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

**2010**Department of the Treasury  
Internal Revenue Service

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

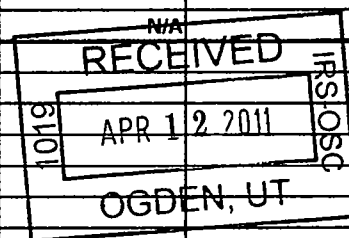
For calendar year 2010, or tax year beginning , 2010, and ending , 20

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

Name of foundation <b>The Paraklete Foundation</b>		<b>A</b> Employer identification number 94-3374734	
Number and street (or P.O. box number if mail is not delivered to street address) <b>P.O. Box 137</b>		Room/suite	<b>B</b> Telephone number (see page 10 of the instructions) 925-461-5053
City or town, state, and ZIP code <b>Sunol, CA 94586</b>		<b>C</b> If exemption application is pending, check here <input type="checkbox"/> <b>D</b> 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> <b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> <b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
<b>H</b> Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		<b>J</b> Accounting method: <input type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	
<b>I</b> Fair market value of all assets at end of year (from Part II, col. (c), line 16) <b>\$ 271614.64</b>		<b>(Part I, column (d) must be on cash basis.)</b>	

<b>Part I Analysis of Revenue and Expenses</b> (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions).)		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
<b>Revenue</b>	<b>1</b> Contributions, gifts, grants, etc., received (attach schedule)	443.63			
	<b>2</b> Check <input type="checkbox"/> if the foundation is not required to attach Sch. B				
	<b>3</b> Interest on savings and temporary cash investments	1.50	1.50		
	<b>4</b> Dividends and interest from securities	6636.29	6636.29		
	<b>5a</b> Gross rents				
	<b>b</b> Net rental income or (loss)				
	<b>6a</b> Net gain or (loss) from sale of assets not on line 10				
	<b>b</b> Gross sales price for all assets on line 6a				
	<b>7</b> Capital gain net income (from Part IV, line 2)		0		
	<b>8</b> Net short-term capital gain			0	
	<b>9</b> Income modifications				
	<b>10a</b> Gross sales less returns and allowances				
<b>b</b> Less: Cost of goods sold					
<b>c</b> Gross profit or (loss) (attach schedule)					
<b>11</b> Other income (attach schedule)	31.27	31.27			
<b>12</b> Total. Add lines 1 through 11	7112.69	6669.06			
<b>Operating and Administrative Expenses</b>	<b>13</b> Compensation of officers, directors, trustees, etc.				
	<b>14</b> Other employee salaries and wages				
	<b>15</b> Pension plans, employee benefits				
	<b>16a</b> Legal fees (attach schedule)				
	<b>b</b> Accounting fees (attach schedule)				
	<b>c</b> Other professional fees (attach schedule)	3012.81	3012.81		
	<b>17</b> Interest				
	<b>18</b> Taxes (attach schedule) (see page 14 of the instructions)	217.39	217.39		
	<b>19</b> Depreciation (attach schedule) and depletion				
	<b>20</b> Occupancy				
	<b>21</b> Travel, conferences, and meetings	808.23			808.23
	<b>22</b> Printing and publications				
	<b>23</b> Other expenses (attach schedule)	235.40			235.40
	<b>24</b> Total operating and administrative expenses. Add lines 13 through 23	4273.83	3230.20		1043.63
	<b>25</b> Contributions, gifts, grants paid	8300.00			8300.00
<b>26</b> Total expenses and disbursements. Add lines 24 and 25	12573.83	3230.20		9343.63	
<b>27</b> Subtract line 26 from line 12:					
<b>a</b> Excess of revenue over expenses and disbursements	(5461.14)				
<b>b</b> Net investment income (if negative, enter -0-)		3438.86			
<b>c</b> Adjusted net income (if negative, enter -0-)			N/A		

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<b>Part II Balance Sheets</b>		Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)		
		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	<b>1</b> Cash—non-interest-bearing . . . . .	6707.66	12422.01	12422.01
	<b>2</b> Savings and temporary cash investments . . . . .			
	<b>3</b> Accounts receivable ▶ . . . . .			
	Less: allowance for doubtful accounts ▶ . . . . .			
	<b>4</b> Pledges receivable ▶ . . . . .			
	Less: allowance for doubtful accounts ▶ . . . . .			
	<b>5</b> Grants receivable . . . . .			
	<b>6</b> Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions) . . . . .			
	<b>7</b> Other notes and loans receivable (attach schedule) ▶ . . . . .			
	Less: allowance for doubtful accounts ▶ . . . . .			
	<b>8</b> Inventories for sale or use . . . . .			
	<b>9</b> Prepaid expenses and deferred charges . . . . .			
	<b>10a</b> Investments—U.S. and state government obligations (attach schedule) . . . . .			
	<b>b</b> Investments—corporate stock (attach schedule) . . . . .	250310.83	259192.63	259192.63
	<b>c</b> Investments—corporate bonds (attach schedule) . . . . .			
	<b>11</b> Investments—land, buildings, and equipment: basis ▶ . . . . .			
<b>Liabilities</b>	Less: accumulated depreciation (attach schedule) ▶ . . . . .			
	<b>12</b> Investments—mortgage loans . . . . .			
	<b>13</b> Investments—other (attach schedule) . . . . .			
	<b>14</b> Land, buildings, and equipment: basis ▶ . . . . .			
	Less: accumulated depreciation (attach schedule) ▶ . . . . .			
	<b>15</b> Other assets (describe ▶ . . . . . ) . . . . .			
	<b>16</b> <b>Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I) . . . . .	257018.49	271614.64	271614.64
	<b>17</b> Accounts payable and accrued expenses . . . . .			
	<b>18</b> Grants payable . . . . .			
	<b>19</b> Deferred revenue . . . . .			
<b>Net Assets or Fund Balances</b>	<b>20</b> Loans from officers, directors, trustees, and other disqualified persons . . . . .			
	<b>21</b> Mortgages and other notes payable (attach schedule) . . . . .			
	<b>22</b> Other liabilities (describe ▶ . . . . . ) . . . . .			
	<b>23</b> <b>Total liabilities</b> (add lines 17 through 22) . . . . .			
	<b>Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/></b> and complete lines 24 through 26 and lines 30 and 31. . . . .			
	<b>24</b> Unrestricted . . . . .			
	<b>25</b> Temporarily restricted . . . . .			
	<b>26</b> Permanently restricted . . . . .			
	<b>Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/></b> and complete lines 27 through 31. . . . .			
	<b>27</b> Capital stock, trust principal, or current funds . . . . .			
<b>Net Assets or Fund Balances</b>	<b>28</b> Paid-in or capital surplus, or land, bldg., and equipment fund . . . . .			
	<b>29</b> Retained earnings, accumulated income, endowment, or other funds . . . . .			
	<b>30</b> <b>Total net assets or fund balances</b> (see page 17 of the instructions) . . . . .	257018.49	271614.64	
	<b>31</b> <b>Total liabilities and net assets/fund balances</b> (see page 17 of the instructions) . . . . .	257018.49	271614.64	

