Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

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

OMB No 1545-0052

**2009**

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

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

Use the IRS label. Otherwise, print or type. See Specific Instructions.

Name of foundation: THE PAULEY FAMILY FOUNDATION

Number and street (or P O box number if mail is not delivered to street address) / Room/suite: C/O S. F. PAULEY, 314 ST. DAVID'S LANE

City or town, state, and ZIP code: RICHMOND, VA 23221

A Employer identification number: 54-1685158

B Telephone number (see page 10 of the instructions): (804) 359-0800

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

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

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

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

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

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶ $ 55,972,078.

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

**Part I** **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (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) |
|---|---|---|---|---|---|
| 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 | 12. | 12. | | ATCH 1 |
| 4 | Dividends and interest from securities | 934,254. | 934,254. | | ATCH 2 |
| 5a | Gross rents | | | | |
| b | Net rental income or (loss) | | | | |
| 6a | Net gain or (loss) from sale of assets not on line 10 | -3,750,093. | | | |
| b | Gross sales price for all assets on line 6a 21,925,029. | | | | |
| 7 | Capital gain net income (from Part IV, line 2) | | | | |
| 8 | Net short-term capital gain | | | | |
| 9 | Income modifications | | | | |
| 10a | Gross sales less returns and allowances | | | | |
| b | Less Cost of goods sold | | | | |
| c | Gross profit or (loss) (attach schedule) | | | | |
| 11 | Other income (attach schedule) | 12,391. | 12,391. | | ATCH 3 |
| 12 | Total. Add lines 1 through 11 | -2,803,436. | 946,657. | | |
| 13 | Compensation of officers, directors, trustees, etc | | | | |
| 14 | Other employee salaries and wages | | | | |
| 15 | Pension plans, employee benefits | | | | |
| 16a | Legal fees (attach schedule) ATCH 4 | 1,335. | 1,335. | 0. | 0. |
| b | Accounting fees (attach schedule) ATCH 5 | 11,325. | 11,325. | 0. | 0. |
| c | Other professional fees (attach schedule) * | 406,445. | 406,445. | | |
| 17 | Interest | | | | |
| 18 | Taxes (attach schedule) (see page 14 of the instructions) ** | 12,296. | 12,296. | | |
| 19 | Depreciation (attach schedule) and depletion | | | | |
| 20 | Occupancy | | | | |
| 21 | Travel, conferences, and meetings | | | | |
| 22 | Printing and publications | | | | |
| 23 | Other expenses (attach schedule) ATCH 8 | 30,812. | | | |
| 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 462,213. | 431,401. | 0. | 0. |
| 25 | Contributions, gifts, grants paid | 3,005,000. | | | 3,005,000. |
| 26 | Total expenses and disbursements Add lines 24 and 25 | 3,467,213. | 431,401. | 0. | 3,005,000. |
| 27 | Subtract line 26 from line 12 | | | | |
| a | Excess of revenue over expenses and disbursements | -6,270,649. | | | |
| b | **Net investment income** (if negative, enter -0-) | | 515,256. | | |
| c | **Adjusted net income** (if negative, enter -0-) | | | -0- | |

Revenue (lines 1–12); Operating and Administrative Expenses (lines 13–26)

SCANNED OCT 28 2010

RECEIVED OCT 25 2010 OGDEN, UT

## Part II Balance Sheets

Attached sch[illegible] and amounts in the description c[illegible] 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 | | | |
| | 2 Savings and temporary cash investments | 10,108,961. | 3,321,984. | 3,321,984. |
| | 3 Accounts receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 16 of the instructions) | | | |
| | 7 Other notes and loans receivable (attach schedule) ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10 a Investments - U S and state government obligations (attach schedule) | | | |
| | b Investments - corporate stock (attach schedule) ATCH 9 | 54,940,622. | 55,528,783. | 52,650,094. |
| | c Investments - corporate bonds (attach schedule) | | | |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other (attach schedule) | | | |
| | 14 Land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 Other assets (describe ▶ ) | | | |
| | 16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I) | 65,049,583. | 58,850,767. | 55,972,078. |
| Liabilities | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable (attach schedule) | | | |
| | 22 Other liabilities (describe ▶ ) | | | |
| | 23 Total liabilities (add lines 17 through 22) | | | |
| Net Assets or Fund Balances | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 Unrestricted | | | |
| | 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 | 65,049,583. | 58,850,767. | |
| | 28 Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 0. | 0. | |
| | 30 Total net assets or fund balances (see page 17 of the instructions) | 65,049,583. | 58,850,767. | |
| | 31 Total liabilities and net assets/fund balances (see page 17 of the instructions) | 65,049,583. | 58,850,767. | |

## 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 | 65,049,583. |
| 2 | Enter amount from Part I, line 27a | 2 | -6,270,649. |
| 3 | Other increases not included in line 2 (itemize) ▶ ATTACHMENT 10 | 3 | 98,362. |
| 4 | Add lines 1, 2, and 3 | 4 | 58,877,296. |
| 5 | Decreases not included in line 2 (itemize) ▶ ATTACHMENT 11 | 5 | 26,529. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 58,850,767. |

## Part IV Capital Gains and Losses for Tax on Investment Income

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

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

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

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

| | | | |
|---|---|---|---|
| 2 Capital gain net income or (net capital loss) | If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 | 2 | -3,750,093. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions)<br>If (loss), enter -0- in Part I, line 8 | | 3 | |

## 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 | 4,730,532. | 53,871,571. | 0.087811 |
| 2007 | 4,393,306. | 53,792,135. | 0.081672 |
| 2006 | 3,407,984. | 40,196,360. | 0.084783 |
| 2005 | 1,181,622. | 26,706,132. | 0.044245 |
| 2004 | 204,000. | 20,714,268. | 0.009848 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.308359 |
| 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 | 0.061672 |
| 4 | Enter the net value of noncharitable-use assets for 2009 from Part X, line 5 | 4 | 49,003,189. |
| 5 | Multiply line 4 by line 3 | 5 | 3,022,125. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 5,153. |
| 7 | Add lines 5 and 6 | 7 | 3,027,278. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 3,005,000. |

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 Inve[redacted]nt Income (Section 4940(a), 4940(b), 4940(e), [redacted]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 ruling letter if necessary - see instructions) | | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b | | 1 | 10,305. |
| 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 | 10,305. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | 4 | 0. |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | | 5 | 10,305. |
| 6 | Credits/Payments | | | |
| a | 2009 estimated tax payments and 2008 overpayment credited to 2009 | 6a 35,179. | | |
| b | Exempt foreign organizations-tax withheld at source | 6b 0. | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c 0. | | |
| d | Backup withholding erroneously withheld | 6d | | |
| 7 | Total credits and payments Add lines 6a through 6d | | 7 | 35,179. |
| 8 | Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached | | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | 10 | 24,874. |
| 11 | Enter the amount of line 10 to be **Credited to 2010 estimated tax** ▶ 24,874. **Refunded** ▶ | | 11 | |

## Part VII-A Statements Regarding Activities

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

## Part VII-A Statements Regarding [redacted]ivities *(continued)*

| | | Line | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see 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? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ S. F. PAULEY Telephone no ▶ 804-359-0800

Located at ▶ 314 ST. DAVID'S LANE, RICHMOND, VA ZIP + 4 ▶ 23221

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)? | | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009? | | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | | |
| a | At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? | ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ ________ , ________ , ________ , ________ | | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see page 20 of the instructions.) | | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ________ , ________ , ________ , ________ | | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2009 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.)* | | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009? | | 4b | | X |

**Part VII-B Statements Regardin[redacted]tivities for Which Form 4720 May Be Re[redacted]ed** *(continued)*

| | | | | |
|---|---|---|---|---|
| **5a** During the year did the foundation pay or incur any amount to | | | | |
| **(1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? | ☐ Yes ☒ No | | | |
| **(2)** Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? | ☐ Yes ☒ No | | | |
| **(3)** Provide a grant to an individual for travel, study, or other similar purposes? | ☐ Yes ☒ No | | | |
| **(4)** Provide a grant to an organization other than a charitable, etc, organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see page 22 of the instructions) | ☐ Yes ☒ No | | | |
| **(5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? | ☐ Yes ☒ No | | | |
| **b** If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? | | **5b** | | |
| Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | | |
| **c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? *If "Yes," attach the statement required by Regulations section 53 4945-5(d)* | ☐ Yes ☒ No | | | |
| **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? *If "Yes" to 6b, file Form 8870* | | **6b** | | X |
| **7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? | ☐ Yes ☒ No | | | |
| **b** If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? | | **7b** | | |

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| ATTACHMENT 12 | | -0- | -0- | -0- |
| | | | | |
| | | | | |
| | | | | |

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

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

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

**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 |
|---|---|---|
| ATTACHMENT 13 | | 406,445. |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | NONE |

**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 THE PAULEY FAMILY FOUNDATION MAKES CONTRIBUTIONS TO QUALIFYING CHARITABLE ORGANIZATIONS AND DOES NOT CARRY ON ANY CHARITABLE ACTIVITIES DIRECTLY. | |
| 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 NONE | |
| 2 | |
| All other program-related investments See page 24 of the instructions | |
| 3 NONE | |
| **Total.** Add lines 1 through 3 ▶ | |

**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 | 44,277,209. |
| b | Average of monthly cash balances | 1b | 5,472,221. |
| c | Fair market value of all other assets (see page 24 of the instructions) | 1c | 0. |
| d | **Total** (add lines 1a, b, and c) | 1d | 49,749,430. |
| 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 | 0. |
| 3 | Subtract line 2 from line 1d | 3 | 49,749,430. |
| 4 | Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions) | 4 | 746,241. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 49,003,189. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 2,450,159. |

**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 | 2,450,159. |
| 2a | Tax on investment income for 2009 from Part VI, line 5 | 2a | 10,305. | | |
| b | Income tax for 2009 (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 10,305. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 2,439,854. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 2,439,854. |
| 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 | 2,439,854. |

**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 | 3,005,000. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes | 2 | 0. |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | 0. |
| b | Cash distribution test (attach the required schedule) | 3b | 0. |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 3,005,000. |
| 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 | N/A |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 3,005,000. |

**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 | | | | 2,439,854. |
| 2 Undistributed income, if any, as of the end of 2009 | | | | |
| a Enter amount for 2008 only | | | | |
| b Total for prior years 20 07 ,20 06 ,20 05 | | | | |
| 3 Excess distributions carryover, if any, to 2009 | | | | |
| a From 2004 | | | | |
| b From 2005 | | | | |
| c From 2006 1,472,198. | | | | |
| d From 2007 1,812,087. | | | | |
| e From 2008 2,047,889. | | | | |
| f **Total** of lines 3a through e | 5,332,174. | | | |
| 4 Qualifying distributions for 2009 from Part XII, line 4 ▶ $ 3,005,000. | | | | |
| a Applied to 2008, but not more than line 2a | | | | |
| b Applied to undistributed income of prior years (Election required - see page 26 of the instructions) | | | | |
| c Treated as distributions out of corpus (Election required - see page 26 of the instructions) | | | | |
| d Applied to 2009 distributable amount | | | | 2,439,854. |
| e Remaining amount distributed out of corpus | 565,146. | | | |
| 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 | 5,897,320. | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | | | |
| d Subtract line 6c from line 6b Taxable amount - see page 27 of the instructions | | | | |
| e Undistributed income for 2008 Subtract line 4a from line 2a Taxable amount - see page 27 of the instructions | | | | |
| f Undistributed income for 2009 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2010 | | | | |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions) | | | | |
| 8 Excess distributions carryover from 2004 not applied on line 5 or line 7 (see page 27 of the instructions) | | | | |
| 9 **Excess distributions carryover to 2010.** Subtract lines 7 and 8 from line 6a | 5,897,320. | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2005 | | | | |
| b Excess from 2006 1,472,198. | | | | |
| c Excess from 2007 1,812,087. | | | | |
| d Excess from 2008 2,047,889. | | | | |
| e Excess from 2009 565,146. | | | | |

## Part XIV Private Operating Found[redacted]ns (see page 27 of the instructions and Pa[redacted]II-A, question 9) NOT APPLICABLE

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

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

**1 Information Regarding Foundation Managers:**

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

ATTACHMENT 14

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

N/A

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

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

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

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

c Any submission deadlines

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

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| *a Paid during the year* | | | | |
| ATTACHMENT 15 | | | | |
| **Total** . . . . . . . . . . ▶ **3a** | | | | 3,005,000. |
| *b Approved for future payment* | | | | |
| **Total** . . . . . . . . . . ▶ **3b** | | | | |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated | Unrelated business income (a) Business code | (b) Amount | Excluded by section 512, 513, or 514 (c) Exclusion code | (d) Amount | (e) Related or exempt function income (See page 28 of the instructions ) |
|---|---|---|---|---|---|
| 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 | | | 14 | 12. | |
| 4 Dividends and interest from securities | | | 14 | 934,254. | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | -3,750,093. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue a | | | | | |
| b MISCELLANEOUS INCOME | | | 14 | 12,391. | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | | | -2,803,436. | |

13 Total. Add line 12, columns (b), (d), and (e) . . . . . 13 -2,803,436.

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

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

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See page 29 of the instructions ) |
|---|---|
| | NOT APPLICABLE |

**Part XVII** **Information Regar[redacted] Transfers To and Transactions and[redacted]elationships With Noncharitable Exempt Organizations**

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

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

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

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

b If "Yes," complete the following schedule

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

**Sign Here**

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

W. Birch Douglass III — 10/20/10 — Secretary

Signature of officer or trustee | Date | Title

**Paid Preparer's Use Only**

| | | | |
|---|---|---|---|
| Preparer's signature: Delores A. Reno | Date 9/28/10 | Check if self-employed ▶ ☐ | Preparer's identifying number (See **Signature** on page 30 of the instructions) P00547369 |
| Firm's name (or yours if self-employed), address, and ZIP code | HERITAGE WEALTH ADVISORS, LLC<br>901 E. BYRD STREET, SUITE 1300<br>RICHMOND, VA 23219 | | EIN ▶ 36-4579334<br>Phone no 804-643-4080 |

Form **990-PF** (2009)

JSA
9E1493 1 000

# FORM 990-PF - PART IV
## CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| Kind of Property / Description | Gross sale price less expenses of sale | Depreciation allowed/ allowable | Cost or other basis | FMV as of 12/31/69 | Adj basis as of 12/31/69 | Excess of FMV over adj basis | P or D | Date acquired | Gain or (loss) | Date sold |
|---|---|---|---|---|---|---|---|---|---|---|
| TOTAL LONG-TERM CAPITAL GAIN DIVIDENDS | | | | | | | | | 11,205. | |
| MS 04-G1150-LT - PUBLICLY TRADED SECURIT | 2,887,122. | | 5,558,230. | | | | | VAR | -2671108. | VAR |
| MS 04-G8959-LT - PUBLICLY TRADED SECURIT | 170,145. | | 51,096. | | | | | VAR | 119,049. | VAR |
| UBS Y1 08366-ST - PUBLICLY TRADED SECURI | 1,986,308. | | 1,921,822. | | | | | VAR | 64,486. | VAR |
| UBS Y1 08373-ST - PUBLICLY TRADED SECURI | 2,497,438. | | 2,052,059. | | | | | VAR | 445,379. | VAR |
| UBS Y1 08372-ST - PUBLICLY TRADED SECURI | 176,190. | | 154,740. | | | | | VAR | 21,450. | VAR |
| UBS Y1 08371-ST - PUBLICLY TRADED SECURI | 5,897,167. | | 6,001,325. | | | | | VAR | -104,158. | VAR |
| UBS Y1 08377-ST - PUBLICLY TRADED SECURI | 2,608,434. | | 2,128,365. | | | | | VAR | 480,069. | VAR |
| UBS Y1 08366-LT - PUBLICLY TRADED SECURI | 3,073,933. | | 3,936,805. | | | | | VAR | -862,872. | VAR |
| UBS Y1 08373-LT - PUBLICLY TRADED SECURI | 2,155,206. | | 3,269,818. | | | | | VAR | -1114612. | VAR |
| UBS Y1 08372-LT - PUBLICLY TRADED SECURI | 314,177. | | 399,558. | | | | | VAR | -85,381. | VAR |
| UBS Y1 08371-LT - PUBLICLY TRADED SECURI | 147,704. | | 201,304. | | | | | VAR | -53,600. | VAR |
| TOTAL GAIN(LOSS) ........................................... | | | | | | | | | -3750093. | |

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|---|
| WACHOVIA MMKT INTEREST | | 12. | 12. |
| | TOTAL | 12. | 12. |

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FROM METALMARK CAPITAL PARTNERS K-1 | 36,077. | 36,077. |
| MORGAN STANLEY 04-G7476 | 819. | 819. |
| MORGAN STANLEY 04-G8959 | 9,007. | 9,007. |
| UBS Y1 08371 | 14,570. | 14,570. |
| UBS Y1 08367 | 185,119. | 185,119. |
| UBS Y1 08365 | 19,877. | 19,877. |
| UBS Y1 08368 | 120,684. | 120,684. |
| UBS Y1 08366 | 220,233. | 220,233. |
| UBS Y1 08372 | 55,118. | 55,118. |
| UBS Y1 08370 | 65,896. | 65,896. |
| UBS Y1 08373 | 121,398. | 121,398. |
| UBS Y1 08377 | 85,456. | 85,456. |
| TOTAL | 934,254. | 934,254. |

ATTACHMENT 3

FORM 990PF, PART I - OTHER INCOME

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| MISCELLANEOUS INCOME - UBS Y1 08373 | 8,978. | 8,978. |
| MISCELLANEOUS INCOME - UBS Y1 08371 | 3,057. | 3,057. |
| MISCELLANEOUS INCOME - UBS Y1 08365 | 356. | 356. |
| TOTALS | 12,391. | 12,391. |

FORM 990PF, PART I - LEGAL FEES

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|---|
| MCGUIRE WOODS LLP | | 1,335. | 1,335. | | |
| | TOTALS | 1,335. | 1,335. | 0. | 0. |

FORM 990PF, PART I - ACCOUNTING FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| HERITAGE WEALTH ADVISORS | 11,325. | 11,325. | | |
| TOTALS | 11,325. | 11,325. | 0. | 0. |

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| MORGAN STANLEY & CO, INC | 116,165. | 116,165. |
| METALMARK MANAGEMENT FEES | | |
| UBS | 290,280. | 290,280. |
| WACHOVIA | | |
| TOTALS | 406,445. | 406,445. |

FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FOREIGN TAXES PAID | 12,296. | 12,296. |
| TOTALS | 12,296. | 12,296. |

FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS |
|---|---|---|
| PENALTY PAYMENT | | |
| FROM METALMARK CAPITAL K-1 | | |
| FUNDS - OTHER DEDUCTIONS | | 28,459. |
| OTHER MISC. EXPENSES | | 2,353. |
| | TOTALS | 30,812. |

FORM 990PF, PART II - CORPORATE STOCK

ATTACHMENT 9

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| MORGAN STANLEY 04-G1150 | | |
| MS 04-G1151 / UBS 08370 | 1,479,164. | 970,868. |
| MORGAN STANLEY 04-G1320 | 2,000,000. | 2,087,055. |
| MORGAN STANLEY 04-G1482 | 987,774. | 1,403,693. |
| MORGAN STANLEY 04-G4123 | 1,212,124. | 1,129,990. |
| MS 32-78FJ2 / UBS 08366 | 11,959,111. | 12,503,936. |
| MS 690010954 / UBS 08373 | 7,488,984. | 8,771,743. |
| MS 690010955 / UBS 08372 | 3,709,878. | 3,580,953. |
| FRONTPOINT ALPHA 04-H05P8 | 4,000,000. | 3,923,845. |
| MS 690012923 / UBS 08371 | 2,818,583. | 3,323,371. |
| MORGAN STANLEY 04-G7476 | 3,298,589. | 474,068. |
| MORGAN STANLEY 04-G8959 | 1,179,671. | 1,036,491. |
| MS 04-G8679 / UBS 08367 | 5,239,731. | 3,952,929. |
| MS 04-G9661 / UBS Y1 08368 | 6,242,851. | 4,798,023. |
| UBS Y1 08377 | 3,912,323. | 4,693,129. |
| TOTALS | 55,528,783. | 52,650,094. |

## FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | | AMOUNT |
|---|---|---|
| CUSTODIAL COST BASIS ADJUSTMENT | | 98,361. |
| ROUNDING | | 1. |
| | TOTAL | 98,362. |

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | AMOUNT |
|---|---|
| BEGINNING BALANCE ADJUSTMENTS | |
| ROUNDING | |
| UNSETTLED GAIN/LOSS | 23,699. |
| MISCELLANEOUS ADJUSTMENT | 2,830. |
| TOTAL | 26,529. |

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 12

| NAME AND ADDRESS | TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION |
|---|---|
| STANLEY F. PAULEY<br>314 ST. DAVID'S LANE<br>RICHMOND, VA 23221 | CHAIRMAN & DIRECTOR |
| DOROTHY A. PAULEY<br>314 ST. DAVID'S LANE<br>RICHMOND, VA 23221 | PRES/TREAS & DIRECTOR |
| KATHARINE PAULEY HICKOK<br>302 ST. DAVID'S LANE<br>RICHMOND, VA 23221 | VICE PRESIDENT & DIRECTOR |
| LORNA PAULEY JORDAN<br>4233 MERIDIAN AVENUE, NORTH<br>SEATTLE, WA 98103 | VICE PRESIDENT & DIRECTOR |
| W. BIRCH DOUGLASS, III<br>P.O. BOX 397<br>RICHMOND, VA 23218 | SECRETARY |
| | GRAND TOTALS |

990PF, PART VIII- COMPENSATION OF THE FIVE HIGHEST PAID PROFESSIONALS

ATTACHMENT 13

| NAME AND ADDRESS | TYPE OF SERVICE | COMPENSATION |
|---|---|---|
| MORGAN STANLEY PRIVATE WEALTH MANAGEMENT<br>1221 AVENUE OF THE AMERICAS<br>NEW YORK, NY 10020 | INVESTMENT ADVISORY | 116,165. |
| UBS INSTITUTIONAL CONSULTING<br>299 PARK AVENUE, 25TH FLOOR<br>NEW YORK, NY 10171 | | 290,280. |
| TOTAL COMPENSATION | | 406,445. |

FORM 990PF, PART XV - INFORMATION REGARDING FOUNDATION MANAGERS

STANLEY F. PAULEY
DOROTHY A. PAULEY

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| THE RICHMOND SYMPHONY<br>300 WEST FRANKLIN STREET, #103E<br>RICHMOND, VA 23220 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 135,000 |
| VCU SCHOOL OF ENGINEERING FOUNDATION<br>809 W BROAD ST<br>PO BOX 843075<br>RICHMOND, VA 23284 | NONE<br>COLLEGE | EDUCATIONAL SUPPORT | 25,000 |
| VIRGINIA MUSEUM OF FINE ARTS FOUNDATION<br>200 N BOULEVARD<br>RICHMOND, VA 23220 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 25,000 |
| RICHMOND BALLET<br>407 EAST CANAL STREET<br>RICHMOND, VA 23219 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 25,000 |
| UNIVERSITY OF RICHMOND<br>28 WESTHAMPTON WAY<br>RICHMOND, VA 23173 | NONE<br>COLLEGE | EDUCATIONAL SUPPORT | 25,000 |
| HEALING PLACE<br>700 DINWIDDIE AVENUE<br>RICHMOND, VA 23221 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 10,000 |

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| HAMPDEN-SYDNEY COLLEGE<br>DEVELOPMENT OFFICE<br>HAMPDEN-SYDNEY, VA 23901-9909 | NONE<br>COLLEGE | EDUCATIONAL SUPPORT | 25,000 |
| THE VISUAL ARTS CENTER OF RICHMOND<br>1812 WEST MAIN STREET<br>RICHMOND, VA 23220 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 25,000 |
| CIRCLE CENTER ADULT DAY SERVICES<br>4900 WEST MARSHALL STREET<br>RICHMOND, VA 23230 | NONE<br>PRIVATE, NON-PROFIT | CHARITABLE SUPPORT | 100,000 |
| MEDICAL COLLEGE OF VIRGINIA FOUNDATION, INC<br>PO BOX 980234<br>RICHMOND, VA 23298 | NONE<br>PUBLIC | HEALTH | 1,275,000 |
| RICHMOND SPCA<br>2519 HERMITAGE ROAD<br>RICHMOND, VA 23220 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 5,000 |
| VALENTINE MUSEUM<br>1015 EAST CLAY STREET<br>RICHMOND, VA 23219 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 5,000 |

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| VIRGINIA OPERA ASSOCIATION, INC<br>PO BOX 2580<br>NORFOLK, VA 23501 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 25,000 |
| MEDICAL COLLEGE OF VIRGINIA FOUNDATION, INC<br>VCU INSTITUTE FOR WOMEN'S HEALTH<br>PO BOX 980234<br>RICHMOND, VA 23298 | NONE<br>PUBLIC | HEALTH | 100,000 |
| SPARC<br>2106 N HAMILTON ST<br>RICHMOND, VA 23230 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 25,000 |
| CONFEDERATE MEMORIAL LITFRARY SOCIETY<br>1201 EAST CLAY ST<br>RICHMOND, VA 23219 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 125,000 |
| UNITED WAY OF GREATER RICHMOND & PETERSBURG - Alexis De Tocqueville Society<br>PO BOX 12209<br>RICHMOND, VA 23241-0209 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 10,000 |
| CENTERSTAGE<br>111 VIRGINIA ST<br>SUITE 100-M<br>RICHMOND, VA 23286-0798 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 1,025,000. |

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 15 (CONT'D)

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| MEDICAL COLLEGE OF VIRGINIA FOUNDATION, INC - Massey Cancer Center<br>401 COLLEGE ST<br>PO BOX 980037<br>RICHMOND, VA 23298-0037 | NONE<br>PUBLIC | | 5,000 |
| FRIENDS ASSOCIATION FOR CHILDREN<br>1004 SAINT JOHN STREET<br>RICHMOND, VA 23220 | NONE<br>PUBLIC | CHARITABLE SUPPORT | 10,000 |
| | | TOTAL CONTRIBUTIONS PAID | 3,005,000 |

FEDERAL CAPITAL GAIN DIVIDENDS

ATTACHMENT 16

LONG-TERM CAPITAL GAIN DIVIDENDS

| | | |
|---|---|---|
| 15% RATE CAPITAL GAIN DIVIDENDS | | |
| UBS Y1 08370 - LTCG DIVIDEND | 11,205. | |
| TOTAL 15% RATE CAPITAL GAIN DIVIDENDS | | 11,205. |
| TOTAL LONG-TERM CAPITAL GAIN DIVIDENDS | | 11,205. |

The Pauley Family Foundation
12/31/2009

| Account Name | Account Number | Holdings | Book Value | Market Value |
|---|---|---|---|---|
| Morgan Stanley Real Estate Fund VI Offshore | 04-G7476 | Alternative Investments | 3,298,589 | 474,068 |
| Morgan Stanley Liquid Markets Fund II | 04-G1320 | Alternative Investments | 2,000,000 | 2,087,055 |
| Morgan Stanley Private Markets Fund II | 04-G1482 | Alternative Investments | 987,774 | 1,403,693 |
| Morgan Stanley Private Equity Asia III | 04-G8959 | Alternative Investments | 1,179,671 | 1,036,491 |
| Frontpoint Onshore Alpha Funds | 04-H05P8 | Alternative Investments | 4,000,000 | 3,923,845 |
| Metalmark Capital Partners | 04-G4123 | Alternative Investments | 1,212,124 | 1,129,990 |

**Commercial Money Market Deposit Account**

01 2000037424880 072 130 0 40 19,572

WACHOVIA

00004216 01 AV 0.335 01 5DG 19

THE PAULEY FAMILY FOUNDATION
C/O HERITAGE WEALTH ADVISORS CB
11 S 12TH ST STE 401
RICHMOND VA 23219-4035

# Commercial Money Market Deposit Account

12/01/2009 thru 12/31/2009

Account number: 2000037424880
Account owner(s): THE PAULEY FAMILY FOUNDATION

## Account Summary

| | |
|---|---|
| Opening balance 12/01 | $24,605.51 |
| Interest paid | 1.04 + |
| **Closing balance 12/31** | **$24,606.55** |

## Deposits and Other Credits

| *Date* | *Amount* | *Description* |
|---|---|---|
| 12/31 | 1.04 | INTEREST FROM 12/01/2009 THROUGH 12/31/2009 |
| Total | $1.04 | |

## Interest

| | |
|---|---|
| Number of days this statement period | 31 |
| Annual percentage yield earned | 0.05% |
| Interest earned this statement period | $1.04 |
| Interest paid this statement period | $1.04 |
| Interest paid this year | $12.28 |

## Daily Balance Summary

| *Dates* | *Amount* | *Dates* | *Amount* | *Dates* | *Amount* |
|---|---|---|---|---|---|
| 12/31 | 24,606.55 | | | | |

ISVAA001 004216 001053218074 NNNNN NNNNN NNNNN NNNNN NNN00001

# Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

## Cash

### Cash and money balances

| Holding | Opening balance on Dec 1 ($) | Closing balance on Dec 31 ($) | Price per share on Dec 31 ($) | Average rate | Dividend/Interest period | Days in period |
|---|---|---|---|---|---|---|
| Cash | 0 20 | 0 00 | | | | |
| RMA MONEY MKT PORTFOLIO | 0 00 | 72,521 06 | 1 00 | 0 01% | Nov 23 to Dec 23 | 31 |
| **Total** | **$0.20** | **$72,521.06** | | | | |

## Cash alternatives

### Mutual funds

*Total reinvested* is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

*Cost basis* is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

*Unrealized gain or loss* is the difference between the current value and the cost basis The unrealized gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

*Investment return* is the current value minus the amount you invested It does not include any cash dividends that were not reinvested

| Holding | Number of shares | Purchase price per share ($) | Client investment ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Investment return ($) | Holding period |
|---|---|---|---|---|---|---|---|---|---|
| UBS SELECT PRIME INSTITUTIONAL FUND | | | | | | | | | |
| | 3,224,856 140 | 1 000 | 3,224,856 14 | 3,224,856 14 | 1 000 | 3,224,856 14 | | | |

EAI $3,225 Current yield 0 10%

## Your total assets

| | | Value on Dec 31 ($) | Percentage of your account | Cost basis ($) | Estimated annual income ($) | Unrealized gain or loss ($) |
|---|---|---|---|---|---|---|
| **Cash** | **Cash and money balances** | **72,521.06** | **2.20%** | **72,521.06** | | |
| **Cash alternatives** | **Mutual funds** | **3,224,856.14** | **97.80%** | **3,224,856.14** | **3,225.00** | |
| **Total** | | **$3,297,377.20** | **100.00%** | **$3,297,377.20** | **$3,225.00** | |

**Account name:** PAULEY FAMILY FOUNDATION
**Friendly account name:** PFF PIMCO Cmdty
**Account number:** Y1 08370 1C

**Your Financial Advisor:**
DUNN/YAMIN
212-821-7000

# Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

## Broad commodities

### Mutual funds

*Total reinvested* is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

*Cost basis* is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

*Unrealized gain or loss* is the difference between the current value and the cost basis The unrealized gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

*Investment return* is the current value minus the amount you invested It does not include any cash dividends that were not reinvested

| Holding | Number of shares | Purchase price per share ($) | Client investment ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Investment return ($) | Holding period |
|---|---|---|---|---|---|---|---|---|---|
| PIMCO COMMODITY REAL RETURN FUND CLASS I | | | | | | | | | |
| Trade date Oct 7, 04 | 10,872 093 | 15 979 | 173,736 04 | 173,736 04[1] | 8 280 | 90,020 93 | -83,715 11 | | LT |
| Trade date Nov 23, 04 | 31,133 250 | 16 060 | 500,000 00 | 500,000 00[1] | 8 280 | 257,783 31 | -242,216 69 | | LT |
| Trade date Dec 15, 04 | 1,136 519 | 14 939 | 16,979 59 | 16,979 59[1] | 8 280 | 9,410 38 | -7,569 21 | | LT |
| Trade date Jan 3, 05 | 2,248 523 | 14 859 | 33,413 05 | 33,413 05[1] | 8 280 | 18,617 77 | -14,795 28 | | LT |
| Trade date Mar 30, 05 | 1,345 085 | 15 789 | 21,238 89 | 21,238 89[1] | 8 280 | 11,137 30 | -10,101 59 | | LT |
| Trade date Jun 27, 05 | 1,287 883 | 16 200 | 20,863 71 | 20,863 71[1] | 8 280 | 10,663 67 | -10,200 04 | | LT |
| Trade date Sep 26, 05 | 2,805 421 | 17 420 | 48,870 44 | 48,870 44[1] | 8 280 | 23,228 89 | -25,641 55 | | LT |
| Trade date Dec 16, 05 | 429 428 | 17 329 | 7,441 98 | 7,441 98[1] | 8 280 | 3,555 66 | -3,886 32 | | LT |
| Trade date Jan 3, 06 | 13,956 906 | 14 739 | 205,724 79 | 205,724 79[1] | 8 280 | 115,563 18 | -90,161 61 | | LT |
| Trade date Jun 26, 06 | 596 664 | 14 060 | 8,389 10 | 8,389 10[1] | 8 280 | 4,940 38 | -3,448 72 | | LT |
| Trade date Sep 25, 06 | 441 269 | 13 750 | 6,067 45 | 6,067 45[1] | 8 280 | 3,653 71 | -2,413 74 | | LT |
| Trade date Dec 27, 06 | 2,713 824 | 13 909 | 37,749 29 | 37,749 29[1] | 8 280 | 22,470 46 | -15,278 83 | | LT |
| Trade date Mar 22, 07 | 1,183 884 | 14 420 | 17,071 61 | 17,071 61[1] | 8 280 | 9,802 56 | -7,269 05 | | LT |
| Trade date Jun 21, 07 | 1,653 723 | 14 149 | 23,400 18 | 23,400 18[1] | 8 280 | 13,692 83 | -9,707 35 | | LT |
| Trade date Sep 20, 07 | 1,726 770 | 15 060 | 26,005 16 | 26,005 16[1] | 8 280 | 14,297 66 | -11,707 50 | | LT |
| Trade date Dec 27, 07 | 1,915 097 | 16 119 | 30,871 36 | 30,871 36[1] | 8 280 | 15,857 00 | -15,014 36 | | LT |
| Trade date Mar 20, 08 | 1,004 722 | 18 010 | 18,095 05 | 18,095 05[1] | 8 280 | 8,319 10 | -9,775 95 | | LT |
| Trade date Jun 19, 08 | 1,058 225 | 19 920 | 21,079 85 | 21,079 85[1] | 8 280 | 8,762 10 | -12,317 75 | | LT |

*continued next page*

## Your assets › **Broad commodities** › **Mutual funds** (continued)

| Holding | Number of shares | Purchase price per share ($) | Client investment ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Investment return ($) | Holding period |
|---|---|---|---|---|---|---|---|---|---|
| Trade date Sep 22, 08 | 1,404 115 | 14 379 | 20,191 17 | 20,191 17[1] | 8 280 | 11,626 07 | -8,565 10 | | LT |
| Total reinvested | 38,341 168 | 6 311 | | 241,975 15 | 8 280 | 317,464 87 | 75,489 72 | | |
| EAI $58,158 Current yield 5 99% | | | | | | | | | |
| Security total | 117,254 569 | | 1,237,188 71 | 1,479,163 86 | | 970,867 83 | -508,296 03 | -266,320 88 | |

[1] Indicates cost basis information has been provided by a source other than UBS Financial Services

## Your total assets

| | | Value on Dec 31 ($) | Percentage of your account | Cost basis ($) | Estimated annual income ($) | Unrealized gain or loss ($) |
|---|---|---|---|---|---|---|
| **Broad commodities** | **Mutual funds** | **970,867.83** | **100.00%** | **1,479,163.86** | **58,158.00** | **-508,296.03** |
| **Total** | | **$970,867.83** | **100.00%** | **$1,479,163.86** | **$58,158.00** | **-$508,296.03** |

# Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

| Date | Activity | Description | Your expense code | Quantity/ Face value | Price/Value ($) | Cash amount ($) | Cash and money balance ($) |
|---|---|---|---|---|---|---|---|
| **Nov 30** | | **Cash and money balance** | | | | | **$0.00** |
| Dec 10 | Lt Cap Gain | PIMCO COMMODITY REAL RETURN FUND CLASS I LONG TERM CAPITAL GAIN AS OF 12/09/09 | | | | 11,204 58 | |
| Dec 10 | Reinvestment | PIMCO COMMODITY REAL RETURN FUND CLASS I LT CAP GAINS REINVESTED AT 8 06 NAV ON 12/09/09 AS OF 12/09/09 | | 1,390 146 | | -11,204 58 | |
| Dec 31 | Dividend | PIMCO COMMODITY REAL RETURN FUND CLASS I AS OF 12/30/09 | | | | 23,087 35 | |
| Dec 31 | Reinvestment | PIMCO COMMODITY REAL RETURN FUND CLASS I DIVIDEND REINVESTED AT 8 31 NAV ON 12/30/09 AS OF 12/30/09 | | 2,778 261 | | -23,087 35 | |
| **Dec 31** | | **Closing cash and money balance** | | | | | **$0.00** |
| | | **Funds used for security transactions** | | | | | **-$34,291.93** |

# Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

## Equities

### Mutual funds

*Total reinvested* is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

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*Unrealized gain or loss* is the difference between the current value and the cost basis The unrealized gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

*Investment return* is the current value minus the amount you invested It does not include any cash dividends that were not reinvested

| Holding | Number of shares | Purchase price per share ($) | Client investment ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Investment return ($) | Holding period |
|---|---|---|---|---|---|---|---|---|---|
| ARTIO INTERNATIONAL | | | | | | | | | |
| EQUITY FUND II CLASS I | | | | | | | | | |
| Trade date Apr 4, 07 | 300,530 646 | 15 989 | 4,805,485 02 | 4,805,485 02[1] | 11 780 | 3,540,251 01 | -1,265,234 01 | | LT |
| Trade date Dec 28, 07 | 8,038 863 | 17 139 | 137,786 11 | 137,786 11[1] | 11 780 | 94,697 81 | -43,088 30 | | LT |
| Total reinvested | 26,993 262 | 10 982 | | 296,460 17 | 11 780 | 317,980 63 | 21,520 46 | | |
| EAI $194,290 Current yield 4 92% | | | | | | | | | |
| Security total | 335,562 771 | | 4,943,271 13 | 5,239,731 30 | | 3,952,929 44 | -1,286,801 85 | -990,341 68 | |

[1] Indicates cost basis information has been provided by a source other than UBS Financial Services

## Your total assets

| | | Value on Dec 31 ($) | Percentage of your account | Cost basis ($) | Estimated annual income ($) | Unrealized gain or loss ($) |
|---|---|---|---|---|---|---|
| **Equities** | **Mutual funds** | **3,952,929.44** | **100.00%** | **5,239,731.30** | **194,290.00** | **-1,286,801.85** |
| **Total** | | **$3,952,929.44** | **100.00%** | **$5,239,731.30** | **$194,290.00** | **-$1,286,801.85** |

# Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

## Equities

### Mutual funds

*Total reinvested* is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

*Cost basis* is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

*Unrealized gain or loss* is the difference between the current value and the cost basis The unrealized gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

*Investment return* is the current value minus the amount you invested It does not include any cash dividends that were not reinvested

| Holding | Number of shares | Purchase price per share ($) | Client investment ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Investment return ($) | Holding period |
|---|---|---|---|---|---|---|---|---|---|
| LAZARD EMERGING MARKETS | | | | | | | | | |
| FUND INSTITUTIONAL SHS | | | | | | | | | |
| Trade date Jul 10, 07 | 197,784 810 | 25 280 | 5,000,000 00 | 5,000,000 00[1] | 18 010 | 3,562,104 43 | -1,437,895 57 | | LT |
| Trade date Aug 28, 07 | 1,970 382 | 23 309 | 45,929 59 | 45,929 59[1] | 18 010 | 35,486 58 | -10,443 01 | | LT |
| Trade date Dec 27, 07 | 27,246 156 | 23 859 | 650,093 28 | 650,093 28[1] | 18 010 | 490,703 27 | -159,390 01 | | LT |
| Trade date Aug 27, 08 | 8,386 889 | 20 159 | 169,079 68 | 169,079 68[1] | 18 010 | 151,047 87 | -18,031 81 | | LT |
| Total reinvested | 31,020 596 | 12 177 | | 377,748 79 | 18 010 | 558,680 93 | 180,932 14 | | |
| EAI $123,880 Current yield 2 58% | | | | | | | | | |
| Security total | 266,408 833 | | 5,865,102 55 | 6,242,851 34 | | 4,798,023 08 | -1,444,828 26 | -1,067,079 47 | |

[1] Indicates cost basis information has been provided by a source other than UBS Financial Services

## Your total assets

| | | Value on Dec 31 ($) | Percentage of your account | Cost basis ($) | Estimated annual income ($) | Unrealized gain or loss ($) |
|---|---|---|---|---|---|---|
| **Equities** | **Mutual funds** | **4,798,023.08** | **100.00%** | **6,242,851.34** | **123,880.00** | **-1,444,828.26** |
| **Total** | | **$4,798,023.08** | **100.00%** | **$6,242,851.34** | **$123,880.00** | **-$1,444,828.26** |

**Account name:** PAULEY FAMILY FOUNDATION
**Friendly account name:** PFF US LC Core
**Account number:** Y1 08366 1C

**Your Financial Advisor:**
DUNN/YAMIN
212-821-7000

# Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

## Cash

### Cash and money balances

| Holding | Opening balance on Dec 1 ($) | Closing balance on Dec 31 ($) | Price per share on Dec 31 ($) | Average rate | Dividend/Interest period | Days in period |
|---|---|---|---|---|---|---|
| RMA MONEY MKT PORTFOLIO | 131,366 10 | 254,253 48 | 1 00 | 0 01% | Nov 23 to Dec 23 | 31 |

