Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

**2010**

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

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

Name of foundation: KLEIN FAMILY FOUNDATION INC.

**A Employer identification number** 26-3134339

Number and street (or P O box number if mail is not delivered to street address): 23 GREAT OAK ROAD

Room/suite:

B Telephone number (203) 926-0693

City or town, state, and ZIP code: HUNTINGTON, CT 06484

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

H Check type of organization ☐ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☒ Other taxable private foundation

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

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶$ 5,840,149.

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

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

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

| | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| Revenue | 1 Contributions, gifts, grants, etc , received | | | N/A | |
| | 2 Check ▶ ☒ if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | | | | |
| | 4 Dividends and interest from securities | 128,058. | 128,058. | | STATEMENT 1 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 80,818. | | | |
| | b Gross sales price for all assets on line 6a 1,380,506. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 80,818. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) | | | | |
| | 11 Other income | | | | |
| | 12 **Total.** Add lines 1 through 11 | 208,876. | 208,876. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 0. | 0. | | 0. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees | | | | |
| | b Accounting fees STMT 2 | 1,500. | 0. | | 1,500. |
| | c Other professional fees | | | | |
| | 17 Interest | | | | |
| | 18 Taxes STMT 3 | 11,171. | 1,607. | | 0. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses STMT 4 | 23,133. | 23,130. | | 3. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 35,804. | 24,737. | | 1,503. |
| | 25 Contributions, gifts, grants paid | 222,000. | | | 222,000. |
| | 26 **Total expenses and disbursements** Add lines 24 and 25 | 257,804. | 24,737. | | 223,503. |
| | 27 Subtract line 26 from line 12 | | | | |
| | a Excess of revenue over expenses and disbursements | -48,928. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 184,139. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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22 P

## Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only

| | | | Beginning of year | End of year | |
|---|---|---|---|---|---|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash - non-interest-bearing | | | |
| | 2 | Savings and temporary cash investments | 1,868,403. | 742,211. | 742,211. |
| | 3 | Accounts receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 | Other notes and loans receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | 1,766. | 1,766. |
| | 10a | Investments - U S and state government obligations STMT 5 | 744,343. | 1,100,392. | 1,087,824. |
| | b | Investments - corporate stock STMT 6 | 1,530,649. | 1,557,280. | 1,993,542. |
| | c | Investments - corporate bonds STMT 7 | 605,876. | 1,016,648. | 1,022,889. |
| | 11 | Investments - land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other STMT 8 | 531,510. | 810,211. | 985,382. |
| | 14 | Land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation ▶ | | | |
| | 15 | Other assets (describe ▶ STATEMENT 9 ) | 3,190. | 6,535. | 6,535. |
| | 16 | **Total assets** (to be completed by all filers) | 5,283,971. | 5,235,043. | 5,840,149. |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | 0. | 0. | |
| Net Assets or Fund Balances | | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 | Unrestricted | | | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | **Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.** | | | |
| | 27 | Capital stock, trust principal, or current funds | 0. | 0. | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | 0. | 0. | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | 5,283,971. | 5,235,043. | |
| | 30 | **Total net assets or fund balances** | 5,283,971. | 5,235,043. | |
| | 31 | **Total liabilities and net assets/fund balances** | 5,283,971. | 5,235,043. | |

## 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 | 5,283,971. |
| 2 | Enter amount from Part I, line 27a | 2 | -48,928. |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 | Add lines 1, 2, and 3 | 4 | 5,235,043. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 0. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 5,235,043. |

## 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 STATEMENT | P | VARIOUS | VARIOUS |
| b | CAPITAL GAINS DIVIDENDS | | | |
| 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 | 1,376,127. | | 1,299,688. | 76,439. |
| b | 4,379. | | | 4,379. |
| c | | | | |
| d | | | | |
| e | | | | |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---|---|---|---|---|
| | (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | |
| a | | | | 76,439. |
| b | | | | 4,379. |
| c | | | | |
| d | | | | |
| e | | | | |

| | | |
|---|---|---|
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 } | 2 | 80,818. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c)<br>If (loss), enter -0- in Part I, line 8 | 3 | N/A |

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

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

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

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

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2009 | 325,905. | 5,381,535. | .060560 |
| 2008 | 93,597. | 4,797,574. | .019509 |
| 2007 | | | |
| 2006 | | | |
| 2005 | | | |

| | | |
|---|---|---|
| 2 Total of line 1, column (d) | 2 | .080069 |
| 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 | .040035 |
| 4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5 | 4 | 5,612,806. |
| 5 Multiply line 4 by line 3 | 5 | 224,709. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 1,841. |
| 7 Add lines 5 and 6 | 7 | 226,550. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 223,503. |

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

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

| | | | | |
|---|---|---|---|---|
| **1a** Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1<br>Date of ruling or determination letter ________ **(attach copy of letter if necessary-see instructions)**<br>**b** Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b<br>**c** All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | | 1 | 3,683. |
| **2** Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | | 2 | 0. |
| **3** Add lines 1 and 2 | | | 3 | 3,683. |
| **4** Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | | 4 | 0. |
| **5** **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | | | 5 | 3,683. |
| **6** Credits/Payments | | | | |
| **a** 2010 estimated tax payments and 2009 overpayment credited to 2010 | 6a | 5,600. | | |
| **b** Exempt foreign organizations - tax withheld at source | 6b | | | |
| **c** Tax paid with application for extension of time to file (Form 8868) | 6c | | | |
| **d** Backup withholding erroneously withheld | 6d | | | |
| **7** Total credits and payments Add lines 6a through 6d | | | 7 | 5,600. |
| **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 | 1,917. |
| **11** Enter the amount of line 10 to be **Credited to 2011 estimated tax** ▶ | 1,917. | **Refunded** ▶ | 11 | 0. |

## Part VII-A Statements Regarding Activities

| | | Yes | No |
|---|---|---|---|
| **1a** During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| **b** Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? | 1b | | X |
| *If the answer is "Yes" to* **1a** *or* **1b**, *attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | | | |
| **c** Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| **d** Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>**(1)** On the foundation ▶ $ 0. **(2)** On foundation managers ▶ $ 0. | | | |
| **e** Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0. | | | |
| **2** Has the foundation engaged in any activities that have not previously been reported to the IRS? | 2 | | X |
| *If "Yes," attach a detailed description of the activities* | | | |
| **3** Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| **4a** Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| **b** If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| **5** Was there a liquidation, termination, dissolution, or substantial contraction during the year? | 5 | | X |
| *If "Yes," attach the statement required by General Instruction T.* | | | |
| **6** Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>● By language in the governing instrument, or<br>● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| **7** Did the foundation have at least $5,000 in assets at any time during the year? | 7 | X | |
| *If "Yes," complete Part II, col (c), and Part XV.* | | | |
| **8a** Enter the states to which the foundation reports or with which it is registered (see instructions) ▶<br>CT | | | |
| **b** If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| **9** Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2010 or the taxable year beginning in 2010 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| **10** Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

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

| | | | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008? | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ MS.KRISTEN CHIODO Telephone no ▶ (203) 926-0693

Located at ▶ 23 GREAT OAK ROAD, HUNTINGTON, CT ZIP+4 ▶ 06484

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

| | | | 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)? | N/A | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here | ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2010? | | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | | |
| a | At the end of tax year 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? | ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ _____, _____, _____, _____ | | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions ) | N/A | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ _____, _____, _____, _____ | | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2010 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010.)* | N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2010? | | 4b | | X |

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

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

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

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

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

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

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

**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? N/A **5b**

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

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

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

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

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** 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? N/A **7b**

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| CARLA S. KLEIN<br>42 TUCKAHOE ROAD<br>EASTON, CT 06612 | PRESIDENT<br>0.00 | 0. | 0. | 0. |
| KRISTEN CHIODO<br>23 GREAT OAK ROAD<br>HUNTINGTON, CT 06484 | SECRETARY<br>0.00 | 0. | 0. | 0. |
| ERIC KLEIN<br>1288 SAXON DRIVE<br>BIRMINGHAM, MI 48009 | TREASURER<br>0.00 | 0. | 0. | 0. |
|  |  |  |  |  |

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

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

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

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

**3 Five highest-paid independent contractors for professional services. If none, enter "NONE."**

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

**Total** number of others receiving over $50,000 for professional services ▶ 0

## Part IX-A Summary of Direct Charitable Activities

| List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc | Expenses |
|---|---|
| 1 N/A | |
| 2 | |
| 3 | |
| 4 | |

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments See instructions<br>3 | |
| **Total.** Add lines 1 through 3 ▶ | 0. |

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

| | | | | |
|---|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes | | | |
| a | Average monthly fair market value of securities | | 1a | 4,461,529. |
| b | Average of monthly cash balances | | 1b | 1,228,449. |
| c | Fair market value of all other assets | | 1c | 8,302. |
| d | **Total** (add lines 1a, b, and c) | | 1d | 5,698,280. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) | 1e 0. | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | | 2 | 0. |
| 3 | Subtract line 2 from line 1d | | 3 | 5,698,280. |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | | 4 | 85,474. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | | 5 | 5,612,806. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | | 6 | 280,640. |

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

| | | | | |
|---|---|---|---|---|
| 1 | Minimum investment return from Part X, line 6 | | 1 | 280,640. |
| 2a | Tax on investment income for 2010 from Part VI, line 5 | 2a 3,683. | | |
| b | Income tax for 2010 (This does not include the tax from Part VI ) | 2b | | |
| c | Add lines 2a and 2b | | 2c | 3,683. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | 3 | 276,957. |
| 4 | Recoveries of amounts treated as qualifying distributions | | 4 | 0. |
| 5 | Add lines 3 and 4 | | 5 | 276,957. |
| 6 | Deduction from distributable amount (see instructions) | | 6 | 0. |
| 7 | **Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1 | | 7 | 276,957. |

## Part XII Qualifying Distributions (see instructions)

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes | | |
| a | Expenses, contributions, gifts, etc - total from Part I, column (d), line 26 | 1a | 223,503. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 223,503. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b | 5 | 0. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 223,503. |

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

## Part XIII Undistributed Income (see instructions)

| | | (a)<br>Corpus | (b)<br>Years prior to 2009 | (c)<br>2009 | (d)<br>2010 |
|---|---|---|---|---|---|
| 1 Distributable amount for 2010 from Part XI, line 7 | | | | | 276,957. |
| 2 Undistributed income, if any, as of the end of 2010 | | | | | |
| a Enter amount for 2009 only | | | | 0. | |
| b Total for prior years ______ , ______ , ______ | | | 0. | | |
| 3 Excess distributions carryover, if any, to 2010 | | | | | |
| a From 2005 | | | | | |
| b From 2006 | | | | | |
| c From 2007 | | | | | |
| d From 2008 | 11,793. | | | | |
| e From 2009 | 67,750. | | | | |
| f Total of lines 3a through e | | 79,543. | | | |
| 4 Qualifying distributions for 2010 from Part XII, line 4 ▶ $ 223,503. | | | | | |
| a Applied to 2009, but not more than line 2a | | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | | 0. | | | |
| d Applied to 2010 distributable amount | | | | | 223,503. |
| e Remaining amount distributed out of corpus | | 0. | | | |
| 5 Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a).) | | 53,454. | | | 53,454. |
| **6 Enter the net total of each column as indicated below:** | | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | | 26,089. | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | | 0. | | |
| d Subtract line 6c from line 6b Taxable amount - see instructions | | | 0. | | |
| e Undistributed income for 2009 Subtract line 4a from line 2a Taxable amount - see instr | | | | 0. | |
| f Undistributed income for 2010 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011 | | | | | 0. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) | | 0. | | | |
| 8 Excess distributions carryover from 2005 not applied on line 5 or line 7 | | 0. | | | |
| **9 Excess distributions carryover to 2011** Subtract lines 7 and 8 from line 6a | | 26,089. | | | |
| 10 Analysis of line 9 | | | | | |
| a Excess from 2006 | | | | | |
| b Excess from 2007 | | | | | |
| c Excess from 2008 | | | | | |
| d Excess from 2009 | 26,089. | | | | |
| e Excess from 2010 | | | | | |

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

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2010, enter the date of the ruling ▶

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

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | (a) 2010 | (b) 2009 | (c) 2008 | (d) 2007 | (e) Total |
| 2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| b 85% of line 2a | | | | | |
| c Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| d Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c | | | | | |
| 3 Complete 3a, b, or c for the alternative test relied upon<br>a "Assets" alternative test - enter<br>(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<br>(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| (3) Largest amount of support from an exempt organization | | | | | |
| (4) Gross investment income | | | | | |

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

1 **Information Regarding Foundation Managers:**

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

CARLA S. KLEIN

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

NONE

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

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

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

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

c Any submission deadlines

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

## Part XV Supplementary Information (continued)

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

| Recipient<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 10 | | | | |
| Total | | | ▶ 3a | 222,000. |
| b *Approved for future payment* | | | | |
| NONE | | | | |
| Total | | | ▶ 3b | 0. |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | (e) Related or exempt function income |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | | | |
| 4 Dividends and interest from securities | | | 14 | 128,058. | |
| 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 | 80,818. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | 0. | | 208,876. | 0. |

13 Total Add line 12, columns (b), (d), and (e) 13 208,876.

(See worksheet in line 13 instructions to verify calculations )

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

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) |
|---|---|
| | |

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

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

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

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

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

b If "Yes," complete the following schedule

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

**Sign Here**

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

Carla S. Klein | 5/13/11 | President

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 |
|---|---|---|---|---|
| DAVID M. ZIEFF | | 5/12/11 | | |

Firm's name ▶ FRIEDBERG, SMITH & CO., P.C. | Firm's EIN ▶

Firm's address ▶ 855 MAIN STREET, 6TH FLOOR
BRIDGEPORT, CT 06604-4915

Phone no (203)366-5876

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

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|---|---|---|---|
| LAZARD LTD - PUBLICLY TRADED PARTNERSHIP | 5. | 0. | 5. |
| LESS: ACCRUED INTEREST PAID | -14,710. | 0. | -14,710. |
| LESS: BOND AMORTIZATION | -11,775. | 0. | -11,775. |
| MORGAN STANLEY #019928 - DIVIDENDS | 2,537. | 0. | 2,537. |
| MORGAN STANLEY #019928 - INTEREST | 47,144. | 0. | 47,144. |
| MORGAN STANLEY #019935 - CAPITAL GAIN DISTRIBUTIONS | 123. | 123. | 0. |
| MORGAN STANLEY #019935 - DIVIDENDS | 34,133. | 0. | 34,133. |
| MORGAN STANLEY #019935 - INTEREST | 94. | 0. | 94. |
| MORGAN STANLEY #020600 - CAPITAL GAIN DISTRIBUTIONS | 4,256. | 4,256. | 0. |
| MORGAN STANLEY #020600 - DIVIDENDS | 48,738. | 0. | 48,738. |
| MORGAN STANLEY #020600 - INTEREST | 21,892. | 0. | 21,892. |
| TOTAL TO FM 990-PF, PART I, LN 4 | 132,437. | 4,379. | 128,058. |

## FORM 990-PF ACCOUNTING FEES STATEMENT 2

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| ACCOUNTING | 1,500. | 0. | | 1,500. |
| TO FORM 990-PF, PG 1, LN 16B | 1,500. | 0. | | 1,500. |

## FORM 990-PF TAXES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FEDERAL EXCISE TAX | 9,564. | 0. | | 0. |
| FOREIGN TAXES | 1,607. | 1,607. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 11,171. | 1,607. | | 0. |

## FORM 990-PF OTHER EXPENSES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| INVESTMENT ADVISORY FEES | 23,130. | 23,130. | | 0. |
| MISCELLANEOUS | 3. | 0. | | 3. |
| TO FORM 990-PF, PG 1, LN 23 | 23,133. | 23,130. | | 3. |

## FORM 990-PF U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS STATEMENT 5

| DESCRIPTION | U.S. GOV'T | OTHER GOV'T | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|---|
| GOVERNMENT SECURITIES | X | | 879,802. | 886,017. |
| MUNICIPAL BONDS | | X | 220,590. | 201,807. |
| TOTAL U.S. GOVERNMENT OBLIGATIONS | | | 879,802. | 886,017. |
| TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS | | | 220,590. | 201,807. |
| TOTAL TO FORM 990-PF, PART II, LINE 10A | | | 1,100,392. | 1,087,824. |

FORM 990-PF CORPORATE STOCK STATEMENT 6

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| COMMON & PREFERRED STOCK | 1,557,280. | 1,993,542. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 1,557,280. | 1,993,542. |

FORM 990-PF CORPORATE BONDS STATEMENT 7

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| CORPORATE FIXED INCOME | 1,016,648. | 1,022,889. |
| TOTAL TO FORM 990-PF, PART II, LINE 10C | 1,016,648. | 1,022,889. |

FORM 990-PF OTHER INVESTMENTS STATEMENT 8

| DESCRIPTION | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|
| MUTUAL FUNDS | COST | 810,211. | 985,382. |
| TOTAL TO FORM 990-PF, PART II, LINE 13 | | 810,211. | 985,382. |

FORM 990-PF OTHER ASSETS STATEMENT 9

| DESCRIPTION | BEGINNING OF YR BOOK VALUE | END OF YEAR BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|
| ACCRUED INCOME RECEIVABLE | 3,190. | 6,535. | 6,535. |
| TO FORM 990-PF, PART II, LINE 15 | 3,190. | 6,535. | 6,535. |

FORM 990-PF

## GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

STATEMENT 10

| RECIPIENT NAME AND ADDRESS | RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT | RECIPIENT STATUS | AMOUNT |
|---|---|---|---|
| BRIDGEPORT PUBLIC EDUCATION FUND INC. (BPEC)<br>446 UNIVERSITY AVENUE<br>BRIDGEPORT, CT 06604 | N/A<br>UNRESTRICTED | 501(C)(3) | 10,000. |
| CARDINAL SHEHAN CENTER<br>1494 MAIN STREET BRIDGEPORT, CT 06604 | N/A<br>UNRESTRICTED | 501(C)(3) | 5,000. |
| THE CHILD AND FAMILY GUIDANCE CENTER<br>180 FAIRFIELD AVENUE<br>BRIDGEPORT, CT 06604 | N/A<br>2010 FAMILY REUNION APPEAL | 501(C)(3) | 5,000. |
| CONNECTICUT FOOD BANK<br>P.O. BOX 8686 NEW HAVEN, CT 06531 | N/A<br>UNRESTRICTED | 501(C)(3) | 6,000. |
| INJURED MARINE SEMPER FI FUND<br>825 COLLEGE BOULEVARD SUITE 102<br>OCEANSIDE, CA 92057 | N/A<br>UNRESTRICTED | 501(C)(3) | 5,000. |
| HELP WILLY'S FRIENDS<br>P.O. BOX 556 DURHAM, CT 06422 | N/A<br>UNRESTRICTED | 501(C)(3) | 1,000. |
| ST. JUDE CHILDREN'S RESEARCH HOSPITAL<br>501 ST. JUDE PLACE MEMPHIS, TN 38105 | N/A<br>UNRESTRICTED | 501(C)(3) | 5,000. |
| THE HAITIAN HEALTH FOUNDATION<br>97 SHERMAN STREET NORWICH, CT 06360 | N/A<br>HAITI EARTHQUAKE SUPPORT & AID TO THE POOR | 501(C)(3) | 30,000. |

| | | | |
|---|---|---|---|
| THE UNIVERSITY OF CONNECTICUT FOUNDATION INC.<br>2390 ALUMNI DRIVE UNIT 3206<br>STORRS, CT 06269 | N/A<br>GRADUATE ASSISTANTS IN TEACHER EDUCATION | 501(C)(3) | 20,000. |
| UNITED WAY OF COASTAL FAIRFIELD COUNTY<br>75 WASHINGTON AVENUE<br>BRIDGEPORT, CT 06604 | N/A<br>UNRESTRICTED | 501(C)(3) | 10,000. |
| UNIVERSITY OF MICHIGAN<br>3003 SOUTH STATE STREET ANN ARBOR, MI 48109 | N/A<br>THORACIC SURGERY FUND | 501(C)(3) | 80,000. |
| YALE-NEW HAVEN HOSPITAL<br>P.O. BOX 1849 NEW HAVEN, CT 06508 | N/A<br>PALLIATIVE CARE PROGRAM | 501(C)(3) | 20,000. |
| THE CENTER FOR WOMEN & FAMILIES<br>753 FAIRFIELD AVENUE<br>BRIDGEPORT, CT 06604 | N/A<br>CAPITAL CAMPAIGN - OPENING EYES, OPENING DOORS | 501(C)(3) | 15,000. |
| COMMUNITY FOUNDATION FOR GREATER NEW HAVEN<br>70 AUDUBON STREET NEW HAVEN , CT 06510 | N/A<br>EDUCATIONAL ACHIEVEMENT FUND | 501(C)(3) | 10,000. |
| TOTAL TO FORM 990-PF, PART XV, LINE 3A | | | 222,000. |

## Klein Family Foundation Inc.

## Gain (Loss) on Sale of Securities

12/31/10

| | Sales Price | Cost | Gain (Loss) |
|---|---|---|---|
| Morgan Stanley #019928 | 866,247.00 | 863,285.15 | 2,961.85 |
| Morgan Stanley #020600 | 191,086.30 | 164,699.33 | 26,386.97 |
| Morgan Stanley #019935 | 317,475.85 | 270,216.48 | 47,259.37 |
| Keppel Corp. | 43.34 | 43.34 | 0.00 |
| Vivendi SA sponsored ADR | 1,273.98 | 1,393.55 | (119.57) |
| Industrial & Commercial Bank | 0.10 | | 0.10 |
| Basis adjustment | 0.00 | 50.09 | (50.09) |
| Total | 318,793.27 | 271,703.46 | 47,089.81 |
| Summary: | | | |
| Morgan Stanley #019928 | 866,247.00 | 863,285.15 | 2,961.85 |
| Morgan Stanley #020600 | 191,086.30 | 164,699.33 | 26,386.97 |
| Morgan Stanley #019935 | 318,793.27 | 271,703.46 | 47,089.81 |
| Total Gain (Loss) | 1,376,126.57 | 1,299,687.94 | 76,438.63 |

Morgan Stanley #19928

## REALIZED GAIN/(LOSS) DETAIL

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| FHLB 4 5/8 9-11-20 | 06/16/10 | 08/25/10 | 100,000 000 | $111,679 00 | $108,987 72 | $2,691.28 | |
| FNMA 4 000 12-30-24 | 12/07/09 | 06/30/10 | 250,000 000 | 250,000 00 | 250,005 12 | (5 12) | |
| GECC TLGP 1 5/8 1-07-11 | 04/22/09 | 11/10/10 | 100,000 000 | 100,152 00 | 100,120 16 | 31.84 | A |
| GOLDMAN SCHS TLGP 1 5/8 7-15-11 | 07/08/09 | 07/30/10 | 100,000 000 | 100,845 00 | 100,943 54 | (98 54) | A |
| | 07/10/09 | 07/30/10 | 100,000 000 | 100,845 00 | 100,863 13 | (18 13) | A |
| JPMORGAN TLGP 1 650 2-23-11 | 04/22/09 | 09/14/10 | 100,000 000 | 100,346 00 | 100,315 92 | 30.08 | A |
| WELLS FARGO TLGP 3 000 12-09-11 | 07/10/09 | 11/10/10 | 100,000 000 | 102,380 00 | 102,049 56 | 330 44 | A |
| **Net Realized Gain/(Loss) This Period** | | | | **$0.00** | **$0.00** | **$0.00** | |
| **Net Realized Gain/(Loss) Year to Date** | | | | **$866,247.00** | **$863,285.15** | **$2,961.85** | |

*Gain/loss information is provided for informational purposes only and should not be used for tax preparation Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting*

*From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month. From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year*

*A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney Account Another financial institution has provided Morgan Stanley Smith Barney the transaction detail for this position*

# Activity

**Morgan Stanley Advisory Active Assets Account**
759-020600-028

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## CASH FLOW ACTIVITY BY DATE (CONTINUED)

| Transaction Date | Settlement Date | Activity Type | Description | Comments | Quantity | Price | Credits/(Debits) |
|---|---|---|---|---|---|---|---|
| **NET CREDITS/(DEBITS)** | | | | | | | **$14,966.45** |

*Purchase and Sale transactions above may have received an average price execution Details regarding the actual prices are available upon request.*

## MONEY MARKET FUND (MMF) AND BANK DEPOSITS ACTIVITY

| Date | Activity Type | Description | Credits/(Debits) |
|---|---|---|---|
| 12/2 | Automatic Investment | BANK DEPOSIT PROGRAM | $1,078 11 |
| 12/8 | Automatic Investment | BANK DEPOSIT PROGRAM | 789 33 |
| 12/16 | Automatic Investment | BANK DEPOSIT PROGRAM | 240 00 |
| 12/17 | Automatic Investment | BANK DEPOSIT PROGRAM | 6,949 74 |
| 12/20 | Automatic Investment | BANK DEPOSIT PROGRAM | 2,470 72 |
| 12/28 | Automatic Investment | BANK DEPOSIT PROGRAM | 3,393 31 |
| 12/30 | Automatic Investment | BANK DEPOSIT PROGRAM | 31 22 |
| 12/30 | Automatic Investment | BANK DEPOSIT PROGRAM | 14 02 |
| **NET ACTIVITY FOR PERIOD** | | | **$14,966.45** |

