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Form **990-PF**

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

OMB No 1545-0052

**2009**Department of the Treasury  
Internal Revenue Service

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

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

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name change

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

Name of foundation

**FRED COLLINS FOUNDATION**

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

**1341 RUTHERFORD ROAD**

Room/suite

City or town, state, and ZIP code

**GREENVILLE****SC 29609**

A Employer identification number

**57-6107255**

B Telephone number (see page 10 of the instructions)

**864-268-1111**C If exemption application is pending, check here ☐D 1. Foreign organizations, check here ☐2. Foreign organizations meeting the  
85% test, check here and attach computation ☐E If private foundation status was terminated under  
section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination  
under section 507(b)(1)(B), check here ☐H Check type of organization ☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end

of year (from Part II, col (c),

line 16) **\$ 5,460,151**J Accounting method ☐ Cash ☒ Accrual☐ Other (specify)

(Part I, column (d) must be on cash basis)

**Part I Analysis of Revenue and Expenses** (Thetotal 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<br>expenses per<br>books | (b) Net investment<br>income | (c) Adjusted net<br>income | (d) Disbursements<br>for charitable<br>purposes<br>(cash basis only) |
|------------------------------------------------------------------------------------|------------------------------------------|------------------------------|----------------------------|----------------------------------------------------------------------|
| <b>Revenue</b>                                                                     |                                          |                              |                            |                                                                      |
| 1 Contributions, gifts, grants, etc., received (attach schedule)                   | <b>38,674</b>                            |                              |                            |                                                                      |
| 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B |                                          |                              |                            |                                                                      |
| 3 Interest on savings and temporary cash investments                               | <b>34,763</b>                            | <b>34,763</b>                |                            |                                                                      |
| 4 Dividends and interest from securities                                           | <b>116,739</b>                           | <b>116,739</b>               |                            |                                                                      |
| 5a Gross rents                                                                     |                                          |                              |                            |                                                                      |
| b Net rental income or (loss)                                                      |                                          |                              |                            |                                                                      |
| 6a Net gain or (loss) from sale of assets not on line 10 <b>STMT 1</b>             | <b>-636,708</b>                          |                              |                            |                                                                      |
| b Gross sales price for all assets on line 6a <b>1,801,911</b>                     |                                          |                              |                            |                                                                      |
| 7 Capital gain net income (from Part IV, line 2)                                   |                                          | <b>0</b>                     |                            |                                                                      |
| 8 Net short-term capital gain                                                      |                                          |                              | <b>0</b>                   |                                                                      |
| 9 Income modifications                                                             |                                          |                              |                            |                                                                      |
| 10a Gross sales less returns & allowances                                          |                                          |                              |                            |                                                                      |
| b Less Cost of goods sold                                                          |                                          |                              |                            |                                                                      |
| c Gross profit or (loss) (attach schedule)                                         |                                          |                              |                            |                                                                      |
| 11 Other income (attach schedule) <b>STMT 2</b>                                    | <b>-28,969</b>                           | <b>-28,969</b>               |                            |                                                                      |
| 12 Total. Add lines 1 through 11                                                   | <b>-475,501</b>                          | <b>122,533</b>               | <b>0</b>                   |                                                                      |
| 13 Compensation of officers, directors, trustees, etc.                             |                                          |                              |                            |                                                                      |
| 14 Other employee salaries and wages                                               |                                          |                              |                            |                                                                      |
| 15 Pension plans, employee benefits                                                |                                          |                              |                            |                                                                      |
| 16a Legal fees (attach schedule)                                                   |                                          |                              |                            |                                                                      |
| b Accounting fees (attach schedule) <b>STMT 3</b>                                  | <b>23,884</b>                            | <b>23,884</b>                |                            |                                                                      |
| c Other professional fees (attach schedule) <b>STMT 4</b>                          | <b>53,114</b>                            | <b>53,114</b>                |                            |                                                                      |
| 17 Interest                                                                        |                                          |                              |                            |                                                                      |
| 18 Taxes (attach schedule) (see page 14 of the instructions) <b>STMT 5</b>         | <b>3,376</b>                             | <b>2,038</b>                 |                            |                                                                      |
| 19 Depreciation (attach schedule) and depletion                                    |                                          |                              |                            |                                                                      |
| 20 Occupancy                                                                       |                                          |                              |                            |                                                                      |
| 21 Travel, conferences, and meetings                                               |                                          |                              |                            |                                                                      |
| 22 Printing and publications                                                       |                                          |                              |                            |                                                                      |
| 23 Other expenses (att. sch) <b>STMT 6</b>                                         | <b>1,518</b>                             | <b>1,463</b>                 |                            |                                                                      |
| 24 Total operating and administrative expenses.                                    |                                          |                              |                            |                                                                      |
| Add lines 13 through 23                                                            | <b>81,892</b>                            | <b>80,499</b>                |                            | <b>0</b>                                                             |
| 25 Contributions, gifts, grants paid                                               | <b>362,250</b>                           |                              |                            | <b>362,250</b>                                                       |
| 26 Total expenses and disbursements. Add lines 24 and 25                           | <b>444,142</b>                           | <b>80,499</b>                | <b>0</b>                   | <b>362,250</b>                                                       |
| 27 Subtract line 26 from line 12.                                                  |                                          |                              |                            |                                                                      |
| a Excess of revenue over expenses and disbursements                                | <b>-919,643</b>                          |                              |                            |                                                                      |
| b Net investment income (if negative, enter -0-)                                   |                                          | <b>42,034</b>                |                            |                                                                      |
| c Adjusted net income (if negative, enter -0-)                                     |                                          |                              | <b>0</b>                   |                                                                      |

For Privacy Act and Paperwork Reduction Act Notice, see page 30 of the instructions.

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

|                                    |            |                                                                                                                                                | Beginning of year | End of year    |                       |
|------------------------------------|------------|------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|----------------|-----------------------|
|                                    |            |                                                                                                                                                | (a) Book Value    | (b) Book Value | (c) Fair Market Value |
| <b>Assets</b>                      | <b>1</b>   | Cash—non-interest-bearing                                                                                                                      | 6,132             | 7,963          | 7,963                 |
|                                    | <b>2</b>   | Savings and temporary cash investments                                                                                                         | 429,953           | 191,880        | 191,880               |
|                                    | <b>3</b>   | Accounts receivable ▶<br>Less: allowance for doubtful accounts ▶                                                                               |                   |                |                       |
|                                    | <b>4</b>   | Pledges receivable ▶<br>Less: allowance for doubtful accounts ▶                                                                                |                   |                |                       |
|                                    | <b>5</b>   | Grants receivable                                                                                                                              |                   |                |                       |
|                                    | <b>6</b>   | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 16 of the instructions)         |                   |                |                       |
|                                    | <b>7</b>   | Other notes and loans receivable (att. schedule) ▶<br>Less: allowance for doubtful accounts ▶                                                  |                   |                |                       |
|                                    | <b>8</b>   | Inventories for sale or use                                                                                                                    |                   |                |                       |
|                                    | <b>9</b>   | Prepaid expenses and deferred charges                                                                                                          |                   |                |                       |
|                                    | <b>10a</b> | Investments—U S and state government obligations (attach schedule) <b>STMT 7</b>                                                               | 181,084           | 121,533        | 118,018               |
|                                    | <b>b</b>   | Investments—corporate stock (attach schedule) <b>SEE STMT 8</b>                                                                                | 4,075,733         | 3,377,665      | 3,660,842             |
|                                    | <b>c</b>   | Investments—corporate bonds (attach schedule) <b>SEE STMT 9</b>                                                                                | 467,443           | 494,111        | 524,125               |
|                                    | <b>11</b>  | Investments—land, buildings, and equipment, basis ▶<br>Less: accumulated depreciation (attach sch.) ▶                                          |                   |                |                       |
|                                    | <b>12</b>  | Investments—mortgage loans                                                                                                                     |                   |                |                       |
|                                    | <b>13</b>  | Investments—other (attach schedule)                                                                                                            |                   |                |                       |
|                                    | <b>14</b>  | Land, buildings, and equipment, basis ▶<br>Less: accumulated depreciation (attach sch.) ▶                                                      |                   |                |                       |
| <b>Liabilities</b>                 | <b>15</b>  | Other assets (describe ▶ <b>SEE STATEMENT 10</b> )                                                                                             | 883,714           | 931,264        | 957,323               |
|                                    | <b>16</b>  | <b>Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I)                                             | 6,044,059         | 5,124,416      | 5,460,151             |
|                                    | <b>17</b>  | Accounts payable and accrued expenses                                                                                                          |                   |                |                       |
|                                    | <b>18</b>  | Grants payable                                                                                                                                 |                   |                |                       |
|                                    | <b>19</b>  | Deferred revenue                                                                                                                               |                   |                |                       |
|                                    | <b>20</b>  | Loans from officers, directors, trustees, and other disqualified persons                                                                       |                   |                |                       |
|                                    | <b>21</b>  | Mortgages and other notes payable (attach schedule)                                                                                            |                   |                |                       |
|                                    | <b>22</b>  | Other liabilities (describe ▶)                                                                                                                 |                   |                |                       |
|                                    | <b>23</b>  | <b>Total liabilities</b> (add lines 17 through 22)                                                                                             | 0                 | 0              |                       |
| <b>Net Assets or Fund Balances</b> |            | <b>Foundations that follow SFAS 117, check here ▶</b> <input type="checkbox"/><br><b>and complete lines 24 through 26 and lines 30 and 31.</b> |                   |                |                       |
|                                    | <b>24</b>  | Unrestricted                                                                                                                                   |                   |                |                       |
|                                    | <b>25</b>  | Temporarily restricted                                                                                                                         |                   |                |                       |
|                                    | <b>26</b>  | Permanently restricted                                                                                                                         |                   |                |                       |
|                                    |            | <b>Foundations that do not follow SFAS 117, check here ▶</b> <input checked="" type="checkbox"/><br><b>and complete lines 27 through 31.</b>   |                   |                |                       |
|                                    | <b>27</b>  | Capital stock, trust principal, or current funds                                                                                               |                   |                |                       |
|                                    | <b>28</b>  | Paid-in or capital surplus, or land, bldg., and equipment fund                                                                                 |                   |                |                       |
|                                    | <b>29</b>  | Retained earnings, accumulated income, endowment, or other funds                                                                               | 6,044,059         | 5,124,416      |                       |
|                                    | <b>30</b>  | <b>Total net assets or fund balances</b> (see page 17 of the instructions)                                                                     | 6,044,059         | 5,124,416      |                       |
|                                    | <b>31</b>  | <b>Total liabilities and net assets/fund balances</b> (see page 17 of the instructions)                                                        | 6,044,059         | 5,124,416      |                       |

**Part III Analysis of Changes in Net Assets or Fund Balances**

|          |                                                                                                                                                          |          |           |
|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------|----------|-----------|
| <b>1</b> | 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) | <b>1</b> | 6,044,059 |
| <b>2</b> | Enter amount from Part I, line 27a                                                                                                                       | <b>2</b> | -919,643  |
| <b>3</b> | Other increases not included in line 2 (itemize) ▶                                                                                                       | <b>3</b> |           |
| <b>4</b> | Add lines 1, 2, and 3                                                                                                                                    | <b>4</b> | 5,124,416 |
| <b>5</b> | Decreases not included in line 2 (itemize) ▶                                                                                                             | <b>5</b> |           |
| <b>6</b> | <b>Total net assets or fund balances at end of year</b> (line 4 minus line 5)—Part II, column (b), line 30                                               | <b>6</b> | 5,124,416 |

**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 shares MLC Co.) |  | (b) How acquired<br>P—Purchase<br>D—Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|--------------------------------------------------------------------------------------------------------------------------------------|--|----------------------------------------------|--------------------------------------|----------------------------------|
| <b>1a N/A</b>                                                                                                                        |  |                                              |                                      |                                  |
| <b>b</b>                                                                                                                             |  |                                              |                                      |                                  |
| <b>c</b>                                                                                                                             |  |                                              |                                      |                                  |
| <b>d</b>                                                                                                                             |  |                                              |                                      |                                  |
| <b>e</b>                                                                                                                             |  |                                              |                                      |                                  |

  

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

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

  

|                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                 |          |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|--|
| <b>2</b> Capital gain net income or (net capital loss)                                                                                                                                                                          | <div style="border: 1px solid black; padding: 2px;">           If gain, also enter in Part I, line 7<br/>           If (loss), enter -0- in Part I, line 7         </div>                                                       | <b>2</b> |  |
| <b>3</b> 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 | <div style="border: 1px solid black; padding: 2px;">           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         </div> | <b>3</b> |  |

**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)<br>Base period years<br>Calendar year (or tax year beginning in) | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(col (b) divided by col (c)) |
|----------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-----------------------------------------------------------|
| 2008                                                                 | 281,946                                  | 6,087,494                                    | 0.046316                                                  |
| 2007                                                                 | 235,500                                  | 7,301,617                                    | 0.032253                                                  |
| 2006                                                                 | 277,000                                  | 4,513,945                                    | 0.061365                                                  |
| 2005                                                                 | 1,094,033                                | 4,606,924                                    | 0.237476                                                  |
| 2004                                                                 | 464,441                                  | 3,362,858                                    | 0.138109                                                  |

  

|                                                                                                                                                                                                                                        |          |           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|-----------|
| <b>2</b> Total of line 1, column (d)                                                                                                                                                                                                   | <b>2</b> | 0.515519  |
| <b>3</b> 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                                                    | <b>3</b> | 0.103104  |
| <b>4</b> Enter the net value of noncharitable-use assets for 2009 from Part X, line 5                                                                                                                                                  | <b>4</b> | 4,996,545 |
| <b>5</b> Multiply line 4 by line 3                                                                                                                                                                                                     | <b>5</b> | 515,164   |
| <b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)                                                                                                                                                                    | <b>6</b> | 420       |
| <b>7</b> Add lines 5 and 6                                                                                                                                                                                                             | <b>7</b> | 515,584   |
| <b>8</b> Enter qualifying distributions from Part XII, line 4<br>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. | <b>8</b> | 362,250   |

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

|           |                                                                                                                                                                                                                              |           |              |
|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--------------|
| <b>1a</b> | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1<br>Date of ruling or determination letter: (attach copy of letter if necessary—see instructions) |           |              |
| <b>b</b>  | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b                                                                              | <b>1</b>  | <b>841</b>   |
| <b>c</b>  | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)                                                                                                      |           |              |
| <b>2</b>  | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                    | <b>2</b>  | <b>0</b>     |
| <b>3</b>  | Add lines 1 and 2                                                                                                                                                                                                            | <b>3</b>  | <b>841</b>   |
| <b>4</b>  | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                  | <b>4</b>  | <b>0</b>     |
| <b>5</b>  | <b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-                                                                                                                               | <b>5</b>  | <b>841</b>   |
| <b>6</b>  | Credits/Payments:                                                                                                                                                                                                            |           |              |
| <b>a</b>  | 2009 estimated tax payments and 2008 overpayment credited to 2009                                                                                                                                                            | <b>6a</b> | <b>1,609</b> |
| <b>b</b>  | Exempt foreign organizations—tax withheld at source                                                                                                                                                                          | <b>6b</b> |              |
| <b>c</b>  | Tax paid with application for extension of time to file (Form 8868)                                                                                                                                                          | <b>6c</b> |              |
| <b>d</b>  | Backup withholding erroneously withheld                                                                                                                                                                                      | <b>6d</b> |              |
| <b>7</b>  | Total credits and payments. Add lines 6a through 6d                                                                                                                                                                          | <b>7</b>  | <b>1,609</b> |
| <b>8</b>  | Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached                                                                                                     | <b>8</b>  |              |
| <b>9</b>  | <b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>                                                                                                                                  | <b>9</b>  |              |
| <b>10</b> | <b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>                                                                                                                      | <b>10</b> | <b>768</b>   |
| <b>11</b> | Enter the amount of line 10 to be: <b>Credited to 2010 estimated tax</b> <b>0</b> <b>Refunded</b>                                                                                                                            | <b>11</b> | <b>768</b>   |

**Part VII-A Statements Regarding Activities**

|                                                                                                                                                                                                                                                                                                                                                                               | Yes      | No       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|
| <b>1a</b> 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?                                                                                                                                                                                                |          | <b>X</b> |
| <b>b</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)?<br>If the answer is "Yes" to <b>1a</b> or <b>1b</b> , attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities |          | <b>X</b> |
| <b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year?                                                                                                                                                                                                                                                                                                          |          | <b>X</b> |
| <b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:<br>(1) On the foundation <b>\$</b> _____ (2) On foundation managers. <b>\$</b> _____                                                                                                                                                                              |          |          |
| <b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <b>\$</b> _____                                                                                                                                                                                                                 |          |          |
| <b>2</b> Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>If "Yes," attach a detailed description of the activities                                                                                                                                                                                                         |          | <b>X</b> |
| <b>3</b> 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                                                                                                                                           |          | <b>X</b> |
| <b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year?                                                                                                                                                                                                                                                                         |          | <b>X</b> |
| <b>b</b> If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year?                                                                                                                                                                                                                                                                                              |          |          |
| <b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>If "Yes," attach the statement required by General Instruction T.                                                                                                                                                                                                  |          | <b>X</b> |
| <b>6</b> Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?                                   | <b>X</b> |          |
| <b>7</b> 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                                                                                                                                                                                                                                    | <b>X</b> |          |
| <b>8a</b> Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) <b>SC</b>                                                                                                                                                                                                                                         |          |          |
| <b>b</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 <b>SEE STMT 11</b>                                                                                                                                       |          | <b>X</b> |
| <b>9</b> 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                                                                                                      |          | <b>X</b> |
| <b>10</b> Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses                                                                                                                                                                                                                                  |          | <b>X</b> |

N/A

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

|    |                                                                                                                                                                                                        |                                                            |          |                            |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|----------|----------------------------|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions) | 11                                                         |          | <b>X</b>                   |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?                                                                                  | 12                                                         |          | <b>X</b>                   |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application?<br>Website address ▶ <b>N/A</b>                                                    | 13                                                         | <b>X</b> |                            |
| 14 | The books are in care of ▶ <b>FELICIA C. ROBBINS</b><br><b>1341 RUTHERFORD ROAD</b><br>Located at ▶ <b>GREENVILLE, SC</b>                                                                              | Telephone no ▶ <b>864-268-1111</b><br>ZIP+4 ▶ <b>29609</b> |          |                            |
| 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                                                         |          | ▶ <input type="checkbox"/> |

**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                                     |
|-----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|----------------------------------------|
| <b>1a</b> | During the year did the foundation (either directly or indirectly):                                                                                                                                                                                                                                                                                                                                                                                                                             |                              |                                        |
| (1)       | Engage in the sale or exchange, or leasing of property with a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                                              | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (2)       | Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (3)       | Furnish goods, services, or facilities to (or accept them from) a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (4)       | Pay compensation to, or pay or reimburse the expenses of, a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                                                | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (5)       | Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?                                                                                                                                                                                                                                                                                                                                                       | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| (6)       | Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days )                                                                                                                                                                                                                                                     | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| <b>b</b>  | If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here                                                                                                                                                                          | <b>N/A</b>                   |                                        |
| <b>c</b>  | 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?                                                                                                                                                                                                                                                                                                         | <b>N/A</b>                   |                                        |
| <b>2</b>  | 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))                                                                                                                                                                                                                                                                                                                   |                              |                                        |
| <b>a</b>  | At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009?<br>If "Yes," list the years ▶ 20 , 20 , 20 , 20                                                                                                                                                                                                                                                                                               | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| <b>b</b>  | Are there any years listed in 2a for which the foundation is <b>not</b> 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.)                                                                                                                                                                   | <b>N/A</b>                   |                                        |
| <b>c</b>  | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.<br>▶ 20 , 20 , 20 , 20                                                                                                                                                                                                                                                                                                                                                         | <b>N/A</b>                   |                                        |
| <b>3a</b> | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?                                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| <b>b</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 ) | <b>N/A</b>                   |                                        |
| <b>4a</b> | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?                                                                                                                                                                                                                                                                                                                                                                                 |                              | <b>X</b>                               |
| <b>b</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?                                                                                                                                                                                                                                                               |                              | <b>X</b>                               |

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

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

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

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

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

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

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

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

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

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

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

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

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

If "Yes" to 6b, file Form 8870

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

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

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1 List all officers, directors, trustees, foundation managers and their compensation (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 |
|-------------------------------------------------------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| FELICIA C ROBBINS<br>1341 RUTHERFORD RD<br>GREENVILLE<br>SC 29609 | TRUSTEE<br>1.50                                           | 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 |
|-------------------------------------------------------------------------------|---------------------|------------------|
| UBS FINANCIAL SERVICES, INC<br>17 WEST MCBEE AVENUE<br>GREENVILLE<br>SC 29601 | INVESTMENTS         | 53,114           |
|                                                                               |                     |                  |
|                                                                               |                     |                  |
|                                                                               |                     |                  |
|                                                                               |                     |                  |

**Total number of others receiving over \$50,000 for professional services****0****Part IX-A Summary of Direct Charitable Activities**

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

Expenses

**1 N/A****2****3****4****Part IX-B Summary of Program-Related Investments (see page 24 of the instructions)**

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

Amount

**1 N/A****2**

All other program-related investments See page 24 of the instructions

**3****Total. Add lines 1 through 3**Form **990-PF** (2009)



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

|          |                                                                                                                        |           |                  |
|----------|------------------------------------------------------------------------------------------------------------------------|-----------|------------------|
| <b>1</b> | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes             |           |                  |
| <b>a</b> | Average monthly fair market value of securities                                                                        | <b>1a</b> | <b>4,286,033</b> |
| <b>b</b> | Average of monthly cash balances                                                                                       | <b>1b</b> | <b>368,747</b>   |
| <b>c</b> | Fair market value of all other assets (see page 24 of the instructions)                                                | <b>1c</b> | <b>417,855</b>   |
| <b>d</b> | <b>Total</b> (add lines 1a, b, and c)                                                                                  | <b>1d</b> | <b>5,072,635</b> |
| <b>e</b> | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)              | <b>1e</b> | <b>0</b>         |
| <b>2</b> | Acquisition indebtedness applicable to line 1 assets                                                                   | <b>2</b>  | <b>0</b>         |
| <b>3</b> | Subtract line 2 from line 1d                                                                                           | <b>3</b>  | <b>5,072,635</b> |
| <b>4</b> | Cash deemed held for charitable activities. Enter 1½ % of line 3 (for greater amount, see page 25 of the instructions) | <b>4</b>  | <b>76,090</b>    |
| <b>5</b> | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4            | <b>5</b>  | <b>4,996,545</b> |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5                                                                   | <b>6</b>  | <b>249,827</b>   |

**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.)

|           |                                                                                                           |           |                |
|-----------|-----------------------------------------------------------------------------------------------------------|-----------|----------------|
| <b>1</b>  | Minimum investment return from Part X, line 6                                                             | <b>1</b>  | <b>249,827</b> |
| <b>2a</b> | Tax on investment income for 2009 from Part VI, line 5                                                    | <b>2a</b> | <b>841</b>     |
| <b>b</b>  | Income tax for 2009 (This does not include the tax from Part VI.)                                         | <b>2b</b> |                |
| <b>c</b>  | Add lines 2a and 2b                                                                                       | <b>2c</b> | <b>841</b>     |
| <b>3</b>  | Distributable amount before adjustments. Subtract line 2c from line 1                                     | <b>3</b>  | <b>248,986</b> |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions                                                 | <b>4</b>  |                |
| <b>5</b>  | Add lines 3 and 4                                                                                         | <b>5</b>  | <b>248,986</b> |
| <b>6</b>  | Deduction from distributable amount (see page 25 of the instructions)                                     | <b>6</b>  |                |
| <b>7</b>  | <b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | <b>7</b>  | <b>248,986</b> |

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

|          |                                                                                                                                                                     |           |                |
|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------------|
| <b>1</b> | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:                                                                          |           |                |
| <b>a</b> | Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26                                                                                         | <b>1a</b> | <b>362,250</b> |
| <b>b</b> | Program-related investments—total from Part IX-B                                                                                                                    | <b>1b</b> |                |
| <b>2</b> | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes                                                           | <b>2</b>  |                |
| <b>3</b> | Amounts set aside for specific charitable projects that satisfy the:                                                                                                |           |                |
| <b>a</b> | Suitability test (prior IRS approval required)                                                                                                                      | <b>3a</b> |                |
| <b>b</b> | Cash distribution test (attach the required schedule)                                                                                                               | <b>3b</b> |                |
| <b>4</b> | <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4                                                   | <b>4</b>  | <b>362,250</b> |
| <b>5</b> | 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) | <b>5</b>  | <b>0</b>       |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4                                                                                               | <b>6</b>  | <b>362,250</b> |

**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)<br>Corpus    | (b)<br>Years prior to 2008 | (c)<br>2008 | (d)<br>2009    |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|----------------------------|-------------|----------------|
| <b>1</b> Distributable amount for 2009 from Part XI,<br>line 7                                                                                                                             |                  |                            |             | <b>248,986</b> |
| <b>2</b> Undistributed income, if any, as of the end of 2009                                                                                                                               |                  |                            |             |                |
| <b>a</b> Enter amount for 2008 only                                                                                                                                                        |                  |                            |             |                |
| <b>b</b> Total for prior years: 20____, 20____, 20____                                                                                                                                     |                  |                            |             |                |
| <b>3</b> Excess distributions carryover, if any, to 2009                                                                                                                                   |                  |                            |             |                |
| <b>a</b> From 2004                                                                                                                                                                         | <b>146,045</b>   |                            |             |                |
| <b>b</b> From 2005                                                                                                                                                                         | <b>885,621</b>   |                            |             |                |
| <b>c</b> From 2006                                                                                                                                                                         | <b>105,780</b>   |                            |             |                |
| <b>d</b> From 2007                                                                                                                                                                         |                  |                            |             |                |
| <b>e</b> From 2008                                                                                                                                                                         |                  |                            |             |                |
| <b>f</b> Total of lines 3a through e                                                                                                                                                       | <b>1,137,446</b> |                            |             |                |
| <b>4</b> Qualifying distributions for 2009 from Part XII,<br>line 4 ▶ \$ <b>362,250</b>                                                                                                    |                  |                            |             |                |
| <b>a</b> Applied to 2008, but not more than line 2a                                                                                                                                        |                  |                            |             |                |
| <b>b</b> Applied to undistributed income of prior years<br>(Election required—see page 26 of the instructions)                                                                             |                  |                            |             |                |
| <b>c</b> Treated as distributions out of corpus (Election<br>required—see page 26 of the instructions)                                                                                     |                  |                            |             |                |
| <b>d</b> Applied to 2009 distributable amount                                                                                                                                              |                  |                            |             | <b>248,986</b> |
| <b>e</b> Remaining amount distributed out of corpus                                                                                                                                        | <b>113,264</b>   |                            |             |                |
| <b>5</b> Excess distributions carryover applied to 2009<br>(If an amount appears in column (d), the same<br>amount must be shown in column (a) )                                           |                  |                            |             |                |
| <b>6</b> Enter the net total of each column as<br>indicated below:                                                                                                                         |                  |                            |             |                |
| <b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5                                                                                                                                   | <b>1,250,710</b> |                            |             |                |
| <b>b</b> Prior years' undistributed income Subtract<br>line 4b from line 2b                                                                                                                |                  |                            |             |                |
| <b>c</b> Enter the amount of prior years' undistributed<br>income for which a notice of deficiency has<br>been issued, or on which the section 4942(a)<br>tax has been previously assessed |                  |                            |             |                |
| <b>d</b> Subtract line 6c from line 6b Taxable<br>amount—see page 27 of the instructions                                                                                                   |                  |                            |             |                |
| <b>e</b> Undistributed income for 2008. Subtract line<br>4a from line 2a Taxable amount—see page<br>27 of the instructions                                                                 |                  |                            |             |                |
| <b>f</b> Undistributed income for 2009 Subtract lines<br>4d and 5 from line 1 This amount must be<br>distributed in 2010                                                                   |                  |                            |             | <b>0</b>       |
| <b>7</b> Amounts treated as distributions out of corpus<br>to satisfy requirements imposed by section<br>170(b)(1)(F) or 4942(g)(3) (see page 27 of the<br>instructions)                   |                  |                            |             |                |
| <b>8</b> Excess distributions carryover from 2004 not<br>applied on line 5 or line 7 (see page 27 of the<br>instructions)                                                                  | <b>146,045</b>   |                            |             |                |
| <b>9</b> Excess distributions carryover to 2010.<br>Subtract lines 7 and 8 from line 6a                                                                                                    | <b>1,104,665</b> |                            |             |                |
| <b>10</b> Analysis of line 9                                                                                                                                                               |                  |                            |             |                |
| <b>a</b> Excess from 2005                                                                                                                                                                  | <b>885,621</b>   |                            |             |                |
| <b>b</b> Excess from 2006                                                                                                                                                                  | <b>105,780</b>   |                            |             |                |
| <b>c</b> Excess from 2007                                                                                                                                                                  |                  |                            |             |                |
| <b>d</b> Excess from 2008                                                                                                                                                                  |                  |                            |             |                |
| <b>e</b> Excess from 2009                                                                                                                                                                  | <b>113,264</b>   |                            |             |                |

