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Return of Private Foundation
or Section 4947(a)(1) Nonexempt Charitable Trust
Treated as a Private Foundation**2009**

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

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

G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name changeUse the IRS
label.
Otherwise,
print
or type.
See Specific
Instructions.

Name of foundation

THE APPLEBY FOUNDATION

A Employer identification number

52-6026971

Number and street (or P O box number if mail is not delivered to street address)

Room/suite

NORTHERN TRUST N A, P.O. BOX 803878

B Telephone number (see page 10 of the instructions)

941-329-2628

City or town, state, and ZIP code

CHICAGO, IL 60680

02-74552

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: ☐ 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) \$ 10,489,797

J Accounting method: ☒ 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) (see page 11 of the instructions))

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue				
1 Contributions, gifts, grants, etc., received (attach schedule)				
2 Check ☐ if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments	108,632	108,632		
4 Dividends and interest from securities				
5a Gross rents				
b Net rental income or (loss)	(793,327)			
6a Net gain or (loss) from sale of assets not on line 10				
b Gross sales price for all assets on line 6a 1,985,886				
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) (attach schedule)	0			
11 Other income (attach schedule)	(17,277)	(17,277)		
12 Total. Add lines 1 through 11	(701,972)	91,355	0	
Operating and Administrative Expenses				
13 Compensation of officers, directors, trustees, etc	83,463	66,770		16,693
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule)	2,625	2,625		
c Other professional fees (attach schedule)				
17 Interest				
18 Taxes (attach schedule) (see page 14 of the instructions)	1,465	1,464		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications	31	31		
23 Other expenses (attach schedule)				
24 Total operating and administrative expenses. Add lines 13 through 23	87,584	70,890	0	16,693
25 Contributions, gifts, grants paid	550,000			550,000
26 Total expenses and disbursements. Add lines 24 and 25	637,584	70,890	0	566,693
27 Subtract line 26 from line 12	(1,339,556)			
a Excess of revenue over expenses and disbursements				
b Net investment income (if negative, enter -0-)		20,465		
c Adjusted net income (if negative, enter -0-)			0	

1316

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash—non-interest-bearing	567,179	500,637	500,782
	2 Savings and temporary cash investments			
	3 Accounts receivable ▶ Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶ Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7 Other notes and loans receivable (attach schedule) ▶ Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	7,009,855	5,699,434	5,421,621
	c Investments—corporate bonds (attach schedule)	2,640,795	2,399,461	2,457,539
	11 Investments—land, buildings, and equipment basis ▶ Less: accumulated depreciation (attach schedule) ▶			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule) HEDGE FUND	1,332,687	1,332,687	1,292,609
	14 Land, buildings, and equipment basis ▶ R/E & COMMODITIES Less: accumulated depreciation (attach schedule) ▶	592,385	581,517	658,333
	15 Other assets (describe ▶ NTB PRIVATE EQUITY FD LP)	72,750	168,725	158,913
	16 Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	12,215,651	10,682,461	10,489,797
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	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 ▶ ☐ and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	9,987,237	9,987,237	
	28 Paid-in or capital surplus, or land, bldg, and equipment fund	2,228,414	695,224	
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see page 17 of the instructions)	12,215,651	10,682,461	
	31 Total liabilities and net assets/fund balances (see page 17 of the instructions)	12,215,651	10,682,461	

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	12,215,651
2 Enter amount from Part I, line 27a	2	(1,339,556)
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	10,876,095
5 Decreases not included in line 2 (itemize) ▶ TAX COST ADJUSTMENTS	5	193,634
6 Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	10,682,461

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 CAPITAL GAIN DIVIDENDS			
b SEE ATTACHED SCHEDULE			
c CASH IN LIEU WYETH			
d CASH SETTLEMENT FHLMC & AIG			
e FROM K-1 NORTHERN TRUST PRIV. EQ. FUND			

(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 3,280		0	3,280
b 1,972,357		2,778,105	(805,748)
c 9,570		0	9,570
d 679		0	679
e 0		1,108	(1,108)

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

(i) FMV 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			

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	(793,327)
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions). If (loss), enter -0- in Part I, line 8	3	61,232

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☐ No
If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.**1** Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2008	639,871	11,244,368	0.0569
2007	608,878	13,524,757	0.0450
2006	597,110	12,965,792	0.0461
2005	651,071	12,713,417	0.0512
2004	577,122	12,557,771	0.0460

2 Total of line 1, column (d)	2	0.2452
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	.04904
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	9,761,940
5 Multiply line 4 by line 3	5	478,726
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	205
7 Add lines 5 and 6	7	478,931
8 Enter qualifying distributions from Part XII, line 4	8	566,693

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions on page 18.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter (attach copy of letter if necessary—see instructions)		1	205
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ 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)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	
3 Add lines 1 and 2		3	205
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	205
6 Credits/Payments			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	1,250	
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	1,250	
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	0	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	1,045	
11 Enter the amount of line 10 to be Credited to 2010 estimated tax 400 Refunded	11	645	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>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</i>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ <u>0</u> (2) On foundation managers ▶ \$ <u>0</u>		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ <u>0</u>		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities</i>		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? <i>If "Yes," attach a conformed copy of the changes</i>		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?	N/A	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T</i>		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?		X
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	X	
8a Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ <u>FLORIDA</u>		
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 <i>General Instruction G</i> ? <i>If "No," attach explanation</i>	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV on page 27)? <i>If "Yes," complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		X

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ N/A	13	N/A	
14	The books are in care of ▶ NORTHERN TRUST BANK Telephone no ▶ 941-329-2628 Located at ▶ 1515 RINGLING BLVD ZIP+4 ▶ 34236			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here and enter the amount of tax-exempt interest received or accrued during the year ▶ 15			

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here ▶ ☐	1b	N/A
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? ☐ Yes ☐ No If "Yes," list the years ▶ 20 , 20 , 20 , 20		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see page 20 of the instructions)	2b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20 , 20 , 20 , 20		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.)	3b	N/A
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)? (see page 22 of the instructions) ☐ Yes ☒ No(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here ☐**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No
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? ☐ Yes ☒ No**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1** List all officers, directors, trustees, foundation managers and their compensation (see page 22 of the instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (if not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NORTHERN TRUST BANK OF FL NA	CO-TRUSTEE			
P O BOX 4097, SARASOTA, FL	FULL TIME	27,801	0	0
SARAH ROB COLBY PIERCE	CO-TRUSTEE			
100 SHORE DR, PT. CHESTER, NY	PART TIME	18,554	0	0
F. JORDAY COLBY	CO-TRUSTEE			
1795 LINCOLN PK, SARASOTA, FL	PART TIME	18,554	0	0
BENJAMIN M. COLBY	CO-TRUSTEE			
2229 SOCIAL SRVCS PLAZA A IRVINE CA	PART TIME	18,554	0	0

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

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

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

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services (see page 23 of the instructions). If none, enter "NONE."

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

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

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
1 NONE	
2	
3	
4	

Part IX-B Summary of Program-Related Investments (see page 23 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	
2	
All other program-related investments - See page 24 of the instructions	
3	
Total. Add lines 1 through 3 ▶	0

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see page 24 of the instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes.		
a	Average monthly fair market value of securities	1a	9,910,599
b	Average of monthly cash balances	1b	
c	Fair market value of all other assets (see page 24 of the instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	9,910,599
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	9,910,599
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see page 25 of the instructions)	4	148,659
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	9,761,940
6	Minimum investment return. Enter 5% of line 5	6	488,097

Part XI Distributable Amount (see page 25 of the instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	488,097
2a	Tax on investment income for 2009 from Part VI, line 5	2a	205
b	Income tax for 2009 (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	205
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	487,892
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	487,892
6	Deduction from distributable amount (see page 25 of the instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	487,892

Part XII Qualifying Distributions (see page 25 of the instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes.		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	1a	566,693
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	566,693
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see page 26 of the instructions)	5	205
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	566,488

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 page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				487,892
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			539,981	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2009				
a From 2004				
b From 2005				
c From 2006				
d From 2007				
e From 2008				
f Total of lines 3a through e	0			
4 Qualifying distributions for 2009 from Part XII, line 4 ▶ \$ 566,693				
a Applied to 2008, but not more than line 2a			539,981	
b Applied to undistributed income of prior years (Election required—see page 26 of the instructions)				
c Treated as distributions out of corpus (Election required—see page 26 of the instructions)				
d Applied to 2009 distributable amount				26,712
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0			
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				
d Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions		0		
e Undistributed income for 2008. Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions			0	
f Undistributed income for 2009 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				461,180
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)				
8 Excess distributions carryover from 2004 not applied on line 5 or line 7 (see page 27 of the instructions)				
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	0			
10 Analysis of line 9				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007				
d Excess from 2008				
e Excess from 2009				

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

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

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

	Tax year				(e) Total
	(a) 2009	(b) 2008	(c) 2007	(d) 2006	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					0
b 85% of line 2a	0	0	0	0	0
c Qualifying distributions from Part XII, line 4 for each year listed					0
d Amounts included in line 2c not used directly for active conduct of exempt activities					0
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c	0	0	0	0	0
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter					
(1) Value of all assets					0
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					0
b "Endowment" alternative test—enter $\frac{1}{2}$ of minimum investment return shown in Part X, line 6 for each year listed					0
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)					0
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					0
(3) Largest amount of support from an exempt organization					0
(4) Gross investment income					0

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see page 27 of the instructions.)**1 Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

THE APPLEBY FOUNDATION, C/O NORTHERN TRUST BANK, P. O. BOX 4097 SARASOTA, FL 34230 941-329-2628

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	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> SEE ATTACHED SCHEDULE				550,000
Total			▶ 3a	550,000
b <i>Approved for future payment</i>				
Total			▶ 3b	0

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions)
		(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1	Program service revenue					
a	_____					
b	_____					
c	_____					
d	_____					
e	_____					
f	_____					
g	Fees and contracts from government agencies					
2	Membership dues and assessments					
3	Interest on savings and temporary cash investments					
4	Dividends and interest from securities					108,632
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					(17,277)
8	Gain or (loss) from sales of assets other than inventory					(793,327)
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		0	(701,972)
13	Total. Add line 12, columns (b), (d), and (e)					(701,972)

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

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

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

- 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

(2) Other assets

- b Other transactions**

(1) Sales of assets to a noncharitable exempt organization

(2) Purchases of assets from a noncharitable exempt organization

(3) Rental of facilities, equipment, or other assets

(4) Reimbursement arrangements

(5) Loans or loan guarantees

(6) Performance of services or membership or fundraising solicitations

- c Sharing of facilities, equipment, mailing lists, other assets, or paid employees**

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

[illegible]

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

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

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

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 _____

Title

Sign Here

**Paid
Preparer's
Use Only**

**Preparer's
signature**

Date _____

Check if self-employed ☒

Preparer's identifying
number (see **Signature** on
page 30 of the instructions)

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

ROBERT D. FERRIS, C.P.A.