## Equities

### Common stock

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| ABBOTT LABS | | | | | | | | |
| Symbol ABT Exchange NYSE | | | | | | | | |
| EAI $7,168 Current yield 2 96% | Feb 23, 06 | 1,450 000 | 43 510 | 63,089 50[1] | 53 990 | 78,285 50 | 15,196 00 | LT |
| | May 11, 06 | 1,815 000 | 42 060 | 76,338 90[1] | 53 990 | 97,991 85 | 21,652 95 | LT |
| | Jun 15, 09 | 1,215 000 | 44 898 | 54,552 13 | 53 990 | 65,597 85 | 11,045 72 | ST |
| Security total | | 4,480 000 | | 193,980 53 | | 241,875 20 | 47,894 67 | |
| ADOBE SYSTEMS INC (DELAWARE) | | | | | | | | |
| Symbol ADBE Exchange OTC | Jul 15, 08 | 4,870 000 | 38 859 | 189,243 82[1] | 36 780 | 179,118 60 | -10,125 22 | LT |
| | Nov 26, 08 | 1,835 000 | 23 151 | 42,483 38 | 36 780 | 67,491 30 | 25,007 92 | LT |
| Security total | | 6,705 000 | | 231,727 20 | | 246,609 90 | 14,882 70 | |
| ALCOA INC | | | | | | | | |
| Symbol AA Exchange NYSE | | | | | | | | |
| EAI $2,165 Current yield 0 74% | Jan 25, 07 | 8,030 000 | 31 717 | 254,687 51[1] | 16 120 | 129,443 60 | -125,243 91 | LT |
| | Nov 26, 08 | 9,510 000 | 10 379 | 98,705 35 | 16 120 | 153,301 20 | 54,595 85 | LT |
| | Jun 15, 09 | 505 000 | 11 171 | 5,641 58 | 16 120 | 8,140 60 | 2,499 02 | ST |
| Security total | | 18,045 000 | | 359,034 44 | | 290,885 40 | -68,149 04 | |
| ALTRIA GROUP INC | | | | | | | | |
| Symbol MO Exchange NYSE | | | | | | | | |
| EAI $8,602 Current yield 6 93% | Feb 23, 06 | 800 000 | 16 909 | 13,527 56[1] | 19 630 | 15,704 00 | 2,176 44 | LT |
| | May 11, 06 | 1,405 000 | 16 542 | 23,241 81[1] | 19 630 | 27,580 15 | 4,338 34 | LT |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Jun 8, 06 | 1,565 000 | 16 410 | 25,682 52[1] | 19 630 | 30,720 95 | 5,038 43 | LT |
| | Oct 23, 06 | 730 000 | 18 625 | 13,596 68[1] | 19 630 | 14,329 90 | 733 22 | LT |
| | Aug 8, 08 | 1,815 000 | 20 769 | 37,697 37[1] | 19 630 | 35,628 45 | -2,068 92 | LT |
| | Nov 26, 08 | 10 000 | 15 808 | 158 09 | 19 630 | 196 30 | 38 21 | LT |
| Security total | | 6,325 000 | | 113,904 03 | | 124,159 75 | 10,255 72 | |
| AMER ELECTRIC POWER CO<br>Symbol AEP Exchange NYSE<br>EAI $11,710 Current yield 4 71% | Sep 24, 09 | 7,140 000 | 31 268 | 223,254 06 | 34 790 | 248,400 60 | 25,146 54 | ST |
| AMERICA MOVIL S A B DE C V<br>SER L SPON ADR<br>Symbol AMX Exchange NYSE<br>EAI $2,247 Current yield 0 97% | Jun 11, 08 | 4,070 000 | 56 479 | 229,869 94[1] | 46 980 | 191,208 60 | -38,661 34 | LT |
| | Aug 8, 08 | 295 000 | 50 060 | 14,767 70[1] | 46 980 | 13,859 10 | -908 60 | LT |
| | Nov 26, 08 | 585 000 | 30 709 | 17,965 16 | 46 980 | 27,483 30 | 9,518 14 | LT |
| Security total | | 4,950 000 | | 262,602 80 | | 232,551 00 | -30,051 80 | |
| APPLE INC<br>Symbol AAPL Exchange OTC | Jun 8, 09 | 1,085 000 | 141 705 | 153,750 05 | 210 732 | 228,644 22 | 74,894 17 | ST |
| | Jun 15, 09 | 150 000 | 135 369 | 20,305 48 | 210 732 | 31,609 80 | 11,304 32 | ST |
| Security total | | 1,235 000 | | 174,055 53 | | 260,254 02 | 86,198 49 | |
| AT&T INC<br>Symbol T Exchange NYSE<br>EAI $22,218 Current yield 5 99% | Jul 26, 07 | 7,555 000 | 40 441 | 305,537 04[1] | 28 030 | 211,766 65 | -93,770 39 | LT |
| | Aug 8, 08 | 1,555 000 | 30 737 | 47,796 97[1] | 28 030 | 43,586 65 | -4,210 32 | LT |
| | Nov 26, 08 | 755 000 | 28 213 | 21,301 26 | 28 030 | 21,162 65 | -138 61 | LT |
| | Jun 15, 09 | 3,170 000 | 24 444 | 77,489 33 | 28 030 | 88,855 10 | 11,365 77 | ST |
| | Dec 3, 09 | 190 000 | 27 605 | 5,245 05 | 28 030 | 5,325 70 | 80 65 | ST |
| Security total | | 13,225 000 | | 457,369 65 | | 370,696 75 | -86,672 90 | |
| BANK OF NEW YORK MELLON CORP<br>Symbol BK Exchange NYSE<br>EAI $3,209 Current yield 1 29% | Sep 27, 06 | 5,418 000 | 37 795 | 204,774 49[1] | 27 970 | 151,541 46 | -53,233 03 | LT |
| | Oct 23, 06 | 972 000 | 35 929 | 34,923 05[1] | 27 970 | 27,186 84 | -7,736 21 | LT |
| | Aug 8, 08 | 50 000 | 36 937 | 1,846 87[1] | 27 970 | 1,398 50 | -448 37 | LT |
| | Jun 15, 09 | 975 000 | 28 598 | 27,883 64 | 27 970 | 27,270 75 | -612 89 | ST |
| | Dec 3, 09 | 1,500 000 | 27 219 | 40,829 63 | 27 970 | 41,955 00 | 1,125 37 | ST |

*continued next page*

## Your assets › Equities › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 8,915 000 | | 310,257 68 | | 249,352 55 | -60,905 13 | |
| BANK OF AMER CORP | | | | | | | | |
| Symbol BAC Exchange NYSE | | | | | | | | |
| EAI $604 Current yield 0 27% | Aug 3, 09 | 7,680 000 | 15 306 | 117,554 40 | 15 060 | 115,660 80 | -1,893 60 | ST |
| | Dec 3, 09 | 7,425 000 | 16 031 | 119,033 46 | 15 060 | 111,820 50 | -7,212 96 | ST |
| Security total | | 15,105 000 | | 236,587 86 | | 227,481 30 | -9,106 56 | |
| BAXTER INTL INC | | | | | | | | |
| Symbol BAX Exchange NYSE | | | | | | | | |
| EAI $4,982 Current yield 1 98% | May 11, 06 | 896 000 | 37 920 | 33,976 32[1] | 58 680 | 52,577 28 | 18,600 96 | LT |
| | Jul 21, 06 | 2,334 000 | 41 180 | 96,114 12[1] | 58 680 | 136,959 12 | 40,845 00 | LT |
| | Oct 23, 06 | 125 000 | 47 130 | 5,891 25[1] | 58 680 | 7,335 00 | 1,443 75 | LT |
| | Jun 15, 09 | 940 000 | 48 355 | 45,454 17 | 58 680 | 55,159 20 | 9,705 03 | ST |
| Security total | | 4,295 000 | | 181,435 86 | | 252,030 60 | 70,594 74 | |
| CISCO SYSTEMS INC | | | | | | | | |
| Symbol CSCO Exchange OTC | Nov 23, 04 | 1,360 000 | 19 090 | 25,962 40[1] | 23 940 | 32,558 40 | 6,596 00 | LT |
| | Feb 23, 06 | 4,245 000 | 19 610 | 83,244 45[1] | 23 940 | 101,625 30 | 18,380 85 | LT |
| | May 11, 06 | 2,655 000 | 20 230 | 53,710 65[1] | 23 940 | 63,560 70 | 9,850 05 | LT |
| | Apr 17, 07 | 6,350 000 | 26 694 | 169,511 35[1] | 23 940 | 152,019 00 | -17,492 35 | LT |
| | Aug 8, 08 | 630 000 | 24 150 | 15,214 50[1] | 23 940 | 15,082 20 | -132 30 | LT |
| Security total | | 15,240 000 | | 347,643 35 | | 364,845 60 | 17,202 25 | |
| COCA COLA CO COM | | | | | | | | |
| Symbol KO Exchange NYSE | | | | | | | | |
| EAI $6,921 Current yield 2 88% | May 4, 07 | 3,795 000 | 53 025 | 201,232 54[1] | 57 000 | 216,315 00 | 15,082 46 | LT |
| | Jun 15, 09 | 425 000 | 48 327 | 20,539 19 | 57 000 | 24,225 00 | 3,685 81 | ST |
| Security total | | 4,220 000 | | 221,771 73 | | 240,540 00 | 18,768 27 | |
| CONOCOPHILLIPS | | | | | | | | |
| Symbol COP Exchange NYSE | | | | | | | | |
| EAI $9,400 Current yield 3 92% | May 6, 08 | 1,895 000 | 87 891 | 166,554 39[1] | 51 070 | 96,777 65 | -69,776 74 | LT |
| | Aug 8, 08 | 190 000 | 79 754 | 15,153 36[1] | 51 070 | 9,703 30 | -5,450 06 | LT |
| | Jun 15, 09 | 2,615 000 | 42 733 | 111,748 69 | 51 070 | 133,548 05 | 21,799 36 | ST |
| Security total | | 4,700 000 | | 293,456 44 | | 240,029 00 | -53,427 44 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| COVIDIEN PLC | | | | | | | | |
| Symbol COV Exchange NYSE | | | | | | | | |
| EAI $3,686 Current yield 1 50% | Aug 20, 09 | 5,120 000 | 40 191 | 205,781 16 | 47 890 | 245,196 80 | 39,415 64 | ST |
| CVS CAREMARK CORP | | | | | | | | |
| Symbol CVS Exchange NYSE | | | | | | | | |
| EAI $2,393 Current yield 0 95% | May 11, 06 | 1,156 000 | 30 110 | 34,807 16[1] | 32 210 | 37,234 76 | 2,427 60 | LT |
| | Jul 21, 06 | 2,939 000 | 32 220 | 94,697 23[1] | 32 210 | 94,665 19 | -32 04 | LT |
| | Oct 23, 06 | 2,425 000 | 31 240 | 75,759 18[1] | 32 210 | 78,109 25 | 2,350 07 | LT |
| | Jun 15, 09 | 585 000 | 29 865 | 17,471 03 | 32 210 | 18,842 85 | 1,371 82 | ST |
| | Dec 3, 09 | 740 000 | 31 035 | 22,966 27 | 32 210 | 23,835 40 | 869 13 | ST |
| Security total | | 7,845 000 | | 245,700 87 | | 252,687 45 | 6,986 58 | |
| DEVON ENERGY CORP NEW | | | | | | | | |
| Symbol DVN Exchange NYSE | | | | | | | | |
| EAI $2,320 Current yield 0 87% | Dec 20, 07 | 2,645 000 | 88 169 | 233,207 28[1] | 73 500 | 194,407 50 | -38,799 78 | LT |
| | Jun 15, 09 | 700 000 | 63 524 | 44,467 08 | 73 500 | 51,450 00 | 6,982 92 | ST |
| | Dec 3, 09 | 280 000 | 67 063 | 18,777 81 | 73 500 | 20,580 00 | 1,802 19 | ST |
| Security total | | 3,625 000 | | 296,452 17 | | 266,437 50 | -30,014 67 | |
| DOLLAR TREE INC | | | | | | | | |
| Symbol DLTR Exchange OTC | Apr 7, 09 | 4,170 000 | 43 985 | 183,421 32 | 48 300 | 201,411 00 | 17,989 68 | ST |
| | Jun 15, 09 | 810 000 | 42 633 | 34,533 04 | 48 300 | 39,123 00 | 4,589 96 | ST |
| | Dec 3, 09 | 155 000 | 47 201 | 7,316 16 | 48 300 | 7,486 50 | 170 34 | ST |
| Security total | | 5,135 000 | | 225,270 52 | | 248,020 50 | 22,749 98 | |
| EXXON MOBIL CORP | | | | | | | | |
| Symbol XOM Exchange NYSE | | | | | | | | |
| EAI $10,811 Current yield 2 46% | Oct 8, 04 | 935 000 | 50 000 | 46,750 00[1] | 68 190 | 63,757 65 | 17,007 65 | LT |
| | Nov 23, 04 | 625 000 | 51 050 | 31,906 25[1] | 68 190 | 42,618 75 | 10,712 50 | LT |
| | Feb 23, 06 | 1,090 000 | 60 277 | 65,702 26[1] | 68 190 | 74,327 10 | 8,624 84 | LT |
| | May 11, 06 | 845 000 | 63 690 | 53,818 05[1] | 68 190 | 57,620 55 | 3,802 50 | LT |
| | Nov 26, 08 | 1,180 000 | 80 024 | 94,429 18 | 68 190 | 80,464 20 | -13,964 98 | LT |
| | Jun 15, 09 | 1,175 000 | 72 528 | 85,220 92 | 68 190 | 80,123 25 | -5,097 67 | ST |
| | Dec 3, 09 | 585 000 | 75 425 | 44,123 92 | 68 190 | 39,891 15 | -4,232 77 | ST |
| Security total | | 6,435 000 | | 421,950 58 | | 438,802 65 | 16,852 07 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| GENL ELECTRIC CO | | | | | | | | |
| Symbol GE Exchange NYSE | | | | | | | | |
| EAI $6,000 Current yield 2 64% | Feb 23, 06 | 465 000 | 33 390 | 15,526 35[1] | 15 130 | 7,035 45 | -8,490 90 | LT |
| | May 11, 06 | 3,445 000 | 34 440 | 118,645 80[1] | 15 130 | 52,122 85 | -66,522 95 | LT |
| | Oct 23, 06 | 940 000 | 35 590 | 33,454 60[1] | 15 130 | 14,222 20 | -19,232 40 | LT |
| | Aug 8, 08 | 4,175 000 | 29 383 | 122,677 37[1] | 15 130 | 63,167 75 | -59,509 62 | LT |
| | Nov 26, 08 | 990 000 | 16 029 | 15,869 49 | 15 130 | 14,978 70 | -890 79 | LT |
| | Jun 15, 09 | 4,985 000 | 13 129 | 65,452 75 | 15 130 | 75,423 05 | 9,970 30 | ST |
| Security total | | 15,000 000 | | 371,626 36 | | 226,950 00 | -144,676 36 | |
| ITT CORP | | | | | | | | |
| Symbol ITT Exchange NYSE | | | | | | | | |
| EAI $3,999 Current yield 1 71% | Feb 14, 08 | 4,225 000 | 59 017 | 249,348 94[1] | 49 740 | 210,151 50 | -39,197 44 | LT |
| | Nov 26, 08 | 460 000 | 40 359 | 18,565 14 | 49 740 | 22,880 40 | 4,315 26 | LT |
| | Dec 3, 09 | 20 000 | 51 685 | 1,033 70 | 49 740 | 994 80 | -38 90 | ST |
| Security total | | 4,705 000 | | 268,947 78 | | 234,026 70 | -34,921 08 | |
| JOHNSON & JOHNSON COM | | | | | | | | |
| Symbol JNJ Exchange NYSE | | | | | | | | |
| EAI $7,409 Current yield 3 04% | Sep 16, 08 | 3,115 000 | 69 791 | 217,400 52[1] | 64 410 | 200,637 15 | -16,763 37 | LT |
| | Jun 15, 09 | 665 000 | 55 118 | 36,653 87 | 64 410 | 42,832 65 | 6,178 78 | ST |
| Security total | | 3,780 000 | | 254,054 39 | | 243,469 80 | -10,584 59 | |
| JPMORGAN CHASE & CO | | | | | | | | |
| Symbol JPM Exchange NYSE | | | | | | | | |
| EAI $2,304 Current yield 0 48% | Oct 8, 04 | 100 000 | 39 504 | 3,950 40[1] | 41 670 | 4,167 00 | 216 60 | LT |
| | Nov 23, 04 | 1,000 000 | 37 540 | 37,540 00[1] | 41 670 | 41,670 00 | 4,130 00 | LT |
| | Feb 23, 06 | 1,810 000 | 41 150 | 74,481 50[1] | 41 670 | 75,422 70 | 941 20 | LT |
| | May 11, 06 | 965 000 | 45 540 | 43,946 10[1] | 41 670 | 40,211 55 | -3,734 55 | LT |
| | Oct 23, 06 | 330 000 | 47 360 | 15,628 80[1] | 41 670 | 13,751 10 | -1,877 70 | LT |
| | Aug 8, 08 | 1,325 000 | 40 008 | 53,011 00[1] | 41 670 | 55,212 75 | 2,201 75 | LT |
| | May 14, 09 | 5,210 000 | 35 311 | 183,970 63 | 41 670 | 217,100 70 | 33,130 07 | ST |
| | Jun 15, 09 | 780 000 | 34 259 | 26,722 77 | 41 670 | 32,502 60 | 5,779 83 | ST |
| Security total | | 11,520 000 | | 439,251 20 | | 480,038 40 | 40,787 20 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| LOCKHEED MARTIN CORP | | | | | | | | |
| Symbol LMT Exchange NYSE | | | | | | | | |
| EAI $7,837 Current yield 3 34% | Feb 3, 09 | 2,285 000 | 79 930 | 182,642 25 | 75 350 | 172,174 75 | -10,467 50 | ST |
| | Jun 15, 09 | 300 000 | 82 136 | 24,640 95 | 75 350 | 22,605 00 | -2,035 95 | ST |
| | Dec 3, 09 | 525 000 | 78 176 | 41,042 57 | 75 350 | 39,558 75 | -1,483 82 | ST |
| Security total | | 3,110 000 | | 248,325 77 | | 234,338 50 | -13,987 27 | |
| LOWES COMPANIES INC | | | | | | | | |
| Symbol LOW Exchange NYSE | | | | | | | | |
| EAI $3,908 Current yield 1 54% | Aug 8, 08 | 9,185 000 | 22 373 | 205,503 35[1] | 23 390 | 214,837 15 | 9,333 80 | LT |
| | Jun 15, 09 | 1,645 000 | 19 579 | 32,207 71 | 23 390 | 38,476 55 | 6,268 84 | ST |
| | Dec 3, 09 | 25 000 | 22 408 | 560 21 | 23 390 | 584 75 | 24 54 | ST |
| Security total | | 10,855 000 | | 238,271 27 | | 253,898 45 | 15,627 18 | |
| METLIFE INC | | | | | | | | |
| Symbol MET Exchange NYSE | | | | | | | | |
| EAI $5,221 Current yield 2 09% | Jun 8, 09 | 6,470 000 | 32 311 | 209,052 80 | 35 350 | 228,714 50 | 19,661 70 | ST |
| | Jun 15, 09 | 540 000 | 30 313 | 16,369 02 | 35 350 | 19,089 00 | 2,719 98 | ST |
| | Dec 3, 09 | 45 000 | 34 607 | 1,557 34 | 35 350 | 1,590 75 | 33 41 | ST |
| Security total | | 7,055 000 | | 226,979 16 | | 249,394 25 | 22,415 09 | |
| MICROSOFT CORP | | | | | | | | |
| Symbol MSFT Exchange OTC | | | | | | | | |
| EAI $4,220 Current yield 1 71% | Nov 5, 09 | 8,115 000 | 28 703 | 232,931 45 | 30 480 | 247,345 20 | 14,413 75 | ST |
| MONSANTO CO NEW | | | | | | | | |
| Symbol MON Exchange NYSE | | | | | | | | |
| EAI $3,122 Current yield 1 30% | Dec 18, 08 | 2,495 000 | 75 443 | 188,230 98 | 81 750 | 203,966 25 | 15,735 27 | LT |
| | Dec 3, 09 | 450 000 | 82 618 | 37,178 46 | 81 750 | 36,787 50 | -390 96 | ST |
| Security total | | 2,945 000 | | 225,409 44 | | 240,753 75 | 15,344 31 | |
| NORFOLK STHN CORP | | | | | | | | |
| Symbol NSC Exchange NYSE | | | | | | | | |
| EAI $6,426 Current yield 2 59% | Nov 12, 09 | 4,725 000 | 51 744 | 244,493 92 | 52 420 | 247,684 50 | 3,190 58 | ST |
| ORACLE CORP | | | | | | | | |
| Symbol ORCL Exchange OTC | | | | | | | | |
| EAI $2,135 Current yield 0 82% | Aug 8, 08 | 10,575 000 | 23 223 | 245,585 34[1] | 24 530 | 259,404 75 | 13,819 41 | LT |
| | Dec 3, 09 | 100 000 | 22 757 | 2,275 70 | 24 530 | 2,453 00 | 177 30 | ST |
| Security total | | 10,675 000 | | 247,861 04 | | 261,857 75 | 13,996 71 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| PEPSICO INC | | | | | | | | |
| Symbol PEP Exchange NYSE | | | | | | | | |
| EAI $10,395 Current yield 2 96% | Oct 8, 04 | 245 000 | 48 897 | 11,979 77[1] | 60 800 | 14,896 00 | 2,916 23 | LT |
| | Nov 23, 04 | 880 000 | 51 100 | 44,968 00[1] | 60 800 | 53,504 00 | 8,536 00 | LT |
| | Feb 23, 06 | 1,760 000 | 58 949 | 103,750 42[1] | 60 800 | 107,008 00 | 3,257 58 | LT |
| | May 11, 06 | 1,700 000 | 58 556 | 99,546 05[1] | 60 800 | 103,360 00 | 3,813 95 | LT |
| | Oct 23, 06 | 110 000 | 63 380 | 6,971 80[1] | 60 800 | 6,688 00 | -283 80 | LT |
| | Jun 15, 09 | 1,080 000 | 53 097 | 57,345 33 | 60 800 | 65,664 00 | 8,318 67 | ST |
| Security total | | 5,775 000 | | 324,561 37 | | 351,120 00 | 26,558 63 | |
| PHILIP MORRIS INTL INC | | | | | | | | |
| Symbol PM Exchange NYSE | | | | | | | | |
| EAI $11,368 Current yield 4 81% | Feb 23, 06 | 670 000 | 38 847 | 26,027 68[1] | 48 190 | 32,287 30 | 6,259 62 | LT |
| | May 11, 06 | 1,405 000 | 38 003 | 53,395 03[1] | 48 190 | 67,706 95 | 14,311 92 | LT |
| | Jun 8, 06 | 1,565 000 | 37 701 | 59,002 26[1] | 48 190 | 75,417 35 | 16,415 09 | LT |
| | Oct 23, 06 | 730 000 | 42 789 | 31,236 58[1] | 48 190 | 35,178 70 | 3,942 12 | LT |
| | Aug 8, 08 | 40 000 | 55 050 | 2,202 00[1] | 48 190 | 1,927 60 | -274 40 | LT |
| | Jun 15, 09 | 480 000 | 43 428 | 20,845 73 | 48 190 | 23,131 20 | 2,285 47 | ST |
| | Dec 3, 09 | 10 000 | 49 607 | 496 07 | 48 190 | 481 90 | -14 17 | ST |
| Security total | | 4,900 000 | | 193,205 35 | | 236,131 00 | 42,925 65 | |
| PNC FINANCIAL SERVICES GROUP | | | | | | | | |
| Symbol PNC Exchange NYSE | | | | | | | | |
| EAI $1,808 Current yield 0 76% | Dec 20, 06 | 2,925 000 | 74 361 | 217,506 80[1] | 52 790 | 154,410 75 | -63,096 05 | LT |
| | Aug 8, 08 | 110 000 | 70 600 | 7,766 00[1] | 52 790 | 5,806 90 | -1,959 10 | LT |
| | Jun 15, 09 | 1,485 000 | 40 505 | 60,151 22 | 52 790 | 78,393 15 | 18,241 93 | ST |
| Security total | | 4,520 000 | | 285,424 02 | | 238,610 80 | -46,813 22 | |
| PROCTER & GAMBLE CO | | | | | | | | |
| Symbol PG Exchange NYSE | | | | | | | | |
| EAI $6,776 Current yield 2 90% | May 15, 06 | 2,635 000 | 55 150 | 145,320 25[1] | 60 630 | 159,760 05 | 14,439 80 | LT |
| | Jun 15, 09 | 1,215 000 | 51 486 | 62,555 82 | 60 630 | 73,665 45 | 11,109 63 | ST |
| Security total | | 3,850 000 | | 207,876 07 | | 233,425 50 | 25,549 43 | |
| PRUDENTIAL FINANCIAL INC | | | | | | | | |
| Symbol PRU Exchange NYSE | | | | | | | | |
| EAI $3,448 Current yield 1 41% | Nov 26, 08 | 4,110 000 | 20 133 | 82,750 70 | 49 760 | 204,513 60 | 121,762 90 | LT |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Jun 15, 09 | 815 000 | 36 701 | 29,911 32 | 49 760 | 40,554 40 | 10,643 08 | ST |
| Security total | | 4,925 000 | | 112,662 02 | | 245,068 00 | 132,405 98 | |
| SCHLUMBERGER LTD NETHERLANDS ANTILLES Symbol SLB Exchange NYSE EAI $3,221 Current yield 1 29% | Sep 24, 09 | 3,835 000 | 59 159 | 226,874 88 | 65 090 | 249,620 15 | 22,745 27 | ST |
| SUNCOR ENERGY INC NEW Symbol SU Exchange NYSE | Nov 23, 04 | 135 000 | 17 065 | 2,303 78[1] | 35 310 | 4,766 85 | 2,463 07 | LT |
| | May 11, 06 | 740 000 | 43 665 | 32,312 10[1] | 35 310 | 26,129 40 | -6,182 70 | LT |
| | Oct 23, 06 | 1,620 000 | 36 957 | 59,871 47[1] | 35 310 | 57,202 20 | -2,669 27 | LT |
| | Aug 8, 08 | 415 000 | 49 770 | 20,654 55[1] | 35 310 | 14,653 65 | -6,000 90 | LT |
| | Nov 26, 08 | 3,460 000 | 21 117 | 73,068 27 | 35 310 | 122,172 60 | 49,104 33 | LT |
| | Dec 3, 09 | 180 000 | 37 130 | 6,683 40 | 35 310 | 6,355 80 | -327 60 | ST |
| Security total | | 6,550 000 | | 194,893 57 | | 231,280 50 | 36,386 93 | |
| UNTD TECHNOLOGIES CORP Symbol UTX Exchange NYSE EAI $5,529 Current yield 2 22% | Mar 24, 06 | 213 000 | 59 840 | 12,745 92[1] | 69 410 | 14,784 33 | 2,038 41 | LT |
| | May 11, 06 | 590 000 | 65 841 | 38,846 60[1] | 69 410 | 40,951 90 | 2,105 30 | LT |
| | Sep 7, 06 | 2,112 000 | 62 776 | 132,584 39[1] | 69 410 | 146,593 92 | 14,009 53 | LT |
| | Oct 23, 06 | 525 000 | 65 050 | 34,151 62[1] | 69 410 | 36,440 25 | 2,288 63 | LT |
| | Aug 8, 08 | 150 000 | 66 258 | 9,938 70[1] | 69 410 | 10,411 50 | 472 80 | LT |
| Security total | | 3,590 000 | | 228,267 23 | | 249,181 90 | 20,914 67 | |
| WAL MART STORES INC Symbol WMT Exchange NYSE EAI $9,739 Current yield 2 04% | Mar 11, 08 | 3,340 000 | 49 889 | 166,632 26[1] | 53 450 | 178,523 00 | 11,890 74 | LT |
| | Jan 12, 09 | 4,035 000 | 51 717 | 208,680 67 | 53 450 | 215,670 75 | 6,990.08 | ST |
| | Jun 15, 09 | 1,370 000 | 48 423 | 66,340 10 | 53 450 | 73,226 50 | 6,886 40 | ST |
| | Dec 3, 09 | 190 000 | 54 498 | 10,354 62 | 53 450 | 10,155 50 | -199 12 | ST |
| Security total | | 8,935 000 | | 452,007 65 | | 477,575 75 | 25,568 10 | |
| WALT DISNEY CO (HOLDING CO) DISNEY COM Symbol DIS Exchange NYSE EAI $2,779 Current yield 1 09% | Oct 1, 09 | 7,940 000 | 27 140 | 215,495 00 | 32 250 | 256,065 00 | 40,570 00 | ST |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| WEATHERFORD INTL LTD | | | | | | | | |
| Symbol WFT Exchange NYSE | Sep 14, 07 | 995 000 | 32 421 | 32,259 79[1] | 17 910 | 17,820 45 | -14,439 34 | LT |
| | Nov 26, 08 | 7,445 000 | 12 713 | 94,654 67 | 17 910 | 133,339 95 | 38,685 28 | LT |
| | Dec 1, 08 | 1,350 000 | 10 690 | 14,431 98 | 17 910 | 24,178 50 | 9,746 52 | LT |
| | Dec 3, 09 | 4,575 000 | 16 943 | 77,516 16 | 17 910 | 81,938 25 | 4,422 09 | ST |
| Security total | | 14,365 000 | | 218,862 60 | | 257,277 15 | 38,414 55 | |
| WISC ENERGY CORP | | | | | | | | |
| Symbol WEC Exchange NYSE | | | | | | | | |
| EAI $6,912 Current yield 2 71% | Dec 11, 09 | 5,120 000 | 48 239 | 246,988 38 | 49 830 | 255,129 60 | 8,141 22 | ST |
| 3M CO | | | | | | | | |
| Symbol MMM Exchange NYSE | | | | | | | | |
| EAI $6,385 Current yield 2 47% | Mar 17, 09 | 3,075 000 | 48 414 | 148,873 25 | 82 670 | 254,210 25 | 105,337 00 | ST |
| | Jun 15, 09 | 55 000 | 58 999 | 3,244 97 | 82 670 | 4,546 85 | 1,301 88 | ST |
| Security total | | 3,130 000 | | 152,118 22 | | 258,757 10 | 106,638 88 | |
| **Total** | | | | **$11,059,624.60** | | **$11,499,856.32** | **$440,231.72** | |

**Total estimated annual income: $219,377**

[1] Indicates cost basis information has been provided by a source other than UBS Financial Services

### Closed end mutual funds

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| ISHARES NASDAQ BIOTECHNOLOGY INDEX FUND | | | | | | | | |
| Symbol IBB Exchange OTC | Aug 20, 09 | 4,415 000 | 77 249 | 341,056 94 | 81 830 | 361,279 45 | 20,222 51 | ST |
| | Dec 3, 09 | 120 000 | 80 410 | 9,649 28 | 81 830 | 9,819 60 | 170 32 | ST |
| Security total | | 4,535 000 | | 350,706 22 | | 371,099 05 | 20,392 83 | |
| ISHARES S&P NORTH AMERN TECHNOLOGY SECTOR INDEX FUND | | | | | | | | |
| Symbol IGM Exchange NYSE | | | | | | | | |
| EAI $1,418 Current yield 0 37% | Oct 17, 06 | 3,435 000 | 49 452 | 169,870 71[1] | 54 220 | 186,245 70 | 16,374 99 | LT |
| | Oct 23, 06 | 430 000 | 50 010 | 21,504 30[1] | 54 220 | 23,314 60 | 1,810 30 | LT |
| | Nov 26, 08 | 725 000 | 32 869 | 23,830 53 | 54 220 | 39,309 50 | 15,478 97 | LT |
| | Mar 17, 09 | 2,395 000 | 33 119 | 79,321 64 | 54 220 | 129,856 90 | 50,535 26 | ST |
| Security total | | 6,985 000 | | 294,527 18 | | 378,726 70 | 84,199 52 | |

*continued next page*

UBS

**Friendly account name:** PFF US LC Core
**Account number:** Y1 08366 1C

## Your assets ▸ Equities ▸ Closed end mutual funds (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| **Total** | | | | **$645,233.40** | | **$749,825.75** | **$104,592.35** | |

**Total estimated annual income: $1,418**

[1] Indicates cost basis information has been provided by a source other than UBS Financial Services

## Your total assets

| | | Value on Dec 31 ($) | Percentage of your account | Cost basis ($) | Estimated annual income ($) | Unrealized gain or loss ($) |
|---|---|---|---|---|---|---|
| **Cash** | **Cash and money balances** | **254,253.48** | **2.03%** | **254,253.48** | | |
| **Equities** | Common stock | 11,499,856 32 | | 11,059,624 60 | 219,377 00 | 440,231 72 |
| | Closed end mutual funds | 749,825 75 | | 645,233 40 | 1,418 00 | 104,592 35 |
| | **Total equities** | **12,249,682.07** | **97.97%** | **11,704,858.00** | **220,795.00** | **544,824.07** |
| **Total** | | **$12,503,935.55** | **100.00%** | **$11,959,111.48** | **$220,795.00** | **$544,824.07** |

# Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

| Date | Activity | Description | Your expense code | Quantity/ Face value | Price/Value ($) | Cash amount ($) | Cash and money balance ($) |
|---|---|---|---|---|---|---|---|
| **Nov 30** | | **Cash and money balance** | | | | | **$131,366.10** |
| Dec 1 | Dividend | CONOCOPHILLIPS PAID ON 5305 | | | | 2,652 50 | |
| Dec 1 | Dividend | INTEL CORP PAID ON 11180 | | | | 1,565 20 | |
| Dec 1 | Dividend | WELLS FARGO & CO NEW PAID ON 8525 | | | | 426 25 | 136,010 05 |
| Dec 8 | Sold | ABBOTT LABS DE Other fees and charges $ 35 | | -245 000 | 54 402500 | 13,328 26 | |
| | | Average Priced Trade ▸ SYMBOL ABT ▸ CUSIP NO 002824100 ▸ Location of Execution 09 ▸ Capacity Agent | | | | | |
| Dec 8 | Sold | ALCOA INC DE Other fees and charges $ 32 | | -925 000 | 13 441500 | 12,433 07 | |
| | | Average Priced Trade ▸ SYMBOL AA ▸ CUSIP NO 013817101 ▸ Location of Execution 09 ▸ Capacity Agent | | | | | |
| Dec 8 | Sold | ALTRIA GROUP INC DE Other fees and charges $ 17 | | -325 000 | 19 231500 | 6,250 07 | |
| | | Average Priced Trade ▸ SYMBOL MO ▸ CUSIP NO 02209S103 ▸ Location of Execution 09 ▸ Capacity Agent | | | | | |
| Dec 8 | Bought | AT&T INC DE | | 190 000 | 27 605500 | -5,245 05 | |
| | | Average Priced Trade ▸ SYMBOL T ▸ CUSIP NO 00206R102 ▸ Location of Execution 09 ▸ Capacity Agent | | | | | |

*continued next page*

# Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

## Cash

### Cash and money balances

| Holding | Opening balance on Dec 1 ($) | Closing balance on Dec 31 ($) | Price per share on Dec 31 ($) | Average rate | Dividend/Interest period | Days in period |
|---|---|---|---|---|---|---|
| Cash | 0 00 | 16,403 36 | | | | |
| RMA MONEY MKT PORTFOLIO | 927,680 20 | 781,291 17 | 1 00 | 0 01% | Nov 23 to Dec 23 | 31 |
| **Total** | **$927,680.20** | **$797,694.53** | | | | |

## Equities

### Common stock

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| AETNA INC | | | | | | | | |
| Symbol AET Exchange NYSE | | | | | | | | |
| EAI $298 Current yield 0 13% | Jul 22, 09 | 2,365 000 | 24 567 | 58,102 61 | 31 700 | 74,970 50 | 16,867 89 | ST |
| | Jul 27, 09 | 5,097 000 | 25 198 | 128,437 26 | 31 700 | 161,574 90 | 33,137 64 | ST |
| Security total | | 7,462 000 | | 186,539 87 | | 236,545 40 | 50,005 53 | |
| AGCO CORP | | | | | | | | |
| Symbol AGCO Exchange NYSE | Jun 26, 08 | 59 000 | 51 067 | 3,012 98[1] | 32 340 | 1,908 06 | -1,104 92 | LT |
| | Oct 2, 08 | 1,071 000 | 36 129 | 38,694 80[1] | 32 340 | 34,636 14 | -4,058 66 | LT |
| | Feb 4, 09 | 1,070 000 | 22 869 | 24,470 69 | 32 340 | 34,603 80 | 10,133 11 | ST |
| | Feb 26, 09 | 3,542 000 | 17 435 | 61,754 77 | 32 340 | 114,548 28 | 52,793 51 | ST |
| Security total | | 5,742 000 | | 127,933 24 | | 185,696 28 | 57,763 04 | |
| ALAMO GROUP INC | | | | | | | | |
| Symbol ALG Exchange NYSE | | | | | | | | |
| EAI $331 Current yield 1 40% | Nov 20, 08 | 1,378 000 | 11 781 | 16,234 91 | 17 150 | 23,632 70 | 7,397 79 | LT |
| ALCOA INC | | | | | | | | |
| Symbol AA Exchange NYSE | | | | | | | | |
| EAI $698 Current yield 0 74% | Feb 25, 09 | 5,817 000 | 6 531 | 37,995 48 | 16 120 | 93,770 04 | 55,774 56 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| AMEREN CORP | | | | | | | | |
| Symbol AEE Exchange NYSE | | | | | | | | |
| EAI $20,199 Current yield 5 51% | Feb 18, 09 | 1,956 000 | 26 481 | 51,798 21 | 27 950 | 54,670 20 | 2,871 99 | ST |
| | Mar 6, 09 | 640 000 | 20 913 | 13,384 83 | 27 950 | 17,888 00 | 4,503 17 | ST |
| | May 13, 09 | 674 000 | 24 185 | 16,300 96 | 27 950 | 18,838 30 | 2,537 34 | ST |
| | Aug 5, 09 | 2,698 000 | 25 697 | 69,332 93 | 27 950 | 75,409 10 | 6,076 17 | ST |
| | Sep 11, 09 | 3,885 000 | 25 403 | 98,690 66 | 27 950 | 108,585 75 | 9,895 09 | ST |
| | Oct 2, 09 | 1,290 000 | 24 562 | 31,684 98 | 27 950 | 36,055 50 | 4,370 52 | ST |
| | Oct 5, 09 | 1,973 000 | 24 566 | 48,468 92 | 27 950 | 55,145 35 | 6,676 43 | ST |
| Security total | | 13,116 000 | | 329,661 49 | | 366,592 20 | 36,930 71 | |
| AON CORP | | | | | | | | |
| Symbol AON Exchange NYSE | | | | | | | | |
| EAI $1,122 Current yield 1 56% | Jul 9, 09 | 1,870 000 | 36 902 | 69,006 74 | 38 340 | 71,695 80 | 2,689 06 | ST |
| ARCH COAL INC | | | | | | | | |
| Symbol ACI Exchange NYSE | | | | | | | | |
| EAI $3,121 Current yield 1 62% | Feb 25, 09 | 1,745 000 | 14 288 | 24,932 91 | 22 250 | 38,826 25 | 13,893 34 | ST |
| | Mar 31, 09 | 1,615 000 | 13 600 | 21,964 65 | 22 250 | 35,933 75 | 13,969 10 | ST |
| | Jun 16, 09 | 2,249 000 | 16 677 | 37,507 70 | 22 250 | 50,040 25 | 12,532 55 | ST |
| | Jul 8, 09 | 3,045 000 | 13 555 | 41,276 80 | 22 250 | 67,751 25 | 26,474 45 | ST |
| | Jul 9, 09 | 16 000 | 14 255 | 228 08 | 22 250 | 356 00 | 127 92 | ST |
| Security total | | 8,670 000 | | 125,910 14 | | 192,907 50 | 66,997 36 | |
| AXIS CAPITAL HOLDINGS LTD SHS | | | | | | | | |
| Symbol AXS Exchange NYSE | | | | | | | | |
| EAI $2,293 Current yield 2 96% | Oct 28, 09 | 1,825 000 | 29 406 | 53,667 59 | 28 410 | 51,848 25 | -1,819 34 | ST |
| | Oct 29, 09 | 730 000 | 29 437 | 21,489 01 | 28 410 | 20,739 30 | -749 71 | ST |
| | Oct 29, 09 | 175 000 | 29 437 | 5,151 55 | 28 410 | 4,971 75 | -179 80 | ST |
| Security total | | 2,730 000 | | 80,308 15 | | 77,559 30 | -2,748 85 | |
| BANRO CORP | | | | | | | | |
| Symbol BAA Exchange AMEX | Aug 28, 07 | 1,852 000 | 9 923 | 18,378 51[1] | 1 950 | 3,611 40 | -14,767 11 | LT |
| | Feb 20, 08 | 2,153 000 | 9 860 | 21,229 87[1] | 1 950 | 4,198 35 | -17,031 52 | LT |
| | Mar 10, 08 | 1,662 000 | 9 953 | 16,543 22[1] | 1 950 | 3,240 90 | -13,302 32 | LT |
| | May 21, 08 | 3,149 000 | 8 519 | 26,829 17[1] | 1 950 | 6,140 55 | -20,688 62 | LT |
| | May 22, 08 | 274 000 | 8 496 | 2,327 96[1] | 1 950 | 534 30 | -1,793 66 | LT |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Jul 24, 08 | 3,162 000 | 3 915 | 12,380 49[1] | 1 950 | 6,165 90 | -6,214 59 | LT |
| Security total | | 12,252 000 | | 97,689 22 | | 23,891 40 | -73,797 82 | |
| BJ SERVICES COMPANY<br>Symbol BJS Exchange NYSE<br>EAI $2,353 Current yield 1 08% | Dec 5, 07 | 35 000 | 24 177 | 846 22[1] | 18 600 | 651 00 | -195 22 | LT |
| | Jan 17, 08 | 2,494 000 | 22 226 | 55,433 89[1] | 18 600 | 46,388 40 | -9,045 49 | LT |
| | Nov 20, 08 | 4,702 000 | 9 764 | 45,913 62 | 18 600 | 87,457 20 | 41,543 58 | LT |
| | Feb 4, 09 | 1,860 000 | 11 262 | 20,947 51 | 18 600 | 34,596 00 | 13,648 49 | ST |
| | Mar 31, 09 | 1,479 000 | 10 161 | 15,028 86 | 18 600 | 27,509 40 | 12,480 54 | ST |
| | Jun 16, 09 | 1,194 000 | 14 780 | 17,647 32 | 18 600 | 22,208 40 | 4,561 08 | ST |
| Security total | | 11,764 000 | | 155,817 42 | | 218,810 40 | 62,992 98 | |
| BJ'S WHSL CLUB INC<br>Symbol BJ Exchange NYSE | Dec 3, 09 | 2,654 000 | 33 375 | 88,578 05 | 32 710 | 86,812 34 | -1,765 71 | ST |
| | Dec 4, 09 | 20 000 | 33 745 | 674 92 | 32 710 | 654 20 | -20 72 | ST |
| Security total | | 2,674 000 | | 89,252 97 | | 87,466 54 | -1,786 43 | |
| CAMECO CORP CANADA<br>Symbol CCJ Exchange NYSE<br>EAI $1,180 Current yield 0 71% | May 1, 08 | 76 000 | 34 349 | 2,610 59[1] | 32 170 | 2,444 92 | -165 67 | LT |
| | May 2, 08 | 138 000 | 34 765 | 4,797 61[1] | 32 170 | 4,439 46 | -358 15 | LT |
| | Sep 5, 08 | 1,690 000 | 26 338 | 44,512 74[1] | 32 170 | 54,367 30 | 9,854 56 | LT |
| | Feb 19, 09 | 3,294 000 | 14 247 | 46,929 95 | 32 170 | 105,967 98 | 59,038 03 | ST |
| Security total | | 5,198 000 | | 98,850 89 | | 167,219 66 | 68,368 77 | |
| CANADIAN PACIFIC RAILWAY LTD<br>Symbol CP Exchange NYSE<br>EAI $1,103 Current yield 1 73% | Mar 27, 09 | 1,182 000 | 32 226 | 38,091 60 | 54 000 | 63,828 00 | 25,736 40 | ST |
| CENTRAIS ELETRICAS BRAS SA<br>SPON ADR REP 50 PREF CL B ADR<br>Symbol EBRB Exchange NYSE | Feb 12, 07 | 2,411 000 | 10 871 | 26,210 95[1] | 18 700 | 45,085 70 | 18,874 75 | LT |
| | Mar 26, 07 | 2,217 000 | 10 507 | 23,295 13[1] | 18 700 | 41,457 90 | 18,162 77 | LT |
| Security total | | 4,628 000 | | 49,506 08 | | 86,543 60 | 37,037 52 | |
| CHESAPEAKE ENERGY CORP OKLA<br>Symbol CHK Exchange NYSE<br>EAI $1,160 Current yield 1 16% | Dec 4, 09 | 3,866 000 | 22 431 | 86,719 79 | 25 880 | 100,052 08 | 13,332 29 | ST |

