Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

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

OMB No 1545-0052

**2010**

**For calendar year 2010, or tax year beginning , 2010, and ending , 20**

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

Name of foundation
VAN NICE FOUNDATION
C/O JEANETTE HUNT VAN NICE

**A Employer identification number**
31-1604783

Number and street (or P O box number if mail is not delivered to street address) Room/suite
1209 N ASTOR STREET

**B** Telephone number (see page 10 of the instructions)
(312) 266-1120

City or town, state, and ZIP code
CHICAGO, IL 60610

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

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

**I** Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶ $ 1,957,511.

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

| | **Part I** **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions) )* | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| **Revenue** | 1 Contributions, gifts, grants, etc , received (attach schedule) | 0. | | | |
| | 2 Check ▶ ☒ if the foundation is **not** required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 4,743. | 4,743. | 4,743. | ATCH 1 |
| | 4 Dividends and interest from securities | 44,027. | 44,027. | 44,027. | ATCH 2 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | -18,787. | | | |
| | b Gross sales price for all assets on line 6a 404,829. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | -2,535. | | | ATCH 3 |
| | 12 **Total** Add lines 1 through 11 | 27,448. | 48,770. | 48,770. | |
| **Operating and Administrative Expenses** | 13 Compensation of officers, directors, trustees, etc | 0. | | | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) ATCH 4 | 4,500. | 0. | 0. | 4,500. |
| | c Other professional fees (attach schedule) * | 22,149. | 22,149. | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see page 14 of the instructions) | | | | |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) ATCH 6 | 510. | | | 510. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 27,159. | 22,149. | 0. | 5,010. |
| | 25 Contributions, gifts, grants paid | 91,500. | | | 91,500. |
| | 26 **Total expenses and disbursements** Add lines 24 and 25 | 118,659. | 22,149. | 0. | 96,510. |
| | 27 Subtract line 26 from line 12 | | | | |
| | a **Excess of revenue over expenses and disbursements** | -91,211. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 26,621. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | 48,770. | |

**For Paperwork Reduction Act Notice, see page 30 of the instructions.** *ATCH 5 JSA Form **990-PF** (2010)

## Part II Balance Sheets

| | | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions ) | Beginning of year | 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 | 48,322. | 43,007. | 43,007. |
| | 3 | Accounts receivable ▶<br>Less allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶<br>Less allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶<br>Less allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10 a | Investments - U S and state government obligations (attach schedule) | 63,763. | 65,613. | 66,557. |
| | b | Investments - corporate stock (attach schedule) | 1,585,851. | 1,495,100. | 1,482,537. |
| | c | Investments - corporate bonds (attach schedule) | 354,020. | 355,650. | 363,343. |
| | 11 | Investments - land, buildings, and equipment basis ▶<br>Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other (attach schedule) | | | |
| | 14 | Land, buildings, and equipment basis ▶<br>Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 | Other assets (describe ▶ ATCH 7 ) | 0. | 2,067. | 2,067. |
| | 16 | **Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I) | 2,051,956. | 1,961,437. | 1,957,511. |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | | 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 | 2,205,181. | 1,961,437. | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | -153,225. | | |
| | 30 | **Total net assets or fund balances** (see page 17 of the instructions) | 2,051,956. | 1,961,437. | |
| | 31 | **Total liabilities and net assets/fund balances** (see page 17 of the instructions) | 2,051,956. | 1,961,437. | |

## 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 | 2,051,956. |
| 2 | Enter amount from Part I, line 27a | 2 | -91,211. |
| 3 | Other increases not included in line 2 (itemize) ▶ ATTACHMENT 8 | 3 | 692. |
| 4 | Add lines 1, 2, and 3 | 4 | 1,961,437. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 1,961,437. |

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

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

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

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

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

| | | |
|---|---|---|
| 2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } | 2 | -18,787. |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8 | 3 | |

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

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

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

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

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2009 | 137,202. | 1,698,984. | 0.080755 |
| 2008 | 119,206. | 2,093,989. | 0.056928 |
| 2007 | 130,970. | 2,510,535. | 0.052168 |
| 2006 | 136,972. | 2,423,560. | 0.056517 |
| 2005 | 119,150. | 2,479,429. | 0.048055 |

| | | |
|---|---|---|
| 2 **Total** of line 1, column (d) | 2 | 0.294423 |
| 3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.058885 |
| 4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5 | 4 | 1,821,470. |
| 5 Multiply line 4 by line 3 | 5 | 107,257. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 266. |
| 7 Add lines 5 and 6 | 7 | 107,523. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 96,510. |

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

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

| | | | | | |
|---|---|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1<br>Date of ruling or determination letter _____________ (attach copy of ruling letter if necessary - see instructions) | | | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b | | | 1 | 532. |
| c | All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | | 2 | |
| 3 | Add lines 1 and 2 | | | 3 | 532. |
| 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 | 532. |
| 6 | Credits/Payments | | | | |
| a | 2010 estimated tax payments and 2009 overpayment credited to 2010 | 6a | 445. | | |
| b | Exempt foreign organizations-tax withheld at source | 6b | 0. | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | 0. | | |
| d | Backup withholding erroneously withheld | 6d | | | |
| 7 | Total credits and payments Add lines 6a through 6d | | | 7 | 445. |
| 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 | 87. |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | | 10 | |
| 11 | Enter the amount of line 10 to be **Credited to 2011 estimated tax** ▶ 0. **Refunded** ▶ | | | 11 | |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? | 1b | | X |
| | *If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>**(1)** On the foundation ▶ $ ______________ **(2)** On foundation managers ▶ $ ______________ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ______________ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>*If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*If "Yes," attach the statement required by General Instruction T* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<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? *If "Yes," complete Part II, col (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ IL, | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2010 or the taxable year beginning in 2010 (see instructions for Part XIV on page 27)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses* | 10 | | X |

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

| | | | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions) | 11 | | X |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008? | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ JEANETTE HUNT VAN NICE Telephone no ▶ 312-266-1120

Located at ▶ 1209 N. ASTOR STREET, CHICAGO, IL ZIP + 4 ▶ 60610

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

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

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2010, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | X |
| | See page 20 of the instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes," enter the name of the foreign country ▶ | | | |

## Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

**File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.**

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the year did the foundation (either directly or indirectly) | | | |
| | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No | | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No | | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No | | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No | | | |
| | (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No | | | |
| | (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ) ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 22 of the instructions)? | 1b | | |
| | 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<br>If "Yes," list the years ▶ ____, ____, ____, ____ | | | |
| b | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see page 22 of the instructions ) | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here<br>▶ ____, ____, ____, ____ | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2010 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010 )* | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2010? | 4b | | X |

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

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

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

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

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

(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see page 22 of the instructions) ☐ Yes ☒ No

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

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? 5b

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

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

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

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

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

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

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

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

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

**1 List all officers, directors, trustees, foundation managers and their compensation (see page 22 of the instructions).**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| ATTACHMENT 9 | | 0. | 0. | 0. |
| | | | | |
| | | | | |
| | | | | |

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

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

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

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

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

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

## Part IX-A Summary of Direct Charitable Activities

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

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

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

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes | | |
| a | Average monthly fair market value of securities | 1a | 1,810,211. |
| b | Average of monthly cash balances | 1b | 38,997. |
| c | Fair market value of all other assets (see page 25 of the instructions) | 1c | 0. |
| d | **Total** (add lines 1a, b, and c) | 1d | 1,849,208. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0. |
| 3 | Subtract line 2 from line 1d | 3 | 1,849,208. |
| 4 | Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions) | 4 | 27,738. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 1,821,470. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 91,074. |

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

| | | | | | |
|---|---|---|---|---|---|
| 1 | Minimum investment return from Part X, line 6 | | | 1 | 91,074. |
| 2a | Tax on investment income for 2010 from Part VI, line 5 | 2a | 532. | | |
| b | Income tax for 2010 (This does not include the tax from Part VI ) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 532. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 90,542. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 90,542. |
| 6 | Deduction from distributable amount (see page 25 of the instructions) | | | 6 | |
| 7 | **Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1 | | | 7 | 90,542. |

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

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc, purposes | | |
| a | Expenses, contributions, gifts, etc - total from Part I, column (d), line 26 | 1a | 96,510. |
| 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 | 0. |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | 0. |
| b | Cash distribution test (attach the required schedule) | 3b | 0. |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 96,510. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see page 26 of the instructions) | 5 | N/A |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 96,510. |

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

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

| | (a)<br>Corpus | (b)<br>Years prior to 2009 | (c)<br>2009 | (d)<br>2010 |
|---|---|---|---|---|
| **1** Distributable amount for 2010 from Part XI, line 7 | | | | 90,542. |
| **2** Undistributed income, if any, as of the end of 2010 | | | | |
| a Enter amount for 2009 only | | | | |
| b Total for prior years 20 08 ,20 07 ,20 06 | | | | |
| **3** Excess distributions carryover, if any, to 2010 | | | | |
| a From 2005 | | | | |
| b From 2006 ...... 20,200. | | | | |
| c From 2007 ...... 15,620. | | | | |
| d From 2008 ...... 16,003. | | | | |
| e From 2009 ...... 52,859. | | | | |
| f **Total** of lines 3a through e | 104,682. | | | |
| **4** Qualifying distributions for 2010 from Part XII, line 4 ▶ $ 96,510. | | | | |
| a Applied to 2009, but not more than line 2a | | | | |
| b Applied to undistributed income of prior years (Election required - see page 26 of the instructions) | | | | |
| c Treated as distributions out of corpus (Election required - see page 26 of the instructions) | | | | |
| d Applied to 2010 distributable amount | | | | 90,542. |
| e Remaining amount distributed out of corpus | 5,968. | | | |
| **5** Excess distributions carryover applied to 2010 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | | | | |
| **6** **Enter the net total of each column as indicated below:** | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 110,650. | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | | | |
| 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 | | | | |
| d Subtract line 6c from line 6b Taxable amount - see page 27 of the instructions | | | | |
| e Undistributed income for 2009 Subtract line 4a from line 2a Taxable amount - see page 27 of the instructions | | | | |
| f Undistributed income for 2010 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011 | | | | |
| **7** Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions) | | | | |
| **8** Excess distributions carryover from 2005 not applied on line 5 or line 7 (see page 27 of the instructions) | | | | |
| **9** **Excess distributions carryover to 2011.** Subtract lines 7 and 8 from line 6a | 110,650. | | | |
| **10** Analysis of line 9 | | | | |
| a Excess from 2006 ... 20,200. | | | | |
| b Excess from 2007 ... 15,620. | | | | |
| c Excess from 2008 ... 16,003. | | | | |
| d Excess from 2009 ... 52,859. | | | | |
| e Excess from 2010 ... 5,968. | | | | |

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

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

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

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | (a) 2010 | (b) 2009 | (c) 2008 | (d) 2007 | (e) Total |
| 2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed . . . . . . . | | | | | |
| b 85% of line 2a . . . . . | | | | | |
| c Qualifying distributions from Part XII, line 4 for each year listed . | | | | | |
| d Amounts included in line 2c not used directly for active conduct of exempt activities . . . . . | | | | | |
| e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c . . . . . . | | | | | |
| 3 Complete 3a, b, or c for the alternative test relied upon | | | | | |
| a "Assets" alternative test - enter | | | | | |
| (1) Value of all assets . . . | | | | | |
| (2) Value of assets qualifying under section 4942(j)(3)(B)(i). . . . . | | | | | |
| b "Endowment" alternative test- enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed . . | | | | | |
| c "Support" alternative test - enter | | | | | |
| (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) . . . . . . | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942 (j)(3)(B)(iii) . . . . . . | | | | | |
| (3) Largest amount of support from an exempt organization . . . . . | | | | | |
| (4) Gross investment income . | | | | | |

**Part XV Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year - see page 28 of the instructions.)**

**1 Information Regarding Foundation Managers:**

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

N/A

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

N/A

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

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

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

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*<br>SEE ATTACHED SCHEDULE | NONE | | VARIOUS | 91,500. |
| **Total** . . . . . . . . . . ▶ 3a | | | | 91,500. |
| b *Approved for future payment* | | | | |
| **Total** . . . . . . . . . . ▶ 3b | | | | |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See page 28 of the instructions ) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 4,743. | |
| 4 Dividends and interest from securities | | | 14 | 44,027. | |
| 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 | | | 01 | -2,535. | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | -18,787. | |
| 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) | | | | 27,448. | |

13 Total. Add line 12, columns (b), (d), and (e) . . . . . . . . . . 13 27,448.

(See worksheet in line 13 instructions on page 29 to verify calculations )

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

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See page 29 of the instructions ) |
|---|---|

## 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 | | N/A |
| | | | |
| | | | |
| | | | |
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| | | | |

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

b If "Yes," complete the following schedule

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

**Sign Here**

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

▶ Jeanette H. Van Mue 5/16/11 ▶ 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 |
|---|---|---|---|---|
| PHILLIP C. RAVID | | MAY 12 2011 | | P00582792 |

Firm's name ▶ RAVID & BERNSTEIN LLP Firm's EIN ▶ 36-3207723

Firm's address ▶ 230 W. MONROE STREET SUITE 330
CHICAGO, IL 60606 Phone no 312-782-4710

Van Nice Foundation
31-1604783
12/31/2010

## Schedule Attached to Form 990-PF
## Part XV

| Date | Recipient | City | State | | Amount |
|---|---|---|---|---|---|
| 2/17/2010 | Chicago Botanic Garden Memory of Eisenberg $500 Carr III $500 | Glencoe | IL | $ | 1,000 00 |
| 2/17/2010 | Lyric Opera of Chicago In Memory of Elaine Harvey | Chicago | IL | $ | 1,000 00 |
| 2/17/2010 | The Art Inst of Chicago "Woman's Board Matisse Gala | Chicago | IL | $ | 5,000 00 |
| 3/16/2010 | Chicago Symphony Orchestra "2010-2011 Annual Fund" | Chicago | IL | $ | 7,500 00 |
| 3/16/2010 | Lyric Opera of Chicago "2010-2011 Annual Fund" | Chicago | IL | $ | 8,000 00 |
| 3/16/2010 | The Field Museum | Chicago | IL | $ | 1,000 00 |
| 3/25/2010 | Newberry Library "Award Dinner" | Chicago | IL | $ | 1,000 00 |
| 3/25/2010 | The Guild of CHS "2009 Annual Appeal" | Chicago | IL | $ | 500 00 |
| 4/8/2010 | American Museum of Natural History | New York | NY | $ | 500 00 |
| 4/28/2010 | Queen's University "CQEMBA 2010 Class Gift" | Kingston | ON | $ | 1,000 00 |
| 5/5/2010 | The Guild Board of Boys and Girls Clubs of Chicago | Chicago | IL | $ | 1,000 00 |
| 6/29/2010 | High Jump | Chicago | IL | $ | 1,000 00 |
| 7/28/2010 | Chicago Botanic Garden "Wonderland Express" | Glencoe | IL | $ | 5,000 00 |
| 7/28/2010 | The Ethel Walker School "Annual Fund" | Simsbury | CT | $ | 1,000 00 |
| 7/28/2010 | Evergreen Invitational at the request of Laura Davis | Chicago | IL | $ | 1,000 00 |
| 7/28/2010 | Clearwater Camp Foundation "Voyageur Campaign" | Mequon | WI | $ | 500 00 |
| 8/27/2010 | RIC Women's Board "Medicine Ball 50th Anniversary" | Chicago | IL | $ | 1,000 00 |
| 8/27/2010 | Fernwood Botanical Garden and Nature Preserve | Niles | MI | $ | 1,000 00 |
| 8/27/2010 | 626 Landmark Foundation | Chicago | IL | $ | 1,000 00 |
| 9/9/2010 | Chicago Botanic Garden "Annual Fund" | Glencoe | IL | $ | 3,000 00 |
| 9/9/2010 | The Art Inst of Chicago "Woman's Board" | Chicago | IL | $ | 1,000 00 |
| 9/9/2010 | Chikaming Open Lands "Endowment Fund" | Lakeside | MI | $ | 4,000 00 |
| 9/9/2010 | Chikaming Open Lands "Annual Fund " | Lakeside | MI | $ | 1,000 00 |
| 10/21/2010 | The Art Institute of Chicago "In Memory of Quinn Delaney" | Chicago | IL | $ | 1,000 00 |
| 10/21/2010 | The Art Institute of Chicago "The Woman's Board Education Committee" | Chicago | IL | $ | 1,000 00 |
| 10/21/2010 | The Latin School of Chicago "50th Reunion" | Chicago | IL | $ | 2,000 00 |
| 10/21/2010 | The Latin School of Chicago "Annual Fund" | Chicago | IL | $ | 5,000 00 |
| 10/21/2010 | Academy for Urban School Leadership "Howe Field" | Chicago | IL | $ | 5,000 00 |
| 10/21/2010 | The Solti Foundation U S | Evanston | IL | $ | 1,000 00 |
| 11/15/2010 | Boy and Girls Clubs of Chicago "Chicago Guild Board" | Chicago | IL | $ | 500 00 |
| 11/17/2010 | The Art Inst of Chicago "Sustaining Fellows" | Chicago | IL | $ | 3,000 00 |
| 11/19/2010 | Chikaming Open Lands "Endowment Fund" | Lakeside | MI | $ | 2,000 00 |
| 11/19/2010 | Choate Rosemary Hall "Van Nice Annual Fund Endowment" | Wallingord | CT | $ | 5,000 00 |
| 11/19/2010 | St Chrysostom's Church for "Capital Fund" | Chicago | IL | $ | 1,500 00 |
| 11/19/2010 | Graduate School of Business University of Chicago "Annual Fund" | Chicago | IL | $ | 4,500 00 |
| 11/24/2010 | Dickinson College "General Endowment Fund" | Carlisle | PA | $ | 1,000 00 |
| 11/24/2010 | Lewis & Clark College "General Endowment Fund" | Portland | OR | $ | 1,000 00 |
| 11/24/2010 | Tuality Healthcare Foundation Salud' | Hillsboro | OR | $ | 1,000 00 |
| 11/24/2010 | International Flamingo Foundation | Aspen | CO | $ | 1,000 00 |
| 11/24/2010 | Cornell University "Johnson School Annual Fund" | Pittsburgh | PA | $ | 1,000 00 |
| 11/24/2010 | Choate Rosemary Hall "Van Nice Annual Fund Endowment" | Wallingord | CT | $ | 2,000 00 |
| 12/2/2010 | Clearwater Camp Foundation "In Memory of Harriet DeHaven Cuddihy" | Minocqua | WI | $ | 1,000 00 |
| 12/9/2010 | The Latin School of Chicago "Annual Fund" | Chicago | Il | $ | 2,500 00 |
| 12/9/2010 | Berkshire School "Van Nice Endowment Fund" | Sheffield | MA | $ | 1,000 00 |
| 12/9/2010 | St Chrysostom's Church for "Capital Fund" | Chicago | IL | $ | 500 00 |
| | Total | | | $ | 91,500 00 |

# FORM 990-PF - PART IV
# CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

| Kind of Property | | Description | | | | P or D | Date acquired | Date sold |
|---|---|---|---|---|---|---|---|---|
| Gross sale price less expenses of sale | Depreciation allowed/ allowable | Cost or other basis | FMV as of 12/31/69 | Adj basis as of 12/31/69 | Excess of FMV over adj basis | | Gain or (loss) | |
| | | TOTAL CAPITAL GAIN DISTRIBUTIONS | | | | | 3,154. | |
| | | ST GAIN - SEE ATTACHMENT | | | | | VAR | VAR |
| 133,592. | | 129,489. | | | | | 4,103. | |
| | | LT GAIN - SEE ATTACHMENT | | | | | VAR | VAR |
| 251,339. | | 277,383. | | | | | -26,044. | |
| | | FHLMCPL | | | | | | |
| 2,913. | | 2,913. | | | | | | |
| | | FNMA | | | | | | |
| 13,831. | | 13,831. | | | | | | |
| TOTAL GAIN(LOSS) ...... | | ....................................... | | | | | -18,787. | |

ATTACHMENT 1

## FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME |
|---|---|---|---|---|
| UBS INTEREST | | 3,432. | 3,432. | 3,432. |
| UBS US INTEREST | | 1,311. | 1,311. | 1,311. |
| | TOTAL | 4,743. | 4,743. | 4,743. |

ATTACHMENT 2

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

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME |
|---|---|---|---|---|
| UBS DIVIDEND | | 44,027. | 44,027. | 44,027. |
| | TOTAL | 44,027. | 44,027. | 44,027. |

ATTACHMENT 3

## FORM 990PF, PART I - OTHER INCOME

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS |
|---|---|---|
| OTHER INCOME | | -777. |
| UBS M2 FUND | | -1,758. |
| | TOTALS | -2,535. |

ATTACHMENT 4

FORM 990PF, PART I - ACCOUNTING FEES

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|---|
| ACCOUNTING FEES | | 4,500. | 0. | 0. | 4,500. |
| | TOTALS | 4,500. | 0. | 0. | 4,500. |

ATTACHMENT 5

## FORM 990PF, PART I - OTHER PROFESSIONAL FEES

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|---|
| BROKERAGE FEES | | 22,149. | 22,149. |
| | TOTALS | 22,149. | 22,149. |

VAN NICE FOUNDATION 31-1604783

ATTACHMENT 6

## FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | | REVENUE AND EXPENSES PER BOOKS | CHARITABLE PURPOSES |
|---|---|---|---|
| FILING FEES | | 495. | 495. |
| IL CHARITY BUREAU FUND | | 15. | 15. |
| | TOTALS | 510. | 510. |

ATTACHMENT 7

FORM 990PF, PART II - OTHER ASSETS

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| DIV AND INT RECEIVABLE | 2,067. | 2,067. |
| TOTALS | 2,067. | 2,067. |

Van Nice Foundation
31-1604783
12/31/2010

Schedule Attached to Form 990-PF
Part II 10 a, b, c

| Description | 12/31/2010<br>End of Year<br># of share | 12/31/2009<br>Beginning of Year<br>Book Value | 12/31/2010<br>End of Year | |
|---|---|---|---|---|
| | | | Book Value | Fair Market Value |
| **Investments - Corporate Stock** | | | | |
| Abb Ltd Spon Adr | | 973.83 | - | - |
| Acciona S A. | | 900 10 | - | - |
| Actelion Ltd Allschwil | | 1,325 79 | - | - |
| Advanced Info Svc Pub Co LTd | | 165 55 | - | - |
| Agilent Tech Inc | 101 | 2,963 00 | 2,674 92 | 4,184 43 |
| Agrium Inc | 35 | - | 1,783 93 | 3,211 25 |
| Air Liquide ADR | | 1,118 17 | - | - |
| Alstom SHS | | 1,621 15 | - | - |
| Alvarion Ltd | | 419 59 | - | - |
| Ambassadors Group OTC | 15 | 247 28 | 252 34 | 172 50 |
| Amer States Water Co | 11 | 276 48 | 396 58 | 379 17 |
| American Express | 258 | 14,533 57 | 13,186 71 | 11,073 36 |
| American Medical Systems Holdings | 20 | - | 381 52 | 377 20 |
| American Science & Engineering | 5 | 407 51 | 339 59 | 426 15 |
| Ameriprise Financial Inc | 50 | 2,432 00 | 2,432 00 | 2,877 50 |
| Amp Ltd Adr | | 1,162 83 | - | - |
| Anglo Amern Plc | | 2,648 32 | - | - |
| Apogee Enterprises Inc | 45 | 696 88 | 850 03 | 606.15 |
| Arcelormittal | | 937 48 | - | - |
| Asahi Glass | 145 | - | 1,483.48 | 1,689 25 |
| Astrazenca PLC | 85 | - | 3,814 21 | 3,926 15 |
| Australia & New Zealand BKG GRP | 140 | - | 2,812 60 | 3,365 60 |
| Axis Capital Holdings Ltd | 90 | - | 2,804 99 | 3,229 20 |
| Bae Systems | 133 | 1,980 62 | 3,027 60 | 2,773 05 |
| Baldor Electric Co | | 2,160 27 | - | - |
| Banco Bradesco Adr | 135 | - | 2,494 19 | 2,739 15 |
| Banco Santander Brasil Ads | | 1,867.16 | - | - |
| Banco Santander Chile Adr | | 890 92 | - | - |
| Bank Of Hawaii Corp | 36 | 2,392 31 | 1,942 71 | 1,699.56 |
| Bank of New York Mellon Corp | 269 | 7,623 40 | 8,676 90 | 8,123 80 |
| Bank of Ayudhya Pcl Nvdr | | 1,351.84 | - | - |
| Bank Sarasin & CIE | | 813 47 | - | - |
| Barclays PLC Adr | 80 | - | 1,474 58 | 1,321 60 |
| Barrick Gold Corp | | 767 87 | - | - |
| Baxter Intl Inc | 35 | - | 1,540 66 | 1,771 70 |
| Bayer A G Spon Adr | | 1,573 08 | - | - |
| Becton Dickinson & Co | 32 | 2,180 78 | 2,180 78 | 2,704 64 |
| Bed Bath & Beyond | 99 | 2,877 07 | 3,369 05 | 4,865 85 |
| Belle Intl Hldgs Ltd Adr | | 1,774 30 | - | - |
| Berkshire Hathaway | 114 | 14,516 75 | 8,340 23 | 9,132 54 |
| BG Group PLC | | 1,615 80 | - | - |
| Bilfinger Berger Ag Adr | | 934 88 | - | - |
| Blackbaud Inc | 33 | 982 00 | 810 15 | 854 70 |
| Blackboard Inc | 17 | 678 40 | 567 97 | 702 10 |
| Blue Coat Systems Inc | 39 | 614 16 | 1,044 33 | 1,164 93 |
| BNP Paribas Sa Ard | | 1,487 80 | - | - |
| Boots & Coots Inc | | 15 87 | - | - |
| British Amer Tobacco | 37 | 2,737 95 | 2,197 80 | 2,874 90 |
| Bruker Corp | 82 | - | 1,237 76 | 1,361 20 |
| Bunzl Plc Ord GBP | | 794 70 | - | - |
| Canadian Natural Resources | 176 | 5,326 24 | 4,921 12 | 7,817 92 |
| Canon Inc Japan | | 1,076 23 | - | - |
| Cantel Medical Corp | 19 | - | 388 77 | 444 60 |
| Capella Education Co | 18 | 1,163 67 | 1,048 25 | 1,198 44 |
| Carbo Ceramics | 22 | 1,086 25 | 1,005 13 | 2,277 88 |
| Cardinal Health Inc | | 2,131 88 | - | - |

