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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

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

Use the IRS label. Otherwise, print or type. See Specific Instructions.	Name of foundation THE MICK FOUNDATION		A Employer identification number 62-1491417
	Number and street (or P O box number if mail is not delivered to street address) Room/suite 9230 OLD SMYRNA ROAD		B Telephone number 615-373-2470
	City or town, state, and ZIP code BRENTWOOD, TN 37027		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) \$ 3,967,562.		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)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ if the foundation is not required to attach Sch. B Interest on savings and temporary cash investments		376.	376.		STATEMENT 1
4 Dividends and interest from securities		91,145.	91,145.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		<660,820.>			
b Gross sales price for all assets on line 6a		3,140,451.			
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		1,100.	1,100.		STATEMENT 3
12 Total. Add lines 1 through 11		<568,199.>	92,621.		
13 Compensation of officers, directors, trustees, etc.		70,000.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees STMT 4		4,200.	0.		0.
c Other professional fees STMT 5		9,570.	9,570.		0.
17 Interest					
18 Taxes STMT 6		8,366.	558.		0.
19 Depreciation and depletion					
20 Occupancy		21,345.	0.		0.
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 7		2,435.	0.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		115,916.	10,128.		0.
25 Contributions, gifts, grants paid		74,800.			74,800.
26 Total expenses and disbursements. Add lines 24 and 25		190,716.	10,128.		74,800.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		<758,915.>			
b Net investment income (if negative, enter -0-)			82,493.		
c Adjusted net income (if negative, enter -0-)				N/A	

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Part II Balance Sheets		Beginning of year	End of year	
			(a) Book Value	(b) Book Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	204,732.	124,839.	124,839.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 8	2,135,964.	1,426,414.	1,611,813.
	c Investments - corporate bonds			
Liabilities	11 Investments - land, buildings, and equipment basis ▶			
	Less: accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 9	2,061,847.	2,094,026.	2,230,910.
	14 Land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers)	4,402,543.	3,645,279.	3,967,562.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
Net Assets or Fund Balances	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.	
	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	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	4,402,543.	3,645,279.	
	30 Total net assets or fund balances	4,402,543.	3,645,279.	
31 Total liabilities and net assets/fund balances		4,402,543.	3,645,279.	

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	4,402,543.
2 Enter amount from Part I, line 27a	2	<758,915.>
3 Other increases not included in line 2 (itemize) ▶ ACCRUED INCOME TIMING DIFFERENCE	3	1,651.
4 Add lines 1, 2, and 3	4	3,645,279.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	3,645,279.

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 JP MORGAN - SEE ATTACHED STATEMENT	P	VARIOUS	VARIOUS
b JP MORGAN - SEE ATTACHED STATEMENT	P	VARIOUS	VARIOUS
c JP MORGAN - CAPITAL GAIN DISTRIBUTION	P		
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 1,789,863.		2,308,258.	<518,395.>
b 1,350,536.		1,493,013.	<142,477.>
c 52.			52.
d			
e			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			<518,395.>
b			<142,477.>
c			52.
d			
e			

2 Capital gain net income or (net capital loss)	If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7	2	<660,820.>
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	97,280.	4,290,677.	.022672
2007	254,293.	5,215,249.	.048760
2006	256,630.	5,061,841.	.050699
2005	249,897.	4,950,166.	.050483
2004	247,121.	4,988,619.	.049537

2 Total of line 1, column (d)	2	.222151
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	.044430
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	3,602,288.
5 Multiply line 4 by line 3	5	160,050.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	825.
7 Add lines 5 and 6	7	160,875.
8 Enter qualifying distributions from Part XII, line 4	8	74,800.

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)		1	1,650.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		2	0.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		3	1,650.
3 Add lines 1 and 2		4	0.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		5	1,650.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-			
6 Credits/Payments:			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	2,924.	
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	2,924.	
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	1,274.	
11 Enter the amount of line 10 to be: Credited to 2010 estimated tax ☐ 1,274. Refunded ☐	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b 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
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ☐ \$ 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) ☐ TN		
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

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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?	13	X	

Website address ► **WWW.MICKFOUNDATION.COM**

14 The books are in care of ► **JOHN MICK** Telephone no. ► **(615) 373-2470**
 Located at ► **9230 OLD SMYRNA RD., BRENTWOOD, TN** ZIP+4 ► **37027**

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

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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

6b

X

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

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

7b

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

N/A

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
ROGER E MICK 9230 OLD SMYRNA ROAD BRENTWOOD, TN 37027	DIR/PRESIDENT 1.00	0.	0.	0.
BARBARA D MICK 9230 OLD SMYRNA ROAD BRENTWOOD, TN 37027	DIR/SECRETARY 1.00	0.	0.	0.
JOHN R MICK 9230 OLD SMYRNA ROAD BRENTWOOD, TN 37027	DIR/VICE PRESIDENT 40.00	70,000.	0.	0.
JENNIFER MICK MCKENZIE 9230 OLD SMYRNA ROAD BRENTWOOD, TN 37027	DIR/VICE PRESIDENT 1.00	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 NONE	
	0.
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	
	0.
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	3,633,600.
b	Average of monthly cash balances	1b	23,545.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	3,657,145.
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	3,657,145.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	54,857.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,602,288.
6	Minimum investment return. Enter 5% of line 5	6	180,114.

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	180,114.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	1,650.
b	Income tax for 2009. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	1,650.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	178,464.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	178,464.
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	178,464.

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	74,800.
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	74,800.
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	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	74,800.

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				178,464.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			48,927.	
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: ► \$ 74,800.				
a Applied to 2008, but not more than line 2a			48,927.	
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				25,873.
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:	0.			
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				152,591.
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 XIV Private Operating Foundations (see instructions and Part VII-A, question 9)

N/A

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

b Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(j)(3) or ☐ 4942(j)(5)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

b 85% of line 2a

c Qualifying distributions from Part XII, line 4 for each year listed

d Amounts included in line 2c not used directly for active conduct of exempt activities

e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c

3 Complete 3a, b, or c for the alternative test relied upon:

a "Assets" alternative test - enter:

(1) Value of all assets

(2) Value of assets qualifying under section 4942(j)(3)(B)(i)

b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed

c "Support" alternative test - enter:

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)

(3) Largest amount of support from an exempt organization

(4) Gross investment income

Tax year

(a) 2009

Prior 3 years

(b) 2008

(c) 2007

(d) 2006

(e) Total

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

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

ROGER E MICK

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

NONE

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

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

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

JOHN MICK, 615-373-2470

9230 OLD SMYRNA RD., BRENTWOOD, TN 37027

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

N/A

c Any submission deadlines:

N/A

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

THE FOUNDATION ONLY MAKES CONTRIBUTIONS TO CHARITABLE ORGANIZATIONS THAT QUALIFY UNDER IRC SECTION 501(C)(3) OR AS PUBLIC CHARITIES.

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE ATTACHED STATEMENT NASHVILLE, TN	NO RELATIONSHIP	PUBLIC CHARITY	CHARITABLE	74,800.
Total			► 3a	74,800.
b Approved for future payment NONE				
Total			► 3b	0.

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

		Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		
	a Transfers from the reporting foundation to a noncharitable exempt organization of:		
	(1) Cash	1a(1)	X
	(2) Other assets	1a(2)	X
	b Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization	1b(1)	X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)	X
	(3) Rental of facilities, equipment, or other assets	1b(3)	X
	(4) Reimbursement arrangements	1b(4)	X
	(5) Loans or loan guarantees	1b(5)	X
(6) Performance of services or membership or fundraising solicitations	1b(6)	X	
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c	X	
d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.			

[illegible]

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

b If "Yes," complete the following schedule.		
(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge.			
Sign Here	Signature of officer or trustee 		Date <u>5-14-2010</u>
			Title <u>VP</u>
Paid Preparer's Use Only	Preparer's signature 	Date <u>5/7/10</u>	Check if self-employed ☐
	Firm's name (or yours if self-employed), address, and ZIP code	Preparer's identifying number	
	<u>LATIMORE BLACK MORGAN & CAIN, P.C.</u>	<u>P.O. BOX 1869</u>	EIN <u>62-1199757</u>
	<u>BRENTWOOD, TN 37024-1869</u>		Phone no. <u>(615) 377-4600</u>

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	AMOUNT
JP MORGAN - INTEREST	121.
JP MORGAN - OID INCOME	255.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	376.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
JP MORGAN	91,145.	0.	91,145.
TOTAL TO FM 990-PF, PART I, LN 4	91,145.	0.	91,145.

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
JP MORGAN - NON-DIVIDEND DISTRIBUTIONS	1,100.	1,100.	
TOTAL TO FORM 990-PF, PART I, LINE 11	1,100.	1,100.	

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX PREP FEES	4,200.	0.		0.
TO FORM 990-PF, PG 1, LN 16B	4,200.	0.		0.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	9,570.	9,570.		0.
TO FORM 990-PF, PG 1, LN 16C	9,570.	9,570.		0.

FORM 990-PF	TAXES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PAYROLL & LOCAL TAXES	7,783.	0.		0.
FOREIGN TAX WITHHELD	558.	558.		0.
STATE & LOCAL TAXES	25.	0.		0.
TO FORM 990-PF, PG 1, LN 18	8,366.	558.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	7
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TELEPHONE	1,997.	0.		0.
MISCELLANEOUS	128.	0.		0.
WEBSITE HOSTING FEE	310.	0.		0.
TO FORM 990-PF, PG 1, LN 23	2,435.	0.		0.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
JP MORGAN - SEE ATTACHED STATEMENT	1,426,414.	1,611,813.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,426,414.	1,611,813.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
JP MORGAN BOND FUNDS - SEE STATEMENT	FMV	1,423,771.	1,504,511.
JP MORGAN STRUCTURED INVESTMENTS - SEE STATEMENT	FMV	670,255.	726,399.
TOTAL TO FORM 990-PF, PART II, LINE 13		2,094,026.	2,230,910.

