Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

2009

For calendar year 2009, or tax year beginning , 2009, and ending , 20

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 The Littlejohn Family Foundation		**A Employer identification number** 13-3948281
	Number and street (or P O box number if mail is not delivered to street address) 648 Smith Ridge Rd	Room/suite	**B** Telephone number (see page 10 of the instructions)
	City or town, state, and ZIP code New Canaan, CT 06840		**C** If exemption application is pending, check here ▶ ☐ **D** 1. Foreign organizations, check here ▶ ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

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

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

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

Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions).)*

	Line	Description	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc., received (attach schedule)	500,000			
	2	Check ▶ ☐ if the foundation is not required to attach Sch. B				
	3	Interest on savings and temporary cash investments	33	33		
	4	Dividends and interest from securities	33,503	33,503		
	5a	Gross rents	-			
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	<103,678>			
	b	Gross sales price for all assets on line 6a 430,482				
	7	Capital gain net income (from Part IV, line 2)				
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less: Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	429,858	33,536		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc				
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	1150	1150		1150
	c	Other professional fees (attach schedule) Mgr. Fees	13,386	13,386		13,386
	17	Interest	3618	3618		3618
	18	Taxes (attach schedule) (see page 14 of the instructions)	1659	1659		1659
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)				
	24	**Total operating and administrative expenses.** Add lines 13 through 23	19,813			19,813
	25	Contributions, gifts, grants paid	722,500			722,500
	26	**Total expenses and disbursements.** Add lines 24 and 25	742,313	19,813		742,313
	27	Subtract line 26 from line 12:				
	a	**Excess of revenue over expenses and disbursements**	<317455>			
	b	**Net investment income** (if negative, enter -0-)		13,723		
	c	**Adjusted net income** (if negative, enter -0-)			-	

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	256,345	175,473	175,473
	2	Savings and temporary cash investments			
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 16 of the instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less: allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U.S. and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment: basis ▶			
		Less: accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule) – SEE ATTACHED	2,123,638	1,830,945	1,872,643
	14	Land, buildings, and equipment: basis ▶			
		Less: accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	2,379,983	2,006,418	1,956,191
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)			
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted	2,379,983	2,006,418	
	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** (see page 17 of the instructions)	2,379,983	2,006,418	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	2,379,983	2,006,418	

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	2,379,983
2	Enter amount from Part I, line 27a	2	<317,455>
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	2062528
5	Decreases not included in line 2 (itemize) ▶ ADJUSTMENT to COST BASIS	5	56,110
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	2,006,418

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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	SEE ATTACHED - SCHWAB STATEMENT			
b				
c				
d				
e				

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

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

	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a				<103,678>
b				
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	<103,678>
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions). If (loss), enter -0- in Part I, line 8	3	<103,678>

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 page 18 of the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2008			
2007			
2006			
2005			
2004			

2	**Total** of line 1, column (d)	2	
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	
4	Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	
5	Multiply line 4 by line 3	5	
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	
7	Add lines 5 and 6	7	
8	Enter qualifying distributions from Part XII, line 4	8	

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 on page 18.

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Part VI — Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the 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	274	—
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		
3	Add lines 1 and 2	3	274	—
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4		
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	274	—
6	Credits/Payments:			
a	2009 estimated tax payments and 2008 overpayment credited to 2009 — 6a: 394			
b	Exempt foreign organizations—tax withheld at source — 6b:			
c	Tax paid with application for extension of time to file (Form 8868) — 6c: 1,000			
d	Backup withholding erroneously withheld — 6d:			
7	Total credits and payments. Add lines 6a through 6d	7	1,394	—
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	1120	—
11	Enter the amount of line 10 to be: **Credited to 2010 estimated tax** ▶ 1120 **Refunded** ▶	11		

Part VII-A — Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		X
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: **(1)** On the foundation. ▶ $ ______ **(2)** On foundation managers. ▶ $ ______			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ ______			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		X
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ ______			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV on page 27)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10	X	

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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 page 20 of the 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 ▶	13	X	
14	The books are in care of ▶ ANGUS C LITTLEJOHN Telephone no. ▶ Located at ▶ 648 SMITH RIDGE RD NEW CANAAN CT ZIP+4 ▶ 06840			
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			

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

			Yes	No
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 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 ▶ 20___, 20___, 20___, 20___			
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 page 20 of the instructions.)	2b		X
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ 20___, 20___, 20___, 20___			
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.)*	3b		X
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

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

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

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

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

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

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see page 22 of the instructions) ☐ Yes ☒ No

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

b If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? **5b**

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

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

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **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? **7b**

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

1 List all officers, directors, trustees, foundation managers and their compensation (see page 22 of the instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Angus C. Littlejohn 648 Smith Ridge Rd. New Canaan, CT 06840	Manager	-0-	-0-	-0-

2 Compensation of five highest-paid employees (other than those included on line 1—see page 23 of the instructions). If none, enter "NONE."

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

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

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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 (see page 23 of the instructions). If none, enter "NONE."