## REALIZED GAIN/(LOSS) DETAIL

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| FNMA POOL 745275 5 000 2-01-36 | 03/11/09 | 01/25/10 | 278 642 | $278 64 | $285 78 | $(7 14) | |
| | 09/09/09 | 01/25/10 | 101 324 | 101 32 | 104 45 | (3 13) | |
| | 09/29/09 | 01/25/10 | 75 993 | 75 99 | 78 81 | (2 82) | |
| | 03/11/09 | 02/25/10 | 220 727 | 220 72 | 226 38 | (5 66) | |
| | 09/09/09 | 02/25/10 | 80 264 | 80 26 | 82 74 | (2 48) | |
| | 09/29/09 | 02/25/10 | 60 198 | 60 19 | 62 43 | (2 24) | |
| | 03/11/09 | 03/25/10 | 206.720 | 206 72 | 212 01 | (5 29) | |
| | 09/09/09 | 03/25/10 | 75 171 | 75 17 | 77 49 | (2 32) | |
| | 09/29/09 | 03/25/10 | 56 378 | 56 37 | 58 47 | (2 10) | |
| | 03/11/09 | 04/25/10 | 255 322 | 255 32 | 261 86 | (6 54) | |
| | 09/09/09 | 04/25/10 | 92 844 | 92 84 | 95 71 | (2 87) | |
| | 09/29/09 | 04/25/10 | 69 633 | 69 63 | 72 22 | (2 59) | |
| | 03/11/09 | 05/25/10 | 254 148 | 254 14 | 260.65 | (6 51) | |
| | 09/09/09 | 05/25/10 | 92 417 | 92 41 | 95 27 | (2 86) | |
| | 09/29/09 | 05/25/10 | 69 313 | 69 31 | 71 88 | (2 57) | |

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## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Ong / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| | 03/11/09 | 06/25/10 | 607 621 | 607 62 | 623 18 | (15 56) | |
| | 09/09/09 | 06/25/10 | 220 953 | 220 95 | 227 78 | (6 83) | |
| | 09/29/09 | 06/25/10 | 165 715 | 165 71 | 171 86 | (6 15) | |
| | 03/11/09 | 07/25/10 | 237 202 | 237 20 | 243 27 | (6 07) | |
| | 09/09/09 | 07/25/10 | 86 255 | 86 25 | 88 92 | (2 67) | |
| | 09/29/09 | 07/25/10 | 64 691 | 64 69 | 67 09 | (2.40) | |
| | 03/11/09 | 08/25/10 | 254 320 | 254 32 | 260 83 | (6 51) | |
| | 09/09/09 | 08/25/10 | 92 480 | 92 48 | 95 34 | (2 86) | |
| | 09/29/09 | 08/25/10 | 69 360 | 69 36 | 71 93 | (2 57) | |
| | 03/11/09 | 09/25/10 | 344 086 | 344 08 | 352 89 | (8 81) | |
| | 09/09/09 | 09/25/10 | 125 122 | 125 12 | 128 99 | (3 87) | |
| | 09/29/09 | 09/25/10 | 93.841 | 93 84 | 97 32 | (3 48) | |
| | 03/11/09 | 10/25/10 | 379 267 | 379 26 | 388 98 | (9 72) | |
| | 09/09/09 | 10/25/10 | 137 915 | 137 91 | 142 18 | (4 27) | |
| | 09/29/09 | 10/25/10 | 103 436 | 103 43 | 107 27 | (3 84) | |
| | 03/11/09 | 11/25/10 | 366 929 | 366 92 | 376 32 | (9.40) | |
| | 09/09/09 | 11/25/10 | 133 428 | 133 42 | 137 55 | (4 13) | |
| | 09/29/09 | 11/25/10 | 100 071 | 100 07 | 103 78 | (3 71) | |
| | 03/11/09 | 12/25/10 | 400 442 | 400 44 | 410.69 | (10 25) | |
| | 09/09/09 | 12/25/10 | 145 615 | 145 61 | 150 11 | (4 50) | |
| | 09/29/09 | 12/25/10 | 109 211 | 109 21 | 113 26 | (4 05) | |
| FNMA POOL 889579 6.000 5-01-38 | 03/11/09 | 01/25/10 | 2,010 228 | 2,010 22 | 2,086 21 | (75 99) | |
| | 09/09/09 | 01/25/10 | 274 122 | 274 12 | 290 05 | (15 93) | |
| | 03/11/09 | 02/25/10 | 1,758 064 | 1,758 06 | 1,824.52 | (66 46) | |
| | 09/09/09 | 02/25/10 | 239 736 | 239 73 | 253 66 | (13.93) | |
| | 03/11/09 | 03/25/10 | 1,975 283 | 1,975 28 | 2,049 95 | (74 67) | |
| | 09/09/09 | 03/25/10 | 269 356 | 269 35 | 285 01 | (15 66) | |
| | 03/11/09 | 04/25/10 | 2,522 018 | 2,522 01 | 2,617.35 | (95.34) | |
| | 09/09/09 | 04/25/10 | 343.911 | 343 91 | 363 89 | (19 98) | |
| | 03/11/09 | 05/25/10 | 7,698 935 | 7,698 93 | 7,989 95 | (291.02) | |
| | 09/09/09 | 05/25/10 | 1,049.854 | 1,049 85 | 1,110 85 | (61 00) | |
| | 03/11/09 | 06/25/10 | 1,742 276 | 1,742.27 | 1,808.13 | (65 86) | |
| | 09/09/09 | 06/25/10 | 237 583 | 237 58 | 251 39 | (13 81) | |
| | 03/11/09 | 07/25/10 | 1,466 396 | 1,466 39 | 1,521 83 | (55 44) | |
| | 09/09/09 | 07/25/10 | 199 963 | 199 96 | 211 58 | (11 62) | |
| | 03/11/09 | 08/25/10 | 1,280 188 | 1,280 18 | 1,328 58 | (48 40) | |
| | 09/09/09 | 08/25/10 | 174 571 | 174 57 | 184 71 | (10 14) | |
| | 03/11/09 | 09/25/10 | 1,297 023 | 1,297 02 | 1,346.05 | (49 03) | |

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## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| | 09/09/09 | 09/25/10 | 176 866 | 176 86 | 187 14 | (10 28) | |
| | 03/11/09 | 10/25/10 | 1,271 151 | 1,271 15 | 1,319 20 | (48 05) | |
| | 09/09/09 | 10/25/10 | 173 338 | 173 33 | 183 41 | (10 08) | |
| | 03/11/09 | 11/25/10 | 1,178 988 | 1,178 98 | 1,223 55 | (44 57) | |
| | 09/09/09 | 11/25/10 | 160 771 | 160 77 | 170 11 | (9 34) | |
| | 03/11/09 | 12/25/10 | 1,192 646 | 1,192 64 | 1,237 73 | (45 09) | |
| | 09/09/09 | 12/25/10 | 162 633 | 162 63 | 172 08 | (9 45) | |
| FNMA POOL 889982 5 1/2 11-01-38 | 03/12/09 | 01/25/10 | 478 569 | 478 56 | 494 27 | (15 71) | |
| | 09/09/09 | 01/25/10 | 114 856 | 114 85 | 119 81 | (4 96) | |
| | 09/29/09 | 01/25/10 | 95 713 | 95 71 | 100 36 | (4 65) | |
| | 03/12/09 | 02/25/10 | 423 673 | 423 67 | 437 57 | (13 90) | |
| | 09/09/09 | 02/25/10 | 101 681 | 101 68 | 106 06 | (4 38) | |
| | 09/29/09 | 02/25/10 | 84.734 | 84 73 | 88 84 | (4 11) | |
| | 03/12/09 | 03/25/10 | 396 104 | 396.10 | 409 10 | (13 00) | |
| | 09/09/09 | 03/25/10 | 95 065 | 95 06 | 99 16 | (4 10) | |
| | 09/29/09 | 03/25/10 | 79 220 | 79 22 | 83 06 | (3 84) | |
| | 03/12/09 | 04/25/10 | 450 451 | 450 45 | 465 23 | (14 78) | |
| | 09/09/09 | 04/25/10 | 108.108 | 108 10 | 112.77 | (4 67) | |
| | 09/29/09 | 04/25/10 | 90 090 | 90 09 | 94 46 | (4 37) | |
| | 03/12/09 | 05/25/10 | 414 902 | 414 90 | 428 51 | (13 61) | |
| | 09/09/09 | 05/25/10 | 99 576 | 99 57 | 103 87 | (4 30) | |
| | 09/29/09 | 05/25/10 | 82 980 | 82.98 | 87 00 | (4 02) | |
| | 03/12/09 | 06/25/10 | 998 812 | 998 81 | 1,031.57 | (32 76) | |
| | 09/09/09 | 06/25/10 | 239 715 | 239.71 | 250 05 | (10 34) | |
| | 09/29/09 | 06/25/10 | 199 762 | 199 76 | 209.45 | (9 69) | |
| | 03/12/09 | 07/25/10 | 399 555 | 399 55 | 412 66 | (13 11) | |
| | 09/09/09 | 07/25/10 | 95 893 | 95 89 | 100 03 | (4 14) | |
| | 09/29/09 | 07/25/10 | 79 911 | 79 91 | 83 79 | (3 88) | |
| | 03/12/09 | 08/25/10 | 413 381 | 413 38 | 426 94 | (13 56) | |
| | 09/09/09 | 08/25/10 | 99 211 | 99 21 | 103 49 | (4 28) | |
| | 09/29/09 | 08/25/10 | 82 676 | 82 67 | 86 69 | (4 02) | |
| | 03/12/09 | 09/25/10 | 507 631 | 507 63 | 524 28 | (16 65) | |
| | 09/09/09 | 09/25/10 | 121 831 | 121 83 | 127 08 | (5 25) | |
| | 09/29/09 | 09/25/10 | 101 526 | 101 52 | 106 45 | (4 93) | |
| | 03/12/09 | 10/25/10 | 528 513 | 528 51 | 545.85 | (17 34) | |
| | 09/09/09 | 10/25/10 | 126 843 | 126 84 | 132 31 | (5 47) | |
| | 09/29/09 | 10/25/10 | 105 702 | 105 70 | 110 83 | (5 13) | |
| | 03/12/09 | 11/25/10 | 512 402 | 512 40 | 529 21 | (16 81) | |

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## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| | 09/09/09 | 11/25/10 | 122 976 | 122 97 | 128 28 | (5.31) | |
| | 09/29/09 | 11/25/10 | 102 480 | 102 48 | 107 45 | (4.97) | |
| | 03/12/09 | 12/25/10 | 486 500 | 486 50 | 502.46 | (15 96) | |
| | 09/09/09 | 12/25/10 | 116 760 | 116 76 | 121 79 | (5 03) | |
| | 09/29/09 | 12/25/10 | 97 300 | 97 30 | 102 02 | (4 72) | |
| FNMA POOL 930071 6.000 10-01-38 | 09/29/09 | 01/25/10 | 366 700 | 366 70 | 387 53 | (20 83) | |
| | 09/29/09 | 02/25/10 | 165 290 | 165 29 | 174 68 | (9 39) | |
| | 09/29/09 | 03/25/10 | 213 840 | 213 84 | 225 99 | (12 15) | |
| | 09/29/09 | 04/25/10 | 236 060 | 236 06 | 249 47 | (13 41) | |
| | 09/29/09 | 05/25/10 | 436 550 | 436 55 | 461 35 | (24 80) | |
| | 09/29/09 | 06/25/10 | 319 590 | 319 59 | 337 74 | (18 15) | |
| | 09/29/09 | 07/25/10 | 358 220 | 358 22 | 378 57 | (20 35) | |
| | 09/29/09 | 08/25/10 | 314 800 | 314 80 | 332 68 | (17.88) | |
| | 09/29/09 | 09/25/10 | 307 530 | 307 53 | 325 00 | (17 47) | |
| | 09/29/09 | 10/25/10 | 176 970 | 176 97 | 187 02 | (10 05) | |
| | 09/29/09 | 11/25/10 | 182 810 | 182 81 | 193 19 | (10 38) | |
| | 09/29/09 | 12/25/10 | 272.240 | 272 24 | 287 70 | (15 46) | |
| ISHARES IBOXX INVEST GR COR FD | 03/10/09 | 09/14/10 | 41 000 | 4,565 33 | 3,752 93 | 812 40 | |
| | 09/29/09 | 09/14/10 | 259 000 | 28,839 49 | 27,705 23 | 1,134.26 | |
| PIONEER GLOBAL HIGH YIELD A | 03/10/09 | 05/20/10 | 5,096 840 | 50,000 00 | 31,549 44 | 18,450 56 | A |
| US TSY BOND TIIB 3 7/8 4-15-29 | 03/11/09 | 09/14/10 | 27,000 000 | 49,576 23 | 42,532.19 | 7,044.04 | |
| | 09/29/09 | 09/14/10 | 6,000 000 | 11,016 94 | 10,223 25 | 793 69 | |
| **Net Realized Gain/(Loss) This Period** | | | | **$2,983.33** | **$3,097.84** | **$(114.51)** | |
| **Net Realized Gain/(Loss) Year to Date** | | | | **$191,086.30** | **$164,699.33** | **$26,386.97** | |

*Gain/loss information is provided for informational purposes only and should not be used for tax preparation Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting*

*From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year*

*A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney Account Another financial institution has provided Morgan Stanley Smith Barney the transaction detail for this position.*

## Activity

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN·FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

### REALIZED GAIN/(LOSS) DETAIL

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| AARON'S INC | 12/10/09 | 04/15/10 | | $11.83 | $0.00 | $11 83 | Cash in Lieu |
| | 12/10/09 | 07/06/10 | 58 000 | 952 92 | 1,068 02 | (115 10) | |
| ACCOR S A UNSPONSORED ADR | 08/02/10 | 08/02/10 | | 222.95 | 0 00 | 222 95 | 1 ADJUSTED 09/29/10,Cash in Lieu |
| | 12/10/09 | 10/07/10 | 63 000 | 464 69 | 708 75 | (244 06) | |
| ACE LTD | 12/10/09 | 03/18/10 | 21 000 | 1,082 45 | 1,052 73 | 29 72 | |
| ADECCO SA UNSPON ADR | 12/10/09 | 10/21/10 | 9 000 | 262 34 | 251 10 | 11 24 | |
| AFFILIATED COMPUTER SVC A | 03/11/09 | 01/28/10 | 4 000 | 248 16 | 179 72 | 68 44 | A |
| | 03/11/09 | 02/08/10 | 33 000 | 613 80 | 109 74 | 504 06 | A |
| AKAMAI TECHNOLOGIES INC | 12/10/09 | 09/02/10 | 12 000 | 600 72 | 303 00 | 297 72 | |
| AMAZON COM INC | 03/10/09 | 03/22/10 | 43 000 | 5,564 84 | 2,733 23 | 2,831 61 | A |
| AMEDISYS INC | 12/22/09 | 10/20/10 | 15 000 | 375 99 | 694 72 | (318 73) | |
| | 03/26/10 | 10/20/10 | 11 000 | 275 73 | 620 31 | (344 58) | |
| AMEREN CORP (HLDG CO) | 03/11/09 | 05/12/10 | 24 000 | 611 98 | 480 00 | 131 98 | A |
| AMERICAN EXPRESS CO | 08/25/09 | 01/25/10 | 47 000 | 1,781 54 | 1,542 68 | 238 86 | A |
| | 10/20/09 | 01/25/10 | 1 000 | 37 91 | 35 97 | 1 94 | A |
| ANADARKO PETE | 03/10/09 | 02/05/10 | 3 000 | 183 11 | 106 68 | 76 43 | A |
| | 03/11/09 | 04/19/10 | 9 000 | 657 44 | 321 57 | 335 87 | A |
| | 03/10/09 | 04/23/10 | 13 000 | 962 75 | 462 28 | 500 47 | A |
| | 03/10/09 | 05/17/10 | 14 000 | 794.05 | 497 84 | 296 21 | A |
| | 03/11/09 | 05/17/10 | 6 000 | 340 31 | 214 38 | 125 93 | A |
| | 03/11/09 | 05/27/10 | 19 000 | 1,047 86 | 678.87 | 368 99 | A |
| | 03/11/09 | 06/09/10 | 21 000 | 782 12 | 750 33 | 31 79 | A |
| | 03/24/09 | 06/09/10 | 19 000 | 707 63 | 823 20 | (115 57) | A |
| | 06/18/09 | 06/09/10 | 13 000 | 484 17 | 603 97 | (119 80) | A |
| | 09/28/09 | 06/09/10 | 4 000 | 148 97 | 254 48 | (105 51) | A |
| ANNALY CAPITAL MNGMT INC | 09/29/09 | 04/20/10 | 4 000 | 68 52 | 73 62 | (5 10) | A |
| | 12/10/09 | 04/20/10 | 43 000 | 736 57 | 799 26 | (62 69) | |
| | 03/11/09 | 12/13/10 | 48 000 | 874 58 | 651 26 | 223 32 | A |
| APACHE CORP | 03/10/09 | 06/07/10 | 52 000 | 4,593 61 | 2,843 88 | 1,749 73 | A |
| | 03/10/09 | 06/07/10 | 9 000 | 795 05 | 491 22 | 303 83 | A |
| APPLE INC | 03/10/09 | 08/05/10 | 8 000 | 2,098 52 | 701 66 | 1,396 86 | A |
| APPLIED MATERIALS INC | 09/09/09 | 01/29/10 | 89 000 | 1,090 56 | 1,230 70 | (140 14) | A |
| | 01/22/10 | 09/09/10 | 426 000 | 4,608 30 | 5,649 74 | (1,041 44) | |
| ARENA RESOURCES INC | 12/10/09 | 07/22/10 | 34 000 | 153 00 | 153 00 | 0 00 | |
| ARM HOLDINGS PLC ADS | 02/03/10 | 08/16/10 | 10 000 | 144 60 | 98 70 | 45 90 | |
| | 02/03/10 | 10/20/10 | 19 000 | 349 27 | 187 52 | 161 75 | |
| | 02/03/10 | 12/22/10 | 43 000 | 883 44 | 424 39 | 459 05 | |
| | 05/26/10 | 12/22/10 | 27 000 | 554.72 | 278 04 | 276.68 | |

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## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| AT&T INC | 03/10/09 | 02/04/10 | 54 000 | 1,365 66 | 1,241 84 | 123 82 A | |
| | 03/10/09 | 03/04/10 | 29 000 | 720 89 | 666 91 | 53 98 A | |
| ATLAS ENERGY INC COM | 12/10/09 | 11/15/10 | 63 000 | 2,771 32 | 1,585 05 | 1,186 27 | |
| AXIS CAPITAL HOLDINGS LTD | 12/10/09 | 02/08/10 | 12 000 | 344 89 | 344 72 | 0 17 | |
| | 12/10/09 | 09/02/10 | 28 000 | 892 44 | 804 35 | 88 09 | |
| BAE SYS PLC SPON ADR | 03/11/09 | 06/15/10 | 17 000 | 326 12 | 317 90 | 8 22 A | |
| | 12/11/09 | 06/15/10 | 39 000 | 748 15 | 876 33 | (128 18) | |
| BANCO BRADESCO S A NEW | 05/05/10 | 07/21/10 | | 13 76 | 0 00 | 13 76 | Cash in Lieu |
| BANCO ESPIRTO SANTO ADR | 12/10/09 | 08/18/10 | 108 000 | 476 80 | 712 80 | (236 00) | |
| BAXTER INTL INC | 04/27/10 | 05/18/10 | 21 000 | 911 07 | 995 37 | (84 30) | |
| BAYER AG SPON ADR | 12/10/09 | 02/26/10 | 9 000 | 595 42 | 707 85 | (112 43) | |
| | 12/10/09 | 10/27/10 | 7 000 | 528 07 | 550 55 | (22 48) | |
| | 12/10/09 | 11/22/10 | 6 000 | 466 75 | 471 90 | (5 15) | |
| BAYERISCHE MOTOREN WERKE AG | 02/03/10 | 08/04/10 | 28 000 | 528 55 | 410 71 | 117.84 | |
| | 02/03/10 | 12/02/10 | 23 000 | 625 60 | 337 37 | 288 23 | |
| BEST BUY CO | 03/10/09 | 07/13/10 | 34 000 | 1,200.48 | 955.95 | 244 53 A | |
| | 03/10/09 | 09/09/10 | 18 000 | 602 73 | 506 09 | 96 64 A | |
| BOSTON PROPERTIES INC | 03/10/09 | 01/05/10 | 14 000 | 948 39 | 522 06 | 426 33 A | |
| BOSTON SCIENTIFIC CORP | 03/10/09 | 04/27/10 | 143 000 | 1,027 18 | 957 67 | 69 51 A | |
| | 12/10/09 | 04/27/10 | 20 000 | 143 66 | 172 40 | (28 74) | |
| BP PLC ADS | 12/10/09 | 04/27/10 | 10 000 | 566 68 | 562.19 | 4 49 | |
| | 12/10/09 | 04/29/10 | 26 000 | 1,368 50 | 1,461 69 | (93 19) | |
| BRANDYWINE REALTY TR SBI NEW | 03/11/09 | 03/09/10 | 9 000 | 103 22 | 32 31 | 70 91 A | |
| BRISTOL MYERS SQUIBB CO | 04/01/09 | 04/27/10 | 73.000 | 1,774 85 | 1,561 35 | 213 50 A | |
| | 12/10/09 | 04/27/10 | 3 000 | 72 94 | 76 95 | (4 01) | |
| BRITISH SKY BRDCSTG GRP PLC | 03/11/09 | 10/25/10 | 28 000 | 1,234 28 | 711.20 | 523.08 A | |
| BUNZL PLC NEW | 12/10/09 | 04/26/10 | 13 000 | 775 24 | 690 30 | 84 94 | |
| CADBURY PLC SPONSORED ADR | 03/11/09 | 01/20/10 | 14 000 | 757 53 | 418 46 | 339 07 A | |
| CAP GEMINI SA ADR | 12/10/09 | 04/29/10 | 12 000 | 295 19 | 274 20 | 20 99 | |
| | 12/10/09 | 10/27/10 | 26 000 | 648 68 | 594 10 | 54 58 | |
| CAPITAL ONE FINANCIAL CORP | 04/01/09 | 01/05/10 | 2 000 | 80 91 | 25 52 | 55 39 A | |
| | 04/24/09 | 01/05/10 | 39 000 | 1,577 67 | 661 35 | 916 32 A | |
| | 12/10/09 | 01/05/10 | 4 000 | 161 81 | 156 72 | 5 09 | |
| CARMAX INC | 04/20/10 | 11/02/10 | 31 000 | 964 11 | 777 70 | 186 41 | |
| | 05/06/10 | 11/02/10 | 16 000 | 497 61 | 366 96 | 130 65 | |
| CARNIVAL CP NEW PAIRED COM | 06/18/09 | 08/23/10 | 5 000 | 158 13 | 121 59 | 36 54 A | |
| | 07/10/09 | 08/23/10 | 13 000 | 411 12 | 319 68 | 91 44 A | |
| CATERPILLAR INC | 12/10/09 | 08/23/10 | 13 000 | 868 34 | 738 01 | 130 33 | |

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## Activity

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

### REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| CENTRAL EUROPEAN DIST CORP | 12/10/09 | 07/23/10 | 57 000 | 1,525 73 | 1,557 15 | (31 42) | |
| CHECK POINT SOFTWARE TECH LTD | 12/10/09 | 01/14/10 | 20 000 | 674 19 | 660 76 | 13 43 | |
| | 12/10/09 | 04/29/10 | 27 000 | 971 33 | 892 03 | 79 30 | |
| | 12/10/09 | 08/25/10 | 9 000 | 315 57 | 297 34 | 18 23 | |
| CHEVRON CORP | 03/10/09 | 04/19/10 | 28 000 | 2,278 21 | 1,710 01 | 568 20 | A |
| | 03/10/09 | 06/17/10 | 34 000 | 2,543.13 | 2,076 45 | 466 68 | A |
| | 07/10/09 | 06/17/10 | 7 000 | 523 59 | 429 21 | 94 38 | A |
| | 12/10/09 | 06/17/10 | 5 000 | 373 99 | 389 90 | (15 91) | |
| CHIPOTLE MEXICAN GRILL INC COM | 12/10/09 | 04/29/10 | 2 000 | 277 86 | 173.26 | 104 60 | |
| | 12/10/09 | 07/12/10 | 1 000 | 139 50 | 86 63 | 52 87 | |
| | 12/10/09 | 08/16/10 | 3 000 | 430 95 | 259 89 | 171 06 | |
| | 12/10/09 | 10/20/10 | 4 000 | 728 33 | 346 52 | 381 81 | |
| CINTAS CORP | 03/11/09 | 09/01/10 | 48 000 | 1,254 91 | 937.81 | 317 10 | A |
| CNOOC LTD ADS | 12/10/09 | 10/12/10 | 7 000 | 1,469 21 | 1,087 10 | 382 11 | |
| COCA COLA AMATIL LTD SPON ADR | 12/10/09 | 03/12/10 | 77 000 | 1,578 89 | 1,555 40 | 23 49 | |
| COGNIZANT TECH SOLUTIONS CL A | 12/10/09 | 01/07/10 | 9 000 | 409 13 | 397 88 | 11 25 | |
| | 12/10/09 | 04/29/10 | 14.000 | 733 04 | 618 92 | 114 12 | |
| | 12/10/09 | 12/21/10 | 7 000 | 509 27 | 309 46 | 199 81 | |
| CORE LABORATORIES N V | 03/11/09 | 03/08/10 | 4 000 | 525 11 | 279 36 | 245 75 | A |
| | 03/11/09 | 09/02/10 | 10 000 | 818 12 | 349 20 | 468 92 | A |
| CORNING INC | 01/29/10 | 07/27/10 | 66 000 | 1,190 83 | 1,194 58 | (3 75) | |
| CORRECTIONS CORP OF AMER NEW | 12/10/09 | 04/20/10 | 77 000 | 1,640 32 | 1,919 60 | (279 28) | |
| COVENTRY HEALTH CARE INC | 12/10/09 | 07/06/10 | 23.000 | 405 30 | 532 45 | (127 15) | |
| CREE RESEARCH INC | 12/10/09 | 03/02/10 | 14 000 | 973 61 | 725 24 | 248.37 | |
| | 12/10/09 | 04/29/10 | 6 000 | 455 51 | 310.82 | 144 69 | |
| CRH PLC ADR | 12/10/09 | 03/04/10 | 47 000 | 1,093 29 | 1,249 58 | (156 29) | |
| DELL INC | 06/03/09 | 06/08/10 | 105.000 | 1,330 96 | 1,208 55 | 122 41 | A |
| DEVRY INC | 12/10/09 | 08/02/10 | 24 000 | 1,304 10 | 1,357 20 | (53 10) | |
| | 05/06/10 | 08/02/10 | 9 000 | 489 04 | 544 60 | (55 56) | |
| DISCOVERY COMMUNICATIONS SER A | 12/10/09 | 07/06/10 | 22 000 | 781 20 | 693 44 | 87 76 | |
| DREAMWORKS ANIMATION SKG INC | 03/11/09 | 02/05/10 | 2 000 | 76 99 | 38 60 | 38 39 | A |
| ECOLAB INC | 03/10/09 | 03/25/10 | 109 000 | 4,733 36 | 3,384.30 | 1,349 06 | A |
| | 12/10/09 | 03/25/10 | 17 000 | 738 23 | 773 91 | (35 68) | |
| EMERSON ELECTRIC CO | 03/10/09 | 01/21/10 | 21 000 | 906 32 | 556 04 | 350 28 | A |
| | 12/10/09 | 01/21/10 | 12 000 | 517.90 | 500 04 | 17 86 | |
| | 03/10/09 | 05/24/10 | 95 000 | 4,342 07 | 2,515 41 | 1,826 66 | A |
| | 03/10/09 | 05/24/10 | 43 000 | 1,965 36 | 1,146 38 | 818 98 | A |
| ENCANA CORP | 12/10/09 | 02/16/10 | 25 000 | 825 23 | 697.69 | 127 54 | |

