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

2010

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

For calendar year 2010, or tax year beginning

, and ending

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name change

Name of foundation

THE COLE FOUNDATION TRUST  
REGIONS TRUST ACCOUNT NO. 60-4047-01-9

A Employer identification number

56-2547408

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

P.O. BOX 2527

Room/suite

B Telephone number

251-690-1440

City or town, state, and ZIP code

MOBILE, AL 36622-0001

C If exemption application is pending, check here ☐D 1. Foreign organizations, check here ☐2. Foreign organizations meeting the 85% test,  
check here and attach computation ☐H Check type of organization: ☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationE 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 ☐

I Fair market value of all assets at end of year

(from Part II, col. (c), line 16)

\$ 903,934.

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).)(a) Revenue and  
expenses per books(b) Net investment  
income(c) Adjusted net  
income(d) Disbursements  
for charitable purposes  
(cash basis only)

Revenue	1 Contributions, gifts, grants, etc., received			N/A	
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments	16,975.	16,975.		STATEMENT 1
	4 Dividends and interest from securities	7,364.	7,364.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	21,512.			
	b Gross sales price for all assets on line 6a	309,892.			
	7 Capital gain net income (from Part IV, line 2)		21,512.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income					
12 Total. Add lines 1 through 11	45,851.	45,851.			
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees	2,900.	2,900.		0.
	c Other professional fees				
	17 Interest	489.	489.		0.
	18 Taxes				
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses	12,226.	12,226.		0.
	24 Total operating and administrative expenses. Add lines 13 through 23	15,615.	15,615.		0.
	25 Contributions, gifts, grants paid	32,000.			32,000.
26 Total expenses and disbursements. Add lines 24 and 25	47,615.	15,615.		32,000.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-1,764.				
b Net investment income (if negative, enter -0-)		30,236.			
c Adjusted net income (if negative, enter -0-)			N/A		

<b>Part II Balance Sheets</b> <small>Attached schedules and amounts in the description column should be for end-of-year amounts only</small>		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	1 Cash - non-interest-bearing	31,243.	57,462.	57,462.
	2 Savings and temporary cash investments			
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock <b>STMT 5</b>	748,500.	720,517.	846,472.
	c Investments - corporate bonds			
11 Investments - land, buildings, and equipment, basis ▶				
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment, basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶)				
<b>16 Total assets (to be completed by all filers)</b>	<b>779,743.</b>	<b>777,979.</b>	<b>903,934.</b>	
<b>Liabilities</b>	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
<b>23 Total liabilities (add lines 17 through 22)</b>	<b>0.</b>	<b>0.</b>		
<b>Net Assets or Fund Balances</b>	Foundations that follow SFAS 117, check here <input type="checkbox"/> 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 <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	779,743.	777,979.	
<b>30 Total net assets or fund balances</b>	<b>779,743.</b>	<b>777,979.</b>		
<b>31 Total liabilities and net assets/fund balances</b>	<b>779,743.</b>	<b>777,979.</b>		

**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	779,743.
2 Enter amount from Part I, line 27a	2	-1,764.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	777,979.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	777,979.

**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.)
<b>1a THRU REGIONS BANK</b>	<b>P</b>	<b>VARIOUS</b>	<b>VARIOUS</b>
<b>b THRU REGIONS BANK</b>	<b>P</b>	<b>VARIOUS</b>	<b>VARIOUS</b>
<b>c CAPITAL GAINS DIVIDENDS</b>			
<b>d</b>			
<b>e</b>			

(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)
<b>a 223,935.</b>		<b>210,273.</b>	<b>13,662.</b>
<b>b 85,500.</b>		<b>78,107.</b>	<b>7,393.</b>
<b>c 457.</b>			<b>457.</b>
<b>d</b>			
<b>e</b>			

(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))
<b>a</b>			<b>13,662.</b>
<b>b</b>			<b>7,393.</b>
<b>c</b>			<b>457.</b>
<b>d</b>			
<b>e</b>			

<b>2 Capital gain net income or (net capital loss)</b>	<div> <div>If gain, also enter in Part I, line 7</div> <div>If (loss), enter -0- in Part I, line 7</div> </div>	<b>2</b>	<b>21,512.</b>
<b>3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):</b>	<div> <div>If gain, also enter in Part I, line 8, column (c).</div> <div>If (loss), enter -0- in Part I, line 8</div> </div>	<b>3</b>	<b>N/A</b>

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2009	20,000.	676,015.	.029585
2008	24,871.	474,437.	.052422
2007	24,775.	519,317.	.047707
2006	25,164.	502,528.	.050075
2005	0.	495,675.	.000000

<b>2 Total of line 1, column (d)</b>	<b>2</b>	<b>.179789</b>
<b>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</b>	<b>3</b>	<b>.035958</b>
<b>4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5</b>	<b>4</b>	<b>844,371.</b>
<b>5 Multiply line 4 by line 3</b>	<b>5</b>	<b>30,362.</b>
<b>6 Enter 1% of net investment income (1% of Part I, line 27b)</b>	<b>6</b>	<b>302.</b>
<b>7 Add lines 5 and 6</b>	<b>7</b>	<b>30,664.</b>
<b>8 Enter qualifying distributions from Part XII, line 4</b>	<b>8</b>	<b>32,000.</b>

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		1	302.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		2	0.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		3	302.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
3 Add lines 1 and 2		5	302.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		6a	
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		6b	
6 Credits/Payments:		6c	
a 2010 estimated tax payments and 2009 overpayment credited to 2010	6d	7	0.
b Exempt foreign organizations - tax withheld at source		8	
c Tax paid with application for extension of time to file (Form 8868)		9	302.
d Backup withholding erroneously withheld		10	
7 Total credits and payments. Add lines 6a through 6d		11	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached			
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed			
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid			
11 Enter the amount of line 10 to be: Credited to 2011 estimated tax <input type="checkbox"/> Refunded <input checked="" type="checkbox"/>			

**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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 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		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?		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.	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>AL</u>		
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	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2010 or the taxable year beginning in 2010 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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## THE COLE FOUNDATION TRUST

REGIONS TRUST ACCOUNT NO. 60-4047-01-9

56-2547408

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► REGIONS MORGAN KEEGAN TRUST Telephone no. ► 251-690-1440 Located at ► P.O. BOX 2527, MOBILE, AL ZIP+4 ► 36622			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
16	At any time during calendar year 2010, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? 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 ►	16	Yes	No X

**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?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? Organizations relying on a current notice regarding disaster assistance check here	N/A	1b
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
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? If "Yes," list the years ►	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.)	N/A	2b
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b If "Yes," did it have excess business holdings in 2010 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010.)	N/A	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a
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

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**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required** (continued)**5a** During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

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

6b

X

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

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1** List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
HERBERT PHALON COLE	TRUSTEE			
216-D PORTIER COURT EAST				
MOBILE, AL 36607	0.00	0.	0.	0.
BRANDLY C. COLE	TRUSTEE			
2301 N.W. 82ND AVENUE				
PEMBROKE PINES, FL 33024	0.00	0.	0.	0.
LAURA J.C. MENARD	TRUSTEE			
1965 TABLE MESA DRIVE				
BOULDER, CO 80305	0.00	0.	0.	0.
ROGER E. COLE	TRUSTEE			
208 WEST LAKEWOOD DRIVE				
MOBILE, AL 36608	0.00	0.	0.	0.

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

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

Total number of other employees paid over \$50,000

0

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	820,061.
b	Average of monthly cash balances	1b	37,168.
c	Fair market value of all other assets	1c	
d	<b>Total</b> (add lines 1a, b, and c)	1d	857,229.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	857,229.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	12,858.
5	<b>Net value of noncharitable-use assets</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	844,371.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	42,219.

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

1	Minimum investment return from Part X, line 6	1	42,219.
2a	Tax on investment income for 2010 from Part VI, line 5	2a	302.
b	Income tax for 2010. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	302.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	41,917.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	41,917.
6	Deduction from distributable amount (see instructions)	6	0.
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	41,917.

**Part XII Qualifying Distributions** (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	32,000.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	32,000.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	302.
6	<b>Adjusted qualifying distributions</b> Subtract line 5 from line 4	6	31,698.

