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Return of Private Foundation

or Section 4947(a)(1) Nonexempt Charitable Trust

Treated as a Private Foundation

2009

Department of the Treasury
Internal Revenue Service

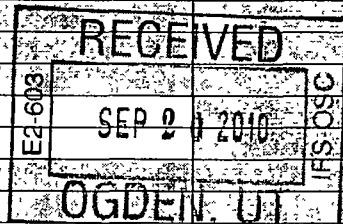
Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements.

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

6 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 CHARLES W. ROSENBAUM FOUNDATION, INC.		A Employer identification number 61-1293806
	Number and street (or P.O. box number if mail is not delivered to street address) P.O. BOX 32427		B Telephone number 502-456-4050
	City or town, state, and ZIP code LOUISVILLE, KY 40232-2427		C If exemption application is pending, 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		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 4,582,791.		J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	
		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 ☐	

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received	350,000.		N/A	
	2 Check ☐ if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	128,025.	128,025.		STATEMENT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	-142,998.			
	b Gross sales price for all assets on line 6a	1,080,482.			
	7 Capital gain net income (from Part IV, line 2)		0.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income	5,003.	0.		STATEMENT 2	
12 Total. Add lines 1 through 11	340,030.	128,025.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees				
	c Other professional fees	STMT 3	38,077.	38,077.	0.
	17 Interest				
	18 Taxes	STMT 4	5,796.	5,796.	0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses	STMT 5	11,599.	1,599.	10,000.
	24 Total operating and administrative expenses. Add lines 13 through 23		55,472.	45,472.	10,000.
	25 Contributions, gifts, grants paid		260,000.		260,000.
26 Total expenses and disbursements. Add lines 24 and 25		315,472.	45,472.	270,000.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		24,558.			
b Net investment income (if negative, enter -0-)			82,553.		
c Adjusted net income (if negative, enter -0-)			N/A		



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Part II Balance Sheets

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	225,610.	352,555.	352,555.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges	2,252.	2,000.	2,000.
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 6	4,988,947.	4,801,100.	4,228,236.
	c Investments - corporate bonds			
11 Investments - land, buildings, and equipment basis ▶				
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers)	5,216,809.	5,155,655.	4,582,791.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐			
	and complete lines 24 through 26 and lines 30 and 31.			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒			
	and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	2,596,387.	2,596,387.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
29 Retained earnings, accumulated income, endowment, or other funds	2,620,422.	2,559,268.		
30 Total net assets or fund balances	5,216,809.	5,155,655.		
31 Total liabilities and net assets/fund balances	5,216,809.	5,155,655.		

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	5,216,809.
2 Enter amount from Part I, line 27a	2	24,558.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	5,241,367.
5 Decreases not included in line 2 (itemize) ▶ COST BASIS ADJUSTMENTS	5	85,712.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	5,155,655.

Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 1,080,482.		1,223,480.	-142,998.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			-142,998.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	-142,998.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2008	0.	4,525,030.	.000000
2007	294,523.	5,646,654.	.052159
2006	0.	3,795,290.	.000000
2005	196,817.	3,237,867.	.060786
2004	0.	2,712,606.	.000000

2 Total of line 1, column (d)	2	.112945
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	.022589
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	3,811,008.
5 Multiply line 4 by line 3	5	86,087.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	826.
7 Add lines 5 and 6	7	86,913.
8 Enter qualifying distributions from Part XII, line 4	8	270,000.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	826.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	826.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	826.
6 Credits/Payments:			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	2,000.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	2,000.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	1,174.	
11 Enter the amount of line 10 to be: Credited to 2010 estimated tax ☒ 840. Refunded ☒ 334.	11	334.	

Part VII-A Statements Regarding Activities

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

N/A

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► MICHAEL D. RUDD, MANAGER Located at ► 4344 POPLAR LEVEL RD., LOUISVILLE, KY	Telephone no. ►	502-456-4050	
		ZIP+4 ►	40213	
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year	15		N/A

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here	N/A	1b
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?		1c X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? If "Yes," list the years ►	☐ Yes ☒ No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No	
b If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009)	N/A	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?		4b X

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

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

6b

X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
MICHAEL D. RUDD	PRESIDENT/DIRECTOR			
4344 POPLAR LEVEL ROAD				
LOUISVILLE, KY 40213	0.00	0.	0.	0.
MARK BURRIS	SECRETARY/TREASURER/DIRECTOR			
4344 POPLAR LEVEL ROAD				
LOUISVILLE, KY 40213	0.00	0.	0.	0.
NEAL KOBRIN	DIRECTOR			
4344 POPLAR LEVEL ROAD				
LOUISVILLE, KY 40213	0.00	0.	0.	0.

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

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

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

0

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

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

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

0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

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

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

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

1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a Average monthly fair market value of securities	1a	3,719,383.
b Average of monthly cash balances	1b	149,661.
c Fair market value of all other assets	1c	
d Total (add lines 1a, b, and c)	1d	3,869,044.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	3,869,044.
4 Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	58,036.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,811,008.
6 Minimum investment return. Enter 5% of line 5	6	190,550.

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

1 Minimum investment return from Part X, line 6		1	190,550.
2a Tax on investment income for 2009 from Part VI, line 5	2a	826.	
b Income tax for 2009. (This does not include the tax from Part VI.)	2b		
c Add lines 2a and 2b		2c	826.
3 Distributable amount before adjustments. Subtract line 2c from line 1		3	189,724.
4 Recoveries of amounts treated as qualifying distributions		4	0.
5 Add lines 3 and 4		5	189,724.
6 Deduction from distributable amount (see instructions)		6	0.
7 Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1		7	189,724.

Part XII Qualifying Distributions (see instructions)

1 Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	270,000.
b Program-related investments - total from Part IX-B	1b	0.
2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3 Amounts set aside for specific charitable projects that satisfy the:		
a Suitability test (prior IRS approval required)	3a	
b Cash distribution test (attach the required schedule)	3b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	270,000.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	826.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	269,174.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				189,724.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			152,821.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2009:				
a From 2004				
b From 2005				
c From 2006				
d From 2007				
e From 2008				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2009 from Part XII, line 4: ► \$ 270,000.				
a Applied to 2008, but not more than line 2a			152,821.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2009 distributable amount				117,179.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				72,545.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007				
d Excess from 2008				
e Excess from 2009				

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
GREENWOOD SCHOOL 17 BUENA VISTA AVE MILL VALLEY , CA 94941	NONE	CHARITY	CHARITABLE	50,000.
THE TEMPLE- CONGREGATION ADATH ISRAEL BRITH SHOLOM 5101 US HWY 42 LOUISVILLE, KY 40242	NONE	CHARITY	CHARITABLE	150,000.
CAMPERSHIPS FOR NEBAGAMON P.O. BOX 331 EAST TROY , WI 53120	NONE	CHARITY	CHARITABLE	10,000.
GLADES HOME- HOUSE OF RUTH 607 E. ST. CATHERINE AVE. LOUISVILLE, KY 40203	NONE	CHARITY	CHARITABLE	5,000.
INTERACT CENTER 212 3RD AVE. N. #140 MINNEAPOLIS, MN 55401	NONE	CHARITY	CHARITABLE	5,000.
FAMILIES OF SPINAL MUSCULAR ATROPHY 925 BUSSE RD ELK GROVE, IL 60007	NONE	CHARITY	CHARITABLE	40,000.
Total			3a	260,000.
b Approved for future payment				
NONE				
Total			3b	0.

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

CHARLES W. ROSENBAUM FOUNDATION, INC.

Employer identification number

61-1293806

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

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

Special Rules

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

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

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

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

Name of organization

Employer identification number

CHARLES W. ROSENBAUM FOUNDATION, INC.

61-1293806

Part I Contributors (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	RUDD EQUIPMENT COMPANY 4344 POPLAR LEVEL RD LOUISVILLE, KY 40213	\$ 350,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)

CHARLES W. ROSENBAUM FOUNDATION, INC.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	MORGAN STANLEY ACCT 523-35292-12 501 SEE ATTACHED	P	VARIOUS	VARIOUS
b	MORGAN STANLEY ACCT 523-37115-13 501 SEE ATTACHED	P	VARIOUS	VARIOUS
c	MORGAN STANLEY ACCT 523-37117-11 501 SEE ATTACHED	P	VARIOUS	VARIOUS
d	MORGAN STANLEY ACCT 523-37116-12 501 SEE ATTACHED	P	VARIOUS	VARIOUS
e	MORGAN STANLEY ACCT 523-37119-19 501 SEE ATTACHED	P	VARIOUS	VARIOUS
f	VORNADO REALTY TR- CIL	P	VARIOUS	09/16/09
g	MORGAN STANLEY ACCT 523-37118-10 501 SEE ATTACHED	P	VARIOUS	12/15/09
h	MORGAN STANLEY ACCT 523-37112-16 501 SEE ATTACHED	P	VARIOUS	VARIOUS
i	POWERSHARES DB G10 CURRENCY HARVEST FUND	P	VARIOUS	VARIOUS
j	POWERSHARES DB G10 CURRENCY HARVEST FUND	P	VARIOUS	VARIOUS
k	POWERSHARES DB COMMODITY INDEX TRACKING FD	P	VARIOUS	VARIOUS
l				
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 131,948.		225,220.	-93,272.
b 19,934.		32,784.	-12,850.
c 27,200.		31,445.	-4,245.
d 5,046.		6,160.	-1,114.
e 46,530.		97,817.	-51,287.
f 16.			16.
g 149,010.		180,066.	-31,056.
h 634,800.		649,988.	-15,188.
i 34,070.			34,070.
j 26,150.			26,150.
k 5,778.			5,778.
l			
m			
n			
o			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			-93,272.
b			-12,850.
c			-4,245.
d			-1,114.
e			-51,287.
f			16.
g			-31,056.
h			-15,188.
i			34,070.
j			26,150.
k			5,778.
l			
m			
n			
o			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	-142,998.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	1
SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
MORGAN STANLEY POWERSHARES DB 610 CURRENCY	127,763.	0.	127,763.
HARVEST FD POWERSHARES DB COMMODITY INDEX	166.	0.	166.
TRACKING FD	96.	0.	96.
TOTAL TO FM 990-PF, PART I, LN 4	128,025.	0.	128,025.

FORM 990-PF	OTHER INCOME	STATEMENT	2
DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
EXCISE TAX REFUND	5,003.	0.	
TOTAL TO FORM 990-PF, PART I, LINE 11	5,003.	0.	

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	3
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT ADVISORY FEES	38,077.	38,077.		0.	
TO FORM 990-PF, PG 1, LN 16C	38,077.	38,077.		0.	

FORM 990-PF	TAXES			STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
FOREIGN INCOME TAXES PAID	5,796.	5,796.			0.
TO FORM 990-PF, PG 1, LN 18	5,796.	5,796.			0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
OTHER PORTFOLIO DEDUCTIONS	11,599.	1,599.			10,000.
TO FORM 990-PF, PG 1, LN 23	11,599.	1,599.			10,000.

FORM 990-PF	CORPORATE STOCK		STATEMENT	6
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE		
CITI SMITH BARNEY - 523-37118-10 501	379,588.	278,518.		
CITI SMITH BARNEY - 523-37117-11 501	415,126.	397,353.		
CITI SMITH BARNEY - 523-35292-12 501	1,907,768.	1,544,676.		
CITI SMITH BARNEY - 523-37116-12 501	942,653.	897,176.		
CITI SMITH BARNEY - 523-37115-13 501	444,887.	476,788.		
CITI SMITH BARNEY - 523-37112-16 501	327,405.	354,637.		
CITI SMITH BARNEY - 523-37119-19 501	383,673.	279,088.		
TOTAL TO FORM 990-PF, PART II, LINE 10B	4,801,100.	4,228,236.		

# Shares	Description	Date Acquired	Date Sold	Proceeds	Cost Basis	Gain/ (Loss)
15	Glaxosmithkline PLC	1/26/2004	1/26/2009	522.01	669.72	(147.71)
1788	Nortel Networks Corp	Various	1/21/2009	144.46	45,567.94	(45,423.48)
	Telemig Celular Participacoes- Redemption	Various	1/6/2009	0.70	-	0.70
210	KT Corp Spons	10/19/2001	3/31/2009	2,908.65	4,120.56	(1,211.91)
30	Ciba Holding Ag	5/5/2008	4/16/2009	645.88	498.34	147.54
255	Glaxosmithkline PLC	Various	4/6/2009	7,797.75	11,269.15	(3,471.40)
0.75	RTS HSBC Holdings PLC- Cash in lieu	Various	3/16/2009	6.38	-	6.38
175	KT Corp Spons	10/19/2001	Various	2,534.89	3,433.80	(898.91)
140	Sanofi-Aventis Spons	1/28/2005	4/6/2009	3,830.51	5,240.38	(1,409.87)
	Vivo Participacoes SA Adr- Redemption	Various	4/6/2009	2.39	2.80	(0.41)
	Telemig Celular Participacoes- Redemption	Various	4/7/2009	0.91	-	0.91
	Telecomunicacoes- Redemption	Various	4/14/2009	0.16	-	0.16
	RTS HSBC Holdings PLC- Redemption	Various	4/8/2009	3,378.69	-	3,378.69
	TNT N V Spons- Cash In lieu	Various	Various	9.21	9.16	0.05
	Telecomunicacoes Brasileiras SA- Tender	Various	5/7/2009	0.01	-	0.01
	TIM Participacoes S A- Cash in lieu	Various	5/7/2009	0.17	-	0.17
55	Ericsson L M Tel	3/14/2007	6/26/2009	531.02	964.68	(433.66)
140	Astrazeneca PLC	Various	Various	6,146.40	7,450.03	(1,303.63)
850	Ericsson L M Tel	3/14/2007	7/23/2009	8,781.12	14,908.71	(6,127.59)
1370	Kingfisher PLC	Various	Various	9,128.95	12,139.72	(3,010.77)
160	Telmex Intl S.A.B.	Various	7/21/2009	1,978.55	915.53	1,063.02
2500	Thomson Spons ADR	Various	7/15/2009	2,129.94	42,494.46	(40,364.52)
240	XL Capital LTD	10/22/2008	8/31/2009	4,156.43	2,255.42	1,901.01
10	Fuji Heavy Industries ADR	9/26/2007	8/10/2009	435.76	422.54	13.22
120	HSBC HLDG PLC	1/12/2007	8/7/2009	6,553.87	10,841.49	(4,287.62)
400	Mitsubishi UFJ Fincl Gp	Various	8/10/2009	2,509.25	3,557.41	(1,048.16)
	TNT N V Spons- Cash In Lieu	Various	8/31/2009	9.42	-	9.42
	RTS Infineon Techs	Various	8/18/2009	2,079.28	-	2,079.28
	Holcim LTD- Redemption	Various	8/7/2009	136.70	-	136.70
630	Infineon Techs	1/23/2006	9/9/2009	3,470.01	6,013.35	(2,543.34)
0.1	Vivo Participacoes SA Adr- Cash in lieu	Various	9/4/2009	2.38	1.31	1.07
140	HSBC HLDG PLC	1/12/2007	Various	8,024.00	12,648.41	(4,624.41)

1432	Infinion Techs	Various	10/1/2009	7,971.45	9,905.58	(1,934.13)
330	HSBC HLDG PLC	Various	11/16/2009	20,808.63	17,356.79	3,451.84
462	Holcim LTD	Various	11/9/2009	6,313.38	2,966.20	3,347.18
260	Kingfisher PLC	9/26/2007	11/9/2009	2,089.74	1,841.16	248.58
565	Telmex Intl S A.B	3/6/1998	11/12/2009	8,531.28	3,331.97	5,199.31
	Brasil Telecom S A- Cash in lieu	Various	11/24/2009	18.72	-	18.72
460	XL Capital LTD	10/22/2008	12/10/2009	8,325.78	4,322.90	4,002.88
0.7724	Brasil Telecom S A- Cash in lieu	Various	11/24/2009	23.13	48.45	(25.32)
0.6205	Brasil Telecom S A- Cash in lieu	Various	11/24/2009	10.09	21.96	(11.87)
				131,948.05	225,219.92	(93,271.87)

90	Ascend Acq Corp	1/29/2008	1/22/2009	3.59	(254.07)	257.66
0.75	Bank of America Corp- Cash in lieu	9/15/2008	1/2/2009	10.47	-	10.47
300	Nokia Corp	4/29/2008	3/18/2009	3,431.98	8,883.00	(5,451.02)
300	China Security & Surveillance Tech	1/30/2008	4/9/2009	1,334.96	4,911.00	(3,576.04)
200	Novatel Wireless Inc	3/26/2008	4/2/2009	1,361.27	1,987.20	(625.93)
300	Novatel Wireless Inc	3/26/2008	4/3/2009	1,999.00	2,980.80	(981.80)
2000	Alpha Pro Tech Ltd	10/3/2007	5/12/2009	3,002.72	3,180.00	(177.28)
1000	China Biologic Products Inc	4/30/2009	7/20/2009	3,839.90	3,345.80	494.10
5000	Artificial Life Inc	1/22/2008	12/7/2009	4,949.87	7,750.00	(2,800.13)
				19,933.76	32,783.73	(12,849.97)

MorganStanley
SmithBarney

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Ref: 00000059 00007429

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	3,177	POWERSHARES DB G10 CURRENCY	09/25/07	12/15/09	\$ 73,715.94	\$ 87,875.82	(\$ 14,159.88)	
	3,245	HARVEST FD	10/01/07		75,293.75	92,190.45	(16,896.70)	
Total					\$ 149,009.69	\$ 180,066.27	(\$ 31,056.58)	

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Ref: 00000059 00007436

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000060	52	LAS VEGAS SANDS CORP	08/18/08	03/12/09	\$ 76.46	\$ 2,782.76	(\$ 2,706.30)	
125000090	5	RIO TINTO PLC-GBP SALE OF RTS ON 5,0000 SHS	07/10/09	07/10/09	114.16	.01		114.15
125000100	.6666	TIME WARNER INC REVSPLT 03/27/09 887317105000	08/26/08	03/27/09	14.62	23.87	(9.25)	

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MorganStanley SmithBarney

Reserved Client Statement 2009 Year End Summary

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Ref: 00000059 00007437

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000110	.7092	TIME WARNER CABLE INC CASH IN LIEU OF .70923 RECORD 03/12/09 PAY 03/27/09 FROM: 887317105000 (SPINOFF)	08/26/08	03/30/09	\$ 19.41	\$ 33.34	(\$ 13.93)	
125000130	29	VISA INC COM CL A	07/23/08	02/24/09	1,593.50	2,129.60	(546.10)	
Total					\$ 1,808.15	\$ 4,969.58	(\$ 3,275.58)	\$ 114.15

Details of Long Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	.2727	AOL INC CASH IN LIEU OF .27272 RECORD 11/27/09 PAY 12/09/09 FROM: 887317303000 (MERGER)	08/26/08	12/10/09	\$ 6.30	\$ 7.05	(\$ 75)	
125000020	26	AOL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/26/08	12/23/09	609.79	672.00	(62.21)	
125000030	66	BROOKFIELD ASSET MGMT INC VOTING SHS CL A MorganStanley SmithBarney LLC acted as your agent	09/24/07	10/26/09	1,471.93	2,449.23	(977.30)	
125000040	121	BURLINGTON NORTHERN SANTA FE MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/29/08	11/24/09	11,892.45	13,376.54	(1,484.09)	
125000050	67	CNOOC LTD SPONS ADR	09/24/07	02/27/09	5,865.72	11,064.33	(5,198.61)	
125000060	136	LAS VEGAS SANDS CORP	09/24/07	03/12/09	199.98	18,430.42	(18,230.44)	
125000070	186	NYSE EURONEXT	09/24/07	03/12/09	3,200.87	14,667.09	(11,466.22)	
125000080	1,497	NV ENERGY INC	09/24/07	05/07/09	15,452.53	23,470.71	(8,018.18)	

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Ref: 00000059 00007438

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000120	107	UNION PACIFIC CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/02/08	10/30/09	\$ 6,022.77	\$ 8,709.93	(\$ 2,687.16)	
Total					\$ 44,722.34	\$ 92,847.30	(\$ 48,124.96)	

MorganStanley
SmithBarney

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Ref: 00000059 00007419

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	141.643	LOOMIS SAYLES BOND FUND INSTL CLASS	09/25/07	04/20/09	\$ 1,500.00	\$ 2,067.99	(\$ 567.99)	
125000020	53.166	LOOMIS SAYLES BOND FUND INSTL CLASS	09/25/07	07/31/09	655.00	776.22	(121.22)	
125000030	105.476	LOOMIS SAYLES BOND FUND INSTL CLASS	09/25/07	10/20/09	1,391.23	1,539.95	(148.72)	

S U M M A R Y



MorganStanley
SmithBarney

Reserved
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2009 Year End Summary

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Ref 00000059 00007420

CHARLES W ROSENBAUM

Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000040	173.41	WESTERN ASSET CORE PLUS PORTFOLIO INSTL CLASS	09/25/07	04/20/09	\$ 1,500.00	\$ 1,775.72	(\$ 275.72)	
SEE REMUNERATION NOTE BELOW V0					\$ 5,046.23	\$ 6,159.88	(\$ 1,113.65)	
Total								

MorganStanley
SmithBarney

Reserved
Client Statement
2009 Year End Summary

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Ref. 00000059 00007423

CHARLES W ROSENBAUM
Account Number

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Details of Short Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000020	208	COACH INC	10/28/08	06/23/09	\$ 5,230.21	\$ 3,426.13		\$ 1,804.08



Ref: 00000059 00007424

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000030	31	INTL BUSINESS MACHINES CORP	09/09/08	06/23/09	\$ 3,240.37	\$ 3,582.86	(\$ 342.49)	
Total					\$ 8,470.58	\$ 7,008.99	(\$ 342.49)	\$ 1,804.08

Details of Long Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	152	BEST BUY INC	09/20/07	06/23/09	\$ 5,012.62	\$ 7,064.96	(\$ 2,052.34)	
125000040	80	ORACLE CORP CGMI AND/OR ITS AFFILIATES	09/20/07	06/23/09	1,587.16	1,685.60	(98.44)	
125000050	44	QUALCOMM INC CGMI AND/OR ITS AFFILIATES	09/20/07	06/23/09	1,962.82	1,786.94		175.98
125000060	104	RESEARCH IN MOTION LTD-CAD CGMI AND/OR ITS AFFILIATES	09/20/07	06/23/09	7,237.29	9,400.56	(2,163.27)	
125000070	99	WALGREEN CO NEW	09/20/07	06/23/09	2,929.45	4,497.57	(1,568.12)	
Total					\$ 18,729.34	\$ 24,435.53	(\$ 5,882.17)	\$ 175.98

Ref: 00000059 00007327

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

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Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	5	ARCH CAPITAL GROUP LTD MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/27/09	10/14/09	\$ 345.89	\$ 313.62		\$ 32.27
125000020	4	ARCH CAPITAL GROUP LTD MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/27/09	10/23/09	275.74	250.90		24.84



