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Return of Private Foundation

OMB No 1545-0052

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

2009

Department of the Treasury
Internal Revenue Service

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

For calendar year 2009, or tax year beginning SEP 1, 2009, and ending AUG 31, 2010

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 TECHNICAL TRAINING FOUNDATION		A Employer identification number 04-2864138	
	Number and street (or P.O. box number if mail is not delivered to street address) 1665 GREAT POND ROAD		B Telephone number 978-685-1553	
	City or town, state, and ZIP code NORTH ANDOVER, MA 01845		C If exemption application is pending, check here ☐	
			D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐		
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 62,742,779. (Part I, column (d) must be on cash basis)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐		
J Accounting method: ☐ Cash ☒ Accrual ☐ Other (specify) _____				

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		31,873.	31,752.		Statement 1
4 Dividends and interest from securities		978,239.	978,239.		Statement 2
5a Gross rents		14,634.	14,634.		Statement 3
b Net rental income or (loss) <27,259.>					Statement 4
6a Net gain or (loss) from sale of assets not on line 10		<2,841,385.>			
b Gross sales price for all assets on line 6a 11,100,836.					
7 Capital gain net income (from Part IV, line 2)			0.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less: Cost of goods sold					
c Gross profit (loss)					
11 Other income		33,546.	0.		Statement 5
12 Total. Add lines 1 through 11		<1,783,093.>	1,024,625.		
13 Compensation of officers, directors, trustees, etc.		0.	0.		0.
14 Other employee salaries and wages		133,772.	45,255.		88,517.
15 Pension plans/employee benefits					
16a Legal fees Stmt 6		301,870.	0.		301,870.
b Accounting fees Stmt 7		9,544.	0.		9,544.
c Other professional fees Stmt 8		39,772.	0.		39,772.
17 Interest					
18 Taxes Stmt 9		239,177.	181,004.		51,492.
19 Depreciation and depletion		3,750.	3,750.		
20 Occupancy		38,143.	38,143.		0.
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses Stmt 10		157,815.	88,328.		69,487.
24 Total operating and administrative expenses. Add lines 13 through 23		923,843.	356,480.		560,682.
25 Contributions, gifts, grants paid		4,971,034.			4,971,034.
26 Total expenses and disbursements. Add lines 24 and 25		5,894,877.	356,480.		5,531,716.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		<7,677,970.>			
b Net investment income (if negative, enter -0-)			668,145.		
c Adjusted net income (if negative, enter -0-)				N/A	

SCANNED JAN 28 2011

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1 Cash - non-interest-bearing			3,557,527.	3,143,380.	3,143,380.
	2 Savings and temporary cash investments					
	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 Stmt 11	53,878,338.	55,762,120.	52,297,244.		
	c Investments - corporate bonds Stmt 12	0.	302,607.	302,959.		
Liabilities	11 Investments - land, buildings, and equipment basis ▶	537,952.				
	Less accumulated depreciation Stmt 13 ▶	147,750.				
	12 Investments - mortgage loans					
	13 Investments - other Stmt 14	1,198,215.	1,198,500.	2,166,296.		
	14 Land, buildings, and equipment: basis ▶					
	Less accumulated depreciation ▶					
	15 Other assets (describe ▶)					
	16 Total assets (to be completed by all filers)	68,649,654.	60,796,809.	62,742,779.		
	17 Accounts payable and accrued expenses					
	18 Grants payable					
Net Assets or Fund Balances	19 Deferred revenue					
	20 Loans from officers, directors, trustees, and other disqualified persons					
	21 Mortgages and other notes payable					
	22 Other liabilities (describe ▶ DUE TO IRS)	240,183.	65,308.			
23 Total liabilities (add lines 17 through 22)	240,183.	65,308.				
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☒					
	and complete lines 24 through 26 and lines 30 and 31					
	24 Unrestricted	68,409,471.	60,731,501.			
	25 Temporarily restricted					
	26 Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ ☐					
	and complete lines 27 through 31					
	27 Capital stock, trust principal, or current funds					
28 Paid-in or capital surplus, or land, bldg., and equipment fund						
29 Retained earnings, accumulated income, endowment, or other funds						
30 Total net assets or fund balances	68,409,471.	60,731,501.				
31 Total liabilities and net assets/fund balances	68,649,654.	60,796,809.				

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	68,409,471.
2 Enter amount from Part I, line 27a	2	<7,677,970.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	60,731,501.
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	60,731,501.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a				
b See Attached Statement				
c				
d				
e				
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)	
a				
b				
c				
d				
e 11,100,836.		13,942,221.	<2,841,385.>	
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
a				
b				
c				
d				
e			<2,841,385.>	
2 Capital gain net income or (net capital loss)		2		<2,841,385.>
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8		3		N/A

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2008	4,554,630.	56,248,161.	.080974
2007	5,196,762.	81,801,689.	.063529
2006	4,102,445.	90,084,236.	.045540
2005	3,029,967.	79,170,616.	.038271
2004	2,767,652.	68,185,516.	.040590
2 Total of line 1, column (d)			2 .268904
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 .053781
4 Enter the net value of noncharitable-use assets for 2009 from Part X, line 5			4 61,444,928.
5 Multiply line 4 by line 3			5 3,304,570.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 6,681.
7 Add lines 5 and 6			7 3,311,251.
8 Enter qualifying distributions from Part XII, line 4			8 5,531,716.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	6,681.
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	6,681.
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	6,681.
6 Credits/Payments:			
a 2009 estimated tax payments and 2008 overpayment credited to 2009	6a	25,000.	
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	25,000.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ 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	18,319.	
11 Enter the amount of line 10 to be: Credited to 2010 estimated tax	11	18,319.	Refunded

Part VII-A Statements Regarding Activities

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

N/A

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address ► N/A				
14	The books are in care of ► ANN NELSON Telephone no. ► 978-685-1553			
Located at ► 1665 GREAT POND ROAD, NORTH ANDOVER, MA ZIP+4 ► 01845				
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? ☐ Yes ☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here ☐	1b	X
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009? ☐ Yes ☒ No		
If "Yes," list the years: _____		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see 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? ☐ Yes ☒ No		
b If "Yes," did it have excess business holdings in 2009 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2009.) 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

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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
WENSLEY HEFNI	TRUSTEE			
75 WEST STREET				
BEVERLY, MA 01915	20.00	0.	0.	0.
SUZANNE WRIGHT	TRUSTEE			
75 WEST STREET				
BEVERLY, MA 01915	20.00	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
ANN NELSON	CONTROLLER			
8 SCARLET CIRCLE, HAVERHILL, MA 01835	40.00	122,300.	0.	0.

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

0

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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
RUBERTO, ISRAEL & WEINER 100 NORTH WASHINGTON STREET, BOSTON, MA 02114 J. GRASSO	LEGAL	126,374.
	LEGAL	85,006.
MANZI & MCCANN 59 JACKSON STREET, LAWRENCE, MA 01840	LEGAL	50,800.
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 CAMPION HALL CONTRIBUTION	
	3,130,000.
2 NOTRE DAME HIGH SCHOOL CONTRIBUTION	
	300,000.
3 PARA LOS NINOS CONTRIBUTION	
	300,000.
4 PARTNERSHIP FOR LA SCHOOLS CONTRIBUTION	
	242,987.

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 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	0.

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

1 Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a Average monthly fair market value of securities	1a	56,180,659.
b Average of monthly cash balances	1b	241,124.
c Fair market value of all other assets	1c	5,958,855.
d Total (add lines 1a, b, and c)	1d	62,380,638.
e Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2 Acquisition indebtedness applicable to line 1 assets	2	0.
3 Subtract line 2 from line 1d	3	62,380,638.
4 Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	935,710.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	61,444,928.
6 Minimum investment return. Enter 5% of line 5	6	3,072,246.

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

1 Minimum investment return from Part X, line 6	1	3,072,246.
2a Tax on investment income for 2009 from Part VI, line 5	2a	6,681.
b Income tax for 2009. (This does not include the tax from Part VI.)	2b	
c Add lines 2a and 2b	2c	6,681.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3	3,065,565.
4 Recoveries of amounts treated as qualifying distributions	4	0.
5 Add lines 3 and 4	5	3,065,565.
6 Deduction from distributable amount (see instructions)	6	0.
7 Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	3,065,565.

