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 09/01/10 **, and ending** 08/31/11

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
E.J. Pope & Son Foundation

Number and street (or P.O box number if mail is not delivered to street address) | Room/suite
P.O. Drawer 649

City or town, state, and ZIP code
Mt. Olive NC 28365

A Employer identification number
56-1939755

B Telephone number (see page 10 of the instructions)

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

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

I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ $ 383,415

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

Part I **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions).)

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc., received (attach schedule)				
	2	Check ▶ ☒ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	3	3	3	
	4	Dividends and interest from securities	12,295	12,295	12,295	
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10 Stmt 1	-16,321			
	b	Gross sales price for all assets on line 6a 431,555				
	7	Capital gain net income (from Part IV, line 2)		0		
	8	Net short-term capital gain			0	
	9	Income modifications				
	10a	Gross sales less returns & allowances				
	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	-4,023	12,298	12,298	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule) Stmt 2	600			
	c	Other professional fees (attach schedule) Stmt 3	5,601	5,601		
	17	Interest				
	18	Taxes (attach schedule) (see page 14 of the instructions) Stmt 4	67			
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (att. sch.)				
	24	**Total operating and administrative expenses.** Add lines 13 through 23	6,268	5,601	0	0
	25	Contributions, gifts, grants paid	25,410			25,410
	26	**Total expenses and disbursements.** Add lines 24 and 25	31,678	5,601	0	25,410
	27	Subtract line 26 from line 12:				
	a	**Excess of revenue over expenses and disbursements**	-35,701			
	b	**Net investment income** (if negative, enter -0-)		6,697		
	c	**Adjusted net income** (if negative, enter -0-)			12,298	

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For Paperwork Reduction Act Notice, see page 30 of the instructions.

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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 (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	92,674	10,844	10,844
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7	Other notes and loans receivable (att. schedule) ▶			
		Less: allowance for doubtful accounts ▶ 0			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges	362	295	
	10a	Investments—U.S. and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach sch) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule) See Statement 5	328,832	374,598	372,571
	14	Land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach sch) ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	421,868	385,737	383,415
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0	0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg., and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	421,868	385,737	
	30	**Total net assets or fund balances** (see page 17 of the instructions)	421,868	385,737	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	421,868	385,737	

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	421,868
2	Enter amount from Part I, line 27a	2	-35,701
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	386,167
5	Decreases not included in line 2 (itemize) ▶ See Statement 6	5	430
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	385,737

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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	N/A			
b				
c				
d				
e				

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

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

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

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

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2009	20,550	379,345	0.054172
2008	10,500	239,001	0.043933
2007	18,000	319,782	0.056288
2006	14,000	335,963	0.041671
2005	21,051	287,236	0.073288

2	**Total** of line 1, column (d)	2	0.269352
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.053870
4	Enter the net value of noncharitable-use assets for 2010 from Part X, line 5	4	404,622
5	Multiply line 4 by line 3	5	21,797
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	67
7	Add lines 5 and 6	7	21,864
8	Enter qualifying distributions from Part XII, line 4	8	25,410

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: (attach copy of letter if necessary—see instructions)				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ [X] and enter 1% of Part I, line 27b			1	67
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col. (b).				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			2	0
3	Add lines 1 and 2			3	67
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			4	0
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-			5	67
6	Credits/Payments:				
a	2010 estimated tax payments and 2009 overpayment credited to 2010	6a	362		
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			
7	Total credits and payments. Add lines 6a through 6d			7	362
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	295
11	Enter the amount of line 10 to be: **Credited to 2011 estimated tax** ▶ 295 **Refunded** ▶			11	

Part VII-A Statements Regarding Activities

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

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Part VII-A Statements Regarding Activities (continued)

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

Website address ▶ N/A

14 The books are in care of ▶ Kaye Thompson P.O. Drawer 649 Telephone no. ▶ 919-658-6566

Located at ▶ Mt. Olive NC ZIP+4 ▶ 28365

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

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

			Yes	No
16	At any time during calendar year 2010, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X

See page 20 of the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶

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

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

				Yes	No
1a	During the year did the foundation (either directly or indirectly):				
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? **(Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 22 of the instructions)?	N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here	▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2010?	N/A	1c		
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):				
a	At the end of tax year 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010?	☐ Yes ☒ No			
	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 22 of the instructions.)	N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ 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?	☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2010 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010.)	N/A	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2010?		4b		X

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

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

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

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

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

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

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

b If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? N/A **5b**

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

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

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

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** X (No)

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

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

b If Yes, did the foundation receive any proceeds or have any net income attributable to the transaction? N/A **7b**

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

1 List all officers, directors, trustees, foundation managers and their compensation (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
E.J. Pope, Jr.	President 0.25	0	0	0
E.J. Pope, III	VP 0.50	0	0	0
Kaye Thompson	Secretary 0.50	0	0	0

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

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

Total number of other employees paid over $50,000 ▶ 0

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

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

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
NONE		

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 Grants were provided to 11 local nonprofits.	25,410
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 N/A	
2	
All other program-related investments See page 24 of the instructions 3	
Total. Add lines 1 through 3 ▶	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	374,598
b	Average of monthly cash balances	1b	36,186
c	Fair market value of all other assets (see page 25 of the instructions)	1c	0
d	**Total** (add lines 1a, b, and c)	1d	410,784
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e: 0		
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d	3	410,784
4	Cash deemed held for charitable activities. Enter 1½ % of line 3 (for greater amount, see page 25 of the instructions)	4	6,162
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	404,622
6	**Minimum investment return.** Enter 5% of line 5	6	20,231

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	20,231
2a	Tax on investment income for 2010 from Part VI, line 5	2a	67		
b	Income tax for 2010. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	67
3	Distributable amount before adjustments Subtract line 2c from line 1			3	20,164
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	20,164
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	20,164

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	25,410
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	25,410
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	67
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	25,343

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					20,164
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	7,085				
b	From 2006					
c	From 2007	2,440				
d	From 2008					
e	From 2009	1,745				
f	**Total** of lines 3a through e		11,270			
4	Qualifying distributions for 2010 from Part XII, line 4: ▶ $ 25,410					
a	Applied to 2009, but not more than line 2a					
b	Applied to undistributed income of prior years (Election required—see page 26 of the instructions)					
c	Treated as distributions out of corpus (Election required—see page 26 of the instructions)					
d	Applied to 2010 distributable amount					20,164
e	Remaining amount distributed out of corpus		5,246			
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		16,516			
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)		7,085			
9	**Excess distributions carryover to 2011.** Subtract lines 7 and 8 from line 6a		9,431			
10	Analysis of line 9:					
a	Excess from 2006					
b	Excess from 2007	2,440				
c	Excess from 2008					
d	Excess from 2009	1,745				
e	Excess from 2010	5,246				

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

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

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

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

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

1 Information Regarding Foundation Managers:

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

N/A

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

N/A

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

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

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

N/A

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

N/A

c Any submission deadlines:

N/A

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

N/A

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year See Statement 7				25,410
Total			▶ 3a	25,410
b Approved for future payment N/A				
Total			▶ 3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions.)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	3	
4 Dividends and interest from securities			14	12,295	
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	-16,321	
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)		0		-4,023	0

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 -4,023

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

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

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

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

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of:			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions:			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

Kaye W. Thompson | 11-9-11 | VP - Finance

Signature of officer or trustee | Date | Title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed
Jeanette Sullivan-Davis	Jeanette Sullivan Davis	11 4 11	
Firm's name ▶ Pittard Perry & Crone, Inc.		PTIN	P00532290
Firm's address ▶ P. O. Box 10588 Goldsboro, NC 27532-0588		Firm's EIN ▶	56-1081567
		Phone no.	919-751-8297

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Federal Statements

Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets

Description: Whom Sold	Date Acquired	Date Sold	How Received	Sale Price	Cost	Expense	Depreciation	Net Gain / Loss
See attached for Acc# 20101686	Various	Various	Purchase	$ 126,898	$ 118,515	$	$	$ 8,383
See attached for Acc# 29587126	Various	Various	Purchase	295,900	321,009			-25,109
See attached for Acc# 29587126	Various	Various	Purchase	8,757	8,352			405
Total				$ 431,555	$ 447,876	$ 0	$ 0	$ -16,321

Statement 2 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Accounting fees	$ 600	$	$	$
Total	$ 600	$ 0	$ 0	$ 0

Statement 3 - Form 990-PF, Part I, Line 16c - Other Professional Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Sterne Agee - investmen fees	$ 5,601	$ 5,601	$	$
Total	$ 5,601	$ 5,601	$ 0	$ 0

Statement 4 - Form 990-PF, Part I, Line 18 - Taxes

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Tax on Investment Income	$ 67	$	$	$
Total	$ 67	$ 0	$ 0	$ 0

