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

2009

Department of the Treasury
Internal Revenue Service

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

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

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

| | | | |
|--|---|--|---|
| Use the IRS label. Otherwise, print or type. See Specific Instructions | Name of foundation THE RALPH AND VIRGINIA MULLIN FOUNDATION | | A Employer identification number 74-3069850 |
| | C/O ROBERT RAUH | | B Telephone number (520) 881-6607 |
| | Number and street (or P O box number if mail is not delivered to street address) 2401 EAST SPEEDWAY BOULEVARD | | |
| | Room/suite TUCSON, AZ 85719 | | |
| H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation | | | |
| I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 706,758. (Part I, column (d) must be on cash basis.) | | J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ | |
| C If exemption application is pending check here <input type="checkbox"/> D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> | | | |

| 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 | 7,350. | | N/A | |
| 2 | Check <input type="checkbox"/> If the foundation is not required to attach Sch B | | | | |
| 3 | Interest on savings and temporary cash investments | 5,188. | 5,188. | | STATEMENT 1 |
| 4 | Dividends and interest from securities | 13,712. | 13,712. | | STATEMENT 2 |
| 5a | Gross rents | | | | |
| b | Net rental income or (loss) | | | | |
| 6a | Net gain or (loss) from sale of assets not on line 10 | <300,019.> | | | |
| b | Gross sales price for all assets on line 6a | 681,916. | | | |
| 7 | Capital gain net income (from Part IV, line 2) | | 0. | | |
| 8 | Net short-term capital gain | | | | |
| 9 | Income modifications | | | | |
| 10a | Gross sales less returns and allowances | | | | |
| b | Less Cost of goods sold | | | | |
| c | Gross profit or (loss) | | | | |
| 11 | Other income | | | | |
| 12 | Total. Add lines 1 through 11 | <273,769.> | 18,900. | | |
| 13 | Compensation of officers, directors, trustees, etc. | 0. | 0. | | 0. |
| 14 | Other employee salaries and wages | | | | |
| 15 | Pension plans, employee benefits | | | | |
| 16a | Legal fees STMT 3 | 14,383. | 4,794. | | 0. |
| b | Accounting fees STMT 4 | 1,525. | 762. | | 0. |
| c | Other professional fees | | | | |
| 17 | Interest | | | | |
| 18 | Taxes STMT 5 | 328. | 0. | | 0. |
| 19 | Depreciation and depletion | 296. | 0. | | |
| 20 | Occupancy | | | | |
| 21 | Travel, conferences, and meetings | | | | |
| 22 | Printing and publications | | | | |
| 23 | Other expenses STMT 6 | 208. | 0. | | 0. |
| 24 | Total operating and administrative expenses. Add lines 13 through 23 | 16,740. | 5,556. | | 0. |
| 25 | Contributions, gifts, grants paid | 93,385. | | | 93,385. |
| 26 | Total expenses and disbursements. Add lines 24 and 25 | 110,125. | 5,556. | | 93,385. |
| 27 | Subtract line 26 from line 12: | | | | |
| a | Excess of revenue over expenses and disbursements | <383,894.> | | | |
| b | Net investment income (if negative, enter -0-) | | 13,344. | | |
| c | Adjusted net income (if negative, enter -0-) | | | N/A | |

Part II Balance Sheets

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

| | | Beginning of year | End of year | |
|--|--|-------------------|-----------------|-----------------------|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 Cash - non-interest-bearing | | | |
| | 2 Savings and temporary cash investments | 159,277. | 32,841. | 32,841. |
| | 3 Accounts receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 Other notes and loans receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments - U.S. and state government obligations STMT 7 | 0. | 202,866. | 200,307. |
| | b Investments - corporate stock STMT 8 | 1,001,667. | 541,639. | 473,312. |
| | c Investments - corporate bonds | | | |
| 11 Investments - land, buildings and equipment basis ▶ | | | | |
| Less: accumulated depreciation ▶ | | | | |
| 12 Investments - mortgage loans | | | | |
| 13 Investments - other | | | | |
| 14 Land, buildings, and equipment: basis ▶ 1,482. | | | | |
| Less: accumulated depreciation STMT 9 ▶ 1,184. | 594. | 298. | 298. | |
| 15 Other assets (describe ▶) | | | | |
| 16 Total assets (to be completed by all filers) | 1,161,538. | 777,644. | 706,758. | |
| Liabilities | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable | | | |
| | 22 Other liabilities (describe ▶) | | | |
| | 23 Total liabilities (add lines 17 through 22) | 0. | 0. | |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31 | | | |
| | 24 Unrestricted | 1,161,538. | 777,644. | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31. | | | |
| | 27 Capital stock, trust principal, or current funds | | | |
| | 28 Paid-in or capital surplus, or land, bldg, and equipment fund | | | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | | | |
| 30 Total net assets or fund balances | 1,161,538. | 777,644. | | |
| 31 Total liabilities and net assets/fund balances | 1,161,538. | 777,644. | | |

Part III Analysis of Changes in Net Assets or Fund Balances

| | | |
|---|---|------------|
| 1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 1,161,538. |
| 2 Enter amount from Part I, line 27a | 2 | <383,894.> |
| 3 Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 Add lines 1, 2, and 3 | 4 | 777,644. |
| 5 Decreases not included in line 2 (itemize) ▶ | 5 | 0. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 777,644. |

Form 990-PF (2009)