Van Nice Foundation
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Schedule Attached to Form 990-PF
Part II 10 a, b, c

| Description | 12/31/2010<br>End of Year<br># of share | 12/31/2009<br>Beginning of Year<br>Book Value | 12/31/2010<br>End of Year<br>Book Value | <br><br>Fair Market Value |
|---|---|---|---|---|
| Carefusion Corp | | 801 93 | - | - |
| Carnival Corp New | | 937 98 | - | - |
| Centrica PLC | | 913 71 | - | - |
| Ceragon Networks Ltd | 50 | - | 525 34 | 659 00 |
| CIA Paranaense Energi Adr | 185 | - | 3,584 65 | 4,656 45 |
| Clarcor | 45 | 2,137 10 | 1,800 30 | 1,930 05 |
| Coca Cola Femsa S A.B | 35 | - | 2,313 64 | 2,885 05 |
| Coca Cola Co Com | 56 | - | 2,983 12 | 3,683 12 |
| Coherent Inc | 14 | 515 61 | 424 62 | 631 96 |
| Comcast | | 5,080 14 | - | - |
| Commerce Bancshares | | 792 16 | - | - |
| Commercial Metals Co | 47 | 1,032.97 | 751 76 | 779 73 |
| Commvault Systems Inc | 30 | - | 746 65 | 858 60 |
| Companhia de Saneamento Basico | 120 | - | 4,887 54 | 6,345 60 |
| Compass Group Plc | 335 | - | 2,763 75 | 3,122 20 |
| Computer Programs & Sys | 8 | 314 21 | 251 36 | 374 72 |
| Conocophillips | | 2,566 62 | - | - |
| Copa Holdings SA | 30 | - | 1,420 68 | 1,765 20 |
| Corporate Office PPTYS | 29 | 1,463 48 | 1,108 07 | 1,013 55 |
| Costco | 208 | 12,585 03 | 12,585 03 | 15,019 68 |
| Covidien Plc | 70 | - | 2,902 72 | 3,196 20 |
| Credit Suisse Group | | 1,750 75 | - | - |
| Credo Petroleum Corp | | 509 78 | - | - |
| CVS Caremark | 301 | 6,370 63 | 10,250 68 | 10,465 77 |
| Dawson Geophysical | 9 | 694 62 | 618 76 | 287 10 |
| Delhaize Group Spon Adr | 65 | - | 4,937 55 | 4,791 15 |
| Deutsche Telekom | | 1,696 51 | - | - |
| Devon Energy | 127 | 11,761 68 | 11,280 99 | 9,970 77 |
| Diageo PLC | 93 | 5,078 48 | 7,023 48 | 6,912 69 |
| Diamond Foods Inc | 15 | 640 00 | 300 00 | 797 70 |
| Dime CMNTY | 97 | 2,494 22 | 1,675 19 | 1,415 23 |
| Dionex Corp | | 2,113 20 | - | - |
| Dupont Fabros Technology Inc | 44 | - | 1,024 21 | 935 88 |
| East West Bancorp Inc | 71 | - | 1,261 77 | 1,388 05 |
| Ehealth Inc | 68 | 1,547 94 | 1,483 70 | 964 92 |
| Encore Acquisition Co | | 277 05 | - | - |
| EOG Resources Inc | 105 | 12,567 79 | 11,498 30 | 9,598 05 |
| Esco Technologies Inc | 14 | 779 36 | 681 94 | 529 76 |
| Express Scripts Inc | 94 | 849 94 | 4,159 26 | 5,080 70 |
| Familymart Co Ltd Adr | | 1,520 97 | - | - |
| France Telecom Adr | 190 | - | 3,499 52 | 4,005 20 |
| Fresenius Medical Care | | 1,258 87 | - | - |
| Frontline Ltd Ord | 45 | - | 1,422 98 | 1,141.65 |
| Fuel Systems Solutions | 16 | - | 486 31 | 470 08 |
| Fuel Tech Inc | 25 | 284 63 | 322 00 | 342 75 |
| Fuji Heavy Inds | 20 | - | 1,121 47 | 1,560 00 |
| Fuji Mach Mfg Co | | 942 01 | - | - |
| Fujitsu Ltd Adr | 40 | - | 1,326 80 | 1,400 80 |
| Gen-Probe Inc | 20 | 605 81 | 999 66 | 1,167 00 |
| Genesee & WYO | 42 | 2,028 26 | 1,638 21 | 2,223 90 |
| Gentex Corp | 64 | 2,300 45 | 1,182 50 | 1,891 84 |
| Glaxo Smithkline | 111 | 1,922 41 | 3,817 08 | 4,353 42 |
| Gold Fields Ltd | | 1,882 88 | - | - |
| Google | 4 | 2,802 60 | 1,402 45 | 2,375 88 |
| Green Dot Corp | 12 | - | 670 52 | 680 88 |
| Green MNT Coffee Roasters Inc | | 390 75 | - | - |
| Grupo Televisa SA | 90 | 1,543 95 | 1,543 95 | 2,333 70 |

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Schedule Attached to Form 990-PF
Part II 10 a, b, c

| | 12/31/2010 | 12/31/2009 | 12/31/2010 | |
|---|---|---|---|---|
| | End of Year | Beginning of Year | End of Year | |
| Description | # of share | Book Value | Book Value | Fair Market Value |
| H & R Block Inc | | 1,525 62 | - | - |
| Hain Celestial Group Inc | 19 | 460.97 | 327 92 | 514 14 |
| Harley Davidson | 130 | 4,412 15 | 4,757 78 | 4,507 10 |
| Herman Miller Inc | 16 | 478 88 | 380 52 | 404 80 |
| Hewlett Packard | 87 | 3,117 45 | 3,304 52 | 3,662 70 |
| Hibbett Sports | 30 | 734 13 | 509 23 | 1,107 00 |
| Honda Motor Co | | 1,892 24 | - | - |
| Horace Mann Educators | 56 | 458 76 | 877 23 | 1,010 24 |
| HSBC Holdings Plc | | 1,270 66 | - | - |
| Huaneng Power Intl Inc | 64 | - | 1,401 63 | 1,368 32 |
| ICAP PLC | | 1,821 45 | - | - |
| ICU Med Inc | 18 | 697.54 | 569 44 | 657 00 |
| IDEXX Labs | | 377 45 | - | - |
| Immucor Inc | | 322.53 | - | - |
| Independent Bank Corp | 32 | 1,053 83 | 806 53 | 865 60 |
| Inpex Corp Adr | | 1,590 59 | - | - |
| Investment Technology Group | 51 | 1,417 90 | 1,068 87 | 834 87 |
| Iron Mnt Inc | 194 | 4,945 84 | 5,340 74 | 4,851 94 |
| Itron Inc | 5 | 2,113 01 | 459 35 | 277 25 |
| J2 Global Communications Inc | 56 | 1,606 66 | 1,342 88 | 1,621 20 |
| Jardine Matheson | | 1,384 80 | - | - |
| Johnson & Johnson | 102 | 4,303 37 | 5,924 10 | 6,308 70 |
| Jones Lang Lasalle Inc | | 1,140 14 | - | - |
| JP Morgan Chase & Co | | 6,236 77 | - | - |
| K12 Inc | 16 | - | 401 01 | 458 56 |
| Kirin Holdings Ltd Spon | | 929 25 | - | - |
| Koninkluke Ahold | | 776 32 | - | - |
| Landauer | 25 | 1,786 40 | 1,408 40 | 1,499 25 |
| Layne Christensen Co | 11 | 560 48 | 421 22 | 378 62 |
| Lifeway Foods Inc | 21 | 664 20 | 258 30 | 200 55 |
| Lindsay Corp | 16 | 2,027.30 | 1,707 20 | 950 88 |
| Liquidity Services Inc | 51 | 458 63 | 621 71 | 716 55 |
| LKQ Corp New | 59 | 1,549 35 | 1,240 05 | 1,340 48 |
| Lockheed Martin Corp | 26 | - | 1,823 68 | 1,817 66 |
| Loews Corp | 205 | 8,122 55 | 8,524 65 | 7,976 55 |
| Lonza Group AG | | 1,432 65 | - | - |
| Lululemon Athletica Inc | 34 | 703 94 | 668 87 | 2,326 28 |
| Marks & Spencer Group Inc | 110 | - | 1,149 50 | 1,265 00 |
| Martek Biosciences | | 858 70 | - | - |
| Merck & Co Inc | 230 | 3,447 51 | 5,587.12 | 8,289 20 |
| Meridian Bioscience Inc | 62 | 2,249 94 | 1,811 64 | 1,435 92 |
| Met Pro Corp | 20 | 290 08 | 240.04 | 236 20 |
| Microsoft | 110 | 6,132 09 | 3,414 69 | 3,070 10 |
| Middleby Corp | 14 | 655.51 | 849 84 | 1,181 88 |
| Millicom INTL Cellular | | 2,104 72 | - | - |
| Minerals Technologies Inc | 20 | 1,747 50 | 1,398 00 | 1,308 20 |
| Mitsubishi Corp SPONS | | 2,510 57 | - | - |
| Mitsui & Co Ltd Adr | 9 | - | 2,336 12 | 2,960 64 |
| Monsanto Co New | 22 | - | 1,531 78 | 1,532 08 |
| Moodys Corp | 79 | 2,684 38 | 2,684 38 | 2,096 66 |
| NATL Instruments Corp | 32 | 1,186 17 | 939 77 | 1,204 48 |
| Neogen corp | 27 | 516 67 | 450 00 | 1,107 81 |
| Nestle | | 3,039 51 | - | - |
| Net 1 UEPS Technologies | 53 | 1,931 53 | 1,551 08 | 649 78 |
| New Jersey Resources CRP | 37 | 1,855 15 | 1,248 01 | 1,595 07 |
| New World Development Ltd Spon | | 911 72 | - | - |
| Newcrest Mining LTD | | 1,516 18 | - | - |

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Schedule Attached to Form 990-PF
Part II 10 a, b, c

| Description | 12/31/2010 End of Year # of share | 12/31/2009 Beginning of Year Book Value | 12/31/2010 End of Year Book Value | 12/31/2010 End of Year Fair Market Value |
|---|---|---|---|---|
| News Corp Inc | | 5,202 40 | - | - |
| Nexen Inc | 130 | - | 2,761 97 | 2,977 00 |
| Nintendo Ltd Adr | | 1,355 10 | - | - |
| NIC Inc | 15 | - | 142 61 | 145 65 |
| Nippon Steel Corp | | 1,315 67 | - | - |
| Nippon Teleg & TEL CORP | | 1,042 01 | - | - |
| Nippon Yusen Kabushiki | 158 | - | 1,450 40 | 1,384 08 |
| Nissan Mtr | | 1,483 02 | - | - |
| Nitto Denko Corp | 80 | - | 3,064 37 | 3,798 40 |
| Nokia Corp | 140 | - | 1,202 39 | 1,444 80 |
| Nomura Holding | | 3,989 56 | - | - |
| Novartis | | 3,435.54 | - | - |
| NTT Docomo Inc | | 2,150 46 | - | - |
| Nutraceutical Intl Corp | 15 | - | 194 36 | 212 85 |
| Nutri/Systems Inc | 23 | 464 88 | 368 64 | 483 69 |
| Occidental Petroleum CRP | 152 | 12,431 76 | 11,367 20 | 14,911 20 |
| Ocwen Financial Corp New | 63 | - | 610 40 | 601 02 |
| Ormat Technologies | 8 | 424 66 | 377 48 | 236 64 |
| Orrstown Fincl Svsc | 16 | - | 425 45 | 438 56 |
| Oyo Geospace Corp | 5 | - | 463 93 | 495 55 |
| Panasonic Corp | | 1,403 15 | - | - |
| Parkway Properties Inc | 25 | 1,201 75 | 596 38 | 438 00 |
| Pearson Plc Spon Adr | 185 | - | 2,598 95 | 2,939 65 |
| Petroleo Brasileiro SA | 90 | 541 99 | 3,227 32 | 3,405 60 |
| Pfizer INC | 302 | 1,713 62 | 4,768 94 | 5,288 02 |
| Philip Morris INTL | 53 | 2,557 73 | 2,557 73 | 3,102 09 |
| Plantronics Inc New | 60 | 1,917 30 | 1,494 00 | 2,233 20 |
| Poloycom Inc | 64 | 1,903 80 | 1,499 72 | 2,494 72 |
| Posco Spon Adr | 28 | - | 2,920 57 | 3,015 32 |
| Potash | | 1,060 93 | - | - |
| Power Integrations inc | 42 | 1,898 86 | 1,399 16 | 1,686 72 |
| Pre-paid Legal SVCS INC | | 363 79 | - | - |
| Proctor & Gamble Co | 66 | 2,036 54 | 2,036 54 | 4,245.78 |
| Progressive | 344 | 6,936 41 | 7,090 64 | 6,835 28 |
| QBE Insurance Group | | 1,221.79 | - | - |
| Quaker Chemical Corp | 25 | 373 03 | 291 43 | 1,041 75 |
| Quality systems Inc | 23 | 1,064 28 | 754 32 | 1,605 86 |
| Renaissancere Holdings Ltd | 70 | - | 4,053 60 | 4,458 30 |
| Renaissance Learning Inc | 28 | 538 92 | 419 16 | 331 52 |
| Rio Tinto Plc Spon Adr | 20 | - | 1,027 04 | 1,433 20 |
| Riverbed Technology Inc | | 710 74 | - | - |
| Roche HLDG LTD | | 3,665 66 | - | - |
| Rossi Residencial | | 913 35 | - | - |
| Royal Dutch Shell | 70 | - | 3,779 97 | 4,674 60 |
| Sage Group | 85 | - | 1,289 37 | 1,462 85 |
| Santos Ltd | | 1,044 20 | | |
| Sapient Corp | 92 | - | 1,098 22 | 1,113 20 |
| Sasol Ltd | 95 | - | 3,600 98 | 4,944 75 |
| Sealed Air Corp New | 268 | 6,026 27 | 6,505 52 | 6,820 60 |
| Secom Ltd ADR | | 1,061 83 | - | - |
| Siemens AG Spon | 25 | - | 2,379 83 | 3,106 25 |
| Signature Bank NY | 30 | 799 65 | 982 14 | 1,501 80 |
| Simpson Manufaturing Co Inc | 32 | 1,083 56 | 770 53 | 989 12 |
| SK Telecom Co | 165 | - | 2,549 95 | 3,073 95 |
| Skyworks Solutions Inc | | 467 32 | - | - |
| Smith & Nephew PLC | | 1,339 33 | - | - |
| Sony Corp | | 1,141 89 | - | - |

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Schedule Attached to Form 990-PF
Part II 10 a, b, c

| | 12/31/2010 | 12/31/2009 | 12/31/2010 | |
|---|---|---|---|---|
| | End of Year | Beginning of Year | End of Year | |
| Description | # of share | Book Value | Book Value | Fair Market Value |
| South Jersey Ind Inc | 26 | 1,842 72 | 998 14 | 1,373 32 |
| Southside Bancshares Inc | 32 | 981 97 | 703 19 | 674.24 |
| Standard Chartered PLC | | 210 89 | - | - |
| Statoil ASA Spon | 200 | - | 4,128 95 | 4,754 00 |
| STR Hldgs Inc | 27 | - | 617 56 | 540 00 |
| Strabag Bau AG | | 1,340 12 | - | - |
| Strayer Education Inc | | 1,183 38 | - | - |
| Sumitomo Mitsui | | 1,863 25 | - | - |
| Sunpower corp | 10 | 151 23 | 126 02 | 124 20 |
| Svenska Cellulosa | 190 | - | 2,348 40 | 2,983 00 |
| Syngenta AG SPON | | 1,183 80 | - | - |
| T-3 Energy Services Inc | | 707 25 | - | - |
| Taiwan Semiconductor Mfg Co | 130 | - | 1,451 37 | 1,630 20 |
| TCF Financial Corp | 81 | 960 79 | 1,127 64 | 1,199 61 |
| Team Inc | 29 | 1,033 20 | 856 08 | 701 80 |
| Tele Norte Leste Participacoes | | 1,189 29 | - | - |
| Telstra Corp LTD | 225 | - | 3,190 89 | 3,228 75 |
| Tempur-pedic Intl Inc | 39 | 864 31 | 701 16 | 1,562 34 |
| Tesco PLC | | 1,089 60 | - | - |
| Teva Pharmaceuticals | 30 | - | 1,555 95 | 1,563 90 |
| Texas Instruments | 165 | 5,662 20 | 3,948 82 | 5,362 50 |
| Thales | | 1,819 32 | - | - |
| Timberland Co | | 736 52 | - | - |
| Toshiba Corp | | 1,415 54 | - | - |
| Toronto Dominion Bank | 40 | - | 2,781 07 | 2,972 40 |
| Total S A France Spon | | 1,840 26 | - | - |
| Transatlantic HLDGS Inc | 52 | 3,743 00 | 3,212 12 | 2,684 24 |
| Transcanada Corp | 40 | - | 1,417 46 | 1,521 60 |
| Transocean Inc New | 24 | 3,269 19 | 2,398 67 | 1,668 24 |
| Turkcell Iletisim Hizmetleri | 75 | - | 1,000 99 | 1,284 75 |
| Tyco Intl Ltd | 34 | 1,580 37 | 1,580 37 | 1,408 96 |
| Ultra Electronics Hldgs | | 723 70 | - | - |
| UMB Financial Corp | 38 | - | 1,536 99 | 1,574 72 |
| Umpqua Holdings Corp | 82 | 782 56 | 966.42 | 998 76 |
| Under Armour Inc | 25 | 288 02 | 698 14 | 1,371 00 |
| Unilever | | 1,501 92 | - | - |
| Unilever Plc | 105 | - | 2,932 48 | 3,242 40 |
| Universal Technical Institute | 24 | 429 52 | 471 09 | 528 48 |
| UNTD NAT Foods Inc | 38 | 751 59 | 811 73 | 1,393 84 |
| Untd Overseas Bank | 100 | - | 2,827 00 | 2,836 00 |
| Verwaltungs Und Private Bank | | 1,280 15 | - | - |
| Vodafone Group PLC | | 3,245 49 | - | - |
| Vulcan Materials Co | | 1,674 00 | - | - |
| Wabtec Inc | 37 | 2,035 35 | 1,673 51 | 1,956 93 |
| Walt Disney Co | | 2,268 00 | - | - |
| Watts Water technologies | 28 | 886 27 | 696 92 | 1,024 52 |
| Well Fargo | 442 | 8,184 92 | 9,273 64 | 13,697 58 |
| West Pharmaceutical services | 34 | 1,610 00 | 1,552 61 | 1,400 80 |
| White Energy Co Ltd | | 940 86 | - | - |
| Wiley John & sons Inc | 42 | 1,924 26 | 1,888 36 | 1,900 08 |
| Wilmington Trust Corp | | 1,888 45 | - | - |
| Wilshire Bancorp | 77 | 714 32 | 560 52 | 586 74 |
| Woori Fin Holdings | 38 | - | 1,471 65 | 1,578 90 |
| Wright Medical Group Inc | 23 | - | 407 40 | 357 19 |
| Yahoo Japan Corp | | 1,123 80 | - | - |
| Yamana Gold Inc Cad | 270 | - | 2,812 46 | 3,456 00 |
| Yanzhou Coal Mining Co | 50 | - | 1,064 07 | 1,530 00 |
| Zoll Medical Group | 17 | 362 40 | 306 58 | 632 91 |

Van Nice Foundation
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Schedule Attached to Form 990-PF
Part II 10 a, b, c.

| | 12/31/2010 End of Year | 12/31/2009 Beginning of Year | 12/31/2010 End of Year | |
|---|---|---|---|---|
| Description | # of share | Book Value | Book Value | Fair Market Value |
| Zurich Financial SVCS | 180 | 1,591 09 | 4,243 16 | 4,660 20 |
| Ishares Trust S&P 500 Index | 1,850 | 261,621 34 | 244,940 83 | 233,562 50 |
| Ishares Inc MSCI Japan | | 5,951 92 | - | - |
| Ishares Trust Russell 2000 | 542 | 43,366 77 | 36,443 11 | 42,406 08 |
| Ishares Trust Russell 3000 | 2,378 | 196,391.95 | 181,200 66 | 178,231 10 |
| Ishares MSCI EAFE Index Fund | 2,681 | 176,354 88 | 180,832 16 | 156,087 82 |
| Gabelli Entreprise | 6,376 | 79,725 33 | 66,273 74 | 66,500 31 |
| Calamos Market Neutral income fund | 6,275 | 85,961 87 | 77,573 08 | 75,241 93 |
| FT-Franklin Templton | 5,533 | 99,144.90 | 100,702 00 | 82,106 35 |
| Gateway Fund Class A | 1,443 | 44,156 73 | 39,340 17 | 37,611 72 |
| UBS M2 Fund LLC | | 96,637 00 | 95,555 00 | 87,064 00 |
| Pimco Commodity Real Return Strategy Fund | 6,053 | 61,367 56 | 56,281 27 | 55,447 16 |
| **Total corporate stocks line 10b** | | **1,585,851.29** | **1,495,100.00** | **1,482,537.35** |

Van Nice Foundation
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12/31/2010

Schedule Attached to Form 990-PF
Part II 10 a, b, c

| Description | 12/31/2010 End of Year # of share | 12/31/2009 Beginning of Year Book Value | 12/31/2010 End of Year Book Value | 12/31/2010 End of Year Fair Market Value |
|---|---|---|---|---|
| **Investments - U.S. and state government obligations** | | | | |
| US Treasury Note, 9/30/11, 4 5% | | 5,429 69 | 5,429 69 | 5,155 65 |
| US Treasury Note, 6/30/11, 5.125% | | 4,373.12 | 4,373 12 | 4,097 04 |
| US Treasury Note, 7/31/11, 1 00% | | 10,988 75 | 10,988 75 | 11,048.95 |
| US Treasury Note 8/31/11, 1 00% | | 7,000 55 | 7,000 55 | 7,035 28 |
| US Treasury Note, 6/30/13, 3 375% | | 6,410 64 | - | - |
| US Treasury Note, 2/28/14, 1 875% | | 5,040 45 | - | - |
| US Treasury Note, 5/15/12, 1.375% | | - | 11,062 30 | 11,146 08 |
| FHLMC | | 8,516 72 | 8,516 72 | 8,867 60 |
| US Treasury Bond, 2/15/19 | | - | 3,581 39 | 3,902 70 |
| Prin Trsy Principal Payment | | 3,437 26 | - | - |
| US Treasury Note, 5/15/19, 3 125% | | 12,565 70 | 7,750 16 | 8,084 40 |
| US Treasury Note, 3 625% | | - | 2,975 16 | 3,113 43 |
| United States T, 11/15/39, 4 3750% | | - | 1,944 06 | 2,010 62 |
| United States T, 2/15/40, 4 625% | | - | 1,990 63 | 2,095 00 |
| **Total Investments - US and state government line 10a** | | **63,762.88** | **65,612.53** | **66,556.75** |
| **Corporate Bonds:** | | | | |
| Genl Elec CAP Corp 10/19/12, 5 25% | | 2,024 08 | 2,024 08 | 2,137 56 |
| JP Morgan chase & Co 5/1/13, 4.75% | | 1,947 34 | 1,947 34 | 2,141 28 |
| FHLMC PL G 12600, 3/1/22, 5 5% | | 8,175 94 | 5,230 43 | 5,549 40 |
| FNMA PL, 5/01/23, 4 5% | | 7,019.44 | 3,278 81 | 3,388 35 |
| FNMA PL, 11/1/33, 5% | | 5,966 63 | 4,559 69 | 5,018 54 |
| FNMA PL, 8/1/34, 6 0% | | 7,804 86 | 5,852.60 | 6,320 45 |
| FNMA PL, 4/1/36, 5 5% | | 12,346 30 | 8,690 76 | 9,428 03 |
| FNMA PL, 2/1/37, 5 5% | | 4,274 84 | 2,833 15 | 3,057 04 |
| FNMA PL, 12/1/37 4 5% | | - | 11,466 26 | 11,651 50 |
| FNMA PL, 12/1/40 4 0% | | - | 12,653 27 | 12,921 50 |
| Blackrock Bond | | 45,205 79 | 43,321 99 | 44,563 80 |
| Blackrock Bond | | 46,809 48 | 44,818 74 | 45,245 01 |
| PIMCO Total Return Fund | | 212,445 50 | 208,973 29 | 211,920 43 |
| **Total corporate bonds line 10c** | | **354,020.20** | **355,650.41** | **363,342.89** |

