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 12/01 , 2010, and ending 11/30, 2011

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

Name of foundation
31-C7B007575005 THE RICHARD AND SUSAN BRADDOCK FAMILY FOUNDATION, INC.

A Employer identification number
06-1565971

Number and street (or P O box number if mail is not delivered to street address) — Room/suite
10 GRACIE SQUARE APT. 9F

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

City or town, state, and ZIP code
NEW YORK, NY 10028

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: [X] 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)* ▶ $ 8,247,329.

J Accounting method: [X] Cash [ ] Accrual
[ ] Other (specify) ________
(Part I, column (d) must be on cash basis.)

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

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Check ▶ [X] if the foundation is **not** required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities	168,482.	170,989.		STMT 1
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	760,748.			
	b Gross sales price for all assets on line 6a 9,057,480.				
	7 Capital gain net income (from Part IV, line 2)		677,412.		
	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)	78,569.	78,569.		STMT 2
	12 **Total.** Add lines 1 through 11	1,007,799.	926,970.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	35,000.			35,000.
	14 Other employee salaries and wages		NONE	NONE	
	15 Pension plans, employee benefits		NONE	NONE	
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule) STMT 3	5,000.	NONE	NONE	5,000.
	c Other professional fees (attach schedule) STMT 4	50,230.	50,230.		
	17 Interest				
	18 Taxes (attach schedule) (see page 14 of the instructions) STMT 5	1,400.	1,927.		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings		NONE	NONE	
	22 Printing and publications		NONE	NONE	
	23 Other expenses (attach schedule) STMT 6	193.	193.		
	24 **Total operating and administrative expenses.** Add lines 13 through 23	91,823.	52,350.	NONE	40,000.
	25 Contributions, gifts, grants paid	736,000.			736,000.
	26 **Total expenses and disbursements** Add lines 24 and 25	827,823.	52,350.	NONE	776,000.
	27 Subtract line 26 from line 12:				
	a **Excess of revenue over expenses and disbursements**	179,976.			
	b **Net investment income** (if negative, enter -0-)		874,620.		
	c **Adjusted net income** (if negative, enter -0-)				

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Part II Balance Sheets	Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets 1	Cash - non-interest-bearing	879,390.		
2	Savings and temporary cash investments		852,081.	852,081.
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 ▶ NONE			
8	Inventories for sale or use			
9	Prepaid expenses and deferred charges			
10 a	Investments - U.S and state government obligations (attach schedule) STMT 7		489,476.	499,361.
b	Investments - corporate stock (attach schedule) STMT 8	4,145,588.	4,675,993.	5,050,820.
c	Investments - corporate bonds (attach schedule) STMT 9	4,059,612.	1,823,206.	839,384.
11	Investments - land, buildings, and equipment, basis ▶ Less accumulated depreciation (attach schedule) ▶			
12	Investments - mortgage loans			
13	Investments - other (attach schedule) STMT 10	750,000.	1,850,740.	1,005,683.
14	Land, buildings, and equipment, basis ▶ Less accumulated depreciation (attach schedule) ▶			
15	Other assets (describe ▶)			
16	**Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	9,834,590.	9,691,496.	8,247,329.
Liabilities 17	Accounts payable and accrued expenses			
18	Grants payable			
19	Deferred revenue			
20	Loans from officers, directors, trustees, and other disqualified persons			
21	Mortgages and other notes payable (attach schedule)			
22	Other liabilities (describe ▶)			
23	**Total liabilities** (add lines 17 through 22)			
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. ▶ X			
27	Capital stock, trust principal, or current funds			
28	Paid-in or capital surplus, or land, bldg, and equipment fund			
29	Retained earnings, accumulated income, endowment, or other funds	9,834,590.	9,691,496.	
30	**Total net assets or fund balances** (see page 17 of the instructions)	9,834,590.	9,691,496.	
31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	9,834,590.	9,691,496.	

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	9,834,590.
2	Enter amount from Part I, line 27a	2	179,976.
3	Other increases not included in line 2 (itemize) ▶ SEE STATEMENT 11	3	86,520.
4	Add lines 1, 2, and 3	4	10,101,086.
5	Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 12	5	409,590.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	9,691,496.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P-Purchase D-Donation	(c) Date acquired (mo., day, yr)	(d) Date sold (mo , day, yr.)
1a	SEE PART IV DETAIL SCH. D			
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				(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col (h))
	(i) F.M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				
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	677,412.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions). If (loss), enter -0- in Part I, line 8		3	

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2009	2,120,793.	8,452,439.	0.25090899798
2008	1,684,775.	7,913,994.	0.21288555437
2007	1,063,655.	11,885,378.	0.08949273637
2006	401,003.	12,183,576.	0.03291340736
2005	379,155.	10,386,744.	0.03650373977

2	**Total** of line 1, column (d)	2	0.62270443585
3	Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.12454088717
4	Enter the net value of noncharitable-use assets for 2010 from Part X, line 5	4	10,073,200.
5	Multiply line 4 by line 3	5	1,254,525.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	8,746.
7	Add lines 5 and 6	7	1,263,271.
8	Enter qualifying distributions from Part XII, line 4	8	776,000.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter ____ (attach copy of ruling letter if necessary - see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b		1	17,492.
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	17,492.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	NONE
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-		5	17,492.
6	Credits/Payments:			
a	2010 estimated tax payments and 2009 overpayment credited to 2010	6a 11,859.		
b	Exempt foreign organizations-tax withheld at source	6b NONE		
c	Tax paid with application for extension of time to file (Form 8868)	6c 17,350.		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d		7	29,209.
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	11,717.
11	Enter the amount of line 10 to be: **Credited to 2011 estimated tax** ▶ 11,717. **Refunded** ▶		11	

Part VII-A Statements Regarding Activities

		Line	Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		X
	If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ▶ $ ____ (2) On foundation managers ▶ $ ____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ ____			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	N/A	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ STMT 13			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2010 or the taxable year beginning in 2010 (see instructions for Part XIV on page 27)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		X

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

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

Website address ▶ N/A

14 The books are in care of ▶ SEE STATEMENT 14 Telephone no. ▶

Located at ▶ ZIP + 4 ▶

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

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

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

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

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

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

			Yes	No
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 22 of the instructions)?	1b		X
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2010?	1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
a	At the end of tax year 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? ☐ Yes ☒ No			
	If "Yes," list the years ▶ , , ,			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see page 22 of the instructions.)	2b	N/A	
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ , , ,			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2010 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010.)*	3b	N/A	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2010?	4b		X

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** N/A
Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No
If "Yes," attach the statement required by Regulations section 53.4945-5(d).

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No: X
If "Yes" to 6b, file Form 8870.

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

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

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 15		35,000.	-0-	-0-

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

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

Part IX-A **Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 NONE	
2	
3	
4	

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	9,234,513.
b	Average of monthly cash balances	1b	992,086.
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	10,226,599.
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	10,226,599.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions)	4	153,399.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	10,073,200.
6	**Minimum investment return.** Enter 5% of line 5	6	503,660.

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	503,660.
2a	Tax on investment income for 2010 from Part VI, line 5	2a	17,492.		
b	Income tax for 2010. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	17,492.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	486,168.
4	Recoveries of amounts treated as qualifying distributions			4	NONE
5	Add lines 3 and 4			5	486,168.
6	Deduction from distributable amount (see page 25 of the instructions)			6	NONE
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	486,168.

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	776,000.
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	NONE
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	NONE
b	Cash distribution test (attach the required schedule)	3b	NONE
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	776,000.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see page 26 of the instructions)	5	N/A
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	776,000.

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				486,168.
2	Undistributed income, if any, as of the end of 2010:				
a	Enter amount for 2009 only			NONE	
b	Total for prior years: 20 08 ,20 07 ,20		NONE		
3	Excess distributions carryover, if any, to 2010:				
a	From 2005 ...... NONE				
b	From 2006 ...... NONE				
c	From 2007 ...... 112,374.				
d	From 2008 ...... 1,294,655.				
e	From 2009 ...... 1,712,253.				
f	**Total** of lines 3a through e	3,119,282.			
4	Qualifying distributions for 2010 from Part XII, line 4: ▶ $ 776,000.				
a	Applied to 2009, but not more than line 2a			NONE	
b	Applied to undistributed income of prior years (Election required - see page 26 of the instructions)		NONE		
c	Treated as distributions out of corpus (Election required - see page 26 of the instructions)	NONE			
d	Applied to 2010 distributable amount				486,168.
e	Remaining amount distributed out of corpus	289,832.			
5	Excess distributions carryover applied to 2010 *(If an amount appears in column (d), the same amount must be shown in column (a).)*	NONE			NONE
6	**Enter the net total of each column as indicated below:**				
a	Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	3,409,114.			
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		NONE		
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			NONE	
f	Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011				NONE
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)	NONE			
8	Excess distributions carryover from 2005 not applied on line 5 or line 7 (see page 27 of the instructions)	NONE			
9	**Excess distributions carryover to 2011.** Subtract lines 7 and 8 from line 6a	3,409,114.			
10	Analysis of line 9:				
a	Excess from 2006 ... NONE				
b	Excess from 2007 ... 112,374.				
c	Excess from 2008 ... 1,294,655.				
d	Excess from 2009 ... 1,712,253.				
e	Excess from 2010 ... 289,832.				

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

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

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

1 Information Regarding Foundation Managers:

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

SEE STATEMENT 16

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

NONE

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

Check here ▶ [X] 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 19				
Total . . . . ▶ **3a**				736,000.
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions.)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	168,482.	
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	760,748.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue: a					
b MISC RECEIPT			01	78,569.	
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)				1,007,799.	

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 1,007,799.

(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.)
	NOT APPLICABLE

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

Signature of officer or trustee — Date 10/15/12 — Title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
JEFFREY E. KUHLIN		10/12/2012		P00353001

Firm's name ▶ KPMG LLP — Firm's EIN ▶ 13-5565207

Firm's address ▶ 100 WESTMINSTER ST, 6TH FL, SUITE A
PROVIDENCE, RI 02903-2321 — Phone no. 800-770-8444

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

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
DIVIDENDS AND INTEREST		168,482.	170,989.
	TOTAL	168,482.	170,989.

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
MISC RECIEPT - BANK NY MELLON	78,569.	78,569.
TOTALS	78,569.	78,569.

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
GELLER FAMILY OFFICE SERVICES	5,000.			5,000.
TOTALS	5,000.	NONE	NONE	5,000.

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
INVESTMENT MGMT - CITIBANK	39,173.	39,173.
INVESTMENT MGMT - US TRUST	2,885.	2,885.
INVESTMENT MGMT - MSSB	8,172.	8,172.
TOTALS	50,230.	50,230.

FORM 990PF, PART I - TAXES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
FOREIGN TAXES	1,400.	1,927.
TOTALS	1,400.	1,927.

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
ADR FOREIGN FEES	193.	193.
TOTALS	193.	193.

FORM 990PF, PART II - U.S. AND STATE OBLIGATIONS

DESCRIPTION	ENDING BOOK VALUE	ENDING FMV
SEE ATTACHED STATEMENT	489,476.	499,361.
TOTALS	489,476.	499,361.

FORM 990PF, PART II - CORPORATE STOCK

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
SEE ATTACHED STATEMENT	4,145,588.	4,675,993.	5,050,820.
TOTALS	4,145,588.	4,675,993.	5,050,820.

FORM 990PF, PART II - CORPORATE BONDS

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
SEE ATTACHED STATEMENT	4,059,612.	1,823,206.	839,384.
TOTALS	4,059,612.	1,823,206.	839,384.

FORM 990PF, PART II - OTHER INVESTMENTS

DESCRIPTION	COST/ FMV C OR F	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
GMAC G STAR	C	750,000.	750,000.	75.
SEE ATTACHED SCHEDULE	C		1,100,740.	1,005,608.
TOTALS		750,000.	1,850,740.	1,005,683.

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

DESCRIPTION	AMOUNT
ACL ALT FUND ADJ CUSIP 415990415	5,305.
TO RECORD TAX BASIS FOR CITI STOCK SALE	81,215.
TOTAL	86,520.

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

DESCRIPTION	AMOUNT
ACL ALT FUND ADJ CUSIP 715992830	4,565.
TO ADJ TAX COST OF MSSB ACCT ON US TRUST BOOKS	405,025.
TOTAL	409,590.

STATE(S) WHERE THE FOUNDATION IS REGISTERED
NY

FORM 990PF, PART VII-A, LINE 14 - BOOKS ARE IN THE CARE OF
==

NAME: CITIBANK, N.A.

ADDRESS: TWO COURT SQUARE, 8TH FLOOR
LONG ISLAND CITY, NY 11120

TELEPHONE NUMBER: (800)770-8444

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

OFFICER NAME:
SUSAN BRADDOCK
ADDRESS:
TWO COURT SQUARE 8TH FLOOR
LONG ISLAND CITY, NY 11120
TITLE:
DIRECTOR
AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 2

OFFICER NAME:
JENNIFER BRADDOCK GERBER
ADDRESS:
TWO COURT SQUARE 8TH FLOOR
LONG ISLAND CITY, NY 11120
TITLE:
PRESIDENT
AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 20
COMPENSATION .... 35,000.

OFFICER NAME:
RICHARD BRADDOCK
ADDRESS:
TWO COURT SQUARE 8TH FLOOR
LONG ISLAND CITY, NY 11120
TITLE:
DIRECTOR
AVERAGE HOURS PER WEEK DEVOTED TO POSITION: 2

TOTAL COMPENSATION: 35,000.

FORM 990PF, PART XV - INFORMATION REGARDING FOUNDATION MANAGERS
===

RICHARD S. BRADDOCK
SUSAN BRADDOCK
JENNIFER BRADDOCK GERBER

RECIPIENT NAME:
PER SCHOLAS
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 5,000.

RECIPIENT NAME:
CONNCAN
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 5,000.

RECIPIENT NAME:
FRIENDS OF COVENT GARDEN
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 5,000.

RECIPIENT NAME:
MUSIC ASSOCIATES OF ASPEN
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 11,000.

RECIPIENT NAME:
TEAM ACADEMY
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 10,000.

RECIPIENT NAME:
ASPEN INSTITUTE
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 35,000.

RECIPIENT NAME:
THE PARTNERSHIP FOR INNER
CITY EDUCATION
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 50,000.

RECIPIENT NAME:
TRUSTEES OF DARTMOUTH
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 500,000.

FORM 990PF, PART XV, LINE 3 - CONTRIBUTIONS, GIFTS, GRANTS PAID

RECIPIENT NAME:
LINCOLN CENTER FOR THE
PERFORMING ARTS
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 100,000.

RECIPIENT NAME:
NRDC SULLIVAN FELLOWSHIP
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 5,000.

RECIPIENT NAME:
THE COMMON GOOD INSTITUTE
RELATIONSHIP:
NONE
PURPOSE OF GRANT:
UNRESTRICTED GIFT
FOUNDATION STATUS OF RECIPIENT:
N/A
AMOUNT OF GRANT PAID .... 10,000.

TOTAL GRANTS PAID: 736,000.

STATEMENT 19

SCHEDULE D (Form 1041)

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

▶ Attach to Form 1041, Form 5227, or Form 990-T. See the Instructions for Schedule D (Form 1041) (also for Form 5227 or Form 990-T, if applicable).

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

Note: *Form 5227 filers need to complete only Parts I and II.*

Part I — Short-Term Capital Gains and Losses - Assets Held One Year or Less

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

b Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b	1b	-179,427.
2 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	2	
3 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	3	
4 Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2009 Capital Loss Carryover Worksheet	4	( )
5 **Net short-term gain or (loss).** Combine lines 1a through 4 in column (f). Enter here and on line 13, column (3) on the back ▶	5	-179,427.

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

(a) Description of property (Example: 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
6a LONG-TERM CAPITAL GAIN DIVIDENDS		STMT 1			14,090.

b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b	6b	842,734.
7 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	7	
8 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts	8	
9 Capital gain distributions	9	15.
10 Gain from Form 4797, Part I	10	
11 Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2009 Capital Loss Carryover Worksheet	11	( )
12 **Net long-term gain or (loss).** Combine lines 6a through 11 in column (f). Enter here and on line 14a, column (3) on the back ▶	12	856,839.

Part III **Summary of Parts I and II**
Caution: *Read the instructions* ***before*** *completing this part.*

			(1) Beneficiaries' (see instr.)	(2) Estate's or trust's	(3) Total
13	**Net short-term gain or (loss)**	13			-179,427.
14	**Net long-term gain or (loss):**				
a	Total for year	14a			856,839.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht.)	14b			
c	28% rate gain	14c			
15	**Total net gain or (loss).** Combine lines 13 and 14a ▶	15			677,412.

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

Part IV **Capital Loss Limitation**

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

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

Part V **Tax Computation Using Maximum Capital Gains Rates**

Form 1041 filers. Complete this part **only** if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), **and** Form 1041, line 22, is more than zero.

Caution: *Skip this part and complete the worksheet on page 8 of the instructions if:*

- *Either line 14b, col. (2) or line 14c, col. (2) is more than zero, or*
- *Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero.*

Form 990-T trusts. Complete this part **only** if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, **and** Form 990-T, line 34, is more than zero. Skip this part and complete the worksheet on page 8 of the instructions if either line 14b, col. (2) or line 14c, col. (2) is more than zero.

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

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust
31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number
06-1565971

Part I **Short-Term Capital Gains and Losses - Assets Held One Year or Less**

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo., day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 29. BORG WARNER INC. 00	05/20/2011	05/23/2011	1,978.00	2,059.00	-81.00
10. CBS CORP CL B NEW	05/20/2011	05/23/2011	267.00	270.00	-3.00
26. CAMERON INTL CORP	05/20/2011	05/23/2011	1,222.00	1,260.00	-38.00
48. ORACLE CORP	05/20/2011	05/23/2011	1,592.00	1,653.00	-61.00
10. SALESFORCE COM INC	05/20/2011	05/23/2011	1,453.00	1,477.00	-24.00
12. ALLERGAN INC	05/20/2011	05/24/2011	984.00	1,004.00	-20.00
249. SPRINT CORP	05/20/2011	05/24/2011	1,454.00	1,361.00	93.00
23. CHECK POINT SOFTWARE TECH LTD ORD 00	05/20/2011	05/24/2011	1,219.00	1,278.00	-59.00
19. CBS CORP CL B NEW	05/20/2011	05/26/2011	518.00	514.00	4.00
18. FIRST SOLAR INC	05/20/2011	05/26/2011	2,121.00	2,288.00	-167.00
79. TEXTRON INC	05/20/2011	05/26/2011	1,756.00	1,826.00	-70.00
54. CEPHALON INC	05/20/2011	05/31/2011	4,302.00	4,303.00	-1.00
22. CEPHALON INC	05/20/2011	05/31/2011	1,754.00	1,753.00	1.00
68. LEAP WIRELESS INTL INC	05/20/2011	05/31/2011	1,121.00	1,072.00	49.00
121. MASCO CORPORATION	05/20/2011	05/31/2011	1,736.00	1,685.00	51.00
33. PETROHAWK ENERGY CORP	05/20/2011	05/31/2011	873.00	798.00	75.00
106. PINNACLE ENTMT INC	05/20/2011	05/31/2011	1,540.00	1,435.00	105.00
43. CAMERON INTL CORP	05/20/2011	06/01/2011	2,015.00	2,083.00	-68.00
18. FLOWSERVE CORP COM	05/20/2011	06/01/2011	2,119.00	2,159.00	-40.00
107. BROCADE COMMUNICATION S SYS ICOM NEW	05/20/2011	06/02/2011	746.00	711.00	35.00
51. LEAP WIRELESS INTL INC	05/20/2011	06/02/2011	884.00	804.00	80.00
19. LANDSTAR SYS INC	05/20/2011	06/03/2011	849.00	887.00	-38.00
10. BAKER HUGHES INC	05/20/2011	06/07/2011	737.00	707.00	30.00
98. KEYCORP (NEW) F/K/A SOCIETY CORP	05/20/2011	06/07/2011	792.00	841.00	-49.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

Part I **Short-Term Capital Gains and Losses - Assets Held One Year or Less**

(a) Description of property (Example 100 sh 7% preferred of "Z" Co.)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 8. NETFLIX COM INC	05/20/2011	06/08/2011	2,094.00	1,974.00	120.00
28. AGCO CORP	05/20/2011	06/09/2011	1,353.00	1,403.00	-50.00
29. JPMORGAN CHASE CAP XXVI 8.00%	05/20/2011	06/09/2011	748.00	749.00	-1.00
6. SINA CORP ORD	05/20/2011	06/09/2011	567.00	707.00	-140.00
58. E M C CORP MASS	05/20/2011	06/10/2011	1,534.00	1,630.00	-96.00
19. FLOWSERVE CORP COM	05/20/2011	06/10/2011	2,023.00	2,279.00	-256.00
178. JANUS CAP GROUP INC	05/20/2011	06/10/2011	1,629.00	1,837.00	-208.00
212. KEYCORP (NEW) F/K/A SOCIETY CORP	05/20/2011	06/10/2011	1,687.00	1,819.00	-132.00
29. NATIONAL CITY CAP TR IV PFD TR 8%	05/20/2011	06/10/2011	734.00	752.00	-18.00
10. SINA CORP ORD	05/20/2011	06/10/2011	909.00	1,178.00	-269.00
10. CATERPILLAR INC.	05/20/2011	06/13/2011	957.00	1,049.00	-92.00
14. ROCKWELL INTL CORP NEW	05/20/2011	06/13/2011	1,083.00	1,167.00	-84.00
27. COGNIZANT TECHNOLOGY SOLUTIONS CORP	05/20/2011	06/14/2011	1,910.00	2,012.00	-102.00
18. ICON PUB LTD CO	05/20/2011	06/14/2011	437.00	446.00	-9.00
18. MEADWESTVACO CORP	05/20/2011	06/14/2011	588.00	599.00	-11.00
120. CREE INC	05/20/2011	06/15/2011	4,403.00	5,078.00	-675.00
84. YOUKU TUDOU	05/20/2011	06/15/2011	2,308.00	4,056.00	-1,748.00
19. BB&T CAPITAL TRUST VI	05/20/2011	06/16/2011	503.00	508.00	-5.00
26. CITRIX SYS INC	05/20/2011	06/16/2011	1,969.00	2,198.00	-229.00
16. ICON PUB LTD CO	05/20/2011	06/16/2011	385.00	397.00	-12.00
18. LANDSTAR SYS INC	05/20/2011	06/16/2011	810.00	840.00	-30.00
8. TYCO INTERNATIONAL COM USD0.80	05/20/2011	06/17/2011	376.00	394.00	-18.00 *
77. CARPENTER TECHNOLOGY CORP	05/20/2011	06/20/2011	4,006.00	3,885.00	121.00
26. FLEXTRONICS INTL LTD	05/20/2011	06/20/2011	163.00	179.00	-16.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