FIN ▶ 65-0088448

P.O. BOX 700, SARASOTA, FL 34230

Phone no 941-954-6977

THE APPLEBY FOUNDATION
FEDERAL ID# 52-6026971
2009 FORM 990PF
PG 1, LINE 11

OTHER INCOME:

FROM K-1 NORTHERN TRUST PRIVATE EQUITY FUND

\$ (17,277)

**Appleby Foundation
2009 Awards**

Source	Organization	\$\$GRANTED
Appleby Foundation	ORI Community & Evaluation Services	\$3,000
Appleby Foundation	FEN (Forest Ecology Network)	\$2,000
Appleby Foundation	American Hospital of Paris Foundation	\$5,000
Appleby Foundation	Sidwell Friends School	\$5,000
Appleby Foundation	Tidewell Hospice and Palliative Care	\$5,000
Appleby Foundation	Methuselah Foundation	\$5,000
Appleby Foundation	Sarasota Art Center	\$2,500
Appleby Foundation	Center for Coastal Ecology	\$5,000
Appleby Foundation	Early Music Foundation	\$10,000
Appleby Foundation	LaMusica di Asolo, Inc	\$12,000
Appleby Foundation	Planned Parenthood of SW and Central Florida, Inc	\$15,000
Appleby Foundation	Sarasota Conservation Foundation	\$15,000
Appleby Foundation	Caloric Restriction Society	\$15,000
Appleby Foundation	New College Foundation Appleby Scholarship Endowment	\$10,000
Appleby Foundation	Northern Wings, Inc	\$30,000
Appleby Foundation	Touchstone Discussion Project	\$30,000
Appleby Foundation	Port Chester Carver Center	\$30,000
Appleby Foundation	Regents of the University of California	\$30,000
Appleby Foundation	Take Stock in Children	\$30,000
Appleby Foundation	Young Harris College	\$100,000
Appleby Foundation	LightHawk	\$130,000
Appleby Foundation	Teen Court of Sarasota, Inc	\$5,500
Appleby Foundation	Clinical Immunology Fund	\$5,000
Appleby Foundation	UC Foundation/Appleby Research Fund	\$40,000
Appleby Foundation	Northeast Wilderness Trust	\$10,000
Subtotal		\$550,000



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TRUST YEAR ENDING 12/31/2009

TAX PREPARER. CFP
TRUST ADMINISTRATOR CBQ
INVESTMENT OFFICER EOP

LEGEND F - FEDERAL S - STATE I - INHERITED
E - EXEMPT FROM STATE U - ACQ COST UNKNOWN

PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
395 0000 HALLIBURTON CO - 406216101 - MINOR = 3101						
SOLD		01/08/2009	8245 81			
ACQ	80 0000	05/08/2008	1670 04	3840 41	-2170 37	ST
	80 0000	05/09/2008	1670 04	3804 58	-2134 54	ST
	85 0000	05/19/2008	1774 41	4176 04	-2401 63	ST
	70 0000	07/08/2008	1461 28	3279 88	-1818 60	ST
	80 0000	10/29/2008	1670 04	1563 05	106 99	ST
25 0000 STRYKER CORP - 863667101 - MINOR = 5010						
SOLD		01/09/2009	1025 46			
ACQ	25 0000	05/01/2007	1025 46	1634 24	-608 78	LT15
280 0000 CVS CORP - 126650100 - MINOR = 31000						
SOLD		01/13/2009	7279 74			
ACQ	105 0000	11/08/2007	2729 90	4432 22	-1702 32	LT15
	175 0000	11/16/2007	4549 84	7382 43	-2832 59	LT15
FOUND UPDATE						
205 0000 SAP AKTIENGESELLSCHAFT SPONSORED ADR - 803054204						
SOLD		01/13/2009	7417 66			
ACQ	85 0000	10/03/2008	3075 62	3996 29	-920 67	ST
	120 0000	10/06/2008	4342 04	4639 24	-297 20	ST
FOUND UPDATE						
65 0000 WELLS FARGO & CO NEW - 949746101						
SOLD		01/14/2009	1522 98			
ACQ	65 0000	11/06/2008	1522 98	1886 37	-363 39	ST
45.0000 APPLE COMPUTER INC - 037833100 - MINOR = 31001						
SOLD		01/15/2009	3629 23			
ACQ	45 0000	01/19/2007	3629 23	4017 60	-388 37	LT15
22 0000 APPLE COMPUTER INC - 037833100 - MINOR = 31001						
SOLD		01/15/2009	1781 99			
ACQ	22 0000	01/19/2007	1781 99	1964 16	-182 17	LT15
385 0000 AUTODESK, INC - 052769106						
SOLD		01/15/2009	5909 84			
ACQ	210 0000	03/25/2008	3223 55	6974 29	-3750 74	ST
	175 0000	06/17/2008	2686 29	6912 13	-4225 84	ST
45 0000 WATERS CORP - 941848103						
SOLD		01/15/2009	1695 71			
ACQ	40 0000	03/28/2007	1507 30	2293 65	-786 35	LT15
	5.0000	10/11/2007	188 41	333 29	-144 88	LT15
150 0000 WELLS FARGO & CO NEW - 949746101						
SOLD		01/15/2009	3042 33			
ACQ	20 0000	11/06/2008	405 64	580 42	-174 78	ST
	55 0000	11/06/2008	1115 52	1485 00	-369 48	ST
	75.0000	11/28/2008	1521 17	2084 60	-563 44	ST
190 0000 WELLS FARGO & CO NEW - 949746101						
SOLD		01/21/2009	3060 14			
ACQ	40 0000	11/06/2008	644 24	1080 00	-435 76	ST
	55 0000	11/20/2008	885 83	1287 13	-401 30	ST
	95 0000	12/01/2008	1530 07	2469 34	-939 27	ST
100 0000 CATERPILLAR INC - 149123101 - MINOR = 31001						
SOLD		01/26/2009	3262 28			
ACQ	60 0000	07/20/2007	1957 37	4725 93	-2768 56	LT15
	40 0000	10/11/2007	1304 91	3238 80	-1933 89	LT15
43 0000 DEERE & CO - 244199105 - MINOR = 31001						
SOLD		01/26/2009	1515 59			
ACQ	23.0000	10/09/2007	810 66	1724 48	-913 82	LT15
	20 0000	10/10/2007	704 93	1525 90	-820 97	LT15
285 0000 MICROSOFT CORP COM - 594918104 - MINOR = 31001						
SOLD		01/26/2009	5039 25			
ACQ	145 0000	11/08/2007	2563 83	5018 15	-2454 32	LT15
	70 0000	01/08/2008	1237 71	2409 67	-1171 96	LT15
	70 0000	01/25/2008	1237 71	2330 30	-1092 59	LT15
55 0000 WATERS CORP - 941848103						
SOLD		01/26/2009	2001 13			
ACQ	35 0000	03/28/2007	1273 45	2006 94	-733 49	LT15
	20 0000	01/16/2008	727 68	1556 48	-828 80	LT15
40 0000 GENERAL DYNAMICS CORP - 369550108 - MINOR = 3101						
SOLD		01/27/2009	2231 13			
ACQ	40 0000	01/19/2007	2231 13	3192 30	-961 17	LT15
FOUND UPDATE						
265.0000 CATERPILLAR INC - 149123101 - MINOR = 31001						
SOLD		02/02/2009	7952 90			
ACQ	25 0000	07/20/2007	750 27	1969 14	-1218 87	LT15
	95 0000	07/27/2007	2851 04	7194 94	-4343 90	LT15
	60 0000	09/20/2007	1800 66	4648 20	-2847 54	LT15
	50 0000	05/14/2008	1500 55	4149 71	-2649 16	ST
	35 0000	06/05/2008	1050 38	2886 73	-1836 35	ST
57 0000 INTUITIVE SURGICAL INC COM NEW STK - 46120E602						
SOLD		02/02/2009	5762 27			
ACQ	9 0000	08/06/2008	909 83	2827 85	-1918 02	ST
	11 0000	09/04/2008	1112 02	3061 70	-1949 68	ST
	11 0000	11/17/2008	1112 02	1472 74	-360 72	ST
	12 0000	12/05/2008	1213 11	1583 59	-370 48	ST
	14 0000	12/16/2008	1415 29	1899 34	-484 05	ST
165 0000 MICROCHIP TECHNOLOGY INC - 595017104 - MINOR = 31000						
SOLD		02/02/2009	3080 23			
ACQ	165 0000	11/20/2008	3080 23	2938 19	142 04	ST

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TRUST YEAR ENDING 12/31/2009

TAX PREPARER CFP
TRUST ADMINISTRATOR CBQ
INVESTMENT OFFICER EOPLEGEND F - FEDERAL S - STATE I - INHERITED
E - EXEMPT FROM STATE U - ACQ COST UNKNOWN

PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
150 0000 WATERS CORP - 941848103						
SOLD		02/02/2009	5323 58		SUB TRUST	02-65377
ACQ	120 0000	03/09/2007	4258.86	6543 60	-2284 74	LT15
	30 0000	03/28/2007	1064 72	1720 24	-655.52	LT15
95 0000 ROCKWELL COLLINS INC - 774341101						
SOLD		02/03/2009	3658.05		SUB TRUST	02-65377
ACQ	10 0000	12/22/2005	385 06	481 90	-96 84	LT15
	35 0000	03/28/2007	1347 70	2336 95	-989 25	LT15
	50 0000	10/11/2007	1925 29	3709 14	-1783 85	LT15
FOUND UPDATE						
215 0000 #REORG/EMBARQ CORPORATION STOCK MERGER TO CENTURYTEL INC SEC 2117900 EFF 7/1/09 - 29078E105						
SOLD		02/13/2009	7695 03		SUB TRUST	02-65359
ACQ	215 0000	01/17/2007	7695.03	11656.16	-3961.13	LT15
25275 7400 MFB NRTHN MULTIMGR SMALL*FOR NMMSX FD - 665162566						
SOLD		02/19/2009	137500 00			
ACQ	25275 7400	02/20/2007	137500.00	294967 89	-157467.89	LT15
FOUND UPDATE						
9317 4400 MFB NORTHN HI YIELD FXD INC FD - 665162699						
SOLD		02/19/2009	56091 00			
ACQ	9317 4400	02/20/2007	56091.00	77334 75	-21243 75	LT15
FOUND UPDATE						
20.0000 ANALOG DEVICES INC - 032654105						
SOLD		02/20/2009	385 71		SUB TRUST	02-65359
ACQ	20 0000	01/17/2007	385 71	676.00	-290.29	LT15
370 0000 ADR ERICSSON L M TEL CO ADR CL B SEK 10 NEW ERICSSON L M TEL CO ADR - 294821608						
SOLD		02/20/2009	3096 44		SUB TRUST	02-65359
ACQ	370 0000	07/02/2008	3096 44	4036 29	-939 85	ST
40.0000 INTL BUSINESS MACHINES CORP - 459200101 - MINOR = 31001						
SOLD		02/20/2009	3545 18		SUB TRUST	02-65359
ACQ	40 0000	10/27/2008	3545.18	3283 84	261 34	ST
80 0000 LINEAR TECHNOLOGY - 535678106 - MINOR = 31001						
SOLD		02/20/2009	1789 66		SUB TRUST	02-65359
ACQ	80 0000	01/17/2007	1789 66	2517 91	-728 25	LT15
65.0000 MICROSOFT CORP COM - 594918104 - MINOR = 31001						
SOLD		02/20/2009	1171 06		SUB TRUST	02-65359
ACQ	65 0000	10/13/2008	1171 06	1571 43	-400.37	ST
3406 9900 MFO VANGUARD FXD INC SECS FD INC INFLATION-PROTECTED SECS FD #119 - 922031869						
SOLD		02/20/2009	39998 00			
ACQ	3406 9900	11/07/2008	39998.00	37987 93	2010 07	ST
275 0000 XILINX INC - 983919101						
SOLD		02/20/2009	4612 66		SUB TRUST	02-65359
ACQ	275 0000	11/07/2007	4612.66	6546 65	-1933 99	LT15
265 0000 ADR ARCELORMITTAL SA LUXEMBOURG N Y REGISTRY SHS - 03938L104						
SOLD		02/24/2009	5255 56		SUB TRUST	02-65377
ACQ	80.0000	05/29/2007	1586 58	4640 80	-3054 22	LT15
	85 0000	05/29/2007	1685.75	5013.04	-3327 29	LT15
	75 0000	05/30/2007	1487 42	4351 27	-2863.85	LT15
	25 0000	07/10/2007	495.81	1625 55	-1129 74	LT15
FOUND UPDATE						
130.0000 LINEAR TECHNOLOGY - 535678106 - MINOR = 31001						
SOLD		02/24/2009	2856 73		SUB TRUST	02-65359
ACQ	130 0000	01/17/2007	2856.73	4091 61	-1234 88	LT15
FOUND UPDATE						
525.0000 LINEAR TECHNOLOGY - 535678106 - MINOR = 31001						
SOLD		02/24/2009	11543 27		SUB TRUST	02-65359
ACQ	525 0000	01/17/2007	11543.27	16523.80	-4980 53	LT15
FOUND UPDATE						
35 0000 COCA COLA CO - 191216100 - MINOR = 31001						
SOLD		03/02/2009	1392 35		SUB TRUST	02-65359
ACQ	35.0000	10/13/2008	1392 35	1629 29	-236 94	ST
305 0000 KRAFT FOODS INC CL A - 50075N104 - MINOR = 31001						
SOLD		03/02/2009	6802 74		SUB TRUST	02-65359
ACQ	105 0000	04/25/2007	2341.93	3515 04	-1173 11	LT15
	200 0000	04/25/2007	4460 81	6697.52	-2236 71	LT15
60 0000 PEPSICO INC - 713448108						
SOLD		03/02/2009	2823.66		SUB TRUST	02-65359
ACQ	60 0000	06/11/2008	2823 66	4066 53	-1242 87	ST
335 0000 WHIRLPOOL CORP - 963320106 - MINOR = 31001						
SOLD		03/02/2009	7423 19		SUB TRUST	02-65359
ACQ	145 0000	05/02/2008	3213 02	10898 04	-7685 02	ST
	15 0000	05/05/2008	332.38	1120 02	-787 64	ST
	125 0000	07/02/2008	2769 85	7697 43	-4927 58	ST
	50 0000	07/02/2008	1107 94	3073 00	-1965 06	ST
500 0000 CAPITAL ONE FINL CORP - 14040H105 - MINOR = 31000						
SOLD		03/06/2009	4207 43		SUB TRUST	02-65359
ACQ	150 0000	07/30/2008	1262 23	6362 84	-5100 61	ST
	100 0000	07/30/2008	841 49	4241.89	-3400 40	ST
	250 0000	09/02/2008	2103 72	11059 17	-8955 46	ST
375.0000 LINCOLN NATIONAL CORP IND - 534187109 - MINOR = 3101						
SOLD		03/17/2009	2847 47		SUB TRUST	02-65359
ACQ	197 3800	03/29/2006	1498 76	10796 69	-9297 93	LT15
	177 6200	08/04/2006	1348 71	10197.66	-8848 95	LT15
FOUND UPDATE						



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TRUST YEAR ENDING 12/31/2009

TAX PREPARER: CFP
TRUST ADMINISTRATOR: CBQ
INVESTMENT OFFICER: EOP

LEGEND F - FEDERAL S - STATE I - INHERITED
E - EXEMPT FROM STATE U - ACQ COST UNKNOWN

PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
525.0000 CREDIT SUISSE GROUP SPONSORED ADR - 225401108						
SOLD		03/23/2009	16403.12			SUB TRUST 02-65359
ACQ	25.0000	02/13/2008	781.10	1297.53	-516.43	LT15
	200.0000	02/14/2008	6248.81	10228.72	-3979.91	LT15
	225.0000	03/12/2008	7029.91	11622.96	-4593.05	LT15
	75.0000	07/24/2008	2343.30	3813.36	-1470.06	ST
150.0000 SUNPOWER CORP COM CL A - 867652109						
SOLD		03/23/2009	3547.89			SUB TRUST 02-65377
ACQ	80.0000	11/05/2008	1892.21	3102.50	-1210.29	ST
	43.0000	11/06/2008	1017.06	1415.74	-398.68	ST
	9.0000	11/07/2008	212.87	296.77	-83.90	ST
	18.0000	11/10/2008	425.75	593.67	-167.92	ST
FOUND UPDATE						
385.0000 GENENTECH INC NEW - 368710406 - MINOR = 3101						
SOLD		03/26/2009	36575.00			SUB TRUST 02-65377
ACQ	110.0000	01/19/2007	10450.00	9772.05	677.95	LT15
	30.0000	03/09/2007	2850.00	2448.90	401.10	LT15
	5.0000	08/04/2008	475.00	475.65	-0.65	ST
	65.0000	09/08/2008	6175.00	6238.80	-63.80	ST
	75.0000	10/01/2008	7125.00	6516.25	608.75	ST
	40.0000	11/28/2008	3800.00	3003.61	796.39	ST
	60.0000	12/01/2008	5700.00	4319.59	1380.41	ST
FOUND UPDATE						
825.0000 J P MORGAN CHASE & CO - 46625H100 - MINOR = 31001						
SOLD		03/27/2009	22840.08			SUB TRUST 02-65359
ACQ	218.4900	01/28/2005	6048.88	8068.64	-2019.76	LT15
	181.5100	07/22/2005	5025.09	6436.74	-1411.65	LT15
	125.0000	04/03/2008	3460.62	5808.50	-2347.88	ST
	100.0000	04/04/2008	2768.49	4593.35	-1824.86	ST
	200.0000	11/24/2008	5536.99	5184.56	352.43	ST
185.0000 WYETH LABS - 983024100 - MINOR = 5010						
SOLD		03/27/2009	7954.96			SUB TRUST 02-65359
ACQ	185.0000	01/17/2007	7954.96	9372.10	-1417.14	LT15
250.0000 ITT INDS INC - 450911102 - MINOR = 3101						
SOLD		04/06/2009	9646.68			SUB TRUST 02-65377
ACQ	180.0000	01/19/2007	6945.61	10665.00	-3719.39	LT15
	70.0000	02/15/2008	2701.07	4016.57	-1315.50	LT15
35.0000 GOLDMAN SACHS GROUP INC - 38141G104 - MINOR = 31001						
SOLD		04/08/2009	4104.69			SUB TRUST 02-65359
ACQ	35.0000	12/16/2008	4104.69	2426.92	1677.77	ST
250.0000 HOME DEPOT INC - 437076102						
SOLD		04/08/2009	6169.84			SUB TRUST 02-65359
ACQ	250.0000	05/03/2007	6169.84	9786.87	-3617.03	LT15
130.0000 ADR SANOFI-AVENTIS SPONSORED ADR - 80105N105						
SOLD		04/08/2009	3584.01			SUB TRUST 02-65359
ACQ	130.0000	09/04/2007	3584.01	5358.52	-1774.51	LT15
120.0000 SUNOCO INC - 86764P109						
SOLD		04/08/2009	3335.91			SUB TRUST 02-65359
ACQ	120.0000	06/11/2008	3335.91	4812.66	-1476.75	ST
367.0000 #REORG/EMBARQ CORPORATION STOCK MERGER TO CENTURYTEL INC SEC 2117900 EFF 7/1/09 - 29078E105						
SOLD		04/17/2009	13275.19			SUB TRUST 02-65359
ACQ	367.0000	01/17/2007	13275.19	19896.80	-6621.61	LT15
43.0000 #REORG/EMBARQ CORPORATION STOCK MERGER TO CENTURYTEL INC SEC 2117900 EFF 7/1/09 - 29078E105						
SOLD		04/17/2009	1569.42			SUB TRUST 02-65359
ACQ	43.0000	01/17/2007	1569.42	2331.23	-761.81	LT15
45243.8300 MFB NORTHERN FDS GLOBAL REAL ESTATE INDEX FD - 665162541						
SOLD		04/17/2009	225766.73			
ACQ	32434.2900	04/03/2008	161847.12	348993.00	-187145.88	LT15
	12707.8700	08/11/2008	63412.28	119454.00	-56041.72	ST
	101.6700	12/19/2008	507.33	537.82	-30.49	ST
9443.2800 MFB NORTHN MULTI-MANAGER INTL EQTY FD FD - 665162558						
SOLD		04/17/2009	63270.00			
ACQ	654.7300	12/11/2006	4386.69	7509.75	-3123.06	LT15
	5983.3300	12/19/2007	40088.33	70064.73	-29976.40	LT15
	2805.2200	12/19/2007	18794.98	32849.13	-14054.15	LT15
1594.0900 MFB NRTHN MULTIMGR SMALL"FOR NMMSX FD - 665162566						
SOLD		04/17/2009	9979.00			
ACQ	1594.0900	02/20/2007	9979.00	18603.03	-8624.03	LT15
13639.0500 MFB NORTHERN EMERGING MARKETS EQUITY FUND - 665162582						
SOLD		04/17/2009	99428.67			
ACQ	13412.5900	04/03/2008	97777.78	179997.00	-82219.22	LT15
	226.4600	12/19/2008	1650.89	1481.03	169.86	ST
290.0000 NOBLE CORPORATION (SWITZERLAND) COM USDO 10 - H5833N103						
SOLD		04/23/2009	7942.87			SUB TRUST 02-65377
ACQ	65.0000	02/25/2008	1780.30	3218.08	-1437.78	LT15
	85.0000	03/07/2008	2328.08	4107.08	-1779.00	LT15
	75.0000	03/25/2008	2054.19	3638.35	-1584.16	LT15
	65.0000	11/26/2008	1780.30	1708.59	71.71	ST
100.0000 BRISTOL MYERS SQUIBB CO - 110122108						
SOLD		04/28/2009	2028.24			SUB TRUST 02-65359
ACQ	100.0000	01/17/2007	2028.24	2660.00	-631.76	LT15
FOUND UPDATE						
645.0000 PFIZER INC - 717081103						
SOLD		04/28/2009	8635.36			SUB TRUST 02-65359
ACQ	645.0000	01/25/2002	8635.36	27044.85	-18409.49	LT15
FOUND UPDATE						



