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Form 990-PF

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

2010

For calendar year 2010, or tax year beginning 06-01-2010 , and ending 05-31-2011

G Check all that apply

☐ Initial return

☐ Initial return of a former public charity

☐ Final return

☐ Amended return

☐ Address change

☐ Name change

Name of foundation
THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

Number and street (or P O box number if mail is not delivered to street address)
385 WATERVLIT SHAKER ROAD

Room/suite

City or town, state, and ZIP code
LATHAM, NY 12208

H Check type of organization

☒ Section 501(c)(3) exempt private foundation

☐ Section 4947(a)(1) nonexempt charitable trust

☐ Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, col. (c), line 16)

J Accounting method

\$ 4,310,072

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

A Employer identification number
52-2256192

B Telephone number (see page 10 of the instructions)
(518) 269-9464

C If exemption application is pending, check here

D 1. Foreign organizations, check here

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

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

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

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	544,833			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	82	82	82	
	4 Dividends and interest from securities.	77,472	77,472	77,472	
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	190,836			
	b Gross sales price for all assets on line 6a _____ 1,434,637				
	7 Capital gain net income (from Part IV , line 2)		191,322		
	8 Net short-term capital gain			37,257	
	9 Income modifications				
	10a Gross sales less returns and allowances				
Operating and Administrative Expenses	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	813,223	268,876	114,811	
	13 Compensation of officers, directors, trustees, etc	17,000	8,500		8,500
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule).	1,500	750		750
	b Accounting fees (attach schedule).	8,450	7,605		845
	c Other professional fees (attach schedule)	34,812	34,812		
	17 Interest				
	18 Taxes (attach schedule) (see page 14 of the instructions)	1,062	1,062		
	19 Depreciation (attach schedule) and depletion . . .	252			
	20 Occupancy	500	250		250
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule).	1,944	974		970
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	65,520	53,953		11,315
	25 Contributions, gifts, grants paid	311,308			311,308
	26 Total expenses and disbursements. Add lines 24 and 25	376,828	53,953		322,623
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	436,395			
	b Net investment income (if negative, enter -0-)		214,923		
	c Adjusted net income (if negative, enter -0-)			114,811	

Part II

Balance Sheets

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1Cash—non-interest-bearing			
	2Savings and temporary cash investments	389,207	401,032	401,032
	3Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5Grants receivable			
	6Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8Inventories for sale or use			
	9Prepaid expenses and deferred charges			
	10aInvestments—U S and state government obligations (attach schedule)	1,007,121	1,108,649	1,140,318
	bInvestments—corporate stock (attach schedule)	1,722,191	2,008,660	2,478,207
	cInvestments—corporate bonds (attach schedule).	237,378	278,192	290,515
	11Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12Investments—mortgage loans			
	13Investments—other (attach schedule)			
	14Land, buildings, and equipment basis ▶ _____ 2,187 Less accumulated depreciation (attach schedule) ▶ _____ 1,809	630	378	
Liabilities	15Other assets (describe ▶ _____)	6,061	2,072	
	16Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	3,362,588	3,798,983	4,310,072
	17Accounts payable and accrued expenses			
	18Grants payable			
	19Deferred revenue			
	20Loans from officers, directors, trustees, and other disqualified persons			
	21Mortgages and other notes payable (attach schedule)			
	22Other liabilities (describe ▶ _____)			
	23Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
	24Unrestricted			
	25Temporarily restricted			
	26Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.			
	27Capital stock, trust principal, or current funds	3,362,588	3,798,983	
	28Paid-in or capital surplus, or land, bldg , and equipment fund			
	29Retained earnings, accumulated income, endowment, or other funds			
	30Total net assets or fund balances (see page 17 of the instructions)	3,362,588	3,798,983	
	31Total liabilities and net assets/fund balances (see page 17 of the instructions)	3,362,588	3,798,983	

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	3,362,588
2	Enter amount from Part I, line 27a	2	436,395
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	3,798,983
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	3,798,983

Part IV

Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)	
1a	See Additional Data Table				
b					
c					
d					
e					
(e) Gross sales price		(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale		(h) Gain or (loss) (e) plus (f) minus (g)
a	See Additional Data Table				
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69					(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69		(j) Adjusted basis as of 12/31/69		(k) Excess of col (i) over col (j), if any	
a	See Additional Data Table				
b					
c					
d					
e					
2	Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }			2191,322
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8	{ }			337,257

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	266,744	3,104,041	0 08593
2008	29,627	2,734,889	0 01083
2007	311,359	3,414,984	0 09117
2006	200,679	2,918,039	0 06877
2005	96,208	2,117,225	0 04544
2	Total of line 1, column (d).		20 30215
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		30 06043
4	Enter the net value of noncharitable-use assets for 2010 from Part X, line 5.		43,721,093
5	Multiply line 4 by line 3.		5224,869
6	Enter 1% of net investment income (1% of Part I, line 27b).		62,149
7	Add lines 5 and 6.		7227,018
8	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		8322,623

Part VIExcise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)			
1aExempt 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)			
bDomestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	2,149
cAll other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	
3Add lines 1 and 2.		3	2,149
4Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	2,149
6Credits/Payments			
a	2010 estimated tax payments and 2009 overpayment credited to 2010	6a	2,192
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7Total credits and payments Add lines 6a through 6d.		7	2,192
8Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached		8	
9Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		9	
10Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.		10	43
11Enter the amount of line 10 to be Credited to 2011 estimated tax 43 Refunded		11	

Part VII-AStatements Regarding Activities			
1aDuring 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?			YesNo
bDid it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the 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.			NoNo
cDid the foundation file Form 1120-POL for this year?.		1c	No
dEnter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ (2) On foundation managers \$			
eEnter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$			
2Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		2	No
3Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		3	No
4aDid the foundation have unrelated business gross income of \$1,000 or more during the year?.		4a	No
bIf "Yes," has it filed a tax return on Form 990-T for this year?.		4b	No
5Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		5	No
6Are 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?		6	Yes
7Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV		7	Yes
8aEnter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) <input checked="" type="checkbox"/> NY, MD			
bIf the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .		8b	Yes
9Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2010 or the taxable year beginning in 2010 (see instructions for Part XIV on page 27)? If "Yes," complete Part XIV		9	No
10Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		10	No

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 page 20 of the instructions).	11		No
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A	13	Yes	
14	The books are in care of SISTER SERENA THOMPSON Telephone no (518) 269-9464 Located at 385 WATERVLIJET SHAKER ROAD LATHAM NY ZIP+4 12208			
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	
16	At any time during calendar year 2010, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		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
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? (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? (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)? (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).			
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 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here.	1b		No
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2010?	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? If "Yes," list the years 20 , 20 , 20 , 20			
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 20 of the instructions).	2b		No
c	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			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?			
b	If "Yes," did it have excess business holdings in 2010 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010.).	3b		No
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2010?	4b		No

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))?	<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	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.	5b		No
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? <i>If "Yes," attach the statement required by Regulations section 53.4945–5(d).</i>			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? <i>If "Yes" to 6b, file Form 8870.</i>	6b		No
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		No

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
See Additional Data Table				
2 Compensation of five highest-paid employees (other than those included on line 1—see page 23 of the instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				

Part VIII

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

3 Five highest-paid independent contractors for professional services (see page 23 of the instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services.		

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see page 24 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See page 24 of the instructions.	
3	
Total. 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.)

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	3,495,414
b	Average of monthly cash balances.	1b	282,345
c	Fair market value of all other assets (see page 24 of the instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	3,777,759
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	
3	Subtract line 2 from line 1d.	3	3,777,759
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions).	4	56,666
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,721,093
6	Minimum investment return. Enter 5% of line 5.	6	186,055

Part XI

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

1	Minimum investment return from Part X, line 6.	1	186,055
2a	Tax on investment income for 2010 from Part VI, line 5.	2a	2,149
b	Income tax for 2010 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	2,149
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	183,906
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	183,906
6	Deduction from distributable amount (see page 25 of the instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	183,906

Part XII

Qualifying Distributions (see page 25 of the instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26.	1a	322,623
b	Program-related investments—total from Part IX-B.	1b	
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	322,623
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see page 26 of the instructions).	5	2,149
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	320,474
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
1	Distributable amount for 2010 from Part XI, line 7				183,906
2	Undistributed income, if any, as of the end of 2010				
a	Enter amount for 2009 only.				
b	Total for prior years 20____, 20____, 20____				
3	Excess distributions carryover, if any, to 2010				
a	From 2005.				
b	From 2006.				
c	From 2007. 49,791				
d	From 2008.				
e	From 2009. 113,158				
f	Total of lines 3a through e.	162,949			
4	Qualifying distributions for 2010 from Part XII, line 4 ▶ \$ 322,623				
a	Applied to 2009, but not more than line 2a				
b	Applied to undistributed income of prior years (Election required—see page 26 of the instructions)				
c	Treated as distributions out of corpus (Election required—see page 26 of the instructions). . .	0			
d	Applied to 2010 distributable amount.				183,906
e	Remaining amount distributed out of corpus	138,717			
5	Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6	Enter the net total of each column as indicated below:				
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5	301,666			
b	Prior years' undistributed income Subtract line 4b from line 2b.				
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d	Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions . . .				
e	Undistributed income for 2009 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions				
f	Undistributed income for 2010 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011				0
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)				
8	Excess distributions carryover from 2005 not applied on line 5 or line 7 (see page 27 of the instructions)				
9	Excess distributions carryover to 2011. Subtract lines 7 and 8 from line 6a	301,666			
10	Analysis of line 9				
a	Excess from 2006.				
b	Excess from 2007. 49,791				
c	Excess from 2008.				
d	Excess from 2009. 113,158				
e	Excess from 2010. 138,717				

Part XIVPrivate 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 organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

Part XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see page 27 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

b

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

c



Any submission deadlines

d

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

Part XV **Supplementary Information** (continued)

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

Recipient	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
Name and address (home or business)				
a <i>Paid during the year</i> SISTERS OF ST JOSEPH 385 WATERVLIET-SHAKER RD LATHAM,NY 12110		N/A	CAPITAL PROJECT FOR THE PROVINCIAL HOUSE	200,000
CATHOLIC CHARITIES OF THE DIOC 40 NORTH MAIN AVE ALBANY,NY 12203		N/A	ADVANCEMENT OF ORGANIZATION'S INVOLVEMENT WITH THE CALLED TO BE CHURCH PROGRAM	42,500
ROMAN CATHOLIC DIOCESE OF ALBANY 40 N MAIN AVE 4 ALBANY,NY 12203		N/A	INITIATION OF 'AMAZING GOD' EVANGELIZATION PROGRAM	68,808
Total			 3a	311,308
b <i>Approved for future payment</i>				
Total			 3b	

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
2 Membership dues and assessments.					
3 Interest on savings and temporary cash investments			14	82	
4 Dividends and interest from securities.			14	77,472	
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property					
7 Other investment income.					
8 Gain or (loss) from sales of assets other than inventory			18	190,836	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory. . .					
11 Other revenue a _____					
b _____					
c _____					
d _____					
e _____					
12 Subtotal. Add columns (b), (d), and (e). . .				268,390	
13 Total. Add line 12, columns (b), (d), and (e). 13				268,390	268,390

[illegible]

Part XVII

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

1

Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

a

Transfers from the reporting foundation to a noncharitable exempt organization of

1

Cash.

2

Other assets.

b

Other transactions

1

Sales of assets to a noncharitable exempt organization.

2

Purchases of assets from a noncharitable exempt organization.

3

Rental of facilities, equipment, or other assets.

4

Reimbursement arrangements.

5

Loans or loan guarantees.

6

Performance of services or membership or fundraising solicitations.

c

Sharing of facilities, equipment, mailing lists, other assets, or paid employees.

d

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

Yes

No

(a) Line No	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

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.