Part XII Qualifying Distributions (see instructions)

1 Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	5,531,716.
b Program-related investments - total from Part IX-B	1b	0.
2 Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3 Amounts set aside for specific charitable projects that satisfy the:		
a Suitability test (prior IRS approval required)	3a	
b Cash distribution test (attach the required schedule)	3b	
4 Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	5,531,716.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	6,681.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	5,525,035.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2008	(c) 2008	(d) 2009
1 Distributable amount for 2009 from Part XI, line 7				3,065,565.
2 Undistributed income, if any, as of the end of 2009				
a Enter amount for 2008 only			1,693,742.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2009:				
a From 2004				
b From 2005				
c From 2006				
d From 2007				
e From 2008				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2009 from Part XII, line 4: ▶ \$ 5,531,716.				
a Applied to 2008, but not more than line 2a			1,693,742.	
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				3,065,565.
e Remaining amount distributed out of corpus	772,409.			
5 Excess distributions carryover applied to 2009 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	772,409.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2008. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2010				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a	772,409.			
10 Analysis of line 9:				
a Excess from 2005				
b Excess from 2006				
c Excess from 2007				
d Excess from 2008				
e Excess from 2009	772,409.			

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
See Statement 15				
Total			3a	4,971,034.
b Approved for future payment				
None				
Total			3b	0.

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

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?	Yes	No
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 <u>11/17/2011</u>	Title <u>Trustee</u>
	Preparer's signature 		Date <u>12/30/10</u>	Check if self-employed ☐ Preparer's identifying number <u>000123457</u>
Paid Preparer's Use Only	Firm's name (or yours if self-employed), address, and ZIP code <u>SULLIVAN BILLE, P.C.</u> <u>600 CLARK ROAD</u> <u>TEWKSBURY, MA 01876</u>		EIN <u>04-3296201</u>	
			Phone no. <u>978-970-2900</u>	

Form **990-PF** (2009)

TECHNICAL TRAINING FOUNDATION

Continuation for 990-PF, Part IV

04-2864138

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a GAIN ON SALE OF OPTIONS [SEE STATEMENT ATTACHED]		P	Various	Various
b GAIN ON SALE OF STOCK [SEE STATEMENT ATTACHED]		P	Various	Various
c LOSS ON TRANSFER CAMPION HALL		P	Various	Various
d GAIN ON SALE RPV		P	Various	Various
e DISTRIBUTION LTCG-MUTUAL		P	Various	Various
f DISTRIBUTION STCG-MUTUAL FUNDS		P	Various	Various
g				
h				
i				
j				
k				
l				
m				
n				
o				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 2,148,123.		1,360,809.	787,314.
b 2,973,141.		2,902,772.	70,369.
c 2,550,000.		6,829,788.	<4,279,788.>
d 3,413,227.		2,848,852.	564,375.
e 14,395.			14,395.
f 1,950.			1,950.
g			
h			
i			
j			
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			787,314.
b			70,369.
c			<4,279,788.>
d			564,375.
e			14,395.
f			1,950.
g			
h			
i			
j			
k			
l			
m			
n			
o			

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	<2,841,385.>
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

Form 990-PF Interest on Savings and Temporary Cash Investments Statement 1

Source	Amount
BANK INTEREST	1,497.
BOND INTEREST	23,954.
INVESTMENT INTEREST	6,301.
NON-TAXABLE INTEREST-SBARNEY	121.
Total to Form 990-PF, Part I, line 3, Column A	31,873.

Form 990-PF Dividends and Interest from Securities Statement 2

Source	Gross Amount	Capital Gains Dividends	Column (A) Amount
DIVIDENDS-CORPORATE	862,475.	0.	862,475.
DIVIDENDS-MUTUAL FUNDS	115,764.	0.	115,764.
Total to Fm 990-PF, Part I, ln 4	978,239.	0.	978,239.

Form 990-PF Rental Income Statement 3

Kind and Location of Property	Activity Number	Gross Rental Income
CANOIE PAINTBALL, WINDHAM	1	14,634.
Total to Form 990-PF, Part I, line 5a		14,634.

Form 990-PF Rental Expenses Statement 4

Description	Activity Number	Amount	Total
Depreciation		3,750.	
REAL ESTATE TAXES		26,432.	
MAINTENANCE		2,445.	
UTILITIES		2,024.	
INSURANCE		7,242.	
- SubTotal -	1		41,893.
Total rental expenses			41,893.
Net rental Income to Form 990-PF, Part I, line 5b			<27,259.>

Form 990-PF	Other Income	Statement	5
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Description	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
STOCK SECURITIES SETTLEMENT	33,546.	0.	
Total to Form 990-PF, Part I, line 11	33,546.	0.	

Form 990-PF	Legal Fees	Statement	6
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Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
MORGAN LEWIS	45.	0.		45.
GREENBERG GLUSKER	23,010.	0.		23,010.
ROBERTO ISRAEL	126,374.	0.		126,374.
MANZI & MCCANN	50,800.	0.		50,800.
J. GRASSO	85,006.	0.		85,006.
PATTERSON BELKNAP WEBB	16,635.	0.		16,635.
To Fm 990-PF, Pg 1, ln 16a	301,870.	0.		301,870.

Form 990-PF	Accounting Fees	Statement	7
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Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
SINGER LEWAK	2,869.	0.		2,869.
GOOD, SCHWARTZ, BROWN & BURNS	4,450.	0.		4,450.
SULLIVAN BILLE	2,225.	0.		2,225.
To Form 990-PF, Pg 1, ln 16b	9,544.	0.		9,544.

Form 990-PF	Other Professional Fees	Statement	8
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Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
MARTIN HANLEY-CONSULTING	39,772.	0.		39,772.
To Form 990-PF, Pg 1, ln 16c	39,772.	0.		39,772.

Form 990-PF	Taxes	Statement	9
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Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
RE TAX-OTHER THAN RENTAL	140,873.	132,855.		8,018.
FOREIGN TAX PAID	25,754.	25,754.		0.
PAYROLL TAXES	65,869.	22,395.		43,474.
FEDERAL INCOME TAX-990-PF	6,681.	0.		0.
To Form 990-PF, Pg 1, ln 18	239,177.	181,004.		51,492.

Form 990-PF	Other Expenses	Statement	10
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Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
INVESTMENT EXPENSES	2,610.	613.		1,997.
INSURANCE-HEALTH	6,816.	6,816.		0.
INSURANCE-PROPERTY	38,019.	27,158.		10,862.
INSURANCE-D&O	8,500.	4,250.		4,250.
MAINTENANCE	41,049.	20,752.		20,297.
OFFICE SUPPLIES	4,478.	1,522.		2,955.
BUSINESS REGISTRATION EXPENSE	1,500.	0.		1,500.
UTILITIES	47,276.	27,217.		20,059.
GRANT RELATED EXPENSES	7,567.	0.		7,567.
To Form 990-PF, Pg 1, ln 23	157,815.	88,328.		69,487.

Form 990-PF	Corporate Stock	Statement 11
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Description	Book Value	Fair Market Value
SIEBERT PORTFOLIO	55,762,120.	52,297,244.
Total to Form 990-PF, Part II, line 10b	55,762,120.	52,297,244.

Form 990-PF	Corporate Bonds	Statement 12
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Description	Book Value	Fair Market Value
BONDS	302,607.	302,959.
Total to Form 990-PF, Part II, line 10c	302,607.	302,959.

Form 990-PF	Depreciation of Assets Held for Investment	Statement 13
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Description	Cost or Other Basis	Accumulated Depreciation	Book Value
GARAGES	150,000.	40,250.	109,750.
WAREHOUSE	148,000.	107,500.	40,500.
Total to Fm 990-PF, Part II, ln 11	298,000.	147,750.	150,250.

Form 990-PF	Other Investments	Statement 14
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Description	Valuation Method	Book Value	Fair Market Value
MUTUAL FUNDS	COST	1,198,500.	2,166,296.
Total to Form 990-PF, Part II, line 13		1,198,500.	2,166,296.

Form 990-PF	Grants and Contributions Paid During the Year	Statement 15
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Recipient Name and Address	Recipient Relationship and Purpose of Grant	Recipient Status	Amount
California Science Center 700 Exposition Park Drive Los Angeles, CA 90037			197,643.
Northern Essex Community College 100 Elliott Street Haverhill, MA 01830			13,419.
Notre Dame High School 1540 Ralston Ave. Belmont, CA 94002			300,000.
Adelante Youth Center 3900 Osuna Road NE Albuquerque, NM 87109			80,000.
Kaplan			40,700.
Notre Dame Education Center 1540 Ralston Ave. Belmont, CA 94002			8,504.
Palos Verdes Land Conservancy P.O. Box 3427 Palos Verdes Peninsula, CA 90274			148,505.
Unicef Various			25,000.

