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
KLEIN FAMILY FOUNDATION INC

A Employer identification number
26-3134339

Number and street (or P O box number if mail is not delivered to street address) | Room/suite
42 TUCKAHOE ROAD

B Telephone number (see page 10 of the instructions)
(203) 767-2046

City or town, state, and ZIP code
EASTON, CT 06612

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)*▶$ 5,579,751

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

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

| | | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc , received (attach schedule) | | | | |
| | 2 | Check ▶ ☑ if the foundation is **not** required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | | | | |
| | 4 | Dividends and interest from securities | 175,626 | 175,626 | | |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 87,533 | | | |
| | b | Gross sales price for all assets on line 6a 1,773,696 | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 87,533 | | |
| | 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 | 263,159 | 263,159 | | |
| 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) | 1,750 | 0 | | 1,750 |
| | c | Other professional fees (attach schedule) | | | | |
| | 17 | Interest | | | | |
| | 18 | Taxes (attach schedule) (see page 14 of the instructions) | 3,991 | 2,188 | | 0 |
| | 19 | Depreciation (attach schedule) and depletion | | | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | | | | |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses (attach schedule) | 25,352 | 25,320 | | 32 |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 31,093 | 27,508 | | 1,782 |
| | 25 | Contributions, gifts, grants paid | 271,000 | | | 271,000 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 302,093 | 27,508 | | 272,782 |
| | 27 | Subtract line 26 from line 12 | | | | |
| | a | **Excess of revenue over expenses and disbursements** | -38,934 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 235,651 | | |
| | 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 | 742,211 | 545,485 | 545,485 |
| | 3 | Accounts receivable ▶<br>Less allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶<br>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) ▶<br>Less allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | 1,766 | 1,006 | 1,006 |
| | 10a | Investments—U S and state government obligations (attach schedule) | 1,100,392 | 597,606 | 622,371 |
| | b | Investments—corporate stock (attach schedule) | 1,557,280 | 1,891,603 | 2,174,100 |
| | c | Investments—corporate bonds (attach schedule) | 1,016,648 | 1,136,470 | 1,129,352 |
| | 11 | Investments—land, buildings, and equipment basis ▶<br>Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments—mortgage loans | | | |
| | 13 | Investments—other (attach schedule) | 810,211 | 1,018,075 | 1,101,573 |
| | 14 | Land, buildings, and equipment basis ▶<br>Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 | Other assets (describe ▶ ) | 6,535 | 5,864 | 5,864 |
| | 16 | **Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I) | 5,235,043 | 5,196,109 | 5,579,751 |
| 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 | 5,235,043 | 5,196,109 | |
| | 30 | **Total net assets or fund balances** (see page 17 of the instructions) | 5,235,043 | 5,196,109 | |
| | 31 | **Total liabilities and net assets/fund balances** (see page 17 of the instructions) | 5,235,043 | 5,196,109 | |

**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 | 5,235,043 |
| 2 | Enter amount from Part I, line 27a | 2 | -38,934 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0 |
| 4 | Add lines 1, 2, and 3 | 4 | 5,196,109 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 0 |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 | 6 | 5,196,109 |

## 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 | SEE STATEMENT | P | | |
| b | CAPITAL GAINS DIVIDENDS | P | | |
| 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 | 1,766,104 | | 1,686,163 | 79,941 |
| b | 7,592 | | | 7,592 |
| 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 | | | | 79,941 |
| b | | | | 7,592 |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | | |
|---|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) | If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 | 2 | 87,533 |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions)<br>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 | 223,503 | 5,612,806 | 0 039820 |
| 2009 | 325,905 | 5,381,535 | 0 060560 |
| 2008 | 93,597 | 4,797,574 | 0 019509 |
| 2007 | | | |
| 2006 | | | |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d). | 2 | 0 119889 |
| 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 039963 |
| 4 | Enter the net value of noncharitable-use assets for 2011 from Part X, line 5. | 4 | 5,711,512 |
| 5 | Multiply line 4 by line 3. | 5 | 228,249 |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b). | 6 | 2,357 |
| 7 | Add lines 5 and 6. | 7 | 230,606 |
| 8 | Enter qualifying distributions from Part XII, line 4. | 8 | 272,782 |

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 | 2,357 |
| 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 | 2,357 |
| 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 | 2,357 |
| 6 | Credits/Payments | | | | |
| a | 2011 estimated tax payments and 2010 overpayment credited to 2011 | 6a | 3,720 | | |
| b | Exempt foreign organizations—tax withheld at source | 6b | | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | | | |
| d | Backup withholding erroneously withheld | 6d | | | |
| 7 | Total credits and payments Add lines 6a through 6d | | | 7 | 3,720 |
| 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 | 1,363 |
| 11 | Enter the amount of line 10 to be **Credited to 2012 estimated tax** ▶ 1,363 | **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) ▶ CT | | | |
| 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 ▶MRS CARLA KLEIN Telephone no ▶(203) 767-2046

Located at ▶42 TUCKAHOE ROAD EASTON CT ZIP+4 ▶06612

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)*

| | | | | | |
|---|---|---|---|---|---|
| **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 |
|---|---|---|---|---|
| CARLA S KLEIN<br>42 TUCKAHOE ROAD<br>EASTON,CT 06612 | PRESIDENT<br>0 00 | 0 | 0 | 0 |
| KRISTEN CHIODO<br>4 COOK CIRCLE<br>TRUMBULL,CT 06611 | SECRETARY<br>0 00 | 0 | 0 | 0 |
| ERIC KLEIN<br>1288 SAXON DRIVE<br>BIRMINGHAM,MI 48009 | TREASURER<br>0 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<br>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 | 5,049,628 |
| b | Average of monthly cash balances | 1b | 741,992 |
| c | Fair market value of all other assets (see page 24 of the instructions) | 1c | 6,869 |
| d | **Total** (add lines 1a, b, and c) | 1d | 5,798,489 |
| 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 | 5,798,489 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions) | 4 | 86,977 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 5,711,512 |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 285,576 |

**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 | 285,576 |
| 2a | Tax on investment income for 2011 from Part VI, line 5 — 2a: 2,357 | | |
| b | Income tax for 2011 (This does not include the tax from Part VI ) — 2b: | | |
| c | Add lines 2a and 2b | 2c | 2,357 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | 3 | 283,219 |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0 |
| 5 | Add lines 3 and 4 | 5 | 283,219 |
| 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 | 283,219 |

**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 | 272,782 |
| 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 | 272,782 |
| 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 | 2,357 |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 270,425 |

**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 | | | | 283,219 |
| **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. . . . . . . | | | | |
| **d** From 2009. . . . . . . 26,089 | | | | |
| **e** From 2010. . . . . . . | | | | |
| **f** **Total** of lines 3a through e. . . . . . . . . . | 26,089 | | | |
| **4** Qualifying distributions for 2011 from Part XII, line 4 ▶ $ 272,782 | | | | |
| **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. . . . . | | | | 272,782 |
| **e** Remaining amount distributed out of corpus | 0 | | | |
| **5** Excess distributions carryover applied to 2011 *(If an amount appears in column (d), the same amount must be shown in column (a).)* | 10,437 | | | 10,437 |
| **6** **Enter the net total of each column as indicated below:** | | | | |
| **a** Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 15,652 | | | |
| **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 . . . . . . | 15,652 | | | |
| **10** Analysis of line 9 | | | | |
| **a** Excess from 2007. . . . | | | | |
| **b** Excess from 2008. . . . | | | | |
| **c** Excess from 2009. . . . 15,652 | | | | |
| **d** Excess from 2010. . . . | | | | |
| **e** Excess from 2011. . . . | | | | |

**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<br>**a** "Assets" alternative test—enter<br>**(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<br>**(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) )

CARLA S KLEIN

**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<br>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*<br>See Additional Data Table | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 271,000 |
| **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 ) |
|---|---|---|---|---|---|
| 1 Program service revenue | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 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 | 175,626 | |
| 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 | 87,533 | |
| 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 | | 263,159 | 0 |

**13 Total.** Add line 12, columns (b), (d), and (e). . . . . . . . . . . . . . . . . . . . . **13** 263,159

(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 | 2012-05-14 Date | Title

**Paid Preparer's Use Only**

| | | |
|---|---|---|
| Preparer's Signature DAVID ZIEFF | Date | Check if self-employed ☐ | PTIN P01236646 |
| Firm's name ▶ FRIEDBERG SMITH & CO PC | | Firm's EIN ▶ 06-1331879 |
| Firm's address ▶ 855 MAIN STREET 6TH FLOOR BRIDGEPORT, CT 066044915 | | Phone no (203) 366-5876 |

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

## Additional Data

**Software ID:**
**Software Version:**
**EIN:** 26-3134339
**Name:** KLEIN FAMILY FOUNDATION INC

**Form 990PF - Special Condition Description:**

| Special Condition Description |
|---|

**Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>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* | | | | |
| BRIDGEPORT PUBLIC EDUCATION FUND INC (BPEC)446 UNIVERSITY AVENUE<br>BRIDGEPORT,CT 06604 | N/A | 501(C)(3) | UNRESTRICTED | 10,000 |
| CARDINAL SHEHAN CENTER1494 MAIN STREET<br>BRIDGEPORT,CT 06604 | N/A | 501(C)(3) | UNRESTRICTED | 5,000 |
| CONNECTICUT FOOD BANKPO BOX 8686<br>NEW HAVEN,CT 06531 | N/A | 501(C)(3) | UNRESTRICTED | 7,500 |
| GLEANER'S COMMUNITY FOOD BANK2131 BEAUFAIT<br>DETROIT,MI 48207 | N/A | 501(C)(3) | UNRESTRICTED | 5,500 |
| ST JUDE CHILDREN'S RESEARCH HOSPITAL501 ST JUDE PLACE<br>MEMPHIS,TN 38105 | N/A | 501(C)(3) | UNRESTRICTED | 7,500 |
| THE CENTER FOR WOMEN & FAMILIES753 FAIRFIELD AVENUE<br>BRIDGEPORT,CT 06604 | N/A | 501(C)(3) | UNRESTRICTED | 5,000 |
| THE HAITIAN HEALTH FOUNDATION97 SHERMAN STREET<br>NORWICH,CT 06360 | N/A | 501(C)(3) | AID TO THE POOR | 20,000 |
| THE UNIVERSITY OF CONNECTICUT FOUNDATION INC 2390 ALUMNI DRIVE<br>STORRS,CT 06269 | N/A | 501(C)(3) | ENDOWMENT AND PROFESSORSHIP FOR URBAN EDUCATION | 50,000 |
| UNITED WAY OF COASTAL FAIRFIELD COUNTY75 WASHINGTON AVENUE<br>BRIDGEPORT,CT 06604 | N/A | 501(C)(3) | UNRESTRICTED | 10,000 |
| UNIVERSITY OF MICHIGAN3003 SOUTH STATE STREET<br>ANN ARBOR,MI 48109 | N/A | 501(C)(3) | THORACIC SURGERY FUND | 80,000 |
| YALE-NEW HAVEN HOSPITAL2 HOWE STREET<br>NEW HAVEN,CT 06511 | N/A | 501(C)(3) | PALLIATIVE CARE PROGRAMHOSPITAL FUND IN SUPPORT OF WOMEN'S HEALTH AND RESEARCH | 25,000 |
| BRIDGEPORT CHILD ADVOCACY COALITION (BCAC)2470 FAIRFIELD AVENUE<br>BRIDGEPORT,CT 06605 | N/A | 501(C)(3) | UNRESTRICTED | 1,000 |
| BRIDGEPORT HOSPITAL FOUNDATION267 GRANT STREET<br>BRIDGEPORT,CT 06610 | N/A | 501(C)(3) | ESOPHAGEAL CANCER TREATMENT PROGRAM | 10,000 |
| FOOD GATHERSPO BOX 131037<br>ANN ARBOR,MI 48113 | N/A | 501(C)(3) | UNRESTRICTED | 2,500 |
| FREEDOM HOUSE2630 WEST LAFAYETTE<br>DETROIT,MI 48216 | N/A | 501(C)(3) | UNRESTRICTED | 8,000 |
| KIPP GASTON COLLEGE PREPARATORY320 PLEASANT HILL ROAD<br>GASTON,MI 27832 | N/A | 501(C)(3) | ANNUAL GIFT GIVING FUND | 1,000 |
| SAVE THE CHILDREN54 WILTON ROAD<br>WESTPORT,CT 06880 | N/A | 501(C)(3) | UNRESTRICTED | 10,000 |
| SOUTHWEST SOLUTIONS1700 WATERMAN STREET<br>DETROIT,MI 48226 | N/A | 501(C)(3) | PIQUETTE SQUARE LIBRARYMIND, BODY, AND SPIRIT PROGRAM | 8,500 |
| THE HEAT AND WARMTH FUND607 SHELBY STREET SUITE 400<br>DETROIT,MI 48226 | N/A | 501(C)(3) | UNRESTRICTED | 2,500 |
| UNITED WAY OF SOUTHEASTERN MICHIGAN660 WOODWARD AVENUE<br>DETROIT,MI 48226 | N/A | 501(C)(3) | UNRESTRICTED | 2,000 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 271,000 |

# TY 2011 Accounting Fees Schedule

**Name:** KLEIN FAMILY FOUNDATION INC

**EIN:** 26-3134339

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| ACCOUNTING | 1,750 | 0 | | 1,750 |

# TY 2011 Investments Corporate Bonds Schedule

**Name:** KLEIN FAMILY FOUNDATION INC

**EIN:** 26-3134339

| Name of Bond | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| CORPORATE FIXED INCOME | 1,136,470 | 1,129,352 |

# TY 2011 Investments Corporate Stock Schedule

**Name:** KLEIN FAMILY FOUNDATION INC

**EIN:** 26-3134339

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| COMMON & PREFERRED STOCK | 1,891,603 | 2,174,100 |

# TY 2011 Investments Government Obligations Schedule

| | |
|---|---|
| **Name:** | KLEIN FAMILY FOUNDATION INC |
| **EIN:** | 26-3134339 |
| **US Government Securities - End of Year Book Value:** | 327,607 |
| **US Government Securities - End of Year Fair Market Value:** | 343,515 |
| **State & Local Government Securities - End of Year Book Value:** | 269,999 |
| **State & Local Government Securities - End of Year Fair Market Value:** | 278,856 |

# TY 2011 Investments - Other Schedule

**Name:** KLEIN FAMILY FOUNDATION INC

**EIN:** 26-3134339

| Category/ Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|---|---|---|---|
| MUTUAL FUNDS | AT COST | 1,018,075 | 1,101,573 |

# TY 2011 Other Assets Schedule

**Name:** KLEIN FAMILY FOUNDATION INC

**EIN:** 26-3134339

| Description | Beginning of Year - Book Value | End of Year - Book Value | End of Year - Fair Market Value |
|---|---|---|---|
| ACCRUED INCOME RECEIVABLE | 6,535 | 5,864 | 5,864 |

# TY 2011 Other Expenses Schedule

**Name:** KLEIN FAMILY FOUNDATION INC

**EIN:** 26-3134339

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| INVESTMENT ADVISORY FEES | 25,320 | 25,320 | | 0 |
| MISCELLANEOUS | 32 | 0 | | 32 |

# TY 2011 Taxes Schedule

**Name:** KLEIN FAMILY FOUNDATION INC

**EIN:** 26-3134339

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| FEDERAL EXCISE TAX | 1,803 | 0 | | 0 |
| FOREIGN TAXES | 2,188 | 2,188 | | 0 |

Klein Family Foundation Inc.
Gain (Loss) on Sale of Securities
12/31/11

| | Sales Price | Cost | Gain (Loss) |
|---|---|---|---|
| Morgan Stanley #019928 | 1,059,613.75 | 1,057,779.46 | 1,834.29 |
| Morgan Stanley #020600 | 262,252.74 | 253,770.18 | 8,482.56 |
| Morgan Stanley #019935 | 444,237.29 | 374,602.05 | 69,635.24 |
| Basis adjustment | 0.00 | (13.21) | 13.21 |
| Miscellaneous | | 24.50 | (24.50) |
| Total | 444,237.29 | 374,613.34 | 69,623.95 |
| Summary: | | | |
| Morgan Stanley #019928 | 1,059,613.75 | 1,057,779.46 | 1,834.29 |
| Morgan Stanley #020600 | 262,252.74 | 253,770.18 | 8,482.56 |
| Morgan Stanley #019935 | 444,237.29 | 374,613.34 | 69,623.95 |
| Total Gain (Loss) | 1,766,103.78 | 1,686,162.98 | 79,940.80 |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019928-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| **Short Term** | | | | | | | |
| CT GO QSCB-B BE 5 295 10-01-29<br>Coupon 5.290 Maturity: 10/01/2029 | 20772JAA0 | 35,000.000 | 11/23/10 | $35,261 31 | 09/12/11 | $37,053.75 | $1,792.44 |
| DOW CHEMICAL CO 4 1/4 11-15-20<br>Coupon 4.250 Maturity: 11/15/2020 | 260543CC5 | 50,000 000 | 05/10/11 | 50,458.64 | 08/31/11 | 51,009.00 | 550.36 |
| FHLB 3 050 11-02-20<br>Coupon: 3.050 Maturity· 11/02/2020 | 313371FY7 | 31,250 000 | 01/03/11 | 30,221.25 | 10/03/11 | 31,250 00 | 1,028.75 |
| FHLMC MTN 2.000 4-15-15<br>Coupon 2 000 Maturity· 04/15/2015 | 3133F4QV6 | 200,000 000 | 03/23/10 | 200,000 00 | 01/26/11 | 199,600.00 | (400.00) |
| FMCC 7 1/2 8-01-12<br>Coupon 7 500 Maturity: 08/01/2012 | 345397VK6 | 35,000.000 | 01/28/11 | 37,893 50 | 04/26/11 | 36,962 75 | (930.75) |
| WELLS FARGO CAP 9 3/4 10-31-51<br>Coupon 9.750 Maturity· 11/11/2051 | 949801AA2 | 25,000 000 | 06/14/11 | 26,879.06 | 10/03/11 | 25,000 00 | (1,879.06) |
| **Short Term Totals:** | | | | **$380,713.76** | | **$380,875.50** | **$161.74** |
| **Long Term** | | | | | | | |
| BERKSHIRE HATH 4 3/4 5-15-12<br>Coupon 4 750 Maturity 05/15/2012 | 084670AS7 | 50,000.000 | 05/04/10 | 50,986 90 | 10/25/11 | 50,697 00 | (289 90) |
| CITIGROUP INC 5 1/2 10-15-14<br>Coupon· 5 500 Maturity: 10/15/2014 | 172967EZ0 | 25,000.000 | 09/03/10 | 26,494 99 | 10/04/11 | 25,562.25 | (932 74) |
| FFCB 4 280 6-05-19<br>Coupon· 4 280 Maturity: 06/05/2019 | 31331GXT1 | 100,000.000 | 06/21/10 | 106,257.74 | 07/29/11 | 107,359.00 | 1,101 26 |
| FHLMC MTN 2 1/2 7-15-22<br>Coupon 2 500 Maturity: 07/15/2022 | 3133F4WB3 | 125,000 000 | 07/07/10 | 125,000.00 | 07/26/11 | 123,125.00 | (1,875.00) |
| FHLMC 3 3/4 3-27-19<br>Coupon· 3 750 Maturity: 03/27/2019 | 3137EACA5 | 50,000.000 | 07/06/10 | 53,242.70 | 07/26/11 | 53,202.50 | (40 20) |
| GECC 4 1/4 6-15-12<br>Coupon. 4 250 Maturity: 06/15/2012 | 36962GR30 | 50,000.000 | 05/04/10 | 51,537.39 | 05/09/11 | 51,759 50 | 222 11 |
| GOLDMAN SACHS 5 000 10-01-14<br>Coupon. 5 000 Maturity 10/01/2014 | 38143UAW1 | 50,000.000 | 09/03/10 | 53,195 44 | 09/12/11 | 51,870.50 | (1,324 94) |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019928-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| MARYLAND ST BE 4 350 8-01-25<br>Coupon: 4 350 Maturity: 08/01/2025 | 5741926N5 | 50,000 000 | 09/14/10 | $52,614 49 | 12/12/11 | $54,744 00 | $2,129 51 |
| PFIZER INC 4.450 3-15-12<br>Coupon· 4 450 Maturity: 03/15/2012 | 717081CZ4 | 100,000.000 | 05/20/10 | 102,704.03 | 06/13/11 | 102,758 00 | 53.97 |
| VODAFONE GROUP 5 3/4 3-15-16<br>Coupon. 5 750 Maturity· 03/15/2016 | 92857WAK6 | 50,000 000 | 07/19/10 | 55,032.02 | 11/08/11 | 57,660 50 | 2,628 48 |
| **Long Term Totals:** | | | | **$677,065.70** | | **$678,738.25** | **$1,672.55** |
| **2011 Short & Long Term Totals:** | | | | **$1,057,779.46** | | **$1,059,613.75** | **$1,834.29** |

** Gain/Loss is only calculated when an original cost basis is available.

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-020600-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| **Long Term** | | | | | | | |
| BANK OF AMERICA 7 400 1-15-11<br>Coupon 7 400 Maturity: 01/15/2011 | 060505AG9 | 5,000 000 | 03/16/09 | $4,430.00 | 01/18/11 | $5,000.00 | $570 00 |
| FNMA 1 3/4 3-23-11<br>Coupon 1 750 Maturity 03/23/2011 | 31398AVQ2 | 7,000 000 | 03/12/09 | 6,999.50 | 03/23/11 | 7,000 00 | 0.50 |
| | 31398AVQ2 | 2,000 000 | 10/02/09 | 2,000.00 | 03/23/11 | 2,000 00 | _ |
| | Totals | | | $8,999 50 | | $9,000 00 | $0 50 |
| FNMA POOL 745275 5 000 2-01-36<br>Coupon 5 000 Maturity: 02/01/2036 | 31403C6L0 | 157.886 | 03/11/09 | 161 93 | 06/25/11 | 157 89 | (4.04) |
| | 31403C6L0 | 159.347 | 03/11/09 | 163 43 | 05/25/11 | 159.34 | (4.09) |
| | 31403C6L0 | 173.250 | 03/11/09 | 177 69 | 07/25/11 | 173.25 | (4.44) |
| | 31403C6L0 | 177.155 | 03/11/09 | 181 69 | 08/25/11 | 177.16 | (4 53) |
| | 31403C6L0 | 186.150 | 03/11/09 | 190.92 | 04/25/11 | 186 15 | (4.77) |
| | 31403C6L0 | 194 211 | 03/11/09 | 199.18 | 09/25/11 | 194 21 | (4.97) |
| | 31403C6L0 | 210 283 | 03/11/09 | 215.67 | 10/25/11 | 210 28 | (5.39) |
| | 31403C6L0 | 224 485 | 03/11/09 | 230 23 | 03/25/11 | 224 48 | (5 75) |
| | 31403C6L0 | 229 233 | 03/11/09 | 235.10 | 11/25/11 | 229 23 | (5.87) |
| | 31403C6L0 | 254 558 | 03/11/09 | 261.07 | 12/25/11 | 254 56 | (6.51) |
| | 31403C6L0 | 281 166 | 03/11/09 | 288 36 | 02/25/11 | 281.16 | (7 20) |
| | 31403C6L0 | 375 650 | 03/11/09 | 385 27 | 01/25/11 | 375 65 | (9 62) |
| | 31403C6L0 | 57.413 | 09/09/09 | 59.19 | 06/25/11 | 57 41 | (1 78) |
| | 31403C6L0 | 57 944 | 09/09/09 | 59.73 | 05/25/11 | 57 94 | (1 79) |
| | 31403C6L0 | 63 000 | 09/09/09 | 64.95 | 07/25/11 | 63.00 | (1 95) |
| | 31403C6L0 | 64 420 | 09/09/09 | 66.41 | 08/25/11 | 64 42 | (1 99) |
| | 31403C6L0 | 67 691 | 09/09/09 | 69.78 | 04/25/11 | 67 69 | (2 09) |
| | 31403C6L0 | 70 622 | 09/09/09 | 72 80 | 09/25/11 | 70.62 | (2 18) |
| | 31403C6L0 | 76 466 | 09/09/09 | 78.83 | 10/25/11 | 76 47 | (2 36) |
| | 31403C6L0 | 81 631 | 09/09/09 | 84.15 | 03/25/11 | 81 63 | (2.52) |
| | 31403C6L0 | 83.357 | 09/09/09 | 85 93 | 11/25/11 | 83.36 | (2 57) |
| | 31403C6L0 | 92 566 | 09/09/09 | 95 43 | 12/25/11 | 92 57 | (2.86) |
| | 31403C6L0 | 102 242 | 09/09/09 | 105.40 | 02/25/11 | 102.24 | (3.16) |

**2011 Realized Gain/Loss - Detail**
As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-020600-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | 31403C6L0 | 136.600 | 09/09/09 | $140.82 | 01/25/11 | $136.60 | $(4.22) |
| | 31403C6L0 | 43.060 | 09/29/09 | 44.66 | 06/25/11 | 43.06 | (1.60) |
| | 31403C6L0 | 43.458 | 09/29/09 | 45.07 | 05/25/11 | 43 45 | (1 62) |
| | 31403C6L0 | 47 250 | 09/29/09 | 49.00 | 07/25/11 | 47.25 | (1 75) |
| | 31403C6L0 | 48 315 | 09/29/09 | 50.11 | 08/25/11 | 48.32 | (1.79) |
| | 31403C6L0 | 50 768 | 09/29/09 | 52.65 | 04/25/11 | 50.76 | (1.89) |
| | 31403C6L0 | 52 966 | 09/29/09 | 54 93 | 09/25/11 | 52.97 | (1.96) |
| | 31403C6L0 | 57 350 | 09/29/09 | 59.48 | 10/25/11 | 57.35 | (2 13) |
| | 31403C6L0 | 61 223 | 09/29/09 | 63 49 | 03/25/11 | 61 22 | (2.27) |
| | 31403C6L0 | 62 518 | 09/29/09 | 64.84 | 11/25/11 | 62.52 | (2 32) |
| | 31403C6L0 | 69.425 | 09/29/09 | 72 00 | 12/25/11 | 69 43 | (2.57) |
| | 31403C6L0 | 76 681 | 09/29/09 | 79.53 | 02/25/11 | 76 68 | (2 85) |
| | 31403C6L0 | 102.450 | 09/29/09 | 106.25 | 01/25/11 | 102.45 | (3 80) |
| | Totals | | | $4,415.97 | | $4,292.77 | $(123.20) |
| FNMA POOL 889579 6.000 5-01-38<br>Coupon 6 000 Maturity· 05/01/2038 | 31410KJY1 | 661 284 | 03/11/09 | 686 28 | 12/25/11 | 661 28 | (25 00) |
| | 31410KJY1 | 685.528 | 03/11/09 | 711 44 | 10/25/11 | 685.53 | (25 91) |
| | 31410KJY1 | 693.334 | 03/11/09 | 719.54 | 11/25/11 | 693.33 | (26 21) |
| | 31410KJY1 | 747 824 | 03/11/09 | 776 09 | 08/25/11 | 747 82 | (28.27) |
| | 31410KJY1 | 751 405 | 03/11/09 | 779.81 | 09/25/11 | 751.41 | (28.40) |
| | 31410KJY1 | 816.956 | 03/11/09 | 847.84 | 07/25/11 | 816.96 | (30.88) |
| | 31410KJY1 | 831 459 | 03/11/09 | 862.89 | 06/25/11 | 831.46 | (31 43) |
| | 31410KJY1 | 903 698 | 03/11/09 | 937 86 | 05/25/11 | 903.69 | (34 17) |
| | 31410KJY1 | 968 334 | 03/11/09 | 1,004 94 | 03/25/11 | 968.33 | (36 61) |
| | 31410KJY1 | 1,022.225 | 03/11/09 | 1,060 87 | 02/25/11 | 1,022.22 | (38 65) |
| | 31410KJY1 | 1,049 004 | 03/11/09 | 1,088 66 | 04/25/11 | 1,049 00 | (39 66) |
| | 31410KJY1 | 1,199 792 | 03/11/09 | 1,245.14 | 01/25/11 | 1,199.79 | (45 35) |
| | 31410KJY1 | 90 175 | 09/09/09 | 95.41 | 12/25/11 | 90.18 | (5 23) |
| | 31410KJY1 | 93.481 | 09/09/09 | 98.91 | 10/25/11 | 93.48 | (5.43) |
| | 31410KJY1 | 94.545 | 09/09/09 | 100 04 | 11/25/11 | 94 55 | (5 49) |
| | 31410KJY1 | 101 976 | 09/09/09 | 107 90 | 08/25/11 | 101 98 | (5 92) |
| | 31410KJY1 | 102 464 | 09/09/09 | 108 42 | 09/25/11 | 102.46 | (5.96) |
| | 31410KJY1 | 111 403 | 09/09/09 | 117.88 | 07/25/11 | 111.40 | (6.48) |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-020600-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | 31410KJY1 | 113.380 | 09/09/09 | $119.97 | 06/25/11 | $113.38 | $(6.59) |
| | 31410KJY1 | 123.231 | 09/09/09 | 130.39 | 05/25/11 | 123.23 | (7.16) |
| | 31410KJY1 | 132.045 | 09/09/09 | 139.72 | 03/25/11 | 132 04 | (7.68) |
| | 31410KJY1 | 139.394 | 09/09/09 | 147 49 | 02/25/11 | 139 39 | (8 10) |
| | 31410KJY1 | 143 046 | 09/09/09 | 151.36 | 04/25/11 | 143.04 | (8.32) |
| | 31410KJY1 | 163 608 | 09/09/09 | 173.11 | 01/25/11 | 163.60 | (9.51) |
| | Totals | | | $12,211.96 | | $11,739.55 | $(472.41) |
| FNMA POOL 889982 5 1/2 11-01-38 Coupon 5.500 Maturity: 11/01/2038 | 31410KXK5 | 222 673 | 03/12/09 | 229.98 | 08/25/11 | 222 67 | (7 31) |
| | 31410KXK5 | 240.930 | 03/12/09 | 248 83 | 06/25/11 | 240.93 | (7 90) |
| | 31410KXK5 | 248 395 | 03/12/09 | 256 54 | 07/25/11 | 248.40 | (8.14) |
| | 31410KXK5 | 249 569 | 03/12/09 | 257 75 | 09/25/11 | 249.57 | (8.18) |
| | 31410KXK5 | 256 083 | 03/12/09 | 264 48 | 11/25/11 | 256.08 | (8.40) |
| | 31410KXK5 | 258 187 | 03/12/09 | 266.66 | 05/25/11 | 258.18 | (8.48) |
| | 31410KXK5 | 260 381 | 03/12/09 | 268.92 | 10/25/11 | 260.38 | (8.54) |
| | 31410KXK5 | 263 152 | 03/12/09 | 271.78 | 12/25/11 | 263 15 | (8 63) |
| | 31410KXK5 | 291.659 | 03/12/09 | 301 23 | 04/25/11 | 291.65 | (9.58) |
| | 31410KXK5 | 301.888 | 03/12/09 | 311 79 | 03/25/11 | 301.88 | (9.91) |
| | 31410KXK5 | 395.152 | 03/12/09 | 408.11 | 02/25/11 | 395.15 | (12 96) |
| | 31410KXK5 | 501.326 | 03/12/09 | 517.77 | 01/25/11 | 501.32 | (16.45) |
| | 31410KXK5 | 53 441 | 09/09/09 | 55.74 | 08/25/11 | 53 44 | (2.30) |
| | 31410KXK5 | 57 823 | 09/09/09 | 60.32 | 06/25/11 | 57 82 | (2 50) |
| | 31410KXK5 | 59 615 | 09/09/09 | 62.18 | 07/25/11 | 59.62 | (2 56) |
| | 31410KXK5 | 59 896 | 09/09/09 | 62.48 | 09/25/11 | 59.90 | (2.58) |
| | 31410KXK5 | 61 460 | 09/09/09 | 64.11 | 11/25/11 | 61 46 | (2.65) |
| | 31410KXK5 | 61.965 | 09/09/09 | 64 64 | 05/25/11 | 61 96 | (2.68) |
| | 31410KXK5 | 62 491 | 09/09/09 | 65 18 | 10/25/11 | 62 49 | (2 69) |
| | 31410KXK5 | 63 156 | 09/09/09 | 65 88 | 12/25/11 | 63.16 | (2.72) |
| | 31410KXK5 | 69 998 | 09/09/09 | 73 01 | 04/25/11 | 69.99 | (3 02) |
| | 31410KXK5 | 72 453 | 09/09/09 | 75 58 | 03/25/11 | 72.45 | (3 13) |
| | 31410KXK5 | 94 836 | 09/09/09 | 98 92 | 02/25/11 | 94.83 | (4.09) |
| | 31410KXK5 | 120 318 | 09/09/09 | 125.50 | 01/25/11 | 120 31 | (5 19) |
| | 31410KXK5 | 44.534 | 09/29/09 | 46.69 | 08/25/11 | 44.53 | (2 16) |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-020600-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | 31410KXK5 | 48.186 | 09/29/09 | $50 52 | 06/25/11 | $48.19 | $(2.33) |
| | 31410KXK5 | 49 679 | 09/29/09 | 52.09 | 07/25/11 | 49.68 | (2.41) |
| | 31410KXK5 | 49.913 | 09/29/09 | 52.33 | 09/25/11 | 49.91 | (2.42) |
| | 31410KXK5 | 51 216 | 09/29/09 | 53.70 | 11/25/11 | 51.22 | (2.48) |
| | 31410KXK5 | 51.637 | 09/29/09 | 54.14 | 05/25/11 | 51 63 | (2 51) |
| | 31410KXK5 | 52.076 | 09/29/09 | 54.60 | 10/25/11 | 52 08 | (2.52) |
| | 31410KXK5 | 52 630 | 09/29/09 | 55.18 | 12/25/11 | 52.63 | (2.55) |
| | 31410KXK5 | 58 331 | 09/29/09 | 61.16 | 04/25/11 | 58.33 | (2.83) |
| | 31410KXK5 | 60.377 | 09/29/09 | 63.31 | 03/25/11 | 60 37 | (2.94) |
| | 31410KXK5 | 79 030 | 09/29/09 | 82.86 | 02/25/11 | 79.03 | (3.83) |
| | 31410KXK5 | 100 265 | 09/29/09 | 105.13 | 01/25/11 | 100 26 | (4 87) |
| | Totals | | | $5,209.09 | | $5,024.65 | $(184.44) |
| FNMA POOL 930071 6.000 10-01-38<br>Coupon 6 000 Maturity. 10/01/2038 | 31412NJQ0 | 91 980 | 09/29/09 | 97.20 | 08/25/11 | 91.98 | (5.22) |
| | 31412NJQ0 | 121 350 | 09/29/09 | 128.24 | 02/25/11 | 121.35 | (6.89) |
| | 31412NJQ0 | 162 000 | 09/29/09 | 171.20 | 12/25/11 | 162.00 | (9.20) |
| | 31412NJQ0 | 162.190 | 09/29/09 | 171 40 | 11/25/11 | 162.19 | (9 21) |
| | 31412NJQ0 | 169.840 | 09/29/09 | 179 49 | 04/25/11 | 169.84 | (9.65) |
| | 31412NJQ0 | 183 650 | 09/29/09 | 194.08 | 03/25/11 | 183.65 | (10.43) |
| | 31412NJQ0 | 208.650 | 09/29/09 | 220.50 | 10/25/11 | 208.65 | (11 85) |
| | 31412NJQ0 | 236.530 | 09/29/09 | 249 96 | 09/25/11 | 236.53 | (13.43) |
| | 31412NJQ0 | 260.100 | 09/29/09 | 274.87 | 07/25/11 | 260.10 | (14.77) |
| | 31412NJQ0 | 273.660 | 09/29/09 | 289.20 | 06/25/11 | 273.66 | (15 54) |
| | 31412NJQ0 | 295 930 | 09/29/09 | 312.74 | 05/25/11 | 295.93 | (16 81) |
| | 31412NJQ0 | 382 460 | 09/29/09 | 404 18 | 01/25/11 | 382.46 | (21 72) |
| | Totals | | | $2,693.06 | | $2,548 34 | $(144 72) |
| HOUSEHOLD FINANCE 6 3/8 10-15-11<br>Coupon 6 370 Maturity: 10/15/2011 | 441812JW5 | 5,000 000 | 03/16/09 | 4,208 50 | 10/17/11 | 5,000 00 | 791 50 |
| ORACLE CORP 5 000 1-15-11<br>Coupon 5 000 Maturity· 01/15/2011 | 68402LAE4 | 5,000 000 | 03/13/09 | 5,000 00 | 01/18/11 | 5,000 00 | _ |
| | 68402LAE4 | 2,000 000 | 09/30/09 | 2,000.00 | 01/18/11 | 2,000.00 | _ |
| | Totals | | | $7,000.00 | | $7,000.00 | $0.00 |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-020600-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| US TSY NOTE TIIN 3 1/2 1-15-11 Coupon 3 500 Maturity: 01/15/2011 | 9128276R8 | 11,000.000 | 03/11/09 | $14,242.22 | 01/13/11 | $13,825.57 | $(416 65) |
| | 9128276R8 | 3,000 000 | 09/29/09 | 3,925 33 | 01/13/11 | 3,770 61 | (154.72) |
| | Totals | | | $18,167 55 | | $17,596 18 | $(571 37) |
| US TSY NOTE TIIN 2 3/8 4-15-11 Coupon. 2 370 Maturity 04/15/2011 | 912828FB1 | 23,000 000 | 03/24/09 | 26,072.49 | 04/13/11 | 25,577 38 | (495.11) |
| | 912828FB1 | 17,000 000 | 03/25/09 | 19,355.85 | 04/13/11 | 18,905 02 | (450 83) |
| | 912828FB1 | 1,000 000 | 09/17/09 | 1,144.13 | 04/13/11 | 1,112.06 | (32 07) |
| | 912828FB1 | 13,000 000 | 09/29/09 | 14,856 34 | 04/13/11 | 14,456.78 | (399.56) |
| | Totals | | | $61,428.81 | | $60,051 24 | $(1,377.57) |
| PIONEER GLOBAL HIGH YIELD Y | GHYYX | 2,582 645 | 03/10/09 | 15,718.55 | 09/12/11 | 25,000.00 | 9,281.45 |
| GOLDMAN SACHS GOVT INC A | GSGOX | 2,336.449 | 03/10/09 | 34,836.45 | 01/03/11 | 35,000 00 | 163.55 |
| | GSGOX | 4,993 343 | 03/10/09 | 74,450 74 | 03/14/11 | 75,000.01 | 549.27 |
| | Totals | | | $109,287 19 | | $110,000.01 | $712.82 |
| **Long Term Totals:** | | | | **$253,770.18** | | **$262,252.74** | **$8,482.56** |
| **2011 Short & Long Term Totals:** | | | | **$253,770.18** | | **$262,252.74** | **$8,482.56** |

** Gain/Loss is only calculated when an original cost basis is available

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| **Short Term** | | | | | | | |
| COMPLETE PROD SERV INC | 20453E109 | 11.000 | 08/25/11 | $296 17 | 12/15/11 | $347 31 | $51.14 |
| IVANHOE MINES RTS 012611 TRF | 46579N137 | 84.000 | 01/04/11 | - | 01/12/11 | 133 90 | - |
| KINETIC CONCEPTS INC | 49460W208 | 6.000 | 04/19/11 | 324.77 | 07/15/11 | 409.37 | 84.60 |
| | 49460W208 | 28 000 | 04/19/11 | 1,515 57 | 10/03/11 | 1,825.43 | 309.86 |
| | Totals | | | $1,840.34 | | $2,234 80 | $394.46 |
| LONGTOP FINL TECHNOLOGIES ADR | 54318P108 | 31 000 | 04/13/11 | 911 71 | 04/27/11 | 653 12 | (258.59) |
| SWISS REINSURANCE CO SPON ADR | 870887205 | 3.000 | 02/04/11 | 173.55 | 03/17/11 | 161.55 | (12.00) |
| TNT N V ADS | 87260W101 | 10.000 | 12/29/10 | 252.00 | 03/31/11 | 256 75 | 4.75 |
| | 87260W101 | 1.000 | 03/18/11 | 24.99 | 03/31/11 | 25.68 | 0 69 |
| | Totals | | | $276.99 | | $282.43 | $5.44 |
| ABB LTD | ABB | 1.000 | 02/25/11 | 24.16 | 08/24/11 | 20.33 | (3.83) |
| | ABB | 2.000 | 02/25/11 | 48.31 | 08/23/11 | 40 46 | (7.85) |
| | Totals | | | $72.47 | | $60.79 | $(11.68) |
| AMERISOURCEBERGEN CORP | ABC | 52.000 | 02/15/11 | 1,907.41 | 12/15/11 | 1,862.41 | (45 00) |
| ABBOTT LABORATORIES | ABT | 20.000 | 06/17/10 | 968.89 | 06/16/11 | 1,025.51 | 56.62 |
| | ABT | 20.000 | 12/29/10 | 949.00 | 06/16/11 | 1,025.50 | 76.50 |
| | Totals | | | $1,917.89 | | $2,051.01 | $133.12 |
| ACE LTD | ACE | 2 000 | 02/25/11 | 126 20 | 12/13/11 | 136 38 | 10.18 |
| AKAMAI TECHNOLOGIES INC | AKAM | 9.000 | 05/06/10 | 335.94 | 02/11/11 | 370 65 | 34 71 |
| | AKAM | 5.000 | 11/03/10 | 259 15 | 02/11/11 | 205 91 | (53 24) |
| | Totals | | | $595 09 | | $576 56 | $(18 53) |
| ALLSTATE CORP | ALL | 9 000 | 07/29/11 | 251 37 | 08/05/11 | 239 86 | (11 51) |
| AMERIPRISE FINCL INC | AMP | 4 000 | 02/10/11 | 246 25 | 08/24/11 | 170 77 | (75.48) |
| | AMP | 6 000 | 02/10/11 | 369 39 | 08/24/11 | 256 17 | (113 22) |
| | AMP | 15 000 | 02/10/11 | 923.44 | 08/24/11 | 640 40 | (283 04) |
| | AMP | 6.000 | 07/29/11 | 325 87 | 08/24/11 | 256 16 | (69 71) |
| | AMP | 6 000 | 08/08/11 | 268.26 | 08/24/11 | 256.16 | (12 10) |
| | AMP | 6 000 | 08/08/11 | 268 27 | 08/24/11 | 256.16 | (12.11) |
| | AMP | 15 000 | 08/08/11 | 670.68 | 08/24/11 | 640.40 | (30.28) |
| | Totals | | | $3,072 16 | | $2,476.22 | $(595 94) |

Third-party and Morgan Stanley Smith Barney research on certain companies is available to clients of the firm at no cost. Clients can access this research at www.morganstanleysmithbarney.com or contact their Financial Advisor to request a copy of this research be sent to them

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| AMERICAN SUPERCONDUCTOR | AMSC | 16 000 | 09/02/10 | $454.81 | 06/02/11 | $132 02 | $(322.79) |
| | AMSC | 4 000 | 11/03/10 | 140 46 | 06/02/11 | 33.01 | (107.45) |
| | Totals | | | $595 27 | | $165 03 | $(430 24) |
| TD AMERITRADE HOLDING CORP | AMTD | 53.000 | 09/02/10 | 797.09 | 08/30/11 | 803.41 | 6.32 |
| ALPHA NATURAL RESOURCES INC | ANR | 39.000 | 04/26/11 | 2,177.20 | 08/08/11 | 1,187 43 | (989.77) |
| ARM HOLDINGS PLC ADS | ARMH | 48.000 | 05/26/10 | 494.29 | 03/24/11 | 1,240.71 | 746.42 |
| AEROPOSTALE INC | ARO | 64.000 | 08/16/10 | 1,521 23 | 02/15/11 | 1,668.75 | 147 52 |
| AVERY DENNISON CORPORATION | AVY | 23 000 | 01/18/11 | 972.79 | 09/23/11 | 594.21 | (378 58) |
| BANK OF AMERICA CORP | BAC | 66 000 | 12/29/10 | 880 29 | 08/24/11 | 428 52 | (451.77) |
| BAYERISCHE MOTOREN WERKE AG | BAMXY | 7 000 | 12/29/10 | 180 60 | 12/28/11 | 154.07 | (26 53) |
| | BAMXY | 2.000 | 11/16/11 | 50 14 | 12/28/11 | 44 02 | (6 12) |
| | Totals | | | $230.74 | | $198 09 | $(32 65) |
| BASF SE SP ADR | BASFY | 16.000 | 03/23/11 | 1,284 24 | 09/09/11 | 979 16 | (305.08) |
| | BASFY | 12.000 | 04/04/11 | 1,058.61 | 09/09/11 | 734.37 | (324.24) |
| | Totals | | | $2,342.85 | | $1,713.53 | $(629 32) |
| BAYER AG SPON ADR | BAYRY | 2 000 | 12/29/10 | 147 22 | 11/03/11 | 127.40 | (19 82) |
| BANCO BRADESCO S A NEW | BBD | - | 02/18/11 | - | 02/18/11 | 12 57 | 12 57 |
| BMC SOFTWARE | BMC | 18.000 | 12/13/10 | 851.55 | 11/14/11 | 676.08 | (175 47) |
| | BMC | 26.000 | 12/22/10 | 1,254.46 | 11/14/11 | 976.57 | (277.89) |
| | BMC | 5.000 | 04/01/11 | 253 30 | 11/14/11 | 187.80 | (65 50) |
| | Totals | | | $2,359.31 | | $1,840 45 | $(518.86) |
| BROADCOM CORP CL A | BRCM | 146.000 | 10/04/10 | 5,069 84 | 04/29/11 | 5,073.36 | 3 52 |
| BOSTON SCIENTIFIC CORP | BSX | 67 000 | 03/07/11 | 500 75 | 08/10/11 | 395.96 | (104 79) |
| CITIGROUP INC NEW | C | 0.600 | 12/23/10 | 28 20 | 05/06/11 | 26.98 | (1 22) |
| | C | 36.000 | 12/23/10 | 1,701.36 | 08/08/11 | 1,108.78 | (592 58) |
| | C | 25.000 | 02/10/11 | 1,214 40 | 08/08/11 | 769 99 | (444 41) |
| | C | 20 000 | 02/22/11 | 963.50 | 08/08/11 | 615.99 | (347 51) |
| | C | 17 000 | 02/23/11 | 755 17 | 08/08/11 | 523.59 | (231.58) |
| | C | 0.300 | 05/06/11 | 13.59 | 05/09/11 | 13.49 | -0.10 |
| | C | 35.000 | 05/06/11 | 1,585 36 | 08/08/11 | 1,077.98 | (507.38) |
| | Totals | | | $6,261 58 | | $4,136.80 | $(2,124.78) |
| CERNER CORP | CERN | 16.000 | 03/11/11 | 823 59 | 08/01/11 | 1,058.09 | 234 50 |
| CAP GEMINI SA ADR | CGEMY | 20.000 | 02/09/11 | 545 21 | 12/29/11 | 310.99 | (234 22) |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| CHOICE HOTELS INTL INC NEW | CHH | 2.000 | 04/01/11 | $78.24 | 09/20/11 | $61.16 | $(17.08) |
| COMERICA INC | CMA | 19.000 | 06/21/10 | 745.91 | 06/16/11 | 642.48 | (103.43) |
| | CMA | 22 000 | 09/02/10 | 795.30 | 06/16/11 | 743.93 | (51.37) |
| | CMA | 1.000 | 11/03/10 | 36.23 | 06/16/11 | 33 81 | (2.42) |
| | CMA | 13 000 | 03/23/11 | 475.41 | 06/16/11 | 439.60 | (35.81) |
| | Totals | | | $2,052.85 | | $1,859 82 | $(193 03) |
| COMCAST CORP (NEW) CLASS A | CMCSA | 65 000 | 04/26/11 | 1,660.90 | 10/21/11 | 1,576 60 | (84 30) |
| CME GROUP INC | CME | 4 000 | 07/29/11 | 1,166.71 | 11/11/11 | 1,049 45 | (117.26) |
| COMPASS MINERALS INTER INC | CMP | 8.000 | 11/03/10 | 632.08 | 03/31/11 | 744.27 | 112.19 |
| CAPITAL ONE FINANCIAL CORP | COF | 3 000 | 03/10/11 | 144 92 | 08/26/11 | 131 33 | (13 59) |
| CREDIT AGRICOLE SA UNSP ADR | CRARY | 28 000 | 08/19/10 | 183.12 | 02/25/11 | 242 47 | 59 35 |
| CREE RESEARCH INC | CREE | 2 000 | 11/03/10 | 102 68 | 05/23/11 | 83 07 | (19.61) |
| | CREE | 12.000 | 01/05/11 | 805 87 | 05/23/11 | 498 43 | (307.44) |
| | CREE | 3 000 | 04/01/11 | 137.35 | 05/23/11 | 124.61 | (12 74) |
| | Totals | | | $1,045.90 | | $706 11 | $(339 79) |
| CISCO SYS INC | CSCO | 36.000 | 06/20/11 | 544 87 | 08/24/11 | 550.52 | 5.65 |
| CITRIX SYSTEMS INC | CTXS | 84.000 | 09/10/10 | 5,339 23 | 06/20/11 | 6,220.53 | 881.30 |
| | CTXS | 14.000 | 12/29/10 | 960 68 | 06/20/11 | 1,036.75 | 76.07 |
| | Totals | | | $6,299.91 | | $7,257 28 | $957 37 |
| DR PEPPER SNAPPLE GROUP INC | DPS | 180.000 | 03/05/10 | 5,805 65 | 01/07/11 | 6,379 56 | 573 91 |
| ENCANA CORP | ECA | 4 000 | 07/29/11 | 117.78 | 08/08/11 | 96 95 | (20.83) |
| EAST JAPAN RY CO ADR | EJPRY | 65 000 | 03/15/11 | 590.50 | 07/29/11 | 668.12 | 77.62 |
| | EJPRY | 87 000 | 03/15/11 | 790.37 | 09/06/11 | 873.56 | 83.19 |
| | Totals | | | $1,380.87 | | $1,541.68 | $160.81 |
| EATON CORPORATION | ETN | 19.000 | 03/31/11 | 1,052.72 | 10/11/11 | 768.90 | (283.82) |
| EATON VANCE CP | EV | 21.000 | 09/02/10 | 575.59 | 03/08/11 | 672 23 | 96.64 |
| FIRST AMERICAN FINL CORP | FAF | 15.000 | 02/23/11 | 239.58 | 11/18/11 | 172.04 | (67 54) |
| | FAF | 53 000 | 02/23/11 | 846.49 | 11/18/11 | 607.86 | (238.63) |
| | Totals | | | $1,086.07 | | $779.90 | $(306.17) |
| FANUC CORPORATION UNSP ADR | FANUY | 41.000 | 07/29/10 | 827.13 | 07/22/11 | 1,267 51 | 440.38 |
| FLOWSERVE CORP | FLS | 4.000 | 09/02/10 | 387 25 | 01/27/11 | 489.60 | 102.35 |
| FIRSTMERIT CORPORATION | FMER | 43.000 | 03/26/10 | 912.94 | 02/15/11 | 738.72 | (174.22) |
| FOSSIL INC | FOSL | 3 000 | 02/11/11 | 250 11 | 05/13/11 | 317 25 | 67.14 |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

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ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | FOSL | 3 000 | 02/11/11 | $250.11 | 07/21/11 | $399.84 | $149.73 |
| | FOSL | 4.000 | 02/11/11 | 333 48 | 07/15/11 | 509.20 | 175.72 |
| | Totals | | | $833.70 | | $1,226.29 | $392.59 |
| FUJIFILM HLDGS CORP ADR | FUJIY | 3.000 | 07/29/11 | 90.00 | 11/02/11 | 68.73 | (21.27) |
| GENTEX CORP | GNTX | 11.000 | 11/01/10 | 222.92 | 06/06/11 | 299.19 | 76.27 |
| | GNTX | 11.000 | 11/01/10 | 222.92 | 08/01/11 | 308.67 | 85 75 |
| | GNTX | 31.000 | 11/01/10 | 628.23 | 09/16/11 | 794.85 | 166.62 |
| | Totals | | | $1,074.07 | | $1,402 71 | $328.64 |
| GOODRICH CORPORATION | GR | 75.000 | 07/29/11 | 7,164.79 | 11/30/11 | 9,199.72 | 2,034.93 |
| HAEMONETICS CORP | HAE | 1 000 | 11/03/10 | 57 82 | 06/23/11 | 62 25 | 4 43 |
| | HAE | 1 000 | 04/01/11 | 66 09 | 06/23/11 | 62 26 | (3 83) |
| | Totals | | | $123.91 | | $124 51 | $0.60 |
| HANSEN NATURAL CORP | HANS | 4 000 | 06/01/11 | 288 73 | 08/29/11 | 355.37 | 66.64 |
| HSBC HOLDINGS PLC SPON ADR NEW | HBC | 9 000 | 02/03/11 | 513 45 | 09/09/11 | 367 65 | (145 80) |
| | HBC | 15 000 | 03/14/11 | 791.69 | 09/09/11 | 612.75 | (178.94) |
| | Totals | | | $1,305.14 | | $980 40 | $(324 74) |
| HUDSON CITY BANCORP INC | HCBK | 46.000 | 09/23/10 | 554 80 | 08/01/11 | 372.13 | (182.67) |
| HESS CORPORATION | HES | 11 000 | 03/24/09 | 717.97 | 10/21/11 | 656 95 | (61 02) |
| | HES | 13 000 | 03/24/09 | 848 51 | 01/31/11 | 1,086 56 | 238.05 |
| | HES | 17 000 | 07/10/09 | 803.65 | 10/21/11 | 1,015.28 | 211.63 |
| | Totals | | | $2,370.13 | | $2,758.79 | $388 66 |
| HUNTINGTON INGALLS INDUSTRIES | HII | - | 01/31/11 | - | 03/31/11 | 6 60 | 6 60 |
| | HII | 3.000 | 01/31/11 | 126.23 | 04/04/11 | 120.99 | (5.24) |
| | Totals | | | $126.23 | | $127.59 | $1 36 |
| HERBALIFE | HLF | 16 000 | 12/15/10 | 547 89 | 06/14/11 | 875.35 | 327.46 |
| HEWLETT PACKARD | HPQ | 49 000 | 12/29/10 | 2,085.44 | 03/03/11 | 2,126.55 | 41.11 |
| INTESA SANPAOLO S P A ADR | ISNPY | - | 06/30/11 | - | 06/30/11 | 69 98 | 69.98 |
| INTUITIVE SURGICAL INC | ISRG | 4.000 | 08/31/10 | 1,067.49 | 08/01/11 | 1,578.24 | 510 75 |
| ILL TOOL WORKS INC | ITW | 24.000 | 01/31/11 | 1,295.11 | 08/24/11 | 1,055.51 | (239.60) |
| | ITW | 19.000 | 02/23/11 | 1,009 14 | 08/24/11 | 835.61 | (173 53) |
| | ITW | 23 000 | 03/14/11 | 1,248 09 | 08/24/11 | 1,011.53 | (236 56) |
| | Totals | | | $3,552.34 | | $2,902.65 | $(649 69) |
| IVANHOE MINES LTD | IVN | 3 000 | 01/25/11 | 85 24 | 11/09/11 | 63.94 | (21 30) |

