Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2009

For calendar year 2009, or tax year beginning , 2009, and ending , 20

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
ROCKWELL FUND, INC.

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
770 S. POST OAK LANE | 525

City or town, state, and ZIP code
HOUSTON, TX 77056-6660

A Employer identification number
74-6040258

B Telephone number (see page 10 of the instructions)
(713) 629-9022

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

H Check type of organization ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶ $ 83,341,083.

J Accounting method: ☒ Cash ☐ Accrual
☐ Other (specify) ____________
(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) (see page 11 of the instructions).)*

		(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 (attach schedule)	154,811.			
2	Check ▶ ☐ if the foundation is not required to attach Sch B				
3	Interest on savings and temporary cash investments	1,545.	1,545.		ATCH 1
4	Dividends and interest from securities	5,077,654.	5,076,921.		ATCH 2
5a	Gross rents ATTACHMENT 23	-44,090.	-44,090.		
b	Net rental income or (loss) -44,090.				
6a	Net gain or (loss) from sale of assets not on line 10	-7,115,878.			
b	Gross sales price for all assets on line 6a 17,768,606.				
7	Capital gain net income (from Part IV, line 2)				
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) (attach schedule)				
11	Other income (attach schedule)	220,258.	220,258.		ATCH 3
12	**Total.** Add lines 1 through 11	-1,705,700.	5,254,634.		
13	Compensation of officers, directors, trustees, etc	766,535.	427,433.		339,102.
14	Other employee salaries and wages	438,674.	41,200.		397,474.
15	Pension plans, employee benefits	247,354.	96,907.		150,447.
16a	Legal fees (attach schedule)				
b	Accounting fees (attach schedule)				
c	Other professional fees (attach schedule)				
17	Interest ATTACHMENT 4	207,190.	207,190.		
18	Taxes (attach schedule) (see page 14 of the instructions) **	123,461.	39,901.		43,014.
19	Depreciation (attach schedule) and depletion	16,816.	8,383.		
20	Occupancy	79,435.	31,774.		47,661.
21	Travel, conferences, and meetings	16,716.	2,136.		14,580.
22	Printing and publications				
23	Other expenses (attach schedule) ATCH 6	379,387.	400,899.		-131,768.
24	**Total operating and administrative expenses.** Add lines 13 through 23	2,275,568.	1,255,823.		860,510.
25	Contributions, gifts, grants paid	3,666,921.			3,666,921.
26	**Total expenses and disbursements.** Add lines 24 and 25	5,942,489.	1,255,823.		4,527,431.
27	Subtract line 26 from line 12				
a	**Excess of revenue over expenses and disbursements**	-7,648,189.			
b	**Net investment income** (if negative, enter -0-)		3,998,811.		
c	**Adjusted net income** (if negative, enter -0-)			-0-	

Revenue

Operating and Administrative Expenses

RECEIVED
003
SEP 23 2010
IRS-OSC
OGDEN, UT

SCANNED SEP 27 2010

GIO

3

For Privacy Act and Paperwork Reduction Act Notice, see page 30 of the instructions. JSA ** ATCH 5 Form **990-PF** (2009)

9E1410 2 000

Part II Balance Sheets

		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing	4.	46,655.	46,655.
	2	Savings and temporary cash investments	335,940.	939,569.	939,569.
	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 (attach schedule) (see page 16 of the instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ *		* 4,520,062.	ATCH 7
		Less allowance for doubtful accounts ▶	4,251,473.	4,520,062.	4,520,062.
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10 a	Investments - U S and state government obligations (attach schedule)			
	b	Investments - corporate stock (attach schedule) ATCH 8	59,029,726.	56,875,770.	53,598,196.
	c	Investments - corporate bonds (attach schedule) ATCH 9	10,717,070.	8,874,246.	7,276,892.
	11	Investments - land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments - mortgage loans	27,642,002.	22,668,417.	4,472,399.
	13	Investments - other (attach schedule) ATCH 10	12,102,817.	11,055,030.	10,875,513.
	14	Land, buildings, and equipment basis ▶ 142,917.			
		Less accumulated depreciation (attach schedule) ▶ ATCH 21 102,289.	50,443.	40,628.	40,628.
	15	Other assets (describe ▶ ATCH 11)	69,443.	1,571,169.	1,571,169.
	16	**Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	114,198,918.	106,591,546.	83,341,083.
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 (attach schedule)			
	22	Other liabilities (describe ▶ ATCH 12)		250.	
	23	**Total liabilities** (add lines 17 through 22)		250.	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ▶ ☒			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	18,329,447.	18,329,447.	
	29	Retained earnings, accumulated income, endowment, or other funds	95,869,471.	88,261,849.	
	30	**Total net assets or fund balances** (see page 17 of the instructions)	114,198,918.	106,591,296.	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	114,198,918.	106,591,546.	

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	114,198,918.
2	Enter amount from Part I, line 27a	2	-7,648,189.
3	Other increases not included in line 2 (itemize) ▶ ATTACHMENT 13	3	40,567.
4	Add lines 1, 2, and 3	4	106,591,296.
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	106,591,296.

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	SEE PART IV SCHEDULE			
b				
c				
d				
e				

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

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

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

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	-7,115,878.
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) (see pages 13 and 17 of the instructions). If (loss), enter -0- in Part I, line 8.	3	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? . . . . ☐ Yes ☒ No

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

1 Enter the appropriate amount in each column for each year; see page 18 of the instructions before making any entries.

(a) 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	5,715,714.	93,791,930.	0.060940
2007	5,196,408.	118,612,221.	0.043810
2006	5,552,544.	118,363,805.	0.046911
2005	5,547,463.	114,953,721.	0.048258
2004	4,967,527.	104,656,407.	0.047465

2 **Total** of line 1, column (d)	2	0.247384
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	0.049477
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	75,149,038.
5 Multiply line 4 by line 3	5	3,718,149.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	39,988.
7 Add lines 5 and 6	7	3,758,137.
8 Enter qualifying distributions from Part XII, line 4	8	4,702,431.

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions on page 18.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see page 18 of the 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 ruling letter if necessary - see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b			1	39,988.
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	
3	Add lines 1 and 2			3	39,988.
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	39,988.
6	Credits/Payments:				
a	2009 estimated tax payments and 2008 overpayment credited to 2009	6a	48,782.		
b	Exempt foreign organizations-tax withheld at source	6b	0.		
c	Tax paid with application for extension of time to file (Form 8868)	6c	1,218.		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	50,000.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached			8	62.
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	9,950.
11	Enter the amount of line 10 to be: **Credited to 2010 estimated tax** ▶ 9,950. **Refunded** ▶			11	

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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		X
	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?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ▶ $ ________ (2) On foundation managers ▶ $ ________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________			
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.*	2		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*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	X	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		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?	6	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*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ TX,			
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*	8b	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 on page 27)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ WWW.ROCKFUND.ORG

14 The books are in care of ▶ ROCKWELL FUND, INC. Telephone no ▶ 713-629-9022

Located at ▶ 770 S POST OAK LN, STE 525 HOUSTON, TX ZIP + 4 ▶ 77056-6660

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

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

	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☒ Yes ☐ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?	1b		X
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)).			
a	At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? ☐ Yes ☒ No If "Yes," list the years ▶ ________, ________, ________, ________			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see page 20 of the instructions)	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ________, ________, ________, ________			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2009 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.)*	3b		X
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

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? **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? ☐ 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** No: 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? **7b**

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

1 List all officers, directors, trustees, foundation managers and their compensation (see page 22 of the instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATTACHMENT 14		766,535.	123,700.	0.

2 Compensation of five highest-paid employees (other than those included on line 1 - see page 23 of the instructions). If none, enter "NONE."

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATTACHMENT 15		320,582.	73,154.	731.

Total number of other employees paid over $50,000 ▶ 1

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

[illegible] Five highest-paid independent contractors for professional services (see page 23 of the instructions). If none, enter "NONE."

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

Total number of others receiving over $50,000 for professional services . . . . ▶ NONE

Part IX-A **Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 N/A	
2	
3	
4	

Part IX-B **Summary of Program-Related Investments** (see page 23 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 HOUSTON COMMUNITY HEALTH CENTERS INC LINE OF CREDIT 0% DUE 1/31/10	175,000.
2	-
All other program-related investments See page 24 of the instructions 3 NONE	
Total. Add lines 1 through 3 . . . . ▶	175,000.

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

1	[illegible]r 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	75,291,845.
b	Average of monthly cash balances			1b	878,496.
c	Fair market value of all other assets (see page 24 of the instructions)			1c	123,099.
d	**Total** (add lines 1a, b, and c)			1d	76,293,440.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e			
2	Acquisition indebtedness applicable to line 1 assets			2	0.
3	Subtract line 2 from line 1d			3	76,293,440.
4	Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions)			4	1,144,402.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4			5	75,149,038.
6	**Minimum investment return.** Enter 5% of line 5			6	3,757,452.

Part XI Distributable Amount (see page 25 of the instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6			1	3,757,452.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	39,988.		
b	Income tax for 2009. (This does not include the tax from Part VI)	2b	558.		
c	Add lines 2a and 2b			2c	40,546.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	3,716,906.
4	Recoveries of amounts treated as qualifying distributions			4	115,000.
5	Add lines 3 and 4			5	3,831,906.
6	Deduction from distributable amount (see page 25 of the instructions)			6	
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, [illegible] 1			7	3,831,906.

Part XII Qualifying Distributions (see page 25 of the 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	4,527,431.
b	Program-related investments - total from Part IX-B	1b	175,000.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	0.
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	0.
b	Cash distribution test (attach the required schedule)	3b	0.
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	4,702,431.
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 (see page 26 of the instructions)	5	39,988.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	4,662,443.

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

Part XIII Undistributed Income (see page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				3,831,906.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			4,485,232.	
b Total for prior years 20 07 ,20 06 ,20 05				
3 Excess distributions carryover, if any, to 2009				
a From 2004				
b From 2005				
c From 2006				
d From 2007				
e From 2008 0.				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2009 from Part XII, line 4 ▶ $ 4,702,431.				
a Applied to 2008, but not more than line 2a			4,485,232.	
b Applied to undistributed income of prior years (Election required - see page 26 of the instructions)				
c Treated as distributions out of corpus (Election required - see page 26 of the instructions)				
d Applied to 2009 distributable amount				217,199.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2009 *(If an amount appears in column (d), the same amount must be shown in column (a).)*	0.			0.
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e. Subtract line 5	0.			
b Prior years' undistributed income Subtract line 4b from line 2b				
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				
d Subtract line 6c from line 6b Taxable amount - see page 27 of the instructions				
e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see page 27 of the instructions				
f Undistributed income for 2009 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				3,614,707.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)				
8 Excess distributions carryover from 2004 not applied on line 5 or line 7 (see page 27 of the instructions)				
9 **Excess distributions carryover to 2010.** Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007				
Excess from 2008				
Excess from 2009 0.				

Part XIV Private Operating Foundations (see page 27 of the instructions and Part VII-A, question 9) NOT APPLICABLE

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

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

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

Part XV Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year - see page 28 of the instructions.)

1 Information Regarding Foundation Managers:

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

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 page 28 of the instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

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

ATTACHMENT 16

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

ATTACHMENT 17

c Any submission deadlines

ROLLING DEADLINES

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

ATTACHMENT 18

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
ATTACHMENT 19				
Total . . . . ▶ **3a**				3,666,921.
b *Approved for future payment*				
ATTACHMENT 20				
Total . . . . ▶ **3b**				921,055.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions)
	(a) Business code	(b) Amount	(c) Exclusion 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	1,545.	
4 Dividends and interest from securities	525990	6,044.	14	5,071,610.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property			16	-44,090.	
6 Net rental income or (loss) from personal property					
7 Other investment income	525990	10,469.	14	209,789.	
8 Gain or (loss) from sales of assets other than inventory	525990	19,819.	18	-7,135,697.	
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					
[illegible] Subtotal Add columns (b), (d), and (e)		36,332.		-1,896,843.	

13 Total. Add line 12, columns (b), (d), and (e) . . . . . 13 -1,860,511.

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

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See page 29 of the instructions.)
	NOT APPLICABLE

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

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions.			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

d If the answer to any of the above is "Yes," complete the following schedule Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
	N/A		N/A

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

b If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge

Signature of officer or trustee

Date: 9-16-10

Title: President

Paid Preparer's Use Only

Preparer's signature	Date	Check if self-employed ☐	Preparer's identifying number (See Signature on page 30 of the instructions)
Firm's name (or yours if self-employed), address, and ZIP code		EIN	
		Phone no.	

JSA
9E1493 1 000

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
ROCKWELL FUND, INC.

Employer identification number
74-6040258

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)

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

Name of organization ROCKWELL FUND, INC.

Employer identification number 74-6040258

art I Contributors (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	TEXAS DEPT. OF HOUSING & COMM. AFFAIRS 221 EAST 11TH STREET AUSTIN, TX 78701-2410	$ 154,311.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		123.8 AT&T PROPERTY TYPE: SECURITIES				P	02/13/2009	02/13/2009
3,040.		4,501.					-1,461.	
		3000 BANK OF AMERICA PROPERTY TYPE: SECURITIES				P	08/30/2005	09/18/2009
48,103.		129,570.					-81,467.	
		5000 CATERPILLAR PROPERTY TYPE: SECURITIES				P	07/20/2007	08/21/2009
213,758.		397,056.					-183,298.	
		3500 COLGATE PALMOLIVE PROPERTY TYPE: SECURITIES				P	12/23/2008	06/19/2009
244,826.		230,577.					14,249.	
		3000 J C PENNEY CO INC PROPERTY TYPE: SECURITIES				P	05/14/2007	05/15/2009
75,208.		236,610.					-161,402.	
		5500 SANDISK PROPERTY TYPE: SECURITIES				P	04/05/2007	09/18/2009
115,510.		242,165.					-126,655.	
		144.896 HOME DEPOT PROPERTY TYPE: SECURITIES				P	04/30/2009	04/30/2009
3,750.		4,315.					-565.	
		7200 CONTINENTAL AIRLINES PROPERTY TYPE: SECURITIES				P	10/11/2007	06/22/2009
64,792.		243,504.					-178,712.	
		186.69 EXXON MOBIL CORP PROPERTY TYPE: SECURITIES				P	01/30/2009	01/30/2009
14,733.		15,892.					-1,159.	
		196.425 XTO ENERGY PROPERTY TYPE: SECURITIES				P	01/30/2009	01/30/2009
7,317.		9,450.					-2,133.	
		158.89 ALCOA INC PROPERTY TYPE: SECURITIES				P	08/28/2008	02/27/2009
1,015.		5,022.					-4,007.	
		7700 ALCOA INC PROPERTY TYPE: SECURITIES				P	08/28/2008	09/18/2009
00,691.		243,397.					-142,706.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		50 ALCOA INC PROPERTY TYPE: SECURITIES				P	08/28/2008	12/11/2009
718.		1,591.					-873.	
		5500 TITANIUM METALS PROPERTY TYPE: SECURITIES				P	11/19/2007	06/19/2009
55,917.		149,882.					-93,965.	
		11000 INTEL CORP PROPERTY TYPE: SECURITIES				P	04/11/2008	08/21/2009
198,973.		248,160.					-49,187.	
		4500 CHESAPEAKE ENERGY PROPERTY TYPE: SECURITIES				P	06/10/2008	10/16/2009
127,360.		254,475.					-127,115.	
		3200 SH ALLEGHENY TECHNOLOGIES INC PROPERTY TYPE: SECURITIES				P	05/14/2008	06/19/2009
114,065.		233,600.					-119,535.	
		3200 ALLEGHENY TECHNOLOGIES INC PROPERTY TYPE: SECURITIES				P	05/21/2009	12/18/2009
128,651.		111,885.					16,766.	
		FRAC SH UNISYS CORP PROPERTY TYPE: SECURITIES				P	07/31/2009	11/17/2009
13.		10.					3.	
		20 CALL LM JAN 09 @ 100 PROPERTY TYPE: SECURITIES				P	11/21/2008	01/21/2009
340.							340.	
		30 CALL JCP JAN 09 @ 30 PROPERTY TYPE: SECURITIES				P	12/04/2008	01/21/2009
517.							517.	
		32 CALL APA APR 09 @ 135 PROPERTY TYPE: SECURITIES				P	12/11/2008	04/20/2009
745.							745.	
		35 CALL CL JAN 09 @ 70 PROPERTY TYPE: SECURITIES				P	12/23/2008	01/21/2009
1,745.							1,745.	
		16 CALL SNDK JAN 09 @ 16 PROPERTY TYPE: SECURITIES				P	01/02/2009	01/21/2009
127.							127.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		39 CALL SNDK JAN 09 @ 16 PROPERTY TYPE: SECURITIES				P	01/05/2009	01/21/2005
366.							366.	
		50 CALL CAL MAR 09 @ 35 PROPERTY TYPE: SECURITIES				P	01/07/2009	03/24/2009
1,102.							1,102.	
		35 CALL CL FEB 09 @ 70 PROPERTY TYPE: SECURITIES				P	01/28/2009	02/24/2009
759.							759.	
		55 CALL SNDK APR 09 @ 17 PROPERTY TYPE: SECURITIES				P	01/28/2009	04/20/2009
2,493.							2,493.	
		27 CALL XOM MAR 09 @ 90 PROPERTY TYPE: SECURITIES				P	02/03/2009	03/24/2009
559.							559.	
		58 CALL MSFT APR 09 @ 23 PROPERTY TYPE: SECURITIES				P	02/03/2009	04/20/2009
653.							653.	
		242 CALL MSFT APR 09 @ 23 PROPERTY TYPE: SECURITIES				P	02/04/2009	04/20/2009
2,860.							2,860.	
		50 CALL XTO MAY 09 @ 55 PROPERTY TYPE: SECURITIES				P	02/05/2009	05/18/2009
1,334.							1,334.	
		17 CALL CHK FEB 09 @ 22.50 PROPERTY TYPE: SECURITIES				P	02/09/2009	02/24/2009
285.							285.	
		150 CALL VZ APR 09 @ 32.50 PROPERTY TYPE: SECURITIES				P	02/24/2009	04/20/2009
4,533.							4,533.	
		3 CALL CL MAY 09 @ 75 PROPERTY TYPE: SECURITIES				P	02/25/2009	05/18/2009
27.							27.	
		40 CALL CAT MAR 09 @ 30 PROPERTY TYPE: SECURITIES				P	01/07/2009	03/04/2009
1,017.							1,017.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		7 CALL CHK APR 09 @ 25 PROPERTY TYPE: SECURITIES				P	03/04/2009	04/20/2009
73.							73.	
		20 CALL CHK APR 09 @ 25 PROPERTY TYPE: SECURITIES				P	03/06/2009	04/20/2009
243.							243.	
		10 CALL CHK APR 09 @ 25 PROPERTY TYPE: SECURITIES				P	03/11/2009	04/20/2009
109.							109.	
		48 CALL CHK APR 09 @ 25 PROPERTY TYPE: SECURITIES				P	03/19/2009	04/20/2009
622.							622.	
		32 CALL ATI APR 09 @ 30 PROPERTY TYPE: SECURITIES				P	03/29/2009	04/20/2009
264.							264.	
		40 CALL CAT APR 09 @ 35 PROPERTY TYPE: SECURITIES				P	03/23/2009	04/20/2009
657.							657.	
		27 CALL XOM APR 09 @ 80 PROPERTY TYPE: SECURITIES				P	03/23/2009	04/20/2009
344.							344.	
		60 CALL SUN MAY 09 @ 40 PROPERTY TYPE: SECURITIES				P	03/23/2009	04/20/2009
1,054.							1,054.	
		77 CALL AA MAY 09 @ 12.50 PROPERTY TYPE: SECURITIES				P	03/26/2009	05/18/2009
801.							801.	
		72 CALL CAL JUN 09 @ 22.50 PROPERTY TYPE: SECURITIES				P	04/21/2009	06/22/2009
1,945.							1,945.	
		110 CALL INTC JUN 09 @ 18 PROPERTY TYPE: SECURITIES				P	04/21/2009	06/22/2009
1,676.							1,676.	
		55 CALL SNDK MAY 09 @ 18 PROPERTY TYPE: SECURITIES				P	04/21/2009	05/18/2009
1,217.							1,217.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		75 CALL UPS OCT 09 @ 75 PROPERTY TYPE: SECURITIES				P	04/21/2009	10/19/2009
1,333.							1,333.	
		10 CALL APA MAY 09 @ 80 PROPERTY TYPE: SECURITIES				P	04/23/2009	05/18/2009
109.							109.	
		40 CALL CAT JUN 09 @ 40 PROPERTY TYPE: SECURITIES				P	04/23/2009	06/22/2009
1,611.							1,611.	
		47 CALL MRO JUL 09 @ 35 PROPERTY TYPE: SECURITIES				P	04/23/2009	07/20/2009
2,579.							2,579.	
		85 CALL CHK MAY 09 @ 24 PROPERTY TYPE: SECURITIES				P	04/29/2009	05/18/2009
2,307.							2,307.	
		300 CALL MSFT JUL 09 @ 25 PROPERTY TYPE: SECURITIES				P	04/24/2009	07/20/2009
3,002.							3,002.	
		10 CALL TIE JUN 09 @ 10 PROPERTY TYPE: SECURITIES				P	06/04/2009	06/22/2009
69.							69.	
		26 CALL TIE JUN 09 @ 10 PROPERTY TYPE: SECURITIES				P	06/05/2009	06/22/2009
225.							225.	
		32 CALL ATI JUL 09 @ 45 PROPERTY TYPE: SECURITIES				P	05/19/2009	07/20/2009
1,277.							1,277.	
		85 CALL CHK JUN 09 @ 27.50 PROPERTY TYPE: SECURITIES				P	05/19/2009	06/22/2009
1,124.							1,124.	
		55 CALL SNDK JUL 09 @ 27.50 PROPERTY TYPE: SECURITIES				P	05/19/2009	06/22/2009
714.							714.	
		50 CALL XTO JUL 09 @ 50 PROPERTY TYPE: SECURITIES				P	05/20/2009	06/22/2009
869.							869.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		57 CALL SLM JUL 09 @ 10 PROPERTY TYPE: SECURITIES				P	05/21/2009	06/22/2009
999.							999.	
		10 CALL APA JUN 09 @ 100 PROPERTY TYPE: SECURITIES				P	05/26/2009	06/22/2009
94.							94.	
		10 CALL TIE JUN 09 @ 12.50 PROPERTY TYPE: SECURITIES				P	06/04/2009	07/20/2009
194.							194.	
		90 CALL TIE JUL 09 @ 12.50 PROPERTY TYPE: SECURITIES				P	06/05/2009	07/20/2009
2,863.							2,863.	
		810 CALL CAT JUL 09 @ 38 PROPERTY TYPE: SECURITIES				P	06/23/2009	06/24/2009
12,954.		19,441.					-6,487.	
		90 CALL CAT JUL 09 @ 38 PROPERTY TYPE: SECURITIES				P	06/23/2009	07/20/2009
1,439.							1,439.	
		10 CALL CL AUG 09 @ 80 PROPERTY TYPE: SECURITIES				P	06/23/2009	08/24/2009
244.							244.	
		25 CALL CL AUG 09 @ 80 PROPERTY TYPE: SECURITIES				P	07/06/2009	08/24/2009
648.							648.	
		25 CALL LM JUL 09 @ 25 PROPERTY TYPE: SECURITIES				P	06/23/2009	07/20/2009
869.							869.	
		55 CALL SNDK AUG 09 @ 18 PROPERTY TYPE: SECURITIES				P	06/23/2009	08/24/2009
1,880.							1,880.	
		36 CALL TIE JUL 09 @ 10 PROPERTY TYPE: SECURITIES				P	06/23/2009	07/20/2009
780.							780.	
		150 CALL VZ AUG 09 @ 34 PROPERTY TYPE: SECURITIES				P	06/23/2009	08/24/2009
2,167.							2,167.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		50 CALL BAC JUL 09 @ 15 PROPERTY TYPE: SECURITIES				P	06/24/2009	07/20/2009
780.							780.	
		2 CALL XTO AUG 09 @ 50 PROPERTY TYPE: SECURITIES				P	06/25/2009	08/24/2009
24.							24.	
		1 CALL XTO AUG 09 @ 50 PROPERTY TYPE: SECURITIES				P	06/25/2009	08/24/2009
15.							15.	
		77 CALL AA JUL 09 @ 12.50 PROPERTY TYPE: SECURITIES				P	06/25/2009	07/20/2009
1,084.							1,084.	
		10 CALL APA AUG 09 @ 95 PROPERTY TYPE: SECURITIES				P	06/25/2009	08/24/2009
193.							193.	
		32 CALL ATI AUG 09 @ 40 PROPERTY TYPE: SECURITIES				P	07/20/2009	08/24/2009
1,914.							1,914.	
		25 CALL LM AUG 09 @ 30 PROPERTY TYPE: SECURITIES				P	07/20/2009	08/24/2009
648.							648.	
		47 CALL MRO AUG 09 @ 35 PROPERTY TYPE: SECURITIES				P	07/24/2009	08/24/2009
816.							816.	
		32 CALL ATI OCT 09 @ 40 PROPERTY TYPE: SECURITIES				P	08/27/2009	10/19/2009
833.							833.	
		50 CALL XTO NOV 09 @ 50 PROPERTY TYPE: SECURITIES				P	09/10/2009	11/23/2009
1,101.							1,101.	
		40 CALL CAT SEP 09 @ 55 PROPERTY TYPE: SECURITIES				P	09/17/2009	09/21/2009
1,203.							1,203.	
		40 CALL CAT OCT 09 @ 60 PROPERTY TYPE: SECURITIES				P	09/22/2009	10/19/2009
1,351.							1,351.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		100 CALL GE NOV 09 @ 21 PROPERTY TYPE: SECURITIES				P	09/22/2009	11/23/2009
1,537.							1,537.	
		35 CALL CL OCT 09 @ 80 PROPERTY TYPE: SECURITIES				P	09/23/2009	10/19/2009
604.							604.	
		60 CALL SUN NOV 09 @ 35 PROPERTY TYPE: SECURITIES				P	09/30/2009	11/23/2009
1,054.							1,054.	
		20 CALL APA OCT 09 @ 105 PROPERTY TYPE: SECURITIES				P	10/08/2009	10/19/2009
244.							244.	
		32 CALL ATI NOV 09 @ 42 PROPERTY TYPE: SECURITIES				P	10/19/2009	10/23/2009
2,394.							2,394.	
		40 CALL CAT NOV 09 @ 70 PROPERTY TYPE: SECURITIES				P	10/19/2009	11/23/2009
622.							622.	
		82 CALL HD NOV 09 @ 30 PROPERTY TYPE: SECURITIES				P	10/19/2009	11/23/2009
782.							782.	
		10 CALL APA NOV 09 @ 115 PROPERTY TYPE: SECURITIES				P	10/21/2009	11/23/2009
694.							694.	
		57 CALL SLM NOV 09 @ 13 PROPERTY TYPE: SECURITIES				P	10/21/2009	11/23/2009
999.							999.	
		27 CALL XOM NOV 09 @ 80 PROPERTY TYPE: SECURITIES				P	10/26/2009	11/23/2009
391.							391.	
		25 CALL LM NOV 09 @ 33 PROPERTY TYPE: SECURITIES				P	11/05/2009	11/23/2009
648.							648.	
		7 CALL UPS DEC 09 @ 60 PROPERTY TYPE: SECURITIES				P	11/09/2009	12/21/2009
183.							183.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		18 CALL UPS DEC 09 @ 60 PROPERTY TYPE: SECURITIES				P	11/10/2009	11/23/2009
495.							495.	
		47 CALL MRO NOV 09 @ 36 PROPERTY TYPE: SECURITIES				P	11/10/2009	11/23/2009
1,031.							1,031.	
		100 CALL GE DEC 09 @ 17 PROPERTY TYPE: SECURITIES				P	11/24/2009	12/21/2009
1,611.							1,611.	
		57 CALL SLM DEC 09 @ 12 PROPERTY TYPE: SECURITIES				P	11/24/2009	12/21/2009
1,792.							1,792.	
		30 CALL BA DEC 09 @ 60 PROPERTY TYPE: SECURITIES				P	12/07/2009	12/21/2009
274.							274.	
		103794.236 AMERICAN MUTUAL FUND CL A PROPERTY TYPE: SECURITIES				P	01/02/2008	01/02/2009
2,030,215.		2,894,821.					-864,606.	
		653.308 AMERICAN MUTUAL FUND CL A PROPERTY TYPE: SECURITIES				P	03/19/2008	01/02/2009
12,779.		16,607.					-3,828.	
		639.801 AMERICAN MUTUAL FUND CL A PROPERTY TYPE: SECURITIES				P	06/25/2008	01/02/2009
12,515.		16,712.					-4,197.	
		676.619 AMERICAN MUTUAL FUND CL A PROPERTY TYPE: SECURITIES				P	09/22/2008	01/02/2009
13,235.		16,814.					-3,579.	
		1583.57 AMERICAN MUTUAL FUND CL A PROPERTY TYPE: SECURITIES				P	12/16/2008	01/02/2009
30,975.		28,979.					1,996.	
		317.870 AMERICAN MUTUAL FUND CL A PROPERTY TYPE: SECURITIES				P	12/16/2008	01/02/2009
6,218.		5,817.					401.	
		81688.724 FUNDAMENTAL INVESTORS FUND PROPERTY TYPE: SECURITIES				P	01/02/2009	12/22/2009
2[illegible]71,221.		2,105,935.					565,286.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		444.968 FUNDAMENTAL INVESTORS FUND PROPERTY TYPE: SECURITIES				P	02/23/2009	12/22/2009
14,550.		9,803.					4,747.	
		366.123 FUNDAMENTAL INVESTORS FUND PROPERTY TYPE: SECURITIES				P	05/07/2009	12/22/2009
11,972.		9,856.					2,116.	
		337.768 FUNDAMENTAL INVESTORS FUND PROPERTY TYPE: SECURITIES				P	08/17/2009	12/22/2009
11,045.		9,900.					1,145.	
		306.050 FUNDAMENTAL INVESTORS FUND PROPERTY TYPE: SECURITIES				P	12/16/2009	12/22/2009
10,008.		9,941.					67.	
		500000 HARRAHS OPERATING CO 6.5% 6/1/16 PROPERTY TYPE: SECURITIES				P	11/06/2006	04/15/2009
92,500.		459,752.					-367,252.	
		2939.87 AMERIQUEST 03-1MV3 FLT RATE 2/25 PROPERTY TYPE: SECURITIES				P	10/30/2006	01/27/2009
		2,704.					-2,704.	
		13068.93 AMERIQUEST 03-1MV FLT RATE 2/25 PROPERTY TYPE: SECURITIES				P	10/30/2006	02/25/2009
		12,023.					-12,023.	
		1786.86 AMERIQUEST 03-1MV3 FLT RATE 2/25 PROPERTY TYPE: SECURITIES				P	10/30/2006	08/31/2009
		1,647.					-1,647.	
		24491.99 AMERIQUEST 03-1MV3 FLT RATE 2/2 PROPERTY TYPE: SECURITIES				P	10/30/2006	10/26/2009
		22,586.					-22,586.	
		10145.02 AMERIQUEST 03-1MV3 FLT RATE 2/2 PROPERTY TYPE: SECURITIES				P	10/30/2006	11/25/2009
		9,358.					-9,358.	
		2269.47 CONTMORT 98-1B 7.86% 4/15/29 PROPERTY TYPE: SECURITIES				P	11/16/1998	01/21/2009
		2,232.					-2,232.	
		275000 COUNTRYWIDE HOME LOAN 6.25% 4/15/ PROPERTY TYPE: SECURITIES				P	05/19/2008	04/15/2009
[illegible]75,000.		275,000.						