**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.

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**Part XIII** Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2009	(c) 2009	(d) 2010
<b>1</b> Distributable amount for 2010 from Part XI, line 7				<b>41,917.</b>
<b>2</b> Undistributed income, if any, as of the end of 2010				
<b>a</b> Enter amount for 2009 only			<b>13,154.</b>	
<b>b</b> Total for prior years:		<b>0.</b>		
<b>3</b> Excess distributions carryover, if any, to 2010:				
<b>a</b> From 2005				
<b>b</b> From 2006				
<b>c</b> From 2007				
<b>d</b> From 2008				
<b>e</b> From 2009				
<b>f</b> Total of lines 3a through e	<b>0.</b>			
<b>4</b> Qualifying distributions for 2010 from Part XII, line 4: <b>▶ \$ 32,000.</b>				
<b>a</b> Applied to 2009, but not more than line 2a			<b>13,154.</b>	
<b>b</b> Applied to undistributed income of prior years (Election required - see instructions)		<b>0.</b>		
<b>c</b> Treated as distributions out of corpus (Election required - see instructions)	<b>0.</b>			
<b>d</b> Applied to 2010 distributable amount				<b>18,846.</b>
<b>e</b> Remaining amount distributed out of corpus	<b>0.</b>			
<b>5</b> Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a).)	<b>0.</b>			<b>0.</b>
<b>6</b> Enter the net total of each column as indicated below:	<b>0.</b>			
<b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5	<b>0.</b>			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b		<b>0.</b>		
<b>c</b> 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		<b>0.</b>		
<b>d</b> Subtract line 6c from line 6b. Taxable amount - see instructions		<b>0.</b>		
<b>e</b> Undistributed income for 2009. Subtract line 4a from line 2a. Taxable amount - see instr.			<b>0.</b>	
<b>f</b> Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011				<b>23,071.</b>
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	<b>0.</b>			
<b>8</b> Excess distributions carryover from 2005 not applied on line 5 or line 7	<b>0.</b>			
<b>9</b> Excess distributions carryover to 2011. Subtract lines 7 and 8 from line 6a	<b>0.</b>			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2006				
<b>b</b> Excess from 2007				
<b>c</b> Excess from 2008				
<b>d</b> Excess from 2009				
<b>e</b> Excess from 2010				

N/A

- b** Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(I)(3) or ☐ 4942(I)(5)

- 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.

- 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**

## 1 Information Regarding Foundation Managers:

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

NONE

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

**NONE**

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

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

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

- 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:**

## THE COLE FOUNDATION TRUST

REGIONS TRUST ACCOUNT NO. 60-4047-01-9

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**Part XV** Supplementary Information (continued)**3** Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a</b> Paid during the year				
ORANGE BEACH VOLUNTEER FIRE DEPT ORANGE BEACH, ALBANIA	NONE	N/A	UNRESTRICTED CONTRIBUTION	4,000.
ST JOHNS EPISCOPAL CHURCH MOBILE, AL	NONE	N/A	UNRESTRICTED CONTRIBUTION	6,000.
ST PAUL'S EPISCOPAL CHURCH MOBILE, AL	NONE	N/A	UNRESTRICTED CONTRIBUTION	4,000.
THE NATURE CONSERVANCY OF ALABAMA MOBILE, AL	NONE	N/A	UNRESTRICTED CONTRIBUTION	8,000.
GRACE METHODIST CHURCH MOBILE, AL	NONE	N/A	UNRESTRICTED CONTRIBUTION	2,000.
WILMER HALL MOBILE, AL	NONE	N/A	UNRESTRICTED CONTRIBUTION	8,000.
<b>Total</b>				<b>32,000.</b>
<b>b</b> Approved for future payment				
NONE				
<b>Total</b>				<b>0.</b>



## Part XVII

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

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

[illegible]

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

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

**Sign  
Here**

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

Signature of officer or trustee

Date \_\_\_\_\_

Title

**Paid  
Preparer  
Use Only**

Print/Type preparer's name

ROBERT J. HOUSTON

Preparer's signature

Gobuzi Horstein

Date \_\_\_\_\_

3/17/11

Check ☐ if

self- employed

PTIN
------

Firm's name ► **RUSSELL THOMPSON BUTLER & HOUSTON, LLP**

Firm's EIN ▶

Firm's address ► P.O. BOX 70106

Phone no.	251-473-5550
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MOBILE, AL 36670

Form **990-PF** (2010)

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

SOURCE	AMOUNT
MORGAN KEEGAN	16,975.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	16,975.

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
MORGAN KEEGAN	7,821.	457.	7,364.
TOTAL TO FM 990-PF, PART I, LN 4	7,821.	457.	7,364.

## FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING	2,900.	2,900.		0.
TO FORM 990-PF, PG 1, LN 16B	2,900.	2,900.		0.

## FORM 990-PF OTHER EXPENSES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TRUSTEE FEE	11,901.	11,901.		0.
TAXES	284.	284.		0.
MISC	41.	41.		0.
TO FORM 990-PF, PG 1, LN 23	12,226.	12,226.		0.

FORM 990-PF

CORPORATE STOCK

STATEMENT

5

DESCRIPTIONBOOK VALUEFAIR MARKET  
VALUE

FIXED INCOME

371,219.

380,763.

EQUITIES

349,298.

465,709.

TOTAL TO FORM 990-PF, PART II, LINE 10B

720,517.

846,472.



## 45 SHORT-TERM GAIN/LOSS - CURRENT SALES

AT&amp;T INC - 00206R102 - MINOR = 3101

02/11/10	SOLD 210 SHS AT&T INC ON 02/08/2010 AT 24.97 THRU PERSHING L	94.43	5235.23	1002000007
	LC COMMISSIONS PAID 8.40 EXPENSES PAID 0.07			
	TR TRAN#=0000000000000006 TR CD=0 REG=22 PORT=PRIN			

94.43	0.00	5235.23
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ABBOTT LABORATORIES - 002824100 - MINOR = 31001

04/22/10	SOLD 5 SHS ABBOTT LABS ON 04/19/2010 AT 52.58 THRU CONVERGEX	39.00	262.49	1004000027
	COMMISSIONS PAID 0.40 EXPENSES PAID 0.01			
	TR TRAN#=0000000000000052 TR CD=0 REG=22 PORT=PRIN			

39.00	0.00	262.49
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ABBOTT LABS DTD 3/3/09 5.125% 04/01/2019 - 002824AU4 - MINOR = 45

03/25/10	SOLD 2,000 UNITS ABBOTT LABS DTD 3/3/09 5.125% 04/01/2019 ON	110.88	2123.62	1003000015
	03/22/2010 AT 106.181 THRU CREDIT SUISSE FIRST BOSTON LLC			
	TR TRAN#=0000000000000010 TR CD=0 REG=22 PORT=PRIN			

03/30/10	SOLD 1,000 UNITS ABBOTT LABS DTD 3/3/09 5.125% 04/01/2019 ON	40.83	1047.20	1003000019
	03/26/2010 AT 104.72 THRU CHASE SECURITIES, INC.			
	TR TRAN#=0000000000000007 TR CD=0 REG=22 PORT=PRIN			

04/20/10	SOLD 1,000 UNITS ABBOTT LABS DTD 3/3/09 5.125% 04/01/2019 ON	50.77	1057.14	1004000008
	04/15/2010 AT 105.714 THRU CANTOR FITZGERALD - CASTLEOAK SE			
	C			
	TR TRAN#=0000000000000002 TR CD=0 REG=22 PORT=PRIN			

202.48	0.00	4227.96
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AIR PRODUCTS &amp; CHEMICALS INC COM - 009158106 - MINOR = 3101

03/22/10	SOLD 80 SHS AIR PRODS & CHEMS INC ON 03/17/2010 AT 75.10 THRU	849.52	6003.12	1003000012
	U CONVERGEX COMMISSIONS PAID 4.80 EXPENSES PAID 0.08			
	TR TRAN#=0000000000000021 TR CD=0 REG=22 PORT=PRIN			

849.52	0.00	6003.12
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REGIONS BANK, TRUST DEPARTMENT  
TAX TRANSACTION DETAIL

