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

**2010**

For calendar year 2010, or tax year beginning , and ending

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

Name of foundation

SWARTZ FOUNDATION

Number and street (or P O box number if mail is not delivered to street address) Room/suite

C/O ROPES & GRAY LLP, 800 BOYLSTON ST

City or town, state, and ZIP code

BOSTON, MA 02199-3600

A Employer identification number

04-3255974

B Telephone number

(617) 951-7000

C If exemption application is pending, check here ▶ [ ]
D 1. Foreign organizations, check here ▶ [ ]
2. Foreign organizations meeting the 85% test, check here and attach computation ▶ [ ]
E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ [ ]
F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ [ ]

H Check type of organization: [X] 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)* ▶$ 151,761,570.

J Accounting method: [X] Cash [ ] Accrual
[ ] Other (specify)
*(Part I, column (d) must be on cash basis.)*

**Part I** **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))

| | | (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 | 1,641,270. | | N/A | |
| | 2 Check ▶ [ ] if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 8,533. | 8,554. | | STATEMENT 1 |
| | 4 Dividends and interest from securities | 1,353,353. | 2,092,826. | | STATEMENT 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 6,573,206. | | | |
| | b Gross sales price for all assets on line 6a 39,477,859. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 6,573,206. | | |
| | 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 | 97,044. | 1,158,242. | | STATEMENT 3 |
| | 12 **Total.** Add lines 1 through 11 | 9,673,406. | 9,832,828. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 188,565. | 113,139. | | 75,426. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees STMT 4 | 22,297. | 14,493. | | 7,804. |
| | b Accounting fees STMT 5 | 45,643. | 29,668. | | 15,975. |
| | c Other professional fees STMT 6 | 305,711. | 305,711. | | 0. |
| | 17 Interest | | | | |
| | 18 Taxes STMT 7 | 102,027. | 24,295. | | 0. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses STMT 8 | 8,744. | 1,176,837. | | 0. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 672,987. | 1,664,143. | | 99,205. |
| | 25 Contributions, gifts, grants paid | 726,500. | | | 10,726,532. |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 1,399,487. | 1,664,143. | | 10,825,737. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | 8,273,919. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 8,168,685. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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Form **990-PF** (2010)



11061108 744856 SSND-015 2010.04050 SWARTZ FOUNDATION SSND-0_1

**Part II Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only

| | | Beginning of year (a) Book Value | End of year (b) Book Value | End of year (c) Fair Market Value |
|---|---|---|---|---|
| Assets | 1 Cash - non-interest-bearing | | | |
| | 2 Savings and temporary cash investments | 3,262,656. | 8,597,589. | 8,597,589. |
| | 3 Accounts receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 Other notes and loans receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments - U.S. and state government obligations STMT 11 | 7,197,591. | 4,781,534. | 4,840,110. |
| | b Investments - corporate stock STMT 12 | 24,138,121. | 22,756,542. | 39,312,944. |
| | c Investments - corporate bonds STMT 13 | 4,653,394. | 9,353,068. | 9,277,338. |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other | | | |
| | 14 Land, buildings, and equipment: basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 15 Other assets (describe ▶ STATEMENT 14) | 82,703,222. | 86,316,764. | 89,733,589. |
| | 16 **Total assets** (to be completed by all filers) | 121,954,984. | 131,805,497. | 151,761,570. |
| Liabilities | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable | | | |
| | 22 Other liabilities (describe ▶ ) | | | |
| | 23 **Total liabilities** (add lines 17 through 22) | 0. | 0. | |
| Net Assets or Fund Balances | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31** | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | **Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31** | | | |
| | 27 Capital stock, trust principal, or current funds | 115,914,320. | 115,914,320. | |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 6,040,664. | 15,891,177. | |
| | 30 **Total net assets or fund balances** | 121,954,984. | 131,805,497. | |
| | 31 **Total liabilities and net assets/fund balances** | 121,954,984. | 131,805,497. | |

**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 | 121,954,984. |
| 2 | Enter amount from Part I, line 27a | 2 | 8,273,919. |
| 3 | Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 9 | 3 | 4,972,502. |
| 4 | Add lines 1, 2, and 3 | 4 | 135,201,405. |
| 5 | Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 10 | 5 | 3,395,908. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 131,805,497. |

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

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

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | 39,477,859. | | 32,904,653. | 6,573,206. |

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

| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | 6,573,206. |

| | | | |
|---|---|---|---|
| 2 Capital gain net income or (net capital loss) | { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 } | 2 | 6,573,206. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter -0- in Part I, line 8 | | 3 | N/A |

## 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)) |
|---|---|---|---|
| 2009 | 8,173,410. | 128,424,880. | .063644 |
| 2008 | 11,262,352. | 153,706,218. | .073272 |
| 2007 | 5,419,695. | 171,867,435. | .031534 |
| 2006 | 7,014,973. | 127,024,796. | .055225 |
| 2005 | 8,075,332. | 124,776,649. | .064718 |

| | | |
|---|---|---|
| 2 **Total** of line 1, column (d) | 2 | .288393 |
| 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 | .057679 |
| 4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5 | 4 | 142,153,100. |
| 5 Multiply line 4 by line 3 | 5 | 8,199,249. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 81,687. |
| 7 Add lines 5 and 6 | 7 | 8,280,936. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 10,825,737. |

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 ▶ [X] and enter 1% of Part I, line 27b | | | 1 | 81,687. |
| 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 | 81,687. |
| 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 | 81,687. |
| 6 Credits/Payments: | | | | |
| a 2010 estimated tax payments and 2009 overpayment credited to 2010 | 6a | 95,131. | | |
| b Exempt foreign organizations - tax withheld at source | 6b | | | |
| c Tax paid with application for extension of time to file (Form 8868) | 6c | 120,000. | | |
| d Backup withholding erroneously withheld | 6d | | | |
| 7 Total credits and payments. Add lines 6a through 6d | | | 7 | 215,131. |
| 8 Enter any **penalty** for underpayment of estimated tax. Check here [X] 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 | 133,444. |
| 11 Enter the amount of line 10 to be: **Credited to 2011 estimated tax** ▶ 133,444. **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) ▶ MA | | | |
| b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 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 2010 or the taxable year beginning in 2010 (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 ▶ ROPES & GRAY LLP Telephone no. ▶ 617-951-7000 | | | |
| | Located at ▶ 800 BOYLSTON STREET, BOSTON, MA ZIP+4 ▶ 02199-3600 | | | |
| 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 | | | |
| 16 | At any time during calendar year 2010, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | X |
| | See page 20 of the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶ | | | |

**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 22 of the instructions)? | 1b | | X |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2010? | 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 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? ☐ 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 2010 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 2010.)* 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 2010? | 4b | | X |

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

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

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

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

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

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

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

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

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

*If "Yes," attach the statement required by Regulations section 53 4945-5(d)*

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A | 7b |

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| SEE STATEMENT 15 | | 188,565. | 0. | 0. |

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

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

**Total** number of other employees paid over $50,000 ▶ 0

**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 SEE STATEMENT 16 | 99,205. |
| 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 | 0. |
| b | Average of monthly cash balances | 1b | 4,619,124. |
| c | Fair market value of all other assets | 1c | 139,698,744. |
| d | **Total** (add lines 1a, b, and c) | 1d | 144,317,868. |
| 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 | 144,317,868. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 2,164,768. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 142,153,100. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 7,107,655. |

**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 | 7,107,655. |
| 2a | Tax on investment income for 2010 from Part VI, line 5 2a 81,687. | | |
| b | Income tax for 2010. (This does not include the tax from Part VI.) 2b | | |
| c | Add lines 2a and 2b | 2c | 81,687. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 7,025,968. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 7,025,968. |
| 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 | 7,025,968. |

**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 | 10,825,737. |
| 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 | 10,825,737. |
| 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 | 81,687. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 10,744,050. |

**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 2009 | (c) 2009 | (d) 2010 |
|---|---|---|---|---|
| 1 Distributable amount for 2010 from Part XI, line 7 | | | | 7,025,968. |
| 2 Undistributed income, if any, as of the end of 2010 | | | | |
| a Enter amount for 2009 only | | | 0. | |
| b Total for prior years: ____ , ____ , ____ | | 0. | | |
| 3 Excess distributions carryover, if any, to 2010: | | | | |
| a From 2005 1,900,547. | | | | |
| b From 2006 748,600. | | | | |
| c From 2007 | | | | |
| d From 2008 3,605,439. | | | | |
| e From 2009 1,816,608. | | | | |
| f **Total** of lines 3a through e | 8,071,194. | | | |
| 4 Qualifying distributions for 2010 from Part XII, line 4: ▶ $ 10,825,737. | | | | |
| a Applied to 2009, 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 2010 distributable amount | | | | 7,025,968. |
| e Remaining amount distributed out of corpus | 3,799,769. | | | |
| 5 Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a).) | 0. | | | 0. |
| 6 **Enter the net total of each column as indicated below:** | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 11,870,963. | | | |
| 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 2009. Subtract line 4a from line 2a Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011 | | | | 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 2005 not applied on line 5 or line 7 | 1,900,547. | | | |
| 9 **Excess distributions carryover to 2011** Subtract lines 7 and 8 from line 6a | 9,970,416. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2006 748,600. | | | | |
| b Excess from 2007 | | | | |
| c Excess from 2008 3,605,439. | | | | |
| d Excess from 2009 1,816,608. | | | | |
| e Excess from 2010 3,799,769. | | | | |

**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 2010, 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)** 2010 | **(b)** 2009 | **(c)** 2008 | **(d)** 2007 | **(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 ▶ [X] 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:

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

c Any submission deadlines:

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

**Part XV Supplementary Information** (continued)

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

| Recipient: 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 17 | | | | |
| **Total** | | | ▶ 3a | 10726532. |
| **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 (a) Business code | Unrelated business income (b) Amount | Excluded by section 512, 513, or 514 (c) Exclusion code | Excluded by section 512, 513, or 514 (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 | 8,533. | |
| 4 Dividends and interest from securities | | | 14 | 1,353,353. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | 900000 | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | 14 | 97,044. | |
| 8 Gain or (loss) from sales of assets other than inventory | 900000 | | 18 | 6,573,206. | |
| 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. | | 8,032,136. | 0. |

**13 Total** Add line 12, columns (b), (d), and (e) 13 8,032,136.

(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). |
|---|---|
| | |

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11061108 744856 SSND-015 2010.04050 SWARTZ FOUNDATION SSND-011

**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.

Signature of officer or trustee: [signature] Date: 11/11/11 Title: Trustee

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| JOE A. WATERS | [signature] | 11/8/11 | | |

Firm's name ▶ ROPES & GRAY LLP — Firm's EIN ▶

Firm's address ▶ 800 BOYLSTON ST, 30TH FL
BOSTON, MA 02199-3600 — Phone no. (617)951-7000

**Schedule B**
**(Form 990, 990-EZ, or 990-PF)**
Department of the Treasury
Internal Revenue Service

# Schedule of Contributors

▶ Attach to Form 990, 990-EZ, or 990-PF.

OMB No 1545-0047

**2010**

| Name of the organization | Employer identification number |
|---|---|
| SWARTZ FOUNDATION | 04-3255974 |

**Organization type** (check one).

| **Filers of:** | **Section:** |
|---|---|
| Form 990 or 990-EZ | ☐ 501(c)( ) (enter number) organization |
| | ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation |
| | ☐ 527 political organization |
| Form 990-PF | ☒ 501(c)(3) exempt private foundation |
| | ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | ☐ 501(c)(3) taxable private foundation |

Check if your organization is covered by the **General Rule** or a **Special Rule.**
**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

**General Rule**

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, $5,000 or more (in money or property) from any one contributor. Complete Parts I and II

**Special Rules**

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, aggregate contributions of more than $1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc , purposes, but these contributions did not aggregate to more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc , contributions of $5,000 or more during the year ▶ $ ____________

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990, or check the box on line H of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

Not for public inspection



| Name of organization | Employer identification number |
|---|---|
| SWARTZ FOUNDATION | 04-3255974 |

**Part I** **Contributors** (see instructions)

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Aggregate contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | SIDNEY W. SWARTZ<br>1001 SOUTH OCEAN BLVD<br>DELRAY BEACH, FL 33483-6531 | $ 1,641,270. | Person [X]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution ) |
| | | $ | Person [ ]<br>Payroll [ ]<br>Noncash [ ]<br>(Complete Part II if there is a noncash contribution ) |

| Name of organization | Employer identification number |
|---|---|
| SWARTZ FOUNDATION | 04-3255974 |

## Part II Noncash Property (see instructions)

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |

Name of organization: SWARTZ FOUNDATION

Employer identification number: 04-3255974

**Part III** Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations aggregating more than $1,000 for the year. Complete columns (a) through (e) and the following line entry For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of $1,000 or less for the year (Enter this information once See instructions ) ▶ $

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

**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 | WORLDCOM SECURITY LITIGATION DISTRIBUTION | P | | 06/11/10 |
| b | INTERNATIONAL RECTIFIER SECURITIES LITIGATION DIS | P | | 09/27/10 |
| c | 25,000 SHS TIMBERLAND CO CL A | P | 03/04/10 | 11/10/10 |
| d | 3,000 SHS TIMBERLAND CO CL A | P | 03/04/10 | 11/10/10 |
| e | 57,055 SHS TIMBERLAND CO CL A | P | 03/04/10 | 11/10/10 |
| f | WOODSIDE PETRO PRINC PAYDOWN #541-13281 | P | | 02/16/10 |
| g | BARCLAYS CAPITAL ACCOUNT #834-60243 CAPITAL GAIN | P | | 12/22/10 |
| h | GOLDMAN SACHS ACCT #010-42896-9 CAPITAL GAIN DIVI | P | | 12/15/10 |
| i | 101,580.14 SHS GS ULTRA-SHORT DURATION GOVT FD | P | 08/10/09 | 03/10/10 |
| j | 22,321.43 SHS GS LOCAL EMERGING MKTS FD | P | 02/17/10 | 10/18/10 |
| k | 19.90 SHS GS LOCAL EMERGING MKTS FD | P | 02/26/10 | 10/18/10 |
| l | 26,968.34 SHS GS LOCAL EMERGING MKTS FD | P | 03/10/10 | 10/18/10 |
| m | K-1 FROM BAUPOST PARTNERS, LP - IV | P | | |
| n | K-1 FROM BAUPOST PARTNERS, LP - IV | P | | |
| o | K-1 FROM NB CROSSROADS FUND XVIII - ASSET ALLOC L | P | | |

| | (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 | 393. | | | 393. |
| b | 455. | | | 455. |
| c | 589,988. | | | 589,988. |
| d | 71,014. | | | 71,014. |
| e | 1,339,035. | | | 1,339,035. |
| f | 442. | | 442. | 0. |
| g | 32,219. | | | 32,219. |
| h | 771. | | | 771. |
| i | 900,000. | | 898,984. | 1,016. |
| j | 226,339. | | 200,000. | 26,339. |
| k | 202. | | 178. | 24. |
| l | 273,459. | | 247,300. | 26,159. |
| m | 265,041. | | | 265,041. |
| n | 2,893,225. | | | 2,893,225. |
| o | 5,929. | | | 5,929. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 393. |
| b | | | | 455. |
| c | | | | 589,988. |
| d | | | | 71,014. |
| e | | | | 1,339,035. |
| f | | | | 0. |
| g | | | | 32,219. |
| h | | | | 771. |
| i | | | | 1,016. |
| j | | | | 26,339. |
| k | | | | 24. |
| l | | | | 26,159. |
| m | | | | 265,041. |
| n | | | | 2,893,225. |
| o | | | | 5,929. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | K-1 FROM NB CROSSROADS FUND XVIII - ASSET ALLOC L | P | | |
| b | K-1 FROM ADAMAS OPPORTUNITIES (1YR) | P | | |
| c | K-1 FROM ADAMAS OPPORTUNITIES (1YR) | P | | |
| d | K-1 FROM ADAMAS OPPORTUNITIES (3YR) | P | | |
| e | K-1 FROM ADAMAS OPPORTUNITIES (3YR) | P | | |
| f | K-1 FROM ADAMAS PARTNERS | P | | |
| g | K-1 FROM ADAMAS PARTNERS | P | | |
| h | K-1 FROM GS CAPITAL PARTNERS V INSTITUTIONAL, L.P | P | | |
| i | 112,866.817 SHS ARTIO GLOBAL INVT FDS INTL EQUITY | P | VARIOUS | 08/16/10 |
| j | 1750 SHS STRATEGIC COMMODITIES FD LTD C OFFSHORE | P | 04/01/07 | 09/01/10 |
| k | 23,500 SHS BARCLAYS BK PLC IPATH DOW JONES-UBS CO | P | 09/15/10 | 09/24/10 |
| l | 23,352.583 SHS ARTIO GLOBAL INVT FDS INTL EQUITY | P | 08/15/08 | 10/18/10 |
| m | 3,628.36 SHS ARTIO GLOBAL INVT FDS INTL EQUITY FD | P | 12/31/08 | 10/18/10 |
| n | 10,592.669 SHS ARTIO GLOBAL INVT FDS INTL EQUITY | P | 12/31/09 | 10/18/10 |
| o | CAPITAL GAIN DIVIDENDS - BARCLAYS CAPITAL INC - A | P | VARIOUS | 12/22/10 |

| | (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 | 21,897. | | | 21,897. |
| b | 372. | | | 372. |
| c | 10,578. | | | 10,578. |
| d | 4,626. | | | 4,626. |
| e | 132,489. | | | 132,489. |
| f | 18,635. | | | 18,635. |
| g | 102,606. | | | 102,606. |
| h | 197,337. | | | 197,337. |
| i | 3,000,000. | | 3,510,995. | <510,995.> |
| j | 989,855. | | 1,750,000. | <760,145.> |
| k | 993,171. | | 974,079. | 19,092. |
| l | 693,338. | | 844,429. | <151,091.> |
| m | 107,726. | | 88,169. | 19,557. |
| n | 314,495. | | 301,044. | 13,451. |
| o | 32,219. | | | 32,219. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 21,897. |
| b | | | | 372. |
| c | | | | 10,578. |
| d | | | | 4,626. |
| e | | | | 132,489. |
| f | | | | 18,635. |
| g | | | | 102,606. |
| h | | | | 197,337. |
| i | | | | <510,995.> |
| j | | | | <760,145.> |
| k | | | | 19,092. |
| l | | | | <151,091.> |
| m | | | | 19,557. |
| n | | | | 13,451. |
| o | | | | 32,219. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 690 SHS ACE LIMITED | P | 01/02/50 | 08/24/10 |
| b | 1626 SHS ABB LTD SPON ADR | P | 06/27/08 | 08/24/10 |
| c | 1050 SHS ABBOTT LABS | P | 12/27/04 | 08/24/10 |
| d | 350 SHS ABBOTT LABS | P | 01/23/06 | 08/24/10 |
| e | 708 SHS AIR PRODS & CHEM INC | P | 11/26/04 | 08/24/10 |
| f | 2200 SHS AUTOMATIC DATA PROCESSING INC | P | 10/04/07 | 08/24/10 |
| g | 213 SHS AUTOMATIC DATA PROCESSING INC | P | 04/26/10 | 08/24/10 |
| h | 924 SHS BHP BILLITON LTD SPON ADR | P | 04/26/10 | 08/24/10 |
| i | 725 SHS CANADIAN NATIONAL RAILWAY CO | P | 12/30/02 | 08/24/10 |
| j | 719 SHS CANADIAN NATIONAL RAILWAY CO | P | 11/26/04 | 08/24/10 |
| k | 1070 SHS CATERPILLAR INC | P | 04/26/10 | 08/24/10 |
| l | 1326 SHS CHEVRON CORP | P | 04/26/10 | 08/24/10 |
| m | 1038 SHS CHUBB CORP | P | 04/26/10 | 08/24/10 |
| n | 1824 SHS EMC CORP MASS | P | 03/02/07 | 08/24/10 |
| o | 1770 SHS EMERSON ELECTRIC CO | P | 04/03/02 | 08/24/10 |

| | (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 | 36,454. | | | 36,454. |
| b | 30,677. | | 46,841. | <16,164.> |
| c | 52,044. | | 48,563. | 3,481. |
| d | 17,348. | | 14,221. | 3,127. |
| e | 52,319. | | 40,598. | 11,721. |
| f | 85,527. | | 105,887. | <20,360.> |
| g | 8,281. | | 9,725. | <1,444.> |
| h | 60,217. | | 54,063. | 6,154. |
| i | 42,743. | | 10,142. | 32,601. |
| j | 42,389. | | 20,804. | 21,585. |
| k | 69,617. | | 77,327. | <7,710.> |
| l | 98,263. | | 109,790. | <11,527.> |
| m | 55,640. | | 55,770. | <130.> |
| n | 33,027. | | 24,898. | 8,129. |
| o | 81,810. | | 49,549. | 32,261. |

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) Losses (from col. (h)) Gains (excess of col (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 36,454. |
| b | | | | <16,164.> |
| c | | | | 3,481. |
| d | | | | 3,127. |
| e | | | | 11,721. |
| f | | | | <20,360.> |
| g | | | | <1,444.> |
| h | | | | 6,154. |
| i | | | | 32,601. |
| j | | | | 21,585. |
| k | | | | <7,710.> |
| l | | | | <11,527.> |
| m | | | | <130.> |
| n | | | | 8,129. |
| o | | | | 32,261. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 788 SHS EXXON MOBIL CORP | P | 06/23/00 | 08/24/10 |
| b | 1470 SHS FRONTIER COMMUNICATIONS CORP SER B | P | 01/02/50 | 08/24/10 |
| c | 1840 SHS GENERAL MILLS INC | P | 05/14/08 | 08/24/10 |
| d | 212 SHS GENERAL MILLS INC | P | 06/27/08 | 08/24/10 |
| e | 674 SHS HEWLETT PACKARD CO | P | 04/26/10 | 08/24/10 |
| f | 2282 SHS INTEL CORP | P | 04/26/10 | 08/24/10 |
| g | 725 SHS IBM CORP | P | 04/03/02 | 08/24/10 |
| h | 117 SHS IBM CORP | P | 11/26/04 | 08/24/10 |
| i | 1216 SHS ISHARES TR DOW JONES US MEDICAL DEVICES | P | 04/26/10 | 08/24/10 |
| j | 1598 SHS JPMORGAN CHASE & CO | P | 05/14/08 | 08/24/10 |
| k | 1108 SHS JOHNSON & JOHNSON | P | 04/26/10 | 08/24/10 |
| l | 1150 SHS KIMBERLY CLARK CORP | P | 04/26/10 | 08/24/10 |
| m | 2012 SHS ELI LILLY & CO | P | 04/26/10 | 08/24/10 |
| n | 1358 SHS LOWES COS INC | P | 04/26/10 | 08/24/10 |
| o | 1030 SHS MCDONALDS CORP | P | 04/26/10 | 08/24/10 |

| | (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 | 46,628. | | 33,000. | 13,628. |
| b | 11,123. | | | 11,123. |
| c | 65,181. | | 57,174. | 8,007. |
| d | 7,510. | | 6,383. | 1,127. |
| e | 25,964. | | 36,738. | <10,774.> |
| f | 42,165. | | 54,878. | <12,713.> |
| g | 90,780. | | 72,172. | 18,608. |
| h | 14,650. | | 11,137. | 3,513. |
| i | 58,836. | | 72,527. | <13,691.> |
| j | 58,417. | | 73,507. | <15,090.> |
| k | 64,280. | | 72,018. | <7,738.> |
| l | 74,499. | | 70,057. | 4,442. |
| m | 68,402. | | 71,446. | <3,044.> |
| n | 27,562. | | 38,741. | <11,179.> |
| o | 74,988. | | 73,242. | 1,746. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 13,628. |
| b | | | | 11,123. |
| c | | | | 8,007. |
| d | | | | 1,127. |
| e | | | | <10,774.> |
| f | | | | <12,713.> |
| g | | | | 18,608. |
| h | | | | 3,513. |
| i | | | | <13,691.> |
| j | | | | <15,090.> |
| k | | | | <7,738.> |
| l | | | | 4,442. |
| m | | | | <3,044.> |
| n | | | | <11,179.> |
| o | | | | 1,746. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 2084 SHS MERCK & CO INC | P | 04/26/10 | 08/24/10 |
| b | 1482 SHS NESTLE SA SPON ADR | P | 04/26/10 | 08/24/10 |
| c | 1010 SHS NEXTERA ENERGY INC | P | 01/02/50 | 08/24/10 |
| d | 1370 SHS NOVARTIS AG AMERICAN DEP SHS | P | 10/20/05 | 08/24/10 |
| e | 525 SHS PEPSICO INC | P | 04/03/01 | 08/24/10 |
| f | 600 SHS PEPSICO INC | P | 04/21/03 | 08/24/10 |
| g | 521 SHS PEPSICO INC | P | 11/26/04 | 08/24/10 |
| h | 336 SHS POTASH CORP SASK INC | P | 05/14/08 | 08/24/10 |
| i | 1000 SHS PROCTER & GAMBLE CO | P | 12/12/03 | 08/24/10 |
| j | 625 SHS PROCTER & GAMBLE CO | P | 11/26/04 | 08/24/10 |
| k | 83 SHS PROCTER & GAMBLE CO | P | 12/27/04 | 08/24/10 |
| l | 1216 SHS SPDR SER TR S&P BIOTECH ETF | P | 04/26/10 | 08/24/10 |
| m | 250 SHS SCHLUMBERGER LTD | P | 12/12/03 | 08/24/10 |
| n | 1120 SHS SCHLUMBERGER LTD | P | 11/26/04 | 08/24/10 |
| o | 1064 SHS SUNCOR ENERGY INC | P | 10/20/05 | 08/24/10 |

| | (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 | 71,600. | | 74,125. | <2,525.> |
| b | 74,790. | | 73,902. | 888. |
| c | 55,039. | | | 55,039. |
| d | 68,781. | | 73,061. | <4,280.> |
| e | 34,083. | | 22,523. | 11,560. |
| f | 38,953. | | 25,160. | 13,793. |
| g | 33,824. | | 26,816. | 7,008. |
| h | 50,182. | | 67,423. | <17,241.> |
| i | 59,806. | | 48,586. | 11,220. |
| j | 37,379. | | 33,713. | 3,666. |
| k | 4,964. | | 4,608. | 356. |
| l | 64,407. | | 73,427. | <9,020.> |
| m | 13,806. | | 6,376. | 7,430. |
| n | 61,852. | | 37,943. | 23,909. |
| o | 32,223. | | 27,123. | 5,100. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <2,525.> |
| b | | | | 888. |
| c | | | | 55,039. |
| d | | | | <4,280.> |
| e | | | | 11,560. |
| f | | | | 13,793. |
| g | | | | 7,008. |
| h | | | | <17,241.> |
| i | | | | 11,220. |
| j | | | | 3,666. |
| k | | | | 356. |
| l | | | | <9,020.> |
| m | | | | 7,430. |
| n | | | | 23,909. |
| o | | | | 5,100. |

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

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

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 2742 SHS TEXAS INSTRUMENTS INC | P | 01/02/50 | 08/24/10 |
| b | 1944 SHS US BANCORP DEL COM | P | 04/26/10 | 08/24/10 |
| c | 2366 SHS UNILEVER N V NEW YORK SHS ADR | P | 04/26/10 | 08/24/10 |
| d | 1176 SHS UNITED TECHNOLOGIES CORP | P | 11/26/04 | 08/24/10 |
| e | 2450 SHS VERIZON COMMUNICATIONS | P | 06/27/08 | 08/24/10 |
| f | 1994 SHS WAL-MART STORES INC | P | 04/26/10 | 08/24/10 |
| g | 2194 SHS WELLS FARGO & CO | P | 04/26/10 | 08/24/10 |
| h | 1030 SHS WOODSIDE PETROLEUM LTD | P | 06/27/08 | 08/24/10 |
| i | 216 SHS WOODSIDE PETROLEUM LTD | P | 04/26/10 | 08/24/10 |
| j | 3438 SHS AT&T INC | P | 03/02/07 | 08/24/10 |
| k | 1000 SHS CISCO SYSTEMS INC | P | 06/23/00 | 08/24/10 |
| l | 960 SHS CISCO SYSTEMS INC | P | 10/20/00 | 08/24/10 |
| m | 698 SHS CISCO SYSTEMS INC | P | 11/26/04 | 08/24/10 |
| n | 4616 SHS COMPANHIA ENERGETICA DE MINAS GERAIS CE | P | 04/26/10 | 08/24/10 |
| o | 2305 SHS DUKE ENERGY CORP | P | 04/21/03 | 08/24/10 |

| | (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 | 66,597. | | | 66,597. |
| b | 41,576. | | 52,912. | <11,336.> |
| c | 62,835. | | 73,649. | <10,814.> |
| d | 77,614. | | 57,298. | 20,316. |
| e | 72,542. | | 84,425. | <11,883.> |
| f | 102,664. | | 108,530. | <5,866.> |
| g | 52,255. | | 72,771. | <20,516.> |
| h | 38,795. | | 67,012. | <28,217.> |
| i | 8,136. | | 9,336. | <1,200.> |
| j | 91,818. | | 126,071. | <34,253.> |
| k | 21,209. | | 63,820. | <42,611.> |
| l | 20,361. | | 56,287. | <35,926.> |
| m | 14,804. | | 13,464. | 1,340. |
| n | 69,297. | | 76,553. | <7,256.> |
| o | 39,590. | | 28,873. | 10,717. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 66,597. |
| b | | | | <11,336.> |
| c | | | | <10,814.> |
| d | | | | 20,316. |
| e | | | | <11,883.> |
| f | | | | <5,866.> |
| g | | | | <20,516.> |
| h | | | | <28,217.> |
| i | | | | <1,200.> |
| j | | | | <34,253.> |
| k | | | | <42,611.> |
| l | | | | <35,926.> |
| m | | | | 1,340. |
| n | | | | <7,256.> |
| o | | | | 10,717. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 1027 SHS DUKE ENERGY CORP | P | 12/27/04 | 08/24/10 |
| b | 375 SHS MICROSOFT CORP | P | 01/27/05 | 08/24/10 |
| c | 3093 SHS MICROSOFT CORP | P | 01/23/06 | 08/24/10 |
| d | 3444 SHS ORACLE CORP | P | 05/14/08 | 08/24/10 |
| e | 4364 SHS PFIZER INC | P | 04/26/10 | 08/24/10 |
| f | 518 SHS ACE LTD | P | 01/02/50 | 10/18/10 |
| g | 1220 SHS ABB LTD SPON ADR | P | 06/27/08 | 10/18/10 |
| h | 1662 SHS AT&T INC | P | 03/02/07 | 10/18/10 |
| i | 916 SHS AT&T INC | P | 04/26/10 | 10/18/10 |
| j | 1050 SHS ABBOTT LABS | P | 01/23/06 | 10/18/10 |
| k | 392 SHS AIR PRODUCTS & CHEM INC | P | 11/26/04 | 10/18/10 |
| l | 139 SHS AIR PRODUCTS & CHEM INC | P | 12/27/04 | 10/18/10 |
| m | 1809 SHS AUTOMATIC DATA PROCESSING | P | 04/26/10 | 10/18/10 |
| n | 693 SHS BHP BILLITON LTD | P | 04/26/10 | 10/18/10 |
| o | 802 SHS CATERPILLAR INC | P | 04/26/10 | 10/18/10 |

| | (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 | 17,639. | | 15,738. | 1,901. |
| b | 9,044. | | 9,796. | <752.> |
| c | 74,592. | | 81,965. | <7,373.> |
| d | 77,512. | | 75,489. | 2,023. |
| e | 69,175. | | 73,490. | <4,315.> |
| f | 31,204. | | | 31,204. |
| g | 27,267. | | 35,145. | <7,878.> |
| h | 47,649. | | 60,945. | <13,296.> |
| i | 26,261. | | 24,181. | 2,080. |
| j | 56,258. | | 42,662. | 13,596. |
| k | 32,500. | | 22,478. | 10,022. |
| l | 11,524. | | 8,119. | 3,405. |
| m | 77,714. | | 82,597. | <4,883.> |
| n | 57,000. | | 40,547. | 16,453. |
| o | 64,336. | | 57,959. | 6,377. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 1,901. |
| b | | | | <752.> |
| c | | | | <7,373.> |
| d | | | | 2,023. |
| e | | | | <4,315.> |
| f | | | | 31,204. |
| g | | | | <7,878.> |
| h | | | | <13,296.> |
| i | | | | 2,080. |
| j | | | | 13,596. |
| k | | | | 10,022. |
| l | | | | 3,405. |
| m | | | | <4,883.> |
| n | | | | 16,453. |
| o | | | | 6,377. |

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

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

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 994 SHS CHEVRON CORP | P | 04/26/10 | 10/18/10 |
| b | 778 SHS CHUBB CORP | P | 04/26/10 | 10/18/10 |
| c | 1993 SHS CISCO SYSTEMS INC | P | 11/26/04 | 10/18/10 |
| d | 3461 SHS COMPANHIA ENERGETICA DE MINAS GERAIS CE | P | 04/26/10 | 10/18/10 |
| e | 2499 SHS DUKE ENERGY CORP | P | 12/27/04 | 10/18/10 |
| f | 1368 SHS EMC CORP MASS | P | 03/02/07 | 10/18/10 |
| g | 80 SHS EMERSON ELECTRIC CO | P | 04/03/02 | 10/18/10 |
| h | 1200 SHS EMERSON ELECTRIC CO | P | 11/26/04 | 10/18/10 |
| i | 47 SHS EMERSON ELECTRIC CO | P | 12/27/04 | 10/18/10 |
| j | 591 SHS EXXON MOBIL CORP | P | 06/23/00 | 10/18/10 |
| k | 1539 SHS GENERAL MILLS INC | P | 06/27/08 | 10/18/10 |
| l | 505 SHS HEWLETT PACKARD CO | P | 04/26/10 | 10/18/10 |
| m | 1711 SHS INTEL CORP | P | 04/26/10 | 10/18/10 |
| n | 83 SHS IBM CORP | P | 11/26/04 | 10/18/10 |
| o | 100 SHS IBM CORP | P | 01/27/05 | 10/18/10 |

| | (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 | 83,992. | | 82,301. | 1,691. |
| b | 45,084. | | 41,801. | 3,283. |
| c | 46,496. | | 38,445. | 8,051. |
| d | 62,608. | | 57,398. | 5,210. |
| e | 44,107. | | 38,296. | 5,811. |
| f | 28,400. | | 18,673. | 9,727. |
| g | 4,300. | | 2,240. | 2,060. |
| h | 64,499. | | 40,484. | 24,015. |
| i | 2,526. | | 1,636. | 890. |
| j | 39,242. | | 24,750. | 14,492. |
| k | 57,558. | | 46,336. | 11,222. |
| l | 21,932. | | 27,527. | <5,595.> |
| m | 32,834. | | 41,146. | <8,312.> |
| n | 11,848. | | 7,901. | 3,947. |
| o | 14,275. | | 9,239. | 5,036. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 1,691. |
| b | | | | 3,283. |
| c | | | | 8,051. |
| d | | | | 5,210. |
| e | | | | 5,811. |
| f | | | | 9,727. |
| g | | | | 2,060. |
| h | | | | 24,015. |
| i | | | | 890. |
| j | | | | 14,492. |
| k | | | | 11,222. |
| l | | | | <5,595.> |
| m | | | | <8,312.> |
| n | | | | 3,947. |
| o | | | | 5,036. |

