Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2009

For calendar year 2009, or tax year beginning OCT 1, 2009 , and ending SEP 30, 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 THE JAMES H. AND ALICE TEUBERT CHARITABLE TRUST	**A Employer identification number** 55-6101813
	Number and street (or P O box number if mail is not delivered to street address) P.O. BOX 2131 Room/suite	**B** Telephone number (304)525-6337
	City or town, state, and ZIP code HUNTINGTON, WV 25722	**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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 19,874,845.

J Accounting method ☐ Cash ☒ Accrual
☐ Other (specify)
(Part I, column (d) must be on cash basis.)

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

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

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)
Revenue	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	347.	347.		STATEMENT 1
	4	Dividends and interest from securities	385,892.	385,892.		STATEMENT 2
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	125,860.			
	b	Gross sales price for all assets on line 6a 9,782,713.				
	7	Capital gain net income (from Part IV, line 2)		125,860.		
	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	512,099.	512,099.		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	73,500.	7,350.		66,150.
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits	3,300.	330.		2,970.
	16a	Legal fees				
	b	Accounting fees STMT 3	7,500.	6,500.		1,000.
	c	Other professional fees STMT 4	107,735.	107,735.		0.
	17	Interest				
	18	Taxes STMT 5	12,168.	548.		3,838.
	19	Depreciation and depletion	104.	0.		
	20	Occupancy	5,160.	0.		0.
	21	Travel, conferences, and meetings	2,570.	0.		2,570.
	22	Printing and publications				
	23	Other expenses STMT 6	10,508.	535.		9,973.
	24	**Total operating and administrative expenses.** Add lines 13 through 23	222,545.	122,998.		86,501.
	25	Contributions, gifts, grants paid	553,069.			553,069.
	26	**Total expenses and disbursements.** Add lines 24 and 25	775,614.	122,998.		639,570.
	27	Subtract line 26 from line 12.				
	a	Excess of revenue over expenses and disbursements	-263,515.			
	b	**Net investment income** (if negative, enter -0-)		389,101.		
	c	**Adjusted net income** (if negative, enter -0-)			N/A	

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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		1,426.	599.	599.
	2	Savings and temporary cash investments		706,903.	976,757.	976,757.
	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		29,017.	56,418.	56,418.
	10a	Investments - U S and state government obligations	STMT 8	613,259.	825,077.	825,077.
	b	Investments - corporate stock				
	c	Investments - corporate bonds	STMT 9	4,759,159.	721,387.	721,387.
	11	Investments - land, buildings, and equipment basis ▶				
		Less accumulated depreciation ▶				
	12	Investments - mortgage loans				
	13	Investments - other	STMT 10	12,675,412.	17,265,015.	17,265,015.
	14	Land, buildings, and equipment basis ▶	13,601.			
		Less accumulated depreciation ▶	12,942.	763.	659.	659.
	15	Other assets (describe ▶ STATEMENT 11)		31,935.	28,933.	28,933.
	16	**Total assets** (to be completed by all filers)		18,817,874.	19,874,845.	19,874,845.
Liabilities	17	Accounts payable and accrued expenses		17,949.	17,952.	
	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)		17,949.	17,952.	
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		9,110,248.	10,167,216.	
	25	Temporarily restricted				
	26	Permanently restricted		9,689,677.	9,689,677.	
		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**		18,799,925.	19,856,893.	
	31	**Total liabilities and net assets/fund balances**		18,817,874.	19,874,845.	

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	18,799,925.
2	Enter amount from Part I, line 27a	2	-263,515.
3	Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 7	3	1,320,483.
4	Add lines 1, 2, and 3	4	19,856,893.
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	19,856,893.

Part IV Capital Gains and Losses for Tax on Investment Income

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

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	9,782,713.		9,656,853.	125,860.
b				
c				
d				
e				

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

	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a				125,860.
b				
c				
d				
e				

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } 2 125,860.

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	1,160,101.	17,180,857.	.067523
2007	1,212,437.	21,313,796.	.056885
2006	1,155,778.	22,548,166.	.051258
2005	1,250,357.	20,946,392.	.059693
2004	1,231,130.	19,854,396.	.062008

2	Total of line 1, column (d)	2	.297367
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	.059473
4	Enter the net value of noncharitable-use assets for 2009 from Part X, line 5	4	18,998,476.
5	Multiply line 4 by line 3	5	1,129,896.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,891.
7	Add lines 5 and 6	7	1,133,787.
8	Enter qualifying distributions from Part XII, line 4	8	639,570.

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	7,782.
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	7,782.
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	7,782.
6	Credits/Payments			
a	2009 estimated tax payments and 2008 overpayment credited to 2009	6a 61,830.		
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	61,830.
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	54,048.
11	Enter the amount of line 10 to be **Credited to 2010 estimated tax** ▶ 54,048. **Refunded** ▶		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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?	1b		X
	If the answer is "Yes" to **1a** *or* **1b**, *attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ $ 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*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV.*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ NONE			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2009 or the taxable year beginning in 2009 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

			Yes	No
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 ▶ JIMELLE BOWEN, EXECUTIVE DIRECTOR Telephone no ▶ (304) 525-6337

Located at ▶ HUNTINGTON, WV ZIP+4 ▶ 25701

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)?	N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here	▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2009?		1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))				
a	At the end of tax year 2009, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2009?	☐ Yes ☒ No			
	If "Yes," list the years ▶ ______, ______, ______, ______				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see 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 (No)

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
SEE STATEMENT 12		73,500.	3,300.	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

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 N/A	
2	
3	
4	

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	18,322,870.
b	Average of monthly cash balances			1b	883,933.
c	Fair market value of all other assets			1c	80,990.
d	**Total** (add lines 1a, b, and c)			1d	19,287,793.
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	19,287,793.
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)			4	289,317.
5	**Net value of noncharitable-use assets** Subtract line 4 from line 3 Enter here and on Part V, line 4			5	18,998,476.
6	**Minimum investment return** Enter 5% of line 5			6	949,924.

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	949,924.
2a	Tax on investment income for 2009 from Part VI, line 5	2a	7,782.		
b	Income tax for 2009 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	7,782.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	942,142.
4	Recoveries of amounts treated as qualifying distributions			4	0.
5	Add lines 3 and 4			5	942,142.
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	942,142.

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	639,570.
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	639,570.
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	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	639,570.

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					942,142.
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	258,824.				
b From 2005	257,946.				
c From 2006	56,876.				
d From 2007	179,609.				
e From 2008	308,918.				
f Total of lines 3a through e		1,062,173.			
4 Qualifying distributions for 2009 from Part XII, line 4 ▶ $	639,570.				
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					639,570.
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).)		302,572.			302,572.
6 Enter the net total of each column as indicated below:					
a Corpus Add lines 3f, 4c, and 4e Subtract line 5		759,601.			
b Prior years' undistributed income Subtract line 4b from line 2b			0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed			0.		
d Subtract line 6c from line 6b Taxable amount - see instructions			0.		
e Undistributed income for 2008 Subtract line 4a from line 2a Taxable amount - see instr				0.	
f Undistributed income for 2009. Subtract lines 4d and 5 from line 1 This amount must be distributed in 2010					0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)		0.			
8 Excess distributions carryover from 2004 not applied on line 5 or line 7		0.			
9 Excess distributions carryover to 2010. Subtract lines 7 and 8 from line 6a		759,601.			
10 Analysis of line 9:					
a Excess from 2005	214,198.				
b Excess from 2006	56,876.				
c Excess from 2007	179,609.				
d Excess from 2008	308,918.				
e Excess from 2009					

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) N/A

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

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

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

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

1 **Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

JIMELLE BOWEN, EXECUTIVE DIRECTOR,C/O THE JAMES H. AND ALICE, 304-525-6337
P.O. BOX 2131, HUNTINGTON, WV 25722

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

REQUEST APPLICATION

c Any submission deadlines.

OCTOBER 1ST FOR NOVEMBER AWARDS: MARCH 1ST FOR APRIL AWARDS

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

TAX EXEMPT ORGANIZATION WHICH PROVIDES AID TO THE BLIND IN CABELL AND WAYNE COUNTIES IN WEST VIRGINIA.

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 13				
Total ▶ 3a				553,069.
b *Approved for future payment*				
NONE				
Total ▶ 3b				0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		
	(a) Business code	(b) Amount	(c) Exclu-sion code	(d) Amount	(e) Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	347.	
4 Dividends and interest from securities			14	385,892.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory					125,860.
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)		0.		386,239.	125,860.

13 Total Add line 12, columns (b), (d), and (e) 13 512,099.

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

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes).
8	INCOME GENERATED FOR CONTRIBUTIONS TO ORGANIZATIONS TO AID THE BLIND

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

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

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

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

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		

Sign Here

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

✓ 2/11/11 Chairman

Signature of officer or trustee | Date | Title

Paid Preparer's Use Only

Preparer's signature CPA | Date 2/10/11 | Check if self-employed ☐ | Preparer's identifying number

Firm's name (or yours if self-employed), address, and ZIP code
HESS, STEWART & CAMPBELL, PLLC
P.O. BOX 1060
HUNTINGTON, WV 25713-1060

EIN

Phone no (304) 523-6464

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

SOURCE	AMOUNT
JPMORGAN CHASE BANK	347.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	347.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
SECURITIES	385,892.	0.	385,892.
TOTAL TO FM 990-PF, PART I, LN 4	385,892.	0.	385,892.

