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

2009

Department of the Treasury  
Internal Revenue Service

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<br><b>THE RM LIU FOUNDATION</b>                                                                                                                                                                                                |                                                                                                                                                  | A Employer identification number<br><b>20-8643551</b>                                                                                                                                                                             |
|                                                                                                                                                       | Number and street (or P.O. box number if mail is not delivered to street address)                                                                                                                                                                 | Room/suite                                                                                                                                       | B Telephone number<br><b>(310) 604-8760</b>                                                                                                                                                                                       |
|                                                                                                                                                       | City or town, state, and ZIP code<br><b>GARDENA, CA 90248</b>                                                                                                                                                                                     |                                                                                                                                                  | C If exemption application is pending, check here <input type="checkbox"/>                                                                                                                                                        |
|                                                                                                                                                       | H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation |                                                                                                                                                  | D 1. Foreign organizations, check here <input type="checkbox"/><br>2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>                                                      |
| I Fair market value of all assets at end of year (from Part II, col. (c), line 16)<br>\$ <b>1,771,575.</b> (Part I, column (d) must be on cash basis) |                                                                                                                                                                                                                                                   | J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) _____ | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/><br>F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> |

| Part I Analysis of Revenue and Expenses<br>(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) |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------------|---------------------------|-------------------------|-------------------------------------------------------------|
| 1 Contributions, gifts, grants, etc., received                                                                                                      |  | 1,000,000.                         |                           | N/A                     |                                                             |
| 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch. B                                                                 |  |                                    |                           |                         |                                                             |
| 3 Interest on savings and temporary cash investments                                                                                                |  | 16,150.                            | 16,150.                   |                         | STATEMENT 1                                                 |
| 4 Dividends and interest from securities                                                                                                            |  | 10,250.                            | 10,250.                   |                         | STATEMENT 2                                                 |
| 5a Gross rents                                                                                                                                      |  |                                    |                           |                         |                                                             |
| b Net rental income or (loss)                                                                                                                       |  |                                    |                           |                         |                                                             |
| 6a Net gain or (loss) from sale of assets not on line 10                                                                                            |  | -50,180.                           |                           |                         |                                                             |
| b Gross sales price for all assets on line 6a <b>538,634.</b>                                                                                       |  |                                    |                           |                         |                                                             |
| 7 Capital gain net income (from Part IV, line 2)                                                                                                    |  |                                    | 0.                        |                         |                                                             |
| 8 Net short-term capital gain                                                                                                                       |  |                                    |                           |                         |                                                             |
| 9 Income modifications                                                                                                                              |  |                                    |                           |                         |                                                             |
| 10a Gross sales less returns and allowances                                                                                                         |  |                                    |                           |                         |                                                             |
| b Less Cost of goods sold                                                                                                                           |  |                                    |                           |                         |                                                             |
| c Gross profit or (loss)                                                                                                                            |  |                                    |                           |                         |                                                             |
| 11 Other income                                                                                                                                     |  | 61.                                | 61.                       |                         | STATEMENT 3                                                 |
| 12 Total. Add lines 1 through 11                                                                                                                    |  | 976,281.                           | 26,461.                   |                         |                                                             |
| 13 Compensation of officers, directors, trustees, etc                                                                                               |  | 0.                                 | 0.                        |                         | 0.                                                          |
| 14 Other employee salaries and wages                                                                                                                |  |                                    |                           |                         |                                                             |
| 15 Pension plans, employee benefits                                                                                                                 |  |                                    |                           |                         |                                                             |
| 16a Legal fees                                                                                                                                      |  |                                    |                           |                         |                                                             |
| b Accounting fees STMT 4                                                                                                                            |  | 4,237.                             | 2,118.                    |                         | 2,119.                                                      |
| c Other professional fees                                                                                                                           |  |                                    |                           |                         |                                                             |
| 17 Interest                                                                                                                                         |  |                                    |                           |                         |                                                             |
| 18 Taxes STMT 5                                                                                                                                     |  | 2,867.                             | 132.                      |                         | 0.                                                          |
| 19 Depreciation and depletion                                                                                                                       |  |                                    |                           |                         |                                                             |
| 20 Occupancy                                                                                                                                        |  |                                    |                           |                         |                                                             |
| 21 Travel, conferences, and meetings                                                                                                                |  |                                    |                           |                         |                                                             |
| 22 Printing and publications                                                                                                                        |  |                                    |                           |                         |                                                             |
| 23 Other expenses STMT 6                                                                                                                            |  | 8,362.                             | 8,362.                    |                         | 0.                                                          |
| 24 Total operating and administrative expenses. Add lines 13 through 23                                                                             |  | 15,466.                            | 10,612.                   |                         | 2,119.                                                      |
| 25 Contributions, gifts, grants paid                                                                                                                |  | 266,036.                           |                           |                         | 266,036.                                                    |
| 26 Total expenses and disbursements. Add lines 24 and 25                                                                                            |  | 281,502.                           | 10,612.                   |                         | 268,155.                                                    |
| 27 Subtract line 26 from line 12:                                                                                                                   |  |                                    |                           |                         |                                                             |
| a Excess of revenue over expenses and disbursements                                                                                                 |  | 694,779.                           |                           |                         |                                                             |
| b Net investment income (if negative, enter -0-)                                                                                                    |  |                                    | 15,849.                   |                         |                                                             |
| c Adjusted net income (if negative, enter -0-)                                                                                                      |  |                                    |                           | N/A                     |                                                             |

| <b>Part II Balance Sheets</b>      |                                                                                                                                                | 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 |
| <b>Assets</b>                      | 1 Cash - non-interest-bearing                                                                                                                  |                                                                                                 |  |                   |                |                       |
|                                    | 2 Savings and temporary cash investments                                                                                                       |                                                                                                 |  | 146,826.          | 975,001.       | 975,001.              |
|                                    | 3 Accounts receivable ▶<br>Less: allowance for doubtful accounts ▶                                                                             |                                                                                                 |  |                   |                |                       |
|                                    | 4 Pledges receivable ▶<br>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 ▶<br>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                                                                                        |                                                                                                 |  |                   |                |                       |
|                                    | b Investments - corporate stock                                                                                                                |                                                                                                 |  |                   |                |                       |
|                                    | c Investments - corporate bonds                                                                                                                |                                                                                                 |  |                   |                |                       |
|                                    | 11 Investments - land, buildings, and equipment: basis ▶<br>Less: accumulated depreciation ▶                                                   |                                                                                                 |  |                   |                |                       |
|                                    | 12 Investments - mortgage loans                                                                                                                |                                                                                                 |  |                   |                |                       |
|                                    | 13 Investments - other <span style="float: right;">STMT 9</span>                                                                               |                                                                                                 |  | 822,243.          | 716,161.       | 796,574.              |
|                                    | 14 Land, buildings, and equipment: basis ▶<br>Less: accumulated depreciation ▶                                                                 |                                                                                                 |  |                   |                |                       |
|                                    | 15 Other assets (describe ▶ )                                                                                                                  |                                                                                                 |  |                   |                |                       |
|                                    | <b>16 Total assets</b> (to be completed by all filers)                                                                                         |                                                                                                 |  | 969,069.          | 1,691,162.     | 1,771,575.            |
| <b>Liabilities</b>                 | 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                                                                                                           |                                                                                                 |  |                   |                |                       |
|                                    | 22 Other liabilities (describe ▶ )                                                                                                             |                                                                                                 |  |                   |                |                       |
|                                    | <b>23 Total liabilities</b> (add lines 17 through 22)                                                                                          |                                                                                                 |  | 0.                | 0.             |                       |
| <b>Net Assets or Fund Balances</b> | <b>Foundations that follow SFAS 117, check here</b> ▶ <input type="checkbox"/><br><b>and complete lines 24 through 26 and lines 30 and 31.</b> |                                                                                                 |  |                   |                |                       |
|                                    | 24 Unrestricted                                                                                                                                |                                                                                                 |  |                   |                |                       |
|                                    | 25 Temporarily restricted                                                                                                                      |                                                                                                 |  |                   |                |                       |
|                                    | 26 Permanently restricted                                                                                                                      |                                                                                                 |  |                   |                |                       |
|                                    | <b>Foundations that do not follow SFAS 117, check here</b> ▶ <input checked="" type="checkbox"/><br><b>and complete lines 27 through 31.</b>   |                                                                                                 |  |                   |                |                       |
|                                    | 27 Capital stock, trust principal, or current funds                                                                                            |                                                                                                 |  | 0.                | 0.             |                       |
|                                    | 28 Paid-in or capital surplus, or land, bldg., and equipment fund                                                                              |                                                                                                 |  | 0.                | 0.             |                       |
|                                    | 29 Retained earnings, accumulated income, endowment, or other funds                                                                            |                                                                                                 |  | 969,069.          | 1,691,162.     |                       |
|                                    | <b>30 Total net assets or fund balances</b>                                                                                                    |                                                                                                 |  | 969,069.          | 1,691,162.     |                       |
|                                    | <b>31 Total liabilities and net assets/fund balances</b>                                                                                       |                                                                                                 |  | 969,069.          | 1,691,162.     |                       |

**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<br>(must agree with end-of-year figure reported on prior year's return) | 1 | 969,069.   |
| 2 Enter amount from Part I, line 27a                                                                                                                            | 2 | 694,779.   |
| 3 Other increases not included in line 2 (itemize) ▶ <span style="float: right;">SEE STATEMENT 7</span>                                                         | 3 | 57,210.    |
| 4 Add lines 1, 2, and 3                                                                                                                                         | 4 | 1,721,058. |
| 5 Decreases not included in line 2 (itemize) ▶ <span style="float: right;">SEE STATEMENT 8</span>                                                               | 5 | 29,896.    |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30                                                         | 6 | 1,691,162. |

**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<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a                                                                                                                                 | U.S. TRUST/BANK OF AMERICA - SEE ATTACHED | P                                                | VARIOUS                              | VARIOUS                          |
| b                                                                                                                                  | U.S. TRUST/BANK OF AMERICA - SEE ATTACHED | P                                                | VARIOUS                              | VARIOUS                          |
| c                                                                                                                                  | U.S. TRUST/BANK OF AMERICA - SEE ATTACHED | P                                                | VARIOUS                              | VARIOUS                          |
| d                                                                                                                                  |                                           |                                                  |                                      |                                  |
| e                                                                                                                                  |                                           |                                                  |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a 364,981.            |                                            | 379,223.                                        | -14,242.                                     |
| b 124,507.            |                                            | 159,032.                                        | -34,525.                                     |
| c 49,146.             |                                            | 50,559.                                         | -1,413.                                      |
| d                     |                                            |                                                 |                                              |
| e                     |                                            |                                                 |                                              |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 |                                      |                                                 | (l) Gains (Col. (h) gain minus<br>col. (k), but not less than -0-) or<br>Losses (from col. (h)) |
|---------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------------------|-------------------------------------------------------------------------------------------------|
| (i) F.M.V. as of 12/31/69                                                                   | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any |                                                                                                 |
| a                                                                                           |                                      |                                                 | -14,242.                                                                                        |
| b                                                                                           |                                      |                                                 | -34,525.                                                                                        |
| c                                                                                           |                                      |                                                 | -1,413.                                                                                         |
| d                                                                                           |                                      |                                                 |                                                                                                 |
| e                                                                                           |                                      |                                                 |                                                                                                 |

|                                                                                                                                                                                 |                                                                                   |  |   |          |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|--|---|----------|
| 2 Capital gain net income or (net capital loss)                                                                                                                                 | { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 |  | 2 | -50,180. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter -0- in Part I, line 8 | { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 |  | 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)<br>Base period years<br>Calendar year (or tax year beginning in) | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(col. (b) divided by col. (c)) |
|----------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-------------------------------------------------------------|
| 2008                                                                 | 444,842.                                 | 1,229,296.                                   | .361867                                                     |
| 2007                                                                 | 2,000.                                   | 164,240.                                     | .012177                                                     |
| 2006                                                                 |                                          |                                              |                                                             |
| 2005                                                                 |                                          |                                              |                                                             |
| 2004                                                                 |                                          |                                              |                                                             |

|                                                                                                                                                                                |   |          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|----------|
| 2 Total of line 1, column (d)                                                                                                                                                  | 2 | .374044  |
| 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 | .187022  |
| 4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5                                                                                                 | 4 | 997,967. |
| 5 Multiply line 4 by line 3                                                                                                                                                    | 5 | 186,642. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b)                                                                                                                   | 6 | 158.     |
| 7 Add lines 5 and 6                                                                                                                                                            | 7 | 186,800. |
| 8 Enter qualifying distributions from Part XII, line 4                                                                                                                         | 8 | 268,155. |

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 <input type="checkbox"/> and enter "N/A" on line 1.<br>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 <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b                                                                           |    | 1      | 158. |
| 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      | 158. |
| 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      | 158. |
| 6 Credits/Payments:                                                                                                                                                                                                                    |    |        |      |
| a 2009 estimated tax payments and 2008 overpayment credited to 2009                                                                                                                                                                    | 6a | 2,056. |      |
| 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  | 2,056. |      |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached                                                                                                                    | 8  |        |      |
| 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed                                                                                                                                                        | 9  |        |      |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid                                                                                                                                           | 10 | 1,898. |      |
| 11 Enter the amount of line 10 to be: Credited to 2010 estimated tax <input checked="" type="checkbox"/> 1,898. Refunded <input type="checkbox"/>                                                                                      | 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)?<br>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:<br>(1) On the foundation. <input checked="" type="checkbox"/> \$ 0. (2) On foundation managers. <input checked="" type="checkbox"/> \$ 0.                                                                                            |     |    |
| e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. <input checked="" type="checkbox"/> \$ 0.                                                                                                                                                         |     |    |
| 2 Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>If "Yes," attach a detailed description of the activities.                                                                                                                                                                           |     | X  |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes                                                                                                              |     | X  |
| 4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?                                                                                                                                                                                                                                            |     | X  |
| b If "Yes," has it filed a tax return on Form 990-T for this year?                                                                                                                                                                                                                                                                        |     |    |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>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:<br>• By language in the governing instrument, or<br>• 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?<br>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) <input checked="" type="checkbox"/> 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   |    |

N/A

STMT 10

**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?<br>Website address ► N/A                                            | 13                                              | X   |   |
| 14 | The books are in care of ► JUSTIN R. LIU<br>Located at ► 500 W. 190TH STREET, 6TH FLOOR, GARDENA, CA                                                                                    | Telephone no. ► (310) 604-8760<br>ZIP+4 ► 90248 |     |   |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here<br>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?                                                                                                                                                                                                                                                                                                                                                                                                            | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                                        | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                                              | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)?                                                                                                                                                                                                                                                                                                                                                     | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.)                                                                                                                                                                                                                                                   | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)?<br>Organizations relying on a current notice regarding disaster assistance check here                                                                                                                                                                       | N/A                                                                 | 1b |
| 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 |
| 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?<br>If "Yes," list the years ►                                                                                                                                                                                                                                                                                                                 | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)                                                                                                                                                                                       | N/A                                                                 | 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.<br>►                                                                                                                                                                                                                                                                                                                                                                           |                                                                     |    |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?                                                                                                                                                                                                                                                                                                                                                                     | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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 |
| 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 |

Form 990-PF (2009)

**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

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 |
|----------------------------------------------------------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| JUSTIN R. LIU<br>500 W. 190TH STREET, 6TH FLOOR<br>GARDENA, CA 90248 | PRESIDENT<br>1.00                                         | 0.                                        | 0.                                                                    | 0.                                    |
| EMILY F. LIU<br>500 W. 190TH STREET, 6TH FLOOR<br>GARDENA, CA 90248  | SECRETARY<br>1.00                                         | 0.                                        | 0.                                                                    | 0.                                    |
| MIMI W. LIU<br>500 W. 190TH STREET, 6TH FLOOR<br>GARDENA, CA 90248   | CFO<br>1.00                                               | 0.                                        | 0.                                                                    | 0.                                    |
| ROBERT W. LIU<br>500 W. 190TH STREET, 6TH FLOOR<br>GARDENA, CA 90248 | VICE-PRESIDENT<br>1.00                                    | 0.                                        | 0.                                                                    | 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 |
|---------------------------------------------------------------|-----------------------------------------------------------|------------------|-----------------------------------------------------------------------|---------------------------------------|
| NONE                                                          |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |

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

0

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

| (a) Name and address of each person paid more than \$50,000 | (b) Type of service | (c) Compensation |
|-------------------------------------------------------------|---------------------|------------------|
| NONE                                                        |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |
|                                                             |                     |                  |

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

0

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

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

|       | Expenses |
|-------|----------|
| 1 N/A |          |
|       |          |
| 2     |          |
|       |          |
| 3     |          |
|       |          |
| 4     |          |
|       |          |

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

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

|                                                          | Amount |
|----------------------------------------------------------|--------|
| 1 N/A                                                    |        |
|                                                          |        |
| 2                                                        |        |
|                                                          |        |
| All other program-related investments. See instructions. |        |
| 3                                                        |        |
|                                                          |        |
|                                                          |        |
| <b>Total.</b> Add lines 1 through 3                      | 0.     |

Form 990-PF (2009)

**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 | 450,346.   |
| b Average of monthly cash balances                                                                            | 1b | 122,726.   |
| c Fair market value of all other assets                                                                       | 1c | 440,092.   |
| d Total (add lines 1a, b, and c)                                                                              | 1d | 1,013,164. |
| 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  | 1,013,164. |
| 4 Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)   | 4  | 15,197.    |
| 5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4        | 5  | 997,967.   |
| 6 Minimum investment return. Enter 5% of line 5                                                               | 6  | 49,898.    |

**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  | 49,898. |
| 2a Tax on investment income for 2009 from Part VI, line 5                                            | 2a | 158.    |
| b Income tax for 2009. (This does not include the tax from Part VI.)                                 | 2b |         |
| c Add lines 2a and 2b                                                                                | 2c | 158.    |
| 3 Distributable amount before adjustments. Subtract line 2c from line 1                              | 3  | 49,740. |
| 4 Recoveries of amounts treated as qualifying distributions                                          | 4  | 0.      |
| 5 Add lines 3 and 4                                                                                  | 5  | 49,740. |
| 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  | 49,740. |

**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 | 268,155. |
| b Program-related investments - total from Part IX-B                                                                                | 1b | 0.       |
| 2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes                         | 2  |          |
| 3 Amounts set aside for specific charitable projects that satisfy the:                                                              |    |          |
| a Suitability test (prior IRS approval required)                                                                                    | 3a |          |
| b Cash distribution test (attach the required schedule)                                                                             | 3b |          |
| 4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4                        | 4  | 268,155. |
| 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  | 158.     |
| 6 Adjusted qualifying distributions. Subtract line 5 from line 4                                                                    | 6  | 267,997. |

