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Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

2011

For calendar year 2011, or tax year beginning 01-01-2011 , and ending 12-31-2011

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

Name of foundation
THE RM LIU FOUNDATION

A Employer identification number
20-8643551

Number and street (or P O box number if mail is not delivered to street address) Room/suite
500 W 190TH STREET 6TH FLOOR

B Telephone number (see page 10 of the instructions)
(310) 604-8760

City or town, state, and ZIP code
GARDENA, CA 90248

C If exemption application is pending, check here ☐
D 1. Foreign organizations, check here ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ☐
E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 2,123,804

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

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

	Line	Description	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	1,755,000			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	7	7		
	4	Dividends and interest from securities	51,792	51,792		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	93,878			
	b	Gross sales price for all assets on line 6a 844,730				
	7	Capital gain net income (from Part IV, line 2)		93,878		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)				
	12	**Total.** Add lines 1 through 11	1,900,677	145,677		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0	0		0
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	4,750	2,375		2,375
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see page 14 of the instructions)	1,264	1,071		0
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	10,012	10,012		0
	24	**Total operating and administrative expenses.** Add lines 13 through 23	16,026	13,458		2,375
	25	Contributions, gifts, grants paid	1,642,182			1,642,182
	26	**Total expenses and disbursements.** Add lines 24 and 25	1,658,208	13,458		1,644,557
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	242,469			
	b	**Net investment income** (if negative, enter -0-)		132,219		
	c	**Adjusted net income** (if negative, enter -0-)				

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	532,172	570,314	570,314
	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 ▶	238,760	0	0
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach schedule) ▶			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	1,107,656	1,552,241	1,553,490
	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)	1,878,588	2,122,555	2,123,804
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0	0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☑ **and complete lines 27 through 31.**			
	27	Capital stock, trust principal, or current funds	0	0	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
	29	Retained earnings, accumulated income, endowment, or other funds	1,878,588	2,122,555	
	30	**Total net assets or fund balances** (see page 17 of the instructions)	1,878,588	2,122,555	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	1,878,588	2,122,555	

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	1,878,588
2	Enter amount from Part I, line 27a	2	242,469
3	Other increases not included in line 2 (itemize) ▶	3	1,503
4	Add lines 1, 2, and 3	4	2,122,560
5	Decreases not included in line 2 (itemize) ▶	5	5
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	2,122,555

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)
1 a	U S TRUST - SEE ATTACHED	P		
b	U S TRUST - SEE ATTACHED	P		
c	U S TRUST - SEE ATTACHED	P		
d	CAPITAL GAINS DIVIDENDS	P		
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	355,398		347,912	7,486
b	484,918		402,902	82,016
c	38		38	0
d	4,376			4,376
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				7,486
b				82,016
c				0
d				4,376
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	93,878
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))
2010	1,514,738	1,603,084	0 944890
2009	267,997	997,967	0 268543
2008	444,842	1,229,296	0 361867
2007	2,000	164,240	0 012177
2006			

2	**Total** of line 1, column (d).	2	1 587477
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 396869
4	Enter the net value of noncharitable-use assets for 2011 from Part X, line 5.	4	1,873,998
5	Multiply line 4 by line 3.	5	743,732
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	1,322
7	Add lines 5 and 6.	7	745,054
8	Enter qualifying distributions from Part XII, line 4.	8	1,644,557

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1				
	Date of ruling or determination letter ____________ **(attach copy of letter if necessary–see instructions)**				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b			1	1,322
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			2	0
3	Add lines 1 and 2			3	1,322
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	0
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	1,322
6	Credits/Payments				
a	2011 estimated tax payments and 2010 overpayment credited to 2011	6a	1,030		
b	Exempt foreign organizations—tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c	5,000		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	6,030
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	4,708
11	Enter the amount of line 10 to be **Credited to 2012 estimated tax** ▶ 4,708	**Refunded** ▶		11	0

Part VII-A **Statements Regarding Activities**

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		No
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		No
	*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		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ 0 **(2)** On foundation managers ▶ $ 0			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0			
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		No
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		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		No
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	Yes	
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	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ CA			
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	Yes	
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 2011 or the taxable year beginning in 2011 (see instructions for Part XIV on page 27)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		No

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

		Line	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		No
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶N/A

14 The books are in care of ▶JUSTIN R LIU Telephone no ▶(310) 604-8760

Located at ▶500 W 190TH STREET 6TH FLOOR GARDENA CA ZIP+4 ▶90248

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 |

		Line	Yes	No
16	At any time during calendar year 2011, 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		No

See 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.

		Line	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 20 of the instructions)?	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011?	1c		No
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 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? ☐ Yes ☑ No			
	If "Yes," list the years ▶ 20____ , 20____ , 20____ , 20____			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see page 20 of the instructions)	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____ , 20____ , 20____ , 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☑ No			
b	If "Yes," did it have excess business holdings in 2011 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 2011.)*	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
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 2011?	4b		No

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

			Yes	No
5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No			
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see page 22 of the instructions) ☐ Yes ☑ No			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)?	5b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No			
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		No
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☑ No			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JUSTIN R LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	PRESIDENT 1 00	0	0	0
EMILY F LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	SECRETARY 1 00	0	0	0
MIMI W LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	CFO 1 00	0	0	0
ROBERT W LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	VICE-PRESIDENT 1 00	0	0	0

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

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

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

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

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

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

Total number of others receiving over $50,000 for professional services. . . . . ▶ 0

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

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1	
2	
3	
4	

Part IX-B **Summary of Program-Related Investments** (see page 23 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments See page 24 of the instructions 3	
Total. Add lines 1 through 3. . . . . ▶	0

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	1,772,195
b	Average of monthly cash balances	1b	130,341
c	Fair market value of all other assets (see page 24 of the instructions)	1c	0
d	**Total** (add lines 1a, b, and c)	1d	1,902,536
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e 0		
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d	3	1,902,536
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions)	4	28,538
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	1,873,998
6	**Minimum investment return.** Enter 5% of line 5	6	93,700

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	93,700
2a	Tax on investment income for 2011 from Part VI, line 5 2a 1,322		
b	Income tax for 2011 (This does not include the tax from Part VI) 2b		
c	Add lines 2a and 2b	2c	1,322
3	Distributable amount before adjustments Subtract line 2c from line 1	3	92,378
4	Recoveries of amounts treated as qualifying distributions	4	0
5	Add lines 3 and 4	5	92,378
6	Deduction from distributable amount (see page 25 of the instructions)	6	0
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1	7	92,378

Part XII **Qualifying Distributions** (see page 25 of the instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26	1a	1,644,557
b	Program-related investments—total from Part IX-B	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	1,644,557
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	1,322
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,643,235

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 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				92,378
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only.			0	
b Total for prior years 20___, 20___, 20___		0		
3 Excess distributions carryover, if any, to 2011				
a From 2006.				
b From 2007.				
c From 2008. 378,734				
d From 2009. 218,415				
e From 2010. 1,436,320				
f **Total** of lines 3a through e.	2,033,469			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ $ 1,644,557				
a Applied to 2010, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see page 26 of the instructions)		0		
c Treated as distributions out of corpus (Election required—see page 26 of the instructions). . .	0			
d Applied to 2011 distributable amount.				92,378
e Remaining amount distributed out of corpus	1,552,179			
5 Excess distributions carryover applied to 2011 *(If an amount appears in column (d), the same amount must be shown in column (a).)*	0			0
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	3,585,648			
b Prior years' undistributed income Subtract line 4b from line 2b		0		
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.		0		
d Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions . . .		0		
e Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions			0	
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)	0			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see page 27 of the instructions)	0			
9 **Excess distributions carryover to 2012.** Subtract lines 7 and 8 from line 6a	3,585,648			
10 Analysis of line 9				
a Excess from 2007. . . .				
b Excess from 2008. . . . 378,734				
c Excess from 2009. . . . 218,415				
d Excess from 2010. . . . 1,436,320				
e Excess from 2011. . . . 1,552,179				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2011, enter the date of the ruling. . . . . . . ▶

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

	Tax year	Prior 3 years			(e) Total
	(a) 2011	**(b)** 2010	**(c)** 2009	**(d)** 2008	
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 organization had $5,000 or more in assets at any time during the year—see page 27 of the instructions.)

