Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

2010

For calendar year 2010, or tax year beginning December 1 , 2010, and ending November 30 , 20 11

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

Name of foundation: NEW BALANCE FOUNDATION

A Employer identification number: 04-6470644

Number and street (or P O box number if mail is not delivered to street address): 20 GUEST STREET | Room/suite

B Telephone number (see page 10 of the instructions): 617-783-4000

City or town, state, and ZIP code: BOSTON, MASSACHUSETTS 02135-2088

C If exemption application is pending, check here ▶ ☐

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

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

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶ $ 110,238,466

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

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

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)	
Revenue	1	Contributions, gifts, grants, etc., received (attach schedule)	1,000,000				
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch. B					
	3	Interest on savings and temporary cash investments	1,116	1,116	none		STMT 1
	4	Dividends and interest from securities	4,045,978	4,045,978			STMT 2
	5a	Gross rents					
	b	Net rental income or (loss)					
	6a	Net gain or (loss) from sale of assets not on line 10	3,308,145				
	b	Gross sales price for all assets on line 6a 145,489,153					
	7	Capital gain net income (from Part IV, line 2)		3,308,145			
	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)					
	12	**Total.** Add lines 1 through 11	8,355,239	7,355,239	NONE		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc					
	14	Other employee salaries and wages					
	15	Pension plans, employee benefits					
	16a	Legal fees (attach schedule)					
	b	Accounting fees (attach schedule)					
	c	Other professional fees (attach schedule)					
	17	Interest					
	18	Taxes (attach schedule) (see page 14 of the instructions)	200,448	1,010		328	STMT 4
	19	Depreciation (attach schedule) and depletion					
	20	Occupancy					
	21	Travel, conferences, and meetings					
	22	Printing and publications					
	23	Other expenses (attach schedule)	129,404	129,404			STMT 5
	24	**Total operating and administrative expenses.** Add lines 13 through 23	329,852	130,414		328	
	25	Contributions, gifts, grants paid	6,586,830			6,586,830	STMT 8
	26	**Total expenses and disbursements.** Add lines 24 and 25	6,916,682	130,414	NONE	6,587,158	
	27	Subtract line 26 from line 12:					
	a	**Excess of revenue over expenses and disbursements**	1,438,557				
	b	**Net investment income** (if negative, enter -0-)		7,224,825			
	c	**Adjusted net income** (if negative, enter -0-)			NONE		

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	235,096	1,500	1,500
	2	Savings and temporary cash investments	15,609,142	700,470	700,470
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less. allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U.S. and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	96,201,341	112,890,608	109,021,545 STMT 6
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment: basis ▶			
		Less: accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	503,385	430,608	514,952 STMT 6A
	14	Land, buildings, and equipment: basis ▶			
		Less: accumulated depreciation (attach schedule) ▶			
	15	Other assets (describe ▶ accrued dividends & interest)	35,665	NONE	NONE
	16	**Total assets** (to be completed by all filers—see the instructions. Also, see page 1, item I)	112,584,629	114,023,186	110,238,466
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ Margin Loan)	NONE	187,220	STMT 6B
	23	**Total liabilities** (add lines 17 through 22)	NONE	187,220	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☑ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	112,584,629	113,853,966	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	**Total net assets or fund balances** (see page 17 of the instructions)	112,584,629	113,835,966	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	112,584,629	114,023,186	

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	112,584,629
2	Enter amount from Part I, line 27a	2	1,438,557
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	114,023,186
5	Decreases not included in line 2 (itemize) ▶	5	187,220
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	113,835,966

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 STATEMENT 3			
b				
c				
d				
e				

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

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

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

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	3,308,145
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	(1,619,908)

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	6,237,466	116,608,902	.05349047879
2008	5,974,678	101,709,674	.05874247517
2007	6,409,110	125,915,767	.05089997983
2006	6,381,905	123,865,057	.05152304576
2005	5,160,431	101,900,703	.05064176054

2	**Total** of line 1, column (d)	2	26529774009
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	.05305954801
4	Enter the net value of noncharitable-use assets for 2010 from Part X, line 5	4	118,262,397
5	Multiply line 4 by line 3	5	6,274,949
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	72,248
7	Add lines 5 and 6	7	6,347,197
8	Enter qualifying distributions from Part XII, line 4	8	6,587,158

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter: ________ (attach copy of letter if necessary—see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b	1	72,248	
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		
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4		
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	72,248	
6	Credits/Payments:			
a	2010 estimated tax payments and 2009 overpayment credited to 2010 — 6a — 105,682			
b	Exempt foreign organizations—tax withheld at source — 6b			
c	Tax paid with application for extension of time to file (Form 8868) — 6c			
d	Backup withholding erroneously withheld — 6d			
7	Total credits and payments. Add lines 6a through 6d	7	105,682	
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	33,434	
11	Enter the amount of line 10 to be: **Credited to 2011 estimated tax** ▶ 33,434 **Refunded** ▶	11	0	

Part VII-A Statements Regarding Activities

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

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

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions)	11		✓
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		✓
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	✓	
	Website address ▶ NEWBALANCEFOUNDATION.ORG			
14	The books are in care of ▶ WILLIAM R. STANDLEY Telephone no. ▶ 617-746-2212 Located at ▶ NEW BALANCE, 20 GUEST STREET BOSTON, MA ZIP+4 ▶ 02135-2088			
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 0			
16	At any time during calendar year 2010, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		✓
	See page 20 of the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶			

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

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

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)?	**5b**		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ 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.*	**6b**		✓
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?	**7b**		

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

1 List all officers, directors, trustees, foundation managers and their compensation (see page 22 of the instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 7	TRUSTEE P.T.	NONE	NONE	NONE

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

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

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
UBS FINANCIAL SERVICES 1 POST OFFICE SQUARE, BOSTON, MA 02109-2106	INVESTMENT ADVISOR	129,404
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	
2	
3	
4	

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments See page 24 of the instructions 3	
Total. Add lines 1 through 3 . . . . ▶	NONE

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	113,188,241
b	Average of monthly cash balances	1b	6,875,106
c	Fair market value of all other assets (see page 25 of the instructions)	1c	none
d	**Total** (add lines 1a, b, and c)	1d	120,063,347
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	none
3	Subtract line 2 from line 1d	3	120,063,347
4	Cash deemed held for charitable activities. Enter 1 ½ % of line 3 (for greater amount, see page 25 of the instructions)	4	1,800,950
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	118,262,397
6	**Minimum investment return.** Enter 5% of line 5	6	5,913,120

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	5,913,120
2a	Tax on investment income for 2010 from Part VI, line 5	2a	72,248		
b	Income tax for 2010. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	72,248
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	5,840,872
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	5,840,872
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	5,840,872

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	6,587,158
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	6,587,158
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	72,248
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	6,514,910

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				5,840,872
2	Undistributed income, if any, as of the end of 2010:				
a	Enter amount for 2009 only			NONE	
b	Total for prior years. 20___,20___,20___		NONE		
3	Excess distributions carryover, if any, to 2010:				
a	From 2005 220,641				
b	From 2006 414,118				
c	From 2007 208,346				
d	From 2008 949,816				
e	From 2009 563,750				
f	**Total** of lines 3a through e	2,356,671			
4	Qualifying distributions for 2010 from Part XII, line 4: ▶ $ 6,587,158				
a	Applied to 2009, but not more than line 2a				
b	Applied to undistributed income of prior years (Election required—see page 26 of the instructions)				
c	Treated as distributions out of corpus (Election required—see page 26 of the instructions)				
d	Applied to 2010 distributable amount				5,840,872
e	Remaining amount distributed out of corpus	746,286			
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	3,102,957			
b	Prior years' undistributed income. Subtract line 4b from line 2b		NONE		
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		NONE		
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)	220,641			
9	**Excess distributions carryover to 2011.** Subtract lines 7 and 8 from line 6a	2,882,316			
10	Analysis of line 9:				
a	Excess from 2006 414,118				
b	Excess from 2007 208,346				
c	Excess from 2008 949,816				
d	Excess from 2009 563,750				
e	Excess from 2010 746,286				

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

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

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

	Tax year	Prior 3 years			(e) Total
	(a) 2010	(b) 2009	(c) 2008	(d) 2007	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon:					
a "Assets" alternative test—enter: (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					–
b "Endowment" alternative test—enter ⅔ 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).)

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

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

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

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

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient 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 8	N/A	PUBLIC	GENERAL SUPPORT	6,586,830
Total . . . . . . ▶ 3a				6,586,830
b *Approved for future payment*				
CAMP SUNSHINE	N/A	PUBLIC	GENERAL SUPPORT	50,000
CHILDREN'S HOSPITAL BOSTON	N/A	PUBLIC	GENERAL SUPPORT	900,000
CHOP CHOP	N/A	PUBLIC	GENERAL SUPPORT	500,000
PLAYWORKS	N/A	PUBLIC	GENERAL SUPPORT	600,000
TUFTS	N/A	PUBLIC	GENERAL SUPPORT	500,000
TWO TEN FOUNDATION	N/A	PUBLIC	GENERAL SUPPORT	125,000
Total . . . . . . ▶ 3b				2,675,000

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions.)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	1,116	
4 Dividends and interest from securities			14	4,043,938	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	3,310,185	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue: a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)				7,355,239	

13 Total. Add line 12, columns (b), (d), and (e) . . . 13 7,355,239

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

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

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

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

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

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

X Anne M. Davis | 9/5/12 | TRUSTEE

Signature of officer or trustee | Date | Title

Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
	Laura J. Kenney	Laura J. Kenney	8/17/12		P00202198
	Firm's name ▶ Grant Thornton LLP			Firm's EIN ▶	36-6055558
	Firm's address ▶ 226 Causeway Street			Phone no.	617-723-7900

NEW BALANCE FOUNDATION TIN: 04-6470644
FORM 990-PF
TAX YEAR 12/01/10- 11/30/11 STATEMENT 1

PART I, LINE 3

INTEREST ON TEMPORARY CASH INVESTMENTS

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME
INTEREST	1,116	1,116	NONE

NEW BALANCE FOUNDATION TIN: 04-6470644
FORM 990-PF
TAX YEAR 12/01/10- 11/30/11 STATEMENT 2

PART I, LINE 4

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	NET INVESTMENT INCOME
DIVIDENDS & INTEREST	4,045,978	4,045,978

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10-11/30/11

TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
ABBOTT LABS	002824100	523	08/04/09	23,179 36	08/31/11	27,275 49	4,096 13	17 67%	L
ACCENTURE PLC IRELAND CL A	G1151C101	41	07/30/09	1,443 94	06/29/11	2,454 82	1,010 88	70 01%	L
ACCENTURE PLC IRELAND CL A	G1151C101	611	08/04/09	21,769 69	07/06/11	37,848 89	16,079 20	73 86%	L
ACCENTURE PLC IRELAND CL A	G1151C101	637	08/04/09	22,696 05	06/29/11	38,139 58	15,443 53	68 05%	L
ACCENTURE PLC IRELAND CL A	G1151C101	958	08/04/09	34,133 16	08/31/11	51,427 99	17,294 83	50 67%	L
ACCENTURE PLC IRELAND CL A	G1151C101	593	08/04/09	21,128 35	07/14/11	36,184 58	15,056 23	71 26%	L
ACE LTD CHF	H0023R105	463	09/09/10	25,687 75	08/31/11	29,943 02	4,255 27	16 57%	S
ACTIVISION BLIZZARD INC	00507V109	45	07/19/10	503 55	11/28/11	544 30	40 75	8 09%	L
ACTIVISION BLIZZARD INC	00507V109	1,240	07/27/10	14,743 60	11/28/11	14,998 37	254 77	1 73%	L
AIR PROD & CHEMICAL INC	009158106	244	04/14/10	18,417 17	08/31/11	20,084 37	1,667 20	9 05%	L
ALLIANZ FIXED INCOME SHARES SERIES C	01882B205	69,065	08/05/09	877,125 50	08/05/11	912,348 65	35,223 15	4 02%	L
ALLIANZ FIXED INCOME SHARES SERIES C	01882B205	62,225	08/05/09	790,257 50	01/27/11	793,991 00	3,733 50	0 47%	L
ALLIANZ FIXED INCOME SHARES SERIES C	01882B205	14,890	12/28/09	194,165 60	08/05/11	196,696 90	2,531 30	1 30%	L
ALLIANZ FIXED INCOME SHARES SERIES C	01882B205	20,825	01/06/10	257,605 25	08/05/11	275,098 25	17,493 00	6 79%	L
ALLIANZ FIXED INCOME SHARES SERIES C	01882B205	15,755	12/30/10	198,670 55	08/05/11	208,123 55	9,453 00	4 76%	S
ALLIANZ FIXED INCOME SHARES SERIES C	01882B205	14,645	02/18/11	187,748 90	08/05/11	193,460 45	5,711 55	3 04%	S
ALLIANZ FIXED INCOME SHARES SERIES M	01882B304	130,300	08/05/09	1,205,275 00	08/05/11	1,400,725 00	195,450 00	16 22%	L
ALLIANZ FIXED INCOME SHARES SERIES M	01882B304	74,150	08/05/09	685,887 50	01/27/11	764,486 50	78,599 00	11 46%	L
ALLIANZ FIXED INCOME SHARES SERIES M	01882B304	7,350	12/28/09	71,883 00	08/05/11	79,012 50	7,129 50	9 92%	L
ALLIANZ FIXED INCOME SHARES. SERIES M	01882B304	3,575	01/06/10	34,784 75	08/05/11	38,431 25	3,646 50	10 48%	L
ALLIANZ FIXED INCOME SHARES SERIES M	01882B304	30	01/14/10	294 60	08/05/11	322 50	27 90	9 47%	L
ALLIANZ FIXED INCOME SHARES SERIES M	01882B304	8,040	01/10/11	83,133 60	08/05/11	86,430 00	3,296 40	3 97%	S
ALLIANZ FIXED INCOME SHARES SERIES M	01882B304	19,645	02/18/11	201,557 70	08/05/11	211,183 75	9,626 05	4 78%	S
ALLSTATE CORP	020002101	340	07/30/09	8,935 20	02/08/11	11,050 29	2,115 09	23 67%	L
ALLSTATE CORP	020002101	235	07/30/09	6,175 80	04/15/11	7,402 69	1,226 89	19 87%	L
ALLSTATE CORP	020002101	90	08/04/09	2,458 89	04/15/11	2,835 07	376 18	15 30%	L
ALLSTATE CORP	020002101	405	08/04/09	11,065 01	05/05/11	13,635 84	2,570 83	23 23%	L
ALLSTATE CORP	020002101	35	08/04/09	956 24	08/05/11	916 37	(39 87)	-4 17%	L
ALLSTATE CORP	020002101	500	08/06/09	13,992 25	08/05/11	13,090 94	(901 31)	-6 44%	L
ALLSTATE CORP	020002101	165	10/15/09	5,256 55	08/05/11	4,320 01	(936 54)	-17 82%	L
AMBASSADORS GROUP INC	023177108	111	07/30/09	1,691 97	06/09/11	1,032 67	(659 30)	-38 97%	L
AMBASSADORS GROUP INC	023177108	103	08/04/09	1,710 32	06/09/11	958 24	(752 08)	-43 97%	L
AMBASSADORS GROUP INC	023177108	5	08/04/09	83 03	09/20/11	31 16	(51 87)	-62 47%	L
AMBASSADORS GROUP INC	023177108	28	08/06/09	454 80	09/20/11	174 48	(280 32)	-61 64%	L
AMBASSADORS GROUP INC	023177108	49	08/06/09	795 91	09/22/11	270 16	(525 75)	-66 06%	L
AMBASSADORS GROUP INC	023177108	30	08/06/09	487 29	09/21/11	181 96	(305 33)	-62 66%	L
AMBASSADORS GROUP INC	023177108	47	10/15/09	759 52	09/22/11	259 13	(500 39)	-65 88%	L
AMBASSADORS GROUP INC	023177108	101	12/08/10	1,121 10	09/22/11	556 86	(564 24)	-50 33%	S
AMBASSADORS GROUP INC	023177108	9	12/08/10	99 90	09/28/11	53 54	(46 36)	-46 41%	S
AMBASSADORS GROUP INC	023177108	7	12/08/10	77 70	09/26/11	40 97	(36 73)	-47 27%	S
AMBASSADORS GROUP INC	023177108	53	12/08/10	588 30	10/07/11	305 32	(282 98)	-48 10%	S
AMBASSADORS GROUP INC	023177108	4	12/08/10	44 40	09/29/11	24 01	(20 39)	-45 92%	S
AMC NETWORKS INC CL A	00164V103	132	07/30/09	2,578 23	07/13/11	4,878 77	2,300 54	89 23%	L
AMC NETWORKS INC CL A	00164V103	1	07/30/09	14 68	07/01/11	29 41	14 73	100 34%	L
AMC NETWORKS INC CL A	00164V103	104	08/04/09	2,090 70	07/13/11	3,841 91	1,751 21	83 76%	L
AMC NETWORKS INC CL A	00164V103	123	08/06/09	2,506 34	07/13/11	4,536 23	2,029 89	80 99%	L
AMC NETWORKS INC CL A	00164V103	40	10/15/09	902 48	07/13/11	1,481 22	578 74	64 13%	L
AMER MEDICAL SYSTEMS HOLDINGS *MERGER EFF	02744M108	117	12/27/10	2,235 86	04/11/11	3,445 90	1,210.04	54 12%	S
AMER MEDICAL SYSTEMS HOLDINGS *MERGER EFF	02744M108	492	12/28/10	9,385 44	04/11/11	14,490 44	5,105 00	54 39%	S
AMER MEDICAL SYSTEMS HOLDINGS *MERGER EFF	02744M108	254	12/29/10	4,841 42	04/11/11	7,480.84	2,639 42	54 52%	S
AMER MEDICAL SYSTEMS HOLDINGS *MERGER EFF	02744M108	93	12/30/10	1,773 47	04/11/11	2,739 05	965 58	54 45%	S
AMER STATES WATER CO	029899101	47	07/30/09	1,717 85	06/09/11	1,570 99	(146 86)	-8 55%	L
AMER STATES WATER CO	029899101	46	08/04/09	1,707 98	06/09/11	1,537 56	(170 42)	-9 98%	L
AMER STATES WATER CO	029899101	20	08/06/09	716 00	06/09/11	668 51	(47 49)	-6 63%	L
AMEREN CORP	023608102	55	08/04/09	1,402 39	02/08/11	1,568 31	165 92	11 83%	L
AMEREN CORP	023608102	190	08/06/09	5,017 14	02/08/11	5,417 80	400 66	7 99%	L
AMEREN CORP	023608102	155	10/15/09	3,942 78	02/08/11	4,419 79	477 01	12 10%	L
AMERICAN FUNDS WASHINGTON MUTUAL	939330106	137,410	04/27/10	3,524,566 63	07/19/11	4,000,000.00	475,433 37	13 49%	L
AMERICAN FUNDS GROWTH FUND OF AMERICA CLAS	399874106	83,056	07/29/09	2,000,005 24	01/26/11	2,590,526 30	590,521 06	29 53%	L
AMERICAN FUNDS GROWTH FUND OF AMERICA CLAS	399874106	120,822	08/03/09	3,000,005 25	02/04/11	3,802,250 23	802,244 98	26 74%	L
AMERICAN FUNDS GROWTH FUND OF AMERICA CLAS	399874106	1,583	12/22/09	42,977 50	02/04/11	49,815 84	6,838 34	15 91%	L
AMERICAN FUNDS GROWTH FUND OF AMERICA CLAS	399874106	1,659	12/22/10	50,337 94	02/04/11	52,212 69	1,874 75	3 72%	S
AMERICAN SCIENCE & ENGINEERING INC	029429107	34	07/30/09	2,389 18	06/09/11	2,736 53	347 35	14 54%	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	32	08/04/09	2,277 44	06/09/11	2,575 56	298 12	13 09%	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	33	08/06/09	2,236 51	06/09/11	2,656 05	419 54	18 76%	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	14	10/15/09	931.94	06/09/11	1,126 81	194 87	20 91%	L
AMERICAN SCIENCE & ENGINEERING INC	029429107	42	01/26/11	3,690 56	06/09/11	3,380 42	(310.14)	-8 40%	S
AMERICAN SCIENCE & ENGINEERING INC	029429107	21	01/27/11	1,873 23	06/09/11	1,690 21	(183 02)	-9 77%	S
AMERICAN SCIENCE & ENGINEERING INC	029429107	2	01/28/11	176 01	06/09/11	160 97	(15 04)	-8 54%	S
AMERIGON INC	03070L300	31	03/14/11	424 70	06/09/11	477 10	52 40	12 34%	S
AMERIGON INC	03070L300	68	03/15/11	928.87	06/09/11	1,046 53	117 66	12 67%	S
AMERIGON INC	03070L300	95	03/16/11	1,314 93	06/09/11	1,462 07	147 14	11 19%	S