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

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

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

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

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

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

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

**b** The form in which applications should be submitted and information and materials they should include  
**N/A**

**c** Any submission deadlines  
**N/A**

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

## Part XV      Supplementary Information (continued)

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

| <div>Recipient</div> <div>Name and address (home or business)</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <div>If recipient is an individual, show any relationship to any foundation manager or substantial contributor</div> | <div>Foundation status of recipient</div>                                                                                                                                                                                                                                                                                                                        | <div>Purpose of grant or contribution</div> | <div>Amount</div>                                                                                                                             |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| <div>a Paid during the year</div> <div>ARTISPHERE</div> <div>16 AUGUSTA STREET</div> <div>GREENVILLE SC 29601</div> <div>MEYER CENTER FOR SPECIAL</div> <div>1132 RUTHERFORD ROAD</div> <div>GREENVILLE SC 29609</div> <div>SALVATION ARMY</div> <div>PO BOX 1237</div> <div>GREENVILLE SC 29609</div> <div>CRIME STOPPERS OF GREEN.</div> <div>4 MCGEE STREET</div> <div>GREENVILLE SC 29601</div> <div>TRIUNE MERCY CENTER</div> <div>222 RUTHERFORD ROAD</div> <div>GREENVILLE SC 29609</div> <div>AMERICAN CANCER SOCIETY</div> <div>154 MILESTONE WAY</div> <div>GREENVILLE SC 29615</div> <div>SHRINER'S HOSPITAL</div> <div>950 WEST FARIS ROAD</div> <div>GREENVILLE SC 29605</div> |                                                                                                                      | <div>PUBLIC CHAR.</div> <div>UNRESTRICTED</div> <div>PUBLIC CHAR.</div> <div>UNRESTRICTED</div> <div>PUBLIC CHAR.</div> <div>KROC CENTER</div> <div>PUBLIC CHAR.</div> <div>UNRESTRICTED</div> <div>PUBLIC CHAR.</div> <div>UNRESTRICTED</div> <div>PUBLIC CHAR</div> <div>UNRESTRICTED</div> <div>PUBLIC CHAR</div> <div>PREVIOUS YEAR UNRESTRICTED GRANT</div> |                                             | <div>20,000</div> <div>15,000</div> <div>300,000</div> <div>6,000</div> <div>20,000</div> <div>2,000</div> <div>-750</div> <div>362,250</div> |
| <div>b Approved for future payment</div> <div>N/A</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                  | <div>3b</div>                               |                                                                                                                                               |

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

Enter gross amounts unless otherwise indicated.

|                                                            |                               | Unrelated business income |               | Excluded by section 512, 513, or 514 |               | (e)<br>Related or exempt<br>function income<br>(See page 28 of<br>the instructions ) |
|------------------------------------------------------------|-------------------------------|---------------------------|---------------|--------------------------------------|---------------|--------------------------------------------------------------------------------------|
|                                                            |                               | (a)<br>Business code      | (b)<br>Amount | (c)<br>Exclusion<br>code             | (d)<br>Amount |                                                                                      |
| 1 Program service revenue:                                 |                               |                           |               |                                      |               |                                                                                      |
| a                                                          |                               |                           |               |                                      |               |                                                                                      |
| b                                                          |                               |                           |               |                                      |               |                                                                                      |
| c                                                          |                               |                           |               |                                      |               |                                                                                      |
| d                                                          |                               |                           |               |                                      |               |                                                                                      |
| e                                                          |                               |                           |               |                                      |               |                                                                                      |
| f                                                          |                               |                           |               |                                      |               |                                                                                      |
| g Fees and contracts from government agencies              |                               |                           |               |                                      |               |                                                                                      |
| 2 Membership dues and assessments                          |                               |                           |               |                                      |               |                                                                                      |
| 3 Interest on savings and temporary cash investments       |                               |                           |               | 14                                   | 34,763        |                                                                                      |
| 4 Dividends and interest from securities                   |                               |                           |               | 14                                   | 116,739       |                                                                                      |
| 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 |                               |                           |               | 14                                   | -636,708      |                                                                                      |
| 9 Net income or (loss) from special events                 |                               |                           |               |                                      |               |                                                                                      |
| 10 Gross profit or (loss) from sales of inventory          |                               |                           |               |                                      |               |                                                                                      |
| 11 Other revenue a                                         |                               |                           |               |                                      |               |                                                                                      |
| b                                                          | ORDINARY LOSS FROM P'SHIP K-1 |                           |               | 14                                   | -28,173       |                                                                                      |
| c                                                          | OTHER LOSS FROM P'SHIP K-1    |                           |               | 14                                   | -1,016        |                                                                                      |
| d                                                          | OTHER INCOME                  |                           |               | 14                                   | 220           |                                                                                      |
| e                                                          |                               |                           |               |                                      |               |                                                                                      |
| 12 Subtotal. Add columns (b), (d), and (e)                 |                               |                           | 0             |                                      | -514,175      | 0                                                                                    |
| 13 Total. Add line 12, columns (b), (d), and (e)           |                               |                           |               |                                      | 13            | -514,175                                                                             |

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

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

[illegible]



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

**Schedule of Contributors**

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

OMB No 1545-0047

**2009**

Name of the organization

**FRED COLLINS FOUNDATION**

Employer identification number

**57-6107255**

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

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

**General Rule**

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

**Special Rules**

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use exclusively for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use exclusively for religious, charitable, etc., purposes, but these contributions did not aggregate to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an exclusively religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990, or check the box in the heading of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

For Privacy Act and Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2009)

Name of organization

**FRED COLLINS FOUNDATION**

Employer identification number

**57-6107255****Part I** Contributors (see instructions)

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                                         | (c)<br>Aggregate contributions | (d)<br>Type of contribution                                                                                                                                                        |
|------------|---------------------------------------------------------------------------|--------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1          | ESTATE OF FRED COLLINS<br>1341 RUTHERFORD ROAD<br><br>GREENVILLE SC 29609 | \$ 38,674                      | Person <input checked="checked" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution) |
|            |                                                                           | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution)                   |
|            |                                                                           | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution)                   |
|            |                                                                           | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution)                   |
|            |                                                                           | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution)                   |
|            |                                                                           | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution)                   |
|            |                                                                           | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution)                   |



**Federal Statements****Statement 7 - Form 990-PF, Part II, Line 10a - US and State Government Investments**

| Description                 | Beginning<br>of Year | End of<br>Year | Basis of<br>Valuation | Fair Market<br>Value |
|-----------------------------|----------------------|----------------|-----------------------|----------------------|
| US TREASURY NOTES           | \$ 181,084           | \$ 121,533     | COST                  | \$ 118,018           |
| FEDERAL HOME MORTGAGE NOTES |                      |                |                       |                      |
| TOTAL                       | \$ 181,084           | \$ 121,533     |                       | \$ 118,018           |

**Statement 8 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments**

| Description          | Beginning<br>of Year | End of<br>Year | Basis of<br>Valuation | Fair Market<br>Value |
|----------------------|----------------------|----------------|-----------------------|----------------------|
| UBS-VARIOUS ACCOUNTS | \$ 4,075,733         | \$ 3,377,665   | COST                  | \$ 3,660,842         |
| TOTAL                | \$ 4,075,733         | \$ 3,377,665   |                       | \$ 3,660,842         |

**Statement 9 - Form 990-PF, Part II, Line 10c - Corporate Bond Investments**

| Description          | Beginning<br>of Year | End of<br>Year | Basis of<br>Valuation | Fair Market<br>Value |
|----------------------|----------------------|----------------|-----------------------|----------------------|
| UBS-VARIOUS ACCOUNTS | \$ 467,443           | \$ 494,111     | COST                  | \$ 524,125           |
| TOTAL                | \$ 467,443           | \$ 494,111     |                       | \$ 524,125           |

**Statement 10 - Form 990-PF, Part II, Line 15 - Other Assets**

| Description                          | Beginning<br>of Year | End of<br>Year | Fair Market<br>Value |
|--------------------------------------|----------------------|----------------|----------------------|
| GRANT PARK FUTURE FD LTD(PARTNERSHIP | \$ 384,325           | \$ 348,971     | \$ 348,356           |
| REAL ESTATE-1108 W WASHINGTON ST     | 50,500               | 50,500         | 50,500               |
| MUTUAL FUNDS                         | 448,889              | 509,611        | 536,285              |
| PREPAID FEDERAL EXCISE TAX           |                      | 1,583          | 1,583                |
|                                      |                      | 20,599         | 20,599               |
| TOTAL                                | \$ 883,714           | \$ 931,264     | \$ 957,323           |

## Federal Statements

Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets

| Whom Sold                            | Description | Date Acquired | Date Sold | How Received |          | Cost      | Expense | Depreciation | Net Gain / Loss |
|--------------------------------------|-------------|---------------|-----------|--------------|----------|-----------|---------|--------------|-----------------|
|                                      |             |               |           | Sale Price   | PURCHASE |           |         |              |                 |
| GRANT PARK FUTURES FUND K-1          | VARIOUS     | VARIOUS       | VARIOUS   | \$           | \$       | 9,518     | \$      | \$           | -9,518          |
| UBS FINANCIAL(SEE ATTACHED SCHEDULE) | VARIOUS     | VARIOUS       | VARIOUS   | 1,800,771    | PURCHASE | 2,419,557 |         |              | -618,786        |
| OTHER LOSSES                         | VARIOUS     | VARIOUS       | VARIOUS   |              | PURCHASE | 9,544     |         |              | -9,544          |
| CAPITAL GAIN DISTRIBUTIONS           | VARIOUS     | VARIOUS       | VARIOUS   | 1,140        | PURCHASE |           |         |              | 1,140           |
| TOTAL                                |             |               |           | \$ 1,801,911 | \$       | 2,438,619 | \$      | 0            | \$ -636,708     |

Statement 2 - Form 990-PF, Part I, Line 11 - Other Income

| Description                   | Revenue per Books | Net Investment Income | Adjusted Net Income |
|-------------------------------|-------------------|-----------------------|---------------------|
| ORDINARY LOSS FROM P'SHIP K-1 | \$ -28,173        | \$ -28,173            | \$                  |
| OTHER LOSS FROM P'SHIP K-1    | -1,016            | -1,016                |                     |
| OTHER INCOME                  | 220               | 220                   |                     |
| TOTAL                         | \$ -28,969        | \$ -28,969            | \$ 0                |

Statement 3 - Form 990-PF, Part I, Line 16b - Accounting Fees

| Description              | Total     | Net Investment | Adjusted Net | Charitable Purpose |
|--------------------------|-----------|----------------|--------------|--------------------|
| INDIRECT ACCOUNTING FEES | \$ 23,884 | \$ 23,884      | \$           | \$                 |
| TOTAL                    | \$ 23,884 | \$ 23,884      | \$ 0         | \$ 0               |

## Federal Statements

### Statement 4 - Form 990-PF, Part I, Line 16c - Other Professional Fees

| Description                | Total     | Net<br>Investment | Adjusted<br>Net | Charitable<br>Purpose |
|----------------------------|-----------|-------------------|-----------------|-----------------------|
| INVESTMENT MANAGEMENT FEES | \$ 53,114 | \$ 53,114         | \$              | \$                    |
| TOTAL                      | \$ 53,114 | \$ 53,114         | \$ 0            | \$ 0                  |

### Statement 5 - Form 990-PF, Part I, Line 18 - Taxes

| Description                  | Total    | Net<br>Investment | Adjusted<br>Net | Charitable<br>Purpose |
|------------------------------|----------|-------------------|-----------------|-----------------------|
| TAX ON NET INVESTMENT INCOME | \$ 1,338 | \$                | \$              | \$                    |
| FOREIGN TAXES                | 2,038    | 2,038             |                 |                       |
| TOTAL                        | \$ 3,376 | \$ 2,038          | \$ 0            | \$ 0                  |

### Statement 6 - Form 990-PF, Part I, Line 23 - Other Expenses

| Description  | Total    | Net<br>Investment | Adjusted<br>Net | Charitable<br>Purpose |
|--------------|----------|-------------------|-----------------|-----------------------|
| EXPENSES     |          | \$                | \$              |                       |
| PENALTIES    | 55       |                   |                 |                       |
| BANK CHARGES | 215      | 215               |                 |                       |
| DUES         | 400      | 400               |                 |                       |
| INSURANCE    | 848      | 848               |                 |                       |
| TOTAL        | \$ 1,518 | \$ 1,463          | \$ 0            | \$ 0                  |

**Statement 11 - Form 990-PF, Part VII-A, Line 8b - Not Filing with Attorney General**  
**Explanation****Description**

THE FOUNDATION EXISTS IN THE STATE OF SOUTH CAROLINA AND NO REPORT IS  
REQUIRED TO BE FILED WITH THE ATTORNEY GENERAL OF SOUTH CAROLINA.

Fred Collins Foundation  
57-6107255  
UBS Gain/(Loss) summary  
2009

|                 |            | <u>Gross<br/>Proceeds</u> | <u>Basis</u>      | <u>Gain/(Loss)</u> |
|-----------------|------------|---------------------------|-------------------|--------------------|
| UBS BL 09968 50 | Schedule A | 179,990.64                | 220,355.83        | (40,365 19)        |
| UBS BL 09915 50 | Schedule B | 200,324.19                | 237,622 30        | (37,298 11)        |
| UBS BL 10130 50 | Schedule C | 209,920.83                | 310,537 20        | (100,616.37)       |
| UBS BL 09925 50 | Schedule D | 164,106.95                | 193,610 05        | (29,503 10)        |
| UBS BL 09901 50 | Schedule E | 568,968 36                | 619,864 50        | (50,896.14)        |
| UBS BL 12621 50 | Schedule F | 88,143.68                 | 128,673 19        | (40,529 51)        |
| UBS BL 09972 50 | Schedule G | <u>389,316 34</u>         | <u>708,893 89</u> | (319,577 55)       |
|                 |            | 1,800,770.99              | 2,419,556 96      | (618,785 97)       |
|                 |            |                           |                   | (618,785 97)       |

SCH. A

Account Number BL 09968 50  
Your Financial Advisor or Contact  
BL-50 PARHAM/ARROWOOD  
864-232-5101/800-726-5222

Page 34 of 43

UBS Financial Services Inc.

## 2009 Consolidated Form 1099

Corrected 03/10/10

C12G074238-X236

## 2009 Realized Gain/Loss Summary

(Includes sale proceeds not reported on Form 1099-B)

This Realized Gain/Loss Summary is not a tax reporting document and has not been submitted to the IRS. If your sale amount matches the amount on Form 1099-B, which is reported to the IRS, it is marked as such. Please rely on the confirmations previously provided to you as your official activity record.

Estimated 2009 Gain/Loss for transactions with trade dates through 12/31/09 has been incorporated into this statement. Realized gain/loss is based on the sales amount less the cost basis. Please note that gain or loss recognized on the sale or redemption of certain Structured Products may be ordinary, and not capital, gain or loss. Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products. Note that the Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. An asterisk (\*) indicates a UBS Financial Services adjustment to cost basis. The number "1" indicates cost basis information has been provided by a source other than UBS Financial Services. Gain/Loss may not have been adjusted for all capital changes. Gain/Loss values that may be subject to Wash Sale provisions are not indicated here. "Earnings" in the Purchase Date column indicates the position sold was acquired on various dates through dividend reinvestment and that the Gain/Loss has been aggregated.

Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for Market Discount, Acquisition Premium, or Bond Premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amount because the reporting requirements are different. Gain/Loss from short sale closings are reported as short-term regardless of the holding period of property used to close the short position. Clients should consult their tax advisors as to whether exceptions may apply in their particular case to change this classification. The potential application of the "Constructive Sale" provisions (Sec 1259) for short-against-the box transactions is not considered. Clients should discuss the possible application of these provisions with their tax advisor.

|                      | Purchase             | Sale                 | Gains              | Losses               | Net                  |
|----------------------|----------------------|----------------------|--------------------|----------------------|----------------------|
|                      |                      |                      |                    |                      | Gain/Loss            |
| Short-term Gain/Loss | \$ 67,462.19         | \$ 64,822.09         | \$ 3,604.00        | \$ -6,244.10         | \$ -2,640.10         |
| Long-term Gain/Loss  | 140,109.09           | 102,174.01           | 4,023.39           | -41,958.47           | -37,935.08           |
| <b>Sub Total:</b>    | <b>\$ 207,571.28</b> | <b>\$ 166,996.10</b> | <b>\$ 7,627.39</b> | <b>\$ -48,202.57</b> | <b>\$ -40,575.18</b> |

**Total:** \$ 207,571.28 \$ 166,996.10 \$ 7,627.39 \$ -48,202.57 \$ -40,575.18

12,784.55 Return of Principal  
209.99 Other Proceeds  
179,990.64

## Short-Term Gain/Loss

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| APARTMENT INVT & MGMT CO<br>CL A | Trade         | 5,000                   |                        | 08/29/08                       | 03/26/09     | 27.91       | 179.20                 | -151.29   |         | Y                 |
|                                  | Trade         | 9,000                   |                        | 12/01/08                       | 03/26/09     | 50.23       | 76.14                  | -25.91    |         | Y                 |
|                                  | Trade         | 2,000                   |                        | 05/19/08                       | 03/26/09     | 11.16       | 81.49                  | -70.33    |         | Y                 |
|                                  | Trade         | 5,000                   |                        | 10/03/08                       | 03/26/09     | 27.91       | 150.11                 | -122.20   |         | Y                 |
|                                  | Trade         | 1,000                   |                        | 10/16/08                       | 03/26/09     | 5.58        | 19.61                  | -14.03    |         | Y                 |
|                                  | Trade         | 22,000                  |                        | 10/30/08                       | 03/26/09     | 122.79      | 275.40                 | -152.61   |         | Y                 |
|                                  | Trade         | 42,000                  |                        | 01/22/09                       | 03/26/09     | 234.42      | 404.04                 | -169.62   |         | Y                 |
|                                  | Trade         | 15,000                  |                        | Earnings                       | 03/26/09     | 83.72       | 143.70                 | -59.98    |         | Y                 |

BRANDYWINE RLTY TRUST  
NEW

|  |       |        |  |          |          |        |        |        |  |   |
|--|-------|--------|--|----------|----------|--------|--------|--------|--|---|
|  | Trade | 22,000 |  | 11/06/08 | 08/19/09 | 214.11 | 175.95 | 38.16  |  | Y |
|  | Trade | 44,000 |  | 01/22/09 | 08/19/09 | 428.22 | 282.92 | 145.30 |  | Y |
|  | Trade | 32,000 |  | 07/23/09 | 08/19/09 | 311.43 | 251.55 | 59.88  |  | Y |

Continued on page 35

Corrected

2009 1099 / BL 09968 50

**UBS Financial Services Inc.**  
**2009 Consolidated Form 1099**

Corrected 03/10/10

C12G074239-X236

**Short-Term Gain/Loss - continued**

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                                     | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches -<br>1099-B |
|--------------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------------------|
| BROOKFIELD PROPERTIES<br>CORP                                            | Trade         | 13 000                  |                        | 10/03/08                       | 05/21/09     | 95 30       | 186 64                 | -91 34    |         | Y                   |
|                                                                          | Trade         | 100 000                 |                        | 10/30/08                       | 05/21/09     | 733 08      | 891 13                 | -158 05   |         | Y                   |
|                                                                          | Trade         | 78 000                  |                        | 01/22/09                       | 05/21/09     | 571 80      | 418 08                 | 153 72    |         | Y                   |
| CIT GROUP INC NEW B/E<br>05 400% 013016 DT0013006<br>FC073006 IN DEFAULT | Trade         | 1,000 000               |                        | 06/09/08                       | 04/27/09     | 470 00      | 805 25                 | -335 25   |         | Y                   |
|                                                                          | Trade         | 1,000 000               |                        | 07/02/08                       | 04/27/09     | 470 00      | 727 50                 | -257 50   |         | Y                   |
| DEVELOPERS DIVERSIFIED<br>REALTY CORP                                    | Trade         | 10 000                  |                        | 10/03/08                       | 03/26/09     | 24 04       | 266 47                 | -242 43   |         | Y                   |
|                                                                          | Trade         | 57 000                  |                        | 10/30/08                       | 03/26/09     | 137 04      | 654 13                 | -517 09   |         | Y                   |
|                                                                          | Trade         | 1 000                   |                        | 12/05/08                       | 03/26/09     | 2 40        | 4 53                   | -2 13     |         | Y                   |
|                                                                          | Trade         | 37 000                  |                        | 01/22/09                       | 03/26/09     | 88 96       | 193 88                 | -104 92   |         | Y                   |
|                                                                          | Trade         | 1 000                   |                        | 05/21/09                       | 06/16/09     | 4 83        | 4 67                   | 16        |         | Y                   |
|                                                                          | Trade         | 12 000                  |                        | Earnings                       | 06/16/09     | 58 00       | 33 60                  | 24 40     |         | Y                   |
| DIGITAL REALTY TRUST INC<br>REIT                                         | Trade         | 9 000                   |                        | 03/26/09                       | 12/11/09     | 430 27      | 296 10                 | 134 17    |         | Y                   |
| DUPONT FABROS TECHNOLOGY<br>INC                                          | Trade         | 4,000                   |                        | 02/26/08                       | 01/26/09     | 12 10       | 69 09                  | -56 99    |         | Y                   |
|                                                                          | Trade         | 2 000                   |                        | 11/06/08                       | 09/21/09     | 27 70       | 6 61                   | 21 09     |         | Y                   |
| ENTERTAINMENT PROPERTIES<br>TR                                           | Trade         | 12 000                  |                        | 03/26/09                       | 07/23/09     | 303 12      | 215 97                 | 87 15     |         | Y                   |
|                                                                          | Trade         | 9 000                   |                        | 03/26/09                       | 12/11/09     | 299 60      | 161 98                 | 137 62    |         | Y                   |
| EQUITY LIFESTYLE<br>PROPERTIES INC REIT                                  | Trade         | 7 000                   |                        | 07/23/09                       | 12/11/09     | 349 08      | 278 29                 | 70 79     |         | Y                   |
| ESSEX PROPERTY TRUST INC                                                 | Trade         | 2 000                   |                        | 01/29/09                       | 05/21/09     | 128 06      | 140 16                 | -12 10    |         | Y                   |
|                                                                          | Trade         | 6 000                   |                        | 01/29/09                       | 09/21/09     | 503 50      | 420 48                 | 83 02     |         | Y                   |
|                                                                          | Trade         | 4 000                   |                        | 01/29/09                       | 12/11/09     | 332 31      | 280 32                 | 51 99     |         | Y                   |
| FIRST POTOMAC REALTY<br>TRUST SBI                                        | Trade         | 1 000                   |                        | 05/19/08                       | 03/26/09     | 7 29        | 17 37                  | -10 08    |         | Y                   |
|                                                                          | Trade         | 37 000                  |                        | 11/06/08                       | 07/23/09     | 407 14      | 363 31                 | 43 83     |         | Y                   |
| FNMA PL 934276 05 5000<br>DUE 06/01/38<br>FACTOR 0 823458320000          | Trade         | 20,000 000              |                        | 02/11/09                       | 12/08/09     | 17,936 47   | 17,412 51              | 523 96    |         | Y                   |

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Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches -<br>1099-B |
|-----------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------------------|
| FNMA PL 985720 05 5000<br>DUE 06/01/38<br>FACTOR 0 683768560000 | Trade         | 20,000 000              |                        | 08/14/09                       | 12/08/09     | 15,655 18   | 15,344 38              | 310 80    |         | Y                   |
| HRPT PROPERTIES TRUST<br>SBI                                    | Trade         | 53 000                  |                        | 12/24/08                       | 12/14/09     | 342 76      | 159 94                 | 182 82    |         | Y                   |
| JC PENNEY CO NTS<br>06 375% 101536 DTD042707<br>FC101507        | Trade         | 1,000 000               |                        | 06/09/08                       | 02/04/09     | 612 50      | 867 55                 | -255 05   |         | Y                   |
| KITE REALTY GROUP TRUST<br>REITS                                | Trade         | 14 000                  |                        | 10/03/08                       | 07/23/09     | 40 87       | 141 53                 | -100 66   |         | Y                   |
|                                                                 | Trade         | 55 000                  |                        | 10/06/08                       | 07/23/09     | 160 54      | 545 44                 | -384 90   |         | Y                   |
|                                                                 | Trade         | 59 000                  |                        | 10/30/08                       | 07/23/09     | 172 22      | 310 94                 | -138 72   |         | Y                   |
|                                                                 | Trade         | 51 000                  |                        | 01/22/09                       | 12/11/09     | 175 94      | 259 59                 | -83 65    |         | Y                   |
|                                                                 | Trade         | 8 000                   |                        | 05/21/09                       | 12/11/09     | 27 60       | 26 70                  | 90        |         | Y                   |
| MACERICH COMPANY                                                | Trade         | 2 000                   |                        | 10/03/08                       | 05/21/09     | 33 75       | 101 50                 | -67 75    |         | Y                   |
|                                                                 | Trade         | 22 000                  |                        | 10/30/08                       | 05/21/09     | 371 21      | 558 95                 | -187 74   |         | Y                   |
|                                                                 | Trade         | 13 000                  |                        | 10/30/08                       | 08/19/09     | 306 41      | 330 29                 | -23 88    |         | Y                   |
|                                                                 | Trade         | 18 000                  |                        | 01/22/09                       | 08/19/09     | 424 25      | 295 20                 | 129 05    |         | Y                   |
|                                                                 | Trade         | 27 000                  |                        | 01/22/09                       | 09/21/09     | 891 67      | 442 80                 | 448 87    |         | Y                   |
|                                                                 | Trade         | 7 000                   |                        | 01/27/09                       | 09/21/09     | 231 17      | 111 53                 | 119 64    |         | Y                   |
|                                                                 | Trade         | 16 000                  |                        | 01/27/09                       | 12/11/09     | 493 90      | 254 93                 | 238 97    |         | Y                   |
| NATIONAL RETAIL<br>PROPERTIES INC REIT                          | Trade         | 23 000                  |                        | 01/27/09                       | 06/18/09     | 388 71      | 352 10                 | 36 61     |         | Y                   |
|                                                                 | Trade         | 11 000                  |                        | 01/27/09                       | 12/11/09     | 227 14      | 168 39                 | 58 75     |         | Y                   |
| PROLOGIS SBI                                                    | Trade         | 40 000                  |                        | 10/03/08                       | 03/26/09     | 244 29      | 1,408 99               | -1,164 70 |         | Y                   |
|                                                                 | Trade         | 51 000                  |                        | 10/30/08                       | 03/26/09     | 311 47      | 662 36                 | -350 89   |         | Y                   |
|                                                                 | Trade         | 27 000                  |                        | 01/22/09                       | 03/26/09     | 164 90      | 324 81                 | -159 91   |         | Y                   |
|                                                                 | Trade         | 74 000                  |                        | 04/30/09                       | 05/21/09     | 599 11      | 667 01                 | -67 90    |         | Y                   |
| PS BUSINESS PARKS INC CA                                        | Trade         | 4 000                   |                        | 10/30/08                       | 03/26/09     | 140 61      | 161 28                 | -20 67    |         | Y                   |
|                                                                 | Trade         | 1 000                   |                        | 12/05/08                       | 03/26/09     | 35 15       | 43 32                  | -8 17     |         | Y                   |

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### Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount      | Cost or Other<br>Basis | Gain/Loss        | Remarks | Matches<br>1099-B |
|---------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|------------------|------------------------|------------------|---------|-------------------|
| STARWOOD HOTELS &<br>RESORTS WORLDWIDE INC<br>NEW | Trade         | 1 000                   |                        | 11/06/08                       | 07/23/09     | 22 91            | 18 93                  | 3 98             |         | Y                 |
| TAUBMAN CENTERS INC                               | Trade         | 5 000                   |                        | 05/19/08                       | 03/26/09     | 82 90            | 282 35                 | -199 45          |         | Y                 |
|                                                   | Trade         | 7 000                   |                        | 10/30/08                       | 03/26/09     | 116 06           | 216 83                 | -100 77          |         | Y                 |
|                                                   | Trade         | 2 000                   |                        | 10/30/08                       | 05/21/09     | 46 56            | 61 95                  | -15 39           |         | Y                 |
|                                                   | Trade         | 10 000                  |                        | 10/30/08                       | 10/21/09     | 333 74           | 309 75                 | 23 99            |         | Y                 |
|                                                   | Trade         | 4 000                   |                        | 01/22/09                       | 10/21/09     | 133 49           | 85 16                  | 48 33            |         | Y                 |
| US TSY NOTE 03 875 %                              | Trade         | 5,000 000               |                        | 06/27/08                       | 06/23/09     | 5,108 97         | 4,952 15               | 156 82           |         | Y                 |
| DUE 05/15/18                                      | Trade         | 5,000 000               |                        | 09/12/08                       | 06/23/09     | 5,108 97         | 5,068 36               | 40 61            |         | Y                 |
| DTD 05/15/08 FC 11/15/08                          | Trade         | 6,000 000               |                        | 04/27/09                       | 06/23/09     | 6,130 76         | 6,490 81               | -360 05          |         | Y                 |
| VENTAS INC                                        | Trade         | 20 000                  |                        | 04/23/09                       | 09/21/09     | 776 81           | 548 19                 | 228 62           |         | Y                 |
| <b>Total Short-Term Gain/Loss</b>                 |               |                         |                        |                                |              | <b>64,822.09</b> | <b>67,462.19</b>       | <b>-2,640.10</b> |         |                   |

