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# Return of Private Foundation

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

OMB No 1545-0052

2009

Department of the Treasury  
Internal Revenue Service

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

For calendar year 2009, or tax year beginning

, and ending

G Check all that apply:

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

Name of foundation

IRENE W. AND C. B. PENNINGTON FOUNDATION

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

P.O. BOX 1083

Room/suite

City or town, state, and ZIP code

BATON ROUGE, LA 70821

A Employer identification number

72-0938097

B Telephone number

(225) 922-4600

C If exemption application is pending, check here ☐D 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

H Check type of organization:

☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust☐ Other taxable private foundationI Fair market value of all assets at end of year  
(from Part II, col. (c), line 16)

J Accounting method:

☒ Cash☐ Accrual☐ Other (specify)

\$ 122,670,711. (Part I, column (d) must be on cash basis)

## Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)

(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

18,768.

2 Check ☐ if the foundation is not required to attach Sch B

3 Interest on savings and temporary cash investments

3,180.

3,180.

STATEMENT 1

4 Dividends and interest from securities

3,319,647.

3,319,647.

STATEMENT 2

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

&lt;13231725.&gt;

b Gross sales price for all assets on line 6a

47,995,500.

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 (loss)

11 Other income

2,312,883.

1,836,766.

0. STATEMENT 3

12 Total. Add lines 1 through 11

&lt;7,577,247.&gt;

5,159,593.

0.

13 Compensation of officers, directors, trustees, etc

0.

0.

0.

14 Other employee salaries and wages

309,083.

0.

0.

15 Pension plans, employee benefits

29,175.

0.

0.

16a Legal fees

STMT 4

1,997.

0.

0.

b Accounting fees

STMT 5

38,875.

19,438.

0.

c Other professional fees

STMT 6

321,967.

301,978.

0.

17 Interest

507,511.

507,511.

0.

18 Taxes

STMT 7

872,600.

66,811.

0.

19 Depreciation and depletion

198,579.

117,613.

11,099.

20 Occupancy

34,722.

0.

0.

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses

STMT 8

1,588,754.

1,309,244.

0.

24 Total operating and administrative expenses. Add lines 13 through 23

3,903,263.

2,322,595.

11,099.

25 Contributions, gifts, grants paid

6,277,652.

6,277,652.

26 Total expenses and disbursements. Add lines 24 and 25

10,180,915.

2,322,595.

11,099.

27 Subtract line 26 from line 12:

&lt;17758162.&gt;

a Excess of revenue over expenses and disbursements

b Net investment income (if negative, enter -0-)

2,836,998.

c Adjusted net income (if negative, enter -0-)

0.

**Part II Balance Sheets** Attached schedule amounts in the description column should be for end-of-year amounts only

|                                    |                                                                                           | Beginning of year |                | End of year           |  |
|------------------------------------|-------------------------------------------------------------------------------------------|-------------------|----------------|-----------------------|--|
|                                    |                                                                                           | (a) Book Value    | (b) Book Value | (c) Fair Market Value |  |
| <b>Assets</b>                      | 1 Cash - non-interest-bearing                                                             | 596,896.          | 1,292,870.     | 1,292,870.            |  |
|                                    | 2 Savings and temporary cash investments                                                  |                   |                |                       |  |
|                                    | 3 Accounts receivable ▶ 1,281,321.                                                        |                   |                |                       |  |
|                                    | Less: allowance for doubtful accounts ▶ 37,705.                                           |                   | 1,281,321.     | 1,281,321.            |  |
|                                    | 4 Pledges receivable ▶                                                                    |                   |                |                       |  |
|                                    | Less: allowance for doubtful accounts ▶                                                   |                   |                |                       |  |
|                                    | 5 Grants receivable                                                                       |                   |                |                       |  |
|                                    | 6 Receivables due from officers, directors, trustees, and other disqualified persons      | 49.               | 49.            | 49.                   |  |
|                                    | 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 11                                                   | 62,653,582.       | 40,646,317.    | 37,995,040.           |  |
|                                    | c Investments - corporate bonds                                                           |                   |                |                       |  |
| <b>Liabilities</b>                 | 11 Investments - land, buildings, and equipment: basis ▶                                  |                   |                |                       |  |
|                                    | Less: accumulated depreciation ▶                                                          |                   |                |                       |  |
|                                    | 12 Investments - mortgage loans                                                           |                   |                |                       |  |
|                                    | 13 Investments - other STMT 12                                                            | 90,185,170.       | 92,823,418.    | 82,079,206.           |  |
|                                    | 14 Land, buildings, and equipment: basis ▶ 72,833.                                        |                   |                |                       |  |
|                                    | Less: accumulated depreciation STMT 13 ▶ 51,508.                                          | 31,284.           | 21,325.        | 21,325.               |  |
|                                    | 15 Other assets (describe ▶ DEPOSITS)                                                     | 900.              | 900.           | 900.                  |  |
|                                    | 16 Total assets (to be completed by all filers)                                           | 153,505,586.      | 136,066,200.   | 122,670,711.          |  |
|                                    | 17 Accounts payable and accrued expenses                                                  | 1,678.            | 260.           |                       |  |
|                                    | 18 Grants payable                                                                         |                   |                |                       |  |
|                                    | 19 Deferred revenue                                                                       |                   |                |                       |  |
|                                    | 20 Loans from officers, directors, trustees, and other disqualified persons               |                   |                |                       |  |
|                                    | 21 Mortgages and other notes payable                                                      |                   |                |                       |  |
|                                    | 22 Other liabilities (describe ▶ STATEMENT 14)                                            | 0.                | 29,175.        |                       |  |
|                                    | 23 Total liabilities (add lines 17 through 22)                                            | 1,678.            | 29,435.        |                       |  |
| <b>Net Assets or Fund Balances</b> | Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>                   |                   |                |                       |  |
|                                    | 24 Unrestricted                                                                           |                   |                |                       |  |
|                                    | 25 Temporarily restricted                                                                 |                   |                |                       |  |
|                                    | 26 Permanently restricted                                                                 |                   |                |                       |  |
|                                    | Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> |                   |                |                       |  |
|                                    | 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                       | 153,503,908.      | 136,036,765.   |                       |  |
|                                    | 30 Total net assets or fund balances                                                      | 153,503,908.      | 136,036,765.   |                       |  |
|                                    | 31 Total liabilities and net assets/fund balances                                         | 153,505,586.      | 136,066,200.   |                       |  |

**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<br>(must agree with end-of-year figure reported on prior year's return) | 1 | 153,503,908.  |
| 2 Enter amount from Part I, line 27a                                                                                                                            | 2 | <17,758,162.> |
| 3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 9                                                                                            | 3 | 319,359.      |
| 4 Add lines 1, 2, and 3                                                                                                                                         | 4 | 136,065,105.  |
| 5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 10                                                                                                 | 5 | 28,340.       |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30                                                         | 6 | 136,036,765.  |

Form 990-PF (2009)

**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<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.)                                                      | (d) Date sold<br>(mo., day, yr.) |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|--------------------------------------------------|-------------------------------------------------------------------------------------------|----------------------------------|
| 1a                                                                                                                                                                              |                                            |                                                  |                                                                                           |                                  |
| b <b>SEE ATTACHED STATEMENTS</b>                                                                                                                                                |                                            |                                                  |                                                                                           |                                  |
| c                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| d                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| e                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| (e) Gross sales price                                                                                                                                                           | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale  | (h) Gain or (loss)<br>(e) plus (f) minus (g)                                              |                                  |
| a                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| b                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| c                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| d                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| e <b>47,995,500.</b>                                                                                                                                                            |                                            |                                                  | <b>&lt;13,231,725.&gt;</b>                                                                |                                  |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69                                                                                     |                                            |                                                  | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |                                  |
| (i) F.M.V. as of 12/31/69                                                                                                                                                       | (j) Adjusted basis<br>as of 12/31/69       | (k) Excess of col. (i)<br>over col. (j), if any  |                                                                                           |                                  |
| a                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| b                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| c                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| d                                                                                                                                                                               |                                            |                                                  |                                                                                           |                                  |
| e                                                                                                                                                                               |                                            |                                                  | <b>&lt;13,231,725.&gt;</b>                                                                |                                  |
| 2 Capital gain net income or (net capital loss)                                                                                                                                 |                                            | 2                                                |                                                                                           | <b>&lt;13,231,725.&gt;</b>       |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter -0- in Part I, line 8 |                                            | 3                                                |                                                                                           | <b>N/A</b>                       |

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

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

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

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

☐ Yes ☒ No

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

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

| (a)<br>Base period years<br>Calendar year (or tax year beginning in)                                                                                                                                                    | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(col. (b) divided by col. (c)) |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-------------------------------------------------------------|
| 2008                                                                                                                                                                                                                    | 6,842,809.                               | 142,209,292.                                 | .048118                                                     |
| 2007                                                                                                                                                                                                                    | 7,031,438.                               | 160,412,169.                                 | .043834                                                     |
| 2006                                                                                                                                                                                                                    | 7,133,383.                               | 140,258,904.                                 | .050859                                                     |
| 2005                                                                                                                                                                                                                    | 6,910,182.                               | 117,613,170.                                 | .058753                                                     |
| 2004                                                                                                                                                                                                                    | 6,423,588.                               | 96,427,266.                                  | .066616                                                     |
| 2 Total of line 1, column (d)                                                                                                                                                                                           |                                          | 2                                            | .268180                                                     |
| 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                                            | .053636                                                     |
| 4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5                                                                                                                                          |                                          | 4                                            | 112,359,040.                                                |
| 5 Multiply line 4 by line 3                                                                                                                                                                                             |                                          | 5                                            | 6,026,489.                                                  |
| 6 Enter 1% of net investment income (1% of Part I, line 27b)                                                                                                                                                            |                                          | 6                                            | 28,370.                                                     |
| 7 Add lines 5 and 6                                                                                                                                                                                                     |                                          | 7                                            | 6,054,859.                                                  |
| 8 Enter qualifying distributions from Part XII, line 4<br>If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate.<br>See the Part VI instructions. |                                          | 8                                            | 6,277,652.                                                  |

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

- 1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1.  
Date of ruling or determination letter: \_\_\_\_\_ (attach copy of letter if necessary-see instructions)
- b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b
- c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)

2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

3 Add lines 1 and 2

4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)

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

b Exempt foreign organizations - tax withheld at source

c Tax paid with application for extension of time to file (Form 8868)

d Backup withholding erroneously withheld

7 Total credits and payments. Add lines 6a through 6d

8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached

9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed

10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid

11 Enter the amount of line 10 to be: Credited to 2010 estimated tax

6a 375,166.

6b

6c

6d

346,796. Refunded

**Part VII A Statements Regarding Activities**

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?

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

c Did the foundation file Form 1120-POL for this year?

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

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

4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?

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.

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?

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.

8a Enter the states to which the foundation reports or with which it is registered (see instructions) LA

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

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

10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses

**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 **▶ N/A**

14 The books are in care of **▶ POSTLETHWAITE & NETTERVILLE, CPA'S** Telephone no. **▶ (225) 922-4600**  
 Located at **▶ 8550 UNITED PLAZA BLVD., BATON ROUGE, LA** ZIP+4 **▶ 70809**

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?                                                                                                                                                                                                                                                                                                                                                                                                            | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                                        | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?                                                                                                                                                                                                                                                                                                                                                                                                              | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?                                                                                                                                                                                                                                                                                                                                                     | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)                                                                                                                                                                                                                                                   | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| b 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)?                                                                                                                                                                                                                                                             | N/A                                                                 |    |
| Organizations relying on a current notice regarding disaster assistance check here <b>▶</b> <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                              |                                                                     |    |
| 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?                                                                                                                                                                                                                                                                                                         |                                                                     | 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?                                                                                                                                                                                                                                                                                                                                               | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| If "Yes," list the years <b>▶</b> _____, _____, _____                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                     |    |
| 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                                                                 |    |
| c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here.<br><b>▶</b> _____, _____, _____                                                                                                                                                                                                                                                                                                                                                |                                                                     |    |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?                                                                                                                                                                                                                                                                                                                                                                     | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |    |
| b 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                                                                 |    |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?                                                                                                                                                                                                                                                                                                                                                                                |                                                                     | 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?                                                                                                                                                                                                                                                               |                                                                     | X  |

Form 990-PF (2009)

**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

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

If "Yes" to 6b, file Form 8870

6b

X

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

☐ Yes ☒ No

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

N/A

7b

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|----------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| SEE STATEMENT 15     |                                                           | 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 |
|---------------------------------------------------------------|-----------------------------------------------------------|------------------|-----------------------------------------------------------------------|---------------------------------------|
| LORI J BERTMAN - 3635 GLADIOLA STREET, BATON ROUGE, LA 70808  | PRESIDENT/CEO<br>40.00                                    | 240,000.         | 24,000.                                                               | 0.                                    |
| VONNIE L HAWKINS - 13564 NEIL AVENUE, BATON ROUGE, LA 70810   | PROGRAM OFFICER<br>40.00                                  | 51,750.          | 5,175.                                                                | 0.                                    |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |
|                                                               |                                                           |                  |                                                                       |                                       |

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

0

Form 990-PF (2009)



**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 | 108,922,998. |
| b | Average of monthly cash balances                                                                            | 1b | 5,147,093.   |
| c | Fair market value of all other assets                                                                       | 1c |              |
| d | Total (add lines 1a, b, and c)                                                                              | 1d | 114,070,091. |
| 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  | 114,070,091. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)   | 4  | 1,711,051.   |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4        | 5  | 112,359,040. |
| 6 | Minimum investment return. Enter 5% of line 5                                                               | 6  | 5,617,952.   |

**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  | 5,617,952. |
| 2a | Tax on investment income for 2009 from Part VI, line 5                                             | 2a | 28,370.    |
| b  | Income tax for 2009. (This does not include the tax from Part VI.)                                 | 2b | 15,487.    |
| c  | Add lines 2a and 2b                                                                                | 2c | 43,857.    |
| 3  | Distributable amount before adjustments. Subtract line 2c from line 1                              | 3  | 5,574,095. |
| 4  | Recoveries of amounts treated as qualifying distributions                                          | 4  | 0.         |
| 5  | Add lines 3 and 4                                                                                  | 5  | 5,574,095. |
| 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  | 5,574,095. |

**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 | 6,277,652. |
| 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  | 6,277,652. |
| 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  | 28,370.    |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4                                                                    | 6  | 6,249,282. |

**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.

Form 990-PF (2009)

**Part XIII** Undistributed Income (see instructions)

|                                                                                                                                                                            | (a)<br>Corpus | (b)<br>Years prior to 2008 | (c)<br>2008 | (d)<br>2009 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2009 from Part XI, line 7                                                                                                                       |               |                            |             | 5,574,095.  |
| 2 Undistributed income, if any, as of the end of 2009                                                                                                                      |               |                            |             |             |
| a Enter amount for 2008 only                                                                                                                                               |               |                            | 0.          |             |
| b Total for prior years:                                                                                                                                                   |               | 0.                         |             |             |
| 3 Excess distributions carryover, if any, to 2009:                                                                                                                         |               |                            |             |             |
| a From 2004                                                                                                                                                                | 2,258,602.    |                            |             |             |
| b From 2005                                                                                                                                                                | 1,923,889.    |                            |             |             |
| c From 2006                                                                                                                                                                | 835,988.      |                            |             |             |
| d From 2007                                                                                                                                                                |               |                            |             |             |
| e From 2008                                                                                                                                                                |               |                            |             |             |
| f Total of lines 3a through e                                                                                                                                              | 5,018,479.    |                            |             |             |
| 4 Qualifying distributions for 2009 from Part XII, line 4: ► \$                                                                                                            | 6,277,652.    |                            |             |             |
| a Applied to 2008, but not more than line 2a                                                                                                                               |               |                            | 0.          |             |
| 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                                                                                                                                     |               |                            |             | 5,574,095.  |
| e Remaining amount distributed out of corpus                                                                                                                               | 703,557.      |                            |             |             |
| 5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).)                                        | 0.            |                            |             | 0.          |
| 6 Enter the net total of each column as indicated below:                                                                                                                   |               |                            |             |             |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5                                                                                                                          | 5,722,036.    |                            |             |             |
| 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                                                              |               |                            |             | 0.          |
| 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                                                                                                 | 2,258,602.    |                            |             |             |
| 9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a                                                                                              | 3,463,434.    |                            |             |             |
| 10 Analysis of line 9:                                                                                                                                                     |               |                            |             |             |
| a Excess from 2005                                                                                                                                                         | 1,923,889.    |                            |             |             |
| b Excess from 2006                                                                                                                                                         | 835,988.      |                            |             |             |
| c Excess from 2007                                                                                                                                                         |               |                            |             |             |
| d Excess from 2008                                                                                                                                                         |               |                            |             |             |
| e Excess from 2009                                                                                                                                                         | 703,557.      |                            |             |             |

N/A

- ☐ 4942(j)(3) or ☐ 4942(j)(5)

- (4) Gross investment income

[illegible]

NOT APPLICABLE

**Part XV** Supplementary Information (continued)

| <b>3 Grants and Contributions Paid During the Year or Approved for Future Payment</b> |                                                                                                           |                                |                                  |          |
|---------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|--------------------------------|----------------------------------|----------|
| Recipient                                                                             | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount   |
| Name and address (home or business)                                                   |                                                                                                           |                                |                                  |          |
| <b>a</b> Paid during the year<br>(SEE ATTACHED)                                       |                                                                                                           |                                |                                  | 6277652. |
| <b>Total</b>                                                                          |                                                                                                           |                                | <b>3a</b>                        | 6277652. |
| <b>b</b> Approved for future payment                                                  |                                                                                                           |                                |                                  |          |
| NONE                                                                                  |                                                                                                           |                                |                                  |          |
| <b>Total</b>                                                                          |                                                                                                           |                                | <b>3b</b>                        | 0.       |





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

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

OMB No 1545-0047

**2009**

Name of the organization

Employer identification number

IRENE W. AND C. B. PENNINGTON FOUNDATION

72-0938097

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

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

Form 990-PF

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

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

**Special Rules**

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

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

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

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

Name of organization

Employer identification number

IRENE W. AND C. B. PENNINGTON FOUNDATION

72-0938097

**Part I** Contributors (see instructions)

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4               | (c)<br>Aggregate contributions | (d)<br>Type of contribution                                                                                                                                                         |
|------------|-------------------------------------------------|--------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1          | ESTATE OF C.B.PENNINGTON<br><br>BATON ROUGE, LA | \$ 18,768.                     | Person <input checked="checked" type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.) |
|            |                                                 | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)                   |
|            |                                                 | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)                   |
|            |                                                 | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)                   |
|            |                                                 | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)                   |
|            |                                                 | \$                             | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II if there is a noncash contribution.)                   |

x

651109

Schedule K-1

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

| SOURCE                                         | AMOUNT |
|------------------------------------------------|--------|
| MORGAN KEEGAN                                  | 167.   |
| TAX EXEMPT INTEREST                            | 1,190. |
| US TREASURY INTEREST                           | 1,823. |
| TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A | 3,180. |

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE                           | GROSS AMOUNT | CAPITAL GAINS<br>DIVIDENDS | COLUMN (A)<br>AMOUNT |
|----------------------------------|--------------|----------------------------|----------------------|
| 1980 PARTNERSHIP                 | 9,660.       | 0.                         | 9,660.               |
| ANCHOR                           | 2,744.       | 118.                       | 2,626.               |
| ENTERPRISE PRODUCTS              | 13.          | 0.                         | 13.                  |
| EQUITAS #2043                    | 111,172.     | 0.                         | 111,172.             |
| EQUITAS - BRANDES                | 215,753.     | 0.                         | 215,753.             |
| EQUITAS - BUCKHEAD               | 85,454.      | 0.                         | 85,454.              |
| EQUITAS - HORIZON                | 22,125.      | 0.                         | 22,125.              |
| EQUITAS - NWQ                    | 79,278.      | 0.                         | 79,278.              |
| EQUITAS - NWQ INTERNATIONAL      | 178,361.     | 0.                         | 178,361.             |
| EQUITAS - TRANSAMERICA           | 29,225.      | 0.                         | 29,225.              |
| EQUITAS - WCM                    | 29,754.      | 25.                        | 29,729.              |
| EQUITAS - WENTWORTH              | 120,612.     | 0.                         | 120,612.             |
| EVERGREEN                        | 628,360.     | 0.                         | 628,360.             |
| IRS                              | 1,301.       | 0.                         | 1,301.               |
| KEELY                            | 26,637.      | 0.                         | 26,637.              |
| KINDER MORGAN                    | 39.          | 0.                         | 39.                  |
| LAZARD                           | 4.           | 0.                         | 4.                   |
| LORD ABBETT                      | 1,819.       | 0.                         | 1,819.               |
| LOUISIANA CENTRAL LAND LLC       | 74.          | 0.                         | 74.                  |
| MARISCO                          | 1,216.       | 0.                         | 1,216.               |
| MERIDIAN HORIZON FUND            | 251,673.     | 0.                         | 251,673.             |
| MERIDIAN HORIZON FUND            | 117,621.     | 0.                         | 117,621.             |
| NEWTON                           | 1,618.       | 0.                         | 1,618.               |
| OAK RIDGE                        | 675.         | 0.                         | 675.                 |
| OID                              | 2,304.       | 0.                         | 2,304.               |
| PENNCO ENERGY                    | 5,117.       | 0.                         | 5,117.               |
| PENNINGTON OIL                   | 1,240,000.   | 0.                         | 1,240,000.           |
| PIEDMONT PARTNERS                | 29,723.      | 0.                         | 29,723.              |
| PLAINS ALL AMERICAN              | 7.           | 0.                         | 7.                   |
| PMP                              | 92,321.      | 194.                       | 92,127.              |
| THEMELIOS VENTURES               | 32,397.      | 0.                         | 32,397.              |
| TRADEWINDS - NWQ                 | 1,336.       | 0.                         | 1,336.               |
| WELLS CAPITAL                    | 575.         | 0.                         | 575.                 |
| WHV                              | 1,016.       | 0.                         | 1,016.               |
| TOTAL TO FM 990-PF, PART I, LN 4 | 3,319,984.   | 337.                       | 3,319,647.           |

FORM 990-PF

OTHER INCOME

STATEMENT

3

| DESCRIPTION                              | (A)<br>REVENUE<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME |
|------------------------------------------|-----------------------------|-----------------------------------|-------------------------------|
| PENNCO ENERGY, INC.                      | 475,288.                    | 0.                                | 0.                            |
| 1980 PARTNERSHIP                         | 784,085.                    | 784,085.                          | 0.                            |
| 1980 PARTNERSHIP                         | 500.                        | 500.                              | 0.                            |
| PENNCO ENERGY                            | 829.                        | 0.                                | 0.                            |
| MERIDIAN CAPITAL PARTNERS II             | <255,966.>                  | <255,966.>                        | 0.                            |
| EVERGREEN                                | <445,223.>                  | <445,223.>                        | 0.                            |
| BP AMERICAN PRODUCTION COMPANY           | 87,120.                     | 87,120.                           | 0.                            |
| OTHER INCOME - LOUISIANA CENTRAL<br>LAND | 693.                        | 693.                              | 0.                            |
| MERIDIAN HORIZON                         | 879.                        | 879.                              | 0.                            |
| EVERGREEN                                | 241.                        | 241.                              | 0.                            |
| EV ENERGY                                | 2.                          | 2.                                | 0.                            |
| ENTERPRISE PRODUCTS                      | <3,791.>                    | <3,791.>                          | 0.                            |
| KINDER MORGAN                            | <1,070.>                    | <1,070.>                          | 0.                            |
| EV ENERGY                                | 88.                         | 88.                               | 0.                            |
| LAZARD                                   | <4.>                        | <4.>                              | 0.                            |
| LINN ENERGY                              | 349.                        | 349.                              | 0.                            |
| PLAINS ALL AMERICAN                      | <2,486.>                    | <2,486.>                          | 0.                            |
| PIEDMONT PARTNERS                        | <6,150.>                    | <6,150.>                          | 0.                            |
| WHITEBOX                                 | 606,531.                    | 606,531.                          | 0.                            |
| PIEDMONT PARTNERS LTD.                   | 940,488.                    | 940,488.                          | 0.                            |
| CANCELLATION OF DEBT                     | 129,918.                    | 129,918.                          | 0.                            |
| EVERGREEN - GUARANTEED PAYMENTS          | 383.                        | 383.                              | 0.                            |
| MISCELLANEOUS                            | 179.                        | 179.                              | 0.                            |
| TOTAL TO FORM 990-PF, PART I, LINE 11    | 2,312,883.                  | 1,836,766.                        | 0.                            |

FORM 990-PF

LEGAL FEES

STATEMENT

4

| DESCRIPTION                | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| LEGAL                      | 1,997.                       | 0.                                | 0.                            | 0.                            |
| TO FM 990-PF, PG 1, LN 16A | 1,997.                       | 0.                                | 0.                            | 0.                            |

## FORM 990-PF

## ACCOUNTING FEES

STATEMENT 5

| DESCRIPTION                  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| ACCOUNTING FEES              | 38,875.                      | 19,438.                           | 0.                            | 0.                            |
| TO FORM 990-PF, PG 1, LN 16B | 38,875.                      | 19,438.                           | 0.                            | 0.                            |

## FORM 990-PF

## OTHER PROFESSIONAL FEES

STATEMENT 6

| DESCRIPTION                  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| BANK CHARGES                 | 239.                         | 0.                                | 0.                            | 0.                            |
| INVESTMENT FEES              | 301,978.                     | 301,978.                          | 0.                            | 0.                            |
| CONSULTING FEES              | 19,750.                      | 0.                                | 0.                            | 0.                            |
| TO FORM 990-PF, PG 1, LN 16C | 321,967.                     | 301,978.                          | 0.                            | 0.                            |

## FORM 990-PF

## TAXES

STATEMENT 7

| DESCRIPTION                 | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| FEDERAL TAX                 | 781,249.                     | 0.                                | 0.                            | 0.                            |
| FOREIGN TAX                 | 66,811.                      | 66,811.                           | 0.                            | 0.                            |
| PAYROLL TAXES               | 15,895.                      | 0.                                | 0.                            | 0.                            |
| SEVERANCE TAX               | 8,645.                       | 0.                                | 0.                            | 0.                            |
| TO FORM 990-PF, PG 1, LN 18 | 872,600.                     | 66,811.                           | 0.                            | 0.                            |

| FORM 990-PF | OTHER EXPENSES | STATEMENT | 8 |
|-------------|----------------|-----------|---|
|-------------|----------------|-----------|---|

| DESCRIPTION                            | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|----------------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| 1980 PARTNERSHIP DEDUCTIONS            | 187,135.                     | 187,135.                          | 0.                            | 0.                            |
| PENNCO DEDUCTIONS                      | 99,348.                      | 0.                                | 0.                            | 0.                            |
| PARTNERSHIP<br>DEDUCTIONS-HORIZON      | 469,938.                     | 469,938.                          | 0.                            | 0.                            |
| EVERGREEN DEDUCTIONS                   | 361,172.                     | 361,172.                          | 0.                            | 0.                            |
| MISCELLANEOUS                          | 2,050.                       | 0.                                | 0.                            | 0.                            |
| DEDUCTIONS- THEMELIOS<br>VENTURES      | 265,166.                     | 265,166.                          | 0.                            | 0.                            |
| DEDUCTIONS - LOUISIANA<br>CENTRAL LAND | 356.                         | 356.                              | 0.                            | 0.                            |
| OFFICE EXPENSE                         | 48,569.                      | 0.                                | 0.                            | 0.                            |
| MEALS & ENTERTAINMENT                  | 15,947.                      | 0.                                | 0.                            | 0.                            |
| DUES & SUBSCRIPTIONS                   | 19,785.                      | 0.                                | 0.                            | 0.                            |
| DEDUCTIONS- KINDER MORGAN              | 52.                          | 52.                               | 0.                            | 0.                            |
| DEDUCTIONS - EV ENERGY                 | 12.                          | 12.                               | 0.                            | 0.                            |
| POSTAGE                                | 840.                         | 0.                                | 0.                            | 0.                            |
| CONTRACT LABOR                         | 54,274.                      | 0.                                | 0.                            | 0.                            |
| ADVERTISING                            | 10,000.                      | 0.                                | 0.                            | 0.                            |
| REGISTRATION                           | 2,375.                       | 0.                                | 0.                            | 0.                            |
| INSURANCE                              | 4,819.                       | 0.                                | 0.                            | 0.                            |
| DEDUCTIONS - LINN ENERGY               | 111.                         | 111.                              | 0.                            | 0.                            |
| DEDUCTIONS - PIEDMONT<br>PARTNERS      | 25,302.                      | 25,302.                           | 0.                            | 0.                            |
| EVENT SPONSORSHIP                      | 20,864.                      | 0.                                | 0.                            | 0.                            |
| AMORTIZATION                           | 639.                         | 0.                                |                               | 0.                            |
| TO FORM 990-PF, PG 1, LN 23            | 1,588,754.                   | 1,309,244.                        |                               | 0.                            |

| FORM 990-PF | OTHER INCREASES IN NET ASSETS OR FUND BALANCES | STATEMENT | 9 |
|-------------|------------------------------------------------|-----------|---|
|-------------|------------------------------------------------|-----------|---|

| DESCRIPTION                            | AMOUNT   |
|----------------------------------------|----------|
| NONTAXABLE DISTRIBUTIONS               | 19,515.  |
| TAX REFUND                             | 299,844. |
| TOTAL TO FORM 990-PF, PART III, LINE 3 | 319,359. |

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FORM 990-PF      OTHER DECREASES IN NET ASSETS OR FUND BALANCES      STATEMENT    10

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| DESCRIPTION                            | AMOUNT  |
|----------------------------------------|---------|
| NONDEDUCTIBLE EXPENSE                  | 16,910. |
| CORRECTION IN BOOK VALUE OF ASSETS     | 11,430. |
| TOTAL TO FORM 990-PF, PART III, LINE 5 | 28,340. |

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FORM 990-PF      CORPORATE STOCK      STATEMENT    11

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| DESCRIPTION                             | BOOK VALUE  | FAIR MARKET VALUE |
|-----------------------------------------|-------------|-------------------|
| EQUITAS ACCOUNTS                        | 40,646,317. | 37,995,040.       |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 40,646,317. | 37,995,040.       |

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FORM 990-PF      OTHER INVESTMENTS      STATEMENT    12

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| DESCRIPTION                            | VALUATION METHOD | BOOK VALUE  | FAIR MARKET VALUE |
|----------------------------------------|------------------|-------------|-------------------|
| PENNCO ENERGY                          | COST             | 42,380.     | 1,696,204.        |
| 1980 PARTNERSHIP                       | COST             | 17,368,927. | 4,719,029.        |
| MERIDIAN DIVERSIFIED FUND              | COST             | 8,181,457.  | 12,355,468.       |
| OZ OVERSEAS FUNDS                      | COST             | 8,392.      | 1,828.            |
| EVERGREEN                              | COST             | 24,029,523. | 24,357,860.       |
| MERIDIAN HORIZON FUND                  | COST             | 12,915,284. | 9,775,479.        |
| THEMELIOS VENTURES                     | COST             | 5,493,875.  | 4,708,592.        |
| LOUISIANA CENTRAL LAND LLC             | COST             | 4,351.      | 2,460.            |
| ASHMORE MULTI STRAT                    | COST             | 2,512,536.  | 2,018,846.        |
| UBS ACCOUNTS                           | COST             | 9,548,071.  | 9,735,857.        |
| MERIDIAN HORIZON - SPECIAL FUND        | COST             | 17,177.     | 0.                |
| PIEDMONT PARTNERS - OFFSHORE           | COST             | 9,190,488.  | 10,291,528.       |
| PIEDMONT PARTNERS - LTD.               | COST             | 1,094,902.  | 0.                |
| WHITEBOX                               | COST             | 2,416,055.  | 2,416,055.        |
| TOTAL TO FORM 990-PF, PART II, LINE 13 |                  | 92,823,418. | 82,079,206.       |

## FORM 990-PF DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT STATEMENT 13

| DESCRIPTION                        | COST OR<br>OTHER BASIS | ACCUMULATED<br>DEPRECIATION | BOOK VALUE |
|------------------------------------|------------------------|-----------------------------|------------|
| RUG                                | 604.                   | 419.                        | 185.       |
| RECEPTION DESK                     | 10,474.                | 7,268.                      | 3,206.     |
| FILE CABINETS                      | 1,955.                 | 1,357.                      | 598.       |
| PHONE                              | 322.                   | 245.                        | 77.        |
| HEADSET                            | 301.                   | 229.                        | 72.        |
| OFFICE DECOR                       | 180.                   | 125.                        | 55.        |
| BENCHES/STOOLS                     | 2,200.                 | 1,526.                      | 674.       |
| 4 DESK CHAIRS                      | 1,149.                 | 798.                        | 351.       |
| CREDENZA                           | 492.                   | 341.                        | 151.       |
| FURNITURE - 4 DRAWERS              | 641.                   | 445.                        | 196.       |
| ART - DAY 39                       | 2,889.                 | 2,005.                      | 884.       |
| ART - BAMBOO SONG                  | 2,256.                 | 1,565.                      | 691.       |
| COMPUTER MONITOR                   | 273.                   | 208.                        | 65.        |
| DESKTOP                            | 941.                   | 715.                        | 226.       |
| DESKTOP                            | 941.                   | 715.                        | 226.       |
| MONITOR                            | 255.                   | 194.                        | 61.        |
| MONITOR                            | 255.                   | 194.                        | 61.        |
| MONITOR                            | 255.                   | 194.                        | 61.        |
| LAPTOP                             | 2,726.                 | 2,072.                      | 654.       |
| LAPTOP                             | 2,726.                 | 2,072.                      | 654.       |
| SOFTWARE                           | 1,916.                 | 1,171.                      | 745.       |
| PRINTER                            | 462.                   | 351.                        | 111.       |
| PHONE SYSTEM                       | 6,848.                 | 5,205.                      | 1,643.     |
| NETWORK BACKUP SYSTEM              | 680.                   | 517.                        | 163.       |
| RUG                                | 1,356.                 | 941.                        | 415.       |
| ART - CANNAS                       | 4,796.                 | 3,328.                      | 1,468.     |
| 3 CHAIRS                           | 2,397.                 | 1,663.                      | 734.       |
| 4 TABLES                           | 1,818.                 | 1,262.                      | 556.       |
| WORKTOP TABLE                      | 2,255.                 | 1,565.                      | 690.       |
| CREDENZA                           | 3,248.                 | 2,254.                      | 994.       |
| TABLE                              | 764.                   | 531.                        | 233.       |
| SOFA                               | 1,758.                 | 1,220.                      | 538.       |
| 2 ARMCHAIRS                        | 1,986.                 | 1,378.                      | 608.       |
| 2 METAL ARMCHAIRS                  | 3,502.                 | 2,430.                      | 1,072.     |
| 2 WHITE ARMCHAIRS                  | 723.                   | 502.                        | 221.       |
| ROUND TABLE                        | 318.                   | 221.                        | 97.        |
| WORKTOP TABLE                      | 2,255.                 | 1,565.                      | 690.       |
| 8 ASH CHAIRS                       | 2,679.                 | 1,859.                      | 820.       |
| LAMP                               | 593.                   | 411.                        | 182.       |
| 2 MINI LAMPS                       | 644.                   | 447.                        | 197.       |
| TOTAL TO FM 990-PF, PART II, LN 14 | 72,833.                | 51,508.                     | 21,325.    |

FORM 990-PF

OTHER LIABILITIES

STATEMENT 14

## DESCRIPTION

BOY AMOUNT

EOY AMOUNT

RETIREMENT CONTRIBUTION PAYABLE

0.

29,175.

TOTAL TO FORM 990-PF, PART II, LINE 22

0.

29,175.

FORM 990-PF

PART VIII - LIST OF OFFICERS, DIRECTORS  
TRUSTEES AND FOUNDATION MANAGERS

STATEMENT 15

## NAME AND ADDRESS

TITLE AND  
AVRG HRS/WKCOMPEN-  
SATIONEMPLOYEE  
BEN PLAN EXPENSE  
CONTRIB ACCOUNTCLAUDE B. PENNINGTON, III  
P.O. BOX 1083  
BATON ROUGE, LA 70821TRUSTEE  
0.00

0.

0.

0.

DARYL B. PENNINGTON, SR.  
P.O. BOX 1083  
BATON ROUGE, LA 70821TRUSTEE  
0.00

0.

0.

0.

PAULA P. DELABRETONNE  
P.O. BOX 1083  
BATON ROUGE, LA 70821TRUSTEE  
0.00

0.

0.

0.

RICHARD BLACKSTONE  
P. O. BOX 1083  
BATON ROUGE, LA 70821TRUSTEE  
0.00

0.

0.

0.

DARYL B. PENNINGTON, JR.  
P. O. BOX 1083  
BATON ROUGE, LA 70821TRUSTEE  
0.00

0.

0.

0.

SHARON PALMER PENNINGTON  
P. O. BOX 1083  
BATON ROUGE, LA 70821TRUSTEE  
0.00

0.

0.

0.

TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII

0.

0.

0.

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

| (a) List and describe the (s) of property sold, e.g., real estate,<br>2-story brick warehouse, or common stock, 200 shs. MLC Co. |                                               | (b) How acquired<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|----------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a                                                                                                                               | EQUITAS - NWQ - ST (SEE ATTACHED)             | P                                                |                                      |                                  |
| b                                                                                                                                | EQUITAS - NWQ - LT (SEE ATTACHED)             | P                                                |                                      |                                  |
| c                                                                                                                                | EQUITAS - BUCKHEAD - ST (SEE ATTACHED)        | P                                                |                                      |                                  |
| d                                                                                                                                | EQUITAS - BUCKHEAD - LT (SEE ATTACHED)        | P                                                |                                      |                                  |
| e                                                                                                                                | EQUITAS - LAZARD - ST (SEE ATTACHED)          | P                                                |                                      |                                  |
| f                                                                                                                                | EQUITAS - LAZARD - LT (SEE ATTACHED)          | P                                                |                                      |                                  |
| g                                                                                                                                | EQUITAS NWQ INTERNATIONAL - ST (SEE ATTACHED) | P                                                |                                      |                                  |
| h                                                                                                                                | EQUITAS NWQ INTERNATIONAL - LT (SEE ATTACHED) | P                                                |                                      |                                  |
| i                                                                                                                                | FRANKLIN TEMPLETON EMERGING MARKET            | P                                                |                                      |                                  |
| j                                                                                                                                | EQUITAS WCM - ST (SEE ATTACHED)               | P                                                |                                      |                                  |
| k                                                                                                                                | EQUITAS - WCM - LT (SEE ATTACHED)             | P                                                |                                      |                                  |
| l                                                                                                                                | EQUITAS - HORIZON - ST (SEE ATTACHED)         | P                                                |                                      |                                  |
| m                                                                                                                                | EQUITAS - HORIZON - LT (SEE ATTACHED)         | P                                                |                                      |                                  |
| n                                                                                                                                | EQUITAS - KEELEY - ST (SEE ATTACHED)          | P                                                |                                      |                                  |
| o                                                                                                                                | EQUITAS - KEELEY - LT (SEE ATTACHED)          | P                                                |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a                     | 185,430.                                   |                                                 | 14,803.                                      |
| b                     | 594,816.                                   |                                                 | 35,237.                                      |
| c                     | 1,525,961.                                 |                                                 | 146,249.                                     |
| d                     | 1,732,958.                                 |                                                 | <945,816.>                                   |
| e                     | 1,007,619.                                 |                                                 | 101,252.                                     |
| f                     | 6,504,987.                                 |                                                 | <2,963,896.>                                 |
| g                     | 1,218,647.                                 |                                                 | <129,563.>                                   |
| h                     | 2,971,763.                                 |                                                 | <1,417,734.>                                 |
| i                     | 262,848.                                   |                                                 | <88,474.>                                    |
| j                     | 482,663.                                   |                                                 | <75,077.>                                    |
| k                     | 383,968.                                   |                                                 | <154,921.>                                   |
| l                     | 1,169,787.                                 |                                                 | <279,894.>                                   |
| m                     | 1,612,537.                                 |                                                 | <2,617,642.>                                 |
| n                     | 184,333.                                   |                                                 | <131,801.>                                   |
| o                     | 300,069.                                   |                                                 | <180,842.>                                   |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Losses (from col. (h))<br>Gains (excess of col. (h) gain over col. (k),<br>but not less than "-0-") |
|---------------------------|--------------------------------------|-------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | 14,803.                                                                                                 |
| b                         |                                      |                                                 | 35,237.                                                                                                 |
| c                         |                                      |                                                 | 146,249.                                                                                                |
| d                         |                                      |                                                 | <945,816.>                                                                                              |
| e                         |                                      |                                                 | 101,252.                                                                                                |
| f                         |                                      |                                                 | <2,963,896.>                                                                                            |
| g                         |                                      |                                                 | <129,563.>                                                                                              |
| h                         |                                      |                                                 | <1,417,734.>                                                                                            |
| i                         |                                      |                                                 | <88,474.>                                                                                               |
| j                         |                                      |                                                 | <75,077.>                                                                                               |
| k                         |                                      |                                                 | <154,921.>                                                                                              |
| l                         |                                      |                                                 | <279,894.>                                                                                              |
| m                         |                                      |                                                 | <2,617,642.>                                                                                            |
| n                         |                                      |                                                 | <131,801.>                                                                                              |
| o                         |                                      |                                                 | <180,842.>                                                                                              |

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

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

IRENE W. AND C. B. PENNINGTON FOUNDATION

72-0938097

PAGE 2 OF 4

**Part IV** Capital Gains and Losses for Taxable Investment Income

| (a) List and describe the property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. |                                            | (b) How acquired<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a                                                                                                                     | EQUITAS - TRANSAMERICA - ST (SEE ATTACHED) | P                                                |                                      |                                  |
| b                                                                                                                      | EQUITAS - TRANSAMERICA - LT (SEE ATTACHED) | P                                                |                                      |                                  |
| c                                                                                                                      | EQUITAS - WENTWORTH - LT (SEE ATTACHED)    | P                                                |                                      |                                  |
| d                                                                                                                      | UBS - ANCHOR (SEE ATTACHED)                | P                                                |                                      |                                  |
| e                                                                                                                      | UBS - LORD ABBETT (SEE ATTACHED)           | P                                                |                                      |                                  |
| f                                                                                                                      | UBS - MARISCO (SEE ATTACHED)               | P                                                |                                      |                                  |
| g                                                                                                                      | UBS - NEWTON (SEE ATTACHED)                | P                                                |                                      |                                  |
| h                                                                                                                      | UBS - OAK RIDGE (SEE ATTACHED)             | P                                                |                                      |                                  |
| i                                                                                                                      | UBS - PMP (SEE ATTACHED)                   | P                                                |                                      |                                  |
| j                                                                                                                      | UBS - TRADEWINDS (SEE ATTACHED)            | P                                                |                                      |                                  |
| k                                                                                                                      | UBS - WELLS CAPITAL - (SEE ATTACHED)       | P                                                |                                      |                                  |
| l                                                                                                                      | UBS - WHV (SEE ATTACHED)                   | P                                                |                                      |                                  |
| m                                                                                                                      | PIEDMONT PARTNERS - ST                     |                                                  |                                      |                                  |
| n                                                                                                                      | PIEDMONT PARTNERS - LT                     |                                                  |                                      |                                  |
| o                                                                                                                      | 1231 GAIN                                  |                                                  |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a 1,782,394.          |                                            |                                                 | <151,660.>                                   |
| b 2,325,172.          |                                            |                                                 | <1,208,649.>                                 |
| c 396,456.            |                                            |                                                 | <416,066.>                                   |
| d 8,478.              |                                            |                                                 | 810.                                         |
| e 67,691.             |                                            |                                                 | 900.                                         |
| f 61,923.             |                                            |                                                 | 2,588.                                       |
| g 75,749.             |                                            |                                                 | 7,000.                                       |
| h 15,586.             |                                            |                                                 | <609.>                                       |
| i 22,917,435.         |                                            |                                                 | 465,822.                                     |
| j 27,427.             |                                            |                                                 | 3,569.                                       |
| k 177,506.            |                                            |                                                 | 10,228.                                      |
| l 960.                |                                            |                                                 | 960.                                         |
| m                     |                                            |                                                 | <511,621.>                                   |
| n                     |                                            |                                                 | 602,192.                                     |
| o                     |                                            |                                                 | 7,115.                                       |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Losses (from col. (h))<br>Gains (excess of col. (h) gain over col. (k),<br>but not less than "-0-") |
|---------------------------|--------------------------------------|-------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | <151,660.>                                                                                              |
| b                         |                                      |                                                 | <1,208,649.>                                                                                            |
| c                         |                                      |                                                 | <416,066.>                                                                                              |
| d                         |                                      |                                                 | 810.                                                                                                    |
| e                         |                                      |                                                 | 900.                                                                                                    |
| f                         |                                      |                                                 | 2,588.                                                                                                  |
| g                         |                                      |                                                 | 7,000.                                                                                                  |
| h                         |                                      |                                                 | <609.>                                                                                                  |
| i                         |                                      |                                                 | 465,822.                                                                                                |
| j                         |                                      |                                                 | 3,569.                                                                                                  |
| k                         |                                      |                                                 | 10,228.                                                                                                 |
| l                         |                                      |                                                 | 960.                                                                                                    |
| m                         |                                      |                                                 | <511,621.>                                                                                              |
| n                         |                                      |                                                 | 602,192.                                                                                                |
| o                         |                                      |                                                 | 7,115.                                                                                                  |

- 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 }
- 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 }

2

3

IRENE W. AND C. B. PENNINGTON FOUNDATION

72-0938097

PAGE 3 OF 4

**Part IV** Capital Gains and Losses for Taxable Investment Income(a) List and describe the asset(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 1256 GAIN/LOSS

b 1256 GAIN/LOSS

c MERIDIAN - ST

d MERIDIAN - LT

e MERIDIAN - ST

f MERIDIAN - LT

g MERIDIAN - ST

h EVERGREEN - ST

i EVERGREEN - LT

j LA CENTRAL LAND

k WHITEBOX

l MERIDIAN DIVERSIFIED

m 1250 GAIN

n ASHMORE

o EVERGREEN

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a                     |                                            |                                                 | <39,519.>                                    |
| b                     |                                            |                                                 | <59,279.>                                    |
| c                     |                                            |                                                 | 327,762.                                     |
| d                     |                                            |                                                 | <155,861.>                                   |
| e                     |                                            |                                                 | 124,339.                                     |
| f                     |                                            |                                                 | <148,706.>                                   |
| g                     |                                            |                                                 | 7.                                           |
| h                     |                                            |                                                 | <685,780.>                                   |
| i                     |                                            |                                                 | <1,282,434.>                                 |
| j                     |                                            |                                                 | 1,020.                                       |
| k                     |                                            |                                                 | 59,524.                                      |
| l                     |                                            |                                                 | 1,324,271.                                   |
| m                     |                                            |                                                 | 285.                                         |
| n                     |                                            |                                                 | <56,962.>                                    |
| o                     |                                            |                                                 | <645,145.>                                   |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Losses (from col. (h))<br>Gains (excess of col. (h) gain over col. (k),<br>but not less than "-0-") |
|---------------------------|--------------------------------------|-------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | <39,519.>                                                                                               |
| b                         |                                      |                                                 | <59,279.>                                                                                               |
| c                         |                                      |                                                 | 327,762.                                                                                                |
| d                         |                                      |                                                 | <155,861.>                                                                                              |
| e                         |                                      |                                                 | 124,339.                                                                                                |
| f                         |                                      |                                                 | <148,706.>                                                                                              |
| g                         |                                      |                                                 | 7.                                                                                                      |
| h                         |                                      |                                                 | <685,780.>                                                                                              |
| i                         |                                      |                                                 | <1,282,434.>                                                                                            |
| j                         |                                      |                                                 | 1,020.                                                                                                  |
| k                         |                                      |                                                 | 59,524.                                                                                                 |
| l                         |                                      |                                                 | 1,324,271.                                                                                              |
| m                         |                                      |                                                 | 285.                                                                                                    |
| n                         |                                      |                                                 | <56,962.>                                                                                               |
| o                         |                                      |                                                 | <645,145.>                                                                                              |

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

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

IRENE W. AND C. B. PENNINGTON FOUNDATION

**Part IV** Capital Gains and Losses for Taxable 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 MERIDIAN HORIZON

b CAPITAL GAINS DIVIDENDS

c

d

e

f

g

h

i

j

k

l

m

n

o

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a                     |                                            |                                                 | <2,120,044.>                                 |
| b 337.                |                                            |                                                 | 337.                                         |
| c                     |                                            |                                                 |                                              |
| d                     |                                            |                                                 |                                              |
| e                     |                                            |                                                 |                                              |
| f                     |                                            |                                                 |                                              |
| g                     |                                            |                                                 |                                              |
| h                     |                                            |                                                 |                                              |
| i                     |                                            |                                                 |                                              |
| j                     |                                            |                                                 |                                              |
| k                     |                                            |                                                 |                                              |
| l                     |                                            |                                                 |                                              |
| m                     |                                            |                                                 |                                              |
| n                     |                                            |                                                 |                                              |
| o                     |                                            |                                                 |                                              |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Losses (from col. (h))<br>Gains (excess of col. (h) gain over col. (k),<br>but not less than "-0-") |
|---------------------------|--------------------------------------|-------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | <2,120,044.>                                                                                            |
| b                         |                                      |                                                 | 337.                                                                                                    |
| c                         |                                      |                                                 |                                                                                                         |
| d                         |                                      |                                                 |                                                                                                         |
| e                         |                                      |                                                 |                                                                                                         |
| f                         |                                      |                                                 |                                                                                                         |
| g                         |                                      |                                                 |                                                                                                         |
| h                         |                                      |                                                 |                                                                                                         |
| i                         |                                      |                                                 |                                                                                                         |
| j                         |                                      |                                                 |                                                                                                         |
| k                         |                                      |                                                 |                                                                                                         |
| l                         |                                      |                                                 |                                                                                                         |
| m                         |                                      |                                                 |                                                                                                         |
| n                         |                                      |                                                 |                                                                                                         |
| o                         |                                      |                                                 |                                                                                                         |

|                                                                                                                                                                                     |   |               |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---------------|
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7<br>If (loss), enter "-0-" in Part I, line 7 }                                               | 2 | <13,231,725.> |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter "-0-" in Part I, line 8 } | 3 | N/A           |

2009 DEPRECIATION AND AMORTIZATION REPORT

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| Asset No | Description           | Date Acquired | Method | Life | C o n v | Line No | Unadjusted Cost Or Basis | Bus % Excl | Section 179 Expense | Reduction In Basis | Basis For Depreciation | Beginning Accumulated Depreciation | Current Sec 179 Expense | Current Year Deduction | Ending Accumulated Depreciation |
|----------|-----------------------|---------------|--------|------|---------|---------|--------------------------|------------|---------------------|--------------------|------------------------|------------------------------------|-------------------------|------------------------|---------------------------------|
| 1        | RUG                   | 06/30/08      | 200DE  | 7.00 |         | HXL7    | 604.                     |            |                     | 302.               | 302.                   | 43.                                |                         | 74.                    | 117.                            |
| 2        | RECEPTION DESK        | 02/12/08      | 200DE  | 7.00 |         | HXL7    | 10,474.                  |            |                     | 5,237.             | 5,237.                 | 748.                               |                         | 1,283.                 | 2,031.                          |
| 3        | FILE CABINETS         | 02/12/08      | 200DE  | 7.00 |         | HXL7    | 1,955.                   |            |                     | 978.               | 977.                   | 140.                               |                         | 239.                   | 379.                            |
| 4        | PHONE                 | 02/09/08      | 200DE  | 5.00 |         | HXL7    | 322.                     |            |                     | 161.               | 161.                   | 32.                                |                         | 52.                    |                                 |
| 5        | HEADSET               | 06/25/08      | 200DE  | 5.00 |         | HXL7    | 301.                     |            |                     | 151.               | 150.                   | 30.                                |                         | 48.                    | 78.                             |
| 6        | OFFICE DECOR          | 03/28/08      | 200DE  | 7.00 |         | HXL7    | 180.                     |            |                     | 90.                | 90.                    | 13.                                |                         | 22.                    | 35.                             |
| 7        | BENCHES/STOOLS        | 03/28/08      | 200DE  | 7.00 |         | HXL7    | 2,200.                   |            |                     | 1,100.             | 1,100.                 | 157.                               |                         | 269.                   | 426.                            |
| 8        | 4 DESK CHAIRS         | 03/19/08      | 200DE  | 7.00 |         | HXL7    | 1,149.                   |            |                     | 575.               | 574.                   | 82.                                |                         | 141.                   | 223.                            |
| 9        | CREDENZA              | 03/19/08      | 200DE  | 7.00 |         | HXL7    | 492.                     |            |                     | 246.               | 246.                   | 35.                                |                         | 60.                    | 95.                             |
| 10       | FURNITURE - 4 DRAWERS | 03/04/08      | 200DE  | 7.00 |         | HXL7    | 641.                     |            |                     | 321.               | 320.                   | 46.                                |                         | 78.                    | 124.                            |
| 11       | ART - DAY 39          | 04/16/08      | 200DE  | 7.00 |         | HXL7    | 2,889.                   |            |                     | 1,445.             | 1,444.                 | 206.                               |                         | 354.                   | 560.                            |
| 12       | ART - BAMBOO SONG     | 04/16/08      | 200DE  | 7.00 |         | HXL7    | 2,256.                   |            |                     | 1,128.             | 1,128.                 | 161.                               |                         | 276.                   | 1,437.                          |
| 13       | COMPUTER MONITOR      | 03/27/08      | 200DE  | 5.00 |         | HXL7    | 273.                     |            |                     | 137.               | 136.                   | 27.                                |                         | 44.                    | 71.                             |
| 14       | DESKTOP               | 02/27/08      | 200DE  | 5.00 |         | HXL7    | 941.                     |            |                     | 471.               | 470.                   | 94.                                |                         | 150.                   | 244.                            |
| 15       | DESKTOP               | 02/27/08      | 200DE  | 5.00 |         | HXL7    | 941.                     |            |                     | 471.               | 470.                   | 94.                                |                         | 150.                   | 244.                            |
| 16       | MONITOR               | 02/27/08      | 200DE  | 5.00 |         | HXL7    | 255.                     |            |                     | 128.               | 127.                   | 25.                                |                         | 41.                    | 66.                             |
| 17       | MONITOR               | 02/27/08      | 200DE  | 5.00 |         | HXL7    | 255.                     |            |                     | 128.               | 127.                   | 25.                                |                         | 41.                    | 66.                             |
| 18       | MONITOR               | 02/27/08      | 200DE  | 5.00 |         | HXL7    | 255.                     |            |                     | 128.               | 127.                   | 25.                                |                         | 41.                    | 66.                             |

928111  
04-24-09

(D) - Asset disposed

\* ITC, Salvage, Bonus, Commercial Revitalization Deduction, GO Zone

2009 DEPRECIATION AND AMORTIZATION REPORT

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| Asset No | Description           | Date Acquired | Method | Life | C<br>o<br>v | Line<br>No | Unadjusted<br>Cost Or Basis | Bus<br>%<br>Excl | Section 179<br>Expense | Reduction In<br>Basis | Basis For<br>Depreciation | Beginning<br>Accumulated<br>Depreciation | Current<br>Sec 179<br>Expense | Current Year<br>Deduction | Ending<br>Accumulated<br>Depreciation |
|----------|-----------------------|---------------|--------|------|-------------|------------|-----------------------------|------------------|------------------------|-----------------------|---------------------------|------------------------------------------|-------------------------------|---------------------------|---------------------------------------|
| 19       | LAPTOP                | 02/27/08      | 200DE  | 5.00 |             | HVL7       | 2,726.                      |                  |                        | 1,363.                | 1,363.                    | 273.                                     |                               | 436.                      | 709.                                  |
| 20       | LAPTOP                | 02/27/08      | 200DE  | 5.00 |             | HVL7       | 2,726.                      |                  |                        | 1,363.                | 1,363.                    | 273.                                     |                               | 436.                      | 709.                                  |
| 21       | SOFTWARE              | 02/27/08      |        | 36M  |             | HV43       | 1,916.                      |                  |                        |                       | 1,916.                    | 532.                                     |                               | 639.                      | 1,171.                                |
| 22       | PRINTER               | 02/27/08      | 200DE  | 5.00 |             | HVL7       | 462.                        |                  |                        | 231.                  | 231.                      | 46.                                      |                               | 74.                       |                                       |
| 23       | PHONE SYSTEM          | 02/27/08      | 200DE  | 5.00 |             | HVL7       | 6,848.                      |                  |                        | 3,424.                | 3,424.                    | 685.                                     |                               | 1,096.                    | 1,781.                                |
| 24       | NETWORK BACKUP SYSTEM | 02/27/08      | 200DE  | 5.00 |             | HVL7       | 680.                        |                  |                        | 340.                  | 340.                      | 68.                                      |                               | 109.                      | 177.                                  |
| 25       | RUG                   | 02/18/08      | 200DE  | 7.00 |             | HVL7       | 1,356.                      |                  |                        | 678.                  | 678.                      | 97.                                      |                               | 166.                      | 263.                                  |
| 26       | ART - CANNAS          | 02/20/08      | 200DE  | 7.00 |             | HVL7       | 4,796.                      |                  |                        | 2,398.                | 2,398.                    | 343.                                     |                               | 587.                      | 930.                                  |
| 27       | 3 CHAIRS              | 02/12/08      | 200DE  | 7.00 |             | HVL7       | 2,397.                      |                  |                        | 1,199.                | 1,198.                    | 171.                                     |                               | 293.                      | 464.                                  |
| 28       | 4 TABLES              | 02/09/08      | 200DE  | 7.00 |             | HVL7       | 1,818.                      |                  |                        | 909.                  | 909.                      | 130.                                     |                               | 223.                      | 353.                                  |
| 29       | WORKTOP TABLE         | 02/09/08      | 200DE  | 7.00 |             | HVL7       | 2,255.                      |                  |                        | 1,128.                | 1,127.                    | 161.                                     |                               | 276.                      | 437.                                  |
| 30       | CREDENZA              | 02/09/08      | 200DE  | 7.00 |             | HVL7       | 3,248.                      |                  |                        | 1,624.                | 1,624.                    | 232.                                     |                               | 398.                      |                                       |
| 31       | TABLE                 | 02/09/08      | 200DE  | 7.00 |             | HVL7       | 764.                        |                  |                        | 382.                  | 382.                      | 55.                                      |                               | 94.                       | 149.                                  |
| 32       | SOFA                  | 02/09/08      | 200DE  | 7.00 |             | HVL7       | 1,758.                      |                  |                        | 879.                  | 879.                      | 126.                                     |                               | 215.                      | 341.                                  |
| 33       | 2 ARMCHAIRS           | 02/09/08      | 200DE  | 7.00 |             | HVL7       | 1,986.                      |                  |                        | 993.                  | 993.                      | 142.                                     |                               | 243.                      | 385.                                  |
| 34       | 2 METAL ARMCHAIRS     | 02/09/08      | 200DE  | 7.00 |             | HVL7       | 3,502.                      |                  |                        | 1,751.                | 1,751.                    | 250.                                     |                               | 429.                      | 679.                                  |
| 35       | 2 WHITE ARMCHAIRS     | 02/09/08      | 200DE  | 7.00 |             | HVL7       | 723.                        |                  |                        | 362.                  | 361.                      | 52.                                      |                               | 88.                       | 140.                                  |
| 36       | ROUND TABLE           | 02/09/08      | 200DE  | 7.00 |             | HVL7       | 318.                        |                  |                        | 159.                  | 159.                      | 23.                                      |                               | 39.                       | 62.                                   |

928111  
04-24-08

(D) - Asset disposed

\* ITC, Salvage, Bonus, Commercial Revitalization Deduction, GO Zone

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\* ITC, Salvage, Bonus, Commercial Revitalization Deduction, GO Zone

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**Irene W & CB Pennington Foundation**  
**#72-0938097**

| Name                                      | Relationship | Foundation Status | Purpose of Contribution | Amount     |
|-------------------------------------------|--------------|-------------------|-------------------------|------------|
| Baton Rouge Area Foundation               | None         | Public Charity    | General Support         | 20,000.00  |
| West Baton Rouge Sheriff's Office         | None         | Public Inst       | General Support         | 80,000 00  |
| Big Buddy Program                         | None         | Public Charity    | General Support         | 2,000 00   |
| Capital Sertoma Club                      | None         | Public Charity    | General Support         | 2,600.00   |
| Louisiana Wildlife Federation, Inc.       | None         | Public Charity    | General Support         | 50,000 00  |
| Baton Rouge Area Foundation               | None         | Public Charity    | General Support         | 137,157.12 |
| Foundation 56                             | None         | Public Charity    | General Support         | 5,000 00   |
| Big Buddy Program                         | None         | Public Charity    | General Support         | 2,000 00   |
| National Assn. of Women MBA's-LSU Chapter | None         | Public Charity    | General Support         | 0 00       |
| YMCA of the Capital Area                  | None         | Public Charity    | General Support         | 1,000.00   |
| Big Buddy Program                         | None         | Public Charity    | General Support         | 10,000 00  |
| Juvenile Diabetes Research Foundation-LA  | None         | Public Charity    | General Support         | 20,000.00  |
| Our Lady of the Lake Foundation           | None         | Public Charity    | General Support         | 3,000 00   |
| LSU Foundation                            | None         | Public Charity    | General Support         | 5,000 00   |
| NASW-Louisiana                            | None         | Public Charity    | General Support         | 0.00       |
| Capital Area United Way                   | None         | Public Charity    | General Support         | 25,000.00  |
| Volleyball Baton Rouge                    | None         | Public Charity    | General Support         | 2,500 00   |
| Baton Rouge Speech & Hearing Foundation   | None         | Public Charity    | General Support         | 1,500.00   |
| Women's Sports Foundation                 | None         | Public Charity    | General Support         | 0 00       |
| Women's Sports Foundation                 | None         | Public Charity    | General Support         | 100,000 00 |
| Pennington Biomedical Research Foundation | None         | Public Charity    | General Support         | 25,000.00  |
| Delta Service Corps, LA                   | None         | Public Charity    | General Support         | 2,500 00   |
| LSU Foundation                            | None         | Public Charity    | General Support         | 25,000.00  |
| American Red Cross                        | None         | Public Charity    | General Support         | 50,000 00  |
| University Lab School Foundation          | None         | Public Charity    | General Support         | 10,000.00  |
| Arts Council of Greater Baton Rouge       | None         | Public Charity    | General Support         | 2,500 00   |
| LRCE                                      | None         | Public Charity    | General Support         | 50,000.00  |
| Louisiana Ballooning Foundation           | None         | Public Charity    | General Support         | 25,000 00  |
| American Saddlebred Horse Association     | None         | Public Charity    | General Support         | 5,000 00   |
| Cancer Services of Greater Baton Rouge    | None         | Public Charity    | General Support         | 30,000 00  |
| LSU Foundation                            | None         | Public Charity    | General Support         | 0 00       |
| Children's Health Fund                    | None         | Public Charity    | General Support         | 10,000 00  |
| Louisiana Arts & Science Museum           | None         | Public Charity    | General Support         | 10,000 00  |
| LSU Foundation                            | None         | Public Charity    | General Support         | 75,000.00  |
| Community Fund for the Arts               | None         | Public Charity    | General Support         | 75,000.00  |
| Louisiana Arts & Science Museum           | None         | Public Charity    | General Support         | 10,000 00  |
| Episcopal High School                     | None         | School            | General Support         | 15,000.00  |
| Childrens Hope                            | None         | Public Charity    | General Support         | 5,000.00   |
| Emeril Lagasse Foundation                 | None         | Public Charity    | General Support         | 4,000.00   |
| Baton Rouge Epicurean Society             | None         | Public Charity    | General Support         | 20,000 00  |
| Women's Sports Foundation                 | None         | Public Charity    | General Support         | 15,000.00  |

|                                           |      |                |                 |              |
|-------------------------------------------|------|----------------|-----------------|--------------|
| Baton Rouge City Police                   | None | Public Inst.   | General Support | 16,000.00    |
| Lake Ponchartrain Basin Foundation        | None | Public Charity | General Support | 2,500.00     |
| O'Brien House                             | None | Public Charity | General Support | 2,500.00     |
| Cenikor Foundation, Inc,                  | None | Public Charity | General Support | 2,500.00     |
| Most Blessed Sacrament Church             | None | Church         | General Support | 10,000 00    |
| Pointe Coupee Parish Multi Use Cnt.       | None | Public Charity | General Support | 15,000 00    |
| Brooke Settoon Foundation                 | None | Public Charity | General Support | 2,500.00     |
| Holiday Helpers, Inc of Baton Rouge       | None | Public Charity | General Support | 35,000.00    |
| Karnival Krewe de Louisiane               | None | Public Charity | General Support | 1,995 00     |
| University Lab School Foundation          | None | Public Charity | General Support | 1,000 00     |
| Tiger Athletic Foundation                 | None | Public Charity | General Support | 1,000,000.00 |
| East Baton Rouge Ph Sheriff's Office      | None | Public Inst.   | General Support | 322,000.00   |
| Baton Rouge Area Foundation               | None | Public Charity | General Support | 100,000.00   |
| LA Colition of African Am Breast Cancer   | None | Public Charity | General Support | 3,000 00     |
| Baton Rouge Symphony League               | None | Public Charity | General Support | 5,800 00     |
| 100 Black Men of Metropolitan Baton Rouge | None | Public Charity | General Support | 1,500 00     |
| Women's Sports Foundation                 | None | Public Charity | General Support | 0 00         |
| Women's Sports Foundation                 | None | Public Charity | General Support | 50,000 00    |
| Louisiana Sheriff's Association           | None | Public Inst    | General Support | 70,000 00    |
| Baton Rouge General Foundation            | None | Public Charity | General Support | 300,000 00   |
| Children's Health Fund                    | None | Public Charity | General Support | 250,000 00   |
| City Year                                 | None | Public Charity | General Support | 100,000 00   |
| City Year Louisiana                       | None | Public Charity | General Support | 100,000.00   |
| Ducks Unlimited                           | None | Public Charity | General Support | 100,000.00   |
| Health Care Centers in Schools            | None | Public Charity | General Support | 50,000 00    |
| LSU Rural Life Museum                     | None | Public Charity | General Support | 70,000.00    |
| St. Luke's Episcopal Day School           | None | School         | General Support | 125,000 00   |
| Slaughter Volunteer Fire Department       | None | Public Inst    | General Support | 75,000 00    |
| Slaughter Police Department               | None | Public Inst.   | General Support | 100,000 00   |
| East Feliciana Parish Sheriff's Office    | None | Public Inst.   | General Support | 250,000 00   |
| Mission Heart, Inc                        | None | Public Charity | General Support | 68,000 00    |
| Capital Area Human Services Distrct       | None | Public Charity | General Support | 24,946 00    |
| Clinton Police Department                 | None | Public Inst    | General Support | 36,000 00    |
| East Feliciana Economic Dev.Authority     | None | Public Inst    | General Support | 50,000 00    |
| East Feliciana Parish Police Jury         | None | Public Inst.   | General Support | 150,000.00   |
| Ethel Volunteer Fire Department           | None | Public Inst.   | General Support | 13,000 00    |
| First Baptist Church of St Francisville   | None | Church         | General Support | 90,000.00    |
| Jackson Middle School                     | None | School         | General Support | 19,400.00    |
| Louisiana War Veteran's Home              | None | Public Charity | General Support | 10,000.00    |
| National Kidney Foundation of LA          | None | Public Charity | General Support | 15,667.00    |
| Norwood Police Department                 | None | Public Inst.   | General Support | 20,000.00    |
| Norwood Volunteer Fire Department         | None | Public Inst.   | General Support | 12,130 00    |
| Our Courthouse, LLC                       | None | Public Charity | General Support | 90,000.00    |
| Quad Area Community Action Agency         | None | Public Charity | General Support | 10,000.00    |
| Silliman Institute                        | None | School         | General Support | 40,000.00    |
| Slaughter Community Charter School        | None | School         | General Support | 250,000.00   |
| Slaughter Elementary School               | None | School         | General Support | 25,000.00    |

|                                           |      |                |                 |                            |
|-------------------------------------------|------|----------------|-----------------|----------------------------|
| Southern Forest Heritage Museum           | None | Public Chanty  | General Support | 20,000.00                  |
| Teach for America, Inc.                   | None | Public Chanty  | General Support | 30,000.00                  |
| Town of Jackson Marshal's Office          | None | Public Inst.   | General Support | 38,000.00                  |
| Wilson Police Department                  | None | Public Inst.   | General Support | 10,000.00                  |
| Wilson Volunteer Fire Department          | None | Public Inst.   | General Support | 5,000.00                   |
| Young Life                                | None | Public Charity | General Support | 10,000.00                  |
| Ducks Unlimited                           | None | Public Charity | General Support | 350,000.00                 |
| Southern University System Foundation     | None | Public charity | General Support | 3,000.00                   |
| LSU Foundation                            | None | Public Charity | General Support | 75,000.00                  |
| Arts Council of Greater Baton Rouge       | None | Public Charity | General Support | 50,000.00                  |
| Boy Scouts of America                     | None | Public Charity | General Support | 5,000.00                   |
| Capital Area Family Violence Intervention | None | Public Charity | General Support | 10,000 00                  |
| LSU Foundation                            | None | Public Charity | General Support | 25,000.00                  |
| Mary Bird Perkins Cancer Center           | None | Public Charity | General Support | 25,000 00                  |
| Pennington Biomedical Research Foundation | None | Public Charity | General Support | 200,000.00                 |
| Pennington Biomedical Research Foundation | None | Public Charity | General Support | 10,000 00                  |
| St Vincent DePaul of Baton Rouge          | None | Public Charity | General Support | 22,182 00                  |
| St. Vincent DePaul of Baton Rouge         | None | Public Charity | General Support | 50,000.00                  |
| Womans Hospital Foundation                | None | Public Charity | General Support | 25,000 00                  |
| Elton John AIDS Foundation                | None | Public Charity | General Support | 293,050 00                 |
| Sub Total                                 |      |                |                 | <u>6,272,427 12</u>        |
| From Passthrough Entities                 |      |                |                 | <u>5,225.00</u>            |
| Total                                     |      |                |                 | <u><u>6,277,652.12</u></u> |