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10- 11/30/11

TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
AMERIGON INC	03070L300	116	03/17/11	1,643 26	06/09/11	1,785 26	142 00	8 64%	S
AMERIGON INC	03070L300	51	03/18/11	719 56	06/09/11	784 90	65 34	9 08%	S
AMERIGON INC	03070L300	108	03/21/11	1,625 78	06/09/11	1,662 14	36 36	2 24%	S
AMERIGON INC	03070L300	2	03/22/11	29 76	06/09/11	30 78	1 02	3 43%	S
ANNALY CAPITAL MANAGEMENT INC REIT	035710409	640	07/30/09	10,649 60	12/13/10	11,665 59	1,015.99	9 54%	L
AON CORP	037389103	125	07/30/09	4,972 50	06/09/11	6,382 41	1,409 91	28 35%	L
AON CORP	037389103	130	08/04/09	5,140 14	06/09/11	6,637 71	1,497.57	29 13%	L
AON CORP	037389103	120	08/06/09	4,812 25	06/09/11	6,127 12	1,314 87	27 32%	L
AON CORP	037389103	75	10/15/09	3,119 06	06/09/11	3,829 45	710 39	22 78%	L
AON CORP	037389103	1,697	07/29/10	62,193 18	05/19/11	88,904 97	26,711 79	42 95%	S
APACHE CORP	037411105	579	08/04/09	50,494 59	08/31/11	59,762 54	9,267 95	18 35%	L
APOGEE ENTERPRISES INC	037598109	197	07/30/09	2,934 67	06/09/11	2,310 77	(623 90)	-21 26%	L
APOGEE ENTERPRISES INC	037598109	189	08/04/09	2,831 03	06/09/11	2,216 93	(614 10)	-21 69%	L
APOGEE ENTERPRISES INC	037598109	52	08/06/09	744 59	06/09/11	609 95	(134 64)	-18 08%	L
ASML HOLDING NV NY REG SHS NEW	N07059186	652	08/10/11	21,608.97	08/31/11	23,047 75	1,438 78	6 66%	S
AT&T INC	00206R102	222	07/30/09	5,836 05	04/06/11	6,756 06	920 01	15 76%	L
AT&T INC	00206R102	956	08/04/09	25,027 98	04/06/11	29,093 68	4,065 70	16 24%	L
AT&T INC	00206R102	887	08/04/09	23,221 57	09/07/11	24,791 17	1,569 60	6 76%	L
AT&T INC	00206R102	1,430	08/04/09	37,437 26	08/31/11	40,397.86	2,960 60	7 91%	L
BALDOR ELEC CO *MERGER EFF 02/2011*	057741100	370	07/30/09	10,329 66	12/07/10	23,409 54	13,079 88	126 62%	L
BALDOR ELEC CO *MERGER EFF 02/2011*	057741100	355	08/04/09	9,985 26	12/07/10	22,460 50	12,475 24	124 94%	L
BALDOR ELEC CO *MERGER EFF 02/2011*	057741100	354	08/06/09	9,745 62	12/07/10	22,397 23	12,651 61	129 82%	L
BALDOR ELEC CO *MERGER EFF 02/2011*	057741100	156	10/15/09	4,604 19	12/07/10	9,869 97	5,265 78	114 37%	L
BANK OF AMER CORP	060505104	1,284	05/14/10	20,903 52	08/31/11	10,542 72	(10,360 80)	-49 56%	L
BANK OF AMER CORP	060505104	1,278	05/19/10	20,860 41	08/31/11	10,493 45	(10,366 96)	-49 70%	L
BANK OF HAWAII CORP	062540109	267	07/30/09	10,287.24	06/09/11	12,281 97	1,994 73	19 39%	L
BANK OF HAWAII CORP	062540109	158	08/04/09	6,256 56	06/09/11	7,267 99	1,011 43	16 17%	L
BANK OF NEW YORK MELLON CORP	064058100	897	07/30/09	24,683 83	06/08/11	23,574 86	(1,108 97)	-4 49%	L
BANK OF NEW YORK MELLON CORP	064058100	1,796	08/04/09	50,915 35	08/31/11	37,447 32	(13,468 03)	-26 45%	L
BANK OF NEW YORK MELLON CORP	064058100	356	08/04/09	10,092 35	06/08/11	9,356 35	(736 00)	-7 29%	L
BARCLAYS BANK PLC AOS-CP AAPL 1/6/20	06740P619	50,000	12/29/10	500,000 00	01/31/11	506,650 00	6,650 00	1 33%	S
BARCLAYS BANK PLC AOS-CP MA 1/6/20	06740P627	50,000	12/29/10	500,000 00	01/31/11	507,300 00	7,300 00	1 46%	S
BARCLAYS BANK PLC TRIGGER AOS CORN FUTURES	06740P478	50,000	02/23/11	500,000 00	05/27/11	541,250 00	41,250 00	8 25%	S
BARCLAYS BANK PLC TRIGGER AOS CORN FUTURES	06741K395	25,000	05/26/11	250,000 00	09/06/11	265,312 50	15,312 50	6 12%	S
BECTON DICKINSON & CO	075887109	364	12/22/09	28,349 67	08/31/11	29,772 87	1,423 20	5 02%	L
BLACKBAUD INC	09227Q10C	245	07/30/09	4,358 65	06/09/11	6,624 67	2,266 02	51 99%	L
BLACKBAUD INC	09227Q10C	71	08/04/09	1,364 71	06/09/11	1,919 80	555 09	40 67%	L
BLACKBOARD INC **MERGER EFF 10/2011**	091935502	47	07/30/09	1,595 76	06/09/11	1,942 51	346 75	21 73%	L
BLACKBOARD INC **MERGER EFF 10/2011**	091935502	34	07/30/09	1,154 38	04/20/11	1,610 65	456 27	39 53%	L
BLACKBOARD INC **MERGER EFF 10/2011**	091935502	78	08/04/09	2,674 71	06/09/11	3,223 74	549 03	20 53%	L
BLACKBOARD INC **MERGER EFF 10/2011**	091935502	46	08/06/09	1,649 48	07/01/11	2,030 75	381 27	23 11%	L
BLACKBOARD INC **MERGER EFF 10/2011**	091935502	32	08/06/09	1,147 47	06/09/11	1,322 56	175 09	15 26%	L
BLACKBOARD INC **MERGER EFF 10/2011**	091935502	87	08/25/09	3,145 73	07/01/11	3,840 75	695 02	22 09%	L
BLACKBOARD INC **MERGER EFF 10/2011**	091935502	46	10/15/09	1,782 50	07/01/11	2,030 75	248 25	13 93%	L
BLACKBOARD INC **MERGER EFF 10/2011**	091935502	63	12/28/09	2,913 13	07/01/11	2,781 24	(131 89)	-4 53%	L
BLACKROCK INC	09247X101	121	06/08/11	22,987 69	08/31/11	20,119 95	(2,867 74)	-12 48%	S
BLUE COAT SYSTEMS INC NEW*MERGER EFF	(09534T508	109	10/06/09	2,486 68	06/09/11	2,439 37	(47 31)	-1.90%	L
BLUE COAT SYSTEMS INC NEW*MERGER EFF	(09534T508	235	10/07/09	5,514 42	06/09/11	5,259 20	(255 22)	-4 63%	L
BLUE COAT SYSTEMS INC NEW*MERGER EFF	(09534T508	46	10/15/09	1,113 20	06/09/11	1,029 46	(83 74)	-7 52%	L
BLUE COAT SYSTEMS INC NEW*MERGER EFF	(09534T508	7	10/15/09	169 40	08/23/11	90 01	(79 39)	-46 87%	L
BLUE COAT SYSTEMS INC NEW*MERGER EFF.	(09534T508	109	12/23/09	3,228 89	08/23/11	1,401 53	(1,827 36)	-56 59%	L
BLUE COAT SYSTEMS INC NEW*MERGER EFF	(09534T508	200	05/11/10	6,211 84	08/23/11	2,571 63	(3,640 21)	-58 60%	L
BLUE COAT SYSTEMS INC NEW*MERGER EFF	(09534T508	212	10/22/10	5,442 87	08/23/11	2,725 93	(2,716 94)	-49 92%	S
BLUE COAT SYSTEMS INC NEW*MERGER EFF	(09534T508	92	12/22/10	2,771 67	08/23/11	1,182 95	(1,588 72)	-57 32%	S
BLUE COAT SYSTEMS INC NEW*MERGER EFF	(09534T508	10	12/23/10	301 63	08/23/11	128 58	(173 05)	-57 37%	S
BOTTOMLINE TECHNOLOGIES INC	101388106	87	12/27/10	1,830 19	06/09/11	1,967 09	136 90	7 48%	S
BOTTOMLINE TECHNOLOGIES INC	101388106	173	12/28/10	3,808 61	06/09/11	3,911 57	102 96	2 70%	S
BOTTOMLINE TECHNOLOGIES INC	101388106	48	12/29/10	1,083 56	06/09/11	1,085 29	1 73	0 16%	S
BRUKER CORP	116794108	103	06/23/10	1,337 97	06/09/11	1,858 13	520 16	38 88%	S
BRUKER CORP	116794108	450	06/24/10	5,904 09	06/09/11	8,118 04	2,213 95	37 50%	S
BRUKER CORP	116794108	222	06/25/10	2,934 57	06/09/11	4,004 90	1,070 33	36 47%	S
BRUKER CORP	116794108	60	11/17/10	909 85	06/09/11	1,082 41	172 56	18.97%	S
CALGON CARBON CORP	129603106	467	03/28/11	7,146 73	06/09/11	7,621 85	475.12	6 65%	S
CALL ABBOTT LABS DUE 11/19/11 52 500		(5)	11/16/11	760 00	08/25/11	525 17	(234 83)	-44.72%	S
CALL ABBOTT LABS DUE 11/19/11 52 500		(7)	11/16/11	1,064 00	09/02/11	965 98	(98 02)	-10 15%	S
CALL ABBOTT LABS DUE 11/19/11 52 500		(5)	11/16/11	760 00	09/07/11	864 98	104 98	12 14%	S
CALL ABBOTT LABS DUE 11/19/11 52 500		(3)	11/16/11	456 00	09/08/11	431 99	(24 01)	-5 56%	S
CALL ABBOTT LABS DUE 11/19/11 52 500		(5)	11/16/11	760 00	09/09/11	594 98	(165.02)	-27 74%	S
CALL ABBOTT LABS DUE 11/19/11 52 500		(6)	11/16/11	912 00	09/22/11	575 98	(336 02)	-58 34%	S
CALL ABBOTT LABS DUE 11/19/11 55 000		(5)	08/01/11	180 00	07/29/11	249 99	69 99	28 00%	S
CALL BRISTOL MYERS SQUIB DUE 12/17/11 30 000		(5)	08/15/11	295 00	07/29/11	389 99	94 99	24.36%	S
CALL BRISTOL MYERS SQUIB DUE 12/17/11 30 000		(4)	08/10/11	174 74	07/29/11	311 99	137 25	43 99%	S

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10-11/30/11

TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
CALL CHEVRON CORP DUE 12/17/11 105 000		(1)	11/21/11	65 00	08/04/11	294 99	229 99	77 97%	S
CALL CHEVRON CORP DUE 12/17/11 105 000		(1)	11/21/11	65 00	09/07/11	301 99	236 99	78 48%	S
CALL CHEVRON CORP DUE 12/17/11 105 000		(3)	11/21/11	195.00	09/08/11	857 98	662 98	77 27%	S
CALL CHEVRON CORP DUE 12/17/11 105 000		(1)	11/21/11	65 00	09/09/11	233 99	168 99	72 22%	S
CALL CHEVRON CORP DUE 12/17/11 105 000		(2)	11/21/11	130.00	09/22/11	189 99	59 99	31 58%	S
CALL COCA COLA CO COM DUE 01/21/12 70 000		(4)	11/09/11	320 00	07/29/11	755 98	435 98	57 67%	S
CALL COCA COLA CO COM DUE 01/21/12 70 000		(6)	11/09/11	480.00	08/11/11	937 71	457 71	48 81%	S
CALL COCA COLA CO COM DUE 01/21/12 70 000		(1)	11/09/11	80 00	09/02/11	301 99	221 99	73 51%	S
CALL COCA COLA CO COM DUE 01/21/12 70 000		(6)	11/09/11	480 00	09/07/11	2,033 96	1,553 96	76 40%	S
CALL COCA COLA CO COM DUE 01/21/12 70 000		(3)	11/09/11	240 00	09/09/11	905 98	665 98	73 51%	S
CALL COCA COLA CO COM DUE 01/21/12 70 000		(4)	11/09/11	320 00	09/22/11	811 98	491 98	60 59%	S
CALL COLGATE PALMOLIVE C DUE 01/21/12 90 000		(4)	11/11/11	1,099 27	08/22/11	1,260 30	161 03	12 78%	S
CALL COLGATE PALMOLIVE C DUE 01/21/12 90 000		(1)	11/11/11	274 82	09/02/11	469 99	195 17	41 53%	S
CALL COLGATE PALMOLIVE C DUE 01/21/12 90 000		(2)	11/11/11	549 64	09/07/11	1,115 97	566 33	50 75%	S
CALL COLGATE PALMOLIVE C DUE 01/21/12 90 000		(1)	11/11/11	274 82	09/14/11	509 99	235 17	46 11%	S
CALL COLGATE PALMOLIVE C DUE 01/21/12 90 000		(1)	11/11/11	274 82	09/22/11	351 99	77 17	21 92%	S
CALL DEERE AND CO DUE 12/17/11 85 000		(5)	09/21/11	745 51	08/11/11	1,385 22	639 71	46 18%	S
CALL DEERE AND CO DUE 12/17/11 85 000		(2)	09/21/11	298 20	09/07/11	749 98	451 78	60 24%	S
CALL DEERE AND CO DUE 12/17/11 85 000		(2)	09/21/11	298 20	09/09/11	575 98	277 78	48 23%	S
CALL DU PONT DE NEMOURS DUE 01/21/12 57 500		(5)	08/03/11	420 00	07/29/11	624 98	204 98	32 80%	S
CALL EXXON MOBIL CORP DUE 01/21/12 90 000		(3)	08/10/11	102 00	07/29/11	311 99	209 99	67 31%	S
CALL JOHNSON & JOHNSON C DUE 01/21/12 65 000		(4)	10/19/11	493 87	08/05/11	579 98	86 11	14 85%	S
CALL JOHNSON & JOHNSON C DUE 01/21/12 65 000		(3)	10/19/11	370 40	08/11/11	557 98	187 58	33 62%	S
CALL JOHNSON & JOHNSON C DUE 01/21/12 65 000		(5)	10/19/11	617 34	09/02/11	1,434 97	817 63	56 98%	S
CALL JOHNSON & JOHNSON C DUE 01/21/12 65 000		(5)	10/19/11	617 34	09/07/11	1,674 96	1,057 62	63 14%	S
CALL JOHNSON & JOHNSON C DUE 01/21/12 65 000		(3)	10/19/11	370 40	09/08/11	989 98	619 58	62 59%	S
CALL JOHNSON & JOHNSON C DUE 01/21/12 65 000		(5)	10/19/11	617 34	09/22/11	874 98	257 64	29 45%	S
CALL KRAFT FOODS INC CL DUE 12/17/11 36 000		(4)	08/04/11	500 00	07/29/11	259 99	(240 01)	-92 32%	S
CALL LOWES COMPANIES INC DUE 04/21/12 24 000		(15)	09/28/11	1,100 60	09/01/11	829 74	(270 86)	-32 64%	S
CALL LOWES COMPANIES INC DUE 04/21/12 24 000		(2)	09/28/11	146 75	09/02/11	83 99	(62 76)	-74 72%	S
CALL LOWES COMPANIES INC DUE 04/21/12 24 000		(13)	09/28/11	953 85	09/07/11	649 98	(303 87)	-46 75%	S
CALL LOWES COMPANIES INC DUE 04/21/12 24 000		(5)	09/28/11	366 87	09/09/11	224 99	(141 88)	-63 06%	S
CALL LOWES COMPANIES INC DUE 04/21/12 24 000		(5)	09/28/11	366 87	09/22/11	224 99	(141 88)	-63 06%	S
CALL MCDONALDS CORP DUE 01/21/12 85 000		(1)	08/29/11	760 00	07/29/11	440 99	(319 01)	-72 34%	S
CALL PROCTER & GAMBLE CO DUE 01/21/12 65 000		(4)	08/17/11	470 47	08/08/11	583 73	113 26	19 40%	S
CALL PROCTER & GAMBLE CO DUE 01/21/12 65 000		(6)	08/17/11	705 71	08/11/11	569 98	(135 73)	-23 81%	S
CALL PROCTER & GAMBLE CO DUE 04/21/12 70 000		(25)	09/22/11	1,605 60	09/19/11	2,499 95	894 35	35 77%	S
CALL PROCTER & GAMBLE CO DUE 04/21/12 70 000		(26)	10/28/11	1,924 00	10/03/11	3,143 62	1,219 62	38 80%	S
CALL SOUTHERN CO DUE 02/18/12 41 000		(3)	08/09/11	165 00	08/04/11	290 99	125 99	43 30%	S
CALL SPDR GOLD TRUST DUE 12/18/10 136 000		(280)	12/16/10	1,960 00	10/19/10	64,912 90	62,952 90	96 98%	S
CALL VERIZON COMMUNICATI DUE 07/21/12 40 000		(22)	10/25/11	1,870 00	10/04/11	2,577 69	707 69	27 45%	S
CALL VERIZON COMMUNICATI DUE 07/21/12 40 000		(23)	10/25/11	1,955 00	10/05/11	2,955 82	1,000 82	33 86%	S
CALL WAL MART STORES INC DUE 12/17/11 55 000		(2)	08/01/11	186 56	07/29/11	223 99	37 43	16 71%	S
CALL WASTE MGMT INC NEW DUE 11/19/11 35 000		(27)	10/18/11	1,080 00	10/06/11	2,294 95	1,214 95	52 94%	S
CALL WASTE MGMT INC NEW DUE 11/19/11 35 000		(28)	10/18/11	1,120 00	10/07/11	2,387 62	1,267 62	53 09%	S
CANTEL MEDICAL CORP	138098108	190	02/19/10	3,832 64	06/09/11	4,657 23	824 59	21 51%	L
CAPELLA EDUCATION CO	139594105	34	07/30/09	2,176 12	04/28/11	1,689 91	(486 21)	-22 34%	L
CAPELLA EDUCATION CO	139594105	94	07/30/09	6,016 32	04/27/11	4,740 35	(1,275 97)	-21 21%	L
CAPELLA EDUCATION CO	139594105	122	08/04/09	7,918 51	04/28/11	6,063 78	(1,854 73)	-23 42%	L
CAPELLA EDUCATION CO	139594105	51	08/06/09	3,200 32	04/28/11	2,534 86	(665 46)	-20 79%	L
CAPELLA EDUCATION CO	139594105	72	08/06/09	4,518 10	04/29/11	3,565 49	(952 61)	-21 08%	L
CAPELLA EDUCATION CO	139594105	54	10/15/09	3,851 28	04/29/11	2,674 12	(1,177 16)	-30 57%	L
CAPELLA EDUCATION CO	139594105	40	05/10/10	3,557 37	04/29/11	1,980 83	(1,576 54)	-44 32%	S
CARBO CERAMICS INC	140781105	78	07/30/09	3,074 92	06/09/11	11,465 90	8,390 98	272 88%	L
CARBO CERAMICS INC	140781105	69	07/30/09	2,720 12	05/03/11	10,600 85	7,880 73	289 72%	L
CARBO CERAMICS INC	140781105	134	08/04/09	5,830 88	06/09/11	19,697 84	13,866 96	237 82%	L
CARBO CERAMICS INC	140781105	8	08/04/09	348 11	08/12/11	1,108 02	759 91	218 30%	L
CARBO CERAMICS INC	140781105	15	08/06/09	645 66	09/27/11	1,996 83	1,351 17	209 27%	L
CARBO CERAMICS INC	140781105	12	08/06/09	516 53	08/12/11	1,662 04	1,145 51	221 77%	L
CERAGON NETWORKS LTD ILS	M2201310:	32	10/14/10	316 55	06/09/11	329 63	13 08	4 13%	S
CERAGON NETWORKS LTD ILS	M2201310:	74	10/15/10	737 66	06/09/11	762 27	24 61	3 34%	S
CERAGON NETWORKS LTD ILS	M2201310:	205	10/18/10	2,049 71	06/09/11	2,111 70	61 99	3 02%	S
CERAGON NETWORKS LTD ILS	M2201310:	164	10/19/10	1,599 84	06/09/11	1,689 36	89 52	5 60%	S
CERAGON NETWORKS LTD ILS	M2201310:	86	10/20/10	861.30	06/09/11	885.88	24 58	2 85%	S
CHEVRON CORP	166764100	36	07/30/09	2,450.74	04/13/11	3,761 93	1,311 19	53 50%	L
CHEVRON CORP	166764100	319	07/30/09	21,716 24	02/09/11	30,715 92	8,999 68	41 44%	L
CHEVRON CORP	166764100	658	08/04/09	46,158 50	08/31/11	65,167 85	19,009 35	41 18%	L
CHEVRON CORP	166764100	155	08/04/09	10,873 20	04/13/11	16,197 18	5,323 98	48 96%	L
CHIMERA INVT CORP	16934Q10S	50	07/30/09	180 50	11/18/11	134 00	(46 50)	-25 76%	L
CHIMERA INVT CORP	16934Q10S	2,100	07/30/09	7,581 00	01/18/11	8,653 93	1,072 93	14 15%	L
CHIMERA INVT CORP	16934Q10S	2,040	08/04/09	7,332 17	11/18/11	5,467 30	(1,864 87)	-25 43%	L
CHIMERA INVT CORP	16934Q10S	1,710	08/06/09	6,668 15	11/18/11	4,582 88	(2,085 27)	-31 27%	L