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PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
265 0000 TALISMAN ENERGY INC - 87425E103 - MINOR = 3162						
SOLD		05/01/2009	3547 84		SUB TRUST	02-65377
ACQ	265 0000	10/08/2008	3547.84	2644 51	903 33	ST
200 0000 XILINX INC - 983919101						
SOLD		05/04/2009	4190 59		SUB TRUST	02-65359
ACQ	150 0000	11/07/2007	3142.94	3553 71	-410 77	LT15
	50 0000	11/07/2007	1047 65	1190 30	-142.65	LT15
400.0000 XILINX INC - 983919101						
SOLD		05/05/2009	8218 11		SUB TRUST	02-65359
ACQ	75.0000	11/07/2007	1540 90	1776.86	-235 96	LT15
	325 0000	12/11/2007	6677 21	7292.48	-615.27	LT15
FOUND UPDATE						
175.0000 BECTON DICKINSON & CO - 075887109 - MINOR = 31001						
SOLD		05/08/2009	10943.59		SUB TRUST	02-65377
ACQ	175 0000	01/19/2007	10943 59	12965.75	-2022.16	LT15
75.0000 JACOBS ENGR GROUP INC - 469814107						
SOLD		05/08/2009	3209 98		SUB TRUST	02-65377
ACQ	50 0000	01/19/2007	2139.99	2011.75	128.24	LT15
	25.0000	05/03/2007	1069 99	1299 14	-229 15	LT15
200 0000 ADR NOVARTIS AG SPONSORED ADR ISIN #US66987V1098 - 66987V109 - MINOR = 3161						
SOLD		05/12/2009	7790 22		SUB TRUST	02-65377
ACQ	100 0000	08/13/2008	3895 11	5719 00	-1823 89	ST
	100 0000	01/28/2009	3895.11	4279 09	-383 98	ST
FOUND UPDATE						
130 0000 ALLSTATE CORP - 020002101 - MINOR = 31000						
SOLD		06/02/2009	3457 61		SUB TRUST	02-65359
ACQ	130.0000	01/24/2008	3457 61	6769 62	-3312 01	LT15
FOUND UPDATE						
15.0000 GOLDMAN SACHS GROUP INC - 38141G104 - MINOR = 31001						
SOLD		06/02/2009	2156 88		SUB TRUST	02-65359
ACQ	15 0000	12/16/2008	2156.88	1040.11	1116 77	ST
FOUND UPDATE						
60 0000 SCHLUMBERGER LTD ISIN #AN8068571086 - 806857108 - MINOR = 5020						
SOLD		06/03/2009	3413 56		SUB TRUST	02-65377
ACQ	56 9400	01/26/2006	3239.47	3424 94	-185.47	LT15
	3 0600	03/31/2006	174 09	191 94	-17 85	LT15
65.0000 GENERAL MILLS INC - 370334104 - MINOR = 3101						
SOLD		06/08/2009	3523.76		SUB TRUST	02-65377
ACQ	40 0000	11/25/2008	2168 47	2496 80	-328.33	ST
	25.0000	12/09/2008	1355 29	1537 93	-182 64	ST
15.0000 BLACKROCK INC CL A - 09247X101						
SOLD		06/11/2009	2725.41		SUB TRUST	02-65377
ACQ	15 0000	10/09/2008	2725 41	2325 35	400 06	ST
167.0000 GENERAL MILLS INC - 370334104 - MINOR = 3101						
SOLD		06/18/2009	9260.29		SUB TRUST	02-65377
ACQ	70 0000	10/09/2008	3881.56	4271 42	-389 86	ST
	5 0000	12/09/2008	277 25	307 59	-30 34	ST
	37 0000	02/09/2009	2051 68	2171 99	-120 31	ST
	55 0000	03/18/2009	3049 80	2636 47	413 33	ST
35.0000 INTL BUSINESS MACHINES CORP - 459200101 - MINOR = 31001						
SOLD		06/18/2009	3733 58		SUB TRUST	02-65359
ACQ	35 0000	10/27/2008	3733.58	2873.36	860 22	ST
60.0000 BAXTER INTL INC - 071813109 - MINOR = 31000						
SOLD		06/19/2009	3075 83		SUB TRUST	02-65377
ACQ	50.0000	03/28/2007	2563 19	2643 94	-80 75	LT15
	10 0000	05/02/2007	512.64	573 50	-60.86	LT15
110 0000 CELGENE CORP - 151020104						
SOLD		06/19/2009	5146 30		SUB TRUST	02-65377
ACQ	45 0000	05/19/2008	2105 30	2719 06	-613 76	LT15
	65 0000	06/17/2008	3041 00	3991 53	-950 53	LT15
30 0000 GENERAL DYNAMICS CORP - 369550108 - MINOR = 3101						
SOLD		06/29/2009	1711 57		SUB TRUST	02-65377
ACQ	30 0000	01/19/2007	1711 57	2394 23	-682.66	LT15
35 0000 GENERAL DYNAMICS CORP - 369550108 - MINOR = 3101						
SOLD		06/30/2009	1937 42		SUB TRUST	02-65377
ACQ	35 0000	01/19/2007	1937 42	2793 27	-855.85	LT15
115 0000 GENERAL DYNAMICS CORP - 369550108 - MINOR = 3101						
SOLD		07/02/2009	6206 39		SUB TRUST	02-65377
ACQ	115 0000	01/19/2007	6206 39	9177 87	-2971 48	LT15
69.0000 BURLINGTON NORTHN SANTA FE CORP - 12189T104 - MINOR = 31000						
SOLD		07/08/2009	4706 00		SUB TRUST	02-65377
ACQ	60 0000	02/10/2009	4092 17	4142 14	-49 97	ST
	9 0000	02/13/2009	613 83	596 41	17 42	ST
85 0000 JACOBS ENGR GROUP INC - 469814107						
SOLD		07/08/2009	3178 62		SUB TRUST	02-65377
ACQ	85 0000	01/19/2007	3178 62	3419 98	-241 36	LT15
110 0000 STATE STREET CORP - 857477103 - MINOR = 5010						
SOLD		07/08/2009	4938 68		SUB TRUST	02-65377
ACQ	110.0000	05/18/2009	4938 68	4290 00	648 68	ST
81 0000 BURLINGTON NORTHN SANTA FE CORP - 12189T104 - MINOR = 31000						
SOLD		07/09/2009	5582 02		SUB TRUST	02-65377
ACQ	60 0000	02/12/2009	4134 83	3972 73	162 10	ST
	21 0000	02/13/2009	1447 19	1391 63	55 56	ST



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PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
197 0000 DOW CHEMICAL CO - 260543103 - MINOR = 31001						
SOLD		07/09/2009	2925 88			
ACQ	197 0000	05/06/2009	2925 88	2955 00		
65 0000 BHP LTD SPONSORED ADR - 088606108						
SOLD		07/10/2009	3291 53			
ACQ	45 0000	10/10/2007	2278 75	3664.68		
	20 0000	11/01/2007	1012 78	1671 70		
193 0000 DOW CHEMICAL CO - 260543103 - MINOR = 31001						
SOLD		07/10/2009	2821 96			
ACQ	193.0000	05/06/2009	2821 96	2895 00		
237 0000 DEERE & CO - 244199105 - MINOR = 31001						
SOLD		07/22/2009	9531 75			
ACQ	70.0000	09/10/2007	2815 28	4805 09		
	30 0000	09/24/2007	1206 55	2196 73		
	40 0000	09/25/2007	1608 73	2827 80		
	17.0000	10/09/2007	683.71	1274 62		
	80 0000	05/14/2008	3217.47	6608 21		
315 0000 MORGAN STANLEY DEAN WITTER & CO NEW - 617446448 - MINOR = 31000						
SOLD		07/22/2009	8686 19			
ACQ	75 0000	03/19/2009	2068 14	1687 58		
	100.0000	03/20/2009	2757 52	2075 10		
	55 0000	03/26/2009	1516 64	1395.03		
	85.0000	03/27/2009	2343 89	2123.78		
45 0000 GENZYME CORP GENL DIV - 372917104 - MINOR = 3101						
SOLD		07/23/2009	2360 71			
ACQ	45 0000	02/12/2008	2360 71	3465 57		
54 0000 BLACKROCK INC CL A - 09247X101						
SOLD		07/24/2009	10321 84			
ACQ	54 0000	04/17/2009	10321 84	7253 56		
75 0000 ECOLAB INC - 278865100 - MINOR = 3101						
SOLD		07/24/2009	2981.95			
ACQ	75.0000	02/15/2008	2981 95	3442 70		
60 0000 ABBOTT LABORATORIES - 002824100 - MINOR = 31001						
SOLD		07/27/2009	2690.33			
ACQ	45 0000	01/08/2008	2017 75	2650.94		
	15 0000	01/22/2008	672 58	866 52		
40 0000 WEYERHAEUSER CO - 962166104 - MINOR = 3101						
SOLD		07/29/2009	1390 95			
ACQ	40 0000	04/26/2007	1390 95	3241 84		
355 0000 WEYERHAEUSER CO - 962166104 - MINOR = 3101						
SOLD		07/30/2009	12436 32			
ACQ	175 0000	01/25/2007	6130.58	13117 23		
	85 0000	04/26/2007	2977.71	6888 90		
	50.0000	04/27/2007	1751.59	4022.53		
	45 0000	11/24/2008	1576 43	1550.70		
90 0000 STRYKER CORP - 863667101 - MINOR = 5010						
SOLD		08/04/2009	3625 11			
ACQ	55 0000	01/19/2007	2215.35	3202 10		
	35.0000	05/01/2007	1409 77	2287 93		
FOUND UPDATE						
60 0000 ABBOTT LABORATORIES - 002824100 - MINOR = 31001						
SOLD		08/05/2009	2641.66			
ACQ	20 0000	01/22/2008	880 55	1155 35		
	40.0000	04/17/2008	1761.11	2041.19		
20 0000 CELGENE CORP - 151020104						
SOLD		08/06/2009	1095 31			
ACQ	20 0000	05/19/2008	1095 31	1208 47		
45 0000 AIR PRODUCTS & CHEMICALS INC - 009158106 - MINOR = 31001						
SOLD		08/11/2009	3331 64			
ACQ	43.0000	03/20/2007	3183 57	3192.47		
	2.0000	03/22/2007	148 07	150 06		
FOUND UPDATE						
135 0000 COCA COLA CO - 191216100 - MINOR = 31001						
SOLD		08/11/2009	6617 48			
ACQ	135 0000	10/13/2008	6617 48	6284 41		
FOUND UPDATE						
260 0000 KRAFT FOODS INC CL A - 50075N104 - MINOR = 31001						
SOLD		08/11/2009	7404 58			
ACQ	245 0000	04/25/2007	6977 39	8201 77		
	15 0000	12/20/2007	427 19	496 13		
FOUND UPDATE						
170 0000 AT&T INC - 00206R102 - MINOR = 31000						
SOLD		08/12/2009	4351 89			
ACQ	170 0000	09/22/2005	4351 89	4053 26		
75 0000 ABBOTT LABORATORIES - 002824100 - MINOR = 31001						
SOLD		08/12/2009	3299 17			
ACQ	45 0000	09/09/2004	1979 50	1896 17		
	30.0000	04/17/2008	1319 67	1530 90		
110 0000 ACTIVISION BLIZZARD INC COM STK - 00507V109						
SOLD		08/12/2009	1379 36			
ACQ	110 0000	08/05/2009	1379 36	1293 09		
135 0000 ADOBE SYS INC - 00724F101 - MINOR = 3101						
SOLD		08/12/2009	4435 99			
ACQ	105 0000	01/19/2007	3450 21	3983 60		
	30 0000	10/10/2007	985 78	1356 75		