### Long-Term Gain/Loss

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| AMB PPTY CORP                    | Trade         | 29 000                  |                        | 07/31/07                       | 12/11/09     | 713 96      | 1,588 33               | -874 37   |         | Y                 |
|                                  | Trade         | 1 000                   |                        | 10/19/07                       | 12/11/09     | 24 62       | 63 44                  | -38 82    |         | Y                 |
| APARTMENT INVT & MGMT CO<br>CLA  | Trade         | 2 000                   |                        | 01/31/08                       | 03/26/09     | 11 16       | 77 42                  | -66 26    |         | Y                 |
|                                  | Trade         | 30 000                  |                        | 07/31/07                       | 03/26/09     | 167 45      | 1,308 90               | -1,141 45 |         | Y                 |
|                                  | Trade         | 2 000                   |                        | 09/06/07                       | 03/26/09     | 11 16       | 87 02                  | -75 86    |         | Y                 |
|                                  | Trade         | 12 000                  |                        | 09/17/07                       | 03/26/09     | 66 98       | 511 56                 | -444 58   |         | Y                 |
|                                  | Trade         | 15 000                  |                        | 02/26/08                       | 03/26/09     | 83 72       | 551 33                 | -467 61   |         | Y                 |
| AVALONBAY COMMUNITIES<br>INC SBI | Trade         | 9 000                   |                        | 07/31/07                       | 03/26/09     | 428 23      | 998 64                 | -570 41   |         | Y                 |
|                                  | Trade         | 6 000                   |                        | 07/31/07                       | 08/19/09     | 370 68      | 665 76                 | -295 08   |         | Y                 |
|                                  | Trade         | 6 000                   |                        | 07/31/07                       | 12/11/09     | 460 34      | 665 76                 | -205 42   |         | Y                 |
|                                  | Trade         | 2 000                   |                        | 09/06/07                       | 12/11/09     | 153 45      | 226 30                 | -72 85    |         | Y                 |
|                                  | Trade         | 7 000                   |                        | 09/17/07                       | 12/11/09     | 537 07      | 810 74                 | -273 67   |         | Y                 |
|                                  | Trade         | 4 000                   |                        | 09/17/07                       | 12/14/09     | 311 20      | 463 28                 | -152 08   |         | Y                 |

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## Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                                     | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase Date | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches -<br>1099-B |
|--------------------------------------------------------------------------|---------------|-------------------------|------------------------|---------------|--------------|-------------|------------------------|-----------|---------|---------------------|
| BIOMED REALTY TRUST INC<br>REITS                                         | Trade         | 28 000                  |                        | 07/31/07      | 07/23/09     | 311 38      | 623 00                 | -311 62   |         | Y                   |
|                                                                          | Trade         | 13 000                  |                        | 09/17/07      | 12/11/09     | 189 44      | 316 42                 | -126 98   |         | Y                   |
|                                                                          | Trade         | 8 000                   |                        | 05/19/08      | 12/11/09     | 116 58      | 218 32                 | -101 74   |         | Y                   |
|                                                                          | Trade         | 26 000                  |                        | 10/30/08      | 12/11/09     | 378 88      | 365 44                 | 13 44     |         | Y                   |
| BOSTON PROPERTIES INC                                                    | Trade         | 7 000                   |                        | 07/31/07      | 04/23/09     | 307 99      | 680 68                 | -372 69   |         | Y                   |
|                                                                          | Trade         | 2 000                   |                        | 07/31/07      | 05/21/09     | 94 66       | 194 48                 | -99 82    |         | Y                   |
|                                                                          | Trade         | 21 000                  |                        | 07/31/07      | 12/11/09     | 1,414 92    | 2,042 04               | -627 12   |         | Y                   |
| BRANDYWINE RLTY TRUST<br>NEW                                             | Trade         | 38 000                  |                        | 07/31/07      | 05/21/09     | 260 66      | 963 30                 | -702 64   |         | Y                   |
|                                                                          | Trade         | 8 000                   |                        | 09/17/07      | 05/21/09     | 54 87       | 204 24                 | -149 37   |         | Y                   |
|                                                                          | Trade         | 18 000                  |                        | 09/17/07      | 08/19/09     | 175 18      | 459 54                 | -284 36   |         | Y                   |
| BROOKFIELD PROPERTIES<br>CORP                                            | Trade         | 76 000                  |                        | 07/31/07      | 03/26/09     | 459 05      | 1,787 52               | -1,328 47 |         | Y                   |
|                                                                          | Trade         | 38 000                  |                        | 07/31/07      | 05/21/09     | 278 57      | 893 76                 | -615 19   |         | Y                   |
|                                                                          | Trade         | 40 000                  |                        | 09/17/07      | 05/21/09     | 293 23      | 905 20                 | -611 97   |         | Y                   |
|                                                                          | Trade         | 13 000                  |                        | 02/26/08      | 05/21/09     | 95 30       | 247 37                 | -152 07   |         | Y                   |
|                                                                          | Trade         | 11 000                  |                        | 05/19/08      | 05/21/09     | 80 64       | 232 39                 | -151 75   |         | Y                   |
| CAMDEN PPTY TR SBI                                                       | Trade         | 10 000                  |                        | 07/31/07      | 08/19/09     | 329 99      | 568 70                 | -238 71   |         | Y                   |
|                                                                          | Trade         | 18 000                  |                        | 07/31/07      | 12/01/09     | 656 77      | 1,023 66               | -366 89   |         | Y                   |
|                                                                          | Trade         | 2 000                   |                        | 09/06/07      | 12/01/09     | 72 97       | 121 12                 | -48 15    |         | Y                   |
|                                                                          | Trade         | 3 000                   |                        | 09/06/07      | 12/11/09     | 112 26      | 181 68                 | -69 42    |         | Y                   |
|                                                                          | Trade         | 13 000                  |                        | 09/17/07      | 12/11/09     | 486 44      | 788 06                 | -301 62   |         | Y                   |
| CARDINAL HEALTH INC B/E<br>05 850% 121517 DTD121505<br>FC061506          | Trade         | 6 000                   |                        | 02/26/08      | 12/11/09     | 224 51      | 298 09                 | -73 58    |         | Y                   |
|                                                                          | Tender        | 4,000 000               |                        | 08/09/07      | 09/25/09     | 4,090 00    | 3,944 40               | 145 60    |         | Y                   |
| CIT GROUP INC NEW B/E<br>05 400% 013016 DTD013006<br>FC073006 IN DEFAULT | Tender        | 2,000 000               |                        | 09/21/07      | 09/25/09     | 2,045 00    | 2,015 70               | 29 30     |         | Y                   |
|                                                                          | Trade         | 5,000 000               |                        | 08/09/07      | 04/27/09     | 2,350 00    | 4,593 50               | -2,243 50 |         | Y                   |
| DCT INDL TRUST INC REIT<br>SBI                                           | Trade         | 1,000 000               |                        | 09/21/07      | 04/27/09     | 470 00      | 931 38                 | -461 38   |         | Y                   |
|                                                                          | Trade         | 62 000                  |                        | 07/31/07      | 09/21/09     | 338 60      | 617 71                 | -279 11   |         | Y                   |
|                                                                          | Trade         | 64 000                  |                        | 07/31/07      | 12/11/09     | 300 95      | 637 64                 | -336 69   |         | Y                   |
|                                                                          | Trade         | 15 000                  |                        | 09/06/07      | 12/11/09     | 70 53       | 153 60                 | -83 07    |         | Y                   |
|                                                                          | Trade         | 17 000                  |                        | 09/17/07      | 12/11/09     | 79 94       | 174 76                 | -94 82    |         | Y                   |

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### Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                         | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches -<br>1099-B |
|--------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------------------|
| DEVELOPERS DIVERSIFIED<br>REALTY CORP                        | Trade         | 51 000                  |                        | 07/31/07                       | 03/26/09     | 122 62      | 2,524 50               | -2,401 88 |         | Y                   |
|                                                              | Trade         | 5 000                   |                        | 09/06/07                       | 03/26/09     | 12 02       | 264 64                 | -252 62   |         | Y                   |
|                                                              | Trade         | 23 000                  |                        | 09/17/07                       | 03/26/09     | 55 30       | 1,246 14               | -1,190 84 |         | Y                   |
|                                                              | Trade         | 15 000                  |                        | 02/26/08                       | 03/26/09     | 36 06       | 598 37                 | -562 31   |         | Y                   |
| DUPONT FABROS TECHNOLOGY<br>INC                              | Trade         | 31 000                  |                        | 02/26/08                       | 05/21/09     | 255 69      | 535 44                 | -279 75   |         | Y                   |
|                                                              | Trade         | 17 000                  |                        | 02/26/08                       | 09/21/09     | 235 41      | 293 63                 | -58 22    |         | Y                   |
|                                                              | Trade         | 6 000                   |                        | 05/19/08                       | 09/21/09     | 83 09       | 111 12                 | -28 03    |         | Y                   |
| EQUITY RESIDENTIAL SBI                                       | Trade         | 13 000                  |                        | 07/31/07                       | 03/26/09     | 242 31      | 536 82                 | -294 51   |         | Y                   |
|                                                              | Trade         | 15 000                  |                        | 07/31/07                       | 08/19/09     | 392 32      | 619 41                 | -227 09   |         | Y                   |
|                                                              | Trade         | 46 000                  |                        | 07/31/07                       | 12/11/09     | 1,464 88    | 1,899 53               | -434 65   |         | Y                   |
| EXTRA SPACE STORAGE INC<br>REITS                             | Trade         | 4 000                   |                        | 07/31/07                       | 05/21/09     | 28 73       | 56 52                  | -27 79    |         | Y                   |
|                                                              | Trade         | 33 000                  |                        | 07/31/07                       | 08/19/09     | 312 31      | 466 29                 | -153 98   |         | Y                   |
|                                                              | Trade         | 11 000                  |                        | 07/31/07                       | 12/11/09     | 125 86      | 155 43                 | -29 57    |         | Y                   |
|                                                              | Trade         | 20 000                  |                        | 09/17/07                       | 12/11/09     | 228 84      | 304 80                 | -75 96    |         | Y                   |
|                                                              | Trade         | 27 000                  |                        | 10/03/08                       | 12/11/09     | 308 94      | 398 49                 | -89 55    |         | Y                   |
|                                                              | Trade         | 14 000                  |                        | 10/30/08                       | 12/11/09     | 160 19      | 146 08                 | 14 11     |         | Y                   |
| FEDERAL RLTY INV TR BI<br>MD                                 | Trade         | 8 000                   |                        | 07/31/07                       | 03/26/09     | 355 98      | 617 12                 | -261 14   |         | Y                   |
|                                                              | Trade         | 4 000                   |                        | 07/31/07                       | 05/21/09     | 204 93      | 308 56                 | -103 63   |         | Y                   |
|                                                              | Trade         | 8 000                   |                        | 07/31/07                       | 06/18/09     | 416 46      | 617 12                 | -200 66   |         | Y                   |
|                                                              | Trade         | 7 000                   |                        | 07/31/07                       | 12/11/09     | 455 96      | 539 98                 | -84 02    |         | Y                   |
|                                                              | Trade         | 6 000                   |                        | 09/17/07                       | 12/11/09     | 390 83      | 512 46                 | -121 63   |         | Y                   |
| FHLMC NTS<br>04 750 % DUE 11/17/15<br>DTD 102105 FC 05172006 | Trade         | 5,000 000               | 4,840 80               | 08/09/07                       | 03/27/09     | 5,497 60    | 4,840 80               | 656 80    |         | Y                   |
|                                                              | Trade         | 5,000 000               | 4,840 80               | 08/09/07                       | 03/30/09     | 5,520 09    | 4,840 80               | 679 29    |         | Y                   |
| FIRST POTOMAC REALTY<br>TRUST SBI                            | Trade         | 14 000                  |                        | 07/31/07                       | 03/26/09     | 102 06      | 277 62                 | -175 56   |         | Y                   |
|                                                              | Trade         | 14 000                  |                        | 09/17/07                       | 03/26/09     | 102 06      | 281 12                 | -179 06   |         | Y                   |
|                                                              | Trade         | 7 000                   |                        | 02/26/08                       | 03/26/09     | 51 03       | 115 50                 | -64 47    |         | Y                   |
|                                                              | Trade         | 4 000                   |                        | 05/19/08                       | 05/21/09     | 41 62       | 69 47                  | -27 85    |         | Y                   |
|                                                              | Trade         | 3 000                   |                        | 05/19/08                       | 07/23/09     | 33 01       | 52 10                  | -19 09    |         | Y                   |

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**Long-Term Gain/Loss - continued**

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| FNMA PL 938289 05 5000<br>DUE 07/01/37<br>FACTOR 0 590654050000 | Trade         | 19,000 000              |                        | 09/17/08                       | 12/08/09     | 12,815 57   | 12,200 28              | 615 29    |         | Y                 |
| FNMA PL 974386 05 5000<br>DUE 04/01/38<br>FACTOR 0 646846890000 | Trade         | 15,000 000              |                        | 11/07/08                       | 12/08/09     | 11,124 80   | 10,482 54              | 642 26    |         | Y                 |
| HCP INC                                                         | Trade         | 13 000                  |                        | 07/31/07                       | 12/11/09     | 406 15      | 360 23                 | 45 92     |         | Y                 |
|                                                                 | Trade         | 22 000                  |                        | 02/26/08                       | 12/11/09     | 687 33      | 642 14                 | 45 19     |         | Y                 |
| HOST HOTELS & RESORTS<br>INC (REIT)                             | Trade         | 54 000                  |                        | 07/31/07                       | 04/23/09     | 410 31      | 1,177 20               | -766 89   |         | Y                 |
|                                                                 | Trade         | 34 000                  |                        | 07/31/07                       | 09/21/09     | 375 99      | 741 20                 | -365 21   |         | Y                 |
|                                                                 | Trade         | 22 000                  |                        | 09/06/07                       | 09/21/09     | 243 28      | 487 11                 | -243 83   |         | Y                 |
|                                                                 | Trade         | 14 000                  |                        | 09/06/07                       | 12/11/09     | 146 61      | 309 98                 | -163 37   |         | Y                 |
|                                                                 | Trade         | 8 000                   |                        | 09/17/07                       | 12/11/09     | 83 78       | 175 44                 | -91 66    |         | Y                 |
| HRPT PROPERTIES TRUST<br>SBI                                    | Trade         | 28 000                  |                        | 07/31/07                       | 05/21/09     | 118 71      | 274 40                 | -155 69   |         | Y                 |
|                                                                 | Trade         | 4 000                   |                        | 09/06/07                       | 05/21/09     | 16 96       | 38 64                  | -21 68    |         | Y                 |
|                                                                 | Trade         | 20 000                  |                        | 09/06/07                       | 09/21/09     | 149 91      | 193 19                 | -43 28    |         | Y                 |
|                                                                 | Trade         | 37 000                  |                        | 09/17/07                       | 09/21/09     | 277 33      | 357 05                 | -79 72    |         | Y                 |
|                                                                 | Trade         | 1 000                   |                        | 09/17/07                       | 12/14/09     | 6 47        | 9 65                   | -3 18     |         | Y                 |
|                                                                 | Trade         | 15 000                  |                        | 02/26/08                       | 12/14/09     | 97 01       | 107 26                 | -10 25    |         | Y                 |
|                                                                 | Trade         | 36 000                  |                        | 11/06/08                       | 12/14/09     | 232 82      | 119 52                 | 113 30    |         | Y                 |
| JC PENNEY CO NTS<br>06 375% 101536 DTD042707<br>FC101507        | Trade         | 4,000 000               |                        | 08/09/07                       | 02/04/09     | 2,450 00    | 3,698 44               | -1,248 44 |         | Y                 |
|                                                                 | Trade         | 2,000 000               |                        | 09/21/07                       | 02/04/09     | 1,225 00    | 1,908 08               | -683 08   |         | Y                 |
| KILROY REALTY CORP                                              | Trade         | 16 000                  |                        | 07/31/07                       | 12/11/09     | 488 14      | 1,027 52               | -539 38   |         | Y                 |
| KIMCO REALTY CORP                                               | Trade         | 28 000                  |                        | 07/31/07                       | 10/21/09     | 380 30      | 1,077 44               | -697 14   |         | Y                 |
|                                                                 | Trade         | 9 000                   |                        | 09/17/07                       | 12/11/09     | 111 08      | 398 25                 | -287 17   |         | Y                 |
|                                                                 | Trade         | 18 000                  |                        | 02/26/08                       | 12/11/09     | 222 16      | 625 56                 | -403 40   |         | Y                 |
|                                                                 | Trade         | 1 000                   |                        | 10/03/08                       | 12/11/09     | 12 34       | 31 92                  | -19 58    |         | Y                 |
| KITE REALTY GROUP TRUST<br>REITS                                | Trade         | 4 000                   |                        | 10/30/08                       | 12/11/09     | 13 80       | 21 08                  | -7 28     |         | Y                 |

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### Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| LIBERTY PROPERTY TRUST                     | Trade         | 10 000                  |                        | 07/31/07                       | 08/19/09     | 294 06      | 381 00                 | -86 94    |         | Y                 |
|                                            | Trade         | 17 000                  |                        | 07/31/07                       | 09/21/09     | 575 51      | 647 70                 | -72 19    |         | Y                 |
|                                            | Trade         | 14 000                  |                        | 07/31/07                       | 10/21/09     | 434 95      | 533 40                 | -98 45    |         | Y                 |
|                                            | Trade         | 2 000                   |                        | 07/31/07                       | 12/11/09     | 62 80       | 76 20                  | -13 40    |         | Y                 |
|                                            | Trade         | 5 000                   |                        | 09/06/07                       | 12/11/09     | 156 99      | 194 33                 | -37 34    |         | Y                 |
|                                            | Trade         | 21 000                  |                        | 09/17/07                       | 12/11/09     | 659 36      | 817 74                 | -158 38   |         | Y                 |
| LOOMIS SAYLES HIGH<br>INCOME OPPORTUNITIES | Trade         | 850 000                 |                        | 08/01/07                       | 12/18/09     | 7,973 00    | 8,508 50               | -535 50   |         | Y                 |
|                                            |               |                         |                        |                                |              |             |                        |           |         |                   |
| MACERICH COMPANY                           | Trade         | 28 000                  |                        | 07/31/07                       | 04/30/09     | 497 70      | 2,125 48               | -1,627 78 |         | Y                 |
|                                            | Trade         | 2 000                   |                        | 09/06/07                       | 04/30/09     | 35 55       | 162 34                 | -126 79   |         | Y                 |
|                                            | Trade         | 11 000                  |                        | 09/17/07                       | 04/30/09     | 195 52      | 907 50                 | -711 98   |         | Y                 |
|                                            | Trade         | 5 000                   |                        | 10/19/07                       | 04/30/09     | 88 88       | 432 20                 | -343 32   |         | Y                 |
|                                            | Trade         | 6 000                   |                        | 02/26/08                       | 04/30/09     | 106 65      | 394 78                 | -288 13   |         | Y                 |
|                                            | Trade         | 1 000                   |                        | 02/26/08                       | 05/21/09     | 16 87       | 65 80                  | -48 93    |         | Y                 |
|                                            | Trade         | 1 000                   |                        | 05/19/08                       | 05/21/09     | 16 87       | 74 02                  | -57 15    |         | Y                 |
| NATIONWIDE HEALTH PPTY<br>INC              | Trade         | 26 000                  |                        | 07/31/07                       | 01/26/09     | 639 74      | 634 92                 | 4 82      |         | Y                 |
|                                            | Trade         | 7 000                   |                        | 07/31/07                       | 05/21/09     | 179 22      | 170 94                 | 8 28      |         | Y                 |
|                                            | Trade         | 10 000                  |                        | 07/31/07                       | 12/11/09     | 344 89      | 244 20                 | 100 69    |         | Y                 |
|                                            | Trade         | 6 000                   |                        | 09/06/07                       | 12/11/09     | 206 93      | 165 21                 | 41 72     |         | Y                 |
|                                            | Trade         | 17 000                  |                        | 09/17/07                       | 12/11/09     | 586 31      | 500 99                 | 85 32     |         | Y                 |
| OMEGA HEALTHCARE INVS<br>INC               | Trade         | 29 000                  |                        | 07/31/07                       | 01/26/09     | 436 58      | 375 55                 | 61 03     |         | Y                 |
|                                            | Trade         | 9 000                   |                        | 07/31/07                       | 12/11/09     | 164 57      | 116 55                 | 48 02     |         | Y                 |
|                                            | Trade         | 16 000                  |                        | 09/06/07                       | 12/11/09     | 292 57      | 230 95                 | 61 62     |         | Y                 |
|                                            | Trade         | 13 000                  |                        | 09/17/07                       | 12/11/09     | 237 71      | 196 04                 | 41 67     |         | Y                 |
|                                            | Trade         | 7 000                   |                        | 09/17/07                       | 12/14/09     | 128 64      | 105 56                 | 23 08     |         | Y                 |
|                                            | Trade         | 11 000                  |                        | 02/26/08                       | 12/14/09     | 202 15      | 188 35                 | 13 80     |         | Y                 |
| PLUM CREEK TIMBER CO INC<br>REIT           | Trade         | 2 000                   |                        | 07/31/07                       | 05/21/09     | 65 53       | 79 78                  | -14 25    |         | Y                 |
|                                            | Trade         | 6 000                   |                        | 07/31/07                       | 12/11/09     | 218 27      | 239 34                 | -21 07    |         | Y                 |
| PROLOGIS SBI                               | Trade         | 31 000                  |                        | 07/31/07                       | 03/26/09     | 189 32      | 1,840 16               | -1,650 84 |         | Y                 |
|                                            | Trade         | 16 000                  |                        | 09/17/07                       | 03/26/09     | 97 72       | 1,005 60               | -907 88   |         | Y                 |
|                                            | Trade         | 5 000                   |                        | 02/26/08                       | 03/26/09     | 30 54       | 277 45                 | -246 91   |         | Y                 |

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**Long-Term Gain/Loss - continued**

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| PS BUSINESS PARKS INC CA                          | Trade         | 11 000                  |                        | 07/31/07                       | 01/22/09     | 456 38      | 569 80                 | -113 42   |         | Y                 |
|                                                   | Trade         | 5 000                   |                        | 09/17/07                       | 02/19/09     | 181 11      | 279 40                 | -98 29    |         | Y                 |
|                                                   | Trade         | 1 000                   |                        | 02/26/08                       | 03/26/09     | 35 15       | 50 22                  | -15 07    |         | Y                 |
| PUBLIC STORAGE REIT                               | Trade         | 5 000                   |                        | 07/31/07                       | 04/23/09     | 306 80      | 364 15                 | -57 35    |         | Y                 |
|                                                   | Trade         | 5 000                   |                        | 07/31/07                       | 10/21/09     | 371 09      | 364 15                 | 6 94      |         | Y                 |
|                                                   | Trade         | 16 000                  |                        | 07/31/07                       | 12/11/09     | 1,239 80    | 1,165 28               | 74 52     |         | Y                 |
| REALTY INCOME CORP MD<br>SBI                      | Trade         | 14 000                  |                        | 07/31/07                       | 03/26/09     | 249 47      | 338 80                 | -89 33    |         | Y                 |
|                                                   | Trade         | 1 000                   |                        | 07/31/07                       | 08/19/09     | 23 40       | 24 20                  | -80       |         | Y                 |
|                                                   | Trade         | 5 000                   |                        | 09/17/07                       | 08/19/09     | 117 02      | 136 35                 | -19 33    |         | Y                 |
|                                                   | Trade         | 7 000                   |                        | 02/26/08                       | 08/19/09     | 163 83      | 172 31                 | -8 48     |         | Y                 |
| REGENCY CENTERS CORP                              | Trade         | 23 000                  |                        | 07/31/07                       | 12/11/09     | 778 98      | 1,513 17               | -734 19   |         | Y                 |
| SIMON PPTY GROUP INC SBI                          | Trade         | 14 000                  |                        | 07/31/07                       | 04/30/09     | 731 16      | 1,250 76               | -519 60   |         | Y                 |
|                                                   | Trade         | 40 000                  |                        | 07/31/07                       | 12/11/09     | 3,042 56    | 3,573 60               | -531 04   |         | Y                 |
|                                                   | Trade         | 7 000                   |                        | 07/31/07                       | 12/14/09     | 541 45      | 625 38                 | -83.93    |         | Y                 |
| STARWOOD HOTELS &<br>RESORTS WORLDWIDE INC<br>NEW | Trade         | 7 000                   |                        | 07/31/07                       | 03/26/09     | 101 44      | 450 38                 | -348 94   |         | Y                 |
|                                                   | Trade         | 17 000                  |                        | 09/06/07                       | 03/26/09     | 246 36      | 983 72                 | -737 36   |         | Y                 |
|                                                   | Trade         | 4 000                   |                        | 09/17/07                       | 03/26/09     | 57 97       | 230 24                 | -172 27   |         | Y                 |
|                                                   | Trade         | 9 000                   |                        | 09/17/07                       | 05/21/09     | 194 39      | 518 04                 | -323 65   |         | Y                 |
|                                                   | Trade         | 4 000                   |                        | 10/19/07                       | 05/21/09     | 86 40       | 238 57                 | -152 17   |         | Y                 |
|                                                   | Trade         | 9 000                   |                        | 10/19/07                       | 07/23/09     | 206 21      | 536 77                 | -330 56   |         | Y                 |
|                                                   | Trade         | 2 000                   |                        | 05/19/08                       | 07/23/09     | 45 83       | 106 34                 | -60 51    |         | Y                 |
|                                                   | Trade         | 11 000                  |                        | 11/06/08                       | 12/11/09     | 374 61      | 208 23                 | 166 38    |         | Y                 |
| TAUBMAN CENTERS INC                               | Trade         | 14 000                  |                        | 07/31/07                       | 03/26/09     | 232 12      | 695 52                 | -463 40   |         | Y                 |
|                                                   | Trade         | 6 000                   |                        | 09/17/07                       | 03/26/09     | 99 48       | 307 26                 | -207 78   |         | Y                 |
| VORNADO REALTY TRUST                              | Trade         | 16 000                  |                        | 07/31/07                       | 04/23/09     | 722 41      | 1,732 96               | -1,010 55 |         | Y                 |
|                                                   | Trade         | 9 000                   |                        | 07/31/07                       | 12/11/09     | 623 08      | 974 79                 | -351 71   |         | Y                 |
|                                                   | Trade         | 5 000                   |                        | 09/06/07                       | 12/11/09     | 346 16      | 530 54                 | -184 38   |         | Y                 |
|                                                   | Trade         | 6 000                   |                        | 09/17/07                       | 12/11/09     | 415 39      | 627 24                 | -211 85   |         | Y                 |

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Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                               | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|--------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| WELLS FARGO & CO NEW<br>04 950% 101613 DTD101603<br>FC041604 NOTES | Trade         | 6,000 000               |                        | 06/10/08                       | 10/08/09     | 6,237 18    | 5,952 18               | 285 00     |         | Y                 |
| Total Long-Term Gain/Loss                                          |               |                         |                        |                                |              | 102,174.01  | 140,109.09             | -37,935.08 |         |                   |

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UBS Financial Services Inc.

## 2009 Consolidated Form 1099

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C12L161206-X2

## 2009 Realized Gain/Loss Summary (Includes sale proceeds not reported on Form 1099-B)

This Realized Gain/Loss Summary is not a tax reporting document and has not been submitted to the IRS. If your sale amount matches the amount on Form 1099-B, which is reported to the IRS, it is marked as such. Please rely on the confirmations previously provided to you as your official activity record.

Estimated 2009 Gain/Loss for transactions with trade dates through 12/31/09 has been incorporated into this statement. Realized gain/loss is based on the sales amount less the cost basis. Please note that gain or loss recognized on the sale or redemption of certain Structured Products may be ordinary, and not capital, gain or loss. Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products. Note that the Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. An asterisk (\*) indicates a UBS Financial Services adjustment to cost basis. The number "1" indicates cost basis information has been provided by a source other than UBS Financial Services. Gain/Loss may not have been adjusted for all capital changes. Gain/Loss values that may be subject to Wash Sale provisions are not indicated here. "Earnings" in the Purchase Date column indicates the position sold was acquired on various dates through dividend reinvestment and that the Gain/Loss has been aggregated.

Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for Market Discount, Acquisition Premium, or Bond Premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amount because the reporting requirements are different. Gain/Loss from short sale closings are reported as short-term regardless of the holding period of property used to close the short position. Clients should consult their tax advisors as to whether exceptions may apply in their particular case to change this classification. The potential application of the "Constructive Sale" provisions (Sec 1259) for short-against-the-box transactions is not considered. Clients should discuss the possible application of these provisions with their tax advisor.

|                      | Purchase      | Sale          | Gains        | Losses        | Net           |
|----------------------|---------------|---------------|--------------|---------------|---------------|
|                      |               |               |              |               | Gain/Loss     |
| Short-term Gain/Loss | \$ 82,070.41  | \$ 81,347.60  | \$ 16,347.40 | \$ -17,070.21 | \$ -722.81    |
| Long-term Gain/Loss  | 155,551.89    | 117,807.68    | 6,930.36     | -44,674.57    | -37,744.21    |
| Sub Total:           | \$ 237,622.30 | \$ 199,155.28 | \$ 23,277.76 | \$ -61,744.78 | \$ -38,467.02 |
| Total:               | \$ 237,622.30 | \$ 199,155.28 | \$ 23,277.76 | \$ -61,744.78 | \$ -38,467.02 |

116891 Redemption  
200,324.19

## Short-Term Gain/Loss

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| AIR LIQUIDE ADR FRANCE<br>ADR         | Trade         | 34 000                  |                        | 10/13/08                       | 10/02/09     | 731.65      | 663.00                 | 68.65     |         | Y                 |
|                                       | Trade         | 10 000                  |                        | 10/13/08                       | 10/05/09     | 216.49      | 195.00                 | 21.49     |         | Y                 |
|                                       | Trade         | 51 000                  |                        | 01/23/09                       | 10/05/09     | 1,104.08    | 765.00                 | 339.08    |         | Y                 |
| AXA ADR                               | Trade         | 6 000                   |                        | 10/13/08                       | 02/20/09     | 63.18       | 160.38                 | -97.20    |         | Y                 |
|                                       | Trade         | 65 000                  |                        | 01/23/09                       | 02/20/09     | 684.49      | 984.10                 | -299.61   |         | Y                 |
| BAIDU INC ADS REPSNTG CL<br>A ORD SHS | Trade         | 5 000                   |                        | 01/16/09                       | 03/04/09     | 804.46      | 563.15                 | 241.31    |         | Y                 |
|                                       | Trade         | 5 000                   |                        | 01/16/09                       | 03/24/09     | 972.81      | 563.15                 | 409.66    |         | Y                 |
|                                       | Trade         | 4 000                   |                        | 01/16/09                       | 04/16/09     | 800.46      | 450.52                 | 349.94    |         | Y                 |
|                                       | Trade         | 7 000                   |                        | 01/16/09                       | 04/20/09     | 1,402.79    | 788.40                 | 614.39    |         | Y                 |
|                                       | Trade         | 5 000                   |                        | 01/16/09                       | 07/20/09     | 1,675.61    | 563.15                 | 1,112.46  |         | Y                 |

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Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| BAIDU INC ADS REPSNTG CL<br>A ORD SHS           | Trade         | 1 000                   |                        | 01/16/09                       | 09/09/09     | 362 69      | 112 63                 | 250 06    |         | Y                 |
|                                                 | Trade         | 5 000                   |                        | 01/23/09                       | 09/09/09     | 1,813 44    | 565 24                 | 1,248 20  |         | Y                 |
|                                                 | Trade         | 8 000                   |                        | 01/27/09                       | 09/09/09     | 2,901 50    | 920 50                 | 1,981 00  |         | Y                 |
| BNP PARIBAS SA ADR                              | Trade         | 62 000                  |                        | 05/15/08                       | 05/07/09     | 1,864 20    | 3,389 22               | -1,525 02 |         | Y                 |
| CANADIAN NATURAL<br>RESOURCES LTD               | Trade         | 18 000                  |                        | 08/20/09                       | 10/20/09     | 1,317 42    | 1,052 22               | 265 20    |         | Y                 |
| CANON INC ADR JAPAN SPON<br>ADR                 | Trade         | 45 000                  |                        | 04/17/08                       | 02/05/09     | 1,233 20    | 2,180 63               | -947 43   |         | Y                 |
|                                                 | Trade         | 20 000                  |                        | 10/13/08                       | 02/05/09     | 548 09      | 658 80                 | -110 71   |         | Y                 |
|                                                 | Trade         | 51 000                  |                        | 01/23/09                       | 02/05/09     | 1,397 63    | 1,462 17               | -64 54    |         | Y                 |
| CHINA MOBILE LTD SPON<br>ADR                    | Trade         | 18 000                  |                        | 10/08/08                       | 07/13/09     | 842 82      | 803 94                 | 38 88     |         | Y                 |
|                                                 | Trade         | 9 000                   |                        | 10/13/08                       | 07/13/09     | 421 41      | 444 60                 | -23 19    |         | Y                 |
|                                                 | Trade         | 24 000                  |                        | 01/23/09                       | 07/13/09     | 1,123 76    | 1,079 28               | 44 48     |         | Y                 |
| DANONE SPON ADR                                 | Trade         | 132 000                 |                        | 10/13/08                       | 06/22/09     | 1,268 84    | 1,557 60               | -288 76   |         | Y                 |
|                                                 | Trade         | 66 000                  |                        | 01/23/09                       | 06/22/09     | 634 42      | 709 50                 | -75 08    |         | Y                 |
|                                                 | Trade         | 115 000                 |                        | 02/13/09                       | 06/22/09     | 1,105 43    | 1,127 01               | -21 58    |         | Y                 |
| E ON AG SPON ADR                                | Trade         | 40 000                  |                        | 10/13/08                       | 03/13/09     | 952 22      | 1,606 00               | -653 78   |         | Y                 |
|                                                 | Trade         | 23 000                  |                        | 01/23/09                       | 03/13/09     | 547 53      | 752 56                 | -205 03   |         | Y                 |
| FANUC LTD ADR                                   | Trade         | 20 000                  |                        | 12/16/08                       | 12/11/09     | 907 97      | 655 95                 | 252 02    |         | Y                 |
| FRESENIUS MEDICAL CARE<br>AG & CO KGAA SPON ADR | Trade         | 20 000                  |                        | 03/13/09                       | 12/11/09     | 1,065 57    | 772 25                 | 293 32    |         | Y                 |
| GAM HLDG LTD ADR                                | Trade         | 209 000                 |                        | 11/17/08                       | 11/13/09     | 517 26      | 1,478 99               | -961 73   |         | Y                 |
|                                                 | Trade         | 176 000                 |                        | 01/23/09                       | 11/13/09     | 435 59      | 1,082 40               | -646 81   |         | Y                 |
|                                                 | Trade         | 26 000                  |                        | 01/26/09                       | 11/13/09     | 64 35       | 159 46                 | -95 11    |         | Y                 |
|                                                 | Trade         | 50 000                  |                        | 01/26/09                       | 11/16/09     | 120 55      | 306 65                 | -186 10   |         | Y                 |
|                                                 | Trade         | 161 000                 |                        | 01/27/09                       | 11/16/09     | 388 19      | 977 62                 | -589 43   |         | Y                 |
| HONG KONG EXCHANGES &<br>CLEARING LTD ADR       | Trade         | 96 000                  |                        | 03/13/09                       | 07/29/09     | 1,762 98    | 761 78                 | 1,001 20  |         | Y                 |
|                                                 | Trade         | 60 000                  |                        | 03/13/09                       | 12/11/09     | 1,067 97    | 476 11                 | 591 86    |         | Y                 |

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**Short-Term Gain/Loss - continued**

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| INDUSTRIAL & COML BK<br>CHINA ADR                     | Trade         | 24 000                  |                        | 04/08/09                       | 12/11/09     | 994 77      | 654 15                 | 340 62    |         | Y                 |
| INFOSYS TECHNOLOGIES LTD<br>SPON ADR                  | Trade         | 29 000                  |                        | 02/04/09                       | 08/04/09     | 1,301 84    | 785 17                 | 516 67    |         | Y                 |
|                                                       | Trade         | 25 000                  |                        | 02/04/09                       | 09/09/09     | 1,167 52    | 676 87                 | 490 65    |         | Y                 |
|                                                       | Trade         | 54 000                  |                        | 02/04/09                       | 09/23/09     | 2,636 44    | 1,462 04               | 1,174 40  |         | Y                 |
|                                                       | Trade         | 21 000                  |                        | 02/04/09                       | 10/09/09     | 996 14      | 568 57                 | 427 57    |         | Y                 |
|                                                       | Trade         | 27 000                  |                        | 02/09/09                       | 10/09/09     | 1,280 76    | 788 82                 | 491 94    |         | Y                 |
| ITAU UNIBANCO HLDG SA<br>ADR                          | Trade         | 77 000                  |                        | 05/26/09                       | 10/02/09     | 1,553 31    | 1,086 91               | 466 40    |         | Y                 |
|                                                       | Trade         | 107 000                 |                        | 05/26/09                       | 10/20/09     | 2,174 97    | 1,510 38               | 664 59    |         | Y                 |
| JULIUS BAER HLDG<br>LTD**NAME CHANGE<br>10/2009** ADR | Trade         | 132 000                 |                        | 10/29/08                       | 08/25/09     | 1,358 89    | 903 06                 | 455 83    |         | Y                 |
| LVMH MOET HENNESSY LOUIS<br>NEW ADR                   | Trade         | 93 000                  |                        | 11/07/08                       | 04/21/09     | 1,317 60    | 1,196 99               | 120 61    |         | Y                 |
|                                                       | Trade         | 99 000                  |                        | 11/07/08                       | 08/26/09     | 1,909 24    | 1,274 22               | 635 02    |         | Y                 |
|                                                       | Trade         | 69 000                  |                        | 11/07/08                       | 10/21/09     | 1,501 88    | 888 09                 | 613 79    |         | Y                 |
|                                                       | Trade         | 13 000                  |                        | 11/12/08                       | 10/21/09     | 282 96      | 146 11                 | 136 85    |         | Y                 |
| MONSANTO CO NEW                                       | Trade         | 40 000                  |                        | 03/11/09                       | 10/07/09     | 2,988 46    | 3,229 17               | -240 71   |         | Y                 |
|                                                       | Trade         | 11 000                  |                        | 04/03/09                       | 10/07/09     | 821 83      | 888 78                 | -66 95    |         | Y                 |
| NINTENDO LTD ADR NEW<br>JAPAN ADR                     | Trade         | 25 000                  |                        | 01/23/09                       | 12/03/09     | 731 20      | 1,058 75               | -327 55   |         | Y                 |
| PETROLEO BRASILEIRO SA<br>SPON ADR                    | Trade         | 105 000                 |                        | 05/26/09                       | 09/01/09     | 4,096 69    | 4,348 32               | -251 63   |         | Y                 |
|                                                       | Trade         | 27 000                  |                        | 06/03/09                       | 09/01/09     | 1,053 43    | 1,122 20               | -68 77    |         | Y                 |
| ROGERS COMMUNICATIONS<br>INC NON VTG SHS CL B         | Trade         | 24 000                  |                        | 10/13/08                       | 08/24/09     | 660 79      | 695 76                 | -34 97    |         | Y                 |
|                                                       | Trade         | 3 000                   |                        | 10/13/08                       | 08/25/09     | 82 71       | 86 97                  | -4 26     |         | Y                 |
|                                                       | Trade         | 42 000                  |                        | 01/23/09                       | 08/25/09     | 1,157 96    | 1,144 92               | 13 04     |         | Y                 |
| SAP AG SPON ADR                                       | Trade         | 50 000                  |                        | 05/19/08                       | 04/23/09     | 1,988 33    | 2,599 44               | -611 11   |         | Y                 |
| SOUTHERN COPPER CORP                                  | Trade         | 45 000                  |                        | 07/17/09                       | 10/27/09     | 1,515 42    | 1,027 49               | 487 93    |         | Y                 |

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**Short-Term Gain/Loss - continued**

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount      | Cost or Other<br>Basis | Gain/Loss      | Remarks | Matches<br>1099-B |
|---------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|------------------|------------------------|----------------|---------|-------------------|
| SUNCOR INC **MERGER EFF<br>07/2009**  | Trade         | 38 000                  |                        | 07/25/08                       | 01/15/09     | 756 55           | 2,040 27               | -1,283 72      |         | Y                 |
|                                       | Trade         | 37 000                  |                        | 07/29/08                       | 01/15/09     | 736 64           | 1,938 78               | -1,202 14      |         | Y                 |
|                                       | Trade         | 21 000                  |                        | 08/20/08                       | 01/15/09     | 418 09           | 1,168 44               | -750 35        |         | Y                 |
|                                       | Trade         | 4 000                   |                        | 10/13/08                       | 01/15/09     | 79 64            | 102 96                 | -23 32         |         | Y                 |
| SWISS REINS CO SPON ADR               | Trade         | 29 000                  |                        | 02/01/08                       | 01/26/09     | 769 35           | 2,202 08               | -1,432 73      |         | Y                 |
|                                       | Trade         | 3 000                   |                        | 10/13/08                       | 01/26/09     | 79 59            | 123 90                 | -44 31         |         | Y                 |
|                                       | Trade         | 14 000                  |                        | 10/13/08                       | 01/27/09     | 367 32           | 578 20                 | -210 88        |         | Y                 |
|                                       | Trade         | 39 000                  |                        | 01/23/09                       | 01/27/09     | 1,023 26         | 965 25                 | 58 01          |         | Y                 |
| TESCO PLC SPONS ADR<br>UNITED KINGDOM | Trade         | 40 000                  |                        | 10/21/09                       | 12/11/09     | 817 57           | 785 95                 | 31 62          |         | Y                 |
| TOTAL S A FRANCE SPON<br>ADR          | Trade         | 77 000                  |                        | 06/16/08                       | 04/30/09     | 3,832 78         | 6,258 31               | -2,425 53      |         | Y                 |
|                                       | Trade         | 22 000                  |                        | 06/24/08                       | 04/30/09     | 1,095 08         | 1,801 85               | -706 77        |         | Y                 |
|                                       | Trade         | 13 000                  |                        | 10/13/08                       | 04/30/09     | 647 09           | 648 05                 | - 96           |         | Y                 |
|                                       | Trade         | 27 000                  |                        | 01/23/09                       | 04/30/09     | 1,343 96         | 1,280 88               | 63 08          |         | Y                 |
| VODAFONE GROUP PLC NEW<br>SPON ADR    | Trade         | 60 000                  |                        | 06/26/08                       | 06/02/09     | 1,127 20         | 1,670 53               | -543 33        |         | Y                 |
|                                       | Trade         | 29 000                  |                        | 10/13/08                       | 06/02/09     | 544 81           | 593 92                 | -49 11         |         | Y                 |
|                                       | Trade         | 54 000                  |                        | 01/23/09                       | 06/02/09     | 1,014 48         | 978 90                 | 35 58          |         | Y                 |
| <b>Total Short-Term Gain/Loss</b>     |               |                         |                        |                                |              | <b>81,347.60</b> | <b>82,070.41</b>       | <b>-722.81</b> |         |                   |

**Long-Term Gain/Loss**

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                         | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| AIR LIQUIDE ADR FRANCE<br>ADR                | Trade         | 7 000                   |                        | 07/11/06                       | 10/02/09     | 150 63      | 123 03                 | 27 60     | 1       | Y                 |
|                                              | Trade         | 30 000                  |                        | 08/18/06                       | 10/02/09     | 645 57      | 575 05                 | 70 52     | 1       | Y                 |
|                                              | Trade         | 186 000                 |                        | 09/13/06                       | 10/02/09     | 4,002 55    | 3,398 35               | 604 20    | 1       | Y                 |
| AMERICA MOVIL S A B DE<br>C V SER L SPON ADR | Trade         | 17 000                  |                        | 07/05/06                       | 06/23/09     | 600 54      | 581 40                 | 19 14     | 1       | Y                 |
|                                              | Trade         | 36 000                  |                        | 07/28/06                       | 06/23/09     | 1,271 73    | 1,306 80               | -35 07    | 1       | Y                 |
|                                              | Trade         | 17 000                  |                        | 07/28/06                       | 12/11/09     | 809 51      | 617 10                 | 192 41    | 1       | Y                 |
|                                              | Trade         | 3 000                   |                        | 08/23/07                       | 12/11/09     | 142 86      | 176 56                 | -33 70    |         | Y                 |

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**Long-Term Gain/Loss - continued**

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| ARM HOLDINGS PLC SPON<br>ADR                        | Trade         | 149 000                 |                        | 05/03/07                       | 05/06/09     | 791 86      | 1,234 08               | -442 22   | 1       | Y                 |
|                                                     | Trade         | 70 000                  |                        | 05/04/07                       | 05/06/09     | 372 01      | 591 09                 | -219 08   | 1       | Y                 |
|                                                     | Trade         | 153 000                 |                        | 05/04/07                       | 10/20/09     | 1,213 90    | 1,291 94               | -78 04    | 1       | Y                 |
|                                                     | Trade         | 116 000                 |                        | 05/08/07                       | 10/20/09     | 920 34      | 981 82                 | -61 48    | 1       | Y                 |
|                                                     | Trade         | 47 000                  |                        | 10/12/07                       | 10/20/09     | 372 90      | 444 51                 | -71 61    |         | Y                 |
| AXA ADR                                             | Trade         | 89 000                  |                        | 08/02/07                       | 02/20/09     | 937 22      | 3,500 68               | -2,563 46 |         | Y                 |
|                                                     | Trade         | 52 000                  |                        | 08/14/07                       | 02/20/09     | 547 59      | 2,085 01               | -1,537 42 |         | Y                 |
|                                                     | Trade         | 52 000                  |                        | 01/11/08                       | 02/20/09     | 547 59      | 2,009 86               | -1,462 27 |         | Y                 |
| BNP PARIBAS SA ADR                                  | Trade         | 31 000                  |                        | 05/15/08                       | 08/11/09     | 1,172 44    | 1,694 61               | -522 17   |         | Y                 |
|                                                     | Trade         | 24 000                  |                        | 05/15/08                       | 08/12/09     | 940 41      | 1,311 96               | -371 55   |         | Y                 |
|                                                     | Trade         | 7 000                   |                        | 06/11/08                       | 08/12/09     | 274 29      | 326 59                 | -52 30    |         | Y                 |
| BRITISH SKY BROADCASTING<br>GROUP PLC SPONSORED ADR | Trade         | 30 000                  |                        | 09/19/08                       | 12/11/09     | 1,123 47    | 959 03                 | 164 44    |         | Y                 |
| CANON INC ADR JAPAN SPON<br>ADR                     | Trade         | 48 000                  |                        | 08/21/07                       | 02/05/09     | 1,315 42    | 2,468 39               | -1,152 97 |         | Y                 |
|                                                     | Trade         | 41 000                  |                        | 08/24/07                       | 02/05/09     | 1,123 59    | 2,285 80               | -1,162 21 |         | Y                 |
|                                                     | Trade         | 33 000                  |                        | 09/10/07                       | 02/05/09     | 904 35      | 1,768 26               | -863 91   |         | Y                 |
| CARNIVAL CORP NEW<br>(PAIRED STOCK)                 | Trade         | 46 000                  |                        | 09/22/06                       | 05/04/09     | 1,334 61    | 2,057 45               | -722 84   | 1       | Y                 |
|                                                     | Trade         | 29 000                  |                        | 09/22/06                       | 12/11/09     | 946 91      | 1,297 08               | -350 17   | 1       | Y                 |
|                                                     | Trade         | 1 000                   |                        | 10/27/06                       | 12/11/09     | 32 65       | 49 01                  | -16 36    | 1       | Y                 |
| CHINA LIFE INSURANCE CO<br>LTD ADS                  | Trade         | 8 000                   |                        | 04/01/08                       | 07/20/09     | 514 87      | 444 89                 | 69 98     |         | Y                 |
|                                                     | Trade         | 15 000                  |                        | 04/01/08                       | 12/11/09     | 1,150 62    | 834 17                 | 316 45    |         | Y                 |
| CHINA MOBILE LTD SPON<br>ADR                        | Trade         | 28 000                  |                        | 01/22/07                       | 03/12/09     | 1,214 82    | 1,320 90               | -106 08   | 1       | Y                 |
|                                                     | Trade         | 3 000                   |                        | 05/31/07                       | 03/12/09     | 130 16      | 138 96                 | -8 80     | 1       | Y                 |
|                                                     | Trade         | 21 000                  |                        | 05/31/07                       | 04/02/09     | 905 38      | 972 72                 | -67 34    | 1       | Y                 |
|                                                     | Trade         | 16 000                  |                        | 05/31/07                       | 07/13/09     | 749 17      | 741 12                 | 8 05      | 1       | Y                 |
|                                                     | Trade         | 43 000                  |                        | 06/21/07                       | 07/13/09     | 2,013 40    | 2,281 15               | -267 75   | 1       | Y                 |
|                                                     | Trade         | 19 000                  |                        | 01/11/08                       | 07/13/09     | 889 64      | 1,620 19               | -730 55   |         | Y                 |
| DANONE SPON ADR                                     | Trade         | 105 000                 |                        | 08/14/07                       | 05/28/09     | 1,049 03    | 1,533 00               | -483 97   |         | Y                 |
|                                                     | Trade         | 376 000                 |                        | 08/14/07                       | 06/22/09     | 3,614 28    | 5,489 60               | -1,875 32 |         | Y                 |

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Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                 | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| E ON AG SPON ADR                     | Trade         | 8 000                   |                        | 12/08/06                       | 03/13/09     | 190 44      | 355 23                 | -164 79   | 1       | Y                 |
|                                      | Trade         | 94 000                  |                        | 01/11/07                       | 03/13/09     | 2,237 72    | 4,026 30               | -1,788 58 | 1       | Y                 |
| EMBRAER AIRCRAFT CORP<br>ADR         | Trade         | 51 000                  |                        | 07/05/06                       | 08/11/09     | 1,193 99    | 1,866 09               | -672 10   | 1       | Y                 |
|                                      | Trade         | 49 000                  |                        | 07/05/06                       | 12/11/09     | 1,089 73    | 1,792 91               | -703 18   | 1       | Y                 |
|                                      | Trade         | 11 000                  |                        | 07/28/06                       | 12/11/09     | 244 63      | 383 90                 | -139 27   | 1       | Y                 |
| GAM HLDG LTD ADR                     | Trade         | 70 000                  |                        | 10/29/08                       | 11/12/09     | 175 65      | 478 90                 | -303 25   |         | Y                 |
|                                      | Trade         | 166 000                 |                        | 10/31/08                       | 11/12/09     | 416 55      | 1,273 72               | -857 17   |         | Y                 |
|                                      | Trade         | 49 000                  |                        | 10/31/08                       | 11/13/09     | 121 27      | 375 98                 | -254 71   |         | Y                 |
| HANG LUNG PROPERTIES LTD<br>SPON ADR | Trade         | 104 000                 |                        | 06/21/07                       | 01/20/09     | 1,149 81    | 1,900 76               | -750 95   | 1       | Y                 |
|                                      | Trade         | 33 000                  |                        | 06/21/07                       | 01/29/09     | 356 06      | 603 12                 | -247 06   | 1       | Y                 |
|                                      | Trade         | 98 000                  |                        | 06/21/07                       | 06/03/09     | 1,665 27    | 1,791 10               | -125 83   | 1       | Y                 |
|                                      | Trade         | 15 000                  |                        | 11/07/07                       | 06/03/09     | 254 89      | 338 80                 | -83 91    |         | Y                 |
|                                      | Trade         | 30 000                  |                        | 11/07/07                       | 12/11/09     | 589 48      | 677 60                 | -88 12    |         | Y                 |
|                                      | Trade         | 30 000                  |                        | 11/08/07                       | 12/11/09     | 589 48      | 675 58                 | -86 10    |         | Y                 |
| HENNES & MAURITZ AB ADR              | Trade         | 65 000                  |                        | 06/10/08                       | 07/21/09     | 679 54      | 719 80                 | -40 26    |         | Y                 |
|                                      | Trade         | 162 000                 |                        | 06/10/08                       | 07/24/09     | 1,791 10    | 1,793 96               | -2 86     |         | Y                 |
|                                      | Trade         | 100 000                 |                        | 06/10/08                       | 12/11/09     | 1,098 97    | 1,107 38               | -8 41     |         | Y                 |
| KINGFISHER PLC NEW SPON<br>ADR       | Trade         | 195 000                 |                        | 07/05/06                       | 04/06/09     | 950 50      | 1,745 25               | -794 75   | 1       | Y                 |
|                                      | Trade         | 110 000                 |                        | 07/05/06                       | 12/11/09     | 838 17      | 984 50                 | -146 33   | 1       | Y                 |
| KOMATSU LTD SPON ADR<br>NEW          | Trade         | 23 000                  |                        | 08/16/06                       | 08/24/09     | 1,626 76    | 1,730 26               | -103 50   | 1       | Y                 |
|                                      | Trade         | 10 000                  |                        | 10/20/06                       | 08/24/09     | 707 28      | 746 97                 | -39 69    | 1       | Y                 |
|                                      | Trade         | 10 000                  |                        | 10/20/06                       | 12/11/09     | 831 47      | 746 96                 | 84 51     | 1       | Y                 |
| LOGITECH INTL SA REG<br>NAMEN-AKT    | Trade         | 70 000                  |                        | 01/18/07                       | 10/23/09     | 1,322 03    | 2,059 82               | -737 79   | 1       | Y                 |
|                                      | Trade         | 59 000                  |                        | 01/18/07                       | 12/11/09     | 937 48      | 1,736 13               | -798 65   | 1       | Y                 |
|                                      | Trade         | 1 000                   |                        | 08/14/07                       | 12/11/09     | 15 89       | 26 83                  | -10 94    |         | Y                 |
| LVMH MOET HENNESSY LOUIS<br>NEW ADR  | Trade         | 60 000                  |                        | 11/12/08                       | 12/11/09     | 1,289 96    | 674 33                 | 615 63    |         | Y                 |
| NATL BANK GREECE SA SPON<br>ADR      | Trade         | 92 000                  |                        | 12/28/07                       | 05/06/09     | 428 88      | 1,228 84               | -799 96   |         | Y                 |
|                                      | Trade         | 104 000                 |                        | 12/31/07                       | 05/06/09     | 484 82      | 1,391 06               | -906 24   |         | Y                 |

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Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| NATL BANK GREECE SA SPON<br>ADR       | Trade         | 81 000                  |                        | 01/02/08                       | 05/06/09     | 377 60      | 1,079 36               | -701 76   |         | Y                 |
|                                       | Trade         | 238 000                 |                        | 01/02/08                       | 06/12/09     | 1,368 73    | 3,171 45               | -1,802 72 |         | Y                 |
|                                       | Trade         | 23 000                  |                        | 01/08/08                       | 06/12/09     | 132 27      | 309 38                 | -177 11   |         | Y                 |
|                                       | Trade         | 142 000                 |                        | 01/08/08                       | 08/13/09     | 835 97      | 1,910 05               | -1,074 08 |         | Y                 |
|                                       | Trade         | 65 000                  |                        | 01/09/08                       | 08/13/09     | 382 66      | 877 83                 | -495 17   |         | Y                 |
|                                       | Trade         | 8 000                   |                        | 01/09/08                       | 10/19/09     | 64 03       | 108 04                 | -44 01    |         | Y                 |
|                                       | Trade         | 134 000                 |                        | 03/28/08                       | 10/19/09     | 1,072 42    | 1,391 40               | -318 98   |         | Y                 |
| NESTLE SA SPONSORED ADR               | Trade         | 35 000                  |                        | 05/09/07                       | 03/31/09     | 1,168 35    | 1,388 82               | -220 47   | 1       | Y                 |
| REPSTG REG SHS SWITZ                  | Trade         | 9 000                   |                        | 05/09/07                       | 12/11/09     | 435 68      | 357 13                 | 78 55     | 1       | Y                 |
| ADR                                   | Trade         | 13 000                  |                        | 06/22/07                       | 12/11/09     | 629 31      | 480 89                 | 148 42    | 1       | Y                 |
| NINTENDO LTD ADR NEW<br>JAPAN ADR     | Trade         | 42 000                  |                        | 01/26/07                       | 04/15/09     | 1,446 30    | 1,467 54               | -21 24    | 1       | Y                 |
|                                       | Trade         | 45 000                  |                        | 01/26/07                       | 07/02/09     | 1,545 91    | 1,572 36               | -26 45    | 1       | Y                 |
|                                       | Trade         | 19 000                  |                        | 01/26/07                       | 12/03/09     | 555 71      | 663 89                 | -108 18   | 1       | Y                 |
|                                       | Trade         | 37 000                  |                        | 06/21/07                       | 12/03/09     | 1,082 17    | 1,666 58               | -584 41   | 1       | Y                 |
|                                       | Trade         | 42 000                  |                        | 10/13/08                       | 12/03/09     | 1,228 41    | 2,005 50               | -777 09   |         | Y                 |
| NOKIA CORP SPONS ADR                  | Trade         | 130 000                 |                        | 01/04/07                       | 10/15/09     | 1,783 95    | 2,707 90               | -923 95   | 1       | Y                 |
| FINLAND ADR                           | Trade         | 62 000                  |                        | 01/04/07                       | 12/16/09     | 791 74      | 1,291 46               | -499 72   | 1       | Y                 |
|                                       | Trade         | 101 000                 |                        | 01/22/07                       | 12/16/09     | 1,289 76    | 2,024 04               | -734 28   | 1       | Y                 |
|                                       | Trade         | 26 000                  |                        | 01/22/08                       | 12/16/09     | 332 02      | 821 57                 | -489 55   |         | Y                 |
| NOVARTIS AG SPON ADR                  | Trade         | 23 000                  |                        | 07/05/06                       | 01/16/09     | 1,085 24    | 1,243 38               | -158 14   | 1       | Y                 |
| NOVO NORDISK ADR DENMARK<br>ADR       | Trade         | 32 000                  |                        | 07/05/06                       | 01/07/09     | 1,734 88    | 988 64                 | 746 24    | 1       | Y                 |
|                                       | Trade         | 19 000                  |                        | 07/05/06                       | 04/02/09     | 934 81      | 587 01                 | 347 80    | 1       | Y                 |
|                                       | Trade         | 28 000                  |                        | 07/05/06                       | 04/03/09     | 1,212 62    | 865 06                 | 347 56    | 1       | Y                 |
|                                       | Trade         | 15 000                  |                        | 07/28/06                       | 04/03/09     | 649 62      | 465 98                 | 183 64    | 1       | Y                 |
| POTASH CORP SASK INC<br>CANADA        | Trade         | 12 000                  |                        | 08/22/07                       | 11/18/09     | 1,361 38    | 1,013 73               | 347 65    |         | Y                 |
| RECKITT BENCKISER GROUP<br>PLC ADR    | Trade         | 120 000                 |                        | 10/13/08                       | 12/11/09     | 1,271 96    | 1,043 70               | 228 26    |         | Y                 |
| ROCHE HLDG LTD SPONS ADR<br>SWITZ ADR | Trade         | 24 000                  |                        | 12/05/06                       | 01/29/09     | 847 93      | 1,078 10               | -230 17   | 1       | Y                 |
|                                       | Trade         | 38 000                  |                        | 02/28/07                       | 01/29/09     | 1,342 55    | 1,698 51               | -355 96   | 1       | Y                 |