Federal Statements

Statement 5 - Form 990-PF, Part II, Line 13 - Other Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
704.056 Capital Income Bldr Fd Cl C	$ 44,134	$	Cost	$
2662.79 Columbia Fds Ser Trust Mid C	42,734		Cost	
4291.12 Fed Equity Fds Kaufmann Fd C	22,228		Cost	
3324.46 Fidelity Advisor Sr II Hi In	30,771		Cost	
2756.02 Fidelity Advsr Sr VIII Strat	31,798		Cost	
3315.02 Gabelli Equity Ser Fds EqInc	59,380		Cost	
1927.88 Growth Fd Amer Inc Class C	51,781		Cost	
347.164 Keeley Fds Inc Sm Cap Val Fd	9,695		Cost	
3258.29 Pioneer Global Hi Yield Fd C	36,311		Cost	
1394.736 AIM Growth Ser Invesco Mid		30,510	Cost	31,005
498.833 Dreman Contrarian Funds		8,983	Cost	9,024
2614.744 Blackrock Equity Dividend		44,797	Cost	45,889
1229.324 First Eagle funds		27,300	Cost	28,447
2036.833 JP Morgan Trust II Core		23,677	Cost	24,055
3200.331 MFS Union Standard Tr Equit		48,334	Cost	43,492
6282.359 Mainstay Funds Large Cap Gr		42,630	Cost	45,484
2335.079 PIMCO Funds Total Return Fu		27,279	Cost	25,709
1408.401 Pioneer Strategic Income Fu		15,600	Cost	15,281
2418.789 Ridgeworth Funds Total Retu		26,567	Cost	26,341
1000.773 Royce Fund 100 Fund Investm		8,721	Cost	9,187
1133.891 Templeton Global Invt Tr Gl		15,600	Cost	15,648
2001.87 Thornburg Invt Tr Intl Value		54,600	Cost	53,009
Total	$ 328,832	$ 374,598		$ 372,571

Statement 6 - Form 990-PF, Part III, Line 5 - Other Decreases

Description	Amount
Disallowed investment loss on wash sale	$ 430
Total	$ 430

Federal Statements

Statement 7 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year

Name / Address	Address / Relationship	Status	Purpose	Amount
Young Life of Wayne Count Goldsboro NC 27533	P.O. Box 1702 none	501(c)(3)	General Use	350
Mount Olive College Goldsboro NC 28365	646 Henderson Street none	501(c)(3)	General Use	9,000
American Cancer Society Atlanta GA 30303-1002	250 Williams Street none	501(c)(3)	Relay for Life	560
Wayne Community Coll Fndt Goldsboro NC 27534	3000 Wayne Memorial Drive none	501(c)(3)	General Use	500
Wayne Country Day School Goldsboro NC 27530	480 Country Day Road none	501(c)(3)	General Use	7,500
Impact Wayne County Goldsboro NC 27530	309 East Chestnut Street none	501(c)(3)	General Use	2,000
United Way Goldsboro NC 27530	PO Box 73 none	501(c)(3)	General Use	1,000
American Red Cross Goldsboro NC 27530	600 N. George Street none	501(c)(3)	General Use	1,500
Paramount Theater Fndtn Goldsboro NC 27533	PO Drawer A none	501(c)(3)	General Use	250
The Educational Fndtn Chapel Hill NC 27515	PO Box 2446 none	501(c)(3)	Rams Club	2,000
BSA-Tuscarora Council Goldsboro NC 27533	PO Box 1436 none	501(c)(3)	General Use	750
Total				25,410

56-1939755

Federal Statements

Taxable Interest on Investments

Description	Amount	Unrelated Business Code	Exclusion Code	Postal Code	US Obs ($ or %)
Sterne Agee & Lynch	$ 3		14		
Total	$ 3				

Taxable Dividends from Securities

Description	Amount	Unrelated Business Code	Exclusion Code	Postal Code	US Obs ($ or %)
Sterne, Agee & Leach, Inc.	$ 12,295		14	NC	
Total	$ 12,295				

sterne
agee

Accounts / Gains & Losses

Start: 9/1/2010, End: 8/31/2011

Name & Address

E J POPE & SON FOUNDATION
STERNE SELECT FUNDS
PO BOX 649
MOUNT OLIVE NC 28365-0649

Details

Account Number	20101686
Rep Code	IZ01
Home Phone	
Business Phone	919-658-6566
Cell Phone	
Email	

Balances

Total Account Value	$358,502.52
Cash Balance	$0.00
MMF Balance	$9,660.61
Margin Balance	$0.00
Margin Buying Power	$0.00
Funds Available	$9,660.61

Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
299.0000	GTAYX	AIM GRW MIC CP COR EQT Y INVESCO MID CAP CORE EQUITY FUND CL Y	10/6/2010	2/1/2011	$21.8753	$6,540.7200	$23.8800	$7,131.1200	$590.4000	SHORT	$0.0000	$590.4000
591.0000	PTTPX	PIMCO TOTAL RETURN FD P TOTAL RETURN FUND CL P	10/6/2010	2/1/2011	$11.6823	$6,904.2100	$10.8400	$6,397.4400	-$506.7700	SHORT	$0.0000	-$506.7700
488.0000	SAMFX	RIDGEWORTH TTL RETURN I TOTAL RETURN BOND FUND CL I	10/6/2010	2/1/2011	$11.0737	$5,403.9500	$10.3900	$5,061.3200	-$342.6300	SHORT	$0.0000	-$342.6300
584.0000	DRISX	DREMAN CNTRN SML CP INST FUNDS CONTRARIAN SMALL CAP VALUE FUND INSTL CL	10/6/2010	5/18/2011	$18.0083	$10,516.8600	$20.9200	$12,208.2800	$1,691.4200	SHORT	$0.0000	$1,691.4200
1,237.0000	ROHHX	ROYCE FD INVT CL 100 FUND INVESTMENT CLASS	10/6/2010	5/18/2011	$8.7140	$10,779.2500	$10.4600	$12,930.0200	$2,150.7700	SHORT	$0.0000	$2,150.7700
418.0000	MADVX	BLACKROCK EQTY DIV INSTL DIVIDEND FUND INSTITUTIONAL CLASS	10/6/2010	6/2/2011	$16.6239	$6,948.8100	$18.4800	$7,715.6400	$766.8300	SHORT	$0.0000	$766.8300
489.0000	HIGJX	EAGLE GROWTH & INCOME I FUND CLASS I	10/6/2010	6/2/2011	$12.6329	$6,177.5000	$13.6300	$6,656.0700	$478.5700	SHORT	$0.0000	$478.5700
1,052.0000	MLAIX	MAINSTAY LARGE CAP GRW I CAP GROWTH FUND CLASS I	10/6/2010	6/2/2011	$6.5115	$6,850.1500	$7.7400	$8,133.4800	$1,283.3300	SHORT	$0.0000	$1,283.3300
1,080.0000	PTTPX	PIMCO TOTAL RETURN FD P TOTAL RETURN FUND CL P	10/6/2010	6/28/2011	$11.6823	$12,616.8300	$10.9700	$11,838.6000	-$778.2300	SHORT	$0.0000	-$778.2300
2,598.1730	HIGJX	EAGLE GROWTH & INCOME I FUND CLASS I	10/6/2010	7/21/2011	$12.6329	$32,822.5000	$13.8300	$35,926.1000	$3,103.6000	SHORT	$0.0000	$3,103.6000
546.7390	HIGJX	EAGLE GROWTH & INCOME I FUND CLASS I	2/1/2011	7/21/2011	$13.8165	$7,554.0000	$13.8300	$7,560.0100	$6.0100	SHORT	$0.0000	$6.0100
386.1750	HIGJX	EAGLE GROWTH & INCOME I FUND CLASS I	5/18/2011	7/21/2011	$13.9833	$5,400.0000	$13.8300	$5,339.8200	-$60.1800	SHORT	$0.0000	-$60.1800
						$118,514.78		$126,897.90	$8,383.12		$0.00	$8,383.12

sterne agee

Accounts / Gains & Losses

Start: 9/1/2010, End: 8/31/2011

Name & Address	Details		Balances	
E J POPE & SON FOUNDATION	Account Number	29587126	Total Account Value	$4,163.35
P O BOX 649	Rep Code	GN01	Cash Balance	$0.00
MOUNT OLIVE NC 28365-0649	Home Phone		MMF Balance	$4,163.35
	Business Phone	919-658-6566	Margin Balance	$0.00
	Cell Phone		Margin Buying Power	$8,326.70
	Email		Funds Available	$4,163.35

Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
602.4090	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	5/2/2007	9/30/2010	$64.4900	$38,849.3500	$48.8900	$29,451.7800	-$9,397.5700	LONG	-$9,397.5700	$0.0000
1.8110	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	6/22/2007	9/30/2010	$64.8316	$117.4100	$48.8900	$88.5300	-$28.8800	LONG	-$28.8800	$0.0000
3.4210	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	9/24/2007	9/30/2010	$65.8404	$225.2400	$48.8900	$167.2500	-$57.9900	LONG	-$57.9900	$0.0000
9.0890	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	12/24/2007	9/30/2010	$61.6140	$560.0100	$48.8900	$444.3600	-$115.6500	LONG	-$115.6500	$0.0000
23.6710	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	12/24/2007	9/30/2010	$61.6087	$1,458.3400	$48.8900	$1,157.2700	-$301.0700	LONG	-$301.0700	$0.0000
4.4660	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	3/25/2008	9/30/2010	$57.1563	$255.2600	$48.8900	$218.3400	-$36.9200	LONG	-$36.9200	$0.0000
4.5490	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	6/24/2008	9/30/2010	$57.0653	$259.5900	$48.8900	$222.4000	-$37.1900	LONG	-$37.1900	$0.0000
5.1950	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	9/23/2008	9/30/2010	$52.2810	$271.6000	$48.8900	$253.9800	-$17.6200	LONG	-$17.6200	$0.0000
14.4380	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	12/23/2008	9/30/2010	$40.6905	$587.4900	$48.8900	$705.8800	$118.3900	LONG	$118.3900	$0.0000
6.2160	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	3/24/2009	9/30/2010	$37.1879	$231.1600	$48.8900	$303.9100	$72.7500	LONG	$72.7500	$0.0000
6.0310	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	6/23/2009	9/30/2010	$41.7178	$251.6000	$48.8900	$294.8600	$43.2600	LONG	$43.2600	$0.0000
5.2600	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	9/29/2009	9/30/2010	$46.3821	$243.9700	$48.8900	$257.1600	$13.1900	LONG	$13.1900	$0.0000
7.4090	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	12/22/2009	9/30/2010	$47.3708	$350.9700	$48.8900	$362.2300	$11.2600	SHORT	$0.0000	$11.2600
4.7110	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	3/23/2010	9/30/2010	$47.8455	$225.4000	$48.8900	$230.3200	$4.9200	SHORT	$0.0000	$4.9200
5.3800	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	6/22/2010	9/30/2010	$45.8030	$246.4200	$48.8900	$263.0300	$16.6100	SHORT	$0.0000	$16 6100
5.1440	CIBCX	CAPITAL INCOME BLDR FD C CLASS C	9/21/2010	9/30/2010	$48.0540	$247.1900	$48.8900	$251.4900	$4.3000	SHORT	$0.0000	$4.3000
2,491.6990	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	5/3/2007	9/30/2010	$16.1600	$40,265.8600	$11.5500	$28,779.1200	-$11,486.7400	LONG	-$11,486.7400	$0.0000
1.8410	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	6/28/2007	9/30/2010	$15.2960	$28.1600	$11.5500	$21.2600	-$6.9000	LONG	-$6.9000	$0.0000

EJ POPE & SON FOUNDA PRIORITY POPE - 29587126

Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
89.0820	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	6/28/2007	9/30/2010	$15.3001	$1,362.9600	$11.5500	$1,028.8900	-$334.0700	LONG	-$334.0700	$0.0000
20.3240	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	6/28/2007	9/30/2010	$15.3001	$310.9600	$11.5500	$234.7400	-$76.2200	LONG	-$76.2200	$0.0000
6.0370	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	12/14/2007	9/30/2010	$14.5304	$87.7200	$11.5500	$69.7200	-$18.0000	LONG	-$18.0000	$0.0000
35.9000	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	12/14/2007	9/30/2010	$14.5301	$521.6300	$11.5500	$414.6500	-$106.9800	LONG	-$106.9800	$0.0000
0.0810	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	6/27/2008	9/30/2010	$13.0864	$1.0600	$11.5500	$0.9300	-$0.1300	LONG	-$0.1300	$0.0000
2.3950	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	9/29/2008	9/30/2010	$12.0376	$28.8300	$11.5500	$27.6600	-$1.1700	LONG	-$1.1700	$0.0000
10.5140	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	12/15/2008	9/30/2010	$7.7801	$81.8000	$11.5500	$121.4700	$39.6700	LONG	$39.6700	$0.0000
3.0530	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	6/24/2009	9/30/2010	$8.2706	$25.2500	$11.5500	$35.2600	$10.0100	LONG	$10.0100	$0.0000
0.3910	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	9/28/2009	9/30/2010	$10.2046	$3.9900	$11.5500	$4.5100	$0.5200	LONG	$0.5200	$0.0000
1.4730	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	12/14/2009	9/30/2010	$10.4820	$15.4400	$11.5500	$17.0100	$1.5700	SHORT	$0.0000	$1.5700
16.1200	CMUCX	COLUMBIA MID CAP VAL C TRUST MID CAP VALUE FUND CLASS C	9/28/2010	9/30/2010	$11.5298	$185.8600	$11.5500	$186.1900	$0.3300	SHORT	$0.0000	$0.3300
4,291.1200	KAUCX	FEDERATED EQTY KAUFMNN C KAUFMANN FD CL C	3/26/2008	9/30/2010	$5.1800	$22,228.0000	$4.7900	$20,554.4600	-$1,673.5400	LONG	-$1,673.5400	$0.0000
16.9430	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	7/3/2000	9/30/2010	$10.4497	$177.0500	$9.6200	$162.9900	-$14.0600	LONG	-$14.0600	$0.0000
48.5660	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	8/1/2000	9/30/2010	$10.4299	$506.5400	$9.6200	$467.2000	-$39.3400	LONG	-$39.3400	$0.0000
48.3750	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	9/1/2000	9/30/2010	$10.3297	$499.7000	$9.6200	$465.3700	-$34.3300	LONG	-$34.3300	$0.0000
277.0200	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	9/28/2000	9/30/2010	$10.1500	$2,811.7500	$9.6200	$2,664.9500	-$146.8000	LONG	-$146.8000	$0.0000
44.6550	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	10/2/2000	9/30/2010	$10.1400	$452.8000	$9.6200	$429.5800	-$23.2200	LONG	-$23.2200	$0.0000
51.0840	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	11/1/2000	9/30/2010	$9.6600	$493.4700	$9.6200	$491.4300	-$2.0400	LONG	-$2.0400	$0.0000

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Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
16.8930	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	4/1/2008	9/30/2010	$9.3198	$157.4400	$9.6200	$162.5100	$5.0700	LONG	$5.0700	$0.0000
14.8350	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	5/1/2008	9/30/2010	$9.8497	$146.1200	$9.6200	$142.7100	-$3 4100	LONG	-$3.4100	$0.0000
13.3650	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	6/2/2008	9/30/2010	$9.8997	$132.3100	$9.6200	$128.5700	-$3.7400	LONG	-$3.7400	$0.0000
13.8740	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	7/1/2008	9/30/2010	$9.5502	$132.5000	$9.6200	$133.4600	$0.9600	LONG	$0.9600	$0.0000
15.2220	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	8/1/2008	9/30/2010	$9.2603	$140.9600	$9.6200	$146.4300	$5.4700	LONG	$5.4700	$0.0000
14.9570	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	9/2/2008	9/30/2010	$9.1302	$136.5600	$9.6200	$143.8800	$7.3200	LONG	$7.3200	$0.0000
16.4880	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	10/1/2008	9/30/2010	$8.0598	$132.8900	$9.6200	$158.6100	$25.7200	LONG	$25.7200	$0.0000
22.8500	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	11/3/2008	9/30/2010	$6.4700	$147.8400	$9.6200	$219.8100	$71.9700	LONG	$71.9700	$0.0000
26.3780	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	12/1/2008	9/30/2010	$5.4799	$144.5500	$9.6200	$253.7500	$109.2000	LONG	$109.2000	$0.0000
46.5730	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	1/2/2009	9/30/2010	$5.7100	$265.9300	$9.6200	$448.0300	$182.1000	LONG	$182.1000	$0.0000
15.1390	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	2/2/2009	9/30/2010	$5.8102	$87.9600	$9.6200	$145.6300	$57.6700	LONG	$57.6700	$0.0000
18.5300	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	3/2/2009	9/30/2010	$5.3799	$99.6900	$9.6200	$178.2600	$78.5700	LONG	$78.5700	$0.0000
20.6990	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	4/1/2009	9/30/2010	$5.5399	$114.6700	$9.6200	$199.1200	$84.4500	LONG	$84.4500	$0.0000
16.3700	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	5/1/2009	9/30/2010	$6.5199	$106.7300	$9.6200	$157.4800	$50.7500	LONG	$50.7500	$0.0000
14.0860	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	6/1/2009	9/30/2010	$7.1000	$100.0100	$9.6200	$135.5000	$35.4900	LONG	$35.4900	$0.0000
12.8830	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	7/1/2009	9/30/2010	$7.3399	$94.5600	$9.6200	$123.9300	$29.3700	LONG	$29.3700	$0.0000
10.6490	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	8/3/2009	9/30/2010	$7.9500	$84.6600	$9.6200	$102.4400	$17.7800	LONG	$17.7800	$0.0000
13.1500	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	9/1/2009	9/30/2010	$8.1300	$106.9100	$9.6200	$126.5000	$19.5900	LONG	$19.5900	$0.0000

