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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 , 2010, and ending , 20**

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

Name of foundation: HAROLD BROOKS FOUNDATION

A Employer identification number: 04-6043983

Number and street (or P O box number if mail is not delivered to street address): P O BOX 1802

Room/suite

B Telephone number (see page 10 of the instructions): ( ) -

City or town, state, and ZIP code: PROVIDENCE, RI 02901-1802

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)* ▶ $ 9,609,016.

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) (see page 11 of the instructions))*

| | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| Revenue | 1 Contributions, gifts, grants, etc , received (attach schedule) | | | | |
| | 2 Check ▶ [X] if the foundation is **not** required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | | | | |
| | 4 Dividends and interest from securities | 232,472. | 232,304. | | STMT 1 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 464,634. | | | |
| | b Gross sales price for all assets on line 6a 7,544,044. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 464,634. | | |
| | 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) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | 211. | 15,240. | | STMT 7 |
| | 12 **Total.** Add lines 1 through 11 | 697,317. | 712,178. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 57,911. | 34,746. | | 23,164. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) STMT 8 | 2,119. | 1,184. | NONE | 935. |
| | c Other professional fees (attach schedule) | | | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see page 14 of the instructions) STMT 9 | 13,469. | 2,918. | | |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) STMT 10 | 125. | 4,995. | | 125. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 73,624. | 43,843. | NONE | 24,224. |
| | 25 Contributions, gifts, grants paid | 447,500. | | | 447,500. |
| | 26 Total expenses and disbursements Add lines 24 and 25 | 521,124. | 43,843. | NONE | 471,724. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | 176,193. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 668,335. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | | |

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**For Paperwork Reduction Act Notice, see page 30 of the instructions.** JSA Form **990-PF** (2010)

| Part II Balance Sheets — Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions) | Beginning of year (a) Book Value | End of year (b) Book Value | (c) Fair Market Value |
|---|---|---|---|
| **Assets** | | | |
| 1 Cash - non-interest-bearing | NONE | NONE | |
| 2 Savings and temporary cash investments | 267,671. | 277,337. | 277,337. |
| 3 Accounts receivable ▶ | | | |
| Less: allowance for doubtful accounts ▶ | | | |
| 4 Pledges receivable ▶ | | | |
| Less: allowance for doubtful accounts ▶ | | | |
| 5 Grants receivable | | | |
| 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions) | | | |
| 7 Other notes and loans receivable (attach schedule) ▶ * | | * NONE | |
| Less: allowance for doubtful accounts ▶ | NONE | NONE | NONE |
| 8 Inventories for sale or use | | | |
| 9 Prepaid expenses and deferred charges | | | |
| 10 a Investments - U S and state government obligations (attach schedule) | 491,363. | 446,647. | 493,456. |
| b Investments - corporate stock (attach schedule) | 7,964,776. | 8,216,650. | 8,647,982. |
| c Investments - corporate bonds (attach schedule) | 112,715. | 89,430. | 93,228. |
| 11 Investments - land, buildings, and equipment basis ▶ NONE | | | |
| Less: accumulated depreciation (attach schedule) ▶ | NONE | NONE | |
| 12 Investments - mortgage loans | NONE | NONE | |
| 13 Investments - other (attach schedule) | NONE | NONE | 97,013. |
| 14 Land, buildings, and equipment basis ▶ | | | |
| Less: accumulated depreciation (attach schedule) ▶ | | | |
| 15 Other assets (describe ▶ ) | NONE | NONE | NONE |
| 16 **Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I) | 8,836,525. | 9,030,064. | 9,609,016. |
| **Liabilities** | | | |
| 17 Accounts payable and accrued expenses | | | |
| 18 Grants payable | | | |
| 19 Deferred revenue | | | |
| 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| 21 Mortgages and other notes payable (attach schedule) | | | |
| 22 Other liabilities (describe ▶ ) | | | |
| 23 **Total liabilities** (add lines 17 through 22) | | | |
| **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. ▶ [X]** | | | |
| 27 Capital stock, trust principal, or current funds | 8,836,525. | 9,030,064. | |
| 28 Paid-in or capital surplus, or land, bldg, and equipment fund | | | |
| 29 Retained earnings, accumulated income, endowment, or other funds | NONE | NONE | |
| 30 **Total net assets or fund balances** (see page 17 of the instructions) | 8,836,525. | 9,030,064. | |
| 31 **Total liabilities and net assets/fund balances** (see page 17 of the instructions) | 8,836,525. | 9,030,064. | |

## 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 | 8,836,525. |
| 2 Enter amount from Part I, line 27a | 2 | 176,193. |
| 3 Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 11 | 3 | 18,259. |
| 4 Add lines 1, 2, and 3 | 4 | 9,030,977. |
| 5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 12 | 5 | 913. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 9,030,064. |

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

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

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

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

| | | | |
|---|---|---|---|
| 2 Capital gain net income or (net capital loss) | { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } | 2 | 464,634. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions). If (loss), enter -0- in Part I, line 8 | | 3 | |

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

1 Enter the appropriate amount in each column for each year; see page 18 of the instructions before making any entries.

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2009 | 624,999. | 8,229,453. | 0.07594660301 |
| 2008 | 320,235. | 9,549,585. | 0.03353391797 |
| 2007 | 602,128. | 10,831,286. | 0.05559155210 |
| 2006 | 527,082. | 10,260,534. | 0.05136984098 |
| 2005 | 560,222. | 9,696,182. | 0.05777758710 |

| | | |
|---|---|---|
| 2 **Total** of line 1, column (d) | 2 | 0.27421950116 |
| 3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.05484390023 |
| 4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5 | 4 | 8,980,404. |
| 5 Multiply line 4 by line 3 | 5 | 492,520. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 6,683. |
| 7 Add lines 5 and 6 | 7 | 499,203. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 471,724. |

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions on page 18.

## Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see page 18 of the instructions)

| | | | |
|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ______ (attach copy of ruling letter if necessary - see instructions) | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b | 1 | 13,367. |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 2 | |
| 3 | Add lines 1 and 2 | 3 | 13,367. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 4 | NONE |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | 5 | 13,367. |
| 6 | Credits/Payments: | | |
| a | 2010 estimated tax payments and 2009 overpayment credited to 2010 — 6a: 12,667. | | |
| b | Exempt foreign organizations-tax withheld at source — 6b: NONE | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c: 1,000. | | |
| d | Backup withholding erroneously withheld — 6d: | | |
| 7 | Total credits and payments. Add lines 6a through 6d | 7 | 13,667. |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | 10 | 300. |
| 11 | Enter the amount of line 10 to be: **Credited to 2011 estimated tax** ▶ 300. **Refunded** ▶ | 11 | |

## 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 $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? | 1b | | X |
| | *If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ▶$ ______ (2) On foundation managers ▶ $ ______ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ ______ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? *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? | 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 page 19 of the instructions) ▶ STMT 13 | | | |
| 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 on page 27)? *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 page 20 of the 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 ▶ PRIVATE BANK TAX SERVICES Telephone no. ▶ (401)278-6825

Located at ▶ P.O. BOX 1802, PROVIDENCE, RI ZIP + 4 ▶ 02901-1802

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

| | | | Yes | No |
|---|---|---|---|---|
| 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 page 22 of the instructions.) | 2b | | X |
| 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.)* | 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)? (see page 22 of the instructions) ☐ Yes ☒ No

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

b If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? **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? ☐ 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** No: 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? **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 (see page 22 of the instructions).**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| SEE STATEMENT 14 | | 57,911. | -0- | -0- |
| | | | | |
| | | | | |
| | | | | |

**2 Compensation of five highest-paid employees (other than those included on line 1 - see page 23 of the instructions). If none, enter "NONE."**

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

**Total** number of other employees paid over $50,000 ▶ NONE

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

**3 Five highest-paid independent contractors for professional services (see page 23 of the instructions). If none, enter "NONE."**

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| NONE | | NONE |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | NONE |

**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 NONE | |
| 2 | |
| 3 | |
| 4 | |

**Part IX-B** **Summary of Program-Related Investments** (see page 24 of the instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 NONE | |
| 2 | |
| All other program-related investments See page 24 of the instructions<br>3 NONE | |
| **Total.** Add lines 1 through 3 ▶ | |

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | |
| a | Average monthly fair market value of securities | 1a | 8,756,859. |
| b | Average of monthly cash balances | 1b | 360,302. |
| c | Fair market value of all other assets (see page 25 of the instructions) | 1c | NONE |
| d | **Total** (add lines 1a, b, and c) | 1d | 9,117,161. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | NONE |
| 3 | Subtract line 2 from line 1d | 3 | 9,117,161. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions) | 4 | 136,757. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 8,980,404. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 449,020. |

## ~~Part XI Distributable Amount~~ (see page 25 of the instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

| | | | | | |
|---|---|---|---|---|---|
| 1 | Minimum investment return from Part X, line 6 | | | 1 | 449,020. |
| 2a | Tax on investment income for 2010 from Part VI, line 5 | 2a | 13,367. | | |
| b | Income tax for 2010. (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 13,367. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 435,653. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | NONE |
| 5 | Add lines 3 and 4 | | | 5 | 435,653. |
| 6 | Deduction from distributable amount (see page 25 of the instructions) | | | 6 | NONE |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | | 7 | 435,653. |

## Part XII Qualifying Distributions (see page 25 of the instructions)

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes | | |
| a | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 | 1a | 471,724. |
| b | Program-related investments - total from Part IX-B | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | NONE |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | NONE |
| b | Cash distribution test (attach the required schedule) | 3b | NONE |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 471,724. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see page 26 of the instructions) | 5 | N/A |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 471,724. |

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

**Part XIII Undistributed Income** (see page 26 of the instructions)

| | | (a) Corpus | (b) Years prior to 2009 | (c) 2009 | (d) 2010 |
|---|---|---|---|---|---|
| **1** Distributable amount for 2010 from Part XI, line 7 | | | | | 435,653. |
| **2** Undistributed income, if any, as of the end of 2010: | | | | | |
| a Enter amount for 2009 only | | | | NONE | |
| b Total for prior years: 20____,20____, 20____ | | | NONE | | |
| **3** Excess distributions carryover, if any, to 2010: | | | | | |
| a From 2005 | NONE | | | | |
| b From 2006 | NONE | | | | |
| c From 2007 | 70,774. | | | | |
| d From 2008 | NONE | | | | |
| e From 2009 | 217,752. | | | | |
| f **Total** of lines 3a through e | | 288,526. | | | |
| **4** Qualifying distributions for 2010 from Part XII, line 4: ▶ $ 471,724. | | | | | |
| a Applied to 2009, but not more than line 2a | | | | NONE | |
| b Applied to undistributed income of prior years (Election required - see page 26 of the instructions) | | | NONE | | |
| c Treated as distributions out of corpus (Election required - see page 26 of the instructions) | | NONE | | | |
| d Applied to 2010 distributable amount | | | | | 435,653. |
| e Remaining amount distributed out of corpus | | 36,071. | | | |
| **5** Excess distributions carryover applied to 2010 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | | NONE | | | NONE |
| **6** **Enter the net total of each column as indicated below:** | | | | | |
| a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 | | 324,597. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | | NONE | | |
| 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 | | | NONE | | |
| d Subtract line 6c from line 6b. Taxable amount - see page 27 of the instructions | | | NONE | | |
| e Undistributed income for 2009. Subtract line 4a from line 2a. Taxable amount - see page 27 of the instructions | | | | NONE | |
| f Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011 | | | | | NONE |
| **7** Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions) | | NONE | | | |
| **8** Excess distributions carryover from 2005 not applied on line 5 or line 7 (see page 27 of the instructions) | | NONE | | | |
| **9** **Excess distributions carryover to 2011.** Subtract lines 7 and 8 from line 6a | | 324,597. | | | |
| **10** Analysis of line 9 | | | | | |
| a Excess from 2006 | NONE | | | | |
| b Excess from 2007 | 70,774. | | | | |
| c Excess from 2008 | NONE | | | | |
| d Excess from 2009 | 217,752. | | | | |
| e Excess from 2010 | 36,071. | | | | |

**Part XIV Private Operating Foundations** (see page 27 of the instructions and Part VII-A, question 9) NOT APPLICABLE

1a 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 | | | (e) Total |
|---|---|---|---|---|---|
| | (a) 2010 | (b) 2009 | (c) 2008 | (d) 2007 | |
| 2a 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 page 28 of the instructions.)**

1 **Information Regarding Foundation Managers:**

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

N/A

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.

N/A

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

Check here ▶ ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see page 28 of the instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a The name, address, and telephone number of the person to whom applications should be addressed:
SEE STATEMENT 15

b The form in which applications should be submitted and information and materials they should include:
SEE ATTACHED STATEMENT FOR LINE 2

c Any submission deadlines:
SEE ATTACHED STATEMENT FOR LINE 2

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

SEE ATTACHED STATEMENT FOR LINE 2

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, 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 16 | | | | |
| **Total** . . . . . ▶ 3a | | | | 447,500. |
| b *Approved for future payment* | | | | |
| **Total** . . . . . ▶ 3b | | | | |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income (a) Business code | (b) Amount | Excluded by section 512, 513, or 514 (c) Exclusion code | (d) Amount | (e) Related or exempt function income (See page 28 of the instructions.) |
|---|---|---|---|---|---|
| 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 | | | | | |
| 4 Dividends and interest from securities | | | 14 | 232,472. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 464,634. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: a | | | | | |
| b EXCISE TAX REFUND | | | 01 | 211. | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | | | 697,317. | |

13 **Total.** Add line 12, columns (b), (d), and (e) . . . . . 13 697,317.

(See worksheet in line 13 instructions on page 29 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). (See page 29 of the instructions.) |
|---|---|
| | NOT APPLICABLE |

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

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

| | | Yes | No |
|---|---|---|---|
| a Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| (1) Cash | 1a(1) | | X |
| (2) Other assets | 1a(2) | | X |
| b Other transactions: | | | |
| (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| (4) Reimbursement arrangements | 1b(4) | | X |
| (5) Loans or loan guarantees | 1b(5) | | X |
| (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |

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

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

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

**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] 08/15/2011 SVP Tax

Signature of officer or trustee Date Title

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| | | | | |

Firm's name ▶ Firm's EIN ▶

Firm's address ▶

Phone no

**SCHEDULE D (Form 1041)**

Department of the Treasury
Internal Revenue Service

# Capital Gains and Losses

▶ Attach to Form 1041, Form 5227, or Form 990-T. See the Instructions for Schedule D (Form 1041) (also for Form 5227 or Form 990-T, if applicable).

OMB No. 1545-0092

**2010**

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Note:** *Form 5227 filers need to complete **only** Parts I and II.*

## Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

| (a) Description of property (Example: 100 shares 7% preferred of "Z" Co ) | (b) Date acquired (mo, day, yr) | (c) Date sold (mo, day, yr) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) for the entire year Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

| | | |
|---|---|---|
| b Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b | 1b | 145,484. |
| 2 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824 | 2 | |
| 3 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts | 3 | 16,640. |
| 4 Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2009 Capital Loss Carryover Worksheet | 4 | ( ) |
| 5 **Net short-term gain or (loss).** Combine lines 1a through 4 in column (f). Enter here and on line 13, column (3) on the back ▶ | 5 | 162,124. |

## Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

| (a) Description of property (Example: 100 shares 7% preferred of "Z" Co ) | (b) Date acquired (mo, day, yr) | (c) Date sold (mo, day, yr) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) for the entire year Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a LONG-TERM CAPITAL GAIN DIVIDENDS | | STMT 1 | | | 20,628. |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

| | | |
|---|---|---|
| b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b | 6b | 267,912. |
| 7 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824 | 7 | |
| 8 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts | 8 | 13,970. |
| 9 Capital gain distributions | 9 | |
| 10 Gain from Form 4797, Part I | 10 | |
| 11 Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2009 Capital Loss Carryover Worksheet | 11 | ( ) |
| 12 **Net long-term gain or (loss).** Combine lines 6a through 11 in column (f). Enter here and on line 14a, column (3) on the back ▶ | 12 | 302,510. |

## Part III Summary of Parts I and II

**Caution:** *Read the instructions* ***before*** *completing this part.*

| | | | (1) Beneficiaries' (see instr.) | (2) Estate's or trust's | (3) Total |
|---|---|---|---|---|---|
| 13 | **Net short-term gain or (loss)** | 13 | | | 162,124. |
| 14 | **Net long-term gain or (loss):** | | | | |
| a | Total for year | 14a | | | 302,510. |
| b | Unrecaptured section 1250 gain (see line 18 of the wrksht.) | 14b | | | |
| c | 28% rate gain | 14c | | | |
| 15 | **Total net gain or (loss).** Combine lines 13 and 14a ▶ | 15 | | | 464,634. |

**Note:** *If line 15, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a) If lines 14a and 15, column (2), are net gains, go to Part V, and* ***do not*** *complete Part IV. If line 15, column (3), is a net loss, complete Part IV and the* ***Capital Loss Carryover Worksheet,*** *as necessary*

## Part IV Capital Loss Limitation

16 Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the **smaller** of:
a The loss on line 15, column (3) **or** b $3,000 . . . 16 ( )

**Note:** *If the loss on line 15, column (3), is more than $3,000,* ***or*** *if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the* ***Capital Loss Carryover Worksheet*** *on page 7 of the instructions to figure your capital loss carryover.*

## Part V Tax Computation Using Maximum Capital Gains Rates

**Form 1041 filers.** Complete this part **only** if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), **and** Form 1041, line 22, is more than zero.

**Caution:** *Skip this part and complete the worksheet on page 8 of the instructions if:*

- *Either line 14b, col. (2) or line 14c, col. (2) is more than zero, or*
- *Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero.*

**Form 990-T trusts.** Complete this part **only** if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, **and** Form 990-T, line 34, is more than zero. Skip this part and complete the worksheet on page 8 of the instructions if either line 14b, col. (2) or line 14c, col. (2) is more than zero.

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 17 | Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34) | | | 17 | | | |
| 18 | Enter the **smaller** of line 14a or 15 in column (2) but not less than zero | 18 | | | | | |
| 19 | Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T) | 19 | | | | | |
| 20 | Add lines 18 and 19 | 20 | | | | | |
| 21 | If the estate or trust is filing Form 4952, enter the amount from line 4g; otherwise, enter -0- ▶ | 21 | | | | | |
| 22 | Subtract line 21 from line 20. If zero or less, enter -0- | | | 22 | | | |
| 23 | Subtract line 22 from line 17. If zero or less, enter -0- | | | 23 | | | |
| 24 | Enter the **smaller** of the amount on line 17 or $2,300 | | | 24 | | | |
| 25 | Is the amount on line 23 equal to or more than the amount on line 24?<br>☐ **Yes.** Skip lines 25 and 26; go to line 27 and check the "No" box.<br>☐ **No.** Enter the amount from line 23 | | | 25 | | | |
| 26 | Subtract line 25 from line 24 | | | 26 | | | |
| 27 | Are the amounts on lines 22 and 26 the same?<br>☐ **Yes.** Skip lines 27 thru 30, go to line 31 ☐ **No.** Enter the smaller of line 17 or line 22 | | | 27 | | | |
| 28 | Enter the amount from line 26 (If line 26 is blank, enter -0-) | | | 28 | | | |
| 29 | Subtract line 28 from line 27 | | | 29 | | | |
| 30 | Multiply line 29 by 15% (.15) | | | | | 30 | |
| 31 | Figure the tax on the amount on line 23. Use the 2010 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) | | | | | 31 | |
| 32 | Add lines 30 and 31 | | | | | 32 | |
| 33 | Figure the tax on the amount on line 17. Use the 2010 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041) | | | | | 33 | |
| 34 | **Tax on all taxable income.** Enter the **smaller** of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36) | | | | | 34 | |

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).

▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I** Short-Term Capital Gains and Losses - Assets Held One Year or Less

| (a) Description of property (Example: 100 sh. 7% preferred of "Z" Co) | (b) Date acquired (mo, day, yr) | (c) Date sold (mo, day, yr) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 1200. AES CORPORATION | 04/24/2009 | 03/04/2010 | 13,518.00 | 8,258.00 | 5,260.00 |
| 250. ADVANCED AUTO PTS INC COM | 08/11/2009 | 03/04/2010 | 10,438.00 | 11,506.00 | -1,068.00 |
| 225. ADVANCED AUTO PTS INC COM | 09/15/2009 | 03/04/2010 | 9,394.00 | 8,781.00 | 613.00 |
| 900. ALTERA CORPORATION | 07/23/2009 | 03/04/2010 | 21,883.00 | 16,511.00 | 5,372.00 |
| 550. AMERICAN EAGLE OUTFITTERS NEW COM | 05/14/2009 | 03/04/2010 | 9,461.00 | 7,822.00 | 1,639.00 |
| 1350. AMKOR TECHNOLOGY INC COM | 07/23/2009 | 03/04/2010 | 8,417.00 | 7,892.00 | 525.00 |
| 700. ANALOG DEVICES INC | 07/23/2009 | 03/04/2010 | 20,240.00 | 18,666.00 | 1,574.00 |
| 300. BJ'S WHOLESALE CLUB INC | 06/18/2009 | 03/04/2010 | 10,309.00 | 9,669.00 | 640.00 |
| 450. BEST BUY INCORPORATED | 10/09/2009 | 03/04/2010 | 16,657.00 | 17,258.00 | -601.00 |
| 250. BIOGEN IDEC INC | 03/25/2009 | 03/04/2010 | 14,114.00 | 12,954.00 | 1,160.00 |
| 1525. BOSTON SCIENTIFIC CORPORATION | 07/23/2009 | 03/04/2010 | 11,994.00 | 15,593.00 | -3,599.00 |
| 525. BROADCOM CORP CL A | 10/09/2009 | 03/04/2010 | 16,178.00 | 15,001.00 | 1,177.00 |
| 50. CME GROUP INC COM | 10/09/2009 | 03/04/2010 | 15,175.00 | 14,536.00 | 639.00 |
| 300. CAMERON INT'L CORP COM | 04/24/2009 | 03/04/2010 | 12,970.00 | 7,918.00 | 5,052.00 |
| 325. CAMERON INT'L CORP COM | 05/14/2009 | 03/04/2010 | 14,051.00 | 9,134.00 | 4,917.00 |
| 200. CON-WAY INC COM | 09/15/2009 | 03/04/2010 | 6,407.00 | 8,964.00 | -2,557.00 |
| 725. CONOCOPHILLIPS COM | 10/09/2009 | 03/04/2010 | 35,663.00 | 36,601.00 | -938.00 |
| 400. DARDEN RESTAURANTS INC | 07/01/2009 | 03/04/2010 | 16,214.00 | 13,690.00 | 2,524.00 |
| 99. DEAN FOODS CO NEW COM | 04/02/2009 | 03/04/2010 | 1,497.00 | 1,923.00 | -426.00 |
| 426. DEAN FOODS CO NEW COM | 04/02/2009 | 03/04/2010 | 6,441.00 | 8,297.00 | -1,856.00 |
| 425. DEAN FOODS CO NEW COM | 08/11/2009 | 03/04/2010 | 6,426.00 | 7,826.00 | -1,400.00 |
| 275. FEDEX CORP | 10/09/2009 | 03/04/2010 | 23,627.00 | 21,236.00 | 2,391.00 |
| 775. HALLIBURTON CO | 07/01/2009 | 03/04/2010 | 24,300.00 | 16,338.00 | 7,962.00 |
| 225. HERSHEY FOODS CORP | 09/10/2009 | 03/04/2010 | 9,187.00 | 9,058.00 | 129.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I** **Short-Term Capital Gains and Losses - Assets Held One Year or Less**

| (a) Description of property (Example: 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 650. INTERNATIONAL GAME TECHNOLOGY | 05/21/2009 | 03/04/2010 | 11,171.00 | 9,886.00 | 1,285.00 |
| 325. KLA INSTRS CORP | 05/14/2009 | 03/04/2010 | 9,641.00 | 8,319.00 | 1,322.00 |
| 300. KIMBERLY CLARK CORP COM | 10/09/2009 | 03/04/2010 | 17,920.00 | 17,651.00 | 269.00 |
| 875. NCR CORP W/I | 05/14/2009 | 03/04/2010 | 11,076.00 | 9,266.00 | 1,810.00 |
| 175. NAVISTAR INTERNATIONA L CORP NEW | 07/08/2009 | 03/04/2010 | 7,241.00 | 6,621.00 | 620.00 |
| 325. NORFOLK SOUTHERN CORP | 05/14/2009 | 03/04/2010 | 16,920.00 | 11,278.00 | 5,642.00 |
| 275. NORFOLK SOUTHERN CORP | 09/15/2009 | 03/04/2010 | 14,317.00 | 13,421.00 | 896.00 |
| 525. PENNEY J C INC | 08/11/2009 | 03/04/2010 | 15,322.00 | 17,375.00 | -2,053.00 |
| 1025. PFIZER INC | 04/15/2009 | 03/04/2010 | 17,669.00 | 13,712.00 | 3,957.00 |
| 500. PRINCIPAL FINL GROUP INC COM | 07/29/2009 | 03/04/2010 | 11,872.00 | 11,173.00 | 699.00 |
| 550. TD AMERITRADE HLDG CORP COM | 10/09/2009 | 03/04/2010 | 9,512.00 | 11,212.00 | -1,700.00 |
| 200. UNITED STS STL CORP NEW COM | 08/11/2009 | 03/04/2010 | 11,348.00 | 8,615.00 | 2,733.00 |
| 550. ACCENTURE PLC CL A COM | 05/07/2009 | 03/04/2010 | 22,263.00 | 16,588.00 | 5,675.00 |
| 500. NABORS INDUSTRIES INC COM | 05/14/2009 | 03/04/2010 | 11,442.00 | 8,442.00 | 3,000.00 |
| 725. NABORS INDUSTRIES INC COM | 09/03/2009 | 03/04/2010 | 16,591.00 | 12,404.00 | 4,187.00 |
| 1275. WEATHERFORD INTL LTD COM | 10/09/2009 | 03/04/2010 | 21,796.00 | 24,782.00 | -2,986.00 |
| 100. MORGAN STANLEY DEAN WITTER DISCOVER & CO | 04/24/2009 | 03/09/2010 | 2,921.00 | 2,151.00 | 770.00 |
| 575. UNITEDHEALTH GROUP INC | 06/12/2009 | 03/09/2010 | 19,104.00 | 13,854.00 | 5,250.00 |
| 700. WELLS FARGO COMPANY | 04/15/2009 | 03/09/2010 | 20,016.00 | 13,311.00 | 6,705.00 |
| 300. ABBOTT LABORATORIES | 10/09/2009 | 03/24/2010 | 16,144.00 | 15,019.00 | 1,125.00 |
| 150. APOLLO GROUP INC CL A | 04/15/2009 | 03/24/2010 | 9,453.00 | 9,511.00 | -58.00 |
| 100. APOLLO GROUP INC CL A | 09/15/2009 | 03/24/2010 | 6,302.00 | 6,781.00 | -479.00 |
| 325. COMMSCOPE INC | 06/01/2009 | 03/24/2010 | 9,189.00 | 8,891.00 | 298.00 |
| 325. DOVER CORPORATION | 07/29/2009 | 03/24/2010 | 15,166.00 | 10,733.00 | 4,433.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . .

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less**

| (a) Description of property (Example: 100 sh. 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 300. EXXON MOBIL CORPORATION | 03/04/2010 | 03/24/2010 | 19,918.00 | 19,553.00 | 365.00 |
| 50. GOLDMAN SACHS GROUP INC | 06/01/2009 | 03/24/2010 | 8,708.00 | 7,357.00 | 1,351.00 |
| 15. GOLDMAN SACHS GROUP INC | 03/04/2010 | 03/24/2010 | 2,612.00 | 2,423.00 | 189.00 |
| 1375. NEWS CORP CL A | 03/04/2010 | 03/24/2010 | 19,380.00 | 18,668.00 | 712.00 |
| 325. THERMO ELECTRON CORP | 10/09/2009 | 03/24/2010 | 16,393.00 | 14,786.00 | 1,607.00 |
| 350. COOPER INDS PLC NEW COM | 10/09/2009 | 03/24/2010 | 16,356.00 | 13,675.00 | 2,681.00 |
| 450. DOVER CORPORATION | 09/15/2009 | 04/01/2010 | 21,054.00 | 17,120.00 | 3,934.00 |
| 525. MERCK & CO INC NEW COM | 03/04/2010 | 04/01/2010 | 19,719.00 | 19,396.00 | 323.00 |
| 525. QUALCOMM INC | 03/04/2010 | 04/01/2010 | 22,168.00 | 20,331.00 | 1,837.00 |
| 225. TRANSOCEAN LTD COM | 03/09/2010 | 04/01/2010 | 19,931.00 | 19,153.00 | 778.00 |
| 350. AMERICAN EXPRESS CO | 03/04/2010 | 04/08/2010 | 14,803.00 | 13,487.00 | 1,316.00 |
| 275. CABOT OIL & GAS CORP CL A | 04/24/2009 | 04/08/2010 | 10,399.00 | 7,883.00 | 2,516.00 |
| 50. CABOT OIL & GAS CORP CL A | 05/14/2009 | 04/08/2010 | 1,891.00 | 1,580.00 | 311.00 |
| 100. MEDCO HEALTH SOLUTIONS INC | 07/08/2009 | 04/08/2010 | 6,384.00 | 4,714.00 | 1,670.00 |
| 625. OWENS ILL INC | 03/09/2010 | 04/08/2010 | 22,859.00 | 19,178.00 | 3,681.00 |
| 275. STATE STREET CORP | 10/09/2009 | 04/08/2010 | 12,692.00 | 14,978.00 | -2,286.00 |
| 600. TEXAS INSTRS INC | 03/04/2010 | 04/08/2010 | 15,045.00 | 14,541.00 | 504.00 |
| 300. GENERAL DYNAMICS CORP | 03/09/2010 | 04/12/2010 | 23,248.00 | 22,076.00 | 1,172.00 |
| 325. GENERAL MILLS INC | 03/09/2010 | 04/12/2010 | 22,816.00 | 23,540.00 | -724.00 |
| 800. MERCK & CO INC NEW COM | 03/04/2010 | 04/12/2010 | 29,508.00 | 29,556.00 | -48.00 |
| 825. STARBUCKS CORP | 03/09/2010 | 04/12/2010 | 20,200.00 | 19,301.00 | 899.00 |
| 150. STATE STREET CORP | 10/09/2009 | 04/12/2010 | 7,246.00 | 8,170.00 | -924.00 |
| 575. CAREFUSION CORP COM | 10/09/2009 | 04/23/2010 | 16,049.00 | 13,212.00 | 2,837.00 |
| 150. GOLDMAN SACHS GROUP INC | 03/04/2010 | 04/23/2010 | 24,020.00 | 24,230.00 | -210.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less**

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 575. HANESBRANDS INC COM | 03/24/2010 | 04/23/2010 | 17,747.00 | 15,968.00 | 1,779.00 |
| 450. MORGAN STANLEY DEAN WITTER DISCOVER & CO | 04/24/2009 | 04/23/2010 | 14,344.00 | 9,681.00 | 4,663.00 |
| 1075. PFIZER INC | 07/08/2009 | 04/23/2010 | 17,646.00 | 15,862.00 | 1,784.00 |
| 700. STEEL DYNAMICS INC | 08/26/2009 | 04/23/2010 | 11,679.00 | 11,392.00 | 287.00 |
| 475. CISCO SYSTEMS INCORPORATED | 03/04/2010 | 04/28/2010 | 12,818.00 | 11,753.00 | 1,065.00 |
| 175. EOG RESOURCES INC | 03/04/2010 | 04/28/2010 | 19,127.00 | 16,732.00 | 2,395.00 |
| 100. GOLDMAN SACHS GROUP INC | 03/04/2010 | 04/28/2010 | 15,678.00 | 15,678.00 | |
| 225. PRICE T ROWE GROUP INC COM | 03/04/2010 | 04/28/2010 | 12,694.00 | 11,721.00 | 973.00 |
| 350. QUALCOMM INC | 03/04/2010 | 04/28/2010 | 13,543.00 | 13,554.00 | -11.00 |
| 375. US BANCORP DEL COM NEW | 06/01/2009 | 04/28/2010 | 9,932.00 | 7,288.00 | 2,644.00 |
| 200. VERTEX PHARMACEUTICALS INC COM | 07/01/2009 | 04/28/2010 | 7,687.00 | 7,005.00 | 682.00 |
| 950. AMERICAN EXPRESS CO | 03/04/2010 | 05/27/2010 | 37,731.00 | 36,608.00 | 1,123.00 |
| 850. AMERISOURCEBERGEN CORP COM | 08/11/2009 | 05/27/2010 | 26,401.00 | 17,208.00 | 9,193.00 |
| 325. ANADARKO PETROLEUM CORP | 04/01/2010 | 05/27/2010 | 18,461.00 | 24,094.00 | -5,633.00 |
| 600. BAKER HUGHES INCORPORATED | 03/04/2010 | 05/27/2010 | 24,993.00 | 29,780.00 | -4,787.00 |
| 225. CVS CAREMARK CORP COM | 06/18/2009 | 05/27/2010 | 7,723.00 | 6,942.00 | 781.00 |
| 325. COSTCO WHOLESALE CORP | 04/12/2010 | 05/27/2010 | 19,047.00 | 19,680.00 | -633.00 |
| 150. EOG RESOURCES INC | 03/04/2010 | 05/27/2010 | 15,588.00 | 14,341.00 | 1,247.00 |
| 875. EXXON MOBIL CORPORATION | 03/04/2010 | 05/27/2010 | 53,179.00 | 57,028.00 | -3,849.00 |
| 25. FLOWSERVE CORP | 04/08/2010 | 05/27/2010 | 2,437.00 | 2,863.00 | -426.00 |
| 100. FLOWSERVE CORP | 04/08/2010 | 05/27/2010 | 9,748.00 | 9,748.00 | |
| 175. FRANKLIN RES INC COM | 03/04/2010 | 05/27/2010 | 17,257.00 | 18,241.00 | -984.00 |
| 310. GENERAL ELEC CO | 03/04/2010 | 05/27/2010 | 5,123.00 | 4,985.00 | 138.00 |
| 250. ILLINOIS TOOL WORKS INCORPORATED | 03/04/2010 | 05/27/2010 | 11,614.00 | 11,579.00 | 35.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

## Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 1525. NEWS CORP CL A | 03/04/2010 | 05/27/2010 | 20,442.00 | 20,704.00 | -262.00 |
| 750. NOVELLUS SYS INC | 09/03/2009 | 05/27/2010 | 19,089.00 | 14,201.00 | 4,888.00 |
| 175. PEPSICO INCORPORATED | 08/11/2009 | 05/27/2010 | 10,940.00 | 10,018.00 | 922.00 |
| 200. PRICE T ROWE GROUP INC COM | 03/04/2010 | 05/27/2010 | 10,188.00 | 10,418.00 | -230.00 |
| 55. PROCTER & GAMBLE CO COM | 10/09/2009 | 05/27/2010 | 3,347.00 | 3,165.00 | 182.00 |
| 400. RIO TINTO PLC SPONSORED ADR | 03/04/2010 | 05/27/2010 | 18,476.00 | 21,777.00 | -3,301.00 |
| 175. TARGET CORP | 08/11/2009 | 05/27/2010 | 9,546.00 | 7,354.00 | 2,192.00 |
| 250. VIACOM INC CL B COM | 09/10/2009 | 05/27/2010 | 8,378.00 | 6,515.00 | 1,863.00 |
| 750. NOBLE CORP COM | 03/04/2010 | 05/27/2010 | 23,536.00 | 33,026.00 | -9,490.00 |
| 250. TYCO INTL LTD NEW F COM | 06/01/2009 | 05/27/2010 | 9,094.00 | 7,192.00 | 1,902.00 |
| 50. TYCO INTL LTD NEW F COM | 08/11/2009 | 05/27/2010 | 1,819.00 | 1,552.00 | 267.00 |
| 275. CAMERON INT'L CORP COM | 05/27/2010 | 06/02/2010 | 9,076.00 | 10,354.00 | -1,278.00 |
| 375. DIRECTV CL A COM | 04/08/2010 | 06/02/2010 | 14,066.00 | 13,026.00 | 1,040.00 |
| 525. MEDTRONIC INC | 04/12/2010 | 06/02/2010 | 20,352.00 | 23,874.00 | -3,522.00 |
| 650. SPECTRA ENERGY CORP COM | 05/27/2010 | 06/02/2010 | 12,670.00 | 13,046.00 | -376.00 |
| 450. EBAY INC | 06/02/2010 | 06/16/2010 | 10,057.00 | 9,466.00 | 591.00 |
| 775. MASCO CORPORATION | 04/08/2010 | 06/16/2010 | 9,968.00 | 12,264.00 | -2,296.00 |
| 250. PPG INDUSTRIES INC | 10/09/2009 | 06/16/2010 | 16,705.00 | 14,767.00 | 1,938.00 |
| 400. INGERSOLL-RAND CO LTD COM | 04/28/2010 | 06/16/2010 | 15,850.00 | 14,625.00 | 1,225.00 |
| 275. BALLY TECHNOLOGIES INC COM | 05/27/2010 | 06/23/2010 | 10,022.00 | 11,499.00 | -1,477.00 |
| 300. LIFE TECHNOLOGIES CORP COM | 04/28/2010 | 06/23/2010 | 15,229.00 | 16,103.00 | -874.00 |
| 200. MONSANTO CO NEW COM | 06/16/2010 | 06/23/2010 | 9,873.00 | 10,244.00 | -371.00 |
| 375. WATSON PHARMACEUTICALS INC | 04/28/2010 | 06/23/2010 | 16,020.00 | 16,040.00 | -20.00 |
| 450. BROADCOM CORP CL A | 05/27/2010 | 07/07/2010 | 15,419.00 | 15,253.00 | 166.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less**

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co) | (b) Date acquired (mo, day, yr.) | (c) Date sold (mo, day, yr.) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 200. GLOBAL PMTS INC COM | 05/27/2010 | 07/07/2010 | 7,306.00 | 8,451.00 | -1,145.00 |
| 150. KOHLS CORPORATION | 06/16/2010 | 07/07/2010 | 7,201.00 | 7,985.00 | -784.00 |
| 275. LAMAR ADVERTISING CO CL A | 05/27/2010 | 07/07/2010 | 6,782.00 | 8,504.00 | -1,722.00 |
| 175. NEWFIELD EXPL CO COM | 06/02/2010 | 07/07/2010 | 8,724.00 | 8,770.00 | -46.00 |
| 350. NORTHERN TRUST CORPORATION | 05/27/2010 | 07/07/2010 | 16,904.00 | 18,085.00 | -1,181.00 |
| 575. NUANCE COMMUNICATIONS INC | 05/27/2010 | 07/07/2010 | 9,104.00 | 9,712.00 | -608.00 |
| 175. SILICON LABORATORIES INC COM | 06/16/2010 | 07/07/2010 | 7,219.00 | 8,051.00 | -832.00 |
| 800. MARVELL TECHNOLOGY GROUP LTD COM | 04/23/2010 | 07/07/2010 | 12,932.00 | 17,476.00 | -4,544.00 |
| 175. AGRIUM INC | 06/02/2010 | 07/14/2010 | 10,132.00 | 9,454.00 | 678.00 |
| 150. LORILLARD INC COM | 05/27/2010 | 07/14/2010 | 11,156.00 | 10,905.00 | 251.00 |
| 375. NORFOLK SOUTHERN CORP | 04/01/2010 | 07/14/2010 | 20,578.00 | 21,324.00 | -746.00 |
| 250. TEVA PHARMACEUTICAL INDS LTD ADR | 05/27/2010 | 07/14/2010 | 13,607.00 | 13,745.00 | -138.00 |
| 200. CLIFFS NAT RES INC COM | 06/02/2010 | 07/21/2010 | 10,449.00 | 10,407.00 | 42.00 |
| 250. AMAZON COM INC | 03/04/2010 | 07/28/2010 | 29,297.00 | 31,736.00 | -2,439.00 |
| 41.971 FRONTIER COMMUNICATIONS CORP COM | 03/09/2010 | 07/28/2010 | 325.00 | 330.00 | -5.00 |
| 875. GANNETT CO INC | 04/08/2010 | 07/28/2010 | 12,316.00 | 15,212.00 | -2,896.00 |
| 450. RAYMOND JAMES FINANCIAL INCORPORATED | 04/12/2010 | 07/28/2010 | 12,307.00 | 13,081.00 | -774.00 |
| 275. RAYMOND JAMES FINANCIAL INCORPORATED | 06/02/2010 | 07/28/2010 | 7,521.00 | 7,624.00 | -103.00 |
| 975. TEXAS INSTRS INC | 03/04/2010 | 07/28/2010 | 24,740.00 | 23,629.00 | 1,111.00 |
| 1025. UNUMPROVIDENT CORP | 03/09/2010 | 07/28/2010 | 23,139.00 | 22,908.00 | 231.00 |
| 200. WATERS CORP | 05/27/2010 | 07/28/2010 | 13,129.00 | 13,712.00 | -583.00 |
| 525. CVS CAREMARK CORP COM | 06/16/2010 | 08/04/2010 | 16,164.00 | 16,792.00 | -628.00 |
| 375. WAL-MART STORES INCORPORATED | 03/09/2010 | 08/04/2010 | 19,265.00 | 20,427.00 | -1,162.00 |
| 250. WAL-MART STORES INCORPORATED | 04/28/2010 | 08/04/2010 | 12,844.00 | 13,408.00 | -564.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . . .

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
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OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I** Short-Term Capital Gains and Losses - Assets Held One Year or Less

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co) | (b) Date acquired (mo, day, yr) | (c) Date sold (mo, day, yr) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 275. ALPHA NATURAL RESOURCES INC COM | 09/15/2009 | 08/11/2010 | 10,855.00 | 10,182.00 | 673.00 |
| 1835. GENERAL ELEC CO | 03/04/2010 | 08/11/2010 | 29,314.00 | 29,314.00 | |
| 450. AIR PRODUCTS AND CHEMICALS INC | 07/28/2010 | 08/26/2010 | 33,266.00 | 32,637.00 | 629.00 |
| 200. BARD C R INCORPORATED | 06/23/2010 | 08/26/2010 | 15,431.00 | 15,857.00 | -426.00 |
| 325. CHEESECAKE FACTORY INCORPORATED | 06/16/2010 | 08/26/2010 | 7,182.00 | 8,329.00 | -1,147.00 |
| 125. COCA COLA CO COM | 05/27/2010 | 08/26/2010 | 6,926.00 | 6,361.00 | 565.00 |
| 500. CONOCOPHILLIPS COM | 05/27/2010 | 08/26/2010 | 26,822.00 | 25,712.00 | 1,110.00 |
| 825. DISNEY WALT CO | 05/27/2010 | 08/26/2010 | 26,544.00 | 27,963.00 | -1,419.00 |
| 625. GENERAL ELEC CO | 02/18/2010 | 08/26/2010 | 9,100.00 | 10,084.00 | -984.00 |
| 185. GENERAL ELEC CO | 02/18/2010 | 08/26/2010 | 2,694.00 | 2,694.00 | |
| 110. GOLDMAN SACHS GROUP INC | 03/04/2010 | 08/26/2010 | 15,919.00 | 15,919.00 | |
| 65. GOLDMAN SACHS GROUP INC | 04/02/2010 | 08/26/2010 | 9,407.00 | 9,407.00 | |
| 350. HALLIBURTON CO | 06/16/2010 | 08/26/2010 | 9,875.00 | 9,193.00 | 682.00 |
| 275. HONEYWELL INTERNATIONAL INC | 09/03/2009 | 08/26/2010 | 10,751.00 | 9,885.00 | 866.00 |
| 175. HONEYWELL INTERNATIONAL INC | 06/16/2010 | 08/26/2010 | 6,842.00 | 7,496.00 | -654.00 |
| 575. ILLINOIS TOOL WORKS INCORPORATED | 03/04/2010 | 08/26/2010 | 23,790.00 | 26,631.00 | -2,841.00 |
| 875. J P MORGAN CHASE & CO COM | 03/04/2010 | 08/26/2010 | 31,836.00 | 36,641.00 | -4,805.00 |
| 125. M & T BANK CORPORATION | 04/28/2010 | 08/26/2010 | 10,877.00 | 10,663.00 | 214.00 |
| 1050. PFIZER INC | 05/27/2010 | 08/26/2010 | 16,794.00 | 16,128.00 | 666.00 |
| 225. ST JUDE MEDICAL INCORPORATED | 03/09/2010 | 08/26/2010 | 7,892.00 | 8,691.00 | -799.00 |
| 375. UNITED PARCEL SERVICE CL B | 10/09/2009 | 08/26/2010 | 23,840.00 | 20,916.00 | 2,924.00 |
| 200. ABBOTT LABORATORIES | 10/09/2009 | 09/02/2010 | 10,051.00 | 10,013.00 | 38.00 |
| 100. ABBOTT LABORATORIES | 03/04/2010 | 09/02/2010 | 5,025.00 | 5,025.00 | |
| 185. GENERAL ELEC CO | 01/20/2010 | 09/02/2010 | 2,774.00 | 3,257.00 | -483.00 |

**1b Total.** Combine the amounts in column (f) Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
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OMB No. 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I** **Short-Term Capital Gains and Losses - Assets Held One Year or Less**

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co) | (b) Date acquired (mo, day, yr) | (c) Date sold (mo, day, yr) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 1025. GENERAL ELEC CO | 02/18/2010 | 09/02/2010 | 15,370.00 | 16,538.00 | -1,168.00 |
| 1440. GENERAL ELEC CO | 03/04/2010 | 09/02/2010 | 21,592.00 | 23,154.00 | -1,562.00 |
| 410. GENERAL ELEC CO | 06/02/2010 | 09/02/2010 | 6,148.00 | 6,628.00 | -480.00 |
| 425. LAM RESEARCH CORP | 03/24/2010 | 09/02/2010 | 15,874.00 | 15,479.00 | 395.00 |
| 475. LOWES COMPANIES INCORPORATED | 04/12/2010 | 09/02/2010 | 10,439.00 | 12,126.00 | -1,687.00 |
| 900. NATIONAL SEMICONDUCTO R CORP | 08/26/2010 | 09/02/2010 | 11,731.00 | 11,687.00 | 44.00 |
| 300. ST JUDE MEDICAL INCORPORATED | 03/09/2010 | 09/02/2010 | 10,585.00 | 11,588.00 | -1,003.00 |
| 300. WAL-MART STORES INCORPORATED | 05/27/2010 | 09/02/2010 | 15,433.00 | 15,138.00 | 295.00 |
| 750. MARVELL TECHNOLOGY GROUP LTD COM | 08/26/2010 | 09/02/2010 | 12,349.00 | 12,521.00 | -172.00 |
| 475. XL GROUP PLC COM | 06/16/2010 | 09/02/2010 | 8,894.00 | 8,514.00 | 380.00 |
| 500. CORNING INC | 03/24/2010 | 09/16/2010 | 8,482.00 | 9,742.00 | -1,260.00 |
| 125. DEVON ENERGY CORPORATION | 05/27/2010 | 09/16/2010 | 7,754.00 | 7,753.00 | 1.00 |
| 225. FAMILY DLR STORES INC | 08/26/2010 | 09/16/2010 | 9,650.00 | 9,651.00 | -1.00 |
| 100. GREENHILL & CO INC COM | 06/16/2010 | 09/16/2010 | 7,894.00 | 6,484.00 | 1,410.00 |
| 200. JOY GLOBAL INC 00 | 04/08/2010 | 09/16/2010 | 13,289.00 | 11,727.00 | 1,562.00 |
| 200. KOHLS CORPORATION | 08/26/2010 | 09/16/2010 | 10,095.00 | 9,529.00 | 566.00 |
| 250. LAS VEGAS SANDS CORP | 06/02/2010 | 09/16/2010 | 8,036.00 | 5,925.00 | 2,111.00 |
| 1125. PFIZER INC | 05/27/2010 | 09/16/2010 | 19,288.00 | 17,280.00 | 2,008.00 |
| 500. PFIZER INC | 06/16/2010 | 09/16/2010 | 8,572.00 | 7,735.00 | 837.00 |
| 120. PHILIP MORRIS INTL INC COM | 05/27/2010 | 09/16/2010 | 6,597.00 | 5,365.00 | 1,232.00 |
| 300. SILICON LABORATORIES INC COM | 08/26/2010 | 09/16/2010 | 10,845.00 | 11,745.00 | -900.00 |
| 175. THERMO ELECTRON CORP | 10/09/2009 | 09/16/2010 | 8,224.00 | 7,961.00 | 263.00 |
| 100. FLOWSERVE CORP | 04/28/2010 | 09/23/2010 | 10,505.00 | 11,168.00 | -663.00 |
| 125. FLOWSERVE CORP | 09/02/2010 | 09/23/2010 | 13,131.00 | 11,963.00 | 1,168.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . .

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I** Short-Term Capital Gains and Losses - Assets Held One Year or Less

| (a) Description of property (Example: 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr.) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 475. INTERNATIONAL PAPER COMPANY | 04/08/2010 | 09/23/2010 | 9,982.00 | 12,756.00 | -2,774.00 |
| 150. M & T BANK CORPORATION | 04/28/2010 | 09/23/2010 | 13,165.00 | 12,795.00 | 370.00 |
| 300. TERADATA CORP DELAWARE COM | 03/24/2010 | 09/23/2010 | 10,948.00 | 8,701.00 | 2,247.00 |
| 175. VERIZON COMMUNICATION S | 03/09/2010 | 09/23/2010 | 5,625.00 | 4,906.00 | 719.00 |
| 50. MASTERCARD INC CL A COM | 04/28/2010 | 09/29/2010 | 11,088.00 | 12,654.00 | -1,566.00 |
| 300. ROCKWELL COLLINS COM | 08/26/2010 | 09/29/2010 | 17,296.00 | 16,177.00 | 1,119.00 |
| 300. AMERICAN EXPRESS CO | 07/28/2010 | 10/07/2010 | 11,389.00 | 13,356.00 | -1,967.00 |
| 125. ESTEE LAUDER COMPANIES CL A | 08/26/2010 | 10/07/2010 | 7,865.00 | 7,132.00 | 733.00 |
| 145. PROCTER & GAMBLE CO COM | 10/09/2009 | 10/07/2010 | 8,838.00 | 8,344.00 | 494.00 |
| 275. PROCTER & GAMBLE CO COM | 03/04/2010 | 10/07/2010 | 16,762.00 | 17,472.00 | -710.00 |
| 125. PROCTER & GAMBLE CO COM | 09/29/2010 | 10/07/2010 | 7,619.00 | 7,546.00 | 73.00 |
| 100. CUMMINS ENGINE INC | 05/27/2010 | 10/13/2010 | 9,318.00 | 6,945.00 | 2,373.00 |
| 900. ELECTRONIC ARTS | 08/26/2010 | 10/13/2010 | 14,935.00 | 13,820.00 | 1,115.00 |
| 975. HERTZ GLOBAL HLDGS INC COM | 05/27/2010 | 10/13/2010 | 10,289.00 | 10,993.00 | -704.00 |
| 200. ROSS STORES INC | 03/09/2010 | 10/13/2010 | 11,113.00 | 10,292.00 | 821.00 |
| 325. UNIVERSAL HEALTH SVCS INC CL B | 08/26/2010 | 10/13/2010 | 12,478.00 | 10,697.00 | 1,781.00 |
| 525. NABORS INDUSTRIES INC COM | 08/26/2010 | 10/13/2010 | 10,063.00 | 8,439.00 | 1,624.00 |
| 40. APPLE COMPUTER INCORPORATED | 03/04/2010 | 10/20/2010 | 12,553.00 | 8,410.00 | 4,143.00 |
| 1200. CISCO SYSTEMS INCORPORATED | 03/04/2010 | 10/20/2010 | 28,033.00 | 29,693.00 | -1,660.00 |
| 25. CISCO SYSTEMS INCORPORATED | 05/27/2010 | 10/20/2010 | 584.00 | 584.00 | |
| 2600. CITIGROUP INC | 06/16/2010 | 10/20/2010 | 10,543.00 | 10,426.00 | 117.00 |
| 775. INTEL CORPORATION | 09/02/2010 | 10/20/2010 | 15,210.00 | 14,148.00 | 1,062.00 |
| 200. ROSS STORES INC | 03/09/2010 | 10/20/2010 | 11,464.00 | 10,292.00 | 1,172.00 |
| 300. SCHLUMBERGER LIMITED | 05/27/2010 | 10/20/2010 | 19,253.00 | 18,096.00 | 1,157.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . .

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less**

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr.) | (c) Date sold (mo , day, yr.) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 425. AMERICAN EXPRESS CO | 07/28/2010 | 10/27/2010 | 17,266.00 | 18,921.00 | -1,655.00 |
| 125. GOODRICH B F CO | 08/26/2010 | 10/27/2010 | 10,055.00 | 8,703.00 | 1,352.00 |
| 175. ALLEGHENY TECHNOLOGIE S INC COM | 08/26/2010 | 11/03/2010 | 9,102.00 | 7,214.00 | 1,888.00 |
| 550. MYLAN LABS INC | 04/08/2010 | 11/03/2010 | 11,019.00 | 12,444.00 | -1,425.00 |
| 250. MYLAN LABS INC | 06/23/2010 | 11/03/2010 | 5,009.00 | 4,432.00 | 577.00 |
| 350. UNITEDHEALTH GROUP INC | 06/02/2010 | 11/03/2010 | 12,738.00 | 10,164.00 | 2,574.00 |
| 75. CF INDS HLDGS INC COM | 09/02/2010 | 11/10/2010 | 9,294.00 | 7,005.00 | 2,289.00 |
| 150. CLOROX COMPANY | 06/02/2010 | 11/10/2010 | 9,432.00 | 9,425.00 | 7.00 |
| 275. HUMANA INC | 04/08/2010 | 11/10/2010 | 16,116.00 | 12,778.00 | 3,338.00 |
| 575. KOHLS CORPORATION | 08/26/2010 | 11/10/2010 | 29,712.00 | 27,396.00 | 2,316.00 |
| 375. LINEAR TECHNOLOGY CORP | 08/26/2010 | 11/10/2010 | 12,312.00 | 11,083.00 | 1,229.00 |
| 375. 3M CO COM | 06/16/2010 | 11/10/2010 | 32,247.00 | 30,291.00 | 1,956.00 |
| 25. 3M CO COM | 08/26/2010 | 11/10/2010 | 2,150.00 | 2,032.00 | 118.00 |
| 200. ALLEGHENY TECHNOLOGIE S INC COM | 08/26/2010 | 11/17/2010 | 9,636.00 | 8,245.00 | 1,391.00 |
| 275. ANSYS INC | 09/02/2010 | 11/17/2010 | 13,141.00 | 10,999.00 | 2,142.00 |
| 275. BOEING CO | 09/29/2010 | 11/17/2010 | 17,170.00 | 17,874.00 | -704.00 |
| 650. CONSTELLATION BRANDS INC CL A | 09/02/2010 | 11/17/2010 | 12,818.00 | 10,930.00 | 1,888.00 |
| 225. DRESSER-RAND GROUP INC COM | 09/16/2010 | 11/17/2010 | 8,400.00 | 8,508.00 | -108.00 |
| 375. TIME WARNER INC NEW COM | 04/12/2010 | 11/17/2010 | 11,473.00 | 12,241.00 | -768.00 |
| 600. CISCO SYSTEMS INCORPORATED | 05/27/2010 | 12/01/2010 | 11,583.00 | 14,019.00 | -2,436.00 |
| 450. HEWLETT PACKARD CO COM | 10/20/2010 | 12/01/2010 | 19,059.00 | 19,445.00 | -386.00 |
| 200. L-3 COMMUNICATIONS HLDGS INC COM | 08/26/2010 | 12/01/2010 | 14,257.00 | 13,801.00 | 456.00 |
| 550. SPIRIT AEROSYSTEMS HLDGS INC CL A COM | 08/26/2010 | 12/01/2010 | 10,909.00 | 10,574.00 | 335.00 |
| 300. TIME WARNER INC NEW COM | 04/12/2010 | 12/01/2010 | 9,013.00 | 9,793.00 | -780.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HARODL BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I** Short-Term Capital Gains and Losses - Assets Held One Year or Less

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 300. TIME WARNER INC NEW COM | 06/16/2010 | 12/01/2010 | 9,013.00 | 9,833.00 | -820.00 |
| 650. XCEL ENERGY INC COM | 08/26/2010 | 12/01/2010 | 15,423.00 | 14,459.00 | 964.00 |
| 400. COCA COLA CO COM | 05/27/2010 | 12/09/2010 | 25,854.00 | 20,354.00 | 5,500.00 |
| 100. COCA COLA CO COM | 07/28/2010 | 12/09/2010 | 6,463.00 | 5,502.00 | 961.00 |
| 225. COLGATE PALMOLIVE CO | 09/16/2010 | 12/09/2010 | 17,723.00 | 17,181.00 | 542.00 |
| 400. COVENTRY HEALTH CARE INC COM | 09/08/2010 | 12/09/2010 | 10,482.00 | 8,315.00 | 2,167.00 |
| 125. CUMMINS ENGINE INC | 05/27/2010 | 12/09/2010 | 13,079.00 | 8,681.00 | 4,398.00 |
| 225. LAS VEGAS SANDS CORP | 06/02/2010 | 12/09/2010 | 10,502.00 | 5,332.00 | 5,170.00 |
| 375. LOWES COMPANIES INCORPORATED | 10/13/2010 | 12/09/2010 | 9,500.00 | 8,241.00 | 1,259.00 |
| 175. MONSANTO CO NEW COM | 10/07/2010 | 12/09/2010 | 10,602.00 | 8,410.00 | 2,192.00 |
| 300. MYLAN LABS INC | 06/23/2010 | 12/09/2010 | 6,026.00 | 5,319.00 | 707.00 |
| 575. MYLAN LABS INC | 09/29/2010 | 12/09/2010 | 11,549.00 | 10,888.00 | 661.00 |
| 500. TJX COMPANIES INCORPORATED NEW | 03/24/2010 | 12/09/2010 | 22,403.00 | 21,540.00 | 863.00 |
| 200. 3M CO COM | 08/26/2010 | 12/09/2010 | 16,903.00 | 16,255.00 | 648.00 |
| 200. UNITED STS STL CORP NEW COM | 09/29/2010 | 12/09/2010 | 10,555.00 | 8,723.00 | 1,832.00 |
| 275. WELLS FARGO COMPANY | 04/08/2010 | 12/09/2010 | 8,158.00 | 8,763.00 | -605.00 |
| 200. AMGEN INC COM | 09/02/2010 | 12/16/2010 | 11,229.00 | 10,508.00 | 721.00 |
| 400. COCA COLA CO COM | 07/28/2010 | 12/16/2010 | 25,914.00 | 22,006.00 | 3,908.00 |
| 150. DEVON ENERGY CORPORATION | 05/27/2010 | 12/16/2010 | 10,928.00 | 9,304.00 | 1,624.00 |
| 225. DEVON ENERGY CORPORATION | 06/16/2010 | 12/16/2010 | 16,392.00 | 15,588.00 | 804.00 |
| 100. GOLDMAN SACHS GROUP INC | 02/03/2010 | 12/16/2010 | 16,384.00 | 16,443.00 | -59.00 |
| 775. HEWLETT PACKARD CO COM | 10/20/2010 | 12/16/2010 | 31,864.00 | 33,489.00 | -1,625.00 |
| 275. LIMITED BRANDS INC COM | 08/26/2010 | 12/16/2010 | 8,435.00 | 6,769.00 | 1,666.00 |
| 400. NORTHERN TRUST CORPORATION | 08/26/2010 | 12/16/2010 | 21,793.00 | 18,642.00 | 3,151.00 |

**1b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part I** Short-Term Capital Gains and Losses - Assets Held One Year or Less

| (a) Description of property (Example 100 sh. 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a 75. 3M CO COM | 08/26/2010 | 12/16/2010 | 6,427.00 | 6,096.00 | 331.00 |
| 125. 3M CO COM | 09/29/2010 | 12/16/2010 | 10,712.00 | 10,884.00 | -172.00 |
| 425. NOBLE CORP COM | 08/26/2010 | 12/16/2010 | 14,860.00 | 13,220.00 | 1,640.00 |
| 350. ABBOTT LABORATORIES | 03/04/2010 | 12/22/2010 | 16,749.00 | 18,962.00 | -2,213.00 |
| 175. FEDEX CORP | 12/01/2010 | 12/22/2010 | 16,349.00 | 16,442.00 | -93.00 |
| 650. FIFTH THIRD BANCORP COM | 05/27/2010 | 12/22/2010 | 9,487.00 | 8,541.00 | 946.00 |
| 250. SOUTHWESTERN ENERGY CO | 03/24/2010 | 12/22/2010 | 8,878.00 | 9,858.00 | -980.00 |
| 125. VISA INC CL A COM | 09/29/2010 | 12/22/2010 | 8,523.00 | 9,223.00 | -700.00 |

**1b Total.** Combine the amounts in column (f) Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . . . 145,484.00

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side: HAROLD BROOKS FOUNDATION