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

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

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 225 SHS IBM CORP | P | 10/04/07 | 10/18/10 |
| b | 223 SHS IBM CORP | P | 04/26/10 | 10/18/10 |
| c | 912 SHS ISHARES TR DOW JONES US MEDICAL DEVICES I | P | 04/26/10 | 10/18/10 |
| d | 1017 SHS JPMORGAN CHASE & CO | P | 05/14/08 | 10/18/10 |
| e | 181 SHS JPMORGAN CHASE & CO | P | 06/27/08 | 10/18/10 |
| f | 831 SHS JOHNSON & JOHNSON | P | 04/26/10 | 10/18/10 |
| g | 862 SHS KIMBERLY CLARK CORP | P | 04/26/10 | 10/18/10 |
| h | 1509 SHS ELI LILLY & CO | P | 04/26/10 | 10/18/10 |
| i | 1018 SHS LOWES COS INC | P | 04/26/10 | 10/18/10 |
| j | 772 SHS MCDONALDS CORP | P | 04/26/10 | 10/18/10 |
| k | 1563 SHS MERCK & CO INC | P | 04/26/10 | 10/18/10 |
| l | 1632 SHS MICROSOFT CORP | P | 01/23/06 | 10/18/10 |
| m | 969 SHS MICROSOFT CORP | P | 04/26/10 | 10/18/10 |
| n | 1111 SHS NESTLE SA SPON ADR | P | 04/26/10 | 10/18/10 |
| o | 757 SHS NEXTERA ENERGY INC | P | 01/02/50 | 10/18/10 |

| | (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 | 32,118. | | 26,251. | 5,867. |
| b | 31,833. | | 29,072. | 2,761. |
| c | 49,804. | | 54,395. | <4,591.> |
| d | 38,817. | | 46,782. | <7,965.> |
| e | 6,908. | | 6,266. | 642. |
| f | 53,058. | | 54,013. | <955.> |
| g | 57,557. | | 52,512. | 5,045. |
| h | 57,371. | | 53,585. | 3,786. |
| i | 21,469. | | 29,042. | <7,573.> |
| j | 59,790. | | 54,896. | 4,894. |
| k | 58,065. | | 55,593. | 2,472. |
| l | 42,089. | | 43,248. | <1,159.> |
| m | 24,990. | | 30,163. | <5,173.> |
| n | 60,648. | | 55,402. | 5,246. |
| o | 42,202. | | | 42,202. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | |
| a | | | | 5,867. |
| b | | | | 2,761. |
| c | | | | <4,591.> |
| d | | | | <7,965.> |
| e | | | | 642. |
| f | | | | <955.> |
| g | | | | 5,045. |
| h | | | | 3,786. |
| i | | | | <7,573.> |
| j | | | | 4,894. |
| k | | | | 2,472. |
| l | | | | <1,159.> |
| m | | | | <5,173.> |
| n | | | | 5,246. |
| o | | | | 42,202. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 1027 SHS NOVARTIS AG AMERICAN DEP SYS | P | 10/20/05 | 10/18/10 |
| b | 2583 SHS ORACLE CORP | P | 05/14/08 | 10/18/10 |
| c | 404 SHS PEPSICO INC | P | 11/26/04 | 10/18/10 |
| d | 675 SHS PEPSICO INC | P | 12/27/04 | 10/18/10 |
| e | 155 SHS PEPSICO INC | P | 01/27/05 | 10/18/10 |
| f | 3273 SHS PFIZER INC | P | 04/26/10 | 10/18/10 |
| g | 164 SHS POTASH CORP OF SASK INC | P | 05/14/08 | 10/18/10 |
| h | 88 SHS POTASH CORP OF SASK INC | P | 06/27/08 | 10/18/10 |
| i | 417 SHS PROCTER & GAMBLE CO | P | 12/27/04 | 10/18/10 |
| j | 475 SHS PROCTER & GAMBLE CO | P | 01/27/05 | 10/18/10 |
| k | 389 SHS PROCTER & GAMBLE CO | P | 03/24/05 | 10/18/10 |
| l | 912 SHS SPDR SER TR S&P BIOTECH ETF | P | 04/26/10 | 10/18/10 |
| m | 280 SHS SCHLUMBERGER LTD | P | 11/26/04 | 10/18/10 |
| n | 550 SHS SCHLUMBERGER LTD | P | 12/27/04 | 10/18/10 |
| o | 197 SHS SCHLUMBERGER LTD | P | 01/27/05 | 10/18/10 |

| | (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 | 61,290. | | 54,769. | 6,521. |
| b | 75,321. | | 56,617. | 18,704. |
| c | 26,898. | | 20,794. | 6,104. |
| d | 44,941. | | 35,187. | 9,754. |
| e | 10,320. | | 8,304. | 2,016. |
| f | 58,357. | | 55,117. | 3,240. |
| g | 23,491. | | 32,909. | <9,418.> |
| h | 12,605. | | 19,892. | <7,287.> |
| i | 26,437. | | 23,152. | 3,285. |
| j | 30,114. | | 26,237. | 3,877. |
| k | 24,662. | | 20,508. | 4,154. |
| l | 56,151. | | 55,070. | 1,081. |
| m | 18,048. | | 9,486. | 8,562. |
| n | 35,452. | | 18,156. | 17,296. |
| o | 12,698. | | 6,635. | 6,063. |

| 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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
| a | | | | 6,521. |
| b | | | | 18,704. |
| c | | | | 6,104. |
| d | | | | 9,754. |
| e | | | | 2,016. |
| f | | | | 3,240. |
| g | | | | <9,418.> |
| h | | | | <7,287.> |
| i | | | | 3,285. |
| j | | | | 3,877. |
| k | | | | 4,154. |
| l | | | | 1,081. |
| m | | | | 8,562. |
| n | | | | 17,296. |
| o | | | | 6,063. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 798 SHS SUNCOR ENERGY INC | P | 10/20/05 | 10/18/10 |
| b | 2056 SHS TEXAS INSTRUMENTS INC | P | 01/02/50 | 10/18/10 |
| c | 1458 SHS US BANCORP DEL COM | P | 04/26/10 | 10/18/10 |
| d | 1774 SHS UNILEVER N V NEW YORK SHS ADR | P | 04/26/10 | 10/18/10 |
| e | 349 SHS UNITED TECHNOLOGIES CORP | P | 11/26/04 | 10/18/10 |
| f | 533 SHS UNITED TECHNOLOGIES CORP | P | 12/27/04 | 10/18/10 |
| g | 1837 SHS VERIZON COMMUNICATIONS | P | 06/27/08 | 10/18/10 |
| h | 1495 SHS WAL-MART STORES INC | P | 04/26/10 | 10/18/10 |
| i | 1645 SHS WELLS FARGO & CO | P | 04/26/10 | 10/18/10 |
| j | 934 SHS WOODSIDE PETROLEUM LTD | P | 04/26/10 | 10/18/10 |
| k | 1083 SHS CANADIAN NATIONAL RAILWAYS CO | P | 11/26/04 | 10/18/10 |
| l | 4520 SHS BP PLC SPON ADR | P | 04/26/10 | 06/10/10 |
| m | 1250 SHS ABB LTD SPON ADR | P | 06/27/08 | 04/26/10 |
| n | 2475 SHS ACE LTD | P | 05/14/08 | 04/26/10 |
| o | 890 SHS CANADIAN NATIONAL RAILWAYS CO | P | 12/27/04 | 04/26/10 |

| | (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 | 27,347. | | 20,342. | 7,005. |
| b | 58,245. | | | 58,245. |
| c | 33,621. | | 39,684. | <6,063.> |
| d | 52,953. | | 55,221. | <2,268.> |
| e | 26,091. | | 17,004. | 9,087. |
| f | 39,846. | | 27,981. | 11,865. |
| g | 59,868. | | 63,301. | <3,433.> |
| h | 80,430. | | 81,370. | <940.> |
| i | 40,762. | | 54,562. | <13,800.> |
| j | 40,731. | | 40,367. | 364. |
| k | 72,100. | | 31,337. | 40,763. |
| l | 145,144. | | 264,448. | <119,304.> |
| m | 25,902. | | 36,009. | <10,107.> |
| n | 130,835. | | 152,351. | <21,516.> |
| o | 56,154. | | 26,469. | 29,685. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 7,005. |
| b | | | | 58,245. |
| c | | | | <6,063.> |
| d | | | | <2,268.> |
| e | | | | 9,087. |
| f | | | | 11,865. |
| g | | | | <3,433.> |
| h | | | | <940.> |
| i | | | | <13,800.> |
| j | | | | 364. |
| k | | | | 40,763. |
| l | | | | <119,304.> |
| m | | | | <10,107.> |
| n | | | | <21,516.> |
| o | | | | 29,685. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 5050 SHS HUSKY ENERGY INC | P | 10/04/07 | 04/26/10 |
| b | 1830 SHS PETROLEO BRASILEIRO SA SPON ADR | P | 06/27/08 | 04/26/10 |
| c | 4100 SHS ROCHE HOLDING LTD SPON ADR | P | 10/20/05 | 04/26/10 |
| d | 2490 SHS SUNCOR ENERGY INC | P | 10/20/05 | 04/26/10 |
| e | 1350 SHS SUNCOR ENERGY INC | P | 01/23/06 | 04/26/10 |
| f | 4300 SHS TEVA PHARM INDS LTD ADR | P | 03/02/07 | 04/26/10 |
| g | 8650 SHS VALE S A SPON ADR | P | 03/02/07 | 04/26/10 |
| h | 1575 SHS 3M COMPANY | P | 03/24/05 | 04/26/10 |
| i | 3375 SHS ADOBE SYSTEMS INC | P | 03/02/07 | 04/26/10 |
| j | 830 SHS AIR PRODUCTS & CHEMICALS INC | P | 12/27/04 | 04/26/10 |
| k | 4790 SHS EMC CORP MASS | P | 03/02/07 | 04/26/10 |
| l | 250 SHS EXELON CORP | P | 04/21/03 | 04/26/10 |
| m | 1650 SHS EXELON CORP | P | 12/27/04 | 04/26/10 |
| n | 100 SHS EXXON MOBIL CORP | P | 12/27/04 | 04/26/10 |
| o | 130 SHS EXXON MOBIL CORP | P | 06/23/00 | 04/26/10 |

| | (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 | 153,575. | | 213,623. | <60,048.> |
| b | 79,003. | | 125,724. | <46,721.> |
| c | 163,423. | | 147,744. | 15,679. |
| d | 85,783. | | 63,474. | 22,309. |
| e | 46,509. | | 49,430. | <2,921.> |
| f | 260,452. | | 149,941. | 110,511. |
| g | 281,899. | | 142,292. | 139,607. |
| h | 137,749. | | 134,634. | 3,115. |
| i | 121,876. | | 131,414. | <9,538.> |
| j | 65,804. | | 48,478. | 17,326. |
| k | 95,374. | | 65,384. | 29,990. |
| l | 11,008. | | 6,419. | 4,589. |
| m | 72,651. | | 73,128. | <477.> |
| n | 6,906. | | 5,142. | 1,764. |
| o | 8,978. | | 5,444. | 3,534. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | <60,048.> |
| b | | | | <46,721.> |
| c | | | | 15,679. |
| d | | | | 22,309. |
| e | | | | <2,921.> |
| f | | | | 110,511. |
| g | | | | 139,607. |
| h | | | | 3,115. |
| i | | | | <9,538.> |
| j | | | | 17,326. |
| k | | | | 29,990. |
| l | | | | 4,589. |
| m | | | | <477.> |
| n | | | | 1,764. |
| o | | | | 3,534. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g , real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 525 SHS GENERAL ELECTRIC CO | P | 05/26/98 | 04/26/10 |
| b | 900 SHS GENERAL ELECTRIC CO | P | 11/26/04 | 04/26/10 |
| c | 300 SHS GENERAL ELECTRIC CO | P | 01/27/05 | 04/26/10 |
| d | 325 SHS GENERAL ELECTRIC CO | P | 12/27/04 | 04/26/10 |
| e | 1450 SHS GENERAL ELECTRIC CO | P | 01/23/06 | 04/26/10 |
| f | 680 SHS GENERAL ELECTRIC CO | P | 05/14/08 | 04/26/10 |
| g | 1825 SHS GENZYME CORP | P | 12/27/04 | 04/26/10 |
| h | 425 SHS GENZYME CORP | P | 11/26/04 | 04/26/10 |
| i | 3250 SHS GILEAD SCIENCES INC | P | 06/21/07 | 04/26/10 |
| j | 125 SHS GOOGLE INC CL A | P | 10/04/07 | 04/26/10 |
| k | 245 SHS GOOGLE INC CL A | P | 06/21/07 | 04/26/10 |
| l | 3000 SHS HALLIBURTON CO | P | 01/23/06 | 04/26/10 |
| m | 4125 SHS HALLIBURTON CO | P | 10/20/05 | 04/26/10 |
| n | 1585 SHS JPMORGAN CHASE & CO | P | 05/14/08 | 04/26/10 |
| o | 1290 SHS NOBLE ENERGY INC | P | 06/27/08 | 04/26/10 |

| | (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 | 10,069. | | 14,679. | <4,610.> |
| b | 17,262. | | 32,049. | <14,787.> |
| c | 5,754. | | 10,742. | <4,988.> |
| d | 6,233. | | 11,950. | <5,717.> |
| e | 27,811. | | 48,735. | <20,924.> |
| f | 48,166. | | 42,259. | 5,907. |
| g | 97,221. | | 102,770. | <5,549.> |
| h | 22,640. | | 23,879. | <1,239.> |
| i | 132,734. | | 129,379. | 3,355. |
| j | 66,682. | | 74,268. | <7,586.> |
| k | 130,696. | | 125,828. | 4,868. |
| l | 103,766. | | 112,247. | <8,481.> |
| m | 142,678. | | 120,278. | 22,400. |
| n | 69,552. | | 72,909. | <3,357.> |
| o | 103,898. | | 126,575. | <22,677.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <4,610.> |
| b | | | | <14,787.> |
| c | | | | <4,988.> |
| d | | | | <5,717.> |
| e | | | | <20,924.> |
| f | | | | 5,907. |
| g | | | | <5,549.> |
| h | | | | <1,239.> |
| i | | | | 3,355. |
| j | | | | <7,586.> |
| k | | | | 4,868. |
| l | | | | <8,481.> |
| m | | | | 22,400. |
| n | | | | <3,357.> |
| o | | | | <22,677.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 3675 SHS PALL CORP | P | 01/27/05 | 04/26/10 |
| b | 1325 SHS PALL CORP | P | 03/24/05 | 04/26/10 |
| c | 1135 SHS PEPSICO INC | P | 10/20/05 | 04/26/10 |
| d | 1200 SHS PRECISION CASTPARTS CORP | P | 05/14/08 | 04/26/10 |
| e | 1180 SHS PROTER & GAMBLE CO | P | 10/20/05 | 04/26/10 |
| f | 815 SHS RIO TINTO PLC SPON ADR | P | 12/27/04 | 04/26/10 |
| g | 4250 SHS ROPES INDS INC | P | 03/02/07 | 04/26/10 |
| h | 585 SHS UNITED TECHNOLOGIES CORP | P | 12/27/04 | 04/26/10 |
| i | 5275 SHS WALGREEN CO | P | 06/21/07 | 04/26/10 |
| j | 1250 SHS WALGREEN CO | P | 10/04/07 | 04/26/10 |
| k | 1475 SHS ZIMMER HOLDINGS INC | P | 06/27/08 | 04/26/10 |
| l | 850 SHS ZIMMER HOLDINGS INC | P | 06/21/07 | 04/26/10 |
| m | FRONTIER COMMUNICATIONS CORP - CASH IN LIEU | P | VARIOUS | 07/22/10 |
| n | 450 SHS PALM INC | P | 10/29/07 | 03/19/10 |
| o | 300 SHS PALM INC | P | 01/11/07 | 03/19/10 |

| | (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 | 150,039. | | 98,360. | 51,679. |
| b | 54,096. | | 35,381. | 18,715. |
| c | 73,299. | | 66,454. | 6,845. |
| d | 161,332. | | 151,252. | 10,080. |
| e | 75,261. | | 65,832. | 9,429. |
| f | 192,210. | | 95,151. | 97,059. |
| g | 262,155. | | 225,819. | 36,336. |
| h | 44,741. | | 30,711. | 14,030. |
| i | 188,543. | | 234,052. | <45,509.> |
| j | 44,678. | | 49,383. | <4,705.> |
| k | 90,580. | | 98,847. | <8,267.> |
| l | 52,199. | | 73,384. | <21,185.> |
| m | 2. | | | 2. |
| n | 1,852. | | 4,293. | <2,441.> |
| o | 1,235. | | 1,494. | <259.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 51,679. |
| b | | | | 18,715. |
| c | | | | 6,845. |
| d | | | | 10,080. |
| e | | | | 9,429. |
| f | | | | 97,059. |
| g | | | | 36,336. |
| h | | | | 14,030. |
| i | | | | <45,509.> |
| j | | | | <4,705.> |
| k | | | | <8,267.> |
| l | | | | <21,185.> |
| m | | | | 2. |
| n | | | | <2,441.> |
| o | | | | <259.> |

| | | |
|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 550 SHS KB HOME | P | 01/11/08 | 03/26/10 |
| b | 500 SHS ARROW ELECTRONICS INC | P | 11/17/04 | 03/29/10 |
| c | 250 SHS ARROW ELECTRONICS INC | P | 02/25/05 | 03/29/10 |
| d | 700 SHS PALM INC | P | 01/11/07 | 03/29/10 |
| e | 150 SHS GILEAD SCIENCES INC | P | 12/01/04 | 05/05/10 |
| f | 100 SHS GILEAD SCIENCES INC | P | 10/21/04 | 05/05/10 |
| g | 100 SHS OSI PHARM INC | P | 05/11/06 | 05/07/10 |
| h | 100 SHS OSI PHARM INC | P | 03/02/07 | 05/07/10 |
| i | 100 SHS OSI PHARM INC | P | 05/11/06 | 06/08/10 |
| j | 10 SHS ASCENT MEDIA CORP SER A | P | 07/19/05 | 09/13/10 |
| k | 40 SHS ASCENT MEDIA CORP SER A | P | 07/26/06 | 09/13/10 |
| l | 20 SHS ASCENT MEDIA CORP SER A | P | 07/10/08 | 09/13/10 |
| m | 100 SHS BUCYRUS INTL INC | P | 03/12/07 | 09/13/10 |
| n | 250 SHS COGNEX CORP | P | 03/04/05 | 09/15/10 |
| o | 80 SHS COGNEX CORP | P | 06/16/05 | 09/15/10 |

| | (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 | 9,328. | | 9,830. | <502.> |
| b | 14,770. | | 12,525. | 2,245. |
| c | 7,385. | | 6,762. | 623. |
| d | 2,718. | | 3,486. | <768.> |
| e | 5,843. | | 2,629. | 3,214. |
| f | 3,896. | | 1,855. | 2,041. |
| g | 5,727. | | 2,690. | 3,037. |
| h | 2,863. | | 1,680. | 1,183. |
| i | 23,000. | | 10,761. | 12,239. |
| j | 282. | | 69. | 213. |
| k | 1,128. | | 250. | 878. |
| l | 564. | | 189. | 375. |
| m | 6,822. | | 2,641. | 4,181. |
| n | 5,635. | | 7,008. | <1,373.> |
| o | 1,803. | | 2,117. | <314.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <502.> |
| b | | | | 2,245. |
| c | | | | 623. |
| d | | | | <768.> |
| e | | | | 3,214. |
| f | | | | 2,041. |
| g | | | | 3,037. |
| h | | | | 1,183. |
| i | | | | 12,239. |
| j | | | | 213. |
| k | | | | 878. |
| l | | | | 375. |
| m | | | | 4,181. |
| n | | | | <1,373.> |
| o | | | | <314.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 520 SHS L 1 IDENTITY SOLUTIONS INC | P | 10/31/06 | 09/17/10 |
| b | 650 SHS GENCORP INC | P | 09/20/06 | 10/05/10 |
| c | 900 SHS GENCORP INC | P | 05/14/07 | 10/05/10 |
| d | 330 SHS L 1 IDENTITY SOLUTIONS INC | P | 10/31/06 | 11/04/10 |
| e | 150 SHS L 1 IDENTITY SOLUTIONS INC | P | 01/20/09 | 11/04/10 |
| f | UNIFI INC - FRAC SH | P | 09/02/04 | 11/23/10 |
| g | MADISON SQUARE GARDEN CASH IN LIEU | P | VARIOUS | 02/16/10 |
| h | BAKER HUGHES INC CASH IN LIEU | P | VARIOUS | 05/03/10 |
| i | VISHAY PRECISION GROUP INC CASH IN LIEU | P | VARIOUS | 07/30/10 |
| j | 500 SHS CANADIAN NATURAL RESOURCES LTD | P | 08/03/09 | 01/26/10 |
| k | 7000 SHS CHARLES SCHWAB CORP | P | 09/25/09 | 02/12/10 |
| l | 2500 SHS HSBC HOLDINGS PLC SPON ADR | P | 07/30/09 | 02/17/10 |
| m | 250 SHS SUNCOR ENERGY INC | P | 09/18/09 | 02/17/10 |
| n | 1000 SHS SUNCOR ENERGY INC | P | 05/06/09 | 02/17/10 |
| o | 500 SHS PRAXAIR INC | P | 01/25/10 | 02/18/10 |

| | (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 | 5,069. | | 7,429. | <2,360.> |
| b | 3,063. | | 8,956. | <5,893.> |
| c | 4,241. | | 12,285. | <8,044.> |
| d | 3,888. | | 4,715. | <827.> |
| e | 1,767. | | 998. | 769. |
| f | 5. | | 2. | 3. |
| g | 10. | | | 10. |
| h | 15. | | | 15. |
| i | 2. | | | 2. |
| j | 33,165. | | 32,347. | 818. |
| k | 123,186. | | 129,206. | <6,020.> |
| l | 134,122. | | 122,843. | 11,279. |
| m | 7,546. | | 9,227. | <1,681.> |
| n | 30,183. | | 29,735. | 448. |
| o | 38,781. | | 39,906. | <1,125.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <2,360.> |
| b | | | | <5,893.> |
| c | | | | <8,044.> |
| d | | | | <827.> |
| e | | | | 769. |
| f | | | | 3. |
| g | | | | 10. |
| h | | | | 15. |
| i | | | | 2. |
| j | | | | 818. |
| k | | | | <6,020.> |
| l | | | | 11,279. |
| m | | | | <1,681.> |
| n | | | | 448. |
| o | | | | <1,125.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 500 SHS PRAXAIR INC | P | 08/05/09 | 02/18/10 |
| b | 3500 SHS CORNING INC | P | 01/14/10 | 03/03/10 |
| c | 1250 SHS NORFOLK SOUTHERN CORP | P | 01/19/10 | 03/03/10 |
| d | 250 SHS C H ROBINSON WORLDWIDE INC | P | 10/28/09 | 03/15/10 |
| e | 500 SHS C H ROBINSON WORLDWIDE INC | P | 11/12/09 | 03/15/10 |
| f | 750 SHS C H ROBINSON WORLDWIDE INC | P | 12/07/09 | 03/15/10 |
| g | 10000 SHS BANCO SANTANDER SA ADR REPR | P | 10/12/09 | 04/15/10 |
| h | 3525 SHS BANCO SANTANDER SA ADR REPR | P | 01/11/10 | 04/15/10 |
| i | 550 SHS CANADIAN NATURAL RESOURCES LTD | P | 05/05/09 | 04/29/10 |
| j | 2 SHS ASCENT MEDIA CORP SER A | P | 09/07/04 | 09/13/10 |
| k | 1250 SHS JPMORGAN CHASE & CO | P | 01/06/10 | 05/11/10 |
| l | 1500 SHS VERISK ANALYTICS INC CL A | P | 10/15/09 | 05/17/10 |
| m | 750 SHS BHP BILLITON PLC SPON ADR | P | 12/22/09 | 06/02/10 |
| n | 400 SHS CATERPILLAR INC | P | 12/07/09 | 06/02/10 |
| o | 1200 SHS CATERPILLAR INC | P | 09/11/09 | 06/02/10 |

| | (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 | 38,781. | | 38,826. | <45.> |
| b | 62,102. | | 70,602. | <8,500.> |
| c | 65,610. | | 66,206. | <596.> |
| d | 13,432. | | 14,141. | <709.> |
| e | 26,865. | | 28,819. | <1,954.> |
| f | 40,297. | | 42,968. | <2,671.> |
| g | 121,296. | | 131,004. | <9,708.> |
| h | 42,757. | | 48,888. | <6,131.> |
| i | 42,413. | | 27,793. | 14,620. |
| j | 56. | | 12. | 44. |
| k | 52,061. | | 54,845. | <2,784.> |
| l | 46,545. | | 42,298. | 4,247. |
| m | 41,142. | | 46,166. | <5,024.> |
| n | 24,215. | | 22,992. | 1,223. |
| o | 72,646. | | 58,217. | 14,429. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <45.> |
| b | | | | <8,500.> |
| c | | | | <596.> |
| d | | | | <709.> |
| e | | | | <1,954.> |
| f | | | | <2,671.> |
| g | | | | <9,708.> |
| h | | | | <6,131.> |
| i | | | | 14,620. |
| j | | | | 44. |
| k | | | | <2,784.> |
| l | | | | 4,247. |
| m | | | | <5,024.> |
| n | | | | 1,223. |
| o | | | | 14,429. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 400 SHS CATERPILLAR INC | P | 01/06/10 | 06/02/10 |
| b | 750 SHS BAXTER INTL INC | P | 07/21/09 | 06/25/10 |
| c | 1000 SHS BAXTER INTL INC | P | 12/08/09 | 06/25/10 |
| d | 1500 SHS BAXTER INTL INC | P | 07/01/09 | 06/25/10 |
| e | 750 SHS BLACKROCK INC CL A | P | 11/09/06 | 01/06/10 |
| f | 2000 SHS EXPEDITORS INTL OF WASH INC | P | 11/02/04 | 01/12/10 |
| g | 3250 SHS ENBRIDGE INC | P | 07/06/05 | 02/19/10 |
| h | 1000 SHS ENBRIDGE INC | P | 04/02/07 | 02/19/10 |
| i | 1500 SHS C H ROBINSON WORLDWIDE INC | P | 04/24/08 | 03/15/10 |
| j | 150 SHS GOLDMAN SACHS GROUP INC | P | 03/23/09 | 04/16/10 |
| k | 1200 SHS CANADIAN NATURAL RESOURCES LTD | P | 05/05/09 | 05/11/10 |
| l | 250 SHS JPMORGAN CHASE & CO | P | 11/06/08 | 05/11/10 |
| m | 6 SHS VORNADO REALTY TRUST | P | 12/14/09 | 02/17/10 |
| n | 1310 SHS VORNADO REALTY TRUST | P | 04/23/09 | 02/17/10 |
| o | .47 SHS VORNADO REALTY TRUST | P | 12/14/09 | 02/19/10 |

| | (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 | 24,215. | | 23,899. | 316. |
| b | 31,000. | | 40,148. | <9,148.> |
| c | 41,334. | | 55,356. | <14,022.> |
| d | 62,001. | | 79,255. | <17,254.> |
| e | 176,634. | | 107,526. | 69,108. |
| f | 69,049. | | 50,966. | 18,083. |
| g | 144,987. | | 94,757. | 50,230. |
| h | 44,611. | | 32,681. | 11,930. |
| i | 80,595. | | 93,141. | <12,546.> |
| j | 24,795. | | 15,758. | 9,037. |
| k | 86,899. | | 60,640. | 26,259. |
| l | 10,412. | | 9,751. | 661. |
| m | 383. | | 413. | <30.> |
| n | 83,707. | | 59,782. | 23,925. |
| o | 30. | | 32. | <2.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 316. |
| b | | | | <9,148.> |
| c | | | | <14,022.> |
| d | | | | <17,254.> |
| e | | | | 69,108. |
| f | | | | 18,083. |
| g | | | | 50,230. |
| h | | | | 11,930. |
| i | | | | <12,546.> |
| j | | | | 9,037. |
| k | | | | 26,259. |
| l | | | | 661. |
| m | | | | <30.> |
| n | | | | 23,925. |
| o | | | | <2.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | .1 SHS VORNADO REALTY TRUST | P | 04/23/09 | 02/19/10 |
| b | 400 SHS ARCH CAPITAL GROUP LTD | P | 03/02/10 | 08/16/10 |
| c | 100 SHS ARCH CAPITAL GROUP LTD | P | 03/03/10 | 08/16/10 |
| d | 600 SHS PARTNERRE LTD | P | 08/03/09 | 08/16/10 |
| e | 100 SHS PARTNERRE LTD | P | 09/02/09 | 08/16/10 |
| f | 1500 SHS TEEKAY CORP MARSHALL ISLAND | P | 01/02/50 | 08/16/10 |
| g | 700 SHS TEEKAY CORP MARSHALL ISLAND | P | 10/28/09 | 08/16/10 |
| h | 2400 SHS AMERICAN TOWER CORP CL A | P | 08/26/05 | 08/16/10 |
| i | 600 SHS BHP BILLITON PLC SPON ADR | P | 12/22/09 | 08/16/10 |
| j | 425 SHS CATERPILLAR INC | P | 09/11/09 | 08/16/10 |
| k | 1000 SHS COCA COLA ENTERPRISES INC | P | 01/02/50 | 08/16/10 |
| l | 900 SHS DUOYUAN GLOBAL WATER INC SPON ADR | P | 01/29/10 | 08/16/10 |
| m | 2000 SHS EBAY INC | P | 05/06/10 | 08/16/10 |
| n | 400 SHS ECOLAB INC | P | 05/05/10 | 08/16/10 |
| o | 150 SHS GOLDMAN SACHS GROUP INC | P | 03/23/09 | 08/16/10 |

| | (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 | 7. | | 5. | 2. |
| b | 30,902. | | 29,800. | 1,102. |
| c | 7,725. | | 1,451. | 6,274. |
| d | 43,385. | | 40,932. | 2,453. |
| e | 7,231. | | 7,282. | <51.> |
| f | 38,838. | | | 38,838. |
| g | 18,124. | | 14,855. | 3,269. |
| h | 110,117. | | 56,457. | 53,660. |
| i | 36,802. | | 36,930. | <128.> |
| j | 29,168. | | 20,617. | 8,551. |
| k | 28,660. | | 26,017. | 2,643. |
| l | 21,447. | | 25,654. | <4,207.> |
| m | 44,160. | | 45,270. | <1,110.> |
| n | 19,136. | | 19,380. | <244.> |
| o | 22,080. | | 15,758. | 6,322. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 2. |
| b | | | | 1,102. |
| c | | | | 6,274. |
| d | | | | 2,453. |
| e | | | | <51.> |
| f | | | | 38,838. |
| g | | | | 3,269. |
| h | | | | 53,660. |
| i | | | | <128.> |
| j | | | | 8,551. |
| k | | | | 2,643. |
| l | | | | <4,207.> |
| m | | | | <1,110.> |
| n | | | | <244.> |
| o | | | | 6,322. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 1600 SHS GOLUB CAP BDE INC | P | 04/19/10 | 08/16/10 |
| b | 575 SHS IBM CORP | P | 10/22/09 | 08/16/10 |
| c | 1600 SHS ITC HOLDING CORP | P | 01/28/08 | 08/16/10 |
| d | 1100 SHS JPMORGAN CHASE & CO | P | 11/06/08 | 08/16/10 |
| e | 1100 SHS MEAD JOHNSON NUTRITION CO | P | 01/11/10 | 08/16/10 |
| f | 1100 SHS MEDCO HEALTH SOLUTIONS INC | P | 10/15/09 | 08/16/10 |
| g | 1900 SHS MICROSOFT CORP | P | 04/08/10 | 08/16/10 |
| h | 1200 SHS NEXTERIA ENERGY INC | P | 01/02/50 | 08/16/10 |
| i | 900 SHS NORFOLK SOUTHERN CORP | P | 10/15/09 | 08/16/10 |
| j | 400 SHS OCCIDENTAL PETE CORP | P | 02/12/10 | 08/16/10 |
| k | 1200 SHS PALL CORP | P | 02/19/10 | 08/16/10 |
| l | 1100 SHS PHILIP MORRIS INTL INC | P | 05/04/10 | 08/16/10 |
| m | 1600 SHS PLUM CREEK TIMBER CO INC | P | 09/15/09 | 08/16/10 |
| n | 400 SHS PRAXAIR INC | P | 08/05/09 | 08/16/10 |
| o | 900 SHS PROCTER & GAMBLE CO | P | 06/21/07 | 08/16/10 |

| | (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 | 23,372. | | 23,578. | <206.> |
| b | 73,333. | | 70,347. | 2,986. |
| c | 91,139. | | 84,412. | 6,727. |
| d | 41,282. | | 42,905. | <1,623.> |
| e | 57,680. | | 50,040. | 7,640. |
| f | 50,412. | | 61,861. | <11,449.> |
| g | 46,587. | | 56,503. | <9,916.> |
| h | 62,591. | | | 62,591. |
| i | 49,058. | | 43,513. | 5,545. |
| j | 30,323. | | 31,765. | <1,442.> |
| k | 42,592. | | 44,606. | <2,014.> |
| l | 57,122. | | 53,957. | 3,165. |
| m | 55,169. | | 50,720. | 4,449. |
| n | 35,221. | | 31,061. | 4,160. |
| o | 53,927. | | 55,781. | <1,854.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <206.> |
| b | | | | 2,986. |
| c | | | | 6,727. |
| d | | | | <1,623.> |
| e | | | | 7,640. |
| f | | | | <11,449.> |
| g | | | | <9,916.> |
| h | | | | 62,591. |
| i | | | | 5,545. |
| j | | | | <1,442.> |
| k | | | | <2,014.> |
| l | | | | 3,165. |
| m | | | | 4,449. |
| n | | | | 4,160. |
| o | | | | <1,854.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 1000 SHS RANGE RESOURCES CORP | P | 03/23/09 | 08/16/10 |
| b | 250 SHS RANGE RESOURCES CORP | P | 03/27/09 | 08/16/10 |
| c | 900 SHS SUNCOR ENERGY INC | P | 05/06/09 | 08/16/10 |
| d | 1100 SHS UNITED PARCEL SVC INC CL B | P | 01/02/50 | 08/16/10 |
| e | 1000 SHS VERISK ANALYTICS INC CL A | P | 10/15/09 | 08/16/10 |
| f | 900 SHS VERISK ANALYTICS INC CL A | P | 11/17/09 | 08/16/10 |
| g | 500 SHS VISA INC CL A | P | 02/12/10 | 08/16/10 |
| h | 300 SHS VISA INC CL A | P | 05/03/10 | 08/16/10 |
| i | 2600 SHS YAHOO INC | P | 04/12/10 | 08/16/10 |
| j | 250 SHS ARCH CAPITAL GROUP LTD | P | 03/03/10 | 08/17/10 |
| k | 150 SHS PARTNERRE LTD | P | 09/02/09 | 08/17/10 |
| l | 150 SHS PARTNERRE LTD | P | 09/03/09 | 08/17/10 |
| m | 1100 SHS TEEKAY CORP MARSHALL ISLAND | P | 10/28/09 | 08/17/10 |
| n | 1200 SHS AMERICAN TOWER CORP CL A | P | 08/26/05 | 08/17/10 |
| o | 300 SHS BHP BILLITON PLC SPON ADR | P | 12/22/09 | 08/17/10 |

| | (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 | 35,296. | | 43,792. | <8,496.> |
| b | 8,824. | | 10,636. | <1,812.> |
| c | 28,483. | | 26,761. | 1,722. |
| d | 71,279. | | | 71,279. |
| e | 28,166. | | 28,199. | <33.> |
| f | 25,350. | | 25,049. | 301. |
| g | 36,431. | | 42,193. | <5,762.> |
| h | 21,859. | | 26,828. | <4,969.> |
| i | 35,789. | | 46,232. | <10,443.> |
| j | 19,502. | | 3,626. | 15,876. |
| k | 11,032. | | 10,923. | 109. |
| l | 11,032. | | 10,945. | 87. |
| m | 29,063. | | 23,344. | 5,719. |
| n | 55,637. | | 28,228. | 27,409. |
| o | 17,835. | | 18,465. | <630.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <8,496.> |
| b | | | | <1,812.> |
| c | | | | 1,722. |
| d | | | | 71,279. |
| e | | | | <33.> |
| f | | | | 301. |
| g | | | | <5,762.> |
| h | | | | <4,969.> |
| i | | | | <10,443.> |
| j | | | | 15,876. |
| k | | | | 109. |
| l | | | | 87. |
| m | | | | 5,719. |
| n | | | | 27,409. |
| o | | | | <630.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 200 SHS CATERPILLAR INC | P | 09/11/09 | 08/17/10 |
| b | 500 SHS COCA COLA ENTERPRISES INC | P | 01/02/50 | 08/17/10 |
| c | 450 SHS DUOYUAN GLOBAL WATER INC SPON ADR | P | 01/29/10 | 08/17/10 |
| d | 1000 SHS EBAY INC | P | 05/06/10 | 08/17/10 |
| e | 200 SHS ECOLAB INC | P | 05/05/10 | 08/17/10 |
| f | 50 SHS GOLDMAN SACHS GROUP INC | P | 03/23/09 | 08/17/10 |
| g | 800 SHS GOLUB CAP BDC INC | P | 04/19/10 | 08/17/10 |
| h | 300 SHS IBM CORP | P | 10/22/09 | 08/17/10 |
| i | 800 SHS ITC HOLDINGS CORP | P | 01/28/08 | 08/17/10 |
| j | 400 SHS JPMORGAN CHASE & CO | P | 11/06/08 | 08/17/10 |
| k | 150 SHS JPMORGAN CHASE & CO | P | 07/06/09 | 08/17/10 |
| l | 500 SHS MEAD JOHNSON NUTRITION CO | P | 01/11/10 | 08/17/10 |
| m | 500 SHS MEDCO HEALTH SOLUTIONS INC | P | 10/15/09 | 08/17/10 |
| n | 950 SHS MICROSOFT CORP | P | 04/08/10 | 08/17/10 |
| o | 600 SHS NEXTERIA ENERGY INC | P | 01/02/50 | 08/17/10 |

| | (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 | 13,946. | | 9,702. | 4,244. |
| b | 14,337. | | 13,009. | 1,328. |
| c | 10,714. | | 12,827. | <2,113.> |
| d | 22,270. | | 22,635. | <365.> |
| e | 9,618. | | 9,690. | <72.> |
| f | 7,429. | | 5,253. | 2,176. |
| g | 11,608. | | 11,789. | <181.> |
| h | 38,462. | | 36,703. | 1,759. |
| i | 45,509. | | 42,206. | 3,303. |
| j | 15,116. | | 15,602. | <486.> |
| k | 5,669. | | 4,786. | 883. |
| l | 26,455. | | 22,746. | 3,709. |
| m | 22,955. | | 28,119. | <5,164.> |
| n | 23,512. | | 28,252. | <4,740.> |
| o | 31,433. | | | 31,433. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 4,244. |
| b | | | | 1,328. |
| c | | | | <2,113.> |
| d | | | | <365.> |
| e | | | | <72.> |
| f | | | | 2,176. |
| g | | | | <181.> |
| h | | | | 1,759. |
| i | | | | 3,303. |
| j | | | | <486.> |
| k | | | | 883. |
| l | | | | 3,709. |
| m | | | | <5,164.> |
| n | | | | <4,740.> |
| o | | | | 31,433. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 450 SHS NORFOLK SOUTHERN CORP | P | 10/15/09 | 08/17/10 |
| b | 200 SHS OCCIDENTAL PETE CORP | P | 02/12/10 | 08/17/10 |
| c | 550 SHS PALL CORP | P | 05/05/10 | 08/17/10 |
| d | 550 SHS PHILIP MORRIS INTL INC | P | 05/04/10 | 08/17/10 |
| e | 800 SHS PLUM CREEK TIMBER CO INC | P | 09/15/09 | 08/17/10 |
| f | 200 SHS PRAXAIR INC | P | 08/05/09 | 08/17/10 |
| g | 500 SHS PROCTER & GAMBLE | P | 06/21/07 | 08/17/10 |
| h | 500 SHS RANGE RESOURCES CORP | P | 03/27/09 | 08/17/10 |
| i | 450 SHS SUNCOR ENERGY INC | P | 05/06/09 | 08/17/10 |
| j | 550 SHS UNITED PARCEL SVC INC CL B | P | 01/02/50 | 08/17/10 |
| k | 950 SHS VERISK ANALYTICS INC CL A | P | 11/17/09 | 08/17/10 |
| l | 200 SHS VISA INC CL A | P | 05/03/10 | 08/17/10 |
| m | 200 SHS VISA INC CL A | P | 05/05/10 | 08/17/10 |
| n | 1300 SHS YAHOO INC | P | 04/12/10 | 08/17/10 |
| o | 1600 SHS PLUM CREEK TIMBER CO INC | P | 09/15/09 | 09/02/10 |