1 Information Regarding Foundation Managers:

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

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

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
FU JEN UNIVERSITY FOUNDATION 79 MONTEZUMA STREET SAN FRANCISCO, CA 94110	NONE	NON-PROFIT	CHARITY	234,000
NORRIS CENTER FOR THE PERFORMING ARTS 27570 CROSSFIELD DRIVE ROLLING HILLS ESTATES, CA 90274	NONE	NON-PROFIT	CHARITY	2,000
PACIFIC COUNCIL 801 S FIGUEROA STREET SUITE 1130 LOS ANGELES, CA 90017	NONE	NON-PROFIT	CHARITY	156,182
UNIVERSITY OF NOTRE DAME 1100 GRACE HALL NOTRE DAME, IN 46556	NONE	NON-PROFIT	CHARITY	1,250,000
Total . . . . ▶ **3a**				1,642,182
b *Approved for future payment*				
Total . . . . ▶ **3b**				0

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments			14	7	
4 Dividends and interest from securities. . . .			14	51,792	
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	93,878	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory. .					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .		0		145,677	0

13 Total. Add line 12, columns (b), (d), and (e). 13 145,677

(See worksheet in line 13 instructions on page 28 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 organization's exempt purposes (other than by providing funds for such purposes) (See page 28 of the instructions)

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

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

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

Signature of officer or trustee | 2012-11-01 Date | Title

Paid Preparer's Use Only

Preparer's Signature	Date	Check if self-employed ☐	PTIN
ELLEN ROSEN			P00462460
Firm's name ▶ COHNREZNICK LLP		Firm's EIN ▶ 22-1478099	
Firm's address ▶ 11755 WILSHIRE BLVD STE 1700 LOS ANGELES, CA 90025		Phone no (310) 477-3722	

May the IRS discuss this return with the preparer shown above? See instructions ▶ ☐ Yes ☐ No

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Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

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

OMB No 1545-0047

2011

Name of organization	**Employer identification number**
THE RM LIU FOUNDATION	20-8643551

Organization type (check one)

Filers of:	**Section:**
Form 990 or 990-EZ	☐ 501(c)( ) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☑ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

General Rule—

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

Special Rules

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

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

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

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

Name of organization
THE RM LIU FOUNDATION

Employer identification number
20-8643551

Part I **Contributors** (see Instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	ROBERT AND MIMI LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	$ 500,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
2	TIRECO INC 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	$ 1,250,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
3	RML FUNDING LP 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	$ 5,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)

Name of organization	**Employer identification number**
THE RM LIU FOUNDATION	20-8643551

Part II **Noncash Property** (see Instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Name of organization
THE RM LIU FOUNDATION

Employer identification number
20-8643551

Part III *Exclusively* **religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations aggregating more than $1,000 for the year.** (Complete columns **(a)** through **(e) and** the following line entry)
For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **$1,000 or less** for the year (Enter this information once See instructions) ▶ $
Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee

Additional Data

Software ID:	
Software Version:	
EIN:	20-8643551
Name:	THE RM LIU FOUNDATION

Form 990PF - Special Condition Description:

Special Condition Description

TY 2011 Accounting Fees Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	4,750	2,375		2,375

TY 2011 Investments - Other Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
U.S. TRUST	AT COST	1,552,241	1,553,490

TY 2011 Other Decreases Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Description	Amount
DISALLOWED WASH SALE LOSSES	5

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TY 2011 Other Expenses Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES	10,012	10,012		0

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TY 2011 Other Increases Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Description	Amount
NONDIVIDEND DISTRIBUTIONS FROM U.S. TRUST	39
PRIOR PERIOD BOOK VS TAX ADJUSTMENT	1,464

TY 2011 Taxes Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX PAID	1,071	1,071		0
CITY OF CARSON	163	0		0
ATTORNEY GENERAL REGISTRY FEE	20	0		0
CALIFORNIA FTB FILING FEE	10	0		0

Proceeds From Broker Transactions

This section reports your proceeds from sales during the year. We report all transactions on a trade-date basis, which is the date shown in the sale date column. The net proceeds are less commissions, transfer charges, and premiums.

We have adjusted tax costs for amortization of premium paid for the acquisition of municipal bonds through date of sale and for non-taxable dividends. An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital. However, we have not made adjustments to the cost basis of all partnerships.

Short term transactions

This category includes sales of assets held 12 months or less

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost, other basis or pass through loss	Net gain or loss
NETFLIX COM INC	64110L106	20	04/07/10	01/11/11	$3,799.25	$1,631.22	$2,168.03
EXPEDITORS INTERNATIONAL WASH INC	302130109	21	01/21/10	01/21/11	$1,123.69	$736.05	$387.64
ARM HLDGS PLC SPONSORED ADR	042068106	59	01/28/10	01/21/11	$1,471.50	$542.87	$928.63
PARKER-HANNIFIN CP	701094104	12	08/05/10	01/28/11	$1,045.82	$784.20	$261.62
KELLOGG CO	487836108	3	06/07/10	02/08/11	$159.78	$161.66	$-1.88
DOLLAR TREE INC	256746108	68	08/27/10	02/08/11	$3,370.96	$3,113.28	$257.68
DOLLAR TREE INC	256746108	2	09/13/10	02/08/11	$99.15	$94.12	$5.03
PUBLIC SERVICE ENTERPRISE GROUP INC	744573106	18	07/26/10	02/18/11	$574.32	$611.38	$-37.06
KIMBERLEY CLARK CORP	494368103	9	05/25/10	02/18/11	$589.43	$543.82	$45.61
ABBOTT LABS	002824100	5	06/15/10	02/18/11	$233.70	$240.81	$-7.11
KIMBERLEY CLARK CORP	494368103	11	05/25/10	03/01/11	$725.58	$664.66	$60.92
WAL MART STORES INC	931142103	6	01/28/11	03/01/11	$313.87	$342.42	$-28.55
CREE RESEARCH	225447101	10	05/15/10	03/23/11	$439.90	$614.66	$-174.76
CREE RESEARCH	225447101	6	09/24/10	03/23/11	$263.95	$313.51	$-49.56
RESEARCH IN MOTION LTD	760975102	16	01/05/11	04/08/11	$875.69	$954.63	$-78.94
CONOCOPHILLIPS	20825C104	5	04/15/10	04/08/11	$403.94	$285.55	$118.39
HUNTINGTON INGALLS INDS INC	446413106	1	01/28/11	04/08/11	$38.66	$39.49	$-0.83
TARGET CORP	87612E106	11	03/01/11	04/08/11	$546.56	$579.43	$-32.87