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10-11/30/11

TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
CHIMERA INVT CORP	16934Q109	1,370	10/15/09	5,356 70	11/18/11	3,671 67	(1,685 03)	-31 46%	L
CHIMERA INVT CORP	16934Q109	2,585	04/08/10	10,155 17	11/21/11	6,851 40	(3,303.77)	-32 53%	L
CHIMERA INVT CORP	16934Q109	520	04/08/10	2,042 82	11/18/11	1,393 62	(649 20)	-31 78%	L
CHUBB CORP	171232101	316	07/30/09	14,292 52	01/26/11	18,634 00	4,341 48	30 38%	L
CHUBB CORP	171232101	961	08/04/09	46,434 56	02/03/11	55,832 45	9,397 89	20 24%	L
CHUBB CORP	171232101	263	08/04/09	12,707 90	01/26/11	15,508 68	2,800 78	22 04%	L
CHUBB CORP	171232101	218	10/15/09	11,202 15	02/03/11	12,665 42	1,463 27	13 06%	L
CLARCOR INC	179895107	333	07/30/09	11,199 79	06/09/11	13,630.92	2,431 13	21 71%	L
CLARCOR INC	179895107	69	08/04/09	2,365 66	06/09/11	2,824 43	458 77	19 39%	L
CLARCOR INC	179895107	18	08/04/09	617 13	10/17/11	803 94	186 81	30 27%	L
CLARCOR INC	179895107	44	08/04/09	1,508 54	10/14/11	2,007 83	499 29	33 10%	L
CLARCOR INC	179895107	43	08/04/09	1,474 25	10/18/11	1,923 44	449 19	30 47%	L
CLOROX CO	189054109	165	10/28/09	9,568 33	07/21/11	12,226 18	2,657 85	27 78%	L
COHERENT INC	192479103	106	07/30/09	2,140 63	06/09/11	5,360 73	3,220 10	150 43%	L
COHERENT INC	192479103	30	08/04/09	596 20	06/09/11	1,517 19	920 99	154.48%	L
COMCAST CORP NEW SPECIAL CL A	20030N20C	1,432	07/14/11	30,519 63	08/31/11	30,519 63	-	0 00%	S
COMMERCIAL METALS CO	201723103	153	07/30/09	2,467 20	06/09/11	2,134 84	(332 36)	-13 47%	L
COMMERCIAL METALS CO	201723103	147	08/04/09	2,570 74	06/09/11	2,051 12	(519 62)	-20 21%	L
COMMERCIAL METALS CO	201723103	147	08/06/09	2,507 97	06/09/11	2,051 12	(456 85)	-18 22%	L
COMMERCIAL METALS CO	201723103	104	10/01/09	1,808 82	06/09/11	1,451 14	(357 68)	-19 77%	L
COMMVAULT SYSTEMS INC	204166102	86	05/25/10	1,897 46	06/09/11	3,387 53	1,490 07	78 53%	L
COMMVAULT SYSTEMS INC	204166102	225	05/26/10	5,005 53	06/09/11	8,862 74	3,857 21	77 06%	L
COMPUTER PROGRAMS & SYSTEMS INC	205306103	61	07/30/09	2,452 96	06/09/11	3,490 96	1,038 00	42 32%	L
COMPUTER PROGRAMS & SYSTEMS INC	205306103	11	08/04/09	424 21	06/09/11	629 52	205 31	48 40%	L
CONS EDISON CO (HOLDING CO)	209115104	160	07/30/09	6,320 00	02/11/11	8,038 06	1,718 06	27 18%	L
CONS EDISON CO (HOLDING CO)	209115104	40	08/04/09	1,580 15	02/11/11	2,009 52	429 37	27 17%	L
CORPORATE OFFICE PPTYS NEW SBI	22002T108	218	07/30/09	7,407 64	06/09/11	7,089 40	(318 24)	-4 30%	L
CORPORATE OFFICE PPTYS NEW SBI	22002T108	152	08/04/09	5,129 29	06/09/11	4,943 06	(186 23)	-3 63%	L
COVIDIEN PLC	G2554F113	260	07/30/09	9,958 00	03/30/11	13,541 29	3,583 29	35 98%	L
COVIDIEN PLC	G2554F113	90	08/04/09	3,511 62	08/11/11	4,275 94	764 32	21 77%	L
COVIDIEN PLC	G2554F113	165	08/04/09	6,437 97	03/30/11	8,593 51	2,155 54	33 48%	L
COVIDIEN PLC	G2554F113	265	08/06/09	10,304 26	08/11/11	12,590 28	2,286 02	22 19%	L
COVIDIEN PLC	G2554F113	90	10/15/09	3,897 66	08/11/11	4,275 94	378 28	9 71%	L
CREDO PETROLEUM CORP NEW	225439207	30	08/06/09	358 32	12/07/10	224 99	(133 33)	-37 21%	L
CREDO PETROLEUM CORP NEW	225439207	35	08/06/09	418 04	12/20/10	264 31	(153 73)	-36 77%	L
CREDO PETROLEUM CORP NEW	225439207	68	08/06/09	812 19	12/17/10	512 64	(299 55)	-36 88%	L
CREDO PETROLEUM CORP NEW	225439207	58	10/15/09	599 72	12/21/10	435 84	(163 88)	-27 33%	L
CREDO PETROLEUM CORP NEW	225439207	24	10/15/09	248 16	12/20/10	181 24	(66 92)	-26 97%	L
DANAHER CORP	235851102	751	03/02/11	34,547 58	08/31/11	34,547 58	-	0 00%	S
DARLING INTL INC	237266101	395	02/10/11	5,775 45	06/09/11	7,118 08	1,342 63	23 25%	S
DAWSON GEOPHYSICAL CO	239359102	66	07/30/09	1,987 06	06/09/11	2,124 62	137 56	6 92%	L
DAWSON GEOPHYSICAL CO	239359102	5	08/04/09	176 13	06/27/11	159 17	(16 96)	-9 63%	L
DAWSON GEOPHYSICAL CO	239359102	16	08/04/09	563 62	06/09/11	515 06	(48 56)	-8 62%	L
DAWSON GEOPHYSICAL CO	239359102	42	08/04/09	1,479 49	06/28/11	1,341 88	(137 61)	-9 30%	L
DAWSON GEOPHYSICAL CO	239359102	10	08/06/09	295 66	06/28/11	319 49	23 83	8 06%	L
DAWSON GEOPHYSICAL CO	239359102	54	08/06/09	1,596 54	06/29/11	1,754 84	158 30	9 92%	L
DAWSON GEOPHYSICAL CO	239359102	28	10/15/09	786 06	06/29/11	909 91	123 85	15 76%	L
DEUTSCHE BANK AG YON-CP BAC	11/18/25154N704	62,578	11/18/11	999,996 44	11/18/11	999,996 44	-	0 00%	S
DEUTSCHE BANK AG YON-CP JPM	8/31/225154N29C	27,322	08/27/10	999,985 20	08/31/11	999,985 20	-	0 00%	L
DIAGEO PLC NEW GB SPON ADR	25243Q205	274	07/30/09	16,930 19	01/12/11	20,704 49	3,774 30	22 29%	L
DIAGEO PLC NEW GB SPON ADR	25243Q205	27	08/04/09	1,698 27	01/12/11	2,040 22	341 95	20 14%	L
DIAGEO PLC NEW GB SPON ADR	25243Q205	378	08/04/09	23,775 82	08/31/11	30,385 85	6,610 03	27 80%	L
DIAMOND FOODS INC	252603105	69	08/04/09	1,981.07	02/11/11	3,555.26	1,574 19	79 46%	L
DIAMOND FOODS INC	252603105	26	08/04/09	746 49	02/10/11	1,334 27	587 78	78 74%	L
DIAMOND FOODS INC	252603105	75	08/06/09	2,115 44	02/14/11	3,888 55	1,773 11	83 82%	L
DIAMOND FOODS INC	252603105	18	08/06/09	507 70	02/11/11	927 46	419 76	82 68%	L
DIAMOND FOODS INC	252603105	30	08/06/09	846 17	02/17/11	1,562 81	716 64	84 69%	L
DIAMOND FOODS INC	252603105	67	08/06/09	1,889 79	02/16/11	3,513 34	1,623 55	85 91%	L
DIAMOND FOODS INC	252603105	81	10/15/09	2,633 92	02/18/11	4,215 64	1,581 72	60 05%	L
DIAMOND FOODS INC	252603105	3	10/15/09	97 55	02/17/11	156 28	58 73	60 21%	L
DIME CMNTY BANCSHARES	253922108	73	07/30/09	899 70	03/23/11	1,031 94	132 24	14 70%	L
DIME CMNTY BANCSHARES	253922108	51	07/30/09	628 56	03/22/11	729 78	101 22	16 10%	L
DIME CMNTY BANCSHARES	253922108	59	07/30/09	727 15	03/21/11	850 22	123 07	16 92%	L
DIME CMNTY BANCSHARES	253922108	12	07/30/09	147 90	02/16/11	183 12	35 22	23 81%	L
DIME CMNTY BANCSHARES	253922108	37	07/30/09	456 01	02/14/11	574 72	118 71	26 03%	L
DIME CMNTY BANCSHARES	253922108	91	07/30/09	1,121 54	02/11/11	1,415.85	294 31	26 24%	L
DIME CMNTY BANCSHARES	253922108	176	07/30/09	2,169 14	02/10/11	2,742 14	573 00	26 42%	L
DIME CMNTY BANCSHARES	253922108	286	07/30/09	3,524 85	12/01/10	3,862 76	337 91	9 59%	L
DIME CMNTY BANCSHARES	253922108	79	08/04/09	1,004.77	03/24/11	1,114 83	110 06	10 95%	L
DIME CMNTY BANCSHARES	253922108	17	08/04/09	216 22	03/23/11	240 31	24 09	11 14%	L
DIME CMNTY BANCSHARES	253922108	573	08/04/09	7,287.78	06/09/11	7,615 02	327 24	4 49%	L
DIME CMNTY BANCSHARES	253922108	143	08/04/09	1,818.76	03/25/11	2,083 18	264 42	14 54%	L

NEW BALANCE FOUNDATION TIN· 04-6470644
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PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
DIME CMNTY BANCSHARES	253922108	117	08/06/09	1,468 67	06/09/11	1,554 90	86 23	5 87%	L
DIONEX CORP *MERGER EFF 06/2011*	254546104	131	08/04/09	8,715 19	12/21/10	15,461 94	6,746 75	77 41%	L
DIONEX CORP *MERGER EFF 06/2011*	254546104	168	08/06/09	10,735 20	12/21/10	19,829 05	9,093 85	84 71%	L
DIONEX CORP *MERGER EFF 06/2011*	254546104	73	10/15/09	4,916 55	12/21/10	8,616 20	3,699 65	75 25%	L
DREAMWORKS ANIMATION SKG CL A	26153C103	160	07/30/09	5,035 20	03/02/11	4,405 68	(629 52)	-12 50%	L
DREAMWORKS ANIMATION SKG CL A	26153C103	160	08/04/09	5,041 33	03/02/11	4,405 68	(635 65)	-12 61%	L
DREAMWORKS ANIMATION SKG CL A	26153C103	165	08/06/09	5,148 23	03/02/11	4,543 35	(604 88)	-11 75%	L
DREAMWORKS ANIMATION SKG CL A	26153C103	80	10/15/09	2,664 37	03/02/11	2,202 84	(461 53)	-17 32%	L
DUPONT FABROS TECHNOLOGY INC	26613Q10	443	05/11/10	10,626.68	06/09/11	11,478 25	851 57	8 01%	L
EAST WEST BANCORP INC	27579R104	611	09/14/10	10,230 46	06/09/11	11,291 06	1,060 60	10 37%	S
EAST WEST BANCORP INC	27579R104	113	11/08/10	2,117 91	06/09/11	2,088 20	(29 71)	-1 40%	S
EATON VANCE FLOATING RATE FUND CLASS A	277911129	106,838	06/09/11	1,000,005 24	08/30/11	947,649 58	(52,355 66)	-5 24%	S
EATON VANCE FLOATING RATE FUND CLASS A	277911129	173	06/30/11	1,613 29	08/30/11	1,533 75	(79 54)	-4 93%	S
EATON VANCE FLOATING RATE FUND CLASS A	277911129	348	07/31/11	3,240 84	08/30/11	3,084 37	(156 47)	-4 83%	S
EHEALTH INC	28238P109	377	07/30/09	6,300 12	06/09/11	4,893 63	(1,406 49)	-22 32%	L
EHEALTH INC	28238P109	301	08/04/09	5,051 50	06/09/11	3,907 11	(1,144 39)	-22 65%	L
ENERGY SECTOR SPDR TRUST SHARES	81369Y506	6,000	06/09/11	450,000 00	10/27/11	434,678 49	(15,321 51)	-3 40%	S
ENERGY SECTOR SPDR TRUST SHARES	81369Y506	7,350	06/09/11	551,153 50	10/27/11	532,481 14	(18,672 36)	-3 39%	S
ESCO TECHNOLOGIES INC	296315104	101	07/30/09	4,230 23	06/09/11	3,407 42	(822 81)	-19 45%	L
ESCO TECHNOLOGIES INC	296315104	28	08/04/09	1,158 64	06/09/11	944 63	(214 01)	-18 47%	L
EXXON MOBIL CORP	30231G102	668	08/04/09	46,891 93	08/31/11	49,345 95	2,454 02	5 23%	L
FHLMC PL A97046 04 5000 DUE 02/01/41	FAC 312945ZK7	270,000	02/09/11	265,050 08	08/05/11	276,103 17	11,053 09	4 17%	S
FHLMC PL A97047 04 5000 DUE 02/01/41	FAC 312945ZL5	231,000	02/11/11	227,579 08	08/05/11	236,820 42	9,241 34	4 06%	S
FINANCIAL ENGINES INC	317485100	188	05/16/11	4,954 10	06/09/11	4,326 50	(627 60)	-12 67%	S
FIRST EAGLE GOLD FUND CLASS A	32008F408	11,333	07/29/09	250,005 24	01/26/11	353,127 84	103,122 60	41 25%	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	53,328	08/03/09	1,250,005 25	01/26/11	1,661,689 42	411,684 17	32 93%	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	39,510	09/09/09	1,000,005 25	01/26/11	1,231,133 94	231,128 69	23 11%	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	10,109	10/02/09	250,005 25	01/26/11	315,002 02	64,996 77	26 00%	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	8,945	10/14/09	250,005 24	01/26/11	278,711 99	28,706 75	11 48%	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	16,453	12/03/09	500,005 24	01/26/11	512,668 66	12,663 42	2 53%	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	1,940	12/17/09	53,356 61	01/26/11	60,435 91	7,079 30	13 27%	L
FIRST EAGLE GOLD FUND CLASS A	32008F408	3,145	12/17/10	103,521 65	01/26/11	97,987 08	(5,534 57)	-5 35%	S
FIRST EAGLE GOLD FUND CLASS A	32008F408	5,197	12/17/10	171,072 72	01/26/11	161,926 68	(9,146 04)	-5 35%	S
FNMA NTS 00 750 % DUE 121813	DTD 1131398A5W	199,000	01/11/11	196,705 53	08/05/11	199,969 13	3,263 60	1 66%	S
FNMA NTS 00.750 % DUE 121813	DTD 1131398A5W	100,000	01/11/11	98,847 00	01/27/11	98,917 10	70 10	0 07%	S
FNMA NTS 00 750 % DUE 121813	DTD 1131398A5W	2,000	03/29/11	1,969 01	08/05/11	2,009 74	40 73	2 07%	S
FNMA NTS 00 750 % DUE 121813	DTD 1131398A5W	3,000	05/10/11	2,983 18	08/05/11	3,014 61	31 43	1 05%	S
FNMA NTS 00 750 % DUE 121813	DTD 1131398A5W	1,000	07/26/11	1,001 12	08/05/11	1,004 87	3 75	0 37%	S
FNMA PL AB1389 04 5000 DUE 08/01/40	FAC31416WRK	262,000	02/02/11	227,470 19	08/05/11	232,838 63	5,368 44	2 36%	S
FNMA PL AE0115 05 5000 DUE 12/01/35	FAC31419ADV	288,000	04/19/11	222,785 28	08/05/11	224,466 64	1,681 36	0 75%	S
FNMA PL AE0984 04 5000 DUE 02/01/41	FAC31419BCW	157,000	03/02/11	155,292 78	08/05/11	159,740 80	4,448 02	2 86%	S
FNMA PL AI1969 04 5000 DUE 05/01/41	FAC13138AFFK1	63,000	05/10/11	64,711 51	08/05/11	65,315 41	603 90	0 93%	S
FNMA PL 745275 B/E 5 000% 020136 DTD010106	31403C6L0	221,000	08/05/09	105,676 46	01/27/11	108,217 41	2,540 95	2 40%	L
FNMA PL 745275 B/E 5 000% 020136 DTD010106	31403C6L0	79,000	08/05/09	32,810 15	08/05/11	34,089 71	1,279 56	3 90%	L
FNMA PL 745275 B/E 5 000% 020136 DTD010106	31403C6L0	484,000	12/28/09	200,717 06	08/05/11	208,853 43	8,136 37	4 05%	L
FNMA PL 889579 06 0000 DUE 05/01/38	FAC 31410KJY1	1,175,000	08/05/09	484,423 12	02/08/11	497,976 28	13,553 16	2 80%	L
FNMA PL 889579 06 0000 DUE 05/01/38	FAC 31410KJY1	1,231,000	08/05/09	522,475 99	01/27/11	541,962 09	19,486 10	3 73%	L
FNMA PL 889579 06 0000 DUE 05/01/38	FAC 31410KJY1	738,000	08/06/09	303,305 91	02/10/11	313,292 32	9,986 41	3 29%	L
FNMA PL 889579 06 0000 DUE 05/01/38	FAC 31410KJY1	413,000	08/06/09	169,736 24	02/08/11	175,033 36	5,297 12	3 12%	L
FNMA PL 889982 05 5000 DUE 11/01/38	FAC 31410KXK5	552,000	08/05/09	223,246 38	08/05/11	232,831 67	9,585 29	4 29%	L
FNMA PL 889982 05 5000 DUE 11/01/38	FAC 31410KXK5	216,000	08/05/09	104,813 77	01/27/11	107,705 01	2,891 24	2 76%	L
FNMA PL 903812 05 5000 DUE 12/01/36	FAC 31411CDR	545,000	05/10/11	186,885 34	08/05/11	187,608 74	723 40	0 39%	S
FNMA PL 972295 05 5000 DUE 02/01/38	FAC 31414PUU1	50,000	06/10/11	14,068 48	08/05/11	13,964 17	(104 31)	-0 74%	S
FNMA PL 995676 04 5000 DUE 05/01/39	FAC 31416CCM	15,000	07/11/11	12,942 11	08/05/11	12,925 23	(16 88)	-0 13%	S
FRESH MKT INC	35804H106	128	05/03/11	4,325 76	06/09/11	4,325 76	-	0 00%	S
FUEL SYSTEMS SOLUTIONS INC	35952W10	139	12/17/10	4,237 42	06/09/11	3,328 15	(909 27)	-21.46%	S
FUEL SYSTEMS SOLUTIONS INC	35952W10	84	12/20/10	2,592 03	06/09/11	2,011 26	(580 77)	-22 41%	S
FUEL SYSTEMS SOLUTIONS INC	35952W10	185	12/21/10	5,615 19	06/09/11	4,429 55	(1,185 64)	-21 11%	S
FUEL SYSTEMS SOLUTIONS INC	35952W10	16	02/04/11	383 10	06/09/11	383 10	-	0 00%	S
FUEL TECH INC	359523107	93	07/30/09	866 76	06/09/11	715 16	(151 60)	-17 49%	L
FUEL TECH INC	359523107	89	08/04/09	814 35	06/09/11	684 40	(129 95)	-15 96%	L
FUEL TECH INC	359523107	89	08/06/09	819 33	06/09/11	684 40	(134 93)	-16 47%	L
FUEL TECH INC	359523107	39	10/15/09	431 48	06/09/11	299 90	(131 58)	-30 50%	L
FUEL TECH INC	359523107	153	03/23/10	1,291 20	06/09/11	1,176 55	(114 65)	-8 88%	L
FUEL TECH INC	359523107	66	03/25/10	560 35	06/09/11	507 53	(52 82)	-9 43%	L
GEN-PROBE INC	36866T103	9	07/30/09	381 93	03/29/11	585 10	203 17	53 20%	L
GEN-PROBE INC	36866T103	39	07/30/09	1,655 04	03/28/11	2,544 30	889 26	53 73%	L
GEN-PROBE INC	36866T103	39	07/30/09	1,655 04	03/09/11	2,528 93	873 89	52 80%	L
GEN-PROBE INC	36866T103	84	08/04/09	3,198 35	03/29/11	5,460 89	2,262 54	70 74%	L
GEN-PROBE INC	36866T103	63	08/06/09	2,374 05	03/29/11	4,095 67	1,721 62	72 52%	L
GEN-PROBE INC	36866T103	21	08/06/09	791 35	06/09/11	1,522.48	731 13	92 39%	L
GEN-PROBE INC	36866T103	36	10/15/09	1,599 48	06/09/11	2,609 97	1,010 49	63 18%	L