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

| DESCRIPTION | AMOUNT |
|---|---|
| NONDIVIDEND DISTRIBUTIONS- UBS | 15. |
| RETAINED EARNINGS ADJUSTMENT | 677. |
| TOTAL | 692. |

VAN NICE FOUNDATION 31-1604783

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

ATTACHMENT 9

| NAME AND ADDRESS | TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION | COMPENSATION | CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS | EXPENSE ACCT AND OTHER ALLOWANCES |
|---|---|---|---|---|
| JEANETTE HUNT VAN NICE<br>1209 N. ASTOR STREET<br>CHICAGO, IL 60610 | PRESIDENT | 0. | 0. | 0. |
| PETER ERRETT VAN NICE<br>1209 N. ASTOR STREET<br>CHICAGO, IL 60610 | TREASURER | 0. | 0. | 0. |
| ANTHONY H. VAN NICE<br>1209 N. ASTOR STREET<br>CHICAGO, IL 60610 | SECRETARY | 0. | 0. | 0. |
|  | GRAND TOTALS | 0. | 0. | 0. |

**SCHEDULE D**
**(Form 1041)**
Department of the Treasury
Internal Revenue Service

# Capital Gains and Losses

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

OMB No 1545-0092

2010

Name of estate or trust VAN NICE FOUNDATION
C/O JEANETTE HUNT VAN NICE

**Employer identification number** 31-1604783

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

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

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

| | | | |
|---|---|---|---|
| b | Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b | 1b | 4,103. |
| 2 | Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824 | 2 | |
| 3 | Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts | 3 | |
| 4 | Short-term capital loss carryover Enter the amount, if any, from line 9 of the 2009 Capital Loss Carryover Worksheet | 4 | ( ) |
| 5 | **Net short-term gain or (loss).** Combine lines 1a through 4 in column (f) Enter here and on line 13, column (3) on the back ▶ | 5 | 4,103. |

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

| **(a)** Description of property (Example 100 shares 7% preferred of "Z" Co ) | **(b)** Date acquired (mo , day, yr ) | **(c)** Date sold (mo , day, yr ) | **(d)** Sales price | **(e)** Cost or other basis (see instructions) | **(f) Gain or (loss) for the entire year** Subtract (e) from (d) |
|---|---|---|---|---|---|
| 6a | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

| | | | |
|---|---|---|---|
| b | Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b | 6b | -26,044. |
| 7 | Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824 | 7 | |
| 8 | Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts | 8 | |
| 9 | Capital gain distributions | 9 | 3,154. |
| 10 | Gain from Form 4797, Part I | 10 | |
| 11 | Long-term capital loss carryover Enter the amount, if any, from line 14 of the 2009 Capital Loss Carryover Worksheet | 11 | ( ) |
| 12 | **Net long-term gain or (loss).** Combine lines 6a through 11 in column (f) Enter here and on line 14a, column (3) on the back ▶ | 12 | -22,890. |

**For Paperwork Reduction Act Notice, see the Instructions for Form 1041.**

| **Part III** **Summary of Parts I and II** **Caution:** *Read the instructions **before** completing this part.* | | **(1)** Beneficiaries' (see instr ) | **(2)** Estate's or trust's | **(3)** Total |
|---|---|---|---|---|
| **13 Net short-term gain or (loss)** | 13 | | | 4,103. |
| **14 Net long-term gain or (loss):** | | | | |
| a Total for year | 14a | | | -22,890. |
| b Unrecaptured section 1250 gain (see line 18 of the wrksht ) | 14b | | | |
| c 28% rate gain | 14c | | | |
| **15 Total net gain or (loss).** Combine lines 13 and 14a ▶ | 15 | | | -18,787. |

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

## Part IV Capital Loss Limitation

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

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

## Part V Tax Computation Using Maximum Capital Gains Rates

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

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

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

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

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

**SCHEDULE D-1**
**(Form 1041)**

Department of the Treasury
Internal Revenue Service

# Continuation Sheet for Schedule D (Form 1041)

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

OMB No 1545-0092

2010

Name of estate or trust
VAN NICE FOUNDATION

Employer identification number
31-1604783

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

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price (see page 4 of the instructions) | (e) Cost or other basis (see page 4 of the instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| 1a ST GAIN - SEE ATTACHMENT | | | 133,592. | 129,489. | 4,103. |

**1b Total.** Combine the amounts in column (f) Enter here and on Schedule D, line 1b . . . . . . . . . . . . . . . . . . 4,103.

**For Paperwork Reduction Act Notice, see the Instructions for Form 1041.**

**Schedule D-1 (Form 1041) 2010**

JSA
0F1221 1 000

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

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

| (a) Description of property (Example 100 sh 7% preferred of "Z" Co ) | (b) Date acquired (mo , day, yr ) | (c) Date sold (mo , day, yr ) | (d) Sales price (see page 4 of the instructions) | (e) Cost or other basis (see page 4 of the instructions) | (f) Gain or (loss) Subtract (e) from (d) |
|---|---|---|---|---|---|
| **6a** LT GAIN - SEE ATTACHMENT | | | 251,339. | 277,383. | -26,044. |
| FHLMCPL | | | 2,913. | 2,913. | |
| FNMA | | | 13,831. | 13,831. | |

**6b Total.** Combine the amounts in column (f) Enter here and on Schedule D, line 6b . . . . . . . . . . . . . . . . . . -26,044.

JSA
0F1222 1 000

**Schedule D-1 (Form 1041) 2010**

Van nice Foundation · 31-1604783

**Account Number** CP 91116 EV
**Your Financial Advisor or Contact**
PETER ERRETT VAN NICE, JR
312-525-4500/800-621-0684

Page 69 of 104

**UBS Financial Services Inc.**

Attachment to 990 PF · Part IV · Schedule D

# 2010 Informational Tax Statement

C36G003977-X

## 2010 Realized Gain/Loss Summary (Includes sale proceeds not reported on Form 1099-B)

*This Realized Gain/Loss Summary is not a tax reporting document and has not been submitted to the IRS If your sale amount matches the amount on Form 1099-B, which is reported to the IRS, it is marked as such. Please rely on the confirmations previously provided to you as your official activity record*

*Estimated 2010 Gain/Loss for transactions with trade dates through 12/31/10 has been incorporated into this statement Realized gain/loss is based on the sales amount less the cost basis Please note that gain or loss recognized on the sale or redemption of certain Structured Products may be ordinary, and not capital, gain or loss Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products Note that the Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion.*

*The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order An asterisk (*) indicates a UBS Financial Services adjustment to cost basis The number "1" indicates cost basis information has been provided by a source other than UBS Financial Services Gain/Loss may not have been adjusted for all capital changes Gain/Loss values that may be subject to Wash Sale provisions are not indicated here "Earnings" in the Purchase Date column indicates the position sold was acquired on various dates through dividend reinvestment and that the Gain/Loss has been aggregated*

*Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium The OID amount reported on your Form 1099-OID is not adjusted for Market Discount, Acquisition Premium, or Bond Premium Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amount because the reporting requirements are different*

*Gain/Loss from short sale closings are reported as short-term regardless of the holding period of property used to close the short position Clients should consult their tax advisors as to whether exceptions may apply in their particular case to change this classification The potential application of the "Constructive Sale" provisions (Sec 1259) for short-against-the box transactions is not considered Clients should discuss the possible application of these provisions with their tax advisor*

| | Purchase | Sale | Gains | Losses | Net Gain/Loss |
|---|---|---|---|---|---|
| Short-term Gain/Loss: | $ 129,488.48 | $ 133,591.65 | $ 10,959.91 | $ (6,856.74) | $ 4,103.17 |
| Long-term Gain/Loss: | 277,383.23 | 251,164.13 | 17,871.33 | (44,090.43) | (26,219.10)<br>+ 174.92<br>26,044.18 |
| Unclassified Gain/Loss: | 0 | 174.92 | 174.92 | | |
| **Sub Total:** | **$ 406,871.71** | **$ 384,755.78** | **$ 28,831.24** | **$ (50,947.17)** | **$ (22,115.93)** |
| Activity with Gain/Loss not calculated due to missing information: | $ | $ 174.92 | $ | $ | $ |
| **Total:** | **$ 406,871.71** | **$ 384,930.70** | **$ 28,831.24** | **$ (50,947.17)** | **$ (22,115.93)**<br>+ 174.92<br>21,941.00 |

### Short-Term Gain/Loss

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| ABB LTD SPON ADR | *Trade* | 14 000 | | 07/29/09 | 06/22/10 | 263.34 | 242.69 | 20.65 | | Y |
| | *Trade* | 10.000 | | 01/11/10 | 06/22/10 | 188.10 | 205.49 | (17.39) | | Y |
| | **Sub-Total:** | **24.000** | | | | **451.44** | **448.18** | **3.26** | | |
| ACCENTURE PLC IRELAND CL A | *Trade* | 35 000 | | 06/23/10 | 11/03/10 | 1,580.90 | 1,336.25 | 244.65 | | Y |
| AGRIUM INC (CANADA) CAD | *Trade* | 15.000 | | 06/23/10 | 08/18/10 | 1,040.42 | 764.54 | 275.88 | | Y |
| | *Trade* | 5.000 | | 06/23/10 | 10/20/10 | 434.29 | 254.85 | 179.44 | | Y |
| | **Sub-Total:** | **20.000** | | | | **1,474.71** | **1,019.39** | **455.32** | | |

*Continued on page 70*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| AIR LIQUIDE ADR FRANCE ADR | *Trade* | 11.000 | | 07/30/09 | 06/22/10 | 233.31 | 223.36 | 9.95 | | Y |
| ALSTOM SHS PROV REGROUPMENT ORD EUR | *Trade* | 4.000 | | 07/29/09 | 06/22/10 | 205.77 | 267.97 | (62.20) | | Y |
| | *Trade* | 4.000 | | 01/12/10 | 06/22/10 | 205.77 | 303.59 | (97.82) | | Y |
| | **Sub-Total:** | **8.000** | | | | **411.54** | **571.56** | **(160.02)** | | |
| ALVARION LTD | *Trade* | 15.000 | | 08/04/09 | 06/29/10 | 30.04 | 63.39 | (33.35) | | Y |
| | *Trade* | 20 000 | | 08/05/09 | 06/29/10 | 40.05 | 83.53 | (43.48) | | Y |
| | *Trade* | 15 000 | | 08/06/09 | 06/29/10 | 30.04 | 62.87 | (32.83) | | Y |
| | *Trade* | 5.000 | | 12/28/09 | 06/29/10 | 10.01 | 19.15 | (9.14) | | Y |
| | *Trade* | 10.000 | | 01/04/10 | 06/29/10 | 20.02 | 39.52 | (19.50) | | Y |
| | *Trade* | 7.000 | | 01/05/10 | 06/29/10 | 14.02 | 27.76 | (13.74) | | Y |
| | **Sub-Total:** | **72.000** | | | | **144.18** | **296.22** | **(152.04)** | | |
| AMERICAN SCIENCE & ENGINEERING INC | *Trade* | 1 000 | | 06/25/09 | 02/17/10 | 77.25 | 67.92 | 9.33 | | Y |
| AMP LTD ADR | *Trade* | 21 000 | | 08/24/09 | 06/22/10 | 403.19 | 431.34 | (28.15) | | Y |
| | *Trade* | 30.000 | | 08/24/09 | 06/22/10 | 575.99 | 617.57 | (41.58) | | Y |
| | *Trade* | 5.000 | | 09/30/09 | 06/22/10 | 96.00 | 113 92 | (17.92) | | Y |
| | *Trade* | 19.000 | | 04/21/10 | 06/22/10 | 364 79 | 453.24 | (88.45) | | Y |
| | **Sub-Total:** | **75.000** | | | | **1,439.97** | **1,616.07** | **(176.10)** | | |
| ANGLO AMERN PLC NEW ADR | *Trade* | 43.000 | | 08/21/09 | 02/09/10 | 796 78 | 704.90 | 91.88 | | Y |
| | *Trade* | 37.000 | | 08/21/09 | 06/22/10 | 731.85 | 606.54 | 125.31 | | Y |
| | *Trade* | 5 000 | | 09/08/09 | 06/22/10 | 98.90 | 83.98 | 14 92 | | Y |
| | *Trade* | 26.000 | | 09/09/09 | 06/22/10 | 514 27 | 434.70 | 79.57 | | Y |
| | *Trade* | 39.000 | | 09/23/09 | 06/22/10 | 771 41 | 666.19 | 105.22 | | Y |
| | *Trade* | 5.000 | | 11/27/09 | 06/22/10 | 98.90 | 109 43 | (10 53) | | Y |
| | *Trade* | 2 000 | | 12/21/09 | 06/22/10 | 39.56 | 42.58 | (3.02) | | Y |
| | **Sub-Total:** | **157.000** | | | | **3,051.67** | **2,648.32** | **403.35** | | |
| ANHEUSER BUSCH INBEV SPON ADR | *Trade* | 24 000 | | 05/06/10 | 06/22/10 | 1,224 93 | 1,099.69 | 125.24 | | Y |
| | *Trade* | 3 000 | | 05/19/10 | 06/22/10 | 153.12 | 144.16 | 8.96 | | Y |
| | **Sub-Total:** | **27.000** | | | | **1,378.05** | **1,243.85** | **134.20** | | |
| ARCELORMITTAL SA NY REG | *Trade* | 5.000 | | 10/15/09 | 06/22/10 | 157.90 | 200.24 | (42 34) | | Y |

*Continued on page 71*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| ASTRAZENECA PLC SPON ADR | *Trade* | 5.000 | | 06/23/10 | 07/16/10 | 245.43 | 224.37 | 21.06 | | Y |
| | *Trade* | 5.000 | | 06/23/10 | 10/20/10 | 263.34 | 224.37 | 38.97 | | Y |
| | **Sub-Total:** | **10.000** | | | | **508.77** | **448.74** | **60.03** | | |
| AUSTRALIA & NEW ZEALAND BKG GRP LTD SPONSRD ADR AUSTRALIA ADR | *Trade* | 5.000 | | 06/23/10 | 09/22/10 | 113.46 | 100.45 | 13.01 | | Y |
| BANCO BILBAO VIZCAYA ARGENTARIA S.A. SPON ADR | *Trade* | 30.000 | | 06/23/10 | 10/20/10 | 419.09 | 336.30 | 82.79 | | Y |
| | *Trade* | 90.000 | | 06/23/10 | 11/10/10 | 1,047.37 | 1,008.90 | 38.47 | | Y |
| | *Trade* | 125.000 | | 06/23/10 | 11/30/10 | 1,151.82 | 1,401.25 | (249.43) | | Y |
| | **Sub-Total:** | **245.000** | | | | **2,618.28** | **2,746.45** | **(128.17)** | | |
| BANCO BRADESCO S.A. NEW SPON ADR | *Trade* | 30.000 | | 07/28/10 | 10/20/10 | 653.68 | 555.14 | 98.54 | | Y |
| BANCO SANTANDER CHILE ADR | *Trade* | 2.000 | | 09/25/09 | 01/08/10 | 138.96 | 111.37 | 27.59 | | Y |
| | *Trade* | 14.000 | | 09/25/09 | 06/22/10 | 990.87 | 779.56 | 211.31 | | Y |
| | **Sub-Total:** | **16.000** | | | | **1,129.83** | **890.93** | **238.90** | | |
| BANCO SANTANDER BRASIL ADS | *Trade* | 71.000 | | 10/07/09 | 06/22/10 | 834.94 | 922.25 | (87.31) | | Y |
| | *Trade* | 11.000 | | 10/08/09 | 06/22/10 | 129.36 | 144.65 | (15.29) | | Y |
| | *Trade* | 11.000 | | 10/19/09 | 06/22/10 | 129.36 | 151.95 | (22.59) | | Y |
| | *Trade* | 47.000 | | 12/04/09 | 06/22/10 | 552.71 | 648.31 | (95.60) | | Y |
| | **Sub-Total:** | **140.000** | | | | **1,646.37** | **1,867.16** | **(220.79)** | | |
| BANCOLOMBIA S.A. ADR | *Trade* | 5.000 | | 06/23/10 | 07/19/10 | 278.07 | 255.04 | 23.03 | | Y |
| | *Trade* | 20.000 | | 06/23/10 | 07/30/10 | 1,168.93 | 1,020.17 | 148.76 | | Y |
| | *Trade* | 35.000 | | 06/23/10 | 08/02/10 | 2,071.80 | 1,785.29 | 286.51 | | Y |
| | **Sub-Total:** | **60.000** | | | | **3,518.80** | **3,060.50** | **458.30** | | |
| BANK OF AYUDHYA PCL NVDR THB | *Trade* | 2,800.000 | | 07/17/09 | 06/22/10 | 1,679.97 | 1,351.84 | 328.13 | | Y |
| | *Trade* | 100.000 | | 03/03/10 | 06/22/10 | 60.00 | 64.74 | (4.74) | | Y |
| | *Trade* | 500.000 | | 03/17/10 | 06/22/10 | 299.99 | 339.15 | (39.16) | | Y |
| | **Sub-Total:** | **3,400.000** | | | | **2,039.96** | **1,755.73** | **284.23** | | |
| BARRICK GOLD CORP CAD | *Trade* | 5.000 | | 11/06/09 | 06/22/10 | 227.20 | 208.80 | 18.40 | | Y |

*Continued on page 72*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| BAYER A G SPON ADR | *Trade* | 1.000 | | 11/09/09 | 06/22/10 | 59 44 | 73.20 | (13.76) | | Y |
| | *Trade* | 1 000 | | 02/09/10 | 06/22/10 | 59.44 | 66.58 | (7.14) | | Y |
| | *Trade* | 6.000 | | 02/10/10 | 06/22/10 | 356 63 | 399.48 | (42.85) | | Y |
| | **Sub-Total:** | **8.000** | | | | **475.51** | **539.26** | **(63.75)** | | |
| BELLE INTL HLDGS LTD ADR | *Trade* | 12 000 | | 11/17/09 | 03/11/10 | 699.41 | 702.72 | (3.31) | | Y |
| | *Trade* | 5.000 | | 11/17/09 | 06/22/10 | 362.69 | 292.80 | 69.89 | | Y |
| | *Trade* | 12 000 | | 12/15/09 | 06/22/10 | 870.46 | 778.78 | 91.68 | | Y |
| | **Sub-Total:** | **29.000** | | | | **1,932.56** | **1,774.30** | **158.26** | | |
| BG GROUP PLC SPON ADR | *Trade* | 2.000 | | 09/14/09 | 06/22/10 | 160.52 | 186.00 | (25.48) | | Y |
| | *Trade* | 5 000 | | 09/23/09 | 06/22/10 | 401.29 | 454.85 | (53.56) | | Y |
| | **Sub-Total:** | **7.000** | | | | **561.81** | **640.85** | **(79.04)** | | |
| BHP BILLITON LTD SPON ADR | *Trade* | 35.000 | | 04/15/10 | 06/22/10 | 2,413.55 | 2,861.95 | (448.40) | | Y |
| BILFINGER BERGER SE ADR | *Trade* | 15.000 | | 09/11/09 | 06/22/10 | 178.50 | 203.12 | (24.62) | | Y |
| | *Trade* | 55.000 | | 09/14/09 | 06/22/10 | 654 48 | 731.76 | (77.28) | | Y |
| | **Sub-Total:** | **70.000** | | | | **832.98** | **934.88** | **(101.90)** | | |
| BLACKBOARD INC | *Trade* | 2.000 | | 06/24/09 | 02/17/10 | 77.75 | 55.21 | 22.54 | | Y |
| | *Trade* | 2 000 | | 06/24/09 | 03/11/10 | 83 75 | 55.21 | 28.54 | | Y |
| | **Sub-Total:** | **4.000** | | | | **161.50** | **110.42** | **51.08** | | |
| BLUE COAT SYSTEMS INC NEW | *Trade* | 3.000 | | 10/06/09 | 02/17/10 | 81.74 | 68.44 | 13.30 | | Y |
| | *Trade* | 2.000 | | 10/06/09 | 03/11/10 | 64.59 | 45.63 | 18 96 | | Y |
| | **Sub-Total:** | **5.000** | | | | **146.33** | **114.07** | **32.26** | | |
| BNP PARIBAS SA ADR | *Trade* | 8.000 | | 10/01/09 | 04/22/10 | 281.60 | 313.22 | (31.62) | | Y |
| | *Trade* | 7.000 | | 10/01/09 | 04/23/10 | 244 35 | 274.07 | (29.72) | | Y |
| | *Trade* | 23.000 | | 10/01/09 | 06/22/10 | 696.88 | 900.51 | (203.63) | | Y |
| | *Trade* | 4.000 | | 01/04/10 | 06/22/10 | 121.20 | 165.00 | (43 80) | | Y |
| | *Trade* | 13.000 | | 05/20/10 | 06/22/10 | 393.89 | 363.67 | 30.22 | | Y |
| | **Sub-Total:** | **55.000** | | | | **1,737.92** | **2,016.47** | **(278.55)** | | |

*Continued on page 73*

## **Short-Term Gain/Loss** - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| *Security Description* | *Activity Type* | *Quantity/ Face value* | *Original Cost Basis* | *Purchase date Date Acquired* | *Date Sold* | *Sale Amount* | *Cost or Other Basis* | *Gain/Loss* | *Remarks* | *Matches 1099-B* |
|---|---|---|---|---|---|---|---|---|---|---|
| BOOTS & COOTS INC COM NEW **MERGER EFF 09/2010** | *Trade* | 10.000 | | 12/28/09 | 02/17/10 | 17.00 | 15.87 | 1.13 | | Y |
| | *Trade* | 3.000 | | 01/04/10 | 02/17/10 | 5.10 | 4.97 | .13 | | Y |
| | *Trade* | 17.000 | | 01/04/10 | 03/11/10 | 36.37 | 28.14 | 8.23 | | Y |
| | *Trade* | 20.000 | | 01/05/10 | 04/12/10 | 58.80 | 33.95 | 24.85 | | Y |
| | *Trade* | 20.000 | | 01/06/10 | 04/12/10 | 58.80 | 34.51 | 24.29 | | Y |
| | *Trade* | 25.000 | | 01/07/10 | 04/12/10 | 73.50 | 44.09 | 29.41 | | Y |
| | *Trade* | 15.000 | | 01/08/10 | 04/12/10 | 44.10 | 25.81 | 18.29 | | Y |
| | *Trade* | 5.000 | | 01/11/10 | 04/12/10 | 14.70 | 8.84 | 5.86 | | Y |
| | *Trade* | 42.000 | | 01/12/10 | 04/12/10 | 123.48 | 72.43 | 51.05 | | Y |
| | **Sub-Total:** | **157.000** | | | | **431.85** | **268.61** | **163.24** | | |
| BOWLEVEN PLC GBP | *Trade* | 149.000 | | 02/04/10 | 06/22/10 | 299.63 | 268.83 | 30.80 | | Y |
| | *Trade* | 148.000 | | 02/05/10 | 06/22/10 | 297.62 | 256.68 | 40.94 | | Y |
| | *Trade* | 122.000 | | 02/08/10 | 06/22/10 | 245.34 | 215.53 | 29.81 | | Y |
| | *Trade* | 71.000 | | 02/09/10 | 06/22/10 | 142.78 | 127.09 | 15.69 | | Y |
| | *Trade* | 30.000 | | 02/10/10 | 06/22/10 | 60.33 | 54.74 | 5.59 | | Y |
| | **Sub-Total:** | **520.000** | | | | **1,045.70** | **922.87** | **122.83** | | |
| BP PLC SPON ADR | *Trade* | 21.000 | | 05/05/10 | 06/22/10 | 623.26 | 1,084.24 | (460.98) | | Y |
| BUNZL PLC ORD GBP | *Trade* | 10.000 | | 07/10/09 | 04/21/10 | 117.16 | 85.45 | 31.71 | | Y |
| | *Trade* | 83.000 | | 07/10/09 | 06/22/10 | 895.43 | 709.25 | 186.18 | | Y |
| | **Sub-Total:** | **93.000** | | | | **1,012.59** | **794.70** | **217.89** | | |
| CANON INC ADR JAPAN SPON ADR | *Trade* | 7.000 | | 10/09/09 | 04/20/10 | 322.61 | 268.87 | 53.74 | | Y |
| | *Trade* | 18.000 | | 10/09/09 | 06/22/10 | 749.32 | 691.39 | 57.93 | | Y |
| | *Trade* | 3.000 | | 12/02/09 | 06/22/10 | 124.89 | 115.97 | 8.92 | | Y |
| | *Trade* | 8.000 | | 02/18/10 | 06/22/10 | 333.03 | 329.95 | 3.08 | | Y |
| | **Sub-Total:** | **36.000** | | | | **1,529.85** | **1,406.18** | **123.67** | | |
| CANON SALES JPY | *Trade* | 100.000 | | 04/28/10 | 06/22/10 | 1,464.97 | 1,614 86 | (149.89) | | Y |
| CANTEL MEDICAL CORP | *Trade* | 3.000 | | 02/19/10 | 12/03/10 | 63.56 | 60.52 | 3.04 | | Y |
| CARNIVAL CORP NEW (PAIRED STOCK) | *Trade* | 11.000 | | 09/23/09 | 04/23/10 | 467.18 | 368.49 | 98.69 | | Y |
| | *Trade* | 17.000 | | 09/23/09 | 06/22/10 | 578.53 | 569.49 | 9.04 | | Y |
| | *Trade* | 8.000 | | 02/02/10 | 06/22/10 | 272.25 | 276.50 | (4.25) | | Y |
| | *Trade* | 7.000 | | 02/26/10 | 06/22/10 | 238.22 | 249.45 | (11.23) | | Y |