Part I **Short-Term Capital Gains and Losses - Assets Held One Year or Less**

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 9. LANDSTAR SYS INC	05/20/2011	06/21/2011	412.00	420.00	-8.00
25. BB&T CAPITAL TRUST V PFD 8.95%	05/20/2011	06/22/2011	652.00	664.00	-12.00
190. FOREST CITY ENTERPRISES INC CL A	05/20/2011	06/22/2011	3,448.00	3,583.00	-135.00
140. HEWLETT PACKARD CO	05/20/2011	06/22/2011	4,921.00	5,082.00	-161.00
40. LANDSTAR SYS INC	05/20/2011	06/22/2011	1,821.00	1,867.00	-46.00
24. NATL RURAL UTILS COOP FIN PFD 5.95%	05/20/2011	06/22/2011	604.00	608.00	-4.00
395. NEXEN INC ADR	05/20/2011	06/22/2011	8,318.00	9,144.00	-826.00
31. CHECK POINT SOFTWARE TECH LTD ORD 00	05/20/2011	06/22/2011	1,660.00	1,722.00	-62.00
28. BOEING CO	05/20/2011	06/23/2011	1,997.00	2,173.00	-176.00
49. DEVON ENERGY CORP NEW	05/20/2011	06/23/2011	3,731.00	4,055.00	-324.00
26. FIRST SOLAR INC	05/20/2011	06/23/2011	3,135.00	3,304.00	-169.00
44. FREEPORT MCMORAN COPPER & GOLD	05/20/2011	06/23/2011	2,100.00	2,141.00	-41.00
96. J. P . MORGAN CHASE & CO F/K/A	05/20/2011	06/23/2011	3,820.00	4,161.00	-341.00
8. J. P . MORGAN CHASE & CO F/K/A	05/20/2011	06/23/2011	318.00	347.00	-29.00 *
26. JPM CHASE CAPITAL XXIII PFD 7.20%	05/20/2011	06/23/2011	675.00	675.00	
81. NORDSTROM INC	05/20/2011	06/23/2011	3,683.00	3,700.00	-17.00
23. PNC CAP TR D CAP SECS 6.125%	05/20/2011	06/23/2011	579.00	586.00	-7.00
108. SANDISK CORP	05/20/2011	06/23/2011	4,593.00	5,062.00	-469.00
86. FLEXTRONICS INTL LTD	05/20/2011	06/23/2011	543.00	591.00	-48.00
32. LINCOLN NATL CORP IND	05/20/2011	06/27/2011	860.00	940.00	-80.00
102. FLEXTRONICS INTL LTD	05/20/2011	06/27/2011	646.00	701.00	-55.00
107. JANUS CAP GROUP INC	05/20/2011	06/28/2011	973.00	1,104.00	-131.00
90. ABBOTT LABS	05/20/2011	06/29/2011	4,692.00	4,831.00	-139.00
7. BAKER HUGHES INC	05/20/2011	06/29/2011	498.00	495.00	3.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example: 100 sh. 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo., day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 39. NORFOLK SOUTHERN CORP	05/20/2011	06/29/2011	2,864.00	2,822.00	42.00
109. WESTERN UN CO	05/20/2011	06/29/2011	2,149.00	2,258.00	-109.00
5. NETFLIX COM INC	05/20/2011	06/30/2011	1,312.00	1,234.00	78.00
19. USB CAPITAL XI PFD	05/20/2011	06/30/2011	483.00	492.00	-9.00
600. FLEXTRONICS INTL LTD	05/20/2011	06/30/2011	3,846.00	4,121.00	-275.00
12. ENERGIZER HLDGS INC	05/20/2011	07/01/2011	873.00	921.00	-48.00 *
22. GENERAL ELEC CAP 6.45%	05/20/2011	07/05/2011	556.00	563.00	-7.00
3. NETFLIX COM INC	05/20/2011	07/05/2011	867.00	740.00	127.00
61. PINNACLE ENTMT INC	05/20/2011	07/05/2011	892.00	826.00	66.00
29. CURTISS WRIGHT CORP	05/20/2011	07/06/2011	946.00	1,006.00	-60.00
52. AK STEEL HLDG CORP	05/20/2011	07/07/2011	862.00	735.00	127.00
19.99855 ENERGIZER HLDGS INC	05/20/2011	07/07/2011	1,511.00	1,535.00	-24.00
3.00145 ENERGIZER HLDGS INC	05/20/2011	07/07/2011	227.00	230.00	-3.00 *
129. GAMESTOP CORP NEW	05/20/2011	07/07/2011	3,534.00	3,542.00	-8.00
86. JANUS CAP GROUP INC	05/20/2011	07/07/2011	847.00	887.00	-40.00
106. KEYCORP (NEW) F/K/A SOCIETY CORP	05/20/2011	07/07/2011	890.00	909.00	-19.00
159. LINCOLN NATL CORP IND 6.75% PFD	05/20/2011	07/07/2011	3,975.00	4,005.00	-30.00
31. WRIGHT MED GROUP INC 00	05/20/2011	07/07/2011	486.00	478.00	8.00
12. CBS CORP CL B NEW	05/20/2011	07/08/2011	343.00	324.00	19.00
26. WRIGHT MED GROUP INC 00	05/20/2011	07/08/2011	397.00	401.00	-4.00
22. BB&T CAPITAL TRUST VI	05/20/2011	07/11/2011	596.00	588.00	8.00
160000. U S TREAS BILLS 8/18/11	05/24/2011	07/11/2011	159,987.00	159,981.00	6.00
25. ENERGIZER HLDGS INC	05/20/2011	07/12/2011	1,887.00	1,919.00	-32.00
289. KEYCORP (NEW) F/K/A SOCIETY CORP	05/20/2011	07/12/2011	2,338.00	2,479.00	-141.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co.)	(b) Date acquired (mo, day, yr.)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 11. SINA CORP ORD	05/20/2011	07/12/2011	1,157.00	1,296.00	-139.00
4. NETFLIX COM INC	05/20/2011	07/13/2011	1,201.00	987.00	214.00
22. ARCH CAP GROUP LTD PFD 8.00%	05/20/2011	07/13/2011	561.00	562.00	-1.00
7. TE CONNECTIVITY LTD	05/20/2011	07/13/2011	255.00	260.00	-5.00
21. GENERAL CABLE CORP DEL NEW	06/01/2011	07/14/2011	919.00	842.00	77.00
3. AMAZON COM INC	05/20/2011	07/15/2011	631.00	596.00	35.00
29. BB&T CAPITAL TRUST V PFD 8.95%	05/20/2011	07/15/2011	763.00	771.00	-8.00
21. BB&T CAP TR VII PFD 8.10%	05/20/2011	07/15/2011	555.00	550.00	5.00
21. GENERAL ELEC CAP 6.45%	05/20/2011	07/15/2011	531.00	537.00	-6.00
72. PPL ENERGY SUPPLY LLC	05/20/2011	07/15/2011	1,800.00	1,854.00	-54.00
210. PETROHAWK ENERGY CORP	05/20/2011	07/15/2011	8,039.00	5,075.00	2,964.00
25. COMCAST CORP 7% PREF	05/20/2011	07/18/2011	635.00	649.00	-14.00
55. PHARMACEUTICAL PROD DEV INC 00	05/20/2011	07/18/2011	1,750.00	1,592.00	158.00
171. ALLSTATE CORP	05/23/2011	07/19/2011	4,828.00	5,475.00	-647.00
12. INTEL CORP	05/20/2011	07/19/2011	276.00	279.00	-3.00
6. INTERNATIONAL BUSINESS MACHS CORP	05/20/2011	07/19/2011	1,106.00	1,023.00	83.00
20. BORG WARNER INC. 00	05/20/2011	07/20/2011	1,516.00	1,420.00	96.00
95. GREENHILL & CO INC	05/20/2011	07/20/2011	4,462.00	5,284.00	-822.00
14. NEW ORIENTAL ED & TECH GRP ISPON ADR	05/20/2011	07/20/2011	1,782.00	1,684.00	98.00
35. PUBLIC STORAGE	05/20/2011	07/20/2011	883.00	902.00	-19.00
6. SINA CORP ORD	05/20/2011	07/20/2011	713.00	707.00	6.00
11. TE CONNECTIVITY LTD	05/20/2011	07/20/2011	400.00	409.00	-9.00
99. JANUS CAP GROUP INC	05/20/2011	07/21/2011	911.00	1,021.00	-110.00
15. SALESFORCE COM INC	05/20/2011	07/21/2011	2,285.00	2,215.00	70.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

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2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example: 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 6. BAKER HUGHES INC	05/20/2011	07/22/2011	476.00	424.00	52.00
157. JANUS CAP GROUP INC	05/20/2011	07/22/2011	1,426.00	1,620.00	-194.00
2088.45 FNMA POOL #972295 5.49995% 2/01/38	06/09/2011	07/25/2011	2,088.00	2,271.00	-183.00
1547.04 FNMA POOL #AA5224 4.500% 3/01/39	06/09/2011	07/25/2011	1,547.00	1,614.00	-67.00
31.95 FNMA POOL #AE1557 5.000% 8/01/40	06/09/2011	07/25/2011	32.00	34.00	-2.00
22. YAHOO INC	05/20/2011	07/25/2011	303.00	359.00	-56.00
287. JANUS CAP GROUP INC	05/20/2011	07/26/2011	2,548.00	2,961.00	-413.00
39. NATIONAL-OILWELL INC	05/20/2011	07/26/2011	3,239.00	2,657.00	582.00
39. TEVA PHARMACEUTICAL INDS ADR	05/20/2011	07/26/2011	1,828.00	1,950.00	-122.00
10. AMAZON COM INC	05/20/2011	07/27/2011	2,219.00	1,988.00	231.00
30. FRESENIUS MED CARE AG & CO SPD ADR	05/20/2011	07/27/2011	2,372.00	2,144.00	228.00
66. LVMH MOET HENNESSY LOUIS VUITTON	05/20/2011	07/27/2011	2,490.00	2,237.00	253.00
10. SALESFORCE COM INC	05/20/2011	07/27/2011	1,455.00	1,477.00	-22.00
9. ENERSYS	05/20/2011	07/28/2011	293.00	315.00	-22.00
21. GENERAL CABLE CORP DEL NEW	06/01/2011	07/28/2011	856.00	840.00	16.00
32. PUBLIC STORAGE INC	05/20/2011	07/28/2011	811.00	822.00	-11.00
11. SALESFORCE COM INC	05/20/2011	07/28/2011	1,614.00	1,624.00	-10.00
7. ANADARKO PETE CORP	05/20/2011	07/29/2011	578.00	525.00	53.00
25. CURTISS WRIGHT CORP	05/20/2011	07/29/2011	800.00	868.00	-68.00
27. CURTISS WRIGHT CORP	05/20/2011	07/29/2011	864.00	937.00	-73.00
16. ENERSYS	05/20/2011	07/29/2011	515.00	561.00	-46.00
87. WRIGHT MED GROUP INC 00	05/20/2011	07/29/2011	1,360.00	1,342.00	18.00
591. PAETEC HLDG CORP	05/20/2011	08/01/2011	3,099.00	2,351.00	748.00
31. WRIGHT MED GROUP INC 00	05/20/2011	08/01/2011	478.00	478.00	

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

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2010

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Employer identification number: 06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 1035. BANK OF AMERICA CORPORATION 1/16/19	05/20/2011	08/02/2011	4,313.00	6,707.00	-2,394.00
31. COGNIZANT TECHNOLOGY SOLUTIONS CORP	05/20/2011	08/02/2011	2,202.00	2,310.00	-108.00
25. WRIGHT MED GROUP INC 00	05/20/2011	08/02/2011	377.00	386.00	-9.00
22. EXPRESS SCRIPTS INC	05/20/2011	08/03/2011	1,129.00	1,324.00	-195.00
26. JPM CHASE CAPITAL XXIII PFD 7.20%	05/20/2011	08/03/2011	670.00	675.00	-5.00
49. PINNACLE ENTMT INC	05/20/2011	08/03/2011	688.00	663.00	25.00
21. STRYKER CORP	05/20/2011	08/03/2011	1,094.00	1,334.00	-240.00
14. SINA CORP ORD	05/20/2011	08/03/2011	1,398.00	1,649.00	-251.00
80. CHECK POINT SOFTWARE TECH LTD ORD 00	05/20/2011	08/03/2011	4,545.00	4,445.00	100.00
241. AK STEEL HLDG CORP	05/20/2011	08/04/2011	2,404.00	3,407.00	-1,003.00
875. CHIMERA INVT CORP	05/20/2011	08/04/2011	2,652.00	3,447.00	-795.00
12. DEVON ENERGY CORP NEW	05/20/2011	08/05/2011	856.00	999.00	-143.00
570. PAETEC HLDG CORP	05/20/2011	08/05/2011	2,819.00	2,267.00	552.00
30. LINCOLN NATL CORP IND	05/20/2011	08/08/2011	672.00	882.00	-210.00
21. BAC CAPITAL TR XII 6.875% PFD	05/20/2011	08/09/2011	438.00	525.00	-87.00
82. MBIA INC	05/23/2011	08/09/2011	570.00	722.00	-152.00
71. OWENS ILL INC NEW	05/20/2011	08/09/2011	1,301.00	2,274.00	-973.00
27. VALMONT INDS INC	05/20/2011	08/09/2011	2,298.00	2,600.00	-302.00
10.99974 BAKER HUGHES INC	05/20/2011	08/10/2011	646.00	777.00	-131.00
5.00026 BAKER HUGHES INC	05/20/2011	08/10/2011	294.00	353.00	-59.00 *
42. BORG WARNER INC. 00	05/20/2011	08/10/2011	2,780.00	2,982.00	-202.00
56. CANADIAN NATL RAILWAY CO	05/20/2011	08/10/2011	3,824.00	4,320.00	-496.00
36. CANADIAN NAT RES LTD COM CN$	05/20/2011	08/10/2011	1,289.00	1,513.00	-224.00
24. COGNIZANT TECHNOLOGY SOLUTIONS CORP	05/20/2011	08/10/2011	1,498.00	1,788.00	-290.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

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OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example: 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr.)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 21. CUMMINS INC	05/20/2011	08/10/2011	1,843.00	2,247.00	-404.00
32. LINCOLN NATL CORP IND	05/20/2011	08/10/2011	679.00	940.00	-261.00
67. ROCKWELL COLLINS -WI	05/20/2011	08/10/2011	3,103.00	4,137.00	-1,034.00
21. STRYKER CORP	05/20/2011	08/10/2011	985.00	1,334.00	-349.00
67. ULTA SALON COSMETICS & FRAGRANCE INC	05/20/2011	08/10/2011	3,646.00	3,536.00	110.00
32. CITRIX SYS INC	05/20/2011	08/11/2011	1,979.00	2,705.00	-726.00
935. MAN GROUP PLC	05/20/2011	08/11/2011	2,856.00	3,815.00	-959.00
80. MONSTER WORLDWIDE INC	05/20/2011	08/11/2011	677.00	1,199.00	-522.00
21. CURTISS WRIGHT CORP	05/20/2011	08/12/2011	596.00	729.00	-133.00
412. MBIA INC	06/29/2011	08/12/2011	2,707.00	3,596.00	-889.00
860. MAN GROUP PLC	05/20/2011	08/12/2011	2,705.00	3,509.00	-804.00
275. OWENS ILL INC NEW	05/20/2011	08/12/2011	4,979.00	8,758.00	-3,779.00
63. PATRIOT COAL CORP	07/25/2011	08/12/2011	926.00	1,473.00	-547.00
42. AT&T INC	05/20/2011	08/15/2011	1,202.00	1,317.00	-115.00
27. BB&T CAPITAL TRUST VI	05/20/2011	08/15/2011	720.00	722.00	-2.00
40. CATERPILLAR INC.	05/20/2011	08/15/2011	3,639.00	4,196.00	-557.00
26. CURTISS WRIGHT CORP	05/20/2011	08/15/2011	738.00	902.00	-164.00
368. MOTOROLA MOBILITY HLDGS INC	05/20/2011	08/15/2011	14,069.00	8,875.00	5,194.00
89. PATRIOT COAL CORP	07/26/2011	08/15/2011	1,332.00	2,003.00	-671.00
98. ROFIN SINAR TECHNOLOGIES INC	05/20/2011	08/15/2011	2,427.00	3,509.00	-1,082.00
143. SANDRIDGE ENERGY INC	07/15/2011	08/15/2011	1,155.00	1,521.00	-366.00
79. STRYKER CORP	05/20/2011	08/15/2011	3,862.00	5,019.00	-1,157.00
11. MOTOROLA MOBILITY HLDGS INC	06/06/2011	08/16/2011	418.00	269.00	149.00
253. SANDRIDGE ENERGY INC	05/20/2011	08/16/2011	1,990.00	2,585.00	-595.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 33. CURTISS WRIGHT CORP	05/23/2011	08/17/2011	927.00	1,141.00	-214.00
10. CURTISS WRIGHT CORP	05/23/2011	08/17/2011	284.00	336.00	-52.00
87. FANUC CORPORATION	05/20/2011	08/17/2011	2,471.00	2,272.00	199.00
50. NATIONAL-OILWELL INC	05/20/2011	08/17/2011	3,413.00	3,400.00	13.00
32. O REILLY AUTOMOTIVE INC	05/20/2011	08/18/2011	1,954.00	1,851.00	103.00
109. POTASH CORP SASK INC COM	05/20/2011	08/18/2011	5,651.00	5,688.00	-37.00
44. ROCKWELL INTL CORP NEW	05/20/2011	08/18/2011	2,461.00	3,669.00	-1,208.00
16. MORNINGSTAR INC	05/20/2011	08/19/2011	872.00	955.00	-83.00
4. MARKEL CORP	05/20/2011	08/22/2011	1,516.00	1,669.00	-153.00
15. O REILLY AUTOMOTIVE INC	05/20/2011	08/22/2011	928.00	867.00	61.00
18. GENERAL ELEC CAP 6.45%	05/20/2011	08/24/2011	458.00	461.00	-3.00
235. REGIONS FINL CORP NEW	05/20/2011	08/24/2011	959.00	1,669.00	-710.00
775. SYNOVUS FINL CORP	05/20/2011	08/24/2011	1,047.00	1,851.00	-804.00
50. UNILEVER N V NY SHS NEW	05/20/2011	08/24/2011	1,691.00	1,610.00	81.00
62. VODAFONE GROUP SPD ADR REP 10 ORD SH	05/20/2011	08/24/2011	1,718.00	1,768.00	-50.00
17. WILLIS GROUP HLDGS ORD USD0.000115 N	05/20/2011	08/24/2011	626.00	678.00	-52.00
8. ACE LTD	05/20/2011	08/24/2011	501.00	550.00	-49.00
2222.8 FNMA POOL #972295 5.49995% 2/01/38	06/09/2011	08/25/2011	2,223.00	2,417.00	-194.00
39.63 FNMA POOL #995676 4.49974% 5/01/39	07/11/2011	08/25/2011	40.00	41.00	-1.00
656.33 FNMA POOL #AA5224 4.500% 3/01/39	06/09/2011	08/25/2011	656.00	685.00	-29.00
389.28 FNMA POOL #AE1557 5.000% 8/01/40	06/09/2011	08/25/2011	389.00	416.00	-27.00
246. MOTOROLA MOBILITY HLDGS INC	07/29/2011	08/25/2011	9,331.00	5,922.00	3,409.00
234. REGIONS FINL CORP NEW	05/20/2011	08/25/2011	980.00	1,661.00	-681.00
777. SYNOVUS FINL CORP	05/20/2011	08/25/2011	1,028.00	1,855.00	-827.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
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OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example: 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 24. GENERAL CABLE CORP DEL NEW	05/20/2011	08/26/2011	678.00	959.00	-281.00
71. GENERAL CABLE CORP DEL NEW	06/06/2011	08/29/2011	2,057.00	2,752.00	-695.00
3. NETFLIX COM INC	05/20/2011	08/29/2011	677.00	740.00	-63.00
76. OWENS ILL INC NEW	05/20/2011	08/29/2011	1,384.00	2,434.00	-1,050.00
44. SPIRIT AEROSYSTEMS	05/20/2011	08/29/2011	711.00	1,000.00	-289.00
135. VARIAN MEDICAL SYSTEMS INC	05/20/2011	08/29/2011	7,671.00	9,320.00	-1,649.00
27. BB&T CAPITAL TRUST VI	05/20/2011	08/30/2011	730.00	722.00	8.00
32. BB&T CAP TR VII PFD 8.10%	05/20/2011	08/30/2011	834.00	838.00	-4.00
88. PHARMACEUTICAL PROD DEV INC 00	05/20/2011	08/30/2011	2,726.00	2,548.00	178.00
51. WAL-MART DE MEXICO SA-SP ADR	05/20/2011	08/30/2011	1,326.00	1,528.00	-202.00
9. BB&T CAP TR VII PFD 8.10%	05/20/2011	08/31/2011	235.00	236.00	-1.00
75. LEAP WIRELESS INTL INC	05/20/2011	08/31/2011	690.00	1,182.00	-492.00
28. NESTLE S A SPONSORED ADR REPSTG REG SH	05/20/2011	08/31/2011	1,713.00	1,747.00	-34.00
42. TITANIUM METALS CORP	05/20/2011	08/31/2011	675.00	780.00	-105.00
17. SANTANDER FIN PFD PRF 10.5% NON CUM	05/20/2011	08/31/2011	468.00	497.00	-29.00
45. TITANIUM METALS CORP	05/20/2011	09/01/2011	710.00	835.00	-125.00
64. BAYER A G 00	07/27/2011	09/06/2011	3,354.00	5,373.00	-2,019.00
44. TITANIUM METALS CORP	05/20/2011	09/07/2011	673.00	817.00	-144.00
41.00013 YAHOO INC	05/20/2011	09/07/2011	551.00	670.00	-119.00
10.99987 YAHOO INC	05/20/2011	09/07/2011	148.00	180.00	-32.00 *
94. CHINA MERCHANTS HLDGS INTL C	05/20/2011	09/08/2011	2,755.00	4,158.00	-1,403.00
81. USB CAP VII GTD TR PFD SECS %	05/20/2011	09/08/2011	2,025.00	2,036.00	-11.00
36. USB CAP VI	05/20/2011	09/08/2011	900.00	904.00	-4.00
78. CHINA MERCHANTS HLDGS INTL C	05/20/2011	09/09/2011	2,216.00	3,450.00	-1,234.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust
31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number
06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo., day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 210. GAZPROM OAO SPD ADR	05/20/2011	09/09/2011	2,402.00	2,955.00	-553.00
197. MOTOROLA MOBILITY HLDGS INC	05/20/2011	09/09/2011	7,399.00	4,751.00	2,648.00
609. GAZPROM OAO SPD ADR	05/20/2011	09/12/2011	6,593.00	8,569.00	-1,976.00
40. ALLERGAN INC	05/20/2011	09/13/2011	3,165.00	3,345.00	-180.00
13. INTERNATIONAL BUSINESS MACHS CORP	05/20/2011	09/13/2011	2,109.00	2,216.00	-107.00
5. INTUITIVE SURGICAL INC NEW	05/20/2011	09/13/2011	1,888.00	1,748.00	140.00
50. NEW ORIENTAL ED & TECH GRP ISPON ADR	05/20/2011	09/13/2011	1,611.00	1,504.00	107.00
106. RF MICRO DEVICES INC 00	05/20/2011	09/14/2011	698.00	641.00	57.00
62. BAYER A G 00	08/10/2011	09/15/2011	3,338.00	4,430.00	-1,092.00
5. INTERNATIONAL BUSINESS MACHS CORP	05/20/2011	09/15/2011	840.00	852.00	-12.00
162. LAMAR ADVERTISING CO CL A	05/20/2011	09/15/2011	3,107.00	4,860.00	-1,753.00
5. NETFLIX COM INC	07/26/2011	09/15/2011	857.00	1,269.00	-412.00
29. NEW ORIENTAL ED & TECH GRP ISPON ADR	05/20/2011	09/15/2011	966.00	872.00	94.00
94. RF MICRO DEVICES INC 00	05/20/2011	09/15/2011	635.00	569.00	66.00
12. V F CORP	05/20/2011	09/15/2011	1,488.00	1,173.00	315.00
233. BNP PARIBAS SPND ADR	05/20/2011	09/16/2011	4,769.00	8,663.00	-3,894.00
57. CHINA MERCHANTS HLDGS INTL C	05/20/2011	09/16/2011	1,524.00	2,521.00	-997.00
78. CHINA MERCHANTS HLDGS INTL C	05/20/2011	09/19/2011	1,997.00	3,450.00	-1,453.00
133. BNP PARIBAS SPND ADR	05/20/2011	09/20/2011	2,278.00	4,945.00	-2,667.00
96. RF MICRO DEVICES INC 00	05/20/2011	09/20/2011	670.00	581.00	89.00
68. TITANIUM METALS CORP	05/20/2011	09/20/2011	1,102.00	1,262.00	-160.00
24. NABORS INDUSTRIES LTD SHS	05/20/2011	09/20/2011	419.00	646.00	-227.00
166. BNP PARIBAS SPND ADR	05/20/2011	09/21/2011	2,674.00	6,172.00	-3,498.00
12. INTERNATIONAL BUSINESS MACHS CORP	05/20/2011	09/21/2011	2,104.00	2,046.00	58.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).