**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)<br>Corpus | (b)<br>Years prior to 2008 | (c)<br>2008 | (d)<br>2009 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2009 from Part XI, line 7                                                                                                                       |               |                            |             | 49,740.     |
| 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                                                                                                                                                                |               |                            |             |             |
| b From 2005                                                                                                                                                                |               |                            |             |             |
| c From 2006                                                                                                                                                                |               |                            |             |             |
| d From 2007                                                                                                                                                                |               |                            |             |             |
| e From 2008                                                                                                                                                                | 378,734.      |                            |             |             |
| f Total of lines 3a through e                                                                                                                                              | 378,734.      |                            |             |             |
| 4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$                                                                                                            | 268,155.      |                            |             |             |
| 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                                                                                                                                     |               |                            |             | 49,740.     |
| e Remaining amount distributed out of corpus                                                                                                                               | 218,415.      |                            |             |             |
| 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                                                                                                                          | 597,149.      |                            |             |             |
| 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                                                                                                 | 0.            |                            |             |             |
| 9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a                                                                                              | 597,149.      |                            |             |             |
| 10 Analysis of line 9:                                                                                                                                                     |               |                            |             |             |
| a Excess from 2005                                                                                                                                                         |               |                            |             |             |
| b Excess from 2006                                                                                                                                                         |               |                            |             |             |
| c Excess from 2007                                                                                                                                                         |               |                            |             |             |
| d Excess from 2008                                                                                                                                                         | 378,734.      |                            |             |             |
| e Excess from 2009                                                                                                                                                         | 218,415.      |                            |             |             |



**Part XV** Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>Name and address (home or business)                                                | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution | Amount          |
|-------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------|-----------------|
| <b>a Paid during the year</b>                                                                   |                                                                                                                    |                                      |                                     |                 |
| FU JEN UNIVERSITY<br>FOUNDATION<br>79 MONTEZUMA STREET SAN<br>FRANCISCO, CA 94110               | NONE                                                                                                               | NON-PROFIT                           | CHARITY                             | 103,036.        |
| LOS ANGELES PARKS<br>FOUNDATION<br>11973 SAN VICENTE BLVD,<br>SUITE 200 LOS ANGELES,            | NONE                                                                                                               | NON-PROFIT                           | CHARITY                             | 10,000.         |
| PACIFIC COUNCIL<br>801 S. FIGUEROA STREET,<br>SUITE 1130 LOS ANGELES,<br>CA 90017               | NONE                                                                                                               | NON-PROFIT                           | CHARITY                             | 50,000.         |
| UNIVERSITY OF NOTRE DAME<br>1100 GRACE HALL NOTRE<br>DAME, IN 46556                             | NONE                                                                                                               | NON-PROFIT                           | CHARITY                             | 100,000.        |
| NORRIS CENTER FOR THE<br>PERFORMING ARTS<br>27570 CROSSFIELD DRIVE<br>ROLLING HILLS ESTATES, CA | NONE                                                                                                               | NON-PROFIT                           | CHARITY                             | 2,000.          |
| MORNING LIGHT FOUNDATION<br>10881 NORTH BOYER ROAD<br>SANDPOINT, ID 83864                       | NONE                                                                                                               | NON-PROFIT                           | CHARITY                             | 1,000.          |
| <b>Total</b>                                                                                    |                                                                                                                    |                                      | <b>3a</b>                           | <b>266,036.</b> |
| <b>b Approved for future payment</b>                                                            |                                                                                                                    |                                      |                                     |                 |
| NONE                                                                                            |                                                                                                                    |                                      |                                     |                 |
| <b>Total</b>                                                                                    |                                                                                                                    |                                      | <b>3b</b>                           | <b>0.</b>       |





**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 RM LIU FOUNDATION

Employer identification number

20-8643551

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 foundationCheck 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

THE RM LIU FOUNDATION

20-8643551

**Part I Contributors** (see instructions)

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                                                        | (c)<br>Aggregate contributions | (d)<br>Type of contribution                                                                                                                                                  |
|------------|------------------------------------------------------------------------------------------|--------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1          | <u>EMILY LIU</u><br><u>500 W. 190TH STREET, 6TH FLOOR</u><br><u>GARDENA, CA 90248</u>    | \$ 0.                          | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.) |
| 2          | <u>JUSTIN LIU</u><br><u>500 W. 190TH STREET, 6TH FLOOR</u><br><u>GARDENA, CA 90248</u>   | \$ 0.                          | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.) |
| 3          | <u>TIRECO, INC.</u><br><u>500 W. 190TH STREET, 6TH FLOOR</u><br><u>GARDENA, CA 90248</u> | \$ 1,000,000.                  | Person <input checked="" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.) |
|            |                                                                                          |                                | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |
|            |                                                                                          |                                | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |
|            |                                                                                          |                                | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)            |

Name of organization

Employer identification number

THE RM LIU FOUNDATION

20-8643551

**Part II** Noncash Property (see instructions)

| (a)<br>No.<br>from<br>Part I | (b)<br>Description of noncash property given | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
|------------------------------|----------------------------------------------|------------------------------------------------|----------------------|
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |
|                              |                                              | \$                                             |                      |

|                       |                                |
|-----------------------|--------------------------------|
| Name of organization  | Employer identification number |
| THE RM LIU FOUNDATION | 20-8643551                     |

**Part III** Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations aggregating more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once. See instructions.) ▶ \$

| (a) No.<br>from<br>Part I | (b) Purpose of gift                     | (c) Use of gift | (d) Description of how gift is held      |
|---------------------------|-----------------------------------------|-----------------|------------------------------------------|
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           | (e) Transfer of gift                    |                 |                                          |
|                           | Transferee's name, address, and ZIP + 4 |                 | Relationship of transferor to transferee |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           | (e) Transfer of gift                    |                 |                                          |
|                           | Transferee's name, address, and ZIP + 4 |                 | Relationship of transferor to transferee |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           | (e) Transfer of gift                    |                 |                                          |
|                           | Transferee's name, address, and ZIP + 4 |                 | Relationship of transferor to transferee |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           | (e) Transfer of gift                    |                 |                                          |
|                           | Transferee's name, address, and ZIP + 4 |                 | Relationship of transferor to transferee |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           | (e) Transfer of gift                    |                 |                                          |
|                           | Transferee's name, address, and ZIP + 4 |                 | Relationship of transferor to transferee |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |
|                           |                                         |                 |                                          |



# U.S. TRUST

Bank of America Private Wealth Management

IM RM LIU FOUNDATION

## 2009 Tax Information Letter

Account Number 022001527217

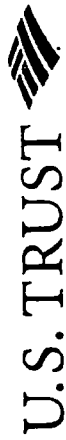
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### 1099-B Proceeds From Broker Transactions (OMB No. 1545-0715)

#### Short term transactions

This category includes all assets held 12 months or less

| Description<br>(Box 7)          | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax cost | Net gain or loss |
|---------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|----------|------------------|
| UNITED UTILS GROUP PLC          | 91311E102         | 10                                    | 07/30/08            | 01/06/09              | \$185 29                                   | \$276 74 | \$-91 45         |
| URBAN OUTFITTERS INC            | 917047102         | 19                                    | 02/12/08            | 01/06/09              | \$281 00                                   | \$570 80 | \$-289 80        |
| VOLVO AKTIEBOLAGET ADR B        | 928856400         | 53                                    | 07/25/08            | 01/06/09              | \$307 39                                   | \$631 46 | \$-324 07        |
| VOTORANTIM CELULOSE E PAPEL S A | 92906P106         | 7                                     | 09/22/08            | 01/06/09              | \$62 85                                    | \$147 32 | \$-84 47         |
| VOTORANTIM CELULOSE E PAPEL S A | 92906P106         | 5                                     | 09/26/08            | 01/06/09              | \$44 90                                    | \$83 18  | \$-38 28         |
| VOTORANTIM CELULOSE E PAPEL S A | 92906P106         | 1                                     | 09/29/08            | 01/06/09              | \$8 98                                     | \$15 64  | \$-6 66          |
| WAL MART STORES INC             | 931142103         | 3                                     | 09/11/08            | 01/06/09              | \$167 82                                   | \$187 37 | \$-19 55         |
| WAL MART STORES INC             | 931142103         | 15                                    | 06/12/08            | 01/06/09              | \$839 09                                   | \$892 52 | \$-53 43         |
| WAL MART STORES INC             | 931142103         | 2                                     | 07/09/08            | 01/06/09              | \$111 88                                   | \$116 87 | \$-4 99          |
| WALTER INDS INC                 | 93317Q105         | 8                                     | 07/21/08            | 01/06/09              | \$205 51                                   | \$749 40 | \$-543 89        |
| XEROX CORP                      | 984121103         | 37                                    | 06/30/08            | 01/06/09              | \$336 33                                   | \$504 01 | \$-167 68        |
| XEROX CORP                      | 984121103         | 45                                    | 07/08/08            | 01/06/09              | \$409 04                                   | \$609 78 | \$-200 74        |
| XEROX CORP                      | 984121103         | 10                                    | 07/07/08            | 01/06/09              | \$90 90                                    | \$134 67 | \$-43 77         |
| XEROX CORP                      | 984121103         | 10                                    | 06/27/08            | 01/06/09              | \$90 90                                    | \$134 42 | \$-43 52         |
| XEROX CORP                      | 984121103         | 8                                     | 07/03/08            | 01/06/09              | \$72 72                                    | \$107 51 | \$-34 79         |
| DEUTSCHE BANK AG                | D18190898         | 10                                    | 07/22/08            | 01/06/09              | \$381 09                                   | \$893 50 | \$-512 41        |



Bank of America Private Wealth Management

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### Short term transactions

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|----------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|----------|------------------|
| COVIDIEN LTD SHS                 | G2552X108         | 18                                    | 09/18/08            | 01/06/09              | \$670 13                                   | \$980 95 | \$-310 82        |
| FOSTER WHEELER LTD SHS NEW       | G36535139         | 8                                     | 08/07/08            | 01/06/09              | \$220 56                                   | \$436 07 | \$-215 51        |
| FOSTER WHEELER LTD SHS NEW       | G36535139         | 7                                     | 08/08/08            | 01/06/09              | \$192 98                                   | \$380 71 | \$-187 73        |
| FOSTER WHEELER LTD SHS NEW       | G36535139         | 3                                     | 09/12/08            | 01/06/09              | \$82 71                                    | \$125 31 | \$-42 60         |
| INGERSOLL RAND CO LTD CL A       | G4776G101         | 9                                     | 07/21/08            | 01/06/09              | \$170 27                                   | \$320 26 | \$-149 99        |
| RENAISSANCE HOLDINGS LTD         | G7496G103         | 7                                     | 07/24/08            | 01/06/09              | \$362 87                                   | \$350 00 | \$12 87          |
| RENAISSANCE HOLDINGS LTD         | G7496G103         | 5                                     | 07/23/08            | 01/06/09              | \$259 20                                   | \$248 50 | \$10 70          |
| RENAISSANCE HOLDINGS LTD         | G7496G103         | 2                                     | 10/23/08            | 01/06/09              | \$103 68                                   | \$79 88  | \$23 80          |
| SEAGATE TECHNOLOGY HOLDINGS      | G7945J104         | 20                                    | 07/22/08            | 01/06/09              | \$116 20                                   | \$292 01 | \$-175 81        |
| DRYSHIPS INC SHS                 | Y2109Q101         | 4                                     | 07/23/08            | 01/06/09              | \$60 77                                    | \$316 00 | \$-255 23        |
| TEEKAY SHIPPING CORP             | Y8564W103         | 7                                     | 07/25/08            | 01/06/09              | \$154 27                                   | \$299 50 | \$-145 23        |
| MICROSOFT CORP                   | 594918104         | 5                                     | 01/18/08            | 01/06/09              | \$103 55                                   | \$169 06 | \$-65 51         |
| MICROSOFT CORP                   | 594918104         | 10                                    | 10/14/08            | 01/06/09              | \$207 10                                   | \$241 22 | \$-34 12         |
| MITSUMI & CO LTD ADR             | 606827202         | 1                                     | 05/16/08            | 01/06/09              | \$208 55                                   | \$490 00 | \$-281 45        |
| MITSUMI & CO LTD ADR             | 606827202         | 1                                     | 01/25/08            | 01/06/09              | \$208 55                                   | \$376 00 | \$-167 45        |
| MITSUMI & CO LTD ADR             | 606827202         | 1                                     | 09/12/08            | 01/06/09              | \$208 54                                   | \$312 86 | \$-104 32        |
| MONSANTO CO NEW                  | 61166W101         | 3                                     | 09/09/08            | 01/06/09              | \$219 69                                   | \$303 29 | \$-83 60         |
| NII HLDGS INC CL B NEW           | 62913F201         | 12                                    | 08/01/08            | 01/06/09              | \$284 27                                   | \$663 72 | \$-379 45        |
| NATIONAL BK GREECE S A SPONSORED | 633643408         | 7                                     | 01/09/08            | 01/06/09              | \$28 14                                    | \$97 24  | \$-69 10         |
| NATIONAL BK GREECE S A SPONSORED | 633643408         | 13                                    | 04/07/08            | 01/06/09              | \$52 26                                    | \$144 20 | \$-91 94         |
| NEXEN INC                        | 65334H102         | 12                                    | 10/22/08            | 01/06/09              | \$233 64                                   | \$162 12 | \$71 52          |
| NEXEN INC                        | 65334H102         | 13                                    | 10/24/08            | 01/06/09              | \$253 10                                   | \$156 46 | \$96 64          |
| NISSAN MOTOR SPONSORED ADR       | 654744408         | 39                                    | 07/28/08            | 01/06/09              | \$288 98                                   | \$610 83 | \$-321 85        |
| NOKIA CORP ADR                   | 654902204         | 5                                     | 05/19/08            | 01/06/09              | \$81 25                                    | \$150 00 | \$-68 75         |
| NOKIA CORP ADR                   | 654902204         | 8                                     | 04/28/08            | 01/06/09              | \$129 99                                   | \$236 76 | \$-106 77        |
| OMNICARE INC                     | 681904108         | 8                                     | 09/15/08            | 01/06/09              | \$221 36                                   | \$254 56 | \$-33 20         |



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## 2009 Tax Information Letter

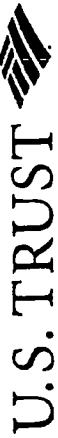
Account Number 022001527217

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### Short term transactions

This category includes all assets held 12 months or less.

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|----------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| OMNICARE INC                     | 681904108         | 15                                    | 09/16/08            | 01/06/09              | \$415 04                                   | \$473 99   | \$-58 95         |
| ON SEMICONDUCTOR CORP            | 682189105         | 97                                    | 09/16/08            | 01/06/09              | \$411 27                                   | \$690 10   | \$-278 83        |
| ORACLE CORPORATION               | 68389X105         | 15                                    | 04/01/08            | 01/06/09              | \$275 10                                   | \$303 08   | \$-27 98         |
| PEARSON PLC SPONSORED ADR        | 705015105         | 13                                    | 08/01/08            | 01/06/09              | \$126 87                                   | \$169 68   | \$-42 81         |
| PEARSON PLC SPONSORED ADR        | 705015105         | 5                                     | 07/31/08            | 01/06/09              | \$48 80                                    | \$64 90    | \$-16 10         |
| PEARSON PLC SPONSORED ADR        | 705015105         | 5                                     | 07/30/08            | 01/06/09              | \$48 80                                    | \$63 74    | \$-14 94         |
| PEPSICO INC                      | 713448108         | 2                                     | 07/07/08            | 01/06/09              | \$111 32                                   | \$132 98   | \$-21 66         |
| PETRO-CANADA                     | 71644E102         | 20                                    | 07/23/08            | 01/06/09              | \$518 79                                   | \$935 84   | \$-417 05        |
| PETROLEO BRASILEIRO SA PETROBRAS | 71654V408         | 4                                     | 10/21/08            | 01/06/09              | \$112 52                                   | \$111 40   | \$1 12           |
| PETROLEO BRASILEIRO SA PETROBRAS | 71654V408         | 4                                     | 10/24/08            | 01/06/09              | \$112 52                                   | \$84 89    | \$27 63          |
| PRICE T ROWE GROUP INC           | 74144T108         | 18                                    | 07/24/08            | 01/06/09              | \$656 81                                   | \$1,063 58 | \$-406 77        |
| PROCTER & GAMBLE CO              | 742718109         | 13                                    | 09/18/08            | 01/06/09              | \$809 11                                   | \$938 21   | \$-129 10        |
| QUALCOMM INC                     | 747525103         | 3                                     | 07/31/08            | 01/06/09              | \$111 27                                   | \$166 82   | \$-55 55         |
| QUALCOMM INC                     | 747525103         | 13                                    | 06/12/08            | 01/06/09              | \$482 17                                   | \$482 17   | \$0 00           |
| QUALCOMM INC                     | 747525103         | 18                                    | 02/19/08            | 01/06/09              | \$667 61                                   | \$667 61   | \$0 00           |
| RAYTHEON CO NEW                  | 755111507         | 15                                    | 03/25/08            | 01/06/09              | \$776 84                                   | \$966 42   | \$-189 58        |
| RAYTHEON CO NEW                  | 755111507         | 8                                     | 03/24/08            | 01/06/09              | \$414 32                                   | \$508 07   | \$-93 75         |
| RESEARCH IN MOTION LTD           | 760975102         | 8                                     | 07/31/08            | 01/06/09              | \$372 79                                   | \$1,038 68 | \$-665 89        |
| SAIC INC                         | 78390X101         | 13                                    | 09/30/08            | 01/06/09              | \$256 36                                   | \$262 65   | \$-6 29          |
| SAIC INC                         | 78390X101         | 17                                    | 10/01/08            | 01/06/09              | \$335 23                                   | \$341 97   | \$-6 74          |
| SK TELECOM LTD SPONSORED ADR     | 78440P108         | 13                                    | 07/25/08            | 01/06/09              | \$227 50                                   | \$265 50   | \$-38 00         |
| SK TELECOM LTD SPONSORED ADR     | 78440P108         | 15                                    | 07/24/08            | 01/06/09              | \$262 49                                   | \$306 00   | \$-43 51         |
| SPX CORP                         | 784635104         | 9                                     | 10/14/08            | 01/06/09              | \$414 98                                   | \$534 68   | \$-119 70        |
| SASOL LTD SPONSORED ADR          | 803866300         | 8                                     | 08/11/08            | 01/06/09              | \$274 72                                   | \$419 78   | \$-145 06        |
| SASOL LTD SPONSORED ADR          | 803866300         | 8                                     | 08/08/08            | 01/06/09              | \$274 71                                   | \$419 13   | \$-144 42        |
| SILICONWARE PRECISION INDS LTD   | 827084864         | 25                                    | 07/24/08            | 01/06/09              | \$122 00                                   | \$174 71   | \$-52 71         |



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## 2009 Tax Information Letter