Short term transactions

This category includes sales of assets held 12 months or less

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
COLUMBIA ACORN TR FD CL Z	197199409	476 34	01 20 11	04 12 11	$15 000 00	$14 228 34	$771 66
HUNTINGTON INGALLS INDS INC	446413106	0 67	03 28 11	04 15 11	$25 68	$26 34	$-0 66
QUALCOMM INC	747525103	17	02 04 11	04 13 11	$885 97	$939 56	$-53 59
JOHNSON CONTROLS INC	478366107	15	02 16 11	05 12 11	$590 83	$630 47	$-39 64
MONSANTO CO NEW	61166W101	6	02 04 11	05 12 11	$383 81	$444 94	$-61 13
OCCIDENTAL PETROLEUM CORP	674599105	7	01 12 11	05 12 11	$719 07	$685 51	$33 56
OCCIDENTAL PETROLEUM CORP	674599105	3	02 04 11	05 12 11	$308 17	$292 39	$15 78
PERRIGO CO	714290103	8	01 2[illegible] 11	05 12 11	$699 98	$562 42	$137 56
POTASH CORP SASK INC	73755L107	12	02 04 11	05 12 11	$610 79	$726 67	$-115 88
POTASH CORP SASK INC	73755L107	11	12 07 10	05 12 11	$559 89	$526 42	$33 47
PRICELINE COM INC	741503403	2	09 23 10	05 12 11	$1 044 41	$680 65	$363 76
QUALCOMM INC	747525103	2	09 21 10	05 12 11	$114 46	$87 04	$27 42
SCHLUMBERGER LTD	806857108	10	03 07 11	05 12 11	$835 08	$902 55	$-67 47
SCHWAB CHARLES CORP NEW	808513105	30	12 16 10	05 12 11	$539 38	$503 61	$35 77
STARWOOD HOTELS & RESORTS	85590A401	10	12 07 10	05 12 11	$592 78	$604 63	$-11 85
ALEXION PHARMACEUTICALS INC	015351109	7	03 07 11	05 12 11	$704 57	$688 07	$16 50
JPMORGAN TR I US LARGE CAP CORE	4812A2389	1378 68	01 20 11	05 12 11	$30 000 00	$28 924 62	$1 075 38
ILLUMINA INC	452327109	6	03 29 11	05 12 11	$452 57	$399 24	$53 33
GOOGLE INC CL A	38259P508	1	02 04 11	05 12 11	$534 82	$610 66	$-75 84
FREEPORT-MCMORAN COPPER & GOLD CL B	35671D857	7	01 25 11	05 12 11	$341 15	$367 95	$-26 80
FREEPORT-MCMORAN COPPER & GOLD CL B	35671D857	12	02 04 11	05 12 11	$584 83	$677 50	$-92 67
CITRIX SYS INC	177376100	10	08 30 10	05 12 11	$840 68	$586 11	$254 57
CHIPOTLE MEXICAN GRILL INC CL A	169656105	2	04 2[illegible] 11	05 12 11	$552 48	$558 93	$-6 45
CATERPILLAR INC	149123101	3	03 25 11	05 12 11	$324 77	$327 56	$-2 79
CAMERON INTL CORP	13342B105	1	[illegible]	05 12 11	$48 67	$51 73	$-3 06
CAMERON INTL CORP	13342B105	13	[illegible] 07 11	05 12 11	$632 69	$804 47	$-171 78

Short term transactions

This category includes sales of assets held 12 months or less

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
ISHARES U S TREAS INFLATION	464287176	475	02/14/11	05/12/11	$52,335.58	$50,138.63	$2,196.95
ISHARES U S TREAS INFLATION	464287176	255	08/05/10	05/12/11	$25,892.34	$25,141.48	$750.86
CB RICHARD ELLIS GROUP INC CL A	12497T101	22	04/13/11	05/12/11	$579.24	$603.94	$-24.70
MICROSOFT CORP	594918104	17	04/08/11	05/13/11	$425.67	$441.99	$-16.32
NATIONAL GRID PLC SPONSORED ADR	636274300	18	09/08/10	05/13/11	$908.94	$772.48	$136.46
NORTHROP GRUMMAN CORP	666807102	5	04/08/11	05/13/11	$324.39	$312.35	$12.04
NORTHROP GRUMMAN CORP	666807102	10	01/28/11	05/13/11	$648.78	$614.87	$33.91
ORACLE CORPORATION	68389X105	28	03/29/11	05/13/11	$984.75	$923.91	$60.84
PEABODY ENERGY CORP	704549104	15	06/07/10	05/13/11	$876.45	$545.49	$330.96
PEPSICO INC	713448108	5	04/08/11	05/13/11	$352.49	$329.76	$22.73
PFIZER INC	717081103	39	06/07/10	05/13/11	$814.79	$570.24	$244.55
REYNOLDS AMERN INC	761713106	13	03/01/11	05/13/11	$503.59	$446.50	$57.09
REYNOLDS AMERN INC	761713106	27	12/01/10	05/13/11	$1,045.91	$862.68	$183.23
SUNTRUST BANKS INC	867914103	57	05/02/11	05/13/11	$1,016.37	$1,044.14	$-27.77
TIME WARNER CABLE INC	88732J207	4	04/08/11	05/13/11	$308.80	$290.24	$18.56
TIME WARNER CABLE INC	88732J207	11	02/18/11	05/13/11	$849.20	$792.47	$56.73
UNILEVER N V	904784709	37	05/11/11	05/13/11	$1,202.85	$1,211.54	$-8.69
UNITEDHEALTH GROUP INC	91324P102	19	02/08/11	05/13/11	$950.60	$801.21	$149.39
VODAFONE GROUP PLC NEW SPONSORED	92857W209	25	02/18/11	05/13/11	$682.24	$739.70	$-57.46
VODAFONE GROUP PLC NEW SPONSORED	92857W209	26	04/08/11	05/13/11	$709.52	$758.16	$-48.64
VODAFONE GROUP PLC NEW SPONSORED	92857W209	25	10/29/10	05/13/11	$682.24	$684.79	$-2.55
WAL MART STORES INC	931142103	3	06/15/10	05/13/11	$166.70	$154.50	$12.20
WAL MART STORES INC	931142103	9	07/26/10	05/13/11	$500.11	$460.85	$39.26
WAL MART STORES INC	931142103	8	06/07/10	05/13/11	$444.55	$408.60	$35.95
COVIDIEN PLC	G2554F113	25	06/15/10	05/13/11	$1,285.21	$960.28	$324.93
ACE LTD	H0023R105	11	05/11/11	05/13/11	$746.22	$745.77	$0.45