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5,195.

Brooks School
1160 Great Pond Road North
Andover, MA 01845

3130000.

Campion Estates
301 Haverhill Street Lawrence,
MA 01841

10,817.

Caritas Holy Family Hospital
70 East Street Methuen, MA
01844

60,000.

Children in the Wilderness
Various

25,000.

Doctors Without Borders
Various

1,500.

Harvard Kennedy School
79 John F. Kennedy School of
Government Cambridge, MA 02138

20,387.

Lahey Clinic
41 Mall Road Burlington, MA
01805

15,677.

Lawrence General Hospital
1 General Street Lawrence, MA
01842

50,000.

Little Company of Mary Hospital
various

14,065.

Nupath
various

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Para Los Ninos
500 Lucas Avenue Los Angeles,
CA 90017

300,000.

Partnership for LA Schools
1541 Wilshire Blvd. Los
Angeles, CA 90017

242,987.

Saints Medical Center
1 Hospital Drive Lowell, MA
01852

10,818.

Salvation Army Radiothon
Various

10,000.

University of California, San
Francisco
University of California, San
Francisco San Francisco, CA

50,000.

Visiting Nurses Association
900 19th Street Washington, DC
20006

10,817.

Sonrise School

200,000.

Total to Form 990-PF, Part XV, line 3a

4,971,034.

2010 GRANT LISTING

Organization	Amount	Date	Chk #	Contact	Description
Adelante	\$ 50,000.00	10/09/09	3078	David Hildt	School success pgm, tutoring 7th/8th grd
Adelante	\$ 30,000.00	03/02/10	1056	David Hildt	School success program
Brooks	\$ 5,195.00	05/13/10	S1061	Leigh Perkins	English Today scholarship
California Science Center	\$ 100,000.00	01/31/10	S1008		
California Science Center	\$ 10,000.00	03/31/10	S1015		
California Science Center	\$ 2,500.00	03/31/10	S1016		
California Science Center	\$ 3,867.59	05/27/10	1055		
California Science Center	\$ 81,275.00	06/02/10	S1063	William Harris	Science kits-Africa, sci camp, internships etc
Campion Estates LLC	\$ 150,000.00	10/31/09	3099	Bill Penney	Campion Hall Improvements
Campion Estates LLC	\$ 150,000.00	01/31/10	3271	Bill Penney	Campion Hall Improvements
Campion Estates LLC	\$ 150,000.00	02/28/10	S1009	Bill Penney	Campion Hall Improvements
Campion Estates LLC	\$ 130,000.00	03/31/10	3372	Bill Penney	Campion Hall Improvements
Campion Estates LLC	\$ 2,550,000.00	05/31/10		Joe Leone	Transfer of Campion Hall
Caritas Holy Family Hospital	\$ 10,817.00	12/23/09	1003	Deborah Bradshaw	Student Interns
Children of the Wildemess	\$ 60,000.00	02/11/10	1011	Sue Goatley	Teachers/supplies for Zimbabwe schools
Doctors Without Borders	\$ 25,000.00	01/18/10	1051	Alexa Adam	Medical treatment Haiti
Harvard Kennedy School	\$ 1,500.00	02/12/10	3333	Andy Zelleke	Latino Leadership Initiative
Lahey Clinic	\$ 20,387.00	12/23/09	1006	Joan Robbio	Student Interns
Lawrence General Hospital	\$ 15,677.00	12/23/09	1005	Cynthia Phelan	Student Interns
Lawrence Intl High School	\$ 17,000.00	10/02/09	3072	Melissa Blhette	Kaplan prep program (Spring 2009)
Lawrence Intl High School	\$ 23,700.00	02/09/10	3633	Michael Flato	Kaplan prep program (Spring 2010)
Little Company of Mary	\$ 50,000.00	02/11/10	1012	Marlene Young	Institute for Nursing - San Pedro Campus
Northern Essex Comm. College	\$ 13,419.00	12/23/09	1007	Jean Poth	Student Interns
Notre Dame Education Center	\$ 8,504.37	02/12/10	1053	Sr. Eileen Burns	Computer/software upgrades
Notre Dame High School	\$ 300,000.00	11/09/09	3170	Sr. Mary Murphy	Tuition assistance/Internship pgm deficits
Nupath	\$ 14,065.00	12/23/09	1002	Dan Harrison	Student Interns
Palos Verdes Land Conserv	\$ 148,505.00	06/10/10	1064	Andrea Vona	see proposal of 6/8/10
Para Los Ninos	\$ 300,000.00	03/05/10	1013		
Partnership for LA Schools	\$ 495,000.00	09/01/09	1851	Marshall Tuck	Master teachers/prof develop math & sci
Partnership for LA Schools	\$ (252,013.00)	08/12/10	refund	Marshall Tuck	Incomplete grant - return funds
Saints Medical Center	\$ 10,818.00	03/02/10	1057	Catherine Seeley	Student Interns
Salvation Army Radiothon	\$ 10,000.00	01/31/10	S1001		
UCSF - Dr. Baron	\$ 50,000.00	05/26/10	1062	Dr. Jody Baron	Liver immunology research program
Unicef	\$ 25,000.00	02/12/10	1054	Andrea Frodema	Humanitarian relief work Haiti
Visiting Nurses Association	\$ 10,817.00	12/23/09	1004	Ralph Simone	Student Interns
Waldorf School	\$ 200,000.00	06/01/10	1067	Lauren White	challenge grant capital campaign
	\$ 4,971,033.96				