NEW BALANCE FOUNDATION
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TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
GEN-PROBE INC	36866T103	50	12/21/10	2,910 51	06/09/11	3,624 95	714 44	24 55%	S
GEN-PROBE INC	36866T103	4	12/22/10	235 79	06/09/11	290 00	54 21	22 99%	S
GENESEE & WYO INC CL A	371559105	250	07/30/09	7,103 50	06/09/11	13,948 73	6,845 23	96 36%	L
GENESEE & WYO INC CL A	371559105	59	07/30/09	1,676 43	05/16/11	3,423 60	1,747.17	104 22%	L
GENESEE & WYO INC CL A	371559105	6	07/30/09	170 48	03/09/11	323 16	152 68	89 56%	L
GENESEE & WYO INC CL A	371559105	157	08/04/09	4,320 59	06/09/11	8,759 80	4,439 21	102 75%	L
GENESEE & WYO INC CL A	371559105	68	08/04/09	1,871 34	11/28/11	3,796 02	1,924 68	102 85%	L
GENESEE & WYO INC CL A	371559105	7	08/04/09	192 63	11/23/11	385 34	192 71	100 04%	L
GENESEE & WYO INC CL A	371559105	16	08/04/09	440 32	11/22/11	910 63	470 31	106 81%	L
GENL MILLS INC	370334104	1,152	10/19/09	38,028 79	08/31/11	43,743 60	5,714 81	15 03%	L
GENTEX CORP	371901109	188	08/04/09	2,834 98	12/29/10	5,530 45	2,695 47	95 08%	L
GENTEX CORP	371901109	134	08/04/09	2,020 68	02/04/11	4,164 66	2,143 98	106 10%	L
GENTEX CORP	371901109	82	08/04/09	1,236 54	01/12/11	2,576 73	1,340 19	108 38%	L
GENTEX CORP	371901109	196	08/04/09	2,955 62	01/11/11	6,165 17	3,209 55	108 59%	L
GENTEX CORP	371901109	237	08/06/09	3,471 91	02/04/11	7,365 86	3,893 95	112 16%	L
GENTEX CORP	371901109	91	08/06/09	1,333 10	03/14/11	2,515 11	1,182 01	88 67%	L
GENTEX CORP	371901109	380	08/06/09	5,566 78	02/25/11	11,276 51	5,709 73	102 57%	L
GENTEX CORP	371901109	114	10/15/09	1,662 88	03/15/11	3,085 30	1,422 42	85 54%	L
GENTEX CORP	371901109	198	10/15/09	2,888 17	03/14/11	5,472 43	2,584 26	89 48%	L
GENZYME CORP GEN DIV *MERGER EFF 06/2011*	372917104	180	07/30/09	10,001 59	05/03/11	13,743 72	3,742 13	37 42%	L
GENZYME CORP GEN DIV *MERGER EFF 06/2011*	372917104	220	08/04/09	11,083 82	05/03/11	16,797 88	5,714 06	51 55%	L
GENZYME CORP GEN DIV *MERGER EFF 06/2011*	372917104	215	08/06/09	10,588 45	05/03/11	16,416 11	5,827 66	55 04%	L
GENZYME CORP GEN DIV *MERGER EFF 06/2011*	372917104	55	10/15/09	3,087 98	05/03/11	4,199 47	1,111 49	35 99%	L
GENZYME CORP GEN DIV *MERGER EFF 06/2011*	372917104	190	03/24/10	10,763 50	05/03/11	14,507 26	3,743 76	34 78%	L
GOLDMAN SACHS GROUP INC	38141G104	43	07/30/09	7,010 10	08/31/11	5,055 66	(1,954 44)	-27 88%	L
GOLDMAN SACHS GROUP INC	38141G104	766	08/04/09	125,887 96	08/31/11	90,061 25	(35,826 71)	-28 46%	L
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	630	07/28/11	11,093 28	10/10/11	11,093 28	-	0 00%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	400	08/11/11	7,043 35	10/10/11	7,043 35	-	0 00%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	470	08/11/11	9,145 99	10/10/11	8,273 19	(872 80)	-9 54%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	250	09/02/11	5,130 75	10/10/11	4,400 63	(730 12)	-14 23%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	580	09/06/11	11,820 40	10/11/11	10,207 81	(1,612 59)	-13 64%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	50	09/06/11	1,019 00	10/10/11	880 13	(138 87)	-13 63%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	120	09/06/11	2,445 60	10/11/11	2,111 98	(333 62)	-13 64%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	490	09/09/11	10,035 20	10/11/11	8,623 94	(1,411 26)	-14 06%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	10	09/09/11	204 80	10/11/11	176 00	(28 80)	-14 06%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	500	09/21/11	11,641 91	10/11/11	8,799 86	(2,842 05)	-24 41%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	570	09/22/11	12,015 88	10/11/11	10,032 36	(1,983 52)	-16 51%	S
GOLDMAN SACHS GROUP INC SER D PREFERRED CLBL P	38144G804	55	09/22/11	1,252 99	10/11/11	967 98	(285 01)	-22 75%	S
GREEN DOT CORP	39304D102	26	11/26/10	1,390 74	06/09/11	869 98	(520 76)	-37 44%	S
GREEN DOT CORP	39304D102	31	11/29/10	1,660 32	06/09/11	1,037 29	(623 03)	-37 52%	S
GREEN DOT CORP	39304D102	20	11/30/10	1,106 70	06/09/11	669 22	(437 48)	-39 53%	S
GREEN DOT CORP	39304D102	9	12/01/10	533 63	06/09/11	301 15	(232 48)	-43 57%	S
GREEN DOT CORP	39304D102	19	12/02/10	1,128 75	06/09/11	635 76	(492 99)	-43 68%	S
GREEN DOT CORP	39304D102	53	12/03/10	3,148 04	06/09/11	1,773 42	(1,374 62)	-43 67%	S
GREEN DOT CORP	39304D102	37	12/07/10	2,315 49	06/09/11	1,238 05	(1,077 44)	-46 53%	S
GREEN DOT CORP	39304D102	2	12/08/10	113 86	06/09/11	66 92	(46 94)	-41 23%	S
GREEN DOT CORP	39304D102	46	12/21/10	2,359 92	06/09/11	1,539 20	(820 72)	-34 78%	S
HAIN CELESTIAL GROUP INC	405217100	65	07/30/09	1,056 95	06/09/11	2,116 40	1,059 45	100 24%	L
HAIN CELESTIAL GROUP INC	405217100	123	08/04/09	2,115 30	06/09/11	4,004 89	1,889 59	89 33%	L
HASBRO INC	418056107	1,051	08/04/09	27,543 25	08/31/11	40,557 31	13,014 06	47 25%	L
HASBRO INC	418056107	749	08/04/09	19,628 82	01/12/11	33,877 89	14,249 07	72 59%	L
HEALTH CARE REIT INC	42217K106	170	07/30/09	6,720 10	05/27/11	8,840 37	2,120 27	31 55%	L
HERMAN MILLER INC	600544100	123	07/30/09	2,079 89	06/09/11	2,705 57	625 68	30 08%	L
HERMAN MILLER INC	600544100	24	08/04/09	405 35	06/09/11	527 92	122 57	30 24%	L
HESS CORP	42809H107	392	07/30/09	21,144 09	12/15/10	28,764 82	7,620 73	36 04%	L
HESS CORP	42809H107	442	08/04/09	24,508 02	02/25/11	36,725 91	12,217 89	49 85%	L
HESS CORP	42809H107	306	08/04/09	16,967 09	06/15/11	21,751 35	4,784 26	28 20%	L
HESS CORP	42809H107	568	08/04/09	31,494 46	06/08/11	42,083 39	10,588 93	33 62%	L
HESS CORP	42809H107	284	08/04/09	15,747 23	03/23/11	22,748 98	7,001 75	44 46%	L
HESS CORP	42809H107	265	10/15/09	15,926 42	06/15/11	18,836 95	2,910 53	18 27%	L
HIBBETT SPORTS INC	428567101	200	07/30/09	3,881 12	06/09/11	7,883 84	4,002 72	103 13%	L
HIBBETT SPORTS INC	428567101	96	08/04/09	1,794 68	06/09/11	3,784 25	1,989 57	110 86%	L
HONEYWELL INTL INC	438516106	631	05/26/10	26,857 00	08/31/11	30,453 36	3,596 36	13 39%	L
HONEYWELL INTL INC	438516106	260	07/28/11	13,784 52	08/03/11	13,129 82	(654 70)	-4 75%	S
HORACE MANN EDUCATORS CORP NEW	440327104	250	09/16/09	3,555 63	06/09/11	3,810 12	254 49	7 16%	L
HORACE MANN EDUCATORS CORP NEW	440327104	212	09/17/09	3,046 10	06/09/11	3,230 98	184 88	6 07%	L
HORACE MANN EDUCATORS CORP NEW	440327104	87	09/18/09	1,253 15	06/09/11	1,325 92	72 77	5 81%	L
HORACE MANN EDUCATORS CORP NEW	440327104	7	09/18/09	100.83	11/09/11	91 94	(8 89)	-8 82%	L
HORACE MANN EDUCATORS CORP NEW	440327104	62	10/15/09	882 26	11/09/11	814 37	(67 89)	-7 70%	L
HORACE MANN EDUCATORS CORP NEW	440327104	21	10/15/09	298 83	11/10/11	272 57	(26 26)	-8 79%	L
HORACE MANN EDUCATORS CORP NEW	440327104	25	04/27/10	387 28	11/10/11	324 49	(62 79)	-16 21%	L
HORACE MANN EDUCATORS CORP NEW	440327104	84	04/27/10	1,301 27	11/11/11	1,116 08	(185 19)	-14 23%	L

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10- 11/30/11

TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
HORACE MANN EDUCATORS CORP NEW	440327104	32	04/28/10	517 00	11/11/11	425 17	(91 83)	-17 76%	L
HORACE MANN EDUCATORS CORP NEW	440327104	63	04/28/10	1,017 83	11/17/11	790 99	(226 84)	-22 29%	L
HORACE MANN EDUCATORS CORP NEW	440327104	67	04/28/10	1,082 46	11/16/11	859 12	(223 34)	-20 63%	L
HORACE MANN EDUCATORS CORP NEW	440327104	89	04/28/10	1,437 90	11/15/11	1,150 98	(286 92)	-19 95%	L
HORACE MANN EDUCATORS CORP NEW	440327104	44	04/28/10	710 86	11/14/11	565 68	(145 18)	-20.42%	L
HORACE MANN EDUCATORS CORP NEW	440327104	26	04/28/10	420 06	11/18/11	326 12	(93 94)	-22 36%	L
HORACE MANN EDUCATORS CORP NEW	440327104	18	04/29/10	303 91	11/18/11	225 77	(78 14)	-25 71%	L
HORACE MANN EDUCATORS CORP NEW	440327104	50	04/29/10	844.19	11/22/11	606 66	(237 53)	-28 14%	L
HORACE MANN EDUCATORS CORP NEW	440327104	59	04/29/10	996 14	11/21/11	724 45	(271 69)	-27 27%	L
HORACE MANN EDUCATORS CORP NEW	440327104	132	04/30/10	2,268 92	11/29/11	1,583 96	(684 96)	-30 19%	L
HORACE MANN EDUCATORS CORP NEW	440327104	64	04/30/10	1,100 09	11/28/11	768 07	(332 02)	-30 18%	L
HORACE MANN EDUCATORS CORP NEW	440327104	39	04/30/10	670 36	11/22/11	473 19	(197 17)	-29 41%	L
HSBC USA INC YLD OPTMZ NOTE-CP JPM 10/	4042EP321	23,430	10/28/09	999,992 40	10/31/11	999,992 40	-	0.00%	L
HSBC USA INC YON-CP GE 5/31/2011	40432R807	60,901	05/21/10	999,994 42	05/31/11	999,994 42	-	0 00%	L
HUB GROUP INC CL A	443320106	120	01/11/11	4,333 10	06/09/11	4,198 20	(134 90)	-3 11%	S
HUB GROUP INC CL A	443320106	9	01/12/11	334 28	06/09/11	314 87	(19 41)	-5 81%	S
HUNTINGTON INGALLS INDS INC	446413106	185	08/04/09	5,023 14	04/11/11	7,101 92	2,078 78	41 38%	L
HUNTINGTON INGALLS INDS INC	446413106	1	08/04/09	24 55	03/31/11	33 20	8 65	35 23%	L
HUNTINGTON INGALLS INDS INC	446413106	92	10/15/09	2,710 57	04/11/11	3,531 76	821 19	30 30%	L
ICU MEDICAL INC	44930G107	132	07/30/09	5,340 72	06/09/11	5,586 15	245 43	4 60%	L
ICU MEDICAL INC	44930G107	22	08/04/09	859 98	06/09/11	931 02	71 04	8 26%	L
II VI INC	902104108	64	05/25/11	3,130 18	06/09/11	3,130 18	-	0 00%	S
II VI INC	902104108	26	05/26/11	1,271 64	06/09/11	1,271 64	-	0 00%	S
INDEPENDENT BANK CORP MASS	453836108	157	07/30/09	3,342 03	06/09/11	4,301 72	959 69	28 72%	L
INDEPENDENT BANK CORP MASS	453836108	151	08/04/09	3,255 41	06/09/11	4,137 32	881 91	27 09%	L
INDEPENDENT BANK CORP MASS	453836108	25	08/06/09	552 20	06/09/11	684 99	132 79	24 05%	L
INTEL CORP	458140100	1,040	07/30/09	20,175 69	04/13/11	20,627 27	451 58	2 24%	L
INTEL CORP	458140100	547	08/04/09	10,529 64	04/13/11	10,849 15	319 51	3 03%	L
INTEL CORP	458140100	978	08/04/09	18,826 30	09/07/11	19,579 38	753 08	4 00%	L
INTEL CORP	458140100	1,210	08/04/09	23,292 26	08/31/11	24,578 86	1,286 60	5 52%	L
INTERDIGITAL INC (PA)	45867G101	95	02/15/11	5,435 78	06/09/11	3,467 58	(1,968 20)	-36 21%	S
INTERDIGITAL INC (PA)	45867G101	136	02/16/11	7,887 55	06/09/11	4,964 12	(2,923 43)	-37 06%	S
INTL BUSINESS MACH	459200101	247	08/04/09	29,481 67	08/31/11	42,780 31	13,298 64	45 11%	L
INTL BUSINESS MACH	459200101	200	08/04/09	23,871 80	08/10/11	32,789 95	8,918 15	37 36%	L
INTL BUSINESS MACH	459200101	84	10/15/09	10,650 08	08/31/11	14,548 77	3,898 69	36 61%	L
INTL BUSINESS MACH	459200101	34	10/15/09	4,310 75	09/14/11	5,581 35	1,270 60	29 48%	L
INTL BUSINESS MACH	459200101	114	06/23/10	14,847 36	09/14/11	18,713.95	3,866 59	26 04%	L
INVESCO LTD	G491BT108	250	01/14/11	6,235 97	06/21/11	5,879 71	(356 26)	-5 71%	S
INVESTMENT TECHNOLOGY GROUP NEW	46145F105	236	07/30/09	5,356 61	06/09/11	3,188 48	(2,168 13)	-40 48%	L
INVESTMENT TECHNOLOGY GROUP NEW	46145F105	69	08/04/09	1,581 77	06/09/11	932 23	(649 54)	-41 06%	L
INVESTMENT TECHNOLOGY GROUP NEW	46145F105	226	08/04/09	5,062 17	06/09/11	3,053 38	(2,008 79)	-39 68%	L
IPATH S&P 500 VIX MID TERM FUTURES ETF	06740C519	1,800	01/26/10	131,679 41	06/09/11	90,880 25	(40,799 16)	-30 98%	L
IPATH S&P 500 VIX MID TERM FUTURES ETF	06740C519	4,700	01/26/10	343,829 58	06/09/11	237,204 44	(106,625 14)	-31 01%	L
IPATH S&P 500 VIX MID TERM FUTURES ETF	06740C519	34	01/26/10	2,487 28	06/09/11	1,711 52	(775 76)	-31 19%	L
IPATH S&P 500 VIX MID TERM FUTURES ETF	06740C519	3,000	01/26/10	219,465 69	06/09/11	150,987 10	(68,478 59)	-31 20%	L
IPATH S&P 500 VIX MID TERM FUTURES ETF	06740C519	3,966	01/26/10	290,133 64	06/09/11	199,485 96	(90,647 68)	-31 24%	L
IPATH S&P 500 VIX MID TERM FUTURES ETF	06740C519	3,350	01/25/11	200,895 81	06/09/11	169,138 25	(31,757 56)	-15 81%	S
IPATH S&P 500 VIX MID TERM FUTURES ETF	06740C519	5,000	01/25/11	299,844 49	06/09/11	252,688 11	(47,156 38)	-15 73%	S
IPATH S&P 500 VIX MID TERM FUTURES ETF	06740C519	300	01/25/11	17,990 67	06/09/11	15,149 70	(2,840 97)	-15 79%	S
IPATH S&P 500 VIX S/T FU ETN	06740C261	4,900	01/22/10	611,859 63	01/25/11	156,404 99	(455,454 64)	-74 44%	L
IPATH S&P 500 VIX S/T FU ETN	06740C261	3,850	01/22/10	480,746 85	01/25/11	123,279 72	(357,467 13)	-74 36%	L
IPATH S&P 500 VIX S/T FU ETN	06740C261	7,500	10/07/10	486,181 14	01/25/11	240,155 30	(246,025 84)	-50 60%	S
ISHARES TRUST RUSSELL MIDCAP GROWTH INDEX	464287481	12,100	10/02/09	498,246 21	10/27/11	698,256 52	200,010 31	40.14%	L
ISHARES TRUST RUSSELL MIDCAP GROWTH INDEX	464287481	5,700	10/14/09	250,904 00	10/27/11	328,930 75	78,026 75	31 10%	L
ITRON INC	465741106	58	08/06/09	3,013 39	06/09/11	2,847 74	(165 65)	-5 50%	L
IVANHOE MINES LTD CAD	46579N103	170	08/04/09	1,414 40	11/10/11	3,456 80	2,042 40	144 40%	L
IVANHOE MINES LTD CAD	46579N103	1,005	08/06/09	8,130 45	11/10/11	20,435 77	12,305 32	151 35%	L
IVANHOE MINES LTD CAD	46579N103	30	01/25/11	847 05	11/10/11	610 03	(237 02)	-27 98%	S
IVANHOE MINES LTD CAD	46579N103	410	02/08/11	11,764 50	11/10/11	8,336 98	(3,427 52)	-29 13%	S
J P MORGAN CHASE YON CP GE 7/29/20	46625H191	163,132	07/29/09	1,999,998 32	07/29/11	1,999,998 32	-	0 00%	L
JOHNSON & JOHNSON COM	478160104	298	07/30/09	18,537 92	08/31/11	19,581 44	1,043 52	5 63%	L
JOHNSON & JOHNSON COM	478160104	611	08/04/09	37,185 46	08/31/11	40,148 53	2,963 07	7 97%	L
JOHNSON CONTROLS INC	478366107	885	05/26/10	24,933 99	08/31/11	28,302 46	3,368 47	13 51%	L
JP MORGAN CHASE AOS-CP CSCO 11/28/	46634E130	100,000	11/19/10	1,000,000 00	12/27/10	1,012,920 00	12,920 00	1 29%	S
JP MORGAN CHASE TRIGGER AOS CMI 8/2	46636T846	25,000	08/19/11	250,000 00	09/21/11	257,292 50	7,292 50	2 92%	S
JP MORGAN CHASE YON CP CHK 10/20/	46634E502	69,759	10/16/09	1,999,990 53	10/20/11	1,999,990 53	-	0 00%	L
JPMORGAN CHASE & CO	46625H100	800	07/30/09	30,982 56	08/31/11	30,273 82	(708 74)	-2.29%	L
JPMORGAN CHASE & CO	46625H100	1,412	08/04/09	56,393 30	08/31/11	53,433 29	(2,960 01)	-5 25%	L
JPMORGAN CHASE & CO	46625H100	340	07/28/11	13,847 32	08/05/11	12,582 83	(1,264 49)	-9 13%	S
J2 GLOBAL COMMUNICATIONS **NAME CHANGE 12/	46626E205	405	07/30/09	9,871 71	06/09/11	11,445 85	1,574 14	15.95%	L
J2 GLOBAL COMMUNICATIONS **NAME CHANGE 12/	46626E205	83	08/04/09	1,972 36	06/09/11	2,345 69	373 33	18 93%	L
KRAFT FOODS INC CL A	50075N104	400	07/28/11	13,847 20	08/04/11	14,207 32	360 12	2 60%	S

NEW BALANCE FOUNDATION TIN: 04-6470644
FORM 990-PF
TAX YEAR 12/01/10- 11/30/11 STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
K12 INC	48273U102	194	05/28/10	4,856 93	06/09/11	6,410 08	1,553 15	31 98%	L
K12 INC	48273U102	33	06/01/10	825 68	06/09/11	1,090 38	264 70	32 06%	L
LANDAUER INC	51476K103	70	07/30/09	4,740 40	06/09/11	3,981 45	(758 95)	-16 01%	L
LANDAUER INC	51476K103	24	07/30/09	1,625 28	04/01/11	1,472 51	(152 77)	-9 40%	L
LANDAUER INC	51476K103	55	07/30/09	3,724 60	03/31/11	3,360 83	(363 77)	-9 77%	L
LANDAUER INC	51476K103	27	07/30/09	1,828 44	03/30/11	1,614 32	(214 12)	-11 71%	L
LANDAUER INC	51476K103	13	07/30/09	880 36	03/29/11	792 05	(88 31)	-10 03%	L
LANDAUER INC	51476K103	131	08/04/09	8,305 40	06/09/11	7,451 01	(854 39)	-10 29%	L
LAYNE CHRISTENSEN CO	521050104	84	07/30/09	1,987 74	06/09/11	2,419 15	431 41	21 70%	L
LAYNE CHRISTENSEN CO	521050104	11	08/04/09	269 92	06/09/11	316 79	46 87	17 36%	L
LIFE TIME FITNESS INC	53217R207	139	05/25/11	4,825 15	06/09/11	4,825 15	-	0 00%	S
LIFEWAY FOODS INS	531914109	43	07/30/09	541 17	12/21/10	418 12	(123 05)	-22 74%	L
LIFEWAY FOODS INS	531914109	28	07/30/09	352 39	12/15/10	274 41	(77 98)	-22 13%	L
LIFEWAY FOODS INS	531914109	33	07/30/09	415 32	12/13/10	325 04	(90 28)	-21 74%	L
LIFEWAY FOODS INS	531914109	24	07/30/09	302 05	12/07/10	233 99	(68 06)	-22 53%	L
LIFEWAY FOODS INS	531914109	5	07/30/09	62 93	12/06/10	48 57	(14 36)	-22 82%	L
LIFEWAY FOODS INS	531914109	6	08/04/09	76 63	12/21/10	58 34	(18 29)	-23 87%	L
LIFEWAY FOODS INS	531914109	59	08/04/09	753 51	12/27/10	572 32	(181 19)	-24 05%	L
LIFEWAY FOODS INS	531914109	128	08/04/09	1,634 74	12/23/10	1,248 14	(386 60)	-23 65%	L
LIFEWAY FOODS INS	531914109	122	08/04/09	1,558 11	06/09/11	1,228 52	(329 59)	-21 15%	L
LIFEWAY FOODS INS	531914109	86	08/06/09	1,071 58	06/09/11	866 00	(205 58)	-19 18%	L
LINDSAY CORP	535555106	116	07/30/09	4,252 21	06/09/11	7,171 04	2,918 83	68 64%	L
LINDSAY CORP	535555106	26	08/04/09	979 59	06/09/11	1,607 30	627 71	64 08%	L
LIQUIDITY SERVICES INC	53635B107	123	07/30/09	1,429 56	06/09/11	2,692 60	1,263 04	88 35%	L
LIQUIDITY SERVICES INC	53635B107	119	08/04/09	1,367 86	06/09/11	2,605 03	1,237 17	90 45%	L
LIQUIDITY SERVICES INC	53635B107	119	08/06/09	1,210 63	06/09/11	2,605 03	1,394 40	115 18%	L
LIQUIDITY SERVICES INC	53635B107	52	10/15/09	534 39	06/09/11	1,138 33	603 94	113 01%	L
LIQUIDITY SERVICES INC	53635B107	30	10/16/09	306 83	06/09/11	656 73	349 90	114 04%	L
LIQUIDITY SERVICES INC	53635B107	34	10/19/09	355 25	06/09/11	744 30	389 05	109 51%	L
LIQUIDITY SERVICES INC	53635B107	45	10/20/09	465 98	06/09/11	985 10	519 12	111 40%	L
LIQUIDITY SERVICES INC	53635B107	35	10/20/09	362 43	10/10/11	1,126 75	764 32	210 89%	L
LIQUIDITY SERVICES INC	53635B107	27	10/21/09	280 99	10/10/11	869 21	588 22	209 34%	L
LIQUIDITY SERVICES INC	53635B107	75	10/21/09	780 53	10/11/11	2,318 54	1,538 01	197 05%	L
LIQUIDITY SERVICES INC	53635B107	17	10/23/09	177 68	10/11/11	525 54	347 86	195 78%	L
LIQUIDITY SERVICES INC	53635B107	69	10/23/09	721 16	11/10/11	1,873 07	1,151 91	159 73%	L
LIQUIDITY SERVICES INC	53635B107	59	10/23/09	616 64	11/09/11	1,708 40	1,091 76	177 05%	L
LKQ CORP NEW	501889208	442	07/30/09	7,720.77	06/09/11	11,005 58	3,284 81	42 55%	L
LKQ CORP NEW	501889208	103	08/04/09	1,831 72	06/09/11	2,564 65	732 93	40 01%	L
LKQ CORP NEW	501889208	113	08/04/09	2,009 55	08/16/11	2,673 79	664 24	33 05%	L
LKQ CORP NEW	501889208	207	08/04/09	3,681 22	08/15/11	5,060 99	1,379 77	37 48%	L
LKQ CORP NEW	501889208	173	08/06/09	3,078 82	09/19/11	4,525 28	1,446 46	46 98%	L
LKQ CORP NEW	501889208	105	08/06/09	1,868 65	09/16/11	2,774 30	905 65	48 47%	L
LKQ CORP NEW	501889208	40	08/06/09	711 87	08/17/11	944 08	232 21	32 62%	L
LKQ CORP NEW	501889208	11	08/06/09	195 76	08/16/11	260 28	64 52	32 96%	L
LKQ CORP NEW	501889208	26	08/06/09	462 72	09/20/11	673 83	211 11	45 62%	L
LOCKHEED MARTIN CORP	539830109	242	07/30/09	18,183 64	08/31/11	18,037 56	(146 08)	-0 80%	L
LOCKHEED MARTIN CORP	539830109	914	08/04/09	68,776 95	08/31/11	68,125 32	(651 63)	-0 95%	L
LOWES COMPANIES INC	548661107	640	07/28/11	13,945 09	09/28/11	12,806 56	(1,138 53)	-8 16%	S
LOWES COMPANIES INC	548661107	860	08/30/11	17,242 31	09/28/11	17,208 82	(33 49)	-0 19%	S
LOWES COMPANIES INC	548661107	250	09/02/11	4,836 75	09/28/11	5,002 57	165 82	3 43%	S
LOWES COMPANIES INC	548661107	1,250	09/06/11	23,158 65	09/28/11	25,012 82	1,854 17	8 01%	S
LOWES COMPANIES INC	548661107	500	09/09/11	9,589 60	09/28/11	10,005 12	415 52	4 33%	S
LOWES COMPANIES INC	548661107	500	09/22/11	9,514 60	09/28/11	10,005.13	490 53	5 16%	S
LUFKIN INDUSTRIES INC	549764108	137	03/03/11	11,344 61	06/09/11	11,900 75	556 14	4 90%	S
LULULEMON ATHLETICA INC	550021109	179	07/30/09	3,133 70	12/08/10	9,846 35	6,712 65	214 21%	L
LULULEMON ATHLETICA INC	550021109	161	08/04/09	3,107 49	12/29/10	11,165 21	8,057 72	259 30%	L
LULULEMON ATHLETICA INC	550021109	10	08/04/09	193 01	12/08/10	550 08	357 07	185 00%	L
LULULEMON ATHLETICA INC	550021109	63	08/06/09	1,179 22	01/04/11	4,249 15	3,069 93	260 34%	L
LULULEMON ATHLETICA INC	550021109	109	08/06/09	2,040 24	12/29/10	7,559 05	5,518 81	270 50%	L
LULULEMON ATHLETICA INC	550021109	191	08/26/09	3,859 40	01/04/11	12,882 35	9,022 95	233 79%	L
LULULEMON ATHLETICA INC	550021109	64	08/26/09	1,293 20	01/26/11	4,300 94	3,007 74	232 58%	L
LULULEMON ATHLETICA INC	550021109	109	10/15/09	2,791 86	01/26/11	7,325 04	4,533 18	162 37%	L
LULULEMON ATHLETICA INC	550021109	171	02/08/10	4,568 56	01/26/11	11,491 57	6,923 01	151 54%	S
MARTEK BIOSCIENCES CORP **MERGER EFF 03/2011**	5729019A6	114	07/30/09	2,729 05	12/22/10	3,591 18	862 13	31 59%	L
MARTEK BIOSCIENCES CORP **MERGER EFF 03/2011**	5729019A6	109	08/04/09	2,541 77	12/22/10	3,433 67	891 90	35 09%	L
MARTEK BIOSCIENCES CORP **MERGER EFF 03/2011**	5729019A6	109	08/06/09	2,582 97	12/22/10	3,433 67	850 70	32 93%	L
MARTEK BIOSCIENCES CORP **MERGER EFF 03/2011**	5729019A6	368	10/01/09	8,203 42	12/22/10	11,592 57	3,389 15	41 31%	L
MARTEK BIOSCIENCES CORP **MERGER EFF 03/2011**	5729019A6	45	10/15/09	956 18	12/22/10	1,417 57	461 39	48 25%	L
MARTEK BIOSCIENCES CORP **MERGER EFF 03/2011**	5729019A6	63	10/15/09	1,338 66	12/23/10	1,984 46	645 80	48 24%	L
MASTERCARD INC CL A	57636Q104	83	05/14/10	17,930 72	08/31/11	27,290 70	9,359 98	52 20%	L
MASTERCARD INC CL A	57636Q104	17	05/14/10	3,672 56	10/12/11	5,658 11	1,985 55	54 06%	L
MASTERCARD INC CL A	57636Q104	61	05/14/10	13,178 00	09/19/11	21,351 38	8,173 38	62 02%	L