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PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
45 0000 AIR PRODUCTS & CHEMICALS INC - 009158106 - MINOR = 31001						
SOLD		08/12/2009	3374 46		SUB TRUST	02-65377
ACQ	45 0000	03/20/2007	3374 46	3340 96	33 50	LT15
355 0000 ALCOA INC - 013817101 - MINOR = 31000						
SOLD		08/12/2009	4568 73		SUB TRUST	02-65359
ACQ	125 0000	10/22/2008	1608 71	1348 13	260 58	ST
	230 0000	10/22/2008	2960 02	2476 48	483 54	ST
225 0000 ALLSTATE CORP - 020002101 - MINOR = 31000						
SOLD		08/12/2009	6402 35		SUB TRUST	02-65359
ACQ	95.0000	01/24/2008	2703 21	4947 03	-2243 82	LT15
	130 0000	02/29/2008	3699 14	6298 26	-2599 12	LT15
25.0000 AMAZON COM INC - 023135106 - MINOR = 3101						
SOLD		08/12/2009	2121 95		SUB TRUST	02-65377
ACQ	25 0000	05/07/2009	2121.95	1985.70	136 25	ST
160 0000 AMERICAN EXPRESS CO - 025816109 - MINOR = 31001						
SOLD		08/12/2009	5100 67		SUB TRUST	02-65359
ACQ	160 0000	08/08/2008	5100 67	6070 77	-970.10	LT15
30 0000 AMGEN INC - 031162100						
SOLD		08/12/2009	1867 75		SUB TRUST	02-65377
ACQ	30 0000	08/04/2009	1867 75	1883 82	-16 07	ST
200 0000 ANALOG DEVICES INC - 032654105						
SOLD		08/12/2009	5477 86		SUB TRUST	02-65359
ACQ	200 0000	01/17/2007	5477.86	6760 00	-1282 14	LT15
50.0000 APACHE CORP - 037411105 - MINOR = 31001						
SOLD		08/12/2009	4349 89		SUB TRUST	02-65377
ACQ	50 0000	01/19/2007	4349.89	3366.77	983 12	LT15
30 0000 APOLLO GROUP INC CL A - 037604105						
SOLD		08/12/2009	1991 05		SUB TRUST	02-65377
ACQ	30 0000	02/24/2009	1991 05	2276.91	-285 86	ST
65 0000 APPLE COMPUTER INC - 037833100 - MINOR = 31001						
SOLD		08/12/2009	10745 52		SUB TRUST	02-65377
ACQ	65 0000	01/19/2007	10745 52	5803 20	4942 32	LT15
50 0000 ADR ARCELORMITTAL SA LUXEMBOURG N Y REGISTRY SHS - 03938L104						
SOLD		08/12/2009	1760 45		SUB TRUST	02-65377
ACQ	50 0000	06/01/2009	1760 45	1768.19	-7 74	ST
125 0000 AVON PRODS INC - 054303102 - MINOR = 3101						
SOLD		08/12/2009	4058 65		SUB TRUST	02-65377
ACQ	60 0000	06/01/2009	1948 15	1614 60	333 55	ST
	65 0000	07/24/2009	2110 50	1924 59	185 91	ST
155 0000 BAKER HUGHES INC - 057224107 - MINOR = 31001						
SOLD		08/12/2009	5725.55		SUB TRUST	02-65359
ACQ	35 0000	03/02/2009	1292.87	952 22	340 65	ST
	120 0000	08/11/2009	4432.68	4406 54	26 14	ST
215 0000 BANK NEW YORK MELLON CORP COM STK - 064058100 - MINOR = 3101						
SOLD		08/12/2009	6217 64		SUB TRUST	02-65359
ACQ	215 0000	10/09/2008	6217.64	5739 83	477 81	ST
50 0000 BAXTER INTL INC - 071813109 - MINOR = 31000						
SOLD		08/12/2009	2766 43		SUB TRUST	02-65377
ACQ	50 0000	03/28/2007	2766 43	2643.94	122 49	LT15
65 0000 BHP LTD SPONSORED ADR - 088606108						
SOLD		08/12/2009	4044 20		SUB TRUST	02-65377
ACQ	5 0000	10/10/2007	311 09	407 19	-96 10	LT15
	60.0000	11/08/2007	3733 11	4550 53	-817.42	LT15
65 0000 BLACK & DECKER CORP - 091797100						
SOLD		08/12/2009	2724 08		SUB TRUST	02-65359
ACQ	25.0000	04/04/2008	1047 72	1773 02	-725.30	LT15
	40 0000	04/04/2008	1676 36	2832 18	-1155 82	LT15
20 0000 BLACKROCK INC CL A - 09247X101						
SOLD		08/12/2009	4072 50		SUB TRUST	02-65359
ACQ	16 0000	03/27/2009	3258 00	2073 67	1184 33	ST
	4 0000	04/17/2009	814 50	537 30	277 20	ST
18 0000 BLACKROCK INC CL A - 09247X101						
SOLD		08/12/2009	3648.69		SUB TRUST	02-65377
ACQ	10 0000	10/09/2008	2027 05	1550 23	476 82	ST
	8 0000	10/15/2008	1621 64	1215 56	406.08	ST
140 0000 BOEING CO - 097023105 - MINOR = 31001						
SOLD		08/12/2009	6476 23		SUB TRUST	02-65359
ACQ	140 0000	07/02/2008	6476 23	9179 73	-2703 50	LT15
55 0000 BOEING CO - 097023105 - MINOR = 31001						
SOLD		08/12/2009	2538 18		SUB TRUST	02-65377
ACQ	55 0000	01/19/2007	2538 18	4886 75	-2348.57	LT15
225 0000 BRISTOL MYERS SQUIBB CO - 110122108						
SOLD		08/12/2009	4938 62		SUB TRUST	02-65359
ACQ	225 0000	01/17/2007	4938 62	5985 00	-1046 38	LT15
9 0000 CME GROUP INC COM STK - 12572Q105						
SOLD		08/12/2009	2537 66		SUB TRUST	02-65377
ACQ	9 0000	07/22/2009	2537 66	2484 21	53.45	ST
50 0000 CELGENE CORP - 151020104						
SOLD		08/12/2009	2727 43		SUB TRUST	02-65377
ACQ	10 0000	05/19/2008	545 49	604 23	-58 74	LT15
	40 0000	05/20/2008	2181 94	2336 29	-154 35	LT15
35 0000 CERNER CORP - 156782104						
SOLD		08/12/2009	2261 99		SUB TRUST	02-65377
ACQ	10 0000	07/23/2009	646.28	633 56	12 72	ST
	25 0000	07/27/2009	1615 71	1619 70	-3 99	ST



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PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
40 0000 CHEVRONTXACO CORP - 166764100						
SOLD		08/12/2009	2758 33		SUB TRUST 02-65359	
ACQ	40 0000	03/09/2009	2758 33	2367 49	390 84	ST
60 0000 CHUBB CORP - 171232101 - MINOR = 5010						
SOLD		08/12/2009	2888 33		SUB TRUST 02-65359	
ACQ	60 0000	06/02/2009	2888 33	2458 53	429 80	ST
325.0000 CISCO SYS INC - 17275R102						
SOLD		08/12/2009	6971 10		SUB TRUST 02-65377	
ACQ	325 0000	11/05/2002	6971 10	4140 50	2830 60	LT15
50 0000 COCA COLA CO - 191216100 - MINOR = 31001						
SOLD		08/12/2009	2447 44		SUB TRUST 02-65359	
ACQ	50 0000	10/13/2008	2447 44	2327 56	119 88	ST
60.0000 COSTCO WHSL CORP NEW - 22160K105 - MINOR = 3101						
SOLD		08/12/2009	2947 12		SUB TRUST 02-65377	
ACQ	60 0000	07/25/2008	2947 12	3745 43	-798 31	LT15
65 0000 DANAHER CORP - 235851102 - MINOR = 31000						
SOLD		08/12/2009	3941 50		SUB TRUST 02-65377	
ACQ	65 0000	02/27/2003	3941 50	2080 00	1861 50	LT15
110 0000 DEERE & CO - 244199105 - MINOR = 31001						
SOLD		08/12/2009	4958 67		SUB TRUST 02-65359	
ACQ	110 0000	02/03/2009	4958 67	3901 34	1057 33	ST
105.0000 WALT DISNEY CO - 254687106 - MINOR = 31001						
SOLD		08/12/2009	2753 09		SUB TRUST 02-65377	
ACQ	60 0000	03/09/2007	1573 19	2045.08	-471 89	LT15
	45 0000	04/24/2008	1179 90	1448 08	-268 18	LT15
235 0000 DOW CHEMICAL CO - 260543103 - MINOR = 31001						
SOLD		08/12/2009	5308.51		SUB TRUST 02-65359	
ACQ	214 2300	01/27/2006	4839 33	9097 19	-4257 86	LT15
	20 7700	03/13/2006	469 18	885 84	-416 66	LT15
70 0000 ECOLAB INC - 278865100 - MINOR = 3101						
SOLD		08/12/2009	2931 52		SUB TRUST 02-65377	
ACQ	35 0000	01/19/2007	1465 76	1551 20	-85 44	LT15
	35 0000	02/15/2008	1465 76	1606.59	-140 83	LT15
75 0000 ENCANA CORP COM NPV - 292505104 - MINOR = 5020						
SOLD		08/12/2009	3857 90		SUB TRUST 02-65359	
ACQ	75 0000	06/02/2009	3857 90	4313.63	-455 73	ST
395 0000 ADR ERICSSON L M TEL CO ADR CL B SEK 10 NEW ERICSSON L M TEL CO ADR - 294821608						
SOLD		08/12/2009	3712 90		SUB TRUST 02-65359	
ACQ	395 0000	07/02/2008	3712 90	4309 02	-596.12	LT15
60 0000 EXXON MOBIL CORP - 30231G102						
SOLD		08/12/2009	4150.69		SUB TRUST 02-65359	
ACQ	60 0000	02/24/2009	4150.69	4287 60	-136 91	ST
40 0000 FPL GROUP INC - 302571104 - MINOR = 31001						
SOLD		08/12/2009	2332 74		SUB TRUST 02-65377	
ACQ	10 0000	10/09/2008	583.19	397 46	185 73	ST
	30 0000	03/03/2009	1749 56	1334 25	415 31	ST
20.0000 FIRST SOLAR INC COM - 336433107						
SOLD		08/12/2009	2931 52		SUB TRUST 02-65377	
ACQ	10 0000	04/24/2008	1465 76	2789 22	-1323 46	LT15
	10 0000	08/04/2008	1465 76	2702 72	-1236 96	LT15
50 0000 FREEPORT MCMORAN C & G CL B COM STK - 35671D857 - MINOR = 3101						
SOLD		08/12/2009	3100.42		SUB TRUST 02-65377	
ACQ	45 0000	04/02/2009	2790 38	1888 79	901 59	ST
	5.0000	04/24/2009	310.04	204.66	-105.38	ST
145 0000 GAP INC COM - 364760108						
SOLD		08/12/2009	2640 38		SUB TRUST 02-65359	
ACQ	145 0000	12/10/2008	2640 38	1983 53	656 85	ST
570.0000 GENERAL ELECTRIC CO - 369604103						
SOLD		08/12/2009	8116.59		SUB TRUST 02-65359	
ACQ	31 0000	12/22/2005	441 43	1447 41	-1005 98	LT15
	279 4600	09/07/2006	3979 41	9533.33	-5553 92	LT15
	183 1900	09/14/2006	2608 56	6368 80	-3760 24	LT15
	76 3500	04/11/2008	1087 20	2475 18	-1387 98	LT15
35 0000 GENZYME CORP GENL DIV - 372917104 - MINOR = 3101						
SOLD		08/12/2009	1768 15		SUB TRUST 02-65377	
ACQ	10 0000	02/12/2008	505 19	770 13	-264 94	LT15
	25 0000	02/13/2008	1262 96	1885 59	-622 63	LT15
120 0000 GILEAD SCIENCES INC - 375558103 - MINOR = 31000						
SOLD		08/12/2009	5571 46		SUB TRUST 02-65377	
ACQ	15 0000	01/19/2007	696 43	495 30	201 13	LT15
	105 0000	03/09/2007	4875 03	3704 40	1170 63	LT15
40 0000 GOLDMAN SACHS GROUP INC - 38141G104 - MINOR = 31001						
SOLD		08/12/2009	6501 43		SUB TRUST 02-65359	
ACQ	40 0000	12/16/2008	6501 43	2773 63	3727 80	ST
15 0000 GOLDMAN SACHS GROUP INC - 38141G104 - MINOR = 31001						
SOLD		08/12/2009	2451 69		SUB TRUST 02-65377	
ACQ	15 0000	07/22/2009	2451 69	2396 63	55 06	ST
20 0000 GOOGLE INC CL A - 38259P508 - MINOR = 3101						
SOLD		08/12/2009	9156 36		SUB TRUST 02-65377	
ACQ	20 0000	01/19/2007	9156 36	9791 80	-635 44	LT15
110 0000 HARTFORD FINL SVCS GROUP INC - 416515104 - MINOR = 31001						
SOLD		08/12/2009	2115.25		SUB TRUST 02-65359	
ACQ	110 0000	07/23/2008	2115 25	7094 63	-4979 38	LT15