**Part III Analysis of Changes in Net Assets or Fund Balances**

<b>1</b> 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) . . . . .	<b>1</b>	257018.49
<b>2</b> Enter amount from Part I, line 27a . . . . .	<b>2</b>	(9135.01)
<b>3</b> Other increases not included in line 2 (itemize) ▶ . . . . .	<b>3</b>	23731.16
<b>4</b> Add lines 1, 2, and 3 . . . . .	<b>4</b>	271614.64
<b>5</b> Decreases not included in line 2 (itemize) ▶ . . . . .	<b>5</b>	
<b>6</b> Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 . . . . .	<b>6</b>	271614.64

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

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
<b>1a</b>	200 Shares GE Stock	D	12/7/2005	1/28/2010
<b>b</b>	Pershing -5763	P	8/8/2006	1/28/2010
<b>c</b>	Pershing -3908	P	Various	Various
<b>d</b>				
<b>e</b>				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
<b>a</b> 3182.29		7414+58.05	(4289.76)
<b>b</b> 14670.29		11472.52	(3197.77)
<b>c</b> 24211.07		26973.18	(1752.81)
<b>d</b>			
<b>e</b>			

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))
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

<b>2</b> 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 }	<b>2</b>	
<b>3</b> Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions). If (loss), enter -0- in Part I, line 8	<b>3</b>	

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☐ No  
 If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2009	8182.89	225476.35	0.036
2008	12701.00	288713.35	0.044
2007	16142.25	319268.05	0.051
2006	11875.88	280508.30	0.042
2005	15590.06	177258.63	0.088

<b>2</b> Total of line 1, column (d)	<b>2</b>	0.261
<b>3</b> Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	<b>3</b>	0.0522
<b>4</b> Enter the net value of noncharitable-use assets for 2010 from Part X, line 5	<b>4</b>	251313
<b>5</b> Multiply line 4 by line 3	<b>5</b>	13119
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	34.39
<b>7</b> Add lines 5 and 6	<b>7</b>	13153
<b>8</b> Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions on page 18.	<b>8</b>	9344

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

<b>1a</b>	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)			
<b>b</b>	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	<b>1</b>		68.78
<b>c</b>	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
<b>2</b>	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>2</b>		0
<b>3</b>	Add lines 1 and 2	<b>3</b>		68.78
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>4</b>		0
<b>5</b>	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-	<b>5</b>		68.78
<b>6</b>	<b>Credits/Payments:</b>			
<b>a</b>	2010 estimated tax payments and 2009 overpayment credited to 2010	<b>6a</b>		
<b>b</b>	Exempt foreign organizations—tax withheld at source	<b>6b</b>		
<b>c</b>	Tax paid with application for extension of time to file (Form 8868)	<b>6c</b>		
<b>d</b>	Backup withholding erroneously withheld	<b>6d</b>		
<b>7</b>	Total credits and payments. Add lines 6a through 6d	<b>7</b>		
<b>8</b>	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	<b>8</b>		
<b>9</b>	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	<b>9</b>		68.78
<b>10</b>	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	<b>10</b>		
<b>11</b>	Enter the amount of line 10 to be: <b>Credited to 2011 estimated tax</b> <input type="checkbox"/> <b>Refunded</b> <input type="checkbox"/>	<b>11</b>		

**Part VII-A Statements Regarding Activities**

	Yes	No
<b>1a</b> 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?		✓
<b>b</b> Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>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.</i>		✓
<b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year?		✓
<b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ _____ (2) On foundation managers. ▶ \$ _____		
<b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ _____		
<b>2</b> Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>		✓
<b>3</b> 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? <i>If "Yes," attach a conformed copy of the changes.</i>		✓
<b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year?		✓
<b>b</b> If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year?		
<b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>		✓
<b>6</b> 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?	✓	
<b>7</b> Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV</i>	✓	
<b>8a</b> Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ California		
<b>b</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? <i>If "No," attach explanation</i>	✓	
<b>9</b> Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2010 or the taxable year beginning in 2010 (see instructions for Part XIV on page 27)? <i>If "Yes," complete Part XIV</i>		✓
<b>10</b> Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		✓

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

<b>11</b>	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions)	<b>11</b>		✓
<b>12</b>	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	<b>12</b>		✓
<b>13</b>	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	<b>13</b>	✓	
Website address ▶				
<b>14</b>	The books are in care of ▶ <u>Dennis R. Smith</u>	Telephone no. ▶	<u>925-461-5053</u>	
	Located at ▶ <u>626 Abbie Street Pleasanton, CA</u>	ZIP+4 ▶	<u>94566-7402</u>	
<b>15</b>	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here. . . . . ▶ <input type="checkbox"/>			
	and enter the amount of tax-exempt interest received or accrued during the year . . . . . ▶ <b>15</b>			
<b>16</b>	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? . . . . .	<b>16</b>	Yes	No
	See page 20 of the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶			✓

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

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

		Yes	No
<b>1a</b>	During the year did the foundation (either directly or indirectly):		
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</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)? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>1b</b>	
	Organizations relying on a current notice regarding disaster assistance check here . . . . . ▶ <input type="checkbox"/>		
<b>c</b>	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? . . . . .	<b>1c</b>	✓
<b>2</b>	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)):		
<b>a</b>	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? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	If "Yes," list the years ▶ 20____, 20____, 20____, 20____		
<b>b</b>	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see page 22 of the instructions.) . . . . .	<b>2b</b>	✓
<b>c</b>	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20____, 20____, 20____, 20____		
<b>3a</b>	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</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.) . . . . .	<b>3b</b>	
<b>4a</b>	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	<b>4a</b>	✓
<b>b</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?	<b>4b</b>	✓

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

<b>5a</b> 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))?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(3) Provide a grant to an individual for travel, study, or other similar purposes?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see page 22 of the instructions)		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> 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?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
<b>b</b> If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here				<b>5b</b>
<b>c</b> 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?		<input type="checkbox"/> Yes	<input type="checkbox"/> No	
If "Yes," attach the statement required by Regulations section 53.4945–5(d).				
<b>6a</b> Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
<b>b</b> Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?				<b>6b</b>
If "Yes" to 6b, file Form 8870.				
<b>7a</b> At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
<b>b</b> If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?				<b>7b</b>