Ref: 00000059 00007328

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000030	10	AXIS CAPITAL HOLDINGS LTD-USD MorganStanley SmithBarney LLC acted as your agent	09/30/09	10/20/09	\$ 303.59	\$ 303.16		\$ 43
125000040	9	AXIS CAPITAL HOLDINGS LTD-USD MorganStanley SmithBarney LLC acted as your agent	10/09/09	10/23/09	273.06	280.55	(7.49)	
125000050	6	BUNGE LIMITED	03/03/09	05/08/09	328.61	282.90		65.71
	2		03/18/09		109.53	111.97	(2.44)	
125000060	6	BUNGE LIMITED	03/18/09	05/12/09	340.00	335.90		4.10
125000070	1	BUNGE LIMITED	03/18/09	05/15/09	55.57	55.98	(.41)	
	5		03/31/09		277.83	282.88	(5.05)	
125000080	7	BUNGE LIMITED	03/31/09	05/26/09	430.90	396.03		34.87
	3		04/06/09		184.67	174.45		10.22
125000090	8	BUNGE LIMITED	04/06/09	06/01/09	525.08	465.21		59.87
125000100	8	BUNGE LIMITED	09/30/09	10/27/09	492.27	499.53	(7.26)	
	3	MorganStanley SmithBarney LLC acted as your agent in this transaction	10/02/09		184.60	183.77		83
125000110	5	BUNGE LIMITED	10/02/09	10/29/09	301.44	306.27	(4.83)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction						
125000120	1	BUNGE LIMITED	10/02/09	11/04/09	58.76	61.26	(2.50)	
	4	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/05/09		235.02	244.15	(9.13)	
125000130	4	BUNGE LIMITED	10/05/09	11/10/09	233.81	244.15	(10.34)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction						
125000140	19	FRESH DEL MONTE PRODUCE Morgan Stanley SmithBarney LLC acted as your agent in this transaction	01/06/09	07/24/09	358.08	422.90	(64.82)	

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Ref: 00000059 00007329

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000150	12	FRESH DEL MONTE PRODUCE Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	09/01/09	09/19/09	\$ 280.93	\$ 274.95		\$ 5.98
125000160	17	MONTPELIER RE HOLDINGS LTD -USD MorganStanley SmithBarney LLC acted as your agent	07/28/09	12/17/09	294.32	260.55		33.77
125000170	21 6	TRANSOCEAN LTD SWITZERLAND NEW	02/03/09 02/06/09	05/26/09	1,531.09 437.46	1,122.63 350.33		408.46 87.13
125000180	4 7 5	TRANSOCEAN LTD SWITZERLAND NEW Morgan Stanley Sml th Barney LLC acted as yo	02/10/09 02/12/09 02/19/09	06/01/09	332.92 582.61 416.15	240.95 411.64 299.47		91.97 170.97 116.68
125000190	16	TRANSOCEAN LTD SWITZERLAND NEW Morgan Stanley Sml th Barney LLC acted as yo	02/25/09	06/04/09	1,309.21	931.24		377.97
125000200	18 27	AFLAC INC	12/03/08 01/21/09	04/20/09	460.79 691.19	760.54 964.75	(299.75) (273.56)	
125000210	9 1	AGCO CORP	10/21/08 10/23/08	01/12/09	203.98 22.66	275.99 24.00	(72.01) (1.34)	
125000220	9 2	AGCO CORP	10/23/08 10/29/08	01/14/09	189.85 42.19	215.98 59.70	(26.13) (17.51)	
125000230	7 5	AGCO CORP	10/29/08 12/03/08	01/21/09	144.70 103.36	208.96 107.64	(64.26) (4.28)	
125000240	6	AGCO CORP	12/03/08	01/30/09	125.06	129.17	(4.11)	
125000250	46 113 8	AT&T INC	01/06/09 01/12/09 01/14/09	02/12/09	1,101.49 2,705.84 191.57	1,302.76 2,951.59 202.44	(201.27) (245.75) (10.87)	
125000260	17	AT&T INC	01/14/09	02/18/09	391.36	430.18	(38.82)	
125000270	102 120	AT&T INC MorganStanley SmithBarney LLC acted as your agent in this transaction	05/08/09 05/12/09	11/18/09	2,673.02 3,144.72	2,586.49 3,070.58		86.53 74.14



Ref: 00000059 00007330

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000280	14	AT&T INC	05/12/09	11/23/09	\$ 370.40	\$ 358.23		\$ 12.17
	32	MorganStanley SmithBarney LLC	07/13/09		846.62	753.14		93.48
	48	acted as your agent	07/21/09		1,269.93	1,173.53		96.40
	63	in this transaction.	07/28/09		1,666.78	1,609.74		57.04
	35		07/31/09		925.99	917.39		8.60
	16		08/03/09		423.31	417.49		5.82
	45		09/09/09		1,190.56	1,166.24		24.32
	51		09/14/09		1,349.28	1,351.96	(2.68)	
125000290	11	AT&T INC	09/14/09	11/24/09	297.74	291.60		6.14
	18	MorganStanley SmithBarney LLC	09/16/09		487.20	476.05		11.15
		acted as your agent						
		in this transaction.						
125000300	65	AT&T INC	09/16/09	11/25/09	1,767.48	- 1,719.08		48.40
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125000310	29	ABBOTT LABORATORIES	05/05/09	05/08/09	1,305.30	1,264.89		40.41
	8		05/07/09		360.08	355.40		4.68
125000320	8	AEROPOSTALE INC	04/16/09	08/05/09	290.83	241.45		49.38
		Morgan Stanley Smi						
		th Barney LLC acted as yo						
		ur agent in this transa						
125000330	9	AEROPOSTALE INC	04/20/09	08/14/09	321.51	266.66		54.85
	8	Morgan Stanley Smi	04/21/09		285.78	245.23		40.55
		th Barney LLC acted as yo						
		ur agent in this transa						
125000340	13	ALASKA AIR GROUP INC	12/08/08	04/30/09	220.16	353.11	(132.95)	
	1		12/23/08		16.93	28.14	(11.21)	
125000350	7	ALASKA AIR GROUP INC	12/23/08	05/12/09	113.75	196.95	(83.20)	
	7		01/21/09		113.75	180.16	(66.41)	
125000360	4	ALASKA AIR GROUP INC	01/21/09	05/15/09	63.74	102.95	(39.21)	
	11		02/03/09		175.29	292.51	(117.22)	
125000370	8	ALASKA AIR GROUP INC	02/03/09	05/26/09	130.56	212.73	(82.17)	
125000380	55	ALCOA INC	12/29/08	01/15/09	495.90	535.69	(39.79)	
125000390	4	ALCOA INC	12/29/08	01/21/09	32.76	38.96	(6.20)	
	55		01/02/09		450.52	668.57	(218.05)	

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MorganStanley SmithBarney

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Ref: 00000059 00007331

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000400	15	ALCOA INC	01/02/09	02/03/09	\$ 119.77	\$ 182.34	(\$ 62.57)	
	68		01/06/09		542.97	822.65	(279.68)	
	46		01/12/09		367.30	461.53	(94.23)	
125000410	7	ALCOA INC	01/12/09	02/11/09	55.16	70.23	(15.07)	
125000420	10	ALLEGHENY TECHNOLOGIES INC	01/21/09	04/20/09	272.51	217.52		54.99
	4		02/03/09		109.00	91.36		17.64
125000430	17	ALLEGHENY TECHNOLOGIES INC	02/03/09	05/12/09	887.50	388.28		240.36
	24		02/12/09		887.50	562.39		325.11
125000440	17	ALLEGHENY TECHNOLOGIES INC	02/13/09	05/15/09	553.32	426.45		126.87
	14		02/18/09		455.67	317.90		137.77
	8		02/25/09		260.38	160.50		99.88
125000450	7	ALLEGHENY TECHNOLOGIES INC	02/25/09	05/26/09	248.37	140.44		107.93
	13		03/12/09		461.27	255.76		205.51
125000460	8	ALLIANCE DATA SYSTEMS CORP	10/29/08	02/13/09	294.52	367.37	(72.85)	
125000470	8	ALLIANCE DATA SYSTEMS CORP	10/30/08	02/18/09	247.62	388.89	(141.27)	
125000480	9	ALLIANCE DATA SYSTEMS CORP	11/07/08	03/05/09	237.61	454.31	(216.70)	
125000490	3	ALLIANCE DATA SYSTEMS CORP	11/07/08	03/16/09	97.90	151.44	(53.54)	
	6		11/12/08		195.80	289.91	(94.11)	
125000500	4	ALLIANCE DATA SYSTEMS CORP	11/12/08	03/18/09	128.99	193.27	(64.28)	
	4		11/14/08		128.99	180.89	(51.90)	
125000510	4	ALLIANCE DATA SYSTEMS CORP	11/14/08	03/31/09	143.65	180.88	(37.23)	
	7		11/17/08		251.39	271.61	(20.22)	
	6		11/18/08		215.48	240.24	(24.76)	
125000520	10	ALLIANT ENERGY CORP-USD	04/16/09	07/07/09	259.84	242.54		17.30
		Morgan Stanley Smi						
		th Barney LLC acted as yo						
		ur agent in this transa						
125000530	12	ALLIANT ENERGY CORP-USD	04/16/09	07/16/09	312.60	291.04		21.56
		Morgan Stanley Smi						
		th Barney LLC acted as yo						
		ur agent in this transa						
125000590	21	ALLSTATE CORP	05/26/09	07/07/09	510.00	550.11	(40.11)	
		Morgan Stanley Smi						
		th Barney LLC acted as yo						
		ur agent in this transa						



Ref: 00000059 00007332

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000600	49	ALLSTATE CORP	05/26/09	07/20/09	\$ 1,186.40	\$ 1,283.58	(\$ 97.18)	
	15	Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	06/04/09		363.19	386.98	(23.79)	
125000610	36	ALLSTATE CORP	06/04/09	07/21/09	882.93	928.77	(45.84)	
		Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa						
125000620	8	ALLSTATE CORP	06/04/09	07/27/09	213.55	206.39		7.16
	23	Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	06/11/09		613.96	578.59		35.37
125000630	18	ALTRIA GROUP INC	07/02/09	11/18/09	347.44	294.26		53.18
	18	Morgan Stanley SmithBarney LLC	07/07/09		347.44	296.31		51.13
	77	acted as your agent	07/09/09		1,486.26	1,259.78		226.48
	26	in this transaction.	07/29/09		501.85	458.48		43.37
	20		07/30/09		386.04	356.28		29.76
	12		08/03/09		231.62	212.65		18.97
125000640	22	ALTRIA GROUP INC	08/03/09	11/23/09	420.58	389.87		30.71
		Morgan Stanley SmithBarney LLC acted as your agent in this transaction.						
125000650	5	AMEDISYS INC	10/23/08	05/26/09	148.93	262.50	(113.57)	
	3		10/30/08		89.35	164.78	(75.43)	
125000660	7	AMEDISYS INC	10/30/08	06/10/09	212.99	384.47	(171.48)	
	2	Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	11/07/08		60.85	100.13	(39.28)	
125000670	4	AMEDISYS INC	11/07/08	06/17/09	120.43	200.27	(79.84)	
		Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa						
125000680	20	AMEREN CORP	03/27/09	11/04/09	486.08	486.65		17.43
		Morgan Stanley SmithBarney LLC acted as your agent in this transaction						

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MorganStanley SmithBarney

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Ref: 00000059 00007333

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000690	6 9	AMEREN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/27/09 03/31/09	11/10/09	\$ 152.52 228.93	\$ 140.50 208.98		\$ 12.02 19.95
125000700	3 10 14	AMEREN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/31/09 04/06/09 04/20/09	11/23/09	76.80 256.00 358.40	59.66 231.78 310.67		7.14 24.22 47.73
125000710	11	AMEREN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/20/09	11/24/09	281.33	244.10		37.23
125000720	7	AMERICAN ELECTRIC POWER CO INC	12/11/08	01/21/09	222.79	213.82		8.97
125000730	3 16 5	AMERICAN ELECTRIC POWER CO INC	12/11/08 02/02/09 02/12/09	04/06/09	78.76 420.07 131.27	91.64 510.90 155.05	(12.88) (90.83) (23.78)	
125000740	20 7	AMERICAN ELECTRIC POWER CO INC	02/12/09 02/13/09	04/16/09	536.36 187.73	620.22 223.03	(83.86) (35.30)	
125000750	16 8	AMERICAN ELECTRIC POWER CO INC	02/13/09 02/18/09	04/20/09	430.56 215.28	509.77 238.86	(79.21) (23.58)	
125000760	10 7	AMERICAN ELECTRIC POWER CO INC	02/18/09 03/05/09	04/21/09	267.49 187.24	298.58 172.19	(31.09)	15.05
125000770	13	AMERICAN ELECTRIC POWER CO INC	03/05/09	04/23/09	339.19	319.79		19.40
125000780	5	AMERICAN ELECTRIC POWER CO INC	03/05/09	04/24/09	131.59	123.00		8.59
125000790	18 10	AMERICAN ELECTRIC POWER CO INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/01/09 09/02/09	12/04/09	605.67 336.48	563.79 308.62		41.88 27.86
125000830	8	AMERICAN FINL GROUP INC OHIO MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09	11/04/09	197.35	196.99		.36
125000840	12	AMERICAN FINL GROUP INC OHIO MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09	11/10/09	299.18	295.48		3.70



MorganStanley SmithBarney

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Ref: 00000059 00007334

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000850	11	AMERICAN FINL GROUP INC OHIO MorganStanley SmithBarney LLC acted as your agent in this transaction	07/28/09	12/02/09	\$ 266.82	\$ 270.86	(\$ 4.04)	
125000860	23	AMERICAN TOWER CORP-CLASS A	11/12/08	03/03/09	630.32	628.83		1.49
	5		11/18/08		137.03	119.42		17.61
125000870	4	AMERICAN TOWER CORP-CLASS A	11/18/08	03/13/09	115.37	95.53		19.84
	11		12/15/08		317.28	288.85		28.43
125000880	12	AMERIGROUP CORP	05/26/09	10/05/09	262.45	351.46	(89.01)	
	5	MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/04/09		109.36	144.79	(35.43)	
125000890	4	AMERIGROUP CORP	06/04/09	10/13/09	90.94	115.84	(24.90)	
	9	MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/11/09		204.63	253.86	(49.23)	
125000900	6	AMERIPRISE FINANCIAL INC	02/11/08	01/05/09	143.53	307.18	(163.65)	
	10		03/18/08		239.22	508.49	(269.27)	
125000910	11	AMERIPRISE FINANCIAL INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/08/09	06/10/09	286.06	307.32	(21.26)	
125000920	10	AMERIPRISE FINANCIAL INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/08/09	06/11/09	260.94	279.39	(18.45)	
125000930	10	AMERIPRISE FINANCIAL INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/26/09	06/17/09	239.76	292.94	(53.18)	
125000940	7	AMERIPRISE FINANCIAL INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/26/09	06/18/09	168.66	205.05	(36.39)	
125000950	10	AMGEN INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/06/09	08/05/09	626.00	469.96		156.04

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MorganStanley SmithBarney

Reserved Client Statement 2009 Year End Summary

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Ref: 00000059 00007335

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000960	20	AMGEN INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/06/09	08/14/09	\$ 1,205.34	\$ 939.92		\$ 265.42
125000970	6	AMGEN INC	04/06/09	08/31/09	357.57	281.97		75.60
	13	Morgan Stanley Sml	04/15/09		774.74	617.22		157.52
	8	th Barney LLC acted as yo	04/16/09		476.76	375.17		101.59
	10	ur agent in this transa	05/04/09		595.95	484.08		111.87
125000980	14	AMGEN INC	05/04/09	09/14/09	827.40	677.71		149.69
	37	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	07/20/09		2,186.69	2,150.43		36.26
125000990	29	AMGEN INC	07/20/09	09/16/09	1,720.65	1,685.47		35.18
	14	Morgan Stanley Sml	07/21/09		830.66	818.39		12.27
	10	th Barney LLC acted as yo ur agent in this transa	07/27/09		593.32	603.33	(10.01)	
125001000	18	AON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09	10/23/09	731.50	676.47		55.03
125001010	1	AON CORP	07/02/09	10/29/09	40.78	37.58		3.20
	15	MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/21/09		611.73	559.61		52.12
	1		07/31/09		40.78	39.53		1.25
125001020	12	AON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/31/09	11/03/09	462.99	474.33	(11.34)	
125001030	4	AON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/31/09	11/10/09	159.07	158.11		.96
125001040	8	APACHE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/23/09	11/03/09	771.07	571.89		199.18



Ref: 00000059 00007336

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001050	5	APACHE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/23/09	11/30/09	\$ 477.27	\$ 357.43		\$ 119.84
125001060	4	APACHE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/23/09	12/02/09	389.22	285.94		103.28
125001070	5	APACHE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/23/09	12/11/09	476.58	357.43		119.15
125001080	4 4 2	APOLLO GROUP INC CL A	03/05/09 03/16/09 03/18/09	03/31/09	323.79 323.79 161.89	263.72 270.20 140.39		60.07 53.59 21.50
125001090	5 3	APOLLO GROUP INC CL A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/18/09 04/06/09	06/08/09	312.21 187.32	350.96 208.28	(38.75) (20.96)	
125001100	7	APOLLO GROUP INC CL A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/06/09	06/17/09	449.36	485.98	(36.62)	
125001110	9 15 26	APPLE INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/16/09 04/20/09 04/21/09	07/02/09	1,263.07 2,105.12 3,648.86	1,082.85 1,795.22 3,147.64		180.22 309.90 501.22
125001120	5 52	APPLE INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/15/09 05/26/09	07/09/09	684.53 7,119.08	616.39 6,765.52		68.14 353.56
125001130	50 5	ARCHER-DANIELS-MIDLAND CO	10/29/08 10/30/08	02/24/09	1,402.43 140.24	1,082.75 110.65		319.68 29.59
125001140	37 22	ARCHER-DANIELS-MIDLAND CO	10/30/08 11/07/08	04/30/09	914.13 543.53	818.85 494.02		95.28 49.51
125001150	66 23	ARCHER-DANIELS-MIDLAND CO	11/07/08 11/12/08	05/26/09	1,785.90 622.36	1,482.04 560.70		303.86 61.66



Ref: 00000059 00007337

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001160	37	ARCHER-DANIELS-MIDLAND CO	11/12/08	06/12/09	\$ 1,057.89	\$ 902.00		\$ 155.89
	40	Morgan Stanley Sml	11/17/08		1,143.66	1,034.13		109.53
	11	th Barney LLC acted as yo ur agent in this transa	11/18/08		314.51	281.40		33.11
125001170	16	ARCHER-DANIELS-MIDLAND CO	11/18/08	06/23/09	418.13	409.31		8.82
	46	Morgan Stanley Sml	12/03/08		1,202.12	1,137.38		64.74
		th Barney LLC acted as yo ur agent in this transa						
125001180	16	ARCHER-DANIELS-MIDLAND CO	12/03/08	07/09/09	425.75	395.61		30.14
	35	Morgan Stanley Sml	01/15/09		931.34	873.76		57.58
		th Barney LLC acted as yo ur agent in this transa						
125001190	23	ARCHER-DANIELS-MIDLAND CO	10/01/09	10/09/09	677.85	663.51		14.34
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001200	5	ARROW ELECTRONICS INC	09/18/08	05/26/09	116.77	141.20	(24.43)	
	15		10/01/08		350.32	390.09	(39.77)	
125001210	9	ARROW ELECTRONICS INC	10/01/08	06/01/09	224.80	234.06	(9.26)	
	6	Morgan Stanley Sml	02/13/09		149.86	115.21		34.65
		th Barney LLC acted as yo ur agent in this transa						
125001220	7	ARROW ELECTRONICS INC	02/13/09	06/08/09	156.61	134.42		22.19
	5	Morgan Stanley Sml	02/25/09		111.86	87.99		23.87
		th Barney LLC acted as yo ur agent in this transa						
125001230	10	ARROW ELECTRONICS INC	02/25/09	06/12/09	222.11	175.97		46.14
		Morgan Stanley Sml						
		th Barney LLC acted as yo ur agent in this transa						
125001240	10	AVERY DENNISON CORP	02/25/09	04/20/09	268.26	204.71		63.55
125001250	9	AVERY DENNISON CORP	03/05/09	04/21/09	248.59	160.05		88.54
125001260	1	AVERY DENNISON CORP	03/05/09	04/23/09	28.30	17.78		10.52
125001270	14	AVNET INC	02/13/09	04/30/09	314.13	284.75		29.38
	2		02/18/09		44.87	37.11		7.76
125001280	10	AVNET INC	02/18/09	05/08/09	217.59	185.57		32.02
	5		02/25/09		108.80	89.72		19.08



MorganStanley SmithBarney

Reserved Client Statement 2009 Year End Summary

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Ref: 00000059 00007338

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001290	7	AVNET INC	02/25/09	05/12/09	\$ 145.92	\$ 125.61		\$ 20.31
	5		03/03/09		104.23	81.54		22.69
125001300	7	AVNET INC	03/03/09	05/15/09	147.08	114.16		32.92
	5		03/10/09		105.06	77.70		27.36
125001310	7	AVNET INC	03/10/09	05/26/09	161.27	108.78		52.49
	5		03/31/09		115.19	87.82		27.37
125001320	9	AVNET INC	03/31/09	06/01/09	208.37	158.09		50.28
125001330	38	BB&T CORP	02/03/09	05/12/09	866.75	711.03		155.72
	14		03/19/09		319.33	266.67		52.66
	57		03/30/09		1,300.13	936.41		363.72
125001340	8	BJ'S WHOLESALE CLUB INC	04/01/08	01/12/09	255.51	294.64	(39.13)	
125001350	3	BJ'S WHOLESALE CLUB INC	04/01/08	01/14/09	92.27	110.49	(18.22)	
	5		04/10/08		153.79	183.07	(29.28)	
125001360	7	BJ'S WHOLESALE CLUB INC	04/10/08	01/21/09	209.68	256.31	(46.63)	
125001370	56	BANK NEW YORK MELLON CORP	12/23/08	04/02/09	1,602.32	1,473.45		128.87
	9		12/29/08		257.52	232.69		24.83
125001380	5	BANK NEW YORK MELLON CORP	12/29/08	04/06/09	139.97	129.27		10.70
	28		02/18/09		783.81	660.88		122.93
	34		02/19/09		951.76	814.35		137.41
125001390	23	BANK NEW YORK MELLON CORP	06/08/09	06/22/09	652.08	651.46		62
	26	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/12/09		737.14	741.15	(4.01)	
125001400	6	C R BARD INC NEW JERSEY	02/25/09	03/16/09	455.22	509.73	(54.51)	
125001410	8	BEST BUY INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/30/09	07/28/09	297.36	307.65	(10.29)	
125001420	4	BEST BUY INC	04/30/09	07/29/09	147.58	153.82	(6.24)	
	8	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/12/09		295.16	294.30		86
125001430	8	BEST BUY INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/12/09	07/31/09	299.92	294.30		5.62