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## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| ENI SPA AMER DEP RCPT | 12/10/09 | 02/19/10 | 17 000 | 786 52 | 836 02 | (49 50) | |
| | 12/10/09 | 04/06/10 | 36 000 | 1,705 75 | 1,770 39 | (64 64) | |
| ERICSSON LM TEL ADR CL B NEW | 06/18/09 | 08/23/10 | 60 000 | 614 67 | 573 44 | 41 23 A | |
| ESPRIT HLDGS LTD SPONSORED ADR | 01/26/10 | 01/27/10 | | 12 40 | 0 00 | 12 40 | Cash in Lieu |
| | 01/26/10 | 02/01/10 | 4 000 | 54 51 | 0 00 | 54.51 | |
| EXPEDITORS INTL WASH INC | 03/10/09 | 01/21/10 | 144 000 | 5,042 95 | 3,605 76 | 1,437 19 A | |
| | 12/10/09 | 01/21/10 | 31 000 | 1,085 63 | 1,004 28 | 81 35 | |
| EXXON MOBIL CORP | 03/10/09 | 05/27/10 | 18 000 | 1,100 15 | 1,204 02 | (103 87) A | |
| | 03/10/09 | 08/11/10 | 17 000 | 1,028 56 | 1,137 13 | (108 57) A | |
| FACTSET RESEARCH SYSTEMS INC | 12/10/09 | 09/02/10 | 8 000 | 616 80 | 603 60 | 13 20 | |
| FIRSTMERIT CORPORATION | 03/26/10 | 09/02/10 | 47 000 | 835 21 | 997 86 | (162 65) | |
| FISERV INC WISCONSIN | 12/10/09 | 09/02/10 | 6 000 | 313 80 | 280 68 | 33 12 | |
| FLOWERS FOODS INC | 12/10/09 | 04/15/10 | 61 000 | 1,539 79 | 1,406 04 | 133 75 | |
| FRONTIER COMMUNICATIONS CORP | 03/10/09 | 07/01/10 | | 5 33 | 0 00 | 5 33 | Cash in Lieu |
| | 03/10/09 | 07/13/10 | 16 000 | 114 72 | 123 01 | (8 29) | |
| | 09/28/09 | 07/13/10 | 2 000 | 14 34 | 13 42 | 0 92 | |
| FUJIFILM HLDGS CORP ADR | 12/10/09 | 01/28/10 | 13 000 | 419 76 | 372 32 | 47 44 | |
| GAMESTOP CORP CL A NEW | 12/10/09 | 10/20/10 | 58 000 | 1,102 16 | 1,222 47 | (120 31) | |
| | 04/05/10 | 10/20/10 | 27 000 | 513 07 | 607 96 | (94 89) | |
| GEA GROUP AG SPON ADR | 12/10/09 | 03/17/10 | 16 000 | 370 23 | 345 60 | 24 63 | |
| GENL DYNAMICS CORP | 03/10/09 | 08/23/10 | 14 000 | 835.25 | 524 02 | 311 23 A | |
| GENUINE PARTS CO | 03/11/09 | 01/07/10 | 6 000 | 228.59 | 159 84 | 68 75 A | |
| | 03/11/09 | 10/20/10 | 29 000 | 1,378 67 | 772 56 | 606 11 A | |
| | 12/10/09 | 10/20/10 | 11 000 | 522 94 | 416 35 | 106 59 | |
| GILEAD SCIENCE | 03/10/09 | 10/01/10 | 82 000 | 2,930 49 | 3,629 96 | (699 47) A | |
| | 06/03/09 | 10/01/10 | 25 000 | 893 44 | 1,119 20 | (225 76) A | |
| | 12/10/09 | 10/01/10 | 17 000 | 607 54 | 788 29 | (180 75) | |
| GOOGLE INC-CL A | 03/10/09 | 07/08/10 | 10 000 | 4,514 60 | 3,036 79 | 1,477 81 A | |
| GUESS INC | 12/10/09 | 08/04/10 | 24.000 | 881 76 | 1,060 32 | (178 56) | |
| HALLIBURTON CO | 10/27/09 | 06/09/10 | 44 000 | 988 20 | 1,328 63 | (340 43) A | |
| | 12/10/09 | 06/09/10 | 63 000 | 1,414 92 | 1,774 53 | (359 61) | |
| | 01/14/10 | 06/09/10 | 31 000 | 696.23 | 1,066 25 | (370 02) | |
| HASBRO INC | 03/11/09 | 09/02/10 | 9 000 | 386 75 | 197 91 | 188 84 A | |
| HESS CORPORATION | 03/24/09 | 08/11/10 | 14 000 | 747 67 | 913 78 | (166 11) A | |
| HEWLETT PACKARD | 03/10/09 | 11/01/10 | 18 000 | 768.06 | 473 18 | 294 88 A | |
| | 03/10/09 | 11/01/10 | 11 000 | 469 37 | 295 99 | 173.38 A | |
| HOLOGIC INC | 12/10/09 | 02/24/10 | 37 000 | 610 14 | 530 77 | 79 37 | |
| HOSPIRA INC | 06/22/10 | 08/04/10 | 99 000 | 5,098 14 | 5,637 55 | (539 41) | |

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# Activity

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| HUMANA INC | 01/22/10 | 04/20/10 | 13 000 | 587 27 | 678 07 | (90 80) | |
| HUTCHISON WHAMPOA ADR | 12/10/09 | 10/13/10 | 13 000 | 632 97 | 438 62 | 194 35 | |
| IHS INC CLA A COM | 12/10/09 | 09/02/10 | 16 000 | 1,020 10 | 823 07 | 197 03 | |
| INDUSTRIAL & COML BK CHINA ADR | 12/27/10 | 12/27/10 | | 42 79 | 0 00 | 42 79 | 1 Sale of Foreign Rights |
| INFOSYS TECH LIMITED | 03/11/09 | 04/14/10 | 19 000 | 1,189 58 | 468 69 | 720 89 | A |
| | 03/11/09 | 07/13/10 | 4 000 | 237 04 | 98 67 | 138 37 | A |
| INTEGRYS ENERGY GROUP INC | 03/11/09 | 06/07/10 | 33 000 | 1,440 20 | 744 81 | 695 39 | A |
| INTEL CORP | 09/09/09 | 08/23/10 | 25 000 | 467 88 | 495 25 | (27.37) | A |
| INTERCONTINENTALEXCHANGE, INC | 08/03/09 | 08/13/10 | 54 000 | 5,185 15 | 5,057 13 | 128 02 | A |
| INVESCO LTD | 04/01/09 | 04/12/10 | 32 000 | 706 90 | 459 15 | 247 75 | A |
| | 04/24/09 | 04/12/10 | 24 000 | 530.18 | 365 15 | 165 03 | A |
| ITRON INC | 03/10/09 | 11/02/10 | 22 000 | 1,308 82 | 993 96 | 314 86 | A |
| | 05/26/10 | 11/02/10 | 5 000 | 297 46 | 326 97 | (29 51) | |
| ITT CORP | 10/28/09 | 08/31/10 | 76 000 | 3,226 33 | 4,081 20 | (854 87) | A |
| | 12/10/09 | 08/31/10 | 36 000 | 1,528 26 | 1,830 17 | (301 91) | |
| IVANHOE MINES LTD | 03/11/09 | 07/13/10 | 30.000 | 490 09 | 135 90 | 354.19 | A |
| | 03/11/09 | 08/27/10 | 50 000 | 865 86 | 226 50 | 639 36 | A |
| JOHNSON & JOHNSON | 03/10/09 | 06/18/10 | 76 000 | 4,487.25 | 3,611 52 | 875 73 | A |
| | 12/10/09 | 06/18/10 | 12 000 | 708 51 | 778 78 | (70.27) | |
| JOY GLOBAL INC | 07/06/10 | 12/14/10 | 16 000 | 1,293 26 | 811 20 | 482 06 | |
| | 09/02/10 | 12/14/10 | 2 000 | 161 66 | 125 39 | 36 27 | |
| KB FINANCIAL GRP INC SONS ADR | 12/10/09 | 08/31/10 | 5 000 | 203.22 | 267.70 | (64 48) | |
| KIMBERLY CLARK CORP | 05/27/10 | 12/02/10 | 14 000 | 864 07 | 853.52 | 10 55 | |
| KONINKLIJKE PHIL EL SP ADR NEW | 12/10/09 | 08/20/10 | 13 000 | 363 43 | 381 55 | (18 12) | |
| L-3 COMMUNICATIONS HOLDING INC | 12/10/09 | 08/16/10 | 13 000 | 911 29 | 1,065 48 | (154 19) | |
| LABORATORY CP AMER HLDGS NEW | 12/10/09 | 09/02/10 | 10 000 | 743 01 | 732 50 | 10 51 | |
| LAZARD CLA A COM STK | 12/10/09 | 04/20/10 | 37.000 | 1,430 47 | 1,397.79 | 32 68 | |
| LINCOLN ELEC HLDGS INC | 12/10/09 | 03/24/10 | 27 000 | 1,457 92 | 1,406 43 | 51 49 | |
| LKQ CORPORATION | 03/10/09 | 07/06/10 | 19 000 | 362 22 | 245 82 | 116 40 | A |
| | 03/10/09 | 09/02/10 | 13 000 | 252 38 | 168 19 | 84 19 | A |
| LONZA GROUP AG ZUERICH ADR | 12/10/09 | 08/25/10 | 74.000 | 590 51 | 549 08 | 41 43 | |
| LOWES COMPANIES INC | 03/10/09 | 10/18/10 | 249.000 | 5,235 73 | 3,603 50 | 1,632 23 | A |
| MADISON SQUARE GARDEN INC CL A | 03/11/09 | 02/09/10 | | 14 94 | 0.00 | 14 94 | Cash in Lieu |
| | 03/11/09 | 02/12/10 | 26 000 | 477 52 | 229 32 | 248 20 | |
| MAN SE UNSPONS ADR | 05/05/10 | 12/03/10 | 44 000 | 561 43 | 385 41 | 176.02 | |
| MASIMO CORPORATION | 12/10/09 | 06/03/10 | 32 000 | 694 70 | 879 68 | (184.98) | |
| MC DONALDS CORP | 05/19/09 | 11/01/10 | 26 000 | 2,022 12 | 1,404 13 | 617 99 | A |
| MCAFEE INC | 12/10/09 | 01/22/10 | 25 000 | 969 10 | 960 16 | 8.94 | |

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## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| | 12/10/09 | 09/02/10 | 35 000 | 1,650 64 | 1,344 22 | 306 42 | |
| MCDERMOTT INTERNATIONAL INC | 03/11/09 | 09/13/10 | 80.000 | 1,081 67 | 515 39 | 566 28 | |
| | 12/10/09 | 09/13/10 | 12 000 | 162 25 | 136 99 | 25.26 | |
| MERCK KGAA UNSPON ADR | 12/10/09 | 02/26/10 | 28 000 | 722 55 | 880 60 | (158 05) | |
| | 12/10/09 | 04/12/10 | 28 000 | 766 76 | 880 60 | (113 84) | |
| MICHELIN COMPAGNIE GENERALE DE | 11/01/10 | 11/01/10 | | (54 39) | 0 00 | (54.39) | 1 Sale of Foreign Rights |
| | 11/01/10 | 11/01/10 | | 53 99 | 0.00 | 53 99 | 1 Sale of Foreign Rights |
| | 11/01/10 | 11/01/10 | | 54 39 | 0 00 | 54 39 | 1 Sale of Foreign Rights |
| MICROSOFT CORP | 03/10/09 | 04/07/10 | 138 000 | 4,027 24 | 2,210 45 | 1,816 79 | A |
| | 03/10/09 | 04/07/10 | 54 000 | 1,575 87 | 883 32 | 692 55 | A |
| MILLICOM INTL CELLULAR SA NEW | 03/11/09 | 06/24/10 | 2.000 | 172 01 | 76 90 | 95 11 | A |
| MONSANTO CO/NEW | 03/10/09 | 05/27/10 | 47.000 | 2,281 27 | 3,623 23 | (1,341 96) | A |
| | 06/03/09 | 05/27/10 | 10 000 | 485 38 | 808 10 | (322 72) | A |
| | 12/10/09 | 05/27/10 | 11.000 | 533 91 | 917 51 | (383 60) | |
| MORNINGSTAR INC COMMON | 12/10/09 | 03/08/10 | 18 000 | 867 79 | 858 78 | 9 01 | |
| NATL GRID TRANSCO PLC ADS | 06/22/10 | 06/22/10 | | 29 77 | 0 00 | 29.77 | 1 Sale of Foreign Rights |
| NESTLE SPON ADR REP REG SHR | 03/10/09 | 04/06/10 | 18.000 | 901 37 | 569 16 | 332 21 | A |
| | 03/11/09 | 04/28/10 | 7.000 | 335 99 | 221 20 | 114 79 | A |
| | 03/11/09 | 08/20/10 | 6 000 | 301 07 | 189 60 | 111 47 | A |
| | 03/11/09 | 10/25/10 | 16 000 | 877 15 | 505 60 | 371.55 | A |
| NEW ORIENTAL ED & TECH GRP ADR | 10/08/09 | 07/06/10 | 2 000 | 184 56 | 164 61 | 19 95 | A |
| | 10/08/09 | 09/02/10 | 4 000 | 401 89 | 329 23 | 72.66 | A |
| NIDEC CORP | 12/10/09 | 03/11/10 | 51 000 | 1,285 45 | 1,164 61 | 120 84 | |
| NIKE INC B | 03/10/09 | 01/21/10 | 55 000 | 3,489 96 | 2,255 55 | 1,234 41 | A |
| | 03/10/09 | 01/21/10 | 37 000 | 2,347 79 | 1,549 56 | 798 23 | A |
| | 03/10/09 | 05/27/10 | 15 000 | 1,104 79 | 615 15 | 489 64 | A |
| | 03/10/09 | 06/09/10 | 18 000 | 1,259 65 | 738 18 | 521 47 | A |
| | 09/28/09 | 06/09/10 | 3 000 | 209 94 | 177 00 | 32 94 | A |
| | 12/10/09 | 06/09/10 | 6 000 | 419 88 | 377 10 | 42 78 | |
| NOBLE ENERGY INC | 03/11/09 | 06/30/10 | 20 000 | 1,220 08 | 906 00 | 314 08 | A |
| | 12/10/09 | 06/30/10 | 1.000 | 61 00 | 66 64 | (5 64) | |
| NOKIA CP ADR | 12/10/09 | 04/22/10 | 33 000 | 423 33 | 416 68 | 6.65 | |
| | 12/10/09 | 04/29/10 | 36.000 | 434 65 | 454 56 | (19.91) | |
| | 01/28/10 | 04/29/10 | 28 000 | 338 06 | 389 12 | (51.06) | |
| | 02/03/10 | 04/29/10 | 38 000 | 458 79 | 543.51 | (84 72) | |
| NORTHEAST UTILITIES | 12/10/09 | 09/02/10 | 18 000 | 528 69 | 443 84 | 84 85 | |
| NORTHERN TRUST CORP | 03/10/09 | 06/21/10 | 63 000 | 3,140 73 | 3,214 89 | (74 16) | A |
| | 03/10/09 | 06/21/10 | 36 000 | 1,794 71 | 1,903 08 | (108.37) | A |

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## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| | 06/03/09 | 06/21/10 | 15 000 | 747 79 | 832.47 | (84 68) | A |
| | 12/10/09 | 06/21/10 | 6 000 | 299 12 | 287 84 | 11 28 | |
| NOVARTIS AG ADR | 03/11/09 | 06/17/10 | 9 000 | 439 48 | 306 81 | 132 67 | A |
| | 03/11/09 | 10/29/10 | 6 000 | 348 13 | 204 54 | 143 59 | A |
| NOVO NORDISK A/S ADR | 07/21/09 | 04/09/10 | 4 000 | 314 39 | 227 63 | 86 76 | A |
| NUCOR CORPORATION | 03/10/09 | 02/25/10 | 55 000 | 2,281 90 | 1,960 75 | 321 15 | A |
| | 03/10/09 | 02/25/10 | 48 000 | 1,991 48 | 1,698 16 | 293 32 | A |
| | 03/10/09 | 02/25/10 | 28 000 | 1,161 70 | 1,024 51 | 137 19 | A |
| | 09/28/09 | 02/25/10 | 1 000 | 41 49 | 47 32 | (5 83) | A |
| O REILLY AUTOMOTIVE INC | 12/10/09 | 04/29/10 | 16 000 | 794 91 | 602 05 | 192 86 | |
| | 12/10/09 | 09/02/10 | 9 000 | 444 05 | 338 65 | 105 40 | |
| OIL STATES INTL INC | 12/10/09 | 04/15/10 | 29 000 | 1,346 43 | 1,026 89 | 319 54 | |
| PEARSON PLC SP ADR | 12/10/09 | 06/17/10 | 32 000 | 454 09 | 452.16 | 1 93 | |
| PENN NATIONAL GAMING | 03/18/09 | 04/20/10 | 32 000 | 939 54 | 722 58 | 216 96 | A |
| PEOPLE'S UNITED FINANCIAL INC | 12/10/09 | 04/20/10 | 85 000 | 1,380 24 | 1,402 50 | (22 26) | |
| PETROLEUM GEO-SVCS ASA ADS | 12/10/09 | 09/24/10 | 92 000 | 1,005 59 | 1,058 00 | (52 41) | |
| PORTLAND GENERAL ELEC CO | 12/10/09 | 09/02/10 | 23 000 | 466 48 | 480.64 | (14 16) | |
| PORTUGAL TELECOM SGPS SA | 12/10/09 | 02/03/10 | 29 000 | 301 73 | 351 68 | (49.95) | |
| | 12/10/09 | 05/28/10 | 27 000 | 273 05 | 327 42 | (54 37) | |
| PROASSURANCE CP | 12/10/09 | 09/02/10 | 11 000 | 602 28 | 591 36 | 10 92 | |
| QUEST DIAGNOSTICS INC | 08/31/09 | 04/16/10 | 95 000 | 5,560 26 | 5,113 93 | 446 33 | A |
| | 12/10/09 | 04/16/10 | 2 000 | 117 06 | 118.25 | (1 19) | |
| REGAL ENTERTAINMENT GRP CL A | 04/07/10 | 08/31/10 | 87 000 | 1,070 51 | 1,569.97 | (499 46) | |
| RICHIE BROTHERS AUCTIONEERS | 06/01/09 | 01/07/10 | 18 000 | 406 86 | 418.89 | (12 03) | A |
| | 06/01/09 | 04/05/10 | 10 000 | 218 41 | 232 71 | (14 30) | A |
| | 06/22/09 | 04/05/10 | 25 000 | 546 03 | 572 41 | (26.38) | A |
| | 07/08/09 | 04/05/10 | 20 000 | 436 83 | 462 61 | (25 78) | A |
| ROGERS COMM INC CL B (BC) | 02/04/10 | 12/23/10 | 34 000 | 1,163 31 | 1,044.84 | 118 47 | |
| ROLLS ROYCE PLC SPONS ADR | 12/10/09 | 03/31/10 | 6 000 | 269 87 | 235.08 | 34 79 | |
| | 12/10/09 | 07/02/10 | 12 000 | 499 21 | 470 16 | 29.05 | |
| SANDRIDGE ENERGY INC | 12/10/09 | 07/22/10 | 0 421 | 2 54 | 3 23 | (0 69) | |
| | 12/10/09 | 11/15/10 | 162 000 | 833 78 | 1,244 84 | (411 06) | |
| SHANGHAI ELEC GROUP CO LTD ADR | 12/10/09 | 12/01/10 | 26 000 | 357 99 | 243 10 | 114 89 | |
| SHIRE PLC ADR | 12/10/09 | 01/25/10 | 12 000 | 715 01 | 677 90 | 37 11 | |
| | 12/10/09 | 03/11/10 | 6 000 | 393 16 | 338 95 | 54 21 | |
| SMUCKER JM CO COM NEW | 12/10/09 | 11/23/10 | 26 000 | 1,627 36 | 1,556 10 | 71 26 | |
| SOUTHERN CO | 10/20/09 | 04/30/10 | 64 000 | 2,236 65 | 2,125 17 | 111 48 | A |
| | 12/10/09 | 04/30/10 | 8 000 | 279 58 | 269 20 | 10 38 | |

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## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| SPDR S&P MIDCAP 400 ETF TRUST | 12/10/09 | 02/02/10 | 22 000 | 2,888 91 | 2,808 96 | 79 95 | |
| STAPLES INC | 03/10/09 | 06/17/10 | 41 000 | 897.64 | 642 79 | 254.85 | A |
| | 03/10/09 | 07/13/10 | 38 000 | 765 03 | 595 76 | 169 27 | A |
| SUNOCO INC | 08/06/09 | 07/30/10 | 38 000 | 1,353 69 | 976 62 | 377 07 | A |
| | 08/06/09 | 09/01/10 | 12 000 | 412.93 | 308 41 | 104 52 | A |
| | 08/27/09 | 09/01/10 | 20 000 | 688 22 | 544 67 | 143 55 | A |
| | 12/10/09 | 09/01/10 | 10 000 | 344 11 | 261 27 | 82 84 | |
| SYBASE INC DEL | 02/22/10 | 05/21/10 | 33.000 | 2,115 71 | 1,451 00 | 664.71 | |
| | 12/10/09 | 05/26/10 | 46 000 | 2,950 76 | 1,943.66 | 1,007 10 | |
| | 02/22/10 | 07/20/10 | 32.000 | 2,075 68 | 1,407 03 | 668.65 | |
| SYNGENTA AG ADR | 12/10/09 | 07/08/10 | 16 000 | 698 40 | 879 32 | (180 92) | |
| | 12/10/09 | 10/29/10 | 11.000 | 608 56 | 604 53 | 4 03 | |
| TAKEDA PHARMACEUTICAL CO LTD | 12/10/09 | 05/28/10 | 24 000 | 486 95 | 510 24 | (23 29) | |
| TALISMAN ENERGY INC | 03/11/09 | 06/23/10 | 33 000 | 545 79 | 313 10 | 232 69 | A |
| TECHNE CP | 12/10/09 | 02/18/10 | 5 000 | 310 24 | 340 10 | (29 86) | |
| TELEFONICA SA ADR | 03/11/09 | 04/22/10 | 10 000 | 683 58 | 544 20 | 139 38 | A |
| | 12/10/09 | 05/14/10 | 10 000 | 560 52 | 847 90 | (287 38) | |
| | 12/10/09 | 08/10/10 | 10 000 | 696 43 | 847 90 | (151 47) | |
| TELEKOM AUSTRIA A G SPONS ADR | 12/10/09 | 06/21/10 | 12 000 | 270 59 | 357 60 | (87 01) | |
| TEVA PHARMACEUTICALS ADR | 03/11/09 | 05/11/10 | 10 000 | 584 31 | 429 38 | 154 93 | A |
| TOTAL FINA ELF SA | 03/10/09 | 02/19/10 | 11 000 | 641 40 | 522 17 | 119.23 | A |
| | 03/10/09 | 02/24/10 | 15.000 | 848 71 | 712 04 | 136.67 | A |
| | 03/24/09 | 02/24/10 | 11 000 | 622 39 | 567 50 | 54 89 | A |
| | 07/21/09 | 02/24/10 | 16 000 | 905 30 | 898 23 | 7.07 | A |
| | 07/21/09 | 03/11/10 | 17 000 | 994 36 | 954 37 | 39 99 | A |
| | 09/28/09 | 03/11/10 | 2 000 | 116 98 | 119 48 | (2 50) | A |
| | 03/10/09 | 08/10/10 | 13 000 | 679 93 | 617 10 | 62 83 | A |
| TRANSOCEAN LTD | 03/11/09 | 04/29/10 | 71 000 | 5,600 23 | 3,737 30 | 1,862 93 | A |
| | 03/11/09 | 05/27/10 | 26 000 | 1,558 43 | 1,368 59 | 189 84 | A |
| | 03/18/10 | 05/27/10 | 9 000 | 539 46 | 753 25 | (213 79) | |
| UDR INC COM | 03/11/09 | 02/12/10 | 47 000 | 707.34 | 389 11 | 318 23 | A |
| | 03/11/09 | 04/23/10 | 43 000 | 904 63 | 356 00 | 548 63 | A |
| | 05/07/09 | 04/23/10 | 45 000 | 946 70 | 466 92 | 479 78 | A |
| | 12/10/09 | 04/23/10 | 3 000 | 63 11 | 44 81 | 18 30 | |
| UNITED TECHNOLOGIES CORP | 03/10/09 | 07/13/10 | 15 000 | 1,019 20 | 598 80 | 420 40 | A |
| | 03/10/09 | 11/01/10 | 15 000 | 1,134 45 | 598 80 | 535 65 | A |
| URS CORP NEW | 12/10/09 | 01/07/10 | 6 000 | 286 14 | 257 64 | 28 50 | |
| | 12/10/09 | 11/02/10 | 23.000 | 939 02 | 987 62 | (48 60) | |

