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Form **990-PF**Department of the Treasury
Internal Revenue Service**Return of Private Foundation**
or Section 4947(a)(1) Nonexempt Charitable Trust
Treated as a Private Foundation

OMB No 1545-0052

2010

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

For calendar year 2010, or tax year beginning 10/01, 2010, and ending 09/30, 2011

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

Name of foundation

DAVID AND EULA WINTERMANN FOUNDATION

A Employer identification number

76-0082100

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

Room/suite

B Telephone number (see page 10 of the instructions)

P.O. BOX 337

(979) 234-5551

City or town, state, and ZIP code

EAGLE LAKE, TX 77434

H Check type of organization ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationI Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 14,777,864.
J Accounting method. ☒ Cash ☐ Accrual
☐ Other (specify) _____
(Part I, column (d) must be on cash basis.)C If exemption application is pending, check here ☐D 1 Foreign organizations, check here ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐**Part I Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions).)

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue				
1 Contributions, gifts, grants, etc., received (attach schedule)	0.			
2 Check ☐ if the foundation is not required to attach Sch. B				
3 Interest on savings and temporary cash investments	175,010.	175,010.		ATCH 1
4 Dividends and interest from securities	243,452.	243,452.		ATCH 2
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	662,450.			
b Gross sales price for all assets on line 6a 5,770,828.				
7 Capital gain net income (from Part IV, line 2)		662,450.		
8 Net short-term capital gain				
9 Income modifications				
10a Gross sales less returns and allowances				
b Less Cost of goods sold				
c Gross profit or (loss) (attach schedule)				
11 Other income (attach schedule)	4,620.	4,620.		ATCH 3
12 Total. Add lines 1 through 11	1,085,532.	1,085,532.		
Operating and Administrative Expenses				
13 Compensation of officers, directors, trustees, etc.	80,000.			40,000.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule)				
b Accounting fees (attach schedule) ATCH 4	5,980.	0.	0.	5,980.
c Other professional fees (attach schedule)	129,898.	23,474.		106,424.
17 Interest				
18 Taxes (attach schedule) (see page 14 of the instructions) *	7,798.	7,798.		
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings	2,200.	1,100.		1,100.
22 Printing and publications				
23 Other expenses (attach schedule) ATCH 7	6,153.	1,597.		4,526.
24 Total operating and administrative expenses. Add lines 13 through 23	232,029.	33,969.	0.	158,030.
25 Contributions, gifts, grants, and	616,720.			571,220.
26 Total expenses and disbursements. Add lines 24 and 25	848,749.	33,969.	0.	729,250.
27 Subtract line 26 from line 12	236,783.			
a Excess of revenue over expenses and disbursements				
b Net investment income (if negative, enter -0-)		1,051,563.		
c Adjusted net income (if negative, enter -0-)				

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

* ATCH 5 JSA ** ATCH 6

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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	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	12,752.	66,147.	66,146.
	2 Savings and temporary cash investments	495,386.	436,289.	436,289.
	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 (attach schedule) ▶ Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges ATCH 8	65.	0.	0.
	10 a Investments - U S and state government obligations (attach schedule)	2,231,212.	2,232,447.	2,422,932.
	b Investments - corporate stock (attach schedule)	8,250,435.	8,229,365.	8,776,367.
	c Investments - corporate bonds (attach schedule)	1,778,230.	1,653,224.	1,751,418.
	11 Investments - land, buildings, and equipment basis Less: accumulated depreciation (attach schedule) ▶			
	12 Investments - mortgage loans			
	13 Investments - other (attach schedule) ATCH 9	908,103.	1,340,994.	1,324,712.
	14 Land, buildings, and equipment basis Less: accumulated depreciation (attach schedule) ▶			
15 Other assets (describe ▶)				
16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	13,676,183.	13,958,466.	14,777,864.	
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.		
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	13,676,183.	13,958,466.	
	30 Total net assets or fund balances (see page 17 of the instructions)	13,676,183.	13,958,466.	
	31 Total liabilities and net assets/fund balances (see page 17 of the instructions)	13,676,183.	13,958,466.	

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	13,676,183.
2 Enter amount from Part I, line 27a	2	236,783.
3 Other increases not included in line 2 (itemize) ▶ ATTACHMENT 10	3	45,500.
4 Add lines 1, 2, and 3	4	13,958,466.
5 Decreases not included in line 2 (itemize) ▶	5	
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	13,958,466.

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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 SEE PART IV SCHEDULE					
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) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))		
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any			
a					
b					
c					
d					
e					
2 Capital gain net income or (net capital loss)			2	662,450.	
{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7					
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)			3		
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.					

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	780,539.	14,900,179.	0.052385
2008	650,682.	14,930,778.	0.043580
2007	795,857.	15,553,464.	0.051169
2006	686,738.	15,445,584.	0.044462
2005	91,323.	14,129,905.	0.006463

2 Total of line 1, column (d)	2	0.198059
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	0.039612
4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5	4	14,775,785.
5 Multiply line 4 by line 3	5	585,298.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	10,516.
7 Add lines 5 and 6	7	595,814.
8 Enter qualifying distributions from Part XII, line 4	8	729,250.

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 ruling letter if necessary - see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	10,516.
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	
3 Add lines 1 and 2		3	10,516.
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	10,516.
6 Credits/Payments			
a 2010 estimated tax payments and 2009 overpayment credited to 2010	6a	3,920.	
b Exempt foreign organizations-tax withheld at source	6b	0.	
c Tax paid with application for extension of time to file (Form 8868)	6c	0.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	3,920.	
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	6,596.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be Credited to 2011 estimated tax ☐ 0. 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?		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)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year. (1) On the foundation ☐ \$ _____ (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		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		X
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?		X
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ☐ TX, _____		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2010 or the taxable year beginning in 2010 (see instructions for Part XIV on page 27)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions)	11		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 ☐ WINTERMANN OFFICES Telephone no ☐ 979-234-5551			
Located at ☐ 127 N. MCCARTY AVE EAGLE LAKE, TX ZIP + 4 ☐ 77434				
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here	☐		
and enter the amount of tax-exempt interest received or accrued during the year		☐ 15		
16	At any time during calendar year 2010, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See page 20 of the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ☐				

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

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

	Yes	No
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)?	1b	X
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?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? ☐ Yes ☒ No		
If "Yes," list the years ☐		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see page 22 of the instructions.)	2b	X
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ☐		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b If "Yes," did it have excess business holdings in 2010 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010)	3b	X
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)? ☐ Yes ☒ No
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? ☐ 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? ☐ Yes ☒ 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? ☐ Yes ☒ No

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (if not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATTACHMENT 11		80,000.	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 ☐ NONE

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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		NONE

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 AWARDED 6 SCHOLARSHIPS TO ELIGIBLE STUDENTS BASED ON THE FINANCIAL NEED, FIELD OF STUDY AND CHARACTER REFERENCE.	34,500.
2 CONTRIBUTION TO VARIOUS QUALIFIED CHARITABLE ORGANIZATIONS	536,720.
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 NONE	
2	
All other program-related investments See page 24 of the instructions	
3 NONE	
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	14,563,833.
b	Average of monthly cash balances	1b	419,992.
c	Fair market value of all other assets (see page 25 of the instructions)	1c	16,972.
d	Total (add lines 1a, b, and c)	1d	15,000,797.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	15,000,797.
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions)	4	225,012.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	14,775,785.
6	Minimum investment return. Enter 5% of line 5	6	738,789.

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	738,789.
2a	Tax on investment income for 2010 from Part VI, line 5	2a	10,516.
b	Income tax for 2010 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	10,516.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	728,273.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	728,273.
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	728,273.

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	729,250.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	0.
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	0.
b	Cash distribution test (attach the required schedule)	3b	0.
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	729,250.
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	10,516.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	718,734.

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				728,273.
2 Undistributed income, if any, as of the end of 2010				
a Enter amount for 2009 only			699,109.	
b Total for prior years 20 08, 20 07, 20 06				
3 Excess distributions carryover, if any, to 2010				
a From 2005				
b From 2006				
c From 2007				
d From 2008				
e From 2009				0.
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2010 from Part XII, line 4 ▶ \$ 729,250.				
a Applied to 2009, but not more than line 2a			699,109.	
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				30,141.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	0.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
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				698,132.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)				
8 Excess distributions carryover from 2005 not applied on line 5 or line 7 (see page 27 of the instructions)				
9 Excess distributions carryover to 2011. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9				
a Excess from 2006				
b Excess from 2007				
c Excess from 2008				
d Excess from 2009				
e Excess from 2010	0.			

Part XIV Private Operating Foundations (see page 27 of the instructions and Part VII-A, question 9) **NOT APPLICABLE**

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

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

4942(j)(3) or 4942(j)(5)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

Tax year	Prior 3 years			(e) Total
(a) 2010	(b) 2009	(c) 2008	(d) 2007	

b 85% of line 2a

c Qualifying distributions from Part XII, line 4 for each year listed

d Amounts included in line 2c not used directly for active conduct of exempt activities

e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c

3 Complete 3a, b, or c for the alternative test relied upon

a "Assets" alternative test - enter

(1) Value of all assets

(2) Value of assets qualifying under section 4942(j)(3)(B)(i)

b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed

c "Support" alternative test - enter

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)

(3) Largest amount of support from an exempt organization

(4) Gross investment income

Part 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))

NONE

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

NONE

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

Check here ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see 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

ATTACHMENT 12

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

ATTACHMENT 13

c Any submission deadlines

APRIL 1ST OF EACH YEAR

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

MUST BE ENTERING THE MEDICAL FIELD OF STUDY.

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				
ATTACHMENT 14				
Total			3a	571,220.
b Approved for future payment				
ATTACHMENT 15				
Total			3b	52,000.

Form 990-PF (2010)

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Part XV-A Analysis of Income-Producing Activities		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions)
Enter gross amounts unless otherwise indicated		(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	175,010.	
4 Dividends and interest from securities				14	243,452.	
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				19	4,620.	
8 Gain or (loss) from sales of assets other than inventory				18	662,450.	
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)					1,085,532.	
13 Total. Add line 12, columns (b), (d), and (e)					13	1,085,532.

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

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

[illegible]

FORM 990-PF - PART IV**CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME**

Kind of Property		Description				Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis	Gain or (loss)	
		TOTAL CAPITAL GAIN DISTRIBUTIONS				671.	
592,791.		COMPASS #4207 - SEE ATTACHED DETAIL 700,880.				01/01/2010 -108,089.	12/01/2010
4,412,001.		COMPASS #4207 - SEE ATTACHED DETAIL 3,727,001.				01/01/2000 685,000.	12/01/2010
144,795.		COMPASS #4207-1 - SEE ATTACHED DETAIL 149,568.				01/01/2010 -4,773.	12/01/2010
620,570.		COMPASS #4207-1 - SEE ATTACHED DETAIL 533,963.				01/01/2000 86,607.	12/01/2010
3,034.		QWEST SECURITIES LITIGATION SETTLEMENT				01/01/2000 3,034.	05/31/2011
TOTAL GAIN(LOSS)						<u>662,450.</u>	

ACCOUNT NO: 4207
ACCOUNT OF: COMPASS BANK, AGENT FOR
DAVID AND EULA WINTERMANN FOUNDATION

SECURITIES SOLD

<u>DATE</u>	<u>SECURITY DESCRIPTION</u>	<u>PROCEEDS</u>	<u>INVESTMENTS AT COST</u>
10/04/10	2196 EXXON MOBIL CORP @ 61.7191/SHARE ON TRADE DATE 9/29/10 SOLD THROUGH KELLOGG PARTNERS PAID 21.96 BROKERAGE LONG TERM CAPITAL GAIN	135,535.05 36,780.98	98,754.07-
10/15/10	229.98 ABFS 2002-2 A7 5.215% 6/15/33 @ 1.00 /\$1 PV ON TRADE DATE 10/15/10 LONG TERM CAPITAL LOSS	229.98 4.33-	234.31-
11/10/10	125000 WAL-MART STORES 4.125% 2/15/11 @ 1.01 /\$1 PV ON TRADE DATE 11/05/10 SOLD THROUGH FIRST TENNESSEE BANK,N.A.-BOND LONG TERM CAPITAL GAIN	126,250.00 2,547.50	123,702.50-
11/15/10	377.72 ABFS 2002-2 A7 5.215% 6/15/33 @ 1.00 /\$1 PV ON TRADE DATE 11/15/10 LONG TERM CAPITAL LOSS	377.72 7.06-	384.78-
12/15/10	190.58 ABFS 2002-2 A7 5.215% 6/15/33 @ 1.00 /\$1 PV ON TRADE DATE 12/15/10 LONG TERM CAPITAL LOSS	190.58 3.54-	194.12-
12/28/10	805.15 VANGUARD INDEX VALUE PORTFOLIO #6 @ 20.77 /UNIT ON TRADE DATE 12/27/10 SHORT TERM CAPITAL GAIN	16,723.01 1,723.03	14,999.98-
12/30/10	600 ABM INDUSTRIES INC @ 26.7196/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 33.00 BROKERAGE LONG TERM CAPITAL GAIN	16,031.76 7,413.46	8,618.30-
	317 ACCENTURE PLC @ 48.1943/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 17.44 BROKERAGE LONG TERM CAPITAL GAIN	15,277.58 7,270.66	8,006.92-
	95 AGRUIM INC @ 85.3235/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 5.23 BROKERAGE LONG TERM CAPITAL LOSS	8,105.73 13.41-	8,119.14-
	899 ALTRIA GROUP INC @ 24.6447/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 49.45 BROKERAGE LONG TERM CAPITAL GAIN	22,155.57 8,181.92	13,973.65-
	88 APPLE INC. @ 324.7494/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 4.84 BROKERAGE LONG TERM CAPITAL GAIN	28,577.95 20,571.27	8,006.68-
	387 ARCELORMITTAL SA LUXEMBOURG @ 37.4452/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 21.29 BROKERAGE LONG TERM CAPITAL LOSS	14,491.29 290.18-	14,781.47-