The Mick Foundation

62-1491417

The Mick Foundation

12/31/2009

ATTACHMENT: Foundation Grants Paid

Name	Purpose	Amount
American Cancer Society	CHARITABLE	1,000
Andrew Jackson Police Lodge	CHARITABLE	2,800
Brentwood Blaze - Brentwood, Tennessee	CHARITABLE	2,500
Camp Sycamore Creek	CHARITABLE	5,000
Franklin Road Academy	CHARITABLE	11,500
Hope Clinic	CHARITABLE	5,000
Interfaith Dental Clinic	CHARITABLE	5,000
Kyle Hutchison Foundation	CHARITABLE	1,000
March of Dimes	CHARITABLE	5,000
TN Golf Foundation	CHARITABLE	10,000
TNDEA	CHARITABLE	1,000
University of Kentucky - Lexington, Kentucky	CHARITABLE	25,000
Total Grants paid for 2009		<u>74,800</u>

ATTACHMENT - JP Morgan Equities

J.P.Morgan

THE MICK FOUNDATION
For the Period 12/1/09 to 12/31/09

Equity Detail

	Quantity	Price	Market Value	Tax Cost
US Large Cap				
ABBOTT LABORATORIES 002824-10-0 ABT	125 000	53 99	6,748 75	5,857 10
ADVANCED AUTO PARTS INC 00751Y-10-6 AAP	30 000	40 48	1,214 40	1,060 03
AETNA INC 00817Y-10-8 AET	95 000	31 70	3,011 50	3,119 17
AFLAC INC 001055-10-2 AFL	45 000	46 25	2,081 25	1,995 19
AMAZON COM INC 023135-10-6 AMZN	10 000	134 52	1,345 20	830 28
ANADARKO PETROLEUM CORP 032511-10-7 APC	25 000	62 42	1,560 50	1,080 53
APACHE CORP 037411-10-5 APA	40 000	103 17	4,126 80	3,710 72
APPLE INC. 037833-10-0 AAPL	30 000	210 73	6,321 96	2,671 19
APPLIED MATERIALS INC 038222-10-5 AMAT	225 000	13 94	3,136 50	2,963 86
AT&T INC 00206R-10-2 T	140 000	28 03	3,924 20	5,397 22
BANK OF AMERICA CORP 060505-10-4 BAC	386 000	15 06	5,813 16	8,451 37

	Quantity	Price	Market Value	Tax Cost
US Large Cap				
BANK OF NEW YORK MELLON CORP 064058-10-0 BK	125 000	27 97	3,496 25	4,810 26
BAXTER INTERNATIONAL INC 071813-10-9 BAX	50 000	58 68	2,934 00	2,515 14
BB & T CORP 054937-10-7 BBT	55 000	25 37	1,395 35	1,028 21
BOEING CO 097023-10-5 BA	25 000	54 13	1,353 25	1,678 08
BRISTOL MYERS SQUIBB CO 110122-10-8 BMY	100 000	25 25	2,525 00	2,019 47
CARDINAL HEALTH INC 14149Y-10-8 CAH	25 000	32 24	806 00	547 56
CATERPILLAR INC 149123-10-1 CAT	20 000	56 99	1,139 80	519 61
CELGENE CORPORATION 151020-10-4 CELG	70 000	55 68	3,897 60	3,481 95
CHEVRON CORP 166764-10-0 CVX	60 000	76 99	4,619.40	3,990 18
CISCO SYSTEMS INC 17275R-10-2 CSCO	327 000	23 94	7,828.38	2,337 95
CITIGROUP INC 172967-10-1 C	575 000	3 31	1,903.25	2,425.91
COACH INC 189754-10-4 COH	30 000	36 53	1,095 90	1,007 60

	Quantity	Price	Market Value	Tax Cost
US Large Cap				
COCA COLA CO 191216-10-0 KO	35 000	57 00	1,995 00	2,009 22
COMCAST CORP CLA	100 000	16 86	1,686 00	1,692 13
20030N-10-1 CMCS A				
CONOCOPHILLIPS 20825C-10-4 COP	75 000	51 07	3,830 25	3,569 53
CORNING INC 219350-10-5 GLW	195 000	19 31	3,765 45	2,310 93
CVS/CAREMARK CORPORATION 126650-10-0 CVS	140 000	32 21	4,509 40	3,724 84
DEERE & CO 244199-10-5 DE	75 000	54 09	4,056 75	2,845 11
DEVON ENERGY CORP 25179M-10-3 DVN	50 000	73 50	3,675 00	2,544 88
DOW CHEMICAL CO 260543-10-3 DOW	130 000	27 63	3,591 90	1,798 64
EATON VANCE SPL INVT TR VALUE FD CL I 277905-64-2 EILV X	9,536 785	16 78	160,027 25	140,000 00
EDISON INTERNATIONAL 281020-10-7 EIX	100 000	34 78	3,478 00	3,716 37
EMERSON ELECTRIC CO 291011-10-4 EMR	50 000	42 60	2,130 00	1,741 58

	Quantity	Price	Market Value	Tax Cost
US Large Cap				
EOG RESOURCES INC 26875P-10-1 EOG	15 000	97 30	1,459 50	1,015 17
EXXON MOBIL CORP 30231G-10-2 XOM	89,000	68.19	6,068 91	1,892 21
FREEMONT-MCMORAN COPPER & GOLD INC CL B 35671D-85-7 FCX	60 000	80 29	4,817 40	3,690 18
GENERAL MILLS INC 370334-10-4 GIS	25 000	70 81	1,770.25	1,341.69
GILEAD SCIENCES INC 375558-10-3 GILD	60 000	43 27	2,596 20	2,812 49
GOLDMAN SACHS GROUP INC 38141G-10-4 GS	35 000	168 84	5,909 40	3,849 52
GOOGLE INC CL A 38259P-50-8 GOOG	14 000	619 98	8,679 72	6,260 85
HEWLETT-PACKARD CO 428236-10-3 HPQ	205 000	51 51	10,559 55	6,080 15
HONEYWELL INTERNATIONAL INC 438516-10-6 HON	30 000	39 20	1,176 00	1,230 29
INTERNATIONAL GAME TECHNOLOGY 459902-10-2 IGT	50 000	18 77	938 50	773 62
INTERNATIONAL BUSINESS MACHINES CORP 459200-10-1 IBM	33 000	130 90	4,319 70	973 31

THE MICK FOUNDATION

For the Period 12/1/09 to 12/31/09

	Quantity	Price	Market Value	Tax Cost
US Large Cap				
IVY LARGE CAP GROWTH FUND - I 466001-20-3 IYGI X	7,011 866	11 65	81,688 24	65,000 00
JOHNSON CONTROLS INC 478366-10-7 JCI	130 000	27 24	3,541 20	1,287 11
JPMORGAN INTREPID AMERICA FUND SELECT SHARE CLASS FUND 1206 4812A2-10-8 JPIA X	4,129 673	20 31	83,873 66	95,973 60
JUNIPER NETWORKS INC 48203R-10-4 JNPR	110 000	26 67	2,933 70	2,268 77
MASTERCARD INC - CLASS A 57636Q-10-4 MA	8 000	255 98	2,047 84	1,462 50
MERCK & CO INC 58933Y-10-5 MRK	195 000	36 54	7,125 30	6,192 33
METLIFE INC 59156R-10-8 MET	25 000	35 35	883 75	669 54
MICROSOFT CORP 594918-10-4 MSFT	445 000	30 48	13,563 60	10,386 33
MONSANTO CO 61166W-10-1 MON	25 000	81 75	2,043 75	2,542 54
MORGAN STANLEY 617446-44-8 MS	120 000	29 60	3,552 00	3,367 13
NATIONAL SEMICONDUCTOR CORP 637640-10-3 NSM	65.000	15 36	998 40	768 18

THE MICK FOUNDATION
For the Period 12/1/09 to 12/31/09

	Quantity	Price	Market Value	Tax Cost
US Large Cap				
NETAPP INC 64110D-10-4 NTAP	35 000	34 36	1,202 60	543 62
NIKE INC B 654106-10-3 NKE	30 000	66 07	1,982 10	1,713 66
NORFOLK SOUTHERN CORP 655844-10-8 NSC	160 000	52 42	8,387 20	6,385 14
OCCIDENTAL PETROLEUM CORP 674599-10-5 OXY	70 000	81 35	5,694 50	4,848 60
ORACLE CORP 68389X-10-5 ORCL	125 000	24 53	3,066 25	2,615 44
PACCAR INC 693718-10-8 PCAR	75 000	36 27	2,720 25	2,699 49
PARKER-HANNIFIN CORP 701094-10-4 PH	20 000	53 88	1,077 60	796 37
PAYCHEX INC 704326-10-7 PAYX	30 000	30 64	919 20	774 09
PEPSICO INC 713448-10-8 PEP	75 000	60 80	4,560 00	4,877 45
PFIZER INC 717081-10-3 PFE	370 000	18 19	6,730 30	5,442 89
PHILIP MORRIS INTERNATIONAL 718172-10-9 PM	90 000	48 19	4,337 10	2,115 08
PRAXAIR INC 74005P-10-4 PX	35 000	80 31	2,810 85	1,617 23

J.P.Morgan

THE MICK FOUNDATION
For the Period 12/1/09 to 12/31/09

	Quantity	Price	Market Value	Tax Cost
US Large Cap				
PROCTER & GAMBLE CO 742718-10-9 PG	135 000	60 63	8,185 05	4,394 00
PRUDENTIAL FINANCIAL INC 744320-10-2 PRU	70 000	49 76	3,483 20	2,852 22
QUALCOMM INC 747525-10-3 QCOM	105 000	46 26	4,857 30	2,262 13
SCHLUMBERGER LTD 806857-10-8 SLB	45 000	65 09	2,929 05	1,805 21
SOUTHERN CO 842587-10-7 SO	50 000	33 32	1,666 00	1,495 93
SOUTHWESTERN ENERGY CO 845467-10-9 SWN	25 000	48 20	1,205 00	1,069 97
SPRINT NEXTEL CORP 852061-10-0 S	300 000	3 66	1,098 00	1,225 23
STAPLES INC 855030-10-2 SPLS	145 000	24 59	3,565 55	3,185 64
STARWOOD HOTELS & RESORTS 85590A-40-1 HOT	75,000	36.57	2,742 75	1,598.86
SYSCO CORP 871829-10-7 SY	75,000	27 94	2,095 50	2,371.04
TD AMERITRADE HOLDING CORPORATION 87236Y-10-8 AMTD	50 000	19 38	969 00	783 10
TIME WARNER INC NEW 887317-30-3 TWX	156 000	29 14	4,545 84	3,937.08

J.P.Morgan

THE MICK FOUNDATION
For the Period 12/1/09 to 12/31/09

	Quantity	Price	Market Value	Tax Cost
US Large Cap				
UNITED TECHNOLOGIES CORP 913017-10-9 UTX	80 000	69 41	5,552 80	4,350 19
URBAN OUTFITTERS INC 917047-10-2 URBN	45.000	34 99	1,574 55	649 74
US BANCORP DEL 902973-30-4 USB	165 000	22 51	3,714 15	4,558 19
V F CORP 918204-10-8 VFC	25 000	73 24	1,831 00	1,430 71
VERIZON COMMUNICATIONS INC 92343V-10-4 VZ	155 000	33 13	5,135 15	5,334 96
WAL MART STORES INC 931142-10-3 WMT	80 000	53 45	4,276 00	3,052 34
WALT DISNEY CO 254687-10-6 DIS	215 000	32 25	6,933.75	5,725 91
WELLPOINT INC 94973V-10-7 WLP	15 000	58 29	874 35	787 49
WELLS FARGO & CO 949746-10-1 WFC	190 000	26 99	5,128 10	4,526 13
XILINX CORP 983919-10-1 XLNX	100.000	25 06	2,506 00	2,160 81
YUM BRANDS INC 988498-10-1 YUM	85.000	34 97	2,972 45	3,080 81
Total US Large Cap			\$636,898.46	\$546,356.07