THE RALPH AND VIRGINIA MULLIN FOUNDATION

Form 990-PF (2009)

C/O ROBERT RAUH

74-3069850

Page 3

Part IV Capital Gains and Losses for Tax on Investment Income

| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs MLC Co.) | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|--|--------------------------------------|----------------------------------|
| 1a 21.750 CAPITAL WORLD GROWTH & INC | P | 03/02/09 | 03/02/09 |
| b RBC SEE ATTACHED SCHEDULE | P | VARIOUS | VARIOUS |
| c RBC SEE ATTACHED SCHEDULE | P | VARIOUS | VARIOUS |
| d | | | |
| e | | | |

| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|-----------------------|--|---|--|
| a 457. | | | 457. |
| b 321,071. | | 324,876. | <3,805.> |
| c 360,388. | | 657,059. | <296,671.> |
| d | | | |
| e | | | |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---------------------------|--------------------------------------|---|---|
| a | | | 457. |
| b | | | <3,805.> |
| c | | | <296,671.> |
| d | | | |
| e | | | |

| | | | |
|--|---|----------|------------|
| 2 Capital gain net income or (net capital loss) | { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 | 2 | <300,019.> |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 | | 3 | N/A |

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

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

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

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

☐ Yes ☒ No

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col. (b) divided by col. (c)) |
|--|--|--|---|
| 2008 | 56,435. | 1,042,017. | .054159 |
| 2007 | 68,901. | 1,225,413. | .056227 |
| 2006 | 66,794. | 1,172,196. | .056982 |
| 2005 | 55,265. | 1,077,179. | .051305 |
| 2004 | | | |

| | | |
|---|----------|----------|
| 2 Total of line 1, column (d) | 2 | .218673 |
| 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 | .054668 |
| 4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5 | 4 | 717,059. |
| 5 Multiply line 4 by line 3 | 5 | 39,200. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 133. |
| 7 Add lines 5 and 6 | 7 | 39,333. |
| 8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions. | 8 | 93,385. |

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 <input type="checkbox"/> 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 <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b | | 1 | 133. |
| c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b) | | | |
| 2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 2 | 0. |
| 3 Add lines 1 and 2 | | 3 | 133. |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 4 | 0. |
| 5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- | | 5 | 133. |
| 6 Credits/Payments: | | | |
| a 2009 estimated tax payments and 2008 overpayment credited to 2009 | 6a | 212. | |
| b Exempt foreign organizations - tax withheld at source | 6b | | |
| c Tax paid with application for extension of time to file (Form 8868) | 6c | | |
| d Backup withholding erroneously withheld | 6d | | |
| 7 Total credits and payments. Add lines 6a through 6d | 7 | 212. | |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached | 8 | | |
| 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed | 9 | | |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid | 10 | 79. | |
| 11 Enter the amount of line 10 to be: Credited to 2010 estimated tax <input checked="" type="checkbox"/> 79. Refunded <input checked="" type="checkbox"/> | 11 | 0. | |

Part VII-A Statements Regarding Activities

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

N/A

Part VII-A Statements Regarding Activities (continued)

| | | | | |
|----|---|--------------------------------------|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008? | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u> | 13 | X | |
| 14 | The books are in care of ► <u>ROB RAUH, TRUSTEE</u> Telephone no. ► <u>520-881-6607</u> Located at ► <u>2401 E. SPEEDWAY BOULEVARD, TUCSON, AZ</u> ZIP+4 ► <u>85719</u> | | | |
| 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 | <input type="checkbox"/> 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 checked="" type="checkbox"/> Yes <input 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)? Organizations relying on a current notice regarding disaster assistance check here | 1b | X |
| c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009? | 1c | X |
| 2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | |
| a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? If "Yes," list the years ► _____ | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) | N/A | 2b |
| c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ► _____ | | |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | <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 | 3b |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | X |
| b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009? | 4b | X |

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

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

6b

X

If "Yes" to 6b, file Form 8870

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

☐ Yes ☒ No

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

N/A

7b

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|--|---|---|---|---------------------------------------|
| ROB RAUH 2401 E. SPEEDWAY BOULEVARD TUCSON, AZ 85719 | PRESIDENT 5.00 | 0. | 0. | 0. |
| | | | | |
| | | | | |
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| | | | | |

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

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

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 | 694,725. |
| b | Average of monthly cash balances | 1b | 33,254. |
| c | Fair market value of all other assets | 1c | |
| d | Total (add lines 1a, b, and c) | 1d | 727,979. |
| 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 | 727,979. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 10,920. |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 717,059. |
| 6 | Minimum investment return. Enter 5% of line 5 | 6 | 35,853. |

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 | 35,853. |
| 2a | Tax on investment income for 2009 from Part VI, line 5 | 2a | 133. |
| b | Income tax for 2009 (This does not include the tax from Part VI) | 2b | |
| c | Add lines 2a and 2b | 2c | 133. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 35,720. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 35,720. |
| 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 | 35,720. |

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 | 93,385. |
| 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 | 93,385. |
| 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 | 133. |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4 | 6 | 93,252. |