MorganStanley SmithBarney

Reserved Client Statement 2009 Year End Summary

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Ref: 00000059 00007339

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001440	8	BEST BUY INC Morgan Stanley Smit th Barney LLC acted as yo ur agent in this transa	05/12/09	08/03/09	\$ 303.64	\$ 294.30		\$ 9.34
125001450	8	BEST BUY INC Morgan Stanley Smit th Barney LLC acted as yo ur agent in this transa	05/12/09	08/04/09	308.49	294.30		14.19
125001460	13	BEST BUY INC Morgan Stanley Smit th Barney LLC acted as yo ur agent in this transa	05/12/09	08/05/09	487.03	478.24		8.79
125001470	11	BIG LOTS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/12/09	10/09/09	288.03	271.24		16.79
125001480	11	BIG LOTS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/12/09	10/14/09	290.08	271.24		18.84
125001490	8 3	BIG LOTS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/12/09 05/15/09	10/20/09	220.23 82.59	197.27 73.26		22.96 9.33
125001500	11	BIG LOTS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/15/09	10/23/09	289.86	268.61		21.25
125001510	11	BIG LOTS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/15/09	10/29/09	283.12	268.60		14.52
125001520	1	BIG LOTS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/15/09	11/04/09	25.21	24.42		.79



Ref: 00000059 00007340

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001530	10	BIOMEN IDEC INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09	11/10/09	\$ 454.12	\$ 491.62	(\$ 37.50)	
125001540	16	BIOMEN IDEC INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09	11/18/09	737.36	786.60	(49.24)	
125001550	6	BIOMEN IDEC INC	07/28/09	11/23/09	279.23	294.97	(15.74)	
	6	MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/05/09		279.22	286.46	(7.24)	
125001560	7	BIOMEN IDEC INC	08/05/09	12/02/09	333.80	334.20	(.40)	
	13	MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/14/09		619.92	662.13	(42.21)	
125001570	14	BOEING CO	07/03/08	06/10/09	724.13	901.13	(177.00)	
	32	Morgan Stanley Sml	07/16/08		1,655.16	2,077.69	(422.53)	
	10	th Barney LLC acted as yo	09/29/08		517.24	565.91	(48.67)	
	2	ur agent in this transa	10/08/08		103.45	96.97		6.48
125001580	11	BOEING CO	10/08/08	09/14/09	562.03	533.32		28.71
	21	Morgan Stanley Sml	10/21/08		1,072.97	976.83		96.14
	7	th Barney LLC acted as yo	10/28/08		357.66	316.49		41.17
125001590	10	BOEING CO	10/28/08	09/16/09	522.20	452.12		70.08
	18	Morgan Stanley Sml	10/29/08		939.96	912.87		27.09
	7	th Barney LLC acted as yo	10/30/08		365.54	346.77		18.77
	1	ur agent in this transa	07/31/09		52.22	43.07		9.15
125001600	7	BOEING CO	07/31/09	09/18/09	368.56	301.52		67.04
	19	Morgan Stanley Sml	08/05/09		1,000.39	831.89		168.50
125001610	10	BOEING CO	08/05/09	09/24/09	518.90	437.83		81.07
		MorganStanley SmithBarney LLC acted as your agent in this transaction						

2 0 0 9 Y E A R E N D S U M M A R Y



Ref: 00000059 00007341

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001620	49	BRISTOL MYERS SQUIBB CO Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	04/06/09	07/31/09	\$ 1,049.47	\$ 1,001.31		\$ 48.16
125001630	9 29	BRISTOL MYERS SQUIBB CO Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	04/06/09 04/23/09	08/03/09	196.15 632.05	183.91 576.67		12.24 55.38
125001640	20 32 20	BRISTOL MYERS SQUIBB CO Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	04/23/09 07/07/09 07/21/09	08/05/09	434.97 695.95 434.96	397.71 635.00 400.98		37.26 60.95 33.98
125001650	39	BRISTOL MYERS SQUIBB CO Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	07/21/09	08/11/09	854.45	781.92		72.53
125001660	10	BROADCOM CORP CL A Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	05/05/09	08/04/09	287.01	237.49		49.52
125001670	10	BROADCOM CORP CL A Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	05/05/09	08/05/09	284.96	237.48		47.48
125001680	12	BUCYRUS INTERNATIONAL INC	11/07/08	01/12/09	225.39	271.35	(45.96)	
125001690	4 10	BUCYRUS INTERNATIONAL INC	11/07/08 11/17/08	01/21/09	68.55 171.39	90.45 233.51	(21.90) (62.12)	
125001700	1 10 10	BUCYRUS INTERNATIONAL INC	11/17/08 11/18/08 11/21/08	02/04/09	15.79 216.95 157.85	23.35 216.95 144.61	(7.56) (59.10)	13.24
125001710	4	BUCYRUS INTERNATIONAL INC	11/21/08	02/11/09	68.20	57.85		10.35
125001720	4 1	BURLINGTON NORTHERN SANTA FE	03/13/09 03/18/09	03/31/09	241.00 60.25	220.86 55.97		20.14 4.28
125001730	5	BURLINGTON NORTHERN SANTA FE	03/18/09	04/06/09	318.01	279.88		38.13
125001740	5	BURLINGTON NORTHERN SANTA FE	03/18/09	04/16/09	332.51	279.87		52.64
125001750	1	BURLINGTON NORTHERN SANTA FE	03/18/09	04/24/09	67.81	55.98		11.83



Ref. 00000059 00007342

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001760	21 2	C I G N A CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/20/09 07/21/09	11/03/09	\$ 589 22 56 12	\$ 522.18 49.92		\$ 67 04 6 20
125001770	10	C I G N A CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/21/09	11/04/09	300.29	249.61		50.68
125001780	26 1	CMS ENERGY CORP	10/16/08 10/23/08	03/03/09	280 44 10.79	250.73 9.88		29.71 91
125001790	23 24	CSX CORP	12/03/08 12/05/08	03/18/09	563.80 588.32	777.09 791.16	(213 29) (202 84)	
125001800	1 26 12	CSX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/05/08 12/11/08 12/22/08	11/23/09	48.64 1,264.77 583.74	32.97 915.32 374 93		15.67 349.45 208 81
125001810	9	CSX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/22/08	11/27/09	418.93	281.19		137.74
125001820	9 23	CSX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/26/08 01/06/09	11/30/09	427.07 1,091.41	280.83 835 18		146 24 256.23
125001830	13 8	CSX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/06/09 01/12/09	12/02/09	633.24 389 69	472.06 260 37		161 18 129 32
125001840	8	CSX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/12/09	12/08/09	382.25	260 37		121.88
125001850	19	CSX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/12/09	12/11/09	932 99	618.38		314.61

2 0 0 9 Y E A R E N D S U M M A R Y



Ref: 00000059 00007343

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001860	3	CSX CORP	01/12/09	12/15/09	\$ 149.17	\$ 97.64		\$ 51.53
	13	MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/16/09		646.39	402.11		244.28
125001870	10	CAMPBELL SOUP CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09	12/31/09	341.34	293.73		47.61
125001880	4	CAPELLA EDUCATION CO	02/18/09	07/28/09	255.47	244.54		10.93
	2	Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	03/18/09		127.74	99.34		28.40
125001890	3	CAPELLA EDUCATION CO Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	03/18/09	08/06/09	188.36	149.00		39.36
125001900	34	CAPITAL ONE FINL CORP	02/03/09	05/15/09	835.94	535.73		300.21
	11		02/12/09		270.45	140.65		129.80
125001910	25	CAPITAL ONE FINL CORP	02/12/09	05/26/09	563.77	319.65		244.12
	24		02/13/09		541.22	287.01		254.21
125001920	18	CAPITAL ONE FINL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/23/09	12/11/09	717.79	684.59		33.20
125001930	8	CAPITAL ONE FINL CORP	11/23/09	12/15/09	320.85	304.26		16.59
	9	MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/30/09		360.96	338.65		22.31
125001940	14	CAPITAL ONE FINL CORP	11/30/09	12/28/09	541.90	526.80		15.10
	19	MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/02/09		735.43	729.06		6.37
125001950	20	CARDINAL HEALTH INC	03/31/09	07/07/09	607.47	633.77	(26.30)	
	10	Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	04/06/09		303.73	327.70	(23.97)	
125001960	41	CARNIVAL CORP (PAIRED STOCK)	11/07/08	02/03/09	755.83	909.56	(153.73)	



Ref: 0000059 00007344

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001970	7	CARNIVAL CORP	11/07/08	03/18/09	\$ 151.05	\$ 155.29	(\$ 4.24)	
	3	(PAIRED STOCK)	11/12/08		64.74	60.74		4.00
125001980	37	CARNIVAL CORP	11/12/08	04/06/09	907.67	749.19		158.48
	5	(PAIRED STOCK)	11/17/08		122.66	96.42		26.24
125001990	30	CARNIVAL CORP	11/17/08	04/16/09	817.67	578.52		239.15
	12	(PAIRED STOCK)	11/18/08		327.07	224.89		102.18
125002000	11	CARNIVAL CORP	11/18/08	04/20/09	279.34	206.15		73.19
	21	(PAIRED STOCK)	11/19/08		533.29	359.77		173.52
	3		12/03/08		76.18	62.47		13.71
125002010	27	CARNIVAL CORP	12/03/08	04/21/09	682.05	562.21		119.84
		(PAIRED STOCK)						
125002020	8	CARNIVAL CORP	12/03/08	04/23/09	219.47	166.58		52.89
	16	(PAIRED STOCK)	12/05/08		438.94	325.86		113.08
125002030	13	CARNIVAL CORP	12/05/08	05/05/09	377.92	264.77		113.15
	31	(PAIRED STOCK)	12/11/08		901.19	692.19		209.00
125002040	43	CARNIVAL CORP	06/10/09	08/11/09	1,260.69	1,027.60		233.09
		(PAIRED STOCK)						
Morgan Stanley Sml th Barney LLC acted as yo								
125002050	22	CATERPILLAR INC	10/01/08	01/02/09	1,013.10	1,259.58	(246.48)	
	4		10/07/08		184.20	195.66	(11.46)	
125002060	3	CATERPILLAR INC	10/07/08	01/06/09	138.17	146.74	(8.57)	
	7		10/16/08		322.41	288.05		34.36
	13		10/21/08		598.75	511.90		86.85
	3		10/28/08		138.18	100.66		37.52
125002070	8	CATERPILLAR INC	10/28/08	02/03/09	241.43	268.42	(26.99)	
	18		10/29/08		543.22	645.87	(102.65)	
	3		12/02/08		90.53	111.92	(21.39)	
125002080	9	CATERPILLAR INC	12/02/08	02/12/09	274.44	335.75	(61.31)	
	38		01/21/09		1,158.77	1,466.70	(307.93)	
125002110	5	CEPHALON INC	10/30/08	03/31/09	339.55	348.01	(8.46)	
125002120	4	CEPHALON INC	11/07/08	04/06/09	273.08	293.98	(20.90)	
	1		11/14/08		68.27	74.14	(5.87)	
125002130	3	CEPHALON INC	11/14/08	05/12/09	200.39	222.42	(22.03)	
	2		12/03/08		133.60	147.87	(14.27)	
125002140	3	CEPHALON INC	12/03/08	05/15/09	197.07	221.81	(24.74)	
	2		12/05/08		131.38	152.34	(20.96)	



Ref: 00000059 00007345

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002150	2	CEPHALON INC	12/05/08	05/26/09	\$ 116.68	\$ 152.33	(\$ 35.65)	
	4		12/11/08		233.35	297.67	(64.32)	
125002160	5	CEPHALON INC	07/09/09	08/14/09	277.93	269.29		8.64
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125002170	5	CEPHALON INC	07/09/09	08/17/09	279.33	269.28		10.05
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125002230	9	CHILDRENS PLACE RETAIL STORES	07/09/09	08/18/09	281.36	238.65		42.71
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125002240	6	CHILDRENS PLACE RETAIL STORES	07/09/09	10/20/09	215.30	159.10		56.20
		Morgan Stanley Smith Barney LLC acted as your agent in this transaction.						
125002250	4	CHIPOTLE MEXICAN GRILL CLASS B	05/26/09	08/17/09	303.33	264.06		39.27
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125002260	4	CHIPOTLE MEXICAN GRILL CLASS B	06/10/09	08/18/09	303.74	292.36		11.38
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125002270	4	CHIPOTLE MEXICAN GRILL CLASS B	06/17/09	08/25/09	307.87	277.33		30.54
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125002290	12	CIMAREX ENERGY CO	06/18/09	09/14/09	482.69	374.33		108.36
	6	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/23/09		241.35	166.34		75.01
125002300	4	CIMAREX ENERGY CO	06/23/09	09/18/09	169.85	110.89		58.96
	3	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/26/09		127.39	85.08		42.31



Ref: 00000059 00007348

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002640	55	CORNING INC	05/29/09	07/02/09	\$ 836.52	\$ 796.16		\$ 40.36
	61	Morgan Stanley Sml	06/08/09		927.77	941.17	(13.40)	
	51	th Barney LLC acted as yo	06/12/09		775.68	796.74	(21.06)	
		ur agent in this transa						
125002650	11	CREE INC	03/16/09	08/03/09	352.28	235.03		117.25
	1	Morgan Stanley Sml	03/18/09		32.02	23.39		8.63
		th Barney LLC acted as yo						
		ur agent in this transa						
125002660	9	CREE INC	03/18/09	08/05/09	292.61	210.48		82.13
	2	Morgan Stanley Sml	04/06/09		65.02	53.73		11.29
		th Barney LLC acted as yo						
		ur agent in this transa						
125002670	7	CREE INC	04/06/09	08/14/09	239.02	188.06		50.96
	11	Morgan Stanley Sml	06/26/09		375.60	329.96		45.64
		th Barney LLC acted as yo						
		ur agent in this transa						
125002680	6	CUMMINS INC	06/25/08	02/18/09	133.70	432.95	(299.25)	
	17		06/26/08		378.81	1,149.47	(770.66)	
125002690	2	CUMMINS INC	06/26/08	02/25/09	41.39	135.23	(93.84)	
	20		07/16/08		413.88	1,309.90	(896.02)	
125002700	9	CUMMINS INC	07/16/08	03/05/09	175.93	589.46	(413.53)	
	10		07/28/08		195.48	652.10	(456.62)	
125002710	4	CUMMINS INC	07/28/08	03/16/09	90.41	260.84	(170.43)	
	10		07/29/08		226.01	653.30	(427.29)	
125002720	5	CUMMINS INC	07/29/08	03/18/09	117.61	326.65	(209.04)	
	15		07/30/08		352.83	1,091.87	(739.04)	
125002730	12	CUMMINS INC	07/30/08	03/19/09	295.99	873.50	(577.51)	
125002740	10	CUMMINS INC	07/30/08	03/31/09	248.89	727.92	(479.03)	
125002780	6	DST SYS INC DEL	01/21/09	09/18/09	280.66	198.54		82.12
		Morgan Stanley Sml						
		th Barney LLC acted as yo						
		ur agent in this transa						
125002790	1	DST SYS INC DEL	01/21/09	10/05/09	42.73	33.09		9.64
	6	MorganStanley SmithBarney LLC	02/04/09		256.39	199.07		57.32
		acted as your agent						
		in this transaction.						

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MorganStanley SmithBarney

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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002800	4	DST SYS INC DEL	02/04/09	10/14/09	\$ 178.34	\$ 132.72		\$ 45.62
	3	MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/05/09		133.76	100.02		33.74
125002810	4	DST SYS INC DEL	02/05/09	10/23/09	174.88	133.37		41.51
	8	MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/13/09		349.76	233.87		115.89
125002820	8	DTE ENERGY COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/06/09	10/14/09	286.25	229.00		57.25
125002830	1	DTE ENERGY COMPANY	04/06/09	10/20/09	38.32	28.62		9.70
	7	MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/16/09		268.23	202.79		65.44
125002840	8	DTE ENERGY COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/16/09	11/04/09	304.91	231.76		73.15
125002850	8	DTE ENERGY COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/30/09	11/10/09	314.57	238.17		76.40
125002860	3	DTE ENERGY COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/30/09	11/18/09	121.03	89.32		31.71
125002870	12	DARDEN RESTAURANTS INC Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	05/05/09	06/26/09	389.04	468.18	(79.14)	
125002880	4	DECKERS OUTDOOR CORP	09/03/08	01/21/09	215.50	460.79	(245.29)	
	1		09/11/08		53.87	112.21	(58.34)	
125002890	2	DECKERS OUTDOOR CORP	09/11/08	02/13/09	109.76	224.43	(114.67)	
	3		09/18/08		164.54	303.37	(138.73)	
125002900	1	DECKERS OUTDOOR CORP	09/18/08	03/18/09	49.11	101.12	(52.01)	
	3		10/23/08		147.34	244.47	(97.13)	



Ref: 00000059 00007350

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002910	18	DEERE & CO	09/08/08	01/12/09	\$ 750.71	\$ 1,119.48	(\$ 368.77)	
	1		09/22/08		41.71	63.68	(21.97)	
125002920	5	DEERE & CO	09/22/08	03/31/09	166.06	318.41	(152.35)	
	8		09/23/08		285.70	494.82	(209.12)	
	11		10/16/08		365.34	407.96	(42.62)	
125002930	5	DEERE & CO	10/16/08	04/06/09	181.45	185.43	(3.98)	
	21		12/11/08		762.07	794.96	(32.89)	
125002940	7	DEERE & CO	12/11/08	04/14/09	261.21	264.98	(3.77)	4.74
	7		02/05/09		261.21	256.47		
125002950	18	DEERE & CO	10/09/09	10/20/09	827.14	771.44		55.70
	12	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/14/09		551.42	519.20		32.22
125002960	2	DEERE & CO	10/14/09	10/22/09	95.33	86.53		8.80
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002970	17	DEVON ENERGY CORP NEW	02/25/09	04/06/09	816.42	771.27		45.15
125003000	9	DIEBOLD INC	11/14/08	01/21/09	226.35	255.06	(28.71)	
125003010	8	DIEBOLD INC	11/18/08	02/04/09	188.40	217.40	(29.00)	
125003020	46	WALT DISNEY CO	01/14/09	05/07/09	1,166.91	958.72		208.19
	38		01/21/09		963.96	793.34		170.62
125003030	17	WALT DISNEY CO	01/21/09	05/08/09	432.32	354.91		77.41
	52		02/12/09		1,322.40	953.20		369.20
125003040	13	DISCOVERY COMMUNICATIONS INC SER A	01/14/09	04/30/09	248.05	190.82		57.23
125003050	3	DISCOVERY COMMUNICATIONS INC SER A	01/14/09	05/26/09	65.69	44.03		21.66
	16		01/21/09		350.35	227.64		122.71
125003060	1	DISCOVERY COMMUNICATIONS INC SER A	01/21/09	06/04/09	22.27	14.23		8.04
	18		03/03/09		400.95	279.67		121.28
		Morgan Stanley Sml th Barney LLC acted as yo						
125003070	2	DISCOVERY COMMUNICATIONS INC SER A	03/03/09	06/10/09	45.81	31.07		14.74
	11		03/18/09		251.97	186.65		65.32
		Morgan Stanley Sml th Barney LLC acted as yo						



Ref: 00000559 00007351

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003080	12	DISCOVERY COMMUNICATIONS INC SER A Morgan Stanley Sml th Barney LLC acted as yo	03/18/09	06/12/09	\$ 264.15	\$ 203.63		\$ 60.52
125003090	6	DISCOVERY COMMUNICATIONS INC SER A Morgan Stanley Sml th Barney LLC acted as yo	03/18/09	06/23/09	120.83	101.81		19.02
	6		03/31/09		120.82	97.22		23.60
125003100	12	DISCOVERY COMMUNICATIONS INC SER A Morgan Stanley Sml th Barney LLC acted as yo	03/31/09	06/26/09	256.69	194.43		62.26
125003110	3	DISCOVERY COMMUNICATIONS INC SER A MorganStanley SmithBarney LLC acted as your agent	03/31/09	11/23/09	95.06	48.61		46.45
	7		09/14/09		221.82	197.46		24.36
125003120	11	DISCOVERY COMMUNICATIONS INC SER A MorganStanley SmithBarney LLC acted as your agent	09/14/09	12/02/09	357.39	310.30		47.09
125003130	10	DOLLAR TREE INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/04/09	08/05/09	449.76	439.49		10.27
125003140	2	DOLLAR TREE INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/04/09	08/17/09	88.60	87.90		70
	10		06/10/09		442.99	440.36		2.63
	4		06/17/09		177.20	166.38		10.82
125003150	3	DOLLAR TREE INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/17/09	08/18/09	134.01	124.79		9.22
	6		06/18/09		268.02	251.92		16.10
	1		06/26/09		44.67	42.75		1.92
125003160	7	DOLLAR TREE INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/26/09	08/21/09	320.52	299.21		21.31



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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003170	24	DOMINION RESOURCES INC VA NEW MorganStanley SmithBarney LLC acted as your agent In this transaction.	08/05/09	11/10/09	\$ 880.92	\$ 806.90		\$ 74.02
125003180	8	DOMINION RESOURCES INC VA NEW MorganStanley SmithBarney LLC acted as your agent In this transaction.	08/05/09	11/18/09	295.97	268.97		27.00
	16		08/17/09		591.95	531.18		60.77
	23		08/18/09		850.92	762.50		88.42
125003190	14	R R DONNELLEY & SONS CO MorganStanley SmithBarney LLC acted as your agent In this transaction.	11/03/09	11/16/09	300.87	283.99		16.88
125003200	20	DOW CHEMICAL CO MorganStanley SmithBarney LLC acted as your agent In this transaction.	09/16/09	10/26/09	508.01	525.06	(17.05)	
125003210	44	E I DU PONT DE NEMOURS & CO	02/25/09	03/18/09	918.13	848.00		70.13
125003220	16	E I DU PONT DE NEMOURS & CO	03/03/09	03/31/09	356.05	282.11		73.94
125003230	27	DUKE ENERGY CORP (HOLDING COMPANY) NEW MorganStanley SmithBarney LLC acted as your agent In this transaction.	07/21/09	10/09/09	421.06	402.14		18.92
	20		08/31/09		311.90	311.35		55
	1		09/14/09		15.59	15.58		01
125003240	28	DUKE ENERGY CORP (HOLDING COMPANY) NEW MorganStanley SmithBarney LLC acted as your agent	09/14/09	10/14/09	439.55	436.23		3.32
125003250	2	ENSCO INTERNATIONAL INC	09/03/08	01/12/09	54.56	124.85	(70.29)	
	19		09/18/08		518.34	1,066.08	(547.74)	
125003260	2	ENSCO INTERNATIONAL INC	09/18/08	01/14/09	53.56	112.22	(58.66)	
	8		10/07/08		214.25	375.66	(161.41)	
	7		10/13/08		187.48	267.01	(79.53)	
125003270	9	ENSCO INTERNATIONAL INC	10/13/08	01/21/09	247.87	343.29	(95.42)	
125003280	6	EASTMAN CHEMICAL CO	09/18/08	01/12/09	186.55	348.50	(161.95)	
	4		10/01/08		124.37	218.33	(93.96)	
125003290	2	EASTMAN CHEMICAL CO	10/01/08	01/14/09	59.26	109.17	(49.91)	
	6		10/30/08		177.79	237.37	(59.58)	

