



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



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 11/01, 2010, and ending 10/31, 2011

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

Name of foundation **PUTNAM FOUNDATION** A Employer identification number **02-6011388**

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)
PO BOX 323 **(603) 352-2448**
20 CENTRAL SQUARE, 2ND FL

City or town, state, and ZIP code C If exemption application is pending, check here ☐
KEENE, NH 03431 D 1. Foreign organizations, check here ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ☐

H Check type of organization ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ☐ Accounting method ☐ Cash ☒ Accrual
29,140,475. (Part I, column (d) must be on cash basis) 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)
1 Contributions, gifts, grants, etc., received (attach schedule)	641,773.			
2 Check ☐ if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	315,098.	315,098.		ATCH 1
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	85,887.			
b Gross sales price for all assets on line 6a	10,941,207.			
7 Capital gain net income (from Part IV, line 2)		85,887.		
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)	71,783.	71,783.		ATCH 2
12 Total. Add lines 1 through 11	1,114,541.	472,768.		
13 Compensation of officers, directors, trustees, etc.	0.			
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule) ATCH 3	408.	0.	0.	0.
b Accounting fees (attach schedule) ATCH 4	6,500.	0.	0.	0.
c Other professional fees (attach schedule) *	167,033.	167,033.		
17 Interest				
18 Taxes (attach schedule) (see page 14 of the instructions)	5,000.			
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings	9,125.	9,125.		
22 Printing and publications	672.	672.		
23 Other expenses (attach schedule) ATCH 7	40,425.	40,425.		
24 Total operating and administrative expenses. Add lines 13 through 23	229,163.	217,255.	0.	0.
25 Contributions, gifts, grants paid	1,171,925.			1,171,925.
26 Total expenses and disbursements. Add lines 24 and 25	1,401,088.	217,255.	0.	1,171,925.
27 Subtract line 26 from line 12.	-286,547.			
a Excess of revenue over expenses and disbursements		255,513.		
b Net investment income (if negative, enter -0-)				
c Adjusted net income (if negative, enter -0-)				

	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received (attach schedule)	641,773.			
2 Check ☐ if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	315,098.	315,098.		ATCH 1
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	85,887.			
b Gross sales price for all assets on line 6a	10,941,207.			
7 Capital gain net income (from Part IV, line 2)		85,887.		
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)	71,783.	71,783.		ATCH 2
12 Total. Add lines 1 through 11	1,114,541.	472,768.		
13 Compensation of officers, directors, trustees, etc.	0.			
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees (attach schedule) ATCH 3	408.	0.	0.	0.
b Accounting fees (attach schedule) ATCH 4	6,500.	0.	0.	0.
c Other professional fees (attach schedule) *	167,033.	167,033.		
17 Interest				
18 Taxes (attach schedule) (see page 14 of the instructions)	5,000.			
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings	9,125.	9,125.		
22 Printing and publications	672.	672.		
23 Other expenses (attach schedule) ATCH 7	40,425.	40,425.		
24 Total operating and administrative expenses. Add lines 13 through 23	229,163.	217,255.	0.	0.
25 Contributions, gifts, grants paid	1,171,925.			1,171,925.
26 Total expenses and disbursements. Add lines 24 and 25	1,401,088.	217,255.	0.	1,171,925.
27 Subtract line 26 from line 12.	-286,547.			
a Excess of revenue over expenses and disbursements		255,513.		
b Net investment income (if negative, enter -0-)				
c Adjusted net income (if negative, enter -0-)				

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

* ATCH 5 JSA **

ATCH 6

Form 990-PF (2010)

gib-22-24

4

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				
	2	Savings and temporary cash investments		1,469,117.	1,744,366.	1,744,366.
	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)	*	100,479.	100,479.	100,479.
		Less: allowance for doubtful accounts				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10 a	Investments - U.S. and state government obligations (attach schedule)		494,829.	503,264.	
	b	Investments - corporate stock (attach schedule)		7,944,445.	6,465,275.	6,313,901.
	c	Investments - corporate bonds (attach schedule)		11,873,753.	12,832,697.	12,983,988.
	Liabilities	11	Investments - land, buildings, and equipment basis			
		Less: accumulated depreciation (attach schedule)				
12		Investments - mortgage loans				
13		Investments - other (attach schedule)		8,026,180.	7,460,243.	7,494,477.
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)		29,413,974.	29,097,889.	29,140,475.
17		Accounts payable and accrued expenses				
18		Grants payable				
Net Assets or Fund Balances	19	Deferred revenue				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
Net Assets or Fund Balances	22	Other liabilities (describe)				
	23	Total liabilities (add lines 17 through 22)			0.	
		Foundations that follow SFAS 117, check here				
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.	X			
	27	Capital stock, trust principal, or current funds		29,413,974.	29,097,889.	
	28	Paid-in or capital surplus, or land, bldg, and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds		0.		
30	Total net assets or fund balances (see page 17 of the instructions)		29,413,974.	29,097,889.		
31	Total liabilities and net assets/fund balances (see page 17 of the instructions)		29,413,974.	29,097,889.		

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	29,413,974.
2	Enter amount from Part I, line 27a	2	-286,547.
3	Other increases not included in line 2 (itemize) ATTACHMENT 8	3	69,401.
4	Add lines 1, 2, and 3	4	29,196,828.
5	Decreases not included in line 2 (itemize) ATTACHMENT 9	5	98,939.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	29,097,889.

Form 990-PF (2010)

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) F M V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))		
a					
b					
c					
d					
e					
2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }			2	85,887.	
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8.			3		

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2009	1,244,600.	27,439,662.	0.045358
2008	1,313,623.	23,633,447.	0.055583
2007	1,685,152.	30,132,923.	0.055924
2006	1,987,964.	33,565,056.	0.059227
2005	405,470.	10,191,424.	0.039785
2 Total of line 1, column (d)			2 0.255877
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 0.051175
4 Enter the net value of noncharitable-use assets for 2010 from Part X, line 5			4 29,639,001.
5 Multiply line 4 by line 3			5 1,516,776.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 2,555.
7 Add lines 5 and 6			7 1,519,331.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions on page 18			8 1,171,925.

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

1 a 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	5,110.
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	5,110.
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	5,110.
6 Credits/Payments			
a 2010 estimated tax payments and 2009 overpayment credited to 2010	6a	5,404.	
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	5,404.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	294.	
11 Enter the amount of line 10 to be: Credited to 2011 estimated tax ☐ 294. Refunded ☐	11		

Part VII-A Statements Regarding Activities

	Yes	No
1 a 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
4 a 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	
8 a Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ☐ NH,		
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 ATTACHMENT 9A	X	

Form 990-PF (2010)

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 JAMES PUTNAM Telephone no. 603-352-2448			
	Located at 20 CENTRAL SQUARE KEENE, NH ZIP + 4 03431			
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? See page 20 of the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ▶	16	Yes	No

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly):		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes ☒ No	
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes ☒ No	
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes ☒ No	
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes ☒ No	
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes ☒ No	
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days)	☐ Yes ☒ No	
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 22 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here. ▶	1b	X
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? If "Yes," list the years ▶	☐ Yes ☒ No	
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	
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	
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

Form 990-PF (2010)

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)?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?

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?

5b 6b 7b X

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
JAMES PUTNAM KEENE, NH 03431	TRUSTEE/PT	0.	0.	0.
THOMAS P. PUTNAM KEENE, NH 03431	TRUSTEE/PT	0.	0.	0.

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

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

Total number of other employees paid over \$50,000 ☐

Form 990-PF (2010)

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 N/A	
2	
3	
4	

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

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

	Amount
1 NONE	
2	
All other program-related investments See page 24 of the instructions	
3 NONE	
Total. Add lines 1 through 3	

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes.		
a	Average monthly fair market value of securities	1a	
b	Average of monthly cash balances	1b	20,073,259.
c	Fair market value of all other assets (see page 25 of the instructions)	1c	10,017,097.
d	Total (add lines 1a, b, and c)	1d	30,090,356.
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	30,090,356.
4	Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see page 25 of the instructions)	4	451,355.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	29,639,001.
6	Minimum investment return. Enter 5% of line 5	6	1,481,950.

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	1,481,950.
2a	Tax on investment income for 2010 from Part VI, line 5	2a	5,110.
b	Income tax for 2010 (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	5,110.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,476,840.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	1,476,840.
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	1,476,840.

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	1,171,925.
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	1,171,925.
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	N/A
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,171,925.

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				1,476,840.
2 Undistributed income, if any, as of the end of 2010				
a Enter amount for 2009 only				
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	533,512.			
c From 2007	192,780.			
d From 2008	142,271.			
e From 2009				
f Total of lines 3a through e	868,563.			
4 Qualifying distributions for 2010 from Part XII, line 4: ► \$ 1,171,925.				
a Applied to 2009, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see page 26 of the instructions)				
c Treated as distributions out of corpus (Election required - see page 26 of the instructions)	166,373.			
d Applied to 2010 distributable amount	0.			1,005,552.
e Remaining amount distributed out of corpus	471,288.			471,288.
5 Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e. Subtract line 5	563,648.			
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.				
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	563,648.			
10 Analysis of line 9.				
a Excess from 2006	228,597.			
b Excess from 2007	192,780.			
c Excess from 2008	142,271.			
d Excess from 2009				
e Excess from 2010				

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))

N/A

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

N/A

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

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

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

ATTACHMENT 10

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

ATTACHMENT 11

c Any submission deadlines

N/A

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

ATTACHMENT 12

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year SEE STATEMENT B				1,171,925.
Total			▶ 3a	1,171,925.
b Approved for future payment				
Total			▶ 3b	

Schedule of Contributors

OMB No 1545-0047

▶ Attach to Form 990, 990-EZ, or 990-PF.

2010

Name of the organization

PUTNAM FOUNDATION

Employer identification number

02-6011388

Organization type (check one):

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions

General Rule

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

Special Rules

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3 % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, aggregate contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not aggregate to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$

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

Name of organization PUTNAM FOUNDATION

Employer identification number
02-6011388**Part I Contributors** (see instructions)

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	LOUISA PUTNAM 2930 FUEGO SAGRADO SANTA FE, NM 87505	\$ 10,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
2	LOUISA PUTNAM 2930 FUEGO SAGRADO SANTA FE, NM 87505	\$ 11,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
3	THE ESTATE OF ROSAMOND PUTNAM PO BOX 323 KEENE, NH 03431	\$ 620,773.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)

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

Kind of Property		Description				P or D	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 LONG-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS					100,089.	
		TOTAL CAPITAL GAIN DISTRIBUTIONS					6,183.	
1,092,101.		BNY MELLON PINNACLE 1,016,119.					VARIOUS 75,982.	VARIOUS
1,015,795.		BNY MELLON SNOW 859,758.					VARIOUS 156,037.	VARIOUS
254,362.		BNY MELLON WALTHAUSEN 230,861.					VARIOUS 23,501.	VARIOUS
24,830.		BNY MELLON BRECKINRIDGE 25,168.					VARIOUS -338.	VARIOUS
2,361,880.		BNY MELLON MUTUAL FUND/CASH 2,746,834.					VARIOUS -384,954.	VARIOUS
86,019.		BNY MELLON PINNACLE 72,057.					VARIOUS 13,962.	VARIOUS
469,327.		BNY MELLON SNOW 506,509.					VARIOUS -37,182.	VARIOUS
981,680.		BNY MELLON WALTHAUSEN 856,437.					VARIOUS 125,243.	VARIOUS
4,548,941.		BNY MELLON MUTUAL FUND/CASH 4,541,577.					VARIOUS 7,364.	VARIOUS
TOTAL GAIN(LOSS)							<u>85,887.</u>	

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

<u>DESCRIPTION</u>	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
DIVIDENDS AND INTEREST FROM SECURITIES	315,098.	315,098.
TOTAL	<u>315,098.</u>	<u>315,098.</u>

ATTACHMENT 2

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
SANDERSON ASSET MANAGEMENT	50,535.	50,535.
HIGHCLERE INTERNATIONAL INVESTORS	22,781.	22,781.
BRECKINRIDGE ACCRETION/AMORTIZATION	-1,533.	-1,533.
TOTALS	<u>71,783.</u>	<u>71,783.</u>

ATTACHMENT 3

FORM 990PF, PART I - LEGAL 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>
LEGAL FEES	408.			
TOTALS	<u>408.</u>	<u>0.</u>	<u>0.</u>	<u>0.</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>
ACCOUNTING FEES	6,500.			
TOTALS	<u>6,500.</u>	<u>0.</u>	<u>0.</u>	<u>0.</u>

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
INVESTMENT MANAGEMENT FEES	131,907.	131,907.
CONSULTING FEES	35,126.	35,126.
TOTALS	167,033.	167,033.

ATTACHMENT 6FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>
FEDERAL	5,000.
TOTALS	<u>5,000.</u>

ATTACHMENT 7

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
BANK CHARGES	157.	157.
MEMBERSHIP DUES	500.	500.
MEALS	231.	231.
TELEPHONE	258.	258.
SUPPLIES	171.	171.
BOOKKEEPING	38,962.	38,962.
FILING FEES	75.	75.
POSTAGE	71.	71.
TOTALS	<u>40,425.</u>	<u>40,425.</u>

ATTACHMENT 8FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
OUTSTANDING CHECKS AT EOY	69,401.
TOTAL	<u>69,401.</u>

ATTACHMENT 9FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCESDESCRIPTIONAMOUNT

OUTSTANDING CHECKS AT BOY
UNREALIZED GAIN/LOSS

11,500.

87,439.

TOTAL

98,939.

PUTNAM FOUNDATION

02-6011388

FORM 990PF, PART VII-A, LINE 10 - NEW SUBSTANTIAL CONTRIBUTORS

ATTACHMENT 10

<u>NAME AND ADDRESS</u>	<u>DATE</u>	<u>DIRECT PUBLIC SUPPORT</u>
LOUISA PUTNAM 2930 FUEGO SAGRADO SANTA FE, NM 87505	12/23/2010	10,000.
LOUISA PUTNAM 2930 FUEGO SAGRADO SANTA FE, NM 87505	02/24/2011	11,000.
THE ESTATE OF ROSAMOND PUTNAM PO BOX 323 KEENE, NH 03431	10/07/2011	620,773.
TOTAL CONTRIBUTION AMOUNTS		<u>641,773.</u>

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

JAMES PUTNAM, PUTNAM FOUNDATION
PO BOX 323, 20 CENTRAL SQ, 2ND FL
KEENE, NH 03431
603-352-2448

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

LETTER STATING THE PROPOSED USE OF THE FUNDS REQUESTED AND RELEVANT
FACTS AND INFORMATION.

990PF, PART XV - RESTRICTIONS OR LIMITATIONS ON AWARDS

LIMITED TO THE HISTORICAL PRESERVATION, CULTURAL ENHANCEMENT,
ECOLOGICAL MAINTENANCE AND CERTAIN OTHER.

PUTNAM FOUNDATION

02-6011388

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

ATTACHMENT 13

DESCRIPTION	BUSINESS CODE	AMOUNT	EXCLUSION CODE	RELATED OR EXEMPT FUNCTION INCOME	
				AMOUNT	
SANDERSON ASSET MANAGEMENT			18	50,535.	
HIGHCLERE INTERNATIONAL INVESTORS			18	22,781.	
BRECKINRIDGE ACCRECTION/AMORIZATION			18	-1,533.	
TOTALS				<u>71,783.</u>	

**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

PUTNAM FOUNDATION

Employer identification number

02-6011388

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	109,387.
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	109,387.

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	-129,772.
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	100,089.
9 Capital gain distributions	9	6,183.
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	-23,500.

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

Schedule D (Form 1041) 2010

Part III Summary of Parts I and II		(1) Beneficiaries' (see instr)	(2) Estate's or trust's	(3) Total
Caution: Read the instructions before completing this part.				
13	Net short-term gain or (loss)	13		109,387.
14	Net long-term gain or (loss):			
a	Total for year	14a		-23,500.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht.)	14b		
c	28% rate gain	14c		
15	Total net gain or (loss). Combine lines 13 and 14a ▶	15		85,887.

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: a The loss on line 15, column (3) or b \$3,000
16	()

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

PUTNAM FOUNDATION

Employer identification number

02-6011388

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	109,387.
---	----------

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

Schedule D-1 (Form 1041) 2010

JSA

0F1221 1 000

TF4304 U468 3/7/2012 5:55:32 PM V 10-8.3



BNY MELLON

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

PF MUTUAL FUND/CASH - P19F90000002

Original Acquisition's Trade Date of Sale/		Shares Sold		Cost		Amount		Realized	
Trade Date/ Reported Date	Posted Date	Description	Tax Lot ID	Base	Base	Base	Base	Gain/Loss	Base
LONG									
11/6/2007	12/29/2010	T ROWE PRICE INSTITUTIONAL	-39,537 713	-662,652.07	650,000.00			-12,652.07	
12/29/2010	12/30/2010	LARGE-CAP GROWTH FUND	08354000130A						
		SEC ID: 45775L408							
11/6/2007	6/1/2011	T ROWE PRICE INSTITUTIONAL	-14,602.804	-244,742.99	250,000.00			5,257.01	
6/1/2011	6/2/2011	LARGE-CAP GROWTH FUND	08354000130A						
		SEC ID: 45775L408							
11/6/2007	12/29/2010	MAINSTAY INTERNATIONAL EQUITY	-61,737.138	-1,116,207.45	771,096.86			-345,110.59	
12/29/2010	12/30/2010	FUND I	08354000230A						
		SEC ID: 56062X807							
12/7/2007	12/29/2010	MAINSTAY INTERNATIONAL EQUITY	-22,552.825	-362,423.89	281,684.78			-80,739.11	
12/29/2010	12/30/2010	FUND I	08354000250A						
		SEC ID: 56062X807							
12/12/2007	12/29/2010	MAINSTAY INTERNATIONAL EQUITY	-2,150.441	-34,170.51	26,859.01			-7,311.50	
12/29/2010	12/30/2010	FUND I	08354000240A						
		SEC ID: 56062X807							
12/14/2009	12/29/2010	MAINSTAY INTERNATIONAL EQUITY	-8,149.448	-100,075.22	101,786.61			1,711.39	
12/29/2010	12/30/2010	FUND I	09350000010C						
		SEC ID: 56062X807							
12/11/2008	12/29/2010	MAINSTAY INTERNATIONAL EQUITY	-22,454.147	-226,562.34	280,452.29			53,889.95	
12/29/2010	12/30/2010	FUND I	08350000010C						
		SEC ID: 56062X807							
TOTAL LONG:				-171,184.516	-2,746,834.47	2,361,879.55		-384,954.92	
SHORT									
9/27/2010	6/1/2011	DODGE & COX INCOME FUND	-3,725.663	-49,774.86	50,669.02			894.16	
6/1/2011	6/2/2011	SEC ID: 256210105	10272000070C						
1/28/2011	6/1/2011	DODGE & COX INCOME FUND	-14,656.690	-194,787.41	199,330.98			4,543.57	
6/1/2011	6/2/2011	SEC ID: 256210105	11031000030C						
12/13/2010	12/29/2010	MAINSTAY INTERNATIONAL EQUITY	-3,918.433	-48,549.38	48,941.23			391.85	
12/29/2010	12/30/2010	FUND I	10349000030C						
		SEC ID: 56062X807							
10/29/2010	6/1/2011	VANGUARD SHORT-TERM BOND	-206.220	-2,214.80	2,196.24			-18.56	
6/1/2011	6/2/2011	INDEX FUND SIGNAL	10305000010C						
9/30/2010	6/1/2011	SEC ID: 921937850	-315.700	-3,381.15	3,362.21			-18.94	
6/1/2011	6/2/2011	VANGUARD SHORT-TERM BOND	10274000010C						
		INDEX FUND SIGNAL							
11/30/2010	6/1/2011	SEC ID: 921937850	-199.538	-2,131.07	2,125.08			-5.99	
6/1/2011	6/2/2011	VANGUARD SHORT-TERM BOND	10335000010C						
		INDEX FUND SIGNAL							
5/31/2011	6/1/2011	SEC ID: 921937850	-297.710	-3,164.66	3,170.61			5.95	
6/1/2011	6/2/2011	VANGUARD SHORT-TERM BOND	11152000010C						
		INDEX FUND SIGNAL							
		SEC ID: 921937850							



BNY MELLON

PF MUTUAL FUND/CASH - P19F90000002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date/ Reported Date	Trade Date of Sale/ Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
4/29/2011 6/1/2011	6/1/2011 6/2/2011	VANGUARD SHORT-TERM BOND INDEX FUND SIGNAL SEC ID 921937850	-291.820 11122000010C	-3,087.46	3,107.88	20.42
1/28/2011 6/1/2011	6/1/2011 6/2/2011	VANGUARD SHORT-TERM BOND INDEX FUND SIGNAL SEC ID 921937850	-22,163.190 110310000070C	-234,486.55	236,037.98	1,551.43
12/29/2010 12/29/2010	12/29/2010 12/30/2010	COMMIT TO PUR MUTUAL FD SEC ID 9999999A5	-600,000.000 10363000010C	-600,000.00	600,000.00	0.00
12/30/2010 12/30/2010	12/30/2010 12/31/2010	COMMIT TO PUR MUTUAL FD SEC ID 9999999A5	-2,150,000.000 10364000110C	-2,150,000.00	2,150,000.00	0.00
1/28/2011 1/28/2011	1/28/2011 1/31/2011	COMMIT TO PUR MUTUAL FD SEC ID 9999999A5	-625,000.000 11028000010C	-625,000.00	625,000.00	0.00
1/28/2011 1/28/2011	1/28/2011 1/31/2011	COMMIT TO PUR MUTUAL FD SEC ID 9999999A5	-625,000.000 11028000020C	-625,000.00	625,000.00	0.00
TOTAL SHORT:			-4,045,774.964	-4,541,577.34	4,548,941.23	7,363.89
TOTAL LOT DISPOSITION:			-4,216,959.480	-7,288,411.81	6,910,820.78	-377,591.03



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
LONG						
5/16/2008	12/20/2010	LAZARD LTD SHS -A-	-150 000	-5,598 75	5,821 40	222 65
12/20/2010	12/21/2010	SEC ID: G54050102	08318000020L			
5/16/2008	3/24/2011	LAZARD LTD SHS -A-	-100 000	-3,732 50	4,235 91	503 41
3/24/2011	3/25/2011	SEC ID: G54050102	08318000020L			
8/13/2009	12/20/2010	ORIENT EXPRESS HOTELS LTD CL A	-700 000	-7,562 03	8,728 85	1,166.82
12/20/2010	12/21/2010	SHS	09226000010C			
8/13/2009	3/24/2011	SEC ID: G67743107	-50 000	-540.15	615 49	75 34
3/24/2011	3/25/2011	ORIENT EXPRESS HOTELS LTD CL A	09226000010C			
1/14/2010	3/24/2011	SEC ID: G67743107	-150 000	-1,613 85	1,846 46	232 61
3/24/2011	3/25/2011	ORIENT EXPRESS HOTELS LTD CL A	10015000020C			
1/14/2010	6/1/2011	SEC ID: G67743107	-100 000	-1,075 90	1,112 98	37.08
6/1/2011	6/2/2011	ORIENT EXPRESS HOTELS LTD CL A	10015000020C			
1/6/2009	12/20/2010	SEC ID: G67743107	-300 000	-4,515 42	12,740 78	8,225 36
12/20/2010	12/21/2010	ROYAL CARIBBEAN CRUISES LTD	09007000010C			
1/6/2009	6/1/2011	SEC ID: V7780T103	-100 000	-1,505 14	3,748.92	2,243 78
6/1/2011	6/2/2011	ROYAL CARIBBEAN CRUISES LTD	09007000010C			
10/9/2007	7/18/2011	AMC NETWORKS INC	-0 500	-15.47	18.56	3 09
7/18/2011	7/19/2011	SEC ID: 00164V103	11182000070F			
4/4/2008	12/20/2010	AMR CORP	-650 000	-6,279 39	5,069.91	-1,209 48
12/20/2010	12/21/2010	SEC ID: 001765106	08318000060L			
4/4/2008	6/1/2011	AMR CORP	-250 000	-2,415 15	1,524 97	-890 18
6/1/2011	6/2/2011	SEC ID: 001765106	08318000060L			
4/4/2008	6/30/2011	AMR CORP	-400 000	-3,864 24	2,152 00	-1,712 24
6/30/2011	7/1/2011	SEC ID: 001765106	08318000060L			
4/14/2008	6/30/2011	AMR CORP	-100 000	-941 06	538 00	-403 06
6/30/2011	7/1/2011	SEC ID: 001765106	08318000070L			
4/14/2008	7/1/2011	AMR CORP	-1,300 000	-12,233.78	7,050 02	-5,183.76
7/1/2011	7/5/2011	SEC ID: 001765106	08318000070L			
7/23/2008	12/20/2010	ARRIS GROUP INC	-500 000	-4,440 85	5,539.90	1,099 05
12/20/2010	12/21/2010	SEC ID: 04269Q100	08318000080L			
7/23/2008	3/24/2011	ARRIS GROUP INC	-150 000	-1,332 26	1,840 46	508.20
3/24/2011	3/25/2011	SEC ID: 04269Q100	08318000080L			
7/23/2008	6/1/2011	ARRIS GROUP INC	-100 000	-888.17	1,105 97	217 80
6/1/2011	6/2/2011	SEC ID: 04269Q100	08318000080L			
10/9/2007	12/20/2010	ATMEL CORP	-2,000 000	-10,558 80	24,119 59	13,560 79
12/20/2010	12/21/2010	SEC ID: 049513104	08318000130L			