Short term transactions

This category includes sales of assets held 12 months or less

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
ACE LTD	H0023R105	11	05 02 11	05 13 11	$746 23	$735 35	$10 88
ABBOTT LABS	002824100	11	06 15 10	05 13 11	$588 60	$529 79	$58 81
ALPHA NATURES INC	02076X102	20	05 02 11	05 13 11	$970 63	$1 167 97	$-197 34
AMERIPRISE FINL INC	03076C106	13	02 08 11	05 13 11	$812 48	$778 99	$33 49
AMGEN INC	031162100	10	06 15 10	05 13 11	$605 09	$549 84	$55 25
AMGEN INC	031162100	7	06 07 10	05 13 11	$423 56	$377 55	$46 01
APACHE CORP	037411105	4	06 07 10	05 13 11	$496 40	$351 45	$144 95
APPLE COMPUTER INC	037833100	3	02 08 11	05 13 11	$1 022 86	$1 065 89	$-43 03
APPLE COMPUTER INC	037833100	1	04 08 11	05 13 11	$340 95	$336 72	$4 23
BASF AG SPONSORED ADR	055262505	6	04 08 11	05 13 11	$540 65	$554 51	$-13 86
BASF AG SPONSORED ADR	055262505	9	03 30 11	05 13 11	$810 97	$762 06	$48 91
CVS CORPORATION DEL	126650100	10	05 28 10	05 13 11	$380 61	$318 72	$61 89
CVS CORPORATION DEL	126650100	21	06 07 10	05 13 11	$799 27	$652 79	$146 48
CVS CORPORATION DEL	126650100	10	07 26 10	05 13 11	$380 61	$309 06	$71 55
CITIGROUP INC	172967424	9 4	02 18 11	05 13 11	$391 88	$461 54	$-69 66
CITIGROUP INC	172967424	11 9	02 08 11	05 13 11	$496 10	$583 06	$-86 96
CITIGROUP INC	172967424	10 1	03 01 11	05 13 11	$421 06	$467 61	$-46 55
CITIGROUP INC	172967424	19 1	05 11 11	05 13 11	$796 27	$819 55	$-23 28
CITIGROUP INC	172967424	19 6	12 22 10	05 13 11	$817 12	$923 63	$-106 51
COMCAST CORP NEW CL A	20030N101	45	05 02 11	05 13 11	$1 128 58	$1 205 10	$-76 52
CONOCOPHILLIPS	20825C104	11	06 15 10	05 13 11	$785 61	$596 78	$188 83
CONOCOPHILLIPS	20825C104	20	05 25 10	05 13 11	$1 428 37	$994 55	$433 82
DISNEY WALT CO	254687106	10	02 18 11	05 13 11	$414 89	$434 81	$-19 92
FIFTH THIRD BANCORP	316773100	22	01 28 11	05 13 11	$274 99	$327 58	$-52 59
GENERAL ELECTRIC CO	369604103	20	01 28 11	05 13 11	$396 81	$406 60	$-9 79
GOLDMAN SACHS GROUP INC	38141G104	2	04 08 11	05 13 11	$281 95	$325 39	$-43 44

Short term transactions

This category includes sales of assets held 12 months or less

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
HSBC HLDGS PLC SPONSORED ADR NEW	404280406	6	04 08 11	05 13 11	$314 62	$326 32	$-11 70
HSBC HLDGS PLC SPONSORED ADR NEW	404280406	19	03 17 11	05 13 11	$996 29	$962 92	$33 37
HALLIBURTON CO	406216101	6	04 08 11	05/13 11	$276 00	$293 85	$-17 85
HALLIBURTON CO	406216101	20	01 28 11	05 13/11	$919 98	$867 22	$52 76
HESS CORP	42809H107	11	06 15 10	05/13/11	$833 65	$608 78	$224 87
HUMANA INC	444859102	15	03 17 11	05 13 11	$1 174 48	$964 07	$210 41
ILLINOIS TOOL WORKS INC	452308109	13	01 28 11	05/13 11	$753 34	$712 45	$40 89
ILLINOIS TOOL WORKS INC	452308109	10	03 01 11	05/13/11	$579 49	$540 51	$38 98
ILLINOIS TOOL WORKS INC	452308109	12	03 17 11	05/13/11	$695 38	$646 84	$48 54
JP MORGAN CHASE & CO	46625H100	7	04 08 11	05/13 11	$301 83	$329 91	$-28 08
JOHNSON AND JOHNSON	478160104	33	05 25 10	05/13/11	$2 192 80	$1 984 05	$208 75
KEYCORP NEW COM	493267108	49	02 18 11	05 13 11	$405 72	$471 34	$-65 62
KEYCORP NEW COM	493267108	16	05 25 10	05/13/11	$132 48	$124 85	$7 63
KOHLS CORP	500255104	8	04 08 11	05/13/11	$440 16	$435 60	$4 56
KOHLS CORP	500255104	13	03 17 11	05 13/11	$715 27	$691 16	$24 11
KRAFT FOODS INC CL A	50075N104	32	08 23 10	05/13/11	$1 115 49	$932 94	$182 55
LINCOLN NATIONAL CORP	534187109	12	03 01 11	05 13 11	$357 59	$376 90	$-19 31
LINCOLN NATIONAL CORP	534187109	2	06 15 10	05/13 11	$59 60	$55 62	$3 98
MERCK & CO INC	58933Y105	20	05 25 10	05/13/11	$740 84	$638 25	$102 59
CITIGROUP INC	172967424	0 9	12 20 10	05/31 11	$36 37	$43 51	$-7 14
SCHWAB CHARLES CORP NEW	808513105	17	12 16 10	06 08 11	$268 97	$285 38	$-16 41
FMC CORPORATION	268648102	20	05 12 11	06 29 11	$542 03	$549 42	$-7 39
POTASH CORP SASK INC	73755L107	6	11 18 10	06 29 11	$340 97	$280 49	$60 48
POTASH CORP SASK INC	73755L107	4	12 07 10	06 29 11	$227 31	$191 43	$35 88
COLUMBIA ACORN TR INTL CL Z	197199813	615 46	01 24 11	07 18 11	$24 796 92	$25 000 00	$-203 08
THORNBURG INVT TR INTL VALUE I D CI	885215566	860 88	01 20 11	07 18 11	$25 000 00	$24 681 49	$318 51

Short term transactions

This category includes sales of assets held 12 months or less

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
CAMBIAR SMALL CAP FUND	0075W0817	1395 6	01 14 11	07 18 11	$26 000 00	$25 539 44	$460 56
COLUMBIA ACORN TR FD CL Z	197199409	360 62	01/20 11	07 18 11	$11 337 82	$10 771 66	$566 16
JPMORGAN TR II US LARGE CAP CORE	4812A2389	1004 55	01/20 11	07 18 11	$21 246 14	$21 075 38	$170 76
JUNIPER NETWORKS INC	48203R104	32	07 21/11	07 27 11	$801 92	$973 68	$-171 76
ARTISAN EMERGING MKTS FUND	04314H832	935 16	04 12 11	07 29 11	$14 149 00	$15 000 00	$-851 00
JOHNSON CONTROLS INC	478366107	41	01/21 11	09 14 11	$1 198 56	$1 588 63	$-390 07
JOHNSON CONTROLS INC	478366107	4	02 16 11	09 14 11	$116 93	$168 13	$-51 20
JOHNSON CONTROLS INC	478366107	19	12 21 10	09 14 11	$555 43	$742 58	$-187 15
JOHNSON CONTROLS INC	478366107	37	12 22 10	09 14 11	$1 081 62	$1 435 48	$-353 86
FREEPORT-MCMORAN COPPER & GOLD CL B	35671D857	49	01/25/11	09 21 11	$1 806 33	$2 575 67	$-769 34
ILLUMINA INC	452327109	28	03 28/11	09 22 11	$1 178 44	$1 852 52	$-674 08
ILLUMINA INC	452327109	11	07/21/11	09 22 11	$462 96	$818 13	$-355 17
ALEXION PHARMACEUTICALS INC	015351109	12	01 21/11	09 22 11	$753 63	$508 81	$244 82
ALEXION PHARMACEUTICALS INC	015351109	2	03 07 11	09 22 11	$125 60	$98 30	$27 30
ILLUMINA INC	452327109	13	03 29/11	09 22 11	$547 13	$865 01	$-317 88
PERRIGO CO	714290103	2	01/21 11	10 27 11	$184 39	$140 61	$43 78
SECTOR SPDR TR SHS BEN INT-ENERGY	81369Y506	165	08/05 11	11 30 11	$11 593 49	$11 544 87	$48 62
CAMBIAR SMALL CAP FUND	0075W0817	574 71	01 14 11	11 30 11	$10 000 00	$10 517 25	$-517 25
CBRE GROUP INC	12504L109	54	03 08/11	12 12 11	$819 57	$1 376 33	$-556 76
CBRE GROUP INC	12504L109	22	04/13 11	12 12 11	$333 90	$603 95	$-270 05
CBRE GROUP INC	12504L109	72	03 08 11	12 13 11	$1 094 03	$1 835 10	$-741 07
Total short term gain/loss from sales					$355 397 82	$347 912 43	$7 485 39