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10-11/30/11

TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
MASTERCARD INC CL A	57636Q104	114	05/19/10	23,627 55	11/02/11	40,908 31	17,280 76	73 14%	L
MASTERCARD INC CL A	57636Q104	40	05/19/10	8,290 37	10/12/11	13,313 19	5,022 82	60 59%	L
MASTERCARD INC CL A	57636Q104	3	05/20/10	612 77	11/02/11	1,076 53	463 76	75 68%	L
MCDONALDS CORP	580135101	27	10/26/10	2,127 33	08/24/11	2,421 85	294 52	13 84%	S
MCDONALDS CORP	580135101	378	10/26/10	29,782 62	08/11/11	32,634 98	2,852 36	9 58%	S
MCDONALDS CORP	580135101	7	10/28/10	541 93	08/24/11	627 89	85 96	15 86%	S
MCDONALDS CORP	580135101	123	11/17/10	9,539 88	08/31/11	11,152.29	1,612 41	16 90%	S
MCDONALDS CORP	580135101	316	11/17/10	24,508 96	08/24/11	28,344 65	3,835 69	15 65%	S
MCDONALDS CORP	580135101	268	04/06/11	20,566 13	09/14/11	23,072 02	2,505 89	12 18%	S
MCDONALDS CORP	580135101	205	04/06/11	15,731 56	08/31/11	18,587 15	2,855 59	18 15%	S
MCDONALDS CORP	580135101	17	04/06/11	1,304 57	09/28/11	1,519 83	215 26	16 50%	S
MCDONALDS CORP	580135101	1	04/15/11	77 48	09/28/11	89 40	11 92	15 38%	S
MCDONALDS CORP	580135101	290	04/27/11	22,524 73	10/12/11	25,785 29	3,260 56	14 48%	S
MCDONALDS CORP	580135101	244	04/27/11	18,951 85	09/28/11	21,813 98	2,862 13	15 10%	S
MCGRAW HILL COMPANIES INC	580645109	25	05/18/10	718 68	10/27/11	1,110 12	391 44	54 47%	L
MCGRAW HILL COMPANIES INC	580645109	670	05/18/10	19,260 76	09/26/11	28,743 78	9,483 02	49 23%	L
MCGRAW HILL COMPANIES INC	580645109	355	06/07/10	9,800 34	10/27/11	15,763 68	5,963 34	60 85%	L
MCGRAW HILL COMPANIES INC	580645109	340	07/06/10	9,387 81	10/27/11	15,097 61	5,709 80	60 82%	L
MEDTRONIC INC	585055106	294	07/30/09	10,353 95	08/31/11	10,369 41	15 46	0 15%	L
MEDTRONIC INC	585055106	888	08/04/09	32,098 98	08/31/11	31,319 87	(779 11)	-2 43%	L
MENS WEARHOUSE INC	587118100	187	03/28/11	4,961 04	06/09/11	5,922 39	961 35	19 38%	S
MERIDIAN BIOSCIENCE INC	589584101	460	07/30/09	10,145 76	06/09/11	11,268 40	1,122 64	11.07%	L
MERIDIAN BIOSCIENCE INC	589584101	95	08/04/09	2,154 22	06/09/11	2,327 17	172 95	8 03%	L
MET PRO CORP	590876306	146	07/30/09	1,532 12	06/09/11	1,464 93	(67 19)	-4 39%	L
MET PRO CORP	590876306	42	08/04/09	455 87	06/09/11	421 42	(34 45)	-7 56%	L
MET PRO CORP	590876306	22	08/04/09	238 79	09/15/11	198 58	(40 21)	-16 84%	L
MET PRO CORP	590876306	31	08/04/09	336 47	09/14/11	280 53	(55 94)	-16 63%	L
MET PRO CORP	590876306	45	08/04/09	488 43	09/13/11	416 26	(72 17)	-14 78%	L
MET PRO CORP	590876306	21	08/06/09	221 69	09/15/11	189 55	(32 14)	-14 50%	L
MET PRO CORP	590876306	6	08/06/09	63 34	09/29/11	54 32	(9 02)	-14 24%	L
MET PRO CORP	590876306	57	08/06/09	601 74	09/28/11	514 18	(87 56)	-14 55%	L
MET PRO CORP	590876306	6	08/06/09	63 34	09/27/11	53 99	(9 35)	-14 76%	L
MET PRO CORP	590876306	14	08/06/09	147 79	09/20/11	125 99	(21 80)	-14 75%	L
MET PRO CORP	590876306	36	08/06/09	380 05	09/16/11	324 05	(56 00)	-14 73%	L
MET PRO CORP	590876306	43	10/15/09	403 77	09/29/11	389 32	(14 45)	-3 58%	L
MET PRO CORP	590876306	19	10/15/09	178 41	09/30/11	167 17	(11 24)	-6 30%	L
METLIFE INC	59156R108	1,593	08/04/09	58,087 79	08/31/11	53,926 79	(4,161 00)	-7 16%	L
MFA FINANCIAL INC	55272X102	820	09/03/09	6,291 86	02/07/11	6,765 77	473 91	7 53%	L
MFA FINANCIAL INC	55272X102	60	09/03/09	460 38	10/26/11	405 97	(54 41)	-11 82%	L
MFA FINANCIAL INC	55272X102	1,125	09/03/09	8,632 13	09/14/11	7,897 34	(734 79)	-8 51%	L
MFA FINANCIAL INC	55272X102	1,040	09/30/09	8,170 55	10/26/11	7,036 81	(1,133 74)	-13 88%	L
MFA FINANCIAL INC	55272X102	675	10/15/09	5,113 13	10/26/11	4,567 17	(545 96)	-10 68%	L
MFA FINANCIAL INC	55272X102	1,265	11/24/09	9,511 16	10/26/11	8,559 20	(951 96)	-10 01%	L
MIDDLEBY CORP DELA	596278101	71	07/30/09	3,507 03	06/09/11	5,811 03	2,304 00	65 70%	L
MIDDLEBY CORP DELA	596278101	64	08/04/09	3,427 00	06/09/11	5,238 11	1,811 11	52 85%	L
MILLICOM INTL CELLULAR SA NEW	L6388F110	75	07/30/09	5,545 28	05/25/11	7,808 91	2,263 63	40 82%	L
MILLICOM INTL CELLULAR SA NEW	L6388F110	95	08/04/09	7,162 19	05/25/11	9,891 29	2,729 10	38 10%	L
MILLICOM INTL CELLULAR SA NEW	L6388F110	105	08/06/09	7,865 68	05/25/11	10,932 48	3,066 80	38 99%	L
MILLICOM INTL CELLULAR SA NEW	L6388F110	70	10/15/09	5,359 68	05/25/11	7,288 32	1,928 64	35 98%	L
MINERALS TECHNOLOGIES INC	603158106	147	07/30/09	6,493 43	06/09/11	9,433 83	2,940 40	45 28%	L
MINERALS TECHNOLOGIES INC	603158106	67	08/04/09	3,007 16	06/09/11	4,299 78	1,292 62	42 98%	L
MINERALS TECHNOLOGIES INC	603158106	55	08/04/09	2,468 56	06/28/11	3,552 83	1,084 27	43 92%	L
MINERALS TECHNOLOGIES INC	603158106	19	08/04/09	852 78	06/27/11	1,232 07	379 29	44 48%	L
MINERALS TECHNOLOGIES INC	603158106	27	08/06/09	1,188 97	06/29/11	1,751 17	562 20	47 28%	L
MINERALS TECHNOLOGIES INC	603158106	8	08/06/09	352 29	06/28/11	516 78	164 49	46 69%	L
NATL INSTRUMENTS CORP	636518102	124	07/30/09	2,149 90	05/25/11	3,505 51	1,355 61	63 05%	L
NATL INSTRUMENTS CORP	636518102	50	07/30/09	866 90	05/24/11	1,423 01	556 11	64 15%	L
NATL INSTRUMENTS CORP	636518102	92	08/04/09	1,556 45	05/25/11	2,600 86	1,044 41	67 10%	L
NATL INSTRUMENTS CORP	636518102	22	08/04/09	372 19	06/09/11	613 63	241 44	64 87%	L
NATL INSTRUMENTS CORP	636518102	52	08/04/09	879 73	05/26/11	1,477 26	597 53	67 92%	L
NATL INSTRUMENTS CORP	636518102	166	08/06/09	2,704 26	06/09/11	4,630 15	1,925 89	71 22%	L
NATL INSTRUMENTS CORP	636518102	73	10/15/09	1,364 65	06/09/11	2,036 15	671 50	49 21%	L
NATL INSTRUMENTS CORP	636518102	57	11/30/09	1,076 19	11/11/11	1,517 88	441 69	41 04%	L
NATL INSTRUMENTS CORP	636518102	46	11/30/09	868 51	11/10/11	1,197 94	329 43	37 93%	L
NATL INSTRUMENTS CORP	636518102	43	11/30/09	811 87	11/09/11	1,135 63	323 76	39 88%	L
NATL INSTRUMENTS CORP	636518102	105	11/30/09	1,982 46	06/09/11	2,928 71	946 25	47 73%	L
NATL-OILWELLVARCO INC	637071101	481	03/11/10	21,016 33	12/02/10	29,860 88	8,844 55	42 08%	S
NATL-OILWELLVARCO INC	637071101	46	05/05/10	2,002 45	12/02/10	2,855 72	853 27	42 61%	S
NATL-OILWELLVARCO INC	637071101	527	05/05/10	22,941.15	12/08/10	32,535 17	9,594 02	41.82%	S
NATURAL GAS SERVICES GROUP INC	63886Q109	107	02/04/11	1,923 59	06/09/11	1,752 86	(170 73)	-8 88%	S
NATURAL GAS SERVICES GROUP INC	63886Q109	45	02/07/11	809 42	06/09/11	737 18	(72 24)	-8 92%	S
NATURAL GAS SERVICES GROUP INC	63886Q109	115	02/08/11	2,069 33	06/09/11	1,883 92	(185 41)	-8 96%	S

NEW BALANCE FOUNDATION
FORM 990-PF
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STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
NEOGEN CORP	640491106	198	07/30/09	3,986 40	06/09/11	8,285 15	4,298 75	107 84%	L
NEOGEN CORP	640491106	187	08/04/09	3,669 60	06/09/11	7,824 87	4,155 27	113 23%	L
NESTLE S A SPONSORED ADR REPSTG REG SHS SWITZ	641069406	474	08/04/09	19,485 91	08/31/11	29,453 79	9,967 88	51 15%	L
NET 1 UEPS TECHNOLOGIES INC NEW	64107N206	394	07/30/09	6,656 00	06/09/11	3,287 67	(3,368 33)	-50 61%	L
NET 1 UEPS TECHNOLOGIES INC NEW	64107N206	86	08/04/09	1,444 90	06/09/11	717 61	(727 29)	-50 33%	L
NEW JERSEY RESOURCES CRP	646025106	166	07/30/09	6,717 69	06/09/11	7,360 80	643 11	9 57%	L
NEW JERSEY RESOURCES CRP	646025106	207	08/04/09	7,907.19	06/09/11	9,178 82	1,271 63	16 08%	L
NIC INC	62914B100	94	12/27/10	885 61	06/09/11	1,145 03	259 42	29 29%	S
NIC INC	62914B100	365	12/28/10	3,470.09	06/09/11	4,446 15	976 06	28 13%	S
NIC INC	62914B100	32	12/29/10	305 27	06/09/11	389 80	84 53	27 69%	S
NOBLE CORP CHF	H5833N103	253	06/15/10	7,850 97	03/10/11	10,839 73	2,988.76	38 07%	S
NOBLE CORP CHF	H5833N103	875	06/15/10	27,152 56	02/25/11	38,034 37	10,881 81	40 08%	S
NOBLE CORP CHF	H5833N103	938	08/04/10	34,391 39	03/10/11	40,188 40	5,797 01	16 86%	S
NOBLE CORP CHF	H5833N103	30	08/09/10	1,014 51	03/10/11	1,285 34	270 83	26 70%	S
NORTHROP GRUMMAN CORP	666807102	513	08/04/09	24,001 83	12/15/10	32,834 47	8,832 64	36 80%	L
NORTHROP GRUMMAN CORP	666807102	483	08/04/09	20,412 47	08/31/11	26,643 21	6,230 74	30 52%	L
NORTHROP GRUMMAN CORP	666807102	738	08/04/09	34,528 95	03/23/11	49,738 40	15,209 45	44 05%	L
NUTRACEUTICAL INTL CORP	67060Y101	3	01/29/10	38 98	11/04/11	39 66	0 68	1 74%	L
NUTRACEUTICAL INTL CORP	67060Y101	10	01/29/10	129 92	11/03/11	134 11	4 19	3 23%	L
NUTRACEUTICAL INTL CORP	67060Y101	4	01/29/10	51 97	11/02/11	53 86	1 89	3 64%	L
NUTRACEUTICAL INTL CORP	67060Y101	139	01/29/10	1,805 94	06/09/11	2,078 01	272 07	15 07%	L
NUTRACEUTICAL INTL CORP	67060Y101	17	02/01/10	220 93	11/18/11	219 85	(1 08)	-0 49%	L
NUTRACEUTICAL INTL CORP	67060Y101	12	02/01/10	155 95	11/16/11	156 15	0 20	0 13%	L
NUTRACEUTICAL INTL CORP	67060Y101	7	02/01/10	90 97	11/15/11	90 54	(0 43)	-0 47%	L
NUTRACEUTICAL INTL CORP	67060Y101	7	02/01/10	90 97	11/11/11	92 32	1 35	1 48%	L
NUTRACEUTICAL INTL CORP	67060Y101	5	02/01/10	64 98	11/10/11	64 15	(0 83)	-1 28%	L
NUTRACEUTICAL INTL CORP	67060Y101	5	02/01/10	64 98	11/09/11	63 16	(1 82)	-2 80%	L
NUTRACEUTICAL INTL CORP	67060Y101	9	02/01/10	116 96	11/08/11	118 23	1 27	1 09%	L
NUTRACEUTICAL INTL CORP	67060Y101	4	02/01/10	51 99	11/07/11	52 23	0 24	0 46%	L
NUTRACEUTICAL INTL CORP	67060Y101	9	02/01/10	116 96	11/04/11	118 96	2 00	1 71%	L
NUTRACEUTICAL INTL CORP	67060Y101	7	02/03/10	90 98	11/18/11	90 52	(0 46)	-0 51%	L
NUTRACEUTICAL INTL CORP	67060Y101	3	02/03/10	38 99	11/22/11	37 73	(1 26)	-3 23%	L
NUTRACEUTICAL INTL CORP	67060Y101	3	02/03/10	39 00	11/21/11	38 18	(0 82)	-2 10%	L
NUTRACEUTICAL INTL CORP	67060Y101	27	02/03/10	350 95	11/30/11	316 22	(34 73)	-9 90%	L
NUTRACEUTICAL INTL CORP	67060Y101	5	02/03/10	64.99	11/29/11	57 41	(7 58)	-11 66%	L
NUTRACEUTICAL INTL CORP	67060Y101	8	02/03/10	103 98	11/28/11	92 55	(11 43)	-10 99%	L
NUTRI/SYSTEMS INC	67069D108	34	08/06/09	457 27	06/09/11	462 51	5 24	1 15%	L
NUTRI/SYSTEMS INC	67069D108	194	08/27/09	2,816 84	06/09/11	2,639 02	(177 82)	-6 31%	L
NUTRI/SYSTEMS INC	67069D108	17	08/28/09	245 92	06/09/11	231 25	(14 67)	-5 97%	L
NUTRI/SYSTEMS INC	67069D108	104	09/28/09	1,658 71	06/09/11	1,414 73	(243 98)	-14 71%	L
OCWEN FINANCIAL CORP NEW	675746309	478	07/02/10	4,817 95	06/09/11	5,857 06	1,039 11	21 57%	S
OCWEN FINANCIAL CORP NEW	675746309	154	08/30/10	1,397 00	06/09/11	1,887 00	490 00	35 08%	S
ORACLE CORP	68389X105	2,395	08/04/09	52,067 06	08/31/11	67,689 54	15,622 48	30 00%	L
ORACLE CORP	68389X105	1,009	08/04/09	21,935 56	01/19/11	31,623 37	9,687 81	44 16%	L
ORMAT TECHNOLOGIES INC	686688102	39	07/30/09	1,528 41	05/19/11	908 91	(619 50)	-40 53%	L
ORMAT TECHNOLOGIES INC	686688102	21	07/30/09	822 99	05/18/11	489 80	(333 19)	-40 49%	L
ORMAT TECHNOLOGIES INC	686688102	3	08/04/09	121 05	05/20/11	69 87	(51 18)	-42 28%	L
ORMAT TECHNOLOGIES INC	686688102	55	08/04/09	2,219 25	05/19/11	1,281 79	(937 46)	-42 24%	L
ORMAT TECHNOLOGIES INC	686688102	12	08/06/09	482 87	05/24/11	268 23	(214 64)	-44 45%	L
ORMAT TECHNOLOGIES INC	686688102	16	08/06/09	643 83	05/23/11	361 78	(282 05)	-43 81%	L
ORMAT TECHNOLOGIES INC	686688102	29	08/06/09	1,166 95	05/20/11	675 46	(491 49)	-42 12%	L
ORMAT TECHNOLOGIES INC	686688102	11	10/15/09	448 14	05/24/11	245 87	(202 27)	-45 14%	L
ORMAT TECHNOLOGIES INC	686688102	15	10/15/09	611 10	05/25/11	333 97	(277 13)	-45 35%	L
ORRSTOWN FINCL SVCS INC	687380105	3	02/24/10	104 62	06/09/11	69 17	(35 45)	-33 88%	L
ORRSTOWN FINCL SVCS INC	687380105	31	02/26/10	1,084 93	06/09/11	714 77	(370 16)	-34 12%	L
ORRSTOWN FINCL SVCS INC	687380105	136	03/24/10	3,623 16	06/09/11	3,135 76	(487 40)	-13 45%	L
ORRSTOWN FINCL SVCS INC	687380105	9	03/24/10	239 77	08/24/11	135 03	(104 74)	-43 68%	L
ORRSTOWN FINCL SVCS INC	687380105	5	03/24/10	133 20	08/23/11	74 49	(58 71)	-44 08%	L
ORRSTOWN FINCL SVCS INC	687380105	4	03/24/10	106 56	08/09/11	72 03	(34 53)	-32 40%	L
ORRSTOWN FINCL SVCS INC	687380105	29	03/24/10	772 59	08/03/11	551 39	(221 20)	-28 63%	L
ORRSTOWN FINCL SVCS INC	687380105	3	03/24/10	79 92	07/29/11	56 99	(22 93)	-28 69%	L
ORRSTOWN FINCL SVCS INC	687380105	8	03/24/10	213 13	07/28/11	152 02	(61 11)	-28 67%	L
ORRSTOWN FINCL SVCS INC	687380105	3	03/24/10	79 92	07/22/11	60 64	(19 28)	-24 12%	L
ORRSTOWN FINCL SVCS INC	687380105	7	03/24/10	186 49	07/21/11	143 58	(42 91)	-23 01%	L
ORRSTOWN FINCL SVCS INC	687380105	3	03/24/10	79 92	11/30/11	25 28	(54 64)	-68 37%	L
ORRSTOWN FINCL SVCS INC	687380105	1	03/24/10	26 64	11/21/11	8 18	(18 46)	-69 29%	L
ORRSTOWN FINCL SVCS INC	687380105	9	03/24/10	239 77	11/10/11	76 66	(163 11)	-68 03%	L
ORRSTOWN FINCL SVCS INC	687380105	6	03/24/10	159 85	11/09/11	51 52	(108 33)	-67 77%	L
ORRSTOWN FINCL SVCS INC	687380105	4	03/24/10	106 56	11/02/11	35 09	(71 47)	-67 07%	L
ORRSTOWN FINCL SVCS INC	687380105	6	03/24/10	159 85	10/28/11	55 16	(104 69)	-65 49%	L
ORRSTOWN FINCL SVCS INC	687380105	23	03/24/10	612 74	10/27/11	212 97	(399 77)	-65 24%	L
ORRSTOWN FINCL SVCS INC	687380105	5	03/24/10	133 20	10/26/11	65 49	(67 71)	-50 83%	L