MorganStanley SmithBarney

**2011 Realized Gain/Loss - Detail**

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION· CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | IVN | 31 000 | 02/08/11 | $888.92 | 11/09/11 | $660.69 | $(228.23) |
| | Totals | | | $974.16 | | $724.63 | $(249.53) |
| INVESCO LTD | IVZ | 19.000 | 01/19/11 | 471.30 | 06/21/11 | 446.99 | (24.31) |
| JOHNSON CONTROLS INCORPORATED | JCI | 33.000 | 07/29/11 | 1,225.14 | 09/23/11 | 876.26 | (348.88) |
| JPMORGAN CHASE & CO | JPM | 51.000 | 08/16/10 | 1,916.28 | 08/15/11 | 1,877.38 | (38.90) |
| KELLOGG CO | K | 8.000 | 06/17/10 | 435 41 | 02/10/11 | 422.77 | (12 64) |
| KIMBERLY CLARK CORP | KMB | 12 000 | 05/27/10 | 731.59 | 02/23/11 | 783.30 | 51.71 |
| | KMB | 9.000 | 06/17/10 | 566 50 | 02/23/11 | 587.47 | 20 97 |
| | KMB | 7.000 | 08/23/10 | 455.28 | 02/23/11 | 456.92 | 1 64 |
| | Totals | | | $1,753.37 | | $1,827.69 | $74.32 |
| MFA FINANCIAL INC | MFA | 33 000 | 07/29/11 | 247.17 | 09/22/11 | 225.72 | (21 45) |
| 3M COMPANY | MMM | 12 000 | 07/29/11 | 1,048.75 | 08/22/11 | 922 97 | (125 78) |
| METTLER TOLEDO INTL | MTD | 5 000 | 06/03/10 | 578.13 | 05/31/11 | 834 94 | 256 81 |
| NORTHROP GRUMMAN CP(HLDG CO) | NOC | 3 000 | 01/31/11 | 186.61 | 08/24/11 | 155.75 | (30 86) |
| | NOC | 8 000 | 01/31/11 | 497.61 | 08/24/11 | 415.33 | (82.28) |
| | NOC | 8 000 | 01/31/11 | 497 62 | 08/24/11 | 415.34 | (82 28) |
| | NOC | 8 000 | 07/29/11 | 485.76 | 08/24/11 | 415.33 | (70.43) |
| | Totals | | | $1,667 60 | | $1,401.75 | $(265 85) |
| NATIONAL OILWELL VARCO INC | NOV | 14 000 | 01/11/11 | 931 10 | 08/01/11 | 1,116 06 | 184.96 |
| NEXEN INC | NXY | 20 000 | 08/12/11 | 414 28 | 10/03/11 | 304 18 | (110.10) |
| CORPORATE OFFICES PPTY TR INC | OFC | 3 000 | 11/03/10 | 106 45 | 09/20/11 | 76 50 | (29.95) |
| OMNICOM GROUP | OMC | 111 000 | 10/19/10 | 4,589 66 | 09/15/11 | 4,408.20 | (181 46) |
| PUBLIC SERVICE ENTERPRISE GP | PEG | 32 000 | 07/27/10 | 1,109 53 | 02/22/11 | 1,026.85 | (82 68) |
| | PEG | 14.000 | 12/29/10 | 440.44 | 02/22/11 | 449.24 | 8.80 |
| | Totals | | | $1,549.97 | | $1,476.09 | $(73.88) |
| PARKER HANNIFIN CORP | PH | 21.000 | 08/11/10 | 1,309.22 | 01/31/11 | 1,876.33 | 567 11 |
| PPG INDUSTRIES INC | PPG | 2 000 | 08/08/11 | 149.92 | 08/26/11 | 144.05 | (5 87) |
| | PPG | 17 000 | 08/08/11 | 1,274.30 | 12/13/11 | 1,408.16 | 133.86 |
| | Totals | | | $1,424.22 | | $1,552.21 | $127.99 |
| ROGERS COMM INC CL B (BC) | RCI | 24 000 | 02/24/10 | 783 28 | 02/22/11 | 832.94 | 49.66 |
| ROYAL DUTCH SHELL PLC | RDS'A | - | 03/25/11 | - | 03/25/11 | 27.15 | 27 15 |
| RED HAT INC | RHT | 4 000 | 08/12/11 | 150.40 | 08/26/11 | 142 67 | (7.73) |
| RESEARCH IN MOTION | RIMM | 29 000 | 01/05/11 | 1,787 44 | 04/04/11 | 1,591.14 | (196.30) |

# 2011 Realized Gain/Loss - Detail

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ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| SHAW GROUP INCORPORATED | SHAW | 35.000 | 04/07/10 | $1,253.75 | 03/23/11 | $1,186.31 | $(67.44) |
| SHARP CORPORATION A D R | SHCAY | 17 000 | 12/29/10 | 175.27 | 06/15/11 | 150.81 | (24.46) |
| SUNTRUST BKS | STI | 70.000 | 04/26/11 | 1,923.40 | 08/24/11 | 1,274 66 | (648.74) |
| SUNCOR ENERGY INC NEW COM | SU | 4 000 | 07/08/11 | 162.27 | 08/23/11 | 120.83 | (41.44) |
| TEREX CP NEW DEL | TEX | 4.000 | 08/16/10 | 78.35 | 04/25/11 | 136 85 | 58.50 |
| | TEX | 21 000 | 08/16/10 | 411.33 | 08/01/11 | 452.84 | 41.51 |
| | Totals | | | $489.68 | | $589.69 | $100.01 |
| TYCO INTERNATIONAL LTD NEW | TYC | 38.000 | 08/24/11 | 1,528.60 | 12/13/11 | 1,749 54 | 220 94 |
| U S BANCORP COM NEW | USB | 19 000 | 08/08/11 | 429 39 | 10/21/11 | 481.06 | 51.67 |
| MARRIOTT VACATIONS WORLDWIDE | VAC | - | 07/19/11 | - | 11/21/11 | 9.78 | 9 78 |
| VALMONT INDUSTRIES | VMI | 7 000 | 05/06/10 | 543.64 | 03/31/11 | 724 87 | 181.23 |
| **Short Term Totals:** | | | | **$114,170.09** | | **$112,506.83** | **$(1,797.16)** |
| **Long Term** | | | | | | | |
| AMERICAN TOWER CP CLASS A | 029912201 | 40.000 | 07/15/09 | 1,290.06 | 05/23/11 | 2,129 47 | 839 41 |
| | 029912201 | 8.000 | 12/10/09 | 319.92 | 05/23/11 | 425 89 | 105 97 |
| | Totals | | | $1,609 98 | | $2,555 36 | $945 38 |
| AON CORP | 037389103 | 25 000 | 03/11/09 | 935 50 | 06/13/11 | 1,263 50 | 328 00 |
| | 037389103 | 11 000 | 12/10/09 | 417 78 | 06/13/11 | 555 94 | 138.16 |
| | Totals | | | $1,353.28 | | $1,819 44 | $466 16 |
| BRITISH AIRWAYS FINL INST ADR | 110419306 | 52 000 | 12/10/09 | 858 00 | 01/25/11 | 1,147 90 | 289.90 |
| GENZYME CORP | 372917104 | - | 03/11/09 | 73.52 | 05/05/11 | 105 94 | 32 42 |
| | 372917104 | 45 000 | 03/11/09 | 2,310 83 | 05/05/11 | 3,330 00 | 1,019 17 |
| | 372917104 | - | 12/10/09 | 16 87 | 05/05/11 | 25 89 | 9 02 |
| | 372917104 | 11.000 | 12/10/09 | 530.38 | 05/05/11 | 814.00 | 283.62 |
| | 372917104 | - | 03/24/10 | 10.42 | 05/05/11 | 14 12 | 3.70 |
| | 372917104 | 6 000 | 03/24/10 | 327 78 | 05/05/11 | 444.00 | 116.22 |
| | Totals | | | $3,269.80 | | $4,733.95 | $1,464 15 |
| ITT CORP | 450911102 | 4 000 | 12/10/09 | 203.36 | 08/26/11 | 176.83 | (26.53) |
| | 450911102 | 10 000 | 12/10/09 | 508.40 | 08/29/11 | 457.84 | (50.56) |
| | 450911102 | 8 000 | 01/07/10 | 393.52 | 08/29/11 | 366.27 | (27.25) |
| | 450911102 | 4 000 | 04/20/10 | 226 55 | 08/29/11 | 183.14 | (43.41) |
| | 450911102 | 9.000 | 07/12/10 | 417.24 | 08/29/11 | 412.06 | (5.18) |
| | Totals | | | $1,749.07 | | $1,596.14 | $(152.93) |

# 2011 Realized Gain/Loss - Detail

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Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| SWISS REINSURANCE CO SPON ADR | 870887205 | 26 000 | 12/10/09 | $1,241.50 | 03/17/11 | $1,400.07 | $158 57 |
| TNT N V ADS | 87260W101 | - | 12/10/09 | - | 03/18/11 | 2 08 | 2.08 |
| | 87260W101 | 57 000 | 12/10/09 | 1,764 15 | 03/31/11 | 1,463.50 | (300.65) |
| | Totals | | | $1,764.15 | | $1,465.58 | $(298.57) |
| APPLE INC | AAPL | 4 000 | 03/10/09 | 350.83 | 08/26/11 | 1,531.76 | 1,180.93 |
| ABBOTT LABORATORIES | ABT | 30 000 | 03/10/09 | 1,406.10 | 02/10/11 | 1,362.83 | (43.27) |
| | ABT | 3.000 | 04/24/09 | 131.46 | 02/10/11 | 136 28 | 4.82 |
| | ABT | 25 000 | 04/24/09 | 1,095 54 | 06/16/11 | 1,281 89 | 186 35 |
| | ABT | 3.000 | 12/10/09 | 162 45 | 06/16/11 | 153.83 | (8 62) |
| | Totals | | | $2,795 55 | | $2,934 83 | $139.28 |
| ACE LTD | ACE | 1.000 | 03/10/09 | 33.94 | 12/13/11 | 68 18 | 34 24 |
| | ACE | 18.000 | 03/10/09 | 610.87 | 09/30/11 | 1,105.68 | 494.81 |
| | ACE | 12 000 | 12/10/09 | 601.56 | 12/13/11 | 818.29 | 216.73 |
| | Totals | | | $1,246 37 | | $1,992.15 | $745 78 |
| ACCENTURE PLC IRELAND CL A | ACN | 4.000 | 03/10/09 | 110 23 | 08/08/11 | 217 07 | 106.84 |
| | ACN | 25 000 | 03/10/09 | 689.98 | 08/08/11 | 1,356.67 | 666 69 |
| | Totals | | | $800 21 | | $1,573 74 | $773.53 |
| AMEREN CORP (HLDG CO) | AEE | 26 000 | 03/11/09 | 520.00 | 02/03/11 | 740 68 | 220 68 |
| | AEE | 2 000 | 12/10/09 | 53.76 | 02/03/11 | 56 98 | 3.22 |
| | Totals | | | $573.76 | | $797.66 | $223.90 |
| AMERICAN ELECTRIC POWER CO | AEP | 40 000 | 04/17/09 | 1,089 09 | 03/14/11 | 1,410.31 | 321.22 |
| A G C O CORP | AGCO | 2 000 | 05/15/09 | 50.38 | 04/25/11 | 108 63 | 58 25 |
| | AGCO | 5.000 | 05/20/09 | 147.18 | 04/25/11 | 271.58 | 124 40 |
| | AGCO | 7.000 | 05/20/09 | 206.06 | 08/01/11 | 332.59 | 126 53 |
| | Totals | | | $403.62 | | $712.80 | $309.18 |
| ADECCO SA UNSPON ADR | AHEXY | 7 000 | 12/10/09 | 195.30 | 07/27/11 | 210.41 | 15 11 |
| | AHEXY | 24.000 | 12/10/09 | 669.60 | 04/06/11 | 793.18 | 123 58 |
| | Totals | | | $864.90 | | $1,003 59 | $138 69 |
| AKAMAI TECHNOLOGIES INC | AKAM | 22.000 | 12/10/09 | 555.50 | 02/11/11 | 906.02 | 350.52 |
| ALLSTATE CORP | ALL | 16 000 | 03/30/09 | 305 50 | 05/05/11 | 538.70 | 233.20 |
| | ALL | 29 000 | 03/30/09 | 553 72 | 04/15/11 | 913.84 | 360.12 |
| | ALL | 40.000 | 03/30/09 | 763.75 | 02/17/11 | 1,250.78 | 487.03 |
| | ALL | 10.000 | 05/08/09 | 250.15 | 05/05/11 | 336.69 | 86 54 |

## 2011 Realized Gain/Loss - Detail
As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | ALL | 3.000 | 06/02/09 | $79.68 | 05/05/11 | $101.01 | $21.33 |
| | ALL | 17 000 | 06/02/09 | 451.51 | 08/05/11 | 453.06 | 1.55 |
| | ALL | 30 000 | 06/15/09 | 738.98 | 08/05/11 | 799.52 | 60.54 |
| | ALL | 4 000 | 12/10/09 | 111 67 | 08/05/11 | 106 60 | (5.07) |
| | Totals | | | $3,254 96 | | $4,500 20 | $1,245 24 |
| AMC NETWORKS INC CL A | AMCX | - | 03/11/09 | - | 06/30/11 | 28 86 | 28 86 |
| | AMCX | 26 000 | 03/11/09 | 295.14 | 07/12/11 | 962.73 | 667.59 |
| | Totals | | | $295.14 | | $991 59 | $696.45 |
| AFFILIATED MGRS GROUP INC | AMG | 9.000 | 12/10/09 | 583.11 | 06/14/11 | 883 98 | 300.87 |
| AMERICAN SUPERCONDUCTOR | AMSC | 27.000 | 12/10/09 | 1,062.99 | 06/02/11 | 222 79 | (840.20) |
| TD AMERITRADE HOLDING CORP | AMTD | 18 000 | 03/10/09 | 207 14 | 08/01/11 | 330.37 | 123 23 |
| | AMTD | 28 000 | 03/10/09 | 322.22 | 06/14/11 | 529.21 | 206 99 |
| | AMTD | 65.000 | 03/10/09 | 748 01 | 08/30/11 | 985 31 | 237 30 |
| | Totals | | | $1,277 37 | | $1,844 89 | $567 52 |
| AMERICA MOVIL SA DE CV ADR L | AMX | 17.000 | 12/10/09 | 803.86 | 06/03/11 | 844 20 | 40 34 |
| APACHE CORP | APA | 2 000 | 03/10/09 | 109.16 | 08/26/11 | 198 72 | 89.56 |
| | APA | 8.000 | 03/10/09 | 436 64 | 10/21/11 | 751.50 | 314.86 |
| | APA | 12 000 | 08/05/09 | 1,041 66 | 10/21/11 | 1,127.25 | 85.59 |
| | APA | 7.000 | 10/02/09 | 631 78 | 12/13/11 | 667.00 | 35.22 |
| | APA | 8 000 | 10/02/09 | 722 04 | 10/21/11 | 751.49 | 29.45 |
| | APA | 4.000 | 12/10/09 | 377.60 | 12/13/11 | 381.14 | 3.54 |
| | Totals | | | $3,318.88 | | $3,877.10 | $558 22 |
| AIR PROD & CHEM INC | APD | 22 000 | 03/10/09 | 1,060.62 | 06/16/11 | 1,989.32 | 928 70 |
| | APD | 1 000 | 12/10/09 | 82.39 | 06/16/11 | 90 42 | 8 03 |
| | Totals | | | $1,143.01 | | $2,079 74 | $936 73 |
| ACTIVISION BLIZZARD INC | ATVI | 91 000 | 07/16/10 | 1,013.49 | 11/10/11 | 1,180.15 | 166 66 |
| ATWOOD OCEANICS INC | ATW | 16 000 | 05/06/10 | 507.96 | 08/24/11 | 618.09 | 110 13 |
| AVALONBAY COMM INC | AVB | 7 000 | 03/10/09 | 342 23 | 06/16/11 | 900.85 | 558.62 |
| | AVB | 7 000 | 03/10/09 | 342.23 | 02/10/11 | 802.83 | 460.60 |
| | Totals | | | $684.46 | | $1,703.68 | $1,019.22 |
| AXIS CAPITAL HOLDINGS LTD | AXS | 26 000 | 12/10/09 | 746.89 | 01/06/11 | 928.47 | 181.58 |
| BANK OF AMERICA CORP | BAC | 77.000 | 05/06/09 | 922.46 | 05/06/11 | 945.86 | 23 40 |
| | BAC | 49 000 | 05/19/09 | 579 10 | 05/06/11 | 601.91 | 22.81 |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION· CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | BAC | 87.000 | 05/19/09 | $1,028.19 | 08/24/11 | $564.86 | $(463.33) |
| | BAC | 81 000 | 06/18/09 | 1,039.30 | 08/24/11 | 525.90 | (513.40) |
| | BAC | 64 000 | 12/10/09 | 970.11 | 08/24/11 | 415.53 | (554.58) |
| | Totals | | | $4,539.16 | | $3,054.06 | $(1,485.10) |
| BAYERISCHE MOTOREN WERKE AG | BAMXY | 11 000 | 12/21/09 | 167 75 | 06/10/11 | 329.22 | 161.47 |
| | BAMXY | 11.000 | 12/21/09 | 167 75 | 01/20/11 | 273 56 | 105.81 |
| | BAMXY | 17.000 | 02/03/10 | 249.36 | 04/27/11 | 514.02 | 264.66 |
| | BAMXY | 7 000 | 02/05/10 | 96 56 | 08/05/11 | 196 48 | 99.92 |
| | BAMXY | 7 000 | 02/05/10 | 96 56 | 04/27/11 | 211 66 | 115 10 |
| | BAMXY | 21 000 | 02/05/10 | 289 69 | 11/04/11 | 555.22 | 265 53 |
| | BAMXY | 1 000 | 04/06/10 | 15 85 | 11/04/11 | 26 44 | 10.59 |
| | BAMXY | 30 000 | 04/06/10 | 475.60 | 12/28/11 | 660.28 | 184 68 |
| | BAMXY | 22 000 | 04/19/10 | 348.48 | 06/10/11 | 658.45 | 309.97 |
| | Totals | | | $1,907.60 | | $3,425 33 | $1,517.73 |
| BAYER AG SPON ADR | BAYRY | 1 000 | 12/10/09 | 78 65 | 11/03/11 | 63 69 | (14.96) |
| | BAYRY | 7.000 | 12/10/09 | 550 55 | 06/23/11 | 534 62 | (15 93) |
| | BAYRY | 12 000 | 12/10/09 | 943.80 | 11/03/11 | 764.42 | (179 38) |
| | Totals | | | $1,573 00 | | $1,362 73 | $(210 27) |
| BEST BUY CO | BBY | 14 000 | 03/10/09 | 393.62 | 03/23/11 | 445.85 | 52.23 |
| | BBY | 21.000 | 05/19/09 | 779.98 | 03/23/11 | 668 78 | (111.20) |
| | BBY | 12 000 | 09/28/09 | 452.36 | 03/23/11 | 382.16 | (70.20) |
| | BBY | 9 000 | 12/10/09 | 388.35 | 03/23/11 | 286.62 | (101.73) |
| | Totals | | | $2,014 31 | | $1,783 41 | $(230.90) |
| BHP BILLITON LTD | BHP | 7.000 | 03/11/09 | 286 02 | 10/05/11 | 476 90 | 190.88 |
| | BHP | 13.000 | 03/11/09 | 531 18 | 04/26/11 | 1,327.98 | 796.80 |
| | Totals | | | $817.20 | | $1,804.88 | $987 68 |
| BRAMBLES LTD UNSPON ADR | BMBLY | 46.000 | 12/10/09 | 526.70 | 01/27/11 | 657 82 | 131.12 |
| BIOMARIN PHARMAC SE | BMRN | 25 000 | 12/10/09 | 427 66 | 05/31/11 | 701 96 | 274.30 |
| BRITISH SKY BRDCSTG GRP PLC | BSYBY | 16.000 | 03/11/09 | 406.40 | 06/23/11 | 850.06 | 443.66 |
| PEABODY ENERGY CORP | BTU | 9.000 | 01/05/10 | 445 22 | 10/21/11 | 349.38 | (95 84) |
| | BTU | 26.000 | 01/05/10 | 1,286.19 | 04/26/11 | 1,689.18 | 402 99 |
| | BTU | 13 000 | 03/04/10 | 620.84 | 10/21/11 | 504.66 | (116.18) |
| | BTU | 12 000 | 06/09/10 | 447.58 | 10/21/11 | 465.83 | 18 25 |

MorganStanley SmithBarney

## 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | Totals | | | $2,799.83 | | $3,009.05 | $209 22 |
| BORG WARNER INC | BWA | 4.000 | 12/10/09 | $122.33 | 08/24/11 | $269.12 | $146.79 |
| | BWA | 9.000 | 12/10/09 | 275.24 | 02/07/11 | 639.92 | 364.68 |
| | BWA | 13.000 | 12/10/09 | 397 57 | 03/22/11 | 950.83 | 553.26 |
| | BWA | 14.000 | 12/10/09 | 428 15 | 09/13/11 | 925.46 | 497.31 |
| | BWA | 1.000 | 03/24/10 | 37.88 | 09/13/11 | 66.10 | 28.22 |
| | Totals | | | $1,261.17 | | $2,851.43 | $1,590.26 |
| BABCOCK & WILCOX COMPANY | BWC | 23.000 | 03/11/09 | 295 21 | 09/23/11 | 452.27 | 157.06 |
| CATERPILLAR INC | CAT | 21.000 | 12/10/09 | 1,192 17 | 03/14/11 | 2,130 48 | 938.31 |
| CHUBB CORP | CB | 5 000 | 06/10/09 | 205.96 | 08/26/11 | 295.54 | 89.58 |
| CROWN HLDGS INC (HOLDING CO) | CCK | 9 000 | 12/10/09 | 229.03 | 03/22/11 | 341 56 | 112 53 |
| | CCK | 12.000 | 12/10/09 | 305 37 | 08/01/11 | 460.36 | 154.99 |
| | Totals | | | $534 40 | | $801 92 | $267.52 |
| CELGENE CORP | CELG | 40 000 | 03/10/09 | 1,687 42 | 02/11/11 | 2,068 54 | 381 12 |
| | CELG | 66 000 | 12/10/09 | 3,547 90 | 02/11/11 | 3,413.08 | (134 82) |
| | Totals | | | $5,235.32 | | $5,481.62 | $246.30 |
| CHINA TELECOM LTD | CHA | 5 000 | 12/10/09 | 217.75 | 02/25/11 | 288.79 | 71 04 |
| | CHA | 27.000 | 12/10/09 | 1,175 85 | 03/31/11 | 1,644.31 | 468.46 |
| | Totals | | | $1,393.60 | | $1,933.10 | $539 50 |
| CHEUNG KONG HOLDINGS ADR | CHEUY | 13.000 | 12/10/09 | 165 62 | 02/04/11 | 223 98 | 58 36 |
| | CHEUY | 33.000 | 12/10/09 | 420 42 | 06/23/11 | 456.05 | 35.63 |
| | Totals | | | $586.04 | | $680.03 | $93.99 |
| CHOICE HOTELS INTL INC NEW | CHH | 2 000 | 05/26/10 | 66 85 | 08/26/11 | 58 64 | (8 21) |
| | CHH | 41 000 | 05/26/10 | 1,370.42 | 09/20/11 | 1,253.81 | (116.61) |
| | CHH | 23 000 | 09/02/10 | 813.34 | 09/20/11 | 703.36 | (109.98) |
| | Totals | | | $2,250.61 | | $2,015.81 | $(234.80) |
| CHECK POINT SOFTWARE TECH LTD | CHKP | 2.000 | 12/10/09 | 66 08 | 07/28/11 | 116.54 | 50.46 |
| | CHKP | 9.000 | 12/10/09 | 297.34 | 07/28/11 | 524 45 | 227.11 |
| | CHKP | 11 000 | 12/10/09 | 363.42 | 03/11/11 | 535 25 | 171.83 |
| | CHKP | 13 000 | 12/10/09 | 429.49 | 05/06/11 | 714.29 | 284 80 |
| | CHKP | 28.000 | 12/10/09 | 925.06 | 01/24/11 | 1,276.73 | 351.67 |
| | Totals | | | $2,081.39 | | $3,167.26 | $1,085 87 |
| CATALYST HEALTH SOLUTIONS INC | CHSI | 9.000 | 01/07/10 | 332 33 | 03/29/11 | 488.63 | 156 30 |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| CHIMERA INVESTMENT CORP | CIM | 77 000 | 05/28/09 | $253.94 | 11/10/11 | $197 94 | $(56.00) |
| | CIM | 104 000 | 05/28/09 | 342.98 | 08/24/11 | 313.03 | (29.95) |
| | CIM | 149 000 | 05/28/09 | 491 39 | 01/18/11 | 613.86 | 122 47 |
| | CIM | 165.000 | 06/05/09 | 566 26 | 11/10/11 | 424.16 | (142 10) |
| | CIM | 20 000 | 06/08/09 | 66 93 | 11/10/11 | 51.41 | (15 52) |
| | CIM | 240 000 | 04/07/10 | 941.98 | 11/10/11 | 616.95 | (325.03) |
| | Totals | | | $2,663.48 | | $2,217.35 | $(446 13) |
| CORE LABORATORIES N V | CLB | 9.000 | 03/11/09 | 314.28 | 08/24/11 | 944.68 | 630 40 |
| CLOROX CO DE | CLX | 12 000 | 10/28/09 | 695 88 | 07/20/11 | 895 84 | 199.96 |
| CME GROUP INC | CME | 19.000 | 04/07/10 | 5,975.47 | 11/11/11 | 4,984 86 | (990 61) |
| CHIPOTLE MEXICAN GRILL INC COM | CMG | 8.000 | 12/10/09 | 693.04 | 03/24/11 | 1,975.18 | 1,282.14 |
| COMPASS MINERALS INTER INC | CMP | 13.000 | 12/10/09 | 875 29 | 03/31/11 | 1,209 43 | 334 14 |
| CSL LTD UNSPON ADR | CMXHY | 45.000 | 03/11/09 | 506.25 | 12/29/11 | 730.59 | 224.34 |
| | CMXHY | 72 000 | 03/11/09 | 810.00 | 10/21/11 | 1,108 05 | 298 05 |
| | CMXHY | 32 000 | 05/05/09 | 400 00 | 12/29/11 | 519 53 | 119 53 |
| | Totals | | | $1,716.25 | | $2,358.17 | $641 92 |
| CANADIAN NATL RAILWAY CO | CNI | 28 000 | 03/11/09 | 911.96 | 12/08/11 | 2,204.07 | 1,292 11 |
| ROCKWELL COLLINS INC | COL | 12.000 | 03/11/09 | 358 80 | 08/11/11 | 532.87 | 174 07 |
| CONOCOPHILLIPS | COP | 2 000 | 04/19/10 | 113 10 | 08/26/11 | 130.35 | 17 25 |
| | COP | 4.000 | 04/19/10 | 226 21 | 08/23/11 | 260.91 | 34 70 |
| | COP | 15 000 | 04/19/10 | 848.28 | 12/13/11 | 1,059.96 | 211.68 |
| | COP | 18 000 | 04/19/10 | 1,017.94 | 10/21/11 | 1,289.55 | 271 61 |
| | Totals | | | $2,205.53 | | $2,740.77 | $535 24 |
| COSTCO WHOLESALE CORP NEW | COST | 91.000 | 03/10/09 | 3,612 50 | 02/02/11 | 6,564 50 | 2,952.00 |
| | COST | 6.000 | 12/10/09 | 350.51 | 02/02/11 | 432.82 | 82.31 |
| | Totals | | | $3,963.01 | | $6,997.32 | $3,034.31 |
| COVIDIEN PLC NEW | COV | 24.000 | 03/10/09 | 683.02 | 03/30/11 | 1,252.96 | 569.94 |
| | COV | 2.000 | 03/11/09 | 59.52 | 08/23/11 | 100.63 | 41.11 |
| | COV | 3.000 | 03/11/09 | 89.28 | 08/10/11 | 134.65 | 45.37 |
| | COV | 3.000 | 03/11/09 | 89 28 | 03/30/11 | 156.62 | 67.34 |
| | COV | 26.000 | 03/11/09 | 773.76 | 08/10/11 | 1,166.99 | 393.23 |
| | Totals | | | $1,694 86 | | $2,811.85 | $1,116.99 |
| CENTRICA PLC SPONS ADR NEW | CPYYY | 32.000 | 03/08/10 | 552.53 | 09/21/11 | 582.70 | 30.17 |

# 2011 Realized Gain/Loss - Detail
As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| CREE RESEARCH INC | CREE | 31 000 | 12/10/09 | $1,605.89 | 05/23/11 | $1,287.62 | $(318.27) |
| CISCO SYS INC | CSCO | 62.000 | 03/10/09 | 906.92 | 03/23/11 | 1,088.07 | 181.15 |
| | CSCO | 3.000 | 12/10/09 | 71.76 | 03/23/11 | 52.65 | (19 11) |
| | Totals | | | $978.68 | | $1,140.72 | $162.04 |
| COGNIZANT TECH SOLUTIONS CL A | CTSH | 4.000 | 12/10/09 | 176.83 | 08/23/11 | 236.58 | 59 75 |
| DBS GROUP HOLDINGS LTD SP | DBSDY | 5.000 | 12/10/09 | 211.25 | 06/28/11 | 231.29 | 20.04 |
| WALT DISNEY CO HLDG CO | DIS | 35.000 | 03/04/10 | 1,136.93 | 08/15/11 | 1,175 01 | 38.08 |
| | DIS | 126.000 | 03/26/10 | 4,434 79 | 08/15/11 | 4,230.07 | (204 72) |
| | Totals | | | $5,571.72 | | $5,405.08 | $(166 64) |
| DISCOVERY COMMUNICATIONS SER C | DISCK | 38.000 | 12/10/09 | 1,058 28 | 01/26/11 | 1,298.39 | 240 11 |
| DIGITAL REALTY TRUST INC | DLR | 1.000 | 12/10/09 | 47.95 | 08/24/11 | 56.60 | 8 65 |
| | DLR | 8 000 | 12/10/09 | 383.62 | 08/01/11 | 485.55 | 101.93 |
| | Totals | | | $431.57 | | $542.15 | $110.58 |
| DENBURY RESOURCES INC NEW | DNR | 17.000 | 03/10/09 | 254.42 | 08/01/11 | 325.77 | 71.35 |
| DEUTSCHE POST AG SPONSORED ADR | DPSGY | 21.000 | 12/10/09 | 408.45 | 10/26/11 | 316 75 | (91.70) |
| DREAMWORKS ANIMATION SKG INC | DWA | 48.000 | 03/11/09 | 926 40 | 03/01/11 | 1,356.43 | 430 03 |
| | DWA | 5 000 | 12/10/09 | 189 60 | 03/01/11 | 141.29 | (48 31) |
| | Totals | | | $1,116.00 | | $1,497 72 | $381 72 |
| ENCANA CORP | ECA | 24.000 | 12/10/09 | 669 78 | 08/08/11 | 581 72 | (88 06) |
| CONS EDISON INC (HLDG CO) | ED | 5 000 | 03/11/09 | 171 45 | 08/26/11 | 277.01 | 105.56 |
| | ED | 14.000 | 03/11/09 | 480.06 | 02/11/11 | 701.86 | 221.80 |
| | Totals | | | $651 51 | | $978 87 | $327.36 |
| NEW ORIENTAL ED & TECH GRP ADR | EDU | 1 000 | 10/08/09 | 20.58 | 08/26/11 | 26 95 | 6.37 |
| | EDU | 23.000 | 10/08/09 | 473.27 | 09/01/11 | 689.95 | 216 68 |
| | EDU | 20 000 | 02/08/10 | 339 79 | 09/01/11 | 599.95 | 260 16 |
| | Totals | | | $833.64 | | $1,316.85 | $483 21 |
| EMC CORP MASS | EMC | 49 000 | 10/05/09 | 825.67 | 08/01/11 | 1,278 39 | 452.72 |
| REED ELSEVIER NV-SPONS ADR | ENL | 30 000 | 12/10/09 | 705 00 | 07/08/11 | 792.56 | 87.56 |
| | ENL | 7.000 | 06/17/10 | 158 20 | 07/08/11 | 184.93 | 26.73 |
| | Totals | | | $863.20 | | $977.49 | $114.29 |
| E.ON AG | EONGY | 21.000 | 12/10/09 | 845.67 | 11/30/11 | 518.27 | (327 40) |
| EQT CORPORATION COM NEW | EQT | 10.000 | 12/10/09 | 409.71 | 12/06/11 | 604.00 | 194.29 |
| | EQT | 14 000 | 12/10/09 | 573 60 | 06/22/11 | 712.10 | 138.50 |

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | Totals | | | $983.31 | | $1,316.10 | $332 79 |
| ERICSSON LM TEL ADR CL B NEW | ERIC | 94.000 | 06/18/09 | $898.38 | 04/26/11 | $1,236.39 | $338.01 |
| | ERIC | 9.000 | 12/10/09 | 85.59 | 04/26/11 | 118.38 | 32 79 |
| | ERIC | 18.000 | 12/10/09 | 171.14 | 02/04/11 | 228.41 | 57 27 |
| | Totals | | | $1,155.11 | | $1,583.18 | $428 07 |
| ELBIT SYSTEMS LTD | ESLT | 11.000 | 12/10/09 | 699.60 | 07/21/11 | 533.27 | (166.33) |
| ESSEX PROPERTY TRUST INC | ESS | 3.000 | 12/10/09 | 242.18 | 08/01/11 | 423.26 | 181.08 |
| EATON CORPORATION | ETN | 1.000 | 12/10/09 | 32.22 | 08/24/11 | 40.00 | 7 78 |
| | ETN | 25.000 | 12/10/09 | 805.50 | 10/11/11 | 1,011.70 | 206.20 |
| | Totals | | | $837.72 | | $1,051.70 | $213 98 |
| ENTERGY CORP NEW | ETR | 7 000 | 03/11/09 | 426.86 | 08/01/11 | 465.45 | 38 59 |
| EATON VANCE CP | EV | 47 000 | 12/10/09 | 1,384.43 | 03/08/11 | 1,504.52 | 120 09 |
| FANUC CORPORATION UNSP ADR | FANUY | 6 000 | 07/29/10 | 121 04 | 08/05/11 | 168 82 | 47 78 |
| FASTENAL CO | FAST | 13 000 | 04/22/10 | 709.78 | 05/18/11 | 855.11 | 145.33 |
| | FAST | 18 000 | 04/22/10 | 491 38 | 08/01/11 | 588.94 | 97.56 |
| | Totals | | | $1,201.16 | | $1,444.05 | $242.89 |
| FREEPORT MCMORAN CP&GLD | FCX | 64.000 | 03/10/09 | 1,087 61 | 10/03/11 | 1,986.81 | 899.20 |
| | FCX | 38 000 | 05/06/09 | 995.47 | 10/03/11 | 1,179 67 | 184.20 |
| | FCX | 9.000 | 09/18/09 | 316.63 | 10/03/11 | 279.39 | (37.24) |
| | Totals | | | $2,399.71 | | $3,445.87 | $1,046.16 |
| FACTSET RESEARCH SYSTEMS INC | FDS | 6 000 | 12/10/09 | 452.70 | 09/09/11 | 494.36 | 41.66 |
| FIFTH 3RD BANCORP OHIO | FITB | 33 000 | 08/12/09 | 340.18 | 12/13/11 | 400.28 | 60.10 |
| FLOWSERVE CORP | FLS | 22 000 | 12/10/09 | 2,086 70 | 01/27/11 | 2,692 78 | 606 08 |
| FUJIFILM HLDGS CORP ADR | FUJIY | 11 000 | 12/10/09 | 315 04 | 07/14/11 | 338.57 | 23 53 |
| | FUJIY | 18 000 | 12/10/09 | 515 52 | 11/02/11 | 412.38 | (103.14) |
| | Totals | | | $830.56 | | $750 95 | $(79 61) |
| GENL DYNAMICS CORP | GD | 9 000 | 03/10/09 | 336.87 | 06/16/11 | 641 50 | 304.63 |
| | GD | 1.000 | 07/10/09 | 51.66 | 06/16/11 | 71.28 | 19 62 |
| | Totals | | | $388.53 | | $712.78 | $324.25 |
| G4S PLC UNSPONS ADR | GFSZY | 47 000 | 12/10/09 | 955 51 | 08/12/11 | 964.01 | 8.50 |
| SPDR GOLD TR GOLD SHS | GLD | 7.000 | 03/11/09 | 624.59 | 08/01/11 | 1,104 99 | 480.40 |
| GENUINE PARTS CO | GPC | 3.000 | 12/10/09 | 113.54 | 08/26/11 | 157.64 | 44.10 |
| GOLDMAN SACHS GRP INC | GS | 3.000 | 03/10/09 | 254.47 | 08/24/11 | 322.04 | 67 57 |

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | GS | 8 000 | 03/10/09 | $678.59 | 12/13/11 | $771.62 | $93 03 |
| | Totals | | | $933.06 | | $1,093.66 | $160.60 |
| HAEMONETICS CORP | HAE | 25 000 | 12/10/09 | 1,372 50 | 06/23/11 | 1,556.34 | 183.84 |
| HSBC HOLDINGS PLC SPON ADR NEW | HBC | 9 000 | 12/10/09 | 522.09 | 09/09/11 | 367.66 | (154 43) |
| | HBC | 11 000 | 08/18/10 | 562.53 | 09/09/11 | 449.36 | (113.17) |
| | Totals | | | $1,084.62 | | $817 02 | $(267.60) |
| HEALTH CARE REIT INC | HCN | 12 000 | 03/11/09 | 338.19 | 05/26/11 | 625.05 | 286.86 |
| HEWLETT PACKARD | HPQ | 51.000 | 03/10/09 | 1,340 68 | 04/04/11 | 2,057.89 | 717 21 |
| | HPQ | 114 000 | 03/10/09 | 3,067.49 | 03/03/11 | 4,947.49 | 1,880.00 |
| | HPQ | 13.000 | 12/10/09 | 650.23 | 04/04/11 | 524.56 | (125 67) |
| | Totals | | | $5,058 40 | | $7,529.94 | $2,471.54 |
| HUTCHISON WHAMPOA ADR | HUWHY | - | 12/10/09 | - | 07/06/11 | 10 59 | 10 59 |
| | HUWHY | - | 12/10/09 | - | 07/06/11 | 10.59 | 10 59 |
| | HUWHY | 5 000 | 12/10/09 | 168 70 | 01/20/11 | 297 14 | 128.44 |
| | Totals | | | $168 70 | | $318 32 | $149.62 |
| INTL BUSINESS MACHINES CORP | IBM | 9 000 | 03/10/09 | 774 90 | 08/08/11 | 1,531.32 | 756.42 |
| | IBM | 7.000 | 05/15/09 | 717.70 | 02/10/11 | 1,148.17 | 430.47 |
| | Totals | | | $1,492.60 | | $2,679.49 | $1,186.89 |
| ICICI BANK LTD | IBN | 5.000 | 12/10/09 | 186 40 | 09/02/11 | 190.72 | 4.32 |
| INDUSTRIAL & COML BK CHINA ADR | IDCBY | 22.000 | 01/29/10 | 328.12 | 10/07/11 | 222.89 | (105.23) |
| IHS INC CLA A COM | IHS | 3.000 | 12/10/09 | 154 33 | 08/01/11 | 219.59 | 65.26 |
| INFOSYS LIMITED ADR | INFY | 7 000 | 03/11/09 | 172.67 | 07/12/11 | 433 97 | 261 30 |
| ING GROEP NV ADR | ING | 24 000 | 12/10/09 | 213.28 | 02/04/11 | 286.55 | 73 27 |
| INTEL CORP | INTC | 43.000 | 09/09/09 | 851 84 | 02/22/11 | 938.68 | 86.84 |
| | INTC | 18.000 | 10/02/09 | 344 16 | 02/22/11 | 392.94 | 48 78 |
| | INTC | 9.000 | 12/10/09 | 181 08 | 02/22/11 | 196.47 | 15 39 |
| | Totals | | | $1,377 08 | | $1,528.09 | $151.01 |
| INTUIT INC | INTU | 122 000 | 05/28/10 | 4,342.85 | 07/01/11 | 6,349 52 | 2,006.67 |
| INTL PWR PLC ADS | IPRPY | 12.000 | 12/10/09 | 562.08 | 08/12/11 | 569.66 | 7.58 |
| | IPRPY | 23.000 | 12/10/09 | 1,077 32 | 06/15/11 | 1,170.49 | 93.17 |
| | Totals | | | $1,639.40 | | $1,740.15 | $100.75 |
| INTUITIVE SURGICAL INC | ISRG | 3 000 | 12/10/09 | 873.84 | 08/01/11 | 1,183.53 | 309.69 |
| ITC HOLDINGS | ITC | 4.000 | 12/10/09 | 194.56 | 08/01/11 | 285.99 | 91 43 |

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| IMPERIAL TOBACCO GP PLC SP ADR | ITYBY | 6.000 | 12/10/09 | $366.60 | 08/03/11 | $407.99 | $41.39 |
| IVANHOE MINES LTD | IVN | 12.000 | 03/11/09 | 54.36 | 10/03/11 | 164.84 | 110.48 |
| | IVN | 72.000 | 03/11/09 | 326.16 | 11/09/11 | 1,534.52 | 1,208.36 |
| | Totals | | | $380.52 | | $1,699.36 | $1,318.84 |
| JOHNSON CONTROLS INCORPORATED | JCI | 155 000 | 04/19/10 | 5,034 99 | 09/23/11 | 4,115.77 | (919.22) |
| JUNIPER NETWORKS | JNPR | 41 000 | 05/29/09 | 1,020.31 | 03/10/11 | 1,725.97 | 705.66 |
| JPMORGAN CHASE & CO | JPM | 2.000 | 03/10/09 | 38.30 | 08/15/11 | 73 62 | 35.32 |
| | JPM | 136.000 | 03/10/09 | 2,604.18 | 08/15/11 | 5,006.33 | 2,402 15 |
| | Totals | | | $2,642.48 | | $5,079.95 | $2,437 47 |
| KELLOGG CO | K | 26 000 | 12/10/09 | 1,378 78 | 02/10/11 | 1,373 99 | (4 79) |
| KEYCORP NEW | KEY | 112 000 | 01/25/10 | 790.51 | 06/16/11 | 905 59 | 115 08 |
| KINGFISHER PLC SPONS ADR NEW | KGFHY | 24.000 | 12/10/09 | 182.40 | 03/25/11 | 197.27 | 14.87 |
| ROYAL KPN NV SPONS ADR | KKPNY | 5 000 | 12/10/09 | 87 05 | 04/26/11 | 77 82 | (9.23) |
| | KKPNY | 49 000 | 12/10/09 | 853 09 | 04/21/11 | 769.06 | (84 03) |
| | KKPNY | 56 000 | 12/10/09 | 974 96 | 05/11/11 | 841 84 | (133 12) |
| | Totals | | | $1,915.10 | | $1,688 72 | $(226.38) |
| KOMATSU LTD SPON ADR NEW | KMTUY | 21 000 | 12/10/09 | 433 39 | 07/05/11 | 658.74 | 225.35 |
| KEPPEL CORP LTD ADR SPONSORED | KPELY | - | 12/10/09 | - | 05/16/11 | 12.77 | 12.77 |
| | KPELY | 3 000 | 12/10/09 | 34.95 | 04/12/11 | 59 26 | 24.31 |
| | KPELY | 14.000 | 12/10/09 | 163 09 | 04/11/11 | 278.63 | 115.54 |
| | Totals | | | $198.04 | | $350 66 | $152.62 |
| KANSAS CY SOUTHN IND NEW | KSU | 10 000 | 08/28/09 | 249 82 | 04/25/11 | 531.21 | 281 39 |
| | KSU | 14 000 | 08/28/09 | 349 75 | 07/15/11 | 788 49 | 438.74 |
| | KSU | 10.000 | 05/06/10 | 378.07 | 07/15/11 | 563.21 | 185.14 |
| | Totals | | | $977.64 | | $1,882.91 | $905.27 |
| LABORATORY CP AMER HLDGS NEW | LH | 11.000 | 12/10/09 | 805 75 | 02/09/11 | 997.68 | 191.93 |
| LIBERTY MEDIA CO LIBERTY CAP A | LMCA | 0 557 | 12/10/09 | 30.91 | 11/30/11 | 41.91 | 11.00 |
| LINCOLN NTL CORP IND | LNC | 15 000 | 08/05/09 | 336.81 | 09/09/11 | 279.16 | (57 65) |
| | LNC | 35.000 | 08/05/09 | 785.90 | 08/24/11 | 670.16 | (115.74) |
| | LNC | 2.000 | 12/10/09 | 45 90 | 09/09/11 | 37.22 | (8.68) |
| | LNC | 19.000 | 12/10/09 | 436 05 | 09/09/11 | 353.61 | (82.44) |
| | LNC | 25.000 | 12/10/09 | 573 69 | 09/09/11 | 465.28 | (108.41) |
| | LNC | 26.000 | 12/10/09 | 596.65 | 09/09/11 | 483.89 | (112.76) |

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | LNC | 2.000 | 06/17/10 | $55.07 | 09/09/11 | $37.22 | $(17.85) |
| | Totals | | | $2,830.07 | | $2,326.54 | $(503.53) |
| MASTERCARD INC CL A | MA | 8.000 | 07/10/09 | 1,283.55 | 01/05/11 | 1,849.55 | 566.00 |
| | MA | 3.000 | 09/09/09 | 628.25 | 01/05/11 | 693.58 | 65.33 |
| | Totals | | | $1,911.80 | | $2,543.13 | $631.33 |
| MC DONALDS CORP | MCD | 11.000 | 03/10/09 | 582 98 | 08/23/11 | 979.81 | 396.83 |
| | MCD | 14.000 | 03/10/09 | 741.97 | 12/13/11 | 1,371.98 | 630 01 |
| | MCD | 20 000 | 03/10/09 | 1,059.96 | 10/21/11 | 1,841.57 | 781 61 |
| | MCD | 20 000 | 03/10/09 | 1,059 96 | 08/08/11 | 1,663 66 | 603 70 |
| | MCD | 17 000 | 04/13/09 | 953.66 | 12/13/11 | 1,665 98 | 712 32 |
| | MCD | 1 000 | 04/24/09 | 55 09 | 12/13/11 | 98 00 | 42 91 |
| | MCD | 4.000 | 05/19/09 | 216 02 | 04/26/11 | 307 60 | 91.58 |
| | MCD | 5.000 | 06/03/09 | 303.54 | 04/26/11 | 384 50 | 80 96 |
| | Totals | | | $4,973 18 | | $8,313 10 | $3,339.92 |
| MICROCHIP TECHNOLOGY INC | MCHP | 10.000 | 12/10/09 | 263 13 | 08/01/11 | 337.43 | 74 30 |
| MCKESSON CORP | MCK | 11.000 | 04/07/10 | 729 78 | 08/09/11 | 831.80 | 102 02 |
| METLIFE INCORPORATED | MET | 4.000 | 03/10/09 | 59.96 | 04/26/11 | 179.25 | 119.29 |
| | MET | 17 000 | 04/24/09 | 488.86 | 04/26/11 | 761.81 | 272.95 |
| | Totals | | | $548.82 | | $941.06 | $392.24 |
| MFA FINANCIAL INC | MFA | 64 000 | 09/03/09 | 491.07 | 02/07/11 | 529.40 | 38.33 |
| | MFA | 106 000 | 09/03/09 | 813 34 | 09/12/11 | 739.86 | (73 48) |
| | MFA | 18.000 | 09/29/09 | 142 28 | 09/12/11 | 125.64 | (16 64) |
| | MFA | 67 000 | 09/29/09 | 529 59 | 09/22/11 | 458 28 | (71 31) |
| | MFA | 116 000 | 12/10/09 | 867.27 | 09/22/11 | 793.45 | (73 82) |
| | Totals | | | $2,843.55 | | $2,646 63 | $(196.92) |
| MC GRAW HILL COS INC | MHP | 1.000 | 05/18/10 | 29.11 | 10/25/11 | 43.88 | 14.77 |
| | MHP | 15.000 | 05/18/10 | 436.64 | 08/01/11 | 621.74 | 185.10 |
| | MHP | 33 000 | 05/18/10 | 960.61 | 09/23/11 | 1,415.79 | 455.18 |
| | MHP | 28.000 | 06/04/10 | 765.39 | 10/25/11 | 1,228.54 | 463 15 |
| | MHP | 22.000 | 07/06/10 | 607 68 | 10/25/11 | 965.27 | 357 59 |
| | Totals | | | $2,799.43 | | $4,275.22 | $1,475.79 |
| MILLICOM INTL CELLULAR SA NEW | MIICF | 25 000 | 03/11/09 | 961.23 | 05/25/11 | 2,606.83 | 1,645 60 |
| 3M COMPANY | MMM | 68.000 | 01/22/10 | 5,607 06 | 08/22/11 | 5,230.19 | (376.87) |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| MERCK & CO INC NEW COM | MRK | 19.000 | 11/06/09 | - | 03/14/11 | $612.73 | _ |
| | MRK | 24.000 | 11/06/09 | - | 06/16/11 | 842.88 | _ |
| | Totals | | | - | | $1,455.61 | $0.00 |
| MUENCHENER RUECK-UNSPONS ADR | MURGY | 89.000 | 12/10/09 | 1,371.49 | 06/03/11 | 1,343.62 | $(27.87) |
| NATL AUST BK LTD SPNS ADR | NABZY | 27 000 | 12/10/09 | 700.65 | 02/02/11 | 666.34 | (34.31) |
| NATL GRID TRANSCO PLC ADS | NGG | 7.000 | 12/10/09 | 367.85 | 04/29/11 | 359.21 | (8.64) |
| NII HOLDINGS INC CL B | NIHD | 34.000 | 12/10/09 | 1,069.13 | 12/15/11 | 669.40 | (399.73) |
| NIDEC CORP | NJ | 13.000 | 12/10/09 | 296.86 | 04/08/11 | 262 28 | (34.58) |
| | NJ | 46.000 | 12/10/09 | 1,050.43 | 05/31/11 | 1,016 70 | (33.73) |
| | Totals | | | $1,347 29 | | $1,278.98 | $(68 31) |
| ANNALY CAPITAL MNGMT INC | NLY | 125.000 | 03/11/09 | 1,695.98 | 09/23/11 | 2,179 15 | 483.17 |
| NORDEA NK SWEDEN AB (PUBL) ADR | NRBAY | 67 000 | 12/10/09 | 696 80 | 02/02/11 | 806 66 | 109 86 |
| NESTLE SPON ADR REP REG SHR | NSRGY | 1 000 | 03/10/09 | 31 62 | 12/13/11 | 54 76 | 23.14 |
| | NSRGY | 2.000 | 03/10/09 | 63.24 | 12/13/11 | 109 53 | 46 29 |
| | NSRGY | 6.000 | 03/10/09 | 189 72 | 12/13/11 | 328.60 | 138 88 |
| | NSRGY | 6 000 | 03/10/09 | 189 72 | 09/01/11 | 375 33 | 185.61 |
| | NSRGY | 11 000 | 03/10/09 | 347.82 | 01/20/11 | 593.92 | 246.10 |
| | NSRGY | 4.000 | 03/11/09 | 126 60 | 06/16/11 | 245.83 | 119.23 |
| | NSRGY | 7.000 | 03/11/09 | 221 20 | 03/11/11 | 388.49 | 167 29 |
| | NSRGY | 7 000 | 03/11/09 | 221 20 | 06/16/11 | 430.21 | 209.01 |
| | NSRGY | 12 000 | 03/11/09 | 379 20 | 01/24/11 | 671.14 | 291.94 |
| | NSRGY | 30 000 | 03/11/09 | 949 50 | 05/06/11 | 1,836 35 | 886 85 |
| | Totals | | | $2,719 82 | | $5,034 16 | $2,314.34 |
| NORTHERN TRUST CORP | NTRS | 29 000 | 12/10/09 | 1,391.42 | 02/10/11 | 1,506.99 | 115.57 |
| NORTHEAST UTILITIES | NU | 9 000 | 12/10/09 | 221.92 | 08/01/11 | 308.64 | 86.72 |
| NOVO NORDISK A/S ADR | NVO | 1.000 | 07/21/09 | 56.91 | 08/04/11 | 112.63 | 55.72 |
| | NVO | 5.000 | 07/21/09 | 284.54 | 02/25/11 | 614.01 | 329.47 |
| | Totals | | | $341.45 | | $726.64 | $385.19 |
| NOVARTIS AG ADR | NVS | 1 000 | 03/11/09 | 34.09 | 12/21/11 | 56.13 | 22.04 |
| | NVS | 5 000 | 03/11/09 | 170 45 | 12/21/11 | 280.65 | 110.20 |
| | NVS | 7 000 | 03/11/09 | 238.63 | 12/21/11 | 392.91 | 154.28 |
| | Totals | | | $443.17 | | $729.69 | $286.52 |
| NORTHWESTERN CORPORATION | NWE | 7.000 | 12/10/09 | 178.79 | 08/01/11 | 224.91 | 46.12 |