# Money Market Fund Detail (continued)

| Date                                              | Activity Type   | Description           | Amount      | Balance             |
|---------------------------------------------------|-----------------|-----------------------|-------------|---------------------|
| <b>Money Market Fund (continued)</b>              |                 |                       |             |                     |
| <b>PRIME MGMT OBLIGATIONS CAPITAL (continued)</b> |                 |                       |             |                     |
| 12/16/09                                          | Deposit         | MONEY FUND PURCHASE   | 826.54      | 187,971.52          |
| 12/22/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -113,193.59 | 74,777.93           |
| 12/24/09                                          | Deposit         | MONEY FUND PURCHASE   | 201.96      | 74,979.89           |
| 12/28/09                                          | Deposit         | MONEY FUND PURCHASE   | 13,906.78   | 88,886.67           |
| 12/30/09                                          | Deposit         | MONEY FUND PURCHASE   | 47,018.90   | 135,905.57          |
| 12/31/09                                          | Deposit         | INCOME REINVEST       | 15.90       | 135,921.47          |
| 12/31/09                                          | Closing Balance |                       |             | <b>\$135,921.47</b> |
| <b>Total All Money Market Funds</b>               |                 |                       |             | <b>\$135,921.47</b> |

## Schedule of Realized Gains and Losses

| Disposition Date        | Acquisition Date | Closing Transaction | Description                         | Security Identifier | Quantity  | Cost Basis          | Proceeds            | Realized Gain/Loss |
|-------------------------|------------------|---------------------|-------------------------------------|---------------------|-----------|---------------------|---------------------|--------------------|
| <b>Short Term</b>       |                  |                     |                                     |                     |           |                     |                     |                    |
| 03/06/09                | 04/10/08         | SELL                | ANGLOGOLD ASHANTI LTD SPONSORED ADR | AU                  | 571.000   | 19,298.66           | 18,033.21           | -1,265.45          |
| 06/29/09                | 09/18/08         | SELL                | UNITED STS STL CORP NEW COM         | X                   | 598.000   | 54,238.60           | 22,436.38           | -31,802.22         |
| 08/31/09                | 12/11/08         | SELL                | AGILENT TECHNOLOGIES INC COM        | A                   | 1,932.000 | 34,756.68           | 49,477.24           | 14,720.56          |
| 10/09/09                | 12/11/08         | SELL                | AGILENT TECHNOLOGIES INC COM        | A                   | 146.000   | 2,626.54            | 4,007.60            | 1,381.06           |
| 10/09/09                | 12/18/08         | SELL                | AGILENT TECHNOLOGIES INC COM        | A                   | 2,568.000 | 41,363.77           | 70,489.78           | 29,126.01          |
| 12/21/09                | 08/26/09         | SELL                | COMCAST CORP NEW CL A SPL           | CMCSK               | 1,265.000 | 18,342.50           | 20,985.81           | 2,643.31           |
| <b>Total Short Term</b> |                  |                     |                                     |                     |           | <b>\$170,626.75</b> | <b>\$185,430.02</b> | <b>\$14,803.27</b> |
| <b>Long Term</b>        |                  |                     |                                     |                     |           |                     |                     |                    |
| 01/30/09                | 03/26/04         | SELL                | ALTRIA GROUP INC COM                | MO                  | 2,008.000 | 24,966.99           | 33,914.92           | 8,947.93           |
| 01/30/09                | 06/19/06         | SELL                | ALTRIA GROUP INC COM                | MO                  | 533.000   | 8,842.47            | 9,002.32            | 159.85             |
| 03/26/09                | 10/01/07         | SELL                | LORILLARD INC COM                   | LO                  | 253.000   | 17,674.62           | 16,297.65           | -1,376.97          |
| 04/16/09                | 02/28/08         | SELL                | ILLINOIS TOOL WORKS INC COM         | ITW                 | 1,361.000 | 67,556.89           | 45,238.47           | -22,318.42         |
| 06/02/09                | 04/10/08         | SELL                | ANGLOGOLD ASHANTI LTD SPONSORED ADR | AU                  | 486.000   | 16,425.83           | 20,659.88           | 4,234.05           |
| 06/29/09                | 09/25/06         | SELL                | UNITED STS STL CORP NEW COM         | X                   | 447.000   | 24,356.99           | 16,771.01           | -7,585.98          |
| 07/06/09                | 10/01/07         | SELL                | LORILLARD INC COM                   | LO                  | 872.000   | 60,918.08           | 60,917.96           | -0.12              |

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Account Number: 19C-001880  
IRENE W. & C.B. PENNINGTON

PAR-02-RQ1

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
Member FINRA NYSE SIF

**Pershing** AKA AFFILIATE OF THE BANK  
 Securities Subsidiary OF NEW YORK MELLON  
 One Pershing Place, Jersey City, NJ 07309  
 Pershing Advisory Services LLC member FINRA, SIPC  
 (877) 876-7230



## 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

### Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Trading Transaction | Description                          | Security Identifier | Quantity  | Cost Basis          | Proceeds            | Realized Gain/Loss |
|------------------------------|------------------|---------------------|--------------------------------------|---------------------|-----------|---------------------|---------------------|--------------------|
| <b>Long Term (continued)</b> |                  |                     |                                      |                     |           |                     |                     |                    |
| 08/26/09                     | 03/26/04         | SELL                | WELLS FARGO & CO NEW COM             | WFC                 | 1,196,000 | 34,187.66           | 32,903.50           | -1,284.16          |
| 08/31/09                     | 04/24/03         | SELL                | JP MORGAN CHASE & CO COM             | JPM                 | 474,000   | 13,524.51           | 20,588.13           | 6,963.62           |
| 08/31/09                     | 11/05/03         | SELL                | JP MORGAN CHASE & CO COM             | JPM                 | 354,000   | 129,183.35          | 153,753.95          | 24,570.60          |
| 09/15/09                     | 04/10/08         | SELL                | ANGLO GOLD ASHANTI LTD SPONSORED ADR | AU                  | 340,000   | 11,491.32           | 13,646.82           | 2,155.50           |
| 09/15/09                     | 03/26/04         | SELL                | KRAFT FOODS INC CL A                 | KFT                 | 1,296,151 | 23,901.02           | 33,828.67           | 9,927.65           |
| 09/15/09                     | 06/19/06         | SELL                | KRAFT FOODS INC CL A                 | KFT                 | 368,849   | 9,075.12            | 9,626.71            | 551.59             |
| 10/05/09                     | 01/26/06         | SELL                | COMCAST CORP NEW CL A SPL            | CMCSK               | 1,638,000 | 30,084.52           | 23,897.80           | -6,186.72          |
| 10/05/09                     | 11/26/07         | SELL                | COMCAST CORP NEW CL A SPL            | CMCSK               | 1,528,000 | 29,261.20           | 22,292.95           | -6,968.25          |
| 10/26/09                     | 02/02/05         | SELL                | MICROSOFT CORP COM                   | MSFT                | 2,083,000 | 58,925.20           | 60,392.76           | 1,467.56           |
| 11/24/09                     | 11/12/08         | SELL                | EOG RES INC COM                      | EOG                 | 720,000   | 54,948.36           | 63,358.37           | 8,410.01           |
| 12/16/09                     | 02/02/05         | SELL                | MICROSOFT CORP COM                   | MSFT                | 201,000   | 5,297.49            | 6,070.04            | 772.55             |
| 12/16/09                     | 06/27/05         | SELL                | MICROSOFT CORP COM                   | MSFT                | 1,066,000 | 26,848.40           | 32,192.37           | 5,343.97           |
| 12/21/09                     | 11/26/07         | SELL                | COMCAST CORP NEW CL A SPL            | CMCSK               | 592,000   | 11,336.80           | 9,821.02            | -1,515.78          |
| 12/23/09                     | 02/03/05         | SELL                | NOBLE ENERGY INC COM                 | NBL                 | 425,000   | 12,630.77           | 30,838.01           | 18,207.24          |
| 12/23/09                     | 06/06/05         | SELL                | NOBLE ENERGY INC COM                 | NBL                 | 223,000   | 8,306.59            | 16,180.89           | 7,874.30           |
| <b>Total Long Term</b>       |                  |                     |                                      |                     |           | <b>\$559,579.18</b> | <b>\$594,816.20</b> | <b>\$35,237.02</b> |

80005077CSF960AP



BNA RATED FOR COMMUNICATION  
 Account Number: 19C-001880  
 IRENE W & C.B. PENNINGTON

PAB-10-R711

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
 Member FINRA NYSE SIPC

# Schedule of Realized Gains and Losses (continued)

| Disposition Date                      | Acquisition Date | Clearing Transaction | Description | Security Identifier | Quantity | Cost Basis   | Proceeds     | Realized Gain/Loss |
|---------------------------------------|------------------|----------------------|-------------|---------------------|----------|--------------|--------------|--------------------|
| <b>Total Short Term and Long Term</b> |                  |                      |             |                     |          |              |              |                    |
|                                       |                  |                      |             |                     |          | \$730,205.93 | \$780,246.22 | \$50,040.29        |

The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes; for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable.

When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.



Report Period: 01/01/2009 - 12/31/2009

**Money Market Fund Detail (continued)**

| Date                                              | Activity Type   | Description           | Amount     | Balance            |
|---------------------------------------------------|-----------------|-----------------------|------------|--------------------|
| <b>Money Market Fund (continued)</b>              |                 |                       |            |                    |
| <b>PRIME MGMT OBLIGATIONS CAPITAL (continued)</b> |                 |                       |            |                    |
| 11/25/09                                          | Deposit         | MONEY FUND PURCHASE   | -89.70     | -128,015.64        |
| 11/30/09                                          | Deposit         | INCOME REINVEST       | 19.94      | -128,035.58        |
| 11/30/09                                          | Deposit         | MONEY FUND PURCHASE   | -15,922.73 | -143,958.31        |
| 11/30/09                                          | Deposit         | MONEY FUND PURCHASE   | -750.50    | -144,708.81        |
| 12/07/09                                          | Deposit         | MONEY FUND PURCHASE   | 21,393.57  | -166,202.38        |
| 12/10/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -13,083.63 | -153,118.75        |
| 12/14/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -23,342.42 | -129,776.33        |
| 12/15/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -23,351.55 | -106,424.78        |
| 12/16/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -18,778.82 | -87,645.96         |
| 12/21/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -13,200.92 | -74,435.04         |
| 12/23/09                                          | Deposit         | MONEY FUND PURCHASE   | 6,558.50   | -80,993.54         |
| 12/30/09                                          | Deposit         | MONEY FUND PURCHASE   | -808.00    | -81,801.54         |
| 12/31/09                                          | Deposit         | MONEY FUND PURCHASE   | 305.55     | -82,107.09         |
| 12/31/09                                          | Deposit         | INCOME REINVEST       | 10.00      | -82,117.09         |
| 12/31/09                                          | Closing Balance |                       |            | <b>\$82,117.09</b> |
| <b>Total All Money Market Funds</b>               |                 |                       |            | <b>\$82,117.09</b> |

**Schedule of Realized Gains and Losses**

| Disposition Date | Acquisition Date | Transaction | Description                            | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------|------------------|-------------|----------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| 01/01/09         | 09/26/08         | CLEU        | FIRST HORIZON NATL CORP COM            | FIN                 | 0.813     | 8.15       | 9.10      | 0.95               |
| 01/02/09         | 03/05/08         | GLEU        | UNITED COMMUNITY BKS INC BSAUSVILLE CA | UCBI                | 0.443     | 6.20       | 6.04      | -0.16              |
| 01/29/09         | 11/10/08         | SELL        | PEROT SYS CORP CL A C/A EFF 11/3/09    | 714265105           | 1,315,000 | 15,055.94  | 17,924.16 | 2,868.22           |
| 02/06/09         | 04/15/08         | SELL        | RAYMOND JAMES FINL INC COM             | RJF                 | 105,000   | 2,385.60   | 2,240.05  | -145.55            |
| 02/06/09         | 05/09/08         | SELL        | RAYMOND JAMES FINL INC COM             | RJF                 | 380,000   | 25,520.00  | 18,773.78 | -6,746.22          |
| 02/06/09         | 06/26/08         | SELL        | RAYMOND JAMES FINL INC COM             | RJF                 | 385,000   | 10,842.33  | 8,213.53  | -2,628.80          |

# Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Disposing Transaction | Description                       | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------------------|------------------|-----------------------|-----------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Short Term (continued)</b> |                  |                       |                                   |                     |           |            |           |                    |
| 02/12/09                      | 07/03/08         | SELL                  | HEARTLAND EXPRESS INC             | HTLD                | 2,015,000 | 28,993.84  | 26,539.56 | -2,454.28          |
| 02/17/09                      | 05/07/08         | SELL                  | COMMUNITY BANCORP COM             | CBON                | 1,850,000 | 18,642.27  | 3,052.48  | -15,589.79         |
| 03/02/09                      | 09/29/08         | SELL                  | BROADRIDGE FINL SOLUTIONS INC COM | BR                  | 2,325,000 | 36,387.56  | 35,279.96 | -1,107.60          |
| 03/11/09                      | 06/26/08         | SELL                  | RAYMOND JAMES FINL INC COM        | RIF                 | 880,000   | 24,782.47  | 13,569.70 | -11,212.77         |
| 03/11/09                      | 06/27/08         | SELL                  | RAYMOND JAMES FINL INC COM        | RIF                 | 1,160,000 | 31,415.49  | 17,887.33 | -13,528.16         |
| 03/11/09                      | 07/03/08         | SELL                  | RAYMOND JAMES FINL INC COM        | RIF                 | 700,000   | 18,053.00  | 10,794.08 | -7,258.92          |
| 03/11/09                      | 09/29/08         | SELL                  | BROADRIDGE FINL SOLUTIONS INC COM | BR                  | 104,000   | 1,627.66   | 1,871.98  | 244.32             |
| 03/18/09                      | 09/29/08         | SELL                  | BROADRIDGE FINL SOLUTIONS INC COM | BR                  | 1,960,000 | 30,675.10  | 35,300.61 | 4,625.51           |
| 03/19/09                      | 09/29/08         | SELL                  | BROADRIDGE FINL SOLUTIONS INC COM | BR                  | 860,000   | 13,459.48  | 15,591.71 | 2,132.23           |
| 03/23/09                      | 07/23/08         | SELL                  | SONIC SOLUTIONS COM               | SNIC                | 3,905,000 | 22,999.28  | 3,727.09  | -19,272.19         |
| 04/01/09                      | 09/26/08         | CLEU                  | FIRST HORIZON NATL CORP COM       | FHN                 | 0.289     | 2.83       | 3.19      | 0.36               |
| 04/03/09                      | 07/09/08         | SELL                  | INTL FLAVORS & FRAGRANCES INC     | IFF                 | 1,365,000 | 53,658.18  | 43,990.92 | -9,667.26          |
| 04/03/09                      | 07/31/08         | SELL                  | INTL FLAVORS & FRAGRANCES INC     | IFF                 | 340,000   | 13,881.29  | 10,957.45 | -2,923.84          |
| 04/17/09                      | 04/02/09         | SELL                  | DARLING INTL INC                  | DAR                 | 2,745,000 | 11,490.79  | 16,587.22 | 5,096.43           |
| 04/23/09                      | 09/29/08         | SELL                  | BROADRIDGE FINL SOLUTIONS INC COM | BR                  | 850,000   | 13,302.98  | 16,139.08 | 2,836.10           |
| 04/23/09                      | 06/26/08         | SELL                  | BROWN & BROWN INC                 | BRO                 | 830,000   | 15,758.55  | 15,288.20 | -470.35            |
| 04/23/09                      | 04/02/09         | SELL                  | DARLING INTL INC                  | DAR                 | 805,000   | 3,369.80   | 4,709.53  | 1,339.73           |
| 04/23/09                      | 09/24/08         | SELL                  | DIAMONDROCK HOSPITALITY CO COM    | DRH                 | 2,395,000 | 20,603.71  | 15,040.21 | -5,563.50          |
| 04/23/09                      | 09/26/08         | SELL                  | FIRST HORIZON NATL CORP COM       | FHN                 | 610,000   | 5,963.10   | 6,954.04  | 990.94             |
| 04/23/09                      | 07/28/08         | SELL                  | HCC INS HLDGS INC COM             | HCC                 | 320,000   | 7,001.71   | 7,779.64  | 777.93             |
| 04/23/09                      | 09/26/08         | SELL                  | HARSCO CORP                       | HSC                 | 315,000   | 12,347.72  | 8,165.22  | -4,182.50          |
| 04/23/09                      | 04/16/09         | SELL                  | MFA FINL INC COM                  | MFA                 | 1,255,000 | 7,389.31   | 7,115.66  | -273.65            |
| 04/23/09                      | 07/03/08         | SELL                  | RAYMOND JAMES FINL INC COM        | RIF                 | 610,000   | 15,731.90  | 9,369.36  | -6,362.54          |
| 04/23/09                      | 07/15/08         | SELL                  | RAYMOND JAMES FINL INC COM        | RIF                 | 95,000    | 2,230.92   | 1,459.16  | -771.76            |

# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

## Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Closing Transaction | Description                                      | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------------------|------------------|---------------------|--------------------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Short Term (continued)</b> |                  |                     |                                                  |                     |           |            |           |                    |
| 04/23/09                      | 07/03/08         | SELL                | SYNOVUS FINL CORP COM                            | SNV                 | 1,080,000 | 9,382.39   | 3,500.07  | -5,882.32          |
| 04/23/09                      | 02/20/09         | SELL                | WILEY JOHN & SONS INC CLASS A                    | JW A                | 220,000   | 6,789.30   | 7,278.99  | 489.69             |
| 04/23/09                      | 05/14/08         | SELL                | WILMINGTON TRUST CORP                            | WLT                 | 405,000   | 13,749.34  | 4,220.40  | -9,528.94          |
| 04/27/09                      | 09/24/08         | SELL                | DIAMONDROCK HOSPITALITY CO COM                   | DRH                 | 4,460,000 | 38,368.49  | 26,788.71 | -11,579.78         |
| 04/30/09                      | 04/03/09         | SELL                | ANWORTH MTG ASSET CORP COM                       | ANH                 | 6,865,000 | 43,061.87  | 44,460.45 | 1,398.58           |
| 05/01/09                      | 02/20/09         | SELL                | WILEY JOHN & SONS INC CLASS A                    | JW A                | 455,000   | 14,041.51  | 15,338.51 | 1,297.00           |
| 06/11/09                      | 04/02/09         | SELL                | DARLING INTL INC                                 | DAR                 | 4,125,000 | 17,267.58  | 34,108.64 | 16,841.06          |
| 06/17/09                      | 07/15/08         | SELL                | RAYMOND JAMES FINL INC COM                       | RJF                 | 550,000   | 12,915.87  | 9,118.05  | -3,797.82          |
| 06/17/09                      | 10/10/08         | SELL                | RAYMOND JAMES FINL INC COM                       | RJF                 | 75,000    | 1,533.76   | 1,243.37  | -290.39            |
| 06/18/09                      | 07/02/08         | SELL                | CONWAY INC COM                                   | CNW                 | 265,000   | 11,876.20  | 9,029.50  | -2,846.70          |
| 06/18/09                      | 05/21/09         | SELL                | PREMIERE GLOBAL SVCS INC COM                     | PCI                 | 2,780,000 | 26,029.15  | 31,407.60 | 5,378.45           |
| 06/24/09                      | 07/02/08         | SELL                | CONWAY INC COM                                   | CNW                 | 135,000   | 6,946.46   | 5,263.73  | -1,682.73          |
| 06/24/09                      | 07/03/08         | SELL                | CONWAY INC COM                                   | CNW                 | 700,000   | 30,767.94  | 23,771.66 | -6,996.28          |
| 06/30/09                      | 11/11/08         | ZMEC                | COX RADIO INC CL A                               | 224051102           | 3,635,000 | 18,138.62  | 17,448.00 | -690.62            |
| 07/01/09                      | 09/26/08         | GLEU                | CASH MGR EFF 5/29/09 FIRST HORIZON NATL CORP COM | FHN                 | 0.682     | 6.56       | 8.04      | 1.48               |
| 07/14/09                      | 10/14/08         | SELL                | INTERNATIONAL SPEEDWAY CORP CL A                 | ISCA                | 670,000   | 19,042.84  | 16,463.17 | -2,579.67          |
| 07/27/09                      | 09/30/08         | SELL                | CONWAY INC COM                                   | CNW                 | 750,000   | 32,999.90  | 32,267.95 | -731.95            |
| 07/27/09                      | 07/12/08         | SELL                | CONWAY INC COM                                   | CNW                 | 685,000   | 14,582.28  | 29,311.40 | 14,889.12          |



# Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Closing Transaction | Description                             | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------------------|------------------|---------------------|-----------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Short Term (continued)</b> |                  |                     |                                         |                     |           |            |           |                    |
| 07/31/09                      | 10/20/08         | SELL                | NOVATEL WIRELESS INC COM NEW            | NVTL                | 6,860,000 | 30,893.45  | 69,025.90 | 38,132.45          |
| 08/03/09                      | 09/26/08         | SELL                | HARSCO CORP                             | HSC                 | 710,000   | 27,831.38  | 19,919.84 | -7,911.54          |
| 08/03/09                      | 10/07/08         | SELL                | HARSCO CORP                             | HSC                 | 1,110,000 | 32,845.12  | 31,142.28 | -1,702.84          |
| 08/03/09                      | 10/16/08         | SELL                | HARSCO CORP                             | HSC                 | 70,000    | 1,515.54   | 1,963.92  | 448.38             |
| 08/17/09                      | 09/29/08         | SELL                | BROADRIDGE FINL SOLUTIONS INC COM       | BR                  | 1,731,000 | 27,091.12  | 35,137.35 | 8,046.23           |
| 08/17/09                      | 09/30/08         | SELL                | BROADRIDGE FINL SOLUTIONS INC COM       | BR                  | 349,000   | 5,244.42   | 7,084.31  | 1,839.89           |
| 08/17/09                      | 11/07/08         | SELL                | SYNOVUS FINL CORP COM                   | SNV                 | 4,470,000 | 37,927.06  | 17,558.36 | -20,368.70         |
| 08/17/09                      | 11/12/08         | SELL                | SYNOVUS FINL CORP COM                   | SNV                 | 1,515,000 | 11,508.70  | 5,950.99  | -5,557.71          |
| 08/17/09                      | 01/28/09         | SELL                | SYNOVUS FINL CORP COM                   | SNV                 | 2,575,000 | 12,797.24  | 10,114.72 | -2,682.52          |
| 08/17/09                      | 01/30/09         | SELL                | SYNOVUS FINL CORP COM                   | SNV                 | 440,000   | 2,090.00   | 1,728.33  | -361.67            |
| 08/31/09                      | 03/09/09         | SELL                | MARVEL ENTMT INC COM CASH AND STOCK MGR | 57383T103           | 755,000   | 17,836.31  | 36,880.80 | 19,044.49          |
| 09/18/09                      | 09/08/09         | SELL                | THQ INC COM NEW                         | THQI                | 7,300,000 | 41,195.36  | 48,182.32 | 6,986.96           |
| 09/21/09                      | 11/10/08         | SELL                | PEROT SYS CORP                          | 714265105           | 3,175,000 | 36,351.78  | 93,850.58 | 57,498.80          |
| 09/24/09                      | 02/25/09         | SELL                | CL A C/A EFF 11/3/09 ASSURANT INC COM   | AIZ                 | 1,640,000 | 35,077.96  | 50,715.76 | 15,637.80          |
| 09/24/09                      | 03/10/09         | SELL                | ISIN#US04621X1081 ASSURANT INC COM      | AIZ                 | 995,000   | 18,706.00  | 30,769.63 | 12,063.63          |
| 10/16/09                      | 06/24/09         | SELL                | ISIN#US04621X1081 AMEDISYS INC COM      | AMED                | 1,101,000 | 33,963.68  | 45,792.93 | 11,829.25          |
| 10/19/09                      | 06/24/09         | SELL                | AMEDISYS INC COM                        | AMED                | 264,000   | 8,143.88   | 10,840.06 | 2,696.18           |
| 10/19/09                      | 07/28/09         | SELL                | AMEDISYS INC COM                        | AMED                | 1,040,000 | 41,353.86  | 42,703.29 | 1,349.43           |
| 10/26/09                      | 05/15/09         | SELL                | SCHOLASTIC CORP                         | SCHL                | 1,050,000 | 19,907.23  | 27,355.50 | 7,448.27           |
| 10/26/09                      | 09/15/09         | SELL                | VALASSIS COMMUNICATIONS INC             | VCI                 | 1,420,000 | 23,392.08  | 27,172.74 | 3,780.66           |
| 10/26/09                      | 11/11/08         | SELL                | MPS GROUP INC COM                       | MPS                 | 455,000   | 3,023.05   | 6,165.95  | 3,142.90           |
| 10/30/09                      | 11/11/08         | SELL                | MPS GROUP INC COM                       | MPS                 | 795,000   | 5,282.02   | 10,765.18 | 5,483.16           |
| 10/30/09                      | 03/06/09         | SELL                | MPS GROUP INC COM                       | MPS                 | 1,135,000 | 4,816.23   | 15,369.16 | 10,552.93          |
| 11/02/09                      | 03/06/09         | SELL                | MPS GROUP INC COM                       | MPS                 | 3,755,000 | 15,933.85  | 50,884.27 | 34,950.42          |
| 11/11/09                      | 08/19/09         | SELL                | CRACKER BARREL OLD CTRY STORE INC COM   | CBRL                | 360,000   | 9,902.56   | 12,062.86 | 2,160.30           |
| 11/24/09                      | 06/09/09         | SELL                | FRESH DELMONTE PRODUCE                  | FDP                 | 655,000   | 11,554.48  | 14,697.91 | 3,143.43           |

# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

## Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Disposing Transaction | Description                                | Security Identifier | Quantity  | Cost Basis            | Proceeds              | Realized Gain/Loss  |
|-------------------------------|------------------|-----------------------|--------------------------------------------|---------------------|-----------|-----------------------|-----------------------|---------------------|
| <b>Short Term (continued)</b> |                  |                       |                                            |                     |           |                       |                       |                     |
| 11/24/09                      | 09/04/09         | SELL                  | EAST WEST BANCORP INC COM                  | EWBC                | 1,000,000 | 8,610.12              | 14,359.63             | 5,749.51            |
| 12/15/09                      | 02/20/09         | SELL                  | WILEY JOHN & SONS INC CLASS A              | JWA                 | 565,000   | 17,436.17             | 24,407.92             | 6,971.75            |
| 12/16/09                      | 03/09/09         | SELL                  | WILEY JOHN & SONS INC CLASS A              | JWA                 | 350,000   | 9,780.82              | 15,119.95             | 5,339.13            |
| 12/17/09                      | 06/17/09         | SELL                  | ZENITH NATIONAL INS CORP                   | ZNT                 | 1,147,000 | 24,937.34             | 34,762.83             | 9,825.49            |
| 12/30/09                      | 12/16/09         | SELL                  | CITY NATL CORP                             | CYN                 | 415,000   | 16,897.64             | 19,068.75             | 2,171.11            |
| 12/30/09                      | 09/04/09         | SELL                  | EAST WEST BANCORP INC COM                  | EWBC                | 555,000   | 4,778.62              | 8,878.98              | 4,100.36            |
| <b>Total Short Term</b>       |                  |                       |                                            |                     |           | <b>\$1,379,712.29</b> | <b>\$1,525,961.28</b> | <b>\$146,248.99</b> |
| <b>Long Term</b>              |                  |                       |                                            |                     |           |                       |                       |                     |
| 01/06/09                      | 03/16/07         | SELL                  | PANTRY INC                                 | PTRY                | 400,000   | 17,076.00             | 8,450.83              | -8,625.17           |
| 01/06/09                      | 07/19/07         | SELL                  | PANTRY INC                                 | PTRY                | 1,695,000 | 64,956.30             | 35,810.37             | -29,145.93          |
| 01/13/09                      | 11/15/06         | SELL                  | PIKE ELEC CORP COM                         | PIKE                | 1,105,000 | 16,997.77             | 13,139.70             | -3,858.07           |
| 01/16/09                      | 11/15/06         | SELL                  | PIKE ELEC CORP COM                         | PIKE                | 1,910,000 | 29,380.77             | 22,878.23             | -6,502.54           |
| 01/29/09                      | 03/17/06         | SELL                  | PEROT SYS CORP                             | 714265105           | 460,000   | 6,977.45              | 6,270.05              | -707.40             |
| 01/29/09                      | 05/19/06         | SELL                  | CL A C/A EFF 11/3/09 PEROT SYS CORP        | 714265105           | 1,860,000 | 26,010.10             | 25,352.81             | -657.29             |
| 02/12/09                      | 01/30/07         | SELL                  | CL A C/A EFF 11/3/09 HEARTLAND EXPRESS INC | HTLD                | 1,865,000 | 30,700.70             | 24,563.91             | -6,136.79           |
| 02/17/09                      | 10/17/07         | SELL                  | COMMUNITY BANCORP COM                      | CBON                | 2,975,000 | 69,353.12             | 4,908.72              | -64,444.40          |
| 02/17/09                      | 11/14/07         | SELL                  | COMMUNITY BANCORP COM                      | CBON                | 1,430,000 | 29,302.89             | 2,359.49              | -26,943.40          |
| 02/17/09                      | 02/14/08         | SELL                  | COMMUNITY BANCORP COM                      | CBON                | 1,050,000 | 15,578.07             | 1,732.49              | -13,845.58          |
| 03/09/09                      | 11/29/06         | SELL                  | CRACKER BARREL OLD CTRY STORE INC COM      | CBRL                | 635,000   | 27,197.05             | 14,322.36             | -12,874.69          |
| 03/09/09                      | 12/14/07         | SELL                  | CRACKER BARREL OLD CTRY STORE INC COM      | CBRL                | 265,000   | 8,965.53              | 5,977.05              | -2,988.48           |
| 03/11/09                      | 12/14/07         | SELL                  | CRACKER BARREL OLD CTRY STORE INC COM      | CBRL                | 580,000   | 19,622.66             | 14,090.14             | -5,532.52           |

# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Clearing Transaction | Description                             | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|----------------------|-----------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |                      |                                         |                     |           |            |           |                    |
| 03/11/09                     | 01/15/08         | SELL                 | CRACKER BARREL OLD CTRY STORE INC COM   | CBRL                | 255.000   | 6,303.91   | 6,194.81  | -109.10            |
| 03/18/09                     | 01/15/08         | SELL                 | CRACKER BARREL OLD CTRY STORE INC COM   | CBRL                | 700.000   | 17,304.84  | 19,735.91 | 2,431.07           |
| 03/19/09                     | 01/15/08         | SELL                 | CRACKER BARREL OLD CTRY STORE INC COM   | CBRL                | 680.000   | 16,810.42  | 18,958.70 | 2,148.28           |
| 03/20/09                     | 12/11/06         | SELL                 | CONWAY INC COM                          | CNW                 | 770.000   | 33,699.10  | 13,636.42 | -20,062.68         |
| 03/20/09                     | 04/13/07         | SELL                 | FREDS INC CL A                          | FRED                | 2,390.000 | 34,478.53  | 27,977.02 | -6,501.51          |
| 03/23/09                     | 05/19/06         | SELL                 | COINSTAR INC COM                        | CSTR                | 1,140.000 | 27,211.80  | 33,949.28 | 6,737.48           |
| 03/23/09                     | 05/15/07         | SELL                 | COINSTAR INC COM                        | CSTR                | 155.000   | 4,814.09   | 4,615.91  | -198.18            |
| 03/23/09                     | 11/17/06         | SELL                 | SONIC SOLUTIONS COM                     | SNIC                | 4,205.000 | 62,917.81  | 4,013.43  | -58,904.38         |
| 03/23/09                     | 01/23/07         | SELL                 | SONIC SOLUTIONS COM                     | SNIC                | 1,855.000 | 32,735.74  | 1,770.49  | -30,965.25         |
| 03/23/09                     | 02/06/07         | SELL                 | SONIC SOLUTIONS COM                     | SNIC                | 645.000   | 10,803.75  | 615.62    | -10,188.13         |
| 03/31/09                     | 04/11/06         | SELL                 | DYCOM INDS INC COM                      | DY                  | 1,400.000 | 30,149.35  | 7,650.88  | -22,498.47         |
| 03/31/09                     | 01/24/08         | SELL                 | DYCOM INDS INC COM                      | DY                  | 965.000   | 22,937.45  | 5,273.64  | -17,663.81         |
| 03/31/09                     | 10/03/05         | SELL                 | MPS GROUP INC COM                       | MPS                 | 195.000   | 2,304.90   | 1,160.22  | -1,144.68          |
| 03/31/09                     | 05/11/06         | SELL                 | MPS GROUP INC COM                       | MPS                 | 1,780.000 | 28,070.60  | 10,590.68 | -17,479.92         |
| 04/01/09                     | 03/05/08         | CLEU                 | UNITED COMMUNITY BKS INC BLAIRSVILLE GA | UCBI                | 0.974     | 13.52      | 4.14      | -9.38              |
| 04/17/09                     | 09/28/07         | SELL                 | IBERIABANK CORP COM                     | IBKC                | 880.000   | 46,824.19  | 44,810.54 | -2,013.65          |
| 04/23/09                     | 09/19/07         | SELL                 | BANK HAWAII CORP COM                    | BOH                 | 220.000   | 11,972.44  | 7,587.85  | -4,384.59          |
| 04/23/09                     | 11/17/06         | SELL                 | BRIGGS & STRATTON CORP COM              | BGG                 | 485.000   | 12,548.38  | 7,144.83  | -5,403.55          |
| 04/23/09                     | 05/15/07         | SELL                 | COINSTAR INC COM                        | CSTR                | 630.000   | 19,566.95  | 18,944.87 | -622.08            |
| 04/23/09                     | 09/29/06         | SELL                 | COMSTOCK RES INC NEW                    | CRK                 | 230.000   | 6,209.27   | 7,505.17  | 1,295.90           |
| 04/23/09                     | 02/08/07         | SELL                 | COMSTOCK RES INC NEW                    | CRK                 | 90.000    | 2,672.88   | 2,936.80  | 263.92             |
| 04/23/09                     | 12/11/06         | SELL                 | CONWAY INC COM                          | CNW                 | 220.000   | 9,628.32   | 4,877.71  | -4,750.61          |
| 04/23/09                     | 01/31/07         | SELL                 | CONWAY INC COM                          | CNW                 | 310.000   | 15,345.00  | 6,873.14  | -8,471.86          |
| 04/23/09                     | 04/27/06         | SELL                 | COX RADIO INC CL A CASH MGR EFF 5/29/09 | 224051102           | 1,720.000 | 21,689.20  | 7,516.20  | -14,173.00         |
| 04/23/09                     | 10/03/05         | SELL                 | CRAWFORD & COMPANY CLASS A              | CRD A               | 1,615.000 | 12,423.93  | 7,106.46  | -5,317.47          |

# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

## Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                                     | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|-----------------------|-------------------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |                       |                                                 |                     |           |            |           |                    |
| 04/23/09                     | 01/24/08         | SELL                  | DYCOM INDS INC COM                              | DY                  | 1,115,000 | 26,502.85  | 8,062.87  | -18,439.98         |
| 04/23/09                     | 09/30/05         | SELL                  | ELECTRO RENT CORP                               | ELRC                | 915,000   | 11,524.94  | 8,666.52  | -2,858.42          |
| 04/23/09                     | 09/28/07         | SELL                  | IBERIABANK CORP COM                             | IBKC                | 125,000   | 6,651.16   | 5,918.84  | -732.32            |
| 04/23/09                     | 02/14/08         | SELL                  | INTERNATIONAL SPEEDWAY CORP CL A                | ISCA                | 220,000   | 9,162.01   | 4,901.91  | -4,260.10          |
| 04/23/09                     | 02/26/07         | SELL                  | K SWISS INC CL A                                | KSW5                | 1,000,000 | 29,000.00  | 9,477.35  | -19,522.65         |
| 04/23/09                     | 03/26/08         | SELL                  | KENAMETAL INC CAP STK                           | KMT                 | 540,000   | 16,302.57  | 11,231.71 | -5,070.86          |
| 04/23/09                     | 01/25/07         | SELL                  | LO JACK CORP                                    | LOJN                | 1,125,000 | 19,784.03  | 5,103.46  | -14,680.57         |
| 04/23/09                     | 05/11/06         | SELL                  | MPS GROUP INC COM                               | MPS                 | 1,015,000 | 16,006.55  | 7,967.54  | -8,039.01          |
| 04/23/09                     | 08/07/07         | SELL                  | MARVEL ENTMT INC COM                            | 57383T103           | 310,000   | 6,999.56   | 8,674.19  | 1,674.63           |
| 04/23/09                     | 12/19/07         | SELL                  | CASH AND STOCK MGR NOVATEL WIRELESS INC COM NEW | NVTL                | 1,115,000 | 18,106.38  | 7,626.40  | -10,479.98         |
| 04/23/09                     | 07/28/06         | SELL                  | ON ASSIGNMENT INC COM                           | ASGN                | 1,525,000 | 13,053.70  | 4,700.27  | -8,353.43          |
| 04/23/09                     | 12/14/06         | SELL                  | ON SEMICONDUCTOR CORP                           | ONNN                | 1,475,000 | 13,333.92  | 7,050.31  | -6,283.61          |
| 04/23/09                     | 10/03/05         | SELL                  | RPM INTL INC                                    | RPM                 | 1,100,000 | 20,305.35  | 15,267.60 | -5,037.75          |
| 04/23/09                     | 10/03/05         | SELL                  | RICHARDSON ELECTRS                              | RELL                | 1,225,000 | 9,236.50   | 4,386.85  | -4,849.65          |
| 04/23/09                     | 02/14/08         | SELL                  | SENSIENT TECHNOLOGIES CORP                      | SXT                 | 385,000   | 10,733.81  | 8,722.59  | -2,011.22          |
| 04/23/09                     | 10/03/05         | SELL                  | TIDEWATER INC                                   | TDW                 | 400,000   | 19,644.89  | 17,004.36 | -2,640.53          |
| 04/23/09                     | 03/05/08         | SELL                  | UNITED COMMUNITY BKS INC BLAIRSVILLE GA         | UCBI                | 1,200,000 | 16,657.04  | 7,092.61  | -9,564.43          |
| 04/28/09                     | 05/11/06         | SELL                  | MPS GROUP INC COM                               | MPS                 | 2,165,000 | 34,142.05  | 17,048.44 | -17,093.61         |
| 04/28/09                     | 05/19/06         | SELL                  | MPS GROUP INC COM                               | MPS                 | 285,000   | 4,295.45   | 2,244.25  | -2,051.20          |
| 05/26/09                     | 12/19/07         | SELL                  | NOVATEL WIRELESS INC COM NEW                    | NVTL                | 1,125,000 | 18,268.76  | 12,510.47 | -5,758.29          |
| 05/26/09                     | 03/10/08         | SELL                  | NOVATEL WIRELESS INC COM NEW                    | NVTL                | 1,340,000 | 14,062.77  | 14,901.35 | 838.58             |

# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                                                  | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|-----------------------|--------------------------------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |                       |                                                              |                     |           |            |           |                    |
| 06/09/09                     | 01/04/07         | SELL                  | GREENBRIER COS INC COM                                       | GBX                 | 2,355,000 | 66,944.44  | 19,405.29 | -47,539.15         |
| 06/09/09                     | 03/07/07         | SELL                  | GREENBRIER COS INC COM                                       | GBX                 | 885,000   | 23,403.00  | 7,292.43  | -16,110.57         |
| 06/09/09                     | 08/07/07         | SELL                  | MARVEL ENTMT INC COM CASH AND STOCK MGR                      | 57383T103           | 1,300,000 | 29,553.00  | 47,558.17 | 18,205.17          |
| 06/09/09                     | 09/18/07         | SELL                  | MARVEL ENTMT INC COM CASH AND STOCK MGR                      | 57383T103           | 330,000   | 7,410.64   | 12,072.46 | 4,661.82           |
| 06/10/09                     | 09/18/07         | SELL                  | MARVEL ENTMT INC COM CASH AND STOCK MGR                      | 57383T103           | 650,000   | 14,596.71  | 24,241.38 | 9,644.67           |
| 06/12/09                     | 02/14/08         | SELL                  | INTERNATIONAL SPEEDWAY CORP CL A                             | ISCA                | 830,000   | 34,565.77  | 21,225.29 | -13,340.48         |
| 06/13/09                     | 01/31/07         | SELL                  | CONWAY INC COM                                               | CNW                 | 15,000    | 742.50     | 511.10    | -231.40            |
| 06/18/09                     | 02/08/07         | SELL                  | CONWAY INC COM                                               | CNW                 | 470,000   | 22,936.00  | 16,014.57 | -6,921.43          |
| 06/18/09                     | 05/19/06         | SELL                  | MPS GROUP INC COM                                            | MPS                 | 2,105,000 | 31,726.03  | 16,727.94 | -14,998.09         |
| 06/30/09                     | 04/27/06         | ZMEC                  | COX RADIO INC CL A CASH MGR EFF 5/29/09                      | 224051102           | 735,000   | 9,268.35   | 3,528.00  | -5,740.35          |
| 06/30/09                     | 06/16/06         | ZMEC                  | COX RADIO INC CL A CASH MGR EFF 5/29/09                      | 224051102           | 5,860,000 | 80,144.50  | 28,128.00 | -52,016.50         |
| 06/30/09                     | 01/25/07         | ZMEC                  | COX RADIO INC CL A CASH MGR EFF 5/29/09                      | 224051102           | 1,560,000 | 23,923.60  | 7,488.00  | -16,435.60         |
| 06/30/09                     | 03/14/07         | ZMEC                  | COX RADIO INC CL A CASH MGR EFF 5/29/09                      | 224051102           | 2,700,000 | 35,859.02  | 12,960.00 | -22,899.02         |
| 06/30/09                     | 05/08/07         | ZMEC                  | COX RADIO INC CL A CASH MGR EFF 5/29/09                      | 224051102           | 2,320,000 | 32,236.47  | 11,136.00 | -21,100.47         |
| 06/30/09                     | 08/08/07         | ZMEC                  | COX RADIO INC CL A CASH MGR EFF 5/29/09                      | 224051102           | 1,770,000 | 22,873.09  | 8,496.00  | -14,377.09         |
| 06/30/09                     | 05/02/08         | ZMEC                  | COX RADIO INC CL A CASH MGR EFF 5/29/09                      | 224051102           | 610,000   | 7,265.10   | 2,928.00  | -4,337.10          |
| 07/01/09                     | 03/05/08         | CLEU                  | CASH MGR EFF 5/29/09 UNITED COMMUNITY BKS INC BLAIRSVILLE GA | UCBI                | 0.275     | 3.78       | 1.64      | -2.14              |
| 07/07/09                     | 02/14/08         | SELL                  | INTERNATIONAL SPEEDWAY CORP CL A                             | ISCA                | 440,000   | 18,324.02  | 11,216.74 | -7,107.28          |
| 07/07/09                     | 03/07/08         | SELL                  | INTERNATIONAL SPEEDWAY CORP CL A                             | ISCA                | 430,000   | 17,068.90  | 10,961.82 | -6,107.08          |
| 07/14/09                     | 03/07/08         | SELL                  | INTERNATIONAL SPEEDWAY CORP CL A                             | ISCA                | 220,000   | 8,732.92   | 5,405.82  | -3,327.10          |
| 07/22/09                     | 02/26/07         | SELL                  | SPEEDWAY CORP CL A K SWISS INC CL A                          | KSWIS               | 2,150,000 | 62,350.00  | 21,909.67 | -40,440.33         |
| 07/27/09                     | 07/03/08         | SELL                  | CONWAY INC COM                                               | CNW                 | 700,000   | 30,767.93  | 30,116.75 | -651.18            |
| 07/31/09                     | 03/10/08         | SELL                  | NOVATEL WIRELESS INC COM NEW                                 | NVTL                | 135,000   | 1,416.77   | 1,358.38  | -58.39             |

# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

## Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Closing Transaction | Description                             | Security Identifier | Quantity   | Cost Basis | Proceeds   | Realized Gain/Loss |
|------------------------------|------------------|---------------------|-----------------------------------------|---------------------|------------|------------|------------|--------------------|
| <b>Long Term (continued)</b> |                  |                     |                                         |                     |            |            |            |                    |
| 07/13/09                     | 06/03/08         | SELL                | NOVATEL WIRELESS INC COM NEW            | NVTE                | -2,530,000 | -27,110.36 | -25,457.07 | -1,653.29          |
| 07/13/09                     | 07/09/08         | SELL                | NOVATEL WIRELESS INC COM NEW            | NVTL                | 2,095,000  | 21,746.47  | 21,080.07  | -666.40            |
| 08/17/09                     | 05/15/07         | SELL                | COINSTAR INC COM                        | CSTR                | 1,185,000  | 36,804.39  | 37,125.73  | 321.24             |
| 08/17/09                     | 02/26/07         | SELL                | K SWISS INC CL A                        | KSW5                | 360,000    | 10,440.00  | 5,615.68   | -6,824.32          |
| 08/17/09                     | 04/20/07         | SELL                | K SWISS INC CL A                        | KSW5                | 3,520,000  | 101,920.78 | 35,353.28  | -66,567.50         |
| 08/17/09                     | 11/21/07         | SELL                | K SWISS INC CL A                        | KSW5                | -5,000     | 85.76      | 50.21      | -35.55             |
| 08/17/09                     | 07/03/08         | SELL                | SYNOVUS FINL CORP COM                   | SNV                 | 340,000    | 2,953.72   | 1,335.54   | -1,618.18          |
| 08/17/09                     | 07/14/08         | SELL                | SYNOVUS FINL CORP COM                   | SNV                 | 4,880,000  | 37,332.00  | 19,168.86  | -18,163.14         |
| 08/21/09                     | 05/15/07         | SELL                | COINSTAR INC COM                        | CSTR                | 705,000    | 21,896.34  | 22,679.53  | 783.19             |
| 08/21/09                     | 01/04/08         | SELL                | COINSTAR INC COM                        | CSTR                | 100,000    | 2,723.93   | 3,216.96   | 493.03             |
| 08/21/09                     | 09/19/07         | SELL                | MARVEL ENTMT INC COM CASH-AND-STOCK MGR | 573831103           | 340,000    | 7,635.20   | 16,808.57  | 9,973.37           |
| 08/23/09                     | 03/11/08         | SELL                | MARVEL ENTMT INC COM CASH-AND-STOCK MGR | 573831103           | 745,000    | 17,582.00  | 36,392.31  | 18,810.31          |
| 09/08/09                     | 01/04/08         | SELL                | COINSTAR INC COM                        | CSTR                | 1,410,000  | 38,407.41  | 44,782.63  | 6,375.22           |
| 09/18/09                     | 10/03/05         | SELL                | RICHARDSON ELECTRS                      | RELL                | 625,000    | 47,125.00  | 29,481.11  | -17,643.89         |
| 09/18/09                     | 01/24/06         | SELL                | RICHARDSON ELECTRS                      | RELL                | 1,130,000  | 8,475.00   | 5,330.18   | -3,144.82          |
| 09/18/09                     | 12/14/06         | SELL                | RICHARDSON ELECTRS                      | RELL                | 1,235,000  | 11,453.00  | 5,872.64   | -5,580.36          |
| 10/01/09                     | 09/26/08         | CLEU                | FIRST HORIZON NATL CORP COM             | FHN                 | -0.298     | 2.82       | 8.17       | 5.35               |
| 10/05/09                     | 03/05/08         | CLEU                | UNITED COMMUNITY BKS INC BLAIRSVILLE GA | UCBI                | 0.744      | 10.17      | 3.71       | -6.46              |
| 10/12/09                     | 10/03/05         | SELL                | RENTINT INC                             | REIM                | 3,730,000  | 68,853.61  | 77,024.34  | 8,170.73           |
| 10/14/09                     | 10/03/05         | SELL                | RPM INTE INC                            | RPM                 | -75,000    | -1,384.46  | 1,478.67   | 94.21              |
| 10/14/09                     | 10/04/06         | SELL                | RENTINT INC                             | REIM                | 1,465,000  | 26,347.72  | 28,883.45  | 2,535.68           |
| 10/28/09                     | 09/30/08         | SELL                | BROADRIDGE FINL SOLUTIONS INC COM       | BR                  | 754,000    | 11,330.36  | 16,191.22  | 4,860.86           |
| 10/28/09                     | 10/24/08         | SELL                | BROADRIDGE FINL SOLUTIONS INC COM       | BR                  | 466,000    | 3,909.85   | 10,005.78  | 5,095.93           |
| 10/28/09                     | 05/19/06         | SELL                | SOLUTIONS INC COM                       | MSX                 | 1,800,000  | 27,129.14  | 24,392.79  | -2,736.35          |
| 10/30/09                     | 11/15/06         | SELL                | PIKE ELEC CORP COM                      | PIKE                | 1,760,000  | 27,073.38  | 22,349.38  | -4,724.00          |



# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                           | Security Identifier | Quantity  | Cost Basis            | Proceeds              | Realized Gain/Loss   |
|------------------------------|------------------|-----------------------|---------------------------------------|---------------------|-----------|-----------------------|-----------------------|----------------------|
| <b>Long Term (continued)</b> |                  |                       |                                       |                     |           |                       |                       |                      |
| 11/02/09                     | 11/21/07         | SELL                  | K SWISS INC CL A                      | KSW5                | 1,525,000 | 26,158.02             | 12,231.86             | -13,926.16           |
| 11/02/09                     | 12/19/07         | SELL                  | K SWISS INC CL A                      | KSW5                | 3,350,000 | 59,113.43             | 26,869.99             | -32,243.44           |
| 11/03/09                     | 10/24/08         | SELL                  | BROADRIDGE FINL SOLUTIONS INC COM     | BR                  | 2,414,000 | 25,434.30             | 52,206.71             | 26,772.41            |
| 11/06/09                     | 07/28/06         | SELL                  | ON ASSIGNMENT INC COM                 | ASGN                | 225,000   | 1,925.95              | 1,482.26              | -443.69              |
| 11/06/09                     | 05/24/07         | SELL                  | ON ASSIGNMENT INC COM                 | ASGN                | 1,340,000 | 14,042.66             | 8,827.69              | -5,214.97            |
| 11/09/09                     | 01/15/08         | SELL                  | CRACKER BARREL OLD CTRY STORE INC COM | CBRL                | 45,000    | 1,112.45              | 1,522.93              | 410.48               |
| 11/09/09                     | 05/02/08         | SELL                  | CRACKER BARREL OLD CTRY STORE INC COM | CBRL                | 175,000   | 6,497.75              | 5,922.50              | -575.25              |
| 11/09/09                     | 07/08/08         | SELL                  | CRACKER BARREL OLD CTRY STORE INC COM | CBRL                | 1,040,000 | 23,192.00             | 35,196.57             | 12,004.57            |
| 11/11/09                     | 07/08/08         | SELL                  | CRACKER BARREL OLD CTRY STORE INC COM | CBRL                | 160,000   | 3,568.00              | 5,361.27              | 1,793.27             |
| 11/13/09                     | 08/02/07         | SELL                  | XYRATEX LTD COM                       | XRTX                | 3,390,000 | 75,215.96             | 38,356.53             | -36,859.43           |
| 11/13/09                     | 01/18/08         | SELL                  | ISIN#BMG982681089 XYRATEX LTD COM     | XRTX                | 5,000     | 77.35                 | 56.57                 | -20.78               |
| 11/16/09                     | 01/18/08         | SELL                  | ISIN#BMG982681089 XYRATEX LTD COM     | XRTX                | 2,225,000 | 34,418.61             | 26,340.94             | -8,077.67            |
| 11/24/09                     | 09/28/07         | SELL                  | IBERIABANK CORP COM                   | IBRC                | 240,000   | 12,770.24             | 13,468.40             | 698.16               |
| 11/24/09                     | 01/15/08         | SELL                  | IBERIABANK CORP COM                   | IBRC                | 135,000   | 5,399.80              | 7,575.98              | 2,176.18             |
| 12/01/09                     | 05/24/07         | SELL                  | ON ASSIGNMENT INC COM                 | ASGN                | 3,315,000 | 34,739.87             | 21,493.57             | -13,246.30           |
| 12/29/09                     | 12/14/06         | SELL                  | RICHARDSON ELECTRS                    | RELL                | 300,000   | 2,760.00              | 1,799.95              | -960.05              |
| 12/30/09                     | 10/04/06         | SELL                  | RPM INTL INC                          | RPM                 | 1,190,000 | 21,401.94             | 24,652.90             | 3,250.96             |
| 12/30/09                     | 08/09/07         | SELL                  | RPM INTL INC                          | RPM                 | 275,000   | 5,710.06              | 5,697.10              | -12.96               |
| 12/30/09                     | 12/14/06         | SELL                  | RICHARDSON ELECTRS                    | RELL                | 3,425,000 | 31,510.00             | 20,056.62             | -11,453.38           |
| 12/31/09                     | 09/19/07         | SELL                  | BANK HAWAII CORP COM                  | BOH                 | 150,000   | 8,163.02              | 7,159.60              | -1,003.42            |
| <b>Total Long Term</b>       |                  |                       |                                       |                     |           | <b>\$2,676,774.54</b> | <b>\$1,732,986.33</b> | <b>-\$943,788.21</b> |

## Total Short Term and Long Term

The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes, for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable.

When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.