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TAX CODE/DATE	TRANSACTIONS	TAXABLE	INCOME	PRINCIPAL	EDIT NUMBER
45	SHORT-TERM GAIN/LOSS - CURRENT SALES (CONTINUED)				
	ALLERGAN INC - 018490102 - MINOR = 50				
04/22/10	SOLD 5 SHS ALLERGAN INC ON 04/19/2010 AT 62.68 THRU CONVERGE X COMMISSIONS PAID 0.40 EXPENSES PAID 0.01 TR TRAN#=0000000000000055 TR CD=0 REG=22 PORT=PRIN	93.82		312.99	1004000028
		93.82	0.00	312.99	
	AMERICAN EXPRESS CO - 025816109 - MINOR = 31001				
04/22/10	SOLD 25 SHS AMERICAN EXPRESS CO ON 04/19/2010 AT 45.03 THRU CONVERGEX COMMISSIONS PAID 2.00 EXPENSES PAID 0.02 TR TRAN#=0000000000000034 TR CD=0 REG=22 PORT=PRIN	516.28		1123.73	1004000021
		516.28	0.00	1123.73	
	BP CAPITAL MARKETS PLC NORMAL 5.25% 11/0 - 05565QBF4 - MINOR = 45				
04/07/10	SOLD 4,000 UNITS BP CAPITAL MARKETS PLC NORMAL 5.25% 11/07/2 013 ON 04/01/2010 AT 110.039 THRU CREDIT SUISSE FIRST BOSTON LLC TR TRAN#=0000000000000006 TR CD=0 REG=22 PORT=PRIN	175.28		4401.56	1004000001
		175.28	0.00	4401.56	
	BP CAPITAL MARKETS PLC DTD 10/01/2010 3. - 05565QBN7 - MINOR = 45				
10/01/10	SOLD 1,000 UNITS BP CAPITAL MARKETS PLC DTD 10/01/2010 3.125 % 10/01/2015 ON 09/29/2010 AT 100.645 THRU CITIGROUP GLOBAL MARKETS INC. TR TRAN#=0000000000000004 TR CD=0 REG=22 PORT=PRIN	9.29		1006.45	1010000001
		9.29	0.00	1006.45	
	BANK AMER CORP - 060505104				
04/22/10	SOLD 20 SHS BANK OF AMERICA CORP ON 04/19/2010 AT 18.04 THRU CONVERGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0.01 TR TRAN#=0000000000000037 TR CD=0 REG=22 PORT=PRIN	54.39		359.19	1004000022
		54.39	0.00	359.19	
	BARCLAYS BANK PLC DTD 04/07/2010 3.9% 04 - 06739GBB4 - MINOR = 45				
12/10/10	SOLD 1,000 UNITS BARCLAYS BANK PLC DTD 04/07/2010 3.9% 04/07 /2015 ON 12/07/2010 AT 104.448 THRU J.P. MORGAN SECURITIES I NC TR TRAN#=0000000000000007 TR CD=0 REG=22 PORT=PRIN	40.82		1044.48	1012000004
		40.82	0.00	1044.48	
	BEST BUY CO INC - 086516101 - MINOR = 50				
02/11/10	SOLD 150 SHS BEST BUY INC ON 02/08/2010 AT 35.6805 THRU BNY BROKERAGE INC COMMISSIONS PAID 6.00 EXPENSES PAID 0.08 TR TRAN#=0000000000000001 TR CD=0 REG=22 PORT=PRIN	151.77		5346.00	1002000006
		151.77	0.00	5346.00	
	BLACKROCK INC DTD 12/10/2009 3.5% 12/10/ - 09247XAD3 - MINOR = 45				
05/06/10	SOLD 8,000 UNITS BLACKROCK INC DTD 12/10/2009 3.5% 12/10/201 4 ON 04/29/2010 AT 102.375 THRU MORGAN STANLEY DW INC. TR TRAN#=0000000000000002 TR CD=0 REG=22 PORT=PRIN	144.04		8190.00	1005000002
		144.04	0.00	8190.00	
	CVS CORP COM - 126650100 - MINOR = 3101				
04/22/10	SOLD 20 SHS CVS/CAREMARK CORPORATION ON 04/19/2010 AT 36.78 THRU CONVERGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0.02 TR TRAN#=0000000000000007 TR CD=0 REG=22 PORT=PRIN	143.42		733.98	1004000012
		143.42	0.00	733.98	
	CA INC DTD 11/13/09 5.375% 12/01/2019 - 12673PAC9 - MINOR = 45				
09/16/10	SOLD 1,000 UNITS CA INC DTD 11/13/09 5.375% 12/01/2019 ON 09 /13/2010 AT 105.803 THRU CONVERGEX TR TRAN#=0000000000000002 TR CD=0 REG=22 PORT=PRIN	24.98		1058.03	1009000005
		24.98	0.00	1058.03	
	CATERPILLAR INC - 149123101 - MINOR = 456				
04/22/10	SOLD 5 SHS CATERPILLAR INC ON 04/19/2010 AT 66.43 THRU CONVE RGEX COMMISSIONS PAID 0.40 EXPENSES PAID 0.01 TR TRAN#=0000000000000073 TR CD=0 REG=22 PORT=PRIN	77.39		331.74	1004000034
		77.39	0.00	331.74	

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TAX TRANSACTION DETAIL

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TAX CODE/DATE TRANSACTIONS	TAXABLE	INCOME	PRINCIPAL	EDIT NUMBER
<b>45 SHORT-TERM GAIN/LOSS - CURRENT SALES (CONTINUED)</b>				
CATERPILLAR INC DTD 12/05/08 7.9% 12/15/ - 149123BQ3 - MINOR = 45				
12/10/10 SOLD 1,000 UNITS CATERPILLAR INC DTD 12/05/08 7.9% 12/15/201 8 ON 12/07/2010 AT 129.356 THRU CANTOR CLEARING SERV TR TRAN#=0000000000000011 TR CD=0 REG=22 PORT=PRIN	71.91		1293.56	1012000005
	71.91	0.00	1293.56	
CHEVRON CORP COM - 166764100 - MINOR = 50				
04/22/10 SOLD 5 SHS CHEVRON CORP ON 04/19/2010 AT 80.52 THRU CONVERGE X COMMISSIONS PAID 0.40 EXPENSES PAID 0.01 TR TRAN#=0000000000000019 TR CD=0 REG=22 PORT=PRIN	69.99		402.19	1004000016
	69.99	0.00	402.19	
CISCO SYS INC COM - 17275R102				
04/22/10 SOLD 25 SHS CISCO SYSTEMS INC ON 04/19/2010 AT 26.66 THRU CO NVERGEX COMMISSIONS PAID 2.00 EXPENSES PAID 0.02 TR TRAN#=0000000000000085 TR CD=0 REG=22 PORT=PRIN	203.77		664.48	1004000038
	203.77	0.00	664.48	
CITIGROUP INC FDIC GUARANTEED DTD 08/06/2009 2.25% 12/10/2012 - 17313YAJ0 - MINOR = 30				
09/16/10 SOLD 1,000 UNITS CITIGROUP INC FDIC GUARANTEED DTD 08/06/200 9 2.25% 12/10/2012 ON 09/13/2010 AT 103.144 THRU CANTOR CLEA RING SERV TR TRAN#=0000000000000024 TR CD=0 REG=22 PORT=PRIN	12.22		1031.44	1009000009
12/10/10 SOLD 1,000 UNITS CITIGROUP INC FDIC GUARANTEED DTD 08/06/200 9 2.25% 12/10/2012 ON 12/07/2010 AT 103.111 THRU CANTOR CLEA RING SERV TR TRAN#=0000000000000022 TR CD=0 REG=22 PORT=PRIN	11.89		1031.11	1012000008
	24.11	0.00	2062.55	
CITRIX SYS INC COM - 177376100 - MINOR = 50				
02/10/10 SOLD 170 SHS CITRIX SYSTEM INC ON 02/05/2010 AT 41.0735 THRU BNY BROKERAGE INC COMMISSIONS PAID 6.80 EXPENSES PAID 0.09 TR TRAN#=0000000000000002 TR CD=0 REG=22 PORT=PRIN	1743.32		6975.61	1002000003
	1743.32	0.00	6975.61	
DARDEN RESTAURANTS INC - 237194105 - MINOR = 50				
03/29/10 SOLD 150 SHS DARDEN RESTAURANTS INC ON 03/24/2010 AT 44.9033 THRU CONVERGEX COMMISSIONS PAID 6.00 EXPENSES PAID 0.09 TR TRAN#=0000000000000008 TR CD=0 REG=22 PORT=PRIN	1383.94		6729.40	1003000017
	1383.94	0.00	6729.40	
DELL INC - 24702R101				
04/22/10 SOLD 95 SHS DELL INC ON 04/19/2010 AT 16.67 THRU CONVERGEX C OMMISSIONS PAID 7.60 EXPENSES PAID 0.03 TR TRAN#=0000000000000088 TR CD=0 REG=22 PORT=PRIN	480.84		1576.02	1004000039
	480.84	0.00	1576.02	
DEVON ENERGY CORPORATION - 25179M103 - MINOR = 50				
03/29/10 SOLD 85 SHS DEVON ENERGY CORP ON 03/24/2010 AT 65.17 THRU CO NVERGEX COMMISSIONS PAID 3.40 EXPENSES PAID 0.08 TR TRAN#=0000000000000003 TR CD=0 REG=22 PORT=PRIN	161.42		5535.97	1003000016
	161.42	0.00	5535.97	
WALT DISNEY CO COM - 254687106 - MINOR = 31001				
03/22/10 SOLD 20 SHS WALT DISNEY CO ON 03/17/2010 AT 33.77 THRU CONVE RGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0.01 TR TRAN#=0000000000000016 TR CD=0 REG=22 PORT=PRIN	197.63		673.79	1003000011
04/22/10 SOLD 35 SHS WALT DISNEY CO ON 04/19/2010 AT 35.72 THRU CONVE RGEX COMMISSIONS PAID 2.80 EXPENSES PAID 0.03 TR TRAN#=0000000000000004 TR CD=0 REG=22 PORT=PRIN	414.08		1247.37	1004000011
	611.71	0.00	1921.16	
DUKE ENERGY CORP CALLABLE 6.25% 01/15/20 - 264399DW3 - MINOR = 45				
02/12/10 SOLD 3,000 UNITS DUKE ENERGY CORP CALLABLE 6.25% 01/15/2012 ON 02/09/2010 AT 109.514 THRU CANTOR CLEARING SERV TR TRAN#=0000000000000005 TR CD=0 REG=22 PORT=PRIN	79.02		3285.42	1002000009
	79.02	0.00	3285.42	