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING/AUDITING FEES	7,500.	6,500.		1,000.
TO FORM 990-PF, PG 1, LN 16B	7,500.	6,500.		1,000.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FIDUCIARY TRUSTEE FEES	107,735.	107,735.		0.
TO FORM 990-PF, PG 1, LN 16C	107,735.	107,735.		0.

FORM 990-PF TAXES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PAYROLL TAX	4,265.	427.		3,838.
EXCISE TAX	7,782.	0.		0.
AD VALOREM & PROPERTY TAX	121.	121.		0.
TO FORM 990-PF, PG 1, LN 18	12,168.	548.		3,838.

FORM 990-PF OTHER EXPENSES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INSURANCE	5,004.	500.		4,504.
TELEPHONE	2,197.	0.		2,197.
OFFICE EXPENSE	1,151.	0.		1,151.
POSTAGE	241.	0.		241.
DUES & SUBSCRIPTIONS	795.	0.		795.
MISCELLANEOUS	775.	0.		775.
WORKERS COMPENSATION	345.	35.		310.
TO FORM 990-PF, PG 1, LN 23	10,508.	535.		9,973.

FORM 990-PF OTHER INCREASES IN NET ASSETS OR FUND BALANCES STATEMENT 7

DESCRIPTION	AMOUNT
UNREALIZED GAIN/LOSS ON INVESTMENTS	1,320,483.
TOTAL TO FORM 990-PF, PART III, LINE 3	1,320,483.

FORM 990-PF U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS STATEMENT 8

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
US TREASURY NOTES & BONDS	X		825,077.	825,077.
TOTAL U.S. GOVERNMENT OBLIGATIONS			825,077.	825,077.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			825,077.	825,077.

FORM 990-PF CORPORATE BONDS STATEMENT 9

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS	721,387.	721,387.
TOTAL TO FORM 990-PF, PART II, LINE 10C	721,387.	721,387.

FORM 990-PF OTHER INVESTMENTS STATEMENT 10

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MUTUAL FUNDS	FMV	13,152,566.	13,152,566.
MINERAL INTEREST PARTNERSHIPS	FMV	4,598.	4,598.
US GOV'T AGENCY OBLIGATIONS	FMV	951,851.	951,851.
STRUCTURED INVESTMENTS	COST	3,156,000.	3,156,000.
TOTAL TO FORM 990-PF, PART II, LINE 13		17,265,015.	17,265,015.

FORM 990-PF OTHER ASSETS STATEMENT 11

DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
INTEREST & DIVIDENDS RECEIVABLE	31,935.	28,933.	28,933.
TO FORM 990-PF, PART II, LINE 15	31,935.	28,933.	28,933.

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 12

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
DR. MATTHEW A ROHRBACH 5170 US ROUTE 60 EAST HUNTINGTON, WV 25705	TRUSTEE 0.00	0.	0.	0.
SUE RICHARDSON 501 5TH AVENUE HUNTINGTON, WV 25701	CONSULTANT 0.00	0.	0.	0.
DR. MICHAEL A. FIERY 1508 6TH AVENUE HUNTINGTON, WV 25701	TRUSTEE 0.00	0.	0.	0.
DAVID H. LUNSFORD P.O. BOX 2141 HUNTINGTON, WV 25722	TRUSTEE 0.00	0.	0.	0.
MICHAEL NUCE 8120 OHIO RIVER ROAD LESAGE, WV 25537	TRUSTEE 0.00	0.	0.	0.
GRANT MCGUIRE P.O. BOX 1835 HUNTINGTON, WV 25701	CHAIRMAN 0.00	0.	0.	0.
BETTY BRUCE HUNTINGTON, WV 25701	TRUSTEE 0.00	0.	0.	0.
JIMELLE BOWEN P.O. BOX 2131 HUNTINGTON, WV 25722	EXECUTIVE DIRECTOR 30.00	73,500.	3,300.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		73,500.	3,300.	0.

FORM 990-PF GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR STATEMENT 13

RECIPIENT NAME AND ADDRESS	RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT	RECIPIENT STATUS	AMOUNT
AMERICAN FOUNDATION FOR THE BLIND 2 PENN PLAZA, SUITE 1102 NEW YORK, NY 10121	AID TO THE BLIND		100,000.
CABELL COUNTY SCHOOLS PO BOX 446 HUNTINGTON, WV 25701	COURT STIPULATED - DUKE RIDGELY GOLF TOURNAMENT		100.
CABELL WAYNE ASSOCIATION OF THE BLIND 38 WASHINGTON AVE HUNTINGTON, WV 25701	AID TO THE BLIND		403,000.
WV DISTRICT 1 - LITTLE LEAGUE 104 TENTH AVE HUNTINGTON, WV 25701	COURT STIPULATED		5,000.
WV SCHOOL FOR THE BLIND 301 EAST MAIN ST. ROMNEY, WV 25757	AID TO THE BLIND - SPACE CAMP		17,601.
WVU FOUNDATION PO BOX 1650 MORGANTOWN, WV 26505	AID TO THE BLIND - CVRP CLINIC & LENDING LIBRARY		20,310.
YMCA 935 TENTH AVE. HUNTINGTON, WV 25701	AID TO THE BLIND - WELLNESS PROGRAM		7,058.
TOTAL TO FORM 990-PF, PART XV, LINE 3A			553,069.

55-6101813
10/01/2009 - 09/30/2010
Sorted: General - GL asset acct.

THE JAMES H. AND ALICE TEUBERT [7840]

Depreciation Expense

Financial

10/01/2009 - 09/30/2010

11/30/2010
5:36:32PM

System No.	S	Description	Date In Service	Method / Conv.	Life	Cost / Other Basis	Bus./ Inv. %	Sec. 179/ Bonus	Salvage/ Basis Adj.	Beg. Accum. Depreciation	Current Depreciation	Total Depreciation
170												
1		2 Woodmark Cł	9/8/1988	SL / N/A	10 0000	556.00	100 0000	0 00	0.00	556.00	0.00	556 00
2		NAT MR AIRY D	9/8/1988	SL / N/A	10.0000	789.00	100 0000	0 00	0.00	789.00	0 00	789.00
3		NAT MT AIRY C	9/8/1988	SL / N/A	10 0000	798 50	100 0000	0 00	0 00	798 50	0.00	798.50
5		CHAIR	9/22/1988	SL / N/A	10 0000	249 50	100.0000	0 00	0 00	249 50	0 00	249 50
6		FILE CABINET	9/1/1988	SL / N/A	10 0000	105 49	100.0000	0 00	0 00	105.49	0 00	105 49
7		CONFERENCE	10/7/1988	SL / N/A	10 0000	698 00	100.0000	0 00	0 00	698.00	0.00	698 00
8		8 CHAIRS	10/7/1988	SL / N/A	10.0000	1,680.00	100 0000	0 00	0 00	1,680 00	0.00	1,680.00
9		PICTURE	1/18/1988	SL / N/A	10.0000	71.02	100 0000	0.00	0.00	71 02	0.00	71 02
10		COMPUTER	3/12/1990	SL / N/A	10.0000	3,465 00	100.0000	0.00	0 00	3,465 00	0.00	3,465 00
11		SONY CAMCOF	5/14/1991	SL / N/A	10.0000	949 93	100.0000	0.00	0.00	949.93	0.00	949.93
12		MAGNOVOX 19	5/14/1991	SL / N/A	10 0000	204 99	100.0000	0.00	0 00	204 99	0 00	204.99
13		VCR MAGNOVC	5/14/1991	SL / N/A	10.0000	199 99	100 0000	0 00	0.00	199 99	0.00	199.99
14		SONY CASSET	5/8/1991	SL / N/A	10 0000	59.00	100 0000	0.00	0.00	59.00	0.00	59.00
15		FILE CABINET -	2/5/1992	SL / N/A	10.0000	136.74	100 0000	0.00	0.00	136.74	0.00	136.74
16		FAX MACHINE	10/26/1995	SL / N/A	10.0000	465.00	100.0000	0 00	0.00	465.00	0.00	465 00
17		Computer	2/13/1997	SL / N/A	10 0000	2,063.00	100.0000	0 00	0.00	2,063 00	0 00	2,063.00
18		SCANNER	5/13/1999	SL / N/A	10 0000	70.00	100.0000	0 00	0 00	70 00	0.00	70 00
19		COMPUTER	2/8/2007	SL / N/A	10.0000	1,039.65	100 0000	0 00	0.00	277 25	103 97	381.22
Subtotal: 170						13,600.81		0.00	0.00	12,838.41	103.97	12,942.38
Less dispositions and exchanges:						0 00		0 00	0 00	0.00	0 00	0.00
Net for: 170						13,600.81		0.00	0.00	12,838.41	103.97	12,942.38
Subtotal:						13,600.81		0.00	0.00	12,838.41	103.97	12,942.38
Less dispositions and exchanges:						0 00		0.00	0.00	0.00	0.00	0.00
Grand Totals:						13,600.81		0.00	0.00	12,838.41	103.97	12,942.38