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | NWE | 20 000 | 12/10/09 | $510.84 | 03/16/11 | $573.00 | $62.16 |
| | Totals | | | $689.63 | | $797.91 | $108.28 |
| CORPORATE OFFICES PPTY TR INC | OFC | 34.000 | 03/10/09 | 764.72 | 09/20/11 | 867.02 | 102.30 |
| OMNICOM GROUP | OMC | 34 000 | 04/27/10 | 1,452.72 | 09/15/11 | 1,350.26 | (102.46) |
| | OMC | 18 000 | 05/17/10 | 735 76 | 09/15/11 | 714 84 | (20 92) |
| | Totals | | | $2,188.48 | | $2,065 10 | $(123 38) |
| O'REILLY AUTOMOTIVE INC NEW | ORLY | 16.000 | 12/10/09 | 602 05 | 04/15/11 | 900 52 | 298.47 |
| PETROLEO BRAS SA ADS | PBR | 43 000 | 03/11/09 | 1,225.84 | 07/08/11 | 1,441.91 | 216 07 |
| PACCAR INC | PCAR | 27.000 | 10/27/09 | 1,019.47 | 01/31/11 | 1,513 63 | 494 16 |
| | PCAR | 16 000 | 12/10/09 | 588 80 | 01/31/11 | 896.96 | 308 16 |
| | Totals | | | $1,608 27 | | $2,410.59 | $802.32 |
| PG&E CORPORATION | PCG | 18.000 | 10/20/09 | 769 69 | 03/14/11 | 801 17 | 31 48 |
| PEPSICO INC NC | PEP | 6 000 | 03/10/09 | 278.99 | 12/13/11 | 389.28 | 110.29 |
| | PEP | 11 000 | 03/10/09 | 511.48 | 10/21/11 | 682.58 | 171.10 |
| | PEP | 8.000 | 04/24/09 | 385 55 | 12/13/11 | 519.05 | 133.50 |
| | Totals | | | $1,176.02 | | $1,590 91 | $414 89 |
| PROGRESS ENERGY INC | PGN | 10 000 | 03/11/09 | 318 90 | 08/01/11 | 473.00 | 154.10 |
| KONINKLIJKE PHIL EL SP ADR NEW | PHG | 10 000 | 12/10/09 | 293 50 | 06/28/11 | 241.23 | (52 27) |
| PHILIPPINE LG DIST TEL SPN ADR | PHI | 40 000 | 12/10/09 | 2,278 80 | 03/18/11 | 1,849.20 | (429.60) |
| PNC FINL SVCS GP | PNC | 23.000 | 04/24/09 | 986 32 | 12/13/11 | 1,260.76 | 274.44 |
| | PNC | 44.000 | 04/24/09 | 1,886 87 | 10/21/11 | 2,368.49 | 481.62 |
| | Totals | | | $2,873 19 | | $3,629 25 | $756 06 |
| PORTLAND GENERAL ELEC CO | POR | 44 000 | 12/10/09 | 919 49 | 01/20/11 | 969 45 | 49 96 |
| PROASSURANCE CP | PRA | 25 000 | 12/10/09 | 1,344 00 | 03/17/11 | 1,536.93 | 192 93 |
| PREMIER FOODS PLC UNSPONS ADR | PRRFY | 99 000 | 12/10/09 | 558.36 | 10/11/11 | 70 16 | (488.20) |
| | PRRFY | 128 000 | 04/29/10 | 523.52 | 10/11/11 | 90.71 | (432 81) |
| | PRRFY | 130 000 | 09/22/10 | 366 60 | 10/11/11 | 92 13 | (274 47) |
| | Totals | | | $1,448.48 | | $253.00 | $(1,195.48) |
| PRUDENTIAL FINANCIAL INC | PRU | 21.000 | 05/19/09 | 904 47 | 04/26/11 | 1,291.76 | 387.29 |
| | PRU | 23.000 | 05/19/09 | 990.61 | 12/13/11 | 1,126.13 | 135.52 |
| | Totals | | | $1,895.08 | | $2,417 89 | $522.81 |
| PEARSON PLC SP ADR | PSO | 16.000 | 12/10/09 | 226 08 | 09/30/11 | 283.76 | 57.68 |
| | PSO | 21.000 | 12/10/09 | 296.73 | 03/18/11 | 359.98 | 63.25 |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | Totals | | | $522.81 | | $643.74 | $120.93 |
| PORTUGAL TELECOM SGPS SA | PT | 4.000 | 12/10/09 | $48.51 | 08/01/11 | $33.75 | $(14.76) |
| | PT | 26 000 | 12/10/09 | 315.30 | 10/05/11 | 179.12 | (136.18) |
| | Totals | | | $363.81 | | $212.87 | $(150.94) |
| ROGERS COMM INC CL B (BC) | RCI | 11 000 | 02/04/10 | 338 04 | 02/22/11 | 381.77 | 43.73 |
| REPSOL YPF SA ADR | REPYY | 6 000 | 12/10/09 | 161 58 | 10/17/11 | 179.69 | 18.11 |
| ROCHE HOLDINGS ADR | RHHBY | 23 000 | 03/11/09 | 704 03 | 02/02/11 | 868.20 | 164.17 |
| | RHHBY | 23 000 | 03/11/09 | 704.03 | 02/08/11 | 843 90 | 139.87 |
| | Totals | | | $1,408.06 | | $1,712.10 | $304.04 |
| RESMED INC | RMD | 11.000 | 06/24/09 | 215 13 | 05/31/11 | 352 01 | 136 88 |
| ROLLS ROYCE HOLDINGS PLC | RYCEY | 4 000 | 12/10/09 | 156 72 | 09/23/11 | 181.35 | 24.63 |
| | RYCEY | 6 000 | 12/10/09 | 235 08 | 01/24/11 | 300.89 | 65 81 |
| | Totals | | | $391.80 | | $482.24 | $90 44 |
| SAP AG | SAP | 5.000 | 03/11/09 | 168 65 | 03/25/11 | 304.30 | 135 65 |
| | SAP | 16 000 | 03/11/09 | 539.68 | 12/22/11 | 848.36 | 308.68 |
| | Totals | | | $708.33 | | $1,152.66 | $444 33 |
| SCANA CORP NEW | SCG | 6.000 | 03/11/09 | 158.88 | 08/26/11 | 233.48 | 74 60 |
| SINGAPORE TELECOM LTD ADR NEW | SGAPY | 7.000 | 12/10/09 | 150.85 | 09/09/11 | 176 67 | 25.82 |
| SAGE GRP ADR | SGPYY | 46 000 | 12/10/09 | 696 44 | 05/06/11 | 838.56 | 142.12 |
| SHAW GROUP INCORPORATED | SHAW | 21.000 | 03/02/10 | 735 82 | 03/23/11 | 711 78 | (24.04) |
| SHARP CORPORATION A D R | SHCAY | 126 000 | 12/10/09 | 1,554 84 | 06/15/11 | 1,117.73 | (437.11) |
| SHIRE PLC ADR | SHPGY | 6 000 | 12/10/09 | 338.95 | 09/08/11 | 580.99 | 242 04 |
| | SHPGY | 6 000 | 12/10/09 | 338 95 | 05/13/11 | 573.13 | 234 18 |
| | SHPGY | 7 000 | 12/10/09 | 395.44 | 04/20/11 | 645.50 | 250.06 |
| | SHPGY | 8 000 | 12/10/09 | 451.94 | 07/01/11 | 752 37 | 300 43 |
| | Totals | | | $1,525.28 | | $2,551.99 | $1,026.71 |
| SIEMENS AKTIENGESELLSCHAFT | SI | 3 000 | 12/10/09 | 270 48 | 03/11/11 | 380.58 | 110.10 |
| | SI | 3.000 | 12/10/09 | 270 48 | 03/17/11 | 376.68 | 106.20 |
| | SI | 5.000 | 12/10/09 | 450.80 | 01/24/11 | 624.49 | 173.69 |
| | Totals | | | $991.76 | | $1,381 75 | $389 99 |
| SMUCKER JM CO COM NEW | SJM | 6 000 | 12/15/09 | 363.41 | 05/18/11 | 459.33 | 95.92 |
| | SJM | 11.000 | 12/15/09 | 666 26 | 08/01/11 | 853.29 | 187.03 |
| | Totals | | | $1,029.67 | | $1,312 62 | $282.95 |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| SCHLUMBERGER LTD | SLB | 16.000 | 03/11/09 | $619 79 | 08/01/11 | $1,444.70 | $824 91 |
| SOLERA HOLDINGS INC | SLH | 10 000 | 12/10/09 | 356.58 | 08/01/11 | 560.14 | 203.56 |
| STAPLES INC | SPLS | 53.000 | 03/10/09 | 830.92 | 03/14/11 | 1,066.01 | 235.09 |
| | SPLS | 12 000 | 12/10/09 | 291 00 | 03/14/11 | 241.36 | (49 64) |
| | Totals | | | $1,121.92 | | $1,307.37 | $185.45 |
| STERICYCLE INC | SRCL | 7 000 | 12/10/09 | 403 34 | 05/31/11 | 620.23 | 216.89 |
| SOUTHWESTERN ENERGY COMPANY | SWN | 1.000 | 12/10/09 | 41.87 | 08/24/11 | 37.06 | (4.81) |
| | SWN | 3 000 | 12/10/09 | 125 62 | 08/23/11 | 111.21 | (14 41) |
| | SWN | 7 000 | 12/10/09 | 293.12 | 08/01/11 | 306 65 | 13 53 |
| | Totals | | | $460.61 | | $454 92 | $(5.69) |
| SUEZ ENVIRONNEMENT UNSPON ADR | SZEVY | 59 000 | 12/10/09 | 693.25 | 05/05/11 | 654 29 | (38.96) |
| TERADATA CORP | TDC | 6 000 | 12/10/09 | 182 94 | 10/27/11 | 359 15 | 176 21 |
| TELEFONICA SA ADR | TEF | 10.000 | 03/11/09 | 181 40 | 02/25/11 | 250.81 | 69.41 |
| TEVA PHARMACEUTICALS ADR | TEVA | 1 000 | 03/11/09 | 42.94 | 08/23/11 | 39 40 | (3.54) |
| | TEVA | 11 000 | 03/11/09 | 472.32 | 02/08/11 | 573 71 | 101 39 |
| | Totals | | | $515.26 | | $613.11 | $97 85 |
| TARGET CORPORATION | TGT | 25.000 | 07/22/09 | 1,027 57 | 04/04/11 | 1,248.90 | 221.33 |
| | TGT | 3 000 | 08/05/09 | 125 14 | 04/04/11 | 149 87 | 24.73 |
| | TGT | 23 000 | 08/05/09 | 959 41 | 12/13/11 | 1,224.89 | 265.48 |
| | TGT | 2.000 | 09/28/09 | 95.56 | 12/13/11 | 106.51 | 10.95 |
| | TGT | 3 000 | 12/10/09 | 137.13 | 12/13/11 | 159 77 | 22 64 |
| | Totals | | | $2,344 81 | | $2,889.94 | $545 13 |
| TREEHOUSE FOODS INC | THS | 9 000 | 07/12/10 | 427 74 | 10/27/11 | 573.65 | 145.91 |
| TJX COS INC NEW | TJX | 16 000 | 03/10/09 | 370.85 | 08/24/11 | 883.73 | 512.88 |
| | TJX | 23.000 | 03/10/09 | 533.10 | 08/01/11 | 1,258 39 | 725 29 |
| | Totals | | | $903.95 | | $2,142.12 | $1,238.17 |
| TELEKOM AUSTRIA A G SPONS ADR | TKAGY | 7.000 | 12/10/09 | 208 60 | 10/12/11 | 158.19 | (50.41) |
| TALISMAN ENERGY INC | TLM | 50 000 | 03/11/09 | 474.40 | 07/11/11 | 963.73 | 489 33 |
| TOYOTA MOTOR CP ADR NEW | TM | 5 000 | 03/11/09 | 296.85 | 12/12/11 | 332.34 | 35 49 |
| TREND MICRO INC SPON ADR NEW | TMICY | 32.000 | 12/10/09 | 1,235.20 | 06/29/11 | 993.36 | (241.84) |
| TOTAL FINA ELF SA | TOT | 5 000 | 12/10/09 | 313.70 | 02/25/11 | 300.44 | (13.26) |
| T ROWE PRICE GROUP INC | TROW | 9 000 | 03/10/09 | 207.45 | 03/10/11 | 579.52 | 372.07 |
| TRAVELERS COMPANIES INC COM | TRV | 21 000 | 03/10/09 | 735.14 | 02/22/11 | 1,276.30 | 541.16 |

MorganStanley
SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| TESCO PLC SPONSORED ADR | TSCDY | 30.000 | 03/11/09 | $391.50 | 04/20/11 | $583 97 | $192 47 |
| TAIWAN SMCNDCTR MFG CO LTD ADR | TSM | 17.000 | 12/10/09 | 182.89 | 03/25/11 | 209.13 | 26 24 |
| | TSM | 31 000 | 12/10/09 | 333.50 | 07/14/11 | 381.78 | 48 28 |
| | Totals | | | $516.39 | | $590 91 | $74.52 |
| GRUPO TELEVISA S.A GLOBAL DEP | TV | 16 000 | 12/10/09 | 335.32 | 04/08/11 | 366.91 | 31.59 |
| TIME WARNER CABLE INC NEW | TWC | 10 000 | 03/20/09 | 255.29 | 01/14/11 | 654.29 | 399 00 |
| | TWC | 14 000 | 03/20/09 | 357.41 | 03/18/11 | 957.47 | 600 06 |
| | TWC | 24.000 | 03/20/09 | 612.70 | 03/30/11 | 1,703 60 | 1,090.90 |
| | Totals | | | $1,225 40 | | $3,315.36 | $2,089.96 |
| TYCO INTERNATIONAL LTD NEW | TYC | 29 000 | 10/27/09 | 997 06 | 02/23/11 | 1,300 01 | 302 95 |
| | TYC | 15.000 | 12/10/09 | 540.45 | 02/23/11 | 672 42 | 131 97 |
| | Totals | | | $1,537 51 | | $1,972 43 | $434.92 |
| UNILEVER NV NY SH NEW | UN | 12.000 | 03/11/09 | 215 75 | 12/02/11 | 397.85 | 182.10 |
| | UN | 24.000 | 03/11/09 | 431 51 | 10/03/11 | 752.05 | 320.54 |
| | Totals | | | $647 26 | | $1,149.90 | $502.64 |
| UNITEDHEALTH GP INC | UNH | 7 000 | 05/06/09 | 179 96 | 08/26/11 | 318.95 | 138 99 |
| ULTRA PETROLEUM CORP | UPL | 8 000 | 03/11/09 | 263.04 | 09/12/11 | 253.41 | (9 63) |
| | UPL | 16 000 | 03/11/09 | 526 08 | 08/01/11 | 740.30 | 214 22 |
| | Totals | | | $789 12 | | $993.71 | $204 59 |
| UNITED PARCEL SERVICE INC CL-B | UPS | 2.000 | 08/05/10 | 134 66 | 08/24/11 | 128.59 | (6 07) |
| U S BANCORP COM NEW | USB | 10.000 | 05/06/09 | 202 03 | 08/26/11 | 222.35 | 20 32 |
| | USB | 36 000 | 05/06/09 | 727.31 | 04/26/11 | 900.66 | 173 35 |
| | USB | 3 000 | 09/28/09 | 66.26 | 08/26/11 | 66.70 | 0 44 |
| | USB | 21.000 | 09/28/09 | 463.84 | 10/21/11 | 531.71 | 67.87 |
| | USB | 5 000 | 12/10/09 | 116.40 | 10/21/11 | 126.60 | 10.20 |
| | USB | 39 000 | 01/05/10 | 912.20 | 10/21/11 | 987.46 | 75.26 |
| | USB | 27 000 | 03/18/10 | 702.16 | 10/21/11 | 683.63 | (18.53) |
| | Totals | | | $3,190.20 | | $3,519.11 | $328.91 |
| VALSPAR CORP | VAL | 58.000 | 12/10/09 | 1,574 00 | 06/22/11 | 2,069.29 | 495.29 |
| VINCI SA ADR | VCISY | 17.000 | 12/10/09 | 243 10 | 06/07/11 | 264.34 | 21.24 |
| VALMONT INDUSTRIES | VMI | 15.000 | 12/10/09 | 1,203.30 | 03/31/11 | 1,553.28 | 349.98 |
| VORNADO REALTY TR S B I | VNO | 24 000 | 10/20/09 | 1,481 64 | 02/22/11 | 2,140.73 | 659.09 |
| | VNO | 3 000 | 12/10/09 | 206 25 | 02/22/11 | 267.59 | 61.34 |

MorganStanley SmithBarney

# 2011 Realized Gain/Loss - Detail

As of 05/03/2012

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN
42 TUCKAHOE RD
EASTON CT 06612-2054

Prepared by The Saugatuck Group
Ph. 203 222 4040

Acct. 759-019935-028

| Description | Symbol/CUSIP | Quantity | Purchase | Cost Basis | Sold | Net Proceeds | Gain/Loss |
|---|---|---|---|---|---|---|---|
| | Totals | | | $1,687.89 | | $2,408.32 | $720 43 |
| VODAFONE GP PLC ADS NEW | VOD | 30.000 | 12/10/09 | $689.36 | 05/04/11 | $843.63 | $154 27 |
| VOLVO AB ADR B | VOLVY | 1.000 | 12/15/10 | 16.25 | 12/21/11 | 10.50 | (5.75) |
| | VOLVY | 48 000 | 12/15/10 | 779.78 | 12/21/11 | 503.76 | (276.02) |
| | Totals | | | $796.03 | | $514.26 | $(281.77) |
| WELLS FARGO & CO NEW | WFC | 7.000 | 03/10/09 | 80.54 | 08/26/11 | 170.96 | 90.42 |
| WEATHERFORD INTERNATIONAL LTD | WFT | 16 000 | 04/29/10 | 293.13 | 10/04/11 | 176.79 | (116.34) |
| | WFT | 33 000 | 04/29/10 | 604.57 | 08/10/11 | 534.75 | (69.82) |
| | Totals | | | $897 70 | | $711.54 | $(186.16) |
| WASTE MGMT INC (DELA) | WM | 11 000 | 03/10/09 | 251.34 | 06/16/11 | 400 75 | 149.41 |
| | WM | 25.000 | 03/10/09 | 571 23 | 02/10/11 | 954 56 | 383.33 |
| | WM | 27 000 | 04/24/09 | 724.62 | 06/16/11 | 983 66 | 259.04 |
| | WM | 5 000 | 12/10/09 | 165 25 | 06/16/11 | 182.16 | 16 91 |
| | Totals | | | $1,712 44 | | $2,521 13 | $808 69 |
| WAL MART STORES INC | WMT | 14 000 | 03/10/09 | 681.63 | 06/16/11 | 739.98 | 58 35 |
| | WMT | 18 000 | 03/10/09 | 876.38 | 02/23/11 | 958 27 | 81 89 |
| | WMT | 2 000 | 12/10/09 | 109 44 | 06/16/11 | 105.71 | (3 73) |
| | WMT | 4 000 | 12/10/09 | 218.88 | 08/08/11 | 199.22 | (19.66) |
| | WMT | 10 000 | 06/09/10 | 510.47 | 08/08/11 | 498 04 | (12 43) |
| | WMT | 5 000 | 06/17/10 | 256.15 | 08/08/11 | 249.02 | (7 13) |
| | WMT | 6 000 | 06/17/10 | 307.39 | 12/13/11 | 347.05 | 39 66 |
| | WMT | 13.000 | 07/13/10 | 652 97 | 12/13/11 | 751.95 | 98.98 |
| | WMT | 13.000 | 07/27/10 | 664.46 | 12/13/11 | 751.95 | 87.49 |
| | Totals | | | $4,277.77 | | $4,601 19 | $323.42 |
| WOLSELEY PLC ADR | WOSYY | 261 000 | 12/10/09 | 522.00 | 03/11/11 | 869.11 | 347.11 |
| UNITED STS STL CP (NEW) | X | 37 000 | 12/10/09 | 1,703.74 | 05/06/11 | 1,684.74 | (19.00) |
| EXXON MOBIL CORP | XOM | 10.000 | 03/10/09 | 668 90 | 06/16/11 | 790.90 | 122.00 |
| XEROX CORP | XRX | 60.000 | 03/11/09 | 508 50 | 08/05/11 | 516.20 | 7.70 |
| **Long Term Totals:** | | | | **$260,431.96** | | **$331,730.46** | **$69,842.89** |
| **2011 Short & Long Term Totals:** | | | | **$374,602.05** | | **$444,237.29** | **~~$68,046.72~~** 69635.24 |

Klein Family Foundation Inc.

Investment Detail

| | Stocks | Municipal Bonds | Corporate Fixed Income | Government Securities | Mutual Funds | Total Securities |
|---|---|---|---|---|---|---|
| Cost: | | | | | | |
| Morgan Stanley #020600 | 260,699.28 | | 121,296.95 | 285,297.37 | 681,021.11 | 1,348,314.71 |
| Morgan Stanley #019935 | 1,592,897.80 | | | | 78,702.81 | 1,671,600.61 |
| Basis adjustment | (629.94) | | | | | (629.94) |
| Morgan Stanley #019928 | 38,636.35 | 269,999.03 | 1,015,173.09 | 42,309.75 | 258,350.76 | 1,624,468.98 |
| Total | 1,891,603.49 | 269,999.03 | 1,136,470.04 | 327,607.12 | 1,018,074.68 | 4,643,754.36 |
| Market: | | | | | | |
| Morgan Stanley #020600 | 307,248.52 | | 129,325.95 | 299,761.37 | 729,331.98 | 1,465,667.82 |
| Morgan Stanley #019935 | 1,828,676.42 | | | | 130,734.53 | 1,959,410.95 |
| Morgan Stanley #019928 | 38,175.00 | 278,856.35 | 1,000,025.65 | 43,753.49 | 241,506.24 | 1,602,316.73 |
| Total | 2,174,099.94 | 278,856.35 | 1,129,351.60 | 343,514.86 | 1,101,572.75 | 5,027,395.50 |

# Holdings

**Active Assets Account**
**759-019928-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

*This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month Please see the "Unsettled Purchases/Sales Activity" section for more information*
*The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market See "Pricing of Securities" in the Disclosures section at the end of this statement Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date*
*Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates Estimated yield reflects only the income generated by an investment It does not reflect changes in its price, which may fluctuate*
*Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column If you hold structured products, please see "Special Considerations Regarding Structured Products" in the Disclosure section*
*New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011 These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns Please refer to the Disclosures section of this statement for additional information*

## CASH, DEPOSITS AND MONEY MARKET FUNDS

*Cash, Deposits and Money Market Funds are generally displayed on a settlement date basis However, Global Currency Deposits may include both settled and unsettled positions Estimated Annual Income, Accrued Interest and APY% will only be displayed for fully settled positions In the event, all or a portion of a Global Currency Deposit position is unsettled as of month end, this data will not be available*

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| CASH | $(5.00) | | | |
| **MORGAN STANLEY BANK N.A #** | **131,155.15** | 26 00 | — | 0.020 |

| | Percentage of Assets % | Market Value | Estimated Annual Income / Accrued Interest |
|---|---|---|---|
| CASH, DEPOSITS AND MONEY MARKET FUNDS | **7.5%** | **$131,150.15** | **$26.00** / **$0.00** |
| TOTAL CASH, DEPOSITS, MMFS | | $131,155 15 | |
| TOTAL CASH, DEPOSITS, MMFS (DEBIT) | | $(5 00) | |

*# Bank deposits are at Morgan Stanley Bank, N A and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney*
*Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement*

## STOCKS

### PREFERRED STOCKS

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **PUBLIC STORAGE SER-M 6.625 (PSA.M)** | 11/15/11 | 1,500.000 | $25.758 | $38,636 35 | **$38,175.00** | $(461 35) ST | $2,484.00 | 6 50 |

*Share Price $25 450, Moody BAA1 S&P BBB+, Next Dividend Payable 03/12*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| STOCKS | **2.2%** | **$38,636.35** | **$38,175.00** | **$(461.35) ST** | **$2,484.00** / **$0.00** | **6.51%** |

MorganStanley SmithBarney

# Holdings

**Active Assets Account**
**759-019928-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## MUNICIPAL BONDS

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| **NEW YORK CITY TRANS FIN AU FUTURE TAX SEC REV SUB SER-D-2** CUSIP 64971M7P1 | 3/1/11 | 25,000 000 | $100 254 / $100 227 | $25,063 50 / $25,056 74 | **$27,016.75** | $1,960.01 ST | $942 50 / $392 70 | 3 48 |
| *Unit Price $108 067, Coupon Rate 3 770%, Matures 02/01/18, Int Semi-Annually Feb/Aug 01, Yield to Maturity 2 339%, Callable Extraordinary, Subject to Federal Tax, Moody AA1 S&P AAA, Issued 02/10/11* | | | | | | | | |
| **MONTGOMERY CNTY MD REV CTFS LTD OBLIG-A** CUSIP 61336PBT7 | 9/28/10 | 25,000 000 | 110 397 / 109 237 | 27,599.25 / 27,309.36 | **27,891.50** | 582 14 LT | 1,250 00 / 208 33 | 4 48 |
| *Unit Price $111 566, Coupon Rate 5 000%, Matures 05/01/22, Int Semi-Annually May/Nov 01, Callable $100 00 on 05/01/20, Yield to Call 3 394%, Subject to Federal Tax, Moody AA1 S&P AA+, Issued 04/22/10* | | | | | | | | |
| **WESTCHESTER CNTY N Y GENL OBLIG-C-2 BABDP** CUSIP 95736UVV3 | 12/12/11 | 55,000 000 | 110.602 / 110.545 | 60,831.05 / 60,800 02 | **62,019.10** | 1,219 08 ST | 2,640 00 / 219 99 | 4 25 |
| *Unit Price $112 762, Coupon Rate 4 800%, Matures 06/01/22, Int Semi-Annually Jun/Dec 01, Callable $100 00 on 06/01/19, Yield to Call 2 877%, Subject to Federal Tax, Moody AAA S&P AAA, Issued 02/17/10* | | | | | | | | |
| **ILLINOIS ST GENERAL OBLIGATION** CUSIP 452151LE1 | 9/28/10 | 25,000 000 | 98.523 / 98 523 | 24,630 75 / 24,630 75 | **24,368.25** | (262 50) LT | 1,237 50 / 103 12 | 5 07 |
| *Unit Price $97 473, Coupon Rate 4 950%, Matures 06/01/23; Int Semi-Annually Jun/Dec 01, Yield to Maturity 5 247%, Subject to Federal Tax; Moody A1 S&P A+, Issued 06/12/03* | | | | | | | | |
| **NEW YORK N Y SER-G1 BUILD AMERICA BOND** CUSIP 64966HYG9 | 7/30/10 | 25,000.000 | 107.252 / 106 690 | 26,813 00 / 26,672.41 | **28,187.00** | 1,514 59 LT | 1,331 00 / 443 66 | 4 72 |
| *Unit Price $112 748, Coupon Rate 5 324%, Matures 03/01/24, Int Semi-Annually Mar/Sep 01, Yield to Maturity 3 991%, Callable Extraordinary, Subject to Federal Tax, Moody AA2 S&P AA, Issued 03/30/10* | | | | | | | | |
| **PENNSYLVANIA ST BUILD AMERICA BOND** CUSIP 70914PPJ5 | 12/30/10 | 25,000 000 | 102 452 / 102 245 | 25,613 00 / 25,561 15 | **27,635.75** | 2,074 60 LT | 1,262 50 / 582 15 | 4 56 |
| *Unit Price $110 543, Coupon Rate 5 050%, Matures 07/15/24, Int Semi-Annually Jan/Jul 15, Callable $100 00 on 07/15/20, Yield to Call 3 604%, Subject to Federal Tax, Moody AA1, Issued 12/23/10* | | | | | | | | |
| **OREGON ST GENL OBLIG DEPT ENERGY SER-B** CUSIP 68608KF94 | 8/6/10 | 25,000 000 | 104 641 / 104 078 | 26,160 25 / 26,019 58 | **26,486.75** | 467 17 LT | 1,175 00 / 293 75 | 4 43 |
| *Unit Price $105 947, Coupon Rate 4 700%, Matures 04/01/25, Int Semi-Annually Apr/Oct 01, Callable $100 00 on 04/01/20, Yield to Call 3 851%, Subject to Federal Tax, Moody AA1 S&P AA+, Issued 07/29/10* | | | | | | | | |

CONTINUED

# Holdings

Active Assets Account 759-019928-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## MUNICIPAL BONDS (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| **FLORIDA ST BRD ED PUB ED CAP O UTLAY** | 5/31/11 | 25,000 000 | 106.701 | 26,675.25 | | | 1,300 00 | 4 86 |
| **SER-G BUILD AMERICA BOND** | | | 106.287 | 26,571.83 | **26,731.75** | 159 92 ST | 108.33 | |
| CUSIP 34153PRU4 | | | | | | | | |
| *Unit Price $106 927, Coupon Rate 5 200%, Matures 06/01/25, Int Semi-Annually Jun/Dec 01, Callable $100 00 on 06/01/19, Yield to Call 4 107%, Subject to Federal Tax, Moody AA1 S&P AAA, Issued 02/11/10* | | | | | | | | |
| **SAN FRANCISCO CALIF CITY & CNTY GENL** | 7/30/10 | 25,000.000 | 110.214 | 27,553 50 | | | 1,362 50 | 4 77 |
| **OBLIG BUILD AMERICA** | | | 109 509 | 27,377 19 | **28,519.50** | 1,142 31 LT | 60 55 | |
| CUSIP 797646NP7 | | | | | | | | |
| *Unit Price $114 078, Coupon Rate 5 450%, Matures 06/15/25, Int Semi-Annually Jun/Dec 15, Yield to Maturity 4 080%, Callable Extraordinary, Subject to Federal Tax, Moody AA2 S&P AA, Issued 03/24/10* | | | | | | | | |

| | Percentage of Assets % | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| MUNICIPAL BONDS | | **$270,939.55** | | | **$12,501.00** | **4.48%** |
| | | **$269,999.03** | **$278,856.35** | **$5,518.31 LT** | **$2,412.58** | |
| | | | | **$3,339.01 ST** | | |
| TOTAL MUNICIPAL BONDS (incl.accr.int.) | **16.1%** | | **$281,268.93** | | | |

## CORPORATE FIXED INCOME

### CORPORATE BONDS

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| **AMERICAN EXPRESS** | 7/8/10 | 50,000 000 | $109 978 | $54,989 00 | | | $2,937 50 | 5 58 |
| CUSIP 0258M0CW7 | | | $104 829 | $52,414 65 | **$52,557.50** | $142 85 LT | $481 42 | |
| *Unit Price $105 115, Coupon Rate 5 875%, Matures 05/02/13, Int Semi-Annually May/Nov 02, Yield to Maturity 1 975%, Moody A2 S&P BBB+, Issued 06/02/08* | | | | | | | | |
| **FORD MOTOR CREDIT CO LLC** | 7/21/10 | 35,000 000 | 107 017 | 37,456 00 | | | 2,800 00 | 7 34 |
| CUSIP 345397VJ9 | | | 104.587 | 36,605 41 | **38,096.45** | 1,491 04 LT | 233 33 | |
| *Unit Price $108 847, Coupon Rate 8 000%, Matures 06/01/14, Int Semi-Annually Jun/Dec 01, Yield to Maturity 4 114%, Moody BA1 S&P BB+, Issued 06/02/09* | | | | | | | | |
| **JP MORGAN CHASE & CO** | 7/8/10 | 50,000.000 | 108 313 | 54,156.50 | | | 2,562.50 | 4.86 |
| CUSIP 46625HBV1 | | | 105.505 | 52,752.28 | **52,715.00** | (37.28) LT | 754 51 | |
| *Unit Price $105 430, Coupon Rate 5 125%, Matures 09/15/14, Int Semi-Annually Mar/Sep 15, Yield to Maturity 3 018%, Moody A1 S&P A-, Issued 09/15/04* | | | | | | | | |
| **WELLS FARGO & COMPANY** | 9/3/10 | 25,000 000 | 108 946 | 27,236.50 | | | 1,250.00 | 4.67 |
| CUSIP 949746CR0 | | | 106.248 | 26,561 98 | **26,750.75** | 188.77 LT | 159 72 | |
| *Unit Price $107 003, Coupon Rate 5 000%, Matures 11/15/14, Int Semi-Annually May/Nov 15, Yield to Maturity 2 459%, Moody A3 S&P A, Issued 11/06/02* | | | | | | | | |

CONTINUED

# Holdings

**Active Assets Account**
**759-019928-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## CORPORATE FIXED INCOME

**CORPORATE BONDS** (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| **FORD MOTOR CREDIT CO LLC** | 4/26/11 | 35,000 000 | 108.017 | 37,806 00 | | | 1,968 75 | 5 43 |
| CUSIP 345397VQ3 | | | 106.864 | 37,402 24 | **36,223.25** | (1,178 99) ST | 579 68 | |
| *Unit Price $103 495, Coupon Rate 5 625%, Matures 09/15/15, Int Semi-Annually Mar/Sep 15, Yield to Maturity 4 586%, Moody BA1 S&P BB+, Issued 09/21/10* | | | | | | | | |
| **PITNEY BOWES INC** | 11/8/11 | 25,000 000 | 106.604 | 26,651.00 | | | 1,187 50 | 4.62 |
| CUSIP 72447XAA5 | | | 106.409 | 26,602 14 | **25,702.50** | (899 64) ST | 547 56 | |
| *Unit Price $102 810, Coupon Rate 4 750%, Matures 01/15/16, Int Semi-Annually Jan/Jul 15, Yield to Maturity 3 989%, Moody A2 S&P BBB+, Issued 07/13/05* | | | | | | | | |
| **KRAFT FOODS INC** | 10/4/11 | 35,000 000 | 108 440 | 37,954 05 | | | 1,443 75 | 3 79 |
| CUSIP 50075NBB9 | | | 108 004 | 37,801 45 | **38,000.55** | 199 10 ST | 569.47 | |
| *Unit Price $108 573, Coupon Rate 4 125%, Matures 02/09/16, Int Semi-Annually Feb/Aug 09, Yield to Maturity 1 942%, Moody BAA2 S&P BBB-, Issued 02/08/10* | | | | | | | | |
| **HOME DEPOT INC SR NOTES** | 7/19/10 | 50,000 000 | 113 099 | 56,549 50 | | | 2,700 00 | 4.67 |
| CUSIP 437076AP7 | | | 109.925 | 54,962.69 | **57,748.50** | 2,785 81 LT | 899 99 | |
| *Unit Price $115 497, Coupon Rate 5 400%, Matures 03/01/16, Int Semi-Annually Mar/Sep 01, Yield to Maturity 1 545%, Moody A3 S&P A-, Issued 03/24/06* | | | | | | | | |
| **HEALTH CARE REIT, INC.** | 8/18/11 | 25,000.000 | 106.066 | 26,516.50 | | | 906.25 | 3.68 |
| CUSIP 42217KAV8 | | | 105.614 | 26,403 41 | **24,604.00** | (1,799.41) ST | 266.84 | |
| *Unit Price $98 416, Coupon Rate 3 625%, Matures 03/15/16, Int Semi-Annually Mar/Sep 15, Yield to Maturity 4 037%, Moody BAA2 S&P BBB-, Issued 03/14/11* | | | | | | | | |
| **INTL PAPER CO NT** | 12/22/10 | 25,000.000 | 107.725 | 26,931.25 | | | 1,312 50 | 4.83 |
| CUSIP 460146BZ5 | | | 106.352 | 26,587.93 | **27,163.25** | 575 32 LT | 328.12 | |
| *Unit Price $108 653, Coupon Rate 5 250%, Matures 04/01/16, Int Semi-Annually Apr/Oct 01, Yield to Maturity 3 062%, Moody BAA3 S&P BBB, Issued 03/18/04* | | | | | | | | |
| **BANK OF AMERICA** | 7/22/10 | 50,000 000 | 100 000 | 50,000 00 | | | 2,000 00 | 4 46 |
| CUSIP 06050WDE2 | | | 100.000 | 50,000.00 | **44,838.00** | (5,162 00) LT | 922 22 | |
| *Unit Price $89 676, Coupon Rate 4 000%, Matures 07/15/16, Int Semi-Annually Jan/Jul 15, Yield to Maturity 6 673%, Moody BAA1 S&P A-, Issued 07/29/10* | | | | | | | | |
| **ANHEUSER BUSCH COS INC** | 7/9/10 | 50,000.000 | 109.788 | 54,894 00 | | | 2,525 00 | 4.43 |
| CUSIP 035229CV3 | | | 107 670 | 53,835 17 | **56,947.50** | 3,112 33 LT | 533 05 | |
| *Unit Price $113 895, Coupon Rate 5 050%, Matures 10/15/16, Int Semi-Annually Apr/Oct 15, Yield to Maturity 1 993%, Moody BAA1 S&P A-, Issued 10/14/03* | | | | | | | | |
| **MORGAN STANLEY** | 12/22/10 | 25,000.000 | 105.267 | 26,316.75 | | | 1,362 50 | 5 66 |
| CUSIP 617446C23 | | | 104 480 | 26,120 06 | **24,069.00** | (2,051 06) LT | 650.97 | |
| *Unit Price $96 276, Coupon Rate 5 450%, Matures 01/09/17, Int Semi-Annually Jan/Jul 09, Yield to Maturity 6 327%, Moody A2 S&P A-, Issued 01/09/07* | | | | | | | | |
| **HARTFORD FINL SVCS GRP** | 8/23/11 | 25,000.000 | 105.135 | 26,283.75 | | | 1,343 75 | 5.34 |
| CUSIP 416515AT1 | | | 104 847 | 26,211 75 | **25,152.00** | (1,059 75) ST | 395 65 | |
| *Unit Price $100 608, Coupon Rate 5 375%, Matures 03/15/17, Int Semi-Annually Mar/Sep 15, Yield to Maturity 5 238%, Moody BAA3 S&P BBB, Issued 03/09/07* | | | | | | | | |

CONTINUED

# Holdings

Active Assets Account 759-019928-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## CORPORATE FIXED INCOME

### CORPORATE BONDS (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| **VIACOM INC** | 8/18/11 | 25,000.000 | 105.646 | 26,411.50 | | | 875 00 | 3 35 |
| CUSIP 92553PAG7 | | | 105.309 | 26,327 23 | **26,047.75** | (279.48) ST | 218 75 | |
| *Unit Price $104 191, Coupon Rate 3 500%, Matures 04/01/17, Int Semi-Annually Apr/Oct 01, Yield to Maturity 2 639%, Moody BAA1 S&P BBB+, Issued 03/31/11* | | | | | | | | |
| **AT&T INC** | 7/9/10 | 50,000.000 | 112.098 | 56,049 00 | | | 2,750 00 | 4 75 |
| CUSIP 00206RAJ1 | | | 110.001 | 55,000 46 | **57,876.50** | 2,876 04 LT | 1,145 83 | |
| *Unit Price $115 753, Coupon Rate 5 500%, Matures 02/01/18, Int Semi-Annually Feb/Aug 01, Yield to Maturity 2 676%, Moody A2 S&P A-, Issued 02/01/08* | | | | | | | | |
| **ARCELORMITTAL** | 8/23/11 | 35,000 000 | 105 428 | 36,899 85 | | | 2,143 75 | 6 17 |
| CUSIP 03938LAF1 | | | 105 191 | 36,816.89 | **34,695.50** | (2,121 39) ST | 178 64 | |
| *Unit Price $99 130, Coupon Rate 6 125%, Matures 06/01/18, Int Semi-Annually Jun/Dec 01, Yield to Maturity 6 291%, Moody BAA3 S&P BBB-, Issued 05/27/08* | | | | | | | | |
| **EXELON GENERATION CO LLC** | 6/14/11 | 25,000 000 | 108 295 | 27,073 75 | | | 1,300 00 | 4 73 |
| CUSIP 30161MAF0 | | | 107 833 | 26,958.19 | **27,462.25** | 504 06 ST | 325 00 | |
| *Unit Price $109 849, Coupon Rate 5 200%, Matures 10/01/19, Int Semi-Annually Apr/Oct 01, Yield to Maturity 3 724%, Moody A3 (-) S&P BBB, Issued 09/23/09* | | | | | | | | |
| **BLACKROCK INC** | 7/28/10 | 50,000.000 | 109.282 | 54,641 00 | | | 2,500 00 | 4 58 |
| CUSIP 09247XAE1 | | | 108.080 | 54,039.76 | **54,565.00** | 525 24 LT | 145 83 | |
| *Unit Price $109 130, Coupon Rate 5 000%, Matures 12/10/19, Int Semi-Annually Jun/Dec 10, Yield to Maturity 3 664%, Moody A1 S&P A+, Issued 12/10/09* | | | | | | | | |
| **ALCOA INC** | 6/14/11 | 55,000 000 | 108 940 | 59,916.95 | | | 3,382 50 | 5 91 |
| CUSIP 013817AU5 | | | 108 515 | 59,683.36 | **57,143.90** | (2,539 46) ST | 1,277 83 | |
| *Unit Price $103 898, Coupon Rate 6 150%, Matures 08/15/20, Int Semi-Annually Feb/Aug 15, Yield to Maturity 5 573%, Moody BAA3 S&P BBB-, Issued 08/03/10* | | | | | | | | |
| **DOW CHEMICAL COMPANY** | 8/31/11 | 50,000 000 | 102.012 | 51,006 00 | | | 2,500 00 | 4 98 |
| CUSIP 26054LKL6 | | | 101.954 | 50,977.01 | **50,149.50** | (827 51) ST | 736.11 | |
| *Unit Price $100 299, Coupon Rate 5 000%, Matures 09/15/20, Int Semi-Annually Mar/Sep 15, Callable $100 00 on 03/15/12, Yield to Maturity 4 956%, Moody BAA3 S&P BBB, Issued 09/16/10* | | | | | | | | |
| **GENERAL ELECTRIC CAPITAL CORP** | 5/23/11 | 25,000.000 | 109.889 | 27,472.25 | | | 1,387.50 | 5.43 |
| CUSIP 36966R4N3 | | | 109 368 | 27,341 93 | **25,545.75** | (1,796 18) ST | 292 91 | |
| *Unit Price $102 183; Coupon Rate 5 550%, Matures 10/15/20, Int Semi-Annually Apr/Oct 15, Yield to Maturity 5 236%, Moody AA2 S&P AA+, Issued 10/01/09* | | | | | | | | |
| **CHESAPEAKE ENERGY CORP** | 5/26/11 | 25,000 000 | 111 724 | 27,931.00 | | | 1,718 75 | 6 42 |
| CUSIP 165167BU0 | | | 111.154 | 27,788 55 | **26,750.00** | (1,038 55) ST | 219.61 | |
| *Unit Price $107 000, Coupon Rate 6 875%, Matures 11/15/20, Int Semi-Annually May/Nov 15, Yield to Maturity 5 851%, Moody BA3 S&P BB+, Issued 05/15/06* | | | | | | | | |
| **JEFFERIES GROUP INC** | 7/19/10 | 25,000.000 | 103 255 | 25,813.75 | | | 1,718.75 | 7.63 |
| CUSIP 472319AH5 | | | 102 935 | 25,733.66 | **22,500.00** | (3,233 66) LT | 362.84 | |
| *Unit Price $90 000, Coupon Rate 6 875%, Matures 04/15/21, Int Semi-Annually Apr/Oct 15, Yield to Maturity 8 447%, Moody BAA2 S&P BBB, Issued 06/28/10* | | | | | | | | |

CONTINUED

# Holdings

**Active Assets Account**
**759-019928-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## CORPORATE FIXED INCOME

**CORPORATE BONDS** (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| **WHIRLPOOL CORP** | 8/29/11 | 35,000.000 | 105.841 | 37,044.40 | | | 1,697 50 | 4.85 |
| CUSIP 96332HCD9 | | | 105 677 | 36,987.11 | **34,938.75** | (2,048 36) ST | 75.44 | |
| *Unit Price $99 825, Coupon Rate 4 850%, Matures 06/15/21, Int Semi-Annually Jun/Dec 15, Yield to Maturity 4 873%, Moody BAA3 S&P BBB-, Issued 06/07/11* | | | | | | | | |
| **GENERAL ELECTRIC CAPITAL CORP** | 5/9/11 | 25,000.000 | 106.832 | 26,708 00 | | | 1,250 00 | 4 99 |
| CUSIP 36966R6Q4 | | | 106 516 | 26,629.08 | **25,032.50** | (1,596.58) ST | 159 72 | |
| *Unit Price $100 130, Coupon Rate 5 000%, Matures 05/15/22, Int Semi-Annually May/Nov 15, Yield to Maturity 4 984%, Moody AA2 S&P AA+, Issued 05/14/10* | | | | | | | | |
| **ENTERPRISE PRODS OPER 8.375% F IX TO 8/2016 FLOATS THEREAFTER** | 9/20/10 | 25,000 000 | 106 524 | 26,631 00 | | | 2,093 75 | 7 82 |
| CUSIP 293791AV1 | | | 106 515 | 26,628 70 | **26,750.00** | 121 30 LT | 872 39 | |
| *Unit Price $107 000, Coupon Rate 8 375%, Matures 08/01/66, Int Semi-Annually Feb/Aug 01, Callable $100 00 on 08/01/16, Yield to Call 6 579%, Floater, Moody BA1 S&P BB, Issued 07/18/06* | | | | | | | | |

| | Percentage of Assets % | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| CORPORATE FIXED INCOME | | **$1,027,339.25** | | | **$51,617.50** | **5.16%** |
| | | **$1,015,173.09** | **$1,000,025.65** | **$1,334.70 LT** | **$13,333.43** | |
| | | | | **$(16,482.14) ST** | | |
| TOTAL CORPORATE FIXED INCOME (incl.accr.int.) | **57.9%** | | **$1,013,359.08** | | | |

*Watchlist and CreditWatch Indicators (*) = developing/uncertain (+) = On Watchlist/CreditWatch Upgrade (-) = On Watchlist/CreditWatch Downgrade*
*For more information on Watchlist and CreditWatch Indicators, please go to our website at www morganstanley com/bondratings or contact your financial advisor*

## GOVERNMENT SECURITIES

**FEDERAL AGENCIES**

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| **FED HOME LN BK** | 1/3/11 | 75,000.000 | $96.708 | $72,531.00 | | | $1,334.37 | 3 04 |
| CUSIP 313371FY7 | | | $96 708 | $42,309.75 | **$43,753.49** | $1,443 74 ST | $218 68 | |
| *Unit Price $100 008, Coupon Rate 3 050%, Matures 11/02/20, Int Semi-Annually May/Nov 02, Callable $100 00 on 01/04/12, Yield to Call 2 059%, Factor 58333333, Moody AAA S&P AA+, Issued 11/02/10, Amortized Quantity 43,749* | | | | | | | | |

# Holdings

Active Assets Account 759-019928-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

| | Percentage of Assets % | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| GOVERNMENT SECURITIES | | $72,531.00 | | | $1,334.37 | 3.05% |
| | | $42,309.75 | $43,753.49 | $1,443.74 ST | $218.68 | |
| TOTAL GOVERNMENT SECURITIES (incl.accr int ) | 2.5% | | $43,972.17 | | | |

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS

*"Total Purchases vs Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account*

*"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account It may not reflect all distributions received in cash, due to but not limited to the following investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account*

*"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, plus the cash distributions shown, and the current value of the fund's shares This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **BLACKROCK EQUITY DIVIDEND A (MDDVX)** | 9/27/11 | 1,414 027 | $17.680 | $25,000.00 | $25,664.58 | $664.58 ST | | |
| | 10/20/11 | 1,378 170 | 18 140 | 25,000 00 | 25,013 78 | 13 78 ST | | |
| | **Purchases** | 2,792.197 | | 50,000.00 | **50,678.36** | 678 36 ST | | |
| Short Term Reinvestments | | 24 045 | | 423 07 | 436 41 | 13 34 ST | | |
| | **Total** | 2,816 242 | | 50,423 07 | **51,114.79** | 691 70 ST | 1,176 00 | 2 30 |
| Total Purchases vs Market Value | | | | 50,000.00 | 51,114 79 | | | |
| Net Value Increase/(Decrease) | | | | | 1,114 79 | | | |
| *Share Price $18 150, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **E V ATLANTA CAP SMID CAP A (EAASX)** | 10/25/11 | 2,307 185 | 15 170 | 35,000 00 | 34,607 78 | (392 22) ST | | |
| | **Purchases** | 2,307.185 | | 35,000 00 | **34,607.78** | (392 22) ST | | |
| Short Term Reinvestments | | 13 580 | | 202 34 | 203 70 | 1.36 ST | | |
| | **Total** | 2,320 765 | | 35,202 34 | **34,811.48** | (390 86) ST | — | — |

CONTINUED

# Holdings

**Active Assets Account** 759-019928-028

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| Total Purchases vs Market Value | | | | 35,000 00 | 34,811 48 | | | |
| Net Value Increase/(Decrease) | | | | | (188 52) | | | |
| *Share Price $15 000, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **LORD ABBETT DIVER INC STRAT A (ISFAX)** | 9/27/11 | 1,702 997 | 14 680 | 25,000 00 | 23,824 93 | (1,175 07) ST | | |
| | **Purchases** | 1,702 997 | | 25,000 00 | **23,824.93** | (1,175 07) ST | | |
| Short Term Reinvestments | | 31 910 | | 443 62 | 446.42 | 2 80 ST | | |
| | **Total** | 1,734.907 | | 25,443 62 | **24,271.35** | (1,172 27) ST | 1,452 00 | 5 98 |
| Total Purchases vs Market Value | | | | 25,000 00 | 24,271 35 | | | |
| Net Value Increase/(Decrease) | | | | | (728 65) | | | |
| *Share Price $13 990, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **MAINSTAY HI YLD CORP BOND A (MHCAX)** | 12/7/11 | 5,785 124 | 6 050 | 35,000.00 | 33,553.72 | (1,446.28) ST | | |
| | **Purchases** | 5,785 124 | | 35,000 00 | **33,553.72** | (1,446 28) ST | | |
| Short Term Reinvestments | | 35 315 | | 203 06 | 204 83 | 1 77 ST | | |
| | **Total** | 5,820 439 | | 35,203 06 | **33,758.55** | (1,444 51) ST | 2,448 00 | 7 25 |
| Total Purchases vs Market Value | | | | 35,000.00 | 33,758 55 | | | |
| Net Value Increase/(Decrease) | | | | | (1,241 45) | | | |
| *Share Price $5 800, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **PIMCO ALL ASSET A (PASAX)** | 11/10/10 | 3,796.507 | 13 170 | 50,000 00 | 43,470 00 | (6,530 00) LT | | |
| | **Purchases** | 3,796.507 | | 50,000.00 | **43,470.00** | (6,530.00) LT | | |
| Short Term Reinvestments | | 434 386 | | 5,121 31 | 4,973.71 | (147 60) ST | | |
| | **Total** | 4,230.893 | | 55,121.31 | **48,443.72** | (6,530 00) LT<br>(147 60) ST | 7,368 00 | 15 20 |
| Total Purchases vs Market Value | | | | 50,000 00 | 48,443 72 | | | |
| Net Value Increase/(Decrease) | | | | | (1,556.28) | | | |
| *Share Price $11 450, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **WELLS FARGO INTRISTIC VAL A (EIVAX)** | 10/15/10 | 4,504.505 | 11 100 | 50,000 00 | 42,342 34 | (7,657 66) LT | | |
| | **Purchases** | 4,504 505 | | 50,000 00 | **42,342.34** | (7,657 66) LT | | |
| Long Term Reinvestments | | 38 950 | | 425.72 | 366 12 | (59 60) LT | | |
| Short Term Reinvestments | | 680 625 | | 6,531 64 | 6,397 87 | (133 77) ST | | |
| | **Total** | 5,224 080 | | 56,957 36 | **49,106.35** | (7,717 26) LT<br>(133 77) ST | 1,450 00 | 2 95 |
| Total Purchases vs Market Value | | | | 50,000 00 | 49,106.35 | | | |
| Net Value Increase/(Decrease) | | | | | (893.65) | | | |
| *Share Price $9 400, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |

# Holdings

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| MUTUAL FUNDS | 13.8% | $258,350.76 | $241,506.24 | $(14,247.26) LT | $13,894.00 | 5.75% |
| | | | | $(2,597.31) ST | $0.00 | |

*Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page*
*For more information about the pricing of Money Market Funds, please see the Disclosures section of the statement*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | 100.0% | $1,624,468.98 | $1,733,466.88 | $(7,394.25) LT | $81,856.87 | 4.68% |
| | | | | $(14,758.05) ST | $15,964.69 | |
| TOTAL VALUE (includes accrued interest) | | | $1,749,431.57 | | | |

# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

*This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month Please see the "Unsettled Purchases/Sales Activity" section for more information*
*The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market See "Pricing of Securities" in the Disclosures section at the end of this statement Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date*
*Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates Estimated yield reflects only the income generated by an investment It does not reflect changes in its price, which may fluctuate*
*Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column If you hold structured products, please see "Special Considerations Regarding Structured Products" in the Disclosure section*
*New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011 These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns Please refer to the Disclosures section of this statement for additional information*

## CASH, DEPOSITS AND MONEY MARKET FUNDS

*Cash, Deposits and Money Market Funds are generally displayed on a settlement date basis However, Global Currency Deposits may include both settled and unsettled positions Estimated Annual Income, Accrued Interest and APY% will only be displayed for fully settled positions In the event, all or a portion of a Global Currency Deposit position is unsettled as of month end, this data will not be available*

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| **CASH** | **$333.09** | | | |
| **MORGAN STANLEY BANK N.A. #** | **33,158.70** | 17.00 | — | 0 050 |

| | Percentage of Assets % | Market Value | Estimated Annual Income / Accrued Interest |
|---|---|---|---|
| CASH, DEPOSITS AND MONEY MARKET FUNDS | | **$33,491.79** | **$17.00**<br>**$0.00** |
| NET UNSETTLED PURCHASES/SALES | | $1,822 12 | |
| CASH, DEPOSITS AND MONEY MARKET FUNDS (PROJECTED SETTLED BALANCE) | **1.8%** | **$35,313.91** | |

*# Bank deposits are at Morgan Stanley Bank, N A and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney*
*Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement*
*The "Projected Settled Balance" includes accrued interest on deposits and reflects the impact of unsettled purchases/sales*