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TAX TRANSACTION DETAIL

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TAX CODE/DATE TRANSACTIONS	TAXABLE	INCOME	PRINCIPAL	EDIT NUMBER
45 SHORT-TERM GAIN/LOSS - CURRENT SALES (CONTINUED) E M C CORP MASS COM - 268648102 - MINOR = 50				
03/22/10 SOLD 50 SHS E M C CORP MASS ON 03/17/2010 AT 18 79 THRU CONV ERSEX COMMISSIONS PAID 4.00 EXPENSES PAID 0.02 TR TRAN#000000000000010 TR CD=0 REG=22 PORT=PRIN	349.07		935 48	1003000009
04/22/10 SOLD 35 SHS E M C CORP MASS ON 04/19/2010 AT 18.9401 THRU CO NVERSEX COMMISSIONS PAID 2 80 EXPENSES PAID 0.02 TR TRAN#000000000000091 TR CD=0 REG=22 PORT=PRIN	249.59		660 08	1004000040
	598.66	0.00	1595 56	
EATON CORP - 278058102 - MINOR = 50				
03/22/10 SOLD 20 SHS EATON CORP ON 03/17/2010 AT 74.59 THRU CONVERGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0.02 TR TRAN#000000000000004 TR CD=0 REG=22 PORT=PRIN	615.62		1490 18	1003000007
04/22/10 SOLD 5 SHS EATON CORP ON 04/19/2010 AT 78.02 THRU CONVERGEX COMMISSIONS PAID 0.40 EXPENSES PAID 0.01 TR TRAN#000000000000076 TR CD=0 REG=22 PORT=PRIN	171.05		389 69	1004000035
	786.67	0.00	1879 87	
EXELON CORP - 30161N101 - MINOR = 50				
08/27/10 SOLD 120 SHS EXELON CORP ON 08/24/2010 AT 40.3215 THRU CONVE RGEX COMMISSIONS PAID 4.80 EXPENSES PAID 0.09 TR TRAN#000000000000025 TR CD=0 REG=22 PORT=PRIN	-108.19		402 81	1008000015
	-108.19	0.00	402.81	
FEDERAL HOME LOAN MTG CORP POOL #G02227 - 3128LXPL8 - MINOR = 35				
01/15/10 PAYMENT ON 12,408.52 UNITS FEDERAL HOME LOAN MTG CORP POOL # G02227 6% 06/01/2036 ORIGINAL FACE VALUE 24,000.00 FHLMC PC GOLD COMB 30 TR TRAN#000000000000003 TR CD=999 REG=12 PORT=PRIN	-16.52		394 41	1001000003
02/16/10 PAYMENT ON 12,014.11 UNITS FEDERAL HOME LOAN MTG CORP POOL # G02227 6% 06/01/2036 ORIGINAL FACE VALUE 24,000.00 FHLMC PC GOLD COMB 30 TR TRAN#000000000000003 TR CD=999 REG=12 PORT=PRIN	-14.06		335.76	1002000011
03/15/10 PAYMENT ON 11,678.35 UNITS FEDERAL HOME LOAN MTG CORP POOL # G02227 6% 06/01/2036 ORIGINAL FACE VALUE 24,000.00 FHLMC PC GOLD COMB 30 TR TRAN#000000000000003 TR CD=999 REG=12 PORT=PRIN	-52.84		1261.97	1003000002
04/15/10 PAYMENT ON 10,416.38 UNITS FEDERAL HOME LOAN MTG CORP POOL # G02227 6% 06/01/2036 ORIGINAL FACE VALUE 24,000.00 FHLMC PC GOLD COMB 30 TR TRAN#000000000000002 TR CD=999 REG=12 PORT=PRIN	-18.15		433.50	1004000005
05/17/10 PAYMENT ON 9,982.88 UNITS FEDERAL HOME LOAN MTG CORP POOL #G 02227 6% 06/01/2036 ORIGINAL FACE VALUE 24,000.00 FHLMC PC GOLD COMB 30 TR TRAN#000000000000003 TR CD=999 REG=12 PORT=PRIN	-12.42		296.49	1005000007
	-113.99	0.00	2722 13	
FEDERAL HOME LOAN MTG CORP POOL#G13273 5 - 3128MB2E6 - MINOR = 35				
01/15/10 PAYMENT ON 10,132.92 UNITS FEDERAL HOME LOAN MTG CORP POOL#G 13273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#000000000000007 TR CD=999 REG=12 PORT=PRIN	-26.01		479.76	1001000004
02/16/10 PAYMENT ON 9,653.16 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#000000000000007 TR CD=999 REG=12 PORT=PRIN	-24.82		457.80	1002000012
03/15/10 PAYMENT ON 9,195.36 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#000000000000007 TR CD=999 REG=12 PORT=PRIN	-14.13		260.62	1003000003
04/15/10 PAYMENT ON 8,934.74 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000 00 FHLMC PC GOLD COMB 15 TR TRAN#000000000000006 TR CD=999 REG=12 PORT=PRIN	-16.89		311.60	1004000006
05/17/10 PAYMENT ON 8,623.14 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#000000000000007 TR CD=999 REG=12 PORT=PRIN	-15.22		280 63	1005000008

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FEDERAL HOME LOAN MTG CORP POOL#G13273 5 - 3128MB2E6 - MINOR = 35 (CONTINUED)				
06/15/10 PAYMENT ON 8,342.51 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#=0000000000000008 TR CD=999 REG=12 PORT=PRIN	-11.48		211.65	1006000004
07/15/10 PAYMENT ON 8,130.86 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#=0000000000000007 TR CD=999 REG=12 PORT=PRIN	-14.91		275.02	1007000004
08/16/10 PAYMENT ON 7,855.84 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#=0000000000000007 TR CD=999 REG=12 PORT=PRIN	-16.56		305.38	1008000003
09/15/10 PAYMENT ON 7,550.46 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#=0000000000000004 TR CD=999 REG=12 PORT=PRIN	-16.26		299.86	1009000002
	-156.28	0.00	2882.32	
FEDERAL HOME LOAN MTG CORP POOL #G13174 DTD 05/01/08 5% 06/01/2023 - 3128MBXB8 - MINOR = 35				
01/15/10 PAYMENT ON 43,359.83 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#=0000000000000011 TR CD=999 REG=12 PORT=PRIN	-29.58		1063.48	1001000005
02/16/10 PAYMENT ON 42,296.35 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#=0000000000000011 TR CD=999 REG=12 PORT=PRIN	-28.30		1017.44	1002000013
03/15/10 PAYMENT ON 41,278.91 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#=0000000000000011 TR CD=999 REG=12 PORT=PRIN	-34.65		1245.71	1003000004
04/15/10 PAYMENT ON 40,033.2 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#=0000000000000010 TR CD=999 REG=12 PORT=PRIN	-28.75		1033.64	1004000007
05/17/10 PAYMENT ON 38,999.56 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#=0000000000000011 TR CD=999 REG=12 PORT=PRIN	-28.62		1029.05	1005000009
	-149.90	0.00	5389.32	
FEDERAL NATIONAL MORTGAGE ASSN POOL #831811 DTD 10/01/06 6% 09/01/2036 - 31407JDQ2 - MINOR = 35				
01/25/10 PAYMENT ON 53,539.64 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#=0000000000000002 TR CD=999 REG=12 PORT=PRIN	-40.31		931.28	1001000007
02/25/10 PAYMENT ON 52,608.36 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#=0000000000000002 TR CD=999 REG=12 PORT=PRIN	-48.88		1129.44	1002000016
03/25/10 PAYMENT ON 51,478.92 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#=0000000000000002 TR CD=999 REG=12 PORT=PRIN	-19.91		460.06	1003000013
04/26/10 PAYMENT ON 51,018.86 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#=0000000000000002 TR CD=999 REG=12 PORT=PRIN	-53.67		1240.11	1004000047
05/25/10 PAYMENT ON 49,778.75 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#=0000000000000002 TR CD=999 REG=12 PORT=PRIN	-235.87		5449.66	1005000011
	-398.64	0.00	9210.55	
FEDERAL NATIONAL MORTGAGE ASSN POOL #946391 DTD 08/01/2007 6% 09/01/2037 - 31413H2Y3 - MINOR = 35				
01/25/11 PAYMENT ON 3,399.97 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO L #946391 DTD 08/01/2007 6% 09/01/2037 ORIGINAL FACE VALUE 1 0,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#=0000000000000007 TR CD=999 REG=12 PORT=PRIN	-7.77			1101000008
				DIFFERENCE BETWEEN SETTLEMENT DATE AND **CHANGED** 02/19/11 MK