| | (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 | 24,934. | | 21,757. | 3,177. |
| b | 15,262. | | 15,883. | <621.> |
| c | 19,822. | | 21,040. | <1,218.> |
| d | 28,779. | | 26,979. | 1,800. |
| e | 27,720. | | 25,360. | 2,360. |
| f | 17,866. | | 15,530. | 2,336. |
| g | 30,084. | | 30,990. | <906.> |
| h | 17,785. | | 21,271. | <3,486.> |
| i | 14,454. | | 13,381. | 1,073. |
| j | 36,041. | | | 36,041. |
| k | 26,634. | | 26,441. | 193. |
| l | 14,530. | | 17,885. | <3,355.> |
| m | 14,530. | | 17,406. | <2,876.> |
| n | 17,953. | | 23,116. | <5,163.> |
| o | 56,467. | | 50,720. | 5,747. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 3,177. |
| b | | | | <621.> |
| c | | | | <1,218.> |
| d | | | | 1,800. |
| e | | | | 2,360. |
| f | | | | 2,336. |
| g | | | | <906.> |
| h | | | | <3,486.> |
| i | | | | 1,073. |
| j | | | | 36,041. |
| k | | | | 193. |
| l | | | | <3,355.> |
| m | | | | <2,876.> |
| n | | | | <5,163.> |
| o | | | | 5,747. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 2600 SHS YAHOO INC | P | 04/12/10 | 09/02/10 |
| b | 150 SHS MEDCO HEALTH SOLUTIONS INC | P | 10/15/09 | 09/07/10 |
| c | 350 SHS MEDCO HEALTH SOLUTIONS INC | P | 11/25/09 | 09/07/10 |
| d | 600 SHS MEDCO HEALTH SOLUTIONS INC | P | 12/08/09 | 09/07/10 |
| e | 150 SHS ARCH CAPITAL GROUP INC | P | 03/03/10 | 09/21/10 |
| f | 350 SHS ARCH CAPITAL GROUP INC | P | 04/06/10 | 09/21/10 |
| g | 900 SHS DUOYUAN GLOBAL WATER INC SPON ADR | P | 01/29/10 | 09/23/10 |
| h | 1900 SHS MICROSOFT CORP | P | 04/08/10 | 10/01/10 |
| i | 1000 SHS COCA COLA ENTERPRISES INC | P | 01/02/50 | 10/04/10 |
| j | 125 SHS NORFOLK SOUTHERN CORP | P | 10/15/09 | 10/05/10 |
| k | 100 SHS PHILIP MORRIS INTL INC | P | 05/04/10 | 10/05/10 |
| l | 1100 SHS JPMORGAN CHASE & CO | P | 07/06/09 | 10/15/10 |
| m | 800 SHS JPMORGAN CHASE & CO | P | 10/01/10 | 10/15/10 |
| n | 200 SHS PARTNERRE LTD | P | 09/03/09 | 10/20/10 |
| o | 50 SHS PARTNERRE LTD | P | 12/08/09 | 10/20/10 |

| | (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 | 34,533. | | 46,232. | <11,699.> |
| b | 6,764. | | 8,436. | <1,672.> |
| c | 15,783. | | 22,101. | <6,318.> |
| d | 27,057. | | 38,457. | <11,400.> |
| e | 12,375. | | 2,176. | 10,199. |
| f | 28,875. | | 26,035. | 2,840. |
| g | 9,630. | | 25,654. | <16,024.> |
| h | 46,393. | | 56,503. | <10,110.> |
| i | 10,000. | | 26,017. | <16,017.> |
| j | 7,437. | | 6,044. | 1,393. |
| k | 5,548. | | 4,905. | 643. |
| l | 40,741. | | 35,094. | 5,647. |
| m | 29,630. | | 30,800. | <1,170.> |
| n | 16,172. | | 14,593. | 1,579. |
| o | 4,043. | | 3,789. | 254. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <11,699.> |
| b | | | | <1,672.> |
| c | | | | <6,318.> |
| d | | | | <11,400.> |
| e | | | | 10,199. |
| f | | | | 2,840. |
| g | | | | <16,024.> |
| h | | | | <10,110.> |
| i | | | | <16,017.> |
| j | | | | 1,393. |
| k | | | | 643. |
| l | | | | 5,647. |
| m | | | | <1,170.> |
| n | | | | 1,579. |
| o | | | | 254. |

| | | |
|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 750 SHS TEEKAY CORP MARSHALL ISLAND | P | 10/28/09 | 10/20/10 |
| b | 850 SHS AMERICAN TOWER CORP CL A | P | 08/26/05 | 10/20/10 |
| c | 200 SHS BHP BILLITON PLC | P | 12/22/09 | 10/20/10 |
| d | 250 SHS BORG WARNER AUTOMOTIVE INC | P | 08/24/10 | 10/20/10 |
| e | 150 SHS CATERPILLAR INC | P | 09/11/09 | 10/20/10 |
| f | 350 SHS COCA COLA ENTERPRISES INC | P | 01/02/50 | 10/20/10 |
| g | 100 SHS CUMMINS INC | P | 10/01/10 | 10/20/10 |
| h | 1000 SHS EBAY INC | P | 05/06/10 | 10/20/10 |
| i | 400 SHS ECOLAB INC | P | 05/05/10 | 10/20/10 |
| j | 100 SHS ECOLAB INC | P | 08/26/10 | 10/20/10 |
| k | 75 SHS GOLDMAN SACHS GROUP INC | P | 03/23/09 | 10/20/10 |
| l | 600 SHS GOLUB CAP BDC INC | P | 04/19/10 | 10/20/10 |
| m | 550 SHS JB HUNT TRANSPORT SERVICES INC | P | 09/23/10 | 10/20/10 |
| n | 200 SHS IBM CORP | P | 10/22/09 | 10/20/10 |
| o | 100 SHS ITC HOLDINGS CORP | P | 01/28/08 | 10/20/10 |

| | (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 | 22,717. | | 15,916. | 6,801. |
| b | 42,389. | | 19,995. | 22,394. |
| c | 13,600. | | 12,310. | 1,290. |
| d | 13,402. | | 10,853. | 2,549. |
| e | 11,838. | | 7,277. | 4,561. |
| f | 8,442. | | | 8,442. |
| g | 9,067. | | 9,031. | 36. |
| h | 25,470. | | 22,635. | 2,835. |
| i | 20,332. | | 19,380. | 952. |
| j | 5,083. | | 4,649. | 434. |
| k | 11,692. | | 7,879. | 3,813. |
| l | 9,612. | | 8,842. | 770. |
| m | 19,756. | | 19,059. | 697. |
| n | 27,610. | | 24,469. | 3,141. |
| o | 6,141. | | 5,276. | 865. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 6,801. |
| b | | | | 22,394. |
| c | | | | 1,290. |
| d | | | | 2,549. |
| e | | | | 4,561. |
| f | | | | 8,442. |
| g | | | | 36. |
| h | | | | 2,835. |
| i | | | | 952. |
| j | | | | 434. |
| k | | | | 3,813. |
| l | | | | 770. |
| m | | | | 697. |
| n | | | | 3,141. |
| o | | | | 865. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 450 SHS ITC HOLDINGS CORP | P | 11/06/08 | 10/20/10 |
| b | 1100 SHS MEAD JOHNSON NUTRITION CO | P | 01/11/10 | 10/20/10 |
| c | 175 SHS MONSANTO CO | P | 10/15/10 | 10/20/10 |
| d | 400 SHS NEXTERA ENERGY INC | P | 01/02/50 | 10/20/10 |
| e | 275 SHS NORFOLK SOUTHERN CORP | P | 10/15/09 | 10/20/10 |
| f | 150 SHS OCCIDENTAL PETE CORP | P | 02/12/10 | 10/20/10 |
| g | 400 SHS PALL CORP | P | 05/05/10 | 10/20/10 |
| h | 350 SHS PHILIP MORRIS INTL INC | P | 05/04/10 | 10/20/10 |
| i | 150 SHS PRAXAIR INC | P | 08/05/09 | 10/20/10 |
| j | 325 SHS PROCTER & GAMBLE CO | P | 06/21/07 | 10/20/10 |
| k | 250 SHS RANGE RESOURCES CORP | P | 03/27/09 | 10/20/10 |
| l | 200 SHS RANGE RESOURCES CORP | P | 05/07/09 | 10/20/10 |
| m | 200 SHS ROVI CORP | P | 09/15/10 | 10/20/10 |
| n | 150 SHS SCHLUMBERGER LTD | P | 10/15/10 | 10/20/10 |
| o | 325 SHS SUNCOR ENERGY INC | P | 05/06/09 | 10/20/10 |

| | (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 | 27,634. | | 20,455. | 7,179. |
| b | 20,090. | | 15,922. | 4,168. |
| c | 10,071. | | 9,585. | 486. |
| d | 22,292. | | | 22,292. |
| e | 16,687. | | 13,296. | 3,391. |
| f | 12,259. | | 11,912. | 347. |
| g | 16,948. | | 15,302. | 1,646. |
| h | 20,009. | | 17,168. | 2,841. |
| i | 13,447. | | 11,648. | 1,799. |
| j | 20,416. | | 20,143. | 273. |
| k | 9,130. | | 10,636. | <1,506.> |
| l | 7,304. | | 8,941. | <1,637.> |
| m | 9,794. | | 8,791. | 1,003. |
| n | 9,514. | | 9,605. | <91.> |
| o | 10,800. | | 9,664. | 1,136. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 7,179. |
| b | | | | 4,168. |
| c | | | | 486. |
| d | | | | 22,292. |
| e | | | | 3,391. |
| f | | | | 347. |
| g | | | | 1,646. |
| h | | | | 2,841. |
| i | | | | 1,799. |
| j | | | | 273. |
| k | | | | <1,506.> |
| l | | | | <1,637.> |
| m | | | | 1,003. |
| n | | | | <91.> |
| o | | | | 1,136. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 350 SHS UNITED PARCEL SERVICES INC CL B | P | 01/02/50 | 10/20/10 |
| b | 25 SHS UNITED PARCEL SERVICES INC CL B | P | 05/19/10 | 10/20/10 |
| c | 650 SHS VERISK ANALYTICS INC CL A | P | 11/17/09 | 10/20/10 |
| d | 425 SHS VISA INC CL A | P | 05/05/10 | 10/20/10 |
| e | 600 SHS EBAY INC | P | 05/06/10 | 10/28/10 |
| f | 50 SHS MEAD JOHNSON NUTRITION CO | P | 01/11/10 | 11/11/10 |
| g | 600 SHS MEAD JOHNSON NUTRITION CO | P | 08/12/10 | 11/11/10 |
| h | 125 SHS VERISK ANALYTICS INC CL A | P | 04/28/10 | 11/18/10 |
| i | 1000 SHS GOLUB CAP BDC INC | P | 04/19/10 | 12/07/10 |
| j | 450 SHS PARTNERRE LTD | P | 12/08/09 | 12/08/10 |
| k | 400 SHS ECOLAB INC | P | 08/26/10 | 12/13/10 |
| l | 650 SHS PHILIP MORRIS INTL INC | P | 05/04/10 | 12/13/10 |
| m | 375 SHS VISA INC CL A | P | 05/05/10 | 12/14/10 |
| n | 425 SHS VISA INC CL A | P | 08/30/10 | 12/14/10 |
| o | 400 SHS RANGE RESOURCES CORP | P | | |

| | (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 | 24,069. | | | 24,069. |
| b | 1,719. | | 1,622. | 97. |
| c | 19,129. | | 18,091. | 1,038. |
| d | 33,018. | | 36,988. | <3,970.> |
| e | 17,651. | | 13,581. | 4,070. |
| f | 2,978. | | 2,275. | 703. |
| g | 35,738. | | 30,514. | 5,224. |
| h | 3,875. | | 3,491. | 384. |
| i | 16,890. | | 14,736. | 2,154. |
| j | 33,350. | | 34,103. | <753.> |
| k | 19,541. | | 18,597. | 944. |
| l | 38,056. | | 31,884. | 6,172. |
| m | 30,384. | | 32,636. | <2,252.> |
| n | 34,435. | | 29,637. | 4,798. |
| o | 16,991. | | 17,882. | <891.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 24,069. |
| b | | | | 97. |
| c | | | | 1,038. |
| d | | | | <3,970.> |
| e | | | | 4,070. |
| f | | | | 703. |
| g | | | | 5,224. |
| h | | | | 384. |
| i | | | | 2,154. |
| j | | | | <753.> |
| k | | | | 944. |
| l | | | | 6,172. |
| m | | | | <2,252.> |
| n | | | | 4,798. |
| o | | | | <891.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 400 SHS RANGE RESOURCES CORP | P | 10/23/09 | 12/17/10 |
| b | 40 SHS AKAMAI TECHNOLOGIES INC | P | 01/02/50 | 08/10/10 |
| c | 30 SHS CUMMINS INC | P | 01/02/50 | 08/10/10 |
| d | 66 SHS CUMMINS INC | P | 01/02/50 | 08/30/10 |
| e | 288 SHS SCIENTIFIC GAMES CORP CL A | P | 07/20/10 | 09/03/10 |
| f | 430 SHS SCIENTIFIC GAMES CORP CL A | P | 04/26/07 | 09/03/10 |
| g | 40 SHS SCIENTIFIC GAMES CORP CL A | P | 09/25/07 | 09/03/10 |
| h | 302 SHS BRINKER INTL INC | P | 07/20/10 | 11/18/10 |
| i | 380 SHS BRINKER INTL INC | P | 04/26/07 | 11/18/10 |
| j | 30 SHS BRINKER INTL INC | P | 09/25/07 | 11/18/10 |
| k | 190 SHS BRINKER INTL INC | P | 08/07/09 | 11/18/10 |
| l | 606 SHS ST MARY LAND & EXPLORATION CO | P | 12/17/09 | 04/30/10 |
| m | 40 SHS CORNING INC | P | 09/25/07 | 02/19/10 |
| n | 1355 SHS CORNING INC | P | 04/26/07 | 02/19/10 |
| o | 708 SHS XEROX CORP | P | 04/26/07 | 03/17/10 |

| | (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 | 16,991. | | 22,421. | <5,430.> |
| b | 1,715. | | | 1,715. |
| c | 2,415. | | | 2,415. |
| d | 4,889. | | | 4,889. |
| e | 3,056. | | 2,981. | 75. |
| f | 4,562. | | 14,181. | <9,619.> |
| g | 424. | | 1,484. | <1,060.> |
| h | 5,688. | | 4,793. | 895. |
| i | 7,157. | | 12,095. | <4,938.> |
| j | 565. | | 839. | <274.> |
| k | 3,578. | | 2,817. | 761. |
| l | 24,558. | | 21,036. | 3,522. |
| m | 731. | | 955. | <224.> |
| n | 24,759. | | 33,699. | <8,940.> |
| o | 7,072. | | 6,045. | 1,027. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | <5,430.> |
| b | | | | 1,715. |
| c | | | | 2,415. |
| d | | | | 4,889. |
| e | | | | 75. |
| f | | | | <9,619.> |
| g | | | | <1,060.> |
| h | | | | 895. |
| i | | | | <4,938.> |
| j | | | | <274.> |
| k | | | | 761. |
| l | | | | 3,522. |
| m | | | | <224.> |
| n | | | | <8,940.> |
| o | | | | 1,027. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 624 SHS XEROX CORP | P | 04/26/07 | 03/18/10 |
| b | 10 SHS PIONEER NATURAL RESOURCES CO | P | 09/25/07 | 04/13/10 |
| c | 340 SHS PIONEER NATURAL RESOURCES CO | P | 04/26/07 | 04/13/10 |
| d | 125 SHS PIONEER NATURAL RESOURCES CO | P | 06/04/08 | 04/13/10 |
| e | 29 SHS FURIEX PHARMACEUTICALS INC | P | 08/12/08 | 06/24/10 |
| f | 13 SHS FURIEX PHARMACEUTICALS INC | P | 10/28/08 | 06/24/10 |
| g | XEROX CORP - CASH IN LIEU | P | VARIOUS | 02/22/10 |
| h | FURIEX PHARMACEUTICALS INC - CASH IN LIEU | P | VARIOUS | 06/23/10 |
| i | 1910 SHS MUELLER WATER PRODUCTS INC SER A | P | 04/27/07 | 08/11/10 |
| j | 310 SHS MUELLER WATER PRODUCTS INC SER A | P | 08/11/08 | 08/11/10 |
| k | 510 SHS INVESTMENT TECHNOLOGY GROUP | P | 09/14/09 | 08/27/10 |
| l | 1550 SHS NEWALLIANCE BANCSHARES INC | P | 04/27/07 | 09/10/10 |
| m | 220 SHS BUCYRUS INTL INC | P | 04/27/07 | 09/16/10 |
| n | 460 SHS EXCO RESOURCES INC | P | 04/27/07 | 11/03/10 |
| o | 450 SHS EXCO RESOURCES INC | P | 04/27/07 | 11/16/10 |

| | (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 | 6,133. | | 5,328. | 805. |
| b | 620. | | 447. | 173. |
| c | 21,065. | | 17,092. | 3,973. |
| d | 7,744. | | 9,173. | <1,429.> |
| e | 326. | | 747. | <421.> |
| f | 146. | | 210. | <64.> |
| g | 4. | | | 4. |
| h | 1. | | | 1. |
| i | 5,025. | | 27,300. | <22,275.> |
| j | 816. | | 3,162. | <2,346.> |
| k | 7,074. | | 12,929. | <5,855.> |
| l | 19,473. | | 24,754. | <5,281.> |
| m | 15,189. | | 7,016. | 8,173. |
| n | 8,684. | | 7,916. | 768. |
| o | 8,262. | | 7,745. | 517. |

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 805. |
| b | | | | 173. |
| c | | | | 3,973. |
| d | | | | <1,429.> |
| e | | | | <421.> |
| f | | | | <64.> |
| g | | | | 4. |
| h | | | | 1. |
| i | | | | <22,275.> |
| j | | | | <2,346.> |
| k | | | | <5,855.> |
| l | | | | <5,281.> |
| m | | | | 8,173. |
| n | | | | 768. |
| o | | | | 517. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g , real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo , day, yr.) |
|---|---|---|---|---|
| 1a | 180 SHS JOY GLOBAL INC | P | 04/27/07 | 11/16/10 |
| b | 330 SHS ARTIO GLOBAL INVESTORS INC CL A | P | 04/23/10 | 11/19/10 |
| c | 320 SHS ARTIO GLOBAL INVESTORS INC CL A | P | 04/23/10 | 11/19/10 |
| d | 350 SHS BUCYRUS INTL INC | P | 04/27/07 | 11/19/10 |
| e | 970 SHS PULTEGROUP INC | P | 08/10/09 | 11/19/10 |
| f | 400 SHS BANKFINANCIAL CORP | P | 04/27/07 | 12/14/10 |
| g | 120 SHS WALTER ENERGY INC | P | 04/27/07 | 12/15/10 |
| h | 71 SHS WALTER INVESTMENT MANAGEMENT CORP | P | 04/27/09 | 01/29/10 |
| i | 870 SHS WENDY'S/ARBY'S GROUP INC | P | 01/29/10 | 03/09/10 |
| j | 460 SHS GOODRICH PETROLEUM CORP | P | 12/28/09 | 03/25/10 |
| k | 180 SHS COVANTA HOLDING CORP | P | 01/29/10 | 07/07/10 |
| l | 150 SHS ARTIO GLOBAL INVESTORS INC CL A | P | 04/23/10 | 07/09/10 |
| m | 100 SHS COMSTOCK RESOURCES INC | P | 12/28/09 | 07/09/10 |
| n | 20 SHS COMSTOCK RESOURCES INC | P | 12/28/09 | 07/09/10 |
| o | 150 SHS EXTERRAN HLDGS INC | P | 06/22/10 | 07/09/10 |

| | (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 | 13,481. | | 9,317. | 4,164. |
| b | 4,453. | | 4,834. | <381.> |
| c | 4,318. | | 7,763. | <3,445.> |
| d | 31,203. | | 11,162. | 20,041. |
| e | 6,348. | | 11,985. | <5,637.> |
| f | 3,818. | | 6,434. | <2,616.> |
| g | 14,162. | | 3,587. | 10,575. |
| h | 971. | | 1,228. | <257.> |
| i | 4,055. | | 4,037. | 18. |
| j | 7,181. | | 12,070. | <4,889.> |
| k | 2,988. | | 3,182. | <194.> |
| l | 2,500. | | 3,639. | <1,139.> |
| m | 2,675. | | 4,369. | <1,694.> |
| n | 535. | | 874. | <339.> |
| o | 3,967. | | 4,216. | <249.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 4,164. |
| b | | | | <381.> |
| c | | | | <3,445.> |
| d | | | | 20,041. |
| e | | | | <5,637.> |
| f | | | | <2,616.> |
| g | | | | 10,575. |
| h | | | | <257.> |
| i | | | | 18. |
| j | | | | <4,889.> |
| k | | | | <194.> |
| l | | | | <1,139.> |
| m | | | | <1,694.> |
| n | | | | <339.> |
| o | | | | <249.> |

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

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

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 260 SHS FIRST NIAGARA FINANCIAL GROUP INC | P | 01/29/10 | 07/09/10 |
| b | 264 SHS FIRSTMERIT CORP | P | 11/19/09 | 07/09/10 |
| c | 20 SHS HILL ROM HOLDINGS INC | P | 12/04/09 | 07/09/10 |
| d | 90 SHS ITC HOLDINGS INC | P | 12/04/09 | 07/09/10 |
| e | 90 SHS L B FOSTER CO CL A | P | 01/29/10 | 07/09/10 |
| f | 320 SHS SALLY BEAUTY HOLDINGS INC | P | 01/22/10 | 07/09/10 |
| g | 260 SHS TOLL BROTHERS INC | P | 09/09/09 | 07/09/10 |
| h | 110 SHS ACUITY BRANDS INC | P | 04/14/08 | 01/13/10 |
| i | 290 SHS BRINKS HOME SECURITY HOLDINGS INC | P | 08/11/08 | 01/21/10 |
| j | 430 SHS BRINKS HOME SECURITY HOLDINGS INC | P | 04/27/07 | 01/21/10 |
| k | 110 SHS FOSTER WHEELER AG | P | 08/11/08 | 01/29/10 |
| l | 40 SHS FOSTER WHEELER AG | P | 04/27/07 | 01/29/10 |
| m | 300 SHS EXCO RESOURCES INC | P | 04/27/07 | 01/29/10 |
| n | 73 SHS JOHN BEAN TECHNOLOGIES CORP | P | 04/27/07 | 01/29/10 |
| o | 150 SHS KANSAS CITY SOUTHERN | P | 08/11/08 | 01/29/10 |

| | (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 | 3,351. | | 3,619. | <268.> |
| b | 4,718. | | 5,237. | <519.> |
| c | 613. | | 473. | 140. |
| d | 4,898. | | 4,235. | 663. |
| e | 2,330. | | 2,460. | <130.> |
| f | 2,755. | | 2,842. | <87.> |
| g | 4,313. | | 5,696. | <1,383.> |
| h | 4,246. | | 4,949. | <703.> |
| i | 11,991. | | 9,235. | 2,756. |
| j | 17,779. | | 12,323. | 5,456. |
| k | 3,197. | | 5,719. | <2,522.> |
| l | 1,163. | | 1,417. | <254.> |
| m | 5,547. | | 5,149. | 398. |
| n | 1,204. | | 575. | 629. |
| o | 4,621. | | 7,925. | <3,304.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <268.> |
| b | | | | <519.> |
| c | | | | 140. |
| d | | | | 663. |
| e | | | | <130.> |
| f | | | | <87.> |
| g | | | | <1,383.> |
| h | | | | <703.> |
| i | | | | 2,756. |
| j | | | | 5,456. |
| k | | | | <2,522.> |
| l | | | | <254.> |
| m | | | | 398. |
| n | | | | 629. |
| o | | | | <3,304.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

**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 | 150 SHS WABTEC CORP | P | 08/11/08 | 01/29/10 |
| b | 120 SHS WALTER INVESTMENT MANAGEMENT CORP | P | 02/02/02 | 01/29/10 |
| c | 206 SHS WALTER INVESTMENT MANAGEMENT CORP | P | 02/02/02 | 01/29/10 |
| d | 220 SHS WESTAR ENERGY INC | P | 04/27/07 | 01/29/10 |
| e | 740 SHS WENDY'S/ARBY'S GROUP INC | P | 04/27/07 | 03/09/10 |
| f | 650 SHS GOODRICH PETROLEUM CORP | P | 04/27/07 | 03/25/10 |
| g | 110 SHS FLOWSERVE CORP | P | 04/27/07 | 05/05/10 |
| h | 70 SHS FLOWSERVE CORP | P | 04/27/10 | 05/05/10 |
| i | 70 SHS FLOWSERVE CORP | P | 08/11/08 | 05/05/10 |
| j | 1130 SHS COVANTA HOLDING CORP | P | 04/27/07 | 07/07/10 |
| k | 190 SHS COVANTA HOLDING CORP | P | 08/11/08 | 07/07/10 |
| l | 110 SHS CHICAGO BRIDGE & IRON CO | P | 08/11/08 | 07/09/10 |
| m | 20 SHS CHICAGO BRIDGE & IRON CO | P | 08/11/08 | 07/09/10 |
| n | 20 SHS CHICAGO BRIDGE & IRON CO | P | 04/27/07 | 07/09/10 |
| o | 120 SHS FOSTER WHEELER AG | P | 04/27/07 | 07/09/10 |

| | (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 | 5,796. | | 8,444. | <2,648.> |
| b | 1,642. | | | 1,642. |
| c | 2,818. | | | 2,818. |
| d | 4,723. | | 6,151. | <1,428.> |
| e | 3,449. | | 13,744. | <10,295.> |
| f | 10,147. | | 22,555. | <12,408.> |
| g | 11,752. | | 6,707. | 5,045. |
| h | 7,478. | | 4,268. | 3,210. |
| i | 7,478. | | 8,443. | <965.> |
| j | 18,757. | | 27,916. | <9,159.> |
| k | 3,154. | | 5,003. | <1,849.> |
| l | 2,159. | | 3,945. | <1,786.> |
| m | 393. | | 717. | <324.> |
| n | 393. | | 685. | <292.> |
| o | 2,712. | | 4,252. | <1,540.> |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | <2,648.> |
| b | | | | 1,642. |
| c | | | | 2,818. |
| d | | | | <1,428.> |
| e | | | | <10,295.> |
| f | | | | <12,408.> |
| g | | | | 5,045. |
| h | | | | 3,210. |
| i | | | | <965.> |
| j | | | | <9,159.> |
| k | | | | <1,849.> |
| l | | | | <1,786.> |
| m | | | | <324.> |
| n | | | | <292.> |
| o | | | | <1,540.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 90 SHS MCDERMOTT INTL INC | P | 01/07/09 | 07/09/10 |
| b | 120 SHS ACUITY BRANDS INC | P | 08/11/08 | 07/09/10 |
| c | 20 SHS ACUITY BRANDS INC | P | 04/14/08 | 07/09/10 |
| d | 90 SHS ALLETE INC | P | 04/30/09 | 07/09/10 |
| e | 110 SHS ARCH CHEMICALS INC | P | 06/19/08 | 07/09/10 |
| f | 640 SHS BENEFICIAL MUTUAL BANCORP INC | P | 08/11/08 | 07/09/10 |
| g | 80 SHS BROADRIDGE FINANCIAL SOLUTIONS INC | P | 09/21/07 | 07/09/10 |
| h | 80 SHS BROADRIDGE FINANCIAL SOLUTIONS INC | P | 08/11/08 | 07/09/10 |
| i | 150 SHS BROADRIDGE FINANCIAL SOLUTIONS INC | P | 08/11/08 | 07/09/10 |
| j | 30 SHS BUCYRUS INTL INC | P | 04/27/07 | 07/09/10 |
| k | 80 SHS BUCYRUS INTL INC | P | 04/27/07 | 07/09/10 |
| l | 30 SHS BUCYRUS INTL INC | P | 08/11/08 | 07/09/10 |
| m | 220 SHS CIRCOR INTL INC | P | 08/11/08 | 07/09/10 |
| n | 60 SHS COMPASS MINERALS INTL INC | P | 07/18/08 | 07/09/10 |
| o | 20 SHS COMSTOCK RESOURCES INC | P | 04/27/07 | 07/09/10 |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 2,213. | | 1,110. | 1,103. |
| b | 4,605. | | 5,282. | <677.> |
| c | 767. | | 900. | <133.> |
| d | 3,144. | | 2,361. | 783. |
| e | 3,400. | | 4,306. | <906.> |
| f | 6,387. | | 7,528. | <1,141.> |
| g | 1,615. | | 1,546. | 69. |
| h | 1,615. | | 1,622. | <7.> |
| i | 3,028. | | 3,041. | <13.> |
| j | 1,610. | | 957. | 653. |
| k | 4,294. | | 2,551. | 1,743. |
| l | 1,610. | | 1,798. | <188.> |
| m | 5,712. | | 13,413. | <7,701.> |
| n | 4,591. | | 4,454. | 137. |
| o | 535. | | 574. | <39.> |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 1,103. |
| b | | | | <677.> |
| c | | | | <133.> |
| d | | | | 783. |
| e | | | | <906.> |
| f | | | | <1,141.> |
| g | | | | 69. |
| h | | | | <7.> |
| i | | | | <13.> |
| j | | | | 653. |
| k | | | | 1,743. |
| l | | | | <188.> |
| m | | | | <7,701.> |
| n | | | | 137. |
| o | | | | <39.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 170 SHS DELTIC TIMBER CORP | P | 08/11/08 | 07/09/10 |
| b | 120 SHS ENPRO INDS INC | P | 04/27/07 | 07/09/10 |
| c | 220 SHS EXCO RESOURCES INC | P | 04/27/07 | 07/09/10 |
| d | 210 SHS FLOWERS FOODS INC | P | 04/27/07 | 07/09/10 |
| e | 50 SHS FLOWSERVE CORP | P | 04/27/07 | 07/09/10 |
| f | 160 SHS FORESTAR GROUP INC | P | 06/04/08 | 07/09/10 |
| g | 130 SHS GALLAGHER ARTHUR J & CO | P | 02/02/09 | 07/09/10 |
| h | 270 SHS HANESBRANDS INC | P | 04/27/07 | 07/09/10 |
| i | 90 SHS HANOVER INSURANCE GROUP INC | P | 10/14/08 | 07/09/10 |
| j | 200 SHS HILL ROM HOLDINGS INC | P | 10/06/08 | 07/09/10 |
| k | 90 SHS IBERIABANK CORP | P | 04/20/09 | 07/09/10 |
| l | 30 SHS JOY GLOBAL INC | P | 08/11/08 | 07/09/10 |
| m | 30 SHS JOY GLOBAL INC | P | 04/27/07 | 07/09/10 |
| n | 70 SHS JOY GLOBAL INC | P | 08/11/08 | 07/09/10 |
| o | 60 SHS KAISER ALUMINUM CORP | P | 05/02/08 | 07/09/10 |

| | (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 | 7,427. | | 10,242. | <2,815.> |
| b | 3,364. | | 4,616. | <1,252.> |
| c | 3,269. | | 3,776. | <507.> |
| d | 5,273. | | 4,480. | 793. |
| e | 4,592. | | 3,049. | 1,543. |
| f | 2,682. | | 3,905. | <1,223.> |
| g | 3,285. | | 3,089. | 196. |
| h | 6,672. | | 7,430. | <758.> |
| i | 4,068. | | 3,395. | 673. |
| j | 6,135. | | 5,150. | 985. |
| k | 4,800. | | 4,401. | 399. |
| l | 1,612. | | 2,011. | <399.> |
| m | 1,612. | | 1,553. | 59. |
| n | 3,761. | | 4,691. | <930.> |
| o | 2,241. | | 4,077. | <1,836.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <2,815.> |
| b | | | | <1,252.> |
| c | | | | <507.> |
| d | | | | 793. |
| e | | | | 1,543. |
| f | | | | <1,223.> |
| g | | | | 196. |
| h | | | | <758.> |
| i | | | | 673. |
| j | | | | 985. |
| k | | | | 399. |
| l | | | | <399.> |
| m | | | | 59. |
| n | | | | <930.> |
| o | | | | <1,836.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 10 SHS KAISER ALUMINUM CORP | P | 05/31/08 | 07/09/10 |
| b | 150 SHS KAISER ALUMINUM CORP | P | 04/29/08 | 07/09/10 |
| c | 260 SHS KANSAS CITY SOUTHERN | P | 08/11/08 | 07/09/10 |
| d | 50 SHS MB FINANCIAL INC | P | 06/05/07 | 07/09/10 |
| e | 40 SHS MB FINANCIAL INC | P | 06/05/07 | 07/09/10 |
| f | 50 SHS MB FINANCIAL INC | P | 05/30/07 | 07/09/10 |
| g | 440 SHS NEWALLIANCE BANCSHARES INC | P | 04/27/07 | 07/09/10 |
| h | 150 SHS PATTERSON COS INC | P | 04/06/09 | 07/09/10 |
| i | 170 SHS PETROHAWK ENERGY CORP | P | 04/27/07 | 07/09/10 |
| j | 120 SHS RALCORP HOLDINGS INC | P | 04/27/07 | 07/09/10 |
| k | 310 SHS SPDR SER TR KBW REGIONAL BANKING ETF | P | 10/24/08 | 07/09/10 |
| l | 140 SHS TIMKEN CO | P | 04/27/07 | 07/09/10 |
| m | 130 SHS TREEHOUSE FOODS INC | P | 06/09/09 | 07/09/10 |
| n | 120 SHS VAIL RESORTS INC | P | 08/15/08 | 07/09/10 |
| o | 120 SHS VECTREN CORP | P | 01/21/09 | 07/09/10 |

| | (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 | 374. | | 649. | <275.> |
| b | 5,603. | | 10,224. | <4,621.> |
| c | 9,631. | | 13,736. | <4,105.> |
| d | 935. | | 1,780. | <845.> |
| e | 748. | | 1,424. | <676.> |
| f | 935. | | 1,762. | <827.> |
| g | 5,029. | | 7,027. | <1,998.> |
| h | 4,275. | | 2,794. | 1,481. |
| i | 2,958. | | 2,516. | 442. |
| j | 6,639. | | 8,010. | <1,371.> |
| k | 7,474. | | 8,648. | <1,174.> |
| l | 3,773. | | 4,677. | <904.> |
| m | 6,134. | | 3,580. | 2,554. |
| n | 4,339. | | 5,333. | <994.> |
| o | 2,898. | | 3,023. | <125.> |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <275.> |
| b | | | | <4,621.> |
| c | | | | <4,105.> |
| d | | | | <845.> |
| e | | | | <676.> |
| f | | | | <827.> |
| g | | | | <1,998.> |
| h | | | | 1,481. |
| i | | | | 442. |
| j | | | | <1,371.> |
| k | | | | <1,174.> |
| l | | | | <904.> |
| m | | | | 2,554. |
| n | | | | <994.> |
| o | | | | <125.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 200 SHS WABTEC CORP | P | 08/11/08 | 07/09/10 |
| b | 110 SHS WALTER INDS INC | P | 04/27/07 | 07/09/10 |
| c | 300 SHS WESTAR ENERGY INC | P | 04/27/07 | 07/09/10 |
| d | 320 SHS WILLBROS GROUP INC | P | 08/11/08 | 07/09/10 |
| e | 150 SHS WRIGHT EXPRESS CORP | P | 04/27/07 | 07/09/10 |
| f | 200 SHS WYNDHAM WORLDWIDE CORP | P | 04/27/07 | 07/09/10 |
| g | $14,928.73 FNMA POOL #256596 5% 2/1/37 | P | VARIOUS | 08/25/10 |
| h | $5,974.68 FNMA POOL #910390 5% 3/1/37 | P | VARIOUS | 08/25/10 |
| i | $7,862.95 FNMA POOL #918370 5.5% 5/1/37 | P | VARIOUS | 08/25/10 |
| j | $9,013.57 FNMA POOL #930490 5% 1/1/39 | P | VARIOUS | 08/25/10 |
| k | $1,105.68 FNMA POOL #938502 5% 5/1/37 | P | VARIOUS | 08/25/10 |
| l | $1,281.32 FNMA POOL #939444 5.5% 6/1/37 | P | VARIOUS | 08/25/10 |
| m | $2,355.58 FNMA POOL #940185 5.5% 6/1/37 | P | VARIOUS | 08/25/10 |
| n | $1,229.28 FNMA POOL #940765 5.5% 6/1/37 | P | VARIOUS | 08/25/10 |
| o | $683.46 FNMA POOL #949707 5.5% 9/1/37 | P | VARIOUS | 08/25/10 |

| | (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 | 8,132. | | 11,258. | <3,126.> |
| b | 7,411. | | 3,288. | 4,123. |
| c | 6,804. | | 8,388. | <1,584.> |
| d | 2,355. | | 12,027. | <9,672.> |
| e | 4,759. | | 4,792. | <33.> |
| f | 4,338. | | 7,148. | <2,810.> |
| g | 14,929. | | 15,312. | <383.> |
| h | 5,975. | | 5,738. | 237. |
| i | 7,863. | | 7,660. | 203. |
| j | 9,014. | | 9,204. | <190.> |
| k | 1,106. | | 1,028. | 78. |
| l | 1,281. | | 1,248. | 33. |
| m | 2,356. | | 2,330. | 26. |
| n | 1,229. | | 1,194. | 35. |
| o | 683. | | 666. | 17. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <3,126.> |
| b | | | | 4,123. |
| c | | | | <1,584.> |
| d | | | | <9,672.> |
| e | | | | <33.> |
| f | | | | <2,810.> |
| g | | | | <383.> |
| h | | | | 237. |
| i | | | | 203. |
| j | | | | <190.> |
| k | | | | 78. |
| l | | | | 33. |
| m | | | | 26. |
| n | | | | 35. |
| o | | | | 17. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $21,777.51 FNMA POOL #968318 5% 2/1/38 | P | VARIOUS | 08/25/10 |
| b | $6,923.03 FNMA POOL #974742 5% 4/1/38 | P | VARIOUS | 08/25/10 |
| c | $110,000 US TSY NTS 3.375% 11/15/19 | P | 05/28/10 | 09/08/10 |
| d | $35,000 KRAFT FOODS INC 6.5% 2/9/40 | P | 02/17/10 | 10/19/10 |
| e | $85,000 US TSY NTS 1.375% 7/15/18 | P | 03/17/10 | 10/19/10 |
| f | $540,000 US TSY NTS .875% 1/31/11 | P | 02/26/10 | 11/30/10 |
| g | $20,000 US TSY NTS .875% 1/31/11 | P | 02/26/10 | 12/30/10 |
| h | $250,000 US TSY NTS .875% 1/31/11 | P | 08/18/10 | 12/30/10 |
| i | $50,000 AT&T WIRELESS SVCS INC 8.75% 3/1/31 | P | 05/10/07 | 08/17/10 |
| j | $25,000 AT&T WIRELESS SVCS INC 8.75% 3/1/31 | P | 08/18/08 | 08/17/10 |
| k | $140,000 WELLS FARGO & CO 5.625% 12/11/17 | P | 02/03/09 | 08/17/10 |
| l | $34,862.07 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 09/25/10 |
| m | $3,559.62 FNMA POOL #910390 5% 3/1/37 | P | 05/30/07 | 09/25/10 |
| n | $4,163.38 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 09/25/10 |
| o | $7,092.35 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 09/25/10 |