Short term transactions with loss disallowed due to wash sale

This category includes sales of assets held 12 months or less

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss / Wash sale loss disallowed
CITIGROUP INC	172967424	0.9	12/22/10	05/13/11	$37.52	$42.41	$-4.89
							$4.89
Total short term gain/loss from sales.					$37.52	$42.41	$-4.89
Total short term loss disallowed from wash sales:							$4.89

Long term transactions

This category includes sales of assets held more than 12 months

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
MASTERCARD INC CL A	57636Q104	6	07/13/09	01/05/11	$1 364.98	$985.96	$379.02
TARGET CORP	87612E106	21	11/19/09	01/07/11	$1 154.64	$1 005.57	$149.07
MICROSOFT CORP	594918104	107	07/14/09	01/12/11	$3 049.89	$2 472.87	$577.02
AMAZON COM INC	023135106	9	05/09/09	01/21/11	$1 613.39	$550.56	$1 062.83
EXPEDITORS INTERNATIONAL WASH INC	302130109	6	12/31/08	01/21/11	$321.05	$201.42	$119.63
PACCAR INC	693718108	16	01/21/10	01/28/11	$880.14	$594.40	$285.74
HESS CORP	42809H107	7	01/21/10	01/28/11	$563.15	$421.25	$141.90
HESS CORP	42809H107	1	03/10/09	01/28/11	$80.45	$58.48	$21.97
CELGENE CORP COM	151020104	79	12/31/08	02/04/11	$4 027.15	$4 360.82	$-333.67
KELLOGG CO	487836108	13	12/01/09	02/08/11	$692.39	$689.83	$2.56
NORTHERN TRUST CORP	665859104	1	01/21/10	02/08/11	$52.51	$53.56	$-1.05
NORTHERN TRUST CORP	665859104	15	01/15/09	02/08/11	$787.67	$703.09	$84.58
KELLOGG CO	487836108	7	01/21/10	02/08/11	$372.83	$374.99	$-2.16
WASTE MGMT INC DEL COM	94106L109	3	04/21/09	02/08/11	$114.21	$82.85	$31.36
WASTE MGMT INC DEL COM	94106L109	10	01/24/08	02/08/11	$380.68	$303.98	$76.70
WASTE MGMT INC DEL COM	94106L109	2	02/01/08	02/08/11	$76.14	$65.90	$10.24

Long term transactions

This category includes sales of assets held more than 12 months

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
ROGERS COMMUNICATIONS INC CL B	775109200	20	02 03 10	02 18 11	$709 70	$621 68	$88 02
ABBOTT LABS	002824100	9	01 21/10	02 18 11	$420 67	$500 13	$-79 46
INTEL CORP	458140100	5	10/22/09	02 18 11	$110 61	$100 49	$10 12
INTERNATIONAL BUSINESS MACHINES	459200101	2	01 06 09	02 18 11	$328 34	$178 66	$149 68
INTERNATIONAL BUSINESS MACHINES	459200101	1	01/21/10	02 18 11	$164 17	$129 04	$35 13
INTEL CORP	458140100	35	09/01 09	02/18 11	$774 26	$690 92	$83 34
TRAVELERS COS INC	89417E109	7	01/06/09	02 18 11	$424 36	$302 96	$121 40
TRAVELERS COS INC	89417E109	5	01 21 10	02 18 11	$303 12	$244 54	$58 58
TYCO INTL LTD	H89128104	16	10 22 09	03 01 11	$721 97	$568 00	$153 97
WAL MART STORES INC	931142103	3	01/11/10	03 01 11	$156 94	$157 88	$-0 94
TYCO INTL LTD	H89128104	8	01/21/10	03 01 11	$360 98	$301 50	$59 48
EXPRESS SCRIPTS INC	302182100	12	02/05/10	03 07 11	$654 38	$508 10	$146 28
F5 NETWORKS INC	315616102	33	10/15 09	03 16 11	$3 566 29	$1 434 82	$2 131 47
UNION PACIFIC CORP	907818108	16	12/31/08	03 16 11	$1 468 92	$766 24	$702 68
STAPLES INC	855030102	10	09/11 08	03 17 11	$194 14	$245 85	$-51 71
STAPLES INC	855030102	27	01 21 10	03 17 11	$524 19	$666 63	$-142 44
PG & E CORP	69331C108	4	01 21 10	03 17 11	$167 83	$178 60	$-10 77
PG & E CORP	69331C108	8	10/22 09	03 17 11	$335 65	$339 10	$-3 45
CATERPILLAR INC	149123101	9	01 21 10	03 17 11	$923 32	$513 80	$409 52
AMERICAN ELECTRIC POWER INC	025537101	7	04 21/09	03 17 11	$237 05	$188 09	$48 96
AMERICAN ELECTRIC POWER INC	025537101	12	01 21 10	03 17 11	$406 37	$434 28	$-27 91
CREE RESEARCH	225447101	14	12/22 09	03 23 11	$1 935 58	$2 392 08	$-456 50
CREE RESEARCH	225447101	6	11 27 09	03 23 11	$263 94	$321 58	$-57 64
TARGET CORP	87612E106	4	11 19 09	03 25 11	$199 96	$191 54	$8 42
TARGET CORP	87612E106	14	06 17 09	03 25 11	$699 85	$551 67	$148 18
TARGET CORP	87612E106	72	04 02 09	03 25 11	$3 599 25	$2 619 04	$980 21

Long term transactions

This category includes sales of assets held more than 12 months

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
CISCO SYSTEM INC	17275R102	5	01/01/51	03/29/11	$86.44	$132.00	$-45.56
CISCO SYSTEM INC	17275R102	21	01/21/10	03/29/11	$363.05	$505.47	$-142.42
CISCO SYSTEM INC	17275R102	7	06/15/09	03/29/11	$121.02	$133.91	$-12.89
BEST BUY INC	086516101	31	01/06/09	03/29/11	$896.61	$968.44	$-71.83
APPLE COMPUTER INC	037833100	7	12/31/08	04/04/11	$2 384.08	$612.29	$1 771.79
TARGET CORP	87612E106	3	01/21/10	04/08/11	$149.06	$151.35	$-2.29
HEWLETT PACKARD CO	428236103	4	06/15/09	04/08/11	$163.19	$147.75	$15.44
BHP LTD SPONSORED ADR	088606108	3	01/21/10	04/08/11	$303.68	$224.63	$79.05
HEWLETT PACKARD CO	428236103	33	01/06/09	04/08/11	$1 346.36	$1 295.58	$50.78
OCCIDENTAL PETROLEUM CORP	674599105	3	01/21/10	04/08/11	$308.29	$228.55	$79.74
APACHE CORP	037411105	3	10/22/09	04/08/11	$394.22	$306.60	$87.62
ERICSSON L M TEL CO ADR CL B	294821608	58	06/19/09	05/02/11	$885.64	$555.77	$329.87
PEABODY ENERGY CORP	704549104	7	01/21/10	05/02/11	$468.99	$319.76	$149.23
PEABODY ENERGY CORP	704549104	9	03/03/10	05/02/11	$602.99	$434.47	$168.52
PRUDENTIAL FINL INC	744320102	4	01/21/10	05/02/11	$252.88	$207.16	$45.72
PRUDENTIAL FINL INC	744320102	5	05/20/09	05/02/11	$316.09	$215.23	$100.86
PRUDENTIAL FINL INC	744320102	3	05/11/09	05/02/11	$189.66	$123.67	$65.99
US BANCORP DEL NEW	902973304	25	01/21/10	05/02/11	$642.74	$632.20	$10.54
BANK AMERICA CORP	060505104	34	01/02/08	05/05/11	$415.13	$1 385.84	$-970.71
UNITED STS STL CORP NEW	912909108	18	11/13/09	05/11/11	$819.16	$720.64	$98.52
UNITED STS STL CORP NEW	912909108	2	01/21/10	05/11/11	$91.02	$116.00	$-24.98
METLIFE INC	59156R108	7	01/21/10	05/11/11	$314.75	$261.73	$53.02
NESTLE S A ADR REG	641069406	10	01/21/10	05/11/11	$606.71	$488.70	$118.01
NESTLE S A ADR REG	641069406	7	01/06/09	05/11/11	$424.69	$266.70	$157.99
MERCK & CO INC	58933Y105	8	01/21/10	05/11/11	$292.48	$321.28	$-28.80
MCDONALDS CORP	580135101	4	04/14/09	05/11/11	$317.31	$219.53	$97.78