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
N/A		
Total number of others receiving over $50,000 for professional services ▶		

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments (see page 24 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2 N/A	
All other program-related investments See page 24 of the instructions	
3	
Total. Add lines 1 through 3 ▶	

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Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see page 24 of the 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	1,745,303
b	Average of monthly cash balances	1b	281,591
c	Fair market value of all other assets (see page 24 of the instructions)	1c	–
d	**Total** (add lines 1a, b, and c)	1d	1,963,894
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	–
3	Subtract line 2 from line 1d	3	1,963,894
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions)	4	29,458
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1934,436
6	**Minimum investment return.** Enter 5% of line 5	6	96,722

Part XI Distributable Amount (see page 25 of the 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	96,722
2a	Tax on investment income for 2009 from Part VI, line 5	2a	394		
b	Income tax for 2009. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	394
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	97,116
4	Recoveries of amounts treated as qualifying distributions			4	–
5	Add lines 3 and 4			5	97,116
6	Deduction from distributable amount (see page 25 of the instructions)			6	–
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	97,116

Part XII Qualifying Distributions (see page 25 of the 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	247,313
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	247,313
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see page 26 of the instructions)	5	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	247,313

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

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Part XIII Undistributed Income (see page 26 of the instructions)

			(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1	Distributable amount for 2009 from Part XI, line 7					92,116
2	Undistributed income, if any, as of the end of 2009:					
a	Enter amount for 2008 only					
b	Total for prior years: 20____,20____,20____					
3	Excess distributions carryover, if any, to 2009:					
a	From 2004	195,500				
b	From 2005	495,582				
c	From 2006	445,313				
d	From 2007	520,889				
e	From 2008	596,154				
f	**Total** of lines 3a through e		2253,438			
4	Qualifying distributions for 2009 from Part XII, line 4: ▶ $ 722,500					
a	Applied to 2008, but not more than line 2a					
b	Applied to undistributed income of prior years (Election required—see page 26 of the instructions)					
c	Treated as distributions out of corpus (Election required—see page 26 of the instructions)					
d	Applied to 2009 distributable amount					92,116
e	Remaining amount distributed out of corpus		630,384			
5	Excess distributions carryover applied to 2009 *(If an amount appears in column (d), the same amount must be shown in column (a).)*					
6	**Enter the net total of each column as indicated below:**					
a	Corpus. Add lines 3f, 4c, and 4e. Subtract line 5		2,883,822			
b	Prior years' undistributed income. Subtract line 4b from line 2b					
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed					
d	Subtract line 6c from line 6b. Taxable amount—see page 27 of the instructions					
e	Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount—see page 27 of the instructions					
f	Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010					
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)					
8	Excess distributions carryover from 2004 not applied on line 5 or line 7 (see page 27 of the instructions)		195,500			
9	**Excess distributions carryover to 2010.** Subtract lines 7 and 8 from line 6a		2,688,322			
10	Analysis of line 9:					
a	Excess from 2005	495,582				
b	Excess from 2006	445,313				
c	Excess from 2007	529,889				
d	Excess from 2008	596,154				
e	Excess from 2009	630,384				

EIN 13-3948281

Part XIV Private Operating Foundations (see page 27 of the instructions and Part VII-A, question 9)

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2009, enter the date of the ruling . . . . . . ▶

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

	Tax year (a) 2009	Prior 3 years (b) 2008	(c) 2007	(d) 2006	(e) Total
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter: (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test—enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year—see page 28 of the instructions.)

1 **Information Regarding Foundation Managers:**

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

ANGUS C. LITTLEJOHN

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

N/A

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

Check here ▶ ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see page 28 of the instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

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

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

c Any submission deadlines:

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

EIN # 13-3948281

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
1) University of Pennsylvania 100 College Hall, Phila, PA			Scholarship Programs	30,000
2) Vanderbilt University Nashville, TN			Faculty Fellows Program	250,000
3) The Taft School Watertown, CT			Littlejohn Family Chair	260,000
4) Horizons New Canaan, CT			Fund + Donation	55,000
5) Middlesex School			Annual Fund	50,000
6) Brown University Providence RI			Annual Fund	50,000
7) Stepping Stones Norwalk CT			Annual Fund	10,000
8) New Canaan Country School New Canaan, CT 06840			Annual Fund	2,500
9) Waveny Care Center			Annual Fund	2,500
10) Trustees of Reservation Beverly, MA			Annual Fund	10,000
11) New Canaan Community Center			Annual Fund	2,500
12) Minds Matter of NYC New York, NY			Annual Fund	5,000
Total . . . . . . ▶ 3a				727,500
b Approved for future payment				
Total . . . . . . ▶ 3b				

EIN 13-3948281

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions.)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					33
4 Dividends and interest from securities					33,503
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory					<103,678>
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue: a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)					<70,142>

13 **Total.** Add line 12, columns (b), (d), and (e) . . . . . 13 <70,142>

(See worksheet in line 13 instructions on page 28 to verify calculations.)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See page 29 of the instructions.)

EIN # 13-3948281

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

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

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

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

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

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

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

Signature of officer or trustee | Date: 8.25.10 | Title

Paid Preparer's Use Only

Preparer's signature	Date: 8-25-10	Check if self-employed ☐	Preparer's identifying number (see **Signature** on page 30 of the instructions): 198-48-5683
Firm's name (or yours if self-employed), address, and ZIP code	STEVEN L. GERSHMAN, ESQUIRE 3 CRESCENT DR. SUITE 410 Philadelphia, PA 19112	EIN ▶ 23-2278065	Phone no. 215-271-6102

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
The Littlejohn Family Foundation

Employer identification number
13-3948281

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 33⅓ % 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).

Name of organization: Littlejohn Family Foundation

Employer identification number: 13 3948281

Part I **Contributors** (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
......	Angus C. Littlejohn 648 Smith Ridge Rd New Canaan, CT 06840	$ 500,000	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.)