	Quantity	Price	Market Value	Tax Cost
US Mid Cap/Small Cap				
ISHARES RUSSELL MIDCAP INDEX FUND 464287-49-9 IWR	1,446 000	82 51	119,309 46	110,212 68
JPMORGAN MARKET EXPANSION INDEX FUND SELECT SHARE CLASS FUND 3708 4812C1-63-7 PGMI X	10,124 611	8 68	87,881 62	65,000 00
JPMORGAN TRI HIGHBIDGE STATISTICAL MARKET NEUTRAL FUND SELECT SHARES FUND # 1011 4812A2-43-9 HSKS X	5,600 498	15 74	88,151 84	90,000 00
KB HOME 48666K-10-9 KBH	50 000	13 68	684 00	834 96
Total US Mid Cap/Small Cap			\$296,026.92	\$266,047.64
Non US Equity				
ACE LTD NEW H0023R-10-5 ACE	35 000	50 40	1,764 00	1,614 25
COOPER INDUSTRIES PLC CL - A G24140-10-8 CBE	50 000	42 64	2,132 00	1,671 08
COVIDIEN PLC G2554F-10-5 COV	70 000	47 89	3,352 30	2,589 29

	Quantity	Price	Market Value	Tax Cost
Non US Equity				
JPMORGAN ASIA EQUITY FUND SELECT SHARE CLASS FUND 1134 4812A0-70-6 JPAS X	3,017 589	31 20	94,148 78	93,046 27
JPMORGAN INTERNATIONAL VALUE FUND SELECT SHARE CLASS FUND 1296 4812A0-56-5 JIES X	19,619 177	12 68	248,771 16	208,530 16
JPMORGAN INTREPID INTERNATIONAL FUND SELECT SHARE CLASS FUND # 1321 4812A2-21-5 JISI X	3,049 175	15 73	47,963 52	60,467 25
MANNING & NAPIER FUND INC WORLD OPPORTUNITIES SERIES FUND 563821-54-5 EXWA X	12,562 814	8 12	102,010 05	100,000 00
MATTHEWS PACIFIC TIGER FUND -CL I 577130-10-7 MAPT X	6,468 305	19 23	124,385 51	100,000.00
SPDR GOLD TRUST 78463V-10-7 GLD	495 000	107 31	53,118 45	44,828 44
TRANSOCEAN INC H8817H-10-0 RIG	15 000	82 80	1,242 00	1,263 95
Total Non US Equity			\$678,887.77	\$614,010.69
Total Equities				
			\$1,611,813	\$1,426,414

ATTACHMENT - Bond Funds

J.P.Morgan

THE MICK FOUNDATION
For the Period 12/1/09 to 12/31/09

Fixed Income Detail

	Quantity	Price	Market Value	Tax Cost Adjusted Original
US Fixed Income - Taxable				
ISHARES BARCLAYS TIPS BOND FUND 464287-17-6	2,185 000	103 90	227,021 50	221,016 35
EATON VANCE MUT FDS TR FLT RT CL I 277911-49-1	10,324 484	8 54	88,171 09	70,000 00
GOLDMAN SACHS TRUST HIGH YIELD FUND INSTITUTIONAL SHS 38141W-67-9	13,902 362	6 95	96,621 42	70,564 36
JPMORGAN INTERNATIONAL CURRENCY INCOME FUND 30-Day Annualized Yield 1 20% 4812A3-29-6	2,293 578	10 75	24,655 96	25,000 00
JPMORGAN STRATEGIC INCOME OPPORTUNITIES FUND 3844 30-Day Annualized Yield 2 76% 4812A4-35-1	10,442 571	11 59	121,029 40	110,000 00
JPMORGAN HIGH YIELD BOND FUND SELECT CLASS FUND 3580 30-Day Annualized Yield 7 59% 4812C0-80-3	11,160 088	7 74	86,379 08	86,267 48

THE MICK FOUNDATION
For the Period 12/1/09 to 12/31/09

	Quantity	Price	Market Value	Tax Cost Adjusted Original
US Fixed Income - Taxable				
JPMORGAN SHORT DURATION BOND FUND SELECT CLASS FUND 3133 30-Day Annualized Yield 2.04% 4812C1-33-0	68,987.199	10.85	748,511.11	740,922.51
VANGUARD FIXED INCOME SECS F INTR TRM CP PT (FUND 71) 922031-88-5	11,655.012	9.62	112,121.22	100,000.00
Total US Fixed Income - Taxable			\$1,504,510.78	\$1,423,770.70

	Quantity	Price	Estimated Value	Cost
Structured Investments				
BARC 12M SPX BREN 09/29/10 (10%BUFFER- 2XLEV-8.45%CAP-16 9%MAXPYMT) INITIAL LEVEL-9/11/09 SPX 1042 73 06739J-C5-0	45,000 000	105 71	47,569 50	45,000 00
BARC 18M SPX MKT PLS NOTE 03/31/11 (85% CONTIN BARRIER-3 75%PMT- UNCAPPED) INITIAL LEVEL-SPX 09/25/09 1044 38 06739J-XK-4	30,000 000	105.68	31,704 00	30,000 00

THE MICK FOUNDATION
For the Period 12/1/09 to 12/31/09

	Quantity	Price	Estimated Value	Cost
Structured Investments				
BARC 9M EAFE NOTE 09/14/2010 (83.25% CONTIN BARRIER- 2% PMT -7% CAP) INITIAL LEVEL-12/04/09.SX5E 2910 33 UKX 5322 36 TPX 889 58 06739J-6P-3	40,000 000	101 92	40,768 00	40,000 00
BARC 9M RTY TACTICAL NOTE 07/29/2010 (80% CONTIN BARRIER- 2.0% PMT -7% CAP) INITIAL LEVEL-RTY 10/22/09 605 11 06739J-P3-1	80,000 000	101 23	80,984 00	80,000 00
BARC 9M RTY TACTICAL NOTE 07/01/2010 (79% CONTIN BARRIER- 2.0% PMT -7% CAP) INITIAL LEVEL-RTY 09/23/09. 613 37 06739J-XM-0	40,000 000	101 42	40,568 00	40,000 00
BARCLAYS BREN GSCI OIL 8/05/10 GSCITM CRUDE OIL EXCESS RETURN INDEX, 15% BUFFER, 1.66X LEVERAGE, 58 10% MAX RET, DD 02/05/09 06738Q-F3-7	30,000 000	133 60	40,080 00	30,000 00
BARCLAYS BREN S&P GSCI AG 4/28/11 S&P GSCI AG EXCESS RET INDEX BUFFER 20%, MAX RETURN 38 75% DOWNSIDE LEVERAGE 1 25, DD 04/22/09 06738Q-5G-9	35,000 000	111 30	38,955 00	35,000 00

THE MICK FOUNDATION
For the Period 12/1/09 to 12/31/09

	Quantity	Price	Estimated Value	Cost
Structured Investments				
BARCLAYS BREN CUR BSKT 11/24/10 MAX RET 14% PARTICIPATION 140% DD 05/19/09 06739J-BV-4	35,000 000	105 67	36,984 50	35,000 00
CREDIT SUISSE BREN AIB 5/06/10 10%BUFFER 2XLEV 13 7%CAP 27 4%MAXPMT DD 04/24/09 22546E-HK-3	45,000 000	124 47	56,011 50	45,000 00
DB SPX BREN 08/26/10 (10%BUFFER- 2XLEV-8 13%CAP-16 26%MAXPYMT) INITIAL LEVEL-8/07/09 SPX 1010 48 2515A0-N8-2	40,000 000	107 79	43,114 68	40,000 00
GOLDMAN SACHS 98% PP BRIC BASKET 7/25/11 BRL,RUB,INR,CNY VS USD MAX RETURN 24 70% UPSIDE PART 178% DD 07/17/09 38143U-DB-4	20,000 000	104 82	20,963 00	20,254 97
HSBC EAFE BREN 09/23/10 (10%BUFFER- 2XLEV-7%CAP-14%MAXPYMT) INITIAL LEVEL-9/10/09 SXSE 2733 54 UKX 4851 70 TPX 935 74 4042K0-ZA-6	50,000 000	102 25	51,125 00	50,000 00
HSBC 12M SPX BREN 11/24/10 (10%BUFF -2XLEV-7 68% CAP-15 36%MXPYMT) INITIAL LEVEL-SPX 11/06/09 1069 30 4042K0-E6-8	85,000 000	102 62	87,227 00	85,000 00

THE MICK FOUNDATION
For the Period 12/1/09 to 12/31/09

	Quantity	Price	Estimated Value	Cost
Structured Investments				
HSBC 18M SPX MKT PLS NOTE 02/10/11 (70% CONTIN BARRIER-2 5%PMT-UNCAPED) INITIAL LEVEL-SPX-08/07/09- 1010 48 4042K0-YN-9	40,000 000	109 78	43,912 00	40,000 00
MARKET PLUS NOTE LINKED TO S&P 500 10/08/10, CREDIT SUISSE (30% CONTIN BARRIER-5%PMT-UNCAPED UPSIDE) INITIAL LEVEL-SPX 04/02/09 834 38 22546E-GV-0	30,000 000	133 11	39,933 00	30,000 00
MS 12M ASIA BSKT BREN 09/29/10 10%BUFFER- 2XLEV-9 7%CAP-19 4%MAXPYMT) INITIAL LEVEL-9/11/09 ASIA 100 00 617482-GY-4	25,000 000	106 00	26,500 00	25,000 00
Total Structured Investments			\$726,399.18	\$670,254.97

Capital Gain and Loss Schedule

Transactions

Note C indicates correction
 S indicates Short Term Realized Gain/Loss
 L indicates Long Term Realized Gain/Loss
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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
CABLETRON SYSTEM INC REPRESENTS PRO RATA SHARE OF THE NET SETTLEMENT FROM THE CABLETRON SYSTEM INC CLASS ACTION DUE A22677008 THE MICK FOUNDATION ACQ	0 000	00/00/00	00/00/00	84 76	00	L 84 76
BRISTOL MYERS SQUIBB CO @ 21 9742 549 36 BROKERAGE 0 75 TAX &/OR SEC 01 BANC OF AMERICA SEC LLC	25 000	07/09/08	01/13/09	548 60	539 25	S 9 35
DANAHER CORP @ 53 0331 265 17 BROKERAGE 0 15 TAX &/OR SEC 01 JONESTRADING INSTITUTIONAL SERVICE	5 000	01/04/08	01/13/09	265 01	428 84	L -163 83

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Capital Gain and Loss Schedule

Transactions

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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
PHILIP MORRIS INTERNATIONAL @ 42 336 846 72	20 000	08/05/93	01/13/09	846 11	161 82	L 684 29
BROKERAGE 0 60						
TAX &/OR SEC .01						
BANC OF AMERICA SEC LLC						
APPLE INC @ 85 7218 428 61	5 000	01/08/08	01/14/09	428 45	899 94	L -471 49
BROKERAGE 0 15						
TAX &/OR SEC 01						
PIPER JAFFRAY & CO						
JOHNSON CONTROLS INC @ 16 8093 420 23	25 000	03/27/08	01/14/09	419 47	867 75	S -448 28
BROKERAGE 0 75						
TAX &/OR SEC 01						
MORGAN KEEGAN & CO INC						

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Capital Gain and Loss Schedule