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		100000 FORD MTR CR 5.5% 5/20/09 PROPERTY TYPE: SECURITIES				P	05/12/2006	05/20/2009
100,000.		100,000.						
		250000 FORD MTR CR 7.72% 5/17/10 PROPERTY TYPE: SECURITIES				P	05/12/2006	10/06/2009
250,000.		250,000.						
		100000 TEXTRON INC 5.6% 12/1/17 PROPERTY TYPE: SECURITIES				P	06/25/2009	11/20/2009
100,000.		100,000.						
		250000 TOYOTA MTR CR NON-INV 8% 12/21/21 PROPERTY TYPE: SECURITIES				P	12/20/2006	09/21/2009
250,000.		250,000.						
		250000 BARCLAYS BNK RV CNV AA 14% 2/27/0 PROPERTY TYPE: SECURITIES				P	08/29/2009	02/27/2009
250,000.		250,000.						
		250000 BARCLAYS BNK RV CNV XOM 9% 1/30/0 PROPERTY TYPE: SECURITIES				P	03/25/2008	01/30/2009
250,000.		250,000.						
		250000 BARCLAYS BNK RV CNV XTO 12.75% 1/ PROPERTY TYPE: SECURITIES				P	07/30/2008	01/30/2009
250,000.		250,000.						
		250000 FORTIS BK RV CNV HD 11.45% 4/30/0 PROPERTY TYPE: SECURITIES				P	04/11/2008	04/30/2009
250,000.		250,000.						
		250000 RBC RV CNV T 11% 2/13/09 PROPERTY TYPE: SECURITIES				P	02/13/2008	02/13/2009
250,000.		250,000.						
		350000 UNISYS CORP 8.5% 10/15/15 PROPERTY TYPE: SECURITIES				P	05/18/2006	07/31/2009
350,000.		350,000.						
		14175 W VIRGINIA GAMING 12% 11/10/11 PROPERTY TYPE: SECURITIES				P	10/12/2007	01/10/2009
14,175.		14,175.						
		14602.50 W VIRGINIA GAMING 12% 11/10/11 PROPERTY TYPE: SECURITIES				P	10/12/2007	04/10/2009
14,603.		14,603.						

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		15045 W VIRGINIA GAMING 12% 11/10/11				P	10/12/2007	07/10/2009
		PROPERTY TYPE: SECURITIES						
15,045.		15,045.						
		15501.95 W VIRGINIA GAMING 12% 11/10/11				P	10/12/2007	10/10/2009
		PROPERTY TYPE: SECURITIES						
15,502.		15,502.						
		3171.63 COUNTRYWIDE ALT 03-22CB B4 5.553				P	04/27/2005	01/26/2009
		PROPERTY TYPE: SECURITIES						
3,172.		3,172.						
		3173.95 COUNTRYWIDE ALT 03-22CB B4 5.553				P	04/27/2008	02/26/2009
		PROPERTY TYPE: SECURITIES						
3,174.		3,174.						
		3215.08 COUNTRYWIDE ALT 03-22CB B4 5.553				P	04/27/2005	03/26/2009
		PROPERTY TYPE: SECURITIES						
3,215.		3,215.						
		3758.01 COUNTRYWIDE ALT 03-22CB B4 5.553				P	04/27/2005	04/27/2009
		PROPERTY TYPE: SECURITIES						
3,758.		3,758.						
		3257.68 COUNTRYWIDE ALT 03-22CB B4.5.553				P	04/27/2005	05/26/2009
		PROPERTY TYPE: SECURITIES						
3,258.		3,258.						
		3275.63 COUNTRYWIDE ALT 03-22CB B4 5.553				P	04/27/2005	06/25/2009
		PROPERTY TYPE: SECURITIES						
3,276.		3,276.						
		3295.25 COUNTRYWIDE ALT 03/22CB B4 5.553				P	04/27/2005	07/28/2009
		PROPERTY TYPE: SECURITIES						
3,295.		3,295.						
		3310.48 COUNTRYWIDE ALT 03-22CB B4 5.553				P	04/27/2005	08/25/2009
		PROPERTY TYPE: SECURITIES						
3,310.		3,310.						
		47860.28 COUNTRYWIDE ALT 03-22CB B4 5.55				P	04/27/2005	08/31/2009
		PROPERTY TYPE: SECURITIES						
		37,124.					-37,124.	
		11363.71 COUNTRYWIDE ALT 03-22CB B4 5.55				P	04/27/2005	09/28/2009
		PROPERTY TYPE: SECURITIES						
		8,823.					-8,823.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		3218.13 COUNTRYWIDE ALT 03-22CB B4 5.553 PROPERTY TYPE: SECURITIES				P	04/27/2005	09/25/2009
3,218.		3,218.						
		3137.41 COUNTRYWIDE ALT 03-22CB B4 5.553 PROPERTY TYPE: SECURITIES				P	04/27/2005	10/25/2009
3,137.		3,137.						
		3647.61 COUNTRYWIDE ALT 03-22CB B4 5.553 PROPERTY TYPE: SECURITIES				P	04/27/2005	10/27/2009
		2,836.					-2,836.	
		4450.95 COUNTRYWIDE ALT 03-22CB B4 5.553 PROPERTY TYPE: SECURITIES				P	04/27/2005	12/02/2009
		3,467.					-3,467.	
		2962.53 COUNTRYWIDE ALT 03-22CB B4 5.553 PROPERTY TYPE: SECURITIES				P	04/27/2005	12/25/2009
2,963.		2,963.						
		3514.05 COUNTRYWIDE ALT 03-22CB B4 5.553 PROPERTY TYPE: SECURITIES				P	04/27/2005	12/25/2009
3,514.		3,514.						
		128632.72 COUNTRYWIDE ALT 03-22CB B4 5.5 PROPERTY TYPE: SECURITIES				P	04/27/2005	12/29/2009
		100,187.					-100,187.	
		1149.53 COUNTRYWIDE ALT 03-22CB B5 5.553 PROPERTY TYPE: SECURITIES				P	04/27/2005	01/26/2009
1,150.		1,150.						
		191.90 COUNTRYWIDE 03-22CB B5 5.55315% 1 PROPERTY TYPE: SECURITIES				P	04/27/2005	01/26/2009
		84.					-84.	
		1149.69 COUNTRYWIDE ALT 03-22CB B5 5.553 PROPERTY TYPE: SECURITIES				P	04/27/2005	02/26/2009
1,150.		1,150.						
		122378.52 COUNTRYWIDE ALT 03-22CB B5.5.5 PROPERTY TYPE: SECURITIES				P	04/25/2007	02/25/2009
		54,082.					-54,082.	
		731.04 COUNTRYWIDE ALT 03-22CB B5 5.5531 PROPERTY TYPE: SECURITIES				P	04/27/2005	03/25/2009
731.		731.						

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		55649.09 COUNTRYWIDE 03-22CB B5 5.55315%				P	04/27/2005	03/25/2009
		PROPERTY TYPE: SECURITIES						
		24,759.					-24,759.	
		623.45 COUNTRYWIDE ALT 03-22CB B5 5.5531				P	04/27/2005	05/04/2009
		PROPERTY TYPE: SECURITIES						
623.		623.						
		105585.05 COUNTRYWIDE ALT 03-22CB B5 5.5				P	04/27/2005	05/04/2009
		PROPERTY TYPE: SECURITIES						
		47,443.					-47,443.	
		158.57 COUNTRYWIDE ALT 03-22CB B5 5.5531				P	04/27/2005	05/27/2008
		PROPERTY TYPE: SECURITIES						
159.		159.						
		RECOVERY 722.97 COUNTRYWIDE ALT 03-22CB				P	04/27/2005	05/27/2009
		PROPERTY TYPE: SECURITIES						
723.		399.					324.	
		162.12 COUNTRYWIDE ALT 03-22CB B5 5.5531				P	04/27/2005	06/25/2009
		PROPERTY TYPE: SECURITIES						
162.		162.						
		163.09 COUNTRYWIDE 03-22CB B5 5.55315% 1				P	04/27/2005	08/28/2009
		PROPERTY TYPE: SECURITIES						
163.		163.						
		26829.17 COUNTRYWIDE ALT 03-22CB B5 5.55				P	04/27/2005	07/31/2009
		PROPERTY TYPE: SECURITIES						
		12,274.					-12,274.	
		64.14 COUNTRYWIDE ALT 03-22CB B5 5.55315				P	04/27/2005	08/25/2009
		PROPERTY TYPE: SECURITIES						
64.		64.						
		17202.04 COUNTRYWIDE ALT 03-22CB B5 5.55				P	04/27/2005	08/31/2009
		PROPERTY TYPE: SECURITIES						
		7,951.					-7,951.	
		2569.55 COUNTRYWIDE 04-5CB B3 5.52144% 3				P	03/29/2004	01/26/2009
		PROPERTY TYPE: SECURITIES						
2,570.		2,570.						
		2587.27 COUNTRYWIDE 04-5CB B3 5.52144% 3				P	03/29/2004	02/26/2009
		PROPERTY TYPE: SECURITIES						
2,587.		2,587.						

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		2586.06 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	03/25/2009
2,586.		2,586.						
		2594.72 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	05/04/2009
2,595.		2,595.						
		2605.94 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	05/27/2009
2,606.		2,606.						
		2430.19 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	06/25/2009
2,430.		2,430.						
		2637.71 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	07/31/2009
2,637.		2,637.						
		2680.85 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	08/25/2009
2,681.		2,681.						
		2720.41 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	09/25/2009
2,720.		2,720.						
		2650.92 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	10/25/2009
2,651.		2,651.						
		2745.69 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	11/25/2009
2,746.		2,746.						
		2591.58 COUNTRYWIDE 04-5CB B3 5.52144% 3 PROPERTY TYPE: SECURITIES				P	03/29/2004	12/25/2009
2,592.		2,592.						
		1389.55 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	02/28/2009
1,390.		1,390.						
		690.31 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	03/25/2009
690.		690.						

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		679.65 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	04/30/2009
680.		680.						
		1752.70 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	05/27/2009
1,753.		1,753.						
		701.95 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	06/25/2009
702.		702.						
		690.56 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	07/28/2009
691.		691.						
		690.00 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	08/25/2009
690.		690.						
		700.76 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	09/25/2009
701.		701.						
		698.87 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	10/25/2009
699.		699.						
		712.58 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	11/25/2009
713.		713.						
		715.60 COUNTRYWIDE 05-J2 B3 FLT 4/25/35 PROPERTY TYPE: SECURITIES				P	01/03/2007	12/25/2009
716.		716.						
		3122.60 COUNTRYWIDE 05-18CB B4 5.5% 5/25 PROPERTY TYPE: SECURITIES				P	08/11/2005	01/26/2009
3,123.		3,123.						
		4646.34 COUNTRYWIDE 05-18CB B4 5.5% 5/25 PROPERTY TYPE: SECURITIES				P	08/11/2005	03/25/2009
4,646.		4,646.						
		3362.12 COUNTRYWIDE 05-18CB B4 5.5% 5/25 PROPERTY TYPE: SECURITIES				P	08/11/2005	04/28/2009
3,362.		3,362.						

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		4295.60 COUNTRYWIDE 05-18CB B4 5.5% 5/25				P	08/11/2005	05/29/2009
		PROPERTY TYPE: SECURITIES						
4,296.		4,296.						
		3005.56 COUNTRYWIDE 05-18CB B4 5.5% 5/25				P	08/11/2005	06/25/2009
		PROPERTY TYPE: SECURITIES						
3,006.		3,006.						
		132344.77 COUNTRYWIDE 05-18CB B4 5.5% 5/				P	08/11/2005	06/30/2009
		PROPERTY TYPE: SECURITIES						
		94,512.					-94,512.	
		346144.97 COUNTRYWIDE 05-18CB B4 5.5% 5/				P	08/11/2005	06/30/2009
		PROPERTY TYPE: SECURITIES						
		247,195.					-247,195.	
		2746.52 COUNTRYWIDE 05-18CB B4 5.5% 5/25				P	08/11/2005	07/28/2009
		PROPERTY TYPE: SECURITIES						
2,747.		2,747.						
		203444.71 COUNTRYWIDE 05-18CB B4 5.5% 5/				P	08/11/2005	07/31/2009
		PROPERTY TYPE: SECURITIES						
		145,519.					-145,519.	
		2450.28 COUNTRYWIDE 05-18CB B4 5.5% 5/25				P	08/11/2005	08/25/2009
		PROPERTY TYPE: SECURITIES						
2,450.		2,450.						
		459918.47 COUNTRYWIDE 05-18CB B4 5.5% 5/				P	08/11/2005	08/31/2009
		PROPERTY TYPE: SECURITIES						
		329,438.					-329,438.	
		216164.86 COUNTRYWIDE 05-18CB B4 5.5% 5/				P	08/11/2005	09/28/2009
		PROPERTY TYPE: SECURITIES						
		155,105.					-155,105.	
		1837.65 COUNTRYWIDE 05-18CB B4 5.5% 5/25				P	08/11/2005	09/25/2009
		PROPERTY TYPE: SECURITIES						
1,319.		1,319.						
		19222.34 COUNTRYWIDE 05-18CB B4 5.5% 5/2				P	08/11/2005	10/27/2009
		PROPERTY TYPE: SECURITIES						
		13,814.					-13,814.	
		1561.97 COUNTRYWIDE 05-18CB B4 5.5% 5/25				P	08/11/2005	10/25/2009
		PROPERTY TYPE: SECURITIES						
1,562.		1,562.						

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		89221.2 COUNTRYWIDE 05-18CB B4 5.5% 5/25				P	08/11/2005	12/02/2009
		PROPERTY TYPE: SECURITIES						
		64,282.					-64,282.	
		61357.04 COUNTRYWIDE 05-18CB B4 5.5% 5/2				P	08/11/2005	12/30/2009
		PROPERTY TYPE: SECURITIES						
		44,206.					-44,206.	
		93.20 COUNTRYWIDE 05-22 FLT 11/25/35				P	09/28/2006	01/26/2009
		PROPERTY TYPE: SECURITIES						
87.		87.						
		92.91 COUNTRYWIDE 05-22 FLT 11/25/38				P	09/28/2006	02/26/2009
		PROPERTY TYPE: SECURITIES						
93.		93.						
		93.83 COUNTRYWIDE 05-22 FLT 11/25/35				P	09/28/2006	03/25/2009
		PROPERTY TYPE: SECURITIES						
94.		94.						
		94.03 COUNTRYWIDE 05-22 FLT 11/25/35				P	09/28/2006	04/28/2009
		PROPERTY TYPE: SECURITIES						
94.		94.						
		89.85 COUNTRYWIDE 05-22 FLT 11/25/35				P	09/28/2006	05/27/2009
		PROPERTY TYPE: SECURITIES						
90.		90.						
		95.05 COUNTRYWIDE 05-22 FLT 11/25/35				P	09/28/2006	06/25/2009
		PROPERTY TYPE: SECURITIES						
95.		95.						
		157111.55 COUNTRYWIDE 05-22 FLT 11/25/35				P	09/28/2006	06/30/2009
		PROPERTY TYPE: SECURITIES						
		147,478.					-147,478.	
		64.82 COUNTRYWIDE 05-22 FLT 11/25/35				P	08/29/2006	07/28/2009
		PROPERTY TYPE: SECURITIES						
65.		65.						
		324720.56 COUNTRYWIDE 05-22 FLT 11/25/35				P	08/29/2006	07/31/2009
		PROPERTY TYPE: SECURITIES						
		305,037.					-305,037.	
		315446.65 COUNTRYWIDE 06-43CB 3B2 6.75%				P	04/02/2007	01/27/2009
		PROPERTY TYPE: SECURITIES						
		277,846.					-277,846.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		2294.81 FNMA WHOLE LN 04-W3 B4 5.6521% 5 PROPERTY TYPE: SECURITIES				P	02/03/2005	01/26/2009
2,295.		2,295.						
		3828.95 FNMA WHOLE LN 04-W3 B4 5.6521% 5 PROPERTY TYPE: SECURITIES				P	02/03/2005	02/25/2009
3,829.		3,829.						
		5477.26 FNMA WHOLE LN 04-W3 B4 5.6521% 5 PROPERTY TYPE: SECURITIES				P	02/03/2005	03/25/2009
5,477.		5,477.						
		20951.33 FNMA WHOLE LN 04-W3 B4 5.6521% PROPERTY TYPE: SECURITIES				P	02/03/2005	04/27/2009
20,951.		20,951.						
		19714.49 FNMA WHOLE LN 04-W3 B4 5.6521% PROPERTY TYPE: SECURITIES				P	02/03/2005	06/18/2009
19,714.		19,714.						
		16561.47 FNMA WHOLE LN 04-W3 B4 5.6521% PROPERTY TYPE: SECURITIES				P	02/03/2005	06/30/2009
16,561.		16,561.						
		87188.48 FNMA WHOLE LN 04-W3 B4 5.6521% PROPERTY TYPE: SECURITIES				P	02/03/2005	05/25/2009
		61,579.					-61,579.	
		18295.77 FNMA WHOLE LN 04-W3 B4 5.6521% PROPERTY TYPE: SECURITIES				P	02/03/2005	07/28/2009
18,296.		18,296.						
		123215.74 FNMA WHOLE LN 04-W3 B4 5.6521% PROPERTY TYPE: SECURITIES				P	02/03/2005	07/21/2009
		87,142.					-87,142.	
		11665.15 FNMA WHOLE LN 04-W3 B4 5.6521% PROPERTY TYPE: SECURITIES				P	02/03/2005	08/25/2009
11,665.		11,665.						
		12223.50 FNMA WHOLE LN 04-W3 B4 5.6521% PROPERTY TYPE: SECURITIES				P	02/03/2005	08/31/2009
		8,657.					-8,657.	
		104604.06 FNMA WHOLE LN 04-W3 B4 5.6521% PROPERTY TYPE: SECURITIES				P	02/03/2005	08/31/2009
		74,081.					-74,081.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		11105.78 FNMA WHOLE LN 04-W3 B4 5.6521%				P	02/03/2005	09/25/2009
		PROPERTY TYPE: SECURITIES						
11,106.		11,106.						
		66727.33 FNMA WHOLE LN 04-W3 B4 5.6521%				P	02/03/2005	09/28/2009
		PROPERTY TYPE: SECURITIES						
		47,322.					-47,322.	
		13389.61 FNMA WHOLE LN 04-W3 B4 5.6521%				P	02/03/2005	10/29/2009
		PROPERTY TYPE: SECURITIES						
13,390.		13,390.						
		98592.02 FNMA WHOLE LN 04-W3 B4 5.6521%				P	02/03/2005	10/29/2009
		PROPERTY TYPE: SECURITIES						
		69,953.					-69,953.	
		11829.35 FNMA WHOLE LN 04-W3 B4 5.6521%				P	02/03/2005	11/25/2009
		PROPERTY TYPE: SECURITIES						
11,829.		11,829.						
		RECOVERY 47607.55 FNMA WHOLE LN 04-W3 B4				P	02/03/2005	11/25/2009
		PROPERTY TYPE: SECURITIES						
33,856.							33,856.	
		8368.82 FNMA WHOLE LN 04-W3 B4 5.6521% 5				P	02/03/2005	12/25/2009
		PROPERTY TYPE: SECURITIES						
8,369.		8,369.						
		107471.79 FNMA WHOLE LN 04-W3 B4 5.6521%				P	02/03/2005	12/30/2009
		PROPERTY TYPE: SECURITIES						
		76,533.					-76,533.	
		6071.75 FNMA WHOLE LN 04-W3 B3 5.6521% 5				P	02/04/2005	01/26/2009
		PROPERTY TYPE: SECURITIES						
6,072.		6,072.						
		6077.07 FNMA WHOLE LN 04-W3 B3 5.6521% 5				P	02/04/2005	02/25/2009
6,077.		6,077.						
		6154.43 FNMA WHOLE LN 04-W3 B3 5.6521% 5				P	02/04/2005	03/25/2009
		PROPERTY TYPE: SECURITIES						
6,154.		6,154.						
		23541.63 FNMA WHOLE LN 04-W3 B3 5.6521%				P	02/04/2005	04/27/2009
		PROPERTY TYPE: SECURITIES						
23,542.		23,542.						