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions
by Reported Date
11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/Posted Date				Description		Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
10/9/2007	3/24/2011			ATMEL CORP		-450 000	-2,375 73	5,881.38	3,505 65
3/24/2011	3/25/2011			SEC ID: 049513104		08318000130L			
10/9/2007	6/1/2011			ATMEL CORP		-550 000	-2,903 67	8,131.59	5,227 92
6/1/2011	6/2/2011			SEC ID: 049513104		08318000130L			
10/9/2007	12/20/2010			AVNET INC		-350.000	-15,119 30	11,514 80	-3,604 50
12/20/2010	12/21/2010			SEC ID: 053807103		08318000150L			
10/9/2007	3/24/2011			AVNET INC		-100 000	-4,319 80	3,315 93	-1,003.87
3/24/2011	3/25/2011			SEC ID: 053807103		08318000150L			
10/9/2007	6/1/2011			AVNET INC		-100.000	-4,319.80	3,512 93	-806.87
6/1/2011	6/2/2011			SEC ID: 053807103		08318000150L			
4/29/2010	6/1/2011			BAKER HUGHES INC		-50.000	-2,979 61	3,630.93	651 32
6/1/2011	6/2/2011			SEC ID: 057224107		10119000020A			
9/17/2009	7/18/2011			BANK OF MONTREAL		-0.545	-36.85	34.81	-2 04
7/18/2011	7/19/2011			SEC ID: 063671101		11187000060F			
9/17/2009	8/31/2011			BANK OF MONTREAL		-18.310	-1,237.97	1,144 71	-93 26
8/31/2011	9/1/2011			SEC ID: 063671101		11187000060F			
3/26/2010	8/31/2011			BANK OF MONTREAL		-113 130	-7,265 16	7,072.71	-192 45
8/31/2011	9/1/2011			SEC ID: 063671101		11187000080F			
9/30/2009	8/31/2011			BANK OF MONTREAL		-100 560	-6,425.76	6,286.85	-138 91
8/31/2011	9/1/2011			SEC ID: 063671101		11187000070F			
6/24/2008	12/20/2010			BILL BARRETT CORP		-100 000	-5,801 42	3,945.93	-1,855 49
12/20/2010	12/21/2010			SEC ID: 06846N104		08318000200L			
6/24/2008	3/24/2011			BILL BARRETT CORP		-50 000	-2,900 71	1,869.46	-1,031 25
3/24/2011	3/25/2011			SEC ID: 06846N104		08318000200L			
8/28/2008	12/20/2010			BELO CORP		-600 000	-4,492 86	4,139 92	-352 94
12/20/2010	12/21/2010			SEC ID: 080555105		08318000220L			
8/28/2008	3/24/2011			BELO CORP		-150.000	-1,123 22	1,127 97	4 75
3/24/2011	3/25/2011			SEC ID: 080555105		08318000220L			
10/9/2007	12/20/2010			BROOKS AUTOMATION INC		-350.000	-5,116.76	3,230.44	-1,886 32
12/20/2010	12/21/2010			SEC ID: 114340102		08318000230L			
10/9/2007	3/24/2011			BROOKS AUTOMATION INC		-100 000	-1,461.93	1,276 97	-184 96
3/24/2011	3/25/2011			SEC ID: 114340102		08318000230L			
10/9/2007	6/1/2011			BROOKS AUTOMATION INC		-100.000	-1,461 93	1,113 97	-347 96
6/1/2011	6/2/2011			SEC ID: 114340102		08318000230L			
10/9/2007	12/20/2010			BUCYRUS INTERNATIONAL INC		-250.000	-9,512 75	22,347.12	12,834.37
12/20/2010	12/21/2010			SEC ID: 118759109		08318000240L			
10/9/2007	1/7/2011			BUCYRUS INTERNATIONAL INC		-300.000	-11,415 30	26,982.44	15,567 14
1/7/2011	1/10/2011			SEC ID: 118759109		08318000240L			
10/9/2007	3/4/2011			BUCYRUS INTERNATIONAL INC		-300.000	-11,415.30	27,254.77	15,839 47
3/4/2011	3/7/2011			SEC ID: 118759109		08318000240L			



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions by Reported Date 11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
4/24/2009	4/26/2011	BUCYRUS INTERNATIONAL INC	-300.000	-6,057.63	27,404.56	21,346.93
4/26/2011	4/27/2011	SEC ID: 118759109	09117000010C			
10/9/2007	12/20/2010	CAE INC	-750.000	-10,347.23	8,499.83	-1,847.40
12/20/2010	12/21/2010	SEC ID: 124765108	08318000250L			
10/9/2007	3/24/2011	CAE INC	-150.000	-2,069.44	1,916.96	-152.48
3/24/2011	3/25/2011	SEC ID: 124765108	08318000250L			
10/9/2007	6/1/2011	CAE INC	-200.000	-2,759.26	2,564.95	-194.31
6/1/2011	6/2/2011	SEC ID: 124765108	08318000250L			
10/9/2007	12/20/2010	CABLEVISION SYSTEMS CORP	-350.000	-9,871.18	12,022.29	2,151.11
12/20/2010	12/21/2010	SEC ID: 12686C109	08318000270L			
10/9/2007	3/24/2011	CABLEVISION SYSTEMS CORP	-100.000	-2,820.34	3,489.93	669.59
3/24/2011	3/25/2011	SEC ID: 12686C109	08318000270L			
10/9/2007	6/1/2011	CABLEVISION SYSTEMS CORP	-100.000	-2,820.33	3,494.93	674.60
6/1/2011	6/2/2011	SEC ID: 12686C109	08318000270L			
10/9/2007	12/20/2010	CAMECO CORP	-400.000	-17,438.40	15,841.73	-1,596.67
12/20/2010	12/21/2010	SEC ID: 13321L108	08318000290L			
10/9/2007	3/24/2011	CAMECO CORP	-100.000	-4,359.60	3,106.94	-1,252.66
3/24/2011	3/25/2011	SEC ID: 13321L108	08318000290L			
10/9/2007	6/1/2011	CAMECO CORP	-150.000	-6,539.40	4,226.91	-2,312.49
6/1/2011	6/2/2011	SEC ID: 13321L108	08318000290L			
10/10/2007	12/20/2010	CINCINNATI BELL INC	-1,400.000	-7,088.06	3,233.94	-3,854.12
12/20/2010	12/21/2010	SEC ID: 171871106	08318000340L			
10/10/2007	6/1/2011	CINCINNATI BELL INC	-750.000	-3,797.18	2,234.95	-1,562.23
6/1/2011	6/2/2011	SEC ID: 171871106	08318000340L			
10/9/2007	12/20/2010	COGNEX CORP	-150.000	-2,848.50	4,711.42	1,862.92
12/20/2010	12/21/2010	SEC ID: 192422103	08318000360L			
10/9/2007	3/24/2011	COGNEX CORP	-50.000	-949.50	1,372.47	422.97
3/24/2011	3/25/2011	SEC ID: 192422103	08318000360L			
10/9/2007	12/20/2010	CROWN MEDIA HOLDINGS INC	-300.000	-2,402.79	800.98	-1,601.81
12/20/2010	12/21/2010	SEC ID: 228411104	08318000370L			
10/9/2007	3/24/2011	CROWN MEDIA HOLDINGS INC	-1,100.000	-8,810.23	2,496.95	-6,313.28
3/24/2011	3/25/2011	SEC ID: 228411104	08318000370L			
10/10/2007	12/20/2010	CUMMINS INC	-200.000	-13,851.00	21,823.65	7,972.65
12/20/2010	12/21/2010	SEC ID: 231021106	08318000390L			
10/10/2007	3/24/2011	CUMMINS INC	-50.000	-3,462.75	5,166.40	1,703.65
3/24/2011	3/25/2011	SEC ID: 231021106	08318000390L			
10/10/2007	6/1/2011	CUMMINS INC	-50.000	-3,462.75	5,095.90	1,633.15
6/1/2011	6/2/2011	SEC ID: 231021106	08318000390L			
10/13/2008	12/20/2010	DIEBOLD INC	-100.000	-2,528.90	3,144.94	616.04
12/20/2010	12/21/2010	SEC ID: 253651103	08318000400L			



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
10/13/2008	3/24/2011	DIEBOLD INC	-50 000	-1,264 45	1,746 46	482 01
3/24/2011	3/25/2011	SEC ID: 253651103	08318000400L			
10/13/2008	6/1/2011	DIEBOLD INC	-50 000	-1,264 45	1,625 96	361 51
6/1/2011	6/2/2011	SEC ID: 253651103	08318000400L			
10/9/2007	12/20/2010	DISCOVERY COMMUNICATIONS INC	-400 000	-11,681 84	16,927 71	5,245 87
12/20/2010	12/21/2010	SEC ID: 25470F104	08318000420L			
10/10/2007	12/20/2010	DISCOVERY COMMUNICATIONS INC	-400 000	-11,607 40	16,927 71	5,320 31
12/20/2010	12/21/2010	SEC ID: 25470F104	08318000430L			
7/10/2008	12/20/2010	DISCOVERY COMMUNICATIONS INC	-225 000	-4,650 93	9,521 84	4,870 91
12/20/2010	12/21/2010	SEC ID: 25470F104	08318000410L			
10/9/2007	12/20/2010	FLUSHING FINANCIAL CORP	-200 000	-3,486 40	2,801 45	-684 95
12/20/2010	12/21/2010	SEC ID: 343873105	08318000470L			
10/9/2007	3/24/2011	FLUSHING FINANCIAL CORP	-100 000	-1,743 20	1,447 97	-295 23
3/24/2011	3/25/2011	SEC ID: 343873105	08318000470L			
10/9/2007	6/1/2011	FLUSHING FINANCIAL CORP	-100 000	-1,743 20	1,310 82	-432 38
6/1/2011	6/2/2011	SEC ID: 343873105	08318000470L			
10/10/2007	12/20/2010	GILEAD SCIENCES INC	-200 000	-8,391 70	7,423 87	-967 83
12/20/2010	12/21/2010	SEC ID: 375558103	08318000500L			
10/10/2007	4/21/2011	GILEAD SCIENCES INC	-50 000	-2,097 93	1,963 95	-133 98
4/21/2011	4/22/2011	SEC ID: 375558103	08318000500L			
10/9/2007	4/21/2011	GILEAD SCIENCES INC	-200 000	-8,348 00	7,855 81	-492 19
4/21/2011	4/22/2011	SEC ID: 375558103	08318000490L			
10/9/2007	5/2/2011	GILEAD SCIENCES INC	-500 000	-20,870 00	20,103 01	-766 99
5/2/2011	5/3/2011	SEC ID: 375558103	08318000490L			
10/9/2007	12/20/2010	GOODRICH CORP	-150 000	-10,360 77	13,130 77	2,770 00
12/20/2010	12/21/2010	SEC ID: 382388106	08318000510L			
10/9/2007	6/1/2011	GOODRICH CORP	-50 000	-3,453 59	4,300 91	847 32
6/1/2011	6/2/2011	SEC ID: 382388106	08318000510L			
5/12/2009	12/20/2010	GOODRICH PETROLEUM CORP	-250 000	-6,439 32	4,297 42	-2,141 90
12/20/2010	12/21/2010	SEC ID: 382410405	09133000060C			
5/12/2009	6/1/2011	GOODRICH PETROLEUM CORP	-50 000	-1,287 87	967 98	-319 89
6/1/2011	6/2/2011	SEC ID: 382410405	09133000060C			
5/5/2009	6/1/2011	GOODRICH PETROLEUM CORP	-50 000	-1,260 96	967 98	-292 98
6/1/2011	6/2/2011	SEC ID: 382410405	09126000020C			
5/5/2009	10/27/2011	GOODRICH PETROLEUM CORP	-350 000	-8,826 68	5,979 00	-2,847 68
10/27/2011	10/28/2011	SEC ID: 382410405	09126000020C			
11/16/2009	10/27/2011	GOODRICH PETROLEUM CORP	-550 000	-12,896 46	9,395 58	-3,500 88
10/27/2011	10/28/2011	SEC ID: 382410405	09321000010C			
10/31/2007	12/20/2010	HARMONIC INC	-800 000	-9,600 00	6,999 88	-2,600 12
12/20/2010	12/21/2010	SEC ID: 413160102	08318000550L			

2/29/2012

12:46 40PM

EST



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/				Shares Sold		Cost		Amount		Realized	
Reported Date	Posted Date	Description	Tax Lot ID	Base	Base	Base	Base	Base	Base	Gain/Loss	Base
10/10/2007	12/20/2010	HARMONIC INC		-2,911.60	2,187.46	-250.000		-2,911.60	2,187.46	-724.14	
12/20/2010	12/21/2010	SEC ID: 413160102	08318000540L			-300.000		-3,493.92	2,666.94	-826.98	
10/10/2007	3/24/2011	HARMONIC INC				-250.000		-2,911.60	1,869.96	-1,041.64	
3/24/2011	3/25/2011	SEC ID: 413160102	08318000540L			-100.000		-3,865.17	2,842.40	-1,022.77	
10/10/2007	6/1/2011	HARMONIC INC				-50.000		-1,932.59	1,302.97	-629.62	
6/1/2011	6/2/2011	SEC ID: 413160102	08318000570L			-50.000		-1,932.58	1,030.98	-901.60	
10/9/2007	12/20/2010	HEIDRICK & STRUGGLES INTERNATI				-400.000		-15,460.68	8,571.43	-6,889.25	
12/20/2010	12/21/2010	SEC ID: 422819102	08318000570L			-250.000		-8,149.80	12,134.79	3,984.99	
10/9/2007	3/24/2011	HEIDRICK & STRUGGLES INTERNATI				-50.000		-1,629.96	3,199.43	1,569.47	
3/24/2011	3/25/2011	SEC ID: 422819102	08318000580L			-50.000		-1,629.96	3,143.43	1,513.47	
10/9/2007	6/1/2011	HEIDRICK & STRUGGLES INTERNATI				-350.000		-9,465.30	6,289.39	-3,175.91	
6/1/2011	6/2/2011	SEC ID: 423452101	08318000600L			-50.000		-1,352.18	952.48	-399.70	
12/7/2007	12/20/2010	HEXCEL CORP				-100.000		-2,329.92	1,904.96	-424.96	
12/20/2010	12/21/2010	SEC ID: 428291108	08318000590L			-100.000		-2,329.92	1,998.96	-330.96	
12/7/2007	3/24/2011	HEXCEL CORP				-100.000		-1,637.40	2,977.94	1,340.54	
3/24/2011	3/25/2011	SEC ID: 428291108	08318000590L			-50.000		-818.70	1,494.97	676.27	
10/9/2007	6/1/2011	HEXCEL CORP				-50.000		-818.70	1,852.46	1,033.76	
6/1/2011	6/2/2011	SEC ID: 428291108	0916600070C			-200.000		-1,619.52	2,363.95	744.43	
6/12/2009	12/20/2010	IAC/INTERACTIVECORP				-350.000		-8,756.41	4,521.92	-4,234.49	
12/20/2010	12/21/2010	SEC ID: 44919P508	10130000060C			-200.000		-5,003.66	2,371.95	-2,631.71	
6/12/2009	3/24/2011	IAC/INTERACTIVECORP				-50.000					
3/24/2011	3/25/2011	SEC ID: 44919P508	0916600070C								
6/12/2009	6/1/2011	IAC/INTERACTIVECORP									
6/1/2011	6/2/2011	SEC ID: 44919P508	0916600070C								
5/7/2010	6/1/2011	IMMUNOGEN INC									
6/1/2011	6/2/2011	SEC ID: 45253H101	10130000060C								
10/9/2007	12/20/2010	INTERMEC INC									
12/20/2010	12/21/2010	SEC ID: 458786100	08318000640L								
10/9/2007	6/1/2011	INTERMEC INC									
6/1/2011	6/2/2011	SEC ID: 458786100	08318000640L								



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/		Date		Description	Shares Sold Tax Lot ID	Cost		Amount		Realized	
Reported Date	Posted	Date	Date			Base	Base	Base	Base	Gain/Loss	Base
10/9/2007		12/20/2010		ION GEOPHYSICAL CORP SEC ID: 462044108	-500 000	-7,684.40	4,074.93			-3,609.47	
12/20/2010		12/21/2010			08318000650L						
10/9/2007		3/24/2011		ION GEOPHYSICAL CORP SEC ID: 462044108	-150 000	-2,305.32	1,900.46			-404.86	
3/24/2011		3/25/2011			08318000650L						
10/9/2007		6/1/2011		ION GEOPHYSICAL CORP SEC ID: 462044108	-150 000	-2,305.32	1,408.47			-896.85	
6/1/2011		6/2/2011			08318000650L						
10/9/2007		12/20/2010		ISIS PHARMACEUTICALS INC SEC ID: 464330109	-500 000	-8,275.00	5,114.91			-3,160.09	
12/20/2010		12/21/2010			08318000660L						
10/9/2007		3/24/2011		ISIS PHARMACEUTICALS INC SEC ID: 464330109	-150 000	-2,482.50	1,303.47			-1,179.03	
3/24/2011		3/25/2011			08318000660L						
10/9/2007		6/1/2011		ISIS PHARMACEUTICALS INC SEC ID: 464330109	-150 000	-2,482.50	1,360.47			-1,122.03	
6/1/2011		6/2/2011			08318000660L						
1/16/2009		12/20/2010		KANSAS CITY SOUTHERN SEC ID: 485170302	-150 000	-2,670.35	7,123.37			4,453.02	
12/20/2010		12/21/2010			09021000020C						
1/16/2009		3/24/2011		KANSAS CITY SOUTHERN SEC ID: 485170302	-50 000	-890.11	2,683.94			1,793.83	
3/24/2011		3/25/2011			09021000020C						
1/16/2009		6/1/2011		KANSAS CITY SOUTHERN SEC ID: 485170302	-50 000	-890.12	2,857.44			1,967.32	
6/1/2011		6/2/2011			09021000020C						
10/9/2007		11/3/2010		L-1 IDENTITY SOLUTIONS INC SEC ID: 50212A106	-350 000	-6,562.50	4,102.95			-2,459.55	
11/3/2010		11/4/2010			08318000690L						
1/20/2009		11/3/2010		L-1 IDENTITY SOLUTIONS INC SEC ID: 50212A106	-500 000	-3,324.35	5,861.35			2,537.00	
11/3/2010		11/4/2010			09021000030C						
5/8/2009		6/1/2011		LSI CORP SEC ID: 502161102	-100 000	-417.00	712.98			295.98	
6/1/2011		6/2/2011			09131000020C						
10/9/2007		12/20/2010		LAM RESEARCH CORP SEC ID: 512807108	-200 000	-10,692.00	10,405.82			-286.18	
12/20/2010		12/21/2010			08318000710L						
10/9/2007		3/24/2011		LAM RESEARCH CORP SEC ID: 512807108	-100 000	-5,346.00	5,413.39			67.39	
3/24/2011		3/25/2011			08318000710L						
10/9/2007		6/1/2011		LAM RESEARCH CORP SEC ID: 512807108	-50 000	-2,673.00	2,362.95			-310.05	
6/1/2011		6/2/2011			08318000710L						
4/17/2009		12/20/2010		LAS VEGAS SANDS CORP SEC ID: 517834107	-550 000	-2,711.06	26,047.55			23,336.49	
12/20/2010		12/21/2010			09110000020C						
4/17/2009		3/24/2011		LAS VEGAS SANDS CORP SEC ID: 517834107	-150 000	-739.38	6,227.88			5,488.50	
3/24/2011		3/25/2011			09110000020C						
4/17/2009		6/1/2011		LAS VEGAS SANDS CORP SEC ID: 517834107	-50 000	-246.46	2,125.46			1,879.00	
6/1/2011		6/2/2011			09110000020C						
4/8/2009		6/1/2011		LAS VEGAS SANDS CORP SEC ID: 517834107	-50 000	-202.60	2,125.45			1,922.85	
6/1/2011		6/2/2011			09099000010C						
4/17/2009		3/24/2011		LIBERTY MEDIA CORP - CAPITAL SEC ID: 53071M302	-50 000	-552.52	3,660.42			3,107.90	
3/24/2011		3/25/2011			09110000030C						

2/29/2012

12:46:40PM

EST



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
4/17/2009	6/1/2011	LIBERTY MEDIA CORP - CAPITAL SEC ID: 53071M302	-50.000 09110000030C	-552.52	4,507.91	3,955.39
6/1/2011	6/2/2011	LIN TV CORP SEC ID: 532774106	-500.000 08318000740L	-7,096.00	2,604.95	-4,491.05
10/10/2007	12/20/2010	LIN TV CORP SEC ID: 532774106	-50.000 08318000730L	-697.50	260.50	-437.00
10/9/2007	12/20/2010	LIN TV CORP SEC ID: 532774106	-300.000 08318000730L	-4,184.97	1,373.97	-2,811.00
10/9/2007	6/1/2011	LIN TV CORP SEC ID: 532774106	-300.000 08318000730L	-8,553.75	1,160.98	-7,392.77
12/20/2010	12/21/2010	LODGENET INTERACTIVE CORP SEC ID: 540211109	-100.000 10041000050F	-2,324.26	2,420.95	96.69
10/9/2007	12/20/2010	MADISON SQUARE GARDEN CO/THE SEC ID: 55826P100	-50.000 10041000050F	-1,162.13	1,361.47	199.34
12/20/2010	12/21/2010	MADISON SQUARE GARDEN CO/THE SEC ID: 55826P100	-500.000 09264000010C	-4,249.40	3,299.94	-949.46
10/9/2007	3/24/2011	MARSHALL & ILSLEY CORP SEC ID: 571837103	-150.000 09264000010C	-1,274.82	1,169.97	-104.85
3/24/2011	3/25/2011	MARSHALL & ILSLEY CORP SEC ID: 571837103	-200.000 08318000780L	-6,327.76	5,063.91	-1,263.85
10/9/2007	12/20/2010	MEADWESTVACO CORP SEC ID: 583334107	-50.000 08318000780L	-1,581.94	1,453.47	-128.47
12/20/2010	12/21/2010	MEADWESTVACO CORP SEC ID: 583334107	-50.000 08318000780L	-1,581.94	1,651.96	70.02
10/9/2007	3/24/2011	MEADWESTVACO CORP SEC ID: 583334107	-200.000 08318000810L	-11,490.00	13,511.77	2,021.77
3/24/2011	6/2/2011	MOSAIC CO/THE SEC ID: 61945A107	-50.000 11145000030F	-2,872.50	3,452.93	580.43
10/10/2007	12/20/2010	MOSAIC CO/THE SEC ID: 61945A107	-250.000 09211000050C	-6,986.70	5,729.90	-1,256.80
6/1/2011	6/2/2011	MYRIAD GENETICS INC SEC ID: 62855J104	-100.000 08318000820L	-2,778.79	2,291.96	-486.83
7/29/2009	12/20/2010	MYRIAD GENETICS INC SEC ID: 62855J104	-100.000 08318000820L	-2,778.79	1,931.96	-846.83
12/20/2010	12/21/2010	MYRIAD GENETICS INC SEC ID: 62855J104	-100.000 08318000820L	-2,778.79	2,514.95	-263.84
10/9/2007	3/24/2011	NOVELLUS SYSTEMS INC SEC ID: 670008101	-250.000 08318000850L	-6,977.30	8,129.86	1,152.56
12/20/2010	12/21/2010	NOVELLUS SYSTEMS INC SEC ID: 670008101	-100.000 08318000850L	-2,790.92	3,664.92	874.00



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
10/9/2007	6/1/2011	NOVELLUS SYSTEMS INC	-100 000	-2,790.92	3,636.93	846.01
6/1/2011	6/2/2011	SEC ID 670008101	08318000850L			
5/5/2010	6/1/2011	ONYX PHARMACEUTICALS INC	-50.000	-1,307.64	2,085.95	778.31
6/1/2011	6/2/2011	SEC ID: 683399109	10126000030C			
10/9/2007	12/20/2010	PDL BIOPHARMA INC	-450.000	-9,526.23	2,867.44	-6,658.79
12/20/2010	12/21/2010	SEC ID 69329Y104	08318000880L			
10/9/2007	6/1/2011	PDL BIOPHARMA INC	-250 000	-5,292.35	1,625.96	-3,666.39
6/1/2011	6/2/2011	SEC ID: 69329Y104	08318000880L			
10/9/2007	7/1/2011	PDL BIOPHARMA INC	-1,800 000	-38,104.92	10,515.40	-27,589.52
7/1/2011	7/6/2011	SEC ID: 69329Y104	08318000880L			
10/9/2007	12/20/2010	PALL CORP	-200 000	-8,368.58	10,007.83	1,639.25
12/20/2010	12/21/2010	SEC ID: 696429307	08318000890L			
10/9/2007	3/24/2011	PALL CORP	-100 000	-4,184.29	5,585.89	1,401.60
3/24/2011	3/25/2011	SEC ID 696429307	08318000890L			
10/9/2007	6/1/2011	PALL CORP	-100.000	-4,184.29	5,467.89	1,283.60
6/1/2011	6/2/2011	SEC ID: 696429307	08318000890L			
10/10/2007	12/20/2010	PRECISION CASTPARTS CORP	-150 000	-23,085.00	21,144.65	-1,940.35
12/20/2010	12/21/2010	SEC ID: 740189105	08318000930L			
10/10/2007	3/24/2011	PRECISION CASTPARTS CORP	-50 000	-7,695.00	7,210.86	-484.14
3/24/2011	3/25/2011	SEC ID: 740189105	08318000930L			
10/9/2007	6/1/2011	PRECISION CASTPARTS CORP	-50.000	-7,540.50	7,734.85	194.35
6/1/2011	6/2/2011	SEC ID 740189105	08318000920L			
10/9/2007	12/20/2010	RTI INTERNATIONAL METALS INC	-300 000	-25,233.99	8,004.85	-17,229.14
12/20/2010	12/21/2010	SEC ID: 74973W107	08318000950L			
10/10/2007	3/24/2011	RTI INTERNATIONAL METALS INC	-50 000	-4,183.25	1,481.97	-2,701.28
3/24/2011	3/25/2011	SEC ID 74973W107	08318000960L			
10/10/2007	6/1/2011	RTI INTERNATIONAL METALS INC	-50.000	-4,183.25	1,803.46	-2,379.79
6/1/2011	6/2/2011	SEC ID: 74973W107	08318000960L			
10/9/2007	12/20/2010	RF MICRO DEVICES INC	-1,650 000	-11,780.01	12,919.28	1,139.27
12/20/2010	12/21/2010	SEC ID: 749941100	08318000970L			
10/9/2007	3/24/2011	RF MICRO DEVICES INC	-200.000	-1,427.88	1,256.47	-171.41
3/24/2011	3/25/2011	SEC ID: 749941100	08318000970L			
10/9/2007	6/1/2011	RF MICRO DEVICES INC	-200.000	-1,427.88	1,209.97	-217.91
6/1/2011	6/2/2011	SEC ID: 749941100	08318000970L			
6/12/2009	12/20/2010	RAYMOND JAMES FINANCIAL INC	-200 000	-3,554.46	6,519.88	2,965.42
12/20/2010	12/21/2010	SEC ID: 754730109	0916600080C			
6/12/2009	3/24/2011	RAYMOND JAMES FINANCIAL INC	-50.000	-888.62	1,862.96	974.34
3/24/2011	3/25/2011	SEC ID: 754730109	0916600080C			
6/12/2009	6/1/2011	RAYMOND JAMES FINANCIAL INC	-50.000	-888.61	1,720.96	832.35
6/1/2011	6/2/2011	SEC ID 754730109	0916600080C			