Transactions

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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
NIKE INC B @ 46 8793 703 19 BROKERAGE 0.45 TAX &/OR SEC 01 MORGAN STANLEY & CO INCORPORATED	15 000	01/07/08	01/14/09	702 73	926.70	L -223 97
PRAXAIR INC @ 60 1854 601 85 BROKERAGE 0.20 TAX &/OR SEC 01 J P MORGAN SECURITIES INC	10 000	10/19/05	01/14/09	601 64	462 06	L 139 58
YUM BRANDS INC @ 28 6568 429 85 BROKERAGE 0.45 TAX &/OR SEC 01 OPPENHEIMER & CO. INC.	15 000	01/09/08	01/14/09	429 39	556 24	L -126 85

Capital Gain and Loss Schedule

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APPLE INC @ 80 8975 808 98 BROKERAGE 0 30 TAX &/OR SEC 01 PIPER JAFFRAY & CO	10 000	01/08/08	01/15/09	808 67	1,799 88	L -991 21
NEWS CORP INC CL A @ 8 0323 1,164 68 BROKERAGE 4.35 TAX &/OR SEC .01	145 000	05/10/07	01/15/09	1,160 32	3,150 95	L -1,990 63
COLGATE PALMOLIVE CO @ 63 1733 1,579 33 BROKERAGE 0 75 TAX &/OR SEC 01 NATIONAL FINL SVCS CORP	25 000	01/09/08	01/20/09	1,578 57	2,032 35	L -453 78

Capital Gain and Loss Schedule

Transactions

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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
AFLAC INC @ 35 4144 354 14 BROKERAGE 0 30 TAX &/OR SEC 01 CREDIT SUISSE FIRST BOSTON LLC	10 000	01/03/08	01/21/09	353 83	631 50	L -277 67
BAKER HUGHES INC @ 30 7184 1,535 92 BROKERAGE 1 50 TAX &/OR SEC 01 FRIEDMAN BILLINGS & RAMSEY	50 000	07/18/08	01/23/09	1,534 42	3,638.98	S -2,104 56
COLGATE PALMOLIVE CO @ 60 7345 911 02 BROKERAGE 0 45 TAX &/OR SEC 01 BMO NESBITT BURNS CORP	15 000	01/09/08	01/23/09	910 56	1,219 41	L -308 85

Capital Gain and Loss Schedule

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
DANAHER CORP @ 55.7467 557 47	10 000	01/04/08	01/26/09	557 16	857 69	L -300 53
BROKERAGE 0 30						
TAX &/OR SEC 01						
LAZARD FRERES & CO						
XTO ENERGY CORP @ 36 7858 919 65	25 000	01/03/08	01/27/09	918 89	1,336.75	L -417 86
BROKERAGE 0 75						
TAX &/OR SEC 01						
BARCLAYS CAPITAL INC /LE						
AT&T INC @ 25 3715 507 43	20 000	01/10/08	01/28/09	506 82	777.10	L -270 28
BROKERAGE 0 60						
TAX &/OR SEC 01						
KING C L & ASSOCIATES INC						

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Capital Gain and Loss Schedule

Transactions

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
EXXON MOBIL CORP @ 78.4601 1,176 90 BROKERAGE 0 45 TAX &/OR SEC 01 PERSHING & COMPANY	15 000	06/06/08	01/28/09	1,176 44	1,323 43	S -146.99
SCHERING-PLOUGH CORP @ 18 6307 465 77 BROKERAGE 0 75 TAX &/OR SEC 01 CITIGROUP GLOBAL MKTS INC	25 000	08/02/07	01/28/09	465 01	735 29	L -270 28
CISCO SYSTEMS INC @ 16 1494 968 96 BROKERAGE 1 80 TAX &/OR SEC 01 CITIGROUP GLOBAL MKTS INC	60 000	03/02/07	01/29/09	967 15	1,542.06	L -574 91

Capital Gain and Loss Schedule

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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
ADVANCED AUTO PARTS INC @ 33 5496 335 50 BROKERAGE 0 20 TAX &/OR SEC 01 UBS SECURITIES LLC	10 000	01/07/08	02/04/09	335 29	358 88	L -23 59
BANK OF NEW YORK MELLON CORP @ 28 3003 707 51 BROKERAGE 0 75 TAX &/OR SEC .01 MORGAN KEEGAN & CO INC	25 000	01/08/08	02/05/09	706 75	1,219 46	L -512 71
BRISTOL MYERS SQUIBB CO @ 22 70 454 00 BROKERAGE 0 60 TAX &/OR SEC 01 MORGAN STANLEY & CO. INCORPORATED	20 000	07/07/08	02/05/09	453 39	411 65	S 41 74

Capital Gain and Loss Schedule

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 on Capital Transactions
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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
MARATHON OIL CORP @ 27 1202 542 40 BROKERAGE 0 60 TAX &/OR SEC 01 LABRANCHE FINANCIAL SERVICES LLC	20 000	02/22/08	02/05/09	541.79	1,012 52	S -470 73
ABBOTT LABORATORIES @ 57.00 570.00 BROKERAGE 0 30 TAX &/OR SEC 01 NATIONAL FINL SVCS CORP	10 000	08/01/07	02/06/09	569 69	507.62	L 62 07
C R BARD INC @ 86 6938 433 47 BROKERAGE 0 15 TAX &/OR SEC 01 LEERINK SWANN AND COMPANY	5 000	04/30/08	02/06/09	433 31	472 43	S -39 12

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Capital Gain and Loss Schedule

Transactions

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
ANNUAL REVIEW NOTES LINKED TO THE LESSOR OF SX5E&NKY 225 3/24/2010, JPMC & CO (90/100/100-10% BUFFER-15 7% PYMT) INTL LVL-SX5E 4091 67 NKY 17164.04 DD 3/9/2007	50,000 000	03/09/07	02/06/09	25,560 00	50,000 00	L -24,440 00
PEPSICO INC @ 53.3859 800 79 BROKERAGE 0 45 TAX &/OR SEC 01 CREDIT SUISSE FIRST BOSTON LLC	15 000	01/09/08	02/06/09	800.33	1,183 69	L -383 36
UNITED TECHNOLOGIES CORP @ 49 1352 982 70 BROKERAGE 0 60 TAX &/OR SEC 01 MORGAN STANLEY & CO INCORPORATED	20 000	12/01/05	02/06/09	982 09	1,087 55	L -105 46

Capital Gain and Loss Schedule

Transactions

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 F indicates Foreign Exchange Gain/Loss on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
ECOLAB INC @ 35.3599 884 00 BROKERAGE 0 75 TAX &/OR SEC 01 UBS SECURITIES LLC	25 000	01/13/09	02/09/09	883 24	845 22	S 38 02
RETURN ENHANCED NOTE LKD TO INFRASTRUCTURE BASKET 5/20/10 JPMORGAN(3XLEV-9 45%CAP 28 35%MAX PYMT)INTL LVL INFRASTRUCTURE BASKET-100 TD:5/15/08	50,000 000	05/15/08	02/06/09	22,625.00	50,000 00	S -27,375 00
APOLLO INVESTMENT CORP @ 5 388 538 80 BROKERAGE 2.00 TAX &/OR SEC 01 UBS SECURITIES LLC	100 000	07/23/08	02/11/09	536 79	1,647 58	S -1,110 79

Capital Gain and Loss Schedule

Transactions

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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APOLLO INVESTMENT CORP @ 5 2447 1,573 41	300 000	07/23/08	02/12/09	1,567 40	4,942 74	S -3,375 34
BROKERAGE 6 00						
TAX &/OR SEC 01						
LIQUIDNET INC						
JPMORGAN ASIA EQUITY FUND INSTITUTIONAL SHARE CLASS FUND 1135	3,812 300	08/15/07	02/18/09	65,000 00	133,118.62	L -68,118 62
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT						
JPMORGAN TOTAL RETURN FUND SELECT FUND 3218	21,436 220	07/25/08	02/18/09	200,000 00	216,291 53	S -16,291 53
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 9 33						

Capital Gain and Loss Schedule

Transactions

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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
A T & T CORP REPRESENTS PRO RATA SHARE OF THE NET SETTLEMENT FROM THE A T & T CORP CLASS ACTION DUE A22677008 THE MICK FOUNDATION ACQ DATE	0 000	00/00/00	00/00/00	20 54	00	L 20 54
BANK OF NEW YORK MELLON CORP @ 23 3426 583 57 BROKERAGE 0 75 TAX &/OR SEC 01 CREDIT SUISSE FIRST BOSTON LLC	25 000	01/08/08	02/17/09	582 81	1,219 46	L -636 65
RETURN ENHANCED NOTE LKD TO SP500 2/20/2009 BARCLAYS (3XLEV-7 175%CAP-21 525%MAX) INITIAL LEVEL-SPX 1362 30 DD 1/29/08	100,000 000	01/29/08	02/20/09	60,369 96	100,000 00	L -39,630 04

Capital Gain and Loss Schedule

Transactions

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O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
AMERIPRISE FINANCIAL INC @ 18 23 364 60 BROKERAGE 0 40 TAX &/OR SEC 01 LIQUIDNET INC	20 000	01/04/08	02/18/09	364 19	1,077 50	L -713 31
BRISTOL MYERS SQUIBB CO @ 20 8699 626 10 BROKERAGE 0 90 TAX &/OR SEC 01 CITIGROUP GLOBAL MKTS INC	30 000	07/07/08	02/18/09	625 19	617.47	S 7 72
MERCK & CO INC @ 28 3417 1,700 50 BROKERAGE 1 80 TAX &/OR SEC 01 LEERINK SWANN AND COMPANY	60 000	04/02/07	02/18/09	1,698 69	2,723.52	L -1,024 83

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Capital Gain and Loss Schedule

Transactions

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 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
XTO ENERGY CORP @ 32 0705 801 76 BROKERAGE 0 75 TAX &/OR SEC 01 BARCLAYS CAPITAL INC./LE	25 000	01/03/08	02/19/09	801 00	1,336 75	L -535 75
NEWS CORP INC CL A @ 6 0602 1,090 84 BROKERAGE 5 40 TAX &/OR SEC .01	105 000 75 000	11/13/07 04/14/08	02/20/09 02/20/09	633 16 452.26	2,200 14 1,319.69	L -1,566 98 S -867 43
AFLAC INC @ 16 441 328 82 BROKERAGE 0 40 TAX &/OR SEC 01 LIQUIDNET INC	20 000	01/03/08	02/23/09	328 41	1,263 01	L -934 60

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Capital Gain and Loss Schedule