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Morgan Stanley Smith Barney

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CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003300	8	EASTMAN CHEMICAL CO	10/30/08	03/05/09	\$ 146.33	\$ 316.50	(\$ 170.17)	
	2		11/07/08		36.58	79.36	(42.78)	
125003310	5	EASTMAN CHEMICAL CO	11/07/08	05/12/09	198.08	198.41	(33)	
	7		11/12/08		277.31	243.16		34.15
	7		11/18/08		277.31	228.72		48.59
	9		02/03/09		356.53	228.88		127.65
125003320	64	EBAY INC	11/07/08	05/26/09	1,124.09	905.68		218.41
125003350	11	EDISON INTERNATIONAL Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	08/04/08	07/28/09	355.90	516.09	(160.19)	
125003360	2	EDISON INTERNATIONAL	08/04/08	07/31/09	64.89	93.83	(28.94)	
	12	Morgan Stanley Sml	08/18/08		389.36	542.73	(153.37)	
	14	th Barney LLC acted as yo ur agent in this transa	09/08/08		454.25	614.52	(160.27)	
	9		09/18/08		292.02	347.92	(55.90)	
125003370	10	EDISON INTERNATIONAL	09/18/08	08/03/09	321.86	386.58	(64.72)	
	16	Morgan Stanley Sml	09/23/08		514.97	632.42	(117.45)	
	4	th Barney LLC acted as yo ur agent in this transa	10/17/08		128.74	137.04	(8.30)	
125003380	5	EDISON INTERNATIONAL	10/17/08	08/05/09	156.03	171.31	(15.28)	
	18	Morgan Stanley Sml	10/31/08		561.70	639.33	(77.63)	
	2	th Barney LLC acted as yo ur agent in this transa	12/03/08		62.41	63.05	(64)	
125003390	36	EL PASO CORP	09/18/08	01/12/09	281.85	463.47	(181.62)	
	36		10/01/08		281.86	441.86	(160.00)	
125003400	51	EL PASO CORP	10/01/08	01/14/09	387.47	625.96	(238.49)	
125003410	15	EL PASO CORP	10/01/08	01/16/09	120.50	184.11	(63.61)	
125003420	9	ENCORE ACQUISITION COMPANY Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/06/09	07/02/09	265.20	233.97		31.23
125003430	9	ENCORE ACQUISITION COMPANY Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/21/09	07/09/09	247.76	239.00		8.76
125003440	15	ENDO PHARMACEUTICALS HLDGS INC CGMI AND/OR ITS AFFILIATES	03/31/09	06/01/09	247.40	267.29	(19.89)	



MorganStanley SmithBarney

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CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003450	8	ENERGEN CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	10/01/08	07/02/09	\$ 307.15	\$ 344.85	(\$ 37.70)	
125003470	6	ENERGEN CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	12/23/08	10/14/09	273.96	161.75		112.21
125003480	3 4	ENERGEN CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	12/23/08 01/21/09	10/20/09	142.86 190.22	80.88 108.96		61.78 81.26
125003490	7	ENERGEN CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	01/21/09	10/23/09	329.86	190.67		139.19
125003500	7	ENERGEN CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	02/03/09	11/04/09	308.75	213.30		95.45
125003510	5 2	ENERGEN CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	02/03/09 02/12/09	11/10/09	223.34 89.33	152.36 60.69		70.98 28.64
125003520	8	ENERGEN CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	02/12/09	11/18/09	356.06	242.77		113.29
125003530	2 6	ENERGEN CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	02/12/09 02/13/09	12/02/09	88.61 265.84	60.69 188.98		27.92 76.86
125003540	2 5	ENERGEN CORP Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	02/13/09 02/18/09	12/07/09	89.01 222.52	62.99 141.38		26.02 81.14

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MorganStanley SmithBarney

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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003550	3	ENERGEN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/18/09	12/11/09	\$ 133.97	\$ 84.82		\$ 49.15
125003560	7	ENERGY CORPORATION-NEW	02/13/09	02/25/09	476.25	491.07	(14.82)	
125003570	9	ENERGY CORPORATION-NEW	03/31/09	04/30/09	580.88	612.43	(31.55)	
125003580	4	ENERGY CORPORATION-NEW Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/31/09	06/23/09	304.70	272.19		32.51
125003590	2	ENERGY CORPORATION-NEW	03/31/09	11/30/09	157.55	136.09		21.46
	7	MorganStanley SmithBarney LLC	04/06/09		551.41	477.32		74.09
	4	acted as your agent	04/13/09		315.09	258.29		56.80
	1	in this transaction.	05/08/09		78.77	71.96		6.81
125003600	4	ENERGY CORPORATION-NEW	05/06/09	12/02/09	325.26	287.82		37.44
	5	MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/17/09		406.58	390.16		16.42
125003610	4	EQUINIX INC	06/17/09	07/23/09	317.70	271.00		46.70
	4	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/26/09		317.69	278.19		39.50
125003620	10	EXELON CORP	08/05/09	10/20/09	500.70	498.79		1.91
	22	MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/17/09		1,101.54	1,084.42		17.12
125003630	13	EXELON CORP	08/17/09	10/23/09	648.78	640.79		7.99
	11	MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/21/09		548.96	558.22	(9.26)	
125003640	12	EXELON CORP	08/21/09	11/30/09	576.46	608.97	(32.51)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003650	6	EXELON CORP	08/21/09	12/01/09	293.12	304.48	(11.36)	
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/14/09		48.85	48.81		0.04



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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003660	6	EXELON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/14/09	12/02/09	\$ 298.32	\$ 292.88		\$ 5.44
125003670	1	EXELON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/14/09	12/07/09	49.89	48.81		1.08
125003680	19	EXPEDIA INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/26/09	11/16/09	456.07	508.44	(52.37)	
125003690	29	EXPRESS SCRIPTS INC.COMMON	01/24/08 02/01/08	01/02/09	111.53 501.87	127.05 598.80	(15.52) (96.93)	
125003700	18	EXPRESS SCRIPTS INC.COMMON	02/01/08 02/27/08 03/04/08	01/06/09	56.89 455.10 56.89	66.53 524.29 61.62	(9.64) (69.19) (4.73)	
125003710	71	EXPRESS SCRIPTS INC.COMMON	03/04/08 03/11/08	01/12/09	364.82 52.12	431.34 56.95	(66.52) (4.83)	
125003720	7	EXPRESS SCRIPTS INC.COMMON	03/11/08	01/14/09	362.98	398.65	(35.67)	
125003730	6	EXPRESS SCRIPTS INC.COMMON	03/14/08	01/21/09	308.87	343.48	(34.61)	
125003740	213	EXPRESS SCRIPTS INC.COMMON	03/14/08 03/27/08	02/11/09	111.19 722.76	114.49 824.92	(3.30) (102.16)	
125003750	88	EXPRESS SCRIPTS INC COMMON Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	08/25/09 08/31/09	09/16/09	619.48 619.47	583.23 577.81		36.25 41.66
125003760	5	EXPRESS SCRIPTS INC COMMON MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/28/09	10/13/09	406.20	390.13		16.07
125003770	15	EXXON MOBIL CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/29/09	06/04/09	1,092.82	1,043.01		49.81

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MorganStanley SmithBarney

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Ref. 00000059 00007357

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003780	26	EXXON MOBIL CORP	06/19/09	12/17/09	\$ 1,784.92	\$ 1,848.98	(\$ 64.06)	
	21	MorganStanley SmithBarney LLC	06/22/09		1,441.66	1,455.24	(13.58)	
	37	acted as your agent	06/26/09		2,540.07	2,560.88	(20.81)	
	5	in this transaction.	06/30/09		343.26	348.26	(5.00)	
125003790	7	EXXON MOBIL CORP	06/30/09	12/21/09	479.21	487.56	(8.35)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125003800	13	FLIR SYSTEMS INC	08/04/08	02/13/09	292.05	503.30	(211.25)	
	1		08/07/08		22.46	38.50	(16.04)	
125003810	9	FLIR SYSTEMS INC	08/07/08	02/25/09	192.05	346.48	(154.43)	
125003820	6	FMC CORP-NEW	07/20/09	08/05/09	302.27	266.22		36.05
		Morgan Stanley Smi						
		th Barney LLC acted as yo						
		ur agent in this transa						
125003830	1	FMC CORP-NEW	07/20/09	08/12/09	51.61	44.37		7.24
		Morgan Stanley Smi						
		th Barney LLC acted as yo						
		ur agent in this transa						
125003840	7	FTI CONSULTING INC	07/28/09	11/04/09	302.91	381.51	(78.60)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125003850	5	FTI CONSULTING INC	07/28/09	11/10/09	234.29	272.50	(38.21)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125003860	11	F5 NETWORKS INC	10/29/08	02/03/09	239.81	277.67	(37.86)	
125003870	10	F5 NETWORKS INC	10/29/08	03/03/09	198.24	252.43	(54.19)	
	2		10/30/08		39.65	50.24	(10.59)	
125003880	10	F5 NETWORKS INC	10/30/08	03/05/09	193.14	251.18	(58.04)	
125003890	6	F5 NETWORKS INC	10/30/08	03/31/09	126.85	150.70	(23.85)	
	4		11/07/08		84.56	93.98	(9.42)	
125003900	9	F5 NETWORKS INC	11/07/08	04/14/09	238.85	211.47		27.38
	6		11/17/08		159.23	137.30		21.93
125003910	7	F5 NETWORKS INC	11/17/08	04/16/09	183.48	160.19		23.29
	4		11/18/08		104.84	88.76		16.08



Ref: 00000059 00007358

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003920	6	F5 NETWORKS INC	11/18/08	04/20/09	\$ 156.12	\$ 133.14		\$ 22.98
	3		11/19/08		78.06	64.17		13.89
125003930	7	F5 NETWORKS INC	11/19/08	04/21/09	186.57	149.74		36.83
	2		12/03/08		53.30	46.46		6.84
125003940	8	F5 NETWORKS INC	12/03/08	04/23/09	202.19	185.86		16.33
125003950	6	FIRST SOLAR INC	12/03/08	02/18/09	786.90	736.64		50.26
125003960	2	FIRST SOLAR INC	12/03/08	02/25/09	221.84	245.55	(23.71)	
	3		12/05/08		332.76	347.77	(15.01)	
	2		12/10/08		221.84	238.01	(16.17)	
125003970	1	FIRST SOLAR INC	12/10/08	03/03/09	109.61	119.01	(9.40)	
	5		12/29/08		548.06	677.85	(129.79)	
125003980	18	FIRSTENERGY CORP	10/14/09	12/29/09	852.03	836.75		15.28
	14	MorganStanley SmithBarney LLC	10/20/09		662.69	651.21		11.48
	2	acted as your agent in this transaction.	10/23/09		94.67	92.04		2.63
125003990	10	FLOWERVE CORP	02/04/09	07/08/09	616.46	562.76		53.70
		Morgan Stanley Sml th Barney LLC acted as your agent in this transaction						
125004000	23	FOOT LOCKER INC	10/23/08	03/05/09	193.05	271.56	(78.51)	
	14		11/07/08		117.51	181.33	(63.82)	
125004010	23	FOOT LOCKER INC	11/07/08	04/14/09	245.68	297.91	(52.23)	
125004040	14	FOREST LABORATORIES INC	10/21/08	07/27/09	361.51	327.74		33.77
		Morgan Stanley Sml th Barney LLC acted as your agent in this transaction						
125004050	12	FOSSIL INC	10/01/08	01/21/09	143.87	336.27	(192.40)	
	7		10/17/08		83.93	126.52	(42.59)	
125004060	4	FOSSIL INC	10/17/08	03/31/09	63.33	72.29	(8.96)	
125004070	41	FREEMPORT MCMORAN COPPER & GOLD CL B	12/11/08	02/12/09	1,169.31	985.54		183.77
125004080	8	FREEMPORT MCMORAN COPPER & GOLD CL B	12/11/08	02/13/09	243.29	192.30		50.99
	23		12/23/08		699.44	501.92		197.52
125004090	18	FREEMPORT MCMORAN COPPER & GOLD CL B	12/23/08	02/18/09	503.31	392.81		110.50
	11		12/29/08		307.58	254.57		53.01
125004100	27	FREEMPORT MCMORAN COPPER & GOLD CL B	12/29/08	02/25/09	787.43	624.86		162.57
	24		01/02/09		699.94	638.32		61.62

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Ref: 00000059 00007359

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004110	20 14	FREEPORT MCMORAN COPPER & GOLD CL B	01/02/09 01/14/09	03/03/09	\$ 562.34 393.64	\$ 531.93 326.43		\$ 30.41 67.21
125004120	2	FREEPORT MCMORAN COPPER & GOLD CL B	01/14/09	03/05/09	63.01	46.63		16.38
125004130	8 9	FUEL SYSTEMS SOLUTIONS INC	10/23/08 10/28/08	04/16/09	108.92 122.54	236.86 209.46	(127.94) (86.92)	
125004140	21	GAMESTOP CORP NEW CL A Morgan Stanley Smi th Barney LLC acted as your agent in this transaction	05/12/09	07/28/09	481.35	544.69	(63.34)	
125004150	25	GAMESTOP CORP NEW CL A Morgan Stanley Smi th Barney LLC acted as your agent in this transaction	05/12/09	07/31/09	550.74	648.44	(97.70)	
125004160	14 5	GAMESTOP CORP NEW CL A Morgan Stanley Smi th Barney LLC acted as your agent in this transaction	05/12/09 05/15/09	08/03/09	315.63 112.72	363.13 133.38	(47.50) (20.66)	
125004170	14	GAMESTOP CORP NEW CL A Morgan Stanley Smi th Barney LLC acted as your agent in this transaction	05/15/09	08/05/09	338.41	373.46	(35.05)	
125004180	22	GAMESTOP CORP NEW CL A Morgan Stanley Smi th Barney LLC acted as your agent in this transaction	05/15/09	08/17/09	556.91	586.88	(29.97)	
125004190	7	GAMESTOP CORP NEW CL A Morgan Stanley Smi th Barney LLC acted as your agent in this transaction	05/15/09	08/18/09	171.38	186.73	(15.35)	
125004200	29 18	GAP INC DELAWARE	02/03/09 02/12/09	02/25/09	336.05 208.58	326.48 205.47		9.57 3.11
125004210	40	GAP INC DELAWARE	02/12/09	03/16/09	484.93	456.60		28.33
125004230	22	GENERAL DYNAMICS CORP Morgan Stanley Smi th Barney LLC acted as your agent in this transaction	03/16/09	07/02/09	1,187.53	877.87		309.66



Ref: 00000059 00007360

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004240	5	GENERAL DYNAMICS CORP	03/16/09	07/09/09	\$ 257.95	\$ 199.51		\$ 58.44
	19	Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	03/18/09		980.21	736.65		243.56
125004250	11	GENERAL DYNAMICS CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/04/09	12/29/09	756.13	619.31		136.82
125004260	44	GENERAL ELECTRIC CO	02/02/09	03/23/09	444.83	512.04	(67.21)	
125004270	6	GENERAL MILLS INC	08/21/09	11/13/09	405.24	357.59		47.65
	6	MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/03/09		405.24	350.39		54.85
125004280	18	GILEAD SCIENCES INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	09/22/08	07/17/09	862.26	819.68		42.58
125004290	8	GOODRICH CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/24/09	10/20/09	448.02	394.44		53.58
125004300	5	GOODRICH CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/24/09	10/23/09	286.46	246.53		39.93
125004310	3	GOODRICH CORP	07/24/09	10/27/09	169.70	147.91		21.79
	3	MorganStanley SmithBarney LLC acted as your agent in this transaction	07/28/09		169.70	150.18		19.52
125004320	3	GOODRICH CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	07/28/09	10/29/09	165.95	150.18		15.77
125004330	5	GREEN MOUNTAIN COFFEE ROASTER INC MorganStanley SmithBarney LLC acted as your agent	05/12/09	12/11/09	328.50	271.09		57.41



MorganStanley SmithBarney

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Ref: 00000059 00007361

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004340	4	GREEN MOUNTAIN COFFEE ROASTER INC MorganStanley SmithBarney LLC acted as your agent	05/12/09	12/15/09	\$ 262.64	\$ 216.88		\$ 45.76
125004350	10	HCC INSURANCE HOLDINGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/30/09	11/23/09	264.94	276.08	(11.14)	
125004380	4	HANOVER INSURANCE GROUP INC	10/29/08	05/12/09	133.38	145.40	(12.02)	
125004390	8	HANOVER INSURANCE GROUP INC	10/29/08	05/15/09	262.63	290.79	(28.16)	
125004400	10	HARLEY-DAVIDSON INC	10/16/08	01/21/09	128.92	255.71	(126.79)	
	9		10/21/08		116.03	233.14	(117.11)	
125004410	1	HARLEY-DAVIDSON INC	10/21/08	02/11/09	13.41	25.90	(12.49)	
	11		10/23/08		147.51	246.17	(98.66)	
	11		10/30/08		147.51	264.26	(116.75)	
	12		11/07/08		160.92	252.55	(91.63)	
125004420	25	HARLEY-DAVIDSON INC	04/16/09	05/04/09	536.67	469.59		67.08
125004430	14	HARMAN INTL INDS INC NEW	04/16/09	07/20/09	327.48	240.24		87.24
	14	Morgan Stanley Smt th Barney LLC acted as yo ur agent in this transa	04/21/09		327.49	233.09		94.40
125004440	16	HEALTH NET INC	04/06/09	10/05/09	237.12	241.02	(3.90)	
	3	MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/20/09		44.46	40.39		4.07
125004450	17	HEALTH NET INC	04/20/09	10/14/09	278.11	228.86		49.25
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/21/09		16.36	13.13		3.23
125004460	16	HEALTH NET INC	04/21/09	10/23/09	251.54	210.11		41.43
	9	MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/08/09		141.49	130.24		11.25
125004470	16	HEALTH NET INC	06/08/09	10/28/09	235.68	231.55		4.13
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125004480	10	HELMERICH & PAYNE INC	10/14/08	01/06/09	276.60	310.39	(33.79)	



MorganStanley SmithBarney

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Ref: 0000059 00007362

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004490	2	HELMERICH & PAYNE INC	10/14/08	01/12/09	\$ 47.45	\$ 62.08	(\$ 14.63)	
125004500	107 15	HEWLETT PACKARD CO Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	10/29/08 11/07/08	07/02/09	4,072.16 570.86	3,839.53 515.71		232.63 55.15
125004510	72 38	HEWLETT PACKARD CO Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	11/07/08 11/14/08	07/07/09	2,674.22 1,411.40	2,475.38 1,155.02		198.84 256.38
125004520	96 16 6	HEWLETT PACKARD CO Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	11/14/08 02/03/09 03/12/09	07/15/09	3,673.78 612.30 229.61	2,917.96 556.56 169.64		755.82 55.74 59.97
125004530	3	HEWLETT PACKARD CO Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/12/09	07/16/09	116.92	84.82		32.10
125004540	8	HONEYWELL INTL INC	10/29/08	01/02/09	272.08	235.50		36.58
125004550	29 13 11	HONEYWELL INTL INC	02/12/09 02/13/09 02/25/09	05/08/09	996.68 446.79 378.05	908.51 429.27 312.66		88.17 17.52 65.39
125004560	18	HONEYWELL INTL INC	02/25/09	05/12/09	594.31	511.63		82.68
125004570	4	HONEYWELL INTL INC	02/25/09	05/26/09	128.22	113.69		14.53
125004590	23 1	HUDSON CITY BANCORP INC	03/14/08 04/01/08	02/12/09	273.74 11.90	375.93 18.31	(102.19) (6.41)	
125004600	21 12	HUDSON CITY BANCORP INC	04/01/08 04/10/08	02/13/09	250.49 143.13	384.57 212.25	(134.08) (69.12)	
125004610	19	HUDSON CITY BANCORP INC	04/10/08	02/18/09	209.63	336.07	(126.44)	
125004620	38 24	HUDSON CITY BANCORP INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/08/09 06/04/09	06/26/09	508.92 321.42	472.18 308.72		36.74 12.70
125004630	7 25	HUDSON CITY BANCORP INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/04/09 06/10/09	07/01/09	93.18 332.77	90.04 323.65		3.14 9.12
125004640	8	HUMANA INC	08/06/08	02/12/09	345.95	387.69	(41.74)	



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Ref: 00000059 00007363

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004650	8 6	HUMANA INC	08/08/08 08/13/08	02/13/09	\$ 342.41 256.80	\$ 391.20 291.68	(\$ 48.79) (34.88)	
125004660	2 8 4	HUMANA INC	08/13/08 09/08/08 10/02/08	02/18/09	82.53 330.12 165.06	97.22 354.90 163.96	(14.69) (24.78)	1.10
125004670	5 7	HUMANA INC	10/02/08 11/04/08	02/25/09	149.32 209.04	204.95 229.63	(55.63) (20.59)	
125004680	1 10	HUMANA INC	11/04/08 11/17/08	03/16/09	24.39 243.86	32.80 301.28	(8.41) (57.42)	
125004690	3 7	HUMANA INC	11/17/08 11/18/08	03/18/09	78.97 184.26	90.38 206.94	(11.41) (22.68)	
125004700	2 9 10	HUMANA INC	11/18/08 12/02/08 12/03/08	03/31/09	53.01 238.53 265.02	59.13 258.30 285.30	(6.12) (19.80) (20.28)	
125004710	7	HUMANA INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/20/09	11/10/09	292.23	201.97		90.26
125004720	7 2	HUMANA INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/20/09 07/21/09	11/18/09	285.34 81.53	201.97 58.75		83.37 22.78
125004730	8	HUMANA INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/21/09	12/14/09	340.56	235.02		105.54
125004740	16 6	IAC/INTERACTIVECORP Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	02/13/09 02/18/09	06/23/09	255.24 95.72	240.82 88.19		14.42 7.53
125004750	9 8	IAC/INTERACTIVECORP Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	02/18/09 03/31/09	06/26/09	143.62 127.67	132.29 121.46		11.33 6.21
125004760	6 9	IAC/INTERACTIVECORP Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	03/31/09 04/14/09	07/10/09	94.80 142.20	91.09 148.23	(6.03)	3.71