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) Corpus | (b) Years prior to 2008 | (c) 2008 | (d) 2009 |
|--|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2009 from Part XI, line 7 | | | | 35,720. |
| 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 | | | | |
| b From 2005 | 1,866. | | | |
| c From 2006 | 9,614. | | | |
| d From 2007 | 9,414. | | | |
| e From 2008 | 5,042. | | | |
| f Total of lines 3a through e | 25,936. | | | |
| 4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$ 93,385. | | | | |
| 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 | | | | 35,720. |
| e Remaining amount distributed out of corpus | 57,665. | | | |
| 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 | 83,601. | | | |
| 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 | 0. | | | |
| 9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a | 83,601. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2005 | 1,866. | | | |
| b Excess from 2006 | 9,614. | | | |
| c Excess from 2007 | 9,414. | | | |
| d Excess from 2008 | 5,042. | | | |
| e Excess from 2009 | 57,665. | | | |

N/A

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

☐ 4942(i)(3) or ☐ 4942(i)(5)

- b 85% of line 2a**

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

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

- e Qualifying distributions made directly for active conduct of exempt activities.

Subtract line 2d from line 2c

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

- a "Assets" alternative test - enter:
(1) Value of all assets

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

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

- c "Support" alternative test - enter:

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

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

- (3) Largest amount of support from an exempt organization**

- (4) Gross investment income**

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

1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

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

- c Any submission deadlines:**

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

| | |
|----------------|--|
| Part XV | Supplementary Information (continued) |
|----------------|--|

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

[illegible]

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|---------------------------|---------------|--------------------------------------|---------------|---|
| | (a) Business code | (b) Amount | (c) Exclu- sion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a _____ | | | | | |
| b _____ | | | | | |
| c _____ | | | | | |
| d _____ | | | | | |
| e _____ | | | | | |
| f _____ | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 5,188. | |
| 4 Dividends and interest from securities | | | 14 | 13,712. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 14 | <300,019.> | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue | | | | | |
| a _____ | | | | | |
| b _____ | | | | | |
| c _____ | | | | | |
| d _____ | | | | | |
| e _____ | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | 0. | | <281,119.> | 0. |
| 13 Total. Add line 12, columns (b), (d), and (e) | | | | <281,119.> | |

(See worksheet in line 13 instructions to verify calculations.)

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

[illegible]

2009.03010 THE RALPH AND VIRGINIA MULL 10270 1

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

THE RALPH AND VIRGINIA MULLIN FOUNDATION
C/O ROBERT RAUH

Employer identification number

74-3069850

Organization type (check one).

Filers of:

Section:

Form 990 or 990-EZ

☐

501(c)() (enter number) organization

☐

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

☐

527 political organization

Form 990-PF

☒

501(c)(3) exempt private foundation

☐

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

☐

501(c)(3) taxable private foundation

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

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

Special Rules

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

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990, or check the box 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
THE RALPH AND VIRGINIA MULLIN FOUNDATION
C/O ROBERT RAUH

Employer identification number

74-3069850

Part I Contributors (see instructions)

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Aggregate contributions | (d) Type of contribution |
|------------|--|--------------------------------|---|
| 1 | CHRIS MULLIN ESTATE 2401 E. SPEEDWAY BLVD TUCSON, AZ 85719 | \$ 7,350. | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| | | | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution.) |
| | | | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| | | | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| | | | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| | | | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |
| | | | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution) |

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

| SOURCE | AMOUNT |
|--|--------|
| BANK OF TUCSON | 35. |
| RBC WEALTH MANAGEMENT | 5,153. |
| TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A | 5,188. |

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|----------------------------------|--------------|----------------------------|----------------------|
| RBC WEALTH MANAGEMENT | 13,712. | 0. | 13,712. |
| TOTAL TO FM 990-PF, PART I, LN 4 | 13,712. | 0. | 13,712. |

FORM 990-PF LEGAL FEES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| LEGAL | 14,383. | 4,794. | | 0. |
| TO FM 990-PF, PG 1, LN 16A | 14,383. | 4,794. | | 0. |

FORM 990-PF ACCOUNTING FEES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| ACCOUNTING FEES | 1,525. | 762. | | 0. |
| TO FORM 990-PF, PG 1, LN 16B | 1,525. | 762. | | 0. |

| FORM 990-PF | TAXES | | | STATEMENT | 5 |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|---|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES | |
| INCOME TAX | 328. | 0. | | 0. | |
| TO FORM 990-PF, PG 1, LN 18 | 328. | 0. | | 0. | |

| FORM 990-PF | OTHER EXPENSES | | | STATEMENT | 6 |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|---|
| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES | |
| BANK CHARGES | 10. | 0. | | 0. | |
| ADMINISTRATIVE EXPENSES | 198. | 0. | | 0. | |
| TO FORM 990-PF, PG 1, LN 23 | 208. | 0. | | 0. | |

| FORM 990-PF | U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS | | | STATEMENT | 7 |
|--|--|----------------|------------|----------------------|---|
| DESCRIPTION | U.S. GOV'T | OTHER GOV'T | BOOK VALUE | FAIR MARKET VALUE | |
| GOVERNMENT NATIONAL MTG ASSN | X | | 10,000. | 9,520. | |
| GOVERNMENT NATIONAL MTG ASSN | X | | 71,732. | 71,296. | |
| GOVERNMENT NATIONAL MTG ASSN | X | | 121,134. | 119,491. | |
| TOTAL U.S. GOVERNMENT OBLIGATIONS | | | 202,866. | 200,307. | |
| TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS | | | | | |
| TOTAL TO FORM 990-PF, PART II, LINE 10A | | | 202,866. | 200,307. | |