*continued next page*

UBS

**Friendly account name:** PFF NWQ Sm/Mid
**Account number:** Y1 08373 1C

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| CNA FINANCIAL CORP PAR VALUE - 2 50 USD | | | | | | | | |
| Symbol CNA Exchange NYSE | Sep 18, 08 | 428 000 | 25 584 | 10,950 21[1] | 24 000 | 10,272 00 | -678 21 | LT |
| | Mar 2, 09 | 2,199 000 | 7 743 | 17,026 86 | 24 000 | 52,776 00 | 35,749 14 | ST |
| Security total | | 2,627 000 | | 27,977 07 | | 63,048 00 | 35,070 93 | |
| CONS ENERGY INC | | | | | | | | |
| Symbol CNX Exchange NYSE | | | | | | | | |
| EAI $330 Current yield 0 80% | Oct 2, 08 | 295 000 | 38 470 | 11,348 80[1] | 49 800 | 14,691 00 | 3,342 20 | LT |
| | Apr 20, 09 | 531 000 | 24 729 | 13,131 10 | 49 800 | 26,443 80 | 13,312 70 | ST |
| Security total | | 826 000 | | 24,479 90 | | 41,134 80 | 16,654 90 | |
| CRESUD SACIFYA SPON ADR | | | | | | | | |
| Symbol CRESY Exchange OTC | Jul 15, 08 | 455 000 | 12 823 | 5,834 69[1] | 14 410 | 6,556 55 | 721 86 | LT |
| | Jul 23, 08 | 1,567 000 | 13 351 | 20,921 94[1] | 14 410 | 22,580 47 | 1,658 53 | LT |
| | Oct 6, 08 | 1,907 000 | 9 326 | 17,786 51[1] | 14 410 | 27,479 87 | 9,693 36 | LT |
| Security total | | 3,929 000 | | 44,543 14 | | 56,616 89 | 12,073 75 | |
| CRYSTALLEX INTL CORP | | | | | | | | |
| Symbol KRY Exchange AMEX | Oct 20, 05 | 3,428 000 | 1 392 | 4,774 52[1] | 0 380 | 1,302 64 | -3,471 88 | LT |
| | Jan 19, 07 | 4,634 000 | 2 912 | 13,496 53[1] | 0 380 | 1,760 92 | -11,735 61 | LT |
| | Mar 23, 07 | 4,140 000 | 2 930 | 12,130 20[1] | 0 380 | 1,573 20 | -10,557 00 | LT |
| | May 1, 07 | 1,834 000 | 4 007 | 7,349 20[1] | 0 380 | 696 92 | -6,652 28 | LT |
| | Oct 1, 07 | 4,819 000 | 3 059 | 14,742 28[1] | 0 380 | 1,831 22 | -12,911 06 | LT |
| | Oct 2, 07 | 499 000 | 2 909 | 1,451 99[1] | 0 380 | 189 62 | -1,262 37 | LT |
| | Jan 22, 08 | 11,621 000 | 2 240 | 26,040 34[1] | 0 380 | 4,415 98 | -21,624 36 | LT |
| | Jan 25, 08 | 10,372 000 | 1 977 | 20,511 67[1] | 0 380 | 3,941 36 | -16,570 31 | LT |
| | Jan 29, 08 | 16,464 000 | 2 028 | 33,400 52[1] | 0 380 | 6,256 32 | -27,144 20 | LT |
| | May 15, 08 | 17,492 000 | 0 841 | 14,726 51[1] | 0 380 | 6,646 96 | -8,079 55 | LT |
| | May 19, 08 | 4,933 000 | 0 813 | 4,010 53[1] | 0 380 | 1,874 54 | -2,135 99 | LT |
| | May 22, 08 | 1,806 000 | 0 771 | 1,393 15[1] | 0 380 | 686 28 | -706 87 | LT |
| | May 23, 08 | 3,564 000 | 0 753 | 2,685 83[1] | 0 380 | 1,354 32 | -1,331 51 | LT |
| | May 29, 08 | 5,379 000 | 0 818 | 4,404 33[1] | 0 380 | 2,044 02 | -2,360 31 | LT |
| | May 30, 08 | 4,562 000 | 0 813 | 3,710 27[1] | 0 380 | 1,733 56 | -1,976 71 | LT |
| Security total | | 95,547 000 | | 164,827 87 | | 36,307 86 | -128,520 01 | |

*continued next page*

## Your assets › **Equities** › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| DAIWA SECURITIES GROUP INC | | | | | | | | |
| JAPAN ADR | | | | | | | | |
| Symbol DSECY Exchange OTC | | | | | | | | |
| EAI $1,297 Current yield 1 55% | Nov 20, 09 | 840 000 | 50 154 | 42,129 70 | 49 949 | 41,957 16 | -172 54 | ST |
| | Nov 24, 09 | 833 000 | 50 108 | 41,740 30 | 49 949 | 41,607 51 | -132 79 | ST |
| Security total | | 1,673 000 | | 83,870 00 | | 83,564 67 | -305 33 | |
| DOMTAR CORP NEW | | | | | | | | |
| Symbol UFS Exchange NYSE | Dec 15, 08 | 481 000 | 20 316 | 9,772 37 | 55 410 | 26,652 21 | 16,879 84 | LT |
| | Dec 23, 08 | 1,008 000 | 20 762 | 20,928 69 | 55 410 | 55,853 28 | 34,924 59 | LT |
| | Dec 23, 08 | 146 000 | 20 866 | 3,046 53 | 55 410 | 8,089 86 | 5,043 33 | LT |
| Security total | | 1,635 000 | | 33,747 59 | | 90,595 35 | 56,847 76 | |
| GEOVIC MINING CORP | | | | | | | | |
| Symbol GVCM Exchange OTC | Sep 3, 08 | 18,125 000 | 0 922 | 16,720 31[1] | 0 600 | 10,875 00 | -5,845 31 | LT |
| | Sep 5, 08 | 876 000 | 0 807 | 707 72[1] | 0 600 | 525 60 | -182 12 | LT |
| Security total | | 19,001 000 | | 17,428 03 | | 11,400 60 | -6,027 43 | |
| GOLD FIELDS LTD SPON ADR | | | | | | | | |
| Symbol GFI Exchange NYSE | | | | | | | | |
| EAI $2,195 Current yield 1 01% | May 14, 08 | 1,338 000 | 13 585 | 18,176 73[1] | 13 110 | 17,541 18 | -635 55 | LT |
| | Jul 24, 08 | 1,861 000 | 12 057 | 22,438 64[1] | 13 110 | 24,397 71 | 1,959 07 | LT |
| | Aug 5, 08 | 7,982 000 | 9 885 | 78,904 46[1] | 13 110 | 104,644 02 | 25,739 56 | LT |
| | Apr 16, 09 | 1,391 000 | 10 567 | 14,699 39 | 13 110 | 18,236 01 | 3,536 62 | ST |
| | Jun 16, 09 | 4,053 000 | 11 565 | 46,876 59 | 13 110 | 53,134 83 | 6,258 24 | ST |
| Security total | | 16,625 000 | | 181,095 81 | | 217,953 75 | 36,857 94 | |
| HUMANA INC | | | | | | | | |
| Symbol HUM Exchange NYSE | Jul 1, 08 | 64 000 | 39 900 | 2,553 64[1] | 43 890 | 2,808 96 | 255 32 | LT |
| | Jul 7, 08 | 511 000 | 39 024 | 19,941 72[1] | 43 890 | 22,427 79 | 2,486 07 | LT |
| | Feb 26, 09 | 1,422 000 | 23 774 | 33,807 77 | 43 890 | 62,411 58 | 28,603 81 | ST |
| Security total | | 1,997 000 | | 56,303 13 | | 87,648 33 | 31,345 20 | |
| IDACORP INC (HOLDING COMPANY) | | | | | | | | |
| Symbol IDA Exchange NYSE | | | | | | | | |
| EAI $3,452 Current yield 3 76% | Jul 24, 07 | 409 000 | 31 282 | 12,794 42[1] | 31 950 | 13,067 55 | 273 13 | LT |
| | Jul 25, 07 | 1,686 000 | 31 430 | 52,990 98[1] | 31 950 | 53,867 70 | 876 72 | LT |
| | Jul 27, 07 | 24 000 | 30 783 | 738 81[1] | 31 950 | 766 80 | 27 99 | LT |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Mar 11, 08 | 296 000 | 30 936 | 9,157 26[1] | 31 950 | 9,457 20 | 299 94 | LT |
| | Mar 13, 08 | 112 000 | 30 796 | 3,449 16[1] | 31 950 | 3,578 40 | 129 24 | LT |
| | Oct 1, 09 | 350 000 | 28 520 | 9,982 00 | 31 950 | 11,182 50 | 1,200 50 | ST |
| Security total | | 2,877 000 | | 89,112 63 | | 91,920 15 | 2,807 52 | |
| INGRAM MICRO INC | | | | | | | | |
| Symbol IM Exchange NYSE | Apr 15, 08 | 1,668 000 | 15 902 | 26,525 54[1] | 17 450 | 29,106 60 | 2,581 06 | LT |
| | Mar 2, 09 | 3,960 000 | 10 689 | 42,330 42 | 17 450 | 69,102 00 | 26,771 58 | ST |
| Security total | | 5,628 000 | | 68,855 96 | | 98,208 60 | 29,352 64 | |
| IVANHOE MINES LTD | | | | | | | | |
| Symbol IVN Exchange AMEX | Apr 2, 08 | 1,730 000 | 10 008 | 17,314 53[1] | 14 610 | 25,275 30 | 7,960 77 | LT |
| | May 30, 08 | 1,042 000 | 9 211 | 9,598 49[1] | 14 610 | 15,223 62 | 5,625 13 | LT |
| | Jun 2, 08 | 2,295 000 | 9 308 | 21,363 70[1] | 14 610 | 33,529 95 | 12,166 25 | LT |
| Security total | | 5,067 000 | | 48,276 72 | | 74,028 87 | 25,752 15 | |
| KAO CORP REPSTG 10 SHS COM SPON ADR | | | | | | | | |
| Symbol KCRPY Exchange OTC | | | | | | | | |
| EAI $1,602 Current yield 2 42% | May 21, 09 | 2,240 000 | 21 775 | 48,776 92 | 23 363 | 52,333 12 | 3,556 20 | ST |
| | Nov 10, 09 | 590 000 | 22 950 | 13,540 98 | 23 363 | 13,784 17 | 243 19 | ST |
| Security total | | 2,830 000 | | 62,317 90 | | 66,117 29 | 3,799 39 | |
| KINROSS GOLD CORP NEW | | | | | | | | |
| Symbol KGC Exchange NYSE | | | | | | | | |
| EAI $1,804 Current yield 0 54% | Aug 1, 08 | 1,654 000 | 17 905 | 29,616 03[1] | 18 400 | 30,433 60 | 817 57 | LT |
| | Aug 4, 08 | 696 000 | 17 895 | 12,455 55[1] | 18 400 | 12,806 40 | 350 85 | LT |
| | Aug 7, 08 | 2,830 000 | 16 767 | 47,451 46[1] | 18 400 | 52,072 00 | 4,620 54 | LT |
| | Sep 10, 08 | 3,930 000 | 12 535 | 49,262 55[1] | 18 400 | 72,312 00 | 23,049 45 | LT |
| | Sep 11, 08 | 2,770 000 | 12 231 | 33,882 36[1] | 18 400 | 50,968 00 | 17,085 64 | LT |
| | Apr 16, 09 | 4,109 000 | 14 046 | 57,718 71 | 18 400 | 75,605 60 | 17,886 89 | ST |
| | Oct 30, 09 | 2,053 000 | 18 263 | 37,495 58 | 18 400 | 37,775 20 | 279 62 | ST |
| Security total | | 18,042 000 | | 267,882 24 | | 331,972 80 | 64,090 56 | |
| KROGER COMPANY | | | | | | | | |
| Symbol KR Exchange NYSE | | | | | | | | |
| EAI $4,892 Current yield 1 85% | Aug 6, 09 | 3,541 000 | 21 465 | 76,008 63 | 20 530 | 72,696 73 | -3,311 90 | ST |
| | Sep 17, 09 | 8,716 000 | 20 809 | 181,379 09 | 20 530 | 178,939 48 | -2,439 61 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Dec 8, 09 | 617 000 | 20 183 | 12,453 47 | 20 530 | 12,667 01 | 213 54 | ST |
| Security total | | 12,874 000 | | 269,841 19 | | 264,303 22 | -5,537 97 | |
| KT CORP SPON ADR | | | | | | | | |
| Symbol KTC Exchange NYSE | | | | | | | | |
| EAI $799 Current yield 1 83% | Oct 12, 04 | 240 000 | 18 330 | 4,399 20[1] | 16 820 | 4,036 80 | -362 40 | LT |
| | May 12, 06 | 1,801 000 | 23 250 | 41,873 25[1] | 16 820 | 30,292 82 | -11,580 43 | LT |
| | Jan 23, 08 | 554 000 | 24 050 | 13,323 70[1] | 16 820 | 9,318 28 | -4,005 42 | LT |
| Security total | | 2,595 000 | | 59,596 15 | | 43,647 90 | -15,948 25 | |
| LIHIR GOLD LTD SPON ADR | | | | | | | | |
| Symbol LIHR Exchange OTC | | | | | | | | |
| EAI $1,359 Current yield 0 41% | Nov 20, 08 | 6,129 000 | 10 624 | 65,120 01 | 29 210 | 179,028 09 | 113,908 08 | LT |
| | Jun 16, 09 | 1,714 000 | 23 277 | 39,897 12 | 29 210 | 50,065 94 | 10,168 82 | ST |
| | Jul 13, 09 | 595 000 | 22 081 | 13,138 25 | 29 210 | 17,379 95 | 4,241 70 | ST |
| | Aug 10, 09 | 2,160 000 | 22 128 | 47,797 99 | 29 210 | 63,093 60 | 15,295 61 | ST |
| | Aug 11, 09 | 822 000 | 21 920 | 18,018 57 | 29 210 | 24,010 62 | 5,992 05 | ST |
| Security total | | 11,420 000 | | 183,971 94 | | 333,578 20 | 149,606 26 | |
| MAGNA INTL INC CL A SUB VTG CANADA ORD | | | | | | | | |
| Symbol MGA Exchange NYSE | Oct 3, 08 | 1,777 000 | 40 945 | 72,760 16[1] | 50 580 | 89,880 66 | 17,120 50 | LT |
| | Feb 4, 09 | 560 000 | 29 170 | 16,335 37 | 50 580 | 28,324 80 | 11,989 43 | ST |
| Security total | | 2,337 000 | | 89,095 53 | | 118,205 46 | 29,109 93 | |
| MARSH & MCLENNAN COS INC | | | | | | | | |
| Symbol MMC Exchange NYSE | | | | | | | | |
| EAI $2,836 Current yield 3 62% | Jul 9, 09 | 1,834 000 | 18 912 | 34,685 16 | 22 080 | 40,494 72 | 5,809 56 | ST |
| | Jul 13, 09 | 1,711 000 | 19 179 | 32,815 27 | 22 080 | 37,778 88 | 4,963 61 | ST |
| Security total | | 3,545 000 | | 67,500 43 | | 78,273 60 | 10,773 17 | |
| MOSAIC CO | | | | | | | | |
| Symbol MOS Exchange NYSE | | | | | | | | |
| EAI $248 Current yield 0 33% | Oct 2, 08 | 563 000 | 43 232 | 24,339 95[1] | 59 730 | 33,627 99 | 9,288 04 | LT |
| | Jul 8, 09 | 678 000 | 40 352 | 27,359 00 | 59 730 | 40,496 94 | 13,137 94 | ST |
| Security total | | 1,241 000 | | 51,698 95 | | 74,124 93 | 22,425 98 | |
| NEXEN INC | | | | | | | | |
| Symbol NXY Exchange NYSE | Dec 22, 04 | 214 000 | 9 861 | 2,110 45[1] | 23 930 | 5,121 02 | 3,010 57 | LT |

*continued next page*

## Your assets › **Equities** › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Mar 23, 07 | 84 000 | 30 165 | 2,533 86[1] | 23 930 | 2,010 12 | -523 74 | LT |
| | Apr 4, 08 | 1,290 000 | 31 101 | 40,120 55[1] | 23 930 | 30,869 70 | -9,250 85 | LT |
| Security total | | 1,588 000 | | 44,764 86 | | 38,000 84 | -6,764 02 | |
| NOVAGOLD RESOURCES INC NEW | | | | | | | | |
| Symbol NG Exchange AMEX | Apr 20, 07 | 3,352 000 | 16 270 | 54,537 04[1] | 6 130 | 20,547 76 | -33,989 28 | LT |
| | Nov 29, 07 | 605 000 | 10 003 | 6,052 30[1] | 6 130 | 3,708 65 | -2,343 65 | LT |
| | Nov 20, 08 | 6,531 000 | 1 788 | 11,678 73 | 6 130 | 40,035 03 | 28,356 30 | LT |
| | May 1, 09 | 10,480 000 | 2 728 | 28,594 68 | 6 130 | 64,242 40 | 35,647 72 | ST |
| Security total | | 20,968 000 | | 100,862 75 | | 128,533 84 | 27,671 09 | |
| OMNICARE INC | | | | | | | | |
| Symbol OCR Exchange NYSE | | | | | | | | |
| EAI $288 Current yield 0 37% | Aug 4, 09 | 3,195 000 | 23 730 | 75,820 23 | 24 180 | 77,255 10 | 1,434 87 | ST |
| PEABODY ENERGY CORP | | | | | | | | |
| Symbol BTU Exchange NYSE | | | | | | | | |
| EAI $1,124 Current yield 0 62% | Jul 26, 07 | 1,226 000 | 41 618 | 51,024 89[1] | 45 210 | 55,427 46 | 4,402 57 | LT |
| | Nov 20, 08 | 1,410 000 | 17 740 | 25,013 96 | 45 210 | 63,746 10 | 38,732 14 | LT |
| | Feb 25, 09 | 1,380 000 | 24 357 | 33,612 94 | 45 210 | 62,389 80 | 28,776 86 | ST |
| Security total | | 4,016 000 | | 109,651 79 | | 181,563 36 | 71,911 57 | |
| PETROBAS ENERGIA SA ADR | | | | | | | | |
| Symbol PZE Exchange NYSE | | | | | | | | |
| EAI $871 Current yield 2 24% | Nov 30, 09 | 1,860 000 | 16 797 | 31,243 35 | 15 630 | 29,071 80 | -2,171 55 | ST |
| | Dec 1, 09 | 629 000 | 16 993 | 10,689 16 | 15 630 | 9,831 27 | -857 89 | ST |
| Security total | | 2,489 000 | | 41,932 51 | | 38,903 07 | -3,029 44 | |
| PIONEER NAT RES CO | | | | | | | | |
| Symbol PXD Exchange NYSE | | | | | | | | |
| EAI $131 Current yield 0 17% | Nov 20, 08 | 269 000 | 17 679 | 4,755 68 | 48 170 | 12,957 73 | 8,202 05 | LT |
| | Dec 29, 08 | 1,366 000 | 14 578 | 19,913 68 | 48 170 | 65,800 22 | 45,886 54 | LT |
| Security total | | 1,635 000 | | 24,669 36 | | 78,757 95 | 54,088 59 | |
| SCHOLASTIC CORP | | | | | | | | |
| Symbol SCHL Exchange OTC | | | | | | | | |
| EAI $896 Current yield 1 01% | Apr 4, 08 | 1,267 000 | 29 945 | 37,941 46[1] | 29 830 | 37,794 61 | -146 85 | LT |
| | Jul 24, 08 | 560 000 | 26 001 | 14,560 56[1] | 29 830 | 16,704 80 | 2,144 24 | LT |
| | Jul 28, 08 | 1,160 000 | 25 130 | 29,151 50[1] | 29 830 | 34,602 80 | 5,451 30 | LT |
| Security total | | 2,987 000 | | 81,653 52 | | 89,102 21 | 7,448 69 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| SEKISUI HOUSE LTD SPON ADR | | | | | | | | |
| Symbol SKHSY Exchange OTC | | | | | | | | |
| EAI $3,387 Current yield 2 08% | Nov 21, 07 | 2,699 000 | 11 499 | 31,036 34[1] | 9 012 | 24,323 39 | -6,712 95 | LT |
| | Jan 4, 08 | 3,613 000 | 10 754 | 38,856 73[1] | 9 012 | 32,560 36 | -6,296 37 | LT |
| | Mar 13, 08 | 1,942 000 | 8 937 | 17,357 40[1] | 9 012 | 17,501 30 | 143 90 | LT |
| | Jul 8, 09 | 3,052 000 | 9 577 | 29,229 00 | 9 012 | 27,504 62 | -1,724 38 | ST |
| | Sep 9, 09 | 1,786 000 | 9 160 | 16,360 47 | 9 012 | 16,095 43 | -265 04 | ST |
| | Nov 20, 09 | 5,020 000 | 8 660 | 43,473 70 | 9 012 | 45,240 24 | 1,766 54 | ST |
| Security total | | 18,112 000 | | 176,313 64 | | 163,225 34 | -13,088 30 | |
| SHAW GROUP INC | | | | | | | | |
| Symbol SHAW Exchange NYSE | Oct 2, 08 | 453 000 | 24 216 | 10,969 99[1] | 28 750 | 13,023 75 | 2,053 76 | LT |
| | Dec 3, 08 | 732 000 | 16 623 | 12,168 55 | 28 750 | 21,045 00 | 8,876 45 | LT |
| | Jun 16, 09 | 571 000 | 29 408 | 16,792 25 | 28 750 | 16,416 25 | -376 00 | ST |
| | Jul 13, 09 | 695 000 | 23 753 | 16,508 89 | 28 750 | 19,981 25 | 3,472 36 | ST |
| Security total | | 2,451 000 | | 56,439 68 | | 70,466 25 | 14,026 57 | |
| SILVER STD RES INC | | | | | | | | |
| Symbol SSRI Exchange OTC | Sep 8, 08 | 1,619 000 | 19 588 | 31,714 27[1] | 21 870 | 35,407 53 | 3,693 26 | LT |
| | Nov 9, 09 | 520 000 | 19 712 | 10,250 60 | 21 870 | 11,372 40 | 1,121 80 | ST |
| Security total | | 2,139 000 | | 41,964 87 | | 46,779 93 | 4,815 06 | |
| SK TELECOM CO LTD ADR | | | | | | | | |
| Symbol SKM Exchange NYSE | | | | | | | | |
| EAI $2,668 Current yield 3 62% | Jun 3, 09 | 4,530 000 | 15 788 | 71,521 00 | 16 260 | 73,657 80 | 2,136 80 | ST |
| SMITHFIELD FOODS INC | | | | | | | | |
| Symbol SFD Exchange NYSE | Jun 16, 09 | 1,233 000 | 10 718 | 13,215 54 | 15 190 | 18,729 27 | 5,513 73 | ST |
| | Aug 17, 09 | 5,125 000 | 11 589 | 59,394 14 | 15 190 | 77,848 75 | 18,454 61 | ST |
| Security total | | 6,358 000 | | 72,609 68 | | 96,578 02 | 23,968 34 | |
| SUMITOMO TRUST & BANKING SPON ADR | | | | | | | | |
| Symbol STBUY Exchange OTC | | | | | | | | |
| EAI $1,549 Current yield 1 21% | Jun 25, 08 | 7,480 000 | 7 093 | 53,061 62[1] | 4 866 | 36,397 68 | -16,663 94 | LT |
| | Sep 16, 08 | 2,483 000 | 5 803 | 14,409 60[1] | 4 866 | 12,082 28 | -2,327 32 | LT |
| | Jun 16, 09 | 2,949 000 | 5 440 | 16,042 56 | 4 866 | 14,349 83 | -1,692 73 | ST |
| | Nov 10, 09 | 2,650 000 | 5 493 | 14,556 98 | 4 866 | 12,894 90 | -1,662 08 | ST |

*continued next page*

UBS

**Friendly account name:** PFF NWQ Sm/Mid
**Account number:** Y1 08373 1C

## Your assets › Equities › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Nov 20, 09 | 10,699 000 | 5 127 | 54,863 40 | 4 866 | 52,061 33 | -2,802 07 | ST |
| Security total | | 26,261 000 | | 152,934 16 | | 127,786 02 | -25,148 14 | |
| TATA MOTORS LTD SPON ADR<br>Symbol TTM Exchange NYSE<br>EAI $335 Current yield 0 60% | Nov 20, 08 | 3,318 000 | 3 859 | 12,806 82 | 16 860 | 55,941 48 | 43,134 66 | LT |
| TECH DATA CORP<br>Symbol TECD Exchange OTC | Apr 4, 07 | 679 000 | 35 958 | 24,415 75[1] | 46 660 | 31,682 14 | 7,266 39 | LT |
| | Apr 5, 07 | 126 000 | 35 561 | 4,480 70[1] | 46 660 | 5,879 16 | 1,398 46 | LT |
| | Apr 9, 08 | 1,030 000 | 33 537 | 34,543 83[1] | 46 660 | 48,059 80 | 13,515 97 | LT |
| | Feb 4, 09 | 707 000 | 18 589 | 13,142 56 | 46 660 | 32,988 62 | 19,846 06 | ST |
| Security total | | 2,542 000 | | 76,582 84 | | 118,609 72 | 42,026 88 | |
| TELUS CORP NON VTG SHS<br>Symbol TU Exchange NYSE<br>EAI $11,215 Current yield 5 72% | Apr 11, 08 | 292 000 | 44 416 | 12,969 65[1] | 31 150 | 9,095 80 | -3,873 85 | LT |
| | Apr 23, 08 | 506 000 | 42 946 | 21,731 03[1] | 31 150 | 15,761 90 | -5,969 13 | LT |
| | Apr 24, 08 | 382 000 | 43 526 | 16,627 20[1] | 31 150 | 11,899 30 | -4,727 90 | LT |
| | Jul 23, 08 | 1,365 000 | 36 847 | 50,296 97[1] | 31 150 | 42,519 75 | -7,777 22 | LT |
| | Jul 29, 08 | 1,103 000 | 34 827 | 38,415 28[1] | 31 150 | 34,358 45 | -4,056 83 | LT |
| | Aug 13, 08 | 748 000 | 35 518 | 26,567 69[1] | 31 150 | 23,300 20 | -3,267 49 | LT |
| | Mar 2, 09 | 121 000 | 23 842 | 2,884 91 | 31 150 | 3,769 15 | 884 24 | ST |
| | May 5, 09 | 1,773 000 | 24 086 | 42,704 66 | 31 150 | 55,228 95 | 12,524 29 | ST |
| Security total | | 6,290 000 | | 212,197 39 | | 195,933 50 | -16,263 89 | |
| TESORO CORP<br>Symbol TSO Exchange NYSE<br>EAI $3,078 Current yield 1 48% | Nov 20, 08 | 1,725 000 | 7 599 | 13,108 97 | 13 550 | 23,373 75 | 10,264 78 | LT |
| | Dec 2, 08 | 1,235 000 | 8 268 | 10,211 72 | 13 550 | 16,734 25 | 6,522 53 | LT |
| | Dec 3, 08 | 599 000 | 8 427 | 5,048 20 | 13 550 | 8,116 45 | 3,068 25 | LT |
| | Jun 16, 09 | 2,465 000 | 14 360 | 35,398 39 | 13 550 | 33,400 75 | -1,997 64 | ST |
| | Aug 12, 09 | 8,340 000 | 12 659 | 105,581 06 | 13 550 | 113,007 00 | 7,425 94 | ST |
| | Nov 9, 09 | 1,027 000 | 13 667 | 14,036 73 | 13 550 | 13,915 85 | -120 88 | ST |
| Security total | | 15,391 000 | | 183,385 07 | | 208,548 05 | 25,162 98 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| TIM PARTICIPACOES SA ADR | | | | | | | | |
| Symbol TSU Exchange NYSE | | | | | | | | |
| EAI $1,769 Current yield 1 83% | Sep 15, 08 | 3,257 000 | 20 407 | 66,466 58[1] | 29 710 | 96,765 47 | 30,298 89 | LT |
| TIME WARNER CABLE INC | | | | | | | | |
| Symbol TWC Exchange NYSE | Oct 19, 09 | 2,131 000 | 41 416 | 88,258 14 | 41 390 | 88,202 09 | -56 05 | ST |
| TYSON FOODS INC CL A | | | | | | | | |
| Symbol TSN Exchange NYSE | | | | | | | | |
| EAI $3,282 Current yield 1 30% | Nov 16, 07 | 651 000 | 14 877 | 9,685 38[1] | 12 270 | 7,987 77 | -1,697 61 | LT |
| | Nov 19, 07 | 2,429 000 | 14 867 | 36,114 37[1] | 12 270 | 29,803 83 | -6,310 54 | LT |
| | Jun 18, 08 | 4,198 000 | 13 777 | 57,836 69[1] | 12 270 | 51,509 46 | -6,327 23 | LT |
| | Nov 20, 08 | 8,076 000 | 4 819 | 38,922 28 | 12 270 | 99,092 52 | 60,170 24 | LT |
| | Jun 16, 09 | 1,100 000 | 12 669 | 13,936 12 | 12 270 | 13,497 00 | -439 12 | ST |
| | Aug 14, 09 | 4,057 000 | 11 249 | 45,640 44 | 12 270 | 49,779 39 | 4,138 95 | ST |
| Security total | | 20,511 000 | | 202,135 28 | | 251,669 97 | 49,534 69 | |
| WHOLE FOODS MARKET INC | | | | | | | | |
| Symbol WFMI Exchange OTC | Nov 20, 08 | 277 000 | 8 570 | 2,373 89 | 27 450 | 7,603 65 | 5,229 76 | LT |
| | Jun 16, 09 | 997 000 | 19 345 | 19,287 86 | 27 450 | 27,367 65 | 8,079 79 | ST |
| Security total | | 1,274 000 | | 21,661 75 | | 34,971 30 | 13,309 55 | |
| ZIMMER HOLDINGS INC | | | | | | | | |
| Symbol ZMH Exchange NYSE | Jan 27, 09 | 150 000 | 41 583 | 6,237 51 | 59 110 | 8,866 50 | 2,628 99 | ST |
| | Jan 29, 09 | 1,664 000 | 37 545 | 62,476 04 | 59 110 | 98,359 04 | 35,883 00 | ST |
| | Jun 16, 09 | 579 000 | 41 119 | 23,808 07 | 59 110 | 34,224 69 | 10,416 62 | ST |
| Security total | | 2,393 000 | | 92,521 62 | | 141,450 23 | 48,928 61 | |
| **Total** | | | | **$5,489,093.71** | | **$6,661,563.71** | **$1,172,470.00** | |

**Total estimated annual income: $85,265**

[1] Indicates cost basis information has been provided by a source other than UBS Financial Services

## Your assets › **Equities** (continued)

### Convertible securities

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| NII HOLDINGS INC CONV<br>RATE 03 125% MATURES 06/15/12<br>ACCRUED INTEREST $123 61<br>CUSIP 62913FAJ1<br>S&P B-<br>EAI $2,781 Current yield 3 41% | May 01, 08 | 89,000 000 | 84 250 | 74,982 50[1] | 91 750 | 81,657 50 | 6,675 00 | LT |
| CUBIST PHARMACEUTICALS<br>INC SUB NOTES<br>RATE 02 250% MATURES 06/15/13<br>ACCRUED INTEREST $86 00<br>CUSIP 229678AC1<br>EAI $1,935 Current yield 2 41% | Sep 09, 09 | 86,000 000 | 95 750 | 82,345 00 | 93 375 | 80,302 50 | -2,042 50 | ST |
| SMITHFIELD FOODS INC<br>CONVERTIBLE<br>RATE 04 000% MATURES 06/30/13<br>CUSIP 832248AR9<br>Moody NA S&P B-<br>EAI $3,760 Current yield 4 07% | Sep 11, 09 | 94,000 000 | 91 000 | 85,540 00 | 98 375 | 92,472 50 | 6,932 50 | ST |
| USEC INC CONV B/E<br>RATE 03 000% MATURES 10/01/14<br>ACCRUED INTEREST $1,447 50<br>CUSIP 90333EAC2<br>Moody Caa2 S&P CCC-<br>EAI $5,790 Current yield 4 62% | Jan 09, 08 | 64,000 000 | 91 832 | 58,772 48[1] | 65 000 | 41,600 00 | -17,172 48 | LT |
| | Mar 26, 09 | 129,000 000 | 56 500 | 72,885 00 | 65 000 | 83,850 00 | 10,965 00 | ST |
| Security total | | 193,000 000 | | 131,657 48 | | 125,450 00 | -6,207 48 | |
| GOLD RESV INC NTS CONV<br>RATE 05 500% MATURES 06/15/22<br>CALLABLE<br>ACCRUED INTEREST $102 66<br>CUSIP 38068NAB4<br>Moody NA S&P NA<br>EAI $2,310 Current yield 8 18% | Nov 30, 07 | 42,000 000 | 95 375 | 40,057 50[1] | 67 250 | 28,245 00 | -11,812 50 | LT |

*continued next page*

## Your assets › **Equities** › **Convertible securities** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| LUCENT TECHNOLOGIES INC<br>SER A CONV<br>RATE 02 875% MATURES 06/15/23<br>ACCRUED INTEREST $214 67<br>CUSIP 549463AG2<br>Moody B1 S&P B<br>EAI $4,830 Current yield 2 90% | Sep 11, 09 | 168,000 000 | 98 500 | 165,480 00 | 99 125 | 166,530 00 | 1,050 00 | ST |
| GRIFFON CORP NTS SER 2ND<br>CONV<br>RATE 04 000% MATURES 07/18/23<br>ACCRUED INTEREST $1,068 55<br>CUSIP 398433AC6<br>Moody NA S&P NA<br>EAI $2,360 Current yield 3 99% | Sep 24, 09 | 59,000 000 | 99 125 | 58,483 75 | 100 375 | 59,221 25 | 737 50 | ST |
| EXPRESSJET HOLDINGS INC<br>CONV B/E<br>RATE 11 250% MATURES 08/01/23<br>ACCRUED INTEREST $5,531 25<br>CUSIP 30218UAB4<br>Moody NA S&P NA<br>EAI $13,275 Current yield 11 75%<br>Original cost basis $114,607 50 | Jul 30, 07 | 118,000 000 | 97 180 | 114,672 53[1] | 95 750 | 112,985 00 | -1,687 53 | LT |
| GOODRICH PETROLEUM CORP<br>NTS CONV<br>RATE 03 250% MATURES 12/01/26<br>ACCRUED INTEREST $243 74<br>CUSIP 382410AB4<br>EAI $2,925 Current yield 3 53%<br>Original cost basis $83,362 50 | Oct 30, 09 | 90,000 000 | 93 670 | 84,303 24 | 92 125 | 82,912 50 | -1,390 74 | ST |

*continued next page*

## Your assets › **Equities** › **Convertible securities** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| JETBLUE AIRWAYS CORP<br>CONV<br>RATE 03 750% MATURES 03/15/35<br>CALLABLE<br>ACCRUED INTEREST $1,214 58<br>CUSIP 477143AC5<br>Moody Ca S&P CCC<br>EAI $4,125 Current yield 3 77% | Nov 19, 09 | 110,000 000 | 99 125 | 109,037 50 | 99 375 | 109,312 50 | 275 00 | ST |
| OMNICARE INC<br>CONV DEBS<br>RATE 03 250% MATURES 12/15/35<br>CALLABLE<br>ACCRUED INTEREST $177 66<br>CUSIP 681904AL2<br>Moody B3 S&P B+<br>EAI $3,998 Current yield 3 99%<br>Original cost basis $81,170 16 | Mar 10, 08 | 123,000 000 | 75 809 | 93,246 24[1] | 81 375 | 100,091 25 | 6,845 01 | LT |
| DELTA PETROLEUM CORP NTS<br>03 750% 050137 DTD042507<br>FC110107 CONV<br>ACCRUED INTEREST $525 00<br>CUSIP 247907AD0<br>S&P CCC<br>EAI $3,150 Current yield 5 37% | Jan 09, 09 | 84,000 000 | 48 560 | 40,790 40 | 69 875 | 58,695 00 | 17,904 60 | ST |
| **Total** | | | | **$1,080,596.14** | | **$1,097,875.00** | **$17,278.86** | |

**Total accrued interest: $10,735.22**

**Total estimated annual income: $51,239**

[1] Indicates cost basis information has been provided by a source other than UBS Financial Services

## Your assets (continued)

### Fixed income

#### Preferred securities

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| KANSAS CITY SOUTHERN CONV SER D PREFERRED CLBL PAR VALUE - 1000 00 USD<br>Symbol KSUAN Exchange OTC<br>EAI $8,969 Current yield 4 40% | Mar 2, 09 | 65 000 | 688 900 | 44,778 50 | 1,165 000 | 75,725 00 | 30,946 50 | ST |
| | Apr 29, 09 | 31 000 | 640 393 | 19,852 18 | 1,165 000 | 36,115 00 | 16,262 82 | ST |
| | May 21, 09 | 79 000 | 721 128 | 56,969 11 | 1,165 000 | 92,035 00 | 35,065 89 | ST |
| Security total | | 175 000 | | 121,599 79 | | 203,875 00 | 82,275 21 | |

## Your total assets

| | | Value on Dec 31 ($) | Percentage of your account | Cost basis ($) | Estimated annual income ($) | Unrealized gain or loss ($) |
|---|---|---|---|---|---|---|
| **Cash** | **Cash and money balances** | **797,694.53** | **9.09%** | **797,694.53** | | |
| **Equities** | Common stock | 6,661,563 71 | | 5,489,093 71 | 85,265 00 | 1,172,470 00 |
| | Convertible securities | 1,097,875 00 | | 1,080,596 14 | 51,239 00 | 17,278 86 |
| | Total accrued interest | 10,735 22 | | | | |
| | **Total equities** | **7,770,173.93** | **88.59%** | **6,569,689.85** | **136,504.00** | **1,189,748.86** |
| **Fixed income** | **Preferred securities** | **203,875.00** | **2.32%** | **121,599.79** | **8,969.00** | **82,275.21** |
| **Total** | | **$8,771,743.46** | **100.00%** | **$7,488,984.17** | **$145,473.00** | **$1,272,024.07** |

# Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

| Date | Activity | Description | Your expense code | Quantity/ Face value | Price/Value ($) | Cash amount ($) | Cash and money balance ($) |
|---|---|---|---|---|---|---|---|
| **Nov 30** | | **Cash and money balance** | | | | | **$927,680.20** |
| Dec 1 | Sold | GOLDEN MINERALS CO Other fees and charges $ 01<br>Average Priced Trade ▶ SYMBOL GDMN ▶ CUSIP NO 381119106 ▶ Location of Execution 09 ▶ Capacity Agent | | -2 000 | 6 25 | 12 49 | |
| Dec 1 | Dividend | KROGER COMPANY PAID ON 12257 | | | | 1,164 42 | |

*continued next page*

**Account name:** PAULEY FAMILY FOUNDATION
**Friendly account name:** PFF NWQ LC Val
**Account number:** Y1 08372 1C

**Your Financial Advisor:**
DUNN/YAMIN
212-821-7000

# Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

## Cash

### Cash and money balances

| Holding | Opening balance on Dec 1 ($) | Closing balance on Dec 31 ($) | Price per share on Dec 31 ($) | Average rate | Dividend/Interest period | Days in period |
|---|---|---|---|---|---|---|
| Cash | 0 00 | 248 25 | | | | |
| RMA MONEY MKT PORTFOLIO | 235,416 88 | 97,478 09 | 1 00 | 0 01% | Nov 23 to Dec 23 | 31 |
| **Total** | **$235,416.88** | **$97,726.34** | | | | |

