Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

2009

For calendar year 2009, or tax year beginning , **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
AUFZIEN FOUNDATION, INC

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
350 PASSAIC AVENUE

City or town, state, and ZIP code
FAIRFIELD, NJ 07004

A Employer identification number
22-2838652

B Telephone number
973-575-5132

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

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

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

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

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

I Fair market value of all assets at end of year (*from Part II, col (c), line 16*) ▶$ 5,718,494.

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

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

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received	43,192.		N/A	
	2 Check ▶ [ ] if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	127,470.	127,470.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	<304,489.>			STATEMENT 1
	b Gross sales price for all assets on line 6a 2,310,567.				
	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	<4,667.>	<4,667.>		STATEMENT 3
	12 **Total** Add lines 1 through 11	<138,494.>	122,803.		
Operating and Administrative Expenses	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				
	c Other professional fees				
	17 Interest	13,327.	13,327.		0.
	18 Taxes STMT 4	1,783.	0.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 5	105,953.	105,953.		0.
	24 **Total operating and administrative expenses** Add lines 13 through 23	121,063.	119,280.		0.
	25 Contributions, gifts, grants paid	510,509.			510,509.
	26 **Total expenses and disbursements.** Add lines 24 and 25	631,572.	119,280.		510,509.
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	<770,066.>			
	b **Net investment income** (if negative, enter -0-)		3,523.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

RECEIVED
NOV 17 2010
OGDEN, UT
IRS-OSC

SCANNED NOV 22 2010

923501
02-02-10 LHA **For Privacy Act and Paperwork Reduction Act Notice, see the instructions.** Form **990-PF** (2009)

614 916-17

14351027 760107 E043097 2009.04050 AUFZIEN FOUNDATION, INC E0430972

2\

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

		Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	3,111.	17,029.	17,029.
	2 Savings and temporary cash investments	430,770.	191,895.	191,895.
	3 Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U S and state government obligations			
	b Investments - corporate stock			
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 6	5,932,224.	4,949,065.	5,314,623.
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶ STATEMENT 7)	0.	194,947.	194,947.
	16 **Total assets** (to be completed by all filers)	6,366,105.	5,352,936.	5,718,494.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ [X] and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	6,366,105.	5,352,936.	
	28 Paid-in or capital surplus, or land, bldg , and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	0.	0.	
	30 **Total net assets or fund balances**	6,366,105.	5,352,936.	
	31 **Total liabilities and net assets/fund balances**	6,366,105.	5,352,936.	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	6,366,105.
2	Enter amount from Part I, line 27a	2	<770,066.>
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	5,596,039.
5	Decreases not included in line 2 (itemize) ▶ BOOK VERSES TAX DIFFERENCES	5	243,103.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	5,352,936.

Part IV Capital Gains and Losses for Tax on Investment Income

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

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e	2,310,567.		2,544,991.	<282,298.>

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

	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a				
b				
c				
d				
e				<282,298.>

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } | 2 | <282,298.>

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

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2008	451,678.	8,408,276.	.053718
2007	205,114.	7,279,615.	.028176
2006	214,150.	5,288,486.	.040494
2005	210,100.	3,355,222.	.062619
2004	245,600.	2,940,991.	.083509

2 Total of line 1, column (d)	2	.268516
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	.053703
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	5,257,633.
5 Multiply line 4 by line 3	5	282,351.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	35.
7 Add lines 5 and 6	7	282,386.
8 Enter qualifying distributions from Part XII, line 4	8	510,509.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ▶ [ ] and enter "N/A" on line 1 Date of ruling or determination letter ______ **(attach copy of letter if necessary-see instructions)** b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ [X] and enter 1% of Part I, line 27b c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		1	35.
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	35.
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	35.
6 Credits/Payments			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a 9,850.		
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	9,850.
8 Enter any **penalty** for underpayment of estimated tax Check here [ ] if Form 2220 is attached		8	
9 **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶		9	
10 **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶		10	9,815.
11 Enter the amount of line 10 to be **Credited to 2010 estimated tax** ▶ 9,815. **Refunded** ▶		11	0.

Part VII-A Statements Regarding Activities

		Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?	1b		X
If the answer is "Yes" to **1a** *or* **1b**, *attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c Did the foundation file **Form 1120-POL** for this year?	1c		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ 0. (2) On foundation managers ▶ $ 0.			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0.			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7 Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NJ			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

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

Website address ▶ N/A

14 The books are in care of ▶ ALAN AUFZIEN Telephone no ▶973-575-5132

Located at ▶350 PASSAIC AVENUE, FAIRFIELD, NJ ZIP+4 ▶07004

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

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

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

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

			Line	Yes	No
1a	During the year did the foundation (either directly or indirectly)				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days)	☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?	N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here	▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?		1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))				
a	At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009?	☐ Yes ☒ No			
	If "Yes," list the years ▶ ______, ______, ______, ______				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions)	N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ______, ______, ______, ______				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009)*	N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?		4b		X

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? N/A | 5b |

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

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

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

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

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

If "Yes" to 6b, file Form 8870

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

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

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 8		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	
Total. Add lines 1 through 3 ▶	0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities	1a	4,986,673.
b	Average of monthly cash balances	1b	351,025.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	5,337,698.
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	5,337,698.
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	80,065.
5	**Net value of noncharitable-use assets** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	5,257,633.
6	**Minimum investment return.** Enter 5% of line 5	6	262,882.

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	262,882.
2a	Tax on investment income for 2009 from Part VI, line 5 — 2a: 35.		
b	Income tax for 2009 (This does not include the tax from Part VI) — 2b:		
c	Add lines 2a and 2b	2c	35.
3	Distributable amount before adjustments Subtract line 2c from line 1	3	262,847.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	262,847.
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	262,847.

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	510,509.
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	510,509.
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	35.
6	**Adjusted qualifying distributions** Subtract line 5 from line 4	6	510,474.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				262,847.
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 — 95,244.				
b From 2005 — 47,394.				
c From 2006				
d From 2007				
e From 2008 — 32,974.				
f **Total** of lines 3a through e	175,612.			
4 Qualifying distributions for 2009 from Part XII, line 4 ▶ $ 510,509.				
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				262,847.
e Remaining amount distributed out of corpus	247,662.			
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	423,274.			
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	95,244.			
9 **Excess distributions carryover to 2010.** Subtract lines 7 and 8 from line 6a	328,030.			
10 Analysis of line 9				
a Excess from 2005 — 47,394.				
b Excess from 2006				
c Excess from 2007				
d Excess from 2008 — 32,974.				
e Excess from 2009 — 247,662.				

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

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

ALAN AUFZIEN

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

NONE

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

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

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

ALAN AUFZIEN, 973-575-5132
350 PASSAIC AVENUE, FAIRFIELD, NJ 07004

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

LETTER

c Any submission deadlines

NONE

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

NONE

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
SEE STATEMENT 9				
Total			▶ 3a	510,509.
b *Approved for future payment*				
NONE				
Total			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	127,470.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income			14	<4,667.>	
8 Gain or (loss) from sales of assets other than inventory			14	<304,489.>	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue					
a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)		0.		<181,686.>	0.

13 Total. Add line 12, columns (b), (d), and (e) 13 <181,686.>

(See worksheet in line 13 instructions to verify calculations)

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

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

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

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

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

Signature of officer or trustee | Date 11/12/10 | Title DIRECTOR

Paid Preparer's Use Only

Preparer's signature	Date 11/11/10	Check if self-employed ☐	Preparer's identifying number P00058173
Firm's name (or yours if self-employed), address, and ZIP code	HOBERMAN, MILLER, GOLDSTEIN & LESSER 226 WEST 26TH STREET NEW YORK, NY 10001-6785	EIN	Phone no 2124630900

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

Schedule of Contributors

▶ **Attach to Form 990, 990-EZ, or 990-PF.**

OMB No 1545-0047

2009

Name of the organization	**Employer identification number**
AUFZIEN FOUNDATION, INC	22-2838652

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	[X] 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

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

General Rule

[X] 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).

Name of organization: AUFZIEN FOUNDATION, INC

Employer identification number: 22-2838652

Part I Contributors (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	ALAN AUFZIEN 350 PASSAIC AVENUE FAIRFIELD, NJ 07004	$ 5,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
2	LISA AUFZIEN 7 MORAN ROAD WEST ORANGE, NJ 07052	$ 5,192.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
3	MEREDITH BAUER 9 STONEBRIDGE ROAD MONTCLAIR, NJ 07042	$ 33,000.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)
		$	Person [ ] Payroll [ ] Noncash [ ] (Complete Part II if there is a noncash contribution.)

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold, e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a	GCM 2007 OPPORTUNITY FUND	P		
b	GOLUB CAPITAL PARTNERS V LP	P		
c	GOLUB CAPITAL PARTNERS V LP	P		
d	UBS #20125-45	P		
e	UBS #20125-45	P		
f	UBS #20975-45	P		
g	UBS #20975-45	P		
h	CHARLES SCHWAB #5060-6747	D		
i	CHARLES SCHWAB #5060-6747	P		
j	CHARLES SCHWAB #2148-1279	P		
k	RBC DAIN RAUCHER #300-00838	D		
l	RBC DAIN RAUCHER #300-00838	P		
m	RBC DAIN RAUCHER #309-58541	D		
n	RBC DAIN RAUCHER 3309-58541	P		
o	CMS STRUCTURED PRODUCTS	P		

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				<521.>
b				<1,456.>
c				<4,114.>
d	679,147.		636,573.	42,574.
e	194,520.		219,809.	<25,289.>
f	38,233.		38,531.	<298.>
g	65,449.		95,141.	<29,692.>
h	26,772.		29,153.	<2,381.>
i	467,659.		511,928.	<44,269.>
j	445,988.		480,055.	<34,067.>
k	44,829.		49,893.	<5,064.>
l	287,974.		479,255.	<191,281.>
m	408.		1,103.	<695.>
n	1,068.		3,550.	<2,482.>
o				2,502.

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

	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
a				<521.>
b				<1,456.>
c				<4,114.>
d				42,574.
e				<25,289.>
f				<298.>
g				<29,692.>
h				<2,381.>
i				<44,269.>
j				<34,067.>
k				<5,064.>
l				<191,281.>
m				<695.>
n				<2,482.>
o				2,502.

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter "-0-" in Part I, line 8	3	