Name of organization	Employer identification number

Part II Noncash Property (see instructions)

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

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

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

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

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

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

EIN# 13-3948281

Littlejohn Family Foundation
Investment Summary as of 12/31/09
Part II Line 13 Support Schedule

	FMV	Cost Basis
Stocks - Schwab	954,233	798,246
Tweedy Brown Global - Schwab	346,764	351,910
Bourgeon Partners Fund	561,926	680,789
Total Part II Line 13	1,872,643	1,830,945

2009 Year-End Schwab Gain/Loss Report

Prepared on January 9, 2010

09/01-CG1A1702-000046-MED-068403223 324781 •
A LITTLEJOHN & L LITTLEJOHN TT
THE LITTLEJOHN FAMILY FOUNDATI
U/A DTD 05/15/1997
648 SMITH RIDGE ROAD
NEW CANAAN CT 06840

000046

Your Independent Investment Manager and/or Advisor

BOURGEON CAPITAL MANAGEMENT LL
777 POST RD
DARIEN CT 06820
1 (212) 476-9075

The custodian of your brokerage account is Charles Schwab & Co , Inc
For questions about this report, please contact your Independent Investment Manager and/or Advisor.

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Need help reading this report?
See the UNDERSTANDING YOUR YEAR-END SCHWAB GAIN/LOSS REPORT section or visit www.schwab.com/GainLossGuide for more information.

Message Center

Your gain/loss report offers helpful information to assist you with tax preparation, including a summarized list of your realized gains/losses for 2009. You can also log in to www.schwab.com/sa_reports to view your documents securely online.

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Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report.

CG1A1702-000046 324781

2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss)

Accounting Method: High Cost

Short-Term	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
AMGEN INCORPORATED: AMGN	75.0000	06/27/08	02/20/09	$4,276.50	$3,488.76 [a]	$787.74
AMGEN INCORPORATED: AMGN	75.0000	07/08/08	02/20/09	$4,276.50	$3,757.07 [a]	$519.43
Security Subtotal				**$8,553.00**	**$7,245.83**	**$1,307.17**
APACHE CORP: APA	60.0000	07/29/08	05/07/09	$5,104.88	$6,436.40 [a]	($1,331.52)
APACHE CORP· APA	15.0000	07/31/08	05/07/09	$1,276 22	$1,706.29 [a]	($430.07)
Security Subtotal				**$6,381.10**	**$8,142.69**	**($1,761.59)**
APPLE INC: AAPL	15.0000	07/01/08	05/07/09	$1,956.89	$2,536.83 [a]	($579.94)
APPLE INC: AAPL	69 0000	10/10/08	05/07/09	$9,001.67	$6,579.05	$2,422 62
Security Subtotal				**$10,958.56**	**$9,115.88**	**$1,842.68**
BANK OF AMERICA CORP: BAC	25.0000	02/06/08	01/15/09	$198.84	$1,069 20 [a]	($870 36)
BANK OF AMERICA CORP: BAC	150.0000	04/04/08	01/15/09	$1,193.04	$5,989 26 [a]	($4,796.22)
BANK OF AMERICA CORP: BAC	650.0000	01/05/09	01/15/09	$5,169.82	$9,277.95	($4,108.13)
Security Subtotal				**$6,561.70**	**$16,336.41**	**($9,774.71)**
BROADCOM CORP CL A CLASS A: BRCM	300.0000	10/10/08	05/07/09	$7,248.12	$4,589.22	$2,658 90

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report

CG1A1702-000046 324782

charles SCHWAB
INSTITUTIONAL

Schwab One® Trust Account of
A LITTLEJOHN & L LITTLEJOHN TT
THE LITTLEJOHN FAMILY FOUNDATI
U/A DTD 05/15/1997

Account Number
1867-5865

Report Period
January 1 - December 31, 2009

2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
BROADCOM CORP CL A CLASS A· BRCM	200.0000	10/10/08	08/06/09	$5,579.96	$3,059.48	$2,520 48
Security Subtotal				**$12,828.08**	**$7,648.70**	**$5,179.38**
DEVON ENERGY CP NEW: DVN	30 0000	08/07/08	08/06/09	$1,889.10	$2,823.14 [a]	($934.04)
Security Subtotal				**$1,889.10**	**$2,823.14**	**($934.04)**
E O G RESOURCES INC. EOG	45.0000	01/17/08	01/05/09	$3,215.95	$3,891.60 [a]	($675.65)
E O G RESOURCES INC: EOG	40 0000	04/04/08	01/05/09	$2,858.63	$4,950.19 [a]	($2,091.56)
E O G RESOURCES INC: EOG	10 0000	07/15/08	01/05/09	$714.66	$1,151.97 [a]	($437.31)
E O G RESOURCES INC. EOG	20.0000	07/17/08	01/05/09	$1,429.31	$2,173.83 [a]	($744.52)
Security Subtotal				**$8,218.55**	**$12,167.59**	**($3,949.04)**
ELECTRONIC ARTS INC: ERTS	35.0000	07/22/08	05/07/09	$691.34	$1,680.06 [a]	($988.72)
ELECTRONIC ARTS INC. ERTS	565.0000	01/05/09	05/07/09	$11,160.19	$9,523.32	$1,636.87
Security Subtotal				**$11,851.53**	**$11,203.38**	**$648.15**
GENENTECH INC NEW TENDER OFFER EXP: 03/20/: DNA	35.0000	05/28/08	03/09/09	$3,176.98	$2,360.52 [a]	$816.46
Security Subtotal				**$3,176.98**	**$2,360.52**	**$816.46**

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Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report.