2011-10-04

Signature of officer or trustee

Date

Title

Paid Preparer's Use Only

Preparer's Signature

LAWRENCE M KNAPEK CPA

Date

Check if self-employed

PTIN

Firm's name

KNAPEK GABRIELE & BOTTINI LLP

Firm's EIN

Firm's address

43 BRITISH AMERICAN BLVD
LATHAM, NY 12110

Phone no.

(518) 459-5222

Form 990-PF (2010)

<div>Schedule B</div> <div>(Form 990, 990-EZ, or 990-PF)</div> <div>Department of the Treasury Internal Revenue Service</div>	<div>Schedule of Contributors</div> <div>▶ Attach to Form 990, 990-EZ, or 990-PF.</div>	<div>OMB No 1545-0047</div>
		<div>2010</div>

<div>Name of organization</div> <div>THE JOHN MARIE AND JOSEPH WHALEN FOUNDATION INC</div>	<div>Employer identification number</div> <div>52-2256192</div>
--	---

Organization type (check one)

Filers of:	Section:
Form 990 or 990-EZ	<div><input type="checkbox"/> 501(c)() (enter number) organization</div> <div><input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation</div> <div><input type="checkbox"/> 527 political organization</div>
Form 990-PF	<div><input checked="" type="checkbox"/> 501(c)(3) exempt private foundation</div> <div><input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation</div> <div><input type="checkbox"/> 501(c)(3) taxable private foundation</div>

Check if your organization is covered by the **General Rule** or a **Special Rule**.
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

General Rule—

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor Complete Parts I and II

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ, that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or 990-EZ, that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals Complete Parts I, II, and III
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990, or 990-EZ, that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc , purposes, but these contributions did not aggregate to more than \$1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc , contributions of \$5,000 or more during the year ▶ \$ _____

Caution. An Organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer “No” on Part IV, line 2 of its Form 990, or check the box on lin H of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

Name of organization THE JOHN MARIE AND JOSEPH WHALEN FOUNDATION INC	Employer identification number 52-2256192
---	---

Part I

Contributors (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	FATHER JOHN P WHALEN CLAT 22 HYATT ROAD BRIARCLIFF MANOR, NY 105102610	\$ 544,833	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
—		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
—		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
—		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
—		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
—		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
—		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
—		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)

Name of organization THE JOHN MARIE AND JOSEPH WHALEN FOUNDATION INC	Employer identification number 52-2256192
---	---

Part II

Noncash Property (see Instructions)

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
—	<div></div> <div></div> <div></div> <div></div>	\$ <div></div>	<div></div>

Name of organization THE JOHN MARIE AND JOSEPH WHALEN FOUNDATION INC	Employer identification number 52-2256192
---	---

Part III

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations aggregating more than \$1,000 for the year. (Complete columns (a) through (e) and the following line entry)
For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **\$1,000 or less** for the year (Enter this information once See instructions) ► \$

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
—	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>
	<div>(e) Transfer of gift</div> <div>Transferee's name, address, and ZIP + 4Relationship of transferor to transferee</div>		
	<div></div> <div></div> <div></div>		
—	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>
	<div>(e) Transfer of gift</div> <div>Transferee's name, address, and ZIP + 4Relationship of transferor to transferee</div>		
	<div></div> <div></div> <div></div>		
—	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>
	<div>(e) Transfer of gift</div> <div>Transferee's name, address, and ZIP + 4Relationship of transferor to transferee</div>		
	<div></div> <div></div> <div></div>		
—	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>	<div></div> <div></div> <div></div>
	<div>(e) Transfer of gift</div> <div>Transferee's name, address, and ZIP + 4Relationship of transferor to transferee</div>		
	<div></div> <div></div> <div></div>		

Additional Data

Software ID: 10000105
Software Version: 2010v3.2
EIN: 52-2256192
Name: THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(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)
A	CASH IN LIEU	P	2011-01-01	2011-01-01
B	SEE ATTACHED MERRILL LYNCH ACCOUNT NO 808-02019	P	2011-01-01	2011-05-31
C	SEE ATTACHED MERRILL LYNCH ACCOUNT NO 808-02019	D	2000-01-01	2011-05-31
D	SEE ATTACHED MERRILL LYNCH ACCOUNT NO 808-02019	P	2000-01-01	2011-05-31
E	SEE ATTACHED MERRILL LYNCH ACCOUNT NO 808-02019	P	2011-01-01	2011-05-31
F	SEE ATTACHED MERRILL LYNCH ACCOUNT NO 808-02013	P	2011-01-01	2011-05-31

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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	101			101
B	15,806		15,806	
C	3,803		3,956	-153
D	732,351		578,133	154,218
E	471,349		437,739	33,610
F	211,227		207,681	3,546

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69		(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
A				101
B				
C				-153
D				154,218
E				33,610
F				3,546

Form 990PF Part VIII Line 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
MARY P WHALEN	Director 1 00	2,000		
385 WATERVLIET SHAKER ROAD LATHAM, NY 12208				
ELIZABETH SIMCOE	Director 1 00	2,000		
385 WATERVLIET SHAKER ROAD LATHAM, NY 12208				
SISTER PATRICIA HOULIHAN	Director 1 00	1,000		
385 WATERVLIET SHAKER ROAD LATHAM, NY 12208				
PHILIP J WHALEN	Chairman 1 00	2,000		
385 WATERVLIET SHAKER ROAD LATHAM, NY 12208				
SISTER LAUREN VANDERMARK	Director 1 00	2,000		
385 WATERVLIET-SHAKER ROAD LATHAM, NY 12208				
BISHOP HOWARD HUBBARD	Director 1 00	2,000		
385 WATERVLIET SHAKER ROAD LATHAM, NY 12208				
FATHER KENNETH DOYLE	Vice Chairman 1 00	2,000		
385 WATERVLIET SHAKER ROAD LATHAM, NY 12208				
DR JOSEPH P WHALEN SR	Director 1 00	2,000		
385 WATERVLIET SHAKER ROAD LATHAM, NY 12208				
SISTER SERENA THOMPSON	Sec/Treasurer 1 00	2,000		
385 WATERVLIET SHAKER ROAD LATHAM, NY 12208				

TY 2010 Accounting Fees Schedule

Name: THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

EIN: 52-2256192

Software ID: 10000105

Software Version: 2010v3.2

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	8,450	7,605	0	845

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2010 Depreciation Schedule

Name: THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

EIN: 52-2256192

Software ID: 10000105

Software Version: 2010v3.2

TY 2010 Depreciation Schedule

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
OFFICE EQUIPMENT	2007-12-01	2,187	1,557	53	11 52 %	252			

TY 2010 Land, Etc. Schedule

Name: THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

EIN: 52-2256192

Software ID: 10000105

Software Version: 2010v3.2

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
Miscellaneous	2,187	1,809	378	

TY 2010 Legal Fees Schedule

Name: THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

EIN: 52-2256192

Software ID: 10000105

Software Version: 2010v3.2

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ATTORNEY FEES	1,500	750	0	750

TY 2010 Other Assets Schedule

Name: THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

EIN: 52-2256192

Software ID: 10000105

Software Version: 2010v3.2

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
ACCRUED INTEREST PAID	6,061	2,072	

TY 2010 Other Expenses Schedule

Name: THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

EIN: 52-2256192

Software ID: 10000105

Software Version: 2010v3.2

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
OFFICE EXPENSE	13	7		6
NYS FILING FEES	275	138		137
INSURANCE	1,165	583		582
BOARD EXPENSES	491	246		245

TY 2010 Other Professional Fees Schedule

Name: THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

EIN: 52-2256192

Software ID: 10000105

Software Version: 2010v3.2

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MGMT FEES	34,812	34,812	0	0

TY 2010 Taxes Schedule

Name: THE JOHN MARIE AND JOSEPH WHALEN
FOUNDATION INC

EIN: 52-2256192

Software ID: 10000105

Software Version: 2010v3.2

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN INCOME TAXES	1,062	1,062		

(42)

The John Marie and Joseph Whalen Foundation
 EIN 52-2256192
 Attachment to Form 990-PF, Part IV Capital Gains and Losses
EMA Fiscal Statement for Tax on Investment Income

THE JOHN MARIE AND JOSEPH

FISCAL YEAR ACTIVITY

Date	Transaction	Quantity	Description	Price	Debit	Credit
Dividends and Interest						
03/31/11	CASH		BIF MONEY FUND			3.00
03/31/11	Share Dividend	3	BIF MONEY FUND			
03/31/11	Cash Dividend		BIF MONEY FUND			0.05
04/29/11	CASH		BIF MONEY FUND			2.00
04/29/11	Share Dividend	2	BIF MONEY FUND			
04/29/11	Cash Dividend		BIF MONEY FUND			0.63
05/31/11	CASH		BIF MONEY FUND			3.00
05/31/11	Share Dividend	3	BIF MONEY FUND			
05/31/11	Cash Dividend		BIF MONEY FUND			0.04
	Sub Total					<u>64.84</u>
	Net Total				<u>2,067.19</u>	<u>58,417.11</u>
Other Activity						
07/09/10	Journal Entry		BR PI FEE THRU 09/30/10		1,577.55	
10/08/10	Journal Entry		BR PI FEE THRU 12/31/10		1,607.39	
12/29/10	Exchange		KRAFT FOODS INC			120.00
01/13/11	Journal Entry		BR PI FEE THRU 03/31/11		1,551.77	
02/01/11	Journal Entry		TR FROM 80802012			80,000.00
04/07/11	Journal Entry		BR PI FEE THRU 06/30/11		1,559.78	
	Net Total				<u>6,296.49</u>	<u>80,120.00</u>

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
20,000.0000	US TSY 2.875% JUN 30 2010	05/20/09	06/30/10	20,000.00 ✓	20,000.00	0.00
13,000.0000	US TSY 2.750% FEB 15 2019	05/20/09	07/08/10	12,889.75	12,511.54	378.21 LT
10,000.0000	US TSY 2.750% FEB 15 2019	01/12/10	07/08/10	9,915.19	9,308.63	606.56 ST
9,000.0000	US TSY 2.750% FEB 15 2019	05/03/10	07/08/10	8,923.68	8,457.57	466.11 ST
12,000.0000	US TSY 1.000% DEC 31 2011	01/06/10	10/28/10	12,100.74	11,988.79	111.95 ST

PLEASE SEE REVERSE SIDE

58-1.1
(42)

EMATM Fiscal Statement

THE JOHN MARIE AND JOSEPH

REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
36,000.0000	US TSY 1.000% SEP 30 2011	10/29/09	10/28/10	36,247.38 ✓	36,021.53	225.85 ST
4,000.0000	KRAFT FOODS INC 6.25% 2012	07/14/10	12/29/10	4,190.48 ✓	4,265.16	(74.68) ST
20,000.0000	US TSY 5.125% MAY 15 2016	10/07/09	12/13/10	23,027.26 ✓	22,501.00	526.26 LT
7,000.0000	US TSY 6.250% AUG 15 2023	05/20/09	12/13/10	8,716.34 ✓	8,610.05	106.29 LT
25,000.0000	CITIGROUP INC 6.50% 2011	10/07/09	01/18/11	25,000.00 ✓	25,000.00	0.00
12,000.0000	US TSY 4.375% NOV 15 2039	01/06/10	02/15/11	11,432.29 ✓	11,437.55	(5.26) LT
3,000.0000	US TSY 4.375% NOV 15 2039	02/10/11	02/15/11	2,858.08 ✓	2,832.79	25.29 ST
3,000.0000	KRAFT FOODS INC 6.25% 2012	07/14/10	03/17/11	3,190.77 ✓	3,167.19	23.58 ST
13,000.0000	US TSY 4.375% AUG 15 2012	05/03/10	03/17/11	13,729.68 ✓	13,596.06	133.62 ST
19,000.0000	US TSY 3.125% MAY 15 2019	06/19/09	03/10/11	19,005.12 ✓	17,983.21	1,021.91 LT
Sales proceeds				211,226.76	207,681.07	3,545.69

