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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.

2011

For calendar year 2011 or tax year beginning

, and ending

Name of foundation CHARLES W. ROSENBAUM FOUNDATION, INC.		A Employer identification number 61-1293806
Number and street (or P.O. box number if mail is not delivered to street address) P.O. BOX 32427		B Telephone number 502-456-4050
City or town, state, and ZIP code LOUISVILLE, KY 40232-2427		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 4,599,764.	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
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		143,728.	143,728.		STATEMENT 1
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		-60,967.			
b Gross sales price for all assets on line 6a 2,260,279.					
7 Capital gain net income (from Part IV, line 2)			0.		
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)					
11 Other income		-4,636.	-4,636.		STATEMENT 2
12 Total. Add lines 1 through 11		78,125.	139,092.		
13 Compensation of officers, directors, trustees, etc.		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees					
c Other professional fees		46,989.	46,989.		0.
17 Interest					
18 Taxes		5,961.	5,401.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 5		1,460.	0.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		54,410.	52,390.		0.
25 Contributions, gifts, grants paid		192,500.			192,500.
26 Total expenses and disbursements. Add lines 24 and 25		246,910.	52,390.		192,500.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		-168,785.			
b Net investment income (if negative, enter -0-)			86,702.		
c Adjusted net income (if negative, enter -0-)				N/A	

Part II Balance Sheets		Beginning of year (a) Book Value	End of year	
			(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	240,481.	260,845.	260,845.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges	840.	1,400.	1,400.
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 6	4,364,227.	4,082,677.	4,131,119.
	c Investments - corporate bonds			
Liabilities	11 Investments - land, buildings, and equipment basis ▶			
	Less: accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 7	128,856.	208,579.	206,400.
	14 Land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers)	4,734,404.	4,553,501.	4,599,764.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
Net Assets or Fund Balances	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
	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	2,596,387.	2,596,387.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	2,138,017.	1,957,114.	
	30 Total net assets or fund balances	4,734,404.	4,553,501.	
	31 Total liabilities and net assets/fund balances	4,734,404.	4,553,501.	

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	4,734,404.
2	Enter amount from Part I, line 27a	2	-168,785.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	4,565,619.
5	Decreases not included in line 2 (itemize) ▶ COST BASIS ADJUSTMENT	5	12,118.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	4,553,501.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a				
b SEE ATTACHED STATEMENTS				
c				
d				
e				

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 2,260,279.		2,321,246.	-60,967.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			-60,967.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7
If (loss), enter -0- in Part I, line 7 } **2** -60,967.

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):
If gain, also enter in Part I, line 8, column (c).
If (loss), enter -0- in Part I, line 8 } **3** N/A

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 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	223,112.	4,552,851.	.049005
2009	269,174.	3,811,008.	.070631
2008	0.	4,525,030.	.000000
2007	294,523.	5,646,654.	.052159
2006	0.	3,795,290.	.000000

2 Total of line 1, column (d) **2** .1717953 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** .0343594 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5 **4** 4,684,572.5 Multiply line 4 by line 3 **5** 160,957.6 Enter 1% of net investment income (1% of Part I, line 27b) **6** 867.7 Add lines 5 and 6 **7** 161,824.8 Enter qualifying distributions from Part XII, line 4 **8** 192,500.

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.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see 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	867.
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	867.
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	867.
6 Credits/Payments:			
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6a	1,400.	
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	1,400.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	1.	
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	532.	
11 Enter the amount of line 10 to be: Credited to 2012 estimated tax	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?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 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		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>KY</u>		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► MICHAEL D. RUDD, MANAGER Telephone no. ► 502-456-4050 Located at ► 4344 POPLAR LEVEL RD., LOUISVILLE, KY ZIP+4 ► 40213			
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 N/A			
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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

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

		Yes	No
1a	During the year did the foundation (either directly or indirectly):		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No		
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here N/A ☐	1b	
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	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 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 ►		
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 instructions.) N/A	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ►		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b	If "Yes," did it have excess business holdings in 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.) N/A	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2011?	4b	X

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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)?

☐ 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 instructions)?

N/A

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?

N/A

☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d).

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

6b

X

If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

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.

(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
MICHAEL D. RUDD 4344 POPLAR LEVEL ROAD LOUISVILLE, KY 40213	PRESIDENT / DIRECTOR 0.00	0.	0.	0.
MARK BURRIS 4344 POPLAR LEVEL ROAD LOUISVILLE, KY 40213	SECRETARY / TREASURER / DIRECT 0.00	0.	0.	0.
NEAL KOBRIN 4344 POPLAR LEVEL ROAD LOUISVILLE, KY 40213	DIRECTOR 0.00	0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). 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

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Part VIII**Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** (continued)**3** Five highest-paid independent contractors for professional services. 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 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

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

	Amount
1 N/A	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3	0.

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Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see 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	4,517,529.
b	Average of monthly cash balances	1b	238,382.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	4,755,911.
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	4,755,911.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	71,339.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	4,684,572.
6	Minimum investment return. Enter 5% of line 5	6	234,229.

Part XI Distributable Amount (see 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	234,229.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	867.
b	Income tax for 2011. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	867.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	233,362.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	233,362.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	233,362.

Part XII Qualifying Distributions (see 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	192,500.
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	192,500.
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	5	867.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	191,633.

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 instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				233,362.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only			74,300.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2011:				
a From 2006				
b From 2007				
c From 2008				
d From 2009				
e From 2010				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2011 from Part XII, line 4: ► \$ 192,500.				
a Applied to 2010, but not more than line 2a			74,300.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2011 distributable amount				118,200.
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))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
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 instructions		0.		
e Undistributed income for 2010. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2011. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2012				115,162.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2007				
b Excess from 2008				
c Excess from 2009				
d Excess from 2010				
e Excess from 2011				

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

N/A

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

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

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
MARIN COMMUNITY FOUNDATION 5 HAMILTON LANDING STE. 200 NOVATO, CA 94949	NONE	CHARITY	HUMAN SERVICES	2,500.
FAMILIES OF SPINAL MUSCULAR ATROPHY 925 BUSSE RD ELK GROVE, IL 60007	NONE	CHARITY	MEDICAL RESEARCH; HUMAN SERVICES	160,000.
GREENWOOD SCHOOL 17 BUENA VISTA AVE MILL VALLEY, CA 94941	NONE	CHARITY	HUMAN SERVICES	30,000.
Total			3a	192,500.
b Approved for future payment				
NONE				
Total			3b	0.