CG1A1702-000046 324783

2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
GENERAL ELECTRIC COMPANY· GE	70 0000	04/04/08	03/04/09	$455.84	$2,643.80 [a]	($2,187.96)
Security Subtotal				**$455.84**	**$2,643.80**	**($2,187.96)**
GOLDMAN SACHS GROUP INC· GS	7 0000	07/25/08	04/13/09	$891.85	$1,256.40 [a]	($364 55)
Security Subtotal				**$891.85**	**$1,256.40**	**($364.55)**
JOHNSON CONTROLS INC. JCI	700.0000	01/05/09	03/02/09	$7,527 23	$13,298 52	($5,771 29)
Security Subtotal				**$7,527.23**	**$13,298.52**	**($5,771.29)**
NEWS CORP LTD CL B CLASS B· NWS	1,100 0000	12/23/08	05/07/09	$12,534.98	$9,698 85	$2,836.13
Security Subtotal				**$12,534.98**	**$9,698.85**	**$2,836.13**
O S I SYSTEMS INC. OSIS	1,500 0000	10/27/09	12/28/09	$36,288.16	$27,841 75	$8,446.41
Security Subtotal				**$36,288.16**	**$27,841.75**	**$8,446.41**
PHILIP MORRIS INTL INC PM	45.0000	07/09/08	02/20/09	$1,600.50	$2,411.45 [a]	($810.95)
Security Subtotal				**$1,600.50**	**$2,411.45**	**($810.95)**
REPUBLIC SERVICES INC: RSG	101.0000	05/06/08	01/05/09	$2,552.39	$2,808 79 [a]	($256 40)
Security Subtotal				**$2,552.39**	**$2,808.79**	**($256.40)**
SCHLUMBERGER LTD F: SLB	100.0000	10/01/08	08/06/09	$5,354 08	$7,406.13	($2,052 05)
Security Subtotal				**$5,354.08**	**$7,406.13**	**($2,052.05)**

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
STARBUCKS CORP: SBUX	145.0000	05/30/08	01/05/09	$1,428.14	$2,627.36 [a]	($1,199.22)
Security Subtotal				**$1,428.14**	**$2,627.36**	**($1,199.22)**
TEVA PHARM INDS LTD ADRFSPONSORED ADR 1 ADR REP 10: TEVA	30.0000	02/28/08	02/20/09	$1,389.07	$1,484.58 [a]	($95.51)
TEVA PHARM INDS LTD ADRFSPONSORED ADR 1 ADR REP 10: TEVA	100.0000	04/04/08	02/20/09	$4,630.22	$4,708 40 [a]	($78 18)
TEVA PHARM INDS LTD ADRFSPONSORED ADR 1 ADR REP 10: TEVA	30 0000	06/27/08	02/20/09	$1,389.07	$1,373.64 [a]	$15.43
TEVA PHARM INDS LTD ADRFSPONSORED ADR 1 ADR REP 10: TEVA	50.0000	07/28/08	02/20/09	$2,315 11	$2,298.70 [a]	$16 41
Security Subtotal				**$9,723.47**	**$9,865.32**	**($141.85)**
TOYOTA MOTOR CP ADR NEWFSPONSORED ADR 1 ADR REP 2: TM	23.0000	06/18/08	01/05/09	$1,518.25	$2,378.18 [a]	($859.93)
TOYOTA MOTOR CP ADR NEWFSPONSORED ADR 1 ADR REP 2. TM	22.0000	06/23/08	01/05/09	$1,452.23	$2,162.81 [a]	($710.58)
Security Subtotal				**$2,970.48**	**$4,540.99**	**($1,570.51)**
TRANSOCEAN INC NEW F· RIG	12 0000	04/24/08	01/05/09	$646.99	$1,828.88 [a]	($1,181.89)

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Short-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
TRANSOCEAN INC NEW F: RIG	11.0000	06/19/08	01/05/09	$593.07	$1,678.11 [a]	($1,085.04)
Security Subtotal				**$1,240.06**	**$3,506.99**	**($2,266.93)**
WELLS FARGO & CO NEW: WFC	700.0000	01/05/09	02/20/09	$7,150 88	$20,063.25	($12,912.37)
Security Subtotal				**$7,150.88**	**$20,063.25**	**($12,912.37)**
Total Short-Term				**$160,136.66**	**$185,013.74**	**($24,877.08)**

Long-Term	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
ABBOTT LABORATORIES: ABT	10.0000	07/05/07	05/07/09	$432.03	$540.66 [a]	($108.63)
ABBOTT LABORATORIES. ABT	25.0000	11/13/07	05/07/09	$1,080.09	$1,360.94 [a]	($280.85)
ABBOTT LABORATORIES: ABT	25.0000	01/17/08	05/07/09	$1,080.09	$1,497.09 [a]	($417.00)
ABBOTT LABORATORIES. ABT	125.0000	04/04/08	05/07/09	$5,400.44	$6,849.80 [a]	($1,449 36)
Security Subtotal				**$7,992.65**	**$10,248.49**	**($2,255.84)**
ALCON INC F: ACL	20.0000	05/13/04	02/20/09	$1,807.14	$1,502.11 [a]	$305 03
ALCON INC F: ACL	10 0000	04/21/06	02/20/09	$903.58	$1,089.11 [a]	($185.53)