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Security Description	Acquisition Date	Liquidation Date	Wash Sale	Quantity	Acquisition Cost	Liquidation Amount	Short-Term Gain/(Loss)	Long-Term Gain/(Loss)
ABB LTD SPON ADR	05/07/10	03/02/11		151	2,688	3,676	988	0
ABB LTD SPON ADR	05/27/10	04/07/11		80	1,359	1,941	582	0
ABB LTD SPON ADR	05/07/10	04/07/11		84	1,495	2,042	547	0
ABB LTD SPON ADR	07/07/10	04/07/11		58	1,054	1,407	354	0
ABB LTD SPON ADR	05/07/10	09/16/10		107	1,905	2,192	288	0
ABB LTD SPON ADR	05/27/10	04/07/11		31	527	754	227	0
ABB LTD SPON ADR	02/10/11	04/07/11		42	977	1,019	42	0
ABBOTT LABS	01/12/10	12/08/10		13	721	605	(116)	0
AES CORP	09/23/09	06/03/10		32	483	317	(165)	0
AES CORP	01/12/10	06/03/10		61	843	605	(238)	0
AES CORP	09/22/09	06/01/10		104	1,563	1,016	(547)	0
AES CORP	09/23/09	06/02/10		140	2,112	1,356	(756)	0
AES CORP	09/21/09	06/01/10		172	2,474	1,680	(794)	0
AES CORP	09/22/09	06/02/10		166	2,494	1,608	(887)	0
ALTERA CORP COM	06/16/10	10/27/10		140	3,637	4,338	702	0
ANADARKO PETE CORP	07/20/09	06/22/10		103	4,852	4,295	(557)	0
ANADARKO PETE CORP	01/12/10	06/22/10		26	1,690	1,084	(606)	0
ANADARKO PETE CORP	11/05/09	06/22/10		45	2,958	1,876	(1,082)	0
APACHE CORP	07/28/10	10/07/10		38	3,603	3,762	160	0
ARCELORMITTAL SA, LUXEMBOURG	06/10/10	01/10/11		72	2,060	2,482	422	0
ARCELORMITTAL SA, LUXEMBOURG	01/12/10	01/10/11		15	703	517	(186)	0
ASML HLDG N V NEW YORK REGISTRY SHAR	07/01/10	02/17/11		92	2,537	4,120	1,583	0
ASML HLDG N V NEW YORK REGISTRY SHAR	08/19/10	03/16/11		90	2,605	3,549	944	0
ASML HLDG N V NEW YORK REGISTRY SHAR	07/01/10	01/14/11		53	1,462	2,143	682	0
ASML HLDG N V NEW YORK REGISTRY SHAR	07/01/10	03/16/11		8	221	315	95	0
ASML HLDG N V NEW YORK REGISTRY SHAR	08/19/10	03/17/11		2	58	81	23	0
ASML HLDG N V NEW YORK REGISTRY SHAR	02/10/11	03/17/11		22	944	891	(53)	0
AVON PROD INC	01/12/10	11/03/10		7	221	200	(21)	0
AXA -SPONS ADR	06/08/10	08/16/10		98	1,420	1,631	210	0
AXA -SPONS ADR	05/10/10	08/02/10		50	928	949	21	0
AXA -SPONS ADR	05/10/10	07/27/10		65	1,207	1,213	6	0
AXA -SPONS ADR	05/10/10	08/16/10		284	5,273	4,725	(548)	0
BAIDU INC SPON ADR	11/05/09	10/13/10		17	671	1,698	1,026	0
BAIDU INC SPON ADR	01/12/10	10/13/10		5	197	499	303	0
BAIDU INC SPON ADR	11/05/09	07/27/10		3	118	244	125	0
BHP BILLITON PLC SP ADR	05/27/10	03/21/11		38	2,116	2,858	742	0
BHP BILLITON PLC SP ADR	02/10/11	03/21/11		13	1,040	978	(62)	0
BMC SOFTWARE INC	01/12/10	08/31/10		21	833	761	(72)	0
BRIDGESTONE CORP ADR	01/12/10	06/24/10		27	914	884	(30)	0
BRIDGESTONE CORP ADR	10/23/09	06/24/10		31	1,074	1,015	(59)	0
BRITISH AMN TOBACO SPADR	01/10/11	03/28/11		11	830	859	28	0
BRITISH AMN TOBACO SPADR	01/11/11	03/29/11		8	608	634	25	0
BRITISH AMN TOBACO SPADR	01/11/11	03/28/11		8	608	625	16	0
BRITISH AMN TOBACO SPADR	09/28/10	03/28/11		5	379	390	12	0
BRITISH AMN TOBACO SPADR	09/28/10	03/22/11		7	530	542	12	0
BRITISH AMN TOBACO SPADR	02/10/11	03/29/11		4	310	317	7	0
BRITISH AMN TOBACO SPADR	02/18/11	03/29/11		36	2,887	2,852	(35)	0
CAPITAL ONE FINL	03/29/10	07/27/10		6	255	250	(5)	0
CARMAX INC	01/12/10	07/14/10		15	353	287	(65)	0
CBS CORP NEW CL B	01/12/10	11/11/10		118	1,619	2,008	389	0
CISCO SYSTEMS INC COM	07/27/10	11/11/10		10	234	206	(28)	0
CISCO SYSTEMS INC COM	01/12/10	11/11/10		34	829	700	(129)	0
CISCO SYSTEMS INC COM	05/10/10	11/11/10		47	1,226	968	(258)	0
CITIGROUP INC	10/14/09	07/27/10		166	822	697	(124)	0

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Security Description	Acquisition Date	Liquidation Date	Wash Sale	Quantity	Acquisition Cost	Liquidation Amount	Short-Term Gain/(Loss)	Long-Term Gain/(Loss)
CITIGROUP INC COM NEW	06/04/10	05/23/11		85	3,222	3,427	205	0
CITIGROUP INC COM NEW	06/28/10	05/23/11		19	758	766	8	0
CITIGROUP INC COM NEW	06/28/10	05/24/11		28	1,117	1,121	4	0
COCA COLA ENTERPRISES	06/16/09	06/02/10		119	2,069	3,080	1,011	0
COCA COLA ENTERPRISES	06/15/09	06/01/10		107	1,821	2,793	972	0
COCA COLA ENTERPRISES	01/12/10	06/03/10		24	508	624	116	0
COCA COLA ENTERPRISES	06/16/09	06/03/10		12	209	312	104	0
COCA COLA ENTERPRISES	06/16/09	06/01/10		4	70	104	35	0
COGNIZANT TECH SOLUTNS A	09/02/10	03/30/11		50	3,039	4,082	1,043	0
COMCAST CORP NEW CL A	12/16/09	06/02/10		172	3,017	3,140	123	0
COMCAST CORP NEW CL A	12/16/09	07/08/10		122	2,140	2,190	50	0
COMCAST CORP NEW CL A	01/12/10	07/08/10		36	598	646	48	0
COVIDIEN PLC SHS	06/04/09	06/04/10		28	997	1,158	161	0
COVIDIEN PLC SHS	01/12/10	07/28/10		22	1,079	856	(224)	0
CREDIT SUISSE GP SP ADR	07/15/10	05/17/11		53	2,249	2,232	(17)	0
CREDIT SUISSE GP SP ADR	02/10/11	05/17/11		41	1,772	1,726	(45)	0
CREDIT SUISSE GP SP ADR	09/28/10	05/17/11		35	1,535	1,474	(62)	0
CREE INC	11/17/10	03/09/11		28	1,579	1,321	(258)	0
CREE INC	10/13/10	03/09/11		58	3,171	2,737	(434)	0
CUMMINS INC COM	03/15/10	11/03/10		35	2,087	3,189	1,102	0
CUMMINS INC COM	02/12/10	11/03/10		21	1,160	1,914	754	0
CUMMINS INC COM	02/12/10	09/22/10		16	884	1,408	524	0
CUMMINS INC COM	02/12/10	09/02/10		13	718	1,060	342	0
CUMMINS INC COM	02/12/10	07/27/10		5	276	403	127	0
CYRELA BRAZIL REALTY SA SPONS ADR REPSTG ORD	02/10/11	03/04/11		21	4,511	3,998	(513)	0
DAIMLER A	08/10/10	04/19/11		33	1,776	2,316	540	0
DAIMLER A	04/08/10	01/18/11		3	142	227	85	0
DAIMLER A	08/26/10	04/19/11		3	144	211	66	0
DARDEN RESTAURANTS INC	02/10/11	05/11/11		10	490	488	(2)	0
DEUTSCHE LUFT AG SPN ADR	01/12/10	05/27/10		25	455	328	(127)	0
DEUTSCHE LUFT AG SPN ADR	05/06/10	05/27/10		130	1,974	1,707	(267)	0
DEUTSCHE LUFT AG SPN ADR	09/03/09	05/27/10		206	3,185	2,705	(480)	0
DEVON ENERGY CORP NEW	05/14/10	03/02/11		41	2,707	3,626	919	0
EATON CORP	02/08/10	09/08/10		36	2,255	2,728	473	0
EATON CORP	02/09/10	09/08/10		14	891	1,061	170	0
EATON CORP	02/09/10	09/08/10		3	191	231	40	0
EOG RESOURCES INC	02/24/10	11/11/10		59	5,470	5,533	63	0
F5 NETWORKS INC COM	04/30/10	01/19/11		23	1,623	3,160	1,537	0
F5 NETWORKS INC COM	04/30/10	01/26/11		18	1,270	1,978	708	0
F5 NETWORKS INC COM	04/30/10	12/08/10		10	706	1,368	663	0
FLOWERVE CORP	09/09/09	08/09/10		16	1,489	1,628	140	0
FLOWERVE CORP	09/08/09	08/09/10		9	820	916	96	0
FLOWERVE CORP	09/10/09	08/09/10		11	1,043	1,119	76	0
FLOWERVE CORP	09/10/09	08/10/10		6	569	601	32	0
FLOWERVE CORP	09/11/09	08/10/10		4	383	401	18	0
FLOWERVE CORP	01/12/10	08/10/10		7	743	701	(42)	0
FLUOR CORP NEW DEL COM	07/28/10	04/26/11		41	2,005	2,819	814	0
FLUOR CORP NEW DEL COM	05/14/10	04/13/11		44	2,254	2,959	706	0
FLUOR CORP NEW DEL COM	01/07/10	12/06/10		38	1,844	2,337	494	0
FLUOR CORP NEW DEL COM	05/14/10	02/01/11		11	563	766	203	0
FLUOR CORP NEW DEL COM	05/14/10	04/26/11		8	410	550	140	0
FLUOR CORP NEW DEL COM	01/07/10	07/27/10		9	437	443	6	0
FOCUS MEDIA HLDG LTD ADR	01/25/10	09/20/10		47	777	1,043	266	0
FREEMPT-MCMRAN CPR & GLD	04/12/10	01/19/11		15	1,276	1,730	454	0