Account Number 022001527217

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### Short term transactions

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| SILICONWARE PRECISION INDS LTD     | 827084864         | 28                                    | 07/25/08            | 01/06/09              | \$136 63                                   | \$195 00 | \$-58 37         |
| SILICONWARE PRECISION INDS LTD     | 827084864         | 27                                    | 07/28/08            | 01/06/09              | \$131 76                                   | \$187 01 | \$-55 25         |
| SONY CORP (ADR)                    | 835699307         | 4                                     | 10/21/08            | 01/06/09              | \$91 47                                    | \$102 56 | \$-11 09         |
| SONY CORP (ADR)                    | 835699307         | 3                                     | 10/23/08            | 01/06/09              | \$68 61                                    | \$69 96  | \$-1 35          |
| STATOIL ASA SPONSORED ADR          | 85771P102         | 24                                    | 07/24/08            | 01/06/09              | \$447 11                                   | \$731 23 | \$-284 12        |
| SUPERIOR ENERGY SVCS INC           | 868157108         | 18                                    | 05/19/08            | 01/06/09              | \$327 41                                   | \$986 56 | \$-659 15        |
| SUPERIOR ENERGY SVCS INC           | 868157108         | 3                                     | 05/16/08            | 01/06/09              | \$54 57                                    | \$160 80 | \$-106 23        |
| TECK CORP LTD CL B NPV             | 878742204         | 15                                    | 07/24/08            | 01/06/09              | \$103 49                                   | \$579 83 | \$-476 34        |
| TELE NORTE LESTE PARTICIPACOES S A | 879246106         | 15                                    | 07/24/08            | 01/06/09              | \$208 04                                   | \$335 50 | \$-127 46        |
| TELE NORTE LESTE PARTICIPACOES S A | 879246106         | 10                                    | 07/25/08            | 01/06/09              | \$138 70                                   | \$221 00 | \$-82 30         |
| TENARIS S A SPONSORED ADR          | 88031M109         | 3                                     | 10/02/08            | 01/06/09              | \$72 90                                    | \$102 04 | \$-29 14         |
| TENARIS S A SPONSORED ADR          | 88031M109         | 4                                     | 10/07/08            | 01/06/09              | \$97 19                                    | \$127 38 | \$-30 19         |
| TERRA INDS INC                     | 880915103         | 22                                    | 10/14/08            | 01/06/09              | \$405 23                                   | \$538 69 | \$-133 46        |
| 3M CO                              | 88579Y101         | 5                                     | 05/28/08            | 01/06/09              | \$295 95                                   | \$384 19 | \$-88 24         |
| 3M CO                              | 88579Y101         | 13                                    | 06/03/08            | 01/06/09              | \$769 46                                   | \$990 08 | \$-220 62        |
| 3M CO                              | 88579Y101         | 13                                    | 10/23/08            | 01/06/09              | \$769 46                                   | \$797 01 | \$-27 55         |
| TRANSCANADA CORP                   | 89353D107         | 5                                     | 07/31/08            | 01/06/09              | \$140 35                                   | \$192 94 | \$-52 59         |
| TRANSCANADA CORP                   | 89353D107         | 5                                     | 07/30/08            | 01/06/09              | \$140 35                                   | \$188 41 | \$-48 06         |
| TRANSCANADA CORP                   | 89353D107         | 5                                     | 07/29/08            | 01/06/09              | \$140 34                                   | \$187 73 | \$-47 39         |
| UNILEVER PLC ADR                   | 904767704         | 4                                     | 01/30/08            | 01/06/09              | \$95 20                                    | \$130 00 | \$-34 80         |
| COMPANHIA DE SANEAMENTO BASICO DO  | 20441A102         | 4                                     | 09/08/08            | 01/06/09              | \$98 40                                    | \$161 28 | \$-62 88         |
| COMPANHIA DE SANEAMENTO BASICO DO  | 20441A102         | 3                                     | 09/05/08            | 01/06/09              | \$73 80                                    | \$118 22 | \$-44 42         |
| COMPANHIA DE SANEAMENTO BASICO DO  | 20441A102         | 2                                     | 09/12/08            | 01/06/09              | \$49 20                                    | \$76 50  | \$-27 30         |
| COMPANHIA DE SANEAMENTO BASICO DO  | 20441A102         | 2                                     | 09/11/08            | 01/06/09              | \$49 19                                    | \$74 62  | \$-25 43         |
| COMPANHIA PARANAENSE DE ENERGIA -  | 20441B407         | 15                                    | 07/30/08            | 01/06/09              | \$172 94                                   | \$306 18 | \$-133 24        |
| COMPANHIA PARANAENSE DE ENERGIA -  | 20441B407         | 7                                     | 07/29/08            | 01/06/09              | \$80 71                                    | \$141 91 | \$-61 20         |



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Bank of America Private Wealth Management

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## 2009 Tax Information Letter

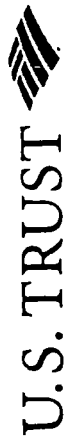
Account Number 022001527217

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| COMPANHIA PARANAENSE DE ENERGIA - | 20441B407         | 7                                     | 07/31/08            | 01/06/09              | \$80.71                                    | \$139.81   | \$-59.10         |
| DENTSPLY INTERNATIONAL INC NEW    | 249030107         | 8                                     | 07/21/08            | 01/06/09              | \$218.88                                   | \$319.00   | \$-100.12        |
| DENTSPLY INTERNATIONAL INC NEW    | 249030107         | 15                                    | 07/18/08            | 01/06/09              | \$410.39                                   | \$595.00   | \$-184.61        |
| DIAGEO PLC SPONSORED ADR NEW      | 25243Q205         | 4                                     | 07/21/08            | 01/06/09              | \$229.95                                   | \$291.11   | \$-61.16         |
| DOLLAR TREE INC                   | 256746108         | 17                                    | 05/29/08            | 01/06/09              | \$673.19                                   | \$644.05   | \$29.14          |
| DREAMWORKS ANIMATION INC CL A     | 26153C103         | 19                                    | 10/14/08            | 01/06/09              | \$495.70                                   | \$551.58   | \$-55.88         |
| ELECTRONIC ARTS                   | 285512109         | 20                                    | 04/07/08            | 01/06/09              | \$370.39                                   | \$1,048.50 | \$-678.11        |
| ENCANA CORP                       | 292505104         | 7                                     | 08/29/08            | 01/06/09              | \$359.31                                   | \$523.51   | \$-164.20        |
| ENCANA CORP                       | 292505104         | 10                                    | 09/08/08            | 01/06/09              | \$513.29                                   | \$676.15   | \$-162.86        |
| ETABLISSEMENTS DELHAIZE FRERES ET | 29759W101         | 6                                     | 08/18/08            | 01/06/09              | \$377.57                                   | \$378.68   | \$-1.11          |
| ETABLISSEMENTS DELHAIZE FRERES ET | 29759W101         | 3                                     | 08/18/08            | 01/06/09              | \$188.79                                   | \$187.78   | \$1.01           |
| FMC TECHNOLOGIES INC              | 30249U101         | 1                                     | 09/12/08            | 01/06/09              | \$28.71                                    | \$49.17    | \$-20.46         |
| FLOWERVE CORP                     | 34354P105         | 2                                     | 10/14/08            | 01/06/09              | \$120.08                                   | \$135.24   | \$-15.16         |
| FRANCE TELECOM SPONSORED ADR      | 35177Q105         | 9                                     | 09/18/08            | 01/06/09              | \$247.94                                   | \$261.18   | \$-13.24         |
| FRANCE TELECOM SPONSORED ADR      | 35177Q105         | 7                                     | 10/02/08            | 01/06/09              | \$192.85                                   | \$196.41   | \$-3.56          |
| GENENTECH INC NEW                 | 368710406         | 15                                    | 05/09/08            | 01/06/09              | \$1,259.09                                 | \$1,027.89 | \$231.20         |
| GENERAL ELECTRIC CO               | 369604103         | 27                                    | 09/22/08            | 01/06/09              | \$454.68                                   | \$726.24   | \$-271.56        |
| GENERAL ELECTRIC CO               | 369604103         | 28                                    | 09/18/08            | 01/06/09              | \$471.51                                   | \$648.67   | \$-177.16        |
| GENERAL MILLS INC                 | 370334104         | 10                                    | 10/16/08            | 01/06/09              | \$594.69                                   | \$645.89   | \$-51.20         |
| GENERAL MILLS INC                 | 370334104         | 7                                     | 10/24/08            | 01/06/09              | \$416.29                                   | \$451.37   | \$-35.08         |
| GILEAD SCIENCES INC               | 375558103         | 30                                    | 04/18/08            | 01/06/09              | \$1,484.69                                 | \$1,545.44 | \$-60.75         |
| GLAXO WELLCOME PLC SPONSORED ADR  | 37733W105         | 15                                    | 07/21/08            | 01/06/09              | \$565.65                                   | \$732.07   | \$-166.42        |
| GOOGLE INC CL A                   | 38259P508         | 2                                     | 06/19/08            | 01/06/09              | \$668.33                                   | \$668.33   | \$0.00           |
| HSBC HLDGS PLC SPONSORED ADR NEW  | 404280406         | 2                                     | 10/14/08            | 01/06/09              | \$98.13                                    | \$148.56   | \$-50.43         |
| HALLIBURTON CO                    | 406216101         | 5                                     | 01/14/08            | 01/06/09              | \$104.55                                   | \$182.57   | \$-78.02         |
| HALLIBURTON CO                    | 406216101         | 10                                    | 01/22/08            | 01/06/09              | \$209.10                                   | \$319.38   | \$-110.28        |



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Bank of America Private Wealth Management

Short term transactions

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|----------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|----------|------------------|
| HALLIBURTON CO                   | 406216101         | 17                                    | 01/23/08            | 01/06/09              | \$355 46                                   | \$527 73 | \$-172 27        |
| HARTFORD FINL SVCS GROUP INC COM | 416515104         | 8                                     | 05/30/08            | 01/06/09              | \$157 12                                   | \$569 97 | \$-412 85        |
| HARTFORD FINL SVCS GROUP INC COM | 416515104         | 7                                     | 05/22/08            | 01/06/09              | \$137 47                                   | \$494 60 | \$-357 13        |
| HARTFORD FINL SVCS GROUP INC COM | 416515104         | 5                                     | 05/28/08            | 01/06/09              | \$98 20                                    | \$350 32 | \$-252 12        |
| HEINZ H J CO                     | 423074103         | 20                                    | 04/02/08            | 01/06/09              | \$764 99                                   | \$955 50 | \$-190 51        |
| HEWITT ASSOCS INC                | 42822Q100         | 17                                    | 02/12/08            | 01/06/09              | \$499 28                                   | \$658 95 | \$-159 67        |
| HOME DEPOT INC                   | 437076102         | 22                                    | 01/23/08            | 01/06/09              | \$556 38                                   | \$642 36 | \$-85 98         |
| HOME DEPOT INC                   | 437076102         | 28                                    | 01/18/08            | 01/06/09              | \$708 11                                   | \$761 73 | \$-53 62         |
| HOST MARRIOTT CORP NEW           | 44107P104         | 22                                    | 02/19/08            | 01/06/09              | \$177 10                                   | \$370 47 | \$-193 37        |
| HOST MARRIOTT CORP NEW           | 44107P104         | 37                                    | 03/03/08            | 01/06/09              | \$297 84                                   | \$619 43 | \$-321 59        |
| HOST MARRIOTT CORP NEW           | 44107P104         | 15                                    | 03/04/08            | 01/06/09              | \$120 75                                   | \$249 62 | \$-128 87        |
| HOST MARRIOTT CORP NEW           | 44107P104         | 8                                     | 02/29/08            | 01/06/09              | \$64 40                                    | \$129 39 | \$-64 99         |
| HUDSON CITY BANCORP INC          | 443683107         | 29                                    | 04/30/08            | 01/06/09              | \$442 82                                   | \$563 72 | \$-120 90        |
| ING GROEP N V ADR                | 456837103         | 15                                    | 07/23/08            | 01/06/09              | \$164 69                                   | \$519 26 | \$-354 57        |
| ING GROEP N V ADR                | 456837103         | 12                                    | 07/22/08            | 01/06/09              | \$131 76                                   | \$403 31 | \$-271 55        |
| INTEL CORP                       | 458140100         | 45                                    | 02/04/08            | 01/06/09              | \$690 29                                   | \$963 10 | \$-272 81        |
| INTEL CORP                       | 458140100         | 20                                    | 01/31/08            | 01/06/09              | \$306 80                                   | \$415 44 | \$-108 64        |
| JOY GLOBAL INC                   | 481165108         | 13                                    | 09/12/08            | 01/06/09              | \$353 46                                   | \$680 87 | \$-327 41        |
| KANSAS CITY SOUTHN INDS INC NEW  | 485170302         | 10                                    | 09/15/08            | 01/06/09              | \$230 19                                   | \$474 18 | \$-243 99        |
| KANSAS CITY SOUTHN INDS INC NEW  | 485170302         | 5                                     | 09/12/08            | 01/06/09              | \$115 10                                   | \$233 87 | \$-118 77        |
| KOHL'S CORP                      | 500255104         | 23                                    | 10/22/08            | 01/06/09              | \$901 59                                   | \$692 51 | \$209 08         |
| LIFE TECHNOLOGIES CORP           | 53217V109         | 14                                    | 07/14/08            | 01/06/09              | \$353 77                                   | \$564 67 | \$-210 90        |
| LIFE TECHNOLOGIES CORP           | 53217V109         | 10                                    | 07/11/08            | 01/06/09              | \$252 70                                   | \$396 00 | \$-143 30        |
| LINCOLN NATIONAL CORP            | 534187109         | 5                                     | 09/19/08            | 01/06/09              | \$125 10                                   | \$276 03 | \$-150 93        |
| LINCOLN NATIONAL CORP            | 534187109         | 2                                     | 09/25/08            | 01/06/09              | \$50 04                                    | \$97 54  | \$-47 50         |
| LINCOLN NATIONAL CORP            | 534187109         | 8                                     | 09/18/08            | 01/06/09              | \$200 15                                   | \$352 74 | \$-152 59        |



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### Short term transactions

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|-----------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| MAGNA INTERNATIONAL INC CLASS A   | 559222401         | 9                                     | 07/24/08            | 01/06/09              | \$321.02                                   | \$547.00   | \$-225.98        |
| MARSH & MCLENNAN INC              | 571748102         | 35                                    | 07/09/08            | 01/06/09              | \$872.89                                   | \$1,025.58 | \$-152.69        |
| MCDONALDS CORP                    | 580135101         | 7                                     | 07/09/08            | 01/06/09              | \$434.98                                   | \$415.32   | \$19.66          |
| AGCO CORP                         | 001084102         | 11                                    | 01/23/08            | 01/06/09              | \$308.98                                   | \$619.02   | \$-310.04        |
| AGCO CORP                         | 001084102         | 3                                     | 07/18/08            | 01/06/09              | \$84.27                                    | \$155.10   | \$-70.83         |
| AU OPTRONICS CORP SPONSORED ADR   | 002255107         | 43                                    | 07/24/08            | 01/06/09              | \$370.22                                   | \$556.85   | \$-186.63        |
| AU OPTRONICS CORP SPONSORED ADR   | 002255107         | 5                                     | 09/26/08            | 01/06/09              | \$43.05                                    | \$58.45    | \$-15.40         |
| AU OPTRONICS CORP SPONSORED ADR   | 002255107         | 4                                     | 09/29/08            | 01/06/09              | \$34.44                                    | \$44.86    | \$-10.42         |
| ABBOTT LABS                       | 002824100         | 5                                     | 01/18/08            | 01/06/09              | \$254.44                                   | \$299.45   | \$-45.01         |
| ADOBE SYSTEM INC                  | 00724F101         | 7                                     | 09/18/08            | 01/06/09              | \$169.82                                   | \$267.81   | \$-97.99         |
| AEGON N V ORD AMER REG ADR        | 007924103         | 22                                    | 07/23/08            | 01/06/09              | \$159.49                                   | \$285.50   | \$-126.01        |
| AFFILIATED COMPUTER SVCS INC CL A | 008190100         | 17                                    | 03/04/08            | 01/06/09              | \$791.00                                   | \$873.00   | \$-82.00         |
| AGRIUM INC                        | 008916108         | 3                                     | 07/23/08            | 01/06/09              | \$112.86                                   | \$278.50   | \$-165.64        |
| AGRIUM INC                        | 008916108         | 4                                     | 09/02/08            | 01/06/09              | \$150.47                                   | \$319.51   | \$-169.04        |
| AIR FRANCE SPONSORED ADR          | 009119108         | 6                                     | 09/30/08            | 01/06/09              | \$80.69                                    | \$136.20   | \$-55.51         |
| AIR FRANCE SPONSORED ADR          | 009119108         | 5                                     | 10/14/08            | 01/06/09              | \$67.25                                    | \$99.63    | \$-32.38         |
| ALTRIA GROUP INC                  | 02209S103         | 62                                    | 04/10/08            | 01/06/09              | \$938.67                                   | \$1,332.40 | \$-393.73        |
| AMERICAN TOWER SYS CORP CL A      | 029912201         | 7                                     | 09/08/08            | 01/06/09              | \$211.33                                   | \$277.59   | \$-66.26         |
| ANNALY MTG MGMT INC               | 035710409         | 33                                    | 07/09/08            | 01/06/09              | \$526.02                                   | \$533.73   | \$-7.71          |
| ANNALY MTG MGMT INC               | 035710409         | 52                                    | 07/15/08            | 01/06/09              | \$828.87                                   | \$749.10   | \$79.77          |
| APPLE COMPUTER INC                | 037833100         | 10                                    | 10/22/08            | 01/06/09              | \$929.59                                   | \$981.52   | \$-51.93         |
| ARCELOMITTAL SA LUXEMBOURG N Y    | 03938L104         | 2                                     | 04/15/08            | 01/06/09              | \$59.08                                    | \$169.46   | \$-110.38        |
| ARCELOMITTAL SA LUXEMBOURG N Y    | 03938L104         | 3                                     | 02/12/08            | 01/06/09              | \$88.61                                    | \$210.86   | \$-122.25        |
| ASTRAZENECA PLC SPONSORED ADR     | 046353108         | 6                                     | 07/23/08            | 01/06/09              | \$248.99                                   | \$277.50   | \$-28.51         |
| ASTRAZENECA PLC SPONSORED ADR     | 046353108         | 3                                     | 09/16/08            | 01/06/09              | \$124.50                                   | \$132.08   | \$-7.58          |
| ASTRAZENECA PLC SPONSORED ADR     | 046353108         | 1                                     | 09/30/08            | 01/06/09              | \$41.50                                    | \$43.87    | \$-2.37          |