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OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 39. ALLEGHENY TECHNOLOGIES INC	05/20/2011	09/22/2011	1,498.00	2,499.00	-1,001.00
19. BOEING CO	05/20/2011	09/22/2011	1,110.00	1,475.00	-365.00
23. EOG RESOURCES INC	05/20/2011	09/22/2011	1,775.00	2,461.00	-686.00
31. FREEPORT MCMORAN COPPER & GOLD	05/20/2011	09/22/2011	1,011.00	1,508.00	-497.00
30. CHURCH & DWIGHT INC	05/20/2011	09/23/2011	1,273.00	1,242.00	31.00
27. KIRBY CORP	05/20/2011	09/23/2011	1,397.00	1,454.00	-57.00
101. MORGAN STANLEY, DEAN WITTER,	05/20/2011	09/23/2011	1,387.00	2,415.00	-1,028.00
2661.74 FNMA POOL #972295 5.49995% 2/01/38	06/09/2011	09/25/2011	2,662.00	2,894.00	-232.00
46.39 FNMA POOL #995676 4.49974% 5/01/39	07/11/2011	09/25/2011	46.00	48.00	-2.00
1276.14 FNMA POOL #AA5224 4.500% 3/01/39	06/09/2011	09/25/2011	1,276.00	1,331.00	-55.00
286.14 FNMA POOL #AE1557 5.000% 8/01/40	06/09/2011	09/25/2011	286.00	306.00	-20.00
15. ALLEGHENY TECHNOLOGIES INC	07/20/2011	09/27/2011	647.00	961.00	-314.00
35. BOEING CO	05/20/2011	09/27/2011	2,191.00	2,716.00	-525.00
53. GILEAD SCIENCES INC	07/21/2011	09/27/2011	2,115.00	2,262.00	-147.00
12. INTERNATIONAL BUSINESS MACHS CORP	05/20/2011	09/27/2011	2,150.00	2,046.00	104.00
38. LINCOLN NATL CORP IND	05/20/2011	09/27/2011	647.00	1,117.00	-470.00
16. PROCTOR & GAMBLE CO	05/20/2011	09/27/2011	1,011.00	1,080.00	-69.00
46. TITANIUM METALS CORP	05/20/2011	09/27/2011	743.00	854.00	-111.00
183. APPLIED MATERIALS INC	05/20/2011	09/28/2011	1,966.00	2,586.00	-620.00
6. INTERNATIONAL BUSINESS MACHS CORP	05/20/2011	09/28/2011	1,080.00	1,023.00	57.00
17. AIRGAS INC	05/20/2011	09/29/2011	1,117.00	1,134.00	-17.00
56. BAKER HUGHES INC	05/20/2011	09/29/2011	2,712.00	3,955.00	-1,243.00 *
10.99935 DELL INC	05/20/2011	09/29/2011	166.00	177.00	-11.00
19.00065 DELL INC	05/20/2011	09/29/2011	286.00	306.00	-20.00 *

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

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OMB No 1545-0092

2010

Name of estate or trust
31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number
06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 124. FREEPORT MCMORAN COPPER & GOLD	05/20/2011	09/29/2011	3,842.00	6,034.00	-2,192.00
10. INTERNATIONAL BUSINESS MACHS CORP	05/20/2011	09/29/2011	1,798.00	1,705.00	93.00
26. NETFLIX COM INC	05/20/2011	09/29/2011	2,942.00	6,415.00	-3,473.00
32. SINA CORP ORD	05/20/2011	09/29/2011	2,342.00	3,769.00	-1,427.00
10. INTERNATIONAL BUSINESS MACHS CORP	05/20/2011	09/30/2011	1,764.00	1,705.00	59.00
13. MEAD JOHNSON NUTRITION CO	05/20/2011	09/30/2011	916.00	877.00	39.00
34. YUM BRANDS INC	05/20/2011	09/30/2011	1,722.00	1,917.00	-195.00
14. ILLUMINA INC	05/20/2011	10/03/2011	542.00	1,020.00	-478.00 *
14. LAS VEGAS SANDS CORP	08/03/2011	10/03/2011	521.00	656.00	-135.00 *
69. PHARMACEUTICAL PROD DEV INC 00	05/20/2011	10/03/2011	2,223.00	1,997.00	226.00
66. ALLEGHENY TECHNOLOGIES INC	05/20/2011	10/04/2011	2,111.00	4,230.00	-2,119.00
141. CANADIAN NAT RES LTD COM CN$	05/20/2011	10/05/2011	4,163.00	5,926.00	-1,763.00
120. MORGAN STANLEY, DEAN WITTER,	05/20/2011	10/05/2011	1,640.00	2,869.00	-1,229.00
54. PHARMACEUTICAL PROD DEV INC 00	08/01/2011	10/05/2011	1,725.00	1,535.00	190.00
18. UNITED STS STL CORP NEW	05/20/2011	10/05/2011	389.00	812.00	-423.00
13. ALLEGHENY TECHNOLOGIES INC	07/05/2011	10/06/2011	475.00	816.00	-341.00
33. LINCOLN NATL CORP IND	05/20/2011	10/06/2011	502.00	970.00	-468.00
22. PHARMACEUTICAL PROD DEV INC 00	06/14/2011	10/06/2011	703.00	588.00	115.00
70. LINCOLN NATL CORP IND	05/20/2011	10/07/2011	1,087.00	2,057.00	-970.00
29. MORGAN STANLEY, DEAN WITTER,	05/20/2011	10/07/2011	413.00	693.00	-280.00
19. ALLEGHENY TECHNOLOGIES INC	06/20/2011	10/10/2011	742.00	1,135.00	-393.00
25. AMAZON COM INC	05/20/2011	10/10/2011	5,751.00	4,974.00	777.00
85. QUALCOMM INC	05/20/2011	10/10/2011	4,400.00	4,900.00	-500.00
3120.00175 SPRINT CORP	08/10/2011	10/10/2011	6,789.00	14,882.00	-8,093.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

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2010

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(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 439.99825 SPRINT CORP	05/20/2011	10/10/2011	957.00	2,405.00	-1,448.00 *
19. UNITED STS STL CORP NEW	05/20/2011	10/10/2011	435.00	857.00	-422.00
53. ARM HOLDINGS PLC-SPONS ADR	05/20/2011	10/11/2011	1,466.00	1,490.00	-24.00
166. TESCO PLC	05/20/2011	10/11/2011	3,164.00	3,416.00	-252.00
14. GENERAL ELEC CAP 6.45%	05/20/2011	10/12/2011	359.00	358.00	1.00
79. LINCOLN NATL CORP IND	05/20/2011	10/12/2011	1,365.00	2,322.00	-957.00
46. SABMILLER PLC SPD ADR	05/20/2011	10/13/2011	1,633.00	1,720.00	-87.00
14. UNITED STS STL CORP NEW	05/20/2011	10/13/2011	330.00	632.00	-302.00
76. RF MICRO DEVICES INC 00	05/20/2011	10/14/2011	549.00	460.00	89.00
52. SABMILLER PLC SPD ADR	05/20/2011	10/14/2011	1,857.00	1,944.00	-87.00
87. TRIQUINT SEMICONDUCTOR INC	08/02/2011	10/14/2011	645.00	672.00	-27.00
16. UNITED STS STL CORP NEW	05/20/2011	10/14/2011	391.00	722.00	-331.00
27. NEW ORIENTAL ED & TECH GRP ISPON ADR	05/20/2011	10/17/2011	813.00	812.00	1.00
112. RF MICRO DEVICES INC 00	05/20/2011	10/18/2011	805.00	678.00	127.00
32. ROYAL DUTCH SHELL PLC SPD ADR	05/20/2011	10/18/2011	2,230.00	2,241.00	-11.00
17. UNITED STS STL CORP NEW	05/20/2011	10/18/2011	395.00	767.00	-372.00
13. VARIAN MEDICAL SYSTEMS INC	05/20/2011	10/18/2011	728.00	897.00	-169.00
12.99926 HOLOGIC INC	05/20/2011	10/19/2011	193.00	276.00	-83.00
29.00074 HOLOGIC INC	05/20/2011	10/19/2011	430.00	616.00	-186.00 *
143. PMC-SIERRA INC	05/20/2011	10/19/2011	915.00	1,154.00	-239.00
11. VARIAN MEDICAL SYSTEMS INC	05/20/2011	10/19/2011	625.00	759.00	-134.00
26. UNITED STS STL CORP NEW	05/20/2011	10/20/2011	588.00	1,173.00	-585.00
90. RF MICRO DEVICES INC 00	05/20/2011	10/21/2011	645.00	544.00	101.00
53. UNITED STS STL CORP NEW	07/27/2011	10/21/2011	1,225.00	2,339.00	-1,114.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

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OMB No 1545-0092

2010

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Employer identification number: 06-1565971

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

(a) Description of property (Example: 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 14. CME GROUP INC	05/20/2011	10/24/2011	3,727.00	4,182.00	-455.00
39. COMSTOCK RESOURCES INC NEW	05/20/2011	10/24/2011	730.00	1,027.00	-297.00
12. KANSAS CITY SOUTHERN INDS	05/20/2011	10/24/2011	726.00	676.00	50.00
21. YAHOO INC	05/20/2011	10/24/2011	350.00	343.00	7.00
31. COMCAST CORP NEW 7.00%	05/20/2011	10/25/2011	788.00	791.00	-3.00
43.72 FNMA PL # 745418 5.49938% 4/01/36	09/09/2011	10/25/2011	44.00	48.00	-4.00
2429.75 FNMA POOL #972295 5.49995% 2/01/38	06/09/2011	10/25/2011	2,430.00	2,642.00	-212.00
39.37 FNMA POOL #995676 4.49974% 5/01/39	07/11/2011	10/25/2011	39.00	41.00	-2.00
206.98 FNMA POOL #AA5224 4.500% 3/01/39	06/09/2011	10/25/2011	207.00	216.00	-9.00
35. FNMA POOL #AE1557 5.000% 8/01/40	06/09/2011	10/25/2011	35.00	37.00	-2.00
30. AMAZON COM INC	05/20/2011	10/26/2011	6,022.00	5,964.00	58.00
69. MASCO CORPORATION	05/20/2011	10/26/2011	663.00	961.00	-298.00
21. NII HLDGS INC	05/20/2011	10/26/2011	641.00	878.00	-237.00
19. BALLY TECHNOLOGIES INC COM	05/20/2011	10/27/2011	706.00	755.00	-49.00
24. MEADWESTVACO CORP	05/20/2011	10/27/2011	708.00	798.00	-90.00
14. MOTOROLA SOLUTIONS INC	05/20/2011	10/27/2011	654.00	657.00	-3.00
17. THE TRAVELERS COMPANIES INC	05/20/2011	10/27/2011	1,006.00	1,060.00	-54.00
8. CITRIX SYS INC	05/20/2011	10/28/2011	601.00	676.00	-75.00
41. HESS CORP	05/20/2011	10/28/2011	2,658.00	3,220.00	-562.00
46. PROCTOR & GAMBLE CO	05/20/2011	10/28/2011	2,967.00	3,106.00	-139.00
24. RAYTHEON COMPANY	05/20/2011	10/28/2011	1,045.00	1,191.00	-146.00
5. CHEVRONTEXACO CORP	05/20/2011	10/31/2011	536.00	515.00	21.00
37. NORFOLK SOUTHERN CORP	05/20/2011	10/31/2011	2,764.00	2,677.00	87.00
9. UNION PAC CORP	05/20/2011	10/31/2011	902.00	920.00	-18.00 *

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 14.00065 NABORS INDUSTRIES LTD SHS	05/20/2011	10/31/2011	266.00	371.00	-105.00
30.99935 NABORS INDUSTRIES LTD SHS	05/20/2011	10/31/2011	590.00	822.00	-232.00 *
27. CAREFUSION CORP	05/20/2011	11/02/2011	668.00	777.00	-109.00
32. MYRIAD GENETICS INC	05/20/2011	11/02/2011	652.00	801.00	-149.00
19. SBA COMMUNICATIONS CORP	05/20/2011	11/02/2011	742.00	736.00	6.00
37. TITANIUM METALS CORP	05/20/2011	11/02/2011	614.00	687.00	-73.00
64. SEAGATE TECHNOLOGY PLC	05/20/2011	11/02/2011	1,065.00	1,082.00	-17.00
11. AIRGAS INC	05/20/2011	11/03/2011	771.00	734.00	37.00
27. INVERNESS MED INNOVATIONS IN	05/20/2011	11/03/2011	702.00	1,097.00	-395.00
40. CONSTELLATION BRANDS INC	05/20/2011	11/03/2011	788.00	878.00	-90.00
21. DAVITA INC	09/20/2011	11/03/2011	1,551.00	1,564.00	-13.00
17. J. P . MORGAN CHASE & CO F/K/A	05/20/2011	11/03/2011	568.00	734.00	-166.00
11. KANSAS CITY SOUTHERN INDS	05/20/2011	11/03/2011	710.00	620.00	90.00
14. MORGAN STANLEY, DEAN WITTER,	05/20/2011	11/03/2011	230.00	335.00	-105.00
11. MORGAN STANLEY, DEAN WITTER,	05/20/2011	11/03/2011	181.00	263.00	-82.00
7. MOTOROLA SOLUTIONS INC	05/20/2011	11/03/2011	323.00	328.00	-5.00
39. SEAGATE TECHNOLOGY PLC	05/20/2011	11/03/2011	661.00	659.00	2.00
11. DASSAULT SYS S A SPD ADR	05/20/2011	11/04/2011	917.00	910.00	7.00
94. INTEL CORP	05/20/2011	11/04/2011	2,239.00	2,193.00	46.00
33. JOHNSON & JOHNSON	07/20/2011	11/04/2011	2,099.00	2,186.00	-87.00
32. MORGAN STANLEY, DEAN WITTER,	05/20/2011	11/04/2011	518.00	765.00	-247.00
63. UNITEDHEALTH GROUP INC	05/20/2011	11/04/2011	2,855.00	3,178.00	-323.00
7. V F CORP	05/20/2011	11/04/2011	956.00	684.00	272.00
13. INTEL CORP	05/20/2011	11/07/2011	308.00	302.00	6.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr.)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 20. SUNTRUST CAP IX	05/20/2011	11/07/2011	511.00	516.00	-5.00
35. NABORS INDUSTRIES LTD SHS	05/20/2011	11/07/2011	700.00	928.00	-228.00
9. DASSAULT SYS S A SPD ADR	05/20/2011	11/08/2011	750.00	745.00	5.00
44. HOLOGIC INC	05/20/2011	11/08/2011	797.00	934.00	-137.00
71. MASCO CORPORATION	05/20/2011	11/08/2011	687.00	989.00	-302.00
20. XCEL ENERGY INC JR SUB PFD 7.60%	05/20/2011	11/09/2011	539.00	552.00	-13.00
18. AGCO CORP	08/04/2011	11/10/2011	819.00	763.00	56.00
34. CONSTELLATION BRANDS INC	05/20/2011	11/10/2011	665.00	746.00	-81.00
28. ENERSYS	05/20/2011	11/10/2011	728.00	981.00	-253.00
10. KANSAS CITY SOUTHERN INDS	05/20/2011	11/10/2011	642.00	563.00	79.00
107. MASCO CORPORATION	05/20/2011	11/10/2011	980.00	1,490.00	-510.00
20. PNC CAP TR E GTD TR PFD SECS 7.750%	05/20/2011	11/10/2011	520.00	525.00	-5.00
13. VISTEON CORP	05/20/2011	11/10/2011	736.00	810.00	-74.00
14. AGCO CORP	08/04/2011	11/11/2011	653.00	593.00	60.00
29. CAREFUSION CORP	05/20/2011	11/11/2011	719.00	835.00	-116.00
27. MORGAN STANLEY, DEAN WITTER,	05/20/2011	11/11/2011	443.00	646.00	-203.00
34. NABORS INDUSTRIES LTD SHS	05/20/2011	11/11/2011	705.00	901.00	-196.00
54. LKQ CORP	05/20/2011	11/14/2011	1,588.00	1,417.00	171.00
11. O REILLY AUTOMOTIVE INC	05/20/2011	11/14/2011	856.00	636.00	220.00
15. AGCO CORP	08/04/2011	11/15/2011	698.00	636.00	62.00
138. NATIONAL CITY CAP TR II	05/20/2011	11/15/2011	3,450.00	3,500.00	-50.00
113. LEAP WIRELESS INTL INC	05/20/2011	11/16/2011	1,067.00	1,781.00	-714.00
19. SBA COMMUNICATIONS CORP	05/20/2011	11/16/2011	747.00	736.00	11.00
73. TARGET CORP	08/26/2011	11/16/2011	3,938.00	3,670.00	268.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 11. VISTEON CORP	05/20/2011	11/16/2011	638.00	685.00	-47.00
28. MORGAN STANLEY, DEAN WITTER,	06/03/2011	11/17/2011	408.00	667.00	-259.00
9. AIRGAS INC	05/20/2011	11/18/2011	640.00	600.00	40.00
81. NEW ORIENTAL ED & TECH GRP ISPON ADR	05/20/2011	11/18/2011	1,848.00	2,436.00	-588.00
68. MORGAN STANLEY, DEAN WITTER,	08/31/2011	11/21/2011	913.00	1,304.00	-391.00
59. NEW ORIENTAL ED & TECH GRP ISPON ADR	05/20/2011	11/21/2011	1,362.00	1,774.00	-412.00
29. SAP AG-SPONSORED ADR	05/20/2011	11/21/2011	1,679.00	1,799.00	-120.00
69. NEW ORIENTAL ED & TECH GRP ISPON ADR	05/20/2011	11/22/2011	1,607.00	2,075.00	-468.00
11. AMAZON COM INC	05/20/2011	11/23/2011	2,090.00	2,187.00	-97.00
28. NEW ORIENTAL ED & TECH GRP ISPON ADR	05/20/2011	11/23/2011	647.00	842.00	-195.00
22. STARWOOD HOTELS & RESORTS WORLDWIDE	05/20/2011	11/23/2011	975.00	1,307.00	-332.00
172. TELEFONICA DE ESPANA SPONSORED	05/20/2011	11/23/2011	3,002.00	4,088.00	-1,086.00
41.95 FNMA POOL #745343 5.49991% 3/01/36	10/07/2011	11/25/2011	42.00	46.00	-4.00
47.23 FNMA PL # 745418 5.49938% 4/01/36	09/09/2011	11/25/2011	47.00	52.00	-5.00
906.1 FNMA POOL #934231 5.000% 1/01/39	10/11/2011	11/25/2011	906.00	973.00	-67.00
2645.81 FNMA POOL #972295 5.49995% 2/01/38	06/09/2011	11/25/2011	2,646.00	2,877.00	-231.00
46.32 FNMA POOL #995676 4.49974% 5/01/39	07/11/2011	11/25/2011	46.00	48.00	-2.00
3948.84 FNMA POOL #AA5224 4.500% 3/01/39	06/09/2011	11/25/2011	3,949.00	4,119.00	-170.00
1130.07 FNMA POOL #AE1557 5.000% 8/01/40	06/09/2011	11/25/2011	1,130.00	1,209.00	-79.00
92. ARCELORMITTAL-NY REGISTERED	05/20/2011	11/28/2011	1,547.00	3,010.00	-1,463.00
262. BROCADE COMMUNICATION S SYS ICOM NEW	05/20/2011	11/28/2011	1,378.00	1,742.00	-364.00
26. CAREFUSION CORP	05/20/2011	11/28/2011	617.00	748.00	-131.00
13. INTUITIVE SURGICAL INC NEW	05/20/2011	11/28/2011	5,482.00	4,545.00	937.00
29. NEW ORIENTAL ED & TECH GRP ISPON ADR	05/20/2011	11/28/2011	691.00	872.00	-181.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo, day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 44. HONEYWELL INTERNATIONAL INC	05/20/2011	11/29/2011	2,273.00	2,605.00	-332.00
17. LAS VEGAS SANDS CORP	06/08/2011	11/29/2011	754.00	681.00	73.00
27. LAS VEGAS SANDS CORP	09/27/2011	11/29/2011	1,198.00	1,225.00	-27.00 *
14. AGCO CORP	08/05/2011	11/30/2011	630.00	578.00	52.00
75. ACTUANT CORP CL A NEW 00	08/02/2011	11/30/2011	1,699.00	1,923.00	-224.00
40. AIRGAS INC	05/20/2011	11/30/2011	3,043.00	2,668.00	375.00
65. INVERNESS MED INNOVATIONS IN	05/20/2011	11/30/2011	1,507.00	2,640.00	-1,133.00
46. ALLEGHENY TECHNOLOGIES INC	06/20/2011	11/30/2011	2,285.00	2,747.00	-462.00
146. ALLSCRIPTS HEALTHCARE SOLUTIONS INC.	07/07/2011	11/30/2011	2,825.00	2,962.00	-137.00
234. ATMEL CORP	11/04/2011	11/30/2011	2,041.00	2,430.00	-389.00
171. AVIS BUDGET GROUP	07/07/2011	11/30/2011	2,018.00	2,979.00	-961.00
68. BALLY TECHNOLOGIES INC COM	05/20/2011	11/30/2011	2,598.00	2,704.00	-106.00
89. BANKUNITED INC	05/20/2011	11/30/2011	1,927.00	2,354.00	-427.00
701. BROCADE COMMUNICATIONS SYS ICOM NEW	05/20/2011	11/30/2011	3,764.00	4,661.00	-897.00
25. CAMDEN PPTY TR SHS BEN INT	10/03/2011	11/30/2011	1,422.00	1,388.00	34.00
101. CAREFUSION CORP	05/20/2011	11/30/2011	2,479.00	2,908.00	-429.00
66. CAVIUM INC	11/18/2011	11/30/2011	2,119.00	2,146.00	-27.00
123. CIENA CORP	11/04/2011	11/30/2011	1,465.00	1,614.00	-149.00
117. CINEMARK HLDGS INC	05/20/2011	11/30/2011	2,264.00	2,511.00	-247.00
153. COMERICA INC	05/20/2011	11/30/2011	3,790.00	5,645.00	-1,855.00
81. COMSTOCK RESOURCES INC NEW	05/20/2011	11/30/2011	1,341.00	2,132.00	-791.00
52. CONSTELLATION BRANDS INC	05/20/2011	11/30/2011	1,004.00	1,141.00	-137.00
33. CONSTELLATION BRANDS INC	05/20/2011	11/30/2011	633.00	724.00	-91.00
98. CORNING INC	05/20/2011	11/30/2011	1,284.00	1,964.00	-680.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1
(Form 1041)

Department of the Treasury
Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust
31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number
06-1565971

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

(a) Description of property (Example 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr.)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 20. DAVITA INC	09/29/2011	11/30/2011	1,509.00	1,435.00	74.00
270. DIAMONDROCK HOSPITALITY CO	05/20/2011	11/30/2011	2,376.00	2,940.00	-564.00
124. DIGITAL RIV INC	05/20/2011	11/30/2011	1,983.00	3,861.00	-1,878.00
47. DOLBY LABORATORIES INC	07/15/2011	11/30/2011	1,528.00	1,952.00	-424.00
178. EXCO RES INC	07/21/2011	11/30/2011	2,086.00	2,919.00	-833.00
76. ENERSYS	05/20/2011	11/30/2011	1,819.00	2,664.00	-845.00
33. ESTERLINE TECHNOLOGIES CORP	08/03/2011	11/30/2011	1,764.00	2,508.00	-744.00
98. GAYLORD ENTERTAINMENT CORP NEW	05/20/2011	11/30/2011	2,043.00	3,082.00	-1,039.00
120. HANCOCK HLDG CO	05/20/2011	11/30/2011	3,625.00	3,841.00	-216.00
62. HARSCO CORP	05/20/2011	11/30/2011	1,280.00	2,048.00	-768.00
240.99955 HOLOGIC INC	05/20/2011	11/30/2011	4,184.00	5,116.00	-932.00
16.00045 HOLOGIC INC	05/20/2011	11/30/2011	278.00	340.00	-62.00 *
151. ICON PUB LTD CO	05/20/2011	11/30/2011	2,566.00	3,743.00	-1,177.00
234. INTERPUBLIC GROUP COS (DEL)	09/15/2011	11/30/2011	2,161.00	1,877.00	284.00
290. JDS UNIPHASE CORP	10/28/2011	11/30/2011	3,126.00	3,201.00	-75.00
24. KANSAS CITY SOUTHERN INDS	05/20/2011	11/30/2011	1,649.00	1,352.00	297.00
89. LEAP WIRELESS INTL INC	05/20/2011	11/30/2011	787.00	1,403.00	-616.00
78. LEAR CORP	07/18/2011	11/30/2011	3,269.00	3,926.00	-657.00
85. LEGG MASON INC	05/20/2011	11/30/2011	2,218.00	2,884.00	-666.00
218. MANITOWOC INC COM W/RTS EXP 09/18/2006	05/20/2011	11/30/2011	2,391.00	3,835.00	-1,444.00
187. MONSTER WORLDWIDE INC	05/20/2011	11/30/2011	1,353.00	2,803.00	-1,450.00
138. MYRIAD GENETICS INC	05/20/2011	11/30/2011	2,919.00	3,453.00	-534.00
121. NII HLDGS INC	05/20/2011	11/30/2011	2,754.00	5,056.00	-2,302.00
53. NAVISTAR INTL CORP NEW	05/20/2011	11/30/2011	1,972.00	3,567.00	-1,595.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example: 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 84. NISOURCE INC	10/12/2011	11/30/2011	1,909.00	1,827.00	82.00
138. OWENS ILL INC NEW	05/20/2011	11/30/2011	2,673.00	4,420.00	-1,747.00
367. PMC-SIERRA INC	08/02/2011	11/30/2011	2,033.00	2,679.00	-646.00
81. PATTERSON-UTI ENERGY INC 00	08/08/2011	11/30/2011	1,692.00	2,639.00	-947.00
93. PENN NATL GAMING INC 00	07/05/2011	11/30/2011	3,435.00	3,675.00	-240.00
74. PINNACLE ENTMT INC	05/20/2011	11/30/2011	769.00	1,002.00	-233.00
157. RF MICRO DEVICES INC 00	06/20/2011	11/30/2011	953.00	920.00	33.00
22. RALCORP HLDGS INC NEW	10/07/2011	11/30/2011	1,780.00	1,689.00	91.00
44. REGAL BELOIT CORP	07/06/2011	11/30/2011	2,295.00	3,004.00	-709.00
97. RIVERBED TECHNOLOG	11/21/2011	11/30/2011	2,500.00	2,444.00	56.00
58. ROWAN COS INC COM 00	11/16/2011	11/30/2011	1,952.00	2,069.00	-117.00
80. SBA COMMUNICATIONS CORP	06/15/2011	11/30/2011	3,255.00	3,098.00	157.00
46. SL GREEN RLTY CORP	09/01/2011	11/30/2011	2,989.00	3,289.00	-300.00
151. SEALED AIR CORP	09/21/2011	11/30/2011	2,629.00	3,299.00	-670.00
125. SOLUTIA INC	11/17/2011	11/30/2011	1,957.00	2,053.00	-96.00
178. SPIRIT AEROSYSTEMS	05/20/2011	11/30/2011	3,462.00	4,046.00	-584.00
48. TITANIUM METALS CORP	06/16/2011	11/30/2011	742.00	869.00	-127.00
86. TRINITY INDUSTRIES INCORPORATED	08/04/2011	11/30/2011	2,432.00	2,214.00	218.00
407. TRIQUINT SEMICONDUCTO R INC	08/10/2011	11/30/2011	1,771.00	2,943.00	-1,172.00
121. VALUECLICK INC	05/20/2011	11/30/2011	1,853.00	2,132.00	-279.00
6210. VANGUARD MSCI EMERGING MKTS ETF	05/18/2011	11/30/2011	251,562.00	299,847.00	-48,285.00
42. VARIAN MEDICAL SYSTEMS INC	05/20/2011	11/30/2011	2,595.00	2,897.00	-302.00
52. VISTEON CORP	05/20/2011	11/30/2011	2,923.00	3,240.00	-317.00
56. WARNACO GROUP INC/THE	11/09/2011	11/30/2011	2,807.00	2,884.00	-77.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . .

SCHEDULE D-1 (Form 1041)

Department of the Treasury Internal Revenue Service

Continuation Sheet for Schedule D (Form 1041)

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2010

Name of estate or trust: 31-C7B007575005 THE RICHARD AND SUSAN

Employer identification number: 06-1565971

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

(a) Description of property (Example: 100 sh 7% preferred of "Z" Co)	(b) Date acquired (mo, day, yr)	(c) Date sold (mo., day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
1a 26. WHITING PETE CORP NEW	11/29/2011	11/30/2011	1,195.00	1,163.00	32.00
171. ZIONS BANCORP	05/20/2011	11/30/2011	2,707.00	4,037.00	-1,330.00
158. NABORS INDUSTRIES LTD SHS	05/20/2011	11/30/2011	2,803.00	4,189.00	-1,386.00
163. SEAGATE TECHNOLOGY PLC	05/20/2011	11/30/2011	2,765.00	2,756.00	9.00
26. TE CONNECTIVITY LTD	05/20/2011	11/30/2011	812.00	966.00	-154.00

1b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 1b . . . . -179,427.00

For Paperwork Reduction Act Notice, see the Instructions for Form 1041. **Schedule D-1 (Form 1041) 2010**

JSA 0F1221 3 000

* INDICATES WASH SALE

Name of estate or trust as shown on Form 1041 Do not enter name and employer identification number if shown on the other side	Employer identification number
31-C7B007575005 THE RICHARD AND SUSAN	06-1565971

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

(a) Description of property (Example: 100 sh. 7% preferred of "Z" Co)	(b) Date acquired (mo , day, yr)	(c) Date sold (mo , day, yr)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) Subtract (e) from (d)
6a . MSSB SALES - SEE ATTACHED		11/30/2011	237,421.00	221,601.00	15,820.00
. US TRUST SALES - SEE ATTACHED		11/30/2011	7,499,043.00	6,665,817.00	833,226.00
. US TRUST SALES - SEE ATTACHED		11/30/2011	74,903.00	81,215.00	-6,312.00

6b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 6b 842,734.00

FEDERAL CAPITAL GAIN DIVIDENDS

LONG-TERM CAPITAL GAIN DIVIDENDS

15% RATE CAPITAL GAIN DIVIDENDS

COLUMBIA BOND FUND-Z	3,178.00	
HRPT PROPERTIES	5.00	
COMMONWEALTH REIT	1.00	
KALMAR POOLED INVT TR SMALL CAP	10,905.00	
REGENCY CTRS CORPPFD 7.250%	1.00	
REGENCY CTRS CORP PFD SER 5 6.750%		
VORNADO RLTY TR	1.00	
TOTAL 15% RATE CAPITAL GAIN DIVIDENDS		14,090.00
TOTAL LONG-TERM CAPITAL GAIN DIVIDENDS		14,090.00

GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)	Adjusted Realized gain/(loss)	Capital gain/(loss)/ Ordinary Income
CENTERPOINT ENERGY R DTD 03/25/2003 DUE 04/01/2013 RATE 7.875 YTM 1.154	01/29/09 01/13/11 Sold	11,000	$ 11,247.39 $ 11,139.70	$ 102.24 $ 101.27	114.647 12,611.17	$ 1,383.78 LT	$ 1,471.47 LT	$ 1,471.47 $ 0.00

Reserved Client Statement

January 1 - January 31, 2011

THE RICHARD AND SUSAN BRADDOCK Account number 313-1710D-15 649

Realized gain or loss *continued*

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)	Adjusted Realized gain/(loss)	Capital gain/(loss)/ Ordinary Income
NRG ENERGY INC	02/06/09	20,000	$ 19,600.00	$ 98.00		$ 812.60 LT	$ 812.60 LT	$ 672.80
DTD 02/02/2006	01/26/11 Tender		$ 19,600.00	$ 98.00	20,412.60			$ 139.80
DUE 02/01/2014 RATE 7.250								
SPRINT CAP CORP COMPANY GTY	01/29/09	10,000	8,450.00	84.50		1,550.00 LT	1,550.00 LT	0.00
-REG- DTD 1/25/2001	01/31/11 Redemption		8,450.00	84.50	10,000.00			1,550.00
DUE 01/30/2011 RATE 7.625	07/22/09	15,000	14,943.75	99.62		56.25 LT	56.25 LT	0.00
	01/31/11 Redemption		14,943.75	99.62	15,000.00			56.25
	Total	25,000	$ 23,393.75		$ 25,000.00	$ 1,606.25	$ 1,606.25	$ 0.00
								$ 1,606.25
Total Long Term this period						$ 3,782.63	$ 3,890.32	
Total realized gain or (loss) this period			$ 54,133.45		$ 58,023.77	$ 3,782.63	$ 3,890.32	
Total realized Ordinary Income this period								$ 1,746.05
Total realized Capital gain or (loss) this period								$ 2,144.27
Total Long Term year-to-date						$ 3,782.63	$ 3,890.32	
Total Short Term year-to-date						$ 0.00	$ 0.00	
Total realized gain or (loss) year-to-date			$ 54,133.45		$ 58,023.77	$ 3,782.63	$ 3,890.32	
Total realized Ordinary Income year-to-date								$ 1,746.05
Total realized Capital gain or (loss) year-to-date								$ 2,144.27
Total losses disallowed due to wash sale - this period								$ 0.00
Total losses disallowed due to wash sale - year-to-date								$ 0.00

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GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)	Adjusted Realized gain/(loss)	Capital gain/(loss)/ Ordinary Income
EL PASO CORP	02/02/09	25,000	$ 27,125.00	$ 108.50		$ 4,500.00 LT	$ 5,326.25 LT	$ 5,326.25
BOOK/ENTRY	03/29/11 Tender		$ 26,298.75	$ 105.19 ##	31,625.00			$ 0.00
DTD 12/12/2008								
DUE 12/12/2013 RATE 12.000								
Total Long Term this period						$ 4,500.00	$ 5,326.25	
Total realized gain or (loss) this period			$ 26,298.75		$ 31,625.00	$ 4,500.00	$ 5,326.25	
Total realized Capital gain or (loss) this period								$ 5,326.25
Total Long Term year-to-date						$ 8,282.63	$ 9,216.57	
Total Short Term year-to-date						$ 0.00	$ 0.00	
Total realized gain or (loss) year-to-date			$ 80,432.20		$ 89,648.77	$ 8,282.63	$ 9,216.57	
Total realized Ordinary income year-to-date								$ 1,746.05
Total realized Capital gain or (loss) year-to-date								$ 7,470.52
Total losses disallowed due to wash sale - this period								$ 0.00
Total losses disallowed due to wash sale - year-to-date								$ 0.00

Original Issue Discount

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Realized gain or loss

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)	Adjusted Realized gain/(loss)	Capital gain/(loss)/ Ordinary Income
DYNEGY HLDGS INC SR NOTES BK/ENTRY DTD 3/20/2001 DUE 04/01/2011 RATE 6.875	01/29/09	10,000	$ 9,200.00	$ 92.00		$ 800.00 LT	$ 800.00 LT	$ 0.00
	04/01/11 Redemption		$ 9,200.00	$ 92.00	10,000.00			$ 800.00
	02/04/09	10,000	9,300.00	93.00		700.00 LT	700.00 LT	0.00
	04/01/11 Redemption		9,300.00	93.00	10,000.00			700.00
	Total	20,000	$ 18,500.00		$ 20,000.00	$ 1,500.00	$ 1,500.00	$ 0.00
								$ 1,500.00

Ref: 00003502 00027345

MorganStanley SmithBarney

Reserved Client Statement

April 1 - April 30, 2011

THE RICHARD AND SUSAN BRADDOCK Account number 313-1710D-15 649

Realized gain or loss *continued*

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)	Adjusted Realized gain/(loss)	Capital gain/(loss)/ Ordinary Income
NYSE EURONEXT	01/29/09	11,000	$ 11,075 02	$ 100.68	106.507	$ 640.75 LT	$ 676.72 LT	$ 676.72
DTD 05/29/2008	04/06/11 Sold		$ 11,039.05	$ 100.35	11,716.77			$ 0.00
DUE 06/28/2013 RATE 4.800								
YTM 1.788								
Total Long Term this period						$ 2,140.75	$ 2,176.72	
Total realized gain or (loss) this period			$ 29,539.05		$ 31,716.77	$ 2,140.75	$ 2,176.72	
Total realized Ordinary income this period								$ 1,500.00
Total realized Capital gain or (loss) this period								$ 676.72
Total Long Term year-to-date						$ 10,423.38	$ 11,393.29	
Total Short Term year-to-date						$ 0.00	$ 0.00	
Total realized gain or (loss) year-to-date			$ 109,971.25		$ 121,364.54	$ 10,423.38	$ 11,393.29	
Total realized Ordinary income year-to-date								$ 3,246.05
Total realized Capital gain or (loss) year-to-date								$ 8,147.24
Total losses disallowed due to wash sale - this period								$ 0.00
Total losses disallowed due to wash sale - year-to-date								$ 0.00

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Realized gain or loss

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)	Adjusted Realized gain/(loss)	Capital gain/(loss)/ Ordinary income
GEORGIA PAC CORP DTD 05/08/2001 DUE 05/15/2011 RATE 8.125	02/04/09	10,000	$ 9,800.00	$ 98.00		$ 200.00 LT	$ 200.00 LT	$ 0.00
	05/16/11 Redemption		$ 9,800.00	$ 98.00	10,000.00			$ 200.00
	02/05/09	10,000	9,775.00	97.75		225.00 LT	225.00 LT	0.00
	05/16/11 Redemption		9,775.00	97.75	10,000.00			225.00
	Total	20,000	$ 19,575.00		$ 20,000.00	$ 425.00	$ 425.00	$ 0.00
								$ 425.00

Realized gain or loss *continued*

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)	Adjusted Realized gain/(loss)	Capital gain/(loss)/ Ordinary Income
VIACOM INC DTD 4/12/2006 GLOBAL DUE 04/30/2011 RATE 5.750	01/29/09 05/02/11 Redemption	11,000	$ 10,750.96 $ 10,750.96	$ 97.73 $ 97.73	11,000.00	$ 249.04 LT	$ 249.04 LT	$ 0.00 $ 249.04
Total Long Term this period						$ 674.04	$ 674.04	
Total realized gain or (loss) this period			$ 30,325.96		$ 31,000.00	$ 674.04	$ 674.04	
Total realized Ordinary income this period								$ 674.04
Total Long Term year-to-date						$ 11,097.42	$ 12,067.33	
Total Short Term year-to-date						$ 0.00	$ 0.00	
Total realized gain or (loss) year-to-date			$ 140,297.21		$ 152,364.54	$ 11,097.42	$ 12,067.33	
Total realized Ordinary income year-to-date								$ 3,920.09
Total realized Capital gain or (loss) year-to-date								$ 8,147.24
Total losses disallowed due to wash sale - this period								$ 0.00
Total losses disallowed due to wash sale - year-to-date								$ 0.00

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GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)		Adjusted Realized gain/(loss)		Capital gain/(loss)/ Ordinary Income
HOST MARRIOTT LP GLOBAL SR NTS	01/29/09	6,000	$ 5,145.00	$ 85.75		**$ 926.28**	**LT**	**$ 926.28**	**LT**	$ 71.28
BOOK/ENTRY	06/10/11 Redemption		**$ 5,145.00**	$ 85.75	**6,071.28**					**$ 855.00**
DD 02/12/04										
DUE 11/01/2013 RATE 7.125										
VODAFONE GROUP PLC	02/03/09	10,000	10,418.30	104.18		**(418.30)**	**LT**	**0.00**	**LT**	0.00
DTD 3/16/06	06/15/11 Redemption		**10,000.00**	100.00	**10,000.00**					**0.00**
DUE 06/15/2011 RATE 5.500										
Total Long Term this period						**$ 507.98**		**$ 926.28**		
Total realized gain or (loss) this period			**$ 15,145.00**		**$ 16,071.28**	**$ 507.98**		**$ 926.28**		
Total realized Ordinary income this period										**$ 855.00**
Total realized Capital gain or (loss) this period										**$ 71.28**
Total Long Term year-to-date						**$ 11,605.40**		**$ 12,993.61**		
Total Short Term year-to-date						**$ 0.00**		**$ 0.00**		
Total realized gain or (loss) year-to-date			**$ 155,442.21**		**$ 168,435.82**	**$ 11,605.40**		**$ 12,993.61**		
Total realized Ordinary income year-to-date										**$ 4,775.09**
Total realized Capital gain or (loss) year-to-date										**$ 8,218.52**

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Ref: 00000157 00001084

MorganStanley SmithBarney

Reserved Client Statement
July 1 - July 31, 2011

THE RICHARD AND SUSAN BRADDOCK **Account number 313-1710D-15 649**

GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)		Adjusted Realized gain/(loss)		Capital gain/(loss)/ Ordinary income
CREDIT SUISSE FIRST BOSTON USA CSFBDIRECT COM NOTES-BK/ENTRY DTD 11/06/2001 DUE 11/15/2011 RATE 6.125	02/04/09 07/14/11 Sold	10,000	$ 10,213.40 **$ 10,024.80**	$ 102.13 $ 100.24	101.82 **10,182.05**	**($ 31.35)**	**LT**	**$ 157.25**	**LT**	$ 157.25 **$ 0.00**
NEWS AMER HLDGS INC SR NOTES REG-DTD 2/1/1992 DUE 02/01/2013 RATE 9.250 YTM 1.109	02/05/09 07/13/11 Sold	8,000	8,614.16 **8,257.12**	107.67 103.21	112.365 **8,989.20**	**375.04**	**LT**	**732.08**	**LT**	732.08 **0.00**
Total Long Term this period						**$ 343.69**		**$ 889.33**		
Total realized gain or (loss) this period			**$ 18,281.92**		**$ 19,171.25**	**$ 343.69**		**$ 889.33**		
Total realized Capital gain or (loss) this period										**$ 889.33**
Total Long Term year-to-date						**$ 11,949.09**		**$ 13,882.94**		
Total Short Term year-to-date						**$ 0.00**		**$ 0.00**		
Total realized gain or (loss) year-to-date			**$ 173,724.13**		**$ 187,607.07**	**$ 11,949.09**		**$ 13,882.94**		
Total realized Ordinary income year-to-date										**$ 4,775.09**
Total realized Capital gain or (loss) year-to-date										**$ 9,107.85**

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MorganStanley
SmithBarney

Reserved
Client Statement
August 1 - August 31, 2011

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GAIN/LOSS DETAILS

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Realized gain or loss

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)		Adjusted Realized gain/(loss)		Capital gain/(loss)/ Ordinary Income
MORGAN STANLEY NOTES GLOBAL BOOK/ENTRY DD 2/26/03 DUE 03/01/2013 RATE 5.300	02/11/09 08/23/11 Sold	13,000	$ 12,502.10 **$ 12,502.10**	$ 96.17 $ 96.17	103.371 **13,438.23**	**$ 936.13**	**LT**	**$ 936.13**	**LT**	$ 639.86 **$ 296.27**
ONCOR ELEC DELIVERY CO SR SECD NT BK/ENTRY DTD 05/06/2002 DUE 05/01/2012 RATE 6.375	02/06/09 08/30/11 Sold	11,000	11,003.41 **10,999.78**	100.03 99.99	103.416 **11,375.76**	**372.35**	**LT**	**375.98**	**LT**	375.98 **0.00**
Total Long Term this period										
Total realized gain or (loss) this period			**$ 23,501.88**			**$ 1,308.48**		**$ 1,312.11**		
Total realized Ordinary income this period					**$ 24,813.99**	**$ 1,308.48**		**$ 1,312.11**		
Total realized Capital gain or (loss) this period										**$ 296.27**
Total Long Term year-to-date										**$ 1,015.84**
Total Short Term year-to-date						**$ 13,257.57**		**$ 15,185.05**		
Total realized gain or (loss) year-to-date			**$ 197,228.01**			**$ 0.00**		**$ 0.00**		
Total realized Ordinary income year-to-date					**$ 212,421.09**	**$ 13,257.57**		**$ 15,185.05**		
Total realized Capital gain or (loss) year-to-date										**$ 5,071.36**
										$ 10,123.89

Please notify your Financial Advisor if there have been any changes in your financial situation or investment objectives, or if you wish to impose any reasonable restrictions on the management of your Investment Advisory accounts, or to reasonably modify existing restrictions.

For a copy of the applicable SEC Form ADV Disclosure Document for Morgan Stanley Smith Barney LLC, or for any Investment Adviser with whom we contract to manage your investment advisory account, please contact your Financial Advisor. These Disclosure Documents contain important information about advisory programs.

THE RICHARD AND SUSAN BRADDOCK ***Account number 313-1710D-15 649***

GAIN/LOSS DETAILS

Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor. Absent specific instructions from you, trades are allocated using the FIFO (first-in/first-out) method. Day traders should therefore not rely on this section for day trading results. Your reinvestment activity has been summarized. Single lines have been designated to distinguish Short-term (ST) or Long-term (LT) information. Detailed information will be available at year-end in your 1099 Year-end summary.

Realized gain or loss

Description	Original Trade Date/ Closing Trade Date	Quantity	Cost basis/ Adjusted basis	Purchase price/ Adjusted price	Sale price/ Proceeds	Original Realized gain/(loss)		Adjusted Realized gain/(loss)		Capital gain/(loss)/ Ordinary income
ECHOSTAR DBS CORP	02/04/09	25,000	$ 24,375.00	$ 97.50		$ 625.00	LT	$ 625.00	LT	$ 0.00
DTD 05/12/2004	10/03/11 Redemption		$ 24,375.00	$ 97.50	25,000.00					$ 625.00
DUE 10/01/2011 RATE 6.375										
Total Long Term this period						$ 625.00		$ 625.00		
Total realized gain or (loss) this period			$ 24,375.00		$ 25,000.00	$ 625.00		$ 625.00		
Total realized Ordinary income this period										$ 625.00
Total Long Term year-to-date						$ 13,882.57		$ 15,820.05		
Total Short Term year-to-date						$ 0.00		$ 0.00		
Total realized gain or (loss) year-to-date			$ 221,601.01		$ 237,421.06	$ 13,882.57		$ 15,820.05		
Total realized Ordinary income year-to-date										$ 5,696.36
Total realized Capital gain or (loss) year-to-date										$ 10,123.69

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Message: *Please be aware that security valuations reflected under the "Current Value" heading of your client statement and/or the "Market Value" of your account position page online, may not necessarily be reflective of actual market prices at which debt securities may be purchased or sold.*

Statement valuations provided to us through our pricing sources may not necessarily be indicative of where you may ultimately be able to buy or sell a debt security due to various factors. These factors include, but are not limited to, liquidity of the specific security and overall market, trade size, general credit quality and independent credit ratings, security product attributes such as call provisions and other features disclosed in security prospectuses and debt covenants, supply/demand imbalances in the market, and general volatility attributable to the issuer or overall market in general.

US Trust
Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)
R & S BRADDOCK FAMILY FDN
Trust Year Ending 12/31/2011

Account Id: 011005824932

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
04315J506	ARTIO INTL EQUITY FUND								
Sold		03/25/11	17038.03	517,104.33					
Acq		09/08/05	17038.03	517,104 33	609,450 48	609,450 48	-92,346.15	-92,346.15	L
			Total for 3/25/2011		609,450.48	609,450.48	-92,346.15	-92,346.15	
04315J506	ARTIO INTL EQUITY FUND								
Sold		03/25/11	373.36	11,331.42					
Acq		12/29/10	373 36	11,331.42	11,170.88	11,170.88	160.54	160 54	S
			Total for 3/25/2011		11,170.88	11,170.88	160.54	160.54	
04315J506	ARTIO INTL EQUITY FUND								
Sold		03/25/11	1969.76	59,782.21					
Acq		12/30/09	1969.76	59,782.21	55,980.59	55,980 59	3,801.62	3,801.62	L
			Total for 3/25/2011		55,980.59	55,980 59	3,801.62	3,801.62	
19765E823	CMG ULTRA SHORT TERM BOND								
Sold		05/12/11	18973.6	171,521.33					
Acq		09/28/09	18973.6	171,521.33	174,177.64	174,177.64	-2,656.31	-2,656.31	L
			Total for 5/12/2011		174,177 64	174,177 64	-2,656.31	-2,656.31	
19765E823	CMG ULTRA SHORT TERM BOND								
Sold		05/12/11	54884.74	496,158.07					
Acq		04/23/09	54884.74	496,158.07	500,000.00	500,000.00	-3,841.93	-3,841.93	L
			Total for 5/12/2011		500,000 00	500,000.00	-3,841.93	-3,841.93	
19765H362	COLUMBIA FDS SER TR SHORT TERM BD								
Sold		05/12/11	4932.25	49,125.18					
Acq		05/01/06	4932.25	49,125.18	47,245.45	47,245.45	1,879.73	1,879.73	L
			Total for 5/12/2011		47,245.45	47,245.45	1,879.73	1,879.73	
19765H362	COLUMBIA FDS SER TR SHORT TERM BD								
Sold		05/12/11	18062	179,897.52					
Acq		06/29/06	18062	179,897.52	172,513 16	172,513.16	7,384.36	7,384.36	L
			Total for 5/12/2011		172,513.16	172,513.16	7,384.36	7,384.36	
19765H362	COLUMBIA FDS SER TR SHORT TERM BD								
Sold		05/12/11	42507.97	423,379.38					
Acq		03/09/09	42507.97	423,379.38	400,000.00	400,000.00	23,379.38	23,379.38	L
			Total for 5/12/2011		400,000.00	400,000.00	23,379.38	23,379.38	
19765N245	COLUMBIA DIVIDEND INCOME CL Z								
Sold		05/12/11	31699.07	441,885.03					
Acq		11/23/09	31699 07	441,885.03	375,000.00	375,000 00	66,885.03	66,885.03	L
			Total for 5/12/2011		375,000.00	375,000 00	66,885.03	66,885.03	
19765N245	COLUMBIA DIVIDEND INCOME CL Z								
Sold		05/12/11	17559.26	244,776.13					
Acq		10/29/09	17559 26	244,776 13	200,000.00	200,000.00	44,776.13	44,776.13	L
			Total for 5/12/2011		200,000.00	200,000 00	44,776.13	44,776.13	

US Trust
Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)
R & S BRADDOCK FAMILY FDN
Trust Year Ending 12/31/2011

Account Id: 011005824932

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
19765N245	COLUMBIA DIVIDEND INCOME CL Z								
Sold		05/12/11	8818.34	122,927.69					
Acq		09/17/09	8818.34	122,927.69	100,000.00	100,000.00	22,927.69	22,927.69	L
			Total for 5/12/2011		100,000 00	100,000.00	22,927.69	22,927.69	
19765N245	COLUMBIA DIVIDEND INCOME CL Z								
Sold		05/12/11	8944.54	124,686.94					
Acq		11/03/09	8944.54	124,686.94	100,000.00	100,000.00	24,686.94	24,686.94	L
			Total for 5/12/2011		100,000.00	100,000.00	24,686.94	24,686.94	
19765N245	COLUMBIA DIVIDEND INCOME CL Z								
Sold		05/12/11	9090.91	126,727.27					
Acq		09/08/09	9090.91	126,727.27	100,000.00	100,000 00	26,727.27	26,727.27	L
			Total for 5/12/2011		100,000 00	100,000.00	26,727.27	26,727.27	
19765P232	COLUMBIA FDS SER TR I MID CAP								
Sold		05/12/11	8250.83	247,772.27					
Acq		10/28/10	8250.83	247,772.27	200,000.00	200,000.00	47,772.27	47,772.27	S
			Total for 5/12/2011		200,000.00	200,000 00	47,772.27	47,772.27	
19765Y514	COLUMBIA FDS SER TR I VALUE &								
Sold		05/12/11	6501.14	340,074.42					
Acq		03/24/11	6501.14	340,074.42	341,179.60	341,179.60	-1,105.18	-1,105.18	S
			Total for 5/12/2011		341,179.60	341,179.60	-1,105.18	-1,105.18	
19765Y514	COLUMBIA FDS SER TR I VALUE &								
Sold		05/12/11	1628 31	85,176.95					
Acq		10/28/10	1628.31	85,176.95	75,000.00	75,000.00	10,176.95	10,176.95	S
			Total for 5/12/2011		75,000 00	75,000.00	10,176 95	10,176.95	
19765Y514	COLUMBIA FDS SER TR I VALUE &								
Sold		05/12/11	2342.47	122,534.55					
Acq		12/22/09	2342.47	122,534.55	100,000.00	100,000.00	22,534.55	22,534.55	L
			Total for 5/12/2011		100,000.00	100,000.00	22,534.55	22,534.55	
19765Y514	COLUMBIA FDS SER TR I VALUE &								
Sold		05/12/11	2509.41	131,267.24					
Acq		09/28/09	2509 41	131,267.24	100,000.00	100,000 00	31,267.24	31,267.24	L
			Total for 5/12/2011		100,000.00	100,000.00	31,267.24	31,267.24	
19765Y688	COLUMBIA FDS SER TR I SELECT LARGE								
Sold		05/12/11	1372.75	19,369.43					
Acq		05/01/06	1372.75	19,369 43	13,246.99	13,246.99	6,122.44	6,122.44	L
			Total for 5/12/2011		13,246.99	13,246.99	6,122.44	6,122.44	
19765Y688	COLUMBIA FDS SER TR I SELECT LARGE								
Sold		05/12/11	55918	789,002.98					
Acq		06/29/06	55918	789,002.98	520,596.58	520,596.58	268,406.40	268,406 40	L
			Total for 5/12/2011		520,596.58	520,596.58	268,406.40	268,406.40	