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

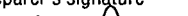
		Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		
a	Transfers from the reporting foundation to a noncharitable exempt organization of:		
	(1) Cash	1a(1)	X
	(2) Other assets	1a(2)	X
b	Other transactions:		
	(1) Sales of assets to a noncharitable exempt organization	1b(1)	X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)	X
	(3) Rental of facilities, equipment, or other assets	1b(3)	X
	(4) Reimbursement arrangements	1b(4)	X
	(5) Loans or loan guarantees	1b(5)	X
	(6) Performance of services or membership or fundraising solicitations	1b(6)	X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c	X
d	If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.		

[illegible]

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

b If "Yes," complete the following schedule.		
(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.		May the IRS discuss this return with the preparer shown below (see instr.)? ☒ Yes ☐ No
	 Signature of officer or trustee	<u>9/25/12</u> Date	

Paid Preparer Use Only	Print/Type preparer's name DIANE B. MEDLEY, CPA	Preparer's signature 	Date 9/20/12	Check ☐ if self-employed	PTIN P00035429
	Firm's name ▶ MOUNTJOY CHILTON MEDLEY LLP			Firm's EIN ▶ 27-1235638	
	Firm's address ▶ 462 S. FOURTH ST., SUITE 2000 LOUISVILLE, KY 40202-3445			Phone no. (502) 749-1900	

CHARLES W. ROSENBAUM FOUNDATION, INC.

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.				(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	MORGANSTANLEY SMITH BARNEY	43J-02994-10	402		VARIOUS	VARIOUS
b	MORGANSTANLEY SMITH BARNEY	43J-02994-10	402		VARIOUS	VARIOUS
c	MORGANSTANLEY SMITH BARNEY	43J-02996-18	402		VARIOUS	VARIOUS
d	MORGANSTANLEY SMITH BARNEY	43J-02996-18	402		VARIOUS	VARIOUS
e	MORGANSTANLEY SMITH BARNEY	43J-02998-16	402		VARIOUS	VARIOUS
f	MORGANSTANLEY SMITH BARNEY	43J-02998-16	402		VARIOUS	VARIOUS
g	MORGANSTANLEY SMITH BARNEY	43J-02990-14	402		VARIOUS	VARIOUS
h	MORGANSTANLEY SMITH BARNEY	43J-02997-17	402		VARIOUS	VARIOUS
i	MORGANSTANLEY SMITH BARNEY	43J-02997-17	402		VARIOUS	VARIOUS
j	MORGANSTANLEY SMITH BARNEY	43J-02989-17	402		VARIOUS	VARIOUS
k	MORGANSTANLEY SMITH BARNEY	43J-02989-17	402		VARIOUS	VARIOUS
l	MORGANSTANLEY SMITH BARNEY	43J-02987-19	402		VARIOUS	VARIOUS
m	MORGANSTANLEY SMITH BARNEY	43J-02987-19	402		VARIOUS	VARIOUS
n	POWERSHARES DB COMMODITY INDX FUND				VARIOUS	VARIOUS
o	POWERSHARES DB COMMODITY INDX FUND				VARIOUS	VARIOUS

	(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	29,530.		28,322.	1,208.
b	150,911.		221,159.	-70,248.
c	164,513.		167,183.	-2,670.
d	108,500.		107,407.	1,093.
e	9,630.		12,444.	-2,814.
f	29,864.		28,888.	976.
g	1,581,954.		1,581,686.	268.
h	4,450.		4,175.	275.
i	14,500.		15,818.	-1,318.
j	12,460.		9,419.	3,041.
k	37,932.		28,753.	9,179.
l	23,395.		18,011.	5,384.
m	77,209.		97,173.	-19,964.
n			808.	-808.
o	1,433.			1,433.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			1,208.
b			-70,248.
c			-2,670.
d			1,093.
e			-2,814.
f			976.
g			268.
h			275.
i			-1,318.
j			3,041.
k			9,179.
l			5,384.
m			-19,964.
n			-808.
o			1,433.

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8	}	3

CHARLES W. ROSENBAUM FOUNDATION, INC.

61-1293806

PAGE 1 OF 2

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.				(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	MORGANSTANLEY SMITH BARNEY	43J-02994-10	402		VARIOUS	VARIOUS
b	MORGANSTANLEY SMITH BARNEY	43J-02994-10	402		VARIOUS	VARIOUS
c	MORGANSTANLEY SMITH BARNEY	43J-02996-18	402		VARIOUS	VARIOUS
d	MORGANSTANLEY SMITH BARNEY	43J-02996-18	402		VARIOUS	VARIOUS
e	MORGANSTANLEY SMITH BARNEY	43J-02998-16	402		VARIOUS	VARIOUS
f	MORGANSTANLEY SMITH BARNEY	43J-02998-16	402		VARIOUS	VARIOUS
g	MORGANSTANLEY SMITH BARNEY	43J-02990-14	402		VARIOUS	VARIOUS
h	MORGANSTANLEY SMITH BARNEY	43J-02997-17	402		VARIOUS	VARIOUS
i	MORGANSTANLEY SMITH BARNEY	43J-02997-17	402		VARIOUS	VARIOUS
j	MORGANSTANLEY SMITH BARNEY	43J-02989-17	402		VARIOUS	VARIOUS
k	MORGANSTANLEY SMITH BARNEY	43J-02989-17	402		VARIOUS	VARIOUS
l	MORGANSTANLEY SMITH BARNEY	43J-02987-19	402		VARIOUS	VARIOUS
m	MORGANSTANLEY SMITH BARNEY	43J-02987-19	402		VARIOUS	VARIOUS
n	POWERSHARES DB COMMODITY INDX FUND				VARIOUS	VARIOUS
o	POWERSHARES DB COMMODITY INDX FUND				VARIOUS	VARIOUS

(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	29,530.	28,322.	1,208.
b	150,911.	221,159.	-70,248.
c	164,513.	167,183.	-2,670.
d	108,500.	107,407.	1,093.
e	9,630.	12,444.	-2,814.
f	29,864.	28,888.	976.
g	1,581,954.	1,581,686.	268.
h	4,450.	4,175.	275.
i	14,500.	15,818.	-1,318.
j	12,460.	9,419.	3,041.
k	37,932.	28,753.	9,179.
l	23,395.	18,011.	5,384.
m	77,209.	97,173.	-19,964.
n		808.	-808.
o	1,433.		1,433.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			1,208.
b			-70,248.
c			-2,670.
d			1,093.
e			-2,814.
f			976.
g			268.
h			275.
i			-1,318.
j			3,041.
k			9,179.
l			5,384.
m			-19,964.
n			-808.
o			1,433.