ACCOUNT NO: 4207
 ACCOUNT OF: COMPASS BANK, AGENT FOR
 DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
12/20/10	219 AUTOZONE INC @ 271.2204/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 12.05 BROKERAGE LONG TERM CAPITAL GAIN	59,397.26 36,193.94	23,203.32-
	927 AXA - SPONS ADR @ 16.5547/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 50.99 BROKERAGE LONG TERM CAPITAL LOSS	15,346.21 22,688.51-	38,034.72-
	320 BARD (C.R.) INC @ 93.1337/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 17.60 BROKERAGE LONG TERM CAPITAL GAIN	29,802.79 9,465.19	20,337.60-
	436 BRINKER INTERNATIONAL INCORPORATED @ 21.1047/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 23.98 BROKERAGE LONG TERM CAPITAL LOSS	9,201.66 633.05-	9,834.71-
	451 CARBO CERAMICS INC @ 100.6624/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 24.81 BROKERAGE LONG TERM CAPITAL GAIN	45,398.72 21,924.94	23,473.78-
	524 CENTRAL EUROPEAN MEDIA ENT-A @ 19.9447/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 28.82 BROKERAGE LONG TERM CAPITAL LOSS	10,451.03 3,838.47-	14,289.50-
	234 CHEVRON CORP @ 90.2035/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 12.87 BROKERAGE LONG TERM CAPITAL GAIN	21,107.61 11,279.61	9,828.00-
	361 CLARCOR INC @ 43.6245/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 19.86 BROKERAGE LONG TERM CAPITAL GAIN	15,748.46 4,460.15	11,288.31-
	581 CLOROX COMPANY @ 63.6941/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 31.96 BROKERAGE SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	37,006.28 561.39 1,364.78	35,080.11-
	166 CUMMINS ENGINE COMPANY INC @ 109.5333/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 9.13 BROKERAGE LONG TERM CAPITAL GAIN	18,182.53 6,853.94	11,328.59-
	224 DIAGEO PLC @ 74.1778/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 12.32 BROKERAGE SHORT TERM CAPITAL GAIN	16,615.83 1,081.47	15,534.36-

ACCOUNT NO: 4207
ACCOUNT OF: COMPASS BANK, AGENT FOR
DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
12/20/10	371 E.ON AG -ADR @ 29.9545/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 20.41 BROKERAGE LONG TERM CAPITAL LOSS	11,113.11 5,598.63-	16,711.74-
	16 FURIEX PHARMACEUTICALS INC. @ 13.9644/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 0.88 BROKERAGE LONG TERM CAPITAL LOSS	223.43 52.93-	276.36-
	2038 GAP INC @ 21.3647/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 112.09 BROKERAGE SHORT TERM CAPITAL LOSS LONG TERM CAPITAL LOSS	43,541.20 234.14- 1,028.88-	44,804.22-
	81 GOLDMAN SACHS GROUP INC @169.5822/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 4.46 BROKERAGE LONG TERM CAPITAL LOSS	13,736.16 843.43-	14,579.59-
	1076 HARRIS CORP @ 45.4443/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 59.18 BROKERAGE LONG TERM CAPITAL GAIN	48,898.09 11,608.44	37,289.65-
	289 HONDA MOTOR CO LTD SPONS ADR @ 39.5644/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 15.90 BROKERAGE LONG TERM CAPITAL GAIN	11,434.11 1,566.20	9,867.91-
	259 LANDAUER, INC. @ 61.5639/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 14.25 BROKERAGE LONG TERM CAPITAL GAIN	15,945.06 3,088.50	12,856.56-
	80 LIFE TECHNOLOGIES CORP @ 55.474 /SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 4.40 BROKERAGE LONG TERM CAPITAL GAIN	4,437.92 1,021.40	3,416.52-
	1549 MITSUBISHI UFJ FINANCIAL ADR @ 5.245 /SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 85.20 BROKERAGE LONG TERM CAPITAL LOSS	8,124.51 8,593.12-	16,717.63-
	581 NIDEC CORP ADR @ 25.2399/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 31.96 BROKERAGE SHORT TERM CAPITAL LOSS	14,664.39 511.22-	15,175.61-
	96 PRICELINE.COM INC @409.588 /SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 5.28 BROKERAGE LONG TERM CAPITAL GAIN	39,320.45 31,755.41	7,565.04-

ACCOUNT NO: 4207
ACCOUNT OF: COMPASS BANK, AGENT FOR
DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
12/30/10	1052 PROCTER & GAMBLE COMPANY @ 64.4239/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 57.86 BROKERAGE LONG TERM CAPITAL LOSS	67,773.97	68,273.64-
	959 QUALCOMM INC @ 49.6461/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 52.75 BROKERAGE LONG TERM CAPITAL GAIN	47,610.59	37,772.04-
	408 ROPER INDUSTRIES INC @ 77.6744/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 22.44 BROKERAGE LONG TERM CAPITAL GAIN	31,691.14	19,941.73-
	228 RWE AKTIENGESSELLSCHAF ADR @ 65.1239/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 12.54 BROKERAGE LONG TERM CAPITAL LOSS	14,848.24	22,848.85-
	874 SCIENTIFIC GAMES CORP @ 9.7349/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 48.07 BROKERAGE LONG TERM CAPITAL LOSS	8,508.33	18,274.28-
	351 SYNTEL, INC. @ 48.1144/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 19.31 BROKERAGE LONG TERM CAPITAL GAIN	16,888.14	8,562.52-
	300 WATSON PHARMACEUTICALS INC @ 51.7948/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 16.50 BROKERAGE LONG TERM CAPITAL GAIN	15,538.44	6,838.50-
	609 WESTERN DIGITAL CORP @ 33.9251/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 33.50 BROKERAGE LONG TERM CAPITAL LOSS	20,660.36	21,639.18-
	412 WORLD FUEL SERVICES CORP @ 36.4444/SHARE ON TRADE DATE 12/27/10 SOLD THROUGH CONVERGEX PAID 22.66 BROKERAGE LONG TERM CAPITAL GAIN	15,015.08	6,633.08-
01/18/11	442.08 ABFS 2002-2 A7 5.215% 6/15/33 @ 1.00 /\$1 PV ON TRADE DATE 1/15/11 LONG TERM CAPITAL LOSS	442.08	450.23-
01/28/11	100000 FNMA NOTES 2.500% 1/28/14 @ 1.00 /\$1 PV ON TRADE DATE 1/28/11	100,000.00	100,000.00-
02/02/11	0.25 LIFE PARTNERS HOLDINGS INC @ 14.88 /SHARE ON TRADE DATE 2/02/11 SHORT TERM CAPITAL LOSS	3.72	3.97-

ACCOUNT NO: 4207
ACCOUNT OF: COMPASS BANK, AGENT FOR
DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
02/15/11	320.57 ABFS 2002-2 A7 5.215% 6/15/33 @ 1.00 /\$1 PV ON TRADE DATE 2/15/11 LONG TERM CAPITAL LOSS	320.57	326.44-
	5.87-		
	125000 WAL-MART STORES 4.125% 2/15/11 @ 1.00 /\$1 PV ON TRADE DATE 2/15/11 LONG TERM CAPITAL GAIN	125,000.00	123,702.50-
	1,297.50		
02/17/11	225000 US TREASURY NOTES 4.625% 2/29/12 @ 1.0439/\$1 PV ON TRADE DATE 2/16/11 SOLD THROUGH MORGAN STANLEY & CO LONG TERM CAPITAL GAIN	234,870.12	225,260.17-
	9,609.95		
05/05/11	150000 FNMA NOTES 2.800% 5/05/14 @ 1.00 /\$1 PV ON TRADE DATE 5/05/11	150,000.00	150,000.00-
05/19/11	0.2 KEPPEL CORP LTD-SPONS ADR @ 18.00 /SHARE ON TRADE DATE 5/19/11 LONG TERM CAPITAL GAIN	3.60	2.77-
	0.83		
05/27/11	340 SWISS REINSURANCE CO @ 57.1994/SHARE ON TRADE DATE 5/26/11 LONG TERM CAPITAL GAIN	19,447.79	15,345.90-
	4,101.89		
05/31/11	1016 LIFE PARTNERS HOLDINGS INC @ 3.3962/SHARE ON TRADE DATE 5/25/11 SOLD THROUGH CONVERGEX PAID 55.88 BROKERAGE SHORT TERM CAPITAL LOSS	3,450.56	16,133.19-
	12,682.63-		
07/18/11	426 BECKMAN COULTER INC @ 83.50 /SHARE ON TRADE DATE 7/18/11 LONG TERM CAPITAL GAIN	35,571.00	28,650.63-
	6,920.37		
07/28/11	2104.88 VANGUARD GROWTH INDEX FD SG CL# 1347 @ 30.81 /UNIT ON TRADE DATE 7/27/11 LONG TERM CAPITAL GAIN	64,851.48	62,690.29-
	2,161.19		
	1714.89 VANGUARD S/C VALUE INDEX FD #860 @ 16.32 /UNIT ON TRADE DATE 7/27/11 LONG TERM CAPITAL GAIN	27,987.04	22,842.36-
	5,144.68		
08/01/11	1943 AECOM TECHNOLOGY CORP. @ 25.3633/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 106.87 BROKERAGE LONG TERM CAPITAL LOSS	49,280.81	50,362.75-
	1,081.94-		
	232 AGRUM INC @ 89.1438/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 12.76 BROKERAGE LONG TERM CAPITAL GAIN	20,681.36	15,085.20-
	5,596.16		
	2913 ALTRIA GROUP INC @ 26.0947/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 160.22 BROKERAGE LONG TERM CAPITAL GAIN	76,013.84	47,860.42-
	28,153.42		
	285 AMERICAN TOWER CORP @ 51.6842/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 15.68 BROKERAGE LONG TERM CAPITAL GAIN	14,729.99	12,612.16-
	2,117.83		

ACCOUNT NO: 4207
 ACCOUNT OF: COMPASS BANK, AGENT FOR
 DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
8/1/11	410 ANGLO AMERICAN PLC @ 24.4545/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 22.55 BROKERAGE LONG TERM CAPITAL LOSS	10,026.35	11,604.89-
			1,578.54-
	241 APACHE CORP @125.0541/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 13.26 BROKERAGE LONG TERM CAPITAL GAIN	30,138.03	16,385.56-
			13,752.47
	344 ASTRAZENECA GROUP PLC - SP ADR @ 48.9342/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 18.92 BROKERAGE LONG TERM CAPITAL GAIN	16,833.38	15,302.08-
			1,531.30
	1216 ATLAS COPCO AB @ 21.0746/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 66.88 BROKERAGE LONG TERM CAPITAL GAIN	25,626.70	15,291.20-
			10,335.50
	285 AUTOZONE INC @291.4297/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 15.68 BROKERAGE LONG TERM CAPITAL GAIN	83,057.46	42,329.12-
			40,728.34
	749 AVON PRODUCTS INC @ 27.9248/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 41.20 BROKERAGE LONG TERM CAPITAL LOSS	20,915.71	21,398.11-
			482.40-
	401 BALCHEM CORPORATION @ 43.146 /SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 22.06 BROKERAGE LONG TERM CAPITAL GAIN	17,301.56	6,029.25-
			11,272.31
	6550 BANK OF AMERICA CORP @ 9.7548/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 360.25 BROKERAGE LONG TERM CAPITAL LOSS	63,894.02	117,336.25-
			53,442.23-
	714 BARCLAYS PLC - SPONSORED ADR @ 14.3249/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 39.27 BROKERAGE LONG TERM CAPITAL LOSS	10,227.99	16,853.40-
			6,625.41-
	295 BARD (C.R.) INC @ 99.6336/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 16.23 BROKERAGE LONG TERM CAPITAL GAIN	29,391.90	18,748.72-
			10,643.18
	187 BASF AG - SP ADR @ 93.7932/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 10.29 BROKERAGE SHORT TERM CAPITAL GAIN	17,539.32	14,932.89-
			2,606.43

ACCOUNT NO: 4207
 ACCOUNT OF: COMPASS BANK, AGENT FOR
 DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
8/1/11	545 BAYERISCHE MOTOREN WERKE (BMW) @ 33.6243/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 29.98 BROKERAGE SHORT TERM CAPITAL GAIN	18,325.26 4,087.13	14,238.13-
	188 BHP BILLITON PLC @ 75.7736/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 10.34 BROKERAGE SHORT TERM CAPITAL LOSS	14,245.44 584.92-	14,830.36-
	323 BOC HONG KONG HOLDINGS LTD @ 59.7838/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 17.77 BROKERAGE LONG TERM CAPITAL GAIN	19,310.17 4,192.15	15,118.02-
	396 BRITISH AMERICAN TOBACCO PLC @ 93.9635/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 21.78 BROKERAGE LONG TERM CAPITAL GAIN	37,209.54 16,029.18	21,180.36-
	375 CANON INC - ADR @ 48.975 /SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 20.63 BROKERAGE LONG TERM CAPITAL GAIN	18,365.64 3,615.01	14,750.63-
	143 CARBO CERAMICS INC @ 175.7501/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 7.87 BROKERAGE LONG TERM CAPITAL GAIN	25,132.26 17,689.35	7,442.91-
	431 CENTRAL EURO DIST @ 10.1007/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 23.71 BROKERAGE LONG TERM CAPITAL LOSS	4,353.39 10,723.46-	15,076.85-
	148 CEPHALON INC @ 80.1439/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 8.14 BROKERAGE LONG TERM CAPITAL GAIN	11,861.30 1,287.44	10,573.86-
	2929 CISCO SYSTEMS INCORPORATED @ 15.7151/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 161.10 BROKERAGE LONG TERM CAPITAL LOSS	46,029.53 10,924.88-	56,954.41-
	1127 COMPANHIA DE BEBIDAS - AMBEV ADR @ 30.0246/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 61.99 BROKERAGE LONG TERM CAPITAL GAIN	33,837.74 23,453.91	10,383.83-
	267 CONOCOPHILLIPS @ 73.7337/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 14.69 BROKERAGE LONG TERM CAPITAL GAIN	19,686.91 2,744.40	16,942.51-

