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Return of Private Foundation

or Section 4947(a)(1) Nonexempt Charitable Trust

Treated as a Private Foundation

OMB No 1545-0052

2010Department of the Treasury
Internal Revenue Service

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 CHARLES W. ROSENBAUM FOUNDATION, INC.		A Employer identification number 61-1293806
Number and street (or P.O. box number if mail is not delivered to street address) P.O. BOX 32427	Room/suite	B Telephone number 502-456-4050
City or town, state, and ZIP code LOUISVILLE, KY 40232-2427		C If exemption application is pending, check here ☐ D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 4,802,037.	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities		182,968.	182,968.		STATEMENT 1
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		-334,439.			
b Gross sales price for all assets on line 6a 2,930,213.					
7 Capital gain net income (from Part IV, line 2)			0.		
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		10,756.	10,756.		STATEMENT 2
12 Total. Add lines 1 through 11		-140,715.	193,724.		
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					
c Other professional fees STMT 3		43,518.	43,518.		0.
17 Interest STMT 4		12,518.	11,358.		0.
18 Taxes					
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses					
24 Total operating and administrative expenses. Add lines 13 through 23		56,036.	54,876.		0.
25 Contributions, gifts, grants paid		224,500.			224,500.
26 Total expenses and disbursements. Add lines 24 and 25		280,536.	54,876.		224,500.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		-421,251.			
b Net investment income (if negative, enter -0-)			138,848.		
c Adjusted net income (if negative, enter -0-)				N/A	

Part II Balance Sheets

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

		Beginning of year	End of year		
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash - non-interest-bearing				
	2 Savings and temporary cash investments	352,555.	240,481.	240,481.	
	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	2,000.	840.	840.	
	10a Investments - U.S. and state government obligations				
	b Investments - corporate stock STMT 5	4,722,800.	4,364,227.	4,428,739.	
	c Investments - corporate bonds				
Liabilities	11 Investments - land, buildings, and equipment, basis ▶				
	Less: accumulated depreciation ▶				
	12 Investments - mortgage loans				
	13 Investments - other STMT 6	78,300.	128,856.	131,977.	
	14 Land, buildings, and equipment, basis ▶				
	Less: accumulated depreciation ▶				
	15 Other assets (describe ▶)				
	16 Total assets (to be completed by all filers)	5,155,655.	4,734,404.	4,802,037.	
	17 Accounts payable and accrued expenses				
	18 Grants payable				
Net Assets or Fund Balances	19 Deferred revenue				
	20 Loans from officers, directors, trustees, and other disqualified persons				
	21 Mortgages and other notes payable				
	22 Other liabilities (describe ▶)				
23 Total liabilities (add lines 17 through 22)	0.	0.			
Foundations that follow SFAS 117, check here ▶ ☐	24 Unrestricted				
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here ▶ ☒	27 Capital stock, trust principal, or current funds	2,596,387.	2,596,387.	
		28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
		29 Retained earnings, accumulated income, endowment, or other funds	2,559,268.	2,138,017.	
		30 Total net assets or fund balances	5,155,655.	4,734,404.	
	31 Total liabilities and net assets/fund balances	5,155,655.	4,734,404.		

Part III Analysis of Changes in Net Assets or Fund Balances

1 Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	5,155,655.
2 Enter amount from Part I, line 27a	2	-421,251.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	4,734,404.
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	4,734,404.

Part IV Capital Gains and Losses for Tax on Investment Income

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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 2,930,213.		3,264,652.	-334,439.

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			-334,439.

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	-334,439.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 }		3	N/A

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	269,174.	3,811,008.	.070631
2008	0.	4,525,030.	.000000
2007	294,523.	5,646,654.	.052159
2006	0.	3,795,290.	.000000
2005	196,817.	3,237,867.	.060786

2 Total of line 1, column (d)	2	.183576
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	.036715
4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5	4	4,552,851.
5 Multiply line 4 by line 3	5	167,158.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,388.
7 Add lines 5 and 6	7	168,546.
8 Enter qualifying distributions from Part XII, line 4	8	224,500.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	1,388.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	1,388.
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	1,388.
6 Credits/Payments:			
a 2010 estimated tax payments and 2009 overpayment credited to 2010	6a	840.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	1,000.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	1,840.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	452.	
11 Enter the amount of line 10 to be: Credited to 2011 estimated tax ☒ 452. Refunded ☐	11	0.	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		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) ☒ KY		
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

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 ► <u>N/A</u>	13	X	
14	The books are in care of ► <u>MICHAEL D. RUDD, MANAGER</u> Telephone no. ► <u>502-456-4050</u> Located at ► <u>4344 POPLAR LEVEL RD., LOUISVILLE, KY</u> ZIP+4 ► <u>40213</u>			
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? ☐ 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)? 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? ☐ Yes ☒ No	1c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? ☐ Yes ☒ No If "Yes," list the years: _____		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) ☐ Yes ☒ No	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here: _____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b	If "Yes," did it have excess business holdings in 2010 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010) ☐ Yes ☒ No	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? ☐ Yes ☒ No	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? ☐ Yes ☒ No	4b	X

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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
MICHAEL D. RUDD	PRESIDENT/DIRECTOR			
4344 POPLAR LEVEL ROAD				
LOUISVILLE, KY 40213	0.00	0.	0.	0.
MARK BURRIS	SECRETARY/TREASURER/DIRECT			
4344 POPLAR LEVEL ROAD				
LOUISVILLE, KY 40213	0.00	0.	0.	0.
NEAL KOBRIN	DIRECTOR			
4344 POPLAR LEVEL ROAD				
LOUISVILLE, KY 40213	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

Form 990-PF (2010)

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	4,156,985.
b	Average of monthly cash balances	1b	450,296.
c	Fair market value of all other assets	1c	14,903.
d	Total (add lines 1a, b, and c)	1d	4,622,184.
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	4,622,184.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	69,333.
5	Net value of noncharitable-use assets Subtract line 4 from line 3. Enter here and on Part V, line 4	5	4,552,851.
6	Minimum investment return. Enter 5% of line 5	6	227,643.

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	227,643.
2a	Tax on investment income for 2010 from Part VI, line 5	2a	1,388.
b	Income tax for 2010. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	1,388.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	226,255.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	226,255.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	226,255.

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	224,500.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	224,500.
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	1,388.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	223,112.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2009	(c) 2009	(d) 2010
1 Distributable amount for 2010 from Part XI, line 7				226,255.
2 Undistributed income, if any, as of the end of 2010				
a Enter amount for 2009 only			72,545.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2010:				
a From 2005				
b From 2006				
c From 2007				
d From 2008				
e From 2009				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2010 from Part XII, line 4: ▶ \$ 224,500.				
a Applied to 2009, but not more than line 2a			72,545.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2010 distributable amount				151,955.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2009. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011				74,300.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2005 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2011. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2006				
b Excess from 2007				
c Excess from 2008				
d Excess from 2009				
e Excess from 2010				

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

N/A

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

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
CAMPERSHIPS FOR NEBAGAMON P.O. BOX 331 EAST TROY, WI 53120	NONE	CHARITY	HUMAN SERVICES	20,000.
FAMILIES OF SPINAL MUSCULAR ATROPHY 925 BUSSE RD ELK GROVE, IL 60007	NONE	CHARITY	MEDICAL RESEARCH; HUMAN SERVICES	60,000.
GREENWOOD SCHOOL 17 BUENA VISTA AVE MILL VALLEY, CA 94941	NONE	CHARITY	HUMAN SERVICES	40,000.
THE TEMPLE- CONGREGATION ADATH ISRAEL BRITH SHOLOM 5101 US HWY 42 LOUISVILLE, KY 40242	NONE	CHARITY	RELIGION-RELATED	100,000.
DEDICATION TO SPECIAL EDUCATION C/O MARIN CNTY OFFICE OF EDUCATION; P.O. BOX 4295	NONE	CHARITY	HUMAN SERVICES	4,500.
Total			▶ 3a	224,500.
b Approved for future payment				
NONE				
Total			▶ 3b	0.

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	MORGANSTANLEY SMITH BARNEY 523-35292-12 501		VARIOUS	VARIOUS
b	MORGANSTANLEY SMITH BARNEY 523-35292-12 501		VARIOUS	VARIOUS
c	MORGANSTANLEY SMITH BARNEY 523-39431-16 501		VARIOUS	VARIOUS
d	MORGANSTANLEY SMITH BARNEY 523-39430-17 501		VARIOUS	VARIOUS
e	MORGANSTANLEY SMITH BARNEY 523-37112-16 501		VARIOUS	VARIOUS
f	MORGANSTANLEY SMITH BARNEY 523-37112-16 501		VARIOUS	VARIOUS
g	MORGANSTANLEY SMITH BARNEY 523-37115-13 501		VARIOUS	VARIOUS
h	MORGANSTANLEY SMITH BARNEY 523-37119-19 501		VARIOUS	VARIOUS
i	MORGANSTANLEY SMITH BARNEY 523-37119-19 501		VARIOUS	VARIOUS
j	MORGANSTANLEY SMITH BARNEY 523-37117-11 501		VARIOUS	VARIOUS
k	MORGANSTANLEY SMITH BARNEY 523-37117-11 501		VARIOUS	VARIOUS
l	MORGANSTANLEY SMITH BARNEY 523-37116-12 501		VARIOUS	VARIOUS
m	MORGANSTANLEY SMITH BARNEY 523-37116-12 501		VARIOUS	VARIOUS
n	POWERSHARES DB COMMODITY INDX FD		VARIOUS	VARIOUS
o	POWERSHARES DB COMMODITY INDX FD		VARIOUS	VARIOUS

(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	103,807.	114,566.	-10,759.
b	1,067,400.	1,350,186.	-282,786.
c	1,500.	1,434.	66.
d	276,732.	267,992.	8,740.
e	476,269.	474,487.	1,782.
f	142,327.	127,433.	14,894.
g	77,310.	44,781.	32,529.
h	89,463.	92,704.	-3,241.
i	262,176.	360,989.	-98,813.
j	28,109.	23,446.	4,663.
k	353,762.	361,358.	-7,596.
l	5,000.	5,057.	-57.
m	40,438.	40,215.	223.
n		4.	-4.
o	918.		918.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			-10,759.
b			-282,786.
c			66.
d			8,740.
e			1,782.
f			14,894.
g			32,529.
h			-3,241.
i			-98,813.
j			4,663.
k			-7,596.
l			-57.
m			223.
n			-4.
o			918.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7
If (loss), enter "-0-" in Part I, line 7 }

2

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):

If gain, also enter in Part I, line 8, column (c).

If (loss), enter "-0-" in Part I, line 8

3

Part IV Capital Gains and Losses for Tax on Investment Income(a) List and describe the kind(s) of property sold, e.g., real estate,
2-story brick warehouse; or common stock, 200 shs. MLC Co.(b) How acquired
P - Purchase
D - Donation(c) Date acquired
(mo., day, yr.)(d) Date sold
(mo., day, yr.)**1a CAPITAL GAINS DIVIDENDS**

b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 5,002.			5,002.
b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			5,002.
b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

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	-334,439.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES	STATEMENT	1
SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
MORGAN STANLEY POWERSHARES DB COMMODITY INDEX TRACKING FD	187,877. 93.	5,002. 0.	182,875. 93.
TOTAL TO FM 990-PF, PART I, LN 4	187,970.	5,002.	182,968.

FORM 990-PF	OTHER INCOME	STATEMENT	2
DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
NET OTHER INVESTMENT INCOME	10,756.	10,756.	
TOTAL TO FORM 990-PF, PART I, LINE 11	10,756.	10,756.	

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	3
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT ADVISORY FEES	43,518.	43,518.		0.	
TO FORM 990-PF, PG 1, LN 16C	43,518.	43,518.		0.	

FORM 990-PF	TAXES		STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES PAID	11,358.	11,358.		0.
EXCISE TAX	1,160.	0.		0.
TO FORM 990-PF, PG 1, LN 18	12,518.	11,358.		0.

FORM 990-PF	CORPORATE STOCK	STATEMENT	5
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
MORGANSTANLEY SMITH BARNEY - 523-37118-10 501	365,700.	294,518.	
MORGANSTANLEY SMITH BARNEY - 523-37117-11 501	92,698.	116,021.	
MORGANSTANLEY SMITH BARNEY - 523-35292-12 501	636,597.	567,168.	
MORGANSTANLEY SMITH BARNEY - 523-37116-12 501	1,618,343.	1,610,710.	
MORGANSTANLEY SMITH BARNEY - 523-37115-13 501	471,732.	576,029.	
MORGANSTANLEY SMITH BARNEY - 523-37112-16 501	0.	0.	
MORGANSTANLEY SMITH BARNEY - 523-37119-19 501	0.	0.	
MORGANSTANLEY SMITH BARNEY - 523-39431-16 501	1,000,702.	1,074,782.	
MORGANSTANLEY SMITH BARNEY - 523-39430-17 501	178,455.	189,511.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	4,364,227.	4,428,739.	

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	6
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
POWERSHARES DB COMMODITY IDX TRACKING FD	COST	114,793.	117,914.
ASSETS IN TRANSIT	COST	14,063.	14,063.
TOTAL TO FORM 990-PF, PART II, LINE 13		128,856.	131,977.

Ref: 00000125 00016289

CHARLES W ROSENBAUM FOUNDATION

Details of Short Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	472	ISHARES MSCI EMERGING MKTS INDEX FD	09/28/10	10/20/10	\$ 21,791.63	\$ 20,862.40		\$ 929.23
125000020	406	ISHARES MSCI EMERGING MKTS INDEX FD	09/28/10	10/21/10	18,643.20	17,945.20		698.00
125000030	1,173	ISHARES MSCI EMERGING MKTS INDEX FD	09/28/10	11/26/10	52,780.46	51,846.60		933.86
125000040	258	ISHARES RUSSELL 2000 INDEX FD	10/12/10	10/20/10	18,199.45	17,732.55		466.90
125000050	260	ISHARES RUSSELL 2000 INDEX FD	10/12/10	10/21/10	18,101.72	17,870.01		231.71
125000060	721	POWERSHARES QQQ TR SER 1 CGMI AND/OR ITS AFFILIATES	09/28/10	10/05/10	\$ 35,767.91	\$ 35,522.23		\$ 245.68
125000070	475	SPDR S&P 500ETF TRUST	09/28/10	10/14/10	55,719.73	54,248.80		1,470.93
125000080	155	SPDR S&P 500ETF TRUST	09/28/10	10/20/10	18,334.11	17,702.24		631.87
125000090	300	SPDR S&P 500ETF TRUST	09/28/10	12/16/10	37,393.34	34,262.40		3,130.94
Total					\$ 276,731.55	\$ 267,992.43		\$ 8,739.12

S U M M A R Y U N I O N Y

Ref: 00000125 00016190

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	7	ALLIED WORLD ASSURANCE CO HLDGS LTD MorganStanley SmithBarney LLC acted as your agent	07/28/09	03/16/10	\$ 312.92	\$ 302.02		\$ 10.90
125000020	7	ALLIED WORLD ASSURANCE CO HLDGS LTD MorganStanley SmithBarney LLC acted as your agent	07/28/09	03/17/10	314.38	302.02		12.36
125000030	2 5	ALLIED WORLD ASSURANCE CO HLDGS LTD MorganStanley SmithBarney LLC acted as your agent	07/28/09 08/03/09	03/18/10	90.09 225.23	86.29 219.63		3.80 5.60
125000040	6	ALLIED WORLD ASSURANCE CO HLDGS LTD MorganStanley SmithBarney LLC acted as your agent	08/03/09	03/24/10	267.36	263.55		3.81
125000050	10 3	AXIS CAPITAL HOLDINGS LTD-USD MorganStanley SmithBarney LLC acted as your agent	02/10/10 02/17/10	03/24/10	313.00 93.90	294.26 91.96		18.74 1.94
125000060	7 3	AXIS CAPITAL HOLDINGS LTD-USD MorganStanley SmithBarney LLC acted as your agent	02/17/10 02/19/10	04/09/10	220.65 94.56	214.56 93.56		6.09 1.00
125000070	7 10	AXIS CAPITAL HOLDINGS LTD-USD MorganStanley SmithBarney LLC acted as your agent	02/19/10 02/22/10	04/23/10	224.06 320.08	218.31 312.84		5.75 7.24
125000080	10	BUNGE LIMITED MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/07/10	08/10/10	549.41	599.83	(50.42)	

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Ref: 00000125 00016191

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000090	3	BUNGE LIMITED MorganStanley SmithBarney LLC acted as your agent In this transaction.	04/07/10	08/11/10	\$ 160.24	\$ 179.95	(\$ 19.71)	
125000100	8	ENDURANCE SPECIALTY	08/03/09	04/09/10	301.56	261.80		39.76
1		HOLDINGS L-USD MorganStanley SmithBarney LLC acted as your agent In this transaction.	09/18/09		37.70	34.88		2.82
125000110	8	ENDURANCE SPECIALTY HOLDINGS L-USD MorganStanley SmithBarney LLC acted as your agent In this transaction.	09/18/09	05/19/10	290.79	279.08		11.71
125000120	4	EVEREST REINSURANCE GP LTD MorganStanley SmithBarney LLC acted as your agent In this transaction.	07/16/09	01/27/10	341.35	303.98		37.37
125000130	4	EVEREST REINSURANCE GP LTD MorganStanley SmithBarney LLC acted as your agent In this transaction.	07/16/09	02/04/10	337.58	303.97		33.61
125000140	4	EVEREST REINSURANCE GP LTD	08/21/09	03/16/10	326.47	330.79	(4.32)	
3		MorganStanley SmithBarney LLC acted as your agent In this transaction.	09/18/09		244.85	258.85	(14.00)	
125000150	1	EVEREST REINSURANCE GP LTD MorganStanley SmithBarney LLC acted as your agent In this transaction.	09/18/09	03/17/10	82.25	86.28	(4.03)	
125000160	12	FRESH DEL MONTE PRODUCE	09/02/09	03/16/10	246.91	273.75	(26.84)	
3		MorganStanley SmithBarney LLC acted as your agent In this transaction.	09/14/09		61.73	71.09	(9.36)	
125000170	9	FRESH DEL MONTE PRODUCE	09/14/09	03/17/10	185.20	213.28	(28.08)	
6		MorganStanley SmithBarney LLC acted as your agent In this transaction.	10/14/09		123.47	145.70	(22.23)	

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016192

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000180	8	FRESH DEL MONTE PRODUCE MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/14/09	04/07/10	\$ 165.18	\$ 194.26	(\$ 29.08)	
125000190	4 14	MONTPELIER RE HOLDINGS LTD -USD MorganStanley SmithBarney LLC acted as your agent	07/28/09 07/31/09	03/18/10	69.43 243.01	61.31 219.92		8.12 23.09
125000200	3	MONTPELIER RE HOLDINGS LTD -USD MorganStanley SmithBarney LLC acted as your agent	07/31/09	03/24/10	51.01	47.13		3.88
125000210	5	PARTNERRE LTD -BMD MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09	02/22/10	396.34	326.49		69.85
125000220	3 1	PARTNERRE LTD -BMD MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09 01/26/10	02/23/10	237.33 79.11	195.89 73.79		41.44 5.32
125000230	4	PARTNERRE LTD -BMD MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10	02/24/10	314.63	295.15		19.48
125000240	4	PARTNERRE LTD -BMD MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10	03/02/10	316.02	295.14		20.88
125000250	1	PARTNERRE LTD -BMD MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10	03/03/10	78.39	73.79		4.60
125000260	9	PLATINUM UNDERWRITERS HOLDINGS LTD MorganStanley SmithBarney LLC acted as your agent	07/28/09	03/16/10	328.42	299.86		28.56

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016193

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000270	2	PLATINUM UNDERWRITERS HOLDINGS LTD	07/28/09	03/17/10	\$ 74.54	\$ 66.63		\$ 7.91
	7	MorganStanley SmithBarney LLC acted as your agent	07/31/09		260.87	236.16		24.71
125000280	1	PLATINUM UNDERWRITERS HOLDINGS LTD	07/31/09	04/07/10	36.81	33.74		3.07
		MorganStanley SmithBarney LLC acted as your agent						
125000290	17	PLATINUM UNDERWRITERS HOLDINGS LTD	07/16/10	09/16/10	728.26	651.66		76.60
		MorganStanley SmithBarney LLC acted as your agent						
125000300	6	RENAISSANCE RE HLDGS LTD	08/03/09	03/16/10	335.20	305.17		30.03
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000310	5	RENAISSANCE RE HLDGS LTD	08/03/09	03/17/10	279.10	254.30		24.80
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/09/09		55.82	56.47	(.65)	
125000320	5	RENAISSANCE RE HLDGS LTD	10/09/09	03/24/10	282.73	282.35		.38
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000330	7	RENAISSANCE RE HLDGS LTD	08/10/10	09/16/10	413.20	402.77		10.43
	5	MorganStanley SmithBarney LLC acted as your agent in this transaction	08/11/10		295.14	281.21		13.93
	5		08/17/10		295.14	284.31		10.83
	5		08/23/10		295.15	280.82		14.33
125000340	29	XL GROUP PLC	11/03/09	09/16/10	589.67	468.23		121.44
	22	MorganStanley SmithBarney LLC acted as your agent in this transaction	11/23/09		447.33	403.46		43.87
	28		02/09/10		569.33	471.42		97.91
125000360	30	ROYAL CARIBBEAN CRUISES	07/14/10	08/09/10	869.77	748.45		121.32
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						