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1 List all officers, directors, trustees, foundation managers and their compensation (see page 22 of the instructions).**

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (if not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Dennis R. Smith 626 Abble Street Pleasanton, CA 94566	Director 1	0	0	0
Judith A. Smith 626 Abble Street Pleasanton, CA 94566	Secretary 0.5	0	0	0
Kara M. Locke 7228 Woodside Dr. Stockton, CA 95207	Treasurer 0.25	0	0	0
Charles L. Locke 7228 Woodside Dr. Stockton, CA 95207	Trustee 0.1	0	0	0

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

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Anthony C. Smith 1679 Fourth Street Livermore, CA 94550	Trustee 0.1	0	0	0
Michelle M. Smith 1679 Fourth Street Livermore, CA 94550	Trustee 0.1	0	0	0
Total number of other employees paid over \$50,000				0

**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)***3** Five highest-paid independent contractors for professional services (see page 23 of the instructions). If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
None		
<b>Total</b> number of others receiving over \$50,000 for professional services		0

**Part IX-A** Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
<b>1</b>	
<b>2</b>	
<b>3</b>	
<b>4</b>	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
<b>1</b>	
<b>2</b>	
All other program-related investments. See page 24 of the instructions.	
<b>3</b>	
<b>Total.</b> Add lines 1 through 3	



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

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b>	Average monthly fair market value of securities . . . . .	<b>1a</b>	246980
<b>b</b>	Average of monthly cash balances . . . . .	<b>1b</b>	8160
<b>c</b>	Fair market value of all other assets (see page 25 of the instructions) . . . . .	<b>1c</b>	
<b>d</b>	<b>Total</b> (add lines 1a, b, and c) . . . . .	<b>1d</b>	255140
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) . . . . .	<b>1e</b>	
<b>2</b>	Acquisition indebtedness applicable to line 1 assets . . . . .	<b>2</b>	
<b>3</b>	Subtract line 2 from line 1d . . . . .	<b>3</b>	255140
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions) . . . . .	<b>4</b>	3827
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	251313
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5 . . . . .	<b>6</b>	12566

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

<b>1</b>	Minimum investment return from Part X, line 6 . . . . .	<b>1</b>	12566
<b>2a</b>	Tax on investment income for 2010 from Part VI, line 5 . . . . .	<b>2a</b>	69
<b>b</b>	Income tax for 2010. (This does not include the tax from Part VI.) . . . . .	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b . . . . .	<b>2c</b>	69
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1 . . . . .	<b>3</b>	12497
<b>4</b>	Recoveries of amounts treated as qualifying distributions . . . . .	<b>4</b>	
<b>5</b>	Add lines 3 and 4 . . . . .	<b>5</b>	12497
<b>6</b>	Deduction from distributable amount (see page 25 of the instructions) . . . . .	<b>6</b>	
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 . . . . .	<b>7</b>	12497

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

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26 . . . . .	<b>1a</b>	9344
<b>b</b>	Program-related investments—total from Part IX-B . . . . .	<b>1b</b>	
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes . . . . .	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required) . . . . .	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule) . . . . .	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	9344
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see page 26 of the instructions) . . . . .	<b>5</b>	
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4 . . . . .	<b>6</b>	9344

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

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

	(a) Corpus	(b) Years prior to 2009	(c) 2009	(d) 2010
<b>1</b> Distributable amount for 2010 from Part XI, line 7 . . . . .				<b>12497</b>
<b>2</b> Undistributed income, if any, as of the end of 2010:				
<b>a</b> Enter amount for 2009 only . . . . .			0	
<b>b</b> Total for prior years: 20____, 20____, 20____		0		
<b>3</b> Excess distributions carryover, if any, to 2010:				
<b>a</b> From 2005 . . . . .				0
<b>b</b> From 2006 . . . . .				0
<b>c</b> From 2007 . . . . .				200 02
<b>d</b> From 2008 . . . . .				0
<b>e</b> From 2009 . . . . .				2994.44
<b>f</b> <b>Total</b> of lines 3a through e . . . . .	3194.46			
<b>4</b> Qualifying distributions for 2010 from Part XII, line 4: ► \$ 9344				
<b>a</b> Applied to 2009, but not more than line 2a . . . . .			0	
<b>b</b> Applied to undistributed income of prior years (Election required—see page 26 of the instructions)		0		
<b>c</b> Treated as distributions out of corpus (Election required—see page 26 of the instructions) . . . . .	0			
<b>d</b> Applied to 2010 distributable amount . . . . .				9344
<b>e</b> Remaining amount distributed out of corpus . . . . .	0			
<b>5</b> Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a).)	3153			3153
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	41.46			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b . . . . .		0		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed . . . . .		0		
<b>d</b> Subtract line 6c from line 6b. Taxable amount—see page 27 of the instructions . . . . .		0		
<b>e</b> Undistributed income for 2009. Subtract line 4a from line 2a. Taxable amount—see page 27 of the instructions . . . . .			0	
<b>f</b> Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011 . . . . .				0
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions) . . . . .	0			
<b>8</b> Excess distributions carryover from 2005 not applied on line 5 or line 7 (see page 27 of the instructions) . . . . .	0			
<b>9</b> Excess distributions carryover to 2011. Subtract lines 7 and 8 from line 6a . . . . .	41.46			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2006 . . . . .				0
<b>b</b> Excess from 2007 . . . . .				0
<b>c</b> Excess from 2008 . . . . .				0
<b>d</b> Excess from 2009 . . . . .				41.46
<b>e</b> Excess from 2010 . . . . .				0

**Part XIV Private Operating Foundations** (see page 27 of the instructions and Part VII-A, question 9)

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

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

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

**Part XV Supplementary Information** (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see page 28 of the instructions.)**1 Information Regarding Foundation Managers:**

- a** List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2).)
- b** List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

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

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

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

Judith A. Smith P.O. Box 137 Sunol, CA 94586

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

Applications available upon request

- c** Any submission deadlines:

June 30 and december 31 of each year

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

Grants are given for education/training for lifeskills, job skills and spiritual enrichment to homeless and others in need.