Long term transactions

This category includes sales of assets held more than 12 months

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
COGNIZANT TECHNOLOGY SOLUTIONS	192446102	15	12/31/08	05/12/11	$1 167 05	$269 55	$897 50
EXPEDITORS INTERNATIONAL WASH INC	302130109	11	12/31/08	05/12/11	$596 73	$369 27	$227 46
EXPRESS SCRIPTS INC	302182100	11	02/05/10	05/12/11	$659 43	$465 76	$193 67
INTUITIVE SURGICAL INC NEW	46120E602	2	12/31/08	05/12/11	$720 99	$252 52	$468 47
JUNIPER NETWORKS INC	48203R104	20	12/31/08	05/12/11	$795 98	$353 40	$442 58
AMAZON COM INC	023135106	3	03/09/09	05/12/11	$616 39	$183 52	$432 87
UNION PACIFIC CORP	907818108	6	12/31/08	05/12/11	$616 69	$287 34	$329 35
ALLERGAN INC	018490102	6	09/16/09	05/12/11	$488 39	$350 10	$138 29
ALLERGAN INC	018490102	6	01/21/10	05/12/11	$488 39	$361 38	$127 01
ARM HLDGS PLC SPONSORED ADR	042068106	15	01/28/10	05/12/11	$436 49	$138 02	$298 47
APPLE COMPUTER INC	037833100	3	12/31/08	05/12/11	$1 039 69	$262 41	$777 28
QUALCOMM INC	747525103	12	12/24/09	05/12/11	$686 78	$572 04	$114 74
METLIFE INC	59156R108	14	03/01/10	05/13/11	$622 46	$510 78	$111 68
METLIFE INC	59156R108	16	12/08/08	05/13/11	$711 39	$486 34	$225 05
METLIFE INC	59156R108	13	04/27/09	05/13/11	$578 00	$366 26	$211 74
MICROSOFT CORP	594918104	9	01/21/10	05/13/11	$225 35	$270 99	$-45 64
MICROSOFT CORP	594918104	10	06/15/09	05/13/11	$250 40	$232 80	$17 60
MICROSOFT CORP	594918104	35	01/20/09	05/13/11	$876 38	$654 50	$221 88
NESTLE S A ADR REG	641069406	31	01/06/09	05/13/11	$1 899 02	$1 181 10	$717 92
OCCIDENTAL PETROLEUM CORP	674599105	8	01/21/10	05/13/11	$819 74	$609 48	$210 26
OCCIDENTAL PETROLEUM CORP	674599105	3	06/15/09	05/13/11	[illegible]	$198 95	$108 45
OCCIDENTAL PETROLEUM CORP	674599105	8	01/25/08	05/13/11	$819 75	$518 50	$301 25
OCCIDENTAL PETROLEUM CORP	674599105	10	01/06/09	05/13/11	$1 024 68	$615 30	$409 38
OCCIDENTAL PETROLEUM CORP	674599105	6	[illegible]/20/09	05/13/11	$614 81	$341 45	$273 36
ORACLE CORPORATION	68389X105	3	01/21/10	05/13/11	[illegible]	$74 63	$30 88
ORACLE CORPORATION	68389X105	24	[illegible]/26/09	05/13/11	$844	$446 95	$397 12

Long term transactions

This category includes sales of assets held more than 12 months

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost, other basis or pass through loss	Net gain or loss
PG & E CORP	69331C108	32	10 22 09	05 13 11	$1 473 25	$1 356 40	$116 85
PNC BANK CORP	693475105	7	01 21 10	05 13 11	$432 10	$391 25	$40 85
PNC BANK CORP	693475105	8	04 27 09	05/13/11	$493 83	$335 93	$157 90
PNC BANK CORP	693475105	34	04 21 09	05 13/11	$2 098 78	$1 268 06	$830 72
PEABODY ENERGY CORP	704549104	3	01 21 10	05 13/11	$175 29	$137 04	$38 25
PEABODY ENERGY CORP	704549104	13	12 11 09	05 13/11	$759 59	$590 48	$169 11
PEPSICO INC	713448108	3	01 21 10	05 13 11	$211 50	$183 27	$28 23
PEPSICO INC	713448108	4	04 21 09	05 13 11	$281 99	$197 15	$84 84
PEPSICO INC	713448108	16	03 12 09	05 13 11	$1 127 98	$765 92	$362 06
PFIZER INC	717081103	26	01 02 08	05 13 11	$543 20	$596 65	$-53 45
PFIZER INC	717081103	76	01 21 10	05 13 11	$1 587 80	$1 463 76	$124 04
PFIZER INC	717081103	29	04 21 09	05 13 11	$605 87	$386 55	$219 32
PRUDENTIAL FINL INC	744320102	37	05 11 09	05/13 11	$2 336 13	$1 525 20	$810 93
SEMPRA ENERGY	816851109	31	04 29/10	05 13 11	$1 708 37	$1 530 96	$177 41
TEXTRON INC NEW	872540109	12	01 21 10	05 13 11	$654 47	$443 49	$210 98
TEXTRON INC NEW	872540109	7	01 02 08	05 13 11	$381 77	$198 24	$183 53
TEXTRON INC NEW	872540109	15	01 06 09	05/13 11	$818 08	$325 35	$492 73
TARGET CORP	87612E106	1	01 21 10	05 13 11	$51 48	$50 45	$1 03
TARGET CORP	87612E106	10	07 27 09	05 13 11	$514 79	$422 88	$91 91
TARGET CORP	87612E106	18	08 05 09	05 13 11	$926 62	$752 42	$174 20
THERMO ELECTRON CORP	883556102	2	01 21/10	05 13 11	$123 80	$95 52	$28 28
THERMO ELECTRON CORP	883556102	15	01 06 09	05 13 11	$928 48	$528 90	$399 58
US BANCORP DEL NEW	902973304	19	01 07 10	05/13 11	$475 18	$460 76	$14 42
US BANCORP DEL NEW	902973304	37	05 11 09	05 13 11	$925 35	$689 18	$236 17
UNION PACIFIC CORP	907818108	2	01 21 10	05 13 11	$200 48	$131 46	$69 02
UNION PACIFIC CORP	907818108	23	11 13 09	05 13 11	$2 305 54	$1 458 87	$846 67