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Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
12.1370	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	10/1/2009	9/30/2010	$8.7501	$106.2000	$9.6200	$116.7500	$10.5500	SHORT	$0.0000	$10.5500
13.0450	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	11/2/2009	9/30/2010	$8.6401	$112.7100	$9.6200	$125.4900	$12.7800	SHORT	$0.0000	$12.7800
12.2750	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	12/1/2009	9/30/2010	$8.8000	$108.0200	$9.6200	$118.0800	$10.0600	SHORT	$0.0000	$10.0600
7.1400	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	12/7/2009	9/30/2010	$8.9006	$63.5500	$9.6200	$68.6800	$5.1300	SHORT	$0.0000	$5.1300
41.7540	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	1/4/2010	9/30/2010	$9.0499	$377.8700	$9.6200	$401.6700	$23.8000	SHORT	$0.0000	$23.8000
13.0780	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	2/1/2010	9/30/2010	$9.1298	$119.4000	$9.6200	$125.8100	$6.4100	SHORT	$0.0000	$6.4100
11.1960	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	3/1/2010	9/30/2010	$9.1300	$102.2200	$9.6200	$107.7000	$5.4800	SHORT	$0.0000	$5.4800
13.3940	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	4/1/2010	9/30/2010	$9.4498	$126.5700	$9.6200	$128.8500	$2.2800	SHORT	$0.0000	$2.2800
12.5020	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	5/3/2010	9/30/2010	$9.7496	$121.8900	$9.6200	$120.2600	-$1.6300	SHORT	$0.0000	-$1.6300
17.9150	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	6/1/2010	9/30/2010	$9.2303	$165.3600	$9.6200	$172.3400	$6.9800	SHORT	$0.0000	$6.9800
14.9110	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	7/1/2010	9/30/2010	$9.1000	$135.6900	$9.6200	$143.4400	$7.7500	SHORT	$0.0000	$7.7500
15.1990	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	8/2/2010	9/30/2010	$9.4302	$143.3300	$9.6200	$146.2100	$2.8800	SHORT	$0.0000	$2.8800
14.2050	FAHYX	FIDELITY HIGH INCM ADV T HIGH INCOME ADVANTAGE FD CL T	9/1/2010	9/30/2010	$9.2503	$131.4000	$9.6200	$136.6500	$5.2500	SHORT	$0.0000	$5.2500
10.3490	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	4/1/2003	9/30/2010	$10.6493	$110.2100	$12.8000	$132.4700	$22.2600	LONG	$22.2600	$0.0000
27.1570	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	5/1/2003	9/30/2010	$10.9898	$298.4500	$12.8000	$347.6200	$49.1700	LONG	$49.1700	$0.0000
27.2710	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	6/2/2003	9/30/2010	$11.2299	$306.2500	$12.8000	$349.0700	$42.8200	LONG	$42.8200	$0.0000
25.3310	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	7/1/2003	9/30/2010	$11.2901	$285.9900	$12.8000	$324.2400	$38.2500	LONG	$38.2500	$0.0000
26.9760	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	8/1/2003	9/30/2010	$10.9601	$295.6600	$12.8000	$345.3000	$49.6400	LONG	$49.6400	$0.0000

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Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
27.0970	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	9/2/2003	9/30/2010	$11.0300	$298.8800	$12.8000	$346.8500	$47.9700	LONG	$47.9700	$0.0000
25.3420	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	10/1/2003	9/30/2010	$11.3302	$287.1300	$12.8000	$324.3800	$37.2500	LONG	$37.2500	$0.0000
1,079.4470	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	10/3/2003	9/30/2010	$11.5856	$12,506.0000	$12.8000	$13,817.0400	$1,311.0400	LONG	$1,311.0400	$0.0000
30.4860	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	11/3/2003	9/30/2010	$11.3701	$346.6300	$12.8000	$390.2300	$43.6000	LONG	$43.6000	$0.0000
29.9930	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/1/2003	9/30/2010	$11.4700	$344.0200	$12.8000	$383.9100	$39.8900	LONG	$39.8900	$0.0000
74.0290	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	1/2/2004	9/30/2010	$11.6200	$860.2200	$12.8000	$947.5700	$87.3500	LONG	$87.3500	$0.0000
30.4000	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/2/2004	9/30/2010	$11.6901	$355.3800	$12.8000	$389.1200	$33.7400	LONG	$33.7400	$0.0000
28.8010	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	3/1/2004	9/30/2010	$11.6600	$335.8200	$12.8000	$368.6500	$32.8300	LONG	$32.8300	$0.0000
30.0270	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	4/1/2004	9/30/2010	$11.6901	$351.0200	$12.8000	$384.3400	$33.3200	LONG	$33.3200	$0.0000
29.0540	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	5/3/2004	9/30/2010	$11.3699	$330.3400	$12.8000	$371.9000	$41.5600	LONG	$41.5600	$0.0000
32.2340	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	6/1/2004	9/30/2010	$11.2099	$361.3400	$12.8000	$412.6000	$51.2600	LONG	$51.2600	$0.0000
30.2890	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	7/1/2004	9/30/2010	$11.2701	$341.3600	$12.8000	$387.7100	$46.3500	LONG	$46.3500	$0.0000
32.3750	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	8/2/2004	9/30/2010	$11.3198	$366.4800	$12.8000	$414.4100	$47.9300	LONG	$47.9300	$0.0000
31.6220	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	9/1/2004	9/30/2010	$11.5401	$364.9200	$12.8000	$404.7600	$39.8400	LONG	$39.8400	$0.0000
29.9790	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	10/1/2004	9/30/2010	$11.6598	$349.5500	$12.8000	$383.7300	$34.1800	LONG	$34.1800	$0.0000
31.4570	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	11/1/2004	9/30/2010	$11.8501	$372.7700	$12.8000	$402.6500	$29.8800	LONG	$29.8800	$0.0000
28.9070	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/1/2004	9/30/2010	$11.9701	$346.0200	$12.8000	$370.0100	$23.9900	LONG	$23.9900	$0.0000
24.0410	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/27/2004	9/30/2010	$11.9300	$286.8100	$12.8000	$307.7200	$20.9100	LONG	$20.9100	$0.0000

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34.3530	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/27/2004	9/30/2010	$11.9300	$409.8300	$12.8000	$439.7100	$29.8800	LONG	$29.8800	$0.0000
22.8940	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	1/3/2005	9/30/2010	$11.9202	$272.9000	$12.8000	$293.0400	$20.1400	LONG	$20.1400	$0.0000
16.1180	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/1/2005	9/30/2010	$11.8600	$191.1600	$12.8000	$206.3100	$15.1500	LONG	$15.1500	$0.0000
10.6560	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/7/2005	9/30/2010	$11.8102	$125.8500	$12.8000	$136.3900	$10.5400	LONG	$10.5400	$0.0000
26.6430	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/7/2005	9/30/2010	$11.8099	$314.6500	$12.8000	$341.0300	$26.3800	LONG	$26.3800	$0.0000
14.5250	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	3/1/2005	9/30/2010	$11.8196	$171.6800	$12.8000	$185.9200	$14.2400	LONG	$14.2400	$0.0000
16.4070	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	4/1/2005	9/30/2010	$11.5603	$189.6700	$12.8000	$210.0100	$20.3400	LONG	$20.3400	$0.0000
15.3960	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	5/2/2005	9/30/2010	$11.5498	$177.8200	$12.8000	$197.0700	$19.2500	LONG	$19.2500	$0.0000
15.8580	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	6/1/2005	9/30/2010	$11.6099	$184.1100	$12.8000	$202.9800	$18.8700	LONG	$18.8700	$0.0000
14.8260	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	7/1/2005	9/30/2010	$11.6997	$173.4600	$12.8000	$189.7700	$16.3100	LONG	$16.3100	$0.0000
15.3570	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	8/1/2005	9/30/2010	$11.6800	$179.3700	$12.8000	$196.5700	$17.2000	LONG	$17.2000	$0.0000
15.3900	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	9/1/2005	9/30/2010	$11.7700	$181.1400	$12.8000	$196.9900	$15.8500	LONG	$15 8500	$0.0000
15.0990	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	10/3/2005	9/30/2010	$11.6696	$176.2000	$12.8000	$193.2600	$17.0600	LONG	$17.0600	$0.0000
15.9310	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	11/1/2005	9/30/2010	$11.5303	$183.6900	$12.8000	$203.9100	$20.2200	LONG	$20.2200	$0.0000
15.5100	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/1/2005	9/30/2010	$11.5403	$178.9900	$12.8000	$198.5300	$19.5400	LONG	$19.5400	$0.0000
14.9950	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/27/2005	9/30/2010	$11.5599	$173.3400	$12.8000	$191.9300	$18.5900	LONG	$18.5900	$0.0000
1.6660	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/27/2005	9/30/2010	$11.5606	$19.2600	$12.8000	$21.3200	$2.0600	LONG	$2.0600	$0.0000
22.1880	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	1/3/2006	9/30/2010	$11.5400	$256.0500	$12.8000	$284.0100	$27.9600	LONG	$27.9600	$0 0000