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a</b> <i>Paid during the year</i>				
Bridge to Hope		501(c)(3)	Program for at-risk teens	5,000
1445 Victor Ave. Redding, CA 96003			in Shasta County California	
Awakening Church of God			Biblical Training for	3,300
Rakovska 21, Stara Zagora, Bulgaria			Bulgarian Pastors	
<b>Total</b>			<b>3a</b>	8,300
<b>b</b> <i>Approved for future payment</i>				
<b>Total</b>			<b>3b</b>	



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

		Yes	No
<b>1</b>	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		
<b>a</b>	Transfers from the reporting foundation to a noncharitable exempt organization of:		
	(1) Cash . . . . .	<b>1a(1)</b>	✓
	(2) Other assets . . . . .	<b>1a(2)</b>	✓
<b>b</b>	Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization . . . . .	<b>1b(1)</b>	✓
	(2) Purchases of assets from a noncharitable exempt organization . . . . .	<b>1b(2)</b>	✓
	(3) Rental of facilities, equipment, or other assets . . . . .	<b>1b(3)</b>	✓
	(4) Reimbursement arrangements . . . . .	<b>1b(4)</b>	✓
	(5) Loans or loan guarantees . . . . .	<b>1b(5)</b>	✓
	(6) Performance of services or membership or fundraising solicitations . . . . .	<b>1b(6)</b>	✓
<b>c</b>	Sharing of facilities, equipment, mailing lists, other assets, or paid employees . . . . .	<b>1c</b>	✓
<b>d</b>	If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.		

[illegible]

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

**b** If "Yes," complete the following schedule.

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

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

Devin K Smith 110 April 2011 Director  
 Signature of officer or trustee Date Title

<b>Paid Preparer Use Only</b>	Print/Type preparer's name	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
	Firm's name ▶			Firm's EIN ▶	
	Firm's address ▶			Phone no.	

Form 990-PF  
2010  
The Paraklete Foundation  
94-3374734

Part 1, Line 1

Cash Donations	<u>443.63</u>
----------------	---------------

Part I, Line 11

Stock litigation	<u>31.27</u>
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Part I, Line 16c

Associated Securities Money Management Fees	2911.76
GE Stock Sale Fees	86.05
Money Transfer Fees	<u>15.00</u>
	3012.81

Part I, Line 18

Income Taxes	96.58
Foreign Taxes Paid	<u>120.81</u>
	217.39

Part I, Line 23

P.O. Box	44.00
Office Supplies	0
Photocopies	15.77
Postage	49.05
Federal Form 990 Fee	96.58
California Form 199 Fee	10.00
California Form SI-100 Fee	<u>20.00</u>
	235.40

Part II, Line 10b

Refer to attached Account 4QK-035763 attached  
Refer to attached Account 6VK-433908 attached

THE PARAKLETE FOUNDATION  
626 ABBIE STREET  
PLEASANTON CA 94566-7402

Your Financial Advisor Is:  
MIMI WARGA  
(925) 449-7830

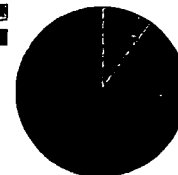
Account Number: 4QK-035763  
Statement Period: 10/01/2010 - 12/31/2010

### Valuation at a Glance

	This Period	Year-to-Date
Beginning Account Value	\$54,746.39	\$62,342.88
Cash Deposits	0.00	31.27
Cash Withdrawals	0.00	-9,100.00
Dividends/Interest	210.28	848.40
Fees	0.00	-15.00
Change In Account Value	4,602.08	5,451.20
Ending Account Value	\$59,558.75	\$59,558.75

### Asset Allocation

	Prior Year-End	This Period	% Allocation
Cash, Money Funds, and FDIC Deposits	542.59	6,150.87	10%
Mutual Funds	58,774.29	53,407.88	90%
Equities	3,026.00	0.00	0%
Account Total (Pie Chart)	\$62,342.88	\$59,558.75	100%



Asset Allocation percentages are rounded to the nearest whole percentage.  
Pie Chart allocation excludes all asset classes which net to a liability.





## For Your Information

Please note that as of February 1, 2011 the following customary fees will apply:

IRA Termination Fee \$75

Federal Funds Wire Fee \$17

Confirm Fee \$4.25

Margin Extension Fee \$15.00

### Margin Rates

#### Net Debit Balance

\$0-\$24,999 WSJ Broker Call + 4%

\$25,000-\$49,999 WSJ Broker Call + 3%

\$50,000-\$99,999 WSJ Broker Call + 2.5%

\$100,000 + WSJ Broker Call + 2%

## Customer Service Information

### Your Financial Advisor Is: MW0

MIMI WARGA  
1202-A CONCANNON BLVD  
LIVERMORE CA 94550-5536

### Contact Information

Telephone Number (925) 449-7830  
Fax Number: (925) 449-0598

## Portfolio Holdings

Quantity	Opening Date	Account Number	Activity Ending	Opening Balance	Closing Balance	Accrued Income	Income This Year	30-Day Yield	Current Yield
<b>Cash, Money Funds, and FDIC Deposits 10.00% of Portfolio</b>									
<b>Money Market</b>									
<b>GENERAL MNY MKT FUND CL B</b>									
6,150.870	10/01/10	0000396156	12/31/10	6,150.10	6,150.87	0.00	1.72	0.05%	0.05%
<b>Total Money Market</b>				<b>\$6,150.10</b>	<b>\$6,150.87</b>	<b>\$0.00</b>	<b>\$1.72</b>		
<b>Total Cash, Money Funds, and FDIC Deposits</b>				<b>\$6,150.10</b>	<b>\$6,150.87</b>	<b>\$0.00</b>	<b>\$1.72</b>		

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PAR-02 ROLL

Account Number 40K-035763  
THE PARAKEETE FOUNDATION

 **go paperless**  
Ask about e-delivery



#1 Brokerage Statement  
2009-2010  
DALBAR RATED  
FOR COMMUNICATION

Clearing through Pershing LLC, a subsidiary  
of The Bank of New York Mellon Corporation  
Pershing LLC member FINRA NYSE SIPC

Statement Period: 10/01/2010 - 12/31/2010

Portfolio Holdings (continued)