Capital Gains
9/1/2009 through 8/31/2010
Accounts Security

Option	Shares	Bought	Sold	Gross Proceeds	Cost Basis	Realized Gain/Loss
Siebert-Stock PUT (MZR) MERCK & CO INC JAN 40 (100 SHS)	1,000.00	10/12/2009	2/4/2008	5,185.94	7,610.00	(2,420.06)
Siebert-Stock PUT (MZR) MERCK & CO INC JAN 40 (100 SHS)	1,000.00	10/12/2009	2/4/2008	5,185.94	7,610.00	(2,420.06)
Siebert-Stock PUT (MZR) MERCK & CO INC JAN 40 (100 SHS)	3,000.00	10/12/2009	2/6/2008	15,269.83	22,830.00	(7,560.17)
Siebert-Stock PUT (QAA) APPLE INC JAN 120 (100 SHS)	500	10/12/2009	5/12/2008	5,794.97	275.00	5,519.97
Siebert-Stock PUT (QAA) APPLE INC JAN 120 (100 SHS)	1,000.00	10/12/2009	5/12/2008	11,989.93	550.00	11,439.93
Siebert-Stock PUT (QAA) APPLE INC JAN 120 (100 SHS)	500	10/12/2009	5/12/2008	5,794.97	275.00	5,519.97
Siebert-Stock PUT (QAA) APPLE INC JAN 120 (100 SHS)	3,000.00	10/12/2009	5/29/2008	34,769.80	1,650.00	33,119.80
Siebert-Stock PUT (QAA) APPLE INC JAN 120 (100 SHS)	3,000.00	10/12/2009	6/3/2008	42,569.76	2,580.00	39,989.76
Siebert-Stock PUT (QAA) APPLE INC JAN 120 (100 SHS)	3,000.00	10/12/2009	3/4/2008	11,969.86	2,040.00	9,929.86
Siebert-Stock PUT (QAA) APPLE INC JAN 120 (100 SHS)	2,000.00	10/12/2009	3/20/2008	8,579.90	1,360.00	7,219.90
Siebert-Stock PUT (QAA) APPLE INC JAN 120 (100 SHS)	3,000.00	10/12/2009	3/26/2009	26,969.84	72,930.00	(45,960.16)
Siebert-Stock CALL(LEAP 2011) (OBQ) FREEPORT MCMORAN JAN 60 (100 SHS)(OBQ	600	10/12/2009	4/20/2009	5,329.86	14,586.00	(9,256.14)
Siebert-Stock CALL(LEAP 2011) (OBQ) FREEPORT MCMORAN JAN 60 (100 SHS)(OBQ	1,400.00	10/12/2009	4/23/2009	10,905.71	34,034.00	(23,128.29)
Siebert-Stock CALL(LEAP 2011) (OBQ) FREEPORT MCMORAN JAN 60 (100 SHS)(OBQ	100	10/12/2009	5/14/2009	408.99	601.00	(192.01)
Siebert-Stock CALL(LEAP 2011) (OBQ) FREEPORT MCMORAN JAN 60 (100 SHS)(OBQ	900	10/12/2009	5/14/2009	3,680.90	5,499.00	(1,818.10)
Siebert-Stock CALL(LEAP 2011) (OBQ) FREEPORT MCMORAN JAN 60 (100 SHS)(OBQ	3,000.00	10/12/2009	4/30/2008	8,369.95	3,330.00	5,039.95
Siebert-Stock PUT (MZR) MERCK & CO INC JAN 30 (100 SHS)	2,000.00	10/12/2009	1/7/2009	10,779.93	2,220.00	8,559.93
Siebert-Stock PUT (MZR) MERCK & CO INC JAN 30 (100 SHS)	2,900.00	10/28/2009	3/26/2009	12,150.92	1,334.00	10,816.92
Siebert-Stock PUT (LEAP 2011) (OBQ) FREEPORT MCMORAN JAN 20 (100 SHS)(VBO	100	10/28/2009	2/5/2009	519.00	185.00	334.00
Siebert-Stock PUT (LEAP 2011) (OBQ) FREEPORT MCMORAN JAN 20 (100 SHS)(VBO	2,100.00	11/4/2009	5/22/2008	4,178.97	546.00	3,632.97
Siebert-Stock PUT (HMC) HONDA MOTORS LTD ADR JAN 25 (100 SHS)	3,000.00	11/4/2009	10/14/2008	8,669.95	4,290.00	4,379.95
Siebert-Stock PUT (GEW) GENERAL ELECTRIC CO JAN 15 (100 SHS)	2,000.00	11/4/2009	4/14/2009	8,939.77	2,860.00	6,079.77
Siebert-Stock PUT (GEW) GENERAL ELECTRIC CO JAN 15 (100 SHS)	3,000.00	11/4/2009	10/15/2008	23,969.86	1,530.00	22,439.86
Siebert-Stock PUT (CVX) CHEVRON CORP NEW JAN 60 (100 SHS)	900	11/4/2009	5/22/2008	1,790.99	234.00	1,556.99
Siebert-Stock PUT (HMC) HONDA MOTORS LTD ADR JAN 25 (100 SHS)	2,000.00	11/4/2009	9/9/2008	4,079.97	520.00	3,559.97
Siebert-Stock PUT (HMC) HONDA MOTORS LTD ADR JAN 25 (100 SHS)	2,000.00	11/23/2009	1/7/2009	5,979.96	1,800.00	4,179.96
Siebert-Stock PUT (LEAP 2011) (VBA) BANK OF AMERICA JAN 10 (100 SHS)(VBA	3,000.00	11/23/2009	7/21/2009	6,719.82	2,700.00	4,019.82
Siebert-Stock PUT (HOM) EXXON MOBIL CORP JAN 60 (100 SHS)	3,000.00	11/23/2009	2/7/2008	14,969.83	570.00	14,399.83
Siebert-Stock PUT (HOM) EXXON MOBIL CORP JAN 60 (100 SHS)	1,000.00	11/23/2009	3/20/2008	4,289.95	190.00	4,099.95
Siebert-Stock PUT (HOM) EXXON MOBIL CORP JAN 65 (100 SHS)	1,300.00	11/23/2009	3/5/2008	7,136.92	390.00	6,746.92
Siebert-Stock PUT (HOM) EXXON MOBIL CORP JAN 65 (100 SHS)	3,000.00	11/23/2009	1/24/2008	19,169.70	930.00	18,239.70
Siebert-Stock PUT (HOM) EXXON MOBIL CORP JAN 65 (100 SHS)	1,000.00	11/23/2009	1/23/2008	6,789.89	310.00	6,479.89
Siebert-Stock PUT (HOM) EXXON MOBIL CORP JAN 65 (100 SHS)	3,000.00	11/23/2009	1/25/2008	18,269.72	930.00	17,339.72
Siebert-Stock PUT (HOM) EXXON MOBIL CORP JAN 65 (100 SHS)	1,700.00	11/23/2009	3/5/2008	9,332.89	527.00	8,805.89
Siebert-Stock PUT (HOM) EXXON MOBIL CORP JAN 65 (100 SHS)	1,000.00	11/23/2009	4/14/2009	4,469.88	480.00	3,989.88
Siebert-Stock PUT (GEW) GENERAL ELECTRIC CO JAN 15 (100 SHS)	3,000.00	11/23/2009	10/15/2008	17,969.89	630.00	17,339.89
Siebert-Stock PUT (CVX) CATERPILLAR INC JAN 40 (100 SHS)	2,200.00	11/23/2009	1/7/2009	14,057.92	462.00	13,595.92
Siebert-Stock PUT (CVX) CATERPILLAR INC JAN 40 (100 SHS)	800	11/23/2009	1/7/2009	5,111.97	168.00	4,943.97
Siebert-Stock PUT (LEAP 2011) (VAD) MONEYWELL INTL INC JAN 20 (100 SHS)(VAD	1,000.00	11/23/2009	2/4/2009	3,189.98	520.00	2,669.98
Siebert-Stock PUT (LWW) LOWES COMPANIES JAN 20 (100 SHS)	4,000.00	11/23/2009	6/11/2008	9,959.94	2,000.00	7,959.94
Siebert-Stock PUT (LWW) LOWES COMPANIES JAN 20 (100 SHS)	1,000.00	11/23/2009	1/7/2009	3,589.98	500.00	3,089.98
Siebert-Stock PUT (QAA) APPLE INC JAN 120 (100 SHS)	2,000.00	12/1/2009	5/22/2005	23,979.86	360.00	23,619.86