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FREEPRT-MCMRAN CPR & GLD	04/12/10	01/05/11		10	851	1,183	332	0
FREEPRT-MCMRAN CPR & GLD	04/13/10	02/02/11		22	928	1,235	307	0
FREEPRT-MCMRAN CPR & GLD	04/13/10	01/19/11		4	337	461	124	0
FREEPRT-MCMRAN CPR & GLD	01/12/10	07/26/10		7	595	498	(98)	0
FREEPRT-MCMRAN CPR & GLD	04/12/10	07/26/10		13	1,106	924	(182)	0
FRESENIUS MEDICAL CARE AG & CO SPON ADR	02/10/11	03/31/11		6	378	403	25	0
FRONTIER COMMUNICATIONS CORP	01/12/10	09/08/10		10	82	77	(5)	0
FRONTIER COMMUNICATIONS CORP	01/07/10	09/08/10		17	139	131	(9)	0
G4S PLC SHS	11/02/09	06/24/10		31	649	651	2	0
G4S PLC SHS	11/02/09	06/21/10		16	335	334	(1)	0
G4S PLC SHS	11/02/09	06/18/10		5	105	104	(1)	0
G4S PLC SHS	11/02/09	06/22/10		15	314	311	(3)	0
G4S PLC SHS	11/02/09	06/23/10		22	461	456	(5)	0
G4S PLC SHS	11/02/09	06/22/10		22	461	452	(8)	0
G4S PLC SHS	01/12/10	06/24/10		21	449	439	(10)	0
G4S PLC SHS	01/12/10	06/25/10		22	470	457	(13)	0
G4S PLC SHS	10/30/09	06/17/10		33	699	686	(13)	0
G4S PLC SHS	10/30/09	06/16/10		43	911	895	(16)	0
G4S PLC SHS	10/30/09	06/18/10		54	1,144	1,120	(25)	0
GARMIN LTD	09/02/09	06/30/10		20	633	592	(41)	0
GARMIN LTD	09/01/09	06/30/10		19	618	565	(53)	0
GARMIN LTD	09/02/09	06/30/10		36	1,139	1,071	(69)	0
GARMIN LTD	09/01/09	06/30/10		47	1,529	1,454	(74)	0
GARMIN LTD	01/12/10	06/30/10		22	745	651	(94)	0
GARMIN LTD (KAYMAN IS)	08/31/09	06/14/10		36	1,169	1,194	25	0
GARMIN LTD (KAYMAN IS)	09/01/09	06/15/10		30	976	984	8	0
GARMIN LTD (KAYMAN IS)	08/31/09	06/15/10		13	422	426	4	0
GENERAL ELECTRIC	10/14/09	07/27/10		13	218	212	(6)	0
GENERAL MOTORS CO COMMON SHARES	02/10/11	04/27/11		14	501	442	(59)	0
GENERAL MOTORS CO COMMON SHARES	12/08/10	04/27/11		97	3,341	3,063	(278)	0
GENERAL MOTORS CO COMMON SHARES	01/13/11	04/27/11		73	2,806	2,305	(500)	0
GENTING SINGAPORE-UNSPON ADR	08/17/10	09/20/10		18	1,076	1,438	362	0
GOLDMAN SACHS GROUP INC	04/26/10	06/28/10		16	2,449	2,200	(250)	0
GOLDMAN SACHS GROUP INC	01/12/10	06/28/10		9	1,522	1,237	(285)	0
GOLDMAN SACHS GROUP INC	09/08/09	06/28/10		12	1,996	1,650	(347)	0
GOLDMAN SACHS GROUP INC	02/12/10	06/28/10		24	3,651	3,300	(352)	0
GOLDMAN SACHS GROUP INC	02/23/11	05/24/11		75	12,169	10,148	(2,021)	0
HALLIBURTON COMPANY	05/14/10	04/13/11		42	1,179	1,915	736	0
HALLIBURTON COMPANY	05/14/10	02/01/11		40	1,123	1,825	702	0
HALLIBURTON COMPANY	05/14/10	05/11/11		23	646	1,061	415	0
HALLIBURTON COMPANY	01/12/10	12/06/10		25	841	1,025	184	0
HALLIBURTON COMPANY	01/12/10	12/08/10		26	875	1,046	172	0
HALLIBURTON COMPANY	01/07/10	12/06/10		13	419	533	114	0
HALLIBURTON COMPANY	01/07/10	11/08/10		71	2,288	2,314	26	0
HARTFORD FINL SVCS GROUP	05/14/10	07/28/10		143	3,750	3,291	(459)	0
HEINEKEN NV ADR	07/27/10	05/23/11		18	428	526	98	0
HEINEKEN NV ADR	11/05/10	05/23/11		8	209	234	25	0
HESS CORP	02/16/10	02/01/11		52	3,124	4,456	1,332	0
HEWLETT PACKARD CO DEL	01/12/10	09/13/10		19	994	725	(268)	0
HEWLETT PACKARD CO DEL	01/12/10	09/14/10		24	1,255	946	(309)	0
HEWLETT PACKARD CO DEL	11/08/10	05/24/11		83	3,674	2,978	(696)	0
HEWLETT PACKARD CO DEL	12/06/10	05/24/11		147	6,297	5,275	(1,022)	0
HONDA MOTOR ADR NEW	08/27/10	05/20/11		43	1,421	1,609	188	0
HONDA MOTOR ADR NEW	08/27/10	05/23/11		40	1,322	1,471	150	0

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HUNTINGTON INGALLS INDS INC	07/28/10	04/06/11		5	170	200	30	0
HUNTINGTON INGALLS INDS INC	02/10/11	04/06/11		2	77	80	3	0
HUNTINGTON INGALLS INDS INC	02/10/11	05/02/11		1	39	40	1	0
ICICI BANK LTD SPD ADR	06/07/10	11/04/10		49	1,756	2,818	1,061	0
ICICI BANK LTD SPD ADR	05/05/10	10/04/10		33	1,334	1,695	361	0
ICICI BANK LTD SPD ADR	05/05/10	11/04/10		18	728	1,035	307	0
ICICI BANK LTD SPD ADR	05/05/10	10/14/10		26	1,051	1,335	284	0
ICICI BANK LTD SPD ADR	05/05/10	09/16/10		36	1,455	1,713	258	0
ICICI BANK LTD SPD ADR	05/05/10	07/27/10		13	526	516	(10)	0
ILLUMINA INC COM	06/16/10	03/25/11		67	3,019	4,416	1,396	0
ING GP NV SPSP ADR	12/10/09	09/29/10		179	1,578	1,876	298	0
ING GP NV SPSP ADR	02/10/10	09/29/10		167	1,486	1,751	265	0
ING GP NV SPSP ADR	12/09/09	09/01/10		176	1,465	1,651	187	0
ING GP NV SPSP ADR	12/09/09	09/29/10		71	591	744	153	0
ING GP NV SPSP ADR	01/12/10	09/29/10		66	716	692	(24)	0
INTEL CORP	07/27/10	03/29/11		11	237	222	(15)	0
INTEL CORP	02/10/11	03/29/11		27	588	545	(43)	0
INTEL CORP	02/01/11	03/29/11		224	4,817	4,523	(294)	0
J C PENNEY CO COM	07/28/10	11/08/10		142	3,613	4,707	1,094	0
JOY GLOBAL INC DEL COM	03/15/10	11/24/10		31	1,750	2,396	646	0
JOY GLOBAL INC DEL COM	03/15/10	10/13/10		32	1,806	2,331	525	0
JOY GLOBAL INC DEL COM	02/10/11	03/25/11		3	279	290	11	0
LAM RESEARCH CORP COM	05/14/10	12/06/10		117	4,475	5,734	1,259	0
LAM RESEARCH CORP COM	05/14/10	11/08/10		72	2,754	3,500	746	0
LAM RESEARCH CORP COM	05/14/10	07/27/10		8	306	346	40	0
LAS VEGAS SANDS CORP	01/27/10	11/11/10		43	680	2,157	1,477	0
LAUDER ESTEE COS INC A	01/26/10	12/14/10		36	1,930	2,833	903	0
LAUDER ESTEE COS INC A	01/25/10	12/13/10		28	1,490	2,151	661	0
LAUDER ESTEE COS INC A	01/12/10	06/22/10		64	3,206	3,754	548	0
LAUDER ESTEE COS INC A	01/26/10	12/13/10		15	804	1,152	348	0
LAUDER ESTEE COS INC A	01/12/10	12/13/10		11	551	845	294	0
LAUDER ESTEE COS INC A	01/11/10	06/21/10		27	1,329	1,604	275	0
LAUDER ESTEE COS INC A	01/12/10	06/23/10		6	301	342	41	0
LAUDER ESTEE COS INC A	01/12/10	06/21/10		3	150	178	28	0
LIBERTY GLOBAL INC SER A	05/10/10	03/21/11		6	149	246	97	0
LIBERTY GLOBAL INC SER A	09/09/09	07/01/10		48	1,153	1,230	77	0
LIBERTY GLOBAL INC SER A	10/15/09	07/01/10		12	276	307	32	0
LIBERTY GLOBAL INC SER A	01/12/10	11/09/10		2	46	77	30	0
LIFE TECHNOLOGIES CORP	02/24/10	07/28/10		66	3,317	3,001	(316)	0
LLOYDS BANKING GROUP PLC ADR	03/02/10	07/27/10		305	946	1,345	399	0
LLOYDS BANKING GROUP PLC ADR	03/02/10	07/30/10		260	807	1,115	308	0
LLOYDS BANKING GROUP PLC ADR	03/02/10	08/23/10		210	651	904	253	0
MASTERCARD INC	03/15/10	06/09/10		13	3,219	2,540	(680)	0
MEDCO HEALTH SOLUTIONS I	01/12/10	09/27/10		33	2,157	1,679	(479)	0
MICRON TECHNOLOGY INC	01/12/10	06/04/10		189	1,973	1,670	(303)	0
MICRON TECHNOLOGY INC	03/15/10	11/17/10		286	2,776	2,036	(740)	0
mitsui CO ADR	07/27/10	10/20/10		2	513	644	130	0
mitsui CO ADR	01/12/10	10/20/10		2	638	644	6	0
MONSANTO CO NEW DEL COM	11/11/10	04/13/11		53	3,340	3,602	262	0
MONSANTO CO NEW DEL COM	02/10/11	04/13/11		4	299	272	(27)	0
MONSANTO CO NEW DEL COM	01/26/11	04/13/11		15	1,104	1,020	(85)	0
MOTOROLA MOBILITY HOLDINGS INC SHS	09/13/10	01/11/11		114	3,153	3,664	511	0
MOTOROLA MOBILITY HOLDINGS INC SHS	10/25/10	01/12/11		45	1,208	1,448	240	0
MOTOROLA MOBILITY HOLDINGS INC SHS	09/14/10	01/12/11		16	447	515	68	0

