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Form 990-PF

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

OMB No 1545-0052

2009

Department of the Treasury  
Internal Revenue Service

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

For calendar year 2009, or tax year beginning 01-01-2009 , and ending 12-31-2009

G

Check all that apply

☐ Initial return

☐ Initial return of a former public charity

☐ Final return

☒ Amended return

☐ Address change

☐ Name change

Use the IRS label. Otherwise, print or type. See Specific Instructions.	Name of foundation THE CALDWELL FOUNDATION		A Employer identification number 75-6004080	
	Number and street (or P O box number if mail is not delivered to street address) PO BOX 4280		Room/suite	B Telephone number (see page 10 of the instructions) (903) 592-8191
	City or town, state, and ZIP code TYLER, TX 75712			

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)

\$ 92,457,965

J Accounting method

☒ Cash

☐ Accrual

☐ Other (specify) (Part I, column (d) must be on cash basis.)

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

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

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)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	1,820			
	2 Check <input checked="" type="checkbox"/> if the foundation is <b>not</b> required to attach Sch B				
	3 Interest on savings and temporary cash investments	4,725	4,725	4,725	
	4 Dividends and interest from securities. . . . .	1,690,079	1,690,079	1,690,079	
	5a Gross rents . . . . .				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	-2,556,185			
	b Gross sales price for all assets on line 6a _____ 32,726,479				
	7 Capital gain net income (from Part IV , line 2) . . . .				
	8 Net short-term capital gain . . . . .			214,813	
	9 Income modifications . . . . .				
	10a Gross sales less returns and allowances _____ 987,280				
Operating and Administrative Expenses	b Less Cost of goods sold . . . . .	374,779			
	c Gross profit or (loss) (attach schedule) . . . . .	612,501		612,501	
	11 Other income (attach schedule) . . . . .	2,542,669	955,688	2,542,669	
	12 Total. Add lines 1 through 11 . . . . .	2,295,609	2,650,492	5,064,787	
	13 Compensation of officers, directors, trustees, etc	469,650	258,058	258,058	211,592
	14 Other employee salaries and wages . . . . .	2,598,116	81,418	81,418	2,516,698
	15 Pension plans, employee benefits . . . . .	926,477	50,181	50,181	876,296
	16a Legal fees (attach schedule) . . . . .	78,988	48,098	48,098	30,890
	b Accounting fees (attach schedule) . . . . .	27,500	23,031	23,031	4,469
	c Other professional fees (attach schedule) . . . . .	439,869	421,258	421,258	18,611
	17 Interest . . . . .				
	18 Taxes (attach schedule) (see page 14 of the instructions)	120,811	85,811	85,811	
	19 Depreciation (attach schedule) and depletion . . . .	823,645	21,113	21,113	
	20 Occupancy . . . . .	642,280	38,697	38,697	603,583
	21 Travel, conferences, and meetings . . . . .	30,784	8,238	8,238	22,546
	22 Printing and publications . . . . .	4,887			4,887
	23 Other expenses (attach schedule) . . . . .	1,485,434	48,937	933,060	552,374
	24 Total operating and administrative expenses. Add lines 13 through 23 . . . . .	7,648,441	1,084,840	1,968,963	4,841,946
	25 Contributions, gifts, grants paid . . . . .	5,000			5,000
	26 Total expenses and disbursements. Add lines 24 and 25	7,653,441	1,084,840	1,968,963	4,846,946
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-5,357,832			
	b Net investment income (if negative, enter -0-)		1,565,652		
	c Adjusted net income (if negative, enter -0-)			3,095,824	

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 . . . . .	7,575	7,575	7,575
	2	Savings and temporary cash investments . . . . .	3,122,736	3,948,032	3,948,032
	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 15 of the instructions) . . . . .			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use . . . . .	194,062	160,453	160,453
	9	Prepaid expenses and deferred charges . . . . .			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule) . . . . .			
	c	Investments—corporate bonds (attach schedule). . . . .			
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans . . . . .			
	13	Investments—other (attach schedule) . . . . .	79,193,172	73,913,536	77,751,196
	14	Land, buildings, and equipment basis ▶ 21,969,586 Less accumulated depreciation (attach schedule) ▶ 14,210,450	8,524,551	7,759,136	7,759,137
15	Other assets (describe ▶ _____)	232,166	127,140	2,831,572	
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	91,274,262	85,915,872	92,457,965	
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 ▶ _____)	1,378	820	
	23	Total liabilities (add lines 17 through 22) . . . . .	1,378	820	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> 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 ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds . . . . .			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	91,272,884	85,915,052	
	30	Total net assets or fund balances (see page 17 of the instructions) . . . . .	91,272,884	85,915,052	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions) . . . . .	91,274,262	85,915,872	

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 91,272,884
2	Enter amount from Part I, line 27a . . . . .	2 -5,357,832
3	Other increases not included in line 2 (itemize) ▶ _____	3
4	Add lines 1, 2, and 3 . . . . .	4 85,915,052
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 85,915,052

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 Additional Data Table			
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 See Additional Data Table			
b			
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a See Additional Data Table			
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	-2,448,962
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	214,813

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	5,300,346	86,359,130	0 06138
2007	4,684,710	97,378,157	0 04811
2006	6,951,248	89,239,994	0 07789
2005	5,005,042	83,834,805	0 05970
2004	4,312,959	78,244,447	0 05512

2	Total of line 1, column (d). . . . .	2	0 30220
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 06044
4	Enter the net value of noncharitable-use assets for 2009 from Part X, line 5. . . . .	4	75,723,125
5	Multiply line 4 by line 3. . . . .	5	4,576,706
6	Enter 1% of net investment income (1% of Part I, line 27b). . . . .	6	15,657
7	Add lines 5 and 6. . . . .	7	4,592,363
8	Enter qualifying distributions from Part XII, line 4. . . . .	8	4,907,374

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 VIExcise 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 <input type="checkbox"/> and enter "N/A" on line 1			
		Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)			
b		Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b . . . . .		1	15,657
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	15,657
4		Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5		Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0- . . . . .		5	15,657
6		Credits/Payments			
a		2009 estimated tax payments and 2008 overpayment credited to 2009	6a	81,151	
b		Exempt foreign organizations—tax withheld at source . . . . .	6b		
c		Tax paid with application for extension of time to file (Form 8868)	6c		
d		Backup withholding erroneously withheld . . . . .	6d		
7		Total credits and payments Add lines 6a through 6d. . . . .		7	81,151
8		Enter any penalty for underpayment of estimated tax Check here <input checked="" type="checkbox"/> if Form 2220 is attached		8	
9		Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed . . . . .		9	
10		Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid. . . . .		10	65,494
11		Enter the amount of line 10 to be Credited to 2010 estimated tax	65,494	Refunded	11

Part VII-AStatements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? . . . . .		Yes	No
		1a		No
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)? . . . . .			No
	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		No
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? . . . . .	2		No
	If "Yes," attach a detailed description of the activities.			
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes . . . . .	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year? . . . . .	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year? . . . . .	4b		No
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? . . . . .	5		No
	If "Yes," attach the statement required by General Instruction T.			
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either			
	• By language in the governing instrument, or			
	• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? . . . . .	6	Yes	
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	Yes	
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	Yes	
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	Yes	
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		No

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		No		
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		No		
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ <u>www.caldwellzoo.org</u>	13	Yes			
14	The books are in care of ▶ <u>OUIJAN VINSON</u> Telephone no ▶ <u>(903) 592-8191</u> Located at ▶ <u>PO BOX 4280 TYLER TX</u> ZIP+4 ▶ <u>75712</u>					
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> —Check here . . . . . ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year . . . . . ▶ <table><tr><td>15</td><td></td></tr></table>	15				
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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? ( <b>Exception.</b> Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ). . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did <b>any</b> of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?. . . Organizations relying on a current notice regarding disaster assistance check here. . . . . ▶ <input type="checkbox"/>	1b		No
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		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement—see page 20 of the instructions ). . . . .	2b		No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? ( <i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.</i> ). . . . .	3b		No
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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		No

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)?

Organizations relying on a current notice regarding disaster assistance check here.

☒

5b

No

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?

☐ Yes

☒ No

If "Yes" to 6b, file Form 8870.

6b

No

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?

☐ Yes

☒ No

7b

No

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
See Additional Data Table				

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
LG KUNZE PO BOX 4785 TYLER,TX 75712	EDUC CURATOR 40 00	60,644	7,172	
RD BOGGS PO BOX 4785 TYLER,TX 75712	GARAGE MGR 40 00	61,553	8,898	
TG CARTER PO BOX 4785 TYLER,TX 75712	BLDG MAINT SUPV 40 00	66,375	10,835	
MD TUCKER PO BOX 4785 TYLER,TX 75712	DIR VISITOR SVC 40 00	66,969	8,770	
LS MADDOX PO BOX 4785 TYLER,TX 75712	ASST DIRECTOR 40 00	92,019	11,812	
Total number of other employees paid over \$50,000.				5

Form 990-PF (2009)

Part VIII

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

3 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
GLENWOOD ANIMAL HOSPITAL	VETERINARY	142,092
221 N GLENWOOD TYLER,TX 75702		
GRANTHAM MAYO VANOTTERLOO & CO	INVESTMENT MGMT	54,987
40 ROWES WHARF BOSTON,MA 02110		
THOMPSON & KNIGHT	LEGAL	78,676
PO BOX 4346 HOUSTON,TX 772104346		
TRADEWINDS NWQ GLOBAL INVESTORS LLC	INVESTMENT MGMT	90,360
2049 CENTURY PARK EAST 16TH FLOOR LAS ANGELES,CA 90067		
TWEEDY BROWNE CO LLC	INVESTMENT MGMT	184,273
350 PARK AVE 9TH FLOOR NEW YORK,NY 10022		
Total number of others receiving over \$ 50,000 for professional services. . . . .		

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 THE CALDWELL FOUNDATION WAS FORMED TO SUPPORT CHARITABLE AND EDUCATIONAL PROGRAMS THROUGH MAINTAINING AND OPERATING THE CALDWELL ZOO AND OTHER EDUCATIONAL EXHIBITS	4,902,374
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	
2	
All other program-related investments. See page 24 of the instructions.	
3	
Total. Add lines 1 through 3. . . . .	



Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities. . . . .	1a	68,512,499
b	Average of monthly cash balances. . . . .	1b	3,777,546
c	Fair market value of all other assets (see page 24 of the instructions). . . . .	1c	4,586,224
d	Total (add lines 1a, b, and c). . . . .	1d	76,876,269
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	1e	0
2	Acquisition indebtedness applicable to line 1 assets. . . . .	2	
3	Subtract line 2 from line 1d. . . . .	3	76,876,269
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions). . . . .	4	1,153,144
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	75,723,125
6	Minimum investment return. Enter 5% of line 5. . . . .	6	3,786,156

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	
2a	Tax on investment income for 2009 from Part VI, line 5. . . . .	2a	
b	Income tax for 2009 (This does not include the tax from Part VI ). . . . .	2b	
c	Add lines 2a and 2b. . . . .	2c	
3	Distributable amount before adjustments Subtract line 2c from line 1. . . . .	3	
4	Recoveries of amounts treated as qualifying distributions. . . . .	4	
5	Add lines 3 and 4. . . . .	5	
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, line 1. . . . .	7	

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	4,846,946
b	Program-related investments—total from Part IX-B. . . . .	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. . . . .	2	60,428
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required). . . . .	3a	
b	Cash distribution test (attach the required schedule). . . . .	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	4,907,374
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	15,657
6	Adjusted qualifying distributions. Subtract line 5 from line 4. . . . .	6	4,891,717
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			
2	Undistributed income, if any, as of the end of 2008			
a	Enter amount for 2008 only. . . . .			
b	Total for prior years 20____, 20____, 20____			
3	Excess distributions carryover, if any, to 2009			
a	From 2004. . . . .			
b	From 2005. . . . .			
c	From 2006. . . . .			
d	From 2007. . . . .			
e	From 2008. . . . .			
f	Total of lines 3a through e. . . . .			
4	Qualifying distributions for 2009 from Part XII, line 4 ➤ \$ _____			
a	Applied to 2008, but not more than line 2a			
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. . . . .			
e	Remaining amount distributed out of corpus			
5	Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a).)			
6	Enter the net total of each column as indicated below:			
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5			
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 . . . . .			
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 . . . . .			
10	Analysis of line 9			
a	Excess from 2005. . . . .			
b	Excess from 2006. . . . .			
c	Excess from 2007. . . . .			
d	Excess from 2008. . . . .			
e	Excess from 2009. . . . .			

Part XIVPrivate Operating Foundations (see page 27 of the instructions and Part VII-A, question 9)

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.