Capital Gains

9/1/2009 through 8/31/2010

Account	Security	Shares	Bought	Sold	Gross Proceeds	Cost Basis	Realized Gain/Loss
Siebert-Stock	PUT (LEAP 2011) (VBA BANK OF AMERICA JAN 10 (100 SHS)(VBA	1,000.00	12/1/2009	1/7/2009	2,989.98	1,020.00	1,969.98
Siebert-Stock	PUT (LEAP 2011) (VBA BANK OF AMERICA JAN 10 (100 SHS)(VBA	3,000.00	12/1/2009	1/6/2009	9,149.94	3,030.00	6,119.94
Siebert-Stock	PUT (PTR) PETROCHINA CO LTD JAN 100 (100 SHS)	5,000.00	12/1/2009	8/10/2009	28,449.26	2,050.00	26,399.26
Siebert-Stock	PUT (PTR) PETROCHINA CO LTD JAN 100 (100 SHS)	5,000.00	12/1/2009	8/25/2009	29,949.22	2,050.00	27,899.22
Siebert-Stock	PUT (LWM) LOWES COMPANIES JAN 20 (100 SHS)	1,500.00	12/1/2009	1/7/2009	5,384.97	450.00	4,934.97
Siebert-Stock	PUT (HMC) HONDA MOTORS LTD ADR JAN 25 (100 SHS)	1,000.00	12/1/2009	9/9/2008	2,039.99	110.00	1,929.99
Siebert-Stock	PUT (HMC) HONDA MOTORS LTD ADR JAN 25 (100 SHS)	3,000.00	12/1/2009	5/14/2009	7,469.80	330.00	7,139.80
Siebert-Stock	PUT (LWM) LOWES COMPANIES JAN 20 (100 SHS)	500	12/1/2009	1/7/2009	1,794.99	155.00	1,639.99
Siebert-Stock	CALL(LEAP 2011) (XBY INTL BUSINESS MACH JAN 100 (100 SHS)(XBY	5,000.00	12/2/2009	10/30/2008	64,949.64	155,550.00	(90,600.35)
Siebert-Stock	PUT (PTR) PETROCHINA CO LTD JAN 100 (100 SHS)	2,000.00	12/2/2009	5/27/2008	21,379.88	820.00	20,559.88
Siebert-Stock	PUT (PTR) PETROCHINA CO LTD JAN 100 (100 SHS)	3,000.00	12/2/2009	8/27/2008	18,269.52	1,230.00	17,039.52
Siebert-Stock	PUT (XOM) EXXON MOBIL CORP JAN 65 (100 SHS)	2,000.00	12/10/2009	1/23/2008	13,579.79	800.00	12,779.79
Siebert-Stock	PUT (LEAP 2011) (VFX FEDEX CORP JAN 35 (100 SHS)(VFX	2,000.00	12/10/2009	2/5/2009	10,179.94	920.00	9,259.94
Siebert-Stock	PUT (LEAP 2011) (VFX FEDEX CORP JAN 35 (100 SHS)(VFX	3,000.00	12/10/2009	5/11/2009	11,369.70	1,380.00	9,989.70
Siebert-Stock	CALL(LEAP 2011) (XBY INTL BUSINESS MACH JAN 100 (100 SHS)(XBY	3,000.00	12/10/2009	1/26/2009	39,569.77	92,130.00	(52,560.23)
Siebert-Stock	CALL(LEAP 2011) (XBY INTL BUSINESS MACH JAN 100 (100 SHS)(XBY	2,000.00	12/10/2009	4/20/2009	35,579.08	61,420.00	(25,840.92)
Siebert-Stock	PUT (LEAP 2011) (ZHB PROCTER & GAMBLE CO JAN 40 (100 SHS)(ZHB	1,400.00	12/14/2009	2/2/2009	5,585.97	1,204.00	4,381.97
Siebert-Stock	PUT (GE) GENERAL ELECTRIC CO JAN 30 (100 SHS)	1,800.00	12/14/2009	4/21/2008	6,821.96	25,578.00	(18,756.04)
Siebert-Stock	PUT (GE) GENERAL ELECTRIC CO JAN 30 (100 SHS)	3,000.00	12/14/2009	4/21/2008	9,869.94	42,630.00	(32,760.06)
Siebert-Stock	PUT (GE) GENERAL ELECTRIC CO JAN 30 (100 SHS)	200	12/14/2009	4/22/2008	669.99	2,842.00	(2,172.01)
Siebert-Stock	CALL(BBY) BEST BUY INC JAN 22 11 \$40 (100 SHS)	3,000.00	12/14/2009	2/4/2009	11,969.93	27,570.00	(15,600.07)
Siebert-Stock	CALL(BBY) BEST BUY INC JAN 22 11 \$40 (100 SHS)	2,000.00	12/14/2009	2/9/2009	8,779.95	18,380.00	(9,600.05)
Siebert-Stock	PUT (LEAP 2011) (ZHB PROCTER & GAMBLE CO JAN 40 (100 SHS)(ZHB	1,600.00	12/14/2009	2/2/2009	6,383.96	1,376.00	5,007.96
Siebert-Stock	CALL(LEAP 2011) (OBQ FREEPORT MCMORAN JAN 60 (100 SHS)(OBQ	2,000.00	12/14/2009	2/5/2009	8,578.95	1,720.00	6,858.95
Siebert-Stock	CALL(LEAP 2011) (OBQ FREEPORT MCMORAN JAN 60 (100 SHS)(OBQ	500	12/14/2009	4/14/2009	5,099.86	12,105.00	(7,005.14)
Siebert-Stock	CALL(LEAP 2011) (OBQ FREEPORT MCMORAN JAN 60 (100 SHS)(OBQ	2,500.00	12/14/2009	4/14/2009	25,524.34	60,525.00	(35,000.66)
Siebert-Stock	CALL(LEAP 2011) (XBY INTL BUSINESS MACH JAN 100 (100 SHS)(XBY	1,100.00	12/14/2009	4/20/2009	17,789.54	32,410.00	(14,620.46)
Siebert-Stock	CALL(LEAP 2011) (XBY INTL BUSINESS MACH JAN 100 (100 SHS)(XBY	1,100.00	12/14/2009	4/23/2009	19,788.49	35,651.00	(15,862.51)
Siebert-Stock	CALL(LEAP 2011) (XBY INTL BUSINESS MACH JAN 100 (100 SHS)(XBY	2,900.00	12/14/2009	4/23/2009	52,169.65	93,989.00	(41,819.35)
Siebert-Stock	PUT (GE) GENERAL ELECTRIC CO JAN 30 (100 SHS)	1,200.00	12/18/2009	4/14/2008	4,547.97	17,112.00	(12,564.03)
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	2,000.00	12/23/2009	5/9/2008	5,779.97	10,320.00	(4,540.03)
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	1,000.00	12/23/2009	5/9/2008	2,889.98	5,150.00	(2,260.02)
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	2,000.00	12/23/2009	5/22/2008	6,579.96	10,300.00	(3,720.04)
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	3,000.00	12/23/2009	3/4/2008	14,069.84	15,300.00	(1,230.16)
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	1,000.00	12/23/2009	5/22/2008	3,289.98	5,100.00	(1,810.02)
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	2,000.00	12/23/2009	1/28/2008	10,779.88	10,220.00	559.88
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	3,000.00	12/23/2009	2/7/2008	14,969.83	15,330.00	(360.17)
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	3,000.00	12/23/2009	1/24/2008	20,369.68	15,330.00	5,039.68
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	600	12/23/2009	1/25/2008	3,413.94	3,066.00	347.94
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	2,400.00	12/23/2009	1/25/2008	13,655.79	12,264.00	1,391.79
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	1,000.00	12/23/2009	1/28/2008	5,389.94	5,110.00	279.94
Siebert-Stock	PUT (BZD) BOEING CO JAN 60 (100 SHS)	3,000.00	12/23/2009	3/20/2008	18,569.79	15,330.00	3,239.79
Siebert-Stock	PUT (PTR) PETROCHINA CO LTD JAN 100 (100 SHS)	1,000.00	12/24/2009	5/27/2008	10,689.94	160.00	10,529.94
Siebert-Stock	PUT (PTR) PETROCHINA CO LTD JAN 100 (100 SHS)	3,000.00	12/24/2009	5/29/2008	34,769.80	480.00	34,289.80
Siebert-Stock	PUT (MWR) MARATHON OIL CORP JAN 40 (100 SHS)	1,900.00	1/4/2010	4/14/2008	12,330.93	12,330.92	0.01