## Equities

### Common stock

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| AETNA INC | | | | | | | | |
| Symbol AET Exchange NYSE | | | | | | | | |
| EAI $100 Current yield 0 13% | Oct 12, 04 | 246 000 | 24 562 | 6,042 32[1] | 31 700 | 7,798 20 | 1,755 88 | LT |
| | Sep 7, 06 | 53 000 | 35 577 | 1,885 60[1] | 31 700 | 1,680 10 | -205 50 | LT |
| | Sep 8, 06 | 28 000 | 35 807 | 1,002 62[1] | 31 700 | 887 60 | -115 02 | LT |
| | Jan 10, 07 | 646 000 | 41 019 | 26,498 86[1] | 31 700 | 20,478 20 | -6,020 66 | LT |
| | Mar 6, 09 | 810 000 | 19 437 | 15,744 13 | 31 700 | 25,677 00 | 9,932 87 | ST |
| | Jun 16, 09 | 720 000 | 23 658 | 17,034 05 | 31 700 | 22,824 00 | 5,789 95 | ST |
| Security total | | 2,503 000 | | 68,207 58 | | 79,345 10 | 11,137 52 | |
| AMGEN INC | | | | | | | | |
| Symbol AMGN Exchange OTC | May 23, 07 | 352 000 | 54 481 | 19,177 60[1] | 56 570 | 19,912 64 | 735 04 | LT |
| | May 24, 07 | 319 000 | 54 502 | 17,386 17[1] | 56 570 | 18,045 83 | 659 66 | LT |
| | Nov 15, 07 | 689 000 | 54 690 | 37,681 62[1] | 56 570 | 38,976 73 | 1,295 11 | LT |
| | Apr 14, 09 | 279 000 | 47 652 | 13,294 99 | 56 570 | 15,783 03 | 2,488 04 | ST |
| | Jun 16, 09 | 360 000 | 51 348 | 18,485 35 | 56 570 | 20,365 20 | 1,879 85 | ST |
| | Sep 23, 09 | 342 000 | 60 502 | 20,691 92 | 56 570 | 19,346 94 | -1,344 98 | ST |
| Security total | | 2,341 000 | | 126,717 65 | | 132,430 37 | 5,712 72 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| ANGLOGOLD ASHANTI LTD NEW SPON ADR | | | | | | | | |
| Symbol AU Exchange NYSE | | | | | | | | |
| EAI $358 Current yield 0 32% | Apr 15, 08 | 230 000 | 36 852 | 8,475 96[1] | 40 180 | 9,241 40 | 765 44 | LT |
| | Jun 4, 08 | 587 000 | 34 536 | 20,272 81[1] | 40 180 | 23,585 66 | 3,312 85 | LT |
| | Jun 5, 08 | 427 000 | 34 486 | 14,725 86[1] | 40 180 | 17,156 86 | 2,431 00 | LT |
| | Jun 19, 08 | 319 000 | 27 810 | 8,871 39[1] | 40 180 | 12,817 42 | 3,946 03 | LT |
| | Jul 8, 08 | 238 000 | 32 191 | 7,661 48[1] | 40 180 | 9,562 84 | 1,901 36 | LT |
| | Jul 9, 08 | 476 000 | 32 934 | 15,676 82[1] | 40 180 | 19,125 68 | 3,448 86 | LT |
| | Jun 16, 09 | 215 000 | 36 710 | 7,892 65 | 40 180 | 8,638 70 | 746 05 | ST |
| | Sep 1, 09 | 325 000 | 36 040 | 11,713 03 | 40 180 | 13,058 50 | 1,345 47 | ST |
| Security total | | 2,817 000 | | 95,290 00 | | 113,187 06 | 17,897 06 | |
| AON CORP | | | | | | | | |
| Symbol AON Exchange NYSE | | | | | | | | |
| EAI $1,693 Current yield 1 56% | Aug 7, 06 | 162 000 | 31 643 | 5,126 18[1] | 38 340 | 6,211 08 | 1,084 90 | LT |
| | Aug 9, 06 | 107 000 | 32 819 | 3,511 69[1] | 38 340 | 4,102 38 | 590 69 | LT |
| | Aug 10, 06 | 21 000 | 32 756 | 687 88[1] | 38 340 | 805 14 | 117 26 | LT |
| | Aug 22, 06 | 236 000 | 33 687 | 7,950 18[1] | 38 340 | 9,048 24 | 1,098 06 | LT |
| | Aug 23, 06 | 133 000 | 33 533 | 4,460 00[1] | 38 340 | 5,099 22 | 639 22 | LT |
| | Jan 10, 07 | 773 000 | 35 170 | 27,186 41[1] | 38 340 | 29,636 82 | 2,450 41 | LT |
| | Jun 16, 09 | 600 000 | 36 390 | 21,834 00 | 38 340 | 23,004 00 | 1,170 00 | ST |
| | Oct 30, 09 | 215 000 | 37 942 | 8,157 64 | 38 340 | 8,243 10 | 85 46 | ST |
| | Dec 2, 09 | 260 000 | 38 463 | 10,000 54 | 38 340 | 9,968 40 | -32 14 | ST |
| | Dec 3, 09 | 315 000 | 38 388 | 12,092 38 | 38 340 | 12,077 10 | -15 28 | ST |
| Security total | | 2,822 000 | | 101,006 90 | | 108,195 48 | 7,188 58 | |
| APACHE CORP | | | | | | | | |
| Symbol APA Exchange NYSE | | | | | | | | |
| EAI $877 Current yield 0 58% | Sep 14, 06 | 147 000 | 64 001 | 9,408 27[1] | 103 170 | 15,165 99 | 5,757 72 | LT |
| | Jan 3, 07 | 142 000 | 64 483 | 9,156 66[1] | 103 170 | 14,650 14 | 5,493 48 | LT |
| | Jan 4, 07 | 269 000 | 63 799 | 17,161 98[1] | 103 170 | 27,752 73 | 10,590 75 | LT |
| | Jan 10, 07 | 306 000 | 63 570 | 19,452 42[1] | 103 170 | 31,570 02 | 12,117 60 | LT |
| | Apr 26, 07 | 285 000 | 74 505 | 21,234 15[1] | 103 170 | 29,403 45 | 8,169 30 | LT |
| | Apr 27, 07 | 222 000 | 74 004 | 16,428 95[1] | 103 170 | 22,903 74 | 6,474 79 | LT |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Jun 16, 09 | 90 000 | 80 270 | 7,224 30 | 103 170 | 9,285 30 | 2,061 00 | ST |
| Security total | | 1,461 000 | | 100,066 73 | | 150,731 37 | 50,664 64 | |
| AT&T INC | | | | | | | | |
| Symbol T Exchange NYSE | | | | | | | | |
| EAI $4,259 Current yield 5 99% | Oct 24, 05 | 637 000 | 23 523 | 14,984 66[1] | 28 030 | 17,855 11 | 2,870 45 | LT |
| | Oct 25, 05 | 943 000 | 23 707 | 22,356 64[1] | 28 030 | 26,432 29 | 4,075 65 | LT |
| | Jun 16, 09 | 955 000 | 24 247 | 23,156 36 | 28 030 | 26,768 65 | 3,612 29 | ST |
| Security total | | 2,535 000 | | 60,497 66 | | 71,056 05 | 10,558 39 | |
| BARRICK GOLD CORP | | | | | | | | |
| Symbol ABX Exchange NYSE | | | | | | | | |
| EAI $1,407 Current yield 1 02% | Oct 12, 04 | 1,690 000 | 21 141 | 35,728 80[1] | 39 380 | 66,552 20 | 30,823 40 | LT |
| | Jan 10, 07 | 1,088 000 | 28 940 | 31,486 72[1] | 39 380 | 42,845 44 | 11,358 72 | LT |
| | Jun 16, 09 | 740 000 | 33 559 | 24,834 03 | 39 380 | 29,141 20 | 4,307 17 | ST |
| Security total | | 3,518 000 | | 92,049 55 | | 138,538 84 | 46,489 29 | |
| CA INC | | | | | | | | |
| Symbol CA Exchange OTC | | | | | | | | |
| EAI $1,245 Current yield 0 71% | Oct 12, 04 | 3,079 000 | 26 439 | 81,406 30[1] | 22 460 | 69,154 34 | -12,251 96 | LT |
| | Apr 26, 06 | 405 000 | 24 985 | 10,118 97[1] | 22 460 | 9,096 30 | -1,022 67 | LT |
| | Apr 27, 06 | 90 000 | 25 382 | 2,284 43[1] | 22 460 | 2,021 40 | -263 03 | LT |
| | Jan 10, 07 | 2,656 000 | 24 933 | 66,222 05[1] | 22 460 | 59,653 76 | -6,568 29 | LT |
| | Jun 16, 09 | 1,550 000 | 17 037 | 26,407 35 | 22 460 | 34,813 00 | 8,405 65 | ST |
| Security total | | 7,780 000 | | 186,439 10 | | 174,738 80 | -11,700 30 | |
| CANADIAN NATURAL RESOURCES LTD | | | | | | | | |
| Symbol CNQ Exchange NYSE | Nov 16, 09 | 395 000 | 69 277 | 27,364 53 | 71 950 | 28,420 25 | 1,055 72 | ST |
| | Nov 20, 09 | 417 000 | 65 833 | 27,452 69 | 71 950 | 30,003 15 | 2,550 46 | ST |
| Security total | | 812 000 | | 54,817 22 | | 58,423 40 | 3,606 18 | |
| CBS CORP NEW CL B | | | | | | | | |
| Symbol CBS Exchange NYSE | | | | | | | | |
| EAI $544 Current yield 1 42% | Dec 6, 04 | 639 000 | 28 668 | 18,319 32[1] | 14 050 | 8,977 95 | -9,341 37 | LT |
| | Dec 7, 04 | 33 000 | 28 571 | 942 87[1] | 14 050 | 463 65 | -479 22 | LT |
| | Dec 17, 04 | 121 000 | 28 162 | 3,407 62[1] | 14 050 | 1,700 05 | -1,707 57 | LT |
| | Dec 20, 04 | 546 000 | 28 171 | 15,381 53[1] | 14 050 | 7,671 30 | -7,710 23 | LT |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Sep 6, 05 | 132 000 | 27 085 | 3,575 27[1] | 14 050 | 1,854 60 | -1,720 67 | LT |
| | Sep 7, 05 | 270 000 | 27 205 | 7,345 42[1] | 14 050 | 3,793 50 | -3,551 92 | LT |
| | Jan 10, 07 | 977 000 | 31 150 | 30,433 55[1] | 14 050 | 13,726 85 | -16,706 70 | LT |
| Security total | | 2,718 000 | | 79,405 58 | | 38,187 90 | -41,217 68 | |
| CITIGROUP INC | | | | | | | | |
| Symbol C Exchange NYSE | Dec 17, 09 | 28,660 000 | 3 182 | 91,210 45 | 3 310 | 94,864 60 | 3,654 15 | ST |
| | Dec 18, 09 | 3,745 000 | 3 249 | 12,169 38 | 3 310 | 12,395 95 | 226 57 | ST |
| Security total | | 32,405 000 | | 103,379 83 | | 107,260 55 | 3,880 72 | |
| COMCAST CORP NEW SPECIAL CL A | | | | | | | | |
| Symbol CMCSK Exchange OTC | | | | | | | | |
| EAI $812 Current yield 2 36% | Aug 20, 09 | 1,527 000 | 14 005 | 21,386 25 | 16 010 | 24,447 27 | 3,061 02 | ST |
| | Aug 21, 09 | 620 000 | 14 316 | 8,876 23 | 16 010 | 9,926 20 | 1,049 97 | ST |
| Security total | | 2,147 000 | | 30,262 48 | | 34,373 47 | 4,110 99 | |
| CONOCOPHILLIPS | | | | | | | | |
| Symbol COP Exchange NYSE | | | | | | | | |
| EAI $2,792 Current yield 3 92% | Jan 10, 07 | 391 000 | 64 494 | 25,217 35[1] | 51 070 | 19,968 37 | -5,248 98 | LT |
| | Jun 16, 09 | 285 000 | 43 340 | 12,351 90 | 51 070 | 14,554 95 | 2,203 05 | ST |
| | Nov 20, 09 | 215 000 | 51 969 | 11,173 46 | 51 070 | 10,980 05 | -193 41 | ST |
| | Nov 24, 09 | 265 000 | 52 289 | 13,856 72 | 51 070 | 13,533 55 | -323 17 | ST |
| | Nov 25, 09 | 170 000 | 52 726 | 8,963 51 | 51 070 | 8,681 90 | -281 61 | ST |
| | Nov 27, 09 | 70 000 | 51 793 | 3,625 55 | 51 070 | 3,574 90 | -50 65 | ST |
| Security total | | 1,396 000 | | 75,188 49 | | 71,293 72 | -3,894 77 | |
| CVS CAREMARK CORP | | | | | | | | |
| Symbol CVS Exchange NYSE | | | | | | | | |
| EAI $539 Current yield 0 95% | Nov 5, 09 | 1,767 000 | 28 788 | 50,869 63 | 32 210 | 56,915 07 | 6,045 44 | ST |
| GENWORTH FINANCIAL INC CL A | | | | | | | | |
| Symbol GNW Exchange NYSE | Oct 12, 04 | 1,931 000 | 24 395 | 47,108 09[1] | 11 350 | 21,916 85 | -25,191 24 | LT |
| | May 3, 06 | 330 000 | 33 147 | 10,938 77[1] | 11 350 | 3,745 50 | -7,193 27 | LT |
| | May 4, 06 | 406 000 | 33 168 | 13,466 49[1] | 11 350 | 4,608 10 | -8,858 39 | LT |
| | Jan 10, 07 | 1,010 000 | 34 500 | 34,845 00[1] | 11 350 | 11,463 50 | -23,381 50 | LT |
| | Jan 4, 08 | 660 000 | 24 482 | 16,158 45[1] | 11 350 | 7,491 00 | -8,667 45 | LT |
| | Jan 7, 08 | 701 000 | 24 501 | 17,175 90[1] | 11 350 | 7,956 35 | -9,219 55 | LT |
| Security total | | 5,038 000 | | 139,692 70 | | 57,181 30 | -82,511 40 | |

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## Your assets ▸ **Equities** ▸ **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| HALLIBURTON CO (HOLDING COMPANY) Symbol HAL Exchange NYSE EAI $486 Current yield 1 20% | Nov 17, 08 | 1,351 000 | 17 880 | 24,155 88 | 30 090 | 40,651 59 | 16,495 71 | LT |
| HARTFORD FINCL SERVICES GROUP INC Symbol HIG Exchange NYSE EAI $624 Current yield 0 86% | Oct 12, 04 | 893 000 | 62 327 | 55,658 81[1] | 23 260 | 20,771 18 | -34,887 63 | LT |
| | Aug 1, 06 | 312 000 | 84 573 | 26,386 87[1] | 23 260 | 7,257 12 | -19,129 75 | LT |
| | Jan 10, 07 | 410 000 | 90 820 | 37,236 20[1] | 23 260 | 9,536 60 | -27,699 60 | LT |
| | Jul 25, 07 | 8 000 | 96 348 | 770 79[1] | 23 260 | 186 08 | -584 71 | LT |
| | Jul 26, 07 | 407 000 | 95 248 | 38,766 26[1] | 23 260 | 9,466 82 | -29,299 44 | LT |
| | Dec 22, 09 | 1,092 000 | 23 324 | 25,470 03 | 23 260 | 25,399 92 | -70 11 | ST |
| Security total | | 3,122 000 | | 184,288 96 | | 72,617 72 | -111,671 24 | |
| HESS CORP Symbol HES Exchange NYSE EAI $268 Current yield 0 66% | Apr 19, 07 | 131 000 | 56 123 | 7,352 19[1] | 60 500 | 7,925 50 | 573 31 | LT |
| | Apr 20, 07 | 439 000 | 57 183 | 25,103 60[1] | 60 500 | 26,559 50 | 1,455 90 | LT |
| | Apr 23, 07 | 101 000 | 57 375 | 5,794 90[1] | 60 500 | 6,110 50 | 315 60 | LT |
| Security total | | 671 000 | | 38,250 69 | | 40,595 50 | 2,344 81 | |
| INGERSOLL-RAND PLC Symbol IR Exchange NYSE EAI $511 Current yield 0 78% | Oct 12, 04 | 1,083 000 | 34 227 | 37,068 82[1] | 35 740 | 38,706 42 | 1,637 60 | LT |
| | Jan 10, 07 | 742 000 | 40 520 | 30,065 84[1] | 35 740 | 26,519 08 | -3,546 76 | LT |
| Security total | | 1,825 000 | | 67,134 66 | | 65,225 50 | -1,909 16 | |
| JPMORGAN CHASE & CO Symbol JPM Exchange NYSE EAI $401 Current yield 0 48% | Oct 12, 04 | 1,723 000 | 39 130 | 67,420 99[1] | 41 670 | 71,797 41 | 4,376 42 | LT |
| | Jun 16, 09 | 280 000 | 33 540 | 9,391 20 | 41 670 | 11,667 60 | 2,276 40 | ST |
| Security total | | 2,003 000 | | 76,812 19 | | 83,465 01 | 6,652 82 | |
| KIMBERLY CLARK CORP Symbol KMB Exchange NYSE EAI $3,468 Current yield 3 77% | Oct 12, 04 | 1,009 000 | 63 372 | 63,942 55[1] | 63 710 | 64,283 39 | 340 84 | LT |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Jan 10, 07 | 261 000 | 69 251 | 18,074 56[1] | 63 710 | 16,628 31 | -1,446 25 | LT |
| | Jun 16, 09 | 175 000 | 50 879 | 8,903 91 | 63 710 | 11,149 25 | 2,245 34 | ST |
| Security total | | 1,445 000 | | 90,921 02 | | 92,060 95 | 1,139 93 | |
| KROGER COMPANY | | | | | | | | |
| Symbol KR Exchange NYSE | | | | | | | | |
| EAI $945 Current yield 1 85% | Sep 22, 09 | 412 000 | 20 426 | 8,415 72 | 20 530 | 8,458 36 | 42 64 | ST |
| | Sep 23, 09 | 430 000 | 20 562 | 8,841 83 | 20 530 | 8,827 90 | -13 93 | ST |
| | Sep 24, 09 | 735 000 | 20 548 | 15,102 78 | 20 530 | 15,089 55 | -13 23 | ST |
| | Sep 25, 09 | 415 000 | 20 579 | 8,540 29 | 20 530 | 8,519 95 | -20 34 | ST |
| | Sep 28, 09 | 495 000 | 20 564 | 10,179 53 | 20 530 | 10,162 35 | -17 18 | ST |
| Security total | | 2,487 000 | | 51,080 15 | | 51,058 11 | -22 04 | |
| LOCKHEED MARTIN CORP | | | | | | | | |
| Symbol LMT Exchange NYSE | | | | | | | | |
| EAI $3,223 Current yield 3 34% | Oct 12, 04 | 709 000 | 55 190 | 39,129 71[1] | 75 350 | 53,423 15 | 14,293 44 | LT |
| | Jan 10, 07 | 188 000 | 94 841 | 17,830 16[1] | 75 350 | 14,165 80 | -3,664 36 | LT |
| | Aug 4, 09 | 216 000 | 75 402 | 16,286 92 | 75 350 | 16,275 60 | -11 32 | ST |
| | Sep 1, 09 | 115 000 | 75 507 | 8,683 35 | 75 350 | 8,665 25 | -18 10 | ST |
| | Sep 2, 09 | 51 000 | 75 075 | 3,828 83 | 75 350 | 3,842 85 | 14 02 | ST |
| Security total | | 1,279 000 | | 85,758 97 | | 96,372 65 | 10,613 68 | |
| LOEWS CORP | | | | | | | | |
| Symbol L Exchange NYSE | | | | | | | | |
| EAI $806 Current yield 0 69% | Oct 18, 07 | 276 000 | 49 671 | 13,709 23[1] | 36 350 | 10,032 60 | -3,676 63 | LT |
| | Oct 19, 07 | 26 000 | 48 564 | 1,262 68[1] | 36 350 | 945 10 | -317 58 | LT |
| | Nov 9, 07 | 463 000 | 45 884 | 21,244 40[1] | 36 350 | 16,830 05 | -4,414 35 | LT |
| | Oct 3, 08 | 1,166 000 | 36 285 | 42,308 89[1] | 36 350 | 42,384 10 | 75 21 | LT |
| | Mar 23, 09 | 681 000 | 23 228 | 15,818 68 | 36 350 | 24,754 35 | 8,935 67 | ST |
| | Jun 16, 09 | 610 000 | 27 359 | 16,689 30 | 36 350 | 22,173 50 | 5,484 20 | ST |
| Security total | | 3,222 000 | | 111,033 18 | | 117,119 70 | 6,086 52 | |
| MERCK & CO INC NEW COM | | | | | | | | |
| Symbol MRK Exchange NYSE | | | | | | | | |
| EAI $4,166 Current yield 4 16% | Dec 9, 08 | 860 000 | 26 359 | 22,669 26 | 36 540 | 31,424 40 | 8,755 14 | LT |
| | Feb 27, 09 | 695 000 | 25 018 | 17,388 00 | 36 540 | 25,395 30 | 8,007 30 | ST |
| | Jun 16, 09 | 835 000 | 24 467 | 20,430 11 | 36 540 | 30,510 90 | 10,080 79 | ST |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Oct 26, 09 | 351 000 | 32 055 | 11,251 62 | 36 540 | 12,825 54 | 1,573 92 | ST |
| Security total | | 2,741 000 | | 71,738 99 | | 100,156 14 | 28,417 15 | |
| METLIFE INC | | | | | | | | |
| Symbol MET Exchange NYSE | | | | | | | | |
| EAI $2,148 Current yield 2 09% | Oct 8, 08 | 775 000 | 31 921 | 24,739 09[1] | 35 350 | 27,396 25 | 2,657 16 | LT |
| | Oct 9, 08 | 868 000 | 28 228 | 24,502 08[1] | 35 350 | 30,683 80 | 6,181 72 | LT |
| | Jun 16, 09 | 845 000 | 29 327 | 24,782 08 | 35 350 | 29,870 75 | 5,088 67 | ST |
| | Dec 3, 09 | 415 000 | 34 250 | 14,213 75 | 35 350 | 14,670 25 | 456 50 | ST |
| Security total | | 2,903 000 | | 88,237 00 | | 102,621 05 | 14,384 05 | |
| MICROSOFT CORP | | | | | | | | |
| Symbol MSFT Exchange OTC | | | | | | | | |
| EAI $1,109 Current yield 1 71% | Jun 27, 05 | 4 000 | 25 195 | 100 78[1] | 30 480 | 121 92 | 21 14 | LT |
| | Jan 10, 07 | 1,000 000 | 29 670 | 29,670 00[1] | 30 480 | 30,480 00 | 810 00 | LT |
| | Jun 10, 08 | 1,128 000 | 28 130 | 31,731 32[1] | 30 480 | 34,381 44 | 2,650 12 | LT |
| Security total | | 2,132 000 | | 61,502 10 | | 64,983 36 | 3,481 26 | |
| MOSAIC CO | | | | | | | | |
| Symbol MOS Exchange NYSE | | | | | | | | |
| EAI $131 Current yield 0 33% | Jun 30, 09 | 657 000 | 45 137 | 29,655 01 | 59 730 | 39,242 61 | 9,587 60 | ST |
| MOTOROLA INC | | | | | | | | |
| Symbol MOT Exchange NYSE | Oct 12, 04 | 1,030 000 | 18 320 | 18,869 60[1] | 7 760 | 7,992 80 | -10,876 80 | LT |
| | Nov 4, 04 | 1,218 000 | 16 786 | 20,446 44[1] | 7 760 | 9,451 68 | -10,994 76 | LT |
| | Jun 6, 06 | 958 000 | 21 543 | 20,638 29[1] | 7 760 | 7,434 08 | -13,204 21 | LT |
| | Jun 7, 06 | 87 000 | 21 309 | 1,853 89[1] | 7 760 | 675 12 | -1,178 77 | LT |
| | Nov 8, 06 | 940 000 | 21 600 | 20,304 00[1] | 7 760 | 7,294 40 | -13,009 60 | LT |
| | Jan 10, 07 | 2,664 000 | 18 180 | 48,431 52[1] | 7 760 | 20,672 64 | -27,758 88 | LT |
| | May 30, 07 | 77 000 | 18 197 | 1,401 19[1] | 7 760 | 597 52 | -803 67 | LT |
| | May 31, 07 | 689 000 | 18 144 | 12,501 49[1] | 7 760 | 5,346 64 | -7,154 85 | LT |
| | Jan 2, 08 | 643 000 | 15 984 | 10,278 10[1] | 7 760 | 4,989 68 | -5,288 42 | LT |
| | Jan 3, 08 | 2,225 000 | 16 036 | 35,680 77[1] | 7 760 | 17,266 00 | -18,414 77 | LT |
| | Feb 10, 09 | 5,375 000 | 3 957 | 21,269 95 | 7 760 | 41,710 00 | 20,440 05 | ST |
| | Dec 1, 09 | 2,320 000 | 8 232 | 19,099 86 | 7 760 | 18,003 20 | -1,096 66 | ST |
| | Dec 2, 09 | 1,320 000 | 8 229 | 10,863 34 | 7 760 | 10,243 20 | -620 14 | ST |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 19,546 000 | | 241,638 44 | | 151,676 96 | -89,961 48 | |
| NOBLE ENERGY INC | | | | | | | | |
| Symbol NBL Exchange NYSE | | | | | | | | |
| EAI $1,416 Current yield 1 01% | Jun 6, 05 | 40 000 | 37 414 | 1,496 57[1] | 71 220 | 2,848 80 | 1,352 23 | LT |
| | Jun 7, 05 | 396 000 | 37 322 | 14,779 65[1] | 71 220 | 28,203 12 | 13,423 47 | LT |
| | Jun 8, 05 | 210 000 | 37 345 | 7,842 47[1] | 71 220 | 14,956 20 | 7,113 73 | LT |
| | Jan 10, 07 | 988 000 | 46 768 | 46,207 38[1] | 71 220 | 70,365 36 | 24,157 98 | LT |
| | Sep 17, 08 | 222 000 | 57 859 | 12,844 88[1] | 71 220 | 15,810 84 | 2,965 96 | LT |
| | Sep 26, 08 | 111 000 | 58 733 | 6,519 37[1] | 71 220 | 7,905 42 | 1,386 05 | LT |
| Security total | | 1,967 000 | | 89,690 32 | | 140,089 74 | 50,399 42 | |
| NRG ENERGY INC NEW | | | | | | | | |
| Symbol NRG Exchange NYSE | Mar 10, 08 | 1,345 000 | 41 937 | 56,406 34[1] | 23 610 | 31,755 45 | -24,650 89 | LT |
| | May 2, 08 | 523 000 | 43 004 | 22,491 35[1] | 23 610 | 12,348 03 | -10,143 32 | LT |
| Security total | | 1,868 000 | | 78,897 69 | | 44,103 48 | -34,794 21 | |
| PHILIP MORRIS INTL INC | | | | | | | | |
| Symbol PM Exchange NYSE | | | | | | | | |
| EAI $3,874 Current yield 4 81% | Oct 12, 04 | 986 000 | 24 886 | 24,538 05[1] | 48 190 | 47,515 34 | 22,977 29 | LT |
| | Jun 20, 06 | 192 000 | 38 156 | 7,326 04[1] | 48 190 | 9,252 48 | 1,926 44 | LT |
| | Jun 21, 06 | 95 000 | 38 178 | 3,626 99[1] | 48 190 | 4,578 05 | 951 06 | LT |
| | Jan 10, 07 | 397 000 | 47 365 | 18,803 96[1] | 48 190 | 19,131 43 | 327 47 | LT |
| Security total | | 1,670 000 | | 54,295 04 | | 80,477 30 | 26,182 26 | |
| PITNEY BOWES INC | | | | | | | | |
| Symbol PBI Exchange NYSE | | | | | | | | |
| EAI $6,913 Current yield 6 33% | Oct 12, 04 | 1,197 000 | 44 471 | 53,232 15[1] | 22 760 | 27,243 72 | -25,988 43 | LT |
| | Jan 10, 07 | 692 000 | 47 816 | 33,088 95[1] | 22 760 | 15,749 92 | -17,339 03 | LT |
| | Nov 16, 07 | 336 000 | 37 981 | 12,761 88[1] | 22 760 | 7,647 36 | -5,114 52 | LT |
| | Nov 19, 07 | 220 000 | 38 349 | 8,436 80[1] | 22 760 | 5,007 20 | -3,429 60 | LT |
| | Dec 17, 07 | 223 000 | 37 447 | 8,350 88[1] | 22 760 | 5,075 48 | -3,275 40 | LT |
| | Dec 18, 07 | 223 000 | 37 475 | 8,357 01[1] | 22 760 | 5,075 48 | -3,281 53 | LT |
| | Dec 19, 07 | 93 000 | 37 711 | 3,507 17[1] | 22 760 | 2,116 68 | -1,390 49 | LT |
| | Dec 20, 07 | 567 000 | 38 020 | 21,557 45[1] | 22 760 | 12,904 92 | -8,652 53 | LT |
| | Jun 16, 09 | 1,250 000 | 21 449 | 26,812 00 | 22 760 | 28,450 00 | 1,638 00 | ST |
| Security total | | 4,801 000 | | 176,104 29 | | 109,270 76 | -66,833 53 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| RAYTHEON CO NEW | | | | | | | | |
| Symbol RTN Exchange NYSE | | | | | | | | |
| EAI $2,125 Current yield 2 41% | Oct 12, 04 | 876 000 | 36 300 | 31,798 80[1] | 51 520 | 45,131 52 | 13,332 72 | LT |
| | Jun 30, 08 | 338 000 | 56 325 | 19,038 09[1] | 51 520 | 17,413 76 | -1,624 33 | LT |
| | Jun 16, 09 | 500 000 | 44 899 | 22,449 75 | 51 520 | 25,760 00 | 3,310 25 | ST |
| Security total | | 1,714 000 | | 73,286 64 | | 88,305 28 | 15,018 64 | |
| SANOFI-AVENTIS SA SPON ADR | | | | | | | | |
| Symbol SNY Exchange NYSE | | | | | | | | |
| EAI $2,569 Current yield 2 84% | Aug 2, 07 | 1,459 000 | 41 244 | 60,175 43[1] | 39 270 | 57,294 93 | -2,880 50 | LT |
| | Aug 3, 07 | 361 000 | 41 558 | 15,002 47[1] | 39 270 | 14,176 47 | -826 00 | LT |
| | Jun 16, 09 | 480 000 | 31 879 | 15,302 16 | 39 270 | 18,849 60 | 3,547 44 | ST |
| Security total | | 2,300 000 | | 90,480 06 | | 90,321 00 | -159 06 | |
| TALISMAN ENERGY INC | | | | | | | | |
| Symbol TLM Exchange NYSE | Jun 23, 08 | 145 000 | 22 542 | 3,268 71[1] | 18 640 | 2,702 80 | -565 91 | LT |
| | Jun 24, 08 | 1,548 000 | 22 515 | 34,854 30[1] | 18 640 | 28,854 72 | -5,999 58 | LT |
| | Jul 21, 08 | 1,043 000 | 19 143 | 19,967 19[1] | 18 640 | 19,441 52 | -525 67 | LT |
| Security total | | 2,736 000 | | 58,090 20 | | 50,999 04 | -7,091 16 | |
| UNION PACIFIC CORP | | | | | | | | |
| Symbol UNP Exchange NYSE | | | | | | | | |
| EAI $1,217 Current yield 1 69% | Oct 12, 04 | 927 000 | 30 753 | 28,508 54[1] | 63 900 | 59,235 30 | 30,726 76 | LT |
| | Jun 16, 09 | 200 000 | 52 138 | 10,427 70 | 63 900 | 12,780 00 | 2,352 30 | ST |
| Security total | | 1,127 000 | | 38,936 24 | | 72,015 30 | 33,079 06 | |
| VERIZON COMMUNICATIONS INC | | | | | | | | |
| Symbol VZ Exchange NYSE | | | | | | | | |
| EAI $2,785 Current yield 5 73% | Oct 12, 04 | 1,466 000 | 41 038 | 60,161 71[1] | 33 130 | 48,568 58 | -11,593 13 | LT |
| VIACOM INC NEW CL B | | | | | | | | |
| Symbol VIAB Exchange NYSE | Dec 6, 04 | 639 000 | 43 672 | 27,906 58[1] | 29 730 | 18,997 47 | -8,909 11 | LT |
| | Dec 7, 04 | 33 000 | 43 524 | 1,436 30[1] | 29 730 | 981 09 | -455 21 | LT |
| | Dec 17, 04 | 121 000 | 42 900 | 5,190 96[1] | 29 730 | 3,597 33 | -1,593 63 | LT |
| | Dec 20, 04 | 546 000 | 42 914 | 23,431 32[1] | 29 730 | 16,232 58 | -7,198 74 | LT |
| | Sep 6, 05 | 132 000 | 41 260 | 5,446 35[1] | 29 730 | 3,924 36 | -1,521 99 | LT |
| | Sep 7, 05 | 270 000 | 41 442 | 11,189 59[1] | 29 730 | 8,027 10 | -3,162 49 | LT |
| | Jan 5, 06 | 597 000 | 42 213 | 25,201 40[1] | 29 730 | 17,748 81 | -7,452 59 | LT |

*continued next page*

## Your assets ▸ Equities ▸ Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Feb 28, 06 | 292 000 | 39 951 | 11,665 90[1] | 29 730 | 8,681 16 | -2,984 74 | LT |
| | Mar 2, 06 | 257 000 | 39 968 | 10,271 90[1] | 29 730 | 7,640 61 | -2,631 29 | LT |
| | Mar 3, 06 | 140 000 | 39 867 | 5,581 46[1] | 29 730 | 4,162 20 | -1,419 26 | LT |
| | Jan 10, 07 | 1,211 000 | 42 471 | 51,433 59[1] | 29 730 | 36,003 03 | -15,430 56 | LT |
| | Jun 16, 09 | 1,400 000 | 22 177 | 31,048 50 | 29 730 | 41,622 00 | 10,573 50 | ST |
| Security total | | 5,638 000 | | 209,803 85 | | 167,617 74 | -42,186 11 | |
| WELLS FARGO & CO NEW Symbol WFC Exchange NYSE EAI $606 Current yield 0 74% | Oct 12, 04 | 2,111 000 | 30 170 | 63,690 24[1] | 26 990 | 56,975 89 | -6,714 35 | LT |
| | Jan 10, 07 | 918 000 | 35 530 | 32,616 54[1] | 26 990 | 24,776 82 | -7,839 72 | LT |
| Security total | | 3,029 000 | | 96,306 78 | | 81,752 71 | -14,554 07 | |
| **Total** | | | | **$3,612,151.16** | | **$3,483,226.26** | **-$128,924.90** | |

**Total estimated annual income: $54,417**

[1] Indicates cost basis information has been provided by a source other than UBS Financial Services

## Your total assets

| | | Value on Dec 31 ($) | Percentage of your account | Cost basis ($) | Estimated annual income ($) | Unrealized gain or loss ($) |
|---|---|---|---|---|---|---|
| **Cash** | **Cash and money balances** | **97,726.34** | **2.73%** | **97,726.34** | | |
| **Equities** | **Common stock** | **3,483,226.26** | **97.27%** | **3,612,151.16** | **54,417.00** | **-128,924.90** |
| **Total** | | **$3,580,952.60** | **100.00%** | **$3,709,877.50** | **$54,417.00** | **-$128,924.90** |

# Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

| Date | Activity | Description | Your expense code | Quantity/ Face value | Price/Value ($) | Cash amount ($) | Cash and money balance ($) |
|---|---|---|---|---|---|---|---|
| **Nov 30** | | **Cash and money balance** | | | | | **$235,416.88** |
| Dec 1 | Dividend | CONOCOPHILLIPS PAID ON 676 | | | | 338 00 | |
| Dec 1 | Bought | CONOCOPHILLIPS<br>Average Priced Trade ▶ SYMBOL COP ▶ CUSIP NO 20825C104 ▶ Location of Execution 09 ▶ Capacity Agent | | 170 000 | 52 726500 | -8,963 51 | |

*continued next page*

**Account name:** PAULEY FAMILY FOUNDATION
**Friendly account name.** PFF MDT Adv
**Account number:** Y1 08371 1C

**Your Financial Advisor:**
DUNN/YAMIN
212-821-7000

# Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

## Cash

### Cash and money balances

| Holding | Opening balance on Dec 1 ($) | Closing balance on Dec 31 ($) | Price per share on Dec 31 ($) | Average rate | Dividend/Interest period | Days in period |
|---|---|---|---|---|---|---|
| Cash | 1,521 18 | 0 00 | | | | |
| RMA MONEY MKT PORTFOLIO | 76,695 82 | 69,033 47 | 1 00 | 0 01% | Nov 23 to Dec 23 | 31 |
| **Total** | **$78,217.00** | **$69,033.47** | | | | |

## Equities

### Common stock

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| ACME PACKET INC | | | | | | | | |
| Symbol APKT Exchange OTC | Jun 18, 09 | 141 000 | 8 681 | 1,224 05 | 11 000 | 1,551 00 | 326 95 | ST |
| | Jul 2, 09 | 231 000 | 10 108 | 2,334 99 | 11 000 | 2,541 00 | 206 01 | ST |
| | Jul 10, 09 | 173 000 | 9 512 | 1,645 71 | 11 000 | 1,903 00 | 257 29 | ST |
| | Jul 23, 09 | 165 000 | 10 239 | 1,689 47 | 11 000 | 1,815 00 | 125 53 | ST |
| Security total | | 710 000 | | 6,894 22 | | 7,810 00 | 915 78 | |
| ACUITY BRANDS INC | | | | | | | | |
| Symbol AYI Exchange NYSE | | | | | | | | |
| EAI $429 Current yield 1 46% | Dec 15, 09 | 366 000 | 34 427 | 12,600 57 | 35 640 | 13,044 24 | 443 67 | ST |
| | Dec 17, 09 | 222 000 | 34 795 | 7,724 60 | 35 640 | 7,912 08 | 187 48 | ST |
| | Dec 18, 09 | 120 000 | 35 169 | 4,220 40 | 35 640 | 4,276 80 | 56 40 | ST |
| | Dec 22, 09 | 117 000 | 35 470 | 4,149 99 | 35 640 | 4,169 88 | 19 89 | ST |
| Security total | | 825 000 | | 28,695 56 | | 29,403 00 | 707 44 | |
| ADVANCED ENERGY INDUSTRIES INC | | | | | | | | |
| Symbol AEIS Exchange OTC | Nov 2, 09 | 211 000 | 12 230 | 2,580 59 | 15 080 | 3,181 88 | 601 29 | ST |
| | Nov 3, 09 | 225 000 | 11 417 | 2,568 94 | 15 080 | 3,393 00 | 824 06 | ST |
| | Nov 9, 09 | 249 000 | 11 650 | 2,900 85 | 15 080 | 3,754 92 | 854 07 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Dec 21, 09 | 193 000 | 13 498 | 2,605 17 | 15 080 | 2,910 44 | 305 27 | ST |
| Security total | | 878 000 | | 10,655 55 | | 13,240 24 | 2,584 69 | |
| ADVENT SOFTWARE INC | | | | | | | | |
| Symbol ADVS Exchange OTC | Feb 6, 09 | 239 000 | 29 575 | 7,068 52 | 40 730 | 9,734 47 | 2,665 95 | ST |
| | Feb 11, 09 | 196 000 | 28 570 | 5,599 78 | 40 730 | 7,983 08 | 2,383 30 | ST |
| | Feb 13, 09 | 162 000 | 28 925 | 4,686 00 | 40 730 | 6,598 26 | 1,912 26 | ST |
| | Feb 18, 09 | 115 000 | 28 522 | 3,280 06 | 40 730 | 4,683 95 | 1,403 89 | ST |
| | Feb 27, 09 | 128 000 | 27 222 | 3,484 51 | 40 730 | 5,213 44 | 1,728 93 | ST |
| | Jun 1, 09 | 107 000 | 31 873 | 3,410 43 | 40 730 | 4,358 11 | 947 68 | ST |
| | Jun 18, 09 | 181 000 | 31 424 | 5,687 92 | 40 730 | 7,372 13 | 1,684 21 | ST |
| Security total | | 1,128 000 | | 33,217 22 | | 45,943 44 | 12,726 22 | |
| AFFYMETRIX INC | | | | | | | | |
| Symbol AFFX Exchange OTC | Sep 24, 09 | 450 000 | 9 340 | 4,203 00 | 5 840 | 2,628 00 | -1,575 00 | ST |
| | Sep 24, 09 | 320 000 | 9 340 | 2,988 80 | 5 840 | 1,868 80 | -1,120 00 | ST |
| | Sep 28, 09 | 494 000 | 8 905 | 4,399 47 | 5 840 | 2,884 96 | -1,514 51 | ST |
| | Sep 29, 09 | 312 000 | 9 024 | 2,815 64 | 5 840 | 1,822 08 | -993 56 | ST |
| Security total | | 1,576 000 | | 14,406 91 | | 9,203 84 | -5,203 07 | |
| AIR METHODS CORP NEW | | | | | | | | |
| Symbol AIRM Exchange OTC | Jun 1, 09 | 132 000 | 27 949 | 3,689 31 | 33 620 | 4,437 84 | 748 53 | ST |
| | Jun 18, 09 | 75 000 | 27 891 | 2,091 86 | 33 620 | 2,521 50 | 429 64 | ST |
| | Nov 9, 09 | 98 000 | 35 325 | 3,461 87 | 33 620 | 3,294 76 | -167 11 | ST |
| Security total | | 305 000 | | 9,243 04 | | 10,254 10 | 1,011 06 | |
| AMEDISYS INC | | | | | | | | |
| Symbol AMED Exchange OTC | Dec 17, 09 | 161 000 | 45 523 | 7,329 21 | 48 600 | 7,824 60 | 495 39 | ST |
| AMER MEDICAL SYSTEMS HOLDINGS | | | | | | | | |
| Symbol AMMD Exchange OTC | Mar 23, 09 | 229 000 | 10 242 | 2,345 49 | 19 290 | 4,417 41 | 2,071 92 | ST |
| | Mar 24, 09 | 256 000 | 10 380 | 2,657 28 | 19 290 | 4,938 24 | 2,280 96 | ST |
| | Mar 26, 09 | 210 000 | 11 270 | 2,366 70 | 19 290 | 4,050 90 | 1,684 20 | ST |
| | Mar 30, 09 | 649 000 | 11 168 | 7,248 10 | 19 290 | 12,519 21 | 5,271 11 | ST |
| | Apr 3, 09 | 437 000 | 11 703 | 5,114 34 | 19 290 | 8,429 73 | 3,315 39 | ST |
| | Apr 6, 09 | 81 000 | 11 489 | 930 68 | 19 290 | 1,562 49 | 631 81 | ST |
| | Jun 18, 09 | 354 000 | 16 027 | 5,673 75 | 19 290 | 6,828 66 | 1,154 91 | ST |
| Security total | | 2,216 000 | | 26,336 34 | | 42,746 64 | 16,410 30 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| AMER SUPERCONDUCTOR CORP | | | | | | | | |
| Symbol AMSC Exchange OTC | Sep 24, 09 | 302 000 | 31 139 | 9,404 28 | 40 900 | 12,351 80 | 2,947 52 | ST |
| | Nov 20, 09 | 143 000 | 33 258 | 4,755 92 | 40 900 | 5,848 70 | 1,092 78 | ST |
| | Dec 3, 09 | 85 000 | 34 700 | 2,949 50 | 40 900 | 3,476 50 | 527 00 | ST |
| | Dec 21, 09 | 173 000 | 40 750 | 7,049 92 | 40 900 | 7,075 70 | 25 78 | ST |
| | Dec 22, 09 | 98 000 | 41 750 | 4,091 50 | 40 900 | 4,008 20 | -83 30 | ST |
| Security total | | 801 000 | | 28,251 12 | | 32,760 90 | 4,509 78 | |
| AMERICA'S CAR MART INC | | | | | | | | |
| Symbol CRMT Exchange OTC | Sep 3, 09 | 181 000 | 24 274 | 4,393 63 | 26 330 | 4,765 73 | 372 10 | ST |
| | Sep 8, 09 | 103 000 | 24 280 | 2,500 88 | 26 330 | 2,711 99 | 211 11 | ST |
| Security total | | 284 000 | | 6,894 51 | | 7,477 72 | 583 21 | |
| AMERIGROUP CORP | | | | | | | | |
| Symbol AGP Exchange NYSE | Jun 18, 09 | 284 000 | 29 368 | 8,340 75 | 26 960 | 7,656 64 | -684 11 | ST |
| AMERISTAR CASINO INC | | | | | | | | |
| Symbol ASCA Exchange OTC | | | | | | | | |
| EAI $132 Current yield 2 76% | Jul 2, 09 | 314 000 | 18 902 | 5,935 48 | 15 230 | 4,782 22 | -1,153 26 | ST |
| AMKOR TECHNOLOGIES INC | | | | | | | | |
| Symbol AMKR Exchange OTC | Jul 27, 09 | 1,306 000 | 5 912 | 7,721 59 | 7 160 | 9,350 96 | 1,629 37 | ST |
| | Aug 3, 09 | 603 000 | 6 473 | 3,903 40 | 7 160 | 4,317 48 | 414 08 | ST |
| | Aug 5, 09 | 453 000 | 6 469 | 2,930 77 | 7 160 | 3,243 48 | 312 71 | ST |
| | Sep 9, 09 | 443 000 | 6 660 | 2,950 38 | 7 160 | 3,171 88 | 221 50 | ST |
| | Sep 11, 09 | 444 000 | 7 420 | 3,294 48 | 7 160 | 3,179 04 | -115 44 | ST |
| Security total | | 3,249 000 | | 20,800 62 | | 23,262 84 | 2,462 22 | |
| AMPCO PITTSBURG CORP | | | | | | | | |
| Symbol AP Exchange NYSE | | | | | | | | |
| EAI $117 Current yield 2 28% | Nov 24, 09 | 163 000 | 29 451 | 4,800 66 | 31 530 | 5,139 39 | 338 73 | ST |
| APAC CUSTOMER SERVICES INC | | | | | | | | |
| Symbol APAC Exchange OTC | Jul 16, 09 | 211 000 | 5 152 | 1,087 24 | 5 960 | 1,257 56 | 170 32 | ST |
| ARCSIGHT INC | | | | | | | | |
| Symbol ARST Exchange OTC | Nov 18, 09 | 261 000 | 25 010 | 6,527 64 | 25 580 | 6,676 38 | 148 74 | ST |
| | Nov 19, 09 | 164 000 | 24 799 | 4,067 20 | 25 580 | 4,195 12 | 127 92 | ST |
| | Nov 20, 09 | 102 000 | 24 495 | 2,498 55 | 25 580 | 2,609 16 | 110 61 | ST |
| Security total | | 527 000 | | 13,093 39 | | 13,480 66 | 387 27 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| ARENA RESOURCES INC | | | | | | | | |
| Symbol ARD Exchange NYSE | Sep 24, 09 | 272 000 | 35 779 | 9,732 16 | 43 120 | 11,728 64 | 1,996 48 | ST |
| | Sep 28, 09 | 367 000 | 34 462 | 12,647 66 | 43 120 | 15,825 04 | 3,177 38 | ST |
| | Sep 29, 09 | 317 000 | 34 734 | 11,010 96 | 43 120 | 13,669 04 | 2,658 08 | ST |
| | Sep 30, 09 | 209 000 | 35 330 | 7,383 97 | 43 120 | 9,012 08 | 1,628 11 | ST |
| | Oct 2, 09 | 131 000 | 32 639 | 4,275 84 | 43 120 | 5,648 72 | 1,372 88 | ST |
| | Oct 5, 09 | 84 000 | 32 877 | 2,761 69 | 43 120 | 3,622 08 | 860 39 | ST |
| Security total | | 1,380 000 | | 47,812 28 | | 59,505 60 | 11,693 32 | |
| ARIBA INC NEW | | | | | | | | |
| Symbol ARBA Exchange OTC | Dec 21, 09 | 472 000 | 11 410 | 5,385 90 | 12 520 | 5,909 44 | 523 54 | ST |
| ART TECHNOLOGY GROUP INC | | | | | | | | |
| Symbol ARTG Exchange OTC | Jun 1, 09 | 1,409 000 | 3 854 | 5,431 41 | 4 510 | 6,354 59 | 923 18 | ST |
| | Jun 18, 09 | 313 000 | 3 518 | 1,101 20 | 4 510 | 1,411 63 | 310 43 | ST |
| Security total | | 1,722 000 | | 6,532 61 | | 7,766 22 | 1,233 61 | |
| AVIS BUDGET GROUP INC | | | | | | | | |
| Symbol CAR Exchange NYSE | Jul 27, 09 | 337 000 | 8 009 | 2,699 20 | 13 120 | 4,421 44 | 1,722 24 | ST |
| | Aug 4, 09 | 152 000 | 8 909 | 1,354 24 | 13 120 | 1,994 24 | 640 00 | ST |
| | Aug 4, 09 | 149 000 | 8 909 | 1,327 52 | 13 120 | 1,954 88 | 627 36 | ST |
| | Aug 11, 09 | 189 000 | 10 400 | 1,965 60 | 13 120 | 2,479 68 | 514 08 | ST |
| | Aug 11, 09 | 51 000 | 10 400 | 530 40 | 13 120 | 669 12 | 138 72 | ST |
| | Sep 18, 09 | 282 000 | 13 377 | 3,772 46 | 13 120 | 3,699 84 | -72 62 | ST |
| | Nov 18, 09 | 477 000 | 10 993 | 5,243 92 | 13 120 | 6,258 24 | 1,014 32 | ST |
| Security total | | 1,637 000 | | 16,893 34 | | 21,477 44 | 4,584 10 | |
| BAKER MICHAEL CORP | | | | | | | | |
| Symbol BKR Exchange AMEX | Aug 5, 09 | 45 000 | 41 099 | 1,849 50 | 41 400 | 1,863 00 | 13 50 | ST |
| BALLY TECHNOLOGIES INC | | | | | | | | |
| Symbol BYI Exchange NYSE | Nov 18, 09 | 176 000 | 44 831 | 7,890 39 | 41 290 | 7,267 04 | -623 35 | ST |
| | Dec 8, 09 | 115 000 | 42 180 | 4,850 70 | 41 290 | 4,748 35 | -102 35 | ST |
| Security total | | 291 000 | | 12,741 09 | | 12,015 39 | -725 70 | |
| BARE ESCENTUALS INC | | | | | | | | |
| Symbol BARE Exchange OTC | Jul 9, 09 | 521 000 | 7 850 | 4,090 32 | 12 230 | 6,371 83 | 2,281 51 | ST |
| | Sep 11, 09 | 329 000 | 10 830 | 3,563 07 | 12 230 | 4,023 67 | 460 60 | ST |
| Security total | | 850 000 | | 7,653 39 | | 10,395 50 | 2,742 11 | |