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| AVON PRODUCTS INC                  | 054303102         | 14                                    | 10/07/08            | 01/06/09              | \$349 71                                   | \$524 12 | \$-174 41        |
| AXA SA SPONSORED ADR               | 054536107         | 3                                     | 04/02/08            | 01/06/09              | \$69 84                                    | \$118 40 | \$-48 56         |
| AXA SA SPONSORED ADR               | 054536107         | 3                                     | 04/01/08            | 01/06/09              | \$69 84                                    | \$116 06 | \$-46 22         |
| AXA SA SPONSORED ADR               | 054536107         | 8                                     | 07/22/08            | 01/06/09              | \$186 23                                   | \$239 14 | \$-52 91         |
| BASF AG SPONSORED ADR              | 055262505         | 4                                     | 08/01/08            | 01/06/09              | \$148 60                                   | \$251 28 | \$-102 68        |
| BASF AG SPONSORED ADR              | 055262505         | 6                                     | 10/21/08            | 01/06/09              | \$222 89                                   | \$201 96 | \$20 93          |
| BNP PARIBAS SPONSORED ADR          | 05565A202         | 5                                     | 05/15/08            | 01/06/09              | \$115 29                                   | \$272 85 | \$-157 56        |
| BNP PARIBAS SPONSORED ADR          | 05565A202         | 1                                     | 02/14/08            | 01/06/09              | \$23 06                                    | \$45 16  | \$-22 10         |
| BANCO SANTANDER CENTRAL HISPANO SA | 05964H105         | 10                                    | 01/09/08            | 01/06/09              | \$98 59                                    | \$202 25 | \$-103 66        |
| BANCO SANTANDER CENTRAL HISPANO SA | 05964H105         | 6                                     | 02/14/08            | 01/06/09              | \$59 16                                    | \$105 04 | \$-45 88         |
| BANCOLOMBIA S A                    | 05968L102         | 10                                    | 07/30/08            | 01/06/09              | \$239 39                                   | \$350 19 | \$-110 80        |
| BANCOLOMBIA S A                    | 05968L102         | 7                                     | 07/29/08            | 01/06/09              | \$167 58                                   | \$237 44 | \$-69 86         |
| BARD C R INC                       | 067383109         | 6                                     | 10/06/08            | 01/06/09              | \$495 35                                   | \$534 56 | \$-39 21         |
| BAXTER INTERNATIONAL INC           | 071813109         | 5                                     | 09/16/08            | 01/06/09              | \$269 45                                   | \$341 63 | \$-72 18         |
| BOEING CO                          | 097023105         | 10                                    | 08/08/08            | 01/06/09              | \$463 40                                   | \$668 31 | \$-204 91        |
| BOEING CO                          | 097023105         | 12                                    | 08/12/08            | 01/06/09              | \$556 07                                   | \$793 20 | \$-237 13        |
| BRINKS CO                          | 109696104         | 5                                     | 09/09/08            | 01/06/09              | \$138 30                                   | \$190 82 | \$-52 52         |
| BRINKS CO                          | 109696104         | 5                                     | 09/10/08            | 01/06/09              | \$138 29                                   | \$189 19 | \$-50 90         |
| BRINKS HOME SECURITY HLD-W/I       | 109699108         | 5                                     | 09/09/08            | 01/06/09              | \$113 10                                   | \$155 19 | \$-42 09         |
| BRINKS HOME SECURITY HLD-W/I       | 109699108         | 5                                     | 09/10/08            | 01/06/09              | \$113 09                                   | \$153 85 | \$-40 76         |
| BRITISH AMERN TOB PLC              | 110448107         | 3                                     | 07/30/08            | 01/06/09              | \$162 21                                   | \$222 98 | \$-60 77         |
| BRITISH AMERN TOB PLC              | 110448107         | 5                                     | 07/31/08            | 01/06/09              | \$270 34                                   | \$365 37 | \$-95 03         |
| BROADCOM CORP                      | 111320107         | 33                                    | 07/11/08            | 01/06/09              | \$617 42                                   | \$923 50 | \$-306 08        |
| BROADCOM CORP                      | 111320107         | 4                                     | 07/25/08            | 01/06/09              | \$74 84                                    | \$92 44  | \$-17 60         |
| CANADIAN PAC RY LTD                | 13645T100         | 9                                     | 07/22/08            | 01/06/09              | \$349 82                                   | \$582 00 | \$-232 18        |
| CANON INC ADR REPTG 5 SHS          | 138006309         | 8                                     | 07/23/08            | 01/06/09              | \$260 39                                   | \$390 00 | \$-129 61        |



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| CANON INC ADR REPSTG 5 SHS        | 138006309         | 5                                     | 07/22/08            | 01/06/09              | \$162.75                                   | \$241.00   | \$-78.25         |
| CARNIVAL PLC ADR                  | 14365C103         | 2                                     | 07/23/08            | 01/06/09              | \$48.72                                    | \$75.60    | \$-26.88         |
| CARNIVAL PLC ADR                  | 14365C103         | 5                                     | 07/24/08            | 01/06/09              | \$121.79                                   | \$184.00   | \$-62.21         |
| CENTRAL EUROPEAN DISTR CORP       | 153435102         | 8                                     | 07/10/08            | 01/06/09              | \$194.71                                   | \$589.26   | \$-394.55        |
| CENTRAL EUROPEAN DISTR CORP       | 153435102         | 4                                     | 09/08/08            | 01/06/09              | \$97.36                                    | \$216.16   | \$-118.80        |
| CHURCH & DWIGHT INC               | 171340102         | 11                                    | 01/10/08            | 01/06/09              | \$605.10                                   | \$616.00   | \$-10.90         |
| COCA COLA                         | 191216100         | 7                                     | 04/07/08            | 01/06/09              | \$313.04                                   | \$423.15   | \$-110.11        |
| COCA COLA                         | 191216100         | 5                                     | 09/11/08            | 01/06/09              | \$223.60                                   | \$268.93   | \$-45.33         |
| COCA-COLA FEMSA SERIES L          | 191241108         | 4                                     | 08/06/08            | 01/06/09              | \$168.00                                   | \$248.04   | \$-80.04         |
| COCA-COLA FEMSA SERIES L          | 191241108         | 5                                     | 08/04/08            | 01/06/09              | \$209.99                                   | \$289.31   | \$-79.32         |
| COMPANHIA DE SANEAMENTO BASICO DO | 20441A102         | 4                                     | 08/06/08            | 01/06/09              | \$98.40                                    | \$209.88   | \$-111.48        |
| COMPANHIA DE SANEAMENTO BASICO DO | 20441A102         | 5                                     | 08/05/08            | 01/06/09              | \$123.00                                   | \$256.50   | \$-133.50        |
| COMPANHIA DE SANEAMENTO BASICO DO | 20441A102         | 5                                     | 08/04/08            | 01/06/09              | \$123.00                                   | \$249.28   | \$-126.28        |
| COMPANHIA DE SANEAMENTO BASICO DO | 20441A102         | 2                                     | 08/01/08            | 01/06/09              | \$49.20                                    | \$99.52    | \$-50.32         |
| FRANKLIN RESOURCES INC            | 354613101         | 32                                    | 01/06/09            | 01/15/09              | \$1,698.06                                 | \$2,239.36 | \$-541.30        |
| JOHNSON CONTROLS INC              | 478366107         | 53                                    | 01/06/09            | 01/20/09              | \$787.50                                   | \$1,020.25 | \$-232.75        |
| GENERAL DYNAMICS CORP             | 369550108         | 23                                    | 01/06/09            | 01/20/09              | \$1,214.03                                 | \$1,407.14 | \$-193.11        |
| US BANCORP DEL NEW                | 902973304         | 31                                    | 01/06/09            | 01/20/09              | \$517.49                                   | \$738.73   | \$-221.24        |
| TRANSOCEAN LTD                    | H8817H100         | 15                                    | 01/06/09            | 01/20/09              | \$715.04                                   | \$853.95   | \$-138.91        |
| AFLAC CORP                        | 001055102         | 52                                    | 01/06/09            | 01/27/09              | \$1,078.79                                 | \$2,373.28 | \$-1,294.49      |
| PNC BANK CORP                     | 693475105         | 26                                    | 01/06/09            | 01/27/09              | \$800.28                                   | \$1,267.24 | \$-466.96        |
| US BANCORP DEL NEW                | 902973304         | 51                                    | 01/06/09            | 01/27/09              | \$678.30                                   | \$1,215.33 | \$-537.03        |
| NATIONAL-OILWELL INC              | 637071101         | 106                                   | 12/31/08            | 02/09/09              | \$3,179.53                                 | \$2,638.34 | \$541.19         |
| RESEARCH IN MOTION LTD            | 760975102         | 7                                     | 08/12/08            | 02/11/09              | \$330.97                                   | \$908.84   | \$-577.87        |
| EXPEDITORS INTERNATIONAL WASH INC | 302130109         | 22                                    | 12/31/08            | 02/11/09              | \$701.22                                   | \$738.54   | \$-37.32         |
| RESEARCH IN MOTION LTD            | 760975102         | 16                                    | 12/31/08            | 02/11/09              | \$756.49                                   | \$28.87    | \$727.62         |



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| RESEARCH IN MOTION LTD          | 760975102         | 38                                    | 12/31/08            | 02/20/09              | \$1,469 08                                 | \$1,549 26 | \$-80 18         |
| DISNEY WALT CO                  | 254687106         | 59                                    | 01/06/09            | 02/23/09              | \$1,004 95                                 | \$1,435 47 | \$-430 52        |
| EXXON MOBIL CORP                | 30231G102         | 7                                     | 01/06/09            | 02/23/09              | \$489 35                                   | \$561 54   | \$-72 19         |
| WELLS FARGO & CO (NEW)          | 949746101         | 54                                    | 01/06/09            | 02/23/09              | \$599 02                                   | \$1,483 92 | \$-884 90        |
| AETNA U S HEALTHCARE INC        | 00817Y108         | 27                                    | 01/06/09            | 03/04/09              | \$589 97                                   | \$819 45   | \$-229 48        |
| INTERNATIONAL BUSINESS MACHINES | 459200101         | 5                                     | 01/06/09            | 03/04/09              | \$454 15                                   | \$446 65   | \$7 50           |
| XTO ENERGY INC                  | 98385X106         | 28                                    | 01/06/09            | 03/04/09              | \$897 38                                   | \$1,115 52 | \$-218 14        |
| KIMBERLY CLARK CORP             | 494368103         | 12                                    | 01/06/09            | 03/12/09              | \$534 63                                   | \$633 24   | \$-98 61         |
| METLIFE INC                     | 59156R108         | 32                                    | 01/06/09            | 03/12/09              | \$485 47                                   | \$1,140 80 | \$-655 33        |
| DEVON ENERGY CORPORATION NEW    | 25179M103         | 10                                    | 01/06/09            | 03/20/09              | \$471 90                                   | \$471 90   | \$0 00           |
| UNITED TECHNOLOGIES CORP        | 913017109         | 9                                     | 01/06/09            | 03/20/09              | \$365 59                                   | \$494 28   | \$-128 69        |
| LOCKHEED MARTIN CORP            | 539830109         | 5                                     | 01/06/09            | 03/20/09              | \$338 60                                   | \$420 35   | \$-81 75         |
| DEVON ENERGY CORPORATION NEW    | 25179M103         | 2                                     | 01/06/09            | 03/20/09              | \$94 38                                    | \$140 72   | \$-46 34         |
| CONOCOPHILLIPS                  | 20825C104         | 31                                    | 01/06/09            | 03/20/09              | \$1,177 99                                 | \$1,722 98 | \$-544 99        |
| ALLERGAN INC                    | 018490102         | 40                                    | 12/31/08            | 04/01/09              | \$1,900 74                                 | \$1,598 33 | \$302 41         |
| CELGENE CORP COM                | 151020104         | 18                                    | 12/31/08            | 04/01/09              | \$685 36                                   | \$993 60   | \$-308 24        |
| CME GROUP INC                   | 12572Q105         | 5                                     | 12/31/08            | 04/01/09              | \$1,187 58                                 | \$1,023 30 | \$164 28         |
| GOLDMAN SACHS GROUP INC         | 38141G104         | 15                                    | 12/31/08            | 04/01/09              | \$1,652 24                                 | \$1,265 55 | \$386 69         |
| JP MORGAN CHASE & CO            | 46625H100         | 18                                    | 01/06/09            | 04/03/09              | \$499 57                                   | \$499 57   | \$0 00           |
| JP MORGAN CHASE & CO            | 46625H100         | 3                                     | 01/06/09            | 04/03/09              | \$83 26                                    | \$89 43    | \$-6 17          |
| SCHERING PLOUGH CORP            | 806605101         | 52                                    | 01/06/09            | 04/03/09              | \$1,216 81                                 | \$923 52   | \$293 29         |
| TIME WARNER CABLE INC           | 88732J207         | 12                                    | 01/06/09            | 04/14/09              | \$332 40                                   | \$390 98   | \$-58 58         |
| KIMBERLY CLARK CORP             | 494368103         | 9                                     | 01/06/09            | 04/14/09              | \$432 90                                   | \$474 93   | \$-42 03         |
| TIME WARNER CABLE INC           | 88732J207         | 0 63                                  | 01/06/09            | 04/17/09              | \$17 65                                    | \$20 66    | \$-3 01          |
| TIME WARNER INC                 | 887317303         | 0 33                                  | 01/06/09            | 04/17/09              | \$7 25                                     | \$8 27     | \$-1 02          |
| RAYTHEON CO NEW                 | 755111507         | 22                                    | 01/20/09            | 04/21/09              | \$906 08                                   | \$1,141 34 | \$-235 26        |



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| PUBLIC SERVICE ENTERPRISE GROUP INC | 744573106         | 25                                    | 01/06/09            | 04/21/09              | \$720 31                                   | \$775 50   | \$-55 19         |
| PHILIP MORRIS INTL INC              | 718172109         | 6                                     | 07/20/08            | 04/21/09              | \$221 03                                   | \$316 94   | \$-95 91         |
| PHILIP MORRIS INTL INC              | 718172109         | 25                                    | 07/14/08            | 04/21/09              | \$920 96                                   | \$1,329 33 | \$-408 37        |
| PHILIP MORRIS INTL INC              | 718172109         | 8                                     | 09/11/08            | 04/21/09              | \$294 71                                   | \$435 92   | \$-141 21        |
| JP MORGAN CHASE & CO                | 46625H100         | 12                                    | 01/06/09            | 04/21/09              | \$376 23                                   | \$357 72   | \$18 51          |
| EDISON INTERNATIONAL                | 281020107         | 37                                    | 01/06/09            | 04/21/09              | \$1,040 24                                 | \$1,233 95 | \$-193 71        |
| EDISON INTERNATIONAL                | 281020107         | 13                                    | 01/27/09            | 04/21/09              | \$365 49                                   | \$437 84   | \$-72 35         |
| COMCAST CORP NEW CL A               | 20030N101         | 34                                    | 01/06/09            | 04/21/09              | \$481 15                                   | \$585 82   | \$-104 67        |
| CVS CORPORATION DEL                 | 126650100         | 10                                    | 01/06/09            | 04/21/09              | \$299 11                                   | \$294 10   | \$5 01           |
| AMGEN INC                           | 031162100         | 11                                    | 01/06/09            | 04/21/09              | \$502 05                                   | \$641 19   | \$-139 14        |
| JOHNSON AND JOHNSON                 | 478160104         | 19                                    | 01/06/09            | 04/21/09              | \$996 99                                   | \$1,134 30 | \$-137 31        |
| UNITED TECHNOLOGIES CORP            | 913017109         | 7                                     | 01/06/09            | 04/21/09              | \$335 50                                   | \$384 44   | \$-48 94         |
| TRAVELERS COS INC                   | 89417E109         | 10                                    | 01/06/09            | 04/21/09              | \$413 02                                   | \$432 80   | \$-19 78         |
| SCHERING PLOUGH CORP                | 806605101         | 21                                    | 01/06/09            | 04/21/09              | \$464 29                                   | \$372 96   | \$91 33          |
| VERIZON COMMUNICATIONS              | 92343V104         | 10                                    | 01/06/09            | 04/27/09              | \$302 59                                   | \$319 70   | \$-17 11         |
| CHUBB CORP                          | 171232101         | 15                                    | 09/22/08            | 04/27/09              | \$607 31                                   | \$895 86   | \$-288 55        |
| CHUBB CORP                          | 171232101         | 38                                    | 01/06/09            | 04/27/09              | \$1,538 53                                 | \$1,857 82 | \$-319 29        |
| TRAVELERS COS INC                   | 89417E109         | 9                                     | 01/06/09            | 04/27/09              | \$368 68                                   | \$389 52   | \$-20 84         |
| ACE LTD                             | H0023R105         | 11                                    | 01/06/09            | 04/27/09              | \$495 86                                   | \$564 63   | \$-68 77         |
| COACH INC                           | 189754104         | 51                                    | 12/31/08            | 04/28/09              | \$1,207 90                                 | \$1,058 95 | \$148 95         |
| EMERSON ELECTRIC CO                 | 291011104         | 12                                    | 01/06/09            | 05/11/09              | \$424 60                                   | \$470 04   | \$-45 44         |
| WELLS FARGO & CO (NEW)              | 949746101         | 12                                    | 04/27/09            | 05/11/09              | \$325 04                                   | \$246 44   | \$78 60          |
| VERIZON COMMUNICATIONS              | 92343V104         | 18                                    | 01/06/09            | 05/11/09              | \$535 90                                   | \$575 46   | \$-39 56         |
| TRAVELERS COS INC                   | 89417E109         | 24                                    | 01/06/09            | 05/11/09              | \$908 51                                   | \$1,038 72 | \$-130 21        |
| SCHERING PLOUGH CORP                | 806605101         | 27                                    | 01/06/09            | 05/11/09              | \$614 93                                   | \$479 52   | \$135 41         |
| PHILIP MORRIS INTL INC              | 718172109         | 16                                    | 07/20/08            | 05/11/09              | \$648 78                                   | \$845 16   | \$-196 38        |



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Bank of America Private Wealth Management

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## 2009 Tax Information Letter

Account Number 022001527217

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### Short term transactions

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| Description<br>(Box 7)        | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax cost   | Net gain or loss |
|-------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| PG & E CORP                   | 69331C108         | 10                                    | 01/27/09            | 05/11/09              | \$367 15                                   | \$388 19   | \$-21 04         |
| WELLS FARGO & CO (NEW)        | 949746101         | 25                                    | 01/06/09            | 05/11/09              | \$677 18                                   | \$677 18   | \$0 00           |
| COMCAST CORP NEW CL A         | 20030N101         | 55                                    | 01/06/09            | 05/11/09              | \$847 69                                   | \$947 65   | \$-99 96         |
| AT&T INC                      | 00206R102         | 25                                    | 01/06/09            | 05/11/09              | \$634 69                                   | \$707 75   | \$-73 06         |
| AETNA U S HEALTHCARE INC      | 00817Y108         | 24                                    | 01/06/09            | 05/11/09              | \$629 89                                   | \$728 40   | \$-98 51         |
| APACHE CORP                   | 037411105         | 4                                     | 01/06/09            | 05/11/09              | \$327 77                                   | \$342 36   | \$-14 59         |
| CAPITAL ONE FINL CORP         | 14040H105         | 13                                    | 04/27/09            | 05/11/09              | \$360 74                                   | \$219 31   | \$141 43         |
| PG & E CORP                   | 69331C108         | 17                                    | 01/06/09            | 05/20/09              | \$597 86                                   | \$647 70   | \$-49 84         |
| CLOROX CO                     | 189054109         | 11                                    | 02/23/09            | 05/20/09              | \$584 67                                   | \$534 49   | \$50 18          |
| KROGER CO                     | 501044101         | 21                                    | 01/06/09            | 05/20/09              | \$466 22                                   | \$532 98   | \$-66 76         |
| PG & E CORP                   | 69331C108         | 1                                     | 01/27/09            | 05/20/09              | \$35 17                                    | \$38 82    | \$-3 65          |
| METLIFE INC                   | 59156R108         | 22                                    | 01/06/09            | 05/20/09              | \$696 37                                   | \$696 37   | \$0 00           |
| MONSANTO CO NEW               | 61166W101         | 1                                     | 12/31/08            | 05/26/09              | \$85 84                                    | \$70 64    | \$15 20          |
| CVS CORPORATION DEL           | 126650100         | 88                                    | 12/31/08            | 05/26/09              | \$2 623 28                                 | \$2,330 00 | \$93 28          |
| EDISON INTERNATIONAL          | 281020107         | 23                                    | 01/06/09            | 05/29/09              | \$666 95                                   | \$767 05   | \$-100 10        |
| CAPITAL ONE FINL CORP         | 14040H105         | 20                                    | 04/27/09            | 05/29/09              | \$474 58                                   | \$337 40   | \$137 18         |
| COACH INC                     | 189754104         | 125                                   | 12/31/08            | 06/04/09              | \$3 377 34                                 | \$2,595 48 | \$781 86         |
| CELGENE CORP COM              | 151020104         | 20                                    | 12/31/08            | 06/12/09              | \$864 92                                   | \$1 104 00 | \$-239 08        |
| PROCTER & GAMBLE CO           | 742718109         | 8                                     | 04/21/09            | 06/19/09              | \$403 38                                   | \$408 85   | \$-5 47          |
| KROGER CO                     | 501044101         | 18                                    | 01/06/09            | 06/19/09              | \$387 97                                   | \$456 84   | \$-68 87         |
| JOHNSON AND JOHNSON           | 478160104         | 9                                     | 01/06/09            | 06/19/09              | \$504 91                                   | \$537 30   | \$-32 39         |
| TIME WARNER INC               | 887317303         | 14                                    | 01/06/09            | 06/19/09              | \$350 50                                   | \$347 51   | \$2 99           |
| DIAMOND OFFSHORE DRILLING INC | 25271C102         | 6                                     | 03/04/09            | 06/30/09              | \$498 22                                   | \$354 19   | \$144 03         |
| DIAMOND OFFSHORE DRILLING INC | 25271C102         | 8                                     | 03/20/09            | 06/30/09              | \$664 29                                   | \$528 08   | \$136 21         |
| DEVON ENERGY CORPORATION NEW  | 25179M103         | 2                                     | 01/06/09            | 06/30/09              | \$108 00                                   | \$140 72   | \$-32 72         |
| CAPITAL ONE FINL CORP         | 14040H105         | 13                                    | 03/26/09            | 06/30/09              | \$284 44                                   | \$193 15   | \$91 29          |