Quantity	Acquisition Date	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
Mutual Funds 90.00% of Portfolio								
Mutual Funds								
5AMCAP FUND CLASS A			Security Identifier: AMCPX					
Open End Fund								
Dividend Option Reinvest, Capital Gains Option: Reinvest								
1,243.062	08/13/07	N/A	Please Provide	18.8300	23,406.86	N/A	99.44	0.42%
205.860	Reinvestments to Date	18.1590	3,738.12	18.8300	3,876.34	138.22	16.47	0.42%
1,448.922	Total		\$3,738.12		\$27,283.20	\$138.22	\$115.91	
5WASHINGTON MUTUAL INVESTORS FUND CLASS A			Security Identifier: AWSHX					
Open End Fund								
Dividend Option Reinvest, Capital Gains Option: Reinvest								
778.751	08/13/07	N/A	Please Provide	27.2100	21,189.82	N/A	467.24	2.20%
181.362	Reinvestments to Date	27.4040	4,970.05	27.2100	4,934.86	-35.19	108.82	2.20%
960.113	Total		\$4,970.05		\$26,124.68	-\$35.19	\$576.06	
Total Mutual Funds			\$8,708.17		\$53,407.88	\$103.03	\$691.97	
Total Mutual Funds			\$8,708.17		\$53,407.88	\$103.03	\$691.97	
			Cost Basis	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	
Total Portfolio Holdings			\$14,859.04	\$59,558.75	\$103.03	\$0.00	\$693.69	

<sup>5</sup> Unrealized gains and losses are not reported for securities for which cost basis or market value is not available

**Disclosures and Other Information**

Pricing - Securities prices may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. Prices are received from various pricing services. However, pricing services are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt securities, estimated prices may be generated by a matrix system taking various factors into consideration. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, such securities have not been included in the Asset Allocation Information at the beginning of this statement.

The Estimated Price as of Date only appears when the price date does not equal the statement date.

Reinvestment - The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your Statement may have been

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PAR-02-ROLL

Account Number 40K-035763  
THE PARAKELE FOUNDATION

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#1 Brokerage Statement  
2009-2010  
DALBAR RATED  
FOR COMMUNICATION

Clearing through Pershing LLC, a subsidiary  
of The Bank of New York Mellon Corporation  
Pershing LLC member FINRA, NYSE, SIPC

## Portfolio Holdings (continued)

reinvested. You will not receive confirmation of these reinvestments. However, information pertaining to these transactions which would otherwise appear on confirmations, including the time of execution and the name of the person from whom your security was purchased, will be furnished to you upon written request to your introducing firm. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow, the source and nature of which payment will be furnished to you upon written request to your introducing firm.

**Option Disclosure** - Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

**Foreign Currency Transactions** - Pershing may execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositaries) will be billed at the rates such agents use.

**Proxy Vote** - Securities held by you on margin (securities not fully paid for by you) may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin will be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
<b>Dividend Income</b>				
Equities	209.51	0.00	846.68	0.00
Money Market	0.77	0.00	1.72	0.00
<b>Total Dividends, Interest, Income and Expenses</b>	<b>\$210.28</b>	<b>\$0.00</b>	<b>\$848.40</b>	<b>\$0.00</b>

## Transactions by Type of Activity

Process/ Settlement	Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	CCY
<b>Securities Bought and Sold</b>								
12/21/10		REINVEST CASH INCOME	WASHINGTON MUTUAL INVESTORS FUND CLASS A 952 3560 SHRS SHRS PURCH AT \$27.01000 RD 12/17 PD 12/20/10	5.289			-142.85	USD
12/21/10		REINVEST CASH INCOME	WASHINGTON MUTUAL INVESTORS FUND CLASS A 952 3560 SHRS SHRS PURCH AT \$27.01000 RD 12/17 PD 12/20/10	2.468			-66.66	USD
<b>Total Securities Bought and Sold - UNITED STATES DOLLAR</b>						<b>0.00</b>	<b>-209.51</b>	
<b>Dividends and Interest</b>								
10/29/10		MONEY MARKET FUND INCOME RECEIVED	GENERAL MNY MKT CL B				0.26	USD
11/30/10		MONEY MARKET FUND INCOME RECEIVED	GENERAL MNY MKT CL B				0.25	USD
12/21/10		CASH DIVIDEND RECEIVED	WASHINGTON MUTUAL INVESTORS FUND CLASS A 952 3560 SHRS RD 12/17 PD 12/20/10				142.85	USD

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PAR-02 ROLL

Account Number 40K-035763  
THE PARAKELE FOUNDATION

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#1 Brokerage Statement  
2009-2010  
DALBAR RATED  
FOR COMMUNICATION

Clearing through Pershing LLC, a subsidiary  
of The Bank of New York Mellon Corporation  
Pershing LLC member FINRA NYSE SIPC

Statement Period: 10/01/2010 - 12/31/2010

## Transactions by Type of Activity (continued)

Process/ Settlement	Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	CCY
<b>Dividends and Interest (continued)</b>								
	12/21/10	CASH DIVIDEND RECEIVED	WASHINGTON MUTUAL INVESTORS FUND CLASS A 952.3560 SHRS RD 12/17 PD 12/20/10				66.66	USD
	12/31/10	MONEY MARKET FUND INCOME RECEIVED	GENERAL MNY MKT CL B				0.26	USD
<b>Total Dividends and Interest - UNITED STATES DOLLAR</b>						0.00	210.28	
<b>Total Value of All Transactions</b>						0.00	0.77	

The price and quantity displayed may have been rounded

## Messages

### Note from Pershing LLC regarding estimated values on brokerage account statements

Pershing relies on external valuation vendors for estimated, periodic valuation and market price information that is included in your brokerage account statement. From time to time, this information is not available or is not received in time for posting to your brokerage account statement, resulting in a valuation or market price of N/A or Not Available. Please contact your investment professional for current information regarding your investments and account statement.

For owners of auction rate securities, please note that many auction rate securities have become illiquid due to current market conditions. As a result, it may not be possible to sell such securities at or near the estimated market price that is listed on your brokerage account statement.

Please note the following information for Pershing's 2010 mailing of Internal Revenue Service (IRS) Forms 1099 (B, DIV, INT, OID and MISC).

Your Form 1099 will be mailed by February 15, 2011, if you have received income from a regulated investment company (RIC), including mutual funds (open or closed end), real estate investment trusts (REITs), and unit investment trusts (UITs) and certain equities that reclassify their income. Your form will be scheduled for this date to allow the issuer the time necessary to calculate and disclose the proper income classification for tax purposes. We hope this will reduce the need for you to receive a revised Form 1099.

Your Form 1099 will be mailed by January 31, 2011, if you have not received income from a regulated investment company or an equity that will reclassify income.