Capital Gains

9/1/2009 through 8/31/2010

Account	Security	Shares	Purchase	Sold	Gross Proceeds	Cost Basis	Realized Gain/Loss
Siebert-Stock	PUT (MWX) MARATHON OIL CORP JAN 40 (100 SHS)	600	1/4/2010	4/14/2008	3,893.97	3,893.98	(0.01)
Siebert-Stock	PUT (GE) GENERAL ELECTRIC CO JAN 25 (100 SHS)	3,000.00	1/5/2010	4/14/2008	5,999.96	5,999.96	0.00
Siebert-Stock	PUT (GE) GENERAL ELECTRIC CO JAN 25 (100 SHS)	800	1/5/2010	4/17/2008	1,599.99	1,599.99	0.00
Siebert-Stock	CALL(LEAP 2012) (WBY BEST BUY INC JAN 50 (100 SHS)WBY	5,000.00	1/15/2010	12/14/2009	35,449.08	18,050.00	17,399.08
Siebert-Stock	PUT (LEAP 2011) (VFX FEDEX CORP JAN 35 (100 SHS)VFX	1,000.00	1/15/2010	2/5/2009	5,089.97	240.00	4,849.97
Siebert-Stock	PUT (LEAP 2011) (VFX FEDEX CORP JAN 50 (100 SHS)VFX	3,000.00	1/15/2010	1/7/2009	29,369.83	3,270.00	26,099.83
Siebert-Stock	PUT (GE) GENERAL ELECTRIC CO JAN 25 (100 SHS)	200	1/15/2010	5/27/2008	412.00	1,652.00	(1,240.00)
Siebert-Stock	PUT (GE) GENERAL ELECTRIC CO JAN 25 (100 SHS)	2,800.00	1/15/2010	4/14/2008	5,599.96	23,128.00	(17,528.04)
Siebert-Stock	PUT (GE) GENERAL ELECTRIC CO JAN 25 (100 SHS)	2,200.00	1/15/2010	4/17/2008	4,399.97	18,172.00	(13,772.03)
Siebert-Stock	CALL(LEAP 2011) (RBY INTL BUSINESS MACH JAN 100 (100 SHS)RBY	1,000.00	1/15/2010	4/23/2009	17,989.54	33,310.00	(15,320.46)
Siebert-Stock	PUT (MWX) MARATHON OIL CORP JAN 40 (100 SHS)	600	1/15/2010	5/9/2008	2,336.26	4,806.00	(2,469.74)
Siebert-Stock	PUT (MWX) MARATHON OIL CORP JAN 40 (100 SHS)	500	1/15/2010	4/14/2008	3,244.98	4,005.00	(760.02)
Siebert-Stock	PUT (MWX) MARATHON OIL CORP JAN 40 (100 SHS)	2,300.00	1/15/2010	4/29/2008	12,856.92	18,423.00	(5,566.08)
Siebert-Stock	PUT (MWX) MARATHON OIL CORP JAN 40 (100 SHS)	2,200.00	1/15/2010	5/9/2008	8,566.28	17,622.00	(9,055.72)
Siebert-Stock	PUT (LEAP 2011) (VOI NORTHROP GRUMMAN JAN 40 (100 SHS)VOI	3,000.00	1/15/2010	1/7/2009	19,499.89	2,730.00	16,769.89
Siebert-Stock	PUT (LEAP 2011) (VOI NORTHROP GRUMMAN JAN 40 (100 SHS)VOI	2,000.00	1/15/2010	1/7/2009	13,039.93	1,820.00	11,219.93
Siebert-Stock	PUT (RDS) ROYAL DUTCH SHELL JAN 60 (100 SHS)	1,000.00	1/15/2010	1/24/2008	7,989.88	160.00	7,829.88
Siebert-Stock	PUT (RDS) ROYAL DUTCH SHELL JAN 60 (100 SHS)	1,100.00	1/15/2010	1/24/2008	8,788.86	176.00	8,612.86
Siebert-Stock	PUT (RDS) ROYAL DUTCH SHELL JAN 60 (100 SHS)	900	1/15/2010	1/24/2008	7,190.89	144.00	7,046.89
Siebert-Stock	PUT (RDS) ROYAL DUTCH SHELL JAN 60 (100 SHS)	1,000.00	1/15/2010	1/25/2008	6,489.90	160.00	6,329.90
Siebert-Stock	PUT (RDS) ROYAL DUTCH SHELL JAN 60 (100 SHS)	2,000.00	1/15/2010	3/20/2008	15,979.82	320.00	15,659.82
Siebert-Stock	PUT (RDS) ROYAL DUTCH SHELL JAN 60 (100 SHS)	1,000.00	1/15/2010	9/9/2008	7,789.95	210.00	7,579.95
Siebert-Stock	PUT (RDS) ROYAL DUTCH SHELL JAN 60 (100 SHS)	4,000.00	1/15/2010	12/10/2009	9,159.76	840.00	8,319.76
Siebert-Stock	PUT (LEAP 2011) (VWY SCHLUMBERGER LTD JAN 30 (100 SHS)VWY	300	1/15/2010	3/2/2009	2,216.99	99.00	2,117.99
Siebert-Stock	PUT (LEAP 2011) (VWY SCHLUMBERGER LTD JAN 30 (100 SHS)VWY	1,600.00	1/15/2010	3/2/2009	11,823.93	528.00	11,295.93
Siebert-Stock	PUT (TM) TOYOTA MTRS CORP JAN 80 (100 SHS)	100	1/15/2010	5/9/2008	669.99	6.00	663.99
Siebert-Stock	PUT (TM) TOYOTA MTRS CORP JAN 80 (100 SHS)	200	1/15/2010	5/9/2008	1,359.99	12.00	1,347.99
Siebert-Stock	PUT (TM) TOYOTA MTRS CORP JAN 80 (100 SHS)	3,000.00	1/15/2010	5/12/2008	17,969.89	180.00	17,789.89
Siebert-Stock	PUT (TM) TOYOTA MTRS CORP JAN 80 (100 SHS)	1,100.00	1/15/2010	5/22/2008	6,368.96	66.00	6,302.96
Siebert-Stock	PUT (TM) TOYOTA MTRS CORP JAN 80 (100 SHS)	1,900.00	1/15/2010	5/22/2008	11,000.94	114.00	10,886.94
Siebert-Stock	PUT (TM) TOYOTA MTRS CORP JAN 80 (100 SHS)	3,000.00	1/15/2010	5/23/2008	17,069.90	180.00	16,889.90
Siebert-Stock	PUT (MZR) MERCK & CO INC JAN 30 (100 SHS)	1,000.00	1/19/2010	1/7/2009	5,389.97	0.00	5,389.97
Siebert-Stock	PUT (MZR) MERCK & CO INC JAN 40 (100 SHS)	1,000.00	1/19/2010	2/4/2008	5,189.94	5,189.94	0.00
Siebert-Stock	CALL(LEAP 2011) (ZGP CHINA PETROLEUM & JAN 140 (100 SHS)ZGP	2,500.00	2/22/2010	7/24/2009	12,974.66	525.10	12,449.56
Siebert-Stock	CALL(LEAP 2011) (ZPJ CHINA PETROLEUM & JAN 100 (100 SHS)ZPJ	2,000.00	2/22/2010	4/17/2009	19,979.48	4,720.08	15,259.40
Siebert-Stock	CALL(LEAP 2011) (ZPJ CHINA PETROLEUM & JAN 100 (100 SHS)ZPJ	300	2/22/2010	5/7/2009	3,596.91	708.01	2,888.90
Siebert-Stock	CALL(LEAP 2011) (ZGP CHINA PETROLEUM & JAN 140 (100 SHS)ZGP	2,700.00	2/22/2010	5/7/2009	32,372.11	6,372.11	26,000.00
Siebert-Stock	PUT (LEAP 2011) (VOI NORTHROP GRUMMAN JAN 40 (100 SHS)VOI	500	2/22/2010	7/24/2009	2,594.93	105.02	2,489.91
Siebert-Stock	PUT (LEAP 2011) (VOI NORTHROP GRUMMAN JAN 40 (100 SHS)VOI	1,000.00	3/9/2010	1/7/2009	6,519.96	460.04	6,059.92
Siebert-Stock	PUT (LEAP 2011) (VOI NORTHROP GRUMMAN JAN 40 (100 SHS)VOI	3,000.00	3/9/2010	2/2/2009	20,969.88	1,380.12	19,589.76
Siebert-Stock	PUT (LEAP 2011) (VOI NORTHROP GRUMMAN JAN 40 (100 SHS)VOI	3,000.00	3/9/2010	2/4/2009	21,569.87	1,380.12	20,189.75
Siebert-Stock	PUT (LEAP 2011) (OND LOCKHEED MARTIN CORP JAN 50 (100 SHS)OND	3,000.00	3/9/2010	1/7/2009	14,099.92	1,560.12	12,539.80
Siebert-Stock	PUT (LEAP 2011) (OND LOCKHEED MARTIN CORP JAN 50 (100 SHS)OND	2,000.00	3/9/2010	2/4/2009	10,999.93	1,040.08	9,959.85
Siebert-Stock	PUT (LEAP 2011) (VIN JOHNSON & JOHNSON JAN 50 (100 SHS)VIN	3,000.00	3/9/2010	2/2/2009	17,969.89	2,310.12	15,659.77
Siebert-Stock	PUT (LEAP 2011) (VIN JOHNSON & JOHNSON JAN 50 (100 SHS)VIN	2,000.00	3/9/2010	2/4/2009	11,579.93	1,540.08	10,039.85