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ACCOUNT OF: COMPASS BANK, AGENT FOR
DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
8/1/11	1050 CORNING INCORPORATED @ 16.1155/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 57.75 BROKERAGE SHORT TERM CAPITAL LOSS	16,921.26	20,459.02-
		3,537.76-	
	439 DBS GROUP HOLDINGS @ 50.544 /SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 24.15 BROKERAGE LONG TERM CAPITAL GAIN	22,188.82	17,496.34-
		4,692.48	
	343 DESARROLLADORA HOMEX S.A. DE ADR @ 25.0746/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 18.87 BROKERAGE LONG TERM CAPITAL LOSS	8,600.58	14,505.47-
		5,904.89-	
	659 DIRECTV CLASS A @ 51.8642/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 36.25 BROKERAGE LONG TERM CAPITAL GAIN	34,178.50	12,894.35-
		21,284.15	
	751 DOLBY LABORATORIES INC CL A @ 43.0844/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 41.31 BROKERAGE LONG TERM CAPITAL GAIN	32,356.35	24,125.40-
		8,230.95	
	1114 ECOLAB INCORPORATED @ 50.4894/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 61.27 BROKERAGE LONG TERM CAPITAL GAIN	56,245.20	36,855.13-
		19,390.07	
	195 FEDEX CORP @ 89.6443/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 10.73 BROKERAGE SHORT TERM CAPITAL LOSS	17,480.63	18,151.58-
		670.95-	
	354 FOMENTO ECONOMICO MEXICANO SAB DE CV @ 71.7039/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 19.47 BROKERAGE LONG TERM CAPITAL GAIN	25,383.19	8,143.09-
		17,240.10	
	406 FREEPORT-MCMORAN COPPER & GOLD INC. @ 54.5141/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 22.33 BROKERAGE LONG TERM CAPITAL GAIN	22,132.74	20,151.66-
		1,981.08	
	472 FUJIFILM HOLDINGS CORP - ADR @ 30.0444/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 25.96 BROKERAGE LONG TERM CAPITAL LOSS	14,180.96	15,011.96-
		831.00-	
	122 GLAXOSMITHKLINE PLC SPONS ADR @ 44.1943/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 6.71 BROKERAGE LONG TERM CAPITAL GAIN	5,391.70	4,329.05-
		1,062.65	

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
8/1/11	1077 HEWLETT PACKARD COMPANY @ 36.8951/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 59.24 BROKERAGE LONG TERM CAPITAL LOSS	39,736.00	48,600.32-
		8,864.32-	
	438 HONDA MOTOR CO LTD SPONS ADR @ 39.8289/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 24.09 BROKERAGE LONG TERM CAPITAL GAIN	17,445.08	15,164.79-
		2,280.29	
	1604 INFINEON TECHNOLOGIES AG @ 10.1748/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 88.22 BROKERAGE SHORT TERM CAPITAL GAIN	16,320.38	14,845.02-
		1,475.36	
	1009 INGERSOLL-RAND PLC @ 37.9343/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 55.50 BROKERAGE LONG TERM CAPITAL GAIN	38,275.73	37,732.37-
		543.36	
	1663 ISHARES DJ US ENERGY SECTOR IDX @ 44.5851/UNIT ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 91.47 BROKERAGE SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	74,145.08	56,895.89-
		4,754.83 12,494.36	
	1696 KEPPEL CORP LTD-SPONS ADR @ 18.4546/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 93.28 BROKERAGE LONG TERM CAPITAL GAIN	31,299.07	23,520.44-
		7,778.63	
	846 KONINKLIJKE KPN ADR @ 14.4647/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 46.53 BROKERAGE LONG TERM CAPITAL LOSS	12,237.15	13,259.11-
		1,021.96-	
	232 LUKOIL ADR @ 67.0637/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 12.76 BROKERAGE LONG TERM CAPITAL GAIN	15,558.78	15,150.76-
		408.02	
	2620 MARATHON OIL CORPORATION @ 31.6345/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 144.10 BROKERAGE LONG TERM CAPITAL GAIN	82,882.36	49,396.15-
		33,486.21	
	1115 MATTHEWS INTL CORP @ 36.2945/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 61.33 BROKERAGE LONG TERM CAPITAL GAIN	40,468.36	39,337.82-
		1,130.54	
	1609 MCGRATH RENTCORP @ 26.0645/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 88.50 BROKERAGE LONG TERM CAPITAL GAIN	41,937.77	29,171.59-
		12,766.18	

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
8/11	67 MITSUI & CO LTD ADR @ 374.0076 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 3.69 BROKERAGE LONG TERM CAPITAL GAIN	25,058.51 4,222.15	20,836.36-
	572 NESTLE SA SPONS ADR - REG SHS @ 63.5538 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 31.46 BROKERAGE LONG TERM CAPITAL GAIN	36,352.76 20,312.74	16,040.02-
	736 NIKE INCORPORATED CLASS B @ 89.3333 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 40.48 BROKERAGE LONG TERM CAPITAL GAIN	65,749.29 24,033.49	41,715.80-
	700 NOVARTIS AG - ADR @ 61.9439 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 38.50 BROKERAGE LONG TERM CAPITAL GAIN	43,360.73 8,602.39	34,758.34-
	443 ORIX ADR @ 53.524 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 24.37 BROKERAGE LONG TERM CAPITAL GAIN	23,711.11 8,881.68	14,829.43-
	603 PETROLEO BRASILEIRO S.A. ADR (V101) @ 30.811 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 33.17 BROKERAGE LONG TERM CAPITAL LOSS	18,579.05 7,509.45-	26,088.50-
	777 PETROLEO BRASILEIRO S.A. ADR (V408) @ 34.2545 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 42.74 BROKERAGE LONG TERM CAPITAL LOSS	26,615.77 5,725.29-	32,341.06-
	1170 RED HAT INC @ 42.7044 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 64.35 BROKERAGE LONG TERM CAPITAL GAIN	49,964.11 32,264.82	17,699.29-
	435 SANOFI ADR (EUR) @ 38.3344 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 23.93 BROKERAGE LONG TERM CAPITAL GAIN	16,675.48 1,857.20	14,818.28-
	121 SIEMENS AG ADR @ 130.1434 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 6.66 BROKERAGE SHORT TERM CAPITAL GAIN	15,747.35 685.97	15,061.38-
	1058 SOCIETE GENERALE ADR @ 9.8748 / SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 58.19 BROKERAGE LONG TERM CAPITAL LOSS	10,447.54 5,999.08-	16,446.62-

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8/1/11	475 SUFFOLK BANCORP @ 12.845 /SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 26.13 BROKERAGE LONG TERM CAPITAL LOSS	6,101.39	15,558.37-
		9,456.98-	
	729 TEMPUR-PEDIC INTERNATIONAL @ 72.7438/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 40.10 BROKERAGE LONG TERM CAPITAL GAIN	53,030.23	4,989.76-
		48,040.47	
	1267 THOMPSON CREEK METALS CO INC @ 9.255 /SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 69.69 BROKERAGE LONG TERM CAPITAL LOSS	11,726.10	17,476.74-
		5,750.64-	
	86 TOKIO MARINE HOLDINGS, INC. ADR @ 29.4944/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 4.73 BROKERAGE LONG TERM CAPITAL LOSS	2,536.52	2,765.33-
		228.81-	
	234 TOTAL FINA SA - SP ADR @ 55.3544/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 12.87 BROKERAGE LONG TERM CAPITAL LOSS	12,952.94	14,857.13-
		1,904.19-	
	2102 TURKCELL ILETISIM HIZMET- ADR @ 12.662 /SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 115.61 BROKERAGE LONG TERM CAPITAL LOSS	26,615.51	38,834.52-
		12,219.01-	
	623 VALE SA CLASS A ADR @ 29.7146/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 34.27 BROKERAGE LONG TERM CAPITAL GAIN	18,512.20	15,198.09-
		3,314.11	
	374 VISA, INC. @ 88.1033/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 20.57 BROKERAGE LONG TERM CAPITAL GAIN	32,950.63	29,633.38-
		3,317.25	
	545 WAL-MART STORES @ 53.4741/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 29.98 BROKERAGE LONG TERM CAPITAL GAIN	29,143.41	26,860.96-
		2,282.45	
	600 ZURICH FINANCIAL SERVICES AG - ADR @ 23.9045/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 33.00 BROKERAGE LONG TERM CAPITAL LOSS	14,342.72	15,087.00-
		744.28-	
	386 3M CO @ 88.7988/SHARE ON TRADE DATE 7/27/11 SOLD THROUGH CONVERGEX PAID 21.23 BROKERAGE SHORT TERM CAPITAL GAIN	34,276.32	33,618.59-
		657.73	

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CO 09/01/11 ①	100000 HERSHEY FOODS 5.300% 9/01/11 @ 1.00 /\$1 PV ON TRADE DATE 9/01/11	100,000.00	100,000.00-
MF 09/28/11 ③	9278.09 LAZARD EMERGING MKTS PORT-INST #638 @ 17.69 /UNIT ON TRADE DATE 9/27/11 SHORT TERM CAPITAL LOSS 15,337.78- LONG TERM CAPITAL LOSS 7,403.57-	164,129.45	186,870.80-
MF 09/28/11 ③	3183.08 VANGUARD DEV MKTS INDEX FD @ 8.69 /UNIT ON TRADE DATE 9/27/11 SHORT TERM CAPITAL LOSS 2,478.38- LONG TERM CAPITAL GAIN 139.37	27,660.97	29,999.98-
09/30/11	877 ABB LTD ADR @ 18.0048/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 48.24 BROKERAGE LONG TERM CAPITAL LOSS 5,507.36-	15,790.25	21,297.61-
	839 ADIDAS AG ADR (EUR) @ 33.6444/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 46.15 BROKERAGE SHORT TERM CAPITAL LOSS 4,413.69-	28,227.61	32,641.30-
	1235 AERCAP HOLDINGS NV (EUR) @ 10.4648/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 67.93 BROKERAGE SHORT TERM CAPITAL LOSS 2,976.35-	12,924.03	15,900.38-
	439 AMERICAN EXPRESS @ 47.9038/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 24.15 BROKERAGE SHORT TERM CAPITAL LOSS 1,369.97-	21,029.79	22,399.76-
	365 AMERIPRISE FINANCIAL INC @ 42.3947/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 20.08 BROKERAGE SHORT TERM CAPITAL LOSS 3,527.95-	15,474.05	19,002.00-
	1094 ARES CAPITAL CORPORATION @ 14.0449/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 60.17 BROKERAGE LONG TERM CAPITAL GAIN 9,769.34	15,365.15	5,595.81-
	596 CANADIAN NATURAL RESOURCES @ 31.9346/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 32.78 BROKERAGE SHORT TERM CAPITAL LOSS 5,924.37-	19,033.01	24,957.38-
	96 CNOOC LTD ADRS @ 167.2318/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 5.28 BROKERAGE LONG TERM CAPITAL LOSS 799.98-	16,054.25	16,854.23-
	302 COGNIZANT TECH @ 67.8662/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 16.61 BROKERAGE LONG TERM CAPITAL GAIN 8,641.34	20,495.59	11,854.25-

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9/20/11	321 COVANCE INC @ 48.1044/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 17.66 BROKERAGE LONG TERM CAPITAL LOSS	15,441.50	26,673.64-
		11,232.14-	
	787 CSX CORPORATION @ 19.8847/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 43.29 BROKERAGE LONG TERM CAPITAL LOSS	15,649.26	16,739.75-
		1,090.49-	
	338 DAIMLER AG-ADR @ 47.2741/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 18.59 BROKERAGE SHORT TERM CAPITAL LOSS	15,978.64	24,655.41-
		8,676.77-	
	345 DANAHER CORP @ 44.9551/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 18.98 BROKERAGE LONG TERM CAPITAL GAIN	15,509.52	9,729.86-
		5,779.66	
	415 DARDEN RESTAURANTS INC @ 48.0855/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 22.83 BROKERAGE LONG TERM CAPITAL GAIN	19,955.50	13,053.04-
		6,902.46	
	889 DEUTSCHE POST AG ADR(EUR) @ 13.5247/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 48.90 BROKERAGE SHORT TERM CAPITAL LOSS	12,023.49	16,059.79-
		4,036.30-	
	380 ENTERTAINMENT PROPERTIES TRUST @ 40.5545/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 20.90 BROKERAGE LONG TERM CAPITAL GAIN	15,410.71	11,585.94-
		3,824.77	
	468 EUROPEAN AERONAUT ADR(EUR) @ 28.8444/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 25.74 BROKERAGE SHORT TERM CAPITAL LOSS	13,499.20	16,401.06-
		2,901.86-	
	350 FIRST CASH FINANCIAL SERVICES INC @ 44.7744/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 19.25 BROKERAGE SHORT TERM CAPITAL GAIN	15,671.05	11,006.02-
		4,665.03	
	194 FLOWSERVE CORP @ 82.0737/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 10.67 BROKERAGE LONG TERM CAPITAL GAIN	15,922.30	9,466.23-
		6,456.07	
	325 GLOBAL PAYMENTS INC @ 41.7445/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 17.88 BROKERAGE LONG TERM CAPITAL LOSS	13,566.95	14,140.95-
		574.00-	