### Disclosure Regarding Securities Lending in Margin Accounts

If you have a margin account, pursuant to your Margin Agreement with Pershing LLC and as permitted by law, margin securities in your account, may be used for, among other things, settling short sales and lending the securities for short sales. As a result, Pershing and your financial organization may receive compensation in connection therewith. Further, Pershing does not lend fully-paid-for securities without your

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PAR-02-ROLL

Account Number 40K-035763  
THE PARAKELE FOUNDATION

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#1 Brokerage Statement  
2009-2010  
DALBAR RATED  
FOR COMMUNICATION

Clearing through Pershing LLC, a subsidiary  
of The Bank of New York Mellon Corporation  
Pershing LLC, member FINRA, NYSE, SIPC

## Messages (continued)

written permission. Please contact your financial organization if you have any questions.

In an effort to help the environment, save on increasingly expensive paper and resources, and keep pace with the industry, we are offering electronic delivery of no-cost statements and trade confirmations. By choosing this method of delivery, you will not only do something good for the environment, but also you will avoid the \$0.75 paper surcharge per monthly paper statement and trade confirmation that will begin on June 1, 2011. You can sign up for electronic delivery of statements and trade confirmations through [www.mydocumentsuite.com](http://www.mydocumentsuite.com) (see insert) or [www.netxclient.com](http://www.netxclient.com). To obtain an ID and password for [www.netxclient.com](http://www.netxclient.com), please contact your financial advisor.

If you elect not to sign up for electronic statements and confirms, surcharges will be billed per trade on paper confirms and will be added to the service charge for each trade. The surcharge will be billed quarterly on paper statements. This surcharge will not be applied to corporate, custodial (UGMA or UTMA), and trust accounts.

## Money Market Fund Detail

Date	Activity Type	Description	Amount	Balance
<b>Sweep Money Market Fund</b>				
GENERAL MNY MKT FUND CL B				
Account Number: 0000396156 Current Yield: 0.05% Activity Ending: 12/31/10				
10/01/10	Opening Balance		6,150.10	6,150.10
10/29/10	Deposit	INCOME REINVEST	0.26	6,150.36
11/30/10	Deposit	INCOME REINVEST	0.25	6,150.61
12/31/10	Deposit	INCOME REINVEST	0.26	6,150.87
12/31/10	Closing Balance			\$6,150.87
<b>Total All Money Market Funds</b>				<b>\$6,150.87</b>

## Schedule of Realized Gains and Losses Year-to-Date

Disposition Date	Acquisition Date	Closing Transaction	Description	Security Identifier	Quantity	Cost Basis	Proceeds	Realized Gain/Loss
<b>Long Term</b>								
01/28/10	08/13/07	SELL	2AMCAP FUND CLASS A	AMCPX	155.322	Please Provide	2,496.00	N/A
01/28/10	11/15/07	SELL	2GENERAL ELECTRIC CO COM	GE	200.000	Please Provide	3,182.29	N/A
07/20/10	08/13/07	SELL	2AMCAP FUND CLASS A	AMCPX	279.430	Please Provide	4,496.00	N/A
07/20/10	08/13/07	SELL	2WASHINGTON MUTUAL INVESTORS FUND	AWSHX	188.703	Please Provide	4,496.00	N/A
<b>Total Long Term</b>						<b>\$0.00</b>	<b>\$14,670.29</b>	<b>\$0.00</b>
<b>Total Short Term and Long Term</b>						<b>\$0.00</b>	<b>\$14,670.29</b>	<b>\$0.00</b>

The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes, for example, it does not reflect disallowed losses from wash sale events. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. Typically these adjustments are received after year-end and there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports or online displays you may have available to you. Return of capital information has been obtained from sources we believe to be reliable.

When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.

<sup>2</sup>Realized gains and losses are not reported for securities for which cost basis or proceeds are not available.



# Brokerage Account Statement

Account Number: 6VK-433908  
Statement Period: 12/01/2010 - 12/31/2010

## Valuation at a Glance

	This Period	Year-to-Date
Beginning Account Value	\$204,552.76	\$194,675.61
Adjusted Previous Account Value	204,552.76	194,675.61
Dividends, Interest and Other Income	2,397.60	5,789.63
Net Other Activity	0.00	-2,911.76
Net Change in Portfolio	5,105.53	14,502.41
Ending Account Value	\$212,055.89	\$212,055.89
Estimated Annual Income	\$5,819.18	

\* 00001043 02 AV 0.460 02 TR 00005 X110PD01 000000

PARAKLETE FOUNDATION C/O DENNIS  
R SMITH CEO, NON PROFIT ORGANIZA  
626 ABBIE STREET  
PLEASANTON CA 94566-7402



Your Investment Advisor:  
MARY R. WARGA  
(925) 449-7830

*Checking*

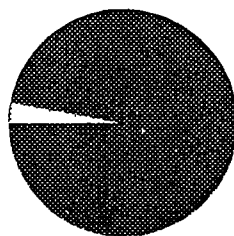
## Asset Allocation

Cash, Money Funds, and FDIC Deposits  
Exchange-Traded Products

Account Total (Pie Chart)

Last Period	This Period	% Allocation
3,873.54	6,271.14	3%
200,679.22	205,784.75	97%
\$204,552.76	\$212,055.89	100%

Asset Allocation percentages are rounded to the nearest whole percentage.  
Pie Chart allocation excludes all asset classes which net to a liability.



*2008-2010*

## Additional Information

	This Period	Year-to-Date
Securities Bought and Sold	\$0.00	-\$2,771.80

## Customer Service Information

### Your Investment Advisor: V3Q

MARY R. WARGA  
FOOTHILLS SECURITIES, INC.  
1202 A CONNOR BLVD  
LIVERMORE, CA 94550-6002

### Contact Information

Telephone Number: (925) 449-7830  
Fax Number: (925) 449-0598

Portfolio Manager: NEW FRONTIER

Portfolio Investment Style: ETF, PROF 3, TS, MODERATE

## Portfolio Holdings

Quantity	Opening Date	Account Number	Activity Ending	Opening Balance	Closing Balance	Accrued Income	Income This Year	30-Day Yield	Current Yield
<b>Cash, Money Funds, and FDIC Deposits 3.00% of Portfolio</b>									
Cash Balance				91.56	597.08				
<b>Money Market</b>									
FEDERATED CAPITAL RESERVES	12/01/10	0001169709	12/31/10	3,781.98	5,674.06	0.00	0.02	0.00%	0.00%
<b>Total Money Market</b>				<b>\$3,781.98</b>	<b>\$5,674.06</b>	<b>\$0.00</b>	<b>\$0.02</b>		
<b>Total Cash, Money Funds, and FDIC Deposits</b>				<b>\$3,873.54</b>	<b>\$6,271.14</b>	<b>\$0.00</b>	<b>\$0.02</b>		