| | (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 | 21,778. | | 20,621. | 1,157. |
| b | 6,923. | | 6,841. | 82. |
| c | 117,167. | | 110,387. | 6,780. |
| d | 40,304. | | 35,123. | 5,181. |
| e | 94,268. | | 87,261. | 7,007. |
| f | 540,610. | | 542,765. | <2,155.> |
| g | 20,012. | | 20,102. | <90.> |
| h | 250,155. | | 250,782. | <627.> |
| i | 72,000. | | 65,633. | 6,367. |
| j | 36,000. | | 30,120. | 5,880. |
| k | 156,936. | | 136,996. | 19,940. |
| l | 34,862. | | 35,758. | <896.> |
| m | 3,560. | | 3,391. | 169. |
| n | 4,163. | | 4,026. | 137. |
| o | 7,092. | | 6,909. | 183. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 1,157. |
| b | | | | 82. |
| c | | | | 6,780. |
| d | | | | 5,181. |
| e | | | | 7,007. |
| f | | | | <2,155.> |
| g | | | | <90.> |
| h | | | | <627.> |
| i | | | | 6,367. |
| j | | | | 5,880. |
| k | | | | 19,940. |
| l | | | | <896.> |
| m | | | | 169. |
| n | | | | 137. |
| o | | | | 183. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $273.85 FNMA POOL #930490 5% 1/1/39 | P | 12/16/08 | 09/25/10 |
| b | $1,621.51 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 09/25/10 |
| c | $806.16 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 09/25/10 |
| d | $6,507.62 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 09/25/10 |
| e | $1,498.63 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 09/25/10 |
| f | $1,066.91 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 09/25/10 |
| g | $16,198.27 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 09/25/10 |
| h | $2,310.48 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 09/25/10 |
| i | $7,475.07 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 09/25/10 |
| j | $30,000 AMERICAN EXPRESS CO 6.15% 8/28/17 | P | 08/27/07 | 10/19/10 |
| k | $25,000 CATERPILLAR FINL SVCS CORP 7.15% 2/15/19 | P | 05/27/09 | 10/19/10 |
| l | $75,000 PFIZER INC 6.2% 3/15/19 | P | 04/02/09 | 10/19/10 |
| m | $35,000 TIME WARNER CABLE INC 8.75% 2/14/19 | P | 12/03/08 | 10/19/10 |
| n | $240,000 US TSY NTS 1.75% 3/31/14 | P | 04/28/09 | 10/19/10 |
| o | $250,000 US TSY NTS 4.25% 11/15/17 | P | 05/26/09 | 10/19/10 |

| | (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 | 274. | | 280. | <6.> |
| b | 1,622. | | 1,507. | 115. |
| c | 806. | | 785. | 21. |
| d | 6,508. | | 6,437. | 71. |
| e | 1,499. | | 1,456. | 43. |
| f | 1,067. | | 1,040. | 27. |
| g | 16,198. | | 15,338. | 860. |
| h | 2,310. | | 2,292. | 18. |
| i | 7,475. | | 7,378. | 97. |
| j | 34,476. | | 30,371. | 4,105. |
| k | 32,307. | | 25,062. | 7,245. |
| l | 92,439. | | 80,957. | 11,482. |
| m | 46,560. | | 35,082. | 11,478. |
| n | 248,952. | | 238,004. | 10,948. |
| o | 290,751. | | 267,257. | 23,494. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <6.> |
| b | | | | 115. |
| c | | | | 21. |
| d | | | | 71. |
| e | | | | 43. |
| f | | | | 27. |
| g | | | | 860. |
| h | | | | 18. |
| i | | | | 97. |
| j | | | | 4,105. |
| k | | | | 7,245. |
| l | | | | 11,482. |
| m | | | | 11,478. |
| n | | | | 10,948. |
| o | | | | 23,494. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g , real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo , day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $194,968.62 FNMA POOL #930490 1/1/39 | P | 12/16/08 | 10/20/10 |
| b | $170,497.37 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 10/20/10 |
| c | $52,699.19 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 10/20/10 |
| d | $28,196.62 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 10/25/10 |
| e | $3,922.82 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 10/25/10 |
| f | $3,353.95 FNMA POOL #910390 5% 3/1/37 | P | 05/30/07 | 10/25/10 |
| g | $4,915.09 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 10/25/10 |
| h | $5,571.38 FNMA POOL #930490 5% 1/1/39 | P | 12/16/08 | 10/25/10 |
| i | $2,674.78 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 10/25/10 |
| j | $462.35 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 10/25/10 |
| k | $2,179.98 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 10/25/10 |
| l | $1,180.78 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 10/25/10 |
| m | $4,874.49 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 10/25/10 |
| n | $40,912.18 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 10/25/10 |
| o | $2,535.59 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 10/25/10 |

| | (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 | 206,789. | | 199,081. | 7,708. |
| b | 180,834. | | 168,273. | 12,561. |
| c | 55,894. | | 52,267. | 3,627. |
| d | 28,197. | | 28,921. | <724.> |
| e | 3,923. | | 3,793. | 130. |
| f | 3,354. | | 3,195. | 159. |
| g | 4,915. | | 4,788. | 127. |
| h | 5,571. | | 5,689. | <118.> |
| i | 2,675. | | 2,486. | 189. |
| j | 462. | | 450. | 12. |
| k | 2,180. | | 2,156. | 24. |
| l | 1,181. | | 1,147. | 34. |
| m | 4,875. | | 4,753. | 122. |
| n | 40,912. | | 38,739. | 2,173. |
| o | 2,536. | | 2,515. | 21. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 7,708. |
| b | | | | 12,561. |
| c | | | | 3,627. |
| d | | | | <724.> |
| e | | | | 130. |
| f | | | | 159. |
| g | | | | 127. |
| h | | | | <118.> |
| i | | | | 189. |
| j | | | | 12. |
| k | | | | 24. |
| l | | | | 34. |
| m | | | | 122. |
| n | | | | 2,173. |
| o | | | | 21. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $8,203.39 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 10/25/10 |
| b | $20,144.73 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 11/25/10 |
| c | $4,780.19 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 11/25/10 |
| d | $4,086.99 FNMA POOL #910390 5% 3/1/37 | P | 05/30/07 | 11/25/10 |
| e | $6,922.92 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 11/25/10 |
| f | $1,812.11 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 11/25/10 |
| g | $589.05 POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 11/25/10 |
| h | $4,664.59 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 11/25/10 |
| i | $1,648.49 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 11/25/10 |
| j | $1,634.40 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 11/25/10 |
| k | $35,043.63 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 11/25/10 |
| l | $18,755.94 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 12/25/10 |
| m | $5,326.22 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 12/25/10 |
| n | $4,553.83 FNMA POOL #910390 5% 3/1/37 | P | 05/30/07 | 12/25/10 |
| o | $6,549.98 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 12/25/10 |

| | (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 | 8,203. | | 8,096. | 107. |
| b | 20,145. | | 20,663. | <518.> |
| c | 4,780. | | 4,623. | 157. |
| d | 4,087. | | 3,894. | 193. |
| e | 6,923. | | 6,744. | 179. |
| f | 1,812. | | 1,684. | 128. |
| g | 589. | | 574. | 15. |
| h | 4,665. | | 4,614. | 51. |
| i | 1,648. | | 1,602. | 46. |
| j | 1,634. | | 1,594. | 40. |
| k | 35,044. | | 33,182. | 1,862. |
| l | 18,756. | | 19,238. | <482.> |
| m | 5,326. | | 5,151. | 175. |
| n | 4,554. | | 4,338. | 216. |
| o | 6,550. | | 6,381. | 169. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 107. |
| b | | | | <518.> |
| c | | | | 157. |
| d | | | | 193. |
| e | | | | 179. |
| f | | | | 128. |
| g | | | | 15. |
| h | | | | 51. |
| i | | | | 46. |
| j | | | | 40. |
| k | | | | 1,862. |
| l | | | | <482.> |
| m | | | | 175. |
| n | | | | 216. |
| o | | | | 169. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $1,873.66 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 12/25/10 |
| b | $1,688.37 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 12/25/10 |
| c | $9,413.77 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 12/25/10 |
| d | $1,689.55 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 12/25/10 |
| e | $106.69 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 12/25/10 |
| f | $81,101.03 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 12/25/10 |
| g | $230,000 US TSY BILLS 0% 9/16/10 | P | 07/19/10 | 09/16/10 |
| h | $60,000 US TSY BILLS 0% 9/16/10 | P | 03/31/10 | 09/16/10 |
| i | $240,000 US TSY BILLS 0% 9/16/10 | P | 03/22/10 | 09/16/10 |
| j | $35,202.05 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 01/25/10 |
| k | $19,045.36 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 02/25/10 |
| l | $375,000 US TSY NTS 2.625% 12/31/14 | P | 01/29/10 | 02/26/10 |
| m | $129,635 TSY INFLATION INDEX 10 YR 1.875% 7/15/13 | P | 05/26/09 | 03/17/10 |
| n | $25,000 US TSY NTS 4.25% 11/15/17 | P | 05/26/09 | 03/17/10 |
| o | $35,000 US TSY NTS 4.25% 11/15/17 | P | 08/31/09 | 03/17/10 |

| | (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 | 1,874. | | 1,742. | 132. |
| b | 1,688. | | 1,644. | 44. |
| c | 9,414. | | 9,312. | 102. |
| d | 1,690. | | 1,642. | 48. |
| e | 107. | | 104. | 3. |
| f | 81,101. | | 76,793. | 4,308. |
| g | 229,944. | | 229,944. | 0. |
| h | 59,940. | | 59,940. | 0. |
| i | 239,728. | | 239,728. | 0. |
| j | 35,202. | | 36,107. | <905.> |
| k | 19,045. | | 19,535. | <490.> |
| l | 382,176. | | 380,304. | 1,872. |
| m | 138,101. | | 132,398. | 5,703. |
| n | 26,730. | | 26,726. | 4. |
| o | 37,423. | | 37,457. | <34.> |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 132. |
| b | | | | 44. |
| c | | | | 102. |
| d | | | | 48. |
| e | | | | 3. |
| f | | | | 4,308. |
| g | | | | 0. |
| h | | | | 0. |
| i | | | | 0. |
| j | | | | <905.> |
| k | | | | <490.> |
| l | | | | 1,872. |
| m | | | | 5,703. |
| n | | | | 4. |
| o | | | | <34.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $40,000 WAL MART STORES INC 5.8% 2/15/18 | P | 08/07/09 | 03/17/10 |
| b | $25,954.94 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 03/25/10 |
| c | $35,000 ABBOTT LABS 5.875% 5/15/16 | P | 07/14/09 | 04/15/10 |
| d | $110,000 ABBOTT LABS 5.875% 5/15/16 | P | 05/06/09 | 04/15/10 |
| e | $21,922.42 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 04/25/10 |
| f | $35,000 CITIGROUP INC 5.5% 4/11/13 | P | 06/02/09 | 05/17/10 |
| g | $40,000 CITIGROUP INC 5.5% 4/11/13 | P | 09/03/09 | 05/17/10 |
| h | $24,476.79 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 05/25/10 |
| i | $35,000 MERRILL LYNCH & CO 5% 1/15/15 | P | 09/03/09 | 05/26/10 |
| j | $110,000 MERRILL LYNCH & CO 5.45% 7/15/14 | P | 06/02/09 | 05/26/10 |
| k | $105,000 US TSY NTS 2.625% 12/31/14 | P | 05/07/10 | 06/07/10 |
| l | $135,000 US TSY NTS 2.625% 12/31/14 | P | 04/30/10 | 06/07/10 |
| m | $135,000 US TSY NTS 2.625% 12/31/14 | P | 05/26/10 | 06/07/10 |
| n | $215,000 US TSY NTS 3.375% 11/15/19 | P | 05/28/10 | 07/19/10 |
| o | $4,401.94 FNMA POOL # 910390 5% 3/1/37 | P | 05/30/07 | 01/25/10 |

| | (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 | 45,139. | | 43,556. | 1,583. |
| b | 25,955. | | 26,622. | <667.> |
| c | 39,804. | | 38,407. | 1,397. |
| d | 125,099. | | 118,980. | 6,119. |
| e | 21,922. | | 22,486. | <564.> |
| f | 36,543. | | 33,747. | 2,796. |
| g | 41,764. | | 40,207. | 1,557. |
| h | 24,477. | | 25,106. | <629.> |
| i | 35,057. | | 25,243. | 9,814. |
| j | 113,028. | | 104,968. | 8,060. |
| k | 108,531. | | 107,523. | 1,008. |
| l | 139,540. | | 136,915. | 2,625. |
| m | 139,540. | | 138,650. | 890. |
| n | 223,146. | | 215,757. | 7,389. |
| o | 4,402. | | 4,194. | 208. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 1,583. |
| b | | | | <667.> |
| c | | | | 1,397. |
| d | | | | 6,119. |
| e | | | | <564.> |
| f | | | | 2,796. |
| g | | | | 1,557. |
| h | | | | <629.> |
| i | | | | 9,814. |
| j | | | | 8,060. |
| k | | | | 1,008. |
| l | | | | 2,625. |
| m | | | | 890. |
| n | | | | 7,389. |
| o | | | | 208. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $5,148.56 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 01/25/10 |
| b | $9,147.74 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 01/25/10 |
| c | $13,474.34 FNMA POOL #930490 5% 1/1/39 | P | 12/16/08 | 01/25/10 |
| d | $2,152.66 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 01/25/10 |
| e | $329.36 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 01/25/10 |
| f | $1,521.66 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 01/25/10 |
| g | $2,674.94 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 01/25/10 |
| h | $3,736.46 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 01/25/10 |
| i | $75,738.11 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 01/25/10 |
| j | $86.64 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 01/25/10 |
| k | $280.30 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 01/25/10 |
| l | $530,000 US TSY NTS 4.75% 3/31/11 | P | 08/29/08 | 01/29/10 |
| m | $55,000 XTO ENERGY INC 6.75% 8/1/37 | P | 07/18/07 | 02/17/10 |
| n | $50,000 XTO ENERGY INC 6.75% 8/1/37 | P | 08/18/08 | 02/17/10 |
| o | $3,343.05 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 02/25/10 |

| | (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 | 5,149. | | 4,979. | 170. |
| b | 9,148. | | 8,911. | 237. |
| c | 13,474. | | 13,759. | <285.> |
| d | 2,153. | | 2,001. | 152. |
| e | 329. | | 321. | 8. |
| f | 1,522. | | 1,505. | 17. |
| g | 2,675. | | 2,599. | 76. |
| h | 3,736. | | 3,644. | 92. |
| i | 75,738. | | 71,715. | 4,023. |
| j | 87. | | 86. | 1. |
| k | 280. | | 277. | 3. |
| l | 556,809. | | 559,400. | <2,591.> |
| m | 62,802. | | 55,860. | 6,942. |
| n | 57,093. | | 48,144. | 8,949. |
| o | 3,343. | | 3,233. | 110. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 170. |
| b | | | | 237. |
| c | | | | <285.> |
| d | | | | 152. |
| e | | | | 8. |
| f | | | | 17. |
| g | | | | 76. |
| h | | | | 92. |
| i | | | | 4,023. |
| j | | | | 1. |
| k | | | | 3. |
| l | | | | <2,591.> |
| m | | | | 6,942. |
| n | | | | 8,949. |
| o | | | | 110. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $2,858.24 FNMA POOL #910390 5% 3/1/37 | P | 05/30/07 | 02/25/10 |
| b | $8,104.93 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 02/25/10 |
| c | $341.98 FNMA POOL #930490 5% 1/1/39 | P | 12/16/08 | 02/25/10 |
| d | $1,961.70 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 02/25/10 |
| e | $1.518.89 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 02/25/10 |
| f | $5,781.53 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 02/25/10 |
| g | $2,090.59 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 02/25/10 |
| h | $1,408.93 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 02/25/10 |
| i | $20,577.12 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 02/25/10 |
| j | $9,174.41 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 02/25/10 |
| k | $2,835.73 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 02/25/10 |
| l | $47,140 TSY INFLATION INDEX 10 YR 1.875% 7/15/13 | P | 01/07/09 | 03/17/10 |
| m | $471,400 TSY INFLATION INDEX 10 YR 1.875% 7/15/13 | P | 10/08/08 | 03/17/10 |
| n | $75,000 US TSY NTS 4.25% 11/15/17 | P | 10/31/08 | 03/17/10 |
| o | $65,000 WAL MART STORES INC 5.8% 2/15/18 | P | 01/28/08 | 03/17/10 |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 2,858. | | 2,723. | 135. |
| b | 8,105. | | 7,895. | 210. |
| c | 342. | | 349. | <7.> |
| d | 1,962. | | 1,823. | 139. |
| e | 1,519. | | 1,479. | 40. |
| f | 5,782. | | 5,719. | 63. |
| g | 2,091. | | 2,031. | 60. |
| h | 1,409. | | 1,374. | 35. |
| i | 20,577. | | 19,484. | 1,093. |
| j | 9,174. | | 9,055. | 119. |
| k | 2,836. | | 2,812. | 24. |
| l | 50,219. | | 45,614. | 4,605. |
| m | 502,187. | | 466,049. | 36,138. |
| n | 80,191. | | 77,338. | 2,853. |
| o | 73,351. | | 69,143. | 4,208. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 135. |
| b | | | | 210. |
| c | | | | <7.> |
| d | | | | 139. |
| e | | | | 40. |
| f | | | | 63. |
| g | | | | 60. |
| h | | | | 35. |
| i | | | | 1,093. |
| j | | | | 119. |
| k | | | | 24. |
| l | | | | 4,605. |
| m | | | | 36,138. |
| n | | | | 2,853. |
| o | | | | 4,208. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $100,000 WAL MART STORES INC 5.8% 2/15/18 | P | 08/18/08 | 03/17/10 |
| b | $3,014.23 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 03/25/10 |
| c | $2,577.12 FNMA POOL #910390 5% 3/1/37 | P | 05/30/07 | 03/25/10 |
| d | $10,957.36 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 03/25/10 |
| e | $11,867.65 FNMA POOL #930490 5% 1/1/39 | P | 12/16/08 | 03/25/10 |
| f | $1,513.53 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 03/25/10 |
| g | $2,610.52 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 03/25/10 |
| h | $267.66 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 03/25/10 |
| i | $1,855.84 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 03/25/10 |
| j | $4,009.27 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 03/25/10 |
| k | $2,019.61 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 03/25/10 |
| l | $292.16 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 03/25/10 |
| m | $90.31 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 03/25/10 |
| n | $5,443.80 FNMA POOL #910390 5% 3/1/37 | P | 05/30/07 | 04/25/10 |
| o | $6,367.14 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 04/25/10 |

| | (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 | 112,847. | | 105,411. | 7,436. |
| b | 3,014. | | 2,915. | 99. |
| c | 2,577. | | 2,455. | 122. |
| d | 10,957. | | 10,674. | 283. |
| e | 11,868. | | 12,118. | <250.> |
| f | 1,514. | | 1,407. | 107. |
| g | 2,611. | | 2,542. | 69. |
| h | 268. | | 265. | 3. |
| i | 1,856. | | 1,803. | 53. |
| j | 4,009. | | 3,910. | 99. |
| k | 2,020. | | 1,912. | 108. |
| l | 292. | | 288. | 4. |
| m | 90. | | 90. | 0. |
| n | 5,444. | | 5,186. | 258. |
| o | 6,367. | | 6,157. | 210. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 7,436. |
| b | | | | 99. |
| c | | | | 122. |
| d | | | | 283. |
| e | | | | <250.> |
| f | | | | 107. |
| g | | | | 69. |
| h | | | | 3. |
| i | | | | 53. |
| j | | | | 99. |
| k | | | | 108. |
| l | | | | 4. |
| m | | | | 0. |
| n | | | | 258. |
| o | | | | 210. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $18,648.86 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 04/25/10 |
| b | $290.62 FNMA POOL #930490 5% 1/1/39 | P | 12/16/08 | 04/25/10 |
| c | $2,704.08 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 04/25/10 |
| d | $770.89 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 04/25/10 |
| e | $3,445.96 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 04/25/10 |
| f | $1,878.23 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 04/25/10 |
| g | $2,175.13 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 04/25/10 |
| h | $18,519.28 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 04/25/10 |
| i | $1,123.54 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 04/25/10 |
| j | $3,634.99 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 04/25/10 |
| k | $20,000 GOLDMAN SACHS GROUP INC 5% 10/1/14 | P | 08/18/08 | 05/07/10 |
| l | $100,000 GOLDMAN SACHS GROUP INC 5% 10/1/14 | P | 05/10/07 | 05/07/10 |
| m | $35,000 MORGAN STANLEY NTS 5.3% 3/1/13 | P | 01/09/09 | 05/10/10 |
| n | $2,829.41 FNMA POOL #910390 5% 3/1/37 | P | 05/03/07 | 05/25/10 |
| o | $3,309.33 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 05/25/10 |

| | (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 | 18,649. | | 18,167. | 482. |
| b | 291. | | 297. | <6.> |
| c | 2,704. | | 2,514. | 190. |
| d | 771. | | 751. | 20. |
| e | 3,446. | | 3,409. | 37. |
| f | 1,878. | | 1,825. | 53. |
| g | 2,175. | | 2,121. | 54. |
| h | 18,519. | | 17,535. | 984. |
| i | 1,124. | | 1,114. | 10. |
| j | 3,635. | | 3,588. | 47. |
| k | 19,937. | | 19,360. | 577. |
| l | 99,683. | | 97,450. | 2,233. |
| m | 36,444. | | 32,813. | 3,631. |
| n | 2,829. | | 2,695. | 134. |
| o | 3,309. | | 3,200. | 109. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 482. |
| b | | | | <6.> |
| c | | | | 190. |
| d | | | | 20. |
| e | | | | 37. |
| f | | | | 53. |
| g | | | | 54. |
| h | | | | 984. |
| i | | | | 10. |
| j | | | | 47. |
| k | | | | 577. |
| l | | | | 2,233. |
| m | | | | 3,631. |
| n | | | | 134. |
| o | | | | 109. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $11,474.20 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 05/25/10 |
| b | $2,021.93 FNMA POOL #930490 5% 1/1/39 | P | 12/16/08 | 05/25/10 |
| c | $1,141.22 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 05/25/10 |
| d | $1,665.79 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 05/25/10 |
| e | $3,174.19 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 05/25/10 |
| f | $1,214.81 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 05/25/10 |
| g | $4,968.44 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 05/25/10 |
| h | $23,656.93 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 05/25/10 |
| i | $2,862.91 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 05/25/10 |
| j | $884.90 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 05/25/10 |
| k | $10,000 BANK AMERICA CORP 5.25% 12/1/15 | P | 02/26/08 | 05/26/10 |
| l | $65,000 DAIMLER CHRYSLER HLDGS 8% 6/15/10 | P | 05/11/07 | 06/15/10 |
| m | $25,000 DAIMLER CHRYSLER HLDGS 8% 6/15/10 | P | 08/18/08 | 06/15/10 |
| n | $72,429.73 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 06/25/10 |
| o | $3,256.41 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 06/25/10 |

| | (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 | 11,474. | | 11,177. | 297. |
| b | 2,022. | | 2,065. | <43.> |
| c | 1,141. | | 1,061. | 80. |
| d | 1,666. | | 1,622. | 44. |
| e | 3,174. | | 3,140. | 34. |
| f | 1,215. | | 1,180. | 35. |
| g | 4,968. | | 4,845. | 123. |
| h | 23,657. | | 22,400. | 1,257. |
| i | 2,863. | | 2,826. | 37. |
| j | 885. | | 878. | 7. |
| k | 10,021. | | 10,002. | 19. |
| l | 65,000. | | 69,853. | <4,853.> |
| m | 25,000. | | 26,481. | <1,481.> |
| n | 72,430. | | 74,291. | <1,861.> |
| o | 3,256. | | 3,149. | 107. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 297. |
| b | | | | <43.> |
| c | | | | 80. |
| d | | | | 44. |
| e | | | | 34. |
| f | | | | 35. |
| g | | | | 123. |
| h | | | | 1,257. |
| i | | | | 37. |
| j | | | | 7. |
| k | | | | 19. |
| l | | | | <4,853.> |
| m | | | | <1,481.> |
| n | | | | <1,861.> |
| o | | | | 107. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $2,784.18 FNMA POOL #910390 5% 3/1/37 | P | 05/30/07 | 06/25/10 |
| b | $36,401.99 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 06/25/10 |
| c | $22,930.76 FNMA POOL #930490 5% 1/1/39 | P | 12/16/08 | 06/25/10 |
| d | $3,194.94 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 06/25/10 |
| e | $2,378.47 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 06/25/10 |
| f | $18,580.81 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 06/25/10 |
| g | $1,752.24 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 06/25/10 |
| h | $7,718.72 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 06/25/10 |
| i | $118,320.69 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 06/25/10 |
| j | $5,142.99 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 06/25/10 |
| k | $1,589.65 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 06/25/10 |
| l | $60,000 US TSY NTS 6.75% 8/15/26 | P | 08/18/08 | 07/19/10 |
| m | $5,000 US TSY NTS 6.75% 8/15/26 | P | 06/21/07 | 07/19/10 |
| n | $26,856.28 FNMA POOL #256596 5% 2/1/37 | P | 05/26/09 | 07/25/10 |
| o | $4,501.13 FNMA POOL #910390 5% 3/1/37 | P | 05/08/07 | 07/25/10 |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 2,784. | | 2,652. | 132. |
| b | 36,402. | | 35,461. | 941. |
| c | 22,931. | | 23,414. | <483.> |
| d | 3,195. | | 2,970. | 225. |
| e | 2,378. | | 2,316. | 62. |
| f | 18,581. | | 18,379. | 202. |
| g | 1,752. | | 1,702. | 50. |
| h | 7,719. | | 7,527. | 192. |
| i | 118,321. | | 112,035. | 6,286. |
| j | 5,143. | | 5,076. | 67. |
| k | 1,590. | | 1,577. | 13. |
| l | 83,353. | | 77,028. | 6,325. |
| m | 6,946. | | 5,820. | 1,126. |
| n | 26,856. | | 27,547. | <691.> |
| o | 4,501. | | 4,353. | 148. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 132. |
| b | | | | 941. |
| c | | | | <483.> |
| d | | | | 225. |
| e | | | | 62. |
| f | | | | 202. |
| g | | | | 50. |
| h | | | | 192. |
| i | | | | 6,286. |
| j | | | | 67. |
| k | | | | 13. |
| l | | | | 6,325. |
| m | | | | 1,126. |
| n | | | | <691.> |
| o | | | | 148. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $3,848.38 FNMA POOL #910390 5% 3/1/37 | P | 05/30/07 | 07/25/10 |
| b | $6,614.46 FNMA POOL #918370 5.5% 5/1/37 | P | 06/04/07 | 07/25/10 |
| c | $285.80 FNMA POOL #930490 5% 1/1/39 | P | 12/16/08 | 07/25/10 |
| d | $1,006.29 FNMA POOL #938502 5% 5/1/37 | P | 06/14/07 | 07/25/10 |
| e | $1,112.04 FNMA POOL #939444 5.5% 6/1/37 | P | 06/01/07 | 07/25/10 |
| f | $4,830.16 FNMA POOL #940185 5.5% 6/1/37 | P | 05/08/07 | 07/25/10 |
| g | $1,248.53 FNMA POOL #940765 5.5% 6/1/37 | P | 08/20/07 | 07/25/10 |
| h | $5,614.56 FNMA POOL #949707 5.5% 9/1/37 | P | 08/24/07 | 07/25/10 |
| i | $1,837.92 FNMA POOL #968318 5% 2/1/38 | P | 08/18/08 | 07/25/10 |
| j | $2,357.47 FNMA POOL #974742 5% 4/1/38 | P | 03/26/08 | 07/25/10 |
| k | $7,627.12 FNMA POOL #974742 5% 4/1/38 | P | 03/28/08 | 07/25/10 |
| l | $75,000 CITIGROUP INC 4.125% 2/22/10 | P | 08/18/08 | 02/22/10 |
| m | $100,000 CITIGROUP INC 4.125% 2/22/10 | P | 05/10/07 | 02/22/10 |
| n | $260,000 US TSY BILLS 0% 9/16/10 | P | 03/31/10 | 06/30/10 |
| o | $775 CANADIAN DOLLAR | P | 03/30/10 | 03/31/10 |

| | (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 | 3,848. | | 3,666. | 182. |
| b | 6,614. | | 6,443. | 171. |
| c | 286. | | 292. | <6.> |
| d | 1,006. | | 935. | 71. |
| e | 1,112. | | 1,083. | 29. |
| f | 4,830. | | 4,778. | 52. |
| g | 1,249. | | 1,213. | 36. |
| h | 5,615. | | 5,475. | 140. |
| i | 1,838. | | 1,740. | 98. |
| j | 2,357. | | 2,338. | 19. |
| k | 7,627. | | 7,528. | 99. |
| l | 75,000. | | 74,588. | 412. |
| m | 100,000. | | 97,666. | 2,334. |
| n | 259,919. | | 259,919. | 0. |
| o | 760. | | 775. | <15.> |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 182. |
| b | | | | 171. |
| c | | | | <6.> |
| d | | | | 71. |
| e | | | | 29. |
| f | | | | 52. |
| g | | | | 36. |
| h | | | | 140. |
| i | | | | 98. |
| j | | | | 19. |
| k | | | | 99. |
| l | | | | 412. |
| m | | | | 2,334. |
| n | | | | 0. |
| o | | | | <15.> |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | 550 SHS CANADIAN OIL SANDS TR | P | 07/14/09 | 08/13/10 |
| b | 30 SHS CNOOC LTD SPON ADR | P | 09/04/09 | 10/12/10 |
| c | 25 SHS CNOOC LTD SPON ADR | P | 09/08/09 | 10/12/10 |
| d | $20,000 ST MARY LD & EXPL CO 3.5% 4/1/27 | P | 08/14/09 | 12/02/10 |
| e | 400 SHS MARSH & MCLENNAN COS INC | P | 08/14/09 | 01/11/10 |
| f | 500 SHS MARSH & MCLENNAN COS INC | P | 07/14/09 | 01/11/10 |
| g | 250 SHS DIAGEO PLC SPON ADR | P | 07/13/09 | 01/21/10 |
| h | 300 SHS DIAGEO PLC SPON ADR | P | 08/14/09 | 01/21/10 |
| i | 900 SHS APOLLO INVESTMENT CORP | P | 10/12/09 | 03/16/10 |
| j | 850 SHS NEW YORK COMMUNITY BANCORP INC | P | 12/07/09 | 04/26/10 |
| k | 500 SHS PROGRESS ENERGY INC | P | 08/12/09 | 05/25/10 |
| l | 150 SHS UNITED PARCEL SVC INC CL B | P | 09/11/09 | 05/25/10 |
| m | 50 SHS UNITED PARCEL SVC INC CL B | P | 09/04/09 | 05/25/10 |
| n | 450 SHS NATIONAL GRID PLC SPON ADR | P | 10/06/09 | 08/06/10 |
| o | 175 SHS ENBRIDGE ENERGY MANAGEMENT | P | 07/13/09 | 07/29/10 |

| | (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 | 14,003. | | 12,480. | 1,523. |
| b | 6,251. | | 3,991. | 2,260. |
| c | 5,209. | | 3,468. | 1,741. |
| d | 22,750. | | 19,914. | 2,836. |
| e | 8,812. | | 9,348. | <536.> |
| f | 11,015. | | 9,490. | 1,525. |
| g | 17,507. | | 14,177. | 3,330. |
| h | 21,009. | | 18,498. | 2,511. |
| i | 11,098. | | 8,682. | 2,416. |
| j | 14,003. | | 11,050. | 2,953. |
| k | 18,958. | | 19,908. | <950.> |
| l | 9,207. | | 8,787. | 420. |
| m | 3,069. | | 2,672. | 397. |
| n | 19,098. | | 21,712. | <2,614.> |
| o | 9,381. | | 5,996. | 3,385. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 1,523. |
| b | | | | 2,260. |
| c | | | | 1,741. |
| d | | | | 2,836. |
| e | | | | <536.> |
| f | | | | 1,525. |
| g | | | | 3,330. |
| h | | | | 2,511. |
| i | | | | 2,416. |
| j | | | | 2,953. |
| k | | | | <950.> |
| l | | | | 420. |
| m | | | | 397. |
| n | | | | <2,614.> |
| o | | | | 3,385. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $20,000 VERISIGN INC 3.25% 8/15/37 | P | 11/23/09 | 03/08/10 |
| b | 400 SHS VENTAS INC | P | 07/14/09 | 03/16/10 |
| c | 200 SHS DIGITAL REALTY TRUST INC | P | 08/14/09 | 04/12/10 |
| d | 150 SHS POTLATCH CORP | P | 07/14/09 | 04/19/10 |
| e | 450 SHS POTLATCH CORP | P | 08/14/09 | 04/19/10 |
| f | 350 SHS AMB PROPERTY CORP | P | 10/12/09 | 04/26/10 |
| g | 150 SHS AVALONBAY COMMUNITIES INC | P | 08/14/09 | 04/26/10 |
| h | 200 SHS DIGITAL REALTY TRUST INC | P | 08/14/09 | 04/26/10 |
| i | 200 SHS POTLATCH CORP | P | 07/14/09 | 05/25/10 |
| j | 100 SHS POTLATCH CORP | P | 07/14/09 | 05/26/10 |
| k | 200 SHS DIGITAL REALTY TRUST INC | P | 07/14/09 | 05/27/10 |
| l | 200 SHS POTLATCH CORP | P | 07/14/09 | 05/27/10 |
| m | CAPITAL GAIN DIVIDENDS - RIDGE CLEARING & OUTSOUR | P | VARIOUS | VARIOUS |
| n | CASH IN LIEU PAYMENTS - RIDGE CLEARING & OUTSOURC | P | VARIOUS | VARIOUS |
| o | K-1 FROM NB CROSSROADS FUND XVII - ASSET ALLOC LP | P | | |

| | (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 | 18,388. | | 16,900. | 1,488. |
| b | 18,966. | | 11,591. | 7,375. |
| c | 11,306. | | 8,663. | 2,643. |
| d | 5,605. | | 3,498. | 2,107. |
| e | 16,814. | | 12,895. | 3,919. |
| f | 9,953. | | 7,952. | 2,001. |
| g | 15,080. | | 9,645. | 5,435. |
| h | 12,066. | | 8,663. | 3,403. |
| i | 6,785. | | 4,664. | 2,121. |
| j | 3,442. | | 2,332. | 1,110. |
| k | 11,317. | | 7,132. | 4,185. |
| l | 6,936. | | 4,664. | 2,272. |
| m | 282. | | | 282. |
| n | 91. | | | 91. |
| o | 5,896. | | | 5,896. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | 1,488. |
| b | | | | 7,375. |
| c | | | | 2,643. |
| d | | | | 2,107. |
| e | | | | 3,919. |
| f | | | | 2,001. |
| g | | | | 5,435. |
| h | | | | 3,403. |
| i | | | | 2,121. |
| j | | | | 1,110. |
| k | | | | 4,185. |
| l | | | | 2,272. |
| m | | | | 282. |
| n | | | | 91. |
| o | | | | 5,896. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | K-1 FROM NB CROSSROADS FUND XVII - ASSET ALLOC LP | P | | |
| b | K-1 FROM RCP FUND II, LP | P | | |
| c | K-1 FROM RCP FUND II, LP | P | | |
| d | | | | |
| e | | | | |
| f | | | | |
| g | 1455 SHS MCGRAW HILL COS INC | P | 08/25/10 | 09/30/10 |
| h | 2385 SHS TE CONNECTIVITY LTD | P | 08/25/10 | 10/12/10 |
| i | 470 SHS W W GRAINGER INC | P | 08/25/10 | 10/20/10 |
| j | 380 SHS W W GRAINGER INC | P | 08/27/10 | 10/20/10 |
| k | 270 SHS W W GRAINGER INC | P | 08/30/10 | 10/20/10 |
| l | 1275 SHS DIAGEO PLC SPON ADR | P | 08/25/10 | 10/28/10 |
| m | 2135 SHS ESUSEFN | P | 08/25/10 | 11/17/10 |
| n | 1665 SHS ESUSEFN | P | 08/27/10 | 11/17/10 |
| o | 1245 SHS ESUSEFN | P | 08/30/10 | 11/17/10 |

| | (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 | 143,484. | | | 143,484. |
| b | 2,497. | | | 2,497. |
| c | 158,152. | | | 158,152. |
| d | | | | 0. |
| e | | | | 0. |
| f | | | | 0. |
| g | 48,095. | | 40,483. | 7,612. |
| h | 72,223. | | 59,561. | 12,662. |
| i | 57,517. | | 49,874. | 7,643. |
| j | 46,503. | | 40,507. | 5,996. |
| k | 33,042. | | 28,895. | 4,147. |
| l | 94,337. | | 84,446. | 9,891. |
| m | 49,875. | | 47,724. | 2,151. |
| n | 38,895. | | 37,444. | 1,451. |
| o | 29,084. | | 27,851. | 1,233. |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 143,484. |
| b | | | | 2,497. |
| c | | | | 158,152. |
| d | | | | 0. |
| e | | | | 0. |
| f | | | | 0. |
| g | | | | 7,612. |
| h | | | | 12,662. |
| i | | | | 7,643. |
| j | | | | 5,996. |
| k | | | | 4,147. |
| l | | | | 9,891. |
| m | | | | 2,151. |
| n | | | | 1,451. |
| o | | | | 1,233. |

| | | | |
|---|---|---|---|
| 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 | |
| 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 | |

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

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | $10,000 SEAGATE TECHNOLOGY HDD DLDG 6.8% 10/1/16 | P | 08/25/10 | 10/18/10 |
| b | $10,000 SEAGATE TECHNOLOGY HDD DLDG 6.8% 10/1/16 | P | 08/25/10 | 10/19/10 |
| c | $15,000 SEAGATE TECHNOLOGY HDD DLDG 6.8% 10/1/16 | P | 08/25/10 | 10/19/10 |
| d | $40,000 DAVITA INC 7.25% 3/15/15 | P | 09/14/10 | 10/20/10 |
| e | $10,000 SEAGATE TECHNOLOGY HDD DLDG 6.8% 10/1/16 | P | 08/25/10 | 10/20/10 |
| f | 900 SHS J CREW GROUP INC | P | 10/25/10 | 11/17/10 |
| g | 900 SHS J CREW GROUP INC | P | 10/25/10 | 11/19/10 |
| h | 1000 SHS AMGEN INC | P | 10/25/10 | 12/15/10 |
| i | K-1 FROM HIGHVISTA II, LP | P | | |
| j | K-1 FROM HIGHVISTA II, LP | P | | |
| k | K-1 FROM PERRY REAL ESTATE FUND I, LP | P | | |
| l | K-1 FROM PERRY REAL ESTATE FUND I, LP | P | | |
| m | K-1 FROM METROPOLITAN REAL ESTATE PARTNERS II, LP | P | | |
| n | K-1 FROM METROPOLITAN REAL ESTATE PARTNERS II, LP | P | | |
| o | K-1 FROM GSCP V INSTITUTIONAL AIV, LP | P | | |

| | (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 | 10,188. | | 10,209. | <21.> |
| b | 10,175. | | 10,209. | <34.> |
| c | 15,272. | | 15,313. | <41.> |
| d | 41,550. | | 41,495. | 55. |
| e | 5,088. | | 5,104. | <16.> |
| f | 32,640. | | 28,402. | 4,238. |
| g | 32,759. | | 28,402. | 4,357. |
| h | 56,242. | | 58,005. | <1,763.> |
| i | | | 4,564. | <4,564.> |
| j | 230,362. | | | 230,362. |
| k | 21,061. | | | 21,061. |
| l | 47,844. | | | 47,844. |
| m | 131. | | | 131. |
| n | | | 13,276. | <13,276.> |
| o | 8,789. | | | 8,789. |