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
9/30/11	152 GOLDMAN SACHS GROUP INC @ 102.7944 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 8.36 BROKERAGE SHORT TERM CAPITAL LOSS	15,624.75	20,625.93-
	682 HEINEKEN NV ADR @ 23.3845 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 37.51 BROKERAGE SHORT TERM CAPITAL LOSS	15,948.26	20,170.15-
	642 HESS CORP @ 58.2277 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 35.31 BROKERAGE SHORT TERM CAPITAL LOSS	37,382.18	45,360.47-
	628 HUMANA INC @ 80.2852 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 34.54 BROKERAGE LONG TERM CAPITAL GAIN	50,419.11	19,024.57-
	121 INTERCONTINENTALEXCHANGE INC @ 124.8655 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 6.66 BROKERAGE LONG TERM CAPITAL GAIN	15,108.72	7,964.69-
	1021 INTL GAME TECHNOLOGY @ 15.0249 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 56.16 BROKERAGE LONG TERM CAPITAL LOSS	15,340.42	27,710.43-
	909 KOMATSU LTD @ 22.0746 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 50.00 BROKERAGE SHORT TERM CAPITAL LOSS	20,065.78	28,338.08-
	493 LINCOLN ELECTRIC HLDGS @ 32.266 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 27.12 BROKERAGE LONG TERM CAPITAL GAIN	15,907.13	9,366.98-
	1925 LONZA GROUP AG ADR(CHF) @ 6.2649 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 105.88 BROKERAGE SHORT TERM CAPITAL LOSS	12,059.89	16,680.13-
	700 NINTENDO CO LTD ADR @ 19.0446 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 38.50 BROKERAGE SHORT TERM CAPITAL LOSS	13,331.24	15,648.50-
	942 NISSAN MOTOR CO LTD-SPON ADR @ 16.7547 / SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 51.81 BROKERAGE LONG TERM CAPITAL GAIN	15,782.90	15,005.77-

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
9/30/11	340 ONEOK INC @ 68.4662/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 18.70 BROKERAGE LONG TERM CAPITAL GAIN	23,278.50 8,167.57	15,110.93-
	895 REPSOL YPF S.A. ADR @ 27.5045/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 49.22 BROKERAGE SHORT TERM CAPITAL LOSS	24,616.50 3,267.23-	27,883.73-
	206 RIO TINTO PLC SPONS ADR @ 50.0274/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 11.33 BROKERAGE SHORT TERM CAPITAL LOSS	10,305.64 4,424.29-	14,729.93-
	308 SEVEN & I HLDGS CO. LTD ADR @ 58.2939/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 16.94 BROKERAGE SHORT TERM CAPITAL GAIN	17,954.51 304.57	17,649.94-
	543 SINGAPORE TELCOMM LTD ADR (SGD) @ 24.8445/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 29.86 BROKERAGE SHORT TERM CAPITAL LOSS	13,490.57 1,526.10-	15,016.67-
	1154 SONY FINL HLDGS INC ADR(JPY) @ 14.2947/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 63.47 BROKERAGE SHORT TERM CAPITAL LOSS	16,496.11 5,101.00-	21,597.11-
	1320 T. ROWE PRICE GROUP INC @ 50.7098/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 72.60 BROKERAGE LONG TERM CAPITAL GAIN	66,936.98 18,773.54	48,163.44-
	1017 TECHNIP SA ADR @ 21.0946/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 55.93 BROKERAGE SHORT TERM CAPITAL LOSS	21,453.20 5,654.94-	27,108.14-
	258 TEMPUR-PEDIC INTERNATIONAL @ 60.544 /SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 14.19 BROKERAGE LONG TERM CAPITAL GAIN	15,620.35 14,041.30	1,579.05-
	466 TENARIS SA ADR @ 26.9775/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 25.63 BROKERAGE SHORT TERM CAPITAL LOSS	12,571.53 8,442.51-	21,014.04-
	548 TEXAS INSTRUMENTS INC @ 28.2245/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 30.14 BROKERAGE LONG TERM CAPITAL LOSS	15,467.00 1,728.64-	17,195.64-

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
9/30/11	646 UNILEVER NV - NY SHARES @ 31.9546/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 35.53 BROKERAGE LONG TERM CAPITAL GAIN	20,642.66 107.54	20,535.12-
	294 VARIAN MEDICAL SYSTEMS INC @ 55.0341/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 16.17 BROKERAGE LONG TERM CAPITAL GAIN	16,180.03 4,355.55	11,824.48-
	484 YOUNG INNOVATIONS, INC. @ 29.8644/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 26.62 BROKERAGE LONG TERM CAPITAL GAIN	14,454.38 7,937.29	6,517.09-
	286 YUM! BRANDS INC @ 54.4942/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 15.73 BROKERAGE LONG TERM CAPITAL GAIN	15,585.33 4,208.62	11,376.71-
	TOTAL SECURITIES SOLD NET REALIZED GAIN/LOSS	5,004,792.18 576,911.12	4,427,881.06-

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SECURITIES SOLD

<u>DATE</u>	<u>SECURITY DESCRIPTION</u>	<u>PROCEEDS</u>	<u>INVESTMENTS AT COST</u>
12/29/10	138.53 VANGUARD DEV MKTS INDEX FD @ 9.97 /UNIT ON TRADE DATE 12/28/10 LONG TERM CAPITAL LOSS	1,381.09 442.18-	1,823.27- MF
	530.6 VANGUARD S/C VALUE INDEX FD #860 @ 16.08 /UNIT ON TRADE DATE 12/28/10 SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	8,532.05 725.22 2,241.81	5,565.02- MF
12/31/10	42 ALLSTATE CORPORATION @ 31.9043/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 2.31 BROKERAGE LONG TERM CAPITAL LOSS	1,339.98 734.19-	2,074.17-
	133 AXA - SPONS ADR @ 16.4747/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 7.32 BROKERAGE LONG TERM CAPITAL LOSS	2,191.13 2,405.03-	4,596.16-
	92 BARD (C.R.) INC @ 93.084 /SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 5.06 BROKERAGE LONG TERM CAPITAL GAIN	8,563.73 305.28	8,258.45-
	19 CHEVRON CORP @ 91.1832/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 1.05 BROKERAGE LONG TERM CAPITAL GAIN	1,732.48 244.12	1,488.36-
	118 CISCO SYSTEMS INCORPORATED @ 20.2547/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 6.49 BROKERAGE LONG TERM CAPITAL LOSS	2,390.05 439.89-	2,829.94-
	91 CLOROX COMPANY @ 63.7557/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 5.01 BROKERAGE LONG TERM CAPITAL GAIN	5,801.77 1,235.27	4,566.50-
	34 DIAGEO PLC @ 74.0338/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 1.87 BROKERAGE LONG TERM CAPITAL LOSS	2,517.15 227.50-	2,744.65-
	29 E.ON AG -ADR @ 29.8941/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 1.60 BROKERAGE LONG TERM CAPITAL LOSS	866.93 1,006.62-	1,873.55-
	47 FREEPORT-MCMORAN COPPER & GOLD INC. @ 118.3428/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 2.59 BROKERAGE LONG TERM CAPITAL GAIN	5,562.11 4,423.72	1,138.39-

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12/31/10

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	217 GAP INC @ 21.6347/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 11.94 BROKERAGE SHORT TERM CAPITAL LOSS	4,694.72	4,705.17-
		10.45-	
	1 GOOGLE INC CL-A @ 599.67 /SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 0.06 BROKERAGE LONG TERM CAPITAL GAIN	599.67	438.16-
		161.51	
	96 HARRIS CORP @ 45.359 /SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 5.28 BROKERAGE LONG TERM CAPITAL GAIN	4,354.46	3,037.57-
		1,316.89	
	284 ISHARES RUSSELL MIDCAP INDX ETF @ 101.5535/UNIT ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 15.62 BROKERAGE LONG TERM CAPITAL GAIN	28,841.19	28,790.48-
		50.71	
	75 MICROSOFT CORPORATION @ 27.9744/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 4.13 BROKERAGE LONG TERM CAPITAL GAIN	2,098.08	2,034.92-
		63.16	
	25 MITSUBISHI UFJ FINANCIAL ADR @ 5.2948/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 1.38 BROKERAGE LONG TERM CAPITAL LOSS	132.37	269.81-
		137.44-	
	48 PETROLEO BRASILEIRO S.A. ADR (V408) @ 35.5044/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 2.64 BROKERAGE LONG TERM CAPITAL LOSS	1,704.21	1,988.40-
		284.19-	
	62 ROPER INDUSTRIES INC @ 77.4335/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 3.41 BROKERAGE LONG TERM CAPITAL GAIN	4,800.88	2,573.93-
		2,226.95	
	37 RWE AKTIENGESELLSCHAF ADR @ 65.4435/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 2.04 BROKERAGE LONG TERM CAPITAL LOSS	2,421.41	4,386.69-
		1,965.28-	
	71 STATOIL ASA ADR @ 23.3445/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 3.91 BROKERAGE LONG TERM CAPITAL LOSS	1,657.46	2,309.74-
		652.28-	
	12 T. ROWE PRICE GROUP INC @ 64.1633/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 0.66 BROKERAGE LONG TERM CAPITAL GAIN	769.96	585.18-
		184.78	

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
12/31/10	12 TELEFONICA DE ESPANA - SPONSORED ADR @ 67.4142/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 0.66 BROKERAGE LONG TERM CAPITAL LOSS	808.97	1,005.30-
	141 WESTERN DIGITAL CORP @ 33.8956/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 7.74 BROKERAGE SHORT TERM CAPITAL LOSS	4,779.28	5,467.93-
	185 XILINX INC @ 28.8446/SHARE ON TRADE DATE 12/28/10 SOLD THROUGH CONVERGEX PAID 10.17 BROKERAGE SHORT TERM CAPITAL GAIN	5,336.25	4,786.53-
05/19/11	0.8 KEPPEL CORP LTD-SPONS ADR @ 18.025 /SHARE ON TRADE DATE 5/19/11 LONG TERM CAPITAL GAIN	14.42	11.39-
07/26/11	15709.32 GOLDMAN SACHS ENHANCED INC-I #1999 @ 9.52 /UNIT ON TRADE DATE 7/25/11 LONG TERM CAPITAL LOSS	149,552.73	152,114.32- MF
	557.89 LAZARD EMERGING MKTS PORT-INST #638 @ 21.76 /UNIT ON TRADE DATE 7/25/11 SHORT TERM CAPITAL GAIN	12,139.60	10,733.73- MF
	147.63 VANGUARD BD INDEX FD SIGNAL #1351 @ 10.75 /UNIT ON TRADE DATE 7/25/11 LONG TERM CAPITAL GAIN	1,586.97	1,498.39- MF
	50.76 VANGUARD GROWTH INDEX FD SG CL# 1347 @ 31.63 /UNIT ON TRADE DATE 7/25/11 LONG TERM CAPITAL GAIN	1,605.54	1,511.82- MF
	167.06 VANGUARD VALUE INDEX FD-SIGN #1346 @ 22.76 /UNIT ON TRADE DATE 7/25/11 LONG TERM CAPITAL GAIN	3,802.17	2,794.73- MF
07/28/11	99 ABB LTD ADR @ 24.9646/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 5.45 BROKERAGE LONG TERM CAPITAL GAIN	2,471.50	2,235.21-
	90 ABM INDUSTRIES INC @ 23.3744/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.95 BROKERAGE LONG TERM CAPITAL GAIN	2,103.70	1,292.75-
	203 AECOM TECHNOLOGY CORP. @ 26.6721/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 11.17 BROKERAGE LONG TERM CAPITAL LOSS	5,414.44	5,525.98-
	52 AGRUUM INC @ 93.3131/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.86 BROKERAGE LONG TERM CAPITAL GAIN	4,852.28	3,799.91-

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<u>DATE</u>	<u>SECURITY DESCRIPTION</u>	<u>PROCEEDS</u>	<u>INVESTMENTS AT COST</u>
	561 ALTRIA GROUP INC @ 26.1846/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 30.86 BROKERAGE LONG TERM CAPITAL GAIN	14,689.55 5,445.76	9,243.79-
	82 ANGLO AMERICAN PLC @ 24.4445/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.51 BROKERAGE LONG TERM CAPITAL LOSS	2,004.45 546.35-	2,550.80-
	54 APACHE CORP @128.6724/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.97 BROKERAGE LONG TERM CAPITAL GAIN	6,948.31 1,827.68	5,120.63-
	16 APPLE INC. @399.7175/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 0.88 BROKERAGE LONG TERM CAPITAL GAIN	6,395.48 4,450.12	1,945.36-
	148 ARES CAPITAL CORPORATION @ 16.1551/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 8.14 BROKERAGE LONG TERM CAPITAL GAIN	2,390.96 1,633.94	757.02-
	65 ASTRAZENECA GROUP PLC - SP ADR @ 49.7238/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.58 BROKERAGE LONG TERM CAPITAL GAIN	3,232.05 521.86	2,710.19-
	127 ATLAS COPCO AB @ 21.6145/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 6.99 BROKERAGE LONG TERM CAPITAL GAIN	2,745.04 871.95	1,873.09-
	53 AUTOZONE INC @295.7691/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.92 BROKERAGE LONG TERM CAPITAL GAIN	15,675.76 8,348.87	7,326.89-
	154 AVON PRODUCTS INC @ 28.1846/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 8.47 BROKERAGE LONG TERM CAPITAL LOSS	4,340.43 339.98-	4,680.41-
	50 BALCHEM CORPORATION @ 44.944 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.75 BROKERAGE LONG TERM CAPITAL GAIN	2,247.20 1,495.42	751.78-
	1100 BANK OF AMERICA CORP @ 9.9573/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 60.50 BROKERAGE SHORT TERM CAPITAL LOSS LONG TERM CAPITAL LOSS	10,953.04 911.74- 5,105.54-	16,970.32- 911 74