2 0 1 0 Y E A R E N D S U M M A R Y



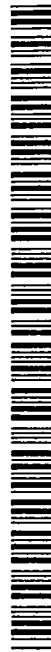
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CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000370	192	AT&T INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/04/10	04/30/10	\$ 5,063.03	\$ 4,847.52		\$ 215.51
125000380	65	AT&T INC	02/04/10	05/04/10	1,680.34	1,641.09		39.25
	51	MorganStanley SmithBarney LLC	02/23/10		1,318.42	1,269.83		48.59
	13	acted as your agent	02/24/10		336.07	323.64		12.43
	22	in this transaction.	04/07/10		568.73	565.76		2.97
	42		04/19/10		1,085.75	1,106.07	(20.32)	
125000390	38	ADOBE SYSTEMS INC (DE) MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/25/10	05/04/10	1,250.99	1,300.09	(49.10)	
125000400	25	AETNA INC NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/04/10	01/14/10	763.59	811.18	(47.59)	
125000410	20	AETNA INC NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/04/10	06/02/10	583.14	578.82		4.32
125000420	11	ALASKA AIR GROUP INC	09/18/09	09/16/10	524.29	288.30		235.99
	11	MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/30/09		524.30	296.10		228.20
125000430	6	ALLERGAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/07/09	01/12/10	359.56	357.54		2.02
125000450	25	AMAZON COM INC	11/18/09	07/30/10	2,929.43	3,263.26	(333.83)	
	32	MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/23/09		3,749.67	4,233.11	(483.44)	
125000460	21	AMERICAN TOWER CORP-CLASS A	08/10/10	09/16/10	1,016.02	975.08		40.94
	6	MorganStanley SmithBarney LLC	08/13/10		290.29	275.57		14.72
	9	acted as your agent in this transaction.	09/10/10		435.44	439.97	(4.53)	

2 0 1 0 Y E A R E N D S U M M A R Y

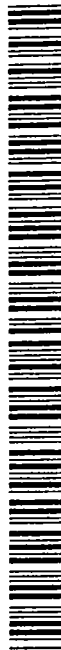


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CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000470	30	AMERIPRISE FINANCIAL INC	10/09/09	09/16/10	\$ 1,421.08	\$ 1,106.47		\$ 314.61
	25	MorganStanley SmithBarney LLC	10/14/09		1,184.23	928.35		255.88
	21	acted as your agent	10/20/09		994.75	759.42		235.33
	23	in this transaction.	10/23/09		1,089.49	855.39		234.10
	21		10/27/09		994.75	759.64		235.11
	16		10/29/09		757.91	562.36		195.55
	11		11/04/09		521.06	408.20		112.86
	12		11/10/09		568.43	464.81		103.62
	12		11/18/09		568.43	461.41		107.02
	8		11/23/09		378.95	306.50		72.45
	15		01/26/10		710.54	602.76		107.78
125000480	17	AMGEN INC	04/01/10	09/16/10	934.20	1,031.13	(96.93)	
	23	MorganStanley SmithBarney LLC	04/07/10		1,263.92	1,390.74	(126.82)	
	20	acted as your agent	04/23/10		1,099.06	1,166.92	(67.86)	
	8	in this transaction.	04/30/10		439.63	464.94	(25.31)	
	13		05/04/10		714.39	733.93	(19.54)	
	5		06/23/10		274.77	279.92	(5.15)	
	24		06/28/10		1,318.88	1,332.92	(14.04)	
	8		06/30/10		439.62	431.27		8.35
125000490	17	AMPHENOL CORP CLASS A	11/24/09	09/16/10	799.11	717.66		81.45
	14	MorganStanley SmithBarney LLC	01/06/10		658.09	630.00		28.09
	8	acted as your agent	01/26/10		376.05	324.68		51.37
		in this transaction.						
125000550	2	APOLLO GROUP INC CL A	04/06/09	02/04/10	121.26	138.85	(17.59)	
	12	MorganStanley SmithBarney LLC	04/16/09		727.55	783.36	(55.81)	
	4	acted as your agent	05/05/09		242.52	235.80		6.72
		in this transaction.						
125000560	11	APOLLO GROUP INC CL A	05/05/09	02/17/10	665.72	648.44		17.28
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125000570	3	APOLLO GROUP INC CL A	05/05/09	02/18/10	183.42	176.85		6.57
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125000580	34	ARCHER-DANIELS-MIDLAND CO	11/30/09	09/16/10	1,129.93	1,037.44		92.49
	53	MorganStanley SmithBarney LLC	12/11/09		1,761.36	1,622.81		138.55
	50	acted as your agent	12/15/09		1,661.66	1,544.14		117.52
	68	in this transaction.	12/29/09		2,259.85	2,158.70		101.15



Ref: 00000125 00016196

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
	53		01/05/10		\$ 1,761.36	\$ 1,675.76		\$ 85.60
	34		01/12/10		1,129.93	1,035.29		94.64
	44		01/13/10		1,462.26	1,347.33		114.93
	45		01/26/10		1,495.49	1,334.46		161.03
	38		01/27/10		1,262.86	1,129.77		133.09
	33		02/04/10		1,096.69	1,006.11		90.58
	21		02/23/10		697.90	623.39		74.51
	14		04/16/10		465.26	395.18		70.08
	15		04/19/10		498.48	422.46		76.02
125000590	11	ARROW ELECTRONICS INC	02/04/10	09/16/10	279.37	289.32	(9.95)	
	11	MorganStanley SmithBarney LLC	02/10/10		279.37	297.42	(18.05)	
	11	acted as your agent	02/22/10		279.37	314.63	(35.26)	
	11	in this transaction.	04/07/10		279.37	332.87	(53.50)	
	11		04/16/10		279.37	342.57	(63.20)	
	13		05/14/10		330.16	377.37	(47.21)	
	15		06/28/10		380.93	366.05		14.88
125000600	9	ASSURANT INC	05/04/10	09/16/10	359.02	320.42		38.60
	9	MorganStanley SmithBarney LLC	05/07/10		359.02	313.24		45.78
	8	acted as your agent	05/14/10		319.13	287.54		31.59
	8	in this transaction.	05/17/10		319.13	286.23		32.90
	8		05/18/10		319.13	285.76		33.37
	10		06/08/10		398.91	335.97		62.94
125000610	6	ATLAS AIR WORLDWIDE HLDGS	08/17/10	09/16/10	288.05	282.61		5.44
	7	NEW	08/31/10		336.06	305.99		30.07
		MorganStanley SmithBarney LLC						
		acted as your agent						
125000620	5	AUTOZONE INC	10/29/09	09/16/10	1,095.13	694.61		400.52
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction						
125000630	11	AVNET INC	02/04/10	09/16/10	285.58	291.54	(5.96)	
	13	MorganStanley SmithBarney LLC	02/16/10		337.50	359.23	(21.73)	
	13	acted as your agent	03/16/10		337.50	365.66	(28.16)	
	11	in this transaction.	06/25/10		285.58	283.27		2.31
	11		06/29/10		285.58	272.92		12.66
	20		07/12/10		519.21	504.57		14.64



Ref: 00000125 00016197

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000640	72 178 64	BANK OF AMERICA CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	06/02/10 06/08/10 06/18/10	06/28/10	\$ 1,100.03 2,734.80 977.81	\$ 1,119.41 2,684.53 1,013.20	(\$ 19.38) (35.39)	50.27
125000650	52	BANK OF AMERICA CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/18/10	06/29/10	757.51	823.22	(65.71)	
125000660	67 34	BANK NEW YORK MELLON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10 01/27/10	08/02/10	1,718.88 872.26	1,987.98 1,001.24	(269.10) (128.98)	
125000670	20 9	BAXTER INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/30/10 09/02/10	09/16/10	899.63 404.84	965.69 394.57	(66.06)	10.27
125000680	12	BIOGEN IDEC INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/29/10	07/22/10	673.08	582.87		90.21
125000690	3 26	BIOGEN IDEC INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/29/10 07/12/10	08/02/10	170.98 1,481.84	145.72 1,343.47		25.26 138.37
125000700	35 30 36 49 12 32 50 35 20	BRISTOL MYERS SQUIBB CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/28/10 07/02/10 07/12/10 08/03/10 08/05/10 08/06/10 08/11/10 08/13/10 08/16/10	09/16/10	944.70 809.75 971.70 1,322.59 323.90 863.73 1,349.58 944.70 539.82	895.49 741.48 907.40 1,260.15 315.06 836.37 1,314.46 921.92 524.76		49.21 68.27 64.30 62.44 8.84 27.36 35.12 22.78 15.06
125000710	8	BRISTOW GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/19/10	03/16/10	319.50	286.38		33.12



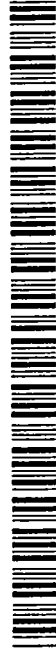
Ref: 00000125 00016198

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference Number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000720	1	BRISTOW GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/19/10	03/17/10	\$ 39.68	\$ 35.80		\$ 3.88
125000730	4	C I G N A CORP	07/21/09	04/07/10	145.27	99.84		45.43
	12	MorganStanley SmithBarney LLC	11/10/09		435.80	370.27		65.53
	22	acted as your agent in this transaction.	11/18/09		798.95	667.32		131.63
125000780	11	CNA FINANCIAL CORP	09/16/09	09/16/10	304.63	283.82		20.81
	11	MorganStanley SmithBarney LLC	08/23/10		304.63	300.44		4.19
		acted as your agent in this transaction.						
125000790	14	CVS CAREMARK CORP	09/16/09	09/16/10	412.32	512.75	(100.43)	
	20	MorganStanley SmithBarney LLC	09/18/09		589.02	722.47	(133.45)	
	12	acted as your agent	09/22/09		353.41	432.99	(79.58)	
	44	in this transaction.	11/10/09		1,295.85	1,317.30	(21.45)	
	43		11/18/09		1,266.40	1,311.75	(45.35)	
	10		01/21/10		294.51	337.77	(43.26)	
125000810	21	CAPITAL ONE FINL CORP	04/28/10	05/04/10	947.64	922.49		25.15
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction.						
125000820	14	CAPITAL ONE FINL CORP	05/19/10	07/14/10	620.28	596.62		23.66
	12	MorganStanley SmithBarney LLC	06/14/10		531.66	485.00		46.66
		acted as your agent in this transaction.						
125000830	45	CAPITAL ONE FINL CORP	08/02/10	09/16/10	1,781.10	1,928.40	(147.30)	
	43	MorganStanley SmithBarney LLC	08/11/10		1,701.94	1,727.92	(25.98)	
	29	acted as your agent in this transaction.	08/13/10		1,147.83	1,132.86		14.97
125000840	38	CHESAPEAKE ENERGY CORP	09/18/09	09/16/10	826.53	1,057.76	(231.23)	
	56	MorganStanley SmithBarney LLC	10/05/09		1,218.05	1,536.23	(318.18)	
	48	acted as your agent	10/09/09		1,044.04	1,365.82	(321.78)	
	46	in this transaction.	10/14/09		1,000.54	1,322.66	(322.12)	
	19		10/20/09		413.27	544.10	(130.83)	
	44		10/23/09		957.04	1,196.58	(239.54)	
	38		10/29/09		826.53	980.48	(153.95)	
	14		11/10/09		304.51	353.10	(48.59)	
	37		01/21/10		804.78	1,021.26	(216.48)	



Ref 00000125 00016199

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
	41		01/26/10		\$ 891.79	\$ 1,101.17	(\$ 209.38)	
	28		02/04/10		609.03	688.46	(79.43)	
	22		02/22/10		478.52	599.82	(121.30)	
	13		02/23/10		282.77	343.14	(60.37)	
125000860	58	CHEVRON CORP	12/17/09	09/16/10	4,578.56	4,467.75		110.81
	11	MorganStanley SmithBarney LLC acted as your agent in this transaction	03/11/10		868.35	811.84		56.51
125000870	12	CHILDRENS PLACE RETAIL STORES	01/06/10	08/02/10	501.13	397.63		103.50
	3	MorganStanley SmithBarney LLC acted as your agent in this transaction	01/27/10		125.28	98.95		26.33
125000880	6	CHILDRENS PLACE RETAIL STORES	01/27/10	08/03/10	245.36	197.90		47.46
		MorganStanley SmithBarney LLC acted as your agent in this transaction						
125000970	31	CHUBB CORP	07/28/09	04/07/10	1,599.39	1,404.41		194.98
	12	MorganStanley SmithBarney LLC acted as your agent in this transaction	07/31/09		619.12	553.53		65.59
125000990	150	CITIGROUP INC	05/04/10	05/13/10	616.48	643.52	(27.04)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction						
125001000	223	CITIGROUP INC	05/04/10	05/14/10	878.82	956.69	(77.87)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction						
125001010	377	CITIGROUP INC	05/04/10	05/17/10	1,448.59	1,617.37	(168.78)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction						
125001020	246	CITIGROUP INC	05/04/10	05/18/10	947.15	1,055.36	(108.21)	
	25	MorganStanley SmithBarney LLC acted as your agent in this transaction	05/07/10		96.26	100.21	(3.95)	

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016200

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001030	229	CITIGROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/07/10	06/29/10	\$ 881.70	\$ 917.97	(\$ 36.27)	
125001040	858 1,180 513 1,507	CITIGROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/07/10 05/11/10 07/30/10 08/02/10	09/16/10	3,395.65 4,670.01 2,030.27 5,964.14	3,439.38 4,927.33 2,107.46 6,304.53	(43.73) (257.32) (77.19) (340.39)	
125001050	6 31	COCA-COLA CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/01/09 12/02/09	02/10/10	322.12 1,664.29	347.26 1,795.87	(25.14) (131.58)	
125001060	11 9	COCA-COLA CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/02/09 12/04/09	02/16/10	598.19 489.43	637.24 517.91	(39.05) (28.48)	
125001070	1	COCA-COLA CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/04/09	02/17/10	55.30	57.54	(2.24)	
125001080	5	COLGATE PALMOLIVE CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/23/09	01/15/10	400.98	391.27		9.71
125001090	6	COLGATE PALMOLIVE CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/23/09	01/19/10	481.19	469.52		11.67
125001100	2	COLGATE PALMOLIVE CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/23/09	01/20/10	157.78	156.51		1.27
125001110	19 7	COMERICA INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/18/09 03/31/09	01/05/10	577.88 212.90	363.68 129.47		214.20 83.43

2 0 1 0 Y E A R E N D S U M M A R Y



Ref 00000125 00016201

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001120	15	COMERICA INC	03/31/09	01/26/10	\$ 531 33	\$ 277 43		\$ 253 90
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/06/09		35 42	18 64		16 78
125001130	14	COMERICA INC	04/06/09	01/27/10	489 16	260 95		228 21
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001140	5	COMERICA INC	04/06/09	03/02/10	179 55	93 19		86 36
	9	MorganStanley SmithBarney LLC acted as your agent in this transaction	04/16/09		323 19	175 27		147 92
125001150	11	COMERICA INC	04/16/09	03/03/10	392 23	214 22		178 01
		MorganStanley SmithBarney LLC acted as your agent in this transaction						
125001160	9	COMERICA INC	04/20/09	03/08/10	328 35	182 59		145 76
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001170	6	COMERICA INC	04/20/09	03/16/10	227 17	121 72		105 45
	4	MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/12/09		151 45	86 05		65 40
125001180	8	COMERICA INC	05/12/09	03/17/10	304 61	172 10		132 51
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001190	8	COMERICA INC	05/12/09	03/18/10	306 61	172 10		134 51
		MorganStanley SmithBarney LLC acted as your agent in this transaction						
125001200	6	COMERICA INC	05/12/09	03/24/10	230 03	129 07		100 96
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016202

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001210	33	CONOCOPHILLIPS MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09	04/28/10	\$ 1,914.22	\$ 1,359.19		\$ 555.03
125001250	10	CONSTELLATION ENERGY GROUP	12/11/09	09/16/10	305.59	339.01	(33.42)	
	12	MorganStanley SmithBarney LLC	12/15/09		366.71	421.06	(54.35)	
	9	acted as your agent	12/17/09		275.03	312.51	(37.48)	
	19	in this transaction.	01/26/10		580.63	628.46	(47.83)	
	12		01/27/10		366.71	389.32	(22.61)	
	9		01/29/10		275.05	293.72	(18.67)	
125001260	76	CORNING INC	09/16/09	09/16/10	1,291.37	1,181.31		110.06
	86	MorganStanley SmithBarney LLC	09/18/09		1,461.29	1,327.17		134.12
	61	acted as your agent	10/05/09		1,036.49	898.23		138.26
	130	in this transaction.	10/20/09		2,208.92	2,019.55		189.37
	38		11/04/09		645.68	564.52		81.16
125001270	7	DTE ENERGY COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/24/10	05/06/10	332.25	316.22		16.03
125001280	6	DELL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/16/09	02/22/10	80.44	75.59		4.85
125001290	44	DELL INC	07/16/09	02/23/10	581.88	554.33		27.55
	11	MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09		145.47	152.27	(6.80)	
125001300	25	DELL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09	02/26/10	331.02	346.07	(15.05)	
125001310	19	DEVON ENERGY CORP NEW	03/16/10	08/20/10	1,182.00	1,287.77	(105.77)	
	6	MorganStanley SmithBarney LLC	03/19/10		373.26	388.15	(14.89)	
	9	acted as your agent in this transaction.	05/13/10		559.89	614.45	(54.56)	
125001330	4	DEVRY INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/09	08/31/10	152.70	216.99	(64.29)	



Ref: 00000125 00016203

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001340	3	DEVRY INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction	11/18/09	09/10/10	\$ 127.46	\$ 162.74	(\$ 35.28)	
125001350	17	DILLARDS INC CLASS A MorganStanley SmithBarney LLC acted as your agent in this transaction	11/30/09 12/02/09	02/04/10	281.75 281.75	285.65 289.00	(3.90) (7.25)	
125001360	51 40 35 24 10 12 12 12 10 25	DIRECTV CL A MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10 01/27/10 01/28/10 01/29/10 02/01/10 02/04/10 02/10/10 02/22/10 02/23/10 04/28/10	09/16/10	2,099.33 1,646.54 1,440.72 987.92 411.63 493.96 493.96 493.96 411.63 1,029.09	1,572.78 1,241.73 1,074.33 738.59 309.02 368.80 372.90 405.74 336.12 893.09		526.55 404.81 366.39 249.33 102.61 125.16 121.06 88.22 75.51 136.00
125001380	10 4 1	ENTERGY CORPORATION-NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/18/09 09/14/09 01/07/10	08/13/10	785.53 314.21 78.55	779.79 310.04 80.56	(2.01)	5.74 4.17
125001390	3 3	ENTERGY CORPORATION-NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/07/10 01/26/10	08/16/10	233.84 233.85	241.68 236.51	(7.84) (2.66)	
125001400	3	ENTERGY CORPORATION-NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10	08/17/10	238.42	236.51		1.91
125001410	9	EXELON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/29/09	08/06/10	379.08	444.83	(65.75)	
125001420	25 10	EXELON CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/29/09 01/06/10	08/11/10	1,051.92 420.77	1,235.64 480.42	(183.72) (59.65)	

2 0 1 0 Y E A R E N D S U M M A R Y



Ref 00000125 00016204

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001430	20	EXELON CORP	01/06/10	08/13/10	\$ 828.25	\$ 960.83	(\$ 132.58)	
	8	MorganStanley SmithBarney LLC	01/25/10		331.30	370.44	(39.14)	
	7	acted as your agent in this transaction.	01/27/10		289.89	325.42	(35.53)	
125001440	9	EXPRESS SCRIPTS INC.COMMON MorganStanley SmithBarney LLC	11/23/09	02/23/10	791.44	786.91		4.53
		acted as your agent in this transaction.						
125001450	6	EXPRESS SCRIPTS INC.COMMON MorganStanley SmithBarney LLC	01/14/10	03/08/10	590.45	541.56		48.89
	3	acted as your agent in this transaction.	02/26/10		295.22	288.39		6.83
125001460	15	EXXON MOBIL CORP MorganStanley SmithBarney LLC	06/30/09	01/21/10	1,019.30	1,044.78	(25.48)	
		acted as your agent in this transaction.						
125001470	20	EXXON MOBIL CORP MorganStanley SmithBarney LLC	06/30/09	01/25/10	1,321.30	1,393.03	(71.73)	
	7	acted as your agent in this transaction.	07/01/09		462.46	494.99	(32.53)	
	13	acted as your agent in this transaction.	07/02/09		858.84	896.71	(37.87)	
125001480	22	EXXON MOBIL CORP MorganStanley SmithBarney LLC	07/02/09	01/27/10	1,439.87	1,517.51	(77.64)	
		acted as your agent in this transaction.						
125001490	20	EXXON MOBIL CORP MorganStanley SmithBarney LLC	07/02/09	01/29/10	1,299.11	1,379.56	(80.45)	
		acted as your agent in this transaction.						
125001500	16	EXXON MOBIL CORP MorganStanley SmithBarney LLC	07/02/09	02/04/10	1,044.44	1,103.64	(59.20)	
	25	acted as your agent in this transaction.	08/17/09		1,631.94	1,668.15	(36.21)	
125001510	14	EXXON MOBIL CORP MorganStanley SmithBarney LLC	03/15/10	04/07/10	943.83	926.69		17.14
	60	acted as your agent in this transaction.	03/16/10		4,044.99	3,981.11		63.88
	7		03/17/10		471.91	471.79		.12

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016205

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001520	9	EXXON MOBIL CORP	03/18/10	04/16/10	\$ 612.84	\$ 607.77		\$ 5.07
	6	MorganStanley SmithBarney LLC acted as your agent in this transaction	03/24/10		408.56	399.43		9.13
125001530	4	EXXON MOBIL CORP	03/24/10	04/19/10	272.64	266.28		6.36
	23	MorganStanley SmithBarney LLC	04/01/10		1,567.70	1,553.58		14.12
	14	acted as your agent in this transaction	04/09/10		954.25	963.47	(9.22)	
125001540	11	EXXON MOBIL CORP	04/09/10	04/20/10	759.25	757.01		2.24
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001550	14	EXXON MOBIL CORP	04/09/10	04/23/10	961.34	963.47	(2.13)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001560	10	EXXON MOBIL CORP	05/21/10	09/16/10	607.21	602.98		4.23
	24	MorganStanley SmithBarney LLC	05/25/10		1,457.30	1,414.10		43.20
	14	acted as your agent	05/26/10		850.09	842.20		7.89
	8	In this transaction.	06/11/10		485.77	490.58	(4.81)	
	10		06/24/10		607.21	602.76		4.45
	7		08/11/10		425.05	423.25		1.80
	26		08/20/10		1,578.74	1,534.62		44.12
125001570	9	F5 NETWORKS INC	06/14/10	09/16/10	905.96	640.98		264.98
	5	MorganStanley SmithBarney LLC	06/23/10		503.31	369.95		133.36
	4	acted as your agent	06/29/10		402.65	281.69		120.96
	7	In this transaction	07/12/10		704.63	536.11		168.52
125001580	6	FISERV INC	04/07/10	05/07/10	306.89	307.09	(.20)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001590	6	FISERV INC	04/07/10	05/11/10	316.07	307.09		8.98
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001600	4	FISERV INC	04/07/10	09/16/10	213.76	204.73		9.03
	7	MorganStanley SmithBarney LLC	05/14/10		374.08	347.74		26.34
		acted as your agent in this transaction.						