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Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                          | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| ROCHE HLDG LTD SPONS ADR<br>SWITZ ADR         | Trade         | 20 000                  |                        | 02/28/07                       | 03/16/09     | 618 43      | 893 95                 | -275 52   | 1       | Y                 |
|                                               | Trade         | 15 000                  |                        | 11/01/07                       | 03/16/09     | 463 83      | 641 41                 | -177 58   |         | Y                 |
| ROGERS COMMUNICATIONS<br>INC NON VTG SHS CL B | Trade         | 45 000                  |                        | 07/28/06                       | 08/20/09     | 1,227 02    | 972 68                 | 254 34    | 1       | Y                 |
|                                               | Trade         | 1 000                   |                        | 07/28/06                       | 08/21/09     | 27 41       | 21 61                  | 5 80      | 1       | Y                 |
|                                               | Trade         | 55 000                  |                        | 08/01/06                       | 08/21/09     | 1,507 80    | 1,273 93               | 233 87    | 1       | Y                 |
|                                               | Trade         | 17 000                  |                        | 08/01/06                       | 08/24/09     | 468 06      | 393 76                 | 74 30     | 1       | Y                 |
|                                               | Trade         | 57 000                  |                        | 03/11/08                       | 08/24/09     | 1,569 38    | 2,188 15               | -618 77   |         | Y                 |
| SABMILLER PLC SPON ADR                        | Trade         | 86 000                  |                        | 10/30/06                       | 09/10/09     | 2,068 03    | 1,674 81               | 393 22    | 1       | Y                 |
| SAP AG SPON ADR                               | Trade         | 22 000                  |                        | 05/19/08                       | 12/11/09     | 986 23      | 1,143 75               | -157 52   |         | Y                 |
| SCHLUMBERGER LTD<br>NETHERLANDS ANTILLES      | Trade         | 8 000                   |                        | 11/14/07                       | 12/11/09     | 491 47      | 744 02                 | -252 55   |         | Y                 |
|                                               | Trade         | 9 000                   |                        | 01/11/08                       | 12/11/09     | 552 91      | 846 13                 | -293 22   |         | Y                 |
| SMITH & NEPHEW PLC NEW<br>SPON ADR            | Trade         | 31 000                  |                        | 07/10/08                       | 09/11/09     | 1,473 15    | 1,669 05               | -195 90   |         | Y                 |
|                                               | Trade         | 5 000                   |                        | 07/10/08                       | 12/11/09     | 251 39      | 269 20                 | -17 81    |         | Y                 |
|                                               | Trade         | 15 000                  |                        | 08/01/08                       | 12/11/09     | 754 18      | 815 66                 | -61 48    |         | Y                 |
| SWISS REINS CO SPON ADR                       | Trade         | 51 000                  |                        | 01/25/08                       | 01/26/09     | 1,352 99    | 3,878 54               | -2,525 55 |         | Y                 |
| TELEFONICA S A SPON ADR                       | Trade         | 11 000                  |                        | 02/01/07                       | 01/27/09     | 620 88      | 725 80                 | -104 92   | 1       | Y                 |
|                                               | Trade         | 24 000                  |                        | 02/01/07                       | 01/29/09     | 1,342 19    | 1,583 57               | -241 38   | 1       | Y                 |
|                                               | Trade         | 15 000                  |                        | 02/01/07                       | 12/11/09     | 1,277 96    | 989 73                 | 288 23    | 1       | Y                 |
| TEVA PHARMACEUTICALS IND<br>LTD ISRAEL ADR    | Trade         | 18 000                  |                        | 11/28/05                       | 03/12/09     | 798 60      | 748 26                 | 50 34     | 1       | Y                 |
|                                               | Trade         | 21 000                  |                        | 07/28/06                       | 03/12/09     | 931 70      | 685 65                 | 246 05    | 1       | Y                 |
|                                               | Trade         | 20 000                  |                        | 07/28/06                       | 12/11/09     | 1,059 17    | 653 00                 | 406 17    | 1       | Y                 |
|                                               | Trade         | 2 000                   |                        | 11/20/06                       | 12/11/09     | 105 92      | 62 96                  | 42 96     | 1       | Y                 |
| TOYOTA MOTOR CORP NEW<br>JAPAN SPON ADR       | Trade         | 13 000                  |                        | 10/02/06                       | 12/11/09     | 1,092 23    | 1,442 21               | -349 98   | 1       | Y                 |
| TURKCELL ILETISIM<br>HIZMETLERI A S NEW ADR   | Trade         | 8 000                   |                        | 05/14/08                       | 08/12/09     | 127 91      | 150 83                 | -22 92    |         | Y                 |
|                                               | Trade         | 47 000                  |                        | 05/14/08                       | 08/12/09     | 751 44      | 884 54                 | -133 10   |         | Y                 |
|                                               | Trade         | 50 000                  |                        | 05/14/08                       | 12/11/09     | 795 97      | 942 68                 | -146 71   |         | Y                 |

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Corrected

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Corrected 03/07/10

C12L161214-X2

Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                          | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|-----------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| VESTAS WIND SYSTEMS A/S<br>ADR                | Trade         | 40 000                  |                        | 08/08/08                       | 12/11/09     | 851 97      | 1,625 00               | -773 03    |         | Y                 |
| VODAFONE GROUP PLC NEW<br>SPON ADR            | Trade         | 88 000                  |                        | 07/05/06                       | 01/21/09     | 1,622 15    | 2,185 02               | -562 87    | 1       | Y                 |
|                                               | Trade         | 85 000                  |                        | 07/05/06                       | 06/02/09     | 1,596 86    | 2,110 53               | -513 67    | 1       | Y                 |
|                                               | Trade         | 77 000                  |                        | 07/28/06                       | 06/02/09     | 1,446 57    | 1,954 48               | -507 91    | 1       | Y                 |
|                                               | Trade         | 56 000                  |                        | 05/01/08                       | 06/02/09     | 1,052 05    | 1,778 00               | -725 95    |         | Y                 |
| WAL MART DE MEXICO SAB<br>DE CV CL V SPON ADR | Trade         | 3 000                   |                        | 07/05/06                       | 04/14/09     | 84 20       | 86 10                  | -1 90      | 1       | Y                 |
|                                               | Trade         | 39 000                  |                        | 07/28/06                       | 04/14/09     | 1,094 56    | 1,244 10               | -149 54    | 1       | Y                 |
|                                               | Trade         | 19 000                  |                        | 07/28/06                       | 04/21/09     | 556 93      | 606 10                 | -49 17     | 1       | Y                 |
|                                               | Trade         | 29 000                  |                        | 08/14/07                       | 04/21/09     | 850 06      | 1,009 20               | -159 14    |         | Y                 |
|                                               | Trade         | 9 000                   |                        | 08/14/07                       | 12/11/09     | 395 99      | 313 20                 | 82 79      |         | Y                 |
|                                               | Trade         | 13 000                  |                        | 10/08/08                       | 12/11/09     | 571 98      | 320 74                 | 251 24     |         | Y                 |
| Total Long-Term Gain/Loss                     |               |                         |                        |                                |              | 117,807.68  | 155,551.89             | -37,744.21 |         |                   |



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UBS Financial Services Inc.

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### Other Income Details Not Reported to the Internal Revenue Service - continued

The items in this section are provided to assist you with your tax return preparation. You should discuss with your tax preparer or tax advisor the appropriate tax treatment of these fees and expenses.  
 \* Applicable to Tax-exempt Original Issue Discount information only

| Activity                                       | Description | Cusip number | * Days held | * Quantity/<br>Face amount | Payment Date | Tax year acquisition premium | * Amortized | Amount             |
|------------------------------------------------|-------------|--------------|-------------|----------------------------|--------------|------------------------------|-------------|--------------------|
| <b>Total Program Fees and Related Services</b> |             |              |             |                            |              |                              |             | <b>\$ 8,409.11</b> |

### 2009 Realized Gain/Loss Summary (Includes sale proceeds not reported on Form 1099-B)

This Realized Gain/Loss Summary is not a tax reporting document and has not been submitted to the IRS. If your sale amount matches the amount on Form 1099-B, which is reported to the IRS, it is marked as such. Please rely on the confirmations previously provided to you as your official activity record.

Estimated 2009 Gain/Loss for transactions with trade dates through 12/31/09 has been incorporated into this statement. Realized gain/loss is based on the sales amount less the cost basis. Please note that gain or loss recognized on the sale or redemption of certain Structured Products may be ordinary, and not capital, gain or loss. Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products. Note that the Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. An asterisk (\*) indicates a UBS Financial Services adjustment to cost basis. The number "1" indicates cost basis information has been provided by a source other than UBS Financial Services. Gain/Loss may not have been adjusted for all capital changes. Gain/Loss values that may be subject to Wash Sale provisions are not indicated here. "Earnings" in the Purchase Date column indicates the position sold was acquired on various dates through dividend reinvestment and that the Gain/Loss has been aggregated.

Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for Market Discount, Acquisition Premium, or Bond Premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amount because the reporting requirements are different. Gain/Loss from short sale closings are reported as short-term regardless of the holding period of property used to close the short position. Clients should consult their tax advisors as to whether exceptions may apply in their particular case to change this classification. The potential application of the "Constructive Sale" provisions (Sec 1259) for short-against-the box transactions is not considered. Clients should discuss the possible application of these provisions with their tax advisor.

|                      | Quantity/<br>Face value | Purchase date        | Date Sold           | Sale Amount           | Cost or Other Basis   | Gain/Loss | Remarks | Matches 1099-B |
|----------------------|-------------------------|----------------------|---------------------|-----------------------|-----------------------|-----------|---------|----------------|
| Short-term Gain/Loss | \$ 130,700.91           | \$ 114,604.74        | \$ 22,338.89        | \$ -38,435.06         | \$ -16,096.17         |           |         |                |
| Long-term Gain/Loss  | 179,836.29              | 95,316.09            | 5,961.38            | 90,481.58             | -84,520.20            |           |         |                |
| <b>Sub Total:</b>    | <b>\$ 310,537.20</b>    | <b>\$ 209,920.83</b> | <b>\$ 28,300.27</b> | <b>\$ -128,916.64</b> | <b>\$ -100,616.37</b> |           |         |                |
| <b>Total:</b>        | <b>\$ 310,537.20</b>    | <b>\$ 209,920.83</b> | <b>\$ 28,300.27</b> | <b>\$ -128,916.64</b> | <b>\$ -100,616.37</b> |           |         |                |

### Short-Term Gain/Loss

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B.

| Security Description | Activity Type | Quantity/<br>Face value | Original Cost Basis | Purchase date | Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|----------------------|---------------|-------------------------|---------------------|---------------|---------------|-----------|-------------|---------------------|-----------|---------|----------------|
| ALCOA INC            | Trade         | 35,000                  |                     | 10/13/08      | 02/06/09      |           | 298.16      | 471.10              | -172.94   |         | Y              |
|                      | Trade         | 135,000                 |                     | 10/13/08      | 02/17/09      |           | 946.77      | 1,817.10            | -870.33   |         | Y              |
|                      | Trade         | 120,000                 |                     | 01/22/09      | 02/17/09      |           | 841.58      | 992.14              | -150.56   |         | Y              |

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## Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| BANK OF AMER CORP     | Trade         | 65 000                  |                        | 10/13/08                       | 01/23/09     | 362 05      | 1,478 10               | -1,116 05 |         | Y                 |
|                       | Trade         | 80 000                  |                        | 10/13/08                       | 01/28/09     | 594 66      | 1,819 20               | -1,224 54 |         | Y                 |
|                       | Trade         | 150 000                 |                        | 12/11/08                       | 01/28/09     | 1,114 99    | 2,366 87               | -1,251 88 |         | Y                 |
|                       | Trade         | 595 000                 |                        | 01/22/09                       | 01/28/09     | 4,422 78    | 3,408 28               | 1,014 50  |         | Y                 |
|                       | Trade         | 475 000                 |                        | 01/22/09                       | 02/04/09     | 2,435 88    | 2,720 90               | -285 02   |         | Y                 |
| CAREFUSION CORP       | Trade         | 86 000                  |                        | 12/10/08                       | 09/11/09     | 1,674 43    | 1,516 90               | 157 53    |         | Y                 |
|                       | Trade         | 10 000                  |                        | 01/20/09                       | 09/11/09     | 194 70      | 209 45                 | -14 75    |         | Y                 |
|                       | Trade         | 27 000                  |                        | 01/22/09                       | 09/11/09     | 525 69      | 549 40                 | -23 71    |         | Y                 |
|                       | Trade         | 62 000                  |                        | 01/28/09                       | 09/11/09     | 1,207 15    | 1,332 46               | -125 31   |         | Y                 |
| CBL & ASSOC PPTYS INC | Trade         | 130 000                 |                        | 03/19/08                       | 01/26/09     | 605 77      | 3,141 26               | -2,535 49 |         | Y                 |
|                       | Trade         | 40 000                  |                        | 03/20/08                       | 01/26/09     | 186 39      | 1,001 03               | -814 64   |         | Y                 |
|                       | Trade         | 165 000                 |                        | 03/24/08                       | 01/26/09     | 768 86      | 4,352 50               | -3,583 64 |         | Y                 |
|                       | Trade         | 230 000                 |                        | 03/25/08                       | 01/26/09     | 1,071 75    | 6,036 10               | -4,964 35 |         | Y                 |
|                       | Trade         | 55 000                  |                        | 03/26/08                       | 01/26/09     | 256 29      | 1,446 78               | -1,190 49 |         | Y                 |
|                       | Trade         | 5 000                   |                        | 03/27/08                       | 01/26/09     | 23 30       | 125 30                 | -102 00   |         | Y                 |
|                       | Trade         | 100 000                 |                        | 10/13/08                       | 01/26/09     | 465 98      | 1,151 00               | -685 02   |         | Y                 |
|                       | Trade         | 585 000                 |                        | 01/22/09                       | 01/26/09     | 2,725 97    | 2,883 76               | -157 79   |         | Y                 |
|                       | Trade         | 565 000                 |                        | 12/11/08                       | 12/11/09     | 7,928 15    | 4,395 30               | 3,532 85  |         | Y                 |
| DOW CHEMICAL          | Trade         | 25 000                  |                        | 10/13/08                       | 02/24/09     | 183 73      | 635 25                 | -451 52   |         | Y                 |
|                       | Trade         | 145 000                 |                        | 01/22/09                       | 02/24/09     | 1,065 62    | 2,073 36               | -1,007 74 |         | Y                 |
|                       | Trade         | 320 000                 |                        | 01/22/09                       | 03/02/09     | 2,368 78    | 4,575 68               | -2,206 90 |         | Y                 |
| GENL ELECTRIC CO      | Trade         | 560 000                 |                        | 01/22/09                       | 04/08/09     | 5,944 08    | 7,413 78               | -1,469 70 |         | Y                 |
| LINCOLN NATL CORP IND | Trade         | 135 000                 |                        | 10/13/08                       | 04/21/09     | 1,346 63    | 3,343 52               | -1,996 89 |         | Y                 |
|                       | Trade         | 210 000                 |                        | 12/12/08                       | 04/21/09     | 2,094 76    | 3,681 34               | -1,586 58 |         | Y                 |
|                       | Trade         | 230 000                 |                        | 01/22/09                       | 04/21/09     | 2,294 26    | 3,456 90               | -1,162 64 |         | Y                 |
| MANPOWER INC WIS      | Trade         | 160 000                 |                        | 01/22/09                       | 11/16/09     | 8,073 39    | 4,757 92               | 3,315 47  |         | Y                 |
| MICROSOFT CORP        | Trade         | 200 000                 |                        | 01/27/09                       | 12/11/09     | 5,976 34    | 3,542 12               | 2,434 22  |         | Y                 |
| PEPSIAMERICAS INC NEW | Trade         | 295 000                 |                        | 04/08/09                       | 08/11/09     | 8,237 25    | 5,543 02               | 2,694 23  |         | Y                 |
|                       | Trade         | 55 000                  |                        | 04/09/09                       | 08/11/09     | 1,535 76    | 1,065 41               | 470 35    |         | Y                 |

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Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|---------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| PEPSIAMERICAS INC NEW           | Trade         | 120 000                 |                        | 04/13/09                       | 08/11/09     | 3,350 74    | 2,388 52               | 962 22     |         | Y                 |
|                                 | Trade         | 215 000                 |                        | 04/13/09                       | 08/12/09     | 6,003 41    | 4,279 42               | 1,723 99   |         | Y                 |
| PNC FINANCIAL SERVICES<br>GROUP | Trade         | 80 000                  |                        | 01/13/09                       | 08/25/09     | 3,339 59    | 3,625 84               | -286 25    |         | Y                 |
|                                 | Trade         | 120 000                 |                        | 01/20/09                       | 08/25/09     | 5,009 39    | 3,037 04               | 1,972 35   |         | Y                 |
|                                 | Trade         | 110 000                 |                        | 01/22/09                       | 08/25/09     | 4,591 94    | 3,290 10               | 1,301 84   |         | Y                 |
|                                 | Trade         | 150 000                 |                        | 01/27/09                       | 08/25/09     | 6,261 74    | 4,784 93               | 1,476 81   |         | Y                 |
| REGAL BELOIT CORP               | Trade         | 25 000                  |                        | 10/13/08                       | 08/14/09     | 1,133 17    | 843 75                 | 289 42     |         | Y                 |
|                                 | Trade         | 90 000                  |                        | 01/22/09                       | 08/14/09     | 4,079 40    | 3,105 09               | 974 31     |         | Y                 |
| WHIRLPOOL CORP                  | Trade         | 50 000                  |                        | 05/12/08                       | 04/02/09     | 1,699 36    | 3,657 47               | -1,958 11  |         | Y                 |
|                                 | Trade         | 10 000                  |                        | 05/12/08                       | 04/07/09     | 325 50      | 731 49                 | -405 99    |         | Y                 |
|                                 | Trade         | 55 000                  |                        | 05/13/08                       | 04/07/09     | 1,790 25    | 4,156 80               | -2,366 55  |         | Y                 |
|                                 | Trade         | 60 000                  |                        | 06/13/08                       | 04/07/09     | 1,953 00    | 4,045 43               | -2,092 43  |         | Y                 |
|                                 | Trade         | 5 000                   |                        | 06/13/08                       | 04/16/09     | 175 62      | 337 12                 | -161 50    |         | Y                 |
|                                 | Trade         | 60 000                  |                        | 06/16/08                       | 04/16/09     | 2,107 46    | 4,085 17               | -1,977 71  |         | Y                 |
|                                 | Trade         | 45 000                  |                        | 01/22/09                       | 04/16/09     | 1,580 59    | 1,616 63               | -36 04     |         | Y                 |
|                                 | Trade         | 95 000                  |                        | 01/22/09                       | 04/23/09     | 3,431 68    | 3,412 88               | 18 80      |         | Y                 |
| Total Short-Term Gain/Loss      |               |                         |                        |                                |              | 114,604.74  | 130,700.91             | -16,096.17 |         |                   |

Long-Term Gain/Loss

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|----------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| ALCOA INC            | Trade         | 75 000                  |                        | 08/21/07                       | 01/20/09     | 650 56      | 2,600 96               | -1,950 40  |         | Y                 |
|                      | Trade         | 140 000                 |                        | 08/21/07                       | 01/29/09     | 1,168 26    | 4,855 13               | -3,686 87  |         | Y                 |
|                      | Trade         | 160 000                 |                        | 08/21/07                       | 02/06/09     | 1,363 04    | 5,548 72               | -4,185 68  |         | Y                 |
| BANK OF AMER CORP    | Trade         | 345 000                 |                        | 08/21/07                       | 01/23/09     | 1,921 63    | 17,726 10              | -15,804 47 |         | Y                 |
| BIOVAIL CORP         | Trade         | 530 000                 |                        | 08/21/07                       | 02/11/09     | 6,195 02    | 9,084 94               | -2,889 92  |         | Y                 |
| CIMAREX ENERGY CO    | Trade         | 205 000                 |                        | 08/21/07                       | 12/11/09     | 9,762 35    | 7,095 21               | 2,667 14   |         | Y                 |
| CRANE CO             | Trade         | 160 000                 |                        | 08/28/08                       | 12/11/09     | 4,796 51    | 5,957 52               | -1,161 01  |         | Y                 |

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Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description         | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| DONNELLEY (R R) & SONS<br>CO | Trade         | 515 000                 |                        | 08/21/07                       | 12/11/09     | 11,274 61   | 18,061 82              | -6,787 21  |         | Y                 |
| DOW CHEMICAL                 | Trade         | 350 000                 |                        | 08/21/07                       | 02/17/09     | 3,160 38    | 14,609 42              | -11,449 04 |         | Y                 |
|                              | Trade         | 100 000                 |                        | 08/21/07                       | 02/24/09     | 734 91      | 4,174 12               | -3,439 21  |         | Y                 |
| GENL ELECTRIC CO             | Trade         | 50 000                  |                        | 08/21/07                       | 04/08/09     | 530 72      | 1,926 50               | -1,395 78  |         | Y                 |
|                              | Trade         | 475 000                 |                        | 08/21/07                       | 04/08/09     | 5,048 31    | 18,301 75              | -13,253 44 |         | Y                 |
| HARLEY DAVIDSON INC          | Trade         | 260 000                 |                        | 08/21/07                       | 12/11/09     | 7,204 80    | 14,739 06              | -7,534 26  |         | Y                 |
|                              | Trade         | 80 000                  |                        | 08/08/08                       | 12/11/09     | 2,216 86    | 3,280 92               | -1,064 06  |         | Y                 |
| LINCOLN NATL CORP IND        | Trade         | 155 000                 |                        | 08/21/07                       | 04/21/09     | 1,422 58    | 9,100 78               | -7,678 20  |         | Y                 |
|                              | Trade         | 145 000                 |                        | 08/21/07                       | 04/21/09     | 1,446 38    | 8,513 63               | -7,067 25  |         | Y                 |
| MANPOWER INC WIS             | Trade         | 115 000                 |                        | 07/30/08                       | 11/13/09     | 5,757 00    | 5,592 94               | 164 06     |         | Y                 |
|                              | Trade         | 150 000                 |                        | 08/08/08                       | 11/13/09     | 7,509 13    | 7,811 09               | -301 96    |         | Y                 |
|                              | Trade         | 15 000                  |                        | 08/08/08                       | 11/16/09     | 756 88      | 781 11                 | -24 23     |         | Y                 |
|                              | Trade         | 20 000                  |                        | 10/13/08                       | 11/16/09     | 1,009 17    | 680 00                 | 329 17     |         | Y                 |
| NEXEN INC                    | Trade         | 195 000                 |                        | 09/24/08                       | 12/11/09     | 4,339 22    | 5,147 81               | -808 59    |         | Y                 |
| REGAL BELOIT CORP            | Trade         | 5 000                   |                        | 02/13/08                       | 08/12/09     | 237 87      | 188 38                 | 49 49      |         | Y                 |
|                              | Trade         | 55 000                  |                        | 02/15/08                       | 08/12/09     | 2,616 54    | 2,044 18               | 572 36     |         | Y                 |
|                              | Trade         | 95 000                  |                        | 02/15/08                       | 08/13/09     | 4,418 57    | 3,530 86               | 887 71     |         | Y                 |
|                              | Trade         | 135 000                 |                        | 02/19/08                       | 08/13/09     | 6,279 03    | 5,125 03               | 1,154 00   |         | Y                 |
|                              | Trade         | 5 000                   |                        | 02/19/08                       | 08/14/09     | 226 63      | 189 82                 | 36 81      |         | Y                 |
| UGI CORP NEW                 | Trade         | 125 000                 |                        | 08/21/07                       | 02/11/09     | 3,269 13    | 3,168 49               | 100 64     |         | Y                 |
| Total Long-Term Gain/Loss    |               |                         |                        |                                |              | 95,316.09   | 179,836.29             | -84,520.20 |         |                   |

Account Number BL 09925 50  
Your Financial Advisor or Contact  
BL-50 PARHAM/ARROWOOD  
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UBS Financial Services Inc.

## 2009 Consolidated Form 1099

P08L249184-X1

### 2009 Realized Gain/Loss Summary

(Includes sale proceeds not reported on Form 1099-B)

This Realized Gain/Loss Summary is not a tax reporting document and has not been submitted to the IRS. If your sale amount matches the amount on Form 1099-B, which is reported to the IRS, it is marked as such. Please rely on the confirmations previously provided to you as your official activity record.

Estimated 2009 Gain/Loss for transactions with trade dates through 12/31/09 has been incorporated into this statement. Realized gain/loss is based on the sales amount less the cost basis. Please note that gain or loss recognized on the sale or redemption of certain Structured Products may be ordinary, and not capital, gain or loss. Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products. Note that the Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. An asterisk (\*) indicates a UBS Financial Services adjustment to cost basis. The number "1" indicates cost basis information has been provided by a source other than UBS Financial Services. Gain/Loss may not have been adjusted for all capital changes. Gain/Loss values that may be subject to Wash Sale provisions are not indicated here. "Earnings" in the Purchase Date column indicates the position sold was acquired on various dates through dividend reinvestment and that the Gain/Loss has been aggregated.

Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for Market Discount, Acquisition Premium, or Bond Premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amount because the reporting requirements are different.