*continued next page*

## Your assets ‣ **Equities** ‣ **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| BEACON ROOFING SUPPLY INC | | | | | | | | |
| Symbol BECN Exchange OTC | Jun 18, 09 | 409 000 | 13 884 | 5,678 75 | 16 000 | 6,544 00 | 865 25 | ST |
| BIG 5 SPORTING GOODS CORP | | | | | | | | |
| Symbol BGFV Exchange OTC | | | | | | | | |
| EAI $90 Current yield 1 17% | Jul 27, 09 | 267 000 | 13 227 | 3,531 79 | 17 180 | 4,587 06 | 1,055 27 | ST |
| | Sep 1, 09 | 182 000 | 15 150 | 2,757 30 | 17 180 | 3,126 76 | 369 46 | ST |
| Security total | | 449 000 | | 6,289 09 | | 7,713 82 | 1,424 73 | |
| BLACKBAUD INC | | | | | | | | |
| Symbol BLKB Exchange OTC | | | | | | | | |
| EAI $154 Current yield 1 69% | Nov 18, 09 | 272 000 | 21 759 | 5,918 64 | 23 630 | 6,427 36 | 508 72 | ST |
| | Nov 27, 09 | 79 000 | 21 280 | 1,681 12 | 23 630 | 1,866 77 | 185 65 | ST |
| | Nov 27, 09 | 35 000 | 21 280 | 744 80 | 23 630 | 827 05 | 82 25 | ST |
| Security total | | 386 000 | | 8,344 56 | | 9,121 18 | 776 62 | |
| BLUE COAT SYSTEMS INC NEW | | | | | | | | |
| Symbol BCSI Exchange OTC | Sep 15, 09 | 403 000 | 18 376 | 7,405 85 | 28 540 | 11,501 62 | 4,095 77 | ST |
| | Sep 18, 09 | 215 000 | 19 636 | 4,221 85 | 28 540 | 6,136 10 | 1,914 25 | ST |
| | Sep 24, 09 | 116 000 | 22 763 | 2,640 60 | 28 540 | 3,310 64 | 670 04 | ST |
| | Oct 23, 09 | 121 000 | 25 695 | 3,109 22 | 28 540 | 3,453 34 | 344 12 | ST |
| Security total | | 855 000 | | 17,377 52 | | 24,401 70 | 7,024 18 | |
| BLUE NILE INC | | | | | | | | |
| Symbol NILE Exchange OTC | Nov 10, 09 | 110 000 | 61 914 | 6,810 65 | 63 330 | 6,966 30 | 155 65 | ST |
| | Nov 18, 09 | 76 000 | 58 397 | 4,438 25 | 63 330 | 4,813 08 | 374 83 | ST |
| | Nov 20, 09 | 45 000 | 57 130 | 2,570 85 | 63 330 | 2,849 85 | 279 00 | ST |
| Security total | | 231 000 | | 13,819 75 | | 14,629 23 | 809 48 | |
| BOSTON BEER CO INC CL A | | | | | | | | |
| Symbol SAM Exchange NYSE | Nov 10, 09 | 160 000 | 40 987 | 6,557 94 | 46 600 | 7,456 00 | 898 06 | ST |
| | Nov 18, 09 | 90 000 | 41 784 | 3,760 58 | 46 600 | 4,194 00 | 433 42 | ST |
| | Nov 19, 09 | 62 000 | 41 702 | 2,585 55 | 46 600 | 2,889 20 | 303 65 | ST |
| | Dec 22, 09 | 58 000 | 45 200 | 2,621 60 | 46 600 | 2,702 80 | 81 20 | ST |
| Security total | | 370 000 | | 15,525 67 | | 17,242 00 | 1,716 33 | |
| BRIDGEPOINT EDUCATION INC | | | | | | | | |
| Symbol BPI Exchange NYSE | Oct 2, 09 | 565 000 | 14 619 | 8,260 02 | 15 020 | 8,486 30 | 226 28 | ST |
| | Oct 5, 09 | 316 000 | 14 810 | 4,679 99 | 15 020 | 4,746 32 | 66 33 | ST |

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## Your assets ▸ **Equities** ▸ **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Oct 15, 09 | 280 000 | 16 969 | 4,751 32 | 15 020 | 4,205 60 | -545 72 | ST |
| Security total | | 1,161 000 | | 17,691 33 | | 17,438 22 | -253 11 | |
| BRIGHTPOINT INC NEW | | | | | | | | |
| Symbol CELL Exchange OTC | Nov 10, 09 | 1,264 000 | 7 641 | 9,659 36 | 7 350 | 9,290 40 | -368 96 | ST |
| BWAY HLDG CO | | | | | | | | |
| Symbol BWY Exchange NYSE | Jan 7, 09 | 310 000 | 7 989 | 2,476 65 | 19 220 | 5,958 20 | 3 481 55 | ST |
| | Jan 12, 09 | 249 000 | 8 029 | 1,999 27 | 19 220 | 4,785 78 | 2,786 51 | ST |
| | Jan 15, 09 | 235 000 | 7 943 | 1,866 61 | 19 220 | 4,516 70 | 2,650 09 | ST |
| | Jan 21, 09 | 247 000 | 8 042 | 1,986 42 | 19 220 | 4,747 34 | 2,760 92 | ST |
| | Jan 26, 09 | 254 000 | 8 021 | 2,037 51 | 19 220 | 4,881 88 | 2,844 37 | ST |
| | Jan 28, 09 | 188 000 | 8 466 | 1,591 70 | 19 220 | 3,613 36 | 2,021 66 | ST |
| | Feb 2, 09 | 160 000 | 8 517 | 1,362 74 | 19 220 | 3,075 20 | 1,712 46 | ST |
| | Feb 13, 09 | 181 000 | 8 320 | 1,506 03 | 19 220 | 3,478 82 | 1,972 79 | ST |
| | Feb 18, 09 | 111 000 | 7 729 | 857 95 | 19 220 | 2,133 42 | 1,275 47 | ST |
| | Jun 18, 09 | 292 000 | 15 697 | 4,583 67 | 19 220 | 5,612 24 | 1,028 57 | ST |
| Security total | | 2,227 000 | | 20,268 55 | | 42,802 94 | 22,534 39 | |
| CACI INTL INC CL A | | | | | | | | |
| Symbol CACI Exchange NYSE | Apr 8, 09 | 45 000 | 35 180 | 1,583 10 | 48 850 | 2,198 25 | 615 15 | ST |
| CALAVO GROWERS INC | | | | | | | | |
| Symbol CVGW Exchange OTC | | | | | | | | |
| EAI $111 Current yield 2 94% | Feb 3, 09 | 77 000 | 13 922 | 1,072 03 | 17 000 | 1,309 00 | 236 97 | ST |
| | Feb 6, 09 | 73 000 | 13 840 | 1,010 36 | 17 000 | 1,241 00 | 230 64 | ST |
| | Feb 13, 09 | 72 000 | 14 310 | 1,030 32 | 17 000 | 1,224 00 | 193 68 | ST |
| Security total | | 222 000 | | 3,112 71 | | 3,774 00 | 661 29 | |
| CALIFORINA PIZZA KITCHEN INC | | | | | | | | |
| Symbol CPKI Exchange OTC | Jun 18, 09 | 157 000 | 12 916 | 2,027 89 | 13 450 | 2,111 65 | 83 76 | ST |
| CANTEL MEDICAL CORP | | | | | | | | |
| Symbol CMN Exchange NYSE | | | | | | | | |
| EAI $36 Current yield 0 49% | Jun 8, 09 | 129 000 | 16 364 | 2,110 96 | 20 180 | 2,603 22 | 492 26 | ST |
| | Jun 9, 09 | 93 000 | 16 400 | 1,525 20 | 20 180 | 1,876 74 | 351 54 | ST |
| | Jun 18, 09 | 139 000 | 15 365 | 2,135 87 | 20 180 | 2,805 02 | 669 15 | ST |
| Security total | | 361 000 | | 5,772 03 | | 7,284 98 | 1,512 95 | |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| CAPELLA EDUCATION CO | | | | | | | | |
| Symbol CPLA Exchange OTC | Nov 19, 09 | 84 000 | 74 190 | 6,231 96 | 75 300 | 6,325 20 | 93 24 | ST |
| CARBO CERAMICS INC | | | | | | | | |
| Symbol CRR Exchange NYSE | | | | | | | | |
| EAI $654 Current yield 1 06% | Nov 2, 09 | 200 000 | 58 641 | 11,728 30 | 68 170 | 13,634 00 | 1,905 70 | ST |
| | Nov 3, 09 | 195 000 | 62 800 | 12,246 02 | 68 170 | 13,293 15 | 1,047 13 | ST |
| | Nov 6, 09 | 101 000 | 60 210 | 6,081 21 | 68 170 | 6,885 17 | 803 96 | ST |
| | Nov 9, 09 | 91 000 | 62 145 | 5,655 27 | 68 170 | 6,203 47 | 548 20 | ST |
| | Nov 18, 09 | 96 000 | 63 702 | 6,115 39 | 68 170 | 6,544 32 | 428 93 | ST |
| | Nov 19, 09 | 77 000 | 61 637 | 4,746 09 | 68 170 | 5,249 09 | 503 00 | ST |
| | Nov 25, 09 | 55 000 | 59 079 | 3,249 40 | 68 170 | 3,749 35 | 499 95 | ST |
| | Nov 27, 09 | 43 000 | 56 959 | 2,449 28 | 68 170 | 2,931 31 | 482 03 | ST |
| | Dec 3, 09 | 51 000 | 60 731 | 3,097 28 | 68 170 | 3,476 67 | 379 39 | ST |
| Security total | | 909 000 | | 55,368 24 | | 61,966 53 | 6,598 29 | |
| CARDTRONICS INC | | | | | | | | |
| Symbol CATM Exchange OTC | Dec 21, 09 | 513 000 | 11 307 | 5,800 80 | 11 060 | 5,673 78 | -127 02 | ST |
| CARRIZO OIL & GAS INC | | | | | | | | |
| Symbol CRZO Exchange OTC | Dec 8, 09 | 434 000 | 21 930 | 9,517 88 | 26 510 | 11,505 34 | 1,987 46 | ST |
| | Dec 15, 09 | 225 000 | 26 387 | 5,937 10 | 26 510 | 5,964 75 | 27 65 | ST |
| | Dec 18, 09 | 107 000 | 26 930 | 2,881 51 | 26 510 | 2,836 57 | -44 94 | ST |
| Security total | | 766 000 | | 18,336 49 | | 20,306 66 | 1,970 17 | |
| CARROLS RESTAURANT GROUP INC | | | | | | | | |
| Symbol TAST Exchange OTC | Apr 24, 09 | 237 000 | 5 895 | 1,397 33 | 7 070 | 1,675 59 | 278 26 | ST |
| | May 11, 09 | 161 000 | 6 704 | 1,079 44 | 7 070 | 1,138 27 | 58 83 | ST |
| | Jun 18, 09 | 106 000 | 6 409 | 679 45 | 7 070 | 749 42 | 69 97 | ST |
| Security total | | 504 000 | | 3,156 22 | | 3,563 28 | 407 06 | |
| CARTER'S INC | | | | | | | | |
| Symbol CRI Exchange NYSE | Apr 30, 09 | 225 000 | 21 213 | 4,772 95 | 26 250 | 5,906 25 | 1,133 30 | ST |
| | May 6, 09 | 411 000 | 23 104 | 9,496 03 | 26 250 | 10,788 75 | 1,292 72 | ST |
| | May 11, 09 | 275 000 | 21 580 | 5,934 71 | 26 250 | 7,218 75 | 1,284 04 | ST |
| | May 26, 09 | 409 000 | 21 718 | 8,882 78 | 26 250 | 10,736 25 | 1,853 47 | ST |
| | Jun 18, 09 | 178 000 | 23 476 | 4,178 91 | 26 250 | 4,672 50 | 493 59 | ST |

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UBS

**Friendly account name:** PFF MDT Adv
**Account number:** Y1 08371 1C

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 1,498 000 | | 33,265 38 | | 39,322 50 | 6,057 12 | |
| CASEYS GEN STORES INC | | | | | | | | |
| Symbol CASY Exchange OTC | | | | | | | | |
| EAI $627 Current yield 1 07% | Sep 15, 08 | 45 000 | 29 237 | 1,315 67[1] | 31 910 | 1,435 95 | 120 28 | LT |
| | Sep 16, 08 | 268 000 | 28 967 | 7,763 42[1] | 31 910 | 8,551 88 | 788 46 | LT |
| | Sep 17, 08 | 148 000 | 28 853 | 4,270 38[1] | 31 910 | 4,722 68 | 452 30 | LT |
| | Sep 24, 08 | 151 000 | 28 545 | 4,310 40[1] | 31 910 | 4,818 41 | 508 01 | LT |
| | Dec 10, 08 | 239 000 | 22 584 | 5,397 70 | 31 910 | 7,626 49 | 2,228 79 | LT |
| | Dec 30, 08 | 152 000 | 21 336 | 3,243 15 | 31 910 | 4,850 32 | 1,607 17 | LT |
| | May 11, 09 | 117 000 | 24 383 | 2,852 87 | 31 910 | 3,733 47 | 880 60 | ST |
| | Jun 18, 09 | 218 000 | 26 721 | 5,825 25 | 31 910 | 6,956 38 | 1,131 13 | ST |
| | Sep 11, 09 | 201 000 | 31 103 | 6,251 86 | 31 910 | 6,413 91 | 162 05 | ST |
| | Sep 15, 09 | 215 000 | 30 138 | 6,479 71 | 31 910 | 6,860 65 | 380 94 | ST |
| | Sep 21, 09 | 90 000 | 29 790 | 2,681 10 | 31 910 | 2,871 90 | 190 80 | ST |
| Security total | | 1,844 000 | | 50,391 51 | | 58,842 04 | 8,450 53 | |
| CATALYST HEALTH SOLUTIONS INC | | | | | | | | |
| Symbol CHSI Exchange OTC | Nov 6, 09 | 268 000 | 32 695 | 8,762 47 | 36 470 | 9,773 96 | 1,011 49 | ST |
| | Nov 16, 09 | 106 000 | 34 480 | 3,654 88 | 36 470 | 3,865 82 | 210 94 | ST |
| | Nov 18, 09 | 104 000 | 35 015 | 3,641 66 | 36 470 | 3,792 88 | 151 22 | ST |
| | Nov 27, 09 | 74 000 | 33 340 | 2,467 16 | 36 470 | 2,698 78 | 231 62 | ST |
| Security total | | 552 000 | | 18,526 17 | | 20,131 44 | 1,605 27 | |
| CATO CORP NEW CL A | | | | | | | | |
| Symbol CATO Exchange NYSE | | | | | | | | |
| EAI $170 Current yield 3 30% | Jun 18, 09 | 257 000 | 17 661 | 4,538 98 | 20 060 | 5,155 42 | 616 44 | ST |
| CAVIUM NETWORKS INC | | | | | | | | |
| Symbol CAVM Exchange OTC | Dec 4, 09 | 319 000 | 21 250 | 6,778 75 | 23 830 | 7,601 77 | 823 02 | ST |
| | Dec 21, 09 | 291 000 | 23 491 | 6,836 03 | 23 830 | 6,934 53 | 98 50 | ST |
| Security total | | 610 000 | | 13,614 78 | | 14,536 30 | 921 52 | |
| CHART INDUSTRIES INC | | | | | | | | |
| Symbol GTLS Exchange OTC | Jul 30, 09 | 152 000 | 20 424 | 3,104 51 | 16 520 | 2,511 04 | -593 47 | ST |
| | Aug 3, 09 | 168 000 | 20 008 | 3,361 50 | 16 520 | 2,775 36 | -586 14 | ST |
| Security total | | 320 000 | | 6,466 01 | | 5,286 40 | -1,179 61 | |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| CHATTEM INC | | | | | | | | |
| Symbol CHTT Exchange OTC | Oct 15, 09 | 31 000 | 65 790 | 2,039 49 | 93 300 | 2,892 30 | 852 81 | ST |
| CHEESECAKE FACTORY INC | | | | | | | | |
| Symbol CAKE Exchange OTC | Jun 3, 09 | 31 000 | 17 257 | 534 97 | 21 590 | 669 29 | 134 32 | ST |
| | Jun 4, 09 | 103 000 | 17 778 | 1,831 13 | 21 590 | 2,223 77 | 392 64 | ST |
| | Jun 15, 09 | 246 000 | 16 260 | 3,999 96 | 21 590 | 5,311 14 | 1,311 18 | ST |
| | Jun 16, 09 | 66 000 | 16 584 | 1,094 61 | 21 590 | 1,424 94 | 330 33 | ST |
| | Jun 16, 09 | 52 000 | 16 584 | 862 42 | 21 590 | 1,122 68 | 260 26 | ST |
| | Jun 18, 09 | 248 000 | 17 308 | 4,292 51 | 21 590 | 5,354 32 | 1,061 81 | ST |
| | Jun 18, 09 | 61 000 | 17 308 | 1,055 82 | 21 590 | 1,316 99 | 261 17 | ST |
| | Jul 2, 09 | 98 000 | 16 889 | 1,655 19 | 21 590 | 2,115 82 | 460 63 | ST |
| | Jul 9, 09 | 110 000 | 15 879 | 1,746 69 | 21 590 | 2,374 90 | 628 21 | ST |
| | Jul 15, 09 | 93 000 | 17 309 | 1,609 74 | 21 590 | 2,007 87 | 398 13 | ST |
| | Jul 22, 09 | 137 000 | 17 879 | 2,449 56 | 21 590 | 2,957 83 | 508 27 | ST |
| | Aug 25, 09 | 163 000 | 19 176 | 3,125 77 | 21 590 | 3,519 17 | 393 40 | ST |
| | Sep 11, 09 | 156 000 | 19 549 | 3,049 80 | 21 590 | 3,368 04 | 318 24 | ST |
| | Sep 18, 09 | 254 000 | 20 208 | 5,132 96 | 21 590 | 5,483 86 | 350 90 | ST |
| | Sep 21, 09 | 128 000 | 20 580 | 2,634 24 | 21 590 | 2,763 52 | 129 28 | ST |
| | Sep 30, 09 | 138 000 | 19 200 | 2,649 60 | 21 590 | 2,979 42 | 329 82 | ST |
| Security total | | 2,084 000 | | 37,724 97 | | 44,993 56 | 7,268 59 | |
| CHEMED CORP NEW | | | | | | | | |
| Symbol CHE Exchange NYSE | | | | | | | | |
| EAI $147 Current yield 1 00% | Aug 19, 09 | 169 000 | 42 586 | 7,197 10 | 47 970 | 8,106 93 | 909 83 | ST |
| | Aug 21, 09 | 69 000 | 44 240 | 3,052 56 | 47 970 | 3,309 93 | 257 37 | ST |
| | Sep 2, 09 | 69 000 | 42 900 | 2,960 10 | 47 970 | 3,309 93 | 349 83 | ST |
| Security total | | 307 000 | | 13,209 76 | | 14,726 79 | 1,517 03 | |
| CHICO'S FAS INC | | | | | | | | |
| Symbol CHS Exchange NYSE | Jun 3, 09 | 813 000 | 10 031 | 8,155 81 | 14 050 | 11,422 65 | 3,266 84 | ST |
| | Jun 4, 09 | 599 000 | 9 941 | 5,955 07 | 14 050 | 8,415 95 | 2,460 88 | ST |
| | Jun 5, 09 | 399 000 | 9 786 | 3,904 86 | 14 050 | 5,605 95 | 1,701 09 | ST |
| | Jun 18, 09 | 336 000 | 9 509 | 3,195 19 | 14 050 | 4,720 80 | 1,525 61 | ST |
| Security total | | 2,147 000 | | 21,210 93 | | 30,165 35 | 8,954 42 | |

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UBS

**Friendly account name:** PFF MDT Adv
**Account number:** Y1 08371 1C

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| CHIPOTLE MEXICAN GRILL INC | | | | | | | | |
| CL A | | | | | | | | |
| Symbol CMG Exchange NYSE | Jun 5, 09 | 51 000 | 75 750 | 3,863 25 | 88 160 | 4,496 16 | 632 91 | ST |
| | Jun 5, 09 | 27 000 | 75 750 | 2,045 25 | 88 160 | 2,380 32 | 335 07 | ST |
| | Jun 15, 09 | 67 000 | 71 380 | 4,782 46 | 88 160 | 5,906 72 | 1,124 26 | ST |
| | Jun 18, 09 | 111 000 | 71 125 | 7,894 98 | 88 160 | 9,785 76 | 1,890 78 | ST |
| | Jul 2, 09 | 25 000 | 69 100 | 1,727 50 | 88 160 | 2,204 00 | 476 50 | ST |
| | Jul 10, 09 | 25 000 | 68 532 | 1,713 31 | 88 160 | 2,204 00 | 490 69 | ST |
| | Jul 14, 09 | 24 000 | 68 730 | 1,649 52 | 88 160 | 2,115 84 | 466 32 | ST |
| | Sep 11, 09 | 46 000 | 79 380 | 3,651 48 | 88 160 | 4,055 36 | 403 88 | ST |
| | Nov 2, 09 | 153 000 | 81 590 | 12,483 27 | 88 160 | 13,488 48 | 1,005 21 | ST |
| Security total | | 529 000 | | 39,811 02 | | 46,636 64 | 6,825 62 | |
| COGENT COMMUNICATIONS GROUP | | | | | | | | |
| INC NEW | | | | | | | | |
| Symbol CCOI Exchange OTC | Oct 2, 09 | 1 000 | 10 977 | 10 98 | 9 860 | 9 86 | -1 12 | ST |
| | Oct 5, 09 | 231 000 | 11 150 | 2,575 70 | 9 860 | 2,277 66 | -298 04 | ST |
| Security total | | 232 000 | | 2,586 68 | | 2,287 52 | -299 16 | |
| COHEN & STEERS INC | | | | | | | | |
| Symbol CNS Exchange NYSE | | | | | | | | |
| EAI $148 Current yield 0 87% | Sep 28, 09 | 144 000 | 23 247 | 3,347 64 | 22 840 | 3,288 96 | -58 68 | ST |
| | Sep 29, 09 | 148 000 | 23 843 | 3,528 79 | 22 840 | 3,380 32 | -148 47 | ST |
| | Sep 30, 09 | 112 000 | 23 900 | 2,676 80 | 22 840 | 2,558 08 | -118 72 | ST |
| | Oct 2, 09 | 110 000 | 22 770 | 2,504 70 | 22 840 | 2,512 40 | 7 70 | ST |
| | Oct 5, 09 | 111 000 | 22 707 | 2,520 56 | 22 840 | 2,535 24 | 14 68 | ST |
| | Oct 16, 09 | 116 000 | 25 573 | 2,966 54 | 22 840 | 2,649 44 | -317 10 | ST |
| Security total | | 741 000 | | 17,545 03 | | 16,924 44 | -620 59 | |
| COLDWATER CREEK INC | | | | | | | | |
| Symbol CWTR Exchange OTC | Jul 27, 09 | 600 000 | 6 574 | 3,944 52 | 4 460 | 2,676 00 | -1,268 52 | ST |
| | Aug 3, 09 | 432 000 | 7 230 | 3,123 36 | 4 460 | 1,926 72 | -1,196 64 | ST |
| | Sep 17, 09 | 240 000 | 7 930 | 1,903 20 | 4 460 | 1,070 40 | -832 80 | ST |
| | Sep 18, 09 | 463 000 | 8 568 | 3,967 08 | 4 460 | 2,064 98 | -1,902 10 | ST |
| Security total | | 1,735 000 | | 12,938 16 | | 7,738 10 | -5,200 06 | |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| COLLECTIVE BRANDS INC | | | | | | | | |
| Symbol PSS Exchange NYSE | Aug 25, 09 | 290 000 | 14 020 | 4,065 80 | 22 770 | 6,603 30 | 2,537 50 | ST |
| | Sep 2, 09 | 153 000 | 15 730 | 2,406 69 | 22 770 | 3,483 81 | 1,077 12 | ST |
| | Oct 13, 09 | 242 000 | 19 120 | 4,627 04 | 22 770 | 5,510 34 | 883 30 | ST |
| | Oct 15, 09 | 164 000 | 19 670 | 3,225 88 | 22 770 | 3,734 28 | 508 40 | ST |
| | Oct 16, 09 | 132 000 | 20 343 | 2,685 40 | 22 770 | 3,005 64 | 320 24 | ST |
| Security total | | 981 000 | | 17,010 81 | | 22,337 37 | 5,326 56 | |
| COMPELLENT TECHNOLOGIES INC | | | | | | | | |
| Symbol CML Exchange NYSE | Nov 2, 09 | 271 000 | 18 987 | 5,145 50 | 22 680 | 6,146 28 | 1,000 78 | ST |
| CONSOLIDATED COMMUNICATIONS HOLDINGS INC | | | | | | | | |
| Symbol CNSL Exchange OTC | | | | | | | | |
| EAI $763 Current yield 8 87% | Nov 18, 09 | 323 000 | 14 030 | 4,531 92 | 17 480 | 5,646 04 | 1,114 12 | ST |
| | Nov 25, 09 | 169 000 | 14 850 | 2,509 65 | 17 480 | 2,954 12 | 444 47 | ST |
| Security total | | 492 000 | | 7,041 57 | | 8,600 16 | 1,558 59 | |
| COOPER TIRE & RUBBER CO | | | | | | | | |
| Symbol CTB Exchange NYSE | | | | | | | | |
| EAI $494 Current yield 2 10% | Jul 27, 09 | 82 000 | 13 460 | 1,103 72 | 20 050 | 1,644 10 | 540 38 | ST |
| | Jul 30, 09 | 182 000 | 14 330 | 2,608 06 | 20 050 | 3,649 10 | 1,041 04 | ST |
| | Jul 30, 09 | 124 000 | 14 330 | 1,776 92 | 20 050 | 2,486 20 | 709 28 | ST |
| | Aug 3, 09 | 130 000 | 15 057 | 1,957 48 | 20 050 | 2,606 50 | 649 02 | ST |
| | Aug 3, 09 | 89 000 | 15 057 | 1,340 12 | 20 050 | 1,784 45 | 444 33 | ST |
| | Sep 1, 09 | 221 000 | 14 049 | 3,105 05 | 20 050 | 4,431 05 | 1,326 00 | ST |
| | Sep 17, 09 | 173 000 | 15 870 | 2,745 51 | 20 050 | 3,468 65 | 723 14 | ST |
| | Sep 29, 09 | 175 000 | 17 722 | 3,101 44 | 20 050 | 3,508 75 | 407 31 | ST |
| Security total | | 1,176 000 | | 17,738 30 | | 23,578 80 | 5,840 50 | |
| CORINTHIAN COLLEGES INC | | | | | | | | |
| Symbol COCO Exchange OTC | Dec 17, 08 | 70 000 | 14 722 | 1,030 54 | 13 770 | 963 90 | -66 64 | LT |
| | Feb 13, 09 | 91 000 | 20 049 | 1,824 55 | 13 770 | 1,253 07 | -571 48 | ST |
| | Apr 8, 09 | 182 000 | 17 420 | 3,170 44 | 13 770 | 2,506 14 | -664 30 | ST |
| | Apr 13, 09 | 173 000 | 16 070 | 2,780 11 | 13 770 | 2,382 21 | -397 90 | ST |
| | Apr 24, 09 | 218 000 | 15 920 | 3,470 56 | 13 770 | 3,001 86 | -468 70 | ST |
| Security total | | 734 000 | | 12,276 20 | | 10,107 18 | -2,169 02 | |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| CORPORATE EXECUTIVE BOARD CO | | | | | | | | |
| Symbol EXBD Exchange OTC | | | | | | | | |
| EAI $149 Current yield 1 76% | Aug 18, 09 | 148 000 | 23 080 | 3,415 84 | 22 820 | 3,377 36 | -38 48 | ST |
| | Aug 25, 09 | 108 000 | 24 505 | 2,646 63 | 22 820 | 2,464 56 | -182 07 | ST |
| | Sep 21, 09 | 116 000 | 24 150 | 2,801 40 | 22 820 | 2,647 12 | -154 28 | ST |
| Security total | | 372 000 | | 8,863 87 | | 8,489 04 | -374 83 | |
| CSG SYSTEMS INTL INC | | | | | | | | |
| Symbol CSGS Exchange OTC | Jan 6, 09 | 552 000 | 16 567 | 9,145 37 | 19 090 | 10,537 68 | 1,392 31 | ST |
| | Jan 21, 09 | 207 000 | 13 976 | 2,893 05 | 19 090 | 3,951 63 | 1,058 58 | ST |
| | Jan 26, 09 | 94 000 | 13 899 | 1,306 60 | 19 090 | 1,794 46 | 487 86 | ST |
| | Feb 2, 09 | 115 000 | 14 399 | 1,656 00 | 19 090 | 2,195 35 | 539 35 | ST |
| | Mar 26, 09 | 78 000 | 13 719 | 1,070 15 | 19 090 | 1,489 02 | 418 87 | ST |
| | Jun 18, 09 | 226 000 | 13 748 | 3,107 09 | 19 090 | 4,314 34 | 1,207 25 | ST |
| Security total | | 1,272 000 | | 19,178 26 | | 24,282 48 | 5,104 22 | |
| CYBERONICS INC | | | | | | | | |
| Symbol CYBX Exchange OTC | Feb 18, 09 | 41 000 | 14 551 | 596 61 | 20 440 | 838 04 | 241 43 | ST |
| | Mar 23, 09 | 202 000 | 13 131 | 2,652 54 | 20 440 | 4,128 88 | 1,476 34 | ST |
| | Jul 13, 09 | 72 000 | 17 739 | 1,277 21 | 20 440 | 1,471 68 | 194 47 | ST |
| Security total | | 315 000 | | 4,526 36 | | 6,438 60 | 1,912 24 | |
| DARLING INTL INC | | | | | | | | |
| Symbol DAR Exchange NYSE | Aug 25, 09 | 159 000 | 7 240 | 1,151 16 | 8 380 | 1,332 42 | 181 26 | ST |
| | Sep 11, 09 | 387 000 | 8 144 | 3,151 73 | 8 380 | 3,243 06 | 91 33 | ST |
| Security total | | 546 000 | | 4,302 89 | | 4,575 48 | 272 59 | |
| DECKERS OUTDOOR CORP | | | | | | | | |
| Symbol DECK Exchange OTC | Nov 2, 09 | 268 000 | 89 091 | 23,876 47 | 101 720 | 27,260 96 | 3,384 49 | ST |
| | Nov 3, 09 | 223 000 | 91 447 | 20,392 81 | 101 720 | 22,683 56 | 2,290 75 | ST |
| | Nov 6, 09 | 83 000 | 92 370 | 7,666 71 | 101 720 | 8,442 76 | 776 05 | ST |
| | Dec 21, 09 | 55 000 | 91 964 | 5,058 07 | 101 720 | 5,594 60 | 536 53 | ST |
| Security total | | 629 000 | | 56,994 06 | | 63,981 88 | 6,987 82 | |
| DIAMOND FOODS INC | | | | | | | | |
| Symbol DMND Exchange OTC | | | | | | | | |
| EAI $37 Current yield 0 50% | Dec 15, 09 | 121 000 | 31 827 | 3,851 14 | 35 540 | 4,300 34 | 449 20 | ST |
| | Dec 18, 09 | 87 000 | 33 430 | 2,908 41 | 35 540 | 3,091 98 | 183 57 | ST |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 208 000 | | 6,759 55 | | 7,392 32 | 632 77 | |
| DINEEQUITY INC | | | | | | | | |
| Symbol DIN Exchange NYSE | Sep 15, 09 | 40 000 | 27 168 | 1,086 72 | 24 290 | 971 60 | -115 12 | ST |
| DOLAN MEDIA CO | | | | | | | | |
| Symbol DM Exchange NYSE | Dec 8, 09 | 510 000 | 10 812 | 5,514 58 | 10 210 | 5,207 10 | -307 48 | ST |
| DOLLAR FINANCIAL CORP | | | | | | | | |
| Symbol DLLR Exchange OTC | Dec 15, 09 | 370 000 | 23 147 | 8,564 39 | 23 640 | 8,746 80 | 182 41 | ST |
| | Dec 15, 09 | 115 000 | 23 147 | 2,661 91 | 23 640 | 2,718 60 | 56 69 | ST |
| | Dec 21, 09 | 126 000 | 23 259 | 2,930 76 | 23 640 | 2,978 64 | 47 88 | ST |
| Security total | | 611 000 | | 14,157 06 | | 14,444 04 | 286 98 | |
| DREW INDUSTRIES INC NEW | | | | | | | | |
| Symbol DW Exchange NYSE | Sep 24, 09 | 164 000 | 22 000 | 3,608 00 | 20 650 | 3,386 60 | -221 40 | ST |
| | Oct 2, 09 | 135 000 | 20 730 | 2,798 55 | 20 650 | 2,787 75 | -10 80 | ST |
| | Oct 5, 09 | 120 000 | 21 047 | 2,525 70 | 20 650 | 2,478 00 | -47 70 | ST |
| | Oct 15, 09 | 167 000 | 23 128 | 3,862 51 | 20 650 | 3,448 55 | -413 96 | ST |
| Security total | | 586 000 | | 12,794 76 | | 12,100 90 | -693 86 | |
| DYNCORP INTL INC CL A | | | | | | | | |
| Symbol DCP Exchange NYSE | Jan 6, 09 | 93 000 | 16 010 | 1,488 93 | 14 350 | 1,334 55 | -154 38 | ST |
| | Jan 26, 09 | 263 000 | 15 399 | 4,050 12 | 14 350 | 3,774 05 | -276 07 | ST |
| | Feb 6, 09 | 115 000 | 12 970 | 1,491 55 | 14 350 | 1,650 25 | 158 70 | ST |
| Security total | | 471 000 | | 7,030 60 | | 6,758 85 | -271 75 | |
| EBIX INC | | | | | | | | |
| Symbol EBIX Exchange OTC | Nov 3, 09 | 113 000 | 59 602 | 6,735 09 | 48 830 | 5,517 79 | -1,217 30 | ST |
| | Nov 9, 09 | 58 000 | 55 210 | 3,202 20 | 48 830 | 2,832 14 | -370 06 | ST |
| | Nov 10, 09 | 45 000 | 58 305 | 2,623 73 | 48 830 | 2,197 35 | -426 38 | ST |
| Security total | | 216 000 | | 12,561 02 | | 10,547 28 | -2,013 74 | |
| ECHELON CORP | | | | | | | | |
| Symbol ELON Exchange OTC | Dec 15, 09 | 563 000 | 11 361 | 6,396 75 | 11 560 | 6,508 28 | 111 53 | ST |
| EMERGENCY MEDICAL SERVICES CORP CL A | | | | | | | | |
| Symbol EMS Exchange NYSE | Nov 18, 09 | 108 000 | 49 780 | 5,376 26 | 54 150 | 5,848 20 | 471 94 | ST |
| | Dec 4, 09 | 68 000 | 48 881 | 3,323 91 | 54 150 | 3,682 20 | 358 29 | ST |
| | Dec 21, 09 | 98 000 | 51 185 | 5,016 18 | 54 150 | 5,306 70 | 290 52 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 274 000 | | 13,716 35 | | 14,837 10 | 1,120 75 | |
| EURONET WORLDWIDE INC | | | | | | | | |
| Symbol EEFT Exchange OTC | Jul 27, 09 | 196 000 | 20 870 | 4,090 68 | 21 950 | 4,302 20 | 211 52 | ST |
| | Jul 30, 09 | 148 000 | 21 293 | 3,151 42 | 21 950 | 3,248 60 | 97 18 | ST |
| | Aug 3, 09 | 134 000 | 21 280 | 2,851 52 | 21 950 | 2,941 30 | 89 78 | ST |
| | Sep 1, 09 | 131 000 | 23 653 | 3,098 65 | 21 950 | 2,875 45 | -223 20 | ST |
| Security total | | 609 000 | | 13,192 27 | | 13,367 55 | 175 28 | |
| FBL FINANCIAL GROUP INC CL A | | | | | | | | |
| Symbol FFG Exchange NYSE | | | | | | | | |
| EAI $172 Current yield 1 35% | Sep 15, 09 | 145 000 | 18 582 | 2,694 42 | 18 520 | 2,685 40 | -9 02 | ST |
| | Sep 15, 09 | 94 000 | 18 582 | 1,746 73 | 18 520 | 1,740 88 | -5 85 | ST |
| | Sep 18, 09 | 154 000 | 18 395 | 2,832 83 | 18 520 | 2,852 08 | 19 25 | ST |
| | Sep 21, 09 | 155 000 | 18 010 | 2,791 55 | 18 520 | 2,870 60 | 79 05 | ST |
| | Sep 24, 09 | 139 000 | 19 252 | 2,676 11 | 18 520 | 2,574 28 | -101 83 | ST |
| Security total | | 687 000 | | 12,741 64 | | 12,723 24 | -18 40 | |
| FOSSIL INC | | | | | | | | |
| Symbol FOSL Exchange OTC | Jul 13, 09 | 109 000 | 21 667 | 2,361 80 | 33 560 | 3,658 04 | 1,296 24 | ST |
| | Aug 21, 09 | 98 000 | 25 770 | 2,525 46 | 33 560 | 3,288 88 | 763 42 | ST |
| | Sep 4, 09 | 217 000 | 26 829 | 5,822 09 | 33 560 | 7,282 52 | 1,460 43 | ST |
| | Sep 8, 09 | 98 000 | 27 525 | 2,697 51 | 33 560 | 3,288 88 | 591 37 | ST |
| | Nov 18, 09 | 316 000 | 32 382 | 10,232 81 | 33 560 | 10,604 96 | 372 15 | ST |
| | Nov 19, 09 | 225 000 | 31 856 | 7,167 62 | 33 560 | 7,551 00 | 383 38 | ST |
| | Nov 20, 09 | 123 000 | 31 802 | 3,911 71 | 33 560 | 4,127 88 | 216 17 | ST |
| | Nov 25, 09 | 80 000 | 32 389 | 2,591 20 | 33 560 | 2,684 80 | 93 60 | ST |
| | Nov 27, 09 | 78 000 | 31 200 | 2,433 60 | 33 560 | 2,617 68 | 184 08 | ST |
| | Dec 3, 09 | 91 000 | 31 822 | 2,895 83 | 33 560 | 3,053 96 | 158 13 | ST |
| Security total | | 1,435 000 | | 42,639 63 | | 48,158 60 | 5,518 97 | |
| GAMCO INVESTORS INC CL A | | | | | | | | |
| Symbol GBL Exchange NYSE | | | | | | | | |
| EAI $20 Current yield 0 25% | Jul 2, 09 | 59 000 | 47 583 | 2,807 40 | 48 290 | 2,849 11 | 41 71 | ST |
| | Jul 10, 09 | 44 000 | 44 763 | 1,969 57 | 48 290 | 2,124 76 | 155 19 | ST |
| | Dec 17, 09 | 64 000 | 46 029 | 2,945 92 | 48 290 | 3,090 56 | 144 64 | ST |
| Security total | | 167 000 | | 7,722 89 | | 8,064 43 | 341 54 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| GENTIVA HEALTH SERVICES INC | | | | | | | | |
| Symbol GTIV Exchange OTC | Sep 5, 08 | 35 000 | 27 100 | 948 52[1] | 27 010 | 945 35 | -3 17 | LT |
| | Sep 9, 08 | 89 000 | 29 005 | 2,581 48[1] | 27 010 | 2,403 89 | -177 59 | LT |
| | Sep 11, 08 | 67 000 | 28 291 | 1,895 51[1] | 27 010 | 1,809 67 | -85 84 | LT |
| | Sep 16, 08 | 81 000 | 28 401 | 2,300 51[1] | 27 010 | 2,187 81 | -112 70 | LT |
| | Sep 17, 08 | 65 000 | 27 752 | 1,803 89[1] | 27 010 | 1,755 65 | -48 24 | LT |
| | Sep 24, 08 | 248 000 | 27 316 | 6,774 49[1] | 27 010 | 6,698 48 | -76 01 | LT |
| | Sep 29, 08 | 205 000 | 26 827 | 5,499 64[1] | 27 010 | 5,537 05 | 37 41 | LT |
| | Sep 30, 08 | 93 000 | 26 885 | 2,500 31[1] | 27 010 | 2,511 93 | 11 62 | LT |
| | Feb 27, 09 | 77 000 | 21 093 | 1,624 18 | 27 010 | 2,079 77 | 455 59 | ST |
| | Mar 4, 09 | 246 000 | 15 776 | 3,880 92 | 27 010 | 6,644 46 | 2,763 54 | ST |
| | Mar 9, 09 | 198 000 | 13 477 | 2,668 60 | 27 010 | 5,347 98 | 2,679 38 | ST |
| | Mar 24, 09 | 197 000 | 14 381 | 2,833 20 | 27 010 | 5,320 97 | 2,487 77 | ST |
| | Jun 18, 09 | 362 000 | 15 342 | 5,553 80 | 27 010 | 9,777 62 | 4,223 82 | ST |
| Security total | | 1,963 000 | | 40,865 05 | | 53,020 63 | 12,155 58 | |
| GLOBAL CASH ACCESS HOLDINGS INC | | | | | | | | |
| Symbol GCA Exchange NYSE | Jun 18, 09 | 114 000 | 6 619 | 754 64 | 7 490 | 853 86 | 99 22 | ST |
| GRAFTECH INTL LTD | | | | | | | | |
| Symbol GTI Exchange NYSE | Nov 2, 09 | 554 000 | 13 578 | 7,522 43 | 15 550 | 8,614 70 | 1,092 27 | ST |
| | Nov 2, 09 | 468 000 | 13 578 | 6,354 69 | 15 550 | 7,277 40 | 922 71 | ST |
| | Nov 6, 09 | 1,409 000 | 13 824 | 19,479 00 | 15 550 | 21,909 95 | 2,430 95 | ST |
| | Nov 9, 09 | 536 000 | 14 224 | 7,624 18 | 15 550 | 8,334 80 | 710 62 | ST |
| | Nov 27, 09 | 218 000 | 14 330 | 3,123 94 | 15 550 | 3,389 90 | 265 96 | ST |
| Security total | | 3,185 000 | | 44,104 24 | | 49,526 75 | 5,422 51 | |
| GRAHAM CORP | | | | | | | | |
| Symbol GHM Exchange AMEX | | | | | | | | |
| EAI $20 Current yield 0 39% | Dec 21, 09 | 120 000 | 20 996 | 2,519 62 | 20 700 | 2,484 00 | -35 62 | ST |
| | Dec 22, 09 | 125 000 | 21 059 | 2,632 50 | 20 700 | 2,587 50 | -45 00 | ST |
| Security total | | 245 000 | | 5,152 12 | | 5,071 50 | -80 62 | |
| GRAND CANYON EDUCATION INC | | | | | | | | |
| Symbol LOPE Exchange OTC | Jun 3, 09 | 278 000 | 13 563 | 3,770 68 | 19 010 | 5,284 78 | 1,514 10 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Jun 4, 09 | 188 000 | 13 425 | 2,523 94 | 19 010 | 3,573 88 | 1,049 94 | ST |
| | Jun 18, 09 | 96 000 | 15 447 | 1,482 99 | 19 010 | 1,824 96 | 341 97 | ST |
| | Jul 10, 09 | 118 000 | 15 781 | 1,862 16 | 19 010 | 2,243 18 | 381 02 | ST |
| | Jul 17, 09 | 72 000 | 16 740 | 1,205 28 | 19 010 | 1,368 72 | 163 44 | ST |
| Security total | | 752 000 | | 10,845 05 | | 14,295 52 | 3,450 47 | |
| GSI COMM INC | | | | | | | | |
| Symbol GSIC Exchange OTC | Nov 18, 09 | 435 000 | 20 934 | 9,106 59 | 25 390 | 11,044 65 | 1,938 06 | ST |
| | Nov 19, 09 | 162 000 | 21 725 | 3,519 45 | 25 390 | 4,113 18 | 593 73 | ST |
| | Dec 17, 09 | 155 000 | 24 480 | 3,794 40 | 25 390 | 3,935 45 | 141 05 | ST |
| | Dec 21, 09 | 188 000 | 25 496 | 4,793 25 | 25 390 | 4,773 32 | -19 93 | ST |
| Security total | | 940 000 | | 21,213 69 | | 23,866 60 | 2,652 91 | |
| GULFPORT ENERGY CORP NEW | | | | | | | | |
| Symbol GPOR Exchange OTC | Dec 17, 09 | 412 000 | 10 895 | 4,488 82 | 11 450 | 4,717 40 | 228 58 | ST |
| HEALTHSOUTH CORP NEW | | | | | | | | |
| Symbol HLS Exchange NYSE | Aug 6, 09 | 67 000 | 15 055 | 1,008 72 | 18 770 | 1,257 59 | 248 87 | ST |
| | Sep 24, 09 | 245 000 | 16 246 | 3,980 39 | 18 770 | 4,598 65 | 618 26 | ST |
| | Nov 18, 09 | 482 000 | 18 147 | 8,747 19 | 18 770 | 9,047 14 | 299 95 | ST |
| | Nov 18, 09 | 305 000 | 18 147 | 5,535 05 | 18 770 | 5,724 85 | 189 80 | ST |
| | Nov 18, 09 | 47 000 | 18 147 | 852 94 | 18 770 | 882 19 | 29 25 | ST |
| | Nov 19, 09 | 239 000 | 18 075 | 4,320 04 | 18 770 | 4,486 03 | 165 99 | ST |
| | Nov 27, 09 | 138 000 | 17 700 | 2,442 60 | 18 770 | 2,590 26 | 147 66 | ST |
| Security total | | 1,523 000 | | 26,886 93 | | 28,586 71 | 1,699 78 | |
| HNI CORP | | | | | | | | |
| Symbol HNI Exchange NYSE | | | | | | | | |
| EAI $518 Current yield 3 11% | Oct 20, 09 | 305 000 | 24 000 | 7,320 00 | 27 630 | 8,427 15 | 1,107 15 | ST |
| | Oct 23, 09 | 109 000 | 28 750 | 3,133 75 | 27 630 | 3,011 67 | -122 08 | ST |
| | Nov 2, 09 | 92 000 | 26 750 | 2,461 00 | 27 630 | 2,541 96 | 80 96 | ST |
| | Nov 27, 09 | 96 000 | 25 379 | 2,436 48 | 27 630 | 2,652 48 | 216 00 | ST |
| Security total | | 602 000 | | 15,351 23 | | 16,633 26 | 1,282 03 | |
| HUB GROUP INC CL A | | | | | | | | |
| Symbol HUBG Exchange OTC | Dec 22, 09 | 237 000 | 27 574 | 6,535 04 | 26 790 | 6,349 23 | -185 81 | ST |
| IMPAX LABORATORIES INC | | | | | | | | |
| Symbol IPXL Exchange OTC | Nov 27, 09 | 27 000 | 11 300 | 305 10 | 13 610 | 367 47 | 62 37 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Dec 2, 09 | 316 000 | 11 826 | 3,737 30 | 13 610 | 4,300 76 | 563 46 | ST |
| | Dec 3, 09 | 229 000 | 12 095 | 2,769 76 | 13 610 | 3,116 69 | 346 93 | ST |
| Security total | | 572 000 | | 6,812 16 | | 7,784 92 | 972 76 | |
| INFORMATICA CORP | | | | | | | | |
| Symbol INFA Exchange OTC | Oct 28, 09 | 1 000 | 21 780 | 21 78 | 25 880 | 25 88 | 4 10 | ST |
| | Oct 30, 09 | 231 000 | 21 709 | 5,015 01 | 25 880 | 5,978 28 | 963 27 | ST |
| | Nov 2, 09 | 631 000 | 21 424 | 13,518 92 | 25 880 | 16,330 28 | 2,811 36 | ST |
| | Nov 18, 09 | 460 000 | 22 943 | 10,553 83 | 25 880 | 11,904 80 | 1,350 97 | ST |
| | Nov 20, 09 | 169 000 | 22 497 | 3,802 08 | 25 880 | 4,373 72 | 571 64 | ST |
| | Nov 27, 09 | 112 000 | 21 940 | 2,457 28 | 25 880 | 2,898 56 | 441 28 | ST |
| | Dec 22, 09 | 107 000 | 24 839 | 2,657 88 | 25 880 | 2,769 16 | 111 28 | ST |
| Security total | | 1,711 000 | | 38,026 78 | | 44,280 68 | 6,253 90 | |
| INTERACTIVE INTELLIGENCE INC | | | | | | | | |
| Symbol ININ Exchange OTC | Mar 13, 09 | 67 000 | 9 209 | 617 06 | 18 450 | 1,236 15 | 619 09 | ST |
| | Apr 30, 09 | 258 000 | 11 449 | 2,954 05 | 18 450 | 4,760 10 | 1,806 05 | ST |
| | May 1, 09 | 149 000 | 11 180 | 1,665 84 | 18 450 | 2,749 05 | 1,083 21 | ST |
| | May 6, 09 | 100 000 | 11 441 | 1,144 10 | 18 450 | 1,845 00 | 700 90 | ST |
| | Jun 18, 09 | 173 000 | 12 524 | 2,166 76 | 18 450 | 3,191 85 | 1,025 09 | ST |
| Security total | | 747 000 | | 8,547 81 | | 13,782 15 | 5,234 34 | |
| INTERDIGITAL INC (PA) | | | | | | | | |
| Symbol IDCC Exchange OTC | Dec 8, 09 | 474 000 | 25 495 | 12,084 96 | 26 560 | 12,589 44 | 504 48 | ST |
| | Dec 15, 09 | 145 000 | 25 493 | 3,696 57 | 26 560 | 3,851 20 | 154 63 | ST |
| | Dec 18, 09 | 118 000 | 25 219 | 2,975 96 | 26 560 | 3,134 08 | 158 12 | ST |
| | Dec 22, 09 | 108 000 | 25 799 | 2,786 40 | 26 560 | 2,868 48 | 82 08 | ST |
| Security total | | 845 000 | | 21,543 89 | | 22,443 20 | 899 31 | |
| INVACARE CORP | | | | | | | | |
| Symbol IVC Exchange NYSE | | | | | | | | |
| EAI $38 Current yield 0 20% | Aug 25, 09 | 311 000 | 21 930 | 6,820 26 | 24 940 | 7,756 34 | 936 08 | ST |
| | Sep 29, 09 | 122 000 | 22 850 | 2,787 72 | 24 940 | 3,042 68 | 254 96 | ST |
| | Nov 2, 09 | 333 000 | 22 370 | 7,449 48 | 24 940 | 8,305 02 | 855 54 | ST |
| Security total | | 766 000 | | 17,057 46 | | 19,104 04 | 2,046 58 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| J CREW GROUP INC | | | | | | | | |
| Symbol JCG Exchange NYSE | Jun 9, 09 | 117 000 | 26 219 | 3,067 74 | 44 740 | 5,234 58 | 2,166 84 | ST |
| | Jun 15, 09 | 209 000 | 25 039 | 5,233 36 | 44 740 | 9,350 66 | 4,117 30 | ST |
| | Jun 16, 09 | 149 000 | 24 236 | 3,611 16 | 44 740 | 6,666 26 | 3,055 10 | ST |
| | Jun 18, 09 | 682 000 | 24 317 | 16,584 53 | 44 740 | 30,512 68 | 13,928 15 | ST |
| | Aug 25, 09 | 79 000 | 31 832 | 2,514 77 | 44 740 | 3,534 46 | 1,019 69 | ST |
| | Sep 29, 09 | 176 000 | 35 927 | 6,323 24 | 44 740 | 7,874 24 | 1,551 00 | ST |
| Security total | | 1,412 000 | | 37,334 80 | | 63,172 88 | 25,838 08 | |
| JOS A BANK CLOTHIERS INC | | | | | | | | |
| Symbol JOSB Exchange OTC | Jul 22, 09 | 171 000 | 34 930 | 5,973 08 | 42 190 | 7,214 49 | 1,241 41 | ST |
| | Sep 9, 09 | 151 000 | 45 990 | 6,944 49 | 42 190 | 6,370 69 | -573 80 | ST |
| | Sep 11, 09 | 219 000 | 46 347 | 10,150 01 | 42 190 | 9,239 61 | -910 40 | ST |
| | Sep 15, 09 | 105 000 | 46 350 | 4,866 82 | 42 190 | 4,429 95 | -436 87 | ST |
| | Sep 24, 09 | 62 000 | 46 579 | 2,887 93 | 42 190 | 2,615 78 | -272 15 | ST |
| | Sep 30, 09 | 90 000 | 44 889 | 4,040 10 | 42 190 | 3,797 10 | -243 00 | ST |
| | Oct 5, 09 | 59 000 | 42 602 | 2,513 57 | 42 190 | 2,489 21 | -24 36 | ST |
| Security total | | 857 000 | | 37,376 00 | | 36,156 83 | -1,219 17 | |
| KIRKLAND'S INC | | | | | | | | |
| Symbol KIRK Exchange OTC | Jul 27, 09 | 350 000 | 14 258 | 4,990 44 | 17 370 | 6,079 50 | 1,089 06 | ST |
| | Aug 5, 09 | 162 000 | 15 144 | 2,453 36 | 17 370 | 2,813 94 | 360 58 | ST |
| Security total | | 512 000 | | 7,443 80 | | 8,893 44 | 1,449 64 | |
| KOPPERS HOLDINGS INC | | | | | | | | |
| Symbol KOP Exchange NYSE | | | | | | | | |
| EAI $276 Current yield 2 89% | Jul 27, 09 | 182 000 | 25 974 | 4,727 36 | 30 440 | 5,540 08 | 812 72 | ST |
| | Sep 18, 09 | 132 000 | 32 218 | 4,252 90 | 30 440 | 4,018 08 | -234 82 | ST |
| Security total | | 314 000 | | 8,980 26 | | 9,558 16 | 577 90 | |
| LANCASTER COLONY CORP | | | | | | | | |
| Symbol LANC Exchange OTC | | | | | | | | |
| EAI $1,290 Current yield 2 42% | Jun 3, 09 | 134 000 | 47 362 | 6,346 58 | 49 680 | 6,657 12 | 310 54 | ST |
| | Jun 3, 09 | 93 000 | 47 362 | 4,404 71 | 49 680 | 4,620 24 | 215 53 | ST |
| | Jun 3, 09 | 60 000 | 47 362 | 2,841 75 | 49 680 | 2,980 80 | 139 05 | ST |
| | Jun 4, 09 | 168 000 | 47 638 | 8,003 22 | 49 680 | 8,346 24 | 343 02 | ST |
| | Jun 5, 09 | 97 000 | 46 734 | 4,533 25 | 49 680 | 4,818 96 | 285 71 | ST |