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016206

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001610	8	FIRSTENERGY CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/23/09	01/05/10	\$ 368.85	\$ 368.15		\$ 70
125001620	224	FORD MOTOR COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/17/10	09/16/10	2,798.16	2,735.69		62.47
125001630	36	FREEMONT MCMORAN COPPER & GOLD CL B MorganStanley SmithBarney LLC acted as your agent	07/27/10	09/16/10	2,944.85	2,506.02		438.83
125001640	13 18	GENERAL CABLE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/27/10 08/06/10	09/16/10	325.13 450.19	350.52 446.71	(25.39)	3.48
125001650	26 4	GENWORTH FINL INC CLASS A MorganStanley SmithBarney LLC acted as your agent	05/04/10 05/07/10	08/10/10	337.20 51.88	419.74 58.02	(82.54) (6.14)	
125001660	23	GENWORTH FINL INC CLASS A MorganStanley SmithBarney LLC acted as your agent	05/07/10	08/17/10	280.23	333.63	(53.40)	
125001670	2 19 19 11	GENWORTH FINL INC CLASS A MorganStanley SmithBarney LLC acted as your agent	05/07/10 05/14/10 05/17/10 05/18/10	08/23/10	22.50 213.72 213.72 123.72	29.01 295.51 286.78 167.18	(6.51) (81.79) (73.06) (43.46)	
125001680	8	GENWORTH FINL INC CLASS A MorganStanley SmithBarney LLC acted as your agent	05/18/10	09/10/10	96.18	121.58	(25.40)	
125001770	10	GILEAD SCIENCES INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/04/09	04/28/10	406.13	450.46	(44.33)	

2 0 1 0 Y E A R E N D S U M M A R Y



Ref. 00000125 00016207

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001780	3	GILEAD SCIENCES INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/04/09	05/04/10	\$ 116.36	\$ 135.14	(\$ 18.78)	
125001790	27	GOLDMAN SACHS GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09	05/07/10	3,879.82	3,916.72	(36.90)	
125001800	10 4	GOLDMAN SACHS GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09 07/10/09	05/11/10	1,433.71 573.48	1,450.64 569.05	(16.93)	4.43
125001840	10	GOLDMAN SACHS GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/27/09	08/11/10	1,500.26	1,642.42	(142.16)	
125001850	2	GOOGLE INC CLASS A MorganStanley SmithBarney LLC acted as your agent	11/23/09	01/12/10	1,187.79	1,155.67		32.12
125001860	13 10	HARRIS CORP-DELAWARE- MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/14/10 07/27/10	09/16/10	579.01 445.39	580.14 462.73	(1.13) (17.34)	
125001870	14	HARTFORD FINL SVCS GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10	03/24/10	393.67	350.26		43.41
125001880	15 11	HARTFORD FINL SVCS GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10 01/27/10	05/04/10	416.50 305.44	375.28 266.82		41.22 38.62
125001890	10 13	HARTFORD FINL SVCS GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/27/10 01/28/10	05/07/10	257.44 334.67	242.57 316.49		14.87 18.18

2 0 1 0 Y E A R E N D S U M M A R Y



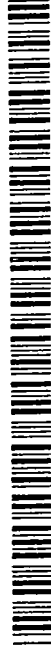
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CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001900	6	HARTFORD FINL SVCS GROUP INC	01/28/10	05/11/10	\$ 161.84	\$ 146.07		\$ 15.77
	13	MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/04/10		350.66	305.81		44.85
125001910	4	HARTFORD FINL SVCS GROUP INC	02/04/10	05/14/10	104.50	94.10		10.40
	12	MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/09/10		313.51	269.94		43.57
125001920	12	HARTFORD FINL SVCS GROUP INC	02/17/10	05/17/10	307.66	289.35		18.31
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001930	2	HARTFORD FINL SVCS GROUP INC	02/17/10	05/18/10	52.23	48.22		4.01
	10	MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/19/10		261.13	241.72		19.41
125001940	2	HARTFORD FINL SVCS GROUP INC	02/19/10	05/19/10	50.57	48.35		2.22
	10	MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/02/10		252.86	255.41	(2.55)	
125001950	6	HARTFORD FINL SVCS GROUP INC	03/02/10	05/25/10	139.94	153.25	(13.31)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001960	12	HESS CORP	02/16/10	02/19/10	727.99	719.61		8.38
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001970	5	HESS CORP	03/01/10	03/24/10	306.95	298.46		8.49
	10	MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/02/10		613.89	603.03		10.86
	2	MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/16/10		122.78	122.48		.30
125001980	17	HESS CORP	03/16/10	04/01/10	1,083.80	1,041.06		42.74
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016209

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001990	1	HESS CORP	03/16/10	04/07/10	\$ 63.59	\$ 61.24		\$ 2.35
	14	MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/17/10		890.28	879.13		11.15
125002000	15	HESS CORP	05/04/10	08/11/10	802.05	928.90	(126.85)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002010	6	HESS CORP	05/04/10	08/17/10	319.92	371.56	(51.64)	
	18	MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/07/10		959.75	1,028.06	(68.31)	
	16		05/17/10		853.11	878.86	(25.75)	
125002020	3	HESS CORP	05/17/10	09/16/10	166.45	164.79		1.66
	14	MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/18/10		776.79	782.27	(5.48)	
	17		05/25/10		943.24	867.94		75.30
	30		07/07/10		1,664.54	1,573.69		90.85
	23		07/14/10		1,276.15	1,238.49		37.66
125002030	18	HEWLETT PACKARD CO	11/12/09	09/02/10	709.62	897.39	(187.77)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002050	19	ILLINOIS TOOL WORKS INC	04/23/10	09/16/10	887.53	992.85	(105.32)	
	7	MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/03/10		326.98	328.35	(1.37)	
	20		06/11/10		934.24	904.83		29.41
	14		06/21/10		653.97	649.65		4.32
	14		06/23/10		653.97	617.05		36.92
	8		06/28/10		373.70	347.68		26.02
	9		07/12/10		420.40	388.87		31.53
125002060	17	INGRAM MICRO INC CLASS A	11/30/09	09/16/10	270.50	288.89	(18.39)	
	17	MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/02/09		270.50	291.64	(21.14)	
	18		12/15/09		286.41	308.60	(22.19)	
	17		12/23/09		270.49	302.54	(32.05)	
125002070	28	INTEL CORP	08/31/10	09/16/10	527.57	496.78		30.79
	92	MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/02/10		1,733.43	1,678.07		55.36



Ref: 00000125 00016210

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002080	13	INTL BUSINESS MACHINES CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09	06/30/10	\$ 1,622.96	\$ 1,331.25		\$ 291.71
125002100	4	INTUITIVE SURGICAL INC	11/23/09	09/16/10	1,174.62	1,125.00		49.62
	3	MorganStanley SmithBarney LLC	11/25/09		880.97	842.46		38.51
	1	acted as your agent	01/07/10		293.66	310.60	(16.94)	
	2	in this transaction.	01/26/10		587.30	675.58	(88.28)	
125002110	7	J CREW GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/30/09	06/23/10	281.06	297.35	(16.29)	
125002120	8	J CREW GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/30/09	07/30/10	281.73	339.83	(58.10)	
125002130	57	JPMORGAN CHASE & CO	10/09/09	01/28/10	2,240.40	2,591.80	(351.40)	
	82	MorganStanley SmithBarney LLC	10/14/09		3,223.02	3,865.00	(641.98)	
	88	acted as your agent	10/20/09		3,458.86	4,061.94	(603.08)	
	76	in this transaction.	10/23/09		2,987.19	3,460.17	(472.98)	
125002140	4	JPMORGAN CHASE & CO	10/23/09	01/27/10	155.23	182.11	(26.88)	
	26	MorganStanley SmithBarney LLC	10/27/09		1,009.02	1,145.58	(136.56)	
	43	acted as your agent	11/18/09		1,668.76	1,858.54	(189.78)	
		in this transaction						
125002150	2	JPMORGAN CHASE & CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/09	01/28/10	79.52	86.44	(6.92)	
125002160	33	JPMORGAN CHASE & CO	07/22/10	09/16/10	1,353.41	1,298.37		55.04
	258	MorganStanley SmithBarney LLC	07/30/10		10,581.17	10,393.32		187.85
	102	acted as your agent	08/02/10		4,183.25	4,206.93	(23.68)	
		in this transaction.						
125002170	24	JOHNSON CONTROLS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/30/10	09/16/10	697.42	828.12	(130.70)	

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016211

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002180	12	KIMBERLY CLARK CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	11/23/09	02/10/10	\$ 706.28	\$ 787.14	(\$ 80.86)	
125002190	14	KIMBERLY CLARK CORP	02/22/10	05/11/10	880.34	840.72		39.62
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction	02/23/10		62.88	60.18		2.70
125002200	7	KIMBERLY CLARK CORP	02/23/10	05/25/10	421.02	421.26	(.24)	
	6	MorganStanley SmithBarney LLC	03/08/10		360.88	359.88		1.00
	16	acted as your agent in this transaction	04/07/10		962.33	987.58	(25.25)	
125002210	32	KROGER CO	04/28/10	08/06/10	702.23	739.41	(37.18)	
	5	MorganStanley SmithBarney LLC acted as your agent in this transaction	04/29/10		109.72	115.02	(5.30)	
125002220	5	L 3 COMMUNICATIONS HLDGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	03/18/09	02/04/10	424.62	313.43		111.19
125002230	5	L 3 COMMUNICATIONS HLDGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	03/18/09	02/10/10	429.61	313.43		116.18
125002240	1	L 3 COMMUNICATIONS HLDGS INC	03/18/09	02/17/10	87.54	62.69		24.85
	4	MorganStanley SmithBarney LLC acted as your agent in this transaction	03/23/09		350.14	261.90		88.24
125002250	1	L 3 COMMUNICATIONS HLDGS INC	03/23/09	02/19/10	90.21	65.48		24.73
	3	MorganStanley SmithBarney LLC acted as your agent in this transaction	09/14/09		270.62	233.12		37.50
125002260	2	L 3 COMMUNICATIONS HLDGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	09/14/09	02/22/10	182.43	155.41		27.02

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016212

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002270	10	L 3 COMMUNICATIONS HLDGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/09/10	09/16/10	\$ 687.98	\$ 744.52	(\$ 56.54)	
125002280	11	LEXMARK INTL GROUP INC CL A MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/10/09	01/27/10	296.76	181.08		115.68
125002290	4	LEXMARK INTL GROUP INC CL A MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/10/09	03/16/10	142.07	65.85		76.22
125002300	45 23 15 13	ELI LILLY & CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/05/10 04/07/10 04/14/10 04/16/10	09/16/10	1,605.74 820.71 535.25 483.88	1,648.89 839.66 547.64 475.36	(43.15) (18.95) (12.39) (11.48)	
125002310	13 13 13 12	LINCOLN NATIONAL CORP -IND- MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/02/09 12/11/09 12/17/09 12/29/09	09/16/10	322.54 322.54 322.54 297.71	302.89 291.83 307.80 302.50	(4.79)	19.65 30.71 14.74
125002330	14	LOEWS CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/23/10	06/08/10	433.08	534.74	(101.66)	
125002340	10 6 5	LORILLARD INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/12/10 01/19/10 01/25/10	09/16/10	803.59 482.15 401.79	774.24 462.67 383.88		29.35 19.48 17.91
125002350	44 26	MARATHON OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10 01/27/10	02/04/10	1,287.90 761.03	1,346.17 784.36	(58.27) (23.33)	
125002360	28 31	MARATHON OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/08/10 04/07/10	04/23/10	917.78 1,016.12	862.31 991.68		55.47 24.44



Ref. 00000125 00016213

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002370	10	MASTERCARD INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/09	06/08/10	\$ 1,978.40	\$ 2,278.26	(\$ 299.86)	
125002380	1 8	MASTERCARD INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/09 11/23/09	06/11/10	203.51 1,628.09	227.83 1,881.64	(24.32) (253.55)	
125002390	1 6	MASTERCARD INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/23/09 11/30/09	06/14/10	204.75 1,228.52	235.21 1,427.97	(30.46) (199.45)	
125002400	1 6 2	MASTERCARD INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/30/09 12/14/09 12/28/09	06/18/10	214.08 1,284.49 428.16	237.99 1,485.33 508.88	(23.91) (200.84) (80.72)	
125002410	1 2	MASTERCARD INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/28/09 01/13/10	06/21/10	218.93 437.85	254.44 503.13	(35.51) (65.28)	
125002420	1	MASTERCARD INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/13/10	06/23/10	218.63	251.57	(32.94)	
125002430	16 12	MCGRAW HILL COS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/10 07/14/10	09/16/10	483.99 362.99	452.90 365.33		31.09 (2.34)
125002440	5	MEDCO HEALTH SOLUTIONS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/31/09	06/25/10	280.90	266.55		14.35
125002450	26 15	MEDCO HEALTH SOLUTIONS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/05/09 08/17/09	08/02/10	1,244.12 717.76	1,368.10 820.98	(123.98) (103.22)	

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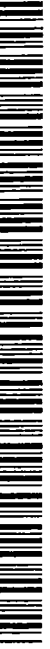
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CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002460	13	MEDCO HEALTH SOLUTIONS INC	08/17/09	08/13/10	\$ 610.41	\$ 711.51	(\$ 101.10)	
	3	MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/18/09		140.86	163.65	(22.79)	
125002470	12	MEDCO HEALTH SOLUTIONS INC	09/16/09	09/16/10	563.91	668.67	(104.76)	
	14	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/02/09		657.90	753.19	(95.29)	
	7		08/23/10		328.96	316.57		12.39
125002480	13	METLIFE INC	09/30/09	07/02/10	484.21	498.77	(14.56)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002490	43	METLIFE INC	09/30/09	09/16/10	1,734.68	1,649.78		84.90
	56	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/05/09		2,259.11	2,070.43		188.68
	43		10/09/09		1,734.68	1,645.83		88.85
	29		10/14/09		1,169.90	1,096.24		73.66
	20		10/20/09		806.83	743.61		63.22
	26		01/05/10		1,048.87	957.51		91.36
	10		01/12/10		403.41	386.91		16.50
	27		01/26/10		1,089.22	977.28		111.94
	25		03/17/10		1,008.53	1,083.00	(74.47)	
	14		03/18/10		564.78	596.07	(31.29)	
	33		03/24/10		1,331.26	1,391.12	(59.86)	
	58		04/07/10		2,339.79	2,581.90	(242.11)	
125002500	27	MICROSOFT CORP	11/13/09	03/11/10	784.18	797.02	(12.84)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002510	6	MICROSOFT CORP	11/13/09	03/15/10	174.96	177.11	(2.15)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002520	67	MICRON TECHNOLOGY INC	01/25/10	09/16/10	471.67	624.96	(153.29)	
	60	MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10		422.39	576.82	(154.43)	
	49		01/27/10		344.95	467.99	(123.04)	
	30		01/28/10		211.20	279.29	(68.09)	
	32		01/29/10		225.28	286.62	(61.34)	
	32		02/04/10		225.28	277.11	(51.83)	
	31		02/10/10		218.24	261.61	(43.37)	



Ref: 00000125 00016215

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
	33		02/19/10		\$ 232.32	\$ 293.38	(\$ 61.06)	
	33		02/22/10		232.32	296.46	(64.14)	
	39		04/07/10		274.56	408.92	(134.36)	
	66		04/23/10		464.63	720.34	(255.71)	
	31		06/28/10		218.22	309.27	(91.05)	
125002530	17	MIRANT CORP NEW	06/23/09	01/05/10	263.06	240.40		22.66
	7	MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09		108.32	129.43	(21.11)	
125002540	25	MIRANT CORP NEW	07/28/09	01/13/10	392.62	462.26	(69.64)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002550	8	MIRANT CORP NEW	07/28/09	01/21/10	118.47	147.92	(29.45)	
	19	MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/31/09		281.37	341.67	(60.30)	
125002560	10	MIRANT CORP NEW	07/31/09	01/26/10	144.67	179.82	(35.15)	
	10	MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/03/09		144.67	185.23	(40.56)	
125002570	10	MIRANT CORP NEW	08/03/09	01/27/10	141.20	185.23	(44.03)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002580	13	MOLSON COORS BREWING CO CL B	01/26/10	06/08/10	553.23	559.17	(5.94)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002590	4	MOLSON COORS BREWING CO CL B	01/26/10	06/11/10	173.20	172.05		1.15
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002600	25	MORGAN STANLEY	10/23/09	04/01/10	741.30	880.99	(139.69)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						



Ref: 00000125 00016216

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002610	1	MORGAN STANLEY	10/23/09	04/07/10	\$ 30.06	\$ 35.24	(\$ 5.18)	
	12	MorganStanley SmithBarney LLC	10/29/09		360.66	400.77	(40.11)	
	18	acted as your agent	11/10/09		540.99	605.02	(64.03)	
	38	in this transaction.	11/18/09		1,142.09	1,259.48	(117.39)	
125002620	54	MORGAN STANLEY	11/18/09	04/09/10	1,673.79	1,789.79	(116.00)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125002630	34	MORGAN STANLEY	11/18/09	04/16/10	998.85	1,126.90	(128.05)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125002640	43	MORGAN STANLEY	04/28/10	09/16/10	1,153.41	1,305.08	(151.67)	
	14	MorganStanley SmithBarney LLC	06/30/10		375.53	330.96		44.57
	28	acted as your agent	08/11/10		751.06	745.06		6.00
		in this transaction.						
125002650	13	MURPHY OIL CORP	10/09/09	02/04/10	658.26	793.65	(135.39)	
	2	MorganStanley SmithBarney LLC	10/14/09		101.27	125.09	(23.82)	
		acted as your agent						
		in this transaction.						
125002660	9	MURPHY OIL CORP	10/14/09	02/10/10	458.66	562.90	(104.24)	
	5	MorganStanley SmithBarney LLC	11/10/09		254.81	306.28	(51.47)	
	3	acted as your agent	11/30/09		152.89	169.72	(16.83)	
		in this transaction.						
125002670	6	MURPHY OIL CORP	11/30/09	02/17/10	314.02	339.43	(25.41)	
	7	MorganStanley SmithBarney LLC	12/02/09		366.36	397.24	(30.88)	
	2	acted as your agent	12/11/09		104.68	106.04	(1.36)	
		in this transaction.						
125002680	7	MURPHY OIL CORP	12/11/09	02/18/10	369.27	371.16	(1.89)	
	4	MorganStanley SmithBarney LLC	12/17/09		211.01	216.35	(5.34)	
		acted as your agent						
		in this transaction.						
125002690	5	MURPHY OIL CORP	12/17/09	02/19/10	266.67	270.43	(3.76)	
	2	MorganStanley SmithBarney LLC	01/26/10		106.67	105.67		1.00
		acted as your agent						
		in this transaction.						