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7/28/11	185 BARCLAYS PLC - SPONSORED ADR @ 14.9351/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 10.18 BROKERAGE LONG TERM CAPITAL LOSS	2,763.00 789.73-	3,552.73-
	63 BASF AG - SP ADR @ 96.803 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.47 BROKERAGE SHORT TERM CAPITAL GAIN	6,098.59 2,466.32	3,632.27-
	51 BOC HONG KONG HOLDINGS LTD @ 59.2737/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.81 BROKERAGE LONG TERM CAPITAL GAIN	3,022.96 929.15	2,093.81-
	66 BRITISH AMERICAN TOBACCO PLC @ 93.1832/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.63 BROKERAGE LONG TERM CAPITAL GAIN	6,150.09 1,064.16	5,085.93-
	85 CANON INC - ADR @ 48.9839/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.68 BROKERAGE SHORT TERM CAPITAL GAIN	4,163.63 587.25	3,576.38-
	22 CARBO CERAMICS INC @ 181.5414/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 1.21 BROKERAGE LONG TERM CAPITAL GAIN	3,993.91 3,043.08	950.83-
	167 CENTRICA PLC ADR @ 21.2746/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 9.19 BROKERAGE SHORT TERM CAPITAL GAIN	3,552.85 68.05	3,484.80-
	10 CERNER CORPORATION @ 64.614 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 0.55 BROKERAGE LONG TERM CAPITAL GAIN	646.14 380.82	265.32-
	348 CISCO SYSTEMS INCORPORATED @ 16.2549/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 19.14 BROKERAGE LONG TERM CAPITAL LOSS	5,656.70 2,168.49-	7,825.19-
	173 COMPANHIA DE BEBIDAS - AMBEV ADR @ 31.6845/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 9.52 BROKERAGE LONG TERM CAPITAL GAIN	5,481.42 3,887.45	1,593.97-
	63 CONOCOPHILLIPS @ 75.1533/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.47 BROKERAGE LONG TERM CAPITAL LOSS	4,734.66 311.33-	5,045.99-

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	212 CORNING INCORPORATED @ 16.9649/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 11.66 BROKERAGE SHORT TERM CAPITAL GAIN	3,596.55 36.58	3,559.97-
	73 DBS GROUP HOLDINGS @ 49.844 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.02 BROKERAGE LONG TERM CAPITAL LOSS	3,638.61 290.41-	3,929.02-
	499 DELL INC @ 17.1147/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 27.45 BROKERAGE LONG TERM CAPITAL GAIN	8,540.26 805.49	7,734.77-
	119 DIRECTV CLASS A @ 51.7045/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 6.55 BROKERAGE LONG TERM CAPITAL GAIN	6,152.83 3,824.41	2,328.42-
	84 DOLBY LABORATORIES INC CL A @ 44.424 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.62 BROKERAGE LONG TERM CAPITAL GAIN	3,731.62 1,033.18	2,698.44-
	161 ECOLAB INCORPORATED @ 52.3844/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 8.86 BROKERAGE LONG TERM CAPITAL GAIN	8,433.89 1,093.70	7,340.19-
	64 ENTERTAINMENT PROPERTIES TRUST @ 48.9639/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.52 BROKERAGE LONG TERM CAPITAL GAIN	3,133.69 1,182.37	1,951.32-
	81 FEDEX CORP @ 92.1731/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.46 BROKERAGE SHORT TERM CAPITAL GAIN	7,466.02 303.47	7,162.55-
	198 FOCUS MEDIA HLDG ADR @ 32.8154/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 10.89 BROKERAGE SHORT TERM CAPITAL GAIN	6,497.44 2,926.95	3,570.49-
	55 FOMENTO ECONOMICO MEXICANO SAB DE CV @ 67.6135/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.03 BROKERAGE LONG TERM CAPITAL GAIN	3,718.74 1,263.26	2,455.48-
	68 FUJIFILM HOLDINGS CORP - ADR @ 31.1843/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.74 BROKERAGE LONG TERM CAPITAL GAIN	2,120.53 101.27	2,019.26-

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7/28/11	55 GLAXOSMITHKLINE PLC SPONS ADR @ 44.234 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.03 BROKERAGE LONG TERM CAPITAL GAIN	2,432.87 481.24	1,951.63-
	145 HEWLETT PACKARD COMPANY @ 37.1744 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 7.98 BROKERAGE LONG TERM CAPITAL LOSS	5,390.29 469.87-	5,860.16-
	74 HONDA MOTOR CO LTD SPONS ADR @ 40.7342 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.07 BROKERAGE LONG TERM CAPITAL GAIN	3,014.33 769.06	2,245.27-
	38 HUMANA INC @ 78.9534 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.09 BROKERAGE LONG TERM CAPITAL GAIN	3,000.23 1,849.06	1,151.17-
	133 INGERSOLL-RAND PLC @ 39.9147 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 7.32 BROKERAGE LONG TERM CAPITAL GAIN	5,308.66 3,458.46	1,850.20-
	374 INTEL CORPORATION @ 23.0851 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 20.57 BROKERAGE LONG TERM CAPITAL LOSS	8,633.81 193.90-	8,827.71-
	92 ISHARES DJ US ENERGY SECTOR IDX @ 45.594 /UNIT ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 5.06 BROKERAGE SHORT TERM CAPITAL GAIN	4,194.65 635.63	3,559.02-
	349 KEPPEL CORP LTD-SPONS ADR @ 18.5546 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 19.20 BROKERAGE LONG TERM CAPITAL GAIN	6,475.56 1,621.93	4,853.63-
	114 KONINKLIJKE KPN ADR @ 14.0446 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 6.27 BROKERAGE LONG TERM CAPITAL LOSS	1,601.09 422.98-	2,024.07-
	41 LUKOIL ADR @ 67.6034 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.26 BROKERAGE LONG TERM CAPITAL GAIN	2,771.74 828.13	1,943.61-
	420 MARATHON OIL CORPORATION @ 32.7345 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 23.10 BROKERAGE LONG TERM CAPITAL GAIN	13,748.51 1,002.80	12,745.71-

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7/28/11	42 MARATHON PETROLEUM CORPORATION @ 41.764 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.31 BROKERAGE LONG TERM CAPITAL GAIN	1,754.09 244.61	1,509.48-
	150 MATTHEWS INTL CORP @ 37.4448/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 8.25 BROKERAGE LONG TERM CAPITAL LOSS	5,616.72 392.67-	6,009.39-
	253 MCGRATH RENTCORP @ 27.4447/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 13.92 BROKERAGE LONG TERM CAPITAL GAIN	6,943.52 2,242.08	4,701.44-
	14 MITSUI & CO LTD ADR @ 372.9371/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 0.77 BROKERAGE LONG TERM CAPITAL GAIN	5,221.12 867.25	4,353.87-
	115 NESTLE SA SPONS ADR - REG SHS @ 64.5037/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 6.33 BROKERAGE LONG TERM CAPITAL GAIN	7,417.92 2,097.03	5,320.89-
	133 NIKE INCORPORATED CLASS B @ 91.1834/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 7.32 BROKERAGE LONG TERM CAPITAL GAIN	12,127.39 6,193.02	5,934.37-
	100 NOVARTIS AG - ADR @ 62.7238/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 5.50 BROKERAGE LONG TERM CAPITAL GAIN	6,272.38 1,351.61	4,920.77-
	37 PEPSICO INC @ 64.2235/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.04 BROKERAGE LONG TERM CAPITAL LOSS	2,376.27 177.53-	2,553.80-
	88 PETROLEO BRASILEIRO S.A. ADR (V101) @ 31.0343/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.84 BROKERAGE LONG TERM CAPITAL LOSS	2,731.02 1,299.53-	4,030.55-
	97 PETROLEO BRASILEIRO S.A. ADR (V408) @ 34.4242/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 5.34 BROKERAGE SHORT TERM CAPITAL LOSS	3,339.15 239.67-	3,578.82-
	174 RED HAT INC @ 44.1947/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 9.57 BROKERAGE LONG TERM CAPITAL GAIN	7,689.87 5,057.66	2,632.21-

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7/28/11	93 SANOFI ADR (EUR) @ 39.7441/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 5.12 BROKERAGE LONG TERM CAPITAL GAIN	3,696.20 921.48	2,774.72-
	123 SUFFOLK BANCORP @ 12.805 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 6.77 BROKERAGE LONG TERM CAPITAL LOSS	1,575.01 1,954.23-	3,529.24-
	36 SYNTEL, INC. @ 58.1036/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 1.98 BROKERAGE LONG TERM CAPITAL GAIN	2,091.73 1,213.52	878.21-
	47 T. ROWE PRICE GROUP INC @ 60.4636/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.59 BROKERAGE LONG TERM CAPITAL GAIN	2,841.79 5.57	2,836.22-
	126 TEMPUR-PEDIC INTERNATIONAL @ 67.3452/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 6.93 BROKERAGE LONG TERM CAPITAL GAIN	8,485.49 7,623.06	862.43-
	263 THOMPSON CREEK METALS CO INC @ 9.695 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 14.47 BROKERAGE LONG TERM CAPITAL LOSS	2,549.78 1,077.98-	3,627.76-
	105 TOKIO MARINE HOLDINGS, INC. ADR @ 29.8243/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 5.78 BROKERAGE LONG TERM CAPITAL GAIN	3,131.55 1,039.42	2,092.13-
	68 TOTAL FINA SA - SP ADR @ 56.6238/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.74 BROKERAGE LONG TERM CAPITAL LOSS	3,850.42 1,582.04-	5,432.46-
	217 TURKCELL ILETISIM HIZMET- ADR @ 12.5052/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 11.94 BROKERAGE LONG TERM CAPITAL LOSS	2,713.63 1,757.32-	4,470.95-
	119 VALE SA CLASS A ADR @ 30.2444/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 6.55 BROKERAGE LONG TERM CAPITAL GAIN	3,599.08 302.37	3,296.71-
	37 VISA, INC. @ 89.733 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 2.04 BROKERAGE LONG TERM CAPITAL GAIN	3,320.12 771.00	2,549.12-

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7/25/11	69 WAL-MART STORES @ 54.0438/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.80 BROKERAGE LONG TERM CAPITAL GAIN	3,729.02	3,373.07-
		355.95	
	83 WORLD FUEL SERVICES CORP @ 39.0141/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.57 BROKERAGE LONG TERM CAPITAL GAIN	3,238.17	1,336.28-
		1,901.89	
	67 ZURICH FINANCIAL SERVICES AG - ADR @ 24.6243/SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 3.69 BROKERAGE LONG TERM CAPITAL GAIN	1,649.83	1,377.19-
		272.64	
	83 3M CO @ 95.423 /SHARE ON TRADE DATE 7/25/11 SOLD THROUGH CONVERGEX PAID 4.57 BROKERAGE SHORT TERM CAPITAL GAIN	7,920.11	7,124.15-
		795.96	
09/30/11	117 ABB LTD ADR @ 18.0049/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 6.43 BROKERAGE LONG TERM CAPITAL LOSS	2,106.57	3,045.01-
		938.44-	
	109 ADIDAS AG ADR (EUR) @ 33.6443/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 6.00 BROKERAGE SHORT TERM CAPITAL LOSS	3,667.23	4,374.72-
		707.49-	
	179 AERCAP HOLDINGS NV (EUR) @ 10.4649/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 9.84 BROKERAGE SHORT TERM CAPITAL LOSS	1,873.21	2,340.34-
		467.13-	
	43 AMERICAN EXPRESS @ 47.894 /SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 2.37 BROKERAGE SHORT TERM CAPITAL LOSS	2,059.44	2,245.65-
		186.21-	
	145 ARES CAPITAL CORPORATION @ 14.0449/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 7.98 BROKERAGE LONG TERM CAPITAL GAIN	2,036.51	911.31-
		1,125.20	
	181 ASHAI KASEI CORP(JPY) @ 12.0048/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 9.96 BROKERAGE SHORT TERM CAPITAL LOSS	2,172.86	2,616.36-
		443.50-	
	64 BALCHEM CORPORATION @ 40.8941/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 3.52 BROKERAGE LONG TERM CAPITAL GAIN	2,617.22	962.27-
		1,654.95	