**Employer identification number** 04-6043983

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

| (a) Description of property (Example: 100 sh. 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 20000. UNITED STATES TREAS NTS 3.625% 1/15/10 | 02/01/2005 | 01/15/2010 | 20,000.00 | 19,939.00 | 61.00 |
| 10000. UNITED STATES TREAS NTS 3.625% 1/15/10 | 02/01/2005 | 01/15/2010 | 10,000.00 | 9,966.00 | 34.00 |
| 10000. UNITED STATES TREAS NTS 3.625% 1/15/10 | 04/22/2005 | 01/15/2010 | 10,000.00 | 10,000.00 | |
| 5000. UNITED STATES TREAS NTS 3.625% 1/15/10 | 04/29/2005 | 01/15/2010 | 5,000.00 | 5,000.00 | |
| 10000. MELLON FINL CO 02/12/1998 6.375% 02/15/201 | 04/13/2004 | 02/15/2010 | 10,000.00 | 11,106.00 | -1,106.00 |
| 385. ALTRIA GROUP INC | 11/18/2008 | 03/04/2010 | 7,817.00 | 6,401.00 | 1,416.00 |
| 450. ALTRIA GROUP INC | 01/07/2009 | 03/04/2010 | 9,137.00 | 6,825.00 | 2,312.00 |
| 665. BRISTOL MYERS SQUIBB CO COM | 11/05/2008 | 03/04/2010 | 16,209.00 | 14,227.00 | 1,982.00 |
| 405. BRISTOL MYERS SQUIBB CO COM | 11/14/2008 | 03/04/2010 | 9,872.00 | 7,898.00 | 1,974.00 |
| 340. BRISTOL MYERS SQUIBB CO COM | 12/19/2008 | 03/04/2010 | 8,287.00 | 7,853.00 | 434.00 |
| 300. BRISTOL MYERS SQUIBB CO COM | 01/07/2009 | 03/04/2010 | 7,312.00 | 6,665.00 | 647.00 |
| 1125. CORNING INC | 01/06/2009 | 03/04/2010 | 19,412.00 | 12,708.00 | 6,704.00 |
| 100. DUN & BRADSTREET CORP DEL NEW COM | 12/22/2006 | 03/04/2010 | 6,996.00 | 8,291.00 | -1,295.00 |
| 95. DUN & BRADSTREET CORP DEL NEW COM | 07/20/2007 | 03/04/2010 | 6,647.00 | 10,063.00 | -3,416.00 |
| 435. FPL GROUP INC COM | 07/06/2007 | 03/04/2010 | 20,476.00 | 24,654.00 | -4,178.00 |
| 2100. ISHARES BARCLAYS AGGREGATE BD FUND | 01/07/2008 | 03/04/2010 | 219,549.00 | 214,632.00 | 4,917.00 |
| 60. JOHNSON & JOHNSON | 02/21/2006 | 03/04/2010 | 3,803.00 | 3,540.00 | 263.00 |
| 60. JOHNSON & JOHNSON | 09/21/2006 | 03/04/2010 | 3,803.00 | 3,851.00 | -48.00 |
| 325. JOHNSON & JOHNSON | 10/31/2007 | 03/04/2010 | 20,597.00 | 21,066.00 | -469.00 |
| 155. MOLSON COORS BREWING CO CL B | 12/05/2008 | 03/04/2010 | 6,452.00 | 6,121.00 | 331.00 |
| 1200. PFIZER INC | 09/23/2008 | 03/04/2010 | 20,686.00 | 26,283.00 | -5,597.00 |
| 85. POLO RALPH LAUREN CORPORATION | 11/12/2008 | 03/04/2010 | 6,883.00 | 3,379.00 | 3,504.00 |
| 150. POLO RALPH LAUREN CORPORATION | 01/07/2009 | 03/04/2010 | 12,146.00 | 6,929.00 | 5,217.00 |
| 250. REINSURANCE GROUP AMER INC COM | 02/24/2009 | 03/04/2010 | 12,353.00 | 7,129.00 | 5,224.00 |
| 585. STAPLES INCORPORATED | 07/09/2008 | 03/04/2010 | 13,398.00 | 13,131.00 | 267.00 |

**6b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . . .

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

| (a) Description of property (Example: 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr.) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 365. STAPLES INCORPORATED | 10/13/2008 | 03/04/2010 | 8,360.00 | 6,405.00 | 1,955.00 |
| 80. STARWOOD HOTELS & RESORTS WORLDWIDE INC COM | 11/12/2008 | 03/04/2010 | 3,128.00 | 1,349.00 | 1,779.00 |
| 375. STARWOOD HOTELS & RESORTS WORLDWIDE INC COM | 01/07/2009 | 03/04/2010 | 14,664.00 | 8,542.00 | 6,122.00 |
| 35. ACE LTD COM | 05/01/2006 | 03/04/2010 | 1,776.00 | 1,911.00 | -135.00 |
| 20. ACE LTD COM | 09/21/2006 | 03/04/2010 | 1,015.00 | 1,093.00 | -78.00 |
| 225. ACE LTD COM | 07/13/2007 | 03/04/2010 | 11,419.00 | 13,893.00 | -2,474.00 |
| 60. AT&T INC | 12/22/2006 | 03/09/2010 | 1,528.00 | 2,111.00 | -583.00 |
| 210. AT&T INC | 12/18/2007 | 03/09/2010 | 5,348.00 | 8,612.00 | -3,264.00 |
| 255. AT&T INC | 03/17/2008 | 03/09/2010 | 6,493.00 | 8,980.00 | -2,487.00 |
| 410. AT&T INC | 06/12/2008 | 03/09/2010 | 10,441.00 | 14,968.00 | -4,527.00 |
| 140. AT&T INC | 08/05/2008 | 03/09/2010 | 3,565.00 | 4,306.00 | -741.00 |
| 450. CHEVRONTEXACO CORP COM | 08/05/2008 | 03/09/2010 | 33,522.00 | 36,986.00 | -3,464.00 |
| 35. GOLDMAN SACHS GROUP INC | 01/12/2009 | 03/09/2010 | 5,946.00 | 2,830.00 | 3,116.00 |
| 90. GOLDMAN SACHS GROUP INC | 01/26/2009 | 03/09/2010 | 15,289.00 | 6,833.00 | 8,456.00 |
| 285. HONEYWELL INTERNATION AL INC | 09/15/2006 | 03/09/2010 | 11,921.00 | 11,361.00 | 560.00 |
| 20. HONEYWELL INTERNATIONA L INC | 09/21/2006 | 03/09/2010 | 837.00 | 807.00 | 30.00 |
| 290. HONEYWELL INTERNATION AL INC | 10/13/2008 | 03/09/2010 | 12,131.00 | 9,378.00 | 2,753.00 |
| 180. HONEYWELL INTERNATION AL INC | 01/07/2009 | 03/09/2010 | 7,529.00 | 6,346.00 | 1,183.00 |
| 1925. ISHARES BARCLAYS AGGREGATE BD FUND | 01/07/2008 | 03/09/2010 | 201,083.00 | 196,746.00 | 4,337.00 |
| 20. J P MORGAN CHASE & CO COM | 05/01/2006 | 03/09/2010 | 844.00 | 844.00 | |
| 100. J P MORGAN CHASE & CO COM | 06/06/2006 | 03/09/2010 | 4,219.00 | 4,219.00 | |
| 430. J P MORGAN CHASE & CO COM | 07/27/2006 | 03/09/2010 | 18,144.00 | 18,144.00 | |
| 216. MICROSOFT CORPORATION | 04/04/2008 | 03/09/2010 | 6,218.00 | 6,264.00 | -46.00 |
| 450. MICROSOFT CORPORATION | 09/18/2008 | 03/09/2010 | 12,954.00 | 10,969.00 | 1,985.00 |
| 459. MICROSOFT CORPORATION | 09/19/2008 | 03/09/2010 | 13,213.00 | 11,707.00 | 1,506.00 |

**6b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . . . .

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side: HAROLD BROOKS FOUNDATION

Employer identification number: 04-6043983

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

| (a) Description of property (Example 100 sh. 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr.) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 750. MORGAN STANLEY DEAN WITTER DISCOVER & CO | 02/24/2009 | 03/09/2010 | 21,911.00 | 15,201.00 | 6,710.00 |
| 125. PROCTER & GAMBLE CO COM | 07/09/2008 | 03/09/2010 | 7,908.00 | 7,908.00 | |
| 175. PROCTER & GAMBLE CO COM | 08/22/2008 | 03/09/2010 | 11,071.00 | 11,071.00 | |
| 65. APPLE COMPUTER INCORPORATED | 10/08/2008 | 03/24/2010 | 14,910.00 | 5,869.00 | 9,041.00 |
| 35. APPLE COMPUTER INCORPORATED | 11/12/2008 | 03/24/2010 | 8,029.00 | 3,228.00 | 4,801.00 |
| 110. GENERAL ELEC CO | 01/07/2009 | 03/24/2010 | 2,037.00 | 1,831.00 | 206.00 |
| 1200. GENERAL ELEC CO | 03/06/2009 | 03/24/2010 | 22,224.00 | 8,517.00 | 13,707.00 |
| 115. GENERAL ELEC CO | 08/07/2008 | 03/24/2010 | 2,130.00 | 2,130.00 | |
| 85. GOLDMAN SACHS GROUP INC | 01/26/2009 | 03/24/2010 | 14,803.00 | 6,454.00 | 8,349.00 |
| 115. BAXTER INTERNATIONAL INC | 03/05/2008 | 04/08/2010 | 6,650.00 | 6,747.00 | -97.00 |
| 135. BAXTER INTERNATIONAL INC | 03/13/2008 | 04/08/2010 | 7,806.00 | 7,599.00 | 207.00 |
| 230. E M C CORP MASS | 07/06/2007 | 04/08/2010 | 4,185.00 | 4,268.00 | -83.00 |
| 475. E M C CORP MASS | 08/02/2007 | 04/08/2010 | 8,642.00 | 9,089.00 | -447.00 |
| 20. E M C CORP MASS | 07/09/2008 | 04/08/2010 | 364.00 | 270.00 | 94.00 |
| 125. MEDCO HEALTH SOLUTIONS INC | 12/19/2008 | 04/08/2010 | 7,980.00 | 5,331.00 | 2,649.00 |
| 200. UNITED TECHNOLOGIES CORP | 03/28/2003 | 04/08/2010 | 14,769.00 | 5,882.00 | 8,887.00 |
| 475. VERIZON COMMUNICATION S | 05/01/2006 | 04/08/2010 | 14,295.00 | 14,295.00 | |
| 1100. PFIZER INC | 04/15/2009 | 04/23/2010 | 18,056.00 | 14,715.00 | 3,341.00 |
| 300. PHILIP MORRIS INTL INC COM | 07/22/2008 | 04/23/2010 | 15,316.00 | 15,877.00 | -561.00 |
| 75. PHILIP MORRIS INTL INC COM | 09/10/2008 | 04/23/2010 | 3,829.00 | 4,107.00 | -278.00 |
| 20. J P MORGAN CHASE & CO COM | 04/26/2006 | 04/28/2010 | 866.00 | 901.00 | -35.00 |
| 100. J P MORGAN CHASE & CO COM | 06/01/2006 | 04/28/2010 | 4,328.00 | 4,193.00 | 135.00 |
| 430. J P MORGAN CHASE & CO COM | 07/22/2006 | 04/28/2010 | 18,610.00 | 19,091.00 | -481.00 |
| 55. J P MORGAN CHASE & CO COM | 07/27/2006 | 04/28/2010 | 2,380.00 | 2,459.00 | -79.00 |
| 110. J P MORGAN CHASE & CO COM | 09/21/2006 | 04/28/2010 | 4,761.00 | 5,146.00 | -385.00 |

**6b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . .

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side: HAROLD BROOKS FOUNDATION

**Employer identification number** 04-6043983

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

| (a) Description of property (Example: 100 sh 7% preferred of "Z" Co.) | (b) Date acquired (mo, day, yr) | (c) Date sold (mo, day, yr) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 235. J P MORGAN CHASE & CO COM | 08/07/2008 | 04/28/2010 | 10,171.00 | 9,639.00 | 532.00 |
| 75. J P MORGAN CHASE & CO COM | 10/16/2008 | 04/28/2010 | 3,246.00 | 2,879.00 | 367.00 |
| 200. PNC BK CORP | 08/28/2007 | 04/28/2010 | 13,065.00 | 10,195.00 | 2,870.00 |
| 50. PNC BK CORP | 06/24/2008 | 04/28/2010 | 3,266.00 | 2,828.00 | 438.00 |
| 150. PHILIP MORRIS INTL INC COM | 12/03/2008 | 04/28/2010 | 7,352.00 | 6,155.00 | 1,197.00 |
| 125. PHILIP MORRIS INTL INC COM | 09/10/2008 | 04/28/2010 | 6,127.00 | 6,127.00 | |
| 720. US BANCORP DEL COM NEW | 01/26/2009 | 04/28/2010 | 19,069.00 | 10,359.00 | 8,710.00 |
| 20. BAXTER INTERNATIONAL INC | 03/13/2008 | 05/27/2010 | 831.00 | 1,126.00 | -295.00 |
| 95. BAXTER INTERNATIONAL INC | 08/07/2008 | 05/27/2010 | 3,946.00 | 6,670.00 | -2,724.00 |
| 250. BAXTER INTERNATIONAL INC | 04/15/2009 | 05/27/2010 | 10,385.00 | 12,309.00 | -1,924.00 |
| 225. CVS CAREMARK CORP COM | 05/21/2009 | 05/27/2010 | 7,723.00 | 6,738.00 | 985.00 |
| 25. GENERAL ELEC CO | 03/06/2009 | 05/27/2010 | 413.00 | 177.00 | 236.00 |
| 625. GENERAL ELEC CO | 03/25/2009 | 05/27/2010 | 10,328.00 | 6,798.00 | 3,530.00 |
| 115. GENERAL ELEC CO | 07/18/2008 | 05/27/2010 | 1,900.00 | 1,900.00 | |
| 150. GILEAD SCIENCES INC | 03/25/2009 | 05/27/2010 | 5,306.00 | 6,603.00 | -1,297.00 |
| 75. GILEAD SCIENCES INC | 10/22/2007 | 05/27/2010 | 2,653.00 | 2,653.00 | |
| 155. GILEAD SCIENCES INC | 04/30/2008 | 05/27/2010 | 5,483.00 | 5,483.00 | |
| 180. GILEAD SCIENCES INC | 08/07/2008 | 05/27/2010 | 6,367.00 | 6,367.00 | |
| 5. GILEAD SCIENCES INC | 10/22/2008 | 05/27/2010 | 177.00 | 226.00 | -49.00 |
| 115. GILEAD SCIENCES INC | 10/22/2008 | 05/27/2010 | 4,068.00 | 4,068.00 | |
| 15. INTERNATIONAL BUSINESS MACHS | 10/13/2008 | 05/27/2010 | 1,882.00 | 1,318.00 | 564.00 |
| 130. INTERNATIONAL BUSINESS MACHS | 10/30/2008 | 05/27/2010 | 16,309.00 | 11,780.00 | 4,529.00 |
| 80. INTERNATIONAL BUSINESS MACHS | 03/25/2009 | 05/27/2010 | 10,036.00 | 7,871.00 | 2,165.00 |
| 50. MASTERCARD INC CL A COM | 03/25/2009 | 05/27/2010 | 10,454.00 | 8,133.00 | 2,321.00 |
| 51. MICROSOFT CORPORATION | 09/19/2008 | 05/27/2010 | 1,337.00 | 1,301.00 | 36.00 |

**6b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . . .

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HAROLD BROOKS FOUNDATION

**Employer identification number** 04-6043983

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

| (a) Description of property (Example: 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 74. MICROSOFT CORPORATION | 01/07/2009 | 05/27/2010 | 1,940.00 | 1,491.00 | 449.00 |
| 250. MICROSOFT CORPORATION | 10/01/2008 | 05/27/2010 | 6,552.00 | 6,552.00 | |
| 125. PROCTER & GAMBLE CO COM | 07/04/2008 | 05/27/2010 | 7,606.00 | 8,101.00 | -495.00 |
| 175. PROCTER & GAMBLE CO COM | 08/17/2008 | 05/27/2010 | 10,649.00 | 12,350.00 | -1,701.00 |
| 140. PROCTER & GAMBLE CO COM | 08/22/2008 | 05/27/2010 | 8,519.00 | 9,842.00 | -1,323.00 |
| 30. PROCTER & GAMBLE CO COM | 10/09/2008 | 05/27/2010 | 1,825.00 | 1,942.00 | -117.00 |
| 325. PROCTER & GAMBLE CO COM | 02/18/2009 | 05/27/2010 | 19,776.00 | 16,351.00 | 3,425.00 |
| 50. PROCTER & GAMBLE CO COM | 04/24/2009 | 05/27/2010 | 3,042.00 | 2,472.00 | 570.00 |
| 150. PRUDENTIAL FINL INC COM | 05/21/2009 | 05/27/2010 | 8,712.00 | 6,167.00 | 2,545.00 |
| 280. AXIS CAPITAL HOLDINGS LTD COM | 10/30/2008 | 05/27/2010 | 8,387.00 | 7,839.00 | 548.00 |
| 875. EBAY INC | 05/07/2009 | 06/16/2010 | 19,554.00 | 14,634.00 | 4,920.00 |
| 1900. ISHARES BARCLAYS AGGREGATE BD FUND | 01/07/2008 | 06/16/2010 | 201,074.00 | 194,190.00 | 6,884.00 |
| 50. PRUDENTIAL FINL INC COM | 05/21/2009 | 06/16/2010 | 2,945.00 | 2,056.00 | 889.00 |
| 350. PRUDENTIAL FINL INC COM | 06/12/2009 | 06/16/2010 | 20,613.00 | 13,118.00 | 7,495.00 |
| 225. HEWLETT PACKARD CO COM | 02/21/2006 | 06/23/2010 | 10,544.00 | 7,415.00 | 3,129.00 |
| 2991.307 COLUMBIA ACORN FUND CLASS Z SHARES | 03/11/2002 | 06/29/2010 | 72,031.00 | 55,369.00 | 16,662.00 |
| 7.448 COLUMBIA ACORN FUND CLASS Z SHARES | 12/05/2003 | 06/29/2010 | 179.00 | 163.00 | 16.00 |
| 9.617 COLUMBIA ACORN FUND CLASS Z SHARES | 06/02/2004 | 06/29/2010 | 232.00 | 230.00 | 2.00 |
| 279.906 COLUMBIA ACORN FUND CLASS Z SHARES | 12/10/2004 | 06/29/2010 | 6,740.00 | 7,154.00 | -414.00 |
| 864.546 COLUMBIA ACORN FUND CLASS Z SHARES | 01/14/2005 | 06/29/2010 | 20,818.00 | 22,167.00 | -1,349.00 |
| 10152.284 COLUMBIA MULTI-ADVISOR INT'L EQUITY | 01/03/2008 | 06/29/2010 | 100,000.00 | 175,635.00 | -75,635.00 |
| 150. PARKER HANNIFIN CORPORATION | 01/07/2009 | 07/14/2010 | 8,636.00 | 6,558.00 | 2,078.00 |
| 200. PARKER HANNIFIN CORPORATION | 03/11/2009 | 07/14/2010 | 11,514.00 | 6,015.00 | 5,499.00 |
| 114.019 FRONTIER COMMUNICATIONS CORP COM | 04/01/2006 | 07/28/2010 | 884.00 | 945.00 | -61.00 |
| 40.807 FRONTIER COMMUNICATIONS CORP COM | 05/01/2006 | 07/28/2010 | 316.00 | 340.00 | -24.00 |

**6b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . .

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Employer identification number: 04-6043983

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

| (a) Description of property (Example· 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 19.203 FRONTIER COMMUNICATIONS CORP COM | 09/21/2006 | 07/28/2010 | 149.00 | 179.00 | -30.00 |
| 10000. BANK ONE CORP SUB NT | 04/09/2003 | 08/01/2010 | 10,000.00 | 12,179.00 | -2,179.00 |
| 275. CABOT OIL & GAS CORP CL A | 05/14/2009 | 08/04/2010 | 8,943.00 | 8,692.00 | 251.00 |
| 725. WELLS FARGO COMPANY | 04/15/2009 | 08/04/2010 | 20,260.00 | 13,786.00 | 6,474.00 |
| 400. WELLS FARGO COMPANY | 06/12/2009 | 08/04/2010 | 11,178.00 | 10,146.00 | 1,032.00 |
| 175. CHEVRONTEXACO CORP COM | 01/07/2009 | 08/11/2010 | 13,642.00 | 13,373.00 | 269.00 |
| 50. CHEVRONTEXACO CORP COM | 02/18/2009 | 08/11/2010 | 3,898.00 | 3,324.00 | 574.00 |
| 90. CHEVRONTEXACO CORP COM | 08/05/2008 | 08/11/2010 | 7,016.00 | 7,016.00 | |
| 110. CHEVRONTEXACO CORP COM | 08/07/2008 | 08/11/2010 | 8,575.00 | 8,575.00 | |
| 115. GENERAL ELEC CO | 07/24/2008 | 08/11/2010 | 1,837.00 | 1,837.00 | |
| 35. APACHE CORPORATION | 10/30/2008 | 08/26/2010 | 3,062.00 | 2,583.00 | 479.00 |
| 90. APACHE CORPORATION | 11/17/2008 | 08/26/2010 | 7,873.00 | 6,910.00 | 963.00 |
| 35. APPLE COMPUTER INCORPORATED | 11/12/2008 | 08/26/2010 | 8,591.00 | 3,228.00 | 5,363.00 |
| 40. APPLE COMPUTER INCORPORATED | 01/07/2009 | 08/26/2010 | 9,818.00 | 3,673.00 | 6,145.00 |
| 135. AVON PRODUCTS INC | 05/01/2008 | 08/26/2010 | 3,971.00 | 5,298.00 | -1,327.00 |
| 165. AVON PRODUCTS INC | 10/31/2008 | 08/26/2010 | 4,853.00 | 3,857.00 | 996.00 |
| 225. CLOROX COMPANY | 06/18/2009 | 08/26/2010 | 14,493.00 | 12,742.00 | 1,751.00 |
| 115. GENERAL ELEC CO | 07/10/2008 | 08/26/2010 | 1,674.00 | 1,674.00 | |
| 120. HEWLETT PACKARD CO COM | 02/21/2006 | 08/26/2010 | 4,617.00 | 3,955.00 | 662.00 |
| 70. HEWLETT PACKARD CO COM | 09/21/2006 | 08/26/2010 | 2,693.00 | 2,443.00 | 250.00 |
| 220. HEWLETT PACKARD CO COM | 06/09/2008 | 08/26/2010 | 8,464.00 | 10,474.00 | -2,010.00 |
| 185. HEWLETT PACKARD CO COM | 08/07/2008 | 08/26/2010 | 7,118.00 | 8,293.00 | -1,175.00 |
| 250. HEWLETT PACKARD CO COM | 01/07/2009 | 08/26/2010 | 9,619.00 | 9,587.00 | 32.00 |
| 200. HEWLETT PACKARD CO COM | 01/12/2009 | 08/26/2010 | 7,695.00 | 7,395.00 | 300.00 |
| 120. HONEYWELL INTERNATION AL INC | 01/07/2009 | 08/26/2010 | 4,691.00 | 4,231.00 | 460.00 |