923591
04-24-09

AUFZIEN FOUNDATION
CAPITAL GAINS
CHARLES SCHWAB
December 31, 2009

	STOCK	# OF SHARES SOLD	SALES PRICE	COST AT TAX VALUE	COST AT BOOK VALUE	GAIN/LOSS TAX VALUE	GAIN/LOSS BOOK VALUE
	#5060-6747						
Jonathon	Fairholme Fund	1,247 129	26,771 83	29,153 19	34,395 57	(2,381.36)	(7,623 74)
	Donated Totals		26,771.83	29,153.19	34,395.57	(2,381.36)	(7,623 74)
	CGM Focus Fund	932.358	19,044 74	25,549 95	25,549.95	(6,505 21)	(6,505 21)
	Diamonds Trust I	970 000	83,868 79	82,819 21	82,819 21	1,069 58	1,069 58
	Fairholme Fund	903 461	19,394 36	18,001 76	18,001 76	1,392 60	1,392 60
	Fairholme Fund	1,095 426	18,922 83	26,689 16	26,689 16	(7,766 33)	(7,766 33)
	Fairholme Fund	970 334	15,698 58	23,753 34	23,753 34	(8,054 76)	(8,054 76)
	Lateef Fund I	5,696 550	33,575.24	40,925 91	40,925 91	(7,350 67)	(7,350 67)
	Lateef Fund I	2,571 430	15,155 90	18,473.99	18,473 99	(3,318 09)	(3,318 09)
	Leuthold Grizzly Short	772 727	5,208.18	5,370 45	5,370 45	(162 27)	(162.27)
	Leuthold Grizzly Short	1,762 069	10,731.00	12,246 38	12,246.38	(1,515.38)	(1,515 38)
	Leuthold Grizzly Short	2,261.554	13,772 86	23,000 00	23,000 00	(9,227 14)	(9,227 14)
	Proshares Short Dow Par 0 00	482 000	41,159.88	36,773 19	36,773.19	4,386.69	4,386 69
	Prosheers Short Dow Par 0.00	169 000	14,158 56	12,893 51	12,893 51	1,265 05	1,265.05
	Proshars Short Dow Par 0 00	284 000	23,793 08	21,667 19	21,667 19	2,125 89	2,125 89
	Proshares Short Dow Par 0 00	393.000	20,708 05	26,325 68	26,325 68	(5,617.63)	(5,617 63)
	Proshares Short Dow Par 0 00	287 000	15,122 68	19,225 11	19,225 11	(4,102 43)	(4,102 43)
	Proshares Short Dow Par 0.00	253 000	13,331 14	16,947.57	16,947 57	(3,616 43)	(3,616 43)
	Proshares Short S&P ETF	304.000	20,764 71	22,364 02	22,364 02	(1,599 31)	(1,599 31)
	Standards & Poors Midcap	495.000	42,959 16	40,726 27	40,726.27	2,232 89	2,232 89
	Standards & Poors Midcap	326 000	19,613 68	18,594.21	18,594.21	1,019 47	1,019 47
	Standards & Poors Midcap	238 000	20,655.11	19,581.52	19,581 52	1,073 59	1,073 59
	Purchased Totals		467,658.53	511,928.42	511,928.42	(44,269.89)	(44,269.89)
	Total		494,430.36	541,081.61	546,323.99	(46,651.25)	(51,893.63)
	#2148-1279						
	Donated Totals		-	-	-	-	-
	Calamos Growth & Income Fd	569.837	13,083 56	12,607 33	12,607.33	476.25	476.25
	Ishares Trust	757 000	51,604 46	50,389 12	50,389 12	1,215 34	1,215 34
	Leuthold Asset Alloc	2,052 012	14,815 53	21,277 58	21,277 58	(6,462 05)	(6,462.05)
	Leuthold Asset Alloc	1,809.955	13,067 88	18,767 66	18,767.66	(5,699 78)	(5,699 78)
	Leuthold Asset Alloc	442 389	3,194 05	4,587 19	4,587.19	(1,393.14)	(1,393 14)
	Leuthold Asset Alloc	3 991	28 02	41.38	41.38	(13 36)	(13.36)
	Leuthold Asset Alloc	127 795	922 68	1,325 12	1,325.12	(402.44)	(402.44)
	Leuthold Asset Alloc	480.525	3,469 39	4,982 63	4,982.63	(1,513.24)	(1,513.24)
	Leuthold Asset Alloc	2,575 782	17,541 07	26,708 62	26,708.62	(9,167.55)	(9,167 55)
	Leuthold Asset Alloc	211 574	1,440.82	2,193.84	2,193 84	(753 02)	(753 02)
	Natixis Gateway Y	494 845	12,039 58	14,241 64	14,241.64	(2,202 06)	(2,202 06)
	Natixis Gateway Y	1,500.858	35,195.12	43,194.70	43,194 70	(7,999.58)	(7,999 58)
	Natixis Gateway Y	376 729	7,873 64	10,842.26	10,842.26	(2,968.62)	(2,968 62)
	Proshares Short S&P ETF	462 000	41,018 76	35,781 52	35,781 52	5,237.24	5,237.24
	Proshares Short S&P ETF	22 000	1,953.27	1,862 71	1,862 71	90 56	90 56
	Proshares Short S&P ETF	393 000	34,013 45	33,274 83	33,274.83	738.62	738 62
	Prudent Bear Fds Inc	1,801.802	12,000 00	11,909 91	11,909.91	90.09	90 09
	Prudent Bear Fds Inc	3,353.659	21,932 93	22,167.68	22,167 68	(234 75)	(234 75)
	Prudent Bear Fds Inc	2,257.550	14,312 87	14,922 40	14,922 40	(609 53)	(609 53)
	Prudent Bear Fds Inc	2,431.259	15,414 18	16,800 00	16,800 00	(1,385 82)	(1,385 82)
	Prudent Bear Fds Inc	3,394.980	21,524 17	25,700 00	25,700 00	(4,175 83)	(4,175.83)
	Rydex Inv Gvt Long Bond Tr	1,519.757	21,246.20	20,524.13	20,524 13	722 07	722 07
	Rydex Inv Gvt Long Bond Tr	2,686 131	37,552 11	36,275 87	36,275 87	1,276.24	1,276.24
	Streetracks Gold Trust	425 000	38,971 45	37,506.23	37,506.23	1,465.22	1,465 22
	The Permanent Portfolio	362 341	11,772 46	12,171 03	12,171 03	(398 57)	(398 57)
						-	-
	Purchased Totals		445,987.67	480,055.38	480,055.38	(34,067.71)	(34,067.71)
	Total		445,987.67	480,055.38	480,055 38	(34,067.71)	(34,067.71)

AUFZIEN FOUNDATION
CAPITAL GAINS
RBC DAIN RAUSCHER

	DATE	STOCK	# OF SHARES	COST AT DONOR BASIS	COST AT MARKET VALUE	mkt value when trf to new a/c	SALES PRICE	SHARES SOLD	COST TAX VALUE	COST BOOK VALUE	GAIN TAX VALUE	GAIN BOOK VALUE
TRANSFERRED IN ACCT# 300-00838				transferred In								
ALAN	10/11/2006 *	AEGON	318	3,787.67	5,889 36	5,800 32	1,217 07	318.00	3,787.67	5,889 36	(2,570.60)	(4,672.29)
LISA	10/11/2006 *	AEGON	250	2,876.29	4,630 00	4,560 00	1,930 09	250.00	2,876.29	4,630 00	(946.20)	(2,699.91)
ALAN	10/11/2006 *	AKZO NOBEL	72	2,625.28	4,288 32	4,320.00	3,493 48	72 00	2,625 28	4,288 32	868.20	(794.84)
LISA	10/11/2006 *	CONTAX PARTICIPACOES SA ADA	19	9.50	17 02	18 70	40 09	19 00	9.50	17 02	30.59	23.07
ALAN	10/11/2006 *	GLAXOSMITHKLINE PLC	93	4,106.31	5,056.41	4,912.26	2,836 55	93 00	4,106.31	5,056 41	(1,269 76)	(2,219 86)
JON	10/11/2006 *	KONINKLIHKE AHOLD SP (EXCH TOTAL IN 06 1845)	534	5,467.36	3,567 28	5,286.60	6,358.08	534 00	5,467 36	3,567 28	890 72	2,790 80
LISA	10/11/2006 *	KONINKLIHKE AHOLD SP	80	675.20	534 42	792 00	1,030 37	80 00	675.20	534 42	355 17	495 95
ALAN	10/11/2006 *	KOREA ELEC POWER CO	100	1,407 45	1,950.00	2,173 00	1,093 83	100 00	1,407 45	1,950 00	(313.62)	(856.17)
LISA	10/11/2006 *	KOREA ELEC POWER CO	183	1,866.60	3,568 50	3,976.59	2,001 70	183 00	1,866 60	3,568 50	135 10	(1,566 80)
ALAN	10/11/2006 *	TOKIO MARINE HOLDINGS	133	3,468.03	4,774.70	4,801 30	3,214 38	133 00	3,468 03	4,774 70	(253.65)	(1,560 32)
ALAN	12/1/2006 *	TOKIO MARINE HOLDINGS	84	2,272 40	3,015 60	3,032.40	2,030 13	84.00	2,272 40	3,015.60	(242.27)	(985 47)
ALAN	10/11/2006 *	MITSUBISHI UFJ FINL	40	336.35	526.80	509.20	181 60	40.00	336.35	526.80	(154 75)	(345.20)
LISA	10/11/2006 *	MITSUBISHI UFJ FINL	283	2,501.53	3,727 11	3,602.59	1,284 81	283.00	2,501 53	3,727 11	(1,216.72)	(2,442 30)
ALAN	10/11/2006 *	NIPPON TELEG & TEL CORP	10	207.21	263.80	255 60	213 56	10.00	207 21	263 80	6 35	(50.24)
LISA	10/11/2006 *	NIPPON TELEG & TEL CORP	166	3,475.67	4,379.08	4,242.96	3,545 17	166.00	3,475 67	4,379 08	69.50	(833.91)
ALAN	10/11/2006 *	PORTUGAL TELECOM SGPS	605	5,723 80	7,459 65	7,810.55	5,931 41	605.00	5,723 80	7,459 65	207.61	(1,528.24)
LISA	10/11/2006 *	SONY CORP ADR	30	900.00	1,159.20	1,188 30	499 82	30.00	900.00	1,159 20	(400 18)	(659.38)
ALAN	10/11/2006 *	TELEFONOS DE MEXICO	85	1,561.45	2,245 70	2,312 85	1,192 78	85.00	1,561.45	2,245 70	(368.67)	(1,052.92)
LISA	10/11/2006 *	TELEFONOS DE MEXICO	80	1,564.92	2,113 60	2,176 80	1,373.56	80.00	1,564.92	2,113 60	(191.36)	(740.04)
		TIM PARTICIPACOES	3 75	67.30	110.29	127 24	95.17	3.75	67 30	110.29	27.87	(15.12)
ALAN	10/11/2006 *	WOLTERS KLUWER NV	275	4,992.75	7,198 40	7,796.25	5,265 50	275.00	4,992 75	7,198 40	272.75	(1,932 90)
		DONATED TOTALS		**49,893.07**	**66,475.24**	**69,695.51**	**44,829.15**		**49,893.07**	**66,475.24**	**(5,063.92)**	**(21,646.09)**
		BARCLAYS PLC-ADR	15				82 21	15 00	406 13	406 13	(323.92)	(323 92)
		BP PLC	15				876.12	15 00	716.71	716 71	159.41	159.41
		CANON INC	100				3,115.58	100.00	3,281 41	3,281 41	(165.83)	(165.83)
		CARREFOUR S A	395				3,471.96	395 00	3,447.24	3,447.24	24.72	24.72
		CEMEX S A	185				2,040.77	185 00	2,396 86	2,396 86	(356.09)	(356.09)
		DAIICHI SANKYO CO	95				1,852 45	95 00	1,529.28	1,529 28	323.17	323.17
		ENI SPA SPONSORED	70				3,597.20	70 00	3,352.23	3,352 23	244.97	244.97
		FRANCE TELECOM	3				77.95	3.00	67 27	67.27	10.68	10 68
		HSBC HOLDINGS	11.999				676.65	11 999	221 85	221.85	454.80	454 80
		INFINEON TECHNOLOGIS	312				1,724.63	312 00	958.95	958 95	765.68	765 68
		INTESA SANPAOLO SPA	115				1,700 85	115.00	4,181.96	4,181.96	(2,481.11)	(2,481.11)
		ISHARES BARCLAY MBS BOND	84				8,898 60	84.00	8,995.26	8,995.26	(96.66)	(96 66)
		ISHARES TRUST IBOXXX	59				6,149 73	59.00	6,174 78	6,174.78	(25.05)	(25.05)
		ITALCEMENTI SPA	125				1,122 49	125 00	1,755 96	1,755.96	(633.47)	(633.47)
		MARKS & SPENCER GROUP	242				1,800 47	242.00	3,872 82	3,872.82	(2,072.35)	(2,072.35)
		NISSAN MOTOR CORP	180				1,098 01	180 00	2,926 80	2,926.80	(1,828.79)	(1,828.79)
		NOKIA CORPORATION	595				6,842 30	595.00	9,745 86	9,745.86	(2,903 56)	(2,903.56)
		SAINSBURY J	25				451.25	25.00	691 37	691.37	(240 12)	(240 12)
		SONY CORP	130				3,814 73	130 00	2,755 60	2,755.60	1,059.13	1,059 13
		TELECOM ITALIA	145				2,385.56	145.00	1,649 78	1,649.78	735.78	735.78
		TOYOTA MOTOR CORP	15				1,196 06	15.00	1,198.85	1,198.85	(2.79)	(2.79)
		UPM KYMMENE CORP	155				1,341.37	155 00	2,042 62	2,042.62	(701.25)	(701 25)
		XL CAPITAL LTD CL A	115				1,688.21	115.00	1,060 99	1,060.99	627.22	627.22
		ACOM CO LTD	150				472 48	150 00	1,343 68	1,343.68	(871.20)	(871.20)
		AEGON NV	17				131 25	17.00	278 12	278 12	(146 87)	(146.87)