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FEDERAL NATIONAL MORTGAGE ASSN POOL #946391 DTD 08/01/2007 6% 09/01/2037 - 31413H2Y3 - MINOR = 35 (CONTINUED)				
	-7.77	0.00	0.00	
FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 - 31413NXZ3 - MINOR = 35				
05/25/10 PAYMENT ON 4,948.56 UNITS FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 ORIGINAL FACE VALUE 9,000.00 F NMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-35.72		578.72	1005000012
06/25/10 PAYMENT ON 4,369.84 UNITS FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 ORIGINAL FACE VALUE 9,000.00 F NMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000007 TR CD=999 REG=12 PORT=PRIN	-11.11		179.98	1006000008
07/26/10 PAYMENT ON 4,189.86 UNITS FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 ORIGINAL FACE VALUE 9,000.00 F NMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-6.66		107.93	1007000008
08/25/10 PAYMENT ON 4,081.93 UNITS FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 ORIGINAL FACE VALUE 9,000.00 F NMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-8.03		130.18	1008000007
09/27/10 PAYMENT ON 3,951.75 UNITS FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 ORIGINAL FACE VALUE 9,000.00 F NMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-8.65		140.15	1009000013
10/25/10 PAYMENT ON 3,811.6 UNITS FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 ORIGINAL FACE VALUE 9,000.00 FN MA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000007 TR CD=999 REG=12 PORT=PRIN	-7.28		117.96	1010000006
11/26/10 PAYMENT ON 3,693.64 UNITS FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 ORIGINAL FACE VALUE 9,000.00 F NMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-6.55		106.19	1011000011
12/27/10 PAYMENT ON 3,587.45 UNITS FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 ORIGINAL FACE VALUE 9,000.00 F NMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-8.25		133.72	1012000016
01/25/11 PAYMENT ON 3,453.73 UNITS FEDERAL NATL MTG ASSN POOL #950796 DTD 10/01/2007 6% 10/01/2037 ORIGINAL FACE VALUE 9,000.00 F NMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000011 TR CD=999 REG=12 PORT=PRIN	-7.06			1101000009
				DIFFERENCE BETWEEN SETTLEMENT DATE AND **CHANGED** 02/19/11 MK
	-99.31	0.00	1494.83	
FEDERAL NATIONAL MORTGAGE ASSN POOL #963 - 31414DZQ2 - MINOR = 35				
01/25/10 PAYMENT ON 9,635.54 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-6.08		227.49	1001000008
02/25/10 PAYMENT ON 9,408.05 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-5.15		192.80	1002000017
03/25/10 PAYMENT ON 9,215.25 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-5.44		203.69	1003000014
04/26/10 PAYMENT ON 9,011.56 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-6.37		238.48	1004000048
05/25/10 PAYMENT ON 8,773.08 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#0000000000000010 TR CD=999 REG=12 PORT=PRIN	-6.39		239.18	1005000013
	-29.43	0.00	1101.64	
GENERAL ELECTRIC CO 5% 02/01/2013 - 369604AY9 - MINOR = 45				
12/10/10 SOLD 1,000 UNITS GENERAL ELECTRIC CO 5% 02/01/2013 ON 12/07/2010 AT 107.479 THRU SCOTT AND STRINGFELLOW INV CORP TR TRAN#0000000000000015 TR CD=0 REG=22 PORT=PRIN	-5.25		1074.79	1012000006

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45 SHORT-TERM GAIN/LOSS - CURRENT SALES (CONTINUED)				
GENERAL ELECTRIC CO 5% 02/01/2013 - 369604AY9 - MINOR = 45 (CONTINUED)				
	-5 25	0.00	1074.79	
HSBC FINANCE CORP 4.625% 09/15/2010 - 40429CCV2 - MINOR = 45				
02/12/10 SOLD 8,000 UNITS HSBC FINANCE CORP 4.625% 09/15/2010 ON 02 /09/2010 AT 102 13 THRU CHASE SECURITIES, INC TR TRAN#=000000000000009 TR CD=0 REG=22 PORT=PRIN	98.36		8170.40	1002000010
	98.36	0.00	8170 40	
HALLIBURTON CO COM - 406216101 - MINOR = 50				
04/22/10 SOLD 40 SHS HALLIBURTON CO ON 04/19/2010 AT 31 38 THRU CONVE RGEX COMMISSIONS PAID 3.20 EXPENSES PAID 0.03 TR TRAN#=000000000000022 TR CD=0 REG=22 PORT=PRIN	324.44		1251.97	1004000017
	324 44	0.00	1251.97	
HESS CORPORATION - 42809H107 - MINOR = 50				
04/22/10 SOLD 15 SHS HESS CORPORATION ON 04/19/2010 AT 62.8105 THRU C ONVERGEX COMMISSIONS PAID 1.20 EXPENSES PAID 0.02 TR TRAN#=000000000000025 TR CD=0 REG=22 PORT=PRIN	-53 30		940.94	1004000018
	-53.30	0.00	940.94	
INTEL CORP COM - 458140100				
03/22/10 SOLD 40 SHS INTEL CORP ON 03/17/2010 AT 22.06 THRU CONVERGEX COMMISSIONS PAID 3.20 EXPENSES PAID 0.02 TR TRAN#=000000000000013 TR CD=0 REG=22 PORT=PRIN	259.65		879.18	1003000010
04/22/10 SOLD 50 SHS INTEL CORP ON 04/19/2010 AT 23.67 THRU CONVERGEX COMMISSIONS PAID 4.00 EXPENSES PAID 0.03 TR TRAN#=000000000000094 TR CD=0 REG=22 PORT=PRIN	405.06		1179.47	1004000041
	664.71	0.00	2058.65	
JP MORGAN CHASE & CO COM - 46625H100 - MINOR = 31001				
04/22/10 SOLD 10 SHS J P MORGAN CHASE & CO ON 04/19/2010 AT 44.71 THR U CONVERGEX COMMISSIONS PAID 0.80 EXPENSES PAID 0.01 TR TRAN#=000000000000040 TR CD=0 REG=22 PORT=PRIN	84 41		446.29	1004000023
	84 41	0.00	446 29	
JOHNSON & JOHNSON COM - 478160104 - MINOR = 31001				
04/22/10 SOLD 10 SHS JOHNSON & JOHNSON ON 04/19/2010 AT 65.83 THRU CO NVERGEX COMMISSIONS PAID 0.80 EXPENSES PAID 0.02 TR TRAN#=000000000000058 TR CD=0 REG=22 PORT=PRIN	110.50		657.48	1004000029
	110.50	0.00	657.48	
JUNIPER NETWORKS - 48203R104 - MINOR = 50				
04/22/10 SOLD 15 SHS JUNIPER NETWORKS INC ON 04/19/2010 AT 30.24 THRU CONVERGEX COMMISSIONS PAID 1.20 EXPENSES PAID 0.01 TR TRAN#=000000000000097 TR CD=0 REG=22 PORT=PRIN	82.37		452.39	1004000042
	82.37	0.00	452.39	
KELLOGG CO DTD 12/03/07 5.125% 12/03/201 - 487836AZ1 - MINOR = 45				
02/09/10 SOLD 2,000 UNITS KELLOGG CO DTD 12/03/07 5.125% 12/03/2012 O N 02/08/2010 AT 108.245 THRU CANTOR CLEARING SERV TR TRAN#=000000000000003 TR CD=0 REG=22 PORT=PRIN	55.62		2164.90	1002000002
02/10/10 SOLD 2,000 UNITS KELLOGG CO DTD 12/03/07 5.125% 12/03/2012 O N 02/09/2010 AT 108.178 THRU MORGAN STANLEY DW INC TR TRAN#=000000000000008 TR CD=0 REG=22 PORT=PRIN	54.28		2163.56	1002000004
	109.90	0.00	4328.46	
KRAFT FOODS INC DTD 02/08/2010 4.125% 02 - 50075NBB9 - MINOR = 45				
09/16/10 SOLD 1,000 UNITS KRAFT FOODS INC DTD 02/08/2010 4.125% 02/09 /2016 ON 09/13/2010 AT 106.85 THRU SCOTT AND STRINGFELLOW IN V CORP TR TRAN#=000000000000028 TR CD=0 REG=22 PORT=PRIN	55.67		1068.50	1009000010
	55.67	0.00	1068.50	
MCDONALDS CORP SERIES: MTN DTD 02/29/08 - 58013MEE0 - MINOR = 45				

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05/25/10 SOLD 4,000 UNITS MCDONALDS CORP SERIES: MTN DTD 02/29/08 5.3 5% 03/01/2018 ON 05/20/2010 AT 111 932 THRU BANC/AMERICA SEC UR.LLC, MONTGOMERY DIV. TR TRAN# = 0000000000000017 TR CD=0 REG=22 PORT=PRIN	375.36		4477.28	1005000014
	375.36	0.00	4477.28	
MCGRAW HILL COS INC COM - 580645109 - MINOR = 3101				
04/22/10 SOLD 20 SHS MCGRAW HILL INC ON 04/19/2010 AT 34.03 THRU CONV ERGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0.02 TR TRAN# = 0000000000000001 TR CD=0 REG=22 PORT=PRIN	4.68		678.98	1004000010
	4.68	0.00	678.98	
MICROSOFT CORP COM - 594918104 - MINOR = 31001				
04/22/10 SOLD 5 SHS MICROSOFT CORP ON 04/19/2010 AT 30.81 THRU CONVER GEX COMMISSIONS PAID 0.40 EXPENSES PAID 0.01 TR TRAN# = 0000000000000100 TR CD=0 REG=22 PORT=PRIN	51.40		153.64	1004000043
	51.40	0.00	153.64	
MICROSOFT CORP DTD 09/27/2010 1.625% 09/ - 594918AG9 - MINOR = 45				
12/02/10 SOLD 1,000 UNITS MICROSOFT CORP DTD 09/27/2010 1.625% 09/25/ 2015 ON 11/30/2010 AT 99.091 THRU MORGAN STANLEY TR TRAN# = 0000000000000002 TR CD=0 REG=22 PORT=PRIN	-9.57		990.91	1012000001
12/02/10 SOLD 3,000 UNITS MICROSOFT CORP DTD 09/27/2010 1.625% 09/25/ 2015 ON 11/30/2010 AT 98.881 THRU MORGAN STANLEY TR TRAN# = 0000000000000008 TR CD=0 REG=22 PORT=PRIN	-30.14		2966.43	1012000002
	-39.71	0.00	3957.34	
MORGAN STANLEY 5.05% 01/21/2011 - 61746SBS7 - MINOR = 45				
05/06/10 SOLD 9,000 UNITS MORGAN STANLEY 5.05% 01/21/2011 ON 04/30/2 010 AT 102.645 THRU MORGAN STANLEY DW INC. TR TRAN# = 0000000000000007 TR CD=0 REG=22 PORT=PRIN	75.09		9238.05	1005000003
	75.09	0.00	9238.05	
NORFOLK SOUTHERN CORPORATION - 655844108 - MINOR = 50				
04/22/10 SOLD 20 SHS NORFOLK SOUTHERN CORP ON 04/19/2010 AT 58.79 THRU U CONVERGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0.02 TR TRAN# = 0000000000000079 TR CD=0 REG=22 PORT=PRIN	436.81		1174.18	1004000036
	436.81	0.00	1174.18	
ORACLE CORPORATION COM - 68389X105 - MINOR = 5010				
04/22/10 SOLD 30 SHS ORACLE CORPORATION ON 04/19/2010 AT 26.05 THRU C ONVERGEX COMMISSIONS PAID 2.40 EXPENSES PAID 0.02 TR TRAN# = 0000000000000103 TR CD=0 REG=22 PORT=PRIN	194.13		779.08	1004000044
	194.13	0.00	779.08	
PEPSICO INC COM - 713448108				
04/22/10 SOLD 10 SHS PEPSICO INC ON 04/19/2010 AT 65.72 THRU CONVERGE X COMMISSIONS PAID 0.80 EXPENSES PAID 0.02 TR TRAN# = 0000000000000010 TR CD=0 REG=22 PORT=PRIN	142.60		656.38	1004000013
	142.60	0.00	656.38	
PEPSICO INC DTD 10/24/08 7.9% 11/01/2018 - 713448BJ6 - MINOR = 45				
09/16/10 SOLD 1,000 UNITS PEPSICO INC DTD 10/24/08 7.9% 11/01/2018 ON 09/13/2010 AT 131.765 THRU SCOTT AND STRINGFELLOW INV CORP TR TRAN# = 0000000000000006 TR CD=0 REG=22 PORT=PRIN	73.61		1317.65	1009000006
	73.61	0.00	1317.65	
PROCTER & GAMBLE CO COM - 742718109				
04/22/10 SOLD 5 SHS PROCTER & GAMBLE CO ON 04/19/2010 AT 62.96 THRU C ONVERGEX COMMISSIONS PAID 0.40 EXPENSES PAID 0.01 TR TRAN# = 0000000000000013 TR CD=0 REG=22 PORT=PRIN	53.55		314.39	1004000014
	53.55	0.00	314.39	
PRUDENTIAL FINANCIAL INC COM - 744320102 - MINOR = 50				