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**Employer identification number** 04-6043983

## Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

| (a) Description of property (Example: 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 120. J P MORGAN CHASE & CO COM | 10/16/2008 | 08/26/2010 | 4,366.00 | 4,607.00 | -241.00 |
| 330. J P MORGAN CHASE & CO COM | 10/31/2008 | 08/26/2010 | 12,007.00 | 13,162.00 | -1,155.00 |
| 75. J P MORGAN CHASE & CO COM | 04/24/2009 | 08/26/2010 | 2,729.00 | 2,468.00 | 261.00 |
| 685. LOWES COMPANIES INCORPORATED | 02/09/2009 | 08/26/2010 | 14,265.00 | 12,965.00 | 1,300.00 |
| 140. LOWES COMPANIES INCORPORATED | 08/18/2009 | 08/26/2010 | 2,915.00 | 2,808.00 | 107.00 |
| 250. MICROSOFT CORPORATION | 10/21/2008 | 08/26/2010 | 6,016.00 | 6,663.00 | -647.00 |
| 551. MICROSOFT CORPORATION | 01/07/2009 | 08/26/2010 | 13,260.00 | 11,101.00 | 2,159.00 |
| 74. MICROSOFT CORPORATION | 01/12/2009 | 08/26/2010 | 1,781.00 | 1,454.00 | 327.00 |
| 125. PHILIP MORRIS INTL INC COM | 10/09/2008 | 08/26/2010 | 6,444.00 | 6,306.00 | 138.00 |
| 105. PHILIP MORRIS INTL INC COM | 12/03/2008 | 08/26/2010 | 5,413.00 | 4,308.00 | 1,105.00 |
| 345. PHILIP MORRIS INTL INC COM | 02/18/2009 | 08/26/2010 | 17,786.00 | 12,119.00 | 5,667.00 |
| 250. QEP RES INC COM | 04/24/2009 | 08/26/2010 | 7,682.00 | 5,211.00 | 2,471.00 |
| 115. GENERAL ELEC CO | 06/11/2008 | 09/02/2010 | 1,724.00 | 3,156.00 | -1,432.00 |
| 485. LOWES COMPANIES INCORPORATED | 08/18/2009 | 09/02/2010 | 10,659.00 | 9,727.00 | 932.00 |
| 575. XL GROUP PLC COM | 08/26/2009 | 09/02/2010 | 10,767.00 | 9,535.00 | 1,232.00 |
| 250. CELANESE CORP DEL SER A COM | 05/21/2009 | 09/16/2010 | 7,981.00 | 4,905.00 | 3,076.00 |
| 125. MEDCO HEALTH SOLUTIONS INC | 07/08/2009 | 09/16/2010 | 5,870.00 | 5,870.00 | |
| 25. MEDCO HEALTH SOLUTIONS INC | 08/11/2009 | 09/16/2010 | 1,174.00 | 1,174.00 | |
| 180. PHILIP MORRIS INTL INC COM | 02/18/2009 | 09/16/2010 | 9,895.00 | 6,323.00 | 3,572.00 |
| 500. DISCOVER FINL SVCS COM | 07/23/2009 | 09/23/2010 | 8,057.00 | 5,713.00 | 2,344.00 |
| 475. VERIZON COMMUNICATIONS | 04/01/2006 | 09/23/2010 | 15,269.00 | 14,017.00 | 1,252.00 |
| 170. VERIZON COMMUNICATIONS | 05/01/2006 | 09/23/2010 | 5,465.00 | 5,044.00 | 421.00 |
| 80. VERIZON COMMUNICATIONS | 09/21/2006 | 09/23/2010 | 2,572.00 | 2,651.00 | -79.00 |
| 25. MASTERCARD INC CL A COM | 03/25/2009 | 09/29/2010 | 5,544.00 | 4,066.00 | 1,478.00 |
| 25. APPLE COMPUTER INCORPORATED | 01/07/2009 | 10/07/2010 | 7,257.00 | 2,296.00 | 4,961.00 |

**6b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . . .

| Name of estate or trust as shown on Form 1041. Do not enter name and employer identification number if shown on the other side | Employer identification number |
|---|---|
| HAROLD BROOKS FOUNDATION | 04-6043983 |

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

| (a) Description of property (Example 100 sh. 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr.) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 400. CARNIVAL CORP PAIRED CTF 1 COM | 04/30/2009 | 10/07/2010 | 15,904.00 | 10,889.00 | 5,015.00 |
| 425. E M C CORP MASS | 07/09/2008 | 10/07/2010 | 8,404.00 | 5,729.00 | 2,675.00 |
| 250. TARGET CORP | 08/11/2009 | 10/07/2010 | 13,469.00 | 10,506.00 | 2,963.00 |
| 325. UNITEDHEALTH GROUP INC | 06/12/2009 | 10/07/2010 | 11,081.00 | 7,830.00 | 3,251.00 |
| 775. FIFTH THIRD BANCORP COM | 05/14/2009 | 10/13/2010 | 9,947.00 | 5,768.00 | 4,179.00 |
| 50. INTERNATIONAL BUSINESS MACHS | 03/25/2009 | 10/13/2010 | 7,031.00 | 4,919.00 | 2,112.00 |
| 250. QUESTAR CORP | 04/24/2009 | 10/13/2010 | 4,381.00 | 2,520.00 | 1,861.00 |
| 250. VIACOM INC CL B COM | 09/10/2009 | 10/13/2010 | 9,439.00 | 6,515.00 | 2,924.00 |
| 10. APPLE COMPUTER INCORPORATED | 01/07/2009 | 10/20/2010 | 3,138.00 | 918.00 | 2,220.00 |
| 100. INTERNATIONAL BUSINESS MACHS | 03/25/2009 | 10/20/2010 | 13,970.00 | 9,839.00 | 4,131.00 |
| 20. UNITED TECHNOLOGIES CORP | 03/28/2003 | 10/20/2010 | 1,470.00 | 588.00 | 882.00 |
| 35. UNITED TECHNOLOGIES CORP | 09/21/2006 | 10/20/2010 | 2,573.00 | 2,199.00 | 374.00 |
| 120. UNITED TECHNOLOGIES CORP | 01/26/2009 | 10/20/2010 | 8,821.00 | 5,717.00 | 3,104.00 |
| 75. CLOROX COMPANY | 06/18/2009 | 10/27/2010 | 4,947.00 | 4,247.00 | 700.00 |
| 75. CLOROX COMPANY | 07/23/2009 | 10/27/2010 | 4,947.00 | 4,477.00 | 470.00 |
| 11700. ISHARES BARCLAYS AGGREGATE BD FUND | 01/07/2008 | 11/02/2010 | 1,267,908.00 | 1,195,804.00 | 72,104.00 |
| 50. UNITEDHEALTH GROUP INC | 06/12/2009 | 11/03/2010 | 1,820.00 | 1,205.00 | 615.00 |
| 50. CLOROX COMPANY | 07/23/2009 | 11/10/2010 | 3,144.00 | 2,985.00 | 159.00 |
| 25. GOOGLE INC CL A | 07/01/2007 | 11/10/2010 | 15,533.00 | 13,926.00 | 1,607.00 |
| 200. P G & E CORPORATION | 01/07/2009 | 11/10/2010 | 9,423.00 | 7,550.00 | 1,873.00 |
| 275. AVON PRODUCTS INC | 10/31/2008 | 11/17/2010 | 7,905.00 | 6,428.00 | 1,477.00 |
| 50. VIACOM INC CL B COM | 09/10/2009 | 11/17/2010 | 1,902.00 | 1,303.00 | 599.00 |
| 200. VIACOM INC CL B COM | 10/09/2009 | 11/17/2010 | 7,609.00 | 5,785.00 | 1,824.00 |
| 300. PACKAGING CORP OF AMERICA | 10/09/2009 | 12/01/2010 | 7,848.00 | 6,249.00 | 1,599.00 |
| 325. PEPSICO INCORPORATED | 08/11/2009 | 12/01/2010 | 21,052.00 | 18,605.00 | 2,447.00 |

**6b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . . .

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Employer identification number: 04-6043983

**Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year**

| (a) Description of property (Example: 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo., day, yr ) | (d) Sales price | (e) Cost or other basis (see instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a 90. CHEVRONTEXACO CORP COM | 07/22/2008 | 12/09/2010 | 7,804.00 | 7,156.00 | 648.00 |
| 60. CHEVRONTEXACO CORP COM | 07/24/2008 | 12/09/2010 | 5,203.00 | 4,954.00 | 249.00 |
| 25. WELLS FARGO COMPANY | 06/12/2009 | 12/09/2010 | 742.00 | 634.00 | 108.00 |
| 20. INTERNATIONAL BUSINESS MACHS | 03/25/2009 | 12/16/2010 | 2,885.00 | 1,968.00 | 917.00 |
| 55. INTERNATIONAL BUSINESS MACHS | 10/09/2009 | 12/16/2010 | 7,933.00 | 6,836.00 | 1,097.00 |
| 250. FIFTH THIRD BANCORP COM | 05/14/2009 | 12/22/2010 | 3,649.00 | 1,861.00 | 1,788.00 |
| 250. PUBLIC SERVICE ENTERPRISE GROUP INC | 01/07/2009 | 12/22/2010 | 7,816.00 | 7,879.00 | -63.00 |
| 375. PUBLIC SERVICE ENTERPRISE GROUP INC | 03/11/2009 | 12/22/2010 | 11,724.00 | 9,430.00 | 2,294.00 |
| 400. TYCO INTL LTD NEW F COM | 08/11/2009 | 12/22/2010 | 16,569.00 | 12,414.00 | 4,155.00 |

**6b Total.** Combine the amounts in column (f). Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . . . 267,912.00

Form **8868**
(Rev. January 2011)
Department of the Treasury
Internal Revenue Service

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

OMB No. 1545-1709

▶ File a separate application for each return.

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

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

**Electronic filing *(e-file)*.** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit *www.irs.gov/efile* and click on *e-file for Charities & Nonprofits*.

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

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ [ ]

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

| Type or print | Name of exempt organization | Employer identification number |
|---|---|---|
| File by the due date for filing your return. See instructions. | HAROLD BROOKS FOUNDATION | 04-6043983 |
| | Number, street, and room or suite no. If a P.O. box, see instructions<br>P O BOX 1802 | |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br>PROVIDENCE, RI 02901-1802 | |

Enter the Return code for the return that this application is for (file a separate application for each return) . . . . . . . . . . . . 0 4

| Application Is For | Return Code | Application Is For | Return Code |
|---|---|---|---|
| Form 990 | 01 | Form 990-T (corporation) | 07 |
| Form 990-BL | 02 | Form 1041-A | 08 |
| Form 990-EZ | 03 | Form 4720 | 09 |
| Form 990-PF | 04 | Form 5227 | 10 |
| Form 990-T (sec. 401(a) or 408(a) trust) | 05 | Form 6069 | 11 |
| Form 990-T (trust other than above) | 06 | Form 8870 | 12 |

- The books are in the care of ▶ PRIVATE BANK TAX SERVICES

Telephone No. ▶ (401)278-6825 FAX No. ▶

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

**1** I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 08/15 , 20 11 , to file the exempt organization return for the organization named above. The extension is for the organization's return for:

▶ [X] calendar year 2010 or

▶ [ ] tax year beginning ______, 20 ___, and ending ______, 20 ___.

**2** If the tax year entered in line 1 is for less than 12 months, check reason: [ ] Initial return [ ] Final return [ ] Change in accounting period

| | | | |
|---|---|---|---|
| **3a** | If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | **3a** | $ 13,667. |
| **b** | If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit. | **3b** | $ 12,667. |
| **c** | **Balance Due.** Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | **3c** | $ 1,000. |

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

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

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

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

**Part II** **Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

| | | |
|---|---|---|
| **Type or print** | Name of exempt organization<br>HAROLD BROOKS FOUNDATION | **Employer identification number**<br>04-6043983 |
| File by the extended due date for filing your return. See instructions. | Number, street, and room or suite no. If a P.O. box, see instructions.<br>P O BOX 1802 | |
| | City, town or post office, state, and ZIP code. For a foreign address, see instructions.<br>PROVIDENCE, RI 02901-1802 | |

Enter the Return code for the return that this application is for (file a separate application for each return) . . . . . . . . . . . . 0 4

| Application Is For | Return Code | Application Is For | Return Code |
|---|---|---|---|
| Form 990 | 01 | | |
| Form 990-BL | 02 | Form 1041-A | 08 |
| Form 990-EZ | 03 | Form 4720 | 09 |
| Form 990-PF | 04 | Form 5227 | 10 |
| Form 990-T (sec. 401(a) or 408(a) trust) | 05 | Form 6069 | 11 |
| Form 990-T (trust other than above) | 06 | Form 8870 | 12 |

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

• The books are in the care of ▶ PRIVATE BANK TAX SERVICES

Telephone No. ▶ (401)278-6825 FAX No. ▶

• If the organization does not have an office or place of business in the United States, check this box . . . . . . . . . . . . . . . . ▶ ☐

• If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ________ . If this is for the whole group, check this box . . . . . . ▶ ☐ . If it is for part of the group, check this box . . . . . . . ▶ ☐ and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until 11/15 , 20 11 .

5 For calendar year 2010 , or other tax year beginning ________ , 20 ____ , and ending ________ , 20 ____ .

6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

7 State in detail why you need the extension MORE TIME IS NEEDED TO PREPARE A COMPLETE AND ACCURATE RETURN

| | | | |
|---|---|---|---|
| **8a** If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions. | **8a** | $ | 13,162. |
| **b** If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868. | **8b** | $ | 13,667. |
| **c Balance Due.** Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | **8c** | $ | |

## Signature and Verification

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

Signature ▶ [signature] Title ▶ Date ▶



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## FEDERAL CAPITAL GAIN DIVIDENDS

### LONG-TERM CAPITAL GAIN DIVIDENDS

15% RATE CAPITAL GAIN DIVIDENDS

| | | |
|---|---|---|
| COLUMBIA ACORN FUND CLASS Z SHARES | 16,364.00 | |
| COLUMBIA REAL ESTATE EQUITY FUND CLASS Z SHAR | 219.00 | |
| GENERAL MOTORS CORP COM | 5.00 | |
| ST PAUL COS INC | 74.00 | |
| TENENT HEALTHCARE CORP | 74.00 | |
| VANGUARD TOTAL BD MARKET ETF | 3,607.00 | |
| QWEST COMMUNICATIONS INTL INC COM | 284.00 | |
| TOTAL 15% RATE CAPITAL GAIN DIVIDENDS | | 20,628.00 |
| TOTAL LONG-TERM CAPITAL GAIN DIVIDENDS | | 20,628.00 |

## GAINS AND LOSSES FROM PASS-THRU ENTITIES

NET SHORT-TERM GAIN (LOSS) FROM PARTNERSHIPS, S CORPORATIONS AND OTHER FIDUCIARIES

| | | |
|---|---|---|
| COMMON TRUST FUNDS | 16,640.00 | |
| TOTAL NET SHORT-TERM GAIN OR LOSS (ROUNDED) | | 16,640.00 |

NET LONG-TERM GAIN (LOSS) FROM PARTNERSHIPS, S CORPORATIONS AND OTHER FIDUCIARIES

| | | |
|---|---|---|
| COMMON TRUST FUNDS | 13,970.00 | |
| TOTAL NET LONG-TERM GAIN OR LOSS (ROUNDED) | | 13,970.00 |

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| AT&T INC | 2,560. | 2,560. |
| ABBOTT LABORATORIES | 1,696. | 1,696. |
| ADVANCED AUTO PTS INC COM | 29. | 29. |
| AGRIUM INC | 10. | 10. |
| ALLEGHENY TECHNOLOGIES INC COM | 68. | 68. |
| ALLERGAN INCORPORATED | 29. | 29. |
| ALTERA CORPORATION | 45. | 45. |
| ALTRIA GROUP INC | 284. | 284. |
| AMERICAN ELECTRIC POWER CO | 265. | 265. |
| AMERICAN EAGLE OUTFITTERS NEW COM | 55. | 55. |
| AMERICAN EXPRESS CO | 365. | 365. |
| AMERISOURCEBERGEN CORP COM | 136. | 136. |
| ANALOG DEVICES INC | 140. | 140. |
| APACHE CORPORATION | 189. | 189. |
| AUTOLIV INC | 163. | 163. |
| AVON PRODUCTS INC | 664. | 664. |
| BAKER HUGHES INCORPORATED | 143. | 143. |
| BANK ONE CORP SUB NT | 788. | 788. |
| BARD C R INCORPORATED | 36. | 36. |
| BAXTER INTERNATIONAL INC | 357. | 357. |
| BEST BUY INCORPORATED | 63. | 63. |
| BOEING CO | 116. | 116. |
| BOFA TREASURY RESERVES CAPITAL CLASS - F | 31. | 31. |
| BRISTOL MYERS SQUIBB CO COM | 547. | 547. |
| BROADCOM CORP CL A | 110. | |
| CF INDS HLDGS INC COM | 18. | 18. |
| CVS CAREMARK CORP COM | 125. | 125. |
| CABOT OIL & GAS CORP CL A | 35. | 35. |
| CARDINAL HEALTH INCORPORATED | 254. | 254. |
| CARNIVAL CORP PAIRED CTF 1 COM | 120. | 120. |
| CELANESE CORP DEL SER A COM | 92. | 92. |
| CHEVRONTEXACO CORP COM | 3,005. | 3,005. |

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| CITIGROUP INC SR NT | 1,855. | 1,855. |
| CLOROX COMPANY | 934. | 934. |
| COCA COLA CO COM | 1,243. | 1,243. |
| COLGATE PALMOLIVE CO | 225. | 225. |
| COLUMBIA ACORN FUND CLASS Z SHARES | 977. | 977. |
| COLUMBIA MARSICO INT'L OPPORTUNITIES FD | 3,601. | 3,601. |
| COLUMBIA MULTI-ADVISOR INT'L EQUITY FUND | 9,071. | 9,071. |
| COLUMBIA CONSERVATIVE HIGH YIELD FUND CL | 26,234. | 26,234. |
| COLUMBIA REAL ESTATE EQUITY FUND CLASS Z | 2,988. | 2,988. |
| COMCAST CORP NEW CL A COM | 180. | 180. |
| CON-WAY INC COM | 20. | 20. |
| CONOCOPHILLIPS COM | 638. | 638. |
| CONSOLIDATED EDISON CO NEW YORK INC BD | 588. | 588. |
| CORNING INC | 259. | 259. |
| COSTCO WHOLESALE CORP | 67. | 67. |
| CUMMINS ENGINE INC | 138. | 138. |
| DPL INC | 98. | 98. |
| DARDEN RESTAURANTS INC | 100. | 100. |
| DEUTSCHE TELEKOM INTL FIN B V GTD NT NET | 438. | 438. |
| DEVON ENERGY CORPORATION | 184. | 184. |
| DISCOVER FINL SVCS COM | 83. | 83. |
| DOVER CORPORATION | 250. | 250. |
| DUN & BRADSTREET CORP DEL NEW COM | 68. | 68. |
| EOG RESOURCES INC | 50. | 50. |
| EXXON MOBIL CORPORATION | 385. | 385. |
| FPL GROUP INC COM | 218. | 218. |
| FAMILY DLR STORES INC | 35. | 35. |
| FEDERAL HOME LN MTG CORP MTN CALL 11/13/ | 2,000. | 2,000. |
| FEDEX CORP | 30. | 30. |
| FIFTH THIRD BANCORP COM | 54. | 54. |
| MORTGAGE-BACKED CTF | 36,019. | 36,019. |
| FLOWSERVE CORP | 29. | 29. |
| FRANKLIN RES INC COM | 138. | 138. |