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15.8860	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/1/2006	9/30/2010	$11.6002	$184.2800	$12.8000	$203.3400	$19.0600	LONG	$19.0600	$0.0000
13.4290	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	3/1/2006	9/30/2010	$11.6301	$156.1800	$12.8000	$171.8900	$15.7100	LONG	$15.7100	$0.0000
15.7430	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	4/3/2006	9/30/2010	$11.5397	$181.6700	$12.8000	$201.5100	$19.8400	LONG	$19.8400	$0.0000
12.4790	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	5/1/2006	9/30/2010	$11.5602	$144.2600	$12.8000	$159.7300	$15.4700	LONG	$15.4700	$0.0000
12.7800	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	6/1/2006	9/30/2010	$11.5000	$146.9700	$12.8000	$163.5800	$16.6100	LONG	$16.6100	$0.0000
12.2630	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	7/3/2006	9/30/2010	$11.4197	$140.0400	$12.8000	$156.9600	$16.9200	LONG	$16.9200	$0.0000
13.0050	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	8/1/2006	9/30/2010	$11.5202	$149.8200	$12.8000	$166.4600	$16.6400	LONG	$16.6400	$0.0000
13.0520	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	9/1/2006	9/30/2010	$11.6396	$151.9200	$12.8000	$167.0600	$15.1400	LONG	$15.1400	$0.0000
12.4860	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	10/2/2006	9/30/2010	$11.6699	$145.7100	$12.8000	$159.8200	$14.1100	LONG	$14.1100	$0.0000
12.9570	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	11/1/2006	9/30/2010	$11.7496	$152.2400	$12.8000	$165.8500	$13.6100	LONG	$13.6100	$0.0000
12.3730	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/1/2006	9/30/2010	$11.8702	$146.8700	$12.8000	$158.3700	$11.5000	LONG	$11.5000	$0.0000
8.0960	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/26/2006	9/30/2010	$11.7898	$95.4500	$12.8000	$103.6200	$8.1700	LONG	$8.1700	$0.0000
2.3150	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/26/2006	9/30/2010	$11.7883	$27.2900	$12.8000	$29.6300	$2.3400	LONG	$2.3400	$0.0000
15.0960	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	1/3/2007	9/30/2010	$11.7601	$177.5300	$12.8000	$193.2200	$15.6900	LONG	$15.6900	$0.0000
11.7280	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/1/2007	9/30/2010	$11.7096	$137.3300	$12.8000	$150.1100	$12.7800	LONG	$12.7800	$0.0000
2.3630	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/5/2007	9/30/2010	$11.7012	$27.6500	$12.8000	$30.2400	$2.5900	LONG	$2.5900	$0.0000
2.3630	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/5/2007	9/30/2010	$11.7012	$27.6500	$12.8000	$30.2400	$2.5900	LONG	$2.5900	$0.0000
10.4790	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	3/1/2007	9/30/2010	$11.8103	$123.7600	$12.8000	$134.1300	$10.3700	LONG	$10.3700	$0.0000

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Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
11.9540	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	4/2/2007	9/30/2010	$11.7902	$140.9400	$12.8000	$153.0100	$12.0700	LONG	$12.0700	$0.0000
11.4560	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	5/1/2007	9/30/2010	$11.8602	$135.8700	$12.8000	$146.6300	$10.7600	LONG	$10.7600	$0 0000
11.9910	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	6/1/2007	9/30/2010	$11.7697	$141.1300	$12.8000	$153.4800	$12.3500	LONG	$12.3500	$0.0000
11.7600	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	7/2/2007	9/30/2010	$11.6403	$136.8900	$12.8000	$150.5200	$13.6300	LONG	$13.6300	$0.0000
12.0590	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	8/1/2007	9/30/2010	$11.4902	$138.5600	$12.8000	$154.3500	$15.7900	LONG	$15.7900	$0.0000
11.9370	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	9/4/2007	9/30/2010	$11.5599	$137.9900	$12.8000	$152.7900	$14.8000	LONG	$14.8000	$0.0000
10.9650	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	10/1/2007	9/30/2010	$11.7401	$128.7300	$12.8000	$140.3500	$11.6200	LONG	$11.6200	$0.0000
11.1670	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	11/1/2007	9/30/2010	$11.8196	$131.9900	$12.8000	$142.9300	$10.9400	LONG	$10.9400	$0.0000
10.7030	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/3/2007	9/30/2010	$11.7705	$125.9800	$12.8000	$136.9900	$11.0100	LONG	$11.0100	$0.0000
6.5620	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/31/2007	9/30/2010	$11.6093	$76.1800	$12.8000	$83.9900	$7.8100	LONG	$7.8100	$0.0000
17.5000	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/31/2007	9/30/2010	$11.6097	$203.1700	$12.8000	$224.0000	$20.8300	LONG	$20.8300	$0.0000
13.6140	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	1/2/2008	9/30/2010	$11.6204	$158.2000	$12.8000	$174.2600	$16.0600	LONG	$16.0600	$0.0000
10.9660	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/1/2008	9/30/2010	$11.6305	$127.5400	$12.8000	$140.3600	$12.8200	LONG	$12.8200	$0.0000
3.3980	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/19/2008	9/30/2010	$11.4214	$38.8100	$12.8000	$43.4900	$4.6800	LONG	$4.6800	$0.0000
12.4670	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/19/2008	9/30/2010	$11.4197	$142.3700	$12.8000	$159.5800	$17.2100	LONG	$17.2100	$0.0000
9.9750	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	3/3/2008	9/30/2010	$11.5499	$115.2100	$12.8000	$127.6800	$12.4700	LONG	$12.4700	$0.0000
10.4190	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	4/1/2008	9/30/2010	$11.5203	$120.0300	$12.8000	$133.3600	$13.3300	LONG	$13.3300	$0.0000
9.6110	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	5/1/2008	9/30/2010	$11.5503	$111.0100	$12.8000	$123.0200	$12.0100	LONG	$12.0100	$0.0000

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Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
9.6860	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	6/2/2008	9/30/2010	$11.4795	$111.1900	$12.8000	$123.9800	$12.7900	LONG	$12.7900	$0.0000
9.4590	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	7/1/2008	9/30/2010	$11.3500	$107.3600	$12.8000	$121.0700	$13.7100	LONG	$13.7100	$0.0000
10.2500	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	8/1/2008	9/30/2010	$11.2898	$115.7200	$12.8000	$131.2000	$15.4800	LONG	$15.4800	$0.0000
9.9190	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	9/2/2008	9/30/2010	$11.2199	$111.2900	$12.8000	$126.9600	$15.6700	LONG	$15.6700	$0.0000
10.2910	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	10/1/2008	9/30/2010	$10.7298	$110.4200	$12.8000	$131.7300	$21.3100	LONG	$21.3100	$0.0000
12.4090	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	11/3/2008	9/30/2010	$9.5898	$119.0000	$12.8000	$158.8500	$39.8500	LONG	$39.8500	$0.0000
12.8500	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/1/2008	9/30/2010	$9.4397	$121.3000	$12.8000	$164.5000	$43.2000	LONG	$43.2000	$0.0000
13.0810	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	1/2/2009	9/30/2010	$9.7699	$127.8000	$12.8000	$167.4400	$39.6400	LONG	$39.6400	$0.0000
11.2870	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/2/2009	9/30/2010	$9.7900	$110.5000	$12.8000	$144.4800	$33.9800	LONG	$33.9800	$0.0000
10.5640	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	3/2/2009	9/30/2010	$9.6204	$101.6300	$12.8000	$135.2300	$33.6000	LONG	$33.6000	$0.0000
12.2790	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	4/1/2009	9/30/2010	$9.8502	$120.9500	$12.8000	$157.1800	$36.2300	LONG	$36.2300	$0.0000
11.6090	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	5/1/2009	9/30/2010	$10.3497	$120.1500	$12.8000	$148.6000	$28.4500	LONG	$28.4500	$0.0000
11.7140	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	6/1/2009	9/30/2010	$10.7598	$126.0400	$12.8000	$149.9400	$23.9000	LONG	$23.9000	$0.0000
9.8530	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	7/1/2009	9/30/2010	$10.9997	$108.3800	$12.8000	$126.1200	$17.7400	LONG	$17.7400	$0.0000
10.4620	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	8/3/2009	9/30/2010	$11.4395	$119.6800	$12.8000	$133.9100	$14.2300	LONG	$14.2300	$0.0000
10.3710	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	9/1/2009	9/30/2010	$11.6295	$120.6100	$12.8000	$132.7400	$12.1300	LONG	$12.1300	$0.0000
9.2270	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	10/1/2009	9/30/2010	$12.0700	$111.3700	$12.8000	$118.1000	$6.7300	SHORT	$0.0000	$6.7300
9.2970	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	11/2/2009	9/30/2010	$12.0899	$112.4000	$12.8000	$119.0000	$6.6000	SHORT	$0.0000	$6.6000