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7
If (loss), enter "-0-" in Part I, line 7 }

2

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):

If gain, also enter in Part I, line 8, column (c).

If (loss), enter "-0-" in Part I, line 8

3

CHARLES W. ROSENBAUM FOUNDATION, INC.

61-1293806

PAGE 2 OF 2

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	CAPITAL GAINS DIVIDENDS			
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

(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	13,998.		13,998.
b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(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			13,998.
b			
c			
d			
e			
f			
g			
h			
i			
j			
k			
l			
m			
n			
o			

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 }	2	-60,967.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

MorganStanley
SmithBarney

2011 Year End Summary

Ref 00012707 00105731

CHARLES W ROSENBAUM FOUNDATION

Account Number

Details of Short Term Gain (Loss) 2011

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	500	BARCLAYS BANK PLC IPATH DOW JONES UBS COMMODITY INDEX TOTAL RTN	10/19/10	06/22/11	\$ 23,996 79	\$ 21,700 00		\$ 2,296 79
		TRANSFERRED FROM 523-37118-5						
125000020	482 793	COHEN & STEERS INTL RLTY FD	12/16/10	12/13/11	4,364 45	5,190 02	(825 57)	
	122 248	CL I	06/30/11		1,105 12	1,369 18	(264 06)	
	7 088	CONFIRM #500013470316363	12/15/11		64 08	62 87		1 21
Total					\$ 29,530 44	\$ 28,322 07	(\$ 1,089 63)	\$ 2,298 00

Details of Long Term Gain (Loss) 2011

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	832	BARCLAYS BANK PLC IPATH	09/25/07	06/22/11	\$ 39,930 66	\$ 44,470 40	(\$ 4,539 74)	
	865	DOW JONES UBS COMMODITY INDEX TOTAL RTN	10/01/07		41,514 44	46,467 80	(4,953 36)	
		TRANSFERRED FROM 523-37118-5						
125000020	76 45	COHEN & STEERS INTL RLTY FD	07/02/09	12/13/11	691 11	716 34	(25 23)	
	492 478	CL I	12/17/09		4,452 00	5,062 67	(610 67)	
	106 745	CONFIRM #500013470316363	06/30/10		964 97	979 92	(14 95)	
	1,278 772		10/19/10		11,560 10	15,000 00	(3,439 90)	
	3,236 9546		09/25/07		29,262 07	60,211 25	(30,949 18) C	
	2,492 9314		10/01/07		22 536 10	48,250 69	(25,714 59) C	
Total					\$ 150,911 45	\$ 221,159 07	(\$ 70,247 62)	

^c Based on information supplied by Client or other financial institution, not verified by us

MorganStanley
SmithBarney

2011 Year End Summary

Ref 00012708 00105737

CHARLES W ROSENBAUM FOUNDATION
Account Number

2011 YEAR END SUMMARY

Details of Short Term Gain (Loss) 2011

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	120 192	DREYFUS INTERNATIONAL BOND FUND CL A CONFIRM #500010820126633 TRANSFERRED FROM 523-37116-9	09/30/10	03/23/11	\$ 2,000 00	\$ 2,067 30	(\$ 67 30)	
125000020	101 98	DREYFUS INTERNATIONAL BOND FUND CL A CONFIRM #500011080280789 TRANSFERRED FROM 523-37116-9	09/30/10	04/18/11	1,700 00	1,754 06	(54 06)	
125000030	59 418	DREYFUS INTERNATIONAL BOND FUND CL A CONFIRM #500012000104638 TRANSFERRED FROM 523-37116-9	09/30/10	07/19/11	1,000 00	1,021 99	(21 99)	
125000070	90 58	PIMCO TOTAL RETURN FUND CL P CONFIRM #500012000105072 TRANSFERRED FROM 523-37116-9	09/30/10	07/19/11	1,000 00	1,050 73	(50 73)	

MorganStanley
SmithBarney

Ref 00012708 00105738

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Short Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000080	7,023 723	TCW TOTAL RETURN BOND FUND	09/30/10	08/19/11	\$ 72,344 34	\$ 74,943 12	(\$ 2 598 78)	
	45 251	CLASS N	10/29/10		486 09	487 35	(21 26)	
	45 993	CONFIRM #500012620058537	11/30/10		473 73	490 29	(16 56)	
	45 119	TRANSFERRED FROM 523-37116-9	12/29/10		484 73	462 47		2 26
	159 653		12/29/10		1,644 43	1,636 44		7 99
	24 295		12/29/10		250 24	249 02		1 22
	39 292		02/01/11		404 71	403 92		79
	39 502		02/28/11		406 87	406 08		79
	39 83		03/31/11		410 25	408 26		1 99
	39 927		04/29/11		411 25	410 45		80
	40 023		05/31/11		412 24	412 64	(40)	
	7,295 72		06/22/11		75,145 91	75,000 00		145 91
	80 011		06/30/11		824 11	816 11		8 00
	80 128		07/29/11		825 32	820 51		4 81
	80 48		08/31/11		828 93	824 92		4 01
125000090	185 185	TEMPLETON GLOBAL BOND FUND	09/30/10	03/23/11	2,500 00	2,531 48	(31 48)	
		ADVISOR CLASS						
		CONFIRM #500010820126914						
		TRANSFERRED FROM 523-37116-9						
125000100	72 098	TEMPLETON GLOBAL BOND FUND	09/30/10	07/19/11	1,000 00	985 58		14 42
		ADVISOR CLASS						
		CONFIRM #500012000105684						
		TRANSFERRED FROM 523-37116-9						
Total					\$ 164,513 15	\$ 167,182 72	(\$ 2,862 56)	\$ 192 99