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## 2009 Tax Information Letter

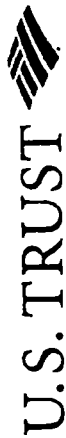
Account Number 022001527217

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### Short term transactions

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|----------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|-------------|------------------|
| CAPITAL ONE FINL CORP            | 14040H105         | 13                                    | 04/27/09            | 06/30/09              | \$284 45                                   | \$219 31    | \$65 14          |
| DEVON ENERGY CORPORATION NEW     | 25179M103         | 10                                    | 12/21/08            | 06/30/09              | \$539 98                                   | \$665 30    | \$-125 32        |
| AMGEN INC                        | 031162100         | 8                                     | 01/06/09            | 07/13/09              | \$461 85                                   | \$466 32    | \$-4 47          |
| TIME WARNER INC                  | 887317303         | 36                                    | 01/06/09            | 07/13/09              | \$873 04                                   | \$893 58    | \$-20 54         |
| PROCTER & GAMBLE CO              | 742718109         | 16                                    | 04/21/09            | 07/13/09              | \$844 95                                   | \$817 70    | \$27 25          |
| ACE LTD                          | H0023R105         | 10                                    | 01/06/09            | 07/13/09              | \$433 05                                   | \$513 30    | \$-80 25         |
| KROGER CO                        | 501044101         | 25                                    | 01/06/09            | 07/13/09              | \$541 61                                   | \$634 50    | \$-92 89         |
| SUNPOWER CORP CL A               | 867652109         | 81                                    | 12/31/08            | 07/14/09              | \$1,806 84                                 | \$2,971 08  | \$-1,164 24      |
| CME GROUP INC                    | 12572Q105         | 3                                     | 12/31/08            | 07/14/09              | \$796 36                                   | \$613 98    | \$182 38         |
| APPLE COMPUTER INC               | 037833100         | 15                                    | 12/31/08            | 07/22/09              | \$2,364 64                                 | \$1,312 05  | \$1,052 59       |
| BIOGEN IDEC INC                  | 09062X103         | 8                                     | 04/21/09            | 08/05/09              | \$380 90                                   | \$384 22    | \$-3 32          |
| BIOGEN IDEC INC                  | 09062X103         | 12                                    | 01/27/09            | 08/05/09              | \$571 35                                   | \$592 56    | \$-21 21         |
| METLIFE INC                      | 59156R108         | 20                                    | 01/06/09            | 08/05/09              | \$740 09                                   | \$713 00    | \$27 09          |
| KROGER CO                        | 501044101         | 26                                    | 01/06/09            | 08/05/09              | \$558 21                                   | \$659 88    | \$-101 67        |
| ISHARES TR GOLDMAN SACHS CORP BD | 464287242         | 275                                   | 01/20/09            | 08/06/09              | \$28,219 77                                | \$27,579 75 | \$640 02         |
| FIRSTENERGY CORP                 | 337932107         | 9                                     | 01/06/09            | 08/17/09              | \$391 87                                   | \$460 71    | \$-68 84         |
| JOHNSON AND JOHNSON              | 478160104         | 4                                     | 01/06/09            | 08/17/09              | \$239 05                                   | \$238 80    | \$0 25           |
| KROGER CO                        | 501044101         | 33                                    | 01/06/09            | 08/17/09              | \$692 98                                   | \$837 54    | \$-144 56        |
| NESTLE S A ADR REG               | 641069406         | 10                                    | 01/06/09            | 08/17/09              | \$387 25                                   | \$381 00    | \$6 25           |
| TIX COS INC NEW                  | 872540109         | 8                                     | 06/15/09            | 08/17/09              | \$281 69                                   | \$241 99    | \$39 70          |
| TRAVELERS COS INC                | 89417E109         | 18                                    | 09/11/08            | 08/17/09              | \$842 50                                   | \$945 90    | \$-103 40        |
| UNITEDHEALTH GROUP INC           | 91324P102         | 17                                    | 05/11/09            | 08/17/09              | \$485 83                                   | \$470 03    | \$15 80          |
| STAPLES INC                      | 855030102         | 22                                    | 08/19/09            | 08/20/09              | \$464 76                                   | \$557 42    | \$-92 66         |
| JP MORGAN CHASE & CO             | 46625H100         | 11                                    | 09/19/08            | 09/01/09              | \$463 53                                   | \$500 54    | \$-37 01         |
| COMCAST CORP NEW CL A            | 20030N101         | 46                                    | 02/23/09            | 09/01/09              | \$693 89                                   | \$587 47    | \$106 42         |
| NORTHERN TRUST CORP              | 665859104         | 6                                     | 01/15/09            | 09/01/09              | \$340 91                                   | \$281 23    | \$59 68          |



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### Short term transactions

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|------------------------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|-------------|------------------|
| NESTLE S A ADR REG                             | 641069406         | 24                                    | 01/06/09            | 09/01/09              | \$978 93                                   | \$914 40    | \$64 53          |
| COMCAST CORP NEW CL A                          | 20030N101         | 34                                    | 01/06/09            | 09/01/09              | \$512 88                                   | \$585 82    | \$-72 94         |
| CVS CORPORATION DEL                            | 126650100         | 19                                    | 01/06/09            | 09/01/09              | \$701 00                                   | \$558 79    | \$142 21         |
| MONSANTO CO NEW                                | 61166W101         | 24                                    | 12/31/08            | 09/03/09              | \$1,954 86                                 | \$1,695 42  | \$259 44         |
| MONSANTO CO NEW                                | 61166W101         | 2                                     | 09/09/08            | 09/03/09              | \$162 90                                   | \$202 19    | \$-39 29         |
| ISHARES TR GOLDMAN SACHS CORP BD               | 464287242         | 960                                   | 01/20/09            | 09/09/09              | \$100,327 02                               | \$96,278 40 | \$4,048 62       |
| APOLLO GROUP INC CL A                          | 037604105         | 17                                    | 12/31/08            | 09/10/09              | \$1,138 46                                 | \$1,138 46  | \$0 00           |
| ATHENAHEALTH INC                               | 04685W103         | 18                                    | 02/24/09            | 09/10/09              | \$714 94                                   | \$633 79    | \$81 15          |
| CME GROUP INC                                  | 12572Q105         | 3                                     | 12/31/08            | 09/10/09              | \$826 02                                   | \$613 98    | \$212 04         |
| CVS CORPORATION DEL                            | 126650100         | 37                                    | 12/31/08            | 09/10/09              | \$1,354 53                                 | \$1,063 75  | \$290 78         |
| CELGENE CORP COM                               | 151020104         | 30                                    | 12/31/08            | 09/10/09              | \$1,541 06                                 | \$1,656 01  | \$-114 95        |
| COGNIZANT TECHNOLOGY SOLUTIONS                 | 192446102         | 68                                    | 12/31/08            | 09/10/09              | \$2,548 06                                 | \$1,221 96  | \$1,326 10       |
| EXPEDITORS INTERNATIONAL WASH INC              | 302130109         | 29                                    | 12/31/08            | 09/10/09              | \$1,002 50                                 | \$973 53    | \$28 97          |
| FREEMPORT-MCMORAN COPPER & GOLD CL B 35671D857 |                   | 9                                     | 09/03/09            | 09/10/09              | \$619 90                                   | \$577 94    | \$41 96          |
| GILEAD SCIENCES INC                            | 375558103         | 16                                    | 12/31/08            | 09/10/09              | \$742 22                                   | \$822 56    | \$-80 34         |
| GOLDMAN SACHS GROUP INC                        | 38141G104         | 9                                     | 12/31/08            | 09/10/09              | \$1,572 61                                 | \$759 33    | \$813 28         |
| GOOGLE INC CL A                                | 38259P508         | 2                                     | 12/31/08            | 09/10/09              | \$940 07                                   | \$619 40    | \$320 67         |
| INTUITIVE SURGICAL INC NEW                     | 46120E602         | 6                                     | 12/31/08            | 09/10/09              | \$1,469 66                                 | \$757 56    | \$712 10         |
| JUNIPER NETWORKS INC                           | 48203R104         | 26                                    | 05/26/09            | 09/10/09              | \$690 54                                   | \$626 70    | \$63 84          |
| JUNIPER NETWORKS INC                           | 48203R104         | 21                                    | 12/31/08            | 09/10/09              | \$557 74                                   | \$371 07    | \$186 67         |
| LOWES COMPANIES INC                            | 548661107         | 33                                    | 04/28/09            | 09/10/09              | \$723 10                                   | \$704 24    | \$18 86          |
| LOWES COMPANIES INC                            | 548661107         | 17                                    | 09/03/09            | 09/10/09              | \$372 50                                   | \$359 84    | \$12 66          |
| MASTERCARD INC CL A                            | 57636Q104         | 7                                     | 12/31/08            | 09/10/09              | \$1,479 83                                 | \$1,007 65  | \$472 18         |
| MICROSOFT CORP                                 | 594918104         | 54                                    | 07/23/09            | 09/10/09              | \$1,348 34                                 | \$1,371 59  | \$-23 25         |
| MONSANTO CO NEW                                | 61166W101         | 8                                     | 12/31/08            | 09/10/09              | \$634 38                                   | \$565 14    | \$69 24          |
| POTASH CORP SASK INC                           | 73755L107         | 8                                     | 05/26/09            | 09/10/09              | \$722 77                                   | \$937 02    | \$-214 25        |



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## 2009 Tax Information Letter

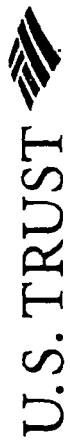
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|------------------------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| POTASH CORP SASK INC                           | 73755L107         | 1                                     | 04/28/09            | 09/10/09              | \$90 35                                    | \$82 99    | \$7 36           |
| SCHLUMBERGER LTD                               | 806857108         | 5                                     | 12/31/08            | 09/10/09              | \$291 49                                   | \$212 70   | \$78 79          |
| SCHWAB CHARLES CORP NEW                        | 808513105         | 60                                    | 05/26/09            | 09/10/09              | \$1,088 37                                 | \$1,049 13 | \$39 24          |
| TARGET CORP                                    | 87612E106         | 16                                    | 04/28/09            | 09/10/09              | \$764 94                                   | \$641 86   | \$123 08         |
| TARGET CORP                                    | 87612E106         | 11                                    | 06/17/09            | 09/10/09              | \$525 89                                   | \$433 46   | \$92 43          |
| TEVA PHARMACEUTICAL INDS LTD                   | 881624209         | 31                                    | 06/17/09            | 09/10/09              | \$1,624 05                                 | \$1,497 54 | \$126 51         |
| UNION PACIFIC CORP                             | 907818108         | 17                                    | 12/31/08            | 09/10/09              | \$1,083 55                                 | \$814 13   | \$269 42         |
| COLUMBIA FDS SER TR SMALL CAP                  | 19765J814         | 449 64                                | 07/14/09            | 09/10/09              | \$5,903 77                                 | \$5,000 00 | \$903 77         |
| AMAZON COM INC                                 | 023135106         | 12                                    | 05/26/09            | 09/10/09              | \$1,000 77                                 | \$937 32   | \$63 45          |
| COLUMBIA FDS SER TR MARSICO INTL               | 19765H636         | 568 83                                | 07/14/09            | 09/10/09              | \$5,995 45                                 | \$5,000 00 | \$995 45         |
| ACTIVISION BLIZZARD INC                        | 00507V109         | 28                                    | 12/31/08            | 09/10/09              | \$323 46                                   | \$243 04   | \$80 42          |
| ALLERGAN INC                                   | 018490102         | 21                                    | 12/31/08            | 09/10/09              | \$1,203 05                                 | \$839 12   | \$363 93         |
| FIFTH THIRD BANCORP                            | 316773100         | 20                                    | 08/17/09            | 09/11/09              | \$194 39                                   | \$195 79   | \$-1 40          |
| FIRSTENERGY CORP                               | 337932107         | 12                                    | 01/06/09            | 09/11/09              | \$550 06                                   | \$614 28   | \$-64 22         |
| FREEMPORT-MCMORAN COPPER & GOLD CL B 35671D857 |                   | 4                                     | 06/15/09            | 09/11/09              | \$281 63                                   | \$221 76   | \$59 87          |
| GENERAL DYNAMICS CORP                          | 369550108         | 2                                     | 01/06/09            | 09/11/09              | \$126 60                                   | \$122 36   | \$4 24           |
| GENERAL ELECTRIC CO                            | 369604103         | 28                                    | 08/17/09            | 09/11/09              | \$411 31                                   | \$374 61   | \$36 70          |
| GOLDMAN SACHS GROUP INC                        | 38141G104         | 3                                     | 09/01/09            | 09/11/09              | \$526 73                                   | \$485 27   | \$41 46          |
| GOLDMAN SACHS GROUP INC                        | 38141G104         | 2                                     | 06/15/09            | 09/11/09              | \$351 15                                   | \$287 81   | \$63 34          |
| GOLDMAN SACHS GROUP INC                        | 38141G104         | 1                                     | 04/21/09            | 09/11/09              | \$175 57                                   | \$119 19   | \$56 38          |
| HESS CORP                                      | 42809H107         | 2                                     | 03/20/09            | 09/11/09              | \$106 12                                   | \$123 13   | \$-17 01         |
| HESS CORP                                      | 42809H107         | 13                                    | 03/20/09            | 09/11/09              | \$689 76                                   | \$689 76   | \$0 00           |
| HEWLETT PACKARD CO                             | 428236103         | 1                                     | 01/06/09            | 09/11/09              | \$46 12                                    | \$39 26    | \$6 86           |
| INTEL CORP                                     | 458140100         | 14                                    | 09/01/09            | 09/11/09              | \$273 13                                   | \$276 37   | \$-3 24          |
| INTERNATIONAL BUSINESS MACHINES                | 459200101         | 1                                     | 01/06/09            | 09/11/09              | \$118 25                                   | \$89 33    | \$28 92          |
| JP MORGAN CHASE & CO                           | 46625H100         | 14                                    | 09/19/08            | 09/11/09              | \$598 34                                   | \$637 06   | \$-38 72         |



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|-------------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|----------|------------------|
| JP MORGAN CHASE & CO                | 46625H100         | 10                                    | 01/06/09            | 09/11/09              | \$427 39                                   | \$298 10 | \$129 29         |
| LINCOLN NATIONAL CORP               | 534187109         | 11                                    | 08/05/09            | 09/11/09              | \$274 55                                   | \$250 36 | \$24 19          |
| LOCKHEED MARTIN CORP                | 539830109         | 5                                     | 09/17/08            | 09/11/09              | \$378 24                                   | \$554 36 | \$-176 12        |
| MASTERCARD INC CL A                 | 57636Q104         | 2                                     | 09/01/09            | 09/11/09              | \$418 55                                   | \$405 21 | \$13 34          |
| MCDONALDS CORP                      | 580135101         | 6                                     | 04/21/09            | 09/11/09              | \$326 39                                   | \$333 89 | \$-7 50          |
| MCDONALDS CORP                      | 580135101         | 8                                     | 09/01/09            | 09/11/09              | \$435 19                                   | \$444 92 | \$-9 73          |
| MERCK AND CO INC                    | 589331107         | 14                                    | 01/06/09            | 09/11/09              | \$455 97                                   | \$419 02 | \$36 95          |
| METLIFE INC                         | 59156R108         | 6                                     | 01/06/09            | 09/11/09              | \$234 12                                   | \$213 90 | \$20 22          |
| METLIFE INC                         | 59156R108         | 4                                     | 12/14/08            | 09/11/09              | \$156 07                                   | \$128 69 | \$27 38          |
| METLIFE INC                         | 59156R108         | 2                                     | 12/08/08            | 09/11/09              | \$78 04                                    | \$60 79  | \$17 25          |
| MICROSOFT CORP                      | 594918104         | 4                                     | 06/15/09            | 09/11/09              | \$99 39                                    | \$93 12  | \$6 27           |
| NRG ENERGY INC NEW                  | 629377508         | 5                                     | 03/04/09            | 09/11/09              | \$134 19                                   | \$88 46  | \$45 73          |
| NESTLE S A ADR REG                  | 641069406         | 15                                    | 01/06/09            | 09/11/09              | \$630 58                                   | \$571 50 | \$99 08          |
| NORTHERN TRUST CORP                 | 665859104         | 5                                     | 01/15/09            | 09/11/09              | \$293 04                                   | \$234 36 | \$58 68          |
| NUCOR CORP                          | 670346105         | 6                                     | 01/06/09            | 09/11/09              | \$278 81                                   | \$273 30 | \$5 51           |
| ORACLE CORPORATION                  | 68389X105         | 8                                     | 03/26/09            | 09/11/09              | \$183 45                                   | \$148 99 | \$34 46          |
| PNC BANK CORP                       | 693475105         | 18                                    | 04/27/09            | 09/11/09              | \$763 00                                   | \$755 85 | \$7 15           |
| PEPSICO INC                         | 713448108         | 9                                     | 05/20/09            | 09/11/09              | \$529 93                                   | \$470 38 | \$59 55          |
| PEPSICO INC                         | 713448108         | 3                                     | 04/21/09            | 09/11/09              | \$176 64                                   | \$147 86 | \$28 78          |
| PRUDENTIAL FINL INC                 | 744320102         | 12                                    | 08/17/09            | 09/11/09              | \$586 66                                   | \$530 64 | \$56 02          |
| PRUDENTIAL FINL INC                 | 744320102         | 7                                     | 05/20/09            | 09/11/09              | \$342 22                                   | \$301 33 | \$40 89          |
| PUBLIC SERVICE ENTERPRISE GROUP INC | 744573106         | 17                                    | 01/06/09            | 09/11/09              | \$524 77                                   | \$527 34 | \$-2 57          |
| TARGET CORP                         | 87612E106         | 8                                     | 07/27/09            | 09/11/09              | \$383 43                                   | \$338 30 | \$45 13          |
| THERMO ELECTRON CORP                | 883556102         | 6                                     | 01/06/09            | 09/11/09              | \$283 31                                   | \$211 56 | \$71 75          |
| TRAVELERS COS INC                   | 89417E109         | 4                                     | 09/11/08            | 09/11/09              | \$194 55                                   | \$210 20 | \$-15 65         |
| US BANCORP DEL NEW                  | 902973304         | 11                                    | 05/11/09            | 09/11/09              | \$241 55                                   | \$204 89 | \$36 66          |