MorganStanley SmithBarney

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Ref. 00000059 00007364

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004770	5	IAC/INTERACTIVECORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/14/09	07/16/08	\$ 84.07	\$ 82.35		\$ 1.72
125004780	8 1	IDACORP INC	12/23/08 12/29/08	02/18/08	205.99 25.75	232.99 28.50	(27.00) (2.75)	
125004790	8 2	IDACORP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/29/08 07/13/09	10/29/09	227.65 56.91	228.01 50.17	(.36)	6.74
125004800	9	IDACORP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/13/09	11/30/09	264.54	225.74		38.80
125004810	17 6	INGRAM MICRO INC CLASS A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/31/09 04/14/09	07/10/09	290.22 102.43	215.44 77.52		74.78 24.91
125004820	14	INGRAM MICRO INC CLASS A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/14/09	07/16/09	253.01	180.89		72.12
125004830	16	INGRAM MICRO INC CLASS A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	08/18/09	09/14/09	275.31	261.81		13.50
125004840	3 13	INGRAM MICRO INC CLASS A MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/18/08 08/21/09	11/04/09	53.86 233.41	49.09 217.25		4.77 16.16
125004850	16	INTL BUSINESS MACHINES CORP	12/02/08	01/26/09	1,460.64	1,258.03		202.61
125004860	26 7 15	INTL BUSINESS MACHINES CORP	12/02/08 12/03/08 12/05/08	02/02/09	2,363.81 636.41 1,363.74	2,044.31 551.86 1,140.71		319.50 84.55 223.03
125004870	9	INTL BUSINESS MACHINES CORP	12/05/08	02/04/09	842.08	684.43		157.65
125004880	4 43 7	INTL BUSINESS MACHINES CORP	12/05/08 12/11/08 12/29/08	02/12/09	374.11 4,021.63 654.68	304.19 3,522.36 561.36		69.92 499.27 93.32

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MorganStanley SmithBarney

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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004890	21	INTL BUSINESS MACHINES CORP	12/29/08	02/13/09	\$ 1,980.78	\$ 1,884.08		\$ 296.70
125004900	4	INTL BUSINESS MACHINES CORP	12/29/08	02/18/09	366.04	320.78		45.26
125004910	9	INTL BUSINESS MACHINES CORP	04/14/09	04/29/09	936.02	894.01		42.01
125004920	16	INTERNATIONAL RECTIFIER CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/13/09	08/17/09	261.56	223.17		38.39
125004930	1	INTERNATIONAL RECTIFIER CORP	02/13/09	08/18/09	16.58	13.95		2.63
125004940	15	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/25/09	08/25/09	248.76	192.86		55.90
125004950	2	INTERNATIONAL RECTIFIER CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/25/09	08/25/09	34.01	25.72		8.29
125004960	14	IRON MTN INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/08/09	09/30/09	372.93	399.93	(27.00)	
125004970	9	IRON MTN INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/08/09	10/05/09	233.66	257.09	(23.43)	
125004980	4	IRON MTN INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/08/09	10/05/09	103.85	112.24	(8.39)	
125004990	14	IRON MTN INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/08/09	11/23/09	345.97	392.83	(46.86)	
125005000	1	IRON MTN INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/08/09	12/02/09	24.05	28.06	(4.01)	
125005010	16	IRON MTN INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/17/09	12/02/09	384.85	442.63	(57.78)	
125005020	18	JOHNSON & JOHNSON	04/29/09	05/09/09	983.57	913.44		80.13
125005030	15	JOHNSON & JOHNSON	04/30/09	05/09/09	827.97	780.38		47.59
125005040	21	JOHNSON & JOHNSON	05/05/09	05/09/09	1,159.17	1,131.84		27.33
125005050	24	JOHNSON CONTROLS INC	11/24/08	03/05/09	238.75	401.06	(162.31)	
125005060	1	JOHNSON CONTROLS INC	12/03/08	03/17/09	9.95	16.59	(6.64)	
125005070	15	JOHNSON CONTROLS INC	12/03/08	03/17/09	143.56	248.77	(105.21)	



MorganStanley SmithBarney

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CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005050	16	KBR INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/23/08	10/14/09	\$ 382.72	\$ 217.93		\$ 164.79
125005110	16	KELLOGG CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/03/09	12/14/09	860.51	751.31		109.20
125005120	19	KOHL'S CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/19/09	06/30/09	813.49	832.48	(18.99)	
125005130	9	KOHL'S CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/19/09	07/02/09	375.05	394.34	(19.29)	
125005140	1	KOHL'S CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/19/09	07/07/09	43.24	43.81	(.57)	
125005150	24 10	KRAFT FOODS INC CLASS A MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/09/09 07/15/09	11/12/09	645.71 269.04	621.54 271.64	(2.60)	24.17
125005160	21	KRAFT FOODS INC CLASS A MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/15/09	11/16/09	566.79	570.43	(3.64)	
125005170	20 7	KROGER CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/16/09 04/23/09	12/11/09	400.72 140.25	415.81 151.05	(15.09) (10.80)	
125005180	12 14	KROGER CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/23/09 07/12/09	12/15/09	241.05 281.22	258.94 303.74	(17.89) (22.52)	

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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005190	18	KROGER CO	07/21/09	12/29/09	\$ 369.24	\$ 390.52	(\$ 21.28)	
	14	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/29/09		287.19	329.82	(42.63)	
125005200	7	LHC GROUP LLC	12/03/08	10/05/08	199.25	237.33	(38.08)	
	3	MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/11/08		85.39	99.75	(14.36)	
125005210	4	LHC GROUP LLC	12/11/08	10/14/09	122.33	132.99	(10.66)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125005220	20	LEAP WIRELESS INTERNATIONAL INC NEW	07/27/09	08/17/09	341.27	526.85	(185.58)	
		Morgan Stanley Sml th Barney LLC acted as yo						
125005230	2	LEAP WIRELESS INTERNATIONAL INC NEW	07/27/09	08/18/09	33.38	52.68	(19.30)	
		Morgan Stanley Sml th Barney LLC acted as yo						
125005290	11	LEXMARK INTL GROUP INC CL A	05/08/09	10/23/09	304.67	204.70		99.97
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125005300	4	LEXMARK INTL GROUP INC CL A	05/08/09	10/29/09	105.29	74.44		30.85
	7	MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/12/09		184.25	120.63		63.62
125005310	7	LEXMARK INTL GROUP INC CL A	05/12/09	11/03/09	177.24	120.63		56.61
	4	MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/15/09		101.28	68.48		32.80
125005320	11	LEXMARK INTL GROUP INC CL A	05/15/09	11/04/09	284.15	188.31		95.84
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125005330	30	ELI LILLY & CO	10/14/08	05/12/09	1,080.37	1,063.16		17.21
	2		10/21/08		72.02	67.49		4.53



MorganStanley SmithBarney

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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

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Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005340	15	ELI LILLY & CO	10/21/08	05/26/09	\$ 521.57	\$ 506.19		\$ 15.38
	14		12/11/08		486.79	503.48	(16.69)	
	34		02/03/09		1,182.22	1,290.05	(107.83)	
	14		03/31/09		486.79	464.89		21.90
125005350	17	LOCKHEED MARTIN CORP	02/13/09	02/19/09	1,313.17	1,335.87	(22.70)	
125005360	16	LOCKHEED MARTIN CORP	03/03/09	06/26/09	1,294.64	955.35		339.29
	12	Morgan Stanley Sml	03/04/09		970.98	742.35		228.63
		th Barney LLC acted as yo						
		ur agent in this transa						
125005370	20	LOCKHEED MARTIN CORP	03/13/09	10/23/09	1,444.48	1,225.10		219.38
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125005380	3	LOCKHEED MARTIN CORP	03/13/09	10/27/09	211.66	183.77		27.89
	9	MorganStanley SmithBarney LLC	03/18/09		634.98	590.99		43.99
		acted as your agent						
		in this transaction.						
125005390	8	MDC HOLDINGS INC	09/11/08	01/12/09	258.94	318.25	(59.31)	
125005400	3	MDC HOLDINGS INC	09/11/08	01/14/09	94.37	119.35	(24.98)	
	5		10/01/08		157.28	189.66	(32.38)	
125005410	4	MDC HOLDINGS INC	10/01/08	01/21/09	114.61	151.72	(37.11)	
125005420	31	MGM MIRAGE	05/12/09	05/15/09	240.33	380.61	(140.28)	
125005430	1	MGM MIRAGE	05/12/09	05/26/09	7.26	12.28	(5.02)	
125005440	29	MARATHON OIL CORP	05/26/09	06/26/09	851.11	856.46	(5.35)	
		Morgan Stanley Sml						
		th Barney LLC acted as yo						
		ur agent in this transa						
125005450	22	MARSHALL & ILSLEY CORP NEW	01/12/09	05/26/09	138.28	239.40	(101.12)	
	16		02/02/09		100.57	83.13		17.44
125005460	29	MARSHALL & ILSLEY CORP NEW	02/02/09	06/01/09	194.45	150.68		43.77
125005470	8	MCKESSON CORPORATION	03/18/09	07/31/09	408.42	287.62		120.80
		Morgan Stanley Sml						
		th Barney LLC acted as yo						
		ur agent in this transa						



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CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005480	5	MCKESSON CORPORATION	03/18/09	08/17/09	\$ 271.16	\$ 179.77		\$ 91.39
	11	Morgan Stanley Sml	07/07/09		596.55	493.05		103.50
	24	th Barney LLC acted as yo ur agent in this transa	07/28/09		1,301.56	1,119.98		181.58
125005490	3	MCKESSON CORPORATION	07/29/09	08/18/09	163.44	140.00		23.44
		Morgan Stanley Sml						
		th Barney LLC acted as yo ur agent in this transa						
125005500	6	MEADWESTVACO CORP	11/07/08	05/12/09	92.26	80.39		11.87
	21		12/22/08		322.89	233.31		89.58
	21		12/23/08		322.89	236.40		86.49
	1		01/21/09		15.38	11.06		4.32
125005510	20	MEADWESTVACO CORP	01/21/09	05/15/09	290.52	221.11		69.41
	16		02/04/09		232.42	184.37		48.05
125005520	4	MEADWESTVACO CORP	02/04/09	05/26/09	63.17	46.09		17.08
125005530	14	MEDCO HEALTH SOLUTIONS INC	02/03/09	03/03/09	542.10	661.55	(119.45)	
125005540	7	MEDCO HEALTH SOLUTIONS INC	02/03/09	03/04/09	277.85	330.78	(52.93)	
125005550	3	MEDCO HEALTH SOLUTIONS INC	02/03/09	03/13/09	120.34	141.76	(21.42)	
	7		02/18/09		280.78	319.59	(38.81)	
125005560	42	MEDTRONIC INC	05/15/09	06/30/09	1,451.55	1,403.91		47.64
		Morgan Stanley Sml						
		th Barney LLC acted as yo ur agent in this transa						
125005570	38	MERCK & CO INC	04/01/08	03/13/09	978.95	1,454.38	(475.43)	
	16		04/14/08		412.19	661.98	(249.79)	
	13		05/05/08		334.90	507.86	(172.96)	
	16		07/09/08		412.19	601.86	(189.67)	
125005580	12	MERCK & CO INC	07/09/08	03/18/09	321.85	451.40	(129.55)	
	15		09/29/08		402.31	471.07	(68.76)	
	20		10/02/08		536.41	633.93	(97.52)	
	38		10/30/08		1,019.17	1,144.95	(125.78)	
125005590	22	MERCK & CO INC	10/30/08	03/27/09	600.74	662.87	(62.13)	
125005600	10	MERCK & CO INC	10/30/08	03/30/09	265.10	301.30	(36.20)	
	46		11/05/08		1,219.44	1,346.40	(126.96)	
	5		12/03/08		132.55	130.39		2.16
125005610	13	MERCK & CO INC	12/03/08	03/31/09	349.30	339.01		10.29



Morgan Stanley Smith Barney

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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005620	24	MICROSOFTE CORP	12/18/08	06/04/09	\$ 521.68	\$ 470.43		\$ 51.25
	26	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	12/19/08		565.15	508.69		56.46
125005630	76	MICROSOFTE CORP	12/19/08	06/08/09	1,654.54	1,486.95		167.59
	43	Morgan Stanley Sml	01/05/09		936.12	876.15		59.97
	18	th Barney LLC acted as yo	01/23/09		391.86	311.80		80.06
	94	ur agent in this transa	01/26/09		2,046.40	1,659.35		387.05
	95		02/02/09		2,088.17	1,699.85		388.32
125005640	66	MICROSOFTE CORP	02/02/09	06/09/09	1,457.36	1,180.94		276.42
	41	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/03/09		905.33	742.53		162.80
125005650	11	MICROSOFTE CORP	02/03/09	06/10/09	245.16	199.21		45.95
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125005700	20	MIRANT CORP NEW	08/04/08	01/12/09	365.43	587.86	(222.43)	
125005710	5	MIRANT CORP NEW	08/04/08	01/14/09	90.51	146.96	(56.45)	
	12		08/06/08		217.21	340.83	(123.62)	
125005720	4	MIRANT CORP NEW	08/06/08	01/21/09	69.88	113.61	(43.73)	
	14		08/07/08		244.58	398.53	(153.95)	
125005730	16	MOLEX INC	02/25/09	08/18/09	277.35	190.62		86.73
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125005740	1	MOLEX INC	02/25/09	09/01/09	17.88	11.91		5.97
	14	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/10/09		250.32	149.58		100.74
125005750	5	MOLEX INC	03/10/09	09/02/09	88.37	53.42		34.95
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125005830	6	MONSANTO CO NEW	04/30/08	04/06/09	471.71	688.98	(217.27)	
	12		08/06/08		943.41	1,319.31	(375.90)	
125005840	3	MONSANTO CO NEW	08/06/08	04/13/09	248.34	329.83	(81.49)	



MorganStanley SmithBarney

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CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005850	7 10	MONSANTO CO NEW	08/06/08 12/16/08	04/14/09	\$ 574.43 820.62	\$ 769.60 739.99	(\$ 195.17)	80.63
125005860	25 3	MOSAIC COMPANY Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	12/16/08 03/03/09	07/02/09	1,141.98 137.04	870.04 120.79		271.94 16.25
125005870	15 9 1	MOSAIC COMPANY Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	03/03/09 03/04/09 03/09/09	07/07/09	632.15 379.29 42.15	603.93 384.98 40.34	(5.69)	28.22 1.81
125005880	11 14	MOSAIC COMPANY Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	03/09/09 03/31/09	07/13/09	448.87 571.30	443.73 595.60	(24.30)	5.14
125005890	95	MOTOROLA INC DE	12/11/08	03/31/09	401.99	403.08	(1.09)	
125005900	11	MURPHY OIL CORP	04/06/09	05/05/09	564.87	518.58		46.29
125005910	16	MURPHY OIL CORP Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	07/07/09	07/27/09	937.36	812.24		125.12
125005920	27	MYLAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/08/09	11/18/09	475.81	368.43		107.38
125005930	24	MYLAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/08/09	11/23/09	431.65	327.49		104.16
125005940	17 6	MYLAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/08/09 05/12/09	11/30/09	303.96 107.28	231.98 82.82		71.98 24.46
125005950	20	MYLAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/12/09	12/02/09	369.75	276.06		93.69



MorganStanley SmithBarney

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Ref. 0000059 00007372

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005960	21 6	MYLAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/12/09 05/15/09	12/29/09	\$ 392.17 112.05	\$ 289.87 77.22		\$ 102.30 34.83
125005970	10	MYRIAD GENETICS INC	12/03/08	03/31/09	462.50	297.76		164.74
125005980	18	NCR CORP NEW	10/21/08	01/21/09	227.18	310.71	(83.53)	
125005990	2 22 16	NCR CORP NEW	10/21/08 10/30/08 12/03/08	03/03/09	14.30 157.34 114.43	34.52 395.01 224.10	(20.22) (237.67) (109.67)	
125006000	15	NRG ENERGY INC NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/09/09	10/09/09	412.46	399.06		13.40
125006010	9	NRG ENERGY INC NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/09/09	10/14/09	259.08	239.44		19.64
125006020	19	NYSE EURONEXT MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/05/09	11/16/09	508.94	522.23	(13.29)	
125006030	7	NETFLIX INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/03/09	09/01/09	297.90	256.47		41.43
125006040	5 6	NETFLIX INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/03/09 02/12/09	09/14/09	215.25 258.30	183.19 223.54		32.06 34.76
125006050	11	NETFLIX INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/12/09	09/18/09	511.66	409.81		101.85
125006060	9	NETFLIX INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/13/09	09/22/09	428.93	343.91		85.02

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Ref: 00000059 00007373

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125006070	2 6	NETFLIX INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/13/09 02/18/09	09/28/09	\$ 93.12 279.34	\$ 76.43 222.69		\$ 16.69 56.65
125006080	5 3	NETFLIX INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/18/09 02/25/09	10/05/09	227.26 136.35	185.57 108.26		41.69 28.09
125006090	7	NETFLIX INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/25/09	10/14/09	333.04	252.61		80.43
125006100	1 7	NETFLIX INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/25/09 03/03/09	10/23/09	54.85 383.95	36.09 254.19		18.76 129.76
125006110	12	NEWFIELD EXPLORATION COMPANY	05/05/08	01/05/09	261.89	736.74	(474.85)	
125006120	3	NEWFIELD EXPLORATION COMPANY	05/05/08	01/06/09	69.33	184.18	(114.85)	
125006130	12	NEWFIELD EXPLORATION COMPANY Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	06/04/09	09/18/09	529.61	432.83		96.78
125006140	10 2	NEWFIELD EXPLORATION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction	06/04/09 06/09/09	10/05/09	431.39 86.28	360.69 71.76		70.70 14.52
125006150	11	NEWFIELD EXPLORATION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/09/09	10/09/09	501.75	394.69		107.06
125006160	5 4	NEWFIELD EXPLORATION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction	06/09/09 06/10/09	10/14/09	238.04 190.43	179.40 144.07		58.64 46.36
125006170	8 7	NEWFIELD EXPLORATION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction	06/10/09 06/11/09	11/10/09	362.61 317.28	288.15 262.69		74.46 54.59



Morgan Stanley Smith Barney

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Ref: 00000059 00007374

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125006180	4	NEWMARKET CORP (HOLDING COMPANY) Morgan Stanley Sml th Barney LLC acted as yo	06/10/09	08/17/09	\$ 295.94	\$ 299.26	(\$ 3.32)	
125006190	4	NEWMARKET CORP (HOLDING COMPANY) Morgan Stanley Sml th Barney LLC acted as yo	06/11/09	08/18/09	299.41	302.35	(2.94)	
125006200	73	NEWS CORP CLASS A NEW Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	07/15/09	07/21/09	693.79	643.20		50.59
125006210	5	NORFOLK SOUTHERN CORP	12/08/08	01/05/09	243.10	243.76	(.66)	
125006220	8	NORFOLK SOUTHERN CORP	01/21/09	03/13/09	235.80	278.69	(42.89)	
125006230	7	NORFOLK SOUTHERN CORP	01/21/09	03/18/09	213.79	243.86	(30.07)	
125006240	18	NORFOLK SOUTHERN CORP	01/21/09	03/31/09	606.06	627.06	(21.00)	
125006250	24 3	NORFOLK SOUTHERN CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/10/09 06/26/09	06/30/09	903.83 112.98	965.17 117.04	(61.34) (4.06)	
125006260	15	NORFOLK SOUTHERN CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/26/09	07/02/09	556.11	585.22	(29.11)	
125006270	11	NORFOLK SOUTHERN CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/26/09	07/07/09	399.32	429.17	(29.85)	
125006280	10 10 4	NORTHROP GRUMMAN CORP	10/16/08 10/21/08 10/23/08	01/21/09	470.61 470.61 188.25	431.31 456.00 174.56		39.30 14.61 13.69
125006290	4 11 4	NORTHROP GRUMMAN CORP	10/23/08 10/30/08 11/20/08	06/01/09	194.99 536.22 194.99	174.55 504.76 148.17		20.44 31.46 46.82
125006300	5 11	NORTHROP GRUMMAN CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	11/20/08 02/12/09	06/04/09	239.88 527.72	185.21 505.63		54.67 22.09

2 0 0 9 Y E A R E N D S U M M A R Y

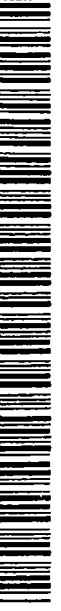


Ref. 00000059 00007375

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125006310	7	NORTHROP GRUMMAN CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/12/09	06/08/09	\$ 337.71	\$ 321.76		\$ 15.95
125006320	15	NOVELLUS SYS INC	11/18/08	03/18/09	214.01	171.84		42.17
125006330	4	NOVELLUS SYS INC	11/18/08	03/31/09	66.54	45.83		20.71
	9		11/24/08		149.72	105.31		44.41
125006340	9	NOVELLUS SYS INC	11/24/08	04/06/09	152.10	105.30		46.80
	4		12/11/08		67.60	50.77		16.83
125006350	14	NOVELLUS SYS INC	12/11/08	04/16/09	245.73	177.72		68.01
125006360	1	NOVELLUS SYS INC	12/11/08	04/20/09	16.62	12.69		3.93
125006370	1	OGE ENERGY CORP	10/23/08	01/02/09	26.19	26.02		.17
	9		12/11/08		235.71	221.03		14.68
125006380	9	OGE ENERGY CORP	12/11/08	01/21/09	216.84	221.02	(4.18)	
125006390	9	OGE ENERGY CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/01/09	10/09/09	296.83	283.47		13.36
125006400	4	OGE ENERGY CORP	09/01/09	10/14/09	133.86	125.98		7.88
	5	MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/09/09		167.33	156.84		10.49
125006410	8	OGE ENERGY CORP	09/09/09	10/23/09	277.36	250.94		26.42
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction	09/14/09		34.67	31.83		2.84
125006420	8	OGE ENERGY CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	09/14/09	10/29/09	276.87	254.63		22.24
125006430	9	OIL STATES INTERNATIONAL INC	03/14/08	01/12/09	174.20	382.22	(208.02)	
	4		03/19/08		77.42	168.49	(91.07)	
125006440	8	OIL STATES INTERNATIONAL INC	03/19/08	01/14/09	153.57	336.98	(183.41)	
	4		03/26/08		76.78	181.14	(104.36)	
125006450	6	OIL STATES INTERNATIONAL INC	03/26/08	01/21/09	108.42	271.72	(163.30)	
	7		03/28/08		126.50	313.17	(186.67)	
125006460	2	OIL STATES INTERNATIONAL INC	03/28/08	03/04/09	25.11	89.48	(64.37)	