# Money Market Fund Detail (continued)

| Date                                              | Activity Type   | Description           | Amount     | Balance             |
|---------------------------------------------------|-----------------|-----------------------|------------|---------------------|
| <b>Money Market Fund (continued)</b>              |                 |                       |            |                     |
| <b>PRIME MGMT OBLIGATIONS SERVICE (continued)</b> |                 |                       |            |                     |
| 12/10/09                                          | Deposit         | MONEY FUND PURCHASE   | 587.50     | 79,521.43           |
| 12/11/09                                          | Deposit         | MONEY FUND PURCHASE   | 2,272.97   | 81,794.40           |
| 12/14/09                                          | Deposit         | MONEY FUND PURCHASE   | 412.94     | 82,207.34           |
| 12/16/09                                          | Deposit         | MONEY FUND PURCHASE   | 628.46     | 82,835.80           |
| 12/17/09                                          | Deposit         | MONEY FUND PURCHASE   | 1.80       | 82,837.60           |
| 12/18/09                                          | Deposit         | MONEY FUND PURCHASE   | 17,649.71  | 100,487.31          |
| 12/21/09                                          | Deposit         | MONEY FUND PURCHASE   | 78,592.55  | 179,079.86          |
| 12/22/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -19,770.37 | 159,309.49          |
| 12/23/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -18,487.91 | 140,821.58          |
| 12/23/09                                          | Deposit         | MONEY FUND PURCHASE   | 58,697.38  | 199,518.96          |
| 12/23/09                                          | Deposit         | MONEY FUND PURCHASE   | 19,615.49  | 219,134.45          |
| 12/31/09                                          | Deposit         | INCOME REINVEST       | 1.06       | 219,135.51          |
| 12/31/09                                          | Closing Balance |                       |            | <b>\$219,135.51</b> |
| <b>Total All Money Market Funds</b>               |                 |                       |            | <b>\$219,135.51</b> |

## Schedule of Realized Gains and Losses

| Disposition Date  | Acquisition Date | Closing Transaction | Description                              | Security Identifier | Quantity   | Cost Basis | Proceeds   | Realized Gain/Loss |
|-------------------|------------------|---------------------|------------------------------------------|---------------------|------------|------------|------------|--------------------|
| <b>Short Term</b> |                  |                     |                                          |                     |            |            |            |                    |
| 04/16/09          | 05/08/08         | CLEU                | HSBC HLDGS PLC                           | 404280992           | 0.917      | 16.25      | 7.81       | -8.44              |
| 11/02/09          | 02/23/09         | SELL                | ADS RT EXP 03/31/09                      | CAJ                 | 1,170,000  | 29,437.79  | 44,097.54  | 14,659.75          |
| 11/02/09          | 01/09/09         | SELL                | CANON INC ADR REPSTG 5 SHS               | CBRY                | 11,355,000 | 86,553.49  | 96,587.01  | 10,033.52          |
| 11/02/09          | 04/08/09         | SELL                | CAREFOUR SA ADR                          | HBC                 | 782,000    | 14,457.16  | 43,698.61  | 29,241.45          |
| 11/02/09          | 04/22/09         | SELL                | HSBC HLDGS PLC SPONS ADR NEW             | HENGY               | 1,215,000  | 30,028.73  | 55,366.82  | 25,338.09          |
| 11/02/09          | 11/26/08         | SELL                | HENKEL AG & CO KCAA SPONSORED ADR REPSTG | NOK                 | 3,650,000  | 51,556.25  | 46,347.75  | -5,208.50          |
| 11/02/09          | 12/11/08         | SELL                | NOKIA CORP SPONSORED ADR                 | NOK                 | 4,260,000  | 65,769.71  | 54,093.54  | -11,676.17         |
| 11/02/09          | 01/09/09         | SELL                | NOKIA CORP SPONSORED ADR                 | NOK                 | 2,155,000  | 32,734.02  | 27,364.22  | -5,369.80          |
| 11/02/09          | 05/13/09         | SELL                | NOKIA CORP SPONSORED ADR                 | WTKWY               | 270,000    | 3,851.28   | 5,933.33   | 2,082.05           |
| 11/09/09          | 11/02/09         | SELL                | WOLTERS KLUWER N V SPON ADR              | MBT                 | 2,029,000  | 95,072.16  | 102,782.63 | 7,710.47           |
| 11/16/09          | 11/02/09         | SELL                | MOBILE TELESYSTEMS OJSC SPONSORED ADR    | TV                  | 2,738,000  | 53,405.01  | 60,067.03  | 6,662.02           |
|                   |                  |                     | GRUPO TELEvisa SA DE CV SPON ADR REPSTG  |                     |            |            |            |                    |

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# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

## Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Closing Transaction | Description                            | Security Identifier | Quantity  | Cost Basis          | Proceeds              | Realized Gain/Loss  |
|-------------------------------|------------------|---------------------|----------------------------------------|---------------------|-----------|---------------------|-----------------------|---------------------|
| <b>Short Term (continued)</b> |                  |                     |                                        |                     |           |                     |                       |                     |
| 12/01/09                      | 11/02/09         | SELL                | MOBILE TELESYSTEMS                     | MBIT                | 1,098,000 | 51,448.61           | 56,726.56             | 5,277.95            |
| 12/14/09                      | 11/02/09         | SELL                | QJSC SPONSORED ADR                     | FMX                 | 1,003,000 | 43,709.78           | 48,393.50             | 4,683.72            |
| 12/15/09                      | 11/02/09         | SELL                | FOMENTO ECONOMICO MEX S A B DE C V NEW | NDBKY               | 1,628,000 | 48,544.70           | 51,997.96             | 3,453.26            |
| 12/15/09                      | 11/02/09         | SELL                | NEDBANK GROUP LTD SPONS ADR            | SBCOY               | 1,345,000 | 33,087.00           | 36,601.34             | 3,514.34            |
| 12/16/09                      | 11/02/09         | SELL                | STANDARD BK GROUP LTD ADR              | BMA                 | 2,562,000 | 79,392.32           | 74,570.76             | -4,821.56           |
| 12/18/09                      | 11/03/09         | SELL                | BANCO MARCO S A SPONSORED ADR          | AKBTY               | 1,588,000 | 17,379.23           | 18,772.37             | 1,393.14            |
| 12/21/09                      | 11/02/09         | SELL                | AKBANK TURK ANONIM SIKKETI ADR         | PUTKY               | 1,786,000 | 58,192.13           | 57,669.88             | -522.25             |
| 12/23/09                      | 11/02/09         | SELL                | PT LTD TYRACORS TBK ADR                | FMX                 | 300,000   | 13,073.71           | 14,730.37             | 1,656.66            |
| 12/28/09                      | 11/02/09         | SELL                | FOMENTO ECONOMICO MEX S A B DE C V NEW | CIG                 | 6,311,000 | 98,658.35           | 171,810.37            | 73,152.02           |
| <b>Total Short Term</b>       |                  |                     |                                        |                     |           | <b>\$906,367.68</b> | <b>\$1,007,619.40</b> | <b>\$101,251.72</b> |
| <b>Long Term</b>              |                  |                     |                                        |                     |           |                     |                       |                     |
| 01/07/09                      | 08/09/06         | SELL                | ACOM CO LTD SPON ADR                   | ACMUY               | 6,165,000 | 69,747.11           | 60,191.02             | -9,556.09           |
| 01/07/09                      | 03/16/07         | SELL                | ACOM CO LTD SPON ADR                   | ACMUY               | 6,945,000 | 62,212.62           | 67,806.43             | 5,593.81            |
| 01/16/09                      | 05/05/06         | SELL                | NORTEL NETWORKS NEW COM                | NRTLQ               | 4,790,000 | 127,893.00          | 393.26                | -127,499.74         |
| 01/16/09                      | 06/25/07         | SELL                | NORTEL NETWORKS NEW COM                | NRTLQ               | 3,910,000 | 109,057.72          | 321.01                | -108,736.71         |
| 03/31/09                      | 06/27/01         | SELL                | NORTEL NETWORKS NEW COM                | NRTLQ               | 4,895,000 | 119,438.00          | 401.87                | -119,036.13         |
| 03/31/09                      | 07/10/01         | SELL                | KT CORP SPON ADR                       | KT                  | 1,040,000 | 13,401.63           | 13,401.63             | -                   |
| 04/23/09                      | 06/03/05         | SELL                | KT CORP SPON ADR                       | KT                  | 1,325,000 | 27,295.00           | 18,348.23             | -8,946.77           |
| 04/23/09                      | 05/10/06         | SELL                | AKZO NV SPON ADR                       | AKZOY               | 615,000   | 28,139.55           | 26,130.67             | -1,781.12           |
| 04/23/09                      | 05/10/06         | SELL                | DEUTSCHE TELEKOM AG SPONSORED ADR      | DT                  | 3,060,000 | 53,443.82           | 34,833.90             | -18,609.92          |



# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                                | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|-----------------------|--------------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |                       |                                            |                     |           |            |           |                    |
| 04/23/09                     | 10/26/07         | SELL                  | ERICSSON L M TEL CO<br>ADR CL B SEK 10 NEW | ERIC                | 2,385,000 | 35,116.26  | 21,775.50 | -13,340.76         |
| 04/23/09                     | 11/08/07         | SELL                  | ERICSSON L M TEL CO<br>ADR CL B SEK 10 NEW | ERIC                | 2,310,000 | 34,632.91  | 21,090.74 | -13,542.17         |
| 04/23/09                     | 03/03/06         | SELL                  | FRANCE TELECOM<br>SPONSORED ADR            | FTE                 | 1,345,000 | 29,393.50  | 28,463.46 | -930.04            |
| 04/23/09                     | 01/27/04         | SELL                  | GLAXOSMITHKLINE PLC<br>SPONS ADR           | GSK                 | 420,000   | 18,690.00  | 12,154.49 | -6,535.51          |
| 04/23/09                     | 03/16/04         | SELL                  | GLAXOSMITHKLINE PLC<br>SPONS ADR           | GSK                 | 755,000   | 30,217.84  | 21,849.13 | -8,368.71          |
| 04/23/09                     | 07/18/07         | SELL                  | KINGFISHER PLC<br>SPONSORED ADR            | KGFHY               | 5,765,000 | 52,994.19  | 29,977.22 | -23,016.97         |
| 04/23/09                     | 11/18/05         | SELL                  | KONINKLIJKE AHOLD NV<br>SPONS ADR 2007     | AHOHY               | 3,360,000 | 30,137.10  | 37,026.24 | 6,889.14           |
| 04/23/09                     | 12/18/03         | SELL                  | MARKS & SPENCER<br>GROUP PLC SPONSORED     | MAKSY               | 2,490,000 | 24,651.00  | 24,684.68 | 33.68              |
| 04/23/09                     | 12/18/03         | SELL                  | MARKS & SPENCER<br>GROUP PLC SPONSORED     | MAKSY               | 2,270,000 | 22,473.00  | 22,503.70 | 30.70              |
| 04/23/09                     | 03/23/07         | SELL                  | GRP HLDGS INC ADR                          | MSIGY               | 2,485,000 | 50,668.57  | 31,154.58 | -19,513.99         |
| 04/23/09                     | 12/20/07         | SELL                  | MITSUBI SUMITOMO INS<br>GRP HLDGS INC ADR  | MSIGY               | 2,150,000 | 35,729.06  | 26,954.67 | -8,774.39          |
| 04/23/09                     | 06/23/05         | SELL                  | NIPPON TELEG &<br>TELEPHONE CORP           | NTT                 | 1,320,000 | 28,684.00  | 24,920.95 | -3,763.05          |
| 04/23/09                     | 06/23/05         | SELL                  | NIPPON TELEG &<br>TELEPHONE CORP           | NTT                 | 20,000    | 434.61     | 377.59    | -57.02             |
| 04/23/09                     | 01/02/01         | SELL                  | SWISSCOM SPON ADR                          | SCMWY               | 650,000   | 16,795.57  | 16,795.57 |                    |
| 04/23/09                     | 02/21/01         | SELL                  | SWISSCOM SPON ADR                          | SCMWY               | 560,000   | 14,470.03  | 14,470.03 |                    |
| 04/23/09                     | 04/26/06         | SELL                  | SWISSCOM SPON ADR                          | SCMWY               | 310,000   | 10,106.99  | 8,010.19  | -2,096.80          |
| 04/27/09                     | 10/02/01         | SELL                  | HYPO REAL ESTATE ADR                       | 44915W101           | 747,250   | 15,592.69  | 1,332.68  | -14,260.01         |
| 04/27/09                     | 01/14/02         | SELL                  | CASH MGR EFF 6/1/09                        | 44915W101           | 263,750   | 6,301.49   | 470.39    | -5,831.10          |
| 04/27/09                     | 01/14/02         | SELL                  | HYPO REAL ESTATE ADR                       | 44915W101           | 1,706,000 | 3,042.57   | 3,042.57  |                    |
| 04/27/09                     | 01/14/02         | SELL                  | CASH MGR EFF 6/1/09                        | 44915W101           | 1,706,000 | 3,042.57   | 3,042.57  |                    |
| 09/11/09                     | 12/14/99         | CLEU                  | VIVO PARTICIPACOE                          | VIV                 | 0.280     | 6.67       | 6.67      |                    |
| 11/02/09                     | 03/20/06         | SELL                  | S A SPON ADR                               | TEL                 | 1,425,000 | 45,309.88  | 30,381.32 | -14,928.56         |
| 11/02/09                     | 04/12/06         | SELL                  | TYCO ELECTRONICS<br>LTD SWITZERLAND        | TEL                 | 1,270,000 | 38,413.80  | 27,076.68 | -11,337.12         |
| 11/02/09                     | 03/16/07         | SELL                  | TYCO ELECTRONICS<br>LTD SWITZERLAND        | ACMUY               | 4,590,000 | 41,116.76  | 16,910.76 | -24,206.00         |
| 11/02/09                     | 09/23/04         | SELL                  | ACOM CO LTD<br>SPON ADR                    | AEG                 | 1,683,744 | 18,399.62  | 11,706.25 | -6,693.37          |
| 11/02/09                     | 09/23/04         | SELL                  | AEGON NV<br>ORD AMER REG                   | AEG                 | 1,683,744 | 18,399.62  | 11,706.25 | -6,693.37          |



# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

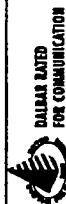
## Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Transaction | Description                         | Security Identifier | Quantity   | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|-------------|-------------------------------------|---------------------|------------|------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |             |                                     |                     |            |            |           |                    |
| 11/02/09                     | 05/17/05         | SELL        | AEGON N V<br>ORD AMER REG           | AEG                 | 426.681    | 5,295.11   | 2,966.50  | -2,328.61          |
| 11/02/09                     | 05/17/05         | SELL        | AEGON N V<br>ORD AMER REG           | AEG                 | 554.575    | 6,882.27   | 3,855.69  | -3,026.58          |
| 11/02/09                     | 09/28/05         | SELL        | AEGON N V<br>ORD AMER REG           | AEG                 | 902.000    | 12,510.74  | 6,271.16  | -6,239.58          |
| 11/02/09                     | 07/18/07         | SELL        | AEGON N V<br>ORD AMER REG           | AEG                 | 6,165.000  | 119,228.63 | 42,862.22 | -76,366.41         |
| 11/02/09                     | 08/09/07         | SELL        | AEGON N V<br>ORD AMER REG           | AEG                 | 4,770.000  | 87,944.01  | 33,163.47 | -54,780.54         |
| 11/02/09                     | 09/19/07         | SELL        | AEGON N V<br>ORD AMER REG           | AEG                 | 474.000    | 8,603.10   | 3,295.49  | -5,307.61          |
| 11/02/09                     | 05/30/08         | SELL        | AEGON N V<br>ORD AMER REG           | AEG                 | 453.000    | 6,867.48   | 3,149.49  | -3,717.99          |
| 11/02/09                     | 09/18/08         | SELL        | AEGON N V<br>ORD AMER REG           | AEG                 | 571.000    | 6,145.88   | 3,969.88  | -2,176.00          |
| 11/02/09                     | 06/03/05         | SELL        | AKZO NV SPON ADR                    | AKZOY               | 1,460.000  | 57,781.59  | 86,318.78 | 28,537.09          |
| 11/02/09                     | 08/10/04         | SELL        | ALCATEL LUCENT<br>SPON ADR          | ALU                 | 8,557.000  | 100,775.89 | 31,517.81 | -69,258.08         |
| 11/02/09                     | 06/30/05         | SELL        | ALCATEL LUCENT<br>SPON ADR          | ALU                 | 4,480.000  | 49,275.83  | 16,396.38 | -32,879.45         |
| 11/02/09                     | 06/30/05         | SELL        | ALCATEL LUCENT<br>SPON ADR          | ALU                 | 5,865.000  | 64,509.54  | 21,465.35 | -43,044.19         |
| 11/02/09                     | 08/09/06         | SELL        | ALCATEL LUCENT<br>SPON ADR          | ALU                 | 11,540.000 | 130,061.57 | 42,235.31 | -87,826.26         |
| 11/02/09                     | 05/15/07         | SELL        | ASTRAZENECA PLC<br>SPONSORED ADR    | AZN                 | 415.000    | 22,376.84  | 18,453.70 | -3,923.14          |
| 11/02/09                     | 06/26/07         | SELL        | ASTRAZENECA PLC<br>SPONSORED ADR    | AZN                 | 1,865.000  | 96,543.59  | 82,930.49 | -13,613.10         |
| 11/02/09                     | 08/16/07         | SELL        | ASTRAZENECA PLC<br>SPONSORED ADR    | AZN                 | 1,890.000  | 85,564.84  | 84,042.17 | -1,522.67          |
| 11/02/09                     | 03/06/08         | SELL        | BARCLAYS PLC ADRS                   | BCS                 | 1,485.000  | 51,722.55  | 31,632.14 | -20,090.41         |
| 11/02/09                     | 06/12/08         | SELL        | BARCLAYS PLC ADRS                   | BCS                 | 1,965.000  | 47,530.60  | 41,856.68 | -5,673.92          |
| 11/02/09                     | 12/14/99         | SELL        | BRASIL TELECOM<br>PARTICIPACOES STK | 105530109           | 59.522     | 16,303.61  | 2,995.41  | -13,308.20         |



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B0005079CSF960AP



Account Number: 19C-001906  
 IRENE W & CB PENNINGTON

PAP-02-ROLL

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
 Member FINRA, NYSE, SIPC

# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                             | Security Identifier | Quantity  | Cost Basis     | Proceeds   | Realized Gain/Loss |
|------------------------------|------------------|-----------------------|-----------------------------------------|---------------------|-----------|----------------|------------|--------------------|
| <b>Long Term (continued)</b> |                  |                       |                                         |                     |           |                |            |                    |
| 11/02/09                     | 12/14/99         | SELL                  | BRASIL TELECOM PARTICIPACOE STK         | 105530109           | 63,490    | 17,390.51      | 3,195.11   | -14,195.40         |
| 11/02/09                     | 01/02/01         | SELL                  | BRASIL TELECOM PARTICIPACOE STK         | 105530109           | 261,896   | 68,413.65      | 13,179.83  | -55,233.82         |
| 11/02/09                     | 05/21/01         | SELL                  | BRASIL TELECOM PARTICIPACOE STK         | 105530109           | 145,828   | 27,475.16      | 7,338.77   | -20,136.39         |
| 11/02/09                     | 07/25/05         | SELL                  | BRASIL TELECOM PARTICIPACOE STK         | 105530109           | 589,265   | Please Provide | 29,654.60  | N/A                |
| 11/02/09                     | 12/13/05         | SELL                  | BRITISH SKY BROADCASTING GROUP          | BSY                 | 2,925,000 | 102,487.61     | 102,270.16 | -217.45            |
| 11/02/09                     | 01/02/01         | SELL                  | ELECTROBRAS CENTRAIS ELECTRICAS ADR     | EBR                 | 5,340,000 | 48,060.00      | 75,581.49  | 27,521.49          |
| 11/02/09                     | 09/06/05         | SELL                  | CONTAX PARTICIPACOE S A SPON ADR        | CTXNY               | 5,645,000 | 2,822.50       | 12,136.43  | 9,313.93           |
| 11/02/09                     | 11/29/04         | SELL                  | DAI NIPPON PRTG LTD JAPAN SPON ADR      | DNPLY               | 7,380,000 | 111,622.50     | 90,641.27  | -20,981.23         |
| 11/02/09                     | 05/10/06         | SELL                  | DEUTSCHE TELEKOM AG SPONSORED ADR       | DT                  | 575,000   | 10,042.55      | 7,820.39   | -2,222.16          |
| 11/02/09                     | 03/09/07         | SELL                  | DEUTSCHE TELEKOM AG SPONSORED ADR       | DT                  | 7,925,000 | 131,616.82     | 107,785.36 | -23,831.46         |
| 11/02/09                     | 07/18/07         | SELL                  | DEUTSCHE TELEKOM AG SPONSORED ADR       | DT                  | 5,140,000 | 95,294.06      | 69,907.47  | -25,386.59         |
| 11/02/09                     | 11/08/07         | SELL                  | ERICSSON L M TEL CO ADR CL B SEK 10 NEW | ERIC                | 2,450,000 | 36,731.87      | 25,700.06  | -11,031.81         |
| 11/02/09                     | 11/29/07         | SELL                  | ERICSSON L M TEL CO ADR CL B SEK 10 NEW | ERIC                | 8,730,000 | 107,682.37     | 91,576.14  | -16,106.23         |
| 11/02/09                     | 03/03/06         | SELL                  | FRANCE TELECOM SPONSORED ADR            | FTE                 | 4,835,000 | 105,663.60     | 122,424.82 | 16,761.22          |
| 11/02/09                     | 06/03/05         | SELL                  | FUJII HEAVY INDS LTD ADR                | FUJHY               | 1,755,000 | 73,446.75      | 66,688.28  | -6,758.47          |
| 11/02/09                     | 08/22/05         | SELL                  | FUJIFILM HLDGS CORP ADR 2 ORD           | FUJIY               | 2,860,000 | 96,566.47      | 80,907.32  | -15,659.15         |
| 11/02/09                     | 03/16/04         | SELL                  | GLAXOSMITHKLINE PLC SPONS ADR           | GSK                 | 1,440,000 | 57,634.03      | 58,658.74  | 1,024.71           |
| 11/02/09                     | 06/04/07         | SELL                  | GLAXOSMITHKLINE PLC SPONS ADR           | GSK                 | 2,485,000 | 127,383.59     | 101,227.06 | -26,156.53         |
| 11/02/09                     | 04/18/07         | SELL                  | H LUNDBECK A/S ADR                      | HLURY               | 4,115,000 | 101,701.40     | 78,225.83  | -23,475.57         |
| 11/02/09                     | 01/10/07         | SELL                  | HSBC HLDGS PLC SPONS ADR NEW            | HBC                 | 235,000   | 19,118.63      | 13,131.93  | -5,986.70          |
| 11/02/09                     | 05/15/07         | SELL                  | HSBC HLDGS PLC SPONS ADR NEW            | HBC                 | 23,000    | 1,859.05       | 1,285.25   | -573.80            |
| 11/02/09                     | 06/29/07         | SELL                  | HSBC HLDGS PLC SPONS ADR NEW            | HBC                 | 1,525,000 | 127,778.04     | 85,217.85  | -42,560.19         |



DAIWA BANK  
FOR COMMUNICATION

Account Number: 19C-001906  
IRENE W & CB PENNINGTON

PAR-02-ROLL

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
Member FINRA NYSE CIP

# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

## Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Costing Method | Description                                  | Security Identifier | Quantity   | Cost Basis   | Proceeds   | Realized Gain/Loss |
|------------------------------|------------------|----------------|----------------------------------------------|---------------------|------------|--------------|------------|--------------------|
| <i>Long Term (continued)</i> |                  |                |                                              |                     |            |              |            |                    |
| 11/02/09                     | 07/06/07         | SELL           | HSBC HLDGS PLC-<br>SPONS ADR NEW             | HBC                 | 10,000     | 853.30       | 558.81     | -294.49            |
| 11/02/09                     | 10/05/07         | SELL           | HSBC HLDGS PLC-<br>SPONS ADR NEW             | HBC                 | 25,000     | 2,027.05     | 1,597.01   | -630.04            |
| 11/02/09                     | 01/17/08         | SELL           | HSBC HLDGS PLC-<br>SPONS ADR NEW             | HBC                 | 18,000     | 1,400.54     | 1,005.85   | -394.69            |
| 11/02/09                     | 05/08/08         | SELL           | HSBC HLDGS PLC-<br>SPONS ADR NEW             | HBC                 | 43,000     | 3,262.01     | 2,402.86   | -859.15            |
| 11/02/09                     | 03/10/05         | SELL           | HITACHI LTD<br>ADR 10 COM NEW                | HIT                 | 164,000    | 1,103,302.40 | 5,279.91   | -1,098,022.49      |
| 11/02/09                     | 11/10/06         | SELL           | HITACHI LTD<br>ADR 10 COM NEW                | HIT                 | 1,395,000  | 82,529.87    | 44,914.40  | -37,615.47         |
| 11/02/09                     | 06/29/07         | SELL           | INTESA SANPAOLO<br>S.P.A. SPON ADR           | ISNPY               | 3,630,000  | 161,976.41   | 90,446.07  | -71,530.34         |
| 11/02/09                     | 07/15/08         | SELL           | ITALCEMENTI FABRICHE<br>RIUNITE SPA ADR      | ITALY               | 4,650,000  | 65,321.81    | 65,951.30  | 629.49             |
| 11/02/09                     | 08/04/08         | SELL           | J. SAINSBURY PLC<br>SPONSORED ADR NEW        | JSAINY              | 2,740,000  | 70,113.59    | 57,838.91  | -12,274.68         |
| 11/02/09                     | 07/10/01         | SELL           | KT CORP SPON ADR                             | KT                  | 2,785,000  | 57,321.00    | 45,204.48  | -12,116.52         |
| 11/02/09                     | 07/18/07         | SELL           | KINGFISHER PLC<br>SPONSORED ADR              | KGFHY               | 15,080,000 | 138,621.39   | 107,431.82 | -31,189.57         |
| 11/02/09                     | 11/18/05         | SELL           | KONINKRIJKE AHOLD NV<br>SPONS ADR 2007       | AHQNY               | 9,335,000  | 83,229.12    | 118,621.45 | 35,392.33          |
| 11/02/09                     | 01/02/01         | SELL           | KOREA ELECTRONICS CO.<br>SPONSORED ADR RPSTG | KEP                 | 2,190,000  | 79,603.78    | 101,180.28 | 21,576.50          |
| 11/02/09                     | 10/19/06         | SELL           | MAGNA INTERNATIONAL<br>INC CLASS A           | MICA                | 1,895,000  | 141,536.80   | 76,510.98  | -65,025.82         |
| 11/02/09                     | 12/18/03         | SELL           | MARKS & SPENCER<br>GROUP PLC SPONSORED       | MAKSY               | 1,630,000  | 16,137.00    | 47,918.73  | 31,781.73          |
| 11/02/09                     | 04/30/08         | SELL           | MARKS & SPENCER<br>GROUP PLC SPONSORED       | MAKSY               | 6,375,000  | 96,309.04    | 70,080.90  | -26,228.14         |
| 11/02/09                     | 01/07/05         | SELL           | MITSUBISHI UFJ FINL<br>GROUP INC SPON ADR    | MTUJ                | 160,000    | 1,493,380    | 323.01     | -1,492,056.99      |
| 11/02/09                     | 03/28/07         | SELL           | MITSUBISHI UFJ FINL<br>GROUP INC SPON ADR    | MTUJ                | 19,790,000 | 228,611.33   | 106,540.25 | -122,071.08        |

# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                            | Security Identifier | Quantity   | Cost Basis   | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|-----------------------|----------------------------------------|---------------------|------------|--------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |                       |                                        |                     |            |              |           |                    |
| 11/02/09                     | 12/20/07         | SELL                  | MITSUBI SUMITOMO INS GRP HLDGS INC ADR | MSICV               | 5,980,000  | 99,376.64    | 68,514.03 | -30,862.61         |
| 11/02/09                     | 05/07/07         | SELL                  | MIZUHO FINANCIAL GROUP INC SPON ADR    | MFG                 | 13,205,000 | 164,993.83   | 52,027.78 | -112,966.05        |
| 11/02/09                     | 01/23/08         | SELL                  | MIZUHO FINANCIAL GROUP INC SPON ADR    | MFG                 | 11,380,000 | 94,560.97    | 45,418.98 | -49,141.99         |
| 11/02/09                     | 06/23/05         | SELL                  | NIPPON TELEG & TELEPHONE CORP          | NTT                 | 3,835,000  | 89,334.22    | 79,615.59 | -9,718.63          |
| 11/02/09                     | 07/18/07         | SELL                  | NIPPON TELEG & TELEPHONE CORP          | NTT                 | 4,405,000  | 98,275.55    | 91,448.94 | -6,826.61          |
| 11/02/09                     | 07/31/08         | SELL                  | NISSAN MOTOR LTD SPON ADR              | NSANY               | 3,880,000  | 60,008.47    | 55,715.36 | -4,293.11          |
| 11/02/09                     | 10/31/00         | SELL                  | PORTUGAL TELECOMM SCPS S A SPONSORED   | PT                  | 8,565,000  | 62,980.71    | 96,648.41 | 33,667.70          |
| 11/02/09                     | 01/02/01         | SELL                  | PORTUGAL TELECOMM SCPS S A SPONSORED   | PT                  | 4,698,000  | 35,354.06    | 53,012.76 | 17,658.70          |
| 11/02/09                     | 01/02/01         | SELL                  | PORTUGAL TELECOMM SCPS S A SPONSORED   | PT                  | 2,060,000  | 21,336.90    | 23,245.27 | 1,908.37           |
| 11/02/09                     | 11/13/06         | SELL                  | PROMISE CO LTD ADR                     | PMSEY               | 8,075,000  | 144,096.76   | 29,569.61 | -114,527.15        |
| 11/02/09                     | 05/09/07         | SELL                  | PROMISE CO LTD ADR                     | PMSEY               | 5,715,000  | 94,522.10    | 20,927.59 | -73,594.51         |
| 11/02/09                     | 10/18/07         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 29,279     | 6,198.48     | 365.15    | -5,833.33          |
| 11/02/09                     | 10/18/07         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 2,564      | 542.76       | 31.97     | -510.79            |
| 11/02/09                     | 10/18/07         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 3,155      | 668.01       | 39.35     | -628.66            |
| 11/02/09                     | 10/18/07         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 7,297      | 1,544.78     | 91.00     | -1,453.78          |
| 11/02/09                     | 10/18/07         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 4,035      | 854.29       | 50.33     | -803.96            |
| 11/02/09                     | 10/18/07         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 3,777      | 799.69       | 47.11     | -752.58            |
| 11/02/09                     | 10/18/07         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 1,274      | 269.77       | 15.89     | -253.88            |
| 11/02/09                     | 12/20/07         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 447,925    | 75,435.81    | 5,586.33  | -69,849.48         |
| 11/02/09                     | 02/13/08         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 488,156    | 70,141.15    | 6,088.08  | -64,053.07         |
| 11/02/09                     | 03/28/08         | SELL                  | ROYAL BK SCOTLAND GROUP PLC SPON ADR   | RBS                 | 616,538    | 82,969.71    | 7,689.20  | -75,280.51         |
| 11/02/09                     | 11/04/05         | SELL                  | SK TELECOM LTD SPONSORED ADR           | SKM                 | 5,520,000  | 1,171,704.38 | 95,255.36 | -1,076,449.02      |

# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

## Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Checking Transaction | Description                              | Security Identifier | Quantity   | Cost Basis | Proceeds   | Realized Gain/Loss |
|------------------------------|------------------|----------------------|------------------------------------------|---------------------|------------|------------|------------|--------------------|
| <b>Long Term (continued)</b> |                  |                      |                                          |                     |            |            |            |                    |
| 11/02/09                     | 08/09/06         | SELL                 | SK TELECOM LTD-<br>SPONSORED ADR         | SKM                 | 3,480.000  | 75,831.64  | 60,052.29  | -15,779.35         |
| 11/02/09                     | 10/18/06         | SELL                 | SANOI AVENTIS<br>SPONS ADR               | SNY                 | 255.000    | 11,169.59  | 9,319.60   | -1,849.99          |
| 11/02/09                     | 11/08/06         | SELL                 | SANOI AVENTIS<br>SPONS ADR               | SNY                 | 2,125.000  | 90,239.19  | 77,663.32  | -12,575.87         |
| 11/02/09                     | 03/14/07         | SELL                 | SANOI AVENTIS<br>SPONS ADR               | SNY                 | 2,250.000  | 94,005.58  | 82,231.75  | -11,773.83         |
| 11/02/09                     | 08/20/07         | SELL                 | SANOI AVENTIS<br>SPONS ADR               | SNY                 | 2,010.000  | 79,486.86  | 73,460.35  | -6,026.51          |
| 11/02/09                     | 11/08/06         | SELL                 | SEIKO EPSON CORP.<br>UNSPONSORED ADR     | SEKEY               | 9,670.000  | 121,199.91 | 74,940.57  | -46,259.34         |
| 11/02/09                     | 07/20/05         | SELL                 | SONY CORP ADR<br>AMERN SH NEW            | SNE                 | 480.000    | 16,885.06  | 13,843.81  | -3,041.25          |
| 11/02/09                     | 07/20/05         | SELL                 | SONY CORP ADR<br>AMERN SH NEW            | SNE                 | 2,255.000  | 77,857.00  | 65,037.05  | -12,820.95         |
| 11/02/09                     | 04/16/08         | SELL                 | SONY CORP ADR<br>AMERN SH NEW            | SNE                 | 1,420.000  | 58,372.51  | 40,954.59  | -17,417.92         |
| 11/02/09                     | 07/07/05         | SELL                 | STMICROELECTRONICS<br>NV SHS NY REGISTRY | STM                 | 4,590.000  | 72,285.14  | 36,796.67  | -35,488.47         |
| 11/02/09                     | 06/09/06         | SELL                 | STMICROELECTRONICS<br>NV SHS NY REGISTRY | STM                 | 4,455.000  | 69,279.26  | 35,714.41  | -33,564.85         |
| 11/02/09                     | 08/03/07         | SELL                 | SUMITOMO MITSUI FINL<br>GROUP INC ADR    | SMPJY               | 8,720.000  | 73,876.71  | 30,083.23  | -43,793.48         |
| 11/02/09                     | 08/30/07         | SELL                 | SUMITOMO MITSUI FINL<br>GROUP INC ADR    | SMPJY               | 10,125.000 | 79,176.49  | 34,930.35  | -44,246.14         |
| 11/02/09                     | 02/22/08         | SELL                 | SUMITOMO MITSUI FINL<br>GROUP INC ADR    | SMPJY               | 8,320.000  | 58,846.33  | 28,703.26  | -30,143.27         |
| 11/02/09                     | 06/05/08         | SELL                 | SWISS REINSURANCE<br>SPONS ADR           | SWCEY               | 1,340.000  | 108,099.36 | 58,405.29  | -49,694.07         |
| 11/02/09                     | 04/26/06         | SELL                 | SWISSCOM SPON ADR                        | SCMWY               | 3,725.000  | 121,446.92 | 134,075.55 | 12,628.63          |
| 11/02/09                     | 04/02/08         | SELL                 | TDK CORP<br>AMERICAN DEP SHS             | TTDKY               | 1,445.000  | 87,114.14  | 80,560.87  | -6,553.27          |
| 11/02/09                     | 07/16/07         | SELL                 | TELE NORTE LESTE<br>PARTICIPACoes S A    | TNE                 | 5,645.000  | 107,020.24 | 107,020.24 | 0.00               |

# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Closing Transaction | Description                              | Security Identifier | Quantity   | Cost Basis     | Proceeds   | Realized Gain/Loss |
|------------------------------|------------------|---------------------|------------------------------------------|---------------------|------------|----------------|------------|--------------------|
| <b>Long Term (continued)</b> |                  |                     |                                          |                     |            |                |            |                    |
| 11/02/09                     | 12/07/05         | SELL                | TELECOM ITALIA S P A NEW SPONS ADR       | TI                  | 1,351,000  | 39,540.12      | 21,945.18  | -17,594.94         |
| 11/02/09                     | 01/19/07         | SELL                | TELECOM ITALIA S P A NEW SPONS ADR       | TI                  | 2,670,000  | 82,151.36      | 43,370.57  | -38,780.79         |
| 11/02/09                     | 02/14/07         | SELL                | TELECOM ITALIA S P A NEW SPONS ADR       | TI                  | 5,645,000  | 176,000.37     | 91,695.46  | -84,304.91         |
| 11/02/09                     | 05/16/08         | SELL                | TELECOM ITALIA S P A NEW SPONS ADR       | TI                  | 2,410,000  | 54,014.61      | 39,147.22  | -14,867.39         |
| 11/02/09                     | 10/29/08         | SELL                | TELECOM ITALIA S P A NEW SPONS ADR       | TI                  | 2,770,000  | 31,576.51      | 44,994.95  | 13,418.44          |
| 11/02/09                     | 05/19/00         | SELL                | TELECOM ARGENTINA S A SPONSORED ADR      | TEO                 | 20,000     | 475.00         | 344.05     | -130.95            |
| 11/02/09                     | 05/19/00         | SELL                | TELECOM ARGENTINA S A SPONSORED ADR      | TEO                 | 1,140,000  | 33,953.60      | 19,610.89  | -14,342.71         |
| 11/02/09                     | 09/06/00         | SELL                | TELECOM ARGENTINA S A SPONSORED ADR      | TEO                 | 120,000    | 2,835.00       | 2,064.30   | -770.70            |
| 11/02/09                     | 09/06/00         | SELL                | TELECOM ARGENTINA S A SPONSORED ADR      | TEO                 | 660,000    | 18,078.40      | 11,353.67  | -6,724.73          |
| 11/02/09                     | 01/02/01         | SELL                | TELECOM ARGENTINA S A SPONSORED ADR      | TEO                 | 4,570,000  | 71,886.96      | 79,503.58  | 7,616.62           |
| 11/02/09                     | 07/25/05         | SELL                | TELECOM CORP OF NEW ZEALAND LTD          | NZT                 | 6,186,000  | 95,463.11      | 55,679.75  | -39,783.36         |
| 11/02/09                     | 11/18/05         | SELL                | TELEFONICA S A ADR                       | TEF                 | 1,587,000  | 69,574.40      | 133,495.83 | 63,921.43          |
| 11/02/09                     | 09/17/03         | SELL                | TELEFONOS DE MEXICO SA DE CV ADR CLASS L | TMX                 | 3,705,000  | 30,951.59      | 62,612.89  | 31,661.30          |
| 11/02/09                     | 09/17/03         | SELL                | TELMEX INTERNACIONAL SAB DE CV SPONS ADR |                     | 3,705,000  | 25,642.28      | 50,352.32  | 24,710.04          |
| 11/02/09                     | 07/06/06         | SELL                | THOMSON SPONS ADR                        |                     | 11,945,000 | 193,262.93     | 15,886.44  | -177,376.49        |
| 11/02/09                     | 08/16/06         | SELL                | THOMSON SPONS ADR                        |                     | 8,830,000  | 139,273.82     | 11,743.59  | -127,530.23        |
| 11/02/09                     | 12/14/99         | SELL                | TIEM PARTICIPACIOES SA                   |                     | 27,904     | Please Provide | 650.21     | N/A                |
| 11/02/09                     | 12/14/99         | SELL                | SPONS ADR REPSTG PFD                     |                     | 27,783     | Please Provide | 647.40     | N/A                |
| 11/02/09                     | 12/14/99         | SELL                | TIEM PARTICIPACIOES SA                   |                     | 29,761     | 2,943.71       | 693.49     | -2,250.22          |
| 11/02/09                     | 12/14/99         | SELL                | SPONS ADR REPSTG PFD                     |                     | 31,745     | -3,139.95      | 739.72     | -2,400.23          |
| 11/02/09                     | 01/02/01         | SELL                | TIEM PARTICIPACIOES SA                   |                     | 172,245    | Please Provide | 2,848.56   | N/A                |
| 11/02/09                     | 01/02/01         | SELL                | SPONS ADR REPSTG PFD                     |                     | 130,948    | 12,352.46      | 3,051.35   | -9,301.11          |
| 11/02/09                     | 05/21/01         | SELL                | TIEM PARTICIPACIOES SA                   |                     | 68,068     | Please Provide | 1,586.15   | N/A                |

| Proceeds from TIM Sales |
|-------------------------|
| 650.21                  |
| 647.40                  |
| 693.49                  |
| 739.72                  |
| 2,848.56                |
| 3,051.35                |
| 1,586.15                |
| 1,699.05                |
| 6,384.76                |
| 16,865.55               |
| 25,166.22               |

| Basis in TIM (per SPV/P) |
|--------------------------|
| 240,144.56               |
| Proceeds                 |
| 25,166.22                |
| Loss on Sale of TIM      |
| 214,978.34               |

Report Period: 01/01/2009 - 12/31/2009

**Schedule of Realized Gains and Losses (continued)**

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                                 | Security Identifier | Quantity  | Cost Basis     | Proceeds   | Realized Gain/Loss |
|------------------------------|------------------|-----------------------|---------------------------------------------|---------------------|-----------|----------------|------------|--------------------|
| <b>Long Term (continued)</b> |                  |                       |                                             |                     |           |                |            |                    |
| 11/02/09                     | 05/21/01         | SELL                  | TIM PARTICIPACOE SA<br>SPONS ADR REPSTG PFD | TSU                 | 72,914    | 4,960.79       | 4,699.05   | -261.74            |
| 11/02/09                     | 07/25/05         | SELL                  | TIM PARTICIPACOE SA<br>SPONS ADR REPSTG PFD | TSU                 | 274,000   | Please Provide | 6,384.76   | N/A                |
| 11/02/09                     | 07/25/05         | SELL                  | TIM PARTICIPACOE SA<br>SPONS ADR REPSTG PFD | TSU                 | 294,632   | Please Provide | 6,865.55   | N/A                |
| 11/02/09                     | 04/25/02         | SELL                  | TOKIO MARINE HDGS<br>INC ADR                | TKOMY               | 800,000   | 11,859.42      | 20,311.04  | 8,451.62           |
| 11/02/09                     | 02/09/05         | SELL                  | TOKIO MARINE HDGS<br>INC ADR                | TKOMY               | 1,950,000 | 54,496.49      | 49,508.16  | -4,988.33          |
| 11/02/09                     | 11/03/06         | SELL                  | TOMKINS PLG ADS<br>REPSTG A DRD SHS         | TKS                 | 6,675,000 | 122,169.19     | 71,801.67  | -50,367.52         |
| 11/02/09                     | 11/17/04         | SELL                  | UNILEVER NV NEW YORK<br>SHS NEW             | UN                  | 2,665,000 | 55,665.30      | 82,514.17  | 26,848.87          |
| 11/02/09                     | 11/17/04         | SELL                  | UNILEVER NV NEW YORK<br>SHS NEW             | UN                  | 3,750,000 | 78,328.29      | 116,108.12 | 37,779.83          |
| 11/02/09                     | 07/15/08         | SELL                  | UPM Kymmene Corp<br>SPONSORED ADR           | UPMKY               | 4,360,000 | 68,087.50      | 51,587.47  | -16,500.03         |
| 11/02/09                     | 12/14/99         | SELL                  | VIVO PARTICIPACOE<br>SA SPON ADR            | VIV                 | 28,446    | 68,828.65      | 712.82     | -68,115.83         |
| 11/02/09                     | 12/14/99         | SELL                  | VIVO PARTICIPACOE<br>SA SPON ADR            | VIV                 | 31,745    |                | 795.50     | -795.50            |
| 11/02/09                     | 01/02/01         | SELL                  | VIVO PARTICIPACOE<br>SA SPON ADR            | VIV                 | 14,917    |                | 373.80     | -373.80            |
| 11/02/09                     | 01/02/01         | SELL                  | VIVO PARTICIPACOE<br>SA SPON ADR            | VIV                 | 117,154   |                | 2,935.77   | -2,935.77          |
| 11/02/09                     | 07/02/01         | SELL                  | VIVO PARTICIPACOE<br>SA SPON ADR            | VIV                 | 130,948   |                | 3,281.45   | -3,281.45          |
| 11/02/09                     | 05/21/01         | SELL                  | VIVO PARTICIPACOE<br>SA SPON ADR            | VIV                 | 64,390    |                | 1,613.56   | -1,613.56          |
| 11/02/09                     | 05/21/01         | SELL                  | VIVO PARTICIPACOE<br>SA SPON ADR            | VIV                 | 44,332    |                | 359.14     | -359.14            |
| 11/02/09                     | 05/21/01         | SELL                  | VIVO PARTICIPACOE<br>SA SPON ADR            | VIV                 | 188,834   |                | 4,732.03   | -4,732.03          |
| 11/02/09                     | 05/21/01         | SELL                  | VIVO PARTICIPACOE<br>SA SPON ADR            | VIV                 | 72,914    |                | 782.17     | -782.17            |

# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Cost Basis | Description                          | Security Identifier | Quantity   | Cost Basis | Proceeds       | Realized Gain/Loss |
|------------------------------|------------------|------------|--------------------------------------|---------------------|------------|------------|----------------|--------------------|
| <b>Long Term (continued)</b> |                  |            |                                      |                     |            |            |                |                    |
| 11/02/09                     | 01/14/05         | SELL       | 2WVO PARTICIPACOEES<br>S A SPON ADR  | VV                  | 93.750     | 2,349.30   | 2,349.30       | 2,349.30           |
| 11/02/09                     | 07/25/05         | SELL       | 2WVO PARTICIPACOEES<br>S A SPON ADR  | VV                  | 406.890    | 10,196.33  | 10,196.33      | 10,196.33          |
| 11/02/09                     | 07/25/05         | SELL       | 2WVO PARTICIPACOEES<br>S A SPON ADR  | VV                  | 33.148     | 830.67     | 830.67         | 830.67             |
| 11/02/09                     | 07/25/05         | SELL       | 2WVO PARTICIPACOEES<br>S A SPON ADR  | VV                  | 339.901    | 8,517.64   | 8,517.64       | 8,517.64           |
| 11/02/09                     | 07/25/05         | SELL       | 2WVO PARTICIPACOEES<br>S A SPON ADR  | VV                  | 294.632    | 7,383.25   | 7,383.25       | 7,383.25           |
| 11/02/09                     | 07/25/05         | SELL       | 2WVO PARTICIPACOEES<br>S A SPON ADR  | VV                  | 104.000    | 2,606.16   | 2,606.16       | 2,606.16           |
| 11/02/09                     | 03/28/08         | SELL       | WOLSELEY PLC<br>SPONSORED ADR        | WOSCY               | 6,215.000  | 67,174.21  | 12,999.01      | -54,175.20         |
| 11/02/09                     | 05/08/03         | SELL       | WOLTERS KLUWER N V<br>SPON ADR       | WTKWY               | 25.000     | 330.75     | 549.38         | 218.63             |
| 11/02/09                     | 05/08/03         | SELL       | WOLTERS KLUWER N V<br>SPON ADR       | WTKWY               | 379.000    | 5,014.29   | 8,328.63       | 3,314.34           |
| 11/02/09                     | 05/05/05         | SELL       | WOLTERS KLUWER N V<br>SPON ADR       | WTKWY               | 262.000    | 4,637.47   | 5,757.53       | 1,120.06           |
| 11/02/09                     | 05/05/05         | SELL       | WOLTERS KLUWER N V<br>SPON ADR       | WTKWY               | 348.000    | 6,159.86   | 7,647.40       | 1,487.54           |
| 11/02/09                     | 06/03/05         | SELL       | WOLTERS KLUWER N V<br>SPON ADR       | WTKWY               | 4,135.000  | 72,155.75  | 90,867.82      | 18,712.07          |
| 11/02/09                     | 05/22/06         | SELL       | WOLTERS KLUWER N V<br>SPON ADR       | WTKWY               | 258.000    | 6,392.01   | 5,669.62       | -722.39            |
| 11/10/09                     | 07/25/05         | SELL       | ZTELECOMUNICACOEES<br>BRASILEIRAS SA | TBH                 | 45.000     | 755.98     | 755.98         | 0.00               |
| 11/11/09                     | 06/21/07         | SELL       | ST basis<br>LT basis                 |                     | 21,335.000 | 109,550.96 | 60,875.72      | -48,675.24         |
|                              |                  |            |                                      |                     |            |            | \$6,491,835.84 | \$2,966,302.92     |

The Schedule of Realized Gains and Losses is not reported to the IRS. This schedule may not reflect all cost basis adjustments necessary for tax reporting purposes; for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable.

When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.

Realized gains and losses are not reported for securities for which cost basis or proceeds are not available.

# Money Market Fund Detail (continued)

| Date                                              | Activity Type   | Description           | Amount     | Balance             |
|---------------------------------------------------|-----------------|-----------------------|------------|---------------------|
| <b>Money Market Fund (continued)</b>              |                 |                       |            |                     |
| <b>PRIME MGMT OBLIGATIONS CAPITAL (continued)</b> |                 |                       |            |                     |
| 12/09/09                                          | Deposit         | MONEY FUND PURCHASE   | 1,836.71   | 530,384.95          |
| 12/10/09                                          | Deposit         | MONEY FUND PURCHASE   | 2,626.68   | 533,011.63          |
| 12/14/09                                          | Deposit         | MONEY FUND PURCHASE   | 291.21     | 533,302.84          |
| 12/15/09                                          | Deposit         | MONEY FUND PURCHASE   | 1,435.11   | 534,737.95          |
| 12/16/09                                          | Deposit         | MONEY FUND PURCHASE   | 819.91     | 535,557.86          |
| 12/17/09                                          | Deposit         | MONEY FUND PURCHASE   | 925.88     | 536,483.74          |
| 12/18/09                                          | Deposit         | MONEY FUND PURCHASE   | 3,322.92   | 539,806.66          |
| 12/22/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -24,972.22 | 514,834.44          |
| 12/28/09                                          | Deposit         | MONEY FUND PURCHASE   | 1,292.11   | 516,126.55          |
| 12/29/09                                          | Deposit         | MONEY FUND PURCHASE   | 268.42     | 516,394.97          |
| 12/31/09                                          | Deposit         | INCOME REINVEST       | 44.01      | 516,438.98          |
| 12/31/09                                          | Closing Balance |                       |            | <b>\$516,438.98</b> |
| <b>Total All Money Market Funds</b>               |                 |                       |            | <b>\$516,438.98</b> |

# Schedule of Realized Gains and Losses

| Disposition Date  | Acquisition Date | Closing Transaction | Description          | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------|------------------|---------------------|----------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Short Term</b> |                  |                     |                      |                     |           |            |           |                    |
| 01/16/09          | 07/03/08         | SELL                | TDK CORP             | TTDKY               | 594,000   | 36,290.13  | 22,332.49 | -13,957.64         |
| 02/02/09          | 03/19/08         | SELL                | AMERICAN DEP SHS     | ERIC                | 6,823,000 | 59,489.74  | 53,051.93 | -6,437.81          |
| 02/02/09          | 02/12/08         | SELL                | ERICSSON L M TEL CO  | 71644E102           | 1,540,000 | 68,185.19  | 33,232.55 | -34,952.64         |
| 03/05/09          | 04/29/08         | SELL                | ADR CL B SEK 10 NEW  | LIHR                | 609,000   | 17,029.89  | 11,956.98 | -5,072.91          |
| 03/11/09          | 03/19/08         | SELL                | PETRO CDA COM        | ERIC                | 5,000     | 43.59      | 40.98     | -2.61              |
| 03/11/09          | 09/16/08         | SELL                | SHS STOCK MERGER EFF | LNMIY               | 865,000   | 42,195.65  | 15,274.77 | -26,920.88         |
| 03/19/09          | 08/07/08         | SELL                | LIHR GOLD LIMITED    | SSR0                | 1,732,000 | 48,295.61  | 27,260.13 | -21,035.48         |
| 03/23/09          | 06/18/08         | SELL                | ADR                  | HACBY               | 374,000   | 24,846.76  | 22,071.93 | -2,774.83          |
| 04/03/09          | 09/16/08         | SELL                | ERICSSON L M TEL CO  | LNMIY               | 794,000   | 38,732.19  | 17,770.97 | -20,961.22         |
| 04/03/09          | 09/23/08         | SELL                | ADR CL B SEK 10 NEW  | LNMIY               | 841,000   | 39,849.86  | 18,822.90 | -21,026.96         |
| 04/23/09          | 03/16/08         | SELL                | LONMIN PUB LTD CO    | KT                  | 1,180,000 | 26,955.45  | 15,604.00 | -11,351.45         |
| 04/23/09          | 04/29/08         | SELL                | SPONSORED ADR NEW    | LIHR                | 1,166,000 | 32,605.68  | 24,390.10 | -8,215.58          |
|                   |                  |                     | LONMIN PUB LTD CO    |                     |           |            |           |                    |
|                   |                  |                     | SPONSORED ADR NEW    |                     |           |            |           |                    |
|                   |                  |                     | KT CORP SPON ADR     |                     |           |            |           |                    |
|                   |                  |                     | LIHR GOLD LIMITED    |                     |           |            |           |                    |
|                   |                  |                     | ADR                  |                     |           |            |           |                    |

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Account Number: 19C-002904  
IRENE W. & C.B. PENNINGTON FDN.

DALLAS RATED  
FOR CREDIT RISK

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
BANK OF NEW YORK MELLON CORPORATION

5000512205FF60A2

# Pershing

AN AFFILIATE OF THE BANK  
OF NEW YORK MELLON  
One Pershing Plaza, Jersey City, NJ 07399  
Pershing Advisor Services LLC, member FINRA, SIPC  
(877) 870-7230



## 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

### Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Closing Transaction | Description                              | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------------------|------------------|---------------------|------------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Short Term (continued)</b> |                  |                     |                                          |                     |           |            |           |                    |
| 04/23/09                      | 07/29/08         | SELL                | LIHR GOLD LIMITED ADR                    | LIHR                | 1,700.000 | 47,140.15  | 35,560.19 | -11,579.96         |
| 04/23/09                      | 02/02/09         | SELL                | NOKIA CORP SPONSORED ADR                 | NOK                 | 2,125.000 | 25,679.35  | 31,728.41 | 6,049.06           |
| 04/23/09                      | 02/02/09         | SELL                | NOKIA CORP SPONSORED ADR                 | NOK                 | 965.000   | 11,661.45  | 14,214.08 | 2,552.63           |
| 04/23/09                      | 12/24/08         | SELL                | SEVEN & 1 HLDGS CO LTD                   | SVNDY               | 267.000   | 16,832.35  | 11,721.00 | -5,111.35          |
| 04/23/09                      | 01/07/09         | SELL                | SEVEN & 1 HLDGS CO LTD                   | SVNDY               | 227.000   | 13,397.02  | 9,965.04  | -3,431.98          |
| 04/23/09                      | 07/03/08         | SELL                | TDK CORP AMERICAN DEP SHS                | TTDKY               | 181.000   | 11,058.11  | 7,878.55  | -3,179.56          |
| 04/23/09                      | 07/29/08         | SELL                | TDK CORP AMERICAN DEP SHS                | TTDKY               | 596.000   | 36,372.10  | 25,942.65 | -10,429.45         |
| 04/23/09                      | 07/15/08         | SELL                | TECHNIP SPONS ADR                        | TKPPY               | 565.000   | 43,531.21  | 21,079.61 | -22,451.60         |
| 04/28/09                      | 03/11/09         | SELL                | ISIN#US8785462099 GEMALTO NV ADR         | 36863N109           | 2,463.000 | 28,318.59  | 36,808.83 | 8,490.24           |
| 04/28/09                      | 03/31/09         | CLEU                | TNT N V SPONS ADR                        | TNTTY               | 0.800     | 13.27      | 13.59     | 0.32               |
| 06/25/09                      | 02/20/09         | SELL                | ISIN#US87260W1018 AEGON N V              | AEG                 | 1,379.000 | 5,664.93   | 8,041.97  | 2,377.04           |
| 06/25/09                      | 08/11/08         | SELL                | ORD AMER REG CAMECO CORP COM             | CCI                 | 1,185.000 | 37,721.16  | 30,308.67 | -7,412.49          |
| 06/25/09                      | 09/10/08         | SELL                | ISIN#CA1332111085 CENTRAIS ELECTRICAS    | EBR B               | 3,449.000 | 43,883.70  | 44,891.00 | 1,007.30           |
| 06/25/09                      | 10/27/08         | SELL                | BRASILEIRAS SA SPON CENTRAIS ELECTRICAS  | EBR B               | 4,702.000 | 39,847.57  | 61,199.62 | 21,352.05          |
| 06/25/09                      | 09/02/08         | SELL                | BRASILEIRAS SA SPON IMPALA PLTUM HLD LTD | IMPUY               | 1,545.000 | 39,212.56  | 32,984.50 | -6,227.66          |
| 06/25/09                      | 09/05/08         | SELL                | SPONSORED ADR IMPALA PLTUM HLD LTD       | IMPUY               | 212.000   | 5,207.67   | 4,526.08  | -681.59            |
| 06/25/09                      | 04/23/09         | SELL                | SPONSORED ADR KAO CORP                   | KCRPY               | 151.000   | 30,491.07  | 31,938.69 | 1,447.62           |
| 06/25/09                      | 02/17/09         | SELL                | SPONSORED ADR REPSTIG NOVARTIS AG        | NVS                 | 794.000   | 33,455.03  | 32,559.75 | -895.28            |

# Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Closing Transaction | Description                         | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------------------|------------------|---------------------|-------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Short Term (continued)</b> |                  |                     |                                     |                     |           |            |           |                    |
| 06/25/09                      | 01/16/09         | SELL                | ROHM CO LTD ADR                     | ROHCY               | 985,000   | 24,482.57  | 33,213.34 | 8,730.77           |
| 06/25/09                      | 09/29/08         | SELL                | SIEMENS A G SPONSORED ADR           | SI                  | 571,000   | 52,889.50  | 39,250.67 | -13,638.83         |
| 06/25/09                      | 10/20/08         | SELL                | SOCIETE GENERALE FRANCE SPON ADR    | SCGLY               | 3,133,000 | 35,471.83  | 34,367.79 | -1,104.04          |
| 06/25/09                      | 07/23/08         | SELL                | SUNCOR ENERGY INC STOCK MERGER EFF  | 867229106           | 689,000   | 37,083.15  | 20,885.27 | -16,197.88         |
| 06/25/09                      | 07/29/08         | SELL                | TDK CORP AMERICAN DEP SHS           | TTDKY               | 192,000   | 11,717.18  | 8,918.17  | -2,799.01          |
| 06/25/09                      | 10/22/08         | SELL                | TDK CORP AMERICAN DEP SHS           | TTDKY               | 208,000   | 7,226.46   | 9,661.35  | 2,434.89           |
| 06/25/09                      | 07/15/08         | SELL                | TECHNIP SPONS ADR ISIN#US8785462099 | TKPPY               | 62,000    | 4,776.88   | 2,932.52  | -1,844.36          |
| 06/25/09                      | 09/05/08         | SELL                | TECHNIP SPONS ADR ISIN#US8785462099 | TKPPY               | 546,000   | 38,737.83  | 25,825.14 | -12,912.69         |
| 06/25/09                      | 07/22/08         | SELL                | VODAFONE GROUP PLC SPON ADR NEW     | VOID                | 721,000   | 18,659.34  | 13,953.48 | -4,705.86          |
| 06/25/09                      | 02/24/09         | SELL                | WOLTERS KLUWER N V SPON ADR         | WTKWY               | 1,529,000 | 24,900.99  | 26,970.86 | 2,069.87           |
| 07/15/09                      | 07/23/08         | SELL                | SUNCOR ENERGY INC STOCK MERGER EFF  | 867229106           | 143,000   | 7,696.50   | 4,189.41  | -3,507.09          |
| 07/15/09                      | 01/28/09         | SELL                | SUNCOR ENERGY INC STOCK MERGER EFF  | 867229106           | 797,000   | 16,347.03  | 23,349.34 | 7,002.31           |
| 07/24/09                      | 11/20/08         | SELL                | TECHNIP SPONS ADR ISIN#US8785462099 | TKPPY               | 725,000   | 17,355.12  | 43,245.28 | 25,890.16          |
| 08/03/09                      | 10/22/08         | SELL                | TDK CORP AMERICAN DEP SHS           | TTDKY               | 701,000   | 24,354.56  | 37,071.21 | 12,716.65          |
| 08/20/09                      | 01/28/09         | SELL                | SUNCOR ENERGY INC NEW COM           | SU                  | 895,000   | 18,357.08  | 28,482.46 | 10,125.38          |
| 08/24/09                      | 10/22/08         | SELL                | TDK CORP AMERICAN DEP SHS           | TTDKY               | 294,000   | 10,214.33  | 16,955.25 | 6,740.92           |
| 08/24/09                      | 12/12/08         | SELL                | TDK CORP AMERICAN DEP SHS           | TTDKY               | 330,000   | 10,982.80  | 19,031.40 | 8,048.60           |
| 10/01/09                      | 01/28/09         | SELL                | SUNCOR ENERGY INC NEW COM           | SU                  | 890,000   | 18,254.52  | 29,817.88 | 11,563.36          |
| 10/02/09                      | 10/20/08         | SELL                | SOCIETE GENERALE FRANCE SPON ADR    | SCGLY               | 750,000   | 8,491.50   | 11,522.03 | 3,030.53           |
| 10/02/09                      | 01/16/09         | SELL                | SOCIETE GENERALE FRANCE SPON ADR    | SCGLY               | 187,000   | 1,582.09   | 2,872.82  | 1,290.73           |
| 10/13/09                      | 03/31/09         | SELL                | TNT N V SPONS ADR ISIN#US87260W1018 | TNTTY               | 1,959,000 | 32,501.05  | 53,424.86 | 20,923.81          |
| 12/02/09                      | 02/17/09         | SELL                | NOVARTIS AG SPONSORED ADR           | NVS                 | 525,000   | 22,120.77  | 29,533.75 | 7,412.98           |

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**Pershing**  
An affiliate of The Bank of New York Mellon

One Pershing Place, Jersey City, NJ 07399  
Pershing Real Estate Advisors LLC, a subsidiary of The Bank of New York Mellon Corporation  
(877) 670-7230



## 2009 Year-End Account Report

### Schedule of Realized Gains and Losses (continued)

Report Period: 01/01/2009 - 12/31/2009

| Disposition Date        | Acquisition Date | Closing Transaction | Description                             | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------------|------------------|---------------------|-----------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Total Short Term</b> |                  |                     |                                         |                     |           |            |           |                    |
| <b>Long Term</b>        |                  |                     |                                         |                     |           |            |           |                    |
| 01/21/09                | 09/25/07         | SELL                | SANOFI AVENTIS SPONS ADR                | SNY                 | 190,000   | 8,089.74   | 5,884.36  | -2,205.38          |
| 01/21/09                | 10/03/07         | SELL                | SANOFI AVENTIS SPONS ADR                | SNY                 | 929,000   | 39,483.24  | 28,771.43 | -10,711.81         |
| 01/30/09                | 05/10/07         | SELL                | GOLD FIELDS LTD NEW SPONS ADR           | GFI                 | 948,000   | 16,762.16  | 10,166.86 | -6,595.30          |
| 01/30/09                | 05/17/07         | SELL                | GOLD FIELDS LTD NEW SPONS ADR           | GFI                 | 3,399,000 | 57,879.54  | 36,452.71 | -21,426.83         |
| 02/02/09                | 11/21/07         | SELL                | ERICSSON L M TEL CO ADR CL B SEK 10 NEW | ERIC                | 821,000   | 9,755.49   | 6,383.65  | -3,371.84          |
| 02/02/09                | 12/17/07         | SELL                | PETRO CDA COM                           | 71644E102           | 64,000    | 3,249.74   | 1,381.09  | -1,868.65          |
| 02/02/09                | 01/18/08         | SELL                | SHS STOCK MERGER EFF                    | 71644E102           | 1,399,000 | 67,710.48  | 30,189.83 | -37,520.65         |
| 02/03/09                | 10/05/05         | SELL                | SEKISUI HOUSE LTD SPONSORED ADR         | SKHSY               | 2,257,000 | 26,652.24  | 19,300.40 | -7,351.84          |
| 02/03/09                | 09/06/07         | SELL                | SEKISUI HOUSE LTD SPONSORED ADR         | SKHSY               | 1,293,000 | 15,669.48  | 11,056.89 | -4,612.59          |
| 02/06/09                | 05/31/07         | SELL                | NEWMONT MINING CORP (HLDC CO)           | NEM                 | 1,367,000 | 54,983.61  | 56,172.85 | 1,189.24           |
| 02/09/09                | 09/12/06         | SELL                | TECHNIP SPONS ADR                       | TKPPY               | 175,000   | 9,797.08   | 6,564.37  | -3,232.71          |
| 02/09/09                | 01/30/08         | SELL                | TECHNIP SPONS ADR                       | TKPPY               | 334,000   | 21,789.23  | 12,528.57 | -9,260.66          |
| 02/17/09                | 10/02/07         | SELL                | ANGLOGOLD ASHANTI LTD SPONSORED ADR     | AU                  | 114,000   | 4,660.66   | 3,582.12  | -1,078.54          |
| 02/17/09                | 02/13/08         | SELL                | ANGLOGOLD ASHANTI LTD SPONSORED ADR     | AU                  | 780,000   | 25,301.38  | 24,509.26 | -792.12            |
| 02/27/09                | 05/31/07         | SELL                | NEWMONT MINING CORP (HLDC CO)           | NEM                 | 661,000   | 26,586.81  | 27,971.05 | 1,384.24           |
| 03/09/09                | 05/17/07         | SELL                | GOLD FIELDS LTD NEW SPONS ADR           | GFI                 | 1,104,000 | 18,799.35  | 12,124.16 | -6,675.19          |
| 03/09/09                | 02/01/08         | SELL                | GOLD FIELDS LTD NEW SPONS ADR           | GFI                 | 47,000    | 584.96     | 516.16    | -68.80             |

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Account Number: 19C-002904  
IRENE W. & C.B. PENNINGTON FDN.

DALLAS RATED  
FOR CUMULATIVE

PUR-17-2011

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
Member FINRA NYSE CIB

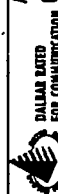
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# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                         | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|-----------------------|-------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |                       |                                     |                     |           |            |           |                    |
| 03/11/09                     | 02/13/08         | SELL                  | ANGLOGOLD ASHANTI LTD SPONSORED ADR | AU                  | 585,000   | 18,976.04  | 18,537.37 | -438.67            |
| 03/11/09                     | 03/04/08         | SELL                  | ANGLOGOLD ASHANTI LTD SPONSORED ADR | AU                  | 394,000   | 13,469.13  | 12,485.00 | -984.13            |
| 03/12/09                     | 02/01/08         | SELL                  | GOLD FIELDS LTD NEW SPONS ADR       | GFI                 | 3,197,000 | 46,591.80  | 39,265.65 | -7,326.15          |
| 03/12/09                     | 10/04/05         | SELL                  | KT CORP SPON ADR                    | KT                  | 2,266,000 | 51,408.91  | 29,149.20 | -22,259.71         |
| 03/12/09                     | 10/04/05         | SELL                  | SUNCOR ENERGY INC STOCK MERGER EFF  | 867229106           | 1,418,000 | 40,568.98  | 34,428.97 | -6,140.01          |
| 03/12/09                     | 01/17/08         | SELL                  | SUNCOR ENERGY INC STOCK MERGER EFF  | 867229106           | 237,000   | 10,794.57  | 5,754.35  | -5,040.22          |
| 03/13/09                     | 03/04/08         | SELL                  | ANGLOGOLD ASHANTI LTD SPONSORED ADR | AU                  | 890,000   | 30,425.19  | 30,395.90 | -29.29             |
| 03/18/09                     | 02/01/08         | SELL                  | GOLD FIELDS LTD NEW SPONS ADR       | GFI                 | 1,076,000 | 15,681.19  | 13,203.19 | -2,478.00          |
| 03/18/09                     | 02/05/08         | SELL                  | GOLD FIELDS LTD NEW SPONS ADR       | GFI                 | 425,000   | 5,779.06   | 5,215.02  | -564.04            |
| 03/19/09                     | 10/24/07         | SELL                  | DAWA HOUSE IND LTD ADR              | DWAHY               | 413,000   | 51,502.30  | 32,732.17 | -18,770.13         |
| 03/31/09                     | 10/05/05         | SELL                  | KIRIN HLDGS CO LTD SPONSORED ADR    | KIRBY               | 2,740,000 | 30,618.41  | 29,032.05 | -1,586.36          |
| 04/09/09                     | 10/24/07         | SELL                  | DAWA HOUSE IND LTD ADR              | DWAHY               | 122,000   | 15,213.75  | 10,662.53 | -4,551.22          |
| 04/09/09                     | 01/04/08         | SELL                  | DAWA HOUSE IND LTD ADR              | DWAHY               | 127,000   | 16,258.55  | 11,099.51 | -5,159.04          |
| 04/09/09                     | 09/06/07         | SELL                  | SEKSUI HOUSE LTD SPONSORED ADR      | SKHSY               | 617,000   | 7,477.24   | 5,125.47  | -2,351.77          |
| 04/09/09                     | 09/13/07         | SELL                  | SEKSUI HOUSE LTD SPONSORED ADR      | SKHSY               | 1,825,000 | 21,432.07  | 15,160.43 | -6,271.64          |
| 04/13/09                     | 10/04/05         | SELL                  | KT CORP SPON ADR                    | KT                  | 3,740,000 | 84,849.65  | 54,344.91 | -30,504.74         |
| 04/23/09                     | 03/04/08         | SELL                  | ANGLOGOLD ASHANTI LTD SPONSORED ADR | AU                  | 329,000   | 11,247.07  | 10,420.42 | -826.65            |
| 04/23/09                     | 03/19/08         | SELL                  | ANGLOGOLD ASHANTI LTD SPONSORED ADR | AU                  | 533,000   | 16,691.02  | 16,881.71 | 190.69             |
| 04/23/09                     | 10/05/05         | SELL                  | DAI NIPPON PRIG LTD JAPAN SPON ADR  | DNPLY               | 3,037,000 | 49,300.23  | 30,794.38 | -18,505.85         |
| 04/23/09                     | 10/04/05         | SELL                  | FUJIFILM HLDGS CORP ADR 2 ORD       | FUJIY               | 1,057,000 | 36,119.02  | 27,177.11 | -8,941.91          |
| 04/23/09                     | 10/04/05         | SELL                  | KT CORP SPON ADR                    | KT                  | 1,389,000 | 31,512.35  | 18,367.75 | -13,144.60         |
| 04/23/09                     | 04/12/06         | SELL                  | KT CORP SPON ADR                    | KT                  | 3,271,000 | 71,661.72  | 43,254.80 | -28,406.92         |
| 04/23/09                     | 10/16/07         | SELL                  | KT CORP SPON ADR                    | KT                  | 2,132,000 | 51,253.07  | 28,192.98 | -23,060.09         |
| 04/23/09                     | 01/23/08         | SELL                  | KT CORP SPON ADR                    | KT                  | 1,253,000 | 30,134.65  | 16,569.33 | -13,565.32         |
| 04/23/09                     | 10/05/05         | SELL                  | KIRIN HLDGS CO LTD SPONSORED ADR    | KIRBY               | 3,669,000 | 40,999.61  | 41,275.55 | 275.94             |

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Account Number: 19C-002904  
IRENE W. & C.B. PENNINGTON FDN.