ACCOUNT NO: 4207-1
 ACCOUNT OF: COMPASS BANK, AGENT FOR
 DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
9/30/11	49 CAMERON INTERNATIONAL CORP @ 47.5143/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 2.70 BROKERAGE LONG TERM CAPITAL GAIN	2,328.20 366.89	1,961.31-
	26 CANADIAN NATL RAILWAY CO @ 69.1865/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 1.43 BROKERAGE SHORT TERM CAPITAL LOSS	1,798.85 278.68-	2,077.53-
	16 CARBO CERAMICS INC @133.2019/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 0.88 BROKERAGE LONG TERM CAPITAL GAIN	2,131.23 1,439.72	691.51-
	63 CENTRAL EURO DIST @ 6.8948/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 3.47 BROKERAGE LONG TERM CAPITAL LOSS	434.37 1,505.72-	1,940.09-
	48 CLARCOR INC @ 43.664 /SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 2.64 BROKERAGE LONG TERM CAPITAL GAIN	2,095.87 594.93	1,500.94-
	13 CNOOC LTD ADRS @167.2308/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 0.72 BROKERAGE LONG TERM CAPITAL LOSS	2,174.00 19.04-	2,193.04-
	76 COGNIZANT TECH @ 67.8662/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 4.18 BROKERAGE LONG TERM CAPITAL GAIN	5,157.83 3,084.71	2,073.12-
	44 DAIMLER AG-ADR @ 47.2741/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 2.42 BROKERAGE SHORT TERM CAPITAL LOSS	2,080.06 1,277.80-	3,357.86-
	57 DESARROLLADORA HOMEX S.A. DE ADR @ 15.1349/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 3.14 BROKERAGE LONG TERM CAPITAL LOSS	862.69 1,068.76-	1,931.45-
	128 DEUTSCHE POST AG ADR(EUR) @ 13.5248/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 7.04 BROKERAGE SHORT TERM CAPITAL LOSS	1,731.17 610.59-	2,341.76-
	26 DIAGEO PLC @ 79.8738/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 1.43 BROKERAGE SHORT TERM CAPITAL LOSS	2,076.72 72.31-	2,149.03-

ACCOUNT NO: 4207-1
 ACCOUNT OF: COMPASS BANK, AGENT FOR
 DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
9/27/11	51 ENTERTAINMENT PROPERTIES TRUST @ 40.5545/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 2.81 BROKERAGE LONG TERM CAPITAL GAIN	2,068.28 508.06	1,560.22-
	66 EUROPEAN AERONAUT ADR(EUR) @ 28.8444/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 3.63 BROKERAGE SHORT TERM CAPITAL LOSS	1,903.73 477.88-	2,381.61-
	87 FIRST CASH FINANCIAL SERVICES INC @ 44.774 /SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 4.79 BROKERAGE LONG TERM CAPITAL GAIN	3,895.34 1,720.67	2,174.67-
	100 GEMALTO NV (EUR) @ 24.6445/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 5.50 BROKERAGE SHORT TERM CAPITAL GAIN	2,464.45 33.95	2,430.50-
	86 HEINEKEN NV ADR @ 23.3845/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 4.73 BROKERAGE SHORT TERM CAPITAL LOSS	2,011.07 565.06-	2,576.13-
	60 HESS CORP @ 58.2238/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 3.30 BROKERAGE SHORT TERM CAPITAL LOSS	3,493.43 997.86-	4,491.29-
	89 HUMANA INC @ 80.2834/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 4.90 BROKERAGE LONG TERM CAPITAL GAIN	7,145.22 4,449.06	2,696.16-
	13 INTERNATIONAL BUSINESS MACHINES CORP @ 179.1108/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 0.72 BROKERAGE LONG TERM CAPITAL GAIN	2,328.44 704.02	1,624.42-
	73 KAO CORPORATION ADR @ 27.2944/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 4.02 BROKERAGE SHORT TERM CAPITAL LOSS	1,992.49 44.58-	2,037.07-
	104 KOMATSU LTD @ 22.0746/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 5.72 BROKERAGE SHORT TERM CAPITAL LOSS	2,295.76 976.60-	3,272.36-
	51 LANDSTAR SYSTEM INC @ 41.2939/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 2.81 BROKERAGE LONG TERM CAPITAL GAIN	2,105.99 435.18	1,670.81-

ACCOUNT NO: 4207-1
 ACCOUNT OF: COMPASS BANK, AGENT FOR
 DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
9/20/11	66 LINCOLN ELECTRIC HLDGS @ 32.2742/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 3.63 BROKERAGE LONG TERM CAPITAL GAIN	2,130.10 876.10	1,254.00-
	290 LONZA GROUP AG ADR(CHF) @ 6.2649/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 15.95 BROKERAGE SHORT TERM CAPITAL LOSS	1,816.81 690.24-	2,507.05-
	85 NINTENDO CO LTD ADR @ 19.0446/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 4.68 BROKERAGE SHORT TERM CAPITAL LOSS	1,618.79 369.79-	1,988.58-
	153 NISSAN MOTOR CO LTD-SPON ADR @ 16.7547/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 8.41 BROKERAGE SHORT TERM CAPITAL LOSS	2,563.47 777.29-	3,340.76-
	109 NTT DOCOMO INC-SPON ADR @ 18.5249/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 5.99 BROKERAGE SHORT TERM CAPITAL LOSS	2,019.21 1.06-	2,020.27-
	69 OWENS & MINOR INC @ 30.5242/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 3.80 BROKERAGE LONG TERM CAPITAL GAIN	2,106.17 281.12	1,825.05-
	22 PRAXAIR INC @ 97.3732/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 1.21 BROKERAGE LONG TERM CAPITAL GAIN	2,142.21 410.04	1,732.17-
	113 REPSOL YPF S.A. ADR @ 27.5044/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 6.22 BROKERAGE SHORT TERM CAPITAL LOSS	3,108.00 531.17-	3,639.17-
	33 RIO TINTO PLC SPONS ADR @ 50.0273/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 1.82 BROKERAGE SHORT TERM CAPITAL LOSS	1,650.90 731.21-	2,382.11-
	60 ROCHE HOLDINGS LTD - SPONS ADR @ 40.5142/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 3.30 BROKERAGE LONG TERM CAPITAL GAIN	2,430.85 17.20	2,413.65-
	53 ROYAL DUTCH SHELL PLC-ADR @ 63.7938/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 2.91 BROKERAGE SHORT TERM CAPITAL LOSS	3,381.07 137.87-	3,518.94-

ACCOUNT NO: 4207-1
 ACCOUNT OF: COMPASS BANK, AGENT FOR
 DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
9/27/11	47 SEVEN & I HLDGS CO LTD ADR @ 58.2938/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 2.59 BROKERAGE SHORT TERM CAPITAL GAIN	2,739.81 40.83	2,698.98-
	387 SILICONWARE PRECISION ADR(TWD) @ 4.9067/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 21.28 BROKERAGE SHORT TERM CAPITAL LOSS	1,898.89 134.72-	2,033.61-
	150 SINGAPORE TELCOMM LTD ADR (SGD) @ 24.8445/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 8.25 BROKERAGE SHORT TERM CAPITAL LOSS	3,726.68 375.07-	4,101.75-
	236 SONY FINL HLDGS INC ADR(JPY) @ 14.2947/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 12.98 BROKERAGE SHORT TERM CAPITAL LOSS	3,373.55 1,026.67-	4,400.22-
	104 T. ROWE PRICE GROUP INC @ 50.7098/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 5.72 BROKERAGE LONG TERM CAPITAL GAIN	5,273.82 2,165.02	3,108.80-
	93 TECHNIP SA ADR @ 21.0945/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 5.12 BROKERAGE SHORT TERM CAPITAL LOSS	1,961.79 597.11-	2,558.90-
	96 TELEFONICA DE ESPANA - SPONSORED ADR @ 19.5051/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 5.28 BROKERAGE LONG TERM CAPITAL LOSS	1,872.49 876.81-	2,749.30-
	45 TENARIS SA ADR @ 26.9776/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 2.48 BROKERAGE SHORT TERM CAPITAL LOSS	1,213.99 880.09-	2,094.08-
	73 TEXAS INSTRUMENTS INC @ 28.2285/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 4.01 BROKERAGE LONG TERM CAPITAL LOSS	2,060.68 125.75-	2,186.43-
	19 TOKYO ELECTRON LTD ADR (JPY) @ 96.9426/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 1.05 BROKERAGE SHORT TERM CAPITAL LOSS	1,841.91 247.24-	2,089.15-
	27 TOTO LIMITED ADR(JPY) @ 85.5433/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 1.48 BROKERAGE SHORT TERM CAPITAL GAIN	2,309.67 169.78	2,139.89-

ACCOUNT NO: 4207-1
 ACCOUNT OF: COMPASS BANK, AGENT FOR
 DAVID AND EULA WINTERMANN FOUNDATION

<u>DATE</u>	<u>SECURITY DESCRIPTION</u>	<u>PROCEEDS</u>	<u>INVESTMENTS AT COST</u>
9/20/11	87 UNILEVER NV - NY SHARES @ 31.9546/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 4.79 BROKERAGE LONG TERM CAPITAL LOSS	2,780.05	2,848.58-
	68.53-		
	132 VODAFONE GROUP PLC-SP ADR @ 26.1047/SHARE ON TRADE DATE 9/27/11 SOLD THROUGH CONVERGEX PAID 7.26 BROKERAGE SHORT TERM CAPITAL LOSS	3,445.82	3,509.22-
	63.40-		
	TOTAL SECURITIES SOLD	765,365.21	683,531.52-
	NET REALIZED GAIN/LOSS 81,833.69		

ATTACHMENT 1

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
THE FIRST NATIONAL BANK	191.	191.
COMPASS BANK	176,066.	176,066.
ACCRUAL INTEREST PURCHASED	0.	0.
AMORTIZATION OF BOND PREMIUM/DISCOUNT	-1,247.	-1,247.
TOTAL	<u>175,010.</u>	<u>175,010.</u>

ATTACHMENT 2

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
COMPASS BANK	243,452.	243,452.
TOTAL	<u>243,452.</u>	<u>243,452.</u>

ATTACHMENT 3

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
K-1 FROM 2200 & ASSOCIATES	2,192.	2,192.
K-1 FROM RICE INDUSTRIES	2,428.	2,428.
TOTALS	<u>4,620.</u>	<u>4,620.</u>

ATTACHMENT 4

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
TAX RETURN PREPARATION	5,980.			5,980.
TOTALS	<u>5,980.</u>	<u>0.</u>	<u>0.</u>	<u>5,980.</u>

ATTACHMENT 5

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>CHARITABLE PURPOSES</u>
INVESTMENT FEES - COMPASS BANK	111,898.	19,874.	92,024.
ACCOUNTING FEES	18,000.	3,600.	14,400.
TOTALS	<u>129,898.</u>	<u>23,474.</u>	<u>106,424.</u>

ATTACHMENT 6

FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
FOREIGN TAXES WITHHELD	3,878.	3,878.
FEDERAL TAXES	3,920.	3,920.
TOTALS	<u>7,798.</u>	<u>7,798.</u>

ATTACHMENT 7

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
MEMBERSHIP DUES & ASSESSMENTS	1,898.		1,898.
BANK FEES	60.		30.
INSURANCE	3,195.	1,597.	1,598.
SCHOLARSHIP CONSULTANT	1,000.		1,000.
TOTALS	<u>6,153.</u>	<u>1,597.</u>	<u>4,526.</u>

ATTACHMENT 8

FORM 990PF, PART II - PREPAID EXPENSES AND DEFERRED CHARGES

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
PREPAID FEDERAL INCOME TAX	0.	0.
TOTALS	<u>0.</u>	<u>0.</u>

FORM 990PF, PART II - OTHER INVESTMENTS

ATTACHMENT 9

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
MUTUAL FUNDS	1,324,022.	1,307,740.
PARTNERSHIPS	16,972.	16,972.
TOTALS	<u>1,340,994.</u>	<u>1,324,712.</u>

ATTACHMENT 10FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCESDESCRIPTIONAMOUNT

GRANTS APPROVED, NOT YET DISTRIBUTED

45,500.

TOTAL

45,500.

DAVID AND EULA WINTERMANN FOUNDATION

76-0082100

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 11

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
JACK JOHNSON P.O. BOX 337 EAGLE LAKE, TX 77434	PRESIDENT	50,000.	0.	0.
DONALD N. BENDY P.O. BOX 337 EAGLE LAKE, TX 77434	VICE PRESIDENT	10,000.	0.	0.
STEVE BALAS P.O. BOX 337 EAGLE LAKE, TX 77434	SECRETARY	10,000.	0.	0.
JUDITH JOHNSON P.O. BOX 337 EAGLE LAKE, TX 77434	DIRECTOR	10,000.	0.	0.
GRAND TOTALS		80,000.	0.	0.

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

MR. JACK JOHNSON
P.O. BOX 337
EAGLE LAKE, TX 77434
979-234-5551

990PF, PART XV - FORM AND CONTENTS OF SUBMITTED APPLICATIONS

- (1) HIGH SCHOOL TRANSCRIPT
- (2) INFORMATION OF FINANCIAL NEED
- (3) FIELD OF INTENDED STUDY
- (4) CHARACTER REFERENCE

FORM 990FF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEARATTACHMENT 14

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT		PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
JOHN PAUL SUPAK 612 W. MAIN ST. EAGLE LAKE, TX 77434	NONE	PUBLIC	EDUCATIONAL SCHOLARSHIP	4,000.
EULA & DAVID WINTERMANN LIBRARY 101 N. WALNUT EAGLE LAKE, TX 77434	NONE	PUBLIC	GENERAL FUND	166,720.
AMERICAN CANCER SOCIETY FBO VICTORY PO BOX 572915 HOUSTON, TX 77257-2915	NONE	PUBLIC	FUND RESEARCH IN THE NAME OF DAVID & EULA WINTERMANN FOUNDATION	25,000.
HILLARY JOHNSON 805 CAMPBELL ROAD EAGLE LAKE, TX 77434	NONE	PUBLIC	EDUCATIONAL SCHOLARSHIP	8,000.
THE CITY OF EAGLE LAKE P.O. BOX 38 EAGLE LAKE, TX 77434	NONE	PUBLIC	BUILDING IMPROVEMENTS TO REVITALIZE EAGLE LAKE	15,000.
BAYLOR COLLEGE OF MEDICINE ONE BAYLOR PLAZA, MS:BCM 160 HOUSTON, TX 77030-3411	NONE	PUBLIC	CONTINUATION OF FUNDING OF THE DAVID & EULA WINTERMANN FOUNDATION BRASS SCHOLAR RESEARCH AWARD ENDOWED FUND INITIALLY FUNDED IN 2007	80,000.