AUFZIEN FOUNDATION
CAPITAL GAINS
RBC DAIN RAUSCHER

DATE	STOCK	# OF SHARES	COST AT DONOR BASIS	COST AT MARKET VALUE	mkt value when trf to new a/c	SALES PRICE	SHARES SOLD	COST TAX VALUE	COST BOOK VALUE	GAIN TAX VALUE	GAIN BOOK VALUE
	ALCATEL-LUCENT	1,560				4,283.39	1,560 00	21,948.00	21,948 00	(17,664 61)	(17,664.61)
	ASTRAZENECA PLC	230				8,838.29	230 00	11,354 22	11,354 22	(2,515 93)	(2,515.93)
	BARCLAYS PLC-ADR	240				3,315 74	240 00	8,444 10	8,444 10	(5,128.36)	(5,128.36)
	BRITISH SKY BROADCASTING	135				4,216 47	135 00	5,555 25	5,555 25	(1,338 78)	(1,338.78)
	CANON INC	55				2,113 27	55 00	1,715 34	1,715 34	397 93	397.93
	CENTRAIS ELECTRICAS	270				3,417 24	270.00	3,324 98	3,324 98	92 26	92 26
	DAI NIPPON PRINTINGLTD	425				4,381 26	425 00	6,396 25	6,396 25	(2,014.99)	(2,014.99)
	DEUTSCHE TELEKOM	865				11,277 47	865 00	14,728 49	14,728 49	(3,451.02)	(3,451 02)
	ERICSSON L M TEL CO	670				6,319 55	670.00	9,936 93	9,936 93	(3,617.38)	(3,617.38)
	FLEXTRONICS INTERNATIONAL	355				2,410.91	355.00	3,338 78	3,338 78	(927 87)	(927.87)
	FRANCE TELECOM	370				8,970.83	370 00	10,191 43	10,191 43	(1,220.60)	(1,220 60)
	FUJI HEAVY INDUSTRIES LTD	135				4,848 66	135 00	7,696 35	7,696.35	(2,847.69)	(2,847 69)
	FUJIFILM HOLDINGS	205				4,827.10	205 00	7,519 51	7,519 51	(2,692.41)	(2,692 41)
	GLAXOSMITHKLINE PLC	205				7,484.31	205 00	10,750 46	10,750.46	(3,266.15)	(3,266 15)
	H LUNDBECK A/S	215				4,387.32	215.00	5,034.48	5,034 48	(647.16)	(647.16)
	HITACHI LTD	70				1,999 51	70.00	4,246.90	4,246.90	(2,247.39)	(2,247 39)
	HSBC HOLDINGS	61.175				2,818.44	61.175	5,618 16	5,618 16	(2,799 72)	(2,799 72)
	INFINEON TECHNOLOGIS	705				3,533.77	705 00	5,954.65	5,954 65	(2,420.88)	(2,420.88)
	INTESA SANPAOLO SPA	115				3,017.60	115 00	3,986 67	3,986.67	(969.07)	(969.07)
	ITALCEMENTI SPA	110				1,637 85	110.00	1,545 25	1,545.25	92.60	92 60
	KINGFISHER PLC	1,505				7,988.96	1,505.00	10,776 44	10,776.44	(2,787.48)	(2,787.48)
	KT CORP	170				2,441.15	170.00	4,452 95	4,452 95	(2,011.80)	(2,011.80)
	MAGNA INTERNATIONAL INC	55				2,230.19	55.00	4,367 55	4,367 55	(2,137.36)	(2,137.36)
	MARKS & SPENCER GROUP	586				5,903.94	586.00	9,525.45	9,525 45	(3,621.51)	(3,621.51)
	MITSUBISHI UFJ FINL GROUP	1,120				5,817.66	1,120.00	12,475.52	12,475 52	(6,657 86)	(6,657.86)
	MITSUI SUMITOMO INSURANCE GROUP HOLDINGS	610				7,199.02	610.00	12,530.10	12,530 10	(5,331.08)	(5,331.08)
	MIZUHO FINL GROUP INC	1,165				4,483 26	1,165.00	12,978.72	12,978 72	(8,495.46)	(8,495.46)
	NEC CORP	985				2,610.25	985 00	4,570.75	4,570 75	(1,960 50)	(1,960 50)
	NIPPON TELEGRAPH & TELEPHONE	315				6,600.89	315.00	7,430.53	7,430.53	(829.64)	(829.64)
	NISSAN MOTOR CORP	165				2,362.73	165.00	2,682 90	2,682 90	(320 17)	(320.17)
	NORTELL NETWORKS CORP	410				33 12	410 00	9,413.56	9,413.56	(9,380.44)	(9,380 44)
	PROMISE CO LTD	445				2,173.27	445.00	7,443.60	7,443 60	(5,270.33)	(5,270 33)
	ROYAL BANK OF SCOTLAND GROUP	93				1,324.29	93 00	12,135.78	12,135.78	(10,811.49)	(10,811.49)
	SAINSBURY J	235				4,752.90	235 00	6,834.49	6,834 49	(2,081.59)	(2,081 59)
	SANOFI AVENTIS	387				12,220.44	387 00	15,688.06	15,688 06	(3,467.62)	(3,467.62)
	SEIKO EPSON CORP	645				4,375.26	645.00	7,832 47	7,832 47	(3,457.21)	(3,457.21)
	SK TELECOM CO	470				7,171 97	470.00	12,278.89	12,278.89	(5,106 92)	(5,106.92)
	SONY CORP	90				1,499 47	90 00	3,870 00	3,870 00	(2,370.53)	(2,370 53)
	STMICROELECTRONICS N V	635				4,044.75	635.00	11,690 35	11,690.35	(7,645 60)	(7,645.60)
	SUMITOMO MIRSUI FINANCIAL GP	1,165				3,867 07	1,165.00	8,725.68	8,725.68	(4,858.61)	(4,858.61)
	SWISS REINSURANCE CO	105				2,814.68	105.00	7,016.97	7,016.97	(4,202.29)	(4,202 29)
	SWISSCOM SPONSORED	290				9,637.23	290 00	10,880.60	10,880 60	(1,243.37)	(1,243.37)
	TDK CORP	75				3,235.89	75.00	5,342.70	5,342 70	(2,106.81)	(2,106.81)
	TELE NORTE LESTE	35				672.68	35.00	-	-	672.68	672.68
	TELECOM CORP OF NEW ZEALAND	71				670.93	71 00	1,198 72	1,198.72	(527.79)	(527 79)
	TELECOM ITALIA	645				8,901.02	645.00	19,062 95	19,062 95	(10,161.93)	(10,161.93)
	TELEFONICA SA	47				3,276.30	47.00	3,007.51	3,007 51	268 79	268.79
	TELEMEX INTERNATIONAL SAB	240				2,505 07	240 00	2,726 40	2,726 40	(221.33)	(221 33)
	THOMSON	595				508 47	595 00	11,279 25	11,279.25	(10,770.78)	(10,770.78)
	TOMKINS PLC	240				2,078.14	240 00	4,576 80	4,576 80	(2,498.66)	(2,498.66)
	TYCO ELECTRONICS LTD	125				1,215 05	125.00	4,365 00	4,365 00	(3,149 95)	(3,149 95)
	TYCO ELECTRONICS LTD (SWITZERLAND)	115				2,523 24	115.00	3,938.57	3,938.57	(1,415.33)	(1,415.33)
	UNILEVER N V	250				6,302.06	250 00	6,775 00	6,775 00	(472.94)	(472.94)

AUFZIEN FOUNDATION
CAPITAL GAINS
RBC DAIN RAUSCHER

DATE	STOCK	# OF SHARES	COST AT DONOR BASIS	COST AT MARKET VALUE	mkt value when trf to new a/c	SALES PRICE	SHARES SOLD	COST TAX VALUE	COST BOOK VALUE	GAIN TAX VALUE	GAIN BOOK VALUE
	UPM KYMMENE CORP	100				1,195 97	100 00	1,561 64	1,561 64	(365.67)	(365 67)
	VIVO PARTICIPACOES S A	2				51 08	2 00	29 99	29 99	21.09	21.09
	WOLSELEY PLC	340				751 38	340 00	3,875.49	3,875 49	(3,124 11)	(3,124 11)
	XL CAPITAL LTD CL A	55				934 42	55 00	507.43	507 43	426 99	426 99
	CONTAX	60				126.59	60 00	54 84	54 84	71.75	71 75
	TIM PARTICIPACOES	2 250				57 10	2.250	28.10	28 10	29.00	29 00
	TIM PARTICIPACOES	0 750				19 03	0.075	9 37	9 37	9 66	9 66
	BRAZIL TELECOM PARTICIPACOE	12 000				612 82	12 000	937 92	937 92	(325.10)	(325 10)
	VIVO PARTICIPACOES S A	3 000				76.61	3.000	37.62	37 62	38 99	38 99
	PURCHASED TOTAL					287,974.21		479,255.24	479,255.24	(191,281.03)	(191,281.03)
	TOTAL					332,803.36		529,148.31	545,730.48	(196,344.95)	(212,927.12)

	DATE	STOCK	# OF SHARES	COST AT DONOR BASIS	COST AT MARKET VALUE	mkt value when trf to new a/c	SALES PRICE	SHARES SOLD	COST TAX VALUE	COST BOOK VALUE	GAIN TAX VALUE	GAIN BOOK VALUE
TRANSFERRED IN ACCT# 309-58541												
LISA	12/12/2007	ARACRUZ CELLULOSE SA	20	1,103.20	1,469 40		408 28	45 00	1,103 20	1,469 40	(694 92)	(1,061.12)
		TOTAL DONATED		1,103.20	1,469.40	-	408.28		1,103.20	1,469.40	(694.92)	(1,061.12)
		VOTORANTIM CELULOSSE	0.062				0 96	0 062	0 94	0 94	0 02	0 02
		VOTORANTIM CELULOSSE	0.145				2.25	0 145	2 20	2 20	0 05	0.05
		VOTORANTIM CELULOSSE	0 082				1.29	0 082	1.26	1.26	0.03	0.03
		ARACRUZ CELLULOSE SA	15				306 21	15 00	980 55	980.55	(674 34)	(674 34)
		ARACRUZ CELLULOSE SA	35				714 48	35.00	2,522 80	2,522.80	(1,808 32)	(1,808 32)
		NOBLE CORPORATION					8.94		8.94	8.94	-	-
		NOBLE CORPORATION					17 89		17 89	17 89	-	-
		NOBLE CORPORATION					15.53		15 53	15 53	-	-
											-	-
		PURCHASED TOTAL					1,067.55		3,550.11	3,550.11	(2,482.56)	(2,482.56)
		TOTAL					1,475.83		4,653.31	5,019.51	(3,177.48)	(3,543.68)

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold, e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1a	MUUS INDEPENDENCE FUND	P		
b	MUUS INDEPENDENCE FUND	P		
c	CAPITAL GAINS DIVIDENDS			
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				<7,193.>
b				<37,092.>
c	58,520.			58,520.
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col (h)) Gains (excess of col (h) gain over col (k), but not less than "-0-")
	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a				<7,193.>
b				<37,092.>
c				58,520.
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	<282,298.>
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter "-0-" in Part I, line 8	3	N/A

923591
04-24-09

UBS

UBS Financial Services Inc
101 WEST ELM STREET
SUITE 200
CONSHOHOCKEN PA 19428-2006

CPZ6001648145 1209 X125 VQ 0

2009 Year End Summary

Account name: AUFZIEN FOUNDATION INC
Friendly account name: Fdn-NB AllCapCr
Account number: VQ 20125 45

Your Financial Advisor
DUNSMORE,JAMES
Phone 610-832-3002/800-240-0340

AUFZIEN FOUNDATION INC
350 PASSAIC AVENUE
FAIRFIELD NJ 07004-2025

Summary of gains and losses

	Amount ($)
Short term	42,573 51
Long term	-25,289.68
Total	**$17,283.83**

Realized gains and losses

Estimated 2009 gains and losses for transactions with trade dates through 12/31/09 have been incorporated into this statement To calculate gains and losses, we liquidate the oldest security lot first This is known as the first-in, first-out or FIFO accounting method We use this method unless you specified which tax lot to close when you placed your order This is known as a versus purchases or VSP order *See Important information about your statement* on the last page of this statement for more information

We may not adjust gains and losses for all capital changes Cost basis for coupon tax-exempt municipal securities, include securities subject to AMT, has been adjusted for mandatory amortization of bond premium Estimates in the Unclassified section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided

Short-term capital gains and losses

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
ABBOTT LABS	FIFO	132 000	Oct 07, 08	Apr 22, 09	5,668 85	7,450 98	-1,782 13		
	FIFO	148 000	Oct 16, 08	Apr 22, 09	6,355 98	8,107 88	-1,751 90		
	FIFO	144 000	Nov 05, 08	Apr 22, 09	6,184 20	8,024 76	-1,840 56		

continued next page

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	154 000	Oct 07, 08	Mar 02, 09	7,261 96	8,692 81	-1,430 85		
ALCON INC	FIFO	78 000	Dec 11, 08	Oct 19, 09	11,392 86	6,365 07		5,027 79	
	FIFO	60 000	Feb 27, 09	Oct 19, 09	8,763 74	5,078 75		3,684 99	
	FIFO	40 000	Dec 11, 08	Jun 17, 09	4,331 82	3,264 14		1,067 68	
	FIFO	74 000	Dec 11, 08	May 28, 09	7,848 96	6,038 65		1,810 31	
	FIFO	24 000	Dec 11, 08	Mar 03, 09	1,876 21	1,958 48	-82 27		
AON CORP	FIFO	346 000	Dec 09, 08	Apr 06, 09	13,853 38	15,116 50	-1,263 12		
	FIFO	56 000	Dec 09, 08	Mar 03, 09	2,083 34	2,446 60	-363 26		
BANCO SANTANDER BRASIL ADS	FIFO	396 000	Oct 07, 09	Nov 18, 09	5,302 30	5,170 33		131 97	
BANCO SANTANDER S A SPON ADR	FIFO	1,736 000	Jul 31, 09	Oct 08, 09	28,352 49	24,627 07		3,725 42	
BAXTER INTL INC	FIFO	83 000	Jul 02, 09	Nov 18, 09	4,622 27	4,408 74		213 53	
BHP BILLITON LTD SPON ADR	FIFO	10 000	Mar 19, 09	Dec 18, 09	719 28	456 45		262 83	
	FIFO	114 000	Apr 02, 09	Dec 18, 09	8,199.81	5,641 13		2,558 68	
	FIFO	191 000	May 13, 09	Dec 18, 09	13,738 27	9,392 56		4,345 71	
	FIFO	30 000	Mar 19, 09	Nov 18, 09	2,263 92	1,369 34		894 58	
	FIFO	20 000	Mar 10, 09	Jun 17, 09	1,103 54	803 78		299 76	
	FIFO	100 000	Mar 19, 09	Jun 17, 09	5,517 69	4,564 46		953 23	
	FIFO	138 000	Mar 10, 09	Jun 02, 09	8,313 29	5,546 11		2,767 18	
BLACKROCK INC	FIFO	134 000	Mar 03, 08	Mar 03, 09	12,469 03	25,478 92	-13,009 89		
	FIFO	22 000	Mar 20, 08	Mar 03, 09	2,047 15	4,357 73	-2,310 58		
CANADIAN NATURAL RESOURCES LTD	FIFO	67 000	May 22, 09	Nov 18, 09	4,553 37	3,604 79		948 58	
	FIFO	118 000	May 22, 09	Oct 20, 09	8,630 43	6,348 73		2,281 70	
CAPITAL ONE FINCL CORP	FIFO	408 000	Apr 16, 09	May 11, 09	11,331 70	6,802 01		4,529 69	
	FIFO	88 000	May 07, 09	May 11, 09	2,444 09	2,373 00		71 09	
CATERPILLAR INC	FIFO	75 000	Sep 15, 09	Nov 18, 09	4,450 76	3,874 58		576 18	
COLGATE PALMOLIVE CO	FIFO	162 000	Dec 23, 08	Jul 30, 09	11,584 42	10,717 08		867 34	
	FIFO	158 000	May 05, 09	Jul 30, 09	11,298 38	9,749 63		1,548 75	
	FIFO	156 000	Dec 23, 08	Jun 29, 09	11,184 50	10,320 15		864 35	

continued next page

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
COVANCE INC	FIFO	32 000	Jun 30, 08	Jan 28, 09	1,172 25	2,769 61	-1,597 36		
	FIFO	362 000	Oct 31, 08	Jan 28, 09	13,261 07	17,651 19	-4,390 12		
ECOLAB INC	FIFO	156 000	Nov 13, 08	Aug 24, 09	6,626 30	5,288 63		1,337 67	
ENBRIDGE INC	FIFO	140 000	Feb 24, 09	Nov 18, 09	5,878 79	4,272 07		1,606 72	
	FIFO	102 000	Feb 24, 09	Jul 17, 09	3,672 04	3,112 51		559 53	
GENL ELECTRIC CO	FIFO	1,518 000	Mar 12, 09	May 08, 09	21,574 32	14,066 24		7,508 08	
GOLDMAN SACHS GROUP INC	FIFO	22 000	Mar 23, 09	Nov 18, 09	3,887 74	2,244 33		1,643 41	
	FIFO	32 000	Mar 23, 09	Oct 13, 09	5,942 01	3,264 49		2,677 52	
	FIFO	50 000	Mar 23, 09	May 18, 09	7,004 57	5,100 76		1,903 81	
HEWLETT PACKARD CO	FIFO	90 000	Mar 10, 09	Sep 14, 09	4,104 81	2,401 86		1,702 95	
	FIFO	190 000	Mar 27, 09	Sep 14, 09	8,665 72	6,285 75		2,379 97	
	FIFO	172 000	Apr 02, 09	Sep 14, 09	7,844 75	5,912 86		1,931 89	
	FIFO	150 000	Mar 10, 09	Sep 11, 09	6,904 53	4,003 10		2,901 43	
HSBC HOLDINGS PLC NEW GB SPON ADR	FIFO	69 000	Aug 03, 09	Nov 18, 09	4,309 28	3,751 15		558 13	
	FIFO	99 000	Aug 03, 09	Nov 17, 09	6,270 49	5,382 09		888 40	
INTL BUSINESS MACH	FIFO	46 000	Oct 20, 09	Nov 18, 09	5,884 44	5,630 05		254 39	
	FIFO	35 000	Oct 20, 09	Nov 17, 09	4,500 62	4,283 73		216 89	
JOHNSON & JOHNSON COM	FIFO	274 000	Nov 05, 08	Oct 20, 09	16,709 01	16,516 53		192 48	
	FIFO	136 000	Apr 17, 09	Oct 20, 09	8,293 53	7,209 69		1,083 84	
	FIFO	248 000	Oct 16, 08	Mar 02, 09	11,957 57	15,673 08	-3,715 51		
	FIFO	14 000	Nov 05, 08	Mar 02, 09	675 02	843 91	-168 89		
JPMORGAN CHASE & CO	FIFO	78 000	Oct 16, 08	Oct 09, 09	3,533 97	3,103 62		430 35	
KANSAS CITY STHN NEW	FIFO	474 000	Feb 19, 09	Jun 09, 09	7,692 20	8,903 14	-1,210 94		
LOCKHEED MARTIN CORP	FIFO	160 000	Feb 09, 09	Oct 20, 09	11,532 20	12,921 47	-1,389 27		
	FIFO	208 000	Jul 21, 09	Oct 20, 09	14,991 85	15,765 30	-773 45		
	FIFO	110 000	Feb 09, 09	Mar 03, 09	6,638 10	8,883 51	-2,245 41		
MEDCO HEALTH SOLUTIONS INC	FIFO	22 000	Nov 05, 08	May 07, 09	1,003 08	923 45		79 63	
	FIFO	186 000	Nov 07, 08	May 07, 09	8,480 56	7,575 50		905 06	
	FIFO	132 000	Nov 25, 08	May 07, 09	6,018 46	5,280 15		738 31	

continued next page

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	168 000	Nov 05, 08	Mar 03, 09	6,500 64	7,051 83	-551 19		
MONSANTO CO NEW	FIFO	135 000	Jan 07, 09	Oct 26, 09	9,536 75	11,668 52	-2,131 77		
	FIFO	64 000	Aug 18, 09	Oct 26, 09	4,521 12	5,176 97	-655 85		
	FIFO	138 000	Aug 12, 08	Mar 03, 09	10,150 30	15,559 76	-5,409 46		
	FIFO	74 000	Jan 07, 09	Mar 03, 09	5,442 91	6,396 08	-953 17		
NORFOLK STHN CORP	FIFO	71 000	Oct 19, 09	Nov 18, 09	3,655 16	3,521 71		133 45	
	FIFO	50 000	Oct 19, 09	Nov 17, 09	2,575 43	2,480 08		95 35	
ORACLE CORP	FIFO	922 000	Oct 27, 08	Oct 12, 09	19,144 37	15,248 96		3,895 41	
	FIFO	156 000	Apr 28, 09	Oct 12, 09	3,239 18	3,084 62		154 56	
PEPSICO INC	FIFO	304 000	Nov 24, 08	Apr 22, 09	14,769 57	16,560 98	-1,791 41		
	FIFO	108 000	Apr 17, 09	Apr 22, 09	5,247 09	5,611 64	-364 55		
PETROLEO BRASILEIRO SA SPON ADR	FIFO	260 000	Mar 19, 09	Oct 22, 09	12,966 38	8,424 96		4,541.42	
	FIFO	180 000	Apr 02, 09	Oct 22, 09	8,976 73	6,269 65		2,707 08	
	FIFO	154 000	Mar 19, 09	Jun 02, 09	6,863 52	4,990 17		1,873 35	
PHILIP MORRIS INTL INC	FIFO	173 000	Jul 24, 09	Nov 18, 09	8,729 78	8,065 87		663 91	
POTASH CORP SASK INC CANADA	FIFO	190 000	Sep 14, 09	Oct 12, 09	17,078 49	16,796 48		282 01	
PRAXAIR INC	FIFO	79 000	Jul 31, 09	Nov 18, 09	6,615 48	6,162 27		453 21	
QUALCOMM INC	FIFO	224 000	Mar 19, 09	Sep 18, 09	9,947 40	8,456 27		1,491 13	
	FIFO	136 000	Apr 02, 09	Sep 18, 09	6,039 49	5,622 42		417 07	
	FIFO	182 000	Mar 10, 09	Sep 14, 09	8,386 87	6,373 08		2,013 79	
	FIFO	42 000	Mar 19, 09	Sep 14, 09	1,935 43	1,585 55		349 88	
SCHWAB CHARLES CORP NEW	FIFO	288 000	Sep 23, 09	Nov 18, 09	5,374 37	5,462 87	-88 50		
VORNADO REALTY TRUST	FIFO	59 000	Apr 22, 09	Dec 16, 09	4,155 33	2,721 49		1,433 84	
	FIFO	1 000	Earnings	Dec 16, 09	70 43	48 10		22 33	
	FIFO	54 000	Apr 22, 09	Nov 18, 09	3,629 40	2,490 85		1,138 55	
	FIFO	55 000	Apr 22, 09	Nov 17, 09	3,673 08	2,536 98		1,136 10	
	FIFO	144 000	Apr 22, 09	Aug 27, 09	8,316 47	6,642 27		1,674 20	
WAL MART STORES INC	FIFO	268 000	Oct 20, 08	Sep 14, 09	13,489 46	14,376 62	-887.16		
	FIFO	154 000	Apr 17, 09	Sep 14, 09	7,751 40	7,813 07	-61 67		
	FIFO	176 000	Oct 20, 08	Mar 03, 09	8,527 31	9,441 36	-914 05		

continued next page

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
BLACKSTONE GROUP LP/THE UNIT REPSTG LTD PARTNERSHIP INT	FIFO	198 000	Sep 15, 09	Nov 18, 09	3,060 01	2,760 65		299 36	
Total					**$679,146.62**	**$636,573.11**	**-$53,134.29**	**$95,707.80**	**$42,573.51**

Long-term capital gains and losses

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
AMER TOWER CORP CL A	FIFO	92 000	Aug 17, 07	Nov 18, 09	3,753 73	3,641 94		111 79	
	FIFO	90 000	Dec 14, 07	Nov 18, 09	3,672 13	3,671 85		0 28	
	FIFO	8 000	Jul 06, 06	Nov 17, 09	328 41	258 69		69 72	
	FIFO	223 000	Aug 17, 07	Nov 17, 09	9,154 47	8,827 74		326 73	
	FIFO	2 000	Jul 06, 06	Mar 11, 09	57 19	64 67	-7 48		
	FIFO	30 000	Sep 20, 05	Mar 05, 09	827 56	740 72		86 84	
	FIFO	330 000	Jun 13, 06	Mar 05, 09	9,103 13	9,225 51	-122 38		
	FIFO	325 000	Jul 05, 06	Mar 05, 09	8,965 20	10,397 79	-1,432 59		
	FIFO	35 000	Jul 06, 06	Mar 05, 09	965 48	1,131 77	-166 29		
BLACKROCK INC	FIFO	49 000	Mar 20, 08	Jul 27, 09	9,317 03	9,705 85	-388 82		
	FIFO	28 000	Mar 20, 08	May 26, 09	4,256 95	5,546 20	-1,289 25		
	FIFO	27 000	Mar 20, 08	Apr 03, 09	3,711 10	5,348 12	-1,637 02		
C H ROBINSON WORLDWIDE INC NEW	FIFO	99 000	Nov 08, 07	Nov 18, 09	5,727 30	4,653 18		1,074 12	
COVANCE INC	FIFO	267 000	Feb 22, 07	Jan 28, 09	9,780 95	16,647 05	-6,866 10		
DENBURY RESOURCES INC NEW	FIFO	52 000	Jun 17, 05	Feb 27, 09	693 12	498 96		194 16	
	FIFO	800 000	Jun 21, 05	Feb 27, 09	10,663 38	7,773 28		2,890 10	
	FIFO	430 000	Aug 20, 07	Feb 27, 09	5,731 56	8,427 08	-2,695 52		
ECOLAB INC	FIFO	6 000	Jun 08, 07	Aug 24, 09	254 86	247 66		7 20	
	FIFO	245 000	Sep 19, 07	Aug 24, 09	10,406 69	11,087 25	-680 56		
	FIFO	86 000	Dec 15, 06	Mar 10, 09	2,669 46	3,864 50	-1,195 04		
	FIFO	164 000	Jun 08, 07	Mar 10, 09	5,090 59	6,769 40	-1,678 81		
EXPEDITORS INTL WASH INC	FIFO	75 000	Dec 14, 06	Nov 18, 09	2,473 44	3,272 50	-799 06		