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## REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---|---|---|---|---|---|---|---|
| | 09/02/10 | 11/02/10 | 13 000 | 530 75 | 487 22 | 43 53 | |
| V F CORPORATION | 12/10/09 | 04/15/10 | 10.000 | 835.90 | 723 50 | 112 40 | |
| VERIZON COMMUNICATIONS | 03/10/09 | 03/04/10 | 41 000 | 1,197 11 | 1,124 84 | 72 27 A | |
| VESTAS WIND SYSTEMS ADS | 03/11/09 | 07/02/10 | 32 000 | 467 83 | 451.20 | 16 63 A | |
| VINCI SA ADR | 12/10/09 | 01/27/10 | 29 000 | 395 84 | 414.70 | (18 86) | |
| VISA INC CL A | 03/10/09 | 08/06/10 | 69 000 | 4,938 13 | 3,605 25 | 1,332 88 A | |
| | 12/10/09 | 08/06/10 | 1 000 | 71 57 | 81 58 | (10 01) | |
| VODAFONE GP PLC ADS NEW | 10/27/09 | 04/16/10 | 230 000 | 5,395 96 | 5,201 43 | 194 53 A | |
| | 12/10/09 | 04/16/10 | 19 000 | 445 75 | 436 58 | 9 17 | |
| | 12/10/09 | 06/30/10 | 39 000 | 811 60 | 896 17 | (84 57) | |
| | 12/10/09 | 09/22/10 | 14 000 | 357 47 | 321 67 | 35 80 | |
| WASTE MGMT INC (DELA) | 03/10/09 | 06/17/10 | 36 000 | 1,208 71 | 822 57 | 386.14 A | |
| WEST PHARMACEUTICAL SVCS INC | 03/10/09 | 02/24/10 | 8 000 | 308 34 | 232 72 | 75.62 A | |
| | 03/10/09 | 10/20/10 | 37 000 | 1,325 89 | 1,076 33 | 249.56 A | |
| XEROX CORP | 03/11/09 | 02/08/10 | | 7 63 | 0 00 | 7 63 | Cash in Lieu |
| XTO ENERGY INC | 03/10/09 | 01/05/10 | 19 000 | 902 63 | 603 82 | 298 81 A | |
| | 03/10/09 | 01/14/10 | 24 000 | 1,147 84 | 762 72 | 385 12 A | |
| **Net Realized Gain/(Loss) This Period** | | | | **$7,892.12** | **$5,463.98** | **$2,428.14** | |
| **Net Realized Gain/(Loss) Year to Date** | | | | **$317,475.85** | **$270,216.48** | **$47,259.37** | |

*Gain/loss information is provided for informational purposes only and should not be used for tax preparation Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting*

*From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year*

*See the end of the Holdings for definitions of all lettered and numbered footnotes*

# Holdings

**Active Assets Account**
**759-019928-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

*The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the period shown above which may not reflect the value that could actually be obtained in the market See "Pricing of Securities" in the Disclosures section at the end of this statement*
*Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.*
*If you hold structured products, please refer to the Special Considerations Regarding Structured Products section of the Disclosure section*
*Gain/loss information is provided for informational purposes only and should not be used for tax preparation Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting*
*From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year*

## CASH, DEPOSITS AND MONEY MARKET FUNDS

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| **MORGAN STANLEY BANK N.A. #** | **$245,000.00** | $368.00 | — | 0.150 |
| **MORGAN STANLEY PRIVATE BANK NA #** | **28,258.91** | 42.00 | — | 0 150 |

| | Percentage of Assets % | Market Value | Estimated Annual Income<br>*Accrued Interest* |
|---|---|---|---|
| CASH, DEPOSITS AND MONEY MARKET FUNDS | **14.0%** | **$273,258.91** | **$410.00**<br>**$0.00** |

*# Bank deposits are at Morgan Stanley Bank, N A and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney*
*Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement*

## MUNICIPAL BONDS

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| **MONTGOMERY CNTY MD REV CTFS LTD** | 25,000 000 | $27,599 25 | | | $1,250 00 | 4 83 |
| **OBLIG-A** | | $27,542 03 | **$25,840.50** | $(1,701 53) | $208 33 | |
| CUSIP 61336PBT7 | | | | | | |
| *Unit Price. $103 362, Coupon Rate 5 000%, Matures 05/01/22, Int Semi-Annually May/Nov 01; Callable $100.00 on 05/01/20; Yield to Call 4 553%, Subject to Federal Tax, Moody AA1 S&P AA+, Issued 04/22/10* | | | | | | |
| **ILLINOIS ST GENERAL OBLIGATION** | 25,000.000 | 24,630 75 | | | 1,237.50 | 5.75 |
| CUSIP 452151LE1 | | 24,630 75 | **21,516.00** | (3,114.75) | 103.12 | |
| *Unit Price $86 064, Coupon Rate 4 950%, Matures 06/01/23, Int Semi-Annually Jun/Dec 01, Yield to Maturity 6 612%, Subject to Federal Tax, Moody A1 S&P A+, Issued 06/12/03* | | | | | | |

CONTINUED

## MUNICIPAL BONDS (CONTINUED)

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| **NEW YORK N Y SER-G1 BUILD AMERICA** | 25,000 000 | 26,813 00 | | | 1,331.00 | 5.62 |
| **BOND** | | 26,773 02 | **23,668.00** | (3,105 02) | 443 66 | |
| CUSIP 64966HYG9 | | | | | | |
| *Unit Price $94 672, Coupon Rate 5 324%, Matures 03/01/24, Int Semi-Annually Mar/Sep 01, Yield to Maturity 5 911%, Callable Extraordinary, Subject to Federal Tax, Moody AA2 S&P AA, Issued 03/30/10* | | | | | | |
| **OREGON ST GENL OBLIG DEPT ENERGY** | 25,000.000 | 26,160 25 | | | 1,175 00 | 4.93 |
| **SER-B** | | 26,121 50 | **23,824.25** | (2,297 25) | 496.11 | |
| CUSIP 68608KF94 | | | | | | |
| *Unit Price $95 297, Coupon Rate 4 700%, Matures 04/01/25, Int Semi-Annually Apr/Oct 01, Callable $100 00 on 04/01/20, Yield to Maturity 5 170%, First Coupon 04/01/11, Subject to Federal Tax, Moody AA1 S&P AA, Issued 07/29/10* | | | | | | |
| **SAN FRANCISCO CALIF CITY & CNTY GENL** | 25,000 000 | 27,553.50 | | | 1,362 50 | 5.40 |
| **OBLIG BUILD AMERICA** | | 27,503.37 | **25,198.25** | (2,305 12) | 60 55 | |
| CUSIP 797646NP7 | | | | | | |
| *Unit Price $100 793, Coupon Rate 5 450%, Matures 06/15/25, Int Semi-Annually Jun/Dec 15, Yield to Maturity 5 370%, Callable Extraordinary, Subject to Federal Tax, Moody AA2 S&P AA, Issued 03/24/10* | | | | | | |
| **MARYLAND ST GENL OBLIG SER-D** | 50,000.000 | 52,792 50 | | | 2,175.00 | 4.55 |
| CUSIP 5741926N5 | | 52,751.82 | **47,710.50** | (5,041 32) | 851.87 | |
| *Unit Price $95 421; Coupon Rate 4 350%, Matures 08/01/25, Int Semi-Annually Feb/Aug 01, Yield to Maturity 4 790%, Callable Extraordinary, First Coupon 02/01/11, Subject to Federal Tax, Moody AAA S&P AAA, Issued 08/10/10* | | | | | | |
| **CT GENL OBLIG QSCB DIRECT SUBSIDY** | 35,000 000 | 35,268.15 | | | 1,853.25 | 5.44 |
| **SER-B** | | 35,267.39 | **34,049.40** | (1,217 99) | 370 65 | |
| CUSIP 20772JAA0 | | | | | | |
| *Unit Price $97 284; Coupon Rate 5 295%, Matures 10/01/29, Int Semi-Annually Apr/Oct 01, Yield to Maturity 5 529%, Callable Extraordinary, First Coupon 04/01/11, Subject to Federal Tax, Moody AA2 S&P AA, Issued 10/19/10* | | | | | | |

| | Percentage of Assets % | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| MUNICIPAL BONDS | | **$220,817.40** | | | **$10,384.25** | **5.15%** |
| | | **$220,589.88** | **$201,806.90** | **$(18,782.98)** | **$2,534.29** | |
| TOTAL MUNICIPAL BONDS (incl.accr.int.) | **10.4%** | | **$204,341.19** | | | |

# Holdings

**Active Assets Account**
**759-019928-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## CORPORATE FIXED INCOME

### CORPORATE BONDS

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| **PFIZER INC** | 100,000.000 | $106,509 00 | | | $4,450.00 | 4.26 |
| CUSIP 717081CZ4 | | $104,355.19 | **$104,346.00** | $(9.19) | $1,310.27 | |
| *Unit Price $104 346, Coupon Rate 4 450%, Matures 03/15/12, Int Semi-Annually Mar/Sep 15, Yield to Maturity 819%, Moody A1 S&P AA, Issued 03/24/09* | | | | | | |
| **BERKSHIRE HATHAWAY FIN** | 50,000 000 | 53,618.00 | | | 2,375 00 | 4 51 |
| CUSIP 084670AS7 | | 52,463 46 | **52,650.00** | 186.54 | 303 47 | |
| *Unit Price $105 300, Coupon Rate 4 750%, Matures 05/15/12, Int Semi-Annually May/Nov 15, Yield to Maturity 856%, Moody AA2 S&P AA+, Issued 05/18/05* | | | | | | |
| **GENL ELECTRIC CAPITAL CORP** | 50,000 000 | 52,945 50 | | | 2,125 00 | 4.08 |
| CUSIP 36962GR30 | | 52,044 97 | **51,998.00** | (46 97) | 94 44 | |
| *Unit Price $103 996, Coupon Rate 4 250%; Matures 06/15/12, Int Semi-Annually Jun/Dec 15, Yield to Maturity 1 465%, Moody AA2 S&P AA+, Issued 06/06/05* | | | | | | |
| **AMERICAN EXPRESS** | 50,000 000 | 54,989 00 | | | 2,937 50 | 5 40 |
| CUSIP 0258M0CW7 | | 54,177 32 | **54,377.00** | 199.68 | 481.42 | |
| *Unit Price $108 754, Coupon Rate 5 875%; Matures 05/02/13, Int Semi-Annually May/Nov 02, Yield to Maturity 2 018%; Moody A2 S&P BBB+, Issued 06/02/08* | | | | | | |
| **FORD MOTOR CREDIT CO LLC** | 35,000 000 | 37,456.00 | | | 2,800.00 | 7.26 |
| CUSIP 345397VJ9 | | 37,206.41 | **38,559.85** | 1,353.44 | 233.33 | |
| *Unit Price $110 171, Coupon Rate 8 000%; Matures 06/01/14, Int Semi-Annually Jun/Dec 01, Yield to Maturity 4.739%, Moody BA2 S&P B+, Issued 06/02/09* | | | | | | |
| **JP MORGAN CHASE & CO** | 50,000.000 | 54,156.50 | | | 2,562.50 | 4.81 |
| CUSIP 46625HBV1 | | 53,715 21 | **53,203.50** | (511.71) | 754 51 | |
| *Unit Price $106 407, Coupon Rate 5 125%, Matures 09/15/14, Int Semi-Annually Mar/Sep 15, Yield to Maturity 3 273%, Moody A1 S&P A, Issued 09/15/04* | | | | | | |
| **GOLDMAN SACHS GROUP INC** | 50,000 000 | 54,204.50 | | | 2,500 00 | 4.66 |
| CUSIP 38143UAW1 | | 53,897.72 | **53,569.00** | (328.72) | 625.00 | |
| *Unit Price $107 138, Coupon Rate 5.000%, Matures 10/01/14, Int Semi-Annually Apr/Oct 01, Yield to Maturity 2 973%, Moody A1 S&P A, Issued 09/29/04* | | | | | | |
| **CITIGROUP INC** | 25,000 000 | 26,992.75 | | | 1,375.00 | 5 10 |
| CUSIP 172967EZ0 | | 26,850.25 | **26,936.25** | 86.00 | 290.27 | |
| *Unit Price. $107.745, Coupon Rate 5 500%, Matures 10/15/14, Int Semi-Annually Apr/Oct 15, Yield to Maturity 3 307%, Moody A3 S&P A, Issued 09/24/09* | | | | | | |
| **WELLS FARGO & COMPANY** | 25,000 000 | 27,236.50 | | | 1,250 00 | 4 70 |
| CUSIP 949746CR0 | | 27,078.06 | **26,546.75** | (531 31) | 159.72 | |
| *Unit Price $106 187, Coupon Rate 5 000%; Matures 11/15/14, Int. Semi-Annually May/Nov 15, Yield to Maturity 3 285%, Moody A2 S&P A+, Issued 11/06/02* | | | | | | |
| **HOME DEPOT INC SR NOTES** | 50,000 000 | 56,549 50 | | | 2,700.00 | 4.81 |
| CUSIP 437076AP7 | | 56,069.23 | **56,030.50** | (38 73) | 899 99 | |
| *Unit Price $112.061, Coupon Rate 5 400%, Matures 03/01/16, Int Semi-Annually Mar/Sep 01, Yield to Maturity 2 871%, Moody BAA1 S&P BBB+, Issued 03/24/06* | | | | | | |

CONTINUED

# Holdings

**Active Assets Account**
**759-019928-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## CORPORATE FIXED INCOME

### CORPORATE BONDS (CONTINUED)

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| **VODAFONE GROUP PLC**<br>CUSIP 92857WAK6 | 50,000 000 | 56,422.50<br>55,959 35 | **55,976.00** | 16 65 | 2,875 00<br>846.52 | 5.13 |
| *Unit Price $111 952, Coupon Rate 5 750%, Matures 03/15/16, Int Semi-Annually Mar/Sep 15, Yield to Maturity 3 236%, Moody BAA1 S&P A-, Issued 03/16/06* | | | | | | |
| **INTL PAPER CO NT**<br>CUSIP 460146BZ5 | 25,000 000 | 26,931 25<br>26,928 45 | **26,622.00** | (306 45) | 1,312 50<br>328.12 | 4 93 |
| *Unit Price. $106 488, Coupon Rate 5 250%, Matures 04/01/16, Int Semi-Annually Apr/Oct 01, Yield to Maturity 3 871%, Moody BAA3 S&P BBB, Issued 03/18/04* | | | | | | |
| **BANK OF AMERICA**<br>CUSIP 06050WDE2 | 50,000 000 | 50,000 00<br>50,000 00 | **49,102.00** | (898.00) | 2,000.00<br>844.44 | 4 07 |
| *Unit Price $98.204, Coupon Rate 4.000%, Matures 07/15/16, Int Semi-Annually Jan/Jul 15; Yield to Maturity 4 368%, First Coupon 01/15/11, Moody A2 S&P A, Issued 07/29/10* | | | | | | |
| **ANHEUSER BUSCH COS INC**<br>CUSIP 035229CV3 | 50,000.000 | 54,894.00<br>54,562.98 | **54,158.50** | (404.48) | 2,525.00<br>533.05 | 4.66 |
| *Unit Price $108 317, Coupon Rate 5 050%, Matures 10/15/16, Int Semi-Annually Apr/Oct 15, Yield to Maturity 3 452%, Moody BAA2 S&P BBB+, Issued 10/14/03* | | | | | | |
| **MORGAN STANLEY**<br>CUSIP 617446C23 | 25,000 000 | 26,316.75<br>26,315 14 | **25,925.50** | (389.64) | 1,362.50<br>650 97 | 5.25 |
| *Unit Price $103 702, Coupon Rate 5 450%, Matures 01/09/17, Int Semi-Annually Jan/Jul 09, Yield to Maturity 4 736%, Moody A2 S&P A, Issued 01/09/07* | | | | | | |
| **AT&T INC**<br>CUSIP 00206RAJ1 | 50,000.000 | 56,049 00<br>55,722.24 | **55,544.00** | (178 24) | 2,750.00<br>1,145 83 | 4 95 |
| *Unit Price $111 088, Coupon Rate 5 500%, Matures 02/01/18, Int Semi-Annually Feb/Aug 01, Yield to Maturity 3 705%, Moody A2 S&P A-, Issued 02/01/08* | | | | | | |
| **BLACKROCK INC**<br>CUSIP 09247XAE1 | 50,000 000 | 54,641.00<br>54,467.88 | **52,211.00** | (2,256 88) | 2,500.00<br>145 83 | 4.78 |
| *Unit Price $104 422, Coupon Rate 5 000%, Matures 12/10/19, Int Semi-Annually Jun/Dec 10, Yield to Maturity 4 396%, Moody A1 S&P A+, Issued 12/10/09* | | | | | | |
| **JEFFERIES GROUP INC**<br>CUSIP 472319AH5 | 25,000 000 | 25,813 75<br>25,789.84 | **25,981.75** | 191.91 | 1,718.75<br>362.84 | 6.61 |
| *Unit Price. $103 927, Coupon Rate 6 875%, Matures 04/15/21, Int Semi-Annually Apr/Oct 15, Yield to Maturity 6 348%, Moody BAA2 S&P BBB, Issued 06/28/10* | | | | | | |
| **ENTERPRISE PRODS OPER 8.375% F IX TO**<br>**8/2016 FLOATS THEREAFTER**<br>CUSIP 293791AV1 | 25,000 000 | 26,631 00<br>26,630 52 | **26,843.75** | 213.23 | 2,093 75<br>872.39 | 7.79 |
| *Unit Price $107 375, Coupon Rate 8.375%, Matures 08/01/66, Int Semi-Annually Feb/Aug 01, Callable $100 00 on 08/01/16, Yield to Call 6 765%, Floater; Moody BA1 S&P BB, Issued 07/18/06* | | | | | | |

# Holdings

**Active Assets Account**
**759-019928-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

| | Percentage of Assets % | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| CORPORATE FIXED INCOME | | $902,356.50<br>$894,234.22 | $890,581.35 | $(3,652.87) | $44,212.50<br>$10,882.41 | 4.96% |
| TOTAL CORPORATE FIXED INCOME (incl accr.int ) | 46.0% | | $901,463.76 | | | |

## GOVERNMENT SECURITIES

### FEDERAL AGENCIES

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| **FED HOME LN MTG CORP MED TERM NOTE**<br>**STEP - 04/15/12 02.50**<br>CUSIP 3133F4QV6 | 200,000 000 | $200,000.00<br>$200,000 00 | **$200,980.00** | $980.00 | $4,000.00<br>$844.44 | 1.99 |
| *Unit Price $100 490, Coupon Rate 2 000%, Matures 04/15/15, Int Semi-Annually Apr/Oct 15, Callable $100 00 on 04/15/11, Yield to Maturity 1 880%, Stepped, Moody AAA S&P AAA, Issued 04/01/10* | | | | | | |
| **FED HOME LN MTG CORP**<br>CUSIP 3137EACA5 | 50,000 000 | 53,638 00<br>53,458 08 | **51,758.50** | (1,699 58) | 1,875 00<br>489.58 | 3.62 |
| *Unit Price $103 517, Coupon Rate 3 750%, Matures 03/27/19, Int Semi-Annually Mar/Sep 27, Yield to Maturity 3 259%, Moody AAA S&P AAA, Issued 03/27/09* | | | | | | |
| **FED FARM CR BK**<br>CUSIP 31331GXT1 | 100,000.000 | 107,018 00<br>106,661 20 | **105,145.00** | (1,516 20) | 4,280.00<br>309 11 | 4 07 |
| *Unit Price· $105 145; Coupon Rate 4 280%; Matures 06/05/19, Int Semi-Annually Jun/Dec 05, Yield to Maturity 3 567%, Moody AAA S&P AAA, Issued 06/05/09* | | | | | | |
| **FED HOME LN MTG CORP MED TERM NOTE**<br>**STEP - 07/15/12 03.00**<br>CUSIP 3133F4WB3 | 125,000.000 | 125,000 00<br>125,000 00 | **123,050.00** | (1,950.00) | 3,125.00<br>1,440 97 | 2 53 |
| *Unit Price $98 440, Coupon Rate 2 500%, Matures 07/15/22, Int Semi-Annually Jan/Jul 15, Callable $100 00 on 07/15/11, Yield to Maturity 2 658%, First Coupon 01/15/11, Stepped, Moody AAA S&P AAA, Issued 07/15/10* | | | | | | |

| | Percentage of Assets % | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| GOVERNMENT SECURITIES | | $485,656.00<br>$485,119.28 | $480,933.50 | $(4,185.78) | $13,280.00<br>$3,084.10 | 2.76% |
| TOTAL GOVERNMENT SECURITIES (incl.accr.int.) | 24.7% | | $484,017.60 | | | |

# Holdings

**Active Assets Account**
**759-019928-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS

| Security Description | | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|
| **PIMCO ALL ASSET A (PASAX)** | | 3,796 507 | $50,000 00 | **$45,444.19** | $(4,555 81) | $1,960 00 | 4.31 |
| *Share Price $11 970, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | |
| **WELLS FARGO INTRISTIC VAL A (EIVAX)** | **Purchases** | 4,504 505 | 50,000.00 | **49,639.64** | (360 36) | | |
| Reinvestments | | 38 950 | 425 72 | 429 22 | 3 50 | | |
| | **Total** | 4,543 455 | 50,425 72 | **50,068.87** | (356 86) | 429 00 | 0.85 |
| Market Value vs Total Purchases + | | | 50,000.00 | 50,068.87 | | | |
| Net Value Increase/(Decrease) | | | | 68.87 | | | |
| *Share Price $11 020, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | |

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| MUTUAL FUNDS | **4.9%** | **$100,425.72** | **$95,513.06** | **$(4,912.67)** | **$2,389.00**<br>**$0.00** | **2.50%** |

*Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page*

*For more information about the pricing of Money Market Funds, please see the Disclosures section of the statement*

*+ Net Value Increase/(Decrease) compares your Total Purchases (excluding Dividend Reinvestments) with the Market Value of all shares you hold of the fund This calculation is for informational purposes only, does not reflect your total unrealized gain or loss and should not be used for tax purposes*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | **100.0%** | **$1,700,369.10** | **$1,942,093.72** | **$(31,534.30)** | **$70,675.75**<br>**$16,500.80** | **3.61%** |
| TOTAL VALUE (includes accrued interest) | | | **$1,958,594.52** | | | |

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

*The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the period shown above which may not reflect the value that could actually be obtained in the market See "Pricing of Securities" in the Disclosures section at the end of this statement*
*Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates Estimated yield reflects only the income generated by an investment It does not reflect changes in its price, which may fluctuate*
*If you hold structured products, please refer to the Special Considerations Regarding Structured Products section of the Disclosure section*
*Gain/loss information is provided for informational purposes only and should not be used for tax preparation Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting*
*From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year.*

## CASH, DEPOSITS AND MONEY MARKET FUNDS

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| **CASH** | **$257.22** | | | |
| **MORGAN STANLEY BANK N.A. #** | **144,115.94** | 216.00 | — | 0.150 |

| | Percentage of Assets % | Market Value | Estimated Annual Income<br>*Accrued Interest* |
|---|---|---|---|
| CASH, DEPOSITS AND MONEY MARKET FUNDS | **6.9%** | **$144,373.16** | **$216.00**<br>**$0.00** |

*# Bank deposits are at Morgan Stanley Bank, N.A and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney*
*Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement*