| FORM 990-PF | CORPORATE STOCK | STATEMENT | 8 |
|---|-----------------|-------------------|---|
| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE | |
| AMERICAN BALANCED FUND CLASS A | 170,766. | 142,551. | |
| AMERICAN MUTUAL FUND CLASS A | 176,172. | 136,768. | |
| CAPITAL WORLD GROWTH & INCOME | 0. | 0. | |
| AMERICAN FUNDS INCOME SERIES | 194,701. | 193,993. | |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 541,639. | 473,312. | |

| FORM 990-PF | DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT | STATEMENT | 9 |
|------------------------------------|--|--------------------------|------------|
| DESCRIPTION | COST OR OTHER BASIS | ACCUMULATED DEPRECIATION | BOOK VALUE |
| OFFICE EQUIPMENT | 1,482. | 1,184. | 298. |
| TOTAL TO FM 990-PF, PART II, LN 14 | 1,482. | 1,184. | 298. |

Ralph and Virginia Mullin Foundation

| Organization Names | 2009 Donations Totals | Check No. | 501c3 Letter | Purpose of Grant | Addresses |
|---------------------------------|-----------------------|-----------|--------------|--|--|
| Innerbanks Canine Rescue | \$ 850 32 | 1517 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 87 Sabre Point Drive Bath, North Carolina 27808 |
| Animal House Jamaica | \$ 2,159 61 | 1519 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | P O Box 775, Ocho Rios, Jamaica |
| Pikes Peak Pet Panty | \$ 1,695 00 | 1520 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | P O Box 38554, Colorado Springs, Colorado 80937 |
| Helping Heart Equine Rescue | \$ 1,436 58 | 1522 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 260 Millstone Road, Perrineville, New Jersey 08535 |
| Cactus Junction Equine Rescue | \$ 750 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 822 Hwy 2 W, Whitehall, MT 59759 |
| Cactus Junction Equine Rescue | \$ 965 49 | 1554 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 822 Hwy 2 W, Whitehall, MT 59759 |
| Dream Catchers Equine Rescue | \$ 750 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 19065 Wigwam Road, Pueblo, Colorado 81008 |
| Dream Catchers Equine Rescue | \$ 1,075 08 | 1572 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 19065 Wigwam Road, Pueblo, Colorado 81008 |
| Equine Rescue (True Humanities) | \$ 300 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 5114 Neals School Road, Seaford, Delaware 19973 |
| Equine Rescue (True Humanities) | \$ 2,633 05 | 1586 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 5114 Neals School Road, Seaford, Delaware 19973 |
| Jackson County Mississippi | \$ 750 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 5609 Dead River Road, Gautier, Mississippi 39553 |
| Jackson County Mississippi | \$ 779 06 | 1526 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 5609 Dead River Road, Gautier, Mississippi 39553 |
| Last Resort Pet Rescue Society | \$ 300 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 737 Raintree Drive, Avon, Indiana 46123 |
| Last Resort Pet Rescue Society | \$ 807 50 | 1527 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 737 Raintree Drive, Avon, Indiana 46123 |

Ralph and Virginia Mullin Foundation

| | | | | | |
|----------------------------------|----|----------|------|---|---|
| Magnolia Classic Rescue, Inc | \$ | 750 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 184 Neil Street, Memphis, Tennessee 38112 |
| Magnolia Classic Rescue, Inc | \$ | 1,124 03 | 1543 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 184 Neil Street, Memphis, Tennessee 38112 |
| Oregon Outback Humane Society | \$ | 750 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 206, Lakeview, Oregon 97630 |
| Oregon Outback Humane Society | \$ | 601 58 | 1546 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 206, Lakeview, Oregon 97630 |
| Little Orphan Animals | \$ | 750 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 5150 North 13th Place, Phoenix, Arizona 85014 |
| Puffy Paws Kitty Haven | \$ | 750 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 270 Lakeview Lane, Englewood, FL 34224 |
| Puffy Paws Kitty Haven | \$ | 1,196 30 | 1552 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 270 Lakeview Lane, Englewood, FL 34224 |
| Spay Montana | \$ | 750 00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 23, Butte, Montana 59703 |
| Spay Montana | \$ | 961 62 | 1560 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 23, Butte, Montana 59703 |
| Tunica Humane Society | \$ | 750.00 | 1523 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 1064, Tunica, MS 38676 |
| Tunica Humane Society | \$ | 500 00 | 1528 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 1064, Tunica, MS 38676 |
| Pioneer Spay Neuter Clinic, Inc | \$ | 1,500 00 | 1529 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 110 N 1st St , Danville, KY 40422 |
| Sheltie Rescue of East Tennessee | \$ | 412 00 | 1532 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 2354, Greenville, TN 37744 |
| Mountain View Rescue Inc. | \$ | 1,500 00 | 1533 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 1542, Columbia, KY 42728-1542 |