1998-07-01

b

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

☒ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed.	Tax year	Prior 3 years			(e) Total
		(a) 2009	(b) 2008	(c) 2007	(d) 2006	
		3,095,824	4,317,957	4,493,785	4,315,522	16,223,088
b	85% of line 2a	2,631,450	3,670,263	3,819,717	3,668,194	13,789,624
c	Qualifying distributions from Part XII, line 4 for each year listed.	4,907,374	5,300,346	4,684,710	7,052,584	21,945,014
d	Amounts included in line 2c not used directly for active conduct of exempt activities.	5,000	32,000	94,548	1,986,522	2,118,070
e	Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c.	4,902,374	5,268,346	4,590,162	5,066,062	19,826,944
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.	2,524,104	2,878,638	3,245,939	2,974,667	11,623,348
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 XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see page 27 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) )

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

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

b

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

c

Any submission deadlines

d

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

**Part XV** **Supplementary Information** (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i> NATIONAL ELEPHANT CENTER 5555 W ZOO BLVD WICHITA, KS 67212	UNRELATED	PUBLIC	CONSERVATION	5,000
<b>Total</b> . . . . .			<b>3a</b>	5,000
<b>b</b> <i>Approved for future payment</i>				
<b>Total</b> . . . . .			<b>3b</b>	

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		
<b>1</b> Program service revenue						
<b>a</b> <u>ADMISSION INCOME</u>						1,393,085
<b>b</b> _____						
<b>c</b> _____						
<b>d</b> _____						
<b>e</b> _____						
<b>f</b> _____						
<b>g</b> Fees and contracts from government agencies						
<b>2</b> Membership dues and assessments. . . . .						
<b>3</b> Interest on savings and temporary cash investments			14	4,725		
<b>4</b> Dividends and interest from securities. . . . .			14	1,690,079		
<b>5</b> Net rental income or (loss) from real estate						
<b>a</b> Debt-financed property. . . . .						
<b>b</b> Not debt-financed property. . . . .						
<b>6</b> Net rental income or (loss) from personal property						
<b>7</b> Other investment income. . . . .			15	955,688		
<b>8</b> Gain or (loss) from sales of assets other than inventory			18	-2,448,962		-107,223
<b>9</b> Net income or (loss) from special events						
<b>10</b> Gross profit or (loss) from sales of inventory. . . . .			3	612,501		
<b>11</b> Other revenue <b>a</b> <u>OTHER MISC INCOME</u>						75,196
<b>b</b> <u>FISH FEEDER INCOME</u>						19,330
<b>c</b> <u>AVIARY SEED STICK INCOME</u>						63,840
<b>d</b> <u>ANIMAL SALES</u>						35,530
<b>e</b> _____						
<b>12</b> Subtotal Add columns (b), (d), and (e). . . . .				814,031		1,479,758
<b>13 Total.</b> Add line 12, columns (b), (d), and (e). . . . .						2,293,789

[illegible]

<b>1</b> 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?		<b>Yes</b>	<b>No</b>
<b>a</b> Transfers from the reporting foundation to a noncharitable exempt organization of			
<b>(1)</b> Cash. . . . .	<b>1a(1)</b>		<b>No</b>
<b>(2)</b> Other assets. . . . .	<b>1a(2)</b>		<b>No</b>
<b>b</b> Other transactions			
<b>(1)</b> Sales of assets to a noncharitable exempt organization. . . . .	<b>1b(1)</b>		<b>No</b>
<b>(2)</b> Purchases of assets from a noncharitable exempt organization. . . . .	<b>1b(2)</b>		<b>No</b>
<b>(3)</b> Rental of facilities, equipment, or other assets. . . . .	<b>1b(3)</b>		<b>No</b>
<b>(4)</b> Reimbursement arrangements. . . . .	<b>1b(4)</b>		<b>No</b>
<b>(5)</b> Loans or loan guarantees. . . . .	<b>1b(5)</b>		<b>No</b>
<b>(6)</b> Performance of services or membership or fundraising solicitations. . . . .	<b>1b(6)</b>		<b>No</b>
<b>c</b> Sharing of facilities, equipment, mailing lists, other assets, or paid employees. . . . .	<b>1c</b>		<b>No</b>
<b>d</b> If the answer to any of the above is "Yes," complete the following schedule. Column <b>(b)</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 <b>(d)</b> the value of the goods, other assets, or services received			

[illegible]

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

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

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				
*****			2012-05-14	*****
Signature of officer or trustee			Date	Title

Additional Data

Software ID: 09000047  
Software Version:  
EIN: 75-6004080  
Name: THE CALDWELL FOUNDATION

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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 )
OTHER CURRENCY GAINS/LOSSES	P	2009-01-01	2009-12-31
LT FOREIGN CURRENCY CONTRACTS-SEE SCHED	P	2008-01-01	2009-12-31
ST FOREIGN CURRENCY CONTRACTS-SEE SCHED	P	2009-01-01	2009-12-31
LONG TERM SALES-SEE SCHEDULE	P	2008-01-01	2009-12-31
SHORT TERM SALES-SEE SCHEDULE	P	2009-01-01	2009-12-31
DFA-ALLOCATED SHORT TERM GAINS	P	2009-01-01	2009-12-31
DFA-ALLOCATED LONG TERM GAINS	P	2007-01-01	2009-12-31
GMO-ALLOCATED LONG TERM GAINS	P	2007-01-01	2009-12-31

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
13,228			13,228
6,640,000		6,186,467	453,533
11,347,130		11,293,362	53,768
10,386,204		13,537,509	-3,151,305
4,299,411		4,158,103	141,308
6,509			6,509
19,951			19,951
14,046			14,046



Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			13,228
			453,533
			53,768
			-3,151,305
			141,308
			6,509
			19,951
			14,046

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ANNE H MORGAN PHD 4701 FOUNTAINGATE DR NORMAN,OK 73072	BOARD MEMBER 3 00	15,000		
PEYTON M LAKE PO BOX 179 TYLER,TX 75710				
HS MCARTHUR PO BOX 4280 TYLER,TX 75712	EXEC V-PRES 40 00	100,000	8,732	
EH CALDWELL PO BOX 4785 TYLER,TX 75712				
MS MCARTHUR PO BOX 4280 TYLER,TX 75712	Chairman 40 00	198,500	11,857	

**TY 2009 Accounting Fees Schedule****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING/AUDITING FEES	27,500	23,031	23,031	4,469

**TY 2009 Contractor Compensation Explanation****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Contractor	Explanation
TWEEDY BROWNE CO LLC	
TRADEWINDS NWQ GLOBAL INVESTORS LLC	
THOMPSON & KNIGHT	
GRANTHAM MAYO VANOTTERLOO & CO	
GLENWOOD ANIMAL HOSPITAL	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2009 Depreciation Schedule

Name: THE CALDWELL FOUNDATION  
EIN: 75-6004080  
Software ID: 09000047  
Software Version: 2009v1.7

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
PRAIRIE CHICKEN EXHIBIT	2009-04-16	2,540		91	10 0000	169			
TEXAS REPTILE ROOF	2009-03-06	21,725		91	10 0000	1,629			
SQL UPGRADE	2009-09-03	6,917		91	3 0000	576			
CONC #3 A/C REPLACEMENT	2009-04-09	9,415		91	5 0000	1,255			
CONC #3 POS	2009-03-19	4,405		91	3 0000	1,101			
ANIMAL HOLDING/QUARANTINE	2008-12-31	187,821		91	31 5000	6,261			
WATERFOWL BREEDING LINE	2008-05-01	11,232	655	91	10 0000	1,123			
HI TEMP DISHWASHER (COMM)	2008-07-31	6,228	371	91	7 0000	890			
LARGE ANIMAL SCALES	2008-05-08	4,130	482	91	5 0000	826			
EGG INCUBATOR	2008-05-22	2,655	310	91	5 0000	531			
GATE OPENERS-SVC ENTRANCE	2008-03-27	9,200	986	91	7 0000	1,314			
JD GATOR - GROUNDS	2008-03-27	8,350	1,253	91	5 0000	1,670			
FORD TRK-PURCH VIN 7639	2007-07-31	16,391	4,644	91	5 0000	3,278			
FORD TRK-SECURITY VIN5642	2007-07-31	16,134	4,572	91	5 0000	3,227			
CONC FREEZER	2007-12-01	5,105	729	91	7 0000	729			
JD 4X2 GATOR - MAMMALS	2007-06-28	8,320	2,496	91	5 0000	1,664			
X-RAY FILM PROCESSOR	2007-06-21	5,251	1,575	91	5 0000	1,050			
N AMER REPTILE A/C	2007-04-26	3,447	1,149	91	5 0000	689			
TICKET/MEMBERSHIP SCANNER	2007-02-14	6,613	4,041	91	3 0000	2,204			
SERVER - VIS SVCS	2007-01-18	8,490	5,424	91	3 0000	2,830			
GREENHOUSE	2006-08-01	49,827	11,627	91	10 0000	4,983			
MAIN ENTRY/PLAZA UPGRADE	2006-06-01	370,617	92,655	91	10 0000	37,062			
EDUCATION HUTS PROJECT	2006-05-01	37,651	9,726	91	10 0000	3,765			
CONCESSION MENU BOARD	2006-12-07	2,971	1,188	91	7 0000	594			
CARDELL MONITOR 9405-VET	2006-06-23	4,855	2,428	91	5 0000	971			
OZONE SYSTEM-PENGUIN EXHB	2006-04-01	14,795	5,619	91	7 0000	2,113			
VIEWING BINOCULARS	2006-03-09	3,906	1,534	91	7 0000	558			
EXMARK LZR Z RIDING MOWER	2006-02-28	8,025	4,548	91	5 0000	1,605			
SECURITY CAMERAS	2006-02-28	3,679	2,085	91	5 0000	736			
PORTABLE POS-COMPUTER	2006-02-28	7,096	6,702	91	3 0000	394			
WATER LEVEL CONTROL SYSTEM	2005-11-30	8,009	3,527	91	7 0000	1,144			
JD GATOR W/CAB-BLDG MAINT	2005-10-31	8,556	5,418	91	5 0000	1,711			
JD 4X2 GATOR-GARAGE	2005-05-01	8,240	6,043	91	5 0000	1,648			
ZOO ADMIN COPIER	2005-03-31	7,950	5,963	91	5 0000	1,590			
MOWER-84" ROTARY CUTTER	2005-03-01	3,333	2,501	91	5 0000	667			
TABLE/CHAIRS-PARTY ROOM	2005-03-01	3,920	2,940	91	5 0000	784			
REPTILE HEATER	2005-03-01	3,341	1,789	91	7 0000	477			
UPPER BOX CULVERT	2005-08-01	298,442	101,967	91	10 0000	29,844			
AVIARY-WILDBIRD WALKABOUT	2005-07-31	15,179	5,186	91	10 0000	1,518			
HEATER	2006-01-01	7,925	3,396	91	7 0000	1,132			
DELL SERVER	2005-06-01	7,437	6,662	91	4 0000	775			
TRACTOR - SECURITY CART	2004-06-01	8,289	7,599	91	5 0000	691			
COPIER -VIS SVCS	2004-02-28	7,912	7,647	91	5 0000	264			
COLOR - PRINTER	2004-02-28	2,745	2,653	91	5 0000	92			
COPIER	2004-02-28	10,780	10,421	91	5 0000	359			
CHILDREN'S ZOO	2003-10-31	15,097	7,801	91	10 0000	1,510			
BUS PARKING TICKET BOOTH	2003-10-31	17,778	9,186	91	10 0000	1,778			
GIFT SHOP #2	2003-10-31	180,000	31,000	91	30 0000	6,000			
LEMUR EXHBT-FILTRATN SYS	2003-10-31	135,104	99,722	91	7 0000	19,301			
LEMUR EXHBT-FLAMINGO BLD	2003-10-31	46,000	23,767	91	10 0000	4,600			
LEMUR EXHBT-LEMUR BLDG	2003-10-31	51,000	26,350	91	10 0000	5,100			
LEMUR EXHIBIT - PUMPHOUSE	2003-10-31	45,000	23,250	91	10 0000	4,500			
MAIN ENTRY-DESGN/ARCH/ENG	2003-10-31	224,162	115,809	91	10 0000	22,416			
MAIN ENTRY - SITE WORK	2003-10-31	1,516,515	783,534	91	10 0000	151,652			
MAIN ENTRY - GATE/PANELS	2003-10-31	15,835	8,182	91	10 0000	1,583			
MAIN ENTRY - VISITOR SVCS	2003-10-31	216,000	37,200	91	30 0000	7,200			
MAIN ENTRY - RESTROOM	2003-10-31	110,000	18,945	91	30 0000	3,667			
WASH STATION - TRASH	2003-09-01	4,927	2,628	91	10 0000	493			
BUS PARKING HANDICAP	2003-08-15	3,500	1,896	91	10 0000	350			
BUS PARKING FENCING	2003-06-15	4,818	1,792	91	15 0000	321			
BUS PARKING SIDEWALKS	2003-04-24	5,281	2,992	91	10 0000	528			
BOX CULVERT	2003-03-01	255,030	148,767	91	10 0000	25,503			
GREENHOUSE	2002-08-01	39,860	25,246	91	10 0000	3,986			
ZONE A - ANIMAL HEALTH	2002-06-01	664,832	144,045	91	30 0000	22,161			
ZONE A - IRRIGATION	2002-06-01	3,260	3,029	91	7 0000	233			
ZONE D - FENCING	2002-06-01	21,284	9,223	91	15 0000	1,419			
ZONE D - LANDSCAPE	2002-06-01	30,210	28,055	91	7 0000	2,158			
ZONE D - LOWER PARKING	2002-06-01	686,628	446,309	91	10 0000	68,663			
HORTICULTURE BLDG	2002-04-01	325,356	72,301	91	30 0000	10,845			
MAMMAL HOLDING	2002-04-01	201,184	44,707	91	30 0000	6,706			
FLAMINGO HOLDING	2002-04-01	322,837	71,741	91	30 0000	10,761			
PRAIRIE CHICKEN EXHIBIT	2002-03-01	15,341	10,355	91	10 0000	1,534			
TRACTOR	2001-05-17	21,100	16,001	91	10 0000	2,110			
BACKHOE	2001-01-10	46,098	36,495	91	10 0000	4,610			
WALL OF REPTILE EXHIBIT	2001-10-01	2,960	2,146	91	10 0000	296			
RESTROOM - ZONE C	2001-10-01	321,865	77,784	91	30 0000	10,729			
FENCING - ZONE C	2001-10-01	20,193	9,759	91	15 0000	1,346			
PARKING LOT-ZONE C	2001-10-01	174,033	126,174	91	10 0000	17,403			
DUMP TRUCK	2000-09-07	35,431	29,230	91	10 0000	3,543			
PERIMETER FENCE	2000-10-31	2,822	1,583	91	15 0000	188			
ZOO ADMIN BLDG	2000-01-31	27,515	24,535	91	10 0000	2,751			
GENERAL BLDG & IMPROVEMEN	1997-07-01	11,500	4,198	91	31 5000	365			
3025 W GENTRY	1994-07-01	19,138	10,063	85	3 64 %	696			
3043 W GENTRY	1993-07-31	58,479	34,991	85	3 64 %	2,126			
3037 W GENTRY	1993-07-31	59,309	35,480	85	3 64 %	2,156			
PURCHASING BLDG	1990-02-01	653,633	448,587	85	3 64 %	23,766			
ADM OFFICE BLDG	1989-05-01	651,170	385,072	87	3 18 %	22,487			
PERIMETER FENCE	1997-05-27	50,162	48,251	91	13 0000	1,911			
PARKING LOT	1996-12-16	302,913	291,400	91	13 0000	11,513			
PARKING LOT	1995-10-31	41,008	39,610	91	14 4300	1,398			
MAINTENANCE GARAGE	1994-07-01	369,334	136,934	91	39 0000	9,470			
PERIMETER FENCE	1993-04-30	33,796	15,989	91	31 5000	1,073			
MAINTENANCE BLDG	1992-10-31	247,322	120,161	91	31 5000	7,852			
ELEPHANT CRUSH	1991-05-24	29,343	26,155	91	22 4000	1,594			
AFRICAN THEME PHASE II	1992-07-01	3,134,180	1,522,816	91	31 5000	99,510			
AFRICAN THEME AREA	1989-09-11	136,277	133,388	91	22 4000	2,892			
AFRICAN THEME PHASE I	1988-07-01	2,545,023	2,466,628	91	22 4000	78,395			
NATIVE TX EXHIBIT	1988-07-01	5,556	5,552	91	22 4000	4			