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		22151.92 FNMA WHOLE LN 04-W3 B3 5.6521% PROPERTY TYPE: SECURITIES				P	02/04/2005	05/26/2009
22,152.		22,152.						
		21550.55 FNMA WHOLE LN 04-W3 B3 5.6521% PROPERTY TYPE: SECURITIES				P	02/04/2005	06/30/2009
21,551.		21,551.						
		21875.30 FNMA WHOLE LN 04-W3 B3 5.6521% PROPERTY TYPE: SECURITIES				P	02/04/2005	07/28/2009
21,875.		21,875.						
		16612.22 FNMA WHOLE LN 04-W3 B3 5.6521% PROPERTY TYPE: SECURITIES				P	02/04/2005	08/25/2009
16,612.		16,612.						
		13770.24 FNMA WHOLE LN 04-W3 B3 5.6521% PROPERTY TYPE: SECURITIES				P	02/04/2005	09/25/2009
13,770.		13,770.						
		17313.11 FNMA WHOLE LN 04-W3 B3 5.621% 5 PROPERTY TYPE: SECURITIES				P	02/04/2005	10/29/2009
17,313.		17,313.						
		15452.04 FNMA WHOLE LN 04-W3 B3 5.6521% PROPERTY TYPE: SECURITIES				P	02/04/2005	11/25/2009
15,452.		15,452.						
		11041.55 FNMA WHOLE LN 04-W3 B3 5.6521% PROPERTY TYPE: SECURITIES				P	02/04/2005	12/25/2009
11,042.		11,042.						
		2035.51 IMPAC 2001-8 B2 6.5% 1/25/32 PROPERTY TYPE: SECURITIES				P	03/15/2002	01/26/2009
2,036.		2,036.						
		58443.74 IMPAC 2001-8 B2 6.5% 1/25/32 PROPERTY TYPE: SECURITIES				P	03/15/2002	01/26/2009
		40,240.					-40,240.	
		2917.86 IMPAC 2001-8 B2 6.5% 1/25/32 PROPERTY TYPE: SECURITIES				P	03/15/2002	02/25/2009
2,918.		2,918.						
		169217.22 IMPAC 2001-8 B2 6.5% 1/25/32 PROPERTY TYPE: SECURITIES				P	03/15/2002	02/25/2009
		116,699.					-116,699.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		RECOVERY 76.86 IMPAC 2001-8 B2 6.5% 1/25 PROPERTY TYPE: SECURITIES				P	03/15/2002	03/30/2009
53.							53.	
		RECOVERY 28.82 IMPAC 2001-8 B2 6.5% 1/25 PROPERTY TYPE: SECURITIES				P	03/15/2002	05/01/2009
20.							20.	
		81841.05 IMPAC 2001-8 B2 6.5% 1/25/32 PROPERTY TYPE: SECURITIES				P	03/15/2002	06/30/2009
		57,150.					-57,150.	
		RECOVERY 874.73 IMPAC 2001-8 B2 6,5% 1/2 PROPERTY TYPE: SECURITIES				P	03/15/2002	07/30/2009
611.							611.	
		874.83 IMPAC 2001-8 B2 6.5% 1/25/32 PROPERTY TYPE: SECURITIES				P	03/15/2002	10/31/2009
		614.					-614.	
		335510.63 JPMORGAN 05 R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	01/29/2009
		249,386.					-249,386.	
		281984.20 JPMORGAN 05-R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	03/01/2009
		284,737.					-284,737.	
		89690.35 JPMORGAN 05-R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	03/30/2009
		66,856.					-66,856.	
		420.73 JPMORGAN 95-R1 RLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	04/30/2009
421.		421.						
		RECOVERY 96270.83 JPMORGAN 05-R1 FLT 7/2 PROPERTY TYPE: SECURITIES				P	06/21/2005	04/30/2009
71,842.							71,842.	
		52351.59 JPMORGAN 05-R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	05/29/2009
		39,111.					-39,111.	
		142829.67 JPMORGAN 05-R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	06/30/2009
		106,825.					-106,825.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		272740.84 JPMORGAN 05-R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	07/30/2009
		204,216.					-204,216.	
		7601.92 JPMORGAN 05-R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	08/31/2009
		5,698.					-5,698.	
		184882.34 JPMORGAN 05-R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	09/30/2009
		138,740.					-138,740.	
		226851.50 JPMORGAN 05-R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	10/29/2009
		170,425.					-170,425.	
		84096.48 JPMORGAN 05-R1 FLT 7/28/34 PROPERTY TYPE: SECURITIES				P	06/21/2005	12/02/2009
		63,319.					-63,319.	
		1089.32 RES ACCEP 2003-A6 B4 5.5% 7/25/3 PROPERTY TYPE: SECURITIES				P	02/19/2004	01/26/2009
1,089.		1,089.						
		1111.84 RES ACCEP 2003-A6 B4 5.5% 7/25/3 PROPERTY TYPE: SECURITIES				P	02/19/2004	02/25/2009
1,112.		1,112.						
		1788.52 RES ACCEP 2003-A6 B4 5.5% 7/25/3 PROPERTY TYPE: SECURITIES				P	02/19/2004	03/25/2009
1,789.		1,789.						
		2176.84 RES ACCEP 2003-A6 B4 5.5% 7/25/3 PROPERTY TYPE: SECURITIES				P	02/19/2004	04/27/2009
2,177.		2,177.						
		3005.70 RES ACCEP 2003-A6 B4 5.5% 7/25/3 PROPERTY TYPE: SECURITIES				P	02/19/2004	05/26/2009
3,006.		3,006.						
		2838.62 RES ACCEP 2003-A6 B4 5.5% 7/25/3 PROPERTY TYPE: SECURITIES				P	02/19/2004	06/25/2009
2,839.		2,839.						
		4394.78 RES ACCEP 2003-A6 B4 5.5% 7/25/3 PROPERTY TYPE: SECURITIES				P	02/19/2004	07/27/2009
4,395.		4,395.						

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		2184.74 RES ACCEP 2003-A6 B4 5.5% 7/25/3 PROPERTY TYPE: SECURITIES				P	02/19/2004	08/25/2009
2,185.		2,185.						
		4050.64 RES ACCEP 2003-A6 B4 5.5% 7/15/3 PROPERTY TYPE: SECURITIES				P	02/19/2004	10/25/2009
4,051.		4,051.						
		806.36 RES ACCEP 2003-A6 B4 5.5% 7/25/33 PROPERTY TYPE: SECURITIES				P	02/19/2004	11/25/2009
806.		806.						
		1990.85 RES ACCEP 2003-A6 B4 5.5% 7/25/3 PROPERTY TYPE: SECURITIES				P	02/19/2003	12/25/2009
1,991.		1,991.						
		3807.10 RES ASSET 2003-A6 B3 5.5% 5/25/3 PROPERTY TYPE: SECURITIES				P	03/25/2004	01/28/2009
3,807.		3,807.						
		1537.96 RES ASSET 2003-A6 B3 5.5% 5/25/3 PROPERTY TYPE: SECURITIES				P	03/25/2004	01/28/2009
1,538.		1,538.						
		3885.85 RES ASSET 2003-A6 B3 5.5% 5/25/3 PROPERTY TYPE: SECURITIES				P	03/25/2004	02/25/2009
3,886.		3,886.						
		6250.79 RES ASSET 2003-A6 B3 5.5% 5/25/3 PROPERTY TYPE: SECURITIES				P	03/25/2004	03/25/2009
6,251.		6,251.						
		7607.98 RES ASSET 2003-A6 B3 5.5% 5/25/3 PROPERTY TYPE: SECURITIES				P	03/25/2004	04/27/2009
7,608.		7,608.						
		10504.80 RES ASSET 2003-A6 B3 5.5% 5/25/				P	03/25/2004	05/26/2009
10,505.		10,505.						
		9920.82 RES ASSET 2003-A6 B3 5.5% 5/25/ PROPERTY TYPE: SECURITIES				P	03/25/2004	06/25/2009
9,921.		9,921.						
		15359.57 RES ASSSET 2003-A6 B3 5.5% 5/25 PROPERTY TYPE: SECURITIES				P	03/25/2004	07/27/2009
15,360.		15,360.						

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		7635.56 RES ASSET 2003-A6 B3 5.5% 5/25/3 PROPERTY TYPE: SECURITIES				P	03/25/2004	08/25/2009
7,536.		7,536.						
		7102.64 RES ASSET 2003-A5 B3 5.5% 5/25/3 PROPERTY TYPE: SECURITIES				P	03/25/2004	09/25/2009
7,103.		7,103.						
		14156.76 RES ASSET 2003-A5 B3 5.5% 5/25/ PROPERTY TYPE: SECURITIES				P	03/25/2004	10/25/2009
14,157.		14,157.						
		2821.21 RES ASSET 2003-A6 B3 5.5% 5/25/3 PROPERTY TYPE: SECURITIES				P	03/25/2004	11/25/2009
2,821.		2,821.						
		6957.98 RES ASSET 2003-A6 B3 5.5% 5/25/3 PROPERTY TYPE: SECURITIES				P	03/25/2004	12/25/2009
6,422.		6,422.						
		1156.93 RES ASSET 2004-A5 B4 5.5% 8/25/3 PROPERTY TYPE: SECURITIES				P	03/31/2005	01/26/2009
1,157.		1,157.						
		1157.21 RES ASSET 2004-A5 B4 5.5% 8/25/3 PROPERTY TYPE: SECURITIES				P	03/31/2005	02/25/2009
1,157.		1,157.						
		1154.67 RES ASSET 2004-A4 B4 5.5% 8/25/3 PROPERTY TYPE: SECURITIES				P	03/31/2005	03/25/2009
1,155.		1,155.						
		1167.95 RES ASSET 2004-A5 B4 5.5% 8/25/3 PROPERTY TYPE: SECURITIES				P	03/31/2005	04/27/2009
1,168.		1,168.						
		1172.91 RES ASSET 2004-A5 B4 5.5% 8/25 3 PROPERTY TYPE: SECURITIES				P	03/31/2005	05/26/2009
1,173.		1,173.						
		2223.48 RES ASSET 2004-A5 B4 5.5% 8/25/3 PROPERTY TYPE: SECURITIES				P	03/31/2005	06/30/2009
2,223.		2,223.						
		1184.72 RES ASSET 2004-A5 B4 5.5% 8/25/3 PROPERTY TYPE: SECURITIES				P	03/31/2005	07/27/2009
1,185.		1,185.						

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		995.53 RES ASSET 2004-A5 B4 5.5% 8/25/34				P	03/31/2005	09/25/2009
		PROPERTY TYPE: SECURITIES						
996.		996.						
		2114.39 RES ASSET 2004-A5 B4 5.5% 8/25/3				P	03/31/2005	10/25/2009
		PROPERTY TYPE: SECURITIES						
2,114.		2,114.						
		1203.73 RES ASSET 2004-A5 B4 5.5% 8/25/3				P	03/31/2005	11/25/2009
		PROPERTY TYPE: SECURITIES						
1,204.		1,204.						
		1202.32 RES ASSET 2004-A5 B4 5.5% 8/25/3				P	03/31/2005	12/25/2009
		PROPERTY TYPE: SECURITIES						
1,202.		1,202.						
		823.83 RES ASSET 2005-A2 B5 5.5% 3/25/35				P	05/03/2005	01/26/2009
		PROPERTY TYPE: SECURITIES						
824.		824.						
		822.80 RES ASSET 2005-A2 B5 5.5% 3/25/35				P	05/03/2005	02/25/2009
		PROPERTY TYPE: SECURITIES						
823.		823.						
		219654.51 RES ASSET 2005-A2 B5 5.5% 3/25				P	05/03/2005	09/29/2009
		PROPERTY TYPE: SECURITIES						
		147,343.					-147,343.	
		374424.30 RES ASSET 2005-A2 B5 5.5% 3/25				P	05/03/2005	10/27/2009
		PROPERTY TYPE: SECURITIES						
		251,770.					-251,770.	
		52010.30 RES ASSET 2005-A2 B5 5.5% 5/25/				P	05/03/2005	12/30/2009
		PROPERTY TYPE: SECURITIES						
		35,484.					-35,484.	
		490.27 RES ASSET 2005-A2 B6 5.5% 3/25/35				P	05/03/2005	01/27/2009
		PROPERTY TYPE: SECURITIES						
490.		490.						
		76618.47 RES ASSET 2005-A2 B6 5.5% 3/25/				P	05/03/2005	01/27/2009
		PROPERTY TYPE: SECURITIES						
		29,225.					-29,225.	
		392.22 RES ASSET 2005-A2 B6 5.5% 5/25/35					05/03/2005	02/25/2009
392.		392.						

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		210832.15 RES ASSET 2005-A2 B6 5.5% 5/25				P	05/03/2005	02/25/2009
		PROPERTY TYPE: SECURITIES						
		80,938.					-80,938.	
		361.64 RES ASSET 2005-A2 B6 5.5% 3/25/35				P	05/03/2005	03/30/2009
		PROPERTY TYPE: SECURITIES						
		141.					-141.	
		24436.71 RES ASSET 2005-A2 B6 5.5% 5/25/				P	05/03/2005	04/29/2009
		PROPERTY TYPE: SECURITIES						
		9,582.					-9,582.	
		1015.74 RES ASSET 2005 A2 B6 5.5% 3/25/3				P	05/03/2005	05/28/2009
		PROPERTY TYPE: SECURITIES						
		401.					-401.	
		51807.38 RES ASSET 2005-A2 B6 5.5% 3/25/				P	05/03/2005	06/30/2009
		PROPERTY TYPE: SECURITIES						
		20,551.					-20,551.	
		255.93 RES ASSET 2005-A2 B6 5.5% 3/25/25				P	05/03/2005	07/31/2009
		PROPERTY TYPE: SECURITIES						
		104.					-104.	
		40764.09 FHLMC REMIC 2688 SB 10/15/33				P	01/30/2004	07/15/2009
		PROPERTY TYPE: SECURITIES						
40,764.		40,764.						
		21182.57 FHLMC REMIC 2688 SB 10/15/33				P	01/30/2004	08/15/2009
		PROPERTY TYPE: SECURITIES						
21,183.		21,183.						
		9413.97 FHLMC REMIC 2688 SB 10/15/33				P	01/30/2004	09/15/2009
		PROPERTY TYPE: SECURITIES						
9,414.		9,414.						
		4284.08 FHLMC REMIC 2688 SB 10/15/33				P	01/30/2004	10/15/2009
		PROPERTY TYPE: SECURITIES						
4,284.		4,284.						
		8434.04 FHLMC REMIC 2688 SB 10/15/33				P	01/30/2004	11/15/2009
		PROPERTY TYPE: SECURITIES						
8,434.		8,434.						
		15043.03 FHLMC REMIC 2688 SB 10/15/33				P	01/30/2004	12/15/2009
		PROPERTY TYPE: SECURITIES						
13,386.		13,386.						