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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
JPM ISSUED 1 YEAR ASIA DIGITAL PLUS - EQUALLY WEIGHTED 25% (SGD, PHP, IDR, MYR) 98% PP, 12% DIGITAL CPN ABOVE 112 DD 02/14/08, MD 02/27/09	100,000 000	02/14/08	02/27/09	98,000 00	100,000 00	L -2,000 00
APOLLO INVESTMENT CORP @ 4 5127 451 27	100 000	07/23/08	02/26/09	450 26	1,647 58	S -1,197 32
BROKERAGE 1 00						
TAX &/OR SEC 01						
UBS SECURITIES LLC						
ABBOTT LABORATORIES @ 48 4566 484 57	10 000	08/01/07	02/27/09	484.26	507 62	L -23 36
BROKERAGE 0 30						
TAX &/OR SEC 01						
NATIONAL FINL SVCS CORP						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
GENERAL ELECTRIC CO @ 8 6904 434 52	50 000	08/28/98	02/27/09	433 01	1,448 78	L -1,015 77
BROKERAGE 1 50						
TAX &/OR SEC 01						
LABRANCHE FINANCIAL SERVICES LLC						
GENERAL ELECTRIC CO @ 8 7478 524 87	60 000	08/28/98	02/27/09	523 06	1,738 53	L -1,215 47
BROKERAGE 1 80						
TAX &/OR SEC 01						
KING C L & ASSOCIATES INC						
NIKE INC B @ 40 7625 407 63	10 000	01/07/08	02/27/09	407 32	617 80	L -210 48
BROKERAGE 0 30						
TAX &/OR SEC 01						
BARCLAYS CAPITAL INC /LE						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
ADVANCED AUTO PARTS INC @ 36.3747 545.62 BROKERAGE 0.90 TAX &/OR SEC 01 CREDIT SUISSE FIRST BOSTON LLC	15 000	01/07/08	03/02/09	544 71	538 33	L 6 38
FIDELITY ADVISOR HIGH INCOME ADVANTAGE FUND	15,344 060	12/28/07	03/04/09	75,646.27	150,000 00	L -74,353 73
BRISTOL MYERS SQUIBB CO REPRESENTS PRO RATA SHARE OF THE NET SETTLEMENT FROM THE BRISTOL MYERS SQUIBB CO CLASS ACTION DUE A22677008 THE MICK FOUNDATION ACQ	0 000	00/00/00	00/00/00	46 11	00	L 46 11
GILEAD SCIENCES INC @ 45 2574 452 57 BROKERAGE 0.30 TAX &/OR SEC 01 CREDIT SUISSE FIRST BOSTON LLC	10 000	01/07/08	03/03/09	452 26	469.08	L -16 82

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
STATE STREET CORP @ 22 382 559 55 BROKERAGE 0.75 TAX &/OR SEC 01 GOLDMAN SACHS & CO	25 000	10/14/08	03/02/09	558.79	1,377 43	S -818.64
APOLLO INVESTMENT CORP @ 3 6149 361 49 BROKERAGE 1.00 TAX &/OR SEC 01 UBS SECURITIES LLC	100 000	07/23/08	03/04/09	360 48	1,647 58	S -1,287 10
ABBOTT LABORATORIES @ 47 0715 235 36 BROKERAGE 0.15 TAX &/OR SEC 01 MERRILL LYNCH PIERCE FENNER & SMIT	5 000	08/01/07	03/10/09	235 20	253 81	L -18 61

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
ADVANCED AUTO PARTS INC @ 37 9768 569.65 BROKERAGE 0 45 TAX &/OR SEC 01 UBS SECURITIES LLC	15.000	01/07/08	03/10/09	569 19	538 33	L 30 86
TYCO INTERNATIONAL LTD REPRESENTS PRO RATA SHARE OF THE NET SETTLEMENT FROM THE TYCO INTERNATIONAL LTD CLASS ACTION DUE A22677008 THE MICK FOUNDATION ACQ	0 000	00/00/00	00/00/00	1,443 19	00	L 1,443 19
APOLLO INVESTMENT CORP @ 2 404 480 80 BROKERAGE 2.00 TAX &/OR SEC 01 UBS SECURITIES LLC	200 000	07/23/08	03/12/09	478 79	3,295 16	S -2,816 37

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
DANAHER CORP @ 53.2977 532 98 BROKERAGE 0 20 TAX &/OR SEC 01 J P MORGAN SECURITIES INC	10 000	01/04/08	03/12/09	532 77	857 69	L -324 92
APOLLO INVESTMENT CORP @ 2 5561 1,278 05 BROKERAGE 12 50 TAX &/OR SEC 01 BMO NESBITT BURNS CORP	500 000	07/23/08	03/13/09	1,265 54	8,237 90	S -6,972 36
APOLLO INVESTMENT CORP @ 2.4885 497 70 BROKERAGE 2 00 TAX &/OR SEC 01 LIQUIDNET INC	200 000	07/23/08	03/13/09	495 69	3,295 16	S -2,799 47

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APOLLO INVESTMENT CORP @ 2 5474 509 48	200 000	07/23/08	03/13/09	504.47	3,295.16	S -2,790 69
BROKERAGE 5.00						
TAX &/OR SEC 01						
UBS SECURITIES LLC						
MORGAN STANLEY @ 25.1972 503.94	20 000	09/12/03	03/13/09	503 33	810.79	L -307 46
BROKERAGE 0.60						
TAX &/OR SEC 01						
CREDIT SUISSE FIRST BOSTON LLC						
APOLLO INVESTMENT CORP @ 2 5388 507 76	200 000	07/23/08	03/16/09	505 75	3,295.16	S -2,789 41
BROKERAGE 2.00						
TAX &/OR SEC 01						
UBS SECURITIES LLC						

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Capital Gain and Loss Schedule

Transactions

Note C indicates correction
 S indicates Short Term Realized Gain/Loss
 L indicates Long Term Realized Gain/Loss
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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APOLLO INVESTMENT CORP @ 2 6126 1,045.04 BROKERAGE 10 00 TAX &/OR SEC .01 BMO NESBITT BURNS CORP	400 000	07/23/08	03/16/09	1,035 03	6,590 32	S -5,555 29
APOLLO INVESTMENT CORP @ 2 1467 214.67 BROKERAGE 1 00 TAX &/OR SEC 01 UBS SECURITIES LLC	100 000	07/23/08	03/17/09	213 66	1,647 58	S -1,433 92
APOLLO INVESTMENT CORP @ 2 0667 206 67 BROKERAGE 2.50 TAX &/OR SEC 01 BMO NESBITT BURNS CORP	100.000	07/23/08	03/17/09	204 16	1,647 58	S -1,443 42

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
CISCO SYSTEMS INC						
@ 15 6839 470.52	15 000	03/02/07	03/17/09	234 81	385.51	L -150 70
BROKERAGE 0.90						
TAX &/OR SEC 01	15 000	07/09/08	03/17/09	234.81	324 78	S -89 97
PIPER JAFFRAY & CO						
MARATHON OIL CORP						
@ 24 7193 741 58	30 000	02/22/08	03/17/09	740 67	1,518 77	L -778 10
BROKERAGE 0.90						
TAX &/OR SEC 01						
BARCLAYS CAPITAL INC /LE						
MORGAN STANLEY						
@ 22 2921 668 76	30 000	09/12/03	03/17/09	667 85	1,216 19	L -548 34
BROKERAGE 0.90						
TAX &/OR SEC 01						
CREDIT SUISSE FIRST BOSTON LLC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APOLLO INVESTMENT CORP @ 2 1608 216 08	100 000	07/23/08	03/18/09	213 57	1,647 58	S -1,434 01
BROKERAGE 2 50						
TAX &/OR SEC 01						
BMO NESBITT BURNS CORP						
INTERNATIONAL BUSINESS MACHINES CORP	5 000	09/11/96	03/18/09	454 77	147 47	L 307 30
@ 90 985 454 93						
BROKERAGE 0 15						
TAX &/OR SEC 01						
ARNHOLD & S BLEICHROEDER INC						
APOLLO INVESTMENT CORP	100 000	07/23/08	03/19/09	209 27	1,647 58	S -1,438 31
@ 2 1028 210 28						
BROKERAGE 1 00						
TAX &/OR SEC 01						
LIQUIDNET INC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APOLLO INVESTMENT CORP @ 2 1474 214 74	100 000	07/23/08	03/19/09	213 73	1,647 58	S -1,433 85
BROKERAGE 1.00						
TAX &/OR SEC 01						
UBS SECURITIES LLC						
APOLLO INVESTMENT CORP @ 2 121 636 30	300 000	07/23/08	03/19/09	628 79	4,942 74	S -4,313 95
BROKERAGE 7.50						
TAX &/OR SEC .01						
BMO NESBITT BURNS CORP						
DANAHER CORP @ 55 0582 275 29	5 000	01/04/08	03/19/09	275 13	428 84	L -153 71
BROKERAGE 0.15						
TAX &/OR SEC 01						
MERRILL LYNCH PIERCE FENNER & SMIT						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APOLLO INVESTMENT CORP @ 2 0635 619 05	300 000	07/23/08	03/20/09	611 54	4,942 74	S -4,331 20
BROKERAGE 7 50						
TAX &/OR SEC .01						
BMO NESBITT BURNS CORP						
ANNUAL REVIEW NOTES LINKED TO THE S&P 500 INDEX 08/30/2010, JPMORGAN CHASE & CO (100/100/100-10% BUFFER-12 50% PMT) DTD 08/17/07 INTL LVL-SPX 1445 94	50,000 000	08/17/07	03/20/09	28,055 00	50,000.00	L -21,945 00
APOLLO INVESTMENT CORP @ 2 1089 210 89	100 000	07/23/08	03/23/09	209 88	1,647.58	S -1,437 70
BROKERAGE 1 00						
TAX &/OR SEC 01						
UBS SECURITIES LLC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APOLLO INVESTMENT CORP @ 2.2532 1,802 56 BROKERAGE 20 00 TAX &/OR SEC 01 BMO NESBITT BURNS CORP	800 000	07/23/08	03/23/09	1,782 55	13,180.64	S -11,398 09
CISCO SYSTEMS INC @ 16 5841 580 44 BROKERAGE 1 05 TAX &/OR SEC 01 PIPER JAFFRAY & CO	35 000	07/09/08	03/23/09	579 38	757.83	S -178 45
MERCK & CO INC @ 27 1935 1,223 71 BROKERAGE 1 35 TAX &/OR SEC 01 UBS SECURITIES LLC	45 000	04/02/07	03/23/09	1,222 35	2,022.98	L -800 63

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APOLLO INVESTMENT CORP @ 2 5927 1,296 35 BROKERAGE 12.50 TAX &/OR SEC 01 BMO NESBITT BURNS CORP	500 000	07/23/08	03/24/09	1,283 84	8,237 90	S -6,954 06
APOLLO INVESTMENT CORP @ 2 6189 261 89 BROKERAGE 1 00 TAX &/OR SEC 01 UBS SECURITIES LLC	100 000	07/23/08	03/24/09	260 88	1,647 58	S -1,386 70
APOLLO INVESTMENT CORP @ 2 4215 968 60 BROKERAGE 10 00 TAX &/OR SEC 01 BMO NESBITT BURNS CORP	400 000	07/23/08	03/25/09	958 59	6,590 32	S -5,631 73