## TY 2009 Employee Compensation Explanation

**Name:** THE CALDWELL FOUNDATION

**EIN:** 75-6004080

**Software ID:** 09000047

**Software Version:** 2009v1.7

Employee	Explanation
LG KUNZE	
RD BOGGS	
TG CARTER	
MD TUCKER	
LS MADDOX	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2009 Gain/Loss from Sale of Other Assets Schedule

Name: THE CALDWELL FOUNDATION

EIN: 75-6004080

Software ID: 09000047

Software Version: 2009v1.7

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
CHILDREN'S GARDEN	2009-12	Purchase				107,140	Cost		-107,140	1
AFRICAN THEME PHASE 1	1988-07	Purchase	2009-12			5,236	Cost		-83	5,153
RHINO/CHEETAH/CAPE HUNTNG	1988-09	Purchase	2009-12			7,568	Cost			7,568
REPTILE HOUSE & AQUARIUM	1984-06	Purchase	2009-12			10,612	Cost			10,612
COLOR - PRINTER	2004-02	Purchase	2009-12			2,745	Cost			2,745
LAZBOY HIGHBACK CHAIR	1990-06	Purchase	2009-12			500	Cost			500

**TY 2009 General Explanation Attachment****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Identifier	Return Reference	Explanation
		REASON FOR AMENDMENT THE 2009 990-PF IS BEING AMENDED TO MOVE \$884,123 OF EXPENSES FROM COLUMN D TO COLUMN C ON PAGE 1 TO COMPLY WITH THE SPECIAL RULE FOR PRIVATE OPERATING FOUNDATIONS THESE EXPENSES ARE RELATED TO CHARITABLE ACTIVITIES THAT GENERATED INCOME AND WERE ORIGINALLY REPORTED IN COLUMN D IN ERROR ALL RELATED SCHEDULES HAVE BEEN UPDATED PART V, PAGE 3 & PART XIV, PAGE 10 HAVE ALSO BEEN CORRECTED FOR THIS SAME ADJUSTMENT FOR PRIOR YEARS QUALIFYING DISTRIBUTIONS HAVE BEEN REDUCED AS FOLLOWS 2004 -795,8062005 -835,1622006 -875,3632007 -820,5722008 -798,159PART X, LINE 1C, PAGE 8 HAS BEEN REDUCED BY \$120,000 BECAUSE INVESTMENT LAND WITH FMV OF \$240,000 WAS CONVERTED TO EXEMPT CHARITABLE PURPOSES IN THE SUMMER OF 2009 ALL RELATED SCHEDULES HAVE BEEN UPDATED NONE OF THE ABOVE CHANGES HAVE AFFECTED THE 2009 EXCISE TAX DUE



## TY 2009 Land, Etc. Schedule

**Name:** THE CALDWELL FOUNDATION

**EIN:** 75-6004080

**Software ID:** 09000047

**Software Version:** 2009v1.7

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
Land	1,749,949		1,749,949	1,749,949
Buildings	19,255,805	13,364,547	5,891,258	5,891,258
Furniture and Fixtures	875,890	777,421	98,469	98,469
Auto./Transportation Equip.	87,942	68,482	19,460	19,461

## TY 2009 Legal Fees Schedule

**Name:** THE CALDWELL FOUNDATION

**EIN:** 75-6004080

**Software ID:** 09000047

**Software Version:** 2009v1.7

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL FEES	78,988	48,098	48,098	30,890

**TY 2009 Other Assets Schedule****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
Net Intangible Assets	20,000	20,000	2,724,432
CONSTRUCTION IN PROGRESS	212,166	107,140	107,140

**TY 2009 Other Expenses Schedule****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
X-EXPENSES ALLOC TO CHARITABLE INCOME			884,123	-884,123
VEHICLE EXPENSE	46,218			46,218
SUPPLIES	133,648	9,072	9,072	124,576
PUBLIC RELATIONS	89			89
OTHER EXPENSES	150,845	8,455	8,455	142,390
OTHER EMPLOYEE EXPENSES	75,799	14,386	14,386	61,413
MAINTENANCE & REPAIR	257,323	9,422	9,422	247,901
CONTRACT LABOR	354,769			354,769
COMMUNICATIONS	45,439	7,602	7,602	37,837
ANIMAL EXPENSE	421,304			421,304

**TY 2009 Other Income Schedule****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
OTHER MISC INCOME	75,196		75,196
Other Investment Income	955,688	955,688	955,688
FISH FEEDER INCOME	19,330		19,330
AVIARY SEED STICK INCOME	63,840		63,840
ANIMAL SALES	35,530		35,530
ADMISSION INCOME	1,393,085		1,393,085

**TY 2009 Other Liabilities Schedule****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Description	Beginning of Year - Book Value	End of Year - Book Value
Rounding	1	
SALES TAX PAYABLE	1,377	820

**TY 2009 Other Professional Fees Schedule****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MGMT FEES	389,943	389,943	389,943	0
CONSULTING FEES	49,926	31,315	31,315	18,611

**TY 2009 Sales Of Inventory Schedule****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Category	Gross Sales	Cost of Goods Sold	Net (Gross Sales Minus Cost of Goods Sold)
GIFT SHOP SALES	987,280	374,779	612,501



**TY 2009 Taxes Schedule****Name:** THE CALDWELL FOUNDATION**EIN:** 75-6004080**Software ID:** 09000047**Software Version:** 2009v1.7

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE TAX	35,000			
AD VALOREM TAXES	85,811	85,811	85,811	

THE CALDWELL FOUNDATION  
75-6004080  
SCHEDULE OF GAINS /LOSSES  
2009

Name	Quantity	Date Acquired	Date Sold	Proceeds	Total Cost	Realized
MASTERCARD INC CL A	150	04/24/09	06/05/09	25,115	25,391	(276)
STATE STREET CORP	450	11/04/08	01/21/09	7,278	20,673	(13,395)
STATE STREET CORP	950	10/14/08	01/21/09	15,365	53,486	(38,121)
STATE STREET CORP	600	10/13/08	01/21/09	9,704	26,799	(17,095)
RESEARCH IN MOTION LTD COM	400	04/02/09	08/13/09	28,748	22,247	6,501
DOLBY LABORATORIES INC CL A	250	06/25/09	11/09/09	10,649	9,194	1,455
AMAZON COM INC COM	450	09/18/08	02/02/09	26,737	33,624	(6,887)
INVESCO LTD SHS	1,300	10/14/08	03/03/09	13,004	23,032	(10,028)
NOVO NORDISK A S ADR	700	09/08/08	02/05/09	36,448	37,280	(832)
EXPEDITORS INTL WASH INC COM	650	04/30/09	09/28/09	22,901	22,680	221
EXPEDITORS INTL WASH INC COM	600	04/02/09	09/02/09	19,202	18,001	1,201
EXPEDITORS INTL WASH INC COM	700	04/22/09	09/28/09	24,662	24,109	553
STATE STREET CORP	200	05/19/09	11/09/09	8,650	8,630	19
EXPEDITORS INTL WASH INC COM	650	04/06/09	09/28/09	22,901	19,721	3,179
EXPEDITORS INTL WASH INC COM	225	04/02/09	09/28/09	7,927	6,750	1,177
COGNIZANT TECH SOLUTIONS CL A	425	05/05/09	11/09/09	18,742	11,534	7,208
RESEARCH IN MOTION LTD COM	250	02/02/09	08/13/09	17,968	14,193	3,774
INTUITIVE SURGICAL INC	25	10/14/08	05/15/09	3,775	5,612	(1,837)
AMAZON COM INC COM	125	09/19/08	04/22/09	10,146	10,209	(63)
AMAZON COM INC COM	175	09/18/08	04/22/09	14,204	13,076	1,128
AMAZON COM INC COM	150	09/19/08	04/23/09	11,993	12,251	(258)
HOLOGIC INC COM	1,630	05/27/08	01/08/09	18,764	38,455	(19,690)
HOLOGIC INC COM	1,170	05/27/08	01/09/09	12,496	27,602	(15,107)
INTUITIVE SURGICAL INC	175	09/30/08	05/15/09	26,427	42,007	(15,580)
HOLOGIC INC COM	600	05/22/08	01/08/09	6,907	13,768	(6,861)
MASTERCARD INC CL A	250	10/14/08	06/05/09	41,859	44,448	(2,589)
MASTERCARD INC CL A	175	10/13/08	06/05/09	29,301	28,000	1,301
RESEARCH IN MOTION LTD COM	25	10/14/08	06/18/09	1,922	1,677	245
AUTOMATIC DATA PROCESSING INC	150	05/27/08	02/02/09	5,415	6,321	(906)
AUTOMATIC DATA PROCESSING INC	1,750	05/22/08	02/02/09	63,180	74,666	(11,486)
ALLERGAN INC COM	500	10/03/08	06/17/09	22,282	24,194	(1,913)
RESEARCH IN MOTION LTD COM	400	09/19/08	06/18/09	30,757	41,602	(10,846)
RESEARCH IN MOTION LTD COM	475	09/18/08	06/18/09	36,524	43,678	(7,154)
AMAZON COM INC COM	350	10/14/08	07/17/09	30,015	21,638	8,377
INVESCO LTD SHS	1,160	05/28/08	03/02/09	12,360	31,385	(19,024)
INVESCO LTD SHS	790	05/28/08	03/03/09	7,902	21,374	(13,472)
INVESCO LTD SHS	1,975	05/22/08	03/02/09	21,044	53,671	(32,627)
INTUITIVE SURGICAL INC	75	10/14/08	08/05/09	17,577	16,837	740
APPLE INC	100	01/15/09	11/09/09	20,044	8,135	11,909
AMAZON COM INC COM	250	09/19/08	07/17/09	21,439	20,418	1,021
RESEARCH IN MOTION LTD COM	325	10/14/08	08/13/09	23,358	21,807	1,551
ALLERGAN INC COM	150	06/02/08	04/06/09	7,176	8,531	(1,355)
INTUITIVE SURGICAL INC	25	10/29/08	09/11/09	6,047	4,289	1,758
ALLERGAN INC COM	1,150	05/22/08	04/06/09	55,016	62,390	(7,374)
PHARMACEUTICAL PROD DEV INC	1,200	12/18/08	11/02/09	25,732	32,998	(7,267)
INTUITIVE SURGICAL INC	125	10/21/08	09/11/09	30,235	23,336	6,899
VISA INC COM CL A	50	10/30/08	10/02/09	3,385	2,662	722
VISA INC COM CL A	750	10/14/08	10/02/09	50,772	44,417	6,354
AUTOMATIC DATA PROCESSING INC	1,660	05/27/08	05/19/09	59,520	69,955	(10,435)
COMCAST CORP CL A SPECIAL NEW	20	08/19/09	12/21/09	332	279	53
COMCAST CORP CL A SPECIAL NEW	529	08/19/09	12/21/09	8,778	7,377	1,401
AGILENT TECHNOLOGIES	782	12/19/08	08/27/09	19,891	12,885	7,005
AGILENT TECHNOLOGIES	1,523	12/12/08	08/27/09	38,739	26,277	12,462
AGILENT TECHNOLOGIES	1,201	12/11/08	08/27/09	30,549	21,718	8,831
UNITED STS STL CP (NEW)	1,222	09/18/08	06/29/09	45,568	109,937	(64,369)
AGILENT TECHNOLOGIES	945	12/19/08	09/30/09	26,345	15,571	10,774
AGILENT TECHNOLOGIES	875	12/19/08	10/06/09	23,914	14,418	9,496
AGILENT TECHNOLOGIES	745	12/19/08	10/08/09	20,526	12,276	8,250
AGILENT TECHNOLOGIES	485	12/19/08	10/12/09	13,356	7,992	5,365
AGILENT TECHNOLOGIES	817	12/19/08	10/14/09	22,508	13,462	9,046
AGILENT TECHNOLOGIES	343	12/19/08	10/19/09	9,411	5,652	3,759
AGILENT TECHNOLOGIES	742	12/19/08	10/21/09	20,108	12,226	7,881
ANGLOGOLD ASHANTI LIMITED	628	04/11/08	03/06/09	19,408	23,205	(3,798)
GOLDEN MINERALS CO	-	11/23/09	11/23/09	4	-	4
IAMGOLD CORPORATION	-	02/26/09	02/26/09	0	-	0