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## 2009 Tax Information Letter

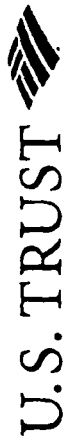
Account Number 022001527217

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### Short term transactions

This category includes all assets held 12 months or less.

| Description<br>(Box 7)            | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax cost | Net gain or loss |
|-----------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|----------|------------------|
| UNITED TECHNOLOGIES CORP          | 913017109         | 10                                    | 01/06/09            | 09/11/09              | \$618.78                                   | \$549.20 | \$69.58          |
| UNITEDHEALTH GROUP INC            | 91324P102         | 10                                    | 05/11/09            | 09/11/09              | \$290.49                                   | \$276.49 | \$14.00          |
| WELLS FARGO & CO (NEW)            | 949746101         | 9                                     | 12/23/08            | 09/11/09              | \$248.12                                   | \$188.37 | \$59.75          |
| XTO ENERGY INC                    | 98385X106         | 8                                     | 08/17/09            | 09/11/09              | \$323.99                                   | \$311.74 | \$12.25          |
| COVIDIEN LTD                      | G2554F105         | 10                                    | 01/12/09            | 09/11/09              | \$418.89                                   | \$371.56 | \$47.33          |
| INVECO LTD SHS                    | G491BT108         | 14                                    | 06/15/09            | 09/11/09              | \$314.15                                   | \$255.28 | \$58.87          |
| ACE LTD                           | H0023R105         | 6                                     | 01/06/09            | 09/11/09              | \$307.73                                   | \$307.98 | \$-0.25          |
| TRANSOCEAN LTD                    | H8817H100         | 2                                     | 06/30/09            | 09/11/09              | \$163.09                                   | \$148.18 | \$14.91          |
| AIR PRODUCTS & CHEMICALS INC      | 009158106         | 6                                     | 01/06/09            | 09/11/09              | \$442.72                                   | \$355.98 | \$86.74          |
| AMERICAN ELECTRIC POWER INC       | 025537101         | 19                                    | 04/21/09            | 09/11/09              | \$583.09                                   | \$510.54 | \$72.55          |
| AMERICAN EXPRESS CO               | 025816109         | 9                                     | 09/01/09            | 09/11/09              | \$308.78                                   | \$290.33 | \$18.45          |
| AMGEN INC                         | 031162100         | 12                                    | 01/06/09            | 09/11/09              | \$703.66                                   | \$699.48 | \$4.18           |
| ANADARKO PETROLEUM                | 032511107         | 8                                     | 08/17/09            | 09/11/09              | \$469.67                                   | \$393.80 | \$75.87          |
| ANADARKO PETROLEUM                | 032511107         | 12                                    | 06/19/09            | 09/11/09              | \$704.50                                   | \$541.90 | \$162.60         |
| APACHE CORP                       | 037411105         | 7                                     | 08/05/09            | 09/11/09              | \$641.18                                   | \$611.46 | \$29.72          |
| APPLIED MATERIALS INC             | 038222105         | 18                                    | 09/01/09            | 09/11/09              | \$243.58                                   | \$232.86 | \$10.72          |
| BEST BUY INC                      | 086516101         | 13                                    | 05/20/09            | 09/11/09              | \$516.47                                   | \$485.37 | \$31.10          |
| BEST BUY INC                      | 086516101         | 9                                     | 08/17/09            | 09/11/09              | \$357.56                                   | \$313.05 | \$44.51          |
| BHP LTD SPONSORED ADR             | 088606108         | 6                                     | 05/11/09            | 09/11/09              | \$400.43                                   | \$318.60 | \$81.83          |
| BHP LTD SPONSORED ADR             | 088606108         | 1                                     | 01/06/09            | 09/11/09              | \$66.74                                    | \$47.94  | \$18.80          |
| BOSTON SCIENTIFIC CORP COM        | 101137107         | 53                                    | 01/06/09            | 09/11/09              | \$600.60                                   | \$423.47 | \$177.13         |
| BRISTOL MYERS SQUIBB COMPANY      | 110122108         | 16                                    | 04/03/09            | 09/11/09              | \$357.43                                   | \$324.81 | \$32.62          |
| BURLINGTON NORTHERN SANTA FE CORP | 12189T104         | 6                                     | 01/06/09            | 09/11/09              | \$508.90                                   | \$488.16 | \$20.74          |
| CVS CORPORATION DEL               | 126650100         | 19                                    | 01/06/09            | 09/11/09              | \$695.38                                   | \$558.79 | \$136.59         |
| CAPITAL ONE FINL CORP             | 14040H105         | 9                                     | 03/26/09            | 09/11/09              | \$342.80                                   | \$133.72 | \$209.08         |
| CARNIVAL CORP PAIRED CTF 1 COM    | 143658300         | 11                                    | 09/01/09            | 09/11/09              | \$358.48                                   | \$313.87 | \$44.61          |



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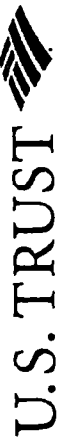
Account Number 022001527217

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## Short term transactions

This category includes all assets held 12 months or less

| Description<br>(Box 7)              | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax cost   | Net gain or loss |
|-------------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| DEERE & CO                          | 244199105         | 10                                    | 01/06/09            | 09/11/09              | \$430 39                                   | \$446 20   | \$-15 81         |
| DIAMOND OFFSHORE DRILLING INC       | 25271C102         | 1                                     | 01/20/09            | 09/11/09              | \$93 81                                    | \$56 73    | \$37 08          |
| DIAMOND OFFSHORE DRILLING INC       | 25271C102         | 2                                     | 03/04/09            | 09/11/09              | \$187 61                                   | \$118 06   | \$69 55          |
| DISCOVER FINL SVCS                  | 254709108         | 22                                    | 05/11/09            | 09/11/09              | \$324 76                                   | \$216 64   | \$108 12         |
| EMERSON ELECTRIC CO                 | 291011104         | 5                                     | 01/06/09            | 09/11/09              | \$197 24                                   | \$195 85   | \$1 39           |
| ERICSSON L M TEL CO ADR CL B        | 294821608         | 31                                    | 06/19/09            | 09/11/09              | \$319 91                                   | \$297 05   | \$22 86          |
| EXXON MOBIL CORP                    | 30231G102         | 8                                     | 01/06/09            | 09/11/09              | \$560 46                                   | \$641 76   | \$-81 30         |
| EXXON MOBIL CORP                    | 30231G102         | 6                                     | 01/06/09            | 09/11/09              | \$420 35                                   | \$420 35   | \$0 00           |
| NRG ENERGY INC NEW                  | 629377508         | 24                                    | 03/04/09            | 09/22/09              | \$678 58                                   | \$424 61   | \$253 97         |
| INTUITIVE SURGICAL INC NEW          | 46120E602         | 4                                     | 12/31/08            | 10/01/09              | \$1,014 47                                 | \$505 04   | \$509 43         |
| CENTRAL EUROPEAN DISTR CORP         | 153435102         | 2                                     | 10/05/09            | 10/09/09              | \$48 68                                    | \$82 08    | \$-33 40         |
| CME GROUP INC                       | 12572Q105         | 8                                     | 12/31/08            | 10/14/09              | \$2,475 21                                 | \$1,637 28 | \$837 93         |
| FIRSTENERGY CORP                    | 337932107         | 5                                     | 06/15/09            | 10/22/09              | \$232 96                                   | \$197 79   | \$35 17          |
| INVESCO LTD SHS                     | G491BT108         | 6                                     | 03/26/09            | 10/22/09              | \$137 93                                   | \$88 36    | \$49 57          |
| COVIDIEN LTD                        | G2554F105         | 9                                     | 01/12/09            | 10/22/09              | \$391 48                                   | \$490 47   | \$-98 99         |
| CVS CORPORATION DEL                 | 126650100         | 26                                    | 01/06/09            | 10/22/09              | \$982 77                                   | \$764 66   | \$218 11         |
| DISCOVER FINL SVCS                  | 254709108         | 58                                    | 05/11/09            | 10/22/09              | \$890 27                                   | \$571 13   | \$319 14         |
| FIFTH THIRD BANCORP                 | 316773100         | 6                                     | 08/17/09            | 10/22/09              | \$64 61                                    | \$58 74    | \$5 87           |
| FIRSTENERGY CORP                    | 337932107         | 25                                    | 01/06/09            | 10/22/09              | \$1,164 78                                 | \$1,279 75 | \$-114 97        |
| ACE LTD                             | H0023R105         | 5                                     | 01/06/09            | 10/22/09              | \$274 59                                   | \$256 65   | \$17 94          |
| LOCKHEED MARTIN CORP                | 539830109         | 7                                     | 01/06/09            | 10/22/09              | \$501 55                                   | \$588 49   | \$-86 94         |
| PNC BANK CORP                       | 693475105         | 10                                    | 04/27/09            | 10/22/09              | \$509 91                                   | \$419 92   | \$89 99          |
| PUBLIC SERVICE ENTERPRISE GROUP INC | 744573106         | 46                                    | 01/06/09            | 10/22/09              | \$1,419 06                                 | \$1,426 92 | \$-7 86          |
| TOTAL S A SPONSORED ADR             | 89151E109         | 12                                    | 02/03/09            | 10/22/09              | \$768 57                                   | \$609 76   | \$158 81         |
| UNITEDHEALTH GROUP INC              | 91324P102         | 4                                     | 05/11/09            | 10/22/09              | \$103 56                                   | \$110 59   | \$-7 03          |
| UNITEDHEALTH GROUP INC              | 91324P102         | 6                                     | 03/04/09            | 10/22/09              | \$155 33                                   | \$110 43   | \$44 90          |



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## Short term transactions

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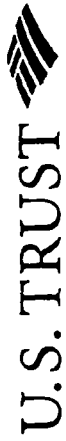
| Description<br>(Box 7)                 | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax cost     | Net gain or loss |
|----------------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|--------------|------------------|
| WELLS FARGO & CO (NEW)                 | 949746101         | 2                                     | 12/23/08            | 10/22/09              | \$60 19                                    | \$41 86      | \$18 33          |
| APOLLO GROUP INC CL A                  | 037604105         | 27                                    | 12/31/08            | 10/28/09              | \$1,620 13                                 | \$2,089 39   | \$-469 26        |
| APOLLO GROUP INC CL A                  | 037604105         | 17                                    | 12/24/08            | 10/28/09              | \$1,020 08                                 | \$1,283 79   | \$-263 71        |
| APOLLO GROUP INC CL A                  | 037604105         | 12                                    | 07/23/09            | 10/28/09              | \$720 06                                   | \$810 18     | \$-90 12         |
| CVS CORPORATION DEL                    | 126650100         | 127                                   | 12/31/08            | 11/05/09              | \$3,621 77                                 | \$3,651 25   | \$-29 48         |
| NUCOR CORP                             | 670346105         | 16                                    | 01/06/09            | 11/13/09              | \$657 52                                   | \$728 80     | \$-71 28         |
| DEERE & CO                             | 244199105         | 5                                     | 06/15/09            | 11/13/09              | \$239 86                                   | \$213 21     | \$26 65          |
| DIAMOND OFFSHORE DRILLING INC          | 25271C102         | 10                                    | 01/20/09            | 11/13/09              | \$1,008 22                                 | \$567 30     | \$440 92         |
| BURLINGTON NORTHERN SANTA FE CORP      | 12189T104         | 21                                    | 01/06/09            | 11/13/09              | \$2,055 81                                 | \$1,708 56   | \$347 25         |
| DEERE & CO                             | 244199105         | 10                                    | 01/06/09            | 11/13/09              | \$479 71                                   | \$446 20     | \$33 51          |
| CVS CORPORATION DEL                    | 126650100         | 16                                    | 01/06/09            | 12/01/09              | \$497 95                                   | \$470 56     | \$27 39          |
| CVS CORPORATION DEL                    | 126650100         | 6                                     | 03/12/09            | 12/01/09              | \$186 73                                   | \$155 41     | \$31 32          |
| COGNIZANT TECHNOLOGY SOLUTIONS         | 192446102         | 39                                    | 12/31/08            | 12/22/09              | \$1,779 54                                 | \$700 83     | \$1,078 71       |
| QUALCOMM INC                           | 747525103         | 16                                    | 12/31/08            | 12/22/09              | \$732 27                                   | \$578 08     | \$154 19         |
| Total short term gain/loss from sales: |                   |                                       |                     |                       | \$364,980 78                               | \$379,222 67 | \$-14,241 89     |

Report on Form 1040, Schedule D, line 1, Column d e and f

## Long term transactions

This category includes all assets held more than 12 months.

| Description<br>(Box 7)          | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax cost   | Net gain or loss |
|---------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| REYNOLDS AMERN INC              | 761713106         | 20                                    | 01/02/08            | 01/06/09              | \$755 99                                   | \$1,308 60 | \$-552 61        |
| REYNOLDS AMERN INC              | 761713106         | 5                                     | 08/16/07            | 01/06/09              | \$189 00                                   | \$312 25   | \$-123 25        |
| ROYAL DUTCH SHELL PLC SPONSORED | 780259206         | 15                                    | 01/02/08            | 01/06/09              | \$830 24                                   | \$1,260 60 | \$-430 36        |
| ROYAL DUTCH SHELL PLC SPONSORED | 780259206         | 5                                     | 10/02/07            | 01/06/09              | \$276 75                                   | \$409 39   | \$-132 64        |
| SKF AB SPONSORED ADR PAR S KR   | 784375404         | 18                                    | 01/02/08            | 01/06/09              | \$180 89                                   | \$289 32   | \$-108 43        |



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# 2009 Tax Information Letter

Account Number 022001527217

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## Long term transactions

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|------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| TEVA PHARMACEUTICAL INDS LTD | 881624209         | 8                                     | 01/02/08            | 01/06/09              | \$335 91                                   | \$335 91   | \$0 00           |
| UNILEVER PLC ADR             | 904767704         | 17                                    | 01/02/08            | 01/06/09              | \$404 59                                   | \$632 00   | \$-227 41        |
| V F CORP                     | 918204108         | 15                                    | 01/02/08            | 01/06/09              | \$865 34                                   | \$1,018 20 | \$-152 86        |
| WHIRLPOOL CORP               | 963320106         | 14                                    | 01/02/08            | 01/06/09              | \$682 77                                   | \$1,112 72 | \$-429 95        |
| WINDSTREAM CORP              | 97381W104         | 16                                    | 08/16/07            | 01/06/09              | \$149 28                                   | \$204 06   | \$-54 78         |
| WINDSTREAM CORP              | 97381W104         | 108                                   | 01/02/08            | 01/06/09              | \$1,007 63                                 | \$1,371 60 | \$-363 97        |
| WYETH                        | 983024100         | 5                                     | 11/13/07            | 01/06/09              | \$192 75                                   | \$233 49   | \$-40 74         |
| WYETH                        | 983024100         | 32                                    | 01/02/08            | 01/06/09              | \$1,233 59                                 | \$1,408 64 | \$-175 05        |
| YUM BRANDS INC               | 988498101         | 20                                    | 01/02/08            | 01/06/09              | \$655 99                                   | \$758 40   | \$-102 41        |
| YUM BRANDS INC               | 988498101         | 4                                     | 08/16/07            | 01/06/09              | \$131 20                                   | \$119 93   | \$11 27          |
| SEAGATE TECHNOLOGY HOLDINGS  | G7945J104         | 53                                    | 01/02/08            | 01/06/09              | \$307 92                                   | \$1,306 98 | \$-999 06        |
| SEAGATE TECHNOLOGY HOLDINGS  | G7945J104         | 14                                    | 08/16/07            | 01/06/09              | \$81 34                                    | \$317 66   | \$-236 32        |
| ABB LTD SPONSORED ADR        | 000375204         | 8                                     | 11/12/07            | 01/06/09              | \$121 60                                   | \$230 97   | \$-109 37        |
| ABB LTD SPONSORED ADR        | 000375204         | 32                                    | 01/02/08            | 01/06/09              | \$486 39                                   | \$915 84   | \$-429 45        |
| ACTIVISION BLIZZARD INC      | 00507V109         | 42                                    | 01/02/08            | 01/06/09              | \$342 29                                   | \$594 72   | \$-252 43        |
| ADOBE SYSTEM INC             | 00724F101         | 20                                    | 01/02/08            | 01/06/09              | \$485 19                                   | \$833 60   | \$-348 41        |
| AIRGAS INC                   | 009363102         | 15                                    | 01/02/08            | 01/06/09              | \$603 74                                   | \$764 25   | \$-160 51        |
| ALCOA INC                    | 013817101         | 6                                     | 09/24/07            | 01/06/09              | \$72 72                                    | \$223 53   | \$-150 81        |
| ALCOA INC                    | 013817101         | 37                                    | 01/02/08            | 01/06/09              | \$448 43                                   | \$1,338 78 | \$-890 35        |
| ALLSTATE CORP                | 020002101         | 3                                     | 08/16/07            | 01/06/09              | \$95 97                                    | \$163 35   | \$-67 38         |
| ALLSTATE CORP                | 020002101         | 27                                    | 01/02/08            | 01/06/09              | \$863 72                                   | \$1,385 10 | \$-521 38        |
| ALTRIA GROUP INC             | 02209S103         | 4                                     | 01/04/08            | 01/06/09              | \$60 56                                    | \$92 28    | \$-31 72         |
| AMEREN CORP                  | 023608102         | 25                                    | 01/02/08            | 01/06/09              | \$831 49                                   | \$1,339 92 | \$-508 43        |
| AMEREN CORP                  | 023608102         | 5                                     | 09/27/07            | 01/06/09              | \$166 30                                   | \$265 35   | \$-99 05         |
| AMEREN CORP                  | 023608102         | 1                                     | 09/26/07            | 01/06/09              | \$33 26                                    | \$52 94    | \$-19 68         |



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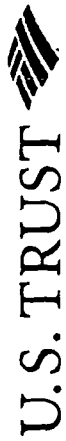
Account Number 022001527217