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PRUDENTIAL FINANCIAL INC COM - 744320102 - MINOR = 50 (CONTINUED)				
04/22/10 SOLD 35 SHS PRUDENTIAL FINANCIAL INC ON 04/19/2010 AT 62.641 5 THRU CONVERGEX COMMISSIONS PAID 2.80 EXPENSES PAID 0.04 TR TRAN#=0000000000000043 TR CD=0 REG=22 PORT=PRIN	819.07		2189.61	1004000024
	819.07	0.00	2189.61	
ROBERT HALF INTL INC COM - 770323103 - MINOR = 50				
03/22/10 SOLD 50 SHS ROBERT HALF INTL INC ON 03/17/2010 AT 30.99 THRU CONVERGEX COMMISSIONS PAID 4.00 EXPENSES PAID 0.02 TR TRAN#=0000000000000007 TR CD=0 REG=22 PORT=PRIN	490.07		1545.48	1003000008
	490.07	0.00	1545.48	
SCHLUMBERGER LTD COM - 806857108 - MINOR = 50				
04/22/10 SOLD 10 SHS SCHLUMBERGER LTD ON 04/19/2010 AT 64.96 THRU CON VERGEX COMMISSIONS PAID 0.80 EXPENSES PAID 0.02 TR TRAN#=0000000000000028 TR CD=0 REG=22 PORT=PRIN	32.48		648.78	1004000019
	32.48	0.00	648.78	
STATE STREET CORP COM - 857477103 - MINOR = 50				
04/22/10 SOLD 20 SHS STATE STREET CORP ON 04/19/2010 AT 46.51 THRU CO NVERGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0.02 TR TRAN#=0000000000000046 TR CD=0 REG=22 PORT=PRIN	121.41		928.58	1004000025
	121.41	0.00	928.58	
STRYKER CORP - 863667101 - MINOR = 50				
04/22/10 SOLD 25 SHS STRYKER CORP ON 04/19/2010 AT 57.18 THRU CONVERG EX COMMISSIONS PAID 2.00 EXPENSES PAID 0.03 TR TRAN#=0000000000000061 TR CD=0 REG=22 PORT=PRIN	473.51		1427.47	1004000030
	473.51	0.00	1427.47	
TEVA PHARMACEUTICAL INDS SPONS ADR - 881624209 - MINOR = 55				
04/22/10 SOLD 15 SHS TEVA PHARMACEUTICAL INDS SPONS ADR ONE ADR REPRS ONE ORD SHARE ON 04/19/2010 AT 62.09 THRU CONVERGEX COMMIS SIONS PAID 1.20 EXPENSES PAID 0.02 TR TRAN#=0000000000000064 TR CD=0 REG=22 PORT=PRIN	233.11		930.13	1004000031
	233.11	0.00	930.13	
THERMO ELECTRON CORP - 883556102 - MINOR = 50				
04/22/10 SOLD 20 SHS THERMO FISHER SCIENTIFIC, INC. ON 04/19/2010 AT 52.94 THRU CONVERGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0.0 2 TR TRAN#=0000000000000067 TR CD=0 REG=22 PORT=PRIN	276.82		1057.18	1004000032
	276.82	0.00	1057.18	
3M CO COM - 88579Y101 - MINOR = SBW				
04/22/10 SOLD 10 SHS 3M CO ON 04/19/2010 AT 83.44 THRU CONVERGEX COMM SSIONS PAID 0.80 EXPENSES PAID 0.02 TR TRAN#=0000000000000070 TR CD=0 REG=22 PORT=PRIN	267.70		833.58	1004000033
	267.70	0.00	833.58	
TIFFANY & CO - 886547108 - MINOR = 50				
03/22/10 SOLD 40 SHS TIFFANY & CO ON 03/17/2010 AT 48.00 THRU CONVERG EX COMMISSIONS PAID 3.20 EXPENSES PAID 0.03 TR TRAN#=0000000000000001 TR CD=0 REG=22 PORT=PRIN	812.84		1916.77	1003000006
	812.84	0.00	1916.77	
TRAVELERS COMPANIES, INC. - 89417E109 - MINOR = 50				
04/22/10 SOLD 15 SHS TRAVELERS COMPANIES, INC. ON 04/19/2010 AT 52.85 THRU CONVERGEX COMMISSIONS PAID 1.20 EXPENSES PAID 0.02 TR TRAN#=0000000000000049 TR CD=0 REG=22 PORT=PRIN	190.36		791.53	1004000026
	190.36	0.00	791.53	
UNITED STATES TREASURY NOTE 5.00% DTD 2/15/01 DUE 2/15/2011 - 9128276T4 - MINOR = 30				
12/13/10 SOLD 9,000 UNITS UNITED STATES TREASURY 5% 02/15/2011 ON 12/10/2010 AT 100.8359 THRU G.X. CLARKE AND COMPANY TR TRAN#=0000000000000013 TR CD=0 REG=12 PORT=PRIN	-30.43		1008.36	1012000010
	-30.43	0.00	1008.36	