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS

*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain exchange-traded funds Please refer to "CG IAR Statuses in Investment Advisory Programs" at the end of this statement for a description of these status codes. All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **A G C O CORP (AGCO)** | 5/20/09 | 3 000 | $29.437 | $88.31 | $128 91 | $40.60 LT A | | |
| | 9/2/10 | 15.000 | 35.894 | 538 41 | 644.55 | 106.14 LT | | |
| | 11/3/10 | 3 000 | 42.297 | 126.89 | 128 91 | 2.02 LT | | |
| | 3/23/11 | 7 000 | 52 484 | 367 39 | 300.79 | (66 60) ST | | |
| | 11/16/11 | 1 000 | 47 180 | 47.18 | 42 97 | (4 21) ST | | |
| | **Total** | 29 000 | | 1,168 18 | **1,246.13** | 148 76 LT<br>(70 81) ST | — | — |
| *Share Price $42 970* | | | | | | | | |
| **ABB LTD (ABB)** | 2/25/11 | 16 000 | 24 155 | 386 48 | 301 28 | (85.20) ST | | |
| | 3/1/11 | 16 000 | 24 149 | 386 39 | 301 28 | (85 11) ST | | |
| | 3/16/11 | 21 000 | 22.606 | 474.72 | 395 43 | (79 29) ST | | |
| | 4/27/11 | 32 000 | 26 226 | 839 23 | 602 56 | (236 67) ST | | |
| | 10/7/11 | 21 000 | 17 681 | 371 31 | 395 43 | 24 12 ST | | |
| | 11/16/11 | 3.000 | 18.457 | 55 37 | 56 49 | 1 12 ST | | |
| | **Total** | 109 000 | | 2,513 50 | **2,052.47** | (461 03) ST | 73.36 | 3 57 |
| *Share Price $18 830* | | | | | | | | |
| **ACCENTURE PLC IRELAND CL A (ACN)** | 3/10/09 | 81 000 | 27 558 | 2,232 16 | 4,311 63 | 2,079 47 LT A | | |
| | 6/3/09 | 25 000 | 30 260 | 756 50 | 1,330 75 | 574 25 LT A | | |
| | 4/27/10 | 14 000 | 43.508 | 609 11 | 745 22 | 136.11 LT | | |
| | 4/27/10 | 7 000 | 43 508 | 304 55 | 372 61 | 68 06 LT | | |
| | 4/27/10 | 4 000 | 43 508 | 174 03 | 212 92 | 38 89 LT | | |
| | 4/27/10 | 5 000 | 43 508 | 217.54 | 266 15 | 48 61 LT | | |
| | 6/16/11 | 54 000 | 53 951 | 2,913 38 | 2,874 42 | (38 96) ST | | |
| | **Total** | 190 000 | | 7,207 27 | **10,113.70** | 2,945.39 LT<br>(38 96) ST | 256 50 | 2 53 |

*Share Price $53 230, Next Dividend Payable 05/12*

CONTINUED

# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **ACE LTD (ACE)** | 4/26/11 | 8.000 | 65.321 | 522 57 | 560 96 | 38.39 ST | | |
| | 4/26/11 | 13 000 | 65.321 | 849 17 | 911 56 | 62 39 ST | | |
| | 5/6/11 | 20.000 | 67.084 | 1,341 68 | 1,402.40 | 60.72 ST | | |
| | 8/24/11 | 11.000 | 62.857 | 691 43 | 771.32 | 79.89 ST | | |
| | 8/24/11 | 1 000 | 62 860 | 62 86 | 70 12 | 7 26 ST | | |
| | **Total** | 53.000 | | 3,467 71 | **3,716.36** | 248.65 ST | 99 64 | 2 68 |
| *Share Price $70 120, Next Dividend Payable 01/12* | | | | | | | | |
| **ACTIVISION BLIZZARD INC (ATVI)** | 7/16/10 | 38 000 | 11 137 | 423 22 | 468.16 | 44 94 LT | | |
| | 8/11/10 | 74.000 | 10.911 | 807 38 | 911 68 | 104.30 LT | | |
| | 9/24/10 | 74 000 | 10 806 | 799 64 | 911.68 | 112.04 LT | | |
| | 11/16/11 | 9 000 | 12 346 | 111 11 | 110 88 | (0 23) ST | | |
| | **Total** | 195 000 | | 2,141 35 | **2,402.40** | 261 28 LT<br>(0.23) ST | 32 18 | 1 33 |
| *Share Price $12 320, Next Dividend Payable 05/12* | | | | | | | | |
| **ADECCO SA UNSPON ADR (AHEXY)** | 12/10/09 | 23 000 | 27 900 | 641 70 | 479.78 | (161 92) LT | | |
| | 12/29/10 | 9 000 | 32 800 | 295 20 | 187 74 | (107 46) LT | | |
| | **Total** | 32 000 | | 936 90 | **667.52** | (269 38) LT | 25 76 | 3 85 |
| *Share Price $20 860* | | | | | | | | |
| **ADIDAS-SALOMON AG SPONS ADR (ADDYY)** | 3/11/09 | 43 000 | 15 790 | 678 97 | 1,402 23 | 723 26 LT A | | |
| | 3/5/10 | 23 000 | 24 986 | 574 68 | 750 03 | 175 35 LT | | |
| | 11/16/11 | 3 000 | 34.700 | 104 10 | 97 83 | (6 27) ST | | |
| | **Total** | 69 000 | | 1,357 75 | **2,250.09** | 898 61 LT<br>(6.27) ST | 27 53 | 1.22 |
| *Share Price $32 610* | | | | | | | | |
| **AECOM TECHNOLOGY CORP (ACM)** | 6/6/11 | 61 000 | 27 284 | 1,664 32 | 1,254.77 | (409.55) ST | | |
| | 7/29/11 | 7 000 | 24 856 | 173 99 | 143 99 | (30 00) ST | | |
| | 11/16/11 | 7 000 | 21.403 | 149 82 | 143.99 | (5 83) ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 75 000 | | 1,988 13 | **1,542.75** | (445 38) ST | — | — |
| *Share Price $20 570* | | | | | | | | |
| **AFFILIATED MGRS GROUP INC (AMG)** | 12/10/09 | 18 000 | 64 790 | 1,166 22 | 1,727 10 | 560 88 LT | | |
| | 9/2/10 | 7 000 | 69 186 | 484 30 | 671.65 | 187 35 LT | | |
| | 3/24/11 | 4 000 | 104.500 | 418 00 | 383.80 | (34.20) ST | | |
| | **Total** | 29 000 | | 2,068 52 | **2,782.55** | 748 23 LT<br>(34 20) ST | — | — |
| *Share Price $95 950* | | | | | | | | |
| **AIA GROUP LTD SPON ADR (AAGIY)** | 10/10/11 | 62 000 | 11 838 | 733 96 | 776 86 | 42 90 ST | | |
| | 11/16/11 | 3 000 | 12.230 | 36 69 | 37.59 | 0.90 ST | | |
| | **Total** | 65 000 | | 770 65 | **814.45** | 43 80 ST | 3 19 | 0 39 |
| *Share Price $12 530* | | | | | | | | |
| **AIRGAS INC (ARG)** | 12/10/09 | 33 000 | 47.816 | 1,577.93 | **2,576.64** | 998.71 LT | 42.24 | 1.63 |
| *Share Price $78 080, Next Dividend Payable 03/12* | | | | | | | | |
| **AKZO NOBEL NV ADR (AKZOY)** | 12/10/09 | 14 000 | 63 750 | 892 50 | 676 20 | (216 30) LT | | |
| | 4/14/10 | 6 000 | 59 710 | 358 26 | 289 80 | (68 46) LT | | |
| | 11/17/10 | 6 000 | 59 350 | 356 10 | 289.80 | (66.30) LT | | |
| | 12/27/10 | 11.000 | 61.640 | 678.04 | 531 30 | (146 74) LT | | |
| | **Total** | 37 000 | | 2,284 90 | **1,787.10** | (497.80) LT | 61.79 | 3 45 |
| *Share Price $48 300* | | | | | | | | |
| **ALSTOM ADR (ALSMY)** | 1/27/11 | 163.000 | 5.830 | 950.29 | 480.85 | (469.44) ST | | |
| | 11/16/11 | 14 000 | 3.410 | 47 74 | 41 30 | (6 44) ST | | |
| | 12/1/11 | 118 000 | 3 420 | 403.57 | 348 10 | (55.47) ST | | |
| | **Total** | 295 000 | | 1,401.60 | **870.25** | (531 35) ST | 18 29 | 2 10 |
| *Share Price $2 950* | | | | | | | | |
| **AMADEUS IT HLDG SA UNSPON ADR (AMADY)** | 12/8/11 | 47 000 | 16 500 | 775 50 | **763.75** | (11 75) ST | 22.51 | 2 94 |
| *Share Price $16 250* | | | | | | | | |
| **AMERICA MOVIL SA DE CV ADR L (AMX)** | 12/10/09 | 84 000 | 23 643 | 1,986 01 | 1,898 40 | (87 61) LT | | |
| | 12/29/10 | 6 000 | 28 475 | 170 85 | 135 60 | (35.25) LT | | |
| | 11/16/11 | 7 000 | 24 737 | 173 16 | 158 20 | (14.96) ST | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 97 000 | | 2,330 02 | **2,192.20** | (122 86) LT<br>(14 96) ST | 27 74 | 1 26 |
| *Share Price $22 600* | | | | | | | | |
| **AMERICAN CAPITAL AGENCY (AGNC)** | 6/8/11 | 54 000 | 30 650 | 1,655 10 | 1,516 32 | (138 78) ST | | |
| | 6/23/11 | 64 000 | 28 568 | 1,828 36 | 1,797 12 | (31 24) ST | | |
| | **Total** | 118.000 | | 3,483 46 | **3,313.44** | (170.02) ST | 660.80 | 19.94 |
| *Share Price $28 080, Next Dividend Payable 01/27/12* | | | | | | | | |
| **AMERICAN ELECTRIC POWER CO (AEP)** | 4/17/09 | 22.000 | 27.227 | 599 00 | 908 82 | 309 82 LT A | | |
| | 5/28/09 | 26.000 | 25.660 | 667 15 | 1,074 06 | 406 91 LT A | | |
| | 12/10/09 | 7.000 | 34.750 | 243 25 | 289 17 | 45 92 LT | | |
| | 12/29/10 | 21 000 | 36 160 | 759 36 | 867 51 | 108 15 LT | | |
| | 10/21/11 | 24 000 | 39 083 | 937 99 | 991 44 | 53 45 ST | | |
| | **Total** | 100 000 | | 3,206 75 | **4,131.00** | 870 80 LT<br>53.45 ST | 188 00 | 4 55 |
| *Share Price $41 310, Next Dividend Payable 03/12* | | | | | | | | |
| **AMERICAN EXPRESS CO (AXP)** | 10/20/09 | 48 000 | 35 967 | 1,726 42 | 2,264.16 | 537 74 LT A | | |
| | 12/10/09 | 8.000 | 40.110 | 320 88 | 377 36 | 56.48 LT | | |
| | 4/4/11 | 17.000 | 45 344 | 770 84 | 801 89 | 31.05 ST | | |
| | 8/24/11 | 24 000 | 47 612 | 1,142 68 | 1,132 08 | (10.60) ST | | |
| | **Total** | 97 000 | | 3,960 82 | **4,575.49** | 594 22 LT<br>20.45 ST | 69 84 | 1 52 |
| *Share Price $47 170, Next Dividend Payable 02/12* | | | | | | | | |
| **AMERICAN TOWER CP CLASS A (AMT)** | 10/3/11 | 98 000 | 53 629 | 5,255 68 | 5,880 98 | 625 30 ST | | |
| | 11/16/11 | 6 000 | 57 780 | 346 68 | 360 06 | 13 38 ST | | |
| | **Total** | 104 000 | | 5,602 36 | **6,241.04** | 638.68 ST | — | — |
| *Share Price $60 010* | | | | | | | | |
| **AMGEN INC (AMGN)** | 3/10/09 | 34 000 | 48 008 | 1,632 26 | 2,183 14 | 550 88 LT A | | |
| | 6/9/10 | 9 000 | 53 190 | 478 71 | 577 89 | 99 18 LT | | |
| | 6/17/10 | 12 000 | 55 178 | 662 14 | 770 52 | 108 38 LT | | |
| | 12/29/10 | 12 000 | 56.080 | 672.96 | 770 52 | 97.56 LT | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 67 000 | | 3,446 07 | **4,302.07** | 856.00 LT | 96 48 | 2 24 |
| *Share Price $64 210, Next Dividend Payable 03/12* | | | | | | | | |
| **ANADARKO PETE (APC)** | 10/21/11 | 35 000 | 78 536 | 2,748 76 | **2,671.55** | (77.21) ST | 12 60 | 0.47 |
| *Share Price $76 330, Next Dividend Payable 03/12* | | | | | | | | |
| **ANALOG DEVICES INC (ADI)** | 6/8/09 | 50 000 | 24 073 | 1,203.67 | 1,789.00 | 585 33 LT A | | |
| | 12/10/09 | 40 000 | 30 349 | 1,213 95 | 1,431 20 | 217 25 LT | | |
| | 1/12/10 | 3 000 | 30 437 | 91 31 | 107 34 | 16 03 LT | | |
| | **Total** | 93 000 | | 2,508 93 | **3,327.54** | 818.61 LT | 93 00 | 2.79 |
| *Share Price $35 780, Next Dividend Payable 03/12* | | | | | | | | |
| **ANNALY CAPITAL MNGMT INC (NLY)** | 3/11/09 | 47 000 | 13 568 | 637 69 | 750 12 | 112 43 LT A | | |
| | 8/19/09 | 40 000 | 16 957 | 678 26 | 638 40 | (39 86) LT A | | |
| | 9/29/09 | 36 000 | 18 405 | 662 59 | 574 56 | (88 03) LT A | | |
| | 12/10/09 | 83 000 | 18 588 | 1,542 77 | 1,324 68 | (218.09) LT | | |
| | 12/10/09 | 27 000 | 18 588 | 501.86 | 430 92 | (70 94) LT | | |
| | 2/4/10 | 17 000 | 17 790 | 302 43 | 271 32 | (31 11) LT | | |
| | 11/16/11 | 28 000 | 16 468 | 461 11 | 446 88 | (14 23) ST | | |
| | 11/16/11 | 2 000 | 16 480 | 32 96 | 31 92 | (1 04) ST | | |
| | **Total** | 280 000 | | 4,819 67 | **4,468.80** | (335 60) LT<br>(15.27) ST | 638 40 | 14 28 |
| *Share Price $15 960, Next Dividend Payable 01/26/12* | | | | | | | | |
| **AON CORP (AON)** | 10/21/11 | 28 000 | 49 145 | 1,376 06 | 1,310 40 | (65 66) ST | | |
| | 11/16/11 | 1 000 | 47.010 | 47 01 | 46 80 | (0 21) ST | | |
| | 12/13/11 | 27 000 | 45 404 | 1,225 92 | 1,263 60 | 37 68 ST | | |
| | **Total** | 56.000 | | 2,648.99 | **2,620.80** | (28.19) ST | 33 60 | 1 28 |
| *Share Price $46 800, Next Dividend Payable 02/12* | | | | | | | | |
| **APACHE CORP (APA)** | 12/10/09 | 7 000 | 94 400 | 660.80 | 634.06 | (26.74) LT | | |
| | 6/9/10 | 6 000 | 90 660 | 543 96 | 543 48 | (0 48) LT | | |
| | 8/8/11 | 4 000 | 103 090 | 412 36 | 362.32 | (50 04) ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 17 000 | | 1,617 12 | **1,539.86** | (27.22) LT<br>(50 04) ST | 10 20 | 0.66 |
| *Share Price $90 580, Next Dividend Payable 02/12* | | | | | | | | |
| **APPLE INC (AAPL)** | 3/10/09 | 15 000 | 87 708 | 1,315 62 | 6,075 00 | 4,759 38 LT A | | |
| | 12/10/09 | 2 000 | 197 450 | 394 90 | 810 00 | 415 10 LT | | |
| | 2/10/11 | 4 000 | 356 258 | 1,425 03 | 1,620 00 | 194 97 ST | | |
| | 2/23/11 | 1.000 | 341.990 | 341 99 | 405 00 | 63 01 ST | | |
| | 6/16/11 | 10 000 | 324.198 | 3,241 98 | 4,050 00 | 808.02 ST | | |
| | 12/13/11 | 1 000 | 392 770 | 392 77 | 405 00 | 12 23 ST | | |
| | **Total** | 33 000 | | 7,112 29 | **13,365.00** | 5,174 48 LT<br>1,078 23 ST | — | — |
| *Share Price $405 000* | | | | | | | | |
| **ARM HOLDINGS PLC ADS (ARMH)** | 12/2/11 | 222 000 | 28 263 | 6,274 41 | **6,142.74** | (131 67) ST | 28 86 | 0 46 |
| *Share Price $27 670* | | | | | | | | |
| **AT&T INC (T)** | 3/10/09 | 16 000 | 22 997 | 367 95 | 483 84 | 115 89 LT A | | |
| | 6/3/09 | 35 000 | 24 420 | 854 70 | 1,058 40 | 203 70 LT A | | |
| | 9/18/09 | 41.000 | 26 988 | 1,106 50 | 1,239 84 | 133 34 LT A | | |
| | 6/16/11 | 17 000 | 30 423 | 517 19 | 514.08 | (3 11) ST | | |
| | 9/9/11 | 23 000 | 27.790 | 639 16 | 695 52 | 56.36 ST | | |
| | 10/21/11 | 30.000 | 29 113 | 873 38 | 907 20 | 33 82 ST | | |
| | 11/16/11 | 4 000 | 28 960 | 115 84 | 120.96 | 5 12 ST | | |
| | 12/13/11 | 24.000 | 29 080 | 697.92 | 725.76 | 27 84 ST | | |
| | **Total** | 190 000 | | 5,172 64 | **5,745.60** | 452 93 LT<br>120 03 ST | 334 40 | 5 82 |
| *Share Price $30 240, Next Dividend Payable 02/12* | | | | | | | | |
| **ATWOOD OCEANICS INC (ATW)** | 5/6/10 | 41 000 | 31 747 | 1,301 63 | **1,631.39** | 329 76 LT | — | — |
| *Share Price $39 790* | | | | | | | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **AVALONBAY COMM INC (AVB)** | 3/10/09 | 9 000 | 48 890 | 440 01 | 1,175 40 | 735.39 LT A | | |
| | 3/24/09 | 4 000 | 48 478 | 193 91 | 522 40 | 328 49 LT A | | |
| | 12/10/09 | 3 000 | 75 660 | 226 98 | 391.80 | 164.82 LT | | |
| | 8/24/11 | 6 000 | 129 832 | 778 99 | 783 60 | 4 61 ST | | |
| | 12/13/11 | 6 000 | 123 813 | 742 88 | 783 60 | 40 72 ST | | |
| | **Total** | 28 000 | | 2,382 77 | **3,656.80** | 1,228.70 LT<br>45 33 ST | 99.96 | 2.73 |
| *Share Price $130 600, Next Dividend Payable 01/17/12* | | | | | | | | |
| **AVERY DENNISON CORPORATION (AVY)** | 1/18/11 | 17 000 | 42 295 | 719 02 | 487 56 | (231.46) ST | | |
| | 3/7/11 | 21 000 | 41 058 | 862 22 | 602 28 | (259 94) ST | | |
| | 7/29/11 | 19.000 | 31.715 | 602 59 | 544 92 | (57 67) ST | | |
| | 11/16/11 | 3 000 | 26 860 | 80.58 | 86.04 | 5.46 ST | | |
| | **Total** | 60 000 | | 2,264.41 | **1,720.80** | (543 61) ST | 60.00 | 3 48 |
| *Share Price $28 680, Next Dividend Payable 03/12* | | | | | | | | |
| **AVIVA PLC ADR (AV)** | 12/10/09 | 100 000 | 11 820 | 1,181 99 | 925 00 | (256 99) LT | | |
| | 12/29/10 | 53 000 | 12 390 | 656 67 | 490 25 | (166 42) LT | | |
| | 1/25/11 | 14.000 | 14.060 | 196 84 | 129 50 | (67 34) ST | | |
| | 11/16/11 | 19 000 | 9 770 | 185 63 | 175 75 | (9 88) ST | | |
| | **Total** | 186 000 | | 2,221 13 | **1,720.50** | (423.41) LT<br>(77 22) ST | 154 75 | 8 99 |
| *Share Price $9 250* | | | | | | | | |
| **AXA ADS (AXAHY)** | 3/11/09 | 75 000 | 9 529 | 714 71 | 964 50 | 249 79 LT A | | |
| | 12/29/10 | 26.000 | 16.650 | 432 90 | 334.36 | (98 54) LT | | |
| | 12/30/10 | 2 000 | 16 550 | 33 10 | 25 72 | (7 38) LT | | |
| | 1/25/11 | 11 000 | 20 730 | 228 03 | 141.46 | (86.57) ST | | |
| | 11/16/11 | 7 000 | 13 280 | 92.96 | 90.02 | (2.94) ST | | |
| | **Total** | 121 000 | | 1,501 70 | **1,556.06** | 143 87 LT<br>(89 51) ST | 101 40 | 6.51 |
| *Share Price $12 860* | | | | | | | | |

CONTINUED

# Holdings



## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **BABCOCK & WILCOX COMPANY (BWC)** | 3/11/09 | 17 000 | 12 835 | 218 20 | 410.38 | 192 18 LT | | |
| | 12/10/09 | 6 000 | 22 743 | 136 46 | 144 84 | 8 38 LT | | |
| | 9/16/10 | 56.000 | 22.000 | 1,232 00 | 1,351.84 | 119.84 LT | | |
| | 6/6/11 | 20.000 | 27.502 | 550 04 | 482 80 | (67.24) ST | | |
| | 7/29/11 | 13 000 | 25 037 | 325 48 | 313 82 | (11 66) ST | | |
| | **Total** | 112.000 | | 2,462 18 | **2,703.68** | 320.40 LT<br>(78 90) ST | — | — |
| *Share Price $24 140* | | | | | | | | |
| **BAE SYS PLC SPON ADR (BAESY)** | 3/11/09 | 63 000 | 18 700 | 1,178.10 | 1,112 58 | (65 52) LT A | | |
| | 7/29/11 | 11 000 | 20.080 | 220 88 | 194 26 | (26 62) ST | | |
| | 11/16/11 | 5.000 | 17 820 | 89 10 | 88 30 | (0 80) ST | | |
| | **Total** | 79.000 | | 1,488 08 | **1,395.14** | (65.52) LT<br>(27.42) ST | 88 32 | 6 33 |
| *Share Price $17 660* | | | | | | | | |
| **BANCO BRADESCO S A NEW (BBD)** | 5/5/10 | 85 000 | 16 316 | 1,386 89 | 1,417 80 | 30 91 LT | | |
| | 7/28/10 | 36 000 | 18 308 | 659 10 | 600 48 | (58 62) LT | | |
| | 8/19/10 | 8 000 | 18 373 | 146 98 | 133.44 | (13.54) LT | | |
| | 8/20/10 | 1 000 | 17 970 | 17 97 | 16 68 | (1.29) LT | | |
| | 1/31/11 | 17 000 | 18 919 | 321 62 | 283 56 | (38 06) ST | | |
| | 9/22/11 | 37.000 | 14.950 | 553 14 | 617 16 | 64.02 ST | | |
| | **Total** | 184 000 | | 3,085 70 | **3,069.12** | (42 54) LT<br>25 96 ST | 18 95 | 0 61 |
| *Share Price $16 680, Next Dividend Payable 01/09/12* | | | | | | | | |
| **BANCO SANTANDER S.A. (STD)** | 1/25/11 | 93.000 | 11.943 | 1,110 66 | 699.36 | (411.30) ST | | |
| | 11/16/11 | 14.000 | 7.520 | 105 28 | 105.28 | 0 00 ST | | |
| | **Total** | 107 000 | | 1,215 94 | **804.64** | (411 30) ST | 73 83 | 9 17 |
| *Share Price $7 520* | | | | | | | | |
| **BAYER AG SPON ADR (BAYRY)** | 10/12/11 | 1 000 | 62 060 | 62 06 | 63 80 | 1.74 ST | | |
| | 10/12/11 | 9 000 | 62.060 | 558 54 | 574 20 | 15 66 ST | | |
| | 11/16/11 | 2 000 | 64.150 | 128 30 | 127 60 | (0.70) ST | | |
| | **Total** | 12 000 | | 748 90 | **765.60** | 16 70 ST | 19 32 | 2 52 |
| *Share Price $63 800* | | | | | | | | |

CONTINUED

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **BECTON DICKINSON & CO (BDX)** | 3/10/09 | 57 000 | 63.070 | 3,594 99 | 4,259 04 | 664 05 LT A | | |
| | 12/10/09 | 17 000 | 77 907 | 1,324 42 | 1,270 24 | (54 18) LT | | |
| | 7/29/11 | 9 000 | 83 826 | 754 43 | 672 48 | (81.95) ST | | |
| | 11/16/11 | 5 000 | 75 166 | 375 83 | 373 60 | (2.23) ST | | |
| | **Total** | 88 000 | | 6,049 67 | **6,575.36** | 609 87 LT<br>(84 18) ST | 158 40 | 2 40 |
| *Share Price $74 720, Next Dividend Payable 03/12* | | | | | | | | |
| **BG GROUP PLC (BRGYY)** | 3/11/09 | 20 000 | 68 550 | 1,371 00 | 2,140.00 | 769 00 LT A | | |
| | 12/10/09 | 2 000 | 87 490 | 174 98 | 214 00 | 39 02 LT | | |
| | 8/9/11 | 3.000 | 100.590 | 301.77 | 321 00 | 19 23 ST | | |
| | 11/16/11 | 3.000 | 107.900 | 323.70 | 321 00 | (2.70) ST | | |
| | **Total** | 28 000 | | 2,171.45 | **2,996.00** | 808 02 LT<br>16.53 ST | 31 61 | 1.05 |
| *Share Price $107 000* | | | | | | | | |
| **BHP BILLITON LTD (BHP)** | 3/11/09 | 38 000 | 40 860 | 1,552 68 | 2,683 94 | 1,131 26 LT A | | |
| | 3/11/09 | 22 000 | 40 860 | 898 92 | 1,553.86 | 654.94 LT A | | |
| | 3/11/09 | 11.000 | 40.790 | 448.69 | 776.93 | 328.24 LT A | | |
| | 3/11/09 | 8 000 | 40 860 | 326 88 | 565 04 | 238.16 LT A | | |
| | **Total** | 79 000 | | 3,227.17 | **5,579.77** | 2,352 60 LT | 159 58 | 2 85 |
| *Share Price $70 630* | | | | | | | | |
| **BIOMARIN PHARMAC SE (BMRN)** | 12/10/09 | 76 000 | 17.107 | 1,300 10 | **2,612.88** | 1,312 78 LT | — | — |
| *Share Price $34 380* | | | | | | | | |
| **BNP PARIBAS SP ADR REPSTG (BNPQY)** | 5/5/09 | 47 000 | 28 200 | 1,325 40 | 923 55 | (401 85) LT A | | |
| | 5/25/10 | 12 000 | 28 090 | 337 08 | 235 80 | (101 28) LT | | |
| | 12/29/10 | 6.000 | 32.310 | 193 86 | 117.90 | (75 96) LT | | |
| | 11/16/11 | 5 000 | 20.100 | 100 50 | 98.25 | (2 25) ST | | |
| | **Total** | 70 000 | | 1,956 84 | **1,375.50** | (579 09) LT<br>(2 25) ST | 77 49 | 5 63 |
| *Share Price $19 650* | | | | | | | | |
| **BOEING CO (BA)** | 1/21/10 | 26 000 | 59 555 | 1,548 43 | 1,907.10 | 358 67 LT | | |
| | 7/29/11 | 3 000 | 70 867 | 212 60 | 220.05 | 7.45 ST | | |
| | 11/16/11 | 1 000 | 67 250 | 67 25 | 73.35 | 6 10 ST | | |
| | 12/13/11 | 11 000 | 72 257 | 794 83 | 806 85 | 12 02 ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 41 000 | | 2,623 11 | **3,007.35** | 358 67 LT<br>25 57 ST | 72 16 | 2.39 |
| *Share Price $73 350, Next Dividend Payable 03/12* | | | | | | | | |
| **BORG WARNER INC (BWA)** | 3/24/10 | 26 000 | 37 878 | 984 83 | 1,657 24 | 672 41 LT | | |
| | 9/3/10 | 3 000 | 48 580 | 145 74 | 191 22 | 45 48 LT | | |
| | **Total** | 29 000 | | 1,130 57 | **1,848.46** | 717 89 LT | — | — |
| *Share Price $63 740* | | | | | | | | |
| **BOSTON PROPERTIES INC (BXP)** | 3/10/09 | 9 000 | 36.459 | 328 13 | 896.40 | 568.27 LT A | | |
| | 9/28/09 | 6 000 | 65.917 | 395.50 | 597.60 | 202.10 LT A | | |
| | 12/10/09 | 2,000 | 66 370 | 132 74 | 199.20 | 66.46 LT | | |
| | 7/29/11 | 6 000 | 107 452 | 644 71 | 597 60 | (47 11) ST | | |
| | 8/24/11 | 7 000 | 100 527 | 703.69 | 697 20 | (6 49) ST | | |
| | 12/13/11 | 7 000 | 93 691 | 655.84 | 697 20 | 41 36 ST | | |
| | **Total** | 37 000 | | 2,860 61 | **3,685.20** | 836 83 LT<br>(12.24) ST | 81 40 | 2 20 |
| *Share Price $99 600, Next Dividend Payable 01/27/12* | | | | | | | | |
| **BOSTON SCIENTIFIC CORP (BSX)** | 3/7/11 | 161.000 | 7.474 | 1,203 29 | 859.74 | (343.55) ST | | |
| | 3/11/11 | 109 000 | 7 488 | 816 20 | 582 06 | (234 14) ST | | |
| | 11/16/11 | 16 000 | 5 646 | 90.34 | 85 44 | (4 90) ST | | |
| | **Total** | 286 000 | | 2,109.83 | **1,527.24** | (582 59) ST | — | — |
| *Share Price $5 340* | | | | | | | | |
| **BP PLC ADS (BP)** | 12/10/09 | 40.000 | 56 220 | 2,248 80 | 1,709 60 | (539.20) LT | | |
| | 11/16/11 | 5 000 | 44 070 | 220 35 | 213 70 | (6 65) ST | | |
| | **Total** | 45 000 | | 2,469 15 | **1,923.30** | (539 20) LT<br>(6 65) ST | 75.60 | 3 93 |
| *Share Price $42 740* | | | | | | | | |
| **BRAMBLES LTD UNSPON ADR (BMBLY)** | 6/15/11 | 102 000 | 15 601 | 1,591 30 | 1,482 06 | (109 24) ST | | |
| | 8/12/11 | 41 000 | 13 920 | 570 72 | 595 73 | 25 01 ST | | |
| | **Total** | 143 000 | | 2,162.02 | **2,077.79** | (84.23) ST | 69 64 | 3 35 |
| *Share Price $14 530* | | | | | | | | |
| **BRANDYWINE REALTY TR SBI NEW (BDN)** | 3/11/09 | 126 000 | 3.590 | 452 28 | 1,197 00 | 744.72 LT A | | |
| | 7/29/11 | 15 000 | 11.928 | 178 92 | 142.50 | (36 42) ST | | |
| | 11/16/11 | 34 000 | 9 188 | 312 40 | 323 00 | 10 60 ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 175 000 | | 943 60 | **1,662.50** | 744 72 LT<br>(25 82) ST | 105 00 | 6 31 |
| *Share Price $9 500, Next Dividend Payable 01/12* | | | | | | | | |
| **BRITISH AMER TOB SPON ADR (BTI)** | 3/11/09 | 17 000 | 46 850 | 796 45 | 1,612 96 | 816.51 LT A | | |
| | 4/6/10 | 7 000 | 69 697 | 487 88 | 664 16 | 176 28 LT | | |
| | 12/29/10 | 3 000 | 77 340 | 232 02 | 284 64 | 52 62 LT | | |
| | **Total** | 27.000 | | 1,516 35 | **2,561.76** | 1,045.41 LT | 103.73 | 4.04 |
| *Share Price $94 880* | | | | | | | | |
| **BROADRIDGE FIN SOLU.LLC (BR)** | 3/11/09 | 76 000 | 16 750 | 1,273 00 | 1,713.80 | 440 80 LT A | | |
| | 9/25/09 | 45 000 | 20.259 | 911 66 | 1,014 75 | 103.09 LT A | | |
| | 7/29/11 | 24 000 | 23 181 | 556 35 | 541 20 | (15 15) ST | | |
| | **Total** | 145 000 | | 2,741 01 | **3,269.75** | 543 89 LT<br>(15 15) ST | 92 80 | 2 83 |
| *Share Price $22 550, Next Dividend Payable 01/02/12* | | | | | | | | |
| **BUNZL PLC NEW (BZLFY)** | 12/10/09 | 36 000 | 53 100 | 1,911 60 | 2,476 80 | 565 20 LT | | |
| | 12/29/10 | 4 000 | 57 650 | 230 60 | 275 20 | 44 60 LT | | |
| | **Total** | 40 000 | | 2,142 20 | **2,752.00** | 609 80 LT | 75 56 | 2.74 |
| *Share Price $68 800, Next Dividend Payable 01/13/12* | | | | | | | | |
| **CABLEVISION SYSTEMS CORP (CVC)** | 3/11/09 | 107 000 | 6.829 | 730 65 | 1,521 54 | 790 89 LT | | |
| | 7/29/11 | 31 000 | 24 530 | 760 42 | 440 82 | (319 60) ST | | |
| | 11/16/11 | 73.000 | 15.309 | 1,117.53 | 1,038 06 | (79 47) ST | | |
| | **Total** | 211 000 | | 2,608.60 | **3,000.42** | 790.89 LT<br>(399 07) ST | 126 60 | 4 21 |
| *Share Price $14 220; Next Dividend Payable 03/12* | | | | | | | | |
| **CANADIAN NATL RAILWAY CO (CNI)** | 3/11/09 | 13 000 | 32 570 | 423 41 | 1,021 28 | 597 87 LT A | | |
| | 3/11/09 | 12.000 | 32 570 | 390 84 | 942 72 | 551.88 LT A | | |
| | 3/11/09 | 7 000 | 32.570 | 227.99 | 549 92 | 321 93 LT A | | |
| | 6/18/09 | 63 000 | 42.011 | 2,646.68 | 4,949 28 | 2,302.60 LT A | | |
| | 12/29/10 | 2 000 | 66.490 | 132 98 | 157 12 | 24 14 LT | | |
| | 4/27/11 | 8.000 | 75 333 | 602 66 | 628 48 | 25 82 ST | | |
| | **Total** | 105.000 | | 4,424 56 | **8,248.80** | 3,798 42 LT<br>25.82 ST | 134.40 | 1 62 |
| *Share Price $78 560, Next Dividend Payable 03/12* | | | | | | | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account** 759-019935-028

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **CANON INC ADR NEW (CAJ)** | 8/12/10 | 13 000 | 41 425 | 538 53 | 572 52 | 33 99 LT | | |
| | 8/12/10 | 1.000 | 41.430 | 41 43 | 44.04 | 2 61 LT | | |
| | 8/24/10 | 21.000 | 41 345 | 868.25 | 924 84 | 56.59 LT | | |
| | 3/15/11 | 13.000 | 43.689 | 567 96 | 572.52 | 4.56 ST | | |
| | 4/27/11 | 23 000 | 45 499 | 1,046 47 | 1,012 92 | (33 55) ST | | |
| | 7/26/11 | 4 000 | 49 863 | 199.45 | 176.16 | (23.29) ST | | |
| | **Total** | 75.000 | | 3,262 09 | **3,303.00** | 93.19 LT<br>(52 28) ST | 108.53 | 3.28 |
| *Share Price $44 040* | | | | | | | | |
| **CAP GEMINI SA ADR (CGEMY)** | 2/9/11 | 11.000 | 27.260 | 299.86 | 172 81 | (127 05) ST | | |
| | 2/11/11 | 1 000 | 26.780 | 26.78 | 15.71 | (11.07) ST | | |
| | 3/11/11 | 50 000 | 28.037 | 1,401 87 | 785 50 | (616 37) ST | | |
| | 11/16/11 | 16 000 | 18 520 | 296.32 | 251 36 | (44.96) ST | | |
| | **Total** | 78 000 | | 2,024.83 | **1,225.38** | (799.45) ST | 43.45 | 3 54 |
| *Share Price $15 710* | | | | | | | | |
| **CAPITAL ONE FINANCIAL CORP (COF)** | 3/10/11 | 114 000 | 48.307 | 5,506 98 | 4,821 06 | (685 92) ST | | |
| | 11/16/11 | 8 000 | 42 746 | 341 97 | 338 32 | (3 65) ST | | |
| | **Total** | 122 000 | | 5,848 95 | **5,159.38** | (689 57) ST | 24 40 | 0 47 |
| *Share Price $42 290, Next Dividend Payable 03/12* | | | | | | | | |
| **CARNIVAL CP NEW PAIRED COM (CCL)** | 7/10/09 | 31 000 | 24 591 | 762 33 | 1,011 84 | 249 51 LT A | | |
| | 8/25/09 | 17 000 | 31.035 | 527 59 | 554 88 | 27.29 LT A | | |
| | 10/21/11 | 24 000 | 35 093 | 842 24 | 783 36 | (58.88) ST | | |
| | 11/16/11 | 3 000 | 32 017 | 96.05 | 97.92 | 1 87 ST | | |
| | **Total** | 75 000 | | 2,228 21 | **2,448.00** | 276 80 LT<br>(57 01) ST | 75 00 | 3 06 |
| *Share Price $32 640, Next Dividend Payable 03/12* | | | | | | | | |
| **CATALYST HEALTH SOLUTIONS INC (CHSI)** | 1/7/10 | 11 000 | 36 926 | 406.19 | 572 00 | 165 81 LT | | |
| | 3/26/10 | 15 000 | 42 587 | 638 81 | 780 00 | 141 19 LT | | |
| | 11/3/10 | 10 000 | 37 969 | 379 69 | 520 00 | 140 31 LT | | |
| | **Total** | 36.000 | | 1,424 69 | **1,872.00** | 447.31 LT | — | — |
| *Share Price $52 000* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **CELANESE CORP SERIES A COM STK (CE)** | 12/13/11 | 41 000 | 43 239 | 1,772 79 | **1,815.07** | 42 28 ST | 9 84 | 0 54 |
| *Share Price $44 270, Next Dividend Payable 02/12* | | | | | | | | |
| **CELESIO AG UNSPONS ADR (CAKFY)** | 12/10/09 | 134 000 | 5.030 | 674 02 | 416.74 | (257 28) LT | | |
| | 7/29/11 | 33 000 | 3.830 | 126 39 | 102 63 | (23 76) ST | | |
| | **Total** | 167 000 | | 800 41 | **519.37** | (257 28) LT<br>(23.76) ST | 15 53 | 2 99 |
| *Share Price $3 110* | | | | | | | | |
| **CENOVUS ENERGY INC COM (CVE)** | 4/12/10 | 25 000 | 28 720 | 718.00 | **830.00** | 112 00 LT | 19.90 | 2 39 |
| *Share Price $33 200, Next Dividend Payable 03/12* | | | | | | | | |
| **CENTRAIS ELEC BRAS SP ADR CM (EBR)** | 8/5/11 | 36 000 | 11 041 | 397 49 | 349 56 | (47.93) ST | | |
| | 8/15/11 | 37.000 | 10.501 | 388.52 | 359 27 | (29.25) ST | | |
| | 11/16/11 | 9 000 | 9.770 | 87 93 | 87.39 | (0 54) ST | | |
| | **Total** | 82 000 | | 873 94 | **796.22** | (77.72) ST | — | — |
| *Share Price $9 710* | | | | | | | | |
| **CENTRICA PLC SPONS ADR NEW (CPYYY)** | 3/8/10 | 24 000 | 17 266 | 414.39 | 427 68 | 13.29 LT | | |
| | 4/30/10 | 36.000 | 18.189 | 654 79 | 641 52 | (13.27) LT | | |
| | 5/28/10 | 24 000 | 15 990 | 383 76 | 427.68 | 43 92 LT | | |
| | 12/29/10 | 15 000 | 20 820 | 312 30 | 267 30 | (45.00) LT | | |
| | **Total** | 99 000 | | 1,765 24 | **1,764.18** | (1 06) LT | 91 48 | 5 18 |
| *Share Price $17 820* | | | | | | | | |
| **CERNER CORP (CERN)** | 3/11/11 | 64 000 | 51 475 | 3,294 37 | 3,920.00 | 625 63 ST | | |
| | 3/31/11 | 22 000 | 55 648 | 1,224 26 | 1,347.50 | 123 24 ST | | |
| | 4/1/11 | 2.000 | 56 675 | 113 35 | 122 50 | 9.15 ST | | |
| | **Total** | 88 000 | | 4,631 98 | **5,390.00** | 758 02 ST | — | — |
| *Share Price $61 250* | | | | | | | | |
| **CGI GROUPE INC CL A (GIB)** | 4/29/11 | 61.000 | 21 923 | 1,337.32 | **1,149.85** | (187.47) ST | — | — |
| *Share Price $18 850* | | | | | | | | |
| **CHECK POINT SOFTWARE TECH LTD (CHKP)** | 12/10/09 | 18 000 | 33 038 | 594 69 | 945 72 | 351 03 LT | | |
| | 12/10/09 | 1.000 | 33.038 | 33.04 | 52.54 | 19.50 LT | | |
| | 12/10/09 | 2 000 | 33 038 | 66 08 | 105.08 | 39 00 LT | | |
| | 11/3/10 | 1 000 | 42.680 | 42 68 | 52.54 | 9 86 LT | | |

CONTINUED

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 12/29/10 | 4.000 | 45 830 | 183 32 | 210 16 | 26.84 LT | | |
| | 12/29/10 | 6 000 | 45.830 | 274 98 | 315.24 | 40.26 LT | | |
| | 8/17/11 | 108 000 | 57.462 | 6,205 94 | 5,674.32 | (531.62) ST | | |
| | 8/17/11 | 4 000 | 57 463 | 229 85 | 210 16 | (19 69) ST | | |
| | 11/16/11 | 1 000 | 57.530 | 57.53 | 52.54 | (4 99) ST | | |
| | 11/16/11 | 2 000 | 57 510 | 115 02 | 105 08 | (9 94) ST | | |
| | **Total** | 147 000 | | 7,803 13 | **7,723.38** | 486 49 LT<br>(566.24) ST | — | — |
| *Share Price $52 540* | | | | | | | | |
| **CHEUNG KONG HOLDINGS ADR (CHEUY)** | 12/10/09 | 162 000 | 12.740 | 2,063 88 | 1,916 46 | (147 42) LT | | |
| | 12/10/09 | 89 000 | 12 740 | 1,133 86 | 1,052 87 | (80 99) LT | | |
| | 12/29/10 | 31 000 | 15 510 | 480 81 | 366 73 | (114 08) LT | | |
| | 11/16/11 | 29.000 | 11.670 | 338.43 | 343 07 | 4.64 ST | | |
| | 11/16/11 | 18 000 | 11 680 | 210.24 | 212 94 | 2 70 ST | | |
| | **Total** | 329.000 | | 4,227 22 | **3,892.07** | (342 49) LT<br>7 34 ST | 114 82 | 2 95 |
| *Share Price $11 830* | | | | | | | | |
| **CHEVRON CORP (CVX)** | 10/21/11 | 39 000 | 105 200 | 4,102 79 | 4,149 60 | 46 81 ST | | |
| | 12/13/11 | 23 000 | 104 757 | 2,409 42 | 2,447 20 | 37.78 ST | | |
| | **Total** | 62 000 | | 6,512 21 | **6,596.80** | 84 59 ST | 200 88 | 3 04 |
| *Share Price $106 400, Next Dividend Payable 03/12* | | | | | | | | |
| **CHINA LIFE INSURANCE CO LTD (LFC)** | 9/6/11 | 22.000 | 34.391 | 756.60 | 813 34 | 56.74 ST | | |
| | 10/3/11 | 19 000 | 34.579 | 657.00 | 702 43 | 45.43 ST | | |
| | 11/16/11 | 3 000 | 40 600 | 121 80 | 110 91 | (10 89) ST | | |
| | **Total** | 44 000 | | 1,535 40 | **1,626.68** | 91 28 ST | 35 68 | 2 19 |
| *Share Price $36 970* | | | | | | | | |
| **CHINA MOBILE LTD (CHL)** | 12/10/09 | 8.000 | 46.200 | 369.60 | 387 92 | 18.32 LT | | |
| | 12/10/09 | 3 000 | 46.200 | 138 60 | 145 47 | 6.87 LT | | |
| | 3/30/11 | 21.000 | 46.300 | 972 30 | 1,018 29 | 45.99 ST | | |
| | 8/12/11 | 4 000 | 48 155 | 192 62 | 193 96 | 1 34 ST | | |
| | 10/6/11 | 23 000 | 49 036 | 1,127 83 | 1,115 27 | (12.56) ST | | |

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MorganStanley SmithBarney

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 10/6/11 | 3 000 | 49.037 | 147 11 | 145 47 | (1 64) ST | | |
| | 11/16/11 | 2.000 | 49.510 | 99.02 | 96 98 | (2.04) ST | | |
| | 11/16/11 | 1 000 | 49.510 | 49.51 | 48 49 | (1.02) ST | | |
| | **Total** | 65 000 | | 3,096 59 | **3,151.85** | 25 19 LT<br>30 07 ST | 119 34 | 3 78 |
| *Share Price $48 490* | | | | | | | | |
| **CHINA TELECOM LTD (CHA)** | 12/10/09 | 15 000 | 43.550 | 653 25 | 856 95 | 203 70 LT | | |
| | 5/28/10 | 3.000 | 46.140 | 138 42 | 171 39 | 32 97 LT | | |
| | 12/29/10 | 7 000 | 51 240 | 358 68 | 399 91 | 41.23 LT | | |
| | 11/16/11 | 1 000 | 61.240 | 61.24 | 57.13 | (4 11) ST | | |
| | **Total** | 26.000 | | 1,211 59 | **1,485.38** | 277 90 LT<br>(4.11) ST | 25.56 | 1.72 |
| *Share Price $57 130* | | | | | | | | |
| **CHUBB CORP (CB)** | 6/10/09 | 25 000 | 41.192 | 1,029.81 | 1,730.50 | 700.69 LT A | | |
| | 8/5/09 | 25.000 | 48 229 | 1,205 73 | 1,730.50 | 524.77 LT A | | |
| | 12/10/09 | 2 000 | 48.570 | 97.14 | 138 44 | 41 30 LT | | |
| | **Total** | 52 000 | | 2,332 68 | **3,599.44** | 1,266.76 LT | 81 12 | 2 25 |
| *Share Price $69 220, Next Dividend Payable 01/10/12* | | | | | | | | |
| **CHURCH & DWIGHT CO INC (CHD)** | 6/17/09 | 36 000 | 26 026 | 936 94 | 1,647.36 | 710 42 LT A | | |
| | 6/25/09 | 20.000 | 27 266 | 545 31 | 915 20 | 369 89 LT A | | |
| | **Total** | 56.000 | | 1,482 25 | **2,562.56** | 1,080 31 LT | 38.08 | 1.48 |
| *Share Price $45 760, Next Dividend Payable 03/12* | | | | | | | | |
| **CIELO SA SPONSORED ADR NEW (CIOXY)** | 9/27/11 | 39 000 | 23 801 | 928 25 | **1,010.88** | 82 63 ST | 61 23 | 6 05 |
| *Share Price $25 920* | | | | | | | | |
| **CINEMARK HOLDINGS INC. (CNK)** | 8/31/10 | 85 000 | 14 588 | 1,240 02 | 1,571.65 | 331.63 LT | | |
| | 5/13/11 | 23 000 | 20 690 | 475.86 | 425 27 | (50 59) ST | | |
| | **Total** | 108 000 | | 1,715 88 | **1,996.92** | 331 63 LT<br>(50 59) ST | 90 72 | 4 54 |
| *Share Price $18 490, Next Dividend Payable 03/12* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **CISCO SYS INC (CSCO)** | 6/20/11 | 415 000 | 15.135 | 6,281 11 | **7,503.20** | 1,222 09 ST | 99 60 | 1 32 |
| *Share Price $18 080, Next Dividend Payable 01/12* | | | | | | | | |
| **CITIC PACIFIC LTD SPONS ADR (CTPCY)** | 8/4/11 | 62.000 | 10 120 | 627.44 | 557 38 | (70.06) ST | | |
| | 8/8/11 | 43 000 | 9 177 | 394 62 | 386 57 | (8 05) ST | | |
| | 11/16/11 | 3 000 | 9 260 | 27 78 | 26 97 | (0 81) ST | | |
| | **Total** | 108.000 | | 1,049 84 | **970.92** | (78.92) ST | 27.76 | 2.85 |
| *Share Price $8 990* | | | | | | | | |
| **CITIGROUP INC NEW (C)** | 10/21/11 | 98 000 | 30 099 | 2,949.72 | **2,578.38** | (371 34) ST | 3.92 | 0.15 |
| *Share Price $26 310, Next Dividend Payable 02/12* | | | | | | | | |
| **CLOROX CO DE (CLX)** | 10/28/09 | 23.000 | 57.990 | 1,333 77 | 1,530 88 | 197.11 LT A | | |
| | 12/10/09 | 10.000 | 61 944 | 619.44 | 665 60 | 46.16 LT | | |
| | 11/16/11 | 4 000 | 65 310 | 261 24 | 266 24 | 5 00 ST | | |
| | **Total** | 37 000 | | 2,214 45 | **2,462.72** | 243 27 LT<br>5 00 ST | 88.80 | 3 60 |
| *Share Price $66 560, Next Dividend Payable 02/12* | | | | | | | | |
| **CNOOC LTD ADS (CEO)** | 12/10/09 | 18.000 | 155.300 | 2,795 40 | 3,144.24 | 348.84 LT | | |
| | 12/27/10 | 1 000 | 232.700 | 232 70 | 174.68 | (58.02) LT | | |
| | 11/16/11 | 2 000 | 198.130 | 396 26 | 349.36 | (46.90) ST | | |
| | **Total** | 21 000 | | 3,424 36 | **3,668.28** | 290.82 LT<br>(46 90) ST | 121 36 | 3 30 |
| *Share Price $174 680* | | | | | | | | |
| **COACH INC (COH)** | 9/15/11 | 112 000 | 57 663 | 6,458 30 | **6,836.48** | 378 18 ST | 100.80 | 1 47 |
| *Share Price $61 040, Next Dividend Payable 01/03/12* | | | | | | | | |
| **COCA COLA AMATIL LTD SPON ADR (CCLAY)** | 12/10/09 | 73.000 | 20.200 | 1,474.60 | 1,703 09 | 228.49 LT | | |
| | 8/22/11 | 23.000 | 24.458 | 562.53 | 536 59 | (25.94) ST | | |
| | 11/16/11 | 7 000 | 25 240 | 176 68 | 163.31 | (13 37) ST | | |
| | **Total** | 103 000 | | 2,213 81 | **2,402.99** | 228 49 LT<br>(39 31) ST | 102 59 | 4 26 |
| *Share Price $23 330* | | | | | | | | |
| **COCA COLA CO (KO)** | 9/8/10 | 95 000 | 57 974 | 5,507 49 | 6,647 15 | 1,139 66 LT | | |
| | 11/16/11 | 3 000 | 67.577 | 202 73 | 209 91 | 7 18 ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 98 000 | | 5,710 22 | **6,857.06** | 1,139 66 LT<br>7 18 ST | 184 24 | 2 68 |
| *Share Price $69 970, Next Dividend Payable 03/12* | | | | | | | | |
| **COCA COLA HELLENIC BOTTLING (CCH)** | 12/10/09 | 53 000 | 24 072 | 1,275 82 | 885 10 | (390 72) LT | | |
| | 11/16/11 | 4.000 | 17 610 | 70 44 | 66 80 | (3 64) ST | | |
| | **Total** | 57.000 | | 1,346.26 | **951.90** | (390.72) LT<br>(3 64) ST | — | — |
| *Share Price $16 700* | | | | | | | | |
| **COGNIZANT TECH SOLUTIONS CL A (CTSH)** | 12/10/09 | 40 000 | 44.209 | 1,768 34 | **2,572.40** | 804 06 LT | — | — |
| *Share Price $64 310* | | | | | | | | |
| **COLGATE PALMOLIVE CO (CL)** | 3/10/09 | 65 000 | 55.410 | 3,601.65 | 6,005.35 | 2,403.70 LT A | | |
| | 12/10/09 | 4 000 | 82 880 | 331 52 | 369 56 | 38 04 LT | | |
| | 12/29/10 | 16.000 | 80 760 | 1,292.16 | 1,478 24 | 186.08 LT | | |
| | **Total** | 85 000 | | 5,225 33 | **7,853.15** | 2,627 82 LT | 197 20 | 2 51 |
| *Share Price $92 390, Next Dividend Payable 02/12* | | | | | | | | |
| **COMCAST CORP (NEW) CLASS A (CMCSA)** | 4/26/11 | 20 000 | 25.552 | 511 05 | 474.20 | (36.85) ST | | |
| | 8/8/11 | 37 000 | 21.190 | 784 03 | 877 27 | 93.24 ST | | |
| | **Total** | 57 000 | | 1,295 08 | **1,351.47** | 56 39 ST | 25 65 | 1 89 |
| *Share Price $23 710, Next Dividend Payable 01/25/12* | | | | | | | | |
| **COMPASS GROUP PLC SPON ADR NEW (CMPGY)** | 12/10/09 | 331 000 | 7 390 | 2,446 09 | 3,137 88 | 691 79 LT | | |
| | 12/29/10 | 34 000 | 9.370 | 318.58 | 322 32 | 3.74 LT | | |
| | 11/16/11 | 19 000 | 8.980 | 170 62 | 180.12 | 9 50 ST | | |
| | **Total** | 384 000 | | 2,935 29 | **3,640.32** | 695 53 LT<br>9.50 ST | 105.60 | 2 90 |
| *Share Price $9 480* | | | | | | | | |
| **COMPLETE PROD SERV INC (CPX)** | 8/25/11 | 47.000 | 26 924 | 1,265.43 | 1,577 32 | 311.89 ST | | |
| | 11/16/11 | 3 000 | 35 980 | 107 94 | 100 68 | (7 26) ST | | |
| | **Total** | 50 000 | | 1,373 37 | **1,678.00** | 304 63 ST | — | — |
| *Share Price $33 560* | | | | | | | | |
| **CONOCOPHILLIPS (COP)** | 4/19/10 | 27 000 | 56 552 | 1,526 91 | 1,967 49 | 440.58 LT | | |
| | 5/27/10 | 22.000 | 51 825 | 1,140.15 | 1,603.14 | 462 99 LT | | |
| | 6/17/10 | 16 000 | 54 845 | 877 52 | 1,165 92 | 288.40 LT | | |