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
APOLLO INVESTMENT CORP @ 2 342 234 20	100 000	07/23/08	03/25/09	233.19	1,647 58	S -1,414 39
BROKERAGE 1 00						
TAX &/OR SEC .01						
UBS SECURITIES LLC						
APOLLO INVESTMENT CORP @ 2.326 116.30	50 000	07/23/08	03/26/09	115 79	823.79	S -708.00
BROKERAGE 0 50						
TAX &/OR SEC 01						
UBS SECURITIES LLC						
ADVANCED AUTO PARTS INC @ 42 1326 210 66	5 000	01/07/08	04/01/09	210 50	179 44	L 31 06
BROKERAGE 0 15						
TAX &/OR SEC 01						
IVY SECURITIES INC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
AETNA INC @ 24 1652 845 78 BROKERAGE 1 05 TAX &/OR SEC 01 MORGAN STANLEY & CO INCORPORATED	35 000	01/09/08	04/01/09	844 72	2,061.16	L -1,216 44
CISCO SYSTEMS INC @ 17.3475 520 43 BROKERAGE 0 90 TAX &/OR SEC 01 PIPER JAFFRAY & CO	5 000 25 000	07/17/96 07/09/08	04/01/09 04/01/09	86 59 432 93	29 79 541 31	L 56 80 S -108 38
FIRSTENERGY CORP @ 38 6779 1,933 90 BROKERAGE 1 50 TAX &/OR SEC 02 CITIGROUP GLOBAL MKTS INC	50 000	01/04/08	04/01/09	1,932 38	3,641 00	L -1,708 62

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 on Capital Transactions
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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
FRUIT OF THE LOOM INC CL A REPRESENTS PRO RATA SHARE OF THE NET SETTLEMENT FROM THE FRUIT OF THE LOOM INC CLASS ACTION DUE	0 000	00/00/00	00/00/00	43 82	00	L 43 82
GILEAD SCIENCES INC @ 45.1736 451 74 BROKERAGE 0 30 TAX &/OR SEC 01 PIPER JAFFRAY & CO.	10 000	01/07/08	04/01/09	451 43	469.08	L -17 65
INTERNATIONAL BUSINESS MACHINES CORP @ 97 5298 585 18 BROKERAGE 0 18 TAX &/OR SEC 01 MORGAN STANLEY & CO INCORPORATED	6 000	09/11/96	04/01/09	584.99	176 97	L 408.02

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
WELLS FARGO & CO						
@ 15 1025 1,057 18	70 000	11/30/07	04/02/09	1,055 07	2,467 58	L -1,412 51
BROKERAGE 2 10						
TAX &/OR SEC 01						
BARCLAYS CAPITAL INC /LE						
QUALCOMM INC						
@ 41 1594 411 59	10 000	09/29/08	04/03/09	411 28	411 13	S 15
BROKERAGE 0 30						
TAX &/OR SEC 01						
UBS SECURITIES LLC						
XILINX CORP						
@ 19 949 698 22	35 000	11/09/07	04/03/09	697 16	813 80	L -116 64
BROKERAGE 1 05						
TAX &/OR SEC 01						
UBS SECURITIES LLC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
BOEING CO						
@ 36 8036	25 000	09/28/05	04/06/09	919 33	1,678 09	L -758 76
BROKERAGE	920 09					
TAX &/OR SEC	0 75					
01						
KNIGHT SECURITIES BROADCORT CAP						
JPMORGAN TREASURY & AGENCY FUND						
SELECT CLASS	20,706 240	07/24/08	04/08/09	211,617 86	204,784 80	S 6,833 06
FUND 3565						
JP MORGAN CHASE BANK						
AS SHAREHOLDER SERVICING AGENT						
SPDR TRUST SERIES 1						
@ 81 905	375 000	10/16/08	04/07/09	30,702.34	35,081 25	S -4,378 91
BROKERAGE	30,714 38					
TAX &/OR SEC	11 25					
79						
ISI GROUP INC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
D R HORTON INC @ 9 7222 486 11 BROKERAGE 1 50 TAX &/OR SEC 02 DEUTSCHE BANC ALEX BROWN INC	50 000	01/26/09	04/08/09	484 59	324.57	S 160 02
AETNA INC @ 25.2959 505 92 BROKERAGE 0 60 TAX &/OR SEC 01 CREDIT SUISSE FIRST BOSTON LLC	20 000	01/09/08	04/09/09	505 31	1,177 81	L -672 50
OCCIDENTAL PETROLEUM CORP @ 58 5889 292 94 BROKERAGE 0 15 TAX &/OR SEC 01 UBS SECURITIES LLC	5 000	04/25/08	04/09/09	292 78	431 27	S -138.49

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
QUALCOMM INC	5 000	01/14/08	04/09/09	208 18	200.35	L 7 83
@ 41 6673	15 000	09/29/08	04/09/09	624 55	616.69	S 7 86
BROKERAGE	0 60					
TAX &/OR SEC	02					
UBS SECURITIES LLC						
SCHLUMBERGER LTD	10 000	01/12/07	04/09/09	447 57	575.29	L -127 72
@ 44.7881						
BROKERAGE	0 30					
TAX &/OR SEC	01					
UBS SECURITIES LLC						
DANAHER CORP	25 000	01/04/08	04/15/09	1,347 12	2,144 22	L -797 10
@ 53 9162						
BROKERAGE	0 75					
TAX &/OR SEC	04					
MORGAN STANLEY & CO INCORPORATED						

Capital Gain and Loss Schedule

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O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
JPMORGAN MID CAP EQUITY FUND SELECT SHARE CLASS FUND 689	3,116.790	05/13/08	04/22/09	55,790.68	95,000.00	S -39,209.32
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT						
JPMORGAN INTREPID GROWTH FUND SELECT SHARE CLASS FUND 1202	3,194.220	07/25/05	04/22/09	46,444.03	63,213.71	L -16,769.68
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT						
TIME WARNER CABLE INC CASH IN LIEU OF FRACTIONAL SHARES	0.320	00/00/00	04/23/09	9.00	00	L 9.00
ECOLAB INC @ 37.5118	30.000	11/13/08	04/22/09	1,124.42	970.01	S 154.41
BROKERAGE	1,125.35					
TAX &/OR SEC	0.90					
UBS SECURITIES LLC	03					

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
ISHARES RUSSELL MIDCAP GROWTH INDEX FUND	800 000	05/25/07	04/22/09	26,746 75	45,468 92	L -18,722 17
@ 33 4543	1,750 000	08/18/08	04/22/09	58,508.52	93,528.50	S -35,019 98
BROKERAGE						
TAX &/OR SEC						
ISHARES RUSSELL MIDCAP INDEX FUND	645 000	10/16/08	04/22/09	39,099 92	40,483 36	S -1,383 44
@ 60 6416						
BROKERAGE						
TAX &/OR SEC						
J P MORGAN SECURITIES INC						
ISHARES RUSSELL 1000 GROWTH INDEX FUND	1,750,000	01/16/07	04/22/09	65,776 78	99,015 00	L -33,238 22
@ 37 6077						
BROKERAGE						
TAX &/OR SEC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
TIME WARNER INC NEW	0 670	00/00/00	04/28/09	14 88	00	L 14 88
CASH IN LIEU OF FRACTIONAL SHARES						
BANK OF AMERICA CORP @ 8.6599 606 19 BROKERAGE 2 10 TAX &/OR SEC 02 ISI GROUP INC	70 000	07/18/08	04/29/09	604 07	1,936 58	S -1,332 51
INTERNATIONAL BUSINESS MACHINES CORP @ 104 2555 625 53 BROKERAGE 0 18 TAX &/OR SEC 02 MORGAN STANLEY & CO INCORPORATED	6 000	09/11/96	04/29/09	625 33	176 96	L 448 37

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WELLS FARGO & CO						
@ 20 5207 513 02	25 000	12/17/07	04/29/09	512 26	790.39	L -278 13
BROKERAGE 0 75						
TAX &/OR SEC 01						
ISI GROUP INC						
XILINX CORP						
@ 20 1574 705 51	35 000	12/11/07	04/29/09	704 44	801 67	L -97 23
BROKERAGE 1 05						
TAX &/OR SEC 02						
MORGAN STANLEY & CO INCORPORATED						
CORNING INC						
@ 14 2836 785 60	5 000	07/13/04	05/01/09	71 27	59 98	L 11 29
BROKERAGE 1 65	50 000	08/06/08	05/01/09	712 66	1,019 98	S -307 32
TAX &/OR SEC 02						
CREDIT SUISSE FIRST BOSTON LLC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
AMERICAN EXPRESS CO @ 26 5973 1,329 87 BROKERAGE 1 50 TAX &/OR SEC 04 DEUTSCHE BANC ALEX BROWN INC	50 000	03/18/09	05/05/09	1,328.34	657 02	S 671 32
D R HORTON INC @ 9 0022 360 09 BROKERAGE 0 80 TAX &/OR SEC .01 SANFORD C BERNSTEIN & CO INC (SCB	40 000	01/26/09	05/13/09	359.28	259 66	S 99 62
JOHNSON CONTROLS INC @ 17 6726 883 63 BROKERAGE 1 50 TAX &/OR SEC 03 CREDIT SUISSE FIRST BOSTON LLC	15 000 35 000	01/07/99 03/19/09	05/13/09 05/13/09	264 63 617 47	148 51 397 34	L 116 12 S 220 13

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
SCHLUMBERGER LTD @ 53 1997 1,329 99 BROKERAGE 0 75 TAX &/OR SEC .04 UBS SECURITIES LLC	25 000	01/12/07	05/13/09	1,329 20	1,438.23	L -109 03
CONSOLIDATED EDISON INC @ 34 995 1,574 78 BROKERAGE 1 35 TAX &/OR SEC 04 BARCLAYS CAPITAL INC /LE	45 000	04/01/09	05/14/09	1,573 39	1,773.84	S -200.45
INTERNATIONAL BUSINESS MACHINES CORP @ 103 1062 515 53 BROKERAGE 0 15 TAX &/OR SEC 01 JANNEY MONTGOMERY SCOTT INC	5 000	09/11/96	05/22/09	515 37	147 47	L 367 90

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
KOHL'S CORP @ 41 1465 1,028 66 BROKERAGE 0.75 TAX &/OR SEC 03 MACQUARIE SECURITIES (USA) INC	25 000	12/17/07	05/22/09	1,027 88	1,189.37	L -161.49
MONSANTO CO @ 85 9964 859 96 BROKERAGE 0 20 TAX &/OR SEC 02 J P MORGAN SECURITIES INC	10 000	01/03/08	05/22/09	859 74	1,171 94	L -312 20
SCHLUMBERGER LTD @ 52 3581 1,570 74 BROKERAGE 0 60 TAX &/OR SEC 04 LIQUIDNET INC	15 000 15 000	01/12/07 02/05/09	05/22/09 05/22/09	785 05 785 05	862 93 649 92	L -77 88 S 135 13

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
JPMORGAN INTERNATIONAL VALUE FUND SELECT SHARE CLASS FUND 1296	7,421 150	12/28/07	06/03/09	80,000 00	137,884 97	L -57,884 97
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT						
JPMORGAN INTREPID AMERICA FUND SELECT SHARE CLASS FUND 1206	4,504 480	08/30/05	06/03/09	75,000 00	105,989 05	L -30,989 05
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT						
JPMORGAN US LARGE CAP CORE PLUS FUND SELECT FUND 1002	6,561 680 2,865 330	02/08/08 10/16/08	06/03/09 06/03/09	96,850 40 42,292 27	125,000 00 40,000 00	L -28,149 60 S 2,292 27
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
METLIFE INC @ 32 3831 809 58 BROKERAGE 0 75 TAX &/OR SEC 02 SANDLER O'NEILL & PARTNERS LP	25 000	12/23/08	06/02/09	808 81	793 38	S 15 43
MERCK & CO INC @ 27 4241 685 60 BROKERAGE 0 75 TAX &/OR SEC 02 SANFORD C BERNSTEIN & CO INC (SCB	25 000	02/27/07	06/03/09	684 83	1,114 53	L -429 70
CONOCOPHILLIPS @ 45 7825 2,518 04 BROKERAGE 1 65 TAX &/OR SEC 07 MORGAN STANLEY & CO. INCORPORATED	55 000	03/17/09	06/04/09	2,516 32	2,469 22	S 47 10