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PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
135 0000 HEWLETT PACKARD CO COM - 428236103 - MINOR = 5010						
SOLD		08/12/2009	5931.75			
ACQ	135 0000	01/19/2007	5931.75	5667.30	264.45	LT15
225 0000 HOME DEPOT INC - 437076102						
SOLD		08/12/2009	6164.84			
ACQ	125 0000	05/03/2007	3424.91	4893.44	-1468.53	LT15
	100 0000	06/26/2007	2739.93	3911.09	-1171.16	LT15
240 0000 HUDSON CITY BANCORP - 443683107						
SOLD		08/12/2009	3345.10			
ACQ	240.0000	03/27/2009	3345.10	2889.12	455.98	ST
455 0000 INTEL CORP - 458140100						
SOLD		08/12/2009	8635.68			
ACQ	236 8000	03/21/2006	4494.35	4793.12	-298.77	LT15
	60 0000	01/30/2007	1138.77	1259.43	-120.66	LT15
	158 2000	01/17/2008	3002.56	3174.23	-171.67	LT15
20 0000 INTL BUSINESS MACHINES CORP - 459200101 - MINOR = 31001						
SOLD		08/12/2009	2389.54			
ACQ	20 0000	10/27/2008	2389.54	1641.92	747.62	ST
65.0000 INTL BUSINESS MACHINES CORP - 459200101 - MINOR = 31001						
SOLD		08/12/2009	7769.25			
ACQ	20.0000	05/14/2008	2390.54	2557.00	-166.46	LT15
	45 0000	06/17/2008	5378.71	5665.49	-286.78	LT15
70 0000 J P MORGAN CHASE & CO - 46625H100 - MINOR = 31001						
SOLD		08/12/2009	2938.52			
ACQ	70 0000	03/24/2009	2938.52	1906.97	1031.55	ST
55 0000 JACOBS ENGR GROUP INC - 469814107						
SOLD		08/12/2009	2392.06			
ACQ	55 0000	01/19/2007	2392.06	2212.92	179.14	LT15
65.0000 JOHNSON & JOHNSON - 478160104 - MINOR = 31001						
SOLD		08/12/2009	3964.90			
ACQ	10 0000	08/12/1983	609.98	27.57	582.41	LT15
	55 0000	05/23/2007	3354.92	3522.06	-167.14	LT15
60 0000 JOHNSON & JOHNSON - 478160104 - MINOR = 31001						
SOLD		08/12/2009	3655.11			
ACQ	60 0000	08/12/1983	3655.11	165.43	3489.68	LT15
35 0000 JOHNSON CONTROLS INC - 478366107 - MINOR = 31001						
SOLD		08/12/2009	907.53			
ACQ	35 0000	08/06/2009	907.53	921.73	-14.20	ST
80 0000 KRAFT FOODS INC CL A - 50075N104 - MINOR = 31001						
SOLD		08/12/2009	2284.74			
ACQ	45 0000	12/20/2007	1285.17	1487.04	-201.87	LT15
	35.0000	12/20/2007	999.57	1157.62	-158.05	LT15
40 0000 LOCKHEED MARTIN CORP - 539830109 - MINOR = 3101						
SOLD		08/12/2009	3016.32			
ACQ	40 0000	02/20/2009	3016.32	3108.39	-92.07	ST
28 0000 MASTERCARD INC CL A - 57636Q104 - MINOR = 3101						
SOLD		08/12/2009	5688.05			
ACQ	5 0000	04/24/2009	1015.72	833.73	181.99	ST
	12 0000	05/01/2009	2437.74	2023.25	414.49	ST
	11 0000	08/04/2009	2234.59	2213.03	21.56	ST
85 0000 MCDONALDS CORP - 580135101 - MINOR = 31001						
SOLD		08/12/2009	4786.23			
ACQ	85 0000	10/13/2005	4786.23	2727.15	2059.08	LT15
205 0000 MCGRAW HILL COMPANIES INC - 580645109						
SOLD		08/12/2009	6119.09			
ACQ	80 0000	03/27/2008	2387.94	3065.64	-677.70	LT15
	125 0000	03/27/2008	3731.15	4799.19	-1068.04	LT15
160 0000 MEDTRONIC INC - 585055106						
SOLD		08/12/2009	5926.25			
ACQ	160 0000	04/28/2009	5926.25	4915.47	1010.78	ST
185 0000 METLIFE INC - 59156R108 - MINOR = 3101						
SOLD		08/12/2009	6637.43			
ACQ	185 0000	04/17/2009	6637.43	5139.36	1498.07	ST
285 0000 MICROSOFT CORP COM - 594918104 - MINOR = 31001						
SOLD		08/12/2009	6688.78			
ACQ	285.0000	10/13/2008	6688.78	6890.14	-201.36	ST
200 0000 MICROSOFT CORP COM - 594918104 - MINOR = 31001						
SOLD		08/12/2009	4697.88			
ACQ	170 0000	08/25/1997	3993.20	2905.94	1087.26	LT15
	30 0000	01/25/2008	704.68	998.70	-294.02	LT15
55.0000 MONSANTO CO NEW - 61166W101 - MINOR = 3101						
SOLD		08/12/2009	4543.43			
ACQ	15 0000	01/16/2008	1239.12	1650.75	-411.63	LT15
	40 0000	03/19/2008	3304.31	4047.90	-743.59	LT15
65.0000 MOSAIC CO COM - 61945A107						
SOLD		08/12/2009	3411.11			
ACQ	20 0000	11/19/2007	1049.57	1188.03	-138.46	LT15
	45 0000	11/19/2007	2361.54	2672.43	-310.89	LT15
90 0000 NATIONAL-OILWELL INC - 637071101 - MINOR = 3101						
SOLD		08/12/2009	3259.72			
ACQ	90 0000	03/17/2008	3259.72	4953.62	-1693.90	LT15
185 0000 NATIONAL SEMICONDUCTOR CORP - 637640103						
SOLD		08/12/2009	2687.98			
ACQ	100 0000	06/02/2009	1452.96	1397.54	55.42	ST
	85 0000	06/12/2009	1235.02	1141.51	93.51	ST



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PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
535 0000 NEW YORK CMNTY BANCORP INC - 649445103						
SOLD		08/12/2009	5956 49			
ACQ	310.0000	01/12/2006	3451 42	5315.42	-1864 00	LT15
	225 0000	02/14/2007	2505.07	3874 59	-1369 52	LT15
115 0000 NIKE INC CLASS B - 654106103 - MINOR = 31001						
SOLD		08/12/2009	6626 13			
ACQ	115 0000	05/10/2006	6626 13	4750 08	1876 05	LT15
125 0000 OMNICOM GROUP - 681919106						
SOLD		08/12/2009	4383 64			
ACQ	122 0000	05/05/2009	4278 43	3965 52	312 91	ST
	3 0000	05/05/2009	105 21	96 69	8 52	ST
300 0000 ORACLE CORPORATION - 68389X105 - MINOR = 5010						
SOLD		08/12/2009	6471 01			
ACQ	125 0000	11/08/2007	2696.25	2556 66	139 59	LT15
	175 0000	01/25/2008	3774 76	3588 85	185 91	LT15
150 0000 J C PENNEY INC - 708160106 - MINOR = 31001						
SOLD		08/12/2009	4966 37			
ACQ	100 0000	04/01/2008	3310 91	4022 00	-711 09	LT15
	50 0000	04/01/2008	1655 46	2013 77	-358 31	LT15
70 0000 PEPSICO INC - 713448108						
SOLD		08/12/2009	4015 10			
ACQ	70.0000	06/11/2008	4015 10	4744 28	-729 18	LT15
95 0000 PEPSICO INC - 713448108						
SOLD		08/12/2009	5457 61			
ACQ	40 0000	01/19/2007	2297 94	2596 80	-298 86	LT15
	55 0000	11/16/2007	3159 67	4057 51	-897 84	LT15
215 0000 PFIZER INC - 717081103						
SOLD		08/12/2009	3422 71			
ACQ	215.0000	01/25/2002	3422 71	9014 95	-5592 24	LT15
120 0000 PHILIP MORRIS INTL INC COM - 718172109 - MINOR = 3101						
SOLD		08/12/2009	5636.26			
ACQ	120.0000	10/09/2008	5636 26	5265.48	370.78	ST
90 0000 PROCTER & GAMBLE CO - 742718109						
SOLD		08/12/2009	4702 38			
ACQ	90 0000	03/02/2009	4702 38	4263 23	439 15	ST
120 0000 PROCTER & GAMBLE CO - 742718109						
SOLD		08/12/2009	6262 64			
ACQ	90 8500	07/14/1998	4741 34	4203.37	537.97	LT15
	12 4400	05/27/2005	649 23	690.30	-41.07	LT15
	16 7100	12/22/2005	872 07	980.35	-108.28	LT15
50 0000 RESEARCH IN MOTION LTD - 760975102						
SOLD		08/12/2009	3658 41			
ACQ	20.0000	06/19/2009	1463 36	1477 38	-14 02	ST
	30 0000	08/04/2009	2195 05	2355 49	-160 44	ST
60.0000 ROCKWELL COLLINS INC - 774341101						
SOLD		08/12/2009	2667 19			
ACQ	60 0000	12/22/2005	2667 19	2891.40	-224 21	LT15
120.0000 SAIC INC COM STK USD0 0001 - 78390X101						
SOLD		08/12/2009	2126.35			
ACQ	120 0000	06/04/2009	2126 35	2253.35	-127 00	ST
145 0000 ADR SANOFI-AVENTIS SPONSORED ADR - 80105N105						
SOLD		08/12/2009	4797 93			
ACQ	75 0000	08/31/2007	2481 69	3079 10	-597 41	LT15
	70.0000	09/04/2007	2316 24	2885 -36	-569-12	LT15
105 0000 SCHLUMBERGER LTD ISIN #AN8068571086 - 806857108 - MINOR = 5020						
SOLD		08/12/2009	5661 45			
ACQ	105 0000	01/26/2009	5661 45	4416 83	1244 62	ST
55 0000 SCHLUMBERGER LTD ISIN #AN8068571086 - 806857108 - MINOR = 5020						
SOLD		08/12/2009	2938.02			
ACQ	55 0000	01/26/2006	2938.02	3308 25	-370 23	LT15
200.0000 CHARLES SCHWAB CORP NEW - 808513105 - MINOR = 31001						
SOLD		08/12/2009	3775 90			
ACQ	152 0000	10/09/2008	2869 68	2869 61	0 07	ST
	5 0000	10/15/2008	94 40	99 90	-5 50	ST
	43 0000	10/29/2008	811 82	806 09	5 73	ST
45 0000 STRYKER CORP - 863667101 - MINOR = 5010						
SOLD		08/12/2009	1844 50			
ACQ	45.0000	01/19/2007	1844.50	2619 90	-775 40	LT15
125 0000 SUNOCO INC - 86764P109						
SOLD		08/12/2009	3262 42			
ACQ	125 0000	06/11/2008	3262 42	5013 19	-1750 77	LT15
85 0000 SYSCO CORP - 871829107						
SOLD		08/12/2009	2121 55			
ACQ	85 0000	07/24/2009	2121 55	1949 01	172 54	ST
185 0000 TALISMAN ENERGY INC - 87425E103 - MINOR = 3162						
SOLD		08/12/2009	2882 23			
ACQ	50 0000	10/08/2008	778 98	498 97	280 01	ST
	135 0000	11/17/2008	2103 25	1194 36	908 89	ST
35 0000 TEVA PHARMACEUTICALS INDS LTD ADR - 881624209 - MINOR = 3161						
SOLD		08/12/2009	1817 85			
ACQ	35.0000	08/05/2009	1817 85	1833 10	-15 25	ST
80 0000 3M CO - 88579Y101						
SOLD		08/12/2009	5756.65			
ACQ	80 0000	01/17/2007	5756 65	6332 80	-576 15	LT15