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# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 65 000 | | 3,544 58 | **4,736.55** | 1,191 97 LT | 171 60 | 3 62 |
| *Share Price $72 870, Next Dividend Payable 03/12* | | | | | | | | |
| **CONS EDISON INC (HLDG CO) (ED)** | 3/11/09 | 26 000 | 34 290 | 891 54 | 1,612 78 | 721.24 LT A | | |
| | 12/10/09 | 2.000 | 44.460 | 88 92 | 124 06 | 35.14 LT | | |
| | **Total** | 28 000 | | 980.46 | **1,736.84** | 756 38 LT | 67.20 | 3.86 |
| *Share Price $62 030, Next Dividend Payable 03/12* | | | | | | | | |
| **CONSTELLATION ENERGY GP INC (CEG)** | 10/7/11 | 59 000 | 37 577 | 2,217 04 | 2,340 53 | 123 49 ST | | |
| | 11/18/11 | 19 000 | 39.628 | 752 94 | 753 73 | 0.79 ST | | |
| | **Total** | 78 000 | | 2,969 98 | **3,094.26** | 124.28 ST | 74 88 | 2.41 |
| *Share Price $39 670, Next Dividend Payable 01/03/12* | | | | | | | | |
| **COOPER CO INC NEW (COO)** | 9/30/11 | 23 000 | 80.284 | 1,846 53 | **1,621.96** | (224 57) ST | 1 38 | 0 08 |
| *Share Price $70 520, Next Dividend Payable 02/12* | | | | | | | | |
| **CORE LABORATORIES N V (CLB)** | 3/11/09 | 3 000 | 34 920 | 104.76 | 341.85 | 237 09 LT A | | |
| | 12/10/09 | 12 000 | 54 175 | 650 10 | 1,367 40 | 717 30 LT | | |
| | **Total** | 15 000 | | 754 86 | **1,709.25** | 954 39 LT | 15 00 | 0 87 |
| *Share Price $113 950, Next Dividend Payable 02/12* | | | | | | | | |
| **COVIDIEN PLC NEW (COV)** | 3/11/09 | 5 000 | 29 760 | 148.80 | 225.05 | 76.25 LT A | | |
| | 3/11/09 | 22 000 | 29 760 | 654.72 | 990.22 | 335.50 LT A | | |
| | 6/17/10 | 27.000 | 41.914 | 1,131 69 | 1,215 27 | 83.58 LT | | |
| | **Total** | 54 000 | | 1,935 21 | **2,430.54** | 495 33 LT | 48 60 | 1 99 |
| *Share Price $45 010, Next Dividend Payable 02/12* | | | | | | | | |
| **CREDIT AGRICOLE SA UNSP ADR (CRARY)** | 8/19/10 | 63 000 | 6.540 | 412.02 | 172.62 | (239 40) LT | | |
| | 12/29/10 | 108 000 | 6.360 | 686.88 | 295 92 | (390 96) LT | | |
| | 6/28/11 | 17 000 | 7.150 | 121 55 | 46.58 | (74 97) ST | | |
| | 9/6/11 | 119 000 | 3 970 | 472 38 | 326 06 | (146 32) ST | | |
| | 9/29/11 | 105 000 | 3 660 | 384 30 | 287 70 | (96 60) ST | | |

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# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 412 000 | | 2,077 13 | **1,128.88** | (630 36) LT<br>(317 89) ST | 98 88 | 8 75 |
| *Share Price $2 740* | | | | | | | | |
| **CREDIT SUISSE GROUP (CS)** | 7/1/11 | 32 000 | 39 837 | 1,274 79 | 751 36 | (523 43) ST | | |
| | 8/31/11 | 13 000 | 28 850 | 375 05 | 305 24 | (69 81) ST | | |
| | 9/30/11 | 13 000 | 26.491 | 344 38 | 305 24 | (39.14) ST | | |
| | 11/16/11 | 11.000 | 23.340 | 256 74 | 258 28 | 1.54 ST | | |
| | **Total** | 69.000 | | 2,250.96 | **1,620.12** | (630.84) ST | 102.05 | 6.29 |
| *Share Price $23 480* | | | | | | | | |
| **CRH PLC ADR (CRH)** | 12/10/09 | 34 000 | 26 610 | 904 74 | 673 88 | (230 86) LT | | |
| | 8/27/10 | 19.000 | 15 727 | 298 81 | 376 58 | 77 77 LT | | |
| | 7/29/11 | 11 000 | 19 780 | 217 58 | 218 02 | 0 44 ST | | |
| | 11/16/11 | 3 000 | 18 030 | 54 09 | 59.46 | 5.37 ST | | |
| | **Total** | 67 000 | | 1,475 22 | **1,327.94** | (153 09) LT<br>5 81 ST | 58.69 | 4 41 |
| *Share Price $19 820* | | | | | | | | |
| **CROWN HLDGS INC (HOLDING CO) (CCK)** | 12/10/09 | 67 000 | 25 448 | 1,704.98 | **2,249.86** | 544 88 LT | — | — |
| *Share Price $33 580* | | | | | | | | |
| **CVS CAREMARK CORP (CVS)** | 6/9/10 | 39 000 | 30 792 | 1,200 87 | 1,590 42 | 389 55 LT | | |
| | 6/17/10 | 16 000 | 31 791 | 508 66 | 652.48 | 143.82 LT | | |
| | 11/1/10 | 26 000 | 30 000 | 780 00 | 1,060 28 | 280 28 LT | | |
| | 10/21/11 | 35 000 | 35 487 | 1,242 05 | 1,427 30 | 185.25 ST | | |
| | **Total** | 116 000 | | 3,731 58 | **4,730.48** | 813 65 LT<br>185 25 ST | 75 40 | 1 59 |
| *Share Price $40 780, Next Dividend Payable 02/12* | | | | | | | | |
| **DANONE SPONSORED ADR (DANOY)** | 12/10/09 | 87 000 | 12 180 | 1,059 66 | 1,099 68 | 40 02 LT | | |
| | 2/24/10 | 52 000 | 11.796 | 613 41 | 657 28 | 43 87 LT | | |
| | 2/16/11 | 60 000 | 12 393 | 743 55 | 758 40 | 14 85 ST | | |

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# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 199.000 | | 2,416 62 | **2,515.36** | 83.89 LT<br>14 85 ST | 50 94 | 2 02 |
| *Share Price $12 640* | | | | | | | | |
| **DANSKE BK A/S SPON ADR (DNSKY)** | 9/30/11 | 105 000 | 7.126 | 748 27 | 661 50 | (86 77) ST | | |
| | 11/16/11 | 18 000 | 6 630 | 119.34 | 113 40 | (5 94) ST | | |
| | **Total** | 123.000 | | 867.61 | **774.90** | (92.71) ST | — | — |
| *Share Price $6 300* | | | | | | | | |
| **DAVITA INC (DVA)** | 12/10/09 | 29 000 | 59.310 | 1,719 99 | **2,198.49** | 478 50 LT | — | — |
| *Share Price $75 810* | | | | | | | | |
| **DBS GROUP HOLDINGS LTD SP (DBSDY)** | 12/10/09 | 61 000 | 42.250 | 2,577 25 | 2,160.62 | (416 63) LT | | |
| | 12/29/10 | 9.000 | 44.790 | 403.11 | 318 78 | (84.33) LT | | |
| | 11/16/11 | 6.000 | 39 790 | 238.74 | 212 52 | (26.22) ST | | |
| | **Total** | 76 000 | | 3,219 10 | **2,691.92** | (500 96) LT<br>(26.22) ST | 130 80 | 4 85 |
| *Share Price $35 420* | | | | | | | | |
| **DEERE & CO (DE)** | 3/23/10 | 85 000 | 61.301 | 5,210.55 | 6,574 75 | 1,364.20 LT | | |
| | 3/23/10 | 14 000 | 61 301 | 858.21 | 1,082 90 | 224.69 LT | | |
| | 12/13/11 | 3.000 | 76 897 | 230.69 | 232 05 | 1.36 ST | | |
| | **Total** | 102 000 | | 6,299 45 | **7,889.70** | 1,588 89 LT<br>1.36 ST | 167 28 | 2 12 |
| *Share Price $77 350, Next Dividend Payable 02/01/12* | | | | | | | | |
| **DENBURY RESOURCES INC NEW (DNR)** | 3/10/09 | 90 000 | 14 966 | 1,346 95 | **1,359.00** | 12 05 LT A | — | — |
| *Share Price $15 100* | | | | | | | | |
| **DENSO CORP LTD ADR (DNZOY)** | 12/10/09 | 64.000 | 14.844 | 950.00 | 874.88 | (75 12) LT | | |
| | 12/27/10 | 6.000 | 17.150 | 102 90 | 82.02 | (20 88) LT | | |
| | 12/29/10 | 14 000 | 17 320 | 242 48 | 191 38 | (51.10) LT | | |
| | 3/16/11 | 12 000 | 15 808 | 189 69 | 164 04 | (25 65) ST | | |
| | 6/2/11 | 43 000 | 17 645 | 758 73 | 587 81 | (170 92) ST | | |
| | 11/16/11 | 3.000 | 14.240 | 42 72 | 41.01 | (1 71) ST | | |
| | **Total** | 142.000 | | 2,286 52 | **1,941.14** | (147 10) LT<br>(198 28) ST | 32 80 | 1 68 |
| *Share Price $13 670* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **DENTSPLY INTERNATIONAL INC (XRAY)** | 12/15/11 | 55 000 | 34 890 | 1,918 95 | **1,924.45** | 5 50 ST | 12 10 | 0 62 |
| *Share Price $34 990, Next Dividend Payable 01/10/12* | | | | | | | | |
| **DEUTSCHE LUFTHANSA ADR (DLAKY)** | 6/29/11 | 29 000 | 21.570 | 625.53 | 341.62 | (283.91) ST | | |
| | 10/27/11 | 28 000 | 15 087 | 422 44 | 329 84 | (92.60) ST | | |
| | 11/16/11 | 6.000 | 12.710 | 76 26 | 70.68 | (5.58) ST | | |
| | 11/30/11 | 28.000 | 12 956 | 362.77 | 329.84 | (32 93) ST | | |
| | **Total** | 91 000 | | 1,487 00 | **1,071.98** | (415 02) ST | 57 88 | 5.39 |
| *Share Price $11 780* | | | | | | | | |
| **DEUTSCHE POST AG SPONSORED ADR (DPSGY)** | 12/10/09 | 67 000 | 19 450 | 1,303 15 | 1,033 14 | (270 01) LT | | |
| | 2/4/11 | 13 000 | 18 250 | 237 25 | 200 46 | (36 79) ST | | |
| | **Total** | 80 000 | | 1,540 40 | **1,233.60** | (270.01) LT<br>(36.79) ST | 71 92 | 5 83 |
| *Share Price $15 420* | | | | | | | | |
| **DEVON ENERGY CORP NEW (DVN)** | 6/11/10 | 80 000 | 67 761 | 5,420 85 | 4,960 00 | (460 85) LT | | |
| | 7/29/11 | 8 000 | 79.001 | 632.01 | 496 00 | (136 01) ST | | |
| | 11/16/11 | 10 000 | 67 646 | 676 46 | 620 00 | (56 46) ST | | |
| | **Total** | 98.000 | | 6,729 32 | **6,076.00** | (460 85) LT<br>(192 47) ST | 66 64 | 1.09 |
| *Share Price $62 000, Next Dividend Payable 03/12* | | | | | | | | |
| **DIGITAL REALTY TRUST INC (DLR)** | 12/10/09 | 38.000 | 47 952 | 1,822.17 | **2,533.46** | 711 29 LT | 103.36 | 4 07 |
| *Share Price $66 670, Next Dividend Payable 01/13/12* | | | | | | | | |
| **DOLLAR TREE INC (DLTR)** | 12/1/11 | 73 000 | 82 291 | 6,007 27 | **6,067.03** | 59 76 ST | — | — |
| *Share Price $83 110* | | | | | | | | |
| **DU PONT EI DE NEMOURS & CO (DD)** | 2/18/11 | 124 000 | 55 923 | 6,934 50 | 5,676 72 | (1,257 78) ST | | |
| | 11/16/11 | 15 000 | 47 787 | 716.80 | 686 70 | (30.10) ST | | |
| | **Total** | 139 000 | | 7,651 30 | **6,363.42** | (1,287 88) ST | 227.96 | 3.58 |
| *Share Price $45 780, Next Dividend Payable 03/12* | | | | | | | | |
| **E.ON AG (EONGY)** | 12/10/09 | 48 000 | 40.270 | 1,932 96 | 1,026.72 | (906.24) LT | | |
| | 12/29/10 | 14 000 | 30.300 | 424 20 | 299 46 | (124.74) LT | | |
| | 11/16/11 | 3.000 | 23.360 | 70 08 | 64.17 | (5 91) ST | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 65 000 | | 2,427 24 | **1,390.35** | (1,030 98) LT<br>(5 91) ST | 103 22 | 7 42 |
| *Share Price $21 390* | | | | | | | | |
| **ECOLAB INC (ECL)** | 6/16/11 | 44 000 | 54 237 | 2,386 41 | **2,543.64** | 157 23 ST | 35 20 | 1 38 |
| *Share Price $57 810, Next Dividend Payable 01/17/12* | | | | | | | | |
| **EL PASO CORPORATION (EP)** | 9/12/11 | 81 000 | 18.480 | 1,496 88 | 2,152 17 | 655.29 ST | | |
| | 10/17/11 | 39 000 | 24 020 | 936 78 | 1,036 23 | 99 45 ST | | |
| | **Total** | 120 000 | | 2,433 66 | **3,188.40** | 754.74 ST | 4 80 | 0.15 |
| *Share Price $26 570, Next Dividend Payable 01/03/12* | | | | | | | | |
| **EMBRAER S A ADR (ERJ)** | 12/10/09 | 17.000 | 20.380 | 346.46 | 428 74 | 82.28 LT | | |
| | 7/29/11 | 4.000 | 29.650 | 118.60 | 100.88 | (17.72) ST | | |
| | 11/16/11 | 1 000 | 26.410 | 26 41 | 25.22 | (1.19) ST | | |
| | **Total** | 22 000 | | 491 47 | **554.84** | 82 28 LT<br>(18.91) ST | — | — |
| *Share Price $25 220* | | | | | | | | |
| **EMC CORP MASS (EMC)** | 10/5/09 | 185.000 | 16.850 | 3,117 32 | 3,984 90 | 867.58 LT A | | |
| | 12/10/09 | 31 000 | 16 538 | 512 68 | 667 74 | 155.06 LT | | |
| | **Total** | 216 000 | | 3,630 00 | **4,652.64** | 1,022 64 LT | — | — |
| *Share Price $21 540* | | | | | | | | |
| **ENDURANCE SPCLTY HLDGS LTD (ENH)** | 3/11/09 | 50 000 | 21 020 | 1,051 00 | 1,912 50 | 861 50 LT A | | |
| | 5/7/09 | 20.000 | 25.580 | 511 59 | 765.00 | 253.41 LT A | | |
| | 8/19/09 | 5 000 | 34 150 | 170 75 | 191 25 | 20.50 LT A | | |
| | 11/16/11 | 10 000 | 37 692 | 376 92 | 382 50 | 5 58 ST | | |
| | **Total** | 85 000 | | 2,110 26 | **3,251.25** | 1,135.41 LT<br>5 58 ST | 102 00 | 3 13 |
| *Share Price $38 250, Next Dividend Payable 03/12* | | | | | | | | |
| **ENI SPA AMER DEP RCPT (E)** | 12/10/09 | 35 000 | 49 180 | 1,721 30 | 1,444 45 | (276 85) LT | | |
| | 8/4/11 | 16 000 | 39 289 | 628 63 | 660 32 | 31 69 ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 51 000 | | 2,349 93 | **2,104.77** | (276 85) LT<br>31.69 ST | 104 50 | 4 96 |
| *Share Price $41 270* | | | | | | | | |
| **ENTERGY CORP NEW (ETR)** | 3/11/09 | 23 000 | 60 980 | 1,402 54 | 1,680 15 | 277 61 LT A | | |
| | 12/10/09 | 4 000 | 80 930 | 323 72 | 292 20 | (31 52) LT | | |
| | 1/18/11 | 12 000 | 72 772 | 873 26 | 876 60 | 3 34 ST | | |
| | **Total** | 39.000 | | 2,599.52 | **2,848.95** | 246 09 LT<br>3 34 ST | 129 48 | 4.54 |
| *Share Price $73 050, Next Dividend Payable 03/12* | | | | | | | | |
| **EQT CORPORATION COM NEW (EQT)** | 12/10/09 | 27 000 | 40 971 | 1,106 23 | **1,479.33** | 373 10 LT | 23.76 | 1 60 |
| *Share Price $54 790, Next Dividend Payable 03/12* | | | | | | | | |
| **ERICSSON LM TEL ADR CL B NEW (ERIC)** | 12/10/09 | 91 000 | 9 508 | 865 23 | 921 83 | 56 60 LT | | |
| | 5/10/10 | 27 000 | 10 510 | 283 77 | 273.51 | (10 26) LT | | |
| | 10/7/10 | 39 000 | 10 820 | 421 98 | 395 07 | (26 91) LT | | |
| | 10/20/10 | 53 000 | 10 876 | 576 44 | 536 89 | (39 55) LT | | |
| | 11/3/10 | 77 000 | 10 834 | 834 26 | 780 01 | (54.25) LT | | |
| | 11/3/10 | 5 000 | 10 834 | 54 17 | 50.65 | (3 52) LT | | |
| | 11/3/10 | 1 000 | 10 834 | 10 83 | 10 13 | (0 70) LT | | |
| | 12/29/10 | 49 000 | 11 550 | 565 95 | 496.37 | (69 58) LT | | |
| | 1/26/11 | 56 000 | 12 516 | 700 90 | 567 28 | (133 62) ST | | |
| | 6/20/11 | 28 000 | 13.615 | 381.23 | 283 64 | (97.59) ST | | |
| | 6/23/11 | 54 000 | 13 383 | 722 67 | 547.02 | (175.65) ST | | |
| | 8/9/11 | 34 000 | 10 880 | 369 92 | 344 42 | (25.50) ST | | |
| | 11/16/11 | 23 000 | 10.127 | 232.92 | 232.99 | 0.07 ST | | |
| | 11/16/11 | 19.000 | 10 137 | 192.60 | 192.47 | (0.13) ST | | |
| | **Total** | 556 000 | | 6,212 87 | **5,632.28** | (148 17) LT<br>(432 42) ST | 143 44 | 2.54 |
| *Share Price $10 130* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **ESSEX PROPERTY TRUST INC (ESS)** | 12/10/09 | 14 000 | 81 488 | 1,140 84 | **1,967.14** | 826 30 LT | 58 24 | 2.96 |
| *Share Price $140 510, Next Dividend Payable 01/13/12* | | | | | | | | |
| **EXPEDITORS INTL WASH INC (EXPD)** | 4/25/11 | 26.000 | 53.504 | 1,391.11 | 1,064 96 | (326 15) ST | | |
| | 11/16/11 | 1 000 | 44 850 | 44 85 | 40.96 | (3 89) ST | | |
| | **Total** | 27.000 | | 1,435 96 | **1,105.92** | (330 04) ST | 13 50 | 1 22 |
| *Share Price $40 960; Next Dividend Payable 06/12* | | | | | | | | |
| **EXXON MOBIL CORP (XOM)** | 3/10/09 | 9.000 | 66.890 | 602.01 | 762.84 | 160.83 LT A | | |
| | 9/9/09 | 16.000 | 70 240 | 1,123 84 | 1,356.16 | 232.32 LT A | | |
| | 12/10/09 | 6 000 | 72.570 | 435.42 | 508 56 | 73 14 LT | | |
| | 2/24/10 | 10 000 | 65 541 | 655 41 | 847 60 | 192 19 LT | | |
| | 7/9/10 | 89 000 | 58 759 | 5,229.56 | 7,543 64 | 2,314 08 LT | | |
| | 7/13/10 | 22 000 | 59 473 | 1,308.41 | 1,864 72 | 556 31 LT | | |
| | **Total** | 152 000 | | 9,354 65 | **12,883.52** | 3,528 87 LT | 285 76 | 2 21 |
| *Share Price $84 760, Next Dividend Payable 03/12* | | | | | | | | |
| **EZCORP INC A (EZPW)** | 8/2/10 | 56.000 | 20.164 | 1,129 21 | **1,476.72** | 347 51 LT | — | — |
| *Share Price $26 370* | | | | | | | | |
| **FACTSET RESEARCH SYSTEMS INC (FDS)** | 12/10/09 | 7 000 | 75 450 | 528 15 | **610.96** | 82.81 LT | 7 56 | 1 23 |
| *Share Price $87 280, Next Dividend Payable 03/12* | | | | | | | | |
| **FAMILY DOLLAR STORES (FDO)** | 9/13/11 | 33 000 | 51.358 | 1,694 81 | 1,902.78 | 207 97 ST | | |
| | 11/16/11 | 2 000 | 56 930 | 113 86 | 115 32 | 1.46 ST | | |
| | **Total** | 35 000 | | 1,808 67 | **2,018.10** | 209 43 ST | 25 20 | 1 24 |
| *Share Price $57 660, Next Dividend Payable 01/13/12* | | | | | | | | |
| **FANUC CORPORATION UNSP ADR (FANUY)** | 7/29/10 | 61 000 | 20.174 | 1,230.61 | 1,543 30 | 312.69 LT | | |
| | 12/28/10 | 5 000 | 25.460 | 127 30 | 126.50 | (0.80) LT | | |
| | 12/29/10 | 11 000 | 25.760 | 283 36 | 278 30 | (5 06) LT | | |
| | 11/16/11 | 3 000 | 27 570 | 82 71 | 75 90 | (6.81) ST | | |
| | **Total** | 80 000 | | 1,723 98 | **2,024.00** | 306 83 LT<br>(6.81) ST | 29.76 | 1.47 |
| *Share Price $25 300* | | | | | | | | |
| **FASTENAL CO (FAST)** | 4/22/10 | 170.000 | 27.299 | 4,640.86 | **7,413.70** | 2,772.84 LT | 95 20 | 1 28 |
| *Share Price $43 610, Next Dividend Payable 02/12* | | | | | | | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **FIFTH 3RD BANCORP OHIO (FITB)** | 8/12/09 | 70 000 | 10.309 | 721 60 | 890 40 | 168 80 LT A | | |
| | 12/10/09 | 14 000 | 10 290 | 144 06 | 178 08 | 34 02 LT | | |
| | 1/27/10 | 126.000 | 12 242 | 1,542 50 | 1,602 72 | 60 22 LT | | |
| | 12/29/10 | 64 000 | 14.835 | 949 45 | 814 08 | (135 37) LT | | |
| | 4/1/11 | 2 000 | 14 040 | 28 08 | 25 44 | (2 64) ST | | |
| | 7/15/11 | 34 000 | 11.860 | 403 24 | 432 48 | 29.24 ST | | |
| | **Total** | 310 000 | | 3,788 93 | **3,943.20** | 127 67 LT<br>26 60 ST | 99 20 | 2.51 |
| *Share Price $12 720, Next Dividend Payable 01/20/12* | | | | | | | | |
| **FIRST AMERICAN FINL CORP (FAF)** | 2/23/11 | 38 000 | 15 972 | 606 92 | 481.46 | (125 46) ST | | |
| | 3/18/11 | 42.000 | 16 745 | 703.31 | 532 14 | (171 17) ST | | |
| | 3/22/11 | 3.000 | 16.750 | 50.25 | 38.01 | (12 24) ST | | |
| | 11/16/11 | 53 000 | 11 880 | 629 65 | 671.51 | 41 86 ST | | |
| | **Total** | 136 000 | | 1,990 13 | **1,723.12** | (267.01) ST | 32 64 | 1 89 |
| *Share Price $12 670, Next Dividend Payable 01/17/12* | | | | | | | | |
| **FIRST NIAGARA FNCL GP NEW (FNFG)** | 9/20/11 | 75.000 | 10.440 | 783 02 | 647 25 | (135 77) ST | | |
| | 12/7/11 | 59 000 | 8.990 | 530 41 | 509.17 | (21.24) ST | | |
| | **Total** | 134 000 | | 1,313 43 | **1,156.42** | (157 01) ST | 85 76 | 7 41 |
| *Share Price $8 630, Next Dividend Payable 02/12* | | | | | | | | |
| **FISERV INC WISCONSIN (FISV)** | 12/10/09 | 27 000 | 46 780 | 1,263 06 | **1,585.98** | 322 92 LT | — | — |
| *Share Price $58 740* | | | | | | | | |
| **FLEXTRONICS INTL LTD (FLEX)** | 5/10/10 | 43 000 | 7 300 | 313 90 | 243.38 | (70 52) LT | | |
| | 10/21/10 | 73 000 | 6 181 | 451 22 | 413 18 | (38.04) LT | | |
| | 7/29/11 | 13 000 | 6.480 | 84 24 | 73 58 | (10 66) ST | | |
| | **Total** | 129 000 | | 849.36 | **730.14** | (108 56) LT<br>(10.66) ST | — | — |
| *Share Price $5 660* | | | | | | | | |

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# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **FOMENTO ECONOMICO MEXICANO (FMX)** | 8/23/10 | 18 000 | 49.805 | 896 49 | 1,254 78 | 358 29 LT | | |
| | 3/1/11 | 8 000 | 56.000 | 448 00 | 557 68 | 109 68 ST | | |
| | 9/2/11 | 8 000 | 68.998 | 551 98 | 557 68 | 5.70 ST | | |
| | 10/12/11 | 5 000 | 68.546 | 342 73 | 348 55 | 5.82 ST | | |
| | 11/16/11 | 3 000 | 66 680 | 200 04 | 209 13 | 9 09 ST | | |
| | **Total** | 42.000 | | 2,439.24 | **2,927.82** | 358.29 LT<br>130.29 ST | 46.03 | 1.57 |
| *Share Price $69 710* | | | | | | | | |
| **FOSSIL INC (FOSL)** | 2/11/11 | 9 000 | 83 371 | 750 34 | 714 24 | (36 10) ST | | |
| | 2/16/11 | 13 000 | 79 194 | 1,029.52 | 1,031 68 | 2 16 ST | | |
| | **Total** | 22 000 | | 1,779 86 | **1,745.92** | (33 94) ST | — | — |
| *Share Price $79 360* | | | | | | | | |
| **FRANCE TELECOM (FTE)** | 12/10/09 | 74 000 | 25 708 | 1,902 42 | 1,158 84 | (743 58) LT | | |
| | 12/29/10 | 16 000 | 20 970 | 335 52 | 250 56 | (84 96) LT | | |
| | 10/14/11 | 17 000 | 18 219 | 309 72 | 266 22 | (43 50) ST | | |
| | 11/16/11 | 11 000 | 16 980 | 186 78 | 172 26 | (14 52) ST | | |
| | **Total** | 118 000 | | 2,734 44 | **1,847.88** | (828 54) LT<br>(58.02) ST | 193 64 | 10 47 |
| *Share Price $15 660* | | | | | | | | |
| **FRANKLIN RESOURCES INC (BEN)** | 8/24/11 | 24.000 | 115.953 | 2,782.87 | **2,305.44** | (477 43) ST | 25 92 | 1 12 |
| *Share Price $96 060, Next Dividend Payable 03/12* | | | | | | | | |
| **FREEPORT MCMORAN CP&GLD (FCX)** | 9/18/09 | 3 000 | 35 181 | 105 54 | 110 37 | 4 83 LT A | | |
| | 9/18/09 | 24 000 | 35 181 | 844 35 | 882 96 | 38 61 LT A | | |
| | 10/6/09 | 50 000 | 34 955 | 1,747 74 | 1,839 50 | 91 76 LT A | | |
| | **Total** | 77.000 | | 2,697.63 | **2,832.83** | 135 20 LT | 77.00 | 2 71 |
| *Share Price $36 790, Next Dividend Payable 02/12* | | | | | | | | |
| **FRESENIUS MEDICAL CARE AG&CO (FMS)** | 12/10/09 | 13 000 | 53 410 | 694 33 | 883 74 | 189.41 LT | | |
| | 5/14/10 | 10 000 | 49 644 | 496 44 | 679 80 | 183 36 LT | | |
| | 11/16/11 | 3 000 | 69 660 | 208 98 | 203 94 | (5 04) ST | | |
| | **Total** | 26 000 | | 1,399.75 | **1,767.48** | 372.77 LT<br>(5.04) ST | 16.98 | 0 96 |
| *Share Price $67 980* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **G4S PLC UNSPONS ADR (GFSZY)** | 12/10/09 | 30 000 | 20 330 | 609 90 | 633 00 | 23 10 LT | | |
| | 3/25/11 | 8 000 | 20 200 | 161 60 | 168 80 | 7 20 ST | | |
| | 11/16/11 | 3 000 | 19 600 | 58 80 | 63 30 | 4 50 ST | | |
| | **Total** | 41 000 | | 830 30 | **865.10** | 23 10 LT<br>11 70 ST | 24 31 | 2 81 |
| *Share Price $21 100* | | | | | | | | |
| **GAZPROM O A O SPON ADR (OGZPY)** | 3/11/09 | 63 000 | 7 150 | 450 45 | 672 89 | 222 44 LT A | | |
| | 3/11/09 | 1 000 | 7 150 | 7 15 | 10 68 | 3 53 LT A | | |
| | 4/8/10 | 92 000 | 11 994 | 1,103 45 | 982 64 | (120.81) LT | | |
| | 4/28/10 | 42 000 | 11 760 | 493 91 | 448 59 | (45 32) LT | | |
| | 8/3/11 | 45.000 | 13 854 | 623 42 | 480 64 | (142 78) ST | | |
| | **Total** | 243.000 | | 2,678.38 | **2,595.47** | 59 84 LT<br>(142.78) ST | 50 06 | 1 92 |
| *Share Price $10 681* | | | | | | | | |
| **GDF SUEZ-SPON ADR (GDFZY)** | 12/10/09 | 40 000 | 43 200 | 1,728 00 | 1,086 80 | (641 20) LT | | |
| | 7/29/11 | 5 000 | 32 800 | 164 00 | 135 85 | (28.15) ST | | |
| | **Total** | 45.000 | | 1,892.00 | **1,222.65** | (641 20) LT<br>(28.15) ST | 67 55 | 5 52 |
| *Share Price $27 170* | | | | | | | | |
| **GENERAL ELECTRIC CO (GE)** | 8/12/09 | 137.000 | 14.277 | 1,955.91 | 2,453.67 | 497.76 LT A | | |
| | 12/10/09 | 39 000 | 15 740 | 613.86 | 698 49 | 84 63 LT | | |
| | 2/24/10 | 53.000 | 16 046 | 850 44 | 949 23 | 98.79 LT | | |
| | 12/29/10 | 57 000 | 18 358 | 1,046 39 | 1,020 87 | (25 52) LT | | |
| | 8/24/11 | 49.000 | 15.579 | 763 36 | 877 59 | 114.23 ST | | |
| | 11/16/11 | 15.000 | 16.086 | 241 29 | 268.65 | 27.36 ST | | |
| | 12/13/11 | 20 000 | 16 500 | 330 00 | 358 20 | 28 20 ST | | |
| | **Total** | 370 000 | | 5,801 25 | **6,626.70** | 655 66 LT<br>169 79 ST | 251.60 | 3.79 |
| *Share Price $17 910, Next Dividend Payable 01/25/12* | | | | | | | | |
| **GENL DYNAMICS CORP (GD)** | 7/10/09 | 10 000 | 51 662 | 516 62 | 664 10 | 147 48 LT A | | |
| | 10/20/09 | 20 000 | 67 721 | 1,354 42 | 1,328 20 | (26 22) LT A | | |
| | 12/10/09 | 4 000 | 68 060 | 272 24 | 265 64 | (6 60) LT | | |

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# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 34.000 | | 2,143 28 | **2,257.94** | 114 66 LT | 63 92 | 2 83 |
| *Share Price $66 410, Next Dividend Payable 02/12* | | | | | | | | |
| **GENTEX CORP (GNTX)** | 11/1/10 | 50.000 | 20.265 | 1,013.27 | 1,479.50 | 466.23 LT | | |
| | 3/23/11 | 19.000 | 27 787 | 527 96 | 562 21 | 34 25 ST | | |
| | **Total** | 69 000 | | 1,541 23 | **2,041.71** | 466 23 LT<br>34 25 ST | 33 12 | 1 62 |
| *Share Price $29 590, Next Dividend Payable 01/12* | | | | | | | | |
| **GENUINE PARTS CO (GPC)** | 12/10/09 | 34 000 | 37 847 | 1,286 80 | 2,080 80 | 794 00 LT | | |
| | 10/15/10 | 11 000 | 47 774 | 525 51 | 673 20 | 147 69 LT | | |
| | **Total** | 45 000 | | 1,812 31 | **2,754.00** | 941 69 LT | 81 00 | 2 94 |
| *Share Price $61 200, Next Dividend Payable 01/03/12* | | | | | | | | |
| **GLAXOSMITHKLINE PLC ADS (GSK)** | 12/10/09 | 46 000 | 42 070 | 1,935 22 | 2,098.98 | 163 76 LT | | |
| | 12/29/10 | 7 000 | 39 240 | 274 68 | 319 41 | 44 73 LT | | |
| | 11/1/11 | 17 000 | 44 200 | 751.40 | 775 71 | 24.31 ST | | |
| | 11/1/11 | 1 000 | 44 200 | 44.20 | 45 63 | 1.43 ST | | |
| | 11/28/11 | 9 000 | 42 322 | 380 90 | 410 67 | 29 77 ST | | |
| | 11/28/11 | 4 000 | 42 323 | 169 29 | 182 52 | 13 23 ST | | |
| | **Total** | 84 000 | | 3,555 69 | **3,832.92** | 208 49 LT<br>68 74 ST | 185 31 | 4 83 |
| *Share Price $45 630, Next Dividend Payable 01/05/12* | | | | | | | | |
| **GOLDMAN SACHS GRP INC (GS)** | 3/10/09 | 4 000 | 84 823 | 339 29 | 361 72 | 22 43 LT A | | |
| | 4/17/09 | 6 000 | 120 588 | 723.53 | 542.58 | (180.95) LT A | | |
| | 9/9/09 | 6 000 | 169 410 | 1,016 46 | 542 58 | (473 88) LT A | | |
| | 12/10/09 | 2 000 | 165 530 | 331 06 | 180 86 | (150 20) LT | | |
| | 12/29/10 | 3 000 | 168 140 | 504 42 | 271.29 | (233 13) LT | | |
| | **Total** | 21 000 | | 2,914 76 | **1,899.03** | (1,015 73) LT | 29 40 | 1 54 |
| *Share Price $90 430, Next Dividend Payable 03/12* | | | | | | | | |
| **GOOGLE INC-CL A (GOOG)** | 2/2/11 | 11 000 | 612 214 | 6,734 35 | **7,104.90** | 370 55 ST | — | — |
| *Share Price $645 900* | | | | | | | | |
| **GRACE WR & CO DELA NEW (GRA)** | 12/9/11 | 37 000 | 42 755 | 1,581 95 | 1,699 04 | 117 09 ST | | |
| | 12/30/11 | 13 000 | 45 951 | 597 36 | 596 96 | (0 40) ST | | |

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MorganStanley SmithBarney

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 50 000 | | 2,179 31 | **2,296.00** | 116 69 ST | — | — |
| *Share Price $45 920* | | | | | | | | |
| **GREAT PLAINS ENERGY INC (GXP)** | 4/23/09 | 72 000 | 14 374 | 1,034 96 | 1,568 16 | 533.20 LT A | | |
| | 9/3/09 | 30.000 | 17.550 | 526 49 | 653 40 | 126 91 LT A | | |
| | 9/4/09 | 5 000 | 17.550 | 87 75 | 108 90 | 21 15 LT A | | |
| | 10/28/09 | 5 000 | 17.550 | 87 75 | 108 90 | 21.15 LT A | | |
| | 12/3/10 | 14 000 | 19.059 | 266 82 | 304 92 | 38.10 LT | | |
| | **Total** | 126.000 | | 2,003.77 | **2,744.28** | 740 51 LT | 107 10 | 3 90 |
| *Share Price $21 780, Next Dividend Payable 03/12* | | | | | | | | |
| **GRUPO TELEVISA S.A.GLOBAL DEP (TV)** | 12/10/09 | 75 000 | 20.957 | 1,571 81 | 1,579 50 | 7 69 LT | | |
| | 9/27/11 | 19.000 | 19 368 | 368 00 | 400 14 | 32 14 ST | | |
| | 11/16/11 | 2 000 | 20 855 | 41 71 | 42 12 | 0 41 ST | | |
| | **Total** | 96 000 | | 1,981 52 | **2,021.76** | 7.69 LT<br>32.55 ST | 13.54 | 0 66 |
| *Share Price $21 060* | | | | | | | | |
| **H J HEINZ CO (HNZ)** | 12/10/09 | 64 000 | 42.728 | 2,734 59 | **3,458.56** | 723 97 LT | 122 88 | 3 55 |
| *Share Price $54 040, Next Dividend Payable 01/10/12* | | | | | | | | |
| **HAEMONETICS CORP (HAE)** | 3/10/11 | 26 000 | 63 641 | 1,654 66 | 1,591 72 | (62.94) ST | | |
| | 6/6/11 | 1 000 | 66 143 | 66 14 | 61 22 | (4 92) ST | | |
| | 6/6/11 | 1 000 | 66 143 | 66.14 | 61 22 | (4 92) ST | | |
| | 6/6/11 | 10 000 | 66.143 | 661 44 | 612 20 | (49.24) ST | | |
| | 11/16/11 | 2 000 | 59.360 | 118 72 | 122 44 | 3.72 ST | | |
| | **Total** | 40 000 | | 2,567 10 | **2,448.80** | (118 30) ST | — | — |
| *Share Price $61 220* | | | | | | | | |
| **HALLIBURTON CO (HAL)** | 1/31/11 | 37 000 | 44 808 | 1,657 91 | 1,276 87 | (381.04) ST | | |
| | 4/4/11 | 11 000 | 49 633 | 545.96 | 379 61 | (166 35) ST | | |
| | 11/16/11 | 2 000 | 39.670 | 79 34 | 69.02 | (10 32) ST | | |
| | **Total** | 50 000 | | 2,283 21 | **1,725.50** | (557 71) ST | 18 00 | 1 04 |
| *Share Price $34 510, Next Dividend Payable 03/12* | | | | | | | | |
| **HANSEN NATURAL CORP (HANS)** | 6/1/11 | 25 000 | 72 183 | 1,804 58 | **2,303.50** | 498 92 ST | — | — |
| *Share Price $92 140* | | | | | | | | |

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MorganStanley SmithBarney

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **HASBRO INC (HAS)** | 3/11/09 | 36 000 | 21 990 | 791 64 | 1,148 04 | 356 40 LT A | | |
| | 12/10/09 | 23 000 | 30 727 | 706 72 | 733 47 | 26 75 LT | | |
| | 3/18/10 | 9.000 | 38 092 | 342 83 | 287 01 | (55 82) LT | | |
| | 7/29/11 | 17 000 | 39 625 | 673 62 | 542 13 | (131 49) ST | | |
| | 11/16/11 | 2 000 | 36 700 | 73 40 | 63 78 | (9 62) ST | | |
| | **Total** | 87 000 | | 2,588 21 | **2,774.43** | 327.33 LT<br>(141 11) ST | 104.40 | 3 76 |
| *Share Price $31 890, Next Dividend Payable 02/12* | | | | | | | | |
| **HCP INCORPORATED (HCP)** | 3/11/09 | 66 000 | 17.477 | 1,153.50 | 2,734 38 | 1,580 88 LT A | | |
| | 10/21/11 | 17 000 | 37 447 | 636 60 | 704 31 | 67 71 ST | | |
| | **Total** | 83 000 | | 1,790 10 | **3,438.69** | 1,580.88 LT<br>67 71 ST | 159 36 | 4.63 |
| *Share Price $41 430, Next Dividend Payable 02/12* | | | | | | | | |
| **HEALTH CARE REIT INC (HCN)** | 3/11/09 | 38 000 | 28 888 | 1,097 73 | 2,072 14 | 974 41 LT A | | |
| | 12/10/09 | 11 000 | 43 628 | 479 91 | 599.83 | 119 92 LT | | |
| | **Total** | 49 000 | | 1,577.64 | **2,671.97** | 1,094 33 LT | 140.14 | 5.24 |
| *Share Price $54 530, Next Dividend Payable 02/12* | | | | | | | | |
| **HEALTH MGMT ASSOC CL A (HMA)** | 6/6/11 | 222 000 | 10 678 | 2,370 47 | **1,636.14** | (734 33) ST | — | — |
| *Share Price $7 370* | | | | | | | | |
| **HEALTHSOUTH CP NEW (HLS)** | 5/31/11 | 72.000 | 28.069 | 2,020.97 | 1,272 24 | (748 73) ST | | |
| | 9/16/11 | 13 000 | 20 604 | 267 85 | 229 71 | (38 14) ST | | |
| | **Total** | 85 000 | | 2,288 82 | **1,501.95** | (786 87) ST | — | — |
| *Share Price $17 670* | | | | | | | | |
| **HERBALIFE (HLF)** | 12/15/10 | 34.000 | 34.243 | 1,164.26 | 1,756 78 | 592 52 LT | | |
| | 1/5/11 | 14 000 | 34.438 | 482.13 | 723.38 | 241.25 ST | | |
| | 3/23/11 | 10 000 | 40 200 | 402 00 | 516 70 | 114 70 ST | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 58 000 | | 2,048 39 | **2,996.86** | 592 52 LT<br>355 95 ST | 42 05 | 1 40 |
| *Share Price $51 670, Next Dividend Payable 02/12* | | | | | | | | |
| **HESS CORPORATION (HES)** | 9/9/09 | 18.000 | 52 451 | 944 11 | 1,022 40 | 78 29 LT A | | |
| | 12/10/09 | 6 000 | 55.660 | 333 96 | 340 80 | 6 84 ST D | | |
| | 6/17/10 | 13 000 | 54 684 | 710 89 | 738 40 | 27 51 ST D | | |
| | **Total** | 37 000 | | 1,988 96 | **2,101.60** | 78.29 LT<br>34 35 ST | 14.80 | 0.70 |
| *Share Price $56 800, Next Dividend Payable 01/03/12* | | | | | | | | |
| **HSBC HOLDINGS PLC SPON ADR NEW (HBC)** | 3/14/11 | 21 000 | 52 779 | 1,108 36 | 800 10 | (308 26) ST | | |
| | 4/4/11 | 12.000 | 52.334 | 628.01 | 457.20 | (170 81) ST | | |
| | 11/16/11 | 3 000 | 38 960 | 116 88 | 114 30 | (2 58) ST | | |
| | **Total** | 36.000 | | 1,853.25 | **1,371.60** | (481 65) ST | 70 20 | 5 11 |
| *Share Price $38 100* | | | | | | | | |
| **HUDSON CITY BANCORP INC. (HCBK)** | 9/23/10 | 78 000 | 12 061 | 940 76 | 487 50 | (453 26) LT | | |
| | 11/8/10 | 79 000 | 11 744 | 927 75 | 493 75 | (434 00) LT | | |
| | 1/19/11 | 55 000 | 12 264 | 674 50 | 343 75 | (330 75) ST | | |
| | 11/16/11 | 68 000 | 5 727 | 389 46 | 425 00 | 35 54 ST | | |
| | **Total** | 280 000 | | 2,932 47 | **1,750.00** | (887 26) LT<br>(295 21) ST | 89 60 | 5 12 |
| *Share Price $6 250, Next Dividend Payable 02/12* | | | | | | | | |
| **HUMANA INC (HUM)** | 3/14/11 | 27.000 | 63.637 | 1,718 21 | **2,365.47** | 647.26 ST | 27 00 | 1 14 |
| *Share Price $87 610, Next Dividend Payable 01/31/12* | | | | | | | | |
| **HUTCHISON WHAMPOA ADR (HUWHY)** | 12/10/09 | 122 000 | 13 551 | 1,653 26 | 2,022 76 | 369 50 LT | | |
| | 12/10/09 | 52.000 | 13.626 | 708.54 | 862.16 | 153 62 LT | | |
| | 12/29/10 | 10 000 | 20 800 | 208 00 | 165.80 | (42.20) LT | | |
| | 11/16/11 | 4 000 | 17 910 | 71 64 | 66 32 | (5 32) ST | | |
| | 11/16/11 | 3 000 | 17 940 | 53 82 | 49 74 | (4 08) ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 191 000 | | 2,695 26 | **3,166.78** | 480 92 LT<br>(9 40) ST | 90 92 | 2 87 |
| *Share Price $16 580* | | | | | | | | |
| **ICICI BANK LTD (IBN)** | 12/10/09 | 46 000 | 37 280 | 1,714 88 | 1,215 78 | (499 10) LT | | |
| | 2/25/11 | 3 000 | 43 770 | 131 31 | 79 29 | (52 02) ST | | |
| | 11/16/11 | 2 000 | 31 400 | 62 80 | 52 86 | (9.94) ST | | |
| | **Total** | 51 000 | | 1,908 99 | **1,347.93** | (499.10) LT<br>(61 96) ST | 31.67 | 2.34 |
| *Share Price $26 430* | | | | | | | | |
| **IHS INC CLA A COM (IHS)** | 12/10/09 | 21 000 | 51 442 | 1,080 28 | **1,809.36** | 729 08 LT | — | — |
| *Share Price $86 160* | | | | | | | | |
| **IMPERIAL TOBACCO GP PLC SP ADR (ITYBY)** | 12/10/09 | 47 000 | 61 100 | 2,871 70 | 3,540 98 | 669 28 LT | | |
| | 12/29/10 | 4 000 | 62 010 | 248 04 | 301.36 | 53 32 LT | | |
| | **Total** | 51,000 | | 3,119 74 | **3,842.34** | 722.60 LT | 156.72 | 4.07 |
| *Share Price $75 340* | | | | | | | | |
| **INDUSTRIAL & COML BK CHINA ADR (IDCBY)** | 1/29/10 | 70.000 | 14 915 | 1,044.03 | 834.40 | (209 63) LT | | |
| | 3/10/10 | 42.000 | 15.490 | 650 59 | 500 64 | (149.95) LT | | |
| | 11/1/10 | 16.000 | 15.327 | 245 23 | 190.72 | (54.51) LT | | |
| | 8/11/11 | 43 000 | 12 962 | 557 36 | 512 56 | (44 80) ST | | |
| | 9/1/11 | 30 000 | 13.310 | 399.30 | 357.60 | (41 70) ST | | |
| | 11/16/11 | 19,000 | 11.900 | 226 10 | 226.48 | 0.38 ST | | |
| | **Total** | 220 000 | | 3,122 61 | **2,622.40** | (414 09) LT<br>(86 12) ST | 101 20 | 3 85 |
| *Share Price $11 920* | | | | | | | | |
| **INFOSYS LIMITED ADR (INFY)** | 3/11/09 | 27 000 | 24 668 | 666.03 | 1,387 26 | 721.23 LT A | | |
| | 12/10/09 | 2 000 | 52 550 | 105 10 | 102 76 | (2 34) LT | | |
| | 12/29/10 | 3 000 | 76 150 | 228 45 | 154 14 | (74 31) LT | | |
| | **Total** | 32 000 | | 999 58 | **1,644.16** | 644 58 LT | 22 53 | 1 37 |
| *Share Price $51 380* | | | | | | | | |
| **ING GROEP NV ADR (ING)** | 12/10/09 | 59.000 | 8 887 | 524 32 | 423 03 | (101 29) LT | | |
| | 1/5/10 | 79 000 | 10 737 | 848 26 | 566 43 | (281 83) LT | | |
| | 1/6/10 | 1 000 | 10.680 | 10 68 | 7 17 | (3.51) LT | | |

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# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 10/20/10 | 36 000 | 11.015 | 396 54 | 258 12 | (138 42) LT | | |
| | 12/29/10 | 44 000 | 9 610 | 422 84 | 315 48 | (107 36) LT | | |
| | 11/16/11 | 25 000 | 7 426 | 185 64 | 179.25 | (6 39) ST | | |
| | **Total** | 244 000 | | 2,388 28 | **1,749.48** | (632 41) LT<br>(6 39) ST | — | — |
| *Share Price $7 170* | | | | | | | | |
| **INTERNATIONAL CONS AIRLS GRP (ICAGY)** | 1/25/11 | 52 000 | 22 075 | 1,147 90 | **591.76** | (556 14) ST | — | — |
| *Share Price $11 380* | | | | | | | | |
| **INTESA SANPAOLO S.P.A. ADR (ISNPY)** | 12/10/09 | 39 000 | 26.550 | 1,035 45 | 387.66 | (647.79) LT | | |
| | 2/2/11 | 56 000 | 21 090 | 1,181 04 | 556.64 | (624 40) ST | | |
| | 7/13/11 | 21 000 | 13 980 | 293 58 | 208.74 | (84.84) ST | | |
| | 9/6/11 | 93 000 | 8 673 | 806 56 | 924 42 | 117 86 ST | | |
| | 11/16/11 | 9 000 | 10 000 | 90 00 | 89.46 | (0.54) ST | | |
| | **Total** | 218 000 | | 3,406 63 | **2,166.92** | (647.79) LT<br>(591 92) ST | 105 73 | 4.87 |
| *Share Price $9 940* | | | | | | | | |
| **INTL BUSINESS MACHINES CORP (IBM)** | 3/10/09 | 16 000 | 86 100 | 1,377 60 | 2,942.08 | 1,564 48 LT A | | |
| | 5/15/09 | 15 000 | 102 529 | 1,537 93 | 2,758 20 | 1,220.27 LT A | | |
| | 5/15/09 | 19 000 | 102 529 | 1,948 04 | 3,493 72 | 1,545 68 LT A | | |
| | 5/15/09 | 1 000 | 102 529 | 102 53 | 183 88 | 81 35 LT A | | |
| | 5/15/09 | 2 000 | 102 529 | 205 06 | 367 76 | 162 70 LT A | | |
| | 12/10/09 | 2 000 | 128 950 | 257 90 | 367 76 | 109.86 LT | | |
| | 6/16/11 | 8 000 | 162 619 | 1,300 95 | 1,471 04 | 170 09 ST | | |
| | **Total** | 63 000 | | 6,730 01 | **11,584.44** | 4,684 34 LT<br>170.09 ST | 189.00 | 1.63 |
| *Share Price $183 880, Next Dividend Payable 03/12* | | | | | | | | |
| **INTL PWR PLC ADS (IPRPY)** | 12/10/09 | 21 000 | 46 840 | 983 64 | 1,096 20 | 112 56 LT | | |
| | 12/29/10 | 4 000 | 68.830 | 275.32 | 208 80 | (66.52) LT | | |
| | 11/16/11 | 1 000 | 53 280 | 53 28 | 52 20 | (1.08) ST | | |
| | **Total** | 26.000 | | 1,312 24 | **1,357.20** | 46.04 LT<br>(1 08) ST | 425 33 | 31 33 |
| *Share Price $52 200* | | | | | | | | |

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# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **INTUITIVE SURGICAL INC (ISRG)** | 8/31/10 | 12 000 | 266 874 | 3,202 48 | 5,556 12 | 2,353 64 LT | | |
| | 8/31/10 | 3 000 | 266 874 | 800 62 | 1,389 03 | 588 41 LT | | |
| | 12/29/10 | 7 000 | 259.770 | 1,818 39 | 3,241 07 | 1,422.68 LT | | |
| | 3/22/11 | 2 000 | 324 130 | 648 26 | 926 02 | 277 76 ST | | |
| | **Total** | 24 000 | | 6,469 75 | **11,112.24** | 4,364 73 LT<br>277 76 ST | — | — |
| *Share Price. $463 010* | | | | | | | | |
| **INVESCO LTD (IVZ)** | 1/19/11 | 81 000 | 24.805 | 2,009 21 | 1,627 29 | (381 92) ST | | |
| | 2/17/11 | 25 000 | 27 328 | 683 19 | 502 25 | (180 94) ST | | |
| | 2/28/11 | 88 000 | 26 769 | 2,355.71 | 1,767 92 | (587 79) ST | | |
| | 11/16/11 | 2 000 | 20.020 | 40.04 | 40.18 | 0.14 ST | | |
| | 11/16/11 | 15 000 | 19.958 | 299 37 | 301.35 | 1.98 ST | | |
| | **Total** | 211 000 | | 5,387 52 | **4,238.99** | (1,148 53) ST | 103.39 | 2 43 |
| *Share Price $20 090, Next Dividend Payable 03/12* | | | | | | | | |
| **IRON MOUNTAIN INC (DE) (IRM)** | 10/11/11 | 50 000 | 30 316 | 1,515 80 | 1,540 00 | 24.20 ST | | |
| | 11/16/11 | 3 000 | 30 000 | 90.00 | 92 40 | 2.40 ST | | |
| | **Total** | 53.000 | | 1,605.80 | **1,632.40** | 26.60 ST | 53.00 | 3 24 |
| *Share Price $30 800, Next Dividend Payable 01/13/12* | | | | | | | | |
| **ISHARES MSCI EAFE FUND (EFA)** | 3/10/09 | 2,432.000 | 33 792 | 82,182 39 | 120,456 96 | 38,274 57 LT A | | |
| | 12/10/09 | 12 000 | 55 528 | 666 34 | 594 36 | (71 98) LT | | |
| | 12/27/10 | 46 000 | 57 358 | 2,638 47 | 2,278 38 | (360 09) LT | | |
| | 12/28/10 | 1 000 | 57 600 | 57.60 | 49.53 | (8.07) LT | | |
| | 12/29/10 | 246 000 | 58 088 | 14,289 65 | 12,184 38 | (2,105 27) LT | | |
| | 11/16/11 | 430 000 | 50 338 | 21,645 43 | 21,297.90 | (347 53) ST | | |
| | **Total** | 3,167.000 | | 121,479 88 | **156,861.51** | 35,729 16 LT<br>(347.53) ST | 5,415 57 | 3.45 |
| *Share Price $49 530, CG IAR Status AL, Next Dividend Payable 06/12* | | | | | | | | |
| **ISHARES RUSSELL 2000 INDEX FD (IWM)** | 12/10/09 | 3,670 000 | 60.129 | 220,673.80 | **270,662.50** | 49,988.70 LT | 3,780 10 | 1.39 |
| *Share Price $73 750, CG IAR Status AL, Next Dividend Payable 03/12* | | | | | | | | |