**THE CALDWELL FOUNDATION**  
**75-6004080**  
**SCHEDULE OF GAINS /LOSSES**  
**2009**

Name	Quantity	Date Acquired	Date Sold	Proceeds	Total Cost	Realized
TIM PARTICIPACOES S A	-	05/14/09	05/14/09	5	-	5
VIVO PARTICIP SA ADR PFD NEW	-	04/03/09	04/03/09	33	-	33
GOLDEN MINERALS CO	3	11/23/09	11/25/09	19	-	19
OREZONE GOLD CORP	1	04/15/09	04/21/09	0	0	(0)
PORTLAND GENERAL ELEC CO	788	02/18/09	03/06/09	12,201	13,749	(1,548)
PORTLAND GENERAL ELEC CO	1,143	02/17/09	03/06/09	17,698	20,200	(2,502)
FREEPORT MCMORAN CP&GLD	178	02/25/09	03/19/09	7,224	5,276	1,948
ADVANTEST CORP NEW	451	05/20/09	06/12/09	8,515	7,785	730
ADVANTEST CORP NEW	1,159	05/19/09	06/12/09	21,882	20,051	1,830
ALUMINA LTD	3,903	02/18/09	03/18/09	11,136	12,150	(1,013)
FREEPORT MCMORAN CP&GLD	574	02/25/09	03/26/09	24,648	17,014	7,634
GENL CABLE CORP 1 000 10-15-12	81,000	09/24/09	10/28/09	76,657	69,117	7,539
ALUMINA LTD	3,891	02/06/09	03/18/09	11,102	11,466	(364)
OREZONE GOLD CORP	13,895	02/27/09	04/08/09	3,363	5,558	(2,195)
SMITHFIELD FOODS INC (VA)	340	08/18/09	10/02/09	4,327	4,010	317
GOLDEN MINERALS CO	884	03/25/09	05/19/09	1,104	-	1,104
ANGLOGOLD ASHANTI LIMITED	1,091	07/10/09	09/04/09	46,410	37,249	9,161
ANGLOGOLD ASHANTI LIMITED	528	07/08/09	09/04/09	22,461	17,724	4,737
TESORO PETROLEUM CP	81	12/02/08	02/04/09	1,434	670	764
DELTA PETROLEUM CORP NEW	45	10/24/08	01/06/09	242	318	(76)
CDN PACIFIC RY LTD NEW	451	03/27/09	06/10/09	18,858	14,534	4,324
LTX CREDENCE CORP 3 1/2 5-15-11	-	05/27/09	08/11/09	200	-	200
SPRCR TY878 TND 000 12-15-10	36,000	09/17/09	12/02/09	36,000	35,595	405
OFFICE DEPOT	15,349	02/05/09	05/06/09	43,312	27,762	15,550
GAMMON GOLD INC	1,829	11/06/08	02/06/09	12,480	7,221	5,259
FREEPORT MCMORAN CP&GLD	649	02/25/09	06/01/09	37,654	19,237	18,417
KOREA ELECTRIC POWER CORP ADS	914	08/14/09	11/23/09	12,910	11,836	1,074
SHAW GROUP INCORPORATED	762	10/02/08	01/12/09	20,120	18,453	1,667
ALCOA INC	1,621	02/25/09	06/10/09	18,496	10,588	7,908
NABORS INDS INC 940 5-15-11	33,000	11/11/08	03/02/09	28,545	27,225	1,320
LIHIR GOLD LTD ADR	531	10/27/08	02/18/09	12,067	5,431	6,636
HEALTH NET INC A	665	03/31/09	07/28/09	9,273	9,633	(359)
LIHIR GOLD LTD ADR	860	10/27/08	02/23/09	19,910	8,797	11,113
FREEPORT MCMORAN CP&GLD	1,474	11/10/08	03/19/09	59,818	41,434	18,384
DELTA PETROLEUM CORP NEW	242	11/14/08	03/31/09	292	1,394	(1,102)
PNM RESOURCES INC (HLDG CO)	3,107	04/24/09	09/14/09	37,951	24,724	13,227
INTERPUBLIC GRP 4 1/4 3-15-23	47,000	01/05/09	06/05/09	42,418	31,490	10,928
INTERPUBLIC GRP 4 1/4 3-15-23	18,000	01/05/09	06/08/09	16,245	12,060	4,185
DELTA PETROLEUM CORP NEW	845	08/04/08	01/06/09	4,543	15,477	(10,935)
DELTA PETROLEUM CORP NEW	450	10/27/08	03/31/09	543	3,200	(2,657)
KINROSS GOLD CORP NEW	38	07/30/08	01/02/09	721	678	43
DELTA PETROLEUM CORP NEW	1,510	10/24/08	03/31/09	1,822	10,673	(8,851)
FREEPORT MCMORAN CP&GLD	999	02/25/09	08/03/09	64,586	29,611	34,975
KINROSS GOLD CORP NEW	367	07/23/08	01/02/09	6,967	7,596	(629)
OREZONE RESOURCES INC	24,844	09/11/08	02/26/09	2,037	17,383	(15,346)
OREZONE RESOURCES INC	15,900	09/11/08	02/26/09	25,131	11,125	14,005
TESORO PETROLEUM CP	1,405	08/04/08	01/21/09	21,415	20,913	502
MOSAIC COMPANY (THE)	434	10/02/08	03/26/09	20,682	18,763	1,919
SHAW GROUP INCORPORATED	457	10/02/08	03/26/09	13,669	11,067	2,602
PIONEER NATURAL RESOURCES CO	731	11/06/08	05/07/09	20,030	17,068	2,962
TESORO PETROLEUM CP	1,637	08/04/08	02/04/09	28,982	24,366	4,616
VIACOM INC NEW CLASS B	1,020	02/04/09	08/12/09	25,290	15,872	9,419
MATTSON TECH INC	2,995	07/01/08	01/08/09	3,936	14,632	(10,695)
WHOLE FOODS MARKETS INC	2,744	08/26/08	03/05/09	33,115	48,566	(15,450)
IAMGOLD CORPORATION	4,221	02/27/09	09/08/09	58,793	32,544	26,249
MATTSON TECH INC	3,659	07/01/08	01/12/09	4,827	17,876	(13,049)
IAMGOLD CORPORATION	1,271	02/27/09	09/15/09	19,160	9,799	9,361
KINROSS GOLD CORP NEW	227	08/01/08	02/23/09	4,207	4,065	143
KINROSS GOLD CORP NEW	1,420	07/30/08	02/23/09	26,320	25,350	970
TESORO PETROLEUM CP	1,152	06/27/08	01/21/09	17,559	21,721	(4,162)
LIHIR GOLD LTD ADR	253	07/24/08	02/18/09	5,750	6,824	(1,074)
WHOLE FOODS MARKETS INC	1,348	08/26/08	03/24/09	22,855	23,858	(1,003)
GAMMON GOLD INC	3,196	11/12/08	06/11/09	26,312	11,593	14,719
WHOLE FOODS MARKETS INC	1,308	08/06/08	03/05/09	15,785	24,881	(9,096)
CAMECO CORP	131	09/02/08	04/02/09	2,361	3,697	(1,336)

**THE CALDWELL FOUNDATION**  
**75-6004080**  
**SCHEDULE OF GAINS /LOSSES**  
**2009**

Name	Quantity	Date Acquired	Date Sold	Proceeds	Total Cost	Realized
NEWMONT MINING CORP (NEW)	4,666	07/24/08	02/25/09	190,332	228,579	(38,247)
GAMMON GOLD INC	160	11/06/08	06/11/09	1,317	632	686
HUMANA INC	955	07/01/08	02/04/09	40,433	38,105	2,328
ZIMMER HLDGS INC	486	01/27/09	09/04/09	23,848	20,210	3,639
IAMGOLD CORPORATION	3,401	02/27/09	10/06/09	49,374	26,222	23,152
ICICI BANK LTD	624	09/15/08	04/27/09	11,766	16,394	(4,628)
TESORO PETROLEUM CP	380	06/11/08	01/21/09	5,792	8,545	(2,753)
ICICI BANK LTD	1,541	09/29/08	05/18/09	45,242	33,373	11,869
ARCH COAL INC	1,077	02/25/09	10/21/09	26,821	15,388	11,433
VIACOM INC NEW CLASS B	378	10/07/08	06/03/09	8,565	8,736	(170)
CAMECO CORP	663	09/02/08	04/30/09	15,036	18,712	(3,677)
VIACOM INC NEW CLASS B	622	10/06/08	06/03/09	14,094	14,080	15
CONSOLIDATED ENERGY INC	472	10/02/08	06/02/09	19,911	18,158	1,752
ICICI BANK LTD	489	09/15/08	05/18/09	14,356	12,847	1,510
CAMECO CORP	889	07/29/08	04/02/09	16,024	31,688	(15,664)
A G C O CORP	3	10/02/08	06/09/09	88	108	(21)
VIVO PARTICIP SA ADR PFD NEW	1,624	09/12/08	05/20/09	31,721	30,501	1,220
A G C O CORP	281	10/02/08	06/10/09	8,398	10,152	(1,755)
ESCROW APEX SILVR 2 7/8 3-15-24	86,000	03/25/09	12/03/09	15	-	15
WHOLE FOODS MARKETS INC	336	11/06/08	07/23/09	8,066	3,511	4,554
VIACOM INC NEW CLASS B	220	11/10/08	07/28/09	5,267	4,066	1,201
TATA MOTORS LTD	2,393	07/31/08	04/24/09	18,042	22,282	(4,240)
WHOLE FOODS MARKETS INC	408	11/11/08	08/05/09	11,818	3,891	7,927
WHOLE FOODS MARKETS INC	1,111	11/11/08	08/06/09	31,044	10,594	20,449
DOMTAR CORPORATION NEW	390	12/16/08	09/14/09	14,191	8,265	5,926
WHOLE FOODS MARKETS INC	1,089	11/06/08	08/05/09	31,543	11,380	20,163
VIACOM INC NEW CLASS B	854	11/10/08	08/12/09	21,174	15,784	5,391
TATA MOTORS LTD	1,631	07/11/08	04/16/09	12,402	15,180	(2,778)
ARCH COAL INC	57	09/03/08	06/10/09	1,081	2,455	(1,374)
TATA MOTORS LTD	1,729	11/11/08	04/24/09	13,036	16,092	(3,056)
TATA MOTORS LTD	22	08/04/08	05/20/09	208	205	3
GOLD FIELDS LTD SP ADR	2,550	05/14/08	03/02/09	23,723	34,642	(10,918)
TATA MOTORS LTD	3,863	08/01/08	05/20/09	36,468	36,043	425
TATA MOTORS LTD	591	07/31/08	05/20/09	5,579	5,503	76
VIACOM INC NEW CLASS B	1,106	10/07/08	07/28/09	26,478	25,560	919
GOLD FIELDS LTD SP ADR	173	04/08/08	02/04/09	1,802	2,406	(604)
OREZONE RESOURCES INC	5,441	04/30/08	02/26/09	446	6,847	(6,401)
OREZONE RESOURCES INC	3,483	04/30/08	02/26/09	5,504	4,382	1,122
GOLD FIELDS LTD SP ADR	124	04/07/08	02/04/09	1,291	1,718	(427)
OFFICE DEPOT	2,051	07/07/08	05/06/09	5,788	22,092	(16,304)
MAGNA INTL A COM	428	10/03/08	08/05/09	21,066	17,525	3,541
ARCH COAL INC	4,332	11/19/08	09/22/09	100,450	60,521	39,930
OFFICE DEPOT	911	07/03/08	05/06/09	2,571	9,833	(7,262)
TATA MOTORS LTD	3,003	11/14/08	09/22/09	40,026	12,240	27,786
OREZONE RESOURCES INC	14,103	04/16/08	02/26/09	1,156	19,827	(18,671)
OREZONE RESOURCES INC	9,026	04/16/08	02/26/09	14,266	12,690	1,576
ARCH COAL INC	852	07/24/08	06/10/09	16,152	43,525	(27,373)
DOMTAR CORPORATION NEW	520	12/16/08	11/09/09	26,340	11,020	15,320
GOLD FIELDS LTD SP ADR	542	04/08/08	03/02/09	5,042	7,537	(2,494)
SMITHFIELD FOODS INC (VA)	1,942	11/05/08	10/01/09	24,854	21,856	2,998
SMITHFIELD FOODS INC (VA)	4,803	11/05/08	10/02/09	61,127	54,054	7,072
WHOLE FOODS MARKETS INC	1,410	08/26/08	07/23/09	33,847	24,955	8,892
PIONEER NATURAL RESOURCES CO	619	11/06/08	10/06/09	23,209	14,453	8,756
ARCH COAL INC	780	11/19/08	10/21/09	19,425	10,897	8,528
A G C O CORP	463	06/26/08	06/09/09	13,506	23,644	(10,139)
LIHIR GOLD LTD ADR	1,792	10/27/08	10/14/09	53,283	18,330	34,953
LIHIR GOLD LTD ADR	1,580	10/27/08	10/15/09	47,065	16,161	30,903
COEUR D'ALENE 1 1/4 1-15-24	42,000	07/22/08	07/14/09	38,246	33,837	4,409
COEUR D'ALENE 1 1/4 1-15-24	11,000	07/22/08	07/16/09	10,038	8,862	1,175
OMNICARE INC 3 1/4 12-15-35	88,000	04/18/08	04/14/09	59,620	60,500	(880)
COEUR D'ALENE 1 1/4 1-15-24	7,000	07/22/08	07/20/09	6,388	5,639	748
OMNICARE INC 3 1/4 12-15-35	103,000	04/18/08	04/17/09	72,293	70,813	1,481
SCHIBSTED ASA	2,335	01/16/09	06/26/09	5,102	5,208	(106)
HSBC HLDGS ORD USD0 50 (UK)	155	08/20/08	01/30/09	1,237	2,455	(1,218)
SCHIBSTED ASA	7,845	09/29/08	06/26/09	17,142	30,460	(13,318)