## STOCKS

### COMMON STOCKS

*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain exchange-traded funds Please refer to "CG IAR Statuses in Investment Advisory Programs" at the end of this statement for a description of these status codes All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **3M COMPANY (MMM)** | 68.000 | $5,607.06 | **$5,868.40** | $261.34 | $142.80 | 2.43 |
| *Share Price $86 300, Next Dividend Payable 03/11* | | | | | | |
| **A G C O CORP (AGCO)** | 35.000 | 1,157 23 | **1,773.10** | 615 87 | — | — |
| *Share Price $50 660* | | | | | | |
| **ABBOTT LABORATORIES (ABT)** | 81 000 | 3,764.44 | **3,880.71** | 116.27 | 142.56 | 3.67 |
| *Share Price $47 910, Next Dividend Payable 02/11* | | | | | | |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **ACCENTURE PLC IRELAND CL A (ACN)**<br>*Share Price $48 490, Next Dividend Payable 05/11* | 165 000 | 5,094 10 | **8,000.85** | 2,906 75 | 148.50 | 1 85 |
| **ACE LTD (ACE)**<br>*Share Price: $62 250, Next Dividend Payable 01/11/11* | 31 000 | 1,246.37 | **1,929.75** | 683 38 | 40.92 | 2.12 |
| **ACTIVISION BLIZZARD INC (ATVI)**<br>*Share Price $12 440, Next Dividend Payable 04/11* | 277 000 | 3,043 73 | **3,445.88** | 402 15 | 41 55 | 1 20 |
| **ADECCO SA UNSPON ADR (AHEXY)**<br>*Share Price $32 620* | 54.000 | 1,506 60 | **1,761.48** | 254.88 | 10 21 | 0.57 |
| **ADIDAS-SALOMON AG SPONS ADR (ADDYY)**<br>*Share Price $32 700* | 66 000 | 1,253 65 | **2,158.20** | 904 55 | 9 77 | 0 45 |
| **AEROPOSTALE INC (ARO)**<br>*Share Price $24 640* | 64.000 | 1,521.23 | **1,576.96** | 55.73 | — | — |
| **AFFILIATED MGRS GROUP INC (AMG)**<br>*Share Price $99 220* | 34.000 | 2,233 63 | **3,373.48** | 1,139.85 | — | — |
| **AIR PROD & CHEM INC (APD)**<br>*Share Price $90 950, Next Dividend Payable 02/14/11* | 23 000 | 1,143.01 | **2,091.85** | 948 84 | 45 08 | 2 15 |
| **AIRGAS INC (ARG)**<br>*Share Price: $62 460; Next Dividend Payable 03/11* | 33.000 | 1,577.93 | **2,061.18** | 483 25 | 33.00 | 1.60 |
| **AKAMAI TECHNOLOGIES INC (AKAM)**<br>*Share Price $47 050* | 36 000 | 1,150.59 | **1,693.80** | 543 21 | — | — |
| **AKZO NOBEL NV ADR (AKZOY)**<br>*Share Price $62 130* | 37 000 | 2,284 90 | **2,298.81** | 13 91 | 55 24 | 2 40 |
| **ALLSTATE CORP (ALL)**<br>*Share Price $31 880, Next Dividend Payable 01/03/11* | 149 000 | 3,254.95 | **4,750.12** | 1,495.17 | 119.20 | 2 50 |
| **AMEREN CORP (HLDG CO) (AEE)**<br>*Share Price $28 190, Next Dividend Payable 03/11* | 28 000 | 573.76 | **789.32** | 215 56 | 43 12 | 5.46 |
| **AMERICA MOVIL SA DE CV ADR L (AMX)**<br>*Share Price $57 340* | 59 000 | 2,789 87 | **3,383.06** | 593 19 | 30 09 | 0 88 |
| **AMERICAN ELECTRIC POWER CO (AEP)**<br>*Share Price $35 980; Next Dividend Payable 03/11* | 95 000 | 2,598.49 | **3,418.10** | 819 61 | 174.80 | 5 11 |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **AMERICAN EXPRESS CO (AXP)**<br>*Share Price $42 920, Next Dividend Payable 02/11* | 56 000 | 2,047.30 | **2,403.52** | 356 22 | 40 32 | 1 67 |
| **AMERICAN SUPERCONDUCTOR (AMSC)**<br>*Share Price· $28 590* | 47.000 | 1,658.26 | **1,343.73** | (314.53) | — | — |
| **AMERICAN TOWER CP CLASS A (AMT)**<br>*Share Price $51 640* | 48 000 | 1,609 98 | **2,478.72** | 868 74 | — | — |
| **AMGEN INC (AMGN)**<br>*Share Price $54 900* | 55.000 | 2,773 11 | **3,019.50** | 246.39 | — | — |
| **ANALOG DEVICES INC (ADI)**<br>*Share Price $37 670, Next Dividend Payable 03/11* | 93 000 | 2,508 93 | **3,503.31** | 994 38 | 81 84 | 2 33 |
| **ANNALY CAPITAL MNGMT INC (NLY)**<br>*Share Price· $17 920; Next Dividend Payable 01/27/11* | 375.000 | 6,021 58 | **6,720.00** | 698.42 | 960.00 | 14 28 |
| **AON CORP (AON)**<br>*Share Price $46 010, Next Dividend Payable 02/11* | 36.000 | 1,353 28 | **1,656.36** | 303.08 | 21.60 | 1 30 |
| **APACHE CORP (APA)**<br>*Share Price $119 230, Next Dividend Payable 02/11* | 54 000 | 4,523 64 | **6,438.42** | 1,914.78 | 32 40 | 0 50 |
| **APPLE INC (AAPL)**<br>*Share Price $322 560* | 21.000 | 2,061.35 | **6,773.76** | 4,712.41 | — | — |
| **ARM HOLDINGS PLC ADS (ARMH)**<br>*Share Price $20 750* | 48 000 | 494.29 | **996.00** | 501 71 | 4.99 | 0 50 |
| **AT&T INC (T)**<br>*Share Price $29 380, Next Dividend Payable 02/11* | 92 000 | 2,329 15 | **2,702.96** | 373 81 | 158 24 | 5 85 |
| **ATWOOD OCEANICS INC (ATW)**<br>*Share Price $37 370* | 57 000 | 1,809 59 | **2,130.09** | 320 50 | — | — |
| **AVALONBAY COMM INC (AVB)**<br>*Share Price $112 550, Next Dividend Payable 01/18/11* | 30.000 | 1,545.36 | **3,376.50** | 1,831 14 | 107 10 | 3.17 |
| **AVIVA PLC ADR (AV)**<br>*Share Price $12 410* | 100 000 | 1,181 99 | **1,241.00** | 59 01 | 73 40 | 5 91 |
| **AXA ADS (AXAHY)**<br>*Share Price $16 650* | 75 000 | 714 71 | **1,248.75** | 534 04 | 43.88 | 3 51 |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **AXIS CAPITAL HOLDINGS LTD (AXS)** | 26 000 | 746 89 | **932.88** | 185 99 | 23 92 | 2 56 |
| *Share Price $35 880, Next Dividend Payable 01/18/11* | | | | | | |
| **BABCOCK & WILCOX COMPANY (BWC)** | 102 000 | 1,881 87 | **2,610.18** | 728.31 | — | — |
| *Share Price $25 590* | | | | | | |
| **BAE SYS PLC SPON ADR (BAESY)** | 63 000 | 1,178 10 | **1,313.55** | 135.45 | 60 10 | 4 57 |
| *Share Price $20 850* | | | | | | |
| **BANCO BRADESCO S A NEW (BBD)** | 130.000 | 2,210 94 | **2,637.70** | 426.76 | 13 13 | 0 49 |
| *Share Price $20 290* | | | | | | |
| **BANK OF AMERICA CORP (BAC)** | 358 000 | 4,539 16 | **4,775.72** | 236.56 | 14 32 | 0 29 |
| *Share Price $13 340, Next Dividend Payable 03/11* | | | | | | |
| **BAYER AG SPON ADR (BAYRY)** | 20 000 | 1,573 00 | **1,467.20** | (105.80) | 54.24 | 3.69 |
| *Share Price $73 360* | | | | | | |
| **BAYERISCHE MOTOREN WERKE AG (BAMXY)** | 127.000 | 1,907.61 | **3,313.43** | 1,405 82 | 10 16 | 0 30 |
| *Share Price $26 090* | | | | | | |
| **BECTON DICKINSON & CO (BDX)** | 74.000 | 4,919 41 | **6,254.48** | 1,335 07 | 121.36 | 1.94 |
| *Share Price $84 520, Next Dividend Payable 03/11* | | | | | | |
| **BEST BUY CO (BBY)** | 56.000 | 2,014.31 | **1,920.24** | (94.07) | 33.60 | 1.74 |
| *Share Price $34 290, Next Dividend Payable 01/25/11* | | | | | | |
| **BG GROUP PLC (BRGYY)** | 22.000 | 1,545 98 | **2,244.00** | 698.02 | 21 41 | 0 95 |
| *Share Price $102.000* | | | | | | |
| **BHP BILLITON LTD (BHP)** | 99.000 | 4,044 37 | **9,199.08** | 5,154.71 | 172 26 | 1.87 |
| *Share Price $92 920* | | | | | | |
| **BIOMARIN PHARMAC SE (BMRN)** | 101.000 | 1,727.76 | **2,719.93** | 992.17 | — | — |
| *Share Price $26 930* | | | | | | |
| **BMC SOFTWARE (BMC)** | 44 000 | 2,106 01 | **2,074.16** | (31 85) | — | — |
| *Share Price $47 140* | | | | | | |
| **BNP PARIBAS SP ADR REPSTG (BNPQY)** | 59 000 | 1,662 48 | **1,885.05** | 222 57 | 40 71 | 2 15 |
| *Share Price $31 950* | | | | | | |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **BOEING CO (BA)** | 26.000 | 1,548 43 | **1,696.76** | 148 33 | 43 68 | 2.57 |
| *Share Price $65 260, Next Dividend Payable 03/11* | | | | | | |
| **BORG WARNER INC (BWA)** | 70 000 | 2,391 75 | **5,065.20** | 2,673 45 | — | — |
| *Share Price $72 360* | | | | | | |
| **BOSTON PROPERTIES INC (BXP)** | 17.000 | 870 53 | **1,463.70** | 593 17 | 34.00 | 2 32 |
| *Share Price $86 100, Next Dividend Payable 01/28/11* | | | | | | |
| **BP PLC ADS (BP)** | 40.000 | 2,248 80 | **1,766.80** | (482.00) | — | — |
| *Share Price $44 170* | | | | | | |
| **BRAMBLES LTD UNSPON ADR (BMBLY)** | 46 000 | 526 70 | **661.48** | 134.78 | 20 15 | 3 04 |
| *Share Price. $14 380* | | | | | | |
| **BRANDYWINE REALTY TR SBI NEW (BDN)** | 126.000 | 452 28 | **1,467.90** | 1,015.62 | 75 60 | 5.15 |
| *Share Price· $11 650, Next Dividend Payable 01/11* | | | | | | |
| **BRITISH AIRWAYS FINL INST ADR (BAIRY)** | 52 000 | 858 00 | **1,099.80** | 241.80 | — | — |
| *Share Price $21 150* | | | | | | |
| **BRITISH AMER TOB SPON ADR (BTI)** | 24 000 | 1,284 33 | **1,864.80** | 580 47 | 76 08 | 4.07 |
| *Share Price $77 700* | | | | | | |
| **BRITISH SKY BRDCSTG GRP PLC (BSYBY)** | 16.000 | 406.40 | **743.20** | 336.80 | 19 20 | 2.58 |
| *Share Price. $46 450* | | | | | | |
| **BROADCOM CORP CL A (BRCM)** | 146.000 | 5,094.66 | **6,358.30** | 1,263 64 | 46 72 | 0.73 |
| *Share Price $43 550, Next Dividend Payable 03/11* | | | | | | |
| **BROADRIDGE FIN SOLU.LLC (BR)** | 121 000 | 2,184 66 | **2,653.53** | 468 87 | 72 60 | 2.73 |
| *Share Price $21 930, Next Dividend Payable 01/03/11* | | | | | | |
| **BUNZL PLC NEW (BZLFY)** | 36.000 | 1,911 60 | **2,057.04** | 145 44 | 58 43 | 2 84 |
| *Share Price $57 140, Next Dividend Payable 01/14/11* | | | | | | |
| **CABLEVISION SYSTEMS CORP (CVC)** | 107.000 | 1,025 79 | **3,620.88** | 2,595.09 | 53.50 | 1.47 |
| *Share Price· $33 840, Next Dividend Payable 03/11* | | | | | | |
| **CANADIAN NATL RAILWAY CO (CNI)** | 123.000 | 4,600 88 | **8,175.81** | 3,574.93 | 129 77 | 1 58 |
| *Share Price $66 470, Next Dividend Payable 03/11* | | | | | | |
| **CANON INC ADR NEW (CAJ)** | 35.000 | 1,448 21 | **1,796.90** | 348.69 | 41 76 | 2.32 |
| *Share Price $51 340* | | | | | | |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **CARNIVAL CP NEW PAIRED COM (CCL)**<br>*Share Price $46 110, Next Dividend Payable 03/11* | 48 000 | 1,289 92 | **2,213.28** | 923 36 | 19 20 | 0 86 |
| **CATALYST HEALTH SOLUTIONS INC (CHSI)**<br>*Share Price $46 490* | 45 000 | 1,757.02 | **2,092.05** | 335.03 | — | — |
| **CATERPILLAR INC (CAT)**<br>*Share Price $93 660, Next Dividend Payable 02/11* | 21 000 | 1,192 17 | **1,966.86** | 774 69 | 36 96 | 1 87 |
| **CELESIO AG UNSPONS ADR (CAKFY)**<br>*Share Price· $4 890* | 134 000 | 674 02 | **655.26** | (18.76) | 11 26 | 1.71 |
| **CELGENE CORP (CELG)**<br>*Share Price $59 140* | 106 000 | 5,235 32 | **6,268.84** | 1,033.52 | — | — |
| **CENOVUS ENERGY INC COM (CVE)**<br>*Share Price $33 240, Next Dividend Payable 03/11* | 25 000 | 718 00 | **831.00** | 113.00 | 19.58 | 2.35 |
| **CENTRICA PLC SPONS ADR NEW (CPYYY)**<br>*Share Price $20 640* | 116 000 | 2,005.47 | **2,394.24** | 388.77 | 88.04 | 3 67 |
| **CHECK POINT SOFTWARE TECH LTD (CHKP)**<br>*Share Price $46 260* | 85 000 | 2,817 87 | **3,932.10** | 1,114.23 | — | — |
| **CHEUNG KONG HOLDINGS ADR (CHEUY)**<br>*Share Price· $15 400* | 297 000 | 3,783.78 | **4,573.80** | 790.02 | 93.26 | 2.03 |
| **CHIMERA INVESTMENT CORP (CIM)**<br>*Share Price $4 110, Next Dividend Payable 01/27/11* | 755 000 | 2,663 48 | **3,103.05** | 439 57 | 513 40 | 16 54 |
| **CHINA MOBILE LTD (CHL)**<br>*Share Price· $49 620* | 11.000 | 508.20 | **545.82** | 37 62 | 18 29 | 3 35 |
| **CHINA TELECOM LTD (CHA)**<br>*Share Price $52 280* | 50 000 | 2,185 27 | **2,614.00** | 428 73 | 49.05 | 1 87 |
| **CHIPOTLE MEXICAN GRILL INC COM (CMG)**<br>*Share Price $212 660* | 8.000 | 693.04 | **1,701.28** | 1,008.24 | — | — |
| **CHOICE HOTELS INTL INC NEW (CHH)**<br>*Share Price $38 270, Next Dividend Payable 01/14/11* | 66 000 | 2,250 61 | **2,525.82** | 275 21 | 48 84 | 1.93 |
| **CHUBB CORP (CB)**<br>*Share Price. $59 640, Next Dividend Payable 01/11/11* | 57.000 | 2,538 64 | **3,399.48** | 860 84 | 84 36 | 2.48 |

CONTINUED

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **CHURCH & DWIGHT CO INC (CHD)** | 28 000 | 1,482 25 | **1,932.56** | 450 31 | 19 04 | 0 98 |
| *Share Price $69 020; Next Dividend Payable 03/11* | | | | | | |
| **CINEMARK HOLDINGS (CNK)** | 85 000 | 1,240 02 | **1,465.40** | 225.38 | 71.40 | 4.87 |
| *Share Price $17 240, Next Dividend Payable 03/11* | | | | | | |
| **CISCO SYS INC (CSCO)** | 65 000 | 978 68 | **1,314.95** | 336 27 | — | — |
| *Share Price $20 230* | | | | | | |
| **CITIGROUP INC (C)** | 368.000 | 1,729 56 | **1,740.64** | 11.08 | — | — |
| *Share Price· $4 730* | | | | | | |
| **CITRIX SYSTEMS INC (CTXS)** | 84 000 | 5,339 23 | **5,746.44** | 407 21 | — | — |
| *Share Price $68 410* | | | | | | |
| **CLOROX CO DE (CLX)** | 45.000 | 2,649 09 | **2,847.60** | 198 51 | 99 00 | 3.47 |
| *Share Price $63 280, Next Dividend Payable 02/11* | | | | | | |
| **CME GROUP INC (CME)** | 19.000 | 5,975 47 | **6,113.25** | 137.78 | 87 40 | 1.42 |
| *Share Price $321 750, Next Dividend Payable 03/11* | | | | | | |
| **CNOOC LTD ADS (CEO)** | 19.000 | 3,028 10 | **4,529.03** | 1,500.93 | 90 14 | 1 99 |
| *Share Price $238 370* | | | | | | |
| **COCA COLA AMATIL LTD SPON ADR (CCLAY)** | 73 000 | 1,474 60 | **1,630.82** | 156 22 | 62.78 | 3 84 |
| *Share Price. $22.340* | | | | | | |
| **COCA COLA CO (KO)** | 95 000 | 5,507 49 | **6,248.15** | 740 66 | 167.20 | 2.67 |
| *Share Price· $65 770, Next Dividend Payable 03/11* | | | | | | |
| **COCA COLA HELLENIC BOTTLING (CCH)** | 53.000 | 1,275 82 | **1,372.70** | 96.88 | 17 65 | 1 28 |
| *Share Price $25 900* | | | | | | |
| **COGNIZANT TECH SOLUTIONS CL A (CTSH)** | 44 000 | 1,945 17 | **3,224.76** | 1,279 59 | — | — |
| *Share Price· $73 290* | | | | | | |
| **COLGATE PALMOLIVE CO (CL)** | 69.000 | 3,933 17 | **5,545.53** | 1,612.36 | 146.28 | 2.63 |
| *Share Price· $80 370, Next Dividend Payable 02/11* | | | | | | |
| **COMERICA INC (CMA)** | 42 000 | 1,577 44 | **1,774.08** | 196.64 | 16 80 | 0.94 |
| *Share Price $42 240, Next Dividend Payable 01/01/11* | | | | | | |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **COMPASS GROUP PLC SPON ADR NEW (CMPGY)**<br>*Share Price $9 320* | 331 000 | 2,446 09 | **3,084.92** | 638.83 | 83 74 | 2.71 |
| **COMPASS MINERALS INTER INC (CMP)**<br>*Share Price· $89 270, Next Dividend Payable 03/11* | 21 000 | 1,507 37 | **1,874.67** | 367.30 | 32.76 | 1.74 |
| **CONOCOPHILLIPS (COP)**<br>*Share Price $68 100, Next Dividend Payable 03/11* | 104 000 | 5,750 12 | **7,082.40** | 1,332 28 | 228 80 | 3 23 |
| **CONS EDISON INC (HLDG CO) (ED)**<br>*Share Price $49 570; Next Dividend Payable 03/11* | 47 000 | 1,631 97 | **2,329.79** | 697.82 | 111.66 | 4.80 |
| **CORE LABORATORIES N V (CLB)**<br>*Share Price $89 050, Next Dividend Payable 02/11* | 24 000 | 1,069 14 | **2,137.20** | 1,068 06 | 5 76 | 0 26 |
| **CORPORATE OFFICES PPTY TR INC (OFC)**<br>*Share Price $34 950, Next Dividend Payable 01/18/11* | 37.000 | 899 58 | **1,293.15** | 393.57 | 61 05 | 4.72 |
| **COSTCO WHOLESALE CORP NEW (COST)**<br>*Share Price $72 210, Next Dividend Payable 02/11* | 97 000 | 3,963 01 | **7,004.37** | 3,041.36 | 79.54 | 1 13 |
| **COVIDIEN PLC NEW (COV)**<br>*Share Price $45 660, Next Dividend Payable 02/11* | 112.000 | 3,630.07 | **5,113.92** | 1,483 85 | 89.60 | 1 75 |
| **CREDIT AGRICOLE SA UNSP ADR (CRARY)**<br>*Share Price $6 370* | 91 000 | 595 14 | **579.67** | (15.47) | 18 84 | 3 25 |
| **CREE RESEARCH INC (CREE)**<br>*Share Price $65 890* | 33.000 | 1,708.57 | **2,174.37** | 465.80 | — | — |
| **CRH PLC ADR (CRH)**<br>*Share Price $20 800* | 53 000 | 1,203.55 | **1,102.40** | (101 15) | 42 72 | 3.87 |
| **CROWN HLDGS INC (HOLDING CO) (CCK)**<br>*Share Price $33 380* | 88.000 | 2,239 38 | **2,937.44** | 698.06 | — | — |
| **CSL LTD UNSPON ADR (CMXHY)**<br>*Share Price $18 900* | 149 000 | 1,716 25 | **2,816.10** | 1,099 85 | 51 85 | 1 84 |
| **CVS CAREMARK CORP (CVS)**<br>*Share Price $34 770, Next Dividend Payable 02/11* | 81 000 | 2,489 53 | **2,816.37** | 326 84 | 28 35 | 1 00 |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **DANONE SPONSORED ADR (DANOY)**<br>*Share Price $12 650* | 139.000 | 1,673 07 | **1,758.35** | 85 28 | 28 08 | 1 59 |
| **DAVITA INC (DVA)**<br>*Share Price $69 490* | 29 000 | 1,719 99 | **2,015.21** | 295.22 | — | — |
| **DBS GROUP HOLDINGS LTD SP (DBSDY)**<br>*Share Price $44 940* | 66.000 | 2,788 50 | **2,966.04** | 177 54 | 107 25 | 3.61 |
| **DEERE & CO (DE)**<br>*Share Price $83 050, Next Dividend Payable 02/01/11* | 99 000 | 6,068 76 | **8,221.95** | 2,153.19 | 138 60 | 1.68 |
| **DENBURY RESOURCES INC NEW (DNR)**<br>*Share Price. $19 090* | 107.000 | 1,601 37 | **2,042.63** | 441.26 | — | — |
| **DENSO CORP LTD ADR (DNZOY)**<br>*Share Price $17 150* | 70.000 | 1,052 90 | **1,200.50** | 147 60 | 13 16 | 1.09 |
| **DEUTSCHE POST AG SPONSORED ADR (DPSGY)**<br>*Share Price $17 090* | 88 000 | 1,711 60 | **1,503.92** | (207.68) | — | — |
| **DEVON ENERGY CORP NEW (DVN)**<br>*Share Price· $78 510; Next Dividend Payable 03/11* | 80.000 | 5,420.85 | **6,280.80** | 859.95 | 51.20 | 0 81 |
| **DIGITAL REALTY TRUST INC (DLR)**<br>*Share Price $51 540, Next Dividend Payable 01/14/11* | 47.000 | 2,253 74 | **2,422.38** | 168.64 | 99 64 | 4.11 |
| **DISCOVERY COMMUNICATIONS SER C (DISCK)**<br>*Share Price $36 690* | 38 000 | 1,058 28 | **1,394.22** | 335.94 | — | — |
| **DR PEPPER SNAPPLE GROUP INC (DPS)**<br>*Share Price $35 160, Next Dividend Payable 01/07/11* | 180 000 | 5,805 65 | **6,328.80** | 523.15 | 180.00 | 2.84 |
| **DREAMWORKS ANIMATION SKG INC (DWA)**<br>*Share Price $29 470* | 53 000 | 1,116 00 | **1,561.91** | 445.91 | — | — |
| **E.ON AG (EONGY)**<br>*Share Price $30 410* | 69.000 | 2,778.63 | **2,098.29** | (680.34) | 96 32 | 4.59 |
| **EATON CORPORATION (ETN)**<br>*Share Price $101 510, Next Dividend Payable 02/11* | 13.000 | 837 72 | **1,319.63** | 481.91 | 30 16 | 2.28 |