US Trust
Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)
R & S BRADDOCK FAMILY FDN
Trust Year Ending 12/31/2011

Account Id: 011005824932

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
19765Y688	COLUMBIA FDS SER TR I SELECT LARGE								
Sold		05/12/11	1398.79	19,736.91					
Acq		11/03/08	1398.79	19,736.91	10,672.77 ☐	10,672.77	9,064 14	9,064.14	L
			Total for 5/12/2011		10,672.77	10,672.77	9,064.14	9,064.14	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	867.92	8,123.72					
Acq		06/21/10	867.92	8,123.72	8,115.04 ☐	8,115.04	8.68	8.68	S
			Total for 5/12/2011		8,115.04	8,115.04	8.68	8.68	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	341.69	3,198.24					
Acq		12/02/10	341.69	3,198.24	3,177.74 ☐	3,177.74	20.50	20.50	S
			Total for 5/12/2011		3,177.74	3,177.74	20.50	20.50	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	1526 71	14,290.01					
Acq		12/02/10	1526.71	14,290.01	14,198.40 ☐	14,198.40	91.61	91.61	S
			Total for 5/12/2011		14,198.40	14,198.40	91.61	91.61	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	24785	231,987.60					
Acq		09/08/05	24785	231,987 60	229,261.25 ☐	229,261.25	2,726 35	2,726.35	L
			Total for 5/12/2011		229,261.25	229,261.25	2,726.35	2,726.35	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	1.44	13.52					
Acq		09/08/05	1.44	13.52	13.08 ☐	13.08	0.44	0.44	L
			Total for 5/12/2011		13.08	13.08	0.44	0.44	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	72062	674,500.32					
Acq		03/10/08	72062	674,500.32	649,999 24 ☐	649,999.24	24,501.08	24,501.08	L
			Total for 5/12/2011		649,999.24	649,999.24	24,501 08	24,501.08	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	358	3,350.88					
Acq		12/15/05	358	3,350.88	3,196.94 ☐	3,196 94	153.94	153.94	L
			Total for 5/12/2011		3,196 94	3,196.94	153.94	153.94	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	11563	108,229.68					
Acq		03/16/06	11563	108,229.68	103,257.59 ☐	103,257.59	4,972.09	4,972.09	L
			Total for 5/12/2011		103,257.59	103,257.59	4,972.09	4,972.09	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	161.43	1,510.95					
Acq		06/24/08	161 43	1,510.95	1,436.69 ☐	1,436.69	74.26	74.26	L
			Total for 5/12/2011		1,436.69	1,436 69	74.26	74.26	

US Trust
Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)
R & S BRADDOCK FAMILY FDN
Trust Year Ending 12/31/2011

Account Id: 011005824932

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	16.44	153.90					
Acq		06/24/08	16.44	153.90	146.33	146.33	7 57	7.57	L
			Total for 5/12/2011		146.33	146.33	7.57	7.57	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	9988	93,487.68					
Acq		10/12/06	9988	93,487.68	88,793 32	88,793.32	4,694.36	4,694.36	L
			Total for 5/12/2011		88,793.32	88,793.32	4,694.36	4,694.36	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	922.3	8,632.73					
Acq		06/19/09	922.3	8,632.73	8,125.46	8,125 46	507.27	507.27	L
			Total for 5/12/2011		8,125 46	8,125.46	507.27	507.27	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	228 31	2,136.96					
Acq		06/19/09	228 31	2,136.96	2,011.39	2,011.39	125.57	125 57	L
			Total for 5/12/2011		2,011.39	2,011.39	125.57	125.57	
19765Y886	COLUMBIA FDS SER TR I BOND FD CL Z								
Sold		05/12/11	14269	133,557.83					
Acq		05/01/06	14269	133,557.83	124,996.44	124,996.44	8,561.39	8,561.39	L
			Total for 5/12/2011		124,996.44	124,996.44	8,561.39	8,561.39	
483438206	KALMAR POOLED INVT TR SMALL CAP								
Sold		03/25/11	5785.4	100,550.29					
Acq		12/31/07	5785 4	100,550.29	88,979.47	88,979.47	11,570.82	11,570.82	L
			Total for 3/25/2011		88,979.47	88,979 47	11,570.82	11,570.82	
483438206	KALMAR POOLED INVT TR SMALL CAP								
Sold		03/25/11	5722.08	99,449.71					
Acq		03/10/08	5722.08	99,449.71	73,872.03	73,872.03	25,577 68	25,577.68	L
			Total for 3/25/2011		73,872.03	73,872.03	25,577.68	25,577.68	
483438206	KALMAR POOLED INVT TR SMALL CAP								
Sold		05/12/11	9769 79	175,465.41					
Acq		03/10/08	9769.79	175,465.41	126,127.97	126,127.97	49,337.44	49,337 44	L
			Total for 5/12/2011		126,127 97	126,127.97	49,337.44	49,337.44	
483438206	KALMAR POOLED INVT TR SMALL CAP								
Sold		05/12/11	18094.14	324,970.79					
Acq		11/03/08	18094.14	324,970.79	182,388.95	182,388.95	142,581.84	142,581.84	L
			Total for 5/12/2011		182,388.95	182,388.95	142,581.84	142,581.84	
885215566	THORNBURG INVT TR INTL VALUE FD CL								
Sold		05/12/11	18713 45	570,573.18					
Acq		03/25/11	18713.45	570,573.18	551,485.46	551,485 46	19,087.72	19,087.72	S
			Total for 5/12/2011		551,485.46	551,485.46	19,087.72	19,087.72	

US Trust

Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)
R & S BRADDOCK FAMILY FDN
Trust Year Ending 12/31/2011

Account Id: 011005824932

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
885215566	THORNBURG INVT TR INTL VALUE FD CL								
Sold		05/12/11	7235.89	220,622.29					
Acq		10/28/10	7235.89	220,622.29	200,000.00	200,000.00	20,622.29	20,622.29	S
			Total for 5/12/2011		200,000.00	200,000.00	20,622.29	20,622.29	
		Total for Account: 011005824932			6,665,816.93	6,665,816.93	833,226 01	833,226.01	

Total Proceeds:		Fed	State
7,499,042 94	S/T Gain/Loss	96,835 38	96,835.38
	L/T Gain/Loss	736,390.63	736,390.63

US Trust

Statement of Capital Gains and Losses From Sales
(Does not include capital gain distributions from mutual funds or CTF's - See Tax Transaction Detail)

Account Id: 011005824940

R & S BRADDOCK FAMILY FDTN CUST
Trust Year Ending 12/31/2011

Type	Description	Date	Shares	Price	Fed Cost	State Cost	Fed Gain	State Gain	(Type)
172967424	CITIGROUP INC								
Sold		05/31/11	0.4	16.17					
Acq		01/01/51	0 4	16.17	.00	00	16.17	16.17	L *
		Total for 5/31/2011			0.00	0.00	16.17	16 17	
172967424	CITIGROUP INC								
Sold		05/31/11	1810	74,887.31					
Acq		01/01/51	1810	74,887.31	81,215.		<6,327.69>		L *
		Total for 5/31/2011					<6,311.52>		

Total for Account: 011005824940

Total Proceeds:		Fed	State
74,903.48	S/T Gain/Loss	0.00	0.00
	L/T Gain/Loss	<6,311.52>	74,903 48

CAUTION: One or more sales in this account may not have Tax Cost. The Gain/Loss from these sales are included in the totals above.

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Asset Detail

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
U.S. Treasuries and Agencies						
U.S. Treasury Bonds and Notes						
U S Treas Nts 0.875% 2/29/12 CUSIP: 912828MQ0	48,000.00	$48,099.36	$48,256.88	-$157.52	$420.00	0.62%
U.S. T Nts Infl In 3.000% 7/15/12 CUSIP: 912828AF7	26,000.00	$33,589.32	$34,047.54	-$458.22	$780.00	0.43%
U S Treas Nts 1.375% 3/15/13 CUSIP: 912828MT4	10,000.00	$10,153.50	$10,158.59	-$5.09	$137.50	0.13%
U S Treas Nts 1.500% 7/31/16 CUSIP: 912828QX1	20,000.00	$20,579.60	$20,414.06	$165.54	$300.00	0.27%
U S Treas Nts 2.125% 8/15/21 CUSIP: 912828RC6	30,000.00	$30,204.00	$30,375.00	-$171.00	$637.50	0.39%
U.S. T Bds Infl In 5.06978% 4/15/28 CUSIP: 912810FD5	10,000.00	$20,829.44	$18,126.83	$2,702.61	$506.98	0.27%
U S Tsy Infl Indx 2.500% 1/15/29 CUSIP: 912810PZ5	36,000.00	$50,536.30	$44,774.64	$5,761.66	$900.00	0.65%
		$213,991.52	$206,153.54	$7,837.98	$3,681.98	2.76%
Government Agency Bonds/Notes						
Fedl Natl Mtg Assn 0.750% 12/18/13 CUSIP: 31398A5W8	25,000.00	$25,089.75	$24,912.00	$177.75	$187.50	0.32%
		$25,089.75	$24,912.00	$177.75	$187.50	0.32%
GNMA, FNMA, FHLMC Pools						
FNMA Pool #745343 5.500% 3/01/36 CUSIP: 31403DBL2	1,847.32	$2,013.58	$2,007.81	$5.77	$101.60	0.03%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
FNMA PL # 745418 5.49999% 4/01/36 CUSIP: 31403DDX4	1,926.53	$2,099.92	$2,113.77	-$13.85	$105.96	0.03%
FNMA Pool #972295 5.50002% 2/01/38 CUSIP: 31414PUU1	70,928.12	$77,090.36	$77,123.25	-$32.89	$3,901.06	1.00%
Fhlmcg Pool #G04913 5.000% 3/01/38 CUSIP: 3128M6YJ1	3,012.89	$3,226.84	$3,224.73	$2.11	$150.64	0.04%
Fhlmcg Pool #G04688 5.500% 9/01/38 CUSIP: 3128M6RH3	3,783.65	$4,087.70	$4,083.68	$4.02	$208.10	0.05%
FNMA Pool #934231 5.000% 1/01/39 CUSIP: 31412TLL5	24,355.21	$26,201.33	$26,155.21	$46.12	$1,217.76	0.34%
FNMA Pool #Aa5224 4.49999% 3/01/39 CUSIP: 31416NYW6	107,154.52	$113,418.77	$111,758.83	$1,659.94	$4,821.94	1.47%
FNMA Pool #995676 4.500% 5/01/39 CUSIP: 31416CCM6	1,520.70	$1,621.96	$1,587.72	$34.24	$68.43	0.02%
FNMA Pool #Ae1557 5.000% 8/01/40 CUSIP: 31419BWT8	23,824.29	$25,641.37	$25,480.82	$160.55	$1,191.21	0.33%
FHLMC Pool #A97618 4.500% 3/01/41 CUSIP: 312946PB6	4,630.31	$4,878.31	$4,874.84	$3.47	$208.36	0.06%
		$260,280.14	$258,410.66	$1,869.48	$11,975.06	3.37%
Total U.S. Treasuries and Agencies		$499,361.41	$489,476.20	$9,885.21	$15,844.54	6.45%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Corporate and Foreign Bonds						
Foreign Corporate Bonds						
Aig-Fp Priv Fund Ltd 2/24/12 CUSIP: 001379AL0	400,000.00	$400,000.00	$400,000.00	$0.00	$0.00	5.18%
Total Corporate and Foreign Bonds		$400,000.00	$400,000.00	$0.00	$0.00	5.18%
Common Equity Securities						
Domestic Common Stocks						
Aarons Inc CUSIP: 002535300	192.00	$5,045.76	$5,283.46	-$237.70	$11.52	0.07%
Abbott Labs Inc Com CUSIP: 002824100	165.00	$9,000.75	$8,856.97	$143.78	$316.80	0.12%
Abercrombie & Fitch Co CL A CUSIP: 002896207	80.00	$3,832.80	$4,954.12	-$1,121.32	$56.00	0.05%
Actuant Corp CL A New CUSIP: 00508X203	131.00	$3,002.52	$3,222.55	-$220.03	$5.24	0.04%
Acuity Brands Inc CUSIP: 00508Y102	103.00	$5,175.75	$6,164.86	-$989.11	$53.56	0.07%
AES Corp CUSIP: 00130H105	481.00	$5,810.48	$5,872.72	-$62.24	$0.00	0.08%
Aetna Inc New Common Stock CUSIP: 00817Y108	304.00	$12,713.28	$12,935.95	-$222.67	$182.40	0.16%
Affiliated Managers Group Inc CUSIP: 008252108	117.00	$11,064.69	$12,321.50	-$1,256.81	$0.00	0.14%
AGCO Corp CUSIP: 001084102	25.00	$1,143.75	$1,022.10	$121.65	$0.00	0.01%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Airgas Inc CUSIP: 009363102	71.00	$5,463.45	$4,678.49	$784.96	$90.88	0.07%
ALCOA Inc Com CUSIP: 013817101	631.00	$6,322.62	$10,201.22	-$3,878.60	$75.72	0.08%
Alexion Pharmaceuticals Inc CUSIP: 015351109	250.00	$17,165.00	$11,981.06	$5,183.94	$0.00	0.22%
Allegheny Technologies Inc CUSIP: 01741R102	79.00	$3,967.38	$4,364.32	-$396.94	$56.88	0.05%
Allergan Inc CUSIP: 018490102	232.00	$19,423.04	$19,400.19	$22.85	$46.40	0.25%
Allscripts HealthCare Solutions Inc. CUSIP: 01988P108	261.00	$5,079.06	$5,273.15	-$194.09	$0.00	0.07%
Amazon Com Inc CUSIP: 023135106	156.00	$29,997.24	$30,981.48	-$984.24	$0.00	0.39%
American Electric Power CUSIP: 025537101	348.00	$13,808.64	$13,445.72	$362.92	$654.24	0.18%
American Express Co Com CUSIP: 025816109	283.00	$13,595.32	$14,257.83	-$662.51	$203.76	0.18%
Ameriprise Finl Inc CUSIP: 03076C106	191.00	$8,768.81	$11,509.71	-$2,740.90	$175.72	0.11%
Ametek Inc New CUSIP: 031100100	184.00	$7,882.56	$7,883.20	-$0.64	$44.16	0.10%
Anadarko Petroleum Corp CUSIP: 032511107	60.00	$4,876.20	$4,436.40	$439.80	$21.60	0.06%
Ansys Inc CUSIP: 03662Q105	154.00	$9,543.38	$8,801.72	$741.66	$0.00	0.12%
Apache Corp CUSIP: 037411105	110.00	$10,938.40	$13,624.91	-$2,686.51	$66.00	0.14%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Apple Incorporated CUSIP: 037833100	165.00	$63,063.00	$55,721.25	$7,341.75	$0.00	0.82%
Applied Materials Com CUSIP: 038222105	851.00	$9,173.78	$11,944.21	-$2,770.43	$272.32	0.12%
Aptargroup Inc CUSIP: 038336103	134.00	$6,805.86	$7,041.16	-$235.30	$117.92	0.09%
Archer Daniels Midland Co Com CUSIP: 039483102	430.00	$12,951.60	$13,497.70	-$546.10	$301.00	0.17%
AT & T Inc CUSIP: 00206R102	293.00	$8,491.14	$9,187.42	-$696.28	$503.96	0.11%
Atmel Corp Com CUSIP: 049513104	348.00	$3,086.76	$3,570.66	-$483.90	$0.00	0.04%
Avis Budget Group CUSIP: 053774105	300.00	$3,540.00	$4,833.35	-$1,293.35	$0.00	0.05%
Baker Hughes Inc Com CUSIP: 057224107	309.00	$16,874.49	$18,629.38	-$1,754.89	$185.40	0.22%
Bally Technologies Inc Com CUSIP: 05874B107	123.00	$4,715.82	$4,890.47	-$174.65	$0.00	0.06%
Bank of New York Mellon Corp CUSIP: 064058100	371.00	$7,219.66	$10,200.18	-$2,980.52	$192.92	0.09%
Bankunited Inc CUSIP: 06652K103	161.00	$3,492.09	$4,257.48	-$765.39	$90.16	0.05%
Baxter International Inc Com CUSIP: 071813109	150.00	$7,749.00	$9,064.20	-$1,315.20	$201.00	0.10%
Bio Rad Labs Inc CUSIP: 090572207	77.00	$7,261.10	$9,254.24	-$1,993.14	$0.00	0.09%
Biogen IDEC Inc CUSIP: 09062X103	36.00	$4,138.20	$4,055.96	$82.24	$0.00	0.05%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Blackbaud Inc CUSIP: 09227Q100	280.00	$8,234.80	$7,880.18	$354.62	$134.40	0.11%
Boeing Company Com CUSIP: 097023105	41.00	$2,816.29	$3,181.92	-$365.63	$68.88	0.04%
Borg Warner Inc. CUSIP: 099724106	47.00	$3,098.24	$3,425.06	-$326.82	$0.00	0.04%
Brocade Communications Sys Icom New CUSIP: 111621306	1,516.00	$8,156.08	$9,873.76	-$1,717.68	$0.00	0.11%
C H Robinson Worldwide Inc CUSIP: 12541W209	105.00	$7,193.55	$8,483.37	-$1,289.82	$121.80	0.09%
Ca, Inc CUSIP: 12673P105	197.00	$4,176.40	$4,543.34	-$366.94	$39.40	0.05%
Carefusion Corp CUSIP: 14170T101	206.00	$5,104.68	$5,930.33	-$825.65	$0.00	0.07%
Carlisle Companies Inc CUSIP: 142339100	173.00	$7,715.80	$7,836.47	-$120.67	$124.56	0.10%
Carmax Inc CUSIP: 143130102	177.00	$5,090.52	$5,256.55	-$166.03	$0.00	0.07%
Cavium Inc CUSIP: 14964U108	113.00	$3,688.32	$3,637.53	$50.79	$0.00	0.05%
CBS Corp CL B New CUSIP: 124857202	214.00	$5,572.56	$5,783.63	-$211.07	$85.60	0.07%
Cerner Corp CUSIP: 156782104	35.00	$2,134.30	$1,997.75	$136.55	$0.00	0.03%
Chevron Corp CUSIP: 166764100	238.00	$24,471.16	$24,558.06	-$86.90	$771.12	0.32%
Church & Dwight Inc CUSIP: 171340102	118.00	$5,221.50	$4,883.43	$338.07	$80.24	0.07%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
CIENA Corp CUSIP: 171779309	216.00	$2,615.76	$2,810.42	-$194.66	$0.00	0.03%
Cinemark Hldgs Inc CUSIP: 17243V102	209.00	$4,094.31	$4,453.91	-$359.60	$175.56	0.05%
CISCO Systems Inc Com CUSIP: 17275R102	323.00	$6,020.72	$5,088.56	$932.16	$77.52	0.08%
CITRIX Sys Inc Com CUSIP: 177376100	102.00	$7,281.78	$8,622.47	-$1,340.69	$0.00	0.09%
City Natl Corp Com CUSIP: 178566105	129.00	$5,472.18	$7,181.25	-$1,709.07	$103.20	0.07%
Clarcor Inc CUSIP: 179895107	75.00	$3,631.50	$3,057.47	$574.03	$36.00	0.05%
Cliffs Natural Resources Inc Com CUSIP: 18683K101	65.00	$4,407.65	$3,899.44	$508.21	$72.80	0.06%
Coach Inc CUSIP: 189754104	187.00	$11,704.33	$11,134.19	$570.14	$168.30	0.15%
Coca Cola Co Com CUSIP: 191216100	228.00	$15,328.44	$15,497.70	-$169.26	$428.64	0.20%
Columbia Sportswear Co CUSIP: 198516106	53.00	$2,692.40	$3,488.99	-$796.59	$46.64	0.03%
Comcast Corp New CUSIP: 20030N101	473.00	$10,722.91	$11,849.67	-$1,126.76	$212.85	0.14%
Comerica CUSIP: 200340107	407.00	$10,264.54	$14,553.38	-$4,288.84	$162.80	0.13%
Comstock RES Inc CUSIP: 205768203	143.00	$2,378.09	$3,764.62	-$1,386.53	$0.00	0.03%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Constellation Brands Inc CUSIP: 21036P108	127.00	$2,472.69	$2,787.40	-$314.71	$0.00	0.03%
Copart Inc CUSIP: 217204106	76.00	$3,414.68	$3,527.16	-$112.48	$0.00	0.04%
Corning Inc CUSIP: 219350105	665.00	$8,824.55	$13,326.60	-$4,502.05	$199.50	0.11%
Cullen Frost Bankers Inc Com CUSIP: 229899109	59.00	$2,983.63	$3,479.82	-$496.19	$108.56	0.04%
Cvs/Caremark Corp CUSIP: 126650100	337.00	$13,089.08	$12,474.66	$614.42	$168.50	0.17%
Dana Hldg Corp CUSIP: 235825205	389.00	$4,846.94	$6,455.98	-$1,609.04	$0.00	0.06%
Danaher Corp CUSIP: 235851102	83.00	$4,015.54	$4,554.21	-$538.67	$8.30	0.05%
Davita Inc CUSIP: 23918K108	37.00	$2,818.66	$2,512.79	$305.87	$0.00	0.04%
Dell Inc CUSIP: 24702R101	634.00	$9,991.84	$10,160.23	-$168.39	$0.00	0.13%
Dentsply Intl Inc New Com CUSIP: 249030107	266.00	$9,605.26	$10,500.56	-$895.30	$58.52	0.12%
Devon Energy Corporation New CUSIP: 25179M103	287.00	$18,787.02	$23,911.54	-$5,124.52	$195.16	0.24%
Digital Riv Inc CUSIP: 25388B104	221.00	$3,533.79	$6,707.72	-$3,173.93	$0.00	0.05%
Dolby Laboratories Inc CUSIP: 25659T107	83.00	$2,732.36	$3,429.83	-$697.47	$0.00	0.04%
Dril-Quip Inc CUSIP: 262037104	51.00	$3,627.63	$3,553.68	$73.95	$0.00	0.05%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
E M C Corp Mass Com CUSIP: 268648102	214.00	$4,924.14	$6,015.12	-$1,090.98	$0.00	0.06%
Eaton Corp CUSIP: 278058102	193.00	$8,667.63	$9,195.43	-$527.80	$262.48	0.11%
Energizer Hldgs Inc Com CUSIP: 29266R108	102.00	$7,372.56	$7,747.98	-$375.42	$0.00	0.10%
Enersys CUSIP: 29275Y102	135.00	$3,246.75	$4,655.17	-$1,408.42	$0.00	0.04%
EOG Resources Inc CUSIP: 26875P101	46.00	$4,772.04	$4,922.92	-$150.88	$29.44	0.06%
Equifax Inc Com CUSIP: 294429105	224.00	$8,321.60	$8,105.57	$216.03	$143.36	0.11%
Esterline Technologies Corp CUSIP: 297425100	58.00	$3,124.46	$4,086.39	-$961.93	$0.00	0.04%
Exco RES Inc CUSIP: 269279402	312.00	$3,715.92	$5,102.42	-$1,386.50	$49.92	0.05%
Express Scripts Inc CUSIP: 302182100	99.00	$4,519.35	$5,958.40	-$1,439.05	$0.00	0.06%
Factset Resh Sys Inc CUSIP: 303075105	49.00	$4,568.27	$5,311.60	-$743.33	$52.92	0.06%
Fair Isaac Corp CUSIP: 303250104	244.00	$8,874.28	$7,040.82	$1,833.46	$19.52	0.11%
Family Dlr Stores Inc CUSIP: 307000109	73.00	$4,337.66	$4,114.35	$223.31	$52.56	0.06%
Flir Sys Inc CUSIP: 302445101	270.00	$7,252.20	$9,289.06	-$2,036.86	$64.80	0.09%
FMC Technologies Inc CUSIP: 30249U101	280.00	$14,660.80	$11,879.14	$2,781.66	$0.00	0.19%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Forest City Enterprises Inc CL A CUSIP: 345550107	369.00	$4,479.66	$6,958.86	-$2,479.20	$0.00	0.06%
F5 Networks Inc CUSIP: 315616102	140.00	$15,824.20	$15,100.40	$723.80	$0.00	0.20%
Gap Inc Com CUSIP: 364760108	360.00	$6,728.40	$6,767.16	-$38.76	$162.00	0.09%
Gaylord Entertainment Corp New CUSIP: 367905106	172.00	$3,649.84	$5,091.10	-$1,441.26	$0.00	0.05%
General Electric Corp Com CUSIP: 369604103	534.00	$8,495.94	$10,391.37	-$1,895.43	$320.40	0.11%
Gentex Corp Com CUSIP: 371901109	270.00	$7,959.60	$7,652.17	$307.43	$129.60	0.10%
Google Inc CUSIP: 38259P508	68.00	$40,758.52	$36,184.99	$4,573.53	$0.00	0.53%
Graco Inc CUSIP: 384109104	106.00	$4,556.94	$5,292.69	-$735.75	$89.04	0.06%
Grainger W W Inc Com CUSIP: 384802104	75.00	$14,017.50	$11,325.75	$2,691.75	$198.00	0.18%
Halliburton Co Com CUSIP: 406216101	320.00	$11,776.00	$14,841.09	-$3,065.09	$115.20	0.15%
Hancock Hldg Co CUSIP: 410120109	210.00	$6,412.35	$6,596.95	-$184.60	$201.60	0.08%
Harsco Corp CUSIP: 415864107	106.00	$2,187.84	$3,423.19	-$1,235.35	$86.92	0.03%
HCC Ins Hldgs Inc Com CUSIP: 404132102	379.00	$10,187.52	$12,109.99	-$1,922.47	$234.98	0.13%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Henry Jack & Assoc Inc Com CUSIP: 426281101	170.00	$5,645.70	$5,250.93	$394.77	$71.40	0.07%
Hess Corp CUSIP: 42809H107	189.00	$11,381.58	$14,845.42	-$3,463.84	$75.60	0.15%
Hologic Inc CUSIP: 436440101	886.00	$15,602.46	$18,568.08	-$2,965.62	$0.00	0.20%
Home Depot Inc Com CUSIP: 437076102	299.00	$11,726.78	$11,021.98	$704.80	$346.84	0.15%
Honeywell Intl Inc CUSIP: 438516106	486.00	$26,316.90	$28,193.58	-$1,876.68	$724.14	0.34%
Hospira Inc CUSIP: 441060100	242.00	$6,821.98	$11,539.47	-$4,717.49	$0.00	0.09%
Hunt J B Trans Svcs Inc CUSIP: 445658107	133.00	$6,080.76	$6,145.40	-$64.64	$69.16	0.08%
Idex Corp CUSIP: 45167R104	177.00	$6,453.42	$7,899.69	-$1,446.27	$120.36	0.08%
Illumina Inc CUSIP: 452327109	449.00	$12,491.18	$31,381.12	-$18,889.94	$0.00	0.16%
Intel Corp Com CUSIP: 458140100	599.00	$14,921.09	$13,937.80	$983.29	$503.16	0.19%
Intercontinentalexchange Inc CUSIP: 45865V100	100.00	$12,172.00	$12,167.50	$4.50	$0.00	0.16%
Interpublic Group Cos Inc Com CUSIP: 460690100	415.00	$3,892.70	$3,323.89	$568.81	$99.60	0.05%
Intuitive Surgical Inc New CUSIP: 46120E602	45.00	$19,539.45	$15,733.35	$3,806.10	$0.00	0.25%