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		972.10 FHLMC REMIC 2784 SY 8/15/33				P	10/13/2004	06/15/2009
		PROPERTY TYPE: SECURITIES						
972.		972.						
		8992.89 FHLMC REMIC 2784 SY 8/15/33				P	10/13/2004	07/15/2009
		PROPERTY TYPE: SECURITIES						
8,993.		8,993.						
		3922.07 FHLMC REMIC 2784 SY 8/15/33				P	10/13/2004	08/15/2009
		PROPERTY TYPE: SECURITIES						
3,922.		3,922.						
		3894.27 FHLMC REMIC 2784 SY 8/15/33				P	10/13/2004	09/15/2009
		PROPERTY TYPE: SECURITIES						
3,894.		3,894.						
		4744.42 FHLMC REMIC 2784 SY 8/15/33				P	10/13/2004	11/15/2009
		PROPERTY TYPE: SECURITIES						
4,744.		4,744.						
		1771.12 FHLMC REMIC 2784 SY 8/15/33				P	10/13/2004	12/30/2009
		PROPERTY TYPE: SECURITIES						
1,771.		1,771.						
		14302.61 RES ASSET 2005-A2 B6 5.5% 3/25/				P	05/03/2005	08/31/2009
		PROPERTY TYPE: SECURITIES						
		5,803.					-5,803.	
		4970.00 RES ASSET 2005-A2 B6 5.5% 3/25/3				P	05/03/2005	10/31/2009
		PROPERTY TYPE: SECURITIES						
		2,063.					-2,063.	
		GREEN TREE FINL DEFAULT 3/15/28				P	03/29/2004	11/15/2009
		PROPERTY TYPE: SECURITIES						
5,377.							5,377.	
		151339 TRISM INC DEFAULT 12% 2/15/05				P	07/29/1998	01/30/2009
		PROPERTY TYPE: SECURITIES						
263.							263.	
		350 MERCK KGAA-EUR				P	05/19/2006	05/21/2009
		PROPERTY TYPE: SECURITIES						
31,499.		32,060.					-561.	
		1600 ATLAS COPCO AB SPONS ADR				P	08/27/2007	01/22/2009
		PROPERTY TYPE: SECURITIES						
9,760.		25,360.					-15,600.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		2520 RIGHTS ON 2520 SH AXA SA SPONS ADR PROPERTY TYPE: SECURITIES				P	11/13/2009	11/13/2009
1,461.							1,461.	
		1800 BNP PARIBAS SPON ADR PROPERTY TYPE: SECURITIES				P	05/15/2005	03/26/2009
39,510.		80,586.					-41,076.	
		3925 RIGHTS ON 3925 SH BNP PARIBAS SPON PROPERTY TYPE: SECURITIES				P	11/02/2009	11/02/2009
3,787.							3,787.	
		300 BHP BILLITON LTD SPONS ADR PROPERTY TYPE: SECURITIES				P	12/02/2005	11/17/2009
22,766.		9,984.					12,782.	
		64 BHP BILLITON LRD SPONS ADR PROPERTY TYPE: SECURITIES				P	12/02/2005	12/28/2009
4,891.		2,130.					2,761.	
		573 BRITISH AIRWAYS PLC PROPERTY TYPE: SECURITIES				P	10/08/2007	05/21/2009
14,588.		48,762.					-34,174.	
		2130 CARSO GLOBAL TELECOM S A DE CV SPON PROPERTY TYPE: SECURITIES				P	02/26/2008	12/28/2009
19,802.		19,276.					526.	
		205 CASIO COMPUTER CO LTD ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	11/17/2009
14,841.		35,151.					-20,310.	
		800 CENTRICA PLC SPONSORED ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	05/21/2009
12,296.		16,342.					-4,046.	
		200 CNOOC LTD SPONS ADR PROPERTY TYPE: SECURITIES				P	03/18/2006	01/22/2009
16,488.		29,860.					-13,372.	
		400 DIAGEO PLC SPON ADR NEW PROPERTY TYPE: SECURITIES				P	06/16/2006	11/17/2009
27,687.		26,920.					767.	
		64 E ON AG SPONS ADR PROPERTY TYPE: SECURITIES				P	12/22/2004	03/26/2009
1,866.		1,839.					27.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		238 E ON AG SPONS ADR PROPERTY TYPE: SECURITIES				P	12/22/2004	03/26/2009
6,879.		6,781.					98.	
		664 E ON AG SPONS ADR PROPERTY TYPE: SECURITIES				P	12/22/2004	07/24/2009
23,870.		19,078.					4,792.	
		336 E ON AG SPONS ADR PROPERTY TYPE: SECURITIES				P	12/22/2004	07/24/2009
12,079.		9,654.					2,425.	
		64 E ON AG SPONS ADR PROPERTY TYPE: SECURITIES				P	12/24/2004	12/28/2009
2,670.		1,839.					831.	
		400 FOMENTO ECONOMICO MEXICANO PROPERTY TYPE: SECURITIES				P	02/26/2008	05/21/2008
12,736.		17,328.					-4,592.	
		40 FOMENTO ECONOMICO MEXICANO PROPERTY TYPE: SECURITIES				P	02/26/2008	09/17/2009
1,460.		1,733.					-273.	
		460 FOMENTO ECONOMICO MEXICANO PROPERTY TYPE: SECURITIES				P	03/18/2008	09/17/2009
16,785.		18,603.					-1,818.	
		RIGHTS ON 7000 GKN PUBLIC LTD CO SPON AD PROPERTY TYPE: SECURITIES				P	07/23/2009	07/23/2009
3,759.							3,759.	
		7000 GKN PUBLIC LTD CO SPON ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	09/17/2009
12,450.		35,448.					-22,998.	
		300 GLAXOSMITHKLINE PLC SP ADR PROPERTY TYPE: SECURITIES				P	03/21/2003	03/28/2009
9,191.		11,263.					-2,072.	
		300 GLAXOSMITHKLINE PLC SP ADR PROPERTY TYPE: SECURITIES				P	03/21/2003	03/26/2009
6,128.		7,650.					-1,522.	
		1064 GLAXOSMITHKLINE PLC SP ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	03/26/2009
32,599.		57,249.					-24,650.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		136 GLAXOSMITHKLINE PLC SP ADR PROPERTY TYPE: SECURITIES				P	12/20/2007	03/28/2009
4,167.		6,895.					-2,728.	
		RIGHTS ON .25 HSBC HOLDINGS PLC PROPERTY TYPE: SECURITIES				P	03/16/2009	03/16/2009
2.							2.	
		RIGHTS ON 301 HSBC HOLDINGS PLC PROPERTY TYPE: SECURITIES				P	04/07/2009	04/07/2009
2,709.							2,709.	
		64 HANNOVER REINS CORP-EUR ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	12/28/2009
1,487.		1,092.					395.	
		RIGHTS ON 2000 SH HUSQVARNA AB-SEK SPONS PROPERTY TYPE: SECURITIES				P	04/03/2009	04/03/2009
3,689.							3,689.	
		2000 HUSQVARNA ABA-SEK SPONS ADR PROPERTY TYPE: SECURITIES				P	06/27/2007	11/17/2009
27,399.		52,400.					-25,001.	
		120 ISUZU MOTORS LTD ADR PROPERTY TYPE: SECURITIES				P	02/20/2007	01/22/2009
1,381.		6,192.					-4,811.	
		700 ISUZU MOTORS LTD ADR PROPERTY TYPE: SECURITIES				P	06/18/2007	01/22/2009
8,059.		36,960.					-28,901.	
		1580 ISUZU MOTORS LTD ADR PROPERTY TYPE: SECURITIES				P	07/16/2007	01/22/2009
18,190.		92,351.					-74,161.	
		880 ISUZU MOTORS LTD ADR PROPERTY TYPE: SECURITIES				P	07/16/2007	03/26/2009
10,446.		51,436.					-40,990.	
		1000 ISUZU MOTORS LTD ADR PROPERTY TYPE: SECURITIES				P	06/26/2006	03/26/2009
11,870.		38,010.					-26,140.	
		34 KEPPEL LTD SPONSORED ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	12/28/2009
392.		298.					94.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		300 K B FINANCIAL GROUP INC ADR PROPERTY TYPE: SECURITIES				P	04/20/2007	09/17/2009
15,231.		27,655.					-12,424.	
		RIGHTS ON .1471 KB FINANCIAL GROUP INC A PROPERTY TYPE: SECURITIES				P	07/28/2009	07/28/2009
2.							2.	
		RIGHTS ON K B FINANCIAL GROUP INC ADR PROPERTY TYPE: SECURITIES				P	08/13/2009	08/13/2009
787.							787.	
		1200 MARKS & SPENCER GROUP PLC SPONSORED PROPERTY TYPE: SECURITIES				P	07/24/2009	12/29/2009
15,198.		13,440.					1,758.	
		400 MITSUBISHI CORP SPONS ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	03/26/2009
11,364.		15,968.					-4,604.	
		300 MITSUBISHI ELEC CORP ADR PROPERTY TYPE: SECURITIES				P	12/20/2007	03/28/2009
14,160.		30,180.					-16,020.	
		210 MITSUBISHI ELEC CORP ADR PROPERTY TYPE: SECURITIES				P	03/18/2008	03/26/2009
9,912.		16,609.					-6,697.	
		200 MITSUBISHI ELEC CORP ADR PROPERTY TYPE: SECURITIES				P	08/26/2006	03/26/2009
9,440.		16,930.					-7,490.	
		2235 MITSUBISHI UFJ FINANCIAL GROUP INC PROPERTY TYPE: SECURITIES				P	06/16/2006	07/24/2009
12,762.		28,809.					-16,047.	
		800 MITSUBISHI UFJ FINANCIAL GROUP INC A PROPERTY TYPE: SECURITIES				P	06/18/2007	07/24/2009
4,568.		9,312.					-4,744.	
		RIGHTS ON 13872 NATIONAL BK GREECE S A S PROPERTY TYPE: SECURITIES				P	07/27/2009	07/27/2009
4,247.							4,247.	
		1100 NESTLE S A SPONSORED ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	01/22/2009
38,555.		33,141.					5,414.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		400 NESTLE S A SPONSORED ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	09/17/2009
16,968.		12,051.					4,917.	
		600 NESTLE S A SPONSORED ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	11/17/2009
28,439.		18,077.					10,362.	
		87 NESTLE S A SPONSORED ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	12/28/2009
4,257.		2,621.					1,636.	
		80 NIPPON STEEL CORP-UNSPON ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	12/28/2009
3,238.		2,842.					396.	
		1600 NOKIA CORP SPONSORED ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	03/26/2009
19,476.		31,822.					-12,346.	
		1500 NOKIA CORP SPONSORED ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	09/17/1999
23,414.		29,833.					-6,419.	
		1492 NOKIA CORP SPONSORED ADR PROPERTY TYPE: SECURITIES				P	06/16/2006	11/17/2009
20,171.		29,674.					-9,503.	
		400 NOVO-NORDISK A S ADR PROPERTY TYPE: SECURITIES				P	02/26/2008	01/22/2009
20,356.		27,597.					-7,241.	
		60 NOVO-NORDISK A S ADR PROPERTY TYPE: SECURITIES				P	08/26/2008	12/28/2009
3,843.		3,440.					403.	
		1000 OLUMPUS CORP SPONSORED ADR PROPERTY TYPE: SECURITIES				P	12/20/2007	01/22/2009
16,400.		39,950.					-23,550.	
		1200 SK TELECOM LTD SPON ADR PROPERTY TYPE: SECURITIES				P	10/08/2007	05/21/2009
18,998.		37,988.					-18,990.	
		100 SK TELECOM LTD SPON ADR PROPERTY TYPE: SECURITIES				P	03/18/2008	05/21/2009
1,583.		2,113.					-530.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		800 SK TELECOM LTD SPON ADR				P	03/18/2008	09/17/2009
		PROPERTY TYPE: SECURITIES						
12,728.		16,904.					-4,176.	
		900 SASOL LTD SPONS ADR				P	12/20/2007	07/24/2009
		PROPERTY TYPE: SECURITIES						
32,455.		41,724.					-9,269.	
		340 SASOL LTD SPONS ADR				P	02/26/2008	07/24/2009
		PROPERTY TYPE: SECURITIES						
12,261.		18,411.					-6,150.	
		300 SASOL LTD SPONS ADR				P	08/26/2008	07/24/2009
		PROPERTY TYPE: SECURITIES						
10,818.		15,865.					-5,047.	
		3700 SILICONWARE PRECISION INDS SPON ADR				P	08/27/2007	07/24/2009
		PROPERTY TYPE: SECURITIES						
25,319.		37,517.					-12,198.	
		100 SOLVAY SA SPONS ADR				P	06/16/2006	09/17/2009
		PROPERTY TYPE: SECURITIES						
11,370.		10,807.					563.	
		335 SUMITOMO METAL INDS LTD SPON ADR				P	06/16/2006	05/21/2009
		PROPERTY TYPE: SECURITIES						
8,442.		13,423.					-4,981.	
		400 SUMITOMO METAL INDS LTD SPON ADR				P	04/20/2007	06/21/2009
		PROPERTY TYPE: SECURITIES						
10,080.		20,360.					-10,280.	
		.02547 TNT S V SPONSORED ADR				P	06/16/2006	04/28/2009
		PROPERTY TYPE: SECURITIES						
		1.					-1.	
		1000 TNT NV SPONSORED ADR-USD				P	06/16/2006	11/17/2009
		PROPERTY TYPE: SECURITIES						
28,869.		33,385.					-4,516.	
		810 TERNIUM S A SPONSORED ADR				P	07/16/2007	12/28/2009
		PROPERTY TYPE: SECURITIES						
28,413.		25,750.					2,663.	
		700 TERNIUM S A SPONSORED ADR				P	10/08/2007	12/28/2009
		PROPERTY TYPE: SECURITIES						
24,554.		22,120.					2,434.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		500 TERNIUM S A SPONSORED ADR PROPERTY TYPE: SECURITIES				P	08/26/2008	12/28/2009
17,539.		16,665.					874.	
		2700 TERNIUM S A SPONSORED ADR PROPERTY TYPE: SECURITIES				P	03/26/2009	12/28/2009
94,710.		21,195.					73,515.	
		1200 TEVA PHARMACEUTICAL INDS LTD ADR PROPERTY TYPE: SECURITIES				P	02/20/2007	05/21/2009
52,641.		45,756.					6,885.	
		200 TEVA PHARMACEUTICAL INDS LTD ADR PROPERTY TYPE: SECURITIES				P	11/21/2008	05/21/2009
8,774.		8,174.					600.	
		200 TOTAL S A SPONS ADR PROPERTY TYPE: SECURITIES				P	12/20/2005	03/26/2009
10,584.		12,650.					-2,066.	
		1600 UNILEVER PLC SPONS ADR NEW PROPERTY TYPE: SECURITIES				P	02/28/2008	01/22/2009
36,208.		50,638.					-14,430.	
		610 USIMINAS SA PFD B SPONS ADR PROPERTY TYPE: SECURITIES				P	04/20/2007	03/26/2009
7,777.		13,149.					-5,372.	
		675 USIMINAS SA PFD B SPONS ADR PROPERTY TYPE: SECURITIES				P	06/18/2007	03/26/2009
8,606.		17,400.					-8,794.	
		810 USIMINAS SA PFD B SPONS ADR PROPERTY TYPE: SECURITIES				P	07/16/2007	03/26/2009
10,327.		21,924.					-11,597.	
		1700 VODAFONE GROUP PLC SPONS ADR NEW PROPERTY TYPE: SECURITIES				P	08/30/2006	11/17/2009
39,884.		37,434.					2,450.	
		400 WOORI FIN HLDGS CO LTD-ADR PROPERTY TYPE: SECURITIES				P	04/20/2007	01/22/2009
5,978.		31,449.					-25,471.	
		200 WOORI FIN HLDGS CO LTD-ADR PROPERTY TYPE: SECURITIES				P	04/20/2007	01/22/2009
2,989.		15,749.					-12,760.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		100 WOORI FIN HLDGS CO LTD-ADR PROPERTY TYPE: SECURITIES				P	04/20/2007	06/21/2009
2,858.		7,875.					-5,017.	
		500 WOORI FIN HLDGS CO LTD-ADR PROPERTY TYPE: SECURITIES				P	10/08/2007	05/21/2009
14,290.		36,632.					-22,342.	
		300 WOORI FIN HLDGS CO LTD-ADR PROPERTY TYPE: SECURITIES				P	03/18/2008	05/21/2009
8,574.		14,382.					-5,808.	
		4000 SHINSEI BK LTD-JPY PROPERTY TYPE: SECURITIES				P	08/26/2008	05/21/2009
10,640.		27,400.					-16,760.	
		1500 BANCO BRADESCO SPONS ADR (NEW) PROPERTY TYPE: SECURITIES				P	06/16/2007	01/22/2009
13,200.		25,960.					-12,760.	
		1500 BANCO BRADESCO SPONS ADR (NEW) PROPERTY TYPE: SECURITIES				P	06/18/2007	07/24/2009
23,594.		25,960.					-2,366.	
		200 BANCO BRADESCO SPONS ADR (NEW) PROPERTY TYPE: SECURITIES				P	10/06/2007	07/24/2009
3,146.		4,194.					-1,048.	
		300 MACQUARIE GROUP SPONS ADR PROPERTY TYPE: SECURITIES				P	08/27/2007	05/21/2009
7,806.		19,215.					-11,409.	
		100 MACQUARIE GROUP SPONS ADR PROPERTY TYPE: SECURITIES				P	12/20/2007	05/21/2009
2,602.		6,350.					-3,748.	
		800 VOLVO AKTIEBOLAGET ADR B PROPERTY TYPE: SECURITIES				P	06/18/2007	09/17/2009
7,568.		16,640.					-9,072.	
		700 VOLVO AKTIEBOLAGET ADR B PROPERTY TYPE: SECURITIES				P	07/16/2007	09/17/2009
6,622.		15,996.					-9,374.	
		800 NETEASE.COM INC ADR PROPERTY TYPE: SECURITIES				P	07/01/2008	03/26/2009
19,913.		17,172.					2,741.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		600 NETEASE.COM INC ADR PROPERTY TYPE: SECURITIES				P	07/01/2008	09/17/2009
27,126.		12,879.					14,247.	
		4000 MISUHO FINL GROUP INC-JPY PROPERTY TYPE: SECURITIES				P	08/26/2008	11/17/2009
14,680.		33,952.					-19,272.	
		100 NIKON CORP ADR PROPERTY TYPE: SECURITIES				P	08/26/2008	09/17/2009
17,565.		32,610.					-15,045.	
		120 NIKON CORP ADR PROPERTY TYPE: SECURITIES				P	11/21/2008	09/17/2009
21,077.		13,212.					7,865.	
		1500 SHISEIDO LTD SPONSORED ADR PROPERTY TYPE: SECURITIES				P	08/26/2008	12/28/2009
30,087.		34,020.					-3,933.	
		1000 SHISEIDO LTD SPONSORED ADR PROPERTY TYPE: SECURITIES				P	11/21/2008	12/28/2009
20,058.		18,370.					1,688.	
		1600 SHISEIDO LTD SPONSORED ADR PROPERTY TYPE: SECURITIES				P	01/22/2009	12/28/2009
32,093.		30,752.					1,341.	
		965 CHINA UNICOM HONG KONG LTD SPONSORED PROPERTY TYPE: SECURITIES				P	12/20/2007	05/21/2009
11,734.		19,236.					-7,502.	
		800 CHINA UNICOM HONG KONG LTD SPONSORED PROPERTY TYPE: SECURITIES				P	11/21/2008	05/21/2009
9,728.		8,993.					735.	
		2000 HONG KONG ELECTRIC HLDGS SPONS ADR PROPERTY TYPE: SECURITIES				P	11/21/2008	05/21/2009
10,580.		11,000.					-420.	
		2100 PEARSON PLC SPONSORED ADR PROPERTY TYPE: SECURITIES				P	11/21/2008	11/17/2009
30,165.		17,996.					12,169.	
		410 RECKITT BENCKISER GP ADR PROPERTY TYPE: SECURITIES				P	11/21/2008	12/28/2009
4,278.		3,268.					1,010.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		3000 SUMITOMO MITSUI FINL GROUP INC ADR PROPERTY TYPE: SECURITIES				P	11/21/2008	01/22/2009
10,541.		9,591.					950.	
		34 VIVENDI SA SPONSORED ADR FRANCE PROPERTY TYPE: SECURITIES				P	11/21/2008	12/28/2009
1,017.		910.					107.	
		40 FAIRFAX FINANCIAL HOLDINGS LTD PROPERTY TYPE: SECURITIES				P	01/22/2009	05/21/2009
10,359.		12,587.					-2,228.	
		4000 ARM HOLDINGS PLC ADR PROPERTY TYPE: SECURITIES				P	03/26/2009	07/24/2009
24,966.		18,743.					6,223.	
		700 NEDBANK GROUP LTD SPONSORED ADR PROPERTY TYPE: SECURITIES				P	03/26/2009	09/17/2009
22,546.		13,156.					9,390.	
		100 HDFC BANK LTD ADR PROPERTY TYPE: SECURITIES				P	05/21/2009	11/17/2009
13,578.		8,907.					4,671.	
		490 RYANAIR HLDGS PLC SPON ADR PROPERTY TYPE: SECURITIES				P	05/21/2009	11/17/2009
13,235.		13,993.					-758.	
		.4998 TAIWAN SEMICONDUCTOR MFG CO LTD AD PROPERTY TYPE: SECURITIES				P	05/21/2009	08/14/2009
5.		5.						
		1105 TAIWAN SEMICONDUCTOR MFG CO LTD ADR PROPERTY TYPE: SECURITIES				P	05/21/2009	11/17/2009
11,724.		11,358.					366.	
		2280 TOMKINS F H PLC SPON ADR PROPERTY TYPE: SECURITIES				P	05/21/2009	12/28/2009
28,493.		22,954.					5,539.	
		1040 FAST RETAILING CO LTD-JPY PROPERTY TYPE: SECURITIES				P	07/24/2009	12/28/2009
19,338.		13,104.					6,234.	
		700 LVMH MOET HENNESSY LOUIS VUITTON, PA PROPERTY TYPE: SECURITIES				P	07/24/2009	09/17/2009
14,231.		12,558.					1,673.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		700 SEARS CANADA INC				P	07/24/2009	11/17/2009
		PROPERTY TYPE: SECURITIES						
15,421.		13,011.					2,410.	
		400 SECOM LTD ADR				P	07/24/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
38,273.		34,420.					3,853.	
		2000 SINO-FOREST CORP SUB VTG-CAD				P	07/24/2009	09/17/2009
		PROPERTY TYPE: SECURITIES						
31,958.		24,893.					7,065.	
		200 DENSO CORP ADR				P	11/17/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
24,273.		23,008.					1,265.	
		1300 IMPERIAL HLDGS LTD ADR				P	11/17/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
14,944.		14,547.					397.	
		1 INDIA FUND INC				P	02/17/2006	08/31/2009
		PROPERTY TYPE: SECURITIES						
26.		27.					-1.	
		32 INDIA FUND INC				P	02/17/2005	08/31/2009
		PROPERTY TYPE: SECURITIES						
833.		875.					-42.	
		400 KOMATSU LTD ADR NEW				P	06/16/2006	07/24/2009
		PROPERTY TYPE: SECURITIES						
25,831.		30,028.					-4,197.	
		1749 ISHARES MSCI AUSTRALIA INDEX FUND				P	06/26/2006	01/29/2009
		PROPERTY TYPE: SECURITIES						
20,606.		35,102.					-14,496.	
		6210 ISHARES MSCI AUSTRALIA INDEX FUND				P	11/24/2008	12/28/2009
		PROPERTY TYPE: SECURITIES						
139,964.		80,184.					59,780.	
		1300 ISHARES MSCI SPAIN INDEX FUND				P	04/01/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
63,319.		39,845.					23,474.	
		2096 ISHARES MSCI SPAIN INDEX FUND				P	05/26/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
[illegible]02,090.		82,184.					19,906.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj. basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		2400 ISHARES MSCI JAPAN INDEX FUND PROPERTY TYPE: SECURITIES				P	06/22/2006	01/29/2009
20,616.		31,368.					-10,752.	
		10100 ISHARES MSCI JAPAN INDEX FUND PROPERTY TYPE: SECURITIES				P	06/22/2006	04/01/2009
80,397.		132,007.					-51,610.	
		900 ISHARES MSCI ITALY INDEX FUND PROPERTY TYPE: SECURITIES				P	06/22/2006	04/01/2009
11,349.		25,380.					-14,031.	
		1500 ISHARES MSCI ITALY INDEX FUND PROPERTY TYPE: SECURITIES				P	06/22/2006	09/17/2009
30,509.		42,300.					-11,791.	
		15400 ISHARES MSCI UNITED KINGDOM INDEX PROPERTY TYPE: SECURITIES				P	06/22/2006	05/26/2009
204,353.		312,906.					-108,553.	
		2900 ISHARES MSCI UNITED KINGDOM INDEX F PROPERTY TYPE: SECURITIES				P	06/22/2006	09/17/2009
46,022.		58,924.					-12,902.	
		500 ISHARES TR MSCI EAFE INDEX FD PROPERTY TYPE: SECURITIES				P	06/22/2007	05/26/2009
23,380.		40,064.					-16,684.	
		1000 ISHARES TR MSCI EAFE INDEX FD PROPERTY TYPE: SECURITIES				P	03/17/2008	05/26/2009
46,760.		68,400.					-21,640.	
		1059 ISHARES TR MSCI EAFE INDEX FD PROPERTY TYPE: SECURITIES				P	01/29/2009	05/26/2009
49,519.		41,746.					7,773.	
		400 ISHARES TR MSCI EAFE INDEX FD PROPERTY TYPE: SECURITIES				P	04/08/2009	05/26/2009
18,704.		15,656.					3,048.	
		2200 ISHARES MSCI AUSTRIA INVEST MKT IND PROPERTY TYPE: SECURITIES				P	10/04/2006	05/26/2009
34,937.		68,595.					-33,658.	
		1900 ISHARES MSCI AUSTRIA INVEST MKT IND PROPERTY TYPE: SECURITIES				P	07/17/2007	05/26/2009
30,173.		77,239.					-47,066.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		2200 ISHARES MSCI AUSTRIA INVEST MKT IND PROPERTY TYPE: SECURITIES				P	10/09/2007	05/26/2009
34,937.		86,021.					-51,084.	
		581 ISHARES MSCI AUSTRIA INVEST MKT INDE PROPERTY TYPE: SECURITIES				P	08/26/2008	05/26/2009
9,227.		16,970.					-7,743.	
		2100 ISHARES MSCI AUSTRIA INVEST MKT IND PROPERTY TYPE: SECURITIES				P	11/24/2008	05/26/2009
33,349.		24,377.					8,972.	
		2009 ISHARES MSCI BELGIUM INDEX FUND PROPERTY TYPE: SECURITIES				P	06/19/2007	10/09/2007
26,052.		56,091.					-30,039.	
		500 ISHARES MSCI BELGIUM INDEX FUND PROPERTY TYPE: SECURITIES				P	10/09/2007	09/17/2009
6,484.		13,850.					-7,366.	
		620 ISHARES MSCI BRAZIL INDEX FUND PROPERTY TYPE: SECURITIES				P	07/17/2007	05/26/2009
32,803.		42,327.					-9,524.	
		3180 ISHARES MSCI BRAZIL INDEX FUND PROPERTY TYPE: SECURITIES				P	08/29/2007	05/26/2009
168,249.		186,180.					-17,931.	
		79 ISHARES MSCI BRAZIL INDEX FUND PROPERTY TYPE: SECURITIES				P	08/29/2007	12/28/2009
5,898.		4,625.					1,273.	
		1219 ISHARES MSCI CANADA INDEX FUND PROPERTY TYPE: SECURITIES				P	06/21/2005	01/29/2009
20,635.		22,430.					-1,795.	
		4700 ISHARES MSCI CANADA INDEX FUND				P	06/21/2005	05/26/2009
103,701.		86,480.					17,221.	
		540 ISHARES MSCI CANADA INDEX FUND PROPERTY TYPE: SECURITIES				P	11/24/2008	12/28/2009
14,298.		8,845.					5,453.	
		1600 ISHARES TRUST EMU INDEX FD PROPERTY TYPE: SECURITIES				P	06/22/2006	04/01/2009
39,488.		67,562.					-28,074.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		33000 ISHARES TRUST EMU INDEX FD PROPERTY TYPE: SECURITIES				P	06/22/2006	05/26/2009
103,494.		139,347.					-35,853.	
		100 ISHARES TRUST EMU INDEX FD PROPERTY TYPE: SECURITIES				P	06/22/2006	05/27/2009
3,144.		4,223.					-1,079.	
		800 ISHARES TRUST EMU INDEX FD PROPERTY TYPE: SECURITIES				P	06/22/2006	07/27/2009
26,311.		33,781.					-7,470.	
		800 ISHARES TRUST EMU INDEX FD PROPERTY TYPE: SECURITIES				P	06/22/2006	09/17/2009
30,512.		33,781.					-3,269.	
		4800 ISHARES MSCI FRANCE INDEX FUND PROPERTY TYPE: SECURITIES				P	06/22/2006	05/26/2009
102,525.		137,519.					-34,994.	
		7700 ISHARES MSCI FRANCE INDEX FUND PROPERTY TYPE: SECURITIES				P	06/22/2006	04/01/2009
[illegible]70,328.		220,603.					-50,275.	
		2700 ISHARES MSCI SWITZERLAND INDEX FUND PROPERTY TYPE: SECURITIES				P	06/22/2006	04/01/2009
41,283.		55,926.					-14,643.	
		6308 ISHARES MSCI SWITZERLAND INDEX FUND PROPERTY TYPE: SECURITIES				P	06/22/2006	12/28/2009
140,911.		130,660.					10,251.	
		200 ISHARES MSCI SWEDEN INDEX FUND PROPERTY TYPE: SECURITIES				P	06/22/2006	05/26/2009
3,763.		4,838.					-1,075.	
		4800 ISHARES MSCI SWEDEN INDEX FUND PROPERTY TYPE: SECURITIES				P	04/23/2007	05/26/2009
90,320.		176,883.					-86,563.	
		3400 ISHARES MSCI SWEDEN INDEX FUND PROPERTY TYPE: SECURITIES				P	06/19/2007	05/26/2009
63,976.		122,468.					-58,492.	
		2100 ISHARES MSCI SWEDEN INDEX FUND PROPERTY TYPE: SECURITIES				P	08/29/2007	05/26/2009
39,515.		71,609.					-32,094.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		100 ISHARES MSCI SWEDEN INDEX FUND				P	01/29/2009	05/26/2009
		PROPERTY TYPE: SECURITIES						
1,882.		1,346.					536.	
		1463 ISHARES MSCI SWEDEN INDEX FUND				P	01/29/2009	09/17/2009
		PROPERTY TYPE: SECURITIES						
35,023.		19,692.					15,331.	
		1400 ISHARES MSCI SOUTH KOREA INDEX FUND				P	05/26/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
66,520.		49,434.					17,086.	
		2600 ISHARES INC MSCI SOUTH AFRICA INDEX				P	10/04/2006	07/27/2009
		PROPERTY TYPE: SECURITIES						
130,092.		117,258.					12,834.	
		700 ISHARES INC MSCI SOUTH AFRICA INDEX				P	03/17/2008	07/27/2009
		PROPERTY TYPE: SECURITIES						
35,025.		39,404.					-4,379.	
		500 ISHARES INC MSCI SOUTH AFRICA INDEX				P	03/17/2008	09/17/2009
		PROPERTY TYPE: SECURITIES						
28,529.		28,146.					383.	
		1200 ISHARES INC MSCI SOUTH AFRICA INDEX				P	07/01/2008	09/17/2009
		PROPERTY TYPE: SECURITIES						
68,470.		65,976.					2,494.	
		2700 ISHARES MSCI GERMANDY INDEX FD				P	06/22/2006	05/26/2009
		PROPERTY TYPE: SECURITIES						
51,335.		59,562.					-8,227.	
		2800 ISHARES MSCI GERMANY INDEX FD				P	06/22/2006	07/27/2009
		PROPERTY TYPE: SECURITIES						
55,290.		61,768.					-6,478.	
		57 ISHARES MSCI GERMANY INDEX FD				P	04/01/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
1,286.		866.					420.	
		2299 ISHARES MSCI NETHERLANDS INDEX FUND				P	06/22/2006	01/29/2009
		PROPERTY TYPE: SECURITIES						
31,004.		50,020.					-19,016.	
		204 ISHARES MSCI NETHERLANDS INDEX FUND				P	06/22/2006	05/26/2009
		PROPERTY TYPE: SECURITIES						
3,268.		4,439.					-1,171.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		2996 ISHARES MSCI NETHERLANDS INDEX FUND PROPERTY TYPE: SECURITIES				P	03/17/2008	05/26/2009
47,995.		79,659.					-31,664.	
		1400 ISHARES MSCI MEXICO INVEST MKT INDE PROPERTY TYPE: SECURITIES				P	12/02/2005	05/26/2009
51,491.		50,162.					1,329.	
		1588 ISHARES MSCI SINGAPORE INDEX FUND PROPERTY TYPE: SECURITIES				P	08/29/2007	01/29/2009
10,258.		21,152.					-10,894.	
		54 ISHARES MSCI SINGAPORE INDEX FUND PROPERTY TYPE: SECURITIES				P	05/26/2009	12/28/2009
608.		490.					118.	
		900 ISHARES MSCI MALAYSIA FREE INDEX FUN PROPERTY TYPE: SECURITIES				P	07/17/2007	01/29/2009
6,210.		10,854.					-4,644.	
		2080 ISHARES MSCI MALAYSIA FREE INDEX FU PROPERTY TYPE: SECURITIES				P	03/17/2008	01/29/2009
14,352.		22,880.					-8,528.	
		316 IPATH MSCI INDIA ETN PROPERTY TYPE: SECURITIES				P	01/29/2009	12/28/2009
20,353.		9,287.					11,066.	
		681 ISHARES MSCI ISRAEL INDEX FUND PROPERTY TYPE: SECURITIES				P	01/29/2009	07/27/2009
30,886.		21,009.					9,877.	
		519 ISHARES MSCI ISRAEL INDEX FD PROPERTY TYPE: SECURITIES				P	04/01/2009	07/27/2009
23,539.		17,491.					6,048.	
		781 ISHARES MSCI ISRAEL INDEX FD PROPERTY TYPE: SECURITIES				P	04/01/2009	09/17/2009
37,220.		26,320.					10,900.	
		618 ISHARES MSCI CHILE INDEX FD PROPERTY TYPE: SECURITIES				P	01/29/2009	07/27/2009
28,746.		20,938.					7,808.	
		242 ISHARES MSCI TURKEY PROPERTY TYPE: SECURITIES				P	01/29/2009	12/28/2009
12,810.		6,047.					6,763.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		2400 ISHARES MSCI JAPAN SMALL CAP INDEX				P	04/01/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
96,788.		82,522.					14,266.	
		3200 ISHARES MSCI JAPAN SMALL CAP INDEX				P	05/27/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
129,050.		126,048.					3,002.	
		2100 ISHARES MSCI JAPAN SMALL CAP INDEX				P	05/26/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
84,689.		84,078.					611.	
		800 ISHARES MSCI EMERGING MKTS INDEX FD				P	05/26/2009	09/17/2009
		PROPERTY TYPE: SECURITIES						
31,071.		25,744.					5,327.	
		70 ISHARES FTSE CHINA INDEX FD				P	05/26/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
3,413.		2,840.					573.	
		1900 ISHARES MSCI SPAIN INDEX FUND				P	06/16/2006	01/22/2009
		PROPERTY TYPE: SECURITIES						
58,064.		75,544.					-17,480.	
		2368 ISHARES MSCI JAPAN INDEX FUND				P	11/21/2008	12/28/2009
		PROPERTY TYPE: SECURITIES						
23,295.		19,347.					3,948.	
		32 ISHARES TR MSCI EAFE INDEX FD				P	04/08/2008	12/28/2009
		PROPERTY TYPE: SECURITIES						
1,784.		2,385.					-601.	
		100 ISHARES TR MSCI EAFE INDEX FD				P	04/08/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
5,573.		3,914.					1,659.	
		300 ISHARES TR MSCI EAFE INDEX FD				P	07/24/2009	12/28/2009
		PROPERTY TYPE: SECURITIES						
16,720.		14,727.					1,993.	
		400000 BANQUE EUR D INVST-BRAZIL 8.75% 9				P	05/19/2008	09/29/2009
		PROPERTY TYPE: SECURITIES						
243,087.		243,087.						
		10000 FRANKLIN STREET PROPERTIES				P	05/23/2001	12/22/2009
		PROPERTY TYPE: SECURITIES						
142,392.		131,983.					10,409.	