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45 SHORT-TERM GAIN/LOSS - CURRENT SALES (CONTINUED)				
UNITED STATES TREASURY INFLATION INDEX BOND DTD 07/15/08 1.375% 07/15/2018 - 912828JE1 - MINOR = 30				
09/16/10 SOLD 2,021.78 UNITS UNITED STATES TREASURY INFLATION INDEX BOND DTD 07/15/08 1.375% 07/15/2018 ON 09/13/2010 AT 105.1641 THRU BANC/AMERICA SECUR.LLC, MONTGOMERY DIV. ORIGINAL FACE VALUE 2,000.00	70.04		2126.19	1009000008
TR TRAN#=000000000000020 TR CD=0 REG=12 PORT=PRIN				
	70.04	0.00	2126.19	
UNITED STATES TREASURY N/B DTD 2/28/09 - 912828KE9 - MINOR = 30				
12/13/10 SOLD 4,000 UNITS UNITED STATES TREASURY N/B DTD 2/28/09 .875% 02/28/2011 ON 12/10/2010 AT 100.1523 THRU PTN FINANCIAL SECURITIES	-10.78		4006.10	1012000011
TR TRAN#=000000000000019 TR CD=0 REG=12 PORT=PRIN				
	-10.78	0.00	4006.10	
UNITED STATES TREASURY N/B DTD 11/30/09 - 912828MM9 - MINOR = 30				
04/12/10 SOLD 28,000 UNITS UNITED STATES TREASURY N/B DTD 11/30/09 .75% 11/30/2011 ON 04/07/2010 AT 99.7539 THRU BARCLAYS CAPITAL INC FIXED INCOME	-30.16		27931.09	1004000003
TR TRAN#=000000000000049 TR CD=0 REG=12 PORT=PRIN				
04/28/10 SOLD 4,000 UNITS UNITED STATES TREASURY N/B DTD 11/30/09 .75% 11/30/2011 ON 04/26/2010 AT 99.9492 THRU PTN FINANCIAL SECURITIES	4.61		3997.96	1004000049
TR TRAN#=000000000000002 TR CD=0 REG=12 PORT=PRIN				
11/17/10 SOLD 3,000 UNITS UNITED STATES TREASURY N/B DTD 11/30/09 .75% 11/30/2011 ON 11/16/2010 AT 100.457 THRU BANC/AMERICA SECUR.LLC, MONTGOMERY DIV	14.88		3013.71	1011000006
TR TRAN#=000000000000002 TR CD=0 REG=12 PORT=PRIN				
	-10.67	0.00	34942.76	
UNITED STATES TREASURY DTD 02/16/2010 3. - 912828MP2 - MINOR = 30				
05/20/10 SOLD 4,000 UNITS UNITED STATES TREASURY DTD 02/16/2010 3.625% 02/15/2020 ON 05/19/2010 AT 102.2852 THRU BANC/AMERICA SECUR.LLC, MONTGOMERY DIV.	111.41		4091.41	1005000010
TR TRAN#=000000000000003 TR CD=0 REG=12 PORT=PRIN				
	111.41	0.00	4091.41	
UNITED TECHNOLOGIES CORP COM - 913017109 - MINOR = 50				
04/22/10 SOLD 20 SHS UNITED TECHNOLOGIES CORP ON 04/19/2010 AT 73.32 THRU CONVERGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0.03	421.44		1464.77	1004000037
TR TRAN#=000000000000082 TR CD=0 REG=22 PORT=PRIN				
	421.44	0.00	1464.77	
WALGREEN CO COM - 931422109 - MINOR = 5010				
04/22/10 SOLD 15 SHS WALGREEN CO ON 04/19/2010 AT 35.91 THRU CONVERGEX COMMISSIONS PAID 1.20 EXPENSES PAID 0.01	91.67		537.44	1004000015
TR TRAN#=000000000000016 TR CD=0 REG=22 PORT=PRIN				
	91.67	0.00	537.44	
XTO ENERGY CORP - 98385X106 - MINOR = 50				
01/11/10 SOLD 120 SHS XTO ENERGY CORP ON 01/06/2010 AT 48.1041 THRU BNY BROKERAGE INC COMMISSIONS PAID 4.80 EXPENSES PAID 0.15	647.37		5767.55	1001000001
TR TRAN#=000000000000003 TR CD=0 REG=22 PORT=PRIN				
	647.37	0.00	5767.55	
TRANSOCEAN LTD - H8817H100 - MINOR = 50				
04/22/10 SOLD 5 SHS TRANSOCEAN LTD ON 04/19/2010 AT 87.53 THRU CONVERGEX COMMISSIONS PAID 0.40 EXPENSES PAID 0.01	33.64		437.24	1004000020
TR TRAN#=000000000000031 TR CD=0 REG=22 PORT=PRIN				
08/27/10 SOLD 70 SHS TRANSOCEAN LTD ON 08/24/2010 AT 52.3903 THRU CONVERGEX COMMISSIONS PAID 4.20 EXPENSES PAID 0.07	-1987.32		3663.05	1008000012
TR TRAN#=000000000000012 TR CD=0 REG=22 PORT=PRIN				
	-1953.68	0.00	4100.29	
TOTAL CODE 45 - SHORT-TERM GAIN/LOSS - CURRENT SALES	13661.83	0.00	210273.16	

509 LONG-TERM 15% GAIN/LOSS - CURRENT SALES  
ALLERGAN INC - 018490102 - MINOR = 50

08/27/10 SOLD 15 SHS ALLERGAN INC ON 08/24/2010 AT 63.19 THRU CONVERG 289.11 946.63 1008000010  
EX COMMISSIONS PAID 1.20 EXPENSES PAID 0.02  
TR TRAN#0000000000000002 TR CD=0 REG=22 PORT=PRIN

289.11 0.00 946.63

DELL INC - 24702R101

08/27/10 SOLD 355 SHS DELL INC ON 08/24/2010 AT 11.5301 THRU CONVERGE -13.59 4078.92 1008000014  
X COMMISSIONS PAID 14.20 EXPENSES PAID 0.07  
TR TRAN#0000000000000020 TR CD=0 REG=22 PORT=PRIN

-13.59 0.00 4078.92

WALT DISNEY CO COM - 254687106 - MINOR = 31001

08/27/10 SOLD 165 SHS WALT DISNEY CO ON 08/24/2010 AT 32.5904 THRU CO 1442.36 5370.71 1008000013  
NVERGEX COMMISSIONS PAID 6.60 EXPENSES PAID 0.10  
TR TRAN#0000000000000017 TR CD=0 REG=22 PORT=PRIN

1442.36 0.00 5370.71

EXELON CORP - 30161N101 - MINOR = 50

08/27/10 SOLD 120 SHS EXELON CORP ON 08/24/2010 AT 40.3215 THRU CONVE -861.02 4430.88 1008000015  
RGEX COMMISSIONS PAID 4.80 EXPENSES PAID 0.09  
TR TRAN#0000000000000025 TR CD=0 REG=22 PORT=PRIN

-861.02 0.00 4430.88

FEDERAL HOME LOAN MTG CORP POOL #G02227 - 3128LXPL8 - MINOR = 35

06/15/10 PAYMENT ON 9,686.39 UNITS FEDERAL HOME LOAN MTG CORP POOL #G -11.50 274.55 1006000003  
02227 6% 06/01/2036 ORIGINAL FACE VALUE 24,000.00 FHLMC PC  
GOLD COMB 30  
TR TRAN#0000000000000004 TR CD=999 REG=12 PORT=PRIN

07/15/10 PAYMENT ON 9,411.84 UNITS FEDERAL HOME LOAN MTG CORP POOL #G -11.40 272.14 1007000003  
02227 6% 06/01/2036 ORIGINAL FACE VALUE 24,000.00 FHLMC PC  
GOLD COMB 30  
TR TRAN#0000000000000003 TR CD=999 REG=12 PORT=PRIN

08/16/10 PAYMENT ON 9,139.7 UNITS FEDERAL HOME LOAN MTG CORP POOL #G0 -12.61 301.13 1008000002  
2227 6% 06/01/2036 ORIGINAL FACE VALUE 24,000.00 FHLMC PC GO  
LD COMB 30  
TR TRAN#0000000000000003 TR CD=999 REG=12 PORT=PRIN

09/15/10 PAYMENT ON 8,838.57 UNITS FEDERAL HOME LOAN MTG CORP POOL #G -12.75 304.53 1009000004  
02227 6% 06/01/2036 ORIGINAL FACE VALUE 24,000.00  
TR TRAN#0000000000000012 TR CD=999 REG=12 PORT=PRIN

09/16/10 SOLD 8,534 UNITS FEDERAL HOME LOAN MTG CORP POOL #G02227 6% 311.04 9202.39 1009000007  
06/01/2036 ON 09/13/2010 AT 107.832 THRU NOMURA SECURITIES /  
FIX INCOME ORIGINAL FACE VALUE 24,000.00  
TR TRAN#0000000000000016 TR CD=0 REG=12 PORT=PRIN

262.78 0.00 10354.74

FEDERAL HOME LOAN MTG CORP POOL#G13273 5 - 3128MB2E6 - MINOR = 35

10/15/10 PAYMENT ON 7,250.6 UNITS FEDERAL HOME LOAN MTG CORP POOL#G13 -16.80 309.78 1010000003  
273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOL  
D COMB 15  
TR TRAN#0000000000000003 TR CD=999 REG=12 PORT=PRIN

11/15/10 PAYMENT ON 6,940.82 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 -19.01 350.61 1011000003  
3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC  
GOLD COMB 15  
TR TRAN#0000000000000004 TR CD=999 REG=12 PORT=PRIN