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date/ Reported Date	Trade Date/ Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
10/9/2007	12/20/2010	REGENERON PHARMACEUTICALS INC SEC ID: 75886F107	-300.000 08318000980L	-5,246.94	9,903.82	4,656.88
12/20/2010	12/21/2010					
10/9/2007	3/24/2011	REGENERON PHARMACEUTICALS INC SEC ID: 75886F107	-50.000 08318000980L	-874.49	2,041.96	1,167.47
3/24/2011	3/25/2011					
10/9/2007	6/1/2011	REGENERON PHARMACEUTICALS INC SEC ID: 75886F107	-100.000 08318000980L	-1,748.98	5,835.88	4,086.90
6/1/2011	6/2/2011					
10/9/2007	10/13/2011	REGENERON PHARMACEUTICALS INC SEC ID: 75886F107	-200.000 08318000980L	-3,497.96	13,050.30	9,552.34
10/13/2011	10/17/2011					
10/9/2007	12/20/2010	ROBERT HALF INTERNATIONAL INC SEC ID: 770323103	-250.000 08318000990L	-8,100.22	7,599.87	-500.35
12/20/2010	12/21/2010					
10/9/2007	3/24/2011	ROBERT HALF INTERNATIONAL INC SEC ID: 770323103	-50.000 08318000990L	-1,620.05	1,468.97	-151.08
3/24/2011	3/25/2011					
10/9/2007	6/1/2011	ROBERT HALF INTERNATIONAL INC SEC ID: 770323103	-50.000 08318000990L	-1,620.05	1,345.47	-274.58
6/1/2011	6/2/2011					
10/9/2007	12/20/2010	ROWAN COS INC SEC ID: 779382100	-250.000 08318001000L	-9,429.38	8,627.35	-802.03
12/20/2010	12/21/2010					
10/9/2007	3/24/2011	ROWAN COS INC SEC ID: 779382100	-50.000 08318001000L	-1,885.87	2,064.96	179.09
3/24/2011	3/25/2011					
10/9/2007	6/1/2011	ROWAN COS INC SEC ID: 779382100	-50.000 08318001000L	-1,885.88	1,925.46	39.58
6/1/2011	6/2/2011					
5/19/2008	12/20/2010	SAKS INC SEC ID: 79377W108	-450.000 08318001030L	-6,371.46	5,156.91	-1,214.55
12/20/2010	12/21/2010					
5/19/2008	3/24/2011	SAKS INC SEC ID: 79377W108	-150.000 08318001030L	-2,123.82	1,697.96	-425.86
3/24/2011	3/25/2011					
5/19/2008	6/1/2011	SAKS INC SEC ID: 79377W108	-150.000 08318001030L	-2,123.82	1,649.96	-473.86
6/1/2011	6/2/2011					
12/7/2007	12/20/2010	SEACHANGE INTERNATIONAL INC SEC ID: 811699107	-800.000 08318001060L	-5,964.48	6,983.88	1,019.40
12/20/2010	12/21/2010					
12/7/2007	3/24/2011	SEACHANGE INTERNATIONAL INC SEC ID: 811699107	-150.000 08318001060L	-1,118.34	1,403.48	285.14
3/24/2011	3/25/2011					
12/7/2007	6/1/2011	SEACHANGE INTERNATIONAL INC SEC ID: 811699107	-200.000 08318001060L	-1,491.12	2,179.95	688.83
6/1/2011	6/2/2011					
3/9/2009	12/20/2010	SEATTLE GENETICS INC SEC ID: 812578102	-400.000 09069000060C	-2,951.72	6,135.89	3,184.17
12/20/2010	12/21/2010					
3/9/2009	3/24/2011	SEATTLE GENETICS INC SEC ID: 812578102	-100.000 09069000060C	-737.93	1,457.97	720.04
3/24/2011	3/25/2011					
3/9/2009	6/1/2011	SEATTLE GENETICS INC SEC ID: 812578102	-100.000 09069000060C	-737.93	1,903.96	1,166.03
6/1/2011	6/2/2011					
10/9/2007	12/20/2010	SINCLAIR BROADCAST GROUP INC SEC ID: 829226109	-850.000 08318001080L	-11,228.25	7,054.88	-4,173.37
12/20/2010	12/21/2010					

2/29/2012

12 46 40PM EST

11

Workbench



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date				Description		Shares Sold Tax Lot ID		Cost Base	Amount Base	Realized Gain/Loss Base
10/9/2007	3/24/2011			SINCLAIR BROADCAST GROUP INC		-200.000		-2,641.94	2,479.95	-161.99
3/24/2011	3/25/2011			SEC ID: 829226109		08318001080L				
10/9/2007	6/1/2011			SINCLAIR BROADCAST GROUP INC		-150.000		-1,981.45	1,418.97	-562.48
6/1/2011	6/2/2011			SEC ID: 829226109		08318001080L				
11/7/2007	12/20/2010			STILLWATER MINING CO		-600.000		-6,231.42	12,509.79	6,278.37
12/20/2010	12/21/2010			SEC ID: 86074Q102		08318001120L				
10/9/2007	12/20/2010			STILLWATER MINING CO		-100.000		-1,035.97	2,084.96	1,048.99
12/20/2010	12/21/2010			SEC ID: 86074Q102		08318001110L				
10/9/2007	3/24/2011			STILLWATER MINING CO		-150.000		-1,553.96	3,440.93	1,886.97
3/24/2011	3/25/2011			SEC ID: 86074Q102		08318001110L				
10/9/2007	6/1/2011			STILLWATER MINING CO		-200.000		-2,071.94	3,867.92	1,795.98
6/1/2011	6/2/2011			SEC ID: 86074Q102		08318001110L				
10/9/2007	12/20/2010			SUNOCO INC		-250.000		-19,128.75	9,792.33	-9,336.42
12/20/2010	12/21/2010			SEC ID: 86764P109		08318001150L				
10/9/2007	6/1/2011			SUNOCO INC		-50.000		-3,825.75	1,989.96	-1,835.79
6/1/2011	6/2/2011			SEC ID: 86764P109		08318001150L				
10/9/2007	12/20/2010			TW TELECOM INC		-500.000		-11,694.75	8,294.85	-3,399.90
12/20/2010	12/21/2010			SEC ID: 87311L104		08318001180L				
10/9/2007	3/24/2011			TW TELECOM INC		-150.000		-3,508.42	2,870.94	-637.48
3/24/2011	3/25/2011			SEC ID: 87311L104		08318001180L				
10/9/2007	6/1/2011			TW TELECOM INC		-100.000		-2,338.95	2,122.95	-216.00
6/1/2011	6/2/2011			SEC ID: 87311L104		08318001180L				
11/17/2009	12/20/2010			TRIMBLE NAVIGATION LTD		-250.000		-5,992.48	10,007.33	4,014.85
12/20/2010	12/21/2010			SEC ID: 896239100		09322000060C				
11/17/2009	3/24/2011			TRIMBLE NAVIGATION LTD		-100.000		-2,396.99	4,788.90	2,391.91
3/24/2011	3/25/2011			SEC ID: 896239100		09322000060C				
11/17/2009	6/1/2011			TRIMBLE NAVIGATION LTD		-50.000		-1,198.49	2,133.75	935.26
6/1/2011	6/2/2011			SEC ID: 896239100		09322000060C				
6/12/2009	6/1/2011			TRIMBLE NAVIGATION LTD		-50.000		-1,111.84	2,133.74	1,021.90
6/1/2011	6/2/2011			SEC ID: 896239100		09166000090C				
10/10/2007	12/20/2010			TRIQUINT SEMICONDUCTOR INC		-900.000		-4,365.00	10,331.82	5,966.82
12/20/2010	12/21/2010			SEC ID: 89674K103		08318001220L				
10/10/2007	3/24/2011			TRIQUINT SEMICONDUCTOR INC		-250.000		-1,212.50	3,227.43	2,014.93
3/24/2011	3/25/2011			SEC ID: 89674K103		08318001220L				
10/10/2007	6/1/2011			TRIQUINT SEMICONDUCTOR INC		-300.000		-1,455.00	3,725.92	2,270.92
6/1/2011	6/2/2011			SEC ID: 89674K103		08318001220L				
10/10/2007	12/20/2010			UNITED STATES CELLULAR CORP		-150.000		-14,661.38	7,234.37	-7,427.01
12/20/2010	12/21/2010			SEC ID: 911684108		08318001250L				
10/10/2007	6/1/2011			UNITED STATES CELLULAR CORP		-50.000		-4,887.12	2,455.45	-2,431.67
6/1/2011	6/2/2011			SEC ID: 911684108		08318001250L				



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
10/9/2007	12/20/2010	UNITED STATES STEEL CORP SEC ID: 912909108	-50 000	-5,350 00	2,906.45	-2,443.55
12/20/2010	12/21/2010		08318001260L			
10/9/2007	6/1/2011	UNITED STATES STEEL CORP SEC ID: 912909108	-50 000	-5,350 00	2,220 95	-3,129 05
6/1/2011	6/2/2011		08318001260L			
10/9/2007	12/20/2010	VALSPAR CORP SEC ID: 920355104	-200.000	-5,180 14	6,857.88	1,677 74
12/20/2010	12/21/2010		08318001270L			
10/9/2007	3/24/2011	VALSPAR CORP SEC ID: 920355104	-100.000	-2,590 07	3,831 92	1,241 85
3/24/2011	3/25/2011		08318001270L			
10/9/2007	6/1/2011	VALSPAR CORP SEC ID: 920355104	-100 000	-2,590 07	3,788 92	1,198 85
6/1/2011	6/2/2011		08318001270L			
10/9/2007	12/20/2010	VISHAY INTERTECHNOLOGY INC SEC ID: 928298108	-550.000	-7,090.62	8,271.85	1,181.23
12/20/2010	12/21/2010		08318001280L			
10/9/2007	3/24/2011	VISHAY INTERTECHNOLOGY INC SEC ID: 928298108	-150 000	-1,933.81	2,636.19	702 38
3/24/2011	3/25/2011		08318001280L			
10/9/2007	6/1/2011	VISHAY INTERTECHNOLOGY INC SEC ID: 928298108	-150.000	-1,933.81	2,323.45	389 64
6/1/2011	6/2/2011		08318001280L			
10/9/2007	12/20/2010	VISHAY PRECISION GROUP INC SEC ID: 92835K103	-50.000	-1,013.43	880 48	-132.95
12/20/2010	12/21/2010		10188000040F			
10/9/2007	4/26/2011	VISHAY PRECISION GROUP INC SEC ID: 92835K103	-171 000	-3,465.93	2,812.90	-653 03
4/26/2011	4/27/2011		10188000040F			
12/10/2008	12/20/2010	VOYAGER OIL & GAS INC SEC ID: 92911K100	-670 000	0.00	3,383.44	3,383.44
12/20/2010	12/21/2010		10145000030F			
11/11/2008	12/20/2010	WADDELL & REED FINANCIAL INC SEC ID: 930059100	-250.000	-2,698 85	8,646.85	5,948 00
12/20/2010	12/21/2010		08317000040C			
11/11/2008	3/24/2011	WADDELL & REED FINANCIAL INC SEC ID: 930059100	-50.000	-539.77	1,953.96	1,414.19
3/24/2011	3/25/2011		08317000040C			
11/11/2008	6/1/2011	WADDELL & REED FINANCIAL INC SEC ID: 930059100	-50.000	-539.77	1,856.96	1,317.19
6/1/2011	6/2/2011		08317000040C			
10/9/2007	12/20/2010	WHIRLPOOL CORP SEC ID: 963320106	-50.000	-4,620.34	4,463.42	-156.92
12/20/2010	12/21/2010		08318001290L			
10/9/2007	6/1/2011	WHIRLPOOL CORP SEC ID: 963320106	-50.000	-4,620 33	4,117 42	-502.91
6/1/2011	6/2/2011		08318001290L			
TOTAL LONG:			-51,449.045	-1,016,118.60	1,092,100.80	75,982.20
SHORT						
3/11/2011	6/1/2011	GLOBAL CROSSING LTD SHS NEW SEC ID: G3921A175	-100.000	-1,424.94	3,374.93	1,949.99
6/1/2011	6/2/2011		11073000010C			
11/9/2010	6/1/2011	ORIENT EXPRESS HOTELS LTD CL A SHS	-150.000	-1,612.50	1,669.46	56.96
6/1/2011	6/2/2011		10315000010C			

2/29/2012

12 46:40PM EST

13

Workbench



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
6/14/2010	12/20/2010	FOSTER WHEELER AG COM	-250 000	-6,276 43	8,349 85	2,073 42
12/20/2010	12/21/2010	SEC ID: H27178104	10166000050C			
6/14/2010	3/24/2011	FOSTER WHEELER AG COM	-100.000	-2,510.57	3,580 93	1,070 36
3/24/2011	3/25/2011	SEC ID: H27178104	10166000050C			
6/14/2010	6/1/2011	FOSTER WHEELER AG COM	-100.000	-2,510 57	3,286 93	776 36
6/1/2011	6/2/2011	SEC ID: H27178104	10166000050C			
6/24/2010	12/20/2010	ANTE5 INC	-670.000	0 00	777 18	777.18
12/20/2010	12/21/2010	SEC ID: 03665F106	10202000010A			
4/29/2010	12/20/2010	BAKER HUGHES INC	-100 000	-5,959 22	5,580 90	-378 32
12/20/2010	12/21/2010	SEC ID 057224107	10119000020A			
8/6/2010	12/20/2010	BRINK'S CO/THE	-150 000	-3,116 58	3,989 93	873.35
12/20/2010	12/21/2010	SEC ID: 109696104	10221000020C			
8/6/2010	3/24/2011	BRINK'S CO/THE	-50 000	-1,038 86	1,582.21	543 35
3/24/2011	3/25/2011	SEC ID: 109696104	10221000020C			
8/6/2010	6/1/2011	BRINK'S CO/THE	-50 000	-1,038.86	1,444.47	405.61
6/1/2011	6/2/2011	SEC ID: 109696104	10221000020C			
12/20/2010	3/24/2011	DISCOVERY COMMUNICATIONS INC	-100 000	-3,701 00	3,488.93	-212.07
3/24/2011	3/25/2011	SEC ID: 25470F302	10355000070C			
12/20/2010	6/1/2011	DISCOVERY COMMUNICATIONS INC	-100 000	-3,701 00	3,859.92	158.92
6/1/2011	6/2/2011	SEC ID: 25470F302	10355000070C			
6/14/2010	12/20/2010	GANNETT CO INC	-400 000	-6,466.92	6,119.89	-347 03
12/20/2010	12/21/2010	SEC ID 364730101	10166000060C			
6/14/2010	3/24/2011	GANNETT CO INC	-100.000	-1,616.73	1,460.97	-155 76
3/24/2011	3/25/2011	SEC ID: 364730101	10166000060C			
5/7/2010	12/20/2010	IMMUNOGEN INC	-200 000	-1,619 52	1,924 96	305 44
12/20/2010	12/21/2010	SEC ID: 45253H101	10130000060C			
11/15/2010	12/20/2010	LSI CORP	-600 000	-3,301.20	3,575 93	274 73
12/20/2010	12/21/2010	SEC ID: 502161102	10320000010C			
10/12/2010	12/20/2010	LSI CORP	-300.000	-1,402 92	1,787.97	385 05
12/20/2010	12/21/2010	SEC ID: 502161102	10288000040C			
9/15/2010	12/20/2010	LSI CORP	-200.000	-868 14	1,191 98	323 84
12/20/2010	12/21/2010	SEC ID: 502161102	10259000060C			
9/15/2010	3/24/2011	LSI CORP	-300.000	-1,302 21	2,060 96	758 75
3/24/2011	3/25/2011	SEC ID 502161102	10259000060C			
9/15/2010	6/1/2011	LSI CORP	-200 000	-868 14	1,425 97	557 83
6/1/2011	6/2/2011	SEC ID: 502161102	10259000060C			
3/11/2011	10/28/2011	LEVEL 3 COMMUNICATIONS INC	-0.667	-8 91	17 87	8.96
10/28/2011	10/31/2011	SEC ID 52729N308	11293000060F			
8/18/2010	12/20/2010	MICROMET INC	-450 000	-3,109 32	3,509 94	400 62
12/20/2010	12/21/2010	SEC ID: 59509C105	10231000040C			



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
8/18/2010	6/1/2011	MICROMET INC	-200.000	-1,381.92	1,171.97	-209.95
6/1/2011	6/2/2011	SEC ID: 59509C105	10231000040C			
5/5/2010	12/20/2010	ONYX PHARMACEUTICALS INC	-200.000	-5,230.56	7,047.88	1,817.32
12/20/2010	12/21/2010	SEC ID: 683399109	10126000030C			
5/5/2010	3/24/2011	ONYX PHARMACEUTICALS INC	-100.000	-2,615.28	3,589.93	974.65
3/24/2011	3/25/2011	SEC ID: 683399109	10126000030C			
1/7/2011	3/24/2011	SHAW GROUP INC/THE	-50.000	-1,663.14	1,747.46	84.32
3/24/2011	3/25/2011	SEC ID: 820280105	11010000020C			
1/7/2011	6/1/2011	SHAW GROUP INC/THE	-50.000	-1,663.14	1,770.46	107.32
6/1/2011	6/2/2011	SEC ID: 820280105	11010000020C			
12/8/2010	12/20/2010	UNIFI INC SHS	-300.000	-4,536.15	4,943.91	407.76
12/20/2010	12/21/2010	SEC ID: 904677200	10343000010C			
12/8/2010	3/24/2011	UNIFI INC SHS	-100.000	-1,512.05	1,684.96	172.91
3/24/2011	3/25/2011	SEC ID: 904677200	10343000010C			

TOTAL SHORT:

-5,670.667

-72,056.78

86,018.65

13,961.87

TOTAL LOT DISPOSITION:

-57,119.712

-1,088,175.38

1,178,119.45

89,944.07



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
LONG						
7/16/2009 12/21/2010	12/21/2010 12/22/2010	INGERSOLL-RAND PUBLIC LIMITED COMPANY SEC ID: G47791101	-190 000 09198000020C	-4,083.06	8,923.69	4,840.63
7/16/2009 1/7/2011	1/7/2011 1/10/2011	INGERSOLL-RAND PUBLIC LIMITED COMPANY SEC ID: G47791101	-160.000 09198000020C	-3,438.37	7,520.73	4,082.36
7/16/2009 3/24/2011	3/24/2011 3/25/2011	INGERSOLL-RAND PUBLIC LIMITED COMPANY SEC ID: G47791101	-15.000 09198000020C	-322.35	719.38	397.03
7/16/2009 5/25/2011	5/25/2011 5/26/2011	INGERSOLL-RAND PUBLIC LIMITED COMPANY SEC ID: G47791101	-175 000 09198000020C	-3,760.71	8,533.02	4,772.31
12/17/2008 12/21/2010	12/21/2010 12/22/2010	XL GROUP PLC SEC ID: G47791101	-305.000 10182000080F	-1,083.11	6,630.58	5,547.47
12/17/2008 3/24/2011	3/24/2011 3/25/2011	XL GROUP PLC SEC ID: G98290102	-170.000 10182000080F	-603.70	3,907.01	3,303.31
4/24/2009 12/21/2010	12/21/2010 12/22/2010	AGILENT TECHNOLOGIES INC SEC ID: 00846U101	-525 000 09117000030C	-8,831.34	21,497.38	12,666.04
4/24/2009 12/21/2010	12/21/2010 12/22/2010	AGILENT TECHNOLOGIES INC SEC ID: 00846U101	-185 000 09117000030C	-3,112.00	7,562.67	4,450.67
4/24/2009 2/15/2011	2/15/2011 2/16/2011	AGILENT TECHNOLOGIES INC SEC ID: 00846U101	-295 000 09117000030C	-4,962.37	12,599.88	7,637.51
2/23/2009 2/15/2011	2/15/2011 2/16/2011	AGILENT TECHNOLOGIES INC SEC ID: 00846U101	-115 000 09055000030C	-1,685.07	4,911.82	3,226.75
4/9/2008 12/21/2010	12/21/2010 12/22/2010	ALCOA INC SEC ID: 013817101	-280.000 08318000110L	-10,248.20	4,174.72	-6,073.48
9/5/2008 12/21/2010	12/21/2010 12/22/2010	ALCOA INC SEC ID: 013817101	-235.000 08318000130L	-6,530.65	3,503.79	-3,026.86
9/5/2008 3/24/2011	3/24/2011 3/25/2011	ALCOA INC SEC ID: 013817101	-15 000 08318000130L	-416.85	256.79	-160.06
11/13/2008 3/24/2011	3/24/2011 3/25/2011	ALCOA INC SEC ID: 013817101	-260.000 08319000040C	-2,533.86	4,451.11	1,917.25
11/13/2008 10/24/2011	10/24/2011 10/25/2011	ALCOA INC SEC ID: 013817101	-2,530.000 08319000040C	-24,656.36	26,248.24	1,591.88
2/23/2009 10/24/2011	10/24/2011 10/25/2011	ALCOA INC SEC ID: 013817101	-175.000 09055000040C	-1,059.63	1,815.59	755.96
6/11/2009 12/21/2010	12/21/2010 12/22/2010	ALLSTATE CORP/THE SEC ID: 020002101	-60 000 09163000060C	-1,517.07	1,892.97	375.90
10/22/2009 12/21/2010	12/21/2010 12/22/2010	AMGEN INC SEC ID: 031162100	-25 000 09296000030C	-1,421.82	1,438.31	16.49



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/										
Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base				
10/22/2009	3/24/2011	AMGEN INC	-90 000	-5,118.54	4,809.05	-309.49				
3/24/2011	3/25/2011	SEC ID: 031162100	09296000030C							
10/22/2009	5/25/2011	AMGEN INC	-90 000	-5,118.54	5,359.45	240.91				
5/25/2011	5/26/2011	SEC ID 031162100	09296000030C							
11/23/2009	5/25/2011	AMGEN INC	-45 000	-2,521.19	2,679.73	158.54				
5/25/2011	5/26/2011	SEC ID: 031162100	09328000030C							
11/23/2009	8/31/2011	AMGEN INC	-150 000	-8,403.96	8,291.84	-112.12				
8/31/2011	9/2/2011	SEC ID 031162100	09328000030C							
4/19/2010	7/20/2011	AVERY DENNISON CORP	-350 000	-12,932.85	11,350.91	-1,581.94				
7/20/2011	7/21/2011	SEC ID 053611109	10110000020C							
5/14/2008	12/21/2010	BANK OF AMERICA CORP	-170 000	-6,257.70	2,167.46	-4,090.24				
12/21/2010	12/22/2010	SEC ID: 060505104	08318000180L							
12/21/2010	12/21/2010	BANK OF AMERICA CORP	-115 000	-1,661.65	1,466.23	-195.42				
12/21/2010	12/22/2010	SEC ID: 060505104	08338000040C							
12/2/2008	8/31/2011	BANK OF AMERICA CORP	-370 000	-5,346.16	3,011.85	-2,334.31				
8/31/2011	9/2/2011	SEC ID: 060505104	08338000040C							
6/11/2009	8/31/2011	BANK OF AMERICA CORP	-1,370 000	-17,466.27	11,152.00	-6,314.27				
8/31/2011	9/2/2011	SEC ID 060505104	09163000070C							
3/19/2009	8/31/2011	BANK OF AMERICA CORP	-1,510 000	-11,717.60	12,291.61	574.01				
8/31/2011	9/2/2011	SEC ID: 060505104	09079000050C							
2/23/2009	8/31/2011	BANK OF AMERICA CORP	-710 000	-2,860.66	5,779.50	2,918.84				
8/31/2011	9/2/2011	SEC ID 060505104	09055000050C		—					
1/7/2010	3/24/2011	BANK OF NEW YORK MELLON CORP/T	-180 000	-5,247.05	5,277.49	30.44				
3/24/2011	3/25/2011	SEC ID: 064058100	10008000020C							
1/7/2010	8/9/2011	BANK OF NEW YORK MELLON CORP/T	-5 000	-145.75	102.72	-43.03				
8/9/2011	8/10/2011	SEC ID: 064058100	10008000020C							
2/24/2010	8/9/2011	BANK OF NEW YORK MELLON CORP/T	-595 000	-17,088.04	12,223.08	-4,864.96				
8/9/2011	8/10/2011	SEC ID 064058100	10056000050C							
1/6/2010	8/9/2011	BANK OF NEW YORK MELLON CORP/T	-430 000	-12,142.30	8,833.49	-3,308.81				
8/9/2011	8/10/2011	SEC ID: 064058100	10007000010C							
11/25/2009	12/21/2010	BOEING CO/THE	-65 000	-3,418.67	4,142.37	723.70				
12/21/2010	12/22/2010	SEC ID: 097023105	09331000090C							
11/25/2009	3/24/2011	BOEING CO/THE	-25 000	-1,314.87	1,820.46	505.59				
3/24/2011	3/25/2011	SEC ID 097023105	09331000090C							
11/18/2008	12/21/2010	CHEVRON CORP	-105 000	-7,659.25	9,393.14	1,733.89				
12/21/2010	12/22/2010	SEC ID 166764100	08324000020C							
11/25/2008	12/21/2010	COMMUNITY HEALTH SYSTEMS INC	-145 000	-1,825.83	5,394.73	3,568.90				
12/21/2010	12/22/2010	SEC ID: 203668108	08331000060C							
11/25/2008	3/24/2011	COMMUNITY HEALTH SYSTEMS INC	-85 000	-1,070.31	3,308.98	2,238.67				
3/24/2011	3/25/2011	SEC ID 203668108	08331000060C							