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# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **ITC HOLDINGS (ITC)** | 12/10/09 | 28 000 | 48 639 | 1,361 89 | **2,124.64** | 762.75 LT | 39 48 | 1 85 |
| *Share Price $75 880, Next Dividend Payable 03/12* | | | | | | | | |
| **ITOCHU CORP ADR (ITOCY)** | 6/18/10 | 35 000 | 17 090 | 598.15 | 704 90 | 106.75 LT | | |
| | 7/2/10 | 20 000 | 15.935 | 318 70 | 402 80 | 84 10 LT | | |
| | 12/3/10 | 15 000 | 19 698 | 295 47 | 302.10 | 6.63 LT | | |
| | 1/27/11 | 28.000 | 22.280 | 623 84 | 563.92 | (59.92) ST | | |
| | 3/15/11 | 32.000 | 18 774 | 600.77 | 644 48 | 43 71 ST | | |
| | **Total** | 130 000 | | 2,436 93 | **2,618.20** | 197.48 LT<br>(16 21) ST | 69 29 | 2 64 |
| *Share Price $20 140* | | | | | | | | |
| **JOHNSON & JOHNSON (JNJ)** | 4/12/10 | 19.000 | 65 099 | 1,236 89 | 1,246 02 | 9.13 LT | | |
| | 5/27/10 | 43 000 | 58 986 | 2,536 39 | 2,819 94 | 283 55 LT | | |
| | 8/11/10 | 26 000 | 58.583 | 1,523 16 | 1,705 08 | 181 92 LT | | |
| | 12/29/10 | 13 000 | 62 240 | 809 12 | 852 54 | 43 42 LT | | |
| | 6/16/11 | 11 000 | 66 283 | 729.11 | 721.38 | (7 73) ST | | |
| | **Total** | 112 000 | | 6,834 67 | **7,344.96** | 518 02 LT<br>(7 73) ST | 255 36 | 3 47 |
| *Share Price $65 580, Next Dividend Payable 03/12* | | | | | | | | |
| **JOY GLOBAL INC (JOY)** | 9/2/10 | 15 000 | 62.694 | 940 40 | 1,124 55 | 184 15 LT | | |
| | 11/3/10 | 1 000 | 70 350 | 70 35 | 74 97 | 4 62 LT | | |
| | 3/29/11 | 7 000 | 94 703 | 662 92 | 524 79 | (138 13) ST | | |
| | **Total** | 23 000 | | 1,673.67 | **1,724.31** | 188.77 LT<br>(138 13) ST | 16.10 | 0.93 |
| *Share Price $74 970, Next Dividend Payable 03/12* | | | | | | | | |
| **JPMORGAN CHASE & CO (JPM)** | 8/16/10 | 92 000 | 37 574 | 3,456 82 | 3,059 00 | (397 82) LT | | |
| | 12/29/10 | 19 000 | 42 460 | 806 74 | 631 75 | (174 99) LT | | |
| | 7/29/11 | 27 000 | 40 394 | 1,090 65 | 897 75 | (192 90) ST | | |
| | 7/29/11 | 12 000 | 40.396 | 484 75 | 399 00 | (85 75) ST | | |
| | 8/8/11 | 2.000 | 35 399 | 70 80 | 66 50 | (4.30) ST | | |
| | 8/8/11 | 27 000 | 35 399 | 955 77 | 897 75 | (58 02) ST | | |
| | 8/8/11 | 7.000 | 35 399 | 247 79 | 232 75 | (15.04) ST | | |

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# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 186 000 | | 7,113 32 | **6,184.50** | (572 81) LT<br>(356 01) ST | 186 00 | 3 00 |
| *Share Price $33 250, Next Dividend Payable 01/12* | | | | | | | | |
| **JULIUS BAER GROUP LTD UN ADR (JBAXY)** | 6/3/10 | 193 000 | 5 887 | 1,136 23 | 1,495 75 | 359 52 LT | | |
| | 7/6/10 | 64 000 | 5 960 | 381 42 | 496 00 | 114 58 LT | | |
| | 11/16/11 | 30 000 | 7.060 | 211 80 | 232 50 | 20 70 ST | | |
| | **Total** | 287 000 | | 1,729 45 | **2,224.25** | 474.10 LT<br>20.70 ST | 32.72 | 1 47 |
| *Share Price $7 750* | | | | | | | | |
| **JUNIPER NETWORKS (JNPR)** | 5/29/09 | 144 000 | 24.886 | 3,583 54 | 2,939 04 | (644 50) LT A | | |
| | 12/10/09 | 23 000 | 27.037 | 621.85 | 469.43 | (152.42) LT | | |
| | 7/29/11 | 128 000 | 23 604 | 3,021 29 | 2,612 48 | (408 81) ST | | |
| | **Total** | 295 000 | | 7,226 68 | **6,020.95** | (796.92) LT<br>(408.81) ST | — | — |
| *Share Price $20 410* | | | | | | | | |
| **KANSAS CY SOUTHN IND NEW (KSU)** | 5/6/10 | 21 000 | 37 807 | 793 94 | 1,428.21 | 634.27 LT | | |
| | 9/2/10 | 19 000 | 36 108 | 686.06 | 1,292 19 | 606 13 LT | | |
| | **Total** | 40.000 | | 1,480.00 | **2,720.40** | 1,240 40 LT | — | — |
| *Share Price $68 010* | | | | | | | | |
| **KB FINANCIAL GRP INC SONS ADR (KB)** | 12/10/09 | 28 000 | 53 540 | 1,499 12 | 877 52 | (621 60) LT | | |
| | 2/4/10 | 10 000 | 42 033 | 420 33 | 313 40 | (106 93) LT | | |
| | 12/29/10 | 6 000 | 51 880 | 311 28 | 188 04 | (123 24) LT | | |
| | 7/14/11 | 13 000 | 50 603 | 657.84 | 407.42 | (250 42) ST | | |
| | 11/16/11 | 8 000 | 33 770 | 270 16 | 250 72 | (19 44) ST | | |
| | **Total** | 65 000 | | 3,158.73 | **2,037.10** | (851.77) LT<br>(269 86) ST | 4.94 | 0.24 |
| *Share Price $31 340* | | | | | | | | |
| **KEPPEL CORP LTD ADR SPONSORED (KPELY)** | 12/10/09 | 139 000 | 10 643 | 1,479 43 | 1,979 36 | 499 93 LT | | |
| | 11/16/11 | 15 000 | 14.345 | 215.18 | 213 60 | (1 58) ST | | |
| | **Total** | 154 000 | | 1,694.61 | **2,192.96** | 499.93 LT<br>(1.58) ST | 107.80 | 4.91 |
| *Share Price $14 240* | | | | | | | | |

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# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| KEYCORP NEW (KEY) | 1/25/10 | 41 000 | 7 058 | 289 38 | 315.29 | 25.91 LT | | |
| | 5/27/10 | 83 000 | 8.092 | 671 61 | 638 27 | (33 34) LT | | |
| | 12/29/10 | 35 000 | 8.878 | 310.73 | 269.15 | (41.58) LT | | |
| | 2/22/11 | 90 000 | 9 245 | 832 01 | 692 10 | (139.91) ST | | |
| | **Total** | 249 000 | | 2,103 73 | **1,914.81** | (49 01) LT<br>(139 91) ST | 29.88 | 1 56 |
| *Share Price $7 690, Next Dividend Payable 03/12* | | | | | | | | |
| KINGFISHER PLC SPONS ADR NEW (KGFHY) | 12/10/09 | 275 000 | 7.600 | 2,090 00 | 2,114.75 | 24.75 LT | | |
| | 6/16/10 | 9 000 | 6 710 | 60 39 | 69 21 | 8 82 LT | | |
| | 6/24/10 | 111.000 | 6 751 | 749 31 | 853 59 | 104 28 LT | | |
| | 6/24/10 | 1 000 | 6 750 | 6 75 | 7 69 | 0 94 LT | | |
| | 7/6/10 | 56.000 | 6.548 | 366 69 | 430 64 | 63 95 LT | | |
| | 9/23/10 | 74.000 | 7 033 | 520.44 | 569 06 | 48.62 LT | | |
| | 12/29/10 | 37.000 | 8.180 | 302 66 | 284 53 | (18 13) LT | | |
| | 12/29/10 | 42.000 | 8.180 | 343.56 | 322.98 | (20.58) LT | | |
| | **Total** | 605 000 | | 4,439 80 | **4,652.45** | 212 65 LT | 130 68 | 2 80 |
| *Share Price $7 690* | | | | | | | | |
| KOHLS CORPORATION WISC (KSS) | 3/14/11 | 24.000 | 53.698 | 1,288.76 | 1,184.40 | (104.36) ST | | |
| | 4/4/11 | 15 000 | 53.581 | 803 71 | 740 25 | (63 46) ST | | |
| | **Total** | 39 000 | | 2,092 47 | **1,924.65** | (167 82) ST | 39.00 | 2 02 |
| *Share Price $49 350, Next Dividend Payable 03/12* | | | | | | | | |
| KOMATSU LTD SPON ADR NEW (KMTUY) | 12/10/09 | 35 000 | 20 638 | 722 31 | 826 70 | 104 39 LT | | |
| | 4/30/10 | 27 000 | 20 420 | 551 34 | 637 74 | 86 40 LT | | |
| | 12/29/10 | 7 000 | 30 290 | 212 03 | 165 34 | (46 69) LT | | |
| | 11/16/11 | 2.000 | 25.460 | 50 92 | 47 24 | (3 68) ST | | |
| | **Total** | 71 000 | | 1,536 60 | **1,677.02** | 144.10 LT<br>(3 68) ST | 30 89 | 1 84 |
| *Share Price $23 620* | | | | | | | | |
| KONICA MINOLTA HLDGS INC ADR (KNCAY) | 12/10/09 | 25 000 | 20 550 | 513.75 | 367 25 | (146.50) LT | | |
| | 7/2/10 | 30 000 | 19 423 | 582.69 | 440.70 | (141 99) LT | | |
| | 12/29/10 | 16 000 | 21 150 | 338 40 | 235 04 | (103 36) LT | | |

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MorganStanley SmithBarney

# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 71 000 | | 1,434.84 | **1,042.99** | (391 85) LT | 22 08 | 2.11 |
| *Share Price $14 690* | | | | | | | | |
| **KONINKLIJKE AHOLD ADR (AHONY)** | 12/10/09 | 117 000 | 13.500 | 1,579.50 | 1,573.65 | (5.85) LT | | |
| | 8/1/11 | 13.000 | 13 160 | 171.08 | 174 85 | 3.77 ST | | |
| | **Total** | 130 000 | | 1,750 58 | **1,748.50** | (5 85) LT<br>3.77 ST | 45 24 | 2 58 |
| *Share Price $13 450* | | | | | | | | |
| **KONINKLIJKE PHIL EL SP ADR NEW (PHG)** | 12/10/09 | 36 000 | 29 350 | 1,056.60 | 754 20 | (302 40) LT | | |
| | 6/22/11 | 28 000 | 23 362 | 654 14 | 586 60 | (67.54) ST | | |
| | 11/16/11 | 9 000 | 19 260 | 173 34 | 188.55 | 15 21 ST | | |
| | **Total** | 73 000 | | 1,884 08 | **1,529.35** | (302 40) LT<br>(52 33) ST | 69 06 | 4 51 |
| *Share Price $20 950* | | | | | | | | |
| **KRAFT FOODS INC CL A (KFT)** | 3/10/09 | 169 000 | 21 400 | 3,616 60 | 6,313.84 | 2,697 24 LT A | | |
| | 12/10/09 | 44 000 | 26 600 | 1,170 40 | 1,643.84 | 473.44 LT | | |
| | 8/23/10 | 55 000 | 29 188 | 1,605 35 | 2,054 80 | 449 45 LT | | |
| | 12/29/10 | 17 000 | 31 700 | 538 90 | 635 12 | 96.22 LT | | |
| | **Total** | 285.000 | | 6,931 25 | **10,647.60** | 3,716.35 LT | 330.60 | 3.10 |
| *Share Price $37 360, Next Dividend Payable 01/13/12* | | | | | | | | |
| **L OREAL CO ADR (LRLCY)** | 8/23/11 | 32 000 | 23 200 | 742 40 | 666 56 | (75 84) ST | | |
| | 9/13/11 | 28 000 | 19 560 | 547 68 | 583 24 | 35 56 ST | | |
| | **Total** | 60.000 | | 1,290 08 | **1,249.80** | (40 28) ST | 22.20 | 1 77 |
| *Share Price $20 830* | | | | | | | | |
| **LIBERTY MEDIA CO LIBERTY CAP A (LMCA)** | 12/10/09 | 24 000 | 55 505 | 1,332 13 | 1,873 20 | 541 07 LT | | |
| | 12/13/10 | 31 000 | 62 423 | 1,935 11 | 2,419.55 | 484 44 LT | | |
| | 3/24/11 | 5 000 | 73 306 | 366 53 | 390 25 | 23 72 ST | | |
| | 3/24/11 | 1 000 | 78 670 | 78 67 | 78 05 | (0 62) ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 61 000 | | 3,712 44 | **4,761.05** | 1,025 51 LT<br>23 10 ST | — | — |
| *Share Price $78 050* | | | | | | | | |
| **LIMITED BRANDS INC (LTD)** | 8/30/11 | 31 000 | 38 073 | 1,180 27 | 1,250.85 | 70 58 ST | | |
| | 11/16/11 | 5 000 | 43 376 | 216 88 | 201 75 | (15.13) ST | | |
| | 12/6/11 | 10 000 | 43 235 | 432 35 | 403 50 | (28 85) ST | | |
| | **Total** | 46.000 | | 1,829 50 | **1,856.10** | 26.60 ST | 36.80 | 1.98 |
| *Share Price $40 350, Next Dividend Payable 03/12* | | | | | | | | |
| **LINCOLN NTL CORP IND (LNC)** | 6/17/10 | 25 000 | 27.534 | 688 34 | 485.50 | (202.84) LT | | |
| | 9/2/10 | 33 000 | 24 967 | 823.91 | 640 86 | (183.05) LT | | |
| | 2/22/11 | 34 000 | 30 446 | 1,035 16 | 660 28 | (374 88) ST | | |
| | 4/1/11 | 1 000 | 30 500 | 30 50 | 19.42 | (11 08) ST | | |
| | **Total** | 93 000 | | 2,577.91 | **1,806.06** | (385.89) LT<br>(385 96) ST | 29.76 | 1 64 |
| *Share Price $19 420, Next Dividend Payable 02/12* | | | | | | | | |
| **LKQ CORPORATION (LKQX)** | 3/10/09 | 108 000 | 12 938 | 1,397 28 | **3,248.64** | 1,851 36 LT A | — | — |
| *Share Price $30 080* | | | | | | | | |
| **LONZA GROUP AG ZUERICH ADR (LZAGY)** | 12/10/09 | 114 000 | 7 420 | 845 88 | 670 32 | (175 56) LT | | |
| | 6/28/11 | 22 000 | 7 300 | 160 60 | 129 36 | (31 24) ST | | |
| | 11/16/11 | 3 000 | 5 900 | 17 70 | 17 64 | (0.06) ST | | |
| | **Total** | 139.000 | | 1,024 18 | **817.32** | (175 56) LT<br>(31.30) ST | 30 02 | 3.67 |
| *Share Price $5 880* | | | | | | | | |
| **LYONDELLBASELL NV CL-A (LYB)** | 11/1/10 | 63 000 | 26.065 | 1,642 10 | 2,046 87 | 404 77 LT | | |
| | 4/1/11 | 4 000 | 40 048 | 160.19 | 129.96 | (30.23) ST | | |
| | **Total** | 67 000 | | 1,802.29 | **2,176.83** | 404 77 LT<br>(30 23) ST | 67 00 | 3 07 |
| *Share Price $32 490, Next Dividend Payable 03/12* | | | | | | | | |
| **M&T BANK CORP (MTB)** | 10/12/11 | 20 000 | 75 992 | 1,519 84 | 1,526 80 | 6 96 ST | | |
| | 10/14/11 | 11.000 | 75 650 | 832 15 | 839 74 | 7.59 ST | | |
| | 10/19/11 | 12 000 | 72.964 | 875 57 | 916 08 | 40.51 ST | | |

CONTINUED

STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 43 000 | | 3,227 56 | **3,282.62** | 55 06 ST | 120 40 | 3 66 |
| *Share Price $76 340, Next Dividend Payable 03/12* | | | | | | | | |
| **MACY'S INC (M)** | 12/13/11 | 43.000 | 31.571 | 1,357.56 | **1,383.74** | 26.18 ST | 17 20 | 1.24 |
| *Share Price $32 180, Next Dividend Payable 01/03/12* | | | | | | | | |
| **MARKS & SPENCER GRP PLC ADR (MAKSY)** | 12/10/09 | 40.000 | 13.090 | 523.60 | 380.80 | (142.80) LT | | |
| | 5/10/10 | 26.000 | 10 472 | 272 28 | 247.52 | (24 76) LT | | |
| | 12/16/10 | 30.000 | 11.910 | 357.30 | 285.60 | (71.70) LT | | |
| | 7/29/11 | 15 000 | 11 350 | 170 25 | 142 80 | (27 45) ST | | |
| | 11/16/11 | 5 000 | 10 400 | 52 00 | 47 60 | (4.40) ST | | |
| | **Total** | 116 000 | | 1,375 43 | **1,104.32** | (239 26) LT<br>(31.85) ST | 59 39 | 5 37 |
| *Share Price $9 520* | | | | | | | | |
| **MARRIOTT INTL INC NEW CL A (MAR)** | 7/19/11 | 66 000 | 32 521 | 2,146 38 | **1,925.22** | (221 16) ST | 26 40 | 1 37 |
| *Share Price $29 170, Next Dividend Payable 01/06/12* | | | | | | | | |
| **MARRIOTT VACATIONS WORLDWIDE (VAC)** | 7/19/11 | 6.000 | 21.578 | 129.47 | **102.96** | (26 51) ST | — | — |
| *Share Price $17 160* | | | | | | | | |
| **MATTEL INC (MAT)** | 3/11/09 | 70 000 | 10 838 | 758 66 | 1,943 20 | 1,184 54 LT A | | |
| | 3/10/10 | 24 000 | 22 874 | 548 98 | 666 24 | 117 26 LT | | |
| | 4/22/10 | 33 000 | 23 448 | 773 78 | 916 08 | 142.30 LT | | |
| | **Total** | 127 000 | | 2,081 42 | **3,525.52** | 1,444 10 LT | 116 84 | 3 31 |
| *Share Price $27 760, Next Dividend Payable 03/12* | | | | | | | | |
| **MC DONALDS CORP (MCD)** | 4/24/09 | 8.000 | 55.094 | 440.76 | 802.64 | 361.88 LT A | | |
| | 5/19/09 | 3 000 | 54 005 | 162 01 | 300 99 | 138 98 LT A | | |
| | 6/3/09 | 5.000 | 60 708 | 303 54 | 501.65 | 198.11 LT A | | |
| | 8/25/09 | 1 000 | 56.474 | 56.47 | 100.33 | 43.86 LT A | | |
| | 8/25/09 | 9 000 | 56.474 | 508.27 | 902 97 | 394 70 LT A | | |
| | 8/25/09 | 1 000 | 56 474 | 56.47 | 100.33 | 43 86 LT A | | |
| | 12/10/09 | 12 000 | 61.190 | 734 28 | 1,203 96 | 469 68 LT | | |
| | 12/10/09 | 11 000 | 61 190 | 673 09 | 1,103 63 | 430 54 LT | | |
| | 1/5/10 | 12 000 | 62.290 | 747.48 | 1,203.96 | 456.48 LT | | |
| | 12/29/10 | 5 000 | 77.130 | 385 65 | 501 65 | 116 00 LT | | |

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## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 67 000 | | 4,068 02 | **6,722.11** | 2,654 09 LT | 187.60 | 2 79 |
| *Share Price $100 330, Next Dividend Payable 03/12* | | | | | | | | |
| **MCKESSON CORP (MCK)** | 4/7/10 | 11 000 | 66 344 | 729.78 | 857 01 | 127 23 LT | | |
| | 5/17/10 | 9.000 | 67 931 | 611 38 | 701.19 | 89 81 LT | | |
| | 11/1/10 | 15.000 | 67 084 | 1,006 26 | 1,168 65 | 162 39 LT | | |
| | 7/29/11 | 6.000 | 81 330 | 487 98 | 467 46 | (20.52) ST | | |
| | **Total** | 41.000 | | 2,835 40 | **3,194.31** | 379 43 LT<br>(20 52) ST | 32.80 | 1.02 |
| *Share Price $77 910, Next Dividend Payable 01/03/12* | | | | | | | | |
| **MEAD JOHNSON NUTRITION COMPANY (MJN)** | 8/17/11 | 92 000 | 71 109 | 6,542 04 | **6,323.16** | (218 88) ST | 95 68 | 1 51 |
| *Share Price $68 730, Next Dividend Payable 01/03/12* | | | | | | | | |
| **MERCK & CO INC NEW COM (MRK)** | — | 36 000 | — | Please Provide | 1,357 20 | N/A | | |
| | 12/10/09 | 5 000 | 37.810 | 189 05 | 188.50 | (0 55) LT | | |
| | 5/27/10 | 25.000 | 33 623 | 840.58 | 942 50 | 101 92 LT | | |
| | 8/23/10 | 20 000 | 34.983 | 699.66 | 754 00 | 54.34 LT | | |
| | 12/29/10 | 15 000 | 36 210 | 543 15 | 565 50 | 22 35 LT | | |
| | **Total** | 101.000 | | 2,272 44 | **3,807.70** | 178.06 LT | 169.68 | 4 45 |
| *Share Price $37 700, Next Dividend Payable 01/09/12* | | | | | | | | |
| **MERCK KGAA UNSPON ADR (MKGAY)** | 12/10/09 | 62 000 | 31.450 | 1,949 90 | 2,060 26 | 110.36 LT | | |
| | 1/25/10 | 6 000 | 31 200 | 187 20 | 199 38 | 12.18 LT | | |
| | 12/29/10 | 11.000 | 26 730 | 294 03 | 365 53 | 71 50 LT | | |
| | 11/16/11 | 8.000 | 32 410 | 259 28 | 265 84 | 6.56 ST | | |
| | **Total** | 87 000 | | 2,690 41 | **2,891.01** | 194 04 LT<br>6 56 ST | 34.71 | 1.20 |
| *Share Price $33 230* | | | | | | | | |
| **METLIFE INCORPORATED (MET)** | 4/24/09 | 35 000 | 28 756 | 1,006 47 | 1,091 30 | 84 83 LT A | | |
| | 12/10/09 | 20 000 | 35 950 | 719.00 | 623 60 | (95 40) LT | | |
| | 6/9/10 | 25.000 | 39.150 | 978 75 | 779 50 | (199 25) LT | | |
| | 12/29/10 | 15 000 | 44 860 | 672 90 | 467 70 | (205 20) LT | | |
| | 8/24/11 | 25.000 | 32 445 | 811 12 | 779 50 | (31 62) ST | | |

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# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 120 000 | | 4,188 24 | **3,741.60** | (415 02) LT<br>(31 62) ST | 88.80 | 2 37 |
| *Share Price $31 180, Next Dividend Payable 12/12* | | | | | | | | |
| **METTLER TOLEDO INTL (MTD)** | 6/3/10 | 13 000 | 115.627 | 1,503 15 | **1,920.23** | 417.08 LT | — | — |
| *Share Price $147 710* | | | | | | | | |
| **MICHELIN COMPAGNIE GENERALE DE (MGDDY)** | 12/10/09 | 100 000 | 15 550 | 1,555 00 | 1,172.00 | (383 00) LT | | |
| | 2/25/11 | 9 000 | 16 140 | 145 26 | 105.48 | (39.78) ST | | |
| | 11/16/11 | 18 000 | 12.590 | 226 62 | 210 96 | (15.66) ST | | |
| | 12/21/11 | 16 000 | 11.710 | 187 36 | 187 52 | 0.16 ST | | |
| | **Total** | 143.000 | | 2,114 24 | **1,675.96** | (383.00) LT<br>(55.28) ST | 53.20 | 3.17 |
| *Share Price $11 720* | | | | | | | | |
| **MICROCHIP TECHNOLOGY INC (MCHP)** | 12/10/09 | 52 000 | 26 659 | 1,386 29 | **1,904.76** | 518 47 LT | 72 38 | 3 79 |
| *Share Price $36 630, Next Dividend Payable 03/12* | | | | | | | | |
| **MICROS SYST (MCRS)** | 12/10/09 | 46 000 | 29 846 | 1,372 92 | **2,142.68** | 769 76 LT | — | — |
| *Share Price $46 580* | | | | | | | | |
| **MICROSOFT CORP (MSFT)** | 3/10/09 | 60.000 | 16 018 | 961 07 | 1,557 60 | 596 53 LT A | | |
| | 7/22/09 | 33 000 | 24 744 | 816.56 | 856 68 | 40 12 LT A | | |
| | 6/16/11 | 89.000 | 24.020 | 2,137 75 | 2,310 44 | 172 69 ST | | |
| | 11/16/11 | 8 000 | 26 390 | 211 12 | 207 68 | (3 44) ST | | |
| | **Total** | 190.000 | | 4,126 50 | **4,932.40** | 636 65 LT<br>169.25 ST | 152.00 | 3.08 |
| *Share Price $25 960, Next Dividend Payable 03/12* | | | | | | | | |
| **MITSUBISHI UFJ FINCL GRP ADS (MTU)** | 12/30/09 | 85.000 | 4 950 | 420 75 | 356.15 | (64.60) LT | | |
| | 11/16/11 | 10.000 | 4.240 | 42.40 | 41.90 | (0 50) ST | | |
| | **Total** | 95.000 | | 463 15 | **398.05** | (64.60) LT<br>(0 50) ST | 13 21 | 3 31 |
| *Share Price $4 190* | | | | | | | | |
| **MSCI INC CL-A (MSCI)** | 4/7/10 | 7 000 | 37.357 | 261.50 | 230 51 | (30.99) LT | | |
| | 4/19/10 | 53 000 | 36.438 | 1,931.19 | 1,745 29 | (185 90) LT | | |
| | **Total** | 60 000 | | 2,192 69 | **1,975.80** | (216 89) LT | — | — |
| *Share Price $32 930* | | | | | | | | |

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# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **MUENCHENER RUECK-UNSPONS ADR (MURGY)** | 12/10/09 | 3 000 | 15 410 | 46 23 | 36 84 | (9 39) LT | | |
| | 12/29/10 | 8 000 | 15.170 | 121 36 | 98 24 | (23 12) LT | | |
| | 3/17/11 | 100 000 | 15 403 | 1,540 30 | 1,228 00 | (312 30) ST | | |
| | 3/25/11 | 18 000 | 15.450 | 278 10 | 221 04 | (57 06) ST | | |
| | 11/16/11 | 20 000 | 12 130 | 242 60 | 245 60 | 3 00 ST | | |
| | **Total** | 149 000 | | 2,228.59 | **1,829.72** | (32 51) LT<br>(366 36) ST | 92.23 | 5 04 |
| *Share Price $12 280* | | | | | | | | |
| **NATIONAL OILWELL VARCO INC (NOV)** | 1/11/11 | 89 000 | 66 507 | 5,919 13 | 6,051 11 | 131 98 ST | | |
| | 11/16/11 | 2.000 | 72 390 | 144 78 | 135 98 | (8 80) ST | | |
| | **Total** | 91.000 | | 6,063 91 | **6,187.09** | 123.18 ST | 43.68 | 0 70 |
| *Share Price $67 990, Next Dividend Payable 03/12* | | | | | | | | |
| **NATL GRID TRANSCO PLC ADS (NGG)** | 9/9/10 | 32 000 | 43 560 | 1,393 93 | 1,551 36 | 157.43 LT | | |
| | 11/16/11 | 4 000 | 49.740 | 198.96 | 193.92 | (5.04) ST | | |
| | **Total** | 36.000 | | 1,592 89 | **1,745.28** | 157.43 LT<br>(5 04) ST | 107.89 | 6 18 |
| *Share Price $48 480* | | | | | | | | |
| **NESTLE SPON ADR REP REG SHR (NSRGY)** | 3/10/09 | 16 000 | 31.620 | 505 92 | 923 36 | 417 44 LT A | | |
| | 3/11/09 | 23 000 | 31 650 | 727 95 | 1,327 33 | 599 38 LT A | | |
| | 3/11/09 | 27 000 | 31 600 | 853 20 | 1,558 17 | 704 97 LT A | | |
| | 3/11/09 | 10.000 | 31 600 | 316 00 | 577 10 | 261 10 LT A | | |
| | 3/11/09 | 7 000 | 31 600 | 221 20 | 403 97 | 182 77 LT A | | |
| | 3/11/09 | 1 000 | 31 600 | 31 60 | 57.71 | 26 11 LT A | | |
| | 12/10/09 | 3.000 | 48.620 | 145.86 | 173 13 | 27.27 LT | | |
| | 9/9/10 | 13.000 | 52.975 | 688.68 | 750 23 | 61 55 LT | | |
| | 12/29/10 | 6 000 | 59.230 | 355 38 | 346 26 | (9.12) LT | | |

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# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 106 000 | | 3,845 79 | **6,117.26** | 2,271 47 LT | 187 30 | 3 06 |
| *Share Price $57 710* | | | | | | | | |
| **NEW YORK COMMUNITY BANCORP INC (NYB)** | 12/10/09 | 159.000 | 13 040 | 2,073 34 | 1,966 83 | (106 51) LT | | |
| | 12/21/09 | 35.000 | 14.234 | 498 18 | 432.95 | (65.23) LT | | |
| | 10/25/11 | 56 000 | 12 726 | 712 68 | 692.72 | (19 96) ST | | |
| | 11/16/11 | 14 000 | 12 127 | 169.78 | 173 18 | 3 40 ST | | |
| | **Total** | 264.000 | | 3,453 98 | **3,265.68** | (171.74) LT<br>(16 56) ST | 264.00 | 8.08 |
| *Share Price $12 370, Next Dividend Payable 02/12* | | | | | | | | |
| **NEXEN INC (NXY)** | 8/12/11 | 56 000 | 20 714 | 1,159 98 | 890 96 | (269 02) ST | | |
| | 8/19/11 | 38 000 | 20 166 | 766 31 | 604 58 | (161 73) ST | | |
| | **Total** | 94 000 | | 1,926 29 | **1,495.54** | (430 75) ST | 18 99 | 1 26 |
| *Share Price $15 910, Next Dividend Payable 01/01/12* | | | | | | | | |
| **NIDEC CORP (NJ)** | 12/10/09 | 62.000 | 22 835 | 1,415.80 | 1,337 96 | (77 84) LT | | |
| | 7/12/10 | 14 000 | 23 281 | 325 94 | 302 12 | (23 82) LT | | |
| | **Total** | 76 000 | | 1,741 74 | **1,640.08** | (101 66) LT | 19 46 | 1.18 |
| *Share Price $21 580* | | | | | | | | |
| **NINTENDO CO LTD ADR NEW (NTDOY)** | 12/10/09 | 57.000 | 30.410 | 1,733.37 | 965.58 | (767 79) LT | | |
| | 3/25/11 | 6.000 | 34.390 | 206.34 | 101 64 | (104.70) ST | | |
| | 8/1/11 | 2 000 | 19 825 | 39.65 | 33.88 | (5 77) ST | | |
| | 11/16/11 | 9 000 | 19 000 | 171 00 | 152 46 | (18 54) ST | | |
| | **Total** | 74 000 | | 2,150.36 | **1,253.56** | (767.79) LT<br>(129 01) ST | 29.53 | 2 35 |
| *Share Price $16 940* | | | | | | | | |
| **NISOURCE INC (NI)** | 3/11/09 | 137.000 | 8.549 | 1,171 22 | 3,261 97 | 2,090.75 LT A | | |
| | 3/11/10 | 2 000 | 15 545 | 31.09 | 47 62 | 16.53 LT | | |
| | 2/15/11 | 110 000 | 19 078 | 2,098 60 | 2,619 10 | 520 50 ST | | |
| | 4/1/11 | 6 000 | 19 408 | 116 45 | 142 86 | 26 41 ST | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 255 000 | | 3,417.36 | **6,071.55** | 2,107 28 LT<br>546 91 ST | 234 60 | 3 86 |
| *Share Price $23 810; Next Dividend Payable 02/12* | | | | | | | | |
| **NISSAN MTR CO LTD SPND ADR (NSANY)** | 1/20/11 | 41.000 | 20 180 | 827 38 | 728 98 | (98 40) ST | | |
| | 6/29/11 | 20 000 | 21.090 | 421 80 | 355 60 | (66 20) ST | | |
| | 11/16/11 | 6 000 | 18 020 | 108 12 | 106 68 | (1.44) ST | | |
| | **Total** | 67.000 | | 1,357 30 | **1,191.26** | (166.04) ST | 20.57 | 1.72 |
| *Share Price $17 780* | | | | | | | | |
| **NOMURA HLDGS INC (NMR)** | 3/25/11 | 155 000 | 5 433 | 842.19 | 461.90 | (380.29) ST | | |
| | 7/29/11 | 21 000 | 4.856 | 101 97 | 62 58 | (39.39) ST | | |
| | 11/16/11 | 16 000 | 3 126 | 50.01 | 47 68 | (2 33) ST | | |
| | **Total** | 192 000 | | 994 17 | **572.16** | (422 01) ST | 17 66 | 3 08 |
| *Share Price $2 980* | | | | | | | | |
| **NORTHEAST UTILITIES (NU)** | 12/10/09 | 57 000 | 24.658 | 1,405 50 | **2,055.99** | 650.49 LT | 62.70 | 3 04 |
| *Share Price $36 070, Next Dividend Payable 03/12* | | | | | | | | |
| **NORTHERN OIL AND GAS INC (NOG)** | 3/17/11 | 60 000 | 30 005 | 1,800 31 | 1,438 80 | (361 51) ST | | |
| | 4/1/11 | 6 000 | 26 380 | 158 28 | 143.88 | (14 40) ST | | |
| | 6/14/11 | 40.000 | 18 949 | 757 97 | 959 20 | 201 23 ST | | |
| | **Total** | 106 000 | | 2,716 56 | **2,541.88** | (174 68) ST | — | — |
| *Share Price $23 980* | | | | | | | | |
| **NORTHWESTERN CORPORATION (NWE)** | 12/10/09 | 47 000 | 25 542 | 1,200 47 | **1,682.13** | 481.66 LT | 67 68 | 4 02 |
| *Share Price $35 790, Next Dividend Payable 03/12* | | | | | | | | |
| **NOVARTIS AG ADR (NVS)** | 3/11/09 | 9 000 | 34.090 | 306 81 | 514 53 | 207 72 LT A | | |
| | 3/11/09 | 26 000 | 34 080 | 886 08 | 1,486 42 | 600 34 LT A | | |
| | 5/20/10 | 13 000 | 44.899 | 583.69 | 743 21 | 159 52 LT | | |
| | 5/25/10 | 9 000 | 43 888 | 394.99 | 514.53 | 119 54 LT | | |
| | 12/1/10 | 10 000 | 53.983 | 539 83 | 571 70 | 31.87 LT | | |
| | 2/4/11 | 3.000 | 56.260 | 168.78 | 171 51 | 2 73 ST | | |
| | 11/16/11 | 2 000 | 55 330 | 110 66 | 114.34 | 3 68 ST | | |
| | 11/16/11 | 2 000 | 55.410 | 110 82 | 114.34 | 3.52 ST | | |

CONTINUED

STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 74 000 | | 3,101 66 | **4,230.58** | 1,118 99 LT<br>9 93 ST | 148 38 | 3 50 |
| *Share Price $57 170, Next Dividend Payable 04/12* | | | | | | | | |
| **NOVO NORDISK A/S ADR (NVO)** | 7/21/09 | 12 000 | 56 909 | 682 90 | 1,383 12 | 700 22 LT A | | |
| | 12/10/09 | 8 000 | 67 530 | 540 24 | 922 08 | 381.84 LT | | |
| | 12/29/10 | 2 000 | 111.920 | 223 84 | 230 52 | 6 68 LT | | |
| | **Total** | 22.000 | | 1,446.98 | **2,535.72** | 1,088 74 LT | 29 88 | 1 17 |
| *Share Price $115 260* | | | | | | | | |
| **OCCIDENTAL PETROLEUM CORP DE (OXY)** | 3/10/09 | 52 000 | 53 490 | 2,781 48 | 4,872.40 | 2,090.92 LT A | | |
| | 3/24/09 | 12 000 | 59 083 | 709 00 | 1,124 40 | 415 40 LT A | | |
| | 12/10/09 | 5 000 | 76.800 | 384 00 | 468 50 | 84.50 LT | | |
| | 5/7/10 | 70 000 | 80.300 | 5,621 00 | 6,559 00 | 938 00 LT | | |
| | **Total** | 139 000 | | 9,495 48 | **13,024.30** | 3,528.82 LT | 255 76 | 1.96 |
| *Share Price $93 700, Next Dividend Payable 01/15/12* | | | | | | | | |
| **OIL STATES INTL INC (OIS)** | 6/28/11 | 12 000 | 75 580 | 906 96 | 916 44 | 9 48 ST | | |
| | 7/13/11 | 14 000 | 83 929 | 1,175 00 | 1,069 18 | (105 82) ST | | |
| | **Total** | 26 000 | | 2,081.96 | **1,985.62** | (96.34) ST | — | — |
| *Share Price $76 370* | | | | | | | | |
| **OLD REPUBLIC INTL CP (ORI)** | 3/11/09 | 120 000 | 8.275 | 993 00 | 1,112.40 | 119 40 LT A | | |
| | 12/10/09 | 12.000 | 10.450 | 125.40 | 111.24 | (14.16) LT | | |
| | 7/29/11 | 29 000 | 10 521 | 305 10 | 268 83 | (36.27) ST | | |
| | 11/16/11 | 41 000 | 8 020 | 328 82 | 380 07 | 51 25 ST | | |
| | **Total** | 202 000 | | 1,752 32 | **1,872.54** | 105 24 LT<br>14 98 ST | 141 40 | 7 55 |
| *Share Price $9 270, Next Dividend Payable 03/12* | | | | | | | | |
| **OMNICOM GROUP (OMC)** | 10/19/10 | 5 000 | 41 348 | 206 74 | 222 90 | 16 16 LT | | |
| | 12/29/10 | 34 000 | 46 388 | 1,577.19 | 1,515 72 | (61 47) LT | | |
| | 8/25/11 | 27 000 | 38 828 | 1,048 35 | 1,203 66 | 155 31 ST | | |
| | 8/25/11 | 13.000 | 38.828 | 504 76 | 579 54 | 74 78 ST | | |
| | **Total** | 79 000 | | 3,337 04 | **3,521.82** | (45 31) LT<br>230 09 ST | 79 00 | 2 24 |
| *Share Price $44 580, Next Dividend Payable 01/09/12* | | | | | | | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **ORACLE CORP (ORCL)** | 4/1/09 | 47 000 | 18 337 | 861 82 | 1,205.55 | 343 73 LT A | | |
| | 3/23/11 | 56 000 | 31 665 | 1,773 24 | 1,436 40 | (336 84) ST | | |
| | 6/16/11 | 52.000 | 30.808 | 1,602 00 | 1,333.80 | (268 20) ST | | |
| | 11/16/11 | 5.000 | 32.780 | 163 90 | 128.25 | (35.65) ST | | |
| | 12/13/11 | 22.000 | 31 350 | 689 70 | 564 30 | (125 40) ST | | |
| | **Total** | 182.000 | | 5,090.66 | **4,668.30** | 343.73 LT<br>(766.09) ST | 43.68 | 0.93 |
| *Share Price $25 650, Next Dividend Payable 02/12* | | | | | | | | |
| **PEABODY ENERGY CORP (BTU)** | 6/9/10 | 6 000 | 37.298 | 223 79 | 198 66 | (25 13) LT | | |
| | 6/17/10 | 18 000 | 40 492 | 728 85 | 595 98 | (132 87) LT | | |
| | 6/22/11 | 13.000 | 57 170 | 743 20 | 430 43 | (312.77) ST | | |
| | 6/22/11 | 28 000 | 57 170 | 1,600.75 | 927 08 | (673 67) ST | | |
| | 6/22/11 | 7 000 | 57 170 | 400 19 | 231.77 | (168 42) ST | | |
| | 8/8/11 | 30 000 | 44 062 | 1,321.87 | 993 30 | (328 57) ST | | |
| | **Total** | 102 000 | | 5,018.65 | **3,377.22** | (158.00) LT<br>(1,483 43) ST | 34.68 | 1.02 |
| *Share Price $33 110, Next Dividend Payable 02/12* | | | | | | | | |
| **PEARSON PLC SP ADR (PSO)** | 12/10/09 | 42.000 | 14 130 | 593 46 | 792.54 | 199 08 LT | | |
| | 11/16/11 | 3 000 | 17 740 | 53.22 | 56 61 | 3.39 ST | | |
| | **Total** | 45 000 | | 646 68 | **849.15** | 199 08 LT<br>3.39 ST | 28 89 | 3 40 |
| *Share Price $18 870* | | | | | | | | |
| **PEPSICO INC NC (PEP)** | 4/24/09 | 2 000 | 48.194 | 96.39 | 132 70 | 36.31 LT A | | |
| | 5/19/09 | 12 000 | 51.757 | 621 08 | 796 20 | 175.12 LT A | | |
| | 12/10/09 | 3.000 | 61 910 | 185.73 | 199.05 | 13 32 LT | | |
| | 4/4/11 | 11 000 | 64 955 | 714 50 | 729 85 | 15 35 ST | | |
| | **Total** | 28 000 | | 1,617.70 | **1,857.80** | 224.75 LT<br>15 35 ST | 57 68 | 3.10 |
| *Share Price $66 350, Next Dividend Payable 01/03/12* | | | | | | | | |
| **PETROLEO BRASILEIRO SA ADR (PBR'A)** | 12/10/09 | 52.000 | 43.130 | 2,242 76 | 1,221 48 | (1,021 28) LT | | |
| | 11/16/11 | 11 000 | 25 380 | 279 18 | 258 39 | (20 79) ST | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 63 000 | | 2,521 94 | **1,479.87** | (1,021 28) LT<br>(20 79) ST | 9 45 | 0.63 |
| *Share Price $23 490* | | | | | | | | |
| **PFIZER INC (PFE)** | 3/10/09 | 237 000 | 12.998 | 3,080 48 | 5,128 68 | 2,048 20 LT A | | |
| | 12/10/09 | 18 000 | 18 380 | 330 84 | 389 52 | 58 68 LT | | |
| | 6/9/10 | 44 000 | 14 480 | 637 13 | 952 16 | 315.03 LT | | |
| | 12/29/10 | 58.000 | 17.568 | 1,018.93 | 1,255.12 | 236.19 LT | | |
| | **Total** | 357.000 | | 5,067 38 | **7,725.48** | 2,658.10 LT | 314.16 | 4.06 |
| *Share Price $21 640, Next Dividend Payable 03/12* | | | | | | | | |
| **PG&E CORPORATION (PCG)** | 10/20/09 | 56 000 | 42 761 | 2,394.60 | 2,308 32 | (86.28) LT A | | |
| | 12/10/09 | 4 000 | 44 170 | 176 68 | 164 88 | (11 80) LT | | |
| | 11/16/11 | 16 000 | 39 356 | 629 70 | 659 52 | 29 82 ST | | |
| | **Total** | 76 000 | | 3,200 98 | **3,132.72** | (98.08) LT<br>29.82 ST | 138.32 | 4 41 |
| *Share Price $41 220, Next Dividend Payable 01/15/12* | | | | | | | | |
| **PNC FINL SVCS GP (PNC)** | 4/24/09 | 26 000 | 42.883 | 1,114 97 | 1,499 42 | 384 45 LT A | | |
| | 9/28/09 | 2 000 | 46 280 | 92 56 | 115 34 | 22 78 LT A | | |
| | 8/8/11 | 19 000 | 49 085 | 932 61 | 1,095 73 | 163 12 ST | | |
| | **Total** | 47 000 | | 2,140 14 | **2,710.49** | 407 23 LT<br>163.12 ST | 65 80 | 2 42 |
| *Share Price $57 670, Next Dividend Payable 02/12* | | | | | | | | |
| **POSCO ADS (PKX)** | 7/8/11 | 6 000 | 109 580 | 657.48 | 492 60 | (164.88) ST | | |
| | 8/3/11 | 7 000 | 106.481 | 745 37 | 574.70 | (170 67) ST | | |
| | 11/16/11 | 1.000 | 84.910 | 84 91 | 82.10 | (2.81) ST | | |
| | 12/14/11 | 4 000 | 83 648 | 334 59 | 328 40 | (6 19) ST | | |
| | **Total** | 18.000 | | 1,822 35 | **1,477.80** | (344 55) ST | 33 75 | 2.28 |
| *Share Price $82 100* | | | | | | | | |
| **PPL CORPORATION (PPL)** | 8/8/11 | 54 000 | 25.848 | 1,395 77 | 1,588.68 | 192.91 ST | | |
| | 8/24/11 | 22 000 | 27.937 | 614 61 | 647.24 | 32 63 ST | | |
| | 9/9/11 | 34 000 | 27 843 | 946 66 | 1,000 28 | 53.62 ST | | |

CONTINUED

MorganStanley SmithBarney

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 110 000 | | 2,957 04 | **3,236.20** | 279 16 ST | 154 00 | 4 75 |
| *Share Price $29 420, Next Dividend Payable 01/03/12* | | | | | | | | |
| **PRAXAIR INC (PX)** | 3/10/09 | 63.000 | 57.430 | 3,618.09 | 6,734.70 | 3,116.61 LT A | | |
| | 12/10/09 | 6 000 | 82 680 | 496 08 | 641.40 | 145 32 LT | | |
| | **Total** | 69 000 | | 4,114 17 | **7,376.10** | 3,261 93 LT | 138 00 | 1 87 |
| *Share Price $106 900, Next Dividend Payable 03/12* | | | | | | | | |
| **PRECISION CASTPARTS CORP (PCP)** | 12/10/09 | 8 000 | 109 830 | 878 64 | **1,318.32** | 439 68 LT | 0 96 | 0.07 |
| *Share Price $164 790, Next Dividend Payable 01/03/12* | | | | | | | | |
| **PROGRESS ENERGY INC (PGN)** | 3/11/09 | 70 000 | 31 890 | 2,232 30 | 3,921 40 | 1,689.10 LT A | | |
| | 12/10/09 | 4 000 | 41 278 | 165 11 | 224 08 | 58 97 LT | | |
| | **Total** | 74 000 | | 2,397 41 | **4,145.48** | 1,748.07 LT | 183.52 | 4 42 |
| *Share Price $56 020, Next Dividend Payable 01/09/12* | | | | | | | | |
| **PRUDENTIAL FINANCIAL INC (PRU)** | 5/19/09 | 34.000 | 43.070 | 1,464 38 | 1,704 08 | 239.70 LT A | | |
| | 9/28/09 | 6 000 | 50 290 | 301 74 | 300 72 | (1 02) LT A | | |
| | 12/10/09 | 6.000 | 48.780 | 292 68 | 300.72 | 8 04 LT | | |
| | 11/16/11 | 3 000 | 52 787 | 158 36 | 150 36 | (8 00) ST | | |
| | **Total** | 49 000 | | 2,217 16 | **2,455.88** | 246 72 LT<br>(8 00) ST | 71 05 | 2 89 |
| *Share Price $50 120, Next Dividend Payable 12/12* | | | | | | | | |
| **PUBLIC SERVICE ENTERPRISE GP (PEG)** | 8/24/11 | 65 000 | 32 682 | 2,124 33 | 2,145 65 | 21 32 ST | | |
| | 10/21/11 | 39.000 | 34 084 | 1,329.26 | 1,287.39 | (41.87) ST | | |
| | **Total** | 104.000 | | 3,453.59 | **3,433.04** | (20.55) ST | 142.48 | 4.15 |
| *Share Price $33 010, Next Dividend Payable 03/12* | | | | | | | | |
| **PUBLICIS GROUPE SA ADS (PUBGY)** | 11/26/10 | 10.000 | 22.919 | 229 19 | 228 70 | (0 49) LT | | |
| | 11/29/10 | 16 000 | 22 684 | 362 95 | 365 92 | 2.97 LT | | |
| | 11/30/10 | 26 000 | 22 532 | 585 83 | 594 62 | 8 79 LT | | |
| | **Total** | 52.000 | | 1,177.97 | **1,189.24** | 11.27 LT | 20 85 | 1 75 |
| *Share Price $22 870* | | | | | | | | |
| **QUALCOMM INC (QCOM)** | 3/10/09 | 104.000 | 34.818 | 3,621.05 | 5,688.80 | 2,067 75 LT A | | |
| | 12/10/09 | 23 000 | 45 610 | 1,049 03 | 1,258.10 | 209 07 LT | | |
| | **Total** | 127 000 | | 4,670 08 | **6,946.90** | 2,276 82 LT | 109 22 | 1 57 |
| *Share Price $54 700; Next Dividend Payable 03/12* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| RANDSTAD HLDG NV UNSPON ADR (RANJY) | 6/29/11 | 24 000 | 22.930 | 550 32 | 355.20 | (195 12) ST | | |
| | 7/27/11 | 40.000 | 22 187 | 887 47 | 592 00 | (295 47) ST | | |
| | 8/12/11 | 11 000 | 17 083 | 187.91 | 162 80 | (25.11) ST | | |
| | 11/16/11 | 5 000 | 15.620 | 78.10 | 74.00 | (4.10) ST | | |
| | **Total** | 80 000 | | 1,703 80 | **1,184.00** | (519 80) ST | 56.64 | 4 78 |
| *Share Price $14 800* | | | | | | | | |
| RANGE RESOURCES CORP (RRC) | 3/11/09 | 25 000 | 36.550 | 913.75 | 1,548.50 | 634.75 LT A | | |
| | 9/23/09 | 15 000 | 52 119 | 781.78 | 929 10 | 147.32 LT A | | |
| | 12/10/09 | 9 000 | 43.980 | 395.82 | 557 46 | 161.64 LT | | |
| | 1/25/11 | 4 000 | 46.440 | 185 76 | 247.76 | 62.00 ST | | |
| | **Total** | 53 000 | | 2,277 11 | **3,282.82** | 943 71 LT<br>62 00 ST | 8 48 | 0 25 |
| *Share Price $61 940, Next Dividend Payable 03/12* | | | | | | | | |
| RED HAT INC (RHT) | 8/12/11 | 27 000 | 37 601 | 1,015 22 | 1,114 83 | 99.61 ST | | |
| | 9/9/11 | 4 000 | 37 162 | 148 65 | 165 16 | 16 51 ST | | |
| | 9/9/11 | 4 000 | 37 162 | 148 65 | 165 16 | 16 51 ST | | |
| | 9/9/11 | 5 000 | 37 162 | 185.81 | 206.45 | 20 64 ST | | |
| | 11/16/11 | 2.000 | 52.820 | 105 64 | 82.58 | (23 06) ST | | |
| | **Total** | 42 000 | | 1,603 97 | **1,734.18** | 130 21 ST | — | — |
| *Share Price $41 290* | | | | | | | | |
| REED ELSEVIER NV-SPONS ADR (ENL) | 6/17/10 | 10 000 | 22 599 | 225.99 | 232 10 | 6 11 LT | | |
| | 10/27/10 | 15.000 | 25 774 | 386 61 | 348 15 | (38 46) LT | | |
| | 12/29/10 | 23 000 | 24.590 | 565 57 | 533 83 | (31.74) LT | | |
| | 11/16/11 | 3 000 | 23.420 | 70 26 | 69.63 | (0 63) ST | | |
| | **Total** | 51.000 | | 1,248.43 | **1,183.71** | (64 09) LT<br>(0 63) ST | 51 00 | 4.30 |
| *Share Price $23 210* | | | | | | | | |
| REED ELSEVIER PLC - SPONS ADR (RUK) | 12/10/09 | 57 000 | 30 868 | 1,759 48 | 1,838 82 | 79 34 LT | | |
| | 12/29/10 | 6.000 | 33 160 | 198 96 | 193.56 | (5 40) LT | | |
| | 11/16/11 | 22 000 | 33.160 | 729 52 | 709 72 | (19 80) ST | | |
| | **Total** | 85.000 | | 2,687 96 | **2,742.10** | 73.94 LT<br>(19.80) ST | 113.99 | 4 15 |
| *Share Price $32 260* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **REINSURANCE GROUP OF AMERICA (RGA)** | 1/5/11 | 16 000 | 55 835 | 893 36 | 836 00 | (57 36) ST | | |
| | 1/21/11 | 19 000 | 58 178 | 1,105 39 | 992 75 | (112 64) ST | | |
| | 11/16/11 | 3.000 | 52 250 | 156 75 | 156.75 | 0.00 ST | | |
| | **Total** | 38.000 | | 2,155 50 | **1,985.50** | (170.00) ST | 27.36 | 1 37 |
| *Share Price $52 250, Next Dividend Payable 02/12* | | | | | | | | |
| **RENAISSANCE RE HOLDINGS LTD (RNR)** | 6/16/11 | 26 000 | 70.010 | 1,820 26 | **1,933.62** | 113.36 ST | 27 04 | 1.39 |
| *Share Price $74 370, Next Dividend Payable 03/12* | | | | | | | | |
| **REPSOL YPF SA ADR (REPYY)** | 12/10/09 | 26 000 | 26.930 | 700.18 | 793.26 | 93.08 LT | | |
| | 11/16/11 | 1 000 | 29 660 | 29 66 | 30.51 | 0.85 ST | | |
| | **Total** | 27 000 | | 729 84 | **823.77** | 93 08 LT<br>0 85 ST | 33 02 | 4 00 |
| *Share Price $30 510* | | | | | | | | |
| **RESMED INC (RMD)** | 6/24/09 | 39 000 | 19 557 | 762 74 | 990 60 | 227 86 LT A | | |
| | 6/25/09 | 30 000 | 20 160 | 604.80 | 762.00 | 157.20 LT A | | |
| | **Total** | 69 000 | | 1,367.54 | **1,752.60** | 385 06 LT | — | — |
| *Share Price $25 400* | | | | | | | | |
| **REXAM PLC ADR NEW (REXMY)** | 12/10/09 | 15 000 | 22.980 | 344.70 | 408 75 | 64.05 LT | | |
| | 1/10/11 | 16 000 | 27.550 | 440 80 | 436 00 | (4.80) ST | | |
| | 7/29/11 | 3.000 | 30.660 | 91.98 | 81.75 | (10.23) ST | | |
| | 11/16/11 | 4 000 | 25 990 | 103 96 | 109 00 | 5 04 ST | | |
| | **Total** | 38.000 | | 981 44 | **1,035.50** | 64.05 LT<br>(9.99) ST | 38.61 | 3 72 |
| *Share Price $27 250* | | | | | | | | |
| **REYNOLDS AMERICAN INC (RAI)** | 12/2/10 | 48 000 | 31 852 | 1,528 88 | 1,988 16 | 459 28 LT | | |
| | 2/23/11 | 29 000 | 34 330 | 995.58 | 1,201.18 | 205.60 ST | | |
| | 12/13/11 | 20.000 | 40 500 | 810 00 | 828 40 | 18 40 ST | | |
| | **Total** | 97 000 | | 3,334.46 | **4,017.74** | 459.28 LT<br>224 00 ST | 217 28 | 5 40 |
| *Share Price $41 420, Next Dividend Payable 01/03/12* | | | | | | | | |
| **ROCHE HOLDINGS ADR (RHHBY)** | 3/11/09 | 18 000 | 30 610 | 550 98 | 765 90 | 214.92 LT A | | |
| | 12/10/09 | 38.000 | 41 150 | 1,563 70 | 1,616 90 | 53.20 LT | | |
| | 12/10/09 | 37 000 | 41 150 | 1,522 55 | 1,574.35 | 51 80 LT | | |