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method. High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
ALCON INC F: ACL	10.0000	11/28/06	02/20/09	$903.58	$1,078.83 [a]	($175.25)
ALCON INC F: ACL	40 0000	03/29/07	02/20/09	$3,614 30	$5,284.97 [a]	($1,670 67)
Security Subtotal				**$7,228.60**	**$8,955.02**	**($1,726.42)**
ALLSTATE CORPORATION· ALL	120.0000	12/11/07	01/05/09	$3,935.66	$6,460.63 [a]	($2,524.97)
Security Subtotal				**$3,935.66**	**$6,460.63**	**($2,524.97)**
APACHE CORP: APA	25 0000	12/18/06	05/07/09	$2,127.03	$1,675.74	$451.29
Security Subtotal				**$2,127.03**	**$1,675.74**	**$451.29**
APPLE INC. AAPL	16.0000	02/15/08	05/07/09	$2,087.35	$2,001 78 [a]	$85.57
Security Subtotal				**$2,087.35**	**$2,001.78**	**$85.57**
BANK OF AMERICA CORP· BAC	200 0000	04/05/04	01/15/09	$1,590.71	$8,030.47	($6,439.76)
BANK OF AMERICA CORP: BAC	200.0000	12/08/06	01/15/09	$1,590.71	$10,342.63	($8,751.92)
BANK OF AMERICA CORP: BAC	25.0000	03/29/07	01/15/09	$198.84	$1,275.58 [a]	($1,076.74)
BANK OF AMERICA CORP: BAC	25.0000	04/13/07	01/15/09	$198.84	$1,259.29 [a]	($1,060 45)
BANK OF AMERICA CORP· BAC	25.0000	06/04/07	01/15/09	$198 84	$1,268 48 [a]	($1,069.64)
Security Subtotal				**$3,777.94**	**$22,176.45**	**($18,398.51)**

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
BROADCOM CORP CL A CLASS A: BRCM	90 0000	03/29/07	05/07/09	$2,174 44	$2,786.68 [a]	($612 24)
Security Subtotal				**$2,174.44**	**$2,786.68**	**($612.24)**
C V S CAREMARK CORP: CVS	500.0000	05/08/07	11/05/09	$14,309 39	$18,405.35	($4,095.96)
C V S CAREMARK CORP· CVS	300 0000	10/21/08	11/05/09	$8,585.63	$9,055 15	($469.52)
Security Subtotal				**$22,895.02**	**$27,460.50**	**($4,565.48)**
COLGATE-PALMOLIVE CO: CL	20 0000	07/11/07	05/07/09	$1,237.01	$1,328.92 [a]	($91.91)
COLGATE-PALMOLIVE CO: CL	20 0000	08/27/07	05/07/09	$1,237.01	$1,334.47 [a]	($97 46)
COLGATE-PALMOLIVE CO. CL	25.0000	04/04/08	05/07/09	$1,546.27	$1,970.60 [a]	($424.33)
Security Subtotal				**$4,020.29**	**$4,633.99**	**($613.70)**
CORNING INC· GLW	300 0000	02/06/07	07/24/09	$5,080.05	$6,524.72	($1,444 67)
Security Subtotal				**$5,080.05**	**$6,524.72**	**($1,444.67)**
E O G RESOURCES INC: EOG	10.0000	11/01/07	01/05/09	$714.66	$873 43 [a]	($158.77)
E O G RESOURCES INC· EOG	15.0000	12/11/07	01/05/09	$1,071.98	$1,337.09 [a]	($265.11)
Security Subtotal				**$1,786.64**	**$2,210.52**	**($423.88)**
ELECTRONIC ARTS INC: ERTS	100.0000	04/25/C6	05/07/09	$1,975.25	$5,497 62	($3,522.37)

Please see "Footnotes for Your Account" section for an explanation of the endnote codes and symbols on this report

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
ELECTRONIC ARTS INC ERTS	100 0000	06/19/06	05/07/09	$1,975 25	$4,127 46	($2,152 21)
ELECTRONIC ARTS INC. ERTS	200.0000	05/22/07	05/07/09	$3,950 51	$9,753.95	($5,803 44)
Security Subtotal				**$7,901.01**	**$19,379.03**	**($11,478.02)**
EMERSON ELECTRIC CO· EMR	50.0000	12/18/06	05/07/09	$1,825.25	$2,127.82	($302.57)
EMERSON ELECTRIC CO. EMR	150.0000	05/22/07	05/07/09	$5,475.75	$6,909.95	($1,434.20)
EMERSON ELECTRIC CO· EMR	20.0000	06/15/07	05/07/09	$730 10	$974.58 [a]	($244.48)
EMERSON ELECTRIC CO: EMR	35.0000	11/27/07	05/07/09	$1,277.67	$1,885 49 [a]	($607.82)
Security Subtotal				**$9,308.77**	**$11,897.84**	**($2,589.07)**
FIDELITY NATL FINL INC CLASS A: FNF	75.0000	04/25/07	01/05/09	$1,309 54	$1,954.63 [a]	($645 09)
Security Subtotal				**$1,309.54**	**$1,954.63**	**($645.09)**
FREDDIE MAC VOTING SHS: FRE	20.0000	05/13/04	01/05/09	$15.12	$1,164.22 [a]	($1,149 10)
FREDDIE MAC VOTING SHS: FRE	30.0000	05/12/06	01/05/09	$22 69	$1,876.08 [a]	($1,853.39)
FREDDIE MAC VOTING SHS: FRE	10.0000	08/04/06	01/05/09	$7 56	$576 98 [a]	($569.42)
FREDDIE MAC VOTING SHS. FRE	85.0000	04/27/07	01/05/09	$64.28	$5,536.78 [a]	($5,472 50)
Security Subtotal				**$109.65**	**$9,154.06**	**($9,044.41)**