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## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **EATON VANCE CP (EV)**<br>*Share Price $30 230, Next Dividend Payable 02/11* | 68 000 | 1,960 02 | **2,055.64** | 95 62 | 48 96 | 2 38 |
| **ELBIT SYSTEMS LTD (ESLT)**<br>*Share Price· $53 130, Next Dividend Payable 03/11* | 11.000 | 699.60 | **584.43** | (115 17) | 15 84 | 2.71 |
| **EMBRAER S A ADR (ERJ)**<br>*Share Price· $29 400, Next Dividend Payable 01/24/11* | 17 000 | 346 46 | **499.80** | 153 34 | 2 91 | 0.58 |
| **EMC CORP MASS (EMC)**<br>*Share Price· $22 900* | 265.000 | 4,455 67 | **6,068.50** | 1,612.83 | — | — |
| **ENCANA CORP (ECA)**<br>*Share Price $29 120, Next Dividend Payable 03/11* | 24 000 | 669 78 | **698.88** | 29 10 | 19 20 | 2 74 |
| **ENDURANCE SPCLTY HLDGS LTD (ENH)**<br>*Share Price· $46 070, Next Dividend Payable 03/11* | 75.000 | 1,733.34 | **3,455.25** | 1,721 91 | 75 00 | 2.17 |
| **ENI SPA AMER DEP RCPT (E)**<br>*Share Price· $43 740* | 35.000 | 1,721.30 | **1,530.90** | (190 40) | 65 31 | 4.26 |
| **ENTERGY CORP NEW (ETR)**<br>*Share Price $70 830, Next Dividend Payable 03/11* | 34.000 | 2,153.12 | **2,408.22** | 255.10 | 112.88 | 4.68 |
| **EQT CORPORATION COM NEW (EQT)**<br>*Share Price $44 840; Next Dividend Payable 03/11* | 51.000 | 2,089.54 | **2,286.84** | 197 30 | 44 88 | 1 96 |
| **ERICSSON LM TEL ADR CL B NEW (ERIC)**<br>*Share Price $11 530* | 414.000 | 4,201 79 | **4,773.42** | 571 63 | 80 31 | 1.68 |
| **ESSEX PROPERTY TRUST INC (ESS)**<br>*Share Price. $114 220, Next Dividend Payable 01/14/11* | 17 000 | 1,393 66 | **1,941.74** | 548 08 | 70 21 | 3 61 |
| **EXXON MOBIL CORP (XOM)**<br>*Share Price $73 120; Next Dividend Payable 03/11* | 162 000 | 10,023.55 | **11,845.44** | 1,821 89 | 285.12 | 2 40 |
| **EZCORP INC A (EZPW)**<br>*Share Price $27 130* | 56 000 | 1,129.21 | **1,519.28** | 390 07 | — | — |
| **FACTSET RESEARCH SYSTEMS INC (FDS)**<br>*Share Price $93 760, Next Dividend Payable 03/11* | 13 000 | 980 85 | **1,218.88** | 238 03 | 11 96 | 0 98 |
| **FANUC LTD JAPAN UNSP ADR (FANUY)**<br>*Share Price· $25 640* | 113 000 | 2,306 08 | **2,897.32** | 591 24 | 24 63 | 0.85 |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **FASTENAL CO (FAST)**<br>*Share Price $59 910, Next Dividend Payable 06/11* | 107 000 | 5,842 02 | **6,410.37** | 568 35 | 89 88 | 1.40 |
| **FIFTH 3RD BANCORP OHIO (FITB)**<br>*Share Price $14 680, Next Dividend Payable 01/20/11* | 243.000 | 2,748 34 | **3,567.24** | 818.90 | 9.72 | 0.27 |
| **FIRSTMERIT CORPORATION (FMER)**<br>*Share Price $19 790, Next Dividend Payable 03/11* | 43 000 | 912 94 | **850.97** | (61 97) | 27 52 | 3 23 |
| **FISERV INC WISCONSIN (FISV)**<br>*Share Price $58 560* | 27 000 | 1,263.06 | **1,581.12** | 318.06 | — | — |
| **FLEXTRONICS INTL LTD (FLEX)**<br>*Share Price $7 850* | 116.000 | 765 12 | **910.60** | 145.48 | — | — |
| **FLOWSERVE CORP (FLS)**<br>*Share Price· $119 220, Next Dividend Payable 01/14/11* | 26.000 | 2,473 95 | **3,099.72** | 625.77 | 30 16 | 0 97 |
| **FOMENTO ECONOMICO MEXICANO (FMX)**<br>*Share Price $55 920* | 18.000 | 896 49 | **1,006.56** | 110.07 | 11 20 | 1 11 |
| **FRANCE TELECOM (FTE)**<br>*Share Price $21 080* | 74 000 | 1,902 42 | **1,559.92** | (342.50) | 109.30 | 7.00 |
| **FREEPORT MCMORAN CP&GLD (FCX)**<br>*Share Price $120 090, Next Dividend Payable 03/11* | 94.000 | 5,097 35 | **11,288.46** | 6,191.11 | 188.00 | 1 66 |
| **FRESENIUS MEDICAL CARE AG&CO (FMS)**<br>*Share Price $57 690* | 23.000 | 1,190.77 | **1,326.87** | 136.10 | 12 33 | 0.92 |
| **FUJIFILM HLDGS CORP ADR (FUJIY)**<br>*Share Price $35 740* | 29.000 | 830 56 | **1,036.46** | 205 90 | 6 79 | 0 65 |
| **G4S PLC UNSPONS ADR (GFSZY)**<br>*Share Price $19 730* | 77 000 | 1,565 41 | **1,519.21** | (46 20) | 39 27 | 2.58 |
| **GAZPROM O A O SPON ADR (OGZPY)**<br>*Share Price $25 440* | 99.000 | 2,054 96 | **2,518.56** | 463.60 | 24.26 | 0 96 |
| **GDF SUEZ-SPON ADR (GDFZY)**<br>*Share Price. $36 040* | 40 000 | 1,728 00 | **1,441.60** | (286 40) | 90 04 | 6 24 |
| **GENERAL ELECTRIC CO (GE)**<br>*Share Price $18 290, Next Dividend Payable 01/25/11* | 229.000 | 3,420.21 | **4,188.41** | 768.20 | 128.24 | 3.06 |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **GENL DYNAMICS CORP (GD)** | 44 000 | 2,531 81 | **3,122.24** | 590 43 | 73.92 | 2 36 |
| *Share Price $70 960, Next Dividend Payable 02/11* | | | | | | |
| **GENTEX CORP (GNTX)** | 103.000 | 2,087 34 | **3,044.68** | 957.34 | 45 32 | 1 48 |
| *Share Price· $29 560, Next Dividend Payable 01/11* | | | | | | |
| **GENUINE PARTS CO (GPC)** | 48.000 | 1,925 85 | **2,464.32** | 538.47 | 78 72 | 3 19 |
| *Share Price $51 340, Next Dividend Payable 01/03/11* | | | | | | |
| **GENZYME CORP (GENZ)** | 62.000 | 3,269 80 | **4,414.40** | 1,144.60 | — | — |
| *Share Price· $71 200* | | | | | | |
| **GLAXOSMITHKLINE PLC ADS (GSK)** | 46 000 | 1,935 22 | **1,804.12** | (131 10) | 91 95 | 5 09 |
| *Share Price $39 220, Next Dividend Payable 01/06/11* | | | | | | |
| **GOLDMAN SACHS GRP INC (GS)** | 29.000 | 3,343 40 | **4,876.64** | 1,533.24 | 40 60 | 0.83 |
| *Share Price $168 160; Next Dividend Payable 03/11* | | | | | | |
| **GREAT PLAINS ENERGY INC (GXP)** | 126.000 | 2,003.77 | **2,443.14** | 439 37 | 104.58 | 4.28 |
| *Share Price $19 390, Next Dividend Payable 03/11* | | | | | | |
| **GRUPO TELEVISA S.A.GLOBAL DEP (TV)** | 91.000 | 1,907 13 | **2,359.63** | 452.50 | 106.11 | 4.49 |
| *Share Price $25 930* | | | | | | |
| **H J HEINZ CO (HNZ)** | 64.000 | 2,734.59 | **3,165.44** | 430.85 | 115.20 | 3.63 |
| *Share Price. $49 460, Next Dividend Payable 01/10/11* | | | | | | |
| **HAEMONETICS CORP (HAE)** | 26 000 | 1,430 32 | **1,642.68** | 212.36 | — | — |
| *Share Price· $63 180* | | | | | | |
| **HASBRO INC (HAS)** | 68 000 | 1,841 19 | **3,208.24** | 1,367.05 | 68 00 | 2 11 |
| *Share Price· $47 180, Next Dividend Payable 02/11* | | | | | | |
| **HCP INCORPORATED (HCP)** | 66.000 | 1,197 90 | **2,428.14** | 1,230 24 | 122.76 | 5.05 |
| *Share Price $36 790, Next Dividend Payable 02/11* | | | | | | |
| **HEALTH CARE REIT INC (HCN)** | 61.000 | 2,030 47 | **2,906.04** | 875 57 | 168 36 | 5.79 |
| *Share Price $47 640, Next Dividend Payable 02/11* | | | | | | |
| **HERBALIFE (HLF)** | 25 000 | 1,712 15 | **1,709.25** | (2.90) | 22.50 | 1.31 |
| *Share Price $68 370, Next Dividend Payable 02/11* | | | | | | |
| **HESS CORPORATION (HES)** | 78.000 | 4,359 09 | **5,970.12** | 1,611.03 | 31.20 | 0 52 |
| *Share Price: $76 540, Next Dividend Payable 01/03/11* | | | | | | |

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# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **HEWLETT PACKARD (HPQ)**<br>*Share Price $42 100, Next Dividend Payable 03/11* | 178 000 | 5,058 40 | **7,493.80** | 2,435 40 | 56 96 | 0 76 |
| **HSBC HOLDINGS PLC SPON ADR NEW (HBC)**<br>*Share Price $51 040* | 20 000 | 1,084 62 | **1,020.80** | (63.82) | 34 00 | 3 33 |
| **HUDSON CITY BANCORP INC. (HCBK)**<br>*Share Price $12 740, Next Dividend Payable 02/11* | 203 000 | 2,423.31 | **2,586.22** | 162 91 | 121 80 | 4 70 |
| **HUTCHISON WHAMPOA ADR (HUWHY)**<br>*Share Price· $51 410* | 75.000 | 2,530.50 | **3,855.75** | 1,325.25 | 80 33 | 2 08 |
| **ICICI BANK LTD (IBN)**<br>*Share Price $50 640* | 51.000 | 1,901 28 | **2,582.64** | 681.36 | 26 27 | 1 01 |
| **IHS INC CLA A COM (IHS)**<br>*Share Price $80 390* | 24.000 | 1,234.61 | **1,929.36** | 694.75 | — | — |
| **IMPERIAL TOBACCO GP PLC SP ADR (ITYBY)**<br>*Share Price· $61 750* | 53.000 | 3,238 30 | **3,272.75** | 34 45 | 142 46 | 4 35 |
| **INDUSTRIAL & COML BK CHINA ADR (IDCBY)**<br>*Share Price $15 650* | 150.000 | Pending Corp. Action<br>2267.97 | **2,347.50** | N/A | 66.15 | 2.81 |
| **INFOSYS TECH LIMITED (INFY)**<br>*Share Price $76 080* | 36.000 | 943 80 | **2,738.88** | 1,795 08 | 18 25 | 0.66 |
| **ING GROEP NV ADR (ING)**<br>*Share Price $9 790* | 199.000 | 1,993 08 | **1,948.21** | (44 87) | — | — |
| **INTEL CORP (INTC)**<br>*Share Price. $21 030, Next Dividend Payable 03/11* | 70 000 | 1,377 08 | **1,472.10** | 95.02 | 44.10 | 2.99 |
| **INTESA SANPAOLO S.P.A. ADR (ISNPY)**<br>*Share Price $16 220* | 39 000 | 1,035 45 | **632.58** | (402 87) | 15 87 | 2 50 |
| **INTL BUSINESS MACHINES CORP (IBM)**<br>*Share Price $146 760, Next Dividend Payable 03/11* | 71.000 | 6,921.66 | **10,419.96** | 3,498 30 | 184 60 | 1 77 |
| **INTL PWR PLC ADS (IPRPY)**<br>*Share Price $69 050* | 56 000 | 2,623.04 | **3,866.80** | 1,243.76 | 105 84 | 2 73 |

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# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **INTUIT INC (INTU)** | 122 000 | 4,342.85 | **6,014.60** | 1,671.75 | — | — |
| *Share Price $49 300* | | | | | | |
| **INTUITIVE SURGICAL INC (ISRG)** | 22.000 | 5,944 44 | **5,670.50** | (273 94) | — | — |
| *Share Price $257 750* | | | | | | |
| **ISHARES MSCI EAFE FUND (EFA)** | 2,491 000 | 85,544 80 | **145,026.02** | 59,481 22 | 3,479 93 | 2.39 |
| *Share Price $58 220, CG IAR Status AL, Next Dividend Payable 06/11* | | | | | | |
| **ISHARES RUSSELL 2000 INDEX FD (IWM)** | 3,670 000 | 220,673 80 | **287,140.80** | 66,467 00 | 3,280 98 | 1.14 |
| *Share Price $78 240, CG IAR Status AL, Next Dividend Payable 03/11* | | | | | | |
| **ITC HOLDINGS (ITC)** | 32 000 | 1,556 45 | **1,983.36** | 426 91 | 42 88 | 2 16 |
| *Share Price $61 980, Next Dividend Payable 03/11* | | | | | | |
| **ITOCHU CORP ADR (ITOCY)** | 70 000 | 1,212.32 | **1,410.50** | 198.18 | 23 73 | 1 68 |
| *Share Price $20 150* | | | | | | |
| **ITT CORP (ITT)** | 35.000 | 1,749.07 | **1,823.85** | 74.78 | 35 00 | 1.91 |
| *Share Price $52 110, Next Dividend Payable 01/01/11* | | | | | | |
| **IVANHOE MINES LTD (IVN)** | 84.000 | 380.52 | **1,925.28** | 1,544.76 | — | — |
| *Share Price $22 920* | | | | | | |
| **JOHNSON & JOHNSON (JNJ)** | 88 000 | 5,296.44 | **5,442.80** | 146.36 | 190.08 | 3 49 |
| *Share Price $61 850; Next Dividend Payable 03/11* | | | | | | |
| **JOHNSON CONTROLS INCORPORATED (JCI)** | 155.000 | 5,034 99 | **5,921.00** | 886 01 | 99 20 | 1.67 |
| *Share Price $38 200, Next Dividend Payable 01/04/11* | | | | | | |
| **JOY GLOBAL INC (JOYG)** | 16 000 | 1,010.75 | **1,388.00** | 377 25 | 11 20 | 0.80 |
| *Share Price $86 750, Next Dividend Payable 03/11* | | | | | | |
| **JPMORGAN CHASE & CO (JPM)** | 281 000 | 8,015 58 | **11,920.02** | 3,904 44 | 56 20 | 0 47 |
| *Share Price $42 420, Next Dividend Payable 01/11* | | | | | | |
| **JULIUS BAER GROUP LTD UN ADR (JBAXY)** | 257 000 | 1,517 65 | **2,420.94** | 903.29 | 8 74 | 0.36 |
| *Share Price $9 420* | | | | | | |
| **JUNIPER NETWORKS (JNPR)** | 208.000 | 5,225 70 | **7,679.36** | 2,453 66 | — | — |
| *Share Price. $36 920* | | | | | | |
| **KANSAS CY SOUTHN IND NEW (KSU)** | 74 000 | 2,457.65 | **3,541.64** | 1,083 99 | — | — |
| *Share Price $47 860* | | | | | | |

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# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **KB FINANCIAL GRP INC SONS ADR (KB)**<br>*Share Price $52 890* | 38 000 | 1,919 45 | **2,009.82** | 90 37 | 5 70 | 0 28 |
| **KELLOGG CO (K)**<br>*Share Price: $51 080, Next Dividend Payable 03/11* | 34.000 | 1,814.19 | **1,736.72** | (77 47) | 55 08 | 3.17 |
| **KEPPEL CORP LTD ADR SPONSORED (KPELY)**<br>*Share Price $17 650* | 144 000 | 1,677 46 | **2,541.60** | 864 14 | 81.79 | 3 21 |
| **KEYCORP NEW (KEY)**<br>*Share Price $8 850, Next Dividend Payable 03/11* | 236 000 | 1,751 50 | **2,088.60** | 337 10 | 9 44 | 0 45 |
| **KIMBERLY CLARK CORP (KMB)**<br>*Share Price $63 040, Next Dividend Payable 01/04/11* | 28 000 | 1,753 37 | **1,765.12** | 11 75 | 73 92 | 4 18 |
| **KINGFISHER PLC SPONS ADR NEW (KGFHY)**<br>*Share Price $8 160* | 550.000 | 3,975 98 | **4,488.00** | 512 02 | 81 40 | 1 81 |
| **KOMATSU LTD SPON ADR NEW (KMTUY)**<br>*Share Price. $30 470* | 83 000 | 1,707.04 | **2,529.01** | 821.97 | 5 06 | 0 20 |
| **KONICA MINOLTA HLDGS INC ADR (KNCAY)**<br>*Share Price $20 500* | 55.000 | 1,096.44 | **1,127.50** | 31.06 | 17.05 | 1.51 |
| **KONINKLIJKE AHOLD ADR (AHONY)**<br>*Share Price $13 190* | 117.000 | 1,579 50 | **1,543.23** | (36.27) | 28 78 | 1.86 |
| **KONINKLIJKE PHIL EL SP ADR NEW (PHG)**<br>*Share Price $30 700* | 46 000 | 1,350.10 | **1,412.20** | 62 10 | 36.48 | 2.58 |
| **KRAFT FOODS INC CL A (KFT)**<br>*Share Price $31 510, Next Dividend Payable 01/14/11* | 268 000 | 6,392.35 | **8,444.68** | 2,052.33 | 310.88 | 3.68 |
| **LABORATORY CP AMER HLDGS NEW (LH)**<br>*Share Price $87 920* | 11 000 | 805 75 | **967.12** | 161 37 | — | — |
| **LIBERTY MEDIA HLDG CAP SER A (LCAPA)**<br>*Share Price $62 560* | 31 000 | 1,935 11 | **1,939.36** | 4 25 | — | — |
| **LIBERTY MEDIA STARZ SR A (LSTZA)**<br>*Share Price $66 480* | 28 000 | 1,363 04 | **1,861.44** | 498 40 | — | — |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **LINCOLN NTL CORP IND (LNC)** | 182 000 | 4,342 32 | **5,061.42** | 719 10 | 36 40 | 0 71 |
| *Share Price $27 810, Next Dividend Payable 02/11* | | | | | | |
| **LKQ CORPORATION (LKQX)** | 108.000 | 1,397.28 | **2,453.76** | 1,056.48 | — | — |
| *Share Price $22.720* | | | | | | |
| **LONZA GROUP AG ZUERICH ADR (LZAGY)** | 114.000 | 845 88 | **908.58** | 62 70 | 10.83 | 1 19 |
| *Share Price $7 970* | | | | | | |
| **LYONDELLBASELL NV CL-A (LYB)** | 63.000 | 1,642.10 | **2,167.20** | 525.10 | — | — |
| *Share Price $34 400* | | | | | | |
| **MARKS & SPENCER GRP PLC ADR (MAKSY)** | 96.000 | 1,153.18 | **1,104.00** | (49 18) | 43.58 | 3 94 |
| *Share Price $11 500* | | | | | | |
| **MASTERCARD INC CL A (MA)** | 11.000 | 1,911.80 | **2,465.21** | 553 41 | 6.60 | 0.26 |
| *Share Price $224 110; Next Dividend Payable 02/11* | | | | | | |
| **MATTEL INC (MAT)** | 127.000 | 2,081.42 | **3,229.61** | 1,148.19 | 105.41 | 3.26 |
| *Share Price $25 430, Next Dividend Payable 12/11* | | | | | | |
| **MC DONALDS CORP (MCD)** | 154.000 | 8,655 54 | **11,821.04** | 3,165.50 | 375.76 | 3.17 |
| *Share Price $76 760, Next Dividend Payable 03/11* | | | | | | |
| **MC GRAW HILL COS INC (MHP)** | 99.000 | 2,799 43 | **3,604.59** | 805.16 | 93 06 | 2 58 |
| *Share Price $36 410; Next Dividend Payable 03/11* | | | | | | |
| **MCKESSON CORP (MCK)** | 46.000 | 3,077.21 | **3,237.48** | 160 27 | 33 12 | 1 02 |
| *Share Price $70 380, Next Dividend Payable 01/03/11* | | | | | | |
| **MERCK & CO INC NEW COM (MRK)** | 129 000 | ~~Please Provide~~<br>—0— | **4,649.16** | N/A | 196 08 | 4 21 |
| *Share Price: $36 040, Next Dividend Payable 01/07/11* | | | | | | |
| **MERCK KGAA UNSPON ADR (MKGAY)** | 68 000 | 2,137 10 | **1,805.40** | (331.70) | 21.28 | 1 17 |
| *Share Price $26 550* | | | | | | |
| **METLIFE INCORPORATED (MET)** | 101.000 | 3,253.04 | **4,488.44** | 1,235.40 | 74.74 | 1.66 |
| *Share Price· $44 440, Next Dividend Payable 12/11* | | | | | | |
| **METTLER TOLEDO INTL (MTD)** | 18 000 | 2,081 28 | **2,721.78** | 640 50 | — | — |
| *Share Price $151 210* | | | | | | |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **MFA FINANCIAL INC (MFA)**<br>*Share Price $8 160, Next Dividend Payable 01/31/11* | 371 000 | 2,843 55 | **3,027.36** | 183 81 | 348 74 | 11 51 |
| **MICHELIN COMPAGNIE GENERALE DE (MGDDY)**<br>*Share Price $14 340* | 100.000 | 1,555.00 | **1,434.00** | (121.00) | 18 20 | 1 26 |
| **MICROCHIP TECHNOLOGY INC (MCHP)**<br>*Share Price $34 210, Next Dividend Payable 03/11* | 62 000 | 1,756 34 | **2,121.02** | 364 68 | 85.56 | 4 03 |
| **MICROS SYST (MCRS)**<br>*Share Price $43 860* | 46.000 | 1,372 92 | **2,017.56** | 644 64 | — | — |
| **MICROSOFT CORP (MSFT)**<br>*Share Price $27 910, Next Dividend Payable 03/11* | 93 000 | 1,777 63 | **2,595.63** | 818 00 | 59 52 | 2 29 |
| **MILLICOM INTL CELLULAR SA NEW (MICC)**<br>*Share Price $95 600* | 25.000 | 961 23 | **2,390.00** | 1,428.77 | 66.00 | 2.76 |
| **MITSUBISHI UFJ FINCL GRP ADS (MTU)**<br>*Share Price $5 410* | 85 000 | 420 75 | **459.85** | 39.10 | 10 80 | 2.34 |
| **MSCI INC CL-A (MSCI)**<br>*Share Price· $38 960* | 60 000 | 2,192 69 | **2,337.60** | 144.91 | — | — |
| **MUENCHENER RUECK-UNSPONS ADR (MURGY)**<br>*Share Price $15 110* | 92 000 | 1,417 72 | **1,390.12** | (27.60) | 49 50 | 3 56 |
| **NATL AUST BK LTD SPNS ADR (NABZY)**<br>*Share Price· $24 160* | 27.000 | 700.65 | **652.32** | (48 33) | 37 64 | 5.77 |
| **NATL GRID TRANSCO PLC ADS (NGG)**<br>*Share Price $44 380* | 39 000 | 1,761 78 | **1,730.82** | (30 96) | 109.13 | 6 30 |
| **NESTLE SPON ADR REP REG SHR (NSRGY)**<br>*Share Price $58 820* | 186 000 | 6,210.23 | **10,940.52** | 4,730.29 | 166 84 | 1.52 |
| **NEW ORIENTAL ED & TECH GRP ADR (EDU)**<br>*Share Price $105 230* | 11.000 | 833.63 | **1,157.53** | 323.90 | — | — |
| **NEW YORK COMMUNITY BANCORP INC (NYB)**<br>*Share Price $18 850, Next Dividend Payable 02/11* | 194.000 | 2,571.52 | **3,656.90** | 1,085 38 | 194.00 | 5.30 |

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# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **NIDEC CORP (NJ)** | 135.000 | 3,089 02 | **3,400.65** | 311 63 | 28 22 | 0 82 |
| *Share Price $25 190* | | | | | | |
| **NII HOLDINGS INC CL B (NIHD)** | 34 000 | 1,069 13 | **1,518.44** | 449 31 | — | — |
| *Share Price· $44 660* | | | | | | |
| **NINTENDO CO LTD ADR NEW (NTDOY)** | 57.000 | 1,733 37 | **2,070.81** | 337 44 | 57 57 | 2 78 |
| *Share Price $36 330* | | | | | | |
| **NISOURCE INC (NI)** | 139.000 | 1,202.31 | **2,449.18** | 1,246 87 | 127.88 | 5.22 |
| *Share Price $17 620, Next Dividend Payable 02/11* | | | | | | |
| **NORDEA BANK AB-UNSP ADR (NDBAY)** | 67 000 | 696.80 | **723.60** | 26.80 | 17 42 | 2.40 |
| *Share Price $10 800* | | | | | | |
| **NORTHEAST UTILITIES (NU)** | 66.000 | 1,627.43 | **2,104.08** | 476.65 | 67.65 | 3.21 |
| *Share Price $31 880; Next Dividend Payable 03/11* | | | | | | |
| **NORTHERN TRUST CORP (NTRS)** | 29 000 | 1,391.42 | **1,606.89** | 215.47 | 32.48 | 2.02 |
| *Share Price $55 410, Next Dividend Payable 01/03/11* | | | | | | |
| **NORTHWESTERN CORPORATION (NWE)** | 74.000 | 1,890 10 | **2,133.42** | 243 32 | 100.64 | 4 71 |
| *Share Price $28 830, Next Dividend Payable 03/11* | | | | | | |
| **NOVARTIS AG ADR (NVS)** | 80.000 | 3,154 57 | **4,716.00** | 1,561 43 | 132 24 | 2.80 |
| *Share Price $58 950, Next Dividend Payable 04/11* | | | | | | |
| **NOVO NORDISK A/S ADR (NVO)** | 26.000 | 1,564.60 | **2,926.82** | 1,362.22 | 25.45 | 0.86 |
| *Share Price $112 570* | | | | | | |
| **O REILLY AUTOMOTIVE INC** | 16 000 | 602.05 | **966.72** | 364 67 | — | — |
| *Share Price $60 420* | | | | | | |
| **OCCIDENTAL PETROLEUM CORP DE (OXY)** | 139 000 | 9,495 48 | **13,635.90** | 4,140 42 | 211 28 | 1 54 |
| *Share Price $98 100, Next Dividend Payable 01/15/11* | | | | | | |
| **OLD REPUBLIC INTL CP (ORI)** | 132 000 | 1,118.40 | **1,799.16** | 680 76 | 91.08 | 5 06 |
| *Share Price $13 630, Next Dividend Payable 03/11* | | | | | | |
| **OMNICOM GROUP (OMC)** | 168 000 | 6,984 88 | **7,694.40** | 709 52 | 134 40 | 1 74 |
| *Share Price $45 800, Next Dividend Payable 01/10/11* | | | | | | |
| **ORACLE CORP (ORCL)** | 47.000 | 861.82 | **1,471.10** | 609 28 | 9 40 | 0 63 |
| *Share Price $31 300, Next Dividend Payable 02/11* | | | | | | |