*Continued on page 74*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| *Security Description* | *Activity Type* | *Quantity/ Face value* | *Original Cost Basis* | *Purchase date Date Acquired* | *Date Sold* | *Sale Amount* | *Cost or Other Basis* | *Gain/Loss* | *Remarks* | *Matches 1099-B* |
|---|---|---|---|---|---|---|---|---|---|---|
| CARNIVAL CORP NEW (PAIRED STOCK) | *Trade* | 3 000 | | 05/21/10 | 06/22/10 | 102.09 | 107.70 | (5.61) | | Y |
| | **Sub-Total:** | **46.000** | | | | **1,658.27** | **1,571.63** | **86.64** | | |
| CENTRICA PLC NEW 2004 SPON ADR | *Trade* | 58.000 | | 08/27/09 | 05/27/10 | 908.71 | 913.71 | (5.00) | | Y |
| CHINA SHENHUA ENERGY CO LTD ADR | *Trade* | 21.000 | | 02/01/10 | 06/22/10 | 860.14 | 889.09 | (28.95) | | Y |
| CIA PARANAENSE ENERGI SPON ADR | *Trade* | 40.000 | | 06/23/10 | 10/20/10 | 965.86 | 775.06 | 190.80 | | Y |
| COCA COLA FEMSA S.A.B. DE C V (MEXICO) SPON ADR | *Trade* | 5.000 | | 06/23/10 | 07/26/10 | 334.68 | 330.52 | 4.16 | | Y |
| | *Trade* | 15.000 | | 06/23/10 | 07/27/10 | 1,008.20 | 991.56 | 16.64 | | Y |
| | *Trade* | 5 000 | | 06/23/10 | 08/02/10 | 347.79 | 330.52 | 17.27 | | Y |
| | *Trade* | 5.000 | | 06/23/10 | 10/20/10 | 399.54 | 330.52 | 69.02 | | Y |
| | **Sub-Total:** | **30.000** | | | | **2,090.21** | **1,983.12** | **107.09** | | |
| COMMERCE BANCSHARES | *Trade* | 1.000 | | 02/10/09 | 02/02/10 | 39.22 | 37.72 | 1.50 | | Y |
| | *Trade* | 4.000 | | 05/04/09 | 03/16/10 | 161.82 | 101.44 | 60.38 | | Y |
| | **Sub-Total:** | **5.000** | | | | **201.04** | **139.16** | **61.88** | | |
| COMMERCIAL METALS CO | *Trade* | 4.000 | | 03/20/09 | 03/11/10 | 68.21 | 43.22 | 24.99 | | Y |
| COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO PAULO ADS SPON ADR | *Trade* | 20.000 | | 06/23/10 | 10/20/10 | 952.98 | 814.59 | 138.39 | | Y |
| COMPUTER PROGRAMS & SYSTEMS INC | *Trade* | 1 000 | | 03/18/09 | 02/17/10 | 38.01 | 31.42 | 6.59 | | Y |
| | *Trade* | 1.000 | | 03/18/09 | 03/11/10 | 39 52 | 31.42 | 8.10 | | Y |
| | **Sub-Total:** | **2.000** | | | | **77.53** | **62.84** | **14.69** | | |
| COVIDIEN PLC | *Trade* | 5 000 | | 06/23/10 | 10/20/10 | 197 69 | 209.39 | (11.70) | | Y |
| CREDIT SUISSE GROUP SPON ADR | *Trade* | 7.000 | | 08/27/09 | 04/20/10 | 359 83 | 356 48 | 3.35 | | Y |
| | *Trade* | 17.000 | | 08/27/09 | 06/22/10 | 691.89 | 865.75 | (173.86) | | Y |
| | *Trade* | 9.000 | | 10/20/09 | 06/22/10 | 366.29 | 528 52 | (162 23) | | Y |

*Continued on page 75*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| CREDIT SUISSE GROUP SPON ADR | *Trade* | 3.000 | | 03/05/10 | 06/22/10 | 122.10 | 143.64 | (21.54) | | Y |
| | *Trade* | 8.000 | | 05/25/10 | 06/22/10 | 325.59 | 303.49 | 22.10 | | Y |
| | **Sub-Total:** | **44.000** | | | | **1,865.70** | **2,197.88** | **(332.18)** | | |
| CRH PLC IRELAND SPON ADR | *Trade* | 15.000 | | 06/23/10 | 11/12/10 | 269.73 | 341.47 | (71.74) | | Y |
| | *Trade* | 15.000 | | 06/23/10 | 11/15/10 | 277.88 | 341.47 | (63.59) | | Y |
| | *Trade* | 65 000 | | 06/23/10 | 11/16/10 | 1,179.09 | 1,479.69 | (300.60) | | Y |
| | *Trade* | 10.000 | | 06/23/10 | 12/02/10 | 196.89 | 227.64 | (30.75) | | Y |
| | *Trade* | 5.000 | | 06/23/10 | 12/03/10 | 98.57 | 113.82 | (15.25) | | Y |
| | *Trade* | 5.000 | | 06/23/10 | 12/06/10 | 97.50 | 113.82 | (16.32) | | Y |
| | *Trade* | 10.000 | | 06/23/10 | 12/07/10 | 200.71 | 227.64 | (26.93) | | Y |
| | *Trade* | 5.000 | | 07/16/10 | 12/08/10 | 98.67 | 101.33 | (2.66) | | Y |
| | *Trade* | 10.000 | | 07/16/10 | 12/09/10 | 198.77 | 202.67 | (3.90) | | Y |
| | *Trade* | 5.000 | | 07/16/10 | 12/10/10 | 98.51 | 101.33 | (2.82) | | Y |
| | *Trade* | 30.000 | | 09/21/10 | 12/10/10 | 591.06 | 517.94 | 73.12 | | Y |
| | **Sub-Total:** | **175.000** | | | | **3,307.38** | **3,768.82** | **(461.44)** | | |
| DEUTSCHE TELEKOM AG DE SPON ADR | *Trade* | 33.000 | | 08/26/09 | 06/22/10 | 390.72 | 440.56 | (49.84) | | Y |
| | *Trade* | 28.000 | | 02/05/10 | 06/22/10 | 331.52 | 351.96 | (20.44) | | Y |
| | **Sub-Total:** | **61.000** | | | | **722.24** | **792.52** | **(70.28)** | | |
| E ON AG SPON ADR | *Trade* | 23.000 | | 05/27/10 | 06/22/10 | 681.71 | 696.96 | (15.25) | | Y |
| | *Trade* | 14.000 | | 05/28/10 | 06/22/10 | 414.95 | 428.65 | (13.70) | | Y |
| | **Sub-Total:** | **37.000** | | | | **1,096.66** | **1,125.61** | **(28.95)** | | |
| EFG EUROBANK ERGASIAS S A ADR | *Trade* | 222.000 | | 02/01/10 | 05/11/10 | 727.94 | 995.14 | (267.20) | | Y |
| FAMILYMART CO LTD ADR | *Trade* | 17.000 | | 09/14/09 | 06/22/10 | 545.69 | 529.48 | 16.21 | | Y |
| | *Trade* | 20.000 | | 09/15/09 | 06/22/10 | 641.99 | 618.18 | 23.81 | | Y |
| | *Trade* | 12.000 | | 09/16/09 | 06/22/10 | 385.19 | 373.31 | 11.88 | | Y |
| | **Sub-Total:** | **49.000** | | | | **1,572.87** | **1,520.97** | **51.90** | | |
| FAST RETAILING CO LTD ADR | *Trade* | 59.000 | | 05/19/10 | 06/22/10 | 923.92 | 862.33 | 61.59 | | Y |
| | *Trade* | 17.000 | | 06/15/10 | 06/22/10 | 266.21 | 255.94 | 10.27 | | Y |
| | **Sub-Total:** | **76.000** | | | | **1,190.13** | **1,118.27** | **71.86** | | |

*Continued on page 76*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| FRANCE TELECOM SA SPON ADR | *Trade* | 40.000 | | 06/23/10 | 10/20/10 | 927.58 | 736.74 | 190.84 | | Y |
| FRESENIUS MEDICAL CARE AG & CO KGAA SPON ADR | *Trade* | 1.000 | | 11/04/09 | 06/22/10 | 54.21 | 50.22 | 3.99 | | Y |
| | *Trade* | 2.000 | | 02/22/10 | 06/22/10 | 108.42 | 102.15 | 6.27 | | Y |
| | **Sub-Total:** | **3.000** | | | | **162.63** | **152.37** | **10.26** | | |
| FUJI HEAVY INDS LTD ADR | *Trade* | 5.000 | | 08/13/10 | 10/20/10 | 332.49 | 273.30 | 59.19 | | Y |
| GEN-PROBE INC | *Trade* | 1.000 | | 03/11/09 | 02/17/10 | 44.52 | 41.16 | 3.36 | | Y |
| | *Trade* | 1.000 | | 03/11/09 | 03/11/10 | 46.38 | 41.16 | 5.22 | | Y |
| | **Sub-Total:** | **2.000** | | | | **90.90** | **82.32** | **8.58** | | |
| GOLD FIELDS LTD SPON ADR | *Trade* | 32.000 | | 10/27/09 | 06/22/10 | 436.52 | 436.21 | .31 | | Y |
| GREEN MTN COFFEE ROASTERS INC | *Trade* | 2.000 | | 03/11/09 | 02/10/10 | 163.32 | 37.95 | 125.37 | | Y |
| HONDA MOTOR CO ADR JAPAN ADR | *Trade* | 8.000 | | 07/29/09 | 01/14/10 | 293.70 | 246.16 | 47.54 | | Y |
| | *Trade* | 6.000 | | 07/29/09 | 01/15/10 | 222.38 | 184.62 | 37.76 | | Y |
| | *Trade* | 5.000 | | 07/29/09 | 03/15/10 | 181.50 | 153.85 | 27.65 | | Y |
| | *Trade* | 9.000 | | 07/29/09 | 06/22/10 | 273.32 | 276.93 | (3.61) | | Y |
| | *Trade* | 9.000 | | 08/06/09 | 06/22/10 | 273.32 | 293.15 | (19.83) | | Y |
| | *Trade* | 16.000 | | 10/09/09 | 06/22/10 | 485.91 | 488.57 | (2.66) | | Y |
| | *Trade* | 8.000 | | 10/13/09 | 06/22/10 | 242.95 | 248.97 | (6.02) | | Y |
| | **Sub-Total:** | **61.000** | | | | **1,973.08** | **1,892.25** | **80.83** | | |
| HORACE MANN EDUCATORS CORP NEW | *Trade* | 3.000 | | 09/16/09 | 02/17/10 | 39.86 | 42.67 | (2.81) | | Y |
| | *Trade* | 3.000 | | 09/16/09 | 03/11/10 | 42.23 | 42.67 | (.44) | | Y |
| | **Sub-Total:** | **6.000** | | | | **82.09** | **85.34** | **(3.25)** | | |
| HSBC HOLDINGS PLC NEW GB SPON ADR | *Trade* | 4.000 | | 05/05/09 | 03/10/10 | 211.36 | 155.89 | 55.47 | | Y |
| IDEXX LABS | *Trade* | 4.000 | | 03/11/09 | 02/22/10 | 210.96 | 118.90 | 92.06 | | Y |
| INPEX CORP ADR | *Trade* | 4.000 | | 06/25/09 | 06/22/10 | 240.59 | 304.29 | (63.70) | | Y |
| | *Trade* | 6.000 | | 11/27/09 | 06/22/10 | 360.89 | 473.57 | (112.68) | | Y |
| | **Sub-Total:** | **10.000** | | | | **601.48** | **777.86** | **(176.38)** | | |

*Continued on page 77*

# 2010 Informational Tax Statement

C36G003985-X

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| INTL POWER PLC ADR | *Trade* | 30.000 | | 06/23/10 | 08/13/10 | 1,709.30 | 1,421.70 | 287.60 | | Y |
| ISHARES INC MSCI JAPAN INDEX FD | *Trade* | 132.000 | | 12/04/09 | 04/27/10 | 1,370.85 | 1,322.72 | 48.13 | | Y |
| | *Trade* | 93.000 | | 12/04/09 | 06/22/10 | 903.08 | 931.92 | (28.84) | | Y |
| | **Sub-Total:** | **225.000** | | | | **2,273.93** | **2,254.64** | **19.29** | | |
| JONES LANG LASALLE INC | *Trade* | 1.000 | | 08/26/09 | 05/11/10 | 79.91 | 45.07 | 34.84 | | Y |
| KIRIN HOLDINGS LTD SPON ADR | *Trade* | 32.000 | | 07/14/09 | 06/22/10 | 414.71 | 491.36 | (76.65) | | Y |
| | *Trade* | 30.000 | | 08/25/09 | 06/22/10 | 388.79 | 437.89 | (49.10) | | Y |
| | *Trade* | 21.000 | | 01/04/10 | 06/22/10 | 272.15 | 342.31 | (70.16) | | Y |
| | **Sub-Total:** | **83.000** | | | | **1,075.65** | **1,271.56** | **(195.91)** | | |
| KONINKLIJKE AHOLD NV NEW 2007 SPON ADR | *Trade* | 19.000 | | 02/19/10 | 06/22/10 | 246.80 | 232.65 | 14.15 | | Y |
| | *Trade* | 11.000 | | 05/21/10 | 06/22/10 | 142.89 | 138.63 | 4.26 | | Y |
| | **Sub-Total:** | **30.000** | | | | **389.69** | **371.28** | **18.41** | | |
| LIQUIDITY SERVICES INC | *Trade* | 4.000 | | 07/10/09 | 02/17/10 | 50.23 | 37.44 | 12.79 | | Y |
| | *Trade* | 1.000 | | 07/10/09 | 03/11/10 | 12.74 | 9.36 | 3.38 | | Y |
| | *Trade* | 4.000 | | 07/15/09 | 03/11/10 | 50.97 | 40.30 | 10.67 | | Y |
| | **Sub-Total:** | **9.000** | | | | **113.94** | **87.10** | **26.84** | | |
| LOREAL CO ADR FRANCE ADR | *Trade* | 26.000 | | 02/11/10 | 06/22/10 | 532.47 | 539.49 | (7.02) | | Y |
| | *Trade* | 24.000 | | 02/16/10 | 06/22/10 | 491.51 | 484.02 | 7.49 | | Y |
| | **Sub-Total:** | **50.000** | | | | **1,023.98** | **1,023.51** | **.47** | | |
| LULULEMON ATHLETICA INC | *Trade* | 4.000 | | 06/15/09 | 02/17/10 | 115.19 | 55.29 | 59.90 | | Y |
| | *Trade* | 6.000 | | 06/15/09 | 03/11/10 | 204.33 | 82.93 | 121.40 | | Y |
| | **Sub-Total:** | **10.000** | | | | **319.52** | **138.22** | **181.30** | | |
| MAKITA CORP ADR JAPAN ADR | *Trade* | 30.000 | | 06/17/10 | 06/22/10 | 874.48 | 874.39 | .09 | | Y |
| MAN WAH HOLDINGS LTD HKD | *Trade* | 1,200.000 | | 05/28/10 | 06/23/10 | 1,170.34 | 1,046.40 | 123.94 | | Y |
| MARKS & SPENCER GROUP INC SPON ADR | *Trade* | 25.000 | | 06/23/10 | 10/20/10 | 322.24 | 261.25 | 60.99 | | Y |

*Continued on page 78*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| MARTEK BIOSCIENCES CORP | Trade | 4.000 | | 06/22/09 | 02/17/10 | 82.67 | 82.22 | .45 | | Y |
| | Trade | 4 000 | | 06/22/09 | 03/11/10 | 91.15 | 82.22 | 8.93 | | Y |
| | **Sub-Total:** | **8.000** | | | | **173.82** | **164.44** | **9.38** | | |
| MILLICOM INTL CELLULAR SA NEW | Trade | 4.000 | | 01/04/10 | 06/22/10 | 342.17 | 311.96 | 30.21 | | Y |
| MITSUBISHI CORP SPONS ADR ADR | Trade | 7.000 | | 10/13/09 | 06/22/10 | 309.67 | 300.52 | 9.15 | | Y |
| | Trade | 7.000 | | 12/07/09 | 06/22/10 | 309.67 | 348.93 | (39.26) | | Y |
| | Trade | 6.000 | | 05/26/10 | 06/22/10 | 265.43 | 266 24 | ( 81) | | Y |
| | **Sub-Total:** | **20.000** | | | | **884.77** | **915.69** | **(30.92)** | | |
| MITSUI & CO LTD ADR JAPAN ADR | Trade | 2.000 | | 06/23/10 | 10/22/10 | 631.80 | 518.35 | 113.45 | | Y |
| MTN GROUP LTD SPON ADR | Trade | 57.000 | | 03/19/10 | 06/22/10 | 849.28 | 968.83 | (119.55) | | Y |
| NESTLE S A SPONSORED ADR REPSTG REG SHS SWITZ ADR | Trade | 3 000 | | 07/08/09 | 06/22/10 | 144.06 | 113.57 | 30.49 | | Y |
| | Trade | 5.000 | | 02/19/10 | 06/22/10 | 240.10 | 243.93 | (3.83) | | Y |
| | **Sub-Total:** | **8.000** | | | | **384.16** | **357.50** | **26.66** | | |
| NEXEN INC CAD | Trade | 20.000 | | 06/23/10 | 10/20/10 | 430.99 | 431.53 | (.54) | | Y |
| NINTENDO LTD ADR NEW JAPAN ADR | Trade | 7.000 | | 06/29/09 | 06/22/10 | 270 96 | 244.61 | 26 35 | | Y |
| | Trade | 2.000 | | 03/02/10 | 06/22/10 | 77.42 | 72.30 | 5.12 | | Y |
| | Trade | 10.000 | | 03/03/10 | 06/22/10 | 387.09 | 365.29 | 21.80 | | Y |
| | **Sub-Total:** | **19.000** | | | | **735.47** | **682.20** | **53.27** | | |
| NIPPON STEEL CORP UNSPON ADR | Trade | 16.000 | | 10/16/09 | 04/21/10 | 598.93 | 639.39 | (40 46) | | Y |
| | Trade | 8 000 | | 10/16/09 | 06/22/10 | 280.07 | 319 69 | (39.62) | | Y |
| | Trade | 9 000 | | 12/04/09 | 06/22/10 | 315.08 | 356 59 | (41.51) | | Y |
| | Trade | 8 000 | | 02/19/10 | 06/22/10 | 280 07 | 287.50 | (7.43) | | Y |
| | **Sub-Total:** | **41.000** | | | | **1,474.15** | **1,603.17** | **(129.02)** | | |
| NIPPON TELEG & TEL CORP SPON ADR | Trade | 10 000 | | 02/24/09 | 02/11/10 | 217.76 | 219.71 | (1 95) | | Y |
| | Trade | 11.000 | | 02/25/09 | 02/11/10 | 239.53 | 236 72 | 2.81 | | Y |
| | Trade | 11 000 | | 09/02/09 | 02/11/10 | 239 53 | 242 38 | (2.85) | | Y |
| | **Sub-Total:** | **32.000** | | | | **696.82** | **698.81** | **(1.99)** | | |

*Continued on page 79*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| NISSAN MTR LTD SPONS ADR JAPAN ADR | *Trade* | 22.000 | | 12/03/09 | 04/05/10 | 383.83 | 348.72 | 35.11 | | Y |
| NOKIA CORP SPONS ADR FINLAND ADR | *Trade* | 30.000 | | 06/23/10 | 10/20/10 | 323.20 | 257.66 | 65.54 | | Y |
| NOMURA HOLDINGS INC NEW SPON ADR | *Trade* | 30.000 | | 07/28/09 | 06/22/10 | 176.74 | 256.76 | (80.02) | | Y |
| | *Trade* | 50.000 | | 10/01/09 | 06/22/10 | 294.57 | 293.17 | 1.40 | | Y |
| | *Trade* | 89.000 | | 11/19/09 | 06/22/10 | 524.33 | 574.05 | (49.72) | | Y |
| | *Trade* | 45.000 | | 11/25/09 | 06/22/10 | 265.11 | 301.63 | (36.52) | | Y |
| | *Trade* | 36 000 | | 11/27/09 | 06/22/10 | 212.09 | 248.15 | (36.06) | | Y |
| | *Trade* | 54.000 | | 12/03/09 | 06/22/10 | 318.14 | 412.55 | (94.41) | | Y |
| | **Sub-Total:** | **304.000** | | | | **1,790.98** | **2,086.31** | **(295.33)** | | |
| NOVARTIS AG SPON ADR | *Trade* | 7.000 | | 10/15/09 | 06/22/10 | 342.78 | 361.46 | (18.68) | | Y |
| NTT DOCOMO INC ECH REPSTG 1/200TH COM SHS SPON ADR | *Trade* | 29 000 | | 07/13/09 | 06/22/10 | 437.02 | 441.03 | (4.01) | | Y |
| | *Trade* | 16.000 | | 09/09/09 | 06/22/10 | 241.11 | 246.30 | (5.19) | | Y |
| | **Sub-Total:** | **45.000** | | | | **678.13** | **687.33** | **(9.20)** | | |
| NUTRACEUTICAL INTL CORP | *Trade* | 3.000 | | 01/29/10 | 03/11/10 | 45.29 | 38.98 | 6.31 | | Y |
| NUTRI/SYSTEMS INC | *Trade* | 4.000 | | 04/13/09 | 02/17/10 | 82.85 | 59.35 | 23.50 | | Y |
| | *Trade* | 2.000 | | 04/13/09 | 03/11/10 | 35.95 | 29.67 | 6.28 | | Y |
| | *Trade* | 2.000 | | 08/27/09 | 07/26/10 | 44.97 | 29.04 | 15.93 | | Y |
| | **Sub-Total:** | **8.000** | | | | **163.77** | **118.06** | **45.71** | | |
| PANASONIC CORP SPON ADR | *Trade* | 28.000 | | 10/20/09 | 03/05/10 | 400.18 | 405.22 | (5.04) | | Y |
| | *Trade* | 40.000 | | 10/20/09 | 06/22/10 | 542.03 | 578.88 | (36.85) | | Y |
| | *Trade* | 8.000 | | 10/29/09 | 06/22/10 | 108.41 | 111.48 | (3.07) | | Y |
| | *Trade* | 12.000 | | 10/30/09 | 06/22/10 | 162.61 | 170.67 | (8.06) | | Y |
| | *Trade* | 10.000 | | 12/03/09 | 06/22/10 | 135.51 | 136.90 | (1.39) | | Y |
| | *Trade* | 17.000 | | 01/19/10 | 06/22/10 | 230.36 | 285.21 | (54.85) | | Y |
| | **Sub-Total:** | **115.000** | | | | **1,579.10** | **1,688.36** | **(109.26)** | | |
| PEARSON PLC SPON ADR | *Trade* | 80.000 | | 06/23/10 | 08/12/10 | 1,224.07 | 1,123.87 | 100.20 | | Y |
| | *Trade* | 40.000 | | 06/23/10 | 08/18/10 | 606.94 | 561.94 | 45.00 | | Y |
| | **Sub-Total:** | **120.000** | | | | **1,831.01** | **1,685.81** | **145.20** | | |

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# 2010 Informational Tax Statement