Gain/Loss from short sale closings are reported as short-term regardless of the holding period of property used to close the short position. Clients should consult their tax advisors as to whether exceptions may apply in their particular case to change this classification. The potential application of the "Constructive Sale" provisions (Sec 1259) for short-against-the box transactions is not considered. Clients should discuss the possible application of these provisions with their tax advisor.

|                      | Purchase      | Sale          | Gains        | Losses        | Net           |
|----------------------|---------------|---------------|--------------|---------------|---------------|
|                      |               |               |              |               | Gain/Loss     |
| Short-term Gain/Loss | \$ 46,128.15  | \$ 15,156.84  | \$ 938.12    | \$ -31,909.43 | \$ -30,971.31 |
| Long-term Gain/Loss  | 147,481.90    | 148,950.11    | 20,369.50    | -18,901.29    | 1,468.21      |
| Sub Total            | \$ 193,610.05 | \$ 164,106.95 | \$ 21,307.62 | \$ -50,810.72 | \$ -29,503.10 |
| Total:               | \$ 193,610.05 | \$ 164,106.95 | \$ 21,307.62 | \$ -50,810.72 | \$ -29,503.10 |

### Short-Term Gain/Loss

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B.

| Security Description            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|---------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| AFLAC INC                       | Trade         | 289 000                 |                        | 02/13/08                       | 01/26/09     | 5,908.10    | 17,773.41              | -11,865.31 |         | Y                 |
| CENTL EUROPEAN DISTR<br>CORP    | Trade         | 201 000                 |                        | 03/05/08                       | 03/03/09     | 1,383.55    | 10,458.55              | -9,075.00  |         | Y                 |
| COGNIZANT TECH SOLUTIONS<br>CRP | Trade         | 11 000                  |                        | 10/07/09                       | 12/11/09     | 482.11      | 431.27                 | 50.84      |         | Y                 |
| EXPRESS SCRIPTS INC             | Trade         | 21 000                  |                        | 07/16/09                       | 12/11/09     | 1,845.64    | 1,395.29               | 450.35     |         | Y                 |
| INTL BUSINESS MACH              | Trade         | 10 000                  |                        | 01/22/09                       | 12/11/09     | 1,290.62    | 891.45                 | 399.17     |         | Y                 |

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**Short-Term Gain/Loss - continued**

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount      | Cost or Other<br>Basis | Gain/Loss         | Remarks | Matches<br>1099-B |
|-----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|------------------|------------------------|-------------------|---------|-------------------|
| KANSAS CITY STHN NEW              | Trade         | 265 000                 |                        | 07/31/08                       | 03/24/09     | 3,607 76         | 14,576 88              | -10,969 12        |         | Y                 |
| O REILLY AUTOMOTIVE INC           | Trade         | 17 000                  |                        | 06/16/09                       | 12/11/09     | 639 06           | 601 30                 | 37 76             |         | Y                 |
| <b>Total Short-Term Gain/Loss</b> |               |                         |                        |                                |              | <b>15,156.84</b> | <b>46,128.15</b>       | <b>-30,971.31</b> |         |                   |

**Long-Term Gain/Loss**

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| ABBOTT LABS                      | Trade         | 26 000                  |                        | 07/25/07                       | 01/28/09     | 1,416 73    | 1,362 40               | 54 33     |         | Y                 |
|                                  | Trade         | 28 000                  |                        | 07/25/07                       | 12/11/09     | 1,508 88    | 1,467 20               | 41 68     |         | Y                 |
| ADOBE SYSTEMS INC<br>(DELAWARE)  | Trade         | 14 000                  |                        | 02/22/07                       | 01/28/09     | 287 30      | 569 45                 | -282 15   | 1       | Y                 |
|                                  | Trade         | 19 000                  |                        | 02/22/07                       | 12/11/09     | 669 92      | 772 82                 | -102 90   | 1       | Y                 |
| AFFILIATED MANAGERS<br>GROUP     | Trade         | 2 000                   |                        | 04/10/07                       | 12/11/09     | 128 99      | 223 85                 | -94 86    | 1       | Y                 |
| AIRGAS INC                       | Trade         | 14 000                  |                        | 11/21/07                       | 01/28/09     | 526 25      | 654 13                 | -127 88   |         | Y                 |
|                                  | Trade         | 13 000                  |                        | 11/21/07                       | 12/11/09     | 617 22      | 607 41                 | 9 81      |         | Y                 |
| ALLERGAN INC                     | Trade         | 29 000                  |                        | 09/26/07                       | 12/11/09     | 1,761 12    | 1,841 24               | -80 12    |         | Y                 |
| ALLIANCE DATA SYSTEMS<br>CORP    | Trade         | 47 000                  |                        | 06/20/08                       | 12/11/09     | 2,996 31    | 2,859 58               | 136 73    |         | Y                 |
| ANSYS INC                        | Trade         | 54 000                  |                        | 09/27/06                       | 12/11/09     | 2,176 14    | 1,240 57               | 935 57    | 1       | Y                 |
| APPLE INC                        | Trade         | 12 000                  |                        | 01/22/07                       | 12/11/09     | 2,333 94    | 1,033 18               | 1,300 76  | 1       | Y                 |
| CATALYST HEALTH<br>SOLUTIONS INC | Trade         | 21 000                  |                        | 08/01/08                       | 12/11/09     | 741 91      | 656 37                 | 85 54     |         | Y                 |
| CELGENE CORP                     | Trade         | 14 000                  |                        | 08/13/07                       | 01/28/09     | 732 28      | 843 35                 | -111 07   |         | Y                 |
|                                  | Trade         | 7 000                   |                        | 08/13/07                       | 12/11/09     | 370 15      | 421 68                 | -51 53    |         | Y                 |

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Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase Date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches -<br>1099-B |
|----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------------------|
| CHURCH & DWIGHT CO INC                 | Trade         | 21 000                  |                        | 10/17/06                       | 01/28/09     | 1,149 11    | 827 15                 | 321 96    | 1       | Y                   |
|                                        | Trade         | 29 000                  |                        | 10/17/06                       | 12/11/09     | 1,759 96    | 1,142 26               | 617 70    | 1       | Y                   |
| CISCO SYSTEMS INC                      | Trade         | 61 000                  |                        | 06/30/06                       | 01/28/09     | 1,035 90    | 1,202 19               | -166 29   | 1       | Y                   |
|                                        | Trade         | 62 000                  |                        | 06/30/06                       | 12/11/09     | 1,472 65    | 1,221 90               | 250 75    | 1       | Y                   |
|                                        | Trade         | 98 000                  |                        | 06/30/06                       | 12/18/09     | 2,283 70    | 1,931 38               | 352 32    | 1       | Y                   |
|                                        | Trade         | 186 000                 |                        | 07/05/06                       | 12/18/09     | 4,334 37    | 3,656 76               | 677 61    | 1       | Y                   |
| DANAHER CORP                           | Trade         | 30 000                  |                        | 06/30/06                       | 12/11/09     | 2,161 74    | 1,932 00               | 229 74    | 1       | Y                   |
| DENBURY RESOURCES INC<br>NEW           | Trade         | 415 000                 |                        | 06/25/08                       | 07/09/09     | 5,488 85    | 14,627 26              | -9,138 41 |         | Y                   |
| ECOLAB INC                             | Trade         | 23 000                  |                        | 10/17/06                       | 12/11/09     | 1,038 72    | 1,025 07               | 13 65     | 1       | Y                   |
| GAMESTOP CORP NEW<br>(HOLDING CO) CL A | Trade         | 317 000                 |                        | 11/17/06                       | 07/16/09     | 6,696 83    | 8,230 23               | -1,533 40 | 1       | Y                   |
| GENENTECH INC **MERGER<br>EFF 3/2009** | Trade         | 9 000                   |                        | 07/05/06                       | 01/28/09     | 755 09      | 758 16                 | -3 07     | 1       | Y                   |
|                                        | Tender        | 100 000                 |                        | 07/05/06                       | 03/26/09     | 9,500 00    | 8,424 00               | 1,076 00  | 1       | Y                   |
|                                        | Tender        | 58 000                  |                        | 07/31/06                       | 03/26/09     | 5,510 00    | 4,643 48               | 866 52    | 1       | Y                   |
|                                        | Tender        | 33 000                  |                        | 09/19/06                       | 03/26/09     | 3,135 00    | 2,606 34               | 528 66    | 1       | Y                   |
| GILEAD SCIENCES INC                    | Trade         | 28 000                  |                        | 12/26/07                       | 12/11/09     | 1,298 60    | 1,317 53               | -18 93    |         | Y                   |
| GOOGLE INC CL A                        | Trade         | 2 000                   |                        | 06/30/06                       | 12/11/09     | 1,179 16    | 834 82                 | 344 34    | 1       | Y                   |
| HEWLETT PACKARD CO                     | Trade         | 26 000                  |                        | 11/27/07                       | 01/28/09     | 953 73      | 1,263 51               | -309 78   |         | Y                   |
|                                        | Trade         | 24 000                  |                        | 11/27/07                       | 12/11/09     | 1,200 44    | 1,166 32               | 34 12     |         | Y                   |
| HITTITE MICROWAVE CORP                 | Trade         | 23 000                  |                        | 12/26/07                       | 12/11/09     | 886 62      | 1,071 37               | -184 75   |         | Y                   |
| IDEX CORP                              | Trade         | 38 000                  |                        | 06/30/06                       | 01/28/09     | 913 89      | 1,190 32               | -276 43   | 1       | Y                   |
|                                        | Trade         | 27 000                  |                        | 06/30/06                       | 12/11/09     | 833 73      | 845 75                 | -12 02    | 1       | Y                   |
| INTERCONTINENTALEXCHANGE<br>INC        | Trade         | 2 000                   |                        | 03/15/07                       | 12/11/09     | 218 05      | 259 78                 | -41 73    | 1       | Y                   |

# UBS Financial Services Inc.

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Account Number BL 09925 50  
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P08L249187-X1

### Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                     | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| JOHNSON CONTROLS INC                     | Trade         | 28 000                  |                        | 11/02/07                       | 01/28/09     | 379 39      | 1,196 00               | -816 61   |         | Y                 |
|                                          | Trade         | 11 000                  |                        | 11/02/07                       | 12/11/09     | 295 12      | 469 86                 | -174 74   |         | Y                 |
| KROGER COMPANY                           | Trade         | 33 000                  |                        | 12/04/08                       | 12/11/09     | 661 30      | 890 95                 | -229 65   |         | Y                 |
|                                          | Trade         | 408 000                 |                        | 12/04/08                       | 12/18/09     | 8,194 79    | 11,015 35              | -2,820 56 |         | Y                 |
| MICROSOFT CORP                           | Trade         | 39 000                  |                        | 12/19/03                       | 12/11/09     | 1,163 73    | 1,112 86               | 50 87     | 1       | Y                 |
| MONSANTO CO NEW                          | Trade         | 4 000                   |                        | 07/29/08                       | 12/11/09     | 333 19      | 459 73                 | -126 54   |         | Y                 |
| PEPSICO INC                              | Trade         | 20 000                  |                        | 06/30/06                       | 12/11/09     | 1,235 76    | 1,206 60               | 29 16     | 1       | Y                 |
| PETROHAWK ENERGY CORP                    | Trade         | 25 000                  |                        | 08/12/08                       | 12/11/09     | 556 23      | 677 30                 | -121 07   |         | Y                 |
| PRECISION CASTPARTS CORP                 | Trade         | 20 000                  |                        | 11/01/06                       | 12/11/09     | 2,242 74    | 1,364 04               | 878 70    | 1       | Y                 |
| PROCTER & GAMBLE CO                      | Trade         | 26 000                  |                        | 06/30/06                       | 12/11/09     | 1,628 07    | 1,470 04               | 158 03    | 1       | Y                 |
| QUALCOMM INC                             | Trade         | 39 000                  |                        | 06/30/06                       | 01/28/09     | 1,440 35    | 1,561 87               | -121 52   | 1       | Y                 |
|                                          | Trade         | 41 000                  |                        | 06/30/06                       | 12/11/09     | 1,855 61    | 1,641 97               | 213 64    | 1       | Y                 |
| QUANTA SERVICES INC                      | Trade         | 75 000                  |                        | 10/22/08                       | 12/11/09     | 1,412 21    | 1,513 30               | -101 09   |         | Y                 |
| RAYTHEON CO NEW                          | Trade         | 30 000                  |                        | 02/28/08                       | 12/11/09     | 1,583 95    | 1,991 95               | -408 00   |         | Y                 |
| RESMED INC                               | Trade         | 46 000                  |                        | 10/15/08                       | 12/11/09     | 2,429 65    | 1,649 39               | 780 26    |         | Y                 |
| SAP AG SPON ADR                          | Trade         | 21 000                  |                        | 08/22/08                       | 12/11/09     | 939 57      | 1,176 60               | -237 03   |         | Y                 |
| SCHEIN HENRY INC                         | Trade         | 22 000                  |                        | 10/17/06                       | 12/11/09     | 1,110 09    | 1,122 15               | -12 06    | 1       | Y                 |
|                                          | Trade         | 236 000                 |                        | 10/17/06                       | 12/21/09     | 12,268 73   | 12,037 60              | 231 13    | 1       | Y                 |
| SCHLUMBERGER LTD<br>NETHERLANDS ANTILLES | Trade         | 23 000                  |                        | 11/20/07                       | 12/11/09     | 1,406 18    | 2,122 42               | -716 24   |         | Y                 |
| SCHWAB CHARLES CORP NEW                  | Trade         | 29 000                  |                        | 11/17/06                       | 12/11/09     | 533 29      | 538 76                 | -5 47     | 1       | Y                 |
| SOWSTN ENERGY CO                         | Trade         | 73 000                  |                        | 06/30/06                       | 07/31/09     | 3,018 24    | 1,136 61               | 1,881 63  | 1       | Y                 |

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Account Number BL 09925 50  
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BL-50 PARHAM/ARROWOOD  
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UBS Financial Services Inc.

2009 Consolidated Form 1099

P08L249188-X1

Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches -<br>1099-B |
|---------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------------------|
| SOWSTN ENERGY CO                | Trade         | 204 000                 |                        | 07/05/06                       | 07/31/09     | 8,434 52    | 3,154 86               | 5,279 66  | 1       | Y                   |
|                                 | Trade         | 24 000                  |                        | 07/05/06                       | 12/11/09     | 998 99      | 371.16                 | 627 83    | 1       | Y                   |
| STAPLES INC                     | Trade         | 49 000                  |                        | 06/30/06                       | 12/11/09     | 1,187 72    | 1,196 97               | -9 25     | 1       | Y                   |
| STERICYCLE INC                  | Trade         | 13 000                  |                        | 07/05/06                       | 12/11/09     | 745 05      | 429 57                 | 315 48    | 1       | Y                   |
| TARGET CORP                     | Trade         | 44 000                  |                        | 06/30/06                       | 12/11/09     | 2,047 70    | 2,152 42               | -104 72   | 1       | Y                   |
| TEXAS INSTRUMENTS               | Trade         | 12 000                  |                        | 07/30/03                       | 12/11/09     | 306 83      | 226 80                 | 80 03     | 1       | Y                   |
|                                 | Trade         | 57 000                  |                        | 11/28/05                       | 12/11/09     | 1,457 45    | 1,818 87               | -361 42   | 1       | Y                   |
| THERMO FISHER SCIENTIFIC<br>INC | Trade         | 16 000                  |                        | 10/17/06                       | 12/11/09     | 771 98      | 659.70                 | 112 28    | 1       | Y                   |
| VISA INC CL A                   | Trade         | 12 000                  |                        | 07/30/08                       | 12/11/09     | 984 57      | 930.97                 | 53 60     |         | Y                   |
| WASTE CONNECTIONS INC           | Trade         | 32 000                  |                        | 06/30/06                       | 01/28/09     | 958 71      | 774 04                 | 184 67    | 1       | Y                   |
|                                 | Trade         | 32 000                  |                        | 06/30/06                       | 12/11/09     | 1,068 32    | 774 04                 | 294 28    | 1       | Y                   |
| XTO ENERGY INC                  | Trade         | 113 000                 |                        | 11/28/05                       | 07/17/09     | 4,312 35    | 3,714 60               | 597 75    | 1       | Y                   |
|                                 | Trade         | 160 000                 |                        | 07/05/06                       | 07/17/09     | 6,105 98    | 5,686 87               | 419 11    | 1       | Y                   |
|                                 | Trade         | 77 000                  |                        | 07/31/06                       | 07/17/09     | 2,938 51    | 2,904 70               | 33 81     | 1       | Y                   |
|                                 | Trade         | 49 000                  |                        | 09/19/06                       | 07/17/09     | 1,869 96    | 1,600 17               | 269 79    | 1       | Y                   |
| Total Long-Term Gain/Loss       |               |                         |                        |                                |              | 148,950.11  | 147,481.90             | 1,468.21  |         |                     |

Account Number BL 09901 50  
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UBS Financial Services Inc.

## 2009 Consolidated Form 1099

P08L249145-X1

### 2009 Realized Gain/Loss Summary (Includes sale proceeds not reported on Form 1099-B)

This Realized Gain/Loss Summary is not a tax reporting document and has not been submitted to the IRS. If your sale amount matches the amount on Form 1099-B, which is reported to the IRS, it is marked as such. Please rely on the confirmations previously provided to you as your official activity record.

Estimated 2009 Gain/Loss for transactions with trade dates through 12/31/09 has been incorporated into this statement. Realized gain/loss is based on the sales amount less the cost basis. Please note that gain or loss recognized on the sale or redemption of certain Structured Products may be ordinary, and not capital, gain or loss. Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products. Note that the Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. An asterisk (\*) indicates a UBS Financial Services adjustment to cost basis. The number "1" indicates cost basis information has been provided by a source other than UBS Financial Services. Gain/Loss may not have been adjusted for all capital changes. Gain/Loss values that may be subject to Wash Sale provisions are not indicated here. "Earnings" in the Purchase Date column indicates the position sold was acquired on various dates through dividend reinvestment and that the Gain/Loss has been aggregated.

Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for Market Discount, Acquisition Premium, or Bond Premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amount because the reporting requirements are different. Gain/Loss from short sale closings are reported as short-term regardless of the holding period of property used to close the short position. Clients should consult their tax advisors as to whether exceptions may apply in their particular case to change this classification. The potential application of the "Constructive Sale" provisions (Sec 1259) for short-against-the-box transactions is not considered. Clients should discuss the possible application of these provisions with their tax advisor.

|                      | Purchase             | Sale                 | Gains               | Losses               | Net<br>Gain/Loss     |
|----------------------|----------------------|----------------------|---------------------|----------------------|----------------------|
| Short-term Gain/Loss | \$ 172,050.71        | \$ 169,550.15        | \$ 10,817.76        | \$ -13,318.34        | \$ -2,500.56         |
| Long-term Gain/Loss  | 447,813.79           | 399,418.21           | 11,489.84           | -59,885.42           | -48,395.58           |
| <b>Sub Total</b>     | <b>\$ 619,864.50</b> | <b>\$ 568,968.36</b> | <b>\$ 22,307.62</b> | <b>\$ -73,203.76</b> | <b>\$ -50,896.14</b> |
| <b>Total</b>         | <b>\$ 619,864.50</b> | <b>\$ 568,968.36</b> | <b>\$ 22,307.62</b> | <b>\$ -73,203.76</b> | <b>\$ -50,896.14</b> |

### Short-Term Gain/Loss

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| ABBOTT LABS             | Trade         | 450,000                 |                        | 09/15/08                       | 09/11/09     | 21,008.31   | 26,660.62              | -5,652.31 |         | Y                 |
|                         | Trade         | 30,000                  |                        | 10/22/08                       | 09/11/09     | 1,400.55    | 1,611.60               | -211.05   |         | Y                 |
|                         | Trade         | 60,000                  |                        | 04/20/09                       | 09/11/09     | 2,801.11    | 2,650.20               | 150.91    |         | Y                 |
| APPLE INC               | Trade         | 50,000                  |                        | 10/07/08                       | 04/09/09     | 5,974.52    | 5,010.96               | 963.56    |         | Y                 |
|                         | Trade         | 20,000                  |                        | 10/07/08                       | 07/21/09     | 3,011.92    | 2,004.38               | 1,007.54  |         | Y                 |
|                         | Trade         | 20,000                  |                        | 10/07/08                       | 07/30/09     | 3,273.12    | 2,004.38               | 1,268.74  |         | Y                 |
| AT&T INC                | Trade         | 40,000                  |                        | 10/22/08                       | 09/23/09     | 1,096.78    | 962.64                 | 134.14    |         | Y                 |
| BRISTOL MYERS SQUIBB CO | Trade         | 750,000                 |                        | 12/17/08                       | 07/07/09     | 14,864.81   | 17,003.52              | -2,138.71 |         | Y                 |

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UBS Financial Services Inc.

## 2009 Consolidated Form 1099

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### Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase Date | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------|---------------|-------------------------|------------------------|---------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| C H ROBINSON WORLDWIDE<br>INC NEW | Trade         | 140 000                 |                        | 10/07/08      | 09/11/09     | 8,175 92    | 6,369 95               | 1,805 97  |         | Y                 |
| DEVON ENERGY CORP NEW             | Trade         | 50 000                  |                        | 06/12/09      | 11/11/09     | 3,433 27    | 3,270 50               | 162 77    |         | Y                 |
| EXELON CORP                       | Trade         | 60 000                  |                        | 01/27/09      | 12/11/09     | 3,076 12    | 3,348 07               | -271 95   |         | Y                 |
| HEWLETT PACKARD CO                | Trade         | 100 000                 |                        | 08/14/09      | 12/11/09     | 4,999 02    | 4,391 26               | 607 76    |         | Y                 |
| KRAFT FOODS INC CL A              | Trade         | 680 000                 |                        | 10/15/08      | 09/11/09     | 17,795 13   | 18,385 86              | -590 73   |         | Y                 |
|                                   | Trade         | 80 000                  |                        | 10/22/08      | 09/11/09     | 2,093 55    | 2,260 00               | -166 45   |         | Y                 |
| LOWES COMPANIES INC               | Trade         | 560 000                 |                        | 12/17/08      | 09/25/09     | 11,712 97   | 12,805 53              | -1,092 56 |         | Y                 |
|                                   | Trade         | 60 000                  |                        | 04/20/09      | 09/25/09     | 1,254 96    | 1,190 27               | 64 69     |         | Y                 |
|                                   | Trade         | 480 000                 |                        | 05/01/09      | 09/25/09     | 10,039 68   | 10,223 52              | -183 84   |         | Y                 |
| MICROSOFT CORP                    | Trade         | 100 000                 |                        | 04/13/09      | 12/11/09     | 2,986 17    | 1,951 00               | 1,035 17  |         | Y                 |
| MONSANTO CO NEW                   | Trade         | 60 000                  |                        | 04/03/09      | 11/30/09     | 4,793 27    | 4,807 99               | -14 72    |         | Y                 |
| NTHN TRUST CORP                   | Trade         | 120 000                 |                        | 11/04/08      | 02/11/09     | 7,206 72    | 6,728 40               | 478 32    |         | Y                 |
| PG & E CORP (HOLDING<br>COMPANY)  | Trade         | 200 000                 |                        | 01/17/08      | 01/07/09     | 7,508 82    | 8,720 29               | -1,211 47 |         | Y                 |
| PNC FINANCIAL SERVICES<br>GROUP   | Trade         | 80 000                  |                        | 07/30/09      | 12/11/09     | 4,219 89    | 2,877 95               | 1,341 94  |         | Y                 |
| PROCTER & GAMBLE CO               | Trade         | 30 000                  |                        | 04/20/09      | 12/23/09     | 1,830 32    | 1,529 93               | 300 39    |         | Y                 |
| SPX CORPORATION                   | Trade         | 30 000                  |                        | 12/10/08      | 11/30/09     | 1,579 83    | 1,007 10               | 572 73    |         | Y                 |
|                                   | Trade         | 30 000                  |                        | 06/09/09      | 12/11/09     | 1,616 66    | 1,488 90               | 127 76    |         | Y                 |
| ST JUDE MEDICAL INC               | Trade         | 100 000                 |                        | 02/27/09      | 11/30/09     | 3,646 15    | 3,390 55               | 255 60    |         | Y                 |
| STATE STREET CORP                 | Trade         | 180 000                 |                        | 12/16/08      | 05/08/09     | 7,271 55    | 6,731 76               | 539 79    |         | Y                 |
| UNION PACIFIC CORP                | Trade         | 120 000                 |                        | 11/11/08      | 08/06/09     | 7,147 53    | 7,522 56               | -375 03   |         | Y                 |

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Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount       | Cost or Other<br>Basis | Gain/Loss        | Remarks | Matches<br>1099-B |
|-----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------------|------------------------|------------------|---------|-------------------|
| VALE SA-SP SPON ADR               | Trade         | 190 000                 |                        | 08/22/08                       | 07/30/09     | 3,731 50          | 5,141 02               | -1,409 52        |         | Y                 |
| <b>Total Short-Term Gain/Loss</b> |               |                         |                        |                                |              | <b>169,550.15</b> | <b>172,050.71</b>      | <b>-2,500.56</b> |         |                   |

Long-Term Gain/Loss

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| AT&T INC                          | Trade         | 140 000                 |                        | 04/13/07                       | 01/08/09     | 3,794 11    | 5,446 00               | -1,651 89 | 1       | Y                 |
|                                   | Trade         | 380 000                 |                        | 04/13/07                       | 09/23/09     | 10,419 40   | 14,782 00              | -4,362 60 | 1       | Y                 |
|                                   | Trade         | 240 000                 |                        | 06/18/07                       | 09/23/09     | 6,580 68    | 9,638 40               | -3,057 72 | 1       | Y                 |
|                                   | Trade         | 40 000                  |                        | 11/13/07                       | 09/23/09     | 1,096 78    | 1,576 80               | -480 02   |         | Y                 |
| BARD C R INC                      | Trade         | 70 000                  |                        | 03/08/07                       | 12/11/09     | 5,815 45    | 5,546 46               | 268 99    | 1       | Y                 |
| C H ROBINSON WORLDWIDE<br>INC NEW | Trade         | 100 000                 |                        | 10/07/08                       | 11/30/09     | 5,537 00    | 4,549 96               | 987 04    |         | Y                 |
| CELGENE CORP                      | Trade         | 120 000                 |                        | 04/07/08                       | 12/11/09     | 6,325 57    | 7,664 97               | -1,339 40 |         | Y                 |
| DEVON ENERGY CORP NEW             | Trade         | 250 000                 |                        | 06/12/07                       | 11/11/09     | 17,166 36   | 19,707 50              | -2,541 14 | 1       | Y                 |
| EATON VANCE CORP NON VTG          | Trade         | 200 000                 |                        | 07/10/06                       | 04/28/09     | 5,115 04    | 4,994 00               | 121 04    | 1       | Y                 |
|                                   | Trade         | 50 000                  |                        | 08/01/06                       | 04/28/09     | 1,278 76    | 1,220 00               | 58 76     | 1       | Y                 |
| EXXON MOBIL CORP                  | Trade         | 220 000                 |                        | 01/24/07                       | 03/25/09     | 15,441 93   | 16,258 64              | -816 71   | 1       | Y                 |
|                                   | Trade         | 40 000                  |                        | 01/24/07                       | 11/11/09     | 2,913 64    | 2,956 12               | -42 48    | 1       | Y                 |
|                                   | Trade         | 80 000                  |                        | 01/24/07                       | 12/11/09     | 5,794 10    | 5,912 23               | -118 13   | 1       | Y                 |
|                                   | Trade         | 60 000                  |                        | 01/24/07                       | 12/23/09     | 4,102 97    | 4,434 17               | -331 20   | 1       | Y                 |
|                                   | Trade         | 240 000                 |                        | 03/06/07                       | 12/23/09     | 16,411 88   | 17,008 80              | -596 92   | 1       | Y                 |
| FACTSET RESH SYSTEMS INC          | Trade         | 60 000                  |                        | 07/11/06                       | 04/09/09     | 2,884 28    | 2,749 80               | 134 48    | 1       | Y                 |
|                                   | Trade         | 10 000                  |                        | 07/11/06                       | 11/30/09     | 715 08      | 458 30                 | 256 78    | 1       | Y                 |
|                                   | Trade         | 50 000                  |                        | 08/01/06                       | 11/30/09     | 3,575 41    | 2,187 00               | 1,388 41  | 1       | Y                 |
|                                   | Trade         | 40 000                  |                        | 09/12/06                       | 11/30/09     | 2,860 32    | 1,853 20               | 1,007 12  | 1       | Y                 |

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Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase Date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches-<br>1099-B |
|--------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|--------------------|
| FHLMC<br>05.750 % DUE 031509<br>DTD 031299 FC 09151999 | Redemption    | 100,000 000             |                        | 11/07/06                       | 03/15/09     | 100,000 00  | 101,812 70             | -1,812 70  | 1       | Y                  |
| ISHARES MSCI EMERGING<br>MARKETS INDEX FUND            | Trade         | 30 000                  |                        | 07/11/06                       | 12/11/09     | 1,234 56    | 931 80                 | 302 76     | 1       | Y                  |
|                                                        | Trade         | 70 000                  |                        | 08/01/06                       | 12/11/09     | 2,880 63    | 2,205 00               | 675 63     | 1       | Y                  |
| ISHARES FTSEXINHUA<br>CHINA 25 INDEX FUND              | Trade         | 200 000                 |                        | 06/05/08                       | 11/30/09     | 8,672 27    | 9,874 70               | -1,202 43  |         | Y                  |
| JPMORGAN CHASE & CO                                    | Trade         | 130 000                 |                        | 01/09/08                       | 09/11/09     | 5,540 58    | 5,126 75               | 413 83     |         | Y                  |
| MEDTRONIC INC                                          | Trade         | 105 000                 |                        | 08/24/05                       | 02/27/09     | 3,168 32    | 5,949 45               | -2,781 13  | 1       | Y                  |
|                                                        | Trade         | 75 000                  |                        | 08/01/06                       | 02/27/09     | 2,263 08    | 3,767 25               | -1,504 17  | 1       | Y                  |
|                                                        | Trade         | 120 000                 |                        | 09/12/06                       | 02/27/09     | 3,620 93    | 5,653 20               | -2,032 27  | 1       | Y                  |
|                                                        | Trade         | 150 000                 |                        | 09/20/06                       | 02/27/09     | 4,526 17    | 7,075 50               | -2,549 33  | 1       | Y                  |
| NIKE INC CL B                                          | Trade         | 100 000                 |                        | 02/15/08                       | 05/01/09     | 5,299 06    | 6,227 22               | -928 16    |         | Y                  |
| NORDSTROM INC                                          | Trade         | 520 000                 |                        | 07/11/08                       | 07/30/09     | 13,256 98   | 14,358 39              | -1,101 41  |         | Y                  |
| NTHN TRUST CORP                                        | Trade         | 100 000                 |                        | 11/04/08                       | 11/30/09     | 4,821 12    | 5,607 00               | -785 88    |         | Y                  |
| PG & E CORP (HOLDING<br>COMPANY)                       | Trade         | 450 000                 |                        | 01/17/08                       | 09/23/09     | 18,645 05   | 19,620 65              | -975 60    |         | Y                  |
| PROCTER & GAMBLE CO                                    | Trade         | 30 000                  |                        | 05/09/05                       | 08/28/09     | 1,592 98    | 1,638 90               | -45 92     | 1       | Y                  |
|                                                        | Trade         | 150 000                 |                        | 07/11/06                       | 08/28/09     | 7,964 90    | 8,575 50               | -610 60    | 1       | Y                  |
|                                                        | Trade         | 30 000                  |                        | 08/01/06                       | 11/06/09     | 1,812 30    | 1,677 00               | 135 30     | 1       | Y                  |
|                                                        | Trade         | 20 000                  |                        | 08/01/06                       | 11/30/09     | 1,249 17    | 1,118 00               | 131 17     | 1       | Y                  |
|                                                        | Trade         | 20 000                  |                        | 09/12/06                       | 11/30/09     | 1,249 17    | 1,235 60               | 13 57      | 1       | Y                  |
|                                                        | Trade         | 30 000                  |                        | 09/12/06                       | 12/23/09     | 1,830 32    | 1,853 40               | -23 08     | 1       | Y                  |
|                                                        | Trade         | 180 000                 |                        | 09/20/06                       | 12/23/09     | 10,981 89   | 11,030 40              | -48 51     | 1       | Y                  |
|                                                        | Trade         | 60 000                  |                        | 10/24/08                       | 12/23/09     | 3,660 63    | 3,575 40               | 85 23      |         | Y                  |
| SPX CORPORATION                                        | Trade         | 160 000                 |                        | 07/08/08                       | 11/30/09     | 8,425 79    | 18,717 16              | -10,291 37 |         | Y                  |
|                                                        | Trade         | 60 000                  |                        | 09/15/08                       | 11/30/09     | 3,159 67    | 6,301 73               | -3,142 06  |         | Y                  |
|                                                        | Trade         | 170 000                 |                        | 12/10/08                       | 12/11/09     | 9,161 06    | 5,706 90               | 3,454 16   |         | Y                  |

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**Long-Term Gain/Loss - continued**

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount       | Cost or Other<br>Basis | Gain/Loss         | Remarks | Matches<br>1099-B |
|----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------------|------------------------|-------------------|---------|-------------------|
| STAPLES INC                      | Trade         | 200 000                 |                        | 12/11/03                       | 12/11/09     | 4,832 37          | 3,536 00               | 1,296 37          | 1       | Y                 |
| STRYKER CORP                     | Trade         | 55 000                  |                        | 01/19/06                       | 01/07/09     | 2,127 13          | 2,576 75               | -449 62           | 1       | Y                 |
|                                  | Trade         | 175 000                 |                        | 07/10/06                       | 01/07/09     | 6,768 16          | 7,575 75               | -807 59           | 1       | Y                 |
|                                  | Trade         | 120 000                 |                        | 09/20/06                       | 01/07/09     | 4,641 02          | 6,049 20               | -1,408 18         | 1       | Y                 |
| UNTD TECHNOLOGIES CORP           | Trade         | 40 000                  |                        | 07/10/06                       | 11/30/09     | 2,673 13          | 2,522 00               | 151 13            | 1       | Y                 |
|                                  | Trade         | 100 000                 |                        | 07/10/06                       | 12/11/09     | 6,913 07          | 6,305 00               | 608 07            | 1       | Y                 |
| VALE SA-SP SPON ADR              | Trade         | 560 000                 |                        | 06/17/08                       | 07/30/09     | 10,998 12         | 20,316 24              | -9,318 12         |         | Y                 |
| VERIZON COMMUNICATIONS<br>INC    | Trade         | 150 000                 |                        | 04/13/07                       | 01/08/09     | 4,849.97          | 5,579 55               | -729 58           | 1       | Y                 |
|                                  | Trade         | 170 000                 |                        | 04/13/07                       | 08/28/09     | 5,266 63          | 6,323 49               | -1,056 86         | 1       | Y                 |
| WELLS FARGO & CO NEW             | Trade         | 300 000                 |                        | 11/17/03                       | 07/30/09     | 7,503 22          | 8,445 86               | -942 64           | 1       | Y                 |
| <b>Total Long-Term Gain/Loss</b> |               |                         |                        |                                |              | <b>399,418.21</b> | <b>447,813.79</b>      | <b>-48,395.58</b> |         |                   |

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Your Financial Advisor or Contact

BL-50 PARHAM/ARROWOOD  
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2009 Consolidated Form 1099

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(Includes sale proceeds not reported on Form 1099-B)

2009 Realized Gain/Loss Summary

This Realized Gain/Loss Summary is not a tax reporting document and has not been submitted to the IRS. If your sale amount matches the amount on Form 1099-B, which is reported to the IRS, it is marked as such. Please rely on the confirmations previously provided to you as your official activity record.