CONTINUED

# Holdings



## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 12/16/09 | 3 000 | 41 960 | 125 88 | 127.65 | 1 77 LT | | |
| | 1/29/10 | 3.000 | 42.580 | 127.74 | 127.65 | (0.09) LT | | |
| | 5/28/10 | 9 000 | 34 420 | 309.78 | 382.95 | 73.17 LT | | |
| | 3/25/11 | 5 000 | 35 580 | 177 90 | 212 75 | 34.85 ST | | |
| | 11/16/11 | 1 000 | 39 250 | 39.25 | 42.55 | 3.30 ST | | |
| | 11/16/11 | 4 000 | 39 250 | 157 00 | 170 20 | 13 20 ST | | |
| | **Total** | 118 000 | | 4,574 78 | **5,020.90** | 394 77 LT<br>51 35 ST | 133 34 | 2 65 |
| *Share Price $42 550* | | | | | | | | |
| **ROCKWELL COLLINS INC (COL)** | 3/11/09 | 13 000 | 29 900 | 388 70 | 719 81 | 331 11 LT A | | |
| | 1/18/11 | 16 000 | 62 975 | 1,007 60 | 885 92 | (121 68) ST | | |
| | 7/29/11 | 4 000 | 55 425 | 221 70 | 221 48 | (0 22) ST | | |
| | **Total** | 33 000 | | 1,618 00 | **1,827.21** | 331.11 LT<br>(121 90) ST | 31 68 | 1 73 |
| *Share Price $55 370, Next Dividend Payable 03/12* | | | | | | | | |
| **ROLLS ROYCE HOLDINGS PLC (RYCEY)** | 12/10/09 | 16.000 | 39 180 | 626 88 | **923.68** | 296 80 LT | — | — |
| *Share Price $57 730, Next Dividend Payable 01/16/12* | | | | | | | | |
| **ROYAL DUTCH SHELL PLC CL B (RDS'B)** | 12/10/09 | 27 000 | 57 190 | 1,544 13 | 2,052 27 | 508 14 LT | | |
| | 4/16/10 | 8 000 | 58 860 | 470.88 | 608 08 | 137 20 LT | | |
| | 8/3/10 | 6 000 | 56 175 | 337 05 | 456 06 | 119 01 LT | | |
| | 8/4/10 | 13 000 | 55.778 | 725.11 | 988 13 | 263 02 LT | | |
| | 12/27/10 | 12.000 | 65.900 | 790.80 | 912 12 | 121 32 LT | | |
| | 12/28/10 | 11 000 | 66 290 | 729 19 | 836 11 | 106 92 LT | | |
| | 6/14/11 | 5 000 | 70.960 | 354.80 | 380.05 | 25 25 ST | | |
| | 11/16/11 | 2.000 | 73.080 | 146.16 | 152.02 | 5 86 ST | | |
| | 11/16/11 | 4 000 | 73 070 | 292 28 | 304.04 | 11 76 ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 88 000 | | 5,390 40 | **6,688.88** | 1,255 61 LT<br>42 87 ST | 295.68 | 4 42 |
| *Share Price $76 010* | | | | | | | | |
| **SANOFI ADR (SNY)** | 12/10/09 | 85 000 | 38 886 | 3,305 31 | 3,105 90 | (199 41) LT | | |
| | 1/29/10 | 2 000 | 37 380 | 74 76 | 73 08 | (1 68) LT | | |
| | 12/29/10 | 11 000 | 32 360 | 355 96 | 401 94 | 45 98 LT | | |
| | 11/16/11 | 3.000 | 33 820 | 101.46 | 109 62 | 8.16 ST | | |
| | **Total** | 101 000 | | 3,837.49 | **3,690.54** | (155 11) LT<br>8 16 ST | 133 62 | 3.62 |
| *Share Price $36 540* | | | | | | | | |
| **SANOFI CVR RTS 123120 (GCVRZ)** | 5/5/11 | 62 000 | 2 354 | 145.95 | 74 40 | (71.55) ST | | |
| | 5/31/11 | 289 000 | 2 450 | 708.05 | 346 80 | (361.25) ST | | |
| | **Total** | 351 000 | | 854 00 | **421.20** | (432.80) ST | — | — |
| *Share Price $1 200* | | | | | | | | |
| **SAP AG (SAP)** | 3/11/09 | 40 000 | 33 730 | 1,349.20 | 2,118 00 | 768.80 LT A | | |
| | 12/10/09 | 1 000 | 44 360 | 44 36 | 52 95 | 8 59 LT | | |
| | 12/10/09 | 15 000 | 44.360 | 665.40 | 794 25 | 128.85 LT | | |
| | 2/4/10 | 10 000 | 46.615 | 466.15 | 529 50 | 63.35 LT | | |
| | 10/27/10 | 8.000 | 51.669 | 413 35 | 423.60 | 10 25 LT | | |
| | 12/29/10 | 4 000 | 50.640 | 202.56 | 211.80 | 9.24 LT | | |
| | 12/29/10 | 8 000 | 50.640 | 405.12 | 423 60 | 18.48 LT | | |
| | 6/28/11 | 4 000 | 59 190 | 236 76 | 211 80 | (24 96) ST | | |
| | 8/1/11 | 2 000 | 60 630 | 121 26 | 105.90 | (15.36) ST | | |
| | 8/1/11 | 6 000 | 60 630 | 363 78 | 317 70 | (46 08) ST | | |
| | 10/28/11 | 6 000 | 62 255 | 373 53 | 317 70 | (55 83) ST | | |
| | 11/16/11 | 1 000 | 59 740 | 59 74 | 52.95 | (6 79) ST | | |
| | 11/16/11 | 4 000 | 59 690 | 238 76 | 211 80 | (26 96) ST | | |
| | **Total** | 109 000 | | 4,939 97 | **5,771.55** | 1,007 56 LT<br>(175.98) ST | 111 73 | 1 93 |
| *Share Price $52 950* | | | | | | | | |
| **SBA COMMUNICATIONS CORP (SBAC)** | 5/23/11 | 54 000 | 39 358 | 2,125 35 | **2,319.84** | 194 49 ST | — | — |
| *Share Price $42 960* | | | | | | | | |

CONTINUED

MorganStanley SmithBarney

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **SBM OFFSHORE NV ADR (SBFFY)** | 12/10/09 | 56 000 | 19 010 | 1,064.56 | 1,148 56 | 84 00 LT | | |
| | 11/16/11 | 11 000 | 20.970 | 230 67 | 225 61 | (5 06) ST | | |
| | **Total** | 67.000 | | 1,295.23 | **1,374.17** | 84.00 LT<br>(5.06) ST | 36.31 | 2.64 |
| *Share Price $20 510* | | | | | | | | |
| **SCANA CORP NEW (SCG)** | 3/11/09 | 34 000 | 26 480 | 900.32 | 1,532 04 | 631 72 LT A | | |
| | ~~4/9/09~~ | ~~15 000~~ | ~~30.629~~ | ~~459 44~~ | ~~675.90~~ | ~~216.46 LT A~~ | | |
| | 12/10/09 | 21 000 | 36.639 | 769.41 | 946 26 | 176.85 LT | | |
| | 7/29/11 | 10 000 | 39 416 | 394 16 | 450 60 | 56 44 ST | | |
| | **Total** | 80 000 | | 2,523 33 | **3,604.80** | 1,025 03 LT<br>56.44 ST | 155 20 | 4 30 |
| *Share Price $45 060, Next Dividend Payable 01/01/12* | | | | | | | | |
| **SCHLUMBERGER LTD (SLB)** | 3/11/09 | 79.000 | 38 737 | 3,060 20 | 5,396 49 | 2,336 29 LT A | | |
| | 11/16/11 | 8 000 | 76 123 | 608 98 | 546.48 | (62 50) ST | | |
| | **Total** | 87 000 | | 3,669 18 | **5,942.97** | 2,336.29 LT<br>(62.50) ST | 87 00 | 1 46 |
| *Share Price $68 310, Next Dividend Payable 01/06/12* | | | | | | | | |
| **SCHNEIDER ELEC SA UNSP ADR (SBGSY)** | 8/23/11 | 73 000 | 12 650 | 923 45 | 767.23 | (156.22) ST | | |
| | 11/16/11 | 2 000 | 10 670 | 21 34 | 21 02 | (0 32) ST | | |
| | **Total** | 75.000 | | 944 79 | **788.25** | (156.54) ST | 25 80 | 3.27 |
| *Share Price $10 510* | | | | | | | | |
| **SEADRILL LTD (SDRL)** | 11/8/10 | 48 000 | 32 635 | 1,566 46 | 1,592 64 | 26 18 LT | | |
| | 2/9/11 | 24 000 | 35 161 | 843 86 | 796 32 | (47 54) ST | | |
| | **Total** | 72 000 | | 2,410 32 | **2,388.96** | 26 18 LT<br>(47.54) ST | 218 88 | 9.16 |
| *Share Price $33 180, Next Dividend Payable 03/12* | | | | | | | | |
| **SEMPRA ENERGY (SRE)** | 3/11/09 | 40 000 | 39 000 | 1,560 00 | 2,200 00 | 640 00 LT A | | |
| | 12/10/09 | 11 000 | 54 790 | 602 69 | 605.00 | 2 31 LT | | |
| | 4/30/10 | 49 000 | 49.422 | 2,421.69 | 2,695 00 | 273.31 LT | | |
| | 5/4/10 | 9.000 | 49 411 | 444 70 | 495 00 | 50 30 LT | | |
| | 12/29/10 | 11 000 | 52 350 | 575 85 | 605 00 | 29 15 LT | | |
| | **Total** | 120 000 | | 5,604 93 | **6,600.00** | 995 07 LT | 230 40 | 3.49 |
| *Share Price $55 000, Next Dividend Payable 01/15/12* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **SHANGHAI ELEC GROUP CO LTD ADR (SIELY)** | 12/10/09 | 68 000 | 9 350 | 635 80 | 619.48 | (16 32) LT | | |
| | 7/2/10 | 33.000 | 8.858 | 292 33 | 300 63 | 8 30 LT | | |
| | 2/25/11 | 17.000 | 11.540 | 196.18 | 154 87 | (41 31) ST | | |
| | 6/13/11 | 35.000 | 10 334 | 361 68 | 318.85 | (42 83) ST | | |
| | 11/16/11 | 19 000 | 9 430 | 179 17 | 173 09 | (6 08) ST | | |
| | **Total** | 172 000 | | 1,665 16 | **1,566.92** | (8 02) LT<br>(90.22) ST | 52 46 | 3.34 |
| *Share Price $9 110* | | | | | | | | |
| **SHINHAN FINANCIAL GROUP CO LTD (SHG)** | 8/4/11 | 9.000 | 92 573 | 833 16 | **613.89** | (219 27) ST | 9 48 | 1 54 |
| *Share Price $68 210* | | | | | | | | |
| **SHIRE PLC ADR (SHPGY)** | 12/10/09 | 15 000 | 56 492 | 847 38 | 1,558 50 | 711.12 LT | | |
| | 12/29/10 | 2 000 | 71 430 | 142 86 | 207 80 | 64 94 LT | | |
| | **Total** | 17 000 | | 990 24 | **1,766.30** | 776 06 LT | 6 80 | 0 38 |
| *Share Price $103 900* | | | | | | | | |
| **SIEMENS AKTIENGESELLSCHAFT (SI)** | 12/10/09 | 14 000 | 90.160 | 1,262 24 | 1,338 54 | 76 30 LT | | |
| | 12/29/10 | 3 000 | 124.830 | 374 49 | 286.83 | (87.66) LT | | |
| | 9/27/11 | 5.000 | 94.516 | 472.58 | 478.05 | 5.47 ST | | |
| | 11/16/11 | 2 000 | 99.190 | 198 38 | 191 22 | (7 16) ST | | |
| | **Total** | 24 000 | | 2,307 69 | **2,294.64** | (11.36) LT<br>(1.69) ST | 70 90 | 3 08 |
| *Share Price $95 610* | | | | | | | | |
| **SIGNATURE BANK (SBNY)** | 6/25/09 | 1 000 | 26 473 | 26 47 | 59 99 | 33 52 LT A | | |
| | 8/5/09 | 18 000 | 30 233 | 544 20 | 1,079 82 | 535 62 LT A | | |
| | 11/3/09 | 15 000 | 31 057 | 465 86 | 899 85 | 433.99 LT A | | |
| | 2/8/10 | 6 000 | 34 160 | 204 96 | 359 94 | 154.98 LT | | |
| | 11/3/10 | 5 000 | 42 506 | 212 53 | 299 95 | 87 42 LT | | |
| | **Total** | 45 000 | | 1,454 02 | **2,699.55** | 1,245 53 LT | — | — |
| *Share Price $59 990* | | | | | | | | |
| **SILICON PREC IND LTD SP ADR (SPIL)** | 12/29/10 | 71 000 | 5.840 | 414 64 | 309.56 | (105 08) LT | | |
| | 12/30/10 | 11.000 | 5 905 | 64 95 | 47.96 | (16.99) LT | | |
| | 1/10/11 | 72.000 | 5 740 | 413 30 | 313 92 | (99 38) ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 3/23/11 | 118 000 | 6.134 | 723 78 | 514.48 | (209 30) ST | | |
| | 8/3/11 | 88 000 | 4.777 | 420 38 | 383.68 | (36.70) ST | | |
| | 11/16/11 | 29.000 | 4.666 | 135.30 | 126.44 | (8.86) ST | | |
| | **Total** | 389 000 | | 2,172 35 | **1,696.04** | (122 07) LT<br>(354 24) ST | 78 97 | 4.65 |
| *Share Price $4 360* | | | | | | | | |
| **SIMON PPTY GROUP INC (SPG)** | 2/22/11 | 18 000 | 107.793 | 1,940 28 | 2,320 92 | 380 64 ST | | |
| | 8/24/11 | 5 000 | 114 492 | 572 46 | 644 70 | 72 24 ST | | |
| | 11/16/11 | 1 000 | 125 520 | 125 52 | 128 94 | 3 42 ST | | |
| | 12/13/11 | 6 000 | 122 068 | 732.41 | 773 64 | 41 23 ST | | |
| | **Total** | 30 000 | | 3,370 67 | **3,868.20** | 497 53 ST | 108.00 | 2 79 |
| *Share Price $128 940, Next Dividend Payable 03/12* | | | | | | | | |
| **SINGAPORE TELECOM LTD ADR NEW (SGAPY)** | 12/10/09 | 98 000 | 21 550 | 2,111 90 | 2,341 22 | 229 32 LT | | |
| | 12/29/10 | 19 000 | 23 860 | 453 34 | 453 91 | 0 57 LT | | |
| | **Total** | 117 000 | | 2,565 24 | **2,795.13** | 229.89 LT | 143.79 | 5 14 |
| *Share Price $23 890* | | | | | | | | |
| **SIRONA DENTAL SYSTEMS INC (SIRO)** | 12/21/11 | 40 000 | 43 553 | 1,742 12 | **1,761.60** | 19.48 ST | — | — |
| *Share Price $44 040* | | | | | | | | |
| **SKYWORKS SOLUTIONS INC (SWKS)** | 11/18/10 | 104.000 | 23 940 | 2,489 74 | **1,686.88** | (802 86) LT | — | — |
| *Share Price $16 220* | | | | | | | | |
| **SMITH & NEPHEW PLC ADR (SNN)** | 3/11/09 | 18 000 | 31 120 | 560 16 | 866 70 | 306 54 LT A | | |
| | 5/5/11 | 11 000 | 56.099 | 617 09 | 529 65 | (87 44) ST | | |
| | 11/16/11 | 1 000 | 46 110 | 46 11 | 48 15 | 2 04 ST | | |
| | **Total** | 30 000 | | 1,223 36 | **1,444.50** | 306.54 LT<br>(85 40) ST | 23 73 | 1 64 |
| *Share Price $48 150* | | | | | | | | |
| **SMUCKER JM CO COM NEW (SJM)** | 12/15/09 | 73 000 | 60 569 | 4,421.55 | **5,706.41** | 1,284.86 LT | 140.16 | 2.45 |
| *Share Price $78 170, Next Dividend Payable 03/12* | | | | | | | | |
| **SOLERA HOLDINGS INC (SLH)** | 12/10/09 | 43 000 | 35 658 | 1,533 32 | 1,915 22 | 381 90 LT | | |
| | 11/16/11 | 2.000 | 48.880 | 97.76 | 89 08 | (8.68) ST | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 45 000 | | 1,631 08 | **2,004.30** | 381 90 LT<br>(8 68) ST | 18 00 | 0.89 |
| *Share Price $44 540, Next Dividend Payable 03/12* | | | | | | | | |
| **SONOCO PRODUCTS CO (SON)** | 8/25/11 | 53 000 | 28 883 | 1,530 82 | 1,746 88 | 216 06 ST | | |
| | 10/21/11 | 25 000 | 29 988 | 749 69 | 824 00 | 74 31 ST | | |
| | **Total** | 78.000 | | 2,280.51 | **2,570.88** | 290.37 ST | 90.48 | 3 51 |
| *Share Price $32 960, Next Dividend Payable 03/12* | | | | | | | | |
| **SONY CORP ADR 1974 NEW (SNE)** | 12/10/09 | 24 000 | 28 450 | 682.80 | **432.96** | (249 84) LT | 6.89 | 1 59 |
| *Share Price $18 040* | | | | | | | | |
| **SOUTHWESTERN ENERGY COMPANY (SWN)** | 12/10/09 | 31 000 | 41.874 | 1,298 10 | 990 14 | (307 96) LT | | |
| | 11/16/11 | 3 000 | 41.250 | 123.75 | 95 82 | (27.93) ST | | |
| | **Total** | 34 000 | | 1,421.85 | **1,085.96** | (307 96) LT<br>(27.93) ST | — | — |
| *Share Price $31 940* | | | | | | | | |
| **SPDR GOLD TR GOLD SHS (GLD)** | 3/11/09 | 27 000 | 89.228 | 2,409.15 | 4,103 73 | 1,694.58 LT A | | |
| | 10/14/09 | 10 000 | 104.367 | 1,043.67 | 1,519.90 | 476.23 LT A | | |
| | 1/18/11 | 7.000 | 133 479 | 934 35 | 1,063 93 | 129 58 ST | | |
| | **Total** | 44 000 | | 4,387 17 | **6,687.56** | 2,170 81 LT<br>129.58 ST | — | — |
| *Share Price $151 990, CG IAR Status AL* | | | | | | | | |
| **SPDR TRUST SERIES 1 (SPY)** | 12/10/09 | 1,996.000 | 110 728 | 221,013 09 | 250,498 00 | 29,484 91 LT | | |
| | 12/27/10 | 19 000 | 125 470 | 2,383 93 | 2,384 50 | 0 57 LT | | |
| | 6/7/11 | 85 000 | 129 550 | 11,011 75 | 10,667 50 | (344 25) ST | | |
| | **Total** | 2,100 000 | | 234,408 77 | **263,550.00** | 29,485 48 LT<br>(344 25) ST | 5,409 60 | 2 05 |
| *Share Price $125 500, CG IAR Status AL, Next Dividend Payable 01/31/12* | | | | | | | | |
| **ST JUDE MEDICAL INC (STJ)** | 3/11/09 | 48 000 | 33 900 | 1,627 20 | 1,646 40 | 19 20 LT A | | |
| | 3/11/09 | 2 000 | 33 900 | 67 80 | 68 60 | 0.80 LT A | | |
| | 3/11/09 | 10.000 | 33 900 | 339 00 | 343 00 | 4.00 LT A | | |
| | 12/10/09 | 15 000 | 38.110 | 571.65 | 514.50 | (57.15) LT | | |
| | 10/15/10 | 2 000 | 39.850 | 79.70 | 68.60 | (11 10) LT | | |
| | 2/8/11 | 18 000 | 44 258 | 796 65 | 617 40 | (179 25) ST | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account 759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 5/18/11 | 120 000 | 52 593 | 6,311.21 | 4,116 00 | (2,195 21) ST | | |
| | 7/29/11 | 23.000 | 46.902 | 1,078 75 | 788 90 | (289.85) ST | | |
| | 11/16/11 | 24 000 | 39 566 | 949 59 | 823 20 | (126 39) ST | | |
| | 11/16/11 | 8 000 | 39 560 | 316 48 | 274 40 | (42 08) ST | | |
| | **Total** | 270.000 | | 12,138.03 | **9,261.00** | (44 25) LT<br>(2,832.78) ST | 226.80 | 2 44 |
| *Share Price $34 300, Next Dividend Payable 01/31/12* | | | | | | | | |
| **STANLEY BLACK & DECKER INC (SWK)** | 4/19/11 | 24.000 | 76 006 | 1,824 14 | 1,622 40 | (201 74) ST | | |
| | 4/25/11 | 1 000 | 76 660 | 76 66 | 67 60 | (9 06) ST | | |
| | 7/29/11 | 3.000 | 65.943 | 197 83 | 202 80 | 4 97 ST | | |
| | 11/16/11 | 1 000 | 66 570 | 66 57 | 67.60 | 1 03 ST | | |
| | **Total** | 29 000 | | 2,165 20 | **1,960.40** | (204 80) ST | 47 56 | 2 42 |
| *Share Price. $67 600, Next Dividend Payable 03/12* | | | | | | | | |
| **STARBUCKS CORP WASHINGTON (SBUX)** | 6/18/10 | 198 000 | 28 139 | 5,571.44 | **9,109.98** | 3,538 54 LT | 134.64 | 1.47 |
| *Share Price $46 010, Next Dividend Payable 03/12* | | | | | | | | |
| **STATOIL ASA ADR (STO)** | 12/10/09 | 57 000 | 24.500 | 1,396 50 | 1,459.77 | 63.27 LT | | |
| | 12/20/10 | 21 000 | 23 041 | 483.86 | 537 81 | 53 95 LT | | |
| | 12/27/10 | 4 000 | 23 200 | 92.80 | 102.44 | 9.64 LT | | |
| | 12/29/10 | 25 000 | 23 620 | 590.50 | 640.25 | 49.75 LT | | |
| | 11/16/11 | 3 000 | 25.620 | 76 86 | 76 83 | (0 03) ST | | |
| | **Total** | 110 000 | | 2,640 52 | **2,817.10** | 176.61 LT<br>(0 03) ST | 107 14 | 3.80 |
| *Share Price $25 610* | | | | | | | | |
| **STERICYCLE INC (SRCL)** | 12/10/09 | 26 000 | 57 620 | 1,498 12 | **2,025.92** | 527 80 LT | — | — |
| *Share Price $77 920* | | | | | | | | |
| **SUNCOR ENERGY INC NEW COM (SU)** | 7/8/11 | 28 000 | 40.566 | 1,135 86 | 807.24 | (328 62) ST | | |
| | 7/29/11 | 4 000 | 38.429 | 153 71 | 115 32 | (38 39) ST | | |
| | 7/29/11 | 4.000 | 38.429 | 153.72 | 115 32 | (38 40) ST | | |
| | 7/29/11 | 15 000 | 38.429 | 576 43 | 432 45 | (143 98) ST | | |
| | 10/11/11 | 20 000 | 28 085 | 561 70 | 576.60 | 14 90 ST | | |
| | **Total** | 71 000 | | 2,581 42 | **2,046.93** | (534 49) ST | 30 60 | 1 49 |
| *Share Price $28 830, Next Dividend Payable 03/12* | | | | | | | | |

CONTINUED

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **SUNTRUST BKS (STI)** | 10/19/11 | 81 000 | 19 060 | 1,543 86 | 1,433 70 | (110 16) ST | | |
| | 10/25/11 | 45 000 | 19 113 | 860 08 | 796 50 | (63 58) ST | | |
| | 11/16/11 | 4 000 | 18.438 | 73.75 | 70.80 | (2.95) ST | | |
| | **Total** | 130 000 | | 2,477 69 | **2,301.00** | (176 69) ST | 26 00 | 1.12 |
| *Share Price $17 700, Next Dividend Payable 03/12* | | | | | | | | |
| **SWEDBANK AB SPONS ADR (SWDBY)** | 2/25/11 | 23.000 | 17.031 | 391 71 | 295 55 | (96 16) ST | | |
| | 3/2/11 | 54 000 | 17 310 | 934 74 | 693 90 | (240 84) ST | | |
| | 3/3/11 | 1 000 | 17 280 | 17 28 | 12 85 | (4 43) ST | | |
| | 7/29/11 | 18 000 | 17.650 | 317 70 | 231.30 | (86.40) ST | | |
| | 11/16/11 | 9 000 | 13.480 | 121 32 | 115 65 | (5.67) ST | | |
| | **Total** | 105 000 | | 1,782 75 | **1,349.25** | (433 50) ST | 24 68 | 1 82 |
| *Share Price $12 850* | | | | | | | | |
| **SWIRE PACIFIC SPN ADR LTD CL A (SWRAY)** | 12/10/09 | 57.000 | 12 350 | 703.95 | 684 00 | (19.95) LT | | |
| | 12/29/10 | 21.000 | 16.410 | 344 61 | 252 00 | (92.61) LT | | |
| | 11/16/11 | 4 000 | 12.280 | 49 12 | 48.00 | (1 12) ST | | |
| | **Total** | 82 000 | | 1,097 68 | **984.00** | (112 56) LT<br>(1 12) ST | 35 34 | 3 59 |
| *Share Price $12 000* | | | | | | | | |
| **SWISS RE LTD SPONSORED ADR (SSREY)** | 6/6/11 | 39.000 | 59.500 | 2,320 50 | 1,971.45 | (349.05) ST | | |
| | 11/16/11 | 3.000 | 52 500 | 157.50 | 151 65 | (5.85) ST | | |
| | **Total** | 42.000 | | 2,478 00 | **2,123.10** | (354 90) ST | — | — |
| *Share Price $50 550* | | | | | | | | |
| **SYNGENTA AG ADR (SYT)** | 12/10/09 | 19.000 | 54.958 | 1,044 19 | 1,119 86 | 75 67 LT | | |
| | 5/25/10 | 11 000 | 44.065 | 484 72 | 648 34 | 163 62 LT | | |
| | 7/29/11 | 3 000 | 63 830 | 191 49 | 176 82 | (14 67) ST | | |
| | 11/16/11 | 1 000 | 58 960 | 58.96 | 58 94 | (0 02) ST | | |
| | 12/14/11 | 7 000 | 55 247 | 386 73 | 412 58 | 25 85 ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 41 000 | | 2,166 09 | **2,416.54** | 239.29 LT<br>11.16 ST | — | — |
| *Share Price $58 940* | | | | | | | | |
| **T ROWE PRICE GROUP INC (TROW)** | 3/10/09 | 108 000 | 23 050 | 2,489 40 | 6,150 60 | 3,661.20 LT A | | |
| | 7/29/11 | 14 000 | 57 007 | 798 10 | 797 30 | (0 80) ST | | |
| | **Total** | 122 000 | | 3,287 50 | **6,947.90** | 3,661.20 LT<br>(0.80) ST | 151.28 | 2 17 |
| *Share Price $56 950, Next Dividend Payable 03/12* | | | | | | | | |
| **TAIWAN SMCNDCTR MFG CO LTD ADR (TSM)** | 12/10/09 | 204 000 | 10 758 | 2,194 63 | 2,633 64 | 439 01 LT | | |
| | 12/10/09 | 190 000 | 10 758 | 2,044 02 | 2,452 90 | 408 88 LT | | |
| | 10/21/10 | 47 000 | 10.399 | 488.73 | 606 77 | 118 04 LT | | |
| | 12/29/10 | 18 000 | 12.230 | 220.14 | 232 38 | 12 24 LT | | |
| | 12/29/10 | 40 000 | 12.230 | 489 20 | 516 40 | 27 20 LT | | |
| | 11/16/11 | 11 000 | 12.796 | 140 76 | 142.01 | 1.25 ST | | |
| | 11/16/11 | 39.000 | 12.818 | 499.90 | 503 49 | 3.59 ST | | |
| | **Total** | 549 000 | | 6,077 38 | **7,087.59** | 1,005 37 LT<br>4 84 ST | 227.84 | 3 21 |
| *Share Price $12 910* | | | | | | | | |
| **TALISMAN ENERGY INC (TLM)** | 3/11/09 | 21 000 | 9.488 | 199 25 | 267.75 | 68.50 LT A | | |
| | 4/23/10 | 19 000 | 17.158 | 326 00 | 242 25 | (83.75) LT | | |
| | 10/7/10 | 21.000 | 17 730 | 372.33 | 267 75 | (104 58) LT | | |
| | 3/25/11 | 5.000 | 24 420 | 122.10 | 63.75 | (58 35) ST | | |
| | 10/14/11 | 53 000 | 13 131 | 695 96 | 675 75 | (20.21) ST | | |
| | 11/16/11 | 9.000 | 14.170 | 127.53 | 114 75 | (12 78) ST | | |
| | **Total** | 128.000 | | 1,843 17 | **1,632.00** | (119 83) LT<br>(91.34) ST | 34 56 | 2.11 |
| *Share Price $12 750, Next Dividend Payable 06/12* | | | | | | | | |
| **TARGET CORPORATION (TGT)** | 12/10/09 | 1 000 | 45 710 | 45 71 | 51 22 | 5 51 LT | | |
| | 2/23/11 | 26 000 | 50 521 | 1,313 55 | 1,331 72 | 18 17 ST | | |
| | **Total** | 27 000 | | 1,359 26 | **1,382.94** | 5 51 LT<br>18.17 ST | 32 40 | 2.34 |
| *Share Price $51 220, Next Dividend Payable 03/12* | | | | | | | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **TEL & DATA SYSTEMS SPECIAL (TDS'S)** | 3/11/09 | 85 000 | 23.680 | 2,012 80 | 2,023 85 | 11 05 LT A | | |
| | 12/10/09 | 10 000 | 29 652 | 296 52 | 238 10 | (58 42) LT | | |
| | 11/16/11 | 8.000 | 23 215 | 185 72 | 190 48 | 4 76 ST | | |
| | **Total** | 103.000 | | 2,495.04 | **2,452.43** | (47.37) LT<br>4.76 ST | 48 41 | 1.97 |
| *Share Price $23 810, Next Dividend Payable 03/12* | | | | | | | | |
| **TELEFONICA SA ADR (TEF)** | 3/11/09 | 80.000 | 18.140 | 1,451 20 | 1,375.20 | (76.00) LT A | | |
| | 12/10/09 | 15.000 | 28.263 | 423 95 | 257 85 | (166.10) LT | | |
| | 12/29/10 | 15 000 | 22 687 | 340 30 | 257 85 | (82 45) LT | | |
| | 10/12/11 | 28 000 | 21.117 | 591.28 | 481 32 | (109.96) ST | | |
| | 11/16/11 | 13.000 | 18.730 | 243.49 | 223 47 | (20 02) ST | | |
| | **Total** | 151 000 | | 3,050.22 | **2,595.69** | (324.55) LT<br>(129 98) ST | 258 51 | 9 95 |
| *Share Price $17 190* | | | | | | | | |
| **TELEKOM AUSTRIA A G SPONS ADR (TKAGY)** | 12/10/09 | 35 000 | 29.800 | 1,043 00 | 835 80 | (207 20) LT | | |
| | 11/16/11 | 1 000 | 22 410 | 22 41 | 23.88 | 1 47 ST | | |
| | **Total** | 36 000 | | 1,065.41 | **859.68** | (207 20) LT<br>1.47 ST | 57.17 | 6.65 |
| *Share Price $23 880* | | | | | | | | |
| **TELENOR ASA ADS (TELNY)** | 12/10/09 | 49.000 | 42.950 | 2,104 55 | 2,389 73 | 285 18 LT | | |
| | 12/29/10 | 7 000 | 48 150 | 337 05 | 341 39 | 4.34 LT | | |
| | 11/16/11 | 6 000 | 52 080 | 312.48 | 292.62 | (19.86) ST | | |
| | **Total** | 62 000 | | 2,754 08 | **3,023.74** | 289 52 LT<br>(19 86) ST | 111 10 | 3 67 |
| *Share Price $48 770* | | | | | | | | |
| **TERADATA CORP (TDC)** | 12/10/09 | 10.000 | 30.490 | 304 90 | 485 10 | 180 20 LT | | |
| | 12/10/09 | 2 000 | 30 490 | 60 98 | 97 02 | 36 04 LT | | |
| | 12/10/09 | 5 000 | 30 490 | 152.45 | 242 55 | 90 10 LT | | |
| | 2/18/10 | 13 000 | 29 901 | 388 71 | 630 63 | 241 92 LT | | |
| | 11/3/10 | 1.000 | 39 660 | 39.66 | 48 51 | 8 85 LT | | |
| | 12/22/10 | 14.000 | 41.809 | 585.32 | 679 14 | 93.82 LT | | |
| | 9/29/11 | 105 000 | 55.134 | 5,789.07 | 5,093.55 | (695.52) ST | | |
| | 11/16/11 | 3 000 | 56 510 | 169 53 | 145 53 | (24.00) ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 153 000 | | 7,490 62 | **7,422.03** | 650 93 LT<br>(719 52) ST | — | — |
| *Share Price $48 510* | | | | | | | | |
| **TEREX CP NEW DEL (TEX)** | 8/16/10 | 23 000 | 19 587 | 450 51 | 310 73 | (139 78) LT | | |
| | 9/2/10 | 30 000 | 20 069 | 602 07 | 405 30 | (196 77) LT | | |
| | 11/3/10 | 3 000 | 23 227 | 69 68 | 40 53 | (29 15) LT | | |
| | 3/23/11 | 13 000 | 36 900 | 479 70 | 175 63 | (304.07) ST | | |
| | 11/16/11 | 3 000 | 16.770 | 50.31 | 40.53 | (9 78) ST | | |
| | **Total** | 72 000 | | 1,652 27 | **972.72** | (365 70) LT<br>(313 85) ST | — | — |
| *Share Price $13 510* | | | | | | | | |
| **TESCO PLC SPONSORED ADR (TSCDY)** | 3/11/09 | 70 000 | 13 050 | 913.50 | 1,318 80 | 405 30 LT A | | |
| | 7/21/09 | 18.000 | 18.400 | 331.20 | 339 12 | 7.92 LT A | | |
| | 12/10/09 | 68 000 | 20 540 | 1,396.72 | 1,281 12 | (115.60) LT | | |
| | 12/10/09 | 35 000 | 20 540 | 718 90 | 659 40 | (59.50) LT | | |
| | 12/29/10 | 14 000 | 20.300 | 284.20 | 263.76 | (20.44) LT | | |
| | **Total** | 205 000 | | 3,644 52 | **3,862.20** | 217 68 LT | 135 92 | 3.51 |
| *Share Price $18 840* | | | | | | | | |
| **TEVA PHARMACEUTICALS ADR (TEVA)** | 3/11/09 | 19 000 | 42 938 | 815 82 | 766 84 | (48 98) LT A | | |
| | 12/10/09 | 50.000 | 53.116 | 2,655 80 | 2,018.00 | (637 80) LT | | |
| | 12/29/10 | 4 000 | 51 990 | 207 96 | 161 44 | (46 52) LT | | |
| | 10/6/11 | 14 000 | 37 898 | 530 57 | 565 04 | 34 47 ST | | |
| | 11/16/11 | 2 000 | 40 520 | 81 04 | 80 72 | (0 32) ST | | |
| | **Total** | 89 000 | | 4,291 19 | **3,592.04** | (733 30) LT<br>34 15 ST | 69 87 | 1 94 |
| *Share Price $40 360, Next Dividend Payable 03/12* | | | | | | | | |
| **THE MACERICH CO (MAC)** | 5/26/10 | 53 000 | 39 562 | 2,096 79 | 2,681 80 | 585 01 LT | | |
| | 9/2/10 | 15 000 | 43.353 | 650 30 | 759.00 | 108 70 LT | | |

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# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 68 000 | | 2,747 09 | **3,440.80** | 693.71 LT | 149 60 | 4.34 |
| *Share Price $50 600, Next Dividend Payable 03/12* | | | | | | | | |
| **THERMO FISHER SCIENTIFIC INC (TMO)** | 3/10/09 | 29.000 | 33 810 | 980 49 | 1,304.13 | 323.64 LT A | | |
| | 11/16/11 | 4 000 | 48.910 | 195 64 | 179 88 | (15 76) ST | | |
| | **Total** | 33 000 | | 1,176 13 | **1,484.01** | 323 64 LT<br>(15 76) ST | — | — |
| *Share Price $44 970* | | | | | | | | |
| **TIFFANY & COMPANY NEW (TIF)** | 4/20/10 | 15 000 | 49.469 | 742 04 | 993 90 | 251 86 LT | | |
| | 5/6/10 | 8.000 | 45.661 | 365 29 | 530.08 | 164.79 LT | | |
| | 10/20/10 | 9 000 | 50.033 | 450.30 | 596 34 | 146.04 LT | | |
| | 11/16/11 | 2 000 | 76 930 | 153 86 | 132 52 | (21 34) ST | | |
| | **Total** | 34 000 | | 1,711.49 | **2,252.84** | 562 69 LT<br>(21.34) ST | 39 44 | 1 75 |
| *Share Price $66 260, Next Dividend Payable 01/10/12* | | | | | | | | |
| **TIME WARNER CABLE INC NEW (TWC)** | 2/22/11 | 22.000 | 70 073 | 1,541 61 | 1,398.54 | (143.07) ST | | |
| | 7/29/11 | 6 000 | 73 655 | 441 93 | 381 42 | (60.51) ST | | |
| | 11/16/11 | 1 000 | 61.300 | 61.30 | 63.57 | 2.27 ST | | |
| | **Total** | 29.000 | | 2,044 84 | **1,843.53** | (201.31) ST | 55.68 | 3 02 |
| *Share Price $63 570, Next Dividend Payable 03/12* | | | | | | | | |
| **TIME WARNER INC NEW (TWX)** | 10/21/11 | 68 000 | 34 671 | 2,357 66 | 2,457 52 | 99 86 ST | | |
| | 11/16/11 | 2 000 | 34 335 | 68 67 | 72 28 | 3 61 ST | | |
| | **Total** | 70 000 | | 2,426 33 | **2,529.80** | 103.47 ST | 65.80 | 2.60 |
| *Share Price $36 140, Next Dividend Payable 03/12* | | | | | | | | |
| **TJX COS INC NEW (TJX)** | 3/10/09 | 5 000 | 23 178 | 115.89 | 322 75 | 206 86 LT A | | |
| | 12/10/09 | 2 000 | 37.640 | 75.28 | 129 10 | 53.82 LT | | |
| | 5/24/10 | 85 000 | 44 332 | 3,768 22 | 5,486 75 | 1,718 53 LT | | |
| | 5/24/10 | 20 000 | 44 332 | 886 64 | 1,291 00 | 404.36 LT | | |
| | 5/24/10 | 17.000 | 44 332 | 753 64 | 1,097 35 | 343 71 LT | | |
| | 5/24/10 | 3 000 | 44 332 | 133 00 | 193.65 | 60 65 LT | | |
| | 6/9/10 | 13 000 | 45 121 | 586 57 | 839 15 | 252 58 LT | | |

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MorganStanley SmithBarney

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 12/29/10 | 11 000 | 44 660 | 491 26 | 710 05 | 218 79 LT | | |
| | 12/29/10 | 30 000 | 44.660 | 1,339.80 | 1,936 50 | 596.70 LT | | |
| | 10/21/11 | 6.000 | 59.730 | 358.38 | 387.30 | 28.92 ST | | |
| | **Total** | 192 000 | | 8,508 68 | **12,393.60** | 3,856 00 LT<br>28 92 ST | 145 92 | 1 17 |
| *Share Price $64 550, Next Dividend Payable 03/12* | | | | | | | | |
| **TOTAL FINA ELF SA (TOT)** | 3/10/09 | 5 000 | 47 470 | 237 35 | 255 55 | 18 20 LT A | | |
| | 12/10/09 | 42 000 | 62 740 | 2,635 08 | 2,146 62 | (488 46) LT | | |
| | 12/10/09 | 21 000 | 62 740 | 1,317 54 | 1,073 31 | (244 23) LT | | |
| | 12/29/10 | 8.000 | 53.650 | 429.20 | 408 88 | (20.32) LT | | |
| | 11/16/11 | 1.000 | 51.020 | 51.02 | 51 11 | 0.09 ST | | |
| | 11/16/11 | 5 000 | 51 020 | 255 10 | 255 55 | 0 45 ST | | |
| | **Total** | 82.000 | | 4,925 29 | **4,191.02** | (734.81) LT<br>0 54 ST | 221 00 | 5.27 |
| *Share Price $51 110, Next Dividend Payable 01/13/12* | | | | | | | | |
| **TOYOTA MOTOR CP ADR NEW (TM)** | 3/11/09 | 7 000 | 59 370 | 415 59 | 462 91 | 47 32 LT A | | |
| | 3/11/09 | 18 000 | 59 370 | 1,068 66 | 1,190.34 | 121 68 LT A | | |
| | 3/11/09 | 5 000 | 59 370 | 296.85 | 330.65 | 33 80 LT A | | |
| | 2/4/10 | 7 000 | 71.600 | 501 20 | 462 91 | (38.29) LT | | |
| | 12/29/10 | 2 000 | 78 940 | 157 88 | 132 26 | (25 62) LT | | |
| | 12/29/10 | 3 000 | 78.940 | 236 82 | 198 39 | (38.43) LT | | |
| | 3/15/11 | 4 000 | 78.915 | 315 66 | 264 52 | (51.14) ST | | |
| | 11/16/11 | 2 000 | 64 050 | 128 10 | 132 26 | 4 16 ST | | |
| | **Total** | 48 000 | | 3,120 76 | **3,174.24** | 100 46 LT<br>(46 98) ST | 55 87 | 1.76 |
| *Share Price $66 130* | | | | | | | | |
| **TRANSCANADA CORP(HLDG CO) (TRP)** | 12/10/09 | 58 000 | 32 913 | 1,908 98 | 2,532 86 | 623 88 LT | | |
| | 12/29/10 | 7 000 | 38.270 | 267.89 | 305 69 | 37 80 LT | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 65 000 | | 2,176 87 | **2,838.55** | 661 68 LT | 107 06 | 3 77 |
| *Share Price $43 670, Next Dividend Payable 01/31/12* | | | | | | | | |
| **TRAVELERS COMPANIES INC COM (TRV)** | 9/9/11 | 51.000 | 48.748 | 2,486 14 | 3,017 67 | 531.53 ST | | |
| | 12/13/11 | 12 000 | 56.468 | 677.61 | 710.04 | 32 43 ST | | |
| | **Total** | 63.000 | | 3,163 75 | **3,727.71** | 563 96 ST | 103.32 | 2 77 |
| *Share Price $59 170, Next Dividend Payable 03/12* | | | | | | | | |
| **TREEHOUSE FOODS INC (THS)** | 7/12/10 | 22 000 | 47 527 | 1,045 59 | 1,438 36 | 392 77 LT | | |
| | 11/3/10 | 1.000 | 47.500 | 47.50 | 65.38 | 17 88 LT | | |
| | 4/1/11 | 3 000 | 57 610 | 172 83 | 196 14 | 23 31 ST | | |
| | **Total** | 26 000 | | 1,265 92 | **1,699.88** | 410 65 LT<br>23 31 ST | — | — |
| *Share Price $65 380* | | | | | | | | |
| **TREND MICRO INC SPON ADR NEW (TMICY)** | 1/7/11 | 36 000 | 33 725 | 1,214 10 | 1,067.76 | (146 34) ST | | |
| | 11/16/11 | 8 000 | 32.210 | 257 68 | 237.28 | (20.40) ST | | |
| | **Total** | 44 000 | | 1,471.78 | **1,305.04** | (166 74) ST | 33 97 | 2 60 |
| *Share Price $29 660* | | | | | | | | |
| **TUPPERWARE BRANDS CORP (TUP)** | 12/10/09 | 36 000 | 48.892 | 1,760 11 | 2,014.92 | 254 81 LT | | |
| | 4/29/10 | 6 000 | 52.720 | 316 32 | 335 82 | 19.50 LT | | |
| | **Total** | 42 000 | | 2,076.43 | **2,350.74** | 274 31 LT | 50 40 | 2.14 |
| *Share Price $55 970, Next Dividend Payable 01/04/12* | | | | | | | | |
| **TURKCELL ILETISM HIZM AS NEW (TKC)** | 12/10/09 | 55.000 | 15 930 | 876 15 | 646 80 | (229 35) LT | | |
| | 12/29/10 | 19 000 | 17 130 | 325 47 | 223 44 | (102.03) LT | | |
| | **Total** | 74 000 | | 1,201 62 | **870.24** | (331 38) LT | — | — |
| *Share Price $11 760* | | | | | | | | |
| **U S BANCORP COM NEW (USB)** | 8/8/11 | 86 000 | 22 600 | 1,943 58 | **2,326.30** | 382 72 ST | 43 00 | 1 84 |
| *Share Price. $27 050, Next Dividend Payable 01/17/12* | | | | | | | | |
| **ULTRA PETROLEUM CORP (UPL)** | 3/11/09 | 6 000 | 32 880 | 197 28 | 177.78 | (19.50) LT A | | |
| | 12/10/09 | 1.000 | 46.110 | 46 11 | 29 63 | (16.48) LT | | |
| | 3/18/10 | 15 000 | 46 922 | 703.83 | 444.45 | (259 38) LT | | |
| | 1/18/11 | 26 000 | 47 888 | 1,245 08 | 770.38 | (474 70) ST | | |

CONTINUED

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 48 000 | | 2,192 30 | **1,422.24** | (295 36) LT<br>(474 70) ST | — | — |
| *Share Price $29 630* | | | | | | | | |
| **UNILEVER NV NY SH NEW (UN)** | 3/11/09 | 42 000 | 17 980 | 755 14 | 1,443 54 | 688.40 LT A | | |
| | 2/22/10 | 31 000 | 30 771 | 953 91 | 1,065 47 | 111 56 LT | | |
| | 4/7/10 | 19 000 | 30 733 | 583 93 | 653 03 | 69.10 LT | | |
| | 2/4/11 | 9.000 | 29.670 | 267.03 | 309.33 | 42.30 ST | | |
| | 4/14/11 | 25.000 | 32.676 | 816.89 | 859 25 | 42.36 ST | | |
| | 5/6/11 | 70 000 | 32 509 | 2,275 60 | 2,405 90 | 130 30 ST | | |
| | 11/16/11 | 3.000 | 33 110 | 99.33 | 103 11 | 3.78 ST | | |
| | 11/16/11 | 2 000 | 33 075 | 66.15 | 68.74 | 2.59 ST | | |
| | **Total** | 201 000 | | 5,817 98 | **6,908.37** | 869.06 LT<br>221 33 ST | 211 85 | 3 06 |
| *Share Price $34 370* | | | | | | | | |
| **UNION PACIFIC CORP (UNP)** | 12/10/09 | 46 000 | 64 530 | 2,968 38 | 4,873 24 | 1,904 86 LT | | |
| | 8/30/11 | 4 000 | 90 610 | 362 44 | 423 76 | 61 32 ST | | |
| | **Total** | 50.000 | | 3,330 82 | **5,297.00** | 1,904.86 LT<br>61.32 ST | 120 00 | 2 26 |
| *Share Price $105 940, Next Dividend Payable 01/02/12* | | | | | | | | |
| **UNITED PARCEL SERVICE INC CL-B (UPS)** | 8/5/10 | 80 000 | 67 331 | 5,386 47 | 5,855 20 | 468 73 LT | | |
| | 7/29/11 | 19 000 | 69 272 | 1,316 16 | 1,390 61 | 74 45 ST | | |
| | **Total** | 99.000 | | 6,702 63 | **7,245.81** | 468 73 LT<br>74.45 ST | 205 92 | 2.84 |
| *Share Price $73 190, Next Dividend Payable 02/12* | | | | | | | | |
| **UNITED TECHNOLOGIES CORP (UTX)** | 3/10/09 | 8 000 | 39.920 | 319 36 | 584 72 | 265 36 LT A | | |
| | 3/10/09 | 76 000 | 40.430 | 3,072 68 | 5,554 84 | 2,482 16 LT A | | |
| | 3/10/09 | 42 000 | 39 920 | 1,676 64 | 3,069 78 | 1,393 14 LT A | | |
| | 12/29/10 | 5 000 | 79 330 | 396 65 | 365.45 | (31 20) LT | | |
| | 3/14/11 | 8 000 | 80.484 | 643 87 | 584 72 | (59.15) ST | | |
| | 8/24/11 | 7.000 | 69.979 | 489 85 | 511 63 | 21.78 ST | | |
| | 8/24/11 | 10.000 | 69 978 | 699 78 | 730 90 | 31.12 ST | | |

CONTINUED

# Holdings

**Select UMA Active Assets Account**
**759-019935-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 156 000 | | 7,298 83 | **11,402.04** | 4,109 46 LT<br>(6 25) ST | 299 52 | 2.62 |
| *Share Price $73 090, Next Dividend Payable 03/12* | | | | | | | | |
| **UNITEDHEALTH GP INC (UNH)** | 5/6/09 | 33.000 | 25 709 | 848 39 | 1,672.44 | 824 05 LT A | | |
| | 12/10/09 | 2 000 | 29 440 | 58 88 | 101 36 | 42.48 LT | | |
| | 2/10/11 | 36 000 | 42 428 | 1,527 42 | 1,824 48 | 297 06 ST | | |
| | 6/16/11 | ~~29 000~~ | ~~49 557~~ | ~~1,437 14~~ | 1,469 72 | ~~32.58 ST~~ | | |
| | 8/8/11 | 27 000 | 43 262 | 1,168 07 | 1,368 36 | 200 29 ST | | |
| | **Total** | 127 000 | | 5,039 90 | **6,436.36** | 866 53 LT<br>529 93 ST | 82 55 | 1 28 |
| *Share Price $50 680, Next Dividend Payable 03/12* | | | | | | | | |
| **VERIZON COMMUNICATIONS (VZ)** | 3/10/09 | 71 000 | 25 703 | 1,824 88 | 2,848 52 | 1,023 64 LT | | |
| | 9/28/09 | 7 000 | 28 443 | 199 10 | 280 84 | 81.74 LT | | |
| | 11/16/11 | 3 000 | 36 827 | 110 48 | 120 36 | 9 88 ST | | |
| | **Total** | 81 000 | | 2,134 46 | **3,249.72** | 1,105 38 LT<br>9 88 ST | 162 00 | 4 98 |
| *Share Price $40 120, Next Dividend Payable 02/12* | | | | | | | | |
| **VIMPELCOM LTD SPON ADR (VIP)** | 12/10/09 | 77 000 | 18 218 | 1,402 75 | 729 19 | (673 56) LT | | |
| | 7/29/11 | 8 000 | 12 308 | 98.46 | 75 76 | (22 70) ST | | |
| | 11/16/11 | 5 000 | 11.176 | 55 88 | 47.35 | (8 53) ST | | |
| | **Total** | 90 000 | | 1,557.09 | **852.30** | (673 56) LT<br>(31.23) ST | 56.79 | 6 66 |
| *Share Price $9 470* | | | | | | | | |
| **VINCI SA ADR (VCISY)** | 12/10/09 | 77.000 | 14.300 | 1,101.10 | 836.22 | (264 88) LT | | |
| | 11/16/11 | 14 000 | 10 960 | 153 44 | 152 04 | (1 40) ST | | |
| | **Total** | 91.000 | | 1,254 54 | **988.26** | (264 88) LT<br>(1.40) ST | 39.59 | 4 00 |
| *Share Price $10 860, Next Dividend Payable 01/05/12* | | | | | | | | |
| **VIVENDI SA UNSPON ADR (VIVHY)** | 3/4/11 | 50 000 | 28 300 | 1,415.00 | 1,087.00 | (328 00) ST | | |
| | 11/16/11 | 5 000 | 22 100 | 110 50 | 108 70 | (1 80) ST | | |
| | **Total** | 55 000 | | 1,525 50 | **1,195.70** | (329.80) ST | — | — |
| *Share Price $21 740* | | | | | | | | |

CONTINUED

# Holdings

Select UMA Active Assets Account
759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| VODAFONE GP PLC ADS NEW (VOD) | 12/10/09 | 3 000 | 22 977 | 68.93 | 84 09 | 15 16 LT | | |
| | 12/10/09 | 2.000 | 22.979 | 45 96 | 56.06 | 10 10 LT | | |
| | 12/10/09 | 72.000 | 22.979 | 1,654 46 | 2,018 16 | 363 70 LT | | |
| | 12/10/09 | 79.000 | 22.977 | 1,815 15 | 2,214.37 | 399.22 LT | | |
| | 12/10/09 | 2 000 | 22 977 | 45 95 | 56 06 | 10 11 LT | | |
| | 6/21/10 | 35 000 | 21 368 | 747 88 | 981 05 | 233 17 LT | | |
| | 11/1/10 | 44 000 | 27.534 | 1,211 51 | 1,233.32 | 21 81 LT | | |
| | 12/29/10 | 4 000 | 26 300 | 105 20 | 112 12 | 6 92 LT | | |
| | 12/29/10 | 15 000 | 26 300 | 394 50 | 420 45 | 25 95 LT | | |
| | 2/22/11 | 54 000 | 28 784 | 1,554 34 | 1,513 62 | (40 72) ST | | |
| | 4/4/11 | 45 000 | 28 946 | 1,302 57 | 1,261 35 | (41 22) ST | | |
| | 11/16/11 | 4 000 | 27 558 | 110 23 | 112 12 | 1 89 ST | | |
| | 11/16/11 | 6 000 | 27 488 | 164 93 | 168 18 | 3 25 ST | | |
| | 11/16/11 | 1 000 | 27 550 | 27 55 | 28 03 | 0 48 ST | | |
| | **Total** | 366 000 | | 9,249.16 | **10,258.98** | 1,086.14 LT<br>(76.32) ST | 528 14 | 5.14 |
| *Share Price $28 030, Next Dividend Payable 02/03/12* | | | | | | | | |
| VOLKSWAGEN AG SPONS ADR (VLKPY) | 7/11/11 | 36 000 | 41 494 | 1,493.78 | 1,075 68 | (418 10) ST | | |
| | 10/7/11 | 13 000 | 27.144 | 352 87 | 388.44 | 35 57 ST | | |
| | 11/16/11 | 3 000 | 34 140 | 102 42 | 89.64 | (12 78) ST | | |
| | **Total** | 52 000 | | 1,949 07 | **1,553.76** | (395 31) ST | 25 69 | 1 65 |
| *Share Price $29 880, Next Dividend Payable 05/12* | | | | | | | | |
| VOLVO AB ADR B (VOLVY) | 12/15/10 | 1 000 | 16 246 | 16.25 | 10 84 | (5 41) LT | | |
| | 2/8/11 | 35 000 | 17 189 | 601 61 | 379 40 | (222 21) ST | | |
| | 4/27/11 | 30.000 | 19.176 | 575 29 | 325 20 | (250 09) ST | | |
| | 4/28/11 | 3.000 | 19.373 | 58 12 | 32.52 | (25.60) ST | | |
| | 11/16/11 | 6 000 | 11 330 | 67.98 | 65 04 | (2.94) ST | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