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
GENENTECH INC NEW EXP: 03/12/: DNA	TENDER OFFER	15.0000	01/12/06	02/25/09	$1,312.05	$1,306.19 [a]	$5.86
GENENTECH INC NEW EXP: 03/12/: DNA	TENDER OFFER	15.0000	03/29/07	02/25/09	$1,312.05	$1,222.56 [a]	$89.49
GENENTECH INC NEW EXP: 03/12/: DNA	TENDER OFFER	30.0000	06/07/07	02/25/09	$2,624.10	$2,246.54 [a]	$377.56
GENENTECH INC NEW EXP: 03/12/: DNA	TENDER OFFER	50.0000	12/03/07	02/25/09	$4,373 51	$3,683.56	$689.95
Security Subtotal					**$9,621.71**	**$8,458.85**	**$1,162.86**
GENENTECH INC NEW EXP: 03/20/. DNA	TENDER OFFER	15.0000	08/20/07	03/09/09	$1,361.56	$1,085.33 [a]	$276.23
GENENTECH INC NEW EXP: 03/20/. DNA	TENDER OFFER	50.0000	12/03/07	03/09/09	$4,538.55	$3,683.56	$854.99
GENENTECH INC NEW EXP· 03/20/: DNA	TENDER OFFER	100.0000	12/19/07	03/09/09	$9,077.09	$6,732.68	$2,344.41
Security Subtotal					**$14,977.20**	**$11,501.57**	**$3,475.63**
GENERAL ELECTRIC COMPANY. GE		250.0000	04/02/04	03/04/09	$1,627.99	$7,777.50	($6,149.51)
GENERAL ELECTRIC COMPANY: GE		75.0000	06/02/04	03/04/09	$488 40	$2,372.40 [a]	($1,884.00)

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report.

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
GENERAL ELECTRIC COMPANY: GE	5.0000	08/10/06	03/04/09	$32.56	$162.46 [a]	($129 90)
Security Subtotal				**$2,148.95**	**$10,312.36**	**($8,163.41)**
GOLDMAN SACHS GROUP INC: GS	5 0000	04/30/04	04/13/09	$637.03	$488.23 [a]	$148.80
GOLDMAN SACHS GROUP INC. GS	8 0000	04/30/04	04/13/09	$1,019.26	$781.17 [a]	$238.09
GOLDMAN SACHS GROUP INC: GS	1 0000	09/14/05	04/13/09	$127.41	$117 65 [a]	$9.76
GOLDMAN SACHS GROUP INC. GS	8.0000	09/06/06	04/13/09	$1,019.26	$1,204.61 [a]	($185.35)
GOLDMAN SACHS GROUP INC· GS	16.0000	06/07/07	04/13/09	$2,038.51	$3,558.83 [a]	($1,520.32)
GOLDMAN SACHS GROUP INC. GS	2.0000	08/31/07	04/13/09	$254.81	$352.21 [a]	($97.40)
GOLDMAN SACHS GROUP INC: GS	12.0000	08/31/07	04/13/09	$1,528.88	$2,113.23 [a]	($584 35)
GOLDMAN SACHS GROUP INC· GS	10.0000	03/25/08	04/13/09	$1,274.07	$1,780 16 [a]	($506.09)
Security Subtotal				**$7,899.23**	**$10,396.09**	**($2,496.86)**
GOOGLE INC CLASS A: GOOG	16.0000	03/24/05	04/17/09	$6,301.91	$2,882.61 [a]	$3,419.30
GOOGLE INC CLASS A. GOOG	6.0000	04/12/05	04/17/09	$2,363.22	$1,152.09 [a]	$1,211.13
GOOGLE INC CLASS A: GOOG	4.0000	10/06/05	04/17/09	$1,575.48	$1,254.62 [a]	$320.86
GOOGLE INC CLASS A: GOOG	5.0000	11/28/06	04/17/09	$1,969.35	$2,407.39 [a]	($438.04)

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
GOOGLE INC CLASS A: GOOG	5.0000	03/27/07	04/17/09	$1,969 35	$2,311.55 [a]	($342.20)
GOOGLE INC CLASS A· GOOG	25.0000	03/29/07	04/17/09	$9,846.74	$11,504.23 [a]	($1,657.49)
GOOGLE INC CLASS A: GOOG	5 0000	03/07/08	04/17/09	$1,969.35	$2,148.12 [a]	($178.77)
Security Subtotal				**$25,995.40**	**$23,660.61**	**$2,334.79**
HEWLETT-PACKARD COMPANY: HPQ	50 0000	05/20/05	08/06/09	$2,115.76	$2,319 19 [a]	($203 43)
HEWLETT-PACKARD COMPANY: HPQ	15.0000	11/16/06	08/06/09	$634.73	$600.13 [a]	$34.60
HEWLETT-PACKARD COMPANY: HPQ	15 0000	01/26/07	08/06/09	$634.73	$625.19 [a]	$9.54
HEWLETT-PACKARD COMPANY· HPQ	95.0000	03/29/07	08/06/09	$4,019.93	$3,789.22 [a]	$230.71
HEWLETT-PACKARD COMPANY: HPQ	25 0000	02/04/08	08/06/09	$1,057 88	$1,109.24 [a]	($51.36)
Security Subtotal				**$8,463.03**	**$8,442.97**	**$20.06**
JOHNSON CONTROLS INC: JCI	300.0000	09/29/05	03/02/09	$3,225.95	$6,168.87	($2,942 92)
Security Subtotal				**$3,225.95**	**$6,168.87**	**($2,942.92)**
JPMORGAN CHASE & CO: JPM	200.0000	03/27/07	08/06/09	$8,148.41	$9,714.85	($1,566.44)
JPMORGAN CHASE & CO: JPM	100.0000	03/29/07	08/06/09	$4,074.20	$4,815.38 [a]	($741.18)