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10- 11/30/11

TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION		CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
ORRSTOWN FINCL SVCS INC		687380105	5	03/24/10	133 21	10/24/11	65 96	(67 25)	-50 48%	L
ORRSTOWN FINCL SVCS INC		687380105	5	03/24/10	133 20	09/16/11	74.99	(58 21)	-43.70%	L
ORRSTOWN FINCL SVCS INC		687380105	5	03/24/10	133 20	09/15/11	75 09	(58 11)	-43 63%	L
ORRSTOWN FINCL SVCS INC		687380105	5	03/24/10	133 21	09/07/11	67 16	(66 05)	-49 58%	L
ORRSTOWN FINCL SVCS INC		687380105	5	03/24/10	133 20	09/02/11	68 52	(64 68)	-48 56%	L
ORRSTOWN FINCL SVCS INC		687380105	13	03/24/10	346 34	08/31/11	186 80	(159 54)	-46 06%	L
ORRSTOWN FINCL SVCS INC		687380105	3	03/24/10	79 92	08/30/11	44 02	(35 90)	-44 92%	L
OYO GEOSPACE CORP		671074102	18	12/10/10	1,635 63	06/09/11	1,655 43	19 80	1 21%	S
OYO GEOSPACE CORP		671074102	20	12/13/10	1,838 70	06/09/11	1,839 36	0 66	0 04%	S
OYO GEOSPACE CORP		671074102	15	12/14/10	1,418 07	06/09/11	1,379 52	(38 55)	-2 72%	S
PARKWAY PROPERTIES INC	MD	70159Q104	5	08/04/09	78 20	06/01/11	89 23	11 03	14 10%	L
PARKWAY PROPERTIES INC	MD	70159Q104	50	08/06/09	863 35	06/02/11	864 43	1.08	0 13%	L
PARKWAY PROPERTIES INC	MD	70159Q104	55	08/06/09	949 68	06/01/11	981 50	31 82	3 35%	L
PARKWAY PROPERTIES INC	MD	70159Q104	44	08/06/09	759 75	06/03/11	761 26	1 51	0 20%	L
PARKWAY PROPERTIES INC	MD	70159Q104	14	08/25/09	266 17	06/03/11	242 22	(23 95)	-9 00%	L
PARKWAY PROPERTIES INC	MD	70159Q104	30	08/25/09	570 37	06/07/11	516 99	(53 38)	-9 36%	L
PARKWAY PROPERTIES INC	MD	70159Q104	28	08/25/09	532 34	06/06/11	479 48	(52 86)	-9 93%	L
PARKWAY PROPERTIES INC	MD	70159Q104	56	08/25/09	1,064 68	06/09/11	909 80	(154 88)	-14 55%	L
PARKWAY PROPERTIES INC	MD	70159Q104	26	08/25/09	494 32	06/08/11	436 25	(58 07)	-11 75%	L
PARKWAY PROPERTIES INC	MD	70159Q104	10	08/26/09	189 15	06/13/11	161 13	(28 02)	-14 81%	L
PARKWAY PROPERTIES INC	MD	70159Q104	21	08/26/09	397.22	06/09/11	341 18	(56 04)	-14 11%	L
PARKWAY PROPERTIES INC	MD	70159Q104	2	10/15/09	38 98	06/16/11	32 53	(6 45)	-16.55%	L
PARKWAY PROPERTIES INC	MD	70159Q104	13	10/15/09	253 38	06/15/11	210 99	(42 39)	-16 73%	L
PARKWAY PROPERTIES INC	MD	70159Q104	68	10/15/09	1,325 38	06/14/11	1,135 11	(190 27)	-14 36%	L
PARKWAY PROPERTIES INC	MD	70159Q104	6	10/15/09	117 42	06/13/11	96 68	(20 74)	-17.66%	L
PARKWAY PROPERTIES INC	MD	70159Q104	26	12/28/09	552 10	06/17/11	422 35	(129 75)	-23 50%	L
PARKWAY PROPERTIES INC	MD	70159Q104	22	12/28/09	467 17	06/16/11	357 80	(109 37)	-23 41%	L
PARKWAY PROPERTIES INC	MD	70159Q104	46	01/04/10	973 25	06/20/11	745 87	(227 38)	-23 36%	L
PARKWAY PROPERTIES INC	MD	70159Q104	11	01/04/10	232 74	06/17/11	178 68	(54 06)	-23 23%	L
PARKWAY PROPERTIES INC	MD	70159Q104	11	01/04/10	232 74	06/22/11	183 75	(48 99)	-21 05%	L
PARKWAY PROPERTIES INC	MD	70159Q104	94	01/04/10	1,988 83	06/21/11	1,555 99	(432 84)	-21 76%	L
PEPSICO INC		713448108	233	07/30/09	13,418 35	08/31/11	15,033 47	1,615 12	12 04%	L
PEPSICO INC		713448108	118	08/04/09	6,984 36	08/31/11	7,613 52	629 16	9 01%	L
PFIZER INC		717081103	794	08/04/09	12,710 83	08/31/11	15,134 14	2,423 31	19 06%	L
PFIZER INC		717081103	1,583	08/05/09	24,871 62	08/31/11	30,172 99	5,301 37	21 31%	L
PFIZER INC		717081103	187	10/07/09	3,125 72	08/31/11	3,564 34	438 62	14 03%	L
PFIZER INC		717081103	495	10/13/09	8,324 17	08/31/11	9,435 01	1,110 84	13 34%	L
PG & E CORP (HOLDING	COMPANY)	69331C108	515	08/04/09	20,876 04	01/12/11	23,976 86	3,100 82	14 85%	L
PG & E CORP (HOLDING	COMPANY)	69331C108	721	08/04/09	29,226 46	01/05/11	33,906 46	4,680 00	16 01%	L
PG & E CORP (HOLDING	COMPANY)	69331C108	247	10/15/09	10,435 13	01/12/11	11,499 58	1,064 45	10 20%	L
PG & E CORP (HOLDING	COMPANY)	69331C108	29	10/15/09	1,225 18	08/31/11	1,230 81	5 63	0 46%	L
PG & E CORP (HOLDING	COMPANY)	69331C108	397	10/21/09	16,861 03	08/31/11	16,849 39	(11 64)	-0 07%	L
PG & E CORP (HOLDING	COMPANY)	69331C108	314	10/21/09	13,335 92	09/28/11	13,553 36	217 44	1 63%	L
PG & E CORP (HOLDING	COMPANY)	69331C108	174	09/15/10	7,888 24	09/28/11	7,510 46	(377 78)	-4 79%	L
PG & E CORP (HOLDING	COMPANY)	69331C108	552	09/15/10	25,024 75	11/16/11	21,719 68	(3,305 07)	-13 21%	L
PHILIP MORRIS INTL INC		718172109	476	07/30/09	22,513 61	04/27/11	32,016 95	9,503 34	42 21%	L
PHILIP MORRIS INTL INC		718172109	76	08/04/09	3,560 46	04/27/11	5,111 95	1,551 49	43 58%	L
PHILIP MORRIS INTL INC		718172109	1,314	08/04/09	61,558 40	08/31/11	92,425 11	30,866 71	50 14%	L
PHILIP MORRIS INTL INC		718172109	428	08/04/09	20,050 99	08/10/11	28,003 50	7,952 51	39 66%	L
PIMCO ALL ASSET FUND CL	A	72200Q711	122,967	08/03/09	1,378,461 88	07/19/11	1,528,480 05	150,018 17	10 88%	L
PIMCO ALL ASSET FUND CL	A	72200Q711	278,460	08/03/09	3,121,543 36	03/10/11	3,400,000 00	278,456 64	8 92%	L
PIMCO ALL ASSET FUND CL	A	72200Q711	89,286	08/05/09	1,000,005 25	07/19/11	1,109,821 43	109,816 18	10 98%	L
PIMCO ALL ASSET FUND CL	A	72200Q711	4,733	09/17/09	55,088 42	07/19/11	58,827 24	3,738 82	6 79%	L
PIMCO ALL ASSET FUND CL	A	72200Q711	22,928	12/30/09	262,292 91	07/19/11	284,991 34	22,698 43	8 65%	L
PIMCO ALL ASSET FUND CL	A	72200Q711	4,129	03/18/10	48,146 52	07/19/11	51,326 01	3,179 49	6 60%	L
PIMCO ALL ASSET FUND CL	A	72200Q711	6,210	06/17/10	72,962 26	07/19/11	77,184 76	4,222 50	5 79%	L
PIMCO ALL ASSET FUND CL	A	72200Q711	5,599	09/16/10	68,256 73	07/19/11	69,600 59	1,343 86	1 97%	S
PIMCO ALL ASSET FUND CL	A	72200Q711	24,821	12/31/10	297,109 29	07/19/11	308,527 02	11,417 73	3 84%	S
PIMCO ALL ASSET FUND CL	A	72200Q711	1,138	03/17/11	13,789 45	07/19/11	14,142 15	352 70	2 56%	S
PIMCO ALL ASSET FUND CL	A	72200Q711	2,558	06/16/11	31,357 02	07/19/11	31,791 83	434 81	1 39%	S
PIMCO SHORT TERM FUND	CL A	693391211	50,404	02/18/11	497,989 49	05/13/11	500,000 00	2,010 51	0 40%	S
PIMCO SHORT TERM FUND	CL A	693391211	8,722	02/18/11	86,172 01	09/27/11	85,212 21	(959 80)	-1 11%	S
PIMCO SHORT TERM FUND	CL A	693391211	176,947	02/18/11	1,748,237 13	07/25/11	1,750,000 00	1,762 87	0 10%	S
PIMCO SHORT TERM FUND	CL A	693391211	141,415	02/18/11	1,397,178 05	07/08/11	1,400,000 00	2,821 95	0 20%	S
PIMCO SHORT TERM FUND	CL A	693391211	252,271	02/18/11	2,492,439 06	06/09/11	2,500,000 00	7,560 94	0 30%	S
PIMCO SHORT TERM FUND	CL A	693391211	50,404	02/18/11	497,989 49	05/17/11	500,000 00	2,010 51	0 40%	S
PIMCO SHORT TERM FUND	CL A	693391211	134,574	02/22/11	1,329,597 17	09/27/11	1,314,787 79	(14,809 38)	-1 11%	S
PIMCO SHORT TERM FUND	CL A	693391211	102,565	02/22/11	1,013,339 61	10/06/11	1,000,000 00	(13,339 61)	-1 32%	S
PIMCO SHORT TERM FUND	CL A	693391211	133,061	02/22/11	1,314,643 20	09/30/11	1,300,000 00	(14,643 20)	-1 11%	S
PIMCO SHORT TERM FUND	CL A	693391211	102,565	02/22/11	1,013,339 61	11/29/11	1,000,000 00	(13,339 61)	-1 32%	S
PIMCO SHORT TERM FUND	CL A	693391211	40,859	02/22/11	403,682 90	11/11/11	400,000 00	(3,682 90)	-0 91%	S
PIMCO STOCKPLUS TRUST	SHORT STRATEGY FUND A	72201F763	4,016	07/19/11	16,143.71	08/01/11	16,746 06	602 35	3 73%	S

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10-11/30/11

TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
PIMCO STOCKPLUS TRUST SHORT STRATEGY FUND A	72201F763	2,646	07/19/11	10,635 04	08/01/11	11,031 85	396 81	3 73%	S
PIMCO STOCKPLUS TRUST SHORT STRATEGY FUND A	72201F763	1,630	07/19/11	6,553 42	08/01/11	6,797 94	244 52	3 73%	S
PIMCO STOCKPLUS TRUST SHORT STRATEGY FUND A	72201F763	327,511	07/19/11	1,316,595 61	08/01/11	1,365,720 52	49,124 91	3 73%	S
PIMCO STOCKPLUS TRUST SHORT STRATEGY FUND A	72201F763	1,536	07/19/11	6,173 62	08/01/11	6,403 97	230 35	3 73%	S
PIMCO STOCKPLUS TRUST SHORT STRATEGY FUND A	72201F763	414,938	07/19/11	1,668,051 99	08/01/11	1,730,290 46	62,238 47	3 73%	S
PIMCO STOCKPLUS TRUST SHORT STRATEGY FUND A	72201F763	242,749	07/19/11	975,851 82	08/01/11	1,012,262 93	36,411 11	3 73%	S
PLANTRONICS INC NEW	727493108	426	07/30/09	10,270 43	06/09/11	14,954 77	4,684 34	45 61%	L
PLANTRONICS INC NEW	727493108	90	08/04/09	2,216 43	08/15/11	2,967 82	751 39	33 90%	L
PLANTRONICS INC NEW	727493108	168	08/04/09	4,137 34	06/09/11	5,897 65	1,760 31	42 55%	L
POLYCOM INC	73172K104	359	07/30/09	8,547 07	02/16/11	17,164 04	8,616 97	100 82%	L
POLYCOM INC	73172K104	116	07/30/09	2,761 73	02/15/11	5,630 76	2,869 03	103 89%	L
POLYCOM INC	73172K104	347	08/04/09	8,206 55	03/04/11	16,968 94	8,762 39	106 77%	L
POLYCOM INC	73172K104	109	08/04/09	2,577 85	02/16/11	5,211 36	2,633 51	102 16%	L
POLYCOM INC	73172K104	307	08/06/09	7,201 15	03/23/11	15,134 93	7,933 78	110 17%	L
POLYCOM INC	73172K104	148	08/06/09	3,471 56	03/04/11	7,237 48	3,765 92	108 48%	L
POLYCOM INC	73172K104	150	10/15/09	3,968 02	03/24/11	7,397 85	3,429 83	86 44%	L
POLYCOM INC	73172K104	51	10/15/09	1,349 13	03/23/11	2,514 27	1,165 14	86 36%	L
POWER INTEGRATIONS INC	739276103	276	07/30/09	7,492 31	06/09/11	9,996 66	2,504 35	33 43%	L
POWER INTEGRATIONS INC	739276103	202	08/04/09	6,176 27	06/09/11	7,316 40	1,140 13	18 46%	L
PPG INDUSTRIES INC	693506107	502	08/04/09	28,594 93	08/31/11	38,777 65	10,182 72	35 61%	L
PPG INDUSTRIES INC	693506107	398	08/04/09	22,670 88	12/16/10	32,396 77	9,725 89	42 90%	L
PROSHARES TR SHORT 20+ YR ETF	74347X849	25,000	08/24/10	1,000,377 05	12/10/10	1,114,527 45	114,150 40	11 41%	S
PRUDENTIAL FINANCIAL INC	744320102	125	07/30/09	5,491 19	08/31/11	6,321 23	830 04	15 12%	L
PRUDENTIAL FINANCIAL INC	744320102	509	08/04/09	23,418 33	08/31/11	25,740 03	2,321 70	9 91%	L
PRUDENTIAL FINANCIAL INC	744320102	82	10/15/09	4,243 91	08/31/11	4,146 73	(97 18)	-2 29%	L
PRUDENTIAL FINANCIAL INC	744320102	9	10/15/09	465 80	11/16/11	473 77	7 97	1 71%	L
PRUDENTIAL FINANCIAL INC	744320102	422	12/16/09	21,713 21	11/16/11	22,214 32	501 11	2 31%	L
PUBLIC SERVICE ENTERPRSE GROUP INC	744573106	8	08/04/09	259 18	03/16/11	243 08	(16 10)	-6 21%	L
PUBLIC SERVICE ENTERPRSE GROUP INC	744573106	1,486	10/19/09	46,456 82	03/16/11	45,151 23	(1,305 59)	-2 81%	L
PUTNAM VOYAGER FUND INC CL A	747012102	114,698	01/26/11	2,825,005 24	11/22/11	2,186,134 79	(638,870 45)	-22 61%	S
PUTNAM VOYAGER FUND INC CL A	747012102	155,938	02/04/11	3,900,005 24	11/22/11	2,972,171 13	(927,834 11)	-23 79%	S
PUTNAM VOYAGER FUND INC CL A	747012102	92,615	10/27/11	1,994,005 24	11/22/11	1,765,241 06	(228,764 18)	-11 47%	S
QUAKER CHEMICAL CORP	747316107	188	07/30/09	3,412 76	06/09/11	7,663 02	4,250 26	124 54%	L
QUAKER CHEMICAL CORP	747316107	42	08/04/09	843 07	06/09/11	1,711 95	868 88	103 06%	L
QUALITY SYSTEMS INC	747582104	121	07/30/09	6,916 92	06/09/11	9,879 46	2,962 54	42 83%	L
QUALITY SYSTEMS INC	747582104	113	08/04/09	6,085 57	06/09/11	9,226 27	3,140 70	51 61%	L
QUALITY SYSTEMS INC	747582104	73	08/04/09	3,931 39	10/04/11	6,314 12	2,382 73	60 61%	L
QUALITY SYSTEMS INC	747582104	6	08/06/09	312 66	10/04/11	518 97	206 31	65 99%	L
QUEST DIAGNOSTICS INC	74834L100	128	03/14/11	7,278 72	08/17/11	6,223 30	(1,055 42)	-14 50%	S
QUEST DIAGNOSTICS INC	74834L100	815	03/14/11	46,344 98	08/10/11	38,226 43	(8,118 55)	-17 52%	S
QUEST DIAGNOSTICS INC	74834L100	651	04/20/11	37,911 44	08/17/11	31,651 34	(6,260 10)	-16 51%	S
RENAISSANCE LEARNING INC ** MERGER EFF	175968L105	211	07/30/09	2,067 78	06/09/11	2,287 66	219 88	10 63%	L
RENAISSANCE LEARNING INC ** MERGER EFF	175968L105	129	08/04/09	1,264 20	08/16/11	1,878 93	614 73	48 63%	L
RENAISSANCE LEARNING INC ** MERGER EFF	175968L105	74	08/04/09	725 20	06/09/11	802 31	77 11	10 63%	L
RENAISSANCE LEARNING INC ** MERGER EFF	175968L105	61	08/06/09	600 85	08/17/11	889 72	288 87	48 08%	L
RENAISSANCE LEARNING INC ** MERGER EFF	175968L105	142	08/06/09	1,398 69	08/16/11	2,068 29	669 60	47 87%	L
RENAISSANCE LEARNING INC ** MERGER EFF	175968L105	67	10/15/09	676 28	08/18/11	971 19	294 91	43 61%	L
RENAISSANCE LEARNING INC ** MERGER EFF	175968L105	22	10/15/09	222 06	08/17/11	320 88	98 82	44 50%	L
REYNOLDS AMERN INC (HOLDING CO)	761713106	1,139	01/27/11	37,041 65	08/03/11	39,508 76	2,467 11	6 66%	S
RTS IVANHOE MINES LTD EXP 01/26/11	46579N137	1,175	01/03/11	0 01	01/11/11	1,797 01	1,797 00	17970000 00%	S
SAPIENT CORP	803062108	181	09/14/10	2,026 73	06/09/11	2,603 36	576 63	28 45%	S
SAPIENT CORP	803062108	183	09/15/10	2,050 06	06/09/11	2,632 13	582 07	28 39%	S
SAPIENT CORP	803062108	214	09/16/10	2,396 80	06/09/11	3,078 01	681 21	28 42%	S
SAPIENT CORP	803062108	221	09/17/10	2,497 21	06/09/11	3,178 69	681 48	27 29%	S
SAPIENT CORP	803062108	119	09/20/10	1,373 62	06/09/11	1,711 60	337 98	24 61%	S
SAPIENT CORP	803062108	349	10/22/10	4,467 90	06/09/11	5,019 74	551 84	12 35%	S
SELECT COMFORT CORP	81616X103	490	03/04/11	5,800 96	06/09/11	7,168 58	1,367 62	23 58%	S
SELECT COMFORT CORP	81616X103	146	03/07/11	1,783 43	06/09/11	2,135 94	352 51	19 77%	S
SIGNATURE BANK NEW YORK N Y	82669G104	87	07/30/09	2,588 55	06/09/11	4,748 64	2,160 09	83 45%	L
SIGNATURE BANK NEW YORK N Y	82669G104	85	08/04/09	2,581 47	06/09/11	4,639 48	2,058 01	79 72%	L
SIGNATURE BANK NEW YORK N Y	82669G104	78	08/05/09	2,358 20	06/09/11	4,257 41	1,899 21	80 54%	L
SIGNATURE BANK NEW YORK N Y	82669G104	52	08/06/09	1,560 60	06/09/11	2,838 27	1,277 67	81 87%	L
SIMPSON MANUFACTURING CO INC DELA	829073105	185	07/30/09	5,212 19	06/09/11	5,224 57	12 38	0 24%	L
SIMPSON MANUFACTURING CO INC DELA	829073105	136	08/04/09	3,960 18	06/09/11	3,840 77	(119 41)	-3 02%	L
SOUTH JERSEY IND INC	838518108	251	08/04/09	9,293 53	06/09/11	13,193 27	3,899 74	41 96%	L
SOUTH JERSEY IND INC	838518108	4	08/06/09	142 53	06/09/11	210 25	67 72	47 51%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	38	07/30/09	820 57	03/31/11	813 24	(7 33)	-0 89%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	82	07/30/09	1,770 70	03/30/11	1,767 16	(3 54)	-0 20%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	7	07/30/09	151 16	03/29/11	151 32	0 16	0 11%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	32	08/04/09	729 32	03/31/11	684 84	(44 48)	-6 10%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	89	08/04/09	2,028 42	04/01/11	1,909 30	(119 12)	-5 87%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	27	08/05/09	649 87	04/01/11	579 23	(70 64)	-10 87%	L