Ralph and Virginia Mullin Foundation

| | | | | | |
|--|----|----------|------|---|---|
| Little Orphan Animals | \$ | 837 64 | 1534 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 5150 North 13th Place, Phoenix, Arizona 85014 |
| Animal Rescue Center of Shawnee | \$ | 750 00 | 1537 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 13409 S McLoud Rd , McLoud, OK 74851 |
| HARP | \$ | 1,340 91 | 1536 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 317 C Magnolia St , Port Orange, Florida 32129 |
| Animal Welfare Services | \$ | 1,000 00 | 1538 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 25, Waverly, IA 50677 |
| Least of These K9 Rescue, Inc | \$ | 1,259 58 | 1540 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 117 Green Valley Drive, Springfield, MO 65652 |
| Johnson County Animal Rescue | \$ | 1,526 58 | 1542 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 8237 Country Manor Lane, Alvarado, Texas 76009 |
| Petzone Dog Rescue Inc | \$ | 1,500 00 | 1544 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 1554 S Broad St , Monroe, GA 30655 |
| Dogs 2nd Chance | \$ | 1,281 90 | 1545 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 555 Egypt Road, Munford, Tn 38058 |
| Paws for Change | \$ | 1,500 00 | 1548 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 1834, East Greenwich, RI 02818 |
| Dee's Haven Bird Rescue | \$ | 1,246 58 | 1549 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) PO Box 336 , Lexington, GA 30648 |
| Flathead Shelter | \$ | 1,257 50 | 1550 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 567, Lakeside, MT 59922 |
| West Hunterdon Animal Welfare Foundation | \$ | 601 12 | 1551 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 57 Muddy Run Rd , Frenchtown, NJ 08825 |
| Their Last Best Place | \$ | 1,508 23 | 1553 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 19676 Bozeman Hill Road, Bozeman, Montana 59715 |
| Humane Society of the Delta | \$ | 1,766 97 | 1555 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 3218, West Helena, Arkansas 72390 |

Ralph and Virginia Mullin Foundation

| | | | | | |
|-------------------------------|----|----------|------|---|---|
| All Cats Rescue | \$ | 830 58 | 1556 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 464, Sioux Falls, SD 57055 |
| REAL Rott Rescue | \$ | 1,112 07 | 1557 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 423 State Route 42, Polk, Ohio 44866 |
| Bark Ark | \$ | 1,562 41 | 1558 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 641 Compton Road, Cincinnati Ohio 45231 |
| Animal Adoption Network | \$ | 800 00 | 1561 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 1920 Cross St SE, Laconia, IN 47135 |
| Parrot Hope Sanctuary | \$ | 300 00 | 1559 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 1120 Mallet Hill Ct , Medina, OH 44256 |
| Paws for Courage | \$ | 1,637 32 | 1562 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 303 Main Street #3, Blossburg, PA 16912 |
| Casey's Safety Nest | \$ | 1,500 00 | 1563 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 2426, Evansville, IN 47728 |
| Mutt Match LA | \$ | 1,701 48 | 1564 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 4444 Kingswell Ave, Los Angeles, CA 90027 |
| Bexata Animal Sanctuary | \$ | 1,056 66 | 1565 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 891 Hume Road, San Antonio, TX 78264 |
| Forever Home Feline Ranch | \$ | 1,000 00 | 1566 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 3600 Persimmon Rd , Springfield, IL 62712 |
| Bliss Animal Haven | \$ | 1,082 15 | 1567 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 5235 Wheeler Dr , Loganville, GA 30052 |
| Operation Catsnip of Kentucky | \$ | 300 00 | 1568 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 18 Village Plaza 156, Shelbyville, KY 40065 |
| 7th Hope Animal Rescue | \$ | 1,500.00 | 1569 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 5301 County Road 2230, Barnsdall OK, 74002 |
| APCSM | \$ | 1,500 00 | 1570 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 1300 W Elm St Extension, Brockton, MA 02301 |

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|-----------------------------------|----|----------|------|---|---|
| Haven to Home Rescue, Inc | \$ | 980 00 | 1571 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 240 Lepley Rd , Winfred, PA 17889 |
| Springfield Animal Advocacy | \$ | 750 00 | 1574 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 5927 S Kimbrough, Springfield, MO 65810 |
| PACC Partners | \$ | 1,500 00 | 1575 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 9573 E Calle Cascada, Tucson, AZ 85715 |
| Dog Days Adoption | \$ | 1,936 41 | 1576 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 385, Creswell, OR 97426 |
| Gunny's Pet Ranch | \$ | 1,500 00 | 1577 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 425 Lonesome Mountain Lane, Pioncer, TN 37847 |
| Hopes Legacy Equine Rescue | \$ | 1,500 00 | 1578 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 5145 Taylor Creek Road, Afton, Virginia 22920 |
| Luv A Chin | \$ | 1,500 00 | 1580 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 713S Lake Dr , Sioux Falls, SD 57104 |
| SNIP Veterinary Services | \$ | 750 00 | 1581 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 707 Bridger, Ste E, Bozeman, MT 59715 |
| Cat Tales Rescue | \$ | 750 00 | 1582 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 2232 Fairlawn Pkwy , Niskayuna, NY 12309 |
| National Equine Rescue Network | \$ | 1,000 00 | 1583 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 235197, Encinitas, CA 92023 |
| Wimberley Adoption Group & Rescue | \$ | 750 00 | 1585 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 2603, Wimberley, TX 78676-7503 |
| Broken Road Rescue | \$ | 300 00 | 1587 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 205, Bath, MI 48808 |
| East TN Pit Bull Rescue | \$ | 1,500 00 | 1588 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 105 Edgewood Dr , Harriman, TN 37748 |
| TigeraCat | \$ | 1,500 00 | 1589 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 212 East 9th Street, Waterloo, IA 50703 |