Please see "F--notes for Your Account" section for an explanation of the endnote codes and symbo'--on this report

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
JPMORGAN CHASE & CO· JPM	200.0000	05/22/07	08/06/09	$8,148 41	$10,526.61	($2,378 20)
Security Subtotal				**$20,371.02**	**$25,056.84**	**($4,685.82)**
NEWS CORP LTD CL B CLASS B. NWS	200.0000	10/19/05	05/07/09	$2,279.09	$3,142.00	($862.91)
NEWS CORP LTD CL B CLASS B: NWS	200.0000	11/16/05	05/07/09	$2,279 09	$3,043 95	($764.86)
Security Subtotal				**$4,558.18**	**$6,185.95**	**($1,627.77)**
OMNICARE INC: OCR	100 0000	08/17/07	05/07/09	$2,644.78	$3,294.44	($649.66)
OMNICARE INC. OCR	200.0000	09/25/07	05/07/09	$5,289.56	$6,335.29	($1,045.73)
OMNICARE INC· OCR	·200.0000	12/28/07	05/07/09	$5,289.56	$4,447.63	$841.93
Security Subtotal				**$13,223.90**	**$14,077.36**	**($853.46)**
PHILIP MORRIS INTL INC: PM	12.0000	04/30/04	02/20/09	$426.80	$355 73 [a]	$71.07
PHILIP MORRIS INTL INC: PM	75.0000	05/13/04	02/20/09	$2,667.51	$1,948 83 [a]	$718.68
PHILIP MORRIS INTL INC: PM	34.0000	03/29/07	02/20/09	$1,209.27	$1,550.51 [a]	($341.24)
PHILIP MORRIS INTL INC: PM	30 0000	05/21/07	02/20/09	$1,067 00	$1,473 65 [a]	($406.65)
PHILIP MORRIS INTL INC: PM	17.0000	06/04/07	02/20/09	$604.63	$842.66 [a]	($238.03)

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report.

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)		Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
PHILIP MORRIS INTL INC: PM		50.0000	08/13/07	02/20/09	$1,778.34	$2,348.53 [a]	($570.19)
Security Subtotal					**$7,753.55**	**$8,519.91**	**($766.36)**
PRAXAIR INC: PX		100 0000	04/18/07	05/07/09	$7,558.55	$6,391.10	$1,167.45
Security Subtotal					**$7,558.55**	**$6,391.10**	**$1,167.45**
SCHEIN HENRY INC: HSIC		200.0000	07/31/08	08/06/09	$10,033.59	$10,729 79	($696.20)
Security Subtotal					**$10,033.59**	**$10,729.79**	**($696.20)**
SCHLUMBERGER LTD	F: SLB	10.0000	03/29/07	08/06/09	$535.40	$703.78 [a]	($168.38)
SCHLUMBERGER LTD	F: SLB	20.0000	04/27/07	08/06/09	$1,070.82	$1,519.23 [a]	($448.41)
SCHLUMBERGER LTD	F: SLB	15.0000	06/07/07	08/06/09	$803.11	$1,181 82 [a]	($378.71)
SCHLUMBERGER LTD	F: SLB	15.0000	08/13/07	08/06/09	$803.11	$1,366.31 [a]	($563.20)
SCHLUMBERGER LTD	F: SLB	15.0000	09/10/07	08/06/09	$803.11	$1,463.29 [a]	($660 18)
SCHLUMBERGER LTD	F: SLB	25.0000	12/04/07	08/06/09	$1,338.52	$2,343.01 [a]	($1,004.49)
SCHLUMBERGER LTD	F: SLB	100 0000	08/04/08	08/06/09	$5,354.08	$9,575.28	($4,221.20)
Security Subtotal					**$10,708.15**	**$18,152.72**	**($7,444.57)**
SIGMA ALDRICH CORP: SIAL		100.0000	12/12/06	05/07/09	$4,489.70	$3,889.31	$600.39

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report.

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
SIGMA ALDRICH CORP: SIAL	200.0000	05/02/07	05/07/09	$8,979.40	$8,540.71	$438.69
Security Subtotal				**$13,469.10**	**$12,430.02**	**$1,039.08**
TEVA PHARM INDS LTD ADRFSPONSORED ADR 1 ADR REP 10. TEVA	20.0000	07/05/07	02/20/09	$926.04	$825.57 [a]	$100 47
TEVA PHARM INDS LTD ADRFSPONSORED ADR 1 ADR REP 10: TEVA	25.0000	01/10/08	02/20/09	$1,157.55	$1,186.38 [a]	($28.83)
TEVA PHARM INDS LTD ADRFSPONSORED ADR 1 ADR REP 10· TEVA	70.0000	01/29/08	02/20/09	$3,241 15	$3,120.12 [a]	$121.03
Security Subtotal				**$5,324.74**	**$5,132.07**	**$192.67**
TOTAL S A ADR F1 ADR REP 1 ORD: TOT	110.0000	04/08/08	08/06/09	$6,038 91	$8,518.62 [a]	($2,479 71)
Security Subtotal				**$6,038.91**	**$8,518.62**	**($2,479.71)**
WYETH: WYE	100.0000	04/02/04	05/07/09	$4,309.85	$3,884.47	$425.38
WYETH: WYE	100.0000	06/23/04	05/07/09	$4,309.85	$3,665.95	$643 90

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Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report.