Details of Long Term Gain (Loss) 2011

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000040	241 546	LOGMIS BOND FUND INST L CLASS	09/25/07	03/23/11	\$ 3,500 00	\$ 3,526 57	(\$ 26 57)	
		CONFIRM #500010820126708						
		TRANSFERRED FROM 523-37116-9						

2 0 1 1 Y E A R E N D S U M M A R Y

MorganStanley
SmithBarney

2011 Year End Summary

Ref 00012708 00105739

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Long Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000050	6,788 866	LOOMIS BOND FUND INST'L CLASS CONFIRM #500011730117464 TRANSFERRED FROM 523-37116-9	09/25/07	06/22/11	\$ 100,000 00	\$ 99,117 45		\$ 882 55
125000060	100 739	LOOMIS BOND FUND INST'L CLASS CONFIRM #500012000104422 TRANSFERRED FROM 523-37116-9	09/25/07	07/19/11	1,500 00	1,470 79		29 21
125000110	230 627	WESTERN ASSET CORE PLUS BOND FUND CL I CONFIRM #500010820127185 TRANSFERRED FROM 523-37116-9	09/25/07	03/23/11	2,500 00	2,361 62		138 38
125000120	90 827	WESTERN ASSET CORE PLUS BOND FUND CL I CONFIRM #500012000105890 TRANSFERRED FROM 523-37116-9	09/25/07	07/19/11	1,000 00	930 07		69 93
Total					\$ 108,500 00	\$ 107,406 50	(\$ 26.57)	\$ 1,120 07

2 0 1 1 Y E A R E N D S U M M A R Y

MorganStanley
SmithBarney

Ref 00012710 00105751

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION

Account Number

2 0 1 1 Y E A R E N D S U M M A R Y

Details of Short Term Gain (Loss) 2011

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000030	23	AT&T INC	11/08/10	08/12/11	\$ 644 69	\$ 670 86	(\$ 26 17)	
	16	TRANSFERRED FROM 523-37117-7	02/02/11		448 48	443 34		5 14
125000120	3	BEST BUY INC	11/08/10	08/12/11	72 21	134 54	(62 33)	
	41	TRANSFERRED FROM 523-37117-7	02/02/11		986 84	1,424 97	(438 13)	
	27		03/25/11		649 86	781 22	(131 36)	
125000160	10	CISCO SYS INC	11/08/10	02/02/11	216 36	244 59	(28 23)	
		CGMI AND/OR ITS AFFILIATES						
		TRANSFERRED FROM 523-37117-7						
125000240	17	JOHNSON CONTROLS INC	11/08/10	03/25/11	702 98	634 42		68 56
		TRANSFERRED FROM 523-37117-7						
125000300	229	NVIDIA CORP	02/02/11	06/27/11	3,520 67	5,889 81	(2,369 14)	
	70	CGMI AND/OR ITS AFFILIATES	03/25/11		1,076 19	1,329 41	(253 22)	
		TRANSFERRED FROM 523-37117-7						

MorganStanley
SmithBarney

Ref 00012710 00105752

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Short Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
1250000320	12	QUALCOMM INC CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	06/08/10	02/02/11	\$ 653 69	\$ 422 91		\$ 230 78
1250000370	10	VERIZON COMMUNICATIONS TRANSFERRED FROM 523-37117-7	06/08/10	02/02/11	360 23	259 79		100 44
1250000380	8	VERIZON COMMUNICATIONS TRANSFERRED FROM 523-37117-7	06/08/10	03/25/11	298 10	207 84		90 26
Total					\$ 9,630 30	\$ 12,443 70	(\$ 3,308 58)	\$ 495 18

Details of Long Term Gain (Loss) 2011

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
1250000010	12	AT&T INC TRANSFERRED FROM 523-37117-7	06/23/09	03/25/11	\$ 344 15	\$ 296 04		\$ 48 11
1250000020	15	AT&T INC TRANSFERRED FROM 523-37117-7	06/23/09	06/27/11	461 57	370 05		91 52
1250000030	43 102	AT&T INC TRANSFERRED FROM 523-37117-7	06/23/09 06/08/10	08/12/11	1 205 28 2,859 04	1,060 80 2,546 74		144 48 312 30
1250000040	4	AMERICAN TOWER CORP-CLASS A TRANSFERRED FROM 523-37117-7	09/20/07	06/27/11	206 88	167 27		39 61
1250000050	11	AMERICAN TOWER CORP-CLASS A	09/20/07	12/19/11	631 86	459 98		171 88
1250000060	8	AMGEN INC CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	06/23/09	06/27/11	460 13	409 39		50 74
1250000070	18 8	AUTODESK INC CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	10/28/08 06/23/09	02/02/11	778 80 346 14	367 50 157 75		411 30 188 39
1250000080	5	BED BATH & BEYOND CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	01/26/10	02/02/11	238 81	196 93		41 88