Ref 00000125 00016217

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002700	6	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10	02/22/10	\$ 319.76	\$ 317.01		\$ 2.75
125002710	6	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10	02/23/10	313.00	317.01	(4.01)	
125002720	2 4	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/26/10 01/27/10	02/24/10	103.87 207.75	105.67 207.73	(1.80)	02
125002730	6	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/27/10	03/01/10	316.16	311.60		4.56
125002740	2	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/27/10	03/02/10	107.51	103.87		3.64
125002750	12	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/24/10	07/22/10	622.89	632.14	(9.25)	
125002760	3 8	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/24/10 06/28/10	08/02/10	169.46 451.91	158.03 416.67		11.43 35.24
125002770	8 5	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/28/10 06/29/10	08/10/10	445.70 278.56	416.67 249.81		29.03 28.75
125002780	6 2	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/29/10 07/06/10	08/11/10	324.79 108.26	299.77 97.84		25.02 10.42

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016218

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002790	12	MURPHY OIL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/06/10	09/16/10	\$ 704.98	\$ 587.01		\$ 117.97
125002800	28	MYLAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/15/09	01/06/10	514.06	360.37		153.69
125002810	9 13	MYLAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/15/09 06/17/09	01/21/10	162.67 234.96	115.83 168.70		46.84 66.26
125002820	17	MYLAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/17/09	01/27/10	307.69	220.61		87.08
125002830	2	MYLAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/17/09	01/29/10	36.70	25.95		10.75
125002840	16 13 12	NETAPP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/16/09 11/23/09 12/02/09	09/16/10	781.58 635.04 586.19	478.05 400.84 380.74		303.53 234.20 205.45
125002850	4 3	NETFLIX INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/07/10 06/30/10	09/16/10	565.57 424.17	322.66 329.03		242.91 95.14
125002860	1 7	NEWFIELD EXPLORATION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/11/09 06/17/09	02/04/10	49.55 346.87	37.53 236.00		12.02 110.87
125002870	9	NEWFIELD EXPLORATION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/07/10	06/11/10	485.54	499.60	(14.06)	



Ref: 00000125 00016219

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002880	14	NORTHROP GRUMMAN CORP	07/09/09	01/28/10	\$ 790.21	\$ 608.02		\$ 182.19
	2	MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09		112.89	87.61		25.28
125002950	32	ORACLE CORP	03/03/10	06/23/10	729.90	785.06	(55.16)	
	34	MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/07/10		775.52	881.01	(105.49)	
	18		04/30/10		410.57	466.56	(55.99)	
125002960	11	OWENS ILLINOIS INC NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/07/09	02/04/10	286.52	293.70	(7.18)	
125002970	4	OWENS ILLINOIS INC NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/07/09	02/10/10	104.33	106.80	(2.47)	
125002980	14	PPL CORP	07/28/09	01/28/10	416.28	463.66	(47.38)	
	5	MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/31/09		148.67	169.19	(20.52)	
125002990	4	PPL CORP	07/31/09	02/04/10	115.89	135.35	(19.46)	
	11	MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/24/09		318.70	336.92	(18.22)	
	10		12/04/09		289.72	315.57	(25.85)	
125003000	10	PENN NATIONAL GAMING INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/14/09	01/26/10	287.90	284.85		3.05
125003010	10	PENN NATIONAL GAMING INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/16/09	01/27/10	280.39	279.17		1.22
125003020	21	PEPSICO INC	11/16/09	01/13/10	1,303.79	1,308.39	(4.60)	
	7	MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/09		434.60	435.04	(.44)	

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016220

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003030	9	PEPSICO INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/09	01/14/10	\$ 564.69	\$ 559.34		\$ 5.35
125003040	9	PHILIP MORRIS INTL INC	04/07/10	09/16/10	495.20	473.44		21.76
	17	MorganStanley SmithBarney LLC	04/16/10		935.38	863.90		71.48
	14	acted as your agent	04/20/10		770.31	722.48		47.83
	19	in this transaction.	04/30/10		1,045.41	941.64		103.77
125003050	9	PLAINS EXPLORATION & PRODUCTION COMPANY MorganStanley SmithBarney LLC acted as your agent	01/07/10	01/26/10	298.12	272.04		26.08
125003060	1	PLAINS EXPLORATION & PRODUCTION	01/07/10	01/28/10	33.96	30.23		3.73
	8	COMPANY MorganStanley SmithBarney LLC acted as your agent	01/08/10		271.67	243.42		28.25
125003070	6	PLAINS EXPLORATION & PRODUCTION COMPANY MorganStanley SmithBarney LLC acted as your agent	01/08/10	02/04/10	193.20	182.57		10.63
125003080	4	PRICELINE.COM INC (NEW)	07/27/09	07/12/10	812.87	492.36		320.51
	4	MorganStanley SmithBarney LLC	11/18/09		812.87	832.60	(19.73)	
	4	acted as your agent	11/23/09		812.87	845.20	(32.33)	
	3	in this transaction.	11/25/09		609.64	629.21	(19.57)	
125003090	3	PRICELINE.COM INC (NEW) MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/02/09	07/16/10	656.01	653.07		2.94
125003100	4	PRICELINE.COM INC (NEW)	08/10/10	09/16/10	1,324.90	1,170.50		154.40
	2	MorganStanley SmithBarney LLC	08/11/10		662.45	575.80		86.65
	2	acted as your agent in this transaction.	08/13/10		662.44	600.15		62.29
125003110	16	PRINCIPAL FINANCIAL GROUP INC	05/17/10	09/16/10	408.15	451.67	(53.52)	
	13	MorganStanley SmithBarney LLC	05/28/10		331.62	361.58	(29.96)	
	12	acted as your agent	06/11/10		306.11	309.82	(3.71)	
	12	in this transaction.	06/23/10		306.11	308.37	(2.26)	
	12		06/29/10		306.11	295.88		10.23
	15		07/09/10		382.66	369.91		12.75



Ref: 00000125 00016221

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003120	13	PROCTER & GAMBLE CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/17/09	01/04/10	\$ 794.67	\$ 680.91		\$ 113.76
125003130	13	PROCTER & GAMBLE CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/17/09	01/05/10	794.32	680.92		113.40
125003140	3 19	PROCTER & GAMBLE CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/17/09 08/25/09	01/06/10	181.97 1,152.45	157.13 1,016.72		24.84 135.73
125003150	1 11 3	PROCTER & GAMBLE CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/25/09 09/18/09 09/24/09	01/07/10	60.39 664.29 181.17	53.51 630.55 172.87		6.88 33.74 8.30
125003160	6	PROCTER & GAMBLE CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/09	01/12/10	365.39	345.74		19.65
125003170	25 1	PRUDENTIAL FINANCIAL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/14/09 10/20/09	01/05/10	1,308.86 52.35	1,297.47 50.82		11.39 1.53
125003180	19	PRUDENTIAL FINANCIAL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/20/09	01/12/10	1,008.73	965.63		43.10
125003190	4 6 12 19 2	PRUDENTIAL FINANCIAL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/20/09 10/23/09 10/29/09 11/04/09 11/10/09	01/26/10	203.33 305.00 610.00 965.84 101.67	203.29 299.64 568.58 897.89 94.81		0.04 5.36 41.42 67.95 6.86
125003200	11	PRUDENTIAL FINANCIAL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/10/09	01/27/10	550.47	521.44		29.03

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016222

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003210	1	PRUDENTIAL FINANCIAL INC	11/10/09	01/28/10	\$ 50.54	\$ 47.40		\$ 3.14
	8	MorganStanley SmithBarney LLC	11/18/09		404.28	403.30		98
	1	acted as your agent in this transaction.	11/23/09		50.53	49.19		1.34
125003220	6	PRUDENTIAL FINANCIAL INC	11/23/09	09/16/10	332.60	295.14		37.46
	7	MorganStanley SmithBarney LLC	05/11/10		388.03	442.88	(54.85)	
	9	acted as your agent in this transaction.	05/25/10		498.89	483.18		15.71
	7		05/26/10		388.03	392.34	(4.31)	
	6		06/08/10		332.60	332.16		.44
	9		07/02/10		498.88	492.41		6.47
125003240	8	QUEST DIAGNOSTICS INC	04/23/10	05/25/10	408.75	461.83	(53.08)	
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction.						
125003250	6	QUEST DIAGNOSTICS INC	04/23/10	05/26/10	312.03	346.38	(34.35)	
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction.						
125003280	6	QUEST DIAGNOSTICS INC	04/28/10	06/03/10	316.88	340.08	(23.20)	
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction.						
125003270	8	RAYTHEON COMPANY NEW	09/30/09	09/16/10	364.90	382.14	(17.24)	
	17	MorganStanley SmithBarney LLC	10/02/09		775.40	789.53	(14.13)	
	15	acted as your agent in this transaction.	10/13/09		684.18	689.47	(5.29)	
	8		10/29/09		364.90	362.30		2.60
125003280	8	RED HAT INC	04/06/09	03/02/10	230.43	146.05		84.38
	3	MorganStanley SmithBarney LLC	04/14/09		86.41	55.25		31.16
		acted as your agent in this transaction.						
125003290	11	RED HAT INC	04/14/09	03/03/10	324.06	202.57		121.49
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction.						
125003300	7	RED HAT INC	04/14/09	03/19/10	209.39	128.91		80.48
	7	MorganStanley SmithBarney LLC	11/18/09		209.40	198.62		10.78
		acted as your agent in this transaction.						



Ref: 00000125 00016223

CHARLES W ROSENBAUM

Details of Short-Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003310	4	RED HAT INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/09	03/26/10	\$ 113.92	\$ 113.50		\$.42
125003320	6	REINSURANCE GROUP OF AMERICA MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/05/09	05/07/10	283.18	261.52		21.66
125003330	1 5	REINSURANCE GROUP OF AMERICA MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/05/09 01/05/10	05/11/10	50.16 250.81	43.59 244.76		6.57 6.05
125003340	3	REINSURANCE GROUP OF AMERICA MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/05/10	05/17/10	145.77	146.85	(1.08)	
125003350	16	REYNOLDS AMERICAN INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/19/10	09/16/10	934.38	865.17		69.21
125003360	7	ROVI CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/11/10	09/16/10	301.06	295.32		5.74
125003370	11	ROWAN COMPANIES INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/24/10	08/02/10	283.48	295.69	(12.21)	
125003380	1 12 12 12 13	ROWAN COMPANIES INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/24/10 03/26/10 05/17/10 05/25/10 06/11/10	09/16/10	29.61 355.32 355.32 355.32 384.95	26.88 322.56 300.23 272.41 311.49		2.73 32.76 55.09 82.91 73.46
125003390	6	SPX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/18/09	04/23/10	397.14	332.75		64.39



Ref: 00000125 00016224

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003400	5	SPX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/25/09	04/28/10	\$ 342.09	\$ 286.49		\$ 55.60
125003410	5	SPX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/02/09	05/04/10	340.15	273.96		66.19
125003420	5	SPX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/14/09	05/07/10	320.35	324.25	(3.90)	
125003430	26 28 15	SAFEWAY INC NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/18/10 04/07/10 04/19/10	09/16/10	527.53 568.11 304.34	648.37 714.77 390.95	(120.84) (146.66) (86.61)	
125003440	9 1	SEARS HOLDINGS CORPORATION MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/30/09 10/05/09	01/27/10	870.77 96.75	586.61 64.19		284.16 32.56
125003450	7 8 6 1	SEARS HOLDINGS CORPORATION MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/05/09 10/09/09 10/14/09 10/20/09	07/14/10	450.52 514.88 386.16 64.36	449.35 542.86 427.62 69.97	(27.98) (41.46) (5.61)	1.17
125003460	4 5 10	SEARS HOLDINGS CORPORATION MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/20/09 10/23/09 11/03/09	09/16/10	276.11 345.14 690.29	279.90 363.42 676.62	(3.79) (18.28)	13.67
125003540	9	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/25/10	06/02/10	406.01	443.00	(36.99)	
125003550	17 3	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/26/10 04/07/10	08/03/10	870.88 153.69	834.74 153.33		36.14 .36



Ref: 00000125 00016225

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003560	10	SEMPRA ENERGY	04/07/10	08/10/10	\$ 521.88	\$ 511.12		\$ 10.76
	10	MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/23/10		521.88	501.24		20.64
125003570	12	SEMPRA ENERGY	04/23/10	08/11/10	619.65	601.49		18.16
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003580	9	SEMPRA ENERGY	04/23/10	08/13/10	461.77	451.12		10.65
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003590	6	SEMPRA ENERGY	04/23/10	08/17/10	310.28	300.75		9.53
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003600	2	SEMPRA ENERGY	04/23/10	08/20/10	100.36	100.25		.11
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003610	16	SMITHFIELD FOODS INC DE	04/23/10	08/31/10	259.01	309.71	(50.70)	
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/07/10		16.19	17.45	(1.26)	
125003620	16	SMITHFIELD FOODS INC DE	05/07/10	09/16/10	271.07	279.17	(8.10)	
	18	MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/11/10		304.96	299.87		5.09
	19		06/23/10		321.90	288.69		33.21
125003630	29	SOUTHERN COPPER CORP DEL	01/05/10	03/16/10	920.25	1,003.66	(83.41)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003640	1	SOUTHERN COPPER CORP DEL	01/05/10	03/25/10	31.40	34.61	(3.21)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016226

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003650	16	SOUTHERN UNION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/23/09	01/05/10	\$ 372.70	\$ 250.00		\$ 122.70
125003660	1	SOUTHERN UNION COMPANY	04/23/09	04/07/10	26.22	15.63		10.59
	13	MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/10/09		340.84	225.08		115.76
125003670	3	SOUTHERN UNION COMPANY	06/10/09	04/09/10	78.26	51.94		26.32
	9	MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09		234.76	177.11		57.65
125003680	12	SOUTHERN UNION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/28/09	04/23/10	316.75	236.15		80.60
125003690	2	SOUTHERN UNION COMPANY	07/28/09	05/07/10	45.06	39.36		5.70
	16	MorganStanley SmithBarney LLC	09/14/09		360.45	331.84		28.61
	6	acted as your agent in this transaction.	11/18/09		135.17	124.36		10.81
125003700	9	SOUTHERN UNION COMPANY MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/09	09/10/10	217.13	186.55		30.58
125003710	11	STARWOOD HOTELS & RESORTS	08/10/10	09/16/10	560.83	535.85		24.98
	10	WORLDWIDE INC -NEW	08/11/10		509.85	466.53		43.32
	8	MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/13/10		407.88	375.57		32.31
125003720	24	STATE STREET CORP	01/26/10	08/02/10	959.49	1,055.93	(96.44)	
	12	MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/27/10		479.75	519.46	(39.71)	
125003730	4	STATE STREET CORP	01/27/10	09/16/10	154.68	173.15	(18.47)	
	12	MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/28/10		464.02	526.89	(62.87)	

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016227

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003750	2	STRAVER EDUCATION INC MorganStanley SmithBarney LLC acted as your agent in this transaction	11/23/09	03/16/10	\$ 486.38	\$ 385.09		\$ 101.29
125003760	2	STRAVER EDUCATION INC MorganStanley SmithBarney LLC acted as your agent in this transaction	08/11/10	09/16/10	313.15	426.74	(113.59)	
125003770	55	SYMANTEC CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	08/05/09	08/02/10	725.23	838.19	(112.96)	
125003780	9 15	SYMANTEC CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	08/05/09 10/12/09	08/05/10	118.20 196.99	137.16 242.22	(18.96) (45.23)	
125003790	8	SYMANTEC CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/12/09	08/06/10	103.43	129.18	(25.75)	
125003800	5	SYNAPTICS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	02/03/09	01/06/10	161.34	120.37		40.97
125003810	7 4	SYNAPTICS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	02/03/09 02/18/09	01/21/10	211.50 120.86	168.52 91.66		42.98 29.20
125003820	9	SYNAPTICS INC MorganStanley SmithBarney LLC acted as your agent in this transaction	02/18/09	02/04/10	234.68	206.24		28.44
125003830	13 11	SYNNEX CORP MorganStanley SmithBarney LLC acted as your agent in this transaction	10/05/09 11/18/09	09/16/10	319.40 270.27	387.15 331.84	(67.75) (61.57)	

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016228

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003840	7	TECH DATA CORP	03/17/10	09/16/10	\$ 273.98	\$ 316.40	(\$ 42.42)	
	7	MorganStanley SmithBarney LLC	04/07/10		273.98	307.54	(33.56)	
	8	acted as your agent	04/09/10		313.12	343.00	(29.88)	
	8	In this transaction.	04/23/10		313.12	348.63	(35.51)	
	9		07/14/10		352.28	358.76	(6.48)	
125003850	10	3M COMPANY	11/16/09	09/16/10	848.38	780.23		68.15
	9	MorganStanley SmithBarney LLC	11/18/09		763.55	698.58		64.97
		acted as your agent						
		In this transaction.						
125003960	34	TRAVELERS COMPANIES INC	10/23/09	09/16/10	1,790.78	1,748.29		42.49
	17	MorganStanley SmithBarney LLC	10/29/09		895.39	872.63		22.76
	26	acted as your agent	11/04/09		1,369.42	1,327.09		42.33
	12	In this transaction.	11/10/09		632.04	646.97	(14.93)	
	9		11/18/09		474.03	478.39	(4.36)	
	8		12/02/09		421.36	422.00	(.64)	
	18		12/17/09		948.06	887.52		60.54
	14		01/12/10		737.38	686.29		51.09
	6		01/27/10		316.02	304.54		11.48
	13		02/10/10		684.71	645.62		39.09
	15		02/18/10		790.05	778.86		11.19
	8		02/22/10		421.36	424.81	(3.45)	
	6		02/24/10		316.02	316.19	(.17)	
125003970	15	ULTRA PETROLEUM CORP-CAD	12/17/09	04/01/10	710.49	756.64	(46.15)	
	2	MorganStanley SmithBarney LLC	12/21/09		94.73	102.30	(7.57)	
		acted as your agent						
		In this transaction.						
125003980	7	ULTRA PETROLEUM CORP-CAD	12/21/09	04/07/10	332.71	358.07	(25.36)	
	5	MorganStanley SmithBarney LLC	12/31/09		237.65	251.81	(14.16)	
		acted as your agent						
		In this transaction.						
125003990	7	ULTRA PETROLEUM CORP-CAD	12/31/09	04/09/10	343.10	352.54	(9.44)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						
125004000	8	UNIT CORP	05/25/10	06/11/10	362.65	299.64		63.01
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						



Ref: 00000125 000162229

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004010	14	UNITED PARCEL SERVICE CL B MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/21/10	09/16/10	\$ 932 10	\$ 856 14		\$ 75.96
125004020	11	UNITED TECHNOLOGIES CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/14/10	03/15/10	788 33	795 23	(6 90)	
125004030	19	UNITEDHEALTH GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/16/09	09/16/10	649.60	547 03		102.57
125004040	7	UNIVERSAL CORP VA MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/10/09	06/11/10	277 22	314 71	(37 49)	
125004050	7 1	UNIVERSAL CORP VA MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/23/09 11/25/09	06/23/10	277 77 39 68	321 96 45 40	(44 19) (5 72)	
125004060	6	UNIVERSAL CORP VA MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/25/09	06/28/10	240.95	272.38	(31 43)	
125004080	48 57 46 32 17 37	VALERO ENERGY CORP-NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/02/10 08/10/10 08/11/10 08/13/10 08/17/10 08/20/10	09/16/10	827 55 982 71 793 07 551.70 293 09 637 90	820 33 1,021 58 791 65 543 69 285 77 608 07	(38.87)	7 22 1.42 8 01 7 32 29 83
125004090	38 28 9 17 15 4 15 19	VISA INC COM CL A MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/10/10 02/17/10 02/18/10 02/19/10 06/11/10 06/14/10 06/23/10 06/28/10	09/16/10	2,591 29 1,909 37 613.73 1,159.26 1,022.88 272 77 1,022.88 1,295 64	3,172 22 2,414 08 783 87 1,471.78 1,147.08 304 55 1,166 58 1,436 18	(580 93) (504 71) (170 14) (312 52) (124 20) (31.78) (143 70) (140 54)	