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
C R BARD INC @ 74.1024 2,000 76 BROKERAGE 0.81 TAX &/OR SEC .05 MORGAN STANLEY & CO. INCORPORATED	27 000	04/30/08	06/05/09	1,999 90	2,534 95	L -535 05
DANAHER CORP @ 63.117 1,262 34 BROKERAGE 0 60 TAX &/OR SEC 04 JANNEY MONTGOMERY SCOTT INC	20 000	01/04/08	06/08/09	1,261 70	1,715 37	L -453 67
DEVON ENERGY CORP @ 64 1051 961 58 BROKERAGE 0 45 TAX &/OR SEC 03 UBS SECURITIES LLC	15 000	10/05/06	06/08/09	961 10	930 77	L 30 33

Capital Gain and Loss Schedule

Transactions

Note C indicates correction
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 on Capital Transactions
 O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
MERCK & CO INC @ 25 608 640 20 BROKERAGE 0.75 TAX &/OR SEC .02 DAVENPORT & CO OF VIRGINIA INC	25 000	02/27/07	06/08/09	639 43	1,080 66	L -441 23
NIKE INC B @ 55.7023 835.53 BROKERAGE 0 45 TAX &/OR SEC 03 CREDIT SUISSE FIRST BOSTON LLC	15 000	01/07/08	06/18/09	835 05	926 70	L -91 65
EXXON MOBIL CORP @ 71 05 355 25 BROKERAGE 0 15 TAX &/OR SEC 01 CITIGROUP GLOBAL MKTS INC	5 000	06/06/08	06/19/09	355 09	441 14	L -86 05

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Capital Gain and Loss Schedule

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
NIKE INC B @ 53 7694 268 85 BROKERAGE 0 15 TAX &/OR SEC 01 TULLETT & TOKYO LIBERTY SECS INC	5 000	01/07/08	06/24/09	268 69	308 90	L -40 21
SAFEWAY INC @ 20 5807 514 52 BROKERAGE 0 50 TAX &/OR SEC 01 MERRILL LYNCH PIERCE FENNER & SMIT	25 000	11/13/07	06/24/09	514 01	788 84	L -274.83
CVS/CAREMARK CORPORATION @ 31 7979 794 95 BROKERAGE 0 50 TAX &/OR SEC 02 MERRILL LYNCH PIERCE FENNER & SMIT	25 000	04/30/07	07/01/09	794 43	922 50	L -128.07

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
EXXON MOBIL CORP	10 000	09/17/96	07/01/09	707 01	212 61	L 494 40
@ 70 7324 1,414 65	10 000	05/13/09	07/01/09	707 01	697 60	S 9 41
BROKERAGE 0 60						
TAX &/OR SEC 04						
MORGAN STANLEY & CO. INCORPORATED						
ZIMMER HOLDINGS INC	30 000	02/06/09	07/02/09	1,213 85	1,199 40	S 14 45
@ 40 4926 1,214 78						
BROKERAGE 0 90						
TAX &/OR SEC 03						
TULLETT & TOKYO LIBERTY SECS INC						
EXXON MOBIL CORP	25 000	09/17/96	07/07/09	1,671 68	531 52	L 1,140 16
@ 66 8993 1,672 48						
BROKERAGE 0 75						
TAX &/OR SEC .05						
UBS SECURITIES LLC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
HESS CORP @ 47.3656 1,184.14 BROKERAGE 0.75 TAX &/OR SEC 03 MORGAN STANLEY & CO INCORPORATED	25.000	08/06/08	07/08/09	1,183.36	2,486.88	S -1,303.52
ROCKWELL AUTOMATION INC @ 29.7218 445.83 BROKERAGE 0.45 TAX &/OR SEC 01 MORGAN STANLEY & CO INCORPORATED	15.000	04/09/09	07/08/09	445.37	405.79	S 39.58
LAM RESEARCH CORP @ 30.2089 755.22 BROKERAGE 0.75 TAX &/OR SEC 02 UBS SECURITIES LLC	25.000	01/29/09	07/21/09	754.45	505.85	S 248.60

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
JUNIPER NETWORKS INC @ 25.5507 638.77 BROKERAGE 0.75 TAX &/OR SEC 02 SANFORD C. BERNSTEIN & CO. INC (SCB	25.000	02/06/09	07/22/09	638.00	410.37	S 227.63
SOUTHERN CO @ 31.8453 796.13 BROKERAGE 0.75 TAX &/OR SEC 02 JNK SECURITIES INC	25.000	05/14/09	07/22/09	795.36	713.31	S 82.05
JUNIPER NETWORKS INC @ 26.4364 660.91 BROKERAGE 0.75 TAX &/OR SEC 02 JPMORGAN CLEARING CORP	25.000	03/23/09	07/23/09	660.14	409.42	S 250.72

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
LAM RESEARCH CORP @ 31.9648 799.12 BROKERAGE 0.75 TAX &/OR SEC 02 MERRILL LYNCH PIERCE FENNER & SMIT	25 000	10/28/08	07/24/09	798 35	498 09	S 300 26
WELLPOINT INC @ 54 0061 1,350 15 BROKERAGE 0.75 TAX &/OR SEC 04 SANFORD C BERNSTEIN & CO INC (SCB	25 000	04/09/09	07/28/09	1,349 36	1,008 68	S 340 68
TIME WARNER CABLE INC @ 32 5573 1,269 73 BROKERAGE 0.78 TAX &/OR SEC 03 MERRILL LYNCH PIERCE FENNER & SMIT	16 000 23 000	02/08/08 02/20/09	07/29/09 07/29/09	520 58 748 35	769 11 622 96	L -248 53 C S 125 39

Capital Gain and Loss Schedule

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
YAHOO INC @ 15 3659 1,536 59 BROKERAGE 3.00 TAX &/OR SEC 04 WEEDEN AND CO	100 000	01/10/08	07/29/09	1,533.55	2,333 66	L -800 11
DREYFUS INVT FDS BOSTON SCAP GRW	88 660	06/13/08	08/05/09	3,609 67	4,999 89	L -1,390 22
JPMORGAN MID CAP VALUE FUND SELECT SHARE CLASS (FUND 1100) JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT	2,296 580	04/29/09	08/05/09	38,789 37	35,000 00	S 3,789 37
JPMORGAN INTERNATIONAL VALUE FUND SELECT SHARE CLASS FUND 1296 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT	9,631 480	12/31/07	08/05/09	115,000 00	178,584.87	L -63,584 87

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
JPMORGAN TOTAL RETURN FUND SELECT FUND 3218	67,400.130	07/25/08	08/05/09	676,697 42	680,067 43	L -3,370 01
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 10 04	10,615 710	04/22/09	08/05/09	106,581 74	100,000 00	S 6,581 74
JPMORGAN HIGH YIELD BOND FUND SELECT CLASS FUND 3580	5,571 030	06/05/08	08/05/09	40,000 00	43,064 07	L -3,064 07
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT						
JPMORGAN SMALL CAP VALUE FUND SELECT SHARE CLASS FUND 3712	364 660	12/28/07	08/05/09	4,981 38	7,125 63	L -2,144 25
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
ISHARES MSCI ASIAN EX JAPAN @ 49 7901 39,035 44 BROKERAGE 15 68 TAX &/OR SEC 1 01 KNIGHT SECURITIES BROADCORT CAP	784 000	06/05/09	08/05/09	39,018 75	35,738 10	S 3,280 65
CATERPILLAR INC @ 47 0836 1,177 09 BROKERAGE 0 50 TAX &/OR SEC 03 J P MORGAN SECURITIES INC	25 000	04/30/09	08/06/09	1,176.56	868 82	S 307 74
TD AMERITRADE HOLDING CORPORATION @ 19 3121 482 80 BROKERAGE 0 75 TAX &/OR SEC 01 MORGAN STANLEY & CO INCORPORATED	25 000	04/18/07	08/10/09	482 04	391 55	L 90 49

Capital Gain and Loss Schedule

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
JPMORGAN CHASE SARN SPX 2/10/11 (80/90/100/100-10%BUFF-6 3% PYMT) INITIAL LEVEL-SPX 2/06/09 869 89 ENTIRE ISSUE CALLED 08/14/2009 @ 106.30	47,000 000	02/06/09	08/14/09	49,961 00	47,000 00	S 2,961 00
HSBC SARN SPX 3/01/11 (80/90/100/100-10%BUFF-5 55% PYMT) INITIAL LEVEL-SPX 2/18/09 835 19 ENTIRE ISSUE CALLED 08/17/2009 @ 106 00	30,000 000	02/12/09	08/17/09	31,800 00	30,000 00	S 1,800 00
GENERAL ELECTRIC CO @ 14 18 709 00 BROKERAGE 1 50 TAX &/OR SEC 02 MORGAN STANLEY & CO INCORPORATED	50 000	08/28/98	08/13/09	707 48	1,448 77	L -741 29

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
URBAN OUTFITTERS INC @ 28.484 712 10	25 000	04/01/09	08/13/09	711 33	381 54	S 329 79
BROKERAGE 0 75						
TAX &/OR SEC 02						
PIPER JAFFRAY & CO						
GENERAL ELECTRIC CO @ 13 3468 2,002 02	100 000	01/27/03	09/01/09	1,331.65	2,285.00	L -953 35
BROKERAGE 4 50	50 000	10/02/08	09/01/09	665 82	1,117 02	S -451 20
TAX &/OR SEC 05						
UBS SECURITIES LLC						
FREDDIE MAC FORMERLY KNOWN AS FEDERAL HOME LOAN MORTGAGE CORP REPRESENTS PRO RATA SHARE OF THE NET SETTLEMENT FROM THE FREDDIE MAC	0 000	00/00/00	00/00/00	91	00	L 91

Capital Gain and Loss Schedule

Transactions

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 F indicates Foreign Exchange Gain/Loss on Capital Transactions
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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
MORGAN STANLEY BREN AIB 9/11/09 (10%BUFFER-2XLEV-10 24% CAP-20 48% MAXPAYMENT) INITIAL LVL -ASIA BASKET 08/22/08 100 TO REDEMPTION	25,000.000	08/22/08	09/11/09	25,000.00	25,000.00	
MORGAN STANLEY BREN SPX 9/11/09 (10%BUFFER-2XLEV-7 43% CAP-14 86% MAXPAYMENT) INITIAL LEVEL -SPX 8/22/08 1292 20 TO REDEMPTION	50,000.000	08/22/08	09/11/09	43,318.27	50,000.00	L -6,681.73
JPMORGAN SHORT DURATION BOND FUND SELECT CLASS FUND 3133 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT	9,225.090	08/05/09	09/11/09	100,000.00	99,077.49	S 922.51