Long term transactions

This category includes sales of assets held more than 12 months

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
UNITED TECHNOLOGIES CORP	913017109	13	01 06 09	05 13 11	$1 154 64	$713 96	$440 68
UNITED TECHNOLOGIES CORP	913017109	15	10 13 08	05 13 11	$1 332 27	$783 26	$549 01
UNITEDHEALTH GROUP INC	91324P102	2	01 21 10	05 13 11	$100 06	$66 58	$33 48
UNITEDHEALTH GROUP INC	91324P102	21	03 04/09	05 13/11	$1 050 66	$386 51	$664 15
VERIZON COMMUNICATIONS	92343V104	7	01 06 09	05/13 11	$260 74	$209 66	$51 08
VERIZON COMMUNICATIONS	92343V104	34	01 21 10	05 13 11	$1 266 47	$973 75	$292 72
VERIZON COMMUNICATIONS	92343V104	2	10 22/09	05 13 11	$74 50	$54 47	$20 03
WAL MART STORES INC	931142103	8	01 11 10	05/13 11	$444 55	$421 02	$23 53
WAL MART STORES INC	931142103	2	10 22 09	05/13 11	$111 14	$100 98	$10 16
WAL MART STORES INC	931142103	17	10 06 09	05 13 11	$944 66	$0 00	$944 66
WASTE MGMT INC DEL COM	94106L109	23	04 21 09	05 13 11	$890 77	$635 16	$255 61
WELLS FARGO & CO (NEW)	949746101	19	01 21 10	05 13 11	$530 85	$534 47	$-3 62
WELLS FARGO & CO (NEW)	949746101	14	12 23 08	05 13 11	$391 15	$293 02	$98 13
WELLS FARGO & CO (NEW)	949746101	10	04 27 09	05/13 11	$279 40	$205 37	$74 03
WELLS FARGO & CO (NEW)	949746101	46	03 26 09	05/13 11	$1 285 22	$742 63	$542 59
WELLS FARGO & CO (NEW)	949746101	31	01 20 09	05/13 11	$866 12	$464 98	$401 14
ACCENTURE PLC	G1151C101	17	04 26 10	05/13 11	$947 63	$752 93	$194 70
COVIDIEN PLC	G2554F113	[illegible]	01 21 10	05 13 11	$167 64	$152 88	$14 76
COVIDIEN PLC	G2554F113	4	06 15 09	05 13 11	$223 52	$141 68	$81 84
AT&T INC	00206R102	23	01 06 09	05 13 11	$722 [illegible]	$651 13	$71 28
AT&T INC	00206R102	9	01 21 10	05 13 11	$282 68	$231 48	$51 20
AT&T INC	00206R102	19	06 19 09	05 13 11	$596 78	$455 05	$141 73
ABBOTT LABS	002824100	21	04 21 09	05 13 11	$1 123 68	$929 56	$194 12
AIR PRODUCTS & CHEMICALS INC	009158106	12	01 06 09	05 13 11	$1 089 21	$711 96	$377 25
AMERICAN ELECTRIC POWER INC	025537101	20	04 21 09	05 13 11	$751 39	$537 41	$213 98
AMERICAN ELECTRIC POWER INC	025537101	20	05 29 09	05 13 11	$751 38	$521 43	$229 95

Long term transactions

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Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
AMERICAN EXPRESS CO	025816109	12	10/22/09	05/13/11	$594.11	$434.16	$159.95
AMERICAN EXPRESS CO	025816109	24	09/01/09	05/13/11	$1,188.21	$774.20	$414.01
AMGEN INC	031162100	6	01/06/09	05/13/11	$363.05	$349.74	$13.31
AMGEN INC	031162100	8	01/21/10	05/13/11	$484.07	$453.52	$30.55
APACHE CORP	037411105	6	10/22/09	05/13/11	$744.60	$613.20	$131.40
APACHE CORP	037411105	2	08/05/09	05/13/11	$248.20	$174.70	$73.50
APACHE CORP	037411105	13	01/06/09	05/13/11	$1,613.30	$1,112.67	$500.63
BHP LTD SPONSORED ADR	088606108	2	01/21/10	05/13/11	$185.12	$149.76	$35.36
BHP LTD SPONSORED ADR	088606108	20	01/06/09	05/13/11	$1,851.16	$958.80	$892.36
BOEING CO	097023105	7	01/20/10	05/13/11	$552.85	$418.78	$134.07
BOEING CO	097023105	8	01/21/10	05/13/11	$631.83	$475.67	$156.16
CARNIVAL CORP PAIRED CTF COM	143658300	27	07/13/09	05/13/11	$1,106.71	$673.21	$433.50
CONOCOPHILLIPS	20825C104	19	04/15/10	05/13/11	$1,356.95	$1,085.10	$271.85
DISNEY WALT CO	254687106	20	03/03/10	05/13/11	$829.79	$633.03	$196.76
EXXON MOBIL CORP	30231G102	10	12/10/08	05/13/11	$808.18	$762.40	$45.78
EXXON MOBIL CORP	30231G102	6	11/30/08	05/13/11	$484.91	$446.48	$38.43
EXXON MOBIL CORP	30231G102	1	05/19/09	05/13/11	$80.82	$68.47	$12.35
EXXON MOBIL CORP	30231G102	8	01/21/10	05/13/11	$646.55	$534.32	$112.23
EXXON MOBIL CORP	30231G102	6	04/21/09	05/13/11	$484.91	$394.55	$90.36
EXXON MOBIL CORP	30231G102	9	03/01/10	05/13/11	$727.36	$587.77	$139.59
FIFTH THIRD BANCORP	316773100	31	01/21/10	05/13/11	$387.49	$377.89	$9.60
FIFTH THIRD BANCORP	316773100	52	08/17/09	05/13/11	$649.99	$509.07	$140.92
FREEPORT-MCMORAN COPPER & GOLD CL B	35671D857	12	01/21/10	05/13/11	$581.27	$459.52	$121.75
FREEPORT MCMORAN COPPER & GOLD CL B	35671D857	26	05/11/09	05/13/11	$1,356.29	$709.64	$646.65
GENERAL DYNAMICS CORP	369550108	6	10/22/09	05/13/11	$446.99	$406.26	$40.73
GENERAL DYNAMICS CORP	369550108	15	01/06/09	05/13/11	$1,117.48	$917.70	$199.78

Long term transactions

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Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
GENERAL DYNAMICS CORP	369550108	3	06/15/09	05/13/11	$223.50	$173.98	$49.52
GENERAL ELECTRIC CO	369604103	3	01/21/10	05/13/11	$59.52	$48.15	$11.37
GENERAL ELECTRIC CO	369604103	42	03/01/10	05/13/11	$833.30	$666.83	$166.47
GENERAL ELECTRIC CO	369604103	12	10/22/09	05/13/11	$238.08	$184.08	$54.00
GENERAL ELECTRIC CO	369604103	71	08/17/09	05/13/11	$1,408.67	$949.90	$458.77
GOLDMAN SACHS GROUP INC	38141G104	2	01/21/10	05/13/11	$281.96	$324.79	$-42.83
GOLDMAN SACHS GROUP INC	38141G104	3	04/21/09	05/13/11	$422.93	$357.56	$65.37
GOLDMAN SACHS GROUP INC	38141G104	11	01/06/09	05/13/11	$1,550.75	$973.72	$577.03
HESS CORP	42809H107	12	03/10/09	05/13/11	$909.44	$701.80	$207.64
HESS CORP	42809H107	12	07/13/09	05/13/11	$909.44	$579.18	$330.26
INTERNATIONAL BUSINESS MACHINES	459200101	11	01/06/09	05/13/11	$1,869.08	$982.63	$886.45
JP MORGAN CHASE & CO	46625H100	12	01/21/10	05/13/11	$517.43	$486.10	$31.33
JP MORGAN CHASE & CO	46625H100	30	01/06/09	05/13/11	$1,293.57	$894.30	$399.27
JP MORGAN CHASE & CO	46625H100	20	01/15/09	05/13/11	$862.38	$516.55	$345.83
JP MORGAN CHASE & CO	46625H100	18	12/23/08	05/13/11	$776.15	$460.59	$315.56
JOHNSON AND JOHNSON	478160104	8	03/13/10	05/13/11	$531.59	$526.97	$4.62
JOHNSON AND JOHNSON	478160104	8	04/09/10	05/13/11	$531.59	$520.07	$11.52
KEYCORP NEW COM	493267108	118	01/28/10	05/13/11	$977.03	$867.41	$109.62
LINCOLN NATIONAL CORP	534187109	16	01/21/10	05/13/11	$476.79	$417.91	$58.88
LINCOLN NATIONAL CORP	534187109	27	08/05/09	05/13/11	$804.59	$614.51	$190.08
MCDONALDS CORP	580135101	7	04/14/09	05/13/11	$564.54	$384.17	$180.37
MCDONALDS CORP	580135101	23	05/11/09	05/13/11	$1,854.91	$1,253.68	$601.23
MERCK & CO INC	58933Y105	2	01/21/10	05/13/11	$74.08	$80.32	$-6.24
MERCK & CO INC	58933Y105	8	10/22/09	05/13/11	$296.33	$262.64	$33.69
MERCK & CO INC	58933Y105	35	01/06/09	05/13/11	$1,296.46	$1,047.55	$248.91
METLIFE INC	59156R108	8	01/21/10	05/13/11	$355.69	$299.12	$56.57