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|-------------------------------------|----|----------|------|---|---|
| Animal Welfare of Albemarle | \$ | 1,500 00 | 1591 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 102 Snow Creek Court, Hartford, NC 27944 |
| SW NE Small Animal Rescue | \$ | 1,000 00 | 1592 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 72402 Road 373, Culbertson, NE 69024 |
| Military Pet Outreach Network | \$ | 1,200 00 | 1593 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 32468 Bridge Rd , Mt Pleasant, NC 28124 |
| Illinois Equine Humane Center NFP | \$ | 1,000 00 | 1594 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 19501 W Ballou, Willmington, IL 60481 |
| Patriot Service Dogs | \$ | 546 21 | 1595 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 4729 Blount Ave , Jacksonville, FL 32210 |
| 2nd Chance Rescue | \$ | 1,500 00 | 1590 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) P O Box 946 , Clint TX 79836 |
| Triple Me Mac Equine Sanctuary | \$ | 750 00 | 1597 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 3022 View Ridge, Spring Branch, TX 78070 |
| Tranquility Trail Animal Sanctuary | \$ | 750 00 | 1598 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 7701 E Gray Rd Ste 5, Scottsdale, AZ 85260 |
| Step by Step | \$ | 1,500 00 | 1599 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 346 W Washington St , Dunkirk, In 47336 |
| Help a Hound | \$ | 835 00 | 1601 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 56 Prospect St , Fitchburg, MA 01420-2237 |
| Vets 4 My Pets | \$ | 1,480 00 | 1602 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 4590 Applecrest Circle, Castle Rock, CO 80109 |
| Humane Society of the United States | \$ | 50 00 | 1603 | X | General operating expenses of animal welfare organizations which were already incorporated and tax-exempt 2100 L St. NW, Washington, DC 20037 |
| Pawsitive Pantry | \$ | 1,500 00 | 1604 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 55 Carlyle Road, Warren, VT 05674 |
| Forgotten Felines | \$ | 1,500 00 | 1605 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) 3140 S Pedria St , Aurora, Colorado 80014 |

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|---|----|-----------|------|---|--|--|
| SNAP | \$ | 750 00 | 1606 | X | Reimbursement of expenses incurred by animal welfare organizations in becoming incorporated and/or obtaining tax exempt status under 501(c)(3) | 6145 Marilla St , Douglasville, GA 30135 |
| Grace St Paul's Episcopal Church Joesph's Pantry | \$ | 500 00 | 1607 | X | General operating expenses of animal welfare organizations which were already incorporated and tax-exempt | 2331 E Adams St , Tucson, AZ 85719 |
| Totals | \$ | 93,384 52 | | | | |

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| |
|-----------------------------------|
| PAGE |
| 5 of 9 |
| RECIPIENT'S ACCOUNT NUMBER |
| 302-94213 |

Schedule of Realized Gains and Losses

This section includes a summary of the short- or long-term gain or loss from the sale of selected securities in non-retirement accounts. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides cost basis information as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or contact your Tax Advisor for additional information.

Term Unknown

| QUANTITY | DESCRIPTION | OPEN DATE | NET COST | CLOSE DATE | NET PROCEEDS | REALIZED GAIN/LOSS |
|------------------------------|--|--------------|-------------|---------------|-----------------|-----------------------|
| 21.750 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | N/A | N/A | 03/02/09 | 456.75 | N/A |
| Term Unknown Subtotal | | | | | 456.75 | 0.00 |

Short-Term

| QUANTITY | DESCRIPTION | OPEN DATE | NET COST | CLOSE DATE | NET PROCEEDS | REALIZED GAIN/LOSS |
|-------------|--|--------------|-------------|---------------|-----------------|-----------------------|
| 50,000.000 | BEAL BK NEV LAS VEGAS C/D FDIC INS TO LIMITS 0.750% DUE 09/16/2009 CUSIP: 073714HQ3 | 03/09/09 | 50,000.00 | 09/16/09 | 50,000.00 | 0.00 |
| 100,000.000 | BEAL BK NEV LAS VEGAS C/D FDIC INS TO LIMITS 0.750% DUE 09/16/2009 CUSIP: 073714HQ3 | 03/09/09 | 100,000.00 | 09/16/09 | 100,000.00 | 0.00 |
| 87.696 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 06/27/08 | 3,528.88 | 03/02/09 | 1,841.62 | -1,687.26 |
| 60.157 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 09/26/08 | 2,073.60 | 03/02/09 | 1,263.30 | -810.30 |
| 40.809 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 03/25/08 | 1,633.18 | 03/02/09 | 856.99 | -776.19 |
| 47.041 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/19/08 | 1,253.18 | 03/02/09 | 987.86 | -265.32 |
| 47.041 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/19/08 | 1,253.18 | 03/02/09 | 987.86 | -265.32 |
| 28,000.000 | GE MONEY BK SALT LAKE CITY UTAH C/D FDIC INS TO LIMITS 1.750% DUE 06/30/2009 CUSIP: 36159UGQ3 | 12/23/08 | 28,000.00 | 06/30/09 | 28,000.00 | 0.00 |

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TUCSON AZ 85719-4735

| PAGE |
|----------------------------|
| 6 of 9 |
| RECIPIENT'S ACCOUNT NUMBER |
| 302-94213 |

Schedule of Realized Gains and Losses (cont)