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509 LONG-TERM 15% GAIN/LOSS - CURRENT SALES (CONTINUED) FEDERAL HOME LOAN MTG CORP POOL#G13273 5 - 3128MB2E6 - MINOR = 35 (CONTINUED)				
12/15/10 PAYMENT ON 6,590.21 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000004 TR CD=999 REG=12 PORT=PRIN	-17.82		328.74	1012000012
01/18/11 PAYMENT ON 6,261.47 UNITS FEDERAL HOME LOAN MTG CORP POOL#G1 3273 5% 10/01/2023 ORIGINAL FACE VALUE 14,000.00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000002 TR CD=999 REG=12 PORT=PRIN	-18.85			1101000005
		DIFFERENCE BETWEEN SETTLEMENT DATE AND **CHANGED** 02/19/11 MK		
	-72.48	0.00	989.13	
FEDERAL HOME LOAN MTG CORP POOL #G13174 DTD 05/01/08 5% 06/01/2023 - 3128MBXB8 - MINOR = 35				
06/15/10 PAYMENT ON 37,970.51 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000012 TR CD=999 REG=12 PORT=PRIN	-17.76		638.74	1006000005
07/15/10 PAYMENT ON 37,331.77 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000011 TR CD=999 REG=12 PORT=PRIN	-25.06		900.91	1007000005
08/16/10 PAYMENT ON 36,430.86 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000011 TR CD=999 REG=12 PORT=PRIN	-29.59		1063.84	1008000004
09/15/10 PAYMENT ON 35,367.02 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000008 TR CD=999 REG=12 PORT=PRIN	-38.16		1371.95	1009000003
10/15/10 PAYMENT ON 33,995.07 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000007 TR CD=999 REG=12 PORT=PRIN	-38.43		1381.89	1010000004
11/15/10 PAYMENT ON 32,613.18 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000008 TR CD=999 REG=12 PORT=PRIN	-38.62		1388.48	1011000004
12/15/10 PAYMENT ON 31,224.7 UNITS FEDERAL HOME LOAN MTG CORP POOL #G 13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000. .00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000008 TR CD=999 REG=12 PORT=PRIN	-42.19		1516.85	1012000013
01/18/11 PAYMENT ON 29,707.85 UNITS FEDERAL HOME LOAN MTG CORP POOL # G13174 DTD 05/01/08 5% 06/01/2023 ORIGINAL FACE VALUE 63,000 .00 FHLMC PC GOLD COMB 15 TR TRAN#0000000000000006 TR CD=999 REG=12 PORT=PRIN	-40.11			1101000006
		DIFFERENCE BETWEEN SETTLEMENT DATE AND **CHANGED** 02/19/11 MK		
	-269.92	0.00	8262.66	
FEDERAL NATIONAL MORTGAGE ASSN POOL #831811 DTD 10/01/06 6% 09/01/2036 - 31407JDQ2 - MINOR = 35				
06/25/10 PAYMENT ON 44,329.09 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000003 TR CD=999 REG=12 PORT=PRIN	-44.92		1037.92	1006000007
07/26/10 PAYMENT ON 43,291.17 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000002 TR CD=999 REG=12 PORT=PRIN	-27.55		636.54	1007000007
08/25/10 PAYMENT ON 42,654.63 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000002 TR CD=999 REG=12 PORT=PRIN	-75.32		1740.32	1008000006
09/27/10 PAYMENT ON 40,914.31 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000002 TR CD=999 REG=12 PORT=PRIN	-51.58		1191.61	1009000012
10/25/10 PAYMENT ON 39,722.7 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO L #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85, 000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000003 TR CD=999 REG=12 PORT=PRIN	-48.37		1117.66	1010000005
11/26/10 PAYMENT ON 38,605.04 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#0000000000000002 TR CD=999 REG=12 PORT=PRIN	-23.28		537.87	1011000010

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509 LONG-TERM 15% GAIN/LOSS - CURRENT SALES (CONTINUED)				
FEDERAL NATIONAL MORTGAGE ASSN POOL #831811 DTD 10/01/06 6% 09/01/2036 - 31407JDQ2 - MINOR = 35 (CONTINUED)				
12/27/10 PAYMENT ON 38,067.17 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#-0000000000000002 TR CD=999 REG=12 PORT=PRIN	-39.57		914.20	1012000015
01/25/11 PAYMENT ON 37,152.97 UNITS FEDERAL NATIONAL MORTGAGE ASSN PO OL #831811 DTD 10/01/06 6% 09/01/2036 ORIGINAL FACE VALUE 85 ,000.00 FNMA PASS-THRU LNG 30 YEAR TR TRAN#-0000000000000003 TR CD=999 REG=12 PORT=PRIN	-56.34			1101000007
				DIFFERENCE BETWEEN SETTLEMENT DATE AND **CHANGED** 02/19/11 MK
	-366.93	0.00	7176.12	
FEDERAL NATIONAL MORTGAGE ASSN POOL #963 - 31414DZQ2 - MINOR = 35				
06/25/10 PAYMENT ON 8,533.9 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA PA SS-THRU INT 15 YEAR TR TRAN#-0000000000000011 TR CD=999 REG=12 PORT=PRIN	-6.30		235.90	1006000009
07/26/10 PAYMENT ON 8,298 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL # 963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA PASS -THRU INT 15 YEAR TR TRAN#-0000000000000010 TR CD=999 REG=12 PORT=PRIN	-4.25		159.07	1007000009
08/25/10 PAYMENT ON 8,138.93 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#-0000000000000010 TR CD=999 REG=12 PORT=PRIN	-3.75		140.39	1008000008
09/27/10 PAYMENT ON 7,998.54 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#-0000000000000010 TR CD=999 REG=12 PORT=PRIN	-3.79		141.91	1009000014
10/25/10 PAYMENT ON 7,856.63 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#-0000000000000011 TR CD=999 REG=12 PORT=PRIN	-7.58		283.73	1010000007
11/26/10 PAYMENT ON 7,572.9 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA PA SS-THRU INT 15 YEAR TR TRAN#-0000000000000010 TR CD=999 REG=12 PORT=PRIN	-6.42		240.16	1011000012
12/27/10 PAYMENT ON 7,332.74 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#-0000000000000010 TR CD=999 REG=12 PORT=PRIN	-8.83		330.41	1012000017
01/25/11 PAYMENT ON 7,002.33 UNITS FEDERAL NATIONAL MORTGAGE ASSN POOL L #963451 5% 06/01/2023 ORIGINAL FACE VALUE 13,000.00 FNMA P ASS-THRU INT 15 YEAR TR TRAN#-0000000000000015 TR CD=999 REG=12 PORT=PRIN	-8.99			1101000010
				DIFFERENCE BETWEEN SETTLEMENT DATE AND **CHANGED** 02/19/11 MK
	-49.91	0.00	1531.57	
FRONTIER COMMUNICATIONS CORP - 35906A108 - MINOR = 50				
07/13/10 SOLD .207 SHS FRONTIER COMMUNICATIONS CORP ON 07/08/2010 AT 7.4387 CASH IN LIEU OF FRACTIONAL SHARE TR TRAN#-0000000000000004 TR CD=0 REG=22 PORT=PRIN	0.07		1.54	1007000002
07/19/10 SOLD 43 SHS FRONTIER COMMUNICATIONS CORP ON 07/14/2010 AT 7. 20 THRU CONVERGEX COMMISSIONS PAID 2.58 EXPENSES PAID 0.01 TR TRAN#-0000000000000001 TR CD=0 REG=22 PORT=PRIN	0.81		307.01	1007000006
	0.88	0.00	308.55	
HESS CORPORATION DTD 2/3/09 8.125% 02/15 - 42809HAB3 - MINOR = 45				
12/10/10 SOLD 1,000 UNITS HESS CORPORATION DTD 2/3/09 8.125% 02/15/20 19 ON 12/07/2010 AT 127.814 THRU CANTOR CLEARING SERV TR TRAN#-0000000000000019 TR CD=0 REG=22 PORT=PRIN	85.74		1278.14	1012000007
	85.74	0.00	1278.14	
MUNDER M/C CORE GROWTH FUND CL Y - 626124242 - MINOR = 62				
06/16/10 SOLD 841.14 SHS MUNDER M/C CORE GROWTH FUND CL Y ON 06/15/20 10 AT 24.18 TR TRAN#-0000000000000003 TR CD=0 REG=71 PORT=PRIN	6838.76		20338.77	1006000006
	6838.76	0.00	20338.77	
PEPSICO INC DTD 10/24/08 7.9% 11/01/2018 - 713448BJ6 - MINOR = 45				

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509	LONG-TERM 15% GAIN/LOSS - CURRENT SALES (CONTINUED) PEPSICO INC DTD 10/24/08 7 9% 11/01/2018 - 713448BJ6 - MINOR = 45 (CONTINUED)				
11/18/10	SOLD 1,000 UNITS PEPSICO INC DTD 10/24/08 7.9% 11/01/2018 ON 11/16/2010 AT 131.738 THRU BARCLAYS CAPITAL INC. FIXED INCO ME TR TRAN#=000000000000006 TR CD=0 REG=22 PORT=PRIN	125.47		1317.38	1011000007
		125.47	0.00	1317.38	
	GCB PEPSICO, INC CONTRA CUSIP FOR 713448BJ6 DTD 10/24/2008 7.9% 11/01/2018 - 71399ADC8 - MINOR = 45				
11/02/10	REDEEMED 11/02/2010 2,000 UNITS GCB PEPSICO, INC CONTRA CUSI P FOR 713448BJ6 DTD 10/24/2008 7 9% 11/01/2018 PROCEEDS FROM PRORATED TENDER OFFER TR TRAN#=000000000000022 TR CD=0 REG=22 PORT=PRIN	242.66		2626.48	1011000001
		242.66	0.00	2626.48	
	PHILIP MORRIS INTERNATIONAL INC - 718172109 - MINOR = 50				
08/27/10	SOLD 20 SHS PHILIP MORRIS INTERNATIONAL INC ON 08/24/2010 AT 51.39 THRU CONVERGEX COMMISSIONS PAID 1.60 EXPENSES PAID 0. 02 TR TRAN#=000000000000009 TR CD=0 REG=22 PORT=PRIN	176.78		1026.18	1008000011
		176.78	0.00	1026.18	
	UNITED STATES TREASURY NOTE 5.00% DTD 2/15/01 DUE 2/15/2011 - 9128276T4 - MINOR = 30				
12/13/10	SOLD 9,000 UNITS UNITED STATES TREASURY 5% 02/15/2011 ON 12/10/2010 AT 100.8359 THRU G.X. CLARKE AND COMPANY TR TRAN#=000000000000013 TR CD=0 REG=12 PORT=PRIN	-437.77		8066.88	1012000010
		-437.77	0.00	8066.88	
	TOTAL CODE 509 - LONG-TERM 15% GAIN/LOSS - CURRENT SALES	7392.92	0.00	78103.74	
		=====	=====	=====	