04/04/09

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation

**Pershing**  
AN AFFILIATE OF THE BANK  
OF NEW YORK MELLON  
One Pershing Plaza, Jersey City, NJ 07399  
Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
(877) 670-7230



## 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

### Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Closing Transaction | Description                   | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|---------------------|-------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |                     |                               |                     |           |            |           |                    |
| 04/23/09                     | 11/14/06         | SELL                | KIRIN HLDGS CO LTD            | KNBWY               | 6,197.000 | 82,123.88  | 69,715.08 | -12,408.80         |
| 04/23/09                     | 11/14/06         | SELL                | SPONSORED ADR                 |                     |           |            |           |                    |
| 04/23/09                     | 11/14/06         | SELL                | KIRIN HLDGS CO LTD            | KNBWY               | 276.000   | 3,657.61   | 3,121.47  | -536.14            |
| 04/23/09                     | 10/02/07         | SELL                | SPONSORED ADR                 |                     |           |            |           |                    |
| 04/23/09                     | 10/02/07         | SELL                | NEXEN INC COM                 | NXY                 | 1,482.000 | 45,105.26  | 27,786.78 | -17,318.48         |
| 04/23/09                     | 10/10/07         | SELL                | SHS                           |                     |           |            |           |                    |
| 04/23/09                     | 10/10/07         | SELL                | NEXEN INC COM                 | NXY                 | 725.000   | 22,289.76  | 13,593.40 | -8,696.36          |
| 04/23/09                     | 05/31/07         | SELL                | SHS                           |                     |           |            |           |                    |
| 04/23/09                     | 05/31/07         | SELL                | NIPPON TELEG & TELEPHONE CORP | NTT                 | 1,854.000 | 43,119.22  | 34,845.76 | -8,273.46          |
| 04/23/09                     | 02/03/06         | SELL                | PROMISE CO LTD                | PMSEY               | 146.000   | 4,078.32   | 963.58    | -3,114.74          |
| 04/23/09                     | 07/10/06         | SELL                | ADR                           |                     |           |            |           |                    |
| 04/23/09                     | 07/10/06         | SELL                | PROMISE CO LTD                | PMSEY               | 3,380.000 | 85,439.64  | 22,307.43 | -63,132.21         |
| 04/23/09                     | 09/20/06         | SELL                | ADR                           |                     |           |            |           |                    |
| 04/23/09                     | 09/20/06         | SELL                | PROMISE CO LTD                | PMSEY               | 2,018.000 | 42,844.97  | 13,318.46 | -29,526.51         |
| 04/23/09                     | 11/09/06         | SELL                | ADR                           |                     |           |            |           |                    |
| 04/23/09                     | 11/09/06         | SELL                | PROMISE CO LTD                | PMSEY               | 4,585.000 | 79,838.15  | 30,260.21 | -49,577.94         |
| 04/23/09                     | 09/13/07         | SELL                | SEKISUI HOUSE LTD             | SKHSY               | 530.000   | 6,224.11   | 4,579.08  | -1,645.03          |
| 04/23/09                     | 10/04/07         | SELL                | SPONSORED ADR                 |                     |           |            |           |                    |
| 04/23/09                     | 10/04/07         | SELL                | SEKISUI HOUSE LTD             | SKHSY               | 2,938.000 | 36,136.22  | 25,383.66 | -10,752.56         |
| 04/23/09                     | 10/05/05         | SELL                | SPONSORED ADR                 |                     |           |            |           |                    |
| 04/23/09                     | 10/05/05         | SELL                | SWISSCOM SPON ADR             | SCMWY               | 1,688.000 | 54,839.75  | 43,819.35 | -11,020.40         |
| 04/23/09                     | 01/30/08         | SELL                | TECHNIP SPONS ADR             | TKPPY               | 50.000    | 3,261.93   | 1,865.45  | -1,396.48          |
| 04/23/09                     | 10/05/05         | SELL                | ISIN#US8785462099             |                     |           |            |           |                    |
| 04/23/09                     | 10/05/05         | SELL                | TELECOM ITALIA S P A          | TI A                | 2,487.000 | 67,475.29  | 22,489.36 | -44,985.93         |
| 04/23/09                     | 10/05/05         | SELL                | NEW SPON ADR REPSTG           |                     |           |            |           |                    |
| 04/23/09                     | 10/05/05         | SELL                | TOMKINS PLC ADS               | TKS                 | 3,094.000 | 64,105.82  | 28,020.19 | -36,085.63         |
| 04/23/09                     | 09/08/06         | SELL                | REPSTG 4 ORD SHS              |                     |           |            |           |                    |
| 04/23/09                     | 09/08/06         | SELL                | TOMKINS PLC ADS               | TKS                 | 3,440.000 | 63,443.23  | 31,153.67 | -32,289.56         |
| 04/23/09                     | 10/01/07         | SELL                | REPSTG 4 ORD SHS              |                     |           |            |           |                    |
| 04/23/09                     | 10/01/07         | SELL                | TOMKINS PLC ADS               | TKS                 | 4,287.000 | 78,867.08  | 38,824.37 | -40,042.71         |
| 04/23/09                     | 05/22/07         | SELL                | REPSTG 4 ORD SHS              |                     |           |            |           |                    |
| 04/23/09                     | 05/22/07         | SELL                | TOPPAN PRGTG LTD ADR          | TONPY               | 2,717.000 | 146,690.29 | 98,508.71 | -48,181.58         |
| 04/23/09                     | 05/26/06         | SELL                | VODAFONE GROUP PLC            | VOD                 | 1,039.000 | 26,464.22  | 18,836.58 | -7,627.64          |
| 04/23/09                     | 05/26/06         | SELL                | SPON ADR NEW                  |                     |           |            |           |                    |

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Account Number: 19C-002904  
IRENE W. & C.B. PENNINGTON FDN.

PAP-02-ROLL

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
Member FINRA, NYSE, SIPC

## Schedule of Realized Gains and Losses (continued)

| Disposition Date      | Acquisition Date | Closing Transaction | Description                             | Security Identifier | Quantity   | Cost Basis | Proceeds  | Realized Gain/Loss |
|-----------------------|------------------|---------------------|-----------------------------------------|---------------------|------------|------------|-----------|--------------------|
| Long Term (continued) |                  |                     |                                         |                     |            |            |           |                    |
| 04/23/09              | 08/04/06         | SELL                | VODAFONE GROUP PLC SPON ADR NEW         | VOD                 | 1,991,000  | 44,466.99  | 36,095.90 | -8,371.09          |
| 06/16/09              | 01/04/08         | SELL                | DAIWA HOUSE IND LTD ADR                 | DWAHY               | 352,000    | 45,063.08  | 35,805.53 | -9,257.55          |
| 06/25/09              | 02/15/08         | SELL                | AEGON N V ORD AMER REG                  | AEG                 | 4,437,000  | 61,077.52  | 25,875.43 | -35,202.09         |
| 06/25/09              | 10/05/05         | SELL                | ALUMINA LTD SPONSORED ADR               | AWC                 | 10,442,000 | 189,245.59 | 46,778.95 | -142,466.64        |
| 06/25/09              | 03/19/08         | SELL                | ANGLOGOLD ASHANTI LTD SPONSORED ADR     | AU                  | 984,000    | 30,814.19  | 37,491.40 | 6,677.21           |
| 06/25/09              | 02/23/07         | SELL                | BP PLC SPONS ADR                        | BP                  | 217,000    | 13,661.99  | 10,255.16 | -3,406.83          |
| 06/25/09              | 02/26/07         | SELL                | BP PLC SPONS ADR                        | BP                  | 967,000    | 62,222.10  | 45,699.24 | -16,522.86         |
| 06/25/09              | 03/16/06         | SELL                | BARRICK GOLD CORP COM                   | ABX                 | 158,000    | 4,188.55   | 5,523.01  | 1,334.46           |
| 06/25/09              | 11/14/06         | SELL                | BARRICK GOLD CORP COM                   | ABX                 | 1,189,000  | 34,704.89  | 41,562.42 | 6,857.53           |
| 06/25/09              | 01/02/08         | SELL                | CENTRAIS ELECTRICAS BRASILEIRAS SA SPON | EBR B               | 800,000    | 10,341.84  | 10,412.53 | 70.69              |
| 06/25/09              | 10/05/05         | SELL                | DAI NIPPON PRTG LTD JAPAN SPON ADR      | DNPLY               | 4,770,000  | 77,432.36  | 63,391.67 | -14,040.69         |
| 06/25/09              | 01/04/08         | SELL                | DAIWA HOUSE IND LTD ADR                 | DWAHY               | 13,000     | 1,664.26   | 1,416.96  | -247.30            |
| 06/25/09              | 02/13/08         | SELL                | DAIWA HOUSE IND LTD ADR                 | DWAHY               | 250,000    | 26,238.30  | 27,249.30 | 1,011.00           |
| 06/25/09              | 10/04/05         | SELL                | FUJIFILM HDLGS CORP ADR 2 ORD           | FUIJY               | 1,203,000  | 41,108.03  | 36,109.53 | -4,998.50          |
| 06/25/09              | 12/02/05         | SELL                | FUJIFILM HDLGS CORP ADR 2 ORD           | FUIJY               | 81,000     | 2,684.80   | 2,431.31  | -253.49            |
| 06/25/09              | 02/05/08         | SELL                | GOLD FIELDS LTD NEW SPONS ADR           | GFI                 | 3,961,000  | 53,860.89  | 49,220.35 | -4,640.54          |
| 06/25/09              | 10/04/05         | SELL                | KOREA ELEC PWR CO SPONSORED ADR RPSTG   | KEP                 | 3,144,000  | 55,721.49  | 35,749.05 | -19,972.44         |
| 06/25/09              | 11/09/07         | SELL                | MITSUMI SUMITOMO INS GRP HDLGS INC ADR  | MSIGY               | 696,000    | 12,621.52  | 9,224.72  | -3,396.60          |
| 06/25/09              | 11/21/07         | SELL                | MITSUMI SUMITOMO INS GRP HDLGS INC ADR  | MSIGY               | 1,654,000  | 30,485.70  | 21,921.97 | -8,563.73          |
| 06/25/09              | 06/23/06         | SELL                | NEWCREST MINING LTD ADR                 | NCMGY               | 1,355,000  | 19,729.75  | 32,790.15 | 13,060.40          |
| 06/25/09              | 05/31/07         | SELL                | NEWMONT MINING CORP (HLDG CO)           | NEM                 | 473,000    | 19,025.05  | 20,211.72 | 1,186.67           |
| 06/25/09              | 10/10/07         | SELL                | NEXEN INC COM SHS                       | NXY                 | 828,000    | 25,456.45  | 17,867.78 | -7,588.67          |
| 06/25/09              | 05/31/07         | SELL                | NIPPON TELEG & TELEPHONE CORP           | NTT                 | 462,000    | 10,744.92  | 9,320.69  | -1,424.23          |

**Pershing**  
 AN AFFILIATE OF THE BANK  
 OF NEW YORK MELLON  
 One Pershing Place, Jersey City, NJ 07399  
 Pershing Advisors LLC Member FINRA, SIPC  
 (877) 879-7230



## 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

### Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                               | Security Identifier | Quantity   | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|-----------------------|-------------------------------------------|---------------------|------------|------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |                       |                                           |                     |            |            |           |                    |
| 06/25/09                     | 06/18/07         | SELL                  | NIPPON TELEG & TELEPHONE CORP             | NTT                 | 1,111.000  | 25,244.14  | 22,414.05 | -2,830.09          |
| 06/25/09                     | 10/04/05         | SELL                  | ROYAL DUTCH SHELL PLC SPONSORED ADR       | RDS B               | 972.000    | 65,179.15  | 48,923.19 | -16,255.96         |
| 06/25/09                     | 10/03/07         | SELL                  | SANOFI AVENTIS, SPONS ADR                 | SNY                 | 1,277.000  | 54,273.53  | 38,210.91 | -15,562.62         |
| 06/25/09                     | 12/21/06         | SELL                  | SEGA SAMMY HLDGS INC SPONS ADR REPSTG COM | SGAMY               | 10,723.000 | 70,163.81  | 34,312.72 | -35,851.09         |
| 06/25/09                     | 03/05/07         | SELL                  | SEGA SAMMY HLDGS INC SPONS ADR REPSTG COM | SGAMY               | 6,631.000  | 41,063.13  | 21,218.65 | -19,844.48         |
| 06/25/09                     | 10/04/07         | SELL                  | SEKISUI HOUSE LTD SPONSORED ADR           | SKHSY               | 2,236.000  | 27,501.91  | 22,448.86 | -5,053.05          |
| 06/25/09                     | 10/05/05         | SELL                  | SHISEIDO LTD SPON ADR                     | SSDOY               | 2,242.000  | 31,903.43  | 36,028.01 | 4,124.58           |
| 06/25/09                     | 10/05/05         | SELL                  | STORA ENSO CORP SPONSORED ADR             | SEOAY               | 3,625.000  | 49,813.66  | 19,067.00 | -30,746.66         |
| 06/25/09                     | 01/17/08         | SELL                  | SUMITOMO TR & BKG LTD SPONSORED ADR       | STBUY               | 3,070.000  | 19,201.59  | 16,825.36 | -2,376.23          |
| 06/25/09                     | 03/07/08         | SELL                  | SUMITOMO TR & BKG LTD SPONSORED ADR       | STBUY               | 2,143.000  | 13,813.99  | 11,975.06 | -1,834.93          |
| 06/25/09                     | 01/17/08         | SELL                  | SUNCOR ENERGY INC STOCK MERGER EFF        | 867229106           | 197.000    | 8,972.71   | 5,974.55  | -3,001.16          |
| 06/25/09                     | 10/05/05         | SELL                  | SWISSCOM SPON ADR                         | SEMMY               | 664.000    | 21,572.03  | 20,005.80 | -1,566.23          |
| 06/25/09                     | 10/05/05         | SELL                  | TELECOM ITALIA SPA                        | ILA                 | 2,220.000  | 30,231.26  | 21,432.56 | -8,798.70          |
| 06/25/09                     | 08/04/06         | SELL                  | NEW SPON ADR REPSTG VODAFONE GROUP PLC    | VOD                 | 350.000    | 7,816.90   | 6,773.54  | -1,043.36          |
| 06/25/09                     | 01/17/06         | SELL                  | SPON ADR NEW WAGLEY WAGLEY                | WAGLEY              | 357.000    | 24,775.09  | 22,114.77 | -2,660.32          |
| 07/07/09                     | 05/31/07         | SELL                  | NEW MONT MINING CORP (HLDC CO)            | NEM                 | 1,018.000  | 40,946.10  | 40,225.81 | -620.29            |
| 07/07/09                     | 08/19/07         | SELL                  | NEW MONT MINING CORP (HLDC CO)            | NEM                 | 80.000     | 3,118.73   | 3,169.02  | 50.29              |
| 08/06/09                     | 04/15/08         | SELL                  | MAGNA INTERNATIONAL INC CLASS A           | MCA                 | 268.000    | 18,585.35  | 13,185.13 | -5,400.22          |

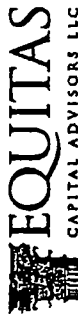
# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Transaction | Description                         | Security Identifier | Quantity   | Cost Basis            | Proceeds              | Realized Gain/Loss     |
|------------------------------|------------------|-------------|-------------------------------------|---------------------|------------|-----------------------|-----------------------|------------------------|
| <b>Long Term (continued)</b> |                  |             |                                     |                     |            |                       |                       |                        |
| 08/06/09                     | 06/05/08         | SELL        | MAGNA INTERNATIONAL INC CLASS A     | MCA                 | 220.000    | 15,294.31             | 10,823.61             | -4,470.70              |
| 08/06/09                     | 10/05/05         | SELL        | STORA ENSO CORP SPONSORED ADR       | SEOAY               | 10,453.000 | 143,641.99            | 66,691.56             | -76,950.43             |
| 08/18/09                     | 05/31/06         | SELL        | IVANHOE MINES LTD ISIN#CA46579N1033 | IVN                 | 2,082.000  | 14,103.68             | 18,459.93             | 4,356.25               |
| 08/19/09                     | 10/05/05         | SELL        | STORA ENSO CORP SPONSORED ADR       | SEOAY               | 4,714.000  | 64,778.37             | 31,088.03             | -33,690.34             |
| 08/20/09                     | 08/16/07         | SELL        | NEWMONT MINING CORP (HLDG CO)       | NEM                 | 1,222.000  | 47,638.57             | 48,631.30             | 992.73                 |
| 08/26/09                     | 03/28/07         | SELL        | ALCATEL LUCENT SPON ADR             | ALU                 | 5,983.000  | 71,305.99             | 22,914.30             | -48,391.69             |
| 08/26/09                     | 04/18/07         | SELL        | ALCATEL LUCENT SPON ADR             | ALU                 | 5,739.000  | 72,411.26             | 21,979.80             | -50,431.46             |
| 08/26/09                     | 05/02/07         | SELL        | ALCATEL LUCENT SPON ADR             | ALU                 | 1,804.000  | 24,079.43             | 6,909.14              | -17,170.29             |
| 09/15/09                     | 10/05/05         | SELL        | STORA ENSO CORP SPONSORED ADR       | SEOAY               | 3,270.000  | 44,935.36             | 23,590.48             | -21,344.88             |
| 09/15/09                     | 12/14/05         | SELL        | STORA ENSO CORP SPONSORED ADR       | SEOAY               | 1,039.000  | 14,221.73             | 7,495.57              | -6,726.16              |
| 09/17/09                     | 05/31/06         | SELL        | IVANHOE MINES LTD ISIN#CA46579N1033 | IVN                 | 1,600.000  | 10,838.56             | 19,859.32             | 9,020.76               |
| 10/20/09                     | 11/14/06         | SELL        | BARRICK GOLD CORP COM               | ABX                 | 576.000    | 16,812.46             | 21,827.35             | 5,014.89               |
| 10/26/09                     | 05/31/06         | SELL        | IVANHOE MINES LTD ISIN#CA46579N1033 | IVN                 | 1,253.000  | 8,487.94              | 16,057.40             | 7,569.46               |
| 10/27/09                     | 02/26/07         | SELL        | BP PLC SPONS ADR                    | BP                  | 779.000    | 50,125.15             | 45,154.73             | -4,970.42              |
| 10/28/09                     | 10/03/07         | SELL        | SANOFI AVENTIS SPONS ADR            | SNY                 | 104.000    | 4,420.08              | 3,999.16              | -420.92                |
| 10/28/09                     | 04/08/08         | SELL        | SANOFI AVENTIS SPONS ADR            | SNY                 | 574.000    | 25,894.81             | 25,917.67             | 22.86                  |
| 10/29/09                     | 08/16/07         | SELL        | NEWMONT MINING CORP (HLDG CO)       | NEM                 | 1,436.000  | 55,981.17             | 61,065.77             | 5,084.60               |
| 10/29/09                     | 09/29/08         | SELL        | SIEMENS A G SPONSORED ADR           | SI                  | 267.000    | 24,731.17             | 25,547.13             | 815.96                 |
| 11/06/09                     | 06/05/08         | SELL        | MAGNA INTERNATIONAL INC CLASS A     | MCA                 | 367.000    | 25,513.70             | 18,487.92             | -7,025.78              |
| 11/06/09                     | 06/20/08         | SELL        | MAGNA INTERNATIONAL INC CLASS A     | MCA                 | 163.000    | 10,972.63             | 8,211.25              | -2,761.38              |
| 11/18/09                     | 11/14/06         | SELL        | BARRICK GOLD CORP COM               | ABX                 | 781.000    | 22,796.06             | 34,237.38             | 11,441.32              |
| <b>Total Long Term</b>       |                  |             |                                     |                     |            | <b>\$4,389,497.11</b> | <b>\$2,968,733.76</b> | <b>-\$1,420,763.35</b> |



**Pershing**

AN AFFILIATE OF THE BANK  
OF NEW YORK MELLON  
Member SIPC  
One Pershing Plaza, Jersey City, NJ 07399  
Pershing Advisor Services LLC, member FINRA, SIPC  
(877) 676-7230

**2009 Year-End Account Report**

Report Period: 01/01/2009 - 12/31/2009

**Schedule of Realized Gains and Losses (continued)**

| Disposition<br>Date                   | Acquisition<br>Date | Closing<br>Transaction | Description | Security Identifier | Quantity | Cost Basis     | Proceeds       | Realized Gain/Loss |
|---------------------------------------|---------------------|------------------------|-------------|---------------------|----------|----------------|----------------|--------------------|
| <b>Total Short Term and Long Term</b> |                     |                        |             |                     |          |                |                |                    |
|                                       |                     |                        |             |                     |          | \$5,737,767.22 | \$5,479,040.98 | \$258,726.24       |

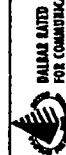
The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes; for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically, these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable.

When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.



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80005122CSP960AP

Account Number: 19C-002904  
IRENE W. & C.B. PENNINGTON FDN.

PAR-02-ROLL

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
Member FINRA, NYSE, SIPC

# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

## Money Market Fund Detail (continued)

| Date                                              | Activity Type   | Description     | Amount | Balance            |
|---------------------------------------------------|-----------------|-----------------|--------|--------------------|
| <b>Money Market Fund (continued)</b>              |                 |                 |        |                    |
| <b>PRIME MGMT OBLIGATIONS SERVICE (continued)</b> |                 |                 |        |                    |
| 12/31/09                                          | Deposit         | INCOME REINVEST | 0.55   | \$58,209.11        |
| 12/31/09                                          | Closing Balance |                 |        | <b>\$58,209.11</b> |

Total All Money Market Funds

## Schedule of Realized Gains and Losses

| Disposition Date  | Acquisition Date | Closing Transaction | Description                             | Security Identifier | Quantity  | Cost Basis | Proceeds   | Realized Gain/Loss |
|-------------------|------------------|---------------------|-----------------------------------------|---------------------|-----------|------------|------------|--------------------|
| <b>Short Term</b> |                  |                     |                                         |                     |           |            |            |                    |
| 02/17/09          | 10/27/08         | SELL                | SPDR SER-TR KBW-<br>REGL BKG ETF        | KRE                 | 1,655,000 | -46,839.64 | 31,014.52  | -15,825.12         |
| 02/24/09          | 04/29/08         | SELL                | APTARGROUP INC                          | ATR                 | 1,795,000 | 79,261.99  | 48,256.86  | -31,005.13         |
| 02/24/09          | 04/29/08         | SELL                | BUCKLE CO                               | BKE                 | 1,957,000 | -63,451.42 | -46,768.90 | -16,682.52         |
| 02/24/09          | 04/29/08         | SELL                | SYKES ENTERPRISES<br>INC COM            | SYKE                | 2,139,000 | 36,702.90  | 32,363.31  | -4,339.59          |
| 04/18/09          | 04/29/08         | SELL                | GEORGE INC COM                          | GEY                 | 225,000   | 5,199.19   | 5,138.56   | -60.63             |
| 04/24/09          | 07/23/08         | SELL                | PLATINUM<br>UNDERWRITERS HLDGS          | PTP                 | 250,000   | -8,824.65  | -6,990.82  | -1,833.83          |
| 04/24/09          | 04/29/08         | SELL                | AMERCO COMMON STOCK                     | UHAL                | 75,000    | 4,335.04   | 2,643.68   | -1,691.36          |
| 04/24/09          | 05/06/08         | SELL                | AMERICAN PHYSICIANS<br>CAP INC COM      | ACAP                | 130,000   | 4,952.19   | 5,224.36   | 272.17             |
| 04/24/09          | 04/29/08         | SELL                | BLUE COAT SYS INC<br>INC COM NEW        | BESI                | 350,000   | -7,405.34  | -5,039.07  | -2,366.27          |
| 04/24/09          | 07/02/08         | SELL                | COGNEX CORP                             | CGNX                | 400,000   | 9,271.88   | 5,524.65   | -3,747.23          |
| 04/24/09          | 04/29/08         | SELL                | COMFORT SYS USA INC<br>COM              | FIX                 | 300,000   | -4,181.43  | -3,189.51  | -991.92            |
| 04/24/09          | 05/06/08         | SELL                | FPIC INS GROUP INC<br>COM               | FPIC                | 150,000   | 7,369.07   | -4,918.97  | -2,450.10          |
| 04/24/09          | 07/23/08         | SELL                | FIRST NIAGARA FINL<br>GROUP INC NEW COM | FNFG                | 500,000   | 7,729.25   | 6,558.82   | -1,170.43          |
| 04/24/09          | 04/29/08         | SELL                | GLOBAL INDUSTRIES<br>LTD                | IGBL                | 350,000   | 13,539.90  | 5,241.56   | -8,298.34          |
| 04/24/09          | 05/02/08         | SELL                | LAWSON SOFTWARE INC<br>COM              | LWSN                | 1,000,000 | 8,070.00   | -5,299.86  | -2,770.14          |

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8006701 CS9560AP

BULLSEYE RATED  
FOR COMMUNICATION

Account Number: SPN-002977  
IRENE W & CB PENNINGTON

PAP-02-POLL

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
Member FINRA, NYSE SIPC

# Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Trading Transaction | Description                                  | Security Identifier | Quantity  | Cost Basis          | Proceeds            | Realized Gain/Loss  |
|-------------------------------|------------------|---------------------|----------------------------------------------|---------------------|-----------|---------------------|---------------------|---------------------|
| <b>Short Term (continued)</b> |                  |                     |                                              |                     |           |                     |                     |                     |
| 04/24/09                      | 05/07/08         | SELL                | ORIENTAL FINANCIAL GROUP INC COM             | OFG                 | 400,000   | 7,955.36            | 2,924.72            | -5,030.64           |
| 04/24/09                      | 07/23/08         | SELL                | SVB FINL GROUP COM                           | SVB                 | 150,000   | 8,190.14            | 3,189.21            | -5,000.93           |
| 04/24/09                      | 04/29/08         | SELL                | SNAP ON TOOLS CORP COMMON STOCK              | SNA                 | 100,000   | 6,009.82            | 3,473.11            | -2,536.71           |
| 04/24/09                      | 04/29/08         | SELL                | SOUTHWEST GAS CORP TRIUMPH GROUP INC NEW COM | SWX                 | 150,000   | 4,373.91            | 2,998.72            | -1,375.19           |
| 04/24/09                      | 04/29/08         | SELL                | UMB FINL CORP COM                            | TGI                 | 175,000   | 10,269.35           | 7,044.16            | -3,225.19           |
| 04/24/09                      | 07/23/08         | SELL                | UNITED AMERICA INDEMNITY LTD RTS             | UMBF                | 150,000   | 8,376.57            | 7,092.11            | -1,284.46           |
| 05/08/09                      | 03/24/09         | EXPG                | 2000 VALUE INDEX FD                          | 90933T992           | 2,350,000 | Please Provide      | 0.00                | N/A                 |
| 05/09                         | 10/27/08         | SELL                | ISHARES TR RUSSELL 2000 VALUE INDEX FD       | IWN                 | 1,530,000 | 70,671.16           | 75,635.90           | 4,964.74            |
| 06/05/09                      | 04/24/09         | SELL                | ISHARES TR RUSSELL 2000 VALUE INDEX FD       | IWN                 | 600,000   | 26,872.98           | 29,661.14           | 2,788.16            |
| 06/05/09                      | 10/27/08         | SELL                | SPDR SER TR KBW REGL BKG ETF                 | KRE                 | 910,000   | 25,754.73           | 18,008.43           | -7,746.30           |
| 08/13/09                      | 12/11/08         | CLEU                | ALTSOURCE PORTFOLIO SOLUTIONS SA COM         | ASPS                | 0.332     | 2.42                | 3.62                | 1.20                |
| 08/13/09                      | 04/14/09         | SELL                | ASHLAND INC NEW COM                          | ASH                 | 1,480,000 | 21,826.74           | 52,106.20           | 30,279.46           |
| 08/13/09                      | 02/17/09         | SELL                | USEC INC COM                                 | USU                 | 3,250,000 | 18,843.18           | 14,510.87           | -4,332.31           |
| 09/17/09                      | 02/25/09         | SELL                | MATRIX SVC CO                                | MTRX                | 2,350,000 | 16,630.25           | 25,362.89           | 8,732.64            |
| 09/29/09                      | 12/12/08         | SELL                | AMTRUST FINL SVCS INC COM                    | AFSI                | 2,295,000 | 26,048.71           | 26,278.22           | 229.51              |
| <b>Total Short Term</b>       |                  |                     |                                              |                     |           | <b>\$557,740.21</b> | <b>\$482,662.75</b> | <b>-\$75,077.46</b> |
| <b>Long Term</b>              |                  |                     |                                              |                     |           |                     |                     |                     |
| 06/23/09                      | 04/29/08         | SELL                | ION GEOPHYSICAL CORP COM                     | IQ                  | 2,535,000 | 40,364.80           | 6,059.80            | -34,305.80          |
| 06/25/09                      | 04/29/08         | SELL                | WARNACO GROUP INC COM NEW                    | WRC                 | 990,000   | 45,831.85           | 32,415.42           | -13,416.43          |
| 07/26/09                      | 04/29/08         | SELL                | COMFORT SYS USA INC COM                      | FIX                 | 4,220,000 | 58,818.78           | 42,939.08           | -15,879.70          |
| 08/06/09                      | 05/06/08         | CLEU                | AMERICAN PHYSICIANS CAP INC COM              | ACAP                | 1,000     | 37.93               | 32.57               | -5.36               |
| 08/10/09                      | 04/29/08         | SELL                | RUDDICK CORP                                 | RDK                 | 1,120,000 | 45,532.16           | 27,295.37           | -18,236.79          |
| 09/08/09                      | 05/07/08         | SELL                | SWIFT ENERGY CO                              | SFY                 | 810,000   | 46,170.16           | 16,711.98           | -29,458.18          |
| 09/09/09                      | 07/23/08         | SELL                | SVB FINL GROUP COM                           | SVB                 | 525,000   | 28,665.47           | 20,544.95           | -8,120.52           |
| 09/17/09                      | 04/29/08         | SELL                | GEOYE INC COM                                | GEOY                | 1,065,000 | 24,609.49           | 27,542.75           | 2,933.26            |
| 09/17/09                      | 05/02/08         | SELL                | LAWSON SOFTWARE INC COM                      | LWSN                | 3,695,000 | 29,818.65           | 23,082.43           | -6,736.22           |
| 10/16/09                      | 06/19/08         | SELL                | TIMKEN CO COM                                | TKR                 | 930,000   | 33,654.10           | 21,083.39           | -12,570.71          |
| 10/22/09                      | 07/23/08         | SELL                | PLATINUM UNDERWRITERS HLDGS                  | PTP                 | 815,000   | 28,768.36           | 29,848.77           | 1,080.41            |

Report Period: 01/01/2009 - 12/31/2009

**Schedule of Realized Gains and Losses (continued)**

| Disposition Date                      | Acquisition Date | Costing Transaction | Description                          | Security Identifier | Quantity  | Cost Basis            | Proceeds            | Realized Gain/Loss   |
|---------------------------------------|------------------|---------------------|--------------------------------------|---------------------|-----------|-----------------------|---------------------|----------------------|
| <b>Long Term (continued)</b>          |                  |                     |                                      |                     |           |                       |                     |                      |
| 10/26/09                              | 04/29/08         | SELL                | LINEOLN ELEC HLDGS INC.COM           | LECO                | 625.000   | 47,639.37             | 29,462.18           | -18,177.19           |
| 10/28/09                              | 04/29/08         | SELL                | SOUTHWEST GAS CORP                   | SWX                 | 400.000   | 11,663.76             | 10,071.58           | -1,592.18            |
| 10/28/09                              | 05/05/08         | SELL                | SOUTHWEST GAS CORP                   | SWX                 | 1,440.000 | 43,219.58             | 36,257.68           | -6,961.90            |
| 11/13/09                              | 04/29/08         | CLEU                | KTETON ADVISORS INC CL B             | 88165Y101           | 0.257     | Please Provide        | 0.00                | N/A                  |
| 12/10/09                              | 04/29/08         | SELL                | OWENS AND MINOR INC HLDGS CO INC     | OMI                 | 1,060.000 | 49,599.52             | 44,474.54           | -5,124.98            |
| 12/15/09                              | 12/11/08         | SELL                | ALTSOURCE PORTFOLIO SOLUTIONS SA COM | ASPS                | 893.000   | 6,494.32              | 16,146.09           | 9,651.77             |
| <b>Total Long Term</b>                |                  |                     |                                      |                     |           | <b>\$538,880.30</b>   | <b>\$383,967.78</b> | <b>-\$154,912.52</b> |
| <b>Total Short Term and Long Term</b> |                  |                     |                                      |                     |           | <b>\$1,096,628.51</b> | <b>\$866,630.53</b> | <b>-\$229,997.98</b> |

The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes; for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable. When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.

Realized gains and losses are not reported for securities for which cost basis or proceeds are not available.

# Money Market Fund Detail (continued)

| Date                                               | Activity Type   | Description             | Amount      | Balance         |
|----------------------------------------------------|-----------------|-------------------------|-------------|-----------------|
| <b>Money Market Fund (continued)</b>               |                 |                         |             |                 |
| <b>PRIME MGMT. OBLIGATIONS SERVICE (continued)</b> |                 |                         |             |                 |
| 03/05/09                                           | Deposit         | MONEY FUND PURCHASE     | 90,355.31   | 494,612.86      |
| 03/06/09                                           | Withdrawal      | MONEY FUND REDEMPTION   | -57,384.33  | 437,228.53      |
| 03/12/09                                           | Deposit         | MONEY FUND PURCHASE     | 4,430.29    | 441,658.82      |
| 03/17/09                                           | Deposit         | MONEY FUND PURCHASE     | 695.63      | 442,354.45      |
| 03/18/09                                           | Deposit         | MONEY FUND PURCHASE     | 27,527.67   | 469,882.12      |
| 03/24/09                                           | Deposit         | MONEY FUND PURCHASE     | 447.90      | 470,330.02      |
| 03/26/09                                           | Deposit         | MONEY FUND PURCHASE     | 377.20      | 470,707.22      |
| 03/30/09                                           | Withdrawal      | MONEY FUND REDEMPTION   | -92,478.06  | 378,229.16      |
| 03/31/09                                           | Deposit         | INCOME REINVEST         | 297.61      | 378,526.77      |
| 04/01/09                                           | Deposit         | MONEY FUND PURCHASE     | 2,815.40    | 381,342.17      |
| 04/02/09                                           | Deposit         | MONEY FUND PURCHASE     | 1,503.80    | 382,845.97      |
| 04/03/09                                           | Withdrawal      | MONEY FUND REDEMPTION   | -60,991.85  | 321,854.12      |
| 04/04/09                                           | Deposit         | MONEY FUND PURCHASE     | 1,981.54    | 323,835.66      |
| 04/14/09                                           | Deposit         | MONEY FUND PURCHASE     | 683.76      | 324,519.42      |
| 04/15/09                                           | Withdrawal      | MONEY FUND REDEMPTION   | -19,621.42  | 304,898.00      |
| 04/17/09                                           | Withdrawal      | MONEY FUND REDEMPTION   | -27,748.08  | 277,149.92      |
| 04/24/09                                           | Deposit         | MONEY FUND PURCHASE     | 3,812.68    | 280,962.60      |
| 04/28/09                                           | Withdrawal      | MONEY FUND REDEMPTION   | -280,962.60 | 0.00            |
| 04/28/09                                           | Withdrawal      | SHARES REDEEMED         | -189.22     | -189.22         |
| 04/28/09                                           | Deposit         | ACCURED DIVIDEND CREDIT | 189.22      | 0.00            |
| 05/07/09                                           | Deposit         | MONEY FUND PURCHASE     | 1,724.65    | 1,724.65        |
| 05/11/09                                           | Deposit         | MONEY FUND PURCHASE     | 53.55       | 1,778.20        |
| 05/29/09                                           | Deposit         | INCOME REINVEST         | 0.80        | 1,779.00        |
| 06/15/09                                           | Withdrawal      | MONEY FUND REDEMPTION   | -1,779.00   | 0.00            |
| 06/15/09                                           | Withdrawal      | SHARES REDEEMED         | -0.36       | -0.36           |
| 06/15/09                                           | Deposit         | ACCURED DIVIDEND CREDIT | 0.36        | 0.00            |
| 08/11/09                                           | Deposit         | MONEY FUND PURCHASE     | 582.62      | 582.62          |
| 08/31/09                                           | Deposit         | INCOME REINVEST         | 0.07        | 582.69          |
| 09/30/09                                           | Deposit         | INCOME REINVEST         | 0.04        | 582.73          |
| 10/30/09                                           | Deposit         | INCOME REINVEST         | 0.01        | 582.74          |
| 09/30/09                                           | Closing Balance |                         |             | <b>\$582.74</b> |
| <b>Total All Money Market Funds</b>                |                 |                         |             | <b>\$582.74</b> |

# Schedule of Realized Gains and Losses

| Disposition Date  | Acquisition Date | Closing Transaction | Description              | Security Identifier | Quantity | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------|------------------|---------------------|--------------------------|---------------------|----------|------------|-----------|--------------------|
| <b>Short Term</b> |                  |                     |                          |                     |          |            |           |                    |
| 02/24/09          | 07/23/08         | SELL                | VISA INC COM CL A        | V                   | 719.000  | 52,674.27  | 39,516.01 | -13,158.26         |
| 03/06/09          | 08/15/08         | SELL                | LAS VEGAS SANDS CORP COM | LVS                 | 607.000  | 34,355.65  | 1,032.71  | -33,322.94         |

Report Period: 01/01/2009 - 12/31/2009

**Schedule of Realized Gains and Losses (continued)**

| Disposition Date              | Acquisition Date | Disposing Transaction | Description                              | Security Identifier | Quantity  | Cost Basis | Proceeds   | Realized Gain/Loss |
|-------------------------------|------------------|-----------------------|------------------------------------------|---------------------|-----------|------------|------------|--------------------|
| <b>Short Term (continued)</b> |                  |                       |                                          |                     |           |            |            |                    |
| 04/02/09                      | 08/26/08         | CLEU                  | TIME WARNER CABLE INC.COM                | TWC                 | -0.247    | 11.57      | 6.06       | -5.51              |
| 04/02/09                      | 08/26/08         | CLEU                  | TIME WARNER INC.COM NEW                  | TWX                 | -0.996    | 35.54      | 21.62      | -13.92             |
| 04/23/09                      | 08/15/08         | SELL                  | ANGLO AMERN PLC ADR NEW                  | AAUKY               | 857,000   | 22,016.19  | 8,357.52   | -13,658.67         |
| 04/23/09                      | 10/31/08         | SELL                  | ANGLO AMERN PLC ADR NEW                  | AAUKY               | 3,013,000 | 38,032.50  | 29,382.98  | -8,649.52          |
| 04/23/09                      | 04/14/09         | SELL                  | ANGLO AMERN PLC ADR NEW                  | AAUKY               | 2,595,000 | 27,748.08  | 25,306.62  | -2,441.46          |
| 04/23/09                      | 07/31/08         | SELL                  | BHP BILLITON LTD SPONSORED ADR           | BHP                 | -350,000  | 26,330.64  | 16,156.28  | -10,174.36         |
| 04/23/09                      | 04/23/08         | SELL                  | BURLINGTON NORTHERN SANTA FE COMMON      | BNI                 | 1,888,000 | 184,672.08 | 126,195.13 | -58,476.95         |
| 04/23/09                      | 03/03/09         | SELL                  | CME GROUP INC.COM                        | CME                 | 328,000   | 57,384.33  | 76,973.72  | 19,589.39          |
| 04/23/09                      | 08/29/08         | SELL                  | CARNIVAL CORP PAIRED CTF 1-COM CARNIVAL  | CCL                 | 3,686,000 | 135,296.26 | 99,749.28  | -35,546.97         |
| 04/23/09                      | 03/25/09         | SELL                  | CHINA LIFE INS CO LTD SPONS ADR REPSTG   | LFC                 | 1,339,000 | 65,954.00  | 70,590.26  | 4,636.26           |
| 04/23/09                      | 03/31/09         | SELL                  | CHINA UNICOM HONG KONG LTD ADR           | CHU                 | 5,419,000 | 56,365.23  | 57,548.30  | 1,183.07           |
| 04/23/09                      | 11/24/08         | SELL                  | DISNEY WALT CO DISNEY.COM                | DIS                 | 2,327,000 | 48,492.26  | 44,909.94  | -3,582.32          |
| 04/23/09                      | 02/09/09         | SELL                  | HUANENG PWR INTL INC SPONSORED ADR SERLN | HNP                 | 1,442,000 | 42,279.44  | 39,828.82  | -2,450.62          |
| 04/23/09                      | 03/13/09         | SELL                  | MARKET VECTORS ETF TR GAMING ETF         | BK                  | 836,000   | 12,806.88  | 15,349.36  | 2,542.48           |
| 04/23/09                      | 07/23/08         | SELL                  | MASTERCARD INC CL A.COM                  | MA                  | 196,000   | 53,256.78  | 31,741.72  | -21,515.06         |
| 04/23/09                      | 02/24/09         | SELL                  | MASTERCARD INC CL A.COM                  | MA                  | 161,000   | 25,572.82  | 26,073.60  | 500.78             |
| 04/23/09                      | 10/28/08         | SELL                  | PHILIP MORRIS INTL INC.COM               | PM                  | -680,000  | -26,652.05 | -24,693.84 | -1,958.21          |
| 04/23/09                      | 01/22/09         | SELL                  | PHILIP MORRIS INTL INC.COM               | PM                  | 2,647,000 | 107,262.53 | 96,124.42  | -11,138.11         |

# Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Transaction | Description          | Security Identifier | Quantity   | Cost Basis            | Proceeds              | Realized Gain/Loss   |
|-------------------------------|------------------|-------------|----------------------|---------------------|------------|-----------------------|-----------------------|----------------------|
| <b>Short Term (continued)</b> |                  |             |                      |                     |            |                       |                       |                      |
| 04/23/09                      | 04/09/09         | SELL        | RELIANT ENERGY INC   | 759528105           | 4,318,000  | 19,621.42             | 18,941.32             | -680.10              |
| 04/23/09                      | 08/05/08         | SELL        | N/C EFF 5/2/09 1 OLD |                     |            |                       |                       |                      |
| 04/23/09                      | 08/05/08         | SELL        | RIO TINTO PLC        | RTP                 | 68,000     | 24,540.86             | 10,262.29             | -14,278.57           |
| 04/23/09                      | 08/26/08         | SELL        | SPONSORED ADR        |                     |            |                       |                       |                      |
| 04/23/09                      | 08/26/08         | SELL        | TIME WARNER INC      | TWX                 | 3,710,000  | 132,327.15            | 81,373.30             | -50,953.85           |
| 04/23/09                      | 08/26/08         | SELL        | COM NEW              |                     |            |                       |                       |                      |
| 04/23/09                      | 08/26/08         | SELL        | TIME WARNER CABLE    | TWC                 | 931,000    | 43,599.94             | 25,127.04             | -18,472.90           |
| 04/23/09                      | 04/23/08         | SELL        | INC COM              |                     |            |                       |                       |                      |
| 04/23/09                      | 04/23/08         | SELL        | UNION PACIFIC CORP   | UNP                 | 1,810,000  | 122,220.25            | 88,202.93             | -34,017.32           |
| 04/23/09                      | 03/25/09         | SELL        | COM                  |                     |            |                       |                       |                      |
| 04/23/09                      | 03/25/09         | SELL        | VORNADO RLTY TR      | VNO                 | 752,000    | 26,524.06             | 33,939.18             | 7,415.12             |
| 04/23/09                      | 10/23/08         | SELL        | SBI                  |                     |            |                       |                       |                      |
| 04/23/09                      | 10/23/08         | SELL        | HENDERSON LAND       | HLDVF               | 18,000,000 | 63,847.80             | 82,382.40             | 18,534.60            |
| 04/23/09                      | 10/23/08         | SELL        | DEVELOPMENT CO LTD   |                     |            |                       |                       |                      |
| <b>Total Short Term</b>       |                  |             |                      |                     |            | <b>\$1,449,680.58</b> | <b>\$1,169,786.71</b> | <b>-\$279,893.87</b> |
| <b>Long Term</b>              |                  |             |                      |                     |            |                       |                       |                      |
| 02/23/09                      | 09/26/07         | SELL        | NYSE EURONEXT COM    | NYSE                | 845,000    | 65,746.26             | 14,415.61             | -51,330.65           |
| 02/27/09                      | 09/26/07         | SELL        | CNOOC LTD SPONSORED  | CEO                 | 1,049,000  | 166,434.24            | 90,355.31             | -76,078.93           |
| 03/06/09                      | 09/26/07         | SELL        | ADR                  |                     |            |                       |                       |                      |
| 03/06/09                      | 09/26/07         | SELL        | LAS VEGAS SANDS CORP | LVS                 | 1,997,000  | 273,831.40            | 3,397.58              | -270,433.82          |
| 03/12/09                      | 09/26/07         | SELL        | COM                  |                     |            |                       |                       |                      |
| 03/12/09                      | 09/26/07         | SELL        | NYSE EURONEXT COM    | NYSE                | 2,288,000  | 178,020.64            | 39,847.55             | -138,173.09          |
| 04/23/09                      | 09/26/07         | SELL        | ALLEGHENY ENERGY     | AYE                 | 2,986,000  | 158,176.37            | 76,384.32             | -81,792.05           |
| 04/23/09                      | 09/26/07         | SELL        | INC COM              |                     |            |                       |                       |                      |
| 04/23/09                      | 09/26/07         | SELL        | BERKSHIRE HATHAWAY   | BRK B               | 55,000     | 214,691.95            | 153,126.06            | -61,565.89           |
| 04/23/09                      | 09/26/07         | SELL        | HLDG CO CL B COM     |                     |            |                       |                       |                      |
| 04/23/09                      | 09/26/07         | SELL        | BROOKFIELD ASSET     | BAM                 | 10,262,000 | 394,151.80            | 150,028.96            | -244,122.84          |
| 04/23/09                      | 09/26/07         | SELL        | MGMT INC VTG         |                     |            |                       |                       |                      |
| 04/23/09                      | 09/26/07         | SELL        | CNOOC LTD SPONSORED  | CEO                 | 564,000    | 89,484.18             | 62,869.91             | -26,614.27           |
| 04/23/09                      | 09/26/07         | SELL        | ADR                  |                     |            |                       |                       |                      |
| 04/23/09                      | 09/26/07         | SELL        | EL PASO CORP COM     | EP                  | 5,358,000  | 90,818.10             | 37,826.50             | -52,991.60           |
| 04/23/09                      | 09/26/07         | SELL        | ENCANA CORP COM      | ECA                 | 3,140,000  | 190,415.93            | 141,568.56            | -49,047.37           |
| 04/23/09                      | 12/18/07         | SELL        | SHS                  |                     |            |                       |                       |                      |
| 04/23/09                      | 12/18/07         | SELL        | FANNIE MAE           | FNM                 | 2,297,000  | 81,990.86             | 1,826.30              | -80,164.56           |
| 04/23/09                      | 10/09/07         | SELL        | COM                  |                     |            |                       |                       |                      |
| 04/23/09                      | 10/09/07         | SELL        | GAZPROM O A O        | OGZPY               | 4,144,000  | 195,182.40            | 72,875.32             | -122,307.08          |
| 04/23/09                      | 09/26/07         | SELL        | SPON ADR REG S       |                     |            |                       |                       |                      |
| 04/23/09                      | 09/26/07         | SELL        | ICICI BK LTD ADR     | IBN                 | 1,539,000  | 79,597.08             | 26,255.94             | -53,341.14           |
| 04/23/09                      | 09/26/07         | SELL        | ISIN#US45104G1040    |                     |            |                       |                       |                      |
| 04/23/09                      | 09/26/07         | SELL        | IMPERIAL OIL LTD COM | IMO                 | 4,843,000  | 235,732.39            | 172,318.79            | -63,413.60           |
| 04/23/09                      | 09/26/07         | SELL        | LEGG MASON INC       | LM                  | 1,723,000  | 140,975.86            | 33,177.18             | -107,798.68          |
| 04/23/09                      | 02/11/08         | SELL        | LEGG MASON INC       | LM                  | 1,126,000  | 77,513.01             | 21,681.66             | -55,831.35           |
| 04/23/09                      | 09/26/07         | SELL        | LEUCADIA NATIONAL    | LUK                 | 3,139,000  | 151,370.50            | 59,697.85             | -91,672.65           |
| 04/23/09                      | 09/26/07         | SELL        | CORP                 |                     |            |                       |                       |                      |



# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

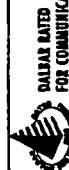
## Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                                                 | Security Identifier | Quantity    | Cost Basis            | Proceeds              | Realized Gain/Loss     |
|------------------------------|------------------|-----------------------|-------------------------------------------------------------|---------------------|-------------|-----------------------|-----------------------|------------------------|
| <b>Long Term (continued)</b> |                  |                       |                                                             |                     |             |                       |                       |                        |
| 04/23/09                     | 09/26/07         | SELL                  | NYSE EURONEXT COM                                           | NYX                 | 3,538,000   | 275,278.41            | 77,696.23             | -197,582.18            |
| 04/23/09                     | 09/26/07         | SELL                  | NASDAQ OMX GROUP INC COM                                    | NDAQ                | 4,935,000   | 183,631.35            | 91,295.15             | -92,336.20             |
| 04/24/09                     | 09/26/07         | SELL                  | RELIANT ENERGY INC                                          | 759528105           | 7,819,000   | 205,862.95            | 34,298.78             | -171,564.17            |
| 04/24/09                     | 10/09/07         | SELL                  | N/C EFF 5/2/09 1 OLD LONDON STOCK EXCHANGE GROUP PLC LONDON | LDNFX               | 8,950,000   | 311,953.15            | 91,794.78             | -220,158.37            |
| 04/24/09                     | 10/09/07         | SELL                  | BEIJING CAPITAL INTERNATIONAL                               | BICHF               | 114,000,000 | 229,675.80            | 73,644.00             | -156,031.80            |
| 04/24/09                     | 10/09/07         | SELL                  | HONG KONG EXCHANGES AND CLEARING LTD                        | HKXCF               | 7,500,000   | 239,645.25            | 86,376.75             | -153,268.50            |
| <b>Total Long Term</b>       |                  |                       |                                                             |                     |             | <b>\$4,230,179.88</b> | <b>\$1,612,559.09</b> | <b>-\$2,617,620.79</b> |

## Total Short Term and Long Term

The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes; for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable.

When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.



# Money Market Fund Detail (continued)

| Date                                              | Activity Type   | Description           | Amount     | Balance            |
|---------------------------------------------------|-----------------|-----------------------|------------|--------------------|
| <b>Money Market Fund (continued)</b>              |                 |                       |            |                    |
| <b>PRIME MGMT OBLIGATIONS SERVICE (continued)</b> |                 |                       |            |                    |
| 12/01/09                                          | Deposit         | MONEY FUND PURCHASE   | 36,975.35  | 45,874.37          |
| 12/02/09                                          | Deposit         | MONEY FUND PURCHASE   | 1,010.60   | 46,884.97          |
| 12/03/09                                          | Deposit         | MONEY FUND PURCHASE   | 99.00      | 46,983.97          |
| 12/07/09                                          | Deposit         | MONEY FUND PURCHASE   | 121.30     | 47,105.27          |
| 12/08/09                                          | Deposit         | MONEY FUND PURCHASE   | 52.50      | 47,157.77          |
| 12/09/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -16,714.03 | 30,443.74          |
| 12/11/09                                          | Deposit         | MONEY FUND PURCHASE   | 108.00     | 30,551.74          |
| 12/14/09                                          | Deposit         | MONEY FUND PURCHASE   | 10.57      | 30,562.31          |
| 12/16/09                                          | Deposit         | MONEY FUND PURCHASE   | 1,257.35   | 31,819.66          |
| 12/17/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -19,367.32 | 12,452.34          |
| 12/21/09                                          | Deposit         | MONEY FUND PURCHASE   | 430.50     | 12,882.84          |
| 12/22/09                                          | Deposit         | MONEY FUND PURCHASE   | 320.96     | 13,203.80          |
| 12/29/09                                          | Deposit         | MONEY FUND PURCHASE   | 8,314.16   | 21,517.96          |
| 12/31/09                                          | Deposit         | INCOME REINVEST       | 0.23       | 21,518.19          |
| 12/31/09                                          | Closing Balance |                       |            | <b>\$21,518.19</b> |
| <b>Total All Money Market Funds</b>               |                 |                       |            | <b>\$21,518.19</b> |

# Schedule of Realized Gains and Losses

| Disposition Date  | Acquisition Date | Closing Transaction | Description                            | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------|------------------|---------------------|----------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Short Term</b> |                  |                     |                                        |                     |           |            |           |                    |
| 01/21/09          | 04/30/08         | SELL                | HEXCEL CORP NEW COM                    | HXL                 | 1,800,000 | 40,574.88  | 11,944.91 | -28,629.97         |
| 01/26/09          | 04/30/08         | SELL                | GOODRICH PETE CORP COM NEW             | GDP                 | 320,000   | 10,591.36  | 9,222.95  | -1,368.41          |
| 01/26/09          | 04/30/08         | SELL                | WABCO HLDGS INC COM                    | WBC                 | 900,000   | 42,760.98  | 13,501.36 | -29,259.62         |
| 02/05/09          | 08/06/08         | SELL                | WEBSTER FINANCIAL CORP CONN            | WBS                 | 1,650,000 | 36,165.53  | 5,857.46  | -30,308.07         |
| 03/13/09          | 04/30/08         | SELL                | AMCOL INTL CORP NEW                    | ACO                 | 1,600,000 | 46,017.60  | 21,638.43 | -24,379.17         |
| 04/14/09          | 04/30/08         | SELL                | FLOWERS FOODS INC COM                  | FLO                 | 40,000    | 1,047.44   | 946.37    | -101.07            |
| 04/14/09          | 04/30/08         | SELL                | TEMPLE INLAND INC COM                  | TIN                 | 2,700,000 | 32,099.76  | 16,596.47 | -15,503.29         |
| 04/15/09          | 04/30/08         | SELL                | GLECO CORP NEW                         | CNL                 | 1,800,000 | 43,235.46  | 39,321.06 | -3,914.40          |
| 04/20/09          | 08/14/08         | CLEU                | WALTER INVT MGMT CORP COM              | WAC                 | 0.448     | 15.78      | 3.27      | -12.51             |
| 04/24/09          | 08/14/08         | CLEU                | WALTER INDS INC C/A EFF 04/20/09 1 OLD | 93317Q998           | 0.200     | 2.11       | 0.83      | -1.28              |
| 04/24/09          | 08/14/08         | CLEU                | WALTER INVT MGMT CORP COM              | WAC                 | 1,000     | 35.22      | 7.25      | -27.97             |
| 06/26/09          | 07/03/08         | SELL                | COLFAX CORP COM                        | CFX                 | 1,260,000 | 31,087.10  | 9,819.17  | -21,267.93         |
| 09/10/09          | 01/08/09         | SELL                | MCDERMOTT INTL INC                     | MDR                 | 690,000   | 8,548.00   | 18,643.32 | 10,095.32          |



# 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

## Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Disposing Transaction | Description                      | Security Identifier | Quantity  | Cost Basis          | Proceeds            | Realized Gain/Loss   |
|-------------------------------|------------------|-----------------------|----------------------------------|---------------------|-----------|---------------------|---------------------|----------------------|
| <b>Short Term (continued)</b> |                  |                       |                                  |                     |           |                     |                     |                      |
| 09/21/09                      | 07/30/09         | CLEU                  | FIRSTMORT CORP COM               | FIMER               | 0.800     | 14.68               | 14.66               | -0.02                |
| 11/24/09                      | 12/09/08         | SELL                  | IMS HEALTH INC COM               | RX                  | 1,210,000 | 23,937.95           | 36,815.35           | 12,877.40            |
| <b>Total Short Term</b>       |                  |                       |                                  |                     |           | <b>\$316,133.85</b> | <b>\$184,332.86</b> | <b>-\$131,800.99</b> |
| <b>Long Term</b>              |                  |                       |                                  |                     |           |                     |                     |                      |
| 05/12/09                      | 04/30/08         | SELL                  | AMERICAN RAILCAR<br>INDS INC COM | ARI                 | 1,800,000 | 37,446.12           | 14,961.21           | -22,484.91           |
| 05/12/09                      | 04/30/08         | SELL                  | TERADATA CORP DEL<br>COM         | TDC                 | 900,000   | 19,739.07           | 18,782.60           | -956.47              |
| 07/22/09                      | 04/30/08         | SELL                  | TEREX CORP NEW<br>01 PV          | TEX                 | 700,000   | 48,640.90           | 9,575.75            | -39,065.15           |
| 08/12/09                      | 04/30/08         | SELL                  | BRINKS CO<br>COM                 | BCO                 | 700,000   | 27,059.23           | 18,880.48           | -8,378.75            |
| 09/08/09                      | 04/30/08         | SELL                  | CALPINE CORP<br>COM NEW          | CPN                 | 2,200,000 | 43,713.78           | 25,399.44           | -18,314.34           |
| 09/08/09                      | 04/30/08         | SELL                  | TESCO CORP<br>COM                | TESO                | 1,300,000 | 36,030.02           | 10,306.78           | -25,723.24           |
| 09/10/09                      | 04/30/08         | SELL                  | MCDERMOTT INT'L INC              | MDR                 | 540,000   | 28,918.08           | 14,590.42           | -14,327.66           |
| 09/22/09                      | 04/30/08         | SELL                  | HAWAIIAN ELEC INDS<br>INC        | HE                  | 1,800,000 | 44,578.80           | 32,948.15           | -11,630.65           |
| 10/08/09                      | 04/30/08         | SELL                  | FMC TECHNOLOGIES<br>INC COM      | FTI                 | 700,000   | 44,483.23           | 38,745.40           | -5,737.83            |
| 10/14/09                      | 04/30/08         | SELL                  | ALTRA HLDGS INC<br>COM           | AMC                 | 2,200,000 | 33,883.30           | 25,155.91           | -8,727.39            |
| 10/29/09                      | 04/30/08         | SELL                  | HOME FED BANCORP<br>INC MD COM   | HOME                | 2,700,000 | 32,191.29           | 31,214.16           | -977.13              |
| 12/04/09                      | 04/30/08         | SELL                  | HARSCO CORP                      | HSC                 | 900,000   | 53,682.56           | 27,740.07           | -25,942.49           |
| 12/22/09                      | 04/30/08         | SELL                  | PETROHAWK-ENERGY<br>CORP COM     | HK                  | 1,300,000 | 30,534.27           | 31,968.64           | +1,434.37            |
| <b>Total Long Term</b>        |                  |                       |                                  |                     |           | <b>\$480,910.65</b> | <b>\$300,069.01</b> | <b>-\$180,841.64</b> |



# Schedule of Realized Gains and Losses (continued)

| Disposition<br>Date                   | Acquisition<br>Date | Costing<br>Transaction | Description | Security Identifier | Quantity | Cost Basis   | Proceeds     | Realized Gain/Loss |
|---------------------------------------|---------------------|------------------------|-------------|---------------------|----------|--------------|--------------|--------------------|
| <b>Total Short Term and Long Term</b> |                     |                        |             |                     |          |              |              |                    |
|                                       |                     |                        |             |                     |          | \$797,044.50 | \$484,401.87 | -\$312,642.63      |

The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes; for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable.

When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.