Statement of Value and Activity

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Inverness Med Innovations In CUSIP: 01449J105	117.00	$2,736.63	$4,752.07	-$2,015.44	$0.00	0.04%
Jacobs Engr Group Inc CUSIP: 469814107	169.00	$7,020.26	$7,888.55	-$868.29	$0.00	0.09%
JDS Uniphase Corp CUSIP: 46612J507	507.00	$5,566.86	$5,462.41	$104.45	$0.00	0.07%
Johnson & Johnson Com CUSIP: 478160104	227.00	$14,691.44	$14,819.09	-$127.65	$517.56	0.19%
JPMorgan Chase & Co CUSIP: 46625H100	322.00	$9,972.34	$13,881.13	-$3,908.79	$322.00	0.13%
Juniper Networks Inc CUSIP: 48203R104	163.00	$3,701.73	$6,371.31	-$2,669.58	$0.00	0.05%
Kansas City Southern CUSIP: 485170302	43.00	$2,925.29	$2,303.31	$621.98	$0.00	0.04%
KBR Inc CUSIP: 48242W106	279.00	$8,063.10	$9,774.55	-$1,711.45	$55.80	0.10%
Kimberly-Clark Corp Com CUSIP: 494368103	220.00	$15,723.40	$15,191.90	$531.50	$616.00	0.20%
Kirby Corp CUSIP: 497266106	136.00	$8,742.08	$7,325.24	$1,416.84	$0.00	0.11%
Kohls Corp Com CUSIP: 500255104	108.00	$5,810.40	$5,203.64	$606.76	$108.00	0.08%
Kraft Foods Inc CL A CUSIP: 50075N104	351.00	$12,688.65	$12,367.98	$320.67	$407.16	0.16%
Kroger CUSIP: 501044101	267.00	$6,189.06	$6,576.43	-$387.37	$122.82	0.08%
Las Vegas Sands Corp CUSIP: 517834107	492.00	$22,981.32	$20,545.51	$2,435.81	$0.00	0.30%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Lauder Estee Cos Inc CL A CUSIP: 518439104	50.00	$5,899.00	$4,616.03	$1,282.97	$52.50	0.08%
Leap Wireless Intl Inc CUSIP: 521863308	148.00	$1,342.36	$2,332.43	-$990.07	$0.00	0.02%
Lear Corp CUSIP: 521865204	137.00	$5,744.41	$6,680.70	-$936.29	$68.50	0.07%
Legg Mason Inc CUSIP: 524901105	149.00	$3,952.97	$5,055.15	-$1,102.18	$47.68	0.05%
Lennar Corp Class A Com CUSIP: 526057104	445.00	$8,192.45	$7,986.22	$206.23	$71.20	0.11%
Lkq Corp CUSIP: 501889208	367.00	$11,204.51	$9,316.27	$1,888.24	$0.00	0.14%
Lorillard Inc CUSIP: 544147101	34.00	$3,795.08	$3,854.38	-$59.30	$176.80	0.05%
Manitowoc Inc CUSIP: 563571108	361.00	$3,996.27	$6,190.27	-$2,194.00	$28.88	0.05%
Markel Corp CUSIP: 570535104	37.00	$14,851.80	$15,233.22	-$381.42	$0.00	0.19%
McDonalds Corp Com CUSIP: 580135101	81.00	$7,737.12	$6,688.82	$1,048.30	$226.80	0.10%
Mead Johnson Nutrition Co CUSIP: 582839106	83.00	$6,254.88	$5,596.69	$658.19	$86.32	0.08%
Meadwestvaco Corp CUSIP: 583334107	176.00	$5,253.60	$5,855.27	-$601.67	$176.00	0.07%
Medtronic Inc CUSIP: 585055106	315.00	$11,475.45	$13,310.77	-$1,835.32	$305.55	0.15%
Mercadolibre Inc CUSIP: 58733R102	94.00	$8,242.86	$5,995.51	$2,247.35	$30.08	0.11%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Metlife Inc CUSIP: 59156R108	346.00	$10,892.08	$14,799.42	-$3,907.34	$256.04	0.14%
Mettler-Toledo Intl Inc Com CUSIP: 592688105	26.00	$4,154.80	$4,395.04	-$240.24	$0.00	0.05%
Microsoft Corp Com CUSIP: 594918104	390.00	$9,976.20	$9,703.50	$272.70	$312.00	0.13%
Monsanto Co New CUSIP: 61166W101	135.00	$9,915.75	$9,550.49	$365.26	$162.00	0.13%
Monster Worldwide Inc CUSIP: 611742107	335.00	$2,448.85	$5,020.98	-$2,572.13	$0.00	0.03%
Morningstar Inc CUSIP: 617700109	190.00	$11,447.50	$11,339.39	$108.11	$38.00	0.15%
Mosaic Co New CUSIP: 61945C103	193.00	$10,182.68	$12,468.07	-$2,285.39	$38.60	0.13%
Motorola Solutions Inc CUSIP: 620076307	144.00	$6,720.48	$6,754.75	-$34.27	$126.72	0.09%
Mylan Inc CUSIP: 628530107	266.00	$5,194.98	$4,895.34	$299.64	$0.00	0.07%
Myriad Genetics Inc CUSIP: 62855J104	254.00	$5,397.50	$6,355.00	-$957.50	$0.00	0.07%
Nat'l Oilwell Varco CUSIP: 637071101	437.00	$31,332.90	$30,046.26	$1,286.64	$209.76	0.41%
Navistar Intl Corp New CUSIP: 63934E108	284.00	$10,573.32	$14,655.18	-$4,081.86	$0.00	0.14%
Netflix Com Inc CUSIP: 64110L106	116.00	$7,485.48	$19,351.08	-$11,865.60	$0.00	0.10%
Nii Hldgs Inc CUSIP: 62913F201	213.00	$4,901.13	$8,331.39	-$3,430.26	$0.00	0.06%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Nike Inc Class B Com CUSIP: 654106103	155.00	$14,907.90	$13,222.59	$1,685.31	$223.20	0.19%
Nisource Inc CUSIP: 65473P105	149.00	$3,413.59	$3,229.15	$184.44	$137.08	0.04%
Norfolk Southern Corp CUSIP: 655844108	109.00	$8,233.86	$7,887.23	$346.63	$187.48	0.11%
NYSE Euronext Inc CUSIP: 629491101	277.00	$7,911.12	$7,618.30	$292.82	$332.40	0.10%
O Reilly Automotive Inc CUSIP: 67103H107	139.00	$10,736.36	$8,038.23	$2,698.13	$0.00	0.14%
Oceaneering Intl Inc CUSIP: 675232102	130.00	$6,182.80	$5,313.10	$869.70	$78.00	0.08%
on Semiconductor Corp CUSIP: 682189105	1,077.00	$8,109.81	$10,975.67	-$2,865.86	$0.00	0.10%
Opentable Inc CUSIP: 68372A104	65.00	$2,299.05	$5,890.95	-$3,591.90	$0.00	0.03%
Oracle Corporation Com CUSIP: 68389X105	469.00	$14,703.15	$16,056.88	-$1,353.73	$112.56	0.19%
Owens ILL Inc CUSIP: 690768403	242.00	$4,726.26	$7,751.88	-$3,025.62	$0.00	0.06%
Pall Corp Com CUSIP: 696429307	65.00	$3,541.85	$2,881.66	$660.19	$45.50	0.05%
Patterson-Uti Energy Inc CUSIP: 703481101	141.00	$2,963.82	$4,013.99	-$1,050.17	$28.20	0.04%
Penn Natl Gaming Inc CUSIP: 707569109	162.00	$6,011.82	$6,328.03	-$316.21	$0.00	0.08%
Pepsico Inc Com CUSIP: 713448108	122.00	$7,808.00	$8,442.48	-$634.48	$251.32	0.10%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Pfizer Inc Com CUSIP: 717081103	720.00	$14,450.40	$14,884.33	-$433.93	$576.00	0.19%
Pinnacle Entmt Inc CUSIP: 723456109	129.00	$1,363.53	$1,746.65	-$383.12	$0.00	0.02%
PMC-Sierra Inc CUSIP: 69344F106	661.00	$3,694.99	$4,511.84	-$816.85	$0.00	0.05%
Praxair Inc Com CUSIP: 74005P104	152.00	$15,504.00	$15,382.55	$121.45	$304.00	0.20%
Precision Castparts Corp CUSIP: 740189105	56.00	$9,226.00	$8,638.00	$588.00	$6.72	0.12%
Priceline Com Inc CUSIP: 741503403	1,630.00	$792,000.70	$23,020.64	$768,980.06	$0.00	10.25%
Procter & Gamble Company Com CUSIP: 742718109	127.00	$8,200.39	$8,521.00	-$320.61	$266.70	0.11%
Prudential Financial Inc CUSIP: 744320102	146.00	$7,393.44	$7,634.37	-$240.93	$211.70	0.10%
Qualcomm Inc Com CUSIP: 747525103	525.00	$28,770.00	$30,129.22	-$1,359.22	$451.50	0.37%
Ralcorp Hldgs Inc New CUSIP: 751028101	40.00	$3,252.80	$3,064.19	$188.61	$0.00	0.04%
Range RES Corp CUSIP: 75281A109	56.00	$4,015.76	$2,996.56	$1,019.20	$8.96	0.05%
Raytheon Co CUSIP: 755111507	66.00	$3,007.62	$3,274.92	-$267.30	$113.52	0.04%
Regal Beloit Corp CUSIP: 758750103	77.00	$4,054.82	$5,206.63	-$1,151.81	$55.44	0.05%
Republic Svcs Inc CUSIP: 760759100	147.00	$4,035.15	$4,108.62	-$73.47	$129.36	0.05%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Rf Micro Devices Inc CUSIP: 749941100	268.00	$1,669.64	$1,509.86	$159.78	$0.00	0.02%
Riverbed Technolog CUSIP: 768573107	169.00	$4,394.00	$4,077.13	$316.87	$0.00	0.06%
Rowan Cos Inc Com CUSIP: 779382100	103.00	$3,492.73	$3,653.20	-$160.47	$0.00	0.05%
Salesforce Com Inc CUSIP: 79466L302	230.00	$27,236.60	$33,902.92	-$6,666.32	$0.00	0.35%
Sally Beauty Hldgs Inc CUSIP: 79546E104	388.00	$7,798.80	$6,379.63	$1,419.17	$0.00	0.10%
Sba Communications Corp CUSIP: 78388J106	143.00	$5,847.27	$5,317.34	$529.93	$0.00	0.08%
Schein Henry Inc CUSIP: 806407102	133.00	$8,557.22	$9,622.68	-$1,065.46	$0.00	0.11%
Schwab Charles Corp New CUSIP: 808513105	725.00	$8,671.00	$12,629.50	-$3,958.50	$174.00	0.11%
Sealed Air Corp New Com CUSIP: 81211K100	266.00	$4,686.92	$5,364.79	-$677.87	$138.32	0.06%
SEI Invts Co CUSIP: 784117103	332.00	$5,577.60	$7,161.30	-$1,583.70	$79.68	0.07%
Sigma Aldrich Corp CUSIP: 826552101	61.00	$3,953.41	$4,335.40	-$381.99	$43.92	0.05%
SL Green Rlty Corp CUSIP: 78440X101	80.00	$5,267.20	$5,529.58	-$262.38	$252.00	0.07%
Solera Hldgs Inc CUSIP: 83421A104	58.00	$2,744.56	$3,329.72	-$585.16	$23.20	0.04%
Solutia Inc CUSIP: 834376501	213.00	$3,390.96	$3,382.45	$8.51	$0.00	0.04%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Southwestern Energy Co CUSIP: 845467109	255.00	$9,702.75	$10,643.94	-$941.19	$0.00	0.13%
Spirit Aerosystems CUSIP: 848574109	315.00	$6,145.65	$7,106.68	-$961.03	$0.00	0.08%
Sprint Nextel Corp CUSIP: 852061100	2,066.00	$5,578.20	$9,367.67	-$3,789.47	$0.00	0.07%
Starbucks Corp Com CUSIP: 855244109	525.00	$22,827.00	$19,316.04	$3,510.96	$357.00	0.30%
Starwood Hotels & Resorts Worldwide CUSIP: 85590A401	130.00	$6,198.40	$6,928.34	-$729.94	$65.00	0.08%
State Street Corp CUSIP: 857477103	224.00	$8,881.60	$10,073.46	-$1,191.86	$161.28	0.11%
Stericycle Inc CUSIP: 858912108	25.00	$2,025.50	$2,018.67	$6.83	$0.00	0.03%
Symantec Corp Com CUSIP: 871503108	342.00	$5,591.70	$6,545.46	-$953.76	$0.00	0.07%
Target Corp Com CUSIP: 87612E106	222.00	$11,699.40	$11,092.54	$606.86	$266.40	0.15%
Tenet HealthCare Corp Com CUSIP: 88033G100	931.00	$4,329.15	$5,845.38	-$1,516.23	$0.00	0.06%
Terex Corp New CUSIP: 880779103	354.00	$5,462.22	$10,185.23	-$4,723.01	$0.00	0.07%
Textron Inc CUSIP: 883203101	471.00	$9,151.53	$10,835.89	-$1,684.36	$37.68	0.12%
The Scotts Miracle-Gro Company CUSIP: 810186106	121.00	$5,334.89	$6,501.40	-$1,166.51	$145.20	0.07%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
The Travelers Companies Inc CUSIP: 89417E109	203.00	$11,418.75	$12,654.27	-$1,235.52	$332.92	0.15%
Thermo Fisher Corp CUSIP: 883556102	49.00	$2,315.25	$2,454.71	-$139.46	$0.00	0.03%
Time Warner Inc CUSIP: 887317303	521.00	$18,141.22	$19,289.99	-$1,148.77	$489.74	0.23%
Titanium Metals Corp CUSIP: 888339207	85.00	$1,324.30	$1,476.54	-$152.24	$25.50	0.02%
Trinity Inds Inc CUSIP: 896522109	145.00	$4,144.10	$3,709.42	$434.68	$52.20	0.05%
Triquint Semiconductor Inc CUSIP: 89674K103	715.00	$3,124.55	$4,599.48	-$1,474.93	$0.00	0.04%
Tyson Foods Inc CUSIP: 902494103	288.00	$5,800.32	$5,211.05	$589.27	$46.08	0.08%
Umpqua Hldgs Corp CUSIP: 904214103	455.00	$5,687.50	$5,267.99	$419.51	$127.40	0.07%
Union Pac Corp Com CUSIP: 907818108	150.00	$15,511.50	$14,307.74	$1,203.76	$360.00	0.20%
United Technologies Corp Com CUSIP: 913017109	52.00	$3,983.20	$4,556.76	-$573.56	$99.84	0.05%
UnitedHealth Group Inc CUSIP: 91324P102	112.00	$5,462.24	$5,649.04	-$186.80	$72.80	0.07%
Universal Health Svcs Inc CL B CUSIP: 913903100	66.00	$2,654.52	$3,527.04	-$872.52	$13.20	0.03%
V F Corp CUSIP: 918204108	42.00	$5,824.98	$4,104.66	$1,720.32	$120.96	0.08%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Valero Energy Corp Com New CUSIP: 91913Y100	242.00	$5,389.34	$6,315.83	-$926.49	$145.20	0.07%
Valueclick Inc CUSIP: 92046N102	216.00	$3,339.36	$3,805.86	-$466.50	$0.00	0.04%
Varian Medical Systems Inc CUSIP: 92220P105	151.00	$9,396.73	$10,207.88	-$811.15	$0.00	0.12%
Verifone Systems Inc CUSIP: 92342Y109	80.00	$3,508.00	$3,130.84	$377.16	$0.00	0.05%
Verisk Analytics I CL A Usd0.001 CUSIP: 92345Y106	154.00	$6,049.12	$5,243.08	$806.04	$0.00	0.08%
Visa Inc-Class A Shares CUSIP: 92826C839	345.00	$33,454.65	$27,183.93	$6,270.72	$303.60	0.43%
Visteon Corp CUSIP: 92839U206	89.00	$4,979.55	$5,358.37	-$378.82	$0.00	0.06%
WalMart Stores Inc Com CUSIP: 931142103	155.00	$9,129.50	$8,180.02	$949.48	$226.30	0.12%
Warnaco Group Inc/The CUSIP: 934390402	98.00	$4,967.62	$4,856.42	$111.20	$0.00	0.06%
Waters Corp CUSIP: 941848103	92.00	$7,360.00	$8,991.71	-$1,631.71	$0.00	0.10%
Western Un Co CUSIP: 959802109	693.00	$12,085.92	$13,675.34	-$1,589.42	$221.76	0.16%
Wiley John & Sons Inc CL A CUSIP: 968223206	182.00	$8,754.20	$9,474.82	-$720.62	$145.60	0.11%
Wright Express Corp CUSIP: 98233Q105	67.00	$3,516.16	$3,246.55	$269.61	$0.00	0.05%
YAHOO Inc CUSIP: 984332106	389.00	$6,111.19	$6,336.31	-$225.12	$0.00	0.08%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Yum Brands Inc CUSIP: 988498101	89.00	$4,987.56	$5,018.47	-$30.91	$101.46	0.06%
Zions Bancorporation CUSIP: 989701107	300.00	$4,827.00	$6,535.62	-$1,708.62	$12.00	0.06%
3M Company CUSIP: 88579Y101	44.00	$3,565.76	$4,136.00	-$570.24	$96.80	0.05%
		$2,789,581.78	$2,173,617.55	$615,964.23	$24,616.86	36.11%
ADRs						
Ace LTD CUSIP: H0023R105	122.00	$8,482.66	$8,393.92	$88.74	$170.80	0.11%
Adidas AG ADR CUSIP: 00687A107	310.00	$10,927.50	$11,322.64	-$395.14	$123.69	0.14%
AEGON N.V. 6.875% PFD CUSIP: N00927306	32.00	$672.32	$788.48	-$116.16	$55.01	0.01%
Arcelormittal-Ny Registered CUSIP: 03938L104	366.00	$6,913.74	$11,975.52	-$5,061.78	$233.14	0.09%
Arm Holdings PLC-Spons ADR CUSIP: 042068106	221.00	$6,247.67	$6,213.83	$33.84	$28.73	0.08%
ASML Holding Nv-Uy Reg SHS CUSIP: N07059186	344.00	$13,598.32	$13,521.43	$76.89	$170.97	0.18%
Assa Abloy AB ADR CUSIP: 045387107	1,156.00	$14,056.96	$16,022.75	-$1,965.79	$284.38	0.18%
Barclays Bk PLC ADR Ser 2 6.625% CUSIP: 06739F390	163.00	$3,230.66	$4,070.11	-$839.45	$269.93	0.04%
BG Group PLC CUSIP: 055434203	169.00	$18,108.35	$19,123.29	-$1,014.94	$190.80	0.23%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Canadian Nat Res LTD CUSIP: 136385101	214.00	$7,990.76	$9,020.10	-$1,029.34	$76.40	0.10%
Canadian Natl Railway Co CUSIP: 136375102	184.00	$14,271.04	$14,195.91	$75.13	$235.52	0.18%
Canon Inc ADR Repstg 5 SHS CUSIP: 138006309	350.00	$15,753.50	$15,813.50	-$60.00	$506.45	0.20%
Carnival Corp Paired CTF 1 Com Carni CUSIP: 143658300	494.00	$16,400.80	$19,661.20	-$3,260.40	$494.00	0.21%
Check Point Software Tech Ltd Ord CUSIP: M22465104	84.00	$4,648.56	$4,730.15	-$81.59	$0.00	0.06%
Cnooc Ltd Spnd ADR CUSIP: 126132109	77.00	$14,885.64	$17,514.16	-$2,628.52	$444.98	0.19%
Cooper Inds PLC Com CUSIP: G24140108	145.00	$8,051.85	$9,036.39	-$984.54	$168.20	0.10%
Covidien PLC CUSIP: G2554F113	92.00	$4,190.60	$5,240.32	-$1,049.72	$82.80	0.05%
Credit Suisse Group Spns ADR CUSIP: 225401108	492.00	$11,911.32	$18,991.42	-$7,080.10	$727.67	0.15%
Dassault Sys S A SPD ADR CUSIP: 237545108	98.00	$8,033.06	$8,107.54	-$74.48	$56.06	0.10%
Embraer-Empresa Brasileira D CUSIP: 29082A107	464.00	$11,841.28	$14,344.00	-$2,502.72	$0.00	0.15%
Ensco PLC F CUSIP: 29358Q109	226.00	$11,745.22	$12,534.18	-$788.96	$316.40	0.15%
Fanuc Corporation CUSIP: 307305102	457.00	$12,434.97	$11,932.27	$502.70	$145.33	0.16%
Flextronics Intl Ltd CUSIP: Y2573F102	2,000.00	$11,940.00	$13,680.00	-$1,740.00	$0.00	0.15%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Flsmidth & Co A S Sponsored ADR CUSIP: 343793105	1,136.00	$7,190.88	$9,303.84	-$2,112.96	$129.50	0.09%
Fresenius Med Care AG & Co SPD ADR CUSIP: 358029106	214.00	$14,697.52	$15,296.72	-$599.20	$139.74	0.19%
Hang Lung Pptys Ltd CUSIP: 41043M104	401.00	$6,027.03	$8,304.71	-$2,277.68	$170.02	0.08%
Hennes & Mauritz AB ADR CUSIP: 425883105	2,500.00	$15,625.00	$18,625.00	-$3,000.00	$590.00	0.20%
Hong Kong Exchanges & Cleari CUSIP: 43858F109	525.00	$8,646.75	$11,660.25	-$3,013.50	$271.95	0.11%
Icon Pub Ltd Co CUSIP: 45103T107	270.00	$4,592.70	$6,561.33	-$1,968.63	$0.00	0.06%
Industrial & Coml Bk China ADR CUSIP: 455807107	867.00	$10,187.25	$14,244.81	-$4,057.56	$398.82	0.13%
ING Groep N V Sponsored ADR CUSIP: 456837103	1,286.00	$10,056.52	$10,394.41	-$337.89	$0.00	0.13%
Itau Unibanco Holding S.A CUSIP: 465562106	784.00	$13,955.20	$16,650.42	-$2,695.22	$67.42	0.18%
Kddi Corp ADR CUSIP: 48667L106	448.00	$7,351.68	$8,071.84	-$720.16	$182.34	0.10%
Kingfisher PLC CUSIP: 495724403	1,855.00	$14,580.30	$16,861.95	-$2,281.65	$400.68	0.19%
Komatsu Ltd Spns ADR CUSIP: 500458401	534.00	$13,456.80	$16,484.58	-$3,027.78	$232.29	0.17%
Li & Fung Ltd CUSIP: 501897102	2,650.00	$11,024.00	$9,726.59	$1,297.41	$246.45	0.14%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Lvmh Moet Hennessy Louis Vuitton CUSIP: 502441306	660.00	$20,704.20	$22,076.29	-$1,372.09	$306.90	0.27%
Mitsubishi UFJ Finl Group Apd ADR CUSIP: 606822104	2,327.00	$10,099.18	$10,611.12	-$511.94	$309.49	0.13%
Nabors Industries Ltd SHS CUSIP: G6359F103	553.00	$9,920.82	$14,214.53	-$4,293.71	$0.00	0.13%
Nestle SA Spon ADR Repstg Reg CUSIP: 641069406	240.00	$13,471.20	$14,971.20	-$1,500.00	$424.08	0.17%
New Oriental Ed & Tech Grp Ispon ADR CUSIP: 647581107	29.00	$731.96	$872.03	-$140.07	$0.00	0.01%
Novartis AG Spons ADR CUSIP: 66987V109	317.00	$17,156.04	$19,533.71	-$2,377.67	$635.59	0.22%
Novo-Nordisk A S CUSIP: 670100205	146.00	$16,578.30	$18,189.85	-$1,611.55	$198.27	0.21%
Potash Corp Sask Inc Com CUSIP: 73755L107	245.00	$10,618.30	$12,855.15	-$2,236.85	$68.60	0.14%
Publicis S A New Spnd ADR CUSIP: 74463M106	422.00	$10,022.50	$11,757.92	-$1,735.42	$169.22	0.13%
Reckitt Benckiser Group PLC ADR CUSIP: 756255105	1,759.00	$17,642.77	$19,788.75	-$2,145.98	$612.13	0.23%
Royal Bk Scotland Group SPD ADR CUSIP: 780097788	312.00	$4,558.32	$5,196.17	-$637.85	$448.66	0.06%
Royal Dutch Shell PLC SPD ADR CUSIP: 780259206	160.00	$11,200.00	$11,131.66	$68.34	$456.96	0.14%
Sabmiller PLC SPD ADR CUSIP: 78572M105	176.00	$6,188.16	$6,580.64	-$392.48	$139.74	0.08%
Sap AG CUSIP: 803054204	321.00	$19,247.16	$19,914.84	-$667.68	$329.03	0.25%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Sberbank Russia CUSIP: 80585Y308	877.00	$10,392.45	$9,478.81	$913.64	$103.49	0.13%
Schlumberger Ltd CUSIP: 806857108	575.00	$43,314.75	$47,329.91	-$4,015.16	$575.00	0.56%
Seagate Technology PLC CUSIP: G7945M107	291.00	$4,976.10	$4,837.19	$138.91	$209.52	0.06%
Siemens A G Sponsored ADR CUSIP: 826197501	143.00	$14,501.63	$17,560.38	-$3,058.75	$422.42	0.19%
Swatch Group AG CUSIP: 870123106	292.00	$5,723.20	$5,664.21	$58.99	$50.81	0.07%
TE Connectivity Ltd CUSIP: H84989104	333.00	$10,559.43	$12,373.61	-$1,814.18	$239.76	0.14%
Teck Resources Ltd-Cls B CUSIP: 878742204	174.00	$6,349.26	$8,801.02	-$2,451.76	$140.59	0.08%
Telefonica S A CUSIP: 879382208	471.00	$8,831.25	$11,195.67	-$2,364.42	$806.35	0.11%
Tencent Hldgs Ltd CUSIP: 88032Q109	532.00	$10,278.24	$14,214.95	-$3,936.71	$32.45	0.13%
Tesco PLC Sponsored ADR CUSIP: 881575302	805.00	$15,375.50	$16,566.90	-$1,191.40	$531.30	0.20%
TEVA Pharmaceutical Inds ADR CUSIP: 881624209	603.00	$23,884.83	$29,926.00	-$6,041.17	$473.36	0.31%
Toyota Mtr Corp CUSIP: 892331307	219.00	$14,434.29	$17,526.76	-$3,092.47	$256.89	0.19%
Turkiye Garanti Bankasi A S CUSIP: 900148701	2,518.00	$8,460.48	$11,054.02	-$2,593.54	$166.19	0.11%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Tyco International Com Usd0.80 CUSIP: H89128104	301.00	$14,435.96	$14,711.40	-$275.44	$301.00	0.19%
Unilever N V N Y SHS New CUSIP: 904784709	225.00	$7,674.75	$7,244.19	$430.56	$237.15	0.10%
Vodafone Group SPD ADR Rep 10 Ord SH CUSIP: 92857W209	527.00	$14,308.05	$14,759.48	-$451.43	$760.46	0.19%
Volkswagen AG CUSIP: 928662402	283.00	$9,664.45	$10,086.12	-$421.67	$139.80	0.13%
Wal-Mart DE Mexico S.A.B DE C V CUSIP: 93114W107	372.00	$9,947.28	$11,148.84	-$1,201.56	$122.39	0.13%
Weatherford Int Ltd Com Usd1.00 CUSIP: H27013103	260.00	$3,941.60	$4,332.27	-$390.67	$0.00	0.05%
Willis Group Hldgs Ord Usd0.000115 N CUSIP: G96666105	208.00	$7,334.08	$8,295.02	-$960.94	$216.32	0.09%
Yandex N.V. Com Usd0.01 CL 'a' CUSIP: N97284108	238.00	$5,231.24	$7,540.73	-$2,309.49	$0.00	0.07%
		$791,486.14	$900,760.90	-$109,274.76	$17,494.39	10.18%
Closely Held Common Stock						
Regeneron Pharmaceuticals Inc CUSIP: 75886F107	75.00	$4,456.50	$4,461.96	-$5.46	$0.00	0.06%
		$4,456.50	$4,461.96	-$5.46	$0.00	0.06%
Real Estate Investment Trusts						
Camden PPTY TR SHS Ben Int CUSIP: 133131102	44.00	$2,540.12	$2,411.11	$129.01	$123.20	0.03%
Commonwealth REIT CUSIP: 203233606	30.00	$726.60	$741.00	-$14.40	$54.39	0.01%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Diamondrock Hospitality Co CUSIP: 252784301	475.00	$4,170.50	$5,111.39	-$940.89	$475.00	0.05%
		$7,437.22	$8,263.50	-$826.28	$652.59	0.09%
Total Common Equity Securities		$3,592,961.64	$3,087,103.91	$505,857.73	$42,763.84	46.44%
Preferred Equity Securities *Domestic Preferred Stock*						
Bank Amer Corp CUSIP: 060505740	99.00	$1,988.17	$2,474.01	-$485.84	$163.94	0.03%
Bank Amer Corp CUSIP: 060505831	140.00	$2,752.40	$3,389.13	-$636.73	$217.14	0.04%
Bk of America Corp Dep SHS Rep1/1200 CUSIP: 060505617	73.00	$1,407.44	$1,578.38	-$170.94	$116.36	0.02%
Comcast Corp PFD 6.625% CUSIP: 20030N507	181.00	$4,671.61	$4,688.95	-$17.34	$299.74	0.06%
Countrywide Cap IV CUSIP: 22238E206	103.00	$2,092.96	$2,593.11	-$500.15	$173.86	0.03%
Digital Realty TR Pref CUSIP: 253868707	37.00	$938.32	$922.61	$15.71	$64.75	0.01%
Duke Realty Corp CUSIP: 264411679	20.00	$520.20	$550.60	-$30.40	$41.88	0.01%
Duke Realty Corp PFD 1/10 Ser M 9.65 CUSIP: 264411729	22.00	$555.50	$555.06	$0.44	$38.21	0.01%
Entergy Louisiana LLC 6% PFD CUSIP: 29364W306	33.00	$904.53	$870.21	$34.32	$49.50	0.01%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Entergy Missisippi Inc CUSIP: 29364N835	45.00	$1,208.25	$1,134.00	$74.25	$67.50	0.02%
Fifth Third Cap TR V Gtdtr PFD Sc67 CUSIP: 31678W204	50.00	$1,252.50	$1,252.48	$0.02	$90.65	0.02%
Goldman Sachs Group Inc 6.125% PFD CUSIP: 38145X111	215.00	$5,254.60	$5,322.60	-$68.00	$329.17	0.07%
Goldman Sachs Group Inc 6.50% CUSIP: 38144G184	172.00	$4,248.40	$4,237.32	$11.08	$279.50	0.05%
Goldman Sachs Grp Inc Dep SH PFD CUSIP: 38143Y665	76.00	$1,349.00	$1,695.56	-$346.56	$72.81	0.02%
HRPT Properties CUSIP: 203233309	131.00	$3,126.97	$3,292.16	-$165.19	$233.31	0.04%
HRPT Properties CUSIP: 203233507	65.00	$1,350.70	$1,417.00	-$66.30	$97.50	0.02%
Kimco Realty Corp CUSIP: 49446R869	21.00	$524.16	$525.00	-$0.84	$34.90	0.01%
Kimco Rlty Corp CUSIP: 49446R828	86.00	$2,315.98	$2,217.08	$98.90	$148.35	0.03%
Kimco Rlty Corp D/S Rep 1/100 PFD CUSIP: 49446R844	144.00	$3,699.36	$3,798.03	-$98.67	$279.07	0.05%
Metlife Inc 6.50% PFD CUSIP: 59156R603	179.00	$4,496.48	$4,555.55	-$59.07	$290.88	0.06%
Nextera Energy Capital CUSIP: 65339K506	18.00	$517.50	$521.46	-$3.96	$39.38	0.01%
Partnerre Ltd CUSIP: G68603508	57.00	$1,485.42	$1,431.20	$54.22	$103.34	0.02%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
PS Business Pks Inc Calif CUSIP: 69360J875	33.00	$829.62	$833.25	-$3.63	$57.75	0.01%
PS Business Pks Inc Calif CUSIP: 69360J743	22.00	$548.46	$552.86	-$4.40	$36.85	0.01%
Public Storage CUSIP: 74460D554	28.00	$710.92	$704.48	$6.44	$45.14	0.01%
Public Storage CUSIP: 74460D257	66.00	$1,679.70	$1,684.98	-$5.28	$111.41	0.02%
Public Storage Inc CUSIP: 74460D232	110.00	$2,795.10	$2,827.00	-$31.90	$182.16	0.04%
Public Storage Inc D/S Rep 1/1000 PF CUSIP: 74460D448	34.00	$866.32	$860.20	$6.12	$56.10	0.01%
Public Storage PFD Ser R CUSIP: 74460D125	112.00	$2,962.40	$2,784.06	$178.34	$177.74	0.04%
Public Storage PFD SHS Ser Q 6.50% CUSIP: 74460D141	74.00	$1,976.54	$1,883.30	$93.24	$120.25	0.03%
Public Storage 6.875% PFD CUSIP: 74460D182	20.00	$550.00	$542.00	$8.00	$34.38	0.01%
QWEST Corp CUSIP: 74913G303	108.00	$2,774.52	$2,686.25	$88.27	$202.50	0.04%
QWEST Corp 7.375% CUSIP: 74913G204	101.00	$2,572.47	$2,526.80	$45.67	$186.24	0.03%
Realty Income Corp CUSIP: 756109708	70.00	$1,779.40	$1,802.50	-$23.10	$118.16	0.02%
Regency Ctrs Corp PFD Ser 5 6.750% CUSIP: 758849608	17.00	$425.00	$417.01	$7.99	$28.48	0.01%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Regency Ctrs Corppfd 7.250% CUSIP: 758849509	31.00	$775.00	$785.23	-$10.23	$56.20	0.01%
Teleph & Data Syst 6.875% PFD CUSIP: 879433845	43.00	$1,095.21	$1,083.60	$11.61	$73.92	0.01%
Telephone & Data System CUSIP: 879433837	73.00	$1,885.59	$1,848.36	$37.23	$127.75	0.02%
U S Cellular Corp Call Sr NT 6.95% CUSIP: 911684405	38.00	$975.08	$947.60	$27.48	$66.01	0.01%
US Bancorp DEL CUSIP: 902973155	36.00	$779.76	$822.60	-$42.84	$32.18	0.01%
Vornado Realty LP PFD 7.875% CUSIP: 929043602	288.00	$8,073.01	$7,876.80	$196.21	$567.07	0.10%
Vornado Rlty TR CUSIP: 929042869	52.00	$1,345.76	$1,309.63	$36.13	$89.39	0.02%
Wachovia PFD 7.250% CUSIP: 92977V206	223.00	$5,773.47	$5,898.95	-$125.48	$404.30	0.07%
Weingarten Rlty Invs PFD Ser F 6.50% CUSIP: 948741889	231.00	$5,546.31	$5,747.28	-$200.97	$375.38	0.07%
Wells Fargo & Co Dep SHS 1/40 8% PFD CUSIP: 949746879	19.00	$531.43	$554.80	-$23.37	$38.00	0.01%
		$93,911.52	$96,001.04	-$2,089.52	$6,419.10	1.25%
Foreign Preferred Stocks						
AEGON NV 7.250% PFD CUSIP: N00927348	86.00	$1,911.78	$2,149.79	-$238.01	$155.92	0.02%
Arch Capital Grp 7.875% CUSIP: G0450A154	38.00	$959.50	$965.58	-$6.08	$74.82	0.01%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Barclays Bank PLC 7.750% CUSIP: 06739H511	95.00	$2,061.50	$2,421.13	-$359.63	$184.11	0.03%
Barclays Bank PLC 8.125% CUSIP: 06739H362	154.00	$3,495.80	$4,136.44	-$640.64	$312.77	0.05%
Barclays Bk PLC 7.10% PFD CUSIP: 06739H776	244.00	$4,923.92	$6,126.93	-$1,203.01	$433.10	0.06%
HSBC Hldgs Perp Sub Cap Secs Exch PR CUSIP: 404280802	464.00	$11,971.20	$12,814.70	-$843.50	$928.00	0.15%
HSBC Hldgs PLC PFD 6.20% CUSIP: 404280604	202.00	$4,726.80	$4,937.14	-$210.34	$313.10	0.06%
HSBC Holdings PLC 8.125% CUSIP: 404280703	63.00	$1,638.00	$1,724.31	-$86.31	$127.95	0.02%
ING Groep NV 6.375% PFD CUSIP: 456837608	68.00	$1,114.52	$1,532.96	-$418.44	$108.39	0.01%
ING Groep NV 7.375% CUSIP: 456837707	89.00	$1,662.52	$2,217.88	-$555.36	$164.12	0.02%
Lloyds Banking Group PLC PFD 7.750% CUSIP: 539439802	305.00	$7,780.55	$7,909.10	-$128.55	$585.60	0.10%
Partnerre Ltd CUSIP: G68603409	200.00	$4,966.00	$4,868.52	$97.48	$325.00	0.06%
Partnerre Ltd PFD C 6.75% CUSIP: G6852T204	81.00	$2,003.94	$2,004.89	-$0.95	$136.73	0.03%
Renaissancere Hldgs PFD 6.08% CUSIP: G7498P309	31.00	$738.73	$748.65	-$9.92	$47.12	0.01%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Renaissancere Holdings PFD 6% CUSIP: G7498P408	189.00	$4,649.40	$4,795.59	-$146.19	$311.85	0.06%
		$54,604.16	$59,353.61	-$4,749.45	$4,208.58	0.69%
Vista Conversion Equities						
AEGON N V Perp Cap Secs % CUSIP: 007924301	296.00	$5,860.80	$7,221.40	-$1,360.60	$471.82	0.08%
AEGON N V Perp Cap Secs Fltg Rate PF CUSIP: 007924509	182.00	$3,001.18	$4,269.72	-$1,268.54	$184.00	0.04%
AEGON N V PFD 6.5% CUSIP: 007924400	63.00	$1,253.70	$1,350.41	-$96.71	$102.38	0.02%
Ameriprise Finl 7.75% CUSIP: 03076C205	118.00	$3,274.50	$3,332.23	-$57.73	$228.68	0.04%
Arch Cap Group Ltd PFD 8.00% CUSIP: G0450A147	81.00	$2,046.87	$2,069.55	-$22.68	$162.00	0.03%
BAC Cap TR Vgtd Cap Secs 6% 11/3/34 CUSIP: 055184204	35.00	$684.25	$829.15	-$144.90	$52.50	0.01%
BAC Capital TR Xii 6.875% PFD CUSIP: 05633T209	39.00	$812.76	$975.39	-$162.63	$67.04	0.01%
BAC Capital Trust X 6.250% CUSIP: 055189203	31.00	$622.79	$747.10	-$124.31	$48.45	0.01%
Bank of America Corp 8.20% Prf CUSIP: 060505765	27.00	$595.35	$669.19	-$73.84	$55.35	0.01%
Berkley W R Cap TR Il Orig PFD 6.75% CUSIP: 08449Q203	240.00	$6,026.40	$6,057.60	-$31.20	$405.12	0.08%
BNY Cap V TR PFD Secs Ser F 5.95% CUSIP: 09656H209	31.00	$786.78	$782.75	$4.03	$46.10	0.01%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
CBS Corp New Sr NT 6.750% CUSIP: 124857400	326.00	$8,407.54	$8,357.63	$49.91	$550.29	0.11%
Comcast Corp 7% Pref CUSIP: 20030N408	178.00	$4,512.30	$4,617.78	-$105.48	$311.50	0.06%
Credit Suisse 7.90% CUSIP: 225448208	366.00	$9,296.40	$10,044.69	-$748.29	$722.85	0.12%
DB Capital Funding VIII CUSIP: 25153U204	101.00	$1,957.38	$2,489.28	-$531.90	$160.99	0.03%
DB Capital Funding X CUSIP: 25154D102	75.00	$1,677.00	$1,926.75	-$249.75	$137.78	0.02%
DB Con Capital Trust V PFD 8.05% CUSIP: 25150L108	54.00	$1,296.54	$1,476.36	-$179.82	$108.65	0.02%
DB Cont Cap Trust III CUSIP: 25154A108	113.00	$2,531.20	$2,986.54	-$455.34	$214.70	0.03%
Deutsche Bk Cap Fund IX 6.625% CUSIP: 25153Y206	41.00	$826.56	$1,013.52	-$186.96	$67.90	0.01%
Deutsche Bk Contingent Cap TR II CUSIP: 25153X208	318.00	$6,216.90	$7,935.28	-$1,718.38	$520.57	0.08%
Dominion Resources Inc PFD 8.375% CUSIP: 25746U604	102.00	$2,994.72	$2,941.78	$52.94	$213.59	0.04%
Entergy Ark Inc CUSIP: 29364D779	42.00	$1,125.60	$1,076.88	$48.72	$60.40	0.01%
Entergy Louisiana LLC CUSIP: 29364W405	22.00	$593.56	$561.88	$31.68	$32.32	0.01%
Entergy Texas Inc CUSIP: 29365T203	30.00	$866.40	$866.40	$0.00	$59.07	0.01%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Everest RE Cap TR II 6.20% PFD TR CUSIP: 29980R202	254.00	$6,299.20	$6,337.38	-$38.18	$393.70	0.08%
Fifth Third Cap TR VI CUSIP: 31678V206	67.00	$1,685.05	$1,694.43	-$9.38	$121.47	0.02%
FPL Group Cap TR I PFD Secs 5.875% CUSIP: 30257V207	28.00	$725.76	$717.64	$8.12	$41.13	0.01%
General Elec Cap Corp 6.05% CUSIP: 369622469	117.00	$2,984.67	$3,013.12	-$28.45	$176.90	0.04%
General Elec Cap Corp 6% CUSIP: 369622451	57.00	$1,454.07	$1,468.89	-$14.82	$85.50	0.02%
General Elec Cap 6.45% CUSIP: 369622477	57.00	$1,484.28	$1,458.81	$25.47	$91.88	0.02%
Goldman Sachs Group Inc 6.03% CUSIP: 38144G804	23.00	$410.09	$516.81	-$106.72	$23.51	0.01%
ING Groep N V Perpetual Debt Secs % CUSIP: 456837301	212.00	$3,964.40	$5,250.77	-$1,286.37	$381.60	0.05%
ING Groep N V Pref 7.05% Perp CUSIP: 456837202	209.00	$3,734.83	$5,110.05	-$1,375.22	$368.26	0.05%
ING Groep NV 6.125% PFD CUSIP: 456837509	62.00	$1,006.88	$1,389.42	-$382.54	$94.92	0.01%
JP Morgan Chase Cap Xi 5.875% CUSIP: 46626V207	183.00	$4,575.00	$4,612.55	-$37.55	$268.83	0.06%
JPM Chase Capital Xxiii PFD 7.20% CUSIP: 48124Y204	83.00	$2,104.05	$2,155.51	-$51.46	$149.40	0.03%
JPM Chase Capital Xxix 6.7% CUSIP: 48125E207	256.00	$6,512.64	$6,666.24	-$153.60	$428.80	0.08%