ROCKWELL FUND, INC. 74-6040258

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		FRANKLIN STREET PROPERTIES CAPITAL GAIN PROPERTY TYPE: SECURITIES				P	VAR	VAR
266.							266.	
		FRANKLIN STREET PROPERTIES RETURN OF CAP PROPERTY TYPE: SECURITIES				P	VAR	VAR
51,810.		51,810.						
		525 CALL 525 FSP FEB 09 @ 15 PROPERTY TYPE: SECURITIES				P	01/28/2009	02/24/2009
17,009.							17,009.	
		525 CALL FSP MAR 09 @ 15 PROPERTY TYPE: SECURITIES				P	02/24/2009	03/24/2009
14,566.							14,566.	
		1 CALL FSP APR 09 @ 15 PROPERTY TYPE: SECURITIES				P	03/23/2009	04/20/2009
24.							24.	
		525 CALL FSP MAY 09 @ 15 PROPERTY TYPE: SECURITIES				P	04/09/2009	05/18/2009
29,213.							29,213.	
		500 FSP JUN 09 @ 17.50 PROPERTY TYPE: SECURITIES				P	04/22/2009	06/22/2009
13,869.							13,869.	
		750 CALL FSP AUG 09 @ 15 PROPERTY TYPE: SECURITIES				P	08/04/2009	08/24/2009
20,843.							20,843.	
		1130.94049 BACAP MULTI-STRATEGY HEDGE FU PROPERTY TYPE: SECURITIES				P	03/29/2004	12/31/2009
1,530,329.		1,300,000.					230,329.	
		SENTINEL UNCORRELATED FUND--SHORT TERM C PROPERTY TYPE: SECURITIES				P	VAR	VAR
27,000.							27,000.	
		SENTINEL UNCORRELATED FUND LONG TERM CAP PROPERTY TYPE: SECURITIES				P	VAR	VAR
		31,971.					-31,971.	
		BA PRIVATE EQUITY BAIN CAPITAL 2006 SHOR PROPERTY TYPE: SECURITIES				P	VAR	VAR
388.							388.	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		BA PRIVATE EQUITY BAIN CAPITAL 2006 LONG PROPERTY TYPE: SECURITIES				P	VAR	VAR
		2,930.					-2,930.	
		BA PRIVATE EQUITY BLACKSTONE CAPITAL 200 PROPERTY TYPE: SECURITIES				P	VAR	VAR
		7.					-7.	
		BA PRIVATE EQUITY BLACKSTONE CAPITAL 200 PROPERTY TYPE: SECURITIES				P	VAR	VAR
1,711.							1,711.	
		BOW RIVER CAPITAL FUND V, LP LONG TERM C PROPERTY TYPE: SECURITIES				P	VAR	VAR
193,578.							193,578.	
		SENTINEL TECHNOLOGY FUND SHORT TERM CAPI					VAR	VAR
85,008.							85,008.	
		SENTINEL TECHNOLOGY FUND LONG TERM CAPIT PROPERTY TYPE: SECURITIES				P	VAR	VAR
		39,328.					-39,328.	
		SEC. 1231 NET GAIN--SEE FORM 4797 PROPERTY TYPE: SECURITIES				P	VAR	VAR
765.							765.	
		SEC 1256--STCG--SEE FORM 6781 PROPERTY TYPE: SECURITIES				P	VAR	VAR
		7,227.					-7,227.	
		SEC 1256--LTCG--SEE FORM 6781 PROPERTY TYPE: SECURITIES				P	VAR	VAR
		10,840.					-10,840.	
TOTAL GAIN(LOSS)							-7115878.	

Form **4797**

Department of the Treasury
Internal Revenue Service (99)

Sales of Business Property

(Also Involuntary Conversions and Recapture Amounts Under Sections 179 and 280F(b)(2))

▶ Attach to your tax return. ▶ See separate instructions.

OMB No. 1545-0184

2009

Attachment Sequence No 27

Name(s) shown on return: ROCKWELL FUND, INC.

Identifying number: 74-6040258

1	Enter the gross proceeds from sales or exchanges reported to you for 2009 on Form(s) 1099-B or 1099-S (or substitute statement) that you are including on line 2, 10, or 20 (see instructions)	1	

Part I Sales or Exchanges of Property Used in a Trade or Business and Involuntary Conversions From Other Than Casualty or Theft—Most Property Held More Than 1 Year (see instructions)

2 (a) Description of property	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Gross sales price	(e) Depreciation allowed or allowable since acquisition	(f) Cost or other basis, plus improvements and expense of sale	(g) Gain or (loss) Subtract (f) from the sum of (d) and (e)
BA PVT EQ BLACKSTONE	VAR	VAR				-4
CAP 2006 PASS-THRU						
SENTINEL UNCORRELATED	VAR	VAR				769
FUND PASS-THRU						

3	Gain, if any, from Form 4684, line 43	3	
4	Section 1231 gain from installment sales from Form 6252, line 26 or 37	4	
5	Section 1231 gain or (loss) from like-kind exchanges from Form 8824	5	
6	Gain, if any, from line 32, from other than casualty or theft	6	
7	Combine lines 2 through 6. Enter the gain or (loss) here and on the appropriate line as follows:	7	765
	Partnerships (except electing large partnerships) and S corporations. Report the gain or (loss) following the instructions for Form 1065, Schedule K, line 10, or Form 1120S, Schedule K, line 9. Skip lines 8, 9, 11, and 12 below. **Individuals, partners, S corporation shareholders, and all others.** If line 7 is zero or a loss, enter the amount from line 7 on line 11 below and skip lines 8 and 9. If line 7 is a gain and you did not have any prior year section 1231 losses, or they were recaptured in an earlier year, enter the gain from line 7 as a long-term capital gain on the Schedule D filed with your return and skip lines 8, 9, 11, and 12 below.		
8	Nonrecaptured net section 1231 losses from prior years (see instructions)	8	
9	Subtract line 8 from line 7. If zero or less, enter -0-. If line 9 is zero, enter the gain from line 7 on line 12 below. If line 9 is more than zero, enter the amount from line 8 on line 12 below and enter the gain from line 9 as a long-term capital gain on the Schedule D filed with your return (see instructions)	9	765

Part II Ordinary Gains and Losses (see instructions)

10 Ordinary gains and losses not included on lines 11 through 16 (include property held 1 year or less):

11	Loss, if any, from line 7	11	( )
12	Gain, if any, from line 7 or amount from line 8, if applicable	12	
13	Gain, if any, from line 31	13	
14	Net gain or (loss) from Form 4684, lines 35 and 42a	14	
15	Ordinary gain from installment sales from Form 6252, line 25 or 36	15	
16	Ordinary gain or (loss) from like-kind exchanges from Form 8824	16	
17	Combine lines 10 through 16	17	
18	For all except individual returns, enter the amount from line 17 on the appropriate line of your return and skip lines a and b below. For individual returns, complete lines a and b below:		
a	If the loss on line 11 includes a loss from Form 4684, line 39, column (b)(ii), enter that part of the loss here. Enter the part of the loss from income-producing property on Schedule A (Form 1040), line 28, and the part of the loss from property used as an employee on Schedule A (Form 1040), line 23. Identify as from "Form 4797, line 18a." See instructions	18a	
b	Redetermine the gain or (loss) on line 17 excluding the loss, if any, on line 18a. Enter here and on Form 1040, line 14	18b	

For Paperwork Reduction Act Notice, see separate instructions. Cat. No. 13086I Form **4797** (2009)

Part III Gain From Disposition of Property Under Sections 1245, 1250, 1252, 1254, and 1255 (see instructions)

19 (a) Description of section 1245, 1250, 1252, 1254, or 1255 property:	(b) Date acquired (mo., day, yr)	(c) Date sold (mo., day, yr)
A		
B		
C		
D		

These columns relate to the properties on lines 19A through 19D. ▶		Property A	Property B	Property C	Property D
20 Gross sales price (**Note:** *See line 1 before completing.*) .	20				
21 Cost or other basis plus expense of sale	21				
22 Depreciation (or depletion) allowed or allowable . . .	22				
23 Adjusted basis. Subtract line 22 from line 21	23				
24 Total gain. Subtract line 23 from line 20	24				
25 **If section 1245 property:**					
a Depreciation allowed or allowable from line 22 . . .	25a				
b *Enter the* **smaller** *of line 24 or 25a*	25b				
26 **If section 1250 property:** If straight line depreciation was used, enter -0- on line 26g, except for a corporation subject to section 291.					
a Additional depreciation after 1975 (see instructions) .	26a				
b Applicable percentage multiplied by the **smaller** of line 24 or *line 26a (see instructions)*	26b				
c Subtract line 26a from line 24. If residential rental property or line 24 is not more than line 26a, skip lines 26d and 26e	26c				
d Additional depreciation after 1969 and before 1976 . .	26d				
e Enter the **smaller** of line 26c or 26d	26e				
f Section 291 amount (corporations only)	26f				
g Add lines 26b, 26e, and 26f	26g				
27 **If section 1252 property:** Skip this section if you did not dispose of farmland or if this form is being completed for a partnership (other than an electing large partnership).					
a Soil, water, and land clearing expenses	27a				
b Line 27a multiplied by applicable percentage (see instructions)	27b				
c Enter the **smaller** of line 24 or 27b	27c				
28 **If section 1254 property:**					
a Intangible drilling and development costs, expenditures for development of mines and other natural deposits, mining exploration costs, and depletion (see instructions)	28a				
b Enter the **smaller** of line 24 or 28a	28b				
29 **If section 1255 property:**					
a Applicable percentage of payments excluded from income under section 126 (see instructions)	29a				
b Enter the **smaller** of line 24 or 29a (see instructions) .	29b				

Summary of Part III Gains. Complete property columns A through D through line 29b before going to line 30.

30 Total gains for all properties. Add property columns A through D, line 24	30	
31 Add property columns A through D, lines 25b, 26g, 27c, 28b, and 29b. Enter here and on line 13	31	
32 Subtract line 31 from line 30. Enter the portion from casualty or theft on Form 4684, line 37. Enter the portion from other than casualty or theft on Form 4797, line 6	32	

Part IV Recapture Amounts Under Sections 179 and 280F(b)(2) When Business Use Drops to 50% or Less (see instructions)

		(a) Section 179	(b) Section 280F(b)(2)
33 Section 179 expense deduction or depreciation allowable in prior years	33		
34 Recomputed depreciation (see instructions)	34		
35 Recapture amount Subtract line 34 from line 33. See the instructions for where to report . .	35		

Form **4562**

Department of the Treasury
Internal Revenue Service (99)

Depreciation and Amortization
(Including Information on Listed Property)

▶ See separate instructions. ▶ Attach to your tax return.

OMB No 1545-0172

2009

Attachment Sequence No **67**

Name(s) shown on return	Business or activity to which this form relates	Identifying number
ROCKWELL FUND, INC.	PRIVATE FOUNDATION	74-6040258

Part I Election To Expense Certain Property Under Section 179

Note: *If you have any listed property, complete Part V before you complete Part I.*

1	Maximum amount. See the instructions for a higher limit for certain businesses	1	$250,000
2	Total cost of section 179 property placed in service (see instructions)	2	
3	Threshold cost of section 179 property before reduction in limitation (see instructions)	3	$800,000
4	Reduction in limitation. Subtract line 3 from line 2. If zero or less, enter -0-	4	
5	Dollar limitation for tax year. Subtract line 4 from line 1. If zero or less, enter -0-. If married filing separately, see instructions	5	

6	(a) Description of property	(b) Cost (business use only)	(c) Elected cost

7	Listed property. Enter the amount from line 29	7	
8	Total elected cost of section 179 property. Add amounts in column (c), lines 6 and 7	8	
9	Tentative deduction. Enter the **smaller** of line 5 or line 8	9	
10	Carryover of disallowed deduction from line 13 of your 2008 Form 4562	10	
11	Business income limitation. Enter the smaller of business income (not less than zero) or line 5 (see instructions)	11	
12	Section 179 expense deduction. Add lines 9 and 10, but do not enter more than line 11	12	
13	Carryover of disallowed deduction to 2010. Add lines 9 and 10, less line 12 ▶	13	

Note: *Do not use Part II or Part III below for listed property. Instead, use Part V.*

Part II Special Depreciation Allowance and Other Depreciation (Do not include listed property.) (See instructions.)

14	Special depreciation allowance for qualified property (other than listed property) placed in service during the tax year (see instructions)	14	
15	Property subject to section 168(f)(1) election	15	
16	Other depreciation (including ACRS)	16	

Part III MACRS Depreciation (Do not include listed property.) (See instructions.)

Section A

17	MACRS deductions for assets placed in service in tax years beginning before 2009	17	13,187
18	If you are electing to group any assets placed in service during the tax year into one or more general asset accounts, check here ▶ ☐		

Section B—Assets Placed in Service During 2009 Tax Year Using the General Depreciation System

(a) Classification of property	(b) Month and year placed in service	(c) Basis for depreciation (business/investment use only—see instructions)	(d) Recovery period	(e) Convention	(f) Method	(g) Depreciation deduction
19a 3-year property						
b 5-year property						
c 7-year property		699	7 YRS.	MM	S/L	83
d 10-year property						
e 15-year property						
f 20-year property						
g 25-year property			25 yrs.		S/L	
h Residential rental property			27.5 yrs.	MM	S/L	
			27.5 yrs.	MM	S/L	
i Nonresidential real property			39 yrs	MM	S/L	
				MM	S/L	

Section C—Assets Placed in Service During 2009 Tax Year Using the Alternative Depreciation System

20a Class life					S/L	
b 12-year			12 yrs.		S/L	
c 40-year			40 yrs.	MM	S/L	

Part IV Summary (See instructions.)

21	Listed property. Enter amount from line 28	21	3,546
22	**Total.** Add amounts from line 12, lines 14 through 17, lines 19 and 20 in column (g), and line 21. Enter here and on the appropriate lines of your return. Partnerships and S corporations—see instructions	22	16,816
23	For assets shown above and placed in service during the current year, enter the portion of the basis attributable to section 263A costs	23	

Part V Listed Property (Include automobiles, certain other vehicles, cellular telephones, certain computers, and property used for entertainment, recreation, or amusement.)

Note: *For any vehicle for which you are using the standard mileage rate or deducting lease expense, complete* **only** *24a, 24b, columns (a) through (c) of Section A, all of Section B, and Section C if applicable.*

Section A—Depreciation and Other Information (Caution: *See the instructions for limits for passenger automobiles.*)

24a Do you have evidence to support the business/investment use claimed? ☑ Yes ☐ No **24b** If "Yes," is the evidence written? ☑ Yes ☐ No

(a) Type of property (list vehicles first)	(b) Date placed in service	(c) Business/ investment use percentage	(d) Cost or other basis	(e) Basis for depreciation (business/investment use only)	(f) Recovery period	(g) Method/ Convention	(h) Depreciation deduction	(i) Elected section 179 cost
25 Special depreciation allowance for qualified listed property placed in service during the tax year and used more than 50% in a qualified business use (see instructions)						25		
26 Property used more than 50% in a qualified business use:								
COMPUTERS	VAR	100 %	20,274	20,274	5 YRS	S/L	3,546	
		%						
		%						
27 Property used 50% or less in a qualified business use:								
		%				S/L –		
		%				S/L –		
		%				S/L –		
28 Add amounts in column (h), lines 25 through 27. Enter here and on line 21, page 1 . . .						28	3,546	
29 Add amounts in column (i), line 26. Enter here and on line 7, page 1							29	

Section B—Information on Use of Vehicles

Complete this section for vehicles used by a sole proprietor, partner, or other "more than 5% owner," or related person. If you provided vehicles to your employees, first answer the questions in Section C to see if you meet an exception to completing this section for those vehicles.

	(a) Vehicle 1		(b) Vehicle 2		(c) Vehicle 3		(d) Vehicle 4		(e) Vehicle 5		(f) Vehicle 6	
30 Total business/investment miles driven during the year (**do not** include commuting miles)												
31 Total commuting miles driven during the year												
32 Total other personal (noncommuting) miles driven												
33 Total miles driven during the year. Add lines 30 through 32												
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No
34 Was the vehicle available for personal use during off-duty hours?												
35 Was the vehicle used primarily by a more than 5% owner or related person?												
36 Is another vehicle available for personal use?												

Section C—Questions for Employers Who Provide Vehicles for Use by Their Employees

Answer these questions to determine if you meet an exception to completing Section B for vehicles used by employees who **are not** more than 5% owners or related persons (see instructions).

	Yes	No
37 Do you maintain a written policy statement that prohibits all personal use of vehicles, including commuting, by your employees?		
38 Do you maintain a written policy statement that prohibits personal use of vehicles, except commuting, by your employees? See the instructions for vehicles used by corporate officers, directors, or 1% or more owners . . .		
39 Do you treat all use of vehicles by employees as personal use?		
40 Do you provide more than five vehicles to your employees, obtain information from your employees about the use of the vehicles, and retain the information received?		
41 Do you meet the requirements concerning qualified automobile demonstration use? (See instructions.) . .		

Note: *If your answer to 37, 38, 39, 40, or 41 is "Yes," do not complete Section B for the covered vehicles.*

Part VI Amortization

(a) Description of costs	(b) Date amortization begins	(c) Amortizable amount	(d) Code section	(e) Amortization period or percentage	(f) Amortization for this year
42 Amortization of costs that begins during your 2009 tax year (see instructions):					
43 Amortization of costs that began before your 2009 tax year				43	
44 **Total.** Add amounts in column (f). See the instructions for where to report				44	

Form **6781**
Department of the Treasury
Internal Revenue Service

Gains and Losses From Section 1256 Contracts and Straddles

▶ **Attach to your tax return.**

OMB No. 1545-0644
2009
Attachment
Sequence No. **82**

Name(s) shown on tax return: ROCKWELL FUND, INC.

Identifying number: 74-6040258

Check all applicable boxes (see instructions).

A ☐ Mixed straddle election
B ☐ Straddle-by-straddle identification election
C ☐ Mixed straddle account election
D ☐ Net section 1256 contracts loss election

Part I Section 1256 Contracts Marked to Market

	(a) Identification of account	(b) (Loss)	(c) Gain
1	SENTINEL TECHNOLOGY FUND PASS-THRU	15,836	
	SENTINEL UNCORRELATED FUND PASS-THRU	2,231	

2	Add the amounts on line 1 in columns (b) and (c)	2	(18,067)	
3	Net gain or (loss). Combine line 2, columns (b) and (c)		3	(18,067)
4	Form 1099-B adjustments. See instructions and attach schedule		4	
5	Combine lines 3 and 4		5	(18,067)
	Note: *If line 5 shows a net gain, skip line 6 and enter the gain on line 7. Partnerships and S corporations, see instructions.*			
6	If you have a net section 1256 contracts loss and checked box D above, enter the amount of loss to be carried back. Enter the loss as a positive number		6	
7	Combine lines 5 and 6		7	(18,067)
8	**Short-term capital gain or (loss).** Multiply line 7 by 40% (.40). Enter here and include on the appropriate line of Schedule D (see instructions)		8	(7,227)
9	**Long-term capital gain or (loss).** Multiply line 7 by 60% (.60). Enter here and include on the appropriate line of Schedule D (see instructions)		9	(10,840)

Part II Gains and Losses From Straddles. Attach a separate schedule listing each straddle and its components.

Section A—Losses From Straddles

	(a) Description of property	(b) Date entered into or acquired	(c) Date closed out or sold	(d) Gross sales price	(e) Cost or other basis plus expense of sale	(f) Loss. If column (e) is more than (d), enter difference. Otherwise, enter -0-	(g) Unrecognized gain on offsetting positions	(h) Recognized loss. If column (f) is more than (g), enter difference Otherwise, enter -0-
10								

11a	Enter the short-term portion of losses from line 10, column (h), here and include on the appropriate line of Schedule D (see instructions)	11a	( )
b	Enter the long-term portion of losses from line 10, column (h), here and include on the appropriate line of Schedule D (see instructions)	11b	( )

Section B—Gains From Straddles

	(a) Description of property	(b) Date entered into or acquired	(c) Date closed out or sold	(d) Gross sales price	(e) Cost or other basis plus expense of sale	(f) Gain. If column (d) is more than (e), enter difference Otherwise, enter -0-
12						

13a	Enter the short-term portion of gains from line 12, column (f), here and include on the appropriate line of Schedule D (see instructions)	13a	
b	Enter the long-term portion of gains from line 12, column (f), here and include on the appropriate line of Schedule D (see instructions)	13b	

Part III Unrecognized Gains From Positions Held on Last Day of Tax Year. Memo Entry Only (see instructions)

	(a) Description of property	(b) Date acquired	(c) Fair market value on last business day of tax year	(d) Cost or other basis as adjusted	(e) Unrecognized gain. If column (c) is more than (d), enter difference Otherwise, enter -0-
14					

For Paperwork Reduction Act Notice, see page 4. Cat. No. 13715G Form **6781** (2009)