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| a | | | | <21.> |
| b | | | | <34.> |
| c | | | | <41.> |
| d | | | | 55. |
| e | | | | <16.> |
| f | | | | 4,238. |
| g | | | | 4,357. |
| h | | | | <1,763.> |
| i | | | | <4,564.> |
| j | | | | 230,362. |
| k | | | | 21,061. |
| l | | | | 47,844. |
| m | | | | 131. |
| n | | | | <13,276.> |
| o | | | | 8,789. |

| | | | |
|---|---|---|---|
| 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 | 6,573,206. |
| 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 |

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

| SOURCE | AMOUNT |
|---|---|
| BARCLAYS CAPITAL INC #578-00554 | 358. |
| BARCLAYS CAPITAL INC #578-00556 | 252. |
| BARCLAYS CAPITAL INC #578-00590 | 718. |
| BARCLAYS CAPITAL INC #834-60243 | 1,105. |
| BARCLAYS CAPITAL INC #834-60259 | 464. |
| BARCLAYS CAPITAL INC #834-60261 | 30. |
| BARCLAYS CAPITAL INC #834-60265 | 30. |
| BARCLAYS CAPITAL INC #834-60270 | 73. |
| BARCLAYS CAPITAL INC #834-60564 | 973. |
| BARCLAYS CAPITAL INC #834-60565 | 520. |
| FEDERATED GOVT OBLIGS FD INSTL SHS- 0078038 | 231. |
| FEDERATED GOVT OBLIGS FD INSTL SHS- 0087133 | 43. |
| GOLDMAN SACHS ACCT #680-36409-8 | 1. |
| GOLDMAN SACHS ACCT# 010-42896-9 | 336. |
| GOLDMAN SACHS ACCT# 010-42896-9 | 756. |
| JPMORGAN CLEARING CORP #541-40211 | 100. |
| RIDGE CLEARING & OUTSOURCING #541-13280 - FINAL | 773. |
| RIDGE CLEARING & OUTSOURCING #541-13281 - FINAL | 557. |
| RIDGE CLEARING & OUTSOURCING #541-13283 - FINAL | 31. |
| RIDGE CLEARING & OUTSOURCING #541-13288 - FINAL | 594. |
| RIDGE CLEARING & OUTSOURCING #541-14285 - FINAL | 51. |
| RIDGE CLEARING & OUTSOURCING #541-14286 - FINAL | 41. |
| RIDGE CLEARING & OUTSOURCING #541-14287 - FINAL | 422. |
| RIDGE CLEARING & OUTSOURCING #541-15835 - FINAL | 74. |
| TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A | 8,533. |

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|---|---|---|---|
| BARCLAYS CAPITAL INC #834-60564 | 38,529. | 0. | 38,529. |
| BARCLAYS CAPITAL INC #834-60565 | <7,164.> | 0. | <7,164.> |
| BARCLAYS CAPITAL INC - #578-00590 | 3,602. | 0. | 3,602. |
| BARCLAYS CAPITAL INC - ACCOUNT #834-60261 | 6,338. | 0. | 6,338. |
| BARCLAYS CAPITAL INC - ACCOUNT #578-00554 | 207,758. | 0. | 207,758. |
| BARCLAYS CAPITAL INC - ACCOUNT #578-00556 | 14,200. | 0. | 14,200. |
| BARCLAYS CAPITAL INC - ACCOUNT #834-60243 | 77,894. | 0. | 77,894. |
| BARCLAYS CAPITAL INC - ACCOUNT #834-60259 | 47,077. | 0. | 47,077. |

| | | | |
|---|---|---|---|
| BARCLAYS CAPITAL INC - ACCOUNT #834-60265 | 5,303. | 0. | 5,303. |
| BARCLAYS CAPITAL INC - ACCOUNT #834-60270 | 8,613. | 0. | 8,613. |
| GOLDMAN SACHS ACCT# 010-42896-9 | 333,831. | 0. | 333,831. |
| JP MORGAN ACCT #59301088 - FINAL | 8,265. | 0. | 8,265. |
| JP MORGAN ACCT #59301088 - FINAL | 682. | 0. | 682. |
| JP MORGAN ACCT #59302028 - FINAL | 33,351. | 0. | 33,351. |
| JP MORGAN ACCT #59302030 - FINAL | 1,020. | 0. | 1,020. |
| JP MORGAN ACCT #59302035 - FINAL | 11,386. | 0. | 11,386. |
| JP MORGAN ACCT #59303094 - FINAL | 1,713. | 0. | 1,713. |
| JP MORGAN ACCT #59303095 - FINAL | 2,730. | 0. | 2,730. |
| JP MORGAN ACCT #59303096 - FINAL | 91,609. | 0. | 91,609. |
| LAZARD LTD | 275. | 0. | 275. |
| NEUBERGER BERMAN LLC #541-40211 | 23,310. | 0. | 23,310. |
| NEUBERGER BERMAN LLC #541-40211 | 2,605. | 0. | 2,605. |
| RIDGE CLEARING & OUTSOURCING #541-13281 - FINAL | 93,798. | 0. | 93,798. |
| RIDGE CLEARING & OUTSOURCING #541-13283 FINAL | 5,194. | 0. | 5,194. |
| RIDGE CLEARING & OUTSOURCING #541-13288 - FINAL | 33,442. | 0. | 33,442. |
| RIDGE CLEARING & OUTSOURCING #541-14285 - FINAL | 4,696. | 0. | 4,696. |
| RIDGE CLEARING & OUTSOURCING #541-14286 - FINAL | 7,658. | 0. | 7,658. |
| RIDGE CLEARING & OUTSOURCING #541-14287 - FINAL | 272,843. | 0. | 272,843. |
| RIDGE CLEARING & OUTSOURCING #541-15835 - FINAL | 21,557. | 0. | 21,557. |
| RIDGE CLEARING & OUTSOURCING #541-15835 - FINAL | 1,238. | 0. | 1,238. |
| TOTAL TO FM 990-PF, PART I, LN 4 | 1,353,353. | 0. | 1,353,353. |

FORM 990-PF OTHER INCOME STATEMENT 3

| DESCRIPTION | (A) REVENUE PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|
| ADAMAS OPPORTUNITIES, L.P. (1YR) | 0. | <256.> | |
| ADAMAS OPPORTUNITIES, L.P. (3YR) | 0. | <3,222.> | |
| ADAMAS PARTNERS, L.P. | 0. | 16,690. | |
| PERRY REAL ESTATE FUND I, L.P. | 0. | 657. | |
| HIGHVISTA II LIMITED PARTNERSHIP | 0. | 1,044,940. | |
| BAUPOST VALUE PARTNERS, LP - IV | 0. | 150,687. | |
| GSCP V INSTITUTIONAL AIV, LP | 0. | 1,880. | |
| GS CAPITAL PARTNERS V INSTITUTIONAL, LP | 0. | <14,684.> | |
| NB CROSSROADS FUND XVII - INSTITUTIONAL ASSET ALLOC LP | 0. | 2,218. | |

| | | | |
|---|---|---|---|
| NB CROSSROADS FUND XVIII - ASSET ALLOC LP | 0. | <237.> | |
| 2009 FEDERAL EXCISE TAX OVERPAYMENT APPLIED TO 2010 | 95,131. | 0. | |
| RCP FUND II, LP | 0. | <163.> | |
| METRO REAL ESTATE PARTNER II, L.P | 0. | 10,644. | |
| ADAMAS OPPORTUNITIES, L.P. (1YR) | 0. | <249.> | |
| ADAMAS OPPORTUNITIES, L.P. (3YR) | 0. | <3,108.> | |
| ADAMAS PARTNERS, L.P. | 0. | <4,320.> | |
| METRO REAL ESTATE PARTNER II, L.P | 0. | <287.> | |
| METRO REAL ESTATE PARTNER II, L.P | 0. | <1,429.> | |
| HIGHVISTA II LIMITED PARTNERSHIP | 0. | <2,124.> | |
| HIGHVISTA II LIMITED PARTNERSHIP | 0. | <176.> | |
| NB CROSSROADS FUND XVIII - ASSET ALLOC LP | 0. | <515.> | |
| BAUPOST VALUE PARTNERS, LP - IV | 0. | <248.> | |
| RCP FUND II, LP | 0. | <1,294.> | |
| PERRY REAL ESTATE FUND I, L.P. | 0. | <8,902.> | |
| SHELBY OAKS MACOMB APARTMENTS LIMITED | 0. | <27,002.> | |
| REFUND OF 2008 FEDERAL UBT | 1,256. | 0. | |
| MISC INCOME NEUBERGER BERMAN #541-40211 | 407. | 407. | |
| ERRONEOUS DEPOSIT ON 12/27/10 FIXED IN 2011 | 250. | 0. | |
| NB CROSSROADS FUND XVII - INSTITUTIONAL ASSET ALLOC LP | 0. | <26.> | |
| GS CAPITAL PARTNERS V INSTITUTIONAL, LP | 0. | <1,639.> | |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | 97,044. | 1,158,242. | |

FORM 990-PF — LEGAL FEES — STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| ROPES & GRAY - LEGAL FEES | 22,297. | 14,493. | | 7,804. |
| FILING FEE | 0. | 0. | | 0. |
| TO FM 990-PF, PG 1, LN 16A | 22,297. | 14,493. | | 7,804. |

FORM 990-PF ACCOUNTING FEES STATEMENT 5

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| ROPES & GRAY - TAX PREP | 45,643. | 29,668. | | 15,975. |
| TO FORM 990-PF, PG 1, LN 16B | 45,643. | 29,668. | | 15,975. |

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 6

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| GOLDMAN SACHS ACCT# 010-42896-9 INVESTMENT MANAGEMENT FEES | 1,000. | 1,000. | | 0. |
| LEHMAN BROS, NEUBERGER BERMAN & BARCLAY'S INVESTMENT FEES | 304,711. | 304,711. | | 0. |
| TO FORM 990-PF, PG 1, LN 16C | 305,711. | 305,711. | | 0. |

FORM 990-PF TAXES STATEMENT 7

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FEDERAL EXCISE TAX | 95,131. | 0. | | 0. |
| FOREIGN TAX WITHHELD | 6,896. | 6,896. | | 0. |
| FOREIGN TAX WITHHELD FROM PARTNERSHIPS | 0. | 17,399. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 102,027. | 24,295. | | 0. |

FORM 990-PF OTHER EXPENSES STATEMENT 8

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| ADAMAS OPPORTUNITIES, L.P. (1YR) | 0. | 4,884. | | 0. |
| ADAMAS OPPORTUNITIES, L.P. (3YR) | 0. | 57,750. | | 0. |
| ADAMAS PARTNERS, L.P. | 0. | 55,037. | | 0. |
| GS CAPITAL PARTNERS V INSTITUTIONAL, L.P. | 0. | 16,807. | | 0. |
| HIGHVISTA II LIMITED PARTNERSHIP | 0. | 270,773. | | 0. |
| METRO REAL ESTATE PARTNER II, L.P | 0. | 19,784. | | 0. |
| PERRY REAL ESTATE FUND I, L.P. | 0. | 5,728. | | 0. |
| RCP FUND II, L.P. | 0. | 28,023. | | 0. |
| NB CROSSROADS FUND XVIII - ASSET ALLOC LP | 0. | 38,889. | | 0. |
| NB CROSSROADS FUND XVII - INSTITUTIONAL ASSET ALLOC LP | 0. | 115,883. | | 0. |
| BAUPOST VALUE PARTNERS, LP - IV | 0. | 551,909. | | 0. |
| ADR FEES - #593-02028 | 132. | 132. | | 0. |
| LAZARD LTD | 0. | 3. | | 0. |
| GSCP V INSTITUTIONAL AIV, LP | 0. | 2,623. | | 0. |
| ADR FEES - #541-13281 | 486. | 486. | | 0. |
| ADR FEES - #541-13288 | 335. | 335. | | 0. |
| INVESTMENT EXPENSES - #541-14287 | 7,327. | 7,327. | | 0. |
| ADR FEES - #541-15835 | 26. | 26. | | 0. |
| ADR FEES - #541-40211 | 41. | 41. | | 0. |
| ADR FEES - #834-60259 | 62. | 62. | | 0. |
| ADR FEES - #593-02035 | 335. | 335. | | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 8,744. | 1,176,837. | | 0. |

FORM 990-PF OTHER INCREASES IN NET ASSETS OR FUND BALANCES STATEMENT 9

| DESCRIPTION | AMOUNT |
|---|---|
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT ADAMAS OPPORTUNIES 1YR & 3YR | 156,425. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT ADAMAS PARTNERS | 306,936. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT BAUPOST VALUE PARTNERS IV | 2,154,751. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT HIGHVISTA II LIMITED PRTNSP | 1,556,963. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT NB CROSSROADS XVII | 366,311. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT NB CROSSROADS XVIII | 255,122. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT RCP FUND II, LP | 127,955. |
| ADJUSTMENT MADE TO CORRECT BOOK VALUE OF ETON PARK OVERSEAS FUND | 26,056. |
| ADJ FOR ENDING PARTNER'S CAPITAL BARCLAYS WLTH ADV SER-INT'L VALUE EQUITY | 14,852. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT GSCP V INSTITUTIONAL AIV, LP | 7,131. |
| TOTAL TO FORM 990-PF, PART III, LINE 3 | 4,972,502. |

FORM 990-PF OTHER DECREASES IN NET ASSETS OR FUND BALANCES STATEMENT 10

| DESCRIPTION | AMOUNT |
|---|---|
| TAX/BOOK ALT INVESTMENTS & PRIVATE EQUITY ADJUSTMENTS | 584,726. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT PERRY REAL ESTATE FD I LP | 9,555. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT SHELBY OAKS MACOMB APTS | 159,211. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT GS CAPITAL PARTNERS V | 408,167. |
| ADJUSTMENT FOR ENDING PARTNER'S CAPITAL ACCOUNT METROPOLITAN REAL ESTATE II | 191,341. |
| ADJUSTMENT FOR PARTNERSHIP DISTRIBTION - GS WEST STREET PARTNERS II | 1,274,263. |
| ADJUSTMENT MADE TO CORRECT BOOK VALUE OF SOWOOD ALPHA FUND LTD | 27,608. |
| ADJ FOR ENDING PARTNER'S CAPITAL ACCOUNT SILVER CREEK EARLY ADVANTAGE LTD | 741,037. |
| TOTAL TO FORM 990-PF, PART III, LINE 5 | 3,395,908. |

| FORM 990-PF | U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS | STATEMENT 11 |
|---|---|---|

| DESCRIPTION | U.S. GOV'T | OTHER GOV'T | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|---|
| LEHMAN BROTHERS ACCT #593-03096 | X | | 0. | 0. |
| BARCLAYS CAPITAL INC ACCT #578-00554 (SEE ATTACHED) | X | | 4,781,534. | 4,840,110. |
| TOTAL U.S. GOVERNMENT OBLIGATIONS | | | 4,781,534. | 4,840,110. |
| TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS | | | | |
| TOTAL TO FORM 990-PF, PART II, LINE 10A | | | 4,781,534. | 4,840,110. |

| FORM 990-PF | CORPORATE STOCK | STATEMENT 12 |
|---|---|---|

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| LEHMAN BROTHERS ACCT #593-02028 | 0. | 0. |
| 150,440.4 SHS ARTIO GLOBAL INVT INT'L EQUITY FD | 0. | 0. |
| 442,562.086 SHS GS HIGH YIELD MUTUAL FUND CL I | 2,584,289. | 3,230,703. |
| 69855.505 SHS GS ULTRA-SHORT DURATION GOVT FD CL I | 618,223. | 616,824. |
| LEHMAN BROTHERS ACCT #593-02035 | 0. | 0. |
| LEHMAN BROTHERS ACCT #593-02030 | 0. | 0. |
| LEHMAN BROTHERS ACCT #593-03094 | 0. | 0. |
| LEHMAN BROTHERS ACCT #593-03095 | 0. | 0. |
| LEHMAN BROTHERS ACCT #593-01088 | 0. | 0. |
| 32,093.587 SHS DRIEHAUS MUT FDS EMERGING MKTS GRTH | 1,110,113. | 1,033,734. |
| BARCLAYS CAPITAL INC ACCT #834-60259 (SEE ATTACHED) | 2,772,681. | 2,790,189. |
| BARCLAYS CAPITAL INC ACCT #834-60265 (SEE ATTACHED) | 1,156,150. | 1,891,983. |
| BARCLAYS CAPITAL INC ACCT #578-00556 (SEE ATTACHED) | 1,289,604. | 1,126,800. |
| BARCLAYS CAPITAL INC ACCT #834-60270 (SEE ATTACHED) | 1,359,790. | 1,608,265. |
| BARCLAYS CAPITAL INC ACCT #834-60261 (SEE ATTACHED) | 1,206,687. | 1,352,552. |
| BARCLAYS CAPITAL INC ACCT #578-00555 (SEE ATTACHED) | 1,489,804. | 1,754,669. |
| BARCLAYS CAPITAL INC ACCT #834-60564 (SEE ATTACHED) | 5,415,877. | 6,296,920. |
| BARCLAYS CAPITAL INC ACCT #578-00590 (SEE ATTACHED) | 1,432,365. | 1,533,180. |
| 1,065,500 SHS TIMBERLAND CO CLASS "B" | 0. | 13,394,886. |

| | | |
|---|---|---|
| 12,878 SHS TIMBERLAND CO CLASS "A" | 0. | 316,670. |
| GS STRATEGIC INCOME FUND CLASS I | 956,234. | 952,136. |
| GS LOCAL EMERGING MKTS DEBT FD CLASS I | 1,364,725. | 1,413,433. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 22,756,542. | 39,312,944. |

FORM 990-PF CORPORATE BONDS STATEMENT 13

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| LEHMAN BROTHERS ACCT #593-03096 | 0. | 0. |
| ISRAEL ST DLR BD 7TH DEV DTD 7/1/03 4% 7/1/2018 | 10,000. | 10,000. |
| ISRAEL ST DTD 12/1/00 0% 12/1/2015 | 1,000. | 1,000. |
| BARCLAYS CAPITAL INC ACCT #578-00554 (SEE ATTACHED) | 7,092,678. | 7,000,281. |
| BARCLAYS CAPITAL INC ACCT #578-00555 (SEE ATTACHED) | 301,066. | 314,451. |
| BARCLAYS CAPITAL INC ACCT #834-605645 (SEE ATTACHED) | 1,948,324. | 1,951,606. |
| TOTAL TO FORM 990-PF, PART II, LINE 10C | 9,353,068. | 9,277,338. |

FORM 990-PF OTHER ASSETS STATEMENT 14

| DESCRIPTION | BEGINNING OF YR BOOK VALUE | END OF YEAR BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|
| ADAMAS OPPORTUNITIES LP (1YR & 3YR) | 2,474,743. | 2,631,168. | 2,037,984. |
| ADAMAS PARTNERS LP | 3,182,951. | 3,489,887. | 2,675,957. |
| GREENLIGHT MASTERS - OFFSHORE LTD - UNRESTRICTED | 2,000,000. | 2,000,000. | 3,267,116. |
| NB CROSSROADS PRV EQUITY ASSET ALLOCATION FD INSTL SER XVII LP THE PARTNERSH | 2,786,310. | 3,152,621. | 1,280,000. |
| METROPOLITAN REAL ESTATE PARTNERS II, L.P. - RESTRICTED | 1,329,427. | 1,138,086. | 1,355,429. |
| RCP FUND II LP | 983,149. | 1,111,104. | 1,336,602. |
| SILVER CREEK EARLY ADVANTAGE LTD, - RESTRICTED | 2,000,000. | 1,258,963. | 2,570,509. |
| SHELBY OAKS MACOMB LP | 385,272. | 226,061. | 2,400,000. |
| GOLDMAN SACHS VINTAGE FUND III OFFSHORE, LP | 915,034. | 915,034. | 1,351,869. |
| GOLDMAN SACHS MEZZANINE PARTNERS 2006 OFFSHORE, LP | 2,459,886. | 2,459,886. | 2,356,619. |
| HIGHVISTA II LIMITED PARTNERSHIP | 16,371,910. | 17,928,873. | 16,928,124. |
| PERRY REAL ESTATE FUND I, LP | 970,523. | 960,968. | 992,436. |

| | | | |
|---|---|---|---|
| LEHMAN BROTHERS HLDGS INC COMMODITY INDEX EQUAL WEIGHT EXCESS RETURN | 1,750,000. | 1,750,000. | 185,500. |
| BARCLAYS WEALTH ADVISOR SERIES-INT'L VALUE EQUITY LTD A | 6,449,308. | 6,464,160. | 6,396,935. |
| STRATEGIC COMMODITIES FUND LTD C OFFSHORE | 1,750,000. | 0. | 0. |
| NB CROSSROADS FUND XVIII ASSET ALLOCATION LP | 1,003,344. | 1,258,466. | 1,003,344. |
| ONE WILLIAM STREET CAPITAL | 2,500,000. | 2,500,000. | 3,534,677. |
| BAUPOST VALUE PARTNERS LP IV | 16,599,068. | 18,753,819. | 21,333,360. |
| GOLDMAN SACHS WEST STREET PARTNERS II, SPC CL A SER 1 | 3,322,610. | 2,048,347. | 2,119,979. |
| GOLDMAN SACHS DISTRESSED OPPORTUNITIES FUND, LP | 1,902,693. | 1,902,693. | 1,622,444. |
| SOWOOD ALPHA FUND LTD | 1,098,506. | 1,070,898. | 27,789. |
| ETON PARK OVERSEAS FUND, LTD | 1,655,545. | 1,681,601. | 2,724,878. |
| GS CAPITAL PARTNERS V, LP | 1,795,640. | 1,387,473. | 1,290,646. |
| GSCP V INSTITUTIONAL AIV, LP | 69,100. | 76,231. | 76,231. |
| NB CROSSROADS FUND XVII INSTITUTIONAL ASSET ALLOCATION | 2,948,203. | 2,948,203. | 2,786,310. |
| BWAS STRATEGIC COMMODITIES FUND LTD D | 0. | 1,490,000. | 1,696,596. |
| BARCLAYS WEALTH ADVISOR SERIES-INT'L GROWTH EQUITY LTD C | 4,000,000. | 0. | 0. |
| BARCLAYS WEALTH ADVISOR SERIES-INT'L GROWTH EQUITY LTD A | 0. | 5,712,222. | 6,382,255. |
| TO FORM 990-PF, PART II, LINE 15 | 82,703,222. | 86,316,764. | 89,733,589. |

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 15

| NAME AND ADDRESS | TITLE AND AVRG HRS/WK | COMPEN-SATION | EMPLOYEE BEN PLAN CONTRIB | EXPENSE ACCOUNT |
|---|---|---|---|---|
| ROBERT N. SHAPIRO<br>ROPES & GRAY LLP 800 BOYLSTON STREET<br>BOSTON, MA 02199-3600 | TRUSTEE<br>0.00 | 188,565. | 0. | 0. |
| SERVICES RENDERED OF WHICH THE ABOVE | 0.00 | 0. | 0. | 0. |
| IS A MEMBER - (SEE PROFESSIONAL FEES, | 0.00 | 0. | 0. | 0. |
| PART I, LINE 16C.) | 0.00 | 0. | 0. | 0. |
| COMPENSATION PAID TO ROPES & GRAY | 0.00 | 0. | 0. | 0. |
| TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII | | 188,565. | 0. | 0. |

FORM 990-PF SUMMARY OF DIRECT CHARITABLE ACTIVITIES STATEMENT 16

ACTIVITY ONE

THE SWARTZ FOUNDATION IS A PRIVATE FOUNDATION WHICH RECEIVES INVESTMENT INCOME AND DISTRIBUTES THAT INCOME TO THE VARIOUS CHARITIES SELECTED BY THE FOUNDATION'S DIRECTORS. EXPENSES ALLOCATED TO DIRECT CHARITABLE ACTIVITIES

| | EXPENSES |
|---|---|
| TO FORM 990-PF, PART IX-A, LINE 1 | 99,205. |

FORM 990-PF GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR STATEMENT 17

| RECIPIENT NAME AND ADDRESS | RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT | RECIPIENT STATUS | AMOUNT |
|---|---|---|---|
| YELE HAITI FOUNDATION INC<br>P. O. BOX 5057 NEW YORK, NY 10185-5057 | N/A<br>GENERAL | PUBLIC | 25,000. |
| INVESTIGATIVE PROJECT ON TERRORISM FOUNDATION<br>5505 CONNECTICUT AVE NW STE 341 WASHINGTON, DC 20015 | N/A<br>GENERAL | PUBLIC | 5,000. |
| CONGREGATION SHAAREI TEFILLAH<br>35 MORSELAND AVENUE NEWTON CENTRE, MA 02459 | N/A<br>GENERAL | PUBLIC | 325,000. |
| ANTI-DEFAMATION LEAGUE OF B'NAI B'RITH<br>823 UNITED NATIONS PLAZA NEW YORK, NY 10017-3518 | N/A<br>GENERAL | PUBLIC | 2,000. |
| B'NAI TORAH CONGREGATION<br>6261 S.W. 18TH STREET BOCA RATON, FL 33433 | N/A<br>GENERAL | PUBLIC | 5,000. |
| BETH ISRAEL DEACONESS MEDICAL CENTER, INC<br>330 BROOKLINE AVE BOSTON, MA 02215-5400 | N/A<br>GENERAL | PUBLIC | 5,000. |
| CHABAD LUBAVITCH OF THE NORTH SHORE<br>44 BURRILL STREET SWAMPSCOTT, MA 01907 | N/A<br>GENERAL | PUBLIC | 10,000. |
| COMBINED JEWISH PHILANTHROPIES OF GREATER BOSTON, INC.<br>126 HIGH STREET BOSTON, MA 02110-2700 | N/A<br>GENERAL | PUBLIC | 32,000. |

| | | | |
|---|---|---|---|
| DANA FARBER CANCER INSTITUTE INC 44 BINNEY STREET BOSTON, MA 02115 | N/A GENERAL | PUBLIC | |
| FRIENDS OF ISRAEL DAVID INC P O BOX 908 BELLMAWR, NJ 08099 | N/A GENERAL | PUBLIC | 100,000. |
| GANN ACADEMY THE JEWISH HIGH SCHOOL OF GREATER BOSTON INC 333 FOREST STREET WALTHAM, MA 02452 | N/A GENERAL | PUBLIC | |
| GATEWAYS ACCESS TO JEWISH EDUCATION, INC 333 NAHANTON STREET NEWTON, MA 02459 | N/A GENERAL | PUBLIC | 25,000. |
| HADASSAH FOUNDATION, INC 50 W 58TH STREET NEW YORK, NY 10019-2500 | N/A GENERAL | PUBLIC | 1,800. |
| HADASSAH THE WOMENS ZIONIST ORGANIZATION OF AMERICA 50 W 58TH STREET NEW YORK, NY 10019-2500 | N/A GENERAL | PUBLIC | 1,000. |
| HEBREW SENIORLIFE, INC 1200 CENTRE STREET BOSTON, MA 02131 | N/A GENERAL | PUBLIC | 1,000. |
| ISRAEL CANCER ASSOCIATION USA 324 ROYAL PALM WAY PALM BEACH, FL 33480 | N/A GENERAL | PUBLIC | |
| JEWISH CEMETERY ASSOCIATION OF MASSACHUSETTS INC 189 WELLS AVENUE NEWTON CENTRE, MA 02459 | N/A GENERAL | PUBLIC | 1,000. |
| JEWISH FAMILY AND CHILDRENS FOUNDATION INC 31 NEW CHARDON STREET BOSTON, MA 02114 | N/A GENERAL | PUBLIC | 1,000. |

| | | | |
|---|---|---|---|
| JEWISH FAMILY SERVICE OF THE NORTH SHORE INC<br>2 EAST INDIA SQUARE SALEM, MA 01970-3707 | N/A<br>GENERAL | PUBLIC | |
| JEWISH FEDERATION OF SOUTH PALM BEACH COUNTY INC<br>9901 DONNA KLEIN BLVD BOCA RATON, FL 33428 | N/A<br>GENERAL | PUBLIC | |
| JEWISH NATIONAL FUND - KEREM KAYEMETH LEISRAEL INC<br>42 EAST 69TH STREET NEW YORK, NY 10021 | N/A<br>GENERAL | PUBLIC | |
| MAIMONIDES SCHOOL<br>34 PHILBRICK ROAD BROOKLINE, MA 02445-6099 | N/A<br>GENERAL | PUBLIC | 5,000. |
| RUTH RALES JEWISH FAMILY SERVICE OF SOUTH PALM BEACH COUNTY INC<br>21300 RUTH BARON COLEMAN BLVD BOCA RATON, FL 33428 | N/A<br>GENERAL | PUBLIC | 5,000. |
| SIMON WIESENTHAL CENTER<br>1399 S ROXBURY DRIVE LOS ANGELES, CA 90035-4709 | N/A<br>GENERAL | PUBLIC | 1,000. |
| TEMPLE EMANUEL<br>385 WARD STREET NEWTON CENTRE, MA 02459 | N/A<br>GENERAL | PUBLIC | 6,000. |
| UNITED STATES HOLOCAUST MEMORIAL COUNCIL<br>100 RAOUL WALLENBERG PL SW WASHINGTON, DC 20024-2126 | N/A<br>GENERAL | PUBLIC | 1,000. |
| SHARE OUR STRENGTH INC<br>1730 M STREET NW, STE 700 WASHINGTON, DC 20036 | N/A<br>GENERAL | PUBLIC | 10,000. |
| CLIMATE GROUP INC<br>444 PARK AVE SOUTH 2ND FLOOR NEW YORK, NY 10016 | N/A<br>GENERAL | PUBLIC | 5,000. |

| | | | |
|---|---|---|---|
| AMERICAN FRIENDS OF MEIR PANIM<br>5316 NEW UTRECHT AVE BROOKLYN, NY 11219 | N/A<br>GENERAL | PUBLIC | 10,000. |
| AMERICAN FRIENDS OF LIBI INC<br>36 WINDSOR PT MASHPEE, MA 02649 | N/A<br>GENERAL | PUBLIC | 5,000. |
| P. E. F. ISRAEL ENDOWMENT FUNDS, INC<br>317 MADISON AVE, SUITE 607 NEW YORK, NY 10017 | N/A<br>GENERAL | PUBLIC | 105,000. |
| JEWISH FAMILY SERVICE OF METROWEST, INC<br>475 FRANKLIN STREET FRAMINGHAM, MA 01702-6265 | N/A<br>GENERAL | PUBLIC | 1,000. |
| SOUTHERN POVERTY LAW CENTER<br>400 WASHINGTON AVE MONTGOMERY, AL 36104 | N/A<br>GENERAL | PUBLIC | 500. |
| JEWISH INSTITUTE FOR NATIONAL SECURITY AFFAIRS<br>1307 NEW YORK AVE NW<br>WASHINGTON, DC 20005 | N/A<br>GENERAL | PUBLIC | 5,000. |
| ELI AND BESSIE COHEN HILLEL ACADEMY<br>6 COMMUNITY ROAD MARBLEHEAD, MA 01945 | N/A<br>GENERAL | PUBLIC | 5,000. |
| AMERICAN HEART ASSOCIATION, INC<br>7272 GREENVILLE AVEENUE DALLAS, TX 75231 | N/A<br>GENERAL | PUBLIC | 1,000. |
| JEWISH THEOLOGICAL SEMINARY OF AMERICA<br>3080 BROADWAY NEW YORK, NY 10027 | N/A<br>GENERAL | PUBLIC | 1,200. |
| ISRAEL PROJECT INC<br>2020 K STREET NW, STE 7600<br>WASHINGTON, DC 20006 | N/A<br>GENERAL | PUBLIC | 10,000. |

| | | | |
|---|---|---|---|
| NORTH AMERICAN FAMILY INSTITUTE INC<br>40 PARK LANE CONTOOCOOK, NH 03229 | N/A<br>GENERAL | PUBLIC | 10,000. |
| COMBINED JEWISH PHILANTHROPIES OF GREATER BOSTON, INC.<br>126 HIGH STREET BOSTON, MA 02110-2700 | N/A<br>GENERAL | PUBLIC | 2000003. |
| COMBINED JEWISH PHILANTHROPIES OF GREATER BOSTON, INC.<br>126 HIGH STREET BOSTON, MA 02110-2700 | N/A<br>GENERAL | PUBLIC | 3000008. |
| HADASSAH MEDICAL RELIEF ASSOCIATION<br>50 W 58TH STREET NEW YORK, NY 10019-2500 | N/A<br>GENERAL | PUBLIC | 5000021. |
| TOTAL TO FORM 990-PF, PART XV, LINE 3A | | | 10,726,532. |

## HOLDINGS

*In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding.*
*Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.*

## Equities

*Your statement contains research ratings for companies covered by Barclays Capital Equity Research. Clients may access Barclays Capital research at www.barclayswealthamericas.com or by calling 1-800-253-4626. A complete description of Barclays Capital ratings may be found on Page 2 of your statement.*

*Note: Trade price may include any applicable local taxes and fees.*

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***ACE LIMITED (ACE) | 517 | Not available | 100,169.13 | $ 62.250 | $ 32,183.25 | | 2 120 | 682.44 | In cash account<br>Barclays: 1-O/NEU |
| ***ABB LTD (ABB) SPONSORED ADR | 1,219 | Not available | 35,116.22 | 22.450 | 27,366.55 | | 2.111 | 577 81 | In cash account |
| AT&T INC (T) | 2,579 | Not available | 68,080.44 | 29.380 | 75,771.02 | | 5.854 | 4,435.88 | In cash account<br>Barclays: 2-E/NEU |
| ABBOTT LABORATORIES (ABT) | 1,050 | Not available | 42,661.50 | 47.910 | 50,305.50 | | 3.674 | 1,848.00 | In cash account<br>Barclays: 1-O/POS |
| AIR PRODUCTS & CHEMICALS INC (APD) | 531 | Not available | 30,945.75 | 90.950 | 48,294.45 | | 2.155 | 1,040.76 | In cash account |
| AUTOMATIC DATA PROCESSING INC (ADP) | 1,808 | Not available | 82,551.42 | 46.280 | 83,674.24 | | 3.111 | 2,603.52 | In cash account<br>Barclays· 1-O/NEU |
| ***BHP BILLITON LTD (BHP) SPONSORED ADR | 693 | Not available | 87,275.32 | 92.920 | 64,393.56 | | 1.873 | 1,205.82 | In cash account |
| ***CANADIAN NATIONAL RAILWAY (CNI) CO | 1,083 | Not available | 31,577.54 | 66.470 | 71,987.01 | | 1.587 | 1,142.57 | In cash account<br>Barclays· 2-E/NEU<br>Shares denominated in·<br>Canadian Dollar - CAD |
| CATERPILLAR INC (CAT) | 803 | Not available | 58,031.68 | 93.660 | 75,208.98 | | 1.879 | 1,413.28 | In cash account<br>Barclays· 2-E/NEU |
| CHEVRON CORPORATION (CVX) | 995 | Not available | 82,384.01 | 91.250 | 90,793.75 | | 3.156 | 2,865.60 | In cash account<br>Barclays: 1-O/POS |
| CHUBB CORP (CB) | 779 | Not available | 41,854.57 | 59.640 | 46,459.56 | | 2 482 | 1,152.92 | In cash account<br>Barclays: 2-E/NEU |
| CISCO SYSTEMS INC (CSCO) | 1,994 | Not available | 43,621.38 | 20.230 | 40,338.62 | | | | In cash account<br>Barclays: 2-E/NEU |
| ***COMPANHIA ENERGETICA DE (CIG) MINAS GERAIS CEMIG SPONS ADR NEW | 3,462 | Not available | 57,414.97 | 16.590 | 57,434.58 | | 5.045 | 2,897.69 | In cash account |
| DUKE ENERGY CORPORATION (DUK) (HOLDING COMPANY) NEW | 2,499 | Not available | 39,605.13 | 17 810 | 44,507 19 | | 5.503 | 2,449 02 | In cash account<br>Barclays: 2-E/POS |