Ref: 00000125 00016230

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
	8		06/30/10		\$ 545.53	\$ 573.42	(\$ 27.89)	
	5		07/14/10		340.95	383.73	(42.78)	
125004100	45	VISHAY INTERTECHNOLOGY INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/30/10	09/16/10	402.33	424.12	(21.79)	
125004110	2142	VISHAY PRECISION GROUP INC CASH IN LIEU OF .21428 RECORD 06/25/10 PAY 07/06/10	04/30/10	07/06/10	2.43	3.35	(.92)	
125004120	3	VISHAY PRECISION GROUP INC MorganStanley SmithBarney LLC acted as your agent	04/30/10	07/08/10	35.93	46.94	(11.01)	
125004130	8	VMWARE INC CL A COM MorganStanley SmithBarney LLC acted as your agent	07/02/10	09/16/10	679.50	511.04		168.46
125004140	8	WELLCARE HLTH PLANS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/17/09	01/06/10	295.25	201.31		93.94
125004150	1	WELLCARE HLTH PLANS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/17/09	01/21/10	34.75	25.16		9.59
125004170	12 12	WESTERN DIGITAL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/28/10 06/29/10	07/12/10	376.38 376.38	380.53 374.02	(4.15)	2.36
125004180	5 4 8 5	WHIRLPOOL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/11/09 12/15/09 12/28/09 01/15/10	09/16/10	358.59 286.87 573.75 358.60	374.55 308.44 663.78 413.50	(15.96) (21.57) (90.03) (54.90)	
125004190	14 8 9	ZIMMER HOLDINGS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/30/10 05/04/10 05/06/10	09/16/10	706.33 403.62 454.06	856.76 482.95 545.07	(150.43) (79.33) (91.01)	
Total					\$ 476,268.92	\$ 474,487.00	(\$ 23,052.05)	\$ 24,833.97



Ref: 00000125 00016231

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000350	18	NOBLE CORPORATION-CHF MorganStanley SmithBarney LLC acted as your agent	Unavailable	03/16/10	\$ 776.60	Ø		776.60
125000440	9	AMAZON COM INC	03/30/09	07/27/10	1,048.41	637.03		411.38
	10	MorganStanley SmithBarney LLC	04/02/09		1,164.90	760.15		404.75
	10	acted as your agent	06/04/09		1,164.90	858.09		306.81
		In this transaction.						
125000450	3	AMAZON COM INC	06/04/09	07/30/10	351.53	257.43		94.10
	9	MorganStanley SmithBarney LLC	06/08/09		1,054.59	771.73		282.86
	5	acted as your agent	06/12/09		585.89	418.72		167.17
		In this transaction.						
125000470	18	AMERIPRISE FINANCIAL INC	09/01/09	09/16/10	852.65	518.56		334.09
	10	MorganStanley SmithBarney LLC	09/02/09		473.69	281.74		191.95
	11	acted as your agent	09/14/09		521.06	338.43		182.63
		In this transaction.						
125000500	15	APACHE CORP	06/23/09	06/24/10	1,358.56	1,072.29		286.27
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						
125000510	4	APACHE CORP	06/23/09	06/28/10	354.19	285.95		68.24
	5	MorganStanley SmithBarney LLC	06/26/09		442.74	362.12		80.62
		acted as your agent						
		In this transaction.						
125000520	6	APACHE CORP	06/26/09	06/29/10	509.83	434.54		75.29
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						
125000530	8	APACHE CORP	06/26/09	07/06/10	667.65	579.39		88.26
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016232

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000540	22	APACHE CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/26/09	09/16/10	\$ 2,072.20	\$ 1,593.32		\$ 478.88
125000620	4	AUTOZONE INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/09/09	09/16/10	876.10	619.53		256.57
125000740	23 4	CMS ENERGY CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/23/08 11/07/08	08/10/10	391.61 68.11	227.31 40.35		164.30 27.76
125000750	18	CMS ENERGY CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/07/08	08/11/10	305.14	181.57		123.57
125000760	5 14	CMS ENERGY CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/07/08 12/22/08	08/17/10	87.41 244.74	50.43 135.78		36.98 108.96
125000770	14	CMS ENERGY CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/22/08	08/23/10	242.89	135.77		107.12
125000780	13	CNA FINANCIAL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/14/09	09/16/10	360.01	317.03		42.98
125000790	11 19	CVS CAREMARK CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/05/09 08/11/09	09/16/10	323.96 559.57	376.84 655.58	(52.88) (96.01)	
125000800	24 15	CA INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/23/09 07/24/09	09/16/10	484.36 302.72	448.72 311.68	(8.96)	35.64



Ref 00000125 00016233

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000840	20	CHESAPEAKE ENERGY CORP	08/05/09	09/16/10	\$ 435.02	\$ 468.98	(\$ 33.96)	
	35	MorganStanley SmithBarney LLC	08/17/09		761.28	780.01	(18.73)	
	18	acted as your agent	08/18/09		391.52	405.82	(14.30)	
	17	in this transaction.	09/14/09		369.77	452.93	(83.16)	
125000850	2	CHEVRON CORP	09/21/07	01/08/10	158.34	189.74	(31.40)	
	3	MorganStanley SmithBarney LLC	10/08/07		237.52	274.80	(37.28)	
		acted as your agent						
		In this transaction.						
125000860	22	CHEVRON CORP	10/08/07	09/16/10	1,736.69	2,015.24	(278.55)	
	47	MorganStanley SmithBarney LLC	02/11/09		3,710.21	3,343.58		366.63
	66	acted as your agent	02/12/09		5,210.08	4,556.52		653.56
	23	in this transaction.	04/20/09		1,815.63	1,473.67		341.96
125000890	10	CHUBB CORP	09/21/07	02/09/10	483.81	524.38	(40.57)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						
125000900	19	CHUBB CORP	09/21/07	02/10/10	918.81	996.31	(77.50)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						
125000910	4	CHUBB CORP	09/21/07	02/17/10	199.64	209.75	(10.11)	
	9	MorganStanley SmithBarney LLC	12/03/07		449.18	493.97	(44.79)	
		acted as your agent						
		in this transaction.						
125000920	1	CHUBB CORP	12/03/07	02/18/10	50.64	54.89	(4.25)	
	15	MorganStanley SmithBarney LLC	02/29/08		759.53	768.96	(9.43)	
		acted as your agent						
		In this transaction.						
125000930	8	CHUBB CORP	04/16/08	02/19/10	410.10	400.62		9.48
	3	MorganStanley SmithBarney LLC	05/07/08		153.79	160.90	(7.11)	
		acted as your agent						
		In this transaction.						
125000940	6	CHUBB CORP	05/07/08	02/22/10	306.46	321.80	(15.34)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						



Ref: 00000125 00016234

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000950	17	CHUBB CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/07/08	02/23/10	\$ 866.59	\$ 911.77	(\$ 45.18)	
125000960	9	CHUBB CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/07/08	03/16/10	452.79	482.70	(29.91)	
125000970	7	CHUBB CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/07/08	04/07/10	361.15	375.43	(14.28)	
125000980	5	CHUBB CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/31/09	09/16/10	287.39	230.64		56.75
125001220	31	CONOCOPHILLIPS MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09	07/07/10	1 566.05	1,276.81		289.24
125001230	23	CONOCOPHILLIPS MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09	07/14/10	1,216.10	947.31		268.79
125001240	8 79 15 35 31 16 78	CONOCOPHILLIPS MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/02/09 07/07/09 07/23/09 07/27/09 07/28/09 08/03/09 08/14/09	09/16/10	442.09 4,365.62 828.92 1,934.14 1,713.09 884.18 4,310.35	329.50 3,151.44 660.13 1,581.32 1,380.95 715.80 3,390.13		112.59 1,214.18 168.79 352.82 332.14 168.38 920.22
125001260	28 29 58 32 39	CORNING INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/05/09 08/17/09 08/18/09 09/01/09 09/02/09	09/16/10	475.77 492.76 985.52 543.73 662.68	465.30 442.85 915.29 478.04 589.67		10.47 49.91 70.23 65.69 73.01



Ref: 00000125 00016235

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001280	62	DELL INC	10/21/08	02/22/10	\$ 831.16	\$ 799.00		\$ 32.16
	35	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/30/08		469.20	429.39		39.81
125001320	7	DEVRY INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/20/08	08/17/10	270.69	318.54	(47.85)	
125001330	3	DEVRY INC (DEL) MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/20/08	08/31/10	114.53	136.51	(21.98)	
125001370	11	EDISON INTERNATIONAL	12/03/08	09/16/10	372.02	346.75		25.27
	15	MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/11/08		507.30	480.37		26.93
	19	acted as your agent in this transaction.	12/23/08		642.58	588.18		54.40
	9		01/29/09		304.38	299.21		5.17
	25		02/04/09		845.52	819.48		26.04
125001690	2	GILEAD SCIENCES INC	09/22/08	03/16/10	94.87	91.08		3.79
	9	MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/23/08		426.92	406.92		20.00
	14		09/29/08		664.10	649.47		14.63
	7		10/08/08		332.05	287.77		44.28
125001700	4	GILEAD SCIENCES INC	10/08/08	03/17/10	188.40	164.44	(17.50)	23.96
	17	MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/17/08		800.68	818.18		
125001710	5	GILEAD SCIENCES INC	12/17/08	03/18/10	235.74	240.64	(4.90)	
	9	MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/12/09		424.33	427.59	(3.26)	
	6		01/14/09		282.88	286.70	(3.82)	
125001720	9	GILEAD SCIENCES INC	01/14/09	03/25/10	414.29	430.06	(15.77)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001730	22	GILEAD SCIENCES INC	01/14/09	03/26/10	1,000.12	1,051.24	(51.12)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						

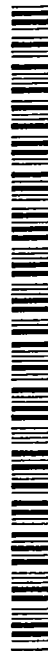


Ref: 00000125 00016236

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001740	17	GILEAD SCIENCES INC	01/14/09	04/05/10	\$ 780.80	\$ 812.33	(\$ 31.53)	
	19	MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/21/09		872.66	925.58	(52.92)	
125001750	12	GILEAD SCIENCES INC	01/21/09	04/14/10	551.51	584.58	(33.07)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001760	23	GILEAD SCIENCES INC	01/21/09	04/23/10	950.10	1,120.45	(170.35)	
	43	MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/03/09		1,776.27	2,239.48	(463.21)	
125001770	26	GILEAD SCIENCES INC	02/03/09	04/28/10	1,055.93	1,354.11	(298.18)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001810	6	GOLDMAN SACHS GROUP INC	07/10/09	07/30/10	912.30	853.58		58.72
	7	MorganStanley SmithBarney LLC	07/17/09		1,064.35	1,095.63	(31.28)	
	5	acted as your agent	07/20/09		760.25	794.84	(34.59)	
	3	in this transaction.	07/21/09		456.15	475.35	(19.20)	
125001820	14	GOLDMAN SACHS GROUP INC	07/21/09	08/02/10	2,137.26	2,218.31	(81.05)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001830	6	GOLDMAN SACHS GROUP INC	07/21/09	08/10/10	923.99	950.71	(26.72)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125001840	10	GOLDMAN SACHS GROUP INC	07/21/09	08/11/10	1,500.26	1,584.51	(84.25)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125002030	34	HEWLETT PACKARD CO	08/11/09	09/02/10	1,340.39	1,476.43	(136.04)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						



Ref. 00000125 00016237

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002040	4	ITT EDUCATIONAL SERVICES INC	10/23/08	09/16/10	\$ 243.78	\$ 301.81	(\$ 58.03)	
	5	MorganStanley SmithBarney LLC	10/29/08		304.72	421.31	(116.59)	
	4	acted as your agent	10/30/08		243.78	330.71	(86.93)	
	3	In this transaction.	11/07/08		182.83	257.01	(74.18)	
	3		11/12/08		182.83	257.93	(75.10)	
	3		11/18/08		182.83	243.51	(60.68)	
	6		12/03/08		365.66	543.90	(178.24)	
	4		12/05/08		243.78	351.52	(107.74)	
	3		12/11/08		182.83	256.61	(73.78)	
	5		12/23/08		304.72	443.84	(139.12)	
	7		01/12/09		426.61	692.00	(265.39)	
	6		01/21/09		365.66	658.58	(292.92)	
	2		02/13/09		121.89	249.88	(127.99)	
	9		03/18/09		548.49	945.15	(396.66)	
	4		04/06/09		243.77	450.85	(207.08)	
125002080	4	INGRAM MICRO INC CLASS A	08/21/09	09/16/10	63.65	66.85	(3.20)	
	17	MorganStanley SmithBarney LLC	08/25/09		270.50	285.95	(15.45)	
		acted as your agent						
		In this transaction						
125002090	53	INTL BUSINESS MACHINES CORP	07/02/09	09/16/10	6,872.99	5,427.39		1,445.60
	50	MorganStanley SmithBarney LLC	07/07/09		6,483.95	5,040.72		1,443.23
	23	acted as your agent	07/09/09		2,982.61	2,341.74		640.87
		In this transaction.						
125002320	13	LINEAR TECHNOLOGY CORPORATION	08/05/09	09/16/10	409.49	356.02		53.47
	17	MorganStanley SmithBarney LLC	08/18/09		535.49	446.11		89.38
		acted as your agent						
		In this transaction.						
125002450	24	MEDCO HEALTH SOLUTIONS INC	07/31/09	08/02/10	1,148.41	1,279.46	(131.05)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction						
125002470	19	MEDCO HEALTH SOLUTIONS INC	08/18/09	09/16/10	892.86	1,036.47	(143.61)	
	15	MorganStanley SmithBarney LLC	08/21/09		704.89	835.06	(130.17)	
	9	acted as your agent	08/25/09		422.94	507.78	(84.84)	
	11	In this transaction.	08/31/09		516.92	606.69	(89.77)	
125002850	1	NETFLIX INC	03/03/09	09/16/10	141.39	36.31		105.08
	6	MorganStanley SmithBarney LLC	03/05/09		848.35	227.34		621.01
	6	acted as your agent	03/16/09		848.35	238.38		609.97
		In this transaction.						

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00018238

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002890	11	NORTHROP GRUMMAN CORP	07/28/09	09/16/10	\$ 634.25	\$ 481.86		\$ 152.39
	13	MorganStanley SmithBarney LLC	07/31/09		749.57	585.20		164.37
	9	acted as your agent	08/18/09		518.93	424.02		94.91
	8	in this transaction	09/14/09		461.27	392.60		68.67
125002900	8	OMNICARE INC	02/03/09	08/10/10	159.59	226.51	(66.92)	
	6	MorganStanley SmithBarney LLC	02/12/09		119.70	168.36	(48.66)	
		acted as your agent						
		in this transaction.						
125002910	5	OMNICARE INC	02/12/09	08/11/10	99.45	140.30	(40.85)	
	8	MorganStanley SmithBarney LLC	02/13/09		159.12	232.60	(73.48)	
	2	acted as your agent	03/03/09		39.78	44.49	(4.71)	
		in this transaction.						
125002920	7	OMNICARE INC	03/03/09	08/17/10	139.21	155.70	(16.49)	
	7	MorganStanley SmithBarney LLC	03/05/09		139.21	159.32	(20.11)	
		acted as your agent						
		in this transaction.						
125002930	2	OMNICARE INC	03/05/09	08/31/10	38.72	45.52	(6.80)	
	9	MorganStanley SmithBarney LLC	03/13/09		174.22	222.31	(48.09)	
	3	acted as your agent	05/12/09		58.07	85.19	(27.12)	
		in this transaction.						
125002940	16	OMNICARE INC	05/12/09	09/16/10	344.63	454.33	(109.70)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125003040	28	PHILIP MORRIS INTL INC	07/02/09	09/16/10	1,540.62	1,217.47		323.15
	54	MorganStanley SmithBarney LLC	07/09/09		2,971.19	2,298.23		672.96
	8	acted as your agent	07/15/09		440.18	345.97		94.21
		in this transaction.						
125003230	44	PUBLIC SERVICE ENTERPRISE GRP	03/13/09	09/16/10	1,386.06	1,080.17		305.89
	15	MorganStanley SmithBarney LLC	03/31/09		472.52	442.64		29.88
	9	acted as your agent	04/30/09		283.52	267.08		16.44
		in this transaction.						
125003270	7	RAYTHEON COMPANY NEW	07/07/09	09/16/10	319.28	297.68		21.60
	11	MorganStanley SmithBarney LLC	07/09/09		501.73	463.71		38.02
		acted as your agent						
		in this transaction.						



Ref: 00000125 00016239

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003360	11	ROVI CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/26/09	09/16/10	\$ 473.10	\$ 248.75		\$ 224.35
125003470	5 7 4	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/02/08 09/08/08 09/11/08	02/19/10	244.65 342.51 195.73	290.08 398.94 229.77	(45.43) (56.43) (34.04)	
125003480	3 8 1	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/11/08 09/18/08 10/01/08	02/22/10	146.67 391.11 48.89	172.32 414.00 50.88	(25.65) (22.89) (1.99)	
125003490	14	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/01/08	05/07/10	655.50	712.28	(56.78)	
125003500	2 9 8	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/01/08 10/16/08 10/21/08	05/11/10	94.66 425.96 378.62	101.75 344.49 332.81	(7.09)	81.47 45.81
125003510	2 9 2	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/21/08 10/23/08 10/30/08	05/21/10	91.62 412.31 91.63	83.20 352.48 82.57		8.42 59.83 9.05
125003520	6 7	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/30/08 12/22/08	05/25/10	267.16 311.69	247.72 285.01		19.44 26.68
125003530	6 5	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/22/08 12/23/08	05/26/10	271.52 226.27	244.30 199.78		27.22 26.49
125003540	3	SEMPRA ENERGY MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/23/08	06/02/10	135.34	119.86		15.48

2 0 1 0 Y E A R E N D S U M M A R Y



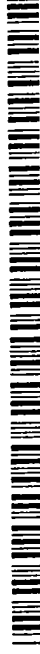
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CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003740	1	STRAYER EDUCATION INC	11/18/08	02/17/10	\$ 214.18	\$ 218.96	(\$ 4.78)	
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/03/08		214.18	217.69	(3.51)	
125003800	4	SYNAPTICS INC	11/13/08	01/06/10	129.08	80.84		48.24
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003860	8	TORCHMARK CORP	04/23/08	05/11/10	424.82	497.72	(72.90)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003870	1	TORCHMARK CORP	04/23/08	05/17/10	51.05	62.21	(11.16)	84.12
	6	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/16/08		306.32	222.20		27.62
	2		10/21/08		102.11	74.49		
125003880	8	TORCHMARK CORP	10/21/08	05/25/10	387.00	297.98		89.02
	2	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/23/08		96.75	71.93		24.82
125003890	7	TORCHMARK CORP	10/23/08	05/26/10	354.19	251.76		102.43
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/29/08		50.60	38.42		12.18
125003900	7	TORCHMARK CORP	10/29/08	05/28/10	362.42	268.95		93.47
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003910	3	TORCHMARK CORP	10/29/08	06/08/10	147.78	115.26		32.52
	4	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/30/08		197.05	157.71		39.34
125003920	4	TORCHMARK CORP	10/30/08	06/11/10	205.36	157.71		47.65
	2	MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/07/08		102.68	83.00		19.68



Ref: 00000125 00016241

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003930	4	TORCHMARK CORP	11/07/08	06/23/10	\$ 204.22	\$ 165.99		\$ 38.23
	2	MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/01/08		102.11	68.52		33.59
125003940	5	TORCHMARK CORP	12/01/08	06/29/10	256.00	171.30		84.70
	1	MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/19/09		51.20	25.98		25.22
125003950	7	TORCHMARK CORP	02/19/09	07/09/10	361.06	181.83		179.23
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125003960	16	TRAVELERS COMPANIES INC	11/30/07	09/16/10	842.72	850.53	(7.81)	
	11	MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/03/07		579.37	587.99	(8.62)	
	9		01/12/09		474.03	373.68		100.35
125004030	30	UNITEDHEALTH GROUP INC	07/08/09	09/16/10	1,025.68	733.70		291.98
	34	MorganStanley SmithBarney LLC acted as your agent in this transaction.	07/15/09		1,162.44	824.50		337.94
	31		07/27/09		1,059.87	852.52		207.35
	19		07/28/09		649.60	551.07		98.53
	11		07/31/09		376.08	308.68		67.40
125004070	15	UNUM GROUP	11/07/08	07/30/10	335.41	247.85		87.56
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125004160	10	WELLPOINT INC	06/10/09	09/16/10	545.19	459.46		85.73
	12	MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/12/09		654.23	558.63		95.60
	23		07/02/09		1,253.94	1,149.09		104.85
	22		07/07/09		1,199.42	1,134.84		64.58
	13		07/15/09		708.74	645.75		62.99
Total					\$ 142,326.54	\$ 127,433.31	(\$ 6,262.82)	\$ 21,156.45