DATE	DESCRIPTION		INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST	REALIZED GAIN/LOSS
	INVESTMENT SALES AND MATURITIES					
	BARCLAYS BREN SPX	10/15/09				
10/21/09	MATURED 100,000 PAR VALUE			97,561 90	100,000 00-	2,438 10-
	BARCLAYS BREN SPX	10/15/09				
	TRADE DATE 10/15/09					
	MATURED THROUGH MATURED					
	MATURITY PROCEEDS					
	SUB-ACCOUNT 9371838300					
	CREDIT SUISSE AE BREN SPX	10/06/09				
10/06/09	MATURED 100,000 PAR VALUE			92,138.00	100,000 00-	7,862 00-
	CREDIT SUISSE AE BREN SPX	10/06/09				
	TRADE DATE 10/06/09					
	100,000 PAR VALUE AT 92 138 %					
	SUB-ACCOUNT 9371838300					

DATE	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST	REALIZED GAIN/LOSS
	FHLMC MULTI 2519-AH 5.000% 11/15/17				
10/15/09	PAID DOWN 1,000 44 PAR VALUE FHLMC MULTI 2519-AH 5 000% 11/15/17 TRADE DATE 10/15/09 SUB-ACCOUNT 9371838305		1,000 44	959.48-	40 96
	FHLMC MULTI 2649-OL 4 500% 4/15/26				
10/15/09	PAID DOWN 1,083 PAR VALUE FHLMC MULTI 2649-OL 4 500% 4/15/26 TRADE DATE 10/15/09 SUB-ACCOUNT 9371838305		1,083 00	1,053 56-	29.44
	FHLMC MULTI 2670-HD 5 000% 7/15/17				
10/27/09	SOLD 40,000 PAR VALUE FHLMC MULTI 2670-HD 5 000% 7/15/17 TRADE DATE 10/22/09 SOLD THROUGH FIRST SOUTHWEST COMPANY 40,000 PAR VALUE AT 105 26562869 % SUB-ACCOUNT 9371838305		42,106 24	39,100 00-	3,006 24
	FHLMC MULTI 2785-VD 4 500% 5/15/15				
10/15/09	PAID DOWN 148 56 PAR VALUE FHLMC MULTI 2785-VD 4.500% 5/15/15 TRADE DATE 10/15/09 SUB-ACCOUNT 9371838305		148 56	144 47-	4.09
	FHLMC MULTI 2897-VH 5.000% 12/15/15				
10/15/09	PAID DOWN 289 49 PAR VALUE FHLMC MULTI 2897-VH 5.000% 12/15/15 TRADE DATE 10/15/09 SUB-ACCOUNT 9371838305		289 49	288 59-	0.90

DATE	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST	REALIZED GAIN/LOSS
	FNMA POOL #567819A 6.000% 7/01/14				
10/26/09	PAID DOWN 334 84 PAR VALUE FNMA POOL #567819A 6 000% 7/01/14 TRADE DATE 10/25/09 SEPTEMBER FNMA DUE 10/25/09 SUB-ACCOUNT 9371838305		334 84	339.44-	4 60-
	FNMA POOL #786093A 5.500% 7/01/19				
10/26/09	PAID DOWN 1,650.69 PAR VALUE FNMA POOL #786093A 5 500% 7/01/19 TRADE DATE 10/25/09 SEPTEMBER FNMA DUE 10/25/09 SUB-ACCOUNT 9371838305		1,650 69	1,659 46-	8 77-
	FNMA POOL #851329A 5.500% 2/01/36				
10/26/09	PAID DOWN 104.81 PAR VALUE FNMA POOL #851329A 5 500% 2/01/36 TRADE DATE 10/25/09 SEPTEMBER FNMA DUE 10/25/09 SUB-ACCOUNT 9371838305		104 81	103 48-	1 33
	FNMA REMIC 03-79-NM 4 000% 5/25/22				
10/26/09	PAID DOWN 746.96 PAR VALUE FNMA REMIC 03-79-NM 4.000% 5/25/22 TRADE DATE 10/25/09 SUB-ACCOUNT 9371838305		746 96	706 81-	40.15

DATE	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST	REALIZED GAIN/LOSS
	ISHARES TR RUSSELL 2000 INDEX FD				
10/27/09	SOLD 3,175 ISHARES TR RUSSELL 2000 INDEX FD TRADE DATE 10/22/09 SOLD THROUGH MORGAN STANLEY & CO, NEW YORK PAID $95.25 BROKERAGE 3,175 SHARES AT $61 3183 SUB-ACCOUNT 9371838300		194,585 35	174,718 98-	19,866 37
	MORGAN STANLEY D W 6 750% 4/15/11				
10/16/09	SOLD 20,000 PAR VALUE MORGAN STANLEY D W 6 750% 4/15/11 TRADE DATE 10/07/09 SOLD THROUGH MORGAN STANLEY & CO, NEW YORK 20,000 PAR VALUE AT 106.68 % SUB-ACCOUNT 9371838305		21,336.00	21,337 80-	1 80-
1					
	JPMORGAN DEPOSIT SWEEP PREMIER				
	TOTAL SALES OF JPMORGAN DEPOSIT SWEEP PREMIER FOR PERIOD 10/01/09 TO 10/31/09		460,451.50	460,451.50-	0.00
	TOTAL INVESTMENT SALES AND MATURITIES		1,027,029.04	1,016,817.86-	10,211.18

TRADE ACTIVITY

Note L indicates Long Term Realized Gain/Loss S indicates Short Term Realized Gain/Loss
O Indicates Ordinary Income Realized Gain
* Settled transaction was initiated in prior statement period and settled in current statement period