Capital Gain and Loss Schedule

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
NATIONAL SEMICONDUCTOR CORP @ 15 6263 781 32 BROKERAGE 1 50 TAX &/OR SEC 02 UBS SECURITIES LLC	50 000	04/09/09	09/09/09	779.80	627 37	S 152 43
CAREFUSION CORPORATION CASH IN LIEU OF FRACTIONAL SHARES	0 500	00/00/00	09/15/09	9 30	00	L 9 30
SAFEMWAY INC @ 19 8364 1,983 64 BROKERAGE 3 00 TAX &/OR SEC .06 UBS SECURITIES LLC	100 000	11/13/07	09/10/09	1,980 59	2,451 59	L -471 00
ISHARES MSCI ASIAN EX JAPAN @ 51.6104 30,966 24 BROKERAGE 18 00 TAX &/OR SEC 80 MORGAN STANLEY & CO INCORPORATED	600 000	06/04/09	09/11/09	30,947 44	26,971 34	S 3,976 10

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Capital Gain and Loss Schedule

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
SAFEWAY INC @ 20 035 300 53 BROKERAGE 0 30 TAX &/OR SEC .01 LIQUIDNET INC	15 000	02/27/09	09/11/09	300 22	273 66	S 26 56
EXELON CORP @ 48 3273 2,416 37 BROKERAGE 1 50 TAX &/OR SEC .07 CREDIT SUISSE FIRST BOSTON LLC	50.000	07/09/08	09/14/09	2,414 80	4,471 55	L -2,056 75
ISHARES MSCI ASIAN EX JAPAN @ 51 0507 9,495 43 BROKERAGE 5 58 TAX &/OR SEC 25 MORGAN STANLEY & CO INCORPORATED	186 000	06/03/09	09/14/09	9,489 60	8,312 12	S 1,177 48

Capital Gain and Loss Schedule

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
SCHERING-PLOUGH CORP @ 28 5649 2,856 49 BROKERAGE 3 00 TAX &/OR SEC 07 BARCLAYS CAPITAL INC /LE	100 000	10/22/07	09/14/09	2,853 42	2,856 14	L -2 72
SCHERING-PLOUGH CORP @ 28 575 2,857 50 BROKERAGE 2 00 TAX &/OR SEC 08 LIQUIDNET INC	100 000	08/10/07	09/14/09	2,855 43	2,752 45	L 102 98
WYETH @ 47 8722 2,154 25 BROKERAGE 1 35 TAX &/OR SEC 06 CREDIT SUISSE FIRST BOSTON LLC	45 000	01/28/09	09/14/09	2,152 84	1,916 31	S 236 53

Capital Gain and Loss Schedule

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
CAREFUSION CORPORATION @ 21.3662 256.39 BROKERAGE 0 36 TAX &/OR SEC 01 MORGAN STANLEY & CO INCORPORATED	12 000	06/08/09	09/17/09	256.02	209 97	S 46 05
APACHE CORP @ 94 1981 941 98 BROKERAGE 0 30 TAX &/OR SEC 02 UBS SECURITIES LLC	10 000	01/04/08	09/18/09	941 66	1,098 00	L -156 34
ALTRIA GROUP INC @ 17 9102 447 76 BROKERAGE 0 75 TAX &/OR SEC 01 UBS SECURITIES LLC	25 000	01/20/09	09/22/09	447 00	432.94	S 14 06

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
JPMORGAN CHASE SARN SPX 4/08/10 SEMI-ANNUAL REVIEW NOTES LINKED TO THE SPX (90/100-10%BUFFER-8.75%PAYMENT) INITIAL LEVEL-SPX.3/20/09 822.92	28,000.000	03/23/09	09/29/09	30,450.00	28,000.00	S 2,450.00
JPM 9M RTY TACTICAL NOTE 05/06/2010 (82% CONTIN BARRIER- 2.0% PMT -10% CAP) INITIAL LEVEL-RTY 07/30/09 557.80 ENTIRE ISSUE CALLED	35,000.000	07/30/09	09/29/09	38,500.00	35,000.00	S 3,500.00
EXXON MOBIL CORP @ 66.4211 3,321.05 BROKERAGE 1.50 TAX &/OR SEC 09 BARCLAYS CAPITAL LE	50.000	09/17/96	10/05/09	3,319.46	1,063.04	L 2,256.42
GOLDMAN SACHS TRUST HIGH YIELD FUND INSTITUTIONAL SHS	2,954.170	10/02/09	10/13/09	20,000.00	15,713.09	S 4,286.91

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
JPMORGAN HIGH YIELD BOND FUND SELECT CLASS FUND 3580	2,673 790	06/05/08	10/13/09	20,000 00	20,668 45	L -668 45
JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT						
MCKESSON CORP @ 58 88 1,472 00 BROKERAGE 0 50 TAX &/OR SEC 04 LIQUIDNET INC	25 000	04/01/09	10/07/09	1,471 46	868.57	S 602 89
AMERIPRISE FINANCIAL INC @ 35 8489 1,433 96 BROKERAGE 1 20 TAX &/OR SEC 04 BARCLAYS CAPITAL LE	30 000 10 000	01/04/08 12/12/08	10/13/09 10/13/09	1,074 54 358 18	1,616 26 198 04	L -541 72 S 160 14

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
CATERPILLAR INC @ 54 4266 272 13 BROKERAGE 0 15 TAX &/OR SEC 01 UBS SECURITIES LLC	5.000	02/06/09	10/14/09	271 97	168 55	S 103 42
PRAXAIR INC @ 83 3442 2,083 61 BROKERAGE 0 75 TAX &/OR SEC 06 CITIGROUP GLOBAL MKTS INC	25 000	10/19/05	10/14/09	2,082 80	1,155.16	L 927.64
ANADARKO PETROLEUM CORP @ 65 6822 1,313 64 BROKERAGE 0 60 TAX &/OR SEC .04 BARCLAYS CAPITAL LE	20 000	05/22/09	10/15/09	1,313 00	872 66	S 440 34

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
ISHARES RUSSELL 2000 INDEX FUND	575 000	10/16/08	10/22/09	35,239.86	30,354.25	L 4,885.61
@ 61 3183 79,775 11	726 000	07/29/09	10/22/09	44,494.16	39,668.64	S 4,825.52
BROKERAGE 39 03						
TAX &/OR SEC 2 06						
MORGAN STANLEY & CO INCORPORATED						
JPMORGAN CHASE BREN SPX 11/05/09	75,000 000	05/01/09	11/05/09	83,850 00	75,000.00	S 8,850 00
LINKED TO THE S&P 500 INDEX						
(10%BUFFER -2XLEV-5 9%CAP-11 8%						
MAXPYMT) INITIAL LEVEL-SPX						
05/01/09. 877 52						
MERCK & CO INC	45 000	02/27/07	11/04/09	1,448.83	1,945 18	L -496 35
@ 32 2271 1,611 36	5 000	09/14/09	11/04/09	160 98	163 71	S -2 73
BROKERAGE 1 50						
TAX &/OR SEC 05						
CITIGROUP GLOBAL MKTS INC						

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
CATERPILLAR INC @ 57 548 863 22 BROKERAGE 0 45 TAX &/OR SEC 03 SOLEIL SECURITIES CORP	15 000	04/21/09	11/05/09	862 74	475 10	S 387 64
AXIS CAPITAL HOLDINGS LTD @ 29 7681 744 20 BROKERAGE 0 75 TAX &/OR SEC 02 GOLDMAN SACHS & CO	25 000	09/16/08	11/13/09	743 43	849 77	L -106 34
AON CORP @ 40 5197 1,012 99 BROKERAGE 0 75 TAX &/OR SEC 03 DOWLING PARTNERS	25 000	07/30/09	11/17/09	1,012 21	997 85	S 14 36

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NOBLE CORPORATION @ 38 9024 1,361 58 BROKERAGE 1 05 TAX &/OR SEC .04 LAZARD FRERES & CO	35 000	05/22/09	11/20/09	1,360 49	1,080.97	S 279 52
ALTRIA GROUP INC @ 18 9839 1,898 39 BROKERAGE 3 00 TAX &/OR SEC 05 MERRILL LYNCH PROF CLEARING CORP	100 000	01/20/09	11/20/09	1,895 33	1,554 80	S 340 53
ALTRIA GROUP INC @ 18 98 284 70 BROKERAGE 0 45 TAX &/OR SEC 01 MERRILL LYNCH PROF CLEARING CORP	15 000	12/16/08	11/20/09	284 24	217 48	S 66 76

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
PAYCHEX INC @ 31 5743 1,578.72 BROKERAGE 1.50 TAX &/OR SEC 05 GOLDMAN SACHS & CO	50.000	07/01/09	12/01/09	1,577.17	1,326.34	S 250.83
AMAZON COM INC @ 136 5621 1,365.62 BROKERAGE 0.30 TAX &/OR SEC 04 CRAIG - HALLUM	10.000	09/10/09	12/07/09	1,365.28	830.28	S 535.00
GOLDMAN SACHS GROUP INC @ 166 2076 831.04 BROKERAGE 0.15 TAX &/OR SEC 03 MERRILL LYNCH PIERCE FENNER & SMIT	5.000	04/04/08	12/07/09	830.86	888.58	L -57.72

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Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
AOL INC	11 000	12/05/08	12/10/09	254 44	0 00	L 254.44
@ 23 1626	3 000	02/20/09	12/10/09	69 39	0 00	S 69.39
BROKERAGE	324 28					
TAX &/OR SEC	0 42					
MORGAN STANLEY & CO INCORPORATED						
NATIONAL SEMICONDUCTOR CORP	50 000	04/09/09	12/11/09	732 56	598 21	S 134 35
@ 14 6815	734 08					
BROKERAGE	1 50					
TAX &/OR SEC	02					
BARCLAYS CAPITAL LE						
BRISTOL MYERS SQUIBB CO	50 000	11/04/09	12/15/09	1,283 46	1,122 24	S 161 22
@ 25 70	1,285 00					
BROKERAGE	1 50					
TAX &/OR SEC	04					
CRAIG - HALLUM						

Capital Gain and Loss Schedule

Transactions

Note C indicates correction
S indicates Short Term Realized Gain/Loss
L indicates Long Term Realized Gain/Loss
F indicates Foreign Exchange Gain/Loss on Capital Transactions
O indicates Ordinary Income Gain

Security Description	Units	Acq Date	Sold Date	Net Proceeds	Tax Cost	Total Gain/Loss
THE TRAVELERS COMPANIES INC @ 50 0823 751 23 BROKERAGE 0 45 TAX &/OR SEC .02 ABEL NOSER CORP	15 000	09/16/08	12/16/09	750.76	731.86	L 18 90
THE TRAVELERS COMPANIES INC @ 50 6506 1,266 26 BROKERAGE 0 50 TAX &/OR SEC 04 GOLDMAN SACHS EXECUTION & CLEARING	10 000 15 000	09/16/08 03/02/09	12/16/09 12/16/09	506 29 759 43	487 91 548 05	L 18 38 S 211 38
Total Gain/Loss				1,789,862.76 1,350,536.40	2,308,257.64 1,493,012.51	L -518,394.88 S -142,476.11