ATTACHMENT 14

FORM 990OFF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEARATTACHMENT 14 (CONT'D)

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND		PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
	FOUNDATION	STATUS OF RECIPIENT		
EDUARDO LOSOYA 1107 SEAHOLM STREET EAGLE LAKE, TX 77434	NONE PUBLIC		EDUCATIONAL SCHOLARSHIP	8,000.
KAYLI KALLINA 1029 CR 185 GARWOOD, TX 77442	NONE PUBLIC		EDUCATIONAL SCHOLARSHIP	8,000.
TEXAS A & M FOUNDATION AGRICULTURE DEVELOPMENT OFFICE 2140 TAMU COLLEGE STATION, TX 77843-2140	PUBLIC		CONTINUATION OF FUNDING THE WINTERMANN FOUNDATION RICE IMPROVEMENT AND CROPPING SYSTEMS FUND TO SUPPORT AND ADVANCE APPLIED RESEARCH IN THE AREAS OF IMPROVEMENT OF RICE VARIETIES, IMPROVEMENT OF WATER USE EFFICIENCY IN RICE CROPPING SYSTEMS, DEVELOPMENT OF ALTERNATIVE WATER SOURCES FOR RICE PRODUCTION AND OR OTHER ACTIVITIES THAT SUPPORT AND STRENGTHEN THE RICE INDUSTRY IN AND AROUND THE RICE GROWING AREAS OF CENTRAL AND EAST TEXAS	250,000.
RYAN MOORE PO BOX 379 SHERIDAN, TX 77475	NONE PUBLIC		EDUCATIONAL SCHOLARSHIP	4,000.
MAGDALENA WENDOZA 420 B.W. MAIN STREET EAGLE LAKE, TX 77434	NONE PUBLIC		EDUCATIONAL SCHOLARSHIP	2,500.
TOTAL CONTRIBUTIONS PAID				<u>571,220.</u>

FORM 990PF, PART XV - CONTRIBUTIONS APPROVED FOR FUTURE PAYMENT

ATTACHMENT 15

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT		PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
RYAN MOORE PO BOX 379 SHERIDAN, TX 77475	NONE		SCHOLARSHIP	32,000.
MAGDALENA MENDOZA 420 B.W. MAIN STREET EAGLE LAKE, TX 77434	NONE		SCHOLARSHIP	20,000.
TOTAL CONTRIBUTIONS APPROVED				<u>52,000.</u>

SHARES/ PAR VALUE	SECURITY DESCRIPTION	INVESTMENTS AT COST	MARKET VALUE AT FISCAL YEAR-END
GOVERNMENT OBLIGATIONS			
200000	US TREASURY NOTES	201,812.50	215,906.00
125000	US TREASURY NOTES	126,416.43	132,065.00
150000	US TREASURY NOTES	150,884.77	158,097.00
125000	US TREASURY NOTES	125,234.88	145,185.00
250000	US TREASURY NOTES	251,210.94	277,305.00
150000	FHLB NOTES	150,000.00	151,465.50
250000	FHLB NOTES	250,583.12	261,442.50
250000	FHLB NOTES	251,398.61	272,047.50
125000	FHLMC NOTES	125,000.00	126,197.50
125000	FHLMC NOTES	123,684.13	144,298.75
225000	FHLMC NOTES	225,485.66	252,990.00
250000	FNMA NOTES	250,736.22	285,932.50
TOTAL GOVERNMENT OBLIGATIONS		2,232,447.26	2,422,932.25
CORPORATE OBLIGATIONS			
125000	CHEVRON CORPORATION NOTES	124,961.25	148,876.25
100000	COCA COLA CO NOTES	99,694.00	103,219.00
125000	CONOCOPHILLIPS CORPORATION NOTES	124,648.75	136,021.25
150000	DU PONT NOTES	150,403.12	156,618.00
250000	GE CO NOTES	251,137.33	261,832.50
250000	HSBC FIN CORP NOTES	251,758.26	258,785.00
125000	MORGAN STANLEY NOTES	124,758.32	126,106.25
125000	UNILEVER CAP CORP NOTES	125,976.14	132,987.50
125000	UPS, INC NOTES	124,890.09	131,287.50
125000	WAL-MART STORES NOTES	125,205.60	126,043.75
150000	WELLS FARGO & CO NOTES	149,791.50	169,641.00
TOTAL CORPORATE OBLIGATIONS		1,653,224.36	1,751,418.00
EQUITIES			
2866	ABB LTD ADR	65,599.02	48,951.28
934	ABM INDUSTRIES, INC.	13,415.83	17,802.04
849	ACCENTURE PLC	22,824.16	44,725.32
1234	AFLAC INCORPORATED	62,846.09	43,128.30
954	AGCO CORPORATION	21,302.84	32,979.78
691	AGILENT TECHNOLOGIES, INC	21,747.99	21,593.75
206	AGRIUM INC	15,782.63	13,731.96
874	AKAMAI TECHNOLOGIES INC	27,149.07	17,375.12
651	ALLERGAN INC	40,574.49	53,629.38
2044	ALLSTATE CORPORATION	73,555.79	48,422.36
228	AMAZON COM INC	50,243.58	49,300.44
1754	AMERICAN EXPRESS	89,747.77	78,754.60
573	AMERICAN TOWER CORP	25,357.08	30,827.40
596	AMERIPRISE FINANCIAL INC	30,387.55	23,458.56
3153	AMERISOURCEBERGEN	73,682.69	117,512.31
690	ANADARKO PETROLEUM CORPORATION	51,997.91	43,504.50
383	ANSYS INC	16,260.83	18,782.32
1170	APACHE CORP	102,920.35	93,880.80

DAVID AND EULA WINTERMANN FOUNDATION

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496 APPLE INC	48,208.47	189,134.72
2081 ARES CAPITAL CORPOARTION	20,393.15	28,655.37
3700 AT&T INC	102,255.92	105,524.00
352 AUTODESK INC	13,683.30	9,782.08
582 AUTOMATIC DATA PROCESSING	28,445.14	27,441.30
530 BADGER METER INC	17,937.74	15,332.90
519 BALCHEM CORPORATION	12,223.88	30,333.03
3500 BANK OF NEW YORK MELLON CORP	107,117.28	65,065.00
162 BARD (C R) INC	15,008.47	14,181.48
1318 BAXTER INTERNATIONAL INC	73,130.12	73,992.52
233 BECTON, DICKINSON & COMPANY	17,775.78	16,863.60
572 BEMIS COMPANY, INC	17,783.38	16,765.32
1641 BEST BUY COMPANY INC	73,351.76	38,235.30
191 BIO-RAD LABORATORIES, INC	12,551.48	17,337.07
66 BLACK HILLS CORP	2,091.75	2,022.24
1339 BORGWARNER INC	57,854.08	81,049.67
238 BOSTON PROPERTIES INC - REIT	15,016.61	21,205.80
548 BROADCOM CORPORATION - CL A	22,723.36	18,242.92
30 BROWN-FORMAN CORPORATION - CLASS B	2,137.86	2,104.20
594 CABOT MICROELECTRONICS CORP	22,495.62	20,427.66
462 CABOT OIL & GAS CORPORATION	15,278.16	28,602.42
1442 CAMERON INTERNATIONAL CORP	58,269.68	59,900.68
226 CANADIAN NATL RAILWAY CO	15,661.24	15,047.08
269 CARBO CERAMICS INC	13,824.42	27,580.57
47 CARDINAL HEALTH INC	2,087.51	1,968.36
1571 CARNIVAL CORP	56,261.91	47,601.30
210 CATEPILLAR INCORPORATED	20,353.66	15,506.40
804 CELGENE CORP	49,234.70	49,775.64
729 CENTURYLINK INC	25,098.72	24,144.48
1168 CERNER CORPORATION	26,800.72	80,031.36
656 CHESAPEAKE ENERGY CORPORATION	15,286.83	16,760.80
1901 CHEVRON CORP	119,333.59	176,013.59
837 CINCINNATI FINANCIAL CORP	22,674.35	22,038.21
778 CLARCOR INC	24,327.72	32,193.64
257 CLOROX COMPANY	17,541.48	17,046.81
117 CNOOC LTD ADRS	20,444.92	18,755.10
266 COCA-COLA COMPANY	18,727.60	17,970.96
924 COGNIZANT TECH	30,945.61	57,934.80
166 COLGATE PALMOLIVE COMPANY	15,287.00	14,720.88
3190 COMPANHIA DE BEBIDAS - AMBEV ADR	29,116.21	97,773.50
1603 CONOCOPHILLIPS	113,945.23	101,501.96
598 CONSOLIDATED EDISON, INC.	34,046.84	34,097.96
416 CORPORATE EXECUTIVE BOARD CO	17,229.47	12,396.80
1143 COVANCE INC	48,982.70	51,949.35
977 CSX CORPORATION	12,078.78	18,240.59
456 CUMMINS ENGINE COMPANY INC	31,119.49	37,236.96
3080 D R HORTON INC	25,803.57	27,843.20
1213 DANAHER CORP	38,723.69	50,873.22
428 DARDEN RESTAURANTS INC	16,861.89	18,297.00
797 DEUTSCHE BOERSE AG ADR	6,188.71	3,985.00
452 DIAGEO PLC	37,139.89	34,320.36
612 DIEBOLD INC	18,313.27	16,836.12
883 DIRECTV GROUP	17,277.26	37,324.41
2991 DOVER CORPORATION	127,751.97	139,380.60

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1087 E. I. DU PONT DE NEMOURS & COMPANY	47,048.57	43,447.39
253 EASTMAN CHEMICAL COMPANY	15,057.65	17,338.09
621 EATON VANCE CORP - NOT VOTING SHS	23,881.40	13,829.67
4133 EBAY INC	111,993.07	121,882.17
2043 EMC CORPORATION	48,239.09	42,882.57
1353 EMERSON ELECTRIC COMPANY	66,863.94	55,892.43
571 ENTERTAINMENT PROPERTIES TRUST	18,878.90	22,257.58
973 EQUIFAX INC	29,064.42	29,910.02
399 EQUINIX, INC.	37,590.23	35,443.17
785 ESTEE LAUDER COMPANIES - CLASS A	83,240.36	68,954.40
1482 EXPRESS SCRIPTS INC	45,826.39	54,937.74
2224 EXXON MOBIL CORP	100,931.63	161,529.12
1261 FEDERATED INVESTORS INC CL-B	29,568.60	22,105.33
843 FIRST CASH FINANCIAL SERVICES INC	26,816.17	35,363.85
284 FLOWSERVE CORP	13,857.78	21,016.00
636 FLUOR CORPORATION	41,479.89	29,605.80
1240 FORTUNE BRANDS INC	102,602.10	67,059.20
2542 FREEPORT-MCMORAN COPPER & GOLD INC	72,820.55	77,403.90
293 GATX CORP	12,995.84	9,080.07
794 GEA GROUP AG ADR (EUR)	27,575.28	18,897.20
755 GEMALTO NV (EUR)	18,501.28	17,848.20
402 GENERAL DYNAMICS CORPORATION	32,722.32	22,869.78
8206 GENERAL ELECTRIC COMPANY	153,160.11	124,895.32
50 GENUINE PARTS COMPANY	2,644.74	2,540.00
541 GOLDMAN SACHS GROUP INC	73,438.36	51,151.55
171 GOODRICH CORPORATION	14,997.54	20,636.28
167 GOOGLE INC CL-A	85,000.14	86,011.68
1081 GRACO INC	38,629.40	36,905.34
2154 HALLIBURTON COMPANY	120,215.97	65,740.08
362 HARRIS CORP	19,608.07	12,369.54
415 HARSCO CORPORATION	25,447.81	8,046.85
750 HCP, INC	27,512.32	26,295.00
1258 HELIX ENERGY SOLUTIONS GROUP	19,693.99	16,479.80
1148 HENRY SCHEIN INC	56,091.95	71,187.48
804 HESS CORP	57,260.14	42,177.84
2142 HILLENBRAND, INC	47,739.72	39,412.80
1527 HONEYWELL INTERNATIONAL INC	60,165.89	67,050.57
927 HUMANA INC	29,788.72	67,420.71
301 INTEGRYS ENERGY GROUP INC	15,160.44	14,634.62
143 INTERCONTINENTAL EXCHANGE INC	9,412.81	16,911.18
554 INTEL CORPORATION	10,287.35	11,819.59
609 INTERNATIONAL BUSINESS MACHINES CORP	58,655.43	106,495.83
936 INTL RECTIFIER CORP	20,624.67	17,428.32
685 INTUIT INC	19,011.14	32,496.40
4906 ISHARES MSCI EMERGING MARKETS	231,717.60	172,176.08
1438 ISHARES RUSSELL MIDCAP INDX ETF	97,781.13	126,903.50
1541 JACKHENRY & ASSOC INC	31,226.22	44,658.18
947 JACOBS ENGINEERING GROUP INC	33,600.94	30,578.63
894 JEFFERIES GROUP INC	16,711.31	11,094.54
835 JOHN WILEY & SONS, INC	48,432.32	42,287.84
286 JOHNSON & JOHNSON	18,399.74	18,215.34
420 JOY GLOBAL INC	19,535.42	26,199.60
2809 JPMORGAN CHASE & CO	104,059.16	84,607.08
5010 JULIUS BAER GROUP ADR (CHF)	42,359.55	33,667.20