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
11/6	11/12	Sale	**SPDR TRUST SERIES 1** @ 106 20 100,890 00 BROKERAGE 28 50 TAX &/OR SEC 2 60 UNIVERSAL NETWORK EXCHANGE INC TRADE DATE 11/06/09	(950 000)	106 167	100,858 90	(120,997 32)	(20,138.42) L
11/16	11/16	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(320.770)	100 00	320 77	(326 93)	(6 16) L
11/16	11/16	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(529 870)	100 00	529 87	(526 02)	3 85 L
11/16	11/16	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6 50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(667 700)	100 00	667 70	(687 31)	(19 61) L
11/16	11/16	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(959 490)	100.00	959.49	(959 94)	(0.45) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
11/16	11/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(271 180)	100 00	271 18	(279 32)	(8 14) L
11/16	11/16	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(233,900)	100 00	233 90	(238 87)	(4 97) L
11/16	11/16	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(282 150)	100 00	282 15	(293 08)	(10 93) L
11/16	11/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(1,077 280)	100 00	1,077 28	(1,047 99)	29 29 L
11/16	11/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(149 120)	100 00	149 12	(145 02)	4 10 L
11/16	11/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2897 CL VH 5 00% DUE 12/15/2015 PAYMENT A/C PRINCIPAL	(290 700)	100 00	290 70	(289 79)	0 91 L
11/16	11/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL	(1,325 470)	100 00	1,325 47	(1,326 30)	(0 83) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
11/16	11/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL	(4,759 510)	100 00	4,759 51	(4,798 93)	(39 42) L
11/13	11/16	Sale	**WAL-MART STORES** NOTES 4 1/8% FEB 15 2011 DTD 2/18/2004 @ 104 041 JPMORGAN CLEARING CORP TRADE DATE 11/13/09 FACE VALUE 10,000 00	(10,000 000)	104 00	10,404 10	(10,062 90)	341.20 L
11/13	11/16	Sale	**JPMORGAN INTREPID AMERICA FUND** SELECT SHARE CLASS FUND 1206 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 20.28 TRADE DATE 11/13/09	(1,661 593)	20 28	33,697 11	(38,881 28)	(5,184 17) L
11/12	11/17	Sale	**DUKE ENERGY CORP** 7 3/8% D MAR 1 2010 DTD 3/10/2000 @ 101.96 JPMORGAN CLEARING CORP TRADE DATE 11/12/09 FACE VALUE 15,000 00	(15,000 000)	102 00	15,294.00	(16,106 85)	(812 85) L
11/13	11/18	Sale	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2897 CL VH 5.00% DUE 12/15/2015 @ 105 875 BAIRD (ROBERT W) & CO INCORPORAT TRADE DATE 11/13/09 FACE VALUE 40,000.00	(24,759.090)	105.90	26,213.69	(24,681 70)	1,531 99 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
11/18	11/19	Sale	**JPMORGAN INTREPID GROWTH FUND** SELECT SHARE CLASS FUND 1202 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 19 60 TRADE DATE 11/18/09	(11,838 520)	19 60	232,035 00	(256,540 73)	(24,505 73) L
11/18	11/19	Sale	**EATON VANCE SPL INVT TR** VALUE FD CL I	(10,560 012)	16 84	177,830 60	(207,293 03)	(29,462 43) L
11/18	11/19	Sale	**THIRD AVENUE VALUE FUND**	(3,556 664)	45 53	161,934.89	(175,592 50)	(13,657 61) L
11/25	11/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(76 780)	100 00	76 78	(77 45)	(0 67) L
11/25	11/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(336 690)	100 00	336 69	(341 32)	(4 63) L
11/25	11/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(933 970)	100 00	933 97	(938 93)	(4 96) L
11/25	11/25	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(1,080 400)	100 00	1,080 40	(1,066 73)	13 67 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
11/25	11/25	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(161 990)	100 00	161 99	(164 42)	(2 43) L
11/25	11/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(796 810)	100 00	796 81	(753 98)	42 83 L
11/25	11/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(390 200)	100 00	390 20	(394 10)	(3.90) L
11/25	11/25	Redemption	**JPM 1Y GSCI WTI MP QRN MD 08/19/10** MARKET PART NOTE LKD TO S&P GSCI CRUDE OIL INDEX EXCESS RET, CPN MAX 11% P A , CAP PERFOM DD 08/07/09, STRIKE 533 6104 ENTIRE ISSUE CALLED 11/23/2009 @ 106 89503	(200,000 000)	106 90	213,790 06	(200,000 00)	13,790 06 S
12/15	12/15	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(321 420)	100 00	321 42	(327 60)	(6 18) L
12/15	12/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6 50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(1,149 250)	100,00	1,149.25	(1,183.01)	(33.76) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
12/15	12/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(1,946 570)	100 00	1,946 57	(1,947 48)	(0 91) L
12/15	12/15	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(428 130)	100 00	428 13	(444 72)	(16 59) L
12/15	12/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(341 840)	100 00	341 84	(352 10)	(10 26) L
12/15	12/15	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(279 380)	100 00	279 38	(285 32)	(5 94) L
12/16	12/16	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL AS OF 12/15/09	(540 520)	100 00	540 52	(536 59)	3 93 L
12/16	12/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL AS OF 12/15/09	(1,318 700)	100 00	1,318 70	(1,319 52)	(0 82) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
12/16	12/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL AS OF 12/15/09	(2,863 550)	100 00	2,863 55	(2,887 26)	(23 71) L
12/16	12/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL AS OF 12/15/09	(1,071 600)	100 00	1,071.60	(1,042 47)	29 13 L
12/16	12/16	LT Capital Gain Distribution	**JPMORGAN STRATEGIC INCOME** OPPORTUNITIES FUND 3844 LONG TERM CAPITAL GAINS @ 0 00499	47 301 315	0 005	236 03		
12/17	12/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL AS OF 11/16/09	(804 020)	100 00	804 02	(780 40)	23 62 L
12/17	12/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5 00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL AS OF 11/16/09	(867 850)	100 00	867 85	(832.32)	35 53 L
12/17	12/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5 00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL AS OF 12/15/09	(1,031 700)	100 00	1,031.70	(989 47)	42 23 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
12/17	12/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL AS OF 12/15/09	(149 680)	100 00	149 68	(145 56)	4 12 L
12/21	12/21	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL AS OF 12/15/09	(873 920)	100 00	873 92	(848 25)	25 67 L
12/28	12/28	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(3,796 660)	100 00	3,796 66	(3,829 88)	(33 22) L
12/28	12/28	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(338 560)	100 00	338 56	(343 22)	(4 66) L
12/28	12/28	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(339 870)	100 00	339 87	(341 68)	(1 81) L
12/28	12/28	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(684 440)	100 00	684 44	(675 78)	8 66 L
12/28	12/28	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(101 050)	100 00	101 05	(102 57)	(1 52) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
12/28	12/28	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(813 420)	100 00	813 42	(769 70)	43 72 L
12/28	12/28	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(392 150)	100 00	392 15	(396 07)	(3 92) L
12/30	12/30	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 1993-255 CL-D 6 55% DUE 12/25/2023 PAYMENT A/C PRINCIPAL AS OF 11/25/09	(4,094 100)	100 00	4,094 10	(4,206 69)	(112 59) L
12/30	12/30	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 1993-255 CL-D 6 55% DUE 12/25/2023 PAYMENT A/C PRINCIPAL AS OF 12/28/09	(13,000 500)	100 00	13,000 50	(13,358 01)	(357 51) L
1/15	1/15	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(323 240)	100 00	323 24	(329 45)	(6 21) L
1/15	1/15	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(1,419 180)	100 00	1,419 18	(1,408 86)	10 32 L
1/15	1/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6.50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(248 620)	100.00	248 62	(255 92)	(7.30) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
1/15	1/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(48 650)	100 00	48 65	(48 67)	(0 02) L
1/15	1/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(568 630)	100 00	568 63	(585 69)	(17 06) L
1/15	1/15	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(136 180)	100 00	136 18	(139 07)	(2 89) L
1/15	1/15	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(403 780)	100 00	403 78	(419 43)	(15 65) L
1/15	1/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(1,065 940)	100 00	1,065 94	(1,036 96)	28 98 L
1/15	1/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(150 240)	100 00	150 24	(146 11)	4 13 L
1/15	1/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL	(1,311 980)	100 00	1,311 98	(1,312 80)	(0 82) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
1/15	1/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL	(3,920 360)	100 00	3,920 36	(3,952 83)	(32 47) L
1/15	1/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5 00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL	(1,489 740)	100 00	1,489 74	(1,428 75)	60 99 L
1/15	1/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2958 CL 2598-QC 4 50% DUE 09/15/2018 PAYMENT A/C PRINCIPAL	(818 610)	100 00	818 61	(788 17)	30 44 L
1/15	1/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL	(1,103 890)	100 00	1,103 89	(1,071 46)	32 43 L