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Ref 00012710 00105753

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Long Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000090	22	BED BATH & BEYOND CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	01/26/10	06/27/11	\$ 1,244 15	\$ 866 49		\$ 377 66
125000100	8	BED BATH & BEYOND CGMI AND/OR ITS AFFILIATES	01/26/10	12/19/11	489 20	315 09		174 11
125000110	18	BEST BUY INC TRANSFERRED FROM 523-37117-7	10/28/08	06/27/11	572 59	389 92		182 67
125000120	106	BEST BUY INC TRANSFERRED FROM 523-37117-7	10/28/08	08/12/11	2,551 34	2,296 22		255 12
125000130	7	CEL GENE CORP CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	06/23/09	03/25/11	386 20	328 86		57 34
125000140	8	CEL GENE CORP CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	06/23/09	06/27/11	472 03	375 84		96 19
125000150	9	CEL GENE CORP CGMI AND/OR ITS AFFILIATES	06/23/09	12/19/11	583 19	422 82		160 37
125000160	41 154 27	CISCO SYS INC CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	09/20/07 09/09/08 06/23/09	02/02/11	887 10 3 332 03 584 19	1,322 66 3,541 17 503 81	(435 56) (209 14)	80 38
125000170	15	COACH INC TRANSFERRED FROM 523-37117-7	10/28/08	06/27/11	889 42	247 08		642 34
125000180	6	COSTCO WHOLESALE CORP NEW CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	06/23/09	02/02/11	428 00	270 65		157 35
125000190	11	COSTCO WHOLESALE CORP NEW CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	06/23/09	06/27/11	875 31	496 19		379 12
125000200	14	INTEL CORP CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	09/20/07	06/27/11	296 54	363 30	(66 76)	
125000210	24	INTEL CORP CGMI AND/OR ITS AFFILIATES	09/20/07	12/19/11	557 55	622 80	(65 25)	
125000220	3	INTL BUSINESS MACHINES CORP TRANSFERRED FROM 523-37117-7	09/09/08	02/02/11	489 33	346 73		142 60
125000230	2	INTL BUSINESS MACHINES CORP TRANSFERRED FROM 523-37117-7	09/09/08	06/27/11	334 01	231 15		102 86

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2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION

Account Number

Details of Long Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000250	18	LOWES COMPANIES INC TRANSFERRED FROM 523-37117-7	09/20/07	02/02/11	\$ 439 94	\$ 561 06	(\$ 121 12)	
125000260	30	LOWES COMPANIES INC TRANSFERRED FROM 523-37117-7	09/20/07	03/25/11	822 00	935 10	(113 10)	
125000270	14	LOWES COMPANIES INC	09/20/07	12/19/11	348 18	436 38	(88 20)	
125000280	2	NIKE INC CL B TRANSFERRED FROM 523-37117-7	10/28/08	06/27/11	165 21	93 61		71 60
125000290	8	NIKE INC CL B	10/28/08	12/19/11	751 60	374 43		377 17
125000310	21	ORACLE CORP CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	09/20/07	02/02/11	699 29	442 47		256 82
125000330	3	QUALCOMM INC CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	06/08/10	06/27/11	163 20	105 73		57 47
125000340	6	RESEARCH IN MOTION LTD-CAD CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	10/28/08	02/02/11	370 51	248 36		122 15
125000350	95	RESEARCH IN MOTION LTD-CAD CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-37117-7	06/08/10	06/20/11	2,488 07	5,540 07	(3,052 00)	
125000360	14	TARGET CORP	09/20/07	12/19/11	723 03	917 77	(194 74)	
125000390	10	VERIZON COMMUNICATIONS	06/08/10	12/19/11	387 81	259 79		128 02
Total					\$ 29,863 68	\$ 28,888 00	(\$ 4,345 87)	\$ 5,321 55

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2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180 181 182 183 184 185 186 187 188 189 190 191 192 193 194 195 196 197 198 199 200 201 202 203 204 205 206 207 208 209 210 211 212 213 214 215 216 217 218 219 220 221 222 223 224 225 226 227 228 229 230 231 232 233 234 235 236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259 260 261 262 263 264 265 266 267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284 285 286 287 288 289 290 291 292 293 294 295 296 297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313 314 315 316 317 318 319 320 321 322 323 324 325 326 327 328 329 330 331 332 333 334 335 336 337 338 339 340 341 342 343 344 345 346 347 348 349 350 351 352 353 354 355 356 357 358 359 360 361 362 363 364 365 366 367 368 369 370 371 372 373 374 375 376 377 378 379 380 381 382 383 384 385 386 387 388 389 390 391 392 393 394 395 396 397 398 399 400 401 402 403 404 405 406 407 408 409 410 411 412 413 414 415 416 417 418 419 420 421 422 423 424 425 426 427 428 429 430 431 432 433 434 435 436 437 438 439 440 441 442 443 444 445 446 447 448 449 450 451 452 453 454 455 456 457 458 459 460 461 462 463 464 465 466 467 468 469 470 471 472 473 474 475 476 477 478 479 480 481 482 483 484 485 486 487 488 489 490 491 492 493 494 495 496 497 498 499 500 501 502 503 504 505 506 507 508 509 510 511 512 513 514 515 516 517 518 519 520 521 522 523 524 525 526 527 528 529 530 531 532 533 534 535 536 537 538 539 540 541 542 543 544 545 546 547 548 549 550 551 552 553 554 555 556 557 558 559 560 561 562 563 564 565 566 567 568 569 570 571 572 573 574 575 576 577 578 579 580 581 582 583 584 585 586 587 588 589 590 591 592 593 594 595 596 597 598 599 600 601 602 603 604 605 606 607 608 609 610 611 612 613 614 615 616 617 618 619 620 621 622 623 624 625 626 627 628 629 630 631 632 633 634 635 636 637 638 639 640 641 642 643 644 645 646 647 648 649 650 651 652 653 654 655 656 657 658 659 660 661 662 663 664 665 666 667 668 669 670 671 672 673 674 675 676 677 678 679 680 681 682 683 684 685 686 687 688 689 690 691 692 693 694 695 696 697 698 699 700 701 702 703 704 705 706 707 708 709 710 711 712 713 714 715 716 717 718 719 720 721 722 723 724 725 726 727 728 729 730 731 732 733 734 735 736 737 738 739 740 741 742 743 744 745 746 747 748 749 750 751 752 753 754 755 756 757 758 759 760 761 762 763 764 765 766 767 768 769 770 771 772 773 774 775 776 777 778 779 780 781 782 783 784 785 786 787 788 789 790 791 792 793 794 795 796 797 798 799 800 801 802 803 804 805 806 807 808 809 810 811 812 813 814 815 816 817 818 819 820 821 822 823 824 825 826 827 828 829 830 831 832 833 834 835 836 837 838 839 840 841 842 843 844 845 846 847 848 849 850 851 852 853 854 855 856 857 858 859 860 861 862 863 864 865 866 867 868 869 870 871 872 873 874 875 876 877 878 879 880 881 882 883 884 885 886 887 888 889 890 891 892 893 894 895 896 897 898 899 900 901 902 903 904 905 906 907 908 909 910 911 912 913 914 915 916 917 918 919 920 921 922 923 924 925 926 927 928 929 930 931 932 933 934 935 936 937 938 939 940 941 942 943 944 945 946 947 948 949 950 951 952 953 954 955 956 957 958 959 960 961 962 963 964 965 966 967 968 969 970 971 972 973 974 975 976 977 978 979 980 981 982 983 984 985 986 987 988 989 990 991 992 993 994 995 996 997 998 999 1000