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Security Description	Acquisition Date	Liquidation Date	Wash Sale	Quantity	Acquisition Cost	Liquidation Amount	Short-Term Gain/(Loss)	Long-Term Gain/(Loss)
MOTOROLA MOBILITY HOLDINGS INC SHS	09/13/10	01/12/11		11	304	354	50	0
MOTOROLA MOBILITY HOLDINGS INC SHS	11/08/10	02/01/11		43	1,184	1,198	14	0
MOTOROLA SOLUTIONS INC	09/13/10	03/08/11		143	4,730	5,953	1,223	0
MOTOROLA SOLUTIONS INC	09/14/10	03/08/11		18	601	749	148	0
MOTOROLA SOLUTIONS INC	10/25/10	03/08/11		10	321	416	95	0
MTN GROUP LTD-SPONS ADR	10/02/09	09/13/10		200	3,421	3,513	92	0
MTN GROUP LTD-SPONS ADR	10/02/09	09/14/10		115	1,967	2,016	49	0
MTN GROUP LTD-SPONS ADR	01/11/10	09/14/10		6	90	105	15	0
NATIONAL GRID PLC SP ADR	06/23/10	09/24/10		76	2,869	3,281	411	0
NATIONAL GRID PLC SP ADR	06/23/10	09/16/10		38	1,435	1,662	228	0
NATIONAL GRID PLC SP ADR	07/30/10	09/24/10		36	1,459	1,554	95	0
NATIONAL GRID PLC SP ADR	06/23/10	07/27/10		6	227	242	16	0
NESTLE S A REP RG SH ADR	09/09/09	08/19/10		32	1,330	1,641	311	0
NESTLE S A REP RG SH ADR	08/20/09	08/19/10		28	1,130	1,436	306	0
NESTLE S A REP RG SH ADR	08/19/09	08/19/10		18	725	923	198	0
NESTLE S A REP RG SH ADR	01/12/10	09/14/10		33	1,587	1,769	182	0
NESTLE S A REP RG SH ADR	11/13/09	09/13/10		20	936	1,055	119	0
NESTLE S A REP RG SH ADR	01/08/10	09/14/10		16	769	858	89	0
NESTLE S A REP RG SH ADR	01/08/10	09/13/10		16	769	844	75	0
NESTLE S A REP RG SH ADR	11/13/09	08/26/10		16	749	813	64	0
NESTLE S A REP RG SH ADR	09/09/09	08/26/10		6	249	305	55	0
NESTLE S A REP RG SH ADR	11/13/09	08/27/10		8	374	408	34	0
NET SRVCS DE COMUNCCO SA	03/18/10	08/12/10		40	536	510	(26)	0
NET SRVCS DE COMUNCCO SA	03/18/10	08/05/10		128	1,714	1,666	(48)	0
NET SRVCS DE COMUNCCO SA	03/19/10	08/12/10		194	2,613	2,472	(142)	0
NETAPP INC	12/02/09	09/16/10		36	1,138	1,752	614	0
NETAPP INC	12/02/09	09/30/10		20	632	993	361	0
NETFLIX COM INC	06/02/10	04/27/11		18	1,989	4,244	2,255	0
NETFLIX COM INC	06/02/10	02/16/11		9	994	2,144	1,150	0
NINTENDO LTD ADR	07/27/10	03/22/11		8	278	274	(4)	0
NISSAN MTR LTD SPN ADR	01/29/10	11/19/10		110	1,803	2,113	311	0
NISSAN MTR LTD SPN ADR	01/29/10	01/18/11		57	934	1,150	216	0
NISSAN MTR LTD SPN ADR	01/29/10	07/27/10		40	655	582	(74)	0
OGX PETROLEO E-SPON ADR	06/22/10	07/27/10		21	219	224	5	0
PHILIP MORRIS INTL INC	01/12/10	06/02/10		11	539	494	(45)	0
QUALCOMM INC	01/15/10	06/16/10		14	680	491	(190)	0
QUALCOMM INC	01/12/10	06/16/10		24	1,165	841	(324)	0
QWEST COMM INTL INC COM	02/28/11	03/29/11		336	2,272	2,298	27	0
ROCHE HLDG LTD SPN ADR	04/09/10	08/19/10		162	6,575	5,537	(1,038)	0
ROSSI RESIDENCIAL SA GDR BRL PAR ORDINARY	03/12/10	07/20/10		403	1,716	1,675	(42)	0
ROSSI RESIDENCIAL SA GDR BRL PAR ORDINARY	03/11/10	07/20/10		753	3,211	3,129	(82)	0
RWE AG SPONSORED ADR	01/12/10	11/19/10		11	1,087	748	(339)	0
SANDISK CORP INC	08/09/10	03/28/11		99	4,562	4,508	(55)	0
SEAGATE TECH PLC SHS	01/12/10	01/06/11		16	290	230	(60)	0
SOCIETE GENERAL SPN ADR	08/07/09	07/27/10		27	390	307	(83)	0
SOCIETE GENERAL SPN ADR	08/07/09	08/06/10		102	1,473	1,233	(240)	0
SPRINT NEXTEL CORP	10/07/10	04/26/11		500	2,263	2,402	138	0
SPRINT NEXTEL CORP	07/28/10	04/26/11		394	1,921	1,893	(29)	0
SPRINT NEXTEL CORP	07/28/10	04/05/11		210	1,024	962	(62)	0
SPRINT NEXTEL CORP	06/04/10	04/05/11		890	4,264	4,077	(187)	0
STERLITE INDUSTRIES (INDIA) LIMITEDADR	01/12/10	07/13/10		32	601	465	(135)	0
STERLITE INDUSTRIES (INDIA) LIMITEDADR	11/16/09	07/13/10		44	842	640	(202)	0
STERLITE INDUSTRIES (INDIA) LIMITEDADR	11/13/09	07/13/10		182	3,366	2,647	(719)	0
SWATCH GROUP AG UNSPOND ADR	01/11/11	05/11/11		92	1,922	2,261	339	0

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SYSCO CORPORATION	01/12/10	08/31/10		20	556	549	(7)	0
TAIWAN S MANUFCTRING ADR	01/28/10	11/04/10		250	2,516	2,801	285	0
TAIWAN S MANUFCTRING ADR	01/28/10	07/01/10		81	815	789	(26)	0
TARGET CORP COM	04/05/10	03/30/11		34	1,826	1,704	(121)	0
TELEFONICA SA SPAIN ADR	07/15/10	03/31/11		70	1,483	1,765	281	0
TOKIO MARINE HOLDINGS INC, TOKYO ADR	08/13/10	02/18/11		50	1,347	1,673	327	0
TOKIO MARINE HOLDINGS INC, TOKYO ADR	07/27/10	02/18/11		8	211	268	57	0
TOKIO MARINE HOLDINGS INC, TOKYO ADR	02/10/11	02/18/11		14	440	469	29	0
TRANSOCEAN LTD	02/18/10	06/01/10		73	6,112	3,706	(2,406)	0
TULLOW OIL PLC SHS	06/11/10	08/23/10		56	471	563	92	0
TULLOW OIL PLC SHS	06/11/10	07/27/10		47	396	465	69	0
TULLOW OIL PLC SHS	06/11/10	08/24/10		36	303	356	53	0
UBS AG REG	01/12/10	06/25/10		56	923	776	(147)	0
UNITEDHEALTH GROUP INC	05/14/10	02/01/11		78	2,369	3,259	890	0
URBAN OUTFITTERS INC	11/17/10	03/09/11		87	3,244	2,695	(549)	0
VANCEINFO TECH INC ADR	05/13/10	09/01/10		20	449	576	127	0
VANCEINFO TECH INC ADR	05/12/10	09/01/10		11	273	317	44	0
VANCEINFO TECH INC ADR	05/13/10	09/01/10		5	115	144	29	0
VANCEINFO TECH INC ADR	05/12/10	07/27/10		9	223	238	15	0
WALGREEN CO	06/15/10	10/13/10		53	1,589	1,841	252	0
WALGREEN CO	06/14/10	10/13/10		35	1,042	1,216	174	0
WALGREEN CO	06/15/10	10/14/10		33	989	1,135	146	0
WALGREEN CO	06/14/10	10/12/10		31	923	1,050	127	0
WALGREEN CO	07/27/10	10/14/10		10	293	344	51	0
WALGREEN CO	06/02/10	10/11/10		38	1,232	1,280	48	0
WALGREEN CO	06/03/10	10/12/10		15	484	508	24	0
WALGREEN CO	06/03/10	10/11/10		6	194	202	8	0
WALGREEN CO	06/02/10	08/16/10		30	972	845	(127)	0
WALGREEN CO	06/01/10	08/16/10		64	2,071	1,803	(268)	0
WAL-MART STORES INC	07/27/10	02/28/11		5	256	260	5	0
WAL-MART STORES INC	02/10/11	02/28/11		11	609	573	(36)	0
WEATHERFORD INTL LTD REG	05/05/10	06/10/10		100	1,690	1,330	(360)	0
WEATHERFORD INTL LTD REG	04/22/10	06/10/10		200	3,342	2,661	(681)	0
WELLS FARGO & CO NEW DEL	01/15/10	10/15/10		8	225	190	(35)	0
WELLS FARGO & CO NEW DEL	01/12/10	10/15/10		25	706	594	(112)	0
WESTERN UN CO	06/04/10	02/03/11		123	1,926	2,542	616	0
WHOLE FOODS MKT INC COM	06/02/10	05/04/11		38	1,535	2,231	696	0
WHOLE FOODS MKT INC COM	06/02/10	03/30/11		9	363	590	226	0
WILLIAMS COMPANIES DEL	08/30/10	01/18/11		83	1,531	2,182	651	0
WILLIAMS COMPANIES DEL	08/31/10	01/20/11		80	1,453	2,084	631	0
WILLIAMS COMPANIES DEL	08/30/10	01/19/11		81	1,495	2,111	616	0
WILLIAMS COMPANIES DEL	08/31/10	01/19/11		2	36	52	16	0
XILINX INC	01/12/10	11/09/10		21	506	577	71	0
XILINX INC	01/12/10	11/08/10		7	169	194	25	0
ZIMMER HOLDINGS INC COM	01/12/10	08/18/10		11	687	572	(116)	0
Total ST Gains/ Losses					437,737	471,349	33,610	0

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ABBOTT LABS	10/08/09	12/08/10		11	550	512	0	(38)
ABBOTT LABS	08/12/09	12/08/10		22	972	1,024	0	52
ABBOTT LABS	05/20/09	12/08/10		72	3,122	3,351	0	229
ABBOTT LABS	05/20/09	11/24/10		25	1,084	1,176	0	92
ACE LIMITED	01/12/10	03/22/11		24	1,149	1,488	0	338
ACE LIMITED	08/06/09	03/22/11		47	2,379	2,914	0	535
ACE LIMITED	08/06/09	03/21/11		15	759	929	0	170
ACE LIMITED	05/20/09	03/21/11		41	1,823	2,539	0	715
ACE LIMITED	05/20/09	02/01/11		27	1,201	1,666	0	465
ACE LIMITED	05/20/09	07/26/10		64	2,806	3,383	0	577
ALCOA INC	01/12/10	02/01/11		85	1,352	1,455	0	103
ALCOA INC	05/20/09	02/01/11		386	3,882	6,606	0	2,724
ALCOA INC	05/20/09	07/27/10		19	191	213	0	22
AMGEN INC COM PV \$0 0001	03/20/09	12/15/10		23	1,131	1,287	0	156
AMGEN INC COM PV \$0 0001	06/18/09	12/15/10		32	1,703	1,791	0	88
AMGEN INC COM PV \$0 0001	03/20/09	06/16/10		12	590	663	0	73
AMGEN INC COM PV \$0 0001	01/06/09	06/16/10		45	2,669	2,485	0	(184)
AMGEN INC COM PV \$0 0001	01/06/09	06/16/10		21	1,246	1,160	0	(86)
ANADARKO PETE CORP	05/29/09	06/22/10		42	2,008	1,751	0	(257)
APPLE INC	05/11/09	07/14/10		4	402	1,009	0	607
ARCELORMITTAL SA, LUXEMBOURG	05/20/09	01/10/11		29	888	1,000	0	112
ARCELORMITTAL SA, LUXEMBOURG	05/20/09	01/07/11		56	1,715	1,965	0	250
ARCELORMITTAL SA, LUXEMBOURG	05/20/09	07/27/10		14	429	450	0	21
AVON PROD INC	06/25/09	11/03/10		49	1,288	1,402	0	114
AVON PROD INC	06/18/09	11/03/10		83	2,152	2,375	0	223
BANCO BILBAO VIZCAYA ARGENTARIA S A ADR	05/20/09	03/28/11		167	1,944	2,093	0	148
BANCO SANTANDER SA ADR	05/20/09	08/04/10		124	1,256	1,681	0	425
BANK NEW YORK MELLON CORP	05/20/09	02/01/11		84	2,372	2,683	0	311
BARCLAYS PLC ADR	10/15/09	02/09/11		77	1,929	1,561	0	(368)
BARCLAYS PLC ADR	07/24/09	02/09/11		63	1,301	1,277	0	(23)
BARCLAYS PLC ADR	07/23/09	02/09/11		49	1,027	994	0	(33)
BARCLAYS PLC ADR	07/23/09	07/27/10		14	293	296	0	3
BG GROUP PLC SPON ADR	08/13/09	03/10/11		10	860	1,139	0	279
BG GROUP PLC SPON ADR	05/20/09	03/10/11		19	1,624	2,164	0	541
BG GROUP PLC SPON ADR	05/20/09	02/18/11		24	2,051	2,857	0	806
BHP BILLITON PLC SP ADR	01/12/10	03/21/11		11	734	827	0	93
BHP BILLITON PLC SP ADR	05/20/09	03/21/11		30	1,399	2,256	0	858
BHP BILLITON PLC SP ADR	05/20/09	11/04/10		30	1,399	2,362	0	963
BHP BILLITON PLC SP ADR	05/20/09	07/27/10		9	420	554	0	134
BLKRCK MDCP VL OPP PTF S PORTFOLIO CLS	05/20/09	07/27/10		591	4,102	5,526	0	1,424
BMC SOFTWARE INC	08/18/09	08/31/10		27	939	979	0	40
BMC SOFTWARE INC	08/17/09	08/31/10		4	139	145	0	6
BMC SOFTWARE INC	08/17/09	08/30/10		38	1,321	1,400	0	79
BMC SOFTWARE INC	05/20/09	08/30/10		51	1,808	1,879	0	71
BMC SOFTWARE INC	05/20/09	07/20/10		16	567	584	0	16
BMC SOFTWARE INC	05/20/09	07/19/10		52	1,844	1,910	0	66
BRIDGESTONE CORP ADR	06/17/09	06/24/10		92	2,690	3,011	0	321
BRISTOL-MYERS SQUIBB CO	05/20/09	12/06/10		43	884	1,112	0	228
BRISTOL-MYERS SQUIBB CO	05/20/09	07/28/10		424	8,722	10,644	0	1,923
BRISTOL-MYERS SQUIBB CO	05/20/09	06/22/10		279	5,739	7,095	0	1,356
BRISTOL-MYERS SQUIBB CO	12/03/08	06/22/10		22	462	559	0	97
BRITISH AMN TOBACO SPADR	01/12/10	03/22/11		3	196	232	0	36
BRITISH AMN TOBACO SPADR	01/12/10	03/21/11		14	916	1,081	0	165
BRITISH AMN TOBACO SPADR	05/20/09	03/21/11		27	1,407	2,085	0	678