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Capital Gains

9/1/2009 through 8/31/2010

Account	Security	Shares	Bought	Sold	Gross Proceeds	Cost Basis	Realized Gain/Loss
Siebert-Stock	PUT (LEAP 2011) (VBY BEST BUY INC JAN 20 (100 SHS)(VBY	1,000.00	3/9/2010	3/26/2009	3,489.98	230.04	3,259.94
Siebert-Stock	PUT (LEAP 2011) (VBY BEST BUY INC JAN 15 (100 SHS)(VBY	1,000.00	3/9/2010	3/23/2009	2,089.99	120.04	1,969.95
Siebert-Stock	CAL(LEAP 2011) (VBO BOEING CO JAN 60 (100 SHS)(VBO	900	3/9/2010	1/27/2009	3,860.98	10,494.04	(6,633.06)
Siebert-Stock	CAL(LEAP 2011) (VBO BOEING CO JAN 60 (100 SHS)(VBO	2,100.00	3/9/2010	1/27/2009	9,008.94	24,486.08	(15,477.14)
Siebert-Stock	CAL(LEAP 2011) (VBO BOEING CO JAN 60 (100 SHS)(VBO	1,000.00	3/9/2010	2/9/2009	4,089.98	11,660.04	(7,570.06)
Siebert-Stock	CAL(LEAP 2011) (VBO BOEING CO JAN 60 (100 SHS)(VBO	2,000.00	3/9/2010	2/9/2009	8,179.95	23,220.08	(15,040.13)
Siebert-Stock	CAL(LEAP 2011) (VBO BOEING CO JAN 60 (100 SHS)(VBO	3,000.00	3/9/2010	8/25/2009	9,269.76	34,830.12	(25,560.36)
Siebert-Stock	PUT (LEAP 2011) (ORD LOCKHEED MARTIN CORP JAN 50 (100 SHS)(ORD	1,000.00	3/11/2010	2/4/2009	5,499.97	520.04	4,979.93
Siebert-Stock	PUT (LEAP 2011) (ORD LOCKHEED MARTIN CORP JAN 50 (100 SHS)(ORD	3,000.00	3/11/2010	4/14/2009	17,669.54	1,560.12	16,109.42
Siebert-Stock	PUT (PTR) PETROCHINA CO ADS MAR 110 (100 SHS)	5,000.00	3/22/2010	10/28/2009	25,449.34	0.00	25,449.34
Siebert-Stock	PUT (PTR) PETROCHINA CO ADS MAR 110 (100 SHS)	5,000.00	3/22/2010	11/4/2009	24,949.35	0.00	24,949.35
Siebert-Stock	PUT (APV) APPLE INC JUL 150 (100 SHS)	3,000.00	3/22/2010	12/2/2009	9,869.74	0.00	9,869.74
Siebert-Stock	PUT (APV) APPLE INC JUL 150 (100 SHS)	3,000.00	3/25/2010	12/9/2009	21,569.44	1,560.12	20,009.32
Siebert-Stock	PUT (APV) APPLE INC JUL 150 (100 SHS)	3,000.00	3/25/2010	12/23/2009	14,819.61	1,560.12	13,259.49
Siebert-Stock	PUT (APV) APPLE INC JUL 150 (100 SHS)	4,000.00	3/25/2010	1/15/2010	12,359.84	2,080.16	10,279.68
Siebert-Stock	PUT (APV) APPLE INC JUL 150 (100 SHS)	3,000.00	3/25/2010	2/5/2009	17,069.90	750.12	16,319.78
Siebert-Stock	PUT (LEAP 2011) (VBO BOEING CO JAN 30 (100 SHS)(VBO	900	3/25/2010	2/5/2009	4,670.97	225.04	4,445.93
Siebert-Stock	PUT (LEAP 2011) (VBO BOEING CO JAN 30 (100 SHS)(VBO	1,000.00	3/25/2010	2/4/2009	5,789.97	680.04	5,109.93
Siebert-Stock	PUT (LEAP 2011) (VJN JOHNSON & JOHNSON JAN 50 (100 SHS)(VJN	3,000.00	3/25/2010	2/5/2009	16,169.90	2,040.12	14,129.78
Siebert-Stock	PUT (LEAP 2011) (ZMB PROCTER & GAMBLE CO JAN 40 (100 SHS)(ZMB	1,000.00	3/25/2010	2/5/2009	4,289.97	280.04	4,009.93
Siebert-Stock	PUT (LEAP 2011) (VMT WAL-MART STORES INC JAN 35 (100 SHS)(VMT	500	3/25/2010	1/26/2009	2,349.98	130.02	2,219.96
Siebert-Stock	PUT (CAT) (CATERPILLAR INC JAN 21 12 \$30 (100 SHS)	2,500.00	3/25/2010	1/16/2009	11,774.93	650.10	11,124.83
Siebert-Stock	PUT (AAPL) APPLE INC JUL 17 10 \$175 (100 SHS)	5,000.00	5/13/2010	11/4/2009	17,449.55	6,800.20	10,649.35
Siebert-Stock	PUT (AAPL) APPLE INC JUL 17 10 \$175 (100 SHS)	2,300.00	5/13/2010	1/15/2010	17,341.77	2,208.09	15,133.68
Siebert-Stock	PUT (APV) APPLE INC JUL 17 10 \$175 (100 SHS)	2,700.00	5/13/2010	1/15/2010	20,357.74	2,592.11	17,765.63
Siebert-Stock	PUT (APV) APPLE INC JUL 155 (100 SHS)	2,000.00	5/13/2010	11/23/2009	13,779.65	1,140.08	12,639.57
Siebert-Stock	PUT (APV) APPLE INC JUL 155 (100 SHS)	500	5/13/2010	1/29/2010	2,349.97	285.02	2,064.95
Siebert-Stock	PUT (APV) APPLE INC JUL 155 (100 SHS)	2,500.00	5/13/2010	1/29/2010	11,774.85	1,425.10	10,349.75
Siebert-Stock	PUT (APV) APPLE INC JUL 155 (100 SHS)	1,100.00	5/13/2010	11/23/2009	7,578.80	616.04	6,962.76
Siebert-Stock	PUT (APV) APPLE INC JUL 155 (100 SHS)	3,900.00	5/13/2010	12/1/2009	28,625.26	2,184.16	26,441.10
Siebert-Stock	PUT (APV) APPLE INC JUL 155 (100 SHS)	3,000.00	6/21/2010	12/10/2009	37,769.02	0.00	37,769.02
Siebert-Stock	PUT (GOP) GOOGLE INC JUN 480 (100 SHS)	3,000.00	6/21/2010	12/14/2009	34,469.11	0.00	34,469.11
Siebert-Stock	PUT (GOP) GOOGLE INC JUN 480 (100 SHS)	3,000.00	6/21/2010	12/23/2009	27,269.29	0.00	27,269.29
Siebert-Stock	PUT (GOP) GOOGLE INC JUN 480 (100 SHS)	1,100.00	6/21/2010	1/21/2010	11,648.85	0.00	11,648.85
Siebert-Stock	PUT (GOOG) GOOGLE INC JUN 19 10 \$420 (100 SHS)	1,900.00	6/21/2010	1/21/2010	20,120.74	0.00	20,120.74
Siebert-Stock	PUT (GOOG) GOOGLE INC JUN 19 10 \$420 (100 SHS)	3,000.00	6/21/2010	1/29/2010	17,969.77	0.00	17,969.77
Siebert-Stock	PUT (GOOG) GOOGLE INC JUN 19 10 \$400 (100 SHS)	3,000.00	6/21/2010	5/25/2010	10,769.69	0.00	10,769.69
Siebert-Stock	PUT (APV) APPLE INC JUL 155 (100 SHS)	1,100.00	7/19/2010	12/1/2009	8,073.79	0.00	8,073.79
Siebert-Stock	PUT (APV) APPLE INC JUL 155 (100 SHS)	3,000.00	7/19/2010	12/2/2009	23,369.39	0.00	23,369.39
TOTAL Option					2,148,122.71	1,360,809.07	787,313.64
Stock							
Siebert-Stock	TMB	244	4/17/2008	9/11/2009	17,661.49	17,661.49	0.00
Siebert-Stock	SPDR Gold Shares	1,100.00	8/12/2009	12/11/2009	123,964.61	103,425.41	20,539.20
Siebert-Stock	SPDR Gold Shares	900	8/12/2009	12/11/2009	101,428.29	84,620.79	16,807.50