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
FROST BANK SEI DAILY INC. TR. PRIME OBL	602.	602.
RBC CAPITAL	1.	1.
SMITH BARNEY WESTERN MM FUND	794.	794.
WACHOVIA BANK	124.	124.
US TREASURY	24.	24.
TOTAL	1,545.	1,545.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
ING GROWTH & INCOME FUND	3,753.	3,753.
FUNDAMENTAL INVESTORS FUND CLASS A	39,499.	39,499.
DIAMONDS TRUST SER 1	2,139.	2,139.
ISHARES RUSSELL 2000 INDEX	21,592.	21,592.
ALCOA	467.	467.
ALLEGHENY TECHNOLOGIES INC.	2,880.	2,880.
APACHE CORP	600.	600.
AT&T	49,302.	49,302.
BANK OF AMERICA	410.	410.
BOEING CO	18,480.	18,480.
CATERPILLAR INC	29,820.	29,820.
CHESAPEAKE ENERGY CO	2,550.	2,550.
COLGATE PALMOLIVE	6,020.	6,020.
EXXON MOBIL CORP	4,565.	4,565.
GENERAL ELECTRIC	24,600.	24,600.
HOME DEPOT	5,569.	5,569.
INTEL CORP	4,620.	4,620.
J.C. PENNEY	1,200.	1,200.
JOHNSON & JOHNSON	57,900.	57,900.
LEGG MASON INC	1,350.	1,350.
MARATHON OIL CORP	4,512.	4,512.
MICROSOFT CORP	15,600.	15,600.
SUNOCO INC	7,200.	7,200.
UNITED PARCEL SERVICE	13,500.	13,500.
VERIZON COMMUNICATIONS	27,825.	27,825.
WELLS FARGO	976.	976.
XTO ENERGY	1,875.	1,875.
ROCKWELL LUMBER COMPANY	50,000.	50,000.
ALLIANZ SE ADR	2,481.	2,481.
ARM HOLDINGS PLC ADR	245.	245.
ASTRAZENECA PLC SPON ADR	2,267.	2,267.
ATLAS COPCO	939.	939.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
AXA	1,097.	1,097.
BAE SYSTEMS	1,188.	1,188.
BANCO BRADESCO SPONS ADR	2,019.	2,019.
BARCLAYS	358.	358.
BAYER AG SPONS ADR	757.	757.
BHP BILLITON LTD	2,073.	2,073.
BNP PARIBAS	2,439.	2,439.
BROOKFIELD PROPERTIES	860.	860.
CASIO COMPUTER CO LTD	490.	490.
CENTRICA	1,825.	1,825.
CNOOC LTD	981.	981.
COMPASS GROUP PLC ADR	1,713.	1,713.
CREDIT SUISSE GROUP	259.	259.
CSI LTD	352.	352.
DIAGEO PLC	4,259.	4,259.
E ON AG	3,536.	3,536.
ELECTRIC POWER DEV CO LTD	1,637.	1,637.
ENI SPA SPONS ADR	1,300.	1,300.
FAST RETAILING CO	101.	101.
FOMENTO ECONOMICO MEXICANO	470.	470.
FRANCE TELECOM SA	4,538.	4,538.
FUJITSU LTD ADR	241.	241.
GLAXOSMITHKLINE PLC	5,215.	5,215.
HDFC BANK LTD ADR	62.	62.
HONDA MOTOR CO LTD ADR	173.	173.
HONG KONG ELECTRIC HLDGS	3,412.	3,412.
HOYA CORP	374.	374.
HSBC HOLDINGS	1,591.	1,591.
ISUZU MOTORS LTD ADR	1,375.	1,375.
KEPPEL CORP	3,018.	3,018.
KOMATSU	1,836.	1,836.
LUXOTTICA GROUP SPA	360.	360.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
MACQUARIE GROUP SPONS ADR	989.	989.
MAKITA CORP ADR	2,701.	2,701.
MARKS & SPENCER	430.	430.
MERCK KGAA-EUR	690.	690.
MITSUBISHI CORP	654.	654.
MITSUBISHI UFJ FINL GROUP	157.	157.
MIZUHO FINL GROUP INC	829.	829.
NEDBANK GROUP LTD	2,194.	2,194.
NESTLE SA	3,818.	3,818.
NIDEC CORP	159.	159.
NIKON CORP	255.	255.
NINTENDO CO LTD ADR	2,097.	2,097.
NIPPON STEEL CORP	143.	143.
NIPPON TEL & TEL SPON ADR	1,009.	1,009.
NOKIA	1,633.	1,633.
NOVO-NORDISK AS ADR	1,910.	1,910.
NTT DOCOMO INC SPONS ADR	408.	408.
OEST ELEKTRIZATS SPONS ADR	1,132.	1,132.
PEARSON PLC SPONS ADR	3,012.	3,012.
PORTUGAL TELECOM SPON ADR	2,094.	2,094.
RECKITT BENCKISER GP ADR	2,138.	2,138.
ROYAL BANK OF CANADA	3,956.	3,956.
ROYAL DUTCH SHELL PLC ADR	7,453.	7,453.
RWE AG SPONS ADR	4,095.	4,095.
SANOFI-AVENTIS	2,734.	2,734.
SASOL LTD SPONS ADR	417.	417.
SHISEIDO LTD	2,221.	2,221.
SILICONWARE PRECISION INDS	3,226.	3,226.
SK TELCOM LTD SPON ADR	1,525.	1,525.
SOLVAY SA	2,583.	2,583.
SUMITOMO METAL INDUSTRIES	380.	380.
SUMITOMO MITSUI FINL GROUP INC ADR	630.	630.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
TAIWAN SEMICONDUCTOR MFG CO LTD ADR	501.	501.
TAKEDA PHARMACEUTICAL CO	3,671.	3,671.
TEVA PHARMACEUTICALS	406.	406.
TNT NV	975.	975.
TOMKINS FH PLC	319.	319.
TOTAL SA	9,297.	9,297.
TOYOTA MOTOR CORP	1,001.	1,001.
TRACTEBEL ENERGIA SPON ADR	699.	699.
UNILEVER PLC	4,159.	4,159.
USIMINAS SA PFD	1,206.	1,206.
VIVENDI SA SPONS ADR	2,969.	2,969.
VODAFONE GROUP PLC	7,586.	7,586.
VOLVO AKTIEBOLAGET ADR	1,127.	1,127.
INDIA FUND	5,695.	5,695.
ISHARES FTSE CHINA INDEX FUND	2,737.	2,737.
ISHARES MSCI AUSTRALIA INDEX FUND	14,062.	14,062.
ISHARES MSCI BELGIUM INDEX FUND	469.	469.
ISHARES MSCI BRAZIL FREE INDEX FUND	9,815.	9,815.
ISHARES MSCI CANADA INDEX FUND	3,481.	3,481.
ISHARES MSCI CHILE INDEX FUND	255.	255.
ISHARES MSCI EAFE INDEX FUND	339.	339.
ISHARES MSCI EMERGING MARKET INDEX FUND	1,965.	1,965.
ISHARES TRUST EMU INDEX FUND	1,195.	1,195.
ISHARES MSCI FRANCE INDEX FUND	9,695.	9,695.
ISHARES MSCI GERMANY INDEX FUND	6,517.	6,517.
ISHARES MSCI HONG KONG INDEX	3,993.	3,993.
ISHARES MSCI ISRAEL INDEX	508.	508.
ISHARES MSCI ITALY INDEX	2,363.	2,363.
ISHARES MSCI JAPAN INDEX FUND	11,358.	11,358.
ISHARES MSCI JAPAN SMALL CAP INDEX FUND	6,406.	6,406.
ISHARES MSCI MAYLASIA FREE	1,080.	1,080.
ISHARES MSCI MEXICO FREE	2,999.	2,999.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
ISHARES MSCI NETHERLANDS INDEX	1,020.	1,020.
ISHARES MSCI SINGAPORE INDEX	5,769.	5,769.
ISHARES MSCI SOUTH AFRICA INDEX	6,655.	6,655.
ISHARES MSCI SOUTH KOREA INDEX	1,769.	1,769.
ISHARES MSCI SPAIN INDEX FUND	17,024.	17,024.
ISHARES MSCI SWEDEN INDEX FUND	650.	650.
ISHARES MSCI SWITZERLAND INDEX	4,927.	4,927.
ISHARES MSCI THAILAND INDEX	684.	684.
ISHARES MSCI TAIWAN INDEX	3,475.	3,475.
ISHARES MSCI TURKEY INDEX	1,208.	1,208.
ISHARES MSCI UNITED KINGDOM INDEX	24,174.	24,174.
POWERSHARES DWA EMERG MKTS	4,511.	4,511.
POWERSHARES EM MRKTS SOV DEBT	61,496.	61,496.
CAPITAL WORLD GROWTH & INCOME FUND	30,401.	30,401.
EURO PACIFIC GROWTH FUND	19,785.	19,785.
NEW WORLD FUND INC	17,584.	17,584.
ING GLOBAL REAL ESTATE FUND	5,671.	5,671.
CAPITAL WORLD BOND FUND	47,864.	47,864.
TEMPLETON GLOBAL BOND FUND	49,830.	49,830.
FSP-505 WATERFORD CORP.	15,893.	15,893.
FSP-GALLERIA NORTH CORP	28,010.	28,010.
FSP-303 EAST WACKER DRIVE	14,085.	14,085.
FSP-PHOENIX TOWER CORP.	4,471.	4,471.
FSP-385 INTERLOCKEN DEVELOPMENT CORP	433.	433.
FRANKLIN STREET PARTNERS CORP.	215,823.	215,823.
STERLING BANCSHARES CAP TR III 8.3% PFD	41,500.	41,500.
WESTERN CAPITAL PARTNERS, LLC PFD	430,833.	430,833.
ALBERTSON'S 8% 5/1/31	82,650.	82,650.
ALCOA 6.75% 7/15/18	1,317.	1,317.
ALLTEL CORP 7.875% 7/1/32	39,690.	39,690.
ARAMARK CORP 5% 6/1/12	7,573.	7,573.
CHESAPEAKE ENERGY 6.5% 8/15/17	17,270.	17,270.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
CHIQUITA BRANDS 8.875% 12/1/15	16,568.	16,568.
CIIZENS UTILITIES 7% 11/1/25	14,583.	14,583.
COLUMBIA/HCA HEALTHCARE	53,180.	53,180.
COUNTRYWIDE HOME LOAN 6.25% 4/15/09	14,508.	14,508.
DELUXE CORP 5.125% 10/1/14	17,594.	17,594.
DILLARDS 7.875% 1/1/23	23,913.	23,913.
FORD MOTOR CREDIT 6% 10/20/10	8,087.	8,087.
FORD MOTOR CREDIT 6.25% 12/20/13	12,163.	12,163.
FORD MOTOR CREDIT 5.5% 5/20/09	4,248.	4,248.
FORD MOTOR CREDIT 7.5% 4/25/11	8,901.	8,901.
FORD MOTOR CREDIT 7.35% 11/7/11	15,466.	15,466.
FORD MOTOR CREDIT 7.3% 1/23/12	7,261.	7,261.
FORD MOTOR CREDIT 7.72% 5/17/10	27,574.	27,574.
FORD MOTOR CREDIT 7% 8/15/12	7,360.	7,360.
GENERAL MOTORS 8.8% 3/1/21	89,280.	89,280.
HARRAHS OPERATING CO	13,744.	13,744.
HERTZ CORP 7.626% 6/1/12	19,063.	19,063.
INTERNATIONAL PAPER 7.95% 6/15/18	19,875.	19,875.
NRG ENERGY INC SR NT 8.5% 6/15/19	1,785.	1,785.
PEABODY ENERGY CORP 7.375% 11/1/16	2,370.	2,370.
SEARS ROEBUCK ACCEP 7.5% 12/15/12	18,750.	18,750.
TESORO CORP SR NT 6.625% 11/1/15	1,604.	1,604.
TESORO CORP SUB DEB 6.5% 6/1/17	2,028.	2,028.
TEXTRON INC 5.6% 12/1/17	14,333.	14,333.
TIMES MIRROR 7.25% 3/1/13	73.	73.
UNISYS 8.5% 10/15/15	24,339.	24,339.
UNISYS CORP 14.25% 9/15/15	3,117.	3,117.
UNUM CORP 7.19% 2/1/28	10,713.	10,713.
WEINGARTEN REALTY 8.1% 9/15/14	6,525.	6,525.
WENDYS INTL 7% 12/15/25	17,837.	17,837.
ABN AMRO BK 30 YR/10 YRS 7.5% 10/3/20	16,234.	16,234.
TOYOTA MTR CR FLT NON-INV 8% 12/21/21	15,012.	15,012.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
BARCLAYS BK ALCOA INC 14% 2/27/09	5,639.	5,639.
BARCLAYS BK ARCH COAL 15% 3/28/08	6,458.	6,458.
BARCLAYS BK EXXON MOBIL 9% 1/30/09	2,163.	2,163.
BARCLAYS BK MICRON 12% 1/31/08	2,500.	2,500.
BARCLAYS BK TITANIUM METAL 13.5% 5/30/08	2,813.	2,813.
BARCLAYS BK XTO ENERGY 12.75% 1/30/09	2,656.	2,656.
FORTIS BK HOME DEPOT 11.45% 4/30/09	9,542.	9,542.
FORTIS BK NORFOLK SOUTHERN 11% 3/28/08	2,292.	2,292.
HSBC HALLIBURTON 11.4% 11/28/06	3,750.	3,750.
ROYAL BANK OF CANAADA AT&T 11% 2/13/09	4,583.	4,583.
ROYAL BANK OF CANADA FTO 15% 2/26/10	1,250.	1,250.
AMERIQUEST 03-1 MV3 9.02% 2/25/33	42,791.	42,791.
CNTRYWDE ALT 03-22CB B4 5.55315 12/25/33	65,821.	65,821.
CNTRYWDE ALT 0322CB B5 5.55315% 12/25/33	10,111.	10,111.
COUNTNRYWIDE 04-5CB B3 5.44825% 5/25/19	40,083.	40,083.
COUNTRYWIDE 05-18CB B4 5.5% 5/25/35	135,457.	135,457.
COUNTRYWIDE 05-22 5.40147% 11/25/35	15,222.	15,222.
COUNTRYWIDE 05-J2 B3 5.59193% 4/25/35	41,961.	41,961.
CONTIMORTGAGE 98-1B 7.86% 4/15/29	53,679.	53,679.
FHLMC 2688 14.79206% 10/15/33	42,838.	42,838.
FHLMC 2784 SY 13.876% 8/15/33	14,644.	14,644.
FNMA WHOLE LN 04-W3 B3 5.6521$ 5/25/34	260,441.	260,441.
FNMA WHOLE LN 04-W3 B4 5.6521% 5/25/34	265,247.	265,247.
IMC HOME EQUITY 7.87% 8/20/28	-8,745.	-8,745.
IMPAC 2001-8 B2 6.5% 1/25/32	5,542.	5,542.
JP MORGAN 05-R1 B4 5.5% 7/28/34	180,521.	180,521.
JP MORGAN 05-R1 B6 FLT 7/28/34	980,051.	980,051.
RESIDENT ASSET 03-A6 B3 5.5% 7/25/33	58,390.	58,390.
RESIDENT ASSET 03-A6 B4 5.5% 7/25/33	19,767.	19,767.
RESIDENT ASSET 04-A5 B4 5.5% 8/25/34	47,694.	47,694.
RESIDENT ASSET 05-A2 B5 5.5% 3/25/35	20,551.	20,551.
RESIDENT ASSET 05-A2 B6 5.5% 3/25/35	5,832.	5,832.

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
WEST VIRGINIA GAMING LLC 12% 11/1/11	21,277.	21,277.
ARCELORMITTAL SA LUXEMBOURT 9.85% 6/1/19	4,432.	4,432.
BANQUE EUROPENNE-BRAZIL 6.75% 9/28/09	21,612.	21,612.
NET FUND I LTD PARTNERSHIP INTEREST INC.	669.	669.
BA PVT EQ BAIN CAP 2006-PASS THRU DIVS	3,287.	3,287.
BA PVT EQ BLACKSTONE CAP-PASS THRU DIVS	4,715.	4,715.
BOW RIVER CAPITAL FUND V-PASS THRU DIVS	70,446.	70,446.
SENTINEL TECHNOLOGY FUND-PASS THRU DIVS	12,869.	12,869.
SENTINEL UNCORRELATED FUND-PASS THRU DIV	21,682.	21,682.
BA PVT EQ BAIN CAPITAL FND PASS-THRU INT	262.	262.
BA PVT EQ BLACKSTONE FND PASS-THRU INT	982.	982.
SENTINEL TECHNOLOGY FUND PASS-THRU INT.	4,788.	4,788.
SENTINEL UNCORRELATED FUND-PASS-THRU INT	220,918.	220,918.
SENTINEL UNCORRELATED FD PORTFOLIO SEC 988 GAINS FROM PASS-THRUS	406.	406.
SENTINEL UNCORREDLATED FD SEC 988 GAINS FROM PASS-THRUS	902.	902.
SENTINEL TECHNOLOGY FND PASSTHRU 988 GN	2,803.	2,803.
BA PRVT EQUITY-BLACKSTONE CP 06 988 GN FROM FLOW-THRU	29.	29.
SENTINEL UNCORRELATED FD TX EXEMPT INT.	733.	
TOTAL	5,077,654.	5,076,921.

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
ROYALTY INCOME	467.	467.
BA PVT EQUITY-BAIN CAP 06 OTHER PSHP INC	1,260.	1,260.
BA PVT EQUITY-BLACKSTONE CP 06 PSHP INC	421.	421.
BA PVT EQUITY-BLACKSTONE CP 06 PORT INC	-8.	-8.
BA PVT EQUITY-BLACKSTONE CP 06 OTHER INC FROM FLOW-THRU	-55.	-55.
SENTINEL UNCORRELATED FUND PSHIP ORD INC	-83,212.	-83,212.
SENTINEL UNCORRELATED FUND-OTHER INC. FROM PASS-THRUS	72,726.	72,726.
SENTINEL UNCORRELATED FUND-PORT. INC. FROM PASS-THRUS	-2,708.	-2,708.
SENTINEL TECHNOLOGY FUND-PSHIP LOSSES	-4,218.	-4,218.
SENTINEL TECHNOLOGY FUND-OTHER INCOME FROM PASS-THRUS	233,784.	233,784.
SENTINEL UNCORRELATED FUND CANCELLATION OF DEBT INCOME	1,801.	1,801.
TOTALS	220,258.	220,258.

ATTACHMENT 4

FORM 990PF, PART I - INTEREST EXPENSE

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
BA PVT EQ BLACKSTONE INV INT	5,566.	5,566.
BA PVT EQ BAIN CAP INV INT EXP	79.	79.
BOW RIVER CAP FD V INV INT EXP	922.	922.
SENTINEL TECH. FD-INV INT EXP.	13,689.	13,689.
SENTINEL UNCOR. FD-INV INT EXP	128,079.	128,079.
BOW RIVER CAP FD V- SEC 988 LS	34,960.	34,960.
SENTINEL UNCOR. FD-SEC 988 PORT. LOSSES FROM PASS-THRUS	63.	63.
SENTINEL UNCOR. FD-SEC 988 LOSSES FROM PASS-THRUS	864.	864.
FOREIGN CURRENCY LOSS ON MAT. OF 250000 BANQUE EUROPENNE D' INVESTISSEMENT-BRAZIL 8.75% 9/28/09	22,968.	22,968.
TOTALS	207,190.	207,190.

ATTACHMENT 5

FORM 990PF, PART I - TAXES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
PAYROLL TAX EXPENSE	66,229.	23,215.	43,014.
FOREIGN TAX EXPENSE	16,130.	16,130.	
SENTINEL TECH FD-FOR TAX PAID	44.	44.	
SENTINEL UNCORR. FD-FOR TAX PD	455.	455.	
BA PVT EQUITY BLACKSTONE-FR TX	57.	57.	
FEDERAL EXCISE TAX	39,988.		
FEDERAL INCOME TAX	558.		
TOTALS	123,461.	39,901.	43,014.

ATTACHMENT 6

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
RENT AND ROYALTY EXPENSES	271.	271.	
AMORT. OF BOND PREMIUMS	8,552.	8,552.	
BUSINESS MEALS & ENTERTAINMENT	4,124.	423.	1,639.
BUS. MEALS-CONV. OF EMPLOYER	353.		353.
BANK, CUSTODIAL & MGMT FEES	190,929.	190,595.	334.
INSURANCE EXP.-GENERAL	8,835.	4,019.	4,816.
INVESTMENT EXPENSES	3,831.	3,831.	
COMPUTER/NETWORK EXPENSE	23,146.	10,887.	12,259.
CONTINUING EDUCATION	258.	258.	
CONTRACT LABOR	400.		400.
DELIVERIES	300.	276.	24.
FISCAL AGENT EXPENSES	302.		302.
HUMAN RESOURCES OUTSOURCING	10,757.	2,881.	7,876.
OFFICE SUPPLIES & EXPENSE	6,171.	3,005.	3,166.
PAYROLL PROCESSING FEES	1,914.	473.	1,441.
PARKING EXPENSE	165.	10.	155.
POSTAGE	647.	288.	359.
REIMBURSED MILEAGE, PARKING	1,284.	9.	1,275.
RETIREMENT PAYMENT	5,000.		5,000.
SUBSCRIPTIONS & PUBLICATIONS	585.	275.	310.
TELEPHONE/INTERNET EXPENSE	9,948.	5,012.	4,936.
MISCELLANEOUS EXP/REIMBURSEMTS	3,035.	1,218.	1,817.
PORTFOLIO INV. REIMBURSEMENT	-21,097.	-21,097.	
OVERHEAD REIMBURSEMENT	-2,400.	-2,400.	
ACAM EXPENSES-REIMBURSABLE	-178,337.		-178,337.
ACAM EXPENSES-NONREIMBURSABLE	107.		107.
BOW RIVER CAP FND PORTF. DED.	42,043.	42,043.	
SENTINEL TECH. FUND-PORTF. DED	3,213.	3,213.	
SENTINEL TECH. FUND-OTHER DED FROM PASS-THRUS	33,887.	33,887.	
SENTINEL UNCOR. FUND-OTHER DED FROM PASS-THURS	72,154.	72,154.	

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
BA PTNRS BAIN CAP OTHER DEDUCT	28.	28.	
BA PVT EQ-BAIN CAP 06-PORT DED	4,042.	4,042.	
SENTINEL UNCOR. FD-PORT. DED.	27,469.	27,469.	
SENTILEL UNCOR. FD-PORT OTHER	404.	404.	
BA PVT EQ-BLCKSTN-PORTF. DED.	7,568.	7,568.	
BA PVT EQ-BLACKSTN-OTHER DED. FROM PASS-THRUS	1,022.	1,022.	
SENTINEL UNCOR. FUND-NON-DED.	130.		
SENTINEL UNCOR. FUND-IDC	281.	281.	
BOW RIVER CAP FUND V NON-DED.	21.		
SENTINEL UNCORR FUND-PERC DEPL IN EXCESS OF COST	2.	2.	
NET FUND I, LTD NON-DED. EXP.	71.		
EXPENDITURES AS AGENT FOR FEDERAL FUNDS-HPRP CONTRACT	107,910.		
2220 PENALTY	62.		
TOTALS	379,387.	400,899.	-131,768.

[illegible]RM 990PF, PART II - OTHER NOTES AND LOANS RECEIVABLE

BORROWER: FOUNDATION PARTNERS, LLC. CREDIT FAC. #1
ORIGINAL AMOUNT: 600,000.
INTEREST RATE: 12.000000
DATE OF NOTE: 07/02/2004
MATURITY DATE: 07/23/2010
REPAYMENT TERMS: PRINCIPAL PAYABLE AT MATURITY; EXTENDED TO 7/23/10
SECURITY PROVIDED: NONE
PURPOSE OF LOAN: PROVIDE FUNDS FOR FINANCING DEVELOPMENT PROJECT
DESCRIPTION AND FMV OF CONSIDERATION: NONE 0.

BEGINNING BALANCE DUE .... 2,671,962.

ENDING BALANCE DUE .... 2,671,962.

ENDING FAIR MARKET VALUE .... 2,671,962.

BORROWER: FOUNDATION PARTNERS, LLC CREDIT FAC. #2
ORIGINAL AMOUNT: 451,840.
[illegible]EREST RATE: 12.000000
[illegible]E OF NOTE: 03/23/2005
MATURITY DATE: 01/20/2010
REPAYMENT TERMS: PRINCIPAL PAYABLE AT MATURITY; EXTENDED TO 1/20/10
SECURITY PROVIDED: NONE
PURPOSE OF LOAN: PROVIDE FUNDS FOR FINANCING DEVELOPMENT PROJECT
DESCRIPTION AND FMV OF CONSIDERATION: NONE 0.

BEGINNING BALANCE DUE .... 442,671.

ENDING BALANCE DUE .... 442,671.

ENDING FAIR MARKET VALUE .... 442,671.

BORROWER: FOUNDATION PARTNERS, LLC CREDIT FAC #3
ORIGINAL AMOUNT: 347,840.
INTEREST RATE: 12.000000
DATE OF NOTE: 03/23/2005
MATURITY DATE: 01/20/2010
REPAYMENT TERMS: PAYABLE IN FULL AT MATURITY; EXTENDED TO 1/20/10
SECURITY PROVIDED: NONE
PURPOSE OF LOAN: PROVIDE FUNDS FOR FINANCING DEVELOPMENT PROJECT
DESCRIPTION AND FMV OF CONSIDERATION: NONE 0.

BEGINNING BALANCE DUE .... 1,061,840.

ENDING BALANCE DUE .... 1,061,840.

ENDING FAIR MARKET VALUE .... 1,061,840.

BORROWER: EL CENTRO DE CORAZON
ORIGINAL AMOUNT: 75,000.
INTEREST RATE: 0.000000
DATE OF NOTE: 02/01/2006
MATURITY DATE: 06/15/2007
REPAYMENT TERMS: DELINQUENT
SECURITY PROVIDED: NONE
PURPOSE OF LOAN: BRIDGE LOAN UNTIL REIMBURSEMENTS RECEIVED
DESCRIPTION AND FMV OF CONSIDERATION: NONE 0.

BEGINNING BALANCE DUE .... 75,000.

ENDING BALANCE DUE .... 0.

ENDING FAIR MARKET VALUE .... 0.

BORROWER: HOUSTON COMMUNITY HEALTH CENTERS LOC
ORIGINAL AMOUNT: 75,000.
INTEREST RATE: 0.000000
DATE OF NOTE: 09/30/2009
MATURITY DATE: 01/31/2010
REPAYMENT TERMS: DUE 1/31/10; IF UNPAID, INTEREST @ 10%
SECURITY PROVIDED: NONE
PURPOSE OF LOAN: WORKING CAPITAL LOAN UNTIL FUNDS RAISED
DESCRIPTION AND FMV OF CONSIDERATION: NONE 0.

BEGINNING BALANCE DUE .... 0.

ENDING BALANCE DUE .... 175,000.

ENDING FAIR MARKET VALUE .... 175,000.

BORROWER: FOUNDATION PARTNERS LLC CR FAC #4
ORIGINAL AMOUNT: 168,589.
INTEREST RATE: 10.000000
DATE OF NOTE: 09/24/2009
MATURITY DATE: 09/24/2013
REPAYMENT TERMS: PRINCIPAL PAYABLE AT MATURITY
SECURITY PROVIDED: NONE
PURPOSE OF LOAN: PROVIDE FUNDS FOR FINANCING DEVELOPMENT PROJECT
DESCRIPTION AND FMV OF CONSIDERATION: NONE 0.

BEGINNING BALANCE DUE .... 0.

ENDING BALANCE DUE .... 168,589.

ENDING FAIR MARKET VALUE .... 168,589.

TOTAL BEGINNING OTHER NOTES AND LOANS RECEIVABLE 4,251,473.

TOTAL ENDING BOOK - OTHER NOTES AND LOANS RECEIVABLE 4,520,062.

TOTAL ENDING FMV - OTHER NOTES AND LOANS RECEIVABLE 4,520,062.

ROCKWELL FUND, INC. 74-6040258

FORM 990PF, PART II - CORPORATE STOCK

ATTACHMENT 8

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
ALLEGHENY TECHNOLOGIES INC	233,600.		
AMERICAN INTERNATIONAL GROUP	239,490.	239,490.	6,745.
APACHE CORP	130,705.	130,705.	103,170.
AT&T	711,950.	957,449.	889,953.
BANK OF AMERICA	673,144.	543,574.	120,480.
BOEING CO	886,745.	886,745.	595,430.
CATERPILLAR INC	1,500,552.	1,103,496.	797,860.
CHESAPEAKE ENERGY	480,675.	226,200.	103,520.
COLGATE PALMOLIVE	230,577.	246,359.	287,525.
CONTINENTAL AIRLINES	243,504.		
EXXON MOBIL CORP		234,108.	187,523.
FANNIE MAE	658,300.	658,300.	12,980.
GENERAL ELECTRIC	494,312.	494,312.	453,900.
HOME DEPOT		245,685.	238,672.
INTEL CORP	248,160.		
ISTAR FINANCIAL	379,918.	379,918.	25,600.
JOHNSON & JOHNSON	2,148,005.	2,148,005.	1,932,300.
LEGG MASON	237,550.	237,550.	75,400.
LEHMAN BROTHERS HOLDINGS	236,810.	236,810.	273.
MARATHON OIL	239,465.	239,465.	146,734.
MICROSOFT	943,788.	943,788.	914,400.
JC PENNEY	236,610.		
ROCKWELL LUMBER COMPANY	893,308.	893,308.	3,439,091.
SANDISK CORP	242,165.		
SLM CORP	242,535.	242,535.	64,239.
SUNOCO INC	485,299.	485,299.	156,600.
TITANIUM METALS	244,904.	195,494.	170,272.
UNISYS CORP		114,158.	216,956.
UNITED PARCEL SERVICE	527,555.	527,555.	430,275.
VERIZON COMMUNICATIONS	423,369.	423,369.	496,950.
WACHOVIA BANK	503,544.		