1/14	1/15	Sale	**JPMORGAN INTREPID GROWTH FUND** SELECT SHARE CLASS FUND 1202 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 20 25 TRADE DATE 01/14/10	(5,813 311)	20 25	117,719 55	(125,974 45)	(8,254 90) L
1/25	1/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(85.280)	100.00	85.28	(86.03)	(0.75) L
1/25	1/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(340 440)	100.00	340 44	(345 12)	(4 68) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
1/25	1/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(1,538 760)	100 00	1,538 76	(1,546 93)	(8 17) L
1/25	1/25	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(92 890)	100 00	92 89	(91 71)	1 18 L
1/25	1/25	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(333 080)	100 00	333 08	(338 08)	(5 00) L
1/25	1/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(816 060)	100 00	816 06	(772 20)	43 86 L
1/25	1/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(394 110)	100 00	394 11	(398 05)	(3 94) L
1/25	1/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 1993-255 CL-D 6 55% DUE 12/25/2023 PAYMENT A/C PRINCIPAL	(5,854 800)	100 00	5,854 80	(6,015 81)	(161 01) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
2/4	2/9	Sale	**LEHMAN BROTHERS HOLDINGS** SUB NOTES 6 1/2% JUL 19 2017 DTD 07/19/2007 IN DEFAULT LEHMAN PRICE IS N/A @ 25 GOLDMAN SACHS TRADE DATE 02/04/10 FACE VALUE 10,000 00	(10,000 000)	0 30	25.00	(9,908 20)	(9,883 20) L
2/16	2/16	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(325 060)	100 00	325 06	(331 31)	(6 25) L
2/16	2/16	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(532 480)	100 00	532.48	(528 61)	3 87 L
2/16	2/16	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6.50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(261 480)	100 00	261 48	(269 16)	(7 68) L
2/16	2/16	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5.50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(47 500)	100 00	47 50	(47 52)	(0 02) L
2/16	2/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(207.250)	100 00	207 25	(213 47)	(6 22) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
2/16	2/16	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(227 470)	100 00	227 47	(232 30)	(4 83) L
2/16	2/16	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(279 720)	100 00	279 72	(290 56)	(10 84) L
2/16	2/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5 00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL	(1,251.740)	100 00	1,251.74	(1,200 50)	51 24 L
2/16	2/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(1,060 310)	100 00	1,060 31	(1,031 48)	28 83 L
2/16	2/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(150 800)	100 00	150 80	(146 65)	4 15 L
2/16	2/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL	(1,305 280)	100 00	1,305 28	(1,306 10)	(0 82) L
2/16	2/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL	(3,097 250)	100 00	3,097.25	(3,122 90)	(25 65) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds .	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
2/17	2/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL AS OF 02/16/10	(907 120)	100 00	907 12	(880 47)	26 65 L
2/17	2/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2958 CL 2598-QC 4 50% DUE 09/15/2018 PAYMENT A/C PRINCIPAL AS OF 02/16/10	(1,375 160)	100 00	1,375 16	(1,324 02)	51 14 L
2/18	2/18	Redemption	**HSBC BREN SPX 2/18/10** (10%BUFFER-2XLEV-12 75%CAP-25 5% MAXPYMT) INITIAL LEVEL-SPX 02/03/09 845 14 TO REDEMPTION	(100,000 000)	125 50	125,500 00	(100,000 00)	25,500 00 L
2/23	2/23	Litigation Proc	**AOL TIME WARNER INC** REPRESENTS PRO RATA SHARE OF THE NET SETTLEMENT FROM THE AOL TIME WARNER INC CLASS ACTION DUE V35558002 ¢TEUBERT CHAR TR PCIAA ACQ DATE 11/11/60 FUTURE DISBURSEMENTS MAY OCCUR, PENDING NOTICE FROM PAYING AGENT			954 58		954.58 L
2/25	2/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(69 770)	100.00	69 77	(70.38)	(0.61) L
2/25	2/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(342 330)	100 00	342 33	(347 04)	(4 71) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
2/25	2/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(434 720)	100 00	434 72	(437 03)	(2 31) L
2/25	2/25	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(1,167 750)	100 00	1,167 75	(1,152 97)	14 78 L
2/25	2/25	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(218 740)	100 00	218 74	(222 02)	(3 28) L
2/25	2/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 1993-255 CL-D 6 55% DUE 12/25/2023 PAYMENT A/C PRINCIPAL	(8,592 600)	100 00	8,592 60	(8,828 90)	(236 30) L
2/25	2/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(718 920)	100 00	718 92	(680 28)	38 64 L
2/25	2/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(396 080)	100 00	396 08	(400 04)	(3 96) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
2/22	2/25	Sale	**BELLSOUTH CORP** NOTES 6% OCT 15 2011 DTD 10/25/2001 @ 107 432 SUSQUEHANNA FINANCIAL GROUP INC TRADE DATE 02/22/10 FACE VALUE 10,000 00	(10,000 000)	107 40	10,743.20	(10,346 00)	397 20 L
2/24	3/1	Sale	**NATIONAL RURAL UTILITIES** 4 3/8% OCT 1 2010 DTD 9/30/2003 @ 101 894 SUSQUEHANNA FINANCIAL GROUP INC TRADE DATE 02/24/10 FACE VALUE 15,000 00	(15,000 000)	101 90	15,284 10	(14,578 80)	337 03 L 368 27 O
3/11	3/11	Redemption	**BARC 9M RTY TACTICAL NOTE** 07/29/2010 (80% CONTIN BARRIER- 2 0% PMT -7% CAP) INITIAL LEVEL-RTY 10/22/09 605 11 ENTIRE ISSUE CALLED 03/11/2010 @ 107 00	(180,000 000)	107 00	192,600 00	(180,000 00)	12,600 00 S
3/15	3/15	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(326 900)	100 00	326 90	(333 18)	(6 28) L
3/15	3/15	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(4,139 470)	100.00	4,139.47	(4,109 38)	30.09 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
3/15	3/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6 50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(989 600)	100 00	989 60	(1,018 67)	(29 07) L
3/15	3/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(48 430)	100 00	48 43	(48 45)	(0 02) L
3/15	3/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(437 730)	100 00	437 73	(450 86)	(13 13) L
3/15	3/15	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(340 710)	100 00	340 71	(347 95)	(7 24) L
3/15	3/15	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(598 840)	100 00	598 84	(622 04)	(23 20) L
3/15	3/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5 00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL	(1,220.980)	100 00	1,220 98	(1,171 00)	49 98 L
3/15	3/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL	(1,293 080)	100 00	1,293 08	(1,255 10)	37 98 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
3/15	3/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(1,054 710)	100 00	1,054 71	(1,026 03)	28 68 L
3/15	3/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(151 370)	100 00	151.37	(147 21)	4 16 L
3/15	3/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2958 CL 2598-QC 4 50% DUE 09/15/2018 PAYMENT A/C PRINCIPAL	(1,347 060)	100 00	1,347 06	(1,296 97)	50 09 L
3/15	3/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL	(8,129 780)	100 00	8,129 78	(8,134 87)	(5 09) L
3/15	3/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL	(7,228 690)	100 00	7,228 69	(7,288 55)	(59 86) L
3/15	3/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3167 CL QL 5 75% DUE 05/15/2029 PAYMENT A/C PRINCIPAL	(712.960)	100 00	712 96	(705 61)	7 35 L
3/25	3/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(70.150)	100 00	70 15	(70 76)	(0 61) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
3/25	3/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(344 220)	100 00	344 22	(348 95)	(4 73) L
3/25	3/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(317 510)	100 00	317 51	(319 20)	(1 69) L
3/25	3/25	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(589 830)	100 00	589 83	(582 36)	7 47 L
3/25	3/25	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(310 950)	100 00	310 95	(315 61)	(4 66) L
3/25	3/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 1993-255 CL-D 6 55% DUE 12/25/2023 PAYMENT A/C PRINCIPAL	(7,569 300)	100 00	7,569 30	(7,777 46)	(208 16) L
3/25	3/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(678 200)	100 00	678.20	(641 75)	36 45 L
3/25	3/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(398 060)	100 00	398 06	(402 04)	(3 98) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
3/26	3/29	Sale	**JPMORGAN MID CAP GROWTH** SELECT SHARE CLASS FUND 3120 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 19 41 TRADE DATE 03/26/10	(17,600 770)	19 41	341,630 94	(403,587 89)	(61,956 95) L
3/26	3/31	Sale	**ISHARES RUSSELL 2000 INDEX FUND** @ 68 3474 217,003 00 BROKERAGE 95 25 TAX &/OR SEC 2 77 UNIVERSAL NETWORK EXCHANGE INC TRADE DATE 03/26/10	(3,175 000)	68 317	216,904 98	(174,718 98)	42,186 00 S
4/1	4/1	Redemption	**GS 9M SPX NOTE** 08/19/2010 (85% CONTIN BARRIER- 6 6% PMT -AUTO 7% CAP) INITIAL LEVEL-SPX 11/13/09 1,093 48 ENTIRE ISSUE CALLED 04/01/2010 @ 107 00	(375,000 000)	107 00	401,250 00	(375,000 00)	26,250 00 S
4/2	4/2	Redemption	**GS 9M EAFE NOTE** 08/27/2010 (84 5% CONTIN BARRIER-2% PMT -7% CAP) INITIAL LEVEL- 11/19/09 SX5E 2860 29 UKX 5267 70 TPX 837 71 ENTIRE ISSUE CALLED 04/02/2010 @ 107 00	(100,000 000)	107 00	107,000 00	(100,000 00)	7,000 00 S
4/5	4/6	Sale	**JPMORGAN EMERGING MARKETS EQUITY** SELECT SHARE CLASS FUND 1235 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 22 31 TRADE DATE 04/05/10	(7,371 547)	22 31	164,459 21	(80,128 72)	84,330.49 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