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PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
65 0000 UNITED TECHNOLOGIES CORP - 913017109 - MINOR = 31001						
SOLD		08/12/2009	3700 35		SUB TRUST	02-65377
ACQ	65 0000	01/19/2007	3700 35	4249 70	-549 35	LT15
95 0000 UNITEDHEALTH GROUP INC - 91324P102 - MINOR = 3101						
SOLD		08/12/2009	2643 78		SUB TRUST	02-65377
ACQ	95 0000	02/12/2009	2643 78	2778 80	-135 02	ST
200 0000 VERIZON COMMUNICATIONS - 92343V104 - MINOR = 31001						
SOLD		08/12/2009	6231 84		SUB TRUST	02-65359
ACQ	200 0000	01/27/2006	6231 84	6083 31	148 53	LT15
80 0000 WAL MART STORES INC - 931142103						
SOLD		08/12/2009	4041.50		SUB TRUST	02-65377
ACQ	70 0000	10/09/2008	3536.31	3564 91	-28 60	ST
	10 0000	04/09/2009	505 19	504 87	0 32	ST
210 0000 WELLS FARGO & CO NEW - 949746101						
SOLD		08/12/2009	5650 95		SUB TRUST	02-65359
ACQ	210.0000	05/07/2008	5650 95	6479.34	-828 39	LT15
110 0000 WESTERN UNION CO - 959802109						
SOLD		08/12/2009	1976 65		SUB TRUST	02-65377
ACQ	110 0000	02/10/2009	1976.65	1378 12	598 53	ST
50 0000 WYETH LABS - 983024100 - MINOR = 5010						
SOLD		08/12/2009	2344.94		SUB TRUST	02-65359
ACQ	50 0000	01/17/2007	2344 94	2533 00	-188.06	LT15
95 0000 ACCENTURE LTD BERMUDA CL A - G1150G111 - MINOR = 31000						
SOLD		08/12/2009	3399 01		SUB TRUST	02-65377
ACQ	95 0000	01/19/2007	3399 01	3508 47	-109.46	LT15
90 0000 COVIDIEN PLC USD0 20 - G2554F105						
SOLD		08/12/2009	3575 61		SUB TRUST	02-65377
ACQ	60 0000	08/06/2008	2383 74	3085 34	-701 60	LT15
	30 0000	10/15/2008	1191 87	1330 90	-139 03	ST
25 0000 ALCON INC - H01301102 - MINOR = 3162						
SOLD		08/12/2009	3257 92		SUB TRUST	02-65377
ACQ	25 0000	01/19/2007	3257 92	2972.25	285.67	LT15
35.0000 TRANSOCEAN LTD - H8817H100						
SOLD		08/12/2009	2607.08		SUB TRUST	02-65377
ACQ	35.0000	02/27/2008	2607.08	4963 24	-2356 16	LT15
35 0000 MONSANTO CO NEW - 61166W101 - MINOR = 3101						
SOLD		08/13/2009	2940.45		SUB TRUST	02-65377
ACQ	25 0000	01/23/2008	2100 32	2440 56	-340 24	LT15
	10 0000	03/19/2008	840 13	1011 98	-171 85	LT15
18711 4000 MFO VANGUARD FXD INC SECS FD INC INFLATION-PROTECTED SECS FD #119 - 922031869						
SOLD		08/14/2009	226782 18			
ACQ	18711.4000	11/07/2008	226782 18	208632 07	18150 11	ST
75 0000 GILEAD SCIENCES INC - 375558103 - MINOR = 31000						
SOLD		08/18/2009	3329.96		SUB TRUST	02-65377
ACQ	75 0000	01/19/2007	3329 96	2476 50	853 46	LT15
FOUND UPDATE						
40 0000 HEWLETT PACKARD CO COM - 428236103 - MINOR = 5010						
SOLD		08/18/2009	1737.62		SUB TRUST	02-65377
ACQ	40 0000	01/19/2007	1737 62	1679.20	58 42	LT15
FOUND UPDATE						
25 0000 AIR PRODUCTS & CHEMICALS INC - 009158106 - MINOR = 31001						
SOLD		08/21/2009	1914 49		SUB TRUST	02-65377
ACQ	25 0000	03/20/2007	1914.49	1856 09	58 40	LT15
90 0000 NATIONAL-OILWELL INC - 637071101 - MINOR = 3101						
SOLD		08/21/2009	3518.80		SUB TRUST	02-65377
ACQ	75 0000	01/19/2007	2932 33	2153.40	778.93	LT15
	15 0000	09/09/2008	586 47	793.86	-207.39	ST
145-0000 TALISMAN ENERGY INC - 87425E103 - MINOR = 3162						
SOLD		08/21/2009	2391 02		SUB TRUST	02-65377
ACQ	55.0000	11/17/2008	906.94	486.59	420 35	ST
	90 0000	11/26/2008	1484 08	779.84	704 24	ST
495 0000 NATIONAL SEMICONDUCTOR CORP - 637640103						
SOLD		08/24/2009	7278 32		SUB TRUST	02-65377
ACQ	320 0000	03/12/2009	4705 18	3521.34	1183.84	ST
	105 0000	04/24/2009	1543 89	1289.93	253 96	ST
	70 0000	06/12/2009	1029 26	940.06	89 20	ST
55 0000 MCDONALDS CORP - 580135101 - MINOR = 31001						
SOLD		08/26/2009	3136 62		SUB TRUST	02-65377
ACQ	55 0000	10/13/2005	3136 62	1764 63	1371 99	LT15
25 0000 ACCENTURE LTD BERMUDA CL A - G1150G111 - MINOR = 31000						
SOLD		08/26/2009	882.44		SUB TRUST	02-65377
ACQ	25 0000	01/19/2007	882 44	923 28	-40 84	LT15
33 0000 BLACKROCK INC CL A - 09247X101						
SOLD		08/28/2009	6627 87		SUB TRUST	02-65359
ACQ	33 0000	03/27/2009	6627 87	4276 95	2350 92	ST
32 0000 GOLDMAN SACHS GROUP INC - 38141G104 - MINOR = 31001						
SOLD		08/28/2009	5238 48		SUB TRUST	02-65359
ACQ	32 0000	12/16/2008	5238 48	2218 90	3019 58	ST
35 0000 COSTCO WHSL CORP NEW - 22160K105 - MINOR = 3101						
SOLD		09/03/2009	1914 31		SUB TRUST	02-65377
ACQ	35 0000	07/25/2008	1914 31	2184 84	-270.53	LT15
35 0000 FREEPORT MCMORAN C & G CL B COM STK - 35671D857 - MINOR = 3101						
SOLD		09/10/2009	2410.67		SUB TRUST	02-65377
ACQ	35 0000	04/24/2009	2410 67	1432 60	978 07	ST



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SCOTT B AND ANNIE P APPLEBY FOUNDATION

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TRUST YEAR ENDING 12/31/2009