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
4/9/2008	12/21/2010	CONOCOPHILLIPS	-195 000	-15,604 21	12,971 69	-2,632.52
12/21/2010	12/22/2010	SEC ID: 20825C104	08318000200L			
4/9/2008	3/7/2011	CONOCOPHILLIPS	-85.000	-6,801 83	6,757 23	-44 60
3/7/2011	3/8/2011	SEC ID 20825C104	08318000200L			
9/5/2008	3/7/2011	CONOCOPHILLIPS	-100.000	-7,425 00	7,949 68	524 68
3/7/2011	3/8/2011	SEC ID: 20825C104	08318000220L			
10/15/2008	3/7/2011	CONOCOPHILLIPS	-70 000	-3,710 00	5,564 77	1,854 77
3/7/2011	3/8/2011	SEC ID 20825C104	08322000090A			
10/15/2008	3/24/2011	CONOCOPHILLIPS	-70 000	-3,710 00	5,593 59	1,883 59
3/24/2011	3/25/2011	SEC ID 20825C104	08322000090A			
10/15/2008	4/13/2011	CONOCOPHILLIPS	-220 000	-11,660.00	16,944 51	5,284.51
4/13/2011	4/14/2011	SEC ID 20825C104	08322000090A			
10/14/2009	4/13/2011	CONOCOPHILLIPS	-5.000	-254 95	385 10	130 15
4/13/2011	4/14/2011	SEC ID: 20825C104	09288000050C			
4/9/2008	12/21/2010	EI DU PONT DE NEMOURS & CO	-140 000	-6,891.98	6,983 08	91 10
12/21/2010	12/22/2010	SEC ID: 263534109	08318000260L			
4/9/2008	1/7/2011	EI DU PONT DE NEMOURS & CO	-365 000	-17,968 36	18,216.84	248 48
1/7/2011	1/10/2011	SEC ID 263534109	08318000260L			
4/9/2008	2/15/2011	EI DU PONT DE NEMOURS & CO	-225 000	-11,076.39	12,173.12	1,096.73
2/15/2011	2/16/2011	SEC ID: 263534109	08318000260L			
4/9/2008	3/24/2011	EI DU PONT DE NEMOURS & CO	-15 000	-738.43	806 38	67 95
3/24/2011	3/25/2011	SEC ID 263534109	08318000260L			
10/15/2008	12/21/2010	GAP INC/THE	-260.000	-3,652.32	5,459 90	1,807.58
12/21/2010	12/22/2010	SEC ID 364760108	08322000100A			
10/24/2008	12/21/2010	GAP INC/THE	-5 000	-58 03	105 00	46 97
12/21/2010	12/22/2010	SEC ID: 364760108	08322000110A			
10/24/2008	8/19/2011	GAP INC/THE	-1,350.000	-15,668 64	21,514 67	5,846 03
8/19/2011	8/22/2011	SEC ID: 364760108	08322000110A			
5/7/2008	12/21/2010	GENERAL ELECTRIC CO	-900.000	-29,764.44	16,082.72	-13,681 72
12/21/2010	12/22/2010	SEC ID: 369604103	08318000300L			
5/7/2008	1/31/2011	GENERAL ELECTRIC CO	-870.000	-28,772 29	17,573 66	-11,198 63
1/31/2011	2/1/2011	SEC ID 369604103	08318000300L			
5/7/2008	3/24/2011	GENERAL ELECTRIC CO	-385 000	-12,732.57	7,603 60	-5,128 97
3/24/2011	3/25/2011	SEC ID: 369604103	08318000300L			
5/7/2008	4/13/2011	GENERAL ELECTRIC CO	-875 000	-28,937 65	17,396 94	-11,540 71
4/13/2011	4/14/2011	SEC ID: 369604103	08318000300L			
10/14/2009	12/21/2010	HARTFORD FINANCIAL SERVICES GR	-160.000	-4,436 05	4,262 33	-173.72
12/21/2010	12/22/2010	SEC ID 416515104	09288000060C			
10/22/2009	12/21/2010	HARTFORD FINANCIAL SERVICES GR	-205.000	-5,407.74	5,461 10	53 36
12/21/2010	12/22/2010	SEC ID: 416515104	09296000040C			



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
10/22/2009	3/24/2011	HARTFORD FINANCIAL SERVICES GR	-135.000	-3,561.19	3,597.68	36.49
3/24/2011	3/25/2011	SEC ID: 416515104	09296000040C			
12/4/2008	12/1/2010	HEALTH NET INC	-795.000	-7,355.82	21,662.19	14,306.37
12/1/2010	12/2/2010	SEC ID: 42222G108	08340000100C			
12/4/2008	12/21/2010	HEALTH NET INC	-210.000	-1,943.05	5,633.19	3,690.14
12/21/2010	12/22/2010	SEC ID: 42222G108	08340000100C			
12/4/2008	3/7/2011	HEALTH NET INC	-600.000	-5,551.56	18,235.56	12,684.00
3/7/2011	3/8/2011	SEC ID: 42222G108	08340000100C			
12/4/2008	3/24/2011	HEALTH NET INC	-50.000	-462.63	1,571.96	1,109.33
3/24/2011	3/25/2011	SEC ID: 42222G108	08340000100C			
12/4/2008	4/13/2011	HEALTH NET INC	-495.000	-4,580.03	15,574.97	10,994.94
4/13/2011	4/14/2011	SEC ID: 42222G108	08340000100C			
4/9/2008	12/21/2010	JPMORGAN CHASE & CO	-410.000	-18,176.24	16,715.41	-1,460.83
12/21/2010	12/22/2010	SEC ID: 46625H100	08318000420L			
4/9/2008	3/24/2011	JPMORGAN CHASE & CO	-210.000	-9,309.78	9,609.45	299.67
3/24/2011	3/25/2011	SEC ID: 46625H100	08318000420L			
9/21/2009	12/21/2010	LOWE'S COS INC	-260.000	-5,691.87	6,674.08	982.21
12/21/2010	12/22/2010	SEC ID: 548661107	09265000030C			
9/21/2009	3/7/2011	LOWE'S COS INC	-325.000	-7,114.83	8,443.82	1,328.99
3/7/2011	3/8/2011	SEC ID: 548661107	09265000030C			
8/24/2009	3/7/2011	LOWE'S COS INC	-55.000	-1,170.63	1,428.96	258.33
3/7/2011	3/8/2011	SEC ID: 548661107	09237000020C			
8/24/2009	3/24/2011	LOWE'S COS INC	-95.000	-2,022.00	2,598.20	576.20
3/24/2011	3/25/2011	SEC ID: 548661107	09237000020C			
8/24/2009	10/24/2011	LOWE'S COS INC	-915.000	-19,475.04	20,267.23	792.19
10/24/2011	10/25/2011	SEC ID: 548661107	09237000020C			
3/19/2009	12/21/2010	MACY'S INC	-375.000	-3,405.26	9,749.83	6,344.57
12/21/2010	12/22/2010	SEC ID: 55616P104	09079000060C			
1/2/2009	12/21/2010	MACY'S INC	-20.000	-218.84	521.66	302.82
12/21/2010	12/22/2010	SEC ID: 55616P104	09005000040C			
3/19/2009	12/21/2010	MACY'S INC	-1,015.000	-9,216.91	26,474.10	17,257.19
12/21/2010	12/22/2010	SEC ID: 55616P104	09079000060C			
4/9/2008	12/21/2010	MARATHON OIL CORP	-280.000	-13,424.63	10,102.22	-3,322.41
12/21/2010	12/22/2010	SEC ID: 565849106	08318000530L			
4/9/2008	3/7/2011	MARATHON OIL CORP	-470.000	-22,534.20	24,092.25	1,558.05
3/7/2011	3/8/2011	SEC ID: 565849106	08318000530L			
4/30/2008	3/7/2011	MARATHON OIL CORP	-50.000	-2,305.90	2,563.00	257.10
3/7/2011	3/8/2011	SEC ID: 565849106	08318000540L			
4/30/2008	3/24/2011	MARATHON OIL CORP	-75.000	-3,458.85	3,802.42	343.57
3/24/2011	3/25/2011	SEC ID: 565849106	08318000540L			

2/29/2012

12:46:40PM

EST



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
10/13/2008	4/13/2011	MARATHON OIL CORP SEC ID: 565849106	-215.000	-6,039.37	10,735.32	4,695.95
4/13/2011	4/14/2011		08322000160A			
10/13/2008	9/14/2011	MARATHON OIL CORP SEC ID: 565849106	-575.000	-9,825.48	14,021.39	4,195.91
9/14/2011	9/15/2011		08322000160A			
10/13/2008	7/22/2011	MARATHON PETROLEUM CORP SEC ID: 56585A102	-0.500	-11.00	20.04	9.04
7/22/2011	7/25/2011		11182000090F			
10/13/2008	9/14/2011	MARATHON PETROLEUM CORP SEC ID: 56585A102	-287.000	-6,315.33	10,003.50	3,688.17
9/14/2011	9/15/2011		11182000090F			
11/25/2009	12/21/2010	MEDTRONIC INC SEC ID: 585055106	-205.000	-8,844.24	7,586.92	-1,257.32
12/21/2010	12/22/2010		09331000110C			
11/25/2009	3/24/2011	MEDTRONIC INC SEC ID: 585055106	-140.000	-6,039.96	5,344.39	-695.57
3/24/2011	3/25/2011		09331000110C			
11/25/2009	5/25/2011	MEDTRONIC INC SEC ID: 585055106	-170.000	-7,334.24	6,898.46	-435.78
5/25/2011	5/26/2011		09331000110C			
11/25/2009	8/9/2011	MEDTRONIC INC SEC ID: 585055106	-75.000	-3,235.70	2,339.58	-896.12
8/9/2011	8/10/2011		09331000110C			
2/9/2009	12/21/2010	METLIFE INC SEC ID: 59156R108	-245.000	-7,701.33	10,913.56	3,212.23
12/21/2010	12/22/2010		09041000020C			
12/7/2009	12/21/2010	NOKIA OYJ ADR SEC ID: 654902204	-240.000	-3,059.98	2,435.95	-624.03
12/21/2010	12/22/2010		09342000020C			
12/7/2009	3/24/2011	NOKIA OYJ ADR SEC ID: 654902204	-285.000	-3,633.72	2,399.65	-1,234.07
3/24/2011	3/25/2011		09342000020C			
12/7/2009	5/4/2011	NOKIA OYJ ADR SEC ID: 654902204	-865.000	-11,028.66	7,395.09	-3,633.57
5/4/2011	5/5/2011		09342000020C			
11/25/2009	12/21/2010	NUCOR CORP SEC ID: 670346105	-120.000	-5,184.06	5,333.90	149.84
12/21/2010	12/22/2010		09331000100C			
11/25/2009	1/7/2011	NUCOR CORP SEC ID: 670346105	-305.000	-13,176.16	13,402.29	226.13
1/7/2011	1/10/2011		09331000100C			
11/25/2009	3/24/2011	NUCOR CORP SEC ID: 670346105	-25.000	-1,080.01	1,160.22	80.21
3/24/2011	3/25/2011		09331000100C			
11/25/2009	10/24/2011	NUCOR CORP SEC ID: 670346105	-260.000	-11,232.13	9,753.01	-1,479.12
10/24/2011	10/25/2011		09331000100C			
9/8/2009	12/21/2010	PATTERSON-UTI ENERGY INC SEC ID: 703481101	-545.000	-7,699.21	11,724.44	4,025.23
12/21/2010	12/22/2010		09252000060C			
4/9/2008	12/21/2010	PATTERSON-UTI ENERGY INC SEC ID: 703481101	-10.000	-277.51	216.96	-60.55
12/21/2010	12/22/2010		08318000590L			
9/5/2008	12/21/2010	PATTERSON-UTI ENERGY INC SEC ID: 703481101	-350.000	-7,952.00	7,593.72	-358.28
12/21/2010	12/22/2010		08318000610L			
9/8/2009	12/21/2010	PATTERSON-UTI ENERGY INC SEC ID: 703481101	-560.000	-7,911.12	12,149.94	4,238.82
12/21/2010	12/22/2010		09252000060C			

2/29/2012

12 46 40PM

EST



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
9/8/2009	3/24/2011	PATTERSON-UTI ENERGY INC	-155 000	-2,189.69	4,256.21	2,066.52
3/24/2011	3/25/2011	SEC ID: 703481101	09252000060C			
9/8/2009	4/13/2011	PATTERSON-UTI ENERGY INC	-240.000	-3,390.48	6,514.58	3,124.10
4/13/2011	4/14/2011	SEC ID: 703481101	09252000060C			
4/13/2009	4/13/2011	PATTERSON-UTI ENERGY INC	-370.000	-4,281.90	10,043.31	5,761.41
4/13/2011	4/14/2011	SEC ID: 703481101	09104000040C			
4/13/2009	7/21/2011	PATTERSON-UTI ENERGY INC	-930 000	-10,762.61	31,138.96	20,376.35
7/21/2011	7/22/2011	SEC ID: 703481101	09104000040C			
4/9/2008	12/21/2010	PFIZER INC	-810.000	-16,880.07	13,988.46	-2,891.61
12/21/2010	12/22/2010	SEC ID: 717081103	08318000620L			
4/9/2008	3/24/2011	PFIZER INC	-465 000	-9,690.41	9,439.87	-250.54
3/24/2011	3/25/2011	SEC ID: 717081103	08318000620L			
4/9/2008	7/27/2011	PFIZER INC	-510.000	-10,628.20	9,938.28	-689.92
7/27/2011	7/28/2011	SEC ID: 717081103	08318000620L			
5/14/2008	7/27/2011	PFIZER INC	-70 000	-1,405.62	1,364.08	-41.54
7/27/2011	7/28/2011	SEC ID: 717081103	08318000630L			
5/7/2009	11/18/2010	PROCTER & GAMBLE CO/THE	-205 000	-10,595.89	13,123.93	2,528.04
11/18/2010	11/19/2010	SEC ID: 742718109	09128000010C			
10/14/2009	12/21/2010	SAFEMAY INC	-280 000	-5,953.56	6,120.69	167.13
12/21/2010	12/22/2010	SEC ID: 786514208	09288000070C			
7/23/2008	12/21/2010	UNITEDHEALTH GROUP INC	-205 000	-5,668.35	7,316.32	1,647.97
12/21/2010	12/22/2010	SEC ID: 91324P102	08318000690L			
7/23/2008	12/21/2010	UNITEDHEALTH GROUP INC	-250.000	-6,912.62	8,796.68	1,884.06
12/21/2010	12/22/2010	SEC ID: 91324P102	08318000690L			
7/23/2008	1/7/2011	UNITEDHEALTH GROUP INC	-235 000	-6,497.87	9,007.68	2,509.81
1/7/2011	1/10/2011	SEC ID: 91324P102	08318000690L			
10/10/2008	1/7/2011	UNITEDHEALTH GROUP INC	-65.000	-1,068.81	2,491.48	1,422.67
1/7/2011	1/10/2011	SEC ID: 91324P102	08322000180A			
10/10/2008	3/24/2011	UNITEDHEALTH GROUP INC	-50 000	-822.17	2,192.45	1,370.28
3/24/2011	3/25/2011	SEC ID: 91324P102	08322000180A			
10/10/2008	4/13/2011	UNITEDHEALTH GROUP INC	-200 000	-3,288.66	8,833.47	5,544.81
4/13/2011	4/14/2011	SEC ID: 91324P102	08322000180A			
10/10/2008	7/19/2011	UNITEDHEALTH GROUP INC	-310 000	-5,097.42	15,836.13	10,738.71
7/19/2011	7/20/2011	SEC ID: 91324P102	08322000180A			
6/11/2009	11/18/2010	VERIZON COMMUNICATIONS INC	-945 000	-26,454.63	30,810.82	4,356.19
11/18/2010	11/22/2010	SEC ID: 92343V104	09163000090C			
7/23/2008	12/21/2010	WELLS FARGO & CO	-85.000	-2,641.54	2,587.44	-54.10
12/21/2010	12/22/2010	SEC ID: 949746101	08318000730L			
12/4/2008	12/21/2010	WELLS FARGO & CO	-430 000	-11,635.37	13,089.41	1,454.04
12/21/2010	12/22/2010	SEC ID: 949746101	08340000110C			



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/		Posted Date		Description	Shares Sold Tax Lot ID	Cost		Amount		Realized Gain/Loss	
Reported Date	Date	Date				Base	Base	Base	Base	Base	Base
12/4/2008	3/24/2011			WELLS FARGO & CO	-285 000	-7,711.81		8,985.87		1,274.06	
3/24/2011	3/25/2011			SEC ID: 949746101	08340000110C						
12/4/2008	10/24/2011			WELLS FARGO & CO	-5 000	-135.30		132.60		-2.70	
10/24/2011	10/25/2011			SEC ID: 949746101	08340000110C						
12/2/2008	10/24/2011			WELLS FARGO & CO	-130.000	-3,248.70		3,447.53		198.83	
10/24/2011	10/25/2011			SEC ID: 949746101	08338000070C						
10/15/2010	10/24/2011			WELLS FARGO & CO	-390.000	-9,381.68		10,342.60		960.92	
10/24/2011	10/25/2011			SEC ID 949746101	10291000030C						
TOTAL LONG:						-38,757.500	-859,758.42	1,015,795.04		156,036.62	
SHORT											
6/1/2010	12/21/2010			INGERSOLL-RAND PUBLIC LIMITED	-65 000	-2,461.49		3,053.65		592.16	
12/21/2010	12/22/2010			COMPANY	10153000030C						
2/17/2010	12/21/2010			SEC ID: G47791101	-435 000	-14,198.88		20,430.56		6,231.68	
12/21/2010	12/22/2010			INGERSOLL-RAND PUBLIC LIMITED	10049000040C						
				COMPANY							
2/17/2010	12/21/2010			SEC ID: G47791101	-120 000	-3,916.93		5,637.50		1,720.57	
12/21/2010	12/22/2010			INGERSOLL-RAND PUBLIC LIMITED	10049000040C						
				COMPANY							
11/18/2010	12/21/2010			SEC ID: G47791101	-50.000	-2,388.61		2,403.45		14.84	
12/21/2010	12/22/2010			ABBOTT LABORATORIES	10323000020C						
12/21/2010	12/22/2010			SEC ID: 002824100	-110.000	-5,276.91		5,278.79		1.88	
12/21/2010	3/24/2011			ABBOTT LABORATORIES	10356000440C						
3/24/2011	3/25/2011			SEC ID: 002824100	-245.000	-11,753.12		12,740.29		987.17	
12/21/2010	8/31/2011			ABBOTT LABORATORIES	10356000440C						
8/31/2011	9/2/2011			SEC ID 002824100	-170.000	-8,155.22		9,105.07		949.85	
12/21/2010	10/24/2011			ABBOTT LABORATORIES	10356000440C						
10/24/2011	10/25/2011			SEC ID: 002824100	-160.000	-4,462.40		5,047.91		585.51	
8/19/2010	12/21/2010			ALLSTATE CORP/THE	10232000070C						
12/21/2010	12/22/2010			SEC ID 020002101	-165.000	-5,259.95		5,200.70		-59.25	
12/21/2010	3/24/2011			ALLSTATE CORP/THE	10356000450C						
3/24/2011	3/25/2011			SEC ID: 020002101	-120.000	-7,298.42		6,903.88		-394.54	
4/9/2010	12/21/2010			AMGEN INC	10102000020C						
12/21/2010	12/22/2010			SEC ID: 031162100	-505.000	-5,747.05		6,944.39		1,197.34	
8/19/2010	12/21/2010			APPLIED MATERIALS INC	10235000020C						
12/21/2010	12/22/2010			SEC ID: 038222105	-570.000	-7,946.14		8,908.93		962.79	
1/7/2011	1/31/2011			APPLIED MATERIALS INC	11010000050C						
1/31/2011	2/1/2011			SEC ID: 038222105	-225.000	-2,560.57		3,516.68		956.11	
8/19/2010	1/31/2011			APPLIED MATERIALS INC	10235000020C						
1/31/2011	2/1/2011			SEC ID: 038222105							



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date		Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
8/19/2010	3/24/2011		APPLIED MATERIALS INC SEC ID: 038222105	-225.000	-2,560.57	3,466.06	905.49
3/24/2011	3/25/2011			10235000020C			
4/20/2010	12/21/2010		AVERY DENNISON CORP SEC ID: 053611109	-75.000	-2,795.79	3,173.35	377.56
12/21/2010	12/22/2010			10113000010C			
4/19/2010	12/21/2010		AVERY DENNISON CORP SEC ID: 053611109	-50.000	-1,847.55	2,115.56	268.01
12/21/2010	12/22/2010			10110000020C			
4/19/2010	3/24/2011		AVERY DENNISON CORP SEC ID: 053611109	-60.000	-2,217.06	2,469.55	252.49
3/24/2011	3/25/2011			10110000020C			
8/19/2010	7/20/2011		AVERY DENNISON CORP SEC ID: 053611109	-200.000	-6,765.92	6,486.23	-279.69
7/20/2011	7/21/2011			10232000100C			
2/17/2010	12/21/2010		BANK OF AMERICA CORP SEC ID: 060505104	-405.000	-6,301.68	5,163.66	-1,138.02
12/21/2010	12/22/2010			10049000050C			
1/7/2011	3/24/2011		BANK OF AMERICA CORP SEC ID: 060505104	-585.000	-8,541.18	7,868.50	-672.68
3/24/2011	3/25/2011			11010000060C			
1/7/2011	8/31/2011		BANK OF AMERICA CORP SEC ID: 060505104	-605.000	-8,833.18	4,924.79	-3,908.39
8/31/2011	9/2/2011			11010000060C			
1/31/2011	8/31/2011		BANK OF AMERICA CORP SEC ID: 060505104	-70.000	-961.80	569.81	-391.99
8/31/2011	9/2/2011			11032000040C			
12/21/2010	8/31/2011		BANK OF AMERICA CORP SEC ID: 060505104	-1,145.000	-14,735.01	9,320.46	-5,414.55
8/31/2011	9/2/2011			10356000460C			
8/3/2011	8/31/2011		BANK OF AMERICA CORP SEC ID: 060505104	-615.000	-5,793.67	5,006.19	-787.48
8/31/2011	9/2/2011			11216000020C			
1/7/2010	12/21/2010		BANK OF NEW YORK MELLON CORP/T SEC ID: 064058100	-355.000	-10,348.36	10,529.12	180.76
12/21/2010	12/22/2010			10008000020C			
12/1/2010	8/9/2011		BANK OF NEW YORK MELLON CORP/T SEC ID: 064058100	-240.000	-6,590.35	4,930.32	-1,660.03
8/9/2011	8/10/2011			10336000020C			
8/19/2010	8/9/2011		BANK OF NEW YORK MELLON CORP/T SEC ID: 064058100	-495.000	-12,212.10	10,168.79	-2,043.31
8/9/2011	8/10/2011			10232000090C			
7/20/2010	12/21/2010		CHEVRON CORP SEC ID: 166764100	-25.000	-1,789.60	2,236.46	446.86
12/21/2010	12/22/2010			10202000040C			
7/20/2010	3/24/2011		CHEVRON CORP SEC ID: 166764100	-65.000	-4,652.97	6,861.26	2,208.29
3/24/2011	3/25/2011			10202000040C			
2/24/2010	12/13/2010		COMMUNITY HEALTH SYSTEMS INC SEC ID: 203668108	-235.000	-8,082.36	8,050.73	-31.63
12/13/2010	12/15/2010			10056000060C			
9/20/2010	12/13/2010		COMMUNITY HEALTH SYSTEMS INC SEC ID: 203668108	-340.000	-10,803.80	11,647.86	844.06
12/13/2010	12/15/2010			10264000030C			
9/20/2010	12/21/2010		COMMUNITY HEALTH SYSTEMS INC SEC ID: 203668108	-30.000	-953.28	1,116.15	162.87
12/21/2010	12/22/2010			10264000030C			
4/18/2011	8/19/2011		COMPUTER SCIENCES CORP SEC ID: 205363104	-360.000	-17,811.58	9,817.30	-7,994.28
8/19/2011	8/22/2011			11109000010C			



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
3/7/2011	3/24/2011	GAP INC/THE	-205.000	-4,382.27	4,620.63	238.36
3/24/2011	3/25/2011	SEC ID: 364760108	11067000070C			
4/13/2011	7/27/2011	GAP INC/THE	-580.000	-12,921.36	11,155.27	-1,766.09
7/27/2011	7/28/2011	SEC ID: 364760108	11104000130C			
4/13/2011	8/19/2011	GAP INC/THE	-205.000	-4,567.03	3,267.04	-1,299.99
8/19/2011	8/22/2011	SEC ID: 364760108	11104000130C			
3/7/2011	8/19/2011	GAP INC/THE	-635.000	-13,574.33	10,119.86	-3,454.47
8/19/2011	8/22/2011	SEC ID: 364760108	11067000070C			
2/15/2011	3/24/2011	GENWORTH FINANCIAL INC	-385.000	-5,220.41	4,983.07	-237.34
3/24/2011	3/25/2011	SEC ID: 37247D106	11047000040C			
2/15/2011	8/9/2011	GENWORTH FINANCIAL INC	-905.000	-12,271.35	5,449.53	-6,821.82
8/9/2011	8/10/2011	SEC ID: 37247D106	11047000040C			
2/4/2011	8/9/2011	GENWORTH FINANCIAL INC	-1,400.000	-17,976.00	8,430.22	-9,545.78
8/9/2011	8/10/2011	SEC ID: 37247D106	11038000010C			
3/7/2011	8/9/2011	GENWORTH FINANCIAL INC	-1,425.000	-18,266.08	8,580.75	-9,685.33
8/9/2011	8/10/2011	SEC ID: 37247D106	11067000080C			
4/13/2011	8/9/2011	GENWORTH FINANCIAL INC	-625.000	-7,870.25	3,763.49	-4,106.76
8/9/2011	8/10/2011	SEC ID: 37247D106	11104000140C			
8/19/2010	12/21/2010	GOLDMAN SACHS GROUP INC/THE	-50.000	-7,323.64	8,398.35	1,074.71
12/21/2010	12/22/2010	SEC ID: 38141G104	10232000110C			
8/19/2010	3/24/2011	GOLDMAN SACHS GROUP INC/THE	-10.000	-1,464.73	1,598.27	133.54
3/24/2011	3/25/2011	SEC ID: 38141G104	10232000110C			
8/24/2010	3/24/2011	GOLDMAN SACHS GROUP INC/THE	-10.000	-1,449.22	1,598.26	149.04
3/24/2011	3/25/2011	SEC ID: 38141G104	10237000050C			
1/31/2011	3/24/2011	HARTFORD FINANCIAL SERVICES GR	-50.000	-1,397.50	1,332.47	-65.03
3/24/2011	3/25/2011	SEC ID: 416515104	11032000050C			
3/7/2011	3/24/2011	MACY'S INC	-205.000	-4,791.79	4,727.16	-64.63
3/24/2011	3/25/2011	SEC ID: 55616P104	11067000090C			
4/13/2011	5/11/2011	MACY'S INC	-380.000	-9,365.40	10,731.90	1,366.50
5/11/2011	5/12/2011	SEC ID: 55616P104	11104000150C			
4/13/2011	5/19/2011	MACY'S INC	-340.000	-8,379.57	10,021.67	1,642.10
5/19/2011	5/20/2011	SEC ID: 55616P104	11104000150C			
4/13/2011	7/27/2011	MACY'S INC	-10.000	-246.46	295.74	49.28
7/27/2011	7/28/2011	SEC ID: 55616P104	11104000150C			
3/7/2011	7/27/2011	MACY'S INC	-475.000	-11,102.93	14,047.47	2,944.54
7/27/2011	7/28/2011	SEC ID: 55616P104	11067000090C			
1/7/2011	3/24/2011	MARATHON OIL CORP	-20.000	-767.72	1,013.98	246.26
3/24/2011	3/25/2011	SEC ID: 565849106	11010000070C			
1/7/2011	4/13/2011	MARATHON OIL CORP	-140.000	-5,374.01	6,990.44	1,616.43
4/13/2011	4/14/2011	SEC ID: 565849106	11010000070C			