CapGain-YTD thru Aug-10.TXT

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Capital Gains						
9/1/2009 through 8/31/2010						
Accounts	Security	Shares	Bought	Sold	Gross Proceeds	Cost Basis
Siebert-Stock	SPDR Gold Shares	700	8/27/2009	12/11/2009	78,888.67	65,318.26
Siebert-Stock	SPDR Gold Shares	1,100.00	8/27/2009	12/11/2009	123,975.61	102,642.98
Siebert-Stock	SPDR Gold Shares	1,200.00	8/27/2009	12/11/2009	135,246.12	111,962.40
Siebert-Stock	SPDR Gold Shares	900	5/5/2009	12/14/2009	98,943.91	79,527.78
Siebert-Stock	SPDR Gold Shares	2,000.00	8/27/2009	12/14/2009	219,875.34	186,604.00
Siebert-Stock	SPDR Gold Shares	1,100.00	5/5/2009	12/14/2009	120,928.14	97,200.62
Siebert-Stock	Boeing Company	3,300.00	12/14/2009	12/16/2009	183,666.68	246,297.05
Siebert-Stock	Boeing Company	200	11/24/2009	12/16/2009	11,131.31	14,935.09
Siebert-Stock	El du Pont and de Nemours & Co	2,300.00	11/12/2003	12/16/2009	73,951.38	93,111.67
Siebert-Stock	El du Pont and de Nemours & Co	1,500.00	8/7/2006	12/16/2009	48,229.16	60,343.36
Siebert-Stock	El du Pont and de Nemours & Co	1,200.00	8/31/2006	12/16/2009	38,583.33	48,275.92
Siebert-Stock	Boeing Company	1,500.00	12/1/2009	12/16/2009	83,505.85	111,953.20
Siebert-Stock	Semiconductor Manufacturing International Corp	100	3/21/2004	12/28/2009	296.80	1,440.33
Siebert-Stock	Semiconductor Manufacturing International Corp	600	3/21/2004	12/28/2009	1,786.75	8,642.00
Siebert-Stock	Semiconductor Manufacturing International Corp	300	3/21/2004	12/28/2009	893.38	4,312.00
Siebert-Stock	Semiconductor Manufacturing International Corp	2,800.00	3/24/2004	12/28/2009	8,338.18	38,313.33
Siebert-Stock	Semiconductor Manufacturing International Corp	200	3/24/2004	12/28/2009	595.58	2,730.67
Siebert-Stock	Semiconductor Manufacturing International Corp	1,000.00	9/22/2004	12/28/2009	2,977.92	12,967.41
Siebert-Stock	Semiconductor Manufacturing International Corp	5,000.00	12/1/2009	12/29/2009	277,232.87	373,177.35
Siebert-Stock	Boeing Company	1,300.00	10/3/2003	12/29/2009	42,796.15	52,121.33
Siebert-Stock	El du Pont and de Nemours & Co	100	8/31/2006	12/29/2009	3,292.01	4,022.99
Siebert-Stock	El du Pont and de Nemours & Co	1,600.00	10/3/2003	12/29/2009	52,665.31	64,149.33
Siebert-Stock	El du Pont and de Nemours & Co	3,000.00	10/2/2003	1/20/2010	102,421.92	120,250.00
Siebert-Stock	El du Pont and de Nemours & Co	100	10/3/2003	1/20/2010	3,414.06	4,009.33
Siebert-Stock	Texas Instruments Inc	1,000.00	8/7/2004	1/20/2010	24,909.68	20,153.33
Siebert-Stock	PetroChina Co Ltd	100	1/22/2009	3/25/2010	11,395.52	2,961.84
Siebert-Stock	PetroChina Co Ltd	200	1/22/2009	3/25/2010	22,775.05	16,867.35
Siebert-Stock	PetroChina Co Ltd	300	1/22/2009	3/25/2010	34,174.56	25,301.03
Siebert-Stock	PetroChina Co Ltd	200	8/8/2004	3/25/2010	22,777.05	9,754.67
Siebert-Stock	PetroChina Co Ltd	400	1/22/2009	3/25/2010	45,554.10	33,734.70
Siebert-Stock	PetroChina Co Ltd	900	8/8/2004	3/25/2010	102,507.49	43,896.00
Siebert-Stock	PetroChina Co Ltd	200	8/8/2004	3/25/2010	22,793.04	9,754.67
Siebert-Stock	PetroChina Co Ltd	700	8/8/2004	3/25/2010	79,775.65	34,134.33
Siebert-Stock	Whole Foods Market Inc	100	5/15/2007	3/25/2010	3,561.75	4,256.01
Siebert-Stock	Whole Foods Market Inc	100	5/15/2007	3/25/2010	3,559.75	4,256.01
Siebert-Stock	Whole Foods Market Inc	800	5/23/2007	3/25/2010	28,478.04	34,010.92
Siebert-Stock	Whole Foods Market Inc	1,900.00	5/23/2007	3/25/2010	67,677.14	80,775.94
Siebert-Stock	Whole Foods Market Inc	100	5/23/2007	3/25/2010	3,560.80	4,251.37
Siebert-Stock	Whole Foods Market Inc	1,900.00	8/12/2008	3/25/2010	67,655.25	64,947.96
Siebert-Stock	Whole Foods Market Inc	100	9/18/2008	3/25/2010	3,560.80	3,418.38
Siebert-Stock	PHH Corp	300	2/6/2005	5/13/2010	6,769.43	6,625.85
Siebert-Stock	PHH Corp	45	2/25/2006	5/13/2010	1,015.42	993.88
Siebert-Stock	PHH Corp	90	3/10/2006	5/13/2010	2,030.83	1,967.75
Siebert-Stock	PHH Corp	5	5/9/2006	5/13/2010	112.82	110.43
Siebert-Stock	PHH Corp	5	6/29/2006	5/13/2010	112.82	110.43
Siebert-Stock	PHH Corp					2.39
Siebert-Stock	PHH Corp					2.39

Capital Gains

9/1/2009 through 8/31/2010

Account	Security	Shares	Acquired	Sold	Gross Proceeds	Cost Basis	Realized Gain/Loss
Siebert-Stock	PHH Corp	5	8/18/2006	5/13/2010	112.82	110.43	2.39
Siebert-Stock	China Petroleum & Chemical	100	1/22/2009	5/13/2010	7,850.66	6,603.54	1,247.12
Siebert-Stock	China Petroleum & Chemical	100	1/22/2009	5/13/2010	7,857.66	6,603.54	1,254.12
Siebert-Stock	China Petroleum & Chemical	100	1/22/2009	5/13/2010	7,858.66	6,603.54	1,255.12
Siebert-Stock	China Petroleum & Chemical	100	1/22/2009	5/13/2010	7,866.66	6,603.54	1,263.12
Siebert-Stock	China Petroleum & Chemical	200	1/22/2009	5/13/2010	15,705.33	13,207.08	2,498.25
Siebert-Stock	China Petroleum & Chemical	200	1/22/2009	5/13/2010	15,707.33	13,207.08	2,500.25
Siebert-Stock	China Petroleum & Chemical	200	1/22/2009	5/13/2010	15,731.33	13,207.08	2,524.25
Siebert-Stock	China Petroleum & Chemical	200	1/22/2009	5/13/2010	15,737.33	13,207.08	2,530.25
Siebert-Stock	China Petroleum & Chemical	200	1/22/2009	5/13/2010	15,741.33	13,207.08	2,534.25
Siebert-Stock	China Petroleum & Chemical	232	1/22/2009	5/13/2010	18,208.91	15,320.21	2,888.70
Siebert-Stock	China Petroleum & Chemical	270	1/22/2009	5/13/2010	21,248.10	17,829.56	3,418.54
Siebert-Stock	China Petroleum & Chemical	298	1/22/2009	5/13/2010	23,457.56	19,678.55	3,779.01
Siebert-Stock	China Petroleum & Chemical	300	1/22/2009	5/13/2010	23,588.00	19,810.62	3,777.38
Siebert-Stock	China Petroleum & Chemical	400	1/22/2009	5/13/2010	31,442.66	26,414.16	5,028.50
Siebert-Stock	China Petroleum & Chemical	400	1/22/2009	5/13/2010	31,470.66	26,414.16	5,056.50
Siebert-Stock	China Petroleum & Chemical	500	1/22/2009	5/13/2010	39,258.33	33,017.70	6,240.63
Siebert-Stock	China Petroleum & Chemical	1,200.00	1/22/2009	5/13/2010	94,301.36	79,242.49	15,058.87
Siebert-Stock	Whole Foods Market Inc	1,600.00	9/18/2008	5/13/2010	68,548.84	54,694.01	13,854.83
TOTAL Stock					2,973,141.34	2,902,772.23	70,369.11
Distribution of LTCapital Gain-Mutual Funds					14,394.70		14,394.70
Distribution of STCapital Gain-Mutual Funds					1,949.82		1,949.82
Loss on Transfer of Campton Hall					2,530,000.00	6,829,788.03	(4,279,788.03)
Gain on Sale of RPV					3,483,226.79	2,848,832.26	564,374.53
Total Other					5,979,571.31	9,678,640.29	(3,699,068.98)
OVERALL TOTAL					11,100,435.36	13,942,221.59	(2,841,386.23)