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BRITISH AMN TOBACO SPADR	05/20/09	03/17/11		83	4,326	6,157	0	1,831
BRITISH AMN TOBACO SPADR	05/20/09	07/07/10		15	782	990	0	208
BROADCOM CORP CALIF CL A	05/20/09	11/17/10		49	1,103	1,962	0	858
CA INC	05/20/09	05/12/11		34	614	843	0	229
CA INC	05/20/09	05/11/11		87	1,570	2,123	0	553
CA INC	05/20/09	05/10/11		87	1,570	2,140	0	569
CA INC	05/20/09	05/09/11		50	902	1,212	0	309
CARMAX INC	05/20/09	07/14/10		184	1,994	3,521	0	1,527
CBS CORP NEW CL B	09/10/09	11/11/10		198	2,216	3,369	0	1,153
CBS CORP NEW CL B	08/12/09	11/11/10		27	291	459	0	168
CBS CORP NEW CL B	08/12/09	10/13/10		174	1,878	3,113	0	1,235
CENTURYLINK INC SHS	01/12/10	04/06/11		30	829	1,214	0	385
CENTURYLINK INC SHS	01/12/10	04/05/11		20	553	804	0	251
CENTURYLINK INC SHS	05/20/09	04/05/11		30	763	1,205	0	443
CENTURYLINK INC SHS	05/20/09	04/04/11		50	1,271	2,017	0	746
CERNER CORP COM	10/08/09	04/06/11		24	1,931	2,705	0	774
CHEVRON CORP	05/31/07	12/06/10		18	719	1,522	0	803
CHEVRON CORP	05/31/07	07/28/10		75	2,996	5,665	0	2,669
CHEVRON CORP	05/04/07	07/28/10		22	1,751	1,662	0	(89)
CISCO SYSTEMS INC COM	06/04/09	11/11/10		47	927	968	0	40
CISCO SYSTEMS INC COM	03/23/09	11/11/10		113	1,867	2,326	0	460
CITIGROUP INC COM NEW	02/16/10	05/23/11		23	759	927	0	168
CITIGROUP INC COM NEW	02/16/10	05/17/11		49	1,618	2,026	0	409
CITIGROUP INC COM NEW	01/12/10	05/17/11		1	37	41	0	5
CITIGROUP INC COM NEW	01/12/10	05/16/11		11	402	455	0	54
CITIGROUP INC COM NEW	10/23/09	05/16/11		50	2,435	2,070	0	(365)
CITIGROUP INC COM NEW	10/14/09	05/16/11		63	3,119	2,608	0	(511)
COCA COLA COM	01/06/09	07/14/10		12	542	631	0	89
COCA COLA COM	02/21/08	07/14/10		8	465	421	0	(44)
COMCAST CRP NEW CL A SPL	01/07/10	02/01/11		104	1,690	2,257	0	567
COVIDIEN PLC SHS	06/04/09	07/28/10		64	2,279	2,490	0	211
COVIDIEN PLC SHS	05/20/09	06/04/10		96	3,427	3,969	0	542
CREDIT SUISSE GP SP ADR	02/18/10	05/17/11		7	311	295	0	(16)
CREDIT SUISSE GP SP ADR	02/18/10	04/06/11		37	1,644	1,623	0	(21)
CREDIT SUISSE GP SP ADR	01/12/10	04/06/11		6	321	263	0	(58)
CREDIT SUISSE GP SP ADR	01/12/10	03/31/11		6	321	256	0	(65)
CREDIT SUISSE GP SP ADR	10/15/09	03/31/11		29	1,707	1,239	0	(468)
CREDIT SUISSE GP SP ADR	05/20/09	03/31/11		55	2,377	2,350	0	(27)
CREDIT SUISSE GP SP ADR	05/20/09	07/27/10		8	346	359	0	14
DAIMLER A	04/09/10	04/19/11		25	1,189	1,754	0	565
DAIMLER A	04/08/10	04/19/11		11	521	772	0	251
DAIMLER A	01/12/10	01/18/11		21	1,107	1,586	0	479
DAIMLER A	06/01/09	01/18/11		11	438	831	0	393
DAIMLER A	05/20/09	09/21/10		12	438	718	0	280
DAIMLER A	06/01/09	09/21/10		26	1,035	1,556	0	521
DAIMLER A	05/20/09	07/08/10		62	2,264	3,259	0	995
DAIMLER A	05/20/09	07/07/10		25	913	1,328	0	415
DAIMLER A	05/20/09	06/16/10		28	1,022	1,409	0	387
DARDEN RESTAURANTS INC	01/12/10	05/11/11		18	615	878	0	264
DARDEN RESTAURANTS INC	06/15/09	05/11/11		21	705	1,025	0	320
DARDEN RESTAURANTS INC	06/15/09	05/10/11		44	1,477	2,140	0	662
DARDEN RESTAURANTS INC	05/20/09	05/10/11		12	435	584	0	148
DARDEN RESTAURANTS INC	05/20/09	05/09/11		25	907	1,208	0	301
DEERE CO	01/12/10	02/01/11		14	811	1,304	0	494

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Security Description	Acquisition Date	Liquidation Date	Wash Sale	Quantity	Acquisition Cost	Liquidation Amount	Short-Term Gain/(Loss)	Long-Term Gain/(Loss)
DEERE CO	05/20/09	02/01/11		44	2,018	4,099	0	2,081
DEERE CO	05/20/09	12/06/10		30	1,376	2,348	0	972
DEERE CO	05/20/09	06/04/10		52	2,385	2,954	0	570
DEVON ENERGY CORP NEW	05/14/10	05/24/11		29	1,914	2,368	0	454
DISNEY (WALT) CO COM STK	12/18/08	04/26/11		41	959	1,739	0	779
DISNEY (WALT) CO COM STK	11/26/08	04/26/11		26	558	1,103	0	544
DISNEY (WALT) CO COM STK	10/17/08	12/06/10		22	530	825	0	294
DISNEY (WALT) CO COM STK	11/26/08	12/06/10		39	837	1,462	0	624
DISNEY (WALT) CO COM STK	10/17/08	06/04/10		58	1,398	1,957	0	559
DOVER CORP	05/20/09	08/10/10		18	583	887	0	304
DOVER CORP	05/20/09	08/09/10		36	1,166	1,761	0	595
DU PONT E I DE NEMOURS	05/20/09	10/07/10		35	1,009	1,606	0	597
DU PONT E I DE NEMOURS	05/20/09	07/27/10		12	346	487	0	141
DU PONT E I DE NEMOURS	05/20/09	06/04/10		86	2,480	2,960	0	480
EXXON MOBIL CORP COM	05/20/09	05/03/11		42	2,994	3,601	0	607
EXXON MOBIL CORP COM	05/20/09	03/08/11		62	4,420	5,276	0	856
EXXON MOBIL CORP COM	05/20/09	07/27/10		4	285	243	0	(42)
FLUOR CORP NEW DEL COM	01/12/10	02/01/11		17	830	1,184	0	355
FLUOR CORP NEW DEL COM	01/07/10	02/01/11		91	4,415	6,340	0	1,925
FOCUS MEDIA HLDG LTD ADR	01/25/10	04/18/11		51	843	1,699	0	856
FOCUS MEDIA HLDG LTD ADR	01/25/10	02/17/11		58	959	1,530	0	571
FOREST LABS INC	01/12/10	02/28/11		39	1,205	1,264	0	59
FOREST LABS INC	05/20/09	02/28/11		191	4,538	6,189	0	1,651
FREEMPT-MCMRAN CPR & GLD	05/20/09	07/26/10		62	3,189	4,409	0	1,220
FRESENIUS MEDICAL CARE AG & CO SPON ADR	01/12/10	03/31/11		18	956	1,209	0	253
FRESENIUS MEDICAL CARE AG & CO SPON ADR	05/20/09	03/31/11		65	2,724	4,366	0	1,642
FRESENIUS MEDICAL CARE AG & CO SPON ADR	05/20/09	11/10/10		26	1,090	1,582	0	492
FRESENIUS MEDICAL CARE AG & CO SPON ADR	05/20/09	07/27/10		11	461	614	0	153
FRESENIUS MEDICAL CARE AG & CO SPON ADR	05/20/09	05/27/10		10	419	491	0	72
FRONTIER COMMUNICATIONS CORP	01/12/10	09/16/10		1	8	8	0	0
FRONTIER COMMUNICATIONS CORP	07/28/09	09/08/10		17	137	131	0	(6)
FRONTIER COMMUNICATIONS CORP	05/20/09	09/08/10		2	15	15	0	0
FRONTIER COMMUNICATIONS CORP	05/20/09	07/21/10		58	449	429	0	(20)
G4S PLC SHS	11/02/09	06/24/10		10	209	209	0	0
GAP INC DELAWARE	10/26/09	03/15/11		70	1,574	1,509	0	(65)
GAP INC DELAWARE	08/20/09	03/15/11		38	714	819	0	105
GAP INC DELAWARE	08/20/09	03/14/11		184	3,458	4,009	0	551
GENERAL MILLS	05/20/09	07/28/10		247	6,481	8,782	0	2,301
GOOGLE INC CL A	08/12/09	04/20/11		3	1,382	1,574	0	192
GOOGLE INC CL A	01/06/09	04/20/11		5	1,669	2,624	0	956
GOOGLE INC CL A	01/06/09	04/06/11		3	1,001	1,718	0	717
HALLIBURTON COMPANY	01/12/10	02/01/11		21	706	958	0	252
HALLIBURTON COMPANY	05/20/09	11/08/10		223	5,088	7,268	0	2,180
HALLIBURTON COMPANY	05/20/09	10/07/10		69	1,574	2,309	0	735
HALLIBURTON COMPANY	05/20/09	07/28/10		185	4,221	5,569	0	1,348
HALLIBURTON COMPANY	05/20/09	07/27/10		16	365	488	0	123
HEINEKEN NV ADR	01/12/10	05/23/11		38	944	1,110	0	166
HEINEKEN NV ADR	01/11/10	05/23/11		31	770	905	0	136
HEINEKEN NV ADR	01/11/10	05/11/11		66	1,639	1,948	0	309
HEINEKEN NV ADR	12/04/09	05/11/11		1	25	30	0	4
HEINEKEN NV ADR	12/04/09	04/18/11		144	3,657	4,064	0	407
HEINEKEN NV ADR	12/04/09	04/06/11		73	1,854	2,041	0	187
HESS CORP	02/16/10	04/13/11		42	2,523	3,313	0	790
HEWLETT PACKARD CO DEL	03/15/10	05/24/11		31	1,618	1,112	0	(506)