2 0 1 0 Y E A R E N D S U M M A R Y



Ref. 00000125 00016248

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	1,000	STARLIMS TECHNOLOGIES LTD ESCROW RECEIPT ISSUED FOR NON-TRANSFERRABLE SHARES	07/07/08	07/01/10		6,190.70	(6,190.70)	
125000020	1,200	CASCAL NV	06/24/09	07/15/10	8,100.00	4,481.40		3,618.60
125000030	500	CHINA GENGSHENG MINERALS INC	03/05/08	12/30/10	2,251.66	1,875.00		376.66
	1,550	SBX = H1 SBX CONNECTIVITY BUSINESS	03/12/08		6,980.15	5,580.00		1,400.15
125000040	1,700	EFJOHNSON TECHNOLOGIES INC	12/17/07	08/12/10	2,550.00	4,889.88	(2,339.88)	
125000050	600	IMAX CORPORATION CAD CGMI AND/OR ITS AFFILIATES	09/28/07	03/05/10	8,162.95	2,514.84		5,648.11
125000060	800	IMAX CORPORATION CAD CGMI AND/OR ITS AFFILIATES	09/28/07	05/12/10	15,443.57	3,353.12		12,090.45
125000070	200	IMAX CORPORATION CAD CGMI AND/OR ITS AFFILIATES	09/28/07	05/18/10	3,970.67	838.28		3,132.39

E N D S U M M A R Y



Ref: 00000125 00016249

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
25000080	300	IMAX CORPORATION CAD CGMI AND/OR ITS AFFILIATES TRADE AS OF 11/22/10	09/28/07	11/22/10	\$ 7,491.95	\$ 1,257.42		\$ 6,234.53
125000090	300	IMAX CORPORATION CAD CGMI AND/OR ITS AFFILIATES	09/28/07	12/06/10	7,857.31	1,257.42		6,599.89
125000100	200	IMAX CORPORATION CAD SBX=H1 SBX CONNECTIVITY BUSINESS CGMI AND/OR ITS AFFILIATES	09/28/07	12/28/10	5,080.01	838.28		4,241.73
125000110	200	INTERNATIONAL ABSORBENTS INC NEW	01/24/08	05/25/10	950.00	780.00		170.00
125000120	600 100	RENESOLA LTD SBX=H1 SBX CONNECTIVITY BUSINESS	07/30/08 09/24/08	10/27/10	7,261.49 1,210.25	9,563.76 1,361.00	(2,302.27) (150.75)	
Total					\$ 77,310.01	\$ 44,781.10	(\$ 10,983.60)	\$ 43,512.51

2 0 1 0 Y E A R E

Ref: 00000125 00016276

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	139	DE LA RUE	11/16/09	09/16/10	\$ 1,483.10	\$ 2,320.95	(\$ 837.85)	
	113	ORD	11/19/09		1,205.69	1,861.56	(655.87)	
	106	GBP	11/20/09		1,131.00	1,716.07	(585.07)	
		MorganStanley SmithBarney LLC						
125000020	29	GREENLIGHT CAPITAL RE LTD	03/19/10	09/16/10	698.04	742.63	(44.59)	
	27	CLASS A	04/07/10		649.90	697.42	(47.52)	
	26	MorganStanley SmithBarney LLC	06/17/10		625.83	659.29	(33.46)	
	14	acted as principal	06/18/10		336.99	360.74	(23.75)	
	13		06/21/10		312.92	340.96	(28.04)	
125000130	13	BOK FINL CORP NEW	03/11/10	09/16/10	562.91	604.49	(41.58)	
	18	MorganStanley SmithBarney LLC	03/12/10		779.42	842.89	(63.47)	
		acted as principal in this transaction.						
125000160	7	BLACKROCK INC	04/09/10	07/13/10	1,099.10	1,439.66	(340.56)	
	8	MorganStanley SmithBarney LLC	05/21/10		1,256.12	1,313.24	(57.12)	
		acted as your agent in this transaction.						
125000180	210	CB RICHARD ELLIS GROUP CL A	02/19/10	09/16/10	3,767.35	2,828.64		938.71
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction.						
125000300	50	DREAMWORKS ANIMATION, INC CL A	06/24/10	09/16/10	1,598.03	1,417.53		180.50
	53	MorganStanley SmithBarney LLC	07/01/10		1,693.92	1,501.61		192.31
		acted as principal in this transaction.						
125000350	110	FOREST CITY ENTERPRISES INC	03/24/10	09/16/10	1,412.77	1,515.14	(102.37)	
	106	CLASS A	04/22/10		1,361.40	1,642.57	(281.17)	
	90	MorganStanley SmithBarney LLC	05/12/10		1,155.90	1,395.00	(239.10)	
	104	acted as your agent	07/16/10		1,335.71	1,241.03		94.68
	139		08/25/10		1,785.24	1,541.08		244.16
125000360	49	FRANCO-NEVADA CORP	07/21/10	09/16/10	1,525.71	1,466.94		58.77
	43	MorganStanley SmithBarney LLC	08/06/10		1,338.89	1,372.19	(33.30)	
		acted as principal in this transaction.						

2 0 1 0 Y E A R E N D S U M M A R Y



Ref. 00000125 00016277

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000400	406	GRUPO TELEVISA SA DE CV SPON ADR MorganStanley SmithBarney LLC acted as your agent	10/23/09	09/16/10	\$ 7,709.84	\$ 8,270.22	(\$ 560.38)	
125000450	64	JARDEN CORP	03/08/10	09/16/10	1,872.62	2,188.45	(315.83)	
	54	MorganStanley SmithBarney LLC acted as your agent	06/28/10		1,580.02	1,533.11		46.91
	25	In this transaction.	07/13/10		731.49	723.37		8.12
	64		08/06/10		1,872.62	1,771.92		100.70
	39		09/01/10		1,141.13	1,080.83		60.30
125000460	72	JARDEN CORP MorganStanley SmithBarney LLC acted as your agent In this transaction.	09/16/10	09/17/10	2,116.04	2,118.97	(2.93)	
125000510	110	LENDER PROCESSING SERVICES	12/08/09	09/16/10	3,661.85	4,473.62	(811.77)	
	100	MorganStanley SmithBarney LLC acted as your agent In this transaction.	12/09/09		3,328.95	4,030.79	(701.84)	
125000520	74	LEUCADIA NATIONAL CORP	05/05/10	09/16/10	1,732.32	1,839.83	(107.51)	
	236	MorganStanley SmithBarney LLC acted as your agent In this transaction.	08/20/10		5,524.68	4,787.31		737.37
125000530	34	LIBERTY MEDIA HLDG CORP CAP	06/09/10	09/16/10	1,650.00	1,348.05		301.95
	31	SER A	06/21/10		1,504.42	1,358.95		145.47
	26	MorganStanley SmithBarney LLC acted as principal	07/13/10		1,261.77	1,174.38		87.39
	31		08/06/10		1,504.42	1,457.49		46.93
	34		08/11/10		1,650.00	1,570.86		79.14
	22		09/07/10		1,067.65	1,064.18		3.47
125000540	39	LOEWS CORP	07/15/10	09/16/10	1,437.52	1,419.35		18.17
	37	MorganStanley SmithBarney LLC acted as your agent	08/04/10		1,363.80	1,407.82	(44.02)	
	40	In this transaction.	08/10/10		1,474.38	1,514.25	(39.87)	
	37		08/19/10		1,363.80	1,356.15		7.65
	40		08/26/10		1,474.38	1,405.90		68.48
	41		09/03/10		1,511.23	1,495.39		15.84
125000680	13	SEARS HOLDINGS CORPORATION	04/28/10	09/16/10	902.32	1,553.01	(650.69)	
	17	MorganStanley SmithBarney LLC acted as principal	05/27/10		1,179.96	1,501.39	(321.43)	
	21	In this transaction.	06/17/10		1,457.60	1,631.80	(174.20)	
	18		06/23/10		1,249.37	1,332.62	(83.25)	
	26		07/01/10		1,804.65	1,704.05		100.60
	21		07/08/10		1,457.60	1,307.79		149.81



Ref. 00000125 00016278

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
21			07/19/10		\$ 1,457.60	\$ 1,303.11		\$ 154.49
27			07/20/10		1,874.06	1,686.04		188.02
18			07/28/10		1,249.37	1,250.69	(1.32)	
17			08/06/10		1,179.98	1,220.97	(40.99)	
Total					\$ 89,463.38	\$ 92,704.29	(\$ 7,270.85)	\$ 4,029.94

2010

Details of Long Term Gain (Loss) 2010

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YEAR

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000030	42	LONDON STOCK EXCHANGE GROUP PL-GBP MorganStanley SmithBarney LLC acted as your agent	11/14/07	06/28/10	\$ 379.11	\$ 1,610.12	(\$ 1,231.01)	
125000040	312	LONDON STOCK EXCHANGE GROUP PL-GBP MorganStanley SmithBarney LLC acted as your agent	11/14/07	06/30/10	2,652.26	11,960.93	(9,308.67)	
125000050	162	LONDON STOCK EXCHANGE GROUP PL-GBP MorganStanley SmithBarney LLC acted as your agent	11/14/07	07/28/10	1,662.82	6,210.48	(4,547.66)	
125000060	165	LONDON STOCK EXCHANGE GROUP PL-GBP MorganStanley SmithBarney LLC acted as your agent	11/14/07	07/29/10	1,701.43	6,325.49	(4,624.06)	
125000070	6,000 2,000	BEIJING CAPITAL INTL AIRPORT MorganStanley SmithBarney LLC acted as principal	11/14/07 02/04/08	09/16/10	2,939.95 979.98	10,353.60 2,332.00	(7,413.65) (1,352.02)	

END

SUMMARY

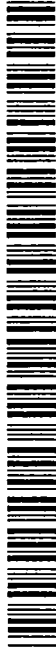


Ref: 00000125 00016279

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000080	2,000	HENDERSON LAND DEVELOPMENT CO-HKD MorganStanley SmithBarney LLC acted as principal	10/22/08	09/16/10	\$ 12,599.78	\$ 7,166.60		\$ 5,433.18
125000090	400	WTS HENDERSON LAND DEVELOPMENT CO LTD ESP DATE 06/01/2011 EXP 06/01/2011 MorganStanley SmithBarney LLC acted as principal	Unavailable	07/22/10	50.35	0		50.35
125000100	500	HONG KONG EXCHANGES AND CLEAR-HKD MorganStanley SmithBarney LLC acted as principal	11/14/07	09/16/10	8,839.85	15,431.10	(6,591.25)	
125000110	232	ALLEGHENY ENERGY INC MorganStanley SmithBarney LLC acted as your agent In this transaction.	09/24/07	09/16/10	5,289.53	12,417.22	(7,127.69)	
125000120	68 224 215	ANGLO AMERICAN PLC ADR MorganStanley SmithBarney LLC acted as principal In this transaction	08/18/08 10/30/08 04/13/09	09/16/10	1,332.78 4,390.32 4,213.93	1,769.01 2,678.35 2,309.08	(436.23)	1,711.97 1,904.85
125000140	200	BERKSHIRE HATHAWAY INC CL B MorganStanley SmithBarney LLC acted as your agent In this transaction	09/24/07	09/16/10	16,619.75	15,638.00		981.75
125000150	25	BHP BILLITON LTD SPONS ADR MorganStanley SmithBarney LLC acted as your agent	07/31/08	09/16/10	1,824.71	1,869.22	(44.51)	
125000170	635	BROOKFIELD ASSET MGMT INC VOTING SHS CL A MorganStanley SmithBarney LLC acted as your agent	09/24/07	09/16/10	17,189.21	23,564.53	(6,375.32)	
125000190	26	CME GROUP INC CLASS A MorganStanley SmithBarney LLC acted as principal	03/03/09	09/16/10	6,947.60	4,594.78		2,352.82



Ref 00000125 00016280

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000200	43	CNOOC LTD SPONS ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	09/16/10	\$ 8,030.97	\$ 7,100.99		\$ 929.98
125000210	59	CARNIVAL CORP (PAIRED STOCK) MorganStanley SmithBarney LLC acted as your agent	08/28/08	04/20/10	2,312.34	2,214.98		97.36
125000220	19	CARNIVAL CORP (PAIRED STOCK) MorganStanley SmithBarney LLC acted as your agent	08/28/08	04/26/10	823.95	713.30		110.65
125000230	213	CARNIVAL CORP (PAIRED STOCK) MorganStanley SmithBarney LLC acted as your agent	08/28/08	09/16/10	7,533.72	7,996.44	(462.72)	
125000240	165 50	CENOVUS ENERGY INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07 11/12/07	09/16/10	4,443.40 1,346.49	5,028.81 1,691.68	(585.41) (345.19)	
125000250	103	CHINA LIFE INSURANCE CO LTD-SPONSORED ADR MorganStanley SmithBarney LLC acted as your agent	03/25/09	09/16/10	6,126.34	5,132.59		993.75
125000260	419	CHINA UNICOM HONG KONG LTD SPONSORED ADR MorganStanley SmithBarney LLC acted as your agent	03/30/09	09/16/10	6,361.15	4,550.26		1,810.89
125000270	62	WALT DISNEY CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/21/08	03/04/10	2,007.20	1,238.42		768.78
125000280	39	WALT DISNEY CO MorganStanley SmithBarney LLC acted as your agent in this transaction	11/21/08	06/04/10	1,321.22	779.01		542.21



Ref: 00000125 00016281

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000290	90	WALT DISNEY CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/21/08	06/18/10	\$ 3,171.29	\$ 1,797.70		\$ 1,373.59
125000310	412	EL PASO CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	09/16/10	4,923.35	7,102.88	(2,179.53)	
125000320	26	ENCANA CORP-CAD MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	04/26/10	851.49	841.43		10.06
125000330	139 50	ENCANA CORP-CAD MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07 11/12/07	06/29/10	4,302.68 1,547.72	4,498.44 1,796.32	(195.76) (248.60)	
125000340	194	FEDERAL NATIONAL MORTGAGE ASSN MorganStanley SmithBarney LLC acted as principal in this transaction.	01/04/08	09/16/10	54.89	6,623.76	(6,568.87)	
125000370	69	GAZPROM OAO SPONS ADR MorganStanley SmithBarney LLC acted as principal in this transaction.	09/24/07	05/17/10	1,426.89	3,046.35	(1,619.46)	
125000380	215	GAZPROM OAO SPONS ADR MorganStanley SmithBarney LLC acted as principal in this transaction.	09/24/07	09/16/10	4,474.07	9,492.25	(5,018.18)	
125000390	84	GENZYME CORP MorganStanley SmithBarney LLC acted as principal in this transaction.	04/27/09	09/16/10	5,899.22	4,594.46		1,304.76
125000410	213	HUANENG POWER INTL SP ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	05/17/10	4,865.02	10,309.50	(5,444.48)	



Ref: 00000125 00016282

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000420	110	HUANENG POWER INTL SP ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	06/03/10	\$ 2,319.29	\$ 5,324.15	(\$ 3,004.86)	
125000430	105 65	ICICI BANK LTD-SPONS ADR- INR MorganStanley SmithBarney LLC acted as your agent	09/24/07 06/18/09	09/16/10	4,969.67 3,076.46	5,384.85 1,882.80	(415.18)	1,193.66
125000440	330	IMPERIAL OIL LTD NEW MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	09/16/10	12,490.31	16,502.05	(4,011.74)	
125000470	46	LEGG MASON INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	07/08/10	1,318.95	3,822.97	(2,504.02)	
125000480	37	LEGG MASON INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	07/20/10	1,012.04	3,074.99	(2,062.95)	
125000490	35 65	LEGG MASON INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07 10/16/08	07/28/10	1,023.06 1,899.96	2,908.78 1,312.22	(1,885.72)	587.74
125000500	49	LEGG MASON INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/16/08	08/03/10	1,431.84	989.21		442.63
125000520	234	LEUCADIA NATIONAL CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	09/16/10	5,477.87	11,002.54	(5,524.67)	
125000550	64 60 109 125	MARKET VECTORS ETF TR GAMING ETF MorganStanley SmithBarney LLC acted as your agent	03/13/09 04/29/09 05/08/09 05/21/09	09/16/10	1,744.74 1,635.70 2,971.52 3,407.70	963.44 R 1,161.22 R 2,420.20 R 2,650.46 R		781.30 474.48 551.32 757.24

2 0 1 0 Y E A R E N D S U M M A R Y



Ref. 00000125 00016283

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000560	12	MASTERCARD INC	10/16/08	09/16/10	\$ 2,541.43	\$ 1,768.57		\$ 772.86
	16	MorganStanley SmithBarney LLC acted as your agent in this transaction.	02/24/09		3,388.58	2,543.73		844.85
125000570	270	NYSE EURONEXT MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	09/16/10	8,072.89	21,290.93	(13,218.04)	
125000580	365	NASDAQ OMX GROUP INC MorganStanley SmithBarney LLC acted as principal in this transaction.	09/24/07	09/16/10	7,066.32	13,202.05	(6,135.73)	
125000590	16	PHILIP MORRIS INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/22/09	05/17/10	736.14	650.39		85.75
125000600	57	PHILIP MORRIS INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/22/09	07/07/10	2,679.26	2,317.00		362.26
125000610	26	PHILIP MORRIS INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/22/09	08/10/10	1,362.25	1,056.88		305.37
125000620	29	PHILIP MORRIS INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/22/09	08/18/10	1,533.64	1,178.82		354.82
125000630	50	PHILIP MORRIS INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/22/09	08/26/10	2,556.67	2,032.45		524.22
125000640	53	PHILIP MORRIS INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/22/09	09/07/10	2,851.54	2,154.40		697.14



Ref: 00000125 00016284

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000650	27	PHILIP MORRIS INTL INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/22/09	09/14/10	\$ 1,483.90	\$ 1,097.53		\$ 386.37
125000660	860	RRI ENERGY INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	09/24/07	09/16/10	3,061.63	22,553.16	(19,491.53)	
125000670	20	RIO TINTO PLC-GBP MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/05/08	07/08/10	936.19	1,853.21	(917.02)	
125000690	37	TIME WARNER INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/26/08	06/22/10	1,170.87	1,238.19	(67.32)	
125000700	53	TIME WARNER INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/26/08	08/04/10	1,730.27	1,773.62	(43.35)	
125000710	43	TIME WARNER INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/26/08	08/17/10	1,335.61	1,438.98	(103.37)	
125000720	88	TIME WARNER INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/26/08	08/19/10	2,702.39	2,944.89	(242.50)	
125000730	68	TIME WARNER INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/26/08	09/01/10	2,102.60	2,275.59	(172.99)	
125000740	72	TIME WARNER CABLE INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/26/08	03/25/10	3,684.21	3,384.80		299.41

2 0 1 0 Y E A R E N D S U M M A R Y



Ref. 00000125 00016285

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000750	58	VORNADO REALTY TR SBI MorganStanley SmithBarney LLC acted as your agent in this transaction	03/25/09	09/16/10	\$ 4,963 55	\$ 2,053 74		\$ 2,909 81
Total					\$ 262,175 81	\$ 360,988 89	(\$ 131,521 26)	\$ 32, 708

Ref: 00000125 00016260

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010

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Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000070	68	BED BATH & BEYOND CGMI AND/OR ITS AFFILIATES	01/26/10	06/08/10	\$ 2,911 99	\$ 2,678 23		\$ 233 76
125000080	335	BED BATH & BEYOND CGMI AND/OR ITS AFFILIATES	01/26/10	09/24/10	14,555 80	13,194 25		1,361.55
125000190	.0778	FRONTIER COMMUNICATIONS CORP CASH IN LIEU OF .34753 RECORD 06/07/10 PAY 07/01/10 FROM: 92343V104000 (SPINOFF)	06/08/10	07/02/10	57	56		01
125000200	37.1285	FRONTIER COMMUNICATIONS CORP	06/08/10	08/03/10	285.75	265.66		20 09
125000210	35	GENZYME CORP CGMI AND/OR ITS AFFILIATES	06/08/10	09/24/10	2,501 24	1,674 01		827.23
125000220	69	GENZYME CORP CGMI AND/OR ITS AFFILIATES	06/08/10	10/04/10	4,883.52	3,300.20		1,583 32
125000320	64	QUALCOMM INC CGMI AND/OR ITS AFFILIATES	06/08/10	09/24/10	2,872.53	2,255 54		616.99
125000370	3	VERIZON COMMUNICATIONS	06/08/10	09/24/10	97 41	77.94		19 47
Total					\$ 28,108 81	\$ 23,446.39		\$ 4,662 42

Details of Long Term Gain (Loss) 2010

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Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	511	AT&T INC	09/20/07	09/24/10	\$ 14,620.48	\$ 21,487 55	(\$ 6,867 07)	
	58		09/09/08		1,659.47	1,889.00	(229.53)	
	27		06/23/09		772 51	666 09		106 42
125000020	96	AMERICAN TOWER CORP-CLASS A	09/20/07	06/08/10	4,052 20	4,014 36		37 84
125000030	360	AMERICAN TOWER CORP-CLASS A	09/20/07	09/24/10	18,612.72	15 053 86		3,558 86