Estimated 2009 Gain/Loss for transactions with trade dates through 12/31/09 has been incorporated into this statement. Realized gain/loss is based on the sales amount less the cost basis. Please note that gain or loss recognized on the sale or redemption of certain Structured Products may be ordinary, and not capital, gain or loss. Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products. Note that the Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. An asterisk (\*) indicates a UBS Financial Services adjustment to cost basis. The number "1" indicates cost basis information has been provided by a source other than UBS Financial Services. Gain/Loss may not have been adjusted for all capital changes. Gain/Loss values that may be subject to Wash Sale provisions are not indicated here. "Earnings" in the Purchase Date column indicates the position sold was acquired on various dates through dividend reinvestment and that the Gain/Loss has been aggregated.

Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for Market Discount, Acquisition Premium, or Bond Premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amount because the reporting requirements are different. Gain/Loss from short sale closings are reported as short-term regardless of the holding period of property used to close the short position. Clients should consult their tax advisors as to whether exceptions may apply in their particular case to change this classification. The potential application of the "Constructive Sale" provisions (Sec 1259) for short-against-the box transactions is not considered. Clients should discuss the possible application of these provisions with their tax advisor.

|                      | Purchase      | Sale         | Gains       | Losses        | Net           |
|----------------------|---------------|--------------|-------------|---------------|---------------|
|                      |               |              |             |               | Gain/Loss     |
| Short-term Gain/Loss | \$ 61,187.74  | \$ 34,014.76 | \$ 3,164.31 | \$ -30,337.29 | \$ -27,172.98 |
| Long-term Gain/Loss  | 67,485.45     | 49,345.27    | 1,103.99    | -19,244.17    | -18,140.18    |
| Sub Total:           | \$ 128,673.19 | \$ 83,360.03 | \$ 4,268.30 | \$ -49,581.46 | \$ -45,313.16 |
| Total:               | \$ 128,673.19 | \$ 83,360.03 | \$ 4,268.30 | \$ -49,581.46 | \$ -45,313.16 |

Short-Term Gain/Loss

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description               | Quantity/<br>Face value | Activity Type | Purchase date | Date Acquired | Date Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------------|-------------------------|---------------|---------------|---------------|-----------|-------------|------------------------|-----------|---------|-------------------|
| AOL INC                            | 10 000                  | Trade         | 01/22/09      | 12/23/09      |           | 234.04      | 153.11                 | 80.93     | *       | Y                 |
| BURLINGTON NTHN SANTA FE<br>CORP   | 45 000                  | Trade         | 01/22/09      | 12/11/09      |           | 4,437.86    | 2,849.11               | 1,588.75  |         | Y                 |
| CHINA LIFE INSURANCE CO<br>LTD ADS | 156 000                 | Trade         | 05/07/08      | 03/05/09      |           | 6,550.04    | 10,205.22              | -3,655.18 |         | Y                 |
| CNOOC LTD SPON ADR                 | 49 000                  | Trade         | 01/22/09      | 03/02/09      |           | 3,765.39    | 4,004.28               | -238.89   |         | Y                 |
| DEUTSCHE BOERSE AG                 | 150 000                 | Trade         | 10/14/08      | 02/26/09      |           | 7,399.77    | 13,810.71              | -6,410.94 |         | Y                 |
|                                    | 25 000                  | Trade         | 01/22/09      | 02/26/09      |           | 1,233.30    | 1,258.75               | -25.45    |         | Y                 |

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# UBS Financial Services Inc.

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Account Number BL 12621 50

Your Financial Advisor or Contact

BL-50 PARHAM/ARROWOOD

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## 2009 Consolidated Form 1099

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### Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount      | Cost or Other<br>Basis | Gain/Loss         | Remarks | Matches<br>1099-B |
|-----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|------------------|------------------------|-------------------|---------|-------------------|
| LAS VEGAS SANDS CORP              | Trade         | 156 000                 |                        | 03/24/08                       | 03/09/09     | 270 31           | 12,835 68              | -12,565 37        |         | Y                 |
|                                   | Trade         | 90 000                  |                        | 08/18/08                       | 03/09/09     | 155 95           | 4,682 03               | -4,526 08         |         | Y                 |
|                                   | Trade         | 500 000                 |                        | 01/22/09                       | 03/09/09     | 866 39           | 2,694 98               | -1,828 59         |         | Y                 |
| TIME WARNER CABLE INC             | Trade         | 30 000                  |                        | 01/22/09                       | 12/11/09     | 1,271 40         | 804 21                 | 467 19            |         | Y                 |
| UNION PACIFIC CORP                | Trade         | 50 000                  |                        | 01/22/09                       | 10/30/09     | 2,763 29         | 2,089 52               | 673 77            |         | Y                 |
| VISA INC CL A                     | Trade         | 60 000                  |                        | 07/21/08                       | 02/24/09     | 3,378 01         | 4,464 80               | -1,086 79         |         | Y                 |
|                                   | Trade         | 30 000                  |                        | 01/22/09                       | 02/24/09     | 1,689 01         | 1,335 34               | 353 67            |         | Y                 |
| <b>Total Short-Term Gain/Loss</b> |               |                         |                        |                                |              | <b>34,014.76</b> | <b>61,187.74</b>       | <b>-27,172.98</b> |         |                   |

### Long-Term Gain/Loss

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                     | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| AOL INC                                                  | Trade         | 10 000                  |                        | 08/28/08                       | 12/23/09     | 234 04      | 276 04                 | -42 00    | *       | Y                 |
|                                                          | Trade         | 23 000                  |                        | 08/29/08                       | 12/23/09     | 538 30      | 626 35                 | -88 05    | *       | Y                 |
|                                                          | Trade         | 5 000                   |                        | 10/13/08                       | 12/23/09     | 117 02      | 83 20                  | 33 82     | *       | Y                 |
| BURLINGTON NTHN SANTA FE<br>CORP                         | Trade         | 143 000                 |                        | 06/02/08                       | 12/11/09     | 14,102 54   | 16,088 37              | -1,985 83 |         | Y                 |
|                                                          | Trade         | 55 000                  |                        | 10/13/08                       | 12/11/09     | 5,424 05    | 4,539 34               | 884 71    |         | Y                 |
| HUANENG POWER INTL INC<br>SPONSORED ADR SER N SHS<br>ADR | Trade         | 200 000                 |                        | 03/24/08                       | 12/11/09     | 4,639 88    | 5,501 71               | -861 83   |         | Y                 |
| NASDAQ OMX GROUP (THE)                                   | Trade         | 335 000                 |                        | 03/24/08                       | 12/11/09     | 6,563 49    | 13,885 75              | -7,322 26 |         | Y                 |
| NYSE EURONEXT                                            | Trade         | 125 000                 |                        | 03/24/08                       | 12/11/09     | 3,191 91    | 7,957 10               | -4,765 19 |         | Y                 |
| TIME WARNER CABLE INC                                    | Trade         | 30 000                  |                        | 08/28/08                       | 12/11/09     | 1,271 40    | 1,449 88               | -178 48   |         | Y                 |
|                                                          | Trade         | 59 000                  |                        | 08/29/08                       | 12/11/09     | 2,500 43    | 2,859 11               | -358 68   |         | Y                 |
|                                                          | Trade         | 14 000                  |                        | 10/13/08                       | 12/11/09     | 593 32      | 407 86                 | 185 46    |         | Y                 |
| UNION PACIFIC CORP                                       | Trade         | 129 000                 |                        | 06/05/08                       | 10/30/09     | 7,129 28    | 10,476 08              | -3,346 80 |         | Y                 |

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Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description      | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|---------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| UNION PACIFIC CORP        | Trade         | 55,000                  |                        | 10/13/08                       | 10/30/09     | 3,039.61    | 3,334.66               | -295.05    |         | Y                 |
| Total Long-Term Gain/Loss |               |                         |                        |                                |              | 49,345.27   | 67,485.45              | -18,140.18 |         |                   |

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### Other Income Details Not Reported to the Internal Revenue Service

The items in this section are provided to assist you with your tax return preparation. You should discuss with your tax preparer or tax advisor the appropriate tax treatment of these fees and expenses.  
\* Applicable to Tax-exempt Original Issue Discount information only

| Activity                                | Description         | Cusip number | * Days held | * Quantity/<br>Face amount | Payment Date | Tax year | acquisition premium | Amount    |
|-----------------------------------------|---------------------|--------------|-------------|----------------------------|--------------|----------|---------------------|-----------|
| Program Fees and Related Services       | MANAGED ACCOUNT FEE |              |             |                            | 01/21/09     | 2009     |                     | 207.14    |
| Total Program Fees and Related Services |                     |              |             |                            |              |          |                     | \$ 207.14 |

### 2009 Realized Gain/Loss Summary

(Includes sale proceeds not reported on Form 1099-B)

This Realized Gain/Loss Summary is not a tax reporting document and has not been submitted to the IRS. If your sale amount matches the amount on Form 1099-B, which is reported to the IRS, it is marked as such. Please rely on the confirmations previously provided to you as your official activity record.

Estimated 2009 Gain/Loss for transactions with trade dates through 12/31/09 has been incorporated into this statement. Realized gain/loss is based on the sales amount less the cost basis. Please note that gain or loss recognized on the sale or redemption of certain Structured Products may be ordinary, and not capital, gain or loss. Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products. Note that the Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. An asterisk (\*) indicates a UBS Financial Services adjustment to cost basis. The number "1" indicates cost basis information has been provided by a source other than UBS Financial Services. Gain/Loss may not have been adjusted for all capital changes. Gain/Loss values that may be subject to Wash Sale provisions are not indicated here. "Earnings" in the Purchase Date column indicates the position sold was acquired on various dates through dividend reinvestment and that the Gain/Loss has been aggregated.

Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for Market Discount, Acquisition Premium, or Bond Premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amount because the reporting requirements are different. Gain/Loss from short sale closings are reported as short-term regardless of the holding period of property used to close the short position. Clients should consult their tax advisors as to whether exceptions may apply in their particular case to change this classification. The potential application of the "Constructive Sale" provisions (Sec. 1259) for short-against-the box transactions is not considered. Clients should discuss the possible application of these provisions with their tax advisor.

|                      | Purchase      | Sale          | Gains       | Losses         | Net<br>Gain/Loss |
|----------------------|---------------|---------------|-------------|----------------|------------------|
| Short-term Gain/Loss | \$ 348,693.16 | \$ 228,386.31 | \$ 9,431.34 | \$ -129,738.19 | \$ -120,306.85   |
| Long-term Gain/Loss  | 360,200.73    | 160,930.03    |             | -199,270.70    | -199,270.70      |
| Sub Total:           | \$ 708,893.89 | \$ 389,316.34 | \$ 9,431.34 | \$ -329,008.89 | \$ -319,577.55   |
| Total:               | \$ 708,893.89 | \$ 389,316.34 | \$ 9,431.34 | \$ -329,008.89 | \$ -319,577.55   |

### Short-Term Gain/Loss

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B.

| Security Description | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------|---------------|-------------------------|------------------------|--------------------------------|-----------|-------------|------------------------|-----------|---------|-------------------|
| ALLIANZ SE ADR       | Trade         | 90,000                  |                        | 01/16/08                       | 01/15/09  | 799.19      | 1,882.94               | -1,083.75 |         | Y                 |
|                      | Trade         | 210,000                 |                        | 01/31/08                       | 01/15/09  | 1,864.79    | 3,599.40               | -1,734.61 |         | Y                 |

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### Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                                | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|---------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| ALLIANZ SE ADR                                                      | Trade         | 243 000                 |                        | 11/12/08                       | 01/15/09     | 2,157 83    | 1,677 65               | 480 18     |         | Y                 |
| ALLSTATE CORP                                                       | Trade         | 80 000                  |                        | 11/20/08                       | 01/15/09     | 2,244 78    | 1,497 60               | 747 18     |         | Y                 |
| ALTRIA GROUP INC                                                    | Trade         | 81 000                  |                        | 03/12/08                       | 01/15/09     | 1,320 29    | 1,847 49               | -527 20    |         | Y                 |
|                                                                     | Trade         | 6 000                   |                        | 05/14/08                       | 01/15/09     | 97 80       | 132 06                 | -34 26     |         | Y                 |
|                                                                     | Trade         | 125 000                 |                        | 07/02/08                       | 01/15/09     | 2,037 49    | 2,496 25               | -458 76    |         | Y                 |
|                                                                     | Trade         | 117 000                 |                        | 11/12/08                       | 01/15/09     | 1,907 09    | 1,953 72               | -46 63     |         | Y                 |
| AMER INTL GROUP INC                                                 | Trade         | 88 000                  |                        | 03/12/08                       | 01/15/09     | 132 00      | 3,945 01               | -3,813 01  |         | Y                 |
| **REVERSE SPLIT EFF                                                 | Trade         | 232 000                 |                        | 04/23/08                       | 01/15/09     | 348 00      | 10,421 44              | -10,073 44 |         | Y                 |
| 06/09**                                                             | Trade         | 25 000                  |                        | 05/13/08                       | 01/15/09     | 37 50       | 971 61                 | -934 11    |         | Y                 |
|                                                                     | Trade         | 262 000                 |                        | 05/30/08                       | 01/15/09     | 393 00      | 9,615 40               | -9,222 40  |         | Y                 |
|                                                                     | Trade         | 131 000                 |                        | 07/03/08                       | 01/15/09     | 196 50      | 3,430 22               | -3,233 72  |         | Y                 |
| APACHE CORP                                                         | Trade         | 28 000                  |                        | 10/14/08                       | 01/15/09     | 2,027 74    | 2,343 96               | -316 22    |         | Y                 |
| ARCELORMITTAL SA NY REG                                             | Trade         | 112 000                 |                        | 09/11/08                       | 01/15/09     | 2,578 22    | 7,018 79               | -4,440 57  |         | Y                 |
|                                                                     | Trade         | 115 000                 |                        | 11/20/08                       | 01/15/09     | 2,647 28    | 1,841 73               | 805 55     |         | Y                 |
| AT&T INC                                                            | Trade         | 245 000                 |                        | 10/14/08                       | 01/15/09     | 6,159 26    | 6,561 37               | -402 11    |         | Y                 |
| AU OPTRONICS CORP ADS<br>SPON ADR                                   | Trade         | 298 000                 |                        | 11/19/08                       | 01/15/09     | 2,109 82    | 1,677 89               | 431 93     |         | Y                 |
| AUSTRALIA & NEW ZEALAND<br>BKG GRP LTD SPONSRD ADR<br>AUSTRALIA ADR | Trade         | 191 000                 |                        | 01/09/09                       | 01/15/09     | 1,852 68    | 2,068 53               | -215 85    |         | Y                 |
| BANK OF AMER CORP                                                   | Trade         | 94 000                  |                        | 10/14/08                       | 01/15/09     | 910 85      | 2,426 04               | -1,515 19  |         | Y                 |
|                                                                     | Trade         | 160 000                 |                        | 11/19/08                       | 01/15/09     | 1,550 39    | 2,172 05               | -621 66    |         | Y                 |
| BARCLAYS PLC ADR                                                    | Trade         | 291 000                 |                        | 11/19/08                       | 01/15/09     | 2,327 98    | 2,285 83               | 42 15      |         | Y                 |
| BASF SE SPON ADR                                                    | Trade         | 40 000                  |                        | 05/13/08                       | 01/15/09     | 1,244 14    | 2,834 80               | -1,590 66  |         | Y                 |
| BAYER A G SPON ADR                                                  | Trade         | 34 000                  |                        | 01/09/09                       | 01/15/09     | 1,913 66    | 2,028 31               | -114 65    |         | Y                 |

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Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| BHP BILLITON LTD SPON<br>ADR                                          | Trade         | 67 000                  |                        | 09/11/08                       | 01/15/09     | 2,569 43    | 3,794 97               | -1,225 54 |         | Y                 |
|                                                                       | Trade         | 46 000                  |                        | 10/14/08                       | 01/15/09     | 1,764 09    | 1,940 98               | -176 89   |         | Y                 |
| BP PLC SPON ADR                                                       | Trade         | 41 000                  |                        | 11/19/08                       | 01/15/09     | 1,775 70    | 1,806 30               | -30 60    |         | Y                 |
|                                                                       | Trade         | 5 000                   |                        | 11/20/08                       | 01/15/09     | 216 55      | 202 45                 | 14 10     |         | Y                 |
|                                                                       | Trade         | 40 000                  |                        | 01/09/09                       | 01/15/09     | 1,732 39    | 1,893 64               | -161 25   |         | Y                 |
| BRISTOL MYERS SQUIBB CO                                               | Trade         | 91 000                  |                        | 01/09/09                       | 01/15/09     | 2,018 36    | 2,048 14               | -29 78    |         | Y                 |
| CANON INC ADR JAPAN SPON<br>ADR                                       | Trade         | 60 000                  |                        | 11/12/08                       | 01/15/09     | 1,859 38    | 1,786 33               | 73 05     |         | Y                 |
| CARDINAL HEALTH INC                                                   | Trade         | 30 000                  |                        | 11/20/08                       | 01/15/09     | 1,123 79    | 879 90                 | 243 89    |         | Y                 |
| CBS CORP NEW CL B                                                     | Trade         | 100,000                 |                        | 11/20/08                       | 01/15/09     | 716 00      | 471.70                 | 244 30    |         | Y                 |
| CHEVRON CORP                                                          | Trade         | 51 000                  |                        | 05/30/08                       | 01/15/09     | 3,539 89    | 5,049 00               | -1,509 11 |         | Y                 |
|                                                                       | Trade         | 54 000                  |                        | 07/18/08                       | 01/15/09     | 3,748.12    | 4,684 39               | -936 27   |         | Y                 |
| CHINA PETROLEUM &<br>CHEMICAL CORP SPON ADR                           | Trade         | 32 000                  |                        | 05/30/08                       | 01/15/09     | 1,727 99    | 3,245 76               | -1,517 77 |         | Y                 |
|                                                                       | Trade         | 20 000                  |                        | 07/03/08                       | 01/15/09     | 1,079 99    | 1,764 71               | -684 72   |         | Y                 |
| CITIGROUP INC                                                         | Trade         | 334 000                 |                        | 11/19/08                       | 01/15/09     | 1,536 38    | 2,370 57               | -834 19   |         | Y                 |
|                                                                       | Trade         | 90 000                  |                        | 11/20/08                       | 01/15/09     | 414 00      | 449.96                 | -35 96    |         | Y                 |
| COMPANHIA VALE DO RIO<br>DOCE SPONS ADR 250 PREF<br>**NAME CHANGE 05/ | Trade         | 90 000                  |                        | 11/20/08                       | 01/15/09     | 987 29      | 749 66                 | 237 63    |         | Y                 |
| CONOCOPHILLIPS                                                        | Trade         | 10 000                  |                        | 03/12/08                       | 01/09/09     | 526 11      | 788 95                 | -262 84   |         | Y                 |
|                                                                       | Trade         | 174,000                 |                        | 03/12/08                       | 01/15/09     | 8,525 95    | 13,727 68              | -5,201 73 |         | Y                 |
| CORNING INC                                                           | Trade         | 186 000                 |                        | 01/09/09                       | 01/15/09     | 1,729 79    | 2,001 08               | -271 29   |         | Y                 |
| CREDIT AGRICOLE SA ADR                                                | Trade         | 341 000                 |                        | 01/09/09                       | 01/15/09     | 1,749 32    | 2,052 82               | -303 50   |         | Y                 |
| DEUTSCHE BANK AG REG SHS<br>ORD                                       | Trade         | 31 000                  |                        | 07/03/08                       | 01/15/09     | 900.54      | 2,701 38               | -1,800 84 |         | Y                 |
|                                                                       | Trade         | 69 000                  |                        | 11/12/08                       | 01/15/09     | 2,004 44    | 2,165 11               | -160 67   |         | Y                 |

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Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| DEVON ENERGY CORP NEW                      | Trade         | 25 000                  |                        | 10/31/08                       | 01/15/09     | 1,505 74    | 2,071 15               | -565 41   |         | Y                 |
| DOW CHEMICAL                               | Trade         | 1 000                   |                        | 05/14/08                       | 01/09/09     | 15 77       | 42 69                  | -26 92    |         | Y                 |
|                                            | Trade         | 37 000                  |                        | 07/03/08                       | 01/09/09     | 583.49      | 1,261 32               | -677 83   |         | Y                 |
| E ON AG SPON ADR                           | Trade         | 55 000                  |                        | 05/14/08                       | 01/15/09     | 1,852 10    | 3,682 82               | -1,830 72 |         | Y                 |
| EXXON MOBIL CORP                           | Trade         | 45 000                  |                        | 10/31/08                       | 01/15/09     | 3,371 83    | 3,449 37               | -77 54    |         | Y                 |
| FRANCE TELECOM SA SPON<br>ADR              | Trade         | 119 000                 |                        | 01/09/09                       | 01/15/09     | 2,978 55    | 3,260 60               | -282 05   |         | Y                 |
| FUJITSU LTD ADR NEW<br>JAPAN ADR           | Trade         | 144 000                 |                        | 11/19/08                       | 01/15/09     | 3,261 58    | 3,246 35               | 15 23     |         | Y                 |
| GLAXO SMITHKLINE PLC ADR                   | Trade         | 179 000                 |                        | 04/23/08                       | 01/15/09     | 6,519 14    | 7,888 71               | -1,369 57 |         | Y                 |
|                                            | Trade         | 15 000                  |                        | 11/20/08                       | 01/15/09     | 546 30      | 500 93                 | 45 37     |         | Y                 |
| GOLDMAN SACHS GROUP INC                    | Trade         | 24 000                  |                        | 01/09/09                       | 01/15/09     | 1,795 18    | 2,030 09               | -234 91   |         | Y                 |
| HBOS PLC **EXCHANGE EFF<br>1/2009 SPON ADR | Trade         | 377 000                 |                        | 05/14/08                       | 01/15/09     | 388 31      | 3,383 61               | -2,995 30 |         | Y                 |
|                                            | Trade         | 976 000                 |                        | 06/26/08                       | 01/15/09     | 1,005 27    | 5,428 21               | -4,422 94 |         | Y                 |
|                                            | Trade         | 155 000                 |                        | 11/20/08                       | 01/15/09     | 159 65      | 148.80                 | 10 85     |         | Y                 |
| HITACHI LTD ADR NEW<br>JAPAN               | Trade         | 35 000                  |                        | 11/19/08                       | 01/15/09     | 1,349 94    | 1,573.78               | -223 84   |         | Y                 |
| HOME DEPOT INC                             | Trade         | 114 000                 |                        | 11/19/08                       | 01/15/09     | 2,505 70    | 2,323 83               | 181 87    |         | Y                 |
| HSBC HOLDINGS PLC NEW GB<br>SPON ADR       | Trade         | 68 000                  |                        | 10/14/08                       | 01/15/09     | 2,764 18    | 5,064 57               | -2,300 39 |         | Y                 |
| ING GROEP N V NL SPON<br>ADR               | Trade         | 295 000                 |                        | 01/31/08                       | 01/15/09     | 2,690 38    | 9,245 30               | -6,554 92 |         | Y                 |
|                                            | Trade         | 11 000                  |                        | 05/09/08                       | 01/15/09     | 100 32      | 413 71                 | -313 39   |         | Y                 |
| INTESA SANPAOLO SPON ADR                   | Trade         | 98 000                  |                        | 11/19/08                       | 01/15/09     | 1,924 90    | 1,593 17               | 331 73    |         | Y                 |
| JPMORGAN CHASE & CO                        | Trade         | 113.000                 |                        | 02/11/08                       | 01/15/09     | 3,015 95    | 4,921 87               | -1,905 92 |         | Y                 |

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Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                           | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| JSC MMC NORILSK NICKEL<br>SPON ADR             | Trade         | 165 000                 |                        | 03/12/08                       | 01/15/09     | 798 59      | 4,907 74               | -4,109 15 |         | Y                 |
|                                                | Trade         | 153 000                 |                        | 09/26/08                       | 01/15/09     | 740 52      | 2,253 15               | -1,512 63 |         | Y                 |
| KB FINL GROUP INC SPON<br>ADR                  | Trade         | 35 000                  |                        | 01/16/08                       | 01/15/09     | 898 09      | 2,262 73               | -1,364 64 |         | Y                 |
|                                                | Trade         | 33 000                  |                        | 07/31/08                       | 01/15/09     | 846 77      | 1,894 82               | -1,048 05 |         | Y                 |
| KONINKLIJKE DSM NV SPON<br>ADR                 | Trade         | 520 000                 |                        | 05/30/08                       | 01/09/09     | 3,418 87    | 7,987 04               | -4,568 17 |         | Y                 |
|                                                | Trade         | 25 000                  |                        | 11/20/08                       | 01/09/09     | 164 37      | 132 50                 | 31 87     |         | Y                 |
| L M ERICSSON TELEFON CO<br>SEK 10 NEW 2002 ADR | Trade         | 676 000                 |                        | 10/14/08                       | 01/15/09     | 4,725 21    | 4,870 38               | -145 17   |         | Y                 |
| LLOYDS BANKING GROUP PLC<br>SPON ADR           | Trade         | 213 000                 |                        | 11/19/08                       | 01/15/09     | 1,410 05    | 1,589 58               | -179 53   |         | Y                 |
| LOWES COMPANIES INC                            | Trade         | 125 000                 |                        | 11/19/08                       | 01/15/09     | 2,468 73    | 2,319 39               | 149 34    |         | Y                 |
| LUKOIL OIL CO SPON ADR<br>(25 RUBLES)          | Trade         | 61 000                  |                        | 09/26/08                       | 01/15/09     | 1,920 27    | 3,906 26               | -1,985 99 |         | Y                 |
|                                                | Trade         | 15 000                  |                        | 11/20/08                       | 01/15/09     | 472 20      | 414 00                 | 58 20     |         | Y                 |
| MERCK & CO **NAME<br>CHANGE 11/ 2009**         | Trade         | 92 000                  |                        | 07/18/08                       | 01/15/09     | 2,566 79    | 3,413 14               | -846 35   |         | Y                 |
|                                                | Trade         | 77 000                  |                        | 10/14/08                       | 01/15/09     | 2,148 29    | 2,260 62               | -112 33   |         | Y                 |
|                                                | Trade         | 15 000                  |                        | 11/20/08                       | 01/15/09     | 418 50      | 373 20                 | 45 30     |         | Y                 |
| METLIFE INC                                    | Trade         | 125 000                 |                        | 11/20/08                       | 01/15/09     | 3,418 73    | 2,158 13               | 1,260 60  |         | Y                 |
| MICHELIN COMPAGNIE<br>GENERALE ADR             | Trade         | 266 000                 |                        | 01/09/09                       | 01/15/09     | 2,630 72    | 2,849 50               | -218 78   |         | Y                 |
| MITSUBISHI CORP SPONS<br>ADR ADR               | Trade         | 163 000                 |                        | 11/19/08                       | 01/15/09     | 4,376 52    | 3,640 34               | 736 18    |         | Y                 |
|                                                | Trade         | 10 000                  |                        | 11/20/08                       | 01/15/09     | 268 50      | 203 23                 | 65 27     |         | Y                 |
| MORGAN STANLEY                                 | Trade         | 90 000                  |                        | 05/30/08                       | 01/15/09     | 1,535 39    | 3,996 90               | -2,461 51 |         | Y                 |
|                                                | Trade         | 103 000                 |                        | 06/26/08                       | 01/15/09     | 1,757 17    | 3,860 23               | -2,103 06 |         | Y                 |
|                                                | Trade         | 35 000                  |                        | 11/20/08                       | 01/15/09     | 597 10      | 349 65                 | 247 45    |         | Y                 |
| MOTOROLA INC                                   | Trade         | 650 000                 |                        | 10/14/08                       | 01/15/09     | 2,723 48    | 3,737 83               | -1,014 35 |         | Y                 |
|                                                | Trade         | 260 000                 |                        | 11/20/08                       | 01/15/09     | 1,089 39    | 873 21                 | 216 18    |         | Y                 |