CONTINUED

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **PACCAR INC (PCAR)**<br>*Share Price. $57 340, Next Dividend Payable 03/11* | 43 000 | 1,608 27 | **2,465.62** | 857 35 | 20 64 | 0 83 |
| **PARKER HANNIFIN CORP (PH)**<br>*Share Price: $86 300, Next Dividend Payable 03/11* | 21.000 | 1,309 22 | **1,812.30** | 503 08 | 24 36 | 1.34 |
| **PEABODY ENERGY CORP (BTU)**<br>*Share Price $63 980; Next Dividend Payable 02/11* | 84 000 | 3,752 47 | **5,374.32** | 1,621 85 | 28 56 | 0 53 |
| **PEARSON PLC SP ADR (PSO)**<br>*Share Price $15 890* | 79.000 | 1,116.27 | **1,255.31** | 139 04 | 42 82 | 3.41 |
| **PEPSICO INC NC (PEP)**<br>*Share Price $65 330, Next Dividend Payable 01/03/11* | 42.000 | 2,079.22 | **2,743.86** | 664 64 | 80 64 | 2 93 |
| **PETROLEO BRAS SA ADS (PBR)**<br>*Share Price $37 840* | 43 000 | 1,225.84 | **1,627.12** | 401.28 | 6 45 | 0.39 |
| **PETROLEO BRASILEIRO SA ADR (PBR'A)**<br>*Share Price $34 170* | 52.000 | 2,242 76 | **1,776.84** | (465 92) | 7 80 | 0 43 |
| **PFIZER INC (PFE)**<br>*Share Price $17 510, Next Dividend Payable 03/11* | 299.000 | 4,048.45 | **5,235.49** | 1,187.04 | 239.20 | 4.56 |
| **PG&E CORPORATION (PCG)**<br>*Share Price $47 840, Next Dividend Payable 01/15/11* | 78 000 | 3,340.97 | **3,731.52** | 390.55 | 141.96 | 3 80 |
| **PHILIPPINE LG DIST TEL SPN ADR (PHI)**<br>*Share Price $58 270* | 40.000 | 2,278.80 | **2,330.80** | 52 00 | 103.32 | 4.43 |
| **PNC FINL SVCS GP (PNC)**<br>*Share Price. $60 720, Next Dividend Payable 01/11* | 95 000 | 4,080 72 | **5,768.40** | 1,687.68 | 38 00 | 0 65 |
| **PORTLAND GENERAL ELEC CO (POR)**<br>*Share Price $21 700, Next Dividend Payable 01/17/11* | 44 000 | 919 49 | **954.80** | 35.31 | 45.76 | 4 79 |
| **PORTUGAL TELECOM SGPS SA (PT)**<br>*Share Price $11 460* | 30.000 | 363 80 | **343.80** | (20.00) | 47.58 | 13 83 |
| **PRAXAIR INC (PX)**<br>*Share Price $95 470, Next Dividend Payable 03/11* | 69 000 | 4,114 17 | **6,587.43** | 2,473 26 | 124 20 | 1 88 |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **PRECISION CASTPARTS CORP (PCP)** | 8 000 | 878 64 | **1,113.68** | 235 04 | 0 96 | 0.08 |
| *Share Price $139 210, Next Dividend Payable 01/03/11* | | | | | | |
| **PREMIER FOODS PLC UNSPONS ADR (PRRFY)** | 357.000 | 1,448 48 | **1,046.01** | (402 47) | — | — |
| *Share Price $2 930* | | | | | | |
| **PROASSURANCE CP (PRA)** | 25.000 | 1,344 00 | **1,515.00** | 171.00 | — | — |
| *Share Price $60 600* | | | | | | |
| **PROGRESS ENERGY INC (PGN)** | 84 000 | 2,716.31 | **3,652.32** | 936 01 | 208 32 | 5.70 |
| *Share Price $43 480, Next Dividend Payable 02/11* | | | | | | |
| **PRUDENTIAL FINANCIAL INC (PRU)** | 90 000 | 3,953 89 | **5,283.90** | 1,330.01 | 103 50 | 1 95 |
| *Share Price $58.710, Next Dividend Payable 12/11* | | | | | | |
| **PUBLIC SERVICE ENTERPRISE GP (PEG)** | 32.000 | 1,109 53 | **1,017.92** | (91.61) | 43.84 | 4.30 |
| *Share Price $31 810; Next Dividend Payable 03/11* | | | | | | |
| **PUBLICIS GROUPE SA ADS (PUBGY)** | 52 000 | 1,177 97 | **1,361.36** | 183 39 | 15 39 | 1 13 |
| *Share Price· $26.180* | | | | | | |
| **QUALCOMM INC (QCOM)** | 127 000 | 4,670.08 | **6,285.23** | 1,615.15 | 96 52 | 1.53 |
| *Share Price $49 490, Next Dividend Payable 03/11* | | | | | | |
| **RANGE RESOURCES CORP (RRC)** | 49.000 | 2,091.35 | **2,204.02** | 112 67 | 7.84 | 0.35 |
| *Share Price $44 980, Next Dividend Payable 03/11* | | | | | | |
| **REED ELSEVIER NV-SPONS ADR (ENL)** | 62.000 | 1,475.80 | **1,542.56** | 66.76 | 53 13 | 3.44 |
| *Share Price· $24 880* | | | | | | |
| **REED ELSEVIER PLC - SPONS ADR (RUK)** | 57.000 | 1,759.48 | **1,913.20** | 153.72 | 68.12 | 3.56 |
| *Share Price $33 565* | | | | | | |
| **REPSOL YPF SA ADR (REP)** | 32.000 | 861 76 | **894.08** | 32.32 | 31.71 | 3 54 |
| *Share Price $27 940* | | | | | | |
| **RESMED INC (RMD)** | 80 000 | 1,582 67 | **2,771.20** | 1,188 53 | — | — |
| *Share Price $34.640* | | | | | | |
| **REXAM PLC ADR NEW (REXMY)** | 15 000 | 344.70 | **387.15** | 42.45 | 13 50 | 3 48 |
| *Share Price $25 810* | | | | | | |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **REYNOLDS AMERICAN INC (RAI)** | 48 000 | 1,528 88 | **1,565.76** | 36 88 | 94 08 | 6.00 |
| *Share Price $32 620, Next Dividend Payable 01/03/11* | | | | | | |
| **ROCHE HOLDINGS ADR (RHHBY)** | 154 000 | 5,608 69 | **5,644.10** | 35.41 | 178 64 | 3.16 |
| *Share Price $36 650* | | | | | | |
| **ROCKWELL COLLINS INC (COL)** | 25 000 | 747 50 | **1,456.50** | 709 00 | 24 00 | 1 64 |
| *Share Price $58 260, Next Dividend Payable 03/11* | | | | | | |
| **ROGERS COMM INC CL B (BC) (RCI)** | 35.000 | 1,121.32 | **1,212.05** | 90.73 | 43.96 | 3 62 |
| *Share Price $34 630, Next Dividend Payable 01/04/11* | | | | | | |
| **ROLLS ROYCE PLC SPONS ADR (RYCEY)** | 26 000 | 1,018 68 | **1,265.68** | 247 00 | 12.40 | 0.97 |
| *Share Price $48 680, Next Dividend Payable 01/17/11* | | | | | | |
| **ROYAL DUTCH SHELL PLC CL B (RDS'B)** | 77 000 | 4,597.16 | **5,133.59** | 536.43 | 258 72 | 5.03 |
| *Share Price $66 670* | | | | | | |
| **ROYAL KPN NV SPONS ADR (KKPNY)** | 110.000 | 1,915.10 | **1,613.70** | (301.40) | 90 53 | 5.61 |
| *Share Price $14 670* | | | | | | |
| **SAGE GRP ADR (SGPYY)** | 46.000 | 696.44 | **791.66** | 95.22 | 19 04 | 2.40 |
| *Share Price $17 210* | | | | | | |
| **SANOFI AVENTIS ADS (SNY)** | 87.000 | 3,380.07 | **2,804.01** | (576.06) | 95.87 | 3 41 |
| *Share Price $32 230* | | | | | | |
| **SAP AG (SAP)** | 95 000 | 3,646.79 | **4,807.95** | 1,161.16 | 39.90 | 0 82 |
| *Share Price $50 610* | | | | | | |
| **SBM OFFSHORE NV ADR (SBFFY)** | 56.000 | 1,064 56 | **1,266.72** | 202 16 | 27 66 | 2 18 |
| *Share Price $22 620* | | | | | | |
| **SCANA CORP NEW (SCG)** | 76 000 | 2,288 05 | **3,085.60** | 797 55 | 144 40 | 4.67 |
| *Share Price· $40 600, Next Dividend Payable 01/01/11* | | | | | | |
| **SCHLUMBERGER LTD (SLB)** | 95.000 | 3,679 99 | **7,932.50** | 4,252.51 | 79 80 | 1.00 |
| *Share Price $83 500, Next Dividend Payable 01/07/11* | | | | | | |
| **SEADRILL LTD (SDRL)** | 48 000 | 1,566 46 | **1,628.16** | 61.70 | 124 80 | 7.66 |
| *Share Price $33 920, Next Dividend Payable 03/11* | | | | | | |

CONTINUED

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **SEMPRA ENERGY (SRE)**<br>*Share Price. $52 480, Next Dividend Payable 01/15/11* | 109 000 | 5,029 08 | **5,720.32** | 691 24 | 170.04 | 2.97 |
| **SHANGHAI ELEC GROUP CO LTD ADR (SIELY)**<br>*Share Price $13 070* | 101.000 | 928 13 | **1,320.07** | 391.94 | 14.44 | 1.09 |
| **SHARP CORPORATION A D R (SHCAY)**<br>*Share Price $10 160* | 126 000 | 1,554 84 | **1,280.16** | (274.68) | 21 55 | 1 68 |
| **SHAW GROUP INCORPORATED (SHAW)**<br>*Share Price $34 230* | 56 000 | 1,989 57 | **1,916.88** | (72.69) | — | — |
| **SHIRE PLC ADR (SHPGY)**<br>*Share Price $72 380* | 42 000 | 2,372 66 | **3,039.96** | 667 30 | 14 49 | 0.47 |
| **SIEMENS AKTIENGESELLSCHAFT (SI)**<br>*Share Price· $124 250* | 25.000 | 2,254.00 | **3,106.25** | 852 25 | 67 90 | 2 18 |
| **SIGNATURE BANK (SBNY)**<br>*Share Price $50 060* | 45 000 | 1,454 02 | **2,252.70** | 798 68 | — | — |
| **SINGAPORE TELECOM LTD ADR NEW (SGAPY)**<br>*Share Price $23 750* | 105 000 | 2,262.75 | **2,493.75** | 231 00 | 112 04 | 4.49 |
| **SKYWORKS SOLUTIONS INC (SWKS)**<br>*Share Price $28 630* | 104 000 | 2,489 74 | **2,977.52** | 487.78 | — | — |
| **SMITH & NEPHEW PLC ADR (SNN)**<br>*Share Price $52 550* | 18.000 | 560 16 | **945.90** | 385.74 | 12.89 | 1.36 |
| **SMUCKER JM CO COM NEW (SJM)**<br>*Share Price $65 650, Next Dividend Payable 03/11* | 90.000 | 5,451.22 | **5,908.50** | 457.28 | 144.00 | 2.43 |
| **SOLERA HOLDINGS INC (SLH)**<br>*Share Price $51 320, Next Dividend Payable 03/11* | 53 000 | 1,889 90 | **2,719.96** | 830 06 | 15 90 | 0 58 |
| **SONY CORP ADR 1974 NEW (SNE)**<br>*Share Price $35 710* | 24.000 | 682 80 | **857.04** | 174.24 | 6 24 | 0 72 |
| **SOUTHWESTERN ENERGY COMPANY (SWN)**<br>*Share Price $37 430* | 42.000 | 1,758 72 | **1,572.06** | (186.66) | — | — |

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# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **SPDR GOLD TR GOLD SHS (GLD)** | 44 000 | 4,077 41 | **6,103.68** | 2,026 27 | — | — |
| *Share Price $138 720* | | | | | | |
| **SPDR TRUST SERIES 1 (SPY)** | 2,015 000 | 223,397.02 | **253,386.25** | 29,989.23 | 4,568.01 | 1 80 |
| *Share Price· $125 750; CG IAR Status AL, Next Dividend Payable 01/31/11* | | | | | | |
| **ST JUDE MEDICAL INC (STJ)** | 77.000 | 2,685 35 | **3,291.75** | 606 40 | — | — |
| *Share Price $42 750* | | | | | | |
| **STAPLES INC (SPLS)** | 65 000 | 1,121.92 | **1,480.05** | 358.13 | 23 40 | 1.58 |
| *Share Price $22 770, Next Dividend Payable 01/13/11* | | | | | | |
| **STARBUCKS CORP WASHINGTON (SBUX)** | 198 000 | 5,571 44 | **6,361.74** | 790 30 | 102 96 | 1 61 |
| *Share Price $32 130, Next Dividend Payable 03/11* | | | | | | |
| **STATOIL ASA ADR (STO)** | 82 000 | 1,973.16 | **1,949.14** | (24 02) | 63 88 | 3 27 |
| *Share Price $23 770* | | | | | | |
| **STERICYCLE INC (SRCL)** | 33 000 | 1,901.46 | **2,670.36** | 768.90 | — | — |
| *Share Price $80 920* | | | | | | |
| **SUEZ ENVIRONNEMENT UNSPON ADR (SZEVY)** | 59 000 | 693 25 | **606.52** | (86.73) | 18.53 | 3.05 |
| *Share Price $10 280* | | | | | | |
| **SWIRE PACIFIC SPN ADR LTD CL A (SWRAY)** | 57.000 | 703 95 | **936.51** | 232.56 | 21.43 | 2.28 |
| *Share Price $16 430* | | | | | | |
| **SWISS REINSURANCE CO SPON ADR (SWCEY)** | 26 000 | 1,241 50 | **1,396.72** | 155 22 | 20 64 | 1.47 |
| *Share Price $53 720* | | | | | | |
| **SYNGENTA AG ADR (SYT)** | 30 000 | 1,528.91 | **1,763.40** | 234.49 | 26.97 | 1.52 |
| *Share Price $58 780* | | | | | | |
| **T ROWE PRICE GROUP INC (TROW)** | 117 000 | 2,696 85 | **7,551.18** | 4,854 33 | 126 36 | 1 67 |
| *Share Price $64 540, Next Dividend Payable 03/11* | | | | | | |
| **TAIWAN SMCNDCTR MFG CO LTD ADR (TSM)** | 489 000 | 5,243 77 | **6,132.06** | 888.29 | 182.39 | 2 97 |
| *Share Price $12 540* | | | | | | |
| **TALISMAN ENERGY INC (TLM)** | 111 000 | 1,371 98 | **2,463.09** | 1,091 11 | 27 08 | 1 09 |
| *Share Price $22 190, Next Dividend Payable 06/11* | | | | | | |

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# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **TARGET CORPORATION (TGT)** | 57 000 | 2,390 52 | **3,427.41** | 1,036 89 | 57 00 | 1 66 |
| *Share Price $60 130, Next Dividend Payable 03/11* | | | | | | |
| **TD AMERITRADE HOLDING CORP (AMTD)** | 164.000 | 2,074 46 | **3,114.36** | 1,039.90 | 32 80 | 1.05 |
| *Share Price· $18 990, Next Dividend Payable 03/11* | | | | | | |
| **TEL & DATA SYSTEMS SPECIAL (TDS'S)** | 95 000 | 2,309 32 | **2,994.40** | 685 08 | 42 75 | 1 42 |
| *Share Price $31 520, Next Dividend Payable 03/11* | | | | | | |
| **TELEFONICA SA ADR (TEF)** | 35.000 | 2,056.55 | **2,394.70** | 338.15 | 146 16 | 6.10 |
| *Share Price $68 420* | | | | | | |
| **TELEKOM AUSTRIA A G SPONS ADR (TKAGY)** | 42.000 | 1,251 60 | **1,176.00** | (75 60) | 55 36 | 4 70 |
| *Share Price $28 000* | | | | | | |
| **TELENOR ASA ADS (TELNY)** | 49.000 | 2,104.55 | **2,396.10** | 291.55 | 47 14 | 1.96 |
| *Share Price $48 900* | | | | | | |
| **TERADATA CORP (TDC)** | 51.000 | 1,714 96 | **2,099.16** | 384.20 | — | — |
| *Share Price. $41 160* | | | | | | |
| **TEREX CP NEW DEL (TEX)** | 81.000 | 1,611.94 | **2,514.24** | 902.30 | — | — |
| *Share Price $31 040* | | | | | | |
| **TESCO PLC SPONSORED ADR (TSCDY)** | 221 000 | 3,751.82 | **4,459.78** | 707.96 | 128 18 | 2.87 |
| *Share Price $20 180* | | | | | | |
| **TEVA PHARMACEUTICALS ADR (TEVA)** | 81.000 | 3,986.87 | **4,222.53** | 235.66 | 54 03 | 1.27 |
| *Share Price $52 130, Next Dividend Payable 03/11* | | | | | | |
| **THE MACERICH CO (MAC)** | 68 000 | 2,789 96 | **3,221.16** | 431 20 | 136 00 | 4 22 |
| *Share Price· $47 370, Next Dividend Payable 03/11* | | | | | | |
| **THERMO FISHER SCIENTIFIC INC (TMO)** | 29 000 | 980 49 | **1,605.44** | 624 95 | — | — |
| *Share Price $55 360* | | | | | | |
| **TIFFANY & COMPANY NEW (TIF)** | 32.000 | 1,557 63 | **1,992.64** | 435.01 | 32.00 | 1 60 |
| *Share Price $62 270, Next Dividend Payable 01/10/11* | | | | | | |
| **TIME WARNER CABLE INC NEW (TWC)** | 48 000 | 1,225 39 | **3,169.44** | 1,944 05 | 76 80 | 2 42 |
| *Share Price $66 030, Next Dividend Payable 03/11* | | | | | | |
| **TJX COS INC NEW (TJX)** | 184.000 | 7,223.20 | **8,167.76** | 944 56 | 110.40 | 1 35 |
| *Share Price $44 390, Next Dividend Payable 03/11* | | | | | | |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **TNT N.V. ADS (TNTTY)**<br>*Share Price $26 360* | 57 000 | 1,764 15 | **1,502.52** | (261.63) | 37 34 | 2.48 |
| **TOTAL FINA ELF SA (TOT)**<br>*Share Price $53 480* | 73 000 | 4,503.67 | **3,904.04** | (599 63) | 181 26 | 4.64 |
| **TOYOTA MOTOR CP ADR NEW (TM)**<br>*Share Price $78 630* | 42.000 | 2,579 15 | **3,302.46** | 723 31 | 39 99 | 1 21 |
| **TRANSCANADA CORP(HLDG CO) (TRP)**<br>*Share Price $38 040, Next Dividend Payable 01/31/11* | 58.000 | 1,908 98 | **2,206.32** | 297.34 | 92.34 | 4.18 |
| **TRAVELERS COMPANIES INC COM (TRV)**<br>*Share Price $55 710, Next Dividend Payable 03/11* | 21 000 | 735 14 | **1,169.91** | 434 77 | 30 24 | 2 58 |
| **TREEHOUSE FOODS INC (THS)**<br>*Share Price $51 090* | 32.000 | 1,520.83 | **1,634.88** | 114 05 | — | — |
| **TREND MICRO INC SPON ADR NEW (TMICY)**<br>*Share Price $33 170* | 32.000 | 1,235.20 | **1,061.44** | (173 76) | 28 35 | 2.67 |
| **TUPPERWARE BRANDS CORP (TUP)**<br>*Share Price $47 670, Next Dividend Payable 01/04/11* | 42 000 | 2,076.43 | **2,002.14** | (74.29) | 50 40 | 2 51 |
| **TURKCELL ILETISM HIZM AS NEW (TKC)**<br>*Share Price $17 130* | 55.000 | 876 15 | **942.15** | 66.00 | 32.51 | 3 45 |
| **TYCO INTERNATIONAL LTD NEW (TYC)**<br>*Share Price $41 440, Next Dividend Payable 02/11* | 44 000 | 1,537.51 | **1,823.36** | 285.85 | 36 96 | 2.02 |
| **U S BANCORP COM NEW (USB)**<br>*Share Price· $26 970, Next Dividend Payable 01/18/11* | 141 000 | 3,190 20 | **3,802.77** | 612 57 | 28 20 | 0.74 |
| **ULTRA PETROLEUM CORP (UPL)**<br>*Share Price $47 770* | 46 000 | 1,736 34 | **2,197.42** | 461.08 | — | — |
| **UNILEVER NV NY SH NEW (UN)**<br>*Share Price $31 400* | 128 000 | 2,940.24 | **4,019.20** | 1,078.96 | 121 34 | 3 01 |
| **UNION PACIFIC CORP (UNP)**<br>*Share Price $92 660, Next Dividend Payable 01/03/11* | 46 000 | 2,968 38 | **4,262.36** | 1,293.98 | 69 92 | 1 64 |
| **UNITED PARCEL SERVICE INC CL-B (UPS)**<br>*Share Price $72 580, Next Dividend Payable 03/11* | 82.000 | 5,521 13 | **5,951.56** | 430 43 | 154.16 | 2.59 |

CONTINUED

## Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

### STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **UNITED STS STL CP (NEW) (X)**<br>*Share Price $58 420, Next Dividend Payable 03/11* | 37 000 | 1,703 74 | **2,161.54** | 457 80 | 7 40 | 0 34 |
| **UNITED TECHNOLOGIES CORP (UTX)**<br>*Share Price $78 720, Next Dividend Payable 03/11* | 126.000 | 5,068 68 | **9,918.72** | 4,850 04 | 214 20 | 2.15 |
| **UNITEDHEALTH GP INC (UNH)**<br>*Share Price· $36 110, Next Dividend Payable 03/11* | 42 000 | 1,087 23 | **1,516.62** | 429 39 | 21 00 | 1 38 |
| **VALMONT INDUSTRIES (VMI)**<br>*Share Price $88 730, Next Dividend Payable 01/14/11* | 22 000 | 1,746.94 | **1,952.06** | 205 12 | 14.52 | 0.74 |
| **VALSPAR CORP (VAL)**<br>*Share Price $34 480, Next Dividend Payable 01/14/11* | 58 000 | 1,574 00 | **1,999.84** | 425 84 | 41 76 | 2.08 |
| **VERIZON COMMUNICATIONS (VZ)**<br>*Share Price $35 780, Next Dividend Payable 02/11* | 78 000 | 2,023.98 | **2,790.84** | 766.86 | 152.10 | 5.44 |
| **VIMPELCOM LTD SPON ADR (VIP)**<br>*Share Price $15 040* | 77.000 | 1,402 75 | **1,158.08** | (244.67) | 28 57 | 2 46 |
| **VINCI SA ADR (VCISY)**<br>*Share Price $13 650, Next Dividend Payable 01/06/11* | 94 000 | 1,344 20 | **1,283.10** | (61.10) | 36.19 | 2.82 |
| **VIVENDI SA SPONSORED ADR (VIVDY)**<br>*Share Price $27 070* | 47.000 | 1,393.55 | **1,272.29** | (121.26) | 61 62 | 4.84 |
| **VODAFONE GP PLC ADS NEW (VOD)**<br>*Share Price $26 440; Next Dividend Payable 02/04/11* | 267.000 | 6,279.19 | **7,059.48** | 780.29 | 348.18 | 4 93 |
| **VOLVO AB ADR B (VOLVY)**<br>*Share Price $17 610* | 50 000 | 812 28 | **880.50** | 68.22 | — | — |
| **VORNADO REALTY TR S B I (VNO)**<br>*Share Price $83 330, Next Dividend Payable 02/11* | 27.000 | 1,688 81 | **2,249.91** | 561 10 | 70 20 | 3.12 |
| **WAL MART STORES INC (WMT)**<br>*Share Price $53 930, Next Dividend Payable 01/03/11* | 109 000 | 5,561 68 | **5,878.37** | 316 69 | 131.89 | 2.24 |
| **WALT DISNEY CO HLDG CO (DIS)**<br>*Share Price $37 510, Next Dividend Payable 01/18/11* | 199 000 | 6,909 19 | **7,464.49** | 555 30 | 79 60 | 1 06 |
| **WASTE MGMT INC (DELA) (WM)**<br>*Share Price $36 870, Next Dividend Payable 03/11* | 68.000 | 1,712.44 | **2,507.16** | 794.72 | 85 68 | 3 41 |

CONTINUED

# Holdings

**Personal Portfolio Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **WEATHERFORD INTERNATIONAL LTD (WFT)** | 167 000 | 3,008 69 | **3,807.60** | 798 91 | — | — |
| *Share Price. $22 800* | | | | | | |
| **WELLS FARGO & CO NEW (WFC)** | 221.000 | 3,644.36 | **6,848.79** | 3,204 43 | 44 20 | 0.64 |
| *Share Price $30 990, Next Dividend Payable 03/11* | | | | | | |
| **WOLSELEY PLC ADR (WOSYY)** | 261 000 | 522 00 | **816.93** | 294 93 | — | — |
| *Share Price $3 130* | | | | | | |
| **WPP PLC ADR (WPPGY)** | 36 000 | 1,727 05 | **2,230.92** | 503.87 | 45 43 | 2 03 |
| *Share Price $61 970* | | | | | | |
| **XCEL ENERGY INC (XEL)** | 99.000 | 1,683 34 | **2,331.45** | 648 11 | 99.99 | 4 28 |
| *Share Price. $23 550, Next Dividend Payable 01/20/11* | | | | | | |
| **XEROX CORP (XRX)** | 334.000 | 3,123 09 | **3,847.68** | 724.59 | 56 78 | 1.47 |
| *Share Price $11 520, Next Dividend Payable 01/28/11* | | | | | | |
| **ZIMMER HLDGS INC (ZMH)** | 30.000 | 1,104 63 | **1,610.40** | 505.77 | — | — |
| *Share Price. $53 680* | | | | | | |
| **COMMON STOCKS** | | **$1,385,694.55** | **$1,792,048.90** | **$399,830.72** | **$33,788.31** | **1.88%** |

### PREFERRED STOCKS

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **VALE S.A. SP (VALE'P)** | 64 000 | $1,540 96 | **$1,934.08** | $393 12 | $12 22 | 0 63 |
| *Share Price $30 220* | | | | | | |

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| STOCKS | **85.2%** | **$1,387,235.51** | **$1,793,982.98** | **$400,223.84** | **$33,800.53**<br>**$0.00** | **1.88%** |

# Holdings

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS

*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain mutual funds  Please refer to "CG IAR Statuses in Investment Advisory Programs" at the end of this statement for a description of these status codes  All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **IVY GLOB NATL RESOURCES A (IGNAX)** | 7,708 404 | $78,702 81 | **$166,578.61** | $87,875 80 | — | — |

*Share Price  $21 610,  CG IAR Status  FL; Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest*

|  | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| MUTUAL FUNDS | **7.9%** | **$78,702.81** | **$166,578.61** | **$87,875.80** | **$0.00**<br>**$0.00** | — |

*Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page*
*For more information about the  pricing of Money Market Funds, please see the Disclosures section of the statement*

|  | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | **100.0%** | **$1,465,938.32** | **$2,104,934.75** | **$488,099.64** | **$34,016.53**<br>**$0.00** | **1.62%** |

| TOTAL VALUE (includes accrued interest) | **$2,104,934.75** |
|---|---|

*1 - This information reflects your requested adjustments to the transaction details*
*A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney Account  Another financial institution has provided Morgan Stanley Smith Barney the transaction detail for this position*
*Unrealized Gain/Loss Totals only reflect positions that have cost basis information available  Cash, MMF, Deposits and positions stating 'Please Provide' are not included*

# Holdings

**Morgan Stanley Advisory Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

*The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the period shown above which may not reflect the value that could actually be obtained in the market See "Pricing of Securities" in the Disclosures section at the end of this statement*

*Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates Estimated yield reflects only the income generated by an investment It does not reflect changes in its price, which may fluctuate*

*If you hold structured products, please refer to the Special Considerations Regarding Structured Products section of the Disclosure section*

*Gain/loss information is provided for informational purposes only and should not be used for tax preparation Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting*

*From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year*

## CASH, DEPOSITS AND MONEY MARKET FUNDS

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| **MORGAN STANLEY BANK N.A. #** | **$245,000.00** | $368.00 | — | 0 150 |
| **MORGAN STANLEY PRIVATE BANK NA #** | **118,956.12** | 178 00 | — | 0 150 |

|  | Percentage of Assets % | Market Value | Estimated Annual Income<br>Accrued Interest |
|---|---|---|---|
| CASH, DEPOSITS AND MONEY MARKET FUNDS | **20.2%** | **$363,956.12** | **$546.00**<br>**$0.00** |

*# Bank deposits are at Morgan Stanley Bank, N A and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney*

*Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement*

## STOCKS

### COMMON STOCKS

*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain exchange-traded funds Please refer to "CG IAR Statuses in Investment Advisory Programs" at the end of this statement for a description of these status codes All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|
| **ISHARES IBOXX INVEST GR COR FD (LQD)** | 1,852 000 | $169,522 83 | **$200,830.88** | $31,308.05 | $9,780 41 | 4.86 |

*Share Price $108.440, CG IAR Status AL; Next Dividend Payable 01/04/11*

|  | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| STOCKS | **11.1%** | **$169,522.83** | **$200,830.88** | **$31,308.05** | **$9,780.41**<br>**$0.00** | **4.87%** |

# Holdings

**Morgan Stanley Advisory Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## CORPORATE FIXED INCOME

### CORPORATE BONDS

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| **BANK OF AMERICA SUB NOTE** | 5,000.000 | $4,430.00 | | | $370.00 | 7.38 |
| CUSIP 060505AG9 | | $4,430.00 | **$5,008.20** | $578 20 | $170.61 | |
| *Unit Price $100 164, Coupon Rate 7 400%, Matures 01/15/11, Int Semi-Annually Jan/Jul 15, Yield to Maturity 3 073%, Moody A3 S&P A-, Issued 01/23/01* | | | | | | |
| **ORACLE CORP** | 7,000.000 | 7,357.00 | | | 350.00 | 4.99 |
| CUSIP 68402LAE4 | | 7,008.52 | **7,008.26** | (0 26) | 161.38 | |
| *Unit Price $100 118, Coupon Rate 5 000%, Matures 01/15/11, Int Semi-Annually Jan/Jul 15, Yield to Maturity 1 919%, Moody A2 S&P A, Issued 01/13/06* | | | | | | |
| **HOUSEHOLD FINANCE CO** | 5,000 000 | 4,208 50 | | | 318 75 | 6 11 |
| CUSIP 441812JW5 | | 4,208.50 | **5,212.55** | 1,004 05 | 67.29 | |
| *Unit Price $104.251, Coupon Rate 6 375%, Matures 10/15/11, Int Semi-Annually Apr/Oct 15, Yield to Maturity 951%, Moody A3 S&P A, Issued 10/23/01* | | | | | | |
| **GENERAL ELECTRIC CAPITAL CORP** | 6,000 000 | 5,946 83 | | | 352 50 | 5.58 |
| CUSIP 36962GXS8 | | 5,910.16 | **6,311.58** | 401 42 | 133.16 | |
| *Unit Price· $105.193; Coupon Rate 5 875%, Matures 02/15/12, Int Semi-Annually Feb/Aug 15, Yield to Maturity 1 201%, Moody AA2 S&P AA+, Issued 02/15/02* | | | | | | |
| **COSTCO WHOLESALE CORP** | 6,000 000 | 6,392.98 | | | 318 00 | 5.03 |
| CUSIP 22160KAB1 | | 6,169.36 | **6,312.24** | 142.88 | 93 63 | |
| *Unit Price. $105.204, Coupon Rate 5 300%, Matures 03/15/12, Int Semi-Annually Mar/Sep 15, Yield to Maturity 947%, Moody A2 S&P A+, Issued 02/20/07* | | | | | | |
| **BELLSOUTH CORP** | 7,000.000 | 7,266 23 | | | 332 50 | 4.45 |
| CUSIP 079860AJ1 | | 7,151.85 | **7,466.90** | 315.05 | 42 48 | |
| *Unit Price $106 670, Coupon Rate 4 750%, Matures 11/15/12, Int Semi-Annually May/Nov 15, Yield to Maturity 1 139%, Moody A2 S&P A-, Issued 11/15/04* | | | | | | |
| **HEWLETT-PACKARD CO** | 6,000.000 | 6,189.94 | | | 270.00 | 4.20 |
| CUSIP 428236AQ6 | | 6,112.22 | **6,422.16** | 309 94 | 89.99 | |
| *Unit Price. $107 036, Coupon Rate 4 500%, Matures 03/01/13, Int Semi-Annually Mar/Sep 01, Yield to Maturity 1 200%, Moody A2 S&P A, Issued 03/03/08* | | | | | | |
| **AMERICAN EXPRESS** | 6,000 000 | 5,879.57 | | | 352 50 | 5.40 |
| CUSIP 0258M0CW7 | | 5,857.51 | **6,525.24** | 667.73 | 57 77 | |
| *Unit Price $108 754, Coupon Rate 5 875%, Matures 05/02/13, Int Semi-Annually May/Nov 02, Yield to Maturity 2 018%, Moody A2 S&P BBB+, Issued 06/02/08* | | | | | | |
| **WALT DISNEY COMPANY** | 6,000.000 | 6,136.51 | | | 270.00 | 4 12 |
| CUSIP 254687AW6 | | 6,092.96 | **6,552.78** | 459 82 | 11 99 | |
| *Unit Price $109 213, Coupon Rate 4 500%, Matures 12/15/13, Int Semi-Annually Jun/Dec 15, Yield to Maturity 1 312%, Moody A2 S&P A, Issued 12/22/08* | | | | | | |
| **JP MORGAN CHASE & CO** | 6,000 000 | 5,448 99 | | | 307 50 | 4 81 |
| CUSIP 46625HBV1 | | 5,437.50 | **6,384.42** | 946 92 | 90 54 | |
| *Unit Price $106 407, Coupon Rate 5 125%; Matures 09/15/14, Int Semi-Annually Mar/Sep 15, Yield to Maturity 3 273%, Moody A1 S&P A, Issued 09/15/04* | | | | | | |

CONTINUED

# Holdings

**Morgan Stanley Advisory Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## CORPORATE FIXED INCOME

### CORPORATE BONDS (CONTINUED)

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| **AMGEN INC** | 6,000 000 | 6,220.44 | | | 291.00 | 4.41 |
| CUSIP 031162AJ9 | | 6,161 15 | **6,593.46** | 432.31 | 34.75 | |
| *Unit Price $109 891, Coupon Rate 4 850%, Matures 11/18/14, Int Semi-Annually May/Nov 18, Yield to Maturity 2 178%, Moody A3 S&P A+, Issued 11/18/04* | | | | | | |
| **GOLDMAN SACHS GROUP INC** | 6,000 000 | 5,391 00 | | | 307 50 | 4 77 |
| CUSIP 38141GEA8 | | 5,391 00 | **6,446.28** | 1,055 28 | 141.79 | |
| *Unit Price $107 438, Coupon Rate 5 125%, Matures 01/15/15, Int Semi-Annually Jan/Jul 15, Yield to Maturity 3 149%, Moody A1 S&P A, Issued 01/12/05* | | | | | | |
| **CREDIT SUISSE FB USA INC** | 6,000 000 | 5,600 40 | | | 307 50 | 4 69 |
| CUSIP 22541LBK8 | | 5,600 40 | **6,553.38** | 952.98 | 116.16 | |
| *Unit Price. $109 223, Coupon Rate 5 125%, Matures 08/15/15, Int Semi-Annually Feb/Aug 15, Yield to Maturity 2 974%, Moody AA1 S&P A+, Issued 08/17/05* | | | | | | |
| **VERIZON GLOBAL FDG CORP** | 6,000 000 | 6,074.34 | | | 294.00 | 4.46 |
| CUSIP 92344GAW6 | | 6,059.80 | **6,588.96** | 529.16 | 86 56 | |
| *Unit Price $109 816, Coupon Rate 4 900%, Matures 09/15/15, Int Semi-Annually Mar/Sep 15, Yield to Maturity 2 666%, Moody A3 S&P A-, Issued 09/13/05* | | | | | | |
| **WELLS FARGO COMPANY** | 6,000.000 | 5,125.38 | | | 307.50 | 4.80 |
| CUSIP 949746JE2 | | 5,121 19 | **6,401.64** | 1,280.45 | 90 54 | |
| *Unit Price $106 694, Coupon Rate 5 125%, Matures 09/15/16, Int Semi-Annually Mar/Sep 15, Yield to Maturity 3 807%, Moody A2 S&P A+, Issued 09/15/04* | | | | | | |
| **E.I. DU PONT DE NEMOURS** | 4,000 000 | 4,127 56 | | | 210.00 | 4 69 |
| CUSIP 263534BQ1 | | 4,105.70 | **4,474.04** | 368 34 | 9.33 | |
| *Unit Price $111 851, Coupon Rate 5 250%, Matures 12/15/16, Int Semi-Annually Jun/Dec 15, Yield to Maturity 3 058%, Moody A2 S&P A, Issued 12/15/06* | | | | | | |
| **PEPSICO INC** | 5,000 000 | 6,148 55 | | | 395.00 | 6 14 |
| CUSIP 713448BJ6 | | 5,982 94 | **6,433.05** | 450.11 | 65 83 | |
| *Unit Price $128 661, Coupon Rate 7 900%, Matures 11/01/18, Int Semi-Annually May/Nov 01, Yield to Maturity 3 658%, Moody AA3 S&P A-, Issued 10/24/08* | | | | | | |

| | Percentage of Assets % | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| CORPORATE FIXED INCOME | | **$97,944.22** | | | **$5,354.25** | **5.02%** |
| | | **$96,800.76** | **$106,695.14** | **$9,894.38** | **$1,463.80** | |
| TOTAL CORPORATE FIXED INCOME (incl accr.int.) | **6.0%** | | **$108,158.94** | | | |

# Holdings

**Morgan Stanley Advisory Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## GOVERNMENT SECURITIES

### TREASURY SECURITIES

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| **UNITED STATES TREASURY** | 14,000 000 | $17,930 42 | | | $615 76 | 3.49 |
| **NOTE-INFLATION INDEXED** | | $18,166 25 | **$17,611.32** | $(554.94) | $282.77 | |
| CUSIP 9128276R8 | | | | | | |
| *Unit Price $100 102, Coupon Rate 3 500%, Matures 01/15/11, Int Semi-Annually Jan/Jul 15, Yield to Maturity 917%, Factor 1 25667000, Moody AAA S&P AAA, Issued 01/15/01, Amortized Quantity 17,593* | | | | | | |
| **UNITED STATES TREASURY** | 54,000 000 | 60,219 99 | | | 1,413 21 | 2.35 |
| **NOTE-INFLATION INDEXED** | | 61,004 69 | **60,033.85** | (970 86) | 298 94 | |
| CUSIP 912828FB1 | | | | | | |
| *Unit Price $100 891, Coupon Rate 2 375%, Matures 04/15/11, Int Semi-Annually Apr/Oct 15, Factor 1 10192000, Moody AAA S&P AAA, Issued 04/15/06, Amortized Quantity 59,503* | | | | | | |
| **UNITED STATES TREASURY** | 44,000.000 | 54,820 26 | | | 1,605.71 | 2.82 |
| **NOTE-INFLATION INDEXED** | | 55,529 14 | **56,852.44** | 1,323.29 | 737 39 | |
| CUSIP 912828AF7 | | | | | | |
| *Unit Price. $106 219, Coupon Rate 3 000%, Matures 07/15/12, Int Semi-Annually Jan/Jul 15, Factor 1 21645000, Moody AAA S&P AAA, Issued 07/15/02, Amortized Quantity 53,523* | | | | | | |
| **UNITED STATES TREASURY** | 46,000 000 | 53,748.54 | | | 1,089.00 | 1.86 |
| **NOTE-INFLATION INDEXED** | | 54,453 50 | **58,457.19** | 4,003 69 | 500.11 | |
| CUSIP 912828BW9 | | | | | | |
| *Unit Price· $107 359, Coupon Rate 2 000%, Matures 01/15/14, Int Semi-Annually Jan/Jul 15, Factor 1 18370000, Moody AAA S&P AAA, Issued 01/15/04, Amortized Quantity 54,450* | | | | | | |
| **UNITED STATES TREASURY NOTE** | 14,000 000 | 15,051 49 | | | 560.00 | 3 65 |
| CUSIP 912828DM9 | | 14,818 21 | **15,337.70** | 519 49 | 210.00 | |
| *Unit Price. $109 555, Coupon Rate 4 000%, Matures 02/15/15, Int. Semi-Annually Feb/Aug 15, Yield to Maturity 1.596%, Moody AAA S&P AAA, Issued 02/15/05* | | | | | | |
| **US TREASURY BOND FED STRIP I NTEREST** | 13,000 000 | 11,386.03 | | | — | — |
| **PAYMENT** | | 11,830 91 | **12,121.98** | 291 07 | — | |
| CUSIP 912833DH0 | | | | | | |
| *Unit Price: $93 246, Zero Coupon, Matures 02/15/15, S&P AAA, Issued 02/15/85* | | | | | | |
| **UNITED STATES TREASURY NOTE** | 6,000 000 | 6,751.45 | | | 270 00 | 4.01 |
| CUSIP 912828EW6 | | 6,573 97 | **6,718.62** | 144 65 | 101.25 | |
| *Unit Price $111 977, Coupon Rate 4 500%, Matures 02/15/16, Int Semi-Annually Feb/Aug 15, Yield to Maturity 2 026%, Moody AAA S&P AAA, Issued 02/15/06* | | | | | | |
| **UNITED STATES TREASURY NOTE** | 4,000.000 | 4,469 15 | | | 180.00 | 4.02 |
| CUSIP 912828GS3 | | 4,379 87 | **4,475.64** | 95 77 | 22 87 | |
| *Unit Price $111 891, Coupon Rate 4 500%, Matures 05/15/17, Int Semi-Annually May/Nov 15, Yield to Maturity 2 471%, Moody AAA S&P AAA, Issued 05/15/07* | | | | | | |
| **UNITED STATES TREASURY NOTE** | 3,000 000 | 2,909 77 | | | 93 75 | 3.09 |
| CUSIP 912828KQ2 | | 2,909.77 | **3,031.65** | 121.88 | 11 91 | |
| *Unit Price $101 055, Coupon Rate 3 125%, Matures 05/15/19, Int Semi-Annually May/Nov 15, Yield to Maturity 2 981%, Moody AAA S&P AAA, Issued 05/15/09* | | | | | | |

CONTINUED

# Holdings

**Morgan Stanley Advisory Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## GOVERNMENT SECURITIES

### TREASURY SECURITIES (CONTINUED)

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| **U S TREASURY BOND FED STRIP INTEREST PAYMENT**<br>CUSIP 912833KY5 | 17,000.000 | 11,478 25<br>12,201 98 | **12,483.61** | 281.63 | —<br>— | — |
| *Unit Price· $73 433, Zero Coupon, Matures 02/15/20, S&P AAA* | | | | | | |
| **UNITED STATES TREASURY BOND**<br>CUSIP 912810EH7 | 10,000 000 | 13,976.57<br>13,520 09 | **13,950.00** | 429.91 | 787.50<br>295 31 | 5 64 |
| *Unit Price $139 500; Coupon Rate 7 875%; Matures 02/15/21, Int Semi-Annually Feb/Aug 15, Yield to Maturity 3 261%, Moody AAA S&P AAA, Issued 02/15/91* | | | | | | |
| **TREASURY SECURITIES** | | **$252,741.92**<br>**$255,388.38** | **$261,074.00** | **$5,685.58** | **$6,614.93**<br>**$2,460.55** | **2.53%** |

### FEDERAL AGENCIES

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| **FED NATL MTG ASSN**<br>CUSIP 31398AVQ2 | 9,000.000 | $9,032 66<br>$9,004 64 | **$9,030.96** | $26 32 | $157 50<br>$42.87 | 1 74 |
| *Unit Price $100 344, Coupon Rate 1 750%, Matures 03/23/11, Int Semi-Annually Mar/Sep 23, Moody AAA S&P AAA, Issued 02/27/09* | | | | | | |
| **FED HOME LN MTG CORP**<br>CUSIP 3134A4QD9 | 6,000.000 | 6,593 38<br>6,286 79 | **6,414.54** | 127 75 | 307 50<br>141.79 | 4.79 |
| *Unit Price $106 909, Coupon Rate 5 125%, Matures 07/15/12, Int Semi-Annually Jan/Jul 15, Yield to Maturity 607%, Moody AAA S&P AAA, Issued 07/16/02* | | | | | | |
| **FED NATL MTG ASSN**<br>CUSIP 31359MNU3 | 11,000 000 | 11,692.84<br>11,354.37 | **11,751.30** | 396 93 | 577.50<br>240.62 | 4.91 |
| *Unit Price $106 830, Coupon Rate 5 250%, Matures 08/01/12; Int Semi-Annually Feb/Aug 01, Yield to Maturity 896%, Moody AA2 S&P A, Issued 07/26/02* | | | | | | |
| **FED HOME LN MTG CORP**<br>CUSIP 3137EACE7 | 7,000 000 | 7,100.85<br>7,058 14 | **7,179.20** | 121.06 | 148.75<br>41 31 | 2.07 |
| *Unit Price $102 560; Coupon Rate 2 125%, Matures 09/21/12, Int Semi-Annually Mar/Sep 21, Yield to Maturity 628%, Moody AAA S&P AAA, Issued 08/06/09* | | | | | | |
| **FED NATL MTG ASSN**<br>CUSIP 31398AYY2 | 7,000 000 | 7,134 77<br>7,101 47 | **7,373.03** | 271.56 | 210 00<br>61 25 | 2 84 |
| *Unit Price. $105 329, Coupon Rate 3.000%, Matures 09/16/14, Int Semi-Annually Mar/Sep 16, Yield to Maturity 1 516%, Moody AAA S&P AAA, Issued 08/14/09* | | | | | | |

CONTINUED

# Holdings

**Morgan Stanley Advisory Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## GOVERNMENT SECURITIES

### FEDERAL AGENCIES (CONTINUED)

| Security Description | Face Value | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| **FED NATL MTG ASSN** | 11,000 000 | 12,054 39 | | | 508 75 | 4 15 |
| CUSIP 31359MWJ8 | | 11,745 78 | **12,234.53** | 488.75 | 107 40 | |
| *Unit Price $111 223, Coupon Rate 4 625%, Matures 10/15/14, Int Semi-Annually Apr/Oct 15, Yield to Maturity 1 562%, Moody AAA S&P AAA, Issued 09/17/04* | | | | | | |
| **FEDERAL NATIONAL MTG ASSN POOL** | 36,000 000 | 24,615 79 | | | 867.68 | 4.73 |
| **745275** | | 17,851 57 | **18,321.61** | 470.04 | 72 30 | |
| CUSIP 31403C6L0 | | | | | | |
| *Unit Price $105 578, Coupon Rate 5 000%, Matures 02/01/36, Interest Paid Monthly Jan 01, Yield to Maturity 4 622%, Factor 48204523, Issued 01/01/06, Amortized Quantity 17,353* | | | | | | |
| **FEDERAL NATIONAL MTG ASSN POOL** | 100,000 000 | 75,102 91 | | | 2,508 04 | 5 51 |
| **889579** | | 43,482 66 | **45,486.32** | 2,003.66 | 209.00 | |
| CUSIP 31410KJY1 | | | | | | |
| *Unit Price $108 817, Coupon Rate 6 000%, Matures 05/01/38, Interest Paid Monthly May 01, Yield to Maturity 5 380%, Factor 41800757, Issued 05/01/08, Amortized Quantity 41,800* | | | | | | |
| **FEDERAL NATIONAL MTG ASSN POOL** | 22,000.000 | 11,144 58 | | | 411.51 | 5.51 |
| **930071** | | 7,248 23 | **7,461.19** | 212 96 | 34 29 | |
| CUSIP 31412NJQ0 | | | | | | |
| *Unit Price. $108 785, Coupon Rate 6 000%, Matures 10/01/38, Interest Paid Monthly Oct 01, Yield to Maturity 5 386%, Factor 31175727, Issued 10/01/08, Amortized Quantity 6,858* | | | | | | |
| **FEDERAL NATIONAL MTG ASSN POOL** | 36,000 000 | 27,714 52 | | | 963 49 | 5.13 |
| **889982** | | 18,160 88 | **18,756.71** | 595.81 | 80.29 | |
| CUSIP 31410KXK5 | | | | | | |
| *Unit Price $107 071, Coupon Rate 5 500%, Matures 11/01/38, Interest Paid Monthly Oct 01, Yield to Maturity 5 025%, Factor 48661162, Issued 10/01/08, Amortized Quantity 17,518* | | | | | | |
| **FEDERAL AGENCIES** | | **$192,186.69** | | | **$6,660.72** | **4.62%** |
| | | **$139,294.53** | **$144,009.39** | **$4,714.84** | **$1,031.12** | |

| | Percentage of Assets % | Orig. Total Cost<br>Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>*Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| GOVERNMENT SECURITIES | | **$444,928.61** | | | **$13,275.65** | **3.28%** |
| | | **$394,682.91** | **$405,083.39** | **$10,400.42** | **$3,491.67** | |
| TOTAL GOVERNMENT SECURITIES (incl accr.int.) | **22.6%** | | **$408,575.06** | | | |

# Holdings

**Morgan Stanley Advisory Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS

*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain mutual funds Please refer to "CG IAR Statuses in Investment Advisory Programs" at the end of this statement for a description of these status codes All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | | Quantity | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|
| **GOLDMAN SACHS GOVT INC A (GSGOX)** | **Purchases** | 12,695 236 | $190,540 41 | **$190,301.59** | $(238.82) | | |
| Reinvestments | | 220.513 | 3,361.74 | 3,305 49 | (56 25) | | |
| | **Total** | 12,915 749 | 193,902 15 | **193,607.08** | (295.07) | 2,772 00 | 1 43 |
| Market Value vs Total Purchases + | | | 190,540 41 | 193,607.08 | | | |
| Net Value Increase/(Decrease) | | | | 3,066 67 | | | |
| *Share Price $14 990, Dividend Cash, Capital Gains Cash* | | | | | | | |
| **LORD ABBETT SHT DURATION INC A (LALDX)** | **Purchases** | 21,881 838 | 100,000 00 | **100,656.45** | 656 45 | | |
| Reinvestments | | 555 757 | 2,574.91 | 2,556 48 | (18.43) | | |
| | **Total** | 22,437 595 | 102,574.91 | **103,212.94** | 638 02 | 4,452.00 | 4 31 |
| Market Value vs Total Purchases + | | | 100,000 00 | 103,212 94 | | | |
| Net Value Increase/(Decrease) | | | | 3,212 94 | | | |
| *Share Price $4 600, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | |
| **PIMCO TOTAL RETURN A (PTTAX)** | **Purchases** | 9,132.420 | 100,000.00 | **99,086.76** | (913 24) | | |
| Reinvestments | | 661.284 | 7,249 46 | 7,174 93 | (74 53) | | |
| | **Total** | 9,793.704 | 107,249 46 | **106,261.69** | (987.77) | 3,420.00 | 3.21 |
| Market Value vs Total Purchases + | | | 100,000.00 | 106,261.69 | | | |
| Net Value Increase/(Decrease) | | | | 6,261 69 | | | |
| *Share Price $10 850, CG IAR Status FL, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | |
| **PIONEER GLOBAL HIGH YIELD A (PGHYX)** | **Purchases** | 11,699.951 | 72,422 70 | **123,434.48** | 51,011.78 | | |
| Reinvestments | | 1,541.712 | 12,338 94 | 16,265 06 | 3,926 12 | | |
| | **Total** | 13,241 663 | 84,761 64 | **139,699.54** | 54,937.90 | 10,164 00 | 7.27 |
| Market Value vs Total Purchases + | | | 72,422.70 | 139,699 54 | | | |
| Net Value Increase/(Decrease) | | | | 67,276 84 | | | |
| *Share Price $10 550, Dividend Cash, Capital Gains Cash* | | | | | | | |
| **TEMPLETON GLOBAL BD FD A (TPINX)** | **Purchases** | 12,869 721 | 137,655 94 | **174,899.50** | 37,243 56 | | |
| Reinvestments | | 412 751 | 4,938 07 | 5,609 29 | 671.22 | | |
| | **Total** | 13,282 472 | 142,594.01 | **180,508.79** | 37,914.78 | 7,968 00 | 4 41 |
| Market Value vs Total Purchases + | | | 137,655 94 | 180,508.79 | | | |
| Net Value Increase/(Decrease) | | | | 42,852.85 | | | |
| *Share Price $13 590, CG IAR Status FL, Dividend Cash, Capital Gains Cash* | | | | | | | |

# Holdings

**Morgan Stanley Advisory Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| MUTUAL FUNDS | 40.1% | $631,082.17 | $723,290.04 | $92,207.86 | $28,776.00<br>$0.00 | 3.98% |

*Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page*

*For more information about the pricing of Money Market Funds, please see the Disclosures section of the statement*

*+ Net Value Increase/(Decrease) compares your Total Purchases (excluding Dividend Reinvestments) with the Market Value of all shares you hold of the fund This calculation is for informational purposes only, does not reflect your total unrealized gain or loss and should not be used for tax purposes*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income<br>Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | 100.0% | $1,292,088.67 | $1,799,855.57 | $143,810.71 | $57,732.31<br>$4,955.47 | 3.20% |
| TOTAL VALUE (includes accrued interest) | | | $1,804,811.04 | | | |