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Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
JPMorgan Chase Cap Xiv PFD CUSIP: 48122F207	43.00	$1,084.46	$1,083.17	$1.29	$66.65	0.01%
M & T Capital Trust IV CUSIP: 55292C203	26.00	$679.38	$681.20	-$1.82	$55.25	0.01%
Markel Corp PFD Ser Deb 7.5% CUSIP: 570535203	145.00	$3,656.90	$3,755.11	-$98.21	$271.88	0.05%
Merrill Lynch Cap TR II 6.45% CUSIP: 59024T203	105.00	$2,105.25	$2,551.27	-$446.02	$169.26	0.03%
Merrill Lynch Capital TR CUSIP: 590199204	157.00	$3,154.13	$3,819.65	-$665.52	$253.08	0.04%
Natl Rural Utils Coop Fin PFD 5.95% CUSIP: 637432873	22.00	$559.68	$557.70	$1.98	$32.71	0.01%
PNC Cap TR D Cap Secs 6.125% CUSIP: 69350H202	83.00	$2,081.64	$2,115.19	-$33.55	$127.07	0.03%
PNC Cap TR E Gtd TR PFD Secs 7.750% CUSIP: 69350S208	59.00	$1,519.84	$1,549.34	-$29.50	$114.34	0.02%
PPL Capital Funding Inc Sr NT CUSIP: 69352P889	30.00	$790.85	$788.40	$2.45	$51.36	0.01%
Protective Life Corp 7.25% Pfc Cap CUSIP: 743674400	33.00	$827.97	$831.93	-$3.96	$59.80	0.01%
Prudential Financial Inc PFD 9.0% CUSIP: 744320508	185.00	$4,954.30	$5,244.94	-$290.64	$416.25	0.06%
Prudential PLC CUSIP: G7293H114	21.00	$529.83	$532.56	-$2.73	$35.45	0.01%
Prudential PLC 6.5% PFD CUSIP: G7293H189	63.00	$1,595.79	$1,605.87	-$10.08	$102.38	0.02%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Santander Fin PFD Prf 10.5% NON Cum CUSIP: E8683R144	256.00	$6,709.76	$7,488.00	-$778.24	$672.00	0.09%
Scana Corp New Jr SB NT PFD 7.70% CUSIP: 80589M201	17.00	$486.54	$480.76	$5.78	$32.73	0.01%
SunTrust Cap IX CUSIP: 867885105	51.00	$1,287.75	$1,315.80	-$28.05	$100.42	0.02%
UBS PFD Fdg TR IV Fltg Rate CUSIP: 90263W201	193.00	$2,480.05	$3,591.92	-$1,111.87	$45.74	0.03%
USB Cap VIII 6.35% TR PFD Secs CUSIP: 903307205	65.00	$1,646.45	$1,645.80	$0.65	$103.16	0.02%
USB Capital Xi PFD CUSIP: 903300200	104.00	$2,629.12	$2,694.64	-$65.52	$171.60	0.03%
USB Capital Xii 6.3% CUSIP: 903305209	33.00	$834.90	$838.53	-$3.63	$51.98	0.01%
Viacom Inc 6.85% CUSIP: 92553P300	284.00	$7,142.60	$7,350.29	-$207.69	$486.21	0.09%
Wachovia Cap TR IX 6.375% CUSIP: 92978X201	31.00	$775.00	$788.64	-$13.64	$49.41	0.01%
Weingarten Rlty Invs CUSIP: 948741848	20.00	$474.00	$480.60	-$6.60	$32.40	0.01%
Wells Fargo Cap IX CUSIP: 94979P203	67.00	$1,675.67	$1,677.68	-$2.01	$94.20	0.02%
Wells Fargo Cap VII PFD Secs 5.85% CUSIP: 94979B204	67.00	$1,681.70	$1,680.36	$1.34	$97.95	0.02%
Wells Fargo Capital Xi 6.25% CUSIP: 94979S207	162.00	$4,092.12	$4,145.58	-$53.46	$253.21	0.05%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Xcel Energy Inc Jr Sub PFD 7.60% CUSIP: 98389B886	132.00	$3,670.92	$3,640.13	$30.79	$250.80	0.05%
		$163,335.00	$177,925.94	-$14,590.94	$11,807.24	2.14%
Total Preferred Equity Securities		$311,850.68	$333,280.59	-$21,429.91	$22,434.92	4.08%
Equity Mutual Funds						
Closed End Equity Mutual Funds						
Vanguard MSCI Emerging Mkts ETF CUSIP: 922042858	6,210.00	$253,492.20	$299,847.37	-$46,355.17	$5,061.15	3.28%
Total Equity Mutual Funds		$253,492.20	$299,847.37	-$46,355.17	$5,061.15	3.28%
Fixed Income Mutual Funds						
Taxable Fixed Income Funds						
Allianz GI INV Fxd Inc Sh-C CUSIP: 01882B205	17,790.79	$219,004.60	$235,773.45	-$16,768.85	$22,309.65	2.83%
Allianz GI INV Fxd Inc Sh-M CUSIP: 01882B304	20,695.00	$214,607.15	$219,987.85	-$5,380.70	$10,202.64	2.78%
Templeton Income TR Global Bd Fd CL CUSIP: 880208103	36,049.03	$458,904.11	$500,000.00	-$41,095.89	$21,629.42	5.94%
Total Fixed Income Mutual Funds		$892,515.86	$955,761.30	-$63,245.44	$54,141.71	11.55%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Other Assets						
Documents						
Acl Alternative Fund Class C USD CUSIP: 715992830	2,947.35	$277,605.66	$295,435.27	-$17,829.61	$0.00	3.59%
Acl Alternative Fund Class C USD CUSIP: 415990415	5,305.07	$5,305.07	$5,305.07	$0.00	$0.00	0.07%
Hf Artha Emerging Markets LLC CUSIP: 815990247	99.79	$95,276.20	$100,000.00	-$4,723.80	$0.00	1.23%
Hf Ivory LLC Class A CUSIP: 636993099	99.81	$95,542.33	$100,000.00	-$4,457.67	$0.00	1.24%
Hf Third Point LLC CUSIP: 143996395	110.68	$138,259.32	$150,000.00	-$11,740.68	$0.00	1.79%
Total Other Assets		$611,988.58	$650,740.34	-$38,751.76	$0.00	7.92%
Alternative Investments						
Hedge Funds						
Hf Chilton Gi N RES LLC CUSIP: 99DFFD332	89.23	$118,658.59	$150,000.00	-$31,341.41	$0.00	1.54%
Skybridge Multi Advisor Hedge Fund CUSIP: 424998730	257.74	$274,960.62	$300,000.00	-$25,039.38	$0.00	3.56%
Total Alternative Investments		$393,619.21	$450,000.00	-$56,380.79	$0.00	5.10%

Statement of Value and Activity

November 1, 2011 - November 30, 2011

Description	Shares/Par Value	Market Value	Tax Cost	Unrealized Gain/Loss	Estimated Annual Income	Percent of Market Value
Cash Equivalents						
Invested Cash						
Citibank M.D.A. (L) CUSIP: 9900CST72	680,894.51	$680,894.51	$680,894.51	$0.00	$340.45	8.81%
Citibank M.D.A. (L) CUSIP: 9900CST72	92,062.51	$92,062.51	$92,062.51	$0.00	$46.04	1.19%(i)
Total Cash Equivalents		$772,957.02	$772,957.02	$0.00	$386.49	10.00%
Total All Assets		**$7,728,746.60**	**$7,439,166.73**	**$289,579.87**	**$140,632.65**	**100.00%**

PORTFOLIO DETAILS

Your holdings are valued using the most current prices available to Citigroup Global Markets Inc. (CGMI). In most cases, these values are as of 11/30/11, but in some cases CGMI's sources are unable to provide timely information. To see the date of the most recent price update, please view your account online at www.smithbarney.com.