Details of Short Term Gain (Loss) 2011

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	8	ISHARES FTSE CHINA 25 INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	04/04/11	04/14/11	\$ 364.15	\$ 369.49	(\$ 5.34)	

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Ref 00012703 00105669

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Short Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000020	77	ISHARES FTSE CHINA 25 INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	04/04/11	04/28/11	\$ 3,475 45	\$ 3,556 34	(\$ 80 89)	
125000030	46	ISHARES MSCI EMERGING MKTS INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	03/30/11	04/14/11	2 255 42	2,221 84		33 58
125000040	511	ISHARES MSCI EMERGING MKTS INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	03/30/11	04/28/11	25 322 47	24,681 71		640 76
125000050	729	ISHARES MSCI EMERGING MKTS INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	07/05/11	08/02/11	33,383 18	35,095 30	(1,712 12)	
125000060	843	ISHARES MSCI EMERGING MKTS INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	10/27/11	11/17/11	32,281 14	35,831 97	(3,550 83)	
125000070	1 767 460	ISHARES RUSSELL 2000 INDEX FD TRANSFERRED FROM 523-39430-2	10/12/10 10/14/10 11/26/10	01/18/11	80 11 61,447 49 36 852 47	68 73 54,094 36 33,812 71		11 38 7,353 13 3,039 76
125000080	145	ISHARES RUSSELL 2000 INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	03/25/11	04/14/11	11 933 63	11,998 10	(64 47)	
125000090	855	ISHARES RUSSELL 2000 INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	03/25/11	04/27/11	73,086 04	70,747 40		2,338 64
125000100	155 675	ISHARES RUSSELL 2000 INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	03/25/11 03/28/11	05/02/11	13,300 98 57,923 60	12,825 55 55,542 65		475 43 2,380 95
125000110	484	ISHARES RUSSELL 2000 INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	10/17/11	10/20/11	33 626 17	33 886 24	(260 07)	
125000120	241	ISHARES RUSSELL 2000 INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	10/27/11	11/23/11	16,335 70	18 259 39	(1,923 69)	

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Ref 00012703 00105670

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Short Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000130	6	ISHARES RUSSELL 2000 INDEX FD PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	10/27/11	12/02/11	\$ 441 66	\$ 454 59	(\$ 12 93)	
125000140	52	ISHARES RUSSELL 2000 INDEX FD FIFOPECTUS ENCLOSED	10/27/11	12/15/11	3,735 60	3,939 79	(204 19)	
125000150	302	POWERSHARES QQQ TR SER 1 PROSPECTUS ENCLOSED CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-39430-2	07/19/11	08/04/11	16 697 01	17 750 77	(1,053 76)	
125000160	298	POWERSHARES QQQ TR SER 1 PROSPECTUS ENCLOSED CGMI AND/OR ITS AFFILIATES TRANSFERRED FROM 523-39430-2	07/19/11	08/15/11	16,108 97	17 515 67	(1,406 70)	
125000170	706	PROSHARES UL TRASHORT S&P500 PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	08/18/11	08/23/11	18,431 96	18 340 19		91 77
125000180	479	PROSHARES UL TRASHORT S&P500 PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	09/01/11	09/12/11	12,091 25	11,009 43		1 081 82
125000190	228	PROSHARES UL TRASHORT S&P500 PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	09/01/11	09/14/11	5,213 27	5 240 40	(27 13)	
125000200	41 685	PROSHARES UL TRASHORT S&P500 PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	09/01/11 09/08/11	09/15/11	939 79 15,701 41	942 35 16 144 49	(2 56) (443 08)	
125000210	6 445	SPDR S&P 500ETF TRUST TRANSFERRED FROM 523-39430-2	09/28/10 11/04/10	02/23/11	786 08 58,301 27	685 25 54,187 69		100 83 4 113 58
125000220	158 134 431	SPDR S&P 500ETF TRUST TRANSFERRED FROM 523-39430-2	11/04/10 12/03/10 01/18/11	03/14/11	20 476 71 17 366 32 55 857 34	19,239 68 16 366 48 55,725 80		1 237 03 999 84 131 54
125000230	288	SPDR S&P 500ETF TRUST TRANSFERRED FROM 523-39430-2	01/18/11	03/15/11	36,529 04	37 236 73	(707 69)	
125000240	103	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	01/18/11	04/14/11	13,521 79	13 317 30		204 49

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Ref 0012703 00105671

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Short Term Gain (Loss) 2011 - continued

2 0 1 1 Y E A R E N D S U M M A R Y									
Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain	
125000250	188 339	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	01/18/11 02/01/11	05/05/11	\$ 25,191 89 45,425 80	\$ 24,307 31 44,044 81		\$ 884 58 1,380 99	
125000260	94 168	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	02/01/11 03/24/11	05/09/11	12,615 92 22,547 60	12,213 02 21,953 79		402 90 593 81	
125000270	262	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	03/24/11	05/16/11	34,970 90	34,237 45		733 45	
125000280	4 261	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	03/24/11 04/27/11	05/20/11	534 92 34,903 24	522 71 35,324 29	(421 05)	12 21	
125000290	260 117	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	04/27/11 04/28/11	06/06/11	33,822 74 15,220 24	35,188 94 15,895 71	(1,366 20) (675 47)		
125000300	144 251	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	04/28/11 05/02/11	06/07/11	18,668 92 32,540 97	19,563 95 34,261 68	(895 03) (1,720 71)		
125000310	263	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	05/02/11	06/23/11	33,514 47	35,899 68	(2,385 21)		
125000320	12 260 269 130	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	05/02/11 06/01/11 06/21/11 06/29/11	07/12/11	1,582 84 34,294 77 35,481 90 17,147 38	1,638 01 34,968 05 34,833 21 16,981 48	(55 17) (673 28)	648 69 165 90	
125000330	393 130	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRADE AS OF 07/13/11 TRANSFERRED FROM 523-39430-2	06/29/11 06/30/11	07/13/11	51,868 16 17,157 41	51,336 34 17,148 65		531 82 8 76	
125000340	263	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	06/30/11	07/15/11	34,491 36	34,693 04	(201 68)		
125000350	262	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	06/30/11	07/18/11	34,075 16	34,561 13	(485 97)		
125000360	256	SPDR S&P 500ETF TRUST PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	06/30/11	07/27/11	33,549 74	33,769 65	(219 91)		