## 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

### Money Market Fund Detail (continued)

| Date                                              | Activity Type   | Description             | Amount      | Balance       |
|---------------------------------------------------|-----------------|-------------------------|-------------|---------------|
| <b>Money Market Fund (continued)</b>              |                 |                         |             |               |
| <b>PRIME MGMT OBLIGATIONS SERVICE (continued)</b> |                 |                         |             |               |
| 03/24/09                                          | Withdrawal      | MONEY FUND REDEMPTION   | -127,545.15 | 218,826.60    |
| 03/30/09                                          | Deposit         | MONEY FUND PURCHASE     | 739.20      | 219,565.80    |
| 03/31/09                                          | Deposit         | MONEY FUND PURCHASE     | 733.50      | 220,299.30    |
| 03/31/09                                          | Deposit         | INCOME REINVEST         | 259.24      | 220,558.54    |
| 04/01/09                                          | Withdrawal      | MONEY FUND REDEMPTION   | -34,520.47  | 186,038.07    |
| 04/03/09                                          | Withdrawal      | MONEY FUND REDEMPTION   | -5,760.96   | 180,277.11    |
| 04/07/09                                          | Deposit         | MONEY FUND PURCHASE     | 38,078.09   | 218,355.20    |
| 04/16/09                                          | Deposit         | MONEY FUND PURCHASE     | 412.86      | 218,768.06    |
| 04/24/09                                          | Deposit         | MONEY FUND PURCHASE     | 5015.01     | 223,783.07    |
| 04/27/09                                          | Deposit         | MONEY FUND PURCHASE     | 110.77      | 223,893.84    |
| 04/28/09                                          | Withdrawal      | MONEY FUND REDEMPTION   | -223,893.84 | 0.00          |
| 04/28/09                                          | Withdrawal      | SHARES REDEEMED         | -129.78     | -129.78       |
| 04/28/09                                          | Deposit         | ACCRUED DIVIDEND CREDIT | 129.78      | 0.00          |
| 05/04/09                                          | Deposit         | MONEY FUND PURCHASE     | 2,191.67    | 2,191.67      |
| 05/06/09                                          | Deposit         | MONEY FUND PURCHASE     | 557.12      | 2,748.79      |
| 05/21/09                                          | Deposit         | MONEY FUND PURCHASE     | 783.30      | 3,532.09      |
| 05/29/09                                          | Deposit         | INCOME REINVEST         | 1.54        | 3,533.63      |
| 06/15/09                                          | Withdrawal      | MONEY FUND REDEMPTION   | -3,533.63   | 0.00          |
| 06/15/09                                          | Withdrawal      | SHARES REDEEMED         | -0.71       | -0.71         |
| 06/15/09                                          | Deposit         | ACCRUED DIVIDEND CREDIT | 0.71        | 0.00          |
| 06/12/09                                          | Closing Balance |                         |             | \$0.00        |
| <b>Total All Money Market Funds</b>               |                 |                         |             | <b>\$0.00</b> |

### Schedule of Realized Gains and Losses

| Disposition Date  | Acquisition Date | Closing Transaction | Description              | Security Identifier | Quantity | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------|------------------|---------------------|--------------------------|---------------------|----------|------------|-----------|--------------------|
| <b>Short Term</b> |                  |                     |                          |                     |          |            |           |                    |
| 02/18/09          | 10/29/08         | SELL                | AMERICAN EXPRESS COMPANY | AXP                 | 931.000  | 23,469.45  | 12,847.64 | -10,621.81         |
| 02/18/09          | 12/16/08         | SELL                | AMERICAN EXPRESS COMPANY | AXP                 | 541.000  | 10,842.22  | 7,465.70  | -3,376.52          |

# Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Disposing Transaction | Description                       | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------------------|------------------|-----------------------|-----------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Short Term (continued)</b> |                  |                       |                                   |                     |           |            |           |                    |
| 03/06/09                      | 04/23/08         | SELL                  | UNION PACIFIC CORP COM            | UNP                 | 101.000   | 6,819.88   | 3,477.66  | -3,342.22          |
| 04/23/09                      | 10/29/08         | SELL                  | TYCO ELECTRONICS LTD COM          | G9144P105           | 2,314.000 | 42,166.99  | 36,580.86 | -5,586.13          |
| 04/23/09                      | 04/23/08         | SELL                  | SHS C/A EFF 6/25/09               |                     | 1,224.000 | 98,552.64  | 99,344.80 | 792.16             |
| 04/23/09                      | 05/21/08         | SELL                  | AMAZON COM INC                    | AMZN                | 450.000   | 35,911.43  | 36,523.82 | 612.39             |
| 04/23/09                      | 10/13/08         | SELL                  | AMAZON COM INC                    | AMZN                | 786.000   | 45,679.91  | 63,794.95 | 18,115.04          |
| 04/23/09                      | 10/22/08         | SELL                  | AMAZON COM INC                    | AMZN                | 470.000   | 24,034.14  | 38,147.11 | 14,112.97          |
| 04/23/09                      | 02/20/09         | SELL                  | APPLE INC COM                     | AAPL                | 264.000   | 23,731.64  | 33,234.42 | 9,502.78           |
| 04/23/09                      | 03/04/09         | SELL                  | AUTOMATIC DATA PROCESSING INC COM | ADP                 | 925.000   | 31,130.38  | 32,226.98 | 1,096.60           |
| 04/23/09                      | 03/16/09         | SELL                  | AUTOMATIC DATA PROCESSING INC COM | ADP                 | 925.000   | 33,080.79  | 32,226.98 | -853.81            |
| 04/23/09                      | 03/19/09         | SELL                  | AUTOMATIC DATA PROCESSING INC COM | ADP                 | 450.000   | 16,487.46  | 15,677.98 | -809.48            |
| 04/23/09                      | 10/29/08         | SELL                  | BECTON DICKINSON & CO             | BDX                 | 1,063.000 | 70,703.74  | 67,451.32 | -3,252.42          |
| 04/23/09                      | 05/06/08         | SELL                  | BORGWARNER INC COM                | BWA                 | 1,160.000 | 60,331.43  | 30,145.19 | -30,186.24         |
| 04/23/09                      | 05/21/08         | SELL                  | BORGWARNER INC COM                | BWA                 | 1,202.000 | 64,817.48  | 31,236.65 | -33,580.83         |
| 04/23/09                      | 10/13/08         | SELL                  | BORGWARNER INC COM                | BWA                 | 902.000   | 22,553.76  | 23,440.48 | 886.72             |
| 04/23/09                      | 02/09/09         | SELL                  | BORGWARNER INC COM                | BWA                 | 407.000   | 8,439.07   | 10,576.80 | 2,137.73           |
| 04/23/09                      | 02/20/09         | SELL                  | CATERPILLAR INC                   | CAT                 | 286.000   | 7,481.76   | 9,115.51  | 1,633.75           |
| 04/23/09                      | 03/19/09         | SELL                  | CATERPILLAR INC                   | CAT                 | 457.000   | 12,914.82  | 14,565.68 | 1,650.86           |
| 04/23/09                      | 10/31/08         | SELL                  | CISCO SYSTEMS INC                 | CSCO                | 2,318.000 | 41,384.05  | 40,216.26 | -1,167.79          |
| 04/23/09                      | 12/10/08         | SELL                  | CISCO SYSTEMS INC                 | CSCO                | 1,976.000 | 33,891.39  | 34,282.72 | 391.33             |
| 04/23/09                      | 11/03/08         | SELL                  | DISNEY WALT CO                    | DIS                 | 2,547.000 | 62,072.19  | 49,028.48 | -13,043.71         |
| 04/23/09                      | 12/10/08         | SELL                  | DISNEY WALT CO                    | DIS                 | 453.000   | 10,604.73  | 8,720.02  | -1,884.71          |
| 04/23/09                      | 03/19/09         | SELL                  | DISNEY WALT CO                    | DIS                 | 583.000   | 10,221.98  | 11,222.47 | 1,000.49           |
| 04/23/09                      | 02/20/09         | SELL                  | DISNEY WALT CO                    | DIS                 | 407.000   | 13,249.35  | 14,993.08 | 1,743.73           |
| 04/23/09                      | 12/16/08         | SELL                  | EMERSON ELECTRIC CO COM           | EMR                 | 1,107.000 | 38,489.32  | 35,613.77 | -2,875.55          |
| 04/23/09                      | 12/26/08         | SELL                  | EMERSON ELECTRIC CO COM           | EMR                 | 518.000   | 17,798.48  | 16,664.80 | -1,133.68          |
| 04/23/09                      | 03/16/09         | SELL                  | EMERSON ELECTRIC CO COM           | EMR                 | 659.000   | 18,060.23  | 21,200.98 | 3,140.75           |
| 04/23/09                      | 10/29/08         | SELL                  | GENERAL ELECTRIC CO COM           | GE                  | 1,687.000 | 32,575.97  | 20,080.51 | -12,495.46         |
| 04/23/09                      | 03/19/09         | SELL                  | GENERAL ELECTRIC CO COM           | GE                  | 1,890.000 | 20,096.87  | 22,496.84 | 2,399.97           |
| 04/23/09                      | 02/09/09         | SELL                  | HEWLETT PACKARD CO COM            | HPQ                 | 1,027.000 | 37,259.15  | 35,239.73 | -2,019.42          |





## 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

### Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Disposing Transaction | Description                            | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|-------------------------------|------------------|-----------------------|----------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Short Term (continued)</b> |                  |                       |                                        |                     |           |            |           |                    |
| 04/23/09                      | 03/04/09         | SELL                  | INTERNATIONAL BUSINESS MACHS CORP      | IBM                 | 345,000   | 30,990.32  | 34,703.43 | 3,713.11           |
| 04/23/09                      | 03/16/09         | SELL                  | INTERNATIONAL BUSINESS MACHS CORP      | IBM                 | 370,000   | 34,165.39  | 37,218.17 | 3,052.78           |
| 04/23/09                      | 03/19/09         | SELL                  | INTERNATIONAL BUSINESS MACHS CORP      | IBM                 | 213,000   | 19,655.26  | 21,425.60 | 1,770.34           |
| 04/23/09                      | 02/09/09         | SELL                  | JOHNSON CONTROLS INC COM               | JCI                 | 2,482,000 | 35,197.10  | 44,348.76 | 9,151.66           |
| 04/23/09                      | 03/19/09         | SELL                  | JOHNSON CONTROLS INC COM               | JCI                 | 1,361,000 | 15,372.68  | 24,318.56 | 8,945.88           |
| 04/23/09                      | 03/27/09         | SELL                  | MONSANTO CO NEW COM                    | MON                 | 418,000   | 36,229.20  | 32,897.75 | -3,331.45          |
| 04/23/09                      | 03/16/09         | SELL                  | PACCAR INC                             | PCAR                | 734,000   | 17,826.80  | 23,781.20 | 5,954.40           |
| 04/23/09                      | 04/23/08         | SELL                  | PRICE T ROWE GROUP INC COM             | TROW                | 1,244,000 | 66,894.89  | 46,658.46 | -20,236.43         |
| 04/23/09                      | 05/21/08         | SELL                  | PRICE T ROWE GROUP INC COM             | TROW                | 413,000   | 24,242.64  | 15,490.31 | -8,752.33          |
| 04/23/09                      | 10/29/08         | SELL                  | PRICE T ROWE GROUP INC COM             | TROW                | 1,064,000 | 39,642.39  | 39,907.23 | 264.84             |
| 04/23/09                      | 10/22/08         | SELL                  | QUALCOMM INC                           | QCOM                | 753,000   | 27,664.87  | 30,606.72 | 2,941.85           |
| 04/23/09                      | 10/29/08         | SELL                  | QUALCOMM INC                           | QCOM                | 287,000   | 11,152.40  | 11,665.52 | 513.12             |
| 04/23/09                      | 10/29/08         | SELL                  | RAYTHEON CO COM NEW                    | RTN                 | 387,000   | 18,835.54  | 16,556.95 | -2,278.59          |
| 04/23/09                      | 11/04/08         | SELL                  | CHARLES SCHWAB CORP COM NEW            | SCHW                | 3,061,000 | 61,904.14  | 53,615.03 | -8,289.11          |
| 04/23/09                      | 12/10/08         | SELL                  | CHARLES SCHWAB CORP COM NEW            | SCHW                | 972,000   | 17,512.41  | 17,025.09 | -487.32            |
| 04/23/09                      | 02/09/09         | SELL                  | CHARLES SCHWAB CORP COM NEW            | SCHW                | 1,159,000 | 16,668.94  | 20,300.50 | 3,631.56           |
| 04/23/09                      | 03/19/09         | SELL                  | CHARLES SCHWAB CORP COM NEW            | SCHW                | 1,099,000 | 15,495.90  | 19,249.57 | 3,753.67           |
| 04/23/09                      | 10/29/08         | SELL                  | SIGMA ALDRICH CORP                     | SIAL                | 952,000   | 36,232.36  | 37,728.01 | 1,495.65           |
| 04/23/09                      | 03/06/09         | SELL                  | TEVA PHARMACEUTICAL INDUSTRIES LTD ADR | TEVA                | 343,000   | 15,188.04  | 14,745.19 | -442.85            |
| 04/23/09                      | 03/16/09         | SELL                  | TEVA PHARMACEUTICAL INDUSTRIES LTD ADR | TEVA                | 749,000   | 33,801.73  | 32,198.68 | -1,603.05          |
| 04/23/09                      | 04/23/08         | SELL                  | UNION PACIFIC CORP COM                 | UNP                 | 863,000   | 58,272.87  | 42,144.08 | -16,128.79         |



BULLSEYE  
FOR COMMUNICATION

Account Number: 19C-001898  
IRENE W & CB PENNINGTON

PAPER-10-RTN I

Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
Member FINRA NYSE CME

# Schedule of Realized Gains and Losses (continued)

| Disposition Date              | Acquisition Date | Closing Transaction | Description                              | Security Identifier | Quantity  | Cost Basis            | Proceeds              | Realized Gain/Loss   |
|-------------------------------|------------------|---------------------|------------------------------------------|---------------------|-----------|-----------------------|-----------------------|----------------------|
| <b>Short Term (continued)</b> |                  |                     |                                          |                     |           |                       |                       |                      |
| 04/23/09                      | 10/29/08         | SELL                | UNION PACIFIC CORP COM                   | UNP                 | 1,140,000 | 71,835.98             | 55,671.21             | -16,164.77           |
| 04/23/09                      | 02/20/09         | SELL                | UNION PACIFIC CORP COM                   | UNP                 | 196,000   | 7,781.22              | 9,571.54              | 1,790.32             |
| 04/23/09                      | 02/20/09         | SELL                | VARIAN MED SYS INC COM                   | VAR                 | 675,000   | 23,170.31             | 21,819.53             | -1,350.78            |
| 04/23/09                      | 03/04/09         | SELL                | WAL MART STORES INC                      | WMT                 | 643,000   | 31,233.79             | 31,210.64             | -23.15               |
| 04/23/09                      | 03/16/09         | SELL                | WAL MART STORES INC                      | WMT                 | 364,000   | 17,932.29             | 17,668.23             | -264.06              |
| 04/23/09                      | 03/19/09         | SELL                | WAL MART STORES INC                      | WMT                 | 347,000   | 17,300.18             | 16,843.06             | -457.12              |
| 04/23/09                      | 09/17/08         | SELL                | WELLS FARGO & CO NEW COM                 | WFC                 | 1,537,000 | 51,870.14             | 29,811.80             | -22,058.34           |
| 04/23/09                      | 10/13/08         | SELL                | WELLS FARGO & CO NEW COM                 | WFC                 | 2,173,000 | 61,989.01             | 42,147.72             | -19,841.29           |
| 04/23/09                      | 12/16/08         | SELL                | WELLS FARGO & CO NEW COM                 | WFC                 | 1,025,000 | 29,886.42             | 19,881.00             | -10,005.42           |
| 04/23/09                      | 02/09/09         | SELL                | WELLS FARGO & CO NEW COM                 | WFC                 | 688,000   | 13,256.73             | 13,344.51             | 87.78                |
| <b>Total Short Term</b>       |                  |                     |                                          |                     |           | <b>\$1,934,054.64</b> | <b>\$1,782,394.24</b> | <b>-\$151,660.40</b> |
| <b>Long Term</b>              |                  |                     |                                          |                     |           |                       |                       |                      |
| 01/07/09                      | 02/08/07         | SELL                | CME GROUP INC COM                        | CME                 | 88,000    | 51,630.42             | 17,582.16             | -34,048.26           |
| 01/26/09                      | 02/08/07         | SELL                | AMERICAN EXPRESS COMPANY                 | AXP                 | 695,000   | 40,578.31             | 10,960.08             | -29,618.23           |
| 02/03/09                      | 02/08/07         | SELL                | CME GROUP INC COM                        | CME                 | 103,000   | 60,431.06             | 18,127.97             | -42,303.09           |
| 02/18/09                      | 07/17/07         | SELL                | TYCO ELECTRONICS LTD SHS C/A EFF 6/25/09 | G9144P105           | 314,000   | 12,246.93             | 3,936.02              | -8,310.91            |
| 02/18/09                      | 07/25/07         | SELL                | TYCO ELECTRONICS LTD SHS C/A EFF 6/25/09 | G9144P105           | 1,524,000 | 58,138.57             | 19,103.49             | -39,035.08           |
| 02/18/09                      | 08/27/07         | SELL                | TYCO ELECTRONICS LTD SHS C/A EFF 6/25/09 | G9144P105           | 207,000   | 7,480.30              | 2,594.76              | -4,885.54            |
| 02/18/09                      | 02/08/07         | SELL                | ALLERGAN INC COM                         | AGN                 | 240,000   | 13,809.73             | 9,904.46              | -3,905.27            |
| 02/18/09                      | 02/08/07         | SELL                | AMERICAN EXPRESS COMPANY                 | AXP                 | 715,000   | 41,746.03             | 9,866.88              | -31,879.15           |
| 02/18/09                      | 02/08/07         | SELL                | CME GROUP INC COM                        | CME                 | 100,000   | 58,670.93             | 17,982.73             | -40,688.20           |
| 02/18/09                      | 02/08/07         | SELL                | JACOBS ENGINEERING GROUP INC             | JEC                 | 131,000   | 6,014.38              | 4,830.18              | -1,184.20            |
| 02/18/09                      | 02/08/07         | SELL                | PRAXAIR INC                              | PX                  | 487,000   | 30,705.14             | 31,609.12             | 903.98               |
| 02/20/09                      | 08/15/07         | SELL                | DAIMLER AG REG SHS                       | DAI                 | 611,000   | 51,564.86             | 15,825.01             | -35,739.85           |
| 02/20/09                      | 12/11/07         | SELL                | DAIMLER AG REG SHS                       | DAI                 | 164,000   | 16,880.51             | 4,247.63              | -12,632.88           |





## 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

### Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                                 | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------------------|------------------|-----------------------|---------------------------------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Long Term (continued)</b> |                  |                       |                                             |                     |           |            |           |                    |
| 02/20/09                     | 02/01/08         | SELL                  | DAIMLER AG<br>REG SHS                       | DAI                 | 355,000   | 28,029.27  | 9,194.56  | -18,834.71         |
| 02/20/09                     | 08/27/07         | SELL                  | TYCO ELECTRONICS LTD<br>SHS C/A EFF 6/25/09 | C9144P105           | 1,005,000 | 36,317.38  | 10,934.93 | -25,382.45         |
| 02/20/09                     | 02/08/07         | SELL                  | ALLERGAN INC COM                            | AGN                 | 839,000   | 48,276.52  | 33,550.56 | -14,725.96         |
| 03/02/09                     | 08/27/07         | SELL                  | TYCO ELECTRONICS LTD<br>SHS C/A EFF 6/25/09 | C9144P105           | 691,000   | 24,970.46  | 6,191.32  | -18,779.14         |
| 03/02/09                     | 08/31/07         | SELL                  | TYCO ELECTRONICS LTD<br>SHS C/A EFF 6/25/09 | C9144P105           | 354,000   | 12,377.55  | 3,171.82  | -9,205.73          |
| 03/02/09                     | 07/17/07         | SELL                  | BOEING CO COM                               | BA                  | 229,000   | 23,504.23  | 6,797.47  | -16,706.76         |
| 03/02/09                     | 02/08/07         | SELL                  | CATERPILLAR INC                             | CAT                 | 629,000   | 41,303.82  | 13,961.67 | -27,342.15         |
| 03/02/09                     | 04/10/06         | SELL                  | EXPEDITORS INTL WASH<br>INC                 | EXPD                | 215,000   | 9,752.10   | 5,433.42  | -4,318.68          |
| 03/02/09                     | 04/10/06         | SELL                  | EXPEDITORS INTL WASH<br>INC                 | EXPD                | 894,000   | 40,550.58  | 22,592.91 | -17,957.67         |
| 03/02/09                     | 02/08/07         | SELL                  | JACOBS ENGINEERING<br>GROUP INC             | JEC                 | 787,000   | 36,132.18  | 24,058.12 | -12,074.06         |
| 03/02/09                     | 07/25/07         | SELL                  | JOHNSON CONTROLS INC<br>COM                 | JCI                 | 323,000   | 12,162.96  | 3,436.45  | -8,726.51          |
| 03/02/09                     | 08/15/07         | SELL                  | JOHNSON CONTROLS INC<br>COM                 | JCI                 | 1,834,000 | 68,200.37  | 19,512.24 | -48,688.13         |
| 03/02/09                     | 07/17/07         | SELL                  | PACCAR INC                                  | PCAR                | 669,000   | 42,122.80  | 15,390.82 | -26,731.98         |
| 03/02/09                     | 02/08/07         | SELL                  | PRAXAIR INC                                 | PX                  | 227,000   | 14,312.25  | 12,267.01 | -2,045.24          |
| 03/02/09                     | 02/26/08         | SELL                  | PRICE T ROWE GROUP<br>INC COM               | TROW                | 255,000   | 13,407.10  | 5,558.96  | -7,848.14          |
| 03/02/09                     | 10/20/05         | SELL                  | VARIAN MED SYS INC<br>COM                   | VAR                 | 1,269,000 | 56,590.78  | 37,197.34 | -19,393.44         |
| 03/06/09                     | 02/08/07         | SELL                  | JACOBS ENGINEERING<br>GROUP INC             | JEC                 | 173,000   | 7,942.65   | 5,574.14  | -2,368.51          |
| 03/06/09                     | 09/19/07         | SELL                  | RAYTHEON CO COM NEW                         | RTN                 | 540,000   | 33,916.39  | 18,719.61 | -15,196.78         |
| 03/06/09                     | 02/26/08         | SELL                  | UNION PACIFIC CORP<br>COM                   | UNP                 | 417,000   | 26,965.54  | 14,358.25 | -12,607.29         |
| 04/01/09                     | 07/17/07         | SELL                  | BOEING CO COM                               | BA                  | 7,000     | 718.47     | 247.50    | -470.97            |
| 04/01/09                     | 08/15/07         | SELL                  | BOEING CO COM                               | BA                  | 1,065,000 | 103,192.96 | 37,655.37 | -65,537.59         |
| 04/23/09                     | 08/31/07         | SELL                  | TYCO ELECTRONICS LTD<br>SHS C/A EFF 6/25/09 | C9144P105           | 638,000   | 22,307.57  | 10,085.82 | -12,221.75         |

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DALEBAR RATED  
 FOR COMMUNICATION  
 Account Number: 19C-001898  
 IRENE W & CB PENNINGTON

B0005076CSF860AP

PAP-02-ROLL  
 Clearing Through Pershing LLC, a subsidiary of The Bank of New York Mellon Corporation  
 Member FINRA, NYSE, SIPC

# Schedule of Realized Gains and Losses (continued)

| Disposition Date             | Acquisition Date | Closing Transaction | Description                  | Security Identifier | Quantity  | Cost Basis | Proceeds   | Realized Gain/Loss |
|------------------------------|------------------|---------------------|------------------------------|---------------------|-----------|------------|------------|--------------------|
| <b>Long Term (continued)</b> |                  |                     |                              |                     |           |            |            |                    |
| 04/23/09                     | 12/03/07         | SELL                | TYCO ELECTRONICS LTD         | G9144P105           | 530.000   | 19,855.62  | 8,378.50   | -11,477.12         |
| 04/23/09                     | 03/28/07         | SELL                | SHS C/A EFF 6/25/09          |                     |           |            |            |                    |
| 04/23/09                     | 08/27/07         | SELL                | AT&T INC COM                 | T                   | 260.000   | 10,153.00  | 6,627.23   | -3,525.77          |
| 04/23/09                     | 10/31/07         | SELL                | AT&T INC COM                 | T                   | 2,825.000 | 113,621.36 | 72,007.39  | -41,613.97         |
| 04/23/09                     | 12/11/07         | SELL                | AT&T INC COM                 | T                   | 257.000   | 10,688.63  | 6,550.76   | -4,137.87          |
| 04/23/09                     | 02/08/07         | SELL                | AT&T INC COM                 | T                   | 113.000   | 4,588.33   | 2,880.30   | -1,708.03          |
| 04/23/09                     | 02/08/07         | SELL                | ALLERGAN INC COM             | AGN                 | 836.000   | 48,103.89  | 38,873.67  | -9,230.22          |
| 04/23/09                     | 02/08/07         | SELL                | APPLE INC COM                | AAPL                | 1,611.000 | 138,493.65 | 202,805.51 | 64,311.86          |
| 04/23/09                     | 02/07/08         | SELL                | BECTON DICKINSON & CO        | BDX                 | 718.000   | 62,831.24  | 45,559.78  | -17,271.46         |
| 04/23/09                     | 02/08/07         | SELL                | CATERPILLAR INC              | CAT                 | 1,122.000 | 73,677.09  | 35,760.83  | -37,916.26         |
| 04/23/09                     | 12/03/07         | SELL                | ECOLAB INC                   | ECL                 | 485.000   | 24,037.02  | 17,866.45  | -6,170.57          |
| 04/23/09                     | 12/11/07         | SELL                | ECOLAB INC                   | ECL                 | 742.000   | 38,117.63  | 27,333.82  | -10,783.81         |
| 04/23/09                     | 02/26/08         | SELL                | ECOLAB INC                   | ECL                 | 1,315.000 | 63,122.63  | 48,442.01  | -14,680.62         |
| 04/23/09                     | 04/10/06         | SELL                | EXPEDITORS INTL WASH INC     | EXPD                | 2,426.000 | 110,039.94 | 79,192.51  | -30,847.43         |
| 04/23/09                     | 07/27/06         | SELL                | EXPEDITORS INTL WASH INC     | EXPD                | 59.000    | 2,597.77   | 1,925.95   | -671.82            |
| 04/23/09                     | 08/26/02         | SELL                | GENERAL ELECTRIC CO COM      | GE                  | 658.000   | 21,056.00  | 7,832.23   | -13,223.77         |
| 04/23/09                     | 04/27/05         | SELL                | GENERAL ELECTRIC CO COM      | GE                  | 200.000   | 16,654     | 2,380.62   | -14,273.38         |
| 04/23/09                     | 07/05/06         | SELL                | GENERAL ELECTRIC CO COM      | GE                  | 268.000   | 8,956.56   | 3,190.03   | -5,766.53          |
| 04/23/09                     | 07/27/06         | SELL                | GENERAL ELECTRIC CO COM      | GE                  | 26.000    | 850.20     | 309.48     | -540.72            |
| 04/23/09                     | 10/11/06         | SELL                | GENERAL ELECTRIC CO COM      | GE                  | 3,460.000 | 125,113.60 | 41,184.69  | -83,928.91         |
| 04/23/09                     | 12/11/07         | SELL                | GENERAL ELECTRIC CO COM      | GE                  | 745.000   | 27,958.69  | 8,867.80   | -19,090.89         |
| 04/23/09                     | 05/02/07         | SELL                | GILEAD SCIENCES INC          | GILD                | 1,912.000 | 79,780.14  | 86,422.78  | 6,642.64           |
| 04/23/09                     | 12/03/07         | SELL                | GILEAD SCIENCES INC          | GILD                | 2,122.000 | 98,514.69  | 95,914.83  | -2,599.86          |
| 04/23/09                     | 09/28/06         | SELL                | GOOGLE INC CL A              | GOOG                | 237.000   | 95,987.15  | 91,363.34  | -4,623.81          |
| 04/23/09                     | 12/03/07         | SELL                | GOOGLE INC CL A              | GOOG                | 197.000   | 136,477.66 | 75,943.36  | -60,534.30         |
| 04/23/09                     | 02/08/07         | SELL                | JACOBS ENGINEERING GROUP INC | JEC                 | 1,867.000 | 85,716.38  | 81,338.75  | -4,377.63          |
| 04/23/09                     | 08/15/07         | SELL                | JOHNSON CONTROLS INC COM     | JCI                 | 1,097.000 | 40,793.79  | 19,601.36  | -21,192.43         |
| 04/23/09                     | 08/31/07         | SELL                | JOHNSON CONTROLS INC COM     | JCI                 | 1,488.000 | 56,419.52  | 26,587.81  | -29,831.71         |
| 04/23/09                     | 12/03/07         | SELL                | JOHNSON CONTROLS INC COM     | JCI                 | 768.000   | 29,251.04  | 13,722.74  | -15,528.30         |
| 04/23/09                     | 07/17/07         | SELL                | PACCAR INC                   | PCAR                | 1,292.500 | 81,380.74  | 41,876.29  | -39,504.45         |
| 04/23/09                     | 08/27/07         | SELL                | PACCAR INC                   | PCAR                | 325.500   | 17,924.93  | 10,546.02  | -7,378.91          |
| 04/23/09                     | 12/03/07         | SELL                | PACCAR INC                   | PCAR                | 770.000   | 39,219.79  | 24,947.58  | -14,272.21         |



**Pershing** AN AMERITRADE COMPANY  
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 Pershing Advisors Securities LLC, member FINRA, SIPC  
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## 2009 Year-End Account Report

Report Period: 01/01/2009 - 12/31/2009

### Schedule of Realized Gains and Losses (continued)

| Disposition Date                      | Acquisition Date | Disposing Transaction | Description                | Security Identifier | Quantity  | Cost Basis            | Proceeds              | Realized Gain/Loss     |
|---------------------------------------|------------------|-----------------------|----------------------------|---------------------|-----------|-----------------------|-----------------------|------------------------|
| <b>Long Term (continued)</b>          |                  |                       |                            |                     |           |                       |                       |                        |
| 04/23/09                              | 12/11/07         | SELL                  | PACCAR INC                 | PCAR                | 303,000   | 17,375.88             | 9,817.03              | -7,558.85              |
| 04/23/09                              | 02/08/07         | SELL                  | PRAXAIR INC                | PX                  | 2,988,000 | 187,131.16            | 205,805.94            | 18,674.78              |
| 04/23/09                              | 02/26/08         | SELL                  | PRICE T ROWE GROUP INC COM | TROW                | 213,000   | 11,198.88             | 7,988.95              | -3,209.93              |
| 04/23/09                              | 01/22/07         | SELL                  | QUALCOMM INC               | QCOM                | 3,580,000 | 137,182.85            | 135,574.04            | -1,608.81              |
| 04/23/09                              | 09/19/07         | SELL                  | RAYTHEON CO COM-NEW        | RTN                 | 792,000   | 49,744.03             | 33,883.99             | -15,860.04             |
| 04/23/09                              | 12/03/07         | SELL                  | RAYTHEON CO COM-NEW        | RTN                 | 731,000   | 45,685.44             | 31,273.24             | -14,412.20             |
| 04/23/09                              | 12/11/07         | SELL                  | RAYTHEON CO COM-NEW        | RTN                 | 609,000   | 39,154.84             | 26,054.74             | -13,100.10             |
| 04/23/09                              | 02/26/08         | SELL                  | RAYTHEON CO COM-NEW        | RTN                 | 542,000   | 36,014.79             | 23,188.29             | -12,826.50             |
| 04/23/09                              | 12/11/07         | SELL                  | SIGMA ALDRICH CORP         | SIAL                | 1,166,000 | 63,819.53             | 46,208.89             | -17,610.64             |
| 04/23/09                              | 02/07/08         | SELL                  | SIGMA ALDRICH CORP         | SIAL                | 577,000   | 28,494.84             | 22,866.66             | -5,628.18              |
| 04/23/09                              | 02/26/08         | SELL                  | SIGMA ALDRICH CORP         | SIAL                | 407,000   | 22,919.63             | 16,129.52             | -6,790.11              |
| 04/23/09                              | 10/20/05         | SELL                  | VARIAN MED SYS INC COM     | VAR                 | 275,000   | 12,263.57             | 8,889.43              | -3,374.14              |
| 04/23/09                              | 06/30/06         | SELL                  | VARIAN MED SYS INC COM     | VAR                 | 396,000   | 18,976.32             | 12,800.78             | -6,175.54              |
| 04/23/09                              | 07/05/06         | SELL                  | VARIAN MED SYS INC COM     | VAR                 | 423,000   | 19,711.80             | 13,673.56             | -6,038.24              |
| 04/23/09                              | 07/27/06         | SELL                  | VARIAN MED SYS INC COM     | VAR                 | 47,000    | 2,122.05              | 1,519.28              | -602.77                |
| 04/23/09                              | 12/11/07         | SELL                  | VARIAN MED SYS INC COM     | VAR                 | 336,000   | 17,091.16             | -10,861.27            | -6,229.89              |
| <b>Total Long Term</b>                |                  |                       |                            |                     |           | <b>\$3,534,433.25</b> | <b>\$2,375,171.81</b> | <b>-\$1,209,261.44</b> |
| <b>Total Short Term and Long Term</b> |                  |                       |                            |                     |           | <b>\$3,534,433.25</b> | <b>\$2,375,171.81</b> | <b>-\$1,209,261.44</b> |

The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes, for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically, these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable. When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.

# Money Market Fund Detail (continued)

| Date                                              | Activity Type   | Description           | Amount    | Balance             |
|---------------------------------------------------|-----------------|-----------------------|-----------|---------------------|
| <b>Money Market Fund (continued)</b>              |                 |                       |           |                     |
| <b>PRIME MGMT OBLIGATIONS SERVICE (continued)</b> |                 |                       |           |                     |
| 09/30/09                                          | Deposit         | INCOME REINVEST       | 7.63      | 105,072.88          |
| 10/02/09                                          | Deposit         | MONEY FUND PURCHASE   | 1,713.89  | 106,786.77          |
| 10/05/09                                          | Withdrawal      | MONEY FUND REDEMPTION | -8,529.25 | 98,257.52           |
| 10/19/09                                          | Deposit         | MONEY FUND PURCHASE   | 1,299.46  | 99,556.98           |
| 10/26/09                                          | Deposit         | MONEY FUND PURCHASE   | 5,189.61  | 104,746.59          |
| 10/28/09                                          | Deposit         | MONEY FUND PURCHASE   | 751.20    | 105,497.79          |
| 10/30/09                                          | Deposit         | INCOME REINVEST       | 2.12      | 105,499.91          |
| 11/09/09                                          | Deposit         | MONEY FUND PURCHASE   | 2,438.25  | 107,938.16          |
| 11/10/09                                          | Deposit         | MONEY FUND PURCHASE   | 263.92    | 108,202.08          |
| 11/20/09                                          | Deposit         | MONEY FUND PURCHASE   | 607.88    | 108,809.96          |
| 11/24/09                                          | Deposit         | MONEY FUND PURCHASE   | 85.00     | 108,894.96          |
| 11/30/09                                          | Deposit         | INCOME REINVEST       | 0.89      | 108,895.85          |
| 12/01/09                                          | Deposit         | MONEY FUND PURCHASE   | 381.22    | 109,277.07          |
| 12/02/09                                          | Deposit         | MONEY FUND PURCHASE   | 1,181.50  | 110,458.57          |
| 12/07/09                                          | Deposit         | MONEY FUND PURCHASE   | 2,346.50  | 112,805.07          |
| 12/08/09                                          | Deposit         | MONEY FUND PURCHASE   | 3,638.83  | 116,443.90          |
| 12/17/09                                          | Deposit         | MONEY FUND PURCHASE   | 2,585.66  | 119,029.56          |
| 12/24/09                                          | Deposit         | MONEY FUND PURCHASE   | 323.10    | 119,352.66          |
| 12/28/09                                          | Deposit         | MONEY FUND PURCHASE   | 839.03    | 120,191.69          |
| 12/31/09                                          | Deposit         | INCOME REINVEST       | 0.99      | 120,192.68          |
| 12/31/09                                          | Closing Balance |                       |           | <b>\$120,192.68</b> |
| <b>Total All Money Market Funds</b>               |                 |                       |           | <b>\$120,192.68</b> |

# Schedule of Realized Gains and Losses

| Disposition Date | Acquisition Date | Disposing Transaction | Description          | Security Identifier | Quantity  | Cost Basis | Proceeds  | Realized Gain/Loss |
|------------------|------------------|-----------------------|----------------------|---------------------|-----------|------------|-----------|--------------------|
| <b>Long Term</b> |                  |                       |                      |                     |           |            |           |                    |
| 04/22/09         | 09/19/07         | SELL                  | COOPER INDS LTD CL A | G24182100           | 1,650,000 | 83,597.50  | 48,161.75 | -35,435.75         |
|                  |                  |                       | C/A EFF 9/8/09 1 OLD |                     |           |            |           |                    |
| 04/22/09         | 09/20/07         | SELL                  | COOPER INDS LTD CL A | G24182100           | 300,000   | 14,953.98  | 8,756.68  | -6,197.30          |
|                  |                  |                       | C/A EFF 9/8/09 1 OLD |                     |           |            |           |                    |
| 04/22/09         | 09/19/07         | SELL                  | ARACRUZ CELULOSE S.A | 038496204           | 250,000   | 17,325.00  | 2,260.44  | -15,064.56         |
|                  |                  |                       | SPONSORED ADR REPSTG |                     |           |            |           |                    |
| 04/22/09         | 09/20/07         | SELL                  | ARACRUZ CELULOSE S.A | 038496204           | 200,000   | 13,748.00  | 1,808.35  | -11,939.65         |
|                  |                  |                       | SPONSORED ADR REPSTG |                     |           |            |           |                    |
| 04/22/09         | 09/21/07         | SELL                  | ARACRUZ CELULOSE S.A | 038496204           | 225,000   | 15,511.50  | 2,034.40  | -13,477.10         |
|                  |                  |                       | SPONSORED ADR REPSTG |                     |           |            |           |                    |
| 04/22/09         | 09/24/07         | SELL                  | ARACRUZ CELULOSE S.A | 038496204           | 225,000   | 15,682.50  | 2,034.40  | -13,648.10         |
|                  |                  |                       | SPONSORED ADR REPSTG |                     |           |            |           |                    |

Report Period: 01/01/2009 - 12/31/2009

**Schedule of Realized Gains and Losses (continued)**

| Disposition Date             | Acquisition Date | Disposing Transaction | Description                         | Security Identifier | Quantity  | Cost Basis          | Proceeds            | Realized Gain/Loss   |
|------------------------------|------------------|-----------------------|-------------------------------------|---------------------|-----------|---------------------|---------------------|----------------------|
| <b>Long Term (continued)</b> |                  |                       |                                     |                     |           |                     |                     |                      |
| 04/22/09                     | 09/19/07         | SELL                  | BHP BILLITON LTD SPONSORED ADR      | BHP                 | 1,325,000 | 93,771.12           | 60,200.06           | -33,571.06           |
| 04/22/09                     | 09/20/07         | SELL                  | BHP BILLITON LTD SPONSORED ADR      | BHP                 | 825,000   | 59,177.25           | 37,483.05           | -21,694.20           |
| 04/22/09                     | 09/19/07         | SELL                  | CANADIAN NATL RY CO COM             | CNI                 | 1,150,000 | 65,576.00           | 46,356.15           | -19,219.85           |
| 04/22/09                     | 09/20/07         | SELL                  | CANADIAN NATL RY CO COM             | CNI                 | 750,000   | 42,502.50           | 30,232.28           | -12,270.22           |
| 04/22/09                     | 09/20/07         | SELL                  | NESTLE SA SPONSORED ADRS REGISTERED | NSRGY               | 1,525,000 | 66,490.00           | 49,134.24           | -17,355.76           |
| 04/22/09                     | 09/21/07         | SELL                  | NESTLE SA SPONSORED ADRS REGISTERED | NSRGY               | 175,000   | 7,668.50            | 5,638.35            | -2,030.15            |
| 04/22/09                     | 09/19/07         | SELL                  | TECK RES LTD                        | TCK                 | 1,475,000 | 67,318.93           | 14,513.84           | -52,805.09           |
| 04/22/09                     | 09/20/07         | SELL                  | CL B SUB VTG                        | TCK                 | 1,275,000 | 62,067.00           | 12,545.86           | -49,521.14           |
| 04/22/09                     | 09/21/07         | SELL                  | TECK RES LTD                        | TCK                 | 1,125,000 | 55,033.25           | 11,069.88           | -43,963.37           |
| 04/22/09                     | 09/24/07         | SELL                  | CL B SUB VTG                        | TCK                 | 1,325,000 | 64,267.75           | 13,037.85           | -51,229.90           |
| 04/22/09                     | 12/18/07         | SELL                  | TECK RES LTD                        | TCK                 | 2,000,000 | 67,831.00           | 19,679.78           | -48,151.22           |
| <b>Total Long Term</b>       |                  |                       |                                     |                     |           | <b>\$812,521.78</b> | <b>\$364,947.36</b> | <b>-\$447,574.42</b> |

**Total Short Term and Long Term**

The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes; for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable.

When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report for the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.



# UBS Financial Services Inc.

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Account Number 8R 08818 75

Your Financial Advisor or Contact

DWIGHT WEST

303-267-3000/800-288-5258

## 2009 Consolidated Form 1099

P01L185480-X1

### 2009 Realized Gain/Loss Summary

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

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

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

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

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

|                       | Purchase    | Sale        | Gains     | Losses    | Net       |
|-----------------------|-------------|-------------|-----------|-----------|-----------|
|                       |             |             |           |           | Gain/Loss |
| Short-term Gain/Loss: | \$ 7,667.87 | \$ 8,466.05 | \$ 853.28 | \$ -55.10 | \$ 798.18 |
| Sub Total:            | \$ 7,667.87 | \$ 8,466.05 | \$ 853.28 | \$ -55.10 | \$ 798.18 |
| Total:                | \$ 7,667.87 | \$ 8,466.05 | \$ 853.28 | \$ -55.10 | \$ 798.18 |

### Short-Term Gain/Loss

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

| Security Description    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches |
|-------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------|
| ANADARKO PETROLEUM CORP | Trade         | 10,000                  |                        | 05/28/09                       | 10/16/09     | 668.44      | 468.26                 | 200.18    |         | Y       |
| HUTCHISON               | Trade         | 35,000                  |                        | 05/28/09                       | 10/20/09     | 105.69      | 107.54                 | -1.85     |         | Y       |
| TELECOMMUNICATIONS INTL | Trade         | 30,000                  |                        | 05/28/09                       | 10/21/09     | 90.59       | 92.18                  | -1.59     |         | Y       |
| LTD SPON ADR            | Trade         | 20,000                  |                        | 05/28/09                       | 10/22/09     | 60.39       | 61.45                  | -1.06     |         | Y       |
|                         | Trade         | 185,000                 |                        | 05/28/09                       | 10/29/09     | 558.68      | 568.41                 | -9.73     |         | Y       |
|                         | Trade         | 50,000                  |                        | 05/28/09                       | 11/05/09     | 150.99      | 153.63                 | -2.64     |         | Y       |
|                         | Trade         | 15,000                  |                        | 05/28/09                       | 11/09/09     | 45.29       | 48.09                  | -2.80     |         | Y       |
|                         | Trade         | 30,000                  |                        | 05/28/09                       | 11/10/09     | 90.59       | 92.18                  | -1.59     |         | Y       |
|                         | Trade         | 35,000                  |                        | 05/28/09                       | 11/11/09     | 105.69      | 107.54                 | -1.85     |         | Y       |
|                         | Trade         | 15,000                  |                        | 05/28/09                       | 11/12/09     | 45.29       | 46.09                  | -0.80     |         | Y       |
|                         | Trade         | 77,000                  |                        | 05/28/09                       | 11/13/09     | 232.53      | 236.58                 | -4.05     |         | Y       |



Account Number 8R 08818 75  
Your Financial Advisor or Contact  
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UBS Financial Services Inc.

2009 Consolidated Form 1099

P01L185491-X1

### Short-Term Gain/Loss - continued

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

| Security Description       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| PENTAIR INC                | Trade         | 30,000                  |                        | 05/28/09                       | 07/10/09     | 715.48      | 744.62                 | -29.14    |         | Y                 |
|                            | Trade         | 61,000                  |                        | 05/28/09                       | 11/03/09     | 1,823.22    | 1,514.05               | 309.17    |         | Y                 |
| ROWAN COMPANIES INC        | Trade         | 77,000                  |                        | 05/28/09                       | 08/21/09     | 1,701.46    | 1,526.89               | 174.57    |         |                   |
| SCHEIN HENRY INC           | Trade         | 33,000                  |                        | 05/28/09                       | 06/11/09     | 1,491.70    | 1,479.72               | 11.98     |         | Y                 |
| UDR INC REITS              | Trade         | 40,000                  |                        | 05/28/09                       | 11/02/09     | 580.02      | 422.64                 | 157.38    |         | Y                 |
| Total Short-Term Gain/Loss |               |                         |                        |                                |              |             | 8,466.05               | 7,667.87  | 798.18  |                   |

P01L185538-X1

## 2009 Realized Gain/Loss Summary

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

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

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

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

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

|                                                                    | Purchase | Sale | Gains | Losses | Net       |
|--------------------------------------------------------------------|----------|------|-------|--------|-----------|
|                                                                    |          |      |       |        | Gain/Loss |
| Short-term Gain/Loss:                                              |          |      |       |        |           |
| Unclassified Gain/Loss:                                            |          |      |       |        |           |
| Sub Total:                                                         |          |      |       |        |           |
| Activity with Gain/Loss not calculated due to missing information: |          |      |       |        |           |
| Total:                                                             |          |      |       |        |           |

## Short-Term Gain/Loss

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

| Security Description                                               | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Y |
|--------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---|
| AGERE SYSTEMS INC NTS<br>08.500% 121509 DTD081902<br>FC121502 CONV | Redemption    | 4,000.000               |                        | 08/02/09                       | 06/15/09     | 4,017.20    | 4,018.00               | -80       |         |   |
| AMGEN INC NTS CONV B/E<br>00.125% 020111 DTD030808<br>FC020107     | Trade         | 1,000.000               |                        | 08/02/09                       | 11/10/09     | 981.88      | 937.50                 | 44.38     |         |   |
| CARNIVAL CORP B/E<br>00.500% 042933 DTD042903<br>FC102903          | Trade         | 3,000.000               | 1,953.75               | 06/04/09                       | 06/19/09     | 1,955.63    | 1,954.71               | .92       |         |   |
|                                                                    | Trade         | 1,000.000               | 851.25                 | 08/04/09                       | 08/11/09     | 857.50      | 853.23                 | 4.27      |         |   |



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

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

| Security Description                          | Activity Type         | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold         | Sale Amount       | Cost or Other<br>Basis | Gain/Loss      | Remarks | Matches<br>1099-B |
|-----------------------------------------------|-----------------------|-------------------------|------------------------|--------------------------------|----------------------|-------------------|------------------------|----------------|---------|-------------------|
| COSTCO WHOLESALE CORP                         | Cash In lieu<br>Trade | .709<br>22,000          | 34.16<br>1,060.14      | 05/29/09<br>05/29/09           | 07/17/09<br>07/20/09 | 33.41<br>1,049.39 | 34.16<br>1,080.14      | -.75<br>-10.75 |         | Y                 |
| EASTMAN KODAK CO                              | Trade                 | 2,000,000               |                        | 06/02/09                       | 09/29/09             | 1,996.00          | 1,665.00               | 331.00         |         |                   |
| 03.375% 101533 DTD101003                      | Tender                | 2,000,000               |                        | 06/02/09                       | 10/21/09             | 2,000.00          | 1,665.00               | 335.00         |         | Y                 |
| FC041504 CONV SENIOR NTS                      | Tender                | 1,000,000               |                        | 06/18/09                       | 10/21/09             | 1,000.00          | 815.00                 | 185.00         |         | Y                 |
| EQUINIX INC NTS CONV B/E                      | Trade                 | 1,000,000               |                        | 05/29/09                       | 06/23/09             | 875.04            | 910.00                 | -34.96         |         | Y                 |
| 02.500% 041512 DTD033007<br>FC101507          |                       |                         |                        |                                |                      |                   |                        |                |         |                   |
| FLETRONIC INTL NTS CONV                       | Trade                 | 3,000,000               |                        | 06/02/09                       | 06/18/09             | 2,827.50          | 2,820.00               | 7.50           |         | Y                 |
| 01,000% 080110 DTD080503<br>FC020104 B/E      |                       |                         |                        |                                |                      |                   |                        |                |         |                   |
| GENL CABLE CORP CONV                          | Trade                 | 3,000,000               |                        | 05/29/09                       | 10/22/09             | 2,613.75          | 2,370.00               | 243.75         |         | Y                 |
| 01,000% 101512 DTD100207<br>FC041508          |                       |                         |                        |                                |                      |                   |                        |                |         |                   |
| INTERPUBLIC GROUP OF COS                      | Trade                 | 1,000,000               |                        | 08/11/09                       | 12/08/09             | 978.75            | 920.70                 | 58.05          |         | Y                 |
| 04.250% 031523 DTD111508<br>FC031507 INC CONV | Trade                 | 2,000,000               |                        | 09/16/09                       | 12/08/09             | 1,957.50          | 1,919.18               | 38.32          |         | Y                 |
| INTL GAME TECHNOLOGY NTS                      | Trade                 | 8,000,000               | 7,890.00               | 06/04/09                       | 08/11/09             | 7,955.00          | 7,952.06               | 2.94           |         |                   |
| 02.600% 121536 DTD122008<br>FC081507 CONV     |                       |                         |                        |                                |                      |                   |                        |                |         |                   |
| MERCK & CO INC PFD CONV                       | Tender                | 19,000                  |                        | 05/28/09                       | 11/24/09             | 1,638.28          | 4,112.93               | -2,476.65      |         | Y                 |
| CONV 6.000% PREFERRED                         | Tender                | 5,000                   |                        | 06/18/09                       | 11/24/09             | 430.60            | 1,079.25               | -648.65        |         | Y                 |
| NABORS INDUSTRIES INC                         | Trade                 | 3,000,000               |                        | 05/29/09                       | 09/11/09             | 2,883.75          | 2,752.50               | 131.25         |         | Y                 |
| 00.940% 051511 DTD082106<br>FC111508 NTS CONV |                       |                         |                        |                                |                      |                   |                        |                |         |                   |
| NATIONAL CITY CORP NTS                        | Trade                 | 3,000,000               |                        | 06/23/09                       | 11/18/09             | 3,031.50          | 2,916.00               | 115.50         |         | Y                 |
| 04,000% 020111 DTD012908<br>FC080108 CONV     |                       |                         |                        |                                |                      |                   |                        |                |         |                   |

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### Short-Term Gain/Loss - continued

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

| Security Description                                                          | Activity Type       | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold         | Sale Amount          | Cost or Other<br>Basis | Gain/Loss       | Remarks | Matches<br>1099-B |
|-------------------------------------------------------------------------------|---------------------|-------------------------|------------------------|--------------------------------|----------------------|----------------------|------------------------|-----------------|---------|-------------------|
| NEWS CORP FIN TR II BUCS<br>CONV CUMUL 0.750%<br>PREFERRED CLBL PUTBL PAR     | Trade               | 1,000                   | 986.25                 | 05/28/09                       | 10/09/09             | 989.97               | 985.60                 | 4.37            |         | Y                 |
| NEXTEL COMMUNICATIONS<br>05.250% 011510 DTD012600<br>FC071500 NTS CONV BE     | Trade<br>Redemption | 3,000.000<br>4,000.000  |                        | 06/04/09<br>06/04/09           | 06/19/09<br>09/16/09 | 2,971.50<br>4,000.00 | 2,973.75<br>3,985.00   | -2.25<br>35.00  |         |                   |
| OMNICOM GROUP INC NTS<br>00.000% 070138 DTD083008<br>FC000000 CONV NTS        | Trade               | 2,000.000               | 1,902.50               | 06/04/09                       | 12/07/09             | 1,980.00             | 1,993.74               | -13.74          |         | Y                 |
| ON SEMICONDUCTOR CORP<br>00.000% 041524 DTD071908<br>FC041524 SER B CONV      | Trade               | 3,000.000               |                        | 06/02/09                       | 06/18/09             | 2,842.50             | 2,865.00               | -22.50          |         | Y                 |
| TRANSOCEAN SEDCO FOREX<br>01.625% 121537 DTD121107<br>FC081508 CONV NTS SER A | Trade<br>Trade      | 1,000.000<br>2,000.000  |                        | 08/09/09<br>08/09/09           | 10/26/09<br>11/10/09 | 990.00<br>1,978.00   | 943.75<br>1,887.50     | 46.25<br>90.50  |         | Y<br>Y            |
| VORNADO REALTY LP CONV<br>03.625% 111526 DTD112008<br>FC051507                | Trade<br>Trade      | 2,000.000<br>3,000.000  |                        | 08/04/09<br>08/04/09           | 08/11/09<br>11/03/09 | 1,887.50<br>2,997.00 | 1,820.00<br>2,730.00   | 67.50<br>267.00 |         | Y<br>Y            |
| WESCO INTL INC CONV<br>01.750% 111526 DTD110208<br>FC051507                   | Trade               | 1,000.000               | 827.50                 | 06/02/09                       | 08/11/09             | 991.25               | 841.48                 | 149.77          |         |                   |
| WESCO INTL INC CONV B/E<br>08.000% 091529 DTD082709<br>FC031510               | Trade               | 960.000                 | 845.29                 | 06/02/09                       | 09/01/09             | 1,056.00             | 846.13                 | 209.87          |         | Y                 |
| <b>Total Short-Term Gain/Loss</b>                                             |                     |                         |                        |                                |                      | <b>61,564.40</b>     | <b>62,407.31</b>       | <b>-842.91</b>  |         |                   |



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### Unclassified Gain/Loss

This section includes securities that cannot be classified as short-term or long-term due to missing information or the product is one for which a gain/loss calculation is not provided. This section may also include securities not reported on Form 1099-B, as well as securities classified as a percentage of both short-term and long-term holding periods, the "60/40 rule." Broad-Based Index options may also be subject to Mark-to-Market rules. Please consult your tax advisor for proper tax treatment of these types of transactions.

| Security Description         | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss        | Remarks        | Matches<br>1099-B |
|------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------------|----------------|-------------------|
| MERCK & CO INC NEW COM       | Trade         | 113.000                 |                        |                                | 11/27/09     | 4,054.18    |                        | -Not Calculated- | Not calculated |                   |
| SEACOR HOLDINGS INC          | Trade         | 27.000                  |                        |                                | 12/29/09     | 2,047.06    |                        | -Not Calculated- | Not calculated |                   |
| Total Unclassified Gain/Loss |               |                         |                        |                                |              | 6,101.24    |                        |                  |                |                   |

|                       |
|-----------------------|
| 62,407.31             |
| 2,066.88              |
| 2,316.82              |
| Total Basis 66,791.01 |

|                    |
|--------------------|
| Proceeds 67,691.34 |
| Basis 66,791.01    |
| Gain 900.33        |



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## 2009 Realized Gain/Loss Summary

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

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

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

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

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

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

|                       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount  | Cost or Other<br>Basis | Gain/Loss    | Remarks | M<br>1099-B |
|-----------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|--------------|------------------------|--------------|---------|-------------|
|                       |               |                         |                        |                                |              |              |                        |              |         |             |
| Short-term Gain/Loss: |               |                         |                        |                                |              | \$ 61,922.86 | \$ 4,460.76            | \$ -1,872.88 |         |             |
| Sub Total:            |               |                         |                        |                                |              | \$ 61,922.86 | \$ 4,460.76            | \$ -1,872.88 |         |             |
| Total:                |               |                         |                        |                                |              | \$ 61,922.86 | \$ 4,460.76            | \$ -1,872.88 |         |             |

## Short-Term Gain/Loss

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

| Security Description            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | M<br>1099-B |
|---------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------|
| APPLE INC                       | Trade         | 3,000                   |                        | 05/29/09                       | 06/12/09     | 409.30      | 404.99                 | 4.31      |         | Y           |
|                                 | Trade         | 17,000                  |                        | 05/29/09                       | 07/20/09     | 2,813.09    | 2,294.93               | 318.16    |         | Y           |
|                                 | Trade         | 5,000                   |                        | 05/29/09                       | 12/16/09     | 978.77      | 674.98                 | 303.79    |         | Y           |
| BANCO SANTANDER BRASIL<br>ADS   | Trade         | 5,000                   |                        | 10/15/09                       | 10/28/09     | 61.11       | 66.69                  | -5.58     |         | Y           |
|                                 | Trade         | 26,000                  |                        | 10/15/09                       | 10/29/09     | 323.12      | 346.81                 | -23.69    |         | Y           |
|                                 | Trade         | 34,000                  |                        | 10/15/09                       | 11/04/09     | 422.14      | 453.52                 | -31.38    |         | Y           |
| BANK OF NEW YORK MELLON<br>CORP | Trade         | 38,000                  |                        | 05/29/09                       | 11/16/09     | 1,048.79    | 1,047.49               | 1.30      |         | Y           |
| COSTCO WHOLESALE CORP           | Trade         | 18,000                  |                        | 05/29/09                       | 09/28/09     | 1,016.01    | 864.72                 | 151.29    |         | Y           |
|                                 | Trade         | 30,000                  |                        | 05/29/09                       | 09/30/09     | 1,679.95    | 1,441.20               | 238.75    |         | Y           |

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

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

| Security Description    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| COSTCO WHOLESALE CORP   | Trade         | 14,000                  |                        | 05/29/09                       | 10/01/09     | 780.61      | 672.56                 | 108.05    |         | Y                 |
| CVS CAREMARK CORP       | Trade         | 17,000                  |                        | 05/29/09                       | 09/18/09     | 612.42      | 501.66                 | 110.76    |         | Y                 |
|                         | Trade         | 17,000                  |                        | 05/29/09                       | 09/23/09     | 617.68      | 501.66                 | 116.02    |         | Y                 |
|                         | Trade         | 24,000                  |                        | 05/29/09                       | 09/24/09     | 847.20      | 708.23                 | 138.97    |         | Y                 |
|                         | Trade         | 11,000                  |                        | 05/29/09                       | 09/28/09     | 387.89      | 324.60                 | 63.29     |         | Y                 |
|                         | Trade         | 14,000                  |                        | 05/29/09                       | 10/02/09     | 494.77      | 413.13                 | 81.64     |         | Y                 |
|                         | Trade         | 45,000                  |                        | 05/29/09                       | 10/06/09     | 1,556.31    | 1,327.93               | 228.38    |         | Y                 |
| GENZYME CORP GEN DIV    | Trade         | 9,000                   |                        | 05/29/09                       | 08/03/09     | 449.60      | 528.46                 | -78.86    |         | Y                 |
| GOLDMAN SACHS GROUP INC | Trade         | 5,000                   |                        | 05/29/09                       | 06/01/09     | 719.78      | 717.27                 | 2.49      |         | Y                 |
|                         | Trade         | 12,000                  |                        | 05/29/09                       | 11/10/09     | 2,111.98    | 1,721.44               | 390.54    |         | Y                 |
|                         | Trade         | 8,000                   |                        | 05/29/09                       | 12/03/09     | 1,334.17    | 1,147.83               | 186.34    |         | Y                 |
| INTEL CORP              | Trade         | 36,000                  |                        | 07/16/09                       | 10/16/09     | 730.10      | 660.79                 | 69.31     |         | Y                 |
|                         | Trade         | 26,000                  |                        | 07/16/09                       | 10/29/09     | 499.36      | 477.24                 | 22.12     |         | Y                 |
|                         | Trade         | 20,000                  |                        | 07/17/09                       | 10/29/09     | 384.12      | 367.61                 | 16.51     |         | Y                 |
|                         | Trade         | 41,000                  |                        | 07/17/09                       | 10/29/09     | 787.45      | 760.99                 | 26.46     |         | Y                 |
|                         | Trade         | 40,000                  |                        | 07/20/09                       | 10/29/09     | 768.25      | 745.82                 | 22.43     |         | Y                 |
| JPMORGAN CHASE & CO     | Trade         | 30,000                  |                        | 05/29/09                       | 11/10/09     | 1,313.28    | 1,098.29               | 214.99    |         | Y                 |
|                         | Trade         | 36,000                  |                        | 05/29/09                       | 12/03/09     | 1,520.43    | 1,317.94               | 202.49    |         | Y                 |
| JUNIPER NETWORKS INC    | Trade         | 6,000                   |                        | 07/01/09                       | 11/11/09     | 151.54      | 148.78                 | 2.76      |         | Y                 |
|                         | Trade         | 25,000                  |                        | 07/01/09                       | 11/11/09     | 638.87      | 611.59                 | 27.28     |         | Y                 |
|                         | Trade         | 15,000                  |                        | 07/07/09                       | 11/11/09     | 378.85      | 359.07                 | 19.78     |         | Y                 |
|                         | Trade         | 14,000                  |                        | 07/08/09                       | 11/11/09     | 353.59      | 318.90                 | 34.69     |         | Y                 |
| LOCKHEED MARTIN CORP    | Trade         | 5,000                   |                        | 05/29/09                       | 07/17/09     | 404.19      | 414.19                 | -10.00    |         | Y                 |
|                         | Trade         | 5,000                   |                        | 05/29/09                       | 07/21/09     | 378.82      | 414.19                 | -35.37    |         | Y                 |
|                         | Trade         | 10,000                  |                        | 05/29/09                       | 07/21/09     | 756.46      | 828.38                 | -71.92    |         | Y                 |
|                         | Trade         | 13,000                  |                        | 05/29/09                       | 08/06/09     | 974.53      | 1,076.89               | -102.36   |         | Y                 |
|                         | Trade         | 27,000                  |                        | 05/29/09                       | 08/25/09     | 1,997.94    | 2,236.63               | -238.69   |         | Y                 |
| LOWES COMPANIES INC     | Trade         | 47,000                  |                        | 05/29/09                       | 08/18/09     | 937.46      | 888.34                 | 51.12     |         | Y                 |
|                         | Trade         | 19,000                  |                        | 05/29/09                       | 09/15/09     | 403.43      | 358.31                 | 45.12     |         | Y                 |
|                         | Trade         | 19,000                  |                        | 05/29/09                       | 09/17/09     | 411.77      | 358.31                 | 53.46     |         | Y                 |

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**UBS Financial Services Inc.**  
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**Short-Term Gain/Loss - continued**

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

| Security Description                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| LOWES COMPANIES INC                    | Trade         | 78,000                  |                        | 05/29/09                       | 10/01/09     | 1,599.07    | 1,470.94               | 128.13    |         | Y                 |
| MASTERCARD INC CL A                    | Trade         | 6,000                   |                        | 05/29/09                       | 06/11/09     | 1,039.54    | 1,045.28               | -5.74     |         | Y                 |
|                                        | Trade         | 3,000                   |                        | 05/29/09                       | 07/06/09     | 496.51      | 522.64                 | -26.13    |         | Y                 |
|                                        | Trade         | 8,000                   |                        | 05/29/09                       | 07/31/09     | 1,558.38    | 1,393.71               | 164.65    |         | Y                 |
| MCDONALDS CORP                         | Trade         | 15,000                  |                        | 05/29/09                       | 07/31/09     | 825.20      | 878.52                 | -53.32    |         | Y                 |
|                                        | Trade         | 24,000                  |                        | 05/29/09                       | 09/11/09     | 1,302.44    | 1,405.64               | -103.20   |         | Y                 |
|                                        | Trade         | 14,000                  |                        | 05/29/09                       | 09/14/09     | 756.85      | 819.95                 | -63.10    |         | Y                 |
| MONSANTO CO NEW                        | Trade         | 13,000                  |                        | 05/29/09                       | 07/06/09     | 952.77      | 1,062.57               | -109.80   |         | Y                 |
|                                        | Trade         | 12,000                  |                        | 05/29/09                       | 07/21/09     | 971.64      | 980.83                 | -9.19     |         | Y                 |
|                                        | Trade         | 5,000                   |                        | 05/29/09                       | 07/31/09     | 423.62      | 408.68                 | 14.94     |         | Y                 |
|                                        | Trade         | 12,000                  |                        | 05/29/09                       | 10/06/09     | 900.13      | 980.83                 | -80.70    |         | Y                 |
|                                        | Trade         | 9,000                   |                        | 05/29/09                       | 10/07/09     | 669.01      | 735.62                 | -66.61    |         | Y                 |
|                                        | Trade         | 2,000                   |                        | 05/29/09                       | 10/09/09     | 149.17      | 163.47                 | -14.30    |         | Y                 |
| NRG ENERGY INC NEW                     | Trade         | 21,000                  |                        | 07/13/09                       | 12/23/09     | 514.80      | 482.17                 | 32.63     |         | Y                 |
|                                        | Trade         | 5,000                   |                        | 07/13/09                       | 12/24/09     | 123.12      | 114.80                 | 8.32      |         | Y                 |
|                                        | Trade         | 4,000                   |                        | 07/13/09                       | 12/28/09     | 98.00       | 91.84                  | 6.16      |         | Y                 |
| POTASH CORP SASK INC<br>CANADA         | Trade         | 7,000                   |                        | 05/29/09                       | 07/31/09     | 650.89      | 812.06                 | -161.17   |         | Y                 |
|                                        | Trade         | 9,000                   |                        | 05/29/09                       | 08/03/09     | 858.53      | 1,044.08               | -185.55   |         | Y                 |
| TAIWAN SEMICONDUCTOR MFG<br>CO LTD ADR | Trade         | 49,000                  |                        | 05/29/09                       | 10/27/09     | 484.19      | 535.07                 | -50.88    |         | Y                 |
|                                        | Trade         | 85,000                  |                        | 05/29/09                       | 10/28/09     | 818.87      | 928.17                 | -109.30   |         | Y                 |
| UNITED STATES STEEL CORP<br>NEW        | Trade         | 27,000                  |                        | 05/29/09                       | 06/12/09     | 1,076.39    | 910.97                 | 165.42    |         | Y                 |
| US BANCORP DEL (NEW)                   | Trade         | 47,000                  |                        | 05/29/09                       | 12/03/09     | 1,104.88    | 893.00                 | 211.88    |         | Y                 |
| VISA INC CL A                          | Trade         | 19,000                  |                        | 05/29/09                       | 06/22/09     | 1,182.98    | 1,283.76               | -100.78   |         | Y                 |
|                                        | Trade         | 14,000                  |                        | 05/29/09                       | 07/31/09     | 919.18      | 945.93                 | -26.75    |         | Y                 |
|                                        | Trade         | 4,000                   |                        | 05/29/09                       | 10/06/09     | 274.21      | 270.27                 | 3.94      |         | Y                 |
|                                        | Trade         | 9,000                   |                        | 05/29/09                       | 12/16/09     | 785.65      | 608.10                 | 177.55    |         | Y                 |
|                                        | Trade         | 7,000                   |                        | 05/29/09                       | 12/21/09     | 609.28      | 472.96                 | 136.32    |         | Y                 |

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

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

| Security Description              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss       | Remarks | Matches<br>1099-B |
|-----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------------|---------|-------------------|
| WAL MART STORES INC               | Trade         | 22,000                  |                        | 05/29/09                       | 09/08/09     | 1,131.07    | 1,085.65               | 45.42           |         | Y                 |
|                                   | Trade         | 23,000                  |                        | 05/29/09                       | 09/09/09     | 1,171.34    | 1,135.00               | 36.34           |         | Y                 |
| XTO ENERGY INC                    | Trade         | 17,000                  |                        | 05/29/09                       | 11/09/09     | 756.26      | 721.13                 | 35.13           |         | Y                 |
| YUM! BRANDS INC                   | Trade         | 12,000                  |                        | 05/29/09                       | 07/17/09     | 405.20      | 412.56                 | -7.36           |         | Y                 |
|                                   | Trade         | 15,000                  |                        | 05/29/09                       | 07/17/09     | 504.06      | 515.70                 | -11.64          |         | Y                 |
|                                   | Trade         | 24,000                  |                        | 05/29/09                       | 07/30/09     | 847.79      | 825.12                 | 22.67           |         | Y                 |
|                                   | Trade         | 11,000                  |                        | 05/29/09                       | 09/16/09     | 369.98      | 378.18                 | -8.22           |         | Y                 |
|                                   | Trade         | 25,000                  |                        | 05/29/09                       | 10/16/09     | 878.16      | 859.50                 | 16.66           |         | Y                 |
|                                   | Trade         | 24,000                  |                        | 05/29/09                       | 10/28/09     | 808.81      | 825.12                 | -16.51          |         | Y                 |
|                                   | Trade         | 12,000                  |                        | 05/29/09                       | 10/30/09     | 397.20      | 412.56                 | -15.36          |         | Y                 |
|                                   | Trade         | 38,000                  |                        | 05/29/09                       | 11/02/09     | 1,257.02    | 1,306.44               | -49.42          |         | Y                 |
| <b>Total Short-Term Gain/Loss</b> |               |                         |                        |                                |              |             | <b>59,334.98</b>       | <b>2,587.88</b> |         |                   |



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## 2009 Consolidated Form 1099

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### 2009 Realized Gain/Loss Summary

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

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

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

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

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

|                       | Purchase     | Sale         | Gains       | Losses       | Net         |
|-----------------------|--------------|--------------|-------------|--------------|-------------|
|                       |              |              |             |              | Gain/Loss   |
| Short-term Gain/Loss: | \$ 88,748.55 | \$ 75,717.56 | \$ 8,377.28 | \$ -1,408.27 | \$ 6,969.01 |
| Sub Total:            | \$ 88,748.55 | \$ 75,717.56 | \$ 8,377.28 | \$ -1,408.27 | \$ 6,969.01 |
| Total:                | \$ 88,748.55 | \$ 75,717.56 | \$ 8,377.28 | \$ -1,408.27 | \$ 6,969.01 |

### Short-Term Gain/Loss

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

| Security Description                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Marked<br>1099-B |
|---------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| AGILENT TECHNOLOGIES INC              | Trade         | 4,000                   |                        | 07/28/09                       | 09/11/09     | 112.11      | 92.78                  | 19.35     |         | Y                |
| AIR LIQUIDE ADR FRANCE                | Trade         | 5,000                   |                        | 05/29/09                       | 10/23/09     | 115.78      | 92.75                  | 23.03     |         | Y                |
| ADR                                   | Trade         | 51,000                  |                        | 05/29/09                       | 10/28/09     | 1,188.71    | 946.05                 | 242.66    |         | Y                |
| ALSTOM SHS PROV<br>REGROUPMENT ORD    | Trade         | 19,000                  |                        | 05/29/09                       | 12/21/09     | 1,333.35    | 1,200.80               | 132.55    |         | Y                |
| ALTRIA GROUP INC                      | Trade         | 18,000                  |                        | 05/29/09                       | 09/11/09     | 327.41      | 303.62                 | 23.79     |         | Y                |
|                                       | Trade         | 14,000                  |                        | 05/29/09                       | 10/13/09     | 252.84      | 236.15                 | 16.69     |         | Y                |
| ANNALY CAPITAL<br>MANAGEMENT INC REIT | Trade         | 62,000                  |                        | 05/29/09                       | 09/29/09     | 1,137.60    | 867.24                 | 270.36    |         | Y                |

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

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

| Security Description                             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| BANK OF AYUDHYA PCL NVDR                         | Trade         | 1,100,000               |                        | 07/17/09                       | 08/18/09     | 562.85      | 531.08                 | 31.77     |         | Y                 |
| BARRICK GOLD CORP                                | Trade         | 23,000                  |                        | 05/29/09                       | 12/14/09     | 920.24      | 891.94                 | 28.30     |         | Y                 |
| BAYER A G SPON ADR                               | Trade         | 3,000                   |                        | 05/29/09                       | 08/27/09     | 180.22      | 171.84                 | 8.38      |         | Y                 |
|                                                  | Trade         | 5,000                   |                        | 05/29/09                       | 10/13/09     | 351.68      | 286.40                 | 65.28     |         | Y                 |
| CHINA MOBILE LTD SPON<br>ADR                     | Trade         | 22,000                  |                        | 06/10/09                       | 12/01/09     | 1,047.59    | 1,154.85               | -107.26   |         | Y                 |
| CISCO SYSTEMS INC                                | Trade         | 21,000                  |                        | 05/29/09                       | 11/03/09     | 481.51      | 388.24                 | 93.27     |         | Y                 |
| CITRIX SYSTEMS INC                               | Trade         | 38,000                  |                        | 05/29/09                       | 10/27/09     | 1,459.53    | 1,173.44               | 286.09    |         | Y                 |
| COMPANHIA DE BEBIDAS DAS<br>AMERS AMBEV SPON ADR | Trade         | 9,000                   |                        | 05/29/09                       | 06/02/09     | 601.81      | 598.95                 | 2.86      |         | Y                 |
|                                                  | Trade         | 4,000                   |                        | 05/29/09                       | 10/27/09     | 371.84      | 266.20                 | 105.64    |         | Y                 |
|                                                  | Trade         | 5,000                   |                        | 05/29/09                       | 11/09/09     | 502.93      | 332.75                 | 170.18    |         | Y                 |
|                                                  | Trade         | 8,000                   |                        | 05/29/09                       | 11/10/09     | 805.31      | 532.40                 | 272.91    |         | Y                 |
| CREDICORP LTD                                    | Trade         | 4,000                   |                        | 05/29/09                       | 08/27/09     | 284.53      | 238.52                 | 46.01     |         | Y                 |
|                                                  | Trade         | 17,000                  |                        | 05/29/09                       | 10/27/09     | 1,231.92    | 1,013.71               | 218.21    |         | Y                 |
| CREDIT SUISSE GROUP SPON<br>ADR                  | Trade         | 35,000                  |                        | 05/29/09                       | 08/18/09     | 1,570.51    | 1,560.65               | 9.86      |         | Y                 |
| EAST JAPAN RAILWAY CO<br>ADR                     | Trade         | 30,000                  |                        | 05/29/09                       | 07/27/09     | 290.20      | 300.90                 | -10.70    |         | Y                 |
|                                                  | Trade         | 93,000                  |                        | 05/29/09                       | 07/28/09     | 896.69      | 932.79                 | -36.10    |         | Y                 |
| FAMILYMART CO LTD ADR                            | Trade         | 14,000                  |                        | 09/14/09                       | 12/04/09     | 453.99      | 436.05                 | 17.94     |         | Y                 |
| FRESENIUS MEDICAL CARE<br>AG & CO KGAA SPON ADR  | Trade         | 11,000                  |                        | 05/29/09                       | 10/14/09     | 546.90      | 463.10                 | 83.80     |         | Y                 |
| GOLDMAN SACHS GROUP INC                          | Trade         | 3,000                   |                        | 05/29/09                       | 06/11/09     | 443.22      | 430.57                 | 12.65     |         | Y                 |
|                                                  | Trade         | 8,000                   |                        | 05/29/09                       | 12/04/09     | 1,326.18    | 1,148.19               | 177.99    |         | Y                 |
| HSBC HOLDINGS PLC NEW GB<br>SPON ADR             | Trade         | 9,000                   |                        | 05/29/09                       | 10/28/09     | 507.64      | 409.50                 | 98.14     |         | Y                 |
|                                                  | Trade         | 25,000                  |                        | 05/29/09                       | 12/03/09     | 1,506.83    | 1,137.50               | 369.33    |         | Y                 |