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**Account name:** PAULEY FAMILY FOUNDATION
**Friendly account name:** PFF MDT Adv
**Account number:** Y1 08371 1C

**Your Financial Advisor:**
DUNN/YAMIN
212-821-7000

## Your assets › Equities › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Jun 8, 09 | 52 000 | 46 262 | 2,405 65 | 49 680 | 2 583 36 | 177 71 | ST |
| | Jun 18, 09 | 186 000 | 44 566 | 8,289 37 | 49 680 | 9,240 48 | 951 11 | ST |
| | Sep 1, 09 | 96 000 | 50 290 | 4,827 84 | 49 680 | 4,769 28 | -58 56 | ST |
| | Sep 11, 09 | 99 000 | 51 060 | 5,054 94 | 49 680 | 4,918 32 | -136 62 | ST |
| | Sep 17, 09 | 18 000 | 51 340 | 924 12 | 49 680 | 894 24 | -29 88 | ST |
| | Sep 24, 09 | 72 000 | 51 093 | 3,678 75 | 49 680 | 3,576 96 | -101 79 | ST |
| Security total | | 1,075 000 | | 51,310 18 | | 53,406 00 | 2,095 82 | |
| LHC GROUP INC | | | | | | | | |
| Symbol LHCG Exchange OTC | Jun 18, 09 | 113 000 | 21 503 | 2,429 92 | 33 610 | 3,797 93 | 1,368 01 | ST |
| | Dec 16, 09 | 85 000 | 34 410 | 2,924 85 | 33 610 | 2,856 85 | -68 00 | ST |
| Security total | | 198 000 | | 5,354 77 | | 6,654 78 | 1,300 01 | |
| LIFE PARTNERS HOLDINGS INC | | | | | | | | |
| Symbol LPHI Exchange OTC | | | | | | | | |
| EAI $44 Current yield 4 72% | Feb 26, 09 | 44 000 | 17 459 | 768 24 | 21 180 | 931 92 | 163 68 | ST |
| LORAL SPACE & COMMUNICATIONS LTD | | | | | | | | |
| Symbol LORL Exchange OTC | Oct 13, 09 | 165 000 | 29 971 | 4,945 22 | 31 610 | 5,215 65 | 270 43 | ST |
| | Oct 15, 09 | 104 000 | 31 875 | 3,315 00 | 31 610 | 3,287 44 | -27 56 | ST |
| Security total | | 269 000 | | 8,260 22 | | 8,503 09 | 242 87 | |
| LSB INDUSTRIES INC | | | | | | | | |
| Symbol LXU Exchange NYSE | Sep 1, 09 | 32 000 | 15 975 | 511 21 | 14 100 | 451 20 | -60 01 | ST |
| LUMBER LIQUIDATORS INC | | | | | | | | |
| Symbol LL Exchange NYSE | Nov 6, 09 | 199 000 | 24 555 | 4,886 58 | 26 800 | 5,333 20 | 446 62 | ST |
| | Nov 9, 09 | 206 000 | 24 966 | 5,143 12 | 26 800 | 5,520 80 | 377 68 | ST |
| | Nov 10, 09 | 107 000 | 26 146 | 2,797 63 | 26 800 | 2,867 60 | 69 97 | ST |
| | Nov 18, 09 | 112 000 | 25 105 | 2,811 76 | 26 800 | 3,001 60 | 189 84 | ST |
| Security total | | 624 000 | | 15,639 09 | | 16,723 20 | 1,084 11 | |
| MAIDENFORM BRANDS INC | | | | | | | | |
| Symbol MFB Exchange NYSE | Jul 2, 09 | 119 000 | 11 590 | 1,379 28 | 16 690 | 1,986 11 | 606 83 | ST |
| | Jul 10, 09 | 189 000 | 11 725 | 2,216 08 | 16 690 | 3,154 41 | 938 33 | ST |
| Security total | | 308 000 | | 3,595 36 | | 5,140 52 | 1,545 16 | |
| MANHATTAN ASSOC INC | | | | | | | | |
| Symbol MANH Exchange OTC | Nov 19, 09 | 226 000 | 23 658 | 5,346 84 | 24 040 | 5,433 04 | 86 20 | ST |

continued next page

## Your assets ▸ **Equities** ▸ **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Nov 20, 09 | 137 000 | 23 957 | 3,282 11 | 24 040 | 3,293 48 | 11 37 | ST |
| | Nov 25, 09 | 104 000 | 24 129 | 2,509 52 | 24 040 | 2,500 16 | -9 36 | ST |
| | Dec 22, 09 | 113 000 | 23 860 | 2,696 18 | 24 040 | 2,716 52 | 20 34 | ST |
| Security total | | 580 000 | | 13,834 65 | | 13,943 20 | 108 55 | |
| MEDIFAST INC | | | | | | | | |
| Symbol MED Exchange NYSE | Dec 3, 09 | 170 000 | 30 365 | 5,162 05 | 30 580 | 5,198 60 | 36 55 | ST |
| | Dec 4, 09 | 85 000 | 31 385 | 2,667 73 | 30 580 | 2,599 30 | -68 43 | ST |
| Security total | | 255 000 | | 7,829 78 | | 7,797 90 | -31 88 | |
| MICREL INC | | | | | | | | |
| Symbol MCRL Exchange OTC | | | | | | | | |
| EAI $105 Current yield 1 71% | Sep 2, 09 | 750 000 | 7 502 | 5,626 80 | 8 200 | 6,150 00 | 523 20 | ST |
| MICROSTRATEGY INC NEW CL A | | | | | | | | |
| Symbol MSTR Exchange OTC | Aug 7, 09 | 107 000 | 63 992 | 6,847 22 | 94 020 | 10,060 14 | 3,212 92 | ST |
| | Aug 19, 09 | 135 000 | 62 323 | 8,413 66 | 94 020 | 12,692 70 | 4,279 04 | ST |
| | Aug 21, 09 | 55 000 | 62 293 | 3,426 13 | 94 020 | 5,171 10 | 1,744 97 | ST |
| | Sep 2, 09 | 40 000 | 62 270 | 2,490 80 | 94 020 | 3,760 80 | 1,270 00 | ST |
| | Sep 21, 09 | 46 000 | 68 919 | 3,170 32 | 94 020 | 4,324 92 | 1,154 60 | ST |
| | Oct 23, 09 | 41 000 | 74 120 | 3,038 92 | 94 020 | 3,854 82 | 815 90 | ST |
| Security total | | 424 000 | | 27,387 05 | | 39,864 48 | 12,477 43 | |
| MULTI-FINELINE ELECTRONIX INC | | | | | | | | |
| Symbol MFLX Exchange OTC | Oct 23, 09 | 179 000 | 28 197 | 5,047 28 | 28 370 | 5,078 23 | 30 95 | ST |
| | Nov 2, 09 | 293 000 | 27 368 | 8,018 82 | 28 370 | 8,312 41 | 293 59 | ST |
| Security total | | 472 000 | | 13,066 10 | | 13,390 64 | 324 54 | |
| NEKTAR THERAPEUTICS SYSTEMS INC | | | | | | | | |
| Symbol NKTR Exchange OTC | Sep 24, 09 | 707 000 | 10 480 | 7,409 36 | 9 320 | 6,589 24 | -820 12 | ST |
| NETLOGIC MICROSYSTEMS INC | | | | | | | | |
| Symbol NETL Exchange OTC | May 11, 09 | 253 000 | 33 459 | 8,465 15 | 46 260 | 11,703 78 | 3,238 63 | ST |
| | Jun 18, 09 | 74 000 | 36 971 | 2,735 87 | 46 260 | 3,423 24 | 687 37 | ST |
| Security total | | 327 000 | | 11,201 02 | | 15,127 02 | 3,926 00 | |
| NEWMARKET CORP | | | | | | | | |
| Symbol NEU Exchange NYSE | | | | | | | | |
| EAI $782 Current yield 1 31% | Jun 3, 09 | 33 000 | 73 694 | 2,431 93 | 114 770 | 3,787 41 | 1,355 48 | ST |
| | Jun 4, 09 | 120 000 | 75 989 | 9,118 80 | 114 770 | 13,772 40 | 4,653 60 | ST |

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## Your assets ▸ **Equities** ▸ **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Jun 5, 09 | 62 000 | 77 140 | 4,782 74 | 114 770 | 7,115 74 | 2,333 00 | ST |
| | Jun 8, 09 | 27 000 | 75 795 | 2,046 49 | 114 770 | 3,098 79 | 1,052 30 | ST |
| | Jun 16, 09 | 25 000 | 71 733 | 1,793 33 | 114 770 | 2,869 25 | 1,075 92 | ST |
| | Jun 18, 09 | 118 000 | 70 865 | 8,362 19 | 114 770 | 13,542 86 | 5,180 67 | ST |
| | Aug 3, 09 | 49 000 | 78 400 | 3,841 60 | 114 770 | 5,623 73 | 1,782 13 | ST |
| | Sep 1, 09 | 37 000 | 82 870 | 3,066 19 | 114 770 | 4,246 49 | 1,180 30 | ST |
| | Sep 11, 09 | 50 000 | 89 089 | 4,454 50 | 114 770 | 5,738 50 | 1,284 00 | ST |
| Security total | | 521 000 | | 39,897 77 | | 59,795 17 | 19,897 40 | |
| NORDSON CORP | | | | | | | | |
| Symbol NDSN Exchange OTC | | | | | | | | |
| EAI $708 Current yield 1 24% | Jun 8, 09 | 144 000 | 41 338 | 5,952 67 | 61 180 | 8,809 92 | 2,857 25 | ST |
| | Jun 15, 09 | 161 000 | 41 158 | 6,626 58 | 61 180 | 9,849 98 | 3,223 40 | ST |
| | Jun 16, 09 | 127 000 | 38 439 | 4,881 77 | 61 180 | 7,769 86 | 2,888 09 | ST |
| | Jun 18, 09 | 499 000 | 38 120 | 19,022 13 | 61 180 | 30,528 82 | 11,506 69 | ST |
| Security total | | 931 000 | | 36,483 15 | | 56,958 58 | 20,475 43 | |
| NU SKIN ENTERPRISES INC | | | | | | | | |
| Symbol NUS Exchange NYSE | | | | | | | | |
| EAI $756 Current yield 1 71% | Apr 7, 09 | 226 000 | 11 649 | 2,632 79 | 26 870 | 6,072 62 | 3,439 83 | ST |
| | Apr 8, 09 | 101 000 | 11 770 | 1,188 77 | 26 870 | 2,713 87 | 1,525 10 | ST |
| | Apr 9, 09 | 143 000 | 12 727 | 1,819 96 | 26 870 | 3,842 41 | 2,022 45 | ST |
| | Jun 18, 09 | 71 000 | 13 978 | 992 44 | 26 870 | 1,907 77 | 915 33 | ST |
| | Oct 23, 09 | 589 000 | 23 842 | 14,043 11 | 26 870 | 15,826 43 | 1,783 32 | ST |
| | Nov 2, 09 | 395 000 | 23 704 | 9,363 12 | 26 870 | 10,613 65 | 1,250 53 | ST |
| | Nov 9, 09 | 119 000 | 25 360 | 3,017 84 | 26 870 | 3,197 53 | 179 69 | ST |
| Security total | | 1,644 000 | | 33,058 03 | | 44,174 28 | 11,116 25 | |
| NVE CORP NEW | | | | | | | | |
| Symbol NVEC Exchange OTC | Aug 5, 09 | 33 000 | 54 617 | 1,802 36 | 41 280 | 1,362 24 | -440 12 | ST |
| OPLINK COMMUNICATIONS INC | | | | | | | | |
| Symbol OPLK Exchange OTC | Nov 20, 09 | 273 000 | 17 642 | 4,816 48 | 16 390 | 4,474 47 | -342 01 | ST |
| | Dec 22, 09 | 162 000 | 17 000 | 2,754 00 | 16 390 | 2,655 18 | -98 82 | ST |
| Security total | | 435 000 | | 7,570 48 | | 7,129 65 | -440 83 | |

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## Your assets › Equities › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| ORBITZ WORLDWIDE INC | | | | | | | | |
| Symbol OWW Exchange NYSE | Dec 22, 09 | 549 000 | 7 793 | 4,278 41 | 7 340 | 4,029 66 | -248 75 | ST |
| OSI SYSTEMS INC | | | | | | | | |
| Symbol OSIS Exchange OTC | Jun 18, 09 | 175 000 | 17 575 | 3,075 63 | 27 280 | 4,774 00 | 1 698 37 | ST |
| PDL BIOPHARMA INC | | | | | | | | |
| Symbol PDLI Exchange OTC | | | | | | | | |
| EAI $61 Current yield 14 58% | Oct 19, 09 | 61 000 | 9 048 | 551 93 | 6 860 | 418 46 | -133 47 | ST |
| PEGASYSTEMS INC | | | | | | | | |
| Symbol PEGA Exchange OTC | | | | | | | | |
| EAI $86 Current yield 0 35% | Feb 2, 09 | 27 000 | 13 792 | 372 39 | 34 000 | 918 00 | 545 61 | ST |
| | Feb 3, 09 | 98 000 | 14 171 | 1,388 81 | 34 000 | 3,332 00 | 1,943 19 | ST |
| | Feb 18, 09 | 96 000 | 15 088 | 1,448 53 | 34 000 | 3,264 00 | 1,815 47 | ST |
| | Feb 27, 09 | 256 000 | 14 702 | 3,763 76 | 34 000 | 8,704 00 | 4,940 24 | ST |
| | Jun 18, 09 | 238 000 | 24 864 | 5,917 77 | 34 000 | 8,092 00 | 2,174 23 | ST |
| Security total | | 715 000 | | 12,891 26 | | 24,310 00 | 11,418 74 | |
| PHARMERICA CORP | | | | | | | | |
| Symbol PMC Exchange NYSE | Jun 18, 09 | 165 000 | 17 949 | 2,961 73 | 15 880 | 2,620 20 | -341 53 | ST |
| PLANTRONICS INC NEW | | | | | | | | |
| Symbol PLT Exchange NYSE | | | | | | | | |
| EAI $340 Current yield 0 77% | Jul 27, 09 | 541 000 | 21 422 | 11,589 52 | 25 980 | 14,055 18 | 2,465 66 | ST |
| | Jul 30, 09 | 335 000 | 24 255 | 8,125 46 | 25 980 | 8,703 30 | 577 84 | ST |
| | Aug 3, 09 | 267 000 | 23 964 | 6,398 57 | 25 980 | 6,936 66 | 538 09 | ST |
| | Aug 5, 09 | 198 000 | 24 912 | 4,932 66 | 25 980 | 5,144 04 | 211 38 | ST |
| | Sep 1, 09 | 118 000 | 23 740 | 2,801 32 | 25 980 | 3,065 64 | 264 32 | ST |
| | Sep 11, 09 | 127 000 | 26 880 | 3,413 76 | 25 980 | 3,299 46 | -114 30 | ST |
| | Sep 21, 09 | 115 000 | 27 870 | 3,205 05 | 25 980 | 2,987 70 | -217 35 | ST |
| Security total | | 1,701 000 | | 40,466 34 | | 44,191 98 | 3,725 64 | |
| PMC - SIERRA INC | | | | | | | | |
| Symbol PMCS Exchange OTC | Jun 8, 09 | 1,509 000 | 7 549 | 11,391 44 | 8 660 | 13,067 94 | 1,676 50 | ST |
| | Jun 15, 09 | 1,237 000 | 7 688 | 9,511 19 | 8 660 | 10,712 42 | 1,201 23 | ST |
| | Jun 16, 09 | 590 000 | 8 008 | 4,725 07 | 8 660 | 5,109 40 | 384 33 | ST |
| | Jun 18, 09 | 980 000 | 8 148 | 7,985 63 | 8 660 | 8,486 80 | 501 17 | ST |
| Security total | | 4,316 000 | | 33,613 33 | | 37,376 56 | 3,763 23 | |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| POLARIS INDUSTRIES INC (MINN) | | | | | | | | |
| Symbol PII Exchange NYSE | | | | | | | | |
| EAI $810 Current yield 3 58% | Jul 22, 09 | 72 000 | 35 244 | 2,537 64 | 43 630 | 3,141 36 | 603 72 | ST |
| | Jul 23, 09 | 67 000 | 35 479 | 2,377 09 | 43 630 | 2,923 21 | 546 12 | ST |
| | Oct 16, 09 | 70 000 | 48 933 | 3,425 35 | 43 630 | 3,054 10 | -371 25 | ST |
| | Oct 19, 09 | 57 000 | 48 000 | 2,736 00 | 43 630 | 2,486 91 | -249 09 | ST |
| | Nov 18, 09 | 116 000 | 45 468 | 5,274 35 | 43 630 | 5,061 08 | -213 27 | ST |
| | Nov 19, 09 | 71 000 | 44 254 | 3,142 03 | 43 630 | 3,097 73 | -44 30 | ST |
| | Nov 25, 09 | 66 000 | 45 080 | 2,975 28 | 43 630 | 2,879 58 | -95 70 | ST |
| Security total | | 519 000 | | 22,467 74 | | 22,643 97 | 176 23 | |
| POWER INTEGRATIONS INC | | | | | | | | |
| Symbol POWI Exchange OTC | | | | | | | | |
| EAI $113 Current yield 0 27% | Jun 24, 09 | 148 000 | 23 799 | 3,522 40 | 36 360 | 5,381 28 | 1,858 88 | ST |
| | Jul 2, 09 | 232 000 | 23 580 | 5,470 65 | 36 360 | 8,435 52 | 2,964 87 | ST |
| | Jul 9, 09 | 251 000 | 22 804 | 5,723 80 | 36 360 | 9,126 36 | 3,402 56 | ST |
| | Jul 10, 09 | 192 000 | 22 495 | 4,319 08 | 36 360 | 6,981 12 | 2,662 04 | ST |
| | Jul 13, 09 | 144 000 | 22 546 | 3,246 70 | 36 360 | 5,235 84 | 1,989 14 | ST |
| | Jul 14, 09 | 97 000 | 23 601 | 2,289 30 | 36 360 | 3,526 92 | 1,237 62 | ST |
| | Jul 15, 09 | 69 000 | 25 220 | 1,740 20 | 36 360 | 2,508 84 | 768 64 | ST |
| Security total | | 1,133 000 | | 26,312 13 | | 41,195 88 | 14,883 75 | |
| PRICESMART INC | | | | | | | | |
| Symbol PSMT Exchange OTC | | | | | | | | |
| EAI $85 Current yield 2 45% | Aug 10, 09 | 170 000 | 17 089 | 2,905 13 | 20 430 | 3,473 10 | 567 97 | ST |
| PSYCHIATRIC SOLUTIONS INC | | | | | | | | |
| Symbol PSYS Exchange OTC | Aug 3, 09 | 85 000 | 27 673 | 2,352 26 | 21 140 | 1,796 90 | -555 36 | ST |
| | Aug 5, 09 | 235 000 | 27 001 | 6,345 31 | 21 140 | 4,967 90 | -1,377 41 | ST |
| | Aug 7, 09 | 107 000 | 26 836 | 2,871 47 | 21 140 | 2,261 98 | -609 49 | ST |
| | Sep 1, 09 | 142 000 | 26 580 | 3,774 36 | 21 140 | 3,001 88 | -772 48 | ST |
| | Sep 21, 09 | 94 000 | 29 490 | 2,772 06 | 21 140 | 1,987 16 | -784 90 | ST |
| Security total | | 663 000 | | 18,115 46 | | 14,015 82 | -4,099 64 | |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| QUANEX BLDG PRODUCTS CORP | | | | | | | | |
| Symbol NX Exchange NYSE | | | | | | | | |
| EAI $143 Current yield 0 71% | Oct 13, 09 | 317 000 | 15 401 | 4,882 12 | 16 970 | 5,379 49 | 497 37 | ST |
| | Oct 15, 09 | 215 000 | 16 017 | 3,443 76 | 16 970 | 3,648 55 | 204 79 | ST |
| | Oct 16, 09 | 168 000 | 15 604 | 2,621 57 | 16 970 | 2,850 96 | 229 39 | ST |
| | Oct 19, 09 | 166 000 | 16 098 | 2,672 36 | 16 970 | 2,817 02 | 144 66 | ST |
| | Oct 20, 09 | 167 000 | 16 139 | 2,695 38 | 16 970 | 2,833 99 | 138 61 | ST |
| | Oct 23, 09 | 160 000 | 16 596 | 2,655 44 | 16 970 | 2,715 20 | 59 76 | ST |
| Security total | | 1,193 000 | | 18,970 63 | | 20,245 21 | 1,274 58 | |
| QUIDEL CORP | | | | | | | | |
| Symbol QDEL Exchange OTC | Sep 28, 09 | 215 000 | 16 745 | 3,600 18 | 13 780 | 2,962 70 | -637 48 | ST |
| | Sep 29, 09 | 189 000 | 16 350 | 3,090 15 | 13 780 | 2,604 42 | -485 73 | ST |
| | Sep 30, 09 | 160 000 | 16 400 | 2,624 00 | 13 780 | 2,204 80 | -419 20 | ST |
| | Oct 2, 09 | 163 000 | 15 580 | 2,539 61 | 13 780 | 2,246 14 | -293 47 | ST |
| | Oct 23, 09 | 230 000 | 15 310 | 3,521 30 | 13 780 | 3,169 40 | -351 90 | ST |
| Security total | | 957 000 | | 15,375 24 | | 13,187 46 | -2,187 78 | |
| REGENERON PHARMACEUTICLS INC | | | | | | | | |
| Symbol REGN Exchange OTC | Sep 30, 09 | 189 000 | 19 291 | 3,646 00 | 24 180 | 4,570 02 | 924 02 | ST |
| | Oct 2, 09 | 147 000 | 18 740 | 2,754 78 | 24 180 | 3,554 46 | 799 68 | ST |
| | Oct 5, 09 | 134 000 | 18 689 | 2,504 41 | 24 180 | 3,240 12 | 735 71 | ST |
| Security total | | 470 000 | | 8,905 19 | | 11,364 60 | 2,459 41 | |
| REVLON INC NEW CL A | | | | | | | | |
| Symbol REV Exchange NYSE | Dec 8, 09 | 462 000 | 18 627 | 8,606 04 | 17 010 | 7,858 62 | -747 42 | ST |
| | Dec 15, 09 | 470 000 | 19 263 | 9,053 94 | 17 010 | 7,994 70 | -1,059 24 | ST |
| | Dec 18, 09 | 168 000 | 19 059 | 3,202 08 | 17 010 | 2,857 68 | -344 40 | ST |
| Security total | | 1,100 000 | | 20,862 06 | | 18,711 00 | -2,151 06 | |
| REX ENERGY CORP | | | | | | | | |
| Symbol REXX Exchange OTC | Dec 3, 09 | 669 000 | 9 579 | 6,408 42 | 12 000 | 8,028 00 | 1,619 58 | ST |
| RIGHTNOW TECHNOLOGIES INC | | | | | | | | |
| Symbol RNOW Exchange OTC | Feb 6, 09 | 271 000 | 8 620 | 2,336 05 | 17 370 | 4,707 27 | 2,371 22 | ST |
| | Feb 11, 09 | 454 000 | 8 502 | 3,860 32 | 17 370 | 7,885 98 | 4,025 66 | ST |
| | Feb 13, 09 | 475 000 | 8 976 | 4,263 93 | 17 370 | 8,250 75 | 3,986 82 | ST |
| | Feb 18, 09 | 354 000 | 8 311 | 2,942 31 | 17 370 | 6,148 98 | 3,206 67 | ST |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Feb 27, 09 | 288 000 | 8 073 | 2,325 28 | 17 370 | 5,002 56 | 2,677 28 | ST |
| | Mar 4, 09 | 292 000 | 7 503 | 2,190 91 | 17 370 | 5,072 04 | 2,881 13 | ST |
| | Mar 5, 09 | 199 000 | 6 949 | 1,383 05 | 17 370 | 3,456 63 | 2,073 58 | ST |
| | Mar 9, 09 | 110 000 | 6 559 | 721 51 | 17 370 | 1,910 70 | 1,189 19 | ST |
| | Jun 18, 09 | 581 000 | 11 158 | 6,482 81 | 17 370 | 10,091 97 | 3,609 16 | ST |
| Security total | | 3,024 000 | | 26,506 17 | | 52,526 88 | 26,020 71 | |
| ROCK-TENN COMPANY CL A<br>Symbol RKT Exchange NYSE<br>EAI $524 Current yield 1 19% | Jul 27, 09 | 217 000 | 44 914 | 9,746 34 | 50 410 | 10,938 97 | 1,192 63 | ST |
| | Jul 30, 09 | 339 000 | 43 130 | 14,621 34 | 50 410 | 17,088 99 | 2,467 65 | ST |
| | Aug 3, 09 | 57 000 | 44 919 | 2,560 44 | 50 410 | 2,873 37 | 312 93 | ST |
| | Aug 10, 09 | 59 000 | 45 009 | 2,655 59 | 50 410 | 2,974 19 | 318 60 | ST |
| | Sep 1, 09 | 71 000 | 50 849 | 3,610 35 | 50 410 | 3,579 11 | -31 24 | ST |
| | Sep 17, 09 | 67 000 | 50 389 | 3,376 13 | 50 410 | 3,377 47 | 1 34 | ST |
| | Sep 28, 09 | 63 000 | 46 458 | 2,926 88 | 50 410 | 3,175 83 | 248 95 | ST |
| Security total | | 873 000 | | 39,497 07 | | 44,007 93 | 4,510 86 | |
| RPC INC<br>Symbol RES Exchange NYSE<br>EAI $127 Current yield 1 53% | Dec 8, 09 | 796 000 | 9 905 | 7,884 54 | 10 400 | 8,278 40 | 393 86 | ST |
| SANDERSON FARMS INC<br>Symbol SAFM Exchange OTC<br>EAI $134 Current yield 1 42% | Aug 7, 09 | 10 000 | 40 333 | 403 33 | 42 160 | 421 60 | 18 27 | ST |
| | Sep·1, 09 | 66 000 | 41 299 | 2,725 80 | 42 160 | 2,782 56 | 56 76 | ST |
| | Sep 11, 09 | 72 000 | 41 630 | 2,997 36 | 42 160 | 3,035 52 | 38 16 | ST |
| | Sep 29, 09 | 76 000 | 39 005 | 2,964 38 | 42 160 | 3,204 16 | 239 78 | ST |
| Security total | | 224 000 | | 9,090 87 | | 9,443 84 | 352 97 | |
| SEMTECH CORP<br>Symbol SMTC Exchange OTC | Jul 2, 09 | 127 000 | 16 017 | 2,034 17 | 17 010 | 2,160 27 | 126 10 | ST |
| | Jul 9, 09 | 592 000 | 15 341 | 9,082 05 | 17 010 | 10,069 92 | 987 87 | ST |
| Security total | | 719 000 | | 11,116 22 | | 12,230 19 | 1,113 97 | |
| SILGAN HOLDINGS INC<br>Symbol SLGN Exchange OTC<br>EAI $308 Current yield 1 31% | Nov 18, 09 | 136 000 | 56 671 | 7,707 30 | 57 880 | 7,871 68 | 164 38 | ST |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Nov 19, 09 | 104 000 | 55 782 | 5,801 33 | 57 880 | 6,019 52 | 218 19 | ST |
| | Nov 20, 09 | 46 000 | 55 192 | 2,538 84 | 57 880 | 2,662 48 | 123 64 | ST |
| | Nov 25, 09 | 73 000 | 55 099 | 4,022 30 | 57 880 | 4,225 24 | 202 94 | ST |
| | Nov 27, 09 | 46 000 | 53 360 | 2,454 56 | 57 880 | 2,662 48 | 207 92 | ST |
| Security total | | 405 000 | | 22,524 33 | | 23,441 40 | 917 07 | |
| SIMPSON MANUFACTURING CO INC DELA | | | | | | | | |
| Symbol SSD Exchange NYSE | | | | | | | | |
| EAI $199 Current yield 1 49% | Oct 13, 09 | 4 000 | 25 737 | 102 95 | 26 890 | 107 56 | 4 61 | ST |
| | Oct 15, 09 | 165 000 | 26 250 | 4,331 25 | 26 890 | 4,436 85 | 105 60 | ST |
| | Oct 16, 09 | 127 000 | 25 489 | 3,237 10 | 26 890 | 3,415 03 | 177 93 | ST |
| | Oct 19, 09 | 103 000 | 26 030 | 2,681 09 | 26 890 | 2,769 67 | 88 58 | ST |
| | Oct 23, 09 | 98 000 | 27 174 | 2,663 15 | 26 890 | 2,635 22 | -27 93 | ST |
| Security total | | 497 000 | | 13,015 54 | | 13,364 33 | 348 79 | |
| SIRONA DENTAL SYSTEMS INC | | | | | | | | |
| Symbol SIRO Exchange OTC | Dec 15, 09 | 753 000 | 32 678 | 24,606 53 | 31 740 | 23,900 22 | -706 31 | ST |
| | Dec 17, 09 | 445 000 | 31 892 | 14,191 98 | 31 740 | 14,124 30 | -67 68 | ST |
| | Dec 18, 09 | 221 000 | 31 057 | 6,863 66 | 31 740 | 7,014 54 | 150 88 | ST |
| | Dec 22, 09 | 112 000 | 31 649 | 3,544 80 | 31 740 | 3,554 88 | 10 08 | ST |
| Security total | | 1,531 000 | | 49,206 97 | | 48,593 94 | -613 03 | |
| SOLARWINDS INC | | | | | | | | |
| Symbol SWI Exchange NYSE | Nov 3, 09 | 217 000 | 17 299 | 3,754 10 | 23 010 | 4,993 17 | 1,239 07 | ST |
| | Nov 16, 09 | 142 000 | 19 900 | 2,825 80 | 23 010 | 3,267 42 | 441 62 | ST |
| | Nov 25, 09 | 236 000 | 19 170 | 4,524 12 | 23 010 | 5,430 36 | 906 24 | ST |
| | Nov 25, 09 | 93 000 | 19 170 | 1,782 81 | 23 010 | 2,139 93 | 357 12 | ST |
| | Nov 25, 09 | 16 000 | 19 170 | 306 72 | 23 010 | 368 16 | 61 44 | ST |
| | Dec 11, 09 | 129 000 | 21 109 | 2,723 19 | 23 010 | 2,968 29 | 245 10 | ST |
| Security total | | 833 000 | | 15,916 74 | | 19,167 33 | 3,250 59 | |
| SOLERA HOLDINGS INC | | | | | | | | |
| Symbol SLH Exchange NYSE | | | | | | | | |
| EAI $329 Current yield 0 69% | Nov 10, 09 | 312 000 | 36 287 | 11,321 67 | 36 010 | 11,235 12 | -86 55 | ST |
| | Nov 18, 09 | 435 000 | 35 735 | 15,544 81 | 36 010 | 15,664 35 | 119 54 | ST |
| | Nov 19, 09 | 244 000 | 35 223 | 8,594 54 | 36 010 | 8,786 44 | 191 90 | ST |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Nov 20, 09 | 121 000 | 35 095 | 4,246 56 | 36 010 | 4,357 21 | 110 65 | ST |
| | Nov 27, 09 | 70 000 | 35 150 | 2,460 50 | 36 010 | 2,520 70 | 60 20 | ST |
| | Dec 22, 09 | 133 000 | 36 360 | 4,835 88 | 36 010 | 4,789 33 | -46 55 | ST |
| Security total | | 1,315 000 | | 47,003 96 | | 47,353 15 | 349 19 | |
| STANLEY INC<br>Symbol SXE Exchange NYSE | Nov 3, 09 | 209 000 | 29 174 | 6,097 43 | 27 410 | 5,728 69 | -368 74 | ST |
| STEC INC<br>Symbol STEC Exchange OTC | Sep 18, 09 | 334 000 | 31 456 | 10,506 52 | 16 340 | 5,457 56 | -5,048 96 | ST |
| STEIN MART INC<br>Symbol SMRT Exchange OTC | Sep 21, 09 | 283 000 | 13 000 | 3,679 00 | 10 660 | 3,016 78 | -662 22 | ST |
| | Sep 25, 09 | 229 000 | 12 560 | 2,876 24 | 10 660 | 2,441 14 | -435 10 | ST |
| Security total | | 512 000 | | 6,555 24 | | 5,457 92 | -1,097 32 | |
| STERIS CORP<br>Symbol STE Exchange NYSE<br>EAI $378 Current yield 1 58% | Nov 6, 09 | 303 000 | 34 060 | 10,320 24 | 27 970 | 8,474 91 | -1,845 33 | ST |
| | Nov 9, 09 | 191 000 | 34 373 | 6,565 36 | 27 970 | 5,342 27 | -1,223 09 | ST |
| | Nov 10, 09 | 267 000 | 34 703 | 9,265 86 | 27 970 | 7,467 99 | -1,797 87 | ST |
| | Nov 27, 09 | 97 000 | 32 169 | 3,120 49 | 27 970 | 2,713 09 | -407 40 | ST |
| Security total | | 858 000 | | 29,271 95 | | 23,998 26 | -5,273 69 | |
| STEVEN MADDEN LTD<br>Symbol SHOO Exchange OTC | Jun 5, 09 | 181 000 | 29 007 | 5,250 41 | 41 240 | 7,464 44 | 2,214 03 | ST |
| | Jun 8, 09 | 194 000 | 29 245 | 5,673 63 | 41 240 | 8,000 56 | 2,326 93 | ST |
| | Jun 9, 09 | 159 000 | 29 183 | 4,640 23 | 41 240 | 6,557 16 | 1,916 93 | ST |
| | Jun 15, 09 | 99 000 | 27 500 | 2,722 50 | 41 240 | 4,082 76 | 1,360 26 | ST |
| | Jun 18, 09 | 262 000 | 27 284 | 7,148 61 | 41 240 | 10,804 88 | 3,656 27 | ST |
| | Jul 13, 09 | 79 000 | 24 084 | 1,902 68 | 41 240 | 3,257 96 | 1,355 28 | ST |
| Security total | | 974 000 | | 27,338 06 | | 40,167 76 | 12,829 70 | |
| STURM RUGER CO<br>Symbol RGR Exchange NYSE<br>EAI $74 Current yield 3 95% | Jul 27, 09 | 75 000 | 14 304 | 1,072 80 | 9 700 | 727 50 | -345 30 | ST |
| | Aug 26, 09 | 118 000 | 13 430 | 1,584 74 | 9 700 | 1,144 60 | -440 14 | ST |
| Security total | | 193 000 | | 2,657 54 | | 1,872 10 | -785 44 | |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| SUCCESSFACTORS INC | | | | | | | | |
| Symbol SFSF Exchange OTC | Feb 11, 09 | 395 000 | 6 578 | 2,598 35 | 16 580 | 6,549 10 | 3,950 75 | ST |
| | Feb 13, 09 | 339 000 | 6 703 | 2,272 38 | 16 580 | 5,620 62 | 3,348 24 | ST |
| | Feb 18, 09 | 193 000 | 5 765 | 1,112 78 | 16 580 | 3,199 94 | 2,087 16 | ST |
| | Jun 18, 09 | 174 000 | 9 257 | 1,610 74 | 16 580 | 2,884 92 | 1,274 18 | ST |
| Security total | | 1,101 000 | | 7,594 25 | | 18,254 58 | 10,660 33 | |
| SYNAPTICS INC | | | | | | | | |
| Symbol SYNA Exchange OTC | Jul 27, 09 | 186 000 | 35 692 | 6,638 84 | 30 650 | 5,700 90 | -937 94 | ST |
| SYNIVERSE HOLDINGS INC | | | | | | | | |
| Symbol SVR Exchange NYSE | Jan 14, 09 | 4 000 | 12 485 | 49 94 | 17 480 | 69 92 | 19 98 | ST |
| | Jan 16, 09 | 122 000 | 13 450 | 1,640 90 | 17 480 | 2,132 56 | 491 66 | ST |
| | Jan 21, 09 | 98 000 | 13 150 | 1,288 70 | 17 480 | 1,713 04 | 424 34 | ST |
| | Jan 22, 09 | 109 000 | 13 320 | 1,451 88 | 17 480 | 1,905 32 | 453 44 | ST |
| | Jan 26, 09 | 117 000 | 14 347 | 1,678 66 | 17 480 | 2,045 16 | 366 50 | ST |
| | Feb 2, 09 | 142 000 | 13 027 | 1,849 91 | 17 480 | 2,482 16 | 632 25 | ST |
| | Apr 7, 09 | 188 000 | 14 619 | 2,748 47 | 17 480 | 3,286 24 | 537 77 | ST |
| | Sep 15, 09 | 139 000 | 19 297 | 2,682 35 | 17 480 | 2,429 72 | -252 63 | ST |
| Security total | | 919 000 | | 13,390 81 | | 16,064 12 | 2,673 31 | |
| SYNTEL INC | | | | | | | | |
| Symbol SYNT Exchange OTC | | | | | | | | |
| EAI $288 Current yield 0 63% | Feb 2, 09 | 71 000 | 20 988 | 1,490 20 | 38 030 | 2,700 13 | 1,209 93 | ST |
| | Feb 2, 09 | 10 000 | 20 988 | 209 89 | 38 030 | 380 30 | 170 41 | ST |
| | Feb 3, 09 | 68 000 | 21 554 | 1,465 69 | 38 030 | 2,586 04 | 1,120 35 | ST |
| | Feb 6, 09 | 187 000 | 20 626 | 3,857 12 | 38 030 | 7,111 61 | 3,254 49 | ST |
| | Feb 11, 09 | 158 000 | 21 175 | 3,345 70 | 38 030 | 6,008 74 | 2,663 04 | ST |
| | Feb 13, 09 | 144 000 | 21 904 | 3,154 22 | 38 030 | 5,476 32 | 2,322 10 | ST |
| | Feb 18, 09 | 94 000 | 21 277 | 2,000 04 | 38 030 | 3,574 82 | 1,574 78 | ST |
| | Mar 4, 09 | 202 000 | 17 914 | 3,618 63 | 38 030 | 7,682 06 | 4,063 43 | ST |
| | Jun 18, 09 | 201 000 | 28 337 | 5,695 83 | 38 030 | 7,644 03 | 1,948 20 | ST |
| | Sep 21, 09 | 63 000 | 45 000 | 2,835 00 | 38 030 | 2,395 89 | -439 11 | ST |
| Security total | | 1,198 000 | | 27,672 32 | | 45,559 94 | 17,887 62 | |
| S1 CORP | | | | | | | | |
| Symbol SONE Exchange OTC | Dec 31, 08 | 183 000 | 7 724 | 1,413 60 | 6 520 | 1,193 16 | -220 44 | ST |