**THE CALDWELL FOUNDATION**  
**75-6004080**  
**SCHEDULE OF GAINS /LOSSES**  
**2009**

Name	Quantity	Date Acquired	Date Sold	Proceeds	Total Cost	Realized
HONDA MOTOR CO NPV	2,000	11/20/08	03/05/09	46,243	40,919	5,324
HSBC HLDGS ORD USD0 50 (UK)	163	08/20/08	01/30/09	1,301	2,577	(1,276)
HEINEKEN NV EUR1 60	720	01/13/09	09/02/09	30,042	22,580	7,462
KOREA EXCHANGE BK KSWN5000	5,135	11/20/08	07/23/09	44,381	18,178	26,203
HEINEKEN NV EUR1 60	3,030	12/03/08	09/02/09	126,427	76,428	50,000
SIGNET JEWELERS LTD ORD	225	09/11/08	06/26/09	4,534	4,310	224
GENERAL ELEC CO COM	2,485	04/17/08	03/03/09	17,533	79,962	(62,429)
<b>SHORT TERM</b>				<b>4,299,411</b>	<b>4,158,103</b>	<b>141,308</b>
VANGUARD TOTAL BD MKT IDX FD	72,324	VARIOUS	09/15/09	750,000	727,202	22,798
VANGUARD TOTAL BD MKT IDX FD	9,579	10/27/06	11/10/09	100,000	95,510	4,490
VANGUARD TOTAL BD MKT IDX FD	48,788	10/11/06	01/15/09	500,000	483,491	16,509
DOUBLE BLACK DIAMOND	4,123	04/01/07	04/01/09	500,000	481,860	18,140
DOUBLE BLACK DIAMOND	3,880	04/01/07	07/01/09	500,000	453,442	46,558
DFA EMERGING MARKETS VALUE	2,580	12/19/06	05/20/09	59,970	80,469	(20,499)
DFA EMERGING MARKETS SMALL CAP	2,488	12/15/06	03/13/09	22,000	45,587	(23,587)
DFA EMERGING MKTS PORT	1,379	12/19/06	03/13/09	20,600	35,122	(14,522)
DFA INTL SMALL CAP VALUE PORT	1,352	12/15/06	03/13/09	12,000	29,894	(17,894)
DFA INTL SMALL COMPANY PORT	1,411	12/19/06	03/13/09	12,000	26,949	(14,949)
DFA EMERGING MARKETS SMALL CAP	3,909	12/15/06	07/07/09	54,970	71,621	(16,651)
DFA U S SMALL CAP VALUE PORT	3,927	01/03/07	01/02/09	59,000	116,298	(57,298)
DFA US MICRO CAP PORT	9,434	VARIOUS	01/02/09	79,500	152,936	(73,436)
DFA EMERGING MARKETS SMALL CAP	3,640	12/15/06	11/09/09	67,500	66,699	801
DFA EMERGING MARKETS VALUE	2,031	12/19/06	11/09/09	63,000	63,345	(345)
DFA EMERGING MKTS PORT	1,226	12/19/06	11/09/09	33,000	31,211	1,789
DFA INTL SMALL CAP VALUE PORT	1,990	12/15/06	11/09/09	31,000	43,993	(12,993)
DFA INTL SMALL COMPANY PORT	2,193	12/19/06	11/09/09	32,000	41,893	(9,893)
DFA U S SMALL CAP VALUE PORT	2,003	01/03/07	11/09/09	37,500	59,318	(21,818)
DODGE & COX GLOBAL STOCK FUND	31,566	05/06/08	11/10/09	250,000	317,059	(67,059)
NORTHERN TR CORP COM	300	10/14/08	10/21/09	16,195	19,301	(3,106)
NORTHERN TR CORP COM	500	10/13/08	10/21/09	26,991	30,591	(3,600)
ALLERGAN INC COM	700	06/02/08	06/16/09	30,745	39,809	(9,065)
ALLERGAN INC COM	200	06/02/08	06/17/09	8,913	11,374	(2,461)
PEPSICO INC COM	150	10/13/08	11/09/09	9,280	9,160	121
SCHWAB CHARLES CORP NEW COM	500	10/13/08	11/09/09	8,850	10,470	(1,621)
VARIAN MED SYS INC COM	300	09/30/08	11/09/09	13,374	17,131	(3,758)
NOVO NORDISK A S ADR	150	09/08/08	11/09/09	9,847	7,989	1,859
NESTLE SA SPON ADR REPSTG REG	200	08/08/08	11/09/09	9,510	8,890	620
BARD C R INC	150	08/01/08	11/09/09	11,895	14,100	(2,205)
QUALCOMM INC	200	07/24/08	11/09/09	8,892	10,771	(1,879)
WESTERN UN CO COM	450	07/11/08	11/09/09	8,577	10,807	(2,231)
ADOBE SYS INC DEL COM	250	05/28/08	11/09/09	9,115	10,671	(1,556)
CELGENE CORP	175	05/27/08	11/09/09	9,387	10,315	(928)
CISCO SYS INC COM	400	05/27/08	11/09/09	9,540	10,156	(616)
GOOGLE INC CL A	38	05/22/08	11/09/09	21,305	20,884	421
CELGENE CORP	325	05/22/08	11/09/09	17,433	19,027	(1,595)
CISCO SYS INC COM	75	05/22/08	11/09/09	1,789	1,933	(144)
CVS CAREMARK CORP	350	05/22/08	11/09/09	10,664	14,979	(4,315)
GEN PROBE INC NEW	200	05/22/08	11/09/09	8,214	11,280	(3,066)
GENZYME CORP COM	300	05/22/08	11/09/09	15,627	20,654	(5,027)
MONSANTO CO NEW COM	150	05/22/08	11/09/09	10,390	18,321	(7,931)
SEI INVESTMENT CO COM	800	05/22/08	11/09/09	14,648	19,177	(4,529)
STRYKER CORP	200	05/22/08	11/09/09	9,640	12,631	(2,991)
GENZYME CORP COM	220	05/22/08	11/13/09	11,262	15,146	(3,884)
CVS CAREMARK CORP	1,000	05/22/08	12/15/09	31,869	42,798	(10,929)
CVS CAREMARK CORP	775	05/28/08	12/21/09	24,943	33,082	(8,139)
CVS CAREMARK CORP	425	05/22/08	12/21/09	13,679	18,189	(4,511)
GMO MULTI STRATEGY FD OFFSHORE	114,542	04/30/04	02/27/09	112,824	139,271	(26,447)
GMO TR BENCHMARK FREE ALLOC FD	12,824	03/22/04	05/29/09	250,000	310,722	(60,722)
GMO TR BENCHMARK FREE ALLOC FD	24,878	03/22/04	05/29/09	485,000	602,800	(117,800)
GMO TR BENCHMARK FREE ALLOC FD	14,068	03/22/04	09/30/09	300,000	340,877	(40,877)
EOG RESOURCES INC	560	11/12/08	11/16/09	50,548	42,836	7,712
EOG RESOURCES INC	476	11/12/08	11/24/09	41,947	36,411	5,536
EOG RESOURCES INC	278	11/12/08	11/25/09	24,613	21,265	3,348

**THE CALDWELL FOUNDATION**  
**75-6004080**  
**SCHEDULE OF GAINS /LOSSES**  
**2009**

Name	Quantity	Date Acquired	Date Sold	Proceeds	Total Cost	Realized
ILL TOOL WORKS INC	2,753	02/29/08	04/15/09	86,037	136,300	(50,263)
ILL TOOL WORKS INC	344	02/28/08	04/15/09	10,751	17,099	(6,349)
ANGLOGOLD ASHANTI LIMITED	129	04/14/08	06/02/09	5,426	4,792	634
ANGLOGOLD ASHANTI LIMITED	874	04/11/08	06/02/09	36,762	32,295	4,467
ANGLOGOLD ASHANTI LIMITED	487	04/14/08	09/11/09	21,009	18,092	2,917
ANGLOGOLD ASHANTI LIMITED	250	04/14/08	09/14/09	10,750	9,287	1,463
ANGLOGOLD ASHANTI LIMITED	223	04/14/08	09/15/09	9,632	8,284	1,348
LORILLARD INC	452	10/18/07	03/25/09	29,343	32,075	(2,732)
LORILLARD INC	84	10/17/07	03/25/09	5,453	5,943	(490)
LORILLARD INC	1,179	11/09/07	07/06/09	82,412	77,273	5,140
LORILLARD INC	66	10/19/07	07/06/09	4,613	4,619	(6)
LORILLARD INC	331	10/18/07	07/06/09	23,137	23,489	(352)
AMGEN INC	609	05/23/07	03/18/09	30,658	33,179	(2,522)
COMCAST CORP CL A SPECIAL NEW	1,832	11/26/07	10/06/09	26,903	35,050	(8,147)
COMCAST CORP CL A SPECIAL NEW	1,420	11/26/07	12/16/09	23,693	27,168	(3,474)
COMCAST CORP CL A SPECIAL NEW	1,582	11/26/07	12/21/09	26,252	30,267	(4,015)
UNITED STS STL CP (NEW)	162	09/27/06	06/29/09	6,041	9,269	(3,228)
UNITED STS STL CP (NEW)	351	09/26/06	06/29/09	13,089	19,811	(6,722)
UNITED STS STL CP (NEW)	226	09/25/06	06/29/09	8,427	12,256	(3,828)
COMCAST CORP CL A SPECIAL NEW	761	02/03/06	10/05/09	11,064	13,679	(2,615)
COMCAST CORP CL A SPECIAL NEW	1,992	02/02/06	10/05/09	28,961	35,873	(6,912)
COMCAST CORP CL A SPECIAL NEW	1,198	02/03/06	10/06/09	17,593	21,534	(3,941)
NOBLE ENERGY INC	468	02/04/05	03/18/09	23,498	13,907	9,591
NOBLE ENERGY INC	459	02/03/05	03/18/09	23,046	13,715	9,331
ALTRIA GROUP INC	5,015	10/01/04	01/30/09	84,731	55,319	29,413
LOCKHEED MARTIN CORP	143	10/01/04	03/18/09	9,423	7,987	1,436
VERIZON COMMUNICATIONS	1,321	10/01/04	03/18/09	39,817	50,553	(10,736)
MICROSOFT CORP	1,565	06/27/05	12/16/09	47,208	39,431	7,777
MICROSOFT CORP	1,338	02/02/05	10/23/09	37,915	35,308	2,607
MICROSOFT CORP	1,715	02/02/05	10/26/09	49,586	45,256	4,330
MICROSOFT CORP	2,323	02/02/05	11/05/09	66,351	61,301	5,051
MICROSOFT CORP	597	02/02/05	12/16/09	18,008	15,754	2,254
WELLS FARGO & CO NEW	1,213	10/01/04	08/24/09	34,192	36,460	(2,269)
WELLS FARGO & CO NEW	892	10/01/04	08/25/09	24,686	26,812	(2,126)
JPMORGAN CHASE & CO	1,241	10/01/04	08/31/09	53,891	49,922	3,970
KRAFT FOODS INC CL A	1,492	10/01/04	09/14/09	38,941	24,551	14,391
KRAFT FOODS INC CL A	1,978	10/01/04	09/15/09	51,594	32,548	19,046
RAYTHEON CO (NEW)	252	10/01/04	12/28/09	13,261	9,495	3,766
MAGNA INTL A COM	48	07/14/08	07/15/09	2,113	2,659	(545)
MAGNA INTL A COM	633	07/11/08	07/15/09	27,871	33,911	(6,039)
COEUR D'ALENE 1 1/4 1-15-24	21,000	07/22/08	07/28/09	19,110	16,918	2,192
DOMTAR CORPORATION NEW	386	09/02/08	09/14/09	14,045	24,666	(10,621)
CONSOLIDATED ENERGY INC	331	10/02/08	10/20/09	16,930	12,734	4,196
ARCH COAL INC	455	09/03/08	09/22/09	10,551	19,596	(9,046)
MAGNA INTL A COM	292	07/14/08	08/05/09	14,372	16,174	(1,802)
HEALTH NET INC A	1,115	07/03/08	07/28/09	15,549	25,254	(9,705)
KOREA ELECTRIC POWER CORP ADS	2,555	10/29/08	11/23/09	36,088	20,862	15,226
HEALTH NET INC A	2,133	06/30/08	07/28/09	29,745	51,735	(21,991)
HEALTH NET INC A	70	06/24/08	07/28/09	976	1,832	(856)
HEALTH NET INC A	306	06/20/08	07/28/09	4,267	8,095	(3,828)
HEALTH NET INC A	837	06/19/08	07/28/09	11,672	22,022	(10,350)
MAGNA INTL A COM	186	06/03/08	07/15/09	8,190	13,042	(4,853)
TATA MOTORS LTD	219	08/04/08	09/22/09	2,919	2,037	882
KINROSS GOLD CORP NEW	242	08/07/08	10/06/09	5,421	4,058	1,364
KINROSS GOLD CORP NEW	626	08/04/08	10/06/09	14,023	11,203	2,821
KINROSS GOLD CORP NEW	1,293	08/01/08	10/06/09	28,965	23,152	5,813
USEC INC	2,266	01/10/08	03/25/09	11,330	18,517	(7,187)
USEC INC	1,540	01/10/08	03/26/09	7,700	12,584	(4,884)
ALUMINA LTD	1,200	12/20/07	03/18/09	3,424	25,492	(22,068)
HEALTH NET INC A	920	04/30/08	07/28/09	12,829	26,976	(14,147)
ALUMINA LTD	1,821	12/19/07	03/18/09	5,196	38,564	(33,368)
HEALTH NET INC A	410	04/28/08	07/28/09	5,717	11,924	(6,206)
SMITHFIELD FOODS INC (VA)	832	06/30/08	10/01/09	10,648	16,480	(5,832)
DOMTAR CORPORATION NEW	103	06/12/08	09/14/09	3,748	7,682	(3,934)
DOMTAR CORPORATION NEW	174	06/11/08	09/14/09	6,331	12,785	(6,454)

**THE CALDWELL FOUNDATION**  
**75-6004080**  
**SCHEDULE OF GAINS /LOSSES**  
**2009**

Name	Quantity	Date Acquired	Date Sold	Proceeds	Total Cost	Realized
OREZONE RESOURCES INC	5,772	11/23/07	02/26/09	473	7,164	(6,691)
OREZONE RESOURCES INC	3,694	11/23/07	02/26/09	5,839	4,585	1,253
OREZONE RESOURCES INC	4,141	11/20/07	02/26/09	340	5,141	(4,801)
OREZONE RESOURCES INC	2,650	11/20/07	02/26/09	4,189	3,290	898
OREZONE RESOURCES INC	6,817	11/16/07	02/26/09	559	8,267	(7,708)
OREZONE RESOURCES INC	4,363	11/16/07	02/26/09	6,896	5,291	1,605
USEC INC	1,156	01/10/08	04/27/09	7,556	9,446	(1,890)
CRESUD SA ADR	397	07/23/08	11/09/09	5,527	5,578	(51)
ALBANY INTL CORP 2 1/4 3-15-26	125,000	12/17/07	04/06/09	71,172	124,960	(53,788)
CRESUD SA ADR	200	07/15/08	11/05/09	2,723	2,700	23
CRESUD SA ADR	643	07/15/08	11/09/09	8,952	8,681	271
TELUS CORP	648	04/11/08	08/13/09	19,370	28,782	(9,412)
MAGNA INTL A COM	548	03/10/08	07/15/09	24,129	39,482	(15,353)
CRESUD SA ADR	-	07/23/08	12/02/09	9	-	9
SCHOLASTIC CP	1,040	07/28/08	12/11/09	28,996	26,136	2,860
DOMTAR CORPORATION NEW	134	04/28/08	09/14/09	4,876	9,988	(5,112)
SCHOLASTIC CP	67	07/24/08	12/11/09	1,868	1,742	126
BJ SVCS CO	476	01/17/08	06/09/09	7,373	10,580	(3,207)
DOMTAR CORPORATION NEW	197	04/23/08	09/14/09	7,168	14,491	(7,323)
GOLD FIELDS LTD SP ADR	2,148	05/14/08	10/06/09	31,927	29,181	2,747
TELUS CORP	238	03/17/08	08/13/09	7,114	9,942	(2,828)
TELUS CORP	609	03/14/08	08/12/09	18,100	25,626	(7,527)
TELUS CORP	91	03/14/08	08/13/09	2,720	3,829	(1,109)
DOMTAR CORPORATION NEW	206	04/11/08	09/14/09	7,496	16,245	(8,749)
ALLIED WASTE INDS 4 1/4 4-15-34	26,000	07/27/07	01/02/09	23,270	24,798	(1,528)
AXCELIS TECHNOLOGIES	4,771	11/15/07	04/28/09	2,283	20,695	(18,412)
AXCELIS TECHNOLOGIES	3,261	11/05/07	04/28/09	1,560	13,280	(11,719)
WARREN RESOURCES INC	639	05/02/08	10/26/09	1,623	7,828	(6,205)
AXCELIS TECHNOLOGIES	3,072	11/02/07	04/28/09	1,470	12,658	(11,188)
DOMTAR CORPORATION NEW	132	03/18/08	09/14/09	4,803	9,968	(5,165)
WARREN RESOURCES INC	1,873	04/29/08	10/26/09	4,757	22,786	(18,029)
DOMTAR CORPORATION NEW	347	03/17/08	09/14/09	12,626	26,070	(13,443)
BJ SVCS CO	1,968	12/05/07	06/09/09	30,484	47,582	(17,098)
ALLIED WASTE INDS 4 1/4 4-15-34	50,000	07/27/07	03/03/09	46,156	47,688	(1,531)
TYSON FOODS INC CL A	472	09/27/07	05/06/09	5,772	8,491	(2,719)
ALLIED WASTE INDS 4 1/4 4-15-34	50,000	07/27/07	03/09/09	45,813	47,688	(1,875)
GOLD FIELDS LTD SP ADR	1,001	05/18/07	01/02/09	9,784	17,189	(7,405)
IVANHOE MINES LTD	1,159	04/02/08	11/25/09	14,764	11,600	3,164
DTE ENERGY COMPANY	395	03/12/08	11/09/09	15,421	16,001	(580)
SCHOLASTIC CP	1,510	04/04/08	12/11/09	42,100	45,218	(3,118)
KOREA ELECTRIC POWER CORP ADS	1,206	03/11/08	11/20/09	16,982	18,592	(1,609)
GOLD FIELDS LTD SP ADR	42	05/24/07	02/04/09	437	731	(294)
KOREA ELECTRIC POWER CORP ADS	567	03/11/08	11/23/09	8,009	8,741	(732)
GOLD FIELDS LTD SP ADR	3,339	05/18/07	02/04/09	34,771	57,338	(22,567)
ARCH COAL INC	735	08/31/07	06/10/09	13,934	21,768	(7,834)
ALAMO GROUP INC	309	02/26/08	12/24/09	4,963	5,703	(739)
CREDENCE SYS CORP 3 1/2 5-15-10	-	07/26/07	05/26/09	44,205	114,971	(70,766)
CREDENCE SYS EXCH 3 1/2 5-15-10	131,000	07/26/07	05/26/09	26,159	7,186	18,973
REPUBLIC SERVICES INC	1,560	12/19/07	10/23/09	42,163	36,490	5,673
PEABODY ENERGY CORP	557	07/26/07	06/10/09	19,646	21,726	(2,080)
REPUBLIC SERVICES INC	432	02/15/07	01/02/09	10,766	12,282	(1,516)
GOLD RESERVE INC CL A	1,175	10/22/07	10/06/09	1,150	5,598	(4,448)
REPUBLIC SERVICES INC	1,433	10/30/07	10/23/09	38,731	39,695	(964)
GOLD RESERVE INC CL A	884	10/22/07	10/16/09	787	4,211	(3,425)
TECH DATA CORP	40	04/04/07	06/01/09	1,306	1,438	(132)
REPUBLIC SERVICES INC	547	08/09/07	10/23/09	14,784	14,414	370
DOMTAR CORPORATION NEW	1	03/09/07	06/10/09	11	52	(42)
ALAMO GROUP INC	113	08/02/07	12/24/09	1,815	2,881	(1,066)
GOLD RESERVE INC CL A	3,800	05/15/07	10/06/09	3,719	22,358	(18,639)
ALAMO GROUP INC	655	07/31/07	12/24/09	10,521	16,849	(6,328)
GOLD RESERVE INC CL A	2,806	05/09/07	10/06/09	2,746	19,997	(17,251)
REPUBLIC SERVICES INC	128	07/31/06	01/02/09	3,190	2,857	333
DOMTAR CORPORATION NEW	306	03/09/07	09/14/09	11,134	27,380	(16,246)
WARREN RESOURCES INC	2,125	03/14/07	10/26/09	5,397	21,569	(16,172)
LIHIR GOLD LTD ADR	484	06/15/06	02/18/09	10,999	9,544	1,455