BNY MELLON

PF SNOW - P19F90020002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
1/7/2011	8/9/2011	MEDTRONIC INC	-320 000	-11,694 40	9,982.21	-1,712 19
8/9/2011	8/10/2011	SEC ID: 585055106	1101000080C			
11/18/2010	8/9/2011	MEDTRONIC INC	-775 000	-26,892.35	24,175.65	-2,716 70
8/9/2011	8/10/2011	SEC ID: 585055106	10323000040C			
12/21/2010	3/24/2011	METLIFE INC	-130 000	-5,798.65	5,806 98	8 33
3/24/2011	3/25/2011	SEC ID 59156R108	10356000470C			
9/20/2010	12/21/2010	MICROSOFTE CORP	-275 000	-6,973 56	7,686.11	712 55
12/21/2010	12/22/2010	SEC ID: 594918104	10264000040C			
3/7/2011	3/24/2011	MICROSOFTE CORP	-170 000	-4,385 95	4,389 74	3 79
3/24/2011	3/25/2011	SEC ID: 594918104	11067000100C			
3/7/2011	7/27/2011	MICROSOFTE CORP	-205 000	-5,288.94	5,664.33	375.39
7/27/2011	7/28/2011	SEC ID 594918104	11067000100C			
4/13/2011	7/27/2011	MICROSOFTE CORP	-390 000	-10,049 44	10,776 03	726 59
7/27/2011	7/28/2011	SEC ID: 594918104	11104000160C			
4/13/2011	10/24/2011	MICROSOFTE CORP	-135 000	-3,478.65	3,681.37	202 72
10/24/2011	10/25/2011	SEC ID: 594918104	11104000160C			
11/23/2009	11/22/2010	MIRANT CORP	-1,235 000	-17,504 77	12,709.91	-4,794.86
11/22/2010	11/23/2010	SEC ID: 60467R100	09328000040C			
12/21/2010	5/4/2011	NOKIA OYJ ADR	-1,915 000	-19,589.49	16,371.78	-3,217.71
5/4/2011	5/5/2011	SEC ID: 654902204	10356000490C			
12/15/2010	12/21/2010	PNC FINANCIAL SERVICES GROUP I	-75 000	-4,467 04	4,512 67	45.63
12/21/2010	12/22/2010	SEC ID: 693475105	10350000020C			
12/21/2010	3/24/2011	PNC FINANCIAL SERVICES GROUP I	-55 000	-3,306 59	3,370 88	64.29
3/24/2011	3/25/2011	SEC ID: 693475105	10356000480C			
8/19/2010	12/21/2010	SAFEWAY INC	-25 000	-499.74	546.49	46 75
12/21/2010	12/22/2010	SEC ID: 786514208	10232000120C			
12/21/2010	3/24/2011	SAFEWAY INC	-240 000	-5,306.55	5,479.09	172.54
3/24/2011	3/25/2011	SEC ID: 786514208	103560000500C			
9/20/2010	12/21/2010	TEXAS INSTRUMENTS INC	-275 000	-7,050 86	8,912 59	1,861.73
12/21/2010	12/22/2010	SEC ID: 882508104	10264000050C			
9/20/2010	3/7/2011	TEXAS INSTRUMENTS INC	-260 000	-6,666 27	9,207 72	2,541.45
3/7/2011	3/8/2011	SEC ID: 882508104	10264000050C			
9/20/2010	3/24/2011	TEXAS INSTRUMENTS INC	-110 000	-2,820.35	3,833.48	1,013.13
3/24/2011	3/25/2011	SEC ID: 882508104	10264000050C			

TOTAL SHORT:

-23,765.000 -506,509.15 469,326.55 -37,182.60

TOTAL LOT DISPOSITION:

-62,522.500 -1,366,267.57 1,485,121.59 118,854.02



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions
by Reported Date
11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/		Posted Date		Description	Shares Sold Tax Lot ID	Cost Base		Amount Base		Realized Gain/Loss Base	
Reported Date	Date	Date									
5/10/2010 6/2/2011	6/2/2011 6/3/2011			PLATINUM UNDERWRITERS HLDGS LTD SHS SEC ID: G7127P100	-60 000 10131000010C	-2,217.67		2,036.96		-180.71	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			AAON INC SEC ID: 000360206	-70.000 10131000030C	-1,586.03		2,257.45		671.42	
5/10/2010 6/21/2011	6/21/2011 6/22/2011			AAON INC SEC ID: 000360206	-150 000 10131000030C	-2,265.75		3,399.14		1,133.39	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			ALLEGiant TRAVEL CO SEC ID: 01748X102	-30 000 10131000040C	-1,543.35		1,283.97		-259.38	
5/10/2010 6/1/2011	6/1/2011 6/2/2011			ARCH CHEMICALS INC SEC ID: 03937R102	-40 000 10131000070C	-1,417.64		1,420.33		2.69	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			ARCH CHEMICALS INC SEC ID: 03937R102	-80 000 10131000070C	-2,835.27		2,793.54		-41.73	
5/10/2010 7/11/2011	7/11/2011 7/12/2011			ARCH CHEMICALS INC SEC ID: 03937R102	-530 000 10131000070C	-18,783.67		24,915.46		6,131.79	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			BALDWIN & LYONS INC SEC ID: 057755209	-30 000 10131000080C	-721.76		652.48		-69.28	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			BRIGHAM EXPLORATION CO SEC ID: 109178103	-90 000 10131000090C	-1,580.41		2,643.24		1,062.83	
5/10/2010 7/15/2011	7/15/2011 7/18/2011			BRIGHAM EXPLORATION CO SEC ID: 109178103	-180 000 10131000090C	-3,160.82		5,711.76		2,550.94	
5/10/2010 10/20/2011	10/20/2011 10/21/2011			BRIGHAM EXPLORATION CO SEC ID: 109178103	-70 000 10131000090C	-1,229.21		2,547.96		1,318.75	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			BRYN MAWR BANK CORP SEC ID: 117665109	-130 000 10131000100C	-2,368.07		2,614.28		246.21	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			CSS INDUSTRIES INC SEC ID: 125906107	-110 000 10131000110C	-2,264.60		1,959.09		-305.51	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			CABELA'S INC SEC ID: 126804301	-120 000 10131000140C	-2,389.96		2,853.60		463.64	
5/10/2010 6/21/2011	6/21/2011 6/22/2011			CABELA'S INC SEC ID: 126804301	-200 000 10131000140C	-3,983.26		5,065.74		1,082.48	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			COLUMBIA BANKING SYSTEM INC SEC ID: 197236102	-150 000 10131000160C	-3,330.60		2,594.98		-735.62	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			COMMUNITY BANK SYSTEM INC SEC ID: 203607106	-30 000 10131000170C	-712.47		716.71		4.24	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			DREW INDUSTRIES INC SEC ID: 26168L205	-100 000 10131000200C	-2,292.15		2,525.15		233.00	
5/10/2010 6/2/2011	6/2/2011 6/3/2011			FIRST BANCORP/TROY NC SEC ID: 318910106	-60 000 10131000210C	-932.65		667.79		-264.86	



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions
by Reported Date
11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/										
Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base				
5/10/2010 6/2/2011	6/2/2011 6/3/2011	GULFPORT ENERGY CORP SEC ID: 402635304	-100.000 10131000240C	-1,262.06	2,844.96	1,582.90				
5/10/2010 5/11/2011	5/11/2011 5/12/2011	HALLMARK FINANCIAL SERVICES SEC ID: 40624Q203	-200.000 10131000250C	-2,149.58	1,513.93	-635.65				
5/10/2010 5/13/2011	5/13/2011 5/16/2011	HALLMARK FINANCIAL SERVICES SEC ID: 40624Q203	-100.000 10131000250C	-1,074.79	705.98	-368.81				
5/10/2010 5/16/2011	5/16/2011 5/17/2011	HALLMARK FINANCIAL SERVICES SEC ID: 40624Q203	-460.000 10131000250C	-4,944.04	3,063.54	-1,880.50				
5/10/2010 5/17/2011	5/17/2011 5/18/2011	HALLMARK FINANCIAL SERVICES SEC ID: 40624Q203	-170.000 10131000250C	-1,827.14	1,116.87	-710.27				
5/10/2010 6/2/2011	6/2/2011 6/3/2011	HILL-ROM HOLDINGS INC SEC ID: 431475102	-70.000 10131000280C	-2,127.53	3,200.33	1,072.80				
5/10/2010 6/2/2011	6/2/2011 6/3/2011	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-190.000 10131000300C	-2,635.60	2,454.81	-180.79				
5/10/2010 6/13/2011	6/13/2011 6/14/2011	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-140.000 10131000300C	-1,942.02	1,766.14	-175.88				
5/10/2010 8/12/2011	8/12/2011 8/15/2011	INTERVAL LEISURE GROUP INC SEC ID 46113M108	-330.000 10131000300C	-4,577.63	3,621.58	-956.05				
5/10/2010 8/15/2011	8/15/2011 8/16/2011	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-120.000 10131000300C	-1,664.59	1,334.15	-330.44				
5/10/2010 8/30/2011	8/30/2011 8/31/2011	INTERVAL LEISURE GROUP INC SEC ID 46113M108	-140.000 10131000300C	-1,942.03	1,773.13	-168.90				
5/10/2010 6/2/2011	6/2/2011 6/3/2011	JOHN BEAN TECHNOLOGIES CORP SEC ID 477839104	-110.000 10131000310C	-1,929.86	2,093.26	163.40				
5/10/2010 6/2/2011	6/2/2011 6/3/2011	KNOLL INC SEC ID: 498904200	-55.000 10131000330C	-742.12	1,009.36	267.24				
5/10/2010 9/21/2011	9/21/2011 9/22/2011	KNOLL INC SEC ID: 498904200	-210.000 10131000330C	-2,833.55	2,857.39	23.84				
5/10/2010 10/27/2011	10/27/2011 10/28/2011	KNOLL INC SEC ID: 498904200	-270.000 10131000330C	-3,643.14	4,357.28	714.14				
5/10/2010 6/2/2011	6/2/2011 6/3/2011	LANDEC CORP SEC ID: 514766104	-330.000 10131000350C	-1,912.18	1,910.73	-1.45				
5/10/2010 6/13/2011	6/13/2011 6/14/2011	LANDEC CORP SEC ID: 514766104	-200.000 10131000350C	-1,158.90	1,193.19	34.29				
5/10/2010 6/14/2011	6/14/2011 6/15/2011	LANDEC CORP SEC ID: 514766104	-295.000 10131000350C	-1,709.38	1,760.82	51.44				
5/10/2010 6/28/2011	6/28/2011 6/29/2011	LANDEC CORP SEC ID: 514766104	-210.000 10131000350C	-1,216.85	1,315.28	98.43				
5/10/2010 8/10/2011	8/10/2011 8/11/2011	LANDEC CORP SEC ID: 514766104	-200.000 10131000350C	-1,158.90	1,163.07	4.17				

2/29/2012

12 46 40PM

EST



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/10/2010	8/11/2011	LANDEC CORP	-180.000	-1,043.01	1,050.05	7.04
8/11/2011	8/12/2011	SEC ID: 514766104	10131000350C			
5/10/2010	8/12/2011	LANDEC CORP	-250.000	-1,448.62	1,458.70	10.08
8/12/2011	8/15/2011	SEC ID: 514766104	10131000350C			
5/10/2010	8/16/2011	LANDEC CORP	-180.000	-1,043.01	1,070.66	27.65
8/16/2011	8/17/2011	SEC ID: 514766104	10131000350C			
5/10/2010	8/17/2011	LANDEC CORP	-100.000	-579.45	599.21	19.76
8/17/2011	8/18/2011	SEC ID: 514766104	10131000350C			
5/10/2010	8/26/2011	LANDEC CORP	-200.000	-1,158.90	1,195.97	37.07
8/26/2011	8/29/2011	SEC ID: 514766104	10131000350C			
5/10/2010	9/1/2011	LANDEC CORP	-100.000	-579.45	598.15	18.70
9/1/2011	9/2/2011	SEC ID: 514766104	10131000350C			
5/10/2010	9/12/2011	LANDEC CORP	-140.000	-811.23	809.87	-1.36
9/12/2011	9/13/2011	SEC ID: 514766104	10131000350C			
5/10/2010	6/2/2011	LIFETIME BRANDS INC	-150.000	-2,058.86	1,744.46	-314.40
6/2/2011	6/3/2011	SEC ID: 53222Q103	10131000360C			
5/10/2010	9/21/2011	LIFETIME BRANDS INC	-100.000	-1,372.57	997.94	-374.63
9/21/2011	9/22/2011	SEC ID: 53222Q103	10131000360C			
5/10/2010	10/7/2011	LIFETIME BRANDS INC	-110.000	-1,509.83	1,059.28	-450.55
10/7/2011	10/10/2011	SEC ID: 53222Q103	10131000360C			
5/10/2010	5/24/2011	LYDALL INC	-100.000	-814.70	1,036.98	222.28
5/24/2011	5/24/2011	SEC ID: 550819106	10131000370C			
5/10/2010	6/2/2011	LYDALL INC	-230.000	-1,873.81	2,546.12	672.31
6/2/2011	6/3/2011	SEC ID: 550819106	10131000370C			
5/10/2010	6/2/2011	MAGELLAN HEALTH SERVICES INC	-80.000	-3,275.50	4,202.31	926.81
6/2/2011	6/3/2011	SEC ID: 559079207	10131000380C			
5/10/2010	6/21/2011	MCGRATH RENTCORP	-100.000	-2,411.08	2,735.04	323.96
6/21/2011	6/22/2011	SEC ID: 580589109	10131000390C			
5/10/2010	6/2/2011	NATIONAL WESTERN LIFE INSURANC	-20.000	-3,480.40	3,002.54	-477.86
6/2/2011	6/3/2011	SEC ID: 638522102	10131000430C			
5/10/2010	6/2/2011	NOBEL LEARNING COMMUNITIES INC	-120.000	-801.78	1,376.41	574.63
6/2/2011	6/3/2011	SEC ID: 654889104	10131000440C			
5/10/2010	8/10/2011	NOBEL LEARNING COMMUNITIES INC	-755.000	-5,044.53	8,871.25	3,826.72
8/10/2011	8/10/2011	SEC ID: 654889104	10131000440C			
5/10/2010	6/2/2011	NORTHERN OIL AND GAS INC	-150.000	-2,258.20	2,799.02	540.82
6/2/2011	6/3/2011	SEC ID: 665531109	10131000450C			
5/10/2010	6/2/2011	OCWEN FINANCIAL CORP	-590.000	-6,799.40	6,967.88	168.48
6/2/2011	6/3/2011	SEC ID: 675746309	10131000460C			
5/10/2010	8/4/2011	OCWEN FINANCIAL CORP	-350.000	-4,033.54	4,525.13	491.59
8/4/2011	8/5/2011	SEC ID: 675746309	10131000460C			

2/29/2012

12:46:40PM

EST



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/10/2010	8/17/2011	OCWEN FINANCIAL CORP SEC ID: 675746309	-160.000	-1,843.90	2,114.78	270.88
8/17/2011	8/18/2011		10131000460C			
5/10/2010	9/1/2011	OCWEN FINANCIAL CORP SEC ID: 675746309	-100.000	-1,152.44	1,327.57	175.13
9/1/2011	9/2/2011		10131000460C			
5/10/2010	9/2/2011	OCWEN FINANCIAL CORP SEC ID: 675746309	-320.000	-3,687.81	4,110.80	422.99
9/2/2011	9/6/2011		10131000460C			
5/10/2010	6/2/2011	OMNOVA SOLUTIONS INC SEC ID: 682129101	-420.000	-3,050.96	3,843.00	792.04
6/2/2011	6/3/2011		10131000470C			
5/10/2010	6/2/2011	OVERHILL FARMS INC SEC ID: 690212105	-110.000	-675.85	669.89	-5.96
6/2/2011	6/3/2011		10131000480C			
7/29/2010	10/5/2011	PARK NATIONAL CORP SEC ID: 700658107	-15.000	-1,011.20	801.09	-210.11
10/5/2011	10/6/2011		10211000020C			
7/28/2010	10/5/2011	PARK NATIONAL CORP SEC ID: 700658107	-85.000	-5,728.24	4,539.52	-1,188.72
10/5/2011	10/6/2011		10210000040C			
7/28/2010	10/12/2011	PARK NATIONAL CORP SEC ID: 700658107	-15.000	-1,010.86	849.64	-161.22
10/12/2011	10/13/2011		10210000040C			
9/13/2010	10/12/2011	PARK NATIONAL CORP SEC ID: 700658107	-100.000	-6,276.47	5,664.27	-612.20
10/12/2011	10/13/2011		10257000090C			
5/10/2010	6/2/2011	RTI INTERNATIONAL METALS INC SEC ID: 74973W107	-100.000	-2,571.74	3,749.94	1,178.20
6/2/2011	6/3/2011		10131000500C			
5/10/2010	6/2/2011	RENT-A-CENTER INC/TX SEC ID: 76009N100	-100.000	-2,502.85	3,089.99	587.14
6/2/2011	6/3/2011		10131000510C			
5/10/2010	6/2/2011	SALLY BEAUTY HOLDINGS INC SEC ID: 79546E104	-230.000	-2,225.39	3,739.74	1,514.35
6/2/2011	6/3/2011		10131000530C			
5/10/2010	6/13/2011	SALLY BEAUTY HOLDINGS INC SEC ID: 79546E104	-165.000	-1,596.47	2,568.34	971.87
6/13/2011	6/14/2011		10131000530C			
5/10/2010	6/2/2011	SCHOOL SPECIALTY INC SEC ID: 807863105	-190.000	-4,112.51	2,739.80	-1,372.71
6/2/2011	6/3/2011		10131000540C			
5/10/2010	9/21/2011	SCHOOL SPECIALTY INC SEC ID: 807863105	-100.000	-2,164.48	832.17	-1,332.31
9/21/2011	9/22/2011		10131000540C			
5/10/2010	6/2/2011	SOLUTIA INC SEC ID: 834376501	-220.000	-3,449.01	5,359.20	1,910.19
6/2/2011	6/3/2011		10131000550C			
5/10/2010	7/25/2011	SOLUTIA INC SEC ID: 834376501	-500.000	-7,838.65	10,977.39	3,138.74
7/25/2011	7/26/2011		10131000550C			
5/10/2010	6/2/2011	STANDEX INTERNATIONAL CORP SEC ID: 854231107	-130.000	-3,144.04	4,252.25	1,108.21
6/2/2011	6/3/2011		10131000560C			
5/10/2010	6/2/2011	STERLING BANCORP/NY SEC ID: 859158107	-90.000	-881.81	822.58	-59.23
6/2/2011	6/3/2011		10131000570C			
5/10/2010	6/2/2011	THOMAS & BETTS CORP SEC ID: 884315102	-40.000	-1,622.56	2,121.15	498.59
6/2/2011	6/3/2011		10131000610C			

2/29/2012

12:46 40PM

EST



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/10/2010	8/25/2011	THOMAS & BETTS CORP	-120.000	-4,867.68	4,723.86	-143.82
8/25/2011	8/26/2011	SEC ID: 884315102	10131000610C			
5/10/2010	8/26/2011	THOMAS & BETTS CORP	-120.000	-4,867.68	4,696.84	-170.84
8/26/2011	8/29/2011	SEC ID: 884315102	10131000610C			
5/10/2010	6/2/2011	WEST PHARMACEUTICAL SERVICES I	-50.000	-2,061.44	2,234.45	173.01
6/2/2011	6/3/2011	SEC ID: 955306105	10131000650C			
5/10/2010	8/4/2011	WEST PHARMACEUTICAL SERVICES I	-60.000	-2,473.73	2,519.21	45.48
8/4/2011	8/5/2011	SEC ID: 955306105	10131000650C			
5/10/2010	8/30/2011	WEST PHARMACEUTICAL SERVICES I	-60.000	-2,473.73	2,405.75	-67.98
8/30/2011	8/31/2011	SEC ID: 955306105	10131000650C			
5/10/2010	6/2/2011	WHITING PETROLEUM CORP	-40.000	-1,679.00	2,585.95	906.95
6/2/2011	6/3/2011	SEC ID: 966387102	10131000660C			
5/10/2010	10/4/2011	WHITING PETROLEUM CORP	-260.000	-10,913.50	7,949.99	-2,963.51
10/4/2011	10/5/2011	SEC ID: 966387102	10131000660C			
5/20/2010	6/1/2011	XERUM TECHNOLOGIES INC	-9.500	-211.72	191.44	-20.28
6/1/2011	6/2/2011	SEC ID: 98416J118	10148000230F			
5/21/2010	6/1/2011	XERUM TECHNOLOGIES INC	-29.500	-640.55	594.48	-46.07
6/1/2011	6/2/2011	SEC ID: 98416J118	10173000040A			
5/27/2010	6/1/2011	XERUM TECHNOLOGIES INC	-61.000	-981.40	1,229.25	247.85
6/1/2011	6/2/2011	SEC ID: 98416J118	10152000100C			
5/27/2010	6/2/2011	XERUM TECHNOLOGIES INC	-89.000	-1,431.89	1,745.53	313.64
6/2/2011	6/3/2011	SEC ID: 98416J118	10152000100C			
6/7/2010	9/21/2011	XERUM TECHNOLOGIES INC	-80.000	-1,246.00	949.95	-296.05
9/21/2011	9/22/2011	SEC ID: 98416J118	10159000040C			

TOTAL LONG:

-14,304.000	-230,860.66	254,362.21	23,501.55
-------------	-------------	------------	-----------

SHORT

12/8/2010	12/22/2010	HELEN OF TROY LTD NEW	-180.000	-4,272.16	5,336.09	1,063.93
12/22/2010	12/23/2010	SEC ID: G4388N106	10343000040C			
12/8/2010	6/2/2011	HELEN OF TROY LTD NEW	-110.000	-2,610.76	3,407.76	797.00
6/2/2011	6/3/2011	SEC ID: G4388N106	10343000040C			
12/8/2010	8/4/2011	HELEN OF TROY LTD NEW	-50.000	-1,186.71	1,605.97	419.26
8/4/2011	8/5/2011	SEC ID: G4388N106	10343000040C			
12/7/2010	8/4/2011	HELEN OF TROY LTD NEW	-40.000	-946.80	1,284.77	337.97
8/4/2011	8/5/2011	SEC ID: G4388N106	10342000060C			
12/7/2010	8/9/2011	HELEN OF TROY LTD NEW	-60.000	-1,420.21	1,688.28	268.07
8/9/2011	8/10/2011	SEC ID: G4388N106	10342000060C			
5/10/2010	12/22/2010	PLATINUM UNDERWRITERS HLDGS	-70.000	-2,587.28	3,174.79	587.51
12/22/2010	12/23/2010	LTD SHS	10131000010C			
		SEC ID: G7127P100				