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Short-Term Gain/Loss - continued

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

| Security Description                      | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| INFINEON TECHNOLOGIES<br>ADR              | Trade         | 81.000                  |                        | 07/20/09                       | 09/04/09     | 318.57      | 246.72                 | 71.85     |         | Y                 |
|                                           | Trade         | 60.000                  |                        | 07/20/09                       | 09/28/09     | 308.87      | 242.68                 | 64.19     |         | Y                 |
|                                           | Trade         | 158.000                 |                        | 07/20/09                       | 09/30/09     | 884.98      | 639.05                 | 245.93    |         | Y                 |
|                                           | Trade         | 81.000                  |                        | 08/21/09                       | 09/30/09     | 453.69      | 389.55                 | 64.14     |         | Y                 |
| INTERPUBLIC GROUP OF COS<br>INC           | Trade         | 197.000                 |                        | 05/29/09                       | 10/27/09     | 1,199.39    | 1,012.48               | 186.91    |         | Y                 |
| ISHARES INC MSCI JAPAN<br>INDEX FD        | Trade         | 346.000                 |                        | 05/29/09                       | 07/28/09     | 3,330.06    | 3,234.48               | 95.58     |         | Y                 |
|                                           | Trade         | 322.000                 |                        | 05/29/09                       | 10/27/09     | 3,104.00    | 3,010.12               | 93.88     |         | Y                 |
| JARDINE MATHESON HD-UNSP<br>ADR           | Trade         | 21.000                  |                        | 05/29/09                       | 09/30/09     | 842.42      | 551.25                 | 91.17     |         | Y                 |
| K + S AG                                  | Trade         | 5.000                   |                        | 05/29/09                       | 08/21/09     | 276.41      | 371.00                 | -94.59    |         | Y                 |
|                                           | Trade         | 7.000                   |                        | 05/29/09                       | 08/24/09     | 398.04      | 519.40                 | -121.36   |         | Y                 |
|                                           | Trade         | 15.000                  |                        | 05/29/09                       | 09/23/09     | 831.16      | 1,113.00               | -281.84   |         | Y                 |
|                                           | Trade         | 13.000                  |                        | 06/19/09                       | 09/23/09     | 720.34      | 763.51                 | -43.17    |         | Y                 |
| KAO CORP REPSTG 10 SHS<br>COM SPON ADR    | Trade         | 6.000                   |                        | 05/29/09                       | 07/29/09     | 1,321.51    | 1,314.00               | 7.51      |         | Y                 |
| KONINKLIJKE AHOLD NV NEW<br>2007 SPON ADR | Trade         | 19.000                  |                        | 05/29/09                       | 08/21/09     | 230.08      | 230.47                 | -.39      |         | Y                 |
| LILLY ELI & CO                            | Trade         | 43.000                  |                        | 05/29/09                       | 08/28/09     | 1,437.45    | 1,464.58               | -27.13    |         | Y                 |
| MEDTRONIC INC                             | Trade         | 34.000                  |                        | 05/29/09                       | 12/02/09     | 1,478.46    | 1,155.32               | 323.14    |         | Y                 |
| MICROSOFT CORP                            | Trade         | 22.000                  |                        | 05/29/09                       | 10/26/09     | 633.80      | 449.41                 | 184.39    |         | Y                 |
| MILLICOM INTL CELLULAR<br>SA NEW          | Trade         | 1.000                   |                        | 05/29/09                       | 06/08/09     | 57.24       | 60.24                  | -3.00     |         | Y                 |
|                                           | Trade         | 5.000                   |                        | 05/29/09                       | 07/24/09     | 364.27      | 301.18                 | 63.09     |         | Y                 |
|                                           | Trade         | 13.000                  |                        | 05/29/09                       | 11/19/09     | 955.22      | 783.08                 | 172.14    |         | Y                 |
| mitsui fUDOSAN CO LTD 1<br>ADR            | Trade         | 25.000                  |                        | 05/29/09                       | 06/11/09     | 1,305.31    | 1,251.25               | 54.06     |         | Y                 |

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

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

| Security Description                                    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| NESTLE S A SPONSORED ADR<br>REPSTG REG SHS SWITZ<br>ADR | Trade         | 46,000                  |                        | 05/29/09                       | 10/27/09     | 2,119.30    | 1,660.60               | 458.70    |         | Y                 |
| NEWCREST MINING LTD SPON<br>AUSTRALIA ADR               | Trade         | 15,000                  |                        | 05/29/09                       | 12/23/09     | 464.89      | 401.25                 | 63.44     |         | Y                 |
|                                                         | Trade         | 8,000                   |                        | 05/29/09                       | 12/24/09     | 245.32      | 214.00                 | 31.32     |         | Y                 |
| NEWFIELD EXPLORATION COS                                | Trade         | 18,000                  |                        | 05/29/09                       | 07/06/09     | 539.98      | 684.58                 | -124.58   |         | Y                 |
|                                                         | Trade         | 57,000                  |                        | 05/29/09                       | 10/07/09     | 2,533.76    | 2,104.44               | 429.32    |         | Y                 |
|                                                         | Trade         | 29,000                  |                        | 05/29/09                       | 10/15/09     | 1,397.14    | 1,070.68               | 326.46    |         | Y                 |
| PETROLEO BRASILEIRO SA<br>SPON ADR                      | Trade         | 10,000                  |                        | 05/29/09                       | 08/28/09     | 411.51      | 446.40                 | -34.89    |         | Y                 |
|                                                         | Trade         | 4,000                   |                        | 05/29/09                       | 12/03/09     | 210.88      | 178.56                 | 32.32     |         | Y                 |
| PHILIP MORRIS INTL INC                                  | Trade         | 15,000                  |                        | 09/11/09                       | 12/07/09     | 749.98      | 703.50                 | 46.48     |         | Y                 |
| REYNOLDS AMERN INC<br>(HOLDING CO)                      | Trade         | 34,000                  |                        | 05/29/09                       | 09/11/09     | 1,552.63    | 1,344.70               | 207.93    |         | Y                 |
| ROCHE HLDG LTD SPONS ADR<br>SWITZ ADR                   | Trade         | 15,000                  |                        | 05/29/09                       | 10/16/09     | 804.90      | 510.75                 | 94.15     |         | Y                 |
| ROHM CO LTD ADR                                         | Trade         | 32,000                  |                        | 05/29/09                       | 08/18/09     | 1,039.47    | 1,047.68               | -8.21     |         | Y                 |
| SAP AG SPON ADR                                         | Trade         | 25,000                  |                        | 10/27/09                       | 12/07/09     | 1,138.44    | 1,272.35               | -133.91   |         | Y                 |
| SEVEN & I HLDGS CO LTD<br>ADR                           | Trade         | 19,000                  |                        | 05/29/09                       | 08/25/09     | 922.86      | 920.55                 | 2.31      |         | Y                 |
|                                                         | Trade         | 14,000                  |                        | 08/12/09                       | 08/25/09     | 880.01      | 872.05                 | 7.96      |         | Y                 |
| STANDARD CHARTERED PLC                                  | Trade         | 13,000                  |                        | 05/29/09                       | 06/16/09     | 242.70      | 267.15                 | -24.45    |         | Y                 |
| STATOIL ASA SPON ADR                                    | Trade         | 51,000                  |                        | 05/29/09                       | 06/24/09     | 968.45      | 1,076.61               | -108.16   |         | Y                 |
| STRABAG AG                                              | Trade         | 4,000                   |                        | 05/29/09                       | 12/15/09     | 980.35      | 800.88                 | 179.47    |         | Y                 |
| SUBSEA 7 INC USD SHS                                    | Trade         | 82,000                  |                        | 05/29/09                       | 06/15/09     | 903.63      | 873.30                 | 30.33     |         | Y                 |
| SYNGENTA AG SPON ADR                                    | Trade         | 5,000                   |                        | 05/29/09                       | 09/10/09     | 234.84      | 241.95                 | -7.31     |         | Y                 |

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Short-Term Gain/Loss - continued

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

| Security Description                                       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| TARGET CORP                                                | Trade         | 41,000                  |                        | 05/29/09                       | 08/12/09     | 1,619.45    | 1,614.49               | 4.96      |         | Y                 |
| TELE NORTE LESTE                                           | Trade         | 53,000                  |                        | 05/29/09                       | 09/02/09     | 784.95      | 947.62                 | -152.67   |         |                   |
| PARTICIPACOES S A ADR                                      | Trade         | 25,000                  |                        | 05/29/09                       | 12/02/09     | 562.61      | 446.99                 | 115.62    |         |                   |
| TELSTRA CORP LTD (FINAL)<br>ADR                            | Trade         | 77,000                  |                        | 05/29/09                       | 07/31/09     | 1,121.24    | 964.04                 | 157.20    |         | Y                 |
| TIME WARNER CABLE INC                                      | Trade         | 35,000                  |                        | 05/29/09                       | 10/01/09     | 1,451.85    | 1,069.60               | 382.25    |         | Y                 |
| TOSHIBA CORP ADR                                           | Trade         | 12,000                  |                        | 07/28/09                       | 08/31/09     | 368.41      | 302.47                 | 65.94     |         | Y                 |
| UNILEVER NV N Y SHS NEW<br>NETHERLANDS SPON ADR            | Trade         | 44,000                  |                        | 05/29/09                       | 10/13/09     | 1,318.02    | 1,060.40               | 257.62    |         | Y                 |
| VALE SA-SP PREFERRED<br>SPON ADR                           | Trade         | 22,000                  |                        | 05/29/09                       | 09/02/09     | 374.69      | 363.66                 | 11.03     |         | Y                 |
|                                                            | Trade         | 18,000                  |                        | 05/29/09                       | 10/18/09     | 419.52      | 297.54                 | 121.98    |         | Y                 |
|                                                            | Trade         | 51,000                  |                        | 05/29/09                       | 12/04/09     | 1,250.59    | 843.03                 | 407.56    |         | Y                 |
| VODAFONE GROUP PLC NEW<br>SPON ADR                         | Trade         | 18,000                  |                        | 05/29/09                       | 08/28/09     | 348.00      | 304.76                 | 43.24     |         | Y                 |
| WELLS FARGO & CO NEW                                       | Trade         | 44,000                  |                        | 05/29/09                       | 08/18/09     | 1,171.86    | 1,077.56               | 94.30     |         |                   |
| WILLIS GROUP HOLDINGS<br>LTD ***NAME CHANGE: 01/<br>2010** | Trade         | 14,000                  |                        | 05/29/09                       | 07/08/09     | 335.99      | 361.34                 | -25.35    |         |                   |
| WYETH ***MERGER EFF:<br>10/09***                           | Trade         | 61,000                  |                        | 05/29/09                       | 06/12/09     | 2,730.28    | 2,707.18               | 23.10     |         | Y                 |
| XTO ENERGY INC                                             | Trade         | 16,000                  |                        | 05/29/09                       | 06/18/09     | 637.26      | 690.08                 | -52.82    |         | Y                 |
|                                                            | Trade         | 6,000                   |                        | 05/29/09                       | 11/19/09     | 248.40      | 258.78                 | -10.38    |         | Y                 |
|                                                            | Trade         | 22,000                  |                        | 05/29/09                       | 12/14/09     | 1,053.11    | 948.86                 | 104.25    |         | Y                 |
|                                                            | Trade         | 12,000                  |                        | 09/09/09                       | 12/14/09     | 574.42      | 474.72                 | 99.70     |         | Y                 |
|                                                            | Trade         | 7,000                   |                        | 10/27/09                       | 12/14/09     | 335.08      | 301.76                 | 33.32     |         | Y                 |
| Total Short-Term Gain/Loss                                 |               |                         |                        |                                |              | 75,717.56   | 68,748.55              | 6,969.01  |         |                   |

# UBS Financial Services Inc.

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Account Number 8R 08816 75

Your Financial Advisor or Contact

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303-287-3000/800-288-5258

## 2009 Consolidated Form 1099

P01L185478-X1

### 2009 Realized Gain/Loss Summary

(Includes sale proceeds not reported on Form 1089-B)

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

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

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

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

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

|                       | Purchase     | Sale         | Gains     | Losses       | Net        |
|-----------------------|--------------|--------------|-----------|--------------|------------|
|                       |              |              |           |              | Gain/Loss  |
| Short-term Gain/Loss: | \$ 16,194.82 | \$ 15,586.16 | \$ 756.63 | \$ -1,365.29 | \$ -608.66 |
| Sub Total:            | \$ 16,194.82 | \$ 15,586.16 | \$ 756.63 | \$ -1,365.29 | \$ -608.66 |
| Total:                | \$ 16,194.82 | \$ 15,586.16 | \$ 756.63 | \$ -1,365.29 | \$ -608.66 |

### Short-Term Gain/Loss

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

| Security Description                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches |
|----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------|
| CISCO SYSTEMS INC                      | Trade         | 69,000                  |                        | 05/29/09                       | 12/18/09     | 1,807.91    | 1,253.58               | 354.33    |         |         |
| DENBURY RESOURCES INC<br>NEW           | Trade         | 95,000                  |                        | 05/29/09                       | 07/09/09     | 1,258.48    | 1,625.40               | -368.92   |         | Y       |
| GAMESTOP CORP NEW<br>(HOLDING CO) CL A | Trade         | 73,000                  |                        | 05/29/09                       | 07/16/09     | 1,542.17    | 1,777.22               | -235.05   |         | Y       |
| KROGER COMPANY                         | Trade         | 102,000                 |                        | 05/29/09                       | 12/18/09     | 2,048.69    | 2,285.82               | -237.13   |         | Y       |
| SCHEIN HENRY INC                       | Trade         | 58,000                  |                        | 05/29/09                       | 12/21/09     | 3,015.20    | 2,612.90               | 402.30    |         | Y       |
| SOWSTN ENERGY CO                       | Trade         | 63,000                  |                        | 05/29/09                       | 07/31/09     | 2,604.78    | 2,734.55               | -129.77   |         | Y       |

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UBS Financial Services Inc.

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

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

| Security Description       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| XTO ENERGY INC             | Trade         | 92,000                  |                        | 05/29/09                       | 07/17/09     | 3,510.93    | 3,905.35               | -394.42   |         | Y                 |
| Total Short-Term Gain/Loss |               |                         |                        |                                |              | 15,586.16   | 16,194.82              | -608.66   |         |                   |

P01G105484-X1

## 2009 Realized Gain/Loss Summary

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

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

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

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

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

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

|                       | Purchase         | Sale             | Gains         | Losses         | Net           |
|-----------------------|------------------|------------------|---------------|----------------|---------------|
|                       |                  |                  |               |                | Gain/Loss     |
| Short-term Gain/Loss: | \$ 22,451,613.42 | \$ 22,917,435.45 | \$ 639,748.00 | \$ -173,925.97 | \$ 465,822.03 |
| Sub Total:            | \$ 22,451,613.42 | \$ 22,917,435.45 | \$ 639,748.00 | \$ -173,925.97 | \$ 465,822.03 |
| Total:                | \$ 22,451,613.42 | \$ 22,917,435.45 | \$ 639,748.00 | \$ -173,925.97 | \$ 465,822.03 |

## Short-Term Gain/Loss

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

| Security Description            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| ABBOTT LABS                     | Trade         | 1,500,000               |                        | 08/04/09                       | 08/21/09     | 68,698.23   | 66,795.00              | 1,903.23  |         |                   |
|                                 | Trade         | 1,000,000               |                        | 08/05/09                       | 09/18/09     | 45,298.83   | 44,280.00              | 1,018.83  |         |                   |
|                                 | Trade         | 2,000,000               |                        | 09/23/09                       | 10/12/09     | 93,597.58   | 92,740.00              | 857.58    |         |                   |
| ACCENTURE PLC IRELAND<br>CL A   | Trade         | 2,500,000               |                        | 12/10/09                       | 12/18/09     | 106,372.26  | 105,949.75             | 422.51    |         |                   |
| ADOBE SYSTEMS INC<br>(DELAWARE) | Trade         | 2,000,000               |                        | 09/23/09                       | 10/16/09     | 65,098.31   | 66,018.00              | -919.69   |         |                   |
|                                 | Trade         | 2,000,000               |                        | 09/25/09                       | 10/16/09     | 68,798.27   | 84,413.50              | 2,384.77  |         |                   |
| ADVANCE AUTO PARTS INC          | Trade         | 3,000,000               |                        | 09/23/09                       | 10/16/09     | 118,196.95  | 117,510.00             | 686.95    |         |                   |
| AETNA INC                       | Trade         | 2,000,000               |                        | 09/25/09                       | 10/16/09     | 54,898.57   | 57,960.00              | -3,061.43 |         |                   |



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Short-Term Gain/Loss - continued

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

| Security Description                                                    | Activity Type | Quantity/<br>Face Value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| AETNA INC                                                               | Trade         | 1,000,000               |                        | 10/01/09                       | 10/16/09     | 27,449.29   | 27,698.60              | -249.31   |         |                   |
|                                                                         | Trade         | 500,000                 |                        | 10/01/09                       | 11/20/09     | 13,649.64   | 13,849.30              | -199.66   |         |                   |
|                                                                         | Trade         | 1,500,000               |                        | 10/06/09                       | 11/20/09     | 40,948.94   | 39,600.00              | 1,348.94  |         |                   |
|                                                                         | Trade         | 2,000,000               |                        | 11/12/09                       | 11/20/09     | 59,598.46   | 59,120.00              | 478.46    |         |                   |
|                                                                         | Trade         | 2,000,000               |                        | 11/30/09                       | 12/18/09     | 58,498.49   | 57,735.00              | 763.49    |         |                   |
| AFLAC INC                                                               | Trade         | 1,500,000               |                        | 06/17/09                       | 08/14/09     | 46,198.80   | 44,339.85              | 1,858.95  |         |                   |
|                                                                         | Trade         | 800,000                 |                        | 08/11/09                       | 09/18/09     | 33,039.14   | 32,383.92              | 655.22    |         |                   |
|                                                                         | Trade         | 1,500,000               |                        | 12/01/09                       | 12/18/09     | 70,348.18   | 69,882.00              | 466.18    |         |                   |
| AGNICO EAGLE MINES LTD<br>CANADA                                        | Trade         | 1,000,000               |                        | 08/18/09                       | 08/21/09     | 54,498.59   | 52,620.00              | 1,878.59  |         |                   |
| ALLEGHENY ENERGY INC                                                    | Trade         | 1,000,000               |                        | 08/11/09                       | 09/18/09     | 25,699.33   | 24,423.00              | 1,276.33  |         |                   |
|                                                                         | Trade         | 1,000,000               |                        | 08/11/09                       | 12/18/09     | 22,899.40   | 24,423.00              | -1,523.60 |         |                   |
|                                                                         | Trade         | 2,000,000               |                        | 11/24/09                       | 12/18/09     | 45,798.81   | 44,259.80              | 1,539.01  |         |                   |
|                                                                         | Trade         | 1,000,000               |                        | 12/04/09                       | 12/18/09     | 22,899.40   | 22,399.90              | 499.50    |         |                   |
| ALLERGAN INC                                                            | Trade         | 500,000                 |                        | 10/21/09                       | 11/17/09     | 28,934.95   | 28,655.00              | 279.95    |         |                   |
|                                                                         | Trade         | 200,000                 |                        | 10/28/09                       | 11/17/09     | 11,573.98   | 10,881.98              | 692.00    |         |                   |
|                                                                         | Trade         | 1,300,000               |                        | 10/28/09                       | 11/20/09     | 73,513.11   | 70,732.87              | 2,780.24  |         |                   |
| ALLIED WASTE NA B/E<br>06.500% 111510 DTD111003<br>FC081504 MW + 50 BP  | Tender        | 150,000,000             |                        | 08/25/09                       | 09/30/09     | 153,000.00  | 155,500.50             | -2,500.50 |         |                   |
| AMAZON.COM INC                                                          | Trade         | 500,000                 |                        | 08/13/09                       | 09/18/09     | 42,823.89   | 42,060.00              | 763.89    |         |                   |
| AMER EXP CENTURION<br>05.200% 112610 DTD112807<br>FC052808 MED TERM NTS | Trade         | 100,000,000             |                        | 08/04/09                       | 11/04/09     | 103,759.00  | 103,116.00             | 643.00    |         | Y                 |
| AMEREN CORP                                                             | Trade         | 5,000,000               |                        | 11/20/09                       | 12/04/09     | 127,496.71  | 126,350.00             | 1,146.71  |         |                   |
| AMERICAN EXPRESS CREDIT<br>05.000% 120210 DTD120205<br>FC060206 NTS     | Trade         | 100,000,000             |                        | 08/08/09                       | 11/04/09     | 103,499.00  | 102,887.00             | 612.00    |         | Y                 |

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

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

| Security Description                                               | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| AMERISOURCEBERGEN CORP                                             | Trade         | 1,400,000               |                        | 08/11/09                       | 11/18/09     | 29,959.22   | 28,154.00              | 1,805.22  |         |                   |
|                                                                    | Trade         | 100,000                 |                        | 08/11/09                       | 11/20/09     | 2,139.93    | 2,011.00               | 128.93    |         |                   |
| AMVESCAP PLC MW + 15BP NTS<br>04.500% 121509 DTD121404<br>FC081505 | Trade         | 450,000,000             |                        | 06/04/09                       | 11/04/09     | 450,810.00  | 451,845.00             | -1,035.00 |         | Y                 |
| ANGLOGOLD ASHANTI LTD<br>NEW SPON ADR                              | Trade         | 1,500,000               |                        | 08/11/09                       | 09/18/09     | 56,323.55   | 53,580.00              | 2,743.55  |         |                   |
| ANNALY CAPITAL<br>MANAGEMENT INC REIT                              | Trade         | 2,700,000               |                        | 05/29/09                       | 09/28/09     | 44,279.40   | 37,717.11              | 6,562.29  |         |                   |
|                                                                    | Trade         | 300,000                 |                        | 05/29/09                       | 09/28/09     | 5,114.92    | 4,190.79               | 924.13    |         |                   |
|                                                                    | Trade         | 300,000                 |                        | 08/05/09                       | 09/28/09     | 4,919.93    | 5,073.00               | -153.07   |         |                   |
| ARCELORMITTAL SA NY REG                                            | Trade         | 1,000,000               |                        | 07/22/09                       | 08/20/09     | 35,799.07   | 35,356.00              | 443.07    |         |                   |
|                                                                    | Trade         | 1,500,000               |                        | 10/22/09                       | 11/19/09     | 58,948.48   | 58,200.00              | 748.48    |         |                   |
| ARCHER DANIELS MIDLAND<br>CO                                       | Trade         | 300,000                 |                        | 12/14/09                       | 12/18/09     | 8,119.75    | 9,024.00               | 95.75     |         |                   |
| ASTRAZENECA PLC SPON ADR                                           | Trade         | 1,500,000               |                        | 10/13/09                       | 12/18/09     | 69,598.19   | 65,952.75              | 3,645.44  |         |                   |
|                                                                    | Trade         | 2,000,000               |                        | 11/17/09                       | 12/18/09     | 92,797.61   | 90,698.00              | 2,099.61  |         |                   |
| AT&T INC                                                           | Trade         | 500,000                 |                        | 06/04/09                       | 09/18/09     | 13,074.65   | 12,143.00              | 931.65    |         |                   |
|                                                                    | Trade         | 2,000,000               |                        | 06/04/09                       | 10/06/09     | 50,658.70   | 48,572.00              | 2,086.70  |         |                   |
|                                                                    | Trade         | 500,000                 |                        | 08/10/09                       | 10/06/09     | 12,664.87   | 12,773.75              | -109.08   |         |                   |
|                                                                    | Trade         | 4,000,000               |                        | 09/23/09                       | 10/06/09     | 108,517.20  | 107,919.60             | 597.60    |         |                   |
|                                                                    | Trade         | 1,000,000               |                        | 10/08/09                       | 11/20/09     | 26,709.30   | 25,949.00              | 760.30    |         |                   |
|                                                                    | Trade         | 2,000,000               |                        | 10/08/09                       | 11/20/09     | 51,538.67   | 51,898.00              | -359.33   |         |                   |
|                                                                    | Trade         | 1,300,000               |                        | 10/26/09                       | 11/20/09     | 34,722.09   | 32,942.00              | 1,780.09  |         |                   |
|                                                                    | Trade         | 700,000                 |                        | 10/26/09                       | 11/23/09     | 18,474.27   | 17,738.00              | 736.27    |         | Y                 |
| AUTOMATIC DATA PROCESSNG<br>INC                                    | Trade         | 1,500,000               |                        | 08/11/09                       | 09/08/09     | 57,748.51   | 56,685.00              | 1,063.51  |         |                   |
| AVALONBAY COMMUNITIES<br>INC SBI                                   | Trade         | 700,000                 |                        | 06/19/09                       | 09/23/09     | 42,558.89   | 40,908.00              | 1,650.89  |         |                   |



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

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

| Security Description                                      | Activity Type    | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold         | Sale Amount          | Cost or Other<br>Basis | Gain/Loss            | Remarks | Matches<br>1099-B |
|-----------------------------------------------------------|------------------|-------------------------|------------------------|--------------------------------|----------------------|----------------------|------------------------|----------------------|---------|-------------------|
| BAKER HUGHES INC                                          | Trade            | 500.000                 |                        | 06/05/09                       | 08/21/09             | 19,699.48            | 19,775.00              | -75.52               |         |                   |
|                                                           | Trade            | 700.000                 |                        | 06/05/09                       | 10/16/09             | 29,539.23            | 27,685.00              | 1,854.23             |         |                   |
|                                                           | Trade            | 500.000                 |                        | 08/05/09                       | 10/16/09             | 21,099.44            | 19,449.85              | 1,649.59             |         |                   |
| BANK OF NEW YORK MELLON<br>CORP                           | Trade            | 2,000.000               |                        | 10/13/09                       | 11/20/09             | 53,398.62            | 56,199.80              | -2,801.18            |         |                   |
| BANK OF AMER CORP                                         | Trade            | 1,300.000               |                        | 06/16/09                       | 08/21/09             | 17,588.54            | 16,692.00              | 896.54               |         |                   |
|                                                           | Trade            | 3,000.000               |                        | 09/21/09                       | 10/16/09             | 51,754.66            | 51,798.00              | -43.34               |         |                   |
|                                                           | Trade            | 2,000.000               |                        | 09/25/09                       | 10/16/09             | 34,503.11            | 33,379.00              | 1,124.11             |         |                   |
| BAXTER INTL INC                                           | Trade            | 1,500.000               |                        | 08/04/09                       | 08/21/09             | 73,198.11            | 69,839.85              | 3,358.26             |         |                   |
|                                                           | Trade            | 1,500.000               |                        | 10/12/09                       | 11/20/09             | 83,022.86            | 87,207.90              | -4,185.04            |         |                   |
|                                                           | Trade            | 1,500.000               |                        | 10/29/09                       | 12/18/09             | 83,697.84            | 80,833.75              | 2,864.09             |         |                   |
|                                                           | Trade            | 600.000                 |                        | 11/12/09                       | 12/18/09             | 33,479.13            | 33,000.00              | 479.13               |         |                   |
|                                                           | Trade            | 900.000                 |                        | 11/12/09                       | 12/18/09             | 50,218.70            | 49,464.00              | 754.70               |         |                   |
| BIOGEN IDEC INC                                           | Trade            | 1,000.000               |                        | 08/07/09                       | 09/18/09             | 48,798.74            | 47,460.00              | 1,338.74             |         |                   |
| BRISTOL MYERS SQUIBB CO                                   | Trade            | 4,000.000               |                        | 09/15/09                       | 09/29/09             | 90,877.63            | 89,039.60              | 1,838.03             |         |                   |
|                                                           | Trade            | 2,000.000               |                        | 09/22/09                       | 09/29/09             | 45,438.81            | 44,639.80              | 799.01               |         |                   |
| BROCADE COMMUNICATIONS<br>SYS INC NEW                     | Trade            | 4,000.000               |                        | 11/24/09                       | 12/18/09             | 29,799.21            | 29,200.00              | 599.21               |         |                   |
|                                                           | Trade            | 3,000.000               |                        | 12/04/09                       | 12/18/09             | 22,349.41            | 21,119.70              | 1,229.71             |         |                   |
| CA INC                                                    | Trade            | 2,500.000               |                        | 10/23/09                       | 11/12/09             | 54,373.60            | 53,525.00              | 848.60               |         |                   |
|                                                           | Trade            | 1,500.000               |                        | 10/23/09                       | 11/20/09             | 32,624.15            | 32,115.00              | 509.15               |         |                   |
|                                                           | Trade            | 100.000                 |                        | 12/15/09                       | 12/18/09             | 2,299.94             | 2,276.80               | 23.14                |         |                   |
| CALL AETNA INC<br>DUE 10/17/09 28.000<br>004DG2           | Exp/rd           | -20.000                 |                        | 10/19/09                       | 09/25/09             | 6,599.82             |                        | 6,599.82             |         |                   |
| CALL ASTRAZENECA PLC SPO<br>DUE 11/21/09 45.000<br>0349A6 | Exp/rd<br>Exp/rd | -15.000<br>-20.000      |                        | 11/23/09<br>11/23/09           | 10/13/09<br>11/17/09 | 1,574.95<br>1,199.96 |                        | 1,574.95<br>1,199.96 |         |                   |

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Account Number 8R 08789 75  
Your Financial Advisor or Contact  
DWIGHT WEST  
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## 2009 Consolidated Form 1099

P01G105469-X1

### Short-Term Gain/Loss - continued

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

| Security Description                                      | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold         | Sale Amount        | Cost or Other<br>Basis | Gain/Loss          | Remarks | Matches<br>1099-B |
|-----------------------------------------------------------|-------------------------|------------------------|--------------------------------|----------------------|--------------------|------------------------|--------------------|---------|-------------------|
| CALL AT&T INC<br>DUE 10/17/09 26.000<br>0083T8            | -30.000                 |                        | 10/19/09                       | 10/08/09             | 929.97             |                        | 929.97             |         |                   |
| CALL AT&T INC<br>DUE 11/21/09 26.000<br>0083T8            | -7.000                  |                        | 11/23/09                       | 10/21/09             | 496.99             |                        | 496.99             |         |                   |
| CALL BANK OF NEW YORK ME<br>DUE 11/21/09 27.000<br>0426Q4 | -20.000                 |                        | 11/23/09                       | 10/19/09             | 2,699.93           |                        | 2,699.93           |         |                   |
| CALL BANK OF NEW YORK ME<br>DUE 11/21/09 28.000<br>0426Q4 | -30.000                 |                        | 11/23/09                       | 10/20/09             | 4,199.89           |                        | 4,199.89           |         |                   |
| CALL BANK OF NEW YORK ME<br>DUE 12/19/09 27.000<br>0426Q4 | -50.000                 |                        | 12/21/09                       | 11/23/09             | 3,749.90           |                        | 3,749.90           |         |                   |
| CALL BAXTER INTL INC<br>DUE 11/21/09 55.000<br>084378     | -15.000<br>-15.000      |                        | 11/23/09<br>11/23/09           | 10/29/09<br>10/30/09 | 974.97<br>1,274.96 |                        | 974.97<br>1,274.96 |         |                   |
| CALL BAXTER INTL INC<br>DUE 10/17/09 57.500<br>084378     | -15.000                 |                        | 10/19/09                       | 10/12/09             | 1,949.94           |                        | 1,949.94           |         |                   |
| CALL CA INC<br>DUE 12/19/09 22.500<br>068BS5              | -29.000                 |                        | 12/21/09                       | 12/15/09             | 1,449.96           |                        | 1,449.96           |         |                   |
| CALL CHINA MEDICAL<br>DUE 09/19/09 17.500<br>094BL4       | -15.000                 |                        | 09/21/09                       | 08/11/09             | 824.97             |                        | 824.97             |         |                   |

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Your Financial Advisor or Contact  
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2009 Consolidated Form 1099

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### Short-Term Gain/Loss - continued

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

| Security Description                                      | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| CALL CHINA MEDICAL<br>DUE 11/21/09 15,000<br>094BL4       | Expired       | -10,000                 |                        | 11/23/09                       | 10/19/09     | 2,999.92    |                        | 2,999.92  |         |                   |
|                                                           | Expired       | -20,000                 |                        | 11/23/09                       | 11/04/09     | 2,399.93    |                        | 2,399.93  |         |                   |
|                                                           | Expired       | -20,000                 |                        | 11/23/09                       | 11/05/09     | 1,799.95    |                        | 1,799.95  |         |                   |
| CALL CHINA MEDICAL<br>DUE 12/19/09 15,000<br>094BL4       | Expired       | -50,000                 |                        | 12/21/09                       | 12/01/09     | 499.98      |                        | 499.98    |         |                   |
| CALL CHINA MEDICAL<br>DUE 10/17/09 17,500<br>094BL4       | Expired       | -10,000                 |                        | 10/19/09                       | 09/21/09     | 449.98      |                        | 449.98    |         |                   |
| CALL CVS CAREMARK CORP<br>DUE 12/19/09 32,000<br>0731H1   | Expired       | -3,000                  |                        | 12/21/09                       | 12/16/09     | 44.99       |                        | 44.99     |         |                   |
| CALL DELTA AIR LINES INC<br>DUE 11/21/09 8,000<br>1238P1  | Expired       | -30,000                 |                        | 11/23/09                       | 10/21/09     | 2,549.92    |                        | 2,549.92  |         |                   |
| CALL DIREXION SHARES ETF<br>DUE 07/18/09 45,000<br>1259T8 | Expired       | -5,000                  |                        | 07/20/09                       | 07/15/09     | 374.99      |                        | 374.99    |         |                   |
| CALL DIRECTV GROUP INC<br>DUE 10/17/09 27,000<br>1253H5   | Expired       | -30,000                 |                        | 10/19/09                       | 10/12/09     | 899.97      |                        | 899.97    |         |                   |
| CALL ENTERPRISE PRODUCTS<br>DUE 11/21/09 30,000<br>2355B1 | Expired       | -20,000                 |                        | 11/23/09                       | 10/20/09     | 499.98      |                        | 499.98    |         |                   |
| CALL EV ENERGY PARTNERS<br>DUE 11/21/09 25,000<br>1389N8  | Expired       | -3,000                  |                        | 11/23/09                       | 11/09/09     | 134.99      |                        | 134.99    |         |                   |

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

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

| Security Description                                       | Activity Type      | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold         | Sale Amount        | Cost or Other<br>Basis | Gain/Loss          | Remarks | Matches<br>1099-B |
|------------------------------------------------------------|--------------------|-------------------------|------------------------|--------------------------------|----------------------|--------------------|------------------------|--------------------|---------|-------------------|
| CALL EXXON MOBIL CORP<br>DUE 12/19/09 70.000<br>1462Q5     | Expired<br>Expired | -10.000<br>-10.000      |                        | 12/21/09<br>12/21/09           | 12/10/09<br>12/14/09 | 2,589.93<br>719.98 |                        | 2,589.93<br>719.98 |         |                   |
| CALL FIRST SOLAR INC<br>DUE 08/22/09 130.000<br>154A30     | Expired            | -1.000                  |                        | 08/24/09                       | 08/05/09             | 2,149.94           |                        | 2,149.94           |         |                   |
| CALL FPL GROUP INC<br>DUE 11/21/09 55.000<br>126314        | Expired            | -25.000                 |                        | 11/23/09                       | 10/20/09             | 2,374.93           |                        | 2,374.93           |         |                   |
| CALL FPL GROUP INC<br>DUE 10/17/09 55.000<br>126314        | Expired<br>Expired | -15.000<br>-10.000      |                        | 10/18/09<br>10/19/09           | 09/23/09<br>10/08/09 | 1,124.97<br>99.99  |                        | 1,124.97<br>99.99  |         |                   |
| CALL GAMESTOP CORP NEW<br>DUE 12/19/09 22.500<br>1877J2    | Expired            | -15.000                 |                        | 12/21/09                       | 12/01/09             | 2,549.93           |                        | 2,549.93           |         |                   |
| CALL GOLDMAN SACHS GROUP<br>DUE 11/21/09 170.000<br>1864H1 | Expired            | -8.000                  |                        | 11/23/09                       | 11/13/09             | 5,959.84           |                        | 5,959.84           |         |                   |
| CALL GOLDCORP INC NEW<br>DUE 12/19/09 42.000<br>1862S8     | Expired            | -25.000                 |                        | 12/21/09                       | 12/14/09             | 674.98             |                        | 674.98             |         |                   |
| CALL ISHARES MSCI EMERGI<br>DUE 11/21/09 41.000<br>214DC4  | Expired            | -10.000                 |                        | 11/23/09                       | 11/18/09             | 929.97             |                        | 929.97             |         |                   |
| CALL IVANHOE MINES LTD<br>DUE 10/17/09 12.500<br>2365C5    | Expired            | -50.000                 |                        | 10/19/09                       | 10/08/09             | 3,249.91           |                        | 3,249.91           |         |                   |

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UBS Financial Services Inc.

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### Short-Term Gain/Loss - continued

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

| Security Description                                      | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| CALL KNIGHT CAPITAL GROU<br>DUE 11/21/09 17.500<br>241BB9 | Expired       | -20.000                 |                        | 11/23/09                       | 10/21/09     | 2,699.93    |                        | 2,699.93  |         |                   |
| CALL KNIGHT CAPITAL GROU<br>DUE 12/19/09 15.000<br>241BB9 | Expired       | -30.000                 |                        | 12/21/09                       | 11/23/09     | 2,099.94    |                        | 2,099.94  |         |                   |
|                                                           | Expired       | -17.000                 |                        | 12/21/09                       | 12/01/09     | 509.98      |                        | 509.98    |         |                   |
|                                                           | Expired       | -3.000                  |                        | 12/21/09                       | 12/04/09     | 74.99       |                        | 74.99     |         |                   |
| CALL LILLY ELI & CO<br>DUE 09/19/09 35.000<br>261025      | Expired       | -10.000                 |                        | 09/21/09                       | 08/04/09     | 999.97      |                        | 999.97    |         |                   |
| CALL METLIFE INC<br>DUE 11/21/09 36.000<br>2854U7         | Expired       | -10.000                 |                        | 11/23/09                       | 10/16/09     | 2,499.93    |                        | 2,499.93  |         |                   |
|                                                           | Expired       | -20.000                 |                        | 11/23/09                       | 10/16/09     | 5,099.86    |                        | 5,099.86  |         |                   |
| CALL MURPHY OIL CORP<br>DUE 12/19/09 55.000<br>306363     | Expired       | -10.000                 |                        | 12/21/09                       | 11/24/09     | 2,799.92    |                        | 2,799.92  |         |                   |
|                                                           | Expired       | -10.000                 |                        | 12/21/09                       | 12/01/09     | 2,899.92    |                        | 2,899.92  |         |                   |
|                                                           | Expired       | -5.000                  |                        | 12/21/09                       | 12/04/09     | 699.98      |                        | 699.98    |         |                   |
| CALL NTHN TRUST CORP<br>DUE 11/21/09 55.000<br>342475     | Expired       | -5.000                  |                        | 11/23/09                       | 10/21/09     | 724.98      |                        | 724.98    |         |                   |
| CALL NTHN TRUST CORP<br>DUE 11/21/09 50.000<br>342475     | Expired       | -10.000                 |                        | 11/23/09                       | 10/21/09     | 4,899.87    |                        | 4,899.87  |         |                   |
|                                                           | Expired       | -5.000                  |                        | 11/23/09                       | 11/03/09     | 724.98      |                        | 724.98    |         |                   |
| CALL NTHN TRUST CORP<br>DUE 12/19/09 50.000<br>342475     | Expired       | -11.000                 |                        | 12/21/09                       | 11/23/09     | 824.98      |                        | 824.98    |         |                   |
| CALL PENN NATL GAMING IN<br>DUE 10/17/09 25.000<br>3634B1 | Expired       | -15.000                 |                        | 10/19/09                       | 09/21/09     | 4,274.89    |                        | 4,274.89  |         |                   |
|                                                           | Expired       | -20.000                 |                        | 10/19/09                       | 10/08/09     | 3,899.89    |                        | 3,899.89  |         |                   |

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Your Financial Advisor or Contact

DWIGHT WEST

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## 2009 Consolidated Form 1099

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### Short-Term Gain/Loss - continued

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

| Security Description                                      | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| CALL PEPSICO INC<br>DUE 12/19/09 80.000<br>368024         | Expired       | -14.000                 |                        | 12/21/09                       | 12/15/09     | 1,539.96    |                        | 1,539.96  |         |                   |
| CALL PLAINS ALL AMER PIP<br>DUE 10/17/09 50.000<br>3783G2 | Expired       | -20.000                 |                        | 10/19/09                       | 09/16/09     | 399.98      |                        | 399.98    |         |                   |
| CALL PLAINS ALL AMER PIP<br>DUE 11/21/09 50.000<br>3783G2 | Expired       | -20.000                 |                        | 11/23/09                       | 10/20/09     | 1,099.97    |                        | 1,099.97  |         |                   |
|                                                           | Expired       | -5.000                  |                        | 11/23/09                       | 11/02/09     | 99.99       |                        | 99.99     |         |                   |
|                                                           | Expired       | -15.000                 |                        | 11/23/09                       | 11/19/09     | 299.99      |                        | 299.99    |         |                   |
| CALL SCIENTIFIC GAMES CO<br>DUE 12/19/09 15.000<br>4176A1 | Expired       | -25.000                 |                        | 12/21/09                       | 11/17/09     | 3,624.90    |                        | 3,624.90  |         |                   |
| CALL STATE STREET CORP<br>DUE 11/21/09 43.000<br>4406Q0   | Expired       | -15.000                 |                        | 11/23/09                       | 10/22/09     | 6,599.83    |                        | 6,599.83  |         |                   |
| CALL STATE STREET CORP<br>DUE 12/19/09 42.000<br>4406Q0   | Expired       | -15.000                 |                        | 12/21/09                       | 11/23/09     | 2,549.93    |                        | 2,549.93  |         |                   |
| CALL STERICYCLE INC<br>DUE 09/19/09 50.000<br>4147B7      | Expired       | -5.000                  |                        | 09/21/09                       | 08/03/09     | 1,249.96    |                        | 1,249.96  |         |                   |
|                                                           | Expired       | -5.000                  |                        | 09/21/09                       | 08/05/09     | 1,249.96    |                        | 1,249.96  |         |                   |
|                                                           | Expired       | -5.000                  |                        | 09/21/09                       | 09/14/09     | 74.99       |                        | 74.99     |         |                   |
| CALL TEXTRON INC<br>DUE 10/17/09 18.000<br>455300         | Expired       | -20.000                 |                        | 10/19/09                       | 09/25/09     | 4,499.88    |                        | 4,499.88  |         |                   |
| CALL TRAVELERS COS INC/T<br>DUE 12/19/09 50.000<br>462A87 | Expired       | -10.000                 |                        | 12/21/09                       | 11/12/09     | 3,999.89    |                        | 3,999.89  |         |                   |
|                                                           | Expired       | -10.000                 |                        | 12/21/09                       | 11/13/09     | 3,999.89    |                        | 3,999.89  |         |                   |
|                                                           | Expired       | -10.000                 |                        | 12/21/09                       | 12/01/09     | 2,849.92    |                        | 2,849.92  |         |                   |
|                                                           | Expired       | -10.000                 |                        | 12/21/09                       | 12/03/09     | 1,949.94    |                        | 1,949.94  |         |                   |
|                                                           | Expired       | -10.000                 |                        | 12/21/09                       | 12/04/09     | 899.97      |                        | 899.97    |         |                   |

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P01G105473-X1

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

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

| Security Description                                      | Activity Type                    | Quantity/<br>Face value                          | Original Cost<br>Basis | Purchase date<br>Date Acquired               | Date<br>Sold                                 | Sale Amount                                      | Cost or Other<br>Basis                           | Gain/Loss                                 | Remarks | Matches<br>1099-B |
|-----------------------------------------------------------|----------------------------------|--------------------------------------------------|------------------------|----------------------------------------------|----------------------------------------------|--------------------------------------------------|--------------------------------------------------|-------------------------------------------|---------|-------------------|
| CALL TYCO ELECTRONICS LT<br>DUE 10/17/09 22.500<br>448G02 | Expired<br>Expired               | -15.000<br>-15.000                               |                        | 10/19/09<br>10/19/09                         | 08/13/09<br>09/28/09                         | 2,549.93<br>1,499.98                             |                                                  | 2,549.93<br>1,499.98                      |         |                   |
| CALL UNITEDHEALTH GROUP<br>DUE 10/17/09 22.500<br>4761V3  | Expired<br>Expired               | -40.000<br>-10.000                               |                        | 10/19/09<br>10/19/09                         | 10/05/09<br>10/08/09                         | 7,799.79<br>1,499.96                             |                                                  | 7,799.79<br>1,499.96                      |         |                   |
| CALL UNITEDHEALTH GROUP<br>DUE 10/17/09 24.000<br>4761V3  | Expired                          | -10.000                                          |                        | 10/19/09                                     | 10/07/09                                     | 1,349.96                                         |                                                  | 1,349.96                                  |         |                   |
| CALL VERIZON COMMUNICATI<br>DUE 10/17/09 29.000<br>492BA3 | Expired                          | -25.000                                          |                        | 10/19/09                                     | 10/07/09                                     | 1,399.96                                         |                                                  | 1,399.96                                  |         |                   |
| CALL VODAFONE GROUP PLC<br>DUE 10/17/09 22.500<br>4953X9  | Expired                          | -20.000                                          |                        | 10/19/09                                     | 10/06/09                                     | 699.98                                           |                                                  | 699.98                                    |         |                   |
| CALL VODAFONE GROUP PLC<br>DUE 11/21/09 22.500<br>4953X9  | Expired                          | -1.000                                           |                        | 11/23/09                                     | 11/06/09                                     | 50.00                                            |                                                  | 50.00                                     |         |                   |
| CALL WAL MART STORES INC<br>DUE 09/19/09 50.000<br>496197 | Expired                          | -5.000                                           |                        | 09/21/09                                     | 09/17/09                                     | 129.99                                           |                                                  | 129.99                                    |         |                   |
| CHEMED CORP NEW                                           | Trade                            | 1,000.000                                        |                        | 06/04/09                                     | 09/18/09                                     | 43,398.88                                        | 39,820.00                                        | 3,578.88                                  |         |                   |
| CHESAPEAKE ENERGY CORP<br>OKLA                            | Trade<br>Trade<br>Trade<br>Trade | 2,500.000<br>4,000.000<br>3,000.000<br>2,000.000 |                        | 09/02/09<br>11/06/09<br>12/02/09<br>12/04/09 | 09/18/09<br>11/20/09<br>12/18/09<br>12/18/09 | 56,623.53<br>98,957.44<br>69,628.20<br>46,418.79 | 55,972.50<br>97,717.15<br>69,766.20<br>45,239.82 | 651.03<br>1,240.29<br>-138.00<br>1,178.97 |         |                   |
| CHEVRON CORP                                              | Trade<br>Trade                   | 500.000<br>1,500.000                             |                        | 12/03/09<br>12/03/09                         | 12/18/09<br>12/18/09                         | 39,286.48<br>117,659.48                          | 38,975.00<br>117,180.00                          | 311.48<br>679.48                          |         |                   |

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UBS Financial Services Inc.

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# Short-Term Gain/Loss - continued

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

| Security Description                                                      | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| CHINA LIFE INSURANCE CO<br>LTD ADS                                        | Trade         | 500.000                 |                        | 08/17/09                       | 09/18/09     | 31,599.18   | 30,810.00              | 789.18    |         |                   |
|                                                                           | Trade         | 100.000                 |                        | 08/17/09                       | 09/18/09     | 6,319.84    | 6,182.00               | 157.84    |         |                   |
| CHINA MEDICAL<br>TECHNOLOGIES INC SPON<br>ADR                             | Trade         | 1,500.000               |                        | 08/03/09                       | 08/21/09     | 25,199.35   | 24,675.00              | 524.35    |         |                   |
|                                                                           | Trade         | 500.000                 |                        | 08/04/09                       | 09/25/09     | 8,249.78    | 8,130.00               | 119.78    |         |                   |
|                                                                           | Trade         | 1,000.000               |                        | 08/04/09                       | 10/16/09     | 16,199.57   | 16,260.00              | -60.43    |         |                   |
|                                                                           | Trade         | 1,000.000               |                        | 10/01/09                       | 10/16/09     | 16,199.57   | 15,740.00              | 459.57    |         |                   |
|                                                                           | Trade         | 1,000.000               |                        | 10/01/09                       | 10/19/09     | 17,753.80   | 15,740.00              | 2,013.80  |         | Y                 |
| CHINA MOBILE LTD SPON<br>ADR                                              | Trade         | 1,500.000               |                        | 09/18/09                       | 10/16/09     | 77,428.01   | 75,255.00              | 2,173.01  |         |                   |
|                                                                           | Trade         | 1,000.000               |                        | 09/29/09                       | 10/18/09     | 51,618.67   | 49,547.50              | 2,071.17  |         |                   |
| CIGNA CORP                                                                | Trade         | 2,000.000               |                        | 10/26/09                       | 11/20/09     | 57,498.52   | 55,679.80              | 1,818.72  |         |                   |
|                                                                           | Trade         | 2,000.000               |                        | 10/26/09                       | 11/20/09     | 57,498.52   | 57,400.00              | 98.52     |         |                   |
| CINN FINANCIAL CORP                                                       | Trade         | 3,000.000               |                        | 11/16/09                       | 12/18/09     | 79,497.95   | 78,540.00              | 957.95    |         |                   |
| CISCO SYSTEMS INC                                                         | Trade         | 1,100.000               |                        | 08/10/09                       | 08/21/09     | 24,331.36   | 23,902.45              | 428.91    |         |                   |
|                                                                           | Trade         | 900.000                 |                        | 08/10/09                       | 09/18/09     | 20,051.48   | 19,556.55              | 494.93    |         |                   |
|                                                                           | Trade         | 2,500.000               |                        | 11/03/09                       | 11/20/09     | 57,623.51   | 57,049.75              | 573.76    |         |                   |
| CITIGROUP INC                                                             | Trade         | 4,000.000               |                        | 09/25/09                       | 10/16/09     | 17,999.52   | 17,560.00              | 439.52    |         |                   |
| CLEVE ELEC ILLUM CO<br>07.430% 110109 DTD102497<br>FC050198 MW + 25BP B/E | Redemption    | 32,000.000              |                        | 07/24/09                       | 11/01/09     | 32,000.00   | 32,520.00              | -520.00   |         | Y                 |
| COCA COLA CO COM                                                          | Trade         | 1,000.000               |                        | 08/05/09                       | 09/10/09     | 49,638.72   | 49,310.00              | 328.72    |         |                   |
|                                                                           | Trade         | 1,500.000               |                        | 09/03/09                       | 09/10/09     | 74,458.07   | 73,869.00              | 589.07    |         |                   |
| COMCAST CORP NEW CL A                                                     | Trade         | 1,000.000               |                        | 08/04/09                       | 09/18/09     | 15,399.60   | 14,426.00              | 973.60    |         |                   |
|                                                                           | Trade         | 1,700.000               |                        | 08/04/09                       | 10/02/09     | 25,754.34   | 24,524.20              | 1,230.14  |         |                   |
|                                                                           | Trade         | 800.000                 |                        | 08/04/09                       | 10/16/09     | 12,119.67   | 11,540.80              | 578.87    |         |                   |
|                                                                           | Trade         | 1,000.000               |                        | 08/05/09                       | 10/16/09     | 15,149.60   | 14,970.00              | 179.60    |         |                   |
|                                                                           | Trade         | 3,000.000               |                        | 10/07/09                       | 10/16/09     | 47,548.77   | 46,497.00              | 1,051.77  |         |                   |
|                                                                           | Trade         | 1,800.000               |                        | 10/30/09                       | 11/18/09     | 26,819.30   | 26,568.00              | 251.30    |         |                   |
|                                                                           | Trade         | 3,200.000               |                        | 10/30/09                       | 11/20/09     | 47,047.19   | 47,232.00              | -184.81   |         |                   |
|                                                                           | Trade         | 2,500.000               |                        | 11/04/09                       | 11/20/09     | 36,755.62   | 35,895.00              | 860.62    |         |                   |

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

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

| Security Description                                                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| COMCAST CORP NEW CL A                                                  | Trade         | 2,500,000               |                        | 11/04/09                       | 11/20/09     | 36,749.05   | 35,895.00              | 854.05    |         |                   |
| CONOCOPHILLIPS                                                         | Trade         | 1,200,000               |                        | 06/05/09                       | 08/21/09     | 56,338.54   | 54,343.20              | 1,995.34  |         |                   |
|                                                                        | Trade         | 1,500,000               |                        | 09/04/09                       | 09/18/09     | 67,768.25   | 67,290.00              | 478.25    |         |                   |
|                                                                        | Trade         | 2,000,000               |                        | 09/21/09                       | 10/16/09     | 92,997.60   | 92,260.00              | 737.60    |         |                   |
|                                                                        | Trade         | 2,000,000               |                        | 10/28/09                       | 11/20/09     | 100,297.41  | 99,120.00              | 1,177.41  |         |                   |
| COOPER COMPANIES INC NEW                                               | Trade         | 2,000,000               |                        | 08/31/09                       | 09/18/09     | 55,298.57   | 54,477.50              | 821.07    |         |                   |
| DAIMLERCHRYSLER NA HLDG<br>07.200% 090109 DTD082499<br>FC030100 GLOBAL | Redemption    | 100,000,000             |                        | 06/05/09                       | 09/01/09     | 100,000.00  | 100,875.00             | -875.00   |         | Y                 |
|                                                                        | Redemption    | 107,000,000             |                        | 08/04/09                       | 09/01/09     | 107,000.00  | 107,401.25             | -401.25   |         | Y                 |
| DARDEN RESTAURANTS INC                                                 | Trade         | 100,000                 |                        | 08/06/09                       | 09/18/09     | 3,279.91    | 3,222.00               | 57.91     |         |                   |
|                                                                        | Trade         | 1,400,000               |                        | 08/06/09                       | 09/18/09     | 45,918.80   | 45,150.00              | 768.80    |         |                   |
|                                                                        | Trade         | 2,000,000               |                        | 10/06/09                       | 10/16/09     | 67,598.25   | 66,520.00              | 1,078.25  |         |                   |
|                                                                        | Trade         | 1,500,000               |                        | 10/23/09                       | 11/20/09     | 47,848.76   | 46,920.00              | 928.76    |         |                   |
|                                                                        | Trade         | 1,000,000               |                        | 10/23/09                       | 11/20/09     | 31,699.18   | 31,280.00              | 419.18    |         |                   |
| DECKERS OUTDOOR CORP                                                   | Trade         | 1,000,000               |                        | 10/21/09                       | 11/20/09     | 92,197.62   | 90,620.00              | 1,577.62  |         |                   |
| DELTA AIR LINES INC DELA<br>NEW                                        | Trade         | 4,000,000               |                        | 08/10/09                       | 09/18/09     | 29,199.24   | 28,237.80              | 961.44    |         |                   |
|                                                                        | Trade         | 3,000,000               |                        | 10/21/09                       | 12/18/09     | 23,699.39   | 25,674.00              | -1,974.61 |         |                   |
| DEVON ENERGY CORP NEW                                                  | Trade         | 1,000,000               |                        | 12/09/09                       | 12/18/09     | 64,098.34   | 64,000.00              | 98.34     |         |                   |
|                                                                        | Trade         | 500,000                 |                        | 12/09/09                       | 12/18/09     | 32,849.15   | 32,000.00              | 849.15    |         |                   |
| DIAMOND OFFSHORE<br>DRILLING INC                                       | Trade         | 900,000                 |                        | 09/21/09                       | 10/16/09     | 84,507.82   | 83,529.00              | 978.82    |         |                   |
| DIRECTV GROUP INC<br>***MERGER EFF: 11/09**                            | Trade         | 2,000,000               |                        | 08/07/09                       | 09/18/09     | 50,558.68   | 49,398.60              | 1,160.08  |         |                   |
|                                                                        | Trade         | 500,000                 |                        | 08/10/09                       | 09/18/09     | 12,639.66   | 12,099.10              | 540.56    |         |                   |
| DIREXION SHARES ETF TR<br>DAILY FINL BEAR 3X SHS<br>NEW                | Trade         | 500,000                 |                        | 07/15/09                       | 08/04/09     | 15,455.05   | 22,250.00              | -6,794.95 |         | Y                 |

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

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

| Security Description                                                          | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|-------------------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| DR PEPPER SNAPPLE GROUP<br>INC                                                | Trade         | 100,000                 |                        | 12/07/09                       | 12/11/09     | 2,684.93    | 2,669.99               | 14.94      |         |                   |
|                                                                               | Trade         | 400,000                 |                        | 12/07/09                       | 12/16/09     | 10,739.71   | 10,679.97              | 59.74      |         |                   |
| DUKE ENERGY FIELD SRVCS<br>07.875% 081610 DTD081600<br>FC021601 NTS MW + 20BP | Trade         | 50,000,000              |                        | 08/03/09                       | 12/10/09     | 51,925.00   | 51,954.00              | -29.00     |         | Y                 |
| EBAY INC                                                                      | Trade         | 2,000,000               |                        | 07/01/09                       | 08/21/09     | 35,285.08   | 34,098.60              | 1,186.48   |         |                   |
|                                                                               | Trade         | 3,000,000               |                        | 11/03/09                       | 11/20/09     | 67,738.25   | 66,749.70              | 988.55     |         |                   |
| EMC CORP MASS                                                                 | Trade         | 4,000,000               |                        | 11/06/09                       | 11/20/09     | 67,278.28   | 66,520.00              | 758.28     |         |                   |
|                                                                               | Trade         | 4,000,000               |                        | 12/03/09                       | 12/18/09     | 66,940.48   | 66,520.00              | 420.48     |         |                   |
|                                                                               | Trade         | 5,000,000               |                        | 12/10/09                       | 12/18/09     | 83,875.60   | 83,100.00              | 575.60     |         |                   |
| ENCANA CORP                                                                   | Trade         | 800,000                 |                        | 06/19/09                       | 09/10/09     | 42,878.89   | 40,908.40              | 1,970.49   |         |                   |
| ENERGY CORP NEW                                                               | Trade         | 800,000                 |                        | 06/04/09                       | 08/07/09     | 61,758.41   | 59,632.00              | 2,126.41   |         |                   |
|                                                                               | Trade         | 300,000                 |                        | 08/05/09                       | 08/07/09     | 23,189.40   | 23,012.40              | 177.00     |         |                   |
| ENTERPRISE PRODUCTS<br>PARTNER LP MLP                                         | Trade         | 2,000,000               |                        | 09/24/09                       | 12/18/09     | 60,598.43   | 55,540.00              | 5,058.43   |         |                   |
| EV ENERGY PARTNERS LP<br>UNITS REPSTG LTD<br>PARTNER INTS MLP                 | Trade         | 700,000                 |                        | 11/06/09                       | 11/20/09     | 17,814.53   | 17,360.00              | 454.53     |         |                   |
|                                                                               | Trade         | 300,000                 |                        | 11/06/09                       | 12/09/09     | 7,739.79    | 7,440.00               | 299.79     |         |                   |
| FIRST SOLAR INC                                                               | Trade         | 100,000                 |                        | 06/17/09                       | 09/18/09     | 13,259.65   | 16,646.00              | -3,386.35  |         |                   |
|                                                                               | Trade         | 400,000                 |                        | 06/17/09                       | 09/18/09     | 49,358.72   | 68,584.00              | -17,225.28 |         |                   |
|                                                                               | Trade         | 100,000                 |                        | 08/05/09                       | 09/18/09     | 17,499.53   | 15,037.00              | 2,462.53   |         |                   |
|                                                                               | Trade         | 400,000                 |                        | 08/31/09                       | 09/18/09     | 69,998.19   | 48,492.00              | 21,506.19  |         |                   |
|                                                                               | Trade         | 1,000,000               |                        | 12/09/09                       | 12/18/09     | 135,496.51  | 134,600.00             | 896.51     |         |                   |
| FORD MOTOR CO COM NEW                                                         | Trade         | 5,000,000               |                        | 10/30/09                       | 11/20/09     | 35,499.07   | 34,850.00              | 649.07     |         |                   |
| FOREST OIL CORP NEW 2000                                                      | Trade         | 1,500,000               |                        | 06/17/09                       | 08/21/09     | 27,749.27   | 27,180.00              | 569.27     |         |                   |
|                                                                               | Trade         | 1,500,000               |                        | 06/17/09                       | 08/21/09     | 28,499.25   | 27,180.00              | 1,319.25   |         |                   |

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Short-Term Gain/Loss - continued

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

| Security Description                                                     | Activity Type | Quantity/<br>Face Value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| FORTUNE BRANDS INC<br>05.125% 011511 DTD011206<br>FC071508 MW + 15BP NTS | Trade         | 150,000.000             |                        | 08/25/09                       | 11/04/09     | 155,725.50  | 153,370.50             | 2,355.00  |         | Y                 |
| FOSTER WHEELER AG                                                        | Trade         | 1,500.000               |                        | 12/08/09                       | 12/18/09     | 42,898.88   | 42,029.99              | 868.89    |         |                   |
| FPL GROUP INC                                                            | Trade         | 1,000.000               |                        | 08/31/09                       | 09/18/09     | 56,798.53   | 56,130.00              | 668.53    |         |                   |
|                                                                          | Trade         | 1,500.000               |                        | 09/23/09                       | 12/18/09     | 78,072.98   | 80,943.00              | -2,870.02 |         |                   |
|                                                                          | Trade         | 1,000.000               |                        | 10/08/09                       | 12/18/09     | 52,048.64   | 53,009.90              | -961.26   |         |                   |
| FREEPORT-MCMORAN COPPER<br>& GOLD INC                                    | Trade         | 1,200.000               |                        | 06/17/09                       | 08/21/09     | 64,198.34   | 60,901.50              | 3,296.84  |         |                   |
|                                                                          | Trade         | 1,000.000               |                        | 09/25/09                       | 10/16/09     | 66,198.29   | 67,620.00              | -1,421.71 |         |                   |
|                                                                          | Trade         | 1,000.000               |                        | 10/01/09                       | 10/16/09     | 68,598.22   | 65,920.00              | 2,678.22  |         |                   |
| FRONTIER OIL CORP                                                        | Trade         | 3,500.000               |                        | 06/04/09                       | 10/16/09     | 54,787.03   | 56,245.00              | -1,457.97 |         |                   |
|                                                                          | Trade         | 3,000.000               |                        | 09/24/09                       | 10/16/09     | 46,960.31   | 41,054.98              | 5,905.33  |         |                   |
| GAMESTOP CORP NEW<br>(HOLDING CO) CL A                                   | Trade         | 1,500.000               |                        | 06/08/09                       | 08/21/09     | 37,499.03   | 35,274.00              | 2,225.03  |         |                   |
|                                                                          | Trade         | 500.000                 |                        | 06/08/09                       | 09/18/09     | 11,774.69   | 11,758.00              | 16.69     |         |                   |
|                                                                          | Trade         | 1,500.000               |                        | 08/06/09                       | 09/18/09     | 35,324.08   | 36,824.55              | -1,500.47 |         |                   |
|                                                                          | Trade         | 1,000.000               |                        | 08/24/09                       | 09/18/09     | 23,549.38   | 22,700.00              | 849.38    |         |                   |
|                                                                          | Trade         | 1,500.000               |                        | 08/24/09                       | 10/18/09     | 37,649.02   | 34,274.55              | 3,374.47  |         |                   |
|                                                                          | Trade         | 500.000                 |                        | 08/24/09                       | 10/18/09     | 12,549.66   | 11,350.00              | 1,199.66  |         |                   |
|                                                                          | Trade         | 2,000.000               |                        | 09/25/09                       | 10/16/09     | 52,698.63   | 52,020.00              | 678.63    |         |                   |
|                                                                          | Trade         | 2,000.000               |                        | 10/20/09                       | 11/20/09     | 48,098.75   | 52,040.00              | -3,941.25 |         |                   |
|                                                                          | Trade         | 1,000.000               |                        | 10/20/09                       | 11/20/09     | 26,499.30   | 26,020.00              | 479.30    |         |                   |
|                                                                          | Trade         | 2,000.000               |                        | 11/13/09                       | 11/20/09     | 52,998.62   | 47,271.00              | 5,727.62  |         |                   |
|                                                                          | Trade         | 1,500.000               |                        | 12/01/09                       | 12/18/09     | 32,099.17   | 35,861.25              | -3,762.08 |         |                   |
|                                                                          | Trade         | 1,000.000               |                        | 12/04/09                       | 12/18/09     | 21,399.43   | 21,129.20              | 270.23    |         |                   |
| GATX CORP                                                                | Trade         | 100.000                 |                        | 12/01/09                       | 12/01/09     | 2,918.92    | 2,898.00               | 20.92     |         | Y                 |
|                                                                          | Trade         | 2,000.000               |                        | 12/02/09                       | 12/03/09     | 58,338.50   | 57,879.00              | 459.50    |         | Y                 |
| GENL ELECTRIC CO                                                         | Trade         | 2,500.000               |                        | 08/05/09                       | 09/15/09     | 35,424.07   | 34,875.00              | 549.07    |         |                   |
|                                                                          | Trade         | 1,500.000               |                        | 08/05/09                       | 09/18/09     | 21,254.45   | 20,925.00              | 329.45    |         |                   |
|                                                                          | Trade         | 5,000.000               |                        | 10/13/09                       | 10/16/09     | 80,997.91   | 80,800.00              | 397.91    |         |                   |
|                                                                          | Trade         | 5,000.000               |                        | 12/02/09                       | 12/18/09     | 81,097.91   | 80,500.00              | 597.91    |         |                   |