4/5	4/6	Sale	**JPMORGAN SMALL CAP GROWTH FUND** SELECT SHARE CLASS FUND 3136 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 9 71 TRADE DATE 04/05/10	(11,660 376)	9.71	113,222 25	(124,465 18)	(11,242 93) L
4/5	4/6	Sale	**THIRD AVENUE VALUE FUND**	(6,571 266)	48 34	317,655 00	(324,417 63)	(6,762 63) L
4/8	4/8	Redemption	**CREDIT SUISSE DD BREN SPX 4/08/10** 10%BUFFER 2XLEV 11 46%CAP 22 92%MAX DD 03/19/09 TO REDEMPTION	(100,000 000)	122 90	122,920 00	(100,000 00)	22,920 00 L
4/5	4/8	Sale	**SPDR S&P 500 ETF TRUST** @ 118 51 177,765 00 BROKERAGE 45 00 TAX &/OR SEC 3 01 MERRILL LYNCH PIERCE FENNER & SMIT TRADE DATE 04/05/10	(1,500 000)	118 478	177,716 99	(191,048 40)	(13,331 41) L
4/8	4/9	Sale	**JPMORGAN MID CAP GROWTH** SELECT SHARE CLASS FUND 3120 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 19 91 TRADE DATE 04/08/10	(9,919 638)	19 91	197,500 00	(227,458 56)	(29,958 56) L
4/15	4/15	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(328 740)	100 00	328 74	(335 06)	(6.32) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
4/15	4/15	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(514 990)	100 00	514 99	(511 25)	3 74 L
4/15	4/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6 50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(501.470)	100 00	501 47	(516 20)	(14 73) L
4/15	4/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(48 640)	100 00	48 64	(48 66)	(0 02) L
4/15	4/15	Redemption	**INTERNATIONAL LEASE FINANCE CORP** SR NOTES 5% APR 15 2010 DTD 4/11/2005 TO REDEMPTION	(10,000 000)	100 00	10,000 00	(9,899 10)	100 90 O
4/15	4/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(278 540)	100 00	278 54	(286 90)	(8 36) L
4/15	4/15	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(185 140)	100 00	185 14	(189 07)	(3 93) L
4/15	4/15	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(372.210)	100 00	372 21	(386 63)	(14 42) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
4/15	4/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5 00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL	(1,322 780)	100 00	1,322 78	(1,268 63)	54 15 L
4/15	4/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL	(1,022 270)	100 00	1,022 27	(992 24)	30 03 L
4/15	4/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(1,049 140)	100 00	1,049 14	(1,020 62)	28 52 L
4/15	4/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(151 940)	100 00	151.94	(147 76)	4 18 L
4/15	4/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2958 CL 2598-QC 4 50% DUE 09/15/2018 PAYMENT A/C PRINCIPAL	(1,319 490)	100 00	1,319 49	(1,270 42)	49 07 L
4/15	4/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL	(2,840 980)	100 00	2,840 98	(2,842 76)	(1 78) L
4/15	4/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3167 CL QL 5 75% DUE 05/15/2029 PAYMENT A/C PRINCIPAL	(7,703 650)	100 00	7,703.65	(7,624 20)	79 45 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
4/15	4/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL	(3,526 340)	100 00	3,526 34	(3,555 54)	(29.20) L
4/1	4/16	Sale	**JPMORGAN TR I** HIGHBRIDGE STATISTICAL MARKET NEUTRAL FUND SELECT SHARES FUND # 1011 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 15 86 TRADE DATE 04/01/10	(11,182 000)	15 86	177,346 52	(178,212 33)	(518 13) L (347.68) S
4/26	4/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(70 560)	100 00	70 56	(71 18)	(0 62) L
4/26	4/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(346 130)	100 00	346 13	(350 89)	(4 76) L
4/26	4/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(800 850)	100 00	800 85	(805 10)	(4 25) L
4/26	4/26	Principal Payment	**FANNIE MAE** 5.50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(99 130)	100.00	99.13	(97.88)	1.25 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
4/26	4/26	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(161.550)	100 00	161 55	(163 97)	(2 42) L
4/26	4/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 1993-255 CL-D 6 55% DUE 12/25/2023 PAYMENT A/C PRINCIPAL	(1,555 430)	100 00	1,555 43	(1,598 20)	(42.77) L
4/26	4/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(754 060)	100 00	754 06	(713 53)	40 53 L
4/26	4/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(400 050)	100 00	400 05	(404 05)	(4 00) L
4/23	4/26	Sale	**ISHARES BARCLAYS TIPS BOND FUND** @ 104 6462 179,468 23 BROKERAGE 51 45 TAX &/OR SEC 3 06 BMO NESBITT BURNS CORP TRADE DATE 04/23/10	(1,715 000)	104 614	179,413 72	(179,713 65)	(299 93) S
4/29	4/29	Redemption	**CREDIT SUISSE BREN AIB 4/29/10** 10%BUFFER 2XLEV 14 25%CAP 28 5%MAXPY DD 04/17/09 TO REDEMPTION	(100,000 000)	128 50	128,500 00	(100,000 00)	28,500 00 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
5/3	5/4	Sale	**ISHARES BARCLAYS TIPS BOND FUND** @ 105 669 201,299 45 BROKERAGE 57 15 TAX &/OR SEC 3 46 BMO NESBITT BURNS CORP TRADE DATE 05/03/10	(1,905 000)	105 637	201,238 84	(187,298 60)	13,329 77 L 610 47 S
5/12	5/12	Sale	**GENERAL MILLS INC** 5 65% SEP 10 2012 DTD 08/29/2007 DUTCH TENDER OFFER TENDER OFFER - HOLDERS RECEIVED $1070 88 IN TENDER PROCEEDS + $30 00 IN EARLY TENDER FEES + $9 573611 IN ACCRUED INTEREST OF PER $1000 P A OF BONDS ACCEPTED AFTER PRORATION AT 0 298799 AND ROUNDING TO THE NEAREST 1000	(3,000 000)	107 10	3,212 64	(3,071 52)	141 12 L
5/12	5/13	Sale	**JPMORGAN INTREPID AMERICA FUND** SELECT SHARE CLASS FUND 1206 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 21 45 TRADE DATE 05/12/10	(4,662 005)	21 45	100,000 00	(109,090 92)	(9,090 92) L
5/12	5/13	Sale	**FIDELITY ADVISOR HIGH INCOME** ADVANTAGE FUND	(21,040 975)	9 03	190,000.00	(112,705 42)	77,155 27 L 139.31 S
5/17	5/17	Redemption	**MBNA MASTER CREDIT CARD TRUST** SER 2000-E CL A 7 80% OCT 15 2012 DTD 6/1/2000 ENTIRE ISSUE CALLED 05/17/2010 @ 100 00	(60,000 000)	100 00	60,000 00	(66,478 10)	(6,478 10) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
5/17	5/17	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(330 600)	100 00	330 60	(336 95)	(6 35) L
5/17	5/17	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(519 130)	100 00	519 13	(515 36)	3 77 L
5/17	5/17	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6 50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(260 150)	100 00	260 15	(267 79)	(7 64) L
5/17	5/17	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(47 250)	100 00	47 25	(47 27)	(0 02) L
5/17	5/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(268 750)	100 00	268 75	(276 81)	(8 06) L
5/17	5/17	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(244 500)	100 00	244 50	(249 70)	(5 20) L
5/17	5/17	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(406 310)	100 00	406 31	(422 05)	(15 74) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
5/17	5/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5 00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL	(881 580)	100 00	881 58	(845 49)	36 09 L
5/17	5/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL	(867 270)	100 00	867 27	(841 79)	25 48 L
5/17	5/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(1,043 600)	100 00	1,043 60	(1,015 23)	28 37 L
5/17	5/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(152 510)	100 00	152 51	(148 32)	4 19 L
5/17	5/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2958 CL 2598-QC 4 50% DUE 09/15/2018 PAYMENT A/C PRINCIPAL	(1,292 440)	100 00	1,292 44	(1,244 38)	48 06 L
5/17	5/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL	(2,571 810)	100.00	2,571 81	(2,573 42)	(1 61) L
5/17	5/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3167 CL QL 5 75% DUE 05/15/2029 PAYMENT A/C PRINCIPAL	(2,271.970)	100 00	2,271.97	(2,248.54)	23.43 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
5/17	5/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL	(3,351 680)	100 00	3,351 68	(3,379 44)	(27 76) L
5/25	5/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(70 940)	100 00	70 94	(71 56)	(0 62) L
5/25	5/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(348 040)	100 00	348 04	(352 83)	(4 79) L
5/25	5/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(314 870)	100 00	314 87	(316 54)	(1 67) L
5/25	5/25	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(2,217 610)	100 00	2,217 61	(2,189 54)	28 07 L
5/25	5/25	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(143 440)	100 00	143 44	(145 59)	(2 15) L
5/25	5/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(786 080)	100 00	786 08	(743 83)	42 25 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
5/25	5/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(402 050)	100 00	402 05	(406 07)	(4 02) L
6/11	6/14	Sale	**JPMORGAN INTERNATIONAL VALUE FUND** SELECT SHARE CLASS FUND 1296 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 11 00 TRADE DATE 06/11/10	(16,633 400)	11 00	182,967 40	(250,000 00)	(67,032 60) L
6/11	6/14	Sale	**JPMORGAN INTREPID AMERICA FUND** SELECT SHARE CLASS FUND 1206 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 20.00 TRADE DATE 06/11/10	(13,959 137)	20 00	279,182 74	(319,088 80)	(39,906 06) L
6/11	6/14	Sale	**JPMORGAN MID CAP GROWTH** SELECT SHARE CLASS FUND 3120 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 18 73 TRADE DATE 06/11/10	(7,766 825)	18 73	145,472 63	(167,078 90)	(21,606 27) L
6/11	6/14	Sale	**MANNING & NAPIER FUND INC** WORLD OPPORTUNITIES SERIES FUND	(65,413 378)	7 36	481,442.46	(386,339 51)	95,102 95 L
6/11	6/14	Sale	**DODGE & COX INTERNATIONAL STOCK**	(12,780 989)	29 34	374,994.22	(398,000 00)	(23,005 78) S