2/29/2012

12:46 40PM

EST

30

Workbench



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date				Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
11/3/2010	12/22/2010			12/22/2010	TEXTAINER GROUP HLDGS LTD SHS	-130 000	-3,585.16	3,751.16	166.00
12/22/2010				12/23/2010	SEC ID: G8766E109	10308000030C			
11/3/2010	4/4/2011			4/4/2011	TEXTAINER GROUP HLDGS LTD SHS	-80 000	-2,206.26	2,995.44	789.18
4/4/2011				4/5/2011	SEC ID: G8766E109	10308000030C			
11/3/2010	4/27/2011			4/27/2011	TEXTAINER GROUP HLDGS LTD SHS	-10.000	-275.78	351.00	75.22
4/27/2011				4/28/2011	SEC ID: G8766E109	10308000030C			
11/4/2010	4/27/2011			4/27/2011	TEXTAINER GROUP HLDGS LTD SHS	-90.000	-2,401.41	3,159.02	757.61
4/27/2011				4/28/2011	SEC ID: G8766E109	10309000020C			
11/4/2010	4/28/2011			4/28/2011	TEXTAINER GROUP HLDGS LTD SHS	-130 000	-3,468.70	4,569.52	1,100.82
4/28/2011				4/29/2011	SEC ID: G8766E109	10309000020C			
8/20/2010	4/28/2011			4/28/2011	TEXTAINER GROUP HLDGS LTD SHS	-40.000	-1,065.21	1,406.00	340.79
4/28/2011				4/29/2011	SEC ID: G8766E109	10235000060C			
8/20/2010	5/16/2011			5/16/2011	TEXTAINER GROUP HLDGS LTD SHS	-100.000	-2,663.02	3,234.12	571.10
5/16/2011				5/17/2011	SEC ID: G8766E109	10235000060C			
8/20/2010	6/2/2011			6/2/2011	TEXTAINER GROUP HLDGS LTD SHS	-195.000	-5,192.89	5,924.15	731.26
6/2/2011				6/3/2011	SEC ID: G8766E109	10235000060C			
5/10/2010	12/22/2010			12/22/2010	ALTISOURCE PORTFOLIO SOLUTIONS	-90.000	-1,974.24	2,582.50	608.26
12/22/2010				12/23/2010	SA REG SHS	10131000020C			
2/25/2011	6/2/2011			6/2/2011	SEC ID: L0175J104	-70.000	-2,112.23	2,517.85	405.62
6/2/2011				6/3/2011	ALTISOURCE PORTFOLIO SOLUTIONS	11059000050C			
5/10/2010	12/22/2010			12/22/2010	AAON INC	-120 000	-2,718.90	3,466.30	747.40
12/22/2010				12/23/2010	SEC ID: 000360206	10131000030C			
5/10/2010	11/12/2010			11/12/2010	ALLEGiant TRAVEL CO	-160 000	-8,231.20	7,619.25	-611.95
11/12/2010				11/15/2010	SEC ID: 01748X102	10131000040C			
5/10/2010	12/22/2010			12/22/2010	ALLEGiant TRAVEL CO	-50 000	-2,572.25	2,474.70	-97.55
12/22/2010				12/23/2010	SEC ID: 01748X102	10131000040C			
9/13/2010	6/2/2011			6/2/2011	ALLEGiant TRAVEL CO	-10.000	-407.63	427.99	20.36
6/2/2011				6/3/2011	SEC ID: 01748X102	10257000050C			
9/13/2010	6/13/2011			6/13/2011	ALLEGiant TRAVEL CO	-95 000	-3,872.46	4,068.61	196.15
6/13/2011				6/14/2011	SEC ID: 01748X102	10257000050C			
9/13/2010	6/21/2011			6/21/2011	ALLEGiant TRAVEL CO	-135 000	-5,502.96	6,074.79	571.83
6/21/2011				6/22/2011	SEC ID: 01748X102	10257000050C			
5/18/2010	12/22/2010			12/22/2010	AMBASSADORS GROUP INC	-125 000	-1,549.76	1,466.88	-82.88
12/22/2010				12/23/2010	SEC ID: 023177108	10139000040C			
5/13/2010	12/22/2010			12/22/2010	AMBASSADORS GROUP INC	-125 000	-1,542.06	1,466.89	-75.17
12/22/2010				12/23/2010	SEC ID: 023177108	10134000040C			
5/17/2010	12/22/2010			12/22/2010	AMBASSADORS GROUP INC	-100.000	-1,222.38	1,173.51	-48.87
12/22/2010				12/23/2010	SEC ID: 023177108	10138000020C			



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/14/2010	12/22/2010	AMBASSADORS GROUP INC	-30.000	-366.26	352.05	-14.21
12/22/2010	12/23/2010	SEC ID: 023177108	10137000020C			
5/14/2010	3/2/2011	AMBASSADORS GROUP INC	-90.000	-1,098.77	943.80	-154.97
3/2/2011	3/3/2011	SEC ID: 023177108	10137000020C			
5/19/2010	3/2/2011	AMBASSADORS GROUP INC	-120.000	-1,436.46	1,258.40	-178.06
3/2/2011	3/3/2011	SEC ID: 023177108	10140000020C			
5/19/2010	3/3/2011	AMBASSADORS GROUP INC	-105.000	-1,256.90	1,106.65	-150.25
3/3/2011	3/4/2011	SEC ID: 023177108	10140000020C			
6/28/2010	3/3/2011	AMBASSADORS GROUP INC	-35.000	-401.37	368.88	-32.49
3/3/2011	3/4/2011	SEC ID: 023177108	10180000040C			
6/28/2010	3/4/2011	AMBASSADORS GROUP INC	-100.000	-1,146.78	1,038.45	-108.33
3/4/2011	3/7/2011	SEC ID: 023177108	10180000040C			
6/28/2010	3/8/2011	AMBASSADORS GROUP INC	-75.000	-860.09	790.67	-69.42
3/8/2011	3/9/2011	SEC ID: 023177108	10180000040C			
7/1/2010	3/8/2011	AMBASSADORS GROUP INC	-125.000	-1,401.26	1,317.78	-83.48
3/8/2011	3/9/2011	SEC ID: 023177108	10183000050C			
7/1/2010	3/18/2011	AMBASSADORS GROUP INC	-55.000	-616.56	562.64	-53.92
3/18/2011	3/21/2011	SEC ID: 023177108	10183000050C			
12/15/2010	3/18/2011	AMBASSADORS GROUP INC	-145.000	-1,600.06	1,483.32	-116.74
3/18/2011	3/21/2011	SEC ID: 023177108	10350000040C			
12/15/2010	3/23/2011	AMBASSADORS GROUP INC	-100.000	-1,103.49	1,036.88	-66.61
3/23/2011	3/24/2011	SEC ID: 023177108	10350000040C			
12/15/2010	3/25/2011	AMBASSADORS GROUP INC	-35.000	-386.22	372.85	-13.37
3/25/2011	3/28/2011	SEC ID: 023177108	10350000040C			
6/29/2010	3/25/2011	AMBASSADORS GROUP INC	-65.000	-717.14	692.44	-24.70
3/25/2011	3/28/2011	SEC ID: 023177108	10181000090C			
6/29/2010	3/30/2011	AMBASSADORS GROUP INC	-50.000	-551.64	531.63	-20.01
3/30/2011	3/31/2011	SEC ID: 023177108	10181000090C			
10/21/2010	3/30/2011	AMBASSADORS GROUP INC	-50.000	-551.00	531.63	-19.37
3/30/2011	3/31/2011	SEC ID: 023177108	10295000050C			
10/21/2010	4/1/2011	AMBASSADORS GROUP INC	-100.000	-1,102.00	1,092.00	-10.00
4/1/2011	4/4/2011	SEC ID: 023177108	10295000050C			
10/21/2010	4/6/2011	AMBASSADORS GROUP INC	-150.000	-1,653.00	1,641.68	-11.32
4/6/2011	4/7/2011	SEC ID: 023177108	10295000050C			
10/21/2010	4/12/2011	AMBASSADORS GROUP INC	-140.000	-1,542.80	1,446.20	-96.60
4/12/2011	4/13/2011	SEC ID: 023177108	10295000050C			
10/21/2010	4/13/2011	AMBASSADORS GROUP INC	-210.000	-2,314.20	2,123.28	-190.92
4/13/2011	4/14/2011	SEC ID: 023177108	10295000050C			
12/14/2010	12/22/2010	AMERICAN REPROGRAPHICS CO	-420.000	-2,909.26	3,131.08	221.82
12/22/2010	12/23/2010	SEC ID: 029263100	10349000040C			

2/29/2012

12:46:40PM

EST

32

Workbench



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date		Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
12/14/2010	6/2/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	-100.000	-692.68	885.98	193.30
6/2/2011	6/3/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	10349000040C			
12/13/2010	6/2/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	-170.000	-1,161.37	1,506.17	344.80
6/2/2011	6/3/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	10348000030C			
12/13/2010	8/4/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	-100.000	-683.16	598.33	-84.83
8/4/2011	8/5/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	10348000030C			
12/13/2010	8/22/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	-250.000	-1,707.90	960.66	-747.24
8/22/2011	8/23/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	10348000030C			
12/13/2010	8/23/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	-160.000	-1,093.06	609.66	-483.40
8/23/2011	8/24/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	10348000030C			
12/10/2010	8/23/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	-20.000	-136.36	76.21	-60.15
8/23/2011	8/24/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	10347000090C			
12/10/2010	8/24/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	-140.000	-954.51	541.96	-412.55
8/24/2011	8/25/2011		AMERICAN REPROGRAPHICS CO SEC ID: 029263100	10347000090C			
1/5/2011	6/2/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-160.000	-2,251.63	2,038.51	-213.12
6/2/2011	6/3/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11006000050C			
1/4/2011	6/2/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-50.000	-703.39	637.04	-66.35
6/2/2011	6/3/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11005000020C			
1/4/2011	6/13/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-280.000	-3,938.98	3,243.31	-695.67
6/13/2011	6/14/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11005000020C			
1/4/2011	6/22/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-60.000	-844.07	773.31	-70.76
6/22/2011	6/23/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11005000020C			
1/7/2011	6/22/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-80.000	-1,124.00	1,031.07	-92.93
6/22/2011	6/23/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11010000040C			
1/7/2011	7/5/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-100.000	-1,405.00	1,309.09	-95.91
7/5/2011	7/6/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11010000040C			
1/7/2011	8/9/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-70.000	-983.50	682.65	-300.85
8/9/2011	8/10/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11010000040C			
1/6/2011	8/9/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-200.000	-2,808.66	1,950.44	-858.22
8/9/2011	8/10/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11007000040C			
4/12/2011	8/9/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-110.000	-1,464.96	1,072.74	-392.22
8/9/2011	8/10/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11103000040C			
4/13/2011	8/11/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-100.000	-1,331.39	950.66	-380.73
8/11/2011	8/12/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11104000060C			
3/23/2011	8/11/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-160.000	-2,091.52	1,521.06	-570.46
8/11/2011	8/12/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11083000040C			
3/23/2011	8/12/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-30.000	-392.16	284.34	-107.82
8/12/2011	8/15/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11083000040C			
3/16/2011	8/12/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	-100.000	-1,301.54	947.82	-353.72
8/12/2011	8/15/2011		APOGEE ENTERPRISES INC SEC ID: 037598109	11076000040C			

2/29/2012

12:46:40PM EST

33

Workbench



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions
by Reported Date
11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date		Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/10/2010	12/22/2010		ARCH CHEMICALS INC SEC ID: 03937R102	-140,000	-4,961.73	5,025.31	63.58
12/22/2010	12/23/2010			10131000070C			
3/7/2011	6/1/2011		ARCH CHEMICALS INC SEC ID: 03937R102	-60,000	-2,245.48	2,130.50	-114.98
6/1/2011	6/2/2011			11067000030C			
8/16/2010	12/22/2010		ASTA FUNDING INC SEC ID: 046220109	-160,000	-1,502.86	1,329.41	-173.45
12/22/2010	12/23/2010			10229000010C			
8/13/2010	12/22/2010		ASTA FUNDING INC SEC ID: 046220109	-60,000	-556.80	498.53	-58.27
12/22/2010	12/23/2010			10228000030C			
8/13/2010	6/2/2011		ASTA FUNDING INC SEC ID: 046220109	-60,000	-556.79	436.21	-120.58
6/2/2011	6/3/2011			10228000030C			
7/26/2010	6/2/2011		ASTA FUNDING INC SEC ID: 046220109	-80,000	-731.76	581.61	-150.15
6/2/2011	6/3/2011			10208000010C			
5/10/2010	12/22/2010		BALDWIN & LYONS INC SEC ID: 057755209	-50,000	-1,202.92	1,208.72	5.80
12/22/2010	12/23/2010			10131000080C			
5/10/2010	12/22/2010		BRIGHAM EXPLORATION CO SEC ID: 109178103	-360,000	-6,321.64	10,024.07	3,702.43
12/22/2010	12/23/2010			10131000090C			
5/10/2010	1/18/2011		BRIGHAM EXPLORATION CO SEC ID: 109178103	-170,000	-2,985.22	4,808.01	1,822.79
1/18/2011	1/19/2011			10131000090C			
5/10/2010	2/25/2011		BRIGHAM EXPLORATION CO SEC ID: 109178103	-160,000	-2,809.61	5,547.49	2,737.88
2/25/2011	2/28/2011			10131000090C			
5/10/2010	2/28/2011		BRIGHAM EXPLORATION CO SEC ID: 109178103	-140,000	-2,458.41	5,076.51	2,618.10
2/28/2011	3/1/2011			10131000090C			
5/10/2010	3/28/2011		BRIGHAM EXPLORATION CO SEC ID: 109178103	-150,000	-2,634.02	5,391.27	2,757.25
3/28/2011	3/29/2011			10131000090C			
5/10/2010	4/7/2011		BRIGHAM EXPLORATION CO SEC ID: 109178103	-130,000	-2,282.81	4,678.03	2,395.22
4/7/2011	4/8/2011			10131000090C			
5/10/2010	4/13/2011		BRIGHAM EXPLORATION CO SEC ID: 109178103	-150,000	-2,634.01	5,040.94	2,406.93
4/13/2011	4/14/2011			10131000090C			
5/10/2010	5/5/2011		BRIGHAM EXPLORATION CO SEC ID: 109178103	-100,000	-1,756.01	2,830.66	1,074.65
5/5/2011	5/6/2011			10131000090C			
8/12/2011	10/20/2011		BRIGHAM EXPLORATION CO SEC ID: 109178103	-40,000	-1,146.99	1,455.97	308.98
10/20/2011	10/21/2011			11227000050C			
5/10/2010	12/22/2010		BRYN MAWR BANK CORP SEC ID: 117665109	-190,000	-3,461.02	3,261.29	-199.73
12/22/2010	12/23/2010			10131000100C			
6/21/2010	12/22/2010		CAI INTERNATIONAL INC SEC ID: 12477X106	-160,000	-2,369.98	2,938.36	568.38
12/22/2010	12/23/2010			10173000050C			
6/18/2010	12/22/2010		CAI INTERNATIONAL INC SEC ID: 12477X106	-20,000	-296.09	367.30	71.21
12/22/2010	12/23/2010			10172000020C			
4/28/2011	5/13/2011		CAI INTERNATIONAL INC SEC ID: 12477X106	-190,000	-4,885.49	4,353.80	-531.69
5/13/2011	5/16/2011			11119000050C			



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
4/28/2011	5/16/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	-100 000	-2,571.31	2,239.65	-331.66
5/16/2011	5/18/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	11119000050C			
4/27/2011	5/16/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	-40 000	-1,010.81	895.86	-114.95
5/16/2011	5/18/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	11118000050C			
4/27/2011	5/19/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	-60 000	-1,516.22	1,363.23	-152.99
5/19/2011	5/20/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	11118000050C			
6/18/2010	5/19/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	-90 000	-1,332.41	2,044.84	712.43
5/19/2011	5/20/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	10172000020C			
6/18/2010	6/1/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	-120 000	-1,776.55	2,764.48	987.93
6/1/2011	6/2/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	10172000020C			
6/18/2010	6/2/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	-75 000	-1,110.35	1,662.65	552.30
6/2/2011	6/3/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	10172000020C			
6/22/2010	6/2/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	-15 000	-208.37	332.53	124.16
6/2/2011	6/3/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	10174000070C			
6/22/2010	6/8/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	-120 000	-1,666.96	2,408.31	741.35
6/8/2011	6/9/2011	CAI INTERNATIONAL INC SEC ID: 12477X106	10174000070C			
11/12/2010	12/21/2010	CPI CORP SEC ID: 125902106	-150 000	-4,091.36	3,499.77	-591.59
12/21/2010	12/22/2010	CPI CORP SEC ID: 125902106	10319000050C			
6/30/2010	12/21/2010	CPI CORP SEC ID: 125902106	-40 000	-892.68	933.27	40.59
12/21/2010	12/22/2010	CPI CORP SEC ID: 125902106	10182000050C			
6/30/2010	12/22/2010	CPI CORP SEC ID: 125902106	-100 000	-2,231.69	2,112.59	-119.10
12/22/2010	12/23/2010	CPI CORP SEC ID: 125902106	10182000050C			
6/30/2010	12/23/2010	CPI CORP SEC ID: 125902106	-10 000	-223.17	208.96	-14.21
12/23/2010	12/24/2010	CPI CORP SEC ID: 125902106	10182000050C			
6/29/2010	12/23/2010	CPI CORP SEC ID: 125902106	-90 000	-1,977.63	1,880.60	-97.03
12/23/2010	12/24/2010	CPI CORP SEC ID: 125902106	10181000110C			
6/29/2010	12/27/2010	CPI CORP SEC ID: 125902106	-65 000	-1,428.29	1,343.45	-84.84
12/27/2010	12/28/2010	CPI CORP SEC ID: 125902106	10181000110C			
9/10/2010	12/27/2010	CPI CORP SEC ID: 125902106	-115 000	-2,524.76	2,376.88	-147.88
12/27/2010	12/28/2010	CPI CORP SEC ID: 125902106	10256000110C			
5/10/2010	12/22/2010	CSS INDUSTRIES INC SEC ID: 125906107	-160 000	-3,293.97	3,386.50	92.53
12/22/2010	12/23/2010	CSS INDUSTRIES INC SEC ID: 125906107	10131000110C			
5/10/2010	11/1/2010	CNA SURETY CORP SEC ID: 12612L108	-320 000	-5,328.26	7,382.78	2,054.52
11/1/2010	11/1/2010	CNA SURETY CORP SEC ID: 12612L108	10131000120C			
5/10/2010	12/22/2010	CNA SURETY CORP SEC ID: 12612L108	-60 000	-999.05	1,425.36	426.31
12/22/2010	12/23/2010	CNA SURETY CORP SEC ID: 12612L108	10131000120C			
5/10/2010	4/21/2011	CNA SURETY CORP SEC ID: 12612L108	-150 000	-2,497.62	3,972.67	1,475.05
4/21/2011	4/22/2011	CNA SURETY CORP SEC ID: 12612L108	10131000120C			
5/10/2010	4/25/2011	CNA SURETY CORP SEC ID: 12612L108	-110 000	-1,831.58	2,912.69	1,081.11
4/25/2011	4/26/2011	CNA SURETY CORP SEC ID: 12612L108	10131000120C			

2/29/2012

12 46:40PM EST

35

Workbench



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions
by Reported Date
11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
2/22/2011	6/2/2011	CTS CORP	-110.000	-1,317.26	1,060.39	-256.87
6/2/2011	6/3/2011	SEC ID: 126501105	11054000050C			
10/19/2010	12/22/2010	CVB FINANCIAL CORP	-460.000	-3,655.48	4,091.68	436.20
12/22/2010	12/23/2010	SEC ID: 126600105	10293000030C			
10/19/2010	6/2/2011	CVB FINANCIAL CORP	-300.000	-2,384.01	2,568.01	184.00
6/2/2011	6/3/2011	SEC ID: 126600105	10293000030C			
5/10/2010	12/3/2010	CABELA'S INC	-190.000	-3,784.10	4,215.34	431.24
12/3/2010	12/6/2010	SEC ID: 126804301	10131000140C			
5/10/2010	12/22/2010	CABELA'S INC	-190.000	-3,784.10	4,330.97	546.87
12/22/2010	12/23/2010	SEC ID: 126804301	10131000140C			
7/15/2010	11/29/2010	CHIQUITA BRANDS INTERNATIONAL	-475.000	-6,067.37	5,554.27	-513.10
11/29/2010	11/30/2010	SEC ID: 170032809	10197000060C			
7/16/2010	11/29/2010	CHIQUITA BRANDS INTERNATIONAL	-15.000	-186.14	175.40	-10.74
11/29/2010	11/30/2010	SEC ID: 170032809	10200000040C			
7/16/2010	11/30/2010	CHIQUITA BRANDS INTERNATIONAL	-490.000	-6,080.61	5,508.87	-571.74
11/30/2010	12/1/2010	SEC ID: 170032809	10200000040C			
7/16/2010	12/1/2010	CHIQUITA BRANDS INTERNATIONAL	-500.000	-6,204.70	5,583.30	-621.40
12/1/2010	12/2/2010	SEC ID: 170032809	10200000040C			
5/10/2010	12/22/2010	COLUMBIA BANKING SYSTEM INC	-190.000	-4,218.76	4,068.78	-149.98
12/22/2010	12/23/2010	SEC ID: 197236102	10131000160C			
5/10/2010	12/22/2010	COMMUNITY BANK SYSTEM INC	-160.000	-3,799.86	4,517.58	717.72
12/22/2010	12/23/2010	SEC ID: 203607106	10131000170C			
3/16/2011	6/2/2011	COMMUNITY BANK SYSTEM INC	-80.000	-1,902.81	1,911.24	8.43
6/2/2011	6/3/2011	SEC ID: 203607106	11076000050C			
12/1/2010	12/22/2010	CURTISS-WRIGHT CORP	-150.000	-4,812.33	5,030.16	217.83
12/22/2010	12/23/2010	SEC ID: 231561101	10336000040C			
12/1/2010	3/28/2011	CURTISS-WRIGHT CORP	-10.000	-320.82	341.66	20.84
3/28/2011	3/29/2011	SEC ID: 231561101	10336000040C			
11/30/2010	3/28/2011	CURTISS-WRIGHT CORP	-100.000	-3,103.07	3,416.56	313.49
3/28/2011	3/29/2011	SEC ID: 231561101	10335000050C			
11/30/2010	3/29/2011	CURTISS-WRIGHT CORP	-60.000	-1,861.84	2,049.15	187.31
3/29/2011	3/30/2011	SEC ID: 231561101	10335000050C			
11/23/2010	3/29/2011	CURTISS-WRIGHT CORP	-130.000	-3,918.15	4,439.81	521.66
3/29/2011	3/30/2011	SEC ID: 231561101	10328000050C			
11/23/2010	4/7/2011	CURTISS-WRIGHT CORP	-30.000	-904.19	1,055.22	151.03
4/7/2011	4/8/2011	SEC ID: 231561101	10328000050C			
11/22/2010	4/7/2011	CURTISS-WRIGHT CORP	-70.000	-2,083.38	2,462.17	378.79
4/7/2011	4/8/2011	SEC ID: 231561101	10327000030C			
11/22/2010	4/13/2011	CURTISS-WRIGHT CORP	-100.000	-2,976.26	3,295.51	319.25
4/13/2011	4/14/2011	SEC ID: 231561101	10327000030C			

2/29/2012

12 46 40PM

EST



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
11/22/2010	4/14/2011	CURTISS-WRIGHT CORP	-100.000	-2,976.26	3,263.97	287.71
4/14/2011	4/15/2011	SEC ID: 231561101	10327000030C			
11/11/2010	12/22/2010	DDI CORP	-350.000	-3,784.03	4,166.78	382.75
12/22/2010	12/23/2010	SEC ID: 233162502	10316000080C			
2/18/2011	6/2/2011	DDI CORP	-250.000	-2,708.85	2,209.96	-498.89
6/2/2011	6/3/2011	SEC ID: 233162502	11053000010C			
11/11/2010	6/2/2011	DDI CORP	-40.000	-432.46	353.59	-78.87
6/2/2011	6/3/2011	SEC ID: 233162502	10316000080C			
5/10/2010	11/17/2010	DELTA APPAREL INC	-370.000	-6,312.20	4,581.82	-1,730.38
11/17/2010	11/18/2010	SEC ID: 247368103	10131000190C			
5/10/2010	12/3/2010	DELTA APPAREL INC	-365.000	-6,226.90	4,625.27	-1,601.63
12/3/2010	12/3/2010	SEC ID: 247368103	10131000190C			
4/13/2011	6/2/2011	DESTINATION MATERNITY CORP	-90.000	-2,115.02	1,641.56	-473.46
6/2/2011	6/3/2011	SEC ID: 25065D100	11104000070C			
4/13/2011	8/31/2011	DESTINATION MATERNITY CORP	-10.000	-235.00	146.04	-88.96
8/31/2011	9/1/2011	SEC ID: 25065D100	11104000070C			
4/4/2011	8/31/2011	DESTINATION MATERNITY CORP	-90.000	-2,097.27	1,314.37	-782.90
8/31/2011	9/1/2011	SEC ID: 25065D100	11095000060C			
4/4/2011	9/1/2011	DESTINATION MATERNITY CORP	-100.000	-2,330.30	1,426.91	-903.39
9/1/2011	9/2/2011	SEC ID: 25065D100	11095000060C			
4/4/2011	9/7/2011	DESTINATION MATERNITY CORP	-180.000	-4,194.54	2,516.65	-1,677.89
9/7/2011	9/8/2011	SEC ID: 25065D100	11095000060C			
4/18/2011	9/7/2011	DESTINATION MATERNITY CORP	-50.000	-1,164.70	699.07	-465.63
9/7/2011	9/8/2011	SEC ID: 25065D100	11109000020C			
4/18/2011	9/12/2011	DESTINATION MATERNITY CORP	-100.000	-2,329.40	1,303.29	-1,026.11
9/12/2011	9/13/2011	SEC ID: 25065D100	11109000020C			
4/18/2011	9/13/2011	DESTINATION MATERNITY CORP	-30.000	-698.82	392.19	-306.63
9/13/2011	9/14/2011	SEC ID: 25065D100	11109000020C			
7/6/2011	9/13/2011	DESTINATION MATERNITY CORP	-90.000	-1,873.55	1,176.57	-696.98
9/13/2011	9/14/2011	SEC ID: 25065D100	11188000050C			
9/14/2011	9/14/2011	DESTINATION MATERNITY CORP	-240.000	-4,925.83	3,175.15	-1,750.68
9/14/2011	9/15/2011	SEC ID: 25065D100				
5/10/2010	12/22/2010	DREW INDUSTRIES INC	-230.000	-5,271.94	5,410.74	138.80
12/22/2010	12/23/2010	SEC ID: 26168L205	10131000200C			
5/10/2010	1/5/2011	DREW INDUSTRIES INC	-170.000	-3,896.66	3,872.48	-24.18
1/5/2011	1/6/2011	SEC ID: 26168L205	10131000200C			
5/10/2010	1/6/2011	DREW INDUSTRIES INC	-180.000	-4,125.87	4,109.35	-16.52
1/6/2011	1/7/2011	SEC ID: 26168L205	10131000200C			
8/17/2010	12/22/2010	ELECTRONICS FOR IMAGING INC				
12/22/2010	12/23/2010	SEC ID: 286082102	10230000020C	-1,219.23	1,593.32	374.09