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HEWLETT PACKARD CO DEL	02/16/10	05/24/11		17	836	610	0	(226)
HEWLETT PACKARD CO DEL	02/16/10	05/17/11		43	2,115	1,559	0	(556)
HEWLETT PACKARD CO DEL	01/15/10	05/17/11		31	1,629	1,124	0	(505)
HEWLETT PACKARD CO DEL	01/15/10	03/15/11		45	2,364	1,840	0	(524)
HEWLETT PACKARD CO DEL	01/15/10	03/08/11		48	2,522	2,044	0	(478)
HEWLETT PACKARD CO DEL	01/12/10	03/08/11		5	261	213	0	(49)
HEWLETT PACKARD CO DEL	05/29/09	09/13/10		144	4,984	5,498	0	514
HEWLETT PACKARD CO DEL	01/06/09	09/13/10		38	1,447	1,451	0	3
HEWLETT PACKARD CO DEL	01/06/09	08/25/10		181	6,894	6,922	0	28
HEWLETT PACKARD CO DEL	01/06/09	06/04/10		110	4,190	5,053	0	863
HOME DEPOT INC	01/06/09	10/13/10		50	1,266	1,553	0	287
HONEYWELL INTL INC DEL	05/20/09	12/06/10		56	1,872	2,864	0	992
HUNTINGTON INGALLS INDS INC	01/12/10	04/06/11		5	166	200	0	34
HUNTINGTON INGALLS INDS INC	08/05/09	04/06/11		4	108	160	0	52
HUNTINGTON INGALLS INDS INC	08/04/09	04/06/11		13	351	519	0	169
HUNTINGTON INGALLS INDS INC	08/04/09	04/04/11		2	54	80	0	27
HUNTINGTON INGALLS INDS INC	08/03/09	04/04/11		15	398	604	0	206
HUNTINGTON INGALLS INDS INC	05/20/09	04/04/11		2	57	80	0	24
INTEL CORP	02/16/10	03/29/11		70	1,453	1,413	0	(40)
INTEL CORP	02/16/10	03/15/11		94	1,952	1,895	0	(57)
INTEL CORP	02/16/10	03/08/11		36	747	763	0	16
INTEL CORP	01/12/10	03/08/11		54	1,109	1,145	0	36
INTEL CORP	05/20/09	03/08/11		111	1,748	2,353	0	605
INTEL CORP	05/20/09	11/08/10		94	1,480	2,010	0	529
INTEL CORP	05/20/09	10/07/10		132	2,079	2,558	0	479
INTEL CORP	05/20/09	07/28/10		15	236	322	0	86
INTEL CORP	04/21/09	07/28/10		67	1,021	1,439	0	418
INTL BUSINESS MACHINES CORP IBM	01/12/10	02/28/11		20	2,615	3,239	0	625
INTL BUSINESS MACHINES CORP IBM	06/18/09	02/28/11		48	5,147	7,774	0	2,627
INTL BUSINESS MACHINES CORP IBM	05/26/09	02/28/11		13	1,359	2,106	0	746
INTL BUSINESS MACHINES CORP IBM	05/20/09	02/23/11		30	3,168	4,827	0	1,659
INTL BUSINESS MACHINES CORP IBM	05/20/09	01/03/11		28	2,957	4,136	0	1,180
INTL BUSINESS MACHINES CORP IBM	05/20/09	11/08/10		32	3,379	4,669	0	1,290
INTL BUSINESS MACHINES CORP IBM	05/20/09	07/28/10		34	3,590	4,365	0	775
INTL BUSINESS MACHINES CORP IBM	05/20/09	06/15/10		20	2,112	2,584	0	472
INTL BUSINESS MACHINES CORP IBM	05/20/09	06/14/10		17	1,795	2,200	0	405
INTL PAPER CO	05/20/09	02/01/11		71	1,060	2,094	0	1,034
INTL PAPER CO	05/20/09	01/31/11		77	1,150	2,213	0	1,063
JOY GLOBAL INC DEL COM	03/15/10	03/25/11		47	2,653	4,546	0	1,893
JPMORGAN CHASE & CO	09/26/08	08/11/10		44	1,782	1,669	0	(113)
JPMORGAN CHASE & CO	09/26/08	08/11/10		34	1,377	1,290	0	(87)
JPMORGAN CHASE & CO	09/24/08	08/11/10		11	452	417	0	(35)
JPMORGAN CHASE & CO	09/24/08	07/27/10		14	575	574	0	(1)
KIMBERLY CLARK	05/20/09	04/13/11		61	3,152	3,980	0	828
KIMBERLY CLARK	05/20/09	02/01/11		62	3,204	3,987	0	783
KOHL'S CORP WISC PV 1CT	01/12/10	02/10/11		15	771	792	0	21
KOHL'S CORP WISC PV 1CT	04/23/09	02/10/11		33	1,254	1,742	0	489
KOHL'S CORP WISC PV 1CT	04/23/09	01/13/11		59	2,241	3,031	0	790
KOHL'S CORP WISC PV 1CT	04/23/09	12/15/10		38	1,444	2,037	0	593
KRAFT FOODS INC VA CL A	05/20/09	05/17/11		96	2,411	3,328	0	917
KRAFT FOODS INC VA CL A	05/20/09	04/13/11		122	3,063	3,939	0	875
KRAFT FOODS INC VA CL A	05/20/09	03/08/11		151	3,792	4,736	0	944
KRAFT FOODS INC VA CL A	05/20/09	12/06/10		99	2,486	2,988	0	502
KRAFT FOODS INC VA CL A	05/20/09	11/08/10		64	1,607	1,984	0	377

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KROGER CO	08/20/09	05/03/11		23	483	554	0	71
KROGER CO	05/20/09	05/03/11		137	3,000	3,303	0	302
LIBERTY GLOBAL INC SER A	01/12/10	03/21/11		32	743	1,314	0	570
LIBERTY GLOBAL INC SER A	10/15/09	11/09/10		53	1,219	2,031	0	812
LSI CORPORATION	05/20/09	05/17/11		556	2,307	4,050	0	1,743
LSI CORPORATION	05/20/09	03/15/11		397	1,647	2,597	0	950
LSI CORPORATION	05/20/09	07/27/10		83	344	410	0	66
MAKITA CORP SPOND ADR	02/12/10	03/29/11		1	33	45	0	11
MAKITA CORP SPOND ADR	01/12/10	03/29/11		13	459	581	0	123
MAKITA CORP SPOND ADR	07/14/09	03/29/11		23	511	1,028	0	517
MAKITA CORP SPOND ADR	07/14/09	02/09/11		36	800	1,612	0	812
MAKITA CORP SPOND ADR	07/14/09	01/11/11		64	1,423	2,598	0	1,176
MAKITA CORP SPOND ADR	07/14/09	07/27/10		14	311	424	0	113
MCKESSON CORPORATION COM	05/20/09	11/02/10		36	1,423	2,420	0	997
MCKESSON CORPORATION COM	05/20/09	11/01/10		39	1,541	2,626	0	1,084
MEDCO HEALTH SOLUTIONS I	08/18/09	09/27/10		22	1,197	1,119	0	(77)
MEDCO HEALTH SOLUTIONS I	08/17/09	09/27/10		35	1,905	1,780	0	(124)
MEDCO HEALTH SOLUTIONS I	03/17/08	09/27/10		20	851	1,017	0	166
MEDCO HEALTH SOLUTIONS I	03/17/08	07/14/10		20	851	1,141	0	290
MEDCO HEALTH SOLUTIONS I	03/17/08	07/13/10		24	1,021	1,368	0	347
MEDCO HEALTH SOLUTIONS I	02/21/08	07/13/10		7	298	399	0	101
MEDCO HEALTH SOLUTIONS I	02/21/08	07/12/10		12	538	680	0	142
MEDCO HEALTH SOLUTIONS I	11/15/07	07/12/10		5	224	283	0	59
MEDCO HEALTH SOLUTIONS I	11/15/07	07/12/10		19	918	1,076	0	158
MICRON TECHNOLOGY INC	05/20/09	06/04/10		702	3,566	6,204	0	2,638
MICROSOFT CORP	10/08/09	02/10/11		38	980	1,041	0	61
MICROSOFT CORP	07/15/09	02/10/11		60	1,440	1,644	0	204
MICROSOFT CORP	06/18/09	02/10/11		31	728	849	0	122
MICROSOFT CORP	05/20/09	02/10/11		70	1,427	1,918	0	491
MICROSOFT CORP	05/20/09	11/17/10		147	2,997	3,768	0	771
MICROSOFT CORP	05/20/09	10/25/10		99	2,019	2,500	0	482
MICROSOFT CORP	05/20/09	09/30/10		54	1,101	1,334	0	233
MICROSOFT CORP	03/31/09	09/30/10		100	1,846	2,470	0	624
MICROSOFT CORP	03/23/09	09/30/10		38	663	939	0	275
MITSUI CO ADR	10/16/09	10/20/10		6	1,680	1,932	0	252
MITSUI CO ADR	08/13/09	10/20/10		5	1,317	1,610	0	293
MITSUI CO ADR	07/24/09	10/14/10		5	1,243	1,657	0	413
MITSUI CO ADR	07/24/09	09/14/10		11	2,735	3,069	0	333
MORGAN STANLEY	02/15/08	02/23/11		9	381	263	0	(118)
MORGAN STANLEY	02/15/08	02/23/11		9	392	263	0	(129)
MORGAN STANLEY	07/31/08	02/23/11		13	514	380	0	(135)
MORGAN STANLEY	11/05/09	02/23/11		44	1,424	1,285	0	(139)
MORGAN STANLEY	05/20/09	02/23/11		41	1,207	1,197	0	(9)
MORGAN STANLEY	10/08/08	02/23/11		48	3,276	1,402	0	(1,874)
NESTLE S A REP RG SH ADR	05/20/09	08/19/10		5	185	256	0	72
NETAPP INC	12/02/09	12/15/10		29	917	1,559	0	642
NII HLDGS INC CL B	01/12/10	04/13/11		24	911	932	0	21
NII HLDGS INC CL B	08/31/09	04/13/11		31	726	1,204	0	478
NII HLDGS INC CL B	08/28/09	04/13/11		31	736	1,204	0	468
NII HLDGS INC CL B	06/17/09	04/13/11		16	314	622	0	307
NII HLDGS INC CL B	06/17/09	09/02/10		18	354	665	0	312
NINTENDO LTD ADR	01/12/10	03/22/11		9	319	308	0	(10)
NINTENDO LTD ADR	07/14/09	03/22/11		29	1,005	993	0	(13)
NINTENDO LTD ADR	05/20/09	03/22/11		70	2,353	2,397	0	43