FORM 990PF, PART II - CORPORATE STOCK

ATTACHMENT 8 (CONT'D)

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
WASHINGTON MUTUAL	246,125.	246,125.	872.
WELLS FARGO & CO		503,544.	53,737.
XTO ENERGY INC		240,550.	232,650.
COVERED CALLS APA FEB 10 @ 115		-844.	-850.
COVERED CALLS CHK JAN 10 @ 30		-516.	-240.
COVERED CALLS HD JAN 10 @ 30		-1,615.	-902.
COVERED CALLS MSFT JAN 10 @ 33		-3,651.	-2,700.
COVERED CALLS TIE JAN 10 @ 15		-2,370.	-2,720.
COVERED CALLS XTO JAN 10 @ 50		-2,070.	-250.
COVERED CALLS APA APR 09 @ 135	-745.		
COVERED CALLS CL JAN 09 @ 70	-1,745.		
COVERED CALLS LM JAN 09 @ 100	-340.		
COVERED CALLS JCP JAN 09 @ 30	-517.		
AMER FDS WASHINGTON MUTUAL		2,500,000.	2,490,902.
AMER FDS AMERICAN MUTUAL FND	2,979,750.		
ING FINANCIAL SERVICES FUND A	897,552.		
ING GROWTH & INCOME FUND		901,305.	551,767.
ISHARES RUSSELL 2000 IND	2,465,925.	2,465,925.	1,873,200.
DIAMONDS TRUST	90,834.	90,834.	83,256.
STERLING BANCSHARES 8.3% PFD	500,000.	500,000.	421,000.
WESTERN CAPITAL LLC PFD	6,000,000.	6,000,000.	6,000,000.
ALLIANZ SE ADR	79,148.	89,048.	66,832.
ASTRAZENECA PLC SPONS ADR	17,083.	46,413.	61,022.
ATLAS COPCO AB SPONS ADR	64,985.	39,625.	32,625.
AXA SA SPONS ADR	65,230.	78,080.	59,674.
BAE SYSTEMS PLC SPON ADR	41,100.	56,612.	44,042.
BANCO BRADESCO SPONS ADR	96,796.	40,681.	45,927.
BANK HAPOALIM B.M.-ILS		31,500.	39,510.
BARCLAYS	121,019.	136,048.	96,254.
BAYER AG SPONSORED ADR	33,060.	33,060.	31,920.
BHP BILLITON LTD SPONS	38,738.	38,846.	76,580.

FORM 990PF, PART II - CORPORATE STOCK

ATTACHMENT 8 (CONT'D)

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
BNP PARIBAS	252,814.	184,720.	157,628.
BRITISH AIRWAYS PLC	48,762.		
BROOKFIELD PROPERTIES CORP		27,653.	37,208.
CARSO GLOBAL TELECOM	19,277.		
CASIO COMPUTER CO LTD	35,151.		
CENTRICA	54,612.	38,269.	30,583.
CHINA UNICOM LTD SPONS ADR	28,229.		
CNOOC LTD SPONS ADR	59,719.	46,485.	46,635.
COMPASS GROUP PLC ADR NEW	59,708.	74,908.	85,410.
CREDIT SUISSE GROUP	156,613.	175,880.	159,721.
CSL LTS-AUD		23,693.	28,295.
DIAGEO PLC	127,768.	109,800.	107,794.
E ON AG	64,471.	25,280.	29,225.
ELECTRIC PWR DEV CO LTD	80,685.	80,685.	60,261.
ENI SPA SPONS ADR	16,376.	16,376.	20,244.
FAIRFAX FINANCIAL HOLDINGS		50,346.	62,394.
FOMENTO ECONOMICO MEXICANO	74,441.	36,777.	40,219.
FRANCE TELECOM	64,568.	64,568.	58,052.
FUJITSU LTD ADR		48,395.	45,150.
GKN PUBLIC LTD CO	35,448.		
GLAXOSMITHKLINE PLC	164,557.	81,500.	75,374.
HANNOVER REINS CORP-EUR	65,850.	93,850.	108,560.
HSBC HOLDINGS PLC	63,401.	63,401.	41,276.
HOME RETAIL GROUP		61,071.	51,563.
HONDA MOTOR CO LTD ADR		50,528.	64,410.
HONG KONG ELECTRIC HLDGS	39,600.	74,981.	70,740.
HOYA CORP SOINSORED ADR		37,394.	42,560.
HUSQVARNA AB-SEK	52,400.		
ISUZU MOTORS LTD ADR	224,949.		
KB FINANCIAL GROUP INC ADR	74,126.	74,126.	25,425.
KEPPEL CORP LTD	52,858.	24,905.	70,560.

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
KOMATSU	157,395.	127,367.	115,466.
LUXOTTICA GROUP SPA		28,660.	28,248.
MAKITA CORP ADR	147,037.	147,037.	137,436.
MCQUARIE BK LTD ADR	62,141.	36,576.	34,800.
MERCK KGAA-EUR	32,060.		
MITSUBISHI CORP	57,771.	41,803.	35,976.
MITSUBISHI ELEC CORP ADR	63,719.		
MITSUBISHI UFJ FINANCIAL	38,121.		
MIZUHO FINL GROUP INC	33,952.		
NATIONAL BK GREECE SA SPON ADR	98,450.	117,352.	72,273.
NEDBANK GROUP LTD		20,674.	37,455.
NESTLE SA	126,146.	60,256.	96,700.
NETEASE COM INC ADR	105,213.	75,162.	124,146.
NIDEC CORP SPON ADR		46,786.	53,383.
NIKON CORP ADR	52,428.	28,821.	41,185.
NINTENDO CO LTD ADR NEW	93,150.	106,649.	53,378.
NIPPON STEEL CORP	49,018.	57,756.	64,640.
NIPPON TEL & TEL SPON ADR		50,712.	45,402.
NOKIA CORP SPONS	91,328.		
NOVO-NORDISK AS ADR	135,910.	104,873.	108,545.
NTT DOCOMO INC SPONS ADR		20,779.	19,572.
OEST ELEKTRIZATS SPON ADR	38,465.	38,465.	36,080.
OLYMPUS CORP SPONS ADR	39,950.		
OPEN TEXT CORP		43,936.	47,154.
PEARSON PLC SPONSORED ADR	20,567.	33,771.	51,696.
PETROLEUM GEO-SERVICES	127,512.	150,452.	94,920.
PORTUGAL TELECOM SPON ADR		36,196.	49,774.
RECKITT BENCKISER GP ADR	18,331.	86,268.	108,500.
ROYAL BANK OF CANADA	75,376.	91,228.	120,488.
ROYAL DUTCH SHELL PLC	151,291.	151,291.	134,947.
RWE AG	85,970.	85,970.	67,830.

FORM 990PF, PART II - CORPORATE STOCK

ATTACHMENT 8 (CONT'D)

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
SANOFI-AVENTIS	57,268.	103,459.	113,883.
SASOL LTD SPONS ADR	76,000.		
SHINSEI BK LTD	54,515.	27,115.	17,120.
SHISEIDO LTD SPONSORED ADR	52,390.		
SIEMENS AG SPONS ADR		23,259.	29,344.
SILICONEWARE PRECISION INDS S	118,795.	81,279.	56,192.
SK TELECOM LTD	57,005.		
SOLVAY SA SPONS	76,086.	65,279.	61,099.
SUMITOMO METAL INDS	33,783.		
SUMITOMO MITSUI FINL GROUP INC	22,380.	40,068.	31,350.
TAKEDA PHARMACEUTICAL CO	40,620.	120,190.	115,080.
TERMIUM SA SPONS ADR	64,535.		
TEVA PHARMACEUTICAL INDS	53,930.		
TNT N V SPONS	88,014.	90,777.	102,872.
TOTAL SA	195,226.	182,576.	181,681.
TOYOTA MOTOR ADR NEW	76,006.	92,535.	81,467.
UNILEVER SPONS ADR NEW	177,124.	126,486.	132,066.
UPM KYMMENE CORP SPND ADR		46,368.	42,624.
USIMINAS SA PFD B SPONS	52,473.		
VIVENDI GROUP PLC SPONS ADR NW	21,775.		
VIVENDI SA SPONS ADR		40,809.	44,625.
VODAFONE GROUP PLC NE	150,574.	113,140.	106,122.
VOLVO ATKIEBOLAGET ADR B	105,305.	72,669.	26,903.
WIENERBERGER BAUSTOFFINDUSTRIE		33,948.	32,850.
WOORI FIN HLDGS CO LTD	106,087.		
INDIA FUND	233,325.	307,270.	346,910.
BARCLAYS IPATH MSCI INDIA	33,415.	207,818.	256,240.
ISHARES MSCI AUSTRALIA	297,003.	284,469.	342,600.
ISHARES MSCI AUSTRIA	273,207.		
ISHARES MSCI BELGIUM	69,941.		
ISHARES MSCI BRAZIL	347,685.	225,323.	261,135.

ROCKWELL FUND, INC. 74-6040258

FORM 990PF, PART II - CORPORATE STOCK

ATTACHMENT 8 (CONT'D)

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
ISHARES MSCI CANADA	336,601.	218,846.	263,300.
ISHARES FTSE CHINA INDEX FD		198,815.	239,169.
ISHARES MSCI EAFE INDEX	110,855.		
ISHARES TRUST EMU INDEX	278,694.		
ISHARES MSCI EMERGING MRKTS		99,758.	128,650.
ISHARES MSCI FRANCE	638,715.	280,593.	239,345.
ISHARES MSCI GERMANY	288,868.	189,315.	199,716.
ISHARES MSCI HONG KONG INDEX	59,003.	259,735.	256,386.
ISHARES MSCI ITALY	180,893.	123,689.	91,951.
ISHARES MSCI JAPAN	1,188,641.	1,044,620.	779,200.
ISHARES MSCI MALAYSIA FREE	82,354.	48,620.	46,940.
ISHARES MSCI MEXICO	165,976.	196,326.	234,576.
ISHARES MSCI NETHERLANDS	198,036.	63,918.	49,186.
ISHARES MSCI SINGAPORE INDEX	72,487.	215,458.	229,800.
ISHARES MSCI SOUTH AFRICA	295,019.	44,235.	46,455.
ISHARES MSCI SOUTH KOREA	94,648.	253,419.	285,840.
ISHARES MSCI SPAIN INDEX FUND	221,361.	230,545.	240,200.
ISHARES MSCI SWEDEN	375,801.		
ISHARES MSCI SWITZERLAND	217,657.	185,555.	222,600.
ISHARES MSCI TAIWAN		181,551.	216,599.
ISHARES MSCI THAILAND		81,600.	101,976.
ISHARES MSCI TURKEY		108,644.	134,750.
ISHARES UNITED KINGDOM	1,403,726.	1,074,115.	908,188.
AMER FDS CAPITAL WORLD GROWTH & INCOME FUND	1,298,751.	1,329,152.	1,199,870.
AMER FDS EURO PACIFIC GROWTH FUND	1,325,649.	1,345,435.	1,239,293.
AMER FDS NEW WORLD FUND INC	1,257,071.	1,274,655.	1,479,112.
AMER FDS INTL GROWTH & INC FD		1,000,000.	998,659.
AMER FDS CAPITAL WORLD BOND FD	1,172,169.	1,220,033.	1,302,378.
TEMPLETON GLOBAL BOND FND CL A	1,063,603.	1,113,433.	1,202,158.

FORM 990PF, PART II - CORPORATE STOCK

ATTACHMENT 8 (CONT'D)

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
POWERSHARES DWA EMERGING MKTS	1,006,790.	1,006,790.	633,390.
POWERSHARES EMERG MKTS SOV DBT	998,191.	998,192.	977,799.
ING GLOBAL REAL ESATE FUND	278,193.	283,864.	233,023.
FSP 303 EAST WACKER DRIVE CORP	474,414.	464,369.	495,000.
FSP 505 WATERFORD CORP	417,553.	409,581.	495,000.
FSP GALLERIA NORTH CORP	452,413.	450,778.	495,000.
FSP LAKESIDE CROSSING		500,000.	500,000.
FSP PHOENIX TOWER CORP	456,928.	448,334.	495,000.
FSP 385 INTERLOCKEN DEV CORP	494,944.	494,482.	495,000.
FRANKLIN STREET PROPERTIES	4,964,561.	4,780,767.	5,003,925.
VERDE REALTY REIT	1,956,473.	1,956,473.	1,636,362.
TOTALS	59,029,726.	56,875,770.	53,598,196.

FORM 990PF, PART II - CORPORATE BONDS

ATTACHMENT 9

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
ALBERTSONS INC 8% 5/1/31	940,822.	943,471.	907,500.
ALCOA 6.75% 7/15/18		90,319.	102,171.
ALLTEL CORP 7.875% 7/1/32	549,279.	547,353.	599,372.
ARAMARK CORP 5% 5/31/05	97,073.	99,396.	100,800.
CHESAPEAKE ENERGY 6.5% 8/15/17	241,199.	242,219.	245,000.
CHIQUITA BRANDS 8.875% 12/1/15	167,829.	168,866.	178,500.
CITIZENS UTILITIES 7% 11/1/25	190,185.	190,768.	164,500.
COLUMBIA/HCA HEALTHCARE 7.05% 12/1/27	510,248.	517,603.	557,375.
COUNTRYWIDE HOME LOAN 6.25% 4/15/09	269,085.		
DELUXE CO 5.125% 10/1/14	222,480.	227,262.	225,625.
DILLARD DPT 7.875% 1/1/23	295,962.	296,251.	235,500.
FORD MTR 5.5% 5/20/09	98,502.		
FORD MTR 7.72% 5/17/10	242,852.		
FORD MTR 6% 10/20/10	79,607.	82,594.	83,995.
FORD MTR 7.5% 4/25/11	86,265.	88,341.	90,083.
FORD MTR 7.35% 11/7/11	149,429.	153,134.	158,480.
FORD MTR 7.3% 1/23/12	69,532.	71,318.	73,112.
FORD MTR 7% 8/15/12	69,859.	71,829.	75,214.
FORD MTR 6.25% 12/20/13	113,854.	117,704.	120,636.
GENERAL MOTORS 8.8% 3/1/21	1,969,063.	1,970,122.	525,000.
HARRAHS 6.5% 6/1/16	458,105.		
HERTZ CRP 7.625% 6/1/12	252,807.	251,986.	251,250.
INTERNATIONAL PAPER 7.95% 6/15/18	254,049.	253,621.	288,352.
NRG ENERGY CO 8.5% 6/15/19		143,211.	144,200.
PEOBODY ENERGY CO 7.375% 11/1/16		96,798.	103,625.
SEARS ROEBUCK ACCEP CO 7.5% 12/15/12	253,876.	252,920.	245,000.

FORM 990PF, PART II - CORPORATE BONDS

ATTACHMENT 9 (CONT'D)

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
TESORO CO 6.625% 11/1/15		91,250.	95,500.
TESORO CO 6.5% 6/1/17		229,428.	233,750.
TIMES MIRROR 7.25% 3/1/13	208,181.	208,253.	50,400.
UNISYS CO 8.5% 10/15/15	341,800.		
UNISYS CO 14.25% 9/15/15		224,708.	203,875.
UNUM CORP 7.19% 2/1/28	149,866.	149,820.	122,380.
WENDYS INTL 7% 12/15/25	244,286.	244,623.	206,250.
WEINGARTEN RLTY 8.1% 9/15/19		250,000.	274,375.
ABN AMRO NON INVERSION 7.5% 10/3/20	249,025.	249,108.	250,000.
BARCLAYS BNK RV CNV AA 14% 2/27/09	250,000.		
BARCLAYS VNK RV CNV XOM 9% 1/30/09	249,712.		
BARCLAYS BNK RV CNV XTO 12.75% 1/30/09	250,000.		
FORTIS BNK RV CNV HD 11.45% 4/30/09	250,000.		
ROYAL BANK OF CANADA RV CNV T 11% 2/13/09	250,000.		
ROYAL BANK OF CANADA FRONTIER 15% 2/26/10		100,000.	97,820.
TOYOTA MTR FLT RT NON INV 8% 12/21/21	250,000.		
WEST VIRGINIA GAMING LLC SEC NT 12% 11/10/11	201,502.	142,178.	137,912.
BANK OF AMERICA-AUSTRALIA 6.5% 12/15/08	240,736.		
ARCELORMITTAL SA LUXEMBOURG 9.85% 6/1/19		107,792.	129,340.
TOTALS	10,717,070.	8,874,246.	7,276,892.

ROCKWELL FUND, INC. 74-6040258

FORM 990PF, PART II - OTHER INVESTMENTS

ATTACHMENT 10

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
NET FUND I, LTD	1,900,455.	1,856,947.	1,447,728.
BA PRTN FUND IV BUYOUT LTD	442,200.	469,000.	411,604.
BA PRTN FUND IV INTERNAT'L LTD	465,500.	598,500.	478,281.
BA PRTN FUND IV VENTURE LTD	372,400.	458,850.	390,981.
BA PRVT EQTY BAIN CAPITAL 06	260,253.	264,071.	178,413.
BA PRVT EQTY BLACKSTONE CAP 06	371,923.	385,488.	278,125.
BOW RIVER CAPITAL FUND IV, LTD	1,146,972.	952,908.	1,123,429.
BANK OF AMERICA HEDGE FUND	2,000,000.	700,000.	824,023.
SENTINEL TECHNOLOGY FUND	2,827,144.	3,056,168.	3,421,396.
SENTINEL UNCORRELATED FUND	2,315,970.	2,313,098.	2,321,533.
TOTALS	12,102,817.	11,055,030.	10,875,513.

ROCKWELL FUND, INC. 74-6040258

FORM 990P PART II - OTHER ASSETS ATTACHMENT 11

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
COMPUTER SOFTWARE, NET OF AMORTIZATION	14,519.	8,217.	8,217.
SUNDRY ASSETS	3.	3.	3.
DEPOSITS	6,722.	6,722.	6,722.
RECEIVABLE FROM IRS	4,982.	3,357.	3,357.
PREPAID FEDERAL EXCISE TAX	23,643.	8,593.	8,593.
PREPAID FEDERAL INCOME TAX	2,314.	1,769.	1,769.
PREPAID EXPENSES		7,159.	7,159.
REIMBURSABLE EXPENSES-ACAM	14,195.	10,288.	10,288.
OTHER REIMBURSABLE FUNDS	3,065.	45.	45.
FUNDS IN TRANSIT TO/FROM CUSTODIAN FOR ASSET SALES		1,525,016.	1,525,016.
TOTALS	69,443.	1,571,169.	1,571,169.

ROCKWELL FUND, INC.   74-6040258

FORM 990PF, PART II - OTHER LIABILITIES   ATTACHMENT 12

DESCRIPTION		ENDING BOOK VALUE
ADVANCE AS AGENT		250.
	TOTALS	250.

ROCKWELL FUND, INC. 74-6040258

ATTACHMENT 13

[illegible]RM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

DESCRIPTION	AMOUNT
SENTINEL UNCORRELATED FUND PERCENTAGE DEPLETION BOOK/TAX DIFFERENCE	2.
FAIR MARKET VALUE OF DONATED EQUIPMENT IN EXCESS OF NET BOOK VALUE	65.
GRANT RETURNED	40,500.
TOTAL	40,567.

FORM 990PF, [illegible]RT VIII - LIST OF OFFICERS, DIRECTORS, AND TRUS[illegible]S

ATTACHMENT 14

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
R. TERRY BELL 770 S. POST OAK LANE, STE. 525 HOUSTON, TX 77056-6660	PRESIDENT, TRUSTEE 35.00	357,780.	65,000.	0.
BARBARA B BELLATTI 770 S. POST OAK LANE, STE. 525 HOUSTON, TX 77056-6660	SECRETARY, TRUSTEE 3.00	18,500.	0.	0.
BENNIE GREEN 770 S. POST OAK LANE, STE. 525 HOUSTON, TX 77056-6660	ASST. TREASURER, TRUSTEE 3.00	18,500.	0.	0.
MARGARET E. MCCONN 770 S. POST OAK LANE, STE. 525 HOUSTON, TX 77056-6660	VP, CFO, TRUSTEE 45.00	316,755.	58,700.	0.
SHARON L. EDWARDS 770 S. POST OAK LANE, SUITE 525 HOUSTON, TX 77056-6660	TRUSTEE 3.00	18,000.	0.	0.
DOMINGO BARRIOS 770 S. POST OAK LANE, SUITE 525 HOUSTON, TX 77056-6660	ASST. SECRETARY, TRUSTEE 3.00	18,500.	0.	0.

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES ATTACHMENT 14 (CONT'D)

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
WHITNEY RANDOLPH 770 S. POST OAK LANE, SUITE 525 HOUSTON, TX 77056-6660	TREASURER,TRUSTEE 3.00	18,500.	0.	0.
	GRAND TOTALS	766,535.	123,700.	0.

ROCKWELL FUND, INC. 74-6040258

990PF, PAR VIII - COMPENSATION OF THE FIVE HIGHEST ID EMPLOYEES

ATTACHMENT 15

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
JANA MULLINS 770 S. POST OAK LANE STE. 525 HOUSTON, TX 77056-6660	PROGRAM OFFICER 35.00	81,760.	24,405.	0.
SHARON ZACHARY-HEYLIGER 770 S. POST OAK LN., STE. 525 HOUSTON, TX 77056-6660	ACAM EX. DIRECTOR 35.00	68,086.	3,477.	731.
QUYNH-ANH MCMAHAN 770 S. POST OAK LN., STE. 525 HOUSTON, TX 77056-6660	RES. & EVA. MGR. 35.00	62,900.	17,145.	0.
VALERIE ELLIS 770 S. POST OAK LN., STE. 525 HOUSTON, TX 77056-6660	ACAM ASST. DIR. 35.00	57,750.	16,443.	0.
CAROLYN L. WATSON 770 S. POST OAK LN., STE. 525 HOUSTON, TX 77056-6660	PROGRAM OFFICER 35.00	50,086.	11,684.	0.
	TOTAL COMPENSATION	320,582.	73,154.	731.

ATTACHMENT 16

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

R. TERRY BELL
770 S. POST OAK LN., STE. 525
HOUSTON, TX 77056-6660
713-629-9022

990PF, PART XV - FORM AND CONTENTS OF SUBMITTED APPLICATIONS

STATEMENT OF PURPOSE OF GRANT; STATUS OF PRIOR GRANTS, IF ANY; COPY OF IRS EXEMPTION LETTER; COMPLETED APPLICATION (AVAILABLE BY DOWNLOAD FROM WEBSITE WWW.ROCKFUND.ORG)

ATTACHMENT 18

990PF, PART XV - RESTRICTIONS OR LIMITATIONS ON AWARDS

PREFERENCE GIVEN TO HOUSTON, THEN TEXAS; LIMITED OUT OF STATE; NO GRANTS TO INDIVIDUALS.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
ACCION TEXAS, INC 2014 S. HACKBERRY ST. SAN ANTONIO, TX 78210	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	100,000
ADULT READING CENTER, INC. 2246 N WASHINGTON AVE PEARLAND, TX 77581-4040	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000
ALDINE YOUTH ORG. UNITED TO HELP PO BOX 11044 HOUSTON, TX 77293-1044	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000
ALLEY THEATRE 615 TEXAS AVE. HOUSTON, TX 77002-2795	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000
THE ARC OF GREATER HOUSTON P.O. BOX 924168 HOUSTON, TX 77292-4168	NONE NOT PRIVATE FOUNDATION	RIGHT TO LEARN PROGRAM	25,000.
ASIAN AMERICAN HEALTH COALITION OF GREATER HOUSTON 7001 CORPORATE AVE., STE. 120 HOUSTON, TX 77036	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	35,000.

FORM 990PF, PART XV [illegible]RANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
ASSOCIATION FOR COMMUNITY TELEVISION 4343 ELGIN ST. HOUSTON, TX 77204-0008	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000
BIG BROTHERS BIG SISTERS OF GREATER HOUSTON 6437 HIGH STAR DR. HOUSTON, TX 77074	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	75,000
BOYS AND GIRLS CLUBS OF GREATER HOUSTON, INC. 1520-A AIRLINE DR. HOUSTON, TX 77009	NONE NOT PRIVATE FOUNDATION	POWER HOUR HOMEWORK ASSISTANCE AND TUTORING PROGRAM	25,000.
BRIDGE OVER TROUBLED WATERS, INC. P.O. BOX 3488 PASADENA, TX 77501	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	30,000.
CASA DE ESPERANZA DE LOS NINOS, INC. P.O. BOX 66581 HOUSTON, TX 77255-6581	NONE NOT PRIVATE FOUNDATION	RESIDENTIAL PROGRAM	50,000.
CATHOLIC CHARITIES OF THE ARCHDIOCESE OF GALV-HOUS P.O. BOX 66508 HOUSTON, TX 77266	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	30,000.