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016261

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000040	256	AMGEN INC	10/28/08	09/24/10	\$ 14,370.06	\$ 14,323.89		\$ 46.17
14		CGMI AND/OR ITS AFFILIATES	06/23/09		785.86	716.43		69.43
125000030	100	AUTODESK INC	09/20/07	06/08/10	2,628.13	4,939.00	(2,310.87)	
		CGMI AND/OR ITS AFFILIATES						
125000060	418	AUTODESK INC	09/20/07	09/24/10	13,376.98	20,645.02	(7,268.04)	
124		CGMI AND/OR ITS AFFILIATES	09/09/08		3,968.29	4,238.63	(270.34)	
35			10/28/08		1,120.08	714.59		405.49
125000090	3	BEST BUY INC	09/20/07	06/08/10	116.12	139.44	(23.32)	
125000100	332	BEST BUY INC	09/20/07	09/24/10	13,170.51	15,431.36	(2,260.85)	
41			10/28/08		1,626.48	888.16		738.32
125000110	257	CELGENE CORP	10/28/08	09/24/10	14,985.64	14,331.99		653.65
25		CGMI AND/OR ITS AFFILIATES	06/23/09		1,457.75	1,174.50		283.25
125000120	46	CISCO SYS INC	09/20/07	06/08/10	1,056.15	1,483.96	(427.81)	
		CGMI AND/OR ITS AFFILIATES						
125000130	615	CISCO SYS INC	09/20/07	09/24/10	13,672.69	19,839.90	(6,167.21)	
		CGMI AND/OR ITS AFFILIATES						
125000140	172	COACH INC	10/28/08	06/08/10	6,846.19	2,833.15		4,013.04
125000150	367	COACH INC	10/28/08	09/24/10	15,601.96	6,045.15		9,556.81
125000160	8	COACH INC	10/28/08	11/08/10	422.91	131.77		291.14
125000170	25	COSTCO WHOLESALE CORP NEW	10/28/08	06/08/10	1,416.50	1,316.06		100.44
		CGMI AND/OR ITS AFFILIATES						
125000180	245	COSTCO WHOLESALE CORP NEW	10/28/08	09/24/10	15,597.43	12,897.36		2,700.07
16		CGMI AND/OR ITS AFFILIATES	06/23/09		1,018.61	721.73		296.88
125000190	.2522	FRONTIER COMMUNICATIONS CORP	09/09/08	07/02/10	1.86	2.31	(.45)	
.0175		CASH IN LIEU OF .34753	06/23/09		.13	14	(.01)	
		RECORD 06/07/10 PAY 07/01/10						
		FROM: 92343V104000 (SPINOFF)						
125000200	120,4877	FRONTIER COMMUNICATIONS CORP	09/09/08	08/03/10	927.29	1,101.45	(174.16)	
8,3838			06/23/09		64.52	66.19	(1.67)	
125000210	217	GENZYME CORP	10/28/08	09/24/10	15,507.64	14,554.80		952.84
83		CGMI AND/OR ITS AFFILIATES	06/23/09		5,931.49	4,563.56		1,367.93
125000230	85	INTEL CORP	09/20/07	06/08/10	1,712.19	2,205.75	(493.56)	
		CGMI AND/OR ITS AFFILIATES						
125000240	700	INTEL CORP	09/20/07	09/24/10	13,602.17	18,165.00	(4,562.83)	
		CGMI AND/OR ITS AFFILIATES						
125000250	2	INTL BUSINESS MACHINES CORP	09/09/08	06/08/10	247.84	231.15		16.69

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016262

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000260	118	INTL BUSINESS MACHINES CORP	09/09/08	09/24/10	\$ 15,779.16	\$ 13,637.98		\$ 2,141.18
125000270	74	LOWES COMPANIES INC	09/20/07	06/08/10	1,728.09	2,306.58	(578.49)	
125000280	601	LOWES COMPANIES INC	09/20/07	09/24/10	13,378.03	18,733.17	(5,355.14)	
125000290	30	NIKE INC CL B	10/28/08	06/08/10	2,108.34	1,404.13		704.21
125000300	212	NIKE INC CL B	10/28/08	09/24/10	17,096.62	9,922.51		7,174.11
125000310	699	ORACLE CORP CGMI AND/OR ITS AFFILIATES	09/20/07	09/24/10	18,761.47	14,727.93		4,033.54
125000320	371	QUALCOMM INC CGMI AND/OR ITS AFFILIATES	09/20/07	09/24/10	16,651.72	15,066.31		1,585.41
125000330	112	RESEARCH IN MOTION LTD-CAD	09/20/07	09/24/10	5,433.12	10,123.68	(4,690.56)	
125000340	115	CGMI AND/OR ITS AFFILIATES	10/28/08		5,578.66	4,760.11		818.55
125000350	1	RESEARCH IN MOTION LTD-CAD CGMI AND/OR ITS AFFILIATES	10/28/08	11/08/10	56.04	41.39		14.65
125000360	64	TARGET CORP	09/20/07	06/08/10	3,358.10	4,195.52	(837.42)	
125000370	276	TARGET CORP	09/20/07	09/24/10	15,232.73	18,093.18	(2,860.45)	
125000380	503	VERIZON COMMUNICATIONS	09/09/08	09/24/10	16,333.80	16,695.60	(361.80)	
125000390	35	VERIZON COMMUNICATIONS	06/23/09		1,136.55	1,003.25		133.30
125000400	435	WALGREEN CO NEW	09/20/07	01/26/10	15,758.98	19,762.05	(4,003.07)	
125000410	83		10/15/07		3,006.89	3,209.61	(202.72)	
125000420	39		10/28/08		1,412.87	861.90		550.97
Total					\$ 353,762.02	\$ 361,358.20	(\$ 49,947.37)	\$ 42,351.19

2 0 1 0 Y E A R E N D S

Ref. 00000125 00016254

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000050	473.934	TCW TOTAL RETURN BOND FUND CLASS N	09/30/10	12/22/10	\$ 5,000.00	\$ 5,056.88	(\$ 56.88)	
		CONFIRM #500003560141235						
Total					\$ 5,000.00	\$ 5,056.88	(\$ 56.88)	

Details of Long Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	103.722	LOOMIS SAYLES BOND FUND INSTL CLASS	09/25/07	01/20/10	\$ 1,415.81	\$ 1,514.34	(\$ 98.53)	
125000020	107.534	LOOMIS BOND FUND INST'L CLASS	09/25/07	04/19/10	1,502.25	1,570.00	(\$ 67.75)	
		CONFIRM #500001090062400						



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ref: 00000125 00016255

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference Number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
25000030	110.838	LOOMIS BOND FUND INST'L CLASS CONFIRM #500002000059510	09/25/07	07/19/10	\$ 1,519.59	\$ 1,618.23	(\$ 98.64)	
25000040	1,408.451	LOOMIS BOND FUND INST'L CLASS CONFIRM #500002730110351	09/25/07	09/30/10	20,000.00	20,563.39	(563.39)	
25000060	1,459.854	WESTERN ASSET CORE PLUS BOND FUND CL I CONFIRM #500002730110377	09/25/07	09/30/10	16,000.00	14,948.90		1,051.10
Total					\$ 40,437.65	\$ 40,214.86	(\$ 828.31)	\$ 1,051.10

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Ref. 00000125 00016294

CHARLES W ROSENBAUM FOUNDATION

Details of Short Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	42 826	OPPENHEIMER DEVELOPING MKTS CL Y FDS CONFIRM #500003610115999	10/04/10	12/27/10	\$ 1,500 00	\$ 1,434 36		\$ 65 64
Total					\$ 1,500 00	\$ 1,434 36		\$ 65 64



S U M M A R Y

Ref 00000125 00016156

CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	105	DEUTSCHE BANK-EUR	12/18/09	09/24/10	\$ 5 806.79	\$ 7,521.83	(\$ 1 715.04)	
	5	MorganStanley SmithBarney LLC	12/29/09		276.51	365.84	(89.33)	
	85	acted as your agent in this transaction.	08/24/10		4,700.73	5 400.24	(699.51)	
125000150	15	ASTELLAS PHARMA INC-JPY	06/04/10	09/24/10	545.84	482.65		63.19
	105	MorganStanley SmithBarney LLC	06/29/10		3 820.88	3,579.61		241.27
	65	acted as your agent in this transaction.	06/30/10		2 365.31	2,210.79		154.52
125000210	10	BASF SE COMMON STOCK	05/13/09	03/19/10	606.21	398.92		207.29
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction						
125000220	75	BP PLC SPONS ADR	10/02/09	09/24/10	2,881.46	3,860.73	(979.27)	
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction						

E N D S U M M A R Y



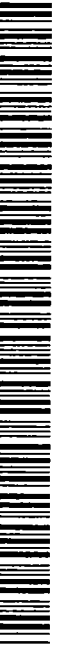
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CHARLES W ROSENBAUM

Details of Short Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000290	.1764	CEMEX S.A.B DE C.V SPONS	11/17/09	06/09/10	\$ 1.95	\$ 1.98	(\$.03)	
	.0047	ADR NEW	11/27/09		.05	.05		
	.0047	CASH IN LIEU OF .20000	04/15/10		.05	.05		
	.0047	RECORD 06/04/10 PAY 06/09/10	04/22/10		.05	.05		
	.0095		05/17/10		.11	.10		.01
125000300	1,100	CEMEX S.A.B DE C.V SPONS	11/17/09	09/24/10	9,504.82	12,344.75	(2,839.93)	
		ADR NEW						
		MorganStanley SmithBarney LLC						
		acted as your agent						
125000340	280	ENI SPA SPONSORED ADR	02/26/10	09/24/10	11,886.13	12,611.20	(725.07)	
	125	MorganStanley SmithBarney LLC	03/22/10		5,306.31	5,762.85	(456.54)	
		acted as your agent						
		In this transaction.						
125000610	15	PETROLEO BRASILEIRO SA ADR	06/29/10	09/24/10	466.68	447.68		19.00
	120	MorganStanley SmithBarney LLC	07/16/10		3,733.44	3,637.62		95.82
	260	acted as your agent	08/13/10		8,089.11	8,154.98	(65.87)	
		In this transaction						
125000750	70	SWISS REINSURANCE SPON ADR	11/10/09	09/24/10	3,121.95	3,305.61	(183.66)	
	10	MorganStanley SmithBarney LLC	11/30/09		445.99	476.50	(30.51)	
	20	acted as your agent	12/18/09		891.98	958.13	(66.15)	
	5	In this transaction	02/12/10		222.99	204.58		18.41
125000790	3	TNT N V SPONSORED ADR-USD	07/31/09	03/23/10	84.56	74.69		9.87
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction						
125000910	220	TOTAL S.A SPONS ADR	03/22/10	09/24/10	11,255.56	12,520.53	(1,264.97)	
	180	MorganStanley SmithBarney LLC	04/16/10		9,209.09	10,454.82	(1,245.73)	
		acted as your agent						
		In this transaction.						
125000920	125	TOYOTA MOTOR CORP ADR NEW	11/16/09	09/24/10	9,108.84	9,884.65	(775.81)	
	5	MorganStanley SmithBarney LLC	02/19/10		364.35	365.75	(1.40)	
	125	acted as your agent	05/17/10		9,108.85	9,539.15	(430.30)	
		In this transaction						
Total					\$ 103,806.59	\$ 114,566.33	(\$ 11,569.12)	\$ 809.38

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016158

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000020	125	TYCO ELECTRONICS LTD	01/20/06	09/24/10	\$ 3,638.85	\$ 3,845.67	(\$ 206.82) c	
	150	MorganStanley SmithBarney LLC	02/07/06		4,366.62	4,385.54	(18.92) c	
	175	acted as your agent	03/31/06		5,094.39	5,525.12	(430.73) c	
	30	In this transaction.	09/06/07		873.32	1,051.19	(177.87)	
	215		10/23/08		6,258.82	4,088.98		2,169.84
125000030	170	TYCO ELECTRONICS LTD	10/23/08	12/14/10	5,888.70	3,233.14		2,655.56
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						
125000040	600	NEC CORP-ORD	06/08/07	09/24/10	1,379.98	3,013.44	(1,633.46)	
	3,835	MorganStanley SmithBarney LLC	09/05/07		8,820.34	18,841.74	(10,021.40)	
		acted as your agent						
		In this transaction.						
125000050	360	NEC CORP-ORD	09/05/07	10/18/10	1,036.64	1,768.72	(732.08)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						
125000060	2,000	NEC CORP-ORD	09/05/07	10/25/10	5,777.90	9,826.19	(4,048.29)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						
125000070	1,680	FLEXTRONICS INTL LTD USD	08/15/08	09/24/10	9,865.80	15,848.28	(5,982.48)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		In this transaction.						
125000080	145	ACOM CO LTD-ADR-NEW	04/25/07	11/08/10	374.45	1,485.84	(1,111.39)	
	440	MorganStanley SmithBarney LLC	05/10/07		1,136.27	4,106.78	(2,970.51)	
	120	acted as your agent	05/18/07		309.90	1,058.18	(748.28)	
		In this transaction.						
125000090	1,644	AEGON N V-ADR AMER REG-ADR	11/05/04	09/24/10	10,017.38	18,676.20	(8,658.82) c	
	250	MorganStanley SmithBarney LLC	06/29/07		1,523.32	4,945.68	(3,422.36)	
	741	acted as your agent	07/18/07		4,515.13	14,330.64	(9,815.51)	
		In this transaction.						

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016159

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000100	10	AKZO NOBEL N.V.ADR-EUR MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/31/04	07/23/10	\$ 590.37	\$ 368.24		\$ 222.13 ^c
125000110	10	AKZO NOBEL N.V.ADR-EUR MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/31/04	08/03/10	608.54	368.24		240.30 ^c
125000120	110	AKZO NOBEL N.V.ADR-EUR MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/31/04	09/03/10	6,155.49	4,050.68		2,104.81 ^c
125000130	90 100 10	AKZO NOBEL N.V.ADR-EUR MorganStanley SmithBarney LLC acted as your agent in this transaction.	03/31/04 10/27/04 09/11/08	09/24/10	5,620.40 6,244.89 624.49	3,314.20 3,710.33 557.75		2,306.20 ^c 2,534.56 ^c 66.74
125000140	365 1,300 600 450	ALCATEL-LUCENT ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/30/01 06/25/02 06/28/02 03/09/05	09/24/10	1,219.81 4,344.52 2,005.16 1,503.88	5,201.80 11,535.94 4,228.08 6,098.31	(3,981.99) ^c (7,191.42) ^c (2,222.92) ^c (4,594.43) ^c	
125000160	70	ASTRAZENECA PLC SPON ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/31/07	07/26/10	3,553.43	3,722.91	(169.48)	
125000170	40	ASTRAZENECA PLC SPON ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/31/07	08/18/10	2,063.82	2,127.38	(63.56)	
125000180	10 110 160 70 160 30 10	ASTRAZENECA PLC SPON ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/31/07 06/04/07 06/15/07 07/06/07 07/24/07 11/13/07 11/27/07	09/24/10	526.70 5,793.70 8,427.20 3,686.90 8,427.20 1,580.10 526.71	531.85 5,863.32 8,239.52 3,789.68 8,855.49 1,369.50 463.84	(5.15) (69.62) (102.78) (428.29)	187.68 210.60 62.87
125000190	20 20	BASF SE COMMON STOCK MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/20/08 12/23/08	03/08/10	1,177.06 1,177.06	555.73 725.12		621.33 451.94

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016160

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000200	10	BASF SE COMMON STOCK MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/23/08	03/11/10	\$ 602.41	\$ 362.56		\$ 239.85
125000210	165 30 60	BASF SE COMMON STOCK MorganStanley SmithBarney LLC acted as your agent in this transaction.	12/23/08 01/14/09 03/04/09	03/19/10	10,002.57 1,818.65 3,637.30	5,982.24 980.73 1,632.98		4,020.33 837.92 2,004.32
125000220	10 10 10 10 110	BP PLC SPONS ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/23/09 06/25/09 06/30/09 07/02/09 07/07/09 07/08/09	09/24/10	384.19 384.19 384.19 384.19 384.19 4,226.13	469.98 461.41 478.08 477.80 457.23 4,979.60	(85.79) (77.22) (93.89) (93.61) (73.04) (753.47)	
125000230	315 385	BARCLAYS PLC-ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/17/08 06/10/08	09/24/10	6,196.76 7,573.82	11,772.02 9,812.65	(5,575.26) (2,238.83)	
125000240	80	BRITISH SKY BROADCASTING GROUP PLC SPONSORED ADR-USD- MorganStanley SmithBarney LLC acted as your agent	12/19/05	06/25/10	3,351.16	2,881.32		469.84 ^c
125000250	20	BRITISH SKY BROADCASTING GROUP PLC SPONSORED ADR-USD- MorganStanley SmithBarney LLC acted as your agent	12/19/05	06/29/10	838.47	720.33		118.14 ^c
125000260	260	BRITISH SKY BROADCASTING GROUP PLC SPONSORED ADR-USD- MorganStanley SmithBarney LLC acted as your agent	12/19/05	07/15/10	11,191.35	9,364.29		1,827.06 ^c
125000270	75 420 30 45 15 40 25	CANON INC ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/10/08 11/06/08 11/10/08 01/06/09 01/14/09 02/23/09 05/14/09	09/24/10	3,414.44 19,120.84 1,365.77 2,048.66 682.89 1,821.03 1,138.15	2,339.09 14,996.23 1,031.39 1,402.78 473.16 997.74 831.26		1,075.35 4,124.61 334.38 645.88 209.73 823.29 306.89

2010 YEAR END SUMMARY



Ref: 00000125 00016161

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000280	650	CARREFOUR SA UNSPON ADR	04/07/09	09/24/10	\$ 7,162.88	\$ 5,087.81		\$ 2,075.07
	390	MorganStanley SmithBarney LLC	04/09/09		4,297.73	3,081.16		1,216.57
	60	acted as your agent	05/13/09		661.19	486.95		174.24
	540	in this transaction	05/20/09		5,950.70	4,427.73		1,522.97
	1,265		08/27/09		13,940.06	11,493.16		2,446.90
	95		09/03/09		1,046.88	867.62		179.26
125000310	20	CENTRAIS ELETRICAS	02/18/98	09/24/10	256.46	409.09	(152.63) c	
	220	BRASILEIRAS SPON ADR	03/06/98		2,821.10	4,675.00	(1,853.90) c	
	360	MorganStanley SmithBarney LLC	05/28/98		4,616.34	5,409.16	(792.82) c	
	550	acted as your agent	09/14/98		7,052.75	4,675.00		2,377.75 c
	215		02/10/99		2,756.99	1,737.13		1,019.86 c
125000320	485	CONTAX PARTICIPACOES S A	08/30/05	04/23/10	1,198.74	223.10		975.64 c
		SPONSORED ADR						
		MorganStanley SmithBarney LLC						
		acted as your agent						
125000330	495	DEUTSCHE TELEKOM AG SP ADR	07/20/05	09/24/10	6,777.57	9,439.01	(2,661.44) c	
	500	MorganStanley SmithBarney LLC	11/23/05		6,846.03	8,457.50	(1,611.47) c	
	400	acted as your agent	02/22/06		5,476.83	6,335.72	(858.89) c	
	660	in this transaction.	01/31/07		9,036.76	11,552.57	(2,515.81)	
	30		02/16/07		410.76	538.00	(127.24)	
	115		02/23/07		1,574.60	2,088.69	(514.09)	
125000340	60	ENI SPA SPONSORED ADR	06/15/09	09/24/10	2,547.03	2,912.50	(365.47)	
	10	MorganStanley SmithBarney LLC	06/17/09		424.50	476.50	(52.00)	
		acted as your agent						
		in this transaction						
125000350	565	ERICSSON L M TEL CO CL B	03/14/07	06/15/10	6,165.29	9,909.90	(3,744.61)	
	90	ADR NEW -USD-	11/05/07		982.08	1,330.57	(348.49)	
	45	MorganStanley SmithBarney LLC	11/08/07		491.04	672.68	(181.64)	
		acted as your agent						
125000360	15	ERICSSON L M TEL CO CL B	11/08/07	06/16/10	166.07	224.22	(58.15)	
	75	ADR NEW -USD-	11/29/07		830.32	925.11	(94.79)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
125000370	445	ERICSSON L M TEL CO CL B	11/29/07	09/24/10	4,816.60	5,488.96	(672.36)	
	920	ADR NEW -USD-	01/31/08		9,957.91	10,324.47	(366.56)	
	315	MorganStanley SmithBarney LLC	02/13/08		3,409.50	3,417.86	(8.36)	
		acted as your agent						