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
6/15	6/15	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(332 470)	100 00	332 47	(338 86)	(6 39) L
6/15	6/15	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(539 800)	100 00	539 80	(535 88)	3 92 L
6/15	6/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6 50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(260 980)	100 00	260 98	(268 65)	(7 67) L
6/15	6/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(47 220)	100 00	47 22	(47 24)	(0 02) L
6/15	6/15	Redemption	**DAIMLERCHRYSLER NORTH AMERICA** HOLDING CORP GTD NOTES 8% JUN 15 2010 DTD 6/8/2000 TO REDEMPTION	(15,000 000)	100 00	15,000 00	(16,353 45)	(1,353 45) L
6/15	6/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(246 580)	100 00	246 58	(253 98)	(7 40) L
6/15	6/15	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(139 390)	100 00	139 39	(142 35)	(2 96) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
6/15	6/15	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(390.500)	100 00	390.50	(405 63)	(15 13) L
6/15	6/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5 00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL	(742 470)	100 00	742 47	(712 08)	30 39 L
6/15	6/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL	(727 190)	100 00	727 19	(705 83)	21 36 L
6/15	6/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(1,038 090)	100 00	1,038 09	(1,009 87)	28 22 L
6/15	6/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(153 080)	100 00	153 08	(148 87)	4 21 L
6/15	6/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2958 CL 2598-QC 4 50% DUE 09/15/2018 PAYMENT A/C PRINCIPAL	(1,265 900)	100 00	1,265 90	(1,218 82)	47 08 L
6/15	6/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL	(1,767 540)	100 00	1,767 54	(1,768 64)	(1 10) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
6/15	6/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3167 CL QL 5.75% DUE 05/15/2029 PAYMENT A/C PRINCIPAL	(4,624 370)	100 00	4,624 37	(4,576 68)	47 69 L
6/15	6/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL	(3,778 280)	100 00	3,778 28	(3,809 57)	(31 29) L
6/14	6/15	Sale	**ARTIO INTERNATIONAL EQUITY II - I**	(39,149 606)	10 61	415,377 32	(394,823 64)	20,553 68 L
6/11	6/16	Sale	**ISHARES RUSSELL MIDCAP INDEX FUND** @ 85 1076 182,981 34 BROKERAGE 64 50 TAX &/OR SEC 3 10 CITIGROUP GLOBAL MKTS INC TRADE DATE 06/11/10	(2,150 000)	85 076	182,913 74	(236,348 42)	(53,434 68) L
6/18	6/18	Litigation Proc	**QWEST COMMUNICATIONS INTERNATIONAL** INC REPRESENTS PRO RATA SHARE OF THE NET SETTLEMENT FROM THE QWEST COMMUNICATIONS INTERNATIONA CLASS ACTION DUE V35558002 ACQ DATE 11/11/60 FUTURE DISBURSEMENTS MAY OCCUR, PENDING NOTICE FROM PAYING AGENT			940 39		940 39 L
6/25	6/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(331 790)	100 00	331 79	(334 69)	(2 90) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
6/25	6/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(349 980)	100 00	349.98	(354 79)	(4 81) L
6/25	6/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(947 120)	100.00	947 12	(952 15)	(5 03) L
6/25	6/25	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(4,096 420)	100 00	4,096 42	(4,044 57)	51.85 L
6/25	6/25	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(170 560)	100 00	170 56	(173 12)	(2 56) L
6/25	6/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(905 730)	100 00	905 73	(857 05)	48 68 L
6/25	6/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(404 060)	100 00	404 06	(408 10)	(4 04) L
7/8	7/8	Redemption	**CREDIT SUISSE BREN** LKD TO ASIA BASKET MAT 07/08/10(10%BUFFER-2XLEV-11.1% CAP-22 2%MAXPYMT) INITIAL LEVEL- ASIA BASKET 06/19/09 100 00 TO REDEMPTION	(100,000 000)	122 20	122,200 00	(100,000 00)	22,200 00 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
7/15	7/15	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(335 480)	100 00	335 48	(341 93)	(6 45) L
7/15	7/15	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(3,027 900)	100 00	3,027 90	(3,005 89)	22 01 L
7/15	7/15	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% NOV 01 2021 DTD 11/01/2001 POOL NO C90492 PAYMENT A/C PRINCIPAL	(1,494 130)	100 00	1,494 13	(1,623 00)	(128 87) S
7/15	7/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6 50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(261 560)	100 00	261 56	(269 24)	(7 68) L
7/15	7/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(2,665 330)	100 00	2,665 33	(2,666 58)	(1 25) L
7/15	7/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(293 910)	100 00	293 91	(302 73)	(8 82) L
7/15	7/15	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(269 920)	100 00	269 92	(275 66)	(5 74) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
7/15	7/15	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(487 760)	100 00	487 76	(506 66)	(18 90) L
7/15	7/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5.00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL	(708 970)	100 00	708 97	(679 95)	29 02 L
7/15	7/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL	(834 910)	100 00	834 91	(810 38)	24 53 L
7/15	7/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4.50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(1,032 610)	100.00	1,032 61	(1,004 53)	28 08 L
7/15	7/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(153 650)	100 00	153 65	(149 42)	4 23 L
7/15	7/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2958 CL 2598-QC 4 50% DUE 09/15/2018 PAYMENT A/C PRINCIPAL	(1,239 860)	100 00	1,239 86	(1,193 75)	46 11 L
7/15	7/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL	(3,334 370)	100 00	3,334 37	(3,336 45)	(2 08) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
7/15	7/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3167 CL QL 5 75% DUE 05/15/2029 PAYMENT A/C PRINCIPAL	(2,998 090)	100 00	2,998 09	(2,967 17)	30 92 L
7/15	7/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL	(3,178 970)	100 00	3,178 97	(3,205 30)	(26 33) L
7/26	7/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(57 310)	100 00	57 31	(57 81)	(0 50) L
7/26	7/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(351 910)	100 00	351 91	(356 75)	(4 84) L
7/26	7/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(596 280)	100 00	596 28	(599 45)	(3 17) L
7/26	7/26	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(1,150 760)	100 00	1,150 76	(1,136 20)	14 56 L
7/26	7/26	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(109 960)	100 00	109 96	(111 61)	(1 65) L