FORM 990PF, PART XV GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
CENTER FOR FAITH AND HEALTH INITIATIVES 14610 WIND LAWN DR. HOUSTON, TX 77040-2209	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000.
CENTER FOR HEARING AND SPEECH 3636 WEST DALLAS HOUSTON, TX 77019	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	40,000
CENTER FOR PUBLIC POLICY PRIORITIES 900 LYDIA ST. AUSTIN, TX 78702-2625	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000.
CHINQUAPIN SCHOOL 2615 E WALLISVILLE RD HIGHLANDS, TX 77562-3199	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	40,000.
CHILD ADVOCATES, INC 2401 PORTSMOUTH ST., STE 210 HOUSTON, TX 77098	NONE NOT PRIVATE FOUNDATION	COURT SERVICES PROGRAM	40,000
CHILDRENS CENTER FOR SELF-ESTEEM, INC. 2611 FM 1960 W., STE H-201 HOUSTON, TX 77068	NONE NOT PRIVATE FOUNDATION	TO LAUNCH THE HOUSTON EARLY CHILDHOOD PROJECT	30,000.

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
COMMUNITIES IN SCHOOLS HOUSTON, INC. 2150 W. 18TH., STE 100 HOUSTON, TX 77008	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000.
CONFERENCE OF SOUTHWEST FOUNDATIONS, INC. 624 N. GOOD-LATIMER EXPRESSWAY, STE. 100 DALLAS, TX 75204	NONE NOT PRIVATE FOUNDATION	GRANT IN LIEU OF MEMBERSHIP DUES	3,000.
CITY OF LA FERIA 115 EAST COMMERCIAL AVE. LA FERIA, TX 78559	NONE NOT PRIVATE FOUNDATION	EXPANSION OF THE BAILEY H. DUNLAP MEMORIAL LIBRARY	50,000
DEPRESSION AND BIPOLAR SUPPORT ALLIANCE GRTR HOUST 3800 BUFFALO SPDWY , STE 300 HOUSTON, TX 77098-3706	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000.
DUCHESNE ACADEMY OF THE SACRED HEART 10202 MEMORIAL DR. HOUSTON, TX 77024-3229	NONE NOT PRIVATE FOUNDATION	TO PROVIDE AN INCOMING 9TH GRADE STUDENT FROM AN ECONOMICALLY DISADVANTAGED FAMILY WITH FOUR YEAR TUITION SCHOLARSHIP	18,685
ESCAPE FAMILY RESOURCE CENTER OF EXCHANGE CLUBS 3210 EASTSIDE HOUSTON, TX 77098	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	40,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
EPIPHANY COMMUNITY HEALTH OUTREACH SERVICES 9600 S. GESSNER, BLD E HOUSTON, TX 77071	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000
EYE CARE FOR KIDS FOUNDATION 9660 HILLCROFT, STE 325 HOUSTON, TX 77096	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	30,000
FAMILY SERVICE CENTER AT HOUSTON & HARRIS COUNTY 3815 MONTROSE, STE 200 HOUSTON, TX 77006	NONE NOT PRIVATE FOUNDATION	MARKETING, PROMOTION AND IMPLEMENTATION OF DATA TRAQ AT NEW USER SITES	50,000
FORGE FOR FAMILIES, INC 3150 YELLOWSTONE BLVD HOUSTON, TX 77054	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	20,000
FOUNDATION FOR TOMORROW (YELLOWSTONE ACADEMY) 3000 TRULLEY ST HOUSTON, TX 77004	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000.
FOURTH WARD CLINIC 190 HEIGHTS BLVD. HOUSTON, TX 77007	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000.

FORM 990PF, PART XV GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
GENESYS WORKS 601 JEFFERSON ST., STE. 3760 HOUSTON, TX 77002	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000.
GRANTMAKERS IN HEALTH 1100 CONNECTICUT AVE , NW, STE. 1200 WASHINGTON, DC 20036-4110	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	2,500.
GREATER HOUSTON COMMUNITY FOUNDATION (FOR ACAM) 4550 POST OAK PLACE, STE 100 HOUSTON, TX 77027	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	150,000
HARRIS COUNTY HEALTHCARE ALLIANCE 1310 PRAIRIE ST., STE 1080 HOUSTON, TX 77002	NONE NOT PRIVATE FOUNDATION	TO PARTIALLY SUPPORT THE SALARY, TRAINING, TECHNICAL ASSIST. FOR A PRIMARY CARE ACCESS PROJECT MANAGER	19,000.
HEALTHCARE ALLIANCE OF MONTGOMERY COUNTY	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000.
HEALTHCARE FOR THE HOMELESS-HOUSTON P O. BOX 66690 HOUSTON, TX 77266	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	40,000.

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
HOUSTON BALLET FOUNDATION 1921 WEST BELL HOUSTON, TX 77019	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000
HOUSTON COMMUNITY HEALTH CENTERS, INC. 424 HAHLO HOUSTON, TX 77020	NONE NOT PRIVATE FOUNDATION	CONSTRUCTION OF FACILITY EXPANSION	100,000
HOUSTON COMMUNITY HEALTH CENTERS, INC. 424 HAHLO HOUSTON, TX 77020	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000
HEALTHY FAMILY INITIATIVES HOUSTON 7500 BEECHNUT, STE 366 HOUSTON, TX 77074	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000
HOUSTON COUNCIL ON ALCOHOLISM AND DRUG ABUSE, INC 303 JACKSON HILL ST. HOUSTON, TX 77007	NONE NOT PRIVATE FOUNDATION	KINDER X CLINIC SERVICES	30,000
HOUSTON DOWNTOWN PARK CONSERVANCY P O BOX 130646 HOUSTON, TX 77219-0646	NONE NOT PRIVATE FOUNDATION	CREATING A PARK IN DOWNTOWN HOUSTON	100,000

FORM 990PF, PART X[illegible] GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
HOUSTON GALVESTON INSTITUTE 3316 MOUNT VERNON ST HOUSTON, TX 77006	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	30,000.
HOUSTON GRAND OPERA ASSOCIATION, INC. 510 PRESTON ST., STE. 500 HOUSTON, TX 77002-1594	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000
HOUSTON MUSEUM OF NATURAL SCIENCE ONE HERMANN CIRCLE DR HOUSTON, TX 77030-1799	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000.
HOUSTON FOOD BANK 3811 EASTEX FRWY HOUSTON, TX 77026	NONE NOT PRIVATE FOUNDATION	PURCHASE OF A NEW WAREHOUSE AND OPERATIONS FACILITY	50,000.
HOUSTON INTERFAITH SPONSORING COMMITTEE, INC 4141 SOUTHWEST FRWY, STE 650 HOUSTON, TX 77027	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000
IBN SINA FOUNDATION, INC. 9888 BISSONNET, STE 150-M HOUSTON, TX 77036	NONE NOT PRIVATE FOUNDATION	EXPANSION OF THE AFTERHOURS CLINIC PROGRAM	80,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
JOHNSON CITY LIBRARY, INC. PO BOX 332 JOHNSON CITY, TX 78636	NONE NOT PRIVATE FOUNDATION	CONSTRUCTION OF NEW LIBRARY FACILITY	50,000
JESUITS OF THE NEW ORLEANS PROVINCE 710 BARONNE ST., STE. B NEW ORLEANS, LA 70113-1064	NONE NOT PRIVATE FOUNDATION	SEED MONEY FOR THE LAUNCH OF THE HOUSTON CRISTO REY PROJECT	25,000.
KIPP, INC. 10711 KIPP WAY HOUSTON, TX 77099	NONE NOT PRIVATE FOUNDATION	CONSTRUCTION OF A NEW CAMPUS	100,000
KRIST SAMARITAN CENTER FOR COUNSELING & EDUCATION 17555 EL CAMINO REAL HOUSTON, TX 77058	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	40,000
LINDA LORELLE SCHOLARSHIP FUND, INC 7660 WOODWAY, STE. 210 HOUSTON, TX 77063	NONE NOT PRIVATE FOUNDATION	COLLEGE PREP SEMINAR SERIES AND THE ANNUAL COLLEGE PREPARATORY CONFERENCE	60,000.
LITERACY ADVANCE OF HOUSTON, INC 2424 WILCREST DR , STE 120 HOUSTON, TX 77042	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000.

FORM 990PF, PART XV GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
LOCAL INITIATIVES SUPPORT CORPORATION 2640 FOUNTAINVIEW, STE. 220 HOUSTON, TX 77057	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000
MEMORIAL ASSISTANCE MINISTRIES, INC. 1625 BLALOCK RD HOUSTON, TX 77080	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000
THE MUSEUM OF FINE ARTS OF HOUSTON P.O. BOX 6826 HOUSTON, TX 77265-6826	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000
NAMI GULF COAST P.O. BOX 4096 ALVIN, TX 77512	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	15,000.
NEW HOPE HOUSING, INC 1117 TEXAS AVE HOUSTON, TX 77002	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000
THE PHILANTHROPY ROUNDTABLE 1150 17TH ST., NW, STE. 503 WASHINGTON, DC 20036	NONE NOT PRIVATE FOUNDATION	INSTITUTIONAL BASIC CONTRIBUTION	500

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
PLANNED PARENTHOOD OF HOUSTON AND SOUTHEAST TEXAS 3601 FANNIN ST. HOUSTON, TX 77004-3998	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT ($50000); THE "TODAY'S PLAN FOR TOMORROW'S FAMILIES" CAMPAIGN (25,000)	75,000.
PROJECT YES, INC. 6201 BONHOMME, STE 168N HOUSTON, TX 77036	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	100,000.
PROJECT YES, INC 6201 BONHOMME, STE 168N HOUSTON, TX 77036	NONE NOT PRIVATE FOUNDATION	YES NORTHEAST CAPITAL PROJECT	100,000.
REASONING MIND, INC. 410 PIERCE ST. HOUSTON, TX 77002	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	45,000
ST VINCENT'S HOUSE 2817 POSTOFFICE ST. GALVESTON, TX 77550	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	75,000.
SCIENCE ENGINEERING FAIR OF HOUSTON C/O UNIVERSITY OF HOUSTON-DOWNTOWN ONE MAIN ST., STE N-813 HOUSTON, TX 77002	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	5,000.

FORM 990PF, PART XV GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
SRVCE OF EMERGENCY AID RESOURCE CNTR FOR HOMELESS 2505 FANNIN ST. HOUSTON, TX 77002	NONE NOT PRIVATE FOUNDATION	EDUCATION EMPLOYMENT CENTER	35,000
SMALL STEPS NURTURING CENTER 1709 DEPELCHIN ST HOUSTON, TX 77007	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000
SOUTH TEXAS COLLEGE OF LAW 1301 SAN JACINTO ST HOUSTON, TX 77002-7000	NONE NOT PRIVATE FOUNDATION	GENERAL CIVIL CLINIC'S BATTERED AND HOMELESS WOMEN'S PROGRAM	60,144.
SOCIETY OF THE PERFORMING ARTS 615 LOUISIANA ST., STE 100 HOUSTON, TX 77002-2715	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	12,500.
STAR OF HOPE MISSION 6897 ARDMORE ST. HOUSTON, TX 77054-5342	NONE NOT PRIVATE FOUNDATION	NEW HORIZONS PROGRAM	50,000
TEXAS CITY INDEPENDENT SCHOOL DISTRICT 1401 NINTH AVE NORTH TEXAS CITY, TX 77590	NONE NOT PRIVATE FOUNDATION	PROFESSIONAL DEVELOPMENT PROGRAM FOR MATH AND SCIENCE TEACHERS	40,500

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
TEXAS TECH FOUNDATION, INC P.O. BOX 42013 LUBBOCK, TX 79409-2013	NONE NOT PRIVATE FOUNDATION	ROCKWELL PROFESSORSHIPS IN THE COLLEGE OF HUMAN SCIENCES, COLLEGE OF AGRICULTURAL, NATURAL RESOURCES	75,000.
THEATRE UNDER THE STARS, INC 800 BAGBY, STE 200 HOUSTON, TX 77002-2525	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	12,500
TEXAS HEALTH INSTITUTE 8501 N. MOPAC EXWY, STE 420 AUSTIN, TX 78759	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	50,000.
UNIVERSITY OF HOUSTON-DOWNTOWN (LIBRARY) ONE MAIN ST , STE 990-S HOUSTON, TX 77002-1001	NONE NOT PRIVATE FOUNDATION	CAPITAL SUPPORT TO DOUBLE THE SIZE OF THE W I DYKES LIBRARY	100,000
UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON 301 UNIVERSITY BLVD. GALVESTON, TX 77555-0129	NONE NOT PRIVATE FOUNDATION	ROBERT WOOD JOHNSON FOUNDATION LOCAL INITIATIVE FUNDING PARTNERS PROGRAM TO USE VIDEOSCREENING TO LINK FOUR SCHOOL BASED TEEN HEALTH CLINICS WITH MENTAL HEALTH PROVIDERS ON UTMB CAMPUS	25,000.
UNIVERSITY OF TEXAS MEDICAL BRANCH AT GALVESTON 301 UNIVERSITY BLVD. GALVESTON, TX 77555-0129	NONE NOT PRIVATE FOUNDATION	DEVELOPMENT AND IMPLEMENTATION OF THE BROOKWOOD COMMUNITY/UTMB TELEHEALTH PROGRAM	42,521.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
US FND FOR INSPIRATION&RECOGNITION OF SCIENCE&TECH 1143 CHANTILLY LN HOUSTON, TX 77018	NONE NOT PRIVATE FOUNDATION	2009 LONE STAR REGIONAL ROBOTICS COMPETITION	15,000
UNITED WAY OF GALVESTON 2200 MARKET ST, STE 850 GALVESTON, TX 77550	NONE NOT PRIVATE FOUNDATION	HURRICAN IKE MENTAL HEALTH/TELEHEALTH PROGRAM IN GALVESTON COUNTY SCHOOLS	75,000
WILLIAM MARSH RICE UNIVERSITY SCHOOL OF CONTINUING STUDIES P.O BOX 1892 HOUSTON, TX 77251-1892	NONE NOT PRIVATE FOUNDATION	SCHOLARSHIPS FOR THE LEADERSHIP INSTITUTE FOR NONPROFIT EXECUTIVES	25,000.
WOMEN OPTING FOR MORE AFFORDABLE HOUSING NOW, INC PO BOX 571898 HOUSTON, TX 77257-1898	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	30,000
WRITERS IN THE SCHOOLS 1523 WEST MAIN HOUSTON, TX 77006-4709	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	25,000.
TEXAS ONE VOICE A COLLABORATIVE FOR HEALTH 4550 POST OAK PL DR , STE 100 HOUSTON, TX 77027	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	20,000

FORM 990PF, PART XV GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 19 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
BA PRIVATE EQUITY BLACKSTONE CAP 2006 LP PASS-THRU		HURRICAN IKE MENTAL HEALTH/TELEHEALTH PROGRAM IN GALVESTON SCHOOLS	6
GOODWILL INDUSTRIES 10795 HAMMERLY BLVD. HOUSTON, TX 77056	NONE NOT PRIVATE FOUNDATION	VCR AND IBM DISPLAY TYPEWRITER FOR RECEPIENT TO SELL IN THRIFT SHOP.	50
GOODWILL INDUSTRIES			
MEMORIAL ASSISTANCE MINISTRIES 1625 BLACLOCK RD. HOUSTON, TX 77080	NONE NOT PRIVATE FOUNDATION	BRASS LAMP FOR SALE IN THRIFT SHOP.	15.
		TOTAL CONTRIBUTIONS PAID	3,666,921.

FORM 990PF, PART XV - CONTRIBUTIONS APPROVED FOR FUTURE PAYMENT

ATTACHMENT 20

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
CHILDBUILDERS 3800 BUFFALO SPEEDWAY, STE 310 HOUSTON, TX 77098	NONE NOT PRIVATE FOUNDATION	CHALLENGE GRANT FOR GENERAL OPERATING SUPPORT	40,000
DUCHESNE ACADEMY OF THE SACRED HEART 10202 MEMORIAL DRIVE HOUSTON, TX 77024	NONE NOT PRIVATE FOUNDATION	4 YEAR SCHOLARSHIP FOR AN ECONOMICALLY DISADVANTAGED AFRICAN AMERICAN OR HISPANIC INCOMING 9TH GRADER	56,055.
HARRIS COUNTY HEALTHCARE ALLIANCE 1310 PRAIRIE ST. #1080 HOUSTON, TX 77002	NONE NOT PRIVATE FOUNDATION	HARRIS COUNTY SAFETY NET SYSTEMS BUILDING INITIATIVE	500,000
FRIENDS OF THE SEADRIFT LIBRARY PO BOX 264 SEADRIFT, TX 77983	NONE NOT PRIVATE FOUNDATION	RENOVATION OF A FORMER ELEMENTARY SCHOOL TO REPLACE THE CURRENT LIBRARY	25,000
SOUTH TEXAS COLLEGE OF LAW 1303 SAN JACINTO ST. HOUSTON, TX 77002-7000	NONE NOT PRIVATE FOUNDATION	GENERAL CIVIL CLINIC'S BETTERED AND HOMELESS WOMEN'S PROGRAM	225,000
TEXAS APPLESEED 1609 SHOAL CREEK, STE 201 AUSTIN, TX 78701	NONE NOT PRIVATE FOUNDATION	GENERAL OPERATING SUPPORT	75,000.
		TOTAL CONTRIBUTIONS APPROVED	921,055

ROCKWELL FUND, INC.

ATTACHMENT 21

FORM 990PF, PART II - LAND, BUILDING, AND EQUIPMENT AND ACCUMULATED DEPRECIATION

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
EQUIPMENT	36,237	35,393	15,013
FURNITURE & FIXTURES	100,354	93,070	15,165
LEASEHOLD IMPROVEMENTS	14,454	14,454	10,450
TOTAL DEPRECIABLE ASSETS	151,045	142,917	40,628
ACCUMLATED DEPRECIATION-EQUIPMENT	16,520	20,380	
ACCUMLATED DEPRECIATION-EQUIPMENT	81,042	77,905	
ACCUMLATED DEPRECIATION-EQUIPMENT	3,040	4,004	
TOTAL ACCUMLATED DEPRECIATION	100,602	102,289	
NET DEPRECIABLE ASSETS	50,443	40,628	

ATTACHMENT 23

RENT AND ROYALTY SUMMARY

PROPERTY	TOTAL INCOME	DEPLETION/ DEPRECIATION	OTHER EXPENSES	ALLOWABLE NET INCOME
NET FUND I, LTD.	-44,106.			-44,106.
SENTINEL UNCORRELATE	467.		271.	196.
SENTINEL UNCORRELATE	-227.			-227.
SENTINEL UNCORRELATE	243.			243.
TOTALS	-43,623.		271.	-43,894.

RECAP

		INCOME	EXPENSE	TOTAL
NET RENTAL	(TO PART I, LINE 5)	-44,090		-44,090
ROYALTY INCOME	(TO ATCH 3)	467		467
OTHER EXPENSE	(TO ATCH 6)		-271	-271
		-43,623	-271	-43,894

ATTACHMENT 23

9E7000 1 000

RENT AND ROYALTY INCOME

Taxpayer's Name ROCKWELL FUND, INC.

Identifying Number 74-6040258

[illegible]RIPTION OF PROPERTY

[illegible]T FUND I, LTD.

☐ Yes ☐ No Did you actively participate in the operation of the activity during the tax year?

REAL RENTAL INCOME		
OTHER INCOME		
NET INCOME FROM RENTAL REAL ESTATE ACTIVITIES	-44,106.	
TOTAL GROSS INCOME		-44,106.
OTHER EXPENSES:		
DEPRECIATION (SHOWN BELOW)		
LESS: Beneficiary's Portion		
AMORTIZATION		
LESS: Beneficiary's Portion		
DEPLETION		
LESS: Beneficiary's Portion		
T[illegible]L EXPENSES		
T[illegible]L RENT OR ROYALTY INCOME (LOSS)		-44,106.
Less Amount to		
Rent or Royalty		
Depreciation		
Depletion		
Investment Interest Expense		
Other Expenses		
Net Income (Loss) to Others		
Net Rent or Royalty Income (Loss)		-44,106.
Deductible Rental Loss (if Applicable)		- -

SCHEDULE FOR DEPRECIATION CLAIMED

(a) Description of property	(b) Cost or unadjusted basis	(c) Date acquired	(d) ACRS des	(e) Bus %	(f) Basis for depreciation	(g) Depreciation in prior years	(h) Method	(i) Life or rate	(j) Depreciation for this year
Totals									

JSA

[illegible]UPPLEMENT TO RENT AND ROYALTY SCHEDULE

OTHER INCOME

NET INCOME FROM RENTAL REAL ESTATE ACTIVITIES	-44,106.
	-44,106.

9E7000 1 000

RENT AND ROYALTY INCOME

Taxpayer's Name	Identifying Number
ROCKWELL FUND, INC.	74-6040258

DESCRIPTION OF PROPERTY

ROYNETYUNCORRELATEDGAENDEPLETION

☐ Yes ☐ No Did you actively participate in the operation of the activity during the tax year?

OTHER INCOME	467.	
ROYALTY INCOME		
TOTAL GROSS INCOME		467.
OTHER EXPENSES:		
SEE ATTACHMENT		
DEPRECIATION (SHOWN BELOW)		
LESS: Beneficiary's Portion		
AMORTIZATION		
LESS: Beneficiary's Portion		
DEPLETION		
LESS: Beneficiary's Portion		
TOTAL EXPENSES		271.
TOTAL RENT OR ROYALTY INCOME (LOSS)		196.
Less Amount to		
Rent or Royalty		
Depreciation		
Depletion		
Investment Interest Expense		
Other Expenses		
Net Income (Loss) to Others		
Net Rent or Royalty Income (Loss)		196.
Deductible Rental Loss (If Applicable)		

SCHEDULE FOR DEPRECIATION CLAIMED

(a) Description of property	(b) Cost or unadjusted basis	(c) Date acquired	(d) ACRS des	(e) Bus %	(f) Basis for depreciation	(g) Depreciation in prior years	(h) Method	(i) Life or rate	(j) Depreciation for this year
Totals									

JSA

ROCKWELL FUND, INC. 74-6040258

SUPPLEMENT TO RENT AND ROYALTY SCHEDULE

OTHER INCOME	
ROYALTY INCOME	467.
	467.
OTHER DEDUCTIONS	
ROYALTY DEDUCTIONS	271.
	271.

9E7000 1 000

RENT AND ROYALTY INCOME

Taxpayer's Name	Identifying Number
ROCKWELL FUND, INC.	74-6040258

[illegible]CRIPTION OF PROPERTY

[illegible]NTINEL UNCORRELATED FUND

☐ Yes ☐ No Did you actively participate in the operation of the activity during the tax year?

REAL RENTAL INCOME		
OTHER INCOME		
NET RENTAL INCOME FROM REAL ESTATE	-227.	
TOTAL GROSS INCOME		-227.
OTHER EXPENSES:		
DEPRECIATION (SHOWN BELOW)		
LESS: Beneficiary's Portion		
AMORTIZATION		
LESS: Beneficiary's Portion		
DEPLETION		
LESS: Beneficiary's Portion		
T[illegible]L EXPENSES		
[illegible]L RENT OR ROYALTY INCOME (LOSS)		-227.
Less Amount to		
Rent or Royalty		
Depreciation		
Depletion		
Investment Interest Expense		
Other Expenses		
Net Income (Loss) to Others		
Net Rent or Royalty Income (Loss)		-227.
Deductible Rental Loss (If Applicable)		

SCHEDULE FOR DEPRECIATION CLAIMED

(a) Description of property	(b) Cost or unadjusted basis	(c) Date acquired	(d) ACRS des	(e) Bus %	(f) Basis for depreciation	(g) Depreciation in prior years	(h) Method	(i) Life or rate	(j) Depreciation for this year
Totals									

JSA

[illegible]PPLEMENT TO RENT AND ROYALTY SCHEDULE

OTHER INCOME

NET RENTAL INCOME FROM REAL ESTATE	-227.
	-227.

9E7000 1 000

RENT AND ROYALTY INCOME

Taxpayer's Name ROCKWELL FUND, INC.	**Identifying Number** 74-6040258

D[illegible]CRIPTION OF PROPERTY

[illegible]NTINEL UNCORRELATED FUND

☐ Yes ☐ No Did you actively participate in the operation of the activity during the tax year?

REAL RENTAL INCOME		
OTHER INCOME		
OTHER NET RENTAL INCOME	243.	
TOTAL GROSS INCOME		243.
OTHER EXPENSES:		
DEPRECIATION (SHOWN BELOW)		
LESS: Beneficiary's Portion		
AMORTIZATION		
LESS: Beneficiary's Portion		
DEPLETION		
LESS: Beneficiary's Portion		
TO[illegible]L EXPENSES		
T[illegible]L RENT OR ROYALTY INCOME (LOSS)		243.
Less Amount to		
Rent or Royalty		
Depreciation		
Depletion		
Investment Interest Expense		
Other Expenses		
Net Income (Loss) to Others		
Net Rent or Royalty Income (Loss)		243.
Deductible Rental Loss (If Applicable)		

SCHEDULE FOR DEPRECIATION CLAIMED

(a) Description of property	(b) Cost or unadjusted basis	(c) Date acquired	(d) ACRS des	(e) Bus %	(f) Basis for depreciation	(g) Depreciation in prior years	(h) Method	(i) Life or rate	(j) Depreciation for this year
Totals									

JSA

[illegible]PPLEMENT TO RENT AND ROYALTY SCHEDULE

OTHER INCOME

OTHER NET RENTAL INCOME	243.
	243.