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|--------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| AMERICAN TOWER SYS CORP CL A   | 029912201         | 27                                    | 01/02/08            | 01/06/09              | \$815 12                                   | \$1,115 37 | \$-300 25        |
| AMPHENOL CORP NEW CL A         | 032095101         | 20                                    | 01/02/08            | 01/06/09              | \$539 79                                   | \$886 60   | \$-346 81        |
| AMPHENOL CORP NEW CL A         | 032095101         | 3                                     | 08/16/07            | 01/06/09              | \$80 97                                    | \$99 48    | \$-18 51         |
| AXA SA SPONSORED ADR           | 054536107         | 9                                     | 01/02/08            | 01/06/09              | \$209 52                                   | \$355 41   | \$-145 89        |
| BP AMOCO P L C ADR             | 055622104         | 5                                     | 01/02/08            | 01/06/09              | \$244 99                                   | \$366 36   | \$-121 37        |
| BAXTER INTERNATIONAL INC       | 071813109         | 16                                    | 01/02/08            | 01/06/09              | \$862 23                                   | \$923 20   | \$-60 97         |
| BECTON DICKINSON & COMPANY     | 075887109         | 15                                    | 01/02/08            | 01/06/09              | \$1,024 64                                 | \$1,302 30 | \$-277 66        |
| BECTON DICKINSON & COMPANY     | 075887109         | 2                                     | 08/31/07            | 01/06/09              | \$136 62                                   | \$154 14   | \$-17 52         |
| BLACK AND DECKER CORP          | 091797100         | 20                                    | 01/02/08            | 01/06/09              | \$921 19                                   | \$1,398 60 | \$-477 41        |
| BURGER KING HLDGS INC          | 121208201         | 4                                     | 12/11/07            | 01/06/09              | \$95 12                                    | \$111 84   | \$-16 72         |
| BURGER KING HLDGS INC          | 121208201         | 30                                    | 01/02/08            | 01/06/09              | \$713 39                                   | \$836 70   | \$-123 31        |
| CBS CORP NEW CL B              | 124857202         | 20                                    | 08/16/07            | 01/06/09              | \$178 60                                   | \$584 88   | \$-406 28        |
| CBS CORP NEW CL B              | 124857202         | 53                                    | 01/02/08            | 01/06/09              | \$473 28                                   | \$1,410 30 | \$-937 02        |
| CANADIAN NATURAL RESOURCES LTD | 136385101         | 20                                    | 01/02/08            | 01/06/09              | \$942 39                                   | \$1,511 20 | \$-568 81        |
| COCA COLA                      | 191216100         | 20                                    | 01/02/08            | 01/06/09              | \$894 39                                   | \$1,220 78 | \$-326 39        |
| COLGATE PALMOLIVE              | 194162103         | 19                                    | 01/02/08            | 01/06/09              | \$1,263 30                                 | \$1,467 75 | \$-204 45        |
| DANAHER CORP                   | 235851102         | 15                                    | 01/02/08            | 01/06/09              | \$864 44                                   | \$1,294 50 | \$-430 06        |
| DANAHER CORP                   | 235851102         | 2                                     | 08/16/07            | 01/06/09              | \$115 26                                   | \$149 23   | \$-33 97         |
| DIAMOND OFFSHORE DRILLING INC  | 25271C102         | 1                                     | 12/31/07            | 01/06/09              | \$67 25                                    | \$142 92   | \$-75 67         |
| DIAMOND OFFSHORE DRILLING INC  | 25271C102         | 10                                    | 01/02/08            | 01/06/09              | \$672 49                                   | \$1,398 90 | \$-726 41        |
| DONNELLEY R R & SONS CO        | 257867101         | 37                                    | 01/02/08            | 01/06/09              | \$561 28                                   | \$1,368 63 | \$-807 35        |
| DONNELLEY R R & SONS CO        | 257867101         | 16                                    | 08/16/07            | 01/06/09              | \$242 72                                   | \$553 44   | \$-310 72        |
| DOW CHEMICAL                   | 260543103         | 70                                    | 01/02/08            | 01/06/09              | \$1,123 49                                 | \$2,697 10 | \$-1,573 61      |
| EXELON CORP                    | 30161N101         | 17                                    | 01/02/08            | 01/06/09              | \$974 77                                   | \$1,366 46 | \$-391 69        |
| EXELON CORP                    | 30161N101         | 3                                     | 08/16/07            | 01/06/09              | \$172 02                                   | \$201 57   | \$-29 55         |



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# 2009 Tax Information Letter

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Account Number 022001527217

## Long term transactions

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| Description<br>(Box 7)           | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax cost   | Net gain or loss |
|----------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| FMC TECHNOLOGIES INC             | 30249U101         | 13                                    | 01/02/08            | 01/06/09              | \$373.22                                   | \$742.00   | \$-368.78        |
| FPL GROUP INC                    | 302571104         | 20                                    | 01/02/08            | 01/06/09              | \$1,021.99                                 | \$1,337.00 | \$-315.01        |
| FPL GROUP INC                    | 302571104         | 2                                     | 10/17/07            | 01/06/09              | \$102.20                                   | \$126.86   | \$-24.66         |
| FPL GROUP INC                    | 302571104         | 2                                     | 10/15/07            | 01/06/09              | \$102.20                                   | \$126.15   | \$-23.95         |
| FLOWERVE CORP                    | 34354P105         | 5                                     | 01/02/08            | 01/06/09              | \$300.19                                   | \$476.36   | \$-176.17        |
| GAMESTOP CORP NEW CL A           | 36467W109         | 19                                    | LT                  | 01/06/09              | \$445.16                                   | \$871.00   | \$-425.84        |
| GLAXO WELLCOME PLC SPONSORED ADR | 37733W105         | 55                                    | 01/02/08            | 01/06/09              | \$2,074.03                                 | \$2,751.55 | \$-677.52        |
| GLAXO WELLCOME PLC SPONSORED ADR | 37733W105         | 3                                     | 08/16/07            | 01/06/09              | \$113.13                                   | \$148.65   | \$-35.52         |
| HOME DEPOT INC                   | 437076102         | 2                                     | 01/02/08            | 01/06/09              | \$50.58                                    | \$52.76    | \$-2.18          |
| KRAFT FOODS INC CL A             | 50075N104         | 38                                    | 01/02/08            | 01/06/09              | \$1,056.77                                 | \$1,220.56 | \$-163.79        |
| LAFARGE S A SPONSORED ADR NEW    | 505861401         | 18                                    | 01/02/08            | 01/06/09              | \$314.99                                   | \$798.30   | \$-483.31        |
| LINCOLN NATIONAL CORP            | 534187109         | 11                                    | 01/02/08            | 01/06/09              | \$275.22                                   | \$621.94   | \$-346.72        |
| MARATHON OIL CORP                | 565849106         | 23                                    | 01/02/08            | 01/06/09              | \$686.54                                   | \$1,411.18 | \$-724.64        |
| MARATHON OIL CORP                | 565849106         | 11                                    | 08/16/07            | 01/06/09              | \$328.35                                   | \$548.95   | \$-220.60        |
| MATTEL INC                       | 577081102         | 69                                    | 01/02/08            | 01/06/09              | \$1,122.62                                 | \$1,279.95 | \$-157.33        |
| MCDONALDS CORP                   | 580135101         | 13                                    | 01/02/08            | 01/06/09              | \$807.81                                   | \$756.48   | \$51.33          |
| MICROSOFT CORP                   | 594918104         | 54                                    | 01/02/08            | 01/06/09              | \$1,118.33                                 | \$1,897.02 | \$-778.69        |
| MONSANTO CO NEW                  | 61166W101         | 10                                    | 01/02/08            | 01/06/09              | \$732.29                                   | \$732.29   | \$0.00           |
| NATIONAL BK GREECE S A SPONSORED | 633643408         | 35                                    | 01/02/08            | 01/06/09              | \$140.69                                   | \$458.32   | \$-317.63        |
| NIKE INC CLASS B                 | 654106103         | 3                                     | 01/02/08            | 01/06/09              | \$156.95                                   | \$189.33   | \$-32.38         |
| NORTHERN TRUST CORP              | 665859104         | 15                                    | 01/02/08            | 01/06/09              | \$813.14                                   | \$1,117.20 | \$-304.06        |
| NORTHERN TRUST CORP              | 665859104         | 2                                     | 10/10/07            | 01/06/09              | \$108.42                                   | \$144.36   | \$-35.94         |
| ORACLE CORPORATION               | 68389X105         | 49                                    | 01/02/08            | 01/06/09              | \$898.65                                   | \$1,103.48 | \$-204.83        |
| PEPSICO INC                      | 713448108         | 23                                    | 01/02/08            | 01/06/09              | \$1,280.17                                 | \$1,730.06 | \$-449.89        |
| PEPSICO INC                      | 713448108         | 3                                     | 09/25/07            | 01/06/09              | \$166.98                                   | \$214.83   | \$-47.85         |



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Bank of America Private Wealth Management

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## 2009 Tax Information Letter

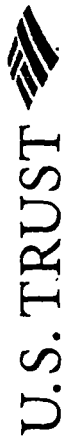
Account Number 022001527217

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### Long term transactions

This category includes all assets held more than 12 months

| Description<br>(Box 7)           | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax cost   | Net gain or loss |
|----------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| PETROLEO BRASILEIRO SA PETROBRAS | 71654V408         | 29                                    | 01/02/08            | 01/06/09              | \$815.76                                   | \$1,718.98 | \$-903.22        |
| FEDERAL HOME LN MTG CORP         | 3128M5ED8         | 200.72                                | LT                  | 01/15/09              | \$200.72                                   | \$200.72   | \$0.00           |
| BANK AMERICA CORP                | 060505104         | 34                                    | 01/02/08            | 01/15/09              | \$283.55                                   | \$1,385.84 | \$-1,102.29      |
| SCHLUMBERGER LTD                 | 806857108         | 2                                     | 08/16/07            | 01/20/09              | \$74.78                                    | \$173.63   | \$-98.85         |
| SCHLUMBERGER LTD                 | 806857108         | 15                                    | 01/02/08            | 01/20/09              | \$560.88                                   | \$1,517.25 | \$-956.37        |
| FEDERAL NATL MTG ASSN            | 31368HNG4         | 329.7                                 | LT                  | 01/26/09              | \$329.70                                   | \$329.70   | \$0.00           |
| FEDERAL NATL MTG ASSN            | 31402RFV6         | 69.08                                 | LT                  | 01/26/09              | \$69.08                                    | \$69.08    | \$0.00           |
| FEDERAL NATL MTG ASSN            | 31402RFV6         | 112.98                                | LT                  | 01/31/09              | \$112.98                                   | \$112.98   | \$0.00           |
| FEDERAL HOME LN MTG CORP         | 3128M5ED8         | 466.8                                 | LT                  | 01/31/09              | \$466.80                                   | \$485.78   | \$-18.98         |
| FEDERAL NATL MTG ASSN            | 31368HNG4         | 649.23                                | LT                  | 01/31/09              | \$649.23                                   | \$649.23   | \$0.00           |
| CATERPILLAR INC                  | 149123101         | 13                                    | 01/08/08            | 02/03/09              | \$390.19                                   | \$929.97   | \$-539.78        |
| CATERPILLAR INC                  | 149123101         | 20                                    | 01/02/08            | 02/03/09              | \$600.29                                   | \$1,408.50 | \$-808.21        |
| FEDERAL NATL MTG ASSN            | 31368HNG4         | 619.71                                | LT                  | 02/28/09              | \$619.71                                   | \$619.71   | \$0.00           |
| FEDERAL HOME LN MTG CORP         | 3128M5ED8         | 637.67                                | LT                  | 02/28/09              | \$637.67                                   | \$663.60   | \$-25.93         |
| FEDERAL NATL MTG ASSN            | 31402RFV6         | 180.16                                | LT                  | 02/28/09              | \$180.16                                   | \$180.16   | \$0.00           |
| CONOCOPHILLIPS                   | 20825C104         | 15                                    | 01/08/08            | 03/20/09              | \$570.00                                   | \$1,371.86 | \$-801.86        |
| CONOCOPHILLIPS                   | 20825C104         | 2                                     | 08/16/07            | 03/20/09              | \$76.00                                    | \$153.84   | \$-77.84         |
| CONOCOPHILLIPS                   | 20825C104         | 15                                    | 01/02/08            | 03/20/09              | \$570.00                                   | \$1,313.50 | \$-743.50        |
| KIMBERLY CLARK CORP              | 494368103         | 9                                     | 01/02/08            | 03/26/09              | \$423.22                                   | \$618.93   | \$-195.71        |
| KIMBERLY CLARK CORP              | 494368103         | 1                                     | 01/02/08            | 03/26/09              | \$47.03                                    | \$68.77    | \$-21.74         |
| FEDERAL NATL MTG ASSN            | 31402RFV6         | 192.81                                | LT                  | 03/31/09              | \$192.81                                   | \$192.81   | \$0.00           |
| FEDERAL NATL MTG ASSN            | 31368HNG4         | 533.74                                | LT                  | 03/31/09              | \$533.74                                   | \$533.74   | \$0.00           |
| FEDERAL HOME LN MTG CORP         | 3128M5ED8         | 587.44                                | LT                  | 03/31/09              | \$587.44                                   | \$611.32   | \$-23.88         |
| KIMBERLY CLARK CORP              | 494368103         | 9                                     | 01/02/08            | 04/14/09              | \$432.91                                   | \$618.93   | \$-186.02        |
| FEDERAL NATL MTG ASSN            | 31402RFV6         | 217.71                                | LT                  | 04/30/09              | \$217.71                                   | \$217.71   | \$0.00           |



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## 2009 Tax Information Letter

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### Long term transactions

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|---------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| FEDERAL HOME LN MTG CORP        | 3128M5ED8         | 531                                   | LT                  | 04/30/09              | \$531.00                                   | \$552.59   | \$-21.59         |
| FEDERAL NATL MTG ASSN           | 31368HNG4         | 488.37                                | LT                  | 04/30/09              | \$488.37                                   | \$488.37   | \$0.00           |
| MONSANTO CO NEW                 | 61166W101         | 9                                     | 01/02/08            | 05/26/09              | \$772.53                                   | \$989.05   | \$-216.52        |
| MONSANTO CO NEW                 | 61166W101         | 10                                    | 12/27/07            | 05/26/09              | \$858.37                                   | \$1,073.09 | \$-214.72        |
| FEDERAL NATL MTG ASSN           | 31368HNG4         | 475.03                                | LT                  | 05/31/09              | \$475.03                                   | \$475.03   | \$0.00           |
| FEDERAL HOME LN MTG CORP        | 3128M5ED8         | 516.32                                | LT                  | 05/31/09              | \$516.32                                   | \$537.31   | \$-20.99         |
| FEDERAL NATL MTG ASSN           | 31402RFV6         | 220.02                                | LT                  | 05/31/09              | \$220.02                                   | \$220.02   | \$0.00           |
| FEDERAL HOME LN MTG CORP        | 3128M5ED8         | 557.61                                | LT                  | 06/30/09              | \$557.61                                   | \$580.28   | \$-22.67         |
| FEDERAL NATL MTG ASSN           | 31402RFV6         | 216.55                                | LT                  | 06/30/09              | \$216.55                                   | \$216.55   | \$0.00           |
| FEDERAL NATL MTG ASSN           | 31368HNG4         | 513.87                                | LT                  | 06/30/09              | \$513.87                                   | \$513.87   | \$0.00           |
| GOOGLE INC CL A                 | 38259P508         | 1                                     | 06/24/08            | 07/22/09              | \$427.83                                   | \$546.00   | \$-118.17        |
| GOOGLE INC CL A                 | 38259P508         | 3                                     | 06/19/08            | 07/22/09              | \$1,283.47                                 | \$1,666.80 | \$-383.33        |
| GOOGLE INC CL A                 | 38259P508         | 1                                     | 06/13/08            | 07/22/09              | \$427.82                                   | \$531.14   | \$-103.32        |
| FEDERAL NATL MTG ASSN           | 31368HNG4         | 471.06                                | LT                  | 07/31/09              | \$471.06                                   | \$471.06   | \$0.00           |
| FEDERAL HOME LN MTG CORP        | 3128M5ED8         | 424.54                                | LT                  | 07/31/09              | \$424.54                                   | \$441.80   | \$-17.26         |
| FEDERAL NATL MTG ASSN           | 31402RFV6         | 160.63                                | LT                  | 07/31/09              | \$160.63                                   | \$160.63   | \$0.00           |
| JOHNSON AND JOHNSON             | 478160104         | 2                                     | 08/16/07            | 08/17/09              | \$119.52                                   | \$123.17   | \$-3.65          |
| JOHNSON AND JOHNSON             | 478160104         | 20                                    | 01/02/08            | 08/17/09              | \$119.52                                   | \$1,319.40 | \$-1,241.7       |
| TJX COS INC NEW                 | 872540109         | 5                                     | 01/02/08            | 08/17/09              | \$176.06                                   | \$141.60   | \$34.46          |
| FEDERAL NATL MTG ASSN           | 31368HNG4         | 360.27                                | LT                  | 08/31/09              | \$360.27                                   | \$360.27   | \$0.00           |
| FEDERAL HOME LN MTG CORP        | 3128M5ED8         | 257.03                                | LT                  | 08/31/09              | \$257.03                                   | \$267.48   | \$-10.45         |
| FEDERAL NATL MTG ASSN           | 31402RFV6         | 121.72                                | LT                  | 08/31/09              | \$121.72                                   | \$121.72   | \$0.00           |
| HEWLETT PACKARD CO              | 428236103         | 20                                    | 06/05/08            | 09/01/09              | \$874.19                                   | \$968.83   | \$-94.64         |
| INTERNATIONAL BUSINESS MACHINES | 459200101         | 1                                     | 07/08/08            | 09/01/09              | \$116.55                                   | \$123.27   | \$-6.72          |
| INTERNATIONAL BUSINESS MACHINES | 459200101         | 8                                     | 06/24/08            | 09/01/09              | \$932.43                                   | \$988.44   | \$-56.01         |



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## 2009 Tax Information Letter