NEW BALANCE FOUNDATION　　　　TIN: 04-6470644
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PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	13	08/05/09	312 90	04/05/11	280 17	(32 73)	-10 46%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	1	08/06/09	24 99	04/05/11	21 55	(3 44)	-13 77%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	184	08/06/09	4,161 82	06/09/11	3,531 82	(630 00)	-15 14%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	26	08/06/09	614 81	04/05/11	560 35	(54 46)	-8 86%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	4	08/07/09	101 73	06/09/11	76 78	(24 95)	-24 53%	L
SOUTHSIDE BANCSHARES INC TYLER TEXAS	84470P109	55	10/15/09	1,132 40	06/09/11	1,055 71	(76 69)	-6 77%	L
SPDR GOLD TRUST	78463V107	225	07/29/09	20,562 75	04/11/11	30,813 15	10,250 40	49 85%	L
SPDR GOLD TRUST	78463V107	2,500	07/29/09	228,475 00	04/08/11	342,368 42	113,893 42	49 85%	L
SPDR GOLD TRUST	78463V107	11,000	08/03/09	1,032,514 89	04/15/11	1,506,421 07	473,906 18	45 90%	L
SPDR GOLD TRUST	78463V107	2,275	08/03/09	213,542 85	04/11/11	311,555 25	98,012 40	45 90%	L
SPDR GOLD TRUST	78463V107	5,100	09/09/09	498,829 50	04/15/11	698,431 58	199,602 08	40 01%	L
SPDR GOLD TRUST	78463V107	2,550	10/02/09	250,961 25	04/15/11	349,215 79	98,254 54	39 15%	L
SPDR GOLD TRUST	78463V107	4,350	12/03/09	515,866 50	04/15/11	595,721 05	79,854 55	15 48%	L
ST JUDE MEDICAL INC	790849103	88	03/24/10	3,560 55	03/10/11	4,270 30	709 75	19 93%	S
ST JUDE MEDICAL INC	790849103	786	03/24/10	31,802 19	02/16/11	37,003 45	5,201 26	16 36%	S
ST JUDE MEDICAL INC	790849103	305	03/25/10	12,655 00	03/10/11	14,800 48	2,145 48	16 95%	S
ST JUDE MEDICAL INC	790849103	18	03/30/10	736 71	03/10/11	873 47	136 76	18 56%	S
ST JUDE MEDICAL INC	790849103	20	04/21/10	835 02	05/04/11	1,054 19	219 17	26 25%	L
ST JUDE MEDICAL INC	790849103	749	04/21/10	31,271 35	04/20/11	39,319 42	8,048 07	25 74%	S
ST JUDE MEDICAL INC	790849103	91	04/21/10	3,799 32	03/10/11	4,415 88	616 56	16 23%	S
ST JUDE MEDICAL INC	790849103	391	07/07/10	14,069 00	05/04/11	20,609 41	6,540 41	46 49%	S
ST JUDE MEDICAL INC	790849103	412	07/07/10	14,824 63	06/03/11	19,910 26	5,085 63	34 31%	S
ST JUDE MEDICAL INC	790849103	3	07/08/10	109 13	06/03/11	144 98	35 85	32 85%	S
ST JUDE MEDICAL INC	790849103	931	12/15/10	38,877 82	06/03/11	44,991 38	6,113 56	15 73%	S
STANLEY BLACK & DECKER INC COM	854502101	461	06/30/10	23,405 47	08/31/11	28,933 69	5,528 22	23 62%	L
STANLEY BLACK & DECKER INC COM	854502101	224	06/30/10	11,372 73	11/16/11	15,054 16	3,681 43	32 37%	L
STANLEY BLACK & DECKER INC COM	854502101	149	08/11/10	8,327 10	11/16/11	10,013 71	1,686 61	20 25%	L
STR HLDGS INC	78478V100	35	08/30/10	736 94	06/09/11	524 99	(211 95)	-28 76%	S
STR HLDGS INC	78478V100	201	08/31/10	4,141 02	06/09/11	3,014 94	(1,126 08)	-27 19%	S
STR HLDGS INC	78478V100	33	09/01/10	725 03	06/09/11	494 99	(230 04)	-31 73%	S
SUNPOWER CORP **EXCHNAGE EFF 11/2011** CL B	867652307	71	07/30/09	1,992 35	06/15/11	1,650 75	(341 60)	-17 15%	L
SUNPOWER CORP **EXCHNAGE EFF 11/2011** CL B	867652307	69	08/04/09	1,932 23	06/15/11	1,604 25	(327 98)	-16 97%	L
SUNPOWER CORP **EXCHNAGE EFF 11/2011** CL B	867652307	16	08/06/09	416 53	06/15/11	372 00	(44 53)	-10 69%	L
SUNPOWER CORP **EXCHNAGE EFF 11/2011** CL B	867652307	53	08/06/09	1,379 77	08/03/11	749 24	(630 53)	-45 70%	L
SUNPOWER CORP **EXCHNAGE EFF 11/2011** CL B	867652307	30	10/15/09	852 80	08/03/11	424 10	(428 70)	-50 27%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	42	11/25/09	1,036 85	12/17/10	1,641 33	604 48	58 30%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	16	11/25/09	394 99	12/20/10	622 07	227 08	57 49%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	31	11/30/09	754 12	12/20/10	1,205 27	451 15	59 82%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	11	12/01/09	281 01	12/21/10	434 90	153 89	54 76%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	31	12/01/09	791 93	12/20/10	1,205 27	413 34	52 19%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	10	12/02/09	258 71	12/22/10	391 40	132 69	51 29%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	61	12/02/09	1,578 11	12/21/10	2,411 70	833 59	52 82%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	93	12/03/09	2,376 63	12/23/10	3,631 75	1,255 12	52 81%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	11	12/03/09	281 11	12/22/10	430 53	149 42	53 15%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	59	12/03/09	1,507 76	12/27/10	2,291 01	783 25	51 95%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	106	12/04/09	2,776 27	12/27/10	4,116 04	1,339 77	48 26%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	39	12/07/09	1,042 40	12/28/10	1,509 27	466 87	44 79%	L
T-3 ENERGY SERVICES INC **MERGER EFF 01/2011**	87306E107	37	12/07/09	988 94	12/27/10	1,436 73	447 79	45 28%	L
TARGET CORP	87612E106	823	01/12/11	45,766 37	08/31/11	42,721 10	(3,045 27)	-6 65%	S
TCF FINANCIAL CORP	872275102	727	12/15/09	9,672 37	06/09/11	10,113 53	441 16	4 56%	L
TCF FINANCIAL CORP	872275102	61	12/23/09	838 90	06/09/11	848 59	9 69	1 16%	L
TEAM INC	878155100	6	07/30/09	84 19	05/27/11	138 12	53 93	64 06%	L
TEAM INC	878155100	83	07/30/09	1,164 61	05/26/11	1,908 15	743 54	63 84%	L
TEAM INC	878155100	102	07/30/09	1,431 20	05/25/11	2,352 29	921 09	64 36%	L
TEAM INC	878155100	26	07/30/09	364 82	05/24/11	602 85	238 03	65 25%	L
TEAM INC	878155100	72	08/04/09	1,086 36	06/07/11	1,532 20	445 84	41 04%	L
TEAM INC	878155100	15	08/04/09	226 32	06/03/11	322 49	96 17	42 49%	L
TEAM INC	878155100	27	08/04/09	407 38	05/31/11	621 08	213 70	52 46%	L
TEAM INC	878155100	18	08/04/09	271 59	05/27/11	414 35	142 76	52 56%	L
TEAM INC	878155100	76	08/04/09	1,146 71	06/09/11	1,613 61	466 90	40 72%	L
TEAM INC	878155100	208	08/06/09	3,471 81	06/09/11	4,416 20	944 39	27 20%	L
TEAM INC	878155100	92	10/15/09	1,491 94	06/09/11	1,953 32	461 38	30 92%	L
TEAM INC	878155100	19	12/22/10	434 34	06/09/11	403 40	(30 94)	-7 12%	S
TEAM INC	878155100	46	12/23/10	1,061 78	06/09/11	976 66	(85 12)	-8 02%	S
TEAM INC	878155100	10	12/27/10	234 90	06/09/11	212 32	(22 58)	-9 61%	S
TEAM INC	878155100	29	12/27/10	681 22	06/13/11	616 37	(64 85)	-9 52%	S
TEAM INC	878155100	11	12/27/10	258 39	06/09/11	233 78	(24 61)	-9 52%	S
TEAM INC	878155100	12	12/28/10	288 04	06/20/11	256 21	(31 83)	-11 05%	S
TEAM INC	878155100	17	12/28/10	408 06	06/17/11	366 02	(42 04)	-10 30%	S
TEAM INC	878155100	55	12/28/10	1,320 20	06/16/11	1,173 30	(146 90)	-11 13%	S
TEAM INC	878155100	27	12/28/10	648 09	06/13/11	573 86	(74.23)	-11 45%	S
TEAM INC	878155100	8	12/29/10	193 06	06/20/11	170 80	(22 26)	-11 53%	S

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STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
TEMPUR-PEDIC INTL INC	88023U101	33	09/22/09	598 23	05/03/11	1,978 89	1,380 66	230 79%	L
TEMPUR-PEDIC INTL INC	88023U101	119	09/22/09	2,157 24	04/27/11	7,296 73	5,139 49	238 24%	L
TEMPUR-PEDIC INTL INC	88023U101	312	09/22/09	5,655 97	03/04/11	15,027 56	9,371 59	165 69%	L
TEMPUR-PEDIC INTL INC	88023U101	372	10/01/09	6,644 85	05/03/11	22,307 44	15,662 59	235 71%	L
TEMPUR-PEDIC INTL INC	88023U101	128	10/15/09	2,606 52	05/03/11	7,675 68	5,069 16	194 48%	L
TESCO CORP CAD	88157K101	132	03/14/11	2,370 44	06/09/11	2,472 60	102 16	4 31%	S
TESCO CORP CAD	88157K101	86	03/15/11	1,561 08	06/09/11	1,610 94	49 86	3 19%	S
TESCO CORP CAD	88157K101	55	03/16/11	1,001 35	06/09/11	1,030 25	28 90	2 89%	S
TEXAS CAPITAL BANCSHARES INC (DELA)	88224Q107	173	03/28/11	4,257 07	06/09/11	4,235 29	(21 78)	-0 51%	S
TEXAS CAPITAL BANCSHARES INC (DELA)	88224Q107	137	03/29/11	3,353 95	06/09/11	3,353 95	-	0 00%	S
THERMO FISHER SCIENTIFIC INC	883556102	459	08/10/11	23,307 79	08/31/11	25,392 58	2,084 79	8 94%	S
TIME WARNER CABLE INC	88732J207	65	07/30/09	2,172 95	03/21/11	4,472 66	2,299 71	105 83%	L
TIME WARNER CABLE INC	88732J207	165	07/30/09	5,515 95	01/14/11	10,783 88	5,267 93	95 50%	L
TIME WARNER CABLE INC	88732J207	125	08/04/09	4,309 88	03/21/11	8,601 28	4,291 40	99 57%	L
TIME WARNER CABLE INC	88732J207	85	08/04/09	2,930 72	03/29/11	5,987 08	3,056 36	104 29%	L
TIME WARNER CABLE INC	88732J207	215	08/06/09	7,567 46	03/29/11	15,143 79	7,576 33	100 12%	L
TIME WARNER CABLE INC	88732J207	30	10/15/09	1,238 36	03/29/11	2,113 09	874 73	70 64%	L
TRAVELERS COS INC/THE	89417E109	218	07/30/09	9,140 63	06/22/11	12,588 28	3,447 65	37 72%	L
TRAVELERS COS INC/THE	89417E109	416	08/04/09	19,176 81	08/31/11	21,170 16	1,993 35	10 39%	L
TRAVELERS COS INC/THE	89417E109	425	08/04/09	19,591 69	06/22/11	24,541.36	4,949 67	25 26%	L
TRAVELERS COS INC/THE	89417E109	141	10/15/09	6,803 04	08/31/11	7,175 46	372 42	5 47%	L
TRAVELERS COS INC/THE	89417E109	1	11/04/09	50 83	08/31/11	50 89	0 06	0 12%	L
TRAVELERS COS INC/THE	89417E109	159	11/10/09	8,534 56	08/31/11	8,091 48	(443 08)	-5 19%	L
UBS AG TRIGGER AOS XLE 8/27/2012	90268C408	100,000	08/19/11	1,000,000 00	11/23/11	1,051,250 00	51,250 00	5 12%	S
UBS AG TRIGGER PAOS HAL 5/23/201	90267G59C	50,000	05/17/11	500,000 00	08/19/11	500,000 00	-	0 00%	S
UBS AG YON-CP FORD 9/20/2011 1	90267C862	41,736	09/14/10	499,997 28	09/20/11	499,997 28	-	0 00%	L
UBS AG YON-CP JPM 6/29/2011 10	90267C516	25,713	06/23/10	999,978 57	06/29/11	999,978 57	-	0 00%	L
UBS AG 100% PP ARBN RUSSELL 2000 8/31/	90265G84C	100,000	08/26/09	1,028,239 48	12/10/10	979,534 75	(48,704 73)	-4 74%	L
UMB FINANCIAL CORP	902788108	50	03/17/10	2,045 34	06/09/11	2,067 26	21 92	1 07%	L
UMB FINANCIAL CORP	902788108	68	03/18/10	2,790 03	06/09/11	2,811 47	21 44	0 77%	L
UMB FINANCIAL CORP	902788108	103	03/19/10	4,218 77	06/09/11	4,258 56	39 79	0 94%	L
UMB FINANCIAL CORP	902788108	96	03/23/10	4,007 08	06/09/11	3,969 14	(37 94)	-0 95%	L
UMB FINANCIAL CORP	902788108	56	03/24/10	2,317 52	06/09/11	2,315 33	(2 19)	-0 09%	L
UMB FINANCIAL CORP	902788108	3	04/07/10	124 61	06/09/11	124 04	(0 57)	-0 46%	L
UMPQUA HOLDINGS CORP OR	904214103	237	07/30/09	2,277 33	06/09/11	2,657 43	380 10	16 69%	L
UMPQUA HOLDINGS CORP OR	904214103	227	08/04/09	2,258 20	06/09/11	2,545 30	287 10	12 71%	L
UMPQUA HOLDINGS CORP OR	904214103	287	08/05/09	2,914 51	06/09/11	3,218 07	303 56	10 42%	L
UMPQUA HOLDINGS CORP OR	904214103	62	08/06/09	641 89	06/09/11	695 19	53 30	8 30%	L
UNDER ARMOUR INC CL A	904311107	97	07/30/09	2,463 80	06/09/11	6,319 64	3,855 84	156 50%	L
UNDER ARMOUR INC CL A	904311107	94	08/04/09	2,279 50	06/09/11	6,124 19	3,844 69	168 66%	L
UNDER ARMOUR INC CL A	904311107	59	08/06/09	1,435 62	06/09/11	3,843 90	2,408 28	167 75%	L
UNDER ARMOUR INC CL A	904311107	34	08/06/09	827 31	06/22/11	2,493 94	1,666 63	201 45%	L
UNDER ARMOUR INC CL A	904311107	4	10/15/09	118 48	06/22/11	293 41	174 93	147 65%	L
UNDER ARMOUR INC CL A	904311107	37	10/15/09	1,095 94	06/23/11	2,647 85	1,551 91	141 61%	L
UNDER ARMOUR INC CL A	904311107	110	05/12/10	3,817 54	06/23/11	7,871 97	4,054 43	106 21%	L
UNDER ARMOUR INC CL A	904311107	104	05/12/10	3,609 31	11/02/11	8,681 73	5,072 42	140 54%	L
UNDER ARMOUR INC CL A	904311107	99	05/12/10	3,435 78	08/01/11	7,225 69	3,789 91	110 31%	L
UNITED STATES TREAS BILL DUE 01/13/11	912795UX7	1,500,000	12/09/10	1,499,884 83	01/13/11	1,500,000 00	115 17	0 01%	S
UNITED STATES TREAS BILL DUE 01/13/11	912795UX7	3,000,000	12/16/10	2,999,836 50	01/13/11	3,000,000 00	163 50	0 01%	S
UNITED STATES TREAS BILL DUE 01/20/11	912795X89	2,750,000	12/23/10	2,749,919 69	01/20/11	2,750,000 00	80 31	0 00%	S
UNITED STATES TREAS BILL DUE 01/27/11	912795X97	1,500,000	12/16/10	1,499,842 96	01/27/11	1,500,000 00	157 04	0 01%	S
UNITED STATES TREAS BILL DUE 02/03/11	912795Y21	3,700,000	12/29/10	3,699,807 39	02/03/11	3,700,000 00	192 61	0 01%	S
UNITED STATES TREAS BILL DUE 02/10/11	912795V40	3,700,000	12/29/10	3,699,681 50	02/10/11	3,700,000 00	318 50	0 01%	S
UNITED STATES TREAS BILL DUE 02/17/11	9127952B6	2,500,000	01/13/11	2,499,684 17	01/28/11	2,499,829 47	145 30	0 01%	S
UNITED STATES TREAS BILL DUE 02/17/11	9127952B6	2,000,000	01/13/11	1,999,747 33	02/17/11	2,000,000 00	252 67	0 01%	S
UNITED STATES TREAS BILL DUE 02/17/11	9127952B6	750,000	01/20/11	749,923 69	02/17/11	750,000 00	76 31	0 01%	S
UNITED STATES TREAS BILL DUE 02/24/11	9127952C4	4,700,000	02/03/11	4,699,691 91	02/17/11	4,699,970 47	278 56	0 01%	S
UNITED STATES TREAS BILL DUE 03/03/11	9127952D2	2,000,000	01/20/11	1,999,674 97	02/17/11	1,999,942 75	267 78	0 01%	S
UNITED STATES TREAS BILL DUE 03/17/11	9127952G5	3,700,000	02/10/11	3,699,743 17	02/18/11	3,699,793 82	50 65	0 00%	S
UNITED STATES TREAS BILL DUE 03/24/11	9127952H3	2,250,000	02/17/11	2,249,814 00	02/22/11	2,249,840 69	26 69	0 00%	S
UNITED STATES TREAS BILL DUE 08/11/11	9127953D1	289,000	05/26/11	288,972 55	06/30/11	288,995 54	22 99	0 01%	S
UNITED STATES TREAS BILL DUE 08/11/11	9127953D1	508,000	05/26/11	507,951 74	06/30/11	507,993 47	41 73	0 01%	S
UNITED STATES TREAS BILL DUE 08/18/11	9127953E9	368,000	05/17/11	367,971 79	07/11/11	367,992 43	20 64	0 01%	S
UNITED STATES TREAS BILL DUE 09/08/11	9127953J8	797,000	03/10/11	796,459 04	05/26/11	796,896 39	437 35	0 05%	S
UNITED STATES TREAS BILL DUE 12/02/10	912795W98	3,850,000	11/18/10	3,849,873 17	12/02/10	3,850,000 00	126 83	0 00%	S
UNITED STATES TREAS BILL DUE 12/09/10	912795X30	3,500,000	11/04/10	3,499,839 97	12/09/10	3,500,000 00	160 03	0 00%	S
UNITED STATES TREAS BILL DUE 12/16/10	912795UK5	2,000,000	11/12/10	1,999,919 14	12/16/10	2,000,000 00	80 86	0 00%	S
UNITED STATES TREAS BILL DUE 12/23/10	912795X48	750,000	11/29/10	749,933 85	12/23/10	750,000 00	66 15	0 01%	S
UNITED STATES TREAS BILL DUE 12/23/10	912795X48	2,000,000	12/02/10	1,999,844 14	12/23/10	2,000,000 00	155 86	0 01%	S
UNITED STATES TREAS BILL DUE 12/30/10	912795X55	3,850,000	11/18/10	3,849,413 30	12/30/10	3,850,000 00	586 70	0 02%	S
UNITED STATES TREAS BILL DUE 12/30/10	912795X55	2,000,000	12/02/10	1,999,757 75	12/30/10	2,000,000 00	242 25	0 01%	S
UNITED STATES TREAS BILL DUE 12/30/10	912795X55	1,500,000	12/09/10	1,499,926 08	12/30/10	1,500,000 00	73 92	0 00%	S