**THE CALDWELL FOUNDATION**  
**75-6004080**  
**SCHEDULE OF GAINS /LOSSES**  
**2009**

Name	Quantity	Date Acquired	Date Sold	Proceeds	Total Cost	Realized
REPUBLIC SERVICES INC	602	02/16/07	10/23/09	16,271	17,416	(1,145)
APEX SILVER MINES LTD	642	05/02/06	01/07/09	465	11,039	(10,573)
REPUBLIC SERVICES INC	377	02/15/07	10/23/09	10,189	10,718	(529)
TECH DATA CORP	366	07/26/06	04/06/09	8,433	13,323	(4,890)
APEX SILVER MINES LTD	389	04/26/06	01/07/09	282	8,076	(7,794)
APEX SILVER MINES LTD	452	05/15/06	02/04/09	21	7,622	(7,601)
APEX SILVER MINES LTD	2,134	05/12/06	02/04/09	99	36,715	(36,616)
APEX SILVER MINES LTD	559	05/11/06	02/04/09	26	9,695	(9,669)
WARREN RESOURCES INC	181	01/29/07	10/26/09	460	1,986	(1,526)
WARREN RESOURCES INC	375	01/26/07	10/26/09	952	4,123	(3,170)
WARREN RESOURCES INC	629	01/25/07	10/26/09	1,598	6,892	(5,294)
APEX SILVER MINES LTD	588	05/05/06	02/04/09	27	10,183	(10,156)
WARREN RESOURCES INC	172	01/24/07	10/26/09	437	1,890	(1,453)
APEX SILVER MINES LTD	2,936	05/02/06	02/04/09	137	50,482	(50,345)
SCHOLASTIC CP	113	06/22/06	04/01/09	1,737	2,938	(1,201)
SCHOLASTIC CP	749	06/20/06	04/01/09	11,516	19,332	(7,816)
IVANHOE MINES LTD	1,650	05/30/06	03/27/09	9,608	11,473	(1,865)
TECH DATA CORP	292	07/27/06	06/01/09	9,535	10,702	(1,167)
TECH DATA CORP	528	07/26/06	06/01/09	17,242	19,220	(1,978)
SCHOLASTIC CP	312	06/22/06	05/04/09	6,150	8,113	(1,963)
APEX SILVER MINES LTD	4,619	01/20/06	01/07/09	3,347	70,837	(67,490)
IVANHOE MINES LTD	575	06/22/06	07/10/09	4,678	3,627	1,050
TYSON FOODS INC CL A	645	03/29/06	05/06/09	7,888	8,812	(924)
IVANHOE MINES LTD	744	05/30/06	07/10/09	6,052	5,173	879
IVANHOE MINES LTD	1,109	06/22/06	11/23/09	14,162	6,996	7,166
IVANHOE MINES LTD	184	06/22/06	11/25/09	2,344	1,161	1,183
SCHOLASTIC CP	28	06/22/06	12/11/09	781	728	53
TECH DATA CORP	106	09/20/05	04/06/09	2,442	3,814	(1,372)
A G C O CORP	612	10/27/05	06/09/09	17,852	9,108	8,744
APEX SILVER MINES 2 7/8 3-15-24	2,000	06/28/05	03/25/09	310	1,320	(1,010)
APEX SILVER MINES 2 7/8 3-15-24	1,000	06/08/05	03/25/09	155	683	(528)
APEX SILVER MINES 2 7/8 3-15-24	60,000	06/01/05	03/25/09	9,288	40,950	(31,662)
APEX SILVER MINES 2 7/8 3-15-24	23,000	05/25/05	03/25/09	3,560	14,001	(10,441)
LIHIR GOLD LTD ADR	2,476	02/10/05	01/06/09	49,559	20,669	28,889
LIHIR GOLD LTD ADR	1,198	02/09/05	01/06/09	23,979	9,615	14,364
LIHIR GOLD LTD ADR	232	02/11/05	01/23/09	4,566	1,990	2,576
LIHIR GOLD LTD ADR	444	02/10/05	01/23/09	8,739	3,706	5,033
LIHIR GOLD LTD ADR	758	02/11/05	02/18/09	17,226	6,503	10,723
OREZONE RESOURCES INC	118	12/02/04	02/26/09	10	132	(122)
OREZONE RESOURCES INC	76	12/02/04	02/26/09	120	85	35
OREZONE RESOURCES INC	110	12/01/04	02/26/09	9	127	(118)
OREZONE RESOURCES INC	71	12/01/04	02/26/09	112	82	30
OREZONE RESOURCES INC	632	11/29/04	02/26/09	52	693	(642)
OREZONE RESOURCES INC	404	11/29/04	02/26/09	639	444	195
OREZONE RESOURCES INC	500	11/23/04	02/26/09	41	610	(569)
OREZONE RESOURCES INC	320	11/23/04	02/26/09	506	390	116
OREZONE RESOURCES INC	118	11/10/04	02/26/09	10	149	(139)
OREZONE RESOURCES INC	76	11/10/04	02/26/09	120	95	24
OREZONE RESOURCES INC	5,185	11/01/04	02/26/09	425	6,376	(5,951)
OREZONE RESOURCES INC	3,319	11/01/04	02/26/09	5,245	4,081	1,164
KOREA ELECTRIC POWER CORP ADS	3,383	10/05/04	11/20/09	47,638	36,320	11,317
AMERICAN EXPRESS CO COM	4,975	03/03/08	03/09/09	53,105	209,865	(156,760)
LINDE AG NPV	770	10/27/08	12/01/09	96,117	51,228	44,888
AMERICAN EXPRESS CO COM	3,400	01/11/08	03/09/09	36,293	148,079	(111,786)
HSBC HLDGS ORD USD0 50 (UK)	132	11/21/07	01/30/09	1,054	2,222	(1,168)
TAKATA CORPORATION NPV	3,700	12/20/07	03/05/09	23,330	104,408	(81,078)
TAKATA CORPORATION NPV	700	11/21/07	03/05/09	4,414	19,722	(15,309)
INDEPENDENT NEWS & MEDIA ORD	65,725	11/23/07	03/13/09	13,832	214,609	(200,777)
TAKATA CORPORATION NPV	3,300	11/07/07	03/05/09	20,807	113,305	(92,498)
FURSYS KRW1000	200	01/11/08	05/14/09	3,911	4,745	(835)
HSBC HLDGS ORD USD0 50 (UK)	125	08/15/07	01/30/09	998	2,201	(1,203)
BANCO POPOLARE SOC COOPERATIVA	8,775	08/28/07	03/16/09	25,305	219,704	(194,398)
KOREA EXCHANGE BK KSWN5000	470	11/02/07	07/20/09	4,010	7,431	(3,421)
KOREA EXCHANGE BK KSWN5000	860	01/03/08	10/15/09	11,019	12,894	(1,874)
HSBC HLDGS ORD USD0 50 (UK)	6,025	03/27/07	01/23/09	42,117	105,481	(63,364)



**THE CALDWELL FOUNDATION**  
**75-6004080**  
**SCHEDULE OF GAINS /LOSSES**  
**2009**

Name	Quantity	Date Acquired	Date Sold	Proceeds	Total Cost	Realized
FURSYS KRW1000	455	01/11/08	11/16/09	10,745	10,795	(51)
HSBC HLDGS ORD USD0 50 (UK)	6,920	03/27/07	01/30/09	55,233	121,150	(65,917)
FURSYS KRW1000	1,570	01/11/08	11/24/09	37,817	37,250	567
KOREA EXCHANGE BK KSWN5000	4,155	11/02/07	10/06/09	49,706	65,696	(15,991)
KOREA EXCHANGE BK KSWN5000	2,405	11/02/07	10/15/09	30,816	38,026	(7,210)
MEDIASET EURO 52	7,150	03/16/07	04/22/09	37,122	77,014	(39,892)
HOME DEPOT INC COM	1,295	10/25/06	03/04/09	24,539	47,278	(22,740)
MEDIASET EURO 52	13,220	09/14/06	04/22/09	68,637	142,104	(73,467)
MEDIASET EURO 52	20,220	06/16/06	04/22/09	104,980	224,696	(119,716)
WAL MART STORES INC COM	2,360	03/29/06	03/03/09	112,788	113,241	(454)
ARNOLDO MONDADORI EDITORE SPA	22,415	10/25/05	09/09/09	101,924	210,337	(108,412)
TELEGRAAF MEDIA GROEP CVA	3,800	05/16/03	01/08/09	61,940	63,703	(1,763)
TELEGRAAF MEDIA GROEP CVA	235	02/26/03	01/08/09	3,830	3,526	304
NESTLE SA CHF0 1 (REGD)	2,120	02/07/03	04/15/09	72,165	41,698	30,467
PUBLIGROUPE AG CHF1 REGD	0	02/07/03	05/18/09	18	36	(18)
CARGOTEC ORD NPV ORD B	4,105	03/12/03	07/15/09	68,390	44,631	23,759
ARNOLDO MONDADORI EDITORE SPA	10,200	02/11/03	09/09/09	46,381	59,617	(13,236)
HEINEKEN HOLDING EUR1 6	1,820	02/07/03	09/09/09	66,719	37,836	28,882
GRUPO CONTL SAB COM SER I	24,825	03/05/03	10/07/09	51,102	30,919	20,183
COCA-COLA FEMSA SAB DE CV ADR	2,235	02/07/03	10/12/09	113,589	40,853	72,737
AXEL SPRINGER AG	830	03/14/03	12/18/09	91,204	37,634	53,570
AXEL SPRINGER AG	745	03/14/03	12/22/09	83,215	33,780	49,435
HEINEKEN HOLDING EUR1 6	2,680	02/07/03	12/01/09	112,272	55,715	56,557
COCA-COLA FEMSA SAB DE CV ADR	1,795	02/07/03	12/02/09	104,275	32,810	71,465
3M CO	490	11/19/08	12/02/09	38,314	29,740	8,574
3M CO	815	10/10/08	11/11/09	63,818	42,639	21,179
HSBC HLDGS ORD USD0 50 (UK)	138	11/21/07	01/30/09	1,101	2,333	(1,231)
INDEPENDENT NEWS & MEDIA ORD	18,010	10/15/07	01/28/09	7,966	71,790	(63,824)
INDEPENDENT NEWS & MEDIA ORD	8,970	09/25/07	01/28/09	3,967	36,669	(32,702)
INDEPENDENT NEWS & MEDIA ORD	22,185	09/20/07	01/28/09	9,813	96,609	(86,797)
US BANCORP DEL COM NEW	1,995	10/12/07	03/05/09	18,529	65,476	(46,947)
HSBC HLDGS ORD USD0 50 (UK)	131	08/15/07	01/30/09	1,046	2,310	(1,265)
UST INC COM	1,180	07/10/07	01/06/09	82,010	61,795	20,215
HSBC HLDGS ORD USD0 50 (UK)	1,545	07/11/07	01/23/09	10,800	28,659	(17,859)
HSBC HLDGS ORD USD0 50 (UK)	2,145	07/11/07	01/30/09	17,120	39,789	(22,670)
US BANCORP DEL COM NEW	5,850	07/18/07	03/05/09	54,332	188,076	(133,744)
SIGNET JEWELERS LTD ORD	3,411	11/02/07	06/26/09	68,812	127,302	(58,490)
HSBC HLDGS ORD USD0 50 (UK)	9,900	05/08/07	01/23/09	69,205	185,830	(116,625)
KOREA EXCHANGE BK KSWN5000	7,985	11/02/07	07/23/09	69,012	126,254	(57,242)
TELEFONICA SA EUR1	3,855	05/14/07	02/03/09	70,306	87,072	(16,766)
GENERAL ELEC CO COM	1,570	06/05/07	03/03/09	11,077	58,895	(47,818)
ARNOLDO MONDADORI EDITORE SPA	2,380	07/11/07	04/15/09	8,310	23,756	(15,446)
ARNOLDO MONDADORI EDITORE SPA	5,880	06/22/07	04/15/09	20,531	56,173	(35,642)
GENERAL ELEC CO COM	3,325	05/07/07	03/03/09	23,459	123,976	(100,517)
ARNOLDO MONDADORI EDITORE SPA	16,810	05/08/07	04/15/09	58,696	184,130	(125,434)
KIMBERLY CLARK DE MEXICO SAB	16,975	07/18/07	06/26/09	67,364	75,499	(8,135)
REYNOLDS AMERN INC	1,305	05/07/07	04/29/09	53,905	83,868	(29,963)
UNILEVER NV CVA EURO 16	1,360	08/01/07	08/06/09	38,673	40,556	(1,883)
TELEFONICA SA EUR1	2,655	05/14/07	07/13/09	58,509	59,968	(1,458)
KONE CORPORATION NPV ORD B	2,905	11/07/08	12/29/09	124,962	61,225	63,737
<b>LONG TERM</b>				<b>10,386,204</b>	<b>13,537,509</b>	<b>(3,151,305)</b>
<b>GRAND TOTAL</b>				<b>14,685,616</b>	<b>17,695,612</b>	<b>(3,009,997)</b>