Securities purchased or sold are included or excluded in this section as of the trade-date. This section may include securities that have not settled as of this statement closing date. Please see the "Unsettled Purchases/Sales" section for more information. Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end o the statement period. We do not guarantee the accuracy of the prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

Please Note: *unrealized gain/(loss) is being shown for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.*

Money fund

An investment in a money market fund is neither insured nor guaranteed by the FDIC or any other government agency. Although money market funds seek to preserve the value of your investment at $1.00 per share, there can be no assurance that will occur and it is possible to lose money should the fund value per share fall. Moreover, in some circumstances money market funds may be forced to cease operations when the value of a fund drops below $1.00 per share. In that event, the fund's holdings would be liquidated and distributed to the fund's shareholders This liquidation process could take up to one month or more. During that time, these funds would not be available to you to support purchases, withdrawals, and if applicable, check writing or ATM debits from your account.

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend yield	Anticipated income (annualized)
79,123.46	MORGAN STANLEY U.S. GOVERNMENT MONEY MARKET TRUST	$ 79,123.46	$ .02	.01 %	$ 7.91
Total money fund		**$ 79,123.46**	**$ .02**		**$ 7.91**

MorganStanley SmithBarney

Reserved Client Statement
November 1 - November 30, 2011

THE RICHARD AND SUSAN BRADDOCK ***Account number 313-1710D-15 6***

Bonds

Unrealized gains & losses have been adjusted to account for the accretion of OID (original issue discount), the amortization of premium, and/or the accretion of market discount.

Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

The credit rating from Moody's Investors Service and Standard & Poor's may be shown for certain securities. All credit ratings represent the "opinions" of the provider and are not representations or guarantees of performance. Your Financial Advisor will be pleased to provide you with further information or assistance in interpreting these credit ratings.

International bonds

Amount	Description	Date acquired/ CUSIP #	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued Interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip Income (annualized)	Ordinary Income/ Capital gain/(loss)
12,000	BHP BILLITON FINANCE	02/03/09	$ 11,959.80	$ 99.665	101.408	$ 12,168.96	$ 209.16	LT	5.053	$ 0.00
	DTD 03/29/2007	055451AD0	$ 11,959.80	$ 99.665	$ 105.92		$ 209.16	LT	$ 615.00	$ 209.16
	012									
	INT: 05.125% MATY: 03/29/2012									
	EXCHANGE RATE: 1.0000000									
	Amount denominated in.									
	U.S. dollars									
	Rating: A1/A+									
11,000	THOMPSON REUTERS CORP	02/04/09	10,978.33	99.803	106.938	11,763.18	784.85	LT	5.563	0.00
	BOOK/ENTRY	884903BA2	10,978.33	99.803	247.26		784.85	LT	354.50	784.85
	DTD 06/20/2008									
	INT: 05.950% MATY: 07/15/2013									
	EXCHANGE RATE: 1.0000000									
	Amount denominated in:									
	U.S. dollars									
	Rating: BAA1/A-									
Total international bonds			**$ 22,938.13**		**$ 353.18**	**$ 23,932.14**	**$ 0.00**	**ST**	**5.30**	**$ 0.00**
23,000			**$ 22,938.13**				**$ 994.01**	**LT**	**$ 1,259.50**	**$ 994.01**

Please note: ***Amounts*** *are denominated in the currency of the issue.* ***Price*** *is a function of* ***exchange rate*** *and market price.*

Market value *is denominated in U.S. dollars. Changes in* ***exchange rate*** *will affect the "face value in U.S. dollars" and* ***market value.***

MorganStanley
SmithBarney

Reserved
Client Statement
November 1 - November 30, 2011

THE RICHARD AND SUSAN BRADDOCK **Account number 313-1710D-15 6**

Corporate bonds

Amount	Description	Date acquired/ CUSIP #	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued Interest	Current value	Unrealized Gain/(loss) Original/ Adjusted	Current % Yield/ Anticip Income (annualized)	Ordinary income/ Capital gain/(loss)
11,000	FOREST OIL CORP DTD 12/07/2001	01/29/09 346091AS0	$ 10,642.50 $ 10,642.50	$ 96.75 $ 96.75	100.00	$ 11,000.00	$ 357.50 LT $ 357.50 LT		$ 349.91 $ 7.59
17,000	INT: 08.000% MATY: 12/15/2011 Rating: B1/B	02/06/09	16,702.50 16,702.50	98.25 98.25	100.00	17,000.00	297.50 LT 297.50 LT		290.19 7.31
28,000			27,345.00 **27,345.00**	97.70 97.70	**1,032.89**	**28,000.00**	655.00 **655.00**	**8.00** **2,240.00**	**640.10** **14.90**
12,000	PACCAR INC BOOK/ENTRY DTD 02/13/2009 INT: 06.375% MATY: 02/15/2012 Rating: A1/A+	02/11/09 69373UAB3	12,190.32 **12,011.76**	101.586 100.098	101.056 **225.25**	**12,126.72**	(63.60) LT **114.96** LT	**6.308** **765.00**	**0.00** **114.96**
11,000	XEROX CORP DTD 05/17/2007	02/05/09 984121BS1	10,340.00 10,340.00	94.00 94.00	102.001	11,220.11	880.11 LT 880.11 LT		556.49 323.62
5,000	INT: 05.500% MATY: 05/15/2012 Rating: BAA2/BBB-	02/11/09	4,725.75 4,725.75	94.515 94.515	102.001	5,100.05	374.30 LT 374.30 LT		231.10 143.20
16,000			15,065.75 **15,065.75**	94.20 94.20	**39.11**	**16,320.16**	1,254.41 **1,254.41**	**5.392** **880.00**	**787.59** **466.82**
10,000	KINDER MORGAN INC DTD 08/27/2002	02/04/09 494553AB6	9,550.00 9,550.00	95.50 95.50	102.50	10,250.00	700.00 LT 700.00 LT		342.70 357.30
2,000	INT: 06.500% MATY: 09/01/2012 Rating: BA1/BB	02/09/09	1,900.00 1,900.00	95.00 95.00	102.50	2,050.00	150.00 LT 150.00 LT		76.08 73.92
5,000		02/10/09	4,875.00 4,875.00	97.50 97.50	102.50	5,125.00	250.00 LT 250.00 LT		95.10 154.90
17,000			16,325.00 **16,325.00**	96.00 96.00	**276.25**	**17,425.00**	1,100.00 **1,100.00**	**6.341** **1,105.00**	**513.88** **586.12**
11,000	COX COMMUNICATIONS I DTD 09/20/2002 INT: 07.125% MATY: 10/01/2012 Rating: BAA2/BBB	02/09/09 224044BE6	10,989.99 **10,989.99**	99.909 99.909	105.163 **130.63**	**11,567.93**	577.94 LT **577.94** LT	**6.775** **783.75**	**0.00** **577.94**
11,000	PUBLIC SER CO COLO GLOBAL BOOK/ENTRY DD 4/1/03 INT: 07.875% MATY: 10/01/2012 Rating: A2/A	02/11/09 744448BU4	12,447.16 **11,351.67**	113.156 103.197	105.867 **144.38**	**11,645.37**	(801.79) LT **293.70** LT	**7.438** **866.25**	**0.00** **293.70**

THE RICHARD AND SUSAN BRADDOCK **Account number 313-1710D-15 6**

Corporate bonds *continued*

Amount	Description	Date acquired/ CUSIP #	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued interest	Current value	Unrealized Gain/(loss) Original/ Adjusted	Current % Yield/ Anticip income (annualized)	Ordinary income/ Capital gain/(loss)
10,000	STEEL DYNAMICS INC DTD 07/15/2008	01/29/09 858119AJ9	$ 9,150.00 $ 9,150.00	$ 91.50 $ 91.50	103.50	$ 10,350.00	$ 1,200.00 LT $ 1,200.00 LT		$ 610.60 $ 589.40
10,000	INT: 07.375% MATY: 11/01/2012 Rating: BA2/BB+	02/09/09	9,225.00 9,225.00	92.25 92.25	103.50	10,350.00	1,125.00 LT 1,125.00 LT		556.10 568.90
20,000			18,375.00 **18,375.00**	91.90 91.90	**122.92**	**20,700.00**	2,325.00 **2,325.00**	7.125 1,475.00	1,166.70 1,158.30
11,000	GENERAL ELEC CAP CORP GLOBAL BOOK/ENTRY DD 12/6/02	01/29/09 36962GZY3	11,102.63 11,030.69	100.933 100.279	104.546	11,500.06	397.43 LT 469.37 LT		0.00 469.37
5,000	INT: 05.450% MATY: 01/15/2013 Rating: AA2/AA+	02/11/09	5,072.25 5,021.95	101.445 100.439	104.546	5,227.30	155.05 LT 205.35 LT		0.00 205.35
16,000			16,174.88 **16,052.64**	101.10 100.30	**329.42**	**16,727.36**	552.48 **674.72**	**5.213** **872.00**	**0.00** **674.72**
12,000	ENTERPRISE PRODUCTS DTD 01/22/2003 INT: 06.375% MATY: 02/01/2013 Rating: BAA3/BBB-	02/02/09 293791AD1	11,885.88 **11,885.88**	99.049 99.049	105.057 **255.00**	**12,606.84**	720.96 LT **720.96** LT	**6.068** **765.00**	**76.08** **644.88**
11,000	KROGER CO DTD 01/28/2003 INT: 05.500% MATY: 02/01/2013 Rating: BAA2/BBB	01/29/09 501044CE9	11,355.41 **11,110.00**	103.231 101.00	104.462 **201.67**	**11,490.82**	135.41 LT **380.82** LT	**5.265** **605.00**	**0.00** **380.82**
10,000	KRAFT FOODS INC BK/ENTRY DTD 08/13/2007 INT: 06.000% MATY: 02/11/2013 Rating: BAA2/BBB-	02/03/09 50075NAQ7	10,669.10 **10,210.50**	106.691 102.105	105.482 **183.33**	**10,548.20**	(120.90) LT **337.70** LT	**5.688** **600.00**	**0.00** **337.70**
11,000	VERIZON COMMUNICATIONS BOOK/ENTRY DTD 04/04/2008 INT: 05.250% MATY: 04/15/2013 Rating: A3/A-	01/29/09 92343VAN4	11,364.87 **11,126.39**	103.317 101.149	105.724 **73.79**	**11,629.64**	264.77 LT **503.25** LT	**4.965** **577.50**	**0.00** **503.25**
12,000	JP MORGAN CHASE & CO BOOK/ENTRY DTD 04/28/2008 INT: 04.750% MATY: 05/01/2013 Rating: AA3/A	02/10/09 46625HHB9	12,010.56 **12,003.60**	100.088 100.03	104.625 **47.50**	**12,555.00**	544.44 LT **551.40** LT	**4.54** **570.00**	**0.00** **551.40**
29,000	EDISON MISSION ENERG DTD 11/09/2006 WHEN ISSUED INT: 07.500% MATY: 06/15/2013 Rating: CAA1/B-	02/06/09 281023AN1	28,420.00 **28,420.00**	98.00 98.00	94.00 **1,002.92**	**27,260.00**	(1,160.00) LT **(1,160.00)** LT	**7.978** **2,175.00**	**0.00** **(1,160.00)**

THE RICHARD AND SUSAN BRADDOCK **Account number 313-1710D-15 6**

Corporate bonds *continued*

Amount	Description	Date acquired/ CUSIP #	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued Interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip Income (annualized)	Ordinary income/ Capital gain/(loss)
12,000	ENERGY TRANSFER PART BOOK ENTRY DTD 03/28/08 INT: 06.000% MATY: 07/01/2013 Rating: BAA3/BBB-	01/29/09 29273RAG4	$ 11,556.96 $ 11,556.96	$ 96.308 $ 96.308	105.545 $ 300.00	$ 12,665.40	$ 1,108.44 $ 1,108.44	LT LT	5.684 $ 720.00	$ 267.48 $ 840.96
11,000	TIME WARNER CABLE INC BDS BOOK/ENTRY DTD 06/19/08 INT: 06.200% MATY: 07/01/2013 Rating: BAA2/BBB	01/29/09 88732JAK4	10,926.19 10,926.19	99.329 99.329	107.594 284.17	11,835.34	909.15 909.15	LT LT	5.762 682.00	0.00 909.15
12,000	AMERICAN EXPRESS CONOTES- BK/ENTRY-DTD 07/24/2003 INT: 04.875% MATY: 07/15/2013 Rating: A3/BBB+	02/02/09 025816AQ2	11,411.04 11,411.04	95.092 95.092	104.609 221.00	12,553.08	1,142.04 1,142.04	LT LT	4.66 585.00	354.36 787.68
11,000	CME GROUP INC BOOK/ENTRY DTD 08/12/2008 INT: 05.400% MATY: 08/01/2013 Rating: AA3/AA	01/29/09 12572QAA3	11,386.98 11,152.13	103.518 101.383	106.481 198.00	11,712.91	325.93 560.78	LT LT	5.071 594.00	0.00 560.78
10,000	TELE COMMUNICATIONS INC DEBS REG-DTD 8/3/1993 INT: 07.875% MATY: 08/01/2013 Rating: BAA1/BBB+	02/03/09 879240AX7	10,491.10 10,198.20	104.911 101.982	109.959 262.50	10,995.90	504.80 797.70	LT LT	7.161 787.50	0.00 797.70
10,000	WINDSTREAM CORP DTD 07/17/2006	02/04/09 97381WAC8	9,900.00 9,900.00	99.00 99.00	105.75	10,575.00	675.00 675.00	LT LT		56.60 618.40
19,000	GLOBAL INT: 08.125% MATY: 08/01/2013 Rating: BA3/B+	02/06/09	18,857.50 18,857.50	99.25 99.25	105.75	20,092.50	1,235.00 1,235.00	LT LT		0.00 1,235.00
29,000			28,757.50 28,757.50	99.20 99.20	785.42	30,667.50	1,910.00 1,910.00		7.683 2,356.25	56.60 1,853.40
30,000	LEUCADIA NATL CORP SR NOTES BK/ENTRY-DTD 12/29/2003 INT: 07.000% MATY: 08/15/2013 Rating: B1/BB+	01/29/09 527288AS3	25,200.00 25,200.00	84.00 84.00	104.75 618.33	31,425.00	6,225.00 6,225.00	LT LT	6.682 2,100.00	2,691.00 3,534.00
12,000	SIERRA PACIFIC POWER COMPANY BOOK/ENTRY DTD 09/02/2008 INT: 05.450% MATY: 09/01/2013 Rating: BAA2/BBB	01/29/09 826418BH7	12,000.00 12,000.00	100.00 100.00	106.745 163.50	12,809.40	809.40 809.40	LT LT	5.105 654.00	0.00 809.40

THE RICHARD AND SUSAN BRADDOCK Account number 313-1710D-15

Corporate bonds *continued*

Amount	Description	Date acquired/ CUSIP #	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip Income (annualized)	Ordinary income/ Capital gain/(loss)
10,000	APACHE CORP	01/29/09	$ 10,844.70	$ 108.447	109.301	**$ 10,930.10**	$ 85.40	LT	**5.489**	**$ 0.0[illegible]**
	DTD 10/01/08	037411AU9	**$ 10,345.60**	$ 103.456	**$ 126.67**		**$ 584.50**	LT	**$ 600.00**	**$ 584.5[illegible]**
	INT: 06.000% MATY: 09/15/2013									
	Rating: A3/A-									
10,000	CATERPILLAR FINANCIA	01/29/09	10,545.40	105.454	109.171	10,917.10	371.70	LT		0.0[illegible]
	DTD 09/26/2008	14912L4C2	10,228.00	102.28			689.10	LT		689.1[illegible]
5,000	INT: 06.200% MATY: 09/30/2013	02/11/09	5,184.15	103.683	109.171	5,458.55	274.40	LT		0.0[illegible]
	Rating: A2/A		5,077.70	101.554			380.85	LT		380.85
15,000			15,729.55	104.90		**16,375.65**	646.10		**5.679**	**0.00**
			15,305.70	102.00	**157.58**		**1,069.95**		**930.00**	**1,069.95**
10,000	GEORGIA POWER COMPANY	01/29/09	10,979.20	109.792	109.405	**10,940.50**	(38.70)	LT	**5.484**	**0.00**
	BOOK/ENTRY	373334JM4	**10,416.80**	104.168	**50.00**		**523.70**	LT	**600.00**	**523.70**
	DTD 11/18/2008									
	INT: 06.000% MATY: 11/01/2013									
	Rating: A3/A									
10,000	AT&T CORP	01/29/09	10,880.50	108.805	110.469	**11,046.90**	166.40	LT	**6.065**	**0.00**
	BOOK/ENTRY	00206RAP7	10,38[illegible]	103.84	**29.78**		**662.90**	LT	**670.00**	**662.90**
	DTD 11/17/2008									
	INT: 06.700% MATY: 11/15/2013									
	Rating: A2/A-									
10,000	DUKE ENERGY CORP	01/29/09	10,764.30	107.643	108.913	**10,891.30**	127.00	LT	**5.279**	**0.00**
	DTD 11/17/2008	26442CAF1	**10,330.40**	103.304	**25.56**		**560.90**	LT	**575.00**	**560.90**
	INT: 05.750% MATY: 11/15/2013									
	Rating: A1/A									
Total corporate bonds			**$ 395,546.94**		**$ 7,287.57**	**$ 415,482.02**	**$ 0.00**	**ST**	**6.29**	**$ 6,553.79**
395,000			**$ 390,257.70**				**$ 25,194.32**	**LT**	**$ 26,133.25**	**$ 18,640.53**
Total portfolio value			**$ 492,319.29**			**$ 618,697.62**	**$ 0.00**	**ST**	**5.28**	**$ 6,553.79**
							$ 26,188.33	**LT**	**$ 27,410.68**	**$ 19,634.54**

[redacted]

Asset Allocation Disclosure and Footnotes

NOTE: Unpriced securities in your account may cause the total brokerage account assets to be understated.

Client Service Information

Your Relationship Manager: BB6	Contact Information	Client Service Information
PATRICIA GLASS PRIVATE BANKING USA ELEVEN MADISON AVENUE, 7TH FL NEW YORK NY 10010-3698	**Telephone Number:** (212) 538-3974 **Fax Number:** (212) 743-3134	**Web Site:** WWW.CREDIT-SUISSE.COM
Investment Objective: SPECULATION **Risk Exposure:** NONE SPECIFIED		If you have any questions concerning your investment objective or wish to make a change, please contact your Relationship Manager.

Default Tax Lot Disposition Method for Mutual Funds: FIRST IN FIRST OUT
Default Tax Lot Disposition Method for All Other Securities: FIRST IN FIRST OUT

Portfolio Holdings

Quantity	Acquisition Date	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
Fixed Income 0.00% of Portfolio *(In Maturity Date Sequence)*									
6Asset Backed Securities									
5CLYDESDALE STRATEGIC CLO I LTD SUB NT 144A 0 000% 01/20/17 B/E DTD 01/20/05 *Factor:* 1.00000000 *Current Face Value.* 500,000.000			*Security Identifier:* 18971VAB4						
500,000.000	12/14/04*	100.0010	500,005.00	N/A	N/A	N/A	0.00		
Original Cost Basis: $500,005.00									
5PORTER SQUARE CDO III LTD SUB NT 144A 3C7 ISIN#US73629LAA98 0.000% 04/08/41 B/E DTD 10/25/05 CLB *Factor:* 1.00000000 *Current Face Value:* 750,000.000			*Security Identifier:* 73629LAA9						
750,000.000	08/09/06*	68.0010	510,005.00	N/A	N/A	N/A	0.00		
Original Cost Basis: $510,005.00									
Total Asset Backed Securities **1,250,000.000**			**$1,010,010.00**		**$0.00**	**$0.00**	**$0.00**	**$0.00**	
Total Current Face Value: 1,250,000.000									
Total Fixed Income **1,250,000.000**			**$1,010,010.00**		**$0.00**	**$0.00**	**$0.00**	**$0.00**	

Form **8868** (Rev. January 2011)

Department of the Treasury Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

OMB No. 1545-1709

▶ File a separate application for each return.

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box . . . . ▶ [X]
- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form).

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.

Electronic filing (*e-file*). You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions) For more details on the electronic filing of this form, visit *www.irs.gov/efile* and click on *e-file for Charities & Nonprofits.*

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only . . . . ▶ [ ]

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Type or print		
File by the due date for filing your return. See instructions	Name of exempt organization: 31-C7B007575005 AGENT FOR THE BRADDOCK FAMILY FDN	Employer identification number: 06-1565971
	Number, street, and room or suite no If a P O. box, see instructions.: ONE COURT SQUARE - 29TH FLOOR	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.: LONG ISLAND CITY, NY 11120	

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ▶ CITIBANK, N.A.

Telephone No. ▶ (800)770-8444 FAX No. ▶

- If the organization does not have an office or place of business in the United States, check this box . . . . ▶ [ ]
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ . If this is for the whole group, check this box . . . . . . ▶ [ ] . If it is for part of the group, check this box . . . . ▶ [ ] and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 07/16 , 20 12 , to file the exempt organization return for the organization named above. The extension is for the organization's return for:

▶ [ ] calendar year 20 ____ or

▶ [X] tax year beginning 12/01 , 20 10 , and ending 11/30, 20 11 .

2 If the tax year entered in line 1 is for less than 12 months, check reason: [ ] Initial return [ ] Final return [ ] Change in accounting period

3a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	$ 17,350.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	$
c	**Balance Due.** Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	$ 17,350.

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

For Paperwork Reduction Act Notice, see Instructions. Form **8868** (Rev 1-2011)

- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** and check this box . . . . ▶ [X]

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** (on page 1).

Part II **Additional (Not Automatic) 3-Month Extension of Time.** Only file the original (no copies needed).

Type or print		
File by the extended due date for filing your return See instructions	Name of exempt organization 31-C7B007575005 AGENT FOR THE BRADDOCK FAMILY FDN	Employer identification number 06-1565971
	Number, street, and room or suite no If a P.O. box, see instructions. TWO COURT SQUARE, 8TH FLOOR	
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. LONG ISLAND CITY, NY 11120	

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990	01		
Form 990-BL	02	Form 1041-A	08
Form 990-EZ	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

- The books are in the care of ▶ CITIBANK, N.A.

  Telephone No. ▶ (800)770-8444 FAX No. ▶
- If the organization does not have an office or place of business in the United States, check this box . . . . ▶ [ ]
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ . If this is for the whole group, check this box . . . . . . ▶ [ ] . If it is for part of the group, check this box . . . . ▶ [ ] and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until 10/15 , 20 12 .

5 For calendar year ______ , or other tax year beginning 12/01 , 20 10 , and ending 11/30, 20 11 .

6 If the tax year entered in line 5 is for less than 12 months, check reason: [ ] Initial return [ ] Final return [ ] Change in accounting period

7 State in detail why you need the extension ADDITIONAL TIME IS NEEDED TO PREPARE AN ACCURATE AND COMPLETE TAX RETURN.

8a	If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	$ 17,350.
b	If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	$ 17,350.
c	**Balance Due.** Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	$

Signature and Verification

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form

CITIBANK, N.A.

Signature ▶ Title ▶ Date ▶ 07/11/2012

Form **8868** (Rev 1-2011)

KPMG LLP

100 WESTMINSTER ST, 6TH FL, SUITE A

PROVIDENCE, RI 02903-2321