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FREEPORT-MCMORAN COPPER & GOLD INC COM | 350. | 350. |
| GANNETT CO INC | 35. | 35. |
| GENERAL DYNAMICS CORP | 126. | 126. |
| GENERAL ELEC CO | 795. | 795. |
| GENERAL MILLS INC | 159. | 159. |
| GOLDMAN SACHS GROUP INC | 390. | 390. |
| GOODRICH B F CO | 154. | 154. |
| GREENHILL & CO INC COM | 45. | 45. |
| HALLIBURTON CO | 70. | 70. |
| HERSHEY FOODS CORP | 72. | 72. |
| HEWLETT PACKARD CO COM | 367. | 367. |
| HONEYWELL INTERNATIONAL INC | 646. | 646. |
| HUNTINGTON BANCSHARES INCORPORATED | 20. | 20. |
| ILLINOIS TOOL WORKS INCORPORATED | 434. | 434. |
| INTERNATIONAL BUSINESS MACHS | 1,376. | 1,376. |
| INTERNATIONAL GAME TECHNOLOGY | 39. | 39. |
| INTERNATIONAL PAPER COMPANY | 119. | 119. |
| ISHARES BARCLAYS AGGREGATE BD FUND | 41,387. | 41,387. |
| ISHR MSCI EAFE INDEX FUND | 1,682. | 1,682. |
| J P MORGAN CHASE & CO COM | 269. | 269. |
| JOHNSON & JOHNSON | 218. | 218. |
| JOY GLOBAL INC 00 | 70. | 70. |
| KLA INSTRS CORP | 49. | 49. |
| KIMBERLY CLARK CORP COM | 378. | 378. |
| L-3 COMMUNICATIONS HLDGS INC COM | 80. | 80. |
| LIMITED BRANDS INC COM | 3,229. | 3,229. |
| LINCOLN NATL CORP IND | 11. | 11. |
| LINEAR TECHNOLOGY CORP | 86. | 86. |
| LOWES COMPANIES INCORPORATED | 607. | 607. |
| M & T BANK CORPORATION | 298. | 298. |
| MASTERCARD INC CL A COM | 34. | 34. |
| MEAD JOHNSON NUTRITION CO COM | 203. | 203. |
| MELLON FINL CO 02/12/1998 6.375% 02/15/2 | 319. | 319. |

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| MERCK & CO INC NEW COM | 504. | 504. |
| METLIFE INC | 981. | 981. |
| MICROSOFT CORPORATION | 1,113. | 1,113. |
| MOLSON COORS BREWING CO CL B | 37. | 37. |
| MORGAN STANLEY DEAN WITTER DISCOVER & CO | 93. | 93. |
| NEWS CORP CL A | 218. | 218. |
| NINTENDO LTD ADR | 104. | 104. |
| NORDSTROM INCORPORATED | 170. | 170. |
| NORFOLK SOUTHERN CORP | 332. | 332. |
| NORTHERN TRUST CORPORATION | 210. | 210. |
| OCCIDENTAL PETROLEUM CORPORATION | 959. | 959. |
| P G & E CORPORATION | 961. | 961. |
| PNC BK CORP | 260. | 260. |
| PPG INDUSTRIES INC | 270. | 270. |
| PACKAGING CORP OF AMERICA | 330. | 330. |
| PARKER HANNIFIN CORPORATION | 179. | 179. |
| PENNEY J C INC | 105. | 105. |
| PEPSICO INCORPORATED | 1,101. | 1,101. |
| PFIZER INC | 1,274. | 1,274. |
| PHILIP MORRIS INTL INC COM | 2,673. | 2,673. |
| PIMCO COMMODITY REALRETURN STRATEGY FUND | 9,101. | 9,101. |
| POLO RALPH LAUREN CORPORATION | 24. | 24. |
| PRICE T ROWE GROUP INC COM | 587. | 587. |
| PROCTER & GAMBLE CO COM | 1,298. | 1,298. |
| PRUDENTIAL FINL INC MTN SER B | 713. | 713. |
| PUBLIC SERVICE ENTERPRISE GROUP INC | 856. | 856. |
| QEP RES INC COM | 5. | 5. |
| QUESTAR CORP | 100. | 100. |
| RAYMOND JAMES FINANCIAL INCORPORATED | 80. | 80. |
| REINSURANCE GROUP AMER INC COM | 30. | 30. |
| RIO TINTO PLC SPONSORED ADR | 87. | 87. |
| ROSS STORES INC | 128. | 128. |
| SCHLUMBERGER LIMITED | 226. | 226. |

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| STAPLES INCORPORATED | 78. | 78. |
| STARBUCKS CORP | 83. | 83. |
| STARWOOD HOTELS & RESORTS WORLDWIDE INC | 91. | 91. |
| STATE STREET CORP | 9. | 9. |
| STEEL DYNAMICS INC | 105. | 105. |
| TJX COMPANIES INCORPORATED NEW | 225. | 225. |
| TARGET CORP | 588. | 588. |
| TEXAS INSTRS INC | 234. | 234. |
| 3M CO COM | 407. | 407. |
| TIME WARNER INC NEW COM | 478. | 478. |
| US BANCORP DEL COM NEW | 110. | 110. |
| UNION PAC CORP COM | 223. | 223. |
| UNITED PARCEL SERVICE CL B | 975. | 975. |
| UNITED STATES TREAS BD DTD 02/15/01 5.37 | 7,794. | 7,794. |
| UNITED STATES TREAS NT DTD 02/15/01 5.00 | 750. | 750. |
| UNITED STATES TREAS NTS 4.25% | 3,188. | 3,188. |
| UNITED STATES TREAS NTS 3.625% 1/15/10 | 1,004. | 1,004. |
| UNITED STATES TREAS NT DTD 02/15/05 4.00 | 4,600. | 4,600. |
| UNITED STATES TREAS NT DTD 08/15/05 4.25 | 2,125. | 2,125. |
| UNITED STS STL CORP NEW COM | 20. | 20. |
| UNITED TECHNOLOGIES CORP | 1,103. | 1,103. |
| UNITEDHEALTH GROUP INC | 193. | 193. |
| UNIVERSAL HEALTH SVCS INC CL B | 16. | 16. |
| UNUMPROVIDENT CORP | 179. | 179. |
| VANGUARD TOTAL BD MARKET ETF | 8,711. | 8,711. |
| VANGUARD MSCI EMERGING MKTS ETF | 11,546. | 11,546. |
| VERIZON COMMUNICATIONS | 1,425. | 1,425. |
| VERIZON GLOBAL FDG CORP GLOBAL NT | 1,106. | 1,106. |
| VIACOM INC CL B COM | 334. | 334. |
| VISA INC CL A COM | 53. | 53. |
| WAL-MART STORES INCORPORATED | 484. | 484. |
| WAL MART STORES INC NT | 378. | 378. |
| WELLS FARGO COMPANY | 535. | 535. |

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| XCEL ENERGY INC COM | 164. | 164. |
| AXIS CAPITAL HOLDINGS LTD COM | 118. | 118. |
| COOPER INDS PLC NEW COM | 182. | 182. |
| INGERSOLL-RAND CO LTD COM | 58. | |
| XL CAPITAL LTD CL A | 115. | 115. |
| ACE LTD COM | 87. | 87. |
| NOBLE CORP COM | 89. | 89. |
| TYCO INTL LTD NEW F COM | 467. | 467. |
| TYCO ELECTRONICS LTD COM | 176. | 176. |
| MILLICOM INTL CELLULAR S A COM | 905. | 905. |
| TOTAL | 232,472. | 232,304. |

FORM 990PF, PART I - OTHER INCOME

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FEDERAL TAX REFUND | 211. | |
| ISHARES S&P GSCI COMMODITY-INDEX ED TR U | | 86. |
| PRIVATE EQUITY PORT FD I LLC ***CAP ACCO | | 15,154. |
| TOTALS | 211. | 15,240. |

FORM 990PF, PART I - ACCOUNTING FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| AUDIT & ACCOUNTING FEES (ALLOC | 1,184. | 1,184. | | |
| TAX PREPARATION FEE (NON-ALLOC | 935. | | | 935. |
| TOTALS | 2,119. | 1,184. | NONE | 935. |

FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| FOREIGN TAXES | 156. | 156. |
| FEDERAL ESTIMATES - PRINCIPAL | 10,551. | |
| FOREIGN TAXES ON QUALIFIED FOR | 2,220. | 2,220. |
| FOREIGN TAXES ON NONQUALIFIED | 542. | 542. |
| TOTALS | 13,469. | 2,918. |

## FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | CHARITABLE PURPOSES |
|---|---|---|---|
| OTHER ALLOCABLE EXPENSE-INCOME | 125. | | 125. |
| DIVIDEND INVESTMENT EXPENSE - | | 4,995. | |
| TOTALS | 125. | 4,995. | 125. |

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | | AMOUNT |
|---|---|---|
| 10 TYE INC ADJ | | 3,132. |
| PEP ROC | | 15,127. |
| | TOTAL | 18,259. |

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | | AMOUNT |
|---|---|---|
| ADJ CARRYING VALUE | | 913. |
| | TOTAL | 913. |

STATE(S) WHERE THE FOUNDATION IS REGISTERED

MA

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

OFFICER NAME:
BANK OF AMERICA
ADDRESS:
100 FEDERAL STREET
BOSTON, MA 02110
TITLE:
CO-TRUSTEE
AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 40
COMPENSATION .............................................. 53,911.

OFFICER NAME:
REV. M. JAMES WORKMAN
ADDRESS:
25 BENNINGTON STREET
NEEDHAM, MA 02194-1932
TITLE:
CO-TRUSTEE
AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 1
COMPENSATION .............................................. 2,000.

OFFICER NAME:
PAUL TAYLOR
ADDRESS:
SOUTH SHORE HOSPITAL FOUNDATION
S WEYMOUTH, MA 02190-2432
TITLE:
CO-TRUSTEE
AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 1
COMPENSATION .............................................. 2,000.

TOTAL COMPENSATION: 57,911.

RECIPIENT NAME:
BANK OF AMERICA, N.A.
ADDRESS:
100 FEDERAL STREET
BOSTON, MA 02110
FORM, INFORMATION AND MATERIALS:
INCLUDE ALL PERTINENT INFORMATION-NO SPECIAL FORMS REQUIRED
SUBMISSION DEADLINES:
NONE
RESTRICTIONS OR LIMITATIONS ON AWARDS:
SOCIAL SERVICE PROGRAMS

HAROLD BROOKS FOUNDATION 04-6043983

FORM 990PF, PART XV, LINE 3 - CONTRIBUTIONS, GIFTS, GRANTS PAID

RECIPIENT NAME:
SEE ATTACHED SCHEDULE
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
GENERAL CHARITABLE PURPOSES
AMOUNT OF GRANT PAID ........................................ 447,500.

TOTAL GRANTS PAID: 447,500.

| TAX CODE/DATE | TRANSACTIONS | TAXABLE | INCOME | PRINCIPAL | EDIT NUMBER |
|---|---|---|---|---|---|
| 102 | CHARITABLE DEDUCTION - CURRENT INCOME | | | | |
| 06/17/10 | SOUTH SHORE HOSPITAL<br>TO SUPPORT NEW COMPREHENSIVE CENTER<br>FOR CANCER CARE, PAYMENT 2 OF 4<br>TR TRAN#=101680001000 TR CD=823 REG=0 PORT=INC | -75000 00 | -75000 00 | | 1006000106 |
| 07/14/10 | CATHOLIC CHARITIES<br>HAROLD BROOKS FOUNDATION<br>FOR ESOL IN PLYMOUTH AREA<br>TR TRAN#=101950001000 TR CD=823 REG=0 PORT=INC | -20000 00 | -20000 00 | | 1007000047 |
| 07/14/10 | MANET COMMUNITY HEALTH CENTER<br>HAROLD BROOKS FOUNDATION<br>FOR CHRONIC DISEASE CARE MGMT PROGRAM<br>PAYMENT 1 OF 2<br>TR TRAN#=101950002000 TR CD=823 REG=0 PORT=INC | -25000 00 | -25000 00 | | 1007000048 |
| 07/14/10 | QUINCY ASIAN RESOURCES<br>HAROLD BROOKS FOUNDATION<br>FOR SUPPORT OF ESOL CLASSES<br>TR TRAN#=101950003000 TR CD=823 REG=0 PORT=INC | -20000 00 | -20000 00 | | 1007000049 |
| 07/14/10 | SCHOOL ON WHEELS OF MASSACHUSETT<br>HAROLD BROOKS FOUNDATION<br>FOR ACADEMIC SUPPORT SERVICES<br>PAYMENT 1 OF 2<br>TR TRAN#=101950004000 TR CD=823 REG=0 PORT=INC | -20000 00 | -20000 00 | | 1007000050 |
| 07/14/10 | CRADLES TO CRAYONS<br>HAROLD BROOKS FOUNDATION<br>FOR GENERAL SUPPORT<br>TR TRAN#=101950005000 TR CD=823 REG=0 PORT=INC | -20000 00 | -20000 00 | | 1007000051 |
| 07/14/10 | PROJECT BREAD<br>HAROLD BROOKS FOUNDATION<br>FOR GENERAL SUPPORT<br>TR TRAN#=101950006000 TR CD=823 REG=0 PORT=INC | -5000 00 | -5000 00 | | 1007000052 |
| 07/14/10 | THE GOOD SHEPHERD'S MARIA DROSTE<br>HAROLD BROOKS FOUNDATION<br>FOR GENERAL SUPPORT<br>TR TRAN#=101950007000 TR CD=823 REG=0 PORT=INC | -7500 00 | -7500 00 | | 1007000053 |
| 08/03/10 | WELLSPRING, INC<br>SUPPORT TO CONTINUE AND EXPAND<br>COUNSELING SERVICES PAYMENT 2 OF 2<br>TR TRAN#=102150001000 TR CD=823 REG=0 PORT=INC | -15000 00 | -15000 00 | | 1008000022 |
| 08/18/10 | SOUTH SHORE COMMUNITY ACTION<br>PAYMENT 2 OF 2, FOR THE GREATER PLYMOUTH<br>FOOD WAREHOUSE SENIORS ACCESS INITIATIVE<br>TR TRAN#=102300001000 TR CD=823 REG=0 PORT=INC | -15000 00 | -15000 00 | | 1008000061 |
| 08/18/10 | SOUTH SHORE DAY CARE<br>PAYMENT 2 OF 2,<br>FOR THE FAMILY SUPPORT PROGRAM<br>TR TRAN#=102300002000 TR CD=823 REG=0 PORT=INC | -15000 00 | -15000 00 | | 1008000062 |
| 12/01/10 | ST PAUL'S COMMUNITY KITCHEN<br>FOR RECENT SUCCESSFUL COMPLETION OF<br>GRANT CHALLENGE<br>TR TRAN#=103350001000 TR CD=823 REG=0 PORT=INC | -5000.00 | -5000 00 | | 1012000002 |
| 12/01/10 | SOUTH SHORE YMCA<br>PAYMENT TWO OF TWO YEAR GRANT<br>TR TRAN#=103350002000 TR CD=823 REG=0 PORT=INC | -10000 00 | -10000 00 | | 1012000003 |
| 12/23/10 | FATHER BILL'S & MAINSPRING, INC<br>HAROLD BROOKS FOUNDATION 2010<br>TR TRAN#=103570005000 TR CD=823 REG=0 PORT=INC | -20000 00 | -20000 00 | | 1012000091 |
| 12/23/10 | HOME, INC<br>HAROLD BROOKS FOUNDATION 2010<br>TR TRAN#=103570006000 TR CD=823 REG=0 PORT=INC | -25000 00 | -25000 00 | | 1012000092 |
| 12/23/10 | LATIN AMERICAN HEALTH INSTITUTE<br>HAROLD BROOKS FOUNDATION 2010<br>TR TRAN#=103570007000 TR CD=823 REG=0 PORT=INC | -15000 00 | -15000 00 | | 1012000093 |

| TAX CODE/DATE | TRANSACTIONS | TAXABLE | INCOME | PRINCIPAL | EDIT NUMBER |
|---|---|---|---|---|---|
| 102 | CHARITABLE DEDUCTION - CURRENT INCOME (CONTINUED) | | | | |
| 12/23/10 | MASS COALITION FOR THE HOMELESS<br>HAROLD BROOKS FOUNDATION 2010<br>TR TRAN#=103570008000 TR CD=823 REG=0 PORT=INC | -25000 00 | -25000 00 | | 1012000094 |
| 12/23/10 | BROCKTON NEIGHBORHOOD HEALTH CTR<br>HAROLD BROOKS FOUNDATION 2010<br>TR TRAN#=103570002000 TR CD=823 REG=0 PORT=INC | -10000 00 | -10000 00 | | 1012000088 |
| 12/23/10 | BOYS AND GIRLS CLUB OF<br>HAROLD BROOKS FOUNDATION 2010<br>PAYMENT ONE OF THREE YEAR GRANT<br>TR TRAN#=103570001000 TR CD=823 REG=0 PORT=INC | -25000 00 | -25000 00 | | 1012000087 |
| 12/23/10 | CHARITY GUILD, INC<br>HAROLD BROOKS FOUNDATION 2010<br>TR TRAN#=103570003000 TR CD=823 REG=0 PORT=INC | -10000 00 | -10000 00 | | 1012000089 |
| 12/23/10 | DOVE, INC<br>HAROLD BROOKS FOUNDATION 2010<br>TR TRAN#=103570004000 TR CD=823 REG=0 PORT=INC | -30000 00 | -30000 00 | | 1012000090 |
| 12/23/10 | MASSASOIT COMMUNITY FOUNDATION<br>HAROLD BROOKS FOUNDATION 2010<br>TR TRAN#=103570009000 TR CD=823 REG=0 PORT=INC | -15000 00 | -15000 00 | | 1012000095 |
| 12/23/10 | QUINCY COMMUNITY ACTION PROGRAMS<br>FOR THE EMERGENCY FOOD CENTER<br>HAROLD BROOKS TRUST 2010<br>TR TRAN#=103570010000 TR CD=823 REG=0 PORT=INC | -20000 00 | -20000 00 | | 1012000096 |
| | TOTAL CODE 102 - CHARITABLE DEDUCTION - CURRENT INCOME | -447500 00 | -447500 00 | 0 00 | |

Settlement Date

Bank of America
Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| **Cash/Currency** | | | | | | | | | |
| **Cash Equivalents** | | | | | | | | | |
| 18,194.090 | BOFA TREASURY RESERVES CAPITAL CLASS - FORMERLY COLUMBIA TREASURY RESERVES (Income Investment) | 097101307 | $18,194.09 | 0.2% | $18,194.09<br>1.000 | $0 00 | $0.19 | $0.00 | 0 0% |
| 259,142.560 | BOFA TREASURY RESERVES CAPITAL CLASS - FORMERLY COLUMBIA TREASURY RESERVES | 097101307 | 259,142 56 | 2 7 | 259,142.56<br>1.000 | 0 00 | 1.38 | 0.00 | 0 0 |
| | **Total Cash Equivalents** | | **$277,336.65** | **2.9%** | **$277,336.65** | **$0.00** | **$1.57** | **$0.00** | **0.0%** |
| **Total Cash/Currency** | | | **$277,336.65** | **2.9%** | **$277,336.65** | **$0.00** | **$1.57** | **$0.00** | **0.0%** |

**Equities**

(2)Industry Sector Codes
CND = Consumer Discretionary
CNS = Consumer Staples
ENR = Energy
FIN = Financials
HEA = Health Care
IND = Industrials
IFT = Information Technology
MAT = Materials
OEQ = Other Equities
TEL = Telecommunication Services
UTL = Utilities

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| **U.S. Large Cap** | | | | | | | | | |
| 825 000 | ABBOTT LABS<br>Ticker: ABT | 002824100<br>HEA | $39,525 75<br>47.910 | 0.4% | $42,166 10<br>51 110 | -$2,640.35 | $0.00 | $1,452 00 | 3 7% |
| 475.000 | ALLERGAN INC<br>Ticker: AGN | 018490102<br>HEA | 32,618.25<br>68.670 | 0.3 | 29,933.87<br>63 019 | 2,684 38 | 0 00 | 95 00 | 0 3 |
| 575 000 | AMERICAN ELEC PWR INC<br>Ticker: AEP | 025537101<br>UTL | 20,688 50<br>35.980 | 0.2 | 20,403 88<br>35.485 | 284 62 | 0 00 | 1,058 00 | 5 1 |
| 475.000 | AMERICAN TOWER CORP CL A<br>Ticker: AMT | 029912201<br>TEL | 24,529 00<br>51 640 | 0 3 | 23,513 64<br>49 502 | 1,015 36 | 0.00 | 0.00 | 0 0 |
| 475.000 | AMGEN INC<br>Ticker: AMGN | 031162100<br>HEA | 26,077.50<br>54.900 | 0 3 | 25,322 16<br>53.310 | 755 34 | 0.00 | 0 00 | 0 0 |
| 440.000 | APACHE CORP<br>Ticker: APA | 037411105<br>ENR | 52,461.20<br>119 230 | 0.5 | 39,322 28<br>89 369 | 13,138 92 | 0.00 | 264.00 | 0.5 |
| 335.000 | APPLE INC<br>Ticker: AAPL | 037833100<br>IFT | 108,057 60<br>322 560 | 1.1 | 83,455 34<br>249.120 | 24,602.26 | 0.00 | 0.00 | 0.0 |