2/29/2012

12:46:40PM

EST

37

Workbench



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
9/1/2010	12/22/2010	ELECTRONICS FOR IMAGING INC	-100.000	-1,103.07	1,448.48	345.41
12/22/2010	12/23/2010	SEC ID: 286082102	10245000060C			
8/26/2010	12/22/2010	ELECTRONICS FOR IMAGING INC	-110.000	-1,212.87	1,593.32	380.45
12/22/2010	12/23/2010	SEC ID: 286082102	10239000050C			
8/26/2010	6/1/2011	ELECTRONICS FOR IMAGING INC	-135.000	-1,488.52	2,380.47	891.95
6/1/2011	6/2/2011	SEC ID: 286082102	10239000050C			
8/27/2010	6/1/2011	ELECTRONICS FOR IMAGING INC	-105.000	-1,154.35	1,851.48	697.13
6/1/2011	6/2/2011	SEC ID: 286082102	10242000050C			
8/27/2010	6/2/2011	ELECTRONICS FOR IMAGING INC	-30.000	-329.81	522.59	192.78
6/2/2011	6/3/2011	SEC ID: 286082102	10242000050C			
8/30/2010	6/2/2011	ELECTRONICS FOR IMAGING INC	-140.000	-1,538.22	2,438.78	900.56
6/2/2011	6/3/2011	SEC ID: 286082102	10243000060C			
10/7/2010	11/11/2010	ENNIS INC	-120.000	-2,234.54	2,131.62	-102.92
11/11/2010	11/12/2010	SEC ID: 293389102	10281000050C			
10/7/2010	11/12/2010	ENNIS INC	-130.000	-2,420.76	2,265.81	-154.95
11/12/2010	11/15/2010	SEC ID: 293389102	10281000050C			
10/7/2010	11/17/2010	ENNIS INC	-40.000	-744.85	665.80	-79.05
11/17/2010	11/18/2010	SEC ID: 293389102	10281000050C			
8/19/2010	11/17/2010	ENNIS INC	-60.000	-940.91	998.69	57.78
11/17/2010	11/18/2010	SEC ID: 293389102	10232000040C			
8/19/2010	12/1/2010	ENNIS INC	-160.000	-2,509.11	2,779.73	270.62
12/1/2010	12/2/2010	SEC ID: 293389102	10232000040C			
8/19/2010	12/3/2010	ENNIS INC	-5.000	-78.41	87.84	9.43
12/3/2010	12/6/2010	SEC ID: 293389102	10232000040C			
8/20/2010	12/3/2010	ENNIS INC	-150.000	-2,332.64	2,635.25	302.61
12/3/2010	12/6/2010	SEC ID: 293389102	10235000070C			
8/23/2010	12/3/2010	ENNIS INC	-5.000	-77.48	87.84	10.36
12/3/2010	12/6/2010	SEC ID: 293389102	10236000040C			
8/23/2010	12/10/2010	ENNIS INC	-205.000	-3,176.49	3,639.28	462.79
12/10/2010	12/13/2010	SEC ID: 293389102	10236000040C			
8/27/2010	12/10/2010	ENNIS INC	-25.000	-382.90	443.82	60.92
12/10/2010	12/13/2010	SEC ID: 293389102	10242000070C			
8/27/2010	12/13/2010	ENNIS INC	-75.000	-1,148.69	1,316.56	167.87
12/13/2010	12/14/2010	SEC ID: 293389102	10242000070C			
8/30/2010	12/13/2010	ENNIS INC	-145.000	-2,212.77	2,545.36	332.59
12/13/2010	12/14/2010	SEC ID: 293389102	10243000070C			
9/2/2010	12/9/2010	FAIRCHILD SEMICONDUCTOR INTERN	-270.000	-2,226.23	4,046.29	1,820.06
12/9/2010	12/10/2010	SEC ID: 303726103	10246000070C			
9/2/2010	12/22/2010	FAIRCHILD SEMICONDUCTOR INTERN	-490.000	-4,040.20	7,567.92	3,527.72
12/22/2010	12/23/2010	SEC ID: 303726103	10246000070C			



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/										
Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base				
9/2/2010	12/29/2010	FAIRCHILD SEMICONDUCTOR INTERN	-500.000	-4,122.65	7,882.16	3,759.51				
12/29/2010	12/30/2010	SEC ID: 303726103	10246000070C							
9/2/2010	1/18/2011	FAIRCHILD SEMICONDUCTOR INTERN	-90.000	-742.08	1,523.69	781.61				
1/18/2011	1/19/2011	SEC ID: 303726103	10246000070C							
9/2/2010	2/3/2011	FAIRCHILD SEMICONDUCTOR INTERN	-120.000	-989.43	2,182.03	1,192.60				
2/3/2011	2/4/2011	SEC ID: 303726103	10246000070C							
9/2/2010	3/28/2011	FAIRCHILD SEMICONDUCTOR INTERN	-420.000	-3,463.02	7,612.01	4,148.99				
3/28/2011	3/29/2011	SEC ID: 303726103	10246000070C							
9/2/2010	6/2/2011	FAIRCHILD SEMICONDUCTOR INTERN	-115.000	-948.21	2,013.70	1,065.49				
6/2/2011	6/3/2011	SEC ID: 303726103	10246000070C							
9/10/2010	6/2/2011	FAIRCHILD SEMICONDUCTOR INTERN	-45.000	-361.44	787.97	426.53				
6/2/2011	6/3/2011	SEC ID: 303726103	10256000120C							
9/10/2010	6/30/2011	FAIRCHILD SEMICONDUCTOR INTERN	-965.000	-7,750.78	16,150.98	8,400.20				
6/30/2011	7/1/2011	SEC ID: 303726103	10256000120C							
5/10/2010	12/22/2010	FIRST BANCORP/TROY NC	-100.000	-1,554.42	1,426.56	-127.86				
12/22/2010	12/23/2010	SEC ID: 318910106	10131000210C							
3/9/2011	6/2/2011	FIRST FINANCIAL BANKSHARES INC	-90.000	-3,060.88	3,023.04	-37.84				
6/2/2011	6/3/2011	SEC ID: 32020R109	11069000060C							
5/10/2010	12/22/2010	FLOWERS FOODS INC	-110.000	-2,903.66	2,895.72	-7.94				
12/22/2010	12/23/2010	SEC ID: 343498101	10131000220C							
2/25/2011	6/2/2011	FLOWERS FOODS INC	-90.000	-2,413.91	2,889.84	475.93				
6/2/2011	6/3/2011	SEC ID: 343498101	11059000060C							
10/7/2010	12/22/2010	LB FOSTER CO	-100.000	-2,983.87	4,010.63	1,026.76				
12/22/2010	12/23/2010	SEC ID: 350060109	10281000060C							
5/10/2010	4/1/2011	LB FOSTER CO	-150.000	-4,418.25	6,526.75	2,108.50				
4/1/2011	4/4/2011	SEC ID: 350060109	10131000230C							
5/10/2010	4/19/2011	LB FOSTER CO	-90.000	-2,650.95	3,716.16	1,065.21				
4/19/2011	4/20/2011	SEC ID: 350060109	10131000230C							
6/28/2010	4/19/2011	LB FOSTER CO	-155.000	-4,244.50	6,400.06	2,155.56				
4/19/2011	4/20/2011	SEC ID: 350060109	10180000070C							
4/11/2011	6/2/2011	GT SOLAR INTERNATIONAL INC	-210.000	-2,091.92	2,528.39	436.47				
6/2/2011	6/3/2011	SEC ID: 3623E0209	11102000030C							
4/11/2011	7/12/2011	GT SOLAR INTERNATIONAL INC	-110.000	-1,095.76	1,630.36	534.60				
7/12/2011	7/13/2011	SEC ID: 3623E0209	11102000030C							
12/7/2010	12/22/2010	GEORESOURCES INC	-80.000	-1,726.82	1,746.77	19.95				
12/22/2010	12/23/2010	SEC ID: 372476101	10342000070C							
12/7/2010	6/2/2011	GEORESOURCES INC	-20.000	-431.71	463.19	31.48				
6/2/2011	6/3/2011	SEC ID: 372476101	10342000070C							
12/6/2010	6/2/2011	GEORESOURCES INC	-20.000	-425.69	463.19	37.50				
6/2/2011	6/3/2011	SEC ID: 372476101	10341000050C							



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale / Trade Date / Reported Date		Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
1/28/2011		6/2/2011	GLOBAL POWER EQUIPMENT GROUP I				
6/2/2011		6/3/2011	SEC ID: 37941P306	1103100020C	-2,098.67	2,433.55	334.88
5/10/2010		12/22/2010	GULFPORT ENERGY CORP				
12/22/2010		12/23/2010	SEC ID: 402635304	10131000240C	-2,397.91	4,019.38	1,621.47
5/10/2010		5/5/2011	GULFPORT ENERGY CORP				
5/5/2011		5/9/2011	SEC ID: 402635304	10131000240C	-2,524.12	5,346.03	2,821.91
5/10/2010		12/22/2010	HALLMARK FINANCIAL SERVICES				
12/22/2010		12/23/2010	SEC ID: 40624Q203	10131000250C	-3,224.37	2,774.80	-449.57
5/10/2010		3/17/2011	HALLMARK FINANCIAL SERVICES				
3/17/2011		3/18/2011	SEC ID: 40624Q203	10131000250C	-6,233.78	4,914.76	-1,319.02
5/10/2010		3/23/2011	HALLMARK FINANCIAL SERVICES				
3/23/2011		3/24/2011	SEC ID: 40624Q203	10131000250C	-1,074.79	822.98	-251.81
5/10/2010		4/5/2011	HALLMARK FINANCIAL SERVICES				
4/5/2011		4/6/2011	SEC ID: 40624Q203	10131000250C	-1,074.79	810.65	-264.14
12/29/2010		6/2/2011	HANCOCK HOLDING CO				
6/2/2011		6/3/2011	SEC ID: 410120109	10364000040C	-3,110.57	2,876.34	-234.23
5/10/2010		11/11/2010	HAWK CORP				
11/11/2010		11/12/2010	SEC ID: 420089104	10131000260C	-15,402.59	32,631.54	17,228.95
5/10/2010		12/22/2010	HEXCEL CORP				
12/22/2010		12/23/2010	SEC ID: 428291108	10131000270C	-3,653.14	4,150.32	497.18
5/10/2010		1/18/2011	HEXCEL CORP				
1/18/2011		1/19/2011	SEC ID: 428291108	10131000270C	-794.16	954.74	160.58
3/16/2011		6/2/2011	HEXCEL CORP				
6/2/2011		6/3/2011	SEC ID: 428291108	11076000060C	-3,351.48	3,741.06	389.58
5/10/2010		12/22/2010	HILL-ROM HOLDINGS INC				
12/22/2010		12/23/2010	SEC ID: 431475102	10131000280C	-3,343.26	4,595.20	1,251.94
5/10/2010		11/4/2010	HUTCHINSON TECHNOLOGY INC				
11/4/2010		11/5/2010	SEC ID: 448407106	10131000290C	-3,300.66	1,936.94	-1,363.72
5/10/2010		11/5/2010	HUTCHINSON TECHNOLOGY INC				
11/5/2010		11/8/2010	SEC ID: 448407106	10131000290C	-1,650.33	950.50	-699.83
5/10/2010		11/8/2010	HUTCHINSON TECHNOLOGY INC				
11/8/2010		11/9/2010	SEC ID: 448407106	10131000290C	-2,200.44	1,250.25	-950.19
5/10/2010		11/9/2010	HUTCHINSON TECHNOLOGY INC				
11/9/2010		11/10/2010	SEC ID: 448407106	10131000290C	-2,200.44	1,245.49	-954.95
5/10/2010		11/11/2010	HUTCHINSON TECHNOLOGY INC				
11/11/2010		11/12/2010	SEC ID: 448407106	10131000290C	-3,850.77	2,050.05	-1,800.72
5/10/2010		11/10/2010	HUTCHINSON TECHNOLOGY INC				
11/10/2010		11/11/2010	SEC ID: 448407106	10131000290C	-5,501.10	2,984.84	-2,516.26
5/10/2010		11/12/2010	HUTCHINSON TECHNOLOGY INC				
11/12/2010		11/15/2010	SEC ID: 448407106	10131000290C	-3,520.70	1,804.12	-1,716.58

2/29/2012

12:46:40PM

EST

40

Workbench



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
2/25/2011	6/2/2011	IEC ELECTRONICS CORP SEC ID: 44949L105	-80.000 11059000070C	-684.96	514.39	-170.57
6/2/2011	6/3/2011	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-330.000 10131000300C	-4,577.63	5,677.65	1,100.02
5/10/2010	12/22/2010	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-170.000 10131000300C	-2,358.17	2,816.84	458.67
5/10/2010	1/18/2011	JOHN BEAN TECHNOLOGIES CORP SEC ID: 477839104	-200.000 10131000310C	-3,508.84	4,138.99	630.15
1/18/2011	1/19/2011	JOHN BEAN TECHNOLOGIES CORP SEC ID: 477839104	-100.000 10131000310C	-1,754.42	1,992.44	238.02
5/10/2010	1/4/2011	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-170.000 10292000030C	-2,227.97	2,613.70	385.73
10/18/2010	12/22/2010	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-30.000 10293000040C	-391.04	461.24	70.20
12/22/2010	12/23/2010	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-170.000 11074000080C	-2,584.41	2,672.98	88.57
10/19/2010	12/22/2010	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-60.000 11075000010C	-906.97	943.40	36.43
12/22/2010	6/1/2011	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-130.000 11075000010C	-1,965.09	1,978.99	13.90
3/14/2011	6/2/2011	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-70.000 10293000040C	-912.43	1,065.61	153.18
6/1/2011	6/3/2011	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-100.000 10293000040C	-1,303.47	1,474.75	171.28
3/15/2011	6/2/2011	KNOLL INC SEC ID: 498904200	-300.000 10294000020C	-4,443.12	4,990.44	547.32
6/2/2011	12/22/2010	KNOLL INC SEC ID: 498904200	-190.000 10207000020C	-2,629.81	4,093.16	1,463.35
10/20/2010	4/4/2011	KNOLL INC SEC ID: 498904200	-70.000 10204000050C	-957.89	1,508.01	550.12
12/22/2010	4/5/2011	KNOLL INC SEC ID: 498904200	-105.000 10204000050C	-1,436.83	1,926.95	490.12
7/23/2010	6/2/2011	LADISH CO INC SEC ID: 505754200	-350.000 10131000340C	-9,429.07	16,096.43	6,667.36
4/4/2011	11/17/2010	LADISH CO INC SEC ID: 505754200	-355.000 10131000340C	-9,563.77	16,543.71	6,979.94
7/22/2010	11/18/2010	LADISH CO INC SEC ID: 505754200	-520.000 10131000350C	-3,013.14	3,054.99	41.85
6/2/2011	11/24/2010	LANDEC CORP SEC ID: 514766104	-230.000 10131000360C	-3,156.91	3,166.07	9.16
5/10/2010	12/22/2010	LIFETIME BRANDS INC SEC ID: 53222Q103				
11/17/2010	12/23/2010					
5/10/2010	12/22/2010					
12/22/2010	12/23/2010					
5/10/2010	12/22/2010					
12/22/2010	12/23/2010					

2/29/2012

12.46 40PM EST

41

Workbench



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions
by Reported Date
11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date		Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/10/2010	12/22/2010	12/22/2010	LYDALL INC	-430.000	-3,503.21	3,700.12	196.91
12/22/2010	12/23/2010	12/23/2010	SEC ID: 550819106	10131000370C			
5/10/2010	1/18/2011	1/18/2011	LYDALL INC	-250.000	-2,036.75	2,304.95	268.20
1/18/2011	1/19/2011	1/19/2011	SEC ID: 550819106	10131000370C			
12/28/2010	6/2/2011	6/2/2011	M/I HOMES INC	-160.000	-2,558.59	1,951.03	-607.56
6/2/2011	6/3/2011	6/3/2011	SEC ID: 55305B101	10363000020C			
12/27/2010	6/2/2011	6/2/2011	M/I HOMES INC	-80.000	-1,276.10	975.52	-300.58
6/2/2011	6/3/2011	6/3/2011	SEC ID: 55305B101	10362000760C			
12/27/2010	10/5/2011	10/5/2011	M/I HOMES INC	-120.000	-1,914.16	655.60	-1,258.56
10/5/2011	10/6/2011	10/6/2011	SEC ID: 55305B101	10362000760C			
12/29/2010	10/5/2011	10/5/2011	M/I HOMES INC	-210.000	-3,338.58	1,147.29	-2,191.29
10/5/2011	10/6/2011	10/6/2011	SEC ID: 55305B101	10364000050C			
12/22/2010	10/5/2011	10/5/2011	M/I HOMES INC	-10.000	-154.64	54.63	-100.01
10/5/2011	10/6/2011	10/6/2011	SEC ID: 55305B101	10357000700C			
12/22/2010	10/6/2011	10/6/2011	M/I HOMES INC	-90.000	-1,391.78	493.83	-897.95
10/6/2011	10/7/2011	10/7/2011	SEC ID: 55305B101	10357000700C			
12/23/2010	10/6/2011	10/6/2011	M/I HOMES INC	-120.000	-1,853.63	658.45	-1,195.18
10/6/2011	10/7/2011	10/7/2011	SEC ID: 55305B101	10358000020C			
12/23/2010	10/10/2011	10/10/2011	M/I HOMES INC	-120.000	-1,853.63	651.85	-1,201.78
10/10/2011	10/11/2011	10/11/2011	SEC ID: 55305B101	10358000020C			
3/30/2011	10/10/2011	10/10/2011	M/I HOMES INC	-40.000	-602.50	217.28	-385.22
10/10/2011	10/11/2011	10/11/2011	SEC ID: 55305B101	11090000090C			
3/30/2011	10/12/2011	10/12/2011	M/I HOMES INC	-170.000	-2,560.63	980.76	-1,579.87
10/12/2011	10/13/2011	10/13/2011	SEC ID: 55305B101	11090000090C			
3/31/2011	10/12/2011	10/12/2011	M/I HOMES INC	-30.000	-446.24	173.07	-273.17
10/12/2011	10/13/2011	10/13/2011	SEC ID: 55305B101	11091000050C			
3/31/2011	10/18/2011	10/18/2011	M/I HOMES INC	-200.000	-2,974.94	1,107.41	-1,867.53
10/18/2011	10/19/2011	10/19/2011	SEC ID: 55305B101	11091000050C			
3/31/2011	10/19/2011	10/19/2011	M/I HOMES INC	-50.000	-743.74	288.69	-455.05
10/19/2011	10/20/2011	10/20/2011	SEC ID: 55305B101	11091000050C			
4/4/2011	10/19/2011	10/19/2011	M/I HOMES INC	-100.000	-1,470.01	577.37	-892.64
10/19/2011	10/20/2011	10/20/2011	SEC ID: 55305B101	11095000070C			
4/1/2011	10/19/2011	10/19/2011	M/I HOMES INC	-20.000	-287.64	115.48	-172.16
10/19/2011	10/20/2011	10/20/2011	SEC ID: 55305B101	11094000090C			
4/1/2011	10/20/2011	10/20/2011	M/I HOMES INC	-140.000	-2,013.46	820.60	-1,192.86
10/20/2011	10/21/2011	10/21/2011	SEC ID: 55305B101	11094000090C			
10/21/2011	10/21/2011	10/21/2011	M/I HOMES INC	-100.000	-1,307.99	625.42	-682.57
10/21/2011	10/24/2011	10/24/2011	SEC ID: 55305B101				
5/10/2010	12/22/2010	12/22/2010	MAGELLAN HEALTH SERVICES INC	-130.000	-5,322.69	6,210.65	887.96
12/22/2010	12/23/2010	12/23/2010	SEC ID: 559079207	10131000380C			

2/29/2012

12 46.40PM

EST



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
11/17/2010	12/22/2010	MCGRATH RENTCORP SEC ID: 580589109	-190 000	-5,326.54	4,990.26	-336.28
12/22/2010	12/23/2010		10322000060C			
11/17/2010	6/2/2011	MCGRATH RENTCORP SEC ID: 580589109	-80 000	-2,242.75	2,138.39	-104.36
6/2/2011	6/3/2011		10322000060C			
10/8/2010	6/2/2011	MCGRATH RENTCORP SEC ID: 580589109	-40 000	-1,028.27	1,069.19	40.92
6/2/2011	6/3/2011		10284000020C			
10/8/2010	6/21/2011	MCGRATH RENTCORP SEC ID: 580589109	-60 000	-1,542.40	1,641.03	98.63
6/21/2011	6/22/2011		10284000020C			
10/5/2010	11/12/2010	MERCER INTERNATIONAL INC SEC ID: 588056101	-300 000	-1,507.80	1,945.34	437.54
11/12/2010	11/15/2010		10279000060C			
10/5/2010	11/15/2010	MERCER INTERNATIONAL INC SEC ID: 588056101	-100 000	-502.60	639.71	137.11
11/15/2010	11/16/2010		10279000060C			
10/6/2010	11/15/2010	MERCER INTERNATIONAL INC SEC ID: 588056101	-200 000	-1,004.58	1,279.42	274.84
11/15/2010	11/16/2010		10280000040C			
10/7/2010	11/15/2010	MERCER INTERNATIONAL INC SEC ID: 588056101	-200 000	-1,004.58	1,279.41	274.83
11/15/2010	11/16/2010		10281000070C			
10/7/2010	11/16/2010	MERCER INTERNATIONAL INC SEC ID: 588056101	-100 000	-502.29	622.07	119.78
11/16/2010	11/17/2010		10281000070C			
5/10/2010	11/16/2010	MERCER INTERNATIONAL INC SEC ID: 588056101	-140 000	-623.28	870.89	247.61
11/16/2010	11/17/2010		10131000400C			
5/10/2010	11/17/2010	MERCER INTERNATIONAL INC SEC ID: 588056101	-200 000	-890.40	1,238.65	348.25
11/17/2010	11/18/2010		10131000400C			
5/10/2010	11/18/2010	MERCER INTERNATIONAL INC SEC ID: 588056101	-470 000	-2,092.44	2,976.36	883.92
11/18/2010	11/19/2010		10131000400C			
5/10/2010	11/19/2010	MERCER INTERNATIONAL INC SEC ID: 588056101	-485 000	-2,159.22	3,015.82	856.60
11/19/2010	11/22/2010		10131000400C			
5/13/2011	6/2/2011	MERCER INTERNATIONAL INC SEC ID: 588056101	-160 000	-1,982.00	2,025.59	43.59
6/2/2011	6/3/2011		11136000060C			
5/13/2011	8/30/2011	MERCER INTERNATIONAL INC SEC ID: 588056101	-270 000	-3,344.63	2,502.07	-842.56
8/30/2011	8/31/2011		11136000060C			
5/13/2011	8/31/2011	MERCER INTERNATIONAL INC SEC ID: 588056101	-60 000	-743.25	569.25	-174.00
8/31/2011	9/1/2011		11136000060C			
7/12/2011	8/31/2011	MERCER INTERNATIONAL INC SEC ID: 588056101	-100 000	-1,013.33	948.75	-64.58
8/31/2011	9/1/2011		11194000040C			
10/13/2010	12/22/2010	MILLER INDUSTRIES INC/TN SEC ID: 600551204	-100 000	-1,428.00	1,472.49	44.49
12/22/2010	12/23/2010		10287000050C			
10/13/2010	6/2/2011	MILLER INDUSTRIES INC/TN SEC ID: 600551204	-20 000	-285.60	340.39	54.79
6/2/2011	6/3/2011		10287000050C			
10/12/2010	6/2/2011	MILLER INDUSTRIES INC/TN SEC ID: 600551204	-40 000	-561.61	680.79	119.18
6/2/2011	6/3/2011		10286000060C			

2/29/2012

12:46 40PM

EST



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDAS24

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date/ Reported Date	Trade Date/ Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/10/2010	12/22/2010	NATIONAL WESTERN LIFE INSURANC	-20 000	-3,480.40	3,435.64	-44.76
12/22/2010	12/23/2010	SEC ID: 638522102	10131000430C			
5/10/2010	12/22/2010	NOBEL LEARNING COMMUNITIES INC	-240.000	-1,603.56	1,686.38	82.82
12/22/2010	12/23/2010	SEC ID: 654889104	10131000440C			
5/10/2010	3/3/2011	NOBEL LEARNING COMMUNITIES INC	-210.000	-1,403.12	1,936.75	533.63
3/3/2011	3/4/2011	SEC ID 654889104	10131000440C			
5/10/2010	12/22/2010	NORTHERN OIL AND GAS INC	-310.000	-4,666.96	8,387.92	3,720.96
12/22/2010	12/23/2010	SEC ID: 665531109	10131000450C			
5/10/2010	3/4/2011	NORTHERN OIL AND GAS INC	-120.000	-1,806.56	3,900.50	2,093.94
3/4/2011	3/7/2011	SEC ID: 665531109	10131000450C			
5/10/2010	4/11/2011	NORTHERN OIL AND GAS INC	-180.000	-2,709.85	4,498.04	1,788.19
4/11/2011	4/12/2011	SEC ID: 665531109	10131000450C			
5/10/2010	12/22/2010	OCWEN FINANCIAL CORP	-770.000	-8,873.79	7,421.36	-1,452.43
12/22/2010	12/23/2010	SEC ID: 675746309	10131000460C			
5/20/2010	12/3/2010	OMNOVA SOLUTIONS INC	-235.000	-1,733.64	2,082.72	349.08
12/3/2010	12/6/2010	SEC ID: 682129101	10141000040C			
5/10/2010	12/3/2010	OMNOVA SOLUTIONS INC	-205.000	-1,489.16	1,816.84	327.68
12/3/2010	12/6/2010	SEC ID: 682129101	10131000470C			
5/10/2010	12/22/2010	OMNOVA SOLUTIONS INC	-640.000	-4,649.09	5,475.16	826.07
12/22/2010	12/23/2010	SEC ID: 682129101	10131000470C			
5/10/2010	12/22/2010	OVERHILL FARMS INC	-180.000	-1,105.94	1,007.08	-98.86
12/22/2010	12/23/2010	SEC ID 690212105	10131000480C			
7/15/2010	12/22/2010	OWENS & MINOR INC	-110.000	-3,203.84	3,251.01	47.17
12/22/2010	12/23/2010	SEC ID 690732102	10197000070C			
7/15/2010	3/4/2011	OWENS & MINOR INC	-240.000	-6,990.19	7,499.33	509.14
3/4/2011	3/7/2011	SEC ID: 690732102	10197000070C			
7/16/2010	3/4/2011	OWENS & MINOR INC	-80.000	-2,289.84	2,499.77	209.93
3/4/2011	3/7/2011	SEC ID: 690732102	10200000050C			
7/16/2010	3/7/2011	OWENS & MINOR INC	-220.000	-6,297.06	6,770.73	473.67
3/7/2011	3/8/2011	SEC ID: 690732102	10200000050C			
7/29/2010	12/22/2010	PARK NATIONAL CORP	-50.000	-3,370.66	3,609.18	238.52
12/22/2010	12/23/2010	SEC ID: 700658107	10211000020C			
7/29/2010	6/2/2011	PARK NATIONAL CORP	-40.000	-2,696.52	2,640.34	-56.18
6/2/2011	6/3/2011	SEC ID 700658107	10211000020C			
8/2/2010	12/22/2010	PEP BOYS-MANNY MOE & JACK	-370.000	-3,674.14	5,115.23	1,441.09
12/22/2010	12/23/2010	SEC ID: 713278109	10215000050C			
8/2/2010	1/21/2011	PEP BOYS-MANNY MOE & JACK	-170.000	-1,688.12	2,469.37	781.25
1/21/2011	1/24/2011	SEC ID: 713278109	10215000050C			
5/13/2011	6/2/2011	PEP BOYS-MANNY MOE & JACK	-150.000	-2,087.42	2,090.99	3.57
6/2/2011	6/3/2011	SEC ID: 713278109	11136000070C			