**THE CALDWELL FOUNDATION**  
**75-6004080**  
**SCHEDULE OF FOREIGN CURRENCY CONTRACT GAINS/LOSSES**  
**2009**

PAYABLE	RECEIVABLE	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST	GAIN/(LOSS)
BRITISH POUND STERLING	U S DOLLAR	01/06/09	01/07/09	0	0	-
BRITISH POUND STERLING	U S DOLLAR	01/06/09	01/07/09	0	0	-
EURO CURRENCY UNIT	U S DOLLAR	01/06/09	01/07/09	0	0	(0)
EURO CURRENCY UNIT	U S DOLLAR	01/06/09	01/07/09	9	10	(0)
MEXICAN NEW PESO	U S DOLLAR	01/06/09	01/07/09	0	0	-
SWISS FRANC	U S DOLLAR	01/06/09	01/07/09	1	1	(0)
SWISS FRANC	U S DOLLAR	01/06/09	01/07/09	1	1	(0)
U S DOLLAR	JAPANESE YEN	12/03/08	01/09/09	61,863	60,087	1,776
U S DOLLAR	JAPANESE YEN	10/14/08	01/09/09	144,100	128,981	15,119
BRITISH POUND STERLING	U S DOLLAR	01/09/09	01/12/09	1,582	1,614	(31)
EURO CURRENCY UNIT	U S DOLLAR	01/12/09	01/13/09	3,469	3,828	(359)
EURO CURRENCY UNIT	U S DOLLAR	01/08/09	01/14/09	65,720	63,172	2,548
U S DOLLAR	EURO CURRENCY UNIT	01/13/09	01/16/09	22,709	22,593	116
U S DOLLAR	NORWEGIAN KRONE	01/16/09	01/21/09	24,974	25,091	(118)
BRITISH POUND STERLING	U S DOLLAR	01/22/09	01/23/09	9	10	(1)
U S DOLLAR	SOUTH KOREAN WON	01/21/09	01/23/09	87,950	89,000	(1,049)
BRITISH POUND STERLING	U S DOLLAR	01/27/09	01/28/09	1,370	1,400	(30)
BRITISH POUND STERLING	U S DOLLAR	01/23/09	01/29/09	42,437	44,090	(1,653)
BRITISH POUND STERLING	U S DOLLAR	01/23/09	01/29/09	80,614	83,861	(3,247)
U S DOLLAR	EURO CURRENCY UNIT	01/27/09	01/30/09	152,693	157,423	(4,730)
EURO CURRENCY UNIT	U S DOLLAR	01/28/09	02/03/09	21,605	21,058	547
EURO CURRENCY UNIT	U S DOLLAR	02/04/09	02/05/09	1	1	-
EURO CURRENCY UNIT	U S DOLLAR	02/04/09	02/05/09	0	0	-
NORWEGIAN KRONE	U S DOLLAR	02/04/09	02/05/09	1	1	0
BRITISH POUND STERLING	U S DOLLAR	01/30/09	02/05/09	58,717	59,039	(322)
BRITISH POUND STERLING	U S DOLLAR	01/30/09	02/05/09	20,637	20,750	(113)
EURO CURRENCY UNIT	U S DOLLAR	02/03/09	02/09/09	70,211	69,677	534
U S DOLLAR	SWISS FRANC	02/06/09	02/11/09	55,499	55,427	72
U S DOLLAR	MEXICAN NEW PESO	11/11/08	02/11/09	93,365	102,799	(9,435)
U S DOLLAR	MEXICAN NEW PESO	11/11/08	02/11/09	-	-	-
BRITISH POUND STERLING	U S DOLLAR	02/17/09	02/18/09	1,793	1,823	(30)
U S DOLLAR	JAPANESE YEN	02/18/09	02/20/09	261,578	263,059	(1,481)
U S DOLLAR	JAPANESE YEN	12/03/08	02/20/09	31,861	32,348	(487)
U S DOLLAR	JAPANESE YEN	12/03/08	02/20/09	-	-	-
U S DOLLAR	EURO CURRENCY UNIT	11/20/08	02/26/09	113,945	112,163	1,783
SWISS FRANC	U S DOLLAR	03/02/09	03/03/09	7,386	7,476	(91)
SWISS FRANC	U S DOLLAR	03/02/09	03/03/09	1,455	1,473	(18)
EURO CURRENCY UNIT	U S DOLLAR	03/04/09	03/05/09	0	0	-
EURO CURRENCY UNIT	U S DOLLAR	03/06/09	03/09/09	4,959	4,918	41
EURO CURRENCY UNIT	U S DOLLAR	03/06/09	03/09/09	1,720	1,706	14
JAPANESE YEN	U S DOLLAR	03/06/09	03/09/09	543	540	2
JAPANESE YEN	U S DOLLAR	03/06/09	03/09/09	209	208	1
BRITISH POUND STERLING	U S DOLLAR	03/10/09	03/11/09	1,374	1,374	(1)
JAPANESE YEN	U S DOLLAR	03/05/09	03/11/09	48,637	48,477	161
JAPANESE YEN	U S DOLLAR	03/05/09	03/11/09	46,326	46,173	153
U S DOLLAR	MEXICAN NEW PESO	03/10/09	03/12/09	75,144	73,094	2,050
U S DOLLAR	EURO CURRENCY UNIT	03/09/09	03/12/09	33,403	32,880	523
SWISS FRANC	U S DOLLAR	03/17/09	03/18/09	1,236	1,237	(1)
EURO CURRENCY UNIT	U S DOLLAR	03/18/09	03/19/09	2,386	2,390	(5)
EURO CURRENCY UNIT	U S DOLLAR	03/13/09	03/19/09	13,848	14,463	(615)
EURO CURRENCY UNIT	U S DOLLAR	03/16/09	03/20/09	25,287	26,246	(959)
U S DOLLAR	EURO CURRENCY UNIT	03/19/09	03/23/09	26,373	26,534	(161)
U S DOLLAR	EURO CURRENCY UNIT	03/24/09	03/26/09	180,400	179,875	526
U S DOLLAR	CANADIAN DOLLAR	09/30/08	03/27/09	80,718	94,332	(13,614)
EURO CURRENCY UNIT	U S DOLLAR	03/30/09	03/31/09	136	137	(1)

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PAYABLE	RECEIVABLE	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST	GAIN/(LOSS)
U S DOLLAR	EURO CURRENCY UNIT	03/27/09	03/31/09	23,718	23,751	(32)
SOUTH KOREAN WON	U S DOLLAR	03/31/09	04/01/09	801	801	(0)
JAPANESE YEN	U S DOLLAR	04/01/09	04/02/09	2,643	2,692	(49)
EURO CURRENCY UNIT	U S DOLLAR	04/03/09	04/06/09	0	0	-
MEXICAN NEW PESO	U S DOLLAR	04/06/09	04/07/09	2,402	2,370	33
SOUTH KOREAN WON	U S DOLLAR	04/06/09	04/07/09	5,960	6,081	(120)
BRITISH POUND STERLING	U S DOLLAR	04/07/09	04/08/09	3,441	3,457	(16)
BRITISH POUND STERLING	U S DOLLAR	04/07/09	04/08/09	1,833	1,842	(8)
U S DOLLAR	MEXICAN NEW PESO	04/08/09	04/13/09	255,341	250,408	4,933
BRITISH POUND STERLING	U S DOLLAR	04/14/09	04/15/09	1,887	1,862	24
SOUTH KOREAN WON	U S DOLLAR	04/15/09	04/16/09	1,777	1,783	(6)
SOUTH KOREAN WON	U S DOLLAR	04/15/09	04/16/09	1,031	1,035	(4)
U S DOLLAR	EURO CURRENCY UNIT	04/09/09	04/16/09	118,136	117,898	237
SWISS FRANC	U S DOLLAR	04/16/09	04/17/09	1,186	1,190	(3)
U S DOLLAR	BRITISH POUND STERLING	04/16/09	04/21/09	5,139	5,242	(103)
EURO CURRENCY UNIT	U S DOLLAR	04/15/09	04/21/09	87,654	85,831	1,824
SWISS FRANC	U S DOLLAR	04/15/09	04/21/09	72,361	70,705	1,656
EURO CURRENCY UNIT	U S DOLLAR	04/22/09	04/23/09	4,676	4,680	(4)
U S DOLLAR	SWISS FRANC	04/21/09	04/24/09	26,029	25,459	571
EURO CURRENCY UNIT	U S DOLLAR	04/24/09	04/27/09	6,837	6,817	20
EURO CURRENCY UNIT	U S DOLLAR	04/24/09	04/27/09	5,335	5,257	79
EURO CURRENCY UNIT	U S DOLLAR	04/27/09	04/28/09	27,186	27,427	(241)
EURO CURRENCY UNIT	U S DOLLAR	04/22/09	04/28/09	210,714	212,716	(2,002)
U S DOLLAR	BRITISH POUND STERLING	04/24/09	04/29/09	18,080	17,985	96
U S DOLLAR	EURO CURRENCY UNIT	03/10/09	04/29/09	121,475	116,613	4,862
U S DOLLAR	EURO CURRENCY UNIT	02/27/09	04/29/09	185,745	177,800	7,945
U S DOLLAR	EURO CURRENCY UNIT	01/26/09	04/29/09	238,815	235,969	2,846
U S DOLLAR	EURO CURRENCY UNIT	11/20/08	04/29/09	132,675	125,490	7,185
U S DOLLAR	JAPANESE YEN	04/27/09	04/30/09	236,419	240,440	(4,020)
EURO CURRENCY UNIT	U S DOLLAR	04/30/09	05/04/09	16,934	16,980	(46)
EURO CURRENCY UNIT	U S DOLLAR	04/30/09	05/04/09	2,799	2,807	(8)
EURO CURRENCY UNIT	U S DOLLAR	04/30/09	05/04/09	4,896	4,908	(12)
SWISS FRANC	U S DOLLAR	04/30/09	05/04/09	9,771	9,804	(34)
U S DOLLAR	EURO CURRENCY UNIT	04/30/09	05/05/09	24,066	23,856	210
EURO CURRENCY UNIT	U S DOLLAR	05/05/09	05/06/09	7,583	7,378	205
EURO CURRENCY UNIT	U S DOLLAR	05/05/09	05/06/09	1,487	1,440	47
MEXICAN NEW PESO	U S DOLLAR	05/05/09	05/06/09	0	0	0
MEXICAN NEW PESO	U S DOLLAR	05/07/09	05/08/09	10,837	10,812	25
U S DOLLAR	JAPANESE YEN	05/01/09	05/08/09	104,923	104,395	528
EURO CURRENCY UNIT	U S DOLLAR	05/08/09	05/11/09	11,664	11,517	147
MEXICAN NEW PESO	U S DOLLAR	05/08/09	05/11/09	3,698	3,655	42
MEXICAN NEW PESO	U S DOLLAR	05/08/09	05/11/09	2,727	2,697	30
BRITISH POUND STERLING	U S DOLLAR	05/11/09	05/12/09	2,165	2,154	11
EURO CURRENCY UNIT	U S DOLLAR	05/13/09	05/14/09	3,342	3,357	(15)
U S DOLLAR	EURO CURRENCY UNIT	05/12/09	05/14/09	561,808	564,227	(2,419)
U S DOLLAR	EURO CURRENCY UNIT	03/10/09	05/14/09	149,474	140,110	9,363
EURO CURRENCY UNIT	U S DOLLAR	05/15/09	05/18/09	27,209	27,464	(256)
SOUTH KOREAN WON	U S DOLLAR	05/14/09	05/18/09	3,911	3,934	(23)
EURO CURRENCY UNIT	U S DOLLAR	05/19/09	05/20/09	8,032	8,017	15
U S DOLLAR	EURO CURRENCY UNIT	05/20/09	05/22/09	198,297	195,753	2,544
BRITISH POUND STERLING	U S DOLLAR	05/26/09	05/27/09	1,873	1,864	9
EURO CURRENCY UNIT	U S DOLLAR	05/26/09	05/27/09	8,492	8,486	6
EURO CURRENCY UNIT	U S DOLLAR	05/26/09	05/27/09	3,364	3,362	3
U S DOLLAR	BRITISH POUND STERLING	05/21/09	05/27/09	52,784	52,228	556
U S DOLLAR	EURO CURRENCY UNIT	05/27/09	05/29/09	366,097	359,830	6,267
U S DOLLAR	BRITISH POUND STERLING	05/27/09	06/01/09	11,029	10,776	253

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U S DOLLAR	MEXICAN NEW PESO	06/03/09	06/05/09	164,367	163,407	960
U S DOLLAR	SOUTH KOREAN WON	06/03/09	06/05/09	126,136	126,779	(643)
BRITISH POUND STERLING	U S DOLLAR	06/09/09	06/10/09	1,581	1,559	22
SWISS FRANC	U S DOLLAR	06/11/09	06/12/09	18	18	0
EURO CURRENCY UNIT	U S DOLLAR	06/19/09	06/22/09	1,886	1,884	2
EURO CURRENCY UNIT	U S DOLLAR	06/19/09	06/22/09	5,939	5,932	7
EURO CURRENCY UNIT	U S DOLLAR	06/19/09	06/22/09	4,963	4,957	6
BRITISH POUND STERLING	U S DOLLAR	06/22/09	06/23/09	6,680	6,677	2
JAPANESE YEN	U S DOLLAR	06/25/09	06/26/09	1,404	1,420	(16)
JAPANESE YEN	U S DOLLAR	06/25/09	06/26/09	401	406	(5)
JAPANESE YEN	U S DOLLAR	06/29/09	06/30/09	2,140	2,149	(8)
BRITISH POUND STERLING	U S DOLLAR	06/26/09	07/02/09	73,390	73,190	200
MEXICAN NEW PESO	U S DOLLAR	06/26/09	07/02/09	67,262	67,912	(650)
NORWEGIAN KRONE	U S DOLLAR	06/26/09	07/02/09	22,222	22,382	(160)
BRITISH POUND STERLING	U S DOLLAR	07/06/09	07/07/09	995	991	4
MEXICAN NEW PESO	U S DOLLAR	07/06/09	07/07/09	1,548	1,559	(10)
U S DOLLAR	BRITISH POUND STERLING	07/02/09	07/07/09	247,920	251,389	(3,469)
BRITISH POUND STERLING	U S DOLLAR	07/10/09	07/13/09	1,967	1,976	(9)
SOUTH KOREAN WON	U S DOLLAR	07/13/09	07/14/09	794	817	(23)
EURO CURRENCY UNIT	U S DOLLAR	07/13/09	07/17/09	58,597	59,187	(589)
EURO CURRENCY UNIT	U S DOLLAR	07/15/09	07/21/09	68,436	69,012	(575)
SOUTH KOREAN WON	U S DOLLAR	07/20/09	07/22/09	3,998	4,017	(19)
U S DOLLAR	EURO CURRENCY UNIT	07/22/09	07/23/09	227,496	226,993	503
SOUTH KOREAN WON	U S DOLLAR	07/28/09	07/29/09	114,028	113,808	220
U S DOLLAR	EURO CURRENCY UNIT	07/28/09	07/30/09	544,777	547,779	(3,002)
U S DOLLAR	SWISS FRANC	12/10/08	08/06/09	146,566	132,283	14,283
EURO CURRENCY UNIT	U S DOLLAR	08/06/09	08/12/09	38,610	38,067	542
U S DOLLAR	BRITISH POUND STERLING	08/11/09	08/13/09	37,133	36,925	208
U S DOLLAR	BRITISH POUND STERLING	02/27/09	08/13/09	49,779	43,014	6,765
SOUTH KOREAN WON	U S DOLLAR	08/13/09	08/14/09	765	774	(9)
U S DOLLAR	SWISS FRANC	08/12/09	08/17/09	64,773	65,111	(338)
U S DOLLAR	SWISS FRANC	08/13/09	08/18/09	39,648	39,911	(263)
U S DOLLAR	SWISS FRANC	04/27/09	08/19/09	56,757	52,345	4,412
U S DOLLAR	SWISS FRANC	02/27/09	08/19/09	84,424	77,493	6,931
U S DOLLAR	EURO CURRENCY UNIT	08/17/09	08/20/09	20,629	20,424	205
JAPANESE YEN	U S DOLLAR	08/25/09	08/26/09	411	408	4
U S DOLLAR	EURO CURRENCY UNIT	08/26/09	08/28/09	199,104	197,074	2,029
U S DOLLAR	SWISS FRANC	08/26/09	08/28/09	104,010	102,538	1,472
JAPANESE YEN	U S DOLLAR	08/31/09	09/01/09	2,801	2,791	11
EURO CURRENCY UNIT	U S DOLLAR	09/03/09	09/04/09	5,787	5,786	1
EURO CURRENCY UNIT	U S DOLLAR	09/03/09	09/04/09	1,135	1,135	0
U S DOLLAR	BRITISH POUND STERLING	09/01/09	09/04/09	66,800	65,982	817
EURO CURRENCY UNIT	U S DOLLAR	09/02/09	09/08/09	156,865	157,546	(681)
JAPANESE YEN	U S DOLLAR	09/08/09	09/09/09	1,106	1,099	7
BRITISH POUND STERLING	U S DOLLAR	09/09/09	09/10/09	1,430	1,433	(3)
U S DOLLAR	EURO CURRENCY UNIT	09/08/09	09/10/09	356,998	355,564	1,434
EURO CURRENCY UNIT	U S DOLLAR	09/09/09	09/15/09	147,893	148,804	(910)
EURO CURRENCY UNIT	U S DOLLAR	09/09/09	09/15/09	66,551	66,943	(391)
BRITISH POUND STERLING	U S DOLLAR	09/21/09	09/22/09	5,127	5,156	(28)
BRITISH POUND STERLING	U S DOLLAR	09/21/09	09/22/09	2,447	2,461	(14)
EURO CURRENCY UNIT	U S DOLLAR	09/23/09	09/24/09	3,859	3,593	265
U S DOLLAR	EURO CURRENCY UNIT	09/28/09	09/30/09	100,110	100,164	(55)
EURO CURRENCY UNIT	U S DOLLAR	09/30/09	10/01/09	8,294	7,797	496
SOUTH KOREAN WON	U S DOLLAR	10/06/09	10/08/09	49,587	49,838	(251)
U S DOLLAR	BRITISH POUND STERLING	10/07/09	10/09/09	272,824	273,046	(223)
U S DOLLAR	NORWEGIAN KRONE	10/07/09	10/09/09	79,655	78,619	1,036

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U S DOLLAR	SWISS FRANC	10/07/09	10/09/09	172,762	171,868	894
U S DOLLAR	NORWEGIAN KRONE	02/24/09	10/09/09	49,727	41,001	8,725
BRITISH POUND STERLING	U S DOLLAR	10/09/09	10/13/09	1,930	1,929	1
U S DOLLAR	BRITISH POUND STERLING	10/09/09	10/13/09	70,672	70,911	(239)
MEXICAN NEW PESO	U S DOLLAR	10/08/09	10/13/09	51,702	52,155	(453)
MEXICAN NEW PESO	U S DOLLAR	10/12/09	10/14/09	1,549	1,538	11
SOUTH KOREAN WON	U S DOLLAR	10/15/09	10/19/09	41,516	41,273	243
BRITISH POUND STERLING	U S DOLLAR	10/20/09	10/21/09	6,099	6,116	(17)
BRITISH POUND STERLING	U S DOLLAR	10/20/09	10/21/09	3,413	3,422	(9)
U S DOLLAR	MEXICAN NEW PESO	10/26/09	10/28/09	5,432	5,532	(100)
U S DOLLAR	EURO CURRENCY UNIT	10/30/09	11/03/09	73,135	73,372	(237)
U S DOLLAR	SWISS FRANC	11/04/09	11/09/09	77,299	76,508	790
BRITISH POUND STERLING	U S DOLLAR	11/09/09	11/10/09	764	852	(89)
EURO CURRENCY UNIT	U S DOLLAR	11/09/09	11/10/09	3,079	2,736	343
U S DOLLAR	BRITISH POUND STERLING	11/06/09	11/10/09	227,023	225,455	1,568
EURO CURRENCY UNIT	U S DOLLAR	11/12/09	11/13/09	2,038	2,056	(18)
SOUTH KOREAN WON	U S DOLLAR	11/16/09	11/18/09	10,747	10,761	(14)
EURO CURRENCY UNIT	U S DOLLAR	11/19/09	11/20/09	9,007	9,080	(72)
EURO CURRENCY UNIT	U S DOLLAR	11/19/09	11/20/09	4,130	4,163	(33)
U S DOLLAR	SWISS FRANC	11/17/09	11/20/09	5,545	5,560	(16)
SOUTH KOREAN WON	U S DOLLAR	11/24/09	11/27/09	37,817	37,864	(47)
U S DOLLAR	SWISS FRANC	11/24/09	11/27/09	215,470	213,970	1,500
JAPANESE YEN	U S DOLLAR	11/27/09	11/30/09	445	441	3
EURO CURRENCY UNIT	U S DOLLAR	12/01/09	12/04/09	96,196	95,397	799
U S DOLLAR	JAPANESE YEN	12/01/09	12/04/09	65,155	67,667	(2,513)
JAPANESE YEN	U S DOLLAR	12/04/09	12/07/09	1,722	1,737	(15)
EURO CURRENCY UNIT	U S DOLLAR	12/01/09	12/07/09	112,365	111,432	933
MEXICAN NEW PESO	U S DOLLAR	12/07/09	12/08/09	1,611	1,618	(8)
BRITISH POUND STERLING	U S DOLLAR	12/08/09	12/09/09	1,408	1,423	(15)
JAPANESE YEN	U S DOLLAR	12/10/09	12/11/09	1,139	1,140	(1)
MEXICAN NEW PESO	U S DOLLAR	12/10/09	12/11/09	1,497	1,539	(43)
MEXICAN NEW PESO	U S DOLLAR	12/10/09	12/11/09	1,172	1,206	(33)
JAPANESE YEN	U S DOLLAR	12/11/09	12/14/09	1,262	1,285	(24)
BRITISH POUND STERLING	U S DOLLAR	12/17/09	12/18/09	3,977	4,037	(60)
EURO CURRENCY UNIT	U S DOLLAR	12/17/09	12/18/09	3,220	3,273	(54)
EURO CURRENCY UNIT	U S DOLLAR	12/17/09	12/18/09	2,244	2,281	(37)
SOUTH KOREAN WON	U S DOLLAR	12/16/09	12/18/09	100,000	116,154	(16,154)
U S DOLLAR	SOUTH KOREAN WON	12/16/09	12/18/09	116,154	117,153	(999)
U S DOLLAR	BRITISH POUND STERLING	12/15/09	12/18/09	72,876	73,608	(732)
EURO CURRENCY UNIT	U S DOLLAR	12/18/09	12/23/09	91,415	90,917	498
U S DOLLAR	BRITISH POUND STERLING	12/21/09	12/24/09	154,601	155,800	(1,199)
EURO CURRENCY UNIT	U S DOLLAR	12/22/09	12/28/09	83,355	83,946	(591)
U S DOLLAR	BRITISH POUND STERLING	12/23/09	12/30/09	74,827	74,614	213
EURO CURRENCY UNIT	U S DOLLAR	12/29/09	01/06/10	-	-	-
U S DOLLAR	MEXICAN NEW PESO	10/27/09	04/05/10	-	-	-
<b>SHORT TERM</b>				<b>11,347,130</b>	<b>11,293,362</b>	<b>53,768</b>
JAPANESE YEN	U S DOLLAR	12/28/07	01/09/09	170,000	205,964	(35,964)
SOUTH KOREAN WON	U S DOLLAR	01/15/08	01/23/09	130,000	87,950	42,050
MEXICAN NEW PESO	U S DOLLAR	02/04/08	02/11/09	120,000	93,365	26,635
MEXICAN NEW PESO	U S DOLLAR	02/04/08	02/11/09	-	-	-
JAPANESE YEN	U S DOLLAR	02/13/08	02/20/09	260,000	293,439	(33,439)
JAPANESE YEN	U S DOLLAR	02/13/08	02/20/09	-	-	-
EURO CURRENCY UNIT	U S DOLLAR	02/20/08	02/26/09	130,000	113,945	16,055
MEXICAN NEW PESO	U S DOLLAR	03/04/08	03/12/09	100,000	75,144	24,856

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MEXICAN NEW PESO	U S DOLLAR	03/04/08	03/12/09	-	-	-
CANADIAN DOLLAR	U S DOLLAR	03/18/08	03/27/09	100,000	80,718	19,282
MEXICAN NEW PESO	U S DOLLAR	03/31/08	04/13/09	300,000	255,341	44,659
MEXICAN NEW PESO	U S DOLLAR	03/31/08	04/13/09	-	-	-
EURO CURRENCY UNIT	U S DOLLAR	04/21/08	04/29/09	800,000	678,710	121,290
JAPANESE YEN	U S DOLLAR	04/21/08	04/30/09	230,000	236,419	(6,419)
JAPANESE YEN	U S DOLLAR	04/21/08	04/30/09	-	-	-
EURO CURRENCY UNIT	U S DOLLAR	05/06/08	05/14/09	800,000	711,282	88,718
EURO CURRENCY UNIT	U S DOLLAR	05/21/08	05/29/09	400,000	366,097	33,903
MEXICAN NEW PESO	U S DOLLAR	05/27/08	06/05/09	200,000	164,367	35,633
MEXICAN NEW PESO	U S DOLLAR	05/27/08	06/05/09	-	-	-
SOUTH KOREAN WON	U S DOLLAR	05/27/08	06/05/09	150,000	126,136	23,864
EURO CURRENCY UNIT	U S DOLLAR	07/15/08	07/23/09	250,000	227,496	22,504
EURO CURRENCY UNIT	U S DOLLAR	07/22/08	07/30/09	600,000	544,777	55,223
SWISS FRANC	U S DOLLAR	07/29/08	08/06/09	150,000	146,566	3,434
BRITISH POUND STERLING	U S DOLLAR	08/05/08	08/13/09	100,000	86,912	13,088
SWISS FRANC	U S DOLLAR	08/08/08	08/19/09	140,000	141,181	(1,181)
EURO CURRENCY UNIT	U S DOLLAR	08/20/08	08/28/09	200,000	199,104	896
SWISS FRANC	U S DOLLAR	08/20/08	08/28/09	100,000	104,010	(4,010)
EURO CURRENCY UNIT	U S DOLLAR	09/02/08	09/10/09	350,000	356,998	(6,998)
EURO CURRENCY UNIT	U S DOLLAR	09/22/08	09/30/09	100,000	100,110	(110)
BRITISH POUND STERLING	U S DOLLAR	10/01/08	10/09/09	300,000	272,824	27,176
NORWEGIAN KRONE	U S DOLLAR	10/01/08	10/09/09	120,000	129,381	(9,381)
SWISS FRANC	U S DOLLAR	10/01/08	10/09/09	160,000	172,762	(12,762)
SWISS FRANC	U S DOLLAR	11/20/08	11/27/09	180,000	215,470	(35,470)
SOUTH KOREAN WON	U S DOLLAR	12/10/08	12/18/09	-	-	-
<b>LONG TERM</b>				6,640,000	6,186,467	453,533
<b>GRAND TOTAL</b>				17,987,130	17,479,828	507,302