continued next page

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	88 000	Dec 14, 06	Oct 20, 09	3,015 23	3,839 73	-824 50		
JPMORGAN CHASE & CO	FIFO	109 000	Oct 16, 08	Nov 18, 09	4,702 40	4,337 11		365 29	
	FIFO	178 000	Oct 16, 08	Oct 27, 09	7,805 71	7,082 62		723 09	
KANSAS CITY STHN NEW	FIFO	133 000	Aug 03, 07	Jun 09, 09	2,158 36	4,472 23	-2,313 87		
	FIFO	318 000	Mar 01, 07	Mar 03, 09	4,833 76	10,171 64	-5,337 88		
	FIFO	152 000	Aug 03, 07	Mar 03, 09	2,310 48	5,111 12	-2,800 64		
PROCTER & GAMBLE CO	FIFO	98 000	Jul 16, 07	Nov 18, 09	6,106 47	6,192 86	-86 39		
SUNCOR ENERGY INC NEW	FIFO	96 000	Oct 01, 03	Nov 18, 09	3,504 20	897 12		2,607 08	
	FIFO	80 000	Dec 04, 07	Nov 18, 09	2,920 16	3,898 69	-978 53		
SUNCOR INC **MEREGR EFF 07/2009**	FIFO	120 000	Sep 17, 03	Jun 17, 09	3,649 76	1,142 74		2,507 02	
	FIFO	44 000	Oct 01, 03	Jun 17, 09	1,338 24	411 18		927 06	
ENBRIDGE ENERGY PARTNERS LP MLP	FIFO	469 000	Oct 16, 03	Feb 17, 09	14,095 29	24,450 80	-10,355 51		
ENTERPRISE PRODUCTS PARTNER LP MLP	FIFO	79 000	Sep 12, 03	Nov 18, 09	2,320 96	1,702 21		618 75	
	FIFO	442 000	Sep 12, 03	Jul 23, 09	12,385 14	9,523 75		2,861 39	
PLAINS ALL AMER PIPELINE LP UNIT LTD PARTNERSHIP INT MLP	FIFO	124 000	Mar 24, 08	Nov 18, 09	6,177 95	5,619 47		558 48	
	FIFO	202 000	Mar 24, 08	Jul 20, 09	9,591 76	9,154 30		437 46	
Total					**$194,519.60**	**$219,809.28**	**-$41,656.24**	**$16,366.56**	**-$25,289.68**
Net capital gains/losses									**$17,283.83**

End of statement for account number VQ 20125 45

2009 Year End Summary

UBS

UBS Financial Services Inc
101 WEST ELM STREET
SUITE 200
CONSHOHOCKEN PA 19428-2006

CPZ6001648151 1209 X125 VQ 0

Account name: AUFZIEN FOUNDATION INC
Friendly account name: Fdn-NWQ Intl
Account number: VQ 20975 45

AUFZIEN FOUNDATION INC.
350 PASSAIC AVENUE
FAIRFIELD NJ 07004-2025

Your Financial Advisor.
DUNSMORE,JAMES
Phone 610-832-3002/800-240-0340

Summary of gains and losses

	Amount ($)
Short term	-297.86
Long term	-29,692 05
Total	**$-29,989.91**

Realized gains and losses

Estimated 2009 gains and losses for transactions with trade dates through 12/31/09 have been incorporated into this statement To calculate gains and losses, we liquidate the oldest security lot first This is known as the first-in, first-out or FIFO accounting method We use this method unless you specified which tax lot to close when you placed your order This is known as a versus purchases or VSP order *See Important information about your statement* on the last page of this statement for more information

We may not adjust gains and losses for all capital changes Cost basis for coupon tax-exempt municipal securities, include securities subject to AMT, has been adjusted for mandatory amortization of bond premium Estimates in the Unclassified section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided

Short-term capital gains and losses

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
AEGON NV ADR N Y SHS									
NETHERLANDS ADR	FIFO	40 000	Oct 24, 08	Jul 02, 09	243 59	176 38		67 21	
	FIFO	5 000	Oct 24, 08	Jul 02, 09	30 45	24 19		6 26	

continued next page

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	104 000	Feb 20, 09	Jul 02, 09	633 34	427 23		206 11	
BARRICK GOLD CORP	FIFO	23 000	Sep 16, 08	Jul 02, 09	785 20	636 67		148 53	
	FIFO	11 000	Apr 09, 09	Jul 02, 09	375 53	316 98		58 55	
CAMECO CORP CANADA	FIFO	17 000	Aug 11, 08	Jul 02, 09	434 17	541 15	-106 98		
	FIFO	24 000	Sep 10, 08	Jul 02, 09	612 94	582 00		30 94	
CENTRAIS ELETRICAS BRAS SA SPON ADR REP 50 PREF CL B ADR	FIFO	45 000	Oct 28, 08	Jul 02, 09	584 98	418 37		166 61	
DAIWA HOUSE IND LTD ADR JAPAN ADR	FIFO	3 000	Sep 02, 08	Jul 02, 09	308 99	281 82		27 17	
GEMALTO NV *LIQUIDATION EFF 11/09* ADR	FIFO	20 000	Mar 11, 09	Apr 21, 09	307 25	229 95		77 30	
	FIFO	5 000	Mar 12, 09	Apr 21, 09	76 81	58 27		18 54	
HACHIJUNI BANK LTD ADR	FIFO	10 000	Jul 15, 08	Jul 02, 09	556 98	604 98	-48 00		
	FIFO	5 000	Jun 19, 08	Mar 23, 09	295 07	327 48	-32 41		
IMPALA PLATINUM HLDG LTD SPON ADR	FIFO	19 000	Sep 02, 08	Jul 02, 09	411 34	482 23	-70 89		
	FIFO	21 000	Sep 05, 08	Jul 02, 09	454 64	515 85	-61 21		
	FIFO	13 000	Mar 12, 09	Jul 02, 09	281 44	177 28		104 16	
KAO CORP REPSTG 10 SHS COM SPON ADR	FIFO	8 000	Apr 23, 09	Jul 02, 09	1,715 95	1,615 42		100 53	
	FIFO	3 000	May 18, 09	Jul 02, 09	643 48	623 41		20 07	
L M ERICSSON TELEFON CO SEK 10 NEW 2002 ADR	FIFO	64 000	Mar 19, 08	Feb 02, 09	497.63	558 02	-60 39		
LIHIR GOLD LTD SPON ADR	FIFO	20 000	Jul 29, 08	May 29, 09	519 26	554 59	-35 33		
	FIFO	5 000	Jul 29, 08	May 20, 09	114 91	138 65	-23 74		
LONMIN PLC NEW SPON ADR	FIFO	6 000	Aug 04, 08	Apr 03, 09	134 29	268 34	-134 05		
	FIFO	11 000	Sep 23, 08	Apr 03, 09	246 19	521 22	-275 03		
MAGNA INTL INC CL A SUB VTG CANADA ORD	FIFO	10 000	Jul 15, 08	Jul 02, 09	446 49	550 36	-103 87		
	FIFO	5 000	Jul 16, 08	Jul 02, 09	223 24	282 18	-58 94		
NEWCREST MINING LTD SPON AUSTRALIA ADR	FIFO	17 000	Aug 13, 08	Jul 02, 09	418 19	359 23		58 96	

continued next page

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
NEXEN INC	FIFO	13 000	Aug 07, 08	Jul 02, 09	277 80	392 20	-114 40		
	FIFO	30 000	Jan 29, 09	Jul 02, 09	641 08	451 60		189 48	
NIPPON TELEG & TEL CORP SPON ADR	FIFO	23 000	Apr 14, 09	Jul 02, 09	457 46	449 37		8 09	
NOKIA CORP SPONS ADR FINLAND ADR	FIFO	56 000	Feb 02, 09	Jul 02, 09	821 49	676 73		144 76	
	FIFO	26 000	Feb 19, 09	Jul 02, 09	381 41	277 02		104 39	
	FIFO	28 000	Feb 02, 09	Apr 23, 09	418 06	338 36		79 70	
NOVARTIS AG SPON ADR	FIFO	38 000	Feb 13, 09	Jul 02, 09	1,534 78	1,630 17	-95 39		
	FIFO	17 000	Apr 09, 09	Jul 02, 09	686 61	624 77		61 84	
	FIFO	15 000	May 08, 09	Jul 02, 09	605 83	570 73		35 10	
PETRO-CANADA COM STOCK**MEREGR EFF 07/2009**	FIFO	15 000	Feb 12, 08	Feb 02, 09	323 69	664 14	-340 45		
PROMISE CO LTD UNSPON ADR	FIFO	23 000	Aug 27, 08	Jul 02, 09	140 29	245 70	-105 41		
	FIFO	33 000	Aug 27, 08	Jun 15, 09	221 65	352 53	-130 88		
ROHM CO LTD ADR	FIFO	26 000	Jan 09, 09	Jul 02, 09	907 37	664 93		242 44	
	FIFO	8 000	Jan 09, 09	Jul 01, 09	284 97	204 59		80 38	
SANOFI-AVENTIS SA SPON ADR	FIFO	11 000	Aug 01, 08	Jul 02, 09	328 34	389 72	-61 38		
	FIFO	17 000	Jul 01, 09	Jul 02, 09	507 44	513 34	-5 90		
SEVEN & I HLDGS CO LTD ADR	FIFO	4 000	Dec 24, 08	Jul 02, 09	190 01	252 17	-62 16		
	FIFO	7 000	Jan 07, 09	Jul 02, 09	332 52	413 12	-80 60		
	FIFO	11 000	Jan 13, 09	Jul 02, 09	522 53	660 86	-138 33		
	FIFO	11 000	Feb 18, 09	Jul 02, 09	522 53	554 04	-31 51		
	FIFO	22 000	May 13, 09	Jul 02, 09	1,045 07	1,074 29	-29 22		
SHISEIDO CO LTD SPONS ADR JAPAN	FIFO	20 000	Dec 18, 08	Jul 02, 09	318 99	422 13	-103 14		
	FIFO	15 000	Mar 31, 09	Jul 02, 09	239 24	221 79		17 45	
	FIFO	17 000	Apr 01, 09	Jul 02, 09	271 14	247 84		23 30	

continued next page

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
SIEMENS A G SPON ADR	FIFO	17 000	Sep 29, 08	Jul 02, 09	1,143 56	1,588 17	-444 61		
	FIFO	10 000	Oct 24, 08	Jul 02, 09	672 68	504 02		168 66	
SILVER STD RES INC	FIFO	10 000	Jun 10, 08	Mar 23, 09	161 26	272 73	-111 47		
	FIFO	5 000	Jun 11, 08	Mar 23, 09	80 63	139 79	-59 16		
	FIFO	7 000	Jun 12, 08	Mar 23, 09	112 88	195 13	-82 25		
SK TELECOM CO LTD ADR	FIFO	20 000	Apr 13, 09	Jul 02, 09	309 39	324 19	-14 80		
	FIFO	25 000	Apr 14, 09	Jul 02, 09	386 74	401 65	-14 91		
	FIFO	69 000	May 20, 09	Jul 02, 09	1,067 40	1,100 76	-33 36		
SOCIETE GENERALE FRANCE SPONS ADR ADR	FIFO	48 000	Oct 20, 08	Jul 02, 09	509 27	543 46	-34 19		
	FIFO	49 000	Jan 16, 09	Jul 02, 09	519 87	414 56		105 31	
STORA ENSO OYJ REPSTG SER R SHS SPON ADR	FIFO	15 000	Jun 02, 09	Jul 02, 09	80 85	93 67	-12 82		
	FIFO	44 000	Jun 03, 09	Jul 02, 09	237 15	275 48	-38 33		
SUMITOMO TRUST & BANKING SPON ADR	FIFO	32 000	Sep 17, 08	Jul 02, 09	166 40	192 31	-25 91		
SUNCOR INC **MEREGR EFF 07/2009**	FIFO	10 000	Jul 23, 08	Jul 02, 09	291 81	538 22	-246 41		
	FIFO	30 000	Jan 28, 09	Jul 02, 09	875 44	612 86		262 58	
TDK CORP ADR JAPAN ADR	FIFO	7 000	Jul 29, 08	Jul 02, 09	321 13	427 19	-106 06		
	FIFO	3 000	Oct 22, 08	Jul 02, 09	137 63	98 53		39 10	
	FIFO	15 000	Oct 22, 08	Jul 02, 09	688 13	521 14		166 99	
	FIFO	14 000	Dec 12, 08	Jul 02, 09	642 25	465 94		176 31	
	FIFO	4 000	Jul 03, 08	Jul 01, 09	187 62	244 38	-56 76		
	FIFO	1 000	Jul 29, 08	Jul 01, 09	46 91	61 03	-14 12		
	FIFO	6 000	Jul 03, 08	Jan 16, 09	225 57	366 57	-141 00		
TECHNIP SA NEW SPON ADR	FIFO	9 000	Sep 08, 08	Jul 02, 09	452 78	641 82	-189 04		
	FIFO	22 000	Nov 20, 08	Jul 02, 09	1,106 79	528 43		578 36	
TNT N V SPON ADR	FIFO	20 000	Mar 31, 09	Jul 02, 09	403 98	340 11		63 87	
	FIFO	4 000	Apr 01, 09	Jul 02, 09	80 80	67 36		13 44	
UNITED UTILITIES GROUP ADR	FIFO	48 000	Dec 17, 08	Jul 02, 09	783 34	873 18	-89 84		

continued next page

Account name: AUFZIEN FOUNDATION INC
Friendly account name: Fdn-NWQ Intl
Account number: VQ 20975 45