*continued next page*

**Account name:** PAULEY FAMILY FOUNDATION
**Friendly account name:** PFF MDT Adv
**Account number:** Y1 08371 1C

**Your Financial Advisor:**
DUNN/YAMIN
212-821-7000

## Your assets ▸ **Equities** ▸ **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Jan 15, 09 | 369 000 | 6 520 | 2,406 14 | 6 520 | 2,405 88 | -0 26 | ST |
| | Jun 18, 09 | 707 000 | 6 975 | 4,931 45 | 6 520 | 4,609 64 | -321 81 | ST |
| Security total | | 1,259 000 | | 8,751 19 | | 8,208 68 | -542 51 | |
| TELETECH HOLDINGS INC | | | | | | | | |
| Symbol TTEC Exchange OTC | Nov 2, 09 | 618 000 | 18 476 | 11,418 17 | 20 030 | 12,378 54 | 960 37 | ST |
| | Nov 3, 09 | 314 000 | 18 936 | 5,946 03 | 20 030 | 6,289 42 | 343 39 | ST |
| | Nov 6, 09 | 190 000 | 19 421 | 3,690 12 | 20 030 | 3,805 70 | 115 58 | ST |
| | Dec 22, 09 | 143 000 | 18 930 | 2,706 99 | 20 030 | 2,864 29 | 157 30 | ST |
| Security total | | 1,265 000 | | 23,761 31 | | 25,337 95 | 1,576 64 | |
| TEMPUR-PEDIC INTL INC | | | | | | | | |
| Symbol TPX Exchange NYSE | Jul 22, 09 | 832 000 | 14 061 | 11,698 92 | 23 630 | 19,660 16 | 7,961 24 | ST |
| | Sep 21, 09 | 173 000 | 17 320 | 2,996 36 | 23 630 | 4,087 99 | 1,091 63 | ST |
| | Oct 20, 09 | 132 000 | 22 030 | 2,907 96 | 23 630 | 3,119 16 | 211 20 | ST |
| Security total | | 1,137 000 | | 17,603 24 | | 26,867 31 | 9,264 07 | |
| TENNANT CO | | | | | | | | |
| Symbol TNC Exchange NYSE | | | | | | | | |
| EAI $209 Current yield 2 13% | Aug 5, 09 | 10 000 | 26 953 | 269 53 | 26 190 | 261 90 | -7 63 | ST |
| | Aug 7, 09 | 91 000 | 27 127 | 2,468 64 | 26 190 | 2,383 29 | -85 35 | ST |
| | Aug 19, 09 | 100 000 | 26 054 | 2,605 50 | 26 190 | 2,619 00 | 13 50 | ST |
| | Aug 19, 09 | 51 000 | 26 054 | 1,328 80 | 26 190 | 1,335 69 | 6 89 | ST |
| | Aug 19, 09 | 7 000 | 26 054 | 182 38 | 26 190 | 183 33 | 0 95 | ST |
| | Sep 1, 09 | 94 000 | 25 650 | 2,411 10 | 26 190 | 2,461 86 | 50 76 | ST |
| | Sep 1, 09 | 21 000 | 25 650 | 538 65 | 26 190 | 549 99 | 11 34 | ST |
| Security total | | 374 000 | | 9,804 60 | | 9,795 06 | -9 54 | |
| TESSERA TECHNOLOGIES INC | | | | | | | | |
| Symbol TSRA Exchange OTC | Sep 1, 09 | 44 000 | 24 910 | 1,096 04 | 23 270 | 1,023 88 | -72 16 | ST |
| | Sep 11, 09 | 121 000 | 27 150 | 3,285 15 | 23 270 | 2,815 67 | -469 48 | ST |
| | Sep 21, 09 | 107 000 | 28 420 | 3,040 94 | 23 270 | 2,489 89 | -551 05 | ST |
| Security total | | 272 000 | | 7,422 13 | | 6,329 44 | -1,092 69 | |
| TIMBERLAND CO CL A | | | | | | | | |
| Symbol TBL Exchange NYSE | Dec 8, 09 | 470 000 | 17 315 | 8,138 05 | 17 930 | 8,427 10 | 289 05 | ST |
| | Dec 15, 09 | 509 000 | 17 370 | 8,841 79 | 17 930 | 9,126 37 | 284 58 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Dec 18, 09 | 156 000 | 17 410 | 2,715 96 | 17 930 | 2,797 08 | 81 12 | ST |
| Security total | | 1,135 000 | | 19,695 80 | | 20,350 55 | 654 75 | |
| TUPPERWARE BRANDS CORP | | | | | | | | |
| Symbol TUP Exchange NYSE | | | | | | | | |
| EAI $1,304 Current yield 2 15% | Jul 2, 09 | 943 000 | 25 769 | 24,300 36 | 46 570 | 43,915 51 | 19,615 15 | ST |
| | Jul 27, 09 | 361 000 | 33 747 | 12,182 85 | 46 570 | 16,811 77 | 4,628 92 | ST |
| Security total | | 1,304 000 | | 36,483 21 | | 60,727 28 | 24,244 07 | |
| ULTA SALON COSMETICS & FRAGRANCE INC | | | | | | | | |
| Symbol ULTA Exchange OTC | Sep 8, 09 | 236 000 | 15 198 | 3,586 75 | 18 160 | 4,285 76 | 699 01 | ST |
| | Sep 9, 09 | 219 000 | 14 790 | 3,239 01 | 18 160 | 3,977 04 | 738 03 | ST |
| | Sep 11, 09 | 249 000 | 14 249 | 3,548 18 | 18 160 | 4,521 84 | 973 66 | ST |
| | Sep 15, 09 | 176 000 | 14 520 | 2,555 66 | 18 160 | 3,196 16 | 640 50 | ST |
| | Sep 18, 09 | 172 000 | 15 630 | 2,688 36 | 18 160 | 3,123 52 | 435 16 | ST |
| | Sep 21, 09 | 165 000 | 15 820 | 2,610 30 | 18 160 | 2,996 40 | 386 10 | ST |
| | Oct 16, 09 | 158 000 | 17 196 | 2,717 02 | 18 160 | 2,869 28 | 152 26 | ST |
| Security total | | 1,375 000 | | 20,945 28 | | 24,970 00 | 4,024 72 | |
| UNIVERSAL TECHNICAL INSTITUTE INC | | | | | | | | |
| Symbol UTI Exchange NYSE | Aug 7, 09 | 134 000 | 18 980 | 2,543 32 | 20 200 | 2,706 80 | 163 48 | ST |
| | Aug 19, 09 | 259 000 | 19 239 | 4,983 06 | 20 200 | 5,231 80 | 248 74 | ST |
| | Aug 31, 09 | 128 000 | 20 100 | 2,572 80 | 20 200 | 2,585 60 | 12 80 | ST |
| | Sep 24, 09 | 155 000 | 20 115 | 3,117 83 | 20 200 | 3,131 00 | 13 17 | ST |
| Security total | | 676 000 | | 13,217 01 | | 13,655 20 | 438 19 | |
| USANA HEALTH SCIENCES INC | | | | | | | | |
| Symbol USNA Exchange OTC | Sep 28, 09 | 142 000 | 34 784 | 4,939 34 | 31 900 | 4,529 80 | -409 54 | ST |
| | Sep 29, 09 | 75 000 | 35 264 | 2,644 87 | 31 900 | 2,392 50 | -252 37 | ST |
| Security total | | 217 000 | | 7,584 21 | | 6,922 30 | -661 91 | |
| VALASSIS COMMUNICATIONS INC | | | | | | | | |
| Symbol VCI Exchange NYSE | Jun 15, 09 | 431 000 | 6 150 | 2,650 65 | 18 260 | 7,870 06 | 5,219 41 | ST |
| | Jun 18, 09 | 155 000 | 5 849 | 906 60 | 18 260 | 2,830 30 | 1,923 70 | ST |
| | Jul 15, 09 | 208 000 | 6 408 | 1,332 97 | 18 260 | 3,798 08 | 2,465 11 | ST |
| | Nov 17, 09 | 180 000 | 17 105 | 3,078 90 | 18 260 | 3,286 80 | 207 90 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Dec 22, 09 | 149 000 | 18 590 | 2,769 91 | 18 260 | 2,720 74 | -49 17 | ST |
| Security total | | 1,123 000 | | 10,739 03 | | 20,505 98 | 9,766 95 | |
| VEECO INSTRUMENTS INC | | | | | | | | |
| DELAWARE | | | | | | | | |
| Symbol VECO Exchange OTC | Jul 27, 09 | 248 000 | 14 540 | 3,606 09 | 33 040 | 8,193 92 | 4,587 83 | ST |
| | Jul 30, 09 | 122 000 | 19 999 | 2,439 88 | 33 040 | 4,030 88 | 1,591 00 | ST |
| | Aug 3, 09 | 131 000 | 19 334 | 2,532 75 | 33 040 | 4,328 24 | 1,795 49 | ST |
| | Aug 7, 09 | 128 000 | 18 948 | 2,425 34 | 33 040 | 4,229 12 | 1,803 78 | ST |
| | Sep 24, 09 | 181 000 | 23 066 | 4,175 04 | 33 040 | 5,980 24 | 1,805 20 | ST |
| | Sep 28, 09 | 128 000 | 22 719 | 2,908 03 | 33 040 | 4,229 12 | 1,321 09 | ST |
| | Sep 29, 09 | 126 000 | 23 457 | 2,955 66 | 33 040 | 4,163 04 | 1,207 38 | ST |
| | Sep 30, 09 | 114 000 | 23 059 | 2,628 84 | 33 040 | 3,766 56 | 1,137 72 | ST |
| | Oct 23, 09 | 102 000 | 26 497 | 2,702 72 | 33 040 | 3,370 08 | 667 36 | ST |
| Security total | | 1,280 000 | | 26,374 35 | | 42,291 20 | 15,916 85 | |
| VERIFONE HOLDINGS INC | | | | | | | | |
| Symbol PAY Exchange NYSE | Sep 3, 09 | 366 000 | 14 530 | 5,318 05 | 16 380 | 5,995 08 | 677 03 | ST |
| | Sep 4, 09 | 394 000 | 13 870 | 5,464 78 | 16 380 | 6,453 72 | 988 94 | ST |
| | Sep 14, 09 | 184 000 | 13 940 | 2,564 96 | 16 380 | 3,013 92 | 448 96 | ST |
| | Sep 28, 09 | 183 000 | 15 367 | 2,812 25 | 16 380 | 2,997 54 | 185 29 | ST |
| | Nov 18, 09 | 510 000 | 14 123 | 7,202 99 | 16 380 | 8,353 80 | 1,150 81 | ST |
| Security total | | 1,637 000 | | 23,363 03 | | 26,814 06 | 3,451 03 | |
| VOLTERRA SEMICONDUCTOR CORP | | | | | | | | |
| Symbol VLTR Exchange OTC | Oct 23, 09 | 752 000 | 15 442 | 11,613 06 | 19 120 | 14,378 24 | 2,765 18 | ST |
| W&T OFFSHORE INC | | | | | | | | |
| Symbol WTI Exchange NYSE | | | | | | | | |
| EAI $234 Current yield 1 02% | Jul 27, 09 | 524 000 | 9 866 | 5,169 78 | 11 700 | 6,130 80 | 961 02 | ST |
| | Jul 27, 09 | 231 000 | 9 866 | 2,279 05 | 11 700 | 2,702 70 | 423 65 | ST |
| | Jul 30, 09 | 320 000 | 9 870 | 3,158 40 | 11 700 | 3,744 00 | 585 60 | ST |
| | Aug 3, 09 | 242 000 | 11 420 | 2,763 64 | 11 700 | 2,831 40 | 67 76 | ST |
| | Aug 7, 09 | 276 000 | 11 428 | 3,154 16 | 11 700 | 3,229 20 | 75 04 | ST |
| | Sep 18, 09 | 360 000 | 11 909 | 4,287 24 | 11 700 | 4,212 00 | -75 24 | ST |
| Security total | | 1,953 000 | | 20,812 27 | | 22,850 10 | 2,037 83 | |

continued next page

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| WARNACO GROUP INC NEW | | | | | | | | |
| Symbol WRC Exchange NYSE | Aug 21, 09 | 94 000 | 39 000 | 3,666 00 | 42 190 | 3,965 86 | 299 86 | ST |
| WAUSAU PAPER CORP | | | | | | | | |
| Symbol WPP Exchange NYSE | Jun 3, 09 | 228 000 | 8 302 | 1,892 92 | 11 600 | 2,644 80 | 751 88 | ST |
| | Jun 3, 09 | 215 000 | 8 302 | 1,784 99 | 11 600 | 2,494 00 | 709 01 | ST |
| | Jun 4, 09 | 272 000 | 8 146 | 2,215 96 | 11 600 | 3,155 20 | 939 24 | ST |
| | Jun 9, 09 | 115 000 | 8 290 | 953 35 | 11 600 | 1,334 00 | 380 65 | ST |
| | Jun 18, 09 | 159 000 | 7 467 | 1,187 33 | 11 600 | 1,844 40 | 657 07 | ST |
| Security total | | 989 000 | | 8,034 55 | | 11,472 40 | 3,437 85 | |
| WD-40 CO (DEL) | | | | | | | | |
| Symbol WDFC Exchange OTC | | | | | | | | |
| EAI $233 Current yield 3 09% | Oct 19, 09 | 145 000 | 32 564 | 4,721 87 | 32 360 | 4,692 20 | -29 67 | ST |
| | Oct 23, 09 | 88 000 | 33 645 | 2,960 76 | 32 360 | 2,847 68 | -113 08 | ST |
| Security total | | 233 000 | | 7,682 63 | | 7,539 88 | -142 75 | |
| WEBSENSE INC | | | | | | | | |
| Symbol WBSN Exchange OTC | Jul 2, 09 | 120 000 | 17 208 | 2,065 05 | 17 460 | 2,095 20 | 30 15 | ST |
| WORLD ACCEPTANCE CORP | | | | | | | | |
| Symbol WRLD Exchange OTC | Mar 23, 09 | 46 000 | 16 973 | 780 79 | 35 830 | 1,648 18 | 867 39 | ST |
| | Mar 24, 09 | 139 000 | 17 055 | 2,370 66 | 35 830 | 4,980 37 | 2,609 71 | ST |
| | Mar 30, 09 | 76 000 | 16 996 | 1,291 70 | 35 830 | 2,723 08 | 1,431 38 | ST |
| | Jun 18, 09 | 134 000 | 17 278 | 2,315 25 | 35 830 | 4,801 22 | 2,485 97 | ST |
| Security total | | 395 000 | | 6,758 40 | | 14,152 85 | 7,394 45 | |
| WORLD FUEL SERVICES CORP | | | | | | | | |
| Symbol INT Exchange NYSE | | | | | | | | |
| EAI $9 Current yield 0 58% | Nov 10, 09 | 58 000 | 26 827 | 1,556 00 | 26 790 | 1,553 82 | -2 18 | ST |
| WRIGHT EXPRESS CORP | | | | | | | | |
| Symbol WXS Exchange NYSE | Jun 1, 09 | 151 000 | 25 807 | 3,896 87 | 31 860 | 4,810 86 | 913 99 | ST |
| | Jun 3, 09 | 166 000 | 25 768 | 4,277 54 | 31 860 | 5,288 76 | 1,011 22 | ST |
| | Jun 4, 09 | 258 000 | 25 766 | 6,647 68 | 31 860 | 8,219 88 | 1,572 20 | ST |
| | Jun 5, 09 | 251 000 | 26 356 | 6,615 36 | 31 860 | 7,996 86 | 1,381 50 | ST |
| | Jun 8, 09 | 156 000 | 25 625 | 3,997 64 | 31 860 | 4,970 16 | 972 52 | ST |
| | Jun 9, 09 | 98 000 | 26 059 | 2,553 88 | 31 860 | 3,122 28 | 568 40 | ST |
| | Jun 18, 09 | 277 000 | 25 927 | 7,181 92 | 31 860 | 8,825 22 | 1,643 30 | ST |

*continued next page*

**Account name:** PAULEY FAMILY FOUNDATION
**Friendly account name:** PFF MDT Adv
**Account number:** Y1 08371 1C

**Your Financial Advisor:**
DUNN/YAMIN
212-821-7000

## Your assets › Equities › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 1,357 000 | | 35,170 89 | | 43,234 02 | 8,063 13 | |
| ZORAN CORP | | | | | | | | |
| Symbol ZRAN Exchange OTC | Aug 3, 09 | 200 000 | 11 650 | 2,330 00 | 11 050 | 2,210 00 | -120 00 | ST |
| | Aug 5, 09 | 166 000 | 11 696 | 1,941 58 | 11 050 | 1,834 30 | -107 28 | ST |
| | Aug 5, 09 | 45 000 | 11 696 | 526 33 | 11 050 | 497 25 | -29 08 | ST |
| | Sep 11, 09 | 172 000 | 11 050 | 1,900 60 | 11 050 | 1,900 60 | | ST |
| | Sep 11, 09 | 76 000 | 11 050 | 839 80 | 11 050 | 839 80 | | ST |
| | Sep 24, 09 | 231 000 | 12 001 | 2,772 44 | 11 050 | 2,552 55 | -219 89 | ST |
| Security total | | 890 000 | | 10,310 75 | | 9,834 50 | -476 25 | |
| 99 CENTS ONLY STORES | | | | | | | | |
| Symbol NDN Exchange NYSE | May 6, 09 | 297 000 | 10 009 | 2,972 74 | 13 070 | 3,881 79 | 909 05 | ST |
| | Jun 1, 09 | 415 000 | 9 726 | 4,036 58 | 13 070 | 5,424 05 | 1,387 47 | ST |
| | Jun 3, 09 | 284 000 | 10 068 | 2,859 45 | 13 070 | 3,711 88 | 852 43 | ST |
| | Jun 4, 09 | 153 000 | 10 039 | 1,535 97 | 13 070 | 1,999 71 | 463 74 | ST |
| | Jun 9, 09 | 139 000 | 10 410 | 1,446 99 | 13 070 | 1,816 73 | 369 74 | ST |
| | Jun 15, 09 | 286 000 | 13 309 | 3,806 66 | 13 070 | 3,738 02 | -68 64 | ST |
| | Jun 16, 09 | 87 000 | 13 369 | 1,163 10 | 13 070 | 1,137 09 | -26 01 | ST |
| | Jun 18, 09 | 498 000 | 13 229 | 6,588 04 | 13 070 | 6,508 86 | -79 18 | ST |
| Security total | | 2,159 000 | | 24,409 53 | | 28,218 13 | 3,808 60 | |
| **Total** | | | | **$2,749,549.37** | | **$3,254,337.56** | **$504,788.19** | |

**Total estimated annual income: $14,975**

[1] Indicates cost basis information has been provided by a source other than UBS Financial Services

## Your total assets

| | | Value on Dec 31 ($) | Percentage of your account | Cost basis ($) | Estimated annual income ($) | Unrealized gain or loss ($) |
|---|---|---|---|---|---|---|
| **Cash** | **Cash and money balances** | **69,033.47** | **2.08%** | **69,033.47** | | |
| **Equities** | **Common stock** | **3,254,337.56** | **97.92%** | **2,749,549.37** | **14,975.00** | **504,788.19** |
| **Total** | | **$3,323,371.03** | **100.00%** | **$2,818,582.84** | **$14,975.00** | **$504,788.19** |

# Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information

## Cash

### Cash and money balances

| Holding | Opening balance on Dec 1 ($) | Closing balance on Dec 31 ($) | Price per share on Dec 31 ($) | Average rate | Dividend/Interest period | Days in period |
|---|---|---|---|---|---|---|
| Cash | 0 00 | 16,862 71 | | | | |
| RMA MONEY MKT PORTFOLIO | 177,552 92 | 220,995 02 | 1 00 | 0 01% | Nov 23 to Dec 23 | 31 |
| **Total** | **$177,552.92** | **$237,857.73** | | | | |

## Equities

### Common stock

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| ABB LTD SPON ADR | | | | | | | | |
| Symbol ABB Exchange NYSE | Mar 30, 09 | 2,100 000 | 13 219 | 27,761 58 | 19 100 | 40,110 00 | 12,348 42 | ST |
| | Jun 16, 09 | 258 000 | 15 860 | 4,091 88 | 19 100 | 4,927 80 | 835 92 | ST |
| | Jul 29, 09 | 522 000 | 17 335 | 9,048 97 | 19 100 | 9,970 20 | 921 23 | ST |
| Security total | | 2,880 000 | | 40,902 43 | | 55,008 00 | 14,105 57 | |
| ACCIONA S A | | | | | | | | |
| Symbol ACXIF Exchange OTC | Mar 30, 09 | 259 000 | 99 963 | 25,890 57 | 131 900 | 34,162 10 | 8,271 53 | ST |
| | Jun 16, 09 | 54 000 | 124 580 | 6,727 32 | 131 900 | 7,122 60 | 395 28 | ST |
| Security total | | 313 000 | | 32,617 89 | | 41,284 70 | 8,666 81 | |
| ACTELION LTD ALLSCHWIL | | | | | | | | |
| Symbol ALIOF Exchange OTC | Mar 30, 09 | 767 000 | 44 585 | 34,196 93 | 53 397 | 40,955 49 | 6,758 56 | ST |
| | Jun 16, 09 | 134 000 | 52 500 | 7,035 00 | 53 397 | 7,155 20 | 120 20 | ST |
| Security total | | 901 000 | | 41,231 93 | | 48,110 69 | 6,878 76 | |
| AIR LIQUIDE ADR FRANCE ADR | | | | | | | | |
| Symbol AIQUY Exchange OTC | | | | | | | | |
| EAI $714 Current yield 1 84% | Mar 30, 09 | 976 000 | 15 940 | 15,557 44 | 23 825 | 23,253 20 | 7,695 76 | ST |
| | Jul 30, 09 | 654 000 | 20 305 | 13,279 47 | 23 825 | 15,581 55 | 2,302 08 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 1,630 000 | | 28,836 91 | | 38,834 75 | 9,997 84 | |
| ALSTOM SHS PROV REGROUPMENT ORD | | | | | | | | |
| Symbol AOMFF Exchange OTC | Mar 30, 09 | 390 000 | 50 097 | 19,538 03 | 70 388 | 27,451 32 | 7,913 29 | ST |
| | May 5, 09 | 150 000 | 63 712 | 9,556 80 | 70 388 | 10,558 20 | 1,001 40 | ST |
| | May 6, 09 | 14 000 | 63 911 | 894 76 | 70 388 | 985 43 | 90 67 | ST |
| | Jun 16, 09 | 123 000 | 60 400 | 7,429 20 | 70 388 | 8,657 72 | 1,228 52 | ST |
| | Jul 29, 09 | 137 000 | 66 991 | 9,177 82 | 70 388 | 9,643 16 | 465 34 | ST |
| Security total | | 814 000 | | 46,596 61 | | 57,295 83 | 10,699 22 | |
| AMP LTD ADR | | | | | | | | |
| Symbol AMLTY Exchange OTC | | | | | | | | |
| EAI $1,902 Current yield 3 85% | Aug 24, 09 | 1,225 000 | 20 585 | 25,217 61 | 24 355 | 29,834 88 | 4,617 27 | ST |
| | Aug 24, 09 | 620 000 | 20 540 | 12,734 80 | 24 355 | 15,100 10 | 2,365 30 | ST |
| | Sep 30, 09 | 185 000 | 22 783 | 4,214 97 | 24 355 | 4,505 68 | 290 71 | ST |
| Security total | | 2,030 000 | | 42,167 38 | | 49,440 65 | 7,273 28 | |
| ANGLO AMERN PLC NEW ADR | | | | | | | | |
| Symbol AAUKY Exchange OTC | Aug 24, 09 | 2,904 000 | 16 862 | 48,968 99 | 21 889 | 63,565 66 | 14,596 67 | ST |
| | Sep 8, 09 | 300 000 | 16 795 | 5,038 50 | 21 889 | 6,566 70 | 1,528 20 | ST |
| | Sep 9, 09 | 833 000 | 16 719 | 13,927 01 | 21 889 | 18,233 54 | 4,306 53 | ST |
| | Sep 23, 09 | 1,419 000 | 17 081 | 24,238 93 | 21 889 | 31,060 49 | 6,821 56 | ST |
| | Nov 25, 09 | 175 000 | 22 385 | 3,917 46 | 21 889 | 3,830 58 | -86 88 | ST |
| | Dec 21, 09 | 87 000 | 21 290 | 1,852 29 | 21 889 | 1,904 34 | 52 05 | ST |
| Security total | | 5,718 000 | | 97,943 18 | | 125,161 30 | 27,218 13 | |
| ARCELORMITTAL SA NY REG | | | | | | | | |
| Symbol MT Exchange NYSE | | | | | | | | |
| EAI $745 Current yield 1 40% | May 7, 09 | 821 000 | 27 305 | 22,417 65 | 45 750 | 37,560 75 | 15,143 10 | ST |
| | Jun 16, 09 | 149 000 | 32 869 | 4,897 59 | 45 750 | 6,816 75 | 1,919 16 | ST |
| | Oct 15, 09 | 197 000 | 40 048 | 7,889 52 | 45 750 | 9,012 75 | 1,123 23 | ST |
| Security total | | 1,167 000 | | 35,204 76 | | 53,390 25 | 18,185 49 | |
| BAE SYSTEMS PLC SPON ADR | | | | | | | | |
| Symbol BAESY Exchange OTC | | | | | | | | |
| EAI $2,194 Current yield 4 09% | Mar 30, 09 | 2,032 000 | 18 479 | 37,549 33 | 23 222 | 47,187 10 | 9,637 77 | ST |
| | Jun 16, 09 | 277 000 | 21 673 | 6,003 42 | 23 222 | 6,432 49 | 429 07 | ST |

*continued next page*

**Account name:** PAULEY FAMILY FOUNDATION
**Friendly account name:** PFF Newton Intl
**Account number:** Y1 08377 1C

**Your Financial Advisor:**
DUNN/YAMIN
212-821-7000

## Your assets › Equities › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 2,309 000 | | 43,552 75 | | 53,619 59 | 10,066 84 | |
| BANCO SANTANDER CHILE ADR | | | | | | | | |
| Symbol SAN Exchange NYSE | | | | | | | | |
| EAI $953 Current yield 2 46% | Sep 28, 09 | 580 000 | 56 850 | 32,973 00 | 64 780 | 37,572 40 | 4,599 40 | ST |
| | Sep 28, 09 | 19 000 | 56 575 | 1,074 93 | 64 780 | 1,230 82 | 155 89 | ST |
| Security total | | 599 000 | | 34,047 93 | | 38,803 22 | 4,755 29 | |
| BANCO SANTANDER BRASIL ADS | | | | | | | | |
| Symbol BSBR Exchange NYSE | | | | | | | | |
| EAI $475 Current yield 0 67% | Oct 7, 09 | 2,596 000 | 12 989 | 33,720 48 | 13 940 | 36,188 24 | 2,467 76 | ST |
| | Oct 8, 09 | 379 000 | 13 150 | 4,983 85 | 13 940 | 5,283 26 | 299 41 | ST |
| | Oct 19, 09 | 397 000 | 13 813 | 5,483 92 | 13 940 | 5,534 18 | 50 26 | ST |
| | Dec 4, 09 | 1,738 000 | 13 793 | 23,973 62 | 13 940 | 24,227 72 | 254 10 | ST |
| Security total | | 5,110 000 | | 68,161 87 | | 71,233 40 | 3,071 53 | |
| BANK OF AYUDHYA PCL NVDR | | | | | | | | |
| Symbol BKAHF Exchange OTC | Jul 17, 09 | 103,500 000 | 0 482 | 49,969 80 | 0 695 | 71,932 50 | 21,962 70 | ST |
| BANK SARASIN & CIE REG B | | | | | | | | |
| Symbol BKSNF Exchange OTC | Mar 30, 09 | 1,069 000 | 20 106 | 21,493 74 | 38 170 | 40,803 73 | 19,309 99 | ST |
| | Jun 16, 09 | 209 000 | 33 450 | 6,991 05 | 38 170 | 7,977 53 | 986 48 | ST |
| | Jul 7, 09 | 36 000 | | 0 01 | 38 170 | 1,374 12 | 1,374 12 | ST |
| Security total | | 1,314 000 | | 28,484 80 | | 50,155 38 | 21,670 59 | |
| BARRICK GOLD CORP | | | | | | | | |
| Symbol ABX Exchange NYSE | | | | | | | | |
| EAI $342 Current yield 1 01% | Apr 7, 09 | 564 000 | 29 424 | 16,595 53 | 39 380 | 22,210 32 | 5,614 79 | ST |
| | Nov 6, 09 | 292 000 | 41 759 | 12,193 72 | 39 380 | 11,498 96 | -694 76 | ST |
| Security total | | 856 000 | | 28,789 25 | | 33,709 28 | 4,920 03 | |
| BAYER A G SPON ADR | | | | | | | | |
| Symbol BAYRY Exchange OTC | | | | | | | | |
| EAI $1,109 Current yield 1 70% | Mar 30, 09 | 611 000 | 48 270 | 29,493 34 | 80 618 | 49,257 59 | 19,764 25 | ST |
| | Jun 16, 09 | 140 000 | 55 600 | 7,784 00 | 80 618 | 11,286 52 | 3,502 52 | ST |
| | Nov 9, 09 | 57 000 | 73 195 | 4,172 14 | 80 618 | 4,595 23 | 423 09 | ST |
| Security total | | 808 000 | | 41,449 48 | | 65,139 34 | 23,689 86 | |
| BELLE INTL HLDGS LTD ADR | | | | | | | | |
| Symbol BELLY Exchange OTC | Nov 17, 09 | 632 000 | 58 559 | 37,009 86 | 59 000 | 37,288 00 | 278 14 | ST |