Short-Term (cont)

| QUANTITY | DESCRIPTION | OPEN DATE | NET COST | CLOSE DATE | NET PROCEEDS | REALIZED GAIN/LOSS |
|--------------|---|--------------|-------------|---------------|-----------------|-----------------------|
| 100,000.000 | GE MONEY BK SALT LAKE CITY UTAH C/D FDIC INS TO LIMITS 1.750% DUE 06/30/2009 CUSIP: 36159UGQ3 | 12/23/08 | 100,000.00 | 06/30/09 | 100,000.00 | 0.00 |
| 100,000.000* | GOVERNMENT NATIONAL MTG ASSN SER 2009-57 CLASS KC 4.500% DUE 05/20/2039 ADJUSTED QUANTITY: 0.040, ORIGINAL COST: 0.04, PURCHASE FACTOR: 0.0000004, SALE FACTOR: 0.0000004 CUSIP: 38374VTJ8 | 07/15/09 | 0.04 | 08/20/09 | 0.04 | 0.00 |
| 100,000.000* | GOVERNMENT NATIONAL MTG ASSN SER 2009-57 CLASS KC 4.500% DUE 05/20/2039 ADJUSTED QUANTITY: 6,029.930, ORIGINAL COST: 6,029.93, PURCHASE FACTOR: 0.0602993, SALE FACTOR: 0.0602993 CUSIP: 38374VTJ8 | 07/15/09 | 6,029.93 | 09/21/09 | 6,029.93 | 0.00 |
| 100,000.000* | GOVERNMENT NATIONAL MTG ASSN SER 2009-57 CLASS KC 4.500% DUE 05/20/2039 ADJUSTED QUANTITY: 6,730.660, ORIGINAL COST: 6,730.66, PURCHASE FACTOR: 0.0673066, SALE FACTOR: 0.0673066 CUSIP: 38374VTJ8 | 07/15/09 | 6,730.66 | 10/20/09 | 6,730.66 | 0.00 |
| 100,000.000* | GOVERNMENT NATIONAL MTG ASSN SER 2009-57 CLASS KC 4.500% DUE 05/20/2039 ADJUSTED QUANTITY: 7,417.940, ORIGINAL COST: 7,417.94, PURCHASE FACTOR: 0.0741794, SALE FACTOR: 0.0741794 CUSIP: 38374VTJ8 | 07/15/09 | 7,417.94 | 11/20/09 | 7,417.94 | 0.00 |
| 100,000.000* | GOVERNMENT NATIONAL MTG ASSN SER 2009-57 CLASS KC 4.500% DUE 05/20/2039 ADJUSTED QUANTITY: 8,089.610, ORIGINAL COST: 8,089.61, PURCHASE FACTOR: 0.0808961, SALE FACTOR: 0.0808961 CUSIP: 38374VTJ8 | 07/15/09 | 8,089.61 | 12/21/09 | 8,089.61 | 0.00 |
| 130,000.000* | GOVERNMENT NATIONAL MTG ASSN SERIES 2009-078 CLASS YD 4.750% DUE 11/20/2038 ADJUSTED QUANTITY: 1,620.921, ORIGINAL COST: 1,620.92, PURCHASE FACTOR: 0.01246862, SALE FACTOR: 0.01246862 CUSIP: 38376FVK5 | 09/17/09 | 1,620.92 | 10/20/09 | 1,620.92 | 0.00 |
| 130,000.000* | GOVERNMENT NATIONAL MTG ASSN SERIES 2009-078 CLASS YD 4.750% DUE 11/20/2038 ADJUSTED QUANTITY: 2,559.300, ORIGINAL COST: 2,559.30, | 09/17/09 | 2,559.30 | 11/20/09 | 2,559.30 | 0.00 |

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|----------------------------|
| PAGE |
| 7 of 9 |
| RECIPIENT'S ACCOUNT NUMBER |
| 302-94213 |

Schedule of Realized Gains and Losses (cont)

Short-Term (cont)

| QUANTITY | DESCRIPTION | OPEN DATE | NET COST | CLOSE DATE | NET PROCEEDS | REALIZED GAIN/LOSS |
|--------------|---|--------------|-------------------|---------------|-------------------|-----------------------|
| | PURCHASE FACTOR: 0.01968692, SALE FACTOR: 0.01968692 CUSIP: 38376FVK5 | | | | | |
| 130,000.000* | GOVERNMENT NATIONAL MTG ASSN SERIES 2009-078 CLASS YD 4.750% DUE 11/20/2038 ADJUSTED QUANTITY: 4,685.311, ORIGINAL COST: 4,685.31, PURCHASE FACTOR: 0.03604085, SALE FACTOR: 0.03604085 CUSIP: 38376FVK5 | 09/17/09 | 4,685.31 | 12/21/09 | 4,685.31 | 0.00 |
| | Short-Term Subtotal | | 324,875.73 | | 321,071.34 | -3,804.39 |