MorganStanley SmithBarney

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Ref: 00000039 00007376

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125006470	27 24	OLD REPUBLIC INTERNATIONAL CORP	11/12/08 11/18/08	07/21/09	\$ 253.02 224.91	\$ 236.57 221.70		\$ 16.45 3.21
		Morgan Stanley Sml th Barney LLC acted as yo						
125006480	23 25	OLD REPUBLIC INTERNATIONAL CORP	02/18/09 04/02/09	07/21/09	236.34 256.89	234.62 289.15	(32.26)	1.72
		Morgan Stanley Sml th Barney LLC acted as yo						
125006490	11	OMNICOM GROUP INC	11/19/08	02/13/09	306.93	261.32		45.61
125006500	3 10 15	OMNICOM GROUP INC	11/19/08 02/25/09 03/13/09	05/04/09	95.71 319.04 478.55	71.27 243.66 353.47		24.44 75.38 125.08
125006510	27 23 6	ORACLE CORP MorganStanley SmithBarney LLC acted as your agent In this transaction.	07/21/09 07/28/09 08/03/09	11/27/09	598.54 509.86 133.01	582.39 508.71 133.18	(.17)	16.15 1.15
125006520	29	ORACLE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/03/09	11/30/09	636.55	643.72	(7.17)	
125006530	5 1	OVERSEAS SHIPHOLDING GROUP INC	01/24/08 01/29/08	01/12/09	211.15 42.23	311.67 65.03	(100.52) (22.80)	
125006540	6	OVERSEAS SHIPHOLDING GROUP INC	01/29/08	01/14/09	238.21	390.17	(151.96)	
125006550	2 4	OVERSEAS SHIPHOLDING GROUP INC	01/29/08 02/05/08	01/21/09	78.38 156.75	130.06 249.59	(51.68) (92.84)	
125006570	3	OVERSEAS SHIPHOLDING GROUP INC	09/23/08	03/18/09	72.94	194.25	(121.31)	
125006580	3	OVERSEAS SHIPHOLDING GROUP INC	09/23/08	04/16/09	75.35	194.24	(118.89)	
125006590	14 3	OWENS CORNING INC NEW	10/01/08 10/23/08	02/13/09	189.40 40.59	336.49 51.32	(147.09) (10.73)	
125006600	11 16	OWENS CORNING INC NEW	10/23/08 12/02/08	04/02/09	114.67 166.80	188.19 226.18	(73.52) (59.38)	
125006610	20	PNC FINANCIAL SERVICES GROUP	02/18/09	02/25/09	559.40	502.07		57.33
125006620	2	PPG INDUSTRIES INC	12/03/08	01/02/09	86.00	84.81		1.19
125006630	17	PPG INDUSTRIES INC	02/25/09	03/31/09	626.34	544.55		81.79
125006640	6	PANERA BREAD CO CL A	09/18/08	05/26/09	313.07	319.78	(6.71)	
125006650	1	PANERA BREAD CO CL A	09/18/08	05/29/09	52.44	53.30	(.86)	

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MorganStanley SmithBarney

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CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125006660	7	PARKER-HANNIFIN CORP	10/23/08	02/04/09	\$ 282.46	\$ 262.32		\$ 20.14
	7		10/29/08		282.46	259.68		22.78
	7		10/30/08		282.47	262.38		20.09
125006670	25	PATTERSON UTI ENERGY INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/18/09	07/07/09	292.96	213.36		79.60
125006680	24	PATTERSON UTI ENERGY INC	03/16/09	07/21/09	341.24	212.93		128.31
	7	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/18/09		99.53	68.29		31.24
125006690	15	PATTERSON UTI ENERGY INC	03/18/09	10/14/09	252.03	146.34		105.69
	26	MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/02/09		436.86	258.46		178.40
125006700	24	J C PENNEY CO INC	01/06/09	04/20/09	609.97	531.39		78.58
	1		01/12/09		25.42	20.72		4.70
125006710	20	J C PENNEY CO INC	01/12/09	04/21/09	514.14	414.44		99.70
	2		01/14/09		51.41	37.94		13.47
125006720	17	J C PENNEY CO INC	01/14/09	07/02/09	464.17	322.48		141.69
	9	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/18/09		245.74	158.02		87.72
125006730	13	J C PENNEY CO INC	03/18/09	07/20/09	386.08	228.26		157.82
	24	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/31/09		712.75	478.86		233.89
125006740	3	J C PENNEY CO INC	03/31/09	07/21/09	87.44	59.86		27.58
	24	Morgan Stanley Sml	04/06/09		699.53	527.18		172.35
	1	th Barney LLC acted as yo ur agent in this transa	04/14/09		29.15	25.83		3.32
125006750	25	J C PENNEY CO INC	04/14/09	07/28/09	718.96	645.72		73.24
	19	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/16/09		546.41	493.71		52.70
125006760	81	PFIZER INC	07/03/08	02/03/09	1,223.51	1,433.14	(209.63)	
	25		07/24/08		377.63	476.29	(98.66)	
	41		09/25/08		619.31	761.82	(142.51)	



Ref: 00000059 00007378

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
	71		10/02/08		\$ 1,072.46	\$ 1,344.98	(\$ 272.52)	
	23		10/08/08		347.42	408.34	(60.92)	
	123		10/21/08		1,857.92	2,167.80	(309.88)	
	38		10/23/08		573.99	633.73	(59.74)	
	71		10/28/08		1,072.46	1,207.58	(135.12)	
	58		10/29/08		876.06	1,022.33	(146.27)	
125006770	50	PFIZER INC	10/29/08	02/05/09	725.65	881.32	(155.67)	
125006780	17	PFIZER INC	10/29/08	02/10/09	241.89	299.65	(57.76)	
125006790	39	PFIZER INC	10/29/08	02/11/09	556.65	687.43	(130.78)	
125006800	13	PIONEER NATURAL RESOURCES CO	04/06/09	08/14/09	370.56	223.29		147.27
	3	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/16/09		85.51	63.36		22.15
125006810	10	PIONEER NATURAL RESOURCES CO	04/16/09	08/18/09	288.78	211.22		77.56
	4	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/21/09		115.51	84.65		30.86
125006820	9	PIONEER NATURAL RESOURCES CO	04/21/09	08/21/09	277.10	190.45		86.65
	2	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/12/09		61.58	53.34		8.24
125006830	9	PIONEER NATURAL RESOURCES CO	05/12/09	08/25/09	276.03	240.03		36.00
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125006840	2	PIONEER NATURAL RESOURCES CO	05/12/09	09/01/09	57.44	53.34		4.10
	8	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/15/09		229.78	195.12		34.66
125006850	9	PIONEER NATURAL RESOURCES CO	05/15/09	09/02/09	256.24	219.52		36.72
	1	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/11/09		28.47	28.84	(.37)	
125006860	10	PIONEER NATURAL RESOURCES CO	06/11/09	09/09/09	305.58	288.36		17.22
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						

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MorganStanley SmithBarney

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Ref: 00000059 00007379

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125006870	13	PLAINS EXPLORATION& PRODUCTION COMPANY	04/21/09	05/29/09	\$ 359.32	\$ 252.32		\$ 107.00
125006880	11	PLAINS EXPLORATION& PRODUCTION COMPANY	09/01/09	10/09/09	306.20	290.73		17.47
	10	COMPANY	09/09/09		280.18	273.71		6.47
	3	MorganStanley SmithBarney LLC acted as your agent	09/14/09		84.06	84.93	(.87)	
125006890	7	PLAINS EXPLORATION& PRODUCTION COMPANY	09/14/09	10/14/09	202.10	198.18		3.92
	7	COMPANY	09/16/09		202.11	204.30	(2.19)	
		MorganStanley SmithBarney LLC acted as your agent						
125006900	3	PLAINS EXPLORATION& PRODUCTION COMPANY	09/16/09	10/20/09	92.10	87.55		4.55
		MorganStanley SmithBarney LLC acted as your agent						
125006910	8	PROCTER & GAMBLE CO	08/05/09	12/31/09	488.75	429.47		59.28
	3	MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/17/09		183.28	157.13		26.15
125006920	13	PROTECTIVE LIFE CORP	09/18/08	03/18/09	60.48	340.61	(280.13)	
125006930	16	PUBLIC SERVICE ENTERPRISE GRP	12/23/08	01/15/09	476.15	449.96		26.19
125006940	1	PUBLIC SERVICE ENTERPRISE GRP	12/23/08	01/21/09	30.39	28.12		2.27
	12		12/29/08		364.67	338.17		26.50
125006950	6	PUBLIC SERVICE ENTERPRISE GRP	12/29/08	01/26/09	191.24	169.08		22.16
125006980	33	PULTE HOMES INC	09/22/08	05/12/09	347.83	534.15	(186.32)	
	25		11/03/08		263.51	268.34	(4.83)	
125006990	15	QLOGIC CORP	09/14/09	10/23/09	283.72	259.45		24.27
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125007000	1	QLOGIC CORP	09/14/09	10/29/09	18.02	17.30		72
	15	MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/16/09		270.33	265.11		5.22
125007010	1	QLOGIC CORP	09/16/09	11/03/09	17.76	17.67		09
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						



Ref 00000059 00007380

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125007020	13	QUEST DIAGNOSTICS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/16/09	11/16/09	\$ 771.24	\$ 712.77		\$ 58.47
125007030	13	QUESTAR CORP	10/16/08	01/06/09	483.90	304.53		179.37
	1		10/21/08		37.22	30.35		6.87
125007040	12	QUESTAR CORP	10/21/08	01/12/09	400.67	364.19		36.48
125007050	1	QUESTAR CORP	10/21/08	01/14/09	31.92	30.35		1.57
	9		10/23/08		287.28	252.23		35.05
125007060	3	QUESTAR CORP	10/23/08	01/21/09	98.67	84.08		14.59
	10		11/17/08		328.92	288.44		40.48
125007070	13	QUESTAR CORP	11/17/08	02/03/09	449.53	374.97		74.56
	9		12/05/08		311.22	227.76		83.46
125007080	11	RAYMOND JAMES FINANCIAL CORP	08/06/08	05/12/09	186.98	337.34	(150.36)	
	12		10/21/08		203.98	287.87	(83.89)	
125007090	14	RAYMOND JAMES FINANCIAL CORP	01/12/09	05/15/09	216.12	235.10	(18.98)	
	8		02/25/09		123.49	133.19	(9.70)	
125007100	5	RAYMOND JAMES FINANCIAL CORP	02/25/09	05/26/09	80.09	83.25	(3.16)	
	13		03/16/09		208.24	222.03	(13.79)	
125007110	14	RAYTHEON COMPANY NEW	10/30/08	01/06/09	728.56	677.81		50.75
	2		12/01/08		104.08	93.98		10.10
125007120	11	RAYTHEON COMPANY NEW	12/01/08	01/12/09	553.38	516.88		36.50
125007130	26	RAYTHEON COMPANY NEW	03/31/09	04/30/09	1,180.43	1,020.44		159.99
125007140	27	RAYTHEON COMPANY NEW	03/31/09	05/08/09	1,294.26	1,059.68		234.58
125007150	23	RED HAT INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	03/03/09	08/25/09	515.03	314.29		200.74
125007160	11	RED HAT INC	03/03/09	09/01/09	248.15	150.32		97.83
	12	Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	03/05/09		270.71	166.32		104.39
125007170	14	RED HAT INC	03/05/09	09/02/09	316.33	194.03		122.30
	6	Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	03/13/09		135.57	90.71		44.86



MorganStanley SmithBarney

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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125007180	15 5	RED HAT INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/13/09 03/31/09	09/09/09	\$ 373.04 124.34	\$ 226.76 90.31		\$ 146.28 34.03
125007190	17	RED HAT INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/31/09	09/14/09	429.92	307.07		122.85
125007200	12 2	RED HAT INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/31/09 04/05/09	09/16/09	300.39 50.06	216.76 36.51		83.63 13.55
125007210	17	RED HAT INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/05/09	09/18/09	437.88	310.35		127.53
125007220	41 48 40	REGIONS FINANCIAL CORP (NEW)	12/29/08 01/06/09 01/12/09	02/03/09	114.12 133.60 111.33	329.05 421.28 283.22	(214.93) (287.68) (171.89)	
125007230	8	RESMED INC	02/18/09	05/08/09	320.99	327.56	(6.57)	
125007240	10	ROSS STORES INC DE Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/12/09	09/05/09	423.67	356.18		67.49
125007250	11 8	ROSS STORES INC DE Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/12/09 05/15/09	08/17/09	482.99 351.27	391.80 283.10		91.19 68.17
125007260	9	ROSS STORES INC DE Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/15/09	08/18/09	391.59	318.49		73.10
125007270	2	ROSS STORES INC DE Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/15/09	08/21/09	93.60	70.77		22.83



Ref: 00000059 00007382

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125007290	7	RYDER SYSTEM INC	10/23/08	05/05/09	\$ 206.17	\$ 260.61	(\$ 54.44)	
	7		11/07/08		206.17	265.06	(58.89)	
	2		11/18/08		58.90	67.68	(8.78)	
125007300	5	RYDER SYSTEM INC	11/18/08	05/12/09	134.38	169.19	(34.81)	
	7		12/03/08		188.14	241.66	(53.52)	
125007320	9	SAFEWAY INC NEW	07/29/08	01/21/09	205.71	240.92	(35.21)	
	18		07/30/08		411.42	483.54	(72.12)	
	16		09/08/08		365.71	420.97	(55.26)	
	19		09/18/08		434.28	468.07	(33.79)	
	10		10/01/08		228.58	238.73	(10.15)	
125007330	13	SAFEWAY INC NEW	10/01/08	01/23/09	298.51	310.35	(11.84)	
125007340	21	SAFEWAY INC NEW	02/03/09	07/28/09	394.93	451.37	(56.44)	
	13	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/12/09		244.48	265.46	(20.98)	
125007350	23	SAFEWAY INC NEW	02/12/09	07/31/09	437.23	469.67	(32.44)	
	7	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/13/09		133.07	145.95	(12.88)	
125007360	13	SAFEWAY INC NEW	02/13/09	08/05/09	242.81	271.06	(28.25)	
	13	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/18/09		242.82	260.18	(17.36)	
125007370	2	SAFEWAY INC NEW	02/18/09	08/17/09	37.41	40.03	(2.62)	
	29	Morgan Stanley Sml	03/16/09		542.45	571.24	(28.79)	
	13	th Barney LLC acted as yo ur agent in this transa	04/14/09		243.17	258.31	(15.14)	
125007380	1	SAFEWAY INC NEW	04/14/09	08/18/09	18.72	19.87	(1.15)	
	25	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/10/09		467.93	525.09	(57.16)	
125007390	2	SAFEWAY INC NEW	06/10/09	08/21/09	38.39	42.01	(3.62)	
	20	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/17/09		383.87	413.16	(29.29)	



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Ref: 00000059 00007383

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125007400	13	ST MARY LAND & EXPL CO	04/21/09	07/21/09	\$ 296.89	\$ 226.51		\$ 70.38
	3	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/12/09		68.51	63.48		5.03
125007410	8	ST MARY LAND & EXPL CO	05/12/09	07/27/09	193.00	169.27		23.73
	10	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/15/09		241.26	197.43		43.83
125007420	2	ST MARY LAND & EXPL CO	05/15/09	07/28/09	47.63	39.49		8.14
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125007430	26	SANDISK CORP	11/18/08	07/02/09	370.53	182.56		187.97
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125007440	5	SANDISK CORP	11/18/08	07/28/09	89.51	35.11		54.40
	22	Morgan Stanley Sml	02/13/09		393.85	237.88		155.97
	16	th Barney LLC acted as yo ur agent in this transa	02/18/09		286.44	161.67		124.77
125007450	6	SANDISK CORP	02/18/09	07/31/09	107.98	60.62		47.36
	23	Morgan Stanley Sml	02/25/09		413.92	217.59		196.33
	14	th Barney LLC acted as yo ur agent in this transa	03/18/09		251.95	151.08		100.87
125007460	30	SANDISK CORP	03/18/09	08/03/09	545.27	323.75		221.52
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125007470	5	SANDISK CORP	03/18/09	08/05/09	89.60	53.96		35.64
	16	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/31/09		286.71	204.40		82.31
125007480	9	SANDISK CORP	03/31/09	08/10/09	155.92	114.98		40.94
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125007490	11	SCANA CORP NEW	04/20/09	05/06/09	334.24	338.66	(4.42)	
125007500	4	SEACOR HOLDINGS INC	11/07/08	01/12/09	266.95	262.75		4.20



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Reserved Client Statement 2009 Year End Summary

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Ref. 00000059 00007384

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125007510	4	SEACOR HOLDINGS INC	11/18/08	01/14/09	\$ 263.58	\$ 260.94		\$ 2.64
125007520	1	SEACOR HOLDINGS INC	11/18/08	01/21/09	62.60	65.24	(2.64)	
125007530	4	SEACOR HOLDINGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09	12/29/09	303.01	322.54	(19.53)	
125007540	7	SEARS HOLDINGS CORPORATION	10/21/08	04/15/09	369.11	404.26	(35.15)	
125007550	1	SEARS HOLDINGS CORPORATION	10/21/08	04/20/09	59.05	57.75		1.30
	6		10/23/08		354.29	303.29		51.00
	5		11/07/08		295.25	266.24		29.01
125007560	4	SEARS HOLDINGS CORPORATION	11/07/08	04/21/09	240.03	212.99		27.04
	6		11/14/08		360.04	239.19		120.85
125007570	5	SEARS HOLDINGS CORPORATION	11/14/08	07/20/09	322.22	199.32		122.90
	10	Morgan Stanley Sml	11/17/08		644.44	371.94		272.50
	9	th Barney LLC acted as yo	11/18/08		580.00	273.46		306.54
	2	ur agent in this transa	11/19/08		128.89	56.32		72.57
125007580	6	SEARS HOLDINGS CORPORATION	11/19/08	07/21/09	385.67	168.97		216.70
	9	Morgan Stanley Sml	12/03/08		578.51	323.69		254.82
	4	th Barney LLC acted as yo	12/05/08		257.11	174.00		83.11
		ur agent in this transa						
125007590	4	SEARS HOLDINGS CORPORATION	12/05/08	07/28/09	269.47	173.99		95.48
	6	Morgan Stanley Sml	12/11/08		404.20	273.10		131.10
	7	th Barney LLC acted as yo	12/22/08		471.57	259.87		211.70
	7	ur agent in this transa	12/23/08		471.57	252.93		218.64
	6		02/04/09		404.21	232.84		171.37
125007600	6	SEARS HOLDINGS CORPORATION	02/05/09	07/30/09	405.95	241.20		164.75
		Morgan Stanley Sml						
		th Barney LLC acted as yo						
		ur agent in this transa						
125007610	5	SEARS HOLDINGS CORPORATION	09/01/09	09/09/09	323.52	312.53		10.99
		Morgan Stanley Sml						
		th Barney LLC acted as yo						
		ur agent in this transa						
125007620	3	SEARS HOLDINGS CORPORATION	09/01/09	09/14/09	189.84	187.52		2.32
		Morgan Stanley Sml						
		th Barney LLC acted as yo						
		ur agent in this transa						
125007630	20	SEMPRA ENERGY	09/02/08	03/31/09	925.93	1,160.31	(234.38)	



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Ref: 00000059 00007385

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125007640	9	THE SHAW GROUP INC	04/06/09	04/21/09	\$ 240.98	\$ 258.89	(\$ 17.91)	
125007650	5	THE SHAW GROUP INC	04/06/09	04/30/09	169.51	143.83		25.68
125007660	7	SILICON LABORATORIES INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/10/09	08/05/09	294.76	264.17		30.59
125007670	3	SILICON LABORATORIES INC	06/10/09	08/17/09	122.67	113.21		9.46
	4	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/17/09		163.55	147.89		15.66
125007680	3	SILICON LABORATORIES INC	06/17/09	08/18/09	123.27	110.92		12.35
	4	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/18/09		164.35	147.47		16.88
125007690	3	SILICON LABORATORIES INC	06/18/09	08/25/09	128.22	110.61		17.61
	4	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/26/09		170.95	154.98		15.97
125007700	3	SILICON LABORATORIES INC	06/26/09	08/31/09	132.87	116.24		16.63
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125007710	15	SOUTHERN UNION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/06/09	11/04/09	292.76	234.12		58.64
125007720	71	SOUTHWEST AIRLINES CO	03/05/08	02/03/09	481.48	892.90	(411.42)	
125007730	20	SOUTHWEST AIRLINES CO	03/05/08	02/13/09	147.30	251.52	(104.22)	
	32		04/01/08		235.68	402.70	(167.02)	
	13		04/16/08		95.75	162.84	(67.09)	
125007740	19	SOUTHWEST AIRLINES CO	04/16/08	02/18/09	127.70	237.99	(110.29)	
	42		05/07/08		282.30	551.19	(268.89)	
125007750	40	SOUTHWEST AIRLINES CO	05/13/08	02/25/09	241.38	522.78	(281.40)	
	19		06/18/08		114.65	269.80	(155.15)	
125007760	17	SOUTHWEST AIRLINES CO	06/18/08	03/05/09	85.42	241.40	(155.98)	
	42		07/16/08		211.05	596.84	(385.79)	



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Ref 00000059 00007386

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125007770	31	SOUTHWEST AIRLINES CO	07/16/08	03/13/09	\$ 177.50	\$ 440.52	(\$ 263.02)	
	44		07/31/08		251.93	700.82	(448.89)	
125007780	7	SOUTHWEST AIRLINES CO	07/31/08	03/16/09	40.75	111.49	(70.74)	
	26		10/01/08		151.37	368.99	(217.62)	
125007790	1	SPIRIT AEROSYSTEMS HLDGS INC	09/18/08	01/12/09	12.11	17.15	(5.04)	
	19	CLASS A	10/01/08		230.05	305.25	(75.20)	
125007800	3	SPIRIT AEROSYSTEMS HLDGS INC	10/01/08	01/14/09	35.49	48.20	(12.71)	
	17	CLASS A	10/23/08		201.14	226.77	(25.63)	
125007810	3	SPIRIT AEROSYSTEMS HLDGS INC	10/23/08	01/21/09	35.27	40.02	(4.75)	
		CLASS A						
125007820	4	STANCORP FINANCIAL GROUP	02/27/08	01/12/09	133.28	206.34	(73.06)	
	3		03/03/08		99.96	145.59	(45.63)	
125007830	5	STANCORP FINANCIAL GROUP	03/03/08	01/14/09	158.21	242.64	(84.43)	
	3		03/05/08		94.93	146.48	(51.55)	
125007840	5	STANCORP FINANCIAL GROUP	03/05/08	01/21/09	144.81	244.12	(99.31)	
125007850	8	STANLEY INC	11/18/08	04/30/09	207.86	243.04	(35.18)	
125007860	10	STARENT NETWORKS CORP	04/30/09	07/12/09	261.15	194.77		66.38
		Morgan Stanley Sml						
		th Barney LLC acted as yo						
		ur agent in this transa						
125007870	3	STARENT NETWORKS CORP	04/30/09	08/03/09	69.44	58.43		11.01
	13	Morgan Stanley Sml	05/12/09		300.92	249.38		51.54
	4	th Barney LLC acted as yo	06/04/09		92.60	89.53		3.07
		ur agent in this transa						
125007880	9	STARENT NETWORKS CORP	06/04/09	08/05/09	207.38	201.45		5.93
		Morgan Stanley Sml						
		th Barney LLC acted as yo						
		ur agent in this transa						
125007890	6	STERICYCLE INC	12/03/08	07/10/09	291.98	317.23	(25.25)	
	6	Morgan Stanley Sml	12/08/08		291.99	323.52	(31.53)	
		th Barney LLC acted as yo						
		ur agent in this transa						
125007900	11	STERIS CORP	09/18/08	01/21/09	258.13	389.44	(131.31)	
	3		10/01/08		70.40	108.12	(37.72)	
125007910	9	STERIS CORP	10/01/08	03/05/09	182.70	324.34	(141.64)	
	2		10/23/08		40.60	61.11	(20.51)	