**COMMON STOCKS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 75 000 | | 1,319 25 | **813.00** | (5 41) LT<br>(500 84) ST | 26 18 | 3.22 |
| *Share Price $10 840* | | | | | | | | |
| **WABCO HLDGS INC (WBC)** | 2/10/11 | 16 000 | 57 961 | 927 38 | 694.40 | (232 98) ST | | |
| | 3/17/11 | 18 000 | 58 009 | 1,044 17 | 781 20 | (262.97) ST | | |
| | 4/1/11 | 2 000 | 62 970 | 125 94 | 86.80 | (39 14) ST | | |
| | **Total** | 36 000 | | 2,097 49 | **1,562.40** | (535 09) ST | — | — |
| *Share Price $43 400* | | | | | | | | |
| **WAL MART STORES INC (WMT)** | 7/27/10 | 1 000 | 51 112 | 51 11 | 59 76 | 8.65 LT | | |
| | 12/27/10 | 23 000 | 53 600 | 1,232 80 | 1,374.48 | 141 68 LT | | |
| | **Total** | 24 000 | | 1,283 91 | **1,434.24** | 150 33 LT | 35 04 | 2 44 |
| *Share Price $59 760, Next Dividend Payable 01/03/12* | | | | | | | | |
| **WALGREEN CO (WAG)** | 8/22/11 | 174.000 | 34.973 | 6,085 35 | 5,752 44 | (332.91) ST | | |
| | 11/16/11 | 29.000 | 32 527 | 943.27 | 958.74 | 15 47 ST | | |
| | **Total** | 203 000 | | 7,028 62 | **6,711.18** | (317 44) ST | 182 70 | 2 72 |
| *Share Price $33 060, Next Dividend Payable 03/12* | | | | | | | | |
| **WALT DISNEY CO HLDG CO (DIS)** | 3/26/10 | 36 000 | 35 197 | 1,267 08 | 1,350 00 | 82 92 LT | | |
| | 3/26/10 | 2.000 | 35 197 | 70.39 | 75 00 | 4 61 LT | | |
| | 12/29/10 | 15 000 | 37 720 | 565 80 | 562 50 | (3 30) LT | | |
| | 6/16/11 | 34 000 | 38.016 | 1,292.56 | 1,275.00 | (17 56) ST | | |
| | 12/13/11 | 25 000 | 36.599 | 914 98 | 937 50 | 22.52 ST | | |
| | **Total** | 112 000 | | 4,110 81 | **4,200.00** | 84.23 LT<br>4.96 ST | 67.20 | 1 60 |
| *Share Price $37 500, Next Dividend Payable 01/18/12* | | | | | | | | |
| **WEATHERFORD INTERNATIONAL LTD (WFT)** | 4/29/10 | 31 000 | 18 320 | 567 93 | 453 84 | (114 09) LT | | |
| | 10/28/10 | 57 000 | 16.923 | 964 61 | 834.48 | (130.13) LT | | |
| | 11/5/10 | 30 000 | 19 282 | 578 45 | 439 20 | (139 25) LT | | |
| | 2/3/11 | 6 000 | 23.950 | 143 70 | 87 84 | (55.86) ST | | |

CONTINUED

# Holdings

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 124 000 | | 2,254 69 | **1,815.36** | (383 47) LT<br>(55 86) ST | — | — |
| *Share Price $14 640* | | | | | | | | |
| **WELLS FARGO & CO NEW (WFC)** | 3/10/09 | 78 000 | 11 505 | 897 39 | 2,149 68 | 1,252 29 LT A | | |
| | 4/1/09 | 63 000 | 14 721 | 927 43 | 1,736 28 | 808 85 LT A | | |
| | 4/24/09 | 45 000 | 20 822 | 937 00 | 1,240 20 | 303 20 LT A | | |
| | 12/10/09 | 13 000 | 25 600 | 332 80 | 358 28 | 25 48 LT | | |
| | 12/27/10 | 15 000 | 31 280 | 469 20 | 413.40 | (55.80) LT | | |
| | 12/29/10 | 20 000 | 31 040 | 620 80 | 551 20 | (69 60) LT | | |
| | 8/8/11 | 39 000 | 24 348 | 949 57 | 1,074 84 | 125 27 ST | | |
| | **Total** | 273 000 | | 5,134 19 | **7,523.88** | 2,264.42 LT<br>125 27 ST | 131 04 | 1.74 |
| *Share Price $27.560, Next Dividend Payable 03/12* | | | | | | | | |
| **WORLEYPARSONS LTD UNSPON ADR (WYGPY)** | 5/17/11 | 75.000 | 30.525 | 2,289 38 | 1,959.75 | (329 63) ST | | |
| | 11/16/11 | 7 000 | 27 280 | 190.96 | 182 91 | (8.05) ST | | |
| | **Total** | 82 000 | | 2,480 34 | **2,142.66** | (337 68) ST | 67.08 | 3 13 |
| *Share Price $26 130* | | | | | | | | |
| **WPP PLC ADR (WPPGY)** | 12/10/09 | 36.000 | 47.974 | 1,727 05 | 1,880 28 | 153.23 LT | | |
| | 12/29/10 | 5 000 | 61 520 | 307 60 | 261 15 | (46 45) LT | | |
| | 11/16/11 | 1.000 | 52 200 | 52.20 | 52 23 | 0.03 ST | | |
| | **Total** | 42 000 | | 2,086 85 | **2,193.66** | 106.78 LT<br>0 03 ST | 64 60 | 2.94 |
| *Share Price $52 230* | | | | | | | | |
| **XCEL ENERGY INC (XEL)** | 3/11/09 | 90.000 | 16 610 | 1,494 90 | 2,487 60 | 992.70 LT A | | |
| | 12/10/09 | 9 000 | 20 938 | 188.44 | 248.76 | 60 32 LT | | |
| | **Total** | 99 000 | | 1,683 34 | **2,736.36** | 1,053.02 LT | 102 96 | 3 76 |
| *Share Price $27 640, Next Dividend Payable 01/20/12* | | | | | | | | |
| **XEROX CORP (XRX)** | 3/11/09 | 94.000 | 8.475 | 796.65 | 748.24 | (48.41) LT | | |
| | 3/11/09 | 8 000 | 8.475 | 67.80 | 63.68 | (4.12) LT | | |
| | 3/4/10 | 60 000 | 9 534 | 572 05 | 477.60 | (94.45) LT | | |
| | 3/18/10 | 76 000 | 9 823 | 746 54 | 604 96 | (141 58) LT | | |
| | 12/13/10 | 36 000 | 11 988 | 431 55 | 286 56 | (144 99) LT | | |

CONTINUED

# Holdings

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## STOCKS

### COMMON STOCKS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| | 1/5/11 | 97 000 | 11 504 | 1,115 92 | 772 12 | (343 80) ST | | |
| | 1/5/11 | 18 000 | 11.504 | 207 08 | 143 28 | (63.80) ST | | |
| | 1/5/11 | 2.000 | 11 504 | 23.01 | 15.92 | (7.09) ST | | |
| | 3/31/11 | 82 000 | 10 705 | 877 80 | 652 72 | (225 08) ST | | |
| | 7/29/11 | 5 000 | 9.416 | 47 08 | 39.80 | (7.28) ST | | |
| | 7/29/11 | 107 000 | 9 521 | 1,018 75 | 851 72 | (167 03) ST | | |
| | **Total** | 585 000 | | 5,904 23 | **4,656.60** | (433 55) LT<br>(814.08) ST | 99 45 | 2 13 |
| *Share Price $7 960, Next Dividend Payable 01/31/12* | | | | | | | | |
| **YAMADA DENKI CO LTD COMMON (YMDAF)** | 6/15/11 | 20 000 | 83 876 | 1,677 52 | 1,362 09 | (315 43) ST | | |
| | 11/16/11 | 1 000 | 75 550 | 75 55 | 68 10 | (7 45) ST | | |
| | **Total** | 21 000 | | 1,753 07 | **1,430.20** | (322 88) ST | — | — |
| *Share Price $68 105* | | | | | | | | |
| **ZIMMER HLDGS INC (ZMH)** | 3/11/09 | 24 000 | 33 110 | 794 64 | 1,282 08 | 487 44 LT A | | |
| | 9/21/10 | 5 000 | 51.778 | 258 89 | 267.10 | 8.21 LT | | |
| | 10/15/10 | 1 000 | 51.100 | 51 10 | 53 42 | 2.32 LT | | |
| | 2/3/11 | 11 000 | 60 345 | 663 80 | 587 62 | (76.18) ST | | |
| | 11/16/11 | 5.000 | 51.496 | 257.48 | 267 10 | 9.62 ST | | |
| | **Total** | 46 000 | | 2,025 91 | **2,457.32** | 497 97 LT<br>(66 56) ST | 33 12 | 1.34 |
| *Share Price $53 420* | | | | | | | | |
| **COMMON STOCKS** | | | | **$1,590,804.52** | **$1,826,946.02** | **$258,363.43 LT**<br>**$(23,579.17) ST** | **$42,362.15**<br>**$0.00** | **2.32%** |

### PREFERRED STOCKS

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **VALE S.A. SP (VALE'P)** | 12/10/09 | 64 000 | $24 078 | $1,540 96 | $1,318 40 | $(222 56) LT | | |
| | 12/29/10 | 14 000 | 29 230 | 409 22 | 288 40 | (120 82) LT | | |
| | 11/16/11 | 6 000 | 23 850 | 143 10 | 123 60 | (19 50) ST | | |
| | **Total** | 84 000 | | 2,093 28 | **1,730.40** | (343 38) LT<br>(19.50) ST | — | — |
| *Share Price $20 600* | | | | | | | | |

MorganStanley SmithBarney

Select UMA Active Assets Account 759-019935-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

# Holdings

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| STOCKS | 91.7% | $1,592,897.80 | $1,828,676.42 | $258,020.05 LT<br>$(23,598.67) ST | $42,362.15<br>$0.00 | 2.32% |

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS

*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain mutual funds Please refer to "CG IAR Statuses in Investment Advisory Programs" at the end of this statement for a description of these status codes All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| IVY GLOB NATL RESOURCES A (IGNAX) | 3/10/09 | 7,708 404 | $10 210 | $78,702 81 | $130,734.53 | $52,031 72 LT A | — | — |

*Share Price $16 960, CG IAR Status FL, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| MUTUAL FUNDS | 6.6% | $78,702.81 | $130,734.53 | $52,031.72 LT | $0.00<br>$0.00 | — |

*Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page*
*For more information about the pricing of Money Market Funds, please see the Disclosures section of the statement*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | 100.0% | $1,671,600.61 | $1,992,902.74 | $310,051.77 LT<br>$(23,598.67) ST | $42,379.15<br>$0.00 | 2.12% |

TOTAL VALUE (includes accrued interest) $1,994,724.86

*A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney Account Another financial institution has provided Morgan Stanley Smith Barney the transaction detail for this position*
*D - Periodic payments on this security consist of interest and option premium The cost basis for this tax lot is reduced by the option premium received The interest portion is reported on Form 1099-INT*
*Unrealized Gain/(Loss) Totals only reflect positions that have cost basis information available Cash, MMF, Deposits and positions stating 'Please Provide' are not included*

MorganStanley SmithBarney

# Holdings

**Consulting Group Advisor Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

*This section reflects the impact of positions purchased/sold on a trade date basis, and will include positions purchased and omit positions sold in the current month Please see the "Unsettled Purchases/Sales Activity" section for more information*
*The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the statement period indicated, which may not reflect the value that could actually be obtained in the market See "Pricing of Securities" in the Disclosures section at the end of this statement Fixed Income securities are sorted by maturity or pre-refunding date, and alphabetically within date*
*Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates Estimated yield reflects only the income generated by an investment It does not reflect changes in its price, which may fluctuate*
*Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column If you hold structured products, please see "Special Considerations Regarding Structured Products" in the Disclosure section*
*New Treasury regulations require that we report on Form 1099-B after the close of the tax year your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011 These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B Cost basis is reflected on monthly statements for informational purposes only and should not be used in the preparation of your income tax returns Please refer to the Disclosures section of this statement for additional information*

## CASH, DEPOSITS AND MONEY MARKET FUNDS

*Cash, Deposits and Money Market Funds are generally displayed on a settlement date basis However, Global Currency Deposits may include both settled and unsettled positions Estimated Annual Income, Accrued Interest and APY% will only be displayed for fully settled positions In the event, all or a portion of a Global Currency Deposit position is unsettled as of month end, this data will not be available*

| Description | Value | Estimated Annual Income | 7-Day Current Yield % | Annual Percentage Yield % |
|---|---|---|---|---|
| **MORGAN STANLEY BANK N.A. #** | **$245,000.00** | $123.00 | — | 0.050 |
| **MORGAN STANLEY PRIVATE BANK NA #** | **134,021.18** | 67.00 | — | 0.050 |

| | Percentage of Assets % | Market Value | Estimated Annual Income / Accrued Interest |
|---|---|---|---|
| CASH, DEPOSITS AND MONEY MARKET FUNDS | **20.5%** | **$379,021.18** | **$190.00**<br>**$0.00** |

*# Bank deposits are at Morgan Stanley Bank, N A and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney*
*Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement*

## STOCKS

### COMMON STOCKS

*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain exchange-traded funds Please refer to "CG IAR Statuses in Investment Advisory Programs" at the end of this statement for a description of these status codes All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **ISHARES BARCLAYS TIPS BD FD (TIP)** | 2/7/11 | 500 000 | $105.666 | $52,833 00 | **$58,345.00** | $5,512 00 ST | $2,392 00 | 4 09 |
| *Share Price $116 690, CG IAR Status AL, Next Dividend Payable 01/12* | | | | | | | | |
| **ISHARES IBOXX INVEST GR COR FD (LQD)** | 3/10/09 | 1,852 000 | 91.535 | 169,522.83 | **210,683.52** | 41,160.69 LT | 9,248 89 | 4 38 |
| *Share Price $113 760, CG IAR Status AL, Next Dividend Payable 01/12* | | | | | | | | |
| **COMMON STOCKS** | | | | **$222,355.83** | **$269,028.52** | **$41,160.69 LT**<br>**$5,512.00 ST** | **$11,640.89**<br>**$0.00** | **4.33%** |

# Holdings

**Consulting Group Advisor Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## STOCKS

### PREFERRED STOCKS

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **HEALTH CARE REIT 7.8750 D PFD (HCN.D)** | 11/30/11 | 1,500 000 | $25 562 | $38,343.45 | **$38,220.00** | $(123.45) ST | $2,953.50 | 7 72 |

*Share Price $25 480, Moody BAA3 S&P BB, Next Dividend Payable 01/17/12*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|
| STOCKS | **16.6%** | **$260,699.28** | **$307,248.52** | **$41,160.69 LT** | **$14,594.39** | **4.75%** |
| | | | | **$5,388.55 ST** | **$0.00** | |

## CORPORATE FIXED INCOME

### CORPORATE BONDS

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| **GENERAL ELECTRIC CAPITAL CORP** | 3/13/09 | 5,000.000 | $97 525 | $4,876 25 | | | | |
| CUSIP 36962GXS8 | | | $97 525 | $4,876 25 | $5,030 30 | $154 05 LT | | |
| | 9/30/09 | 1,000.000 | 107.058 | 1,070 58 | | | | |
| | | | 100 374 | 1,003 74 | 1,006 06 | 2 32 LT | | |
| | **Total** | 6,000 000 | | 5,946 83 | | | 352.50 | 5 83 |
| | | | | 5,879.99 | **6,036.36** | 156 37 LT | 133 16 | |
| *Unit Price $100 606, Coupon Rate 5 875%, Matures 02/15/12, Int Semi-Annually Feb/Aug 15, Yield to Maturity 892%, Moody AA2 S&P AA+, Issued 02/15/02* | | | | | | | | |
| **COSTCO WHOLESALE CORP** | 3/16/09 | 5,000.000 | 106.160 | 5,308 00 | | | | |
| CUSIP 22160KAB1 | | | 100.439 | 5,021.96 | 5,046.30 | 24.34 LT | | |
| | 9/30/09 | 1,000 000 | 108.498 | 1,084 98 | | | | |
| | | | 100 724 | 1,007 24 | 1,009 26 | 2.02 LT | | |
| | **Total** | 6,000 000 | | 6,392 98 | | | 318 00 | 5 25 |
| | | | | 6,029 20 | **6,055.56** | 26 36 LT | 93.63 | |
| *Unit Price $100 926, Coupon Rate 5 300%, Matures 03/15/12, Int Semi-Annually Mar/Sep 15, Yield to Maturity 776%, Moody A2 S&P A+, Issued 02/20/07* | | | | | | | | |
| **BELLSOUTH CORP** | 3/13/09 | 5,000 000 | 102 483 | 5,124 15 | | | | |
| CUSIP 079860AJ1 | | | 100.622 | 5,031.12 | 5,167.40 | 136 28 LT | | |
| | 9/30/09 | 2,000 000 | 107 104 | 2,142 08 | | | | |
| | | | 102.035 | 2,040.70 | 2,066.96 | 26.26 LT | | |
| | **Total** | 7,000 000 | | 7,266 23 | | | 332.50 | 4 59 |
| | | | | 7,071 82 | **7,234.36** | 162 54 LT | 42 48 | |
| *Unit Price $103 348, Coupon Rate 4 750%, Matures 11/15/12, Int Semi-Annually May/Nov 15, Yield to Maturity 887%, S&P A-, Issued 11/15/04* | | | | | | | | |

CONTINUED

MorganStanley SmithBarney

# Holdings

**Consulting Group Advisor Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## CORPORATE FIXED INCOME

**CORPORATE BONDS** (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| **HEWLETT-PACKARD CO** | 3/13/09 | 5,000 000 | 102.526 | 5,126.30 | | | | |
| CUSIP 428236AQ6 | | | 100 782 | 5,039.10 | 5,142 25 | 103.15 LT | | |
| | 9/30/09 | 1,000 000 | 106 364 | 1,063.64 | | | | |
| | | | 102.232 | 1,022 32 | 1,028.45 | 6.13 LT | | |
| | **Total** | 6,000.000 | | 6,189 94 | | | 270.00 | 4 37 |
| | | | | 6,061 42 | **6,170.70** | 109 28 LT | 89 99 | |
| *Unit Price $102 845, Coupon Rate 4 500%, Matures 03/01/13, Int Semi-Annually Mar/Sep 01, Yield to Maturity 2 018%, Moody A2 (-) S&P BBB+, Issued 03/03/08* | | | | | | | | |
| **AMERICAN EXPRESS** | 4/24/09 | 5,000.000 | 96 270 | 4,813.50 | | | | |
| CUSIP 0258M0CW7 | | | 96 270 | 4,813 50 | 5,255.75 | 442.25 LT | | |
| | 9/30/09 | 1,000 000 | 106 607 | 1,066 07 | | | | |
| | | | 102 565 | 1,025 65 | 1,051 15 | 25 50 LT | | |
| | **Total** | 6,000 000 | | 5,879 57 | | | 352 50 | 5 58 |
| | | | | 5,839 15 | **6,306.90** | 467 75 LT | 57 77 | |
| *Unit Price $105 115, Coupon Rate 5 875%, Matures 05/02/13, Int Semi-Annually May/Nov 02, Yield to Maturity 1 975%, Moody A2 S&P BBB+, Issued 06/02/08* | | | | | | | | |
| **WALT DISNEY COMPANY** | 3/12/09 | 5,000 000 | 101 282 | 5,064 10 | | | | |
| CUSIP 254687AW6 | | | 100 558 | 5,027 89 | 5,381 90 | 354 01 LT | | |
| | 9/30/09 | 1,000 000 | 107.241 | 1,072 41 | | | | |
| | | | 103 465 | 1,034.65 | 1,076 38 | 41.73 LT | | |
| | **Total** | 6,000.000 | | 6,136 51 | | | 270.00 | 4 18 |
| | | | | 6,062 54 | **6,458.28** | 395 74 LT | 11 99 | |
| *Unit Price $107 638, Coupon Rate 4 500%, Matures 12/15/13, Int Semi-Annually Jun/Dec 15, Yield to Maturity 567%, Moody A2 S&P A, Issued 12/22/08* | | | | | | | | |
| **JP MORGAN CHASE & CO** | 3/16/09 | 5,000.000 | 88.000 | 4,400.00 | | | | |
| CUSIP 46625HBV1 | | | 88 000 | 4,400.00 | 5,271.50 | 871.50 LT | | |
| | 9/30/09 | 1,000.000 | 104.899 | 1,048 99 | | | | |
| | | | 102.792 | 1,027 92 | 1,054.30 | 26 38 LT | | |

CONTINUED

## CORPORATE FIXED INCOME

**CORPORATE BONDS** (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 6,000.000 | | 5,448.99 | | | 307.50 | 4 86 |
| | | | | 5,427.92 | **6,325.80** | 897.88 LT | 90 54 | |
| *Unit Price $105 430, Coupon Rate 5 125%, Matures 09/15/14, Int Semi-Annually Mar/Sep 15, Yield to Maturity 3 018%, Moody A1 S&P A-, Issued 09/15/04* | | | | | | | | |
| **AMGEN INC** | 3/12/09 | 5,000 000 | 102.786 | 5,139 30 | | | | |
| CUSIP 031162AJ9 | | | 101 495 | 5,074 76 | 5,418.80 | 344 04 LT | | |
| | 9/30/09 | 1,000.000 | 108.114 | 1,081.14 | | | | |
| | | | 104.711 | 1,047 11 | 1,083.76 | 36 65 LT | | |
| | **Total** | 6,000 000 | | 6,220.44 | | | 291.00 | 4 47 |
| | | | | 6,121 87 | **6,502.56** | 380 69 LT | 34 75 | |
| *Unit Price $108 376, Coupon Rate 4 850%, Matures 11/18/14, Int Semi-Annually May/Nov 18, Yield to Maturity 1 850%, Moody BAA1 S&P A+, Issued 11/18/04* | | | | | | | | |
| **GOLDMAN SACHS GROUP INC** | 3/16/09 | 6,000.000 | 89 850 | 5,391 00 | | | 307 50 | 5.01 |
| CUSIP 38141GEA8 | | | 89 850 | 5,391.00 | **6,132.66** | 741 66 LT | 141.79 | |
| *Unit Price $102 211, Coupon Rate 5 125%, Matures 01/15/15, Int Semi-Annually Jan/Jul 15, Yield to Maturity 4 340%, Moody A1 S&P A-, Issued 01/12/05* | | | | | | | | |
| **CREDIT SUISSE FB USA INC** | 3/12/09 | 6,000 000 | 93 340 | 5,600 40 | | | 307.50 | 4.86 |
| CUSIP 22541LBK8 | | | 93 340 | 5,600.40 | **6,320.16** | 719.76 LT | 116.16 | |
| *Unit Price $105 336, Coupon Rate 5 125%, Matures 08/15/15, Int Semi-Annually Feb/Aug 15, Yield to Maturity 3 541%, Moody AA1 (-) S&P A+, Issued 08/17/05* | | | | | | | | |
| **VERIZON GLOBAL FDG CORP** | 3/13/09 | 5,000 000 | 100 066 | 5,003 30 | | | | |
| CUSIP 92344GAW6 | | | 100 040 | 5,002 01 | 5,611 40 | 609 39 LT | | |
| | 9/30/09 | 1,000.000 | 107.104 | 1,071 04 | | | | |
| | | | 104.593 | 1,045 93 | 1,122 28 | 76 35 LT | | |
| | **Total** | 6,000.000 | | 6,074 34 | | | 294.00 | 4 36 |
| | | | | 6,047.94 | **6,733.68** | 685.74 LT | 86.56 | |
| *Unit Price $112 228, Coupon Rate 4 900%, Matures 09/15/15, Int Semi-Annually Mar/Sep 15, Yield to Maturity 1 495%, Moody A3 S&P A-, Issued 09/13/05* | | | | | | | | |
| **ONEOK PARTNERS LP** | 10/13/11 | 40,000 000 | 101.778 | 40,711 20 | | | 1,300 00 | 3 15 |
| CUSIP 68268NAF0 | | | 101 698 | 40,679.31 | **41,173.60** | 494.29 ST | 541.66 | |
| *Unit Price $102 934, Coupon Rate 3 250%, Matures 02/01/16, Int Semi-Annually Feb/Aug 01, Callable $100 00 on 01/01/16, Yield to Call 2 475%, Moody BAA2 S&P BBB, Issued 01/26/11* | | | | | | | | |
| **WELLS FARGO COMPANY** | 3/16/09 | 5,000 000 | 81 975 | 4,098 75 | | | | |
| CUSIP 949746JE2 | | | 81 975 | 4,098 75 | 5,376 25 | 1,277.50 LT | | |
| | 9/30/09 | 1,000.000 | 102.663 | 1,026 63 | | | | |
| | | | 101.893 | 1,018 93 | 1,075.25 | 56.32 LT | | |
| | **Total** | 6,000 000 | | 5,125 38 | | | 307 50 | 4 76 |
| | | | | 5,117 68 | **6,451.50** | 1,333.82 LT | 90.54 | |
| *Unit Price $107 525, Coupon Rate 5 125%, Matures 09/15/16, Int Semi-Annually Mar/Sep 15, Yield to Maturity 3 381%, Moody A3 S&P A, Issued 09/15/04* | | | | | | | | |

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# Holdings

**Consulting Group Advisor Active Assets Account 759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## CORPORATE FIXED INCOME

**CORPORATE BONDS** (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| **E.I. DU PONT DE NEMOURS** | 3/13/09 | 3,000.000 | 101.613 | 3,048.39 | | | | |
| CUSIP 263534BQ1 | | | 101 101 | 3,033 02 | 3,505.11 | 472.09 LT | | |
| | 9/30/09 | 1,000.000 | 107 917 | 1,079 17 | | | | |
| | | | 105.680 | 1,056.80 | 1,168 37 | 111.57 LT | | |
| | **Total** | 4,000 000 | | 4,127.56 | | | 210 00 | 4 49 |
| | | | | 4,089 82 | **4,673.48** | 583.66 LT | 9 33 | |
| *Unit Price $116 837, Coupon Rate 5 250%, Matures 12/15/16, Int Semi-Annually Jun/Dec 15, Yield to Maturity 1 693%, Moody A2 S&P A, Issued 12/15/06* | | | | | | | | |
| **PEPSICO INC** | 3/12/09 | 4,000 000 | 121.842 | 4,873 68 | | | | |
| CUSIP 713448BJ6 | | | 116 520 | 4,660 80 | 5,400 28 | 739.48 LT | | |
| | 9/30/09 | 1,000 000 | 127 487 | 1,274 87 | | | | |
| | | | 121 609 | 1,216 09 | 1,350.07 | 133 98 LT | | |
| | **Total** | 5,000 000 | | 6,148 55 | | | 395 00 | 5 85 |
| | | | | 5,876.89 | **6,750.35** | 873 46 LT | 65.83 | |
| *Unit Price $135 007, Coupon Rate 7 900%, Matures 11/01/18, Int Semi-Annually May/Nov 01, Yield to Maturity 2 328%, Moody AA3 S&P A-, Issued 10/24/08* | | | | | | | | |

| | Percentage of Assets % | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| CORPORATE FIXED INCOME | | **$122,659.92** | | | **$5,615.50** | **4.34%** |
| | | **$121,296.95** | **$129,325.95** | **$7,534.71 LT** | **$1,606.18** | |
| | | | | **$494.29 ST** | | |
| TOTAL CORPORATE FIXED INCOME (incl.accr.int.) | **7.1%** | | **$130,932.13** | | | |

*Watchlist and CreditWatch Indicators (*) = developing/uncertain (+) = On Watchlist/CreditWatch Upgrade (-) = On Watchlist/CreditWatch Downgrade*
*For more information on Watchlist and CreditWatch Indicators, please go to our website at www morganstanley com/bondratings or contact your financial advisor*

MorganStanley SmithBarney

# Holdings

**Consulting Group Advisor Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## GOVERNMENT SECURITIES

### TREASURY SECURITIES

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| **UNITED STATES TREASURY** | 3/11/09 | 35,000 000 | $103 130 | $43,347 24 | | | | |
| **NOTE-INFLATION INDEXED** | | | $103.130 | $45,460.84 | $45,027.96 | $(432.88) LT | | |
| CUSIP 912828AF7 | 8/19/09 | 1,000 000 | 105.400 | 1,265 40 | | | | |
| | | | 105.400 | 1,327.47 | 1,286 51 | (40 96) LT | | |
| | 9/29/09 | 8,000 000 | 106.280 | 10,207 62 | | | | |
| | | | 106 280 | 10,708.43 | 10,292.11 | (416 32) LT | | |
| | **Total** | 44,000 000 | | 54,820.26 | | | 1,662.48 | 2 93 |
| | | | | 57,496 74 | **56,606.58** | (890 16) LT | 763.47 | |
| *Unit Price $102 148, Coupon Rate 3 000%, Matures 07/15/12, Int Semi-Annually Jan/Jul 15, Factor 1 25946000, Moody AAA, Issued 07/15/02, Amortized Quantity 55,416* | | | | | | | | |
| **UNITED STATES TREASURY** | 3/11/09 | 37,000.000 | 99.150 | 42,859 56 | | | | |
| **NOTE-INFLATION INDEXED** | | | 99.150 | 44,960 28 | 48,020.21 | 3,059 93 LT | | |
| CUSIP 912828BW9 | 9/29/09 | 9,000 000 | 103.560 | 10,888 98 | | | | |
| | | | 103.560 | 11,422 71 | 11,680 59 | 257.88 LT | | |
| | **Total** | 46,000 000 | | 53,748 54 | | | 1,127 51 | 1 88 |
| | | | | 56,382.99 | **59,700.80** | 3,317.81 LT | 517 79 | |
| *Unit Price $105 898, Coupon Rate 2 000%, Matures 01/15/14, Int Semi-Annually Jan/Jul 15, Factor 1 22556000, Moody AAA, Issued 01/15/04, Amortized Quantity 56,375* | | | | | | | | |
| **UNITED STATES TREASURY NOTE** | 9/9/09 | 3,000 000 | 107.286 | 3,218 57 | | | | |
| CUSIP 912828DM9 | | | 104 309 | 3,129 27 | 3,331 89 | 202 62 LT | | |
| | 9/28/09 | 3,000 000 | 107 594 | 3,227 81 | | | | |
| | | | 104 528 | 3,135 84 | 3,331 89 | 196 05 LT | | |
| | 9/29/09 | 6,000 000 | 107 637 | 6,458 23 | | | | |
| | | | 104 556 | 6,273 33 | 6,663 78 | 390.45 LT | | |
| | 10/29/09 | 2,000 000 | 107.344 | 2,146 88 | | | | |
| | | | 104.446 | 2,088 91 | 2,221 26 | 132.35 LT | | |
| | **Total** | 14,000 000 | | 15,051 49 | | | 560 00 | 3 60 |
| | | | | 14,627 35 | **15,548.82** | 921 47 LT | 210.00 | |
| *Unit Price $111 063, Coupon Rate 4 000%, Matures 02/15/15, Int Semi-Annually Feb/Aug 15, Moody AAA, Issued 02/15/05* | | | | | | | | |
| **US TREASURY BOND FED STRIP I NTEREST** | 3/10/09 | 10,000.000 | 87 524 | 8,752.42 | | | | |
| **PAYMENT** | | | 93 233 | 9,323 27 | 9,843 70 | 520 43 LT | | |
| CUSIP 912833DH0 | 10/2/09 | 3,000.000 | 87 787 | 2,633.61 | | | | |
| | | | 92.708 | 2,781 23 | 2,953 11 | 171.88 LT | | |

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MorganStanley SmithBarney

# Holdings

**Consulting Group Advisor Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## GOVERNMENT SECURITIES

**TREASURY SECURITIES** (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 13,000.000 | | 11,386 03 | | | — | — |
| | | | | 12,104.50 | **12,796.81** | 692.31 LT | — | |
| *Unit Price $98 437, Zero Coupon, Matures 02/15/15, Issued 02/15/85* | | | | | | | | |
| **UNITED STATES TREASURY NOTE** | 3/10/09 | 4,000.000 | 112.617 | 4,504 69 | | | | |
| CUSIP 912828EW6 | | | 107.759 | 4,310 34 | 4,624.68 | 314.34 LT | | |
| | 3/12/09 | 1,000 000 | 113.676 | 1,136.76 | | | | |
| | | | 108.399 | 1,083 99 | 1,156 17 | 72 18 LT | | |
| | 10/2/09 | 1,000.000 | 111.000 | 1,110.00 | | | | |
| | | | 107.324 | 1,073.24 | 1,156.17 | 82 93 LT | | |
| | **Total** | 6,000.000 | | 6,751 45 | | | 270 00 | 3 89 |
| | | | | 6,467 57 | **6,937.02** | 469 45 LT | 101 25 | |
| *Unit Price $115 617; Coupon Rate 4 500%, Matures 02/15/16, Int Semi-Annually Feb/Aug 15, Yield to Maturity 654%, Moody AAA, Issued 02/15/06* | | | | | | | | |
| **UNITED STATES TREASURY NOTE** | 3/10/09 | 3,000 000 | 112 117 | 3,363 52 | | | | |
| CUSIP 912828GS3 | | | 108.263 | 3,247.88 | 3,558 06 | 310.18 LT | | |
| | 10/2/09 | 1,000 000 | 110 563 | 1,105 63 | | | | |
| | | | 107 686 | 1,076 86 | 1,186 02 | 109 16 LT | | |
| | **Total** | 4,000.000 | | 4,469 15 | | | 180 00 | 3.79 |
| | | | | 4,324 74 | **4,744.08** | 419.34 LT | 22 74 | |
| *Unit Price $118 602, Coupon Rate 4 500%, Matures 05/15/17, Int Semi-Annually May/Nov 15, Yield to Maturity 941%, Moody AAA, Issued 05/15/07* | | | | | | | | |
| **UNITED STATES TREASURY NOTE** | 8/17/09 | 3,000 000 | 96 992 | 2,909 77 | | | 93 75 | 2 78 |
| CUSIP 912828KQ2 | | | 96 992 | 2,909 77 | **3,363.75** | 453 98 LT | 11 84 | |
| *Unit Price $112 125, Coupon Rate 3 125%, Matures 05/15/19, Int Semi-Annually May/Nov 15, Yield to Maturity 1 389%, Moody AAA, Issued 05/15/09* | | | | | | | | |
| **U S TREASURY BOND FED STRIP INTEREST PAYMENT** | 3/10/09 | 13,000 000 | 67 120 | 8,725 58 | | | | |
| | | | 74.375 | 9,668 69 | 11,337 43 | 1,668.74 LT | | |
| CUSIP 912833KY5 | 10/2/09 | 4,000 000 | 68 817 | 2,752 67 | | | | |
| | | | 74.626 | 2,985 05 | 3,488 44 | 503 39 LT | | |

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# Holdings

Consulting Group Advisor Active Assets Account
759-020600-028

KLEIN FAMILY FOUNDATION INC.
ATTENTION: CARLA KLEIN

## GOVERNMENT SECURITIES

### TREASURY SECURITIES (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 17,000.000 | | 11,478.25 | | | — | — |
| | | | | 12,653.74 | **14,825.87** | 2,172.13 LT | — | |
| *Unit Price $87 211, Zero Coupon, Matures 02/15/20* | | | | | | | | |
| **UNITED STATES TREASURY BOND** | 3/10/09 | 7,000.000 | 139.461 | 9,762.27 | | | | |
| CUSIP 912810EH7 | | | 131.663 | 9,216.41 | 10,682.14 | 1,465.73 LT | | |
| | 10/2/09 | 3,000 000 | 140 477 | 4,214.30 | | | | |
| | | | 133 693 | 4,010.79 | 4,578 06 | 567.27 LT | | |
| | **Total** | 10,000 000 | | 13,976.57 | | | 787 50 | 5.16 |
| | | | | 13,227 20 | **15,260.20** | 2,033 00 LT | 295.31 | |
| *Unit Price $152 602, Coupon Rate 7 875%, Matures 02/15/21, Int Semi-Annually Feb/Aug 15, Yield to Maturity 1 642%, Moody AAA, Issued 02/15/91* | | | | | | | | |
| **TREASURY SECURITIES** | | | | **$174,591.51** | | | **$4,681.24** | **2.47%** |
| | | | | **$180,194.60** | **$189,783.93** | **$9,589.33 LT** | **$1,922.40** | |

### FEDERAL AGENCIES

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| **FED HOME LN MTG CORP** | 3/10/09 | 5,000 000 | $109 847 | $5,492 35 | | | | |
| CUSIP 3134A4QD9 | | | $101 631 | $5,081 54 | $5,134.90 | $53 36 LT | | |
| | 10/2/09 | 1,000 000 | 110.103 | 1,101 03 | | | | |
| | | | 101 986 | 1,019 86 | 1,026 98 | 7 12 LT | | |
| | **Total** | 6,000 000 | | 6,593 38 | | | 307.50 | 4.99 |
| | | | | 6,101 40 | **6,161.88** | 60 48 LT | 141.79 | |
| *Unit Price $102 698, Coupon Rate 5 125%, Matures 07/15/12, Int Semi-Annually Jan/Jul 15, Moody AAA S&P AA+, Issued 07/16/02* | | | | | | | | |
| **FED NATL MTG ASSN** | 3/10/09 | 8,000 000 | 105.602 | 8,448 16 | | | | |
| CUSIP 31359MNU3 | | | 101 010 | 8,080 77 | 8,221 28 | 140 51 LT | | |
| | 10/2/09 | 3,000 000 | 108 156 | 3,244 68 | | | | |
| | | | 101 722 | 3,051 67 | 3,082 98 | 31 31 LT | | |

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# Holdings

**Consulting Group Advisor Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## GOVERNMENT SECURITIES

### FEDERAL AGENCIES (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / *Accrued Interest* | Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 11,000 000 | | 11,692.84 | | | 577.50 | 5.10 |
| | | | | 11,132.44 | **11,304.26** | 171.82 LT | 240.62 | |
| *Unit Price $102 766, Coupon Rate 5 250%, Matures 08/01/12, Int Semi-Annually Feb/Aug 01, Moody AA2 S&P A, Issued 07/26/02* | | | | | | | | |
| **FED HOME LN MTG CORP** | 9/11/09 | 6,000 000 | 101.400 | 6,084 00 | | | | |
| CUSIP 3137EACE7 | | | 100 340 | 6,020.42 | 6,082.32 | 61.90 LT | | |
| | 10/2/09 | 1,000.000 | 101.685 | 1,016.85 | | | | |
| | | | 100.418 | 1,004.18 | 1,013 72 | 9 54 LT | | |
| | **Total** | 7,000.000 | | 7,100.85 | | | 148.75 | 2 09 |
| | | | | 7,024 60 | **7,096.04** | 71.44 LT | 41.31 | |
| *Unit Price $101.372, Coupon Rate 2 125%, Matures 09/21/12, Int Semi-Annually Mar/Sep 21, Moody AAA S&P AA+, Issued 08/06/09* | | | | | | | | |
| **FED NATL MTG ASSN** | 9/10/09 | 6,000.000 | 101 831 | 6,109.86 | | | | |
| CUSIP 31398AYY2 | | | 101.018 | 6,061 07 | 6,395.76 | 334.69 LT | | |
| | 10/2/09 | 1,000 000 | 102 491 | 1,024 91 | | | | |
| | | | 101 399 | 1,013.99 | 1,065.96 | 51 97 LT | | |
| | **Total** | 7,000.000 | | 7,134 77 | | | 210 00 | 2 81 |
| | | | | 7,075 06 | **7,461.72** | 386.66 LT | 61.25 | |
| *Unit Price $106 596, Coupon Rate 3 000%, Matures 09/16/14, Int Semi-Annually Mar/Sep 16, Yield to Maturity 543%, Moody AAA S&P AA+, Issued 08/14/09* | | | | | | | | |
| **FED NATL MTG ASSN** | 3/10/09 | 8,000 000 | 109 436 | 8,754 88 | | | | |
| CUSIP 31359MWJ8 | | | 104 883 | 8,390 63 | 8,889 12 | 498 49 LT | | |
| | 3/13/09 | 1,000 000 | 109 313 | 1,093 13 | | | | |
| | | | 104 829 | 1,048 29 | 1,111 14 | 62 85 LT | | |
| | 10/2/09 | 2,000 000 | 110 319 | 2,206 38 | | | | |
| | | | 105.869 | 2,117 37 | 2,222 28 | 104 91 LT | | |

CONTINUED

# Holdings

**Consulting Group Advisor Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## GOVERNMENT SECURITIES

### FEDERAL AGENCIES (CONTINUED)

| Security Description | Trade Date | Face Value | Orig. Unit Cost / Adj. Unit Cost | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|---|---|
| | **Total** | 11,000 000 | | 12,054.39 | | | 508.75 | 4.16 |
| | | | | 11,556 29 | **12,222.54** | 666 25 LT | 107.40 | |
| *Unit Price $111 114, Coupon Rate 4 625%, Matures 10/15/14, Int Semi-Annually Apr/Oct 15, Yield to Maturity 600%, Moody AAA S&P AA+, Issued 09/17/04* | | | | | | | | |
| **FEDERAL NATIONAL MTG ASSN POOL** | 3/11/09 | 22,000 000 | 102.560 | 14,997.54 | | | | |
| **745275** | | | 102 560 | 8,185 91 | 8,629 13 | 443 22 LT | | |
| CUSIP 31403C6L0 | 9/9/09 | 8,000.000 | 103.090 | 5,481.90 | | | | |
| | | | 103.090 | 2,992.08 | 3,137.86 | 145.78 LT | | |
| | 9/29/09 | 6,000.000 | 103 710 | 4,136 35 | | | | |
| | | | 103 710 | 2,257 55 | 2,353 40 | 95 85 LT | | |
| | **Total** | 36,000 000 | | 24,615 79 | | | 653 03 | 4 62 |
| | | | | 13,435 54 | **14,120.39** | 684.85 LT | 54.41 | |
| *Unit Price $108 113, Coupon Rate 5 000%, Matures 02/01/36, Interest Paid Monthly Jan 01, Yield to Maturity 4 448%, Factor 36279920, Issued 01/01/06, Amortized Quantity 13,060* | | | | | | | | |
| **FEDERAL NATIONAL MTG ASSN POOL** | 3/11/09 | 88,000 000 | 103 780 | 65,935 70 | | | | |
| **889579** | | | 103.780 | 27,453 72 | 29,257.33 | 1,803.61 LT | | |
| CUSIP 31410KJY1 | 9/9/09 | 12,000 000 | 105 810 | 9,167 21 | | | | |
| | | | 105 810 | 3,816 92 | 3,989 63 | 172 71 LT | | |
| | **Total** | 100,000.000 | | 75,102.91 | | | 1,803.66 | 5.42 |
| | | | | 31,270.64 | **33,246.97** | 1,976.32 LT | 150.30 | |
| *Unit Price $110 598, Coupon Rate 6 000%, Matures 05/01/38, Interest Paid Monthly May 01, Yield to Maturity 5 252%, Factor 30061100, Issued 05/01/08, Amortized Quantity 30,061* | | | | | | | | |
| **FEDERAL NATIONAL MTG ASSN POOL** | 9/29/09 | 22,000 000 | 105 680 | 11,144.58 | | | 258 61 | 5 44 |
| **930071** | | | 105 680 | 4,555.10 | **4,749.53** | 194.43 LT | 21 55 | |
| CUSIP 31412NJQ0 | | | | | | | | |
| *Unit Price $110 191, Coupon Rate 6 000%, Matures 10/01/38, Interest Paid Monthly Oct 01, Yield to Maturity 5 284%, Factor 19592168, Issued 10/01/08, Amortized Quantity 4,310* | | | | | | | | |
| **FEDERAL NATIONAL MTG ASSN POOL** | 3/12/09 | 25,000.000 | 103 280 | 19,173 60 | | | | |
| **889982** | | | 103.280 | 8,960.42 | 9,454.24 | 493.82 LT | | |
| CUSIP 31410KXK5 | 9/9/09 | 6,000 000 | 104.310 | 4,647.61 | | | | |
| | | | 104.310 | 2,171.95 | 2,269 01 | 97 06 LT | | |
| | 9/29/09 | 5,000.000 | 104 850 | 3,893.31 | | | | |
| | | | 104.850 | 1,819 33 | 1,890 84 | 71 51 LT | | |
| | **Total** | 36,000 000 | | 27,714 52 | | | 687 12 | 5 04 |
| | | | | 12,951 70 | **13,614.11** | 662 39 LT | 57 26 | |
| *Unit Price $108 972, Coupon Rate 5 500%, Matures 11/01/38, Interest Paid Monthly Oct 01, Yield to Maturity 4 895%, Factor 34703408; Issued 10/01/08, Amortized Quantity 12,493* | | | | | | | | |
| **FEDERAL AGENCIES** | | | | **$183,154.03** | | | **$5,154.92** | **4.69%** |
| | | | | **$105,102.77** | **$109,977.44** | **$4,874.64 LT** | **$875.89** | |

# Holdings

**Consulting Group Advisor Active Assets Account 759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

| | Percentage of Assets % | Orig. Total Cost / Adj. Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| GOVERNMENT SECURITIES | | $357,745.54 | | | $9,836.16 | 3.28% |
| | | $285,297.37 | $299,761.37 | $14,463.97 LT | $2,798.29 | |
| TOTAL GOVERNMENT SECURITIES (incl.accr int.) | 16.4% | | $302,559.66 | | | |

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS

*"Total Purchases vs Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account*

*"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account It may not reflect all distributions received in cash, due to but not limited to the following investments made prior to addition of this information on statements, securities transfers, timing of recent distributions, and certain adjustments made in your account*

*"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, plus the cash distributions shown, and the current value of the fund's shares This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes*
*Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain mutual funds Please refer to "CG IAR Statuses in Investment Advisory Programs" at the end of this statement for a description of these status codes All status codes represent the opinions of CG IAR and are not representations or guarantees of performance*

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| **GOLDMAN SACHS GOVT INC INSTL (GSOIX)** | 3/10/09 | 2,643.432 | $14 882 | $39,338 31 | $40,708 85 | $1,370 54 LT A | | |
| | 9/29/09 | 2,732.277 | 15 341 | 41,914.91 | 42,077.07 | 162.16 LT A | | |
| | **Purchases** | 5,375.709 | | 81,253 22 | **82,785.92** | 1,532.70 LT | | |
| Long Term Reinvestments | | 220.935 | | 3,361 74 | 3,402.40 | 40 66 LT A | | |
| | **Total** | 5,596.644 | | 84,614.96 | **86,188.32** | 1,573 36 LT | 1,248 00 | 1.44 |
| Total Purchases vs Market Value | | | | 81,253 22 | 86,188.32 | | | |
| Cumulative Cash Distributions | | | | | 1,914 28 | | | |
| Net Value Increase/(Decrease) | | | | | 6,849 38 | | | |
| *Share Price $15 400, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **LORD ABBETT SHT DURATION INC F (LDLFX)** | 6/10/10 | 21,881.839 | 4.570 | 100,000.00 | 99,343.54 | (656.46) LT | | |
| | 8/17/11 | 10,917 031 | 4 580 | 50,000 00 | 49,563 32 | (436 68) ST | | |
| | **Purchases** | 32,798 870 | | 150,000 00 | **148,906.86** | (656 46) LT<br>(436 68) ST | | |
| Long Term Reinvestments | | 555.757 | | 2,574 91 | 2,523 13 | (51.78) LT | | |
| Short Term Reinvestments | | 1,148.576 | | 5,257 49 | 5,214 53 | (42 96) ST | | |
| | **Total** | 34,503.203 | | 157,832.40 | **156,644.54** | (708.24) LT<br>(479 64) ST | 7,344.00 | 4 68 |

CONTINUED

# Holdings

**Consulting Group Advisor Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## MUTUAL FUNDS

**OTHER MUTUAL FUNDS** (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| Total Purchases vs Market Value | | | | 150,000 00 | 156,644.54 | | | |
| Net Value Increase/(Decrease) | | | | | 6,644 54 | | | |
| *Share Price $4 540, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **PIMCO ALL ASSET ALL AUTH P (PAUPX)** | 2/17/11 | 3,311 695 | 10 569 | 35,000 00 | 33,183 18 | (1,816 82) ST | | |
| | 8/17/11 | 3,187 354 | 10 981 | 35,000 00 | 31,937 29 | (3,062 71) ST | | |
| | **Purchases** | 6,499.049 | | 70,000.00 | **65,120.47** | (4,879.53) ST | | |
| Short Term Reinvestments | | 480.387 | | 4,878.46 | 4,813.48 | (64 98) ST | | |
| | **Total** | 6,979.436 | | 74,878.46 | **69,933.95** | (4,944 51) ST | 15,208 00 | 21 74 |
| Total Purchases vs Market Value | | | | 70,000 00 | 69,933.95 | | | |
| Net Value Increase/(Decrease) | | | | | (66 05) | | | |
| *Share Price $10 020, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **PIMCO TOTAL RETURN P (PTTPX)** | 2/9/10 | 9,132.420 | 10.950 | 100,000.00 | 99,269.40 | (730 60) LT | | |
| | **Purchases** | 9,132 420 | | 100,000 00 | **99,269.40** | (730 60) LT | | |
| Long Term Reinvestments | | 661.284 | | 7,249 46 | 7,188.15 | (61.31) LT | | |
| Short Term Reinvestments | | 345.054 | | 3,764 41 | 3,750.73 | (13.68) ST | | |
| | **Total** | 10,138.758 | | 111,013.87 | **110,208.30** | (791 91) LT<br>(13 68) ST | 3,816.00 | 3.46 |
| Total Purchases vs Market Value | | | | 100,000.00 | 110,208.30 | | | |
| Net Value Increase/(Decrease) | | | | | 10,208.30 | | | |
| *Share Price $10 870, CG IAR Status FL, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **PIONEER GLOBAL HIGH YIELD Y (GHYYX)** | 3/10/09 | 9,316 803 | 6.086 | 56,704.15 | 87,112.11 | 30,407 96 LT A | | |
| | **Purchases** | 9,316.803 | | 56,704 15 | **87,112.11** | 30,407.96 LT | | |
| Long Term Reinvestments | | 1,568 000 | | 12,338.94 | 14,660.80 | 2,321 86 LT A | | |
| | **Total** | 10,884 803 | | 69,043 09 | **101,772.91** | 32,729 82 LT | 8,568.00 | 8 41 |
| Total Purchases vs Market Value | | | | 56,704 15 | 101,772.91 | | | |
| Cumulative Cash Distributions | | | | | 2,571 34 | | | |
| Net Value Increase/(Decrease) | | | | | 47,640.10 | | | |
| *Share Price $9 350, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **PRINCIPAL DIVERSE REAL ASSET A (PRDAX)** | 12/2/11 | 3,463 203 | 11 550 | 40,000 00 | 38,822.50 | (1,177 50) ST | | |
| | **Purchases** | 3,463 203 | | 40,000.00 | **38,822.50** | (1,177 50) ST | | |
| Short Term Reinvestments | | 94 990 | | 1,044 32 | 1,064 83 | 20 51 ST | | |
| | **Total** | 3,558 193 | | 41,044 32 | **39,887.34** | (1,156 99) ST | 368.00 | 0.92 |

CONTINUED

# Holdings

**Consulting Group Advisor Active Assets Account**
**759-020600-028**

**KLEIN FAMILY FOUNDATION INC.**
**ATTENTION: CARLA KLEIN**

## MUTUAL FUNDS

### OTHER MUTUAL FUNDS (CONTINUED)

| Security Description | Trade Date | Quantity | Unit Cost | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Dividend Yield % |
|---|---|---|---|---|---|---|---|---|
| Total Purchases vs Market Value | | | | 40,000 00 | 39,887.34 | | | |
| Net Value Increase/(Decrease) | | | | | (112.66) | | | |
| *Share Price $11 210, Enrolled In MS Dividend Reinvestment, Capital Gains Reinvest* | | | | | | | | |
| **TEMPLETON GLOBAL BD FD ADV (TGBAX)** | 3/10/09 | 11,790.162 | 10 505 | 123,854.58 | 145,844 30 | 21,989.72 LT A | | |
| | 9/29/09 | 1,110 299 | 12.430 | 13,801 36 | 13,734 39 | (66 97) LT A | | |
| | **Purchases** | 12,900.461 | | 137,655.94 | **159,578.69** | 21,922.75 LT | | |
| Long Term Reinvestments | | 413 736 | | 4,938 07 | 5,117 91 | 179 84 LT A | | |
| | **Total** | 13,314 197 | | 142,594 01 | **164,696.62** | 22,102 59 LT | 8,424 00 | 5 11 |
| Total Purchases vs Market Value | | | | 137,655 94 | 164,696 62 | | | |
| Cumulative Cash Distributions | | | | | 4,379 04 | | | |
| Net Value Increase/(Decrease) | | | | | 31,419 72 | | | |
| *Share Price $12 370, CG IAR Status FL, Enrolled In MS Dividend Reinvestment; Capital Gains Reinvest* | | | | | | | | |

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| MUTUAL FUNDS | **39.4%** | **$681,021.11** | **$729,331.98** | **$54,905.62 LT** | **$44,976.00** | **6.17%** |
| | | | | **$(6,594.82) ST** | **$0.00** | |

*Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page*
*For more information about the pricing of Money Market Funds, please see the Disclosures section of the statement*

| | Percentage of Assets % | Total Cost | Market Value | Unrealized Gain/(Loss) | Estimated Annual Income / Accrued Interest | Yield % |
|---|---|---|---|---|---|---|
| TOTAL MARKET VALUE | **100.0%** | **$1,348,314.71** | **$1,844,689.00** | **$118,064.99 LT** | **$75,212.05** | **4.07%** |
| | | | | **$(711.98) ST** | **$4,404.47** | |

TOTAL VALUE (includes accrued interest) **$1,849,093.47**

*A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney Account Another financial institution has provided Morgan Stanley Smith Barney the transaction detail for this position*