	509.50	0.00	2.55	509.50			509.50
Total L/T translation gain/loss for Fixed Income												
Total realized gains for Fixed Income					60.22	9,181.86	0.00	60.22	9,181.86			9,181.86
Total realized losses for Fixed Income					0.00	- 800.24	0.00	0.00	- 800.24			- 800.24
Total Fixed Income			205,109.12	- 196,667.28	60.22	8,381.62	0.00	60.22	8,381.62			8,381.62
Total Principal Paydowns			205,109.12	- 196,667.28	60.22	8,381.62	0.00	60.22	8,381.62			8,381.62

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◆ Realized Gain/Loss Detail - Taxable

Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
					Short Term	Long Term	Translation	Short Term	Long Term	
Capital Changes										
Equities										
Common Stock										
United States										
18 Jun 09	#REORG/AMERICAN REV SPLIT TO AMERICAN	0 00	3,169.91	0 00	0.00	3,169.91	0.00	0.00	0.00	3,169.91
18 Jun 09	INTERNATIONAL GRP 2053139 6/30/09									
	CUSIP 026874107									
Total United States			3,169.91	0.00	0.00	3,169.91	0.00	0.00	0.00	3,169.91
Total S/T translation gain/loss for Equities										
							0.00			
Total L/T translation gain/loss for Equities										
							0.00			
Total realized gains for Equities										
						3,169.91	0.00	0.00	0.00	3,169.91
Total realized losses for Equities										
						0.00	0.00	0.00	0.00	0.00
Total Equities			3,169.91	0.00	0.00	3,169.91	0.00	0.00	0.00	3,169.91

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Market			Realized gain/loss			Total	
					Short Term	Long Term	Translation	Short Term	Long Term	Translation	Short Term	Long Term

Capital Changes

Fixed Income

Asset Backed Securities

United States

10 Feb 09	CITIBANK CR CARD ISSUANCE TR 2006-A2 NT	- 150,000.00	150,000.00	- 149,985.00	0.00	15.00	0.00	0.00	0.00	0.00	0.00	15.00
10 Feb 09	4.84999990453% DUE 02-10-2011 REG SEDOL B0YHY52											
27 Sep 07		- 150,000.00	150,000.00	- 149,985.00	0.00	15.00	0.00	0.00	0.00	0.00	0.00	15.00
Total United States			150,000.00	- 149,985.00	0.00	15.00	0.00	0.00	0.00	0.00	0.00	15.00

Corporate Bonds

United States

28 Oct 09	FORD MTR CR CO LLC NT 7.375% DUE	- 125,000.00	125,000.00	- 121,375.00	0.00	3,625.00	0.00	0.00	0.00	0.00	0.00	3,625.00
28 Oct 09	10-28-2009 BEC SEDOL B2NTD86											
15 Aug 06		- 100,000.00	100,000.00	- 97,125.00	0.00	2,875.00	0.00	0.00	0.00	0.00	0.00	2,875.00
26 Jul 07		- 25,000.00	25,000.00	- 24,250.00	0.00	750.00	0.00	0.00	0.00	0.00	0.00	750.00
Total United States			125,000.00	- 121,375.00	0.00	3,625.00	0.00	0.00	0.00	0.00	0.00	3,625.00

Government Agencies

United States

15 Dec 09	FNMA MTN 4.625 12-15-2009	- 130,000.00	130,000.00	- 128,960.00	0.00	1,040.00	0.00	0.00	0.00	0.00	0.00	1,040.00
15 Dec 09	SEDOL B1TW4V2											
26 Jul 07		- 130,000.00	130,000.00	- 128,960.00	0.00	1,040.00	0.00	0.00	0.00	0.00	0.00	1,040.00
Total United States			130,000.00	- 128,960.00	0.00	1,040.00	0.00	0.00	0.00	0.00	0.00	1,040.00

Total S/T translation gain/loss for Fixed Income

0.00

Total L/T translation gain/loss for Fixed Income

0.00

Northern Trust

Generated by Northern Trust from reviewed periodic data on 5 Feb 10

◆ Realized Gain/Loss Detail - Taxable

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Trade Date Settle Date	Security Description Acquisition Date	Shares/Par	Proceeds	Cost	Realized gain/loss				
					Market		Translation		
					Short Term	Long Term	Short Term	Long Term	
<i>Capital Changes</i>									
Fixed Income									
Total realized gains for Fixed Income					0.00	4,680.00	0.00	0.00	4,680.00
Total realized losses for Fixed Income					0.00	0.00	0.00	0.00	0.00
Total Fixed Income					405,000.00	- 400,320.00	0.00	0.00	4,680.00
Total Capital Changes					408,169.91	- 400,320.00	0.00	0.00	7,849.91

◆ Realized Gain/Loss Detail - Taxable

	Shares/Par	Proceeds	Cost	Market		Realized gain/loss		Total	
				Short Term	Long Term	Short Term	Long Term	Short Term	Long Term
Total Short Term Gain/Procceds		1,215,362.27							
Total Short Term Loss/Procceds		(890,450.92)							
Total Short Term Gain/Procceds		324,911.35							
Total Long Term Loss/Procceds		(1,410,655.74)							
Total Proceeds		3,315.93							
Realized Short Term Procceds from Zero & LI Transactions		(890,450.92)							
Realized Long Term Procceds from Zero & LI Transactions		3,315.93							
Short Term Procceds due to REIT Re-Allocation		0.00							
Long Term Procceds due to REIT Re-Allocation		0.00							
Total Short Term Procceds		2,001,928.75							
Total Long Term Procceds		(1,410,655.74)							
Total Short Term Gain/Loss									
Total Long Term Gain/Loss									
Total Realized Gain/Loss									
Total Short Term Gain/Loss									
Total Long Term Gain/Loss									
Total Realized Gain/Loss									