2 0 0 9 Y E A R E N D S U M M A R Y



Ref: 00000059 00007387

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125007920	13	STERIS CORP	10/23/08	03/16/09	\$ 276.91	\$ 397.19	(\$ 120.28)	
	1		11/07/08		21.30	33.35	(12.05)	
125007930	7	STERIS CORP	11/07/08	03/18/09	154.33	233.44	(79.11)	
	4		11/12/08		88.19	127.96	(39.77)	
125007940	4	STERIS CORP	11/12/08	03/19/09	87.74	127.95	(40.21)	
125007950	6	SUNOCO INC	11/18/08	03/31/09	159.27	225.35	(66.08)	
	8		12/03/08		212.36	280.25	(67.89)	
	2		12/05/08		53.08	66.27	(13.19)	
125007960	5	SUNOCO INC	12/05/08	04/06/09	138.90	165.66	(26.76)	
	8		12/11/08		222.23	307.67	(85.44)	
125007970	2	SUNOCO INC	12/11/08	04/16/09	56.35	76.92	(20.57)	
	11		02/12/09		309.93	412.53	(102.60)	
125007980	7	SUNOCO INC	02/12/09	04/21/09	188.69	262.52	(73.83)	
	6		02/25/09		161.73	208.52	(46.79)	
125007990	15	SUNOCO INC	02/25/09	05/12/09	440.03	521.30	(81.27)	
	2		03/03/09		58.67	60.54	(1.87)	
125008000	15	SUNOCO INC	03/03/09	05/15/09	425.11	454.06	(28.95)	
125008010	2	SUNOCO INC	03/03/09	05/26/09	54.50	60.54	(6.04)	
	12		03/05/09		327.02	345.63	(18.61)	
	5		03/13/09		136.26	138.18	(1.92)	
125008020	19	SUNOCO INC	03/13/09	06/01/09	587.32	525.09		62.23
125008030	16	SUNTRUST BANKS INC	12/05/08	02/03/09	163.66	490.75	(327.09)	
	21		12/11/08		214.81	578.74	(363.93)	
	17		12/23/08		173.89	467.75	(293.86)	
125008040	10	SUNTRUST BANKS INC	12/23/08	02/13/09	88.46	275.14	(186.68)	
	26		12/29/08		230.01	706.47	(476.46)	
125008050	27	SUNTRUST BANKS INC	01/02/09	02/18/09	209.01	806.29	(597.28)	
	4		01/06/09		30.97	111.31	(80.34)	
125008060	22	SUNTRUST BANKS INC	01/06/09	02/25/09	218.48	612.21	(393.73)	
	9		01/12/09		89.38	220.20	(130.82)	
125008070	12	SUNTRUST BANKS INC	01/12/09	03/02/09	135.48	293.60	(158.12)	
125008080	23	SUNTRUST BANKS INC	04/20/09	04/23/09	333.58	339.87	(6.29)	
125008090	12	SUNTRUST BANKS INC	04/20/09	07/24/09	203.52	177.33		26.19
	29	Morgan Stanley Smi	05/08/09		491.84	577.00	(85.16)	
th Barney LLC acted as yo								
ur agent in this transa								



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Ref: 00000059 00007388

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125008100	9 4	SYNAPTICS INC	10/21/08 10/23/08	01/12/09	\$ 174.77 77.68	\$ 263.11 108.75	(\$ 88.34) (31.07)	
125008110	4 8	SYNAPTICS INC	10/23/08 10/29/08	01/21/09	81.74 163.49	108.75 230.42	(27.01) (66.93)	
125008120	2 6	SYNAPTICS INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	10/29/08 11/13/08	07/28/09	71.59 214.75	57.60 121.26		13.99 93.49
125008130	24 3	TARGET CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/26/09 06/01/09	07/02/09	899.86 112.48	988.70 122.52	(88.84) (10.04)	
125008140	12 13	TARGET CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/01/09 06/09/09	07/07/09	444.98 482.07	490.06 534.85	(45.08) (52.78)	
125008150	23	TARGET CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/09/09	07/18/09	897.26	946.27	(49.01)	
125008160	6	TARGET CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/09/09	07/17/09	235.63	246.85	(11.22)	
125008170	18	TEREX CORP NEW Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/16/09	07/28/09	258.90	221.81		37.09
125008180	4 14	TEREX CORP NEW Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/16/09 05/07/09	07/31/09	60.84 212.96	49.29 217.90	(4.94)	11.55
125008190	18	TEREX CORP NEW Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/07/09	08/03/09	287.16	280.16		7.00



Ref: 00000059 00007389

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 -continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125008200	6	TEREX CORP NEW Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/07/09	08/05/09	\$ 93.19	\$ 93.39	(\$.20)	
125008210	14	TESORO CORP	02/18/09	03/31/09	191.09	232.88	(41.79)	
	5		02/25/09		68.24	74.34	(6.10)	
125008220	16	TESORO CORP	02/25/09	04/06/09	238.29	237.89		40
125008230	8	TESORO CORP	02/25/09	05/15/09	133.69	118.94		14.75
	13		03/03/09		217.24	176.38		40.86
125008240	20	TESORO CORP	03/03/09	05/26/09	332.44	271.35		61.09
125008250	1	TESORO CORP	03/03/09	06/08/09	15.45	13.57		1.88
	19	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/05/09		293.51	238.00		55.51
125008260	8	TESORO CORP	03/05/09	06/10/09	122.17	100.21		21.96
	10	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/13/09		152.71	127.90		24.81
125008270	17	TESORO CORP	03/13/09	06/12/09	249.97	217.44		32.53
125008280	2	TESORO CORP	03/13/09	06/17/09	27.66	25.58		2.08
	16	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/18/09		221.24	223.67	(2.43)	
125008290	7	TESORO CORP	03/18/09	06/18/09	98.04	97.86		18
	11	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/16/09		154.05	168.16	(14.11)	
125008300	19	TESORO CORP	04/16/09	06/26/09	241.13	290.45	(49.32)	
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125008310	6	TESORO CORP	04/16/09	07/01/09	78.83	91.72	(12.89)	
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						



Ref: 00000059 00007390

CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125008320	9	TEXAS INDUSTRIES INC	01/12/09	07/21/09	\$ 325.77	\$ 240.18		\$ 85.59
	9	Morgan Stanley Sml	01/21/09		325.77	220.81		104.96
	1	th Barney LLC acted as yo ur agent in this transa	04/02/09		36.19	29.18		7.01
125008330	9	TEXAS INDUSTRIES INC	04/02/09	07/27/09	383.71	262.63		121.08
		Morgan Stanley Sml						
		th Barney LLC acted as yo ur agent in this transa						
125008340	49	TEXAS INSTRUMENTS INC	04/24/09	04/30/09	885.91	873.17		12.74
125008350	9	THORATEC CORP	10/16/08	01/12/09	263.55	231.29		32.26
125008360	3	THORATEC CORP	10/16/08	04/20/09	79.52	77.09		2.43
	6		10/21/08		159.03	171.45	(12.42)	
125008370	7	THORATEC CORP	10/21/08	04/21/09	187.23	200.03	(12.80)	
	2		10/23/08		53.50	52.95		55
125008380	7	THORATEC CORP	10/23/08	07/31/09	177.67	185.34	(7.67)	
	4	Morgan Stanley Sml	11/18/08		101.52	89.79		11.73
		th Barney LLC acted as yo ur agent in this transa						
125008390	6	THORATEC CORP	11/18/08	08/18/09	156.90	134.69		22.21
	4	Morgan Stanley Sml	12/11/08		104.60	115.50	(10.90)	
		th Barney LLC acted as yo ur agent in this transa						
125008400	5	THORATEC CORP	12/11/08	08/25/09	139.12	144.38	(5.26)	
		Morgan Stanley Sml						
		th Barney LLC acted as yo ur agent in this transa						
125008410	60	TIME WARNER INC	04/06/09	11/18/09	1,955.07	1,280.12		674.95
	13	MorganStanley SmithBarney LLC	04/23/09		423.60	291.40		132.20
	17	acted as your agent in this transaction	05/04/09		553.94	409.67		144.27
125008420	26	TIME WARNER CABLE INC	05/07/09	05/26/09	852.74	898.37	(45.63)	
125008430	13	TIME WARNER CABLE INC	07/02/09	11/18/09	546.39	395.46		150.93
	16	MorganStanley SmithBarney LLC	07/15/09		672.48	494.21		178.27
		acted as your agent in this transaction						
125008450	4	TIMKEN CO	07/31/08	01/14/09	69.68	131.75	(62.07)	



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CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125008460	14 3	TIMKEN CO	07/31/08 09/11/08	02/13/09	\$ 200.34 42.93	\$ 461.11 86.41	(\$ 260.77) (43.48)	
125008470	9 7	TIMKEN CO	09/11/08 10/01/08	02/18/09	116.44 90.56	259.21 198.36	(142.77) (107.80)	
125008480	7	TIMKEN CO	10/01/08	03/05/09	77.33	198.35	(121.02)	
125008510	13	TOLL BROS INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	10/21/08	09/01/09	289.41	275.48		13.93
125008520	1 12 7	TOLL BROS INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	10/21/08 10/23/08 10/30/08	09/02/09	21.36 256.26 149.48	21.19 224.03 146.12		.17 32.23 3.36
125008530	6 8	TOLL BROS INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	10/30/08 11/18/08	09/03/09	129.91 173.22	125.24 137.53		4.67 35.69
125008540	8 5	TOLL BROS INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	11/18/08 12/03/08	09/09/09	174.92 109.33	137.52 95.68		37.40 13.65
125008550	13	TOLL BROS INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	12/03/08	09/14/09	274.21	248.78		25.43
125008560	1 12	TOLL BROS INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	12/03/08 04/02/09	09/16/09	22.14 265.68	19.14 228.80		3.00 37.08
125008610	6 1	TRANSDIGM GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/13/09 02/18/09	10/20/09	253.53 42.25	239.38 38.01		14.15 4.24
125008620	5 2	TRANSDIGM GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/18/09 02/25/09	10/23/09	207.56 83.02	190.03 71.12		17.53 11.90



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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125008630	6	TRANSIGM GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/25/09	10/29/09	\$ 237 97	\$ 213 36		\$ 24 61
125008710	13	TRINITY INDUSTRIES INC	09/18/08	01/12/09	193 72	392 82	(199 10)	
	3		10/01/08		44 70	76 74	(32 04)	
125008720	17	TRINITY INDUSTRIES INC	10/01/08	01/14/09	230 10	434 89	(204 79)	
125008730	15	TRINITY INDUSTRIES INC	10/13/08	01/21/09	194 72	320 89	(126 17)	
	3		10/16/08		38 94	61 21	(22 27)	
125008740	9	TRINITY INDUSTRIES INC	10/16/08	03/04/09	63 49	183 61	(120 12)	
125008750	57	US BANCORP DEL NEW	01/21/09	04/16/09	1,016 83	772 50		244 33
	24		02/02/09		428 14	361 50		66 64
	31		02/12/09		553 02	414 41		138 61
	25		04/02/09		445 98	387 95		58 03
125008760	20	US BANCORP DEL NEW	04/21/09	04/23/09	362 59	347 80		14 79
125008770	14	USG CORPORATION NEW	08/06/08	07/28/09	187 89	381 67	(193 78)	
	14	Morgan Stanley Sml	08/08/08		187 89	378 23	(190 34)	
	4	th Barney LLC acted as yo ur agent in this transa	09/08/08		53 68	108 55	(54 87)	
125008780	16	USG CORPORATION NEW	09/08/08	07/31/09	225 01	434 18	(209 17)	
	16	Morgan Stanley Sml	05/07/09		225 00	251 04	(26 04)	
		th Barney LLC acted as yo ur agent in this transa						
125008790	3	USG CORPORATION NEW	05/07/09	08/03/09	43 45	47 07	(3 62)	
		Morgan Stanley Sml						
		th Barney LLC acted as yo ur agent in this transa						
125008800	35	UNION PACIFIC CORP	08/06/08	01/06/09	1,880 03	2,870 52	(990 49)	
125008810	12	UNION PACIFIC CORP	08/06/08	04/24/09	586 93	984 18	(397 25)	
	17		08/07/08		831 48	1,395 16	(563 68)	
125008820	17	UNION PACIFIC CORP	08/07/08	06/10/09	901 00	1,395 15	(494 15)	
	1	Morgan Stanley Sml	08/15/08		53 00	77 31	(24 31)	
		th Barney LLC acted as yo ur agent in this transa						
125008830	5	UNION PACIFIC CORP	08/15/08	06/26/09	264 74	386 57	(121 83)	
	26	Morgan Stanley Sml	09/18/08		1,376 67	1,858 61	(481 94)	
		th Barney LLC acted as yo ur agent in this transa						



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CHARLES W ROSENBAUM
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Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125008840	12 6		10/21/08 10/23/08		\$ 635.39 317.70	\$ 715.92 344.07	(\$ 80.53) (26.37)	
	4	UNION PACIFIC CORP	10/23/08	08/21/09	248.43	229.38		19.05
	15	Morgan Stanley Sml	12/17/08		931.61	733.51		198.10
	4	th Barney LLC acted as yo ur agent in this transa	12/22/08		248.43	187.32		61.11
125008850	19	UNION PACIFIC CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	12/22/08	09/09/09	1,189.35	889.77		299.58
125008860	12 7 1		12/22/08 01/21/09 03/18/09	10/14/09	745.85 435.08 62.15	561.96 278.16 38.47		183.89 156.92 23.68
		UNION PACIFIC CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125008870	17 9	UNION PACIFIC CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/18/09 03/31/09	10/20/09	1,090.68 577.42	653.98 368.38		436.70 209.04
125008880	13 7		03/31/09 04/06/09	10/23/09	744.17 400.70	532.10 305.19		212.07 95.51
		UNION PACIFIC CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125008890	21 10	UNITED RENTALS INC	09/18/08 10/01/08	01/12/09	158.99 75.71	315.57 139.97	(156.58) (64.26)	
125008900	12	UNITED RENTALS INC	10/01/08	01/14/09	79.46	167.97	(88.51)	
125008910	8	UNITED STATES STEEL CORP NEW	10/01/08	01/02/09	314.63	570.17	(255.54)	
125008920	3 4	UNITED STATES STEEL CORP NEW	10/01/08 10/13/08	01/06/09	118.99 158.65	213.81 186.48	(94.82) (27.83)	
125008930	7	UNITED STATES STEEL CORP NEW	10/13/08	01/12/09	229.38	326.35	(96.97)	
125008940	8	UNITED STATES STEEL CORP NEW	10/13/08	01/14/09	244.10	372.97	(128.87)	
125008950	8	UNITED STATES STEEL CORP NEW	10/13/08	01/21/09	244.52	372.97	(128.45)	
125008960	1	UNITED STATES STEEL CORP NEW	10/13/08	01/29/09	33.23	46.62	(13.39)	
125008970	18 12	UNITED TECHNOLOGIES CORP	02/09/09 02/13/09	05/15/09	921.42 614.28	891.97 567.60		29.45 46.68
125008980	13 20 18	UNITED TECHNOLOGIES CORP	02/13/09 03/05/09 05/04/09	05/26/09	683.62 1,051.72 946.54	614.91 759.89 905.93		68.71 291.83 40.61



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CHARLES W ROSENBAUM
Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125008990	20	UNITED TECHNOLOGIES CORP	07/08/09	10/09/09	\$ 1,241.08	\$ 999.41		\$ 241.67
	12	MorganStanley SmithBarney LLC	07/15/09		744.65	631.34		113.31
	6	acted as your agent in this transaction.	07/28/09		372.33	312.96		59.37
125009000	34	UNITED TECHNOLOGIES CORP	07/28/09	10/14/09	2,155.48	1,773.47		382.01
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction						
125009010	3	UNITED TECHNOLOGIES CORP	07/28/09	10/20/09	195.22	156.48		38.74
	16	MorganStanley SmithBarney LLC	07/31/09		1,041.19	873.47		167.72
		acted as your agent in this transaction.						
125009020	42	UNITEDHEALTH GROUP INC	09/23/08	05/04/09	971.02	1,091.27	(120.25)	
	12		10/14/08		277.43	287.16	(9.73)	
	16		10/21/08		369.91	407.22	(37.31)	
125009030	23	UNITEDHEALTH GROUP INC	10/21/08	05/05/09	576.02	585.37	(9.35)	
	35		10/29/08		876.56	760.14		116.42
125009040	16	UNITRIN INC	04/06/09	06/17/09	216.22	241.85	(25.63)	
	2	Morgan Stanley Sml	04/16/09		27.03	32.96	(5.93)	
		th Barney LLC acted as yo						
		ur agent in this transa						
125009050	12	UNITRIN INC	04/16/09	06/18/09	158.79	197.75	(38.96)	
		Morgan Stanley Sml						
		th Barney LLC acted as yo						
		ur agent in this transa						
125009170	2	URBAN OUTFITTERS INC	06/20/08	01/12/09	29.03	67.55	(38.52)	
	11		08/21/08		159.67	378.20	(218.53)	
	4		09/08/08		58.07	148.09	(90.02)	
125009180	6	URBAN OUTFITTERS INC	09/08/08	01/14/09	87.58	222.14	(134.56)	
	11		09/18/08		160.57	369.84	(209.27)	
125009190	1	URBAN OUTFITTERS INC	09/18/08	01/21/09	15.30	33.62	(18.32)	
	14		10/01/08		214.26	439.66	(225.40)	
125009200	3	URBAN OUTFITTERS INC	10/01/08	01/29/09	49.09	94.21	(45.12)	
	13		10/21/08		212.70	311.39	(98.69)	
125009210	12	V F CORP	11/14/08	02/25/09	636.22	573.40		62.82

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CHARLES W ROSENBAUM

Account Number:

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125009220	8	V F CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/08/09	07/28/09	\$ 526.12	\$ 463.42		\$ 62.70
125009230	2	V F CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/08/09	07/31/09	129.83	115.86		13.97
125009240	4	VALMONT INDUSTRIES INC DEL	06/23/09	07/28/09	288.13	271.19		16.94
	1	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/26/09		72.03	71.88		15
125009250	3	VALMONT INDUSTRIES INC DEL Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/26/09	07/31/09	213.50	215.65	(2.15)	
125009260	16	VARIAN MEDICAL SYSTEMS INC	10/29/08	01/21/09	545.25	697.85	(152.60)	
125009270	6	VARIAN MEDICAL SYSTEMS INC	10/29/08	02/03/09	218.94	261.70	(42.76)	
	8		10/30/08		291.93	360.89	(68.96)	
125009280	9	VARIAN MEDICAL SYSTEMS INC	10/30/08	02/12/09	331.31	406.00	(74.69)	
	7		11/07/08		257.69	301.44	(43.75)	
125009290	10	VARIAN MEDICAL SYSTEMS INC	11/07/08	02/13/09	372.28	430.64	(58.36)	
	2		11/12/08		74.46	84.26	(9.80)	
125009300	11	VARIAN MEDICAL SYSTEMS INC	11/12/08	02/18/09	393.44	463.45	(70.01)	
125009310	3	VARIAN MEDICAL SYSTEMS INC	11/12/08	02/25/09	98.94	126.40	(27.46)	
	10		11/17/08		329.78	402.84	(73.06)	
125009320	5	VARIAN MEDICAL SYSTEMS INC	11/17/08	03/05/09	139.81	201.42	(61.61)	
	6		11/18/08		167.78	236.59	(68.81)	
125009330	5	VARIAN MEDICAL SYSTEMS INC	11/18/08	03/10/09	142.24	197.15	(54.91)	
	4		11/19/08		113.79	151.00	(37.21)	
125009340	4	VARIAN MEDICAL SYSTEMS INC	11/19/08	03/16/09	126.16	150.99	(24.83)	
	5		12/03/08		157.69	188.44	(30.75)	
125009350	4	VARIAN MEDICAL SYSTEMS INC	12/03/08	03/18/09	121.84	150.75	(28.91)	
125009360	47	VERIZON COMMUNICATIONS	06/08/09	06/19/09	1,396.52	1,366.76	(29.76)	
	11	Morgan Stanley Sml	06/11/09		326.85	328.90	(2.05)	
	24	th Barney LLC acted as yo ur agent in this transa	06/12/09		713.12	721.08	(7.96)	



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CHARLES W ROSENBAUM
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Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125009370	1	VERIZON COMMUNICATIONS Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/12/09	06/22/09	\$ 29.68	\$ 30.05	(\$.37)	
125009380	9	VERIZON COMMUNICATIONS Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	07/08/09	07/10/09	255.87	259.20	(3.33)	
125009390	5	VIACOM INC NEW CLASS B MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/21/09	11/18/09	152.69	114.51		38.18
125009400	23	VIACOM INC NEW CLASS B MorganStanley SmithBarney LLC acted as your agent in this transaction	07/21/09	11/23/09	699.21	526.76		172.45
125009410	1 12	VIACOM INC NEW CLASS B MorganStanley SmithBarney LLC acted as your agent in this transaction	07/21/09 09/16/09	11/30/09	29.48 353.75	22.90 332.91		6.58 20.84
125009420	42	VISA INC COM CL A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/26/09	07/02/09	2,573.85	2,787.15	(213.30)	
125009430	37	VISA INC COM CL A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/26/09	07/07/09	2,225.79	2,455.34	(229.55)	
125009440	5 47	VISA INC COM CL A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/26/09 06/01/09	07/21/09	333.43 3,134.25	331.80 3,146.51	(12.26)	1.63
125009450	7 59 15	VISA INC COM CL A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/01/09 06/08/09 06/10/09	07/28/09	468.27 3,946.81 1,003.42	468.63 4,128.00 1,032.92	(.36) (181.19) (29.50)	

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Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125009460	13	VISA INC COM CL A Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/10/09	07/31/09	\$ 854.90	\$ 895.19	(\$ 40.29)	
125009470	16	W&T OFFSHORE INC	01/12/09	06/04/09	177.49	232.31	(54.82)	
	8	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	01/14/09		88.75	109.91	(21.16)	
125009480	8	W&T OFFSHORE INC	01/14/09	06/08/09	88.62	109.91	(21.29)	
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125009490	11	WMS INDUSTRIES INC	11/07/08	03/18/09	229.70	260.64	(30.94)	
125009500	11	WMS INDUSTRIES INC	11/12/08	03/23/09	232.23	239.00	(6.77)	
125009510	8	WARNACO GROUP INC	05/26/09	08/05/09	299.77	236.56		63.21
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125009520	3	WARNACO GROUP INC	05/26/09	08/18/09	115.43	88.71		26.72
	4	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/10/09		153.91	139.59		14.32
125009530	4	WARNACO GROUP INC	06/10/09	08/25/09	159.05	139.58		19.47
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125009540	12	WATSON PHARMACEUTICALS INC	05/15/09	07/20/09	394.34	359.49		34.85
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125009550	9	WELLCARE HLTH PLANS INC	08/05/09	12/02/09	315.31	206.02		109.29
		Morgan Stanley Smith Barney LLC acted as your agent in this transaction.						
125009560	4	WELLCARE HLTH PLANS INC	08/05/09	12/29/09	152.73	91.56		61.17
	4	Morgan Stanley Smith Barney LLC acted as your agent in this transaction.	08/17/09		152.72	100.65		52.07



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Details of Short Term Gain (Loss) 2009 - continued