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Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
9.0250	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/1/2009	9/30/2010	$12.2393	$110.4600	$12.8000	$115.5200	$5.0600	SHORT	$0.0000	$5.0600
21.8440	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	12/24/2009	9/30/2010	$12.1200	$264.7500	$12.8000	$279.6000	$14.8500	SHORT	$0.0000	$14.8500
17.0910	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	1/4/2010	9/30/2010	$12.1198	$207.1400	$12.8000	$218.7600	$11.6200	SHORT	$0.0000	$11.6200
9.5810	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/1/2010	9/30/2010	$12.1804	$116.7000	$12.8000	$122.6300	$5.9300	SHORT	$0.0000	$5.9300
3.3670	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	2/16/2010	9/30/2010	$12.0107	$40.4400	$12.8000	$43.0900	$2.6500	SHORT	$0.0000	$2.6500
8.6130	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	3/1/2010	9/30/2010	$12.1398	$104.5600	$12.8000	$110.2400	$5.6800	SHORT	$0.0000	$5.6800
9.7280	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	4/1/2010	9/30/2010	$12.2995	$119.6500	$12.8000	$124.5100	$4.8600	SHORT	$0.0000	$4.8600
9.1620	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	5/3/2010	9/30/2010	$12.4296	$113.8800	$12.8000	$117.2700	$3.3900	SHORT	$0.0000	$3.3900
10.2430	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	6/1/2010	9/30/2010	$12.0804	$123.7400	$12.8000	$131.1100	$7.3700	SHORT	$0.0000	$7.3700
9.3730	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	7/1/2010	9/30/2010	$12.1797	$114.1600	$12.8000	$119.9700	$5.8100	SHORT	$0.0000	$5.8100
9.5070	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	8/2/2010	9/30/2010	$12.4897	$118.7400	$12.8000	$121.6800	$2.9400	SHORT	$0.0000	$2.9400
8.9610	FSIAX	FID ADV VIII STRAT INC T STRATEGIC INC FD CL T	9/1/2010	9/30/2010	$12.5600	$112.5500	$12.8000	$114.7000	$2.1500	SHORT	$0.0000	$2.1500
2,612.1310	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	10/13/2005	9/30/2010	$17.6500	$46,104.0900	$17.6500	$46,104.3200	$342.6800	LONG	$342.6800	$0.0000
5.0540	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	10/31/2005	9/30/2010	$17.4891	$88.3900	$17.6500	$89.2000	$1.4400	LONG	$1.4400	$0.0000
4.8940	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	11/30/2005	9/30/2010	$18.0915	$88.5400	$17.6500	$86.3700	-$1.5400	LONG	-$1.5400	$0.0000
30.9970	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	11/30/2005	9/30/2010	$18.0898	$560.7300	$17.6500	$547.0900	-$9.5900	LONG	-$9.5900	$0.0000
4.9240	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	12/30/2005	9/30/2010	$18.1986	$89.6100	$17.6500	$86.9000	-$2.0800	LONG	-$2.0800	$0.0000
4.7870	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	1/31/2006	9/30/2010	$18.7508	$89.7600	$17.6500	$84.4900	-$4.7300	LONG	-$4.7300	$0.0000

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4.7620	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	2/28/2006	9/30/2010	$18.8786	$89.9000	$17.6500	$84.0400	-$5.3200	LONG	-$5.3200	$0.0000
4.7250	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	3/31/2006	9/30/2010	$19.0582	$90.0500	$17.6500	$83.3900	-$6.1200	LONG	-$6.1200	$0.0000
4.6680	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	4/28/2006	9/30/2010	$19.3209	$90.1900	$17.6500	$82.3900	-$7.2600	LONG	-$7.2600	$0.0000
4.7290	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	5/31/2006	9/30/2010	$19.1013	$90.3300	$17.6500	$83.4600	-$6.3300	LONG	-$6.3300	$0.0000
4.8460	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	6/30/2006	9/30/2010	$18.6690	$90.4700	$17.6500	$85.5300	-$4.3100	LONG	-$4.3100	$0.0000
4.7100	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	7/31/2006	9/30/2010	$19.2399	$90.6200	$17.6500	$83.1300	-$6.9500	LONG	-$6.9500	$0.0000
4.6140	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	8/31/2006	9/30/2010	$19.6706	$90.7600	$17.6500	$81.4300	-$8.7900	LONG	-$8.7900	$0.0000
4.4680	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	9/29/2006	9/30/2010	$19.8321	$88.6100	$17.6500	$78.8600	-$9.2100	LONG	-$9.2100	$0.0000
228.4260	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	10/3/2006	9/30/2010	$19.7000	$4,500.0000	$17.6500	$4,031.7200	-$438.4000	LONG	-$438.4000	$0.0000
4.6980	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	10/31/2006	9/30/2010	$20.3491	$95.6000	$17.6500	$82.9100	-$12.1500	LONG	-$12.1500	$0.0000
9.0880	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	11/30/2006	9/30/2010	$20.0198	$181.9400	$17.6500	$160.4000	-$20.3700	LONG	-$20.3700	$0.0000
51.4980	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	11/30/2006	9/30/2010	$20.0198	$1,030.9800	$17.6500	$908.9400	-$115.2900	LONG	-$115.2900	$0.0000
16.6610	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	11/30/2006	9/30/2010	$20.0198	$333.5500	$17.6500	$294.0600	-$37.3300	LONG	-$37.3300	$0.0000
4.5090	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	12/29/2006	9/30/2010	$20.6897	$93.2900	$17.6500	$79.5800	-$13.1700	LONG	-$13.1700	$0.0000
4.5420	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	1/31/2007	9/30/2010	$20.5680	$93.4200	$17.6500	$80.1600	-$12.7200	LONG	-$12.7200	$0.0000
4.4430	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	2/28/2007	9/30/2010	$21.0578	$93.5600	$17.6500	$78.4100	-$14.6100	LONG	-$14 6100	$0.0000
4.5170	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	3/30/2007	9/30/2010	$20.7416	$93.6900	$17.6500	$79.7200	-$13.4300	LONG	-$13 4300	$0.0000
4.3200	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	4/30/2007	9/30/2010	$21.7199	$93.8300	$17.6500	$76.2400	-$17.0500	LONG	-$17.0500	$0.0000

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Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
4.2520	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	5/31/2007	9/30/2010	$22.0978	$93.9600	$17.6500	$75.0400	-$18.3800	LONG	-$18.3800	$0.0000
4.2690	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	6/29/2007	9/30/2010	$22.0379	$94.0800	$17.6500	$75.3400	-$18.2000	LONG	-$18.2000	$0.0000
4.4130	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	7/31/2007	9/30/2010	$21.3483	$94.2100	$17.6500	$77.8800	-$15.7900	LONG	-$15.7900	$0.0000
4.4210	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	8/31/2007	9/30/2010	$21.3391	$94.3400	$17.6500	$78.0300	-$15.7700	LONG	-$15.7700	$0.0000
4.2480	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	9/28/2007	9/30/2010	$22.2411	$94.4800	$17.6500	$74.9700	-$18.9700	LONG	-$18.9700	$0.0000
4.1900	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	10/31/2007	9/30/2010	$22.5776	$94.6000	$17.6500	$73.9500	-$20.1100	LONG	-$20.1100	$0.0000
56.4650	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	11/30/2007	9/30/2010	$21.5302	$1,215.7000	$17.6500	$996.6000	-$211 7200	LONG	-$211.7200	$0.0000
2.6400	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	11/30/2007	9/30/2010	$21.5303	$56.8400	$17.6500	$46.5900	-$9.9800	LONG	-$9.9800	$0.0000
4.4700	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	12/31/2007	9/30/2010	$21.5884	$96.5000	$17.6500	$78.8900	-$17.0700	LONG	-$17.0700	$0.0000
4.8130	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	1/31/2008	9/30/2010	$20.0790	$96.6400	$17.6500	$84.9400	-$11.0700	LONG	-$11.0700	$0.0000
4.7140	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	2/29/2008	9/30/2010	$20.5303	$96.7800	$17.6500	$83.2000	-$13.0400	LONG	-$13.0400	$0.0000
4.9270	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	3/31/2008	9/30/2010	$19.6712	$96.9200	$17.6500	$86.9600	-$9.3300	LONG	-$9.3300	$0.0000
4.6010	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	4/30/2008	9/30/2010	$20.4521	$94.1000	$17.6500	$81.2000	-$12.3600	LONG	-$12.3600	$0.0000
4.5880	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	5/30/2008	9/30/2010	$20.5405	$94.2400	$17.6500	$80.9700	-$12.7300	LONG	-$12.7300	$0.0000
4.9310	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	6/30/2008	9/30/2010	$19.1401	$94.3800	$17.6500	$87.0300	-$6.7200	LONG	-$6.7200	$0.0000
4.9990	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	7/31/2008	9/30/2010	$18.9098	$94.5300	$17.6500	$88.2300	-$5.6700	LONG	-$5.6700	$0.0000
4.9600	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	8/29/2008	9/30/2010	$19.0887	$94.6800	$17.6500	$87.5400	-$6.5100	LONG	-$6.5100	$0.0000
5.2650	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	9/30/2008	9/30/2010	$18.0114	$94.8300	$17.6500	$92.9200	-$1.2800	LONG	-$1.2800	$0.0000