U.S. TRUST

Bank of America Private Wealth Management

IM RM LIU FOUNDATION

2011 Tax Information Letter

Account Number 022001527217

Long term transactions

This category includes sales of assets held more than 12 months

Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
SCHWAB CHARLES CORP NEW	808513105	76	12 31 08	06 08 11	$1 202 47	$1 208 40	$-5 93
SCHWAB CHARLES CORP NEW	808513105	100	03 09 09	06 08 11	$1 582 19	$1 130 77	$451 42
INTUITIVE SURGICAL INC NEW	46120E602	2	12 31 08	07 12 11	$719 10	$252 52	$466 58
POWERSHARES S&P 500 BUYWRITE	73936G308	320	01 06 10	07 18 11	$6 738 81	$6 988 80	$-249 99
POWERSHARES S&P 500 BUYWRITE	73936G308	460	01 15 10	07 18 11	$9 687 04	$9 890 00	$-202 96
COLUMBIA ACORN TR INTL CL Z	197199813	2 37	03 29 10	07 18 11	$95 49	$83 97	$11 52
COLUMBIA ACORN TR INTL CL Z	197199813	226 05	01 15 10	07 18 11	$9 107 59	$8 006 74	$1 100 85
COLUMBIA ACORN TR FD CL Z	197199409	498 16	05 18 10	07 18 11	$15 662 18	$13 056 80	$2 605 38
JPMORGAN TR I US LARGE CAP CORE	4812A2389	1123 11	01 15 10	07 18 11	$23 753 86	$20 867 45	$2 886 41
POWERSHARES S&P 500 BUYWRITE	73936G308	460	01 20 10	07 18 11	$9 687 05	$9 917 60	$-230 55
INTUITIVE SURGICAL INC NEW	46120E602	8	12 31 08	07 21 11	$3 249 50	$1 010 08	$2 239 42
JUNIPER NETWORKS INC	48203R104	44	12 31 08	07 27 11	$1 102 63	$777 48	$325 15
ARTISAN EMERGING MKTS FUND	04314H832	1947 04	06 04 10	07 29 11	$29 458 71	$25 000 00	$4 458 71
ARTISAN EMERGING MKTS FUND	04314H832	1912 78	06 02 10	07 29 11	$28 940 32	$25 000 00	$3 940 32
COLUMBIA FDS SER TR I ENERGY & NAT	19765Y829	327 23	07 14 09	08 02 11	$7 653 79	$5 000 00	$2 653 79
COLUMBIA FDS SER TR I TECHNOLOGY	19765P489	845 4	01 20 10	08 02 11	$9 172 55	$7 456 39	$1 716 16
COLUMBIA FDS SER TR I TECHNOLOGY	19765P489	1140 25	01 15 10	08 02 11	$12 371 72	$10 000 00	$2 371 72
COLUMBIA FDS SER TR I TECHNOLOGY	19765P489	723 59	07 14 09	08 02 11	$7 850 94	$5 000 00	$2 850 94
COLUMBIA FDS SER TR I ENERGY & NAT	19765Y829	233 95	01 20 10	08 02 11	$5 472 18	$4 770 33	$701 85
COLUMBIA FDS SER TR I ENERGY & NAT	19765Y829	841 28	06 04 10	08 02 11	$19 677 52	$15 000 00	$4 677 52
ISHARES TR DOW JONES US AEROSPACE	464288760	328	02 05 10	08 03 11	$19 318 60	$16 632 88	$2 685 72
ISHARES TR DOW JONES US AEROSPACE	464288760	137	02 05 10	08 03 11	$8 070 04	$6 947 27	$1 122 77
JUNIPER NETWORKS INC	48203R104	85	12 31 08	08 12 11	$1 876 25	$1 501 95	$374 30
JPMORGAN TR I US LARGE CAP CORE	4812A2389	429 88	01 15 10	08 25 11	$8 000 00	$7 987 10	$12 90
COLUMBIA ACORN TR FD CL Z	197199409	328 9	05 18 10	08 25 11	$8 742 [illegible]	$8 620 45	$12[illegible] 68
COLUMBIA ACORN TR FD CL Z	197199409	160 19	01 06 10	08 25 11	$4 257 87	$4 032 01	$225 86

Long term transactions

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Description	Cusip	Number of shares	Date of acquisition	Sale date	Sales price or pass through gain	Cost other basis or pass through loss	Net gain or loss
EXPRESS SCRIPTS INC	302182100	[illegible]	02/05/10	09/16/11	$491.79	$508.10	$-16.31
JPMORGAN TR I US LARGE CAP CORE	4812A2389	405.79	01/15/10	10/19/11	$7,908.77	$7,539.50	$369.27
COLUMBIA ACORN TR FD CL Z	197199409	73.46	01/15/10	10/19/11	$2,034.02	$1,837.90	$196.12
COLUMBIA ACORN TR FD CL Z	197199409	396.03	01/06/10	10/19/11	$10,965.98	$9,967.99	$997.99
JPMORGAN TR I US LARGE CAP CORE	4812A2389	1133.47	01/21/10	10/19/11	$22,091.23	$20,719.74	$1,371.49
PERRIGO CO	714290103	6	06/08/10	10/27/11	$553.17	$343.38	$209.79
PRICELINE COM INC	741503403	[illegible]	07/29/10	11/17/11	$1,569.66	$676.37	$893.29
COLUMBIA ACORN TR FD CL Z	197199409	277.9	01/15/10	11/30/11	$8,000.00	$6,954.83	$1,045.17
COLUMBIA ACORN TR INTL CL Z	197199813	56.78	01/15/10	11/30/11	$1,985.94	$1,993.26	$-7.32
COLUMBIA ACORN TR INTL CL Z	197199813	395.82	01/06/10	11/30/11	$13,968.34	$14,000.00	$-31.66
COLUMBIA ACORN TR INTL CL Z	197199813	114.54	01/20/10	11/30/11	$4,045.72	$4,023.94	$21.78
JPMORGAN TR I US LARGE CAP CORE	4812A2389	[illegible]	01/21/10	11/30/11	$10,000.00	$9,099.05	$900.95
POTASH CORP SASK INC	73755L107	[illegible]	11/18/10	12/12/11	$2,278.80	$2,664.67	$-385.87
Total long term gain/loss from sales:					$484,918.49	$402,901.65	$82,016.84