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272 KIMBERLY-CLARK CORPORATION	19,495.54	19,314.72
1151 KOHLS CORPORATION	64,187.69	56,514.10
800 LABORATORY CORP OF AMERICAN HLDGS	41,763.03	63,240.00
319 LANDAUER, INC	15,834.90	15,803.26
863 LANDSTAR SYSTEM INC	28,272.68	34,140.28
854 LEGGETT & PLATT INC	18,328.96	16,900.66
614 LIFE TECHNOLOGIES CORP	29,939.83	23,596.02
1015 LINCOLN ELECTRIC HLDGS	19,284.95	29,445.15
101 LOWE'S COMPANIES, INC	2,089.18	1,953.34
1478 MARATHON PETROLEUM CORPORATION	40,526.13	39,994.68
43 MCCORMICK & COMPANY	2,082.70	1,984.88
1161 MCDONALD'S CORPORATION	48,807.32	101,959.02
396 MCGRAW-HILL COMPANIES INC	17,600.19	16,236.00
6611 MICROSOFT CORPORATION	163,626.23	164,547.79
38 NATIONAL FUEL GAS COMPANY	2,065.43	1,849.84
802 NETEASE COM INC ADR	40,268.55	30,604.32
551 NEWFIELD EXPLORATION COMPANY	30,523.24	21,869.19
1319 NEXTERA ENERGY, INC.	72,035.12	71,252.38
907 NIKE INCORPORATED CLASS B	59,228.97	77,557.57
5788 ORACLE CORPORATION	167,607.44	166,347.12
1435 OWENS & MINOR INC	40,669.29	40,868.80
62 PENTAIR INC	2,134.01	1,984.62
1092 PEPSICO INC	61,243.35	67,594.80
200 PHARMACEUTICAL PRODUCT DEVELOPMENT	8,204.08	5,132.00
1015 PHILIP MORRIS INTERNATIONAL, INC.	37,771.97	63,315.70
71 PIEDMONT NATURAL GAS COMPANY INC	2,100.84	2,051.19
761 PIONEER NATURAL RESOURCES COMPANY	49,492.91	50,050.97
1371 PITNEY BOWES INC	27,604.68	25,774.80
244 PPG INDUSTRIES INC	18,546.09	17,241.04
736 PRAXAIR, INC	41,141.75	68,801.28
153 PRICELINE COM INC	12,056.78	68,767.38
2038 PROCTER & GAMBLE COMPANY	119,535.07	128,760.84
783 PROGRESSIVE CORPORATION	15,278.76	13,906.08
2790 PUBLIC SERVICE ENTERPRISE GROUP INC	92,705.80	93,102.30
2943 PULTE HOMES, INC	22,832.04	11,624.85
801 QUEST DIAGNOSTICS INC	42,650.49	39,537.36
1304 QUESTAR CORPORATION	23,759.53	23,093.84
329 RALPH LAUREN CORP	44,084.16	42,671.30
932 RAYMOND JAMES FINANCIAL INC	23,425.63	24,194.72
249 REINSURANCE GROUP OF AMERICA	14,834.13	11,441.55
858 REPUBLIC SERVICES, INC.	23,883.28	24,075.48
611 RLI CORP	33,266.14	38,847.38
109 RPM, INC	2,117.42	2,038.30
162 ROCHE HOLDINGS LTD - SPON ADR	5,747.35	6,515.64
1743 SANDISK CORP	74,193.90	70,338.77
301 SAP AG - SPONS ADR	15,552.31	15,236.62
686 SCHLUMBERGER LIMITED	66,122.32	40,974.78
3424 SILICONWARE PRECISION ADR (TWD)	17,581.90	16,366.72
27 SHERWIN WILLIAMS COMPANY	2,082.10	2,006.64
399 SNAP-ON INC	15,021.96	17,715.60
578 SONOCO PRODUCTS CO	17,455.40	16,316.94
821 SYNTEL, INC	20,028.01	35,458.99
873 TELEFONICA DE ESPANA - SPONS ADR	24,378.50	16,691.76
665 TEMPUR-PEDIC INTERNATIONAL	4,144.64	34,985.65

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562 TEVA PHARMACEUTICAL IND - SPONS ADR	25,749.48	20,917.64
2385 TEXAS INSTRUMENTS INC	57,127.48	63,560.25
277 THE SCOTTS MIRACLE-GRO COMPANY	8,284.41	12,354.20
614 THE WALT DISNEY COMPANY	24,562.21	18,518.24
952 THERMO FISCHER SCIENTIFIC INC	54,221.16	48,209.28
1053 TIME WARNER CABLE INC	62,716.46	65,991.51
610 TJX COMPANIES INC	19,265.93	33,836.70
186 TOKYO ELECTRON LTD ADR (JPY)	19,958.73	17,181.19
1247 TRANSOCEAN LTD	78,444.84	59,531.78
719 TRIDENT MICROSYSTEMS INC	3,687.75	373.88
2178 U S BANCORP	65,436.38	51,270.12
742 UGI CORPORATION	20,377.24	19,492.34
944 UNION PACIFIC CORPORATION	62,553.14	77,096.48
1165 UNITED TECHNOLOGIES COROPRATION	69,910.73	81,969.40
357 URS CORPORATION	14,960.06	10,588.62
139 V F CORPORATION	18,332.00	16,891.28
949 VALSPAR CORPORATION	28,689.89	29,618.29
1076 VARIAN MEDICAL SYSTEMS INC	49,255.57	56,124.16
747 VODAFONE GROUP PLC - SP ADR	20,045.60	19,168.02
1959 WAL-MART STORES	103,150.14	101,672.10
56 WALGREEN COMPANY	1,897.56	1,841.84
1611 WATSON PHARMACEUTICALS, INC	43,813.74	109,950.75
1231 WD-40 COMPANY	36,291.01	49,043.04
3435 WELLS FARGO COMPANY	99,734.84	82,852.20
442 WGL HOLDINGS INC	17,615.89	17,268.94
1393 WORLD FUEL SERVICES CORP	22,426.90	45,481.45
734 XILINX INC	16,848.17	20,140.96
57 YOUNG INNOVATIONS, INC	767.51	1,624.50
427 YUM! BRANDS INC	16,985.50	21,089.53
200 3M CO	15,514.80	14,358.00
TOTAL EQUITIES	8,229,364.96	8,776,366.66
MUTUAL FUNDS		
19681.91 CREDIT SUISSE COMM RET ST-CO	168,949.59	160,801.26
1612 JOHN HANCOCK BK & THT OPP FD/CSLD ED	22,890.05	20,101.64
4700 KAYNE ANDERSON MLP INVT CO.	135,246.41	130,754.00
4309.3 NATIXIS LOOMIS SAYLES LTD GV&A-Y	51,409.96	51,323.77
25623.33 VANGUARD BD INDEX FD SIGNAL #1351	262,992.79	282,625.33
5986.63 VANGUARD GROWTH INDEX FD SG CL #1347	167,728.03	159,424.06
4108.46 VANGUARD INFLAT PROT	50,000.00	57,436.31
1178.24 VANGUARD MID CAP INDEX-SIGN #1344	29,999.97	29,962.62
2504.08 VANGUARD SMALL CAP INDEX FD #860	34,906.93	33,354.40
4104.91 VANGUARD VALUE INDEX FD - SIGN #1346	80,538.31	78,321.66
43314.56 WELLS FARGO ADV HI INC - INS	319,360.17	303,635.05
TOTAL MUTUAL FUNDS	1,324,022.21	1,307,740.10
PARTNERSHIPS		
125 RICE INDUSTRIES, INC	16,595.00	16,595.00
4 1670% 2200 & ASSOCIATES	377.25	377.25
TOTAL PARTNERSHIPS	16,972.25	16,972.25
TOTAL SECURITIES	13,456,031.04	14,275,429.26

**SCHEDULE D
(Form 1041)**Department of the Treasury
Internal Revenue Service**Capital Gains and Losses****► Attach to Form 1041, Form 5227, or Form 990-T. See the Instructions for
Schedule D (Form 1041) (also for Form 5227 or Form 990-T, if applicable).**

OMB No 1545-0092

2010

Name of estate or trust

DAVID AND EULA WINTERMANN FOUNDATION

Employer identification number

76-0082100

Note: Form 5227 filers need to complete *only* Parts I and II.**Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less**

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
1a					

b Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b	1b	-112,862.
2 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	2	
3 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	3	
4 Short-term capital loss carryover Enter the amount, if any, from line 9 of the 2009 Capital Loss Carryover Worksheet	4	()
5 Net short-term gain or (loss). Combine lines 1a through 4 in column (f) Enter here and on line 13, column (3) on the back ►	5	-112,862.

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
6a					

b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b	6b	774,641.
7 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	7	
8 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts	8	
9 Capital gain distributions	9	671.
10 Gain from Form 4797, Part I	10	
11 Long-term capital loss carryover Enter the amount, if any, from line 14 of the 2009 Capital Loss Carryover Worksheet	11	()
12 Net long-term gain or (loss). Combine lines 6a through 11 in column (f) Enter here and on line 14a, column (3) on the back ►	12	775,312.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D (Form 1041) 2010

Part III Summary of Parts I and II Caution: Read the instructions before completing this part.		(1) Beneficiaries' (see instr.)	(2) Estate's or trust's	(3) Total
13 Net short-term gain or (loss)	13			-112,862.
14 Net long-term gain or (loss):				
a Total for year	14a			775,312.
b Unrecaptured section 1250 gain (see line 18 of the wrkst)	14b			
c 28% rate gain	14c			
15 Total net gain or (loss). Combine lines 13 and 14a	15			662,450.

Note: If line 15, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a). If lines 14a and 15, column (2), are net gains, go to Part V, and do not complete Part IV. If line 15, column (3), is a net loss, complete Part IV and the **Capital Loss Carryover Worksheet**, as necessary.

Part IV Capital Loss Limitation	
16 Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the smaller of	16 ()
a The loss on line 15, column (3) or b \$3,000	

Note: If the loss on line 15, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the **Capital Loss Carryover Worksheet** on page 7 of the instructions to figure your capital loss carryover.

Part V Tax Computation Using Maximum Capital Gains Rates	
Form 1041 filers. Complete this part only if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero.	
Caution: Skip this part and complete the worksheet on page 8 of the instructions if:	
• Either line 14b, col (2) or line 14c, col (2) is more than zero, or	
• Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero	
Form 990-T trusts. Complete this part only if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the worksheet on page 8 of the instructions if either line 14b, col (2) or line 14c, col (2) is more than zero.	

17 Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34)	17	
18 Enter the smaller of line 14a or 15 in column (2) but not less than zero	18	
19 Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T)	19	
20 Add lines 18 and 19	20	
21 If the estate or trust is filing Form 4952, enter the amount from line 4g, otherwise, enter -0-	21	
22 Subtract line 21 from line 20. If zero or less, enter -0-	22	
23 Subtract line 22 from line 17. If zero or less, enter -0-	23	
24 Enter the smaller of the amount on line 17 or \$2,300	24	
25 Is the amount on line 23 equal to or more than the amount on line 24? ☐ Yes. Skip lines 25 and 26; go to line 27 and check the "No" box ☐ No. Enter the amount from line 23	25	
26 Subtract line 25 from line 24	26	
27 Are the amounts on lines 22 and 26 the same? ☐ Yes. Skip lines 27 thru 30, go to line 31 ☐ No. Enter the smaller of line 17 or line 22	27	
28 Enter the amount from line 26 (If line 26 is blank, enter -0-)	28	
29 Subtract line 28 from line 27	29	
30 Multiply line 29 by 15% (15)	30	
31 Figure the tax on the amount on line 23. Use the 2010 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	31	
32 Add lines 30 and 31	32	
33 Figure the tax on the amount on line 17. Use the 2010 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	33	
34 Tax on all taxable income. Enter the smaller of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36)	34	

Schedule D (Form 1041) 2010

**Continuation Sheet for Schedule D
(Form 1041)**

OMB No 1545-0092

2010

► See instructions for Schedule D (Form 1041).

▶ **Attach to Schedule D** to list additional transactions for lines 1a and 6a.

Name of estate or trust

DAVID AND EULA WINTERMANN FOUNDATION

Employer identification number

76-0082100

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less[illegible]

1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b	-112,862.
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For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2010

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side

Employer identification number

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 sh 7% preferred of "Z" Co.)	(b) Date acquired (mo., day, yr.)	(c) Date sold (mo., day, yr.)	(d) Sales price (see page 4 of the instructions)	(e) Cost or other basis (see page 4 of the instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a COMPASS #4207 - SEE ATTACHED DETAIL	01/01/2000	12/01/2010	4,412,001.	3,727,001.	685,000.
COMPASS #4207-1 - SEE ATTACHED DETAIL	01/01/2000	12/01/2010	620,570.	533,963.	86,607.
QWEST SECURITIES LITIGATION SETTLEMENT	01/01/2000	05/31/2011	3,034.		3,034.
6b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 6b					774,641