EJ POPE & SON FOUNDA PRIORITY POPE - 29587126

Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
6.8730	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	10/31/2008	9/30/2010	$13.8207	$94.9900	$17.6500	$121.3100	$27.2200	LONG	$27.2200	$0.0000
7.1840	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	12/1/2008	9/30/2010	$13.2503	$95.1900	$17.6500	$126.8000	$32.5100	LONG	$32.5100	$0.0000
7.3170	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	12/31/2008	9/30/2010	$13.0395	$95.4100	$17.6500	$129.1500	$34.6400	LONG	$34.6400	$0.0000
7.2830	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	1/30/2009	9/30/2010	$13.1306	$95.6300	$17.6500	$128.5500	$33.8200	LONG	$33.8200	$0.0000
8.3930	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	2/27/2009	9/30/2010	$11.4202	$95.8500	$17.6500	$148.1500	$53.3800	LONG	$53.3800	$0.0000
7.7810	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	3/31/2009	9/30/2010	$12.3506	$96.1000	$17.6500	$137.3400	$42.2300	LONG	$42.2300	$0.0000
7.4330	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	4/30/2009	9/30/2010	$12.9598	$96.3300	$17.6500	$131.2000	$35.7700	LONG	$35.7700	$0.0000
6.9960	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	5/29/2009	9/30/2010	$13.8007	$96.5500	$17.6500	$123.4800	$27.8300	LONG	$27.8300	$0.0000
6.8770	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	6/30/2009	9/30/2010	$14.0701	$96.7600	$17.6500	$121.3800	$25.5200	LONG	$25.5200	$0.0000
6.5080	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	7/31/2009	9/30/2010	$14.9001	$96.9700	$17.6500	$114.8700	$18.7100	LONG	$18.7100	$0.0000
6.1340	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	8/31/2009	9/30/2010	$15.8396	$97.1600	$17.6500	$108.2600	$11.8200	LONG	$11.8200	$0.0000
5.9430	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	9/30/2009	9/30/2010	$16.3806	$97.3500	$17.6500	$104.8900	$8.2600	SHORT	$0.0000	$8.2600
6.0690	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	10/30/2009	9/30/2010	$16.0702	$97.5300	$17.6500	$107.1200	$10.3100	SHORT	$0.0000	$10.3100
5.7380	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	11/30/2009	9/30/2010	$17.0286	$97.7100	$17.6500	$101.2700	$4.2800	SHORT	$0.0000	$4.2800
5.7070	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	12/31/2009	9/30/2010	$17.1509	$97.8800	$17.6500	$100.7200	$3.5600	SHORT	$0.0000	$3.5600
5.8430	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	1/29/2010	9/30/2010	$16.7808	$98.0500	$17.6500	$103.1300	$5.7200	SHORT	$0.0000	$5.7200
5.8510	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	2/25/2010	9/30/2010	$16.7886	$98.2300	$17.6500	$103.2700	$5.6000	SHORT	$0.0000	$5.6000
5.5100	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	3/31/2010	9/30/2010	$17.8584	$98.4000	$17.6500	$97.2500	-$0.6700	SHORT	$0.0000	-$0.6700

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Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
5.4610	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	4/30/2010	9/30/2010	$18.0498	$98.5700	$17.6500	$96.3800	-$1.8400	SHORT	$0.0000	-$1 8400
6.0720	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	5/28/2010	9/30/2010	$16.2599	$98.7300	$17.6500	$107.1700	$8.7600	SHORT	$0.0000	$8.7600
6.0130	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	6/30/2010	9/30/2010	$16.4494	$98.9100	$17.6500	$106.1300	$7.4600	SHORT	$0.0000	$7.4600
5.8460	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	7/30/2010	9/30/2010	$16.9501	$99.0900	$17.6500	$103.1800	$4.2500	SHORT	$0.0000	$4.2500
6.0160	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	8/31/2010	9/30/2010	$16.5010	$99.2700	$17.6500	$106.1800	$6.9900	SHORT	$0.0000	$6.9900
5.5930	GCCEX	GABELLI EQTY INCOME CL C FUNDS INC EQUITY INCOME FUND CLASS C	9/30/2010	9/30/2010	$17.7812	$99.4500	$17.6500	$98.7100	-$0.7400	SHORT	$0.0000	-$0.7400
1,587.3810	GFACX	GROWTH FD AMER INC CL C CLASS C	11/24/2004	9/30/2010	$25.8900	$41,097.2700	$26.6800	$42,351.3500	$1,254.0800	LONG	$1,254.0800	$0.0000
13.3020	GFACX	GROWTH FD AMER INC CL C CLASS C	12/21/2005	9/30/2010	$29.8309	$396.8100	$26.6800	$354.8900	-$41.9200	LONG	-$41.9200	$0.0000
130.0810	GFACX	GROWTH FD AMER INC CL C CLASS C	10/3/2006	9/30/2010	$30.7501	$4,000.0000	$26.6800	$3,470.5600	-$529.4400	LONG	-$529.4400	$0.0000
2.4100	GFACX	GROWTH FD AMER INC CL C CLASS C	12/20/2006	9/30/2010	$31.9046	$76.8900	$26.6800	$64.2900	-$12.6000	LONG	-$12.6000	$0 0000
65.4630	GFACX	GROWTH FD AMER INC CL C CLASS C	12/20/2006	9/30/2010	$31.9000	$2,088.2700	$26.6800	$1,746.5500	-$341.7200	LONG	-$341.7200	$0.0000
5.7480	GFACX	GROWTH FD AMER INC CL C CLASS C	12/20/2007	9/30/2010	$32.1486	$184.7900	$26.6800	$153.3500	-$31.4400	LONG	-$31.4400	$0.0000
119.1830	GFACX	GROWTH FD AMER INC CL C CLASS C	12/20/2007	9/30/2010	$32.1501	$3,831.7400	$26.6800	$3,179.8000	-$651.9400	LONG	-$651.9400	$0.0000
1.0650	GFACX	GROWTH FD AMER INC CL C CLASS C	12/24/2008	9/30/2010	$19.1455	$20.3900	$26.6800	$28.4200	$8.0300	LONG	$8.0300	$0.0000
3.2490	GFACX	GROWTH FD AMER INC CL C CLASS C	12/23/2009	9/30/2010	$26.1834	$85.0700	$26.6800	$86.6800	$1.6100	SHORT	$0.0000	$1.6100
346.5280	KSCVX	KEELEY SMALL CAP VALUE A SMALL CAP VALUE FUND CLASS A	3/26/2008	9/30/2010	$27.9400	$9,682.0000	$21.1700	$7,335.9900	-$2,346.0100	LONG	-$2,346.0100	$0.0000
0.6360	KSCVX	KEELEY SMALL CAP VALUE A SMALL CAP VALUE FUND CLASS A	12/31/2009	9/30/2010	$20.1572	$12.8200	$21.1700	$13.4700	$0.6500	SHORT	$0.0000	$0.6500
2,104.3770	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	10/17/2005	9/30/2010	$11.8800	$25,000.0000	$10.2500	$21,569.9500	-$3,430.0500	LONG	-$3,430.0500	$0.0000
4.1400	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	11/2/2005	9/30/2010	$11.8188	$48.9300	$10.2500	$42.4300	-$6.5000	LONG	-$6.5000	$0.0000
11.3670	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	12/2/2005	9/30/2010	$11.8404	$134.5900	$10.2500	$116.5100	-$18 0800	LONG	-$18.0800	$0.0000
5.9840	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	12/2/2005	9/30/2010	$11.8399	$70.8500	$10.2500	$61.3300	-$9.5200	LONG	-$9.5200	$0.0000

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Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
13.2930	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	1/4/2006	9/30/2010	$11.9002	$158.1900	$10.2500	$136.2500	-$21.9400	LONG	-$21.9400	$0.0000
11.1590	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	2/2/2006	9/30/2010	$12.0504	$134.4700	$10.2500	$114.3800	-$20.0900	LONG	-$20.0900	$0.0000
11.1510	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	3/2/2006	9/30/2010	$12.1101	$135.0400	$10.2500	$114.2900	-$20.7500	LONG	-$20.7500	$0.0000
11.2440	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	4/4/2006	9/30/2010	$12.0998	$136.0500	$10.2500	$115.2500	-$20.8000	LONG	-$20.8000	$0.0000
11.4290	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	5/2/2006	9/30/2010	$12.1804	$139.2100	$10.2500	$117.1400	-$22.0700	LONG	-$22.0700	$0.0000
11.9040	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	6/2/2006	9/30/2010	$12.1102	$144.1600	$10.2500	$122.0100	-$22.1500	LONG	-$22.1500	$0.0000
12.5080	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	7/5/2006	9/30/2010	$11.9204	$149.1000	$10.2500	$128.2000	-$20.9000	LONG	-$20.9000	$0.0000
12.5020	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	8/2/2006	9/30/2010	$12.0301	$150.4000	$10.2500	$128.1400	-$22.2600	LONG	-$22.2600	$0.0000
12.4440	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	9/5/2006	9/30/2010	$12.1103	$150.7000	$10.2500	$127.5500	-$23.1500	LONG	-$23.1500	$0.0000
12.5140	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	10/3/2006	9/30/2010	$12.1400	$151.9200	$10.2500	$128.2600	-$23 6600	LONG	-$23.6600	$0.0000
12.7910	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	11/2/2006	9/30/2010	$12.2797	$157.0700	$10.2500	$131.1000	-$25.9700	LONG	-$25.9700	$0.0000
5.6150	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	12/1/2006	9/30/2010	$12.3099	$69.1200	$10.2500	$57.5500	-$11.5700	LONG	-$11.5700	$0.0000
5.5780	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	12/1/2006	9/30/2010	$12.3109	$68.6700	$10.2500	$57.1700	-$11.5000	LONG	-$11.5000	$0.0000
13.4740	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	12/4/2006	9/30/2010	$12.3401	$166.2700	$10.2500	$138.1000	-$28.1700	LONG	-$28.1700	$0.0000
17.1350	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	1/4/2007	9/30/2010	$12.3799	$212.1300	$10.2500	$175.6300	-$36.5000	LONG	-$36.5000	$0.0000
12.3480	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	2/2/2007	9/30/2010	$12.4595	$153.8500	$10.2500	$126.5600	-$27.2900	LONG	-$27.2900	$0.0000
12.2350	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	3/2/2007	9/30/2010	$12.6097	$154.2800	$10.2500	$125.4000	-$28.8800	LONG	-$28.8800	$0.0000
12.4660	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	4/3/2007	9/30/2010	$12.6103	$157.2000	$10.2500	$127.7700	-$29.4300	LONG	-$29.4300	$0.0000