Bank of America Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| Equities (cont) | | | | | | | | | |
| **U.S. Large Cap (cont)** | | | | | | | | | |
| 2,230.000 | AT&T INC<br>Ticker: T | 00206R102<br>TEL | 65,517.40<br>29 380 | 0.7 | 64,543.97<br>28 943 | 973.43 | 0.00 | 3,835 60 | 5.9 |
| 680.000 | AVON PRODS INC<br>Ticker: AVP | 054303102<br>CNS | 19,760 80<br>29 060 | 0.2 | 20,806.29<br>30.597 | -1,045 49 | 0 00 | 598 40 | 3.0 |
| 350.000 | BAKER HUGHES INC<br>Ticker. BHI | 057224107<br>ENR | 20,009 50<br>57.170 | 0 2 | 13,693 75<br>39 125 | 6,315 75 | 0 00 | 210 00 | 1.1 |
| 400.000 | BROADCOM CORP<br>CL A<br>Ticker: BRCM | 111320107<br>IFT | 17,420 00<br>43.550 | 0.2 | 16,865 67<br>42.164 | 554 33 | 0.00 | 128 00 | 0 7 |
| 950.000 | CARDINAL HEALTH INC<br>Ticker· CAH | 14149Y108<br>HEA | 36,394.50<br>38 310 | 0.4 | 33,121.76<br>34.865 | 3,272.74 | 185 25 | 741 00 | 2 0 |
| 975 000 | CBS CORP<br>NEW CL B COM<br>Ticker CBS | 124857202<br>CND | 18,573 75<br>19.050 | 0 2 | 15,815 76<br>16.221 | 2,757 99 | 48.75 | 195 00 | 1.1 |
| 725.000 | CELGENE CORP<br>Ticker: CELG | 151020104<br>HEA | 42,876 50<br>59.140 | 0 4 | 41,975 06<br>57.897 | 901.44 | 0.00 | 0 00 | 0.0 |
| 1,000 000 | CHEVRON CORP<br>Ticker: CVX | 166764100<br>ENR | 91,250 00<br>91.250 | 0 9 | 73,841 33<br>73 841 | 17,408.67 | 0 00 | 2,880 00 | 3 2 |
| 675 000 | CIGNA CORP<br>Ticker: CI | 125509109<br>HEA | 24,745 50<br>36.660 | 0 3 | 23,403.37<br>34 672 | 1,342.13 | 0.00 | 27 00 | 0.1 |
| 825 000 | CISCO SYS INC<br>Ticker. CSCO | 17275R102<br>IFT | 16,689 75<br>20 230 | 0 2 | 18,684.86<br>22.648 | -1,995 11 | 0.00 | 0 00 | 0 0 |
| 12,450.000 | CITIGROUP INC<br>Ticker· C | 172967101<br>FIN | 58,888.50<br>4 730 | 0.6 | 48,697.61<br>3 911 | 10,190 89 | 0 00 | 498 00 | 0.8 |
| 350 000 | COCA COLA CO<br>Ticker. KO | 191216100<br>CNS | 23,019 50<br>65.770 | 0 2 | 19,973 25<br>57.066 | 3,046 25 | 0 00 | 616 00 | 2 7 |
| 200 000 | COLGATE PALMOLIVE CO<br>Ticker: CL | 194162103<br>CNS | 16,074 00<br>80 370 | 0 2 | 14,898 19<br>74.491 | 1,175 81 | 0 00 | 424 00 | 2 6 |
| 1,900.000 | COMCAST CORP<br>NEW CL A COM<br>Ticker: CMCS A | 20030N101<br>CND | 41,743 00<br>21 970 | 0 4 | 33,463 23<br>17 612 | 8,279 77 | 0.00 | 718.20 | 1 7 |
| 1,200.000 | CORNING INC<br>Ticker: GLW | 219350105<br>IFT | 23,184 00<br>19.320 | 0.2 | 21,783.67<br>18 153 | 1,400 33 | 0.00 | 240.00 | 1 0 |

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| Equities (cont) | | | | | | | | | |
| **U.S. Large Cap (cont)** | | | | | | | | | |
| 475.000 | COSTCO WHSL CORP NEW<br>Ticker: COST | 22160K105<br>CNS | 34,299.75<br>72 210 | 0.4 | 30,526.16<br>64 266 | 3,773.59 | 0 00 | 389.50 | 1.1 |
| 150.000 | CUMMINS INC<br>Ticker CMI | 231021106<br>IND | 16,501.50<br>110.010 | 0.2 | 11,784.37<br>78 562 | 4,717 13 | 0.00 | 157.50 | 1.0 |
| 1,325.000 | CVS CAREMARK CORP<br>Ticker: CVS | 126650100<br>CNS | 46,070.25<br>34.770 | 0 5 | 43,204 56<br>32.607 | 2,865.69 | 0.00 | 463 75 | 1 0 |
| 1,125 000 | DISCOVER FINL SVCS<br>Ticker. DFS | 254709108<br>FIN | 20,846 25<br>18 530 | 0 2 | 16,562 37<br>14.722 | 4,283.88 | 22.50 | 90 00 | 0 4 |
| 350.000 | DOVER CORP<br>Ticker: DOV | 260003108<br>IND | 20,457.50<br>58.450 | 0.2 | 19,236 41<br>54 961 | 1,221.09 | 0 00 | 385.00 | 1 9 |
| 1,860.000 | EMC CORP<br>Ticker. EMC | 268648102<br>IFT | 42,594.00<br>22 900 | 0.4 | 25,920.49<br>13.936 | 16,673.51 | 0 00 | 0 00 | 0 0 |
| 225.000 | ENTERGY CORP NEW<br>Ticker: ETR | 29364G103<br>UTL | 15,936 75<br>70.830 | 0.2 | 16,197 73<br>71.990 | -260 98 | 0 00 | 747 00 | 4.7 |
| 325.000 | EXPRESS SCRIPTS INC<br>Ticker ESRX | 302182100<br>HEA | 17,566.25<br>54.050 | 0.2 | 14,954.86<br>46 015 | 2,611.39 | 0 00 | 0.00 | 0.0 |
| 1,000 000 | FORD MTR CO DEL<br>COM PAR $0 01<br>Ticker: F | 345370860<br>CND | 16,790.00<br>16.790 | 0.2 | 12,514.99<br>12.515 | 4,275.01 | 0.00 | 0 00 | 0 0 |
| 150.000 | FRANKLIN RES INC<br>Ticker: BEN | 354613101<br>FIN | 16,681.50<br>111.210 | 0.2 | 15,635 25<br>104.235 | 1,046 25 | 37 50 | 150 00 | 0 9 |
| 200.000 | FREEPORT-MCMORAN COPPER & GOLD<br>INC COM<br>Ticker. FCX | 35671D857<br>MAT | 24,018 00<br>120.090 | 0 3 | 17,197.40<br>85.987 | 6,820.60 | 0.00 | 400.00 | 1 7 |
| 775 000 | GILEAD SCIENCES INC<br>Ticker: GILD | 375558103<br>HEA | 28,086.00<br>36 240 | 0 3 | 35,876 41<br>46.292 | -7,790.41 | 0 00 | 0 00 | 0 0 |
| 310.000 | GOLDMAN SACHS GROUP INC<br>Ticker. GS | 38141G104<br>FIN | 52,129.60<br>168 160 | 0.5 | 45,905.57<br>148 082 | 6,224.03 | 0.00 | 434 00 | 0 8 |
| 275 000 | GOODRICH CORP<br>Ticker. GR | 382388106<br>IND | 24,219 25<br>88 070 | 0.3 | 19,434.37<br>70 670 | 4,784 88 | 0 00 | 319 00 | 1.3 |
| 110 000 | GOOGLE INC<br>CL A COM<br>Ticker: GOOG | 38259P508<br>IFT | 65,336.70<br>593.970 | 0 7 | 47,417 44<br>431.068 | 17,919 26 | 0 00 | 0 00 | 0 0 |

Settlement Date

Bank of America Merrill Lynch

# Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| **Equities (cont)** | | | | | | | | | |
| **U.S. Large Cap (cont)** | | | | | | | | | |
| 925.000 | INTEL CORP Ticker: INTC | 458140100 IFT | 19,452.75 21.030 | 0.2 | 19,753.37 21 355 | -300 62 | 0 00 | 582.75 | 3.0 |
| 445 000 | INTERNATIONAL BUSINESS MACHS Ticker: IBM | 459200101 IFT | 65,308.20 146.760 | 0.7 | 57,781 58 129.846 | 7,526 62 | 0 00 | 1,157.00 | 1 8 |
| 275.000 | INTUIT Ticker INTU | 461202103 IFT | 13,557.50 49.300 | 0.1 | 12,756 45 46.387 | 801 05 | 0 00 | 0 00 | 0 0 |
| 1,150.000 | J P MORGAN CHASE & CO Ticker: JPM | 46625H100 FIN | 48,783 00 42 420 | 0.5 | 44,445 16 38.648 | 4,337.84 | 0.00 | 230 00 | 0.5 |
| 200.000 | LAS VEGAS SANDS CORP Ticker: LVS | 517834107 CND | 9,190.00 45.950 | 0 1 | 9,228.99 46.145 | -38 99 | 0.00 | 0 00 | 0 0 |
| 750.000 | LIMITED BRANDS INC Ticker. LTD | 532716107 CND | 23,047.50 30 730 | 0.2 | 20,266.25 27.022 | 2,781.25 | 2,250 00 | 450 00 | 2 0 |
| 1,325 000 | LOWES COS INC Ticker: LOW | 548661107 CND | 33,231 00 25.080 | 0.3 | 28,897 50 21.809 | 4,333 50 | 0 00 | 583 00 | 1.8 |
| 325.000 | MEAD JOHNSON NUTRITION CO Ticker. MJN | 582839106 CNS | 20,231.25 62 250 | 0.2 | 15,972.78 49.147 | 4,258.47 | 73.13 | 292.50 | 1.4 |
| 475 000 | MEDCO HLTH SOLUTIONS INC Ticker: MHS | 58405U102 HEA | 29,103.25 61.270 | 0 3 | 22,947.28 48.310 | 6,155.97 | 0.00 | 0.00 | 0 0 |
| 1,325.000 | MERCK & CO INC NEW COM Ticker MRK | 58933Y105 HEA | 47,753 00 36.040 | 0.5 | 48,656 78 36.722 | -903 78 | 503.50 | 2,014 00 | 4 2 |
| 1,325 000 | METLIFE INC Ticker. MET | 59156R108 FIN | 58,883.00 44.440 | 0 6 | 52,972 62 39.979 | 5,910 38 | 0 00 | 980 50 | 1 7 |
| 1,126.000 | MICROSOFT CORP Ticker MSFT | 594918104 IFT | 31,426.66 27 910 | 0.3 | 25,025.25 22.225 | 6,401.41 | 0.00 | 720.64 | 2.3 |
| 150.000 | MONSANTO CO NEW COM Ticker MON | 61166W101 MAT | 10,446.00 69.640 | 0.1 | 7,208.28 48.055 | 3,237.72 | 0 00 | 168.00 | 1.6 |
| 550.000 | MORGAN STANLEY Ticker. MS | 617446448 FIN | 14,965 50 27.210 | 0 2 | 13,929 90 25 327 | 1,035 60 | 0.00 | 110.00 | 0 7 |
| 450 000 | MURPHY OIL CORP Ticker: MUR | 626717102 ENR | 33,547.50 74.550 | 0 3 | 32,071 79 71.271 | 1,475.71 | 0.00 | 495.00 | 1 5 |

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct. 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP / Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| **Equities (cont)** | | | | | | | | | |
| **U.S. Large Cap (cont)** | | | | | | | | | |
| 0.000 | NORTHERN TR CORP<br>Ticker: NTRS | 665859104<br>FIN | 0.00<br>55 410 | 0.0 | 0.00 | 0.00 | 112.00 | 0 00 | 0.0 |
| 825 000 | OCCIDENTAL PETE CORP DEL<br>Ticker. OXY | 674599105<br>ENR | 80,932.50<br>98.100 | 0.8 | 54,434.43<br>65 981 | 26,498.07 | 313.50 | 1,254 00 | 1.5 |
| 550.000 | ORACLE CORP<br>Ticker: ORCL | 68389X105<br>IFT | 17,215 00<br>31.300 | 0 2 | 16,843 74<br>30 625 | 371 26 | 0.00 | 110 00 | 0 6 |
| 225.000 | PARKER HANNIFIN CORP<br>Ticker: PH | 701094104<br>IND | 19,417.50<br>86.300 | 0.2 | 19,242.22<br>85 521 | 175.28 | 0 00 | 261 00 | 1.3 |
| 225 000 | PEABODY ENERGY CORP<br>Ticker: BTU | 704549104<br>MAT | 14,395 50<br>63.980 | 0.2 | 13,833.11<br>61 480 | 562 39 | 0.00 | 76.50 | 0.5 |
| 750 000 | PEPSICO INC<br>Ticker: PEP | 713448108<br>CNS | 48,997.50<br>65.330 | 0.5 | 48,011 02<br>64 015 | 986 48 | 360 00 | 1,440 00 | 2.9 |
| 450.000 | PG&E CORP<br>Ticker: PCG | 69331C108<br>UTL | 21,528.00<br>47.840 | 0.2 | 18,413.70<br>40.919 | 3,114 30 | 204 75 | 819 00 | 3 8 |
| 1,005.000 | PHILIP MORRIS INTL INC<br>Ticker: PM | 718172109<br>CNS | 58,822.65<br>58 530 | 0.6 | 50,879 78<br>50.627 | 7,942.87 | 643.20 | 2,572.80 | 4.4 |
| 680.000 | PNC FINL SVCS GROUP INC<br>Ticker. PNC | 693475105<br>FIN | 41,289.60<br>60 720 | 0 4 | 34,952 85<br>51 401 | 6,336.75 | 0 00 | 272 00 | 0 7 |
| 600 000 | PPL CORP<br>Ticker: PPL | 69351T106<br>UTL | 15,792.00<br>26 320 | 0.2 | 16,578 19<br>27.630 | -786 19 | 210.00 | 840 00 | 5.3 |
| 525.000 | PRICE T ROWE GROUP INC<br>Ticker: TROW | 74144T108<br>FIN | 33,883 50<br>64.540 | 0.4 | 26,158 98<br>49.827 | 7,724 52 | 0 00 | 567 00 | 1 7 |
| 25 000 | PRICELINE COM INC<br>COM NEW<br>Ticker: PCLN | 741503403<br>CND | 9,988.75<br>399.550 | 0 1 | 10,435 37<br>417.415 | -446 62 | 0 00 | 0 00 | 0 0 |
| 1,200.000 | PROCTER & GAMBLE CO<br>Ticker: PG | 742718109<br>CNS | 77,196 00<br>64 330 | 0 8 | 75,862 80<br>63 219 | 1,333 20 | 0 00 | 2,312.40 | 3 0 |
| 575.000 | PRUDENTIAL FINL INC<br>Ticker: PRU | 744320102<br>FIN | 33,758.25<br>58 710 | 0 4 | 33,238 79<br>57.807 | 519 46 | 0 00 | 661.25 | 2 0 |
| 300 000 | SANDISK CORP<br>Ticker: SNDK | 80004C101<br>IFT | 14,958.00<br>49 860 | 0 2 | 14,757 93<br>49.193 | 200 07 | 0 00 | 0 00 | 0 0 |

Bank of America Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| Equities (cont) | | | | | | | | | |
| **U.S. Large Cap (cont)** | | | | | | | | | |
| 675.000 | SCHLUMBERGER LTD NETHERLANDS ANTILLES Ticker: SLB | 806857108 ENR | 56,362.50 83.500 | 0.6 | 38,848.86 57.554 | 17,513.64 | 141.75 | 567.00 | 1.0 |
| 475 000 | SOUTHWESTERN ENERGY CO Ticker: SWN | 845467109 ENR | 17,779 25 37 430 | 0 2 | 20,074 29 42.262 | -2,295.04 | 0 00 | 0 00 | 0 0 |
| 950.000 | STAPLES INC Ticker: SPLS | 855030102 CND | 21,631.50 22 770 | 0 2 | 21,323 42 22.446 | 308 08 | 85 50 | 342 00 | 1.6 |
| 575.000 | TARGET CORP Ticker: TGT | 87612E106 CND | 34,574 75 60 130 | 0 4 | 27,375.87 47.610 | 7,198 88 | 0 00 | 575.00 | 1 7 |
| 275.000 | THERMO FISHER SCIENTIFIC CORP Ticker: TMO | 883556102 HEA | 15,224 00 55.360 | 0.2 | 13,714.74 49 872 | 1,509.26 | 0 00 | 0 00 | 0 0 |
| 400.000 | UNION PAC CORP Ticker. UNP | 907818108 IND | 37,064 00 92.660 | 0.4 | 28,959 00 72.398 | 8,105 00 | 152 00 | 608 00 | 1 6 |
| 775.000 | UNITED PARCEL SVC INC CL B Ticker: UPS | 911312106 IND | 56,249.50 72 580 | 0.6 | 50,655.74 65 362 | 5,593.76 | 0.00 | 1,457.00 | 2.6 |
| 530.000 | UNITED TECHNOLOGIES CORP Ticker: UTX | 913017109 IND | 41,721.60 78.720 | 0.4 | 30,358 32 57.280 | 11,363 28 | 0 00 | 901 00 | 2.2 |
| 625.000 | VIACOM INC CL B COM Ticker. VIA B | 92553P201 CND | 24,756 25 39.610 | 0 3 | 19,945 75 31 913 | 4,810 50 | 0 00 | 375 00 | 1 5 |
| 225.000 | VISA INC CL A COM Ticker. V | 92826C839 FIN | 15,835.50 70.380 | 0.2 | 16,602 10 73 787 | -766.60 | 0 00 | 135.00 | 0 9 |
| 300.000 | WAL-MART STORES INC Ticker: WMT | 931142103 CNS | 16,179 00 53.930 | 0.2 | 15,331 50 51 105 | 847.50 | 90 75 | 363 00 | 2.2 |
| 2,675.000 | WELLS FARGO & CO NEW COM Ticker: WFC | 949746101 FIN | 82,898 25 30 990 | 0.9 | 78,026 46 29.169 | 4,871.79 | 0 00 | 535 00 | 0 6 |
| | **Total U.S. Large Cap** | | **$2,629,014.76** | **27.4%** | **$2,304,826.36** | **$324,188.40** | **$5,434.08** | **$42,343.29** | **1.6%** |

Settlement Date

Bank of America Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP<br>Sector (2) | Market Value/<br>Market Price | % of<br>Total | Tax Cost/<br>Average Unit Cost | Unrealized<br>Gain/Loss | Accrued<br>Income | Estimated<br>Annual Income | Cur Yld/<br>YTM |
|---|---|---|---|---|---|---|---|---|---|
| **Equities (cont)** | | | | | | | | | |
| **U.S. Mid Cap** | | | | | | | | | |
| 275.000 | ABERCROMBIE & FITCH CO<br>CL A<br>Ticker· ANF | 002896207<br>CND | $15,848.25<br>57 630 | 0 2% | $15,328.91<br>55.741 | $519.34 | $0.00 | $192.50 | 1.2% |
| 3,275.000 | ADVANCED MICRO DEVICES INC<br>Ticker. AMD | 007903107<br>IFT | 26,789.50<br>8 180 | 0.3 | 23,211.84<br>7 088 | 3,577 66 | 0 00 | 0 00 | 0 0 |
| 525.000 | AKAMAI TECHNOLOGIES INC<br>Ticker. AKAM | 00971T101<br>IFT | 24,701 25<br>47 050 | 0.3 | 16,501.12<br>31.431 | 8,200.13 | 0.00 | 0.00 | 0.0 |
| 550.000 | AUTODESK INC<br>Ticker: ADSK | 052769106<br>IFT | 21,010 00<br>38 200 | 0.2 | 16,181.00<br>29 420 | 4,829 00 | 0 00 | 0 00 | 0 0 |
| 250.000 | AUTOLIV INC<br>Ticker· ALV | 052800109<br>CND | 19,735.00<br>78 940 | 0.2 | 12,802.50<br>51.210 | 6,932 50 | 0.00 | 400.00 | 2 0 |
| 275.000 | BORG WARNER INC<br>Ticker: BWA | 099724106<br>CND | 19,899.00<br>72.360 | 0 2 | 8,317.79<br>30.247 | 11,581.21 | 0 00 | 132 00 | 0 7 |
| 475.000 | CELANESE CORP DEL<br>SER A COM<br>Ticker: CE | 150870103<br>MAT | 19,555.75<br>41 170 | 0.2 | 11,966.54<br>25 193 | 7,589.21 | 0.00 | 95.00 | 0.5 |
| 100 000 | CF INDS HLDGS INC<br>Ticker CF | 125269100<br>MAT | 13,515.00<br>135 150 | 0 1 | 9,768 58<br>97 686 | 3,746 42 | 0.00 | 40 00 | 0.3 |
| 20,095.058 | COLUMBIA ACORN FUND<br>CLASS Z SHARES<br>Ticker. ACRN X | 197199409<br>OEQ | 606,669 80<br>30 190 | 6 3 | 537,311 71<br>26.739 | 69,358 09 | 0.00 | 884 18 | 0 1 |
| 175.000 | CONTINENTAL RES INC<br>OKLAHOMA COM<br>Ticker· CLR | 212015101<br>ENR | 10,298.75<br>58.850 | 0.1 | 9,987.56<br>57.072 | 311.19 | 0.00 | 0.00 | 0.0 |
| 300.000 | CROWN HLDGS INC<br>Ticker: CCK | 228368106<br>MAT | 10,014 00<br>33 380 | 0.1 | 9,635 07<br>32.117 | 378 93 | 0 00 | 0.00 | 0.0 |
| 250 000 | DENDREON CORP<br>Ticker: DNDN | 24823Q107<br>HEA | 8,730.00<br>34 920 | 0 1 | 9,778 38<br>39 114 | -1,048.38 | 0 00 | 0 00 | 0.0 |
| 650 000 | DISH NETWORK CORP<br>COM CL A<br>Ticker: DISH | 25470M109<br>CND | 12,779 00<br>19.660 | 0 1 | 11,638 25<br>17.905 | 1,140 75 | 0 00 | 0.00 | 0 0 |
| 325.000 | DPL INC<br>Ticker: DPL | 233293109<br>UTL | 8,355.75<br>25.710 | 0 1 | 8,243 63<br>25 365 | 112.12 | 0.00 | 393 25 | 4 7 |