Your Financial Advisor:
DUNSMORE,JAMES
610-832-3002/800-240-0340

Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
VODAFONE GROUP PLC NEW SPON ADR	FIFO	20 000	Sep 24, 08	Jul 02, 09	382 43	447 22	-64 79		
	FIFO	4 000	Sep 25, 08	Jul 02, 09	76 49	90 20	-13 71		
	FIFO	46 000	Oct 27, 08	Jul 02, 09	879 59	733 27		146 32	
WOLTERS KLUWER NV SPONSORED ADR NETHERLANDS ADR	FIFO	20 000	Feb 24, 09	Jul 02, 09	349 39	325 72		23 67	
	FIFO	30 000	Apr 29, 09	Jul 02, 09	524 09	498 11		25 98	
	FIFO	20 000	Jun 03, 09	Jul 02, 09	349 39	389 40	-40 01		
	FIFO	30 000	Jun 12, 09	Jul 02, 09	524 09	530 03	-5 94		
	FIFO	7 000	Jun 15, 09	Jul 02, 09	122 29	119 51		2 78	
Total					**$38,232.67**	**$38,530.53**	**-$4,149.10**	**$3,851.24**	**-$297.86**

Long-term capital gains and losses

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
AEGON NV ADR N Y SHS NETHERLANDS ADR	FIFO	37 000	Jun 13, 06	Jul 02, 09	225 32	568 28	-342 96		
ALCATEL-LUCENT SPON ADR	FIFO	47 000	Mar 28, 07	Jul 02, 09	113 27	560 15	-446 88		
	FIFO	48 000	Apr 02, 07	Jul 02, 09	115 68	567 26	-451 58		
	FIFO	33 000	May 02, 07	Jul 02, 09	79 53	440 48	-360 95		
	FIFO	136 000	Jul 25, 07	Jul 02, 09	327 75	1,849 40	-1,521 65		
	FIFO	50 000	Sep 14, 07	Jul 02, 09	120 50	452 46	-331 96		
	FIFO	80 000	Sep 19, 07	Jul 02, 09	192 79	716 86	-524 07		
ALUMINA LTD SPON ADR	FIFO	72 000	Feb 01, 06	Jul 02, 09	334 07	1,682 12	-1,348 05		
	FIFO	20 000	Aug 07, 06	Jul 02, 09	92 80	392 58	-299 78		
	FIFO	21 000	Nov 20, 07	Jul 02, 09	97 44	493 79	-396 35		
ANGLOGOLD ASHANTI LTD NEW SPON ADR	FIFO	31 000	Jun 23, 08	Jul 02, 09	1,120 31	763 05		357 26	
	FIFO	14 000	Mar 04, 08	Jul 02, 09	505 95	511 12	-5 17		
	FIFO	22 000	Mar 19, 08	Jul 02, 09	795 06	737 28		57 78	
	FIFO	10 000	Feb 13, 08	Mar 13, 09	341 52	346 42	-4 90		

continued next page

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	11 000	Oct 03, 07	Mar 11, 09	348 56	480 44	-131.88		
	FIFO	4 000	Feb 13, 08	Mar 11, 09	126 75	138 57	-11 82		
	FIFO	9 000	Oct 03, 07	Feb 19, 09	278 19	393 08	-114 89		
BARRICK GOLD CORP	FIFO	5 000	Nov 14, 06	Jul 02, 09	170 70	145 94		24 76	
	FIFO	19 000	Nov 15, 06	Jul 02, 09	648 64	554 18		94 46	
	FIFO	7 000	Mar 20, 08	Jul 02, 09	238 97	301 41	-62 44		
	FIFO	20 000	Apr 30, 08	Jul 02, 09	682 78	763 48	-80 70		
BP PLC SPON ADR	FIFO	19 000	Feb 23, 07	Jul 02, 09	901 14	1,198 98	-297 84		
	FIFO	16 000	Feb 26, 07	Jul 02, 09	758 86	1,027 66	-268 80		
	FIFO	18 000	Jun 04, 07	Jul 02, 09	853 72	1,226 76	-373 04		
CENTRAIS ELETRICAS BRAS SA SPON ADR REP 50 COM (ELETROBRAS)	FIFO	10 000	Jun 12, 07	Jul 02, 09	143 89	131 73		12 16	
	FIFO	22 000	Aug 06, 07	Jul 02, 09	316 57	280 64		35 93	
	FIFO	8 000	Mar 05, 07	Apr 24, 09	101 96	79 84		22 12	
	FIFO	3 000	Jun 12, 07	Apr 24, 09	38 23	39 52	-1 29		
	FIFO	5 000	Mar 05, 07	Apr 23, 09	63 15	49 90		13 25	
CENTRAIS ELETRICAS BRAS SA SPON ADR REP 50 PREF CL B ADR	FIFO	15 000	Jan 24, 07	Jul 02, 09	194 99	165 79		29 20	
	FIFO	31 000	Jun 05, 07	Jul 02, 09	402 99	401 09		1 90	
	FIFO	22 000	Dec 18, 07	Jul 02, 09	285 99	280 91		5 08	
DAIWA HOUSE IND LTD ADR JAPAN ADR	FIFO	3 000	Jan 07, 08	Jul 02, 09	308 99	383 98	-74 99		
	FIFO	3 000	Feb 13, 08	Jul 02, 09	308 99	314 86	-5 87		
	FIFO	5 000	Mar 11, 08	Jul 02, 09	514 99	480 63		34 36	
	FIFO	1 000	Nov 08, 07	Jun 17, 09	101 50	122 49	-20 99		
	FIFO	2 000	Jan 07, 08	Jun 17, 09	203 01	255 99	-52 98		
	FIFO	3 000	Nov 08, 07	Apr 09, 09	256 84	367 47	-110 63		
	FIFO	1 000	Nov 08, 07	Mar 19, 09	79 25	122 49	-43 24		
FUJI FILM HOLDINGS CORP ADR	FIFO	73 000	Jan 31, 06	Jul 02, 09	2,315 25	2,518 96	-203 71		

continued next page

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	9 000	Mar 24, 06	Jul 02, 09	285 44	292 91	-7 47		
	FIFO	13 000	Mar 04, 08	Jul 02, 09	412 31	476 38	-64 07		
GOLD FIELDS LTD SPON ADR	FIFO	39 000	Feb 01, 08	Jul 02, 09	462 14	568 37	-106 23		
	FIFO	40 000	Feb 05, 08	Jul 02, 09	473 99	543 91	-69 92		
	FIFO	6 000	Feb 06, 08	Jul 02, 09	71 10	83 43	-12 33		
	FIFO	15 000	Apr 08, 08	Jul 02, 09	177 75	208 58	-30 83		
	FIFO	55 000	May 21, 08	Jul 02, 09	651 73	778 03	-126 30		
	FIFO	13 000	Nov 12, 07	Mar 18, 09	159 57	235 19	-75 62		
	FIFO	5 000	Feb 01, 08	Mar 18, 09	61 37	72 87	-11 50		
	FIFO	2 000	May 10, 07	Mar 12, 09	24.56	35 36	-10 80		
	FIFO	35 000	May 22, 07	Mar 12, 09	429 86	607 39	-177 53		
	FIFO	8 000	Nov 12, 07	Mar 12, 09	98 25	144 73	-46 48		
	FIFO	11 000	May 10, 07	Mar 06, 09	122 22	194 50	-72 28		
	FIFO	15 000	Feb 08, 07	Jan 30, 09	160 87	251 39	-90 52		
	FIFO	15 000	Mar 05, 07	Jan 30, 09	160 87	246 37	-85 50		
	FIFO	4 000	May 10, 07	Jan 30, 09	42 90	70 73	-27 83		
HACHIJUNI BANK LTD ADR	FIFO	4 000	Jun 19, 08	Jul 02, 09	222 79	261 98	-39 19		
IVANHOE MINES LTD	FIFO	8 000	Jan 31, 06	Jul 02, 09	51 28	66 88	-15 60		
	FIFO	20 000	May 16, 06	Jul 02, 09	128 20	139 19	-10 99		
	FIFO	10 000	May 19, 06	Jul 02, 09	64 10	68 16	-4 06		
	FIFO	35 000	May 22, 06	Jul 02, 09	224 34	235 55	-11 21		
	FIFO	19 000	Jan 10, 08	Jul 02, 09	121 79	201 52	-79 73		
	FIFO	21 000	Mar 19, 08	Jul 02, 09	134 61	212 08	-77 47		
KIRIN HOLDINGS LTD SPON ADR	FIFO	5 000	Nov 15, 06	Apr 24, 09	57 19	66 30	-9 11		
	FIFO	76 000	Feb 01, 06	Apr 23, 09	854 98	961 57	-106 59		
	FIFO	49 000	Nov 15, 06	Apr 23, 09	551 24	649 71	-98 47		
	FIFO	37 000	Feb 01, 06	Apr 01, 09	390 83	468 14	-77 31		
KOREA ELECTRIC POWER CRP SPONSORED ADR SHS	FIFO	90 000	Jan 31, 06	Jul 02, 09	1,059 27	2,027 70	-968 43		

continued next page

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	10 000	Oct 06, 06	Jul 02, 09	117 70	198 00	-80 30		
	FIFO	35 000	Mar 17, 08	Jul 02, 09	411 94	490 04	-78 10		
KT CORP SPON ADR	FIFO	42 000	Jan 31, 06	Jul 02, 09	619.90	883 14	-263 24		
	FIFO	7 000	Jan 23, 08	Jul 02, 09	103 32	168 35	-65 03		
	FIFO	13 000	May 16, 08	Jul 02, 09	191 87	296 97	-105 10		
	FIFO	53 000	Jan 31, 06	May 20, 09	765 82	1,114 44	-348 62		
	FIFO	30 000	Jan 31, 06	Apr 14, 09	433 27	630 81	-197 54		
	FIFO	15 000	Jan 31, 06	Apr 13, 09	217 96	315 41	-97 45		
	FIFO	13 000	Jan 31, 06	Mar 12, 09	166 95	273 35	-106 40		
L M ERICSSON TELEFON CO SEK 10 NEW 2002 ADR	FIFO	6 000	Nov 20, 07	Feb 02, 09	46 65	76 00	-29 35		
	FIFO	54 000	Nov 21, 07	Feb 02, 09	419 87	641 65	-221 78		
LIHIR GOLD LTD SPON ADR	FIFO	9 000	Feb 01, 06	May 20, 09	206 83	166 13		40 70	
	FIFO	7 000	Feb 01, 06	Mar 05, 09	137 43	129 21		8 22	
LONMIN PLC NEW SPON ADR	FIFO	3 000	Sep 26, 07	Apr 03, 09	67 14	198 10	-130 96		
	FIFO	10 000	Feb 01, 06	Mar 11, 09	176 58	377 45	-200 87		
	FIFO	1 000	Sep 26, 07	Mar 11, 09	17 66	66 03	-48 37		
MAGNA INTL INC CL A SUB VTG CANADA ORD	FIFO	9 000	Apr 15, 08	Jul 02, 09	401 84	624 13	-222 29		
	FIFO	9 000	Jun 05, 08	Jul 02, 09	401 84	625 68	-223 84		
	FIFO	8 000	Jun 23, 08	Jul 02, 09	357 19	522 06	-164 87		
MITSUI SUMITOMO UNSPONS ADR	FIFO	36 000	Nov 12, 07	Jul 02, 09	466 91	643 54	-176 63		
	FIFO	30 000	Nov 21, 07	Jul 02, 09	389 09	552 95	-163 86		
	FIFO	36 000	Dec 05, 07	Jul 02, 09	466 91	650 65	-183 74		
NEWCREST MINING LTD SPON AUSTRALIA ADR	FIFO	21 000	Sep 12, 06	Jul 02, 09	516 58	323 30		193 28	
	FIFO	8 000	Jun 23, 06	Jan 27, 09	176 01	116 49		59 52	
	FIFO	4 000	Sep 12, 06	Jan 27, 09	88 01	61 58		26 43	
NEWMONT MINING CORP (HOLDING CO)	FIFO	32 000	May 31, 07	Jul 02, 09	1,319 32	1,287 11		32 21	
	FIFO	21 000	Aug 16, 07	Jul 02, 09	865 81	818 67		47 14	

continued next page

Account name AUFZIEN FOUNDATION INC
Friendly account name: Fdn-NWQ Intl
Account number: VQ 20975 45