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

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

| Security Description                                                 | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| GOLDCORP INC NEW                                                     | Trade         | 100,000                 |                        | 07/07/09                       | 08/21/09     | 3,519.90    | 3,404.75               | 115.15    |         |                   |
|                                                                      | Trade         | 900,000                 |                        | 07/29/09                       | 08/21/09     | 33,119.14   | 31,913.73              | 1,205.41  |         |                   |
|                                                                      | Trade         | 800,000                 |                        | 08/13/09                       | 09/15/09     | 29,599.23   | 28,886.00              | 713.23    |         |                   |
|                                                                      | Trade         | 200,000                 |                        | 08/13/09                       | 09/18/09     | 7,399.81    | 7,221.50               | 178.31    |         |                   |
|                                                                      | Trade         | 2,000,000               |                        | 10/05/09                       | 10/16/09     | 80,197.93   | 79,040.00              | 1,157.93  |         |                   |
|                                                                      | Trade         | 2,000,000               |                        | 10/20/09                       | 11/20/09     | 84,397.82   | 82,880.00              | 1,517.82  |         |                   |
| GOLDMAN SACHS GROUP INC                                              | Trade         | 800,000                 |                        | 11/13/09                       | 11/23/09     | 137,388.46  | 141,304.00             | -3,915.54 |         | Y                 |
|                                                                      | Trade         | 1,000,000               |                        | 11/27/09                       | 12/18/09     | 167,195.69  | 165,970.00             | 1,225.69  |         |                   |
| GOOGLE INC CL A                                                      | Trade         | 200,000                 |                        | 08/10/09                       | 08/21/09     | 91,657.63   | 91,130.00              | 527.63    |         |                   |
| HALLIBURTON CO<br>(HOLDING COMPANY)                                  | Trade         | 2,000,000               |                        | 11/13/09                       | 11/20/09     | 61,098.42   | 60,400.00              | 698.42    |         |                   |
|                                                                      | Trade         | 2,000,000               |                        | 11/24/09                       | 12/18/09     | 60,278.44   | 60,800.00              | -521.56   |         |                   |
|                                                                      | Trade         | 1,103,000               |                        | 11/25/09                       | 12/18/09     | 33,386.93   | 32,836.31              | 550.62    |         |                   |
|                                                                      | Trade         | 1,000,000               |                        | 11/25/09                       | 12/18/09     | 30,139.21   | 29,868.02              | 271.19    |         |                   |
|                                                                      | Trade         | 897,000                 |                        | 11/25/09                       | 12/18/09     | 27,151.48   | 26,791.62              | 359.86    |         |                   |
| HARTFORD FINCL SERVICES<br>GROUP INC                                 | Trade         | 1,000,000               |                        | 08/05/09                       | 08/28/09     | 16,699.56   | 16,359.30              | 340.26    |         |                   |
|                                                                      | Trade         | 2,000,000               |                        | 08/05/09                       | 09/18/09     | 33,399.13   | 32,718.60              | 680.53    |         |                   |
| HCC INSURANCE HLDGS INC                                              | Trade         | 1,400,000               |                        | 08/07/09                       | 09/18/09     | 37,449.03   | 36,582.00              | 867.03    |         |                   |
|                                                                      | Trade         | 600,000                 |                        | 08/07/09                       | 09/18/09     | 16,049.57   | 15,672.00              | 377.57    |         |                   |
| HEALTH CARE PROP HCP NTS<br>04.875% 091510 DTD091805<br>FC031506 B/E | Trade         | 50,000,000              |                        | 06/17/09                       | 12/10/09     | 50,760.00   | 49,750.00              | 1,010.00  |         | Y                 |
| HERTZ GLOBAL HOLDINGS<br>INC                                         | Trade         | 3,000,000               |                        | 12/03/09                       | 12/18/09     | 32,374.15   | 31,830.00              | 544.15    |         |                   |
| HESS CORP                                                            | Trade         | 1,500,000               |                        | 09/25/09                       | 10/18/09     | 80,697.92   | 79,455.00              | 1,242.92  |         |                   |
|                                                                      | Trade         | 1,500,000               |                        | 11/02/09                       | 11/20/09     | 82,497.87   | 81,225.00              | 1,272.87  |         |                   |
| IBERIABANK CORP                                                      | Trade         | 1,000,000               |                        | 06/05/09                       | 08/21/09     | 45,198.83   | 43,000.00              | 2,198.83  |         |                   |
|                                                                      | Trade         | 1,000,000               |                        | 11/04/09                       | 11/09/09     | 43,238.88   | 42,600.00              | 638.88    |         | Y                 |
| ICICI BANK LTD SPON ADR                                              | Trade         | 2,000,000               |                        | 12/07/09                       | 12/18/09     | 74,198.09   | 73,479.80              | 718.29    |         |                   |



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Short-Term Gain/Loss - continued

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

| Security Description                        | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|---------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| INTERCONTINENTALEXCHANGE<br>INC             | Trade         | 400.000                 |                        | 07/22/09                       | 08/21/09     | 36,919.04   | 36,044.99              | 874.05     |         |                   |
| INTL BUSINESS MACH                          | Trade         | 500.000                 |                        | 08/05/09                       | 08/21/09     | 59,498.46   | 59,134.95              | 363.51     |         |                   |
|                                             | Trade         | 800.000                 |                        | 10/23/09                       | 11/20/09     | 98,477.46   | 96,888.00              | 1,589.46   |         |                   |
| ISHARES TRUST RUSSELL<br>2000 INDEX FUND    | Trade         | 2,000.000               |                        | 11/18/09                       | 11/20/09     | 119,896.90  | 119,735.00             | 161.90     |         |                   |
| ISHARES MSCI EMERGING<br>MARKETS INDEX FUND | Trade         | 1,000.000               |                        | 11/18/09                       | 12/18/09     | 42,098.91   | 41,740.00              | 358.91     |         |                   |
| ITT EDUCATIONAL SERVICES<br>INC             | Trade         | 400.000                 |                        | 07/23/09                       | 09/18/09     | 41,838.91   | 40,575.97              | 1,262.94   |         |                   |
| IVANHOE MINES LTD                           | Trade         | 300.000                 |                        | 06/04/09                       | 08/21/09     | 2,444.92    | 1,596.00               | 848.92     |         |                   |
|                                             | Trade         | 1,700.000               |                        | 06/08/09                       | 08/21/09     | 13,854.63   | 9,367.00               | 4,487.63   |         |                   |
|                                             | Trade         | 1,500.000               |                        | 06/08/09                       | 09/18/09     | 17,174.53   | 8,265.00               | 8,909.53   |         |                   |
|                                             | Trade         | 1,000.000               |                        | 07/29/09                       | 09/18/09     | 11,449.68   | 7,356.00               | 4,093.68   |         |                   |
|                                             | Trade         | 1,000.000               |                        | 07/29/09                       | 10/16/09     | 12,449.67   | 7,356.00               | 5,093.67   |         |                   |
|                                             | Trade         | 2,500.000               |                        | 09/04/09                       | 10/16/09     | 31,124.19   | 28,200.00              | 2,924.19   |         |                   |
|                                             | Trade         | 500.000                 |                        | 10/06/09                       | 10/16/09     | 6,224.83    | 6,490.00               | -265.17    |         |                   |
|                                             | Trade         | 2,000.000               |                        | 10/08/09                       | 11/20/09     | 24,744.80   | 25,960.00              | -1,215.20  |         |                   |
|                                             | Trade         | 2,500.000               |                        | 10/06/09                       | 11/20/09     | 30,499.20   | 32,450.00              | -1,950.80  |         |                   |
|                                             | Trade         | 500.000                 |                        | 10/09/09                       | 11/20/09     | 6,322.05    | 6,134.25               | 187.80     |         |                   |
|                                             | Trade         | 3,500.000               |                        | 10/09/09                       | 11/20/09     | 43,303.42   | 42,939.75              | 363.67     |         |                   |
|                                             | Trade         | 4,000.000               |                        | 10/20/09                       | 11/20/09     | 50,576.46   | 47,639.60              | 2,936.86   |         |                   |
|                                             | Trade         | 1,000.000               |                        | 10/20/09                       | 12/18/09     | 6,508.38    | 11,909.90              | -5,401.52  |         |                   |
|                                             | Trade         | 2,500.000               |                        | 11/13/09                       | 12/18/09     | 16,270.98   | 30,749.75              | -14,478.77 |         |                   |
|                                             | Trade         | 4,000.000               |                        | 11/24/09                       | 12/18/09     | 50,598.69   | 49,839.80              | 758.89     |         |                   |
| JOHNSON & JOHNSON COM                       | Trade         | 1,500.000               |                        | 10/14/09                       | 10/18/09     | 90,897.65   | 90,594.00              | 303.65     |         |                   |
|                                             | Trade         | 1,500.000               |                        | 11/06/09                       | 11/19/09     | 90,987.65   | 89,907.75              | 1,079.90   |         |                   |
| JPMORGAN CHASE & CO                         | Trade         | 2,000.000               |                        | 11/02/09                       | 11/20/09     | 85,197.80   | 83,238.00              | 1,959.80   |         |                   |
|                                             | Trade         | 2,000.000               |                        | 11/13/09                       | 11/20/09     | 86,297.77   | 86,000.00              | 297.77     |         |                   |
|                                             | Trade         | 2,000.000               |                        | 11/27/09                       | 12/18/09     | 84,257.81   | 83,420.00              | 837.81     |         |                   |
|                                             | Trade         | 1,000.000               |                        | 12/02/09                       | 12/18/09     | 42,128.90   | 41,670.00              | 458.90     |         |                   |

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

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

| Security Description                                        | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| KEY BANK NA NTS B/E<br>07.000% 020111 DTD020101<br>FC080101 | Trade         | 100,000.000             |                        | 08/10/09                       | 11/04/09     | 104,020.00  | 102,461.00             | 1,559.00  |         | Y                 |
| KINDER MORGAN ENERGY<br>PARTNERS MLP                        | Trade         | 500.000                 |                        | 07/29/09                       | 09/18/09     | 27,078.13   | 26,189.00              | 889.13    |         |                   |
|                                                             | Trade         | 300.000                 |                        | 08/05/09                       | 09/18/09     | 16,246.87   | 15,786.00              | 460.87    |         |                   |
|                                                             | Trade         | 500.000                 |                        | 08/10/09                       | 09/18/09     | 27,078.13   | 26,329.85              | 748.28    |         |                   |
|                                                             | Trade         | 2,000.000               |                        | 12/02/09                       | 12/18/09     | 115,697.02  | 113,840.00             | 1,857.02  |         |                   |
| KNIGHT CAPITAL GROUP INC<br>CL A                            | Trade         | 2,000.000               |                        | 10/21/09                       | 11/20/09     | 33,099.13   | 36,640.00              | -3,540.87 |         |                   |
|                                                             | Trade         | 1,000.000               |                        | 11/02/09                       | 11/20/09     | 16,549.55   | 16,340.00              | 209.55    |         |                   |
|                                                             | Trade         | 2,000.000               |                        | 11/02/09                       | 12/21/09     | 30,719.21   | 32,680.00              | -1,960.79 |         | Y                 |
|                                                             | Trade         | 3,000.000               |                        | 11/23/09                       | 12/21/09     | 46,078.81   | 45,138.00              | 940.81    |         | Y                 |
| LABORATORY CORP AMER<br>HLDGS NEW                           | Trade         | 1,500.000               |                        | 09/18/09                       | 10/16/09     | 97,872.48   | 95,388.00              | 2,484.48  |         |                   |
| LANDRYS RESTAURANTS INC                                     | Trade         | 4,000.000               |                        | 10/01/09                       | 10/18/09     | 42,323.90   | 40,520.00              | 1,803.90  |         |                   |
| LAS VEGAS SANDS CORP                                        | Trade         | 700.000                 |                        | 10/18/09                       | 11/17/09     | 11,969.69   | 11,557.00              | 412.69    |         |                   |
|                                                             | Trade         | 3,300.000               |                        | 10/16/09                       | 11/20/09     | 50,802.18   | 54,483.00              | -3,680.82 |         |                   |
|                                                             | Trade         | 300.000                 |                        | 10/30/09                       | 11/20/09     | 5,129.88    | 4,568.60               | 561.26    |         |                   |
|                                                             | Trade         | 2,700.000               |                        | 10/30/09                       | 11/20/09     | 41,565.42   | 41,117.40              | 448.02    |         |                   |
|                                                             | Trade         | 3,000.000               |                        | 11/06/09                       | 11/20/09     | 51,298.68   | 45,660.00              | 5,638.68  |         |                   |
|                                                             | Trade         | 3,000.000               |                        | 11/23/09                       | 12/18/09     | 48,828.72   | 47,910.00              | 918.72    |         |                   |
|                                                             | Trade         | 3,000.000               |                        | 12/04/09                       | 12/18/09     | 48,828.72   | 47,896.20              | 932.52    |         |                   |
|                                                             | Trade         | 3,000.000               |                        | 12/07/09                       | 12/18/09     | 48,828.72   | 48,174.00              | 654.72    |         |                   |
| LAZARD GLOBAL TOTAL<br>RETURN & INCOME FUND<br>INC          | Trade         | 1,800.000               |                        | 05/28/09                       | 07/15/09     | 21,689.61   | 21,276.00              | 413.61    |         | Y                 |
|                                                             | Trade         | 11.000                  |                        | Earnings                       | 07/15/09     | 132.55      | 133.95                 | -1.40     |         | Y                 |
|                                                             | Trade         | 10.000                  |                        | Earnings                       | 08/05/09     | 133.19      | 129.94                 | 3.25      |         | Y                 |
| LIBERTY GLOBAL INC CL A                                     | Trade         | 3,500.000               |                        | 06/04/09                       | 10/16/09     | 53,898.60   | 48,472.55              | 5,426.05  |         |                   |
| LIFEPOINT HOSP INC                                          | Trade         | 1,500.000               |                        | 08/07/09                       | 09/18/09     | 38,848.99   | 37,733.00              | 1,115.99  |         |                   |
| LILLY ELI & CO                                              | Trade         | 2,000.000               |                        | 06/04/09                       | 10/16/09     | 68,229.00   | 68,455.00              | -226.00   |         |                   |
|                                                             | Trade         | 1,000.000               |                        | 08/04/09                       | 10/16/09     | 34,114.49   | 34,920.00              | -805.51   |         |                   |

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

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

| Security Description | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| LILLY ELI & CO       |               |                         |                        |                                |              |             |                        |           |         |                   |
| Trade                | Trade         | 2,000.000               |                        | 09/17/09                       | 10/16/09     | 68,229.00   | 65,580.00              | 2,649.00  |         |                   |
| Trade                | Trade         | 1,000.000               |                        | 09/23/09                       | 10/16/09     | 34,114.49   | 32,717.50              | 1,396.99  |         |                   |
| Trade                | Trade         | 1,000.000               |                        | 10/05/09                       | 10/16/09     | 34,249.11   | 32,479.90              | 1,769.21  |         |                   |
| Trade                | Trade         | 500.000                 |                        | 10/05/09                       | 10/16/09     | 17,057.24   | 16,239.95              | 817.29    |         |                   |
| Trade                | Trade         | 2,000.000               |                        | 12/10/09                       | 12/18/09     | 71,098.17   | 70,120.00              | 978.17    |         |                   |
| Trade                | Trade         | 2,000.000               |                        | 11/12/09                       | 12/18/09     | 50,998.87   | 48,760.00              | 2,238.87  |         |                   |
| Trade                | Trade         | 800.000                 |                        | 08/06/09                       | 08/27/09     | 60,238.45   | 59,367.76              | 870.69    |         |                   |
| Trade                | Trade         | 1,000.000               |                        | 09/01/09                       | 09/18/09     | 73,498.11   | 72,600.00              | 898.11    |         |                   |
| Trade                | Trade         | 1,000.000               |                        | 09/15/09                       | 10/16/09     | 73,798.09   | 72,817.00              | 981.09    |         |                   |
| Trade                | Trade         | 1,000.000               |                        | 09/16/09                       | 10/16/09     | 73,798.09   | 72,450.00              | 1,348.09  |         |                   |
| Redemption           | Redemption    | 190,000.000             |                        | 08/04/09                       | 10/01/09     | 190,000.00  | 190,866.40             | -866.40   |         | Y                 |
| Trade                | Trade         | 2,000.000               |                        | 12/09/09                       | 12/18/09     | 62,598.38   | 61,900.00              | 698.38    |         |                   |
| Redemption           | Redemption    | 85,000.000              |                        | 07/24/09                       | 08/01/09     | 85,000.00   | 85,000.00              |           |         | Y                 |
| Trade                | Trade         | 800.000                 |                        | 08/05/09                       | 08/27/09     | 45,158.83   | 44,032.00              | 1,126.83  |         |                   |
| Trade                | Trade         | 200.000                 |                        | 08/05/09                       | 09/18/09     | 11,253.98   | 11,008.00              | 245.98    |         |                   |
| Trade                | Trade         | 500.000                 |                        | 08/12/09                       | 09/18/09     | 28,134.98   | 28,175.00              | -40.02    |         |                   |
| Trade                | Trade         | 200.000                 |                        | 12/03/09                       | 12/14/09     | 12,189.68   | 12,452.00              | -262.32   |         |                   |
| Trade                | Trade         | 1,300.000               |                        | 12/03/09                       | 12/18/09     | 79,232.95   | 80,938.00              | -1,705.05 |         |                   |
| Trade                | Trade         | 500.000                 |                        | 12/04/09                       | 12/18/09     | 30,474.21   | 30,894.25              | -420.04   |         |                   |
| Trade                | Trade         | 500.000                 |                        | 12/04/09                       | 12/18/09     | 31,223.19   | 30,894.25              | 328.94    |         |                   |
| Trade                | Trade         | 2,000.000               |                        | 12/08/09                       | 12/18/09     | 124,892.76  | 121,360.00             | 3,532.76  |         |                   |
| Trade                | Trade         | 1,500.000               |                        | 08/05/09                       | 09/18/09     | 55,398.55   | 54,029.55              | 1,369.00  |         |                   |
| Trade                | Trade         | 2,000.000               |                        | 09/22/09                       | 10/16/09     | 75,298.05   | 74,540.00              | 758.05    |         |                   |
| MCDONALDS CORP       |               |                         |                        |                                |              |             |                        |           |         |                   |
| Trade                | Trade         | 800.000                 |                        | 08/05/09                       | 08/27/09     | 45,158.83   | 44,032.00              | 1,126.83  |         |                   |
| Trade                | Trade         | 200.000                 |                        | 08/05/09                       | 09/18/09     | 11,253.98   | 11,008.00              | 245.98    |         |                   |
| Trade                | Trade         | 500.000                 |                        | 08/12/09                       | 09/18/09     | 28,134.98   | 28,175.00              | -40.02    |         |                   |
| Trade                | Trade         | 200.000                 |                        | 12/03/09                       | 12/14/09     | 12,189.68   | 12,452.00              | -262.32   |         |                   |
| Trade                | Trade         | 1,300.000               |                        | 12/03/09                       | 12/18/09     | 79,232.95   | 80,938.00              | -1,705.05 |         |                   |
| Trade                | Trade         | 500.000                 |                        | 12/04/09                       | 12/18/09     | 30,474.21   | 30,894.25              | -420.04   |         |                   |
| Trade                | Trade         | 500.000                 |                        | 12/04/09                       | 12/18/09     | 31,223.19   | 30,894.25              | 328.94    |         |                   |
| Trade                | Trade         | 2,000.000               |                        | 12/08/09                       | 12/18/09     | 124,892.76  | 121,360.00             | 3,532.76  |         |                   |
| MEDTRONIC INC        |               |                         |                        |                                |              |             |                        |           |         |                   |
| Trade                | Trade         | 1,500.000               |                        | 08/05/09                       | 09/18/09     | 55,398.55   | 54,029.55              | 1,369.00  |         |                   |
| Trade                | Trade         | 2,000.000               |                        | 09/22/09                       | 10/16/09     | 75,298.05   | 74,540.00              | 758.05    |         |                   |

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

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

| Security Description                                                         | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| MERCK & CO ***NAME<br>CHANGE: 11/ 2009**                                     | Trade         | 2,000.000               |                        | 06/05/09                       | 09/01/09     | 55,698.56   | 52,478.60              | 3,219.96  |         |                   |
|                                                                              | Trade         | 1,000.000               |                        | 08/04/09                       | 09/01/09     | 30,499.21   | 29,919.10              | 580.11    |         |                   |
| MERRILL LYNCH & CO INC<br>04.780% 080410 DTD080405<br>FC020408 NTS           | Trade         | 99,000.000              |                        | 08/06/09                       | 11/04/09     | 101,496.78  | 101,245.32             | 251.46    |         | Y                 |
| MERRILL LYNCH & CO INC<br>04.750% 112009 DTD112002<br>FC052003 MTN SER B B/E | Redemption    | 25,000.000              |                        | 08/10/09                       | 11/20/09     | 25,000.00   | 25,225.00              | -225.00   |         | Y                 |
| METLIFE INC                                                                  | Trade         | 1,200.000               |                        | 09/21/09                       | 10/16/09     | 46,918.79   | 46,291.20              | 627.59    |         |                   |
|                                                                              | Trade         | 1,300.000               |                        | 09/21/09                       | 10/16/09     | 50,568.69   | 50,148.80              | 419.89    |         |                   |
|                                                                              | Trade         | 1,500.000               |                        | 10/16/09                       | 11/20/09     | 51,748.68   | 55,545.00              | -3,796.34 |         |                   |
|                                                                              | Trade         | 1,000.000               |                        | 10/16/09                       | 12/18/09     | 36,149.06   | 36,929.90              | -780.84   |         |                   |
|                                                                              | Trade         | 500.000                 |                        | 10/16/09                       | 12/18/09     | 18,074.52   | 18,515.00              | -440.48   |         |                   |
|                                                                              | Trade         | 1,500.000               |                        | 11/13/09                       | 12/18/09     | 54,223.59   | 51,178.85              | 3,043.74  |         |                   |
|                                                                              | Trade         | 500.000                 |                        | 11/23/09                       | 12/18/09     | 18,074.52   | 17,217.50              | 857.02    |         |                   |
| MICROSOFT CORP                                                               | Trade         | 2,000.000               |                        | 08/10/09                       | 08/21/09     | 48,238.75   | 46,899.80              | 1,338.95  |         |                   |
|                                                                              | Trade         | 400.000                 |                        | 08/10/09                       | 09/18/09     | 9,603.75    | 9,379.98               | 223.79    |         |                   |
|                                                                              | Trade         | 600.000                 |                        | 08/10/09                       | 09/18/09     | 14,405.62   | 14,069.94              | 335.68    |         |                   |
| MILLIPORE CORP                                                               | Trade         | 1,000.000               |                        | 08/31/09                       | 09/18/09     | 67,098.26   | 66,139.00              | 959.26    |         |                   |
| MONSANTO CO NEW                                                              | Trade         | 300.000                 |                        | 06/04/09                       | 07/17/09     | 24,899.35   | 24,574.50              | 324.85    |         |                   |
|                                                                              | Trade         | 300.000                 |                        | 06/04/09                       | 07/17/09     | 25,259.34   | 24,574.50              | 684.84    |         |                   |
|                                                                              | Trade         | 1,000.000               |                        | 09/24/09                       | 10/16/09     | 77,098.01   | 76,620.00              | 478.01    |         |                   |
|                                                                              | Trade         | 1,500.000               |                        | 10/29/09                       | 11/20/09     | 104,697.30  | 103,589.85             | 1,107.45  |         |                   |
| MORGAN STANLEY                                                               | Trade         | 1,000.000               |                        | 06/17/09                       | 08/21/09     | 27,899.27   | 27,210.00              | 689.27    |         |                   |
|                                                                              | Trade         | 1,000.000               |                        | 06/17/09                       | 10/16/09     | 29,399.24   | 27,210.00              | 2,189.24  |         |                   |
|                                                                              | Trade         | 1,000.000               |                        | 07/29/09                       | 10/16/09     | 29,399.24   | 26,739.10              | 2,660.14  |         |                   |
|                                                                              | Trade         | 2,000.000               |                        | 09/25/09                       | 10/16/09     | 60,509.54   | 60,859.98              | -350.44   |         |                   |
|                                                                              | Trade         | 2,500.000               |                        | 10/05/09                       | 10/16/09     | 75,838.92   | 74,050.00              | 1,588.92  |         |                   |
|                                                                              | Trade         | 2,500.000               |                        | 11/04/09                       | 11/20/09     | 80,997.91   | 80,100.00              | 897.91    |         |                   |
|                                                                              | Trade         | 4,000.000               |                        | 12/02/09                       | 12/18/09     | 123,996.81  | 123,079.60             | 917.21    |         |                   |



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

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

| Security Description                                     | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| MOSAIC CO                                                | Trade         | 1,000,000               |                        | 06/17/09                       | 09/18/09     | 48,298.75   | 46,379.90              | 1,918.85  |         |                   |
| MURPHY OIL CORP                                          | Trade         | 1,000,000               |                        | 09/21/09                       | 10/16/09     | 60,498.43   | 59,806.74              | 691.69    |         |                   |
|                                                          | Trade         | 1,500,000               |                        | 11/05/09                       | 11/09/09     | 91,947.62   | 91,635.00              | 312.62    |         |                   |
| NATL-OILWELLVARCO INC                                    | Trade         | 1,500,000               |                        | 06/17/09                       | 08/21/09     | 53,698.61   | 52,185.00              | 1,513.61  |         |                   |
| NEW YORK CMNTY BANCORP                                   | Trade         | 3,300,000               |                        | 06/04/09                       | 11/03/09     | 36,959.04   | 35,211.00              | 1,748.04  |         |                   |
| NFJ DIVIDEND INTEREST &<br>PREMIUM STRATEGY FUND         | Trade         | 3,000,000               |                        | 05/28/09                       | 07/01/09     | 35,789.08   | 34,020.00              | 1,769.08  |         | Y                 |
|                                                          | Trade         | 38,000                  |                        | Earnings                       | 07/14/09     | 446.86      | 449.85                 | -2.99     |         | Y                 |
| NII HOLDINGS INC CL B                                    | Trade         | 2,000,000               |                        | 08/10/09                       | 11/20/09     | 56,798.53   | 49,360.00              | 7,438.53  |         |                   |
|                                                          | Trade         | 2,000,000               |                        | 10/29/09                       | 12/18/09     | 53,798.60   | 56,000.00              | -2,201.40 |         |                   |
|                                                          | Trade         | 2,000,000               |                        | 12/10/09                       | 12/18/09     | 63,098.37   | 62,659.93              | 438.44    |         |                   |
| NISOURCE FINANCE<br>07.875% 111510 DTD111400<br>FC051501 | Trade         | 100,000,000             |                        | 08/06/09                       | 11/05/09     | 105,363.45  | 105,000.00             | 363.45    |         | Y                 |
| NTHN TRUST CORP                                          | Trade         | 1,000,000               |                        | 10/21/09                       | 12/07/09     | 49,298.72   | 54,518.99              | -5,220.27 |         |                   |
|                                                          | Trade         | 500,000                 |                        | 10/21/09                       | 12/18/09     | 25,374.34   | 27,259.49              | -1,885.15 |         |                   |
|                                                          | Trade         | 400,000                 |                        | 11/03/09                       | 12/18/09     | 20,299.46   | 19,968.00              | 331.46    |         |                   |
| NUCOR CORP                                               | Trade         | 2,000,000               |                        | 12/10/09                       | 12/18/09     | 85,397.80   | 84,960.00              | 437.80    |         |                   |
| NUVEEN EQUITY PREM<br>INCOME FUND                        | Trade         | 100,000                 |                        | 05/28/09                       | 07/14/09     | 1,093.02    | 1,022.00               | 71.02     |         | Y                 |
|                                                          | Trade         | 2,000                   |                        | Earnings                       | 07/14/09     | 21.86       | 21.41                  | .45       |         | Y                 |
| NUVEEN EQUITY PREM<br>OPPORTUNITY FUND                   | Trade         | 3,000,000               |                        | 05/28/09                       | 07/23/09     | 35,789.08   | 31,559.89              | 4,229.19  |         | Y                 |
|                                                          | Trade         | 91,000                  |                        | Earnings                       | 07/23/09     | 1,085.60    | 1,004.99               | 80.61     |         | Y                 |
| NYSE EURONEXT                                            | Trade         | 2,000,000               |                        | 12/02/09                       | 12/10/09     | 50,478.69   | 50,198.00              | 280.69    |         |                   |
| OLD REPUBLIC INTL CORP                                   | Trade         | 3,000,000               |                        | 11/30/09                       | 12/01/09     | 31,499.18   | 31,368.00              | 131.18    |         |                   |
| OLYMPIC STEEL INC                                        | Trade         | 1,000,000               |                        | 08/11/09                       | 10/16/09     | 28,699.26   | 27,300.00              | 1,399.26  |         |                   |
|                                                          | Trade         | 1,000,000               |                        | 08/11/09                       | 10/16/09     | 28,699.26   | 27,250.00              | 1,449.26  |         |                   |

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

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

| Security Description                                                 | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| OLYMPIC STEEL INC                                                    | Trade         | 1,000.000               |                        | 10/01/09                       | 10/16/09     | 28,099.27   | 27,800.00              | 299.27    |         |                   |
| PACIFIC ENERGY PART/FINA<br>07.125% 061514 DTD102904<br>FC121504 NTS | Redemption    | 73,000.000              |                        | 08/10/09                       | 10/05/09     | 75,600.99   | 75,813.42              | -212.43   |         | Y                 |
| PAN AMER SILVER CORP                                                 | Trade         | 3,000.000               |                        | 11/05/09                       | 11/20/09     | 68,098.24   | 67,278.00              | 820.24    |         |                   |
|                                                                      | Trade         | 2,000.000               |                        | 12/08/09                       | 12/18/09     | 50,398.69   | 49,994.00              | 404.69    |         |                   |
| PEABODY ENERGY CORP                                                  | Trade         | 1,500.000               |                        | 06/17/09                       | 09/18/09     | 49,048.73   | 45,450.00              | 3,598.73  |         |                   |
| PENN NATL GAMING INC                                                 | Trade         | 1,500.000               |                        | 09/21/09                       | 10/16/09     | 37,498.04   | 41,055.00              | -3,555.96 |         | Y                 |
|                                                                      | Trade         | 2,000.000               |                        | 10/08/09                       | 10/16/09     | 49,998.71   | 53,400.00              | -3,401.29 |         | Y                 |
| PFIZER INC                                                           | Trade         | 1,500.000               |                        | 06/04/09                       | 08/21/09     | 23,804.38   | 22,048.95              | 1,755.43  |         |                   |
|                                                                      | Trade         | 2,000.000               |                        | 06/04/09                       | 09/18/09     | 30,839.20   | 29,398.60              | 1,440.60  |         |                   |
|                                                                      | Trade         | 1,500.000               |                        | 08/03/09                       | 09/18/09     | 23,129.39   | 23,835.00              | -705.61   |         |                   |
|                                                                      | Trade         | 500.000                 |                        | 08/03/09                       | 09/18/09     | 8,054.79    | 7,945.00               | 109.79    |         |                   |
|                                                                      | Trade         | 1,500.000               |                        | 08/05/09                       | 09/18/09     | 24,164.37   | 23,583.65              | 600.72    |         |                   |
|                                                                      | Trade         | 980.000                 |                        | 10/16/09                       | 10/16/09     | 16,187.22   | 17,306.80              | -1,119.58 |         |                   |
|                                                                      | Trade         | 980.000                 |                        | 09/25/09                       | 10/16/09     | 13,214.55   | 16,091.60              | -2,877.05 |         |                   |
|                                                                      | Trade         | 2,020.000               |                        | 09/25/09                       | 10/16/09     | 33,365.49   | 33,188.40              | 197.09    |         |                   |
|                                                                      | Trade         | 3,000.000               |                        | 10/01/09                       | 10/16/09     | 49,552.71   | 49,110.00              | 442.71    |         |                   |
|                                                                      | Trade         | 4,000.000               |                        | 10/05/09                       | 10/16/09     | 66,070.28   | 64,436.00              | 1,634.28  |         |                   |
|                                                                      | Trade         | 5.000                   |                        | 10/16/09                       | 11/20/09     | 84.84       | 88.30                  | -3.36     |         |                   |
|                                                                      | Trade         | 2,995.000               |                        | 10/23/09                       | 11/20/09     | 50,883.72   | 51,903.05              | -1,019.33 |         |                   |
|                                                                      | Trade         | 2,005.000               |                        | 11/08/09                       | 11/20/09     | 35,287.07   | 34,746.45              | 540.62    |         |                   |
|                                                                      | Trade         | 2,995.000               |                        | 11/08/09                       | 11/20/09     | 52,710.63   | 50,585.55              | 2,125.08  |         |                   |
|                                                                      | Trade         | 5.000                   |                        | 11/06/09                       | 11/23/09     | 94.24       | 84.45                  | 9.79      |         | Y                 |
|                                                                      | Trade         | 5,000.000               |                        | 12/07/09                       | 12/18/09     | 91,697.63   | 91,250.00              | 447.63    |         |                   |
| PITNEY BOWES INC                                                     | Trade         | 1,400.000               |                        | 06/05/09                       | 08/11/09     | 29,398.25   | 31,105.90              | -1,708.65 |         |                   |
|                                                                      | Trade         | 100.000                 |                        | 06/05/09                       | 09/18/09     | 2,099.93    | 2,221.85               | -121.92   |         |                   |
|                                                                      | Trade         | 100.000                 |                        | 06/05/09                       | 10/08/09     | 2,394.93    | 2,221.85               | 173.08    |         |                   |
|                                                                      | Trade         | 400.000                 |                        | 06/05/09                       | 10/16/09     | 9,579.75    | 8,887.40               | 692.35    |         |                   |
|                                                                      | Trade         | 1,500.000               |                        | 06/03/09                       | 10/16/09     | 35,924.06   | 30,762.75              | 5,161.31  |         |                   |
|                                                                      | Trade         | 4,000.000               |                        | 12/02/09                       | 12/18/09     | 92,626.18   | 92,394.00              | 232.18    |         |                   |
|                                                                      | Trade         | 3,000.000               |                        | 12/09/09                       | 12/18/09     | 69,469.62   | 67,769.97              | 1,699.65  |         |                   |



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### Short-Term Gain/Loss - continued

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

| Security Description                                                | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| PLAINS ALL AMER PIPELINE<br>LP UNIT LTD PARTNERSHIP<br>INT MLP      | Trade         | 2,000,000               |                        | 09/16/09                       | 12/18/09     | 102,197.37  | 95,416.22              | 6,781.15  |         |                   |
|                                                                     | Trade         | 500,000                 |                        | 11/02/09                       | 12/18/09     | 25,549.34   | 23,550.00              | 1,999.34  |         |                   |
|                                                                     | Trade         | 1,500,000               |                        | 11/19/09                       | 12/18/09     | 76,648.02   | 74,670.00              | 1,978.02  |         |                   |
| PRINCIPAL LIFE NTS<br>05.200% 111510 DTD111005<br>FC051506          | Trade         | 100,000,000             |                        | 08/04/09                       | 12/10/09     | 103,040.00  | 103,350.00             | -310.00   |         | Y                 |
| PROCTER & GAMBLE CO                                                 | Trade         | 1,500,000               |                        | 09/03/09                       | 09/18/09     | 80,022.93   | 78,838.65              | 1,184.28  |         |                   |
| PROSHARES TRUST<br>PROSHARES ULTRASHORT<br>REAL ESTATE              | Trade         | 2,000,000               |                        | 06/04/09                       | 06/19/09     | 38,299.01   | 34,658.60              | 3,640.41  |         |                   |
| QUESTAR CORP                                                        | Trade         | 500,000                 |                        | 06/05/09                       | 09/18/09     | 18,074.53   | 16,175.00              | 1,899.53  |         |                   |
|                                                                     | Trade         | 1,000,000               |                        | 06/05/09                       | 10/16/09     | 34,899.09   | 32,350.00              | 2,549.09  |         |                   |
|                                                                     | Trade         | 500,000                 |                        | 08/10/09                       | 10/16/09     | 17,449.54   | 16,840.00              | 609.54    |         |                   |
| REYNOLDS AMERN INC<br>(HOLDING CO)                                  | Trade         | 1,500,000               |                        | 11/20/09                       | 12/07/09     | 76,798.02   | 75,885.00              | 913.02    |         |                   |
| SAFEWAY INC M-W + 25 BP<br>07.500% 091509 DTD091399<br>FC031500 NTS | Redemption    | 147,000,000             |                        | 08/06/09                       | 09/15/09     | 147,000.00  | 147,923.16             | -923.16   |         | Y                 |
| SANOI-AVENTIS SA SPON<br>ADR                                        | Trade         | 1,500,000               |                        | 08/10/09                       | 09/18/09     | 50,773.68   | 48,959.85              | 1,813.83  |         |                   |
| SCHLUMBERGER LTD<br>NETHERLANDS ANTILLES                            | Trade         | 1,000,000               |                        | 08/05/09                       | 09/18/09     | 55,598.56   | 54,279.15              | 1,319.41  |         |                   |
| SIMON PPTY GROUP INC SBI                                            | Trade         | 1,200,000               |                        | 10/21/09                       | 11/11/09     | 84,237.82   | 83,544.00              | 693.82    |         |                   |
|                                                                     | Trade         | 800,000                 |                        | 11/08/09                       | 11/11/09     | 55,358.57   | 54,640.00              | 718.57    |         |                   |
|                                                                     | Trade         | 1,000,000               |                        | 11/24/09                       | 12/18/09     | 73,298.10   | 72,327.50              | 970.60    |         |                   |
| SMUCKER J M CO NEW                                                  | Trade         | 2,000,000               |                        | 11/03/09                       | 11/09/09     | 104,597.30  | 103,180.00             | 1,417.30  |         |                   |
| SOUTHERN CO                                                         | Trade         | 2,500,000               |                        | 06/04/09                       | 07/29/09     | 72,998.11   | 71,774.81              | 1,223.30  |         |                   |

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

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

| Security Description                                 | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| SOUTHERN CO                                          | Trade         | 2,000,000               |                        | 08/10/09                       | 10/28/09     | 84,098.34   | 62,120.00              | 1,978.34  |         |                   |
| SPDR GOLD TRUST                                      | Trade         | 1,000,000               |                        | 11/18/09                       | 11/20/09     | 112,877.09  | 112,440.00             | 437.09    |         |                   |
| SPRINT NEXTEL CORP                                   | Trade         | 5,000,000               |                        | 08/12/09                       | 09/18/09     | 20,749.47   | 18,500.00              | 2,249.47  |         |                   |
| SERIES 1 COMMON STOCK                                | Trade         | 5,000,000               |                        | 08/12/09                       | 09/18/09     | 20,749.47   | 18,749.50              | 1,999.97  |         |                   |
|                                                      | Trade         | 10,000,000              |                        | 09/24/09                       | 11/20/09     | 31,507.17   | 39,800.00              | -8,292.83 |         |                   |
|                                                      | Trade         | 10,000,000              |                        | 11/03/09                       | 11/20/09     | 31,507.17   | 29,100.00              | 2,407.17  |         |                   |
|                                                      | Trade         | 5,000,000               |                        | 11/13/09                       | 11/20/09     | 15,753.58   | 15,642.50              | 111.08    |         |                   |
| STATE STREET CORP                                    | Trade         | 1,000,000               |                        | 10/21/09                       | 11/20/09     | 42,198.91   | 48,550.00              | -4,351.09 |         |                   |
|                                                      | Trade         | 500,000                 |                        | 10/21/09                       | 12/18/09     | 21,349.45   | 23,275.00              | -1,925.55 |         |                   |
|                                                      | Trade         | 500,000                 |                        | 11/06/09                       | 12/18/09     | 21,349.45   | 20,830.00              | 519.45    |         |                   |
| STEEL DYNAMICS INC                                   | Trade         | 2,000,000               |                        | 08/12/09                       | 09/18/09     | 33,299.14   | 32,458.60              | 840.54    |         |                   |
| STERICYCLE INC                                       | Trade         | 1,200,000               |                        | 06/05/09                       | 08/21/09     | 63,838.35   | 60,174.74              | 3,663.61  |         |                   |
|                                                      | Trade         | 500,000                 |                        | 08/03/09                       | 10/16/09     | 25,124.35   | 25,445.00              | -320.65   |         |                   |
|                                                      | Trade         | 500,000                 |                        | 08/05/09                       | 10/16/09     | 25,124.35   | 25,630.00              | -505.65   |         |                   |
|                                                      | Trade         | 500,000                 |                        | 08/31/09                       | 10/16/09     | 25,124.35   | 24,725.00              | 399.35    |         |                   |
|                                                      | Trade         | 500,000                 |                        | 09/24/09                       | 10/16/09     | 25,124.35   | 23,454.25              | 1,670.10  |         |                   |
| STHN UNION COS NEW                                   | Trade         | 3,000,000               |                        | 08/11/09                       | 12/18/09     | 57,898.51   | 55,200.00              | 2,698.51  |         |                   |
| STRYKER CORP                                         | Trade         | 1,000,000               |                        | 08/11/09                       | 09/18/09     | 42,048.91   | 41,050.00              | 998.91    |         |                   |
| SUNCOR ENERGY INC NEW                                | Trade         | 2,000,000               |                        | 11/02/09                       | 11/20/09     | 66,198.29   | 64,877.00              | 1,321.29  |         |                   |
| TARGET CORP                                          | Trade         | 1,200,000               |                        | 08/05/09                       | 09/15/09     | 51,058.67   | 50,268.00              | 790.67    |         |                   |
|                                                      | Trade         | 800,000                 |                        | 08/12/09                       | 09/18/09     | 34,559.09   | 33,978.00              | 583.09    |         |                   |
|                                                      | Trade         | 3,000,000               |                        | 12/09/09                       | 12/18/09     | 136,570.47  | 135,960.00             | 610.47    |         |                   |
| TELECOM ITALIA                                       | Trade         | 184,000,000             |                        | 07/24/09                       | 12/16/09     | 184,345.92  | 185,453.60             | -1,107.68 |         | Y                 |
| 04.000% 011510 DTD071505<br>FC011506 CALL@M/W + 20BP |               |                         |                        |                                |              |             |                        |           |         |                   |
| TEXTRON INC                                          | Trade         | 2,000,000               |                        | 09/25/09                       | 10/16/09     | 31,999.17   | 35,958.00              | -3,958.83 |         | Y                 |

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

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

| Security Description                                             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| THE DIRECTV GROUP CL A                                           | Trade         | 3,000,000               |                        | 10/12/09                       | 11/20/09     | 83,997.83   | 80,969.93              | 3,027.90  |         |                   |
|                                                                  | Trade         | 1,000,000               |                        | 10/13/09                       | 11/20/09     | 27,999.28   | 26,630.00              | 1,369.28  |         |                   |
| TIDEWATER INC                                                    | Trade         | 1,000,000               |                        | 07/31/09                       | 09/18/09     | 47,248.78   | 44,950.00              | 2,298.78  |         |                   |
| TJX COS INC NEW                                                  | Trade         | 2,000,000               |                        | 10/28/09                       | 11/20/09     | 76,798.02   | 75,840.00              | 958.02    |         |                   |
| TRANSOCEAN LTD                                                   | Trade         | 500,000                 |                        | 08/07/09                       | 09/18/09     | 38,332.33   | 38,000.00              | 332.33    |         |                   |
|                                                                  | Trade         | 500,000                 |                        | 08/12/09                       | 09/18/09     | 38,332.33   | 37,685.00              | 647.33    |         |                   |
|                                                                  | Trade         | 500,000                 |                        | 09/02/09                       | 09/18/09     | 38,332.33   | 37,280.00              | 1,052.33  |         |                   |
| TYCO ELECTRONICS LTD                                             | Trade         | 1,500,000               |                        | 08/13/09                       | 10/16/09     | 33,749.13   | 34,709.85              | -960.72   |         | Y                 |
|                                                                  | Trade         | 1,500,000               |                        | 09/24/09                       | 10/16/09     | 33,749.13   | 34,619.85              | -870.72   |         | Y                 |
| UNITED PARCEL SERVICE<br>INC CL B                                | Trade         | 100,000                 |                        | 08/05/09                       | 09/11/09     | 5,399.86    | 5,368.00               | 31.86     |         |                   |
|                                                                  | Trade         | 900,000                 |                        | 08/05/09                       | 09/18/09     | 48,855.86   | 48,312.00              | 543.86    |         |                   |
|                                                                  | Trade         | 500,000                 |                        | 08/06/09                       | 09/18/09     | 27,142.15   | 26,600.00              | 542.15    |         |                   |
| UNITEDHEALTH GROUP INC                                           | Trade         | 2,000,000               |                        | 08/07/09                       | 09/18/09     | 54,198.60   | 53,052.00              | 1,146.60  |         |                   |
|                                                                  | Trade         | 4,000,000               |                        | 10/05/09                       | 10/16/09     | 89,997.68   | 96,394.00              | -6,396.32 |         | Y                 |
|                                                                  | Trade         | 1,000,000               |                        | 10/06/09                       | 10/16/09     | 22,499.42   | 24,369.90              | -1,870.48 |         | Y                 |
|                                                                  | Trade         | 1,000,000               |                        | 10/08/09                       | 10/16/09     | 23,999.38   | 23,627.50              | 371.88    |         | Y                 |
|                                                                  | Trade         | 3,000,000               |                        | 12/03/09                       | 12/18/09     | 84,147.82   | 83,400.00              | 747.82    |         |                   |
| UNITRIN INC MW+ 20BP NTS<br>04.875% 110110 DTD103003<br>FC050104 | Trade         | 300,000,000             |                        | 07/24/09                       | 12/09/09     | 302,790.00  | 295,500.00             | 7,290.00  |         | Y                 |
| URBAN OUTFITTERS INC                                             | Trade         | 1,500,000               |                        | 08/05/09                       | 09/18/09     | 37,949.02   | 36,840.00              | 1,109.02  |         |                   |
| US BANCORP DEL (NEW)                                             | Trade         | 3,000,000               |                        | 12/28/09                       | 12/28/09     | 67,708.25   | 67,650.00              | 58.25     |         | Y                 |
| VALERO ENERGY CORP NEW                                           | Trade         | 3,000,000               |                        | 12/02/09                       | 12/18/09     | 48,628.74   | 48,239.72              | 389.02    |         |                   |
| VALMONT INDUSTRIES INC                                           | Trade         | 400,000                 |                        | 07/22/09                       | 08/21/09     | 29,719.23   | 30,060.00              | -340.77   |         |                   |
|                                                                  | Trade         | 400,000                 |                        | 08/04/09                       | 09/18/09     | 31,279.19   | 29,220.00              | 2,059.19  |         |                   |
| VANGUARD ENERGY ETF                                              | Trade         | 1,000,000               |                        | 12/07/09                       | 12/18/09     | 83,097.86   | 82,426.50              | 671.36    |         |                   |

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

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

| Security Description                      | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| VERIZON COMMUNICATIONS<br>INC             | Trade         | 2,500,000               |                        | 10/07/09                       | 11/20/09     | 73,998.08   | 73,297.50              | 700.58    |         |                   |
|                                           | Trade         | 1,500,000               |                        | 10/14/09                       | 11/20/09     | 44,398.84   | 43,575.00              | 823.84    |         |                   |
| VODAFONE GROUP PLC NEW<br>SPON ADR        | Trade         | 2,000,000               |                        | 10/06/09                       | 11/17/09     | 46,114.74   | 44,740.00              | 1,374.74  |         |                   |
|                                           | Trade         | 2,000,000               |                        | 10/23/09                       | 11/17/09     | 46,114.74   | 44,837.40              | 1,277.34  |         |                   |
|                                           | Trade         | 2,900,000               |                        | 11/06/09                       | 11/17/09     | 66,866.38   | 65,307.71              | 1,558.67  |         |                   |
|                                           | Trade         | 100,000                 |                        | 11/08/09                       | 11/23/09     | 2,272.95    | 2,251.99               | 20.96     |         | Y                 |
| WAL MART STORES INC                       | Trade         | 1,500,000               |                        | 09/17/09                       | 09/18/09     | 75,388.04   | 74,969.11              | 418.93    |         |                   |
|                                           | Trade         | 500,000                 |                        | 09/17/09                       | 10/16/09     | 25,423.09   | 24,989.70              | 433.39    |         |                   |
|                                           | Trade         | 1,500,000               |                        | 09/25/09                       | 10/16/09     | 76,269.27   | 74,670.00              | 1,599.27  |         |                   |
| WALT DISNEY CO (HOLDING<br>CO) DISNEY COM | Trade         | 2,000,000               |                        | 12/09/09                       | 12/18/09     | 61,998.39   | 61,515.00              | 483.39    |         |                   |
| WASTE MGMT INC NEW                        | Trade         | 1,000,000               |                        | 08/04/09                       | 09/02/09     | 28,849.25   | 28,578.50              | 270.75    |         |                   |
|                                           | Trade         | 1,000,000               |                        | 08/04/09                       | 10/16/09     | 30,049.22   | 28,578.50              | 1,470.72  |         |                   |
|                                           | Trade         | 1,000,000               |                        | 08/04/09                       | 10/16/09     | 30,049.22   | 28,330.00              | 1,719.22  |         |                   |
| WATERS CORP                               | Trade         | 1,000,000               |                        | 08/31/09                       | 09/18/09     | 51,398.67   | 50,320.00              | 1,078.67  |         |                   |
| WEATHERFORD INTL LTD                      | Trade         | 3,000,000               |                        | 11/02/09                       | 11/20/09     | 53,098.62   | 52,019.70              | 1,078.92  |         |                   |
| WELLS FARGO & CO NEW                      | Trade         | 2,000,000               |                        | 06/05/09                       | 07/17/09     | 52,198.85   | 50,884.04              | 1,514.81  |         |                   |
|                                           | Trade         | 3,000,000               |                        | 11/04/09                       | 11/20/09     | 83,457.85   | 82,499.70              | 958.15    |         |                   |
|                                           | Trade         | 2,000,000               |                        | 11/12/09                       | 11/20/09     | 55,778.56   | 56,660.00              | -881.44   |         |                   |
|                                           | Trade         | 2,000,000               |                        | 11/13/09                       | 11/20/09     | 57,098.53   | 55,519.80              | 1,578.73  |         |                   |
|                                           | Trade         | 1,000,000               |                        | 11/24/09                       | 12/18/09     | 26,959.30   | 27,670.00              | -710.70   |         |                   |
|                                           | Trade         | 2,000,000               |                        | 11/24/09                       | 12/18/09     | 50,998.88   | 55,340.00              | -4,341.32 |         |                   |
|                                           | Trade         | 2,000,000               |                        | 12/07/09                       | 12/18/09     | 53,918.59   | 53,500.00              | 418.59    |         |                   |
|                                           | Trade         | 1,000,000               |                        | 12/07/09                       | 12/18/09     | 28,099.26   | 26,750.00              | 1,349.26  |         |                   |
|                                           | Trade         | 2,000,000               |                        | 12/10/09                       | 12/18/09     | 58,198.54   | 50,600.00              | 5,598.54  |         |                   |
| WEYERHAEUSER CO                           | Trade         | 200,000                 |                        | 09/21/09                       | 10/16/09     | 7,435.80    | 7,689.80               | -254.00   |         |                   |
|                                           | Trade         | 1,800,000               |                        | 09/24/09                       | 10/16/09     | 68,922.26   | 65,736.00              | 1,186.26  |         |                   |



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### Short-Term Gain/Loss - continued

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

| Security Description                                        | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount   | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|-------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|---------------|------------------------|------------|---------|-------------------|
| WILLIS GROUP N AMER<br>05.125% 071510 DTD070105<br>FC011508 | Tender        | 290,000.000             |                        | 07/24/09                       | 09/30/09     | 297,975.00    | 291,450.00             | 6,525.00   |         | Y                 |
| WSTN DIGITAL CORP                                           | Trade         | 2,000.000               |                        | 10/21/09                       | 11/20/09     | 72,998.12     | 72,020.00              | 978.12     |         |                   |
| WYETH ***MERGER EFF:<br>10/09***                            | Exchange      | 1,000.000               |                        | 06/04/09                       | 10/16/09     | 50,395.10     | 44,399.90              | 5,995.20   |         | Y                 |
| Total Short-Term Gain/Loss                                  |               |                         |                        |                                |              | 22,917,435.45 | 22,451,613.42          | 465,822.03 |         |                   |



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## 2009 Realized Gain/Loss Summary

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

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

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

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

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

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

|                       | Purchase     | Sale         | Gains       | Losses       | Net         |
|-----------------------|--------------|--------------|-------------|--------------|-------------|
| Short-term Gain/Loss: | \$ 23,857.85 | \$ 27,342.39 | \$ 4,607.04 | \$ -1,122.50 | \$ 3,484.54 |
| Sub Total:            | \$ 23,857.85 | \$ 27,342.39 | \$ 4,607.04 | \$ -1,122.50 | \$ 3,484.54 |
| Total:                | \$ 23,857.85 | \$ 27,342.39 | \$ 4,607.04 | \$ -1,122.50 | \$ 3,484.54 |

## Short-Term Gain/Loss

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

| Security Description            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | 1099-B |
|---------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|--------|
| ALCATEL-LUCENT SPON ADR         | Trade         | 155,000                 |                        | 05/29/09                       | 08/26/09     | 583.73      | 392.13                 | 191.60    |         | Y      |
|                                 | Trade         | 209,000                 |                        | 05/29/09                       | 08/27/09     | 783.78      | 528.75                 | 255.03    |         | Y      |
| AREVA SA ADR                    | Trade         | 235,000                 |                        | 06/03/09                       | 06/26/09     | 1,335.09    | 1,494.60               | -159.51   |         | Y      |
|                                 | Trade         | 15,000                  |                        | 08/03/09                       | 08/29/09     | 84.79       | 95.40                  | -10.61    |         | Y      |
| BARRICK GOLD CORP               | Trade         | 12,000                  |                        | 05/29/09                       | 10/20/09     | 454.73      | 455.88                 | -1.15     |         | Y      |
|                                 | Trade         | 19,000                  |                        | 05/29/09                       | 11/19/09     | 831.51      | 721.80                 | 109.71    |         | Y      |
| BP PLC SPON ADR                 | Trade         | 20,000                  |                        | 05/29/09                       | 10/27/09     | 1,159.62    | 985.79                 | 173.83    |         | Y      |
| FUJII FILM HOLDINGS CORP<br>ADR | Trade         | 12,000                  |                        | 05/29/09                       | 07/21/09     | 363.56      | 345.97                 | 17.59     |         | Y      |

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

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

| Security Description                        | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| IVANHOE MINES LTD                           | Trade         | 95,000                  |                        | 05/29/09                       | 08/17/09     | 826.04      | 523.30                 | 302.74    |         | Y                 |
|                                             | Trade         | 48,000                  |                        | 05/29/09                       | 09/17/09     | 595.78      | 264.40                 | 331.38    |         | Y                 |
|                                             | Trade         | 5,000                   |                        | 05/29/09                       | 11/09/09     | 63.97       | 27.54                  | 36.43     |         | Y                 |
|                                             | Trade         | 25,000                  |                        | 05/29/09                       | 11/16/09     | 319.15      | 137.71                 | 181.44    |         | Y                 |
| MAGNA INTL INC CL A SUB                     | Trade         | 26,000                  |                        | 05/29/09                       | 06/11/09     | 1,024.18    | 842.08                 | 182.12    |         | Y                 |
| VTG CANADA ORD                              | Trade         | 10,000                  |                        | 05/29/09                       | 08/08/09     | 491.98      | 323.87                 | 168.11    |         | Y                 |
|                                             | Trade         | 25,000                  |                        | 05/29/09                       | 08/07/09     | 1,229.50    | 809.68                 | 419.82    |         | Y                 |
|                                             | Trade         | 12,000                  |                        | 05/29/09                       | 08/10/09     | 587.72      | 388.64                 | 199.08    |         | Y                 |
|                                             | Trade         | 16,000                  |                        | 05/29/09                       | 11/06/09     | 806.00      | 518.19                 | 287.81    |         | Y                 |
| NEWMONT MINING CORP<br>(HOLDING CO )        | Trade         | 20,000                  |                        | 05/29/09                       | 07/07/09     | 792.25      | 967.20                 | -174.95   |         | Y                 |
|                                             | Trade         | 35,000                  |                        | 05/29/09                       | 07/09/09     | 1,339.97    | 1,692.60               | -352.63   |         | Y                 |
|                                             | Trade         | 38,000                  |                        | 05/29/09                       | 10/29/09     | 1,615.94    | 1,837.88               | -221.74   |         | Y                 |
| NOVARTIS AG SPON ADR                        | Trade         | 21,000                  |                        | 05/29/09                       | 12/02/09     | 1,181.10    | 837.48                 | 343.64    |         | Y                 |
| SANOFI-AVENTIS SA SPON<br>ADR               | Trade         | 16,000                  |                        | 05/29/09                       | 10/28/09     | 615.25      | 506.23                 | 109.02    |         | Y                 |
| SIEMENS A G SPON ADR                        | Trade         | 7,000                   |                        | 05/29/09                       | 10/29/09     | 669.77      | 510.64                 | 159.13    |         | Y                 |
| SOCIETE GENERALE FRANCE<br>SPONS ADR ADR    | Trade         | 24,000                  |                        | 05/29/09                       | 10/02/09     | 388.70      | 278.40                 | 90.30     |         | Y                 |
| STORA ENSO OYJ REPSTG<br>SER R SHS SPON ADR | Trade         | 85,000                  |                        | 05/29/09                       | 08/08/09     | 542.31      | 504.05                 | 38.28     |         | Y                 |
|                                             | Trade         | 171,000                 |                        | 05/29/09                       | 08/07/09     | 1,076.93    | 1,014.03               | 62.90     |         | Y                 |
|                                             | Trade         | 134,000                 |                        | 05/29/09                       | 08/19/09     | 883.70      | 794.62                 | 89.08     |         | Y                 |
|                                             | Trade         | 40,000                  |                        | 05/29/09                       | 09/15/09     | 288.57      | 237.20                 | 51.37     |         | Y                 |
|                                             | Trade         | 78,000                  |                        | 05/29/09                       | 09/16/09     | 573.82      | 462.54                 | 111.28    |         | Y                 |
| SUNCOR ENERGY INC NEW                       | Trade         | 25,000                  |                        | 05/29/09                       | 08/20/09     | 796.41      | 877.99                 | -81.58    |         | Y                 |
|                                             | Trade         | 24,000                  |                        | 05/29/09                       | 10/01/09     | 804.07      | 842.87                 | -38.80    |         | Y                 |
| SUNCOR INC **MERGER EFF:<br>07/2009**       | Trade         | 14,000                  |                        | 05/29/09                       | 07/15/09     | 410.14      | 491.67                 | -81.53    |         | Y                 |
| TDK CORP ADR JAPAN ADR                      | Trade         | 23,000                  |                        | 05/29/09                       | 08/03/09     | 1,216.31    | 1,025.57               | 190.74    |         | Y                 |

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### Short-Term Gain/Loss - continued

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

| Security Description               | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks  | Matches<br>1099-B |
|------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|----------|-------------------|
| TDK CORP ADR JAPAN ADR             | Trade         | 17,000                  |                        | 05/29/09                       | 08/24/09     | 980.40      | 758.03                 | 222.37    |          | Y                 |
| TECHNIP SA NEW SPON ADR            | Trade         | 20,000                  |                        | 05/29/09                       | 07/24/09     | 1,191.70    | 985.20                 | 206.50    |          | Y                 |
| VODAFONE GROUP PLC NEW<br>SPON ADR | Trade         | 20,000                  |                        | 05/29/09                       | 11/30/09     | 453.92      | 378.16                 | 75.76     |          |                   |
| Total Short-Term Gain/Loss         |               |                         |                        |                                |              |             | 27,342.39              | 23,857.85 | 3,484.54 |                   |

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## 2009 Realized Gain/Loss Summary

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

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

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

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

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

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

|                       | Purchase |  | Sale          |    | Gains      |    | Losses    |    | Net       |              |
|-----------------------|----------|--|---------------|----|------------|----|-----------|----|-----------|--------------|
|                       |          |  |               |    |            |    |           |    |           |              |
| Short-term Gain/Loss: |          |  | \$ 167,278.27 | \$ | 177,506.47 | \$ | 17,079.01 | \$ | -6,850.81 | \$ 10,228.20 |
| Sub Total:            |          |  | \$ 167,278.27 | \$ | 177,506.47 | \$ | 17,079.01 | \$ | -6,850.81 | \$ 10,228.20 |
| Total:                |          |  | \$ 167,278.27 | \$ | 177,506.47 | \$ | 17,079.01 | \$ | -6,850.81 | \$ 10,228.20 |

## Short-Term Gain/Loss

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

| Security Description    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Markets |
|-------------------------|---------------|-------------------------|------------------------|--------------------------------|-----------|-------------|------------------------|-----------|---------|---------|
| ABBOTT LABS             | Trade         | 40,000                  |                        | 05/28/09                       | 07/07/09  | 1,813.55    | 1,792.80               | 20.75     |         |         |
| ACTIVISION BLIZZARD INC | Trade         | 10,000                  |                        | 05/28/09                       | 08/20/09  | 120.81      | 117.28                 | 3.53      |         | Y       |
| Trade                   |               | 47,000                  |                        | 05/28/09                       | 11/05/09  | 510.41      | 551.21                 | -40.80    |         | Y       |
| Trade                   |               | 113,000                 |                        | 05/28/09                       | 11/19/09  | 1,299.46    | 1,325.24               | -25.78    |         | Y       |
| Trade                   |               | 5,000                   |                        | 10/05/09                       | 11/19/09  | 57.50       | 59.94                  | -2.44     |         | Y       |
| ADTRAN INC              | Trade         | 30,000                  |                        | 05/28/09                       | 07/16/09  | 679.31      | 610.73                 | 68.58     |         | Y       |
| AECOM TECHNOLOGY CORP   | Trade         | 12,000                  |                        | 05/28/09                       | 08/12/09  | 363.70      | 377.75                 | -14.05    |         | Y       |
| Trade                   |               | 15,000                  |                        | 05/28/09                       | 08/13/09  | 442.48      | 472.19                 | -29.71    |         | Y       |
| Trade                   |               | 4,000                   |                        | 05/28/09                       | 08/14/09  | 115.99      | 125.92                 | -9.93     |         | Y       |
| Trade                   |               | 11,000                  |                        | 05/28/09                       | 08/17/09  | 308.71      | 346.27                 | -37.56    |         | Y       |

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# UBS Financial Services Inc.