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12.4100	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	5/2/2007	9/30/2010	$12.7599	$158.3500	$10.2500	$127.2000	-$31.1500	LONG	-$31.1500	$0.0000
12.7890	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	6/4/2007	9/30/2010	$12.7899	$163.5700	$10.2500	$131.0800	-$32.4900	LONG	-$32.4900	$0.0000
13.2180	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	7/3/2007	9/30/2010	$12.5904	$166.4200	$10.2500	$135.4800	-$30.9400	LONG	-$30.9400	$0.0000
14.4230	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	8/2/2007	9/30/2010	$12.1396	$175.0900	$10.2500	$147.8300	-$27.2600	LONG	-$27.2600	$0 0000
15.3190	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	9/5/2007	9/30/2010	$12.0001	$183.8300	$10.2500	$157.0200	-$26.8100	LONG	-$26.8100	$0.0000
15.6030	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	10/2/2007	9/30/2010	$12.2002	$190.3600	$10.2500	$159.9300	-$30.4300	LONG	-$30.4300	$0.0000
14.2620	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	11/2/2007	9/30/2010	$12.2402	$174.5700	$10.2500	$146.1800	-$28.3900	LONG	-$28.3900	$0.0000
17.9100	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	11/30/2007	9/30/2010	$11.7499	$210.4400	$10.2500	$183.5700	-$26.8700	LONG	-$26.8700	$0.0000
4.6850	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	11/30/2007	9/30/2010	$11.7503	$55.0500	$10.2500	$48.0200	-$7.0300	LONG	-$7.0300	$0.0000
15.2810	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	12/4/2007	9/30/2010	$11.7702	$179.8600	$10.2500	$156.6300	-$23.2300	LONG	-$23.2300	$0.0000
23.4760	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	1/3/2008	9/30/2010	$11.6702	$273.9700	$10.2500	$240.6300	-$33.3400	LONG	-$33.3400	$0.0000
16.9180	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	2/4/2008	9/30/2010	$11.2898	$191.0000	$10.2500	$173.4100	-$17.5900	LONG	-$17.5900	$0.0000
17.1420	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	3/4/2008	9/30/2010	$11.1002	$190.2800	$10.2500	$175.7000	-$14.5800	LONG	-$14.5800	$0.0000
17.4600	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	4/2/2008	9/30/2010	$10.9903	$191.8900	$10.2500	$178.9600	-$12.9300	LONG	-$12.9300	$0.0000
17.6840	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	5/2/2008	9/30/2010	$11.2497	$198.9400	$10.2500	$181.2600	-$17.6800	LONG	-$17.6800	$0.0000
18.0730	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	6/3/2008	9/30/2010	$11.3401	$204.9500	$10.2500	$185.2400	-$19.7100	LONG	-$19.7100	$0.0000
18.6460	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	7/2/2008	9/30/2010	$11.0603	$206.2300	$10.2500	$191.1200	-$15.1100	LONG	-$15.1100	$0.0000
19.7270	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	8/4/2008	9/30/2010	$10.7801	$212.6600	$10.2500	$202.2000	-$10.4600	LONG	-$10.4600	$0.0000

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20.7380	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	9/3/2008	9/30/2010	$10.6399	$220.6500	$10.2500	$212.5600	-$8.0900	LONG	-$8.0900	$0.0000
22.7340	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	10/2/2008	9/30/2010	$9.7801	$222.3400	$10.2500	$233.0200	$10.6800	LONG	$10.6800	$0.0000
29.8850	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	11/4/2008	9/30/2010	$7.5101	$224.4400	$10.2500	$306.3300	$81.8900	LONG	$81.8900	$0.0000
33.8040	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	12/2/2008	9/30/2010	$6.8501	$231.5600	$10.2500	$346.5000	$114.9400	LONG	$114.9400	$0.0000
85.2110	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	1/5/2009	9/30/2010	$6.5500	$558.1300	$10.2500	$873.4500	$315.3200	LONG	$315.3200	$0.0000
35.1730	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	2/3/2009	9/30/2010	$6.6599	$234.2500	$10.2500	$360.5300	$126.2800	LONG	$126.2800	$0.0000
35.1440	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	3/3/2009	9/30/2010	$6.4401	$226.3300	$10.2500	$360.2400	$133.9100	LONG	$133.9100	$0.0000
36.3470	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	4/2/2009	9/30/2010	$6.3199	$229.7100	$10.2500	$372.5800	$142.8700	LONG	$142.8700	$0.0000
34.0250	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	5/4/2009	9/30/2010	$6.8600	$233.4100	$10.2500	$348.7600	$115.3500	LONG	$115.3500	$0.0000
29.9930	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	6/2/2009	9/30/2010	$7.5501	$226.4500	$10.2500	$307.4300	$80.9800	LONG	$80.9800	$0.0000
28.1390	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	7/2/2009	9/30/2010	$7.8599	$221.1700	$10.2500	$288.4300	$67.2600	LONG	$67.2600	$0.0000
26.2430	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	8/4/2009	9/30/2010	$8.3500	$219.1300	$10.2500	$268.9900	$49.8600	LONG	$49.8600	$0.0000
17.5400	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	9/2/2009	9/30/2010	$8.6100	$151.0200	$10.2500	$179.7800	$28.7600	LONG	$28.7600	$0.0000
16.5090	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	10/2/2009	9/30/2010	$9.1502	$151.0600	$10.2500	$169.2200	$18.1600	SHORT	$0.0000	$18.1600
16.1560	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	11/3/2009	9/30/2010	$9.3402	$150.9000	$10.2500	$165.6000	$14.7000	SHORT	$0.0000	$14.7000
19.6590	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	12/2/2009	9/30/2010	$9.4298	$185.3800	$10.2500	$201.5000	$16.1200	SHORT	$0.0000	$16.1200
19.4600	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	1/5/2010	9/30/2010	$9.5899	$186.6200	$10.2500	$199.4600	$12.8400	SHORT	$0.0000	$12.8400
18.7880	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	2/2/2010	9/30/2010	$9.7099	$182.4300	$10.2500	$192.5800	$10.1500	SHORT	$0.0000	$10.1500

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EJ POPE & SON FOUNDA PRIORITY POPE - 29587126

Quantity	Symbol	Description	Open Date	Close Date	Unit Cost	Cost Amount	Close Price	Close Amount	Realized	Term	Long Term Gain/Loss	Short Term Gain/Loss
18.2350	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	3/2/2010	9/30/2010	$9.7198	$177.2400	$10.2500	$186.9100	$9.6700	SHORT	$0.0000	$9.6700
18.4480	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	4/5/2010	9/30/2010	$10.0201	$184.8500	$10.2500	$189.0900	$4.2400	SHORT	$0.0000	$4.2400
17.0280	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	5/4/2010	9/30/2010	$10.1803	$173.3500	$10.2500	$174.5300	$1.1800	SHORT	$0.0000	$1.1800
18.6430	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	6/2/2010	9/30/2010	$9.6701	$180.2800	$10.2500	$191.0900	$10.8100	SHORT	$0.0000	$10.8100
19.2670	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	7/2/2010	9/30/2010	$9.6600	$186.1200	$10.2500	$197.4900	$11.3700	SHORT	$0.0000	$11.3700
18.4430	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	8/3/2010	9/30/2010	$9.9902	$184.2500	$10.2500	$189.0400	$4.7900	SHORT	$0.0000	$4.7900
18.2120	PGYCX	PIONEER GLBL HIGH YLD C YIELD FD CL C	9/2/2010	9/30/2010	$9.9802	$181.7600	$10.2500	$186.6700	$4.9100	SHORT	$0.0000	$4.9100
						$329,789.78		$304,656.81	($24,703.99)		($25,109.48)	$405.49

(24,703.99)