Quantity	Acquisition Date	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
<b>Exchange-Traded Products 97.00% of Portfolio</b>								
<b>Exchange-Traded Products</b>								
<b>ISHARES TR BARCLAYS TIPS BD FD</b>								
Dividend Option Cash, Capital Gains Option Cash								
51,000	09/30/09	102.9080	5,248.29	107.5200	5,483.52	235.23	137.34	2.50%
<b>ISHARES TR S&amp;P NATL MUN BD FD</b>								
Dividend Option Cash, Capital Gains Option Cash								
31,000	01/17/08	102.9710	3,192.11	99.1800	3,074.58	-117.53	116.95	3.80%
4,000	01/12/09	101.7150	406.86	99.1800	396.72	-10.14	15.09	3.80%
31,000	02/25/09	100.4180	3,112.96	99.1800	3,074.58	-38.38	116.95	3.80%
46,000	03/03/09	99.1930	4,562.90	99.1800	4,562.28	-0.62	173.54	3.80%
24,000	09/30/09	105.7950	2,539.07	99.1800	2,380.32	-158.75	90.55	3.80%
<b>136,000</b>	<b>Total</b>		<b>\$13,813.90</b>		<b>\$13,488.48</b>	<b>-\$325.42</b>	<b>\$513.08</b>	

**Account Statement**

Statement Period: 12/01/2010 - 12/31/2010

**Portfolio Holdings (continued)**

Quantity	Acquisition Date	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
<b>Exchange-Traded Products (continued)</b>								
<b>Exchange-Traded Products (continued)</b>								
<b>POWERSHARES GLOBAL EXCH TRD FD TR</b>								
INSD NATL MUNI BD PORT								
Dividend Option Cash, Capital Gains Option Cash								
200 000	01/17/08	25 6070	5,121 48	22 5400	4,508 00	-613 48	220 71	4 89%
145 000	01/12/09	21 9570	3,183 74	22 5400	3,268 30	-84 56	160 02	4 89%
354 000	03/03/09	21 8730	7,742 87	22 5400	7,979 16	236 29	390 66	4 89%
416 000	07/12/10	24 0000	9,983 84	22 5400	9,376 64	-607 20	459 09	4 89%
<b>1,115,000</b>	<b>Total</b>		<b>\$26,031.93</b>		<b>\$25,132.10</b>	<b>-\$899.83</b>	<b>\$1,230.48</b>	
<b>SPDR GOLD TR GOLD SHS</b>								
Dividend Option Cash, Capital Gains Option Cash								
16 000	09/30/09	98 9120	1,582 59	138 7200	2,219 52	636 93		
<b>SPDR SERIES TR BARCLAYS HIGH YIELD</b>								
BD ETF								
Dividend Option Cash, Capital Gains Option Cash								
50 000	07/12/10	38 5290	1,926 47	39 7100	1,985 50	59 03	185 57	9 34%
<b>SPDR SER TR NUVEEN BARCLAYS CAP SHORT</b>								
TERM MUN BD ETF								
Dividend Option Cash, Capital Gains Option Cash								
65 000	02/25/09	23 7390	1,543 02	23 8100	1,547 65	4 63	24 85	1 60%
45 000	03/03/09	23 6450	1,064 03	23 8100	1,071 45	7 42	17 20	1 60%
13 000	09/30/09	24 0660	312 86	23 8100	309 53	-3 33	4 97	1 60%
<b>123,000</b>	<b>Total</b>		<b>\$2,919.91</b>		<b>\$2,928.63</b>	<b>\$8.72</b>	<b>\$47.02</b>	
<b>SPDR SER TR NUVEEN BARCLAYS CAP MUN BD</b>								
ETF								
Dividend Option Cash, Capital Gains Option Cash								
180 000	01/17/08	22 7550	4,095 96	21 6300	3,893 40	-202 56	147 04	3 77%
208 000	02/25/09	22 0300	4,582 24	21 6300	4,499 04	-83 20	169 91	3 77%
273 000	03/03/09	21 7400	5,935 02	21 6300	5,904 99	-30 03	223 01	3 77%
202 000	09/30/09	23 2550	4,697 48	21 6300	4,369 26	-328 22	165 02	3 77%
<b>863,000</b>	<b>Total</b>		<b>\$19,310.70</b>		<b>\$18,666.69</b>	<b>-\$644.01</b>	<b>\$704.98</b>	



# Portfolio Holdings (continued)

Quantity	Acquisition Date	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
<b>Exchange-Traded Products (continued)</b>								
<b>Exchange-Traded Products (continued)</b>								
<b>SPDR SER TR DOW JONES REIT ETF</b>								
Dividend Option Cash, Capital Gains Option Cash	03/03/09	23 8500	Security Identifier RNR	61 0200	4,027 32	2,453 22	118 32	2 93%
66 000								
<b>VANGUARD TAX MANAGED INTL FD EUROPE PACIFIC ETF</b>								
Dividend Option Cash, Capital Gains Option Cash	11/13/08	25 4680	5,271 95	36 1500	7,483 05	2,211 10	185 68	2 48%
207 000								
238 000	03/03/09	19 9200	4,740 96	36 1500	8,603 70	3,862 74	213 49	2 48%
45 000	07/12/10	31 3380	1,410 23	36 1500	1,626 75	216 52	40 36	2 48%
<b>490.000</b>	<b>Total</b>		<b>\$11,423.14</b>		<b>\$17,713.50</b>	<b>\$6,290.36</b>	<b>\$439.53</b>	
<b>VANGUARD INTL EQUITY INDEX FDS FTSE ALL WORLD EX USA SMALL CAP INDEX FD ETF SHS</b>								
Dividend Option Cash, Capital Gains Option Cash	07/12/10	79 9210	Security Identifier VSS	99 6200	7,371 88	1,457 76	161 46	2 19%
74 000								
<b>VANGUARD INTL EQUITY INDEX FDS VANGUARD EMERGING MKTS ETF</b>								
Dividend Option Cash, Capital Gains Option Cash	11/13/08	22 4080	784 28	48 1460	1,685 11	900 83	28 52	1 69%
35 000								
129 000	03/03/09	19 2750	2,486 48	48 1460	6,210 84	3,724 36	105 13	1 69%
97 000	07/12/10	40 1360	3,893 15	48 1460	4,670 16	777 01	79 06	1 69%
<b>261.000</b>	<b>Total</b>		<b>\$7,163.91</b>		<b>\$12,566.11</b>	<b>\$5,402.20</b>	<b>\$212.71</b>	
<b>VANGUARD INTL EQUITY INDEX FD INC VANGUARD PACIFIC ETF</b>								
Dividend Option Cash, Capital Gains Option Cash	01/17/08	62 8550	Security Identifier VPL	57 0400	4,734 32	-482 61	186 17	3 93%
83 000								
5 000	01/12/09	41 6080	208 04	57 0400	285 20	77 16	11 21	3 93%
71 000	03/03/09	32 6700	2,319 57	57 0400	4,049 84	1,730 27	159 25	3 93%
9 000	09/30/09	52 5600	473 04	57 0400	513 36	40 32	20 19	3 93%
60 000	07/12/10	49 9800	2,998 81	57 0400	3,422 40	423 59	134 58	3 93%
<b>228.000</b>	<b>Total</b>		<b>\$11,216.39</b>		<b>\$13,005.12</b>	<b>\$1,788.73</b>	<b>\$511.40</b>	
<b>VANGUARD INTL EQUITY INDEX FD INC VANGUARD EUROPEAN ETF</b>								
Dividend Option Cash, Capital Gains Option Cash	01/17/08	68 9340	Security Identifier VCK	49 0900	343 63	-138 91	16 14	4 69%
7 000								
110 000	03/03/09	27 4000	482 54	49 0900	5,399 90	2,385 90	253 66	4 69%
<b>117.000</b>	<b>Total</b>		<b>\$3,496.54</b>		<b>\$5,743.53</b>	<b>\$2,246.99</b>	<b>\$269.80</b>	