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Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125009570	27	WELLPOINT INC	10/01/08	04/30/09	\$ 1,154.74	\$ 1,280.97	(\$ 126.23)	
	2		10/16/08		85.54	78.50		7.04
125009580	9	WELLPOINT INC	10/16/08	05/29/09	417.62	353.25		64.37
	10		10/21/08		464.02	430.20		33.82
	11		10/28/08		510.43	418.95		91.48
125009590	17	WESTERN DIGITAL CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/15/09	07/02/09	438.32	391.70		46.62
125009600	3	WESTERN DIGITAL CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/15/09	07/07/09	76.81	69.12		7.69
125009610	8	WEYERHAEUSER CO	02/03/09	04/15/09	242.71	216.20		26.51
125009620	3	WEYERHAEUSER CO	02/03/09	04/16/09	92.57	81.07		11.50
125009630	7	WHITING PETROLEUM CORP NEW	01/12/09	02/25/09	159.96	242.30	(82.34)	
125009640	21	WHOLE FOODS MKT INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/26/09	07/23/09	501.11	402.76		98.35
125009650	15	WHOLE FOODS MKT INC	05/26/09	07/28/09	362.90	287.68		75.22
	1	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/10/09		24.19	20.79		3.40
125009660	15	WHOLE FOODS MKT INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/10/09	08/03/09	370.07	311.82		58.25
125009670	12	WHOLE FOODS MKT INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/10/09	08/05/09	349.65	249.45		100.20
125009680	32	WHOLE FOODS MKT INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/17/09	08/17/09	865.35	597.38		267.97
125009690	44	WILLIAMS COS INC	02/25/09	03/16/09	492.96	516.42	(23.46)	



Ref: 00000059 00007399

CHARLES W ROSENBAUM

Account Number

Details of Short Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125009700	33 2	WILLIAMS SONOMA INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/16/09 03/31/09	07/21/09	\$ 421.48 25.54	\$ 305.92 20.18		\$ 115.56 5.36
125009710	27	WILLIAMS SONOMA INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	03/31/09	07/27/09	376.64	272.47		104.17
125009720	22 1	WORTHINGTON INDUSTRIES INC	10/01/08 10/23/08	01/12/09	230.97 10.50	317.38 11.52	(86.41) (1.02)	
125009730	20 2	WORTHINGTON INDUSTRIES INC	10/23/08 10/29/08	01/21/09	205.69 20.57	230.37 23.12	(24.68) (2.55)	
125009740	20	WORTHINGTON INDUSTRIES INC	10/29/08	02/13/09	215.37	231.23	(15.86)	
125009750	21	XILINX INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/08/09	06/26/09	427.62	392.10		35.52
125009760	1 21	XILINX INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/08/09 05/15/09	07/21/09	19.83 416.39	18.67 394.48		1.16 21.91
125009770	3 17	XILINX INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/15/09 06/11/09	07/27/09	63.79 361.48	56.35 367.10	(5.62)	7.44
125009780	8 4	ZIMMER HOLDINGS INC	12/03/08 12/11/08	02/18/09	316.38 158.19	250.80 151.65	(3.46)	25.58
125009790	3 14 9	ZIMMER HOLDINGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/11/08 02/03/09 03/23/09	09/30/09	160.81 750.44 482.42	121.24 511.87 320.08		39.57 238.57 162.34
Total					\$ 571,778.07	\$ 569,087.72	(\$ 55,243.81)	\$ 57,934.16



MorganStanley SmithBarney

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Ref: 00000059 00007400

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000540	1	ALLSTATE CORP	09/21/07	02/13/09	\$ 21 47	\$ 56 14	(\$ 34.67)	
	36		11/13/07		773 08	1,955 65	(1,182 57)	
125000550	5	ALLSTATE CORP	11/13/07	03/05/09	73 51	271 62	(198 11)	
	32		11/20/07		470 48	1,629 02	(1,158 54)	
125000560	5	ALLSTATE CORP	11/20/07	03/18/09	92 12	254 53	(162 41)	
	21		11/26/07		386 90	1,050 18	(663 28)	
	11		11/30/07		202 66	564 55	(361 89)	
	10		12/03/07		184 24	510 84	(326 60)	
125000570	7	ALLSTATE CORP	12/03/07	04/06/09	143 65	357 59	(213 94)	
	4		12/14/07		82 09	208 01	(125 92)	
125000580	45	ALLSTATE CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	12/14/07	07/02/09	1,095 50	2,340 07	(1,244 57)	
125000590	17	ALLSTATE CORP Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	12/31/07	07/07/09	412 85	889 75	(476 90)	
125000800	11	AMERICAN FINL GROUP INC OHIO MorganStanley SmithBarney LLC acted as your agent in this transaction	11/26/07	10/20/09	287 45	309 11	(21 66)	
125000810	9	AMERICAN FINL GROUP INC OHIO	11/26/07	10/23/09	234 38	252 91	(18 53)	
	2	MorganStanley SmithBarney LLC acted as your agent in this transaction	11/30/07		52 09	58 75	(6 66)	
125000820	11	AMERICAN FINL GROUP INC OHIO MorganStanley SmithBarney LLC acted as your agent in this transaction	11/30/07	10/29/09	279 96	323 12	(43 16)	
125000830	4	AMERICAN FINL GROUP INC OHIO MorganStanley SmithBarney LLC acted as your agent in this transaction	11/30/07	11/04/09	98 68	117 50	(18 82)	

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MorganStanley SmithBarney

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Ref: 00000059 00007401

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002090	23	CENTEX CORP	09/21/07	04/21/09	\$ 232.87	\$ 638.48	(\$ 405.61)	
125002100	48	CENTEX CORP	09/21/07	05/05/09	557.82	1,332.48	(774.66)	
125002180	13	CHEVRON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	10/09/09	943.22	1,233.34	(290.12)	
125002190	7	CHEVRON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	10/14/09	526.08	664.10	(138.02)	
125002200	6	CHEVRON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	10/20/09	464.39	569.23	(104.84)	
125002210	16	CHEVRON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	10/23/09	1,226.13	1,517.95	(291.82)	
125002220	13	CHEVRON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	10/29/09	1,005.86	1,233.34	(227.48)	
125002280	8	CHUBB CORP	09/21/07	01/12/09	360.84	419.50	(58.66)	
125002390	26	COMPUTER SCIENCES CORP Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	09/21/07	06/23/09	1,102.67	1,457.56	(354.89)	
125002400	15 5	COMPUTER SCIENCES CORP Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	09/21/07 10/30/07	06/26/09	652.67 217.55	840.90 288.28	(188.23) (70.73)	
125002410	7	COMPUTER SCIENCES CORP Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	10/30/07	07/28/09	331.06	403.58	(72.52)	



Ref: 00000059 00007402

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002420	4	COMPUTER SCIENCES CORP	10/30/07	07/31/09	\$ 193.58	\$ 230.62	(\$ 37.04)	
	6	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	01/24/08		290.36	231.70		58.66
125002430	7	COMPUTER SCIENCES CORP	01/24/08	08/03/09	335.63	270.31		65.32
	3	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	01/29/08		143.84	121.87		21.97
125002440	7	COMPUTER SCIENCES CORP	01/29/08	08/05/09	339.80	284.36		55.44
	3	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/05/08		145.63	135.97		9.66
125002450	8	COMPUTER SCIENCES CORP	02/05/08	08/17/09	388.95	362.57		26.38
	4	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/20/08		194.47	180.30		14.17
125002460	9	COMPUTER SCIENCES CORP	02/20/08	08/18/09	435.46	405.68		29.78
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125002470	8	COMPUTER SCIENCES CORP	02/20/08	08/25/09	400.19	360.60		39.59
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125002480	2	COMPUTER SCIENCES CORP	02/20/08	09/01/09	96.45	90.15		6.30
	9	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	04/01/08		434.02	371.51		62.51
125002490	7	COMPUTER SCIENCES CORP	04/01/08	09/02/09	332.67	288.95		43.72
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						
125002500	5	COMPUTER SCIENCES CORP	04/01/08	09/03/09	238.34	206.39		31.95
		Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa						

2 0 0 9 Y E A R E N D S U M M A R Y



Ref: 00000059 00007403

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002750	32	D R HORTON INC	10/16/07	07/02/09	\$ 292.98	\$ 418.95	(\$ 125.97)	
	21	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	11/20/07		192.26	229.60	(37.34)	
125002760	41	D R HORTON INC	11/20/07	07/21/09	403.06	448.28	(45.22)	
	32	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	12/18/07		314.58	430.74	(116.16)	
125002770	26	D R HORTON INC	01/24/08	07/28/09	294.90	382.79	(87.89)	
	27	Morgan Stanley Sml	02/21/08		306.24	427.57	(121.33)	
	38	th Barney LLC acted as yo ur agent in this transa	04/10/08		431.01	617.29	(186.28)	
125002980	5	DEVRY INC (DEL)	01/24/08	04/16/09	218.67	281.75	(63.08)	
	3		01/29/08		131.20	164.47	(33.27)	
125002990	6	DEVRY INC (DEL)	01/29/08	04/21/09	252.65	328.93	(76.28)	
	1		02/20/08		42.11	45.51	(3.40)	
125003330	10	EDISON INTERNATIONAL	03/10/08	07/02/09	309.14	495.64	(186.50)	
	16	Morgan Stanley Sml	03/26/08		494.63	784.07	(289.44)	
	8	th Barney LLC acted as yo ur agent in this transa	03/28/08		247.32	394.87	(147.55)	
125003340	5	EDISON INTERNATIONAL	03/28/08	07/07/09	154.55	246.80	(92.25)	
	10	Morgan Stanley Sml	04/01/08		309.10	505.91	(196.81)	
	15	th Barney LLC acted as yo ur agent in this transa	04/16/08		463.65	781.85	(318.20)	
	1		06/10/08		30.90	51.93	(21.03)	
125003350	9	EDISON INTERNATIONAL	06/10/08	07/28/09	291.19	467.34	(176.15)	
	10	Morgan Stanley Sml	06/27/08		323.55	500.22	(176.67)	
	12	th Barney LLC acted as yo ur agent in this transa	07/16/08		388.26	601.41	(213.15)	
125003460	8	ENERGEN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/02/08	10/09/09	360.90	317.26		43.64
125003470	1	ENERGEN CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/02/08	10/14/09	45.66	39.66		6.00



Ref: 00000059 00007404

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004020	19	FOREST LABORATORIES INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	05/28/08	07/02/09	\$ 463.70	\$ 665.88	(\$ 202.18)	
125004030	29 12	FOREST LABORATORIES INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/09/08 06/17/08	07/21/09	733.64 303.58	987.42 395.44	(253.78) (91.86)	
125004040	3 14	FOREST LABORATORIES INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	06/17/08 06/27/08	07/27/09	77.47 361.51	98.86 467.79	(21.39) (106.28)	
125004220	11 12	GAYLORD ENTERTAINMENT CO NEW Morgan Stanley Sml th Barney LLC acted as yo	08/05/08 08/06/08	08/14/09	195.20 212.94	334.16 367.08	(138.96) (154.14)	
125004360	7	HANOVER INSURANCE GROUP INC	02/05/08	03/18/09	210.46	328.30	(117.84)	
125004370	2 6	HANOVER INSURANCE GROUP INC	02/05/08 02/27/08	04/21/09	62.55 187.65	93.80 274.22	(31.25) (86.57)	
125004380	4	HANOVER INSURANCE GROUP INC	02/27/08	05/12/09	133.39	182.82	(49.43)	
125004580	24 14	HUDSON CITY BANCORP INC	01/24/08 01/29/08	02/03/09	279.80 163.22	375.89 221.71	(96.09) (58.49)	
125004590	10 25	HUDSON CITY BANCORP INC	01/29/08 02/05/08	02/12/09	119.02 297.54	158.37 399.07	(39.35) (101.53)	
125005020	13	KBR INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	08/05/08	09/16/09	301.80	312.32	(10.52)	
125005030	5 9	KBR INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	08/05/08 09/08/08	09/18/09	115.91 208.65	120.13 184.05	(4.22)	24.60
125005040	12 4	KBR INC Morgan Stanley SmithBarney LLC acted as your agent in this transaction.	09/08/08 09/18/08	10/05/09	267.65 89.22	245.41 65.08	22.24 24.14	

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CHARLES W ROSENBAUM

Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005050	16	KBR INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/18/08	10/14/09	\$ 382.73	\$ 260.31		\$ 122.42
125005060	19	KB HOME	09/21/07	01/21/09	209.35	521.65	(312.30)	
125005070	16	KB HOME	09/21/07	03/31/09	208.78	439.29	(230.51)	
125005080	16	KB HOME	09/21/07	04/06/09	228.47	439.28	(210.81)	
125005090	15	KB HOME	02/20/08	04/16/09	236.87	360.26	(123.39)	
125005100	4	KB HOME	02/20/08	04/20/09	63.83	96.07	(32.24)	
125005240	22	LENNAR CORP CLASS A Morgan Stanley Sml th Barney LLC acted as yo	09/21/07	08/21/09	318.28	565.18	(246.90)	
125005250	19	LENNAR CORP CLASS A Morgan Stanley Sml th Barney LLC acted as yo	09/21/07	08/25/09	288.45	488.11	(199.66)	
125005260	17 1	LENNAR CORP CLASS A Morgan Stanley Sml th Barney LLC acted as yo	09/21/07 04/07/08	09/01/09	251.56 14.80	436.73 21.98	(185.17) (7.18)	
125005270	19	LENNAR CORP CLASS A Morgan Stanley Sml th Barney LLC acted as yo	04/07/08	09/02/09	268.53	417.67	(149.14)	
125005280	6	LENNAR CORP CLASS A Morgan Stanley Sml th Barney LLC acted as yo	04/07/08	09/09/09	93.23	131.90	(38.67)	
125005660	51	MICRON TECHNOLOGY INC	01/24/08	04/16/09	254.71	347.63	(92.92)	
125005670	47	MICRON TECHNOLOGY INC	01/24/08	04/20/09	222.84	320.37	(97.53)	
125005680	7 42	MICRON TECHNOLOGY INC	01/24/08 02/05/08	04/21/09	32.54 195.27	47.71 329.01	(15.17) (133.74)	
125005690	8	MICRON TECHNOLOGY INC	02/05/08	04/30/09	39.68	62.67	(22.99)	
125005760	17	MONSANTO CO NEW	09/21/07	02/06/09	1,421.46	1,343.09		78.37
125005770	14	MONSANTO CO NEW	09/21/07	03/03/09	1,014.86	1,106.08	(91.22)	



Ref. 00000059 00007406

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009 - continued

2 0 0 9 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005780	10	MONSANTO CO NEW	09/21/07	03/04/09	\$ 740.55	\$ 790.05	(\$ 49.50)	
125005790	7	MONSANTO CO NEW	09/21/07	03/09/09	511.36	553.04	(41.68)	
125005800	16	MONSANTO CO NEW	09/21/07	03/12/09	1,295.66	1,264.09		31.57
125005810	6	MONSANTO CO NEW	09/21/07	03/18/09	493.47	474.03		19.44
125005820	22	MONSANTO CO NEW	09/21/07	03/31/09	1,826.84	1,738.12		88.72
125005830	36	MONSANTO CO NEW	09/21/07	04/06/09	2,830.23	2,844.19	(13.96)	
125006560	4	OVERSEAS SHIP HOLDING GROUP INC	02/05/08	03/05/09	90.28	249.59	(159.31)	
	4		02/20/08		90.27	268.45	(178.18)	
125008570	6	OVERSEAS SHIP HOLDING GROUP INC	02/20/08	03/18/09	145.88	402.68	(256.80)	
125008960	36	PULTE HOMES INC	09/21/07	04/16/09	401.44	586.80	(185.36)	
125008970	29	PULTE HOMES INC	09/21/07	04/21/09	309.44	472.70	(163.26)	
125008980	44	PULTE HOMES INC	09/21/07	05/12/09	463.77	717.20	(253.43)	
	34		02/20/08		358.37	485.96	(127.59)	
125007280	5	RYDER SYSTEM INC	01/29/08	04/21/09	119.88	247.79	(127.91)	
	5		03/05/08		119.88	296.15	(176.27)	
125007290	2	RYDER SYSTEM INC	03/05/08	05/05/09	58.91	118.46	(59.55)	
125007310	12	RYLAND GROUP INC	01/24/08	07/20/09	212.45	363.36	(150.91)	
	16	Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	02/20/08		283.27	426.05	(142.78)	
125008440	13	TIMKEN CO	09/21/07	01/12/09	243.54	444.47	(200.93)	
125008450	9	TIMKEN CO	09/21/07	01/14/09	156.79	307.71	(150.92)	
125008490	32	TOLL BROS INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	09/21/07	08/17/09	688.50	673.01		15.49
125008500	29	TOLL BROS INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	09/21/07	08/18/09	627.92	609.91		18.01
125008510	12	TOLL BROS INC Morgan Stanley Sml th Barney LLC acted as yo ur agent in this transa	09/21/07	09/01/09	267.15	252.38		14.77



MorganStanley SmithBarney

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CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125008570	11	TORCHMARK CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	02/05/08	10/23/09	\$ 487.31	\$ 684.05	(\$ 176.74)	
125008580	11	TORCHMARK CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	02/27/08	10/29/09	468.01	695.58	(227.57)	
125008590	4 3	TORCHMARK CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	02/27/08 03/03/08	11/10/09	171.18 128.39	252.94 180.03	(81.76) (\$1.64)	
125008600	4 3	TORCHMARK CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	03/03/08 04/23/08	11/18/09	174.75 131.10	240.05 186.65	(65.26) (\$5.55)	
125008640	7	TRAVELERS COMPANIES INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	09/21/07	08/21/09	338.26	360.15	(21.89)	
125008650	7	TRAVELERS COMPANIES INC Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	09/21/07	09/18/09	332.39	360.15	(27.76)	
125008660	35	TRAVELERS COMPANIES INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	09/30/09	1,706.51	1,800.75	(94.24)	
125008670	29	TRAVELERS COMPANIES INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	10/05/09	1,414.87	1,492.05	(77.18)	
125008680	28	TRAVELERS COMPANIES INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	10/09/09	1,363.24	1,440.60	(77.36)	



Ref 00000059 00007408

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125008690	24	TRAVELERS COMPANIES INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	10/14/09	\$ 1,160.78	\$ 1,234.80	(\$ 74.02)	
125008700	29	TRAVELERS COMPANIES INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/21/07	10/20/09	1,407.37	1,492.05	(84.68)	
125009060	14	UNUM GROUP Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	01/04/08	09/14/09	300.77	318.85	(18.08)	
125009070	13	UNUM GROUP Morgan Stanley Smi th Barney LLC acted as yo ur agent in this transa	01/04/08	09/18/09	290.73	296.08	(5.35)	
125009080	5 34 9	UNUM GROUP MorganStanley SmithBarney LLC acted as your agent in this transaction	01/04/08 03/26/08 03/28/08	09/30/09	106.90 726.92 192.42	113.88 746.35 196.85	(6.98) (19.43) (4.43)	
125009090	18 24 1	UNUM GROUP MorganStanley SmithBarney LLC acted as your agent in this transaction	03/28/08 04/01/08 04/16/08	10/05/09	375.93 501.24 20.88	393.69 534.88 23.21	(17.76) (33.64) (2.33)	
125009100	21 19	UNUM GROUP MorganStanley SmithBarney LLC acted as your agent in this transaction	04/15/08 04/22/08	10/09/09	455.19 411.84	487.46 437.44	(32.27) (25.60)	
125009110	18 18	UNUM GROUP MorganStanley SmithBarney LLC acted as your agent in this transaction	04/25/08 05/23/08	10/14/09	403.68 403.68	422.29 435.98	(18.61) (32.30)	
125009120	1 18 8	UNUM GROUP MorganStanley SmithBarney LLC acted as your agent in this transaction	05/23/08 06/03/08 06/09/08	11/10/09	20.15 362.76 161.23	24.22 424.77 184.48	(4.07) (62.01) (23.25)	

2 0 0 9 Y E A R E N D S U M M A R Y



Ref 00000059 00007409

CHARLES W ROSENBAUM
Account Number

Details of Long Term Gain (Loss) 2009 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125009130	10 18	UNUM GROUP MorganStanley SmithBarney LLC acted as your agent in this transaction	06/09/08 10/16/08	11/18/09	\$ 195.95 352.71	\$ 230.59 274.08	(\$ 34.64)	78.63
125009140	1 23	UNUM GROUP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/16/08 10/21/08	11/23/09	19.28 443.50	15.23 411.69		4.05 31.81
125009150	4 19	UNUM GROUP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/21/08 10/23/08	12/02/09	76.64 364.03	71.60 289.92		5.04 74.11
125009160	4 42	UNUM GROUP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/23/08 10/29/08	12/17/09	77.90 817.92	61.03 649.81		16.87 168.11
125009390	14 19	VIACOM INC NEW CLASS B MorganStanley SmithBarney LLC acted as your agent in this transaction	10/16/08 10/17/08	11/18/09	427.55 580.24	254.72 350.53		172.83 229.71
Total					\$ 63,021.43	\$ 80,900.36	(\$ 19,634.95)	\$ 1,756.02



Application for Extension of Time To File an
Exempt Organization Return

OMB No. 1545-1709

▶ File a separate application for each return.

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

Do not complete **Part II** unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.**Part I Automatic 3-Month Extension of Time.** Only submit original (no copies needed).A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ☐

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

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

Type or print	Name of Exempt Organization	Employer identification number
	RUDD EQUIPMENT COMPANY FOUNDATION, INC. F/K/A CHARLES W. ROSENBAUM FOUNDATION	61-1293806
File by the due date for filing your return. See instructions	Number, street, and room or suite no. If a P.O. box, see instructions.	
	P.O. BOX 32427	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	LOUISVILLE, KY 40232-2427	

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

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

MICHAEL D. RUDD, MANAGER

- The books are in the care of ▶ 4344 POPLAR LEVEL RD. - LOUISVILLE, KY 40213
- Telephone No ▶ 502-456-4050 FAX No ▶

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

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

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

3a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	3a	\$	826.
b	If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	2,000.
c	Balance Due. Subtract line 3b from line 3a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions	3c	\$	0.

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

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

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

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

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

Type or print File by the extended due date for filing the return. See instructions.	Name of Exempt Organization	Employer identification number
	CHARLES W. ROSENBAUM FOUNDATION, INC.	61-1293806
	Number, street, and room or suite no. If a P.O. box, see instructions.	For IRS use only
	P.O. BOX 32427	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	
	LOUISVILLE, KY 40232-2427	

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

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

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

MICHAEL D. RUDD, MANAGER

- The books are in the care of ☒ 4344 POPLAR LEVEL RD. - LOUISVILLE, KY 40213

Telephone No ☒ 502-456-4050

FAX No. ☐

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

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

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

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

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

7 State in detail why you need the extension

ADDITIONAL TIME IS NEEDED SO THAT TAXPAYER CAN GATHER THE INFORMATION NECESSARY TO FILE A COMPLETE AND ACCURATE RETURN.

8a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	8a	\$	826.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	2,000.
c	Balance Due. Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions	8c	\$	0.

Signature and Verification

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

Signature ☒ Amy Files

Title ☒ CPA

Date ☒ 8-11-10