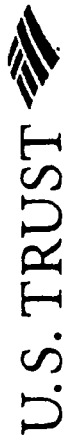
Account Number 022001527217

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### Long term transactions

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|---------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| ACTIVISION BLIZZARD INC         | 00507V109         | 34                                    | 11/28/07            | 09/10/09              | \$392.77                                   | \$961.92   | \$-569.15        |
| GILEAD SCIENCES INC             | 375558103         | 30                                    | 04/18/08            | 09/10/09              | \$1,391.66                                 | \$1,545.44 | \$-153.78        |
| GOOGLE INC CL A                 | 38259P508         | 1                                     | 06/13/08            | 09/10/09              | \$470.04                                   | \$531.13   | \$-61.09         |
| QUALCOMM INC                    | 747525103         | 2                                     | 07/31/08            | 09/10/09              | \$93.18                                    | \$111.22   | \$-18.04         |
| QUALCOMM INC                    | 747525103         | 12                                    | 06/12/08            | 09/10/09              | \$559.09                                   | \$589.92   | \$-30.83         |
| QUALCOMM INC                    | 747525103         | 31                                    | 02/13/08            | 09/10/09              | \$1,444.33                                 | \$1,379.73 | \$64.60          |
| SCHLUMBERGER LTD                | 806857108         | 15                                    | 01/02/08            | 09/10/09              | \$874.47                                   | \$1,517.25 | \$-642.78        |
| SCHLUMBERGER LTD                | 806857108         | 2                                     | 08/16/07            | 09/10/09              | \$116.60                                   | \$173.63   | \$-57.03         |
| ACTIVISION BLIZZARD INC         | 00507V109         | 44                                    | 01/02/08            | 09/10/09              | \$508.30                                   | \$623.04   | \$-114.74        |
| TEVA PHARMACEUTICAL INDS LTD    | 881624209         | 5                                     | 12/27/07            | 09/10/09              | \$261.94                                   | \$236.71   | \$25.23          |
| APPLE COMPUTER INC              | 037833100         | 4                                     | 03/24/08            | 09/10/09              | \$688.82                                   | \$557.66   | \$131.16         |
| APPLE COMPUTER INC              | 037833100         | 6                                     | 01/02/08            | 09/10/09              | \$1,033.23                                 | \$1,167.18 | \$-133.95        |
| WELLS FARGO & CO (NEW)          | 949746101         | 33                                    | 07/17/08            | 09/11/09              | \$909.79                                   | \$912.33   | \$-2.54          |
| CHEVRONTXACO CORP               | 166764100         | 12                                    | 01/02/08            | 09/11/09              | \$850.42                                   | \$1,119.60 | \$-269.18        |
| ABBOTT LABS                     | 002824100         | 4                                     | 01/02/08            | 09/11/09              | \$187.27                                   | \$222.95   | \$-35.68         |
| ABBOTT LABS                     | 002824100         | 7                                     | 07/09/08            | 09/11/09              | \$327.73                                   | \$402.20   | \$-74.47         |
| AT&T INC                        | 00206R102         | 24                                    | 01/02/08            | 09/11/09              | \$639.82                                   | \$983.04   | \$-343.22        |
| AT&T INC                        | 00206R102         | 9                                     | 01/02/08            | 09/11/09              | \$239.93                                   | \$239.93   | \$0.00           |
| AT&T INC                        | 00206R102         | 3                                     | 08/16/07            | 09/11/09              | \$79.98                                    | \$79.98    | \$0.00           |
| CISCO SYSTEM INC                | 17275R102         | 13                                    | 01/02/08            | 09/11/09              | \$300.29                                   | \$343.46   | \$-43.17         |
| WASTE MGMT INC DEL COM          | 94106L109         | 15                                    | 02/04/08            | 09/11/09              | \$456.89                                   | \$498.94   | \$-42.05         |
| WAL MART STORES INC             | 931142103         | 1                                     | 06/24/08            | 09/11/09              | \$50.67                                    | \$57.65    | \$-6.98          |
| HEWLETT PACKARD CO              | 428236103         | 7                                     | 06/05/08            | 09/11/09              | \$322.83                                   | \$339.09   | \$-16.26         |
| HEWLETT PACKARD CO              | 428236103         | 10                                    | 07/17/08            | 09/11/09              | \$461.19                                   | \$430.44   | \$30.75          |
| INTERNATIONAL BUSINESS MACHINES | 459200101         | 4                                     | 07/08/08            | 09/11/09              | \$472.98                                   | \$493.10   | \$-20.12         |



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# 2009 Tax Information Letter

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Account Number 022001527217

## Long term transactions

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|---------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|------------|------------------|
| JP MORGAN CHASE & CO      | 46625H100         | 3                                     | 01/02/08            | 09/11/09              | \$128 22                                   | \$126 85   | \$1 37           |
| LOCKHEED MARTIN CORP      | 539830109         | 3                                     | 01/02/08            | 09/11/09              | \$226 94                                   | \$316 77   | \$-89 83         |
| NIKE INC CLASS B          | 654106103         | 5                                     | 01/02/08            | 09/11/09              | \$275 34                                   | \$315 55   | \$-40 21         |
| OCCIDENTAL PETROLEUM CORP | 674599105         | 14                                    | 01/02/08            | 09/11/09              | \$1,079 37                                 | \$1,096 69 | \$-17 32         |
| PFIZER INC                | 717081103         | 19                                    | 08/16/07            | 09/11/09              | \$309 12                                   | \$444 79   | \$-135 67        |
| PFIZER INC                | 717081103         | 29                                    | 01/02/08            | 09/11/09              | \$471 82                                   | \$665 49   | \$-193 67        |
| STAPLES INC               | 855030102         | 13                                    | 07/01/08            | 09/11/09              | \$290 41                                   | \$338 99   | \$-48 58         |
| TJX COS INC NEW           | 872540109         | 8                                     | 01/02/08            | 09/11/09              | \$293 51                                   | \$226 56   | \$66 95          |
| TOTAL S A SPONSORED ADR   | 89151E109         | 13                                    | 01/03/08            | 09/11/09              | \$789 34                                   | \$1,101 60 | \$-312 26        |
| TOTAL S A SPONSORED ADR   | 89151E109         | 4                                     | 01/02/08            | 09/11/09              | \$242 87                                   | \$332 60   | \$-89 73         |
| VERIZON COMMUNICATIONS    | 92343V104         | 23                                    | 01/02/08            | 09/11/09              | \$718 73                                   | \$988 71   | \$-269 98        |
| WAL MART STORES INC       | 931142103         | 5                                     | 07/09/08            | 09/11/09              | \$253 34                                   | \$292 17   | \$-38 83         |
| FEDERAL HOME LN MTG CORP  | 3128M5ED8         | 222 52                                | LT                  | 09/30/09              | \$222 52                                   | \$222 52   | \$0 00           |
| FEDERAL NATL MTG ASSN     | 31368HNG4         | 320 98                                | LT                  | 09/30/09              | \$320 98                                   | \$320 98   | \$0 00           |
| FEDERAL NATL MTG ASSN     | 31402RFV6         | 113 2                                 | LT                  | 09/30/09              | \$113 20                                   | \$113 20   | \$0 00           |
| AT&T INC                  | 00206R102         | 8                                     | 01/13/08            | 10/22/09              | \$209 29                                   | \$326 97   | \$-117 68        |
| OCCIDENTAL PETROLEUM CORP | 674599105         | 2                                     | 01/02/08            | 10/22/09              | \$167 97                                   | \$156 67   | \$11 30          |
| LOCKHEED MARTIN CORP      | 539830109         | 8                                     | 01/02/08            | 10/22/09              | \$573 21                                   | \$844 72   | \$-271 51        |
| TOTAL S A SPONSORED ADR   | 89151E109         | 2                                     | 01/02/08            | 10/22/09              | \$128 10                                   | \$166 30   | \$-38 20         |
| FEDERAL NATL MTG ASSN     | 31402RFV6         | 125 93                                | LT                  | 10/31/09              | \$125 93                                   | \$125 93   | \$0 00           |
| FEDERAL NATL MTG ASSN     | 31368HNG4         | 404 9                                 | LT                  | 10/31/09              | \$404 90                                   | \$404 90   | \$0 00           |
| FEDERAL HOME LN MTG CORP  | 3128M5ED8         | 255 13                                | LT                  | 10/31/09              | \$255 13                                   | \$265 50   | \$-10 37         |
| FEDERAL HOME LN MTG CORP  | 3128M5ED8         | 289 31                                | LT                  | 11/30/09              | \$289 31                                   | \$301 07   | \$-11 76         |
| FEDERAL NATL MTG ASSN     | 31402RFV6         | 135 28                                | LT                  | 11/30/09              | \$135 28                                   | \$135 28   | \$0 00           |
| FEDERAL NATL MTG ASSN     | 31368HNG4         | 335 44                                | LT                  | 11/30/09              | \$335 44                                   | \$335 44   | \$0 00           |



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Bank of America Private Wealth Management

IM RM LIU FOUNDATION

# 2009 Tax Information Letter

Account Number 022001527217

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## Long term transactions

This category includes all assets held more than 12 months.

| Description<br>(Box 7)                       | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax cost     | Net gain or loss |
|----------------------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|--------------|------------------|
| QUALCOMM INC                                 | 747525103         | 17                                    | 02/19/08            | 12/22/09              | \$778 03                                   | \$727 60     | \$50 43          |
| FEDERAL NATL MTG ASSN                        | 31402RFV6         | 9131 5                                | LT                  | 12/29/09              | \$9,356 93                                 | \$9,356 93   | \$0 00           |
| FEDERAL HOME LN MTG CORP                     | 3128M5ED8         | 12670 16                              | LT                  | 12/29/09              | \$13,256 15                                | \$13,256 15  | \$0 00           |
| FEDERAL NATL MTG ASSN                        | 31368HNG4         | 14913 92                              | LT                  | 12/29/09              | \$15,808 76                                | \$15,808 76  | \$0 00           |
| <b>Total long term gain/loss from sales:</b> |                   |                                       |                     |                       | \$124,507 46                               | \$159,032 16 | \$-34,524 70     |

Report on Form 1040, Schedule D, line 8, Column d, e, and f



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# 2009 Tax Information Letter

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## Cost not available

| Description<br>(Box 7)  | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax Cost    | Net gain or loss |
|-------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|-------------|------------------|
| TOTAL S A SPONSORED ADR | 89151E109         | 19                                    | LT                  | 01/06/09              | \$1,069.12                                 | \$1,590.97  | (\$521.85)       |
| CISCO SYSTEM INC        | 17275R102         | 14                                    | LT                  | 01/06/09              | \$248.91                                   | \$369.88    | (\$120.97)       |
| FED NATL MTG ASSN       | 31410KJY1         | 106.6                                 | LT                  | 01/26/09              | \$106.60                                   | \$106.60    |                  |
| FED NATL MTG ASSN       | 31410KJY1         | 199.48                                | LT                  | 01/31/09              | \$199.48                                   | \$199.48    |                  |
| RESEARCH IN MOTION LTD  | 760975102         | 7                                     | LT                  | 02/20/09              | \$270.62                                   | \$908.84    | (\$638.22)       |
| FED NATL MTG ASSN       | 31410KJY1         | 247.77                                | LT                  | 02/28/09              | \$247.77                                   | \$247.77    |                  |
| FED NATL MTG ASSN       | 31410KJY1         | 225.26                                | LT                  | 03/31/09              | \$225.26                                   | \$225.26    |                  |
| FED NATL MTG ASSN       | 31410KJY1         | 194.66                                | LT                  | 04/30/09              | \$194.66                                   | \$194.66    |                  |
| PHILIP MORRIS INTL INC  | 718172109         | 8                                     | LT                  | 05/11/09              | \$324.39                                   | \$431.92    | (\$107.53)       |
| FED NATL MTG ASSN       | 31410KJY1         | 201.44                                | LT                  | 05/31/09              | \$201.44                                   | \$201.44    |                  |
| FED NATL MTG ASSN       | 31410KJY1         | 208.54                                | LT                  | 06/30/09              | \$208.54                                   | \$208.54    |                  |
| FED NATL MTG ASSN       | 31410KJY1         | 198.25                                | LT                  | 07/31/09              | \$198.25                                   | \$198.25    |                  |
| FED NATL MTG ASSN       | 31410KJY1         | 200.26                                | LT                  | 08/31/09              | \$200.26                                   | \$200.26    |                  |
| UNITED STATES TREAS NTS | 912828AF7         | 11989.9                               | LT                  | 09/10/09              | \$12,716.29                                | \$12,716.29 |                  |
| UNITED STATES TREAS NTS | 912828CZ1         | 13655.4                               | LT                  | 09/10/09              | \$13,660.16                                | \$13,660.16 |                  |
| FED NATL MTG ASSN       | 31410KJY1         | 177.49                                | LT                  | 09/30/09              | \$177.49                                   | \$177.49    |                  |
| FED NATL MTG ASSN       | 31410KJY1         | 202.27                                | LT                  | 10/31/09              | \$202.27                                   | \$202.27    |                  |



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Cost not available

| Description<br>(Box 7)                                                                | Cusip<br>(Box 1b) | Number of shares<br>exchanged (Box 5) | Acquisition<br>Date | Sale date<br>(Box 1a) | Gross proceeds less<br>commissions (Box 2) | Tax Cost    | Net gain or loss |
|---------------------------------------------------------------------------------------|-------------------|---------------------------------------|---------------------|-----------------------|--------------------------------------------|-------------|------------------|
| FED NATL MTG ASSN                                                                     | 31410KJY1         | 154 03                                | LT                  | 11/30/09              | \$154.03                                   | \$154.03    |                  |
| FEDERAL NATL MTG ASSN NTS                                                             | 31359MXH1         | 11000                                 | LT                  | 12/29/09              | \$11,051.05                                | \$11,075.00 | (\$23.95)        |
| FED NATL MTG ASSN                                                                     | 31410KJY1         | 7065 67                               | LT                  | 12/29/09              | \$7,489.61                                 | \$7,489.61  |                  |
| Total Cost not available: Report on Form 1040, Schedule D, line 8, Column d, e, and f |                   |                                       |                     |                       | \$49,146.20                                | \$50,558.72 | (\$1,412.52)     |

Total proceeds reported to IRS on Form 1099-B

\$538,634.44

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

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| SOURCE                                                             | AMOUNT  |
|--------------------------------------------------------------------|---------|
| U.S. TRUST/BANK OF AMERICA                                         | 3,912.  |
| U.S. TRUST/BANK OF AMERICA - ACCRUED MARKET DISCOUNT               | 10,779. |
| U.S. TRUST/BANK OF AMERICA - U.S. TREASURY                         | 1,584.  |
| U.S. TRUST/BANK OF AMERICA - U.S. TREASURY ORIGINAL ISSUE DISCOUNT | -125.   |
| TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A                     | 16,150. |

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FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

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| SOURCE                           | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|----------------------------------|--------------|-------------------------|-------------------|
| MERRILL LYNCH                    | 135.         | 0.                      | 135.              |
| U.S. TRUST/BANK OF AMERICA       | 10,115.      | 0.                      | 10,115.           |
| TOTAL TO FM 990-PF, PART I, LN 4 | 10,250.      | 0.                      | 10,250.           |

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FORM 990-PF OTHER INCOME STATEMENT 3

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| DESCRIPTION                           | (A)<br>REVENUE<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME |
|---------------------------------------|-----------------------------|-----------------------------------|-------------------------------|
| THE ENDOWMENT TEI FUND, L.P.          | 61.                         | 61.                               |                               |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | 61.                         | 61.                               |                               |

| FORM 990-PF                  | ACCOUNTING FEES              |                                   |                               | STATEMENT                     | 4 |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|---|
| DESCRIPTION                  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |   |
| ACCOUNTING FEES              | 4,237.                       | 2,118.                            |                               | 2,119.                        |   |
| TO FORM 990-PF, PG 1, LN 16B | 4,237.                       | 2,118.                            |                               | 2,119.                        |   |

| FORM 990-PF                 | TAXES                        |                                   |                               | STATEMENT                     | 5 |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|---|
| DESCRIPTION                 | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |   |
| FOREIGN TAX PAID            | 132.                         | 132.                              |                               | 0.                            |   |
| FED INVEST EXCISE TAX       | 2,000.                       | 0.                                |                               | 0.                            |   |
| ATTY GEN'L REGISTRY FEE     | 150.                         | 0.                                |                               | 0.                            |   |
| CA SECRETARY OF STATE       | 20.                          | 0.                                |                               | 0.                            |   |
| CITY OF CARSON              | 555.                         | 0.                                |                               | 0.                            |   |
| CA FTB FILING FEE           | 10.                          | 0.                                |                               | 0.                            |   |
| TO FORM 990-PF, PG 1, LN 18 | 2,867.                       | 132.                              |                               | 0.                            |   |

| FORM 990-PF                                               | OTHER EXPENSES               |                                   |                               | STATEMENT                     | 6 |
|-----------------------------------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|---|
| DESCRIPTION                                               | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |   |
| INVESTMENT FEES                                           | 4,032.                       | 4,032.                            |                               | 0.                            |   |
| PORTFOLIO DEDUCTIONS THRU<br>THE ENDOWMENT TEI FUND, L.P. | 4,330.                       | 4,330.                            |                               | 0.                            |   |
| TO FORM 990-PF, PG 1, LN 23                               | 8,362.                       | 8,362.                            |                               | 0.                            |   |

|             |                                                |           |   |
|-------------|------------------------------------------------|-----------|---|
| FORM 990-PF | OTHER INCREASES IN NET ASSETS OR FUND BALANCES | STATEMENT | 7 |
|-------------|------------------------------------------------|-----------|---|

| DESCRIPTION                              | AMOUNT  |
|------------------------------------------|---------|
| UNREALIZED GAIN FROM PASS-THROUGH ENTITY | 57,210. |
| TOTAL TO FORM 990-PF, PART III, LINE 3   | 57,210. |

|             |                                                |           |   |
|-------------|------------------------------------------------|-----------|---|
| FORM 990-PF | OTHER DECREASES IN NET ASSETS OR FUND BALANCES | STATEMENT | 8 |
|-------------|------------------------------------------------|-----------|---|

| DESCRIPTION                            | AMOUNT  |
|----------------------------------------|---------|
| PRIOR PERIOD ADJUSTMENT TO ASSET BASIS | 29,896. |
| TOTAL TO FORM 990-PF, PART III, LINE 5 | 29,896. |

|             |                   |           |   |
|-------------|-------------------|-----------|---|
| FORM 990-PF | OTHER INVESTMENTS | STATEMENT | 9 |
|-------------|-------------------|-----------|---|

| DESCRIPTION                            | VALUATION<br>METHOD | BOOK VALUE | FAIR MARKET<br>VALUE |
|----------------------------------------|---------------------|------------|----------------------|
| THE ENDOWMENT TEI FUND, L.P.           | COST                | 440,092.   | 440,092.             |
| U.S. TRUST / BANK OF AMERICA           | COST                | 276,069.   | 356,482.             |
| TOTAL TO FORM 990-PF, PART II, LINE 13 |                     | 716,161.   | 796,574.             |

FORM 990-PF

LIST OF SUBSTANTIAL CONTRIBUTORS  
PART VII-A, LINE 10

STATEMENT 10

NAME OF CONTRIBUTORADDRESS

JUSTIN R. LIU

500 W. 190TH STREET, 6TH FLOOR  
GARDENA, CA 90248

EMILY F. LIU

500 W. 190TH STREET, 6TH FLOOR  
GARDENA, CA 90248

TIRECO, INC.

500 W. 190TH STREET, 6TH FLOOR  
GARDENA, CA 90248

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒

**Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

**Part II Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

|                                                                                         |                                                                                                               |  |                                |
|-----------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|--|--------------------------------|
| Type or print<br>File by the extended due date for filing the return. See instructions. | Name of Exempt Organization                                                                                   |  | Employer identification number |
|                                                                                         | THE RM LIU FOUNDATION                                                                                         |  | 20-8643551                     |
|                                                                                         | Number, street, and room or suite no. If a P.O. box, see instructions.<br>500 W. 190TH STREET, 6TH FLOOR      |  | For IRS use only               |
|                                                                                         | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br>GARDENA, CA 90248 |  |                                |

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

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

**STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.**

JUSTIN R. LIU

- The books are in the care of ▶ 500 W. 190TH STREET, 6TH FLOOR - GARDENA, CA 90248

Telephone No. ▶ (310) 604-8760

FAX No. ▶

- If the organization does not have an office or place of business in the United States, check this box ☐

- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until NOVEMBER 15, 2010.

5 For calendar year 2009, or other tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_.

6 If this tax year is for less than 12 months, check reason. ☐ Initial return ☐ Final return ☐ Change in accounting period

7 State in detail why you need the extension

**ADDITIONAL TIME IS NEEDED TO COMPLETE AN ACCURATE RETURN.**

|    |                                                                                                                                                                                                                                   |    |    |        |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----|--------|
| 8a | If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.                                                                                  | 8a | \$ | 229.   |
| b  | If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868. | 8b | \$ | 2,056. |
| c  | <b>Balance Due.</b> Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions         | 8c | \$ | 0.     |

**Signature and Verification**

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature ▶

Title ▶

Date ▶