**Portfolio Holdings (continued)**

Statement Period: 12/01/2010 - 12/31/2010

Quantity	Acquisition Date	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
<b>Exchange-Traded Products (continued)</b>								
<b>Exchange-Traded Products (continued)</b>								
<b>VANGUARD INDEX FDS VANGUARD SMALL CAP GROWTH ETF</b>								
Security Identifier VBR								
Dividend Option Cash, Capital Gains Option Cash								
40,000	01/12/09	41,0580	1,642.33	78,0400	3,121.60	1,479.27	14.44	0.46%
65,000	03/03/09	32,8500	2,135.25	78,0400	5,072.60	2,937.35	23.46	0.46%
14,000	07/12/10	60,4690	846.56	78,0400	1,092.56	246.00	5.05	0.46%
<b>119,000</b>	<b>Total</b>		<b>\$4,624.14</b>		<b>\$9,286.76</b>	<b>\$4,662.62</b>	<b>\$42.95</b>	
<b>VANGUARD INDEX FDS VANGUARD SMALL CAP VALUE ETF</b>								
Security Identifier VBR								
Dividend Option Cash, Capital Gains Option Cash								
29,000	07/12/07	76,0030	2,204.10	66,8600	1,938.94	-265.16	37.67	1.94%
51,000	03/03/09	29,2800	1,493.28	66,8600	3,409.86	1,916.58	66.25	1.94%
10,000	09/30/09	54,1150	541.15	66,8600	668.60	127.45	12.99	1.94%
<b>90,000</b>	<b>Total</b>		<b>\$4,238.53</b>		<b>\$6,017.40</b>	<b>\$1,778.87</b>	<b>\$116.91</b>	
<b>VANGUARD INDEX FDS VANGUARD GROWTH ETF</b>								
Security Identifier VUG								
Dividend Option Cash, Capital Gains Option Cash								
131,000	07/12/07	64,0190	8,386.45	61,4200	8,046.02	-340.43	91.70	1.13%
6,000	01/17/08	59,6580	357.95	61,4200	368.52	10.57	4.20	1.13%
58,000	01/12/09	39,1820	2,272.58	61,4200	3,562.36	1,289.78	40.60	1.13%
188,000	03/03/09	33,2600	6,252.88	61,4200	11,546.96	5,294.08	131.60	1.13%
5,000	09/30/09	49,5200	247.60	61,4200	307.10	59.50	3.50	1.13%
<b>388,000</b>	<b>Total</b>		<b>\$17,517.46</b>		<b>\$23,830.96</b>	<b>\$6,313.50</b>	<b>\$271.60</b>	
<b>VANGUARD INDEX FDS VANGUARD VALUE ETF</b>								
Security Identifier VTV								
Dividend Option Cash, Capital Gains Option Cash								
259,000	07/12/07	73,3330	18,993.33	53,3300	13,812.47	-5,180.86	325.56	2.35%
94,000	01/12/09	39,9820	3,758.28	53,3300	5,013.02	1,254.74	118.16	2.35%
315,000	03/03/09	29,4900	9,289.35	53,3300	16,798.95	7,509.60	395.95	2.35%

# Portfolio Holdings (continued)

Quantity	Acquisition Date	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
<b>Exchange-Traded Products (continued)</b>								
<b>Exchange-Traded Products (continued)</b>								
<b>VANGUARD INDEX FDS VANGUARD VALUE ETF (continued)</b>								
13,000	09/30/09	46,3390	602.41	53.3300	693.29	-90.88	-16.34	-2.35%
681,000	Total		\$32,643.37		\$36,317.73	\$3,674.36	\$856.01	
Total Exchange-Traded Products			\$170,645.49		\$205,784.75	\$35,139.26	\$5,819.16	
Total Exchange-Traded Products			\$170,645.49		\$205,784.75	\$35,139.26	\$5,819.16	
<b>Total Portfolio Holdings</b>								
			\$176,916.63		\$212,055.89	\$35,139.26	\$5,819.18	

## Disclosures and Other Information

Pricing - Securities prices may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. Prices are received from various pricing services. However, pricing services are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt securities, estimated prices may be generated by a matrix system taking various factors into consideration. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, such securities have not been included in the Asset Allocation information at the beginning of this statement.

The Estimated Price as of Date only appears when the price date does not equal the statement date.

Reinvestment - The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your Statement may have been reinvested. You will not receive confirmation of these reinvestments. However, information pertaining to these transactions which would otherwise appear on confirmations, including the time of execution and the name of the person from whom your security was purchased, will be furnished to you upon written request to your introducing firm. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow, the source and nature of which payment will be furnished to you upon written request to your introducing firm.

Option Disclosure - Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

Foreign Currency Transactions - Pershing may execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

Proxy Vote - Securities held by you on margin (securities not fully paid for by you) may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin will be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

Exchange-Traded Products - Exchange-traded products may include any combination of exchange-traded funds, exchange-traded notes, and other exchange-traded products.