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Ref 00012703 00105672

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Short Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000370	7	SPDR S&P 500ETF TRUST	06/30/11	07/29/11	\$ 901 61	\$ 923 39	(\$ 21 78)	
	254	PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	07/21/11		32,715 61	34,169 32	(1,453 71)	
125000380	421	SPDR S&P 500ETF TRUST	10/10/11	11/01/11	51,269 48	49,995 90		1,273 58
		PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2						
125000390	21	SPDR S&P 500ETF TRUST	10/10/11	11/21/11	2,508 70	2 493 86		14 84
	247	PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	10/24/11		29,507 14	30,829 30	(1,322 16)	
125000400	137	SPDR S&P 500ETF TRUST	10/10/11	11/21/11	16,303 65	16,269 45		34 20
		PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2						
125000410	132	SPDR S&P 500ETF TRUST	10/10/11	11/21/11	15,771 59	15,675 67		95 92
		PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2						
125000420	137	SPDR S&P 500ETF TRUST	10/24/11	11/22/11	16 285 19	17 099 66	(814 47)	
		PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2						
125000430	147	SPDR S&P 500ETF TRUST	12/01/11	12/14/11	17,904 42	18 351 23	(446 81)	
	352	PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	11/30/11		42,873 16	43 745 72	(872 56)	
125000440	124	SPDR S&P 500ETF TRUST	12/01/11	12/15/11	15,198 63	15 479 95	(281 32)	
		FIFO FIFOENCL ENCLOSED						
125000450	136	SPDR DOW JONES INDL AVG ETF	07/01/11	08/04/11	15,776 13	16,981 73	(1,205 60)	
		PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2						
125000460	145	SPDR DOW JONES INDL AVG ETF	07/01/11	08/15/11	16 513 38	18,105 53	(1,592 15)	
		PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2						
125000470	145	SPDR DOW JONES INDL AVG ETF	11/14/11	11/23/11	16,370 04	17 503 40	(1,133 36)	
		PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2						
125000480	4	SPDR DOW JONES INDL AVG ETF	11/14/11	12/02/11	481 43	482 85	(1 42)	
		PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2						

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2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Short Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000490	32	SPDR DOW JONES INDL AVG ETF FIFO	11/14/11	12/15/11	\$ 3,813 36	\$ 3,862 82	(\$ 49 46)	
125000500	12	MATERIALS SELECT SECTOR SPDR FUND	03/30/11	04/14/11	468 61	477 77	(9 16)	
125000510	132	PROSPECTUS ENCLOSED TRANSFERRED FROM 523-39430-2	03/30/11	04/28/11	5,377 98	5,255 42		122 56
125000520	251	SELECT SECTOR SPDR-ENERGY TRANSFERRED FROM 523-39430-2	02/23/11	03/15/11	18,439 96	19,551 90	(1,111 94)	
					\$ 1,581,953 87	\$ 1,581,686 16	(\$ 30,871 03)	\$ 31,138.74

2 0 1 1 Y E A R E N D S U M M A R Y

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2011 Year End Summary

Ref 00012709 00105745

CHARLES W ROSENBAUM FOUNDATION
Account Number

2011
NRA tax withheld

YEAR END SUMMARY

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	15 667	FIRST EAGLE GLOBAL FUND CLASS I CONFIRM #500011080291109 TRANSFERRED FROM 523-39431-0	10/04/10	04/18/11	\$ 750 00	\$ 676 81		\$ 73 19
125000030	28 902	OPPENHEIMER DEVELOPING MKTS CL Y FDS CONFIRM #500010820128266 TRANSFERRED FROM 523-39431-0	10/04/10	03/23/11	1,000 00	972 55		27 45
125000040	19 635	OPPENHEIMER DEVELOPING MKTS CL Y FDS CONFIRM #500011080290762 TRANSFERRED FROM 523-39431-0	10/04/10	04/18/11	700 00	660 72		39 28
125000050	55 432	OPPENHEIMER DEVELOPING MKTS CL Y FDS CONFIRM #500011820396796 TRANSFERRED FROM 523-39431-0	10/04/10	07/01/11	2,000 00	1,865 29		134 71
Total					\$ 4,450 00	\$ 4,175 37		\$ 274 63

MorganStanley
SmithBarney

2011 Year End Summary

Ref 00012709 00105746

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Long Term Gain (Loss) 2011

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000020	85 671	FIRST EAGLE GLOBAL FUND CLASS I CONFIRM #500012980205033 TRANSFERRED FROM 523-39431-0	10/04/10	10/25/11	\$ 4,000 00	\$ 3,700 99		\$ 299 01
125000060	64 433	OPPENHEIMER DEVELOPING MKTS CL Y FDS CONFIRM #500012980205306 TRANSFERRED FROM 523-39431-0	10/04/10	10/25/11	2,000 00	2 168 17	(168 17)	
125000070	295 652	OPPENHEIMER DEVELOPING MKTS CL Y FDS CONFIRM #500013270132572 TRANSFERRED FROM 523-39431-0	10/04/10	11/23/11	8,500 00	9 948 69	(1,448 69)	
Total					\$ 14,500.00	\$ 15,817 85	(\$ 1,616.86)	\$ 299.01