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NITTO DENKO CORP ADR	10/23/09	02/09/11		53	1,656	3,017	0	1,361
NOBLE CORP NAMEN-AKT	07/21/09	02/01/11		103	3,316	3,872	0	556
NOBLE CORP NAMEN-AKT	07/21/09	10/07/10		21	679	704	0	25
NOBLE CORP NAMEN-AKT	05/29/09	10/07/10		47	1,597	1,576	0	(21)
NOBLE CORP NAMEN-AKT	05/29/09	07/27/10		7	239	228	0	(11)
NORTHROP GRUMMAN CORP	08/03/09	05/17/11		19	783	1,223	0	440
NORTHROP GRUMMAN CORP	05/20/09	05/17/11		16	711	1,030	0	319
NORTHROP GRUMMAN CORP	05/20/09	10/19/10		15	737	909	0	172
NORTHROP GRUMMAN CORP	05/20/09	10/18/10		44	2,163	2,714	0	551
NORTHROP GRUMMAN CORP	03/24/09	10/18/10		27	1,130	1,665	0	535
OCCIDENTAL PETE CORP CAL	02/10/09	11/08/10		2	113	168	0	54
OCCIDENTAL PETE CORP CAL	02/09/09	11/08/10		43	2,494	3,610	0	1,116
PACCAR INC	01/12/10	02/10/11		17	660	874	0	214
PACCAR INC	10/21/09	02/10/11		109	4,347	5,604	0	1,257
PACCAR INC	10/21/09	01/13/11		18	718	1,015	0	298
PACCAR INC	10/21/09	11/17/10		42	1,675	2,170	0	495
PEABODY ENERGY CORP COM	05/20/09	10/07/10		85	2,805	4,257	0	1,452
PHILIP MORRIS INTL INC	12/04/07	06/02/10		85	3,961	3,815	0	(146)
PRUDENTIAL FINANCIAL INC	05/20/09	12/06/10		14	615	750	0	134
QUALCOMM INC	01/06/09	06/16/10		42	1,550	1,472	0	(78)
QWEST COMM INTL INC COM	05/20/09	03/15/11		644	2,724	4,250	0	1,526
QWEST COMM INTL INC COM	05/20/09	02/01/11		470	1,988	3,328	0	1,339
QWEST COMM INTL INC COM	05/20/09	12/06/10		377	1,595	2,677	0	1,082
QWEST COMM INTL INC COM	05/20/09	11/08/10		681	2,881	4,584	0	1,704
QWEST COMM INTL INC COM	05/20/09	10/07/10		1,011	4,276	6,420	0	2,144
QWEST COMM INTL INC COM	05/20/09	07/28/10		615	2,601	3,462	0	861
ROSS STORES INC COM	05/20/09	11/09/10		4	149	253	0	104
ROSS STORES INC COM	05/20/09	11/08/10		44	1,634	2,792	0	1,158
RWE AG SPONSORED ADR	05/20/09	11/19/10		79	6,560	5,369	0	(1,191)
SALESFORCE COM INC	05/20/09	09/30/10		10	417	1,143	0	726
SALESFORCE COM INC	05/20/09	09/16/10		11	459	1,283	0	824
SALESFORCE COM INC	05/20/09	07/27/10		5	209	495	0	286
SEAGATE TECH PLC SHS	09/10/09	01/06/11		174	2,626	2,500	0	(126)
SOCIETE GENERAL SPN ADR	01/12/10	02/02/11		50	750	662	0	(88)
SOCIETE GENERAL SPN ADR	09/09/09	02/02/11		127	1,802	1,681	0	(121)
SOCIETE GENERAL SPN ADR	08/07/09	02/02/11		171	2,469	2,264	0	(205)
SUMITOMO MITSUI-UNSPONS ADR	01/12/10	01/18/11		77	480	557	0	77
SUMITOMO MITSUI-UNSPONS ADR	05/20/09	01/18/11		673	5,411	4,865	0	(546)
SYSCO CORPORATION	05/20/09	08/31/10		48	1,138	1,317	0	179
SYSCO CORPORATION	05/20/09	08/30/10		120	2,846	3,316	0	470
TAIWAN S MANUFCTRING ADR	03/01/10	03/31/11		8	80	97	0	18
TAIWAN S MANUFCTRING ADR	01/28/10	03/31/11		50	503	608	0	105
TAIWAN S MANUFCTRING ADR	01/28/10	03/29/11		160	1,610	1,928	0	318
TARGET CORP COM	03/03/10	03/30/11		24	1,240	1,203	0	(37)
TARGET CORP COM	03/02/10	03/30/11		3	155	150	0	(5)
TARGET CORP COM	03/02/10	03/25/11		34	1,760	1,705	0	(55)
TARGET CORP COM	03/01/10	03/25/11		36	1,874	1,805	0	(69)
TIME WARNER INC SHS	01/07/09	02/03/11		21	453	759	0	305
TIME WARNER INC SHS	01/07/09	02/03/11		5	108	181	0	73
TIME WARNER INC SHS	01/07/09	02/01/11		111	2,395	3,559	0	1,164
TIME WARNER INC SHS	12/11/08	02/01/11		15	316	481	0	165
TJX COS INC NEW	12/14/09	03/01/11		52	1,971	2,594	0	623
TJX COS INC NEW	12/14/09	02/28/11		46	1,744	2,295	0	551
TOKIO MARINE HOLDINGS INC, TOKYO ADR	01/12/10	02/18/11		27	791	904	0	113

The John, Mane and Joseph Whalen Foundation
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Security Description		Acquisition Date	Liquidation Date	Wash Sale	Quantity	Acquisition Cost	Liquidation Amount	Short-Term Gain/(Loss)	Long-Term Gain/(Loss)
TOKIO MARINE HOLDINGS INC, TOKYO	ADR	10/30/09	02/18/11		54	1,402	1,807	0	406
TOKIO MARINE HOLDINGS INC, TOKYO	ADR	05/20/09	02/18/11		116	3,468	3,882	0	414
TRAVELERS COS INC		08/12/09	03/02/11		85	3,967	5,009	0	1,042
TRAVELERS COS INC		08/12/09	02/01/11		66	3,080	3,746	0	666
TRAVELERS COS INC		04/01/08	02/01/11		59	2,924	3,349	0	425
TRAVELERS COS INC		02/21/08	02/01/11		14	669	795	0	126
TYCO INTL LTD NAMEN-AKT		05/20/09	04/13/11		86	2,310	4,421	0	2,112
UBS AG REG		06/16/09	06/25/10		79	1,049	1,095	0	46
UBS AG REG		05/20/09	06/25/10		273	4,120	3,783	0	(337)
UNILEVER NV NY REG SHS		05/20/09	12/06/10		133	3,193	3,955	0	762
UNITED PARCEL SVC CL B		07/30/09	03/09/11		34	1,831	2,483	0	653
UNITED STS STL CORP NEW		01/27/10	02/01/11		21	985	1,248	0	264
UNITED STS STL CORP NEW		01/12/10	02/01/11		1	64	59	0	(5)
UNITED STS STL CORP NEW		07/21/09	02/01/11		1	40	59	0	19
UNITED STS STL CORP NEW		07/21/09	09/22/10		40	1,605	1,755	0	150
UNITED STS STL CORP NEW		07/21/09	09/16/10		24	963	1,124	0	161
UNITEDHEALTH GROUP INC		01/12/10	02/01/11		28	905	1,170	0	265
UNITEDHEALTH GROUP INC		08/20/09	02/01/11		4	115	167	0	52
UNITEDHEALTH GROUP INC		08/20/09	12/06/10		53	1,529	1,988	0	459
UNITEDHEALTH GROUP INC		08/20/09	11/08/10		51	1,471	1,877	0	406
UNITEDHEALTH GROUP INC		08/20/09	10/07/10		92	2,654	3,174	0	520
US BANCORP (NEW)		05/20/09	02/01/11		114	2,220	3,141	0	921
VIACOM INC NEW CL B		05/20/09	05/17/11		15	320	737	0	417
VIACOM INC NEW CL B		03/20/09	05/17/11		56	917	2,751	0	1,834
VIACOM INC NEW CL B		03/20/09	04/13/11		51	835	2,408	0	1,573
VIACOM INC NEW CL B		03/20/09	02/01/11		16	262	683	0	421
VIACOM INC NEW CL B		12/18/08	02/01/11		31	529	1,324	0	795
VIACOM INC NEW CL B		12/18/08	12/06/10		40	682	1,589	0	907
WAL-MART STORES INC		01/12/10	02/28/11		24	1,305	1,250	0	(55)
WAL-MART STORES INC		05/20/09	02/28/11		72	3,599	3,751	0	152
WAL-MART STORES INC		01/06/09	08/25/10		50	2,820	2,568	0	(251)
WAL-MART STORES INC		10/09/08	08/25/10		9	491	462	0	(29)
WAL-MART STORES INC		05/20/09	08/25/10		9	450	462	0	12
WAL-MART STORES INC		03/05/09	08/25/10		50	2,487	2,568	0	81
WAL-MART STORES INC		10/09/08	06/02/10		39	2,129	2,008	0	(121)
WELLS FARGO & CO NEW DEL		10/14/09	10/15/10		77	2,369	1,830	0	(538)
WELLS FARGO & CO NEW DEL		05/20/09	10/15/10		127	3,299	3,019	0	(281)
XEROX CORP		01/12/10	03/22/11		100	886	1,016	0	130
XEROX CORP		05/20/09	03/22/11		519	3,581	5,273	0	1,692
XEROX CORP		05/20/09	02/03/11		76	524	829	0	305
XEROX CORP		05/20/09	02/01/11		182	1,256	1,955	0	699
XEROX CORP		05/20/09	06/04/10		458	3,160	4,065	0	905
XILINX INC		05/20/09	11/08/10		205	4,133	5,678	0	1,546
ZIMMER HOLDINGS INC COM		08/12/09	08/18/10		34	1,558	1,767	0	209
ZIMMER HOLDINGS INC COM		07/30/09	08/18/10		46	1,903	2,390	0	487
Total LT Gains/ Losses						582,095	736,154	0	154,065
Purchased						578,139	732,351		154,218
Donated						3,956	3,803		(153)

The John, Marie and Joseph Whalen Foundation
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Security Description	Acquisition Date	Liquidation Date	Wash Sale	Quantity	Acquisition Cost	Liquidation Amount	Short-Term Gain/(Loss)	Long-Term Gain/(Loss)
CITIGROUP INC	10/14/09	02/01/11		507	2,510	2,474	N/C	N/C
FLUOR CORP NEW DEL COM	02/10/11	05/20/11	WS	25	1,776	1,691	N/C	N/C
FLUOR CORP NEW DEL COM	02/10/11	05/20/11	WS	29	2,060	1,962	N/C	N/C
FLUOR CORP NEW DEL COM	02/10/11	04/26/11	WS	5	355	344	N/C	N/C
HEWLETT PACKARD CO DEL	01/15/10	05/17/11	WS	26	1,519	943	N/C	N/C
HEWLETT PACKARD CO DEL	01/15/10	03/08/11	WS	26	1,366	1,107	N/C	N/C
MICROSOFT CORP	11/09/09	02/10/11	WS	37	1,066	1,014	N/C	N/C
MORGAN STANLEY	03/05/08	02/23/11	WS	12	596	350	N/C	N/C
MORGAN STANLEY	07/31/08	02/23/11	WS	61	2,413	1,781	N/C	N/C
MORGAN STANLEY	07/31/08	02/23/11	WS	35	1,384	1,022	N/C	N/C
MORGAN STANLEY	02/15/08	02/23/11	WS	35	1,482	1,022	N/C	N/C
UNITED STS STL CORP NEW	01/12/10	02/01/11	WS	5	321	297	N/C	N/C
VMWARE, INC	11/11/10	04/06/11	WS	23	1,894	1,799	N/C	N/C
Total Wash Sales					18,742	15,806		