TAX PREPARER CFP
TRUST ADMINISTRATOR: CBQ
INVESTMENT OFFICER EOP

LEGEND F - FEDERAL S - STATE I - INHERITED
E - EXEMPT FROM STATE U - ACQ COST UNKNOWN

PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
6 0000 FIRST SOLAR INC COM - 336433107						
SOLD		09/24/2009	899 92			
ACQ	6 0000	05/01/2008	899 92	1607 13	SUB TRUST 02-65377 -707 21	LT15
55 0000 MCDONALDS CORP - 580135101 - MINOR = 31001						
SOLD		09/24/2009	3067 33			
ACQ	55 0000	10/13/2005	3067 33	1764 62	SUB TRUST 02-65377 1302.71	LT15
50 0000 ACCENTURE PLC SHS CL A NEW - G1151C101						
SOLD		09/28/2009	1889 13			
ACQ	50 0000	01/19/2007	1889 13	1846 57	SUB TRUST 02-65377 42 56	LT15
34 0000 BLACKROCK INC CL A - 09247X101						
SOLD		09/29/2009	7305 90			
ACQ	34 0000	03/27/2009	7305 90	4406 56	SUB TRUST 02-65359 2899 34	ST
FOUND UPDATE						
400 0000 SAIC INC COM STK USD0 0001 - 78390X101						
SOLD		09/29/2009	6976 54			
ACQ	40 0000	06/04/2009	697 65	751 11	SUB TRUST 02-65377 -53 46	ST
	110 0000	06/24/2009	1918 55	2008 68	-90 13	ST
	55 0000	07/02/2009	959 27	986 43	-27 16	ST
	65 0000	07/02/2009	1133 69	1170 60	-36.91	ST
	130 0000	07/23/2009	2267 38	2385 01	-117 63	ST
FOUND UPDATE						
130 0000 STRYKER CORP - 863667101 - MINOR = 5010						
SOLD		10/08/2009	5826 65			
ACQ	130 0000	01/19/2007	5826.65	7568.60	SUB TRUST 02-65377 -1741 95	LT15
22 0000 GOLDMAN SACHS GROUP INC - 38141G104 - MINOR = 31001						
SOLD		10/16/2009	4050 12			
ACQ	22 0000	12/16/2008	4050.12	1525 49	SUB TRUST 02-65359 2524 63	ST
290 0000 WYETH LABS - 983024100 - MINOR = 5010						
SOLD		10/16/2009	14573.16			
ACQ	290 0000	01/17/2007	14573.16	14691 40	SUB TRUST 02-65359 -118 24	LT15
FOUND UPDATE						
110 0000 DEERE & CO - 244199105 - MINOR = 31001						
SOLD		10/26/2009	5462 02			
ACQ	110 0000	02/03/2009	5462 02	3901 34	SUB TRUST 02-65359 1560 68	ST
45 0000 FPL GROUP INC - 302571104 - MINOR = 31001						
SOLD		10/26/2009	2341.05			
ACQ	45 0000	10/09/2008	2341 05	1788 54	SUB TRUST 02-65377 552 51	LT15
40 0000 RESEARCH IN MOTION LTD - 760975102						
SOLD		10/27/2009	2561 16			
ACQ	15 0000	06/19/2009	960 44	1108 03	SUB TRUST 02-65377 -147.60	ST
	5 0000	07/16/2009	320.15	353 65	-33 51	ST
	20 0000	08/18/2009	1280 58	1468 00	-187 42	ST
FOUND UPDATE						
75 0000 GILEAD SCIENCES INC - 375558103 - MINOR = 31000						
SOLD		10/29/2009	3205 80			
ACQ	65 0000	03/31/2006	2778 36	2044 04	SUB TRUST 02-65377 734.32	LT15
	10 0000	01/19/2007	427 44	330 20	97 24	LT15
15 0000 APACHE CORP - 037411105 - MINOR = 31001						
SOLD		11/02/2009	1421.00			
ACQ	15 0000	01/19/2007	1421 00	1010 03	SUB TRUST 02-65377 410 97	LT15
35 0000 SCHLUMBERGER LTD ISIN #AN8068571086 - 806857108 - MINOR = 5020						
SOLD		11/02/2009	2170.20			
ACQ	35 0000	01/26/2006	2170 20	2105 25	SUB TRUST 02-65377 64 95	LT15
29 0000 ADR ARCELORMITTAL SA LUXEMBOURG N.Y. REGISTRY SHS - 03938L104						
SOLD		11/03/2009	979.13			
ACQ	10 0000	06/01/2009	337 63	353 64	SUB TRUST 02-65377 -16 01	ST
	19 0000	06/03/2009	641 50	653 07	-11 57	ST
FOUND UPDATE						
150.0000 BLACK & DECKER CORP - 091797100						
SOLD		11/03/2009	8949.43			
ACQ	10 0000	04/04/2008	596.63	708 04	SUB TRUST 02-65359 -111 41	LT15
	100 0000	04/07/2008	5966 29	7065.11	-1098 82	LT15
	40 0000	05/07/2008	2386 51	2743.02	-356 51	LT15
FOUND UPDATE						
41 0000 ADR ARCELORMITTAL SA LUXEMBOURG N.Y. REGISTRY SHS - 03938L104						
SOLD		11/04/2009	1426 02			
ACQ	41 0000	06/03/2009	1426 02	1409 26	SUB TRUST 02-65377 16 76	ST
10 0000 FIRST SOLAR INC COM - 336433107						
SOLD		11/09/2009	1195 62			
ACQ	4 0000	05/01/2008	478 25	1070 71	SUB TRUST 02-65377 -592 46	LT15
	6 0000	05/01/2008	717 37	1607 13	-889 76	LT15
FOUND UPDATE						
6500 PFIZER INC - 717081103						
SOLD		11/09/2009	10 93			
ACQ	6500	01/25/2002	10 93	27 25	SUB TRUST 02-65359 -16 32	LT15
29 0000 FIRST SOLAR INC COM - 336433107						
SOLD		11/10/2009	3488 60			
ACQ	11 0000	05/01/2008	1323 26	2944 44	SUB TRUST 02-65377 -1621 18	LT15
	18 0000	09/09/2008	2165 34	3603 31	-1437 97	LT15
20 0000 APOLLO GROUP INC CL A - 037604105						
SOLD		11/12/2009	1087 98			
ACQ	15 0000	02/24/2009	815 99	1138 45	SUB TRUST 02-65377 -322 47	ST
	5 0000	03/03/2009	272 00	357 52	-85 53	ST



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SCOTT B AND ANNIE P APPLEBY FOUNDATION

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TRUST YEAR ENDING 12/31/2009

TAX PREPARER CFP
TRUST ADMINISTRATOR CBQ
INVESTMENT OFFICER EOP

LEGEND: F - FEDERAL S - STATE I - INHERITED
E - EXEMPT FROM STATE U - ACQ COST UNKNOWN

PROPERTY DESCRIPTION	SHARES	DATE	SALES PRICE	COST BASIS	GAIN/LOSS	TERM
65 0000 APOLLO GROUP INC CL A - 037604105						
SOLD		11/16/2009	3776 39		SUB TRUST 02-65377	
ACQ	20 0000	03/03/2009	1161 97	1430 07	-268 10	ST
	45 0000	04/01/2009	2614 42	2907 41	-292 99	ST
330 0000 SUNOCO INC - 86764P109						
SOLD		11/20/2009	8531 96		SUB TRUST 02-65359	
ACQ	30 0000	06/11/2008	775 63	1203 16	-427 53	LT15
	25 0000	07/21/2008	646 36	954 87	-308 51	LT15
	275 0000	07/21/2008	7109 97	10428 30	-3318 33	LT15
145.0000 GENZYME CORP GENL DIV - 372917104 - MINOR = 3101						
SOLD		11/23/2009	7346 28		SUB TRUST 02-65377	
ACQ	25.0000	02/13/2008	1266 60	1885 58	-618 98	LT15
	35 0000	03/25/2008	1773 24	2565 15	-791 91	LT15
	15 0000	03/25/2008	759 96	1098 60	-338 64	LT15
	35.0000	03/31/2009	1773 24	2113 12	-339 88	ST
	15.0000	04/09/2009	759 96	860 89	-100 93	ST
	20 0000	04/14/2009	1013 28	1097 13	-83.85	ST
FOUND UPDATE						
264.0000 WESTERN UNION CO - 959802109						
SOLD		11/30/2009	4885 72		SUB TRUST 02-65377	
ACQ	210 0000	02/10/2009	3886 37	2630 97	1255 40	ST
	54 0000	02/17/2009	999 35	621 56	377 79	ST
111 0000 WESTERN UNION CO - 959802109						
SOLD		12/01/2009	2064 25		SUB TRUST 02-65377	
ACQ	111.0000	02/17/2009	2064.25	1277 64	786 61	ST
FOUND UPDATE						
9 0000 NIKE INC CLASS B - 654106103 - MINOR = 31001						
SOLD		12/04/2009	585 33		SUB TRUST 02-65377	
ACQ	9 0000	05/10/2006	585 33	371 74	213 59	LT15
165 0000 ADR ARCELORMITTAL SA LUXEMBOURG N Y REGISTRY SHS - 03938L104						
SOLD		12/08/2009	6536 37		SUB TRUST 02-65377	
ACQ	10 0000	06/03/2009	396.14	343.72	52 42	ST
	105 0000	06/08/2009	4159 51	3436 71	722 80	ST
	50 0000	08/17/2009	1980 72	1683 74	296 98	ST
FOUND UPDATE						
155.0000 ORACLE CORPORATION - 68389X105 - MINOR = 5010						
SOLD		12/10/2009	3501.14		SUB TRUST 02-65377	
ACQ	75 0000	01/19/2007	1694.10	1299 75	394 35	LT15
	80 0000	11/08/2007	1807.04	1636 27	170.77	LT15
80 0000 ADOBE SYS INC - 00724F101 - MINOR = 3101						
SOLD		12/15/2009	2920 87		SUB TRUST 02-65377	
ACQ	80 0000	01/19/2007	2920.87	3035.13	-114 26	LT15
FOUND UPDATE						
32 0000 INTL BUSINESS MACHINES CORP - 459200101 - MINOR = 31001						
SOLD		12/15/2009	4116.77		SUB TRUST 02-65377	
ACQ	15.0000	06/17/2008	1929 74	1888 50	41 24	LT15
	17 0000	08/12/2008	2187 03	2127 75	59.28	LT15
FOUND UPDATE						
TOTALS			1972357 28	2778104 85		

SUMMARY OF CAPITAL GAINS/LOSSES

FEDERAL	SHORT TERM	LONG TERM 28%	LONG TERM 15%	ST WASH SALE	LT WASH SALE	1250 GAIN
SUBTOTAL FROM ABOVE	-61696.47	0 00	-744051 10	0.00	0 00	0 00*
COMMON TRUST FUND	0 00	0 00	0 00			0 00
CAPITAL GAIN DIVIDENDS	0 00	0 00	3279 78			0.00
	-61696 47	0 00	-740771 32	0 00	0 00	0 00
STATE						
SUBTOTAL FROM ABOVE	-61696 47	0 00	-744051 10	0 00	0 00	0 00*
COMMON TRUST FUND	0 00	0 00	0 00			0 00
CAPITAL GAIN DIVIDENDS	0 00	0 00	3279 78			0 00
	-61696 47	0.00	-740771 32	0 00	0 00	0 00

* - 1250 GAIN DETAILED ON TRANS PAGES, NOT ABOVE

CAPITAL LOSS CARRYOVER

FEDERAL	0 00	0 00
FLORIDA	N/A	N/A

Application for Extension of Time To File an Exempt Organization Return

OMB No 1545-1709

► File a separate application for each return.

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box ☒ **X**
 - If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form).
- Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868.

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

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only ☐

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

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

Type or print File by the due date for filing your return. See instructions	Name of Exempt Organization SCOTT B.AND ANNIE P.APPLEBY	Employer identification number
	FOUNDATION 02-74552	52-6026971
	Number, street, and room or suite no. If a P.O. box, see instructions.	
	P.O. BOX 803878	
	City, town or post office, state, and ZIP code For a foreign address, see instructions.	
	CHICAGO, IL 60680	

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

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

- The books are in the care of ► _____

Telephone No. ► _____ 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 08/16, 2010, to file the exempt organization return for the organization named above. The extension is for the organization's return for:

- ☒ 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	\$
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	\$
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	\$

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.

For Privacy Act and Paperwork Reduction Act Notice, see Instructions.

Form **8868** (Rev. 4-2009)

- 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	SCOTT B. AND ANNIE P. APPLEBY FOUNDATION 02-74552	Employer identification number	52-6026971
	Number, street, and room or suite no. If a P.O. box, see instructions.	P.O. BOX 803878	For IRS use only	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	CHICAGO, IL 60680		

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

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

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 ☐ Telephone No. ☐ 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 11/15/2010.
- 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 NEEDED TO GATHER INFORMATION TO THE COMPLETION AND ACCURACY OF THE 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	\$	
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	\$	
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	\$	

Signature and Verification

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

Signature ☐Title ☐Date ☐Form **8868** (Rev. 4-2009)