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016162

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 -continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000380	880	FRANCE TELECOM SA SPON ADR	01/18/06	09/24/10	\$ 19,150.23	\$ 20,629.66	(\$ 1,479.43) c	
	300	MorganStanley SmithBarney LLC	02/22/06		6,528.49	6,716.76	(188.27) c	
	50	acted as your agent in this transaction.	03/22/06		1,088.08	1,178.72	(90.64) c	
125000390	180	FUJI HEAVY INDUSTRIES ADR	09/26/07	05/14/10	10,235.88	7 605.72		2,630.16
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000400	220	FUJI HEAVY INDUSTRIES ADR	09/26/07	09/24/10	12,847.78	9 295.88		3,551.90
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000410	10	FUJI HEAVY INDUSTRIES ADR	09/26/07	10/28/10	681.41	422.54		258.87
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000420	50	FUJIFILM HLDGS CORP-JPY	07/27/05	09/24/10	1,644.97	1,555.77		89.20 c
	400	MorganStanley SmithBarney LLC	08/11/05		13,159.77	13,115.32		44.45 c
	135	acted as your agent in this transaction.	08/20/08		4,441.43	4,151.73		289.70
125000430	255	GLAXOSMITHKLINE PLC SP ADR	09/13/04	09/24/10	10,236.29	10,727.01	(490.72) c	
	30	MorganStanley SmithBarney LLC	12/14/06		1,204.27	1,580.81	(376.54)	
	70	acted as your agent in this transaction.	12/22/06		2,809.96	3 668.34	(858.38)	
	90		01/26/07		3,612.81	4,905.96	(1 293.15)	
	60		02/28/07		2,408.54	3,392.77	(984.23)	
	20		03/21/07		802.85	1,110.63	(307.78)	
	20		04/11/07		802.85	1,123.39	(320.54)	
	130		05/31/07		5,218.50	6,737.74	(1,519.24)	
	25		06/04/07		1,003.55	1,291.99	(288.44)	
125000440	230	HITACHI LTD-ADR	11/10/06	06/01/10	9,185.28	13,607.08	(4,421.80)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000450	260	INTESA SANPAOLO S P A	07/02/07	09/24/10	5,108.91	11,735.44	(6,626.53)	
	180	SPONSORED ADR	06/20/08		3,536.94	6,106.79	(2,569.85)	
	60	MorganStanley SmithBarney LLC	06/26/08		1,178.98	2,070.11	(891.13)	
	60	acted as your agent	10/24/08		1,178.98	1,177.28		1.70
	15		07/23/09		294.74	316.13	(21.39)	



Ref: 00000125 00016163

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y									
Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain	
125000460	175	J SAINSBURY PLC-GBP	05/14/03	09/24/10	\$ 4,348.68	\$ 3,390.40		\$ 958.28 c	
	174	SPONS ADR NEW	10/23/03		4,323.83	3,757.10		566.73 c	
	89	MorganStanley SmithBarney LLC	05/14/04		2,211.61	1,929.72		281.89 c	
	15	acted as your agent	01/07/08		372.74	460.23	(87.49)		
	195		01/15/08		4,845.67	5,987.65	(1,141.98)		
	60		05/15/08		1,490.97	1,754.32	(263.35)		
	67		07/11/08		1,664.92	1,503.37		161.55	
125000470	295	KT CORP SPONSORED ADR	10/19/01	09/24/10	5,747.24	5,788.40	(41.16) c		
		MorganStanley SmithBarney LLC							
		acted as your agent							
		In this transaction.							
125000480	2,615	KINGFISHER PLC	09/26/07	09/24/10	18,879.98	18,517.86		362.12	
		SPONSORED ADR NEW							
		MorganStanley SmithBarney LLC							
		acted as your agent							
125000490	1,243	KONINKLIJKE AHOLD NV ADR	10/28/04	09/24/10	16,904.51	6,737.47		10,167.04 c	
	322	(NEW)	10/05/05		4,379.13	2,116.41		2,262.72 c	
		MorganStanley SmithBarney LLC							
		acted as your agent							
125000500	185	KOREA ELEC PWR CORP SP ADR	05/20/04	09/24/10	2,414.76	1,656.03		758.73 c	
	25	MorganStanley SmithBarney LLC	10/02/00		326.32	299.50		26.82 c	
	180	acted as your agent	02/22/01		2,349.50	1,947.94		401.56 c	
	200	In this transaction.	03/13/01		2,610.55	1,940.20		670.35 c	
125000510	1,170	MS&AD INSURANCE UNSPON ADR	01/18/07	09/24/10	13,641.97	23,633.03	(9,991.06)		
	270	MorganStanley SmithBarney LLC	02/07/07		3,148.15	5,546.08	(2,397.93)		
	205	acted as your agent	03/02/07		2,390.25	4,198.47	(1,808.22)		
		In this transaction.							
125000520	345	MAGNA INTERNATIONAL CL A	09/01/06	07/30/10	25,831.26	25,005.60		825.66	
	5	MorganStanley SmithBarney LLC	10/05/06		374.37	367.34		7.03	
	15	acted as your agent	10/03/08		1,123.09	611.09		512.00	
		In this transaction.							
125000530	600	MARKS & SPENCER GROUP PLC	12/16/03	09/24/10	7,157.88	5,837.26		1,320.62 c	
	1,028	SPONSORED ADR	01/29/01		12,239.97	11,525.40		714.57 c	
	30	MorganStanley SmithBarney LLC	01/11/08		357.89	466.06	(108.17)		
	60	acted as your agent	02/05/08		715.79	1,005.93	(290.14)		
	300		02/20/08		3,578.94	4,819.98	(1,241.04)		
	90		05/22/08		1,073.68	1,419.83	(346.15)		
	35		06/06/08		417.54	529.76	(112.22)		



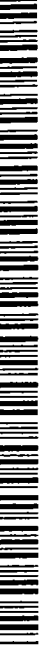
Ref: 00000125 00016164

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
	55		07/17/08		\$ 656.14	\$ 565.39		\$ 90.75
	204		07/23/08		2,433.68	2,212.81		220.87
125000540	595	1,680 MITSUBISHI UFJ FINANCIAL GROUP INC ADR	06/08/05	09/24/10	2,857.97	5,069.04	(2,211.07) c	
	90	MorganStanley SmithBarney LLC	11/13/06		8,069.57	20,102.04	(12,032.47)	
	735	acted as your agent	11/21/06		432.30	1,059.70	(627.40)	
			02/07/07		3,530.44	8,651.02	(5,120.58)	
125000550	480	MIZUHO FINL GROUP INC-JPY	05/02/07	09/24/10	1,441.27	5,830.18	(4,388.91)	
	1,320	SPONS ADR	05/07/07		3,963.49	16,493.14	(12,529.65)	
	1,120	MorganStanley SmithBarney LLC	05/22/07		3,362.96	14,745.14	(11,382.18)	
	135	acted as your agent	08/08/07		405.36	1,615.10	(1,209.74)	
	360		08/24/07		1,080.96	4,494.67	(3,413.71)	
125000560	20	NIPPON TEL & TEL SPON ADR	04/08/02	09/24/10	451.44	398.18		53.26 c
	800	MorganStanley SmithBarney LLC	02/02/05		18,057.61	16,497.84		1,559.77 c
	450	acted as your agent	03/28/05		10,157.41	9,960.53		196.88 c
		In this transaction.						
125000570	480	NISSAN MTR LTD SPONS ADR	04/18/08	09/24/10	7,991.86	8,278.99	(287.13)	
	475	MorganStanley SmithBarney LLC	04/23/08		7,908.62	8,160.64	(252.02)	
		acted as your agent						
		In this transaction.						
125000580	185	NISSAN MTR LTD SPONS ADR	04/23/08	12/27/10	3,498.29	3,178.36		319.93
	100	MorganStanley SmithBarney LLC	05/08/08		1,890.96	1,841.06		49.90
		acted as your agent						
		In this transaction.						
125000590	50	NOKIA CORP SPONSORED ADR	09/17/08	04/01/10	789.23	977.52	(188.29)	
	60	MorganStanley SmithBarney LLC	10/08/08		947.08	1,006.58	(59.50)	
	70	acted as your agent	10/13/08		1,104.92	1,136.95	(32.03)	
	180	In this transaction.	10/24/08		2,841.23	2,645.51		195.72
125000600	870	NOKIA CORP SPONSORED ADR	10/24/08	09/24/10	8,734.65	12,786.66	(4,052.01)	
	240	MorganStanley SmithBarney LLC	11/21/08		2,409.56	3,090.50	(680.94)	
	210	acted as your agent	11/26/08		2,108.36	2,971.14	(862.78)	
	35	In this transaction	12/03/08		351.39	459.50	(108.11)	
	280		12/11/08		2,811.15	4,311.44	(1,500.29)	
	30		12/19/08		301.19	479.71	(178.52)	
	10		01/15/09		100.41	135.52	(35.11)	
125000620	17	PORTUGAL TELECOM SPON ADR	01/18/06	09/24/10	220.68	173.95		46.73 c
	1,883	MorganStanley SmithBarney LLC	05/07/01		24,443.18	20,144.00		4,299.18 c
		acted as your agent						
		In this transaction.						



Ref: 00000125 00016165

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

2 0 1 0 Y E A R E N D S U M M A R Y									
Reference Number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain	
125000630	300	PROMISE CO LTD-UNSPON ADR	11/10/05	09/24/10	\$ 1,367.98	\$ 9,289.29	(\$ 7,921.31) c		
	600	MorganStanley SmithBarney LLC	03/22/06		2,735.95	19,458.90	(16,722.95) c		
	200	acted as your agent	07/12/06		911.98	5,190.52	(4,278.54) c		
	425	in this transaction.	09/28/06		1,937.97	8,382.57	(6,444.60)		
	195		11/13/06		889.18	3,479.73	(2,590.55)		
125000640	6 2517	ROYAL BK SCOTLAND GROUP	10/19/07	04/16/10	94.60	1,374.87	(1,280.27)		
	89 6765	PLC SPON ADR	02/13/08		1,356.94	12,885.25	(11,528.31)		
	24 597	MorganStanley SmithBarney LLC	03/18/08		372.19	3,132.77	(2,760.58)		
	149,8879	acted as your agent	03/28/08		2,268.03	20,170.96	(17,902.93)		
	106 5869		07/15/08		1,612.83	7,098.17	(5,485.34)		
125000650	460	SK TELECOM LTD SPON ADR	11/03/05	09/24/10	7,793.19	9,395.73	(1,602.54) c		
	20	MorganStanley SmithBarney LLC	09/19/06		338.83	458.48	(119.65)		
	820	acted as your agent	04/10/07		13,892.20	19,356.75	(5,464.55)		
		In this transaction.							
125000660	30	SANOFI-AVENTIS	01/28/05	02/01/10	1,105.05	1,122.94	(17.89) c		
		SPONS ADR							
		MorganStanley SmithBarney LLC							
		acted as your agent							
125000670	360	SANOFI-AVENTIS	01/28/05	02/16/10	13,206.65	13,475.27	(268.62) c		
		SPONS ADR							
		MorganStanley SmithBarney LLC							
		acted as your agent							
125000680	30	SANOFI-AVENTIS	01/28/05	09/24/10	1,018.26	1,122.94	(104.68) c		
	300	SPONS ADR	10/26/05		10,182.58	12,144.60	(1,962.02) c		
	20	MorganStanley SmithBarney LLC	10/18/06		678.84	876.05	(197.21)		
	70	acted as your agent	10/26/06		2,375.93	3,087.33	(711.40)		
	70		11/09/06		2,375.93	2,995.64	(619.71)		
125000690	1,600	SEIKO EPSON CORP UNSPON	07/18/06	09/24/10	11,247.81	18,590.24	(7,342.43) c		
	40	ADR	11/08/06		281.20	501.34	(220.14)		
	350	MorganStanley SmithBarney LLC	11/10/06		2,460.45	4,371.74	(1,911.29)		
		acted as your agent							
125000700	135	SONY CORP SPON ADR-NEW	10/06/05	03/18/10	5,159.43	4,492.95	666.48 c		
		MorganStanley SmithBarney LLC							
		acted as your agent							
		In this transaction.							
125000710	15	SONY CORP SPON ADR-NEW	10/06/05	04/01/10	572.04	499.22	72.82 c		
		MorganStanley SmithBarney LLC							
		acted as your agent							
		In this transaction							



Ref: 00000125 00016166

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000720	255	SONY CORP SPON ADR-NEW	10/06/05	09/24/10	\$ 7,892.57	\$ 8,486.68	(\$ 594.11) c	
	100	MorganStanley SmithBarney LLC	08/24/07		3,095.13	4,721.83	(1,626.70)	
	195	acted as your agent	04/16/08		6,035.50	8,015.94	(1,980.44)	
	25	in this transaction.	11/04/08		773.78	582.52		191.26
125000730	750	STMICROELECTRONICS N V	05/03/05	09/24/10	5,739.05	10,715.63	(4,976.58) c	
	700	SHS- N Y REGISTRY	07/06/05		5,356.45	11,245.22	(5,888.77) c	
	280	MorganStanley SmithBarney LLC	07/06/06		2,142.58	4,523.09	(2,380.51) c	
		acted as your agent						
125000740	2,160	SUMITOMO MITSUI FINL GROUP	08/14/07	09/24/10	6,523.09	17,870.33	(11,347.24)	
	1,920	INC ADR	08/24/07		5,798.30	15,345.98	(9,547.68)	
	1,035	MorganStanley SmithBarney LLC	09/05/07		3,125.64	7,909.89	(4,784.25)	
		acted as your agent						
125000750	185	SWISS REINSURANCE SPON ADR	12/12/07	09/24/10	8,250.86	13,924.10	(5,673.24)	
	80	MorganStanley SmithBarney LLC	02/22/08		3,567.94	5,709.20	(2,141.26)	
	55	acted as your agent	09/04/08		2,452.96	3,342.86	(889.90)	
		in this transaction.						
125000760	60	SWISSCOM AG SPONS ADR	09/08/99	07/23/10	2,235.73	1,997.33		238.40 c
	10	MorganStanley SmithBarney LLC	11/10/99		372.62	335.98		36.64 c
		acted as your agent						
		in this transaction.						
125000770	100	SWISSCOM AG SPONS ADR	12/30/05	09/24/10	4,004.73	3,154.36		850.37 c
	30	MorganStanley SmithBarney LLC	03/28/07		1,201.42	1,075.19		126.23
	220	acted as your agent	06/18/07		8,810.42	7,559.20		1,251.22
	260	in this transaction.	02/21/01		10,412.30	6,091.44		4,320.86 c
	140		11/10/99		5,606.62	4,703.78		902.84 c
125000780	5	TDK CORP AMER DEPOSIT SHS	11/13/07	09/24/10	289.05	357.09	(68.04)	
	5	MorganStanley SmithBarney LLC	01/15/08		289.05	340.41	(51.36)	
	30	acted as your agent	04/02/08		1,734.27	1,808.60	(74.33)	
	220	in this transaction.	04/09/08		12,717.97	13,486.20	(768.23)	
125000790	307	TNT N V SPONSORED ADR-USD	12/22/08	03/23/10	8,653.76	5,625.20		3,028.56
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125000800	470	TAKEDA PHARMACEUTICAL CO	05/08/08	09/24/10	11,185.81	12,767.69	(1,581.88)	
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						



Ref: 00000125 00016167

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000810	315	TELE NORTE LESTE PARTICIPACOEES *TLPP-BRL SPONSORED ADR REPSTG PFD MorganStanley SmithBarney LLC	Unavailable	09/24/10	\$ 4,511.35	Ø		4511.35
125000820	481	TELECOM ITALIA S.P A-ADR (NEW)	12/07/05	09/24/10	6,683.57	14,077.57	(7,394.00) c	
	500	MorganStanley SmithBarney LLC	02/27/06		6,947.58	13,449.65	(6,502.07) c	
	300	acted as your agent	09/28/06		4,168.55	8,445.66	(4,277.11)	
	30		01/19/07		416.85	923.05	(506.20)	
	300		02/13/07		4,168.55	9,167.10	(4,998.55)	
	465		02/16/07		6,461.25	14,727.11	(8,265.86)	
	39		02/23/07		541.92	1,219.83	(677.91)	
125000830	875	TELECOM ARGENTINA S A ADR	08/09/99	09/24/10	13,860.15	19,013.54	(5,153.39) c	
	35	MorganStanley SmithBarney LLC acted as your agent	09/07/00		718.67	837.14	(118.47) c	
125000840	100	TELECOM ARGENTINA S A ADR	05/30/01	10/21/10	2,275.41	1,527.44		747.97 c
	25	MorganStanley SmithBarney LLC acted as your agent	09/07/00		568.85	597.96	(29.11) c	
125000850	545	TELECOM CORP NEW ZEALAND LTD SPONSORED ADR MorganStanley SmithBarney LLC acted as your agent	05/07/01	09/24/10	4,110.32	11,007.83	(6,897.51) c	
125000860	135	TELEFONICA S.A. SPON ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/05	09/24/10	10,029.66	5,918.43		4,111.23 c
125000870	5	TELEFONICA S.A. SPON ADR MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/18/05	10/29/10	404.72	219.20		185.52 c
125000880	430	TELEFONOS DE MEXICO SP ADR SPONSORED ADR REPSTG SH SR L MorganStanley SmithBarney LLC acted as your agent	03/06/98	09/24/10	6,339.68	3,060.89		3,278.79 c
	45		09/15/97		663.46	286.49		376.97 c
125000890	10	TOKIO MARINE HLDGS INC ADR	12/08/03	09/24/10	272.30	237.07		35.23 c
	500	MorganStanley SmithBarney LLC acted as your agent	06/29/05		13,614.76	13,678.80	(64.04) c	
	35		11/21/06		953.03	1,141.02	(187.99)	

2 0 1 0 Y E A R E N D S U M M A R Y



Ref: 00000125 00016168

CHARLES W ROSENBAUM

Details of Long Term Gain (Loss) 2010 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000900	400	TOMKINS F H PLC SPON ADR	10/30/06	07/21/10	\$ 7,274.39	\$ 7,358.92	(\$ 84.53)	
	25	MorganStanley SmithBarney LLC	10/31/06		454.65	465.18	(10.53)	
	50	acted as your agent	01/12/07		909.30	998.46	(89.16)	
	25	in this transaction.	10/04/07		454.65	472.50	(17.85)	
125000920	5	TOYOTA MOTOR CORP ADR NEW	11/07/08	09/24/10	364.35	340.24		24.11
	20	MorganStanley SmithBarney LLC	07/07/09		1,457.42	1,497.39	(39.97)	
		acted as your agent						
		in this transaction.						
125000930	25	UNILEVER NV NY SHS-NEW	04/07/06	06/01/10	684.42	568.05		116.37 ^c
		MorganStanley SmithBarney LLC						
		acted as your agent						
		in this transaction.						
125000940	560	UNILEVER NV NY SHS-NEW	04/07/06	09/24/10	16,420.04	12,724.32		3,695.72 ^c
	240	MorganStanley SmithBarney LLC	06/07/06		7,037.16	5,308.30		1,728.86 ^c
		acted as your agent						
		in this transaction.						
125000950	274	WOLTERS KLUWER N V SP ADR	08/05/02	09/24/10	5,781.30	3,473.51		2,307.79 ^c
	301	MorganStanley SmithBarney LLC	02/09/05		6,350.99	5,063.03		1,287.96 ^c
		acted as your agent						
		in this transaction.						
Total					\$ 1,067,400.28	\$ 1,350,185.76	(\$ 393,636.08)	\$ 110,850.60^c

^cBased on information supplied by Client or other financial institution, not verified by us

2 0 1 0 Y E A R E N D

Application for Extension of Time To File an Exempt Organization Return

OMB No. 1545-1709

► **File a separate application for each return.**

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

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

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

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

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only

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

Type or print	Name of exempt organization	Employer identification number
	CHARLES W. ROSENBAUM FOUNDATION, INC.	61-1293806
	Number, street, and room or suite no. If a P.O. box, see instructions	
File by the due date for filing your return. See instructions	P.O. BOX 32427	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions	
	LOUISVILLE, KY 40232-2427	

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

04

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

MICHAEL D. RUDD, MANAGER

- The books are in the care of ► 4344 POPLAR LEVEL RD. - LOUISVILLE, KY 40213

Telephone No. ► 502-456-4050

FAX No. ►

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

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until AUGUST 15, 2011, to file the exempt organization return for the organization named above. The extension is for the organization's return for ☒ calendar year 2010 or ☐ tax year beginning , and ending .

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

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	3a	\$	1,840.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	840.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	1,000.

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

LHA For Paperwork Reduction Act Notice, see Instructions.

Form **8868** (Rev. 1-2011)

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

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

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

Part II		Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).	
Type or print File by the extended due date for filing your return. See instructions.	Name of exempt organization		Employer identification number
	CHARLES W. ROSENBAUM FOUNDATION, INC.		61-1293806
	Number, street, and room or suite no. If a P.O. box, see instructions		
	P.O. BOX 32427		
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.		
	LOUISVILLE, KY 40232-2427		

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

04

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

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

MICHAEL D. RUDD, MANAGER

• The books are in the care of ☒ 4344 POPLAR LEVEL RD. - LOUISVILLE, KY 40213

Telephone No. ☒ 502-456-4050

FAX No. ☐

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

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

4 I request an additional 3-month extension of time until NOVEMBER 15, 2011.

5 For calendar year 2010, or other tax year beginning ☐ , and ending ☐.

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

7 State in detail why you need the extension

ADDITIONAL TIME IS NEEDED IN ORDER THAT TAXPAYER CAN GATHER THE INFORMATION NECESSARY TO FILE A COMPLETE AND ACCURATE RETURN.

8a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	1,840.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	1,840.
c	Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

Signature and Verification

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

Signature ☒ Laura Feltz Title ☒ CPA

Date ☒ 8-5-11