Bank of America Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| Equities (cont) | | | | | | | | | |
| **U.S. Mid Cap (cont)** | | | | | | | | | |
| 100.000 | FLOWSERVE CORP Ticker. FLS | 34354P105 IND | 11,922.00 119 220 | 0.1 | 10,679.87 106 799 | 1,242.13 | 29.00 | 116 00 | 1.0 |
| 500 000 | FOREST OIL CORP COM PAR $0 01 Ticker· FST | 346091705 ENR | 18,985 00 37.970 | 0.2 | 12,702 50 25.405 | 6,282 50 | 0.00 | 0 00 | 0 0 |
| 300 000 | HUNT J B TRANS SVCS INC Ticker. JBHT | 445658107 IND | 12,243.00 40.810 | 0 1 | 11,883 60 39 612 | 359 40 | 0 00 | 144 00 | 1 2 |
| 1,975 000 | HUNTINGTON BANCSHARES INC Ticker· HBAN | 446150104 FIN | 13,568.25 6 870 | 0.1 | 10,398 38 5 265 | 3,169 87 | 19 75 | 79 00 | 0 6 |
| 275.000 | INTERCONTINENTAL EXCHANGE INC Ticker: ICE | 45865V100 FIN | 32,766.25 119 150 | 0.3 | 30,478 59 110 831 | 2,287 66 | 0.00 | 0.00 | 0 0 |
| 525 000 | LINCOLN NATL CORP IND Ticker. LNC | 534187109 FIN | 14,600 25 27.810 | 0.2 | 14,116 73 26.889 | 483 52 | 0 00 | 105.00 | 0.7 |
| 250 000 | NII HLDGS INC COM NEW Ticker: NIHD | 62913F201 TEL | 11,165.00 44.660 | 0.1 | 9,273.75 37.095 | 1,891.25 | 0.00 | 0.00 | 0.0 |
| 425 000 | NORDSTROM INC Ticker. JWN | 655664100 CND | 18,011.50 42.380 | 0 2 | 13,291.88 31.275 | 4,719 62 | 0 00 | 340 00 | 1 9 |
| 175 000 | OCEANEERING INTL INC Ticker. OII | 675232102 ENR | 12,885 25 73.630 | 0 1 | 12,617.54 72.100 | 267 71 | 0 00 | 0 00 | 0 0 |
| 200.000 | OIL STS INTL INC Ticker: OIS | 678026105 ENR | 12,818.00 64 090 | 0.1 | 8,862 99 44.315 | 3,955.01 | 0 00 | 0 00 | 0 0 |
| 350.000 | OWENS CORNING INC NEW COM Ticker· OC | 690742101 IND | 10,902.50 31.150 | 0.1 | 8,933.75 25.525 | 1,968.75 | 0.00 | 0.00 | 0 0 |
| 625.000 | PACKAGING CORP AMER Ticker: PKG | 695156109 MAT | 16,150.00 25 840 | 0.2 | 13,564 41 21.703 | 2,585 59 | 93.75 | 375.00 | 2 3 |
| 525.000 | TERADATA CORP DELAWARE COM Ticker: TDC | 88076W103 IFT | 21,609.00 41.160 | 0 2 | 16,503.26 31 435 | 5,105.74 | 0.00 | 0 00 | 0 0 |
| 750.000 | TIBCO SOFTWARE INC Ticker: TIBX | 88632Q103 IFT | 14,782.50 19 710 | 0.2 | 11,726.24 15 635 | 3,056.26 | 0.00 | 0.00 | 0 0 |

Settlement Date

Bank of America
Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec. 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| **Equities (cont)** | | | | | | | | | |
| **U.S. Mid Cap (cont)** | | | | | | | | | |
| 275.000 | TRANSDIGM GROUP INC Ticker: TDG | 893641100 IND | 19,802.75 72 010 | 0.2 | 15,108 89 54 941 | 4,693.86 | 0.00 | 0 00 | 0.0 |
| 325.000 | ZIMMER HLDGS INC Ticker: ZMH | 98956P102 HEA | 17,446 00 53.680 | 0.2 | 19,361.88 59 575 | -1,915.88 | 0.00 | 0.00 | 0.0 |
| | **Total U.S. Mid Cap** | | **$1,077,558.30** | **11.2%** | **$920,177.14** | **$157,381.16** | **$142.50** | **$3,295.93** | **0.3%** |
| **U.S. Small Cap** | | | | | | | | | |
| 29,822.264 | COLUMBIA SMALL CAP CORE FUND CLASS Z SHARES Ticker. SMCE X | 19765P810 OEQ | $474,174 00 15 900 | 4.9% | $487,447 69 16 345 | -$13,273.69 | $0.00 | $0 00 | 0 0% |
| | **Total U.S. Small Cap** | | **$474,174.00** | **4.9%** | **$487,447.69** | **-$13,273.69** | **$0.00** | **$0.00** | **0.0%** |
| **International Developed** | | | | | | | | | |
| 425 000 | ACCENTURE PLC CL A COM IRELAND Ticker. ACN | G1151C101 IFT | $20,608 25 48.490 | 0.2% | $18,557 62 43 665 | $2,050.63 | $0 00 | $382 50 | 1 9% |
| 275.000 | ACE LTD SWITZERLAND Ticker: ACE | H0023R105 FIN | 17,118 75 62.250 | 0.2 | 16,832 81 61.210 | 285.94 | 90 75 | 363 00 | 2.1 |
| 350.000 | AVAGO TECHNOLOGIES LTD SINGAPORE Ticker: AVGO | Y0486S104 IFT | 9,944.38 28 413 | 0.1 | 9,717.96 27.766 | 226.42 | 0.00 | 24.50 | 0.2 |
| 400.000 | CHICAGO BRDG & IRON CO N V N Y REGISTRY SH COM NETHERLANDS Ticker. CBI | 167250109 IND | 13,160.00 32 900 | 0.1 | 13,176 81 32 942 | -16 81 | 0.00 | 64.00 | 0 5 |
| 16,056.506 | COLUMBIA MARSICO INTERNATIONAL OPPORTUNITIES FD CLASS Z SHARES Ticker: NMOA X | 19765H636 OEQ | 192,356.94 11.980 | 2.0 | 227,520.69 14.170 | -35,163.75 | 0 00 | 3,195.24 | 1.7 |
| 33,511.186 | COLUMBIA MULTI-ADVISOR INTL EQUITY FUND CLASS Z SHARES Ticker: NIEQ X | 19765H677 OEQ | 407,831.13 12 170 | 4 2 | 397,708.41 11.868 | 10,122.72 | 0.00 | 7,975 66 | 2 0 |

Settlement Date

Bank of America
Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| **Equities (cont)** | | | | | | | | | |
| **International Developed (cont)** | | | | | | | | | |
| 250.000 | FOSTER WHEELER AG SWITZERLAND Ticker: FWLT | H27178104 IND | 8,630.00 34.520 | 0.1 | 8,311.37 33.245 | 318 63 | 0.00 | 0.00 | 0.0 |
| 425 000 | INGERSOLL-RAND CO LTD IRELAND Ticker IR | G47791101 IND | 20,013 25 47.090 | 0 2 | 14,974 87 35 235 | 5,038.38 | 0 00 | 119.00 | 0 6 |
| 1,100.000 | ISHARES MSCI EAFE INDEX FUND Ticker: EFA | 464287465 OEQ | 64,042.00 58 220 | 0 7 | 60,588 00 55 080 | 3,454 00 | 0 00 | 1,536 70 | 2.4 |
| 300 000 | LYONDELLBASELL INDUSTRIES NV CL A COM NETHERLANDS Ticker: LYB | N53745100 MAT | 10,320.00 34.400 | 0.1 | 8,439 00 28.130 | 1,881.00 | 0 00 | 0 00 | 0 0 |
| 500.000 | NINTENDO LTD ADR JAPAN Ticker: NTDOY | 654445303 IFT | 18,363 50 36.727 | 0 2 | 19,405 00 38.810 | -1,041 50 | 0 00 | 505 00 | 2 8 |
| 75.000 | POTASH CORP SASK INC CANADA Ticker POT | 73755L107 MAT | 11,612.25 154 830 | 0.1 | 10,650.37 142 005 | 961.88 | 0.00 | 30.00 | 0.3 |
| 200.000 | RIO TINTO PLC SPONSORED ADR UNITED KINGDOM Ticker. RIO | 767204100 MAT | 14,332 00 71.660 | 0.1 | 10,888.44 54 442 | 3,443 56 | 0.00 | 176 80 | 1 2 |
| 550 000 | TYCO ELECTRONICS LTD SWITZERLAND Ticker: TEL | H8912P106 IFT | 19,470.00 35.400 | 0 2 | 14,069.17 25.580 | 5,400 83 | 0.00 | 352.00 | 1 8 |
| 900.000 | WEATHERFORD INTL LTD SWITZERLAND Ticker: WFT | H27013103 ENR | 20,520.00 22.800 | 0 2 | 13,612 50 15 125 | 6,907 50 | 0.00 | 0.00 | 0 0 |
| | **Total International Developed** | | **$848,322.45** | **8.8%** | **$844,453.02** | **$3,869.43** | **$90.75** | **$14,724.40** | **1.7%** |

Settlement Date

Bank of America
Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP<br>Sector (2) | Market Value/<br>Market Price | % of<br>Total | Tax Cost/<br>Average Unit Cost | Unrealized<br>Gain/Loss | Accrued<br>Income | Estimated<br>Annual Income | Cur Yld/<br>YTM |
|---|---|---|---|---|---|---|---|---|---|
| **Equities (cont)** | | | | | | | | | |
| **Emerging Markets** | | | | | | | | | |
| 125.000 | MILLICOM INTL CELLULAR S A<br>LUXEMBOURG<br>Ticker: MICC | L6388F110<br>TEL | $11,950.00<br>95.600 | 0.1% | $8,071 88<br>64 575 | $3,878.12 | $0.00 | $330.00 | 2 8% |
| 12,795.000 | VANGUARD INTL EQUITY INDEX FDS<br>VANGUARD EMERGING MKTS ETF<br>Ticker: VWO | 922042858<br>OEQ | 616,028.07<br>48 146 | 6 4 | 499,241 15<br>39.018 | 116,786 92 | 0 00 | 10,427.93 | 1 7 |
| | **Total Emerging Markets** | | **$627,978.07** | **6.5%** | **$507,313.03** | **$120,665.04** | **$0.00** | **$10,757.93** | **1.7%** |
| **Total Equities** | | | **$5,657,047.58** | **58.9%** | **$5,064,217.24** | **$592,830.34** | **$5,667.33** | **$71,121.55** | **1.3%** |
| **Fixed Income** | | | | | | | | | |
| **Investment Grade Taxable** | | | | | | | | | |
| | ***2011*** | | | | | | | | |
| 15,000.000 | UNITED STATES TREAS NT<br>DTD 02/15/01 5 000% DUE 02/15/11<br>Moody's: AAA S&P: AAA | 9128276T4 | $15,084 45<br>100 563 | 0.2% | $15,980 36<br>106 536 | -$895 91 | $283 28 | $750 00 | 5 0%<br>0.3 |
| | ***2012*** | | | | | | | | |
| 15,000.000 | VERIZON GLOBAL FDG CORP<br>GLOBAL NT<br>DTD 08/26/02 7 375% DUE 09/01/12<br>Moody's. A3 S&P: A- | 92344GAT3 | 16,561.20<br>110 408 | 0.2 | 16,868 70<br>112 458 | -307.50 | 368.75 | 1,106.25 | 6 7<br>1 2 |
| | ***2013*** | | | | | | | | |
| 0 180 | GNMA POOL #462795 DTD 6/1/98<br>6 50% DUE 6/15/2013<br>Moody's AAA S&P: AAA | 36208WC84 | 0.19<br>105 565 | 0 0 | 0 18 | 0.01 | 0.00 | 0.01 | 5 3 |
| | ***2014*** | | | | | | | | |
| 15,000.000 | PRUDENTIAL FINL INC<br>MTN SER B<br>DTD 04/01/04 4 750% DUE 04/01/14<br>Moody's: BAA2 S&P: A | 74432QAD7 | 15,886.50<br>105.910 | 0.2 | 14,952 75<br>99 685 | 933.75 | 178.12 | 712.50 | 4.5<br>2.9 |
| 40,000.000 | FEDERAL HOME LN MTG CORP<br>MTN CALL 11/13/06 @100<br>DTD 11/10/04 5.000% DUE 11/13/14<br>Moody's: AAA S&P. AAA | 3128X3L76 | 44,839 60<br>112 099 | 0.5 | 39,803 60<br>99.509 | 5,036 00 | 266 67 | 2,000 00 | 4.5<br>1 8 |

Bank of America Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP / Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| Fixed Income (cont) | | | | | | | | | |
| **Investment Grade Taxable (cont)** | | | | | | | | | |
| 75,000.000 | UNITED STATES TREAS NT DTD 11/15/04 4 250% DUE 11/15/14 Moody's AAA S&P: AAA | 912828DC1 | 82,916 25 110 555 | 0.9 | 75,114.08 100 152 | 7,802.17 | 413.85 | 3,187.50 | 3.8 1 5 |
| | *2015* | | | | | | | | |
| 115,000.000 | UNITED STATES TREAS NT DTD 02/15/05 4 000% DUE 02/15/15 Moody's: AAA S&P: AAA | 912828DM9 | 125,988 25 109 555 | 1.3 | 113,124 61 98.369 | -12,863 64 | 1,737.50 | 4,600 00 | 3 7 1.7 |
| 50,000.000 | UNITED STATES TREAS NT DTD 08/15/05 4.250% DUE 08/15/15 Moody's. AAA S&P: AAA | 912828EE6 | 55,363.50 110.727 | 0.6 | 48,705.08 97.410 | 6,658 42 | 802 65 | 2,125.00 | 3 8 1 9 |
| | *2016* | | | | | | | | |
| 35,000.000 | CITIGROUP INC SR NT DTD 12/08/05 5 300% DUE 01/07/16 Moody's: A3 S&P. A | 172967DE8 | 37,163.00 106 180 | 0 4 | 34,979 00 99 940 | 2,184 00 | 896 58 | 1,855 00 | 5 0 3 8 |
| | *2030* | | | | | | | | |
| 5,000.000 | WAL MART STORES INC NT DTD 02/15/00 7 550% DUE 02/15/30 Moody's: AA2 S&P: AA | 931142BF9 | 6,447.80 128 956 | 0.1 | 6,297 30 125.946 | 150 50 | 142 61 | 377.50 | 5.9 5 3 |
| | *2031* | | | | | | | | |
| 145,000.000 | UNITED STATES TREAS BD DTD 02/15/01 5 375% DUE 02/15/31 Moody's: AAA S&P: AAA | 912810FP8 | 169,264.30 116.734 | 1 8 | 153,918 93 106.151 | 15,345 37 | 2,943 83 | 7,793 75 | 4 6 4 3 |
| | *2033* | | | | | | | | |
| 10,000.000 | CONSOLIDATED EDISON CO NEW YORK INC BD DTD 04/10/03 5 875% DUE 04/01/33 Moody's: A3 S&P A- | 209111EB5 | 10,449.20 104.492 | 0 1 | 9,941.60 99 416 | 507.60 | 146 87 | 587.50 | 5.6 5 7 |
| 97,251.320 | MORTGAGE-BACKED SEC CTF ORIGINAL COST 1,004,768.78 | 337997993 | 998,352 88 10.266 | 10.4 | 986,400 77 10.143 | 11,952 11 | 613 96 | 28,008 38 | 2 8 |
| 15,350.000 | VANGUARD TOTAL BD MARKET ETF | 921937835 | 1,232,144 50 80.270 | 12 8 | 1,268,370.50 82 630 | -36,226 00 | 0 00 | 42,872 55 | 3 5 |
| | **Total Investment Grade Taxable** | | **$2,810,461.62** | **29.2%** | **$2,784,457.46** | **$26,004.16** | **$8,794.67** | **$95,975.94** | **3.4%** |

Settlement Date

Bank of America Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct. 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| **Fixed Income (cont)** | | | | | | | | | |
| **International Developed Bonds** | | | | | | | | | |
| 5,000.000 | *2030* DEUTSCHE TELEKOM INTL FIN B V GTD NT NETHERLANDS DTD 07/06/00 8.250% DUE 06/15/30 Moody's BAA1 S&P. BBB+ | 25156PAC7 | $6,719.75<br>134 395 | 0.1% | $6,390 85<br>127 817 | $328 90 | $18 33 | $412 50 | 6 1%<br>5 9 |
| | **Total International Developed Bonds** | | **$6,719.75** | **0.1%** | **$6,390.85** | **$328.90** | **$18.33** | **$412.50** | **6.1%** |
| **Global High Yield Taxable** | | | | | | | | | |
| 46,316.515 | COLUMBIA CONSERVATIVE HIGH YIELD FUND CLASS Z SHARES | 19765P323 | $363,584 64<br>7 850 | 3 8% | $403,096 00<br>8 703 | -$39,511.36 | $2,093 28 | $26,215 15 | 7 2% |
| | **Total Global High Yield Taxable** | | **$363,584.64** | **3.8%** | **$403,096.00** | **-$39,511.36** | **$2,093.28** | **$26,215.15** | **7.2%** |
| **Total Fixed Income** | | | **$3,180,766.01** | **33.1%** | **$3,193,944.31** | **-$13,178.30** | **$10,906.28** | **$122,603.59** | **3.9%** |
| **Private Equity** | | | | | | | | | |
| **Private Equity Fund of Funds** | | | | | | | | | |
| 97,013.430 | PRIVATE EQUITY PORT FD I LLC ***CAP ACCOUNT *** (VALUATION AS OF 09/30/10) | 991013731 | $97,013 43<br>1.000 | 1 0% | $0.00 | $97,013 43 | $0 00 | $0 00 | 0 0% |
| | **Total Private Equity Fund of Funds** | | **$97,013.43** | **1.0%** | **$0.00** | **$97,013.43** | **$0.00** | **$0.00** | **0.0%** |
| **Total Private Equity** | | | **$97,013.43** | **1.0%** | **$0.00** | **$97,013.43** | **$0.00** | **$0.00** | **0.0%** |
| **Real Estate** | | | | | | | | | |
| **Public REITs** | | | | | | | | | |
| 11,090 604 | COLUMBIA REAL ESTATE EQUITY FUND CLASS Z SHARES | 19765P547 | $137,856 21<br>12.430 | 1 4% | $283,860 63<br>25 595 | -$146,004 42 | $0 00 | $3,205 18 | 2 3% |
| | **Total Public REITs** | | **$137,856.21** | **1.4%** | **$283,860.63** | **-$146,004.42** | **$0.00** | **$3,205.18** | **2.3%** |
| **Total Real Estate** | | | **$137,856.21** | **1.4%** | **$283,860.63** | **-$146,004.42** | **$0.00** | **$3,205.18** | **2.3%** |

Settlement Date

Bank of America Merrill Lynch

## Portfolio Detail

**Account:** HAROLD BROOKS FOUNDATION

Oct 01, 2010 through Dec 31, 2010

| Units | Description | CUSIP Sector (2) | Market Value/ Market Price | % of Total | Tax Cost/ Average Unit Cost | Unrealized Gain/Loss | Accrued Income | Estimated Annual Income | Cur Yld/ YTM |
|---|---|---|---|---|---|---|---|---|---|
| **Tangible Assets** | | | | | | | | | |
| **Commodities** | | | | | | | | | |
| 2,550.000 | ISHARES S&P GSCI COMMODITY-INDEX ED TR UNIT BEN INT | 46428R107 | $86,955.00<br>34 100 | 0 9% | $71,655 00<br>28.100 | $15,300 00 | $0.00 | $0 00 | 0.0% |
| 18,751.320 | PIMCO COMMODITY REALRETURN STRATEGY FUND | 722005667 | 174,199 76<br>9 290 | 1 8 | 139,050 00<br>7.415 | 35,149.76 | 0.00 | 15,582 35 | 8 9 |
| | **Total Commodities** | | **$261,154.76** | **2.7%** | **$210,705.00** | **$50,449.76** | **$0.00** | **$15,582.35** | **6.0%** |
| **Total Tangible Assets** | | | **$261,154.76** | **2.7%** | **$210,705.00** | **$50,449.76** | **$0.00** | **$15,582.35** | **6.0%** |
| **Total Portfolio** | | | **$9,611,174.64** | **100.0%** | **$9,030,063.83** | **$581,110.81** | **$16,575.18** | **$212,512.67** | **2.2%** |