Your Financial Advisor
DUNSMORE,JAMES
610-832-3002/800-240-0340

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	10 000	May 31, 07	Feb 27, 09	423 16	402 22		20 94	
	FIFO	10 000	May 31, 07	Feb 06, 09	410 91	402 22		8 69	
NEXEN INC	FIFO	1 000	Oct 02, 07	Jul 02, 09	21 37	30 44	-9 07		
	FIFO	20 000	Oct 10, 07	Jul 02, 09	427 39	614 89	-187 50		
	FIFO	2 000	Sep 24, 07	Jun 02, 09	51 09	60 51	-9 42		
	FIFO	19 000	Oct 02, 07	Jun 02, 09	485 34	578 27	-92 93		
NIPPON TELEG & TEL CORP SPON ADR	FIFO	22 000	Jan 31, 06	Jul 02, 09	437 57	511 28	-73 71		
	FIFO	9 000	May 15, 07	Jul 02, 09	179 01	218 56	-39 55		
	FIFO	38 000	May 31, 07	Jul 02, 09	755 80	888 05	-132 25		
	FIFO	31 000	Jun 18, 07	Jul 02, 09	616 57	704 38	-87 81		
	FIFO	28 000	Oct 01, 07	Jul 02, 09	556 91	654 50	-97 59		
NOVAGOLD RESOURCES INC NEW	FIFO	100 000	Dec 05, 06	Mar 20, 09	243 28	1,611 84	-1,368 56		
	FIFO	38 000	Dec 06, 06	Mar 20, 09	92 45	610 08	-517 63		
PANASONIC CORP SPON ADR	FIFO	63 000	Aug 17, 07	Jul 02, 09	837 24	1,114 66	-277 42		
	FIFO	37 000	Sep 12, 07	Jul 02, 09	491 72	647 49	-155 77		
PETRO-CANADA COM STOCK**MEREGR EFF 07/2009**	FIFO	6 000	Dec 05, 07	Feb 02, 09	129 48	291 68	-162 20		
	FIFO	11 000	Jan 17, 08	Feb 02, 09	237 37	531.33	-293 96		
PROMISE CO LTD UNSPON ADR	FIFO	12 000	Nov 09, 06	Jun 15, 09	80 60	208 05	-127 45		
	FIFO	10 000	Jul 10, 06	May 08, 09	66 26	252 78	-186 52		
	FIFO	10 000	Sep 21, 06	May 08, 09	66 26	201 28	-135 02		
	FIFO	10 000	Sep 22, 06	May 08, 09	66 26	196 88	-130 62		
	FIFO	15 000	Nov 09, 06	May 08, 09	99 39	260 06	-160 67		
	FIFO	19 000	Feb 03, 06	Mar 16, 09	124 22	530 74	-406 52		
	FIFO	15 000	Jul 10, 06	Mar 16, 09	98 07	379 17	-281 10		
ROYAL DUTCH SHELL PLC ADS REPSTG 2 CL B ORD SHS SPON ADR	FIFO	33 000	Jan 31, 06	Jul 02, 09	1,627 18	2,372 20	-745 02		

continued next page

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	5 000	Mar 03, 06	Jul 02, 09	246 54	323 54	-77 00		
	FIFO	6 000	Feb 27, 07	Jul 02, 09	295 85	403 37	-107 52		
	FIFO	6 000	Feb 14, 08	Jul 02, 09	295 85	422.05	-126 20		
SANOFI-AVENTIS SA SPON ADR	FIFO	5 000	Sep 25, 07	Jul 02, 09	149 25	212 89	-63 64		
	FIFO	21 000	Oct 03, 07	Jul 02, 09	626 83	892 52	-265 69		
	FIFO	10 000	Apr 08, 08	Jul 02, 09	298 49	383 87	-85 38		
	FIFO	5 000	Apr 14, 08	Jul 02, 09	149 25	190 64	-41 39		
	FIFO	25 000	May 21, 08	Jul 02, 09	746 23	933 48	-187 25		
	FIFO	17 000	Sep 25, 07	Jan 20, 09	530 15	723 82	-193 67		
SEGA SAMMY HLDG INC SPON ADR	FIFO	60 000	Dec 21, 06	Jul 02, 09	185 53	392 60	-207 07		
	FIFO	26 000	Dec 22, 06	Jul 02, 09	80 39	169 28	-88 89		
	FIFO	87 000	Mar 05, 07	Jul 02, 09	269 01	538 76	-269 75		
	FIFO	61 000	May 15, 07	Jul 02, 09	188 62	292 80	-104 18		
	FIFO	149 000	Jan 07, 08	Jul 02, 09	460 72	481 75	-21 03		
SEKISUI HOUSE LTD SPON ADR	FIFO	13 000	Sep 13, 07	Jul 02, 09	128 70	152 24	-23 54		
	FIFO	20 000	Oct 04, 07	Jul 02, 09	197 99	245 99	-48 00		
	FIFO	33 000	Oct 09, 07	Jul 02, 09	326 69	399 45	-72 76		
	FIFO	75 000	Mar 07, 08	Jul 02, 09	742 48	669 82		72 66	
	FIFO	2 000	Feb 01, 06	May 19, 09	18 70	31 31	-12 61		
	FIFO	10 000	Sep 06, 07	May 19, 09	93 50	121 19	-27 69		
	FIFO	17 000	Sep 13, 07	May 19, 09	158 95	199 09	-40 14		
	FIFO	28 000	Feb 01, 06	Apr 09, 09	232 59	438 39	-205 80		
	FIFO	25 000	Feb 01, 06	Feb 03, 09	213 78	391 42	-177 64		
SHISEIDO CO LTD SPONS ADR JAPAN	FIFO	83 000	Feb 01, 06	Jul 02, 09	1,323 81	1,547 01	-223 20		
SK TELECOM CO LTD ADR	FIFO	25 000	Feb 19, 08	Jul 02, 09	386 74	565 98	-179 24		
	FIFO	15 000	Apr 22, 08	Jul 02, 09	232 04	325 76	-93 72		
	FIFO	14 000	Apr 29, 08	Jul 02, 09	216 57	311 11	-94 54		

continued next page

Account name: AUFZIEN FOUNDATION INC
Friendly account name: Fdn-NWQ Intl
Account number: VQ 20975 45

Your Financial Advisor:
DUNSMORE,JAMES
610-832-3002/800-240-0340

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
STORA ENSO OYJ REPSTG SER R SHS SPON ADR	FIFO	183 000	Feb 01, 06	Jul 02, 09	986 34	2,592 85	-1,606 51		
	FIFO	60 000	Jun 06, 08	Jul 02, 09	323 39	741 98	-418.59		
SUMITOMO TRUST & BANKING SPON ADR	FIFO	90 000	Jan 17, 08	Jul 02, 09	467 99	578 34	-110 35		
	FIFO	89 000	Mar 07, 08	Jul 02, 09	462 79	573 70	-110 91		
SUNCOR INC **MEREGR EFF 07/2009**	FIFO	1 000	Jan 31, 06	Jul 02, 09	29 18	39 95	-10 77		
	FIFO	4 000	Jan 17, 08	Jul 02, 09	116 73	182 29	-65 56		
	FIFO	17 000	Jan 31, 06	Mar 12, 09	410 69	679 23	-268 54		
SWISSCOM AG SPON ADR	FIFO	74 000	Jan 31, 06	Jul 02, 09	2,299 86	2,269 55		30 31	
TECHNIP SA NEW SPON ADR	FIFO	3 000	Jan 30, 08	Jul 02, 09	150 93	195 72	-44 79		
	FIFO	9 000	Sep 12, 06	Feb 09, 09	337 10	501 94	-164 84		
	FIFO	1 000	Jan 30, 08	Feb 09, 09	37 46	65 24	-27 78		
TELECOM ITALIA SPA NEW REPSTG 10 SAVINGS SHS SPON ADR	FIFO	170 000	Feb 01, 06	Jul 02, 09	1,703 56	4,021 72	-2,318 16		
	FIFO	45 000	May 06, 08	Jul 02, 09	450 94	737 36	-286 42		
TOMKINS PLC SPONSORED ADR UNTD KINGDOM ADR	FIFO	75 000	Feb 01, 06	Jul 02, 09	716 23	1,736 84	-1,020 61		
	FIFO	20 000	Sep 08, 06	Jul 02, 09	190 99	368 86	-177 87		
TOPPAN PRINTING LTD ADR	FIFO	45 000	Feb 01, 06	Jul 02, 09	2,204 94	3,049 50	-844 56		
	FIFO	18 000	Dec 06, 06	Jul 02, 09	881 98	967 64	-85 66		
UNITED UTILITIES GROUP ADR	FIFO	47 000	Feb 01, 06	Jul 02, 09	767 02	1,474 82	-707 80		
VODAFONE GROUP PLC NEW SPON ADR	FIFO	2 000	Feb 10, 06	Jul 02, 09	38 24	48 69	-10 45		
	FIFO	44 000	May 26, 06	Jul 02, 09	841 35	1,101 83	-260 48		
	FIFO	20 000	Aug 03, 06	Jul 02, 09	382 43	437 59	-55 16		
WACOAL HOLDINGS CORP ADR	FIFO	15 000	Feb 08, 06	Jul 02, 09	926 98	1,019 62	-92 64		
	FIFO	4 000	May 10, 07	Jul 02, 09	247 19	252 71	-5 52		
	FIFO	5 000	Jun 04, 07	Jul 02, 09	308 99	317 81	-8 82		

continued next page

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value ($)	Purchase date	Sale date	Sale amount ($)	Purchase amount ($)	Loss ($)	Gain ($)	Net gain or loss ($)
	FIFO	7 000	Nov 07, 07	Jul 02, 09	432 59	423 26		9 33	
Total					**$65,448.88**	**$95,140.93**	**-$30,929.74**	**$1,237.69**	**-$29,692.05**
Net capital gains/losses.									**-$29,989.91**

End of statement for account number VQ 20975 45

FORM 990-PF GAIN OR (LOSS) FROM SALE OF ASSETS STATEMENT 1

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
GCM 2007 OPPORTUNITY FUND	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
0.	0.	0.	0.	<521.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
GOLUB CAPITAL PARTNERS V LP	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
0.	0.	0.	0.	<1,456.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
GOLUB CAPITAL PARTNERS V LP	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
0.	0.	0.	0.	<4,114.>

(A) DESCRIPTION OF PROPERTY		MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
UBS #20125-45		PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
679,147.	636,573.	0.	0.	42,574.

(A) DESCRIPTION OF PROPERTY		MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
UBS #20125-45		PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
194,520.	219,809.	0.	0.	<25,289.>

(A) DESCRIPTION OF PROPERTY		MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
UBS #20975-45		PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
38,233.	38,531.	0.	0.	<298.>

(A) DESCRIPTION OF PROPERTY		MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
UBS #20975-45		PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
65,449.	95,141.	0.	0.	<29,692.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
CHARLES SCHWAB #5060-6747	DONATED		

(B) GROSS SALES PRICE	(C) VALUE AT TIME OF ACQ.	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
26,772.	34,396.	0.	0.	<7,624.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
CHARLES SCHWAB #5060-6747	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
467,659.	511,928.	0.	0.	<44,269.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
CHARLES SCHWAB #2148-1279	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
445,988.	480,055.	0.	0.	<34,067.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
RBC DAIN RAUCHER #300-00838	DONATED		

(B) GROSS SALES PRICE	(C) VALUE AT TIME OF ACQ.	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
44,829.	66,475.	0.	0.	<21,646.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
RBC DAIN RAUCHER #300-00838	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
287,974.	479,255.	0.	0.	<191,281.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
RBC DAIN RAUCHER #309-58541	DONATED		

(B) GROSS SALES PRICE	(C) VALUE AT TIME OF ACQ.	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
408.	1,469.	0.	0.	<1,061.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
RBC DAIN RAUCHER 3309-58541	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
1,068.	3,550.	0.	0.	<2,482.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
CMS STRUCTURED PRODUCTS	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
0.	0.	0.	0.	2,502.