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PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION	CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
UNTD NAT FOODS INC	911163103	238	07/30/09	6,441.71	06/09/11	9,691 89	3,250 18	50 46%	L
UNTD NAT FOODS INC	911163103	141	08/04/09	3,816 59	06/09/11	5,741 83	1,925 24	50 44%	L
UNTD TECHNOLOGIES CORP	913017109	322	07/30/09	17,613 24	08/31/11	24,082 30	6,469 06	36 73%	L
UNTD TECHNOLOGIES CORP	913017109	355	08/04/09	19,414 60	08/31/11	26,550 36	7,135 76	36 75%	L
US TSY INFL PROT BOND 03 625 % DUE 04/15/28 I	912810FD5	24,000	09/09/10	44,436 82	08/05/11	48,224 20	3,787 38	8 52%	S
US TSY INFL PROT BOND 03 625 % DUE 04/15/28 I	912810FD5	35,000	09/09/10	62,754.58	01/27/11	59,829 24	(2,925.34)	-4 66%	S
US TSY INFL PROT BOND 03 625 % DUE 04/15/28 I	912810FD5	55,000	10/12/10	105,607 02	08/05/11	110,513 80	4,906 78	4 65%	S
US TSY INFL PROT BOND 03 625 % DUE 04/15/28 I	912810FD5	2,000	11/29/10	3,763.75	08/05/11	4,018 68	254 93	6 77%	S
US TSY INFL PROT NOTE 02 375 % DUE 04/15/11 F	912828FB1	231,000	08/05/09	262,246 38	01/27/11	257,038 36	(5,208 02)	-1 99%	L
US TSY INFL PROT NOTE 02 375 % DUE 04/15/11 F	912828FB1	164,000	08/05/09	187,835 49	04/15/11	182,377 84	(5,457 65)	-2 91%	L
US TSY INFL PROT NOTE 02 375 % DUE 04/15/11 F	912828FB1	18,000	09/17/09	20,642 61	04/15/11	20,017 08	(625 53)	-3 03%	L
US TSY INFL PROT NOTE 02 375 % DUE 04/15/11 F	912828FB1	63,000	12/28/09	72,216 31	04/15/11	70,059 78	(2,156 53)	-2 99%	L
US TSY INFL PROT NOTE 02 375 % DUE 04/15/11 F	912828FB1	195,000	05/26/10	220,527 99	04/15/11	216,851 70	(3,676 29)	-1 67%	S
US TSY INFL PROT NOTE 02 375 % DUE 04/15/11 F	912828FB1	2,000	11/29/10	2,244 98	04/15/11	2,224 12	(20 86)	-0 93%	S
US TSY INFL PROT NOTE 03 000 % DUE 07/15/12 F	912828AF7	18,000	12/28/09	23,597 25	01/27/11	23,320 36	(276 89)	-1 17%	L
US TSY INFL PROT NOTE 03 000 % DUE 07/15/12 F	912828AF7	211,000	05/27/10	281,419 53	08/05/11	273,996 31	(7,423 22)	-2 64%	L
US TSY INFL PROT NOTE 03 000 % DUE 07/15/12 F	912828AF7	95,000	05/27/10	122,698 35	01/27/11	123,079 69	381 34	0 31%	S
US TSY INFL PROT NOTE 03 000 % DUE 07/15/12 F	912828AF7	2,000	11/29/10	2,662 09	08/05/11	2,597 12	(64 97)	-2 44%	S
US TSY INFL PROT NOTE 03 000 % DUE 07/15/12 F	912828AF7	46,000	03/29/11	61,948 22	08/05/11	59,733 79	(2,214 43)	-3 57%	S
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	96,000	04/06/10	95,587 50	01/27/11	96,585 00	997 50	1 04%	S
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	31,000	05/13/10	31,049 66	01/27/11	31,188 91	139 25	0 45%	S
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	217,000	06/02/10	217,542 50	08/05/11	217,974 81	432 31	0 20%	L
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	68,000	06/02/10	68,170 00	01/27/11	68,414 38	244 38	0 36%	S
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	157,000	09/14/10	158,110 04	08/05/11	157,705 27	(404 77)	-0 26%	S
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	1,000	11/29/10	1,006 45	08/05/11	1,004 49	(1 96)	-0 19%	S
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	3,000	03/29/11	3,015 94	08/05/11	3,013 48	(2 46)	-0 08%	S
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	10,000	05/10/11	10,057 03	08/05/11	10,044 92	(12 11)	-0 12%	S
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	1,000	06/14/11	1,005 08	08/05/11	1,004 49	(0 59)	-0 06%	S
US TSY NOTE 00 875 % DUE 02/29/12 DTD 0	912828MQ(	3,000	07/26/11	3,012 77	08/05/11	3,013 48	0 71	0 02%	S
US TSY NOTE 01 375 % DUE 03/15/13 DTD 0	912828MT4	78,000	03/26/10	77,427 19	08/05/11	79,395 47	1,968 28	2 54%	L
US TSY NOTE 01 375 % DUE 03/15/13 DTD 0	912828MT4	39,000	03/26/10	38,713 60	01/27/11	39,603 28	889 68	2 30%	S
US TSY NOTE 01 375 % DUE 03/15/13 DTD 0	912828MT4	2,000	05/10/11	2,030 70	08/05/11	2,035 78	5 08	0 25%	S
US TSY NOTE 01 375 % DUE 03/15/13 DTD 0	912828MT4	1,000	07/26/11	1,016 29	08/05/11	1,017 89	1 60	0 16%	S
US TSY NOTE 02 375 % DUE 07/31/17 DTD 0	912828NR7	224,000	08/13/10	228,375 00	01/27/11	221,060 00	(7,315 00)	-3 20%	S
US TSY NOTE 02 375 % DUE 07/31/17 DTD 0	912828NR7	585,000	08/17/10	597,385 55	02/04/11	567,907 03	(29,478 52)	-4 93%	S
US TSY NOTE 02 375 % DUE 07/31/17 DTD 0	912828NR7	59,000	08/17/10	60,249 14	01/27/11	58,225 63	(2,023 51)	-3 36%	S
US TSY NOTE 02 375 % DUE 07/31/17 DTD 0	912828NR7	14,000	11/29/10	14,245 06	02/04/11	13,590 94	(654 12)	-4 59%	S
US TSY NOTE 02 375 % DUE 10/31/14 DTD 1	912828LS7	61,000	08/20/10	63,999 96	01/27/11	63,270 82	(729 14)	-1 14%	S
US TSY NOTE 02 375 % DUE 10/31/14 DTD 1	912828LS7	110,000	09/14/10	115,349 61	01/27/11	114,094 93	(1,254 68)	-1 09%	S
US TSY NOTE 02 375 % DUE 10/31/14 DTD 1	912828LS7	319,000	09/14/10	334,513 87	02/10/11	326,576 25	(7,937 62)	-2 37%	S
US TSY NOTE 02 375 % DUE 10/31/14 DTD 1	912828LS7	10,000	10/12/10	10,599 61	02/10/11	10,237 50	(362 11)	-3 42%	S
US TSY NOTE 02 375 % DUE 10/31/14 DTD 1	912828LS7	10,000	11/10/10	10,559 41	02/10/11	10,237 50	(321 91)	-3 05%	S
US TSY NOTE 02 375 % DUE 10/31/14 DTD 1	912828LS7	3,000	11/29/10	3,147 30	02/10/11	3,071 25	(76 05)	-2 42%	S
US TSY NOTE 02 500 % DUE 01/15/29 FACTC	912810PZ5	86,000	09/14/10	106,252 45	08/05/11	115,099 11	8,846 66	8 33%	S
US TSY NOTE 02 500 % DUE 01/15/29 FACTC	912810PZ5	37,000	09/14/10	44,267 56	01/27/11	41,720 24	(2,547 32)	-5 75%	S
US TSY NOTE 02 500 % DUE 01/15/29 FACTC	912810PZ5	1,000	11/29/10	1,250 29	08/05/11	1,338 36	88 07	7 04%	S
US TSY NOTE 02 500 % DUE 01/15/29 FACTC	912810PZ5	1,000	03/29/11	1,184 85	08/05/11	1,338.36	153 51	12 96%	S
US TSY NOTE 02 500 % DUE 01/15/29 FACTC	912810PZ5	59,000	07/15/11	74,257 43	08/05/11	78,963 35	4,705 92	6 34%	S
US TSY NOTE 02 500 % DUE 01/15/29 FACTC	912810PZ5	133,000	08/03/11	176,265 56	08/05/11	178,002 12	1,736 56	0 99%	S
US TSY NOTE 02 500 % DUE 06/30/17 DTD 0	912828NK2	116,000	08/19/10	119,942 19	02/09/11	113,217 89	(6,724 30)	-5 61%	S
US TSY NOTE 02 500 % DUE 06/30/17 DTD 0	912828NK2	56,000	08/19/10	57,903 13	01/27/11	55,831 56	(2,071 57)	-3 58%	S
US TSY NOTE 02 500 % DUE 06/30/17 DTD 0	912828NK2	3,000	11/29/10	3,079 93	02/09/11	2,928 05	(151 88)	-4 93%	S
US TSY NOTE 04 000 % DUE 02/15/15 DTD 0	912828DM9	130,000	10/29/09	139,546 88	01/27/11	142,705 47	3,158 59	2 26%	L
US TSY NOTE 04 000 % DUE 02/15/15 DTD 0	912828DM9	158,000	12/28/09	168,498 36	02/01/11	173,479 07	4,980 71	2 96%	L
US TSY NOTE 04 000 % DUE 02/15/15 DTD 0	912828DM9	13,000	12/28/09	13,863 79	01/27/11	14,270 55	406 76	2 93%	L
US TSY NOTE 04 000 % DUE 02/15/15 DTD 0	912828DM9	125,000	12/30/09	133,374 52	02/01/11	137,246 10	3,871 58	2 90%	L
US TSY NOTE 04 000 % DUE 02/15/15 DTD 0	912828DM9	4,000	11/29/10	4,457 19	02/01/11	4,391 88	(65 31)	-1 47%	S
VIACOM INC NEW CL B	92553P201	575	03/16/11	25,217 60	08/31/11	28,174 91	2,957 31	11 73%	S
VODAFONE GROUP PLC NEW SPON ADR	92857W209	819	08/04/09	17,435 37	08/31/11	21,615 86	4,180 49	23 98%	L
WABTEC INC	929740108	215	07/30/09	7,406 75	06/09/11	13,897 80	6,491 05	87.64%	L
WABTEC INC	929740108	59	07/30/09	2,032 55	03/28/11	3,802 29	1,769 74	87 07%	L
WABTEC INC	929740108	140	08/04/09	4,799.20	06/09/11	9,049 73	4,250 53	88 57%	L
WALGREEN CO	931422109	974	10/13/10	34,240 78	03/02/11	40,446 42	6,205 64	18 12%	S
WALGREEN CO	931422109	2	10/19/10	67 58	03/02/11	83 05	15 47	22 89%	S
WALGREEN CO	931422109	972	10/20/10	33,235 01	03/02/11	40,363 37	7,128 36	21 45%	S
WALT DISNEY CO (HOLDING CO) DISNEY COM	254687106	1,590	08/04/09	40,668.23	07/27/11	62,818 73	22,150 50	54 47%	L
WALT DISNEY CO (HOLDING CO) DISNEY COM	254687106	575	08/04/09	14,707 06	07/14/11	22,775 08	8,068 02	54 86%	L
WALT DISNEY CO (HOLDING CO) DISNEY COM	254687106	297	10/15/09	8,635 78	07/27/11	11,734 07	3,098 29	35 88%	L
WATTS WATER TECHNOLOGIES INC CL A	942749102	211	07/30/09	5,764 10	06/09/11	6,929 36	1,165 26	20.22%	L
WATTS WATER TECHNOLOGIES INC CL A	942749102	45	08/04/09	1,243 76	06/09/11	1,477 82	234 06	18 82%	L
WEATHERFORD INTL LTD CHF	H27013103	595	04/30/10	10,933 07	08/11/11	10,305 74	(627 33)	-5 74%	L
WELLS FARGO & CO NEW	949746101	112	08/04/09	2,954 45	05/04/11	3,235 72	281 27	9 52%	L

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10- 11/30/11

TIN: 04-6470644

STATEMENT 3

PART I, LINE 6

DIVIDENDS & INTEREST FROM SECURITIES

DESCRIPTION		CUSIP	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
WELLS FARGO & CO NEW		949746101	1,181	08/04/09	31,153 60	03/02/11	37,433 08	6,279 48	20 16%	L
WELLS FARGO & CO NEW		949746101	1,074	08/04/09	28,331 05	02/02/11	35,302 45	6,971 40	24 61%	L
WELLS FARGO & CO NEW		949746101	452	10/15/09	14,128 39	05/04/11	13,058 43	(1,069.96)	-7 57%	L
WELLS FARGO & CO NEW		949746101	451	12/16/09	11,742 06	05/11/11	12,701 27	959 21	8 17%	L
WELLS FARGO & CO NEW		949746101	730	12/16/09	19,005 99	05/04/11	21,089 95	2,083 96	10 96%	L
WELLS FARGO & CO NEW		949746101	712	03/11/10	21,034 83	05/11/11	20,051 67	(983 16)	-4 67%	L
WELLS FARGO & CO NEW		949746101	673	07/14/10	18,627 29	05/11/11	18,953 33	326 04	1 75%	S
WEST PHARMACEUTICAL	SERVICES INC	955306105	219	07/30/09	8,025 58	06/09/11	9,592 01	1,566 43	19 52%	L
WEST PHARMACEUTICAL	SERVICES INC	955306105	105	08/04/09	4,201 05	06/09/11	4,598 91	397 86	9 47%	L
WILEY JOHN & SONS INC	CL A	968223206	257	07/30/09	8,475 80	06/09/11	12,807 22	4,331 42	51 10%	L
WILEY JOHN & SONS INC	CL A	968223206	59	08/04/09	1,839 10	09/13/11	2,691 34	852 24	46 34%	L
WILEY JOHN & SONS INC	CL A	968223206	177	08/04/09	5,517 30	06/09/11	8,820 53	3,303 23	59 87%	L
WILSHIRE BANCORP INC		97186T108	36	10/01/09	255 22	03/18/11	176 53	(78 69)	-30 83%	L
WILSHIRE BANCORP INC		97186T108	52	10/02/09	370 40	03/18/11	254 99	(115 41)	-31 16%	L
WILSHIRE BANCORP INC		97186T108	34	10/05/09	246 47	03/18/11	166 73	(79 74)	-32 35%	L
WILSHIRE BANCORP INC		97186T108	233	10/06/09	1,791 77	03/18/11	1,142 56	(649 21)	-36 23%	L
WILSHIRE BANCORP INC		97186T108	144	10/07/09	1,092 96	03/18/11	706 13	(386 83)	-35 39%	L
WILSHIRE BANCORP INC		97186T108	51	10/12/09	393 14	03/18/11	250 09	(143 05)	-36 39%	L
WILSHIRE BANCORP INC		97186T108	11	10/13/09	82 06	03/18/11	53 94	(28 12)	-34 27%	L
WILSHIRE BANCORP INC		97186T108	87	10/15/09	647 28	03/18/11	426 62	(220 66)	-34 09%	L
WILSHIRE BANCORP INC		97186T108	125	11/20/09	830 98	03/18/11	612 96	(218 02)	-26 24%	L
WILSHIRE BANCORP INC		97186T108	88	11/23/09	604 10	03/18/11	431 53	(172 57)	-28 57%	L
WILSHIRE BANCORP INC		97186T108	143	11/24/09	980 09	03/21/11	696 42	(283 67)	-28 94%	L
WILSHIRE BANCORP INC		97186T108	26	11/24/09	178 20	03/18/11	127 50	(50 70)	-28 45%	L
WILSHIRE BANCORP INC		97186T108	53	11/25/09	369 69	03/21/11	258 12	(111 57)	-30 18%	L
WILSHIRE BANCORP INC		97186T108	105	11/30/09	720 66	03/21/11	511 36	(209 30)	-29 04%	L
WILSHIRE BANCORP INC		97186T108	17	11/30/09	116 68	03/22/11	82 93	(33 75)	-28 93%	L
WILSHIRE BANCORP INC		97186T108	144	12/01/09	1,033 13	03/22/11	702 43	(330 70)	-32 01%	L
WILSHIRE BANCORP INC		97186T108	61	12/02/09	447 34	03/22/11	297 56	(149 78)	-33 48%	L
WILSHIRE BANCORP INC		97186T108	17	12/03/09	127 56	03/22/11	82 93	(44 63)	-34 99%	L
WILSHIRE BANCORP INC		97186T108	5	12/03/09	37 52	03/23/11	23 98	(13 54)	-36 09%	L
WILSHIRE BANCORP INC		97186T108	53	12/14/09	393 77	03/23/11	254 23	(139 54)	-35 44%	L
WILSHIRE BANCORP INC		97186T108	192	12/15/09	1,434 97	03/23/11	920 99	(513 98)	-35 82%	L
WILSHIRE BANCORP INC		97186T108	129	12/16/09	955 34	03/23/11	618 79	(336 55)	-35 23%	L
WILSHIRE BANCORP INC		97186T108	3	12/16/09	22 22	03/24/11	14 51	(7 71)	-34 70%	L
WILSHIRE BANCORP INC		97186T108	123	12/17/09	897 26	03/24/11	594 81	(302 45)	-33 71%	L
WILSHIRE BANCORP INC		97186T108	36	12/18/09	268 25	03/24/11	174 09	(94 16)	-35 10%	L
WRIGHT EXPRESS CORP		98233Q10Σ	51	03/04/11	2,641 06	06/09/11	2,540 41	(100 65)	-3 81%	S
WRIGHT EXPRESS CORP		98233Q10Σ	98	03/07/11	4,978 65	06/09/11	4,881 58	(97 07)	-1 95%	S
WRIGHT EXPRESS CORP		98233Q10Σ	33	03/08/11	1,717 37	06/09/11	1,643 80	(73 57)	-4 28%	S
WRIGHT EXPRESS CORP		98233Q10Σ	15	03/09/11	789 73	06/09/11	747 18	(42 55)	-5 39%	S
WRIGHT MEDICAL GROUP INC		98235T107	244	04/07/10	4,320 78	05/11/11	3,781 14	(539.64)	-12 49%	L
WRIGHT MEDICAL GROUP INC		98235T107	198	04/07/10	3,506 20	05/10/11	3,089 02	(417 18)	-11 90%	L
WRIGHT MEDICAL GROUP INC		98235T107	146	04/08/10	2,587 41	05/11/11	2,262 49	(324 92)	-12 56%	L
ZOLL MEDICAL CORP		989922109	123	07/30/09	2,300 25	06/09/11	7,066 33	4,766 08	207 20%	L
ZOLL MEDICAL CORP		989922109	26	08/04/09	485 71	06/09/11	1,493 70	1,007 99	207 53%	L
3M CO		88579Y101	134	07/30/09	9,393 33	08/31/11	11,144 03	1,750 70	18 64%	L
3M CO		88579Y101	275	08/04/09	19,766 87	08/31/11	22,870 20	3,103 33	15 70%	L
					142,181,007 69		145,489,152 66	3,308,144 97		

NEW BALANCE FOUNDATION TIN: 04-6470644
FORM 990-PF
TAX YEAR 12/01/10 - 11/30/11 STATEMENT 4

PART I, LINE 18 - TAXES

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	CHARITABLE PURPOSES
FOREIGN TAX PAID	1,010	
MASS ANNUAL REPORT FEE		328

NEW BALANCE FOUNDATION
FORM 990-PF
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TIN: 04-6470644

STATEMENT 5

PART I, LINE 23 - OTHER EXPENSES

DESCRIPTION	REVENUE & EXPENSES PER BOOKS	NET INVESTMENT INCOME
UBS FEES	129,404	129,404
	129,404	129,404

NEW BALANCE FOUNDATION TIN: 04-6470644
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TAX YEAR 12/01/10 - 11/30/11 STATEMENT 6

PART II, LINE 10b - INVESTMENTS

DESCRIPTION	ENDING BOOK VALUE	ENDING FAIR MARKET VALUE
UBS:		
Foundation Main	99,473,665	95,688,490
Strategic Advantage	1,801,477	1,112,324
MFS Large Cap Value	4,701,387	4,847,041
Anchor Mid Cap Value	1,829,732	1,985,544
Boston Trust Small Cap	1,287,883	1,412,872
Equity Income	3,796,464	3,975,273
	112,890,608	109,021,545

NEW BALANCE FOUNDATION TIN: 04-6470644
FORM 990-PF
TAX YEAR 12/01/10 - 11/30/11 STATEMENT 6A

PART II, LINE 13 - INVESTMENTS - OTHER

DESCRIPTION	ENDING BOOK VALUE	ENDING FAIR MARKET VALUE
ADVEST	430,608	514,952
	430,608	514,952

NEW BALANCE FOUNDATION TIN: 04-6470644
FORM 990-PF
TAX YEAR 12/01/10 - 11/30/11 STATEMENT 6B

PART II, LINE 22 - OTHER LIABILITIES

DESCRIPTION	ENDING BOOK VALUE	ENDING FAIR MARKET VALUE
TEMPORARY MARGIN LOAN	187,220	187,220
	187,220	187,220

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10 - 11/30/11

TIN: 04-6470644

STATEMENT 7

PART VIII, LIST OF DIRECTORS & OFFICERS

NAME & ADDRESS	TITLE	TIME DEVOTED	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCOUNT & OTHER ALLOWANCES
ANNE M. DAVIS 20 GUEST STREET BOSTON, MA 02135	TRUSTEE	PART TIME = 3.0 hours per week	NONE	NONE	NONE
JAMES S. DAVIS 20 GUEST STREET BOSTON, MA 02135	TRUSTEE	PART TIME = 0.25 hours per week	NONE	NONE	NONE
PAUL R. GAURON 20 GUEST STREET BOSTON, MA 02135	TRUSTEE	PART TIME = 0.25 hours per week	NONE	NONE	NONE

NEW BALANCE FOUNDATION
FORM 990-PF
TAX YEAR 12/01/10 - 11/30/11

TIN: 04-6470644

STATEMENT 8

PART XV - GRANTS AND CONTRIBUTIONS PAID

	AMOUNT
AfterSchool Partners	$5,000.00
Alfond Youth Centre	$75,000.00
Alzheimer's Association-Mass Chapter	$25,000.00
American Red Cross	$90,000.00
American Red cross	$20,000.00
Berklee College of Music	$11,500.00
Bloomfield Elementary School	$12,300.00
Boston Medical Center	$75,000.00
Boston Symphony Orchestra	$11,072.00
Boys & Girls Club of Dorchester	$10,000.00
Brighton Main Streets	$15,000.00
Build	$225.00
Camp Harborview Foundation, Inc	$35,000.00
Camp Sunshine	$50,000.00
Canaan Elementary School	$11,750.00
Casa Myrna Vasquez	$20,000.00
Charles River conservancy	$250.00
Charles River Watershed Association	$5,000.00
Children's Hospital Boston	$1,600,000.00
Class Inc	$25,000.00
Community Rowing, Inc	$30,000.00
Cradles to Crayons	$15,000.00
Dana Farber Cancer Institute	$25,000.00
Esperanza Academy	$15,000.00
Essex Art Center	$10,000.00
Family Nurturing Center of Massachusetts	$25,000.00
Family Service Inc	$15,000.00
Francisacn Hospital for Children	$250,000.00
Good Shepherd Food Bank	$25,000.00
Good Will-Hinckley	$10,000.00
Goodsports, Inc	$25,000.00
Greater Lawrence Community Boating	$10,000.00
Greater Lawrence Family Health Center	$95,000.00
Groundworks Lawrence	$50,000.00
Habitat for Humanity Greater Boston	$2,000.00
Haley House	$15,000.00
Harvard Medical School Health Center	$10,000.00
Jeanne Geiger Crisis Center, Inc	$1,250.00
Jobs for Maine Graduates	$10,000.00
Joseph M Smith Community Health Center	$10,000.00
Jumpstart	$10,000.00
Juvenile Diabetes Research Foundation	$12,500.00
Kid2Kid	$350,000.00
Lawrence Boys & Girls Club, Inc	$150,000.00
Lawrence Community Works, Inc	$25,000.00
Lawrence General Hospital	$50,000.00
Lazarus House	$25,000.00

NEW BALANCE FOUNDATION **TIN: 04-6470644**
FORM 990-PF
TAX YEAR 12/01/10 - 11/30/11 **STATEMENT 8**
PART XV - GRANTS AND CONTRIBUTIONS PAID

	AMOUNT
Maine General Health	$10,000.00
Merrimack Valley Habitat for Humanity	$2,000.00
Merrimack Valley YMCA	$20,000.00
Merrimack Valley YMCA	$5,000.00
MetroLacrosse Inc	$200,000.00
Mill Street Elementary School	$15,250.00
Museum of Fine Arts	$13,380.00
Neighbors In Need	$1,000.00
Never Say Never Foundation	$5,000.00
New England Aquarium	$25,000.00
New England Baptist Hospital	$10,000.00
North Elementary School	$25,000.00
North Elementary School	$2,100.00
Northeastern University	$50,000.00
Perkins School for the Blind	$10,000.00
PlayWorks	$600,000.00
Presentation School Foundation	$200,000.00
ReadBoston	$10,000.00
Redington Fairview Hospital	$236,007.00
Rosie's Place	$60,000.00
Share Our Strength	$15,000.00
Skowhegan E Development Center	$5,000.00
South Lawrence East Little League	$3,000.00
Special Olympics Massachusetts, Inc	$25,000.00
Squashbusters	$20,000.00
St. Francis House	$10,000.00
Tenacity, Inc	$125,000.00
The Barbara Bush Children's Hospital	$140,000.00
The Children's Museum Boston	$16,746.00
The Fishing Academy	$5,000.00
The Food Project	$15,000.00
The Gerald J. & Dorothy R. Freidman Ctr at Tufts	$500,000.00
The Greater Boston Food Bank	$10,000.00
The Maine Children's Home for Little Wanderer's	$30,000.00
The Town of Norway	$5,000.00
The Upham's Corner Community Center	$10,000.00
Third Sector New England, Inc	$20,000.00
Trustees of Boston College	$350,000.00
Two/Ten International Fottwear Foundation	$117,000.00
Victory Programs	$15,000.00
West End Boys & Girls Club	$150,000.00
Western Maine Health	$60,000.00
Winterkids Education Foundation	$15,000.00
YMCA of Greater Boston-Oak Square Branch	$50,000.00
Youth Enrichmant Services	$7,500.00
	$6,586,830.00