Equities

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| EMC CORP-MASS (EMC) | 1,368 | Not available | 18,673.20 | 22.900 | 31,327.20 | | | | In cash account Barclays: 1-O/POS |
| EMERSON ELECTRIC CO (EMR) | 1,328 | Not available | 45,679.44 | 57.170 | 75,921.76 | | 2.414 | 1,832.64 | In cash account Barclays: 1-O/POS |
| EXXON MOBIL CORP (XOM) | 591 | Not available | 24,750.34 | 73.120 | 43,213.92 | | 2.407 | 1,040.16 | In cash account Barclays: 1-O/POS |
| GENERAL MILLS INC (GIS) | 1,539 | Not available | 46,336.21 | 35.590 | 54,773.01 | | 3 147 | 1,723 68 | In cash account Barclays: 1-O/NEU |
| HEWLETT PACKARD CO (HPQ) | 506 | Not available | 27,581.05 | 42.100 | 21,302.60 | | 0.760 | 161 92 | In cash account Barclays: 1-O/POS |
| INTEL CORP (INTC) | 1,712 | Not available | 41,170.17 | 21.030 | 36,003.36 | | 2.996 | 1,078 56 | In cash account Barclays: 2-E/NEU |
| INTERNATIONAL BUSINESS (IBM) MACHINES CORP | 632 | Not available | 82,392.58 | 146.760 | 92,752.32 | | 1.772 | 1,643 20 | In cash account Barclays: 2-E/POS |
| JPMORGAN CHASE & CO (JPM) FORMERLY J P MORGAN CHASE AND CO | 1,199 | Not available | 41,506.98 | 42.420 | 50,861.58 | | 0.471 | 239.80 | In cash account Barclays: 1-O/POS |
| JOHNSON & JOHNSON (JNJ) | 831 | Not available | 54,013.34 | 61.850 | 51,397.35 | | 3.492 | 1,794.96 | In cash account |
| KIMBERLY CLARK CORP (KMB) | 863 | Not available | 52,573.10 | 63.040 | 54,403.52 | | 4.188 | 2,278.32 | In cash account Barclays: 3-U/POS |
| ELI LILLY & CO (LLY) | 1,509 | Not available | 53,584.59 | 35 040 | 52,875.36 | | 5.594 | 2,957.64 | In cash account Barclays: 2-E/POS |
| LOWES COMPANIES INC (LOW) | 1,019 | Not available | 29,070.38 | 25.080 | 25,556.52 | | 1.754 | 448.36 | In cash account Barclays: 1-O/NEU |
| MCDONALDS CORP (MCD) | 773 | Not available | 54,966.84 | 76.760 | 59,335.48 | | 3.179 | 1,886.12 | In cash account Barclays: 1-O/NEU |
| MERCK & CO INC (MRK) NEW | 1,563 | Not available | 55,593.41 | 36.040 | 56,330.52 | | 4.218 | 2,375 76 | In cash account Barclays 1-O/POS |
| MICROSOFT CORP (MSFT) | 2,601 | Not available | 80,963.93 | 27.910 | 72,593.91 | | 2.293 | 1,664.64 | In cash account Barclays: 2-E/POS |
| ***NESTLE SA-SPONSORED ADR (NSRGY) REPSTG REGD ORD (SF 10 PAR) | 1,112 | Not available | 55,451.52 | 58.738 | 65,316.66 | | 1.527 | 997.46 | In cash account |
| NEXTERA ENERGY INC (NEE) | 758 | Not available | 95,066.25 | 51 990 | 39,408.42 | | 3 847 | 1,516 00 | In cash account Barclays 1-O/NEU |
| ***NOVARTIS AG-SPONSORED ADR (NVS) | 1,028 | Not available | 54,363.19 | 58.950 | 60,600.60 | | 2.804 | 1,699 28 | In cash account |
| ORACLE CORP (ORCL) | 2,583 | Not available | 63,958.47 | 31.300 | 80,847.90 | | 0.639 | 516.60 | In cash account Barclays 1-O/POS |
| PEPSICO INC (PEP) | 1,235 | Not available | 68,667.75 | 65.330 | 80,682 55 | | 2.939 | 2,371 20 | In cash account Barclays: 1-O/POS |
| PFIZER INC (PFE) | 3,273 | Not available | 55,117.32 | 17.510 | 57,310 23 | | 4.569 | 2,618.40 | In cash account Barclays. 1-O/POS |

## Equities

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***POTASH CORP OF SASKATCHEWAN (POT) INC CANADIAN LISTED | 252 | Not available | 56,962.58 | 154 830 | 39,017.16 | | | | In cash account Barclays 1-O/NEU Shares denominated in. Canadian Dollar - CAD |
| PROCTER & GAMBLE CO (PG) | 1,281 | Not available | 69,437.72 | 64 330 | 82,406.73 | | 2.995 | 2,468 49 | In cash account Barclays: 1-O/POS |
| ***SCHLUMBERGER LTD (SLB) | 1,028 | Not available | 47,568.58 | 83.500 | 85,838.00 | | 1.006 | 863 52 | In cash account Barclays 1-O/POS |
| ***SUNCOR ENERGY INC NEW (SU) | 798 | Not available | 20,342.20 | 38.290 | 30,555.42 | | 1.034 | 316 01 | In cash account Barclays: 2-E/POS Shares denominated in: Canadian Dollar - CAD |
| TEXAS INSTRUMENTS INC (TXN) | 2,057 | Not available | 173,740.02 | 32 500 | 66,852 50 | | 1.600 | 1,069.64 | In cash account Barclays· 2-E/NEU |
| US BANCORP DEL (USB) COM NEW | 1,458 | Not available | 39,683.85 | 26.970 | 39,322.26 | | 0.742 | 291 60 | In cash account Barclays: 1-O/POS |
| ***UNILEVER N V (UN) NEW YORK SHS NEW ADR | 1,775 | Not available | 55,252.20 | 31.400 | 55,735 00 | | 3.019 | 1,682.70 | In cash account |
| UNITED TECHNOLOGIES CORP (UTX) | 882 | Not available | 45,318.73 | 78.720 | 69,431.04 | | 2.160 | 1,499.40 | In cash account Barclays: 1-O/POS |
| VERIZON COMMUNICATIONS (VZ) | 1,838 | Not available | 55,289.80 | 35.780 | 65,763.64 | | 5.450 | 3,584 10 | In cash account Barclays: 2-E/NEU |
| WAL-MART STORES INC (WMT) | 1,496 | Not available | 81,424.67 | 53.930 | 80,679.28 | | 2 244 | 1,810 16 | In cash account Barclays: 1-O/NEU |
| WELLS FARGO & CO (WFC) | 1,646 | Not available | 54,595.03 | 30.990 | 51,009.54 | | 0.645 | 329 20 | In cash account Barclays. 1-O/POS |
| ***WOODSIDE PETROLEUM LTD (WOPEY) SPONSORED ADR | 935 | Not available | 60,831.20 | 43.626 | 40,790 31 | | 2.306 | 940 61 | In cash account |
| Total USD Common stocks | | | | | $ 2,678,933.91 | $ 0.00 | | $ 70,015.44 | |

| Index tracking stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ISHARES TR DOW JONES US (IHI) MEDICAL DEVICES INDEX FD | 912 | Not available | 54,394.96 | $ 58 910 | $ 53,725.92 | | 0.139 | 74 78 | In cash account |
| SPDR SER TR (XBI) S&P BIOTECH ETF | 912 | Not available | 55,070.34 | 63.080 | 57,528.96 | | | | In cash account |
| Total USD Index tracking stocks | | | | | $ 111,254.88 | $ 0.00 | | $ 74.78 | |
| **Total Equities** | | | 2,772,681. | | $ 2,790,188.79 | | | $ 70,090.22 | |

## HOLDINGS

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*Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.*

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*Note: Trade price may include any applicable local taxes and fees.*

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***ORIENT EXPRESS HOTELS LTD (OEH) CL A SHS | 2,520 | Not available | 24,517.09 | $ 12.990 | $ 32,734.80 | | | | In cash account |
| ***FOSTER WHEELER AG (FWLT) US LISTED | 920 | Not available | 22,342.11 | 34.520 | 31,758.40 | | | | In cash account Barclays: 1-O/POS |
| ***ROYAL CARIBBEAN CRUISES LTD (RCL) | 700 | Not available | 10,535.98 | 47.000 | 32,900.00 | | | | In cash account Barclays: 1-O/NEU |
| AMR CORP-DEL (AMR) | 1,450 | Not available | 13,657.87 | 7.790 | 11,295 50 | | | | In cash account Barclays: 1-O/POS |
| ARRIS GROUP INC (ARRS) | 1,450 | Not available | 13,683.36 | 11.220 | 16,269.00 | | | | In cash account Barclays. 2-E/NEU |
| ATMEL CORP (ATML) | 5,700 | Not available | 21,722.01 | 12.320 | 70,224.00 | | | | In cash account |
| AVNET INC (AVT) | 1,000 | Not available | 21,840.12 | 33.030 | 33,030.00 | | | | In cash account |
| BAKER HUGHES INC (BHI) | 290 | Not available | 15,517.25 | 57.170 | 16,579.30 | | 1.050 | 174 00 | In cash account Barclays· 2-E/POS |
| BILL BARRETT CORPORATION (BBG) | 300 | Not available | 16,044.12 | 41.130 | 12,339.00 | | | | In cash account Barclays: 1-O/POS |
| BELO CORP (BLC) SER A | 1,550 | Not available | 2,999.65 | 7.080 | 10,974 00 | | | | In cash account |
| BRINK'S COMPANY (BCO) | 490 | 19.70 | 9,650.59 | 26.880 | 13,171.20 | 3,520.61 | 1.488 | 196.00 | In cash account |
| BROOKS AUTOMATION INC (BRKS) NEW | 1,200 | Not available | 16,461.18 | 9 070 | 10,884.00 | | | | In cash account Barclays· 2-E/NEU |
| BUCYRUS INTERNATIONAL INC (BUCY) | 650 | Not available | 17,239.25 | 89.400 | 58,110 00 | | 0.112 | 65 00 | In cash account Barclays: 1-O/POS |
| ***CAE INC (CAE) | 2,300 | Not available | 9,912.26 | 11.530 | 26,519.00 | | 1.388 | 368.00 | In cash account Shares denominated in Canadian Dollar - CAD |
| CABLEVISION SYSTEMS CORP-CL A (CVC) CABLEVISION NY GROUP COM | 1,250 | Not available | 20,569.63 | 33 840 | 42,300 00 | | 1.478 | 625 00 | In cash account Barclays· 1-O/NEU |

Equities

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***CAMECO CORP (CCJ) | 1,500 | Not available | 18,604.70 | 40.380 | 60,570.00 | | 0.691 | 418.50 | In cash account Shares denominated in: Canadian Dollar - CAD |
| CINCINNATI BELL INC NEW (CBB) COM | 8,020 | Not available | 25,042.79 | 2.800 | 22,456.00 | | | | In cash account |
| COGNEX CORP (CGNX) | 470 | Not available | 9,601.65 | 29.420 | 13,827.40 | | 1.088 | 150.40 | In cash account |
| CROWN MEDIA HLDGS INC (CRWN) CL A | 800 | Not available | 1,544.00 | 2.620 | 2,096.00 | | | | In cash account |
| CUMMINS INC (CMI) | 600 | Not available | 10,734.50 | 110 010 | 66,006.00 | | 0.954 | 630 00 | In cash account Barclays: 1-O/NEU |
| DIEBOLD INC (DBD) | 400 | Not available | 10,115.60 | 32.050 | 12,820.00 | | 3.370 | 432.00 | In cash account |
| DISCOVERY COMMUNICATIONS INC (DISCK) COM SER C | 1,220 | Not available | 28,021.74 | 36.690 | 44,761.80 | | | | In cash account |
| FLUSHING FINANCIAL CORP (FFIC) | 850 | Not available | 14,937.00 | 14.000 | 11,900.00 | | 3.714 | 442 00 | In cash account |
| GANNETT CO INC (GCI) | 1,100 | Not available | 10,886.97 | 15.090 | 16,599.00 | | 1.060 | 176 00 | In cash account |
| GILEAD SCIENCES INC (GILD) | 550 | Not available | 9,413.25 | 36.240 | 19,932.00 | | | | In cash account Barclays: 2-E/POS |
| GOODRICH CORPORATION (GR) (FRM B F GOODRICH CO) | 550 | Not available | 16,705.45 | 88 070 | 48,438 50 | | 1.317 | 638 00 | In cash account Barclays 1-O/POS |
| GOODRICH PETROLEUM CORP NEW (GDP) | 700 | Not available | 16,809.13 | 17.640 | 12,348.00 | | | | In cash account |
| HARMONIC INC (HLIT) | 3,200 | Not available | 19,918.74 | 8.570 | 27,424.00 | | | | In cash account Barclays: 2-E/NEU |
| HEIDRICK & STRUGGLES INTL INC (HSII) | 350 | Not available | 9,667.94 | 28.650 | 10,027 50 | | 1.815 | 182.00 | In cash account |
| HELMERICH & PAYNE INC (HP) | 700 | Not available | 8,842.50 | 48.480 | 33,936.00 | | 0.495 | 168.00 | In cash account Barclays: 2-E/POS |
| HEXCEL CORP NEW (HXL) | 1,150 | Not available | 25,938.30 | 18.090 | 20,803 50 | | | | In cash account |
| IAC / INTERACTIVECORP (IACI) | 450 | Not available | 7,339.47 | 28.700 | 12,915 00 | | | | In cash account Barclays: 2-E/POS |
| IMMUNOGEN INC (IMGN) | 950 | Not available | 7,853.49 | 9 260 | 8,797.00 | | | | In cash account |
| INTERMEC INC (IN) | 1,000 | Not available | 22,320.31 | 12.660 | 12,660.00 | | | | In cash account |
| ION GEOPHYSICAL CORPORATION (IO) | 1,700 | Not available | 23,662.68 | 8.480 | 14,416.00 | | | | In cash account Barclays: 1-O/POS |
| ISIS PHARMACEUTICALS INC (ISIS) | 1,550 | Not available | 19,574.83 | 10.120 | 15,686.00 | | | | In cash account Barclays. 1-O/POS |
| KANSAS CITY SOUTHERN (KSU) NEW | 550 | Not available | 8,162.07 | 47.860 | 26,323.00 | | | | In cash account |
| LSI CORPORATION (LSI) | 3,340 | Not available | 13,503.82 | 5.990 | 20,006.60 | | | | In cash account |
| LAM RESEARCH CORP (LRCX) | 700 | Not available | 15,681.62 | 51.780 | 36,246.00 | | | | In cash account Barclays. 1-O/NEU |
| LAS VEGAS SANDS CORP (LVS) | 1,450 | Not available | 6,124.50 | 45.950 | 66,627 50 | | | | In cash account Barclays. 1-O/NEU |

Equities

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| LIBERTY MEDIA HOLDING (LCAPA) CORPORATION CAPITAL SER A | 300 | Not available | 3,315.12 | 62.560 | 18,768.00 | | | | In cash account Barclays 2-E/NEU |
| LIN TV CORP (TVL) CL A | 1,750 | Not available | 17,046.77 | 5.300 | 9,275.00 | | | | In cash account |
| LODGENET INTERACTIVE CORP (LNET) | 900 | Not available | 5,046.30 | 4 250 | 3,825 00 | | | | In cash account |
| MADISON SQUARE GARDEN INC (MSG) CL A | 312 | Not available | 4,596.98 | 25.780 | 8,043.36 | | | | In cash account |
| MARSHALL & ILSLEY CORPORATION (MI) NEW | 1,450 | Not available | 11,974.94 | 6.920 | 10,034.00 | | 0.578 | 58.00 | In cash account Barclays: 2-E/NEU |
| MEADWESTVACO CORP (MWV) | 650 | Not available | 19,506.75 | 26.160 | 17,004.00 | | 3.823 | 650.00 | In cash account Barclays: 2-E/POS |
| MICROMET INC (MITI) | 1,050 | Not available | 7,106.82 | 8.120 | 8,526.00 | | | | In cash account |
| MOSAIC CO (MOS) | 450 | Not available | 6,408.00 | 76.360 | 34,362.00 | | 0.262 | 90.00 | In cash account Barclays: 2-E/NEU |
| MYRIAD GENETICS INC (MYGN) | 1,050 | Not available | 8,846.34 | 22.840 | 23,982.00 | | | | In cash account |
| NOVELLUS SYSTEMS INC (NVLS) | 950 | Not available | 22,917.30 | 32.320 | 30,704.00 | | | | In cash account Barclays: 2-E/NEU |
| ONYX PHARMACEUTICALS INC (ONXX) | 700 | Not available | 17,571.37 | 36.870 | 25,809.00 | | | | In cash account Barclays: 1-O/POS |
| PDL BIOPHARMA INC (PDLI) | 1,500 | Not available | 17,543.08 | 6.230 | 9,345.00 | | | | In cash account |
| PALL CORP (PLL) | 850 | Not available | 19,901.05 | 49 580 | 42,143.00 | | 1.291 | 544.00 | In cash account Barclays: 2-E/POS |
| PRECISION CASTPARTS CORP (PCP) | 400 | Not available | 11,900.57 | 139 210 | 55,684.00 | | 0.086 | 48.00 | In cash account |
| RTI INTERNATIONAL METALS INC (RTI) | 800 | Not available | 28,540.92 | 26.980 | 21,584.00 | | | | In cash account |
| RF MICRO DEVICES INC (RFMD) | 2,250 | Not available | 12,388.76 | 7.350 | 16,537.50 | | | | In cash account Barclays: 2-E/NEU |
| RAYMOND JAMES FINANCIAL INC (RJF) | 650 | Not available | 12,814.88 | 32.700 | 21,255.00 | | 1.590 | 338.00 | In cash account |
| REGENERON PHARMACEUTICALS INC (REGN) | 1,000 | Not available | 14,700.12 | 32.830 | 32,830.00 | | | | In cash account Barclays: 1-O/POS |
| ROBERT HALF INTERNATIONAL INC (RHI) | 600 | Not available | 15,310.00 | 30.600 | 18,360.00 | | 1.699 | 312.00 | In cash account Barclays: 2-E/NEU |
| ROWAN COMPANIES INC (RDC) | 750 | Not available | 20,475.62 | 34.910 | 26,182.50 | | | | In cash account Barclays: 1-O/POS |
| SAKS INC (SKS) | 1,550 | Not available | 19,647.44 | 10.700 | 16,585.00 | | | | In cash account Barclays: 2-E/NEU |
| SEACHANGE INTERNATIONAL INC (SEAC) | 2,300 | Not available | 16,713.50 | 8 550 | 19,665.00 | | | | In cash account |
| SEATTLE GENETICS INC (SGEN) | 1,250 | Not available | 14,562.38 | 14 950 | 18,687.50 | | | | In cash account |
| SINCLAIR BROADCAST GROUP INC (SBGI) CL A | 2,100 | Not available | 15,015.09 | 8 180 | 17,178.00 | | | | In cash account |
| STILLWATER MINING CO (SWC) | 2,150 | Not available | 21,851.91 | 21.350 | 45,902.50 | | | | In cash account |
| SUNOCO INC (SUN) | 550 | Not available | 21,044.68 | 40.310 | 22,170.50 | | 1.488 | 330.00 | In cash account Barclays 1-O/NEG |

**Equities**

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| TW TELECOM INC (TWTC) CLASS A | 1,450 | Not available | 24,964.33 | 17.050 | 24,722.50 | | | | In cash account |
| TRIMBLE NAVIGATION LTD (TRMB) | 850 | Not available | 18,297.78 | 39.930 | 33,940.50 | | | | In cash account |
| TRIQUINT SEMICONDUCTOR INC (TQNT) | 3,150 | Not available | 12,700.17 | 11.690 | 36,823.50 | | | | In cash account Barclays: 1-O/NEU |
| UNIFI INC (UFI) NEW | 633 | Not available | 4,345.42 | 16 930 | 10,716.69 | | | | In cash account |
| UNITED STATES CELLULAR (USM) CORPORATION | 450 | Not available | 19,291.07 | 49.940 | 22,473.00 | | | | In cash account |
| UNITED STATES STL CORP NEW (X) | 180 | Not available | 7,528.97 | 58.420 | 10,515.60 | | 0.342 | 36.00 | In cash account |
| VALSPAR CORP (VAL) | 850 | Not available | 19,838.75 | 34.480 | 29,308.00 | | 2.088 | 612.00 | In cash account |
| VISHAY INTERTECHNOLOGY INC (VSH) | 1,850 | Not available | 21,171.41 | 14.680 | 27,158.00 | | | | In cash account |
| VISHAY PRECISION GROUP INC (VPG) | 157 | Not available | 2,963.40 | 18.840 | 2,957.88 | | | | In cash account |
| WADDELL & REED FINANCIAL INC (WDR) CL A | 700 | Not available | 10,104.50 | 35.290 | 24,703.00 | | 2.267 | 560.00 | In cash account Barclays: 1-O/NEU |
| WHIRLPOOL CORP (WHR) | 200 | Not available | 12,290.00 | 88.830 | 17,766.00 | | 1.936 | 344.00 | In cash account |
| Total USD Common stocks | | | | | ~~$ 1,872,237.53~~ | $ 14,028.97 | | $ 8,586.90 | |

| Master limited partnerships | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***LAZARD LTD (LAZ) SHS A | 500 | Not available | 18,208.30 | $ 39.490 | $ 19,745.00 | | 1.266 | 250.00 | In cash account |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| **Total Equities** | | | 1,156,150.31 | | ~~$ 1,891,982.53~~ | $ 14,028.97 | | $ 8,836.90 | |

BARCLAYS WEALTH

Premier client account
578-00556

SWARTZ FOUNDATION
December 1 - December 31, 2010



## Equities

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ITC HOLDINGS CORP (ITC) | 1,050 | Not available | 47,727.33 | 61.980 | 65,079 00 | | 2.162 | 1,407.00 | In cash account<br>Barclays: 1-O/POS |
| LUBRIZOL CORP (LZ) | 335 | 107.79 | 36,108 50 | 106.880 | 35,804.80 | - 303.70 | 1.347 | 482.40 | In cash account |
| MONSANTO CO (MON) NEW | 475 | 56.93 | 27,039.91 | 69.640 | 33,079.00 | 6,039 09 | 1.608 | 532.00 | In cash account |
| NEXTERA ENERGY INC (NEE) | 800 | Not available | 153,605.02 | 51.990 | 41,592.00 | | 3 847 | 1,600 00 | In cash account<br>Barclays: 1-O/NEU |
| NORFOLK SOUTHERN CORP (NSC) | 500 | Not available | 68,996.02 | 62.820 | 31,410 00 | | 2.292 | 720.00 | In cash account<br>Barclays· 1-O/NEU |
| OCCIDENTAL PETE CORP (OXY) | 250 | Not available | 19,853.38 | 98.100 | 24,525.00 | | 1.549 | 380.00 | In cash account<br>Barclays: 1-O/NEU |
| PALL CORP (PLL) | 800 | Not available | 30,604.24 | 49.580 | 39,664.00 | | 1.291 | 512.00 | In cash account<br>Barclays: 2-E/POS |
| PRAXAIR INC (PX) | 250 | Not available | 19,412.90 | 95.470 | 23,867.50 | | 1.885 | 450.00 | In cash account |
| PROCTER & GAMBLE CO (PG) | 575 | Not available | 34,965.15 | 64.330 | 36,989.75 | | 2.995 | 1,108.03 | In cash account<br>Barclays· 1-O/POS |
| ROVI CORP (ROVI) | 700 | 46 62 | 32,633.00 | 62.010 | 43,407.00 | 10,774.00 | | | In cash account |
| ***SCHLUMBERGER LTD (SLB) | 300 | 64 03 | 19,209 87 | 83.500 | 25,050.00 | 5,840.13 | 1.006 | 252.00 | In cash account<br>Barclays: 1-O/POS |
| ***SUNCOR ENERGY INC NEW (SU) | 575 | Not available | 17,097.57 | 38.290 | 22,016.75 | | 1 034 | 227.70 | In cash account<br>Barclays: 2-E/POS<br>Shares denominated in:<br>Canadian Dollar - CAD |
| UNITED PARCEL SVC INC (UPS) CL B | 725 | Not available | 169,613.36 | 72.580 | 52,620.50 | | 2.590 | 1,363.00 | In cash account<br>Barclays: 1-O/NEU |
| VERISK ANALYTICS INC (VRSK) CL A | 1,125 | Not available | 31,414.62 | 34.080 | 38,340.00 | | | | In cash account |
| Total USD Common stocks | | | | | $ 1,126,800.05 | $ 61,001.22 | | $ 17,421.13 | |
| **Total Equities** | | | 1,289,603.86 | | $ 1,126,800.05 | $ 61,001.22 | | $ 17,421.13 | |

## HOLDINGS

*In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding.*
*Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis*

## Equities

*Your statement contains research ratings for companies covered by Barclays Capital Equity Research. Clients may access Barclays Capital research at www.barclayswealthamericas.com or by calling 1-800-253-4626. A complete description of Barclays Capital ratings may be found on Page 2 of your statement.*

*Note: Trade price may include any applicable local taxes and fees.*

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann. yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***INVESCO LTD (IVZ) | 2,500 | $ 22.47 | $ 56,173.00 | $ 24.060 | $ 60,150.00 | $ 3,977 00 | 1.829 | 1,100 00 | In cash account<br>Barclays: 1-O/NEU |
| ***TEEKAY CORPORATION (TK) MARSHALL ISLAND | 1,450 | Not available | 71,944.38 | 33.080 | 47,966 00 | | 3.824 | 1,834 25 | In cash account |
| AMERICAN TOWER CORP (AMT) CL A | 1,550 | Not available | 53,018.46 | 51.640 | 80,042.00 | | | | In cash account<br>Barclays: 1-O/NEU |
| ***BHP BILLITON PLC (BBL) SPONSORED ADR | 400 | Not available | 24,626.60 | 80.500 | 32,200.00 | | 2.161 | 696.00 | In cash account |
| BOEING CO (BA) | 750 | 64 45 | 48,337.47 | 65.260 | 48,945.00 | 607 53 | 2 574 | 1,260 00 | In cash account<br>Barclays: 1-O/POS |
| BORG WARNER AUTOMOTIVE INC (BWA) | 500 | 43.41 | 21,705.85 | 72.360 | 36,180.00 | 14,474.15 | | | In cash account<br>Barclays· 2-E/NEU |
| CATERPILLAR INC (CAT) | 275 | Not available | 13,344.87 | 93.660 | 25,756.50 | | 1.879 | 484.00 | In cash account<br>Barclays· 2-E/NEU |
| COCA COLA ENTERPRISES INC (CCE) NEW | 650 | Not available | 65,042.50 | 25.030 | 16,269.50 | | 1.918 | 312.00 | In cash account |
| CUMMINS INC (CMI) | 375 | 90.13 | 33,799.42 | 110 010 | 41,253.75 | 7,454.33 | 0.954 | 393.75 | In cash account<br>Barclays: 1-O/NEU |
| DEERE & CO (DE) | 225 | 80.46 | 18,103 86 | 83.050 | 18,686 25 | 582 39 | 1.686 | 315 00 | In cash account<br>Barclays: 1-O/NEU |
| DISCOVERY COMMUNICATIONS INC (DISCK) COM SER C | 650 | 36.61 | 23,796.31 | 36.690 | 23,848.50 | 52.19 | | | In cash account |
| EBAY INC (EBAY) | 1,400 | Not available | 33,274.52 | 27.830 | 38,962.00 | | | | In cash account<br>Barclays· 2-E/POS |
| ECOLAB INC (ECL) | 500 | 46.49 | 23,245.80 | 50.420 | 25,210.00 | 1,964.20 | 1.388 | 350.00 | In cash account<br>Barclays 1-O/NEU |
| GOLDMAN SACHS GROUP INC (GS) | 125 | Not available | 13,131.53 | 168 160 | 21,020.00 | | 0.833 | 175.00 | In cash account<br>Barclays 2-E/NEU |
| JB HUNT TRANSPORT SERVICES INC (JBHT) | 1,025 | 35 02 | 35,899 94 | 40 810 | 41,830 25 | 5,930 31 | 1.176 | 492 00 | In cash account |
| INTERNATIONAL BUSINESS (IBM) MACHINES CORP | 375 | Not available | 45,878.48 | 146 760 | 55,035.00 | | 1.772 | 975.00 | In cash account<br>Barclays· 2-E/POS |

## HOLDINGS

*In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding.*
*Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.*

## Equities

*Your statement contains research ratings for companies covered by Barclays Capital Equity Research. Clients may access Barclays Capital research at www.barclayswealthamericas.com or by calling 1-800-253-4626. A complete description of Barclays Capital ratings may be found on Page 2 of your statement*

*Note: Trade price may include any applicable local taxes and fees.*

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| AGILENT TECHNOLOGIES INC (A) | 654 | Not available | 19,614.43 | $ 41 430 | $ 27,095.22 | | | | In cash account Barclays. 2-E/NEU |
| AKAMAI TECHNOLOGIES INC (AKAM) | 776 | Not available | 32,089.26 | 47.050 | 36,510.80 | | | | In cash account |
| AMERICAN TOWER CORP (AMT) CL A | 971 | Not available | 39,950.12 | 51.640 | 50,142.44 | | | | In cash account Barclays: 1-O/NEU |
| ANSYS INC (ANSS) | 510 | Not available | 22,143.88 | 52.070 | 26,555.70 | | | | In cash account |
| AUTODESK INC (ADSK) | 830 | Not available | 23,173.76 | 38.200 | 31,706.00 | | | | In cash account Barclays: 1-O/POS |
| C R BARD INC (BCR) | 251 | Not available | 20,735.41 | 91.770 | 23,034.27 | | 0.785 | 180.72 | In cash account Barclays: 3-U/NEU |
| BECKMAN COULTER INC (BEC) | 563 | Not available | 35,145.91 | 75.230 | 42,354.49 | | 1.010 | 427.88 | In cash account Barclays: 2-E/POS |
| BIO-RAD LABORATORIES INC CL A (BIO) | 218 | Not available | 16,026.05 | 103.850 | 22,639.30 | | | | In cash account |
| BORG WARNER AUTOMOTIVE INC (BWA) | 545 | Not available | 21,193.42 | 72.360 | 39,436.20 | | | | In cash account Barclays· 2-E/NEU |
| BOSTON PROPERTIES INC (BXP) | 312 | Not available | 32,083.28 | 86 100 | 26,863.20 | | 2.323 | 624.00 | In cash account Barclays: 1-O/NEU |
| CSX CORP (CSX) | 652 | Not available | 30,637.12 | 64.610 | 42,125.72 | | 1.610 | 678.08 | In cash account Barclays: 2-E/NEU |
| CABOT OIL & GAS CORP (COG) | 892 | Not available | 29,295.41 | 37.850 | 33,762.20 | | 0.317 | 107.04 | In cash account |
| CEPHALON INC (CEPH) | 289 | Not available | 18,478.68 | 61.720 | 17,837.08 | | | | In cash account Barclays· 1-O/POS |
| CHESAPEAKE ENERGY CORP (CHK) | 784 | Not available | 25,585.61 | 25.910 | 20,313 44 | | 1.158 | 235.20 | In cash account |
| COVANCE INC (CVD) | 524 | Not available | 30,596.04 | 51 410 | 26,938 84 | | | | In cash account Barclays· 2-E/NEU |
| CUMMINS INC (CMI) | 816 | Not available | 48,993.96 | 110 010 | 89,768.16 | | 0.954 | 856 80 | In cash account Barclays· 1-O/NEU |
| D R HORTON INC (DHI) | 1,659 | Not available | 30,675.86 | 11 930 | 19,791 87 | | 1.257 | 248.85 | In cash account Barclays: 1-O/POS |

Equities

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| DARDEN RESTAURANTS INC (DRI) | 650 | Not available | 26,997.90 | 46.440 | 30,186.00 | | 2 756 | 832.00 | In cash account Barclays. 1-O/NEU |
| EASTMAN CHEMICAL CO (EMN) | 404 | Not available | 25,473.00 | 84.080 | 33,968.32 | | 2.236 | 759.52 | In cash account |
| EATON VANCE CORP-NON VTG (EV) | 825 | Not available | 28,909.50 | 30.230 | 24,939.75 | | 2.382 | 594.00 | In cash account Barclays: 2-E/NEU |
| EXPRESS SCRIPTS INC COMMON (ESRX) | 756 | Not available | 24,451.98 | 54.050 | 40,861.80 | | | | In cash account Barclays 1-O/NEU |
| FREEPORT MCMORAN COPPER & GOLD (FCX) INC | 244 | Not available | 11,787.62 | 120.090 | 29,301.96 | | 1.665 | 488.00 | In cash account Barclays· 1-O/POS |
| GATX CORP (GMT) | 636 | Not available | 27,633.29 | 35.280 | 22,438.08 | | 3 175 | 712.32 | In cash account |
| GENERAL DYNAMICS CORP (GD) | 384 | Not available | 28,131.12 | 70.960 | 27,248.64 | | 2.368 | 645.12 | In cash account Barclays: 1-O/POS |
| GLOBAL PAYMENTS INC (GPN) | 374 | Not available | 14,496.25 | 46.210 | 17,282.54 | | 0.173 | 29 92 | In cash account Barclays 2-E/NEU |
| GOODRICH CORPORATION (GR) (FRM B F GOODRICH CO) | 388 | Not available | 28,028.26 | 88.070 | 34,171.16 | | 1.317 | 450.08 | In cash account Barclays: 1-O/POS |
| HARRIS CORP-DEL (HRS) | 646 | Not available | 31,945.79 | 45.300 | 29,263.80 | | 2.208 | 646.00 | In cash account Barclays: 1-O/POS |
| HARSCO CORP (HSC) | 629 | Not available | 25,876.15 | 28.320 | 17,813.28 | | 2.895 | 515.78 | In cash account |
| HELIX ENERGY SOLUTIONS GROUP (HLX) INC | 2,111 | Not available | 16,959.93 | 12.140 | 25,627.54 | | | | In cash account |
| INTEGRYS ENERGY GROUP INC (TEG) | 448 | Not available | 23,827.75 | 48.510 | 21,732.48 | | 5.607 | 1,218.56 | In cash account |
| INTERCONTINENTALEXCHANGE INC (ICE) | 328 | Not available | 24,434.62 | 119.150 | 39,081.20 | | | | In cash account Barclays. 1-O/NEU |
| INTL GAME TECHNOLOGY (IGT) | 1,178 | Not available | 30,409.85 | 17.690 | 20,838.82 | | 1.357 | 282.72 | In cash account Barclays: 2-E/NEU |
| INTERNATIONAL RECTIFIER CORP (IRF) | 1,146 | Not available | 26,929.20 | 29.690 | 34,024.74 | | | | In cash account |
| INTUIT INC (INTU) | 1,082 | Not available | 34,981.61 | 49.300 | 53,342.60 | | | | In cash account Barclays 1-O/POS |
| JEFFERIES GROUP INC NEW (JEF) | 898 | Not available | 25,131.58 | 26.630 | 23,913.74 | | 1.127 | 269 40 | In cash account |
| JOY GLOBAL INC (JOYG) | 776 | Not available | 35,105.81 | 86.750 | 67,318 00 | | 0.807 | 543.20 | In cash account Barclays 1-O/POS |
| NEWFIELD EXPLORATION CO (NFX) | 852 | Not available | 42,923.49 | 72.110 | 61,437.72 | | | | In cash account Barclays: 1-O/NEU |
| ONEOK INC NEW (OKE) | 450 | Not available | 19,493.05 | 55.470 | 24,961.50 | | 3.461 | 864.00 | In cash account Barclays· 1-O/NEU |
| PHARMACEUTICAL PRODUCT (PPDI) DEVELOPMENT INC | 773 | Not available | 25,485.98 | 27.140 | 20,979.22 | | 2.211 | 463.80 | In cash account Barclays· 2-E/NEU |
| PROGRESSIVE CORP-OHIO (PGR) | 1,408 | Not available | 28,465.73 | 19.870 | 27,976.96 | | 0.810 | 226.69 | In cash account Barclays· 2-E/NEU |
| PULTEGROUP INC (PHM) | 1,161 | Not available | 22,116.05 | 7 520 | 8,730.72 | | | | In cash account Barclays· 2-E/POS |
| RAYMOND JAMES FINANCIAL INC (RJF) | 858 | Not available | 24,993.01 | 32.700 | 28,056.60 | | 1.590 | 446.16 | In cash account |

BARCLAYS WEALTH

Premier client account
834-60270

SWARTZ FOUNDATION
December 1 - December 31, 2010



## Equities

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| REINSURANCE GROUP OF AMERICA (RGA) INCORPORATED | 550 | Not available | 25,739.01 | 53.710 | 29,540.50 | | 0.894 | 264 00 | In cash account |
| REPUBLIC SERVICES INC (RSG) | 1,574 | Not available | 45,706.83 | 29.860 | 46,999.64 | | 2.679 | 1,259.20 | In cash account |
| SCOTTS MIRACLE GRO CO (SMG) | 477 | Not available | 21,798.90 | 50.770 | 24,217.29 | | 1.970 | 477 00 | In cash account |
| SNAP-ON INC (SNA) | 374 | Not available | 15,664.64 | 56.580 | 21,160.92 | | 2.262 | 478.72 | In cash account |
| TJX COMPANIES INC NEW (TJX) | 806 | Not available | 26,639.80 | 44 390 | 35,778.34 | | 1.352 | 483.60 | In cash account |
| URS CORPORATION (URS) | 612 | Not available | 27,733.40 | 41.610 | 25,465.32 | | | | In cash account Barclays: 2-E/POS |
| VALSPAR CORP (VAL) | 527 | Not available | 14,794.93 | 34 480 | 18,170.96 | | 2.088 | 379.44 | In cash account |
| XILINX INC (XLNX) | 784 | Not available | 20,699.44 | 28.980 | 22,720.32 | | 2.208 | 501.76 | In cash account Barclays: 1-O/NEU |
| YUM BRANDS INC (YUM) | 853 | Not available | 29,606.46 | 49.050 | 41,839.65 | | 2.039 | 853.00 | In cash account Barclays: 2-E/NEU |
| Total USD Common stocks | | | | | $ 1,608,265.04 | $ 417.36 | | $ 18,042.56 | |
| **Total Equities** | | | 1,359,790.13 | | $ 1,608,265.04 | $ 417.36 | | $ 18,042.56 | |

## Cash, cash equivalents & other

*Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.*

*Gain/Loss information also excludes cash, cash equivalents, and other.*

| Cash balance | Value |
|---|---|
| CASH ACCOUNT | $ 178.08 |

| Cash investments | Quantity | Market value / Accrued income | Comment |
|---|---|---|---|
| INSURED NETWORK DEPOSIT FDIC INSURED UP TO APPLICABLE LIMITS | 65,256 31 | $ 65,256.31 | |

| | Market value (USD) / Accrued income (USD) |
|---|---|
| **Total Cash, cash equivalents & other** | $ 65,434.39 |
| | $ 0.00 |
| | $ 65,434.39 |

## HOLDINGS

*In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding.*
*Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.*

## Equities

*Your statement contains research ratings for companies covered by Barclays Capital Equity Research. Clients may access Barclays Capital research at www barclayswealthamericas.com or by calling 1-800-253-4626. A complete description of Barclays Capital ratings may be found on Page 2 of your statement.*