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
MUUS INDEPENDENCE FUND	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
0.	0.	0.	0.	<7,193.>

(A) DESCRIPTION OF PROPERTY	MANNER ACQUIRED	DATE ACQUIRED	DATE SOLD
MUUS INDEPENDENCE FUND	PURCHASED		

(B) GROSS SALES PRICE	(C) COST OR OTHER BASIS	(D) EXPENSE OF SALE	(E) DEPREC.	(F) GAIN OR LOSS
0.	0.	0.	0.	<37,092.>

CAPITAL GAINS DIVIDENDS FROM PART IV	58,520.
TOTAL TO FORM 990-PF, PART I, LINE 6A	<304,489.>

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
ALLEN KONRAD MERIDIAN REDEV VALUE FUND 1	107.	0.	107.
CHARLES SCHWAB #2148-1279	15,293.	0.	15,293.
CHARLES SCHWAB #5060-6747	3,294.	0.	3,294.
DEUTSCHE BANK MONEY NKT FUND	183.	0.	183.
GC 2009 OPPORTUNITY FUND, L.P.	1.	0.	1.
GCM 2007 OPPORTUNITY FUND LP	2,651.	0.	2,651.
GOLUB CAPITAL PARTNERS V LP	19,969.	0.	19,969.
MUUS INDEPENENCE FUND	9,899.	0.	9,899.
RBC DAIN RAUSCHER - 00799	10.	0.	10.
RBC DAIN RAUSCHER - 00838	7,110.	0.	7,110.
RBC DAIN RAUSCHER - 58541	5,691.	0.	5,691.
UBS A/C 17908	3,322.	0.	3,322.
UBS A/C 20125	17,529.	0.	17,529.
UBS A/C 20975	1,779.	0.	1,779.
WHITEBOX MULTI STRATEGY FUND	99,152.	58,520.	40,632.
TOTAL TO FM 990-PF, PART I, LN 4	185,990.	58,520.	127,470.

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
MUUS INDEPENDENCE FUND	<5,744.>	<5,744.>	
CHARLES SCHWAB	244.	244.	
GOLUB CAPITAL PARTNERS V LP	<2,734.>	<2,734.>	
WHITEBOX MULTI STRATEGY FUND	6,434.	6,434.	
ALLEN KONRAD MERIDIAN REDEV VALUE FUND 1	<6,257.>	<6,257.>	
GC 2009 OPPORTUNITY FUND LP	392.	392.	
RBC DAIN RAUCHER # 00838	739.	739.	
RBC DAIN RAUCHER # 58541	1,635.	1,635.	
GCM 2007 OPPORTUNITY FUND LP	624.	624.	
TOTAL TO FORM 990-PF, PART I, LINE 11	<4,667.>	<4,667.>	

FORM 990-PF TAXES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL TAXES	243.	0.		0.
FOREIGN TAXES	1,540.	0.		0.
TO FORM 990-PF, PG 1, LN 18	1,783.	0.		0.

FORM 990-PF OTHER EXPENSES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	84,423.	84,423.		0.
OTHER INVESTMENT EXPENSES	12,110.	12,110.		0.
PROFRSSEIUONAL FEES	9,420.	9,420.		0.
TO FORM 990-PF, PG 1, LN 23	105,953.	105,953.		0.

FORM 990-PF OTHER INVESTMENTS STATEMENT 6

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
STOCKS AND BONDS	COST	2,302,084.	2,667,642.
CMS STRUCTURED PRODUCTS FUND	COST	432,582.	432,582.
CMS PRIVATE REIT FUND	COST	479,821.	479,821.
MUUS INDEPENDENCE FUND	COST	33,736.	33,736.
MAGNITUDE INTERNATIONAL	COST	319,821.	319,821.
WYNNEFIELD SMALL CAP OFFSHORE	COST	161,834.	161,834.
ALLEN KONRAD MERIDIAN INVESTORS LLC	COST	85,235.	85,235.
BERNSTEIN GLOBAL OPPORTUNITIES FUND	COST	229,909.	229,909.
CGM 2007 OPPORTUNITY FUND LP	COST	147,925.	147,925.
GOLUB CAPITAL PARTNERS V LP	COST	177,627.	177,627.
WHITEBOX MULTI STRATEGY FUND	COST	489,205.	489,205.
GC 2009 OPPORTUNITY FUND LP	COST	89,286.	89,286.
TOTAL TO FORM 990-PF, PART II, LINE 13		4,949,065.	5,314,623.

FORM 990-PF OTHER ASSETS STATEMENT 7

DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
DISRTIBUTION REEIVABLE - MUUS INDEPENDENCE FUND	0.	194,947.	194,947.
TO FORM 990-PF, PART II, LINE 15	0.	194,947.	194,947.

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 8

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN-SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
ALAN AUFZIEN 350 PASSAIC AVENUE FAIRFIELD, NJ 07004	DIRECTOR 0.00	0.	0.	0.
NORMA AUFZIEN 350 PASSAIC AVENUE FAIRFIELD, NJ 07004	DIRECTOR 0.00	0.	0.	0.
JONATHAN AUFZIEN 350 PASSAIC AVENUE FAIRFIELD, NJ 07004	DIRECTOR 0.00	0.	0.	0.
LESLIE LEVINE 350 PASSAIC AVENUE FAIRFIELD, NJ 07004	DIRECTOR 0.00	0.	0.	0.
MEREDITH BAUER 350 PASSAIC AVENUE FAIRFIELD, NJ 07004	DIRECTOR 0.00	0.	0.	0.
LISA AUFZIEN 350 PASSAIC AVENUE FAIRFIELD, NJ 07004	DIRECTOR 0.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

FORM 990-PF | GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR | STATEMENT 9

RECIPIENT NAME AND ADDRESS	RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT	RECIPIENT STATUS	AMOUNT
AMERICAN FRIENDS OF SHVUT AMI 641 LEXINGTON AVENUE NEW YORK, NY 10022	DONATION	EXEMPT	5,000.
AMERICAN FRIENDS OF TEL AVIV UNIVERSITY 360 LEXINGTON AVENUE NEW YORK, NY 10017	DONATION	EXEMPT	21,099.
AMERICAN JEWISH COMMITTEE 165 EAST 56TH STREET NEW YORK, NY 10222	DONATION	EXEMPT	5,000.
ANTI DEFAMATION LEAGUE 605 THIRD AVENUE NEW YORK, NY 101583560	DONATION	EXEMPT	5,000.
BETH ISRAEL HOSPITAL FOUNDATION 10 UNION SQUARE NEW YORK, NY 10003	DONATION	EXEMPT	5,000.
CROHNS & COLITIS FOUNDATION OF AMERICA 386 PARK AVENUE, SOUTH NEW YORK, NY 100162746			1,000.
JEWISH FAMILY SERVICES OF GREATER CLIFTON-PASSAIC 199 SCOLES AVENUE CLIFTON, NJ 07012	DONATION	EXEMPT	5,000.
JEWISH FEDERATION OF BROWARD COUNTY 8538 W OAKLAND PARK BLVD FORT LAUDERDALE, FL 333517319	DONATION	EXEMPT	30,000.

JEWISH FEDERATION OF GREATER CLIFTON-PASSAIC 199 SCOLES AVENUE CLIFTON, NJ 07012	DONATION	EXEMPT	15,000.
JEWISH FUNDERS NETWORK 150 WEST 30TH STREET, STE 900 NEW YORK, NY 10001	DONATION	EXEMPT	600.
NEW JERSEY SEEDS THE PEDDIE SCHOOL PO BOX 31 HIGHSTOWN, NJ 08520	DONATION	EXEMPT	5,000.
SUNRISE DAY CAMP C/O FRIEDBERG JCC 15 NEAL CT OCEANSIDE, NY 11572	DONATION	EXEMPT	1,000.
THE WASHINGTON INSTITUTE FOR NEAR EAST POLICY 1828 L ST WASHINGTON, DC 20036	DONATION	EXEMPT	122,500.
THRU INVESTMENTS IN PARTNERSHIPS	DONATION	EXEMPT	20.
UNIVERSITY OF PENNSYLVANIA 433 FRANKLIN BUILDING PHILADELPHIA, PA 191046205	DONATION	EXEMPT	201,250.
VASSAR COLLEGE BOX 14 POUGHKEEPSIE, NY 12601	DONATION	EXEMPT	10,000.
BEIT RABBAN SCHOOL 8 WEST 70TH STREET NEW YORK, NY 10023	DONATION	EXEMPT	1,080.
BETH GAMMA CHARTER SCHOOL 2620 HOLLYWOOD BLVD HOLLYWOOD , FL 33020	DONATION	EXEMPT	500.

BOYS TOWN JERUSALEM FOUNDAITON OF AMERICA, INC 91 FIFTH AVENUE NEW YORK, NY 10003	DONATION	EXEMPT	500.
CITY HARVEST 575 EIGHTH AVENUE NEW YORK, NY 10018	DONATION	EXEMPT	5,000.
CJL PRINCETON HILLEL 70 WASHINGTON RAOD PRINCETON, NJ 08540	DONATION	EXEMPT	1,600.
CONGREGATION SHEARITH ISRAEL 8 WEST 70TH STREET NEW YORK, NY 10023	DONATION	EXEMPT	6,160.
INTREPID FUND WEST 43TH ST AT 12TH AVENUE NEW YORK, NY 10003	DONATION	EXEMPT	500.
THE INVESTIGATIVE PROJECT ON TERRORISM 5505 CONNECTICUT AVE., NW WASHINGTON, DC 20015	DONATION	EXEMPT	5,000.
ITINIRIS FOUNDATION 3702 GREENWAY BALTIMORE, MD 21218	DONATION	EXEMPT	2,500.
JEWISH ADOPTION & FOSTER CARE OPTIONS, INC (JAFCO) 4200 N UNIVERSITY DRIVE SUNRISE, FL 33351	DONATION	EXEMPT	1,000.
JEWISH NATIONAL FUND 42 EAST 69TH STREET NEW YORK, NY 10022	DONATION	EXEMPT	9,000.
NATIONAL MILITARY FAMILY FUND 2500 N VAN DORN ST SUITE 102 ALEXANDRIA , VA 22302	DONATION	EXEMPT	500.

PINE CREST SCHOOL 1501 NE 62ND STREET FORT LAUDERDALE, FL 33334	DONATION	EXEMPT	2,500.
PRINCETON UNIVERSITY PO BOX 5357 PRINCETON, NJ 08543	DONATION	EXEMPT	2,500.
RAMAZ SCHOOL 114 EAST 85TH STREET NEW YORK, NY 10028	DONATION	EXEMPT	1,000.
TEL AVIV UNIVERSITY AMERICAN COUNCIL 39 BROADWAY STE 1510 NEW YORK, NY 10006	DONATION	EXEMPT	10,000.
THE WASHINGTON INSTITUTE 5101 WISCONSIN AVE NW #100 WASHINGTON, DC 20036	DONATION	EXEMPT	3,450.
THE WHARTON FUND 3733 SPRUCE STREET PHILADELPHIA, PA 19104	DONATION	EXEMPT	1,250.
UJA FEDERATION OF NEW YORK 130 EAST 59TH STREET NEW YORK, NY 10022	DONATION	EXEMPT	18,000.
UNITED WAY OF TRI STATE 120 WALL STREET NEW YORK, NY 10005	DONATION	EXEMPT	6,000.
TOTAL TO FORM 990-PF, PART XV, LINE 3A			510,509.

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

Application for Extension of Time To File an Exempt Organization Return

▶ File a separate application for each return.

OMB No 1545-1709

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

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

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

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

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

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

Type or print	Name of Exempt Organization	Employer identification number
	AUFZIEN FOUNDATION, INC	22-2838652
File by the due date for filing your return See instructions	Number, street, and room or suite no If a P.O. box, see instructions 350 PASSAIC AVENUE	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions FAIRFIELD, NJ 07004	

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

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

- The books are in the care of ▶ ALAN AUFZIEN
350 PASSAIC AVENUE - FAIRFIELD, NJ 07004
Telephone No. ▶ 973-575-5132 FAX No. ▶
- If the organization does not have an office or place of business in the United States, check this box ▶ [ ]
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ . If this is for the whole group, check this box ▶ [ ] . If it is for part of the group, check this box ▶ [ ] and attach a list with the names and EINs of all members the extension will cover.

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

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

3a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	$ 9,850.
b	If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit.	3b	$ 9,850.
c	**Balance Due.** Subtract line 3b from line 3a Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	$ 0.

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

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

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 File by the extended due date for filing the return See instructions		
	Name of Exempt Organization AUFZIEN FOUNDATION, INC	Employer identification number 22-2838652
	Number, street, and room or suite no. If a P.O. box, see instructions. 350 PASSAIC AVENUE	For IRS use only
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. FAIRFIELD, NJ 07004	

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 [X] 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.

- The books are in the care of ▶ ALAN AUFZIEN 350 PASSAIC AVENUE - FAIRFIELD, NJ 07004

Telephone No. ▶ 973-575-5132 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 GATHER INFORMATION FROM THIRD PARTIES IN ORDER TO FILA A COMPLETE AND ACCURATE TAX 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	$ 9,850.
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	$ 9,850.
c	**Balance Due.** 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 ▶ DIRECTOR Date ▶

923832
05-26-09