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### Short-Term Gain/Loss - continued

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

| Security Description                 | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| AECOM TECHNOLOGY CORP                | Trade         | 23,000                  |                        | 05/28/09                       | 08/17/09     | 642.31      | 724.03                 | -81.72    |         | Y                 |
|                                      | Trade         | 15,000                  |                        | 05/28/09                       | 08/17/09     | 415.21      | 472.19                 | -56.98    |         | Y                 |
| AIRGAS INC                           | Trade         | 40,000                  |                        | 05/28/09                       | 06/03/09     | 1,738.25    | 1,881.20               | 57.05     |         | Y                 |
| AK STEEL HOLDING CORP                | Trade         | 74,000                  |                        | 05/28/09                       | 06/09/09     | 1,402.17    | 1,028.42               | 373.75    |         | Y                 |
|                                      | Trade         | 10,000                  |                        | 05/28/09                       | 08/20/09     | 204.51      | 138.98                 | 85.53     |         | Y                 |
|                                      | Trade         | 23,000                  |                        | 05/28/09                       | 10/01/09     | 424.43      | 319.64                 | 104.79    |         | Y                 |
|                                      | Trade         | 19,000                  |                        | 05/28/09                       | 10/02/09     | 346.27      | 264.05                 | 82.22     |         | Y                 |
|                                      | Trade         | 26,000                  |                        | 05/28/09                       | 10/06/09     | 499.48      | 361.34                 | 138.14    |         | Y                 |
|                                      | Trade         | 68,000                  |                        | 05/28/09                       | 10/20/09     | 1,374.39    | 945.03                 | 429.36    |         | Y                 |
|                                      | Trade         | 20,000                  |                        | 07/10/09                       | 10/20/09     | 404.23      | 316.92                 | 87.31     |         | Y                 |
| ALEXION PHARMACEUTICALS<br>INC       | Trade         | 5,000                   |                        | 05/28/09                       | 10/05/09     | 217.52      | 178.89                 | 38.63     |         | Y                 |
| ALLIANCE DATA SYSTEMS<br>CORP        | Trade         | 3,000                   |                        | 07/31/09                       | 10/16/09     | 206.36      | 152.53                 | 53.83     |         | Y                 |
|                                      | Trade         | 8,000                   |                        | 08/03/09                       | 10/16/09     | 550.29      | 418.24                 | 132.05    |         | Y                 |
|                                      | Trade         | 3,000                   |                        | 08/04/09                       | 10/16/09     | 206.36      | 160.52                 | 45.84     |         | Y                 |
| AMER EXPRESS CO                      | Trade         | 24,000                  |                        | 07/24/09                       | 10/26/09     | 835.65      | 710.40                 | 125.25    |         | Y                 |
|                                      | Trade         | 8,000                   |                        | 07/30/09                       | 10/26/09     | 313.37      | 255.77                 | 57.60     |         | Y                 |
| AMER TOWER CORP CL A                 | Trade         | 70,000                  |                        | 05/28/09                       | 07/31/09     | 2,407.34    | 2,184.53               | 222.81    |         | Y                 |
| AMERICAN EAGLE<br>OUTFITTERS INC NEW | Trade         | 70,000                  |                        | 05/28/09                       | 08/30/09     | 1,001.06    | 1,012.73               | -11.67    |         | Y                 |
| AMPHENOL CORP NEW CL A               | Trade         | 5,000                   |                        | 05/28/09                       | 10/05/09     | 178.56      | 166.05                 | 12.51     |         | Y                 |
|                                      | Trade         | 8,000                   |                        | 05/28/09                       | 12/08/09     | 353.17      | 265.68                 | 87.49     |         | Y                 |
| ARCSIGHT INC                         | Trade         | 5,000                   |                        | 07/30/09                       | 09/04/09     | 106.79      | 95.61                  | 11.18     |         | Y                 |
|                                      | Trade         | 14,000                  |                        | 07/30/09                       | 09/04/09     | 299.03      | 261.55                 | 37.48     |         | Y                 |
|                                      | Trade         | 4,000                   |                        | 07/30/09                       | 09/14/09     | 86.76       | 76.49                  | 10.27     |         | Y                 |
|                                      | Trade         | 11,000                  |                        | 07/31/09                       | 09/14/09     | 238.58      | 209.59                 | 28.99     |         | Y                 |
|                                      | Trade         | 1,000                   |                        | 07/31/09                       | 09/15/09     | 22.02       | 19.05                  | 2.97      |         | Y                 |
|                                      | Trade         | 22,000                  |                        | 08/03/09                       | 09/15/09     | 481.53      | 411.37                 | 70.16     |         | Y                 |
|                                      | Trade         | 18,000                  |                        | 08/03/09                       | 09/15/09     | 393.98      | 338.92                 | 55.06     |         | Y                 |

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

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

| Security Description               | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase Date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| ARCSIGHT INC                       | Trade         | 18,000                  |                        | 08/03/09                       | 09/15/09     | 396.38      | 338.92                 | 57.46     |         | Y                 |
| ARRIS GROUP INC                    | Trade         | 10,000                  |                        | 05/28/09                       | 07/31/09     | 124.08      | 118.18                 | 5.90      |         | Y                 |
|                                    | Trade         | 28,000                  |                        | 05/29/09                       | 07/31/09     | 347.42      | 338.71                 | 8.71      |         | Y                 |
|                                    | Trade         | 13,000                  |                        | 06/05/09                       | 07/31/09     | 161.30      | 160.65                 | .65       |         | Y                 |
|                                    | Trade         | 12,000                  |                        | 06/05/09                       | 07/31/09     | 148.90      | 148.87                 | .03       |         | Y                 |
|                                    | Trade         | 13,000                  |                        | 06/08/09                       | 07/31/09     | 161.30      | 157.78                 | 3.52      |         | Y                 |
|                                    | Trade         | 21,000                  |                        | 06/09/09                       | 07/31/09     | 260.57      | 266.38                 | -5.81     |         | Y                 |
| ASIAINFO HOLDINGS INC              | Trade         | 10,000                  |                        | 05/28/09                       | 07/10/09     | 159.39      | 205.85                 | -46.46    |         | Y                 |
|                                    | Trade         | 18,000                  |                        | 05/28/09                       | 12/16/09     | 586.64      | 391.12                 | 195.52    |         | Y                 |
|                                    | Trade         | 5,000                   |                        | 05/28/09                       | 12/29/09     | 151.50      | 102.93                 | 48.57     |         | Y                 |
| ASPEN INSURANCE HOLDINGS LTD ORD   | Trade         | 90,000                  |                        | 05/28/09                       | 08/06/09     | 2,166.14    | 1,987.11               | 179.03    |         | Y                 |
| ATHEROS COMMUNICATIONS INC         | Trade         | 15,000                  |                        | 07/02/09                       | 07/27/09     | 357.85      | 295.75                 | 62.10     |         | Y                 |
|                                    | Trade         | 16,000                  |                        | 07/06/09                       | 07/27/09     | 381.71      | 302.51                 | 79.20     |         | Y                 |
|                                    | Trade         | 29,000                  |                        | 07/06/09                       | 07/27/09     | 691.84      | 548.96                 | 142.88    |         | Y                 |
| AUTOLIV INC \$0.20                 | Trade         | 11,000                  |                        | 05/28/09                       | 12/08/09     | 448.64      | 285.23                 | 163.41    |         | Y                 |
| AVIS BUDGET GROUP INC              | Trade         | 130,000                 |                        | 05/28/09                       | 07/01/09     | 771.04      | 610.94                 | 160.10    |         | Y                 |
|                                    | Trade         | 50,000                  |                        | 05/28/09                       | 07/15/09     | 321.00      | 234.98                 | 86.02     |         | Y                 |
|                                    | Trade         | 47,000                  |                        | 05/28/09                       | 07/17/09     | 309.25      | 220.88                 | 88.37     |         | Y                 |
|                                    | Trade         | 33,000                  |                        | 05/28/09                       | 07/20/09     | 225.83      | 155.08                 | 70.75     |         | Y                 |
|                                    | Trade         | 14,000                  |                        | 06/25/09                       | 07/20/09     | 95.80       | 72.48                  | 23.32     |         | Y                 |
|                                    | Trade         | 99,000                  |                        | 06/25/09                       | 07/21/09     | 705.85      | 512.55                 | 193.30    |         | Y                 |
| BANK OF AMER CORP                  | Trade         | 5,000                   |                        | 05/28/09                       | 11/17/09     | 78.09       | 55.15                  | 22.94     |         | Y                 |
| BIG LOTS INC                       | Trade         | 40,000                  |                        | 05/28/09                       | 08/17/09     | 860.13      | 906.40                 | -46.27    |         | Y                 |
| BORG WARNER INC                    | Trade         | 30,000                  |                        | 05/28/09                       | 08/12/09     | 916.44      | 921.00                 | -4.56     |         | Y                 |
|                                    | Trade         | 30,000                  |                        | 05/28/09                       | 08/19/09     | 892.41      | 921.00                 | -28.59    |         | Y                 |
| BROCADE COMMUNICATIONS SYS INC NEW | Trade         | 76,000                  |                        | 05/28/09                       | 11/11/09     | 698.42      | 549.31                 | 149.11    |         | Y                 |
|                                    | Trade         | 24,000                  |                        | 05/28/09                       | 11/11/09     | 221.82      | 173.47                 | 48.35     |         | Y                 |



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

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

| Security Description                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| BROCADE COMMUNICATIONS<br>SYS INC NEW | Trade         | 31,000                  |                        | 05/28/09                       | 11/12/09     | 249.85      | 224.06                 | 25.79     |         | Y                 |
|                                       | Trade         | 5,000                   |                        | 05/28/09                       | 11/17/09     | 41.49       | 36.14                  | 5.35      |         | Y                 |
|                                       | Trade         | 64,000                  |                        | 05/28/09                       | 11/19/09     | 513.26      | 462.58                 | 50.68     |         | Y                 |
|                                       | Trade         | 55,000                  |                        | 08/18/09                       | 11/19/09     | 441.09      | 409.15                 | 31.94     |         | Y                 |
|                                       | Trade         | 44,000                  |                        | 07/30/09                       | 11/19/09     | 352.87      | 359.92                 | -7.05     |         | Y                 |
|                                       | Trade         | 5,000                   |                        | 10/05/09                       | 11/19/09     | 40.10       | 44.59                  | -4.49     |         | Y                 |
| CARTER'S INC                          | Trade         | 24,000                  |                        | 07/30/09                       | 11/10/09     | 507.92      | 697.17                 | -189.25   |         | Y                 |
|                                       | Trade         | 22,000                  |                        | 07/31/09                       | 11/10/09     | 465.59      | 631.02                 | -165.43   |         | Y                 |
|                                       | Trade         | 25,000                  |                        | 08/03/09                       | 11/10/09     | 529.08      | 684.50                 | -155.42   |         | Y                 |
|                                       | Trade         | 1,000                   |                        | 08/07/09                       | 11/10/09     | 21.16       | 25.75                  | -4.59     |         | Y                 |
| CENTL EUROPEAN DISTR<br>CORP          | Trade         | 9,000                   |                        | 07/27/09                       | 12/03/09     | 262.53      | 282.53                 |           |         | Y                 |
|                                       | Trade         | 12,000                  |                        | 07/27/09                       | 12/03/09     | 346.22      | 350.04                 | -3.82     |         | Y                 |
|                                       | Trade         | 5,000                   |                        | 07/27/09                       | 12/03/09     | 145.85      | 143.73                 | 2.12      |         | Y                 |
|                                       | Trade         | 2,000                   |                        | 07/27/09                       | 12/04/09     | 59.20       | 57.49                  | 1.71      |         | Y                 |
|                                       | Trade         | 23,000                  |                        | 08/06/09                       | 12/04/09     | 680.85      | 740.44                 | -59.59    |         | Y                 |
| CIENA CORP NEW                        | Trade         | 70,000                  |                        | 05/28/09                       | 07/07/09     | 625.21      | 753.06                 | -127.85   |         | Y                 |
| CISCO SYSTEMS INC                     | Trade         | 35,000                  |                        | 07/20/09                       | 07/27/09     | 760.18      | 738.68                 | 21.50     |         | Y                 |
|                                       | Trade         | 13,000                  |                        | 07/20/09                       | 09/04/09     | 280.66      | 274.37                 | 6.29      |         | Y                 |
|                                       | Trade         | 80,000                  |                        | 07/21/09                       | 09/04/09     | 1,727.16    | 1,704.30               | 22.86     |         | Y                 |
|                                       | Trade         | 5,000                   |                        | 07/21/09                       | 09/04/09     | 107.95      | 106.50                 | 1.45      |         | Y                 |
|                                       | Trade         | 41,000                  |                        | 07/21/09                       | 11/19/09     | 967.29      | 873.30                 | 93.99     |         | Y                 |
|                                       | Trade         | 17,000                  |                        | 08/06/09                       | 11/19/09     | 402.21      | 375.70                 | 26.51     |         | Y                 |
|                                       | Trade         | 11,000                  |                        | 08/06/09                       | 11/19/09     | 260.25      | 244.21                 | 16.04     |         | Y                 |
|                                       | Trade         | 24,000                  |                        | 08/06/09                       | 11/19/09     | 566.22      | 532.81                 | 33.41     |         | Y                 |
| COCA COLA ENTERPRISES                 | Trade         | 30,000                  |                        | 08/11/09                       | 11/19/09     | 709.78      | 637.50                 | 72.28     |         | Y                 |
|                                       | Trade         | 68,000                  |                        | 08/17/09                       | 11/19/09     | 1,608.84    | 1,411.63               | 197.21    |         | Y                 |
| COCA COLA ENTERPRISES                 | Trade         | 90,000                  |                        | 05/28/09                       | 10/29/09     | 1,754.05    | 1,504.76               | 249.29    |         | Y                 |
| COMMUNITY HEALTH SYSTEMS<br>INC       | Trade         | 8,000                   |                        | 09/14/09                       | 10/28/09     | 248.27      | 273.65                 | -25.38    |         | Y                 |
|                                       | Trade         | 7,000                   |                        | 09/15/09                       | 10/28/09     | 217.24      | 242.12                 | -24.88    |         | Y                 |
|                                       | Trade         | 8,000                   |                        | 09/16/09                       | 10/28/09     | 248.27      | 278.48                 | -30.19    |         | Y                 |
|                                       | Trade         | 2,000                   |                        | 09/16/09                       | 11/19/09     | 63.13       | 69.61                  | -6.48     |         | Y                 |
|                                       | Trade         | 5,000                   |                        | 09/17/09                       | 11/19/09     | 157.81      | 171.77                 | -13.96    |         | Y                 |

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

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

| Security Description                       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| COMMUNITY HEALTH SYSTEMS<br>INC            | Trade         | 4,000                   |                        | 09/17/09                       | 11/20/09     | 125.18      | 137.41                 | -12.23    |         | Y                 |
|                                            | Trade         | 3,000                   |                        | 09/18/09                       | 11/20/09     | 93.88       | 101.83                 | -7.95     |         | Y                 |
|                                            | Trade         | 1,000                   |                        | 09/18/09                       | 11/23/09     | 32.01       | 33.94                  | -1.93     |         | Y                 |
|                                            | Trade         | 7,000                   |                        | 10/07/09                       | 11/23/09     | 224.08      | 233.57                 | -9.49     |         | Y                 |
|                                            | Trade         | 5,000                   |                        | 10/08/09                       | 11/23/09     | 160.06      | 172.46                 | -12.40    |         | Y                 |
|                                            | Trade         | 2,000                   |                        | 10/08/09                       | 11/23/09     | 63.34       | 68.99                  | -5.65     |         | Y                 |
|                                            | Trade         | 13,000                  |                        | 10/09/09                       | 11/23/09     | 411.74      | 461.11                 | -49.37    |         | Y                 |
| CON-WAY INC                                | Trade         | 10,000                  |                        | 05/28/09                       | 08/20/09     | 449.88      | 315.79                 | 134.09    |         | Y                 |
|                                            | Trade         | 9,000                   |                        | 05/28/09                       | 08/21/09     | 401.24      | 284.21                 | 117.03    |         | Y                 |
|                                            | Trade         | 13,000                  |                        | 05/28/09                       | 08/21/09     | 578.80      | 410.52                 | 168.28    |         | Y                 |
|                                            | Trade         | 25,000                  |                        | 05/28/09                       | 10/22/09     | 881.14      | 789.46                 | 91.68     |         | Y                 |
|                                            | Trade         | 13,000                  |                        | 05/28/09                       | 10/22/09     | 460.06      | 410.52                 | 49.54     |         | Y                 |
| CONCHO RESOURCES INC                       | Trade         | 8,000                   |                        | 06/08/09                       | 11/19/09     | 329.35      | 251.16                 | 78.19     |         | Y                 |
|                                            | Trade         | 13,000                  |                        | 06/08/09                       | 11/20/09     | 529.86      | 408.14                 | 121.72    |         | Y                 |
| CROWN HOLDINGS INC                         | Trade         | 36,000                  |                        | 05/28/09                       | 06/18/09     | 801.06      | 884.71                 | -83.65    |         | Y                 |
|                                            | Trade         | 33,000                  |                        | 05/28/09                       | 06/19/09     | 755.68      | 792.65                 | -36.97    |         | Y                 |
|                                            | Trade         | 31,000                  |                        | 05/28/09                       | 06/19/09     | 710.50      | 744.61                 | -34.11    |         | Y                 |
| CVS CAREMARK CORP                          | Trade         | 11,000                  |                        | 05/28/09                       | 06/30/09     | 348.80      | 324.05                 | 24.75     |         | Y                 |
|                                            | Trade         | 8,000                   |                        | 05/28/09                       | 08/30/09     | 255.19      | 235.67                 | 19.52     |         | Y                 |
|                                            | Trade         | 12,000                  |                        | 05/28/09                       | 08/06/09     | 409.78      | 353.51                 | 56.27     |         | Y                 |
|                                            | Trade         | 12,000                  |                        | 05/28/09                       | 11/05/09     | 346.15      | 353.51                 | -7.36     |         | Y                 |
|                                            | Trade         | 13,000                  |                        | 05/28/09                       | 11/05/09     | 376.84      | 382.97                 | -6.13     |         | Y                 |
|                                            | Trade         | 24,000                  |                        | 05/28/09                       | 11/06/09     | 706.69      | 707.02                 | -.33      |         | Y                 |
| DANA HOLDING CORP                          | Trade         | 5,000                   |                        | 09/24/09                       | 11/17/09     | 36.05       | 34.00                  | 2.05      |         | Y                 |
|                                            | Trade         | 34,000                  |                        | 09/24/09                       | 12/11/09     | 302.41      | 231.19                 | 71.22     |         | Y                 |
| DARDEN RESTAURANTS INC                     | Trade         | 40,000                  |                        | 05/28/09                       | 07/31/09     | 1,303.83    | 1,410.80               | -106.97   |         | Y                 |
| DIRECTV GROUP INC<br>**MERGER EFF: 11/09** | Trade         | 18,000                  |                        | 05/28/09                       | 06/17/09     | 409.66      | 417.75                 | -8.09     |         | Y                 |
| DISCOVERY COMMUNICATIONS<br>INC CL A       | Trade         | 10,000                  |                        | 05/28/09                       | 08/20/09     | 250.62      | 218.47                 | 32.15     |         | Y                 |
|                                            | Trade         | 11,000                  |                        | 05/28/09                       | 09/17/09     | 322.37      | 240.32                 | 82.05     |         | Y                 |

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

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

| Security Description                    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| DISCOVERY COMMUNICATIONS<br>INC CL A    | Trade         | 16,000                  |                        | 05/28/09                       | 11/19/09     | 492.65      | 349.55                 | 143.10    |         | Y                 |
|                                         | Trade         | 15,000                  |                        | 05/28/09                       | 11/20/09     | 460.63      | 327.70                 | 132.93    |         | Y                 |
| DOMINO'S PIZZA INC                      | Trade         | 110,000                 |                        | 05/28/09                       | 08/17/09     | 850.68      | 955.79                 | -105.11   |         | Y                 |
|                                         | Trade         | 29,000                  |                        | 08/28/09                       | 10/21/09     | 755.02      | 628.21                 | 126.81    |         | Y                 |
| DOW CHEMICAL                            | Trade         | 1,000                   |                        | 08/31/09                       | 10/21/09     | 26.04       | 21.30                  | 4.74      |         | Y                 |
|                                         | Trade         | 16,000                  |                        | 08/31/09                       | 10/21/09     | 421.04      | 339.51                 | 81.53     |         | Y                 |
|                                         | Trade         | 15,000                  |                        | 08/31/09                       | 10/21/09     | 394.73      | 319.47                 | 75.26     |         | Y                 |
|                                         | Trade         | 37,000                  |                        | 09/23/09                       | 09/29/09     | 596.15      | 579.99                 | 16.16     |         | Y                 |
| EMERITUS CORP                           | Trade         | 27,000                  |                        | 05/28/09                       | 07/08/09     | 307.39      | 384.75                 | -77.36    |         | Y                 |
|                                         | Trade         | 11,000                  |                        | 05/28/09                       | 07/09/09     | 127.40      | 156.75                 | -29.35    |         | Y                 |
|                                         | Trade         | 12,000                  |                        | 05/28/09                       | 07/09/09     | 139.85      | 171.00                 | -31.15    |         | Y                 |
|                                         | Trade         | 6,000                   |                        | 06/22/09                       | 07/09/09     | 69.49       | 80.49                  | -11.00    |         | Y                 |
|                                         | Trade         | 1,000                   |                        | 06/23/09                       | 07/09/09     | 11.58       | 13.04                  | -1.46     |         | Y                 |
|                                         | Trade         | 10,000                  |                        | 06/23/09                       | 07/10/09     | 110.36      | 130.37                 | -20.01    |         | Y                 |
|                                         | Trade         | 15,000                  |                        | 06/24/09                       | 07/10/09     | 165.55      | 202.50                 | -36.95    |         | Y                 |
|                                         | Trade         | 5,000                   |                        | 10/19/09                       | 11/17/09     | 21.97       | 26.24                  | -4.27     |         | Y                 |
| ENDOLOGIX INC                           | Trade         | 26,000                  |                        | 10/19/09                       | 12/02/09     | 118.89      | 136.46                 | -17.57    |         | Y                 |
|                                         | Trade         | 7,000                   |                        | 10/20/09                       | 12/02/09     | 32.01       | 37.73                  | -5.72     |         | Y                 |
|                                         | Trade         | 12,000                  |                        | 10/20/09                       | 12/03/09     | 55.09       | 64.68                  | -9.59     |         | Y                 |
|                                         | Trade         | 20,000                  |                        | 10/20/09                       | 12/03/09     | 91.00       | 107.80                 | -16.80    |         | Y                 |
|                                         | Trade         | 14,000                  |                        | 10/21/09                       | 12/03/09     | 64.27       | 75.12                  | -10.85    |         | Y                 |
|                                         | Trade         | 19,000                  |                        | 10/21/09                       | 12/04/09     | 88.09       | 101.95                 | -13.86    |         | Y                 |
|                                         | Trade         | 1,000                   |                        | 10/22/09                       | 12/04/09     | 4.64        | 5.30                   | -0.66     |         | Y                 |
|                                         | Trade         | 40,000                  |                        | 10/22/09                       | 12/15/09     | 199.98      | 211.92                 | -11.94    |         | Y                 |
|                                         | Trade         | 19,000                  |                        | 05/28/09                       | 06/22/09     | 531.62      | 492.85                 | 38.77     |         | Y                 |
|                                         | Trade         | 8,000                   |                        | 05/28/09                       | 06/26/09     | 170.09      | 155.64                 | 14.45     |         | Y                 |
| ENDURANCE SPECIALTY<br>HOLDINGS LTD ORD | Trade         | 38,000                  |                        | 05/28/09                       | 07/24/09     | 1,240.66    | 985.71                 | 254.95    |         | Y                 |
|                                         | Trade         | 37,000                  |                        | 05/28/09                       | 07/27/09     | 1,205.42    | 959.77                 | 245.65    |         | Y                 |
|                                         | Trade         | 62,000                  |                        | 07/24/09                       | 10/28/09     | 568.54      | 534.44                 | 32.10     |         | Y                 |
| FIFTH THIRD BANCORP                     | Trade         | 27,000                  |                        | 07/24/09                       | 11/17/09     | 266.50      | 232.74                 | 33.76     |         | Y                 |
|                                         | Trade         | 40,000                  |                        | 07/27/09                       | 11/17/09     | 394.82      | 349.24                 | 45.58     |         | Y                 |
|                                         | Trade         |                         |                        |                                |              |             |                        |           |         | Y                 |

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

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

| Security Description                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| FIFTH THIRD BANCORP                   | Trade         | 24,000                  |                        | 07/27/09                       | 11/18/09     | 241.02      | 207.84                 | 33.18     |         | Y                 |
|                                       | Trade         | 35,000                  |                        | 07/27/09                       | 11/18/09     | 351.49      | 305.59                 | 45.90     |         | Y                 |
|                                       | Trade         | 58,000                  |                        | 08/20/09                       | 11/18/09     | 577.66      | 605.47                 | -27.81    |         | Y                 |
|                                       | Trade         | 2,000                   |                        | 08/20/09                       | 11/18/09     | 20.09       | 20.88                  | -79       |         | Y                 |
| FOSTER WHEELER AG                     | Trade         | 5,000                   |                        | 10/05/09                       | 11/18/09     | 49.80       | 47.20                  | 2.60      |         | Y                 |
|                                       | Trade         | 5,000                   |                        | 05/28/09                       | 11/17/09     | 166.98      | 130.78                 | 36.20     |         | Y                 |
|                                       | Trade         | 11,000                  |                        | 05/28/09                       | 11/19/09     | 357.88      | 287.71                 | 70.17     |         | Y                 |
|                                       | Trade         | 9,000                   |                        | 05/28/09                       | 11/19/09     | 292.80      | 235.40                 | 57.20     |         | Y                 |
| FREEPORT-MCMORAN COPPER<br>& GOLD INC | Trade         | 5,000                   |                        | 10/02/09                       | 11/19/09     | 417.15      | 326.24                 | 90.91     |         | Y                 |
|                                       | Trade         | 7,000                   |                        | 10/02/09                       | 11/30/09     | 579.75      | 456.74                 | 123.01    |         | Y                 |
| GENL CABLE CORP                       | Trade         | 9,000                   |                        | 05/29/09                       | 08/07/09     | 309.14      | 345.87                 | -36.73    |         | Y                 |
|                                       | Trade         | 4,000                   |                        | 06/01/09                       | 08/07/09     | 137.40      | 160.64                 | -23.24    |         | Y                 |
|                                       | Trade         | 47,000                  |                        | 06/19/09                       | 08/07/09     | 1,614.40    | 1,703.74               | -89.34    |         | Y                 |
| GILEAD SCIENCES INC                   | Trade         | 10,000                  |                        | 05/28/09                       | 08/20/09     | 460.88      | 421.98                 | 38.90     |         | Y                 |
|                                       | Trade         | 23,000                  |                        | 05/28/09                       | 10/23/09     | 1,012.25    | 970.55                 | 41.70     |         | Y                 |
| GOODYEAR TIRE & RUBBER<br>CO          | Trade         | 14,000                  |                        | 08/05/09                       | 11/19/09     | 200.60      | 246.38                 | -45.78    |         | Y                 |
|                                       | Trade         | 9,000                   |                        | 08/05/09                       | 11/19/09     | 128.71      | 158.39                 | -29.68    |         | Y                 |
|                                       | Trade         | 13,000                  |                        | 08/06/09                       | 11/19/09     | 185.92      | 231.79                 | -45.87    |         | Y                 |
|                                       | Trade         | 35,000                  |                        | 08/06/09                       | 11/20/09     | 491.54      | 624.05                 | -132.51   |         | Y                 |
| GRAFTECH INTL LTD                     | Trade         | 35,000                  |                        | 06/30/09                       | 10/01/09     | 476.72      | 396.53                 | 80.19     |         | Y                 |
|                                       | Trade         | 11,000                  |                        | 06/30/09                       | 10/02/09     | 148.07      | 124.62                 | 23.45     |         | Y                 |
|                                       | Trade         | 17,000                  |                        | 06/30/09                       | 10/05/09     | 234.43      | 192.60                 | 41.83     |         | Y                 |
|                                       | Trade         | 27,000                  |                        | 07/01/09                       | 10/05/09     | 372.33      | 313.20                 | 59.13     |         | Y                 |
|                                       | Trade         | 12,000                  |                        | 07/01/09                       | 10/06/09     | 170.09      | 139.20                 | 30.89     |         | Y                 |
| HEWLETT PACKARD CO                    | Trade         | 34,000                  |                        | 07/02/09                       | 10/06/09     | 481.91      | 377.60                 | 104.31    |         | Y                 |
|                                       | Trade         | 10,000                  |                        | 05/28/09                       | 08/20/09     | 436.78      | 348.10                 | 88.68     |         | Y                 |
|                                       | Trade         | 24,000                  |                        | 05/28/09                       | 11/25/09     | 1,200.51    | 835.44                 | 365.07    |         | Y                 |
|                                       | Trade         | 24,000                  |                        | 05/28/09                       | 11/27/09     | 1,179.05    | 835.44                 | 343.61    |         | Y                 |
|                                       | Trade         | 20,000                  |                        | 05/28/09                       | 11/30/09     | 982.08      | 698.20                 | 283.88    |         | Y                 |
|                                       | Trade         | 12,000                  |                        | 05/28/09                       | 12/01/09     | 595.21      | 417.72                 | 177.49    |         | Y                 |
|                                       | Trade         | 5,000                   |                        | 10/05/09                       | 12/01/09     | 248.01      | 227.68                 | 20.33     |         | Y                 |

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

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

| Security Description                            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase Date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| HEWLETT PACKARD CO                              | Trade         | 9,000                   |                        | 11/19/09                       | 12/01/09     | 446.41      | 445.58                 | .83       |         | Y                 |
| HHGREGG INC                                     | Trade         | 10,000                  |                        | 10/29/09                       | 12/21/09     | 222.27      | 169.36                 | 52.91     |         | Y                 |
|                                                 | Trade         | 10,000                  |                        | 10/30/09                       | 12/21/09     | 222.27      | 169.18                 | 53.09     |         | Y                 |
| HIBBETT SPORTS INC                              | Trade         | 30,000                  |                        | 05/28/09                       | 06/03/09     | 559.97      | 534.47                 | 25.50     |         | Y                 |
|                                                 | Trade         | 30,000                  |                        | 05/28/09                       | 06/04/09     | 558.43      | 534.47                 | 23.96     |         | Y                 |
| ICONIX BRAND GROUP INC                          | Trade         | 24,000                  |                        | 07/10/09                       | 08/03/09     | 429.59      | 355.66                 | 73.93     |         | Y                 |
|                                                 | Trade         | 96,000                  |                        | 07/10/09                       | 09/30/09     | 1,197.69    | 1,422.64               | -224.95   |         | Y                 |
| INVESCO LTD                                     | Trade         | 5,000                   |                        | 07/02/09                       | 12/29/09     | 118.20      | 85.71                  | 30.49     |         | Y                 |
| JARDEN CORP                                     | Trade         | 22,000                  |                        | 05/28/09                       | 08/05/09     | 526.13      | 387.85                 | 138.28    |         | Y                 |
|                                                 | Trade         | 15,000                  |                        | 05/28/09                       | 08/06/09     | 355.30      | 264.44                 | 90.86     |         | Y                 |
|                                                 | Trade         | 18,000                  |                        | 05/28/09                       | 08/07/09     | 422.73      | 317.33                 | 105.40    |         | Y                 |
|                                                 | Trade         | 35,000                  |                        | 05/28/09                       | 08/07/09     | 820.23      | 617.03                 | 203.20    |         | Y                 |
| JOY GLOBAL INC                                  | Trade         | 8,000                   |                        | 06/05/09                       | 10/09/09     | 403.79      | 322.36                 | 81.43     |         | Y                 |
|                                                 | Trade         | 2,000                   |                        | 06/05/09                       | 10/13/09     | 98.34       | 80.59                  | 17.75     |         | Y                 |
|                                                 | Trade         | 7,000                   |                        | 06/05/09                       | 10/13/09     | 344.21      | 281.40                 | 62.81     |         | Y                 |
| LENNAR CORP<br>*RECLASSIFICATION AS OF<br>4/03* | Trade         | 140,000                 |                        | 05/28/09                       | 06/05/09     | 1,204.53    | 1,233.26               | -28.73    |         | Y                 |
| LIFE TECHNOLOGIES CORP                          | Trade         | 12,000                  |                        | 05/28/09                       | 07/29/09     | 555.11      | 454.15                 | 100.96    |         | Y                 |
| LITHIA MOTORS INC CLA                           | Trade         | 33,000                  |                        | 09/04/09                       | 11/02/09     | 267.28      | 423.49                 | -156.21   |         | Y                 |
|                                                 | Trade         | 10,000                  |                        | 09/08/09                       | 11/02/09     | 81.00       | 138.57                 | -57.57    |         | Y                 |
|                                                 | Trade         | 21,000                  |                        | 09/08/09                       | 11/03/09     | 186.76      | 291.01                 | -124.25   |         | Y                 |
|                                                 | Trade         | 33,000                  |                        | 09/10/09                       | 11/03/09     | 262.05      | 506.09                 | -244.04   |         | Y                 |
| LONGTOP FINANCIAL<br>TECHNOLOGIES LTD ADR       | Trade         | 10,000                  |                        | 07/27/09                       | 08/14/09     | 296.85      | 279.93                 | 16.92     |         | Y                 |
|                                                 | Trade         | 7,000                   |                        | 07/27/09                       | 08/17/09     | 194.98      | 195.13                 | -.15      |         | Y                 |
|                                                 | Trade         | 12,000                  |                        | 07/27/09                       | 08/17/09     | 334.24      | 335.92                 | -1.68     |         | Y                 |
| M/I HOMES INC                                   | Trade         | 120,000                 |                        | 05/28/09                       | 08/19/09     | 1,211.10    | 1,373.82               | -162.72   |         | Y                 |

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

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

| Security Description           | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| MCAFEI INC                     | Trade         | 13,000                  |                        | 05/28/09                       | 08/30/09     | 544.97      | 507.00                 | 37.97     |         | Y                 |
| MEDASSETS INC                  | Trade         | 20,000                  |                        | 05/28/09                       | 08/04/09     | 386.30      | 320.40                 | 65.90     |         | Y                 |
|                                | Trade         | 20,000                  |                        | 07/10/09                       | 08/04/09     | 386.30      | 364.20                 | 22.10     |         | Y                 |
| MEDNAX INC                     | Trade         | 5,000                   |                        | 06/25/09                       | 11/19/09     | 280.81      | 205.14                 | 75.67     |         | Y                 |
|                                | Trade         | 5,000                   |                        | 06/25/09                       | 11/20/09     | 277.84      | 205.14                 | 72.50     |         | Y                 |
|                                | Trade         | 5,000                   |                        | 06/25/09                       | 11/25/09     | 282.60      | 205.14                 | 77.46     |         | Y                 |
|                                | Trade         | 4,000                   |                        | 06/25/09                       | 11/25/09     | 226.85      | 164.11                 | 62.74     |         | Y                 |
|                                | Trade         | 7,000                   |                        | 06/26/09                       | 11/25/09     | 397.00      | 286.28                 | 110.72    |         | Y                 |
| METROPCS COMMUNICATIONS<br>INC | Trade         | 50,000                  |                        | 05/28/09                       | 06/05/09     | 713.49      | 859.50                 | -146.01   |         | Y                 |
| MICROCHIP TECHNOLOGY INC       | Trade         | 57,000                  |                        | 05/28/09                       | 08/12/09     | 1,529.65    | 1,225.37               | 304.28    |         | Y                 |
|                                | Trade         | 63,000                  |                        | 05/28/09                       | 08/13/09     | 1,707.25    | 1,354.36               | 352.89    |         | Y                 |
| MICRON TECHNOLOGY INC          | Trade         | 10,000                  |                        | 05/28/09                       | 08/20/09     | 68.61       | 48.28                  | 18.33     |         | Y                 |
|                                | Trade         | 80,000                  |                        | 05/28/09                       | 09/18/09     | 652.78      | 386.26                 | 266.52    |         | Y                 |
|                                | Trade         | 42,000                  |                        | 05/28/09                       | 09/28/09     | 354.47      | 202.78                 | 151.69    |         | Y                 |
|                                | Trade         | 5,000                   |                        | 05/28/09                       | 10/05/09     | 38.45       | 24.14                  | 14.31     |         | Y                 |
|                                | Trade         | 10,000                  |                        | 05/28/09                       | 11/17/09     | 76.69       | 48.28                  | 28.41     |         | Y                 |
| MICROSOFT CORP                 | Trade         | 10,000                  |                        | 05/28/09                       | 07/10/09     | 223.19      | 206.20                 | 16.99     |         | Y                 |
|                                | Trade         | 51,000                  |                        | 05/28/09                       | 08/06/09     | 1,192.73    | 1,051.62               | 141.11    |         | Y                 |
|                                | Trade         | 52,000                  |                        | 05/28/09                       | 08/06/09     | 1,225.44    | 1,072.24               | 153.20    |         | Y                 |
|                                | Trade         | 38,000                  |                        | 05/28/09                       | 08/18/09     | 892.21      | 783.56                 | 108.65    |         | Y                 |
| MORGAN STANLEY                 | Trade         | 27,000                  |                        | 05/28/09                       | 09/15/09     | 783.27      | 788.89                 | -5.62     |         | Y                 |
|                                | Trade         | 13,000                  |                        | 05/28/09                       | 09/16/09     | 382.13      | 379.84                 | 2.29      |         | Y                 |
|                                | Trade         | 14,000                  |                        | 07/24/09                       | 09/16/09     | 411.53      | 390.60                 | 20.93     |         | Y                 |
| MOTOROLA INC                   | Trade         | 5,000                   |                        | 09/14/09                       | 10/05/09     | 39.90       | 43.88                  | -3.98     |         | Y                 |
|                                | Trade         | 10,000                  |                        | 09/14/09                       | 11/17/09     | 88.61       | 87.76                  | .85       |         | Y                 |
| NATL SEMICONDUCTOR CORP        | Trade         | 115,000                 |                        | 05/28/09                       | 09/17/09     | 1,702.05    | 1,570.33               | 131.72    |         | Y                 |
|                                | Trade         | 5,000                   |                        | 05/28/09                       | 09/18/09     | 73.58       | 68.28                  | 5.28      |         | Y                 |
|                                | Trade         | 33,000                  |                        | 06/10/09                       | 09/18/09     | 485.52      | 480.10                 | 5.42      |         | Y                 |

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

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

| Security Description         | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| NATL SEMICONDUCTOR CORP      | Trade         | 23,000                  |                        | 07/22/09                       | 09/18/09     | 338.39      | 326.25                 | 12.14     |         | Y                 |
| NETFLIX.COM INC              | Trade         | 10,000                  |                        | 06/17/09                       | 08/06/09     | 435.57      | 408.81                 | 28.76     |         | Y                 |
|                              | Trade         | 9,000                   |                        | 06/18/09                       | 08/06/09     | 392.01      | 370.92                 | 21.09     |         | Y                 |
|                              | Trade         | 27,000                  |                        | 06/19/09                       | 08/06/09     | 1,176.04    | 1,142.58               | 33.48     |         | Y                 |
| NEUTRAL TANDEM INC           | Trade         | 21,000                  |                        | 05/28/09                       | 06/03/09     | 632.17      | 606.76                 | 25.41     |         | Y                 |
|                              | Trade         | 9,000                   |                        | 05/28/09                       | 06/05/09     | 276.37      | 260.04                 | 16.33     |         | Y                 |
|                              | Trade         | 15,000                  |                        | 06/12/09                       | 08/03/09     | 497.28      | 380.88                 | 116.40    |         | Y                 |
|                              | Trade         | 17,000                  |                        | 06/12/09                       | 08/04/09     | 559.39      | 431.68                 | 127.73    |         | Y                 |
|                              | Trade         | 25,000                  |                        | 06/12/09                       | 12/17/09     | 524.79      | 634.79                 | -110.00   |         | Y                 |
|                              | Trade         | 3,000                   |                        | 06/12/09                       | 12/18/09     | 62.70       | 76.18                  | -13.48    |         | Y                 |
|                              | Trade         | 11,000                  |                        | 06/19/09                       | 12/18/09     | 229.90      | 319.71                 | -89.81    |         | Y                 |
|                              | Trade         | 14,000                  |                        | 06/19/09                       | 12/21/09     | 294.03      | 408.90                 | -112.87   |         | Y                 |
|                              | Trade         | 8,000                   |                        | 07/10/09                       | 12/21/09     | 168.01      | 219.99                 | -51.98    |         | Y                 |
| NEWFIELD EXPLORATION COS     | Trade         | 70,000                  |                        | 05/28/09                       | 08/16/09     | 2,457.34    | 2,542.30               | -84.96    |         | Y                 |
| NOBLE CORP                   | Trade         | 27,000                  |                        | 05/28/09                       | 07/02/09     | 790.61      | 881.40                 | -90.79    |         | Y                 |
|                              | Trade         | 20,000                  |                        | 05/28/09                       | 09/18/09     | 750.29      | 652.89                 | 97.40     |         | Y                 |
|                              | Trade         | 31,000                  |                        | 05/28/09                       | 11/17/09     | 1,375.35    | 1,011.98               | 363.37    |         | Y                 |
|                              | Trade         | 18,000                  |                        | 05/28/09                       | 11/25/09     | 754.54      | 587.60                 | 166.94    |         | Y                 |
| NOBLE ENERGY INC             | Trade         | 8,000                   |                        | 05/28/09                       | 07/02/09     | 453.83      | 472.86                 | -19.03    |         | Y                 |
| NUANCE COMMUNICATIONS<br>INC | Trade         | 33,000                  |                        | 05/28/09                       | 11/11/09     | 464.46      | 398.24                 | 66.22     |         | Y                 |
|                              | Trade         | 23,000                  |                        | 05/28/09                       | 11/11/09     | 321.32      | 277.56                 | 43.76     |         | Y                 |
|                              | Trade         | 27,000                  |                        | 05/28/09                       | 11/12/09     | 380.05      | 325.84                 | 54.21     |         | Y                 |
|                              | Trade         | 27,000                  |                        | 05/28/09                       | 11/13/09     | 376.13      | 325.84                 | 50.29     |         | Y                 |
| ON SEMICONDUCTOR CORP        | Trade         | 79,000                  |                        | 08/31/09                       | 10/13/09     | 624.87      | 637.45                 | -12.58    |         | Y                 |
|                              | Trade         | 19,000                  |                        | 08/31/09                       | 10/14/09     | 155.23      | 153.31                 | 1.92      |         | Y                 |
|                              | Trade         | 60,000                  |                        | 10/05/09                       | 10/14/09     | 490.18      | 463.77                 | 26.41     |         | Y                 |
| PEABODY ENERGY CORP          | Trade         | 24,000                  |                        | 08/06/09                       | 09/29/09     | 897.61      | 836.75                 | 60.86     |         | Y                 |
|                              | Trade         | 8,000                   |                        | 08/06/09                       | 11/25/09     | 366.57      | 277.13                 | 89.44     |         | Y                 |

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Short-Term Gain/Loss - continued

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

| Security Description                        | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| PENSKE AUTOMOTIVE GROUP<br>INC              | Trade         | 24,000                  |                        | 06/09/09                       | 07/30/09     | 481.30      | 390.43                 | 90.87     |         | Y                 |
|                                             | Trade         | 3,000                   |                        | 06/10/09                       | 07/30/09     | 60.16       | 49.19                  | 10.97     |         | Y                 |
| PETROHAWK ENERGY CORP                       | Trade         | 80,000                  |                        | 05/28/09                       | 06/08/09     | 1,990.02    | 2,019.04               | -29.02    |         | Y                 |
| PMC - SIERRA INC                            | Trade         | 22,000                  |                        | 07/27/09                       | 12/21/09     | 185.04      | 198.64                 | -13.60    |         | Y                 |
|                                             | Trade         | 70,000                  |                        | 07/27/09                       | 12/21/09     | 588.75      | 621.39                 | -32.64    |         | Y                 |
|                                             | Trade         | 63,000                  |                        | 07/30/09                       | 12/21/09     | 529.88      | 572.67                 | -42.79    |         | Y                 |
|                                             | Trade         | 67,000                  |                        | 07/30/09                       | 12/22/09     | 564.33      | 609.03                 | -44.70    |         | Y                 |
|                                             | Trade         | 45,000                  |                        | 10/20/09                       | 12/22/09     | 379.02      | 427.95                 | -48.93    |         | Y                 |
|                                             | Trade         | 47,000                  |                        | 10/23/09                       | 12/22/09     | 395.87      | 404.06                 | -8.19     |         | Y                 |
| PRICELINE.COM INC NEW                       | Trade         | 2,000                   |                        | 05/28/09                       | 11/19/09     | 410.78      | 214.54                 | 196.24    |         | Y                 |
|                                             | Trade         | 2,000                   |                        | 05/29/09                       | 11/19/09     | 412.49      | 219.39                 | 193.10    |         | Y                 |
| QUALCOMM INC                                | Trade         | 12,000                  |                        | 05/28/09                       | 10/01/09     | 516.08      | 517.90                 | -1.82     |         | Y                 |
|                                             | Trade         | 14,000                  |                        | 05/28/09                       | 10/02/09     | 589.59      | 604.21                 | -14.62    |         | Y                 |
| RYDER SYSTEM INC                            | Trade         | 5,000                   |                        | 07/30/09                       | 11/17/09     | 215.64      | 171.99                 | 43.65     |         | Y                 |
| SAIC INC                                    | Trade         | 25,000                  |                        | 05/28/09                       | 08/11/09     | 450.27      | 436.00                 | 14.27     |         | Y                 |
|                                             | Trade         | 65,000                  |                        | 05/28/09                       | 06/11/09     | 1,171.26    | 1,133.59               | 37.67     |         | Y                 |
| SANDRIDGE ENERGY INC                        | Trade         | 23,000                  |                        | 05/28/09                       | 06/22/09     | 186.57      | 242.41                 | -55.84    |         | Y                 |
|                                             | Trade         | 74,000                  |                        | 05/28/09                       | 06/23/09     | 592.14      | 779.94                 | -187.80   |         | Y                 |
|                                             | Trade         | 46,000                  |                        | 05/28/09                       | 06/24/09     | 374.43      | 484.83                 | -110.40   |         | Y                 |
|                                             | Trade         | 27,000                  |                        | 05/28/09                       | 06/25/09     | 223.59      | 284.57                 | -60.98    |         | Y                 |
| SHANDA INTERACTIVE<br>ENTERTAINMENT LTD ADS | Trade         | 20,000                  |                        | 05/28/09                       | 08/20/09     | 973.55      | 1,102.76               | -129.21   |         | Y                 |
| SOLERA HOLDINGS INC                         | Trade         | 30,000                  |                        | 05/28/09                       | 08/15/09     | 749.64      | 692.53                 | 57.11     |         | Y                 |
|                                             | Trade         | 26,000                  |                        | 05/28/09                       | 10/27/09     | 865.09      | 600.19                 | 264.90    |         | Y                 |
| ST JUDE MEDICAL INC                         | Trade         | 17,000                  |                        | 05/28/09                       | 10/06/09     | 578.74      | 640.69                 | -61.95    |         | Y                 |
|                                             | Trade         | 23,000                  |                        | 05/28/09                       | 10/07/09     | 766.74      | 868.81                 | -100.07   |         | Y                 |
| STATE STREET CORP                           | Trade         | 30,000                  |                        | 05/28/09                       | 07/24/09     | 1,452.81    | 1,338.30               | 114.51    |         | Y                 |

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

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

| Security Description                       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|--------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| STEEL DYNAMICS INC                         | Trade         | 10,000                  |                        | 06/12/09                       | 08/20/09     | 164.91      | 160.00                 | 4.91      |         | Y                 |
|                                            | Trade         | 26,000                  |                        | 06/12/09                       | 10/01/09     | 383.79      | 416.00                 | -32.21    |         | Y                 |
|                                            | Trade         | 14,000                  |                        | 06/12/09                       | 10/02/09     | 205.14      | 224.00                 | -18.86    |         | Y                 |
|                                            | Trade         | 36,000                  |                        | 06/12/09                       | 10/06/09     | 556.18      | 576.00                 | -19.82    |         | Y                 |
|                                            | Trade         | 7,000                   |                        | 06/12/09                       | 10/20/09     | 107.85      | 112.00                 | -4.15     |         | Y                 |
|                                            | Trade         | 93,000                  |                        | 06/16/09                       | 10/20/09     | 1,432.87    | 1,424.76               | 8.11      |         | Y                 |
|                                            | Trade         | 10,000                  |                        | 07/10/09                       | 10/20/09     | 154.07      | 135.08                 | 18.99     |         | Y                 |
|                                            |               |                         |                        |                                |              |             |                        |           |         |                   |
| SUNCOR ENERGY INC NEW                      | Trade         | 5,000                   |                        | 05/28/09                       | 10/05/09     | 165.74      | 173.60                 | -7.86     |         | Y                 |
|                                            |               |                         |                        |                                |              |             |                        |           |         |                   |
| SWIFT ENERGY CO (HOLDING<br>CO)            | Trade         | 30,000                  |                        | 06/17/09                       | 07/10/09     | 410.49      | 548.77                 | -138.28   |         | Y                 |
|                                            | Trade         | 16,000                  |                        | 08/17/09                       | 11/19/09     | 355.05      | 292.68                 | 62.37     |         | Y                 |
|                                            | Trade         | 5,000                   |                        | 06/17/09                       | 11/19/09     | 111.28      | 91.46                  | 19.82     |         | Y                 |
|                                            | Trade         | 18,000                  |                        | 06/18/09                       | 11/19/09     | 400.61      | 330.59                 | 70.02     |         | Y                 |
|                                            | Trade         | 25,000                  |                        | 08/18/09                       | 11/20/09     | 543.45      | 459.15                 | 84.30     |         | Y                 |
|                                            | Trade         | 13,000                  |                        | 06/19/09                       | 11/20/09     | 282.59      | 246.90                 | 35.69     |         | Y                 |
|                                            | Trade         | 41,000                  |                        | 08/06/09                       | 11/20/09     | 891.26      | 741.23                 | 150.03    |         | Y                 |
|                                            |               |                         |                        |                                |              |             |                        |           |         |                   |
| SYBASE INC                                 | Trade         | 50,000                  |                        | 05/28/09                       | 08/06/09     | 1,752.58    | 1,632.00               | 120.58    |         | Y                 |
|                                            |               |                         |                        |                                |              |             |                        |           |         |                   |
| SYMANTEC CORP                              | Trade         | 80,000                  |                        | 05/28/09                       | 07/30/09     | 1,208.54    | 1,220.80               | -12.26    |         | Y                 |
|                                            |               |                         |                        |                                |              |             |                        |           |         |                   |
| TAIWAN SEMICONDUCTOR MFG<br>CO LTD ADR     | Trade         | 49,000                  |                        | 05/28/09                       | 10/13/09     | 488.70      | 541.61                 | -52.91    |         | Y                 |
|                                            | Trade         | 159,000                 |                        | 05/28/09                       | 10/16/09     | 1,555.44    | 1,757.46               | -202.02   |         | Y                 |
|                                            | Trade         | 73,000                  |                        | 05/28/09                       | 10/19/09     | 725.73      | 806.89                 | -81.16    |         | Y                 |
|                                            | Trade         | 140,000                 |                        | 05/28/09                       | 08/15/09     | 806.37      | 788.01                 | 38.36     |         | Y                 |
|                                            |               |                         |                        |                                |              |             |                        |           |         |                   |
| TENNECO INC                                | Trade         | 41,000                  |                        | 08/03/09                       | 09/24/09     | 551.44      | 713.58                 | -162.14   |         | Y                 |
|                                            | Trade         | 15,000                  |                        | 08/04/09                       | 09/24/09     | 201.74      | 249.88                 | -48.14    |         | Y                 |
|                                            | Trade         | 1,000                   |                        | 08/05/09                       | 09/24/09     | 13.45       | 16.72                  | -3.27     |         | Y                 |
|                                            | Trade         | 20,000                  |                        | 08/05/09                       | 09/25/09     | 258.04      | 334.40                 | -76.36    |         | Y                 |
|                                            | Trade         | 21,000                  |                        | 08/06/09                       | 09/25/09     | 270.94      | 351.87                 | -80.93    |         | Y                 |
|                                            | Trade         | 21,000                  |                        | 08/07/09                       | 09/25/09     | 270.94      | 382.13                 | -91.19    |         | Y                 |
|                                            |               |                         |                        |                                |              |             |                        |           |         |                   |
| TEVA PHARMACEUTICALS IND<br>LTD ISRAEL ADR | Trade         | 28,000                  |                        | 05/28/09                       | 06/05/09     | 1,238.91    | 1,208.16               | 30.75     |         | Y                 |
|                                            | Trade         | 11,000                  |                        | 05/28/09                       | 07/22/09     | 544.17      | 511.15                 | 33.02     |         | Y                 |

Account Number 8R 08817 75  
Your Financial Advisor or Contact  
DWIGHT WEST  
303-267-3000/800-288-5258

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UBS Financial Services Inc.

2009 Consolidated Form 1099

P01G103518-X18

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

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

| Security Description            | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| THERMO FISHER SCIENTIFIC<br>INC | Trade         | 13,000                  |                        | 05/28/09                       | 12/23/09     | 638.88      | 497.51                 | 139.37    |         | Y                 |
|                                 | Trade         | 13,000                  |                        | 05/28/09                       | 12/24/09     | 638.20      | 497.51                 | 138.69    |         | Y                 |
|                                 | Trade         | 12,000                  |                        | 05/28/09                       | 12/28/09     | 580.84      | 459.24                 | 121.70    |         | Y                 |
|                                 | Trade         | 12,000                  |                        | 05/28/09                       | 12/29/09     | 581.90      | 459.24                 | 122.66    |         | Y                 |
| TIME WARNER INC NEW             | Trade         | 50,000                  |                        | 05/28/09                       | 07/30/09     | 1,347.51    | 1,184.41               | 163.10    |         | Y                 |
| TYCO ELECTRONICS LTD            | Trade         | 26,000                  |                        | 07/13/09                       | 09/18/09     | 613.58      | 442.41                 | 171.17    |         | Y                 |
|                                 | Trade         | 20,000                  |                        | 07/13/09                       | 10/13/09     | 450.77      | 340.31                 | 110.46    |         | Y                 |
|                                 | Trade         | 1,000                   |                        | 07/13/09                       | 11/04/09     | 22.75       | 17.02                  | 5.73      |         | Y                 |
|                                 | Trade         | 6,000                   |                        | 07/24/09                       | 11/04/09     | 136.48      | 120.00                 | 16.48     |         | Y                 |
|                                 | Trade         | 18,000                  |                        | 07/24/09                       | 11/05/09     | 416.91      | 360.00                 | 56.91     |         | Y                 |
|                                 | Trade         | 8,000                   |                        | 07/24/09                       | 11/06/09     | 183.59      | 160.00                 | 23.59     |         | Y                 |
|                                 | Trade         | 3,000                   |                        | 07/24/09                       | 11/09/09     | 88.46       | 60.00                  | 8.46      |         | Y                 |
|                                 | Trade         | 5,000                   |                        | 08/20/09                       | 11/09/09     | 114.09      | 116.93                 | -2.84     |         | Y                 |
|                                 | Trade         | 15,000                  |                        | 08/20/09                       | 11/10/09     | 343.88      | 350.78                 | -6.92     |         | Y                 |
| TYCO INTL LTD                   | Trade         | 70,000                  |                        | 05/28/09                       | 07/01/09     | 1,860.90    | 1,885.03               | -24.13    |         | Y                 |
| TYSON FOODS INC CL A            | Trade         | 121,000                 |                        | 06/19/09                       | 07/20/09     | 1,388.63    | 1,541.35               | -152.72   |         | Y                 |
| UQM TECHNOLOGIES INC            | Trade         | 25,000                  |                        | 10/30/09                       | 11/05/09     | 117.99      | 115.50                 | 2.49      |         | Y                 |
|                                 | Trade         | 18,000                  |                        | 10/30/09                       | 11/06/09     | 86.25       | 83.16                  | 3.09      |         | Y                 |
|                                 | Trade         | 16,000                  |                        | 10/30/09                       | 11/08/09     | 75.87       | 73.92                  | 1.95      |         | Y                 |
|                                 | Trade         | 19,000                  |                        | 10/30/09                       | 11/09/09     | 91.19       | 87.78                  | 3.41      |         | Y                 |
|                                 | Trade         | 37,000                  |                        | 10/30/09                       | 11/10/09     | 179.19      | 170.94                 | 8.25      |         | Y                 |
| WAL MART STORES INC             | Trade         | 50,000                  |                        | 05/28/09                       | 07/30/09     | 2,502.49    | 2,475.39               | 27.10     |         | Y                 |
| YAHOO INC                       | Trade         | 5,000                   |                        | 10/21/09                       | 11/17/09     | 80.05       | 89.79                  | -9.74     |         | Y                 |
|                                 | Trade         | 48,000                  |                        | 10/21/09                       | 11/19/09     | 746.86      | 861.97                 | -115.11   |         | Y                 |
|                                 | Trade         | 53,000                  |                        | 10/21/09                       | 11/19/09     | 824.65      | 942.22                 | -117.57   |         | Y                 |
| YUMI BRANDS INC                 | Trade         | 70,000                  |                        | 05/28/09                       | 10/29/09     | 2,370.91    | 2,379.20               | -8.29     |         | Y                 |
| ZHONGPIN INC                    | Trade         | 3,000                   |                        | 10/12/09                       | 11/09/09     | 38.17       | 44.07                  | -5.90     |         | Y                 |
|                                 | Trade         | 38,000                  |                        | 10/13/09                       | 11/09/09     | 483.50      | 566.39                 | -82.89    |         | Y                 |
|                                 | Trade         | 2,000                   |                        | 10/14/09                       | 11/09/09     | 25.45       | 31.81                  | -6.36     |         | Y                 |

Continued on page 29

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Account Number 8R 08817 75  
Your Financial Advisor or Contact  
DWIGHT WEST  
303-267-3000/800-288-5258

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UBS Financial Services Inc.

2009 Consolidated Form 1099

P01G105518-X18

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

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

| Security Description              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount       | Cost or Other<br>Basis | Gain/Loss        | Remarks | Matches<br>1099-B |
|-----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------------|------------------------|------------------|---------|-------------------|
| ZHONGPIN INC                      | Trade         | 17.000                  |                        | 10/14/09                       | 11/10/09     | 213.57            | 270.40                 | -56.83           |         | Y                 |
|                                   | Trade         | 26.000                  |                        | 10/16/09                       | 11/10/09     | 326.63            | 413.87                 | -87.24           |         | Y                 |
| <b>Total Short-Term Gain/Loss</b> |               |                         |                        |                                |              | <b>177,506.47</b> | <b>167,278.27</b>      | <b>10,228.20</b> |         |                   |



Account Number 8R 08815 75  
Your Financial Advisor or Contact  
DWIGHT WEST  
303-287-3000/800-288-5258

Page 5 of 6

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

P01L185471-X1

**Dividends and Distributions Details Reported on Form 1099-DIV - continued**

| Description                                  | Additional Information | Ex Date | Payment Date | Tax year | Amount   |
|----------------------------------------------|------------------------|---------|--------------|----------|----------|
| POTASH CORP SASK INC CANADA                  |                        |         | 08/07/09     | 2009     | .90      |
|                                              |                        |         | 11/09/09     | 2009     | .90      |
| Sub Total: POTASH CORP SASK INC              |                        |         |              |          | \$ 1.80  |
| SUNCOR ENERGY INC NEW                        |                        |         | 09/25/09     | 2009     |          |
|                                              |                        |         | 12/23/09     | 2009     | 6.03     |
| Sub Total: SUNCOR ENERGY INC NEW             |                        |         |              |          | \$ 6.03  |
| SUNCOR INC **MERGER EFF: 07/2009**           |                        |         | 08/25/09     | 2009     | 1.39     |
| TALISMAN ENERGY INC                          |                        |         | 06/30/09     | 2009     | 1.45     |
|                                              |                        |         | 12/31/09     | 2009     | 1.60     |
| Sub Total: TALISMAN ENERGY INC               |                        |         |              |          | \$ 3.05  |
| UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR |                        |         | 12/18/09     | 2009     | 8.29     |
| VALE SA-SP SPON ADR                          |                        |         | 11/06/09     | 2009     | 11.74    |
| Total Line 6 Foreign tax paid                |                        |         |              |          | \$ 56.00 |

**Interest Income Details Reported on Form 1099-INT**

In addition to amounts reported in Box 3, income from certain Federal Agency obligations reported in Box 1 may be exempt from state taxes. Please consult your tax advisor concerning your specific tax situation. For clients holding REMICs / Other CDOs: you may receive a corrected Consolidated Form 1099 in March. This Form will contain a Supplemental Information Statement comprised of rate accruals provided to us by the issuers' agents. This is information that is not available in January and is necessary for individual tax filing purposes. See enclosure for more information.

| Description                                | Additional Information | Payment Date | Tax year | Amount |
|--------------------------------------------|------------------------|--------------|----------|--------|
| UBS BANK USA DEPOSIT ACCOUNT               |                        | 05/28/09     | 2009     | \$     |
| Total Line 1 Interest Income (less line 3) |                        |              |          | \$ .24 |

**Proceeds from Broker Transactions Details Reported on Form 1099-B**

"Net proceeds" is the amount reported to the IRS. Accrued interest is reported on Form 1099-INT and details are also included in that Form's detail section.

| Date of sale or activity (Line #1a) | Activity   | Quantity/<br>Face value/<br>Shares exchanged | Description (Line #7)  | Class of stock<br>exchanged (Line #8) | Cusip number<br>(Line #1b) | Net proceeds<br>(Line #2) | Accrued<br>Interest | Federal Income tax<br>withheld (Line #4) |
|-------------------------------------|------------|----------------------------------------------|------------------------|---------------------------------------|----------------------------|---------------------------|---------------------|------------------------------------------|
| 12/04/09                            | Redemption |                                              | AXA ADR                |                                       | 054536107                  | 47.58                     | .00                 | .00                                      |
| 07/17/09                            | Redemption |                                              | RIO TINTO PLC SPON ADR |                                       | 767204100                  | 912.24                    | .00                 | .00                                      |
|                                     | Total      |                                              |                        |                                       |                            | \$ 959.82                 | \$ 0.00             | \$ 0.00                                  |

Form **8868**

(Rev. April 2009)

Department of the Treasury  
Internal Revenue Service**Application for Extension of Time to File an  
Exempt Organization Return**

OMB No. 1545-1709

► **File a separate application for each return.**

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

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

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

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

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

|                                                                                     |                                                                                                                          |                                                    |
|-------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|
| Type or print<br><br>File by the due date for filing your return. See instructions. | Name of Exempt Organization<br><b>Irene W. &amp; C.B. Pennington Foundation</b>                                          | Employer identification number<br><b>720938097</b> |
|                                                                                     | Number, street, and room or suite no. If a P.O. box, see instructions.<br><b>P O. Box 1083</b>                           |                                                    |
|                                                                                     | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br><b>Baton Rouge, LA 70821</b> |                                                    |

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

|                                                 |                                                                   |                                    |
|-------------------------------------------------|-------------------------------------------------------------------|------------------------------------|
| <input type="checkbox"/> Form 990               | <input type="checkbox"/> Form 990-T (corporation)                 | <input type="checkbox"/> Form 4720 |
| <input type="checkbox"/> Form 990-BL            | <input type="checkbox"/> Form 990-T (sec. 401(a) or 408(a) trust) | <input type="checkbox"/> Form 5227 |
| <input type="checkbox"/> Form 990-EZ            | <input type="checkbox"/> Form 990-T (trust other than above)      | <input type="checkbox"/> Form 6069 |
| <input checked="" type="checkbox"/> Form 990-PF | <input type="checkbox"/> Form 1041-A                              | <input type="checkbox"/> Form 8870 |

- The books are in the care of ► **Entity**

Telephone No. ► \_\_\_\_\_ FAX No. ► \_\_\_\_\_

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

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 8-15, 10, to file the exempt organization return for the organization named above. The extension is for the organization's return for:

- ☒ calendar year 2009 or  
 ► ☐ tax year beginning \_\_\_\_\_, \_\_\_\_\_, and ending \_\_\_\_\_, \_\_\_\_\_.

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

|                                                                                                                                                                                                                                      |           |               |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------------|
| <b>3a</b> If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.                                                                           | <b>3a</b> | \$ <u>-0-</u> |
| <b>b</b> If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.                                                      | <b>3b</b> | \$ <u>2-</u>  |
| <b>c</b> <b>Balance Due.</b> Subtract line 3b from line 3a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | <b>3c</b> | \$ <u>10-</u> |

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

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

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

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒ **X**
- Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.
- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1).

|                                                                                             |                                                                                          |                                                                                                         |                                |
|---------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|--------------------------------|
| <b>Part II</b>                                                                              |                                                                                          | <b>Additional (Not Automatic) 3-Month Extension of Time.</b> Only file the original (no copies needed). |                                |
| Type or print<br><br>File by the extended due date for filing the return. See instructions. | Name of Exempt Organization                                                              |                                                                                                         | Employer identification number |
|                                                                                             | IRENE W. AND C. B. PENNINGTON FOUNDATION                                                 |                                                                                                         | 72-0938097                     |
|                                                                                             | Number, street, and room or suite no. If a P.O. box, see instructions.                   |                                                                                                         | For IRS use only               |
|                                                                                             | P.O. BOX 1083                                                                            |                                                                                                         |                                |
|                                                                                             | City, town or post office, state, and ZIP code. For a foreign address, see instructions. |                                                                                                         |                                |
|                                                                                             | BATON ROUGE, LA 70821                                                                    |                                                                                                         |                                |

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

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

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

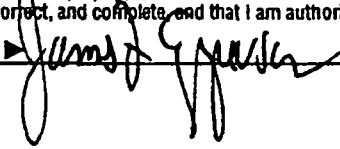
**POSTLETHWAITE & NETTERVILLE, CPA'S**

- The books are in the care of **8550 UNITED PLAZA BLVD., BATON ROUGE, LA - 70809**  
Telephone No. **(225) 922-4600** FAX No. \_\_\_\_\_
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_. If this is for the whole group, check this box ☐. If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for.
- 4 I request an additional 3-month extension of time until **NOVEMBER 15, 2010.**
- 5 For calendar year **2009**, or other tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_.
- 6 If this tax year is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period
- 7 State in detail why you need the extension \_\_\_\_\_

|                                                                                                                                                                                                                                      |    |    |          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----|----------|
| 8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.                                                                                  | 8a | \$ | 375,123. |
| 8b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868. | 8b | \$ | 375,123. |
| 8c Balance Due. Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.              | 8c | \$ | 0.       |

**Signature and Verification**

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

Signature  Title CPA Date 8/12/10  
Form 8868 (Rev. 4-2009)

Form **8868**

(Rev. April 2009)

Department of the Treasury  
Internal Revenue Service

BPEI101

RJS

990T (Trust other)

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

OMB No 1545-1709

▶ **File a separate application for each return.**

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

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

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

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

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|                                                               |                                                                                                                          |                                |
|---------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|--------------------------------|
| Type or print                                                 | Name of Exempt Organization                                                                                              | Employer identification number |
|                                                               | <b>Irene W. &amp; C.B. Pennington Foundation - 990T</b>                                                                  | <b>72-0938097</b>              |
|                                                               | Number, street, and room or suite no. If a P O box, see instructions.<br><b>8550 United Plaza Blvd, Ste. 1001</b>        |                                |
| File by the due date for filing your return. See instructions | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br><b>Baton Rouge, LA 70809</b> |                                |

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

- |                                      |                                                                   |                                    |
|--------------------------------------|-------------------------------------------------------------------|------------------------------------|
| <input type="checkbox"/> Form 990    | <input checked="" type="checkbox"/> Form 990-T (corporation)      | <input type="checkbox"/> Form 4720 |
| <input type="checkbox"/> Form 990-BL | <input type="checkbox"/> Form 990-T (sec. 401(a) or 408(a) trust) | <input type="checkbox"/> Form 5227 |
| <input type="checkbox"/> Form 990-EZ | <input type="checkbox"/> Form 990-T (trust other than above)      | <input type="checkbox"/> Form 6069 |
| <input type="checkbox"/> Form 990-PF | <input type="checkbox"/> Form 1041-A                              | <input type="checkbox"/> Form 8870 |

- The books are in the care of ▶ Entity

Telephone No ▶ \_\_\_\_\_ FAX No. ▶ \_\_\_\_\_

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

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 11-15, 10 to file the exempt organization return for the organization named above. The extension is for the organization's return for

- ▶ ☒ calendar year 2009 or
- ▶ ☐ tax year beginning \_\_\_\_\_, \_\_\_\_\_, and ending \_\_\_\_\_, \_\_\_\_\_.

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

|                                                                                                                                                                                                                               |    |                   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-------------------|
| 3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.                                                                           | 3a | \$ <u>132,910</u> |
| b If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.                                                      | 3b | \$ <u>132,910</u> |
| c <b>Balance Due.</b> Subtract line 3b from line 3a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | 3c | \$ <u>-0</u>      |

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

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

Form 8868 (Rev. 4-2009)