C36G003988-X

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| *Security Description* | *Activity Type* | *Quantity/ Face value* | *Original Cost Basis* | *Purchase date Date Acquired* | *Date Sold* | *Sale Amount* | *Cost or Other Basis* | *Gain/Loss* | *Remarks* | *Matches 1099-B* |
|---|---|---|---|---|---|---|---|---|---|---|
| POTASH CORP SASK INC<br>CANADA CAD | *Trade* | 10 000 | | 09/22/09 | 06/22/10 | 996.28 | 947.13 | 49.15 | | Y |
| | *Trade* | 1.000 | | 11/18/09 | 06/22/10 | 99.63 | 113.80 | (14.17) | | Y |
| | *Trade* | 1.000 | | 12/31/09 | 06/22/10 | 99.63 | 109.75 | (10.12) | | Y |
| | **Sub-Total:** | **12.000** | | | | **1,195.54** | **1,170.68** | **24.86** | | |
| PREMIER OIL PLC SHS GBP | *Trade* | 4.000 | | 01/05/10 | 05/07/10 | 65.84 | 77.94 | (12.10) | | Y |
| | *Trade* | 48.000 | | 01/05/10 | 06/22/10 | 853.20 | 935.27 | (82 07) | | Y |
| | *Trade* | 5 000 | | 05/27/10 | 06/22/10 | 88.88 | 85.34 | 3.54 | | Y |
| | **Sub-Total:** | **57.000** | | | | **1,007.92** | **1,098.55** | **(90.63)** | | |
| RIO TINTO PLC SPON ADR | *Trade* | 10.000 | | 08/19/10 | 10/20/10 | 643.58 | 513.52 | 130.06 | | Y |
| RIVERBED TECHNOLOGY INC | *Trade* | 4.000 | | 11/02/09 | 02/17/10 | 106.16 | 83.02 | 23.14 | | Y |
| | *Trade* | 3.000 | | 11/02/09 | 03/11/10 | 85.25 | 62.26 | 22.99 | | Y |
| | *Trade* | 14.000 | | 11/02/09 | 10/22/10 | 762.59 | 290.56 | 472.03 | | Y |
| | *Trade* | 12.000 | | 12/23/09 | 10/22/10 | 653 65 | 274.89 | 378.76 | | Y |
| | **Sub-Total:** | **33.000** | | | | **1,607.65** | **710.73** | **896.92** | | |
| ROCHE HLDG LTD SPONS ADR<br>SWITZ ADR | *Trade* | 5.000 | | 07/08/09 | 06/22/10 | 175.65 | 172.09 | 3.56 | | Y |
| | *Trade* | 2.000 | | 03/15/10 | 06/22/10 | 70.26 | 82.11 | (11 85) | | Y |
| | *Trade* | 8.000 | | 03/16/10 | 06/22/10 | 281.03 | 331.98 | (50.95) | | Y |
| | **Sub-Total:** | **15.000** | | | | **526.94** | **586.18** | **(59.24)** | | |
| ROSSI RESIDENCIAL S A<br>BRL | *Trade* | 130 000 | | 09/30/09 | 06/22/10 | 505.69 | 526.25 | (20.56) | | Y |
| | *Trade* | 100.000 | | 10/01/09 | 06/22/10 | 388.99 | 387.10 | 1.89 | | Y |
| | **Sub-Total:** | **230.000** | | | | **894.68** | **913.35** | **(18.67)** | | |
| ROYAL DUTCH SHELL PLC<br>CL A SPON ADR | *Trade* | 10 000 | | 06/23/10 | 10/20/10 | 631.22 | 540.00 | 91.22 | | Y |
| SAGE GROUP PLC ADR | *Trade* | 10.000 | | 07/21/10 | 10/20/10 | 171.09 | 148.13 | 22.96 | | Y |
| SANDS CHINA LTD | *Trade* | 800 000 | | 03/11/10 | 06/23/10 | 1,290.05 | 1,135.04 | 155.01 | | Y |
| | *Trade* | 400 000 | | 03/12/10 | 06/23/10 | 645.03 | 568 20 | 76.83 | | Y |
| | **Sub-Total:** | **1,200.000** | | | | **1,935.08** | **1,703.24** | **231.84** | | |
| SAP AG SPON ADR | *Trade* | 30 000 | | 06/23/10 | 07/19/10 | 1,446.08 | 1,377.09 | 68.99 | | Y |

*Continued on page 81*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B.*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| SASOL LTD SPON ADR | *Trade* | 15.000 | | 06/23/10 | 10/20/10 | 684.58 | 568.58 | 116.00 | | Y |
| SECOM LTD ADR JAPAN ADR | *Trade* | 2.000 | | 08/10/09 | 06/22/10 | 179.70 | 172.87 | 6.83 | | Y |
| SIEMENS A G SPON ADR | *Trade* | 5.000 | | 06/23/10 | 10/20/10 | 575.99 | 475.97 | 100.02 | | Y |
| SIGNATURE BANK NEW YORK N Y | *Trade* | 3.000 | | 06/25/09 | 02/17/10 | 104.29 | 79.42 | 24.87 | | Y |
| | *Trade* | 4.000 | | 06/25/09 | 03/11/10 | 155.07 | 105.89 | 49.18 | | Y |
| | **Sub-Total:** | **7.000** | | | | **259.36** | **185.31** | **74.05** | | |
| SILICONWARE PRECISION INDS CO LTD ADR | *Trade* | 75.000 | | 06/23/10 | 11/12/10 | 384.96 | 431.78 | (46.82) | | Y |
| | *Trade* | 35.000 | | 06/23/10 | 11/15/10 | 180.19 | 201.50 | (21.31) | | Y |
| | *Trade* | 110.000 | | 06/23/10 | 11/16/10 | 561.05 | 633.27 | (72.22) | | Y |
| | *Trade* | 20.000 | | 06/23/10 | 11/17/10 | 102.10 | 115.14 | (13.04) | | Y |
| | *Trade* | 30.000 | | 10/25/10 | 11/17/10 | 153.16 | 161.48 | (8.32) | | Y |
| | **Sub-Total:** | **270.000** | | | | **1,381.46** | **1,543.17** | **(161.71)** | | |
| SK TELECOM CO LTD ADR | *Trade* | 30.000 | | 06/23/10 | 10/20/10 | 551.69 | 463.76 | 87.93 | | Y |
| SKYWORKS SOLUTIONS INC | *Trade* | 5.000 | | 10/22/09 | 02/17/10 | 71.46 | 55.63 | 15.83 | | Y |
| | *Trade* | 8.000 | | 10/22/09 | 03/11/10 | 123.75 | 89.01 | 34.74 | | Y |
| | *Trade* | 15.000 | | 10/22/09 | 09/22/10 | 296.27 | 166.90 | 129.37 | | Y |
| | *Trade* | 28.000 | | 02/03/10 | 10/26/10 | 610.49 | 387.04 | 223.45 | | Y |
| | **Sub-Total:** | **56.000** | | | | **1,101.97** | **698.58** | **403.39** | | |
| SONY CORP ADR NEW JAPAN ADR | *Trade* | 10.000 | | 12/23/09 | 06/22/10 | 278.39 | 293.42 | (15.03) | | Y |
| | *Trade* | 29.000 | | 12/24/09 | 06/22/10 | 807.34 | 848.47 | (41.13) | | Y |
| | *Trade* | 6.000 | | 01/12/10 | 06/22/10 | 167.04 | 189.52 | (22.48) | | Y |
| | *Trade* | 3.000 | | 05/11/10 | 06/22/10 | 83.52 | 101.41 | (17.89) | | Y |
| | **Sub-Total:** | **48.000** | | | | **1,336.29** | **1,432.82** | **(96.53)** | | |
| STATOIL ASA SPON ADR | *Trade* | 15.000 | | 06/23/10 | 10/20/10 | 324.49 | 309.88 | 14.61 | | Y |
| STRABAG AG EUR | *Trade* | 2.000 | | 09/21/09 | 01/27/10 | 409.43 | 514.79 | (105.36) | | Y |
| SUMITOMO MITSUI FINANCIAL GROUP INC ADR | *Trade* | 38.000 | | 09/30/09 | 06/08/10 | 107.15 | 131.32 | (24.17) | | Y |
| | *Trade* | 112.000 | | 09/30/09 | 06/09/10 | 312.81 | 387.05 | (74.24) | | Y |
| | *Trade* | 70.000 | | 10/09/09 | 06/22/10 | 203.70 | 266.42 | (62.72) | | Y |

*Continued on page 82*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| SUMITOMO MITSUI FINANCIAL GROUP INC ADR | *Trade* | 217.000 | | 10/13/09 | 06/22/10 | 631 46 | 829.48 | (198.02) | | Y |
| | *Trade* | 10.000 | | 10/20/09 | 06/22/10 | 29.10 | 35.63 | (6.53) | | Y |
| | *Trade* | 60.000 | | 10/21/09 | 06/22/10 | 174.60 | 213.35 | (38.75) | | Y |
| | *Trade* | 142.000 | | 01/14/10 | 06/22/10 | 413.21 | 452.82 | (39.61) | | Y |
| | *Trade* | 59.000 | | 03/29/10 | 06/22/10 | 171.69 | 193.97 | (22.28) | | Y |
| | *Trade* | 26.000 | | 03/30/10 | 06/22/10 | 75.66 | 87.28 | (11.62) | | Y |
| | **Sub-Total:** | **734.000** | | | | **2,119.38** | **2,597.32** | **(477.94)** | | |
| SVENSKA CELLULOSA AB (SCA) SPON ADR | *Trade* | 20.000 | | 06/23/10 | 08/20/10 | 269.89 | 247.20 | 22.69 | | Y |
| | *Trade* | 20.000 | | 06/23/10 | 10/20/10 | 315.39 | 247.20 | 68.19 | | Y |
| | **Sub-Total:** | **40.000** | | | | **585.28** | **494.40** | **90.88** | | |
| T-3 ENERGY SERVICES INC **MERGER EFF: 01/2011** | *Trade* | 3.000 | | 12/03/09 | 02/17/10 | 72.89 | 76.67 | (3.78) | | Y |
| | *Trade* | 3.000 | | 12/03/09 | 03/11/10 | 79.84 | 76.67 | 3 17 | | Y |
| | **Sub-Total:** | **6.000** | | | | **152.73** | **153.34** | **(.61)** | | |
| TCF FINANCIAL CORP | *Trade* | 8.000 | | 12/15/09 | 02/17/10 | 113.69 | 106 44 | 7.25 | | Y |
| | *Trade* | 10.000 | | 12/15/09 | 03/11/10 | 150.80 | 133.05 | 17.75 | | Y |
| | **Sub-Total:** | **18.000** | | | | **264.49** | **239.49** | **25.00** | | |
| TECHNIP SA NEW SPON ADR | *Trade* | 20.000 | | 06/23/10 | 09/23/10 | 1,540.01 | 1,283.00 | 257.01 | | Y |
| | *Trade* | 25.000 | | 06/23/10 | 09/27/10 | 1,958.47 | 1,603.75 | 354.72 | | Y |
| | **Sub-Total:** | **45.000** | | | | **3,498.48** | **2,886.75** | **611.73** | | |
| TELE NORTE LESTE PARTICIPACOES S A ADR | *Trade* | 20.000 | | 07/17/09 | 06/22/10 | 327.39 | 291.23 | 36.16 | | Y |
| TEMPUR-PEDIC INTL INC | *Trade* | 5 000 | | 09/22/09 | 02/17/10 | 143.14 | 90.64 | 52.50 | | Y |
| | *Trade* | 4 000 | | 09/22/09 | 03/11/10 | 123.72 | 72 51 | 51.21 | | Y |
| | **Sub-Total:** | **9.000** | | | | **266.86** | **163.15** | **103.71** | | |
| TOSHIBA CORP ADR | *Trade* | 14 000 | | 07/23/09 | 05/26/10 | 411.42 | 343 01 | 68 41 | | Y |
| | *Trade* | 6.000 | | 07/23/09 | 06/22/10 | 194.10 | 147.00 | 47.10 | | Y |
| | *Trade* | 11 000 | | 07/28/09 | 06/22/10 | 355.84 | 277.27 | 78.57 | | Y |
| | *Trade* | 19.000 | | 07/31/09 | 06/22/10 | 614 64 | 504.31 | 110 33 | | Y |
| | *Trade* | 4 000 | | 10/22/09 | 06/22/10 | 129.40 | 143 95 | (14.55) | | Y |
| | **Sub-Total:** | **54.000** | | | | **1,705.40** | **1,415.54** | **289.86** | | |

*Continued on page 83*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| TOTAL S.A. FRANCE SPON ADR | Trade | 1.000 | | 12/21/09 | 06/22/10 | 49.19 | 62.66 | (13.47) | | Y |
| TOYOTA MOTOR CORP NEW JAPAN SPON ADR | Trade | 17.000 | | 01/14/10 | 06/22/10 | 1,221.60 | 1,547.79 | (326.19) | | Y |
| | Trade | 2.000 | | 01/29/10 | 06/22/10 | 143.72 | 154.46 | (10.74) | | Y |
| | Trade | 4.000 | | 02/04/10 | 06/22/10 | 287.43 | 287.21 | .22 | | Y |
| | Trade | 5.000 | | 03/15/10 | 06/22/10 | 359.29 | 389.74 | (30.45) | | Y |
| | Trade | 4.000 | | 03/16/10 | 06/22/10 | 287.43 | 315.44 | (28.01) | | Y |
| | Trade | 6.000 | | 03/29/10 | 06/22/10 | 431.15 | 485.32 | (54.17) | | Y |
| | **Sub-Total:** | **38.000** | | | | **2,730.62** | **3,179.96** | **(449.34)** | | |
| TRANSCANADA CORP (HOLDING CO) CAD | Trade | 5.000 | | 06/23/10 | 07/16/10 | 171.16 | 177.18 | (6.02) | | Y |
| | Trade | 5.000 | | 06/23/10 | 07/21/10 | 173.10 | 177.18 | (4.08) | | Y |
| | Trade | 15.000 | | 06/23/10 | 07/22/10 | 531.61 | 531.55 | .06 | | Y |
| | Trade | 10.000 | | 06/23/10 | 07/23/10 | 352.11 | 354.37 | (2.26) | | Y |
| | Trade | 10.000 | | 06/23/10 | 07/26/10 | 355.27 | 354.37 | .90 | | Y |
| | **Sub-Total:** | **45.000** | | | | **1,583.25** | **1,594.65** | **(11.40)** | | |
| TURKCELL ILETISIM HIZMETLERI A.S NEW ADR | Trade | 30.000 | | 06/23/10 | 10/20/10 | 559.79 | 400.40 | 159.39 | | Y |
| ULTRA ELECTRONICS HLDGS PLC ADR | Trade | 25.000 | | 04/16/09 | 02/16/10 | 251.74 | 223.17 | 28.57 | | Y |
| | Trade | 35.000 | | 04/17/09 | 02/16/10 | 352.44 | 311.00 | 41.44 | | Y |
| | Trade | 22 000 | | 04/20/09 | 02/16/10 | 221.53 | 189.53 | 32.00 | | Y |
| | **Sub-Total:** | **82.000** | | | | **825.71** | **723.70** | **102.01** | | |
| UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR | Trade | 20.000 | | 06/05/09 | 02/05/10 | 572.23 | 493.97 | 78.26 | | Y |
| UNITED PARCEL SERVICE INC CL B | Trade | 24.000 | | 02/04/10 | 07/23/10 | 1,527.55 | 1,386.30 | 141.25 | | Y |
| UNIVERSAL TECHNICAL INSTITUTE INC | Trade | 2.000 | | 09/02/09 | 02/17/10 | 48.17 | 38.63 | 9.54 | | Y |
| | Trade | 2.000 | | 09/02/09 | 03/11/10 | 52.33 | 38.63 | 13.70 | | Y |
| | **Sub-Total:** | **4.000** | | | | **100.50** | **77.26** | **23.24** | | |

*Continued on page 84*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| US TSY NOTE 01.875 %<br>DUE 02/28/14<br>DTD 02/28/09 FC 08/31/09 | *Trade* | 5,000.000 | | 04/15/09 | 01/25/10 | 4,978.91 | 5,040.45 | (61.54) | | Y |
| US TSY NOTE 03.125 %<br>DUE 05/15/19<br>DTD 05/15/09 FC 11/15/09 | *Trade* | 1,000.000 | | 06/19/09 | 01/25/10 | 964.22 | 946.48 | 17.74 | | Y |
| | *Trade* | 4,000.000 | | 07/31/09 | 01/25/10 | 3,856.87 | 3,869.06 | (12.19) | | Y |
| | **Sub-Total:** | **5,000.000** | | | | **4,821.09** | **4,815.54** | **5.55** | | |
| VODAFONE GROUP PLC NEW<br>SPON ADR | *Trade* | 9.000 | | 09/08/09 | 06/22/10 | 190.17 | 203.85 | (13.68) | | Y |
| | *Trade* | 14.000 | | 12/02/09 | 06/22/10 | 295.81 | 335.90 | (40.09) | | Y |
| | **Sub-Total:** | **23.000** | | | | **485.98** | **539.75** | **(53.77)** | | |
| WALT DISNEY CO (HOLDING<br>CO) DISNEY COM | *Trade* | 70.000 | | 12/21/09 | 10/06/10 | 2,360.18 | 2,268.00 | 92.18 | | Y |
| WHITE ENERGY CO LTD AUD | *Trade* | 55 000 | | 11/11/09 | 06/22/10 | 168 85 | 137.51 | 31.34 | | Y |
| | *Trade* | 85.000 | | 11/12/09 | 06/22/10 | 260.95 | 222.00 | 38.95 | | Y |
| | *Trade* | 40.000 | | 11/13/09 | 06/22/10 | 122.80 | 103.12 | 19 68 | | Y |
| | *Trade* | 30.000 | | 11/16/09 | 06/22/10 | 92.10 | 77.97 | 14.13 | | Y |
| | *Trade* | 25 000 | | 11/17/09 | 06/22/10 | 76.75 | 64.46 | 12.29 | | Y |
| | *Trade* | 35.000 | | 11/18/09 | 06/22/10 | 107.45 | 89.24 | 18.21 | | Y |
| | *Trade* | 15 000 | | 11/19/09 | 06/22/10 | 46.05 | 38.42 | 7.63 | | Y |
| | *Trade* | 35.000 | | 11/20/09 | 06/22/10 | 107.45 | 89.20 | 18.25 | | Y |
| | *Trade* | 47 000 | | 11/23/09 | 06/22/10 | 144.29 | 118.94 | 25.35 | | Y |
| | **Sub-Total:** | **367.000** | | | | **1,126.69** | **940.86** | **185.83** | | |
| WILSHIRE BANCORP INC | *Trade* | 10 000 | | 10/06/09 | 02/17/10 | 93.39 | 76.90 | 16.49 | | Y |
| | *Trade* | 10 000 | | 10/06/09 | 03/11/10 | 95.29 | 76.90 | 18.39 | | Y |
| | **Sub-Total:** | **20.000** | | | | **188.68** | **153.80** | **34.88** | | |
| YAHOO JAPAN CORP ADR | *Trade* | 8.000 | | 07/29/09 | 03/31/10 | 967 85 | 912.86 | 54.99 | | Y |
| | *Trade* | 2.000 | | 10/28/09 | 03/31/10 | 241.96 | 210.94 | 31.02 | | Y |
| | **Sub-Total:** | **10.000** | | | | **1,209.81** | **1,123.80** | **86.01** | | |
| YANZHOU COAL MINING CO<br>LTD SPON ADR | *Trade* | 20 000 | | 08/13/10 | 10/20/10 | 563.99 | 423.25 | 140.74 | | Y |

*Continued on page 85*

## Short-Term Gain/Loss - continued

*This section includes securities held for less than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| ZOLL MEDICAL CORP | *Trade* | 2.000 | | 06/25/09 | 02/17/10 | 53.07 | 37.22 | 15.85 | | Y |
| | *Trade* | 1.000 | | 06/25/09 | 03/11/10 | 27.98 | 18.61 | 9.37 | | Y |
| | **Sub-Total:** | **3.000** | | | | **81.05** | **55.83** | **25.22** | | |
| **Total Short-Term Gain/Loss** | | | | | | **133,591.65** | **129,488.48** | **4,103.17** | | |

## Long-Term Gain/Loss

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| ABB LTD SPON ADR | *Trade* | 65.000 | | 03/03/09 | 06/22/10 | 1,222.63 | 731.14 | 491.49 | | Y |
| ACCIONA S.A. EUR | *Trade* | 8.000 | | 01/22/09 | 06/22/10 | 660.86 | 900.10 | (239.24) | | Y |
| ACTELION LTD ALLSCHWIL CHF | *Trade* | 25.000 | | 06/25/08 | 06/22/10 | 940.89 | 1,325.79 | (384.90) | | Y |
| AGILENT TECHNOLOGIES INC | *Trade* | 5.000 | | 03/12/07 | 06/23/10 | 159.09 | 159.99 | (.90) *1* | | Y |
| | *Trade* | 4.000 | | 03/21/07 | 06/23/10 | 127.28 | 128.09 | (.81) *1* | | Y |
| | **Sub-Total:** | **9.000** | | | | **286.37** | **288.08** | **(1.71)** | | |
| AIR LIQUIDE ADR FRANCE ADR | *Trade* | 34.000 | | 03/06/08 | 06/22/10 | 721.12 | 845.10 | (123.98) | | Y |
| | *Cash in lieu* | .999 | | 03/06/08 | 07/02/10 | 20.32 | 5.85 | 14.47 | | Y |
| | *Trade* | 2.000 | | 03/06/08 | 07/07/10 | 41.39 | 43.86 | (2.47) | | Y |
| | **Sub-Total:** | **36.999** | | | | **782.83** | **894.81** | **(111.98)** | | |
| ALSTOM SHS PROV REGROUPMENT ORD EUR | *Trade* | 6.000 | | 03/06/08 | 05/07/10 | 306.22 | 653.46 | (347.24) | | Y |
| | *Trade* | 8.000 | | 11/25/08 | 06/22/10 | 411.55 | 444.07 | (32.52) | | Y |
| | *Trade* | 4.000 | | 05/06/09 | 06/22/10 | 205.77 | 255.65 | (49.88) | | Y |
| | **Sub-Total:** | **18.000** | | | | **923.54** | **1,353.18** | **(429.64)** | | |
| ALVARION LTD | *Trade* | 11.000 | | 12/02/08 | 02/17/10 | 38.71 | 38.13 | .58 | | Y |
| | *Trade* | 13.000 | | 12/02/08 | 03/11/10 | 50.30 | 45.06 | 5.24 | | Y |
| | *Trade* | 5.000 | | 12/02/08 | 06/24/10 | 10.61 | 17.33 | (6.72) | | Y |
| | *Trade* | 5.000 | | 12/02/08 | 06/28/10 | 10.29 | 17.33 | (7.04) | | Y |
| | *Trade* | 21.000 | | 12/02/08 | 06/29/10 | 42.05 | 72.79 | (30.74) | | Y |
| | **Sub-Total:** | **55.000** | | | | **151.96** | **190.64** | **(38.68)** | | |

*Continued on page 86*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| *Security Description* | *Activity Type* | *Quantity/ Face value* | *Original Cost Basis* | *Purchase date Date Acquired* | *Date Sold* | *Sale Amount* | *Cost or Other Basis* | *Gain/Loss* | *Remarks* | *Matches 1099-B* |
|---|---|---|---|---|---|---|---|---|---|---|
| AMBASSADORS GROUP INC | *Trade* | 1.000 | | 06/20/08 | 12/03/10 | 10.64 | 17.66 | (7.02) | | Y |
| AMER EXPRESS CO | *Trade* | 13.000 | | 02/20/07 | 06/23/10 | 541.59 | 762.06 | (220.47)1 | | Y |
| | *Trade* | 10 000 | | 02/21/07 | 06/23/10 | 416 61 | 584.80 | (168.19)1 | | Y |
| | **Sub-Total:** | **23.000** | | | | **958.20** | **1,346.86** | **(388.66)** | | |
| AMER STATES WATER CO | *Trade* | 1.000 | | 05/15/08 | 02/17/10 | 32.51 | 34.56 | (2.05) | | Y |
| | *Trade* | 1.000 | | 05/15/08 | 03/11/10 | 33.60 | 34.56 | (.96) | | Y |
| | **Sub-Total:** | **2.000** | | | | **66.11** | **69.12** | **(3.01)** | | |
| APOGEE ENTERPRISES INC | *Trade* | 5.000 | | 05/15/08 | 03/11/10 | 76.19 | 112.40 | (36 21) | | Y |
| ARCELORMITTAL SA NY REG | *Trade* | 27.000 | | 05/07/09 | 06/22/10 | 852.64 | 737.24 | 115.40 | | Y |
| BAE SYSTEMS PLC SPON ADR | *Trade* | 15.000 | | 04/14/08 | 10/20/10 | 328.94 | 574.70 | (245.76) | | Y |
| BALDOR ELEC CO *MERGER EFF : 02/2011* | *Trade* | 5 000 | | 05/15/08 | 02/17/10 | 155.19 | 171.45 | (16.26) | | Y |
| | *Trade* | 6.000 | | 05/15/08 | 03/11/10 | 206.10 | 205.74 | .36 | | Y |
| | *Trade* | 52.000 | | 05/15/08 | 12/07/10 | 3,289.99 | 1,783.08 | 1,506.91 | | Y |
| | **Sub-Total:** | **63.000** | | | | **3,651.28** | **2,160.27** | **1,491.01** | | |
| BANK OF HAWAII CORP | *Trade* | 4.000 | | 05/15/08 | 02/17/10 | 173.69 | 224.80 | (51.11) | | Y |
| | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 171 55 | 224.80 | (53 25) | | Y |
| | **Sub-Total:** | **8.000** | | | | **345.24** | **449.60** | **(104.36)** | | |
| BANK SARASIN & CIE REG B CHF | *Trade* | 5 000 | | 11/28/08 | 06/22/10 | 191.64 | 120.08 | 71.56 | | Y |
| | *Trade* | 5 000 | | 12/01/08 | 06/22/10 | 191.64 | 118 90 | 72.74 | | Y |
| | *Trade* | 5.000 | | 12/02/08 | 06/22/10 | 191 64 | 115.93 | 75.71 | | Y |
| | *Trade* | 5 000 | | 12/04/08 | 06/22/10 | 191.64 | 122.84 | 68.80 | | Y |
| | *Trade* | 14 000 | | 12/05/08 | 06/22/10 | 536 59 | 335.72 | 200.87 | | Y |
| | **Sub-Total:** | **34.000** | | | | **1,303.15** | **813.47** | **489.68** | | |
| BARRICK GOLD CORP CAD | *Trade* | 19.000 | | 04/07/09 | 06/22/10 | 863.34 | 559.07 | 304.27 | | Y |
| BAYER A G SPON ADR | *Trade* | 7.000 | | 03/12/08 | 06/22/10 | 416 07 | 522.43 | (106.36) | | Y |
| | *Trade* | 8 000 | | 04/03/08 | 06/22/10 | 475.51 | 655 14 | (179.63) | | Y |
| | *Trade* | 6.000 | | 10/29/08 | 06/22/10 | 356 63 | 322.31 | 34.32 | | Y |
| | **Sub-Total:** | **21.000** | | | | **1,248.21** | **1,499.88** | **(251.67)** | | |