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2009 Year-End Schwab Gain/Loss Report

Realized Gain or (Loss) (continued)

Accounting Method: High Cost

Long-Term (continued)	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Realized Gain or (Loss)
WYETH· WYE	200.0000	01/30/07	05/07/09	$8,619.70	$9,940.39	($1,320 69)
Security Subtotal				**$17,239.40**	**$17,490.81**	**($251.41)**
Total Long-Term				**$270,345.20**	**$349,146.59**	**($78,801.39)**
Total Realized Gain or (Loss)				**$430,481.86**	**$534,160.33**	**($103,678.47)**

Schwab has provided realized gain and loss information wherever possible for most investments Cost basis data may be incomplete or unavailable for some of your holdings. See Terms and Conditions.
Option Customers. Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options Please consult IRS publication 550, Investment Income and Expenses, for additional information on Options

Endnotes For Your Account

Symbol	Endnote Legend
a	Data for this holding has been edited or provided by the advisor.

Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this report.

Understanding Your Year-End Schwab Gain/Loss Report

This page provides an explanation of the terms used in the Year-End Schwab Gain/Loss Report in the order in which they appear.

Accounting Method: The accounting method noted on the report is the one in effect on the last day of the report calendar year. If you change your accounting method in the middle of a report period, you actually may have a mixed accounting method; however, the accounting method in effect at year-end will be the only method displayed. FIFO accounting (see definition below) is the default method for U.S. tax reporting purposes. Please consult your tax advisor to discuss this and alternative methods.

Single Category Average Cost: The average cost of all shares held in a mutual fund regardless of how long they are owned. This includes shares acquired with reinvested dividends. This method is available for mutual funds and is the method used for open-end funds in this report.

First In First Out (FIFO): The first investments acquired are the first investments sold. This is the "default" method for U.S. tax purposes Taxpayers wishing to use another method should consult their tax advisors before executing any trade.

Last In First Out (LIFO): The last investments acquired are the first investments sold.

High Cost: Sell lots in order of highest unit cost to lowest unit cost. This will minimize gains and maximize losses.

Low Cost. Sell lots in order of lowest unit cost to highest unit cost. This will maximize gains and minimize losses.

Specific ID The IRS allows taxpayers to specifically identify lots sold. Such identification should be made with the broker at the time of the trade, and the specific ID should be printed on the trade confirmation An "m" on this report indicates that the account holder has used Specific ID and matched a sale against a particular lot held at the time of trade.

Closing Transaction: The fulfillment of a contract causing an existing investment to end A sale could be a closing transaction for a long position, and a purchase could be a closing position for a short position.

Short-Term/Long-Term: Gain or (loss) on the sale of a capital asset is labeled **long-term** if the property has been held for more than one year; it is labeled **short-term** if the property has been held for one year or less. Taxpayers must calculate their net capital gains and losses for each tax year. Favorable tax treatment is allowed to the extent there is a **net long-term** capital gain. Investors need to provide the appropriate purchase date on some investments for the system generating this report to properly determine the holding period. For instance, absent notification to the contrary, the report assumes the purchase date is the date of transfer for investments transferred from another brokerage account. All transactions are displayed at the lot level. A **lot** is a single unit of shares of an investment that was acquired or opened on a specific trade date and at a specific trade time

Quantity/Par: The number of shares for each lot within each investment position in the account. This is the number of shares for stocks and mutual funds; it is the number of contracts for options, and it is the face value of bonds or notes Fractional shares are rounded for display purposes on this report.

Acquired/Opened: The trade date, effective date or the date provided by the account holder for a particular lot. This date generally establishes the holding period of the lot. For short positions, the opening date is the date the short position is established (please consult your tax advisors regarding the holding period for short sales) Possible tax modifications of the holding period may be required for covered short positions. If no date is available, the field will be left blank.

Sold/Closed: The trade date, effective date or the date provided by the account holder. For long positions, the closing date is the date on which the long position is disposed. For short positions, the closing date is the date on which the short position is covered.

Total Proceeds: The amount received upon disposition of the holding less commissions and applicable fees.

Cost Basis: The amount paid for the lot including applicable commissions, fees and adjustments For Short Sales, while the position remains open, the proceeds appear in the Cost Basis column with a negative value. In the Realized Gain or (Loss) section, the Cost Basis is the amount paid to close the transaction and appears in the Cost Basis column. The proceeds will appear in the Total Proceeds column. For cash in your account, Cost Basis includes total cash less margin loan(s) outstanding at the time this report is printed. Because it may include transactions which have not yet settled, please refer to your account statement for details.

Adjusted Cost Basis: The amortized cost basis (for bonds bought at a premium) or the accreted cost basis (for bonds bought at a discount).

Realized Gain or (Loss): A realized gain or (loss) is shown when a closing transaction occurs in your account that requires recognition of a gain or loss. To determine the Realized Gain or (Loss) for a lot, the Cost Basis is subtracted from the Total Proceeds.

Adjusted Realized Gain or (Loss): The realized gain or (loss) that is calculated based on the Adjusted Cost Basis.

Endnotes: Lettered footnotes are placed next to items that required additional explanation. Footnotes are explained on the last page of the report

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