*continued next page*

## Your assets ▸ **Equities** ▸ **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| | Dec 15, 09 | 441 000 | 64 898 | 28,620 19 | 59 000 | 26,019 00 | -2,601 19 | ST |
| Security total | | 1,073 000 | | 65,630 05 | | 63,307 00 | -2,323 05 | |
| BG GROUP PLC SPON ADR<br>Symbol BRGYY Exchange OTC<br>EAI $639 Current yield 1 09% | Mar 30, 09 | 313 000 | 71 733 | 22,452 68 | 90 594 | 28,355 92 | 5,903 24 | ST |
| | Jun 16, 09 | 92 000 | 88 385 | 8,131 47 | 90 594 | 8,334 65 | 203 18 | ST |
| | Sep 14, 09 | 88 000 | 93 000 | 8,184 05 | 90 594 | 7,972 27 | -211 78 | ST |
| | Sep 23, 09 | 156 000 | 90 970 | 14,191 32 | 90 594 | 14,132 66 | -58 66 | ST |
| Security total | | 649 000 | | 52,959 52 | | 58,795 50 | 5,835 98 | |
| BILFINGER BERGER AG ADR<br>Symbol BFLBY Exchange OTC<br>EAI $953 Current yield 2 44% | Sep 11, 09 | 700 000 | 13 541 | 9,478 98 | 15 449 | 10,814 30 | 1,335 32 | ST |
| | Sep 14, 09 | 1,828 000 | 13 304 | 24,320 99 | 15 449 | 28,240 77 | 3,919 78 | ST |
| Security total | | 2,528 000 | | 33,799 97 | | 39,055 07 | 5,255 10 | |
| BNP PARIBAS SA ADR<br>Symbol BNPQY Exchange OTC<br>EAI $716 Current yield 1 29% | Oct 6, 09 | 320 000 | 40 569 | 12,982 24 | 40 101 | 12,832 32 | -149 92 | ST |
| | Oct 7, 09 | 310 000 | 39 871 | 12,360 04 | 40 101 | 12,431 31 | 71 27 | ST |
| | Oct 8, 09 | 175 000 | 40 415 | 7,072 73 | 40 101 | 7,017 67 | -55 06 | ST |
| | Oct 13, 09 | 210 000 | 41 433 | 8,700 95 | 40 101 | 8,421 21 | -279 74 | ST |
| | Oct 16, 09 | 185 000 | 41 783 | 7,729 87 | 40 101 | 7,418 68 | -311 19 | ST |
| | Oct 19, 09 | 155 000 | 42 705 | 6,619 38 | 40 101 | 6,215 65 | -403 73 | ST |
| | Oct 20, 09 | 24 000 | 42 780 | 1,026 74 | 40 101 | 962 42 | -64 32 | ST |
| Security total | | 1,379 000 | | 56,491 95 | | 55,299 27 | -1,192 69 | |
| BRITISH AMER TOBACCO PLC GB<br>SPON ADR<br>Symbol BTI Exchange AMEX<br>EAI $3,974 Current yield 4 23% | Mar 30, 09 | 1,237 000 | 44 630 | 55,207 31 | 64 660 | 79,984 42 | 24,777 11 | ST |
| | Jun 16, 09 | 217 000 | 54 680 | 11,865 56 | 64 660 | 14,031 22 | 2,165 66 | ST |
| Security total | | 1,454 000 | | 67,072 87 | | 94,015 64 | 26,942 77 | |
| BUNZL PLC ORD GBP<br>Symbol BZLFF Exchange OTC | Jul 10, 09 | 3,401 000 | 8 545 | 29,062 23 | 10 900 | 37,070 90 | 8,008 67 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| CANON INC ADR JAPAN SPON ADR | | | | | | | | |
| Symbol CAJ Exchange NYSE | | | | | | | | |
| EAI $1,086 Current yield 2 51% | Oct 9, 09 | 912 000 | 38 410 | 35,030 28 | 42 320 | 38,595 84 | 3,565 56 | ST |
| | Dec 2, 09 | 110 000 | 38 655 | 4,252 05 | 42 320 | 4,655 20 | 403 15 | ST |
| Security total | | 1,022 000 | | 39,282 33 | | 43,251 04 | 3,968 71 | |
| CARNIVAL CORP NEW (PAIRED STOCK) | | | | | | | | |
| Symbol CCL Exchange NYSE | Sep 23, 09 | 1,007 000 | 33 499 | 33,733 69 | 31 690 | 31,911 83 | -1,821 86 | ST |
| CENTRICA PLC NEW 2004 SPON ADR | | | | | | | | |
| Symbol CPYYY Exchange OTC | | | | | | | | |
| EAI $1,669 Current yield 4 34% | Aug 27, 09 | 2,118 000 | 15 753 | 33,366 12 | 18 157 | 38,456 52 | 5,090 40 | ST |
| CREDIT SUISSE GROUP SPON ADR | | | | | | | | |
| Symbol CS Exchange NYSE | | | | | | | | |
| EAI $70 Current yield 0 12% | Aug 27, 09 | 876 000 | 50 926 | 44,611 53 | 49 160 | 43,064 16 | -1,547 37 | ST |
| | Oct 20, 09 | 306 000 | 58 724 | 17,969 76 | 49 160 | 15,042 96 | -2,926 80 | ST |
| Security total | | 1,182 000 | | 62,581 29 | | 58,107 12 | -4,474 17 | |
| DEUTSCHE TELEKOM AG DE SPON ADR | | | | | | | | |
| Symbol DT Exchange NYSE | | | | | | | | |
| EAI $4,819 Current yield 7 05% | Mar 30, 09 | 2,728 000 | 12 148 | 33,139 74 | 14 700 | 40,101 60 | 6,961 86 | ST |
| | Jun 16, 09 | 722 000 | 11 029 | 7,963 59 | 14 700 | 10,613 40 | 2,649 81 | ST |
| | Aug 26, 09 | 1,202 000 | 13 350 | 16,047 18 | 14 700 | 17,669 40 | 1,622 22 | ST |
| Security total | | 4,652 000 | | 57,150 51 | | 68,384 40 | 11,233 89 | |
| FAMILYMART CO LTD ADR | | | | | | | | |
| Symbol FYRTY Exchange OTC | Sep 14, 09 | 797 000 | 31 146 | 24,823 44 | 29 820 | 23,766 54 | -1,056 90 | ST |
| | Sep 15, 09 | 785 000 | 30 909 | 24,263 72 | 29 820 | 23,408 70 | -855 02 | ST |
| | Sep 16, 09 | 215 000 | 31 108 | 6,688 41 | 29 820 | 6,411 30 | -277 11 | ST |
| Security total | | 1,797 000 | | 55,775 57 | | 53,586 54 | -2,189 03 | |
| FRESENIUS MEDICAL CARE AG & CO KGAA SPON ADR | | | | | | | | |
| Symbol FMS Exchange NYSE | | | | | | | | |
| EAI $1,076 Current yield 2 28% | Mar 30, 09 | 664 000 | 37 980 | 25,218 72 | 53 010 | 35,198 64 | 9,979 92 | ST |
| | Jun 16, 09 | 154 000 | 43 219 | 6,655 82 | 53 010 | 8,163 54 | 1,507 72 | ST |
| | Nov 4, 09 | 73 000 | 50 220 | 3,666 09 | 53 010 | 3,869 73 | 203 64 | ST |

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## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 891 000 | | 35,540 63 | | 47,231 91 | 11,691 28 | |
| FUJI MACH MFG CO LTD | | | | | | | | |
| Symbol FMMFF Exchange OTC | Jun 11, 09 | 2,700 000 | 12 719 | 34,343 19 | 12 250 | 33,075 00 | -1,268 19 | ST |
| | Jun 16, 09 | 300 000 | 12 460 | 3,738 00 | 12 250 | 3,675 00 | -63 00 | ST |
| Security total | | 3,000 000 | | 38,081 19 | | 36,750 00 | -1,331 19 | |
| GLAXO SMITHKLINE PLC ADR | | | | | | | | |
| Symbol GSK Exchange NYSE | | | | | | | | |
| EAI $3,549 Current yield 4 39% | Mar 30, 09 | 1,637 000 | 29 560 | 48,389 72 | 42 250 | 69,163 25 | 20,773 53 | ST |
| | Jun 16, 09 | 276 000 | 36 258 | 10,007 35 | 42 250 | 11,661 00 | 1,653 65 | ST |
| Security total | | 1,913 000 | | 58,397 07 | | 80,824 25 | 22,427 18 | |
| GOLD FIELDS LTD SPON ADR | | | | | | | | |
| Symbol GFI Exchange NYSE | | | | | | | | |
| EAI $609 Current yield 1 01% | Mar 30, 09 | 3,116 000 | 11 350 | 35,366 60 | 13 110 | 40,850 76 | 5,484 16 | ST |
| | Jun 16, 09 | 437 000 | 11 688 | 5,107 92 | 13 110 | 5,729 07 | 621 15 | ST |
| | Oct 27, 09 | 1,060 000 | 13 631 | 14,449 39 | 13 110 | 13,896 60 | -552 79 | ST |
| Security total | | 4,613 000 | | 54,923 91 | | 60,476 43 | 5,552 52 | |
| HONDA MOTOR CO ADR JAPAN ADR | | | | | | | | |
| Symbol HMC Exchange NYSE | | | | | | | | |
| EAI $748 Current yield 1 00% | Jul 29, 09 | 1,009 000 | 30 769 | 31,046 73 | 33 900 | 34,205 10 | 3,158 37 | ST |
| | Aug 6, 09 | 325 000 | 32 572 | 10,586 06 | 33 900 | 11,017 50 | 431 44 | ST |
| | Oct 9, 09 | 583 000 | 30 535 | 17,802 14 | 33 900 | 19,763 70 | 1,961 56 | ST |
| | Oct 13, 09 | 296 000 | 31 121 | 9,211 93 | 33 900 | 10,034 40 | 822 47 | ST |
| Security total | | 2,213 000 | | 68,646 86 | | 75,020 70 | 6,373 84 | |
| HSBC HOLDINGS PLC NEW GB SPON ADR | | | | | | | | |
| Symbol HBC Exchange NYSE | | | | | | | | |
| EAI $1,977 Current yield 2 98% | May 5, 09 | 551 000 | 38 972 | 21,473 85 | 57 090 | 31,456 59 | 9,982 74 | ST |
| | May 7, 09 | 256 000 | 41 915 | 10,730 29 | 57 090 | 14,615 04 | 3,884 75 | ST |
| | Jun 16, 09 | 356 000 | 43 168 | 15,367 99 | 57 090 | 20,324 04 | 4,956 05 | ST |
| Security total | | 1,163 000 | | 47,572 13 | | 66,395 67 | 18,823 54 | |
| ICAP PLC SPON ADR | | | | | | | | |
| Symbol IAPLY Exchange OTC | | | | | | | | |
| EAI $2,073 Current yield 4 72% | Mar 30, 09 | 2,880 000 | 7 850 | 22,608 00 | 13 888 | 39,997 44 | 17,389 44 | ST |
| | Jun 17, 09 | 285 000 | 14 599 | 4,160 77 | 13 888 | 3,958 08 | -202 69 | ST |

*continued next page*

## Your assets › Equities › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 3,165 000 | | 26,768 77 | | 43,955 52 | 17,186 75 | |
| INPEX CORP ADR | | | | | | | | |
| Symbol IPXHY Exchange OTC | | | | | | | | |
| EAI $435 Current yield 0 81% | Jun 15, 09 | 313 000 | 81 273 | 25,438 57 | 75 299 | 23,568 59 | -1,869 98 | ST |
| | Jun 25, 09 | 210 000 | 76 073 | 15,975 46 | 75 299 | 15,812 79 | -162 67 | ST |
| | Nov 27, 09 | 193 000 | 78 928 | 15,233 28 | 75 299 | 14,532 71 | -700 57 | ST |
| Security total | | 716 000 | | 56,647 31 | | 53,914 08 | -2,733 22 | |
| JARDINE MATHESON HD-UNSP ADR ADR | | | | | | | | |
| Symbol JMHLY Exchange OTC | | | | | | | | |
| EAI $1,245 Current yield 2 39% | Mar 31, 09 | 1,374 000 | 18 108 | 24,880 53 | 30 180 | 41,467 32 | 16,586 79 | ST |
| | Jun 17, 09 | 355 000 | 24 394 | 8,660 01 | 30 180 | 10,713 90 | 2,053 89 | ST |
| Security total | | 1,729 000 | | 33,540 54 | | 52,181 22 | 18,640 68 | |
| KIRIN HOLDINGS LTD SPON ADR | | | | | | | | |
| Symbol KNBWY Exchange OTC | | | | | | | | |
| EAI $405 Current yield 1 12% | Jul 14, 09 | 1,133 000 | 15 354 | 17,397 10 | 16 005 | 18,133 66 | 736 56 | ST |
| | Aug 25, 09 | 1,118 000 | 14 596 | 16,318 66 | 16 005 | 17,893 59 | 1,574 93 | ST |
| Security total | | 2,251 000 | | 33,715 76 | | 36,027 25 | 2,311 49 | |
| KONINKLIJKE AHOLD NV NEW 2007 SPON ADR | | | | | | | | |
| Symbol AHONY Exchange OTC | | | | | | | | |
| EAI $471 Current yield 1 35% | Mar 30, 09 | 2,291 000 | 10 585 | 24,252 30 | 13 286 | 30,438 23 | 6,185 93 | ST |
| | Jun 16, 09 | 339 000 | 11 390 | 3,861 21 | 13 286 | 4,503 95 | 642 74 | ST |
| Security total | | 2,630 000 | | 28,113 51 | | 34,942 18 | 6,828 67 | |
| LONZA GROUP AG | | | | | | | | |
| Symbol LZAGF Exchange OTC | Mar 30, 09 | 303 000 | 97 905 | 29,665 40 | 69 900 | 21,179 70 | -8,485 70 | ST |
| | Jun 16, 09 | 51 000 | 102 700 | 5,237 70 | 69 900 | 3,564 90 | -1,672 80 | ST |
| Security total | | 354 000 | | 34,903 10 | | 24,744 60 | -10,158 50 | |
| MILLICOM INTL CELLULAR SA NEW | | | | | | | | |
| Symbol MICC Exchange OTC | | | | | | | | |
| EAI $944 Current yield 1 68% | Mar 30, 09 | 673 000 | 37 096 | 24,966 01 | 73 770 | 49,647 21 | 24,681 20 | ST |
| | Jun 16, 09 | 88 000 | 56 388 | 4,962 18 | 73 770 | 6,491 76 | 1,529 58 | ST |
| Security total | | 761 000 | | 29,928 19 | | 56,138 97 | 26,210 78 | |

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| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| MITSUBISHI CORP SPONS ADR ADR | | | | | | | | |
| Symbol MSBHY Exchange OTC | | | | | | | | |
| EAI $975 Current yield 1 26% | Mar 30, 09 | 690 000 | 26 845 | 18,523 12 | 49 519 | 34,168 11 | 15,644 99 | ST |
| | Jun 1, 09 | 146 000 | 40 160 | 5,863 36 | 49 519 | 7,229 77 | 1,366 41 | ST |
| | Jun 16, 09 | 235 000 | 39 100 | 9,188 50 | 49 519 | 11,636 96 | 2,448 46 | ST |
| | Oct 14, 09 | 255 000 | 43 353 | 11,055 22 | 49 519 | 12,627 34 | 1,572 12 | ST |
| | Dec 7, 09 | 239 000 | 49 847 | 11,913 60 | 49 519 | 11,835 04 | -78 56 | ST |
| Security total | | 1,565 000 | | 56,543 80 | | 77,497 23 | 20,953 42 | |
| NESTLE S A SPONSORED ADR | | | | | | | | |
| REPSTG REG SHS SWITZ ADR | | | | | | | | |
| Symbol NSRGY Exchange OTC | | | | | | | | |
| EAI $2,057 Current yield 1 66% | Mar 30, 09 | 1,893 000 | 32 498 | 61,518 90 | 48 561 | 91,925 97 | 30,407 07 | ST |
| | Jun 5, 09 | 203 000 | 35 931 | 7,294 14 | 48 561 | 9,857 88 | 2,563 74 | ST |
| | Jun 16, 09 | 312 000 | 35 920 | 11,207 04 | 48 561 | 15,151 03 | 3,943 99 | ST |
| | Jul 8, 09 | 150 000 | 37 856 | 5,678 54 | 48 561 | 7,284 15 | 1,605 61 | ST |
| Security total | | 2,558 000 | | 85,698 62 | | 124,219 03 | 38,520 41 | |
| NEW WORLD DEVELOPMENT LTD SPON | | | | | | | | |
| ADR (HONG KONG ) | | | | | | | | |
| Symbol NDVLY Exchange OTC | | | | | | | | |
| EAI $821 Current yield 2 87% | Jun 3, 09 | 6,959 000 | 4 182 | 29,103 93 | 4 117 | 28,650 20 | -453 73 | ST |
| NEWCREST MINING LTD SPON | | | | | | | | |
| AUSTRALIA ADR | | | | | | | | |
| Symbol NCMGY Exchange OTC | | | | | | | | |
| EAI $270 Current yield 0 38% | Mar 30, 09 | 2,235 000 | 21 763 | 48,640 53 | 31 774 | 71,014 89 | 22,374 36 | ST |
| NINTENDO LTD ADR NEW JAPAN ADR | | | | | | | | |
| Symbol NTDOY Exchange OTC | | | | | | | | |
| EAI $1,799 Current yield 4 23% | Mar 30, 09 | 945 000 | 35 610 | 33,651 92 | 29 593 | 27,965 38 | -5,686 54 | ST |
| | Jun 18, 09 | 227 000 | 33 708 | 7,651 74 | 29 593 | 6,717 61 | -934 13 | ST |
| | Jun 29, 09 | 265 000 | 34 944 | 9,260 19 | 29 593 | 7,842 14 | -1,418 05 | ST |
| Security total | | 1,437 000 | | 50,563 85 | | 42,525 14 | -8,038 72 | |
| NIPPON STEEL CORP UNSPON ADR | | | | | | | | |
| Symbol NISTY Exchange OTC | | | | | | | | |
| EAI $101 Current yield 0 21% | Oct 16, 09 | 864 000 | 39 961 | 34,526 91 | 40 281 | 34,802 78 | 275 87 | ST |
| | Dec 4, 09 | 330 000 | 39 620 | 13,074 80 | 40 281 | 13,292 73 | 217 93 | ST |

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## Your assets › Equities › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 1,194 000 | | 47,601 71 | | 48,095 51 | 493 80 | |
| NIPPON TELEG & TEL CORP SPON ADR | | | | | | | | |
| Symbol NTT Exchange NYSE | | | | | | | | |
| EAI $956 Current yield 2 91% | Mar 30, 09 | 900 000 | 19 498 | 17,549 01 | 19 740 | 17,766 00 | 216 99 | ST |
| | Jun 16, 09 | 362 000 | 19 607 | 7,098 02 | 19 740 | 7,145 88 | 47 86 | ST |
| | Sep 2, 09 | 404 000 | 22 034 | 8,901 86 | 19 740 | 7,974 96 | -926 90 | ST |
| Security total | | 1,666 000 | | 33,548 89 | | 32,886 84 | -662 05 | |
| NISSAN MTR LTD SPONS ADR JAPAN ADR | | | | | | | | |
| Symbol NSANY Exchange OTC | Mar 30, 09 | 2,554 000 | 7 328 | 18,717 76 | 17 402 | 44,444 71 | 25,726 95 | ST |
| | Mar 30, 09 | 855 000 | 7 328 | 6,266 12 | 17 402 | 14,878 71 | 8,612 59 | ST |
| | Jun 16, 09 | 520 000 | 11 742 | 6,106 05 | 17 402 | 9,049 04 | 2,942 99 | ST |
| | Dec 3, 09 | 734 000 | 15 851 | 11,634 63 | 17 402 | 12,773 07 | 1,138 44 | ST |
| Security total | | 4,663 000 | | 42,724 56 | | 81,145 52 | 38,420 97 | |
| NOMURA HOLDINGS INC NEW SPON ADR | | | | | | | | |
| Symbol NMR Exchange NYSE | | | | | | | | |
| EAI $1,934 Current yield 1 64% | Mar 30, 09 | 3,457 000 | 5 330 | 18,425 81 | 7 400 | 25,581 80 | 7,155 99 | ST |
| | Jun 11, 09 | 856 000 | 9 171 | 7,851 06 | 7 400 | 6,334 40 | -1,516 66 | ST |
| | Jun 16, 09 | 924 000 | 8 452 | 7,809 74 | 7 400 | 6,837 60 | -972 14 | ST |
| | Jul 28, 09 | 763 000 | 8 558 | 6,530 21 | 7 400 | 5,646 20 | -884 01 | ST |
| | Oct 1, 09 | 1,828 000 | 5 863 | 10,718 11 | 7 400 | 13,527 20 | 2,809 09 | ST |
| | Nov 20, 09 | 3,223 000 | 6 680 | 21,530 28 | 7 400 | 23,850 20 | 2,319 92 | ST |
| | Nov 25, 09 | 1,780 000 | 6 702 | 11,931 16 | 7 400 | 13,172 00 | 1,240 84 | ST |
| | Nov 27, 09 | 1,185 000 | 6 893 | 8,168 21 | 7 400 | 8,769 00 | 600 79 | ST |
| | Dec 3, 09 | 1,967 000 | 7 639 | 15,027 49 | 7 400 | 14,555 80 | -471 69 | ST |
| Security total | | 15,983 000 | | 107,992 07 | | 118,274 20 | 10,282 13 | |
| NOVARTIS AG SPON ADR | | | | | | | | |
| Symbol NVS Exchange NYSE | | | | | | | | |
| EAI $3,351 Current yield 2 67% | Mar 30, 09 | 1,755 000 | 36 348 | 63,792 32 | 54 430 | 95,524 65 | 31,732 33 | ST |
| | Jun 16, 09 | 252 000 | 41 252 | 10,395 73 | 54 430 | 13,716 36 | 3,320 63 | ST |
| | Oct 15, 09 | 298 000 | 51 637 | 15,387 83 | 54 430 | 16,220 14 | 832 31 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 2,305 000 | | 89,575 88 | | 125,461 15 | 35,885 27 | |
| NTT DOCOMO INC ECH REPSTG 1/200TH COM SHS SPON ADR Symbol DCM Exchange NYSE EAI $2,447 Current yield 3 55% | Mar 30, 09 | 2,810 000 | 14 148 | 39,756 16 | 13 980 | 39,283 80 | -472 36 | ST |
| | Jun 16, 09 | 422 000 | 14 560 | 6,144 32 | 13 980 | 5,899 56 | -244 76 | ST |
| | Jul 13, 09 | 1,119 000 | 15 208 | 17,017 86 | 13 980 | 15,643 62 | -1,374 24 | ST |
| | Sep 8, 09 | 165 000 | 15 357 | 2,533 95 | 13 980 | 2,306 70 | -227 25 | ST |
| | Sep 9, 09 | 418 000 | 15 393 | 6,434 57 | 13 980 | 5,843 64 | -590 93 | ST |
| Security total | | 4,934 000 | | 71,886 86 | | 68,977 32 | -2,909 54 | |
| PANASONIC CORP SPON ADR Symbol PC Exchange NYSE EAI $439 Current yield 0 86% | Oct 20, 09 | 2,456 000 | 14 472 | 35,543 48 | 14 350 | 35,243 60 | -299 88 | ST |
| | Oct 29, 09 | 296 000 | 13 934 | 4,124 67 | 14 350 | 4,247 60 | 122 93 | ST |
| | Oct 30, 09 | 432 000 | 14 222 | 6,144 08 | 14 350 | 6,199 20 | 55 12 | ST |
| | Dec 2, 09 | 175 000 | 13 323 | 2,331 58 | 14 350 | 2,511 25 | 179 67 | ST |
| | Dec 3, 09 | 207 000 | 13 689 | 2,833 79 | 14 350 | 2,970 45 | 136 66 | ST |
| Security total | | 3,566 000 | | 50,977 60 | | 51,172 10 | 194 50 | |
| PETROLEO BRASILEIRO SA SPON ADR Symbol PBR Exchange NYSE EAI $252 Current yield 0 75% | Mar 30, 09 | 709 000 | 30 809 | 21,843 79 | 47 680 | 33,805 12 | 11,961 33 | ST |
| POTASH CORP SASK INC CANADA Symbol POT Exchange NYSE EAI $157 Current yield 0 37% | Sep 22, 09 | 355 000 | 94 712 | 33,623 04 | 108 500 | 38,517 50 | 4,894 46 | ST |
| | Nov 18, 09 | 38 000 | 113 799 | 4,324 39 | 108 500 | 4,123 00 | -201 39 | ST |
| Security total | | 393 000 | | 37,947 43 | | 42,640 50 | 4,693 07 | |
| QBE INSURANCE GROUP LTD ORD Symbol QBEIF Exchange OTC | Mar 31, 09 | 1,988 000 | 13 212 | 26,265 65 | 23 023 | 45,769 72 | 19,504 07 | ST |
| | Jun 16, 09 | 328 000 | 15 580 | 5,110 24 | 23 023 | 7,551 54 | 2,441 30 | ST |
| | Jun 16, 09 | 311 000 | 15 459 | 4,808 03 | 23 023 | 7,160 15 | 2,352 12 | ST |
| Security total | | 2,627 000 | | 36,183 92 | | 60,481 42 | 24,297 49 | |

*continued next page*

**Account name:** PAULEY FAMILY FOUNDATION
**Friendly account name:** PFF Newton Intl
**Account number:** Y1 08377 1C

**Your Financial Advisor:**
DUNN/YAMIN
212-821-7000

## Your assets › Equities › Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| ROCHE HLDG LTD SPONS ADR SWITZ ADR | | | | | | | | |
| Symbol RHHBY Exchange OTC | | | | | | | | |
| EAI $2,006 Current yield 1 56% | Mar 30, 09 | 2,314 000 | 32 913 | 76,161 61 | 42 515 | 98,379 71 | 22,218 10 | ST |
| | Jun 16, 09 | 488 000 | 33 100 | 16,152 80 | 42 515 | 20,747 32 | 4,594 52 | ST |
| | Jul 8, 09 | 215 000 | 34 418 | 7,400 00 | 42 515 | 9,140 72 | 1,740 72 | ST |
| Security total | | 3,017 000 | | 99,714 41 | | 128,267 75 | 28,553 34 | |
| ROSSI RESIDENCIAL S A | | | | | | | | |
| Symbol RSRZY Exchange OTC | | | | | | | | |
| EAI $259 Current yield 0 71% | Sep 30, 09 | 4,950 000 | 4 048 | 20,038 10 | 4 389 | 21,725 55 | 1,687 45 | ST |
| | Oct 1, 09 | 3,395 000 | 3 871 | 13,142 05 | 4 389 | 14,900 65 | 1,758 60 | ST |
| Security total | | 8,345 000 | | 33,180 15 | | 36,626 20 | 3,446 05 | |
| SANTOS LTD ORD ORD | | | | | | | | |
| Symbol STOSF Exchange OTC | May 20, 09 | 2,236 000 | 11 322 | 25,316 22 | 12 671 | 28,332 35 | 3,016 13 | ST |
| | Jun 16, 09 | 436 000 | 11 390 | 4,966 04 | 12 671 | 5,524 55 | 558 51 | ST |
| | Jun 19, 09 | 657 000 | 11 983 | 7,872 96 | 12 671 | 8,324 85 | 451 89 | ST |
| Security total | | 3,329 000 | | 38,155 22 | | 42,181 75 | 4,026 53 | |
| SECOM LTD ADR JAPAN ADR | | | | | | | | |
| Symbol SOMLY Exchange OTC | | | | | | | | |
| EAI $816 Current yield 1 72% | Mar 30, 09 | 346 000 | 74 650 | 25,828 90 | 94 957 | 32,855 12 | 7,026 22 | ST |
| | Jun 16, 09 | 58 000 | 81 000 | 4,698 00 | 94 957 | 5,507 51 | 809 51 | ST |
| | Aug 10, 09 | 96 000 | 86 432 | 8,297 52 | 94 957 | 9,115 87 | 818 35 | ST |
| Security total | | 500 000 | | 38,824 42 | | 47,478 50 | 8,654 08 | |
| SMITH & NEPHEW PLC NEW SPON ADR | | | | | | | | |
| Symbol SNN Exchange NYSE | | | | | | | | |
| EAI $524 Current yield 1 32% | Mar 30, 09 | 615 000 | 30 408 | 18,701 35 | 51 250 | 31,518 75 | 12,817 40 | ST |
| | Jun 16, 09 | 157 000 | 37 310 | 5,857 67 | 51 250 | 8,046 25 | 2,188 58 | ST |
| Security total | | 772 000 | | 24,559 02 | | 39,565 00 | 15,005 98 | |
| SONY CORP ADR NEW JAPAN ADR | | | | | | | | |
| Symbol SNE Exchange NYSE | | | | | | | | |
| EAI $355 Current yield 0 87% | Dec 24, 09 | 1,414 000 | 29 257 | 41,370 11 | 29 000 | 41,006 00 | -364 11 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| STANDARD CHARTERED PLC | | | | | | | | |
| Symbol SCBFF Exchange OTC | Mar 30, 09 | 1,322 000 | 11 869 | 15,692 01 | 25 109 | 33,194 09 | 17,502 08 | ST |
| STRABAG AG | | | | | | | | |
| Symbol STAGF Exchange OTC | Mar 30, 09 | 86 000 | 191 646 | 16,481 60 | 220 000 | 18,920 00 | 2,438 40 | ST |
| | Sep 15, 09 | 5 000 | 251 288 | 1,256 44 | 220 000 | 1,100 00 | -156 44 | ST |
| | Sep 16, 09 | 47 000 | 252 949 | 11,888 61 | 220 000 | 10,340 00 | -1,548 61 | ST |
| | Sep 30, 09 | 16 000 | 260 829 | 4,173 27 | 220 000 | 3,520 00 | -653 27 | ST |
| Security total | | 154 000 | | 33,799 92 | | 33,880 00 | 80 08 | |
| SUMITOMO MITSUI FINANCIAL GROUP INC ADR | | | | | | | | |
| Symbol SMFJY Exchange OTC | | | | | | | | |
| EAI $941 Current yield 1 79% | Sep 30, 09 | 5,541 000 | 3 455 | 19,148 59 | 2 841 | 15,741 98 | -3,406 61 | ST |
| | Oct 9, 09 | 2,539 000 | 3 806 | 9,663 43 | 2 841 | 7,213 30 | -2,450 13 | ST |
| | Oct 13, 09 | 7,878 000 | 3 822 | 30,113 66 | 2 841 | 22,381 40 | -7,732 26 | ST |
| | Oct 20, 09 | 450 000 | 3 563 | 1,603 40 | 2 841 | 1,278 45 | -324 95 | ST |
| | Oct 21, 09 | 2,049 000 | 3 555 | 7,285 83 | 2 841 | 5,821 21 | -1,464 62 | ST |
| Security total | | 18,457 000 | | 67,814 91 | | 52,436 33 | -15,378 57 | |
| SYNGENTA AG SPON ADR | | | | | | | | |
| Symbol SYT Exchange NYSE | | | | | | | | |
| EAI $632 Current yield 1 55% | Mar 30, 09 | 621 000 | 39 356 | 24,440 20 | 56 270 | 34,943 67 | 10,503 47 | ST |
| | Jun 16, 09 | 105 000 | 48 378 | 5,079 74 | 56 270 | 5,908 35 | 828 61 | ST |
| Security total | | 726 000 | | 29,519 94 | | 40,852 02 | 11,332 08 | |
| TELE NORTE LESTE PARTICIPACOES S A ADR | | | | | | | | |
| Symbol TNE Exchange NYSE | | | | | | | | |
| EAI $5,117 Current yield 11 49% | Mar 30, 09 | 935 000 | 13 381 | 12,512 08 | 21 420 | 20,027 70 | 7,515 62 | ST |
| | Jun 16, 09 | 358 000 | 15 519 | 5,556 05 | 21 420 | 7,668 36 | 2,112 31 | ST |
| | Jul 17, 09 | 787 000 | 14 561 | 11,459 74 | 21 420 | 16,857 54 | 5,397 80 | ST |
| Security total | | 2,080 000 | | 29,527 87 | | 44,553 60 | 15,025 73 | |
| TESCO PLC SPONS ADR UNITED KINGDOM | | | | | | | | |
| Symbol TSCDY Exchange OTC | | | | | | | | |
| EAI $987 Current yield 2 69% | Mar 30, 09 | 1,486 000 | 13 490 | 20,046 14 | 20 735 | 30,812 21 | 10,766 07 | ST |
| | Jun 16, 09 | 282 000 | 17 800 | 5,019 60 | 20 735 | 5,847 27 | 827 67 | ST |

*continued next page*

## Your assets › **Equities** › **Common stock** (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| Security total | | 1,768 000 | | 25,065 74 | | 36,659 48 | 11,593 74 | |
| THALES SPONS ORD | | | | | | | | |
| Symbol THLEF Exchange OTC | Mar 30, 09 | 948 000 | 36 175 | 34,294 66 | 51 572 | 48,890 26 | 14,595 60 | ST |
| | Jun 16, 09 | 227 000 | 45 500 | 10,328 50 | 51 572 | 11,706 84 | 1,378 34 | ST |
| Security total | | 1,175 000 | | 44,623 16 | | 60,597 10 | 15,973 94 | |
| TOSHIBA CORP ADR | | | | | | | | |
| Symbol TOSYY Exchange OTC | Jul 23, 09 | 743 000 | 24 500 | 18,203 95 | 32 934 | 24,469 96 | 6,266 01 | ST |
| | Jul 28, 09 | 387 000 | 25 206 | 9,754 80 | 32 934 | 12,745 46 | 2,990 66 | ST |
| | Jul 29, 09 | 3 000 | 25 789 | 77 37 | 32 934 | 98 80 | 21 43 | ST |
| | Jul 31, 09 | 681 000 | 26 542 | 18,075 65 | 32 934 | 22,428 05 | 4,352 40 | ST |
| | Oct 22, 09 | 128 000 | 35 987 | 4,606 41 | 32 934 | 4,215 55 | -390 86 | ST |
| Security total | | 1,942 000 | | 50,718 18 | | 63,957 82 | 13,239 64 | |
| TOTAL S A FRANCE SPON ADR | | | | | | | | |
| Symbol TOT Exchange NYSE | | | | | | | | |
| EAI $3,556 Current yield 4 34% | Mar 30, 09 | 1,062 000 | 48 075 | 51,056 61 | 64 040 | 68,010 48 | 16,953 87 | ST |
| | Jun 16, 09 | 161 000 | 54 589 | 8,788 91 | 64 040 | 10,310 44 | 1,521 53 | ST |
| | Dec 21, 09 | 57 000 | 62 660 | 3,571 62 | 64 040 | 3,650 28 | 78 66 | ST |
| Security total | | 1,280 000 | | 63,417 14 | | 81,971 20 | 18,554 06 | |
| ULTRA ELECTRONICS HLDGS PLC ADR | | | | | | | | |
| Symbol UEHPY Exchange OTC | | | | | | | | |
| EAI $176 Current yield 0 60% | Apr 16, 09 | 940 000 | 8 926 | 8,391 10 | 11 102 | 10,435 88 | 2,044 78 | ST |
| | Apr 17, 09 | 1,165 000 | 8 885 | 10,351 84 | 11 102 | 12,933 83 | 2,581 99 | ST |
| | Apr 20, 09 | 529 000 | 8 615 | 4,557 39 | 11 102 | 5,872 96 | 1,315 57 | ST |
| Security total | | 2,634 000 | | 23,300 33 | | 29,242 66 | 5,942 34 | |
| UNILEVER NV N Y SHS NEW NETHERLANDS SPON SPON ADR | | | | | | | | |
| Symbol UN Exchange NYSE | | | | | | | | |
| EAI $1,830 Current yield 2 86% | Mar 30, 09 | 1,033 000 | 18 807 | 19,427 84 | 32 330 | 33,396 89 | 13,969 05 | ST |
| | Jun 5, 09 | 689 000 | 24 698 | 17,017 13 | 32 330 | 22,275 37 | 5,258 24 | ST |
| | Jun 16, 09 | 259 000 | 24 300 | 6,293 70 | 32 330 | 8,373 47 | 2,079 77 | ST |
| Security total | | 1,981 000 | | 42,738 67 | | 64,045 73 | 21,307 06 | |

*continued next page*

## Your assets ▸ Equities ▸ Common stock (continued)

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| VODAFONE GROUP PLC NEW SPON ADR | | | | | | | | |
| Symbol VOD Exchange OTC | | | | | | | | |
| EAI $6,290 Current yield 5 59% | Mar 30, 09 | 3,468 000 | 16 527 | 57,316 68 | 23 090 | 80,076 12 | 22,759 44 | ST |
| | Jun 16, 09 | 561 000 | 18 798 | 10,546 01 | 23 090 | 12,953 49 | 2,407 48 | ST |
| | Sep 8, 09 | 316 000 | 22 649 | 7,157 24 | 23 090 | 7,296 44 | 139 20 | ST |
| | Dec 2, 09 | 527 000 | 23 993 | 12,644 42 | 23 090 | 12,168 43 | -475 99 | ST |
| Security total | | 4,872 000 | | 87,664 35 | | 112,494 48 | 24,830 13 | |
| WHITE ENERGY CO LTD | | | | | | | | |
| Symbol WECFF Exchange OTC | Nov 12, 09 | 3,855 000 | 2 611 | 10,068 49 | 2 158 | 8,319 09 | -1,749 40 | ST |
| | Nov 13, 09 | 1,940 000 | 2 578 | 5,001 51 | 2 158 | 4,186 52 | -814 99 | ST |
| | Nov 16, 09 | 1,405 000 | 2 598 | 3,651 45 | 2 158 | 3,031 99 | -619 46 | ST |
| | Nov 17, 09 | 1,190 000 | 2 578 | 3,068 30 | 2 158 | 2,568 02 | -500 28 | ST |
| | Nov 18, 09 | 1,575 000 | 2 549 | 4,015 94 | 2 158 | 3,398 85 | -617 09 | ST |
| | Nov 19, 09 | 750 000 | 2 561 | 1,921 13 | 2 158 | 1,618 50 | -302 63 | ST |
| | Nov 20, 09 | 1,340 000 | 2 548 | 3,415 12 | 2 158 | 2,891 72 | -523 40 | ST |
| | Nov 23, 09 | 1,294 000 | 2 530 | 3,274 60 | 2 158 | 2,792 45 | -482 15 | ST |
| Security total | | 13,349 000 | | 34,416 54 | | 28,807 14 | -5,609 40 | |
| YAHOO JAPAN CORP ADR | | | | | | | | |
| Symbol YAHOY Exchange OTC | Jul 29, 09 | 307 000 | 114 107 | 35,030 88 | 99 583 | 30,571 98 | -4,458 90 | ST |
| | Oct 28, 09 | 54 000 | 105 467 | 5,695 26 | 99 583 | 5,377 48 | -317 78 | ST |
| Security total | | 361 000 | | 40,726 14 | | 35,949 46 | -4,776 68 | |
| ZURICH FINANCIAL SVCS SPON ADR | | | | | | | | |
| Symbol ZFSVY Exchange OTC | | | | | | | | |
| EAI $1,658 Current yield 3 61% | Mar 30, 09 | 1,823 000 | 14 974 | 27,298 88 | 21 911 | 39,943 75 | 12,644 87 | ST |
| | Jun 16, 09 | 273 000 | 17 900 | 4,886 70 | 21 911 | 5,981 70 | 1,095 00 | ST |
| Security total | | 2,096 000 | | 32,185 58 | | 45,925 45 | 13,739 87 | |
| **Total** | | | | **$3,501,489.29** | | **$4,269,500.42** | **$768,011.16** | |

**Total estimated annual income: $76,598**

## Your assets ▸ **Equities** (continued)

### Closed end mutual funds

| Holding | Trade date | Number of shares | Purchase price per share ($) | Cost basis ($) | Price per share on Dec 31 ($) | Value on Dec 31 ($) | Unrealized gain or loss ($) | Holding period |
|---|---|---|---|---|---|---|---|---|
| ISHARES INC MSCI JAPAN INDEX FD<br>Symbol EWJ Exchange NYSE<br>EAI $3,357 Current yield 1 81% | Mar 30, 09 | 7,831 000 | 7 952 | 62,279 16 | 9 740 | 76,273 94 | 13,994 78 | ST |
| | Jun 16, 09 | 3,065 000 | 9 390 | 28,780 35 | 9 740 | 29,853 10 | 1,072 75 | ST |
| | Dec 4, 09 | 8,177 000 | 10 020 | 81,938 45 | 9 740 | 79,643 98 | -2,294 47 | ST |
| Security total | | 19,073 000 | | 172,997 96 | | 185,771 02 | 12,773 06 | |

## Your total assets

| | | Value on Dec 31 ($) | Percentage of your account | Cost basis ($) | Estimated annual income ($) | Unrealized gain or loss ($) |
|---|---|---|---|---|---|---|
| **Cash** | **Cash and money balances** | **237,857.73** | **5.07%** | **237,857.73** | | |
| **Equities** | Common stock | 4,269,500 42 | | 3,501,489 29 | 76,598 00 | 768,011 16 |
| | Closed end mutual funds | 185,771 02 | | 172,997 96 | 3,357 00 | 12,773 06 |
| | **Total equities** | **4,455,271.44** | **94.93%** | **3,674,487.25** | **79,955.00** | **780,784.22** |
| **Total** | | **$4,693,129.17** | **100.00%** | **$3,912,344.98** | **$79,955.00** | **$780,784.22** |

# Account activity this month

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document

| Date | Activity | Description | Your expense code | Quantity/ Face value | Price/Value ($) | Cash amount ($) | Cash and money balance ($) |
|---|---|---|---|---|---|---|---|
| **Nov 30** | | **Cash and money balance** | | | | | **$177,552.92** |
| Dec 1 | Bought | ANGLO AMERN PLC NEW ADR<br>Average Priced Trade ▸ SYMBOL AAUKY ▸ CUSIP NO 03485P201 ▸ Location of Execution 09 ▸ Capacity Agent | | 175 000 | 22 385500 | -3,917 46 | |
| Dec 1 | Fee | NTT DOCOMO INC ECH REPSTG 1/200TH COM SHS SPON ADR | | | | -17 27 | |
| Dec 1 | Foreign Tax Withheld | NTT DOCOMO INC ECH REPSTG 1/200TH COM SHS SPON ADR | | | | -100 68 | |
| Dec 1 | Foreign Dividend | NTT DOCOMO INC ECH REPSTG 1/200TH COM SHS SPON ADR PAID ON 4934 | | | | 1,438 32 | |

*continued next page*

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

# Application for Extension of Time To File an Exempt Organization Return

▶ File a separate application for each return.

OMB No. 1545-1709

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box . . . . . . . . . . ▶ ☑
- 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<br>File by the due date for filing your return. See instructions. | Name of Exempt Organization<br>The Pauley Family Foundation | Employer identification number<br>54 : 1685158 |
|---|---|---|
| | Number, street, and room or suite no. If a P.O. box, see instructions.<br>c/o S.F. Pauley, 314 St. David's Lane | |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br>Richmond, VA 23221 | |

**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 ▶ S.F. Pauley

Telephone No. ▶ ( 804 ) 359-0800 FAX No. ▶ ( )

- If the organization does not have an office or place of business in the United States, check this box . . . . . . ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ . If this is for the whole group, check this box . . . . . ▶ ☐ . If it is for part of the group, check this box . . . . . . ▶ ☐ and attach a list with the names and EINs of all members the extension will cover.

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until August 15th , 20 10 , to file the exempt organization return for the organization named above. The extension is for the organization's return for:
▶ ☒ calendar year 20 09 ... or
▶ ☐ tax year beginning ............, 20 ...... , and ending ............ 20 .......

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 | $ 10,000 |
| 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 | $ 35,179 |
| 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 | $ None |

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

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

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 | Name of Exempt Organization<br>The Pauley Family Foundation | | Employer identification number<br>54 1685158 |
|---|---|---|---|
| File by the extended due date for filing the return. See instructions. | Number, street, and room or suite no. If a P.O. box, see instructions.<br>c/o S.F. Pauley, 314 St. David's Lane | | For IRS use only |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br>Richmond, VA 23221 | | |

**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 ▶ Stanley F. Pauley

Telephone No. ▶ ( 804 ) 359-0800 FAX No. ▶ ( )

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

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

4 I request an additional 3-month extension of time until November 15th , 20 10 .

5 For calendar year 2009 , or other tax year beginning . . . . . . . . , 20 . . . . . and ending . . . . . . . . , 20 . . . . .

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 The Pauley Family Foundation has alternative investments that have not yet issued K-1's for 2009. Those K-1's are necessary in order to file a complete and accurate tax return.

| | | | |
|---|---|---|---|
| 8a | If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | 8a | $ 10,000 |
| 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 | $ 35,179 |
| 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 | $ NONE |

## 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 ▶ Philip J. Wallin Title ▶ CPA Date ▶ 7/16/10