2/29/2012

12:46:40PM EST



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/ Trade Date/ Reported Date		Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/20/2011		6/2/2011	PEP BOYS-MANNY MOE & JACK	-190 000	-2,516.55	2,648.58	132.03
6/2/2011		6/3/2011	SEC ID: 713278109	11143000020C			
12/2/2010		12/22/2010	POLYONE CORP	-100 000	-1,302.30	1,326.90	24.60
12/22/2010		12/23/2010	SEC ID: 73179P106	10337000040C			
12/1/2010		12/22/2010	POLYONE CORP	-130 000	-1,691.93	1,724.98	33.05
12/22/2010		12/23/2010	SEC ID: 73179P106	10336000050C			
5/13/2011		6/2/2011	POLYONE CORP	-210 000	-3,043.47	3,118.48	75.01
6/2/2011		6/3/2011	SEC ID: 73179P106	11136000080C			
3/31/2011		6/2/2011	POWER-ONE INC	-420 000	-3,658.49	3,435.57	-222.92
6/2/2011		6/3/2011	SEC ID: 73930R102	11091000060C			
3/31/2011		9/14/2011	POWER-ONE INC	-300.000	-2,613.21	2,096.98	-516.23
9/14/2011		9/15/2011	SEC ID: 73930R102	11091000060C			
11/11/2010		12/22/2010	PRIMERICA INC	-130 000	-2,891.17	3,288.30	397.13
12/22/2010		12/23/2010	SEC ID: 74164M108	10316000090C			
3/2/2011		6/2/2011	PRIMERICA INC	-100 000	-2,569.40	2,066.98	-502.42
6/2/2011		6/3/2011	SEC ID: 74164M108	11062000040C			
4/29/2011		6/2/2011	RLI CORP	-20 000	-1,185.34	1,178.77	-6.57
6/2/2011		6/3/2011	SEC ID: 749607107	11122000030C			
11/12/2010		12/22/2010	RTI INTERNATIONAL METALS INC	-90 000	-2,570.66	2,434.05	-136.61
12/22/2010		12/23/2010	SEC ID: 74973W107	10319000090C			
12/8/2010		12/22/2010	RTI INTERNATIONAL METALS INC	-100.000	-2,750.59	2,704.49	-46.10
12/22/2010		12/23/2010	SEC ID: 74973W107	10343000050C			
12/8/2010		2/25/2011	RTI INTERNATIONAL METALS INC	-180.000	-4,951.06	4,955.39	4.33
2/25/2011		2/28/2011	SEC ID: 74973W107	10343000050C			
5/10/2010		12/22/2010	RENT-A-CENTER INC/TX	-160.000	-4,004.56	5,040.73	1,036.17
12/22/2010		12/23/2010	SEC ID: 76009N100	101310000510C			
5/10/2010		11/11/2010	SALLY BEAUTY HOLDINGS INC	-320 000	-3,096.19	4,026.01	929.82
11/11/2010		11/12/2010	SEC ID: 79546E104	101310000530C			
5/10/2010		12/3/2010	SALLY BEAUTY HOLDINGS INC	-490 000	-4,741.04	6,655.06	1,914.02
12/3/2010		12/6/2010	SEC ID: 79546E104	101310000530C			
5/10/2010		12/22/2010	SALLY BEAUTY HOLDINGS INC	-360.000	-3,483.22	5,175.02	1,691.80
12/22/2010		12/23/2010	SEC ID: 79546E104	101310000530C			
4/1/2011		6/2/2011	SCHAWK INC	-80.000	-1,542.40	1,323.97	-218.43
6/2/2011		6/3/2011	SEC ID: 806373106	11094000110C			
4/1/2011		9/21/2011	SCHAWK INC	-120 000	-2,313.60	1,412.20	-901.40
9/21/2011		9/22/2011	SEC ID: 806373106	11094000110C			
5/10/2010		12/22/2010	SCHOOL SPECIALTY INC	-270.000	-5,844.10	3,797.53	-2,046.57
12/22/2010		12/23/2010	SEC ID: 807863105	101310000540C			
5/10/2010		12/22/2010	SOLUTIA INC	-450.000	-7,054.79	10,590.57	3,535.78
12/22/2010		12/23/2010	SEC ID: 834376501	101310000550C			

2/29/2012

12:46:40PM

EST



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/10/2010	1/18/2011	SOLUTIA INC	-170.000	-2,665.14	4,114.46	1,449.32
1/18/2011	1/19/2011	SEC ID: 834376501	10131000550C			
5/10/2010	4/4/2011	SOLUTIA INC	-310.000	-4,859.96	8,072.18	3,212.22
4/4/2011	4/5/2011	SEC ID: 834376501	10131000550C			
7/12/2011	7/25/2011	SOLUTIA INC	-90.000	-1,952.61	1,975.93	23.32
7/25/2011	7/26/2011	SEC ID: 834376501	11194000070C			
11/12/2010	12/6/2010	STANDEX INTERNATIONAL CORP	-100.000	-2,838.99	3,021.28	182.29
12/6/2010	12/7/2010	SEC ID: 854231107	10319000100C			
11/12/2010	12/8/2010	STANDEX INTERNATIONAL CORP	-10.000	-283.90	300.49	16.59
12/8/2010	12/9/2010	SEC ID: 854231107	10319000100C			
5/10/2010	12/8/2010	STANDEX INTERNATIONAL CORP	-100.000	-2,418.49	3,004.88	586.39
12/8/2010	12/9/2010	SEC ID: 854231107	10131000560C			
5/10/2010	12/22/2010	STANDEX INTERNATIONAL CORP	-250.000	-6,046.22	7,906.26	1,860.04
12/22/2010	12/23/2010	SEC ID: 854231107	10131000560C			
5/10/2010	1/5/2011	STANDEX INTERNATIONAL CORP	-100.000	-2,418.49	3,082.75	664.26
1/5/2011	1/6/2011	SEC ID: 854231107	10131000560C			
5/10/2010	1/7/2011	STANDEX INTERNATIONAL CORP	-120.000	-2,902.19	3,686.19	784.00
1/7/2011	1/10/2011	SEC ID: 854231107	10131000560C			
5/10/2010	12/22/2010	STERLING BANCORP/NY	-150.000	-1,469.69	1,536.78	67.09
12/22/2010	12/23/2010	SEC ID: 859158107	10131000570C			
5/10/2010	12/22/2010	SUFFOLK BANCORP	-60.000	-1,853.71	1,544.07	-309.64
12/22/2010	12/23/2010	SEC ID: 864739107	10131000580C			
5/10/2010	1/19/2011	SUFFOLK BANCORP	-100.000	-3,089.51	2,426.06	-663.45
1/19/2011	1/20/2011	SEC ID: 864739107	10131000580C			
5/10/2010	1/20/2011	SUFFOLK BANCORP	-205.000	-6,333.49	4,700.67	-1,632.82
1/20/2011	1/21/2011	SEC ID: 864739107	10131000580C			
6/15/2011	10/4/2011	SUFFOLK BANCORP	-260.000	-3,613.58	2,047.85	-1,565.73
10/4/2011	10/5/2011	SEC ID: 864739107	11167000090C			
4/28/2011	6/2/2011	SYNNEX CORP	-60.000	-2,014.14	1,918.16	-95.98
6/2/2011	6/3/2011	SEC ID: 87162W100	11119000060C			
5/10/2010	12/22/2010	THERAGENICS CORP	-820.000	-1,077.07	1,226.94	149.87
12/22/2010	12/23/2010	SEC ID: 883375107	10131000590C			
5/10/2010	1/18/2011	THERAGENICS CORP	-200.000	-262.70	357.99	95.29
1/18/2011	1/19/2011	SEC ID: 883375107	10131000590C			
5/10/2010	1/19/2011	THERAGENICS CORP	-320.000	-420.32	571.02	150.70
1/19/2011	1/20/2011	SEC ID: 883375107	10131000590C			
5/10/2010	3/17/2011	THERAGENICS CORP	-3,240.000	-4,255.74	6,369.06	2,113.32
3/17/2011	3/18/2011	SEC ID: 883375107	10131000590C			
5/10/2010	12/22/2010	THOMAS & BETTS CORP	-70.000	-2,839.48	3,395.29	555.81
12/22/2010	12/23/2010	SEC ID: 884315102	10131000610C			



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
9/27/2010	12/22/2010	UNIVERSAL TECHNICAL INSTITUTE	-170 000	-3,256.83	3,701.77	444.94
12/22/2010	12/23/2010	SEC ID: 913915104	10271000040C			
9/17/2010	12/22/2010	UNIVERSAL TECHNICAL INSTITUTE	-90 000	-1,696.33	1,959.76	263.43
12/22/2010	12/23/2010	SEC ID: 913915104	10263000040C			
9/17/2010	6/2/2011	UNIVERSAL TECHNICAL INSTITUTE	-45.000	-848.16	838.82	-9.34
6/2/2011	6/3/2011	SEC ID: 913915104	10263000040C			
12/1/2010	6/2/2011	UNIVERSAL TECHNICAL INSTITUTE	-125 000	-2,338.52	2,330.06	-8.46
6/2/2011	6/3/2011	SEC ID: 913915104	10336000060C			
5/10/2010	11/11/2010	VISHAY INTERTECHNOLOGY INC	-180.000	-1,542.13	2,439.83	897.70
11/11/2010	11/12/2010	SEC ID: 928298108	10131000620C			
5/10/2010	11/24/2010	VISHAY INTERTECHNOLOGY INC	-460.000	-3,941.00	6,583.95	2,642.95
11/24/2010	11/26/2010	SEC ID: 928298108	10131000620C			
5/10/2010	12/9/2010	VISHAY INTERTECHNOLOGY INC	-320 000	-2,741.57	4,845.45	2,103.88
12/9/2010	12/10/2010	SEC ID: 928298108	10131000620C			
5/10/2010	12/22/2010	VISHAY INTERTECHNOLOGY INC	-680 000	-5,825.83	10,155.69	4,329.86
12/22/2010	12/23/2010	SEC ID: 928298108	10131000620C			
5/10/2010	12/29/2010	VISHAY INTERTECHNOLOGY INC	-360 000	-3,084.26	5,352.09	2,267.83
12/29/2010	12/30/2010	SEC ID: 928298108	10131000620C			
5/10/2010	1/18/2011	VISHAY INTERTECHNOLOGY INC	-180 000	-1,542.13	2,917.74	1,375.61
1/18/2011	1/19/2011	SEC ID: 928298108	10131000620C			
5/10/2010	2/25/2011	VISHAY INTERTECHNOLOGY INC	-180 000	-1,542.13	3,193.53	1,651.40
2/25/2011	2/28/2011	SEC ID: 928298108	10131000620C			
5/10/2010	3/4/2011	VISHAY INTERTECHNOLOGY INC	-250 000	-2,141.85	4,685.65	2,543.80
3/4/2011	3/7/2011	SEC ID: 928298108	10131000620C			
5/3/2011	6/2/2011	VISHAY INTERTECHNOLOGY INC	-370.000	-6,274.50	5,727.55	-546.95
6/2/2011	6/3/2011	SEC ID: 928298108	11124000040C			
5/10/2010	12/9/2010	WEST PHARMACEUTICAL SERVICES I	-70 000	-2,886.02	2,688.80	-197.22
12/9/2010	12/10/2010	SEC ID: 955306105	10131000650C			
5/10/2010	12/22/2010	WEST PHARMACEUTICAL SERVICES I	-70 000	-2,886.02	2,903.90	17.88
12/22/2010	12/23/2010	SEC ID: 955306105	10131000650C			
5/10/2010	12/22/2010	WHITING PETROLEUM CORP	-60.000	-5,037.00	7,090.38	2,053.38
12/22/2010	12/23/2010	SEC ID: 966387102	10131000660C			
5/10/2010	2/24/2011	WHITING PETROLEUM CORP	-80.000	-3,358.00	5,129.22	1,771.22
2/24/2011	2/25/2011	SEC ID: 966387102	10131000660C			
5/10/2010	4/4/2011	WHITING PETROLEUM CORP	-30 000	-1,259.25	2,237.28	978.03
4/4/2011	4/5/2011	SEC ID: 966387102	10131000660C			
5/10/2010	4/26/2011	WHITING PETROLEUM CORP	-80.000	-3,358.00	5,819.01	2,461.01
4/26/2011	4/27/2011	SEC ID: 966387102	10131000660C			
5/10/2010	5/5/2011	WHITING PETROLEUM CORP	-30.000	-1,259.25	1,899.07	639.82
5/5/2011	5/6/2011	SEC ID: 966387102	10131000660C			



BNY MELLON

PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: FINAL

Original Acquisition's Trade Date of Sale/				Shares Sold		Cost		Amount		Realized	
Trade Date/ Reported Date	Posted Date	Description	Tax Lot ID	Base	Base	Base	Base	Base	Base	Gain/Loss	Base
5/10/2010	12/22/2010	XERIUM TECHNOLOGIES INC	-280.000	-7,109.20	4,405.83					-2,703.37	
12/22/2010	12/23/2010	SEC ID: 98416J118	10148000200F								
5/10/2010	2/3/2011	XERIUM TECHNOLOGIES INC	-100.000	-2,539.00	1,967.69					-571.31	
2/3/2011	2/4/2011	SEC ID: 98416J118	10148000200F								
5/10/2010	2/7/2011	XERIUM TECHNOLOGIES INC	-84.500	-2,145.46	1,672.90					-472.56	
2/7/2011	2/8/2011	SEC ID: 98416J118	10148000200F								
5/18/2010	2/7/2011	XERIUM TECHNOLOGIES INC	-15.500	-372.90	306.86					-66.04	
2/7/2011	2/8/2011	SEC ID: 98416J118	10148000210F								
5/18/2010	2/8/2011	XERIUM TECHNOLOGIES INC	-14.500	-348.84	286.05					-62.79	
2/8/2011	2/9/2011	SEC ID: 98416J118	10148000210F								
5/19/2010	2/8/2011	XERIUM TECHNOLOGIES INC	-16.250	-383.31	320.58					-62.73	
2/8/2011	2/9/2011	SEC ID: 98416J118	10148000220F								
5/20/2010	2/8/2011	XERIUM TECHNOLOGIES INC	-69.250	-1,543.30	1,366.15					-177.15	
2/8/2011	2/9/2011	SEC ID: 98416J118	10148000230F								
6/4/2010	6/2/2011	XERIUM TECHNOLOGIES INC	-11.000	-172.13	215.74					43.61	
6/2/2011	6/3/2011	SEC ID: 98416J118	10158000010C								
6/4/2010	6/3/2011	XERIUM TECHNOLOGIES INC	-89.000	-1,392.72	1,735.27					342.55	
6/3/2011	6/6/2011	SEC ID: 98416J118	10158000010C								
6/7/2010	6/3/2011	XERIUM TECHNOLOGIES INC	-41.000	-638.58	799.39					160.81	
6/3/2011	6/6/2011	SEC ID: 98416J118	10159000040C								
5/10/2010	12/8/2010	XERIUM TECHNOLOGIES INC WTS TO	-300.996	0.00	370.22					370.22	
12/8/2010	12/9/2010	PUR COM	10148000100F								
5/18/2010	12/8/2010	SEC ID: 98416J126	-19.440	0.00	23.91					23.91	
12/8/2010	12/9/2010	XERIUM TECHNOLOGIES INC WTS TO	10148000110F								
5/19/2010	12/8/2010	SEC ID: 98416J126	-10.530	0.00	12.95					12.95	
12/8/2010	12/9/2010	XERIUM TECHNOLOGIES INC WTS TO	10148000120F								
5/20/2010	12/8/2010	SEC ID: 98416J126	-51.030	0.00	62.77					62.77	
12/8/2010	12/9/2010	XERIUM TECHNOLOGIES INC WTS TO	10148000130F								
5/21/2010	12/8/2010	SEC ID: 98416J126	-18.630	0.00	22.91					22.91	
12/8/2010	12/9/2010	XERIUM TECHNOLOGIES INC WTS TO	10148000140F								
5/26/2010	12/8/2010	SEC ID: 98416J126	-0.374	0.00	0.46					0.46	
12/8/2010	12/9/2010	XERIUM TECHNOLOGIES INC WTS TO	10152000090A								
TOTAL SHORT:				-61,587.000	-856,437.10	981,679.59				125,242.49	
TOTAL LOT DISPOSITION:				-75,891.000	-1,087,297.76	1,236,041.80				148,744.04	



BNY MELLON

PF - BRECKINRIDGE - P19F90050002

Lot Level Dispositions

by Reported Date

11/1/2010 - 10/31/2011

Report ID: HDA824

Base Currency: USD

Status: REVISED

Original Acquisition's Trade Date/	Trade Date/	Posted Date	Description	Shares Sold	Cost	Amount	Realized
Reported Date	Reported Date	Date		Tax Lot ID	Base	Base	Gain/Loss
6/9/2011	10/3/2011	10/3/2011	HEWLETT-PACKARD CO 2.200%	-25,000.000	-25,168.33	24,829.50	-338.83
10/3/2011	10/5/2011	10/5/2011	12/01/2015 DD 12/02/10	11164000020C			
			SEC ID: 42823GBE2				
TOTAL SHORT:				-25,000.000	-25,168.33	24,829.50	-338.83
TOTAL LOT DISPOSITION:				-25,000.000	-25,168.33	24,829.50	-338.83

03/07/12

Putnam Foundation
Transaction Detail by Account
 November 2010 through October 2011

Date	Name	Paid Amount
Grants Made		
07/22/11	All Species Project Inc	1,000.00
11/18/10	The WBEZ Alliance, Inc.	0.00
11/23/10	Hannah Grimes Center, Inc.	75,000.00
11/23/10	NHCF - Lewis Feldstein Public Issues Fund	150,000.00
12/02/10	Council on Foundations	2,820.00
12/16/10	Monadnock Family Services	10,000.00
12/16/10	SCS - GAPS Program	10,000.00
12/21/10	Cheshire Health Foundation	20,000.00
12/21/10	MoCo Arts	10,000.00
12/21/10	Nashua Symphony	4,288.00
12/21/10	Keene State College	2,000.00
12/21/10	The Gathering Net	0.00
12/22/10	Arawaka, Inc.	20,272.21
12/22/10	Keene State College Campus Ministry	5,000.00
01/06/11	Historic Harrisville, Inc.	50,000.00
02/16/11	Earth Island Institute	7,500.00
02/16/11	International Funders for Indigenous Peoples	2,000.00
02/16/11	US-El Salvador Sister Cities	1,000.00
02/16/11	US-El Salvador Sister Cities	1,000.00
02/16/11	US-El Salvador Sister Cities	1,000.00
02/16/11	US-El Salvador Sister Cities	1,000.00
02/18/11	Earth Island Institute	2,725.00
02/21/11	Dartmouth College	1,000.00
02/21/11	Deerfield Academy	750.00
02/21/11	Carnegie Mellon	500.00
02/21/11	Friends of the Public Garden	1,000.00
02/21/11	First Night, Inc.	500.00
02/21/11	Amigos de las Americas-Boston Chapter	500.00
02/21/11	Arlington Schools Foundation, Inc.	500.00
03/17/11	Park Street Foundation	10,250.00
03/18/11	Fractured Atlas	10,000.00
03/18/11	The Nature Conservancy	10,000.00
03/18/11	New Hampshire Charitable Foundation	200,000.00
03/21/11	NH Aviation Historical Society	10,000.00
03/21/11	The Keene Chorale	1,000.00
03/21/11	The Fells	6,000.00
03/21/11	Hannah Grimes Center, Inc.	10,000.00
03/21/11	Hannah Grimes Center, Inc.	50,000.00
03/22/11	Mount Washington Observatory	50,000.00
03/22/11	Sharon Arts Center	20,000.00
03/22/11	The Walden School	10,000.00
03/28/11	Good Radio Shows, Inc.	2,000.00
04/20/11	Land for Good	20,000.00
05/18/11	Davis Education Foundation	2,000.00
05/18/11	New England College	12,000.00
05/18/11	Peterborough Players	5,000.00
06/02/11	NH Institute of Agriculture and Forestry	25,000.00
06/06/11	Monadnock Family Services	2,000.00
06/10/11	Mayhew Program	2,000.00
07/11/11	Jackson Hole Children's Museum	1,500.00
07/11/11	Mariposa Museum	9,000.00
07/11/11	Mariposa Museum	2,120.00
07/11/11	Historical Society of Cheshire County	15,000.00
07/11/11	Apple Hill Center for Chamber Music	50,000.00
07/11/11	Monadnock Music	17,500.00
07/11/11	Harrisville Children's Center	1,000.00
08/09/11	NH Center for Public Policy Studies	10,000.00
08/09/11	Harris Center for Conservation Education	10,000.00
09/08/11	Global Youth Service Team	20,000.00
09/20/11	Ceres, Inc.	10,000.00
09/20/11	Earth Island Institute	10,000.00
09/20/11	Mayhew Program	2,000.00
09/20/11	Keene Montessori School	1,000.00
09/20/11	Teton Science School, Inc.	500.00
09/23/11	The Marion Institute	700.00
09/29/11	Jackson Hole Ski Club	1,000.00
09/29/11	Green Mountain Valley School	1,000.00
09/29/11	Keene Family YMCA	500.00
09/29/11	Project U.S.E. (Urban Suburban Environments)	1,000.00
09/30/11	School for International Training	2,500.00

03/07/12

Putnam Foundation
Transaction Detail by Account
November 2010 through October 2011

Date	Name	Paid Amount
09/30/11	Columbia University	500.00
09/30/11	Global Smile Foundation	1,000.00
09/30/11	Sayaji U Ba Khin Vipassana Foundation	400.00
09/30/11	The Elephant Sanctuary	100.00
09/30/11	Green Mountain Valley School	1,000.00
09/30/11	Mount Washington Observatory	500.00
10/03/11	MoCo Arts	500.00
10/04/11	Keene Family YMCA	100,000.00
10/14/11	Keene State College	10,000.00
10/18/11	MindFreedom International	5,000.00
10/20/11	The WBEZ Alliance, Inc.	500.00
10/20/11	WNYC Radio	500.00
10/20/11	Global Smile Foundation	1,000.00
10/20/11	Morningside House Inc.	2,000.00
10/20/11	Dana Hall School	500.00
10/20/11	Nature Conservancy - NH Chapter	500.00
10/20/11	Currier Museum of Art	1,000.00
10/20/11	Mayhew Program	1,000.00
10/21/11	Mass General Hospital	1,000.00
10/21/11	Mayhew Program	1,000.00
10/26/11	Mayhew Program	1,000.00
10/26/11	National Outdoor Leadership School	1,000.00
10/26/11	Hand In Hand Parenting	2,500.00
10/26/11	Mountain Meadows Conservancy	1,500.00
10/26/11	Church of Jesus Christ of Latter Day Saints	2,000.00
10/26/11	New Hampshire Charitable Foundation	2,000.00
10/26/11	Davis Education Foundation	2,000.00
10/26/11	Lucky Star Cavalier Rescue	500.00
10/26/11	Save Your Ass Long Ear Rescue	500.00
10/26/11	Dana Hall School	500.00
10/26/11	Vassar College	500.00
10/27/11	Friends of the Public Garden	2,000.00
10/27/11	Friends of the Public Garden	2,000.00
10/27/11	Room to Grow	2,000.00
10/27/11	Spontaneous Celebrations Inc	2,000.00
10/27/11	Rosie's Place, Inc.	2,000.00
10/27/11	Weber County School District Foundation	2,000.00
10/28/11	Wellesley College	2,000.00
09/20/11	All Species Project Inc	5,000.00
10/28/11	All Species Project Inc	5,000.00
07/22/11	All Species Project Inc	1,000.00
Total Grants Made		1,171,925.21
TOTAL		1,171,925.21

Putnam Foundation
Part III, Balance Sheet
10/31/2011

	<u>Cost</u>	<u>FMV</u>
Line 1 - Cash - Non-interest-bearing		
Bank of America	65,064	65,064
BNY Mellon Mutual Funds & Cash	1,569,379	1,569,379
BNY Mellon Pinnacle	32,524	32,524
BNY Mellon Snow Capital	49,367	49,367
BNY Mellon Breckinridge	8,426	8,426
BNY Mellon Walthausen & Co	19,606	19,606
	<u>1,744,366</u>	<u>1,744,366</u>
Line 7 - Other Notes		
NH Community Loan	100,479	100,479
Line 10a - U.S. and State Government Obligations		
BNY Mellon Breckinridge	494,829	503,264
Line 10b - Corporate Stocks		
BNY Mellon Pinnacle	1,950,061	2,140,500
BNY Mellon Snow Capital	1,318,002	1,410,759
BNY Mellon Walthausen & Co	1,032,315	1,125,889
Sanderson Asset Management	2,164,897	1,636,753
	<u>6,465,275</u>	<u>6,313,901</u>
Line 10c - Corp Bonds		
BNY Mellon Mutual Funds & Cash	12,832,697	12,983,988
	<u>12,832,697</u>	<u>12,983,988</u>
Line 13 - Other Investments		
Sabretooth Offshore	1,100,000	942,698
Delta Prism	14,549	14,549
Forester Offshore	2,000,000	2,026,273
Highclere International	840,694	863,698
Octavian Offshore Fund, Ltd.	1,100,000	1,099,794
Regiment Capital Ltd.	1,000,000	1,078,236
Alysun Fund Limited	350,000	331,338
Lyme	5,000	1,299
Southpaw Credit Opportun Fund	1,050,000	1,136,592
	<u>7,460,243</u>	<u>7,494,477</u>
Total	29,097,889	29,140,475