Long-Term

| QUANTITY | DESCRIPTION | OPEN DATE | NET COST | CLOSE DATE | NET PROCEEDS | REALIZED GAIN/LOSS |
|-----------|--|--------------|-------------|---------------|-----------------|-----------------------|
| 4,764.454 | AMERICAN BALANCED FUND INC CLASS A SYMBOL: ABALX | 11/30/05 | 89,000.00 | 03/02/09 | 55,315.31 | -33,684.69 |
| 3,606.115 | AMERICAN BALANCED FUND INC CLASS A SYMBOL: ABALX | 02/14/06 | 66,641.00 | 03/02/09 | 41,867.00 | -24,774.00 |
| 89.384 | AMERICAN BALANCED FUND INC CLASS A SYMBOL: ABALX | 01/03/06 | 1,600.86 | 03/02/09 | 1,037.75 | -563.11 |
| 51.926 | AMERICAN BALANCED FUND INC CLASS A SYMBOL: ABALX | 06/01/06 | 939.34 | 03/02/09 | 602.86 | -336.48 |
| 51.584 | AMERICAN BALANCED FUND INC CLASS A SYMBOL: ABALX | 02/23/06 | 933.67 | 03/02/09 | 598.89 | -334.78 |
| 27.605 | AMERICAN BALANCED FUND INC CLASS A SYMBOL: ABALX | 08/23/06 | 504.62 | 03/02/09 | 320.49 | -184.12 |
| 27.932 | AMERICAN BALANCED FUND INC CLASS A SYMBOL: ABALX | 01/03/06 | 500.26 | 03/02/09 | 324.29 | -175.97 |
| 3,178.571 | AMERICAN MUTUAL FUND INC CLASS A SYMBOL: AMRMX | 11/30/05 | 89,000.00 | 03/02/09 | 49,681.06 | -39,318.94 |
| 2,397.172 | AMERICAN MUTUAL FUND INC CLASS A SYMBOL: AMRMX | 02/14/06 | 65,682.52 | 03/02/09 | 37,467.80 | -28,214.72 |
| 121.605 | AMERICAN MUTUAL FUND INC CLASS A SYMBOL: AMRMX | 12/27/05 | 3,210.37 | 03/02/09 | 1,900.69 | -1,309.68 |

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 TUCSON AZ 85719-4735

| PAGE |
|----------------------------|
| 8 of 9 |
| RECIPIENT'S ACCOUNT NUMBER |
| 302-94213 |

Schedule of Realized Gains and Losses (cont)

Long-Term (cont)

| QUANTITY | DESCRIPTION | OPEN DATE | NET COST | CLOSE DATE | NET PROCEEDS | REALIZED GAIN/LOSS |
|-----------|--|--------------|-------------|---------------|-----------------|-----------------------|
| 15.652 | AMERICAN MUTUAL FUND INC CLASS A SYMBOL: AMRMX | 12/27/05 | 413.21 | 03/02/09 | 244.64 | -168.57 |
| 2,021.478 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 07/20/07 | 96,000.00 | 03/02/09 | 42,451.04 | -53,548.96 |
| 2,345.809 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 11/30/05 | 89,000.00 | 03/02/09 | 49,261.98 | -39,738.02 |
| 1,730.036 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 02/14/06 | 66,641.00 | 03/02/09 | 36,330.76 | -30,310.24 |
| 932.836 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 03/28/07 | 40,000.00 | 03/02/09 | 19,589.56 | -20,410.44 |
| 569.308 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/19/07 | 24,622.58 | 03/02/09 | 11,955.47 | -12,667.11 |
| 184.130 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/26/06 | 7,663.49 | 03/02/09 | 3,866.73 | -3,796.76 |
| 92.838 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/23/05 | 3,370.94 | 03/02/09 | 1,949.60 | -1,421.34 |
| 46.952 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 06/19/07 | 2,169.67 | 03/02/09 | 985.99 | -1,183.68 |
| 39.543 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 09/25/07 | 1,873.15 | 03/02/09 | 830.40 | -1,042.75 |
| 26.123 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/19/07 | 1,129.82 | 03/02/09 | 548.58 | -581.24 |
| 26.123 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/19/07 | 1,129.82 | 03/02/09 | 548.58 | -581.24 |
| 34.237 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 06/22/06 | 1,261.29 | 03/02/09 | 718.98 | -542.31 |
| 25.588 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/26/06 | 1,064.97 | 03/02/09 | 537.35 | -527.62 |

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 2401 E SPEEDWAY
 TUCSON AZ 85719-4735

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|----------------------------|
| PAGE |
| 9 of 9 |
| RECIPIENT'S ACCOUNT NUMBER |
| 302-94213 |

Schedule of Realized Gains and Losses (cont)

Long-Term (cont)

| QUANTITY | DESCRIPTION | OPEN DATE | NET COST | CLOSE DATE | NET PROCEEDS | REALIZED GAIN/LOSS |
|-------------------------------|--|--------------|-------------------|---------------|-------------------|-----------------------|
| 21.321 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 09/22/06 | 847.72 | 03/02/09 | 447.74 | -399.98 |
| 19.381 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/23/05 | 703.72 | 03/02/09 | 407.00 | -296.72 |
| 16.245 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 03/22/06 | 628.19 | 03/02/09 | 341.14 | -287.05 |
| 12.191 | CAPITAL WORLD GROWTH & INCOME FUND CLASS A SYMBOL: CWGIX | 12/19/07 | 527.25 | 03/02/09 | 256.01 | -271.24 |
| Long-Term Subtotal | | | 657,059.45 | | 360,387.69 | -296,671.76 |
| Total Gains and Losses | | | 981,935.18 | | 681,915.78 | -300,476.15 |
| Short-Term | | | | | | -3,804.39 |
| Long-Term | | | | | | -296,671.76 |
| Term Unknown | | | | | | 0.00 |

* Return of principal; quantity represents face value.