2 0 1 1 Y E A R E N D S U M M A R Y

2011 Year End Summary

Ref 00012702 00105663

CHARLES W ROSENBAUM FOUNDATION
Account Number

2 0 1 1 - Y E A R - E N D S U M M A R Y

Details of Short Term Gain (Loss) 2011

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included on Form 1099-B (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000090	2,000	LASERCARD CORP SBX = H1	06/03/10	01/13/11	\$ 12,459 78	\$ 9,419 20		\$ 3,040 58
		SBX CONNECTIVITY BUSINESS TRANSFERRED FROM 523-37115-1						
Total					\$ 12,459 78	\$ 9,419 20		\$ 3,040 58

MorganStanley
SmithBarney

2011 Year End Summary

Ref 00012702 00105664

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Long Term Gain (Loss) 2011

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Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	110	MAJESTIC CAPITAL LTD NEW	09/28/07	03/24/11	\$ 73 69	\$ 6,928 02	(\$ 6,854 33)	
	60	SBX = H1	12/13/07		40 20	4,080 00	(4,039 80)	
		SBX CONNECTIVITY BUSINESS						
		TRANSFERRED FROM 523-37115-1						
125000020	25	BBCN BANCORP INC	10/25/07	11/30/11	2 32	4 12	(1 80)	
		MERGER 11/30/11 15146E 102000						
		TRANSFERRED FROM 523-37115-1						
125000030	600	CHINA FIRE & SEC GROUP INC	03/14/08	06/26/11	5,011 64	4,650 36		361 28
		CGMI AND/OR ITS AFFILIATES						
		TRANSFERRED FROM 523-37115-1						
125000040	1,500	CHINA INDL WASTE MGMT INC	04/21/08	10/21/11	539 98	4,500 00	(3,960 02)	
		SBX = H1						
		SBX CONNECTIVITY BUSINESS						
		TRANSFERRED FROM 523-37115-1						
125000050	800	CIBER INC	06/09/09	04/15/11	4,907 02	2,494 56		2,412 46
		TRANSFERRED FROM 523-37115-1						
125000060	1,000	CIBER INC	06/09/09	05/03/11	6,275 07	3,118 20		3,156 87
		TRANSFERRED FROM 523-37115-1						
125000070	200	IMAX CORPORATION CAD	09/28/07	01/05/11	5 663 72	838 28		4 825 44
		SBX = H1						
		SBX CONNECTIVITY BUSINESS						
		TRANSFERRED FROM 523-37115-1						
125000080	100	IMAX CORPORATION CAD	09/28/07	03/25/11	3,187 99	419 14		2,768 85
		SBX = H1						
		SBX CONNECTIVITY BUSINESS						
		TRANSFERRED FROM 523-37115-1						
125000100	1,200	MANITEX INTL INC	07/23/09	03/22/11	7,406 85	1,032 00		6,374 85
		TRANSFERRED FROM 523-37115-1						
125000110	800	MANITEX INTL INC	07/23/09	04/04/11	4,823 42	688 00		4,135 42
		SBX = H1						
		SBX CONNECTIVITY BUSINESS						
		TRANSFERRED FROM 523-37115-1						
Total					\$ 37,931 90	\$ 28,752 68	(\$ 14,855 95)	\$ 24,035 17

2 0 1 1 Y E A R E N D S U M M A R Y

MorganStanley SmithBarney

2011 Year End Summary

Ref 00012701 00105646

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Short Term Gain (Loss) 2011

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Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	45	DEUTSCHE BANK-EUR	08/24/10	02/18/11	\$ 2,924 04	\$ 2,858 95		\$ 65 09
	15	MorganStanley SmithBarney LLC acted as your agent	09/08/10		974 68	919 51		55 17
		TRANSFERRED FROM 523-35292-0						
125000020	45	DEUTSCHE BANK-EUR	09/08/10	02/28/11	2 835 26	2,758 51		76 75
	45	MorganStanley SmithBarney LLC acted as your agent	10/08/10		2,835 27	2 066 26		769 01
		TRANSFERRED FROM 523-35292-0						
125000050	0254	CEMEX S A B DE C V SPONS	04/15/10	03/31/11	23	25	(02)	
	0254	ADR NEW	04/22/10		23	25	(02)	
	0508	CASH IN LIEU OF 84000	05/17/10		46	51	(05)	
	0815	TRANSFERRED FROM 523-35292-0	06/29/10		78	73	(05)	
	1358		07/30/10		1 22	1 23	(01)	
	0299		08/06/10		27	27		
	0299		08/10/10		27	27		
	0299		08/11/10		27	26		01
	0272		08/18/10		24	23		01
	0273		08/20/10		25	22		03
125000060	725	CENTRAIS ELETRICAS	02/25/11	02/25/11	9 99	01		9 98
		BRASILEIRAS SPON ADR						
		SALE OF RTS ON 725 0000 SHS						
		TRANSFERRED FROM 523-35292-0						
125000180	305	INTESA SANPAOLO S P A	06/20/11	06/20/11	224 67	01		224 66
		SPONSORED ADR						
		SALE OF RTS ON 305 0000 SHS						
		TRANSFERRED FROM 523-35292-0						
125000300	10	SWISS REINSURANCE CO-SP	05/21/10	04/07/11	617 57	403 48		214 09
	60	ADR	06/08/10		3 705 40	2,399 11		1,306 29
	80	MorganStanley SmithBarney LLC	06/16/10		4,940 53	3,487 37		1,453 16
	70	TRANSFERRED FROM 523-35292-0	07/19/10		4,322 96	3,113 03		1,209 93
125000330	170	TELE NORTE LESTE	04/08/11	04/08/11	16	01		15
		PARTICIPACOEES *TLPP-BRL						
		SPONSORED ADR REPSTG PFD						
		TRANSFERRED FROM 523-35292-0						

2 0 1 1 Y E A R E N D S U M M A R Y

MorganStanley SmithBarney

2011 Year End Summary

Ref 00012701 00105647

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Short Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000400	84	TIM PARTICIPACOE S A-BRL SPONS ADR REPSTG PFD SALE OF RTS ON 84 0000 SHS TRANSFERRED FROM 523-35292-0	05/26/11	05/26/11	\$ 07	\$ 01		\$ 06
Total					\$ 23,394 77	\$ 18,010 53	(\$ 15)	\$ 5,384 39

Details of Long Term Gain (Loss) 2011

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Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000030	340	ALCATEL-LