



See a Social Security Number? Say Something!  
Report Privacy Problems to <https://public.resource.org/privacy>  
Or call the IRS Identity Theft Hotline at 1-800-908-4490



# 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 , and ending

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

|                                                                                                           |                                                                                                                                                                                                                                                   |                                                                                                                                                  |                                                                                                                                                                             |
|-----------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Use the IRS label. Otherwise, print or type See Specific Instructions.                                    | Name of foundation<br><b>NOAH'S FAMILY FOUNDATION</b>                                                                                                                                                                                             |                                                                                                                                                  | A Employer identification number<br><b>86-0887816</b>                                                                                                                       |
|                                                                                                           | Number and street (or P.O. box number if mail is not delivered to street address) Room/suite<br><b>C/O JONAH SHACKNAI 7720 N. DOBSON ROAD</b>                                                                                                     |                                                                                                                                                  | B Telephone number<br><b>480-291-5001</b>                                                                                                                                   |
|                                                                                                           | City or town, state, and ZIP code<br><b>SCOTTSDALE, AZ 85256</b>                                                                                                                                                                                  |                                                                                                                                                  | C If exemption application is pending, check here <input type="checkbox"/>                                                                                                  |
|                                                                                                           | H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation |                                                                                                                                                  | D 1 Foreign organizations, check here <input type="checkbox"/><br>2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> |
| I Fair market value of all assets at end of year (from Part II, col (c), line 16)<br>\$ <b>1,316,638.</b> |                                                                                                                                                                                                                                                   | J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) _____ | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>                                                               |
|                                                                                                           |                                                                                                                                                                                                                                                   |                                                                                                                                                  | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>                                                            |

| Part I Analysis of Revenue and Expenses<br>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a)) |                                                                                                | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|----------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|------------------------------------|---------------------------|-------------------------|-------------------------------------------------------------|
| Revenue                                                                                                                                            | 1 Contributions, gifts, grants, etc., received                                                 |                                    |                           | N/A                     |                                                             |
|                                                                                                                                                    | 2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 3 Interest on savings and temporary cash investments                                           |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 4 Dividends and interest from securities                                                       | 23,929.                            | 23,929.                   |                         | STATEMENT 1                                                 |
|                                                                                                                                                    | 5a Gross rents                                                                                 |                                    |                           |                         |                                                             |
|                                                                                                                                                    | b Net rental income or (loss)                                                                  |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 6a Net gain or (loss) from sale of assets not on line 10                                       | <41,299.>                          |                           |                         |                                                             |
|                                                                                                                                                    | b Gross sales price for all assets on line 6a                                                  | 277,653.                           |                           |                         |                                                             |
|                                                                                                                                                    | 7 Capital gain net income (from Part IV, line 2)                                               |                                    | 0.                        |                         |                                                             |
|                                                                                                                                                    | 8 Net short-term capital gain                                                                  |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 9 Income modifications                                                                         |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 10a Gross sales less returns and allowances                                                    |                                    |                           |                         |                                                             |
| b Less Cost of goods sold                                                                                                                          |                                                                                                |                                    |                           |                         |                                                             |
| c Gross profit or (loss)                                                                                                                           |                                                                                                |                                    |                           |                         |                                                             |
| 11 Other income                                                                                                                                    |                                                                                                |                                    |                           |                         |                                                             |
| 12 Total. Add lines 1 through 11                                                                                                                   | <17,370.>                                                                                      | 23,929.                            |                           |                         |                                                             |
| Operating and Administrative Expenses                                                                                                              | 13 Compensation of officers, directors, trustees, etc.                                         | 0.                                 | 0.                        |                         | 0.                                                          |
|                                                                                                                                                    | 14 Other employee salaries and wages                                                           |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 15 Pension plans, employee benefits                                                            |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 16a Legal fees                                                                                 |                                    |                           |                         |                                                             |
|                                                                                                                                                    | b Accounting fees                                                                              | STMT 2                             | 4,624.                    | 3,699.                  | 925.                                                        |
|                                                                                                                                                    | c Other professional fees                                                                      |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 17 Interest                                                                                    |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 18 Taxes                                                                                       | STMT 3                             | 222.                      | 222.                    | 0.                                                          |
|                                                                                                                                                    | 19 Depreciation and depletion                                                                  |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 20 Occupancy                                                                                   |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 21 Travel, conferences, and meetings                                                           |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 22 Printing and publications                                                                   |                                    |                           |                         |                                                             |
|                                                                                                                                                    | 23 Other expenses                                                                              | STMT 4                             | 7,513.                    | 7,304.                  | 85.                                                         |
|                                                                                                                                                    | 24 Total operating and administrative expenses. Add lines 13 through 23                        |                                    | 12,359.                   | 11,225.                 | 1,010.                                                      |
|                                                                                                                                                    | 25 Contributions, gifts, grants paid                                                           |                                    | 31,200.                   |                         | 31,200.                                                     |
| 26 Total expenses and disbursements. Add lines 24 and 25                                                                                           |                                                                                                | 43,559.                            | 11,225.                   | 32,210.                 |                                                             |
| 27 Subtract line 26 from line 12:                                                                                                                  |                                                                                                |                                    |                           |                         |                                                             |
| a Excess of revenue over expenses and disbursements                                                                                                | <60,929.>                                                                                      |                                    |                           |                         |                                                             |
| b Net investment income (if negative, enter -0-)                                                                                                   |                                                                                                | 12,704.                            |                           |                         |                                                             |
| c Adjusted net income (if negative, enter -0-)                                                                                                     |                                                                                                |                                    | N/A                       |                         |                                                             |

923501  
02-02-10

LHA For Privacy Act and Paperwork Reduction Act Notice, see the instructions

1

Form 990-PF (2009)

| <b>Part II Balance Sheets</b>                                       |                                                                                           | Attached schedules and amounts in the description column should be for end-of-year amounts only |            | Beginning of year | End of year    |                       |
|---------------------------------------------------------------------|-------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|------------|-------------------|----------------|-----------------------|
|                                                                     |                                                                                           |                                                                                                 |            | (a) Book Value    | (b) Book Value | (c) Fair Market Value |
| <b>Assets</b>                                                       | 1 Cash - non-interest-bearing                                                             |                                                                                                 |            |                   |                |                       |
|                                                                     | 2 Savings and temporary cash investments                                                  |                                                                                                 |            | 1,201.            | 32,168.        | 32,168.               |
|                                                                     | 3 Accounts receivable ▶                                                                   |                                                                                                 |            |                   |                |                       |
|                                                                     | Less: allowance for doubtful accounts ▶                                                   |                                                                                                 |            |                   |                |                       |
|                                                                     | 4 Pledges receivable ▶                                                                    |                                                                                                 |            |                   |                |                       |
|                                                                     | Less: allowance for doubtful accounts ▶                                                   |                                                                                                 |            |                   |                |                       |
|                                                                     | 5 Grants receivable                                                                       |                                                                                                 |            |                   |                |                       |
|                                                                     | 6 Receivables due from officers, directors, trustees, and other disqualified persons      |                                                                                                 |            |                   |                |                       |
|                                                                     | 7 Other notes and loans receivable ▶                                                      |                                                                                                 |            |                   |                |                       |
|                                                                     | Less: allowance for doubtful accounts ▶                                                   |                                                                                                 |            |                   |                |                       |
|                                                                     | 8 Inventories for sale or use                                                             |                                                                                                 |            |                   |                |                       |
|                                                                     | 9 Prepaid expenses and deferred charges                                                   |                                                                                                 |            |                   |                |                       |
|                                                                     | 10a Investments - U.S. and state government obligations                                   |                                                                                                 |            |                   |                |                       |
|                                                                     | b Investments - corporate stock                                                           |                                                                                                 |            |                   |                |                       |
|                                                                     | c Investments - corporate bonds                                                           |                                                                                                 |            |                   |                |                       |
| 11 Investments - land, buildings, and equipment, basis ▶            |                                                                                           |                                                                                                 |            |                   |                |                       |
| Less: accumulated depreciation ▶                                    |                                                                                           |                                                                                                 |            |                   |                |                       |
| 12 Investments - mortgage loans                                     |                                                                                           |                                                                                                 |            |                   |                |                       |
| 13 Investments - other                                              | STMT 5                                                                                    |                                                                                                 | 1,100,044. | 1,008,148.        | 1,284,470.     |                       |
| 14 Land, buildings, and equipment, basis ▶                          |                                                                                           |                                                                                                 |            |                   |                |                       |
| Less: accumulated depreciation ▶                                    |                                                                                           |                                                                                                 |            |                   |                |                       |
| 15 Other assets (describe ▶ )                                       |                                                                                           |                                                                                                 |            |                   |                |                       |
| 16 Total assets (to be completed by all filers)                     |                                                                                           |                                                                                                 | 1,101,245. | 1,040,316.        | 1,316,638.     |                       |
| <b>Liabilities</b>                                                  | 17 Accounts payable and accrued expenses                                                  |                                                                                                 |            |                   |                |                       |
|                                                                     | 18 Grants payable                                                                         |                                                                                                 |            |                   |                |                       |
|                                                                     | 19 Deferred revenue                                                                       |                                                                                                 |            |                   |                |                       |
|                                                                     | 20 Loans from officers, directors, trustees, and other disqualified persons               |                                                                                                 |            |                   |                |                       |
|                                                                     | 21 Mortgages and other notes payable                                                      |                                                                                                 |            |                   |                |                       |
|                                                                     | 22 Other liabilities (describe ▶ )                                                        |                                                                                                 |            |                   |                |                       |
| 23 Total liabilities (add lines 17 through 22)                      |                                                                                           |                                                                                                 | 0.         | 0.                |                |                       |
| <b>Net Assets or Fund Balances</b>                                  | 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                                       |                                                                                                 |            | 0.                | 0.             |                       |
| 28 Paid-in or capital surplus, or land, bldg., and equipment fund   |                                                                                           |                                                                                                 | 0.         | 0.                |                |                       |
| 29 Retained earnings, accumulated income, endowment, or other funds |                                                                                           |                                                                                                 | 1,101,245. | 1,040,316.        |                |                       |
| 30 Total net assets or fund balances                                |                                                                                           |                                                                                                 | 1,101,245. | 1,040,316.        |                |                       |
| 31 Total liabilities and net assets/fund balances                   |                                                                                           |                                                                                                 | 1,101,245. | 1,040,316.        |                |                       |

**Part III Analysis of Changes in Net Assets or Fund Balances**

|                                                                                                                                                                 |   |            |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|---|------------|
| 1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30<br>(must agree with end-of-year figure reported on prior year's return) | 1 | 1,101,245. |
| 2 Enter amount from Part I, line 27a                                                                                                                            | 2 | <60,929.>  |
| 3 Other increases not included in line 2 (itemize) ▶                                                                                                            | 3 | 0.         |
| 4 Add lines 1, 2, and 3                                                                                                                                         | 4 | 1,040,316. |
| 5 Decreases not included in line 2 (itemize) ▶                                                                                                                  | 5 | 0.         |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30                                                         | 6 | 1,040,316. |

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

|                                                                                                                                                                                 |                                            |                                                                                   |                                                                                                 |                                  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|-----------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|----------------------------------|
| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs MLC Co.)                                               |                                            | (b) How acquired<br>P - Purchase<br>D - Donation                                  | (c) Date acquired<br>(mo., day, yr.)                                                            | (d) Date sold<br>(mo., day, yr.) |
| 1a                                                                                                                                                                              |                                            |                                                                                   |                                                                                                 |                                  |
| b SEE ATTACHED STATEMENT                                                                                                                                                        |                                            |                                                                                   |                                                                                                 |                                  |
| c                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| d                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| e                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| (e) Gross sales price                                                                                                                                                           | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale                                   | (h) Gain or (loss)<br>(e) plus (f) minus (g)                                                    |                                  |
| a                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| b                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| c                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| d                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| e 277,653.                                                                                                                                                                      |                                            | 318,952.                                                                          | <41,299.>                                                                                       |                                  |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69                                                                                     |                                            |                                                                                   | (i) Gains (Col. (h) gain minus<br>col. (k), but not less than -0-) or<br>Losses (from col. (h)) |                                  |
| (i) F.M.V. as of 12/31/69                                                                                                                                                       | (j) Adjusted basis<br>as of 12/31/69       | (k) Excess of col. (i)<br>over col. (j), if any                                   |                                                                                                 |                                  |
| a                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| b                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| c                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| d                                                                                                                                                                               |                                            |                                                                                   |                                                                                                 |                                  |
| e                                                                                                                                                                               |                                            |                                                                                   | <41,299.>                                                                                       |                                  |
| 2 Capital gain net income or (net capital loss)                                                                                                                                 |                                            | { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 |                                                                                                 | 2 <41,299.>                      |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter -0- in Part I, line 8 |                                            | { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 |                                                                                                 | 3 N/A                            |

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

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

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

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

☐ Yes ☒ No

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

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

| (a)<br>Base period years<br>Calendar year (or tax year beginning in)                                                                                                                                                   | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(col. (b) divided by col. (c)) |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-------------------------------------------------------------|
| 2008                                                                                                                                                                                                                   | 463,979.                                 | 1,537,671.                                   | .301741                                                     |
| 2007                                                                                                                                                                                                                   | 164,783.                                 | 2,204,174.                                   | .074760                                                     |
| 2006                                                                                                                                                                                                                   | 270,515.                                 | 1,820,879.                                   | .148563                                                     |
| 2005                                                                                                                                                                                                                   | 569,776.                                 | 2,019,671.                                   | .282113                                                     |
| 2004                                                                                                                                                                                                                   | 278,947.                                 | 2,551,221.                                   | .109339                                                     |
| 2 Total of line 1, column (d)                                                                                                                                                                                          |                                          |                                              | 2 .916516                                                   |
| 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 .183303                                                   |
| 4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5                                                                                                                                         |                                          |                                              | 4 1,086,417.                                                |
| 5 Multiply line 4 by line 3                                                                                                                                                                                            |                                          |                                              | 5 199,143.                                                  |
| 6 Enter 1% of net investment income (1% of Part I, line 27b)                                                                                                                                                           |                                          |                                              | 6 127.                                                      |
| 7 Add lines 5 and 6                                                                                                                                                                                                    |                                          |                                              | 7 199,270.                                                  |
| 8 Enter qualifying distributions from Part XII, line 4<br>If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate.<br>See the Part VI instructions |                                          |                                              | 8 32,210.                                                   |

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

|                                                                                                                                                                                                                                        |    |        |      |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|--------|------|
| 1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1.<br>Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions) |    | 1      | 254. |
| b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b                                                                                      |    |        |      |
| c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)                                                                                                               |    |        |      |
| 2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                            |    | 2      | 0.   |
| 3 Add lines 1 and 2                                                                                                                                                                                                                    |    | 3      | 254. |
| 4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                          |    | 4      | 0.   |
| 5 Tax based on investment income Subtract line 4 from line 3. If zero or less, enter -0-                                                                                                                                               |    | 5      | 254. |
| 6 Credits/Payments:                                                                                                                                                                                                                    |    |        |      |
| a 2009 estimated tax payments and 2008 overpayment credited to 2009                                                                                                                                                                    | 6a | 2,136. |      |
| b Exempt foreign organizations - tax withheld at source                                                                                                                                                                                | 6b |        |      |
| c Tax paid with application for extension of time to file (Form 8868)                                                                                                                                                                  | 6c |        |      |
| d Backup withholding erroneously withheld                                                                                                                                                                                              | 6d |        |      |
| 7 Total credits and payments. Add lines 6a through 6d                                                                                                                                                                                  | 7  | 2,136. |      |
| 8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached                                                                                                                    | 8  |        |      |
| 9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed                                                                                                                                                        | 9  |        |      |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid                                                                                                                                           | 10 | 1,882. |      |
| 11 Enter the amount of line 10 to be Credited to 2010 estimated tax                                                                                                                                                                    | 11 | 0.     |      |

**Part VII-A Statements Regarding Activities**

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

Form 990-PF (2009)

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

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

Website address ► N/A

14 The books are in care of ► PENNY GREENLER Telephone no. ► 480-291-5001  
 Located at ► 7720 N. DOBSON ROAD, SCOTTSDALE, AZ ZIP+4 ► 85256

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ☐  
 and enter the amount of tax-exempt interest received or accrued during the year ► 15 | N/A

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Yes | No |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1a  | During the year did the foundation (either directly or indirectly):                                                                                                                                                                                                                                                                                                                                                                                                                                |     |    |
| (1) | Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                             |     |    |
| (2) | Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                     |     |    |
| (3) | Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                         |     |    |
| (4) | Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                               |     |    |
| (5) | Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                      |     |    |
| (6) | Agree to pay money or property to a government official? (Exception Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                     |     |    |
| b   | If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/> N/A                                                                                                                                                | 1b  |    |
| c   | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?                                                                                                                                                                                                                                                                                                            | 1c  | X  |
| 2   | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):                                                                                                                                                                                                                                                                                                                     |     |    |
| a   | At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No<br>If "Yes," list the years ► _____                                                                                                                                                                                                                                          |     |    |
| b   | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A                                                                                                                                                                                      | 2b  |    |
| c   | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____                                                                                                                                                                                                                                                                                                                                                                           |     |    |
| 3a  | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                     |     |    |
| b   | If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009) N/A | 3b  |    |
| 4a  | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?                                                                                                                                                                                                                                                                                                                                                                                    | 4a  | X  |
| b   | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2009?                                                                                                                                                                                                                                                                  | 4b  | X  |

Form 990-PF (2009)

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

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

6b

X

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

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

☐ Yes ☒ No

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

N/A

7b

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

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

| (a) Name and address      | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---------------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| JONAH SHACKNAI            | PRES. & DIRECTOR                                          |                                           |                                                                       |                                       |
| 7720 N. DOBSON ROAD       |                                                           |                                           |                                                                       |                                       |
| SCOTTSDALE, AZ 85256      | 1.00                                                      | 0.                                        | 0.                                                                    | 0.                                    |
| HOWARD J. LUBER, M.D.     | SECRETARY/TREASURER                                       |                                           |                                                                       |                                       |
| 6105 E CABALLO DR.        |                                                           |                                           |                                                                       |                                       |
| PARADISE VALLEY, AZ 85253 | 1.00                                                      | 0.                                        | 0.                                                                    | 0.                                    |
|                           |                                                           |                                           |                                                                       |                                       |
|                           |                                                           |                                           |                                                                       |                                       |
|                           |                                                           |                                           |                                                                       |                                       |
|                           |                                                           |                                           |                                                                       |                                       |
|                           |                                                           |                                           |                                                                       |                                       |

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

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

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

0

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. If none, enter "NONE."

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

Total number of others receiving over \$50,000 for professional services

0

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

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

|                                                                                                                                                                                                                                                                                                                                                                           | Expenses |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| 1 NOAH'S FAMILY FOUNDATION MAKES NO PROGRAM RELATED INVESTMENTS. NO DIRECT CHARITABLE ACTIVITIES ARE CARRIED ON BY THE FOUNDATION. ALL ADMINISTRATIVE EXPENSES INCURRED IN CONNECTION WITH OUR TAX EXEMPT PURPOSE WERE ALLOCATED TO GRANT MAKING ACTIVITIES. ALL OTHER EXPENSES OF THE FOUNDATION WERE PROPERLY ALLOCABLE TO THE INVESTMENT ACTIVITIES OF THE FOUNDATION. | 0.       |
| 2                                                                                                                                                                                                                                                                                                                                                                         | 0.       |
| 3                                                                                                                                                                                                                                                                                                                                                                         | 0.       |
| 4                                                                                                                                                                                                                                                                                                                                                                         | 0.       |

**Part IX-B** Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

|                                                          | Amount |
|----------------------------------------------------------|--------|
| 1 NONE                                                   | 0.     |
| 2                                                        |        |
| All other program-related investments. See instructions. |        |
| 3 NONE                                                   | 0.     |
| Total. Add lines 1 through 3                             | 0.     |

Form 990-PF (2009)



**Part X Minimum Investment Return** (All domestic foundations must complete this part. Foreign foundations, see instructions.)

|                                                                                                                      |           |            |
|----------------------------------------------------------------------------------------------------------------------|-----------|------------|
| <b>1</b> Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: |           |            |
| <b>a</b> Average monthly fair market value of securities                                                             | <b>1a</b> | 1,095,089. |
| <b>b</b> Average of monthly cash balances                                                                            | <b>1b</b> | 7,872.     |
| <b>c</b> Fair market value of all other assets                                                                       | <b>1c</b> |            |
| <b>d</b> Total (add lines 1a, b, and c)                                                                              | <b>1d</b> | 1,102,961. |
| <b>e</b> Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)   | <b>1e</b> | 0.         |
| <b>2</b> Acquisition indebtedness applicable to line 1 assets                                                        | <b>2</b>  | 0.         |
| <b>3</b> Subtract line 2 from line 1d                                                                                | <b>3</b>  | 1,102,961. |
| <b>4</b> Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)   | <b>4</b>  | 16,544.    |
| <b>5</b> Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4        | <b>5</b>  | 1,086,417. |
| <b>6</b> Minimum investment return. Enter 5% of line 5                                                               | <b>6</b>  | 54,321.    |

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

|                                                                                                             |           |         |
|-------------------------------------------------------------------------------------------------------------|-----------|---------|
| <b>1</b> Minimum investment return from Part X, line 6                                                      | <b>1</b>  | 54,321. |
| <b>2a</b> Tax on investment income for 2009 from Part VI, line 5                                            | <b>2a</b> | 254.    |
| <b>b</b> Income tax for 2009. (This does not include the tax from Part VI.)                                 | <b>2b</b> |         |
| <b>c</b> Add lines 2a and 2b                                                                                | <b>2c</b> | 254.    |
| <b>3</b> Distributable amount before adjustments. Subtract line 2c from line 1                              | <b>3</b>  | 54,067. |
| <b>4</b> Recoveries of amounts treated as qualifying distributions                                          | <b>4</b>  | 0.      |
| <b>5</b> Add lines 3 and 4                                                                                  | <b>5</b>  | 54,067. |
| <b>6</b> Deduction from distributable amount (see instructions)                                             | <b>6</b>  | 0.      |
| <b>7</b> Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | <b>7</b>  | 54,067. |

**Part XII Qualifying Distributions** (see instructions)

|                                                                                                                                            |           |         |
|--------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------|
| <b>1</b> Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:                                        |           |         |
| <b>a</b> Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26                                                     | <b>1a</b> | 32,210. |
| <b>b</b> Program-related investments - total from Part IX-B                                                                                | <b>1b</b> | 0.      |
| <b>2</b> Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes                         | <b>2</b>  |         |
| <b>3</b> Amounts set aside for specific charitable projects that satisfy the:                                                              |           |         |
| <b>a</b> Suitability test (prior IRS approval required)                                                                                    | <b>3a</b> |         |
| <b>b</b> Cash distribution test (attach the required schedule)                                                                             | <b>3b</b> |         |
| <b>4</b> Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4                        | <b>4</b>  | 32,210. |
| <b>5</b> Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | <b>5</b>  | 0.      |
| <b>6</b> Adjusted qualifying distributions. Subtract line 5 from line 4                                                                    | <b>6</b>  | 32,210. |

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

Form 990-PF (2009)

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

|                                                                                                                                                                            | (a)<br>Corpus | (b)<br>Years prior to 2008 | (c)<br>2008 | (d)<br>2009 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2009 from Part XI, line 7                                                                                                                       |               |                            |             | 54,067.     |
| 2 Undistributed income, if any, as of the end of 2009                                                                                                                      |               |                            |             |             |
| a Enter amount for 2008 only                                                                                                                                               |               |                            | 0.          |             |
| b Total for prior years:                                                                                                                                                   |               | 0.                         |             |             |
| 3 Excess distributions carryover, if any, to 2009:                                                                                                                         |               |                            |             |             |
| a From 2004                                                                                                                                                                | 152,428.      |                            |             |             |
| b From 2005                                                                                                                                                                | 471,386.      |                            |             |             |
| c From 2006                                                                                                                                                                | 180,953.      |                            |             |             |
| d From 2007                                                                                                                                                                | 56,726.       |                            |             |             |
| e From 2008                                                                                                                                                                | 387,541.      |                            |             |             |
| f Total of lines 3a through e                                                                                                                                              | 1,249,034.    |                            |             |             |
| 4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$                                                                                                            | 32,210.       |                            |             |             |
| a Applied to 2008, but not more than line 2a                                                                                                                               |               |                            | 0.          |             |
| b Applied to undistributed income of prior years (Election required - see instructions)                                                                                    |               | 0.                         |             |             |
| c Treated as distributions out of corpus (Election required - see instructions)                                                                                            | 0.            |                            |             |             |
| d Applied to 2009 distributable amount                                                                                                                                     |               |                            |             | 32,210.     |
| e Remaining amount distributed out of corpus                                                                                                                               | 0.            |                            |             |             |
| 5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a))                                         | 21,857.       |                            |             | 21,857.     |
| 6 Enter the net total of each column as indicated below:                                                                                                                   |               |                            |             |             |
| a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5                                                                                                                        | 1,227,177.    |                            |             |             |
| b Prior years' undistributed income. Subtract line 4b from line 2b                                                                                                         |               | 0.                         |             |             |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed |               | 0.                         |             |             |
| d Subtract line 6c from line 6b. Taxable amount - see instructions                                                                                                         |               | 0.                         |             |             |
| e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see instr.                                                                                |               |                            | 0.          |             |
| f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010                                                              |               |                            |             | 0.          |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)                                                     | 0.            |                            |             |             |
| 8 Excess distributions carryover from 2004 not applied on line 5 or line 7                                                                                                 | 130,571.      |                            |             |             |
| 9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a                                                                                              | 1,096,606.    |                            |             |             |
| 10 Analysis of line 9:                                                                                                                                                     |               |                            |             |             |
| a Excess from 2005                                                                                                                                                         | 471,386.      |                            |             |             |
| b Excess from 2006                                                                                                                                                         | 180,953.      |                            |             |             |
| c Excess from 2007                                                                                                                                                         | 56,726.       |                            |             |             |
| d Excess from 2008                                                                                                                                                         | 387,541.      |                            |             |             |
| e Excess from 2009                                                                                                                                                         |               |                            |             |             |

N/A

86088781

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

| Recipient<br>Name and address (home or business)                                     | If recipient is an individual,<br>show any relationship to<br>any foundation manager<br>or substantial contributor | Foundation<br>status of<br>recipient | Purpose of grant or<br>contribution   | Amount         |
|--------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|--------------------------------------|---------------------------------------|----------------|
| <b>a</b> Paid during the year                                                        |                                                                                                                    |                                      |                                       |                |
| SCOTTSDALE SOCCER<br>FOUNDATION<br>P.O. BOX 5075<br>SCOTTSDALE, AZ 85261             | NONE                                                                                                               | 501(C)(3)                            | GENERAL FUND                          | 500.           |
| JOE JACKSON FOUNDATION<br>P.O. BOX 13007 CHANDLER,<br>AZ 85248                       | NONE                                                                                                               | 501(C)(3)                            | GENERAL FUND                          | 100.           |
| PHOENIX COUNTRY DAY<br>SCHOOL<br>3901 E. STANFORD DRIVE<br>PARADISE VALLEY, AZ 85253 | NONE                                                                                                               | 501(C)(3)                            | GARVIN SCHOLARSHIP<br>ENDOWMENT FUND  | 5,000.         |
| PHOENIX COUNTRY DAY<br>SCHOOL<br>3901 E. STANFORD DRIVE<br>PARADISE VALLEY, AZ 85253 | NONE                                                                                                               | 501(C)(3)                            | PROJECT EXCELLENCE AND<br>ANNUAL FUND | 25,000.        |
| BICYCLES FOR KIDS<br>2425 E. CAMELBACK ROAD<br>PHOENIX, AZ 85016                     | NONE                                                                                                               | 501(C)(3)                            | GENERAL FUND                          | 100.           |
| DELTA SOCIETY<br>875 124TH AVENUE NE<br>BELLEVUE, WA 98005                           | NONE                                                                                                               | 501(C)(3)                            | GENERAL FUND                          | 500.           |
| <b>Total</b>                                                                         |                                                                                                                    |                                      |                                       | <b>31,200.</b> |
| <b>b</b> Approved for future payment                                                 |                                                                                                                    |                                      |                                       |                |
| NONE                                                                                 |                                                                                                                    |                                      |                                       |                |
| <b>Total</b>                                                                         |                                                                                                                    |                                      |                                       | <b>0.</b>      |



## Part XVII

**Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations**

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

[illegible]

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

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|--------------------------|--------------------------|---------------------------------|
| N/A                      |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |
|                          |                          |                                 |

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

**Sign Here**

Signature of officer or trustee

Date \_\_\_\_\_

Title

Preparer's  
signature

Date

☐ Check if self-employed

Preparer's identifying number

Firm's name (or yours if self-employed), address, and ZIP code

RSM MCGLADREY, INC.  
501 N. 44TH STREET, #300  
PHOENIX, AZ 85008

11/2/10

EIN ▶ 41-1944416

Phone no. 602-636-6000

Form 990-PF (2009)

NOAH'S FAMILY FOUNDATION

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,<br>2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired<br>P - Purchase<br>D - Donation | (c) Date acquired<br>(mo., day, yr.) | (d) Date sold<br>(mo., day, yr.) |
|--------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|--------------------------------------|----------------------------------|
| 1a UBS 614 - S/T - SEE STATEMENT A                                                                                                   | P                                                | VARIOUS                              | VARIOUS                          |
| b UBS 614 - L/T - SEE STATEMENT B                                                                                                    | P                                                | VARIOUS                              | VARIOUS                          |
| c COVIDIEN PLC                                                                                                                       | P                                                | VARIOUS                              | 12/23/09                         |
| d BNP PARIBAS SA ADR                                                                                                                 | P                                                | VARIOUS                              | 11/09/09                         |
| e CAPITALLAND LTD SPON ADR                                                                                                           | P                                                | VARIOUS                              | 03/23/09                         |
| f CRH PLC IRELAND SPON ADR                                                                                                           | P                                                | VARIOUS                              | 03/30/09                         |
| g RIO TINTO PLC SPON ADR                                                                                                             | P                                                | VARIOUS                              | 07/17/09                         |
| h WOLSELEY PLC ADR                                                                                                                   | P                                                | VARIOUS                              | 05/04/09                         |
| i CAPITAL GAINS DIVIDENDS                                                                                                            |                                                  |                                      |                                  |
| j                                                                                                                                    |                                                  |                                      |                                  |
| k                                                                                                                                    |                                                  |                                      |                                  |
| l                                                                                                                                    |                                                  |                                      |                                  |
| m                                                                                                                                    |                                                  |                                      |                                  |
| n                                                                                                                                    |                                                  |                                      |                                  |
| o                                                                                                                                    |                                                  |                                      |                                  |

| (e) Gross sales price | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale | (h) Gain or (loss)<br>(e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| a 164,702.            |                                            | 165,884.                                        | <1,182.>                                     |
| b 108,233.            |                                            | 152,389.                                        | <44,156.>                                    |
| c 97.                 |                                            | 80.                                             | 17.                                          |
| d 40.                 |                                            | 40.                                             | 0.                                           |
| e 42.                 |                                            | 42.                                             | 0.                                           |
| f 49.                 |                                            | 49.                                             | 0.                                           |
| g 160.                |                                            | 160.                                            | 0.                                           |
| h 308.                |                                            | 308.                                            | 0.                                           |
| i 4,022.              |                                            |                                                 | 4,022.                                       |
| j                     |                                            |                                                 |                                              |
| k                     |                                            |                                                 |                                              |
| l                     |                                            |                                                 |                                              |
| m                     |                                            |                                                 |                                              |
| n                     |                                            |                                                 |                                              |
| o                     |                                            |                                                 |                                              |

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

| (i) F.M.V. as of 12/31/69 | (j) Adjusted basis<br>as of 12/31/69 | (k) Excess of col. (i)<br>over col. (j), if any | (l) Losses (from col. (h))<br>Gains (excess of col. (h) gain over col. (k),<br>but not less than "-0-") |
|---------------------------|--------------------------------------|-------------------------------------------------|---------------------------------------------------------------------------------------------------------|
| a                         |                                      |                                                 | <1,182.>                                                                                                |
| b                         |                                      |                                                 | <44,156.>                                                                                               |
| c                         |                                      |                                                 | 17.                                                                                                     |
| d                         |                                      |                                                 | 0.                                                                                                      |
| e                         |                                      |                                                 | 0.                                                                                                      |
| f                         |                                      |                                                 | 0.                                                                                                      |
| g                         |                                      |                                                 | 0.                                                                                                      |
| h                         |                                      |                                                 | 0.                                                                                                      |
| i                         |                                      |                                                 | 4,022.                                                                                                  |
| j                         |                                      |                                                 |                                                                                                         |
| k                         |                                      |                                                 |                                                                                                         |
| l                         |                                      |                                                 |                                                                                                         |
| m                         |                                      |                                                 |                                                                                                         |
| n                         |                                      |                                                 |                                                                                                         |
| o                         |                                      |                                                 |                                                                                                         |

|                                                                                                                                                                                    |   |           |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----------|
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7<br>If (loss), enter "-0-" in Part I, line 7 }                                              | 2 | <41,299.> |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6).<br>If gain, also enter in Part I, line 8, column (c)<br>If (loss), enter "-0-" in Part I, line 8 } | 3 | N/A       |

C32G015109-X

**2009 Realized Gain/Loss Summary** (Includes sale proceeds not reported on Form 1099-B)

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

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

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

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

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

**Short-Term Gain/Loss**

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

| Security Description | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| ACE LTD              | Trade         | 2.000                   |                        | 09/19/08                       | 05/29/09     | 87.24       | 121.52                 | -34.28    |         | Y                 |
|                      | Trade         | 2.000                   |                        | 09/19/08                       | 06/01/09     | 89.15       | 121.52                 | -32.37    |         | Y                 |
|                      | Trade         | 1.000                   |                        | 09/19/08                       | 06/02/09     | 45.22       | 60.76                  | -15.54    |         | Y                 |
|                      | Trade         | 3.000                   |                        | 10/31/08                       | 06/02/09     | 135.68      | 172.07                 | -36.39    |         | Y                 |
|                      | Trade         | 4.000                   |                        | 10/30/08                       | 06/03/09     | 181.41      | 225.74                 | -44.33    |         | Y                 |
|                      | Trade         | 2.000                   |                        | 10/31/08                       | 06/03/09     | 90.70       | 114.72                 | -24.02    |         | Y                 |
|                      | Trade         | 3.000                   |                        | 10/29/08                       | 08/19/09     | 149.58      | 162.08                 | -12.48    |         | Y                 |
|                      | Trade         | 1.000                   |                        | 10/30/08                       | 08/19/09     | 49.85       | 56.43                  | -6.58     |         | Y                 |
| AFLAC INC            | Trade         | 3.000                   |                        | 09/19/08                       | 08/19/09     | 121.62      | 191.61                 | -69.99    |         | Y                 |



C32G015110-X

## Short-Term Gain/Loss - continued

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

| Security Description    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matched<br>1099-B |
|-------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| AFLAC INC               | Trade         | 2 000                   |                        | 11/06/08                       | 08/19/09     | 81 08       | 89.21                  | -8 13     |         | Y                 |
| AKZO NOBEL NV ADR       | Trade         | 8 000                   |                        | 10/10/08                       | 04/06/09     | 332 53      | 302 31                 | 30 22     |         | Y                 |
|                         | Trade         | 3,000                   |                        | 10/13/08                       | 04/06/09     | 124 70      | 121 27                 | 3.43      |         | Y                 |
|                         | Trade         | 5 000                   |                        | 10/21/08                       | 04/06/09     | 207.83      | 194.00                 | 13.83     |         | Y                 |
|                         | Trade         | 2 000                   |                        | 01/14/09                       | 04/06/09     | 83 13       | 80 50                  | 2.63      |         | Y                 |
|                         | Trade         | 2,000                   |                        | 01/15/09                       | 04/06/09     | 83 13       | 79.03                  | 4 10      |         | Y                 |
|                         | Trade         | 2 000                   |                        | 01/20/09                       | 04/06/09     | 83 13       | 77 72                  | 5.41      |         | Y                 |
| ALLIANZ SE ADR          | Trade         | 4,000                   |                        | 07/09/08                       | 04/16/09     | 37.74       | 69 94                  | -32.20    |         | Y                 |
|                         | Trade         | 20,000                  |                        | 07/10/08                       | 04/16/09     | 188 70      | 355.38                 | -166 68   |         | Y                 |
|                         | Trade         | 4 000                   |                        | 07/11/08                       | 04/16/09     | 37.74       | 69 32                  | -31 58    |         | Y                 |
|                         | Trade         | 7,000                   |                        | 07/17/08                       | 04/16/09     | 66 05       | 119 37                 | -53 32    |         | Y                 |
|                         | Trade         | 17 000                  |                        | 07/21/08                       | 04/16/09     | 160 40      | 304 10                 | -143.70   |         | Y                 |
|                         | Trade         | 12 000                  |                        | 09/19/08                       | 04/16/09     | 113.22      | 175 78                 | -62.56    |         | Y                 |
| ALPHA BANK A E SPON ADR | Trade         | 75,000                  |                        | 04/11/08                       | 04/06/09     | 141 14      | 608.97                 | -467.83   |         | Y                 |
|                         | Trade         | 15 000                  |                        | 04/14/08                       | 04/06/09     | 28 22       | 119.15                 | -90 93    |         | Y                 |
|                         | Trade         | 3 000                   |                        | 04/15/08                       | 04/06/09     | 5 64        | 23.92                  | -18 28    |         | Y                 |
|                         | Trade         | 15 000                  |                        | 07/17/08                       | 04/06/09     | 28 22       | 112 98                 | -84 76    |         | Y                 |
|                         | Trade         | 4,000                   |                        | 09/22/08                       | 04/06/09     | 7.52        | 23 65                  | -16.13    |         | Y                 |
|                         | Trade         | 6 000                   |                        | 09/19/08                       | 04/07/09     | 10 70       | 35 04                  | -24 34    |         | Y                 |
|                         | Trade         | 9 000                   |                        | 09/22/08                       | 04/07/09     | 16.05       | 53.22                  | -37.17    |         | Y                 |
|                         | Trade         | 1 000                   |                        | 09/19/08                       | 04/08/09     | 1.84        | 5.84                   | -4.00     |         | Y                 |
|                         | Trade         | 1 000                   |                        | 09/19/08                       | 04/09/09     | 2.19        | 5 84                   | -3 65     |         | Y                 |
| AMER ELECTRIC POWER CO  | Trade         | 3 000                   |                        | 09/19/08                       | 08/19/09     | 92 02       | 114 02                 | -22 00    |         | Y                 |
|                         | Trade         | 7,000                   |                        | 10/21/08                       | 08/19/09     | 214.72      | 218.26                 | -3.54     |         | Y                 |
| AMGEN INC               | Trade         | 5 000                   |                        | 09/10/08                       | 08/19/09     | 300 28      | 310 32                 | -10 04    |         | Y                 |
| ANADARKO PETROLEUM CORP | Trade         | 6 000                   |                        | 11/10/08                       | 05/12/09     | 272.38      | 227 48                 | 44 90     |         | Y                 |
|                         | Trade         | 7 000                   |                        | 12/18/08                       | 05/12/09     | 317.77      | 259 62                 | 58 15     |         | Y                 |
|                         | Trade         | 3 000                   |                        | 02/05/09                       | 05/12/09     | 136 18      | 122 88                 | 13.30     |         | Y                 |
|                         | Trade         | 7 000                   |                        | 02/06/09                       | 05/12/09     | 317.77      | 289 07                 | 28 70     |         | Y                 |
|                         | Trade         | 9 000                   |                        | 12/18/08                       | 05/13/09     | 398 49      | 333 80                 | 64 69     |         | Y                 |
|                         | Trade         | 5 000                   |                        | 12/18/08                       | 08/19/09     | 256 40      | 185 44                 | 70 96     |         | Y                 |
|                         | Trade         | 15 000                  |                        | 12/18/08                       | 10/08/09     | 1,015 68    | 556 33                 | 459 35    |         | Y                 |

C32G015111-X

## Short-Term Gain/Loss - continued

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

| Security Description           | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099-B |
|--------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-----------------|
| ANADARKO PETROLEUM CORP        | Trade         | 9,000                   |                        | 11/05/08                       | 10/09/09     | 606.90      | 318.67                 | 288.23    |         | Y               |
|                                | Trade         | 11,000                  |                        | 11/06/08                       | 10/09/09     | 741.77      | 371.26                 | 370.51    |         | Y               |
|                                | Trade         | 2,000                   |                        | 11/07/08                       | 10/09/09     | 134.86      | 70.79                  | 64.07     |         | Y               |
|                                | Trade         | 3,000                   |                        | 11/11/08                       | 10/09/09     | 202.30      | 111.15                 | 91.15     |         | Y               |
|                                | Trade         | 9,000                   |                        | 11/12/08                       | 10/09/09     | 606.90      | 324.27                 | 282.63    |         | Y               |
|                                | Trade         | 11,000                  |                        | 12/18/08                       | 10/09/09     | 741.77      | 407.98                 | 333.79    |         | Y               |
|                                | Trade         | 1,000                   |                        | 11/06/08                       | 10/12/09     | 68.56       | 33.75                  | 34.81     |         | Y               |
| ANALOG DEVICES INC             | Trade         | 6,000                   |                        | 07/17/08                       | 03/19/09     | 121.80      | 190.93                 | -69.33    |         | Y               |
|                                | Trade         | 4,000                   |                        | 09/19/08                       | 03/23/09     | 80.31       | 110.32                 | -30.01    |         | Y               |
| ANHEUSER-BUSCH INBEV SA<br>ORD | Trade         | 2,000                   |                        | 01/14/09                       | 10/20/09     | 100.10      | 48.98                  | 51.12     |         | Y               |
|                                | Trade         | 4,000                   |                        | 01/14/09                       | 11/09/09     | 196.81      | 97.97                  | 98.84     |         | Y               |
|                                | Trade         | 6,000                   |                        | 01/16/09                       | 11/09/09     | 295.21      | 137.74                 | 157.47    |         | Y               |
|                                | Trade         | 7,000                   |                        | 01/15/09                       | 11/10/09     | 337.34      | 156.05                 | 181.29    |         | Y               |
|                                | Trade         | 3,000                   |                        | 01/16/09                       | 11/10/09     | 144.57      | 68.87                  | 75.70     |         | Y               |
|                                | Trade         | 4,000                   |                        | 01/15/09                       | 11/12/09     | 189.05      | 89.17                  | 99.88     |         | Y               |
| APPLE INC                      | Trade         | 11,000                  |                        | 03/20/09                       | 06/18/09     | 1,505.99    | 1,127.49               | 378.50    |         | Y               |
|                                | Trade         | 4,000                   |                        | 02/05/09                       | 06/19/09     | 552.18      | 386.08                 | 166.12    |         | Y               |
|                                | Trade         | 5,000                   |                        | 12/18/08                       | 08/19/09     | 822.21      | 448.65                 | 373.56    |         | Y               |
|                                | Trade         | 5,000                   |                        | 12/18/08                       | 10/08/09     | 949.62      | 448.65                 | 500.97    |         | Y               |
|                                | Trade         | 3,000                   |                        | 12/18/08                       | 10/09/09     | 570.00      | 269.19                 | 300.81    |         | Y               |
| AT&T INC                       | Trade         | 6,000                   |                        | 09/19/08                       | 08/19/09     | 152.23      | 180.79                 | -28.56    |         | Y               |
|                                | Trade         | 11,000                  |                        | 10/21/08                       | 08/19/09     | 279.10      | 280.67                 | -1.57     |         | Y               |
| AUTODESK INC                   | Trade         | 12,000                  |                        | 10/14/09                       | 12/23/09     | 303.03      | 300.91                 | 2.12      |         | Y               |
| AVON PRODUCTS INC              | Trade         | 5,000                   |                        | 05/27/09                       | 08/19/09     | 160.06      | 132.27                 | 27.79     |         | Y               |
|                                | Trade         | 3,000                   |                        | 05/26/09                       | 12/23/09     | 96.24       | 78.93                  | 17.31     |         | Y               |
|                                | Trade         | 5,000                   |                        | 05/27/09                       | 12/23/09     | 160.40      | 132.27                 | 28.13     |         | Y               |
| AXA ADR                        | Trade         | 6,000                   |                        | 07/17/08                       | 04/06/09     | 81.65       | 175.70                 | -94.05    |         | Y               |
|                                | Trade         | 7,000                   |                        | 12/10/08                       | 04/06/09     | 95.26       | 150.73                 | -55.47    |         | Y               |
| BAKER HUGHES INC               | Trade         | 2,000                   |                        | 09/19/08                       | 08/19/09     | 74.33       | 133.82                 | -59.49    |         | Y               |
|                                | Trade         | 5,000                   |                        | 10/16/09                       | 12/23/09     | 204.15      | 235.79                 | -31.64    |         | Y               |

C32G015112-X

## Short-Term Gain/Loss - continued

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

| Security Description                                | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|-----------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| BAKER HUGHES INC                                    | Trade         | 3 000                   |                        | 10/19/09                       | 12/23/09     | 122 49      | 141 15                 | -18 66    |         | Y                |
| BANCO BILBAO VIZCAYA                                | Trade         | 2 000                   |                        | 09/03/08                       | 04/16/09     | 20 99       | 34 39                  | -13 40    |         | Y                |
| ARGENTARIA S A SPON                                 | Trade         | 76 000                  |                        | 09/04/08                       | 04/16/09     | 797 78      | 1,265 12               | -467 34   |         | Y                |
| ADR                                                 | Trade         | 20 000                  |                        | 09/19/08                       | 04/16/09     | 209 94      | 335 13                 | -125 19   |         | Y                |
|                                                     | Trade         | 1 000                   |                        | 09/04/08                       | 04/29/09     | 10 68       | 13.58                  | -2 90     |         | Y                |
|                                                     | Trade         | 6 000                   |                        | 09/09/09                       | 12/23/09     | 108 84      | 108 26                 | 58        |         | Y                |
| BANK OF NEW YORK MELLON<br>CORP                     | Trade         | 4 000                   |                        | 09/19/08                       | 08/19/09     | 114 28      | 139.78                 | -25.50    |         | Y                |
|                                                     | Trade         | 6 000                   |                        | 10/01/08                       | 08/19/09     | 171 42      | 194 49                 | -23 07    |         | Y                |
|                                                     | Trade         | 5 000                   |                        | 10/02/08                       | 08/19/09     | 142 85      | 158 76                 | -15 91    |         | Y                |
| BANK OF AMER CORP                                   | Trade         | 14 000                  |                        | 08/14/09                       | 08/19/09     | 235.24      | 236.05                 | - 81      |         | Y                |
|                                                     | Trade         | 28 000                  |                        | 10/09/09                       | 12/23/09     | 425 93      | 488 35                 | -62 42    |         | Y                |
| BARCLAYS PLC ADR                                    | Trade         | 3 000                   |                        | 03/04/08                       | 01/21/09     | 9 58        | 109 65                 | -100 07   |         | Y                |
|                                                     | Trade         | 4 000                   |                        | 03/05/08                       | 01/21/09     | 12.78       | 142 45                 | -129 67   |         | Y                |
|                                                     | Trade         | 1 000                   |                        | 03/07/08                       | 01/21/09     | 3 20        | 34 39                  | -31 19    |         | Y                |
|                                                     | Trade         | 10 000                  |                        | 03/19/08                       | 01/21/09     | 31 95       | 337 79                 | -305 84   |         | Y                |
|                                                     | Trade         | 8 000                   |                        | 07/17/08                       | 01/21/09     | 25 56       | 189 56                 | -164 00   |         | Y                |
|                                                     | Trade         | 14 000                  |                        | 09/19/08                       | 01/21/09     | 44 73       | 415 98                 | -371 25   |         | Y                |
| BNP PARIBAS SA ADR                                  | Trade         | 3,000                   |                        | 09/19/08                       | 06/15/09     | 104 57      | 149 95                 | -45 38    |         | Y                |
|                                                     | Trade         | 2 000                   |                        | 09/11/08                       | 08/20/09     | 79 02       | 86 98                  | -7.96     |         | Y                |
|                                                     | Trade         | 6 000                   |                        | 09/19/08                       | 08/20/09     | 237 08      | 299 89                 | -62 81    |         | Y                |
| BP PLC SPON ADR                                     | Trade         | 2 000                   |                        | 10/21/08                       | 09/14/09     | 108 61      | 94 47                  | 14 14     |         | Y                |
| BRITISH SKY BROADCASTING<br>GROUP PLC SPONSORED ADR | Trade         | 2 000                   |                        | 03/05/08                       | 01/14/09     | 49 31       | 90 17                  | -40 86    |         | Y                |
|                                                     | Trade         | 1 000                   |                        | 03/04/08                       | 01/15/09     | 23 74       | 44 41                  | -20.67    |         | Y                |
|                                                     | Trade         | 3 000                   |                        | 03/05/08                       | 01/15/09     | 71 25       | 135 25                 | -64 00    |         | Y                |
|                                                     | Trade         | 3,000                   |                        | 03/04/08                       | 01/20/09     | 72 34       | 133 24                 | -60 90    |         | Y                |
|                                                     | Trade         | 6 000                   |                        | 07/17/08                       | 07/14/09     | 189 76      | 217 75                 | -27 99    |         | Y                |
|                                                     | Trade         | 3 000                   |                        | 07/21/08                       | 07/14/09     | 94 88       | 112 31                 | -17 43    |         | Y                |
|                                                     | Trade         | 3 000                   |                        | 09/19/08                       | 07/14/09     | 94 88       | 98 75                  | -3 87     |         | Y                |
|                                                     | Trade         | 7 000                   |                        | 09/19/08                       | 07/15/09     | 225 92      | 230 41                 | -4 49     |         | Y                |
|                                                     | Trade         | 1 000                   |                        | 10/21/08                       | 08/24/09     | 35 98       | 26.62                  | 9 36      |         | Y                |
|                                                     | Trade         | 2 000                   |                        | 10/10/08                       | 08/25/09     | 71.92       | 51 74                  | 20 18     |         | Y                |

C32G015113-X

## Short-Term Gain/Loss - continued

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

| Security Description                                | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099 |
|-----------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------------|
| BRITISH SKY BROADCASTING<br>GROUP PLC SPONSORED ADR | Trade         | 3 000                   |                        | 10/21/08                       | 08/25/09     | 107.89      | 79.85                  | 28.04     |         |               |
| BROADCOM CORP CL A                                  | Trade         | 10,000                  |                        | 07/08/09                       | 08/19/09     | 271.57      | 232.78                 | 38.79     |         | Y             |
|                                                     | Trade         | 8,000                   |                        | 07/08/09                       | 08/20/09     | 219.78      | 186.22                 | 33.54     |         | Y             |
|                                                     | Trade         | 10,000                  |                        | 07/08/09                       | 09/02/09     | 276.84      | 232.78                 | 44.06     |         | Y             |
|                                                     | Trade         | 13,000                  |                        | 07/08/09                       | 09/03/09     | 358.56      | 302.61                 | 55.95     |         | Y             |
|                                                     | Trade         | 4,000                   |                        | 02/09/09                       | 12/23/09     | 126.12      | 72.41                  | 53.71     |         | Y             |
|                                                     | Trade         | 4,000                   |                        | 07/08/09                       | 12/23/09     | 126.12      | 93.11                  | 33.01     |         | Y             |
| CANADIAN PACIFIC RAILWAY<br>LTD                     | Trade         | 5,000                   |                        | 08/18/09                       | 12/17/09     | 263.16      | 231.31                 | 31.85     |         | Y             |
| CANON INC ADR JAPAN SPON<br>ADR                     | Trade         | 7,000                   |                        | 08/22/08                       | 08/18/09     | 242.56      | 321.34                 | -78.78    |         | Y             |
|                                                     | Trade         | 3,000                   |                        | 09/19/08                       | 08/18/09     | 103.95      | 122.17                 | -18.22    |         | Y             |
|                                                     | Trade         | 5,000                   |                        | 09/19/08                       | 08/20/09     | 187.22      | 203.62                 | -16.40    |         | Y             |
| CARNIVAL CORP NEW<br>(PAIRED STOCK)                 | Trade         | 3,000                   |                        | 09/19/08                       | 08/19/09     | 88.32       | 120.85                 | -32.53    |         | Y             |
| CARREFOUR SA ADR                                    | Trade         | 8,000                   |                        | 11/09/09                       | 12/23/09     | 75.99       | 76.27                  | -.28      |         | Y             |
| CDN NATL RAILWAY CO<br>FOREIGN STOCK                | Trade         | 12,000                  |                        | 09/19/08                       | 01/16/09     | 418.37      | 643.41                 | -225.04   |         | Y             |
|                                                     | Trade         | 3,000                   |                        | 09/19/08                       | 01/20/09     | 94.40       | 180.85                 | -86.45    |         | Y             |
|                                                     | Trade         | 2,000                   |                        | 07/17/08                       | 05/15/09     | 78.04       | 100.19                 | -22.15    |         | Y             |
| CELANESE CORP NEW SER A                             | Trade         | 8,000                   |                        | 11/14/08                       | 05/21/09     | 156.36      | 103.77                 | 52.59     |         | Y             |
|                                                     | Trade         | 10,000                  |                        | 11/17/08                       | 05/21/09     | 195.45      | 129.84                 | 65.61     |         | Y             |
|                                                     | Trade         | 3,000                   |                        | 11/14/08                       | 05/22/09     | 58.81       | 38.91                  | 19.90     |         | Y             |
|                                                     | Trade         | 7,000                   |                        | 11/18/08                       | 05/22/09     | 137.24      | 87.38                  | 49.86     |         | Y             |
|                                                     | Trade         | 9,000                   |                        | 11/13/08                       | 05/26/09     | 174.21      | 111.11                 | 63.10     |         | Y             |
|                                                     | Trade         | 7,000                   |                        | 11/18/08                       | 05/26/09     | 135.50      | 87.38                  | 48.12     |         | Y             |
|                                                     | Trade         | 3,000                   |                        | 11/19/08                       | 05/26/09     | 58.06       | 35.28                  | 22.78     |         | Y             |
|                                                     | Trade         | 21,000                  |                        | 11/19/08                       | 05/27/09     | 416.99      | 246.98                 | 170.01    |         | Y             |
|                                                     | Trade         | 6,000                   |                        | 11/20/08                       | 05/27/09     | 119.14      | 57.40                  | 61.74     |         | Y             |
|                                                     | Trade         | 11,000                  |                        | 11/20/08                       | 05/28/09     | 214.03      | 105.23                 | 108.80    |         | Y             |
| CHEVRON CORP                                        | Trade         | 3,000                   |                        | 07/17/08                       | 02/03/09     | 211.00      | 253.18                 | -42.18    |         | Y             |

## Short-Term Gain/Loss - continued

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

| Security Description             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| CHEVRON CORP                     | Trade         | 2,000                   |                        | 09/19/08                       | 02/03/09     | 140.66      | 174.68                 | -34.02    |         | Y                 |
|                                  | Trade         | 2,000                   |                        | 06/01/09                       | 08/19/09     | 136.44      | 137.67                 | -1.23     |         | Y                 |
|                                  | Trade         | 3,000                   |                        | 06/02/09                       | 08/19/09     | 204.66      | 208.03                 | -3.37     |         | Y                 |
|                                  | Trade         | 3,000                   |                        | 06/01/09                       | 08/20/09     | 204.69      | 206.50                 | -1.81     |         | Y                 |
| CISCO SYSTEMS INC                | Trade         | 15,000                  |                        | 02/06/09                       | 08/19/09     | 319.10      | 251.74                 | 67.36     |         | Y                 |
|                                  | Trade         | 35,000                  |                        | 02/06/09                       | 10/08/09     | 829.63      | 587.39                 | 242.24    |         | Y                 |
|                                  | Trade         | 81,000                  |                        | 02/05/09                       | 10/09/09     | 1,936.94    | 1,324.50               | 612.44    |         | Y                 |
|                                  | Trade         | 30,000                  |                        | 02/06/09                       | 10/09/09     | 717.39      | 503.48                 | 213.91    |         | Y                 |
| COACH INC                        | Trade         | 3,000                   |                        | 07/17/08                       | 07/07/09     | 73.34       | 85.31                  | -11.97    |         | Y                 |
|                                  | Trade         | 2,000                   |                        | 09/19/08                       | 07/07/09     | 48.89       | 59.26                  | -10.37    |         | Y                 |
| COMCAST CORP NEW CL A            | Trade         | 8,000                   |                        | 09/19/08                       | 08/19/09     | 116.78      | 166.60                 | -49.82    |         | Y                 |
|                                  | Trade         | 12,000                  |                        | 10/21/08                       | 08/19/09     | 175.18      | 185.09                 | -9.91     |         | Y                 |
| CONSTELLATION BRANDS INC<br>CL A | Trade         | 9,000                   |                        | 08/08/08                       | 03/10/09     | 117.48      | 201.21                 | -83.73    |         | Y                 |
|                                  | Trade         | 15,000                  |                        | 09/19/08                       | 03/10/09     | 195.81      | 336.07                 | -140.26   |         | Y                 |
|                                  | Trade         | 4,000                   |                        | 07/17/08                       | 03/11/09     | 51.76       | 87.56                  | -35.80    |         | Y                 |
|                                  | Trade         | 3,000                   |                        | 08/07/08                       | 03/11/09     | 38.82       | 64.54                  | -25.72    |         | Y                 |
|                                  | Trade         | 1,000                   |                        | 08/07/08                       | 03/12/09     | 13.00       | 21.51                  | -8.51     |         | Y                 |
| COVIDIEN PLC                     | Trade         | 2,000                   |                        | 09/19/08                       | 08/19/09     | 79.97       | 108.16                 | -28.19    |         | Y                 |
|                                  | Trade         | 5,000                   |                        | 10/21/08                       | 08/19/09     | 199.93      | 228.79                 | -28.86    |         | Y                 |
|                                  | Trade         | 3,000                   |                        | 02/06/09                       | 08/19/09     | 119.96      | 119.14                 | .82       |         | Y                 |
| CREDIT SUISSE GROUP SPON<br>ADR  | Trade         | 3,000                   |                        | 07/17/08                       | 05/07/09     | 113.16      | 130.52                 | -17.36    |         | Y                 |
| DBS GROUP HLDGS LTD<br>SPON ADR  | Trade         | 5,000                   |                        | 04/17/09                       | 08/18/09     | 174.06      | 125.39                 | 48.67     |         | Y                 |
|                                  | Trade         | 4,000                   |                        | 04/16/09                       | 10/20/09     | 153.62      | 100.00                 | 53.62     |         | Y                 |
|                                  | Trade         | 1,000                   |                        | 04/17/09                       | 10/20/09     | 38.40       | 25.08                  | 13.32     |         | Y                 |
|                                  | Trade         | 3,000                   |                        | 04/16/09                       | 12/23/09     | 127.55      | 75.00                  | 52.55     |         | Y                 |
| DISCOVER FINANCIAL<br>SERVICES   | Trade         | 5,000                   |                        | 02/05/08                       | 02/05/09     | 36.14       | 79.54                  | -43.40    |         | Y                 |
|                                  | Trade         | 11,000                  |                        | 02/07/08                       | 02/05/09     | 79.51       | 176.84                 | -97.33    |         | Y                 |
|                                  | Trade         | 10,000                  |                        | 02/06/08                       | 02/06/09     | 75.22       | 157.33                 | -82.11    |         | Y                 |
|                                  | Trade         | 8,000                   |                        | 02/08/08                       | 02/06/09     | 60.18       | 126.82                 | -66.64    |         | Y                 |

C32G015115-X

## Short-Term Gain/Loss - continued

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

| Security Description                                             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099-B |
|------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-----------------|
| DISCOVER FINANCIAL<br>SERVICES                                   | Trade         | 16.000                  |                        | 02/11/08                       | 02/08/09     | 120.36      | 244.58                 | -124.22   |         |                 |
|                                                                  | Trade         | 20.000                  |                        | 09/19/08                       | 02/08/09     | 150.46      | 306.42                 | -155.96   |         |                 |
|                                                                  | Trade         | 18.000                  |                        | 08/07/08                       | 02/09/09     | 141.73      | 260.32                 | -118.59   |         |                 |
|                                                                  | Trade         | 2.000                   |                        | 11/05/08                       | 02/09/09     | 15.74       | 24.38                  | -8.64     |         |                 |
|                                                                  | Trade         | 5.000                   |                        | 11/05/08                       | 08/18/09     | 81.96       | 80.96                  | 1.00      |         |                 |
|                                                                  | Trade         | 8.000                   |                        | 11/06/08                       | 10/09/09     | 130.61      | 93.58                  | 37.03     |         |                 |
|                                                                  | Trade         | 5.000                   |                        | 11/07/08                       | 10/09/09     | 81.63       | 58.39                  | 23.24     |         |                 |
|                                                                  | Trade         | 9.000                   |                        | 11/10/08                       | 10/09/09     | 146.94      | 102.56                 | 44.38     |         |                 |
|                                                                  | Trade         | 14.000                  |                        | 11/11/08                       | 10/09/09     | 228.58      | 145.52                 | 83.06     |         |                 |
|                                                                  | Trade         | 32.000                  |                        | 07/08/09                       | 10/09/09     | 522.47      | 302.93                 | 219.54    |         |                 |
|                                                                  | Trade         | 3.000                   |                        | 11/12/08                       | 10/12/09     | 49.34       | 28.06                  | 21.28     |         |                 |
|                                                                  | Trade         | 29.000                  |                        | 07/08/09                       | 10/12/09     | 476.95      | 274.53                 | 202.42    |         |                 |
| EXELON CORP                                                      | Trade         | 5.000                   |                        | 09/22/08                       | 08/19/09     | 247.02      | 343.61                 | -96.59    |         |                 |
|                                                                  | Trade         | 4.000                   |                        | 09/22/08                       | 08/20/09     | 196.82      | 274.89                 | -78.07    |         |                 |
| FEDEX CORP                                                       | Trade         | 2.000                   |                        | 09/19/08                       | 08/19/09     | 131.25      | 184.22                 | -52.97    |         |                 |
| FIFTH THIRD BANCORP                                              | Trade         | 14.000                  |                        | 07/17/08                       | 01/21/09     | 56.04       | 190.28                 | -134.24   |         |                 |
|                                                                  | Trade         | 4.000                   |                        | 07/17/08                       | 01/21/09     | 16.01       | 50.67                  | -34.66    |         |                 |
|                                                                  | Trade         | 1.000                   |                        | 07/24/08                       | 01/21/09     | 3.99        | 13.86                  | -9.87     |         |                 |
|                                                                  | Trade         | 4.000                   |                        | 07/10/08                       | 01/22/09     | 11.42       | 46.97                  | -35.55    |         |                 |
|                                                                  | Trade         | 5.000                   |                        | 07/11/08                       | 01/22/09     | 14.28       | 60.15                  | -45.87    |         |                 |
|                                                                  | Trade         | 4.000                   |                        | 07/14/08                       | 01/22/09     | 11.42       | 46.57                  | -35.15    |         |                 |
|                                                                  | Trade         | 4.000                   |                        | 07/17/08                       | 01/22/09     | 11.42       | 54.37                  | -42.95    |         |                 |
|                                                                  | Trade         | 2.000                   |                        | 07/18/08                       | 01/22/09     | 5.70        | 26.36                  | -20.66    |         |                 |
|                                                                  | Trade         | 15.000                  |                        | 07/14/08                       | 01/23/09     | 41.78       | 174.62                 | -132.84   |         |                 |
|                                                                  | Trade         | 9.000                   |                        | 07/15/08                       | 01/23/09     | 25.06       | 95.01                  | -69.95    |         |                 |
| FREDDIE MAC NTS<br>04 875 % DUE 061318<br>DTD 061308 FC 12132008 | Trade         | 6,000.000               |                        | 03/19/09                       | 03/23/09     | 6,645.00    | 6,730.68               | -85.68    |         |                 |
| GENL DYNAMICS CORP                                               | Trade         | 5.000                   |                        | 06/19/09                       | 08/19/09     | 277.63      | 294.34                 | -16.71    |         |                 |
|                                                                  | Trade         | 3.000                   |                        | 06/18/09                       | 08/20/09     | 167.06      | 174.89                 | -7.83     |         |                 |
|                                                                  | Trade         | 2.000                   |                        | 06/19/09                       | 08/20/09     | 111.37      | 117.73                 | -6.36     |         |                 |
|                                                                  | Trade         | 8.000                   |                        | 10/09/09                       | 12/23/09     | 544.99      | 527.07                 | 17.92     |         |                 |

C32G015116-X

## Short-Term Gain/Loss - continued

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

| Security Description                | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|-------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| GENL ELECTRIC CO                    | Trade         | 8 000                   |                        | 09/19/08                       | 08/13/09     | 113 14      | 216 88                 | -103.74   |         | Y                |
|                                     | Trade         | 45 000                  |                        | 09/30/08                       | 08/13/09     | 636 47      | 1,114 70               | -478.23   |         | Y                |
|                                     | Trade         | 20 000                  |                        | 10/01/08                       | 08/13/09     | 282 87      | 469 63                 | -186.76   |         | Y                |
|                                     | Trade         | 17 000                  |                        | 10/21/08                       | 08/13/09     | 240 44      | 346 28                 | -105 84   |         | Y                |
|                                     | Trade         | 1 000                   |                        | 10/21/08                       | 08/14/09     | 13 85       | 20.37                  | -6 52     |         | Y                |
|                                     | Trade         | 8 000                   |                        | 04/07/09                       | 10/08/09     | 130 16      | 85 72                  | 44 44     |         | Y                |
|                                     | Trade         | 147 000                 |                        | 04/07/09                       | 10/09/09     | 2,376 57    | 1,575 08               | 801 49    |         | Y                |
| GENZYME CORP GEN DIV                | Trade         | 4 000                   |                        | 07/17/08                       | 02/05/09     | 288 06      | 317 68                 | -29 62    |         | Y                |
|                                     | Trade         | 2,000                   |                        | 09/19/08                       | 02/05/09     | 144 03      | 164 03                 | -20 00    |         | Y                |
|                                     | Trade         | 5 000                   |                        | 10/21/08                       | 08/19/09     | 254 73      | 333 96                 | -79 23    |         | Y                |
|                                     | Trade         | 2,000                   |                        | 12/04/08                       | 10/27/09     | 104 80      | 124.09                 | -19.29    |         | Y                |
|                                     | Trade         | 6 000                   |                        | 03/09/09                       | 10/27/09     | 314 43      | 324 81                 | -10 38    |         | Y                |
| HALLIBURTON CO<br>(HOLDING COMPANY) | Trade         | 4 000                   |                        | 07/17/08                       | 05/29/09     | 91 68       | 180.58                 | -88 90    |         | Y                |
|                                     | Trade         | 2,000                   |                        | 09/19/08                       | 05/29/09     | 45 83       | 74 44                  | -28 61    |         | Y                |
|                                     | Trade         | 15 000                  |                        | 11/06/08                       | 10/16/09     | 458.33      | 273 65                 | 184 68    |         | Y                |
|                                     | Trade         | 54 000                  |                        | 11/06/08                       | 10/19/09     | 1,670 16    | 985 13                 | 685 03    |         | Y                |
| HESS CORP                           | Trade         | 2 000                   |                        | 11/05/08                       | 08/19/09     | 102.12      | 118 85                 | -16 73    |         | Y                |
|                                     | Trade         | 3 000                   |                        | 11/10/08                       | 08/19/09     | 153 18      | 185.80                 | -32 62    |         | Y                |
| HEWLETT PACKARD CO                  | Trade         | 7 000                   |                        | 09/09/08                       | 02/05/09     | 245 96      | 325 82                 | -79 86    |         | Y                |
|                                     | Trade         | 4,000                   |                        | 09/10/08                       | 02/05/09     | 140 54      | 186 80                 | -46 26    |         | Y                |
|                                     | Trade         | 4 000                   |                        | 09/11/08                       | 02/05/09     | 140 54      | 186.99                 | -46 45    |         | Y                |
|                                     | Trade         | 4 000                   |                        | 09/12/08                       | 02/05/09     | 140.54      | 186 68                 | -46 14    |         | Y                |
|                                     | Trade         | 22 000                  |                        | 09/19/08                       | 02/05/09     | 773 04      | 1,073 79               | -300 75   |         | Y                |
|                                     | Trade         | 18 000                  |                        | 08/07/08                       | 02/06/09     | 647 24      | 820 80                 | -173 56   |         | Y                |
|                                     | Trade         | 9 000                   |                        | 08/08/08                       | 02/06/09     | 323 62      | 411 45                 | -87 83    |         | Y                |
|                                     | Trade         | 12 000                  |                        | 08/11/08                       | 02/06/09     | 431 49      | 551 07                 | -119 58   |         | Y                |
|                                     | Trade         | 6 000                   |                        | 08/12/08                       | 02/06/09     | 215 75      | 273 48                 | -57.73    |         | Y                |
|                                     | Trade         | 6 000                   |                        | 08/14/08                       | 02/06/09     | 215 75      | 272 62                 | -56 87    |         | Y                |
|                                     | Trade         | 6 000                   |                        | 09/08/08                       | 02/06/09     | 215 75      | 274 04                 | -58 29    |         | Y                |
|                                     | Trade         | 1,000                   |                        | 09/09/08                       | 02/06/09     | 35 96       | 46 55                  | -10 59    |         | Y                |
|                                     | Trade         | 4 000                   |                        | 09/15/08                       | 02/06/09     | 143 83      | 183 36                 | -39 53    |         | Y                |
|                                     | Trade         | 2 000                   |                        | 09/16/08                       | 02/06/09     | 71 92       | 92 67                  | -20 75    |         | Y                |
|                                     | Trade         | 15 000                  |                        | 06/19/09                       | 08/19/09     | 657 35      | 573 60                 | 83 75     |         | Y                |
|                                     | Trade         | 22 000                  |                        | 06/19/09                       | 10/27/09     | 1,043 04    | 841 28                 | 201 76    |         | Y                |

C32G015117-X

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

| Security Description                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099- |
|----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|----------------|
| HEWLETT PACKARD CO                     | Trade         | 16 000                  |                        | 06/22/09                       | 10/27/09     | 758.57      | 605.28                 | 153.29    |         | Y              |
|                                        | Trade         | 9,000                   |                        | 06/22/09                       | 12/23/09     | 471.51      | 340.47                 | 131.04    |         | Y              |
| HOME RETAIL GROUP PLC<br>SPON ADR      | Trade         | 5,000                   |                        | 05/19/09                       | 12/23/09     | 90.39       | 78.08                  | 12.31     |         | Y              |
| HONDA MOTOR CO ADR JAPAN<br>ADR        | Trade         | 7,000                   |                        | 07/17/08                       | 07/14/09     | 181.52      | 230.16                 | -48.64    |         | Y              |
|                                        | Trade         | 13 000                  |                        | 09/19/08                       | 07/14/09     | 337.11      | 419.98                 | -82.88    |         | Y              |
| ICICI BANK LTD SPON ADR                | Trade         | 10 000                  |                        | 05/11/09                       | 10/19/09     | 413.88      | 218.34                 | 195.54    |         | Y              |
|                                        | Trade         | 10 000                  |                        | 05/11/09                       | 10/20/09     | 410.01      | 218.34                 | 191.67    |         | Y              |
| ILLINOIS TOOL WORKS INC                | Trade         | 7,000                   |                        | 07/17/08                       | 06/18/09     | 254.50      | 329.89                 | -75.39    |         | Y              |
|                                        | Trade         | 3,000                   |                        | 09/19/08                       | 06/18/09     | 109.07      | 147.59                 | -38.52    |         | Y              |
| IMPERIAL TOBACCO GROUP<br>PLC SPON ADR | Trade         | 2,000                   |                        | 01/16/09                       | 09/15/09     | 115.97      | 114.15                 | 1.82      |         | Y              |
| INDITEX SA                             | Trade         | 4,000                   |                        | 01/14/09                       | 08/20/09     | 210.81      | 155.67                 | 55.14     |         | Y              |
| ING GROEP N V NL SPON<br>ADR           | Trade         | 14,000                  |                        | 10/21/08                       | 04/08/09     | 98.28       | 174.75                 | -78.47    |         | Y              |
|                                        | Trade         | 2,000                   |                        | 10/21/08                       | 04/22/09     | 16.07       | 24.98                  | -8.89     |         | Y              |
|                                        | Trade         | 20,000                  |                        | 10/22/08                       | 04/22/09     | 160.80      | 225.65                 | -64.85    |         | Y              |
|                                        | Trade         | 2,000                   |                        | 10/22/08                       | 09/14/09     | 32.09       | 22.57                  | 9.52      |         | Y              |
|                                        | Trade         | 15 000                  |                        | 10/23/08                       | 09/14/09     | 240.77      | 148.70                 | 92.07     |         | Y              |
| INTEL CORP                             | Trade         | 13,000                  |                        | 07/17/08                       | 06/18/09     | 207.42      | 289.24                 | -81.82    |         | Y              |
|                                        | Trade         | 11,000                  |                        | 09/19/08                       | 08/18/09     | 175.50      | 211.75                 | -36.25    |         | Y              |
|                                        | Trade         | 23 000                  |                        | 10/21/08                       | 07/09/09     | 370.66      | 351.90                 | 18.76     |         | Y              |
|                                        | Trade         | 67 000                  |                        | 12/18/08                       | 07/09/09     | 1,079.76    | 987.30                 | 92.46     |         | Y              |
| JAMES HARDIE IND. N.V.<br>SPON ADR     | Trade         | 3,000                   |                        | 08/18/09                       | 12/23/09     | 110.42      | 86.40                  | 24.02     |         | Y              |
| JOHNSON CONTROLS INC                   | Trade         | 20 000                  |                        | 03/24/09                       | 07/07/09     | 399.57      | 252.25                 | 147.32    |         | Y              |
|                                        | Trade         | 6,000                   |                        | 03/23/09                       | 07/08/09     | 118.83      | 73.12                  | 45.71     |         | Y              |
|                                        | Trade         | 22,000                  |                        | 03/24/09                       | 07/08/09     | 435.71      | 277.47                 | 158.24    |         | Y              |
|                                        | Trade         | 22,000                  |                        | 03/23/09                       | 07/09/09     | 440.54      | 268.11                 | 172.43    |         | Y              |



C32G015118-X

**Short-Term Gain/Loss - continued***This section includes securities held for less than one year and option contracts that are not reported on Form 1099-B*

| Security Description                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099- |
|----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|----------------|
| JOHNSON CONTROLS INC                   | Trade         | 14 000                  |                        | 03/20/09                       | 07/10/09     | 278 59      | 158 24                 | 120 35    |         | Y              |
|                                        | Trade         | 9 000                   |                        | 03/23/09                       | 07/10/09     | 179 09      | 109.68                 | 69 41     |         | Y              |
|                                        | Trade         | 33 000                  |                        | 03/20/09                       | 07/13/09     | 661.76      | 372.98                 | 288 78    |         | Y              |
|                                        | Trade         | 27 000                  |                        | 03/20/09                       | 07/14/09     | 543 80      | 305 17                 | 238 43    |         | Y              |
|                                        | Trade         | 24 000                  |                        | 03/20/09                       | 07/15/09     | 501 54      | 271 26                 | 230 28    |         | Y              |
| JOHNSON & JOHNSON COM                  | Trade         | 10 000                  |                        | 03/11/09                       | 04/07/09     | 515 88      | 478.87                 | 37.01     |         | Y              |
|                                        | Trade         | 13 000                  |                        | 03/12/09                       | 04/07/09     | 670 66      | 635 19                 | 35 47     |         | Y              |
|                                        | Trade         | 12 000                  |                        | 03/13/09                       | 04/07/09     | 619.06      | 600.12                 | 18.94     |         | Y              |
|                                        | Trade         | 11 000                  |                        | 03/11/09                       | 04/08/09     | 565.91      | 526.76                 | 39 15     |         | Y              |
|                                        | Trade         | 8 000                   |                        | 03/10/09                       | 04/09/09     | 411.02      | 380 77                 | 30.25     |         | Y              |
|                                        | Trade         | 8 000                   |                        | 03/11/09                       | 04/09/09     | 411 02      | 383 10                 | 27.92     |         | Y              |
|                                        | Trade         | 12 000                  |                        | 03/10/09                       | 04/13/09     | 616 54      | 571.16                 | 45 38     |         | Y              |
| JPMORGAN CHASE & CO                    | Trade         | 20 000                  |                        | 05/12/09                       | 08/19/09     | 827 63      | 706.06                 | 121.57    |         | Y              |
|                                        | Trade         | 7 000                   |                        | 05/12/09                       | 12/23/09     | 291 00      | 247 12                 | 43 88     |         | Y              |
| KAO CORP REPSTG 10 SHS<br>COM SPON ADR | Trade         | 1 000                   |                        | 09/19/08                       | 01/15/09     | 288 39      | 281.55                 | 6.84      |         | Y              |
| KOMATSU LTD SPON ADR<br>NEW            | Trade         | 1 000                   |                        | 03/04/08                       | 01/14/09     | 50.98       | 99.43                  | -48 45    |         | Y              |
|                                        | Trade         | 1 000                   |                        | 07/17/08                       | 01/14/09     | 50 98       | 104.73                 | -53.75    |         | Y              |
|                                        | Trade         | 1 000                   |                        | 03/05/08                       | 01/15/09     | 48.69       | 98 66                  | -48.97    |         | Y              |
|                                        | Trade         | 2 000                   |                        | 09/19/08                       | 01/15/09     | 97 38       | 145 73                 | -48 35    |         | Y              |
| KROGER COMPANY                         | Trade         | 13 000                  |                        | 10/12/09                       | 12/23/09     | 269 10      | 296 30                 | -27 20    |         | Y              |
| MACY'S INC                             | Trade         | 9 000                   |                        | 10/30/08                       | 05/21/09     | 103.34      | 103.30                 | .04       |         | Y              |
|                                        | Trade         | 17 000                  |                        | 10/31/08                       | 05/21/09     | 195.20      | 206 14                 | -10 94    |         | Y              |
|                                        | Trade         | 19 000                  |                        | 10/29/08                       | 08/13/09     | 305.97      | 202 16                 | 103 81    |         | Y              |
|                                        | Trade         | 16 000                  |                        | 10/30/08                       | 08/13/09     | 257 66      | 183 65                 | 74.01     |         | Y              |
|                                        | Trade         | 14 000                  |                        | 10/28/08                       | 08/14/09     | 214 77      | 131.67                 | 83 10     |         | Y              |
|                                        | Trade         | 1 000                   |                        | 10/29/08                       | 08/14/09     | 15 33       | 10 64                  | 4 69      |         | Y              |
|                                        | Trade         | 6 000                   |                        | 10/23/08                       | 08/17/09     | 86 90       | 53 90                  | 33.00     |         | Y              |
|                                        | Trade         | 8 000                   |                        | 10/24/08                       | 08/17/09     | 115.87      | 73.56                  | 42 31     |         | Y              |
|                                        | Trade         | 6 000                   |                        | 10/27/08                       | 08/17/09     | 86 90       | 55 13                  | 31.77     |         | Y              |
|                                        | Trade         | 5 000                   |                        | 10/28/08                       | 08/17/09     | 72 42       | 47 03                  | 25 39     |         | Y              |
|                                        | Trade         | 29 000                  |                        | 10/23/08                       | 08/18/09     | 418 74      | 260 51                 | 158 23    |         | Y              |

C32G015110-X

## Short-Term Gain/Loss - continued

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

| Security Description                 | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099- |
|--------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-----------------|
| MACY'S INC                           | Trade         | 11.000                  |                        | 11/20/08                       | 08/18/09     | 158.83      | 65.88                  | 92.95     |         | Y               |
|                                      | Trade         | 25.000                  |                        | 11/20/08                       | 08/20/09     | 368.25      | 149.74                 | 218.51    |         | Y               |
| MARVELL TECHNOLOGY GROUP LTD         | Trade         | 15.000                  |                        | 06/17/08                       | 08/19/09     | 208.63      | 175.22                 | 33.41     |         | Y               |
|                                      | Trade         | 17.000                  |                        | 06/17/09                       | 08/20/09     | 237.95      | 198.59                 | 39.36     |         | Y               |
|                                      | Trade         | 30.000                  |                        | 06/17/09                       | 09/02/09     | 447.94      | 350.45                 | 97.49     |         | Y               |
|                                      | Trade         | 30.000                  |                        | 08/17/09                       | 09/03/09     | 449.69      | 350.45                 | 99.24     |         | Y               |
|                                      | Trade         | 21.000                  |                        | 06/17/09                       | 12/23/09     | 421.93      | 245.31                 | 176.62    |         | Y               |
| MEDCO HEALTH SOLUTIONS INC           | Trade         | 3.000                   |                        | 07/17/08                       | 04/07/09     | 126.83      | 136.92                 | -10.09    |         | Y               |
|                                      | Trade         | 2.000                   |                        | 09/19/08                       | 04/07/09     | 84.55       | 97.36                  | -12.81    |         | Y               |
| MEDTRONIC INC                        | Trade         | 1.000                   |                        | 10/23/08                       | 08/19/09     | 37.02       | 38.63                  | -1.61     |         | Y               |
|                                      | Trade         | 3.000                   |                        | 10/29/08                       | 08/19/09     | 111.09      | 118.61                 | -7.52     |         | Y               |
|                                      | Trade         | 6.000                   |                        | 10/30/08                       | 08/19/09     | 222.20      | 239.56                 | -17.36    |         | Y               |
|                                      | Trade         | 2.000                   |                        | 10/23/08                       | 08/20/09     | 74.71       | 77.26                  | -2.55     |         | Y               |
|                                      | Trade         | 5.000                   |                        | 10/24/08                       | 08/20/09     | 186.78      | 189.16                 | -2.38     |         | Y               |
|                                      | Trade         | 3.000                   |                        | 10/28/08                       | 08/20/09     | 112.07      | 112.09                 | -.02      |         | Y               |
| MERCK & CO INC NEW COM               | Trade         | 10.000                  |                        | 10/09/09                       | 12/23/09     | 371.72      | 324.85                 | 46.87     |         | Y               |
| MERCK & CO **NAME CHANGE 11/2009**   | Trade         | 8.000                   |                        | 08/17/09                       | 08/19/09     | 253.38      | 247.58                 | 5.80      |         | Y               |
| METLIFE INC                          | Trade         | 32.000                  |                        | 10/09/08                       | 07/23/09     | 1,021.53    | 890.58                 | 130.95    |         | Y               |
| MICROSOFT CORP                       | Trade         | 7.000                   |                        | 09/19/08                       | 08/19/09     | 165.49      | 176.04                 | -10.55    |         | Y               |
| MITSUI SUMITOMO UNSPONS ADR          | Trade         | 6.000                   |                        | 10/21/08                       | 10/16/09     | 71.48       | 96.60                  | -25.12    |         | Y               |
|                                      | Trade         | 10.000                  |                        | 08/18/09                       | 10/16/09     | 119.14      | 130.91                 | -11.77    |         | Y               |
| MONSANTO CO NEW                      | Trade         | 3.000                   |                        | 06/01/09                       | 08/19/09     | 245.52      | 249.17                 | -3.65     |         | Y               |
|                                      | Trade         | 2.000                   |                        | 06/18/09                       | 08/19/09     | 163.68      | 164.40                 | -.72      |         | Y               |
|                                      | Trade         | 4.000                   |                        | 06/18/09                       | 12/23/09     | 328.35      | 328.81                 | -.46      |         | Y               |
| MUENCHENER RUECKVER AG (GERMANY) ORD | Trade         | 3.000                   |                        | 04/06/09                       | 08/18/09     | 419.33      | 394.54                 | 24.79     |         | Y               |
|                                      | Trade         | 2.000                   |                        | 04/16/09                       | 08/18/09     | 279.56      | 267.75                 | 11.81     |         | Y               |
|                                      | Trade         | 1.000                   |                        | 04/06/09                       | 08/20/09     | 141.48      | 131.51                 | 9.97      |         | Y               |

C32G015120-X

## Short-Term Gain/Loss - continued

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

| Security Description                                    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|---------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| MUENCHENER RUECKVER AG<br>(GERMANY) ORD                 | Trade         | 1,000                   |                        | 04/08/09                       | 08/20/09     | 141.48      | 129.62                 | 11.86     |         | Y                |
| NATL AUSTRALIA BANK LTD<br>SPON ADR                     | Trade         | 16,000                  |                        | 04/11/08                       | 01/28/09     | 195.99      | 432.85                 | -236.86   |         | Y                |
|                                                         | Trade         | 9,000                   |                        | 07/17/08                       | 01/28/09     | 110.24      | 245.18                 | -134.94   |         | Y                |
|                                                         | Trade         | 2,000                   |                        | 04/17/08                       | 04/16/09     | 31.77       | 53.71                  | -21.94    |         | Y                |
|                                                         | Trade         | 6,000                   |                        | 09/19/08                       | 04/16/09     | 95.34       | 116.58                 | -21.24    |         | Y                |
|                                                         | Trade         | 3,000                   |                        | 09/22/08                       | 04/16/09     | 47.67       | 57.76                  | -10.09    |         | Y                |
| NESTLE S A SPONSORED ADR<br>REPSTG REG SHS SWITZ<br>ADR | Trade         | 5,000                   |                        | 03/04/08                       | 01/14/09     | 178.12      | 245.24                 | -67.12    |         | Y                |
|                                                         | Trade         | 5,000                   |                        | 09/19/08                       | 01/14/09     | 178.12      | 225.19                 | -47.07    |         | Y                |
|                                                         | Trade         | 6,000                   |                        | 03/05/08                       | 01/15/09     | 213.22      | 235.33                 | -22.11    |         | Y                |
|                                                         | Trade         | 6,000                   |                        | 07/17/08                       | 01/15/09     | 213.22      | 261.67                 | -48.45    |         | Y                |
|                                                         | Trade         | 5,000                   |                        | 09/19/08                       | 01/15/09     | 177.68      | 225.19                 | -47.51    |         | Y                |
| NETAPP INC                                              | Trade         | 15,000                  |                        | 03/24/08                       | 03/20/09     | 223.83      | 309.89                 | -86.06    |         | Y                |
|                                                         | Trade         | 8,000                   |                        | 03/25/08                       | 03/20/09     | 119.37      | 167.49                 | -48.12    |         | Y                |
|                                                         | Trade         | 6,000                   |                        | 03/26/08                       | 03/20/09     | 89.53       | 123.75                 | -34.22    |         | Y                |
|                                                         | Trade         | 32,000                  |                        | 03/27/08                       | 03/20/09     | 477.50      | 647.25                 | -169.75   |         | Y                |
|                                                         | Trade         | 9,000                   |                        | 03/28/08                       | 03/20/09     | 134.30      | 181.53                 | -47.23    |         | Y                |
|                                                         | Trade         | 9,000                   |                        | 03/31/08                       | 03/20/09     | 134.30      | 181.33                 | -47.03    |         | Y                |
|                                                         | Trade         | 5,000                   |                        | 04/02/08                       | 03/20/09     | 74.61       | 107.67                 | -33.06    |         | Y                |
|                                                         | Trade         | 4,000                   |                        | 04/04/08                       | 03/20/09     | 59.69       | 89.30                  | -29.61    |         | Y                |
|                                                         | Trade         | 5,000                   |                        | 09/19/08                       | 03/20/09     | 74.61       | 104.38                 | -29.77    |         | Y                |
| NEW WORLD DEVELOPMENT<br>LTD SPON ADR (HONG KONG)       | Trade         | 1,000                   |                        | 06/10/08                       | 04/23/09     | 2.37        | 4.81                   | -2.44     |         | Y                |
|                                                         | Trade         | 9,000                   |                        | 06/11/08                       | 04/23/09     | 21.45       | 42.37                  | -20.92    |         | Y                |
|                                                         | Trade         | 12,000                  |                        | 06/11/08                       | 04/24/09     | 28.97       | 56.50                  | -27.53    |         | Y                |
|                                                         | Trade         | 7,000                   |                        | 06/11/08                       | 04/28/09     | 16.35       | 32.96                  | -16.61    |         | Y                |
| NEWS CORP INC DELA CL A                                 | Trade         | 19,000                  |                        | 07/17/08                       | 03/19/09     | 117.80      | 275.60                 | -157.80   |         | Y                |
|                                                         | Trade         | 16,000                  |                        | 07/17/08                       | 03/20/09     | 97.94       | 232.08                 | -134.14   |         | Y                |
|                                                         | Trade         | 43,000                  |                        | 07/17/08                       | 03/23/09     | 281.01      | 623.72                 | -342.71   |         | Y                |
|                                                         | Trade         | 14,000                  |                        | 07/17/08                       | 03/24/09     | 94.35       | 203.07                 | -108.72   |         | Y                |
|                                                         | Trade         | 1,000                   |                        | 07/17/08                       | 03/25/09     | 6.85        | 14.51                  | -7.66     |         | Y                |
|                                                         | Trade         | 7,000                   |                        | 09/19/08                       | 03/25/09     | 48.03       | 97.68                  | -49.65    |         | Y                |

C32G015121-X

## Short-Term Gain/Loss - continued

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

| Security Description                                     | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099- |
|----------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|----------------|
| NINTENDO LTD ADR NEW<br>JAPAN ADR                        | Trade         | 3.000                   |                        | 01/14/09                       | 08/20/09     | 96.54       | 140.26                 | -43.72    |         | Y              |
|                                                          | Trade         | 5.000                   |                        | 01/15/09                       | 08/20/09     | 160.90      | 233.14                 | -72.24    |         | Y              |
|                                                          | Trade         | 2.000                   |                        | 01/16/09                       | 08/20/09     | 84.35       | 89.69                  | -25.34    |         | Y              |
|                                                          | Trade         | 13.000                  |                        | 12/01/08                       | 08/21/09     | 412.91      | 498.88                 | -85.97    |         | Y              |
|                                                          | Trade         | 3.000                   |                        | 01/16/09                       | 08/21/09     | 95.29       | 134.54                 | -39.25    |         | Y              |
| NISSAN MTR LTD SPONS ADR<br>JAPAN ADR                    | Trade         | 9.000                   |                        | 05/21/09                       | 12/23/09     | 152.09      | 106.12                 | 45.97     |         | Y              |
| NOBEL BIOACARE ADR                                       | Trade         | 6.000                   |                        | 08/18/09                       | 10/07/09     | 93.87       | 85.90                  | 7.97      |         | Y              |
| NOBLE CORP                                               | Trade         | 5.000                   |                        | 07/09/09                       | 08/19/09     | 171.87      | 149.28                 | 22.59     |         | Y              |
|                                                          | Trade         | 6.000                   |                        | 07/09/09                       | 12/23/09     | 248.29      | 179.13                 | 69.16     |         | Y              |
| NOKIA CORP SPONS ADR<br>FINLAND ADR                      | Trade         | 13.000                  |                        | 09/19/08                       | 08/17/09     | 161.97      | 275.63                 | -113.66   |         | Y              |
|                                                          | Trade         | 2.000                   |                        | 04/08/09                       | 08/17/09     | 24.91       | 26.43                  | -1.52     |         | Y              |
|                                                          | Trade         | 16.000                  |                        | 04/08/09                       | 08/18/09     | 199.20      | 211.44                 | -12.24    |         | Y              |
| NOMURA HOLDINGS INC NEW<br>SPON ADR                      | Trade         | 15.000                  |                        | 10/06/09                       | 11/18/09     | 102.16      | 106.40                 | -4.24     |         | Y              |
| NOVARTIS AG SPON ADR                                     | Trade         | 1.000                   |                        | 07/17/08                       | 01/15/09     | 46.18       | 57.09                  | -10.91    |         | Y              |
|                                                          | Trade         | 2.000                   |                        | 09/19/08                       | 01/15/09     | 92.37       | 105.76                 | -13.39    |         | Y              |
|                                                          | Trade         | 3.000                   |                        | 09/19/08                       | 01/16/09     | 141.58      | 158.64                 | -17.06    |         | Y              |
|                                                          | Trade         | 3.000                   |                        | 09/19/08                       | 08/18/09     | 133.44      | 158.64                 | -25.20    |         | Y              |
| NTT DOCOMO INC ECH<br>REPSTG 1/200TH COM SHS<br>SPON ADR | Trade         | 9.000                   |                        | 07/17/08                       | 01/16/09     | 154.75      | 139.51                 | 15.24     |         | Y              |
|                                                          | Trade         | 14.000                  |                        | 09/19/08                       | 01/16/09     | 240.73      | 211.11                 | 29.62     |         | Y              |
|                                                          | Trade         | 3.000                   |                        | 09/19/08                       | 01/20/09     | 52.01       | 45.24                  | 6.77      |         | Y              |
| OMNICOM GROUP INC                                        | Trade         | 3.000                   |                        | 09/19/08                       | 08/19/09     | 105.72      | 125.28                 | -19.56    |         | Y              |
| ORIX CORP SPON ADR                                       | Trade         | 3.000                   |                        | 11/18/09                       | 12/23/09     | 105.74      | 98.70                  | 7.04      |         | Y              |
| PACCAR INC                                               | Trade         | 2.000                   |                        | 09/19/08                       | 08/19/09     | 70.60       | 87.08                  | -16.48    |         | Y              |
|                                                          | Trade         | 5.000                   |                        | 10/08/09                       | 12/23/09     | 183.26      | 187.36                 | -4.10     |         | Y              |
| PEABODY ENERGY CORP                                      | Trade         | 2.000                   |                        | 09/12/08                       | 08/19/09     | 68.89       | 104.66                 | -35.77    |         | Y              |

C32G015122-X

## Short-Term Gain/Loss - continued

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

| Security Description                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| PEABODY ENERGY CORP                    | Trade         | 1 000                   |                        | 09/15/08                       | 08/19/09     | 34.44       | 49.80                  | -15.36    |         | Y                 |
|                                        | Trade         | 2 000                   |                        | 09/19/08                       | 08/19/09     | 68.89       | 113.30                 | -44.41    |         | Y                 |
| PENNEY J C CO INC (HLDG<br>CO)         | Trade         | 1,000                   |                        | 07/17/08                       | 06/18/09     | 26.16       | 31.93                  | -5.77     |         | Y                 |
|                                        | Trade         | 1 000                   |                        | 10/29/08                       | 06/19/09     | 26.51       | 21.04                  | 5.47      |         | Y                 |
|                                        | Trade         | 7 000                   |                        | 10/30/08                       | 06/19/09     | 185.61      | 150.86                 | 34.75     |         | Y                 |
|                                        | Trade         | 3,000                   |                        | 10/28/08                       | 06/22/09     | 78.45       | 58.20                  | 20.25     |         | Y                 |
|                                        | Trade         | 4 000                   |                        | 10/29/08                       | 06/22/09     | 104.60      | 84.16                  | 20.44     |         | Y                 |
|                                        | Trade         | 3 000                   |                        | 10/27/08                       | 06/23/09     | 78.41       | 58.05                  | 20.36     |         | Y                 |
|                                        | Trade         | 3 000                   |                        | 10/28/08                       | 06/23/09     | 78.41       | 58.20                  | 20.21     |         | Y                 |
|                                        | Trade         | 4 000                   |                        | 10/23/08                       | 06/24/09     | 106.32      | 74.63                  | 31.69     |         | Y                 |
|                                        | Trade         | 4 000                   |                        | 10/24/08                       | 06/24/09     | 106.32      | 75.92                  | 30.40     |         | Y                 |
|                                        | Trade         | 3 000                   |                        | 10/27/08                       | 06/24/09     | 79.74       | 58.05                  | 21.69     |         | Y                 |
| PEPSICO INC                            | Trade         | 6 000                   |                        | 10/31/08                       | 08/19/09     | 338.84      | 343.47                 | -4.63     |         | Y                 |
|                                        | Trade         | 4 000                   |                        | 11/05/08                       | 08/19/09     | 225.89      | 228.44                 | -2.55     |         | Y                 |
| PETROLEUM GEO SERVICES<br>ASA SPON ADR | Trade         | 10 000                  |                        | 08/18/09                       | 12/17/09     | 109.00      | 71.43                  | 37.57     |         | Y                 |
| PFIZER INC                             | Trade         | 40 000                  |                        | 03/20/09                       | 08/19/09     | 652.89      | 547.72                 | 105.17    |         | Y                 |
|                                        | Trade         | 20,000                  |                        | 03/20/09                       | 12/23/09     | 371.04      | 273.86                 | 97.18     |         | Y                 |
| PRINCIPAL FINANCIAL<br>GROUP INC       | Trade         | 2 000                   |                        | 09/19/08                       | 08/19/09     | 49.54       | 97.25                  | -47.71    |         | Y                 |
| PROCTER & GAMBLE CO                    | Trade         | 10,000                  |                        | 07/09/09                       | 08/19/09     | 528.41      | 524.44                 | 3.97      |         | Y                 |
|                                        | Trade         | 4,000                   |                        | 07/09/09                       | 08/20/09     | 211.21      | 209.77                 | 1.44      |         | Y                 |
|                                        | Trade         | 5 000                   |                        | 10/08/09                       | 12/23/09     | 305.91      | 287.88                 | 18.03     |         | Y                 |
|                                        | Trade         | 5 000                   |                        | 10/09/09                       | 12/23/09     | 305.91      | 287.32                 | 18.59     |         | Y                 |
| QANTAS AIRWAYS LTD                     | Trade         | 6 000                   |                        | 04/07/09                       | 12/24/09     | 15.58       | 8.46                   | 7.10      |         | Y                 |
|                                        | Trade         | 1 000                   |                        | 04/08/09                       | 12/24/09     | 2.59        | 1.44                   | 1.15      |         | Y                 |
|                                        | Trade         | 47 000                  |                        | 04/09/09                       | 12/24/09     | 121.96      | 66.32                  | 55.64     |         | Y                 |
| QBE INSURANCE GROUP LTD<br>ORD         | Trade         | 37 000                  |                        | 04/16/09                       | 09/30/09     | 779.96      | 556.46                 | 223.50    |         | Y                 |
|                                        | Trade         | 9 000                   |                        | 04/17/09                       | 09/30/09     | 189.72      | 136.55                 | 53.17     |         | Y                 |

C32G015123-X

## Short-Term Gain/Loss - continued

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

| Security Description                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099- |
|----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|----------------|
| QUALCOMM INC                           | Trade         | 6 000                   |                        | 10/29/09                       | 12/23/09     | 275.33      | 253.34                 | 21.99     |         | Y              |
| REED ELSELVIER NV NEW                  | Trade         | 4.000                   |                        | 10/21/08                       | 04/08/09     | 85.27       | 106.79                 | -21.52    |         | Y              |
| REPSTG 2 ORD SHS SPON                  | Trade         | 7 000                   |                        | 10/22/08                       | 04/08/09     | 149.23      | 175.26                 | -26.03    |         | Y              |
| ADR                                    | Trade         | 4.000                   |                        | 10/23/08                       | 04/08/09     | 85.27       | 99.19                  | -13.92    |         | Y              |
|                                        | Trade         | 6 000                   |                        | 10/23/08                       | 04/09/09     | 123.26      | 148.79                 | -25.53    |         | Y              |
|                                        | Trade         | 2 000                   |                        | 01/14/09                       | 04/09/09     | 41.08       | 47.72                  | -6.64     |         | Y              |
|                                        | Trade         | 3.000                   |                        | 01/15/09                       | 04/09/09     | 61.62       | 71.11                  | -9.49     |         | Y              |
|                                        | Trade         | 4 000                   |                        | 01/20/09                       | 04/09/09     | 82.17       | 96.61                  | -14.44    |         | Y              |
|                                        | Trade         | 4 000                   |                        | 10/24/08                       | 04/14/09     | 80.85       | 93.69                  | -12.84    |         | Y              |
|                                        | Trade         | 5 000                   |                        | 12/16/08                       | 04/14/09     | 101.06      | 111.34                 | -10.28    |         | Y              |
| RICOH LTD ADR JAPAN ADR                | Trade         | 2.000                   |                        | 08/26/09                       | 12/23/09     | 139.39      | 143.86                 | -4.47     |         | Y              |
| ROYAL DUTCH SHELL PLC<br>CL A SPON ADR | Trade         | 3.000                   |                        | 09/15/09                       | 12/23/09     | 181.44      | 174.24                 | 7.20      |         | Y              |
| RTS ING GROEP N V<br>EXP 12/11/09      | Tender        | 6.000                   |                        | 02/25/09                       | 12/18/09     | 11.55       | 6.49                   | 5.06      |         | Y              |
| RYANAIR HOLDINGS PLC<br>SPON ADR       | Trade         | 4.000                   |                        | 06/12/08                       | 01/15/09     | 117.29      | 117.04                 | .25       |         | Y              |
|                                        | Trade         | 1.000                   |                        | 06/13/08                       | 01/15/09     | 29.32       | 31.37                  | -2.05     |         | Y              |
|                                        | Trade         | 2 000                   |                        | 07/17/08                       | 01/15/09     | 58.64       | 64.85                  | -6.21     |         | Y              |
| RYDER SYSTEM INC                       | Trade         | 5.000                   |                        | 11/05/08                       | 08/19/09     | 192.84      | 197.51                 | -4.67     |         | Y              |
| SAGE GROUP PLC ADR                     | Trade         | 6 000                   |                        | 08/20/09                       | 12/23/09     | 85.25       | 90.08                  | -4.83     |         | Y              |
| SEMPRA ENERGY                          | Trade         | 1.000                   |                        | 07/17/08                       | 05/12/09     | 46.06       | 53.61                  | -7.55     |         | Y              |
|                                        | Trade         | 1.000                   |                        | 09/19/08                       | 05/12/09     | 46.06       | 53.60                  | -7.54     |         | Y              |
|                                        | Trade         | 1 000                   |                        | 10/21/08                       | 08/27/09     | 51.11       | 40.76                  | 10.35     |         | Y              |
|                                        | Trade         | 5 000                   |                        | 10/21/08                       | 08/28/09     | 254.52      | 203.82                 | 50.70     |         | Y              |
|                                        | Trade         | 2 000                   |                        | 10/09/08                       | 09/01/09     | 99.79       | 80.91                  | 18.88     |         | Y              |
|                                        | Trade         | 2 000                   |                        | 10/13/08                       | 09/01/09     | 99.79       | 79.40                  | 20.39     |         | Y              |
|                                        | Trade         | 1.000                   |                        | 10/21/08                       | 09/01/09     | 49.89       | 40.76                  | 9.13      |         | Y              |
|                                        | Trade         | 5 000                   |                        | 10/08/08                       | 09/02/09     | 246.96      | 194.45                 | 52.51     |         | Y              |
|                                        | Trade         | 2 000                   |                        | 10/08/08                       | 09/03/09     | 97.97       | 77.78                  | 20.19     |         | Y              |
|                                        | Trade         | 3 000                   |                        | 10/15/08                       | 09/03/09     | 146.96      | 116.20                 | 30.76     |         | Y              |

C32G015124-X

## Short-Term Gain/Loss - continued

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

| Security Description                        | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|---------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| SEMPRA ENERGY                               | Trade         | 3 000                   |                        | 10/10/08                       | 09/10/09     | 145 13      | 108 47                 | 36 66     |         | Y                |
|                                             | Trade         | 1 000                   |                        | 10/15/08                       | 09/10/09     | 48 38       | 38 73                  | 9 65      |         | Y                |
| SIEMENS A G SPON ADR                        | Trade         | 3 000                   |                        | 10/21/08                       | 08/20/09     | 242 93      | 191 49                 | 51 44     |         | Y                |
|                                             | Trade         | 3 000                   |                        | 04/06/09                       | 08/20/09     | 242 93      | 178 99                 | 63 94     |         | Y                |
| SOCIETE GENERALE FRANCE<br>SPONS ADR ADR    | Trade         | 28.000                  |                        | 09/22/08                       | 09/04/09     | 407.62      | 561 56                 | -153 94   |         | Y                |
|                                             | Trade         | 17 000                  |                        | 12/11/08                       | 09/04/09     | 247 49      | 175.71                 | 71 78     |         | Y                |
|                                             | Trade         | 19.000                  |                        | 12/11/08                       | 09/08/09     | 279 38      | 196 38                 | 83 00     |         | Y                |
|                                             | Trade         | 25 000                  |                        | 04/16/09                       | 09/08/09     | 367 60      | 250 65                 | 116 95    |         | Y                |
| SOUTHWEST AIRLINES CO                       | Trade         | 19 000                  |                        | 10/09/09                       | 12/23/09     | 220 23      | 182 57                 | 37 66     |         | Y                |
| SPRINT NEXTEL CORP<br>SERIES 1 COMMON STOCK | Trade         | 21 000                  |                        | 01/24/08                       | 01/14/09     | 47 98       | 183.81                 | -135 83   |         | Y                |
|                                             | Trade         | 12 000                  |                        | 07/17/08                       | 01/14/09     | 27 41       | 102.13                 | -74 72    |         | Y                |
|                                             | Trade         | 58 000                  |                        | 01/23/08                       | 01/15/09     | 129.24      | 488 31                 | -359 07   |         | Y                |
|                                             | Trade         | 12 000                  |                        | 07/17/08                       | 01/15/09     | 26 73       | 102.13                 | -75 40    |         | Y                |
|                                             | Trade         | 32 000                  |                        | 09/19/08                       | 08/19/09     | 121 12      | 226 25                 | -105 13   |         | Y                |
| STARBUCKS CORP                              | Trade         | 16 000                  |                        | 04/18/08                       | 03/31/09     | 178.94      | 290 41                 | -111 47   |         | Y                |
|                                             | Trade         | 3.000                   |                        | 06/16/08                       | 03/31/09     | 33 54       | 54 92                  | -21 38    |         | Y                |
|                                             | Trade         | 4 000                   |                        | 06/17/08                       | 03/31/09     | 44.73       | 72.48                  | -27 75    |         | Y                |
|                                             | Trade         | 23.000                  |                        | 04/21/08                       | 04/01/09     | 256 08      | 414 02                 | -157 94   |         | Y                |
|                                             | Trade         | 6 000                   |                        | 06/13/08                       | 04/01/09     | 66 80       | 108 25                 | -41 45    |         | Y                |
|                                             | Trade         | 30 000                  |                        | 04/21/08                       | 04/02/09     | 353 30      | 540.03                 | -186 73   |         | Y                |
|                                             | Trade         | 2 000                   |                        | 04/23/08                       | 04/02/09     | 23 54       | 35 59                  | -12 05    |         | Y                |
|                                             | Trade         | 10 000                  |                        | 06/10/08                       | 04/02/09     | 117 76      | 178.44                 | -60 68    |         | Y                |
|                                             | Trade         | 10 000                  |                        | 06/12/08                       | 04/02/09     | 117 76      | 178.51                 | -60 75    |         | Y                |
|                                             | Trade         | 13 000                  |                        | 04/23/08                       | 04/03/09     | 150 70      | 231.33                 | -80 63    |         | Y                |
|                                             | Trade         | 12 000                  |                        | 06/11/08                       | 04/03/09     | 139 11      | 212.30                 | -73 19    |         | Y                |
|                                             | Trade         | 15.000                  |                        | 04/22/08                       | 04/08/09     | 172 21      | 264 49                 | -92 28    |         | Y                |
|                                             | Trade         | 2 000                   |                        | 06/11/08                       | 04/08/09     | 22 95       | 35 38                  | -12 43    |         | Y                |
|                                             | Trade         | 13 000                  |                        | 07/17/08                       | 04/08/09     | 149.25      | 187 75                 | -38 50    |         | Y                |
|                                             | Trade         | 5 000                   |                        | 09/19/08                       | 04/08/09     | 57 40       | 80 74                  | -23 34    |         | Y                |
|                                             | Trade         | 18 000                  |                        | 10/30/08                       | 04/08/09     | 206 66      | 221 27                 | -14 61    |         | Y                |
|                                             | Trade         | 20 000                  |                        | 10/31/08                       | 04/08/09     | 229 62      | 256 92                 | -27 30    |         | Y                |
|                                             | Trade         | 14 000                  |                        | 10/23/08                       | 04/09/09     | 168 16      | 139.38                 | 28 78     |         | Y                |
|                                             | Trade         | 12 000                  |                        | 10/24/08                       | 04/09/09     | 144 14      | 118 02                 | 26 12     |         | Y                |

C32G015125-X

## Short-Term Gain/Loss - continued

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

| Security Description                       | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099-B |
|--------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-----------------|
| STARBUCKS CORP                             | Trade         | 14.000                  |                        | 10/27/08                       | 04/09/09     | 168.16      | 136.65                 | 31.51     |         | Y               |
|                                            | Trade         | 17.000                  |                        | 10/28/08                       | 04/09/09     | 204.20      | 171.01                 | 33.19     |         | Y               |
|                                            | Trade         | 18.000                  |                        | 10/29/08                       | 04/09/09     | 216.21      | 201.05                 | 15.16     |         | Y               |
|                                            | Trade         | 5.000                   |                        | 10/30/08                       | 04/09/09     | 60.06       | 61.46                  | -1.40     |         | Y               |
| SUMITOMO MITSUI<br>FINANCIAL GROUP INC ADR | Trade         | 24.000                  |                        | 08/18/09                       | 12/23/09     | 73.67       | 101.95                 | -28.28    |         | Y               |
| SUMITOMO TRUST & BANKING<br>SPON ADR       | Trade         | 7.000                   |                        | 05/16/08                       | 05/01/09     | 28.41       | 61.73                  | -33.32    |         | Y               |
|                                            | Trade         | 19.000                  |                        | 05/19/08                       | 05/01/09     | 77.12       | 165.28                 | -88.16    |         | Y               |
|                                            | Trade         | 71.000                  |                        | 05/19/08                       | 05/12/09     | 343.44      | 617.64                 | -274.20   |         | Y               |
|                                            | Trade         | 9.000                   |                        | 07/17/08                       | 05/12/09     | 43.53       | 64.14                  | -20.61    |         | Y               |
|                                            | Trade         | 27.000                  |                        | 09/19/08                       | 05/12/09     | 130.60      | 190.62                 | -60.02    |         | Y               |
|                                            | Trade         | 23.000                  |                        | 12/11/08                       | 05/12/09     | 111.25      | 113.62                 | -2.37     |         | Y               |
|                                            | Trade         | 13.000                  |                        | 12/11/08                       | 05/13/09     | 62.18       | 64.22                  | -2.04     |         | Y               |
| SUNOCO INC                                 | Trade         | 5.000                   |                        | 07/02/08                       | 01/08/09     | 215.49      | 208.18                 | 7.31      |         | Y               |
|                                            | Trade         | 5.000                   |                        | 07/02/08                       | 01/09/09     | 212.40      | 208.18                 | 4.22      |         | Y               |
|                                            | Trade         | 5.000                   |                        | 07/07/08                       | 01/12/09     | 207.68      | 200.54                 | 7.14      |         | Y               |
|                                            | Trade         | 1.000                   |                        | 07/03/08                       | 01/13/09     | 42.12       | 39.67                  | 2.45      |         | Y               |
|                                            | Trade         | 4.000                   |                        | 07/07/08                       | 01/13/09     | 168.49      | 160.43                 | 8.06      |         | Y               |
|                                            | Trade         | 3.000                   |                        | 07/03/08                       | 01/14/09     | 121.38      | 119.02                 | 2.36      |         | Y               |
|                                            | Trade         | 3.000                   |                        | 07/17/08                       | 01/14/09     | 121.38      | 109.33                 | 12.05     |         | Y               |
|                                            | Trade         | 3.000                   |                        | 07/17/08                       | 01/15/09     | 117.65      | 109.33                 | 8.32      |         | Y               |
| SUNTRUST BANKS INC                         | Trade         | 7.000                   |                        | 01/24/08                       | 01/21/09     | 106.70      | 443.06                 | -336.36   |         | Y               |
|                                            | Trade         | 16.000                  |                        | 01/25/08                       | 01/21/09     | 243.91      | 1,008.71               | -764.80   |         | Y               |
|                                            | Trade         | 2.000                   |                        | 01/22/08                       | 01/22/09     | 28.09       | 118.97                 | -90.88    |         | Y               |
|                                            | Trade         | 3.000                   |                        | 01/23/08                       | 01/22/09     | 42.14       | 171.58                 | -129.44   |         | Y               |
|                                            | Trade         | 7.000                   |                        | 07/10/08                       | 01/22/09     | 98.33       | 219.22                 | -120.89   |         | Y               |
|                                            | Trade         | 6.000                   |                        | 07/17/08                       | 01/22/09     | 84.28       | 204.91                 | -120.63   |         | Y               |
|                                            | Trade         | 2.000                   |                        | 09/19/08                       | 01/22/09     | 28.09       | 118.50                 | -90.41    |         | Y               |
|                                            | Trade         | 6.000                   |                        | 10/21/08                       | 01/22/09     | 84.28       | 252.27                 | -167.99   |         | Y               |
|                                            | Trade         | 11.000                  |                        | 07/10/08                       | 02/05/09     | 114.13      | 344.49                 | -230.36   |         | Y               |
|                                            | Trade         | 10.000                  |                        | 07/11/08                       | 02/05/09     | 103.75      | 310.54                 | -206.79   |         | Y               |
| TELEKOM AUSTRIA AG SPON<br>ADR             | Trade         | 8.000                   |                        | 08/25/08                       | 08/20/09     | 261.22      | 337.59                 | -76.37    |         | Y               |



C32G015126-X

## Short-Term Gain/Loss - continued

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

| Security Description                                                 | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|----------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| THK CO LTD ADR                                                       | Trade         | 15 000                  |                        | 01/14/09                       | 08/18/09     | 128.80      | 99.19                  | 29.61     |         | Y                |
|                                                                      | Trade         | 5 000                   |                        | 01/20/09                       | 08/18/09     | 42.93       | 32.74                  | 10.19     |         | Y                |
|                                                                      | Trade         | 15 000                  |                        | 01/20/09                       | 08/20/09     | 135.55      | 98.21                  | 37.34     |         | Y                |
| TIME WARNER INC NEW                                                  | Trade         | 9 000                   |                        | 10/22/09                       | 12/23/09     | 264.17      | 265.27                 | -1.10     | *       | Y                |
| TNT N V SPON ADR                                                     | Trade         | 4 000                   |                        | 07/17/08                       | 05/18/09     | 73.44       | 147.97                 | -74.53    |         | Y                |
|                                                                      | Trade         | 8 000                   |                        | 09/19/08                       | 05/18/09     | 146.88      | 264.72                 | -117.84   |         | Y                |
|                                                                      | Trade         | 4 000                   |                        | 01/14/09                       | 05/18/09     | 73.44       | 77.82                  | -4.38     |         | Y                |
|                                                                      | Trade         | 4 000                   |                        | 01/15/09                       | 05/18/09     | 73.44       | 74.78                  | -1.34     |         | Y                |
|                                                                      | Trade         | 3 000                   |                        | 01/15/09                       | 05/19/09     | 56.89       | 56.09                  | .80       |         | Y                |
| TORONTO DOMINION BK NEW<br>CANADA                                    | Trade         | 4 000                   |                        | 07/17/08                       | 06/09/09     | 209.69      | 232.63                 | -22.94    |         | Y                |
|                                                                      | Trade         | 4 000                   |                        | 09/19/08                       | 06/09/09     | 209.69      | 240.69                 | -31.00    |         | Y                |
| TOTAL S A FRANCE SPON<br>ADR                                         | Trade         | 7.000                   |                        | 09/19/08                       | 09/14/09     | 425.99      | 454.88                 | -28.89    |         | Y                |
| TOYOTA MOTOR CORP NEW<br>JAPAN SPON ADR                              | Trade         | 1 000                   |                        | 07/17/08                       | 05/20/09     | 76.98       | 89.82                  | -12.84    |         | Y                |
|                                                                      | Trade         | 3 000                   |                        | 09/19/08                       | 05/20/09     | 230.93      | 271.94                 | -41.01    |         | Y                |
| TRANSCANADA CORP<br>(HOLDING CO)                                     | Trade         | 6 000                   |                        | 07/17/08                       | 05/15/09     | 156.24      | 222.69                 | -66.45    |         | Y                |
| ULTRA PETROLEUM CORP<br>(CANADA) ORD                                 | Trade         | 5 000                   |                        | 09/19/08                       | 08/19/09     | 231.83      | 303.90                 | -72.07    |         | Y                |
| UNITEDHEALTH GROUP INC                                               | Trade         | 14 000                  |                        | 04/07/09                       | 05/28/09     | 384.77      | 327.75                 | 57.02     |         | Y                |
|                                                                      | Trade         | 6 000                   |                        | 04/09/09                       | 05/28/09     | 164.90      | 141.78                 | 23.12     |         | Y                |
|                                                                      | Trade         | 9 000                   |                        | 04/13/09                       | 05/28/09     | 247.35      | 218.58                 | 28.77     |         | Y                |
|                                                                      | Trade         | 6 000                   |                        | 04/14/09                       | 05/28/09     | 164.90      | 146.83                 | 18.07     |         | Y                |
|                                                                      | Trade         | 21 000                  |                        | 04/07/09                       | 05/29/09     | 561.47      | 491.62                 | 69.85     |         | Y                |
|                                                                      | Trade         | 8 000                   |                        | 04/08/09                       | 05/29/09     | 213.89      | 183.95                 | 29.94     |         | Y                |
|                                                                      | Trade         | 9 000                   |                        | 04/08/09                       | 06/01/09     | 244.30      | 206.94                 | 37.36     |         | Y                |
| US TSY /90 BOND<br>08.500 % DUE 02/15/20<br>BTD 02/15/90 FC 08/15/90 | Trade         | 2,000 000               |                        | 06/30/09                       | 09/30/09     | 2,870.63    | 2,825.00               | 45.63     |         | Y                |

C32G015127-X

## Short-Term Gain/Loss - continued

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

| Security Description                                                    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|-------------------------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| US TSY BOND 8.7500%<br>DUE 08/15/20<br>DTD 08/15/90 FC 02/15/91         | Trade         | 4,000.000               |                        | 09/30/09                       | 10/27/09     | 5,807.19    | 5,866.25               | -59.06    |         | Y                |
| US TSY INFL PROT NOTE<br>01.625 % DUE 01/15/18<br>FACTOR 1.032160000000 | Trade         | 4,000.000               |                        | 06/30/08                       | 03/19/08     | 4,096.84    | 4,097.37               | -.53      |         | Y                |
|                                                                         | Trade         | 1,000.000               |                        | 07/31/08                       | 06/30/09     | 1,009.00    | 1,017.62               | -8.62     |         | Y                |
| US TSY NOTE 04.000 %<br>DUE 08/15/18<br>DTD 08/15/08 FC 02/15/09        | Trade         | 3,000.000               |                        | 10/31/08                       | 03/31/09     | 3,335.16    | 3,009.84               | 325.32    |         | Y                |
|                                                                         | Trade         | 5,000.000               |                        | 10/31/08                       | 05/05/09     | 5,348.44    | 5,016.41               | 332.03    |         | Y                |
| US TSY NOTE 01.500 %<br>DUE 10/31/10<br>DTD 10/31/08 FC 04/30/09        | Trade         | 3,000.000               |                        | 10/31/08                       | 03/19/09     | 3,033.75    | 2,997.19               | 36.56     |         | Y                |
| US TSY NOTE 00.875 %<br>DUE 03/31/11<br>DTD 03/31/09 FC 09/30/09        | Trade         | 2,000.000               |                        | 03/31/09                       | 08/14/09     | 2,000.16    | 2,002.81               | -2.65     |         | Y                |
|                                                                         | Trade         | 5,000.000               |                        | 03/31/09                       | 08/31/09     | 5,010.94    | 5,007.03               | 3.91      |         | Y                |
| US TSY NOTE 00.875 %<br>DUE 05/31/11<br>DTD 05/31/09 FC 11/30/09        | Trade         | 5,000.000               |                        | 06/30/09                       | 09/30/09     | 5,010.94    | 4,983.01               | 27.93     |         | Y                |
|                                                                         | Trade         | 1,000.000               |                        | 06/30/09                       | 12/31/09     | 1,000.62    | 996.60                 | 4.02      |         | Y                |
| US TSY NOTE 05.125 %<br>DUE 05/15/18<br>DTD 05/15/06 FC 11/15/06        | Trade         | 2,000.000               |                        | 06/30/09                       | 10/27/09     | 2,265.94    | 2,249.84               | 16.10     |         | Y                |
| US TSY NOTE 02.750 %<br>DUE 02/28/13<br>DTD 02/29/08 FC 08/31/08        | Trade         | 8,000.000               |                        | 06/30/08                       | 05/05/09     | 8,325.62    | 7,817.50               | 508.12    |         | Y                |
| VANGUARD INDEX FUNDS<br>VANGUARD LARGE CAP ETF                          | Trade         | 46.000                  |                        | 03/20/09                       | 06/17/09     | 1,910.69    | 1,629.13               | 281.56    |         | Y                |
| VIACOM INC NEW CL B                                                     | Trade         | 5.000                   |                        | 04/03/09                       | 08/19/09     | 119.92      | 97.61                  | 22.31     |         | Y                |
|                                                                         | Trade         | 7.000                   |                        | 04/02/09                       | 08/20/09     | 168.56      | 134.33                 | 34.23     |         | Y                |
|                                                                         | Trade         | 3.000                   |                        | 04/03/09                       | 08/20/09     | 72.23       | 58.56                  | 13.67     |         | Y                |

C32G015128-X

## Short-Term Gain/Loss - continued

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

| Security Description               | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099- |
|------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|----------------|
| VMWARE INC CL A                    | Trade         | 3 000                   |                        | 09/19/08                       | 01/06/09     | 73.17       | 88.49                  | -15.32    |         | Y              |
|                                    | Trade         | 1 000                   |                        | 09/24/08                       | 01/06/09     | 24.38       | 29.93                  | -5.55     |         | Y              |
|                                    | Trade         | 1 000                   |                        | 09/25/08                       | 01/06/09     | 24.38       | 29.10                  | -4.72     |         | Y              |
|                                    | Trade         | 1 000                   |                        | 09/26/08                       | 01/06/09     | 24.38       | 28.95                  | -4.57     |         | Y              |
|                                    | Trade         | 2 000                   |                        | 10/30/08                       | 01/06/09     | 48.77       | 60.96                  | -12.19    |         | Y              |
|                                    | Trade         | 1,000                   |                        | 10/31/08                       | 01/06/09     | 24.38       | 30.33                  | -5.95     |         | Y              |
|                                    | Trade         | 2 000                   |                        | 11/03/08                       | 01/06/09     | 48.77       | 62.53                  | -13.76    |         | Y              |
|                                    | Trade         | 6,000                   |                        | 11/04/08                       | 01/06/09     | 146.34      | 184.72                 | -38.38    |         | Y              |
|                                    | Trade         | 2 000                   |                        | 09/22/08                       | 08/19/09     | 61.15       | 57.78                  | 3.37      |         | Y              |
|                                    | Trade         | 3 000                   |                        | 09/26/08                       | 08/19/09     | 91.72       | 86.86                  | 4.86      |         | Y              |
|                                    | Trade         | 10 000                  |                        | 09/22/08                       | 08/20/09     | 307.86      | 288.91                 | 18.95     |         | Y              |
| VODAFONE GROUP PLC NEW<br>SPON ADR | Trade         | 4 000                   |                        | 07/17/08                       | 06/15/09     | 74.60       | 119.83                 | -45.23    |         | Y              |
| WAL MART STORES INC                | Trade         | 7,000                   |                        | 09/04/09                       | 12/23/09     | 373.32      | 361.98                 | 11.34     |         | Y              |
| WELLS FARGO & CO NEW               | Trade         | 5 000                   |                        | 07/10/08                       | 02/05/09     | 82.44       | 117.48                 | -35.04    |         | Y              |
|                                    | Trade         | 21 000                  |                        | 07/17/08                       | 02/05/09     | 346.28      | 578.11                 | -231.83   |         | Y              |
|                                    | Trade         | 5,000                   |                        | 07/10/08                       | 02/06/09     | 87.65       | 117.48                 | -29.83    |         | Y              |
|                                    | Trade         | 8 000                   |                        | 07/11/08                       | 02/06/09     | 140.24      | 184.02                 | -43.78    |         | Y              |
|                                    | Trade         | 20 000                  |                        | 07/23/09                       | 08/20/09     | 549.38      | 486.34                 | 63.04     |         | Y              |
| WOLSELEY PLC ADR                   | Trade         | 21,000                  |                        | 08/22/08                       | 08/18/09     | 47.84       | 164.60                 | -116.76   |         | Y              |
|                                    | Trade         | 19 000                  |                        | 09/19/08                       | 08/18/09     | 43.28       | 148.69                 | -105.41   |         | Y              |
|                                    | Trade         | 19 000                  |                        | 09/19/08                       | 08/20/09     | 43.74       | 148.69                 | -104.95   |         | Y              |
| WYETH ***MERGER EFF<br>10/09***    | Trade         | 7 000                   |                        | 10/21/08                       | 03/20/09     | 294.93      | 240.66                 | 54.27     |         | Y              |
| ZIMMER HOLDINGS INC                | Trade         | 1 000                   |                        | 07/31/08                       | 06/05/09     | 43.51       | 69.09                  | -25.58    |         | Y              |
|                                    | Trade         | 1 000                   |                        | 08/04/08                       | 06/05/09     | 43.51       | 69.37                  | -25.86    |         | Y              |
|                                    | Trade         | 1 000                   |                        | 08/06/08                       | 06/05/09     | 43.51       | 70.72                  | -27.21    |         | Y              |
|                                    | Trade         | 3 000                   |                        | 08/07/08                       | 06/05/09     | 130.54      | 210.73                 | -80.19    |         | Y              |
|                                    | Trade         | 2 000                   |                        | 08/08/08                       | 06/05/09     | 87.03       | 141.84                 | -54.81    |         | Y              |
|                                    | Trade         | 1 000                   |                        | 08/11/08                       | 06/05/09     | 43.51       | 71.87                  | -28.36    |         | Y              |
|                                    | Trade         | 3 000                   |                        | 07/31/08                       | 06/08/09     | 128.66      | 207.27                 | -78.61    |         | Y              |
|                                    | Trade         | 2 000                   |                        | 08/01/08                       | 06/08/09     | 85.77       | 137.95                 | -52.18    |         | Y              |

C32G015129-X

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

| Security Description              | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount       | Cost or Other<br>Basis | Gain/Loss        | Remarks | Match<br>1099 |
|-----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------------|------------------------|------------------|---------|---------------|
| ZIMMER HOLDINGS INC               | Trade         | 4.000                   |                        | 09/19/08                       | 06/08/09     | 171.55            | 272.05                 | -100.50          |         |               |
|                                   | Trade         | 1.000                   |                        | 10/23/08                       | 06/08/09     | 42.88             | 43.94                  | -1.06            |         |               |
|                                   | Trade         | 1.000                   |                        | 10/27/08                       | 06/08/09     | 42.88             | 40.92                  | 1.96             |         |               |
|                                   | Trade         | 1.000                   |                        | 10/29/08                       | 06/08/09     | 42.88             | 41.38                  | 1.50             |         |               |
|                                   | Trade         | 2.000                   |                        | 10/24/08                       | 06/09/09     | 85.30             | 81.32                  | 3.98             |         |               |
|                                   | Trade         | 6.000                   |                        | 02/06/09                       | 06/09/09     | 255.92            | 239.62                 | 16.30            |         |               |
|                                   | Trade         | 1.000                   |                        | 10/28/08                       | 06/10/09     | 42.21             | 39.18                  | 3.03             |         |               |
|                                   | Trade         | 8.000                   |                        | 02/06/09                       | 06/10/09     | 337.73            | 319.49                 | 18.24            |         |               |
|                                   | Trade         | 8.000                   |                        | 02/05/09                       | 06/11/09     | 340.15            | 308.83                 | 31.32            |         |               |
| <b>Total Short-Term Gain/Loss</b> |               |                         |                        |                                |              | <b>164,702.37</b> | <b>165,884.52</b>      | <b>-1,182.15</b> |         |               |

**Long-Term Gain/Loss***This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| ACE LTD                | Trade         | 1 000                   |                        | 08/11/08                       | 08/19/09     | 49.85       | 54.55                  | -4.70     |         | Y                |
|                        | Trade         | 3 000                   |                        | 08/08/08                       | 08/20/09     | 150.87      | 160.71                 | -9.84     |         | Y                |
|                        | Trade         | 1 000                   |                        | 08/11/08                       | 08/20/09     | 50.28       | 54.55                  | -4.27     |         | Y                |
| AFLAC INC              | Trade         | 10 000                  |                        | 08/11/08                       | 12/04/09     | 455.60      | 561.80                 | -106.20   |         | Y                |
|                        | Trade         | 1.000                   |                        | 08/08/08                       | 12/23/09     | 46.55       | 55.41                  | -8.86     |         | Y                |
|                        | Trade         | 1.000                   |                        | 08/11/08                       | 12/23/09     | 46.55       | 56.18                  | -9.63     |         | Y                |
|                        | Trade         | 8.000                   |                        | 08/12/08                       | 12/23/09     | 372.49      | 445.70                 | -73.21    |         | Y                |
| AMER ELECTRIC POWER CO | Trade         | 3 000                   |                        | 06/01/06                       | 12/23/09     | 103.98      | 102.81                 | 1.17      |         | Y                |
|                        | Trade         | 2 000                   |                        | 01/23/08                       | 12/23/09     | 69.31       | 86.24                  | -16.93    |         | Y                |
|                        | Trade         | 5 000                   |                        | 07/17/08                       | 12/23/09     | 173.30      | 192.61                 | -19.31    |         | Y                |
| AMGEN INC              | Trade         | 6.000                   |                        | 10/31/08                       | 12/23/09     | 343.21      | 364.63                 | -21.42    |         | Y                |
| ANALOG DEVICES INC     | Trade         | 7.000                   |                        | 08/25/06                       | 03/23/09     | 140.55      | 201.15                 | -60.60    |         | Y                |
|                        | Trade         | 5.000                   |                        | 08/28/06                       | 03/23/09     | 100.39      | 149.64                 | -49.25    |         | Y                |
|                        | Trade         | 5 000                   |                        | 08/29/06                       | 03/23/09     | 100.39      | 150.31                 | -49.92    |         | Y                |
|                        | Trade         | 1.000                   |                        | 09/05/06                       | 03/23/09     | 20.07       | 30.20                  | -10.13    |         | Y                |
|                        | Trade         | 8 000                   |                        | 08/24/06                       | 03/24/09     | 161.14      | 229.80                 | -68.66    |         | Y                |
|                        | Trade         | 3.000                   |                        | 08/25/06                       | 03/24/09     | 60.42       | 86.21                  | -25.79    |         | Y                |

C32G015130-X

## Long-Term Gain/Loss - continued

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

| Security Description                         | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099- |
|----------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-----------------|
| ANALOG DEVICES INC                           | Trade         | 16 000                  |                        | 08/23/06                       | 03/25/09     | 323.03      | 445.48                 | -122.45   |         | ✓               |
|                                              | Trade         | 7 000                   |                        | 08/24/06                       | 03/25/09     | 141.32      | 201.07                 | -59.75    |         | ✓               |
|                                              | Trade         | 24,000                  |                        | 08/22/06                       | 03/26/09     | 482.54      | 663.24                 | -180.70   |         | ✓               |
|                                              | Trade         | 4 000                   |                        | 08/23/06                       | 03/26/09     | 80.41       | 111.37                 | -30.96    |         | ✓               |
|                                              | Trade         | 15 000                  |                        | 08/22/06                       | 03/27/09     | 300.02      | 414.53                 | -114.51   |         | ✓               |
|                                              | Trade         | 1 000                   |                        | 08/22/06                       | 03/30/09     | 19.36       | 27.64                  | -8.28     |         | ✓               |
|                                              | Trade         | 5,000                   |                        | 01/23/08                       | 03/30/09     | 96.84       | 135.79                 | -38.95    |         | ✓               |
|                                              | Trade         | 6 000                   |                        | 01/23/08                       | 03/31/09     | 116.78      | 162.95                 | -46.17    |         | ✓               |
|                                              | Trade         | 16 000                  |                        | 01/23/08                       | 04/01/09     | 304.24      | 434.53                 | -130.29   |         | ✓               |
| APPLE INC                                    | Trade         | 3,000                   |                        | 12/18/08                       | 12/23/09     | 605.73      | 269.19                 | 336.54    |         | ✓               |
| ARCELORMITTAL SA NY REG                      | Trade         | 2 000                   |                        | 12/20/07                       | 12/23/09     | 89.69       | 143.34                 | -53.65    |         | ✓               |
| ASML HOLDING NV NY REG<br>SHS NEW            | Trade         | 2,000                   |                        | 11/21/07                       | 12/23/09     | 68.75       | 66.88                  | 1.87      |         | ✓               |
|                                              | Trade         | 2 000                   |                        | 03/05/08                       | 12/23/09     | 68.75       | 47.74                  | 21.01     |         | ✓               |
| AT&T INC                                     | Trade         | 3,000                   |                        | 01/23/08                       | 08/19/09     | 76.11       | 105.54                 | -29.43    |         | ✓               |
|                                              | Trade         | 12 000                  |                        | 01/23/08                       | 12/23/09     | 335.39      | 422.17                 | -86.78    |         | ✓               |
| AXA ADR                                      | Trade         | 2 000                   |                        | 01/30/06                       | 04/06/09     | 27.22       | 67.60                  | -40.38    |         | ✓               |
|                                              | Trade         | 6,000                   |                        | 06/29/06                       | 04/06/09     | 81.65       | 194.63                 | -112.98   |         | ✓               |
|                                              | Trade         | 8,000                   |                        | 03/04/08                       | 04/06/09     | 108.87      | 261.53                 | -152.66   |         | ✓               |
|                                              | Trade         | 2,000                   |                        | 03/05/08                       | 04/06/09     | 27.22       | 66.27                  | -39.05    |         | ✓               |
|                                              | Trade         | 1 000                   |                        | 03/07/08                       | 04/06/09     | 13.61       | 31.76                  | -18.15    |         | ✓               |
|                                              | Trade         | 7 000                   |                        | 03/19/08                       | 04/06/09     | 95.26       | 228.23                 | -132.97   |         | ✓               |
| BAKER HUGHES INC                             | Trade         | 7 000                   |                        | 03/19/08                       | 08/19/09     | 260.19      | 478.04                 | -217.85   |         | ✓               |
|                                              | Trade         | 1 000                   |                        | 07/17/08                       | 08/19/09     | 37.16       | 78.20                  | -41.04    |         | ✓               |
| BANK OF EAST ASIA LTD<br>SPONS ADR HONG KONG | Trade         | 57 000                  |                        | 03/04/08                       | 11/12/09     | 249.40      | 280.77                 | -31.37    |         | ✓               |
|                                              | Trade         | 3,000                   |                        | 03/10/08                       | 11/12/09     | 13.12       | 16.09                  | -2.97     |         | ✓               |
|                                              | Trade         | 13 000                  |                        | 03/04/08                       | 12/02/09     | 54.84       | 64.03                  | -9.19     |         | ✓               |
|                                              | Trade         | 2 000                   |                        | 07/17/08                       | 12/02/09     | 8.43        | 9.74                   | -1.31     |         | ✓               |
|                                              | Trade         | 15 000                  |                        | 03/19/08                       | 12/03/09     | 63.58       | 66.20                  | -2.62     |         | ✓               |
|                                              | Trade         | 5 000                   |                        | 03/19/08                       | 12/04/09     | 21.00       | 22.07                  | -1.07     |         | ✓               |
|                                              | Trade         | 4 000                   |                        | 09/11/08                       | 12/04/09     | 16.80       | 15.78                  | 1.02      |         | ✓               |
|                                              | Trade         | 6,000                   |                        | 09/12/08                       | 12/04/09     | 25.21       | 21.81                  | 3.40      |         | ✓               |

C32G015131-X

## Long-Term Gain/Loss - continued

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

| Security Description                                | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|-----------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| BANK OF EAST ASIA LTD<br>SPONS ADR HONG KONG        | Trade         | 7.000                   |                        | 09/12/08                       | 12/07/09     | 29.37       | 25.45                  | 3.92      |         | Y                |
|                                                     | Trade         | 8.000                   |                        | 09/16/08                       | 12/07/09     | 33.57       | 29.04                  | 4.53      |         | Y                |
|                                                     | Trade         | 12.000                  |                        | 09/16/08                       | 12/08/09     | 49.49       | 43.56                  | 5.93      |         | Y                |
|                                                     | Trade         | 13.000                  |                        | 09/19/08                       | 12/08/09     | 53.62       | 46.98                  | 6.64      |         | Y                |
|                                                     | Trade         | 5.000                   |                        | 09/22/08                       | 12/08/09     | 20.62       | 15.11                  | 5.51      |         | Y                |
|                                                     | Trade         | 25.000                  |                        | 09/22/08                       | 12/09/09     | 101.70      | 75.56                  | 26.14     |         | Y                |
| BARCLAYS PLC ADR                                    | Trade         | 30.000                  |                        | 04/11/05                       | 01/21/09     | 95.85       | 1,273.12               | -1,177.27 |         | Y                |
| BHP BILLITON LTD SPON<br>ADR                        | Trade         | 6.000                   |                        | 09/10/08                       | 11/06/09     | 407.18      | 346.58                 | 60.60     |         | Y                |
|                                                     | Trade         | 2.000                   |                        | 09/19/08                       | 11/06/09     | 135.73      | 125.14                 | 10.59     |         | Y                |
| BP PLC SPON ADR                                     | Trade         | 3.000                   |                        | 04/11/05                       | 09/14/09     | 162.92      | 191.01                 | -28.09    |         | Y                |
|                                                     | Trade         | 11.000                  |                        | 08/20/07                       | 09/14/09     | 597.36      | 710.85                 | -113.49   |         | Y                |
| BRITISH SKY BROADCASTING<br>GROUP PLC SPONSORED ADR | Trade         | 4.000                   |                        | 12/21/07                       | 07/15/09     | 129.09      | 196.41                 | -67.32    |         | Y                |
|                                                     | Trade         | 1.000                   |                        | 03/04/08                       | 07/15/09     | 32.27       | 44.41                  | -12.14    |         | Y                |
|                                                     | Trade         | 5.000                   |                        | 03/04/08                       | 08/20/09     | 177.99      | 222.06                 | -44.07    |         | Y                |
|                                                     | Trade         | 6.000                   |                        | 03/04/08                       | 08/21/09     | 215.57      | 266.48                 | -50.91    |         | Y                |
|                                                     | Trade         | 2.000                   |                        | 03/10/08                       | 08/21/09     | 71.85       | 88.25                  | -16.40    |         | Y                |
|                                                     | Trade         | 2.000                   |                        | 03/19/08                       | 08/21/09     | 71.85       | 86.37                  | -14.52    |         | Y                |
|                                                     | Trade         | 4.000                   |                        | 03/19/08                       | 08/24/09     | 143.93      | 172.74                 | -28.81    |         | Y                |
| BURLINGTON NTHN SANTA FE<br>CORP                    | Trade         | 5.000                   |                        | 01/23/08                       | 08/20/09     | 414.69      | 391.49                 | 23.20     |         | Y                |
| CANON INC ADR JAPAN SPON<br>ADR                     | Trade         | 1.000                   |                        | 03/19/08                       | 10/15/09     | 39.03       | 45.87                  | -6.84     |         | Y                |
|                                                     | Trade         | 4.000                   |                        | 07/17/08                       | 10/15/09     | 156.14      | 190.92                 | -34.78    |         | Y                |
|                                                     | Trade         | 2.000                   |                        | 03/07/08                       | 11/09/09     | 74.85       | 87.26                  | -12.41    |         | Y                |
|                                                     | Trade         | 5.000                   |                        | 03/19/08                       | 11/09/09     | 187.14      | 229.33                 | -42.19    |         | Y                |
|                                                     | Trade         | 2.000                   |                        | 09/19/08                       | 11/09/09     | 74.85       | 81.45                  | -6.60     |         | Y                |
|                                                     | Trade         | 1.000                   |                        | 04/11/05                       | 12/23/09     | 41.91       | 36.41                  | 5.50      |         | Y                |
|                                                     | Trade         | 1.000                   |                        | 09/19/08                       | 12/23/09     | 41.91       | 40.72                  | 1.19      |         | Y                |
| CARNIVAL CORP NEW<br>(PAIRED STOCK)                 | Trade         | 2.000                   |                        | 05/12/05                       | 08/19/09     | 58.88       | 98.72                  | -39.84    |         | Y                |
|                                                     | Trade         | 3.000                   |                        | 05/12/05                       | 12/23/09     | 97.56       | 148.08                 | -50.52    |         | Y                |
|                                                     | Trade         | 5.000                   |                        | 09/06/05                       | 12/23/09     | 162.61      | 245.69                 | -83.08    |         | Y                |

C32G015132-X

## Long-Term Gain/Loss - continued

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

| Security Description                 | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|--------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| CDN NATL RAILWAY CO<br>FOREIGN STOCK | Trade         | 6 000                   |                        | 04/03/08                       | 05/15/09     | 234 13      | 305 33                 | -71 20    |         | Y                |
|                                      | Trade         | 3 000                   |                        | 08/20/07                       | 08/18/09     | 143.93      | 150 43                 | -6 50     |         | Y                |
|                                      | Trade         | 16.000                  |                        | 04/02/08                       | 08/18/09     | 767 66      | 802 50                 | -34.84    |         | Y                |
|                                      | Trade         | 1 000                   |                        | 04/03/08                       | 08/18/09     | 47 97       | 50 89                  | -2 92     |         | Y                |
|                                      | Trade         | 3 000                   |                        | 08/20/07                       | 08/20/09     | 146 66      | 150 43                 | -3 77     |         | Y                |
|                                      | Trade         | 6 000                   |                        | 03/19/08                       | 08/20/09     | 293 33      | 292 04                 | 1.29      |         | Y                |
|                                      | Trade         | 1 000                   |                        | 04/01/08                       | 08/20/09     | 48 89       | 49 32                  | - 43      |         | Y                |
| CHEVRON CORP                         | Trade         | 17 000                  |                        | 01/23/08                       | 02/03/09     | 1,195 70    | 1,337 40               | -141 70   |         | Y                |
|                                      | Trade         | 2 000                   |                        | 10/26/06                       | 12/23/09     | 154 43      | 135 53                 | 18 90     |         | Y                |
|                                      | Trade         | 1 000                   |                        | 01/23/08                       | 12/23/09     | 77 21       | 78 67                  | -1 46     |         | Y                |
| COACH INC                            | Trade         | 1,000                   |                        | 11/15/06                       | 07/07/09     | 24 44       | 42 05                  | -17 61    |         | Y                |
|                                      | Trade         | 11 000                  |                        | 11/15/06                       | 07/08/09     | 265.09      | 462 52                 | -197 43   |         | Y                |
|                                      | Trade         | 14 000                  |                        | 11/27/06                       | 07/08/09     | 337 39      | 587 06                 | -249 67   |         | Y                |
|                                      | Trade         | 5,000                   |                        | 11/14/06                       | 07/09/09     | 120 24      | 200.20                 | -79 96    |         | Y                |
|                                      | Trade         | 10 000                  |                        | 11/17/06                       | 07/09/09     | 240.49      | 416 75                 | -176 26   |         | Y                |
|                                      | Trade         | 1 000                   |                        | 11/27/06                       | 07/09/09     | 24 04       | 41.93                  | -17.89    |         | Y                |
|                                      | Trade         | 5 000                   |                        | 11/14/06                       | 07/10/09     | 118 10      | 200.20                 | -82 10    |         | Y                |
|                                      | Trade         | 6 000                   |                        | 01/23/08                       | 07/10/09     | 141 72      | 169 89                 | -28 17    |         | Y                |
|                                      | Trade         | 11 000                  |                        | 01/23/08                       | 07/13/09     | 259.63      | 311 46                 | -51 83    |         | Y                |
| COMCAST CORP NEW CL A                | Trade         | 15 000                  |                        | 10/26/07                       | 12/23/09     | 255 74      | 316.86                 | -61 12    |         | Y                |
|                                      | Trade         | 6 000                   |                        | 10/29/07                       | 12/23/09     | 102 29      | 125 70                 | -23 41    |         | Y                |
| CONSTELLATION BRANDS INC<br>CL A     | Trade         | 9,000                   |                        | 10/06/06                       | 03/12/09     | 117 05      | 249 97                 | -132 92   |         | Y                |
|                                      | Trade         | 1 000                   |                        | 12/22/06                       | 03/12/09     | 13 00       | 28 30                  | -15 30    |         | Y                |
|                                      | Trade         | 7 000                   |                        | 11/03/06                       | 03/13/09     | 91 20       | 193 68                 | -102 48   |         | Y                |
|                                      | Trade         | 3 000                   |                        | 11/03/06                       | 03/16/09     | 40 17       | 83.01                  | -42 84    |         | Y                |
|                                      | Trade         | 4,000                   |                        | 11/03/06                       | 03/17/09     | 53 04       | 110 68                 | -57 64    |         | Y                |
|                                      | Trade         | 7,000                   |                        | 11/03/06                       | 03/18/09     | 93 12       | 193 68                 | -100 56   |         | Y                |
|                                      | Trade         | 4 000                   |                        | 11/03/06                       | 03/19/09     | 52 41       | 110 68                 | -58 27    |         | Y                |
|                                      | Trade         | 9 000                   |                        | 11/03/06                       | 03/23/09     | 116 98      | 249 02                 | -132 04   |         | Y                |
|                                      | Trade         | 8 000                   |                        | 11/03/06                       | 03/24/09     | 106 17      | 221 35                 | -115 18   |         | Y                |
|                                      | Trade         | 2 000                   |                        | 10/12/06                       | 03/25/09     | 25 12       | 55 30                  | -30 18    |         | Y                |
|                                      | Trade         | 6 000                   |                        | 11/03/06                       | 03/25/09     | 75 38       | 166 01                 | -90 63    |         | Y                |
|                                      | Trade         | 6 000                   |                        | 10/12/06                       | 03/26/09     | 73 87       | 165 90                 | -92 03    |         | Y                |
|                                      | Trade         | 4 000                   |                        | 10/12/06                       | 03/27/09     | 48 20       | 110 60                 | -62 40    |         | Y                |



C32G015133-X

## Long-Term Gain/Loss - continued

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

| Security Description             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099 |
|----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------------|
| CONSTELLATION BRANDS INC<br>CL A | Trade         | 3,000                   |                        | 10/12/06                       | 03/30/09     | 35.58       | 82.95                  | -47.37    |         |               |
|                                  | Trade         | 4,000                   |                        | 10/31/06                       | 03/31/09     | 47.63       | 109.67                 | -62.04    |         |               |
|                                  | Trade         | 5,000                   |                        | 10/31/06                       | 04/01/09     | 59.11       | 137.09                 | -77.98    |         |               |
|                                  | Trade         | 6,000                   |                        | 10/31/06                       | 04/02/09     | 73.30       | 164.50                 | -91.20    |         |               |
|                                  | Trade         | 4,000                   |                        | 02/20/07                       | 04/02/09     | 48.86       | 96.23                  | -47.37    |         |               |
|                                  | Trade         | 6,000                   |                        | 02/16/07                       | 04/03/09     | 72.81       | 143.98                 | -71.17    |         |               |
|                                  | Trade         | 1,000                   |                        | 02/21/07                       | 04/03/09     | 12.13       | 24.02                  | -11.89    |         |               |
|                                  | Trade         | 5,000                   |                        | 02/16/07                       | 04/06/09     | 59.19       | 119.98                 | -60.79    |         |               |
|                                  | Trade         | 3,000                   |                        | 02/16/07                       | 04/07/09     | 35.22       | 71.99                  | -36.77    |         |               |
|                                  | Trade         | 2,000                   |                        | 02/22/07                       | 04/07/09     | 23.48       | 47.70                  | -24.22    |         |               |
|                                  | Trade         | 2,000                   |                        | 02/23/07                       | 04/07/09     | 23.48       | 47.75                  | -24.27    |         |               |
| COVIDIEN PLC                     | Trade         | 2,000                   |                        | 08/07/08                       | 08/20/09     | 80.11       | 103.83                 | -23.72    |         |               |
|                                  | Trade         | 5,000                   |                        | 08/08/08                       | 08/20/09     | 200.30      | 267.20                 | -66.90    |         |               |
|                                  | Trade         | 1,000                   |                        | 04/23/08                       | 12/23/09     | 48.62       | 47.27                  | 1.35      |         |               |
|                                  | Trade         | 1,000                   |                        | 04/28/08                       | 12/23/09     | 48.62       | 46.99                  | 1.63      |         |               |
|                                  | Trade         | 1,000                   |                        | 04/29/08                       | 12/23/09     | 48.62       | 47.19                  | 1.43      |         |               |
|                                  | Trade         | 2,000                   |                        | 04/30/08                       | 12/23/09     | 97.28       | 93.84                  | 3.42      |         |               |
|                                  | Trade         | 2,000                   |                        | 07/17/08                       | 12/23/09     | 97.28       | 96.50                  | .76       |         |               |
|                                  | Trade         | 4,000                   |                        | 08/07/08                       | 12/23/09     | 194.52      | 207.65                 | -13.13    |         |               |
| CREDIT SUISSE GROUP SPON<br>ADR  | Trade         | 3,000                   |                        | 04/11/05                       | 12/23/09     | 148.61      | 132.85                 | 15.76     |         |               |
| CRH PLC IRELAND SPON ADR         | Trade         | 3,000                   |                        | 12/28/07                       | 10/20/09     | 86.79       | 106.01                 | -19.22    |         |               |
|                                  | Trade         | 1,000                   |                        | 12/31/07                       | 10/20/09     | 28.92       | 35.51                  | -6.59     |         |               |
|                                  | Trade         | 1,000                   |                        | 01/02/08                       | 10/20/09     | 28.92       | 35.68                  | -6.76     |         |               |
|                                  | Trade         | 3,000                   |                        | 12/27/07                       | 10/22/09     | 85.01       | 105.66                 | -20.65    |         |               |
|                                  | Trade         | 1,000                   |                        | 12/28/07                       | 10/22/09     | 28.33       | 35.34                  | -7.01     |         |               |
|                                  | Trade         | 2,000                   |                        | 12/21/07                       | 12/23/09     | 55.33       | 69.24                  | -13.91    |         |               |
|                                  | Trade         | 1,000                   |                        | 12/27/07                       | 12/23/09     | 27.66       | 35.22                  | -7.56     |         |               |
| DAIMLER AG ORD                   | Trade         | 1,000                   |                        | 03/04/08                       | 12/23/09     | 53.48       | 82.89                  | -29.41    |         |               |
|                                  | Trade         | 1,000                   |                        | 03/19/08                       | 12/23/09     | 53.48       | 83.37                  | -29.89    |         |               |
| DISCOVER FINANCIAL<br>SERVICES   | Trade         | 12,000                  |                        | 04/11/05                       | 08/13/09     | 151.40      | 215.10                 | -63.70    |         |               |
|                                  | Trade         | 4,000                   |                        | 11/01/07                       | 08/13/09     | 50.46       | 71.99                  | -21.53    |         |               |
|                                  | Trade         | 4,000                   |                        | 11/05/07                       | 08/13/09     | 50.46       | 72.03                  | -21.57    |         |               |

C32G015134-X

## Long-Term Gain/Loss - continued

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

| Security Description                                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|--------------------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| DISCOVER FINANCIAL<br>SERVICES                         | Trade         | 7 000                   |                        | 04/11/05                       | 08/14/09     | 86 72       | 125 47                 | -38 75    |         | Y                |
|                                                        | Trade         | 11 000                  |                        | 04/13/05                       | 08/14/09     | 136 29      | 194.79                 | -58 50    |         | Y                |
|                                                        | Trade         | 2 000                   |                        | 02/01/08                       | 08/14/09     | 24 77       | 35.28                  | -10 51    |         | Y                |
|                                                        | Trade         | 1,000                   |                        | 11/26/07                       | 08/17/09     | 12 18       | 16 30                  | -4 12     |         | Y                |
|                                                        | Trade         | 2 000                   |                        | 01/30/08                       | 08/17/09     | 24 37       | 33 13                  | -8.76     |         | Y                |
|                                                        | Trade         | 2 000                   |                        | 02/01/08                       | 08/17/09     | 24 37       | 35 28                  | -10 91    |         | Y                |
|                                                        | Trade         | 15 000                  |                        | 02/04/08                       | 08/17/09     | 182 82      | 246.36                 | -63 54    |         | Y                |
|                                                        | Trade         | 10,000                  |                        | 11/26/07                       | 08/18/09     | 123.93      | 162 97                 | -39 04    |         | Y                |
|                                                        | Trade         | 4 000                   |                        | 11/20/07                       | 08/19/09     | 49 95       | 64.86                  | -14 91    |         | Y                |
|                                                        | Trade         | 17 000                  |                        | 11/21/07                       | 08/19/09     | 212.33      | 274 74                 | -62 41    |         | Y                |
|                                                        | Trade         | 1 000                   |                        | 11/26/07                       | 08/19/09     | 12 48       | 16 30                  | -3.82     |         | Y                |
|                                                        | Trade         | 3,000                   |                        | 02/05/08                       | 08/19/09     | 37 46       | 47 72                  | -10 26    |         | Y                |
|                                                        | Trade         | 29 000                  |                        | 01/23/08                       | 10/08/09     | 494 01      | 400.58                 | 93 43     |         | Y                |
|                                                        | Trade         | 4 000                   |                        | 01/28/08                       | 10/08/09     | 68 13       | 61 64                  | 6.49      |         | Y                |
|                                                        | Trade         | 2 000                   |                        | 02/05/08                       | 10/08/09     | 34.06       | 31.82                  | 2 24      |         | Y                |
|                                                        | Trade         | 17 000                  |                        | 01/23/08                       | 10/09/09     | 277 56      | 234 82                 | 42 74     |         | Y                |
| E ON AG SPON ADR                                       | Trade         | 2 000                   |                        | 05/02/08                       | 12/23/09     | 81.81       | 131.07                 | -49 26    |         | Y                |
|                                                        | Trade         | 2 000                   |                        | 05/05/08                       | 12/23/09     | 81 81       | 131 47                 | -49 66    |         | Y                |
| EOG RESOURCES INC                                      | Trade         | 2,000                   |                        | 12/14/07                       | 12/23/09     | 198 93      | 178 44                 | 20 49     |         | Y                |
|                                                        | Trade         | 1 000                   |                        | 07/17/08                       | 12/23/09     | 99 46       | 102 43                 | -2 97     |         | Y                |
| FEDEX CORP                                             | Trade         | 3 000                   |                        | 06/01/05                       | 08/19/09     | 196 88      | 270 44                 | -73.56    |         | Y                |
|                                                        | Trade         | 4 000                   |                        | 05/25/05                       | 08/20/09     | 263.30      | 353.42                 | -90 12    |         | Y                |
|                                                        | Trade         | 1,000                   |                        | 06/01/05                       | 08/20/09     | 65 82       | 90 15                  | -24 33    |         | Y                |
|                                                        | Trade         | 4,000                   |                        | 05/24/05                       | 10/08/09     | 311 28      | 352.20                 | -40 92    |         | Y                |
|                                                        | Trade         | 1 000                   |                        | 05/25/05                       | 10/08/09     | 77 81       | 88.35                  | -10 54    |         | Y                |
|                                                        | Trade         | 1 000                   |                        | 05/24/05                       | 10/09/09     | 77 46       | 88.05                  | -10.59    |         | Y                |
|                                                        | Trade         | 8 000                   |                        | 01/23/08                       | 10/09/09     | 619 77      | 689 57                 | -69 80    |         | Y                |
|                                                        | Trade         | 5 000                   |                        | 01/23/08                       | 12/23/09     | 418 90      | 430.98                 | -12 08    |         | Y                |
| FHLMC<br>05 125 % DUE 071512<br>DTD 071602 FC 01152003 | Trade         | 1,000 000               |                        | 11/08/05                       | 05/05/09     | 1,100 62    | 1,013.03               | 87 59     |         | Y                |
|                                                        | Trade         | 1,000 000               |                        | 03/23/06                       | 05/05/09     | 1,100 62    | 1,001 90               | 98.72     |         | Y                |
|                                                        | Trade         | 1,000 000               |                        | 02/01/07                       | 05/05/09     | 1,100 62    | 1,001 37               | 99 25     |         | Y                |
|                                                        | Trade         | 1,000 000               |                        | 09/21/07                       | 05/05/09     | 1,100 62    | 1,018 34               | 82.28     |         | Y                |
|                                                        | Trade         | 1,000 000               |                        | 10/19/07                       | 05/05/09     | 1,100 62    | 1,031 12               | 69 50     |         | Y                |

C32G015135-X

## Long-Term Gain/Loss - continued

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

| Security Description   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| FIFTH THIRD BANCORP    | Trade         | 1.000                   |                        | 04/11/05                       | 01/23/09     | 2.78        | 43.11                  | -40.33    |         | Y                |
|                        | Trade         | 1.000                   |                        | 08/03/05                       | 01/23/09     | 2.78        | 43.22                  | -40.44    |         | Y                |
|                        | Trade         | 2.000                   |                        | 08/10/05                       | 01/23/09     | 5.56        | 86.36                  | -80.80    |         | Y                |
|                        | Trade         | 19.000                  |                        | 04/11/05                       | 01/26/09     | 53.03       | 819.09                 | -766.06   |         | Y                |
|                        | Trade         | 14.000                  |                        | 04/11/05                       | 01/27/09     | 37.91       | 603.54                 | -565.63   |         | Y                |
|                        | Trade         | 11.000                  |                        | 04/11/05                       | 01/29/09     | 34.16       | 474.21                 | -440.05   |         | Y                |
|                        | Trade         | 6.000                   |                        | 04/11/05                       | 01/30/09     | 16.56       | 258.66                 | -242.10   |         | Y                |
|                        | Trade         | 9.000                   |                        | 04/11/05                       | 02/02/09     | 19.17       | 387.99                 | -368.82   |         | Y                |
|                        | Trade         | 8.000                   |                        | 04/11/05                       | 02/03/09     | 15.63       | 344.88                 | -329.25   |         | Y                |
|                        | Trade         | 10.000                  |                        | 04/11/05                       | 02/04/09     | 17.35       | 431.10                 | -413.75   |         | Y                |
|                        | Trade         | 10.000                  |                        | 04/11/05                       | 02/05/09     | 16.57       | 431.10                 | -414.53   |         | Y                |
|                        | Trade         | 5.000                   |                        | 07/29/05                       | 02/05/09     | 8.28        | 215.52                 | -207.24   |         | Y                |
|                        | Trade         | 5.000                   |                        | 08/09/05                       | 02/05/09     | 8.28        | 215.24                 | -206.96   |         | Y                |
|                        | Trade         | 5.000                   |                        | 08/01/05                       | 02/06/09     | 11.83       | 214.83                 | -203.00   |         | Y                |
|                        | Trade         | 5.000                   |                        | 08/05/05                       | 02/06/09     | 11.83       | 214.26                 | -202.43   |         | Y                |
|                        | Trade         | 21.000                  |                        | 11/28/05                       | 02/06/09     | 49.72       | 889.70                 | -839.98   |         | Y                |
|                        | Trade         | 22.000                  |                        | 03/22/06                       | 02/06/09     | 52.09       | 892.56                 | -840.47   |         | Y                |
|                        | Trade         | 2.000                   |                        | 03/22/06                       | 02/09/09     | 6.02        | 81.14                  | -75.12    |         | Y                |
|                        | Trade         | 11.000                  |                        | 06/29/06                       | 02/09/09     | 33.11       | 401.23                 | -368.12   |         | Y                |
| FNMA NTS               | Trade         | 2,000.000               |                        | 01/19/07                       | 05/05/09     | 2,167.24    | 1,998.40               | 168.84    |         | Y                |
| 05,000 % DUE 101511    | Trade         | 1,000.000               |                        | 10/19/07                       | 05/05/09     | 1,083.62    | 1,022.86               | 60.76     |         | Y                |
| DTD 101906 FC 04152007 |               |                         |                        |                                |              |             |                        |           |         |                  |
| FORTUNE BRANDS INC     | Trade         | 7.000                   |                        | 01/10/07                       | 12/23/09     | 299.52      | 591.08                 | -291.56   |         | Y                |
| GDF SUEZ SPON ADR      | Trade         | 5.000                   |                        | 11/21/07                       | 01/14/09     | 210.62      | 359.86                 | -149.24   |         | Y                |
|                        | Trade         | 7.000                   |                        | 11/21/07                       | 01/15/09     | 286.83      | 503.80                 | -216.97   |         | Y                |
|                        | Trade         | 6.000                   |                        | 11/21/07                       | 01/16/09     | 249.49      | 431.83                 | -182.34   |         | Y                |
|                        | Trade         | 1.000                   |                        | 11/21/07                       | 01/20/09     | 41.91       | 71.97                  | -30.06    |         | Y                |
| GENL ELECTRIC CO       | Trade         | 2.000                   |                        | 03/22/07                       | 08/14/09     | 27.71       | 71.38                  | -43.67    |         | Y                |
|                        | Trade         | 6.000                   |                        | 03/23/07                       | 08/14/09     | 83.14       | 214.59                 | -131.45   |         | Y                |
|                        | Trade         | 35.000                  |                        | 03/26/07                       | 08/14/09     | 485.01      | 1,251.40               | -766.39   |         | Y                |
|                        | Trade         | 36.000                  |                        | 03/27/07                       | 08/14/09     | 498.86      | 1,286.24               | -787.38   |         | Y                |
|                        | Trade         | 34.000                  |                        | 03/22/07                       | 08/17/09     | 453.74      | 1,213.41               | -759.67   |         | Y                |
|                        | Trade         | 45.000                  |                        | 03/28/07                       | 08/17/09     | 600.54      | 1,597.81               | -997.27   |         | Y                |
|                        | Trade         | 29.000                  |                        | 03/29/07                       | 08/17/09     | 387.02      | 1,030.75               | -643.73   |         | Y                |

C32G015136-X

## Long-Term Gain/Loss - continued

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

| Security Description                | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| GENL ELECTRIC CO                    | Trade         | 12 000                  |                        | 03/30/07                       | 08/17/09     | 160.14      | 423 64                 | -263 50   |         | Y                 |
|                                     | Trade         | 19 000                  |                        | 03/30/07                       | 08/18/09     | 257 41      | 670 76                 | -413 35   |         | Y                 |
|                                     | Trade         | 22 000                  |                        | 03/21/07                       | 08/19/09     | 297.68      | 773 16                 | -475 48   |         | Y                 |
|                                     | Trade         | 6 000                   |                        | 03/30/07                       | 08/19/09     | 81 18       | 211 82                 | -130 64   |         | Y                 |
|                                     | Trade         | 17 000                  |                        | 03/20/07                       | 10/08/09     | 276 60      | 590 84                 | -314.24   |         | Y                 |
|                                     | Trade         | 17 000                  |                        | 03/21/07                       | 10/08/09     | 276 60      | 597 44                 | -320 84   |         | Y                 |
|                                     | Trade         | 13 000                  |                        | 07/17/08                       | 10/08/09     | 211 51      | 365 15                 | -153 64   |         | Y                 |
| GENZYME CORP GEN DIV                | Trade         | 1 000                   |                        | 04/11/05                       | 02/05/09     | 72 01       | 59 19                  | 12.82     |         | Y                 |
|                                     | Trade         | 15,000                  |                        | 04/11/05                       | 02/06/09     | 1,071 40    | 887 85                 | 183 55    |         | Y                 |
|                                     | Trade         | 12 000                  |                        | 04/11/05                       | 10/27/09     | 628 86      | 710 28                 | -81 42    |         | Y                 |
|                                     | Trade         | 3 000                   |                        | 04/11/05                       | 10/28/09     | 154 27      | 177 57                 | -23 30    |         | Y                 |
|                                     | Trade         | 11 000                  |                        | 04/25/05                       | 10/28/09     | 565 68      | 650 97                 | -85 29    |         | Y                 |
|                                     | Trade         | 1,000                   |                        | 05/18/06                       | 10/28/09     | 51 42       | 58.81                  | -7 39     |         | Y                 |
|                                     | Trade         | 10 000                  |                        | 05/16/06                       | 10/29/09     | 518 35      | 550.39                 | -32 04    |         | Y                 |
| HALLIBURTON CO<br>(HOLDING COMPANY) | Trade         | 10 000                  |                        | 05/18/06                       | 10/29/09     | 518.35      | 588 15                 | -69 80    |         | Y                 |
|                                     | Trade         | 5,000                   |                        | 12/14/07                       | 05/29/09     | 114 60      | 189 89                 | -75 29    |         | Y                 |
|                                     | Trade         | 3,000                   |                        | 12/05/07                       | 06/01/09     | 71.97       | 110 64                 | -38 67    |         | Y                 |
|                                     | Trade         | 7 000                   |                        | 12/06/07                       | 06/01/09     | 167.95      | 262 64                 | -94 69    |         | Y                 |
|                                     | Trade         | 3 000                   |                        | 12/07/07                       | 06/01/09     | 71 97       | 112 53                 | -40 56    |         | Y                 |
|                                     | Trade         | 11,000                  |                        | 12/10/07                       | 06/01/09     | 263 93      | 416 50                 | -152 57   |         | Y                 |
|                                     | Trade         | 1,000                   |                        | 12/14/07                       | 06/01/09     | 23 98       | 37.98                  | -14 00    |         | Y                 |
|                                     | Trade         | 8,000                   |                        | 12/05/07                       | 06/02/09     | 189 58      | 295 04                 | -105 46   |         | Y                 |
|                                     | Trade         | 1 000                   |                        | 12/17/07                       | 06/02/09     | 23.69       | 36 88                  | -13 19    |         | Y                 |
|                                     | Trade         | 10 000                  |                        | 12/17/07                       | 08/19/09     | 235 93      | 368 76                 | -132 83   |         | Y                 |
|                                     | Trade         | 7 000                   |                        | 12/04/07                       | 10/16/09     | 213 89      | 253 05                 | -39 16    |         | Y                 |
|                                     | Trade         | 6 000                   |                        | 12/17/07                       | 10/16/09     | 183 33      | 221 25                 | -37 92    |         | Y                 |
| HENKEL AG & CO KGAA PFD<br>SPON ADR | Trade         | 17 000                  |                        | 01/23/08                       | 10/16/09     | 519.44      | 522 12                 | -2 68     |         | Y                 |
|                                     | Trade         | 2 000                   |                        | 11/21/07                       | 12/23/09     | 105 09      | 113 80                 | -8 71     |         | Y                 |
| HONDA MOTOR CO ADR JAPAN<br>ADR     | Trade         | 19 000                  |                        | 04/11/05                       | 07/14/09     | 492 70      | 485 83                 | 6 87      |         | Y                 |
|                                     | Trade         | 8 000                   |                        | 03/19/08                       | 07/14/09     | 207 45      | 224 14                 | -16 69    |         | Y                 |
|                                     | Trade         | 2 000                   |                        | 06/04/08                       | 07/14/09     | 51 86       | 71 25                  | -19 39    |         | Y                 |
| ILLINOIS TOOL WORKS INC             | Trade         | 4 000                   |                        | 01/23/08                       | 06/18/09     | 145 43      | 193 43                 | -48 00    |         | Y                 |

C32G015137-X

## Long-Term Gain/Loss - continued

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

| Security Description                     | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| ILLINOIS TOOL WORKS INC                  | Trade         | 17.000                  |                        | 01/23/08                       | 06/19/09     | 609.21      | 822.08                 | -212.87   |         | Y                |
|                                          | Trade         | 6.000                   |                        | 04/11/05                       | 06/22/09     | 208.30      | 270.39                 | -82.09    |         | Y                |
|                                          | Trade         | 9.000                   |                        | 01/23/08                       | 06/22/09     | 312.46      | 435.22                 | -122.76   |         | Y                |
|                                          | Trade         | 10.000                  |                        | 04/11/05                       | 08/19/09     | 411.49      | 450.64                 | -39.15    |         | Y                |
|                                          | Trade         | 9.000                   |                        | 04/11/05                       | 08/20/09     | 372.58      | 405.58                 | -33.00    |         | Y                |
| IMPERIAL TOBACCO GROUP<br>PLC SPON ADR   | Trade         | 2.000                   |                        | 10/21/08                       | 12/23/09     | 124.01      | 109.51                 | 14.50     |         | Y                |
| INTEL CORP                               | Trade         | 9.000                   |                        | 01/16/08                       | 06/18/09     | 143.59      | 179.84                 | -36.25    |         | Y                |
|                                          | Trade         | 54.000                  |                        | 01/16/08                       | 06/19/09     | 864.94      | 1,079.04               | -214.10   |         | Y                |
|                                          | Trade         | 13.000                  |                        | 03/22/06                       | 06/22/09     | 204.99      | 255.80                 | -50.81    |         | Y                |
|                                          | Trade         | 30.000                  |                        | 01/16/08                       | 06/22/09     | 473.05      | 599.47                 | -126.42   |         | Y                |
|                                          | Trade         | 27.000                  |                        | 03/22/06                       | 07/07/09     | 442.59      | 531.27                 | -88.68    |         | Y                |
|                                          | Trade         | 64.000                  |                        | 01/23/08                       | 07/07/09     | 1,049.12    | 1,233.78               | -184.66   |         | Y                |
|                                          | Trade         | 14.000                  |                        | 06/29/06                       | 07/08/09     | 223.65      | 264.17                 | -40.52    |         | Y                |
|                                          | Trade         | 24.000                  |                        | 07/26/06                       | 07/08/09     | 383.41      | 421.83                 | -38.42    |         | Y                |
|                                          | Trade         | 50.000                  |                        | 07/27/06                       | 07/08/09     | 798.76      | 879.59                 | -80.83    |         | Y                |
|                                          | Trade         | 3.000                   |                        | 07/31/06                       | 07/08/09     | 47.92       | 54.13                  | -6.21     |         | Y                |
|                                          | Trade         | 34.000                  |                        | 03/13/07                       | 07/08/09     | 543.16      | 654.34                 | -111.18   |         | Y                |
|                                          | Trade         | 16.000                  |                        | 01/23/08                       | 07/08/09     | 255.60      | 308.44                 | -52.84    |         | Y                |
|                                          | Trade         | 16.000                  |                        | 07/26/06                       | 07/09/09     | 257.85      | 281.22                 | -23.37    |         | Y                |
| INTERPUBLIC GROUP OF COS<br>INC          | Trade         | 1.000                   |                        | 11/06/07                       | 12/23/09     | 7.21        | 9.16                   | -1.95     |         | Y                |
|                                          | Trade         | 5.000                   |                        | 11/12/07                       | 12/23/09     | 36.10       | 45.52                  | -9.42     |         | Y                |
|                                          | Trade         | 4.000                   |                        | 11/16/07                       | 12/23/09     | 28.88       | 36.64                  | -7.76     |         | Y                |
|                                          | Trade         | 4.000                   |                        | 11/26/07                       | 12/23/09     | 28.88       | 36.11                  | -7.23     |         | Y                |
|                                          | Trade         | 3.000                   |                        | 11/27/07                       | 12/23/09     | 21.66       | 27.17                  | -5.51     |         | Y                |
|                                          | Trade         | 18.000                  |                        | 12/06/07                       | 12/23/09     | 129.99      | 162.43                 | -32.44    |         | Y                |
|                                          | Trade         | 7.000                   |                        | 01/30/08                       | 12/23/09     | 50.54       | 62.86                  | -12.32    |         | Y                |
| INTESA SANPAOLO SPON ADR                 | Trade         | 14.000                  |                        | 04/02/07                       | 04/16/09     | 255.77      | 636.73                 | -380.96   |         | Y                |
| ISHARES TRUST RUSSELL<br>2000 INDEX FUND | Trade         | 51.000                  |                        | 01/23/08                       | 08/19/09     | 2,862.55    | 3,404.88               | -542.33   |         | Y                |
|                                          | Trade         | 11.000                  |                        | 01/23/08                       | 12/23/09     | 692.45      | 734.39                 | -41.94    |         | Y                |
| ISHARES MSCI EAFE INDEX<br>FUND          | Trade         | 16.000                  |                        | 03/19/08                       | 12/23/09     | 884.66      | 1,119.85               | -235.19   |         | Y                |

C32G015138-X

## Long-Term Gain/Loss - continued

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

| Security Description                   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| KAO CORP REPSTG 10 SHS<br>COM SPON ADR | Trade         | 5.000                   |                        | 08/20/07                       | 12/23/09     | 116.34      | 137.34                 | -21.00    |         | Y                |
| KOMATSU LTD SPON ADR<br>NEW            | Trade         | 3.000                   |                        | 12/21/07                       | 01/16/09     | 139.87      | 303.88                 | -164.01   |         | Y                |
| MARATHON OIL CORP                      | Trade         | 8.000                   |                        | 02/29/08                       | 12/23/09     | 252.33      | 426.24                 | -173.91   |         | Y                |
| MASCO CORP                             | Trade         | 10.000                  |                        | 04/11/05                       | 02/05/09     | 80.49       | 338.58                 | -258.09   |         | Y                |
|                                        | Trade         | 29.000                  |                        | 04/11/05                       | 02/06/09     | 237.85      | 981.89                 | -744.04   |         | Y                |
|                                        | Trade         | 8.000                   |                        | 04/11/05                       | 02/09/09     | 64.86       | 270.87                 | -206.01   |         | Y                |
|                                        | Trade         | 6.000                   |                        | 05/16/06                       | 02/09/09     | 48.64       | 192.49                 | -143.85   |         | Y                |
|                                        | Trade         | 10.000                  |                        | 05/16/06                       | 02/10/09     | 77.49       | 320.82                 | -243.33   |         | Y                |
|                                        | Trade         | 3.000                   |                        | 04/28/06                       | 02/11/09     | 22.31       | 95.87                  | -73.56    |         | Y                |
|                                        | Trade         | 8.000                   |                        | 05/16/06                       | 02/11/09     | 59.51       | 256.65                 | -197.14   |         | Y                |
|                                        | Trade         | 20.000                  |                        | 04/27/06                       | 02/12/09     | 136.63      | 637.83                 | -501.20   |         | Y                |
|                                        | Trade         | 17.000                  |                        | 04/28/06                       | 02/12/09     | 116.14      | 543.25                 | -427.11   |         | Y                |
|                                        | Trade         | 10.000                  |                        | 06/29/06                       | 02/13/09     | 65.54       | 289.54                 | -224.00   |         | Y                |
|                                        | Trade         | 9.000                   |                        | 06/29/06                       | 02/17/09     | 53.86       | 260.59                 | -206.73   |         | Y                |
| MEDCO HEALTH SOLUTIONS<br>INC          | Trade         | 4.000                   |                        | 04/11/05                       | 04/08/09     | 169.05      | 106.57                 | 62.48     |         | Y                |
|                                        | Trade         | 2.000                   |                        | 04/11/05                       | 04/09/09     | 85.18       | 53.29                  | 31.89     |         | Y                |
|                                        | Trade         | 4.000                   |                        | 04/11/05                       | 04/13/09     | 169.29      | 106.57                 | 62.72     |         | Y                |
|                                        | Trade         | 4.000                   |                        | 04/11/05                       | 04/14/09     | 171.84      | 106.57                 | 65.27     |         | Y                |
|                                        | Trade         | 5.000                   |                        | 04/11/05                       | 08/19/09     | 272.57      | 133.22                 | 139.35    |         | Y                |
|                                        | Trade         | 4.000                   |                        | 04/11/05                       | 08/20/09     | 218.84      | 106.57                 | 112.27    |         | Y                |
|                                        | Trade         | 4.000                   |                        | 04/11/05                       | 12/15/09     | 260.15      | 106.57                 | 153.58    |         | Y                |
|                                        | Trade         | 6.000                   |                        | 10/21/08                       | 12/15/09     | 390.22      | 235.06                 | 155.16    |         | Y                |
|                                        | Trade         | 5.000                   |                        | 04/11/05                       | 12/16/09     | 315.21      | 133.22                 | 181.99    |         | Y                |
|                                        | Trade         | 5.000                   |                        | 04/11/05                       | 12/17/09     | 315.44      | 133.22                 | 182.22    |         | Y                |
| MEDTRONIC INC                          | Trade         | 10.000                  |                        | 05/12/06                       | 12/23/09     | 441.51      | 487.22                 | -45.71    |         | Y                |
|                                        | Trade         | 2.000                   |                        | 05/15/06                       | 12/23/09     | 88.30       | 97.80                  | -9.50     |         | Y                |
| MICROSOFT CORP                         | Trade         | 18.000                  |                        | 03/11/08                       | 08/19/09     | 425.55      | 518.99                 | -93.44    |         | Y                |
|                                        | Trade         | 13.000                  |                        | 03/11/08                       | 08/20/09     | 308.05      | 374.82                 | -66.77    |         | Y                |
|                                        | Trade         | 11.000                  |                        | 03/11/08                       | 12/23/09     | 339.37      | 317.16                 | 22.21     |         | Y                |

C32G015139-X

## Long-Term Gain/Loss - continued

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

| Security Description     | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099- |
|--------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|----------------|
| MITSUBISHI CORP SPONS    | Trade         | 3 000                   |                        | 03/19/08                       | 12/23/09     | 144.59      | 177.43                 | -32.84    |         | ✓              |
| ADR ADR                  | Trade         | 3 000                   |                        | 07/17/08                       | 12/23/09     | 144.59      | 179.81                 | -35.22    |         | ✓              |
| MITSUI SUMITOMO UNSPONS  | Trade         | 24,000                  |                        | 10/10/08                       | 10/16/09     | 285.95      | 365.42                 | -79.47    |         | ✓              |
| ADR                      | Trade         | 14 000                  |                        | 10/14/08                       | 10/16/09     | 166.80      | 230.73                 | -63.93    |         | ✓              |
|                          | Trade         | 1,000                   |                        | 10/15/08                       | 10/16/09     | 11.91       | 15.52                  | -3.61     |         | ✓              |
|                          | Trade         | 6 000                   |                        | 10/10/08                       | 10/19/09     | 73.48       | 91.35                  | -17.87    |         | ✓              |
| MORGAN STANLEY           | Trade         | 12,000                  |                        | 04/11/05                       | 02/05/09     | 280.40      | 544.65                 | -264.25   |         | ✓              |
|                          | Trade         | 24,000                  |                        | 04/11/05                       | 02/06/09     | 561.97      | 1,089.30               | -527.33   |         | ✓              |
|                          | Trade         | 9,000                   |                        | 04/11/05                       | 07/07/09     | 239.81      | 408.49                 | -168.68   |         | ✓              |
|                          | Trade         | 10,000                  |                        | 04/11/05                       | 07/08/09     | 255.50      | 453.88                 | -198.38   |         | ✓              |
|                          | Trade         | 9,000                   |                        | 04/11/05                       | 08/19/09     | 258.73      | 408.49                 | -149.76   |         | ✓              |
|                          | Trade         | 6,000                   |                        | 04/13/05                       | 08/19/09     | 172.49      | 269.03                 | -96.54    |         | ✓              |
|                          | Trade         | 9 000                   |                        | 04/13/05                       | 12/23/09     | 265.07      | 403.55                 | -138.48   |         | ✓              |
| NATL AUSTRALIA BANK LTD  | Trade         | 14,000                  |                        | 04/11/08                       | 04/16/09     | 222.48      | 378.75                 | -156.27   |         | ✓              |
| SPON ADR                 | Trade         | 3,000                   |                        | 04/14/08                       | 04/16/09     | 47.67       | 78.43                  | -30.76    |         | ✓              |
|                          | Trade         | 2,000                   |                        | 04/15/08                       | 04/16/09     | 31.77       | 53.20                  | -21.43    |         | ✓              |
|                          | Trade         | 3 000                   |                        | 04/14/08                       | 04/17/09     | 47.46       | 78.43                  | -30.97    |         | ✓              |
| NESTLE S A SPONSORED ADR | Trade         | 1 000                   |                        | 08/20/07                       | 01/15/09     | 35.53       | 44.03                  | -8.50     |         | ✓              |
| REPSTG REG SHS SWITZ     | Trade         | 10,000                  |                        | 04/11/05                       | 01/16/09     | 364.07      | 269.99                 | 94.08     |         | ✓              |
| ADR                      | Trade         | 6 000                   |                        | 08/20/07                       | 01/16/09     | 218.44      | 264.16                 | -45.72    |         | ✓              |
|                          | Trade         | 2,000                   |                        | 04/11/05                       | 01/20/09     | 72.38       | 54.00                  | 18.38     |         | ✓              |
| NETAPP INC               | Trade         | 18,000                  |                        | 10/17/07                       | 03/20/09     | 268.59      | 525.85                 | -257.26   |         | ✓              |
|                          | Trade         | 2 000                   |                        | 10/19/07                       | 03/20/09     | 29.84       | 59.12                  | -29.28    |         | ✓              |
|                          | Trade         | 2,000                   |                        | 10/22/07                       | 03/20/09     | 29.84       | 59.87                  | -30.03    |         | ✓              |
|                          | Trade         | 14,000                  |                        | 01/23/08                       | 03/20/09     | 208.91      | 280.44                 | -71.53    |         | ✓              |
| NEW WORLD DEVELOPMENT    | Trade         | 35 000                  |                        | 06/11/08                       | 12/23/09     | 138.59      | 164.78                 | -26.19    |         | ✓              |
| LTD SPON ADR (HONG KONG) |               |                         |                        |                                |              |             |                        |           |         |                |
| NEWS CORP INC DELA CL A  | Trade         | 1,000                   |                        | 06/08/06                       | 03/25/09     | 6.85        | 18.92                  | -12.07    |         | ✓              |
|                          | Trade         | 7 000                   |                        | 06/29/06                       | 03/25/09     | 48.03       | 133.09                 | -85.06    |         | ✓              |
|                          | Trade         | 14 000                  |                        | 06/08/06                       | 03/26/09     | 96.72       | 264.87                 | -168.15   |         | ✓              |
|                          | Trade         | 8 000                   |                        | 06/16/06                       | 03/26/09     | 55.26       | 151.17                 | -95.91    |         | ✓              |

C32G015140-X

## Long-Term Gain/Loss - continued

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

| Security Description                | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|-------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| NEWS CORP INC DELA CL A             | Trade         | 2 000                   |                        | 06/12/06                       | 03/27/09     | 13 89       | 37 59                  | -23 70    |         | Y                 |
|                                     | Trade         | 10 000                  |                        | 06/15/06                       | 03/27/09     | 69 47       | 188 42                 | -118 95   |         | Y                 |
|                                     | Trade         | 7 000                   |                        | 06/16/06                       | 03/27/09     | 48 63       | 132 27                 | -83 64    |         | Y                 |
|                                     | Trade         | 12 000                  |                        | 06/12/06                       | 03/30/09     | 78 42       | 225 55                 | -147 13   |         | Y                 |
|                                     | Trade         | 10 000                  |                        | 06/09/06                       | 03/31/09     | 66 46       | 187 48                 | -121 02   |         | Y                 |
|                                     | Trade         | 1 000                   |                        | 06/12/06                       | 03/31/09     | 6 64        | 18 80                  | -12 16    |         | Y                 |
|                                     | Trade         | 16 000                  |                        | 06/13/06                       | 03/31/09     | 108 34      | 296 15                 | -189 81   |         | Y                 |
|                                     | Trade         | 4 000                   |                        | 06/13/06                       | 04/01/09     | 27 27       | 74 04                  | -46 77    |         | Y                 |
|                                     | Trade         | 15 000                  |                        | 06/14/06                       | 04/01/09     | 102 31      | 276 62                 | -174 31   |         | Y                 |
|                                     | Trade         | 5 000                   |                        | 01/23/08                       | 04/01/09     | 34 10       | 90.85                  | -56 75    |         | Y                 |
|                                     | Trade         | 8 000                   |                        | 05/02/06                       | 04/02/09     | 59 19       | 136 87                 | -77 68    |         | Y                 |
|                                     | Trade         | 10 000                  |                        | 05/03/06                       | 04/02/09     | 73 98       | 171 89                 | -97 91    |         | Y                 |
|                                     | Trade         | 1 000                   |                        | 01/23/08                       | 04/02/09     | 7.39        | 18 17                  | -10 78    |         | Y                 |
|                                     | Trade         | 2 000                   |                        | 05/02/06                       | 04/03/09     | 15 23       | 34 22                  | -18 99    |         | Y                 |
| NISOURCE INC                        | Trade         | 14 000                  |                        | 04/11/05                       | 01/02/09     | 156 14      | 321 87                 | -165 73   |         | Y                 |
|                                     | Trade         | 3 000                   |                        | 10/21/05                       | 01/02/09     | 33 45       | 67 18                  | -33 73    |         | Y                 |
|                                     | Trade         | 7 000                   |                        | 10/21/05                       | 01/05/09     | 78 30       | 156 76                 | -78 46    |         | Y                 |
|                                     | Trade         | 3 000                   |                        | 06/29/06                       | 01/05/09     | 33 55       | 65 65                  | -32 10    |         | Y                 |
|                                     | Trade         | 5 000                   |                        | 03/22/06                       | 01/06/09     | 56.26       | 103 72                 | -47 46    |         | Y                 |
|                                     | Trade         | 9 000                   |                        | 06/29/06                       | 01/06/09     | 101.27      | 196 96                 | -95 69    |         | Y                 |
|                                     | Trade         | 23 000                  |                        | 03/22/06                       | 01/07/09     | 251 29      | 477.12                 | -225 83   |         | Y                 |
| NOBEL BIOCARA ADR                   | Trade         | 6 000                   |                        | 12/18/08                       | 12/23/09     | 100 19      | 61 01                  | 39 18     |         | Y                 |
| NOKIA CORP SPONS ADR                | Trade         | 36 000                  |                        | 04/11/08                       | 08/18/09     | 448 19      | 1,172 46               | -724 27   |         | Y                 |
| FINLAND ADR                         | Trade         | 7 000                   |                        | 04/14/08                       | 08/18/09     | 87 15       | 226 81                 | -139 66   |         | Y                 |
|                                     | Trade         | 6 000                   |                        | 05/16/08                       | 08/18/09     | 74 70       | 174 52                 | -99 82    |         | Y                 |
|                                     | Trade         | 4 000                   |                        | 07/21/08                       | 08/18/09     | 49 80       | 109 81                 | -60.01    |         | Y                 |
| NOMURA HOLDINGS INC NEW<br>SPON ADR | Trade         | 5 000                   |                        | 01/30/06                       | 11/18/09     | 34 05       | 97 55                  | -63 50    |         | Y                 |
|                                     | Trade         | 6 000                   |                        | 01/30/06                       | 12/23/09     | 45 13       | 117 06                 | -71 93    |         | Y                 |
|                                     | Trade         | 10 000                  |                        | 06/29/06                       | 12/23/09     | 75.22       | 181 93                 | -106 71   |         | Y                 |
| NOVARTIS AG SPON ADR                | Trade         | 7 000                   |                        | 04/02/07                       | 08/18/09     | 311 37      | 386 10                 | -74 73    |         | Y                 |
|                                     | Trade         | 7 000                   |                        | 04/02/07                       | 08/20/09     | 314 92      | 386 10                 | -71 18    |         | Y                 |
|                                     | Trade         | 5 000                   |                        | 03/04/08                       | 08/20/09     | 224 94      | 240 71                 | -15 77    |         | Y                 |
|                                     | Trade         | 2 000                   |                        | 03/05/08                       | 08/20/09     | 89 98       | 96 92                  | -6 94     |         | Y                 |



C32G015141-X

## Long-Term Gain/Loss - continued

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

| Security Description   | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099 |
|------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------------|
| NOVARTIS AG SPON ADR   | Trade         | 5 000                   |                        | 03/19/08                       | 08/20/09     | 224.94      | 244.21                 | -19.27    |         |               |
| NTT DOCOMO INC ECH     | Trade         | 20 000                  |                        | 04/11/05                       | 01/14/09     | 351.90      | 337.19                 | 14.71     |         |               |
| REPSTG 1/200TH COM SHS | Trade         | 25.000                  |                        | 04/11/05                       | 01/15/09     | 431.20      | 421.48                 | 9.72      |         |               |
| SPON ADR               | Trade         | 6 000                   |                        | 06/29/06                       | 01/15/09     | 103.48      | 85.90                  | 17.58     |         |               |
|                        | Trade         | 5.000                   |                        | 06/29/06                       | 01/16/09     | 85.97       | 71.58                  | 14.39     |         |               |
| OMNICOM GROUP INC      | Trade         | 1.000                   |                        | 06/13/08                       | 08/19/09     | 35.23       | 46.49                  | -11.26    |         |               |
|                        | Trade         | 2.000                   |                        | 06/18/08                       | 08/19/09     | 70.48       | 94.02                  | -23.54    |         |               |
|                        | Trade         | 2.000                   |                        | 06/17/08                       | 08/19/09     | 70.48       | 94.13                  | -23.65    |         |               |
|                        | Trade         | 2.000                   |                        | 06/18/08                       | 08/19/09     | 70.48       | 93.01                  | -22.53    |         |               |
|                        | Trade         | 1.000                   |                        | 06/10/08                       | 08/20/09     | 35.49       | 46.13                  | -10.64    |         |               |
|                        | Trade         | 2 000                   |                        | 06/11/08                       | 08/20/09     | 71.00       | 92.09                  | -21.09    |         |               |
|                        | Trade         | 1 000                   |                        | 06/12/08                       | 08/20/09     | 35.49       | 46.13                  | -10.64    |         |               |
|                        | Trade         | 1.000                   |                        | 06/13/08                       | 08/20/09     | 35.49       | 46.49                  | -11.00    |         |               |
|                        | Trade         | 3.000                   |                        | 07/17/08                       | 08/20/09     | 106.50      | 127.21                 | -20.71    |         |               |
|                        | Trade         | 3 000                   |                        | 01/23/08                       | 10/19/09     | 115.73      | 126.02                 | -10.29    |         |               |
|                        | Trade         | 2.000                   |                        | 07/17/08                       | 10/19/09     | 77.15       | 84.81                  | -7.66     |         |               |
|                        | Trade         | 5.000                   |                        | 01/23/08                       | 10/20/09     | 191.89      | 210.04                 | -18.15    |         |               |
|                        | Trade         | 5.000                   |                        | 07/28/05                       | 10/21/09     | 183.72      | 209.82                 | -26.10    |         |               |
|                        | Trade         | 2.000                   |                        | 07/28/05                       | 12/23/09     | 78.79       | 83.93                  | -5.14     |         |               |
|                        | Trade         | 8.000                   |                        | 10/25/05                       | 12/23/09     | 354.60      | 374.90                 | -20.30    |         |               |
| PACCAR INC             | Trade         | 2.000                   |                        | 08/28/07                       | 08/19/09     | 70.60       | 107.69                 | -37.09    |         |               |
|                        | Trade         | 1.000                   |                        | 11/02/07                       | 08/19/09     | 35.29       | 53.88                  | -18.59    |         |               |
|                        | Trade         | 1 000                   |                        | 10/30/07                       | 12/23/09     | 36.64       | 53.72                  | -17.08    |         |               |
| PEABODY ENERGY CORP    | Trade         | 2.000                   |                        | 07/17/08                       | 10/27/09     | 84.78       | 132.27                 | -47.49    |         |               |
|                        | Trade         | 5 000                   |                        | 09/10/08                       | 10/27/09     | 211.98      | 241.48                 | -29.52    |         |               |
|                        | Trade         | 4.000                   |                        | 09/11/08                       | 10/27/09     | 169.57      | 193.60                 | -24.03    |         |               |
|                        | Trade         | 4 000                   |                        | 09/15/08                       | 10/27/09     | 169.57      | 199.22                 | -29.65    |         |               |
|                        | Trade         | 4 000                   |                        | 08/10/07                       | 10/28/09     | 160.94      | 170.42                 | -9.48     |         |               |
|                        | Trade         | 1 000                   |                        | 09/10/08                       | 10/28/09     | 40.23       | 48.30                  | -8.07     |         |               |
|                        | Trade         | 2 000                   |                        | 08/08/07                       | 10/29/09     | 82.84       | 83.00                  | -.16      |         |               |
|                        | Trade         | 1.000                   |                        | 08/10/07                       | 10/29/09     | 41.41       | 42.61                  | -1.20     |         |               |
|                        | Trade         | 3 000                   |                        | 10/01/08                       | 10/29/09     | 124.26      | 121.44                 | 2.82      |         |               |
|                        | Trade         | 6 000                   |                        | 10/01/08                       | 12/23/09     | 286.57      | 242.88                 | 43.69     |         |               |

CJ2G015142-X

## Long-Term Gain/Loss - continued

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

| Security Description                  | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matches<br>1099-B |
|---------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|-------------------|
| PENNEY J C CO INC (HLDG<br>CO)        | Trade         | 4 000                   |                        | 06/10/08                       | 06/18/09     | 104.67      | 153.06                 | -48.39    |         | Y                 |
|                                       | Trade         | 5 000                   |                        | 06/10/08                       | 06/19/09     | 132.58      | 191.33                 | -58.75    |         | Y                 |
|                                       | Trade         | 23 000                  |                        | 06/11/08                       | 06/19/09     | 609.88      | 869.57                 | -259.69   |         | Y                 |
| PEPSICO INC                           | Trade         | 5 000                   |                        | 11/05/08                       | 12/23/09     | 302.39      | 285.54                 | 16.85     |         | Y                 |
| PRINCIPAL FINANCIAL<br>GROUP INC      | Trade         | 1 000                   |                        | 12/05/07                       | 08/19/09     | 24.76       | 64.31                  | -39.55    |         | Y                 |
|                                       | Trade         | 1 000                   |                        | 12/18/07                       | 08/19/09     | 24.76       | 67.66                  | -42.90    |         | Y                 |
|                                       | Trade         | 1 000                   |                        | 12/19/07                       | 08/19/09     | 24.76       | 68.44                  | -43.68    |         | Y                 |
|                                       | Trade         | 1,000                   |                        | 01/02/08                       | 08/19/09     | 24.76       | 67.96                  | -43.20    |         | Y                 |
|                                       | Trade         | 2 000                   |                        | 01/23/08                       | 08/19/09     | 49.54       | 113.57                 | -64.03    |         | Y                 |
|                                       | Trade         | 2,000                   |                        | 02/19/08                       | 08/19/09     | 49.54       | 113.84                 | -64.30    |         | Y                 |
|                                       | Trade         | 7,000                   |                        | 01/23/08                       | 10/08/09     | 196.90      | 397.49                 | -200.59   |         | Y                 |
|                                       | Trade         | 1 000                   |                        | 02/13/08                       | 10/08/09     | 28.12       | 56.38                  | -28.26    |         | Y                 |
|                                       | Trade         | 1 000                   |                        | 03/24/08                       | 10/08/09     | 28.12       | 56.30                  | -28.18    |         | Y                 |
|                                       | Trade         | 1 000                   |                        | 03/25/08                       | 10/08/09     | 28.12       | 56.41                  | -28.29    |         | Y                 |
|                                       | Trade         | 2,000                   |                        | 02/07/08                       | 10/09/09     | 56.25       | 109.86                 | -53.61    |         | Y                 |
|                                       | Trade         | 3 000                   |                        | 02/08/08                       | 10/09/09     | 84.38       | 164.26                 | -79.88    |         | Y                 |
|                                       | Trade         | 2 000                   |                        | 02/12/08                       | 10/09/09     | 56.25       | 110.77                 | -54.52    |         | Y                 |
|                                       | Trade         | 2 000                   |                        | 02/15/08                       | 10/09/09     | 56.25       | 112.52                 | -56.27    |         | Y                 |
|                                       | Trade         | 6,000                   |                        | 03/26/08                       | 10/09/09     | 168.78      | 330.55                 | -161.77   |         | Y                 |
|                                       | Trade         | 6 000                   |                        | 03/27/08                       | 10/09/09     | 168.78      | 331.11                 | -162.33   |         | Y                 |
|                                       | Trade         | 4,000                   |                        | 03/28/08                       | 10/09/09     | 112.52      | 219.54                 | -107.02   |         | Y                 |
| PRUDENTIAL PLC ADR<br>UNITED KINGDOM  | Trade         | 3 000                   |                        | 08/20/07                       | 12/23/09     | 60.91       | 79.22                  | -18.31    |         | Y                 |
|                                       | Trade         | 5 000                   |                        | 03/19/08                       | 12/23/09     | 101.52      | 126.50                 | -24.98    |         | Y                 |
| ROCHE HLDG LTD SPONS ADR<br>SWITZ ADR | Trade         | 6,000                   |                        | 09/19/08                       | 12/23/09     | 256.07      | 244.95                 | 11.12     |         | Y                 |
| RYDER SYSTEM INC                      | Trade         | 2,000                   |                        | 11/06/08                       | 12/23/09     | 86.65       | 76.26                  | 10.39     |         | Y                 |
|                                       | Trade         | 1 000                   |                        | 11/07/08                       | 12/23/09     | 43.32       | 37.99                  | 5.33      |         | Y                 |
|                                       | Trade         | 3 000                   |                        | 11/10/08                       | 12/23/09     | 129.98      | 115.62                 | 14.36     |         | Y                 |
|                                       | Trade         | 1 000                   |                        | 11/14/08                       | 12/23/09     | 43.32       | 37.42                  | 5.90      |         | Y                 |
| SEMPRA ENERGY                         | Trade         | 4 000                   |                        | 04/11/05                       | 05/12/09     | 184.26      | 161.00                 | 23.26     |         | Y                 |
|                                       | Trade         | 1 000                   |                        | 06/29/06                       | 05/12/09     | 46.06       | 44.92                  | 1.14      |         | Y                 |
|                                       | Trade         | 3 000                   |                        | 04/11/05                       | 05/13/09     | 135.48      | 120.75                 | 14.73     |         | Y                 |

C32G015143-X

## Long-Term Gain/Loss - continued

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

| Security Description                        | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|---------------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| SEMPRA ENERGY                               | Trade         | 5.000                   |                        | 04/11/05                       | 08/13/09     | 256.19      | 201.25                 | 54.94     |         | Y                |
|                                             | Trade         | 5.000                   |                        | 04/11/05                       | 08/17/09     | 251.78      | 201.25                 | 50.53     |         | Y                |
|                                             | Trade         | 5.000                   |                        | 04/11/05                       | 08/18/09     | 251.29      | 201.25                 | 50.04     |         | Y                |
|                                             | Trade         | 5.000                   |                        | 04/11/05                       | 08/20/09     | 252.93      | 201.25                 | 51.68     |         | Y                |
|                                             | Trade         | 5.000                   |                        | 04/11/05                       | 08/21/09     | 256.65      | 201.25                 | 55.40     |         | Y                |
|                                             | Trade         | 5.000                   |                        | 04/11/05                       | 08/24/09     | 256.99      | 201.25                 | 55.74     |         | Y                |
|                                             | Trade         | 5.000                   |                        | 04/11/05                       | 08/25/09     | 258.57      | 201.25                 | 57.32     |         | Y                |
|                                             | Trade         | 4.000                   |                        | 04/11/05                       | 08/27/09     | 204.47      | 161.00                 | 43.47     |         | Y                |
| SHIRE PLC SPON ADR                          | Trade         | 2.000                   |                        | 03/04/08                       | 12/23/09     | 114.91      | 117.59                 | -2.68     |         | Y                |
| SIEMENS A G SPON ADR                        | Trade         | 1.000                   |                        | 08/01/07                       | 08/18/09     | 78.00       | 127.04                 | -48.04    |         | Y                |
|                                             | Trade         | 3.000                   |                        | 08/02/07                       | 08/18/09     | 237.01      | 382.27                 | -145.26   |         | Y                |
|                                             | Trade         | 4.000                   |                        | 08/20/07                       | 08/18/09     | 316.01      | 480.45                 | -164.44   |         | Y                |
|                                             | Trade         | 2.000                   |                        | 03/19/08                       | 08/18/09     | 158.00      | 215.97                 | -57.97    |         | Y                |
|                                             | Trade         | 1.000                   |                        | 03/19/08                       | 08/20/09     | 80.98       | 107.99                 | -27.01    |         | Y                |
| SPDR S&P 500 ETF TR                         | Trade         | 6.000                   |                        | 06/14/06                       | 12/23/09     | 671.69      | 739.78                 | -68.09    |         | Y                |
|                                             | Trade         | 13.000                  |                        | 01/23/08                       | 12/23/09     | 1,455.33    | 1,689.43               | -234.10   |         | Y                |
|                                             | Trade         | 3.000                   |                        | 07/17/08                       | 12/23/09     | 335.84      | 376.96                 | -41.12    |         | Y                |
|                                             | Trade         | 1.000                   |                        | 09/19/08                       | 12/23/09     | 111.94      | 125.22                 | -13.28    |         | Y                |
| SPRINT NEXTEL CORP<br>SERIES 1 COMMON STOCK | Trade         | 78.000                  |                        | 04/11/05                       | 08/19/09     | 295.24      | 1,628.34               | -1,333.10 |         | Y                |
|                                             | Trade         | 35.000                  |                        | 04/11/05                       | 11/04/09     | 103.15      | 730.67                 | -627.52   |         | Y                |
|                                             | Trade         | 75.000                  |                        | 04/11/05                       | 11/05/09     | 218.97      | 1,565.71               | -1,346.74 |         | Y                |
|                                             | Trade         | 90.000                  |                        | 04/11/05                       | 11/06/09     | 256.13      | 1,878.85               | -1,622.72 |         | Y                |
|                                             | Trade         | 61.000                  |                        | 04/11/05                       | 11/10/09     | 198.95      | 1,273.45               | -1,074.50 |         | Y                |
|                                             | Trade         | 24.000                  |                        | 06/29/06                       | 11/10/09     | 78.27       | 474.11                 | -395.84   |         | Y                |
|                                             | Trade         | 4.000                   |                        | 06/29/06                       | 11/11/09     | 12.70       | 79.02                  | -66.32    |         | Y                |
|                                             | Trade         | 43.000                  |                        | 01/23/08                       | 11/11/09     | 136.59      | 362.02                 | -225.43   |         | Y                |
|                                             | Trade         | 41.000                  |                        | 01/23/08                       | 11/11/09     | 130.23      | 345.99                 | -215.76   |         | Y                |
|                                             | Trade         | 7.000                   |                        | 08/08/08                       | 11/11/09     | 22.23       | 58.21                  | -35.98    |         | Y                |
|                                             | Trade         | 35.000                  |                        | 08/07/08                       | 11/12/09     | 107.17      | 257.47                 | -150.30   |         | Y                |
|                                             | Trade         | 15.000                  |                        | 08/08/08                       | 11/12/09     | 45.92       | 124.73                 | -78.81    |         | Y                |
|                                             | Trade         | 26.000                  |                        | 08/07/08                       | 11/13/09     | 81.19       | 191.26                 | -110.07   |         | Y                |
| SUNTRUST BANKS INC                          | Trade         | 8.000                   |                        | 01/10/08                       | 02/05/09     | 83.00       | 485.92                 | -402.92   |         | Y                |
|                                             | Trade         | 3.000                   |                        | 01/11/08                       | 02/05/09     | 31.12       | 187.31                 | -156.19   |         | Y                |

C32G015144-X

## Long-Term Gain/Loss - continued

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

| Security Description                    | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Matche<br>1099-B |
|-----------------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|------------------|
| SUNTRUST BANKS INC                      | Trade         | 3 000                   |                        | 01/14/08                       | 02/05/09     | 31 12       | 183 82                 | -152 70   |         | Y                |
|                                         | Trade         | 2,000                   |                        | 01/16/08                       | 02/05/09     | 20 74       | 122.91                 | -102 17   |         | Y                |
|                                         | Trade         | 4 000                   |                        | 01/17/08                       | 02/05/09     | 41 49       | 241 95                 | -200 46   |         | Y                |
|                                         | Trade         | 5 000                   |                        | 01/15/08                       | 02/06/09     | 57 39       | 299.97                 | -242 58   |         | Y                |
|                                         | Trade         | 3 000                   |                        | 01/17/08                       | 02/06/09     | 34 43       | 181 47                 | -147 04   |         | Y                |
| TESCO PLC SPONS ADR<br>UNITED KINGDOM   | Trade         | 26 000                  |                        | 04/11/05                       | 02/12/09     | 393.98      | 479 70                 | -85 72    |         | Y                |
|                                         | Trade         | 12 000                  |                        | 06/29/06                       | 02/12/09     | 181.84      | 218.86                 | -37 02    |         | Y                |
|                                         | Trade         | 10,000                  |                        | 08/20/07                       | 02/12/09     | 151 53      | 241 35                 | -89 82    |         | Y                |
| TNT N V SPON ADR                        | Trade         | 6 000                   |                        | 03/19/08                       | 05/19/09     | 113 79      | 214 20                 | -100 41   |         | Y                |
|                                         | Trade         | 2,000                   |                        | 04/11/05                       | 12/23/09     | 60 49       | 56 70                  | 3 79      |         | Y                |
|                                         | Trade         | 1 000                   |                        | 03/19/08                       | 12/23/09     | 30 24       | 35 70                  | -5 46     |         | Y                |
| TORONTO DOMINION BK NEW<br>CANADA       | Trade         | 6 000                   |                        | 04/11/05                       | 06/09/09     | 314 54      | 244 92                 | 69 62     |         | Y                |
|                                         | Trade         | 5 000                   |                        | 03/19/08                       | 06/09/09     | 262 12      | 319.50                 | -57.38    |         | Y                |
|                                         | Trade         | 12 000                  |                        | 04/11/05                       | 08/18/09     | 681 26      | 489 84                 | 191 42    |         | Y                |
| TOTAL S A FRANCE SPON<br>ADR            | Trade         | 2 000                   |                        | 07/17/08                       | 09/14/09     | 121.71      | 149 26                 | -27.55    |         | Y                |
|                                         | Trade         | 9,000                   |                        | 04/11/05                       | 10/22/09     | 573 33      | 528.77                 | 44 56     |         | Y                |
|                                         | Trade         | 10 000                  |                        | 08/20/07                       | 10/22/09     | 637.04      | 715 43                 | -78 39    |         | Y                |
|                                         | Trade         | 5 000                   |                        | 03/19/08                       | 10/22/09     | 318 52      | 368 07                 | -49 55    |         | Y                |
| TOYOTA MOTOR CORP NEW<br>JAPAN SPON ADR | Trade         | 2 000                   |                        | 07/27/07                       | 05/20/09     | 153 95      | 244.51                 | -90 56    |         | Y                |
|                                         | Trade         | 3 000                   |                        | 08/20/07                       | 05/20/09     | 230 93      | 340 04                 | -109 11   |         | Y                |
|                                         | Trade         | 3 000                   |                        | 03/19/08                       | 05/20/09     | 230 93      | 308 39                 | -77 46    |         | Y                |
| TRANSCANADA CORP<br>(HOLDING CO)        | Trade         | 3 000                   |                        | 07/17/08                       | 12/23/09     | 101 58      | 111 35                 | -9 77     |         | Y                |
| TULLOW OIL PLC SPON ADR                 | Trade         | 2,000                   |                        | 03/05/08                       | 08/20/09     | 355.23      | 258 54                 | 96 69     |         | Y                |
|                                         | Trade         | 1,000                   |                        | 03/10/08                       | 08/20/09     | 177 61      | 131 39                 | 46 22     |         | Y                |
| ULTRA PETROLEUM CORP<br>(CANADA) ORD    | Trade         | 2 000                   |                        | 09/12/08                       | 12/23/09     | 103 55      | 119 33                 | -15 78    |         | Y                |
|                                         | Trade         | 5 000                   |                        | 09/19/08                       | 12/23/09     | 258 89      | 303 90                 | -45 01    |         | Y                |

C32G015145-X

## Long-Term Gain/Loss - continued

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

| Security Description     | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss | Remarks | Match<br>1099 |
|--------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|-----------|---------|---------------|
| UNITED STATES TREAS BOND | Trade         | 1,000 000               |                        | 10/31/07                       | 03/31/09     | 1,389.84    | 1,206 02               | 183 82    |         |               |
| 06.250 % DUE 05/15/30    | Trade         | 3,000.000               |                        | 10/31/07                       | 06/30/09     | 3,814 69    | 3,618.05               | 196.64    |         |               |
| DTD 11/15/99 FC 05/15/00 |               |                         |                        |                                |              |             |                        |           |         |               |
| US TSY BOND 6.2500%      | Trade         | 1,000.000               |                        | 05/31/07                       | 06/30/08     | 1,221.56    | 1,124 77               | 96 79     |         |               |
| DUE 08/15/23             | Trade         | 1,000 000               |                        | 05/31/07                       | 11/09/09     | 1,224.69    | 1,124 77               | 99 92     |         |               |
| DTD 08/15/93 FC 02/15/94 |               |                         |                        |                                |              |             |                        |           |         |               |
| US TSY INFL PROT NOTE    | Trade         | 2,000 000               |                        | 07/31/08                       | 10/27/09     | 2,097.88    | 2,059 44               | 38 44     |         |               |
| 01.625 % DUE 01/15/18    |               |                         |                        |                                |              |             |                        |           |         |               |
| FACTOR 1 032160000000    |               |                         |                        |                                |              |             |                        |           |         |               |
| US TSY NOTE 04.750 %     | Trade         | 2,000.000               |                        | 10/19/07                       | 05/05/09     | 2,187.66    | 2,060.94               | 126 72    |         |               |
| DUE 01/31/12             |               |                         |                        |                                |              |             |                        |           |         |               |
| DTD 01/31/07 FC 07/31/07 |               |                         |                        |                                |              |             |                        |           |         |               |
| VMWARE INC CL A          | Trade         | 3 000                   |                        | 09/22/08                       | 10/08/09     | 126.80      | 86.67                  | 40 13     |         | Y             |
|                          | Trade         | 2.000                   |                        | 09/23/08                       | 10/08/09     | 84.53       | 57.51                  | 27.02     |         | Y             |
|                          | Trade         | 2.000                   |                        | 09/23/08                       | 10/09/09     | 84.77       | 57.51                  | 27.26     |         | Y             |
|                          | Trade         | 4.000                   |                        | 09/29/08                       | 10/09/09     | 169.55      | 102.47                 | 67 08     |         | Y             |
|                          | Trade         | 4.000                   |                        | 10/01/08                       | 10/09/09     | 169.55      | 103.02                 | 66.53     |         | Y             |
|                          | Trade         | 7.000                   |                        | 09/29/08                       | 10/12/09     | 305 80      | 179 31                 | 126 49    |         | Y             |
|                          | Trade         | 3.000                   |                        | 10/29/08                       | 12/23/09     | 129.48      | 85.34                  | 44 14     |         | Y             |
|                          | Trade         | 3.000                   |                        | 11/05/08                       | 12/23/09     | 129.48      | 84 95                  | 44.53     |         | Y             |
| VODAFONE GROUP PLC NEW   | Trade         | 5 000                   |                        | 05/19/05                       | 12/23/09     | 114 15      | 150.89                 | -36.74    |         | Y             |
| SPON ADR                 | Trade         | 2 000                   |                        | 08/20/07                       | 12/23/09     | 45 65       | 62 08                  | -16 43    |         | Y             |
| WOLSELEY PLC ADR         | Trade         | 8.000                   |                        | 07/26/07                       | 08/20/09     | 18.41       | 178 40                 | -159.99   |         | Y             |
|                          | Trade         | 13.000                  |                        | 07/27/07                       | 08/20/09     | 29.92       | 285.93                 | -256.01   |         | Y             |
|                          | Trade         | 6.000                   |                        | 08/02/07                       | 08/20/09     | 13.81       | 130.60                 | -116 79   |         | Y             |
|                          | Trade         | 15 000                  |                        | 08/20/07                       | 08/20/09     | 34 53       | 308 97                 | -274 44   |         | Y             |
|                          | Trade         | 14 000                  |                        | 03/19/08                       | 08/20/09     | 32 23       | 136 85                 | -104 62   |         | Y             |
|                          | Trade         | 10 000                  |                        | 07/17/08                       | 08/20/09     | 23 02       | 59 68                  | -36 66    |         | Y             |
|                          | Trade         | 22 000                  |                        | 08/08/08                       | 08/20/09     | 50 64       | 176 88                 | -126 24   |         | Y             |
| WYETH ***MERGER EFF:     | Trade         | 80 000                  |                        | 04/11/05                       | 03/20/09     | 3,370 58    | 3,436.80               | -66 22    |         | Y             |
| 10/09***                 | Trade         | 1.000                   |                        | 10/20/05                       | 03/20/09     | 42 13       | 46 62                  | -4 49     |         | Y             |

C32G015146-X

## Long-Term Gain/Loss - continued

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

| Security Description             | Activity Type | Quantity/<br>Face value | Original Cost<br>Basis | Purchase date<br>Date Acquired | Date<br>Sold | Sale Amount | Cost or Other<br>Basis | Gain/Loss  | Remarks | Matches<br>1099-B |
|----------------------------------|---------------|-------------------------|------------------------|--------------------------------|--------------|-------------|------------------------|------------|---------|-------------------|
| WYETH ***MERGER EFF-<br>10/09*** | Trade         | 13.000                  |                        | 06/29/06                       | 03/20/09     | 547 72      | 564 16                 | -16 44     |         | Y                 |
| Total Long-Term Gain/Loss        |               |                         |                        |                                |              | 108,233.29  | 152,389.47             | -44,156 18 |         |                   |

---



---

|             |                                        |           |   |
|-------------|----------------------------------------|-----------|---|
| FORM 990-PF | DIVIDENDS AND INTEREST FROM SECURITIES | STATEMENT | 1 |
|-------------|----------------------------------------|-----------|---|

---

| SOURCE                           | GROSS AMOUNT | CAPITAL GAINS<br>DIVIDENDS | COLUMN (A)<br>AMOUNT |
|----------------------------------|--------------|----------------------------|----------------------|
| UBS FINANCIAL SERVICES - 613     | 9,339.       | 4,022.                     | 5,317.               |
| UBS FINANCIAL SERVICES - 614     | 18,612.      | 0.                         | 18,612.              |
| TOTAL TO FM 990-PF, PART I, LN 4 | 27,951.      | 4,022.                     | 23,929.              |

---



---

|             |                 |           |   |
|-------------|-----------------|-----------|---|
| FORM 990-PF | ACCOUNTING FEES | STATEMENT | 2 |
|-------------|-----------------|-----------|---|

---

| DESCRIPTION                  | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|------------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| ACCOUNTING FEES              | 4,624.                       | 3,699.                            |                               | 925.                          |
| TO FORM 990-PF, PG 1, LN 16B | 4,624.                       | 3,699.                            |                               | 925.                          |

---



---

|             |       |           |   |
|-------------|-------|-----------|---|
| FORM 990-PF | TAXES | STATEMENT | 3 |
|-------------|-------|-----------|---|

---

| DESCRIPTION                 | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| FOREIGN TAXES               | 222.                         | 222.                              |                               | 0.                            |
| TO FORM 990-PF, PG 1, LN 18 | 222.                         | 222.                              |                               | 0.                            |

---



---

|             |                |           |   |
|-------------|----------------|-----------|---|
| FORM 990-PF | OTHER EXPENSES | STATEMENT | 4 |
|-------------|----------------|-----------|---|

---

| DESCRIPTION                 | (A)<br>EXPENSES<br>PER BOOKS | (B)<br>NET INVEST-<br>MENT INCOME | (C)<br>ADJUSTED<br>NET INCOME | (D)<br>CHARITABLE<br>PURPOSES |
|-----------------------------|------------------------------|-----------------------------------|-------------------------------|-------------------------------|
| BANK CHARGES                | 75.                          | 0.                                |                               | 75.                           |
| INVESTMENT MANAGEMENT FEES  | 7,304.                       | 7,304.                            |                               | 0.                            |
| MISCELLANEOUS EXPENSES      | 134.                         | 0.                                |                               | 10.                           |
| TO FORM 990-PF, PG 1, LN 23 | 7,513.                       | 7,304.                            |                               | 85.                           |

| FORM 990-PF                            | OTHER INVESTMENTS   | STATEMENT  | 5                    |
|----------------------------------------|---------------------|------------|----------------------|
| DESCRIPTION                            | VALUATION<br>METHOD | BOOK VALUE | FAIR MARKET<br>VALUE |
| UBS FINANCIAL INVESTMENT ACCOUNTS      | COST                | 1,008,148. | 1,284,470.           |
| TOTAL TO FORM 990-PF, PART II, LINE 13 |                     | 1,008,148. | 1,284,470.           |



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

OMB No 1545-1709

► File a separate application for each return

- If you are filing for an Automatic 3-Month Extension, complete only Part I and check this box ☒
- If you are filing for an Additional (Not Automatic) 3-Month Extension, complete only Part II (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868

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

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

Part I only ☐

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

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

|                                                               |                                                                                                                        |                                                     |
|---------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| Type or print                                                 | Name of Exempt Organization<br><b>NOAH'S FAMILY FOUNDATION</b>                                                         | Employer identification number<br><b>86-0887816</b> |
| File by the due date for filing your return. See instructions | Number, street, and room or suite no. If a P.O. box, see instructions<br><b>C/O JONAH SHACKNAI 7720 N. DOBSON ROAD</b> |                                                     |
|                                                               | City, town or post office, state, and ZIP code. For a foreign address, see instructions<br><b>SCOTTSDALE, AZ 85256</b> |                                                     |

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

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

**PENNY GREENLER**

- The books are in the care of ► **7720 N. DOBSON ROAD, SCOTTSDALE, AZ - 85256**  
Telephone No. ► **480-291-5001** FAX No. ► **480-291-5175**
- If the organization does not have an office or place of business in the United States, check this box ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) \_\_\_\_\_ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension will cover

- 1 I request an automatic 3-month (6-months for a corporation required to file Form 990-T) extension of time until **AUGUST 15, 2010**, to file the exempt organization return for the organization named above. The extension is for the organization's return for  
► ☒ calendar year **2009** or  
► ☐ tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_

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

|                                                                                                                                                                                                                       |    |    |               |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----|---------------|
| 3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions                                                                    | 3a | \$ | <b>500.</b>   |
| b If this application is for Form 990-PF or 990-T, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit                                               | 3b | \$ | <b>2,136.</b> |
| c Balance Due. Subtract line 3b from line 3a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions | 3c | \$ | <b>0.</b>     |

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

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

Form 8868 (Rev. 4-2009)

- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** and check this box ☒

**Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** (on page 1)

|                                                                                        |                                                                                        |                                                                                                        |                                |
|----------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|--------------------------------|
| <b>Part II</b>                                                                         |                                                                                        | <b>Additional (Not Automatic) 3-Month Extension of Time.</b> Only file the original (no copies needed) |                                |
| Type or print<br>File by the extended due date for filing the return. See instructions | Name of Exempt Organization                                                            |                                                                                                        | Employer identification number |
|                                                                                        | NOAH'S FAMILY FOUNDATION                                                               |                                                                                                        | 86-0887816                     |
|                                                                                        | Number, street, and room or suite no. If a P.O. box, see instructions                  |                                                                                                        | For IRS use only               |
|                                                                                        | C/O JONAH SHACKNAI 7720 N. DOBSON ROAD                                                 |                                                                                                        |                                |
|                                                                                        | City, town or post office, state and ZIP code. For a foreign address, see instructions |                                                                                                        |                                |
|                                                                                        | SCOTTSDALE, AZ 85256                                                                   |                                                                                                        |                                |

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

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

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

**PENNY GREENLER**

- The books are in the care of ☒ 7720 N. DOBSON ROAD, SCOTTSDALE, AZ - 85256  
 Telephone No ☒ 480-291-5001 FAX No ☒ 480-291-5175

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

- 4 I request an additional 3-month extension of time until NOVEMBER 15, 2010
- 5 For calendar year 2009, or other tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_
- 6 If this tax year is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period
- 7 State in detail why you need the extension  
ALL INFORMATION NECESSARY TO FILE A COMPLETE AND ACCURATE RETURN IS NOT AVAILABLE AT THIS TIME.

|    |                                                                                                                                                                                                                                  |    |    |        |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----|--------|
| 8a | If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions                                                                                  | 8a | \$ | 254.   |
| b  | If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868 | 8b | \$ | 2,136. |
| c  | Balance Due. Subtract line 8b from line 8a. Include your payment with this form, or, if required, deposit with FTD coupon or, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions              | 8c | \$ | 0.     |

**Signature and Verification**

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

Signature Michael Ramsey Title TAXPAYER'S AUTH. REP. Date 7/26/10

Form 8868 (Rev. 4-2009)