*Note· Trade price may include any applicable local taxes and fees.*

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***FOSTER WHEELER AG (FWLT) US LISTED | 480 | Not available | 17,008.80 | $ 34.520 | $ 16,569.60 | | | | In cash account Barclays: 1-O/POS |
| ACUITY BRANDS INC (AYI) | 550 | Not available | 23,507.75 | 57.670 | 31,718.50 | | 0.902 | 286.00 | In cash account |
| ALLETE INC (ALE) | 330 | Not available | 8,658.48 | 37.260 | 12,295.80 | | 4.724 | 580 80 | In cash account |
| ARCH CHEMICALS INC (ARJ) COM | 440 | Not available | 15,520.30 | 37.930 | 16,689.20 | | 2.109 | 352.00 | In cash account |
| AVIS BUDGET GROUP INC (CAR) | 910 | 14.46 | 13,154.32 | 15.560 | 14,159.60 | 1,005.28 | | | In cash account Barclays: 1-O/NEU |
| BABCOCK & WILCOX CO (BWC) NEW | 715 | Not available | 13,051.21 | 25.590 | 18,296.85 | | | | In cash account Barclays: 2-E/POS |
| BANKFINANCIAL CORPORATION (BFIN) | 460 | Not available | 7,398.82 | 9.750 | 4,485.00 | | 2.872 | 128 80 | In cash account |
| BENEFICIAL MUTUAL BANCORP INC (BNCL) | 1,460 | Not available | 15,886.11 | 8.830 | 12,891.80 | | | | In cash account |
| BRINK'S COMPANY (BCO) | 740 | 25.38 | 18,780 98 | 26.880 | 19,891.20 | 1,110.22 | 1.488 | 296.00 | In cash account |
| BROADRIDGE FINANCIAL SOLUTIONS (BR) INC | 1,310 | Not available | 24,230.23 | 21.930 | 28,728 30 | | 2.736 | 786 00 | In cash account |
| CARRIZO OIL & GAS INC (CRZO) | 310 | 32.76 | 10,156.62 | 34.490 | 10,691.90 | 535.28 | | | In cash account |
| ***CHICAGO BRIDGE & IRON CO NV (CBI) | 790 | Not available | 27,063.26 | 32 900 | 25,991.00 | | | | In cash account Barclays: 1-O/POS |
| CIRCOR INTL INC (CIR) | 500 | Not available | 21,312.70 | 42.280 | 21,140.00 | | 0.355 | 75 00 | In cash account |
| COMPASS MINERALS INTL INC (CMP) | 220 | Not available | 15,509.42 | 89.270 | 19,639.40 | | 1.748 | 343.20 | In cash account |
| COMSTOCK RESOURCES INC NEW (CRK) | 590 | Not available | 29,060.40 | 24.560 | 14,490.40 | | | | In cash account Barclays: 2-E/POS |
| CORELOGIC INC (CLGX) | 940 | Not available | 17,960.26 | 18.520 | 17,408 80 | | | | In cash account Barclays· 1-O/NEU |
| DELTIC TIMBER CORP (DEL) | 390 | Not available | 20,804.94 | 56.340 | 21,972.60 | | 0.532 | 117.00 | In cash account |
| DENNYS CORPORATION (DENN) | 2,480 | Not available | 8,011.12 | 3.580 | 8,878 40 | | | | In cash account |
| DINEEQUITY INC (DIN) | 460 | Not available | 27,374.60 | 49.380 | 22,714 80 | | | | In cash account |

Equities

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| DRESSER RAND GROUP INC (DRC) | 350 | 34 49 | 12,072.97 | 42.590 | 14,906.50 | 2,833 53 | | | In cash account Barclays: 1-O/POS |
| ENPRO INDUSTRIES INC (NPO) | 480 | Not available | 15,089.21 | 41.560 | 19,948.80 | | | | In cash account |
| EXTERRAN HLDGS INC (EXH) | 590 | Not available | 14,247.54 | 23.950 | 14,130.50 | | | | In cash account Barclays: 2-E/POS |
| FEDERAL SIGNAL CORP (FSS) | 1,150 | Not available | 7,865.89 | 6.860 | 7,889.00 | | 3.499 | 276.00 | In cash account |
| FIRST AMERICAN FINANCIAL (FAF) CORPORATION | 1,270 | Not available | 17,850.44 | 14.940 | 18,973.80 | | 1.606 | 304.80 | In cash account Barclays: 2-E/NEU |
| FIRST NIAGARA FINANCIAL GROUP (FNFG) INC | 1,480 | Not available | 18,736.12 | 13.980 | 20,690.40 | | 4.292 | 888 00 | In cash account Barclays: 1-O/NEU |
| FIRSTMERIT CORP (FMER) | 1,110 | Not available | 21,141.94 | 19.790 | 21,966 90 | | 3.234 | 710.40 | In cash account |
| FLOWERS FOODS INC (FLO) | 1,000 | Not available | 30,021.23 | 26.910 | 26,910 00 | | 2.973 | 800.00 | In cash account |
| FLOWSERVE CORP (FLS) | 220 | Not available | 13,413.40 | 119.220 | 26,228.40 | | 0.973 | 255.20 | In cash account |
| FORESTAR GROUP INC (FOR) | 650 | Not available | 14,598.96 | 19.300 | 12,545.00 | | | | In cash account |
| L B FOSTER CO CL A (FSTR) | 350 | Not available | 8,599.80 | 40.940 | 14,329.00 | | | | In cash account |
| GALLAGHER ARTHUR J & CO (AJG) | 670 | Not available | 15,917.86 | 29.080 | 19,483.60 | | 4.402 | 857.60 | In cash account Barclays: 3-U/NEU |
| HANESBRANDS INC (HBI) | 1,130 | Not available | 29,815.00 | 25.400 | 28,702.00 | | | | In cash account Barclays: 1-O/NEU |
| HANOVER INSURANCE GROUP INC (THG) (THE) | 410 | Not available | 15,465.49 | 46.720 | 19,155 20 | | 2.140 | 410.00 | In cash account Barclays: 2-E/NEU |
| HILL ROM HOLDINGS INC (HRC) COM | 940 | Not available | 22,142.29 | 39.370 | 37,007.80 | | 1.041 | 385.40 | In cash account |
| IBERIABANK CORP (IBKC) | 410 | Not available | 17,675.07 | 59.130 | 24,243 30 | | 2.300 | 557.60 | In cash account |
| ITC HOLDINGS CORP (ITC) | 350 | Not available | 16,469.00 | 61.980 | 21,693.00 | | 2.162 | 469.00 | In cash account Barclays: 1-O/POS |
| JOY GLOBAL INC (JOYG) | 320 | Not available | 16,563.20 | 86.750 | 27,760 00 | | 0.807 | 224.00 | In cash account Barclays: 1-O/POS |
| KAISER ALUMINUM CORPORATION (KALU) NEW | 500 | Not available | 24,849.19 | 50.090 | 25,045.00 | | 1.917 | 480.00 | In cash account |
| KANSAS CITY SOUTHERN (KSU) NEW | 920 | Not available | 35,737.64 | 47.860 | 44,031.20 | | | | In cash account |
| KOPPERS HLDGS INC (KOP) | 270 | Not available | 8,746.79 | 35.780 | 9,660 60 | | 2.459 | 237.60 | In cash account |
| MB FINANCIAL INC (MBFI) NEW | 830 | Not available | 28,204.48 | 17.320 | 14,375.60 | | 0.231 | 33.20 | In cash account |
| ***MCDERMOTT INTERNATIONAL INC (MDR) | 410 | Not available | 5,055.75 | 20.690 | 8,482 90 | | | | In cash account Barclays: 1-O/POS |
| NORTHWEST BANCSHARES INC MD (NWBI) | 1,200 | Not available | 13,657.19 | 11.777 | 14,133.00 | | 3.396 | 480 00 | In cash account |
| PHH CORP (PHH) NEW | 940 | 20 31 | 19,091 78 | 23.150 | 21,761 00 | 2,669.22 | | | In cash account |
| PATTERSON COMPANIES INC (PDCO) | 630 | Not available | 11,736.14 | 30.630 | 19,296.90 | | 1.306 | 252.00 | In cash account Barclays 2-E/NEU |

**Equities**

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| PETROHAWK ENERGY CORPORATION (HK) | 670 | Not available | 9,916.00 | 18.250 | 12,227 50 | | | | In cash account Barclays· 1-O/POS |
| RALCORP HOLDINGS INC NEW (RAH) | 440 | Not available | 26,601.00 | 65.010 | 28,604 40 | | | | In cash account Barclays. 1-O/NEU |
| REGAL-BELOIT CORP (RBC) | 220 | 57.03 | 12,546.38 | 66 760 | 14,687.20 | 2,140 82 | 1.019 | 149 60 | In cash account |
| SALLY BEAUTY HOLDINGS INC (SBH) | 1,310 | Not available | 11,636.21 | 14.530 | 19,034.30 | | | | In cash account |
| SOLUTIA INC (SOA) NEW | 480 | Not available | 7,119.89 | 23.080 | 11,078.40 | | | | In cash account |
| TENNANT CO (TNC) | 300 | Not available | 14,264.22 | 38.410 | 11,523.00 | | 1.770 | 204.00 | In cash account |
| TEXAS INDUSTRIES INC (TXI) | 210 | Not available | 15,369.00 | 45.780 | 9,613.80 | | 0.655 | 63.00 | In cash account |
| TIMKEN CO (TKR) | 830 | Not available | 27,726.90 | 47.730 | 39,615.90 | | 1.508 | 597.60 | In cash account |
| TOLL BROTHERS INC (TOL) | 1,070 | Not available | 20,640.29 | 19.000 | 20,330.00 | | | | In cash account Barclays· 2-E/POS |
| TREEHOUSE FOODS INC (THS) | 500 | Not available | 13,771.05 | 51.090 | 25,545.00 | | | | In cash account Barclays: 1-O/NEU |
| TRINITY INDUSTRIES INC (TRN) | 590 | 18 02 | 10,633.31 | 26.610 | 15,699 90 | 5,066 59 | 1.203 | 188.80 | In cash account |
| VAIL RESORTS INC (MTN) | 520 | Not available | 23,109.17 | 52.040 | 27,060.80 | | | | In cash account Barclays· 1-O/NEU |
| VECTREN CORP (VVC) | 740 | Not available | 18,643.93 | 25.380 | 18,781 20 | | 5 437 | 1,021 20 | In cash account |
| WABTEC CORP (WAB) | 790 | Not available | 31,576.28 | 52.890 | 41,783.10 | | 0.076 | 31.60 | In cash account |
| WALTER ENERGY INC NEW (WLT) | 340 | Not available | 32,005.55 | 127.840 | 43,465.60 | | 0.391 | 170.00 | In cash account |
| WESTAR ENERGY INC (WR) | 1,200 | Not available | 29,323.06 | 25.160 | 30,192.00 | | 4.928 | 1,488.00 | In cash account Barclays. 2-E/POS |
| WESTFIELD FINANCIAL INC (WFD) NEW | 680 | Not available | 6,933.42 | 9.250 | 6,290 00 | | 2.595 | 163.20 | In cash account |
| WILLBROS GROUP INC (WG) | 720 | Not available | 18,920.80 | 9.820 | 7,070.40 | | | | In cash account |
| WRIGHT EXPRESS CORP (WXS) | 850 | Not available | 26,851.48 | 46.000 | 39,100.00 | | | | In cash account |
| WYNDHAM WORLDWIDE CORPORATION (WYN) | 790 | Not available | 25,165.49 | 29.960 | 23,668.40 | | 1.602 | 379.20 | In cash account |
| Total USD Common stocks | | | | | $ 1,317,373.45 | $ 17,686.85 | | $ 15,041.80 | |

| Index tracking stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| SPDR KBW REGIONAL BANKING (KRE) ETF | 1,330 | Not available | 34,718.85 | $ 26.450 | $ 35,178 50 | | 1.376 | 484.12 | In cash account |
| **Total Equities** | | | 1,206,686.97 | | $ 1,352,551.95 | $ 17,686.85 | | $ 15,525.92 | |

## HOLDINGS

*In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding*
*Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.*

## Fixed income

*Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.*

| Corporate bonds | Par | Unit cost<br>Adj unit cost | Total cost<br>Adj total cost | Market price | Market value<br>Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| BEAR STEARNS COS INC<br>DUE 01 FEB 2012 @ 5 350%<br>ISIN: US073902PP75<br>DATED DATE 25 JAN 2007 | 85,000 | Not available | 85,115.65 | 104.802 | $ 89,082.08<br>1,894.79 | | 0.89 | In cash account<br>Moody's Aa3<br>S&P A+ |
| MORGAN STANLEY<br>NOTES<br>DUE 01 MAR 2013 @ 5.300%<br>ISIN: US617446HR39<br>DATED DATE 26 FEB 2003 | 130,000 | Not available | 124,447.50 | 106.399 | 138,319.39<br>2,296.67 | | 2 26 | In cash account<br>Moody's A2<br>S&P A |
| CITIGROUP INC<br>SR NT<br>DUE 11 APR 2013 @ 5.500%<br>ISIN: US172967EQ04<br>DATED DATE 11 APR 2008 | 40,000 | Not available | 38,567.60 | 106.591 | 42,636 74<br>488 89 | | 2 50 | In cash account<br>Moody's A3<br>S&P A |
| J P MORGAN CHASE & CO<br>NT<br>DUE 15 MAR 2014 @ 4.875%<br>ISIN: US46625HBJ86<br>DATED DATE 09 MAR 2004 | 100,000 | Not available | 97,332.00 | 106.588 | 106,588.00<br>1,435 42 | | 2.71 | In cash account<br>Moody's A1<br>S&P A |
| GENERAL ELEC CAP CORP<br>MEDIUM TERM NOTES<br>DUE 13 MAY 2014 @ 5.900%<br>ISIN: US36962G4C58<br>DATED DATE 13 MAY 2009 | 155,000 | Not available | 158,974.65 | 110.570 | 171,384 31<br>1,219.33 | | 2.60 | In cash account<br>Moody's Aa2<br>S&P AA+ |
| XEROX CORPORATION<br>SENIOR NOTES<br>DUE 15 MAY 2014 @ 8.250%<br>ISIN: US984121BY81<br>DATED DATE 11 MAY 2009 | 120,000 | Not available | 125,156.40 | 116.929 | 140,315 20<br>1,265 00 | | 2 94 | In cash account<br>Moody's Baa2<br>S&P BBB- |
| GOLDMAN SACHS GROUP INC<br>DUE 01 OCT 2014 @ 5.000%<br>ISIN: US38143UAW18<br>DATED DATE 29 SEP 2004 | 55,000 | Not available | 53,239.45 | 106.715 | 58,693.49<br>687.50 | | 3.09 | In cash account<br>Moody's A1<br>S&P A |

Fixed Income

| Corporate bonds | Par | Unit cost / Adj. unit cost | Total cost / Adj. total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| JP MORGAN CHASE & CO<br>DUE 01 MAR 2015 @ 4.750%<br>ISIN. US46625HCE80<br>DATED DATE 25 FEB 2005 | 85,000 | Not available | 83,968.70 | 106.245 | 90,308.25<br>1,345 83 | | 3 14 | In cash account<br>Moody's Aa3<br>S&P A+ |
| BANK AMERICA CORP<br>SUB NOTES<br>DUE 01 DEC 2015 @ 5 250%<br>ISIN. US060505BG88<br>DATED DATE 18 NOV 2003 | 170,000 | Not available | 162,172.10 | 102.765 | 174,700.50<br>743.75 | | 4 61 | In cash account<br>Moody's A3<br>S&P A- |
| SIMON PPTY GROUP LP NT 5.75%15<br>DUE 01 DEC 2015 @ 5.750%<br>ISIN. US828807BP17<br>DATED DATE 15 NOV 2005 | 15,000 | Not available | 15,307.80 | 111.099 | 16,664.85<br>71 87 | | 3.29 | In cash account<br>Next call on 09/02/2015<br>Call price $100.00<br>Moody's A3<br>S&P A- |
| AMERICAN EXPRESS CO<br>SR NTS<br>DUE 28 AUG 2017 @ 6.150%<br>ISIN: US025816AX77<br>DATED DATE 28 AUG 2007 | 165,000 | Not available | 158,728.30 | 110.536 | 182,384.40<br>3,467 06 | | 4.31 | In cash account<br>Moody's A3<br>S&P BBB+ |
| ***ASTRAZENECA PLC<br>NT<br>DUE 15 SEP 2017 @ 5 900%<br>ISIN: US046353AB45<br>DATED DATE 12 SEP 2007 | 160,000 | Not available | 166,013.80 | 115.451 | 184,722.71<br>2,779.56 | | 3.31 | In cash account<br>Moody's A1<br>S&P AA- |
| COMCAST CORP<br>NT<br>DUE 15 NOV 2017 @ 6.300%<br>ISIN: US20030NAU54<br>DATED DATE 23 AUG 2007 | 145,000 | Not available | 168,345.00 | 114.403 | 165,885 77<br>1,167.25 | | 3 89 | In cash account<br>Moody's Baa1<br>S&P BBB+ |
| CITIGROUP INC<br>NT<br>DUE 21 NOV 2017 @ 6.125%<br>ISIN: US172967EM99<br>DATED DATE 21 NOV 2007 | 125,000 | Not available | 130,826.25 | 106.592 | 133,241.09<br>850 69 | | 4 98 | In cash account<br>Moody's A3<br>S&P A |
| WELLS FARGO & CO NEW<br>NT<br>DUE 11 DEC 2017 @ 5.625%<br>ISIN. US949746NX52<br>DATED DATE 10 DEC 2007 | 155,000 | Not available | 148,665.20 | 111.143 | 172,272 27<br>484.38 | | 3.78 | In cash account<br>Moody's A1<br>S&P AA- |
| GOLDMAN SACHS GROUP INC<br>NT<br>DUE 18 JAN 2018 @ 5 950%<br>ISIN: US38141GFG47<br>DATED DATE 18 JAN 2008 | 80,000 | Not available | 76,786.40 | 108 741 | 86,993 35<br>2,155 22 | | 4 49 | In cash account<br>Moody's A1<br>S&P A |

# BARCLAYS WEALTH

**Premier client account**
**578-00554**

**SWARTZ FOUNDATION**
December 1 - December 31, 2010



**Fixed income**

| Corporate bonds | Par | Unit cost<br>Adj unit cost | Total cost<br>Adj total cost | Market price | Market value<br>Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| CONOCOPHILLIPS<br>NOTES<br>DUE 01 FEB 2019 @ 5 750%<br>ISIN: US20825CAR51<br>DATED DATE 03 FEB 2009 | 95,000 | Not available | 95,336.30 | 113.763 | 108,075.35<br>2,276.04 | | 3.76 | In cash account<br>Moody's A1<br>S&P A |
| TIME WARNER CABLE INC<br>DUE 14 FEB 2019 @ 8.750%<br>ISIN: US88732JAP30<br>DATED DATE 18 NOV 2008 | 180,000 | Not available | 198,368.85 | 127.370 | 229,267.56<br>5,993.75 | | 4.66 | In cash account<br>Moody's Baa2<br>S&P BBB |
| CATERPILLAR FINL SVCS CORP<br>MEDIUM TERM NTS<br>DUE 15 FEB 2019 @ 7.150%<br>ISIN: US14912L4E81<br>DATED DATE 12 FEB 2009 | 145,000 | Not available | 158,378.45 | 122.265 | 177,284 85<br>3,916 61 | | 3.92 | In cash account<br>Moody's A2<br>S&P A |
| CISCO SYS INC<br>SR NT<br>DUE 15 FEB 2019 @ 4.950%<br>ISIN: US17275RAE27<br>DATED DATE 17 FEB 2009 | 130,000 | Not available | 131,306.40 | 108.976 | 141,668.80<br>2,431 00 | | 3.66 | In cash account<br>Moody's A1<br>S&P A+ |
| PFIZER INC<br>NT<br>DUE 15 MAR 2019 @ 6.200%<br>ISIN: US717081DB62<br>DATED DATE 24 MAR 2009 | 110,000 | Not available | 118,736.20 | 117.439 | 129,182.94<br>2,008.11 | | 3.71 | In cash account<br>Moody's A1<br>S&P AA |
| VERIZON COMMUNICATIONS INC<br>NT<br>DUE 01 APR 2019 @ 6.350%<br>ISIN: US92343VAV62<br>DATED DATE 27 MAR 2009 | 150,000 | Not available | 158,467.50 | 115.460 | 173,190.72<br>2,381.25 | | 4.12 | In cash account<br>Moody's A3<br>S&P A- |
| TIME WARNER INC NEW<br>DUE 15 MAR 2020 @ 4.875%<br>ISIN US887317AF27<br>DATED DATE 11 MAR 2010 | 165,000 | 107 327<br>107.089 | 177,089 25<br>[redacted] | 104.145 | 171,839.25<br>2,368 44 | -4,857.43 | 4.32 | In cash account<br>Moody's Baa2<br>S&P BBB |
| HOME DEPOT INC<br>SR NT<br>DUE 15 SEP 2020 @ 3.950%<br>ISIN: US437076AT91<br>DATED DATE 10 SEP 2010 | 110,000 | 100.320<br>100 312 | 110,352.00<br>[redacted] | 97.477 | 107,224.70<br>1,339.71 | -3,118.19 | 4.27 | In cash account<br>Int rate eff: 03/15/2011<br>Next call on 06/15/2020<br>Call price $100 00<br>Moody's Baa1<br>S&P BBB+ |
| CVS CAREMARK CORP<br>SR NT<br>DUE 01 JUN 2027 @ 6 250%<br>ISIN: US126650BJ87<br>DATED DATE 25 MAY 2007 | 170,000 | Not available | 174,717.15 | 110.513 | 187,873 22<br>885 42 | | 5 28 | In cash account<br>Moody's Baa2<br>S&P BBB+ |

**Fixed Income**

| Corporate bonds | Par | Unit cost / Adj. unit cost | Total cost / Adj total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| NEWS AMERICA INC<br>DUE 15 DEC 2034 @ 6.200%<br>ISIN: US652482BJ86<br>DATED DATE 03 DEC 2004 | 180,000 | Not available | 180,163.00 | 103 825 | 186,885.00<br>496.00 | | 5 90 | In cash account<br>Moody's Baa1<br>S&P BBB+ |
| GENERAL ELEC CAP CORP<br>MEDIUM TERM NTS<br>DUE 14 JAN 2038 @ 5 875%<br>ISIN. US36962G3P70<br>DATED DATE 14 JAN 2008 | 150,000 | Not available | 139,630.00 | 100.792 | 151,188.11<br>4,088.02 | | 5.82 | In cash account<br>Moody's Aa2<br>S&P AA+ |
| ***KONINKLIJKE PHILIPS ELECTRS<br>N V<br>DUE 11 MAR 2038 @ 6.875%<br>ISIN: US500472AC95<br>DATED DATE 11 MAR 2008 | 95,000 | Not available | 97,069.15 | 119.216 | 113,255.71<br>1,995 66 | | 5.50 | In cash account<br>Moody's A3<br>S&P A- |
| KRAFT FOODS INC<br>NT<br>DUE 09 FEB 2040 @ 6.500%<br>ISIN: US50075NAZ78<br>DATED DATE 08 FEB 2010 | 115,000 | Not available | 121,077.85 | 112.063 | 128,872.45<br>2,948 47 | | 5.65 | In cash account<br>Moody's Baa2<br>S&P BBB- |
| Total USD Corporate bonds | | | 3,654,338.90 | | $ 3,960,001.06<br>$ 55,481.69 | -$ 16,408.55 | | |

| Governments and agencies | Par | Unit cost / Adj unit cost | Total cost / Adj total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| UNITED STATES TREASURY NOTE<br>DUE 31 JAN 2011 @ 0.875%<br>ISIN: US912828JY72<br>DATED DATE 31 JAN 2009 | 150,000 | $ 100 313<br>100.057 | $ 150,469.25<br>[redacted] | 100.051 | $ 150,076.50<br>549.25 | -$ 8.33 | 0.27 | In cash account<br>Moody's Aaa<br>S&P AAA |
| UNITED STATES TREASURY NOTE<br>DUE 31 MAR 2011 @ 4.750%<br>ISIN: US912828FA33<br>DATED DATE 31 MAR 2006 | 345,000 | Not available | 364,137.88 | 101.090 | 348,760 50<br>4,186.92 | | 0.33 | In cash account<br>Moody's Aaa<br>S&P AAA |
| UNITED STATES TREASURY NOTE<br>DUE 30 APR 2011 @ 0.875%<br>ISIN: US912828KL33<br>DATED DATE 30 APR 2009 | 295,000 | 100.391<br>100.220 | 296,153.33<br>[redacted] | 100.227 | 295,669 65<br>442 09 | 22.10 | 0.19 | In cash account<br>Moody's Aaa<br>S&P AAA |
| UNITED STATES TREAS NTS<br>DUE 15 AUG 2011 @ 5.000%<br>ISIN: US9128277B27<br>DATED DATE 15 AUG 2001 | 70,000 | Not available | 75,449.84 | 102.938 | 72,056 60<br>1,322 01 | | 0 29 | In cash account<br>Moody's Aaa<br>S&P AAA |
| UNITED STATES TREASURY NOTE<br>DUE 15 FEB 2013 @ 3.875%<br>ISIN· US912828AU42<br>DATED DATE 15 FEB 2003 | 250,000 | Not available | 259,190.29 | 106.852 | 267,130 00<br>3,659 14 | | 0 62 | In cash account<br>Moody's Aaa<br>S&P AAA |

BARCLAYS WEALTH

**Premier client account**
**578-00554**

**SWARTZ FOUNDATION**
December 1 - December 31, 2010



**Fixed income**

| Governments and agencies | Par | Unit cost / Adj unit cost | Total cost / Adj. total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| UNITED STATES TREASURY NOTE<br>DUE 28 FEB 2013 @ 2.750%<br>ISIN: US912828HT06<br>DATED DATE 29 FEB 2008 | 110,000 | Not available | 114,706.23 | 104 523 | 114,975.30<br>1,027.83 | | 0.64 | In cash account<br>Moody's Aaa<br>S&P AAA |
| UNITED STATES TREASURY NOTE<br>DUE 31 DEC 2014 @ 2.625%<br>ISIN: US912828ME71<br>DATED DATE 31 DEC 2009 | 1,970,000 | Not available | 2,039,879.64 | 104.273 | 2,054,178.10<br>142 85 | | 1.52 | In cash account<br>Moody's Aaa<br>S&P AAA |
| FEDERAL HOME LOAN MTG CORP<br>DUE 09 FEB 2015 @ 2.875%<br>ISIN: US3137EACH01<br>DATED DATE 07 JAN 2010 | 370,000 | Not available | 380,802.89 | 104.113 | 385,218 10<br>4,195.90 | | 1.83 | In cash account<br>Moody's Aaa<br>S&P AAA |
| UNITED STATES TREASURY NOTE<br>DUE 15 NOV 2017 @ 4.250%<br>ISIN. US912828HH67<br>DATED DATE 15 NOV 2007 | 255,000 | Not available | 271,160.20 | 110.242 | 281,117.10<br>1,407.08 | | 2.61 | In cash account<br>Moody's Aaa<br>S&P AAA |
| UNITED STATES TREASURY NOTE<br>10 YR INFLATION INDEXED NOTES<br>DUE 15 JUL 2018 @ 1.375%<br>ISIN: US912828JE19<br>DATED DATE 15 JUL 2008 | 575,000 | Not available | 588,831.97 | 105.383 | 614,556.77<br>3,704.21 | | 0.64 | In cash account<br>Factor: 1.0142700<br>Moody's Aaa<br>S&P AAA |
| UNITED STATES TREASURY NOTE<br>DUE 15 NOV 2019 @ 3.375%<br>ISIN: US912828LY45<br>DATED DATE 15 NOV 2009 | 150,000 | Not available | 152,076.38 | 102.086 | 153,129 00<br>657.29 | | 3.10 | In cash account<br>Moody's Aaa<br>S&P AAA |
| UNITED STATES TREASURY BONDS<br>DUE 15 FEB 2037 @ 4.750%<br>ISIN: US912810PT97<br>DATED DATE 15 FEB 2007 | 75,000 | 118 235<br>118.080 | 88,676.08<br>[redacted] | 107.469 | 80,601.75<br>1,345 62 | -7,958 51 | 4.27 | In cash account<br>Moody's Aaa<br>S&P AAA |
| Total USD Governments and agencies | | | 4,781,533.98 | | $ 4,817,469.37<br>$ 22,640.19 | -$ 19,206.49 | | |

| International bonds | Par | Unit cost / Adj unit cost | Total cost / Adj total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| ***TELECOM ITALIA CAP<br>DUE 18 JUN 2014 @ 6 175%<br>ISIN: US87927VAW81<br>DATED DATE 18 JUN 2009 | 60,000 | Not available | 64,460.40 | 106 620 | $ 63,972.00<br>133 79 | | 4.10 | In cash account<br>Moody's Baa2<br>S&P BBB |

**Fixed Income**

| International bonds | Par | Unit cost / Adj unit cost | Total cost / Adj total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| CREDIT SUISSE<br>MEDIUM TERM SUB NTS<br>DUE 13 AUG 2019 @ 5 300%<br>ISIN: US22546QAC15<br>DATED DATE 13 AUG 2009 | 125,000 | Not available | 125,375.00 | 105 627 | 132,033 75<br>2,539.58 | | 4 50 | In cash account<br>Moody's Aa1<br>S&P A+ |
| Total USD International bonds | | | 189,835.40 | | $ 196,005.76<br>$ 2,673.37 | $ 0.00 | | |

| Mortgage and asset backed securities | Cost | Original principal | Factor | Market price | Market value | Stated final maturity | Comment |
|---|---|---|---|---|---|---|---|
| FEDL HOME LOAN MTG CORP#A95861<br>DUE 01 DEC 2040 @ 4 000%<br>ISIN: US312944QN45<br>DATED DATE 01 DEC 2010 | 664,210.94 | $ 655,000.00 | 1.00000 | * | | 01 Dec 2040 | In cash account<br>Current face $ 655,000.00<br>Int paid monthly<br>Unpriced security* |
| FNMA GTD PASS THRU POOL#256596<br>DUE 01 FEB 2037 @ 5.000%<br>ISIN· US31371M7H40<br>DATED DATE 01 JAN 2007 | 848,882.47 | 1,651,026.00 | 0.50127 | 105.187 | 870,537 92 | 01 Feb 2037 | In cash account<br>Current face $ 827,610.28<br>Int paid monthly |
| FNMA GTD PASS THRU POOL#910390<br>DUE 01 MAR 2037 @ 5.000%<br>ISIN: US31411KNF65<br>DATED DATE 01 MAR 2007 | 169,642.82 | 392,019.00 | 0.45058 | 104.936 | 185,357.55 | 01 Mar 2037 | In cash account<br>Current face $ 176,638 90<br>Int paid monthly |
| FNMA GTD PASS THRU POOL#918370<br>DUE 01 MAY 2037 @ 5.500%<br>ISIN. US31411YJP97<br>DATED DATE 01 MAY 2007 | 199,365.21 | 501,249.00 | 0 40829 | 106.897 | 218,772.69 | 01 May 2037 | In cash account<br>Current face $ 204,657.51<br>Int paid monthly |
| FNMA GTD PASS THRU POOL#938502<br>DUE 01 MAY 2037 @ 5.000%<br>ISIN· US31412YDF60<br>DATED DATE 01 MAY 2007 | 27,736.04 | 75,187.00 | 0.39686 | 105.171 | 31,381.67 | 01 May 2037 | In cash account<br>Current face $ 29,838 72<br>Int paid monthly |
| FNMA GTD PASS THRU POOL#939444<br>DUE 01 JUN 2037 @ 5.500%<br>ISIN: US31413AER05<br>DATED DATE 01 JUN 2007 | 39,544.85 | 85,000.00 | 0.47779 | 106.897 | 43,413.44 | 01 Jun 2037 | In cash account<br>Current face $ 40,612.49<br>Int paid monthly |
| FNMA GTD PASS THRU POOL#940185<br>DUE 01 JUN 2037 @ 5 500%<br>ISIN. US31413A6W88<br>DATED DATE 01 JUN 2007 | 137,462.94 | 274,972 00 | 0 50540 | 106.964 | 148,649.96 | 01 Jun 2037 | In cash account<br>Current face $ 138,972.11<br>Int paid monthly |
| FNMA GTD PASS THRU POOL#940765<br>DUE 01 JUN 2037 @ 5 500%<br>ISIN: US31413BTW18<br>DATED DATE 01 JUN 2007 | 25,142.45 | 80,624.00 | 0.32097 | 106 964 | 27,680.45 | 01 Jun 2037 | In cash account<br>Current face $ 25,878.34<br>Int paid monthly |

**Fixed Income**

| Mortgage and asset backed securities | Cost | Original principal | Factor | Market price | Market value | Stated final maturity | Comment |
|---|---|---|---|---|---|---|---|
| FNMA GTD PASS THRU POOL#949707<br>DUE 01 SEP 2037 @ 5.500%<br>ISIN: US31413MR411<br>DATED DATE 01 SEP 2007 | 79,235.09 | 160,001 00 | 0.50783 | 106.897 | 86,857 69 | 01 Sep 2037 | In cash account<br>Current face $ 81,253.69<br>Int paid monthly |
| FNMA GTD PASS THRU POOL#968318<br>DUE 01 FEB 2038 @ 5.000%<br>ISIN: US31414KG382<br>DATED DATE 01 FEB 2008 | 1,057,281.12 | 2,068,678.00 | 0 53976 | 105.093 | 1,173,468.42 | 01 Feb 2038 | In cash account<br>Current face $ 1,116,600.56<br>Int paid monthly |
| Total USD Mortgage and asset backed securities | 3,248,503.93 | | | | $ 2,786,119.79 | | |

| | Market value (USD)<br>Accrued int. (USD) | Unrealized g/l (USD) |
|---|---|---|
| **Total Fixed Income** | **$ 11,759,595.97** | **- $ 35,615.04** |
| | **$ 80,795.25** | |
| | **$ 11,840,391.22** | |

## Cash, cash equivalents & other

*Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.*

*Gain/Loss information also excludes cash, cash equivalents, and other.*

| Cash investments | Quantity | Market value<br>Accrued income | Comment |
|---|---|---|---|
| STATE ST INSTL LIQUID RESVS<br>FD SHS BEN INT | 665,609 09 | $ 665,609.09 | |

| | Market value (USD)<br>Accrued income (USD) |
|---|---|
| **Total Cash, cash equivalents & other** | **$ 665,609.09** |
| | **$ 0.00** |
| | **$ 665,609.09** |

## HOLDINGS

*In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding.*
*Unrealized gain/loss total reflects all positions for which a cost basis is available.. Please review the Tax Lot section for details regarding cost basis.*

## Equities

*Your statement contains research ratings for companies covered by Barclays Capital Equity Research. Clients may access Barclays Capital research at www.barclayswealthamericas com or by calling 1-800-253-4626. A complete description of Barclays Capital ratings may be found on Page 2 of your statement.*

*Note: Trade price may include any applicable local taxes and fees.*

| **Common stocks**(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ENBRIDGE ENRGY MGMT LLC FRACTIONAL 100000THS SHS | 72,538 | Not available | .00 | * | | | | | In cash account Unpriced security* |
| ***FOSTERS GROUP LTD (FGL) | 4,900 | Not available | 23,826.48 | 5.806 | 28,453.36 | | 4.787 | 1,362.20 | In cash account Shares denominated in. Australian Dollar - AUD |
| ***ASCENDAS REAL ESTATE (ACDSF) INVESTMENT TRUST | 19,000 | Not available | 27,651.75 | 1.580 | 30,020.00 | | | | In cash account Shares denominated in: Singapore Dollar - SGD |
| ***SATS LTD (SPASF) | 9,000 | Not available | 18,449.69 | 2.242 | 20,180.03 | | | | In cash account Shares denominated in Singapore Dollar - SGD |
| AMB PROPERTY CORP (AMB) | 1,500 | Not available | 32,507.31 | 31.710 | 47,565.00 | | 3.532 | 1,680.00 | In cash account Barclays 2-E/NEU |
| ***ARC ENERGY TRUST (AETUF) TRUST UNITS | 2,000 | Not available | 29,729.77 | 25.460 | 50,921 64 | | 4.713 | 2,400.00 | In cash account Shares denominated in. Canadian Dollar - CAD |
| ALLIANT ENERGY CORP (LNT) | 1,150 | Not available | 41,896.13 | 36.770 | 42,285.50 | | 4.297 | 1,817.00 | In cash account Barclays. 2-E/POS |
| AMERICAN CAMPUS COMMUNITIES (ACC) INC | 1,900 | Not available | 49,260.71 | 31.760 | 60,344.00 | | 4.251 | 2,565.00 | In cash account |
| APOLLO INVESTMENT CORPORATION (AINV) COMMON STOCK | 3,800 | Not available | 36,744.61 | 11.070 | 42,066 00 | | 10.117 | 4,256 00 | In cash account |
| AQUA AMERICA INC (WTR) | 1,450 | Not available | 27,899.32 | 22.480 | 32,596.00 | | 2.758 | 899.00 | In cash account |
| AVALONBAY COMMUNITIES INC (AVB) | 350 | Not available | 19,069.89 | 112 550 | 39,392.50 | | 3.172 | 1,249 50 | In cash account Barclays. 2-E/NEU |
| ***CNOOC LTD (CEO) SPONSORED ADR REP 100 SHS CL H | 105 | Not available | 14,565.03 | 238 370 | 25,028 85 | | 1 990 | 498.12 | In cash account |
| ***CANADIAN OIL SANDS TR NEW (COSWF) UNIT | 700 | Not available | 17,340.50 | 26.570 | 18,599 00 | | 7.343 | 1,365 70 | In cash account Barclays 2-E/NEU Shares denominated in: Canadian Dollar - CAD |