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For the Period 11/1/09 to 9/30/10

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
7/26	7/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(689 680)	100 00	689 68	(652 61)	37 07 L
7/26	7/26	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(406 080)	100 00	406 08	(410 14)	(4 06) L
8/4	8/9	Sale	**KRAFT FOODS INC** 2 5/8% MAY 08 2013 DTD 02/08/2010 @ 103 005 BNP PARIBAS SECURITIES CORP TRADE DATE 08/04/10 FACE VALUE 6,000 00	(6,000 000)	103 00	6,180 30	(5,983 86)	196 44 S
8/10	8/11	Sale	**U S A NOTES** 5 1/8% JUN 30 2011 DTD 6/30/2006 @ 104 29654 DEUTSCHE BANK ALEX BROWN TRADE DATE 08/10/10 FACE VALUE 90,000 00	(90,000 000)	104 30	93,866 89	(91,166 41)	2,700 48 L
8/10	8/13	Sale	**CREDIT SUISSE FB USA INC** NOTES 6 1/8% NOV 15 2011 DTD 11/6/2001 @ 106 117 BNP PARIBAS SECURITIES CORP TRADE DATE 08/10/10 FACE VALUE 10,000 00	(10,000 000)	106 10	10,611 70	(10,291 70)	320 00 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
8/16	8/16	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(336 240)	100 00	336 24	(342 70)	(6 46) L
8/16	8/16	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(501 820)	100 00	501 82	(498 17)	3 65 L
8/16	8/16	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% NOV 01 2021 DTD 11/01/2001 POOL NO C90492 PAYMENT A/C PRINCIPAL	(697 360)	100 00	697 36	(757 51)	(60 15) S
8/16	8/16	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6 50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(263 200)	100 00	263 20	(270 93)	(7 73) L
8/16	8/16	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(43 690)	100 00	43 69	(43 71)	(0 02) L
8/16	8/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(252 080)	100 00	252 08	(259 64)	(7 56) L
8/16	8/16	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(267 400)	100 00	267 40	(273 08)	(5 68) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
8/16	8/16	Principal Payment	**FEDERAL HOME LOAN MORTGAGE CORP** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(459 930)	100 00	459 93	(477 75)	(17 82) L
8/16	8/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5.00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL	(696 840)	100 00	696.84	(668 31)	28 53 L
8/16	8/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL	(735 110)	100 00	735 11	(713 52)	21 59 L
8/16	8/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(1,027 150)	100 00	1,027 15	(999 22)	27 93 L
8/16	8/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(154 230)	100 00	154 23	(149 99)	4 24 L
8/16	8/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2958 CL 2598-QC 4 50% DUE 09/15/2018 PAYMENT A/C PRINCIPAL	(1,214 310)	100 00	1,214 31	(1,169 15)	45 16 L
8/16	8/16	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3167 CL QL 5.75% DUE 05/15/2029 PAYMENT A/C PRINCIPAL	(3,703 700)	100 00	3,703 70	(3,665 51)	38 19 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
8/17	8/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3177 CL PA 6 00% DUE 12/15/2026 PAYMENT A/C PRINCIPAL AS OF 08/16/10	(570 420)	100 00	570 42	(570 78)	(0 36) L
8/17	8/17	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 3215 CL 3215-QA 6 00% DUE 06/15/2027 PAYMENT A/C PRINCIPAL AS OF 08/16/10	(2,320 640)	100 00	2,320 64	(2,339 86)	(19 22) L
8/25	8/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6 00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(57 620)	100 00	57 62	(58 12)	(0 50) L
8/25	8/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(353 870)	100 00	353 87	(358 74)	(4 87) L
8/25	8/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(323 040)	100 00	323 04	(324 76)	(1 72) L
8/25	8/25	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(153 500)	100 00	153 50	(151 56)	1 94 L
8/25	8/25	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(186 420)	100 00	186 42	(189 22)	(2 80) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
8/25	8/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(793 990)	100 00	793 99	(751 31)	42 68 L
8/25	8/25	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(408 110)	100 00	408 11	(412 19)	(4 08) L
9/15	9/15	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% JAN 01 2017 DTD 01/01/2002 POOL NO P60079 PAYMENT A/C PRINCIPAL	(338 190)	100 00	338 19	(344 69)	(6 50) L
9/15	9/15	Principal Payment	**FED HOME LN MTG CORP PARTN CTFS** GROUP NBR B1-2649 4 50% DUE 10/01/2019 PAYMENT A/C PRINCIPAL	(4,728 210)	100 00	4,728 21	(4,693 83)	34 38 L
9/15	9/15	Principal Payment	**FREDDIE MAC** GOLD PARTIC CTF 6% NOV 01 2021 DTD 11/01/2001 POOL NO C90492 PAYMENT A/C PRINCIPAL	(1,538 420)	100 00	1,538 42	(1,671 11)	(132 69) S
9/15	9/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 631867 6 50% DUE 08/15/2019 PAYMENT A/C PRINCIPAL	(2,538.020)	100.00	2,538.02	(2,612 57)	(74.55) L
9/15	9/15	Principal Payment	**GNMA GTD PASS THRU CTF** POOL NBR 642234 5 50% DUE 01/15/2036 PAYMENT A/C PRINCIPAL	(44 060)	100 00	44 06	(44 08)	(0 02) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
9/15	9/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2312 CL 2312-JB 6 50% DUE 05/15/2031 PAYMENT A/C PRINCIPAL	(426 570)	100 00	426 57	(439 37)	(12 80) L
9/15	9/15	Principal Payment	**FREDDIE MAC** SER 1584 CL L 6 5% SEP 15 2023 DTD 09/01/1993 PAYMENT A/C PRINCIPAL	(255 310)	100 00	255 31	(260 74)	(5 43) L
9/15	9/15	Principal Payment	**FHLMC** MULTICLASS MTGE PARTN CTFS GTD SER 1650 CL-K 6 1/2% JAN 15 2024 DTD 1/1/94 PAYMENT A/C PRINCIPAL	(265 700)	100 00	265 70	(276 00)	(10 30) L
9/15	9/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2519 CL 2519-AH 5 00% DUE 11/15/2017 PAYMENT A/C PRINCIPAL	(1,117 860)	100 00	1,117 86	(1,072 10)	45 76 L
9/15	9/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2531 CL 2531-HN 5 00% DUE 12/15/2017 PAYMENT A/C PRINCIPAL	(819 540)	100 00	819 54	(795 47)	24 07 L
9/15	9/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** GTD PARTN CTFS GTD SER 2649 CL 2649-OL 4 50% DUE 04/15/2026 PAYMENT A/C PRINCIPAL	(903 860)	100 00	903 86	(879 29)	24 57 L
9/15	9/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2785 CL 2785-VD 4 50% DUE 05/15/2015 PAYMENT A/C PRINCIPAL	(154 810)	100 00	154 81	(150 55)	4 26 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
9/15	9/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 2958 CL 2598-QC 4 50% DUE 09/15/2018 PAYMENT A/C PRINCIPAL	(1,189 250)	100 00	1,189 25	(1,145 03)	44 22 L
9/15	9/15	Principal Payment	**FEDERAL HOME LN MTG CORP MULTICLASS** MTG PARTN CTFS GTD SER 3167 CL QL 5 75% DUE 05/15/2029 PAYMENT A/C PRINCIPAL	(2,985 260)	100 00	2,985 26	(2,954 47)	30 79 L
9/10	9/17	Sale	**GENERAL MILLS INC** NOTES 5 650% SEPT 10 2012 DTD 08/29/2007 @ 108 993 HSBC SECURITIES INC (HSBCSI) TRADE DATE 09/10/10 FACE VALUE 7,000 00	(7,000 000)	109 00	7,629 51	(7,166.88)	462 63 L
9/14	9/17	Sale	**TARGET CORP** NOTES 6 35% JAN 15 2011 DTD 1/10/2001 @ 101 975 BNP PARIBAS SECURITIES CORP TRADE DATE 09/14/10 FACE VALUE 5,000.00	(5,000 000)	102 00	5,098 75	(5,295 45)	(196 70) L
9/23	9/23	Redemption	**HSBC EAFE BREN 09/23/10** (10%BUFFER- 2XLEV-7%CAP-14%MAXPYMT) INITIAL LEVEL-9/10/09 SX5E 2733 54 UKX 4851 70 TPX 935 74 TO REDEMPTION	(100,000 000)	104 50	104,509.54	(100,000 00)	4,509 54 L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
9/27	9/27	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 0437434 6.00% DUE 09/01/2028 PAYMENT A/C PRINCIPAL	(57 950)	100 00	57 95	(58 46)	(0 51) L
9/27	9/27	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 567819 6 00% DUE 07/01/2014 PAYMENT A/C PRINCIPAL	(355 820)	100 00	355 82	(360 71)	(4 89) L
9/27	9/27	Principal Payment	**FEDERAL NATL MTG ASSN GTD MTG PASS** THRU CTF POOL NBR 786093 5 50% DUE 07/01/2019 PAYMENT A/C PRINCIPAL	(1,033 320)	100 00	1,033 32	(1,038 81)	(5 49) L
9/27	9/27	Principal Payment	**FANNIE MAE** 5 50% FEB 1 2036 DTD 2/1/2006 POOL NO 851329 PAYMENT A/C PRINCIPAL	(1,435 170)	100 00	1,435 17	(1,417 01)	18 16 L
9/27	9/27	Principal Payment	**FANNIE MAE** SER 1993-105 CL D 6 5% JUN 25 2023 DTD 06/01/1993 PAYMENT A/C PRINCIPAL	(503 230)	100 00	503 23	(510 78)	(7 55) L
9/27	9/27	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-79 CL NM 4 00% DUE 05/25/2022 PAYMENT A/C PRINCIPAL	(997 720)	100 00	997 72	(944 09)	53 63 L
9/27	9/27	Principal Payment	**FEDERAL NATL MTG ASSN GTD REMIC PASS** THRU CTF REMIC TR 2003-89 CL XC 6 00% DUE 09/25/2014 PAYMENT A/C PRINCIPAL	(410 150)	100 00	410 15	(414 25)	(4 10) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
9/29	9/29	Redemption	**BARC SPX BREN 09/29/10** (10%BUFFER- 2XLEV-8 45%CAP-16 9%MAXPYMT) INITIAL LEVEL-9/11/09 SPX 1042 73 TO REDEMPTION	(100,000 000)	116 90	116,900 00	(100,000 00)	16,900 00 L
9/29	9/29	Redemption	**MS 12M ASIA BSKT BREN 09/29/10** (10%BUFFER- 2XLEV-9 7%CAP-19 4%MAXPYMT) INITIAL LEVEL-9/11/09 ASIA 100 00 TO REDEMPTION	(100,000 000)	116 70	116,730 00	(100,000 00)	16,730 00 L
9/29	9/30	Sale	**JPMORGAN ASIA EQUITY FUND** SELECT SHARE CLASS FUND 1134 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 35 42 TRADE DATE 09/29/10	(5,575 946)	35 42	197,500 00	(146,201 31)	51,298.69 L
9/29	9/30	Sale	**JPMORGAN TR I** HIGHBRIDGE STATISTICAL MARKET NEUTRAL FUND SELECT SHARES FUND # 1011 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 15 29 TRADE DATE 09/29/10	(18,473 172)	15 29	282,454 80	(294,292 28)	(11,837 48) L
9/29	9/30	Sale	**JPMORGAN SMALL CAP GROWTH FUND** SELECT SHARE CLASS FUND 3136 JP MORGAN CHASE BANK AS SHAREHOLDER SERVICING AGENT @ 9 85 TRADE DATE 09/29/10	(40,975 178)	9 85	403,605 50	(437,377 22)	(33,771 72) L

Trade Date	Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Settled Sales/Maturities/Redemptions								
9/29	9/30	Sale	**EATON VANCE SPL INVT TR** VALUE FD CL I	(11,916 526)	16 68	198,767 65	(183,073 75)	15,693 90 L
Total Settled Sales/Maturities/Redemptions						**$8,656,067.49**	**($8,553,837.26)**	**$22,727.85 L** **$78,797.18 S** **$469.17 O**

Trade Date	Estimated Settlement Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Tax Cost	Realized Gain/Loss
Pending Sales, Maturities, Redemptions								
9/29	10/4	Sale	**SPDR GOLD TRUST**	(780 000)	127 735	99,616 56	(86,197 80)	13,418 76 S

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