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Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase Date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| MUNICH RE GROUP ADR                               | Trade         | 350 000                 |                        | 11/20/08                       | 01/15/09     | 5,057 47    | 4,317 50               | 739 97    |         | Y                 |
| NISSAN MTR LTD SPONS ADR<br>JAPAN ADR             | Trade         | 326 000                 |                        | 04/23/08                       | 01/15/09     | 2,268 95    | 5,542 42               | -3,273 47 |         | Y                 |
| NOKIA CORP SPONS ADR<br>FINLAND ADR               | Trade         | 235 000                 |                        | 11/19/08                       | 01/15/09     | 3,205 38    | 3,136 69               | 68 69     |         | Y                 |
|                                                   | Trade         | 10 000                  |                        | 11/20/08                       | 01/15/09     | 136 40      | 126 85                 | 9 55      |         | Y                 |
| NORTHROP GRUMMAN CORP                             | Trade         | 28 000                  |                        | 02/11/08                       | 01/09/09     | 1,334 43    | 2,235 88               | -901 45   |         | Y                 |
|                                                   | Trade         | 14 000                  |                        | 07/02/08                       | 01/09/09     | 667 22      | 926 53                 | -259 31   |         | Y                 |
| ORIX CORP SPON ADR                                | Trade         | 28 000                  |                        | 06/26/08                       | 01/09/09     | 786 34      | 2,087 58               | -1,301 24 |         | Y                 |
|                                                   | Trade         | 55 000                  |                        | 11/20/08                       | 01/09/09     | 1,544 59    | 1,723 37               | -178 78   |         | Y                 |
| PETRO-CANADA COM<br>STOCK**MERGR EFF<br>07/2009** | Trade         | 124 000                 |                        | 02/11/08                       | 01/15/09     | 2,851 98    | 5,504 73               | -2,652 75 |         | Y                 |
|                                                   | Trade         | 29 000                  |                        | 07/03/08                       | 01/15/09     | 667 00      | 1,550 33               | -883 33   |         | Y                 |
|                                                   | Trade         | 55 000                  |                        | 09/26/08                       | 01/15/09     | 1,264 99    | 1,932 54               | -667 55   |         | Y                 |
|                                                   | Trade         | 80 000                  |                        | 11/20/08                       | 01/15/09     | 1,839 99    | 1,362 40               | 477 59    |         | Y                 |
| PFIZER INC                                        | Trade         | 1 000                   |                        | 05/13/08                       | 01/15/09     | 17 16       | 19 96                  | -2 80     |         | Y                 |
|                                                   | Trade         | 113 000                 |                        | 07/02/08                       | 01/15/09     | 1,939 07    | 1,996 71               | -57 64    |         | Y                 |
| PHILIP MORRIS INTL INC                            | Trade         | 81 000                  |                        | 03/12/08                       | 01/15/09     | 3,360 67    | 4,209 84               | -849 17   |         | Y                 |
|                                                   | Trade         | 3 000                   |                        | 05/14/08                       | 01/15/09     | 124 47      | 157 74                 | -33 27    |         | Y                 |
| ROYAL BANK SCOTLAND SPON<br>ADR                   | Trade         | 61 000                  |                        | 07/18/08                       | 01/15/09     | 774 08      | 4,648 08               | -3,874 00 |         | Y                 |
|                                                   | Trade         | 70 000                  |                        | 11/20/08                       | 01/15/09     | 888 29      | 927 50                 | -39 21    |         | Y                 |
| ROYAL DUTCH SHELL PLC<br>CL A SPON ADR            | Trade         | 47 000                  |                        | 05/30/08                       | 01/15/09     | 2,321 32    | 4,002 99               | -1,681 67 |         | Y                 |
|                                                   | Trade         | 108 000                 |                        | 06/26/08                       | 01/15/09     | 5,334 09    | 8,653 06               | -3,318 97 |         | Y                 |
| SAFEWAY INC                                       | Trade         | 135 000                 |                        | 10/31/08                       | 01/15/09     | 3,071 23    | 2,926 03               | 145 20    |         | Y                 |
| SCHERING PLOUGH CORP<br>**MERGR EFF: 11/09**      | Trade         | 111 000                 |                        | 01/09/09                       | 01/15/09     | 2,025 73    | 2,062 52               | -36 79    |         | Y                 |
| SHARP CORP UNSPONSORED<br>ADR                     | Trade         | 14 000                  |                        | 05/14/08                       | 01/15/09     | 111 30      | 238 64                 | -127 34   |         | Y                 |

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Short-Term Gain/Loss - continued

This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount       | Cost or Other<br>Basis | Gain/Loss          | Remarks | Matches<br>1099-B |
|---------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------------|------------------------|--------------------|---------|-------------------|
| SPRINT NEXTEL CORP<br>SERIES 1 COMMON STOCK             | Trade         | 235 000                 |                        | 03/14/08                       | 01/15/09     | 521 70            | 1,426 10               | -904 40            |         | Y                 |
|                                                         | Trade         | 1,215 000               |                        | 11/20/08                       | 01/15/09     | 2,697 28          | 1,725 18               | 972 10             |         | Y                 |
| STATOIL ASA SPON ADR                                    | Trade         | 166 000                 |                        | 03/12/08                       | 01/15/09     | 2,720 72          | 5,148 39               | -2,427 67          |         | Y                 |
| TELECOM ITALIA SPA NEW<br>REPSTG 10 ORD SHS SPON<br>ADR | Trade         | 185 000                 |                        | 01/09/09                       | 01/15/09     | 2,597 38          | 2,866 48               | -269 10            |         | Y                 |
| TIME WARNER INC<br>**REVERSE SPLIT EFF<br>3/2009**      | Trade         | 143 000                 |                        | 09/26/08                       | 01/15/09     | 1,344 19          | 1,996 82               | -652 63            |         | Y                 |
| TOTAL S A FRANCE SPON<br>ADR                            | Trade         | 117 000                 |                        | 09/04/08                       | 01/15/09     | 5,776 25          | 7,653 74               | -1,877 49          |         | Y                 |
| TRAVELERS COS INC/THE                                   | Trade         | 45 000                  |                        | 11/20/08                       | 01/15/09     | 1,803 14          | 1,599 30               | 203 84             |         | Y                 |
|                                                         | Trade         | 52 000                  |                        | 01/09/09                       | 01/15/09     | 2,083 62          | 2,187 04               | -103 42            |         | Y                 |
| VODAFONE GROUP PLC NEW<br>SPON ADR                      | Trade         | 95 000                  |                        | 09/26/08                       | 01/15/09     | 1,844 89          | 2,210 87               | -365 98            |         | Y                 |
| WSTN DIGITAL CORP                                       | Trade         | 105 000                 |                        | 09/04/08                       | 01/15/09     | 1,285 19          | 2,696 30               | -1,411 11          |         | Y                 |
|                                                         | Trade         | 52 000                  |                        | 09/11/08                       | 01/15/09     | 636 47            | 1,241 81               | -605 34            |         | Y                 |
|                                                         | Trade         | 50 000                  |                        | 11/20/08                       | 01/15/09     | 612 00            | 513 00                 | 99 00              |         | Y                 |
| WYETH ***MERGER EFF<br>10/09***                         | Trade         | 54 000                  |                        | 01/09/09                       | 01/15/09     | 2,039 02          | 2,048 22               | -9 20              |         | Y                 |
| <b>Total Short-Term Gain/Loss</b>                       |               |                         |                        |                                |              | <b>228,386.31</b> | <b>348,693.16</b>      | <b>-120,306.85</b> |         |                   |

Long-Term Gain/Loss

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| ALLIANZ SE ADR       | Trade         | 72 000                  |                        | 11/21/07                       | 01/09/09     | 684 65      | 1,448 16               | -763 51   |         | Y                 |
|                      | Trade         | 157 000                 |                        | 11/21/07                       | 01/15/09     | 1,394 15    | 3,157 80               | -1,763 65 |         | Y                 |

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**Long-Term Gain/Loss - continued**

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                                                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches.<br>1099-B |
|-----------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|--------------------|
| ALTRIA GROUP INC                                                      | Trade         | 18 000                  |                        | 07/03/06                       | 01/15/09     | 293 40      | 307 72                 | -14 32     | 1       | Y                  |
|                                                                       | Trade         | 47 000                  |                        | 07/28/06                       | 01/15/09     | 766 09      | 878 64                 | -112 55    | 1       | Y                  |
|                                                                       | Trade         | 45 000                  |                        | 07/13/07                       | 01/15/09     | 733 50      | 983 53                 | -250 03    |         | Y                  |
|                                                                       | Trade         | 20 000                  |                        | 07/19/07                       | 01/15/09     | 326 00      | 432 12                 | -106 12    |         | Y                  |
| ARCELORMITTAL SA NY REG                                               | Trade         | 156 000                 |                        | 02/22/07                       | 01/15/09     | 3,591 10    | 8,082 36               | -4,491 26  | 1       | Y                  |
|                                                                       | Trade         | 50 000                  |                        | 07/13/07                       | 01/15/09     | 1,150 99    | 3,359 00               | -2,208 01  |         | Y                  |
|                                                                       | Trade         | 40 000                  |                        | 07/19/07                       | 01/15/09     | 920 79      | 2,638 00               | -1,717 21  |         | Y                  |
| BASF SE SPON ADR                                                      | Trade         | 20 000                  |                        | 11/07/06                       | 01/09/09     | 691 51      | 873 47                 | -181 96    | 1       | Y                  |
|                                                                       | Trade         | 37 000                  |                        | 12/12/06                       | 01/09/09     | 1,279 30    | 1,748 89               | -469 59    | 1       | Y                  |
|                                                                       | Trade         | 103 000                 |                        | 12/12/06                       | 01/15/09     | 3,203 65    | 4,868 54               | -1,664 89  | 1       | Y                  |
|                                                                       | Trade         | 60 000                  |                        | 07/13/07                       | 01/15/09     | 1,866 20    | 4,105 80               | -2,239 60  |         | Y                  |
|                                                                       | Trade         | 20 000                  |                        | 07/19/07                       | 01/15/09     | 622 07      | 1,366 20               | -744 13    |         | Y                  |
| BNP PARIBAS SA ADR                                                    | Trade         | 55 000                  |                        | 07/06/06                       | 01/15/09     | 1,093 24    | 2,689 50               | -1,596 26  | 1       | Y                  |
|                                                                       | Trade         | 195 000                 |                        | 07/28/06                       | 01/15/09     | 3,876 02    | 9,681 75               | -5,805 73  | 1       | Y                  |
| CBS CORP NEW CL B                                                     | Trade         | 532 000                 |                        | 07/13/07                       | 01/15/09     | 3,809 10    | 18,401 88              | -14,592 78 |         | Y                  |
|                                                                       | Trade         | 15 000                  |                        | 07/19/07                       | 01/15/09     | 107 40      | 523 95                 | -416 55    |         | Y                  |
| CHEVRON CORP                                                          | Trade         | 30 000                  |                        | 10/17/07                       | 01/15/09     | 2,082 29    | 2,791 26               | -708 97    |         | Y                  |
|                                                                       | Trade         | 10 000                  |                        | 10/24/07                       | 01/15/09     | 694 10      | 899 63                 | -205 53    |         | Y                  |
| CHINA PETROLEUM &<br>CHEMICAL CORP SPON ADR                           | Trade         | 15 000                  |                        | 07/13/07                       | 01/15/09     | 809 99      | 1,727 25               | -917 26    |         | Y                  |
|                                                                       | Trade         | 15 000                  |                        | 07/19/07                       | 01/15/09     | 809 99      | 1,603 50               | -793 51    |         | Y                  |
| CHINA UNICOM HONG KONG<br>LTD ADR                                     | Trade         | 99 000                  |                        | 07/03/06                       | 01/15/09     | 996 92      | 1,188 19               | -191 27    | 1       | Y                  |
|                                                                       | Trade         | 136 000                 |                        | 07/28/06                       | 01/15/09     | 1,369 51    | 1,671 34               | -301 83    | 1       | Y                  |
| COMPANHIA VALE DO RIO<br>DOCE SPONS ADR 250 PREF<br>**NAME CHANGE 05/ | Trade         | 311 000                 |                        | 01/08/08                       | 01/15/09     | 3,411 65    | 8,606 02               | -5,194 37  |         | Y                  |
| CONOCOPHILLIPS                                                        | Trade         | 11 000                  |                        | 07/28/06                       | 01/09/09     | 578 72      | 745 91                 | -167 19    | 1       | Y                  |
|                                                                       | Trade         | 15 000                  |                        | 07/19/07                       | 01/09/09     | 789 16      | 1,312 80               | -523 64    |         | Y                  |

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## Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches-<br>1099-B |
|--------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|--------------------|
| CREDIT SUISSE GROUP SPON<br>ADR            | Trade         | 80 000                  |                        | 07/03/06                       | 01/15/09     | 1,872 79    | 4,524 00               | -2,651 21 | 1       | Y                  |
|                                            | Trade         | 128 000                 |                        | 07/28/06                       | 01/15/09     | 2,996 46    | 7,191 04               | -4,194 58 | 1       | Y                  |
|                                            | Trade         | 25 000                  |                        | 07/19/07                       | 01/15/09     | 585 25      | 1,798 50               | -1,213 25 |         | Y                  |
| DEUTSCHE BANK AG REG SHS<br>ORD            | Trade         | 43 000                  |                        | 07/24/07                       | 01/09/09     | 1,406 55    | 6,196 77               | -4,790 22 |         | Y                  |
|                                            | Trade         | 2 000                   |                        | 07/24/07                       | 01/15/09     | 58 10       | 288 22                 | -230 12   |         | Y                  |
|                                            | Trade         | 48 000                  |                        | 10/30/07                       | 01/15/09     | 1,394 39    | 6,155 61               | -4,761 22 |         | Y                  |
| DOW CHEMICAL                               | Trade         | 96 000                  |                        | 04/11/07                       | 01/09/09     | 1,513 93    | 4,345 89               | -2,831 96 | 1       | Y                  |
|                                            | Trade         | 15 000                  |                        | 07/19/07                       | 01/09/09     | 236 55      | 715 80                 | -479 25   |         | Y                  |
|                                            | Trade         | 20 000                  |                        | 07/25/07                       | 01/09/09     | 315 40      | 914 64                 | -599 24   |         | Y                  |
| E ON AG SPON ADR                           | Trade         | 78 000                  |                        | 07/03/06                       | 01/15/09     | 2,626 61    | 3,000 66               | -374 05   | 1       | Y                  |
|                                            | Trade         | 95 000                  |                        | 07/28/06                       | 01/15/09     | 3,199 08    | 3,884 55               | -685 47   | 1       | Y                  |
|                                            | Trade         | 25 000                  |                        | 07/19/07                       | 01/15/09     | 841 86      | 1,403 50               | -561 64   |         | Y                  |
| ENI SPA IT SPON ADR                        | Trade         | 17 000                  |                        | 07/03/06                       | 01/09/09     | 801 84      | 1,016 43               | -214 59   | 1       | Y                  |
|                                            | Trade         | 71 000                  |                        | 07/03/06                       | 01/15/09     | 3,062 21    | 4,245 09               | -1,182 88 | 1       | Y                  |
|                                            | Trade         | 61 000                  |                        | 07/28/06                       | 01/15/09     | 2,630 91    | 3,722 83               | -1,091 92 | 1       | Y                  |
| HARTFORD FINCL SERVICES<br>GROUP INC       | Trade         | 36 000                  |                        | 07/03/06                       | 01/15/09     | 491 40      | 3,052 80               | -2,561 40 | 1       | Y                  |
|                                            | Trade         | 31 000                  |                        | 07/28/06                       | 01/15/09     | 423 15      | 2,652 36               | -2,229 21 | 1       | Y                  |
|                                            | Trade         | 10 000                  |                        | 07/19/07                       | 01/15/09     | 136 50      | 967 70                 | -831 20   |         | Y                  |
| HBOS PLC **EXCHANGE EFF<br>1/2009 SPON ADR | Trade         | 107 000                 |                        | 07/03/06                       | 01/15/09     | 110 21      | 1,842 02               | -1,731 81 | 1       | Y                  |
|                                            | Trade         | 101 000                 |                        | 07/13/06                       | 01/15/09     | 104 03      | 1,739 10               | -1,635 07 | 1       | Y                  |
| ING GROEP N V NL SPON<br>ADR               | Trade         | 67 000                  |                        | 07/28/06                       | 01/15/09     | 611 04      | 2,728 91               | -2,117 87 | 1       | Y                  |
|                                            | Trade         | 20 000                  |                        | 07/19/07                       | 01/15/09     | 182 40      | 908 60                 | -726 20   |         | Y                  |
|                                            | Trade         | 38 000                  |                        | 11/21/07                       | 01/15/09     | 346 56      | 1,395 25               | -1,048 69 |         | Y                  |
| JPMORGAN CHASE & CO                        | Trade         | 126 000                 |                        | 11/21/07                       | 01/15/09     | 3,362 92    | 5,186 41               | -1,823 49 |         | Y                  |
| KB FINL GROUP INC SPON<br>ADR              | Trade         | 23 000                  |                        | 07/28/06                       | 01/15/09     | 590 18      | 2,042 63               | -1,452 45 | 1       | Y                  |
|                                            | Trade         | 15 000                  |                        | 04/11/07                       | 01/15/09     | 384 90      | 1,434 51               | -1,049 61 | 1       | Y                  |
| KROGER COMPANY                             | Trade         | 20 000                  |                        | 07/13/07                       | 01/15/09     | 484 80      | 576 00                 | -91 20    |         | Y                  |
|                                            | Trade         | 50 000                  |                        | 07/19/07                       | 01/15/09     | 1,211 99    | 1,440 00               | -228 01   |         | Y                  |

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Long-Term Gain/Loss - continued

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| LUKOIL OIL CO SPON ADR<br>(25 RUBLES)             | Trade         | 52 000                  |                        | 10/30/07                       | 01/15/09     | 1,636 95    | 4,666 08               | -3,029 13 |         | Y                 |
| MACY'S INC                                        | Trade         | 69 000                  |                        | 04/11/07                       | 01/15/09     | 656 19      | 3,145 93               | -2,489 74 | 1       | Y                 |
|                                                   | Trade         | 105 000                 |                        | 07/13/07                       | 01/15/09     | 998 54      | 4,167 45               | -3,168 91 |         | Y                 |
|                                                   | Trade         | 5 000                   |                        | 07/25/07                       | 01/15/09     | 47 55       | 201 15                 | -153 60   |         | Y                 |
|                                                   | Trade         | 405 000                 |                        | 10/17/07                       | 01/15/09     | 3,851 52    | 12,838 58              | -8,987 06 |         | Y                 |
| MCKESSON CORP                                     | Trade         | 127 000                 |                        | 09/11/07                       | 01/15/09     | 5,231 10    | 7,042 43               | -1,811 33 |         | Y                 |
| METLIFE INC                                       | Trade         | 122 000                 |                        | 07/03/06                       | 01/15/09     | 3,336 68    | 6,276 90               | -2,940 22 | 1       | Y                 |
|                                                   | Trade         | 44 000                  |                        | 07/28/06                       | 01/15/09     | 1,203 39    | 2,313 96               | -1,110 57 | 1       | Y                 |
|                                                   | Trade         | 10 000                  |                        | 07/13/07                       | 01/15/09     | 273 50      | 655 10                 | -381 60   |         | Y                 |
|                                                   | Trade         | 20 000                  |                        | 07/19/07                       | 01/15/09     | 547 00      | 1,262 20               | -715 20   |         | Y                 |
| NISSAN MTR LTD SPONS ADR<br>JAPAN ADR             | Trade         | 17 000                  |                        | 06/21/07                       | 01/15/09     | 118 32      | 369 58                 | -251 26   | 1       | Y                 |
|                                                   | Trade         | 358 000                 |                        | 07/24/07                       | 01/15/09     | 2,491 66    | 7,821 87               | -5,330 21 |         | Y                 |
|                                                   | Trade         | 255 000                 |                        | 09/26/07                       | 01/15/09     | 1,774 79    | 4,996 67               | -3,221 88 |         | Y                 |
|                                                   | Trade         | 450 000                 |                        | 11/21/07                       | 01/15/09     | 3,131 98    | 9,172 17               | -6,040 19 |         | Y                 |
| ORIX CORP SPON ADR                                | Trade         | 49 000                  |                        | 06/21/07                       | 01/09/09     | 1,376 09    | 6,590 10               | -5,214 01 | 1       | Y                 |
|                                                   | Trade         | 48 000                  |                        | 07/24/07                       | 01/09/09     | 1,348 01    | 6,069 36               | -4,721 35 |         | Y                 |
| PETRO-CANADA COM<br>STOCK**MERGR EFF<br>07/2009** | Trade         | 35 000                  |                        | 01/08/08                       | 01/15/09     | 804 99      | 1,917 91               | -1,112 92 |         | Y                 |
| PFIZER INC                                        | Trade         | 98 000                  |                        | 10/30/07                       | 01/15/09     | 1,681 67    | 2,418 72               | -737 05   |         | Y                 |
|                                                   | Trade         | 404 000                 |                        | 11/21/07                       | 01/15/09     | 6,932 60    | 9,136 30               | -2,203 70 |         | Y                 |
| PHILIP MORRIS INTL INC                            | Trade         | 27 000                  |                        | 07/28/06                       | 01/15/09     | 1,120 22    | 1,150 18               | -29 96    | 1       | Y                 |
|                                                   | Trade         | 45 000                  |                        | 07/13/07                       | 01/15/09     | 1,867 04    | 2,241 17               | -374 13   |         | Y                 |
|                                                   | Trade         | 20 000                  |                        | 07/19/07                       | 01/15/09     | 829 79      | 984 68                 | -154 89   |         | Y                 |
| ROYAL BANK SCOTLAND SPON<br>ADR                   | Trade         | 50 000                  |                        | 11/21/07                       | 01/15/09     | 634 50      | 8,535 72               | -7,901 22 |         | Y                 |
|                                                   | Trade         | 29 000                  |                        | 01/08/08                       | 01/15/09     | 368 01      | 4,793 26               | -4,425 25 |         | Y                 |

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**Long-Term Gain/Loss - continued**

This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B

| Security Description                               | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount       | Cost or Other<br>Basis | Gain/Loss          | Remarks | Matches-<br>1099-B |
|----------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------------|------------------------|--------------------|---------|--------------------|
| ROYAL DUTCH SHELL PLC<br>CL A SPON ADR             | Trade         | 89 000                  |                        | 10/10/07                       | 01/15/09     | 4,395 68          | 7,256 63               | -2,860 95          |         | Y                  |
| SANOI-AVENTIS SA SPON<br>ADR                       | Trade         | 28 000                  |                        | 11/17/04                       | 01/09/09     | 891 92            | 1,078 00               | -186 08            | 1       | Y                  |
|                                                    | Trade         | 129 000                 |                        | 11/17/04                       | 01/15/09     | 4,111 20          | 4,966 50               | -855 30            | 1       | Y                  |
|                                                    | Trade         | 115 000                 |                        | 07/28/06                       | 01/15/09     | 3,665 03          | 5,451 00               | -1,785 97          | 1       | Y                  |
|                                                    | Trade         | 10 000                  |                        | 07/19/07                       | 01/15/09     | 318 70            | 430 50                 | -111 80            |         | Y                  |
| SHARP CORP UNSPONSORED<br>ADR                      | Trade         | 88 000                  |                        | 09/12/06                       | 01/15/09     | 699 60            | 1,518 00               | -818 40            | 1       | Y                  |
|                                                    | Trade         | 735 000                 |                        | 07/13/07                       | 01/15/09     | 5,843 22          | 13,818 00              | -7,974 78          |         | Y                  |
|                                                    | Trade         | 50 000                  |                        | 07/19/07                       | 01/15/09     | 397 50            | 922 50                 | -525 00            |         | Y                  |
| SPRINT NEXTEL CORP<br>SERIES 1 COMMON STOCK        | Trade         | 106 000                 |                        | 07/03/06                       | 01/15/09     | 235 32            | 2,118 94               | -1,883 62          | 1       | Y                  |
|                                                    | Trade         | 141 000                 |                        | 07/28/06                       | 01/15/09     | 313 02            | 2,913 06               | -2,600 04          | 1       | Y                  |
|                                                    | Trade         | 30 000                  |                        | 07/13/07                       | 01/15/09     | 66 60             | 651 00                 | -584 40            |         | Y                  |
|                                                    | Trade         | 20 000                  |                        | 07/19/07                       | 01/15/09     | 44 40             | 439 20                 | -394 80            |         | Y                  |
| STATOIL ASA SPON ADR                               | Trade         | 214 000                 |                        | 01/08/08                       | 01/15/09     | 3,507 44          | 6,599 97               | -3,092 53          |         | Y                  |
| SUMITOMO MITSUI<br>FINANCIAL GROUP INC ADR         | Trade         | 399 000                 |                        | 07/13/07                       | 01/09/09     | 1,767 28          | 3,850 35               | -2,083 07          |         | Y                  |
|                                                    | Trade         | 53 000                  |                        | 07/13/07                       | 01/15/09     | 211 47            | 511 45                 | -299 98            |         | Y                  |
|                                                    | Trade         | 115 000                 |                        | 07/19/07                       | 01/15/09     | 458 85            | 1,069 50               | -610 65            |         | Y                  |
|                                                    | Trade         | 143 000                 |                        | 10/30/07                       | 01/15/09     | 570 57            | 1,157 61               | -587 04            |         | Y                  |
|                                                    | Trade         | 3 000                   |                        | 11/21/07                       | 01/15/09     | 11 97             | 21 59                  | -9 62              |         | Y                  |
|                                                    | Trade         | 977 000                 |                        | 01/08/08                       | 01/15/09     | 3,898 21          | 7,572 43               | -3,674 22          |         | Y                  |
| TIME WARNER INC<br>**REVERSE SPLIT EFF<br>3/2009** | Trade         | 318 000                 |                        | 07/03/06                       | 01/15/09     | 2,989 18          | 5,482 32               | -2,493 14          | 1       | Y                  |
|                                                    | Trade         | 134 000                 |                        | 07/13/06                       | 01/15/09     | 1,259 59          | 2,180 01               | -920 42            | 1       | Y                  |
|                                                    | Trade         | 34 000                  |                        | 07/28/06                       | 01/15/09     | 319 60            | 553 52                 | -233 92            | 1       | Y                  |
|                                                    | Trade         | 20 000                  |                        | 07/19/07                       | 01/15/09     | 188 00            | 414 00                 | -226 00            |         | Y                  |
| UNTD MICROELECTRONICS<br>CORP NEW SPON ADR         | Trade         | 407 000                 |                        | 10/30/07                       | 01/09/09     | 834 99            | 1,522 86               | -687 87            |         | Y                  |
|                                                    | Trade         | 864 000                 |                        | 11/21/07                       | 01/09/09     | 1,772 57          | 2,930 96               | -1,158 39          |         | Y                  |
|                                                    | Trade         | 1,523 000               |                        | 11/21/07                       | 01/15/09     | 2,893 68          | 5,166 49               | -2,272 81          |         | Y                  |
| VODAFONE GROUP PLC NEW<br>SPON ADR                 | Trade         | 109 000                 |                        | 07/13/06                       | 01/15/09     | 2,116 77          | 2,612 26               | -495 49            | 1       | Y                  |
|                                                    | Trade         | 220 000                 |                        | 07/28/06                       | 01/15/09     | 4,272 38          | 5,591 88               | -1,319 50          | 1       | Y                  |
|                                                    | Trade         | 35 000                  |                        | 07/19/07                       | 01/15/09     | 679 70            | 1,169 70               | -490 00            |         | Y                  |
| <b>Total Long-Term Gain/Loss</b>                   |               |                         |                        |                                |              | <b>160,930.03</b> | <b>360,200.73</b>      | <b>-199,270.70</b> |         |                    |

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