BARCLAYS WEALTH

**Premier client account**
**578-00555**

**SWARTZ FOUNDATION**
December 1 - December 31, 2010



**Equities**

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| CENTERPOINT ENERGY INC (CNP) | 3,900 | Not available | 61,282.00 | 15.720 | 61,308.00 | | 4.962 | 3,042.00 | In cash account |
| ***CHINA MOBILE LIMITED (CHL) SPONSORED ADR RPSTG 5 ORD SHS | 800 | Not available | 41,288.08 | 49.620 | 39,696.00 | | 3.351 | 1,330.40 | In cash account |
| CHUNGHWA TELECOM LTD-ADR (CHT) | 1,300 | Not available | 25,584.26 | 25.270 | 32,851.00 | | 3.945 | 1,296.10 | In cash account |
| ***CRESCENT POINT ENERGY CORP (CSCTF) | 1,600 | Not available | 61,751.71 | 44.518 | 71,228.96 | | 6.162 | 4,388.80 | In cash account Shares denominated in: Canadian Dollar - CAD |
| DIGITAL REALTY TRUST INC (DLR) | 400 | Not available | 19,103.68 | 51.540 | 20,616.00 | | 4.113 | 848.00 | In cash account Barclays: 1-O/NEU |
| DUKE REALTY CORP (DRE) NEW | 2,600 | 12.32 | 32,031.92 | 12.460 | 32,396.00 | 364 08 | 5 457 | 1,768.00 | In cash account |
| EXELON CORP (EXC) | 1,450 | Not available | 65,590.10 | 41.640 | 60,378.00 | | 5.043 | 3,045.00 | In cash account Barclays: 2-E/NEU |
| ***FRANCO-NEVADA CORPORATION (FNNVF) | 1,950 | Not available | 56,252.89 | 33.326 | 64,986.71 | | 0.900 | 585.00 | In cash account Shares denominated in: Canadian Dollar - CAD |
| JOHNSON & JOHNSON (JNJ) | 500 | Not available | 32,327.31 | 61.850 | 30,925.00 | | 3.492 | 1,080.00 | In cash account |
| MICROCHIP TECHNOLOGY INC (MCHP) | 1,300 | Not available | 37,328.22 | 34.210 | 44,473 00 | | 4.034 | 1,794.00 | In cash account Barclays: 1-O/NEU |
| NATIONWIDE HEALTH PROPERTIES (NHP) INC | 750 | 40.93 | 30,694.28 | 36.380 | 27,285.00 | - 3,409.28 | 5.168 | 1,410 00 | In cash account |
| NEW JERSEY RESOURCES CORP (NJR) | 650 | Not available | 22,692.67 | 43.110 | 28,021.50 | | 3.340 | 936.00 | In cash account Barclays: 3-U/NEU |
| NEW YORK COMMUNITY BANCORP INC (NYB) | 1,850 | Not available | 20,613.95 | 18.850 | 34,872.50 | | 5.305 | 1,850.00 | In cash account Barclays: 2-E/NEU |
| ***NINTENDO CO LTD-ADR NEW (NTDOY) | 1,300 | Not available | 42,039.60 | 36.727 | 47,745.10 | | 2.750 | 1,313.00 | In cash account |
| NORFOLK SOUTHERN CORP (NSC) | 700 | Not available | 29,038.33 | 62.820 | 43,974.00 | | 2.292 | 1,008.00 | In cash account Barclays: 1-O/NEU |
| NSTAR (NST) | 500 | Not available | 15,332.30 | 42.190 | 21,095.00 | | 4.029 | 850.00 | In cash account Barclays. RS/POS |
| PG&E CORP (PCG) | 900 | Not available | 39,751.25 | 47.840 | 43,056.00 | | 3.804 | 1,638.00 | In cash account Barclays: 1-O/POS |
| PHILIP MORRIS INTERNATIONAL (PM) INC | 450 | Not available | 19,969.45 | 58 530 | 26,338.50 | | 4.374 | 1,152.00 | In cash account Barclays: 1-O/POS |
| RAYONIER INC (RYN) REIT | 1,200 | Not available | 50,352.70 | 52.520 | 63,024.00 | | 4.113 | 2,592.00 | In cash account Barclays: 1-O/POS |
| ROYAL GOLD INC (RGLD) | 400 | Not available | 19,484.00 | 54.630 | 21,852.00 | | 0 805 | 176.00 | In cash account |
| ***SANOFI AVENTIS (SNY) SPONSORED ADR | 1,200 | 30 38 | 36,461.63 | 32 230 | 38,676 00 | 2,214 37 | 3.419 | 1,322.40 | In cash account |
| SPECTRA ENERGY CORP (SE) | 2,600 | Not available | 60,495.05 | 24.990 | 64,974.00 | | 4.002 | 2,600 00 | In cash account Barclays· 1-O/NEU |
| TECO ENERGY INC (TE) | 2,350 | Not available | 32,387.00 | 17.800 | 41,830.00 | | 4.607 | 1,927.00 | In cash account Barclays: 2-E/POS |

BARCLAYS WEALTH

**Premier client account**
**578-00555**

**SWARTZ FOUNDATION**
December 1 - December 31, 2010



**Equities**

| **Common stocks**(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***TOTAL S.A. (TOT) 1 ADR REPRESENTING 1 ORD SHS | 800 | Not available | 43,068.40 | 53.480 | 42,784.00 | | 4.643 | 1,986 40 | In cash account |
| ***UNILEVER N V (UN) NEW YORK SHS NEW ADR | 2,050 | Not available | 56,412.42 | 31.400 | 64,370.00 | | 3.019 | 1,943 40 | In cash account |
| UNITED PARCEL SVC INC (UPS) CL B | 650 | Not available | 39,305.98 | 72.580 | 47,177.00 | | 2.590 | 1,222.00 | In cash account Barclays: 1-O/NEU |
| WEYERHAEUSER CO (WY) | 1,500 | Not available | 24,264.75 | 18.930 | 28,395.00 | | 1.057 | 300 00 | In cash account Barclays: 1-O/POS |
| WORLD WRESTLING ENTERTAINMENT (WWE) INC CL A | 3,050 | Not available | 41,583.68 | 14.240 | 43,432.00 | | 10.112 | 4,392.00 | In cash account |
| Total USD Common stocks | | | 1,395,428.80 | | ~~$ 1,625,212.15~~ | $ 13,747.24 | | $ 65,888.02 | |

| **Preferred stock**(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***BUNGE LIMITED (BGEPF) 4.875% PERPETUAL PREF SHS CONV | 200 | Not available | 16,400.00 | $ 94.000 | $ 18,800.00 | | 5.186 | 975.00 | In cash account |

| **Master limited partnerships** | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann. yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| FRACTIONAL KINDER MORGAN MGMT 100,000THS SHARES | 134,091 | Not available | .00 | $ 0.000 | $ 89.68 | | | | In cash account |
| ENBRIDGE ENERGY MANAGEMENT LLC (EEQ) SHS UNITS REPSTG LTD LIABILITY COMPANY INTERESTS | 705 | Not available | 25,484.57 | 63.850 | 45,014.25 | | | | In cash account |
| KINDER MORGAN MGMT LLC (KMR) SHS | 491 | Not available | 21,036.47 | 66.880 | 32,838.08 | | | | In cash account |
| Total USD Master limited partnerships | | | 46,521.04 | | ~~$77,942.01~~ | $ 0.00 | | | |

| **Index tracking stocks**(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| JPMORGAN CHASE & CO (AMJ) ALERIAN MLP INDEX ETN BASED ON WAP LEVEL OF INDEX | 900 | $ 34 95 | $ 31,454.11 | $ 36.350 | $ 32,715.00 | $ 1,260 89 | 4.935 | 1,614.60 | In cash account |

| | | | | | |
|---|---|---|---|---|---|
| **Total Equities** | 1,489,803.95 | ~~$ 1,754,669.16~~ | $ 15,008.13 | $ 68,477.62 | |

## Fixed income

*Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.*

| Convertibles | Par | Unit cost / Adj unit cost | Total cost / Adj total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| PROTEIN DESIGN LABS INC<br>SR NT CONV<br>DUE 15 FEB 2012 @ 2.000%<br>ISIN: US74369LAF04<br>DATED DATE 14 FEB 2005 | 30,000 | Not available | 28,800.00 | 99.750 | $ 29,925.00<br>226 67 | | 2.23 | In cash account<br>Next call on 01/11/2011<br>Call price $100.57 |
| ICONIX BRAND GROUP INC<br>SR SUB NT CONV<br>DUE 30 JUN 2012 @ 1 875%<br>ISIN: US451055AB30<br>DATED DATE 20 JUN 2007 | 20,000 | Not available | 17,450.00 | 100 500 | 20,100.00<br>1.04 | | 1.54 | In cash account<br>Moody's B2<br>S&P B+ |
| ***TRINIDAD DRILLING LTD<br>7.75% CONV UNSEC SUB DEB<br>DUE 31 JUL 2012 @ 7.750%<br>ISIN: CA896356AA01<br>DATED DATE 05 JUL 2007 | 30,000 | Not available | 28,078.29 | 100 623 | 30,187.07<br>6.46 | | 7.48 | In cash account<br>Next call on 01/19/2011<br>Call price $100.00 |
| PATRIOT COAL CORP<br>SR NT CONV 144A<br>DUE 31 MAY 2013 @ 3.250%<br>ISIN: US70336TAA25<br>DATED DATE 28 MAY 2008 | 30,000 | Not available | 25,200.00 | 94 375 | 28,312.50<br>83.96 | | 5.78 | In cash account<br>Next call on 05/31/2011<br>Call price $100.00 |
| WRIGHT MED GROUP INC<br>CONV<br>DUE 01 DEC 2014 @ 2 625%<br>ISIN: US98235TAA51<br>DATED DATE 26 NOV 2007 | 55,000 | 94.000<br>94.194 | 51,700.00<br>[redacted] | 94.125 | 51,768.75<br>120.31 | -37.75 | 4.27 | In cash account |
| RTI INTL METALS INC<br>SR NT CONV<br>DUE 01 DEC 2015 @ 3.000%<br>ISIN: US74973WAA53<br>DATED DATE 14 DEC 2010 | 25,000 | 100.000<br>100.000 | 25,000 00<br>[redacted] | 103.500 | 25,875.00<br>35.42 | 875.00 | 2 24 | In cash account<br>Int rate eff: 06/01/2011 |
| COVANTA HOLDING CORPORATION<br>1 0% SENIOR CONVERTIBLE<br>DEBENTURES DUE 2027<br>DUE 01 FEB 2027 @ 1.000%<br>ISIN: US22282EAA01<br>DATED DATE 31 JAN 2007 | 50,000 | 97.375<br>97.401 | 48,687 50<br>[redacted] | 98.500 | 49,250.00<br>208.33 | 549 65 | 1 10 | In cash account<br>Next call on 02/01/2012<br>Call price $100.00<br>Putable on 02/01/2012<br>Put price $100.00<br>Moody's Ba3<br>S&P B |
| BILL BARRETT CORPORATION<br>CONVERTIBLE SENIOR NOTES<br>DUE 15 MAR 2028 @ 5.000%<br>ISIN· US06846NAA28<br>DATED DATE 12 MAR 2008 | 30,000 | Not available | 28,900.00 | 102.880 | 30,864.00<br>441.67 | | 4.75 | In cash account<br>Next call on 03/26/2012<br>Call price $100.00<br>Putable on 03/20/2012<br>Put price $100.00<br>S&P BB- |

## Fixed Income

| Convertibles | Par | Unit cost / Adj unit cost | Total cost / Adj total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| HOLOGIC INC | 50,000 | 94.500 | 47,250 00 | 94 000 | 47,000 00 | -263.49 | 2 30 | In cash account |
| 2.0% CVT SENIOR NOTES | | 94.527 | [redacted] | | 44.44 | | | Next call on 12/15/2013 |
| DUE 15 DEC 2037 @ 2 000% | | | | | | | | Call price $100.00 |
| ISIN: US436440AA93 | | | | | | | | Putable on 12/13/2013 |
| DATED DATE 10 DEC 2007 | | | | | | | | Put price $100.00 |
| VARIABLE RATE | | | | | | | | S&P BB+ |
| Total USD Convertibles | | | 301,065.79 | | $ 313,282.32<br>$ 1,168.30 | $ 1,123.41 | | |

| | Market value (USD) / Accrued int. (USD) | Unrealized g/l (USD) |
|---|---|---|
| Total Fixed Income | $ 313,282.32<br>$ 1,168.30<br>$ 314,450.62 | $ 1,123.41 |

## Cash, cash equivalents & other

*Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.*

*Gain/Loss information also excludes cash, cash equivalents, and other.*

| Cash balance | Value |
|---|---|
| CASH ACCOUNT | -$ 1,161.92 |

| Cash investments | Quantity | Market value / Accrued income | Comment |
|---|---|---|---|
| STATE ST INSTL LIQUID RESVS FD SHS BEN INT | 83,658 32 | $ 83,658.32 | |

| | Market value (USD) / Accrued income (USD) |
|---|---|
| Total Cash, cash equivalents & other | $ 82,496.40<br>$ 0.00<br>$ 82,496.40 |

## HOLDINGS

*In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities Please also note that totals may differ from the sum on individual components due to rounding*
*Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.*

## Equities

*Your statement contains research ratings for companies covered by Barclays Capital Equity Research. Clients may access Barclays Capital research at www.barclayswealthamericas.com or by calling 1-800-253-4626. A complete description of Barclays Capital ratings may be found on Page 2 of your statement.*

*Note: Trade price may include any applicable local taxes and fees.*

| **Common stocks**(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***ACCENTURE PLC IRELAND (ACN) SHS CL A | 6,815 | $ 37.10 | $ 252,817.54 | $ 48.490 | $ 330,459.35 | $ 77,641.81 | 1.856 | 6,133.50 | In cash account Barclays 1-O/NEU |
| ***COVIDIEN PLC (COV) | 4,770 | 36.84 | 175,728 34 | 45 660 | 217,798.20 | 42,069.86 | 1.752 | 3,816 00 | In cash account Barclays: 1-O/NEU |
| ***TYCO ELECTRONICS LTD (TEL) SWITZERLAND US LISTED | 6,575 | 25.01 | 164,431.71 | 35.400 | 232,755.00 | 68,323.29 | 1.808 | 4,208.00 | In cash account |
| ***TYCO INTERNATIONAL LTD (TYC) | 6,900 | 38 20 | 263,588 05 | 41.440 | 285,936.00 | 22,347.95 | 2.027 | 5,796.00 | In cash account Barclays· 2-E/POS |
| AMERICAN EXPRESS COMPANY (AXP) | 4,280 | 40 05 | 171,401.08 | 42.920 | 183,697.60 | 12,296.52 | 1 678 | 3,081.60 | In cash account Barclays: 1-O/NEU |
| AMERISOURCEBERGEN CORP (ABC) | 7,620 | 27.58 | 210,144.46 | 34.120 | 259,994.40 | 49,849.94 | 1.172 | 3,048.00 | In cash account Barclays: 1-O/NEU |
| AUTOMATIC DATA PROCESSING INC (ADP) | 6,445 | 39.00 | 251,350.13 | 46.280 | 298,274.60 | 46,924.47 | 3.111 | 9,280.80 | In cash account Barclays: 1-O/NEU |
| BANK NEW YORK MELLON CORP (BK) | 11,515 | 24.27 | 279,425 35 | 30.200 | 347,753.00 | 68,327.65 | 1.192 | 4,145 40 | In cash account Barclays: 1-O/POS |
| BERKSHIRE HATHAWAY INC DEL (BRKB) CL B NEW | 3,910 | 77.34 | 302,387.06 | 80.110 | 313,230.10 | 10,843.04 | | | In cash account |
| CINTAS CORP (CTAS) | 8,725 | 25 55 | 222,886.59 | 27 960 | 243,951.00 | 21,064.41 | 1.753 | 4,275 25 | In cash account Barclays. 3-U/NEU |
| DENTSPLY INTERNATIONAL INC NEW (XRAY) | 8,580 | 28.66 | 245,873 93 | 34.170 | 293,178.60 | 47,304.67 | 0.585 | 1,716.00 | In cash account Barclays: 1-O/NEU |
| DEVON ENERGY CORPORATION NEW (DVN) | 2,465 | 60.27 | 148,557.14 | 78.510 | 193,527.15 | 44,970.01 | 0.815 | 1,577.60 | In cash account Barclays: 1-O/NEU |
| ***DIAGEO PLC-SPONSORED ADR (DEO) NEW REPSTG 4 ORD SHS | 2,650 | 65.75 | 174,247.89 | 74.330 | 196,974.50 | 22,726 61 | 3.180 | 6,264 60 | In cash account |
| KIMBERLY CLARK CORP (KMB) | 3,655 | 64.35 | 235,185.54 | 63.040 | 230,411.20 | - 4,774.34 | 4.188 | 9,649.20 | In cash account Barclays 3-U/POS |
| MCGRAW HILL COMPANIES INC (MHP) | 5,785 | 28 05 | 162,255.64 | 36.410 | 210,631.85 | 48,376 21 | 2.582 | 5,437.90 | In cash account |
| MONSANTO CO (MON) NEW | 3,200 | 55.88 | 178,802.33 | 69.640 | 222,848.00 | 44,045 67 | 1.608 | 3,584.00 | In cash account |

**Equities**

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***NESTLE SA-SPONSORED ADR (NSRGY) REPSTG REGD ORD (SF 10 PAR) | 5,925 | 50 87 | 301,421.35 | 58.738 | 348,022 65 | 46,601 30 | 1 527 | 5,314 73 | In cash account |
| ***SCHLUMBERGER LTD (SLB) | 2,165 | 54.49 | 117,971.99 | 83.500 | 180,777.50 | 62,805.51 | 1.006 | 1,818 60 | In cash account Barclays: 1-O/POS |
| STAPLES INC (SPLS) | 9,370 | 18 02 | 168,870.27 | 22.770 | 213,354.90 | 44,484 63 | 1.581 | 3,373.20 | In cash account Barclays: 1-O/NEU |
| SYSCO CORP (SYY) | 9,255 | 27.93 | 258,531 91 | 29.400 | 272,097.00 | 13,565.09 | 3 537 | 9,625.20 | In cash account Barclays: 2-E/NEU |
| 3M COMPANY (MMM) | 4,010 | 81.48 | 326,734.79 | 86.300 | 346,063.00 | 19,328.21 | 2.433 | 8,421.00 | In cash account Barclays: 1-O/POS |
| TIME WARNER INC (TWX) NEW | 8,165 | 29 84 | 243,630.97 | 32.170 | 262,668.05 | 19,037.08 | 2.642 | 6,940 25 | In cash account Barclays: 2-E/NEU |
| UNITED PARCEL SVC INC (UPS) CL B | 4,215 | 63 77 | 268,785.79 | 72.580 | 305,924.70 | 37,138 91 | 2.590 | 7,924.20 | In cash account Barclays: 1-O/NEU |
| WAL-MART STORES INC (WMT) | 5,685 | 51.13 | 290,647.40 | 53.930 | 306,592.05 | 15,944.65 | 2.244 | 6,878.85 | In cash account Barclays: 1-O/NEU |
| Total USD Common stocks | | | | | ~~$ 6,296,920.40~~ | $ 881,243.15 | | $ 122,309.88 | |
| **Total Equities** | | | 5,415,877.25 | | ~~$ 6,296,920.40~~ | $ 881,243.15 | | $ 122,309.88 | |

## Cash, cash equivalents & other

*Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions*

*Gain/Loss information also excludes cash, cash equivalents, and other.*

| Cash balance | Value |
|---|---|
| CASH ACCOUNT | $ 394.40 |

| Cash investments | Quantity | Market value Accrued income | Comment |
|---|---|---|---|
| INSURED NETWORK DEPOSIT FDIC INSURED UP TO APPLICABLE LIMITS | 670,045 95 | $ 670,045 95 | |

## HOLDINGS

*In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding.*
*Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.*

## Fixed income

*Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.*

| Corporate bonds | Par | Unit cost / Adj. unit cost | Total cost / Adj total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| DELUXE CORP | 80,000 | $ 100.469 | $ 80,375.00 | 100.125 | $ 80,100.00 | -$ 256.08 | 4.93 | In cash account |
| SENIOR NOTE | | 100.445 | [redacted] | | 177.78 | | | Moody's Ba3 |
| DUE 15 DEC 2012 @ 5.000% | | | | | | | | S&P B |
| ISIN: US248019AC59 | | | | | | | | |
| DATED DATE 09 DEC 2002 | | | | | | | | |
| BLOCK FINL CORP | 75,000 | 104.642 | 78,481.25 | 104.000 | 78,000.00 | -294.85 | 5.77 | In cash account |
| GTD NT | | 104.393 | [redacted] | | 2,723.44 | | | Moody's Baa2 |
| DUE 15 JAN 2013 @ 7.875% | | | | | | | | S&P BBB |
| ISIN: US093662AD66 | | | | | | | | |
| DATED DATE 11 JAN 2008 | | | | | | | | |
| HERTZ CORP | 48,000 | 103.125 | 49,500.00 | 102.250 | 49,080.00 | -327.20 | 8 02 | In cash account |
| SR NT | | 102.932 | [redacted] | | 2,141.83 | | | Next call on 01/31/2011 |
| DUE 01 JAN 2014 @ 8.875% | | | | | | | | Call price $102.22 |
| ISIN: US428040BZ11 | | | | | | | | Moody's B2 |
| DATED DATE 01 JAN 2007 | | | | | | | | S&P B- |
| HERTZ CORP | 27,000 | 103.125 | 27,843.75 | 102 250 | 27,607.50 | -156.71 | 8.02 | In cash account |
| P/C 01/05/11 @ 102.219000 | | 102 830 | [redacted] | | 1,204.78 | | | |
| DUE 01 JAN 2014 @ 8.875% | | | | | | | | |
| DATED DATE 01 JAN 2007 | | | | | | | | |
| AMERICAN EXPRESS CO | 70,000 | 117.047 | 81,932.90 | 113 707 | 79,594.90 | -1,805 59 | 2 96 | In cash account |
| SR UNSECURED NOTES | | 116 286 | [redacted] | | 577.99 | | | Moody's A3 |
| DUE 20 MAY 2014 @ 7.250% | | | | | | | | S&P BBB+ |
| ISIN: US025816BA65 | | | | | | | | |
| DATED DATE 18 MAY 2009 | | | | | | | | |
| BRINKER INTERNATIONAL INC | 80,000 | 106.144 | 84,915 45 | 105.100 | 84,080 00 | -556 11 | 4.13 | In cash account |
| DUE 01 JUN 2014 @ 5.750% | | 105.795 | [redacted] | | 383 33 | | | Moody's Ba2 |
| ISIN: US109641AE08 | | | | | | | | S&P BBB- |
| DATED DATE 14 MAY 2004 | | | | | | | | |
| COVENTRY HEALTH CARE INC | 35,000 | 106.875 | 37,406.25 | 105.162 | 36,806.70 | -400.68 | 4.73 | In cash account |
| SR NTS | | 106.307 | [redacted] | | 833 00 | | | Moody's Ba1 |
| DUE 15 AUG 2014 @ 6 300% | | | | | | | | S&P BBB- |
| ISIN: US222862AH73 | | | | | | | | |
| DATED DATE 27 AUG 2007 | | | | | | | | |

Fixed Income

| Corporate bonds | Par | Unit cost / Adj. unit cost | Total cost / Adj. total cost | Market price | Market value / Accrued Interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| QWEST CORP | 70,000 | 113.625 | 79,537 50 | 112.534 | 78,773.80 | -243 81 | 3 87 | In cash account |
| NT | | 112.882 | [redacted] | | 1,312.50 | | | Moody's Baa3 |
| DUE 01 OCT 2014 @ 7.500% | | | | | | | | S&P BBB- |
| ISIN: US74913GAG01 | | | | | | | | |
| DATED DATE 08 AUG 2006 | | | | | | | | |
| CA INC | 40,000 | 112.465 | 44,986 00 | 109.090 | 43,636.00 | -1,022 48 | 3.61 | In cash account |
| SR NT | | 111.646 | [redacted] | | 204.17 | | | Moody's Baa2 |
| DUE 01 DEC 2014 @ 6.125% | | | | | | | | S&P BBB |
| ISIN: US12673PAB13 | | | | | | | | |
| DATED DATE 18 NOV 2004 | | | | | | | | |
| AVNET INC | 55,000 | 109.722 | 60,346.90 | 107.488 | 59,118.40 | -942.99 | 4 21 | In cash account |
| NT | | 109.203 | [redacted] | | 1,100.00 | | | Moody's Baa3 |
| DUE 01 SEP 2015 @ 6 000% | | | | | | | | S&P BBB- |
| ISIN: US053807AM57 | | | | | | | | |
| DATED DATE 19 AUG 2005 | | | | | | | | |
| L-3 COMMUNICATIONS CORP SR SB | 80,000 | 103.313 | 82,650.00 | 103 000 | 82,400.00 | -146 32 | 5.65 | In cash account |
| NT6.375%15 | | 103.183 | [redacted] | | 1,076 67 | | | Next call on 01/31/2011 |
| DUE 15 OCT 2015 @ 6 375% | | | | | | | | Call price $103.19 |
| ISIN: US502413AU18 | | | | | | | | Moody's Ba1 |
| DATED DATE 15 OCT 2005 | | | | | | | | S&P BB+ |
| FORTUNE BRANDS INC | 75,000 | 107.325 | 80,493 50 | 102.706 | 77,029.50 | -3,201.42 | 4.76 | In cash account |
| NT | | 106.975 | [redacted] | | 1,858 85 | | | Moody's Baa3 |
| DUE 15 JAN 2016 @ 5 375% | | | | | | | | S&P BBB- |
| ISIN: US349631AL52 | | | | | | | | |
| DATED DATE 12 JAN 2006 | | | | | | | | |
| OMNICOM GROUP INC | 70,000 | 115.363 | 80,754.00 | 111.164 | 77,814.80 | -2,528.10 | 3.56 | In cash account |
| SR DEBT SECS | | 114.776 | [redacted] | | 871.89 | | | Moody's Baa1 |
| DUE 15 APR 2016 @ 5.900% | | | | | | | | S&P BBB+ |
| ISIN: US681919AS54 | | | | | | | | |
| DATED DATE 29 MAR 2006 | | | | | | | | |
| SUPERVALU INC | 80,000 | 101 094 | 80,875 00 | 96 500 | 77,200 00 | -3,650.28 | 8.83 | In cash account |
| SR NTS | | 101 063 | [redacted] | | 1,066 67 | | | Moody's B2 |
| DUE 01 MAY 2016 @ 8.000% | | | | | | | | S&P B+ |
| ISIN: US868536AT00 | | | | | | | | |
| DATED DATE 07 MAY 2009 | | | | | | | | |
| HUMANA INC | 40,000 | 110.590 | 44,236.00 | 108.956 | 43,582.40 | -426 76 | 4.56 | In cash account |
| SR NT | | 110.023 | [redacted] | | 215 00 | | | Moody's Baa3 |
| DUE 01 JUN 2016 @ 6.450% | | | | | | | | S&P BBB- |
| ISIN: US444859AV47 | | | | | | | | |
| DATED DATE 31 MAY 2006 | | | | | | | | |
| AVNET INC | 15,000 | 113 625 | 17,043.75 | 110.242 | 16,536.30 | -463 10 | 4 56 | In cash account |
| SR NTS | | 113.329 | [redacted] | | 292 60 | | | Moody's Baa3 |
| DUE 15 SEP 2016 @ 6.625% | | | | | | | | S&P BBB- |
| ISIN: US053807AN31 | | | | | | | | |
| DATED DATE 12 SEP 2006 | | | | | | | | |

**Fixed Income**

| Corporate bonds | Par | Unit cost / Adj unit cost | Total cost / Adj total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| SEAGATE TECHNOLOGY HDD HLDGS<br>SR NT<br>DUE 01 OCT 2016 @ 6 800%<br>ISIN: US81180RAE27<br>DATED DATE 20 SEP 2006 | 80,000 | 100.500<br>100.496 | 80,400.00<br>[redacted] | 100 500 | 80,400.00<br>1,360 00 | 2 99 | 6.69 | In cash account<br>Moody's Ba1<br>S&P BB+ |
| MASCO CORP<br>DUE 03 OCT 2016 @ 6 125%<br>ISIN: US574599BD70<br>DATED DATE 03 OCT 2006 | 80,000 | 101.750<br>101.704 | 81,400 00<br>[redacted] | 102.197 | 81,757.60<br>1,197.78 | 394.73 | 5.67 | In cash account<br>Moody's Ba2<br>S&P BBB |
| SPRINT NEXTEL CORP<br>DUE 01 DEC 2016 @ 6 000%<br>ISIN: US852061AD21<br>DATED DATE 20 NOV 2006 | 80,000 | 96 425<br>96.582 | 77,140 00<br>[redacted] | 96 625 | 77,300.00<br>400.00 | 34.76 | 6.70 | In cash account<br>Moody's Ba3<br>S&P BB- |
| DONNELLEY R R & SONS CO<br>NTS<br>DUE 15 JAN 2017 @ 6.125%<br>ISIN: US257867AT88<br>DATED DATE 08 JAN 2007 | 75,000 | 104.137<br>104.000 | 78,102.95<br>[redacted] | 102.000 | 76,500.00<br>2,118.23 | -1,500.07 | 5.73 | In cash account<br>Moody's Baa3<br>S&P BBB |
| WILLIS NORTH AMER INC<br>GTD SR NT<br>DUE 28 MAR 2017 @ 6.200%<br>ISIN: US970648AD31<br>DATED DATE 28 MAR 2007 | 45,000 | 106.241<br>105.998 | 47,808.45<br>[redacted] | 102 208 | 45,993.73<br>720.75 | -1,705.29 | 5.77 | In cash account<br>Moody's Baa3<br>S&P BBB- |
| INTERPUBLIC GROUP COS INC<br>SR NT<br>DUE 15 JUL 2017 @ 10.000%<br>ISIN: US460690BF60<br>DATED DATE 15 JUN 2009 | 70,000 | 115.857<br>115.473 | 81,100 00<br>[redacted] | 117.000 | 81,900.00<br>3,227.78 | 1,068.72 | 6 74 | In cash account<br>Next call on 07/15/2013<br>Call price $105.00<br>Moody's Ba2<br>S&P BB |
| LIMITED BRANDS INC<br>NOTES<br>DUE 15 JUL 2017 @ 6.900%<br>ISIN· US532716AM92<br>DATED DATE 17 JUL 2007 | 75,000 | 108.167<br>108.010 | 81,125.00<br>[redacted] | 106.250 | 79,687.50<br>2,386 25 | -1,320.23 | 5.74 | In cash account<br>Moody's Ba3<br>S&P BB |
| FISERV INC SR NT 6.8%17<br>DUE 20 NOV 2017 @ 6.800%<br>ISIN: US337738AG31<br>DATED DATE 20 NOV 2007 | 80,000 | 114.518<br>114.140 | 91,614.60<br>[redacted] | 111.890 | 89,512.00<br>619 56 | -1,800.08 | 4.75 | In cash account<br>Moody's Baa2<br>S&P BBB- |
| HUMANA INC<br>DUE 01 AUG 2018 @ 6.300%<br>ISIN: US444859AU63<br>DATED DATE 05 AUG 2003 | 30,000 | 108.847<br>108.677 | 32,654.10<br>[redacted] | 107.439 | 32,231.70<br>787.50 | -371.31 | 5.10 | In cash account<br>Moody's Baa3<br>S&P BBB- |
| ALTRIA GROUP INC<br>DUE 10 NOV 2018 @ 9.700%<br>ISIN US02209SAD53<br>DATED DATE 10 NOV 2008 | 60,000 | 134.297<br>133 475 | 80,577.90<br>[redacted] | 131.923 | 79,153.80<br>824 50 | -931.06 | 4 78 | In cash account<br>Moody's Baa1<br>S&P BBB |

BARCLAYS WEALTH

**Premier client account**
**834-60565**

**SWARTZ FOUNDATION**
December 1 - December 31, 2010



**Fixed Income**

| Corporate bonds | Par | Unit cost / Adj. unit cost | Total cost / Adj. total cost | Market price | Market value / Accrued interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| VALMONT INDS INC | 80,000 | 103.500 | 82,800.00 | 104.339 | 83,471.86 | 683.46 | 6 01 | In cash account |
| SR NT | | 103.485 | [redacted] | | 1,045 28 | | | Moody's Ba1 |
| DUE 20 APR 2020 @ 6.625% | | | | | | | | S&P BBB- |
| ISIN: US920253AD32 | | | | | | | | |
| DATED DATE 12 APR 2010 | | | | | | | | |
| NEWELL RUBBERMAID INC | 75,000 | 101.019 | 75,764.10 | 98.823 | 74,117.25 | -1,623.86 | 4.85 | In cash account |
| NT | | 100.988 | [redacted] | | 1,380.62 | | | Int rate eff: 02/15/2011 |
| DUE 15 AUG 2020 @ 4.700% | | | | | | | | Moody's Baa3 |
| ISIN: US651229AK27 | | | | | | | | S&P BBB- |
| DATED DATE 10 AUG 2010 | | | | | | | | |
| Total USD Corporate bonds | | | | | $ 1,873,385.74 | -$ 23,489.72 | | |
| | | | | | $ 32,108.75 | | | |

| International bonds | Par | Unit cost / Adj. unit cost | Total cost / Adj total cost | Market price | Market value / Accrued Interest | Unrealized gain/loss | Yield-to-maturity(%) | Comment |
|---|---|---|---|---|---|---|---|---|
| ***TYCO ELECTRONICS GROUP S A | 40,000 | $ 116.148 | $ 46,459.20 | 113.641 | $ 45,456 40 | -$ 1,002.80 | 4.21 | In cash account |
| SR NT | | 116.148 | [redacted] | | 655 00 | | | Moody's Baa2 |
| DUE 01 OCT 2017 @ 6.550% | | | | | | | | S&P BBB |
| ISIN: US902133AF42 | | | | | | | | |
| DATED DATE 01 APR 2008 | | | | | | | | |

| | | Market value (USD) / Accrued int (USD) | Unrealized g/l (USD) |
|---|---|---|---|
| **Total Fixed Income** | 1,948,323.55 | $ 1,918,842.14 | - $ 24,492.52 |
| | | $ 32,763.75 | |
| | | $ 1,951,605.89 | |

## HOLDINGS

*In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding*
*Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.*

## Equities

*Your statement contains research ratings for companies covered by Barclays Capital Equity Research. Clients may access Barclays Capital research at www.barclayswealthamericas.com or by calling 1-800-253-4626. A complete description of Barclays Capital ratings may be found on Page 2 of your statement.*

*Note: Trade price may include any applicable local taxes and fees.*

| **Common stocks**(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est. ann. yield (%) | Est annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| ***INGERSOLL RAND PLC (IR) | 1,500 | $ 39 91 | $ 59,866.20 | $ 47 090 | $ 70,635.00 | $ 10,768.80 | 0.595 | 420.00 | In cash account Barclays: 2-E/POS |
| ***TYCO INTERNATIONAL LTD (TYC) | 1,800 | 38 80 | 69,840 00 | 41.440 | 74,592.00 | 4,752 00 | 2.027 | 1,512 00 | In cash account Barclays· 2-E/POS |
| ABBOTT LABORATORIES (ABT) | 1,000 | 52 99 | 52,990.00 | 47.910 | 47,910.00 | - 5,080.00 | 3.674 | 1,760.00 | In cash account Barclays: 1-O/POS |
| AMERICAN EXPRESS COMPANY (AXP) | 1,500 | 39.50 | 59,248.05 | 42.920 | 64,380 00 | 5,131.95 | 1.678 | 1,080 00 | In cash account Barclays 1-O/NEU |
| APPLE INC (AAPL) | 200 | 310 30 | 62,059.00 | 322.560 | 64,512 00 | 2,453 00 | | | In cash account Barclays· 1-O/POS |
| CME GROUP INC (CME) | 175 | 282.39 | 49,417.50 | 321.750 | 56,306 25 | 6,888.75 | 1.430 | 805 00 | In cash account Barclays: 2-E/NEU |
| CHEVRON CORPORATION (CVX) | 600 | 85 06 | 51,036.00 | 91.250 | 54,750.00 | 3,714.00 | 3.156 | 1,728 00 | In cash account Barclays 1-O/POS |
| CHURCH & DWIGHT CO INC (CHD) | 800 | 67.88 | 54,300.00 | 69.020 | 55,216.00 | 916.00 | 0.985 | 544 00 | In cash account Barclays. 2-E/POS |
| CISCO SYSTEMS INC (CSCO) | 2,200 | 23.74 | 52,228.00 | 20.230 | 44,506.00 | - 7,722.00 | | | In cash account Barclays: 2-E/NEU |
| DANAHER CORP (DHR) | 1,200 | 43 18 | 51,816 00 | 47.170 | 56,604.00 | 4,788.00 | 0.170 | 96 00 | In cash account Barclays: 1-O/POS |
| EOG RES INC (EOG) | 450 | 97 57 | 43,906 50 | 91 410 | 41,134.50 | - 2,772.00 | 0 678 | 279 00 | In cash account Barclays 1-O/NEU |
| EXPRESS SCRIPTS INC COMMON (ESRX) | 900 | 49.37 | 44,430 03 | 54.050 | 48,645 00 | 4,214.97 | | | In cash account Barclays: 1-O/NEU |
| FISERV INC (FISV) | 750 | 55.60 | 41,701 50 | 58.560 | 43,920.00 | 2,218.50 | | | In cash account Barclays: 2-E/NEU |
| INTERNATIONAL BUSINESS (IBM) MACHINES CORP | 300 | 140.41 | 42,123 00 | 146.760 | 44,028.00 | 1,905.00 | 1.772 | 780.00 | In cash account Barclays. 2-E/POS |
| JPMORGAN CHASE & CO (JPM) FORMERLY J P MORGAN CHASE AND CO | 2,000 | 37 41 | 74,820.00 | 42.420 | 84,840 00 | 10,020 00 | 0.471 | 400.00 | In cash account Barclays: 1-O/POS |

**Equities**

| Common stocks(Symbol) | Quantity | Unit cost | Total cost | Market price | Market value | Unrealized gain/loss | Est ann. yield (%) | Est. annual income ($) | Comment / Research rating |
|---|---|---|---|---|---|---|---|---|---|
| LENNAR CORP (LEN) CL A | 3,600 | 14 98 | 53,926.56 | 18 750 | 67,500.00 | 13,573.44 | 0.853 | 576.00 | In cash account Barclays: 1-O/POS |
| MCDONALDS CORP (MCD) | 850 | 78.82 | 67,000 82 | 76.760 | 65,246.00 | - 1,754.82 | 3.179 | 2,074.00 | In cash account Barclays: 1-O/NEU |
| MEDNAX INC (MD) | 750 | 57.26 | 42,947 48 | 67.290 | 50,467.50 | 7,520 02 | | | In cash account |
| METLIFE INC (MET) | 1,800 | 40.38 | 72,675.00 | 44.440 | 79,992.00 | 7,317.00 | 1.665 | 1,332.00 | In cash account Barclays: 1-O/POS |
| MOODYS CORP (MCO) | 2,000 | 26.66 | 53,320.00 | 26.540 | 53,080.00 | - 240.00 | 1.733 | 920.00 | In cash account |
| ***NESTLE SA-SPONSORED ADR (NSRGY) REPSTG REGD ORD (SF 10 PAR) | 800 | 54.75 | 43,800.00 | 58.738 | 46,990.40 | 3,190.40 | 1.527 | 717.60 | In cash account |
| OCCIDENTAL PETE CORP (OXY) | 700 | 80.86 | 56,602.00 | 98.100 | 68,670.00 | 12,068.00 | 1.549 | 1,064.00 | In cash account Barclays: 1-O/NEU |
| OMNICOM GROUP INC (OMC) | 1,200 | 43.36 | 52,032 00 | 45.800 | 54,960.00 | 2,928 00 | 1 747 | 960 00 | In cash account |
| ORACLE CORP (ORCL) | 1,700 | 29 34 | 49,874.00 | 31.300 | 53,210.00 | 3,336.00 | 0.639 | 340.00 | In cash account Barclays: 1-O/POS |
| ***SCHLUMBERGER LTD (SLB) | 800 | 69.15 | 55,320.00 | 83.500 | 66,800.00 | 11,480.00 | 1 006 | 672.00 | In cash account Barclays: 1-O/POS |
| ***TEVA PHARMACEUTICAL (TEVA) INDUSTRIES LTD-ADR | 1,425 | 52 69 | 75,085 40 | 52.130 | 74,285.25 | - 800.15 | 1 279 | 950 48 | In cash account Barclays: 1-O/NEU |
| Total USD Common stocks | | | 1,432,365.04 | | $ 1,533,179.90 | $ 100,814.86 | | $ 19,010.08 | |
| **Total Equities** | | | | | **$ 1,533,179.90** | **$ 100,814.86** | | **$ 19,010.08** | |