*Continued on page 87*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| BERKSHIRE HATHAWAY INC NEW CL B | Trade | 9.000 | | 02/21/07 | 02/09/10 | 666.03 | 646.38 | 19.65 1 | | Y |
| | Trade | 28.000 | | 02/21/07 | 04/26/10 | 2,225.26 | 2,010.96 | 214.30 1 | | Y |
| | Trade | 49.000 | | 02/21/07 | 06/23/10 | 3,870.03 | 3,519.18 | 350.85 1 | | Y |
| | **Sub-Total:** | **86.000** | | | | **6,761.32** | **6,176.52** | **584.80** | | |
| BG GROUP PLC SPON ADR | Trade | 1.000 | | 09/12/08 | 05/05/10 | 80.84 | 103.00 | (22.16) | | Y |
| | Trade | 3.000 | | 09/12/08 | 05/06/10 | 240.21 | 309.00 | (68.79) | | Y |
| | Trade | 1.000 | | 03/23/09 | 05/06/10 | 80.07 | 80.42 | (.35) | | Y |
| | Trade | 6.000 | | 03/23/09 | 06/22/10 | 481.55 | 482.53 | (.98) | | Y |
| | **Sub-Total:** | **11.000** | | | | **882.67** | **974.95** | **(92.28)** | | |
| BLACKBAUD INC | Trade | 3.000 | | 05/15/08 | 02/17/10 | 68.94 | 73.65 | (4.71) | | Y |
| | Trade | 4.000 | | 05/15/08 | 03/11/10 | 101.03 | 98.20 | 2.83 | | Y |
| | **Sub-Total:** | **7.000** | | | | **169.97** | **171.85** | **(1.88)** | | |
| BLACKROCK BOND ALLOCATION TARGET SHARES BATS SER C | Trade | 237.000 | | 03/06/08 | 12/09/10 | 2,374.74 | 2,315.49 | 59.25 | | Y |
| BLACKROCK BOND ALLOCATION TARGET SHARES BATS SER M | Trade | 260.000 | | 03/06/08 | 12/09/10 | 2,462.20 | 2,464.80 | (2.60) | | Y |
| BRITISH AMER TOBACCO PLC GB SPON ADR | Trade | 3.000 | | 12/21/07 | 02/03/10 | 198.90 | 238.33 | (39.43) 1 | | Y |
| | Trade | 10.000 | | 12/21/07 | 03/15/10 | 667.87 | 794.45 | (126.58) 1 | | Y |
| | Trade | 5.000 | | 12/21/07 | 07/16/10 | 345.21 | 397.22 | (52.01) 1 | | Y |
| | Trade | 5.000 | | 12/21/07 | 10/20/10 | 388.93 | 397.22 | (8.29) 1 | | Y |
| | **Sub-Total:** | **23.000** | | | | **1,600.91** | **1,827.22** | **(226.31)** | | |
| CALAMOS MARKET NEUTRAL INCOME FUND CLASS A | Trade | 40.685 | | 03/06/08 | 05/12/10 | 473.98 | 510.60 | (36.62) | | Y |
| | Trade | 575.231 | | 03/06/08 | 06/22/10 | 6,563.39 | 7,219.15 | (655.76) | | Y |
| | Trade | 56.517 | | 03/06/08 | 07/29/10 | 648.81 | 709.29 | (60.48) | | Y |
| | Trade | 37.929 | | 03/06/08 | 11/18/10 | 452.87 | 476.01 | (23.14) | | Y |
| | Trade | 36.737 | | 03/06/08 | 11/22/10 | 439.38 | 461.05 | (21.67) | | Y |
| | **Sub-Total:** | **747.099** | | | | **8,578.43** | **9,376.10** | **(797.67)** | | |
| CANADIAN NAT RESOURCES LTD CAD | Trade | 16.000 | | 02/20/07 | 06/23/10 | 564.26 | 405.12 | 159.14 1 | | Y |

*Continued on page 88*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| CAPELLA EDUCATION CO | *Trade* | 2.000 | | 11/17/08 | 02/17/10 | 158.49 | 102.17 | 56.32 | | Y |
| | *Trade* | 2.000 | | 11/17/08 | 03/11/10 | 172.13 | 102.17 | 69.96 | | Y |
| | **Sub-Total:** | **4.000** | | | | **330.62** | **204.34** | **126.28** | | |
| CARBO CERAMICS INC | *Trade* | 2.000 | | 02/20/07 | 02/17/10 | 128.03 | 86.90 | 41.13 *1* | | Y |
| | *Trade* | 3.000 | | 02/20/07 | 03/11/10 | 192.62 | 130.35 | 62.27 *1* | | Y |
| | **Sub-Total:** | **5.000** | | | | **320.65** | **217.25** | **103.40** | | |
| CARDINAL HEALTH INC | *Trade* | 15.000 | | 12/20/07 | 01/13/10 | 480.09 | 638.43 | (158.34) *1* | | Y |
| | *Trade* | 7.000 | | 12/20/07 | 06/17/10 | 251.05 | 297.93 | (46.88) *1* | | Y |
| | *Trade* | 24.000 | | 01/02/08 | 06/17/10 | 860.74 | 992.69 | (131.95) *1* | | Y |
| | *Trade* | 5.000 | | 03/06/08 | 06/17/10 | 179.32 | 202.83 | (23.51) | | Y |
| | **Sub-Total:** | **51.000** | | | | **1,771.20** | **2,131.88** | **(360.68)** | | |
| CAREFUSION CORP | *Trade* | 11.000 | | 12/20/07 | 06/23/10 | 262 14 | 359.06 | (96 92) | | Y |
| | *Trade* | 12.000 | | 01/02/08 | 06/23/10 | 285.97 | 380.65 | (94.68) | | Y |
| | *Trade* | 2.000 | | 03/06/08 | 06/23/10 | 47.66 | 62.22 | (14.56) | | Y |
| | **Sub-Total:** | **25.000** | | | | **595.77** | **801.93** | **(206.16)** | | |
| CLARCOR INC | *Trade* | 5 000 | | 02/20/07 | 02/17/10 | 158.17 | 168.40 | (10.23) *1* | | Y |
| | *Trade* | 5 000 | | 02/20/07 | 03/11/10 | 170 04 | 168.40 | 1.64 *1* | | Y |
| | **Sub-Total:** | **10.000** | | | | **328.21** | **336.80** | **(8.59)** | | |
| COHERENT INC | *Trade* | 3 000 | | 05/15/08 | 03/11/10 | 96.92 | 90.99 | 5.93 | | Y |
| COMCAST CORP NEW SPECIAL CL A | *Trade* | 260.000 | | 03/06/08 | 02/11/10 | 3,770.96 | 5,080.14 | (1,309.18) | | Y |
| COMMERCE BANCSHARES | *Trade* | 5.000 | | 01/26/09 | 02/01/10 | 198.27 | 175.61 | 22.66 | | Y |
| | *Trade* | 5.000 | | 01/26/09 | 02/02/10 | 196.07 | 175.61 | 20.46 | | Y |
| | *Trade* | 2.000 | | 02/10/09 | 02/17/10 | 79.33 | 75.44 | 3.89 | | Y |
| | *Trade* | 6.000 | | 02/10/09 | 03/16/10 | 242.73 | 226 33 | 16.40 | | Y |
| | **Sub-Total:** | **18.000** | | | | **716.40** | **652.99** | **63.41** | | |
| COMMERCIAL METALS CO | *Trade* | 5.000 | | 05/15/08 | 02/17/10 | 74.44 | 170.00 | (95.56) | | Y |
| | *Trade* | 2.000 | | 05/15/08 | 03/11/10 | 34 10 | 68.00 | (33.90) | | Y |
| | **Sub-Total:** | **7.000** | | | | **108.54** | **238.00** | **(129.46)** | | |

*Continued on page 89*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| CONOCOPHILLIPS | Trade | 20 000 | | 03/06/08 | 01/26/10 | 1,003.86 | 1,615.20 | (611.34) | | Y |
| | Trade | 5.000 | | 03/06/08 | 06/23/10 | 267.91 | 403.80 | (135.89) | | Y |
| | Trade | 15.000 | | 03/12/09 | 06/23/10 | 803.72 | 547.62 | 256.10 | | Y |
| | **Sub-Total:** | **40.000** | | | | **2,075.49** | **2,566.62** | **(491.13)** | | |
| CORPORATE OFFICE PPTYS NEW SBI | Trade | 5.000 | | 05/15/08 | 02/17/10 | 181.63 | 197.45 | (15.82) | | Y |
| | Trade | 4.000 | | 05/15/08 | 03/11/10 | 157.87 | 157.96 | (.09) | | Y |
| | **Sub-Total:** | **9.000** | | | | **339.50** | **355.41** | **(15.91)** | | |
| CREDO PETROLEUM CORP NEW | Trade | 3.000 | | 05/29/08 | 02/17/10 | 27.38 | 47.79 | (20.41) | | Y |
| | Trade | 3.000 | | 05/29/08 | 03/11/10 | 30.14 | 47.79 | (17.65) | | Y |
| | Trade | 26.000 | | 05/29/08 | 10/18/10 | 213.19 | 414.20 | (201.01) | | Y |
| | **Sub-Total:** | **32.000** | | | | **270.71** | **509.78** | **(239.07)** | | |
| CVS CAREMARK CORP | Trade | 17.000 | | 02/21/07 | 06/23/10 | 530.89 | 560.15 | (29.26)[1] | | Y |
| | Trade | 4.000 | | 08/02/07 | 06/23/10 | 124.92 | 147.03 | (22.11)[1] | | Y |
| | **Sub-Total:** | **21.000** | | | | **655.81** | **707.18** | **(51.37)** | | |
| DAWSON GEOPHYSICAL CO | Trade | 1.000 | | 05/15/08 | 03/11/10 | 31.15 | 75.86 | (44.71) | | Y |
| DEUTSCHE TELEKOM AG DE SPON ADR | Trade | 31 000 | | 10/15/08 | 06/22/10 | 367.04 | 431.71 | (64.67) | | Y |
| | Trade | 23.000 | | 10/31/08 | 06/22/10 | 272.32 | 343.42 | (71.10) | | Y |
| | Trade | 41.000 | | 03/02/09 | 06/22/10 | 485.43 | 480.82 | 4.61 | | Y |
| | **Sub-Total:** | **95.000** | | | | **1,124.79** | **1,255.95** | **(131.16)** | | |
| DEVON ENERGY CORP NEW | Trade | 7.000 | | 03/26/07 | 06/23/10 | 460.48 | 480.69 | (20.21)[1] | | Y |
| DIAGEO PLC NEW GB SPON ADR | Trade | 7.000 | | 02/20/07 | 06/23/10 | 454.43 | 574.00 | (119.57)[1] | | Y |
| | Trade | 5.000 | | 02/20/07 | 10/20/10 | 365.16 | 410.00 | (44.84)[1] | | Y |
| | **Sub-Total:** | **12.000** | | | | **819.59** | **984.00** | **(164.41)** | | |
| DIAMOND FOODS INC | Trade | 2.000 | | 05/15/08 | 02/17/10 | 77.91 | 40.00 | 37.91 | | Y |
| | Trade | 3.000 | | 05/15/08 | 03/11/10 | 122.24 | 60.00 | 62.24 | | Y |
| | Trade | 12.000 | | 05/15/08 | 03/23/10 | 507.94 | 240.00 | 267.94 | | Y |
| | **Sub-Total:** | **17.000** | | | | **708.09** | **340.00** | **368.09** | | |
| DIME CMNTY BANCSHARES | Trade | 12.000 | | 05/15/08 | 02/17/10 | 142.19 | 228.57 | (86.38) | | Y |
| | Trade | 15.000 | | 05/15/08 | 03/11/10 | 200.84 | 285.71 | (84.87) | | Y |

*Continued on page 90*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| DIME CMNTY BANCSHARES | *Trade* | 16.000 | | 05/15/08 | 12/01/10 | 216.09 | 304.76 | (88.67) | | Y |
| | **Sub-Total:** | **43.000** | | | | **559.12** | **819.04** | **(259.92)** | | |
| DIONEX CORP | *Trade* | 4 000 | | 05/15/08 | 02/17/10 | 272.23 | 281.76 | (9.53) | | Y |
| | *Trade* | 3.000 | | 05/15/08 | 03/11/10 | 224.06 | 211.32 | 12.74 | | Y |
| | *Trade* | 2.000 | | 05/15/08 | 08/31/10 | 145.73 | 140.88 | 4.85 | | Y |
| | *Trade* | 1.000 | | 05/15/08 | 10/13/10 | 87.95 | 70.44 | 17.51 | | Y |
| | *Trade* | 5.000 | | 05/15/08 | 11/19/10 | 451.87 | 352.20 | 99.67 | | Y |
| | *Trade* | 1.000 | | 05/15/08 | 12/03/10 | 92.91 | 70.44 | 22.47 | | Y |
| | *Trade* | 14 000 | | 05/15/08 | 12/21/10 | 1,652.42 | 986.16 | 666.26 | | Y |
| | **Sub-Total:** | **30.000** | | | | **2,927.17** | **2,113.20** | **813.97** | | |
| EHEALTH INC | *Trade* | 5 000 | | 05/15/08 | 02/17/10 | 82.69 | 125.23 | (42 54) | | Y |
| | *Trade* | 7.000 | | 05/15/08 | 03/11/10 | 123.75 | 175 33 | (51 58) | | Y |
| | **Sub-Total:** | **12.000** | | | | **206.44** | **300.56** | **(94.12)** | | |
| ENCORE ACQUISITION CO | *Trade* | 5.000 | | 05/15/08 | 01/04/10 | 244.38 | 277 05 | (32.67) | | Y |
| EOG RESOURCES INC | *Trade* | 9.000 | | 03/06/08 | 06/23/10 | 953 17 | 1,069.49 | (116 32) | | Y |
| ESCO TECHNOLOGIES INC | *Trade* | 2.000 | | 05/15/08 | 03/11/10 | 67.71 | 97.42 | (29.71) | | Y |
| FRESENIUS MEDICAL CARE AG & CO KGAA SPON ADR | *Trade* | 1.000 | | 03/06/08 | 02/03/10 | 51.43 | 52 55 | (1.12) | | Y |
| | *Trade* | 1 000 | | 03/06/08 | 02/04/10 | 50.96 | 52.55 | (1.59) | | Y |
| | *Trade* | 2.000 | | 03/06/08 | 06/14/10 | 106.14 | 105.10 | 1.04 | | Y |
| | *Trade* | 4 000 | | 03/06/08 | 06/15/10 | 214.10 | 210.20 | 3.90 | | Y |
| | *Trade* | 15 000 | | 03/06/08 | 06/22/10 | 813.13 | 788 25 | 24.88 | | Y |
| | **Sub-Total:** | **23.000** | | | | **1,235.76** | **1,208.65** | **27.11** | | |
| FT TEMPLETON WORLD A | *Trade* | 44.629 | | 03/06/08 | 05/12/10 | 607.40 | 972.93 | (365.53) | | Y |
| | *Trade* | 47.787 | | 03/06/08 | 07/29/10 | 636 05 | 1,041 78 | (405.73) | | Y |
| | *Trade* | 33 514 | | 03/06/08 | 11/18/10 | 487.96 | 730.62 | (242.66) | | Y |
| | *Trade* | 31.039 | | 03/06/08 | 11/22/10 | 448 82 | 676.66 | (227 84) | | Y |
| | **Sub-Total:** | **156.969** | | | | **2,180.23** | **3,421.99** | **(1,241.76)** | | |
| FUEL TECH INC | *Trade* | 1.000 | | 05/15/08 | 02/17/10 | 6 26 | 24 25 | (17.99) | | Y |
| | *Trade* | 2 000 | | 05/15/08 | 03/11/10 | 18.07 | 48.50 | (30 43) | | Y |
| | **Sub-Total:** | **3.000** | | | | **24.33** | **72.75** | **(48.42)** | | |

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## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| FUJI MACH MFG CO LTD JPY | Trade | 100.000 | | 05/15/09 | 06/22/10 | 1,729.97 | 942.01 | 787.96 | | Y |
| GABELLI ENTERPRISE MERGERS & ACQUISITIONS FUND CLASS A | Trade | 65.025 | | 03/06/08 | 05/12/10 | 650.25 | 706.82 | (56.57) | | Y |
| | Trade | 1,038.287 | | 03/06/08 | 06/22/10 | 10,061.00 | 11,286.18 | (1,225.18) | | Y |
| | Trade | 57.823 | | 03/06/08 | 07/29/10 | 568.98 | 628.54 | (59.56) | | Y |
| | Trade | 38.917 | | 03/06/08 | 11/18/10 | 400.85 | 423.03 | (22.18) | | Y |
| | Trade | 37.444 | | 03/06/08 | 11/22/10 | 385.67 | 407.02 | (21.35) | | Y |
| | **Sub-Total:** | **1,237.496** | | | | **12,066.75** | **13,451.59** | **(1,384.84)** | | |
| GATEWAY FUND CLASS A | Trade | 13.580 | | 03/06/08 | 05/12/10 | 347.25 | 371.82 | (24.57) | | Y |
| | Trade | 153.561 | | 03/06/08 | 06/22/10 | 3,812.91 | 4,204.50 | (391.59) | | Y |
| | Trade | 12.974 | | 03/06/08 | 07/29/10 | 323.31 | 355.23 | (31.92) | | Y |
| | Trade | 8.699 | | 03/06/08 | 11/18/10 | 224.17 | 238.18 | (14.01) | | Y |
| | Trade | 8.525 | | 03/06/08 | 11/22/10 | 220.12 | 233.41 | (13.29) | | Y |
| | **Sub-Total:** | **197.339** | | | | **4,927.76** | **5,403.14** | **(475.38)** | | |
| GENESEE & WYO INC CL A | Trade | 5.000 | | 05/15/08 | 02/17/10 | 157.84 | 195.03 | (37.19) | | Y |
| | Trade | 5.000 | | 05/15/08 | 03/11/10 | 170.37 | 195.03 | (24.66) | | Y |
| | **Sub-Total:** | **10.000** | | | | **328.21** | **390.06** | **(61.85)** | | |
| GENTEX CORP | Trade | 10 000 | | 05/15/08 | 02/17/10 | 196.90 | 192.75 | 4.15 | | Y |
| | Trade | 13.000 | | 05/15/08 | 03/11/10 | 261.03 | 250.58 | 10.45 | | Y |
| | Trade | 18.000 | | 05/15/08 | 05/12/10 | 383.38 | 346.95 | 36.43 | | Y |
| | Trade | 17.000 | | 05/15/08 | 07/07/10 | 298.86 | 327.68 | (28.82) | | Y |
| | Trade | 9.000 | | 05/15/08 | 12/29/10 | 264.75 | 173.48 | 91.27 | | Y |
| | **Sub-Total:** | **67.000** | | | | **1,404.92** | **1,291.44** | **113.48** | | |
| GLAXO SMITHKLINE PLC ADR | Trade | 10.000 | | 08/07/08 | 10/20/10 | 409.40 | 484.63 | (75.23) | | Y |
| GOLD FIELDS LTD SPON ADR | Trade | 86.000 | | 03/06/08 | 06/22/10 | 1,173.16 | 1,364.82 | (191.66) | | Y |
| | Trade | 9.000 | | 10/10/08 | 06/22/10 | 122.77 | 81.85 | 40.92 | | Y |
| | **Sub-Total:** | **95.000** | | | | **1,295.93** | **1,446.67** | **(150.74)** | | |
| GOOGLE INC CL A | Trade | 4.000 | | 10/23/08 | 01/14/10 | 2,354.97 | 1,400.15 | 954.82 | | Y |
| GREEN MTN COFFEE ROASTERS INC | Trade | 3.000 | | 05/15/08 | 01/06/10 | 249.02 | 81.42 | 167.60 | | Y |
| | Trade | 6.000 | | 05/15/08 | 02/08/10 | 485.66 | 162.83 | 322.83 | | Y |
| | Trade | 4.000 | | 05/15/08 | 02/10/10 | 326.64 | 108.55 | 218.09 | | Y |
| | **Sub-Total:** | **13.000** | | | | **1,061.32** | **352.80** | **708.52** | | |

*Continued on page 92*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| H & R BLOCK INC | *Trade* | 85.000 | | 03/06/08 | 02/02/10 | 1,839.97 | 1,525.62 | 314.35 | | Y |
| HAIN CELESTIAL GROUP INC | *Trade* | 2.000 | | 05/15/08 | 02/17/10 | 30.61 | 53.22 | (22.61) | | Y |
| | *Trade* | 3 000 | | 05/15/08 | 03/11/10 | 49.85 | 79.83 | (29.98) | | Y |
| | **Sub-Total:** | **5.000** | | | | **80.46** | **133.05** | **(52.59)** | | |
| HERMAN MILLER INC | *Trade* | 2.000 | | 05/15/08 | 02/17/10 | 35.13 | 49.18 | (14.05) | | Y |
| | *Trade* | 2 000 | | 05/15/08 | 03/11/10 | 40.60 | 49.18 | (8.58) | | Y |
| | **Sub-Total:** | **4.000** | | | | **75.73** | **98.36** | **(22.63)** | | |
| HIBBETT SPORTS INC | *Trade* | 4.000 | | 03/15/07 | 02/17/10 | 90.75 | 112.45 | (21.70) 1 | | Y |
| | *Trade* | 4.000 | | 03/15/07 | 03/11/10 | 98.55 | 112.45 | (13 90) 1 | | Y |
| | **Sub-Total:** | **8.000** | | | | **189.30** | **224.90** | **(35.60)** | | |
| HSBC HOLDINGS PLC NEW GB SPON ADR | *Trade* | 20.000 | | 05/05/09 | 06/22/10 | 974 05 | 779.45 | 194.60 | | Y |
| | *Trade* | 8 000 | | 05/07/09 | 06/22/10 | 389.62 | 335 32 | 54.30 | | Y |
| | **Sub-Total:** | **28.000** | | | | **1,363.67** | **1,114.77** | **248.90** | | |
| ICAP PLC SPON ADR | *Trade* | 60.000 | | 03/06/08 | 06/22/10 | 767.99 | 1,478 40 | (710.41) | | Y |
| | *Trade* | 15.000 | | 10/09/08 | 06/22/10 | 192.00 | 171.35 | 20.65 | | Y |
| | *Trade* | 17.000 | | 10/10/08 | 06/22/10 | 217.60 | 171.70 | 45.90 | | Y |
| | **Sub-Total:** | **92.000** | | | | **1,177.59** | **1,821.45** | **(643.86)** | | |
| ICU MEDICAL INC | *Trade* | 2 000 | | 09/25/08 | 02/17/10 | 68 21 | 64.05 | 4 16 | | Y |
| | *Trade* | 2.000 | | 09/25/08 | 03/11/10 | 70.53 | 64.05 | 6.48 | | Y |
| | **Sub-Total:** | **4.000** | | | | **138.74** | **128.10** | **10.64** | | |
| IDEXX LABS | *Trade* | 1.000 | | 05/15/08 | 02/17/10 | 53 65 | 51.71 | 1.94 | | Y |
| | *Trade* | 4 000 | | 05/15/08 | 02/22/10 | 210.96 | 206.84 | 4 12 | | Y |
| | **Sub-Total:** | **5.000** | | | | **264.61** | **258.55** | **6.06** | | |
| IMMUCOR INC | *Trade* | 2.000 | | 12/22/08 | 02/17/10 | 38.13 | 49.62 | (11.49) | | Y |
| | *Trade* | 1.000 | | 12/22/08 | 03/11/10 | 20.86 | 24 81 | (3.95) | | Y |
| | *Trade* | 10.000 | | 12/22/08 | 10/20/10 | 171 31 | 248.10 | (76.79) | | Y |
| | **Sub-Total:** | **13.000** | | | | **230.30** | **322.53** | **(92.23)** | | |
| INDEPENDENT BANK CORP MASS | *Trade* | 5 000 | | 08/20/08 | 02/17/10 | 123.99 | 137.39 | (13.40) | | Y |
| | *Trade* | 4.000 | | 08/20/08 | 03/11/10 | 104.09 | 109.91 | (5.82) | | Y |
| | **Sub-Total:** | **9.000** | | | | **228.08** | **247.30** | **(19.22)** | | |

*Continued on page 93*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| *Security Description* | *Activity Type* | *Quantity/ Face value* | *Original Cost Basis* | *Purchase date Date Acquired* | *Date Sold* | *Sale Amount* | *Cost or Other Basis* | *Gain/Loss* | *Remarks* | *Matches 1099-B* |
|---|---|---|---|---|---|---|---|---|---|---|
| INPEX CORP ADR | *Trade* | 10.000 | | 06/15/09 | 06/22/10 | 601.49 | 812.73 | (211.24) | | Y |
| INVESTMENT TECHNOLOGY GROUP NEW | *Trade* | 7.000 | | 01/07/09 | 02/17/10 | 119.01 | 174.52 | (55.51) | | Y |
| | *Trade* | 7.000 | | 01/07/09 | 03/11/10 | 125.85 | 174.52 | (48.67) | | Y |
| | **Sub-Total:** | **14.000** | | | | **244.86** | **349.04** | **(104.18)** | | |
| ISHARES TRUST S&P 500 INDEX | *Trade* | 5.000 | | 03/06/08 | 03/26/10 | 585.89 | 661.93 | (76.04) | | Y |
| | *Trade* | 37.000 | | 03/06/08 | 06/22/10 | 4,144.70 | 4,898.25 | (753.55) | | Y |
| | *Trade* | 8.000 | | 03/06/08 | 11/15/10 | 969.42 | 1,059.08 | (89.66) | | Y |
| | *Trade* | 16.000 | | 03/06/08 | 11/22/10 | 1,923.38 | 2,118.16 | (194.78) | | Y |
| | *Trade* | 18.000 | | 03/06/08 | 11/22/10 | 2,157.62 | 2,382.93 | (225.31) | | Y |
| | *Trade* | 9.000 | | 03/06/08 | 11/26/10 | 1,077.97 | 1,191.47 | (113.50) | | Y |
| | *Trade* | 33.000 | | 03/06/08 | 12/09/10 | 4,092.04 | 4,368.71 | (276.67) | | Y |
| | **Sub-Total:** | **126.000** | | | | **14,951.02** | **16,680.53** | **(1,729.51)** | | |
| ISHARES INC MSCI JAPAN INDEX FD | *Trade* | 213.000 | | 03/06/08 | 01/29/10 | 2,112.76 | 2,611.38 | (498.62) | | Y |
| | *Trade* | 50.000 | | 03/06/08 | 04/27/10 | 519.26 | 613.00 | (93.74) | | Y |
| | *Trade* | 36.000 | | 05/28/08 | 04/27/10 | 373.87 | 472.90 | (99.03) | | Y |
| | **Sub-Total:** | **299.000** | | | | **3,005.89** | **3,697.28** | **(691.39)** | | |
| ISHARES TRUST RUSSELL 2000 INDEX FUND | *Trade* | 96 000 | | 03/06/08 | 06/22/10 | 6,345.49 | 6,453.12 | (107.63) | | Y |
| | *Trade* | 4.000 | | 03/06/08 | 11/18/10 | 289.88 | 268.88 | 21.00 | | Y |
| | *Trade* | 3.000 | | 03/06/08 | 11/22/10 | 217.04 | 201.66 | 15.38 | | Y |
| | **Sub-Total:** | **103.000** | | | | **6,852.41** | **6,923.66** | **(71.25)** | | |
| ISHARES TRUST RUSSELL 3000 INDEX FUND | *Trade* | 14.000 | | 03/06/08 | 04/28/10 | 990.80 | 1,068.73 | (77.93) | | Y |
| | *Trade* | 90.000 | | 03/06/08 | 06/22/10 | 5,929.99 | 6,870.43 | (940.44) | | Y |
| | *Trade* | 26.000 | | 03/06/08 | 11/22/10 | 1,845.62 | 1,984.79 | (139.17) | | Y |
| | *Trade* | 69 000 | | 03/06/08 | 11/24/10 | 4,925.13 | 5,267.33 | (342.20) | | Y |
| | **Sub-Total:** | **199.000** | | | | **13,691.54** | **15,191.28** | **(1,499.74)** | | |
| ISHARES MSCI EAFE INDEX FUND | *Trade* | 19.000 | | 03/06/08 | 07/29/10 | 989.76 | 1,350.84 | (361.08) | | Y |
| | *Trade* | 148.000 | | 03/06/08 | 09/10/10 | 7,809.94 | 10,522.33 | (2,712.39) | | Y |
| | *Trade* | 49.000 | | 03/06/08 | 10/20/10 | 2,823.41 | 3,483.74 | (660.33) | | Y |
| | *Trade* | 26 000 | | 03/06/08 | 11/22/10 | 1,478.59 | 1,848.52 | (369.93) | | Y |
| | **Sub-Total:** | **242.000** | | | | **13,101.70** | **17,205.43** | **(4,103.73)** | | |
| ITRON INC | *Trade* | 2.000 | | 05/15/08 | 02/17/10 | 125.80 | 183.74 | (57.94) | | Y |

*Continued on page 94*

Account Number CP 91116 EV
**Your Financial Advisor or Contact**
PETER ERRETT VAN NICE, JR
312-525-4500/800-621-0684

**UBS Financial Services Inc.**

# 2010 Informational Tax Statement

C36G004002-X

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| ITRON INC | *Trade* | 2.000 | | 05/15/08 | 03/11/10 | 139 47 | 183 74 | (44.27) | | Y |
| | *Trade* | 2.000 | | 05/15/08 | 04/07/10 | 146 46 | 183.74 | (37.28) | | Y |
| | *Trade* | 6 000 | | 05/15/08 | 04/21/10 | 454.28 | 551.22 | (96.94) | | Y |
| | *Trade* | 5.000 | | 05/15/08 | 05/10/10 | 378.59 | 459.35 | (80.76) | | Y |
| | *Trade* | 1.000 | | 05/15/08 | 12/03/10 | 53.40 | 91.87 | (38.47) | | Y |
| | **Sub-Total:** | **18.000** | | | | **1,298.00** | **1,653.66** | **(355.66)** | | |
| JARDINE MATHESON HD-UNSP ADR | *Trade* | 11.000 | | 03/06/08 | 04/21/10 | 394.74 | 317.35 | 77.39 | | Y |
| | *Trade* | 37.000 | | 03/06/08 | 06/22/10 | 1,326.42 | 1,067.45 | 258 97 | | Y |
| | **Sub-Total:** | **48.000** | | | | **1,721.16** | **1,384.80** | **336.36** | | |
| JOHNSON & JOHNSON COM | *Trade* | 6.000 | | 10/31/08 | 06/23/10 | 352.86 | 367.02 | (14.16) | | Y |
| JONES LANG LASALLE INC | *Trade* | 4.000 | | 10/22/08 | 02/17/10 | 256.03 | 113 00 | 143.03 | | Y |
| | *Trade* | 3.000 | | 10/22/08 | 03/11/10 | 199.85 | 84.75 | 115.10 | | Y |
| | *Trade* | 6 000 | | 10/22/08 | 04/08/10 | 438.86 | 169.50 | 269.36 | | Y |
| | *Trade* | 6.000 | | 10/22/08 | 04/28/10 | 487.92 | 169 50 | 318.42 | | Y |
| | *Trade* | 5.000 | | 10/22/08 | 05/10/10 | 384 30 | 141.25 | 243.05 | | Y |
| | *Trade* | 2.000 | | 10/22/08 | 05/11/10 | 159 81 | 56.50 | 103 31 | | Y |
| | *Trade* | 3.000 | | 08/26/09 | 09/14/10 | 243.51 | 135.21 | 108.30 | | Y |
| | *Trade* | 5 000 | | 08/26/09 | 09/27/10 | 430.11 | 225.35 | 204.76 | | Y |
| | **Sub-Total:** | **34.000** | | | | **2,600.39** | **1,095.06** | **1,505.33** | | |
| JPMORGAN CHASE & CO | *Trade* | 35.000 | | 11/01/07 | 03/10/10 | 1,518.35 | 1,578.14 | (59.79) 1 | | Y |
| | *Trade* | 40.000 | | 11/01/07 | 05/24/10 | 1,583 94 | 1,803.59 | (219 65) 1 | | Y |
| | *Trade* | 38.000 | | 11/01/07 | 05/26/10 | 1,485.92 | 1,713.41 | (227.49) 1 | | Y |
| | *Trade* | 5.000 | | 11/01/07 | 06/23/10 | 191.99 | 225 45 | (33.46) 1 | | Y |
| | *Trade* | 12.000 | | 11/01/07 | 07/27/10 | 489 02 | 541.08 | (52.06) 1 | | Y |
| | *Trade* | 10 000 | | 03/06/08 | 07/27/10 | 407 51 | 375 10 | 32.41 | | Y |
| | **Sub-Total:** | **140.000** | | | | **5,676.73** | **6,236.77** | **(560.04)** | | |
| J2 GLOBAL COMMUNICATIONS INC NEW | *Trade* | 4.000 | | 02/20/07 | 02/17/10 | 82.95 | 95 92 | (12.97) 1 | | Y |
| | *Trade* | 7.000 | | 02/20/07 | 03/11/10 | 166.94 | 167 86 | (.92) 1 | | Y |
| | **Sub-Total:** | **11.000** | | | | **249.89** | **263.78** | **(13.89)** | | |
| KONINKLIJKE AHOLD NV NEW 2007 SPON ADR | *Trade* | 21 000 | | 10/06/08 | 06/15/10 | 268 24 | 236.75 | 31 49 | | Y |
| | *Trade* | 14.000 | | 03/03/09 | 06/15/10 | 178.82 | 148 32 | 30 50 | | Y |
| | *Trade* | 1.000 | | 03/03/09 | 06/22/10 | 12.99 | 10.59 | 2 40 | | Y |

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## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| KONINKLIJKE AHOLD NV NEW 2007 SPON ADR | *Trade* | 36.000 | | 03/04/09 | 06/22/10 | 467.63 | 380.66 | 86.97 | | Y |
| | **Sub-Total:** | **72.000** | | | | **927.68** | **776.32** | **151.36** | | |
| LANDAUER INC | *Trade* | 4.000 | | 02/20/07 | 02/17/10 | 237.15 | 216.00 | 21.15 | 1 | Y |
| | *Trade* | 3.000 | | 02/20/07 | 03/11/10 | 191.15 | 162.00 | 29.15 | 1 | Y |
| | **Sub-Total:** | **7.000** | | | | **428.30** | **378.00** | **50.30** | | |
| LAYNE CHRISTENSEN CO | *Trade* | 2.000 | | 05/15/08 | 02/17/10 | 53.29 | 92.84 | (39.55) | | Y |
| | *Trade* | 1.000 | | 05/15/08 | 03/11/10 | 29.66 | 46.42 | (16.76) | | Y |
| | **Sub-Total:** | **3.000** | | | | **82.95** | **139.26** | **(56.31)** | | |
| LIFEWAY FOODS INS | *Trade* | 5.000 | | 05/15/08 | 02/17/10 | 60.50 | 61.50 | (1.00) | | Y |
| | *Trade* | 5.000 | | 05/15/08 | 03/11/10 | 59.69 | 61.50 | (1.81) | | Y |
| | *Trade* | 23.000 | | 05/15/08 | 12/03/10 | 221.45 | 282.90 | (61.45) | | Y |
| | **Sub-Total:** | **33.000** | | | | **341.64** | **405.90** | **(64.26)** | | |
| LINDSAY CORP | *Trade* | 2.000 | | 05/15/08 | 02/17/10 | 77.18 | 213.40 | (136.22) | | Y |
| | *Trade* | 1.000 | | 05/15/08 | 03/11/10 | 42.76 | 106.70 | (63.94) | | Y |
| | **Sub-Total:** | **3.000** | | | | **119.94** | **320.10** | **(200.16)** | | |
| LKQ CORP NEW | *Trade* | 6.000 | | 05/15/08 | 02/17/10 | 112.85 | 132.56 | (19.71) | | Y |
| | *Trade* | 8.000 | | 05/15/08 | 03/11/10 | 165.27 | 176.75 | (11.48) | | Y |
| | **Sub-Total:** | **14.000** | | | | **278.12** | **309.31** | **(31.19)** | | |
| LONZA GROUP AG CHF | *Trade* | 10.000 | | 07/21/08 | 06/22/10 | 693.77 | 1,432.65 | (738.88) | | Y |
| LULULEMON ATHLETICA INC | *Trade* | 8.000 | | 06/15/09 | 12/08/10 | 440.06 | 110.58 | 329.48 | | Y |
| | *Trade* | 11.000 | | 06/15/09 | 12/29/10 | 762.83 | 152.05 | 610.78 | | Y |
| | **Sub-Total:** | **19.000** | | | | **1,202.89** | **262.63** | **940.26** | | |
| MARTEK BIOSCIENCES CORP | *Trade* | 11.000 | | 06/22/09 | 12/22/10 | 346.51 | 226.12 | 120.39 | | Y |
| | *Trade* | 14.000 | | 10/01/09 | 12/22/10 | 441.02 | 312.09 | 128.93 | | Y |
| | *Trade* | 7.000 | | 10/01/09 | 12/23/10 | 220.64 | 156.04 | 64.60 | | Y |
| | **Sub-Total:** | **32.000** | | | | **1,008.17** | **694.25** | **313.92** | | |
| MERIDIAN BIOSCIENCE INC | *Trade* | 8.000 | | 05/15/08 | 02/17/10 | 167.99 | 233.76 | (65.77) | | Y |
| | *Trade* | 7.000 | | 05/15/08 | 03/11/10 | 162.53 | 204.54 | (42.01) | | Y |
| | **Sub-Total:** | **15.000** | | | | **330.52** | **438.30** | **(107.78)** | | |

*Continued on page 96*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| MET PRO CORP | *Trade* | 2.000 | | 05/15/08 | 02/17/10 | 19.11 | 25.02 | (5.91) | | Y |
| | *Trade* | 2.000 | | 05/15/08 | 03/11/10 | 19.87 | 25.02 | (5.15) | | Y |
| | **Sub-Total:** | **4.000** | | | | **38.98** | **50.04** | **(11.06)** | | |
| MICROSOFT CORP | *Trade* | 67.000 | | 07/17/07 | 06/11/10 | 1,701.22 | 2,059.78 | (358.56) 1 | | Y |
| | *Trade* | 8.000 | | 07/19/07 | 06/11/10 | 203.13 | 250.52 | (47.39) 1 | | Y |
| | *Trade* | 13.000 | | 07/19/07 | 06/23/10 | 329.55 | 407.10 | (77.55) 1 | | Y |
| | **Sub-Total:** | **88.000** | | | | **2,233.90** | **2,717.40** | **(483.50)** | | |
| MIDDLEBY CORP DELA | *Trade* | 1.000 | | 02/20/07 | 03/11/10 | 54.09 | 57.56 | (3.47) 1 | | Y |
| MILLICOM INTL CELLULAR SA NEW | *Trade* | 4.000 | | 03/06/08 | 03/18/10 | 354.58 | 444.16 | (89.58) | | Y |
| | *Trade* | 4.000 | | 03/06/08 | 04/21/10 | 367.65 | 444.16 | (76.51) | | Y |
| | *Trade* | 3.000 | | 03/06/08 | 05/06/10 | 248.63 | 333.12 | (84.49) | | Y |
| | *Trade* | 4.000 | | 03/06/08 | 06/22/10 | 342.17 | 444.16 | (101.99) | | Y |
| | *Trade* | 6.000 | | 09/25/08 | 06/22/10 | 513.25 | 439.12 | 74.13 | | Y |
| | **Sub-Total:** | **21.000** | | | | **1,826.28** | **2,104.72** | **(278.44)** | | |
| MINERALS TECHNOLOGIES INC | *Trade* | 3 000 | | 05/15/08 | 02/17/10 | 140.30 | 209.70 | (69.40) | | Y |
| | *Trade* | 2 000 | | 05/15/08 | 03/11/10 | 104.79 | 139.80 | (35.01) | | Y |
| | **Sub-Total:** | **5.000** | | | | **245.09** | **349.50** | **(104.41)** | | |
| MITSUBISHI CORP SPONS ADR ADR | *Trade* | 9 000 | | 03/06/08 | 02/09/10 | 428.66 | 579.60 | (150.94) | | Y |
| | *Trade* | 4 000 | | 03/06/08 | 05/07/10 | 176.94 | 257.60 | (80.66) | | Y |
| | *Trade* | 6.000 | | 05/19/08 | 05/07/10 | 265.41 | 448.20 | (182.79) | | Y |
| | *Trade* | 5 000 | | 05/19/08 | 06/22/10 | 221.20 | 373 50 | (152.30) | | Y |
| | *Trade* | 5 000 | | 06/02/09 | 06/22/10 | 221 20 | 202 22 | 18.98 | | Y |
| | **Sub-Total:** | **29.000** | | | | **1,313.41** | **1,861.12** | **(547.71)** | | |
| NATL INSTRUMENTS CORP | *Trade* | 4.000 | | 05/15/08 | 02/17/10 | 125.51 | 123.20 | 2.31 | | Y |
| | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 132.72 | 123.20 | 9.52 | | Y |
| | **Sub-Total:** | **8.000** | | | | **258.23** | **246.40** | **11.83** | | |
| NEOGEN CORP | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 103.18 | 66.67 | 36.51 | | Y |
| NESTLE S A SPONSORED ADR REPSTG REG SHS SWITZ ADR | *Trade* | 6 000 | | 09/25/07 | 02/03/10 | 288.29 | 265.77 | 22.52 1 | | Y |
| | *Trade* | 56.000 | | 09/25/07 | 06/22/10 | 2,689.07 | 2,480 50 | 208.57 1 | | Y |
| | *Trade* | 5 000 | | 06/05/09 | 06/22/10 | 240.10 | 179 66 | 60.44 | | Y |
| | **Sub-Total:** | **67.000** | | | | **3,217.46** | **2,925.93** | **291.53** | | |

*Continued on page 97*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| NET 1 UEPS TECHNOLOGIES INC NEW | Trade | 7.000 | | 05/15/08 | 02/17/10 | 121.81 | 204.86 | (83.05) | | Y |
| | Trade | 6.000 | | 05/15/08 | 03/11/10 | 112.43 | 175.59 | (63.16) | | Y |
| | **Sub-Total:** | **13.000** | | | | **234.24** | **380.45** | **(146.21)** | | |
| NEW JERSEY RESOURCES CRP | Trade | 5.000 | | 05/15/08 | 02/17/10 | 178.39 | 168.65 | 9.74 | | Y |
| | Trade | 6.000 | | 05/15/08 | 03/11/10 | 220.61 | 202.38 | 18.23 | | Y |
| | Trade | 4.000 | | 05/15/08 | 08/23/10 | 148.33 | 134.92 | 13.41 | | Y |
| | Trade | 3.000 | | 05/15/08 | 10/20/10 | 121.91 | 101.19 | 20.72 | | Y |
| | **Sub-Total:** | **18.000** | | | | **669.24** | **607.14** | **62.10** | | |
| NEW WORLD DEVELOPMENT LTD SPON ADR (HONG KONG) | Trade | 218.000 | | 06/03/09 | 06/22/10 | 730.28 | 911.72 | (181.44) | | Y |
| NEWCREST MINING LTD SPON AUSTRALIA ADR | Trade | 27.000 | | 07/16/08 | 06/22/10 | 837.52 | 882.56 | (45.04) | | Y |
| | Trade | 7.000 | | 12/01/08 | 06/22/10 | 217.14 | 116.09 | 101.05 | | Y |
| | Trade | 5.000 | | 02/03/09 | 06/22/10 | 155.10 | 96.25 | 58.85 | | Y |
| | Trade | 11.000 | | 02/04/09 | 06/22/10 | 341.21 | 208.66 | 132.55 | | Y |
| | Trade | 11.000 | | 03/04/09 | 06/22/10 | 341.21 | 212.62 | 128.59 | | Y |
| | **Sub-Total:** | **61.000** | | | | **1,892.18** | **1,516.18** | **376.00** | | |
| NEWS CORP INC DELA CL A | Trade | 35.000 | | 03/06/08 | 03/16/10 | 492.72 | 650.30 | (157.58) | | Y |
| | Trade | 245.000 | | 03/06/08 | 09/21/10 | 3,384.37 | 4,552.10 | (1,167.73) | | Y |
| | **Sub-Total:** | **280.000** | | | | **3,877.09** | **5,202.40** | **(1,325.31)** | | |
| NINTENDO LTD ADR NEW JAPAN ADR | Trade | 29.000 | | 03/05/09 | 06/22/10 | 1,122.57 | 1,009.37 | 113.20 | | Y |
| | Trade | 3.000 | | 06/18/09 | 06/22/10 | 116.13 | 101.12 | 15.01 | | Y |
| | **Sub-Total:** | **32.000** | | | | **1,238.70** | **1,110.49** | **128.21** | | |
| NIPPON TELEG & TEL CORP SPON ADR | Trade | 12.000 | | 12/04/08 | 02/10/10 | 261.21 | 294.17 | (32.96) | | Y |
| | Trade | 2.000 | | 12/04/08 | 02/11/10 | 43.55 | 49.03 | (5.48) | | Y |
| | **Sub-Total:** | **14.000** | | | | **304.76** | **343.20** | **(38.44)** | | |
| NISSAN MTR LTD SPONS ADR JAPAN ADR | Trade | 26.000 | | 09/22/08 | 04/05/10 | 453.62 | 385.67 | 67.95 | | Y |
| | Trade | 56.000 | | 03/03/09 | 04/05/10 | 977.02 | 339.15 | 637.87 | | Y |
| | **Sub-Total:** | **82.000** | | | | **1,430.64** | **724.82** | **705.82** | | |
| NOMURA HOLDINGS INC NEW SPON ADR | Trade | 15.000 | | 05/28/08 | 06/22/10 | 88.37 | 249.02 | (160.65) | | Y |
| | Trade | 72.000 | | 05/29/08 | 06/22/10 | 424.18 | 1,211.33 | (787.15) | | Y |

*Continued on page 98*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| *Security Description* | *Activity Type* | *Quantity/ Face value* | *Original Cost Basis* | *Purchase date Date Acquired* | *Date Sold* | *Sale Amount* | *Cost or Other Basis* | *Gain/Loss* | *Remarks* | *Matches 1099-B* |
|---|---|---|---|---|---|---|---|---|---|---|
| NOMURA HOLDINGS INC NEW | *Trade* | 31.000 | | 10/28/08 | 06/22/10 | 182.63 | 286.98 | (104.35) | | Y |
| SPON ADR | *Trade* | 17.000 | | 06/11/09 | 06/22/10 | 100.15 | 155.92 | (55.77) | | Y |
| | **Sub-Total:** | **135.000** | | | | **795.33** | **1,903.25** | **(1,107.92)** | | |
| NOVARTIS AG SPON ADR | *Trade* | 13.000 | | 02/20/07 | 03/15/10 | 710.24 | 763.88 | (53.64)*1* | | Y |
| | *Trade* | 29 000 | | 02/20/07 | 06/22/10 | 1,420.10 | 1,704.03 | (283.93)*1* | | Y |
| | *Trade* | 6.000 | | 07/01/08 | 06/22/10 | 293.81 | 329.50 | (35.69) | | Y |
| | *Trade* | 8.000 | | 03/05/09 | 06/22/10 | 391.75 | 276.67 | 115.08 | | Y |
| | **Sub-Total:** | **56.000** | | | | **2,815.90** | **3,074.08** | **(258.18)** | | |
| NTT DOCOMO INC ECH | *Trade* | 40.000 | | 05/29/08 | 03/10/10 | 609.15 | 640.62 | (31.47) | | Y |
| REPSTG 1/200TH COM SHS | *Trade* | 35.000 | | 05/29/08 | 03/11/10 | 532.19 | 560.55 | (28.36) | | Y |
| SPON ADR | *Trade* | 7 000 | | 05/29/08 | 06/22/10 | 105 49 | 112.11 | (6.62) | | Y |
| | *Trade* | 9.000 | | 07/30/08 | 06/22/10 | 135.63 | 149 85 | (14 22) | | Y |
| | **Sub-Total:** | **91.000** | | | | **1,382.46** | **1,463.13** | **(80.67)** | | |
| NUTRI/SYSTEMS INC | *Trade* | 5 000 | | 04/13/09 | 07/26/10 | 112.41 | 74.19 | 38.22 | | Y |
| OCCIDENTAL PETROLEUM CRP | *Trade* | 14.000 | | 03/06/08 | 06/23/10 | 1,165.54 | 1,064.56 | 100.98 | | Y |
| ORMAT TECHNOLOGIES INC | *Trade* | 1.000 | | 07/16/08 | 03/11/10 | 30 01 | 47.18 | (17 17) | | Y |
| PARKWAY PROPERTIES INC | *Trade* | 4 000 | | 05/15/08 | 02/17/10 | 66.19 | 155 76 | (89.57) | | Y |
| MD | *Trade* | 5 000 | | 05/15/08 | 03/11/10 | 90.82 | 194.70 | (103.88) | | Y |
| | *Trade* | 12 000 | | 05/15/08 | 08/23/10 | 164.07 | 467.28 | (303 21) | | Y |
| | **Sub-Total:** | **21.000** | | | | **321.08** | **817.74** | **(496.66)** | | |
| PETROLEO BRASILEIRO SA | *Trade* | 3 000 | | 08/13/08 | 02/11/10 | 120.47 | 154 13 | (33.66) | | Y |
| SPON ADR | *Trade* | 16.000 | | 12/18/08 | 02/11/10 | 642 52 | 387 86 | 254.66 | | Y |
| | **Sub-Total:** | **19.000** | | | | **762.99** | **541.99** | **221.00** | | |
| PIMCO COMMODITY REAL | *Trade* | 108 216 | | 03/06/08 | 05/12/10 | 843 00 | 2,156.74 | (1,313.74) | | Y |
| RETURN STRATEGY FUND | *Trade* | 374.282 | | 03/06/08 | 06/23/10 | 2,736 00 | 7,459 44 | (4,723.44) | | Y |
| CLASS A | *Trade* | 107.963 | | 03/06/08 | 08/02/10 | 853.99 | 2,151.70 | (1,297.71) | | Y |
| | *Trade* | 98 402 | | 03/06/08 | 11/18/10 | 836 42 | 1,961 15 | (1,124.73) | | Y |
| | **Sub-Total:** | **688.863** | | | | **5,269.41** | **13,729.03** | **(8,459.62)** | | |

*Continued on page 99*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| *Security Description* | *Activity Type* | *Quantity/ Face value* | *Original Cost Basis* | *Purchase date Date Acquired* | *Date Sold* | *Sale Amount* | *Cost or Other Basis* | *Gain/Loss* | *Remarks* | *Matches 1099-B* |
|---|---|---|---|---|---|---|---|---|---|---|
| PIMCO TOTAL RETURN FUND CLASS A | *Trade* | 200.584 | | 03/06/08 | 05/12/10 | 2,228.49 | 2,160.29 | 68.20 | | Y |
| | *Trade* | 1,119.839 | | 03/06/08 | 06/22/10 | 12,542.20 | 12,060.67 | 481.53 | | Y |
| | *Trade* | 134.313 | | 03/06/08 | 06/29/10 | 1,512.37 | 1,446.55 | 65.82 | | Y |
| | *Trade* | 123.247 | | 03/06/08 | 07/29/10 | 1,400.09 | 1,327.37 | 72.72 | | Y |
| | *Trade* | 111.747 | | 03/06/08 | 11/18/10 | 1,287.33 | 1,203.52 | 83.81 | | Y |
| | *Trade* | 109.250 | | 03/06/08 | 11/22/10 | 1,262.93 | 1,176.62 | 86.31 | | Y |
| | **Sub-Total:** | **1,798.980** | | | | **20,233.41** | **19,375.02** | **858.39** | | |
| PLANTRONICS INC NEW | *Trade* | 6.000 | | 05/15/08 | 02/17/10 | 172.25 | 149.40 | 22.85 | | Y |
| | *Trade* | 8.000 | | 05/15/08 | 03/11/10 | 256.04 | 199.20 | 56.84 | | Y |
| | *Trade* | 3.000 | | 05/15/08 | 09/14/10 | 90.05 | 74.70 | 15.35 | | Y |
| | **Sub-Total:** | **17.000** | | | | **518.34** | **423.30** | **95.04** | | |
| POLYCOM INC | *Trade* | 8.000 | | 05/15/08 | 02/17/10 | 203.03 | 202.04 | .99 | | Y |
| | *Trade* | 8.000 | | 05/15/08 | 03/11/10 | 235.11 | 202.04 | 33.07 | | Y |
| | **Sub-Total:** | **16.000** | | | | **438.14** | **404.08** | **34.06** | | |
| POWER INTEGRATIONS INC | *Trade* | 6.000 | | 05/15/08 | 02/17/10 | 209.39 | 199.88 | 9.51 | | Y |
| | *Trade* | 5.000 | | 05/15/08 | 03/11/10 | 194.84 | 166.57 | 28.27 | | Y |
| | *Trade* | 4.000 | | 05/15/08 | 12/03/10 | 166.58 | 133.25 | 33.33 | | Y |
| | **Sub-Total:** | **15.000** | | | | **570.81** | **499.70** | **71.11** | | |
| PRE-PAID LEGAL SVCS INC | *Trade* | 1.000 | | 11/12/08 | 02/17/10 | 42.12 | 36.38 | 5.74 | | Y |
| | *Trade* | 1.000 | | 11/12/08 | 03/11/10 | 39.03 | 36.38 | 2.65 | | Y |
| | *Trade* | 8.000 | | 11/12/08 | 04/15/10 | 296.42 | 291.03 | 5.39 | | Y |
| | **Sub-Total:** | **10.000** | | | | **377.57** | **363.79** | **13.78** | | |
| QBE INSURANCE GROUP LTD ORD AUD | *Trade* | 25.000 | | 09/15/08 | 06/22/10 | 414.24 | 467.00 | (52.76) | | Y |
| | *Trade* | 40.000 | | 10/10/08 | 06/22/10 | 662.78 | 662.03 | .75 | | Y |
| | *Trade* | 6.000 | | 06/16/09 | 06/22/10 | 99.42 | 92.76 | 6.66 | | Y |
| | **Sub-Total:** | **71.000** | | | | **1,176.44** | **1,221.79** | **(45.35)** | | |
| QUAKER CHEMICAL CORP | *Trade* | 4.000 | | 12/12/08 | 02/17/10 | 73.55 | 46.63 | 26.92 | | Y |
| | *Trade* | 3.000 | | 12/12/08 | 03/11/10 | 77.42 | 34.97 | 42.45 | | Y |
| | **Sub-Total:** | **7.000** | | | | **150.97** | **81.60** | **69.37** | | |
| QUALITY SYSTEMS INC | *Trade* | 3.000 | | 05/15/08 | 02/17/10 | 174.35 | 103.32 | 71.03 | | Y |
| | *Trade* | 3.000 | | 05/15/08 | 03/11/10 | 172.45 | 103.32 | 69.13 | | Y |

*Continued on page 100*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| *Security Description* | *Activity Type* | *Quantity/ Face value* | *Original Cost Basis* | *Purchase date Date Acquired* | *Date Sold* | *Sale Amount* | *Cost or Other Basis* | *Gain/Loss* | *Remarks* | *Matches 1099-B* |
|---|---|---|---|---|---|---|---|---|---|---|
| QUALITY SYSTEMS INC | *Trade* | 3.000 | | 05/15/08 | 09/27/10 | 192.73 | 103.32 | 89.41 | | Y |
| | **Sub-Total:** | **9.000** | | | | **539.53** | **309.96** | **229.57** | | |
| RENAISSANCE LEARNING INC | *Trade* | 4.000 | | 05/15/08 | 02/17/10 | 47.67 | 59.88 | (12.21) | | Y |
| | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 58.55 | 59.88 | (1.33) | | Y |
| | **Sub-Total:** | **8.000** | | | | **106.22** | **119.76** | **(13.54)** | | |
| ROCHE HLDG LTD SPONS ADR SWITZ ADR | *Trade* | 64.000 | | 03/06/08 | 06/22/10 | 2,248.28 | 3,022.40 | (774.12) | | Y |
| | *Trade* | 4.000 | | 07/01/08 | 06/22/10 | 140 52 | 179.40 | (38.88) | | Y |
| | *Trade* | 5.000 | | 03/03/09 | 06/22/10 | 175.65 | 134.86 | 40.79 | | Y |
| | *Trade* | 1.000 | | 03/04/09 | 06/22/10 | 35.13 | 27.52 | 7.61 | | Y |
| | *Trade* | 4 000 | | 03/23/09 | 06/22/10 | 140.52 | 129.39 | 11.13 | | Y |
| | **Sub-Total:** | **78.000** | | | | **2,740.10** | **3,493.57** | **(753.47)** | | |
| SANTOS LTD ORD ORD AUD | *Trade* | 70.000 | | 05/20/09 | 06/22/10 | 801.48 | 792.55 | 8.93 | | Y |
| | *Trade* | 21.000 | | 06/19/09 | 06/22/10 | 240.45 | 251.65 | (11.20) | | Y |
| | **Sub-Total:** | **91.000** | | | | **1,041.93** | **1,044.20** | **(2.27)** | | |
| SECOM LTD ADR JAPAN ADR | *Trade* | 2.000 | | 10/09/08 | 03/30/10 | 174.24 | 148.16 | 26.08 | | Y |
| | *Trade* | 10.000 | | 10/09/08 | 06/22/10 | 898.48 | 740.80 | 157 68 | | Y |
| | **Sub-Total:** | **12.000** | | | | **1,072.72** | **888.96** | **183.76** | | |
| SIMPSON MANUFACTURING CO INC DELA | *Trade* | 4.000 | | 05/15/08 | 02/17/10 | 98 07 | 96.32 | 1.75 | | Y |
| | *Trade* | 5.000 | | 05/15/08 | 03/11/10 | 134 24 | 120.40 | 13 84 | | Y |
| | *Trade* | 4 000 | | 05/15/08 | 05/11/10 | 129.84 | 96.32 | 33.52 | | Y |
| | **Sub-Total:** | **13.000** | | | | **362.15** | **313.04** | **49.11** | | |
| SKYWORKS SOLUTIONS INC | *Trade* | 14 000 | | 10/22/09 | 10/26/10 | 305.25 | 155.77 | 149.48 | | Y |
| SMITH & NEPHEW PLC NEW SPON ADR | *Trade* | 9.000 | | 03/20/08 | 06/22/10 | 440 90 | 574.59 | (133.69) | | Y |
| | *Trade* | 8.000 | | 03/25/08 | 06/22/10 | 391.91 | 529.14 | (137 23) | | Y |
| | *Trade* | 4.000 | | 06/19/08 | 06/22/10 | 195.96 | 235.60 | (39.64) | | Y |
| | **Sub-Total:** | **21.000** | | | | **1,028.77** | **1,339.33** | **(310.56)** | | |
| SOUTH JERSEY IND INC | *Trade* | 5.000 | | 05/15/08 | 02/17/10 | 193.19 | 191.95 | 1 24 | | Y |
| | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 161.87 | 153.56 | 8.31 | | Y |
| | *Trade* | 12.000 | | 05/15/08 | 06/23/10 | 525 95 | 460.68 | 65.27 | | Y |
| | *Trade* | 1.000 | | 05/15/08 | 10/20/10 | 50.35 | 38.39 | 11.96 | | Y |
| | **Sub-Total:** | **22.000** | | | | **931.36** | **844.58** | **86.78** | | |

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C36G004009-X

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| SOUTHSIDE BANCSHARES INC<br>TYLER TEXAS | *Trade* | 5.000 | | 09/26/08 | 02/17/10 | 98.84 | 114.66 | (15.82) | | Y |
| | *Trade* | 4.000 | | 09/26/08 | 03/11/10 | 86.15 | 91.73 | (5.58) | | Y |
| | *Trade* | 3.000 | | 09/29/08 | 12/03/10 | 63.29 | 68.65 | (5.36) | | Y |
| | **Sub-Total:** | **12.000** | | | | **248.28** | **275.04** | **(26.76)** | | |
| STANDARD CHARTERED PLC | *Trade* | 36.000 | | 12/24/08 | 06/22/10 | 948.65 | 210.89 | 737.76 | | Y |
| STRABAG AG EUR | *Trade* | 2.000 | | 05/16/08 | 01/27/10 | 409.43 | 825.33 | (415.90) | | Y |
| STRAYER EDUCATION INC | *Trade* | 1.000 | | 05/15/08 | 02/17/10 | 215.41 | 197.23 | 18.18 | | Y |
| | *Trade* | 2.000 | | 05/15/08 | 05/10/10 | 470.17 | 394.46 | 75.71 | | Y |
| | *Trade* | 1.000 | | 05/15/08 | 08/18/10 | 167.78 | 197.23 | (29.45) | | Y |
| | *Trade* | 2.000 | | 05/15/08 | 08/20/10 | 323.23 | 394.46 | (71.23) | | Y |
| | **Sub-Total:** | **6.000** | | | | **1,176.59** | **1,183.38** | **(6.79)** | | |
| SUNPOWER CORP CL B | *Trade* | 2.000 | | 11/21/08 | 02/17/10 | 34.49 | 25.20 | 9.29 | | Y |
| SYNGENTA AG SPON ADR | *Trade* | 20.000 | | 03/06/08 | 06/22/10 | 959.38 | 1,183.80 | (224.42) | | Y |
| T-3 ENERGY SERVICES INC<br>**MERGER EFF: 01/2011** | *Trade* | 4.000 | | 12/03/09 | 12/23/10 | 156.20 | 102.22 | 53.98 | | Y |
| | *Trade* | 1.000 | | 12/04/09 | 12/23/10 | 39.05 | 26.19 | 12.86 | | Y |
| | *Trade* | 4.000 | | 12/04/09 | 12/27/10 | 155.32 | 104.76 | 50.56 | | Y |
| | *Trade* | 6.000 | | 12/07/09 | 12/27/10 | 232.98 | 160.37 | 72.61 | | Y |
| | *Trade* | 6.000 | | 12/07/09 | 12/28/10 | 232.19 | 160.37 | 71.82 | | Y |
| | **Sub-Total:** | **21.000** | | | | **815.74** | **553.91** | **261.83** | | |
| TEAM INC | *Trade* | 3.000 | | 05/15/08 | 02/17/10 | 54.38 | 88.56 | (34.18) | | Y |
| | *Trade* | 3.000 | | 05/15/08 | 03/11/10 | 55.24 | 88.56 | (33.32) | | Y |
| | **Sub-Total:** | **6.000** | | | | **109.62** | **177.12** | **(67.50)** | | |
| TELE NORTE LESTE<br>PARTICIPACOES S A ADR | *Trade* | 5.000 | | 03/06/08 | 06/22/10 | 81.85 | 125.14 | (43.29) | | Y |
| | *Trade* | 32.000 | | 05/15/08 | 06/22/10 | 523.83 | 772.92 | (249.09) | | Y |
| | **Sub-Total:** | **37.000** | | | | **605.68** | **898.06** | **(292.38)** | | |
| TESCO PLC SPONS ADR<br>UNITED KINGDOM | *Trade* | 29.000 | | 03/06/08 | 06/22/10 | 506.33 | 707.60 | (201.27) | | Y |
| | *Trade* | 20.000 | | 10/09/08 | 06/22/10 | 349.19 | 382.00 | (32.81) | | Y |
| | **Sub-Total:** | **49.000** | | | | **855.52** | **1,089.60** | **(234.08)** | | |

*Continued on page 102*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| TEXAS INSTRUMENTS | *Trade* | 53.000 | | 05/28/08 | 06/23/10 | 1,306 42 | 1,713.38 | (406.96) | | Y |
| THALES SPONS ORD EUR | *Trade* | 24.000 | | 03/06/08 | 06/22/10 | 826.56 | 1,505.76 | (679.20) | | Y |
| | *Trade* | 8.000 | | 03/23/09 | 06/22/10 | 275.52 | 313.56 | (38.04) | | Y |
| | **Sub-Total:** | **32.000** | | | | **1,102.08** | **1,819.32** | **(717.24)** | | |
| TIMBERLAND CO CL A | *Trade* | 3.000 | | 05/15/08 | 02/17/10 | 54.11 | 54.36 | (.25) | | Y |
| | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 82.79 | 72.48 | 10.31 | | Y |
| | *Trade* | 10.000 | | 05/15/08 | 07/07/10 | 159.80 | 181.20 | (21.40) | | Y |
| | *Trade* | 14 000 | | 05/15/08 | 07/28/10 | 250.69 | 253 68 | (2.99) | | Y |
| | *Trade* | 8.000 | | 05/15/08 | 09/22/10 | 149.67 | 144.96 | 4.71 | | Y |
| | *Trade* | 3.000 | | 03/11/09 | 09/22/10 | 56.13 | 29.84 | 26.29 | | Y |
| | **Sub-Total:** | **42.000** | | | | **753.19** | **736.52** | **16.67** | | |
| TOTAL S.A. FRANCE SPON ADR | *Trade* | 29.000 | | 01/28/09 | 06/22/10 | 1,426.58 | 1,530.39 | (103.81) | | Y |
| | *Trade* | 5.000 | | 02/18/09 | 06/22/10 | 245.96 | 247.21 | (1 25) | | Y |
| | **Sub-Total:** | **34.000** | | | | **1,672.54** | **1,777.60** | **(105.06)** | | |
| TRANSATLANTIC HLDGS INC | *Trade* | 8.000 | | 03/06/08 | 06/23/10 | 391.59 | 530.88 | (139.29) | | Y |
| TRANSOCEAN LTD CHF | *Trade* | 7.000 | | 12/06/07 | 06/22/10 | 369.59 | 927.50 | (557.91) *1* | | Y |
| | *Trade* | 1.001 | | 01/14/08 | 06/22/10 | 52.85 | 140.94 | (88.09) *1* | | Y |
| | *Trade* | 3.999 | | 01/14/08 | 06/23/10 | 210 42 | 563.08 | (352.66) *1* | | Y |
| | *Trade* | 2.001 | | 01/18/08 | 06/23/10 | 105.29 | 252.01 | (146 72) *1* | | Y |
| | **Sub-Total:** | **14.001** | | | | **738.15** | **1,883.53** | **(1,145.38)** | | |
| UMPQUA HOLDINGS CORP OR | *Trade* | 6 000 | | 05/15/08 | 02/17/10 | 72.55 | 84.60 | (12 05) | | Y |
| | *Trade* | 9 000 | | 05/15/08 | 03/11/10 | 117.00 | 126.90 | (9.90) | | Y |
| | **Sub-Total:** | **15.000** | | | | **189.55** | **211.50** | **(21.95)** | | |
| UNDER ARMOUR INC CL A | *Trade* | 2 000 | | 11/21/08 | 02/17/10 | 51.51 | 36.00 | 15.51 | | Y |
| | *Trade* | 1.000 | | 11/21/08 | 03/11/10 | 29 00 | 18 00 | 11.00 | | Y |
| | **Sub-Total:** | **3.000** | | | | **80.51** | **54.00** | **26.51** | | |
| UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR | *Trade* | 15.000 | | 08/13/08 | 02/03/10 | 469.04 | 431.98 | 37.06 | | Y |
| | *Trade* | 20.000 | | 08/13/08 | 02/05/10 | 572.23 | 575.97 | (3.74) | | Y |
| | **Sub-Total:** | **35.000** | | | | **1,041.27** | **1,007.95** | **33.32** | | |

*Continued on page 103*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| UNTD NAT FOODS INC | *Trade* | 5.000 | | 05/15/08 | 02/17/10 | 138.24 | 91.10 | 47.14 | | Y |
| | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 115.23 | 72.88 | 42.35 | | Y |
| | **Sub-Total:** | **9.000** | | | | **253.47** | **163.98** | **89.49** | | |
| US TSY NOTE 03.375 %<br>DUE 06/30/13<br>DTD 06/30/08 FC 12/31/08 | *Trade* | 6,000.000 | | 02/09/09 | 03/15/10 | 6,336.09 | 6,410.64 | (74.55) | | Y |
| VODAFONE GROUP PLC NEW<br>SPON ADR | *Trade* | 24.000 | | 02/21/07 | 05/21/10 | 452.40 | 691.20 | (238.80) | | Y |
| | *Trade* | 9.000 | | 06/05/08 | 05/21/10 | 169.65 | 273.10 | (103.45) | | Y |
| | *Trade* | 16.000 | | 06/05/08 | 05/26/10 | 309.70 | 485.52 | (175.82) | | Y |
| | *Trade* | 5.000 | | 07/30/08 | 05/26/10 | 96.78 | 133.50 | (36.72) | | Y |
| | *Trade* | 17.000 | | 07/30/08 | 06/22/10 | 359.20 | 453.89 | (94.69) | | Y |
| | *Trade* | 34.000 | | 03/03/09 | 06/22/10 | 718.41 | 563.54 | 154.87 | | Y |
| | *Trade* | 6.000 | | 03/23/09 | 06/22/10 | 126.78 | 105.00 | 21.78 | | Y |
| | **Sub-Total:** | **111.000** | | | | **2,232.92** | **2,705.75** | **(472.83)** | | |
| VULCAN MATERIALS CO NEW<br>(HOLDING COMPANY) | *Trade* | 11.000 | | 03/06/08 | 06/23/10 | 510.72 | 736.56 | (225.84) | | Y |
| | *Trade* | 14.000 | | 03/06/08 | 12/02/10 | 595.15 | 937.44 | (342.29) | | Y |
| | **Sub-Total:** | **25.000** | | | | **1,105.87** | **1,674.00** | **(568.13)** | | |
| WABTEC INC | *Trade* | 4.000 | | 05/15/08 | 02/17/10 | 153.59 | 180.92 | (27.33) | | Y |
| | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 167.11 | 180.92 | (13.81) | | Y |
| | **Sub-Total:** | **8.000** | | | | **320.70** | **361.84** | **(41.14)** | | |
| WATTS WATER TECHNOLOGIES<br>INC CL A | *Trade* | 3.000 | | 05/15/08 | 02/17/10 | 88.19 | 81.15 | 7.04 | | Y |
| | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 124.43 | 108.20 | 16.23 | | Y |
| | **Sub-Total:** | **7.000** | | | | **212.62** | **189.35** | **23.27** | | |
| WEST PHARMACEUTICAL<br>SERVICES INC | *Trade* | 4.000 | | 05/15/08 | 03/11/10 | 163.71 | 184.00 | (20.29) | | Y |
| WILEY JOHN & SONS INC<br>CL A | *Trade* | 3.000 | | 05/15/08 | 02/17/10 | 122.93 | 141.36 | (18.43) | | Y |
| | *Trade* | 5.000 | | 05/15/08 | 03/11/10 | 215.94 | 235.60 | (19.66) | | Y |
| | **Sub-Total:** | **8.000** | | | | **338.87** | **376.96** | **(38.09)** | | |
| WILMINGTON TRUST CORP<br>NEW | *Trade* | 6.000 | | 09/10/08 | 02/17/10 | 77.15 | 149.05 | (71.90) | | Y |
| | *Trade* | 7.000 | | 09/10/08 | 03/11/10 | 104.80 | 173.90 | (69.10) | | Y |

*Continued on page 104*

## Long-Term Gain/Loss - continued

*This section includes securities held for more than one year, and option contracts that are not reported on Form 1099-B*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| WILMINGTON TRUST CORP NEW | *Trade* | 25.000 | | 09/10/08 | 08/18/10 | 230 03 | 621.06 | (391.03) | | Y |
| | *Trade* | 10 000 | | 09/23/08 | 08/19/10 | 88.76 | 304.66 | (215.90) | | Y |
| | *Trade* | 21.000 | | 09/23/08 | 08/20/10 | 178.77 | 639.79 | (461.02) | | Y |
| | **Sub-Total:** | **69.000** | | | | **679.51** | **1,888.46** | **(1,208.95)** | | |
| ZURICH FINANCIAL SVCS SPON ADR | *Trade* | 10.000 | | 03/06/08 | 10/20/10 | 244.79 | 301.00 | (56 21) | | Y |
| **Total Long-Term Gain/Loss** | | | | | | **251,164.13** | **277,383.23** | **(26,219.10)** | | |

## Unclassified Gain/Loss

*This section includes securities that cannot be classified as short-term or long-term due to missing information or the product is one for which a gain/loss calculation is not provided This section may also include securities not reported on Form 1099-B, as well as securities classified as a percentage of both short-term and long-term holding periods, the "60/40 rule" Broad-Based index options may also be subject to Mark-to-Market rules Please consult your tax advisor for proper tax treatment of these types of transactions*

| Security Description | Activity Type | Quantity/ Face value | Original Cost Basis | Purchase date Date Acquired | Date Sold | Sale Amount | Cost or Other Basis | Gain/Loss | Remarks | Matches 1099-B |
|---|---|---|---|---|---|---|---|---|---|---|
| QBE INSURANCE GROUP LTD ORD AUD | *Trade* | 1.000 | | | 06/22/10 | 16.57 | | *-Not Calculated-* | *Not calculated* | Y |
| TRANSOCEAN LTD CHF | *Trade* | 2.999 | | | 06/22/10 | 158.35 | | *-Not Calculated-* | *Not calculated* | Y |
| **Total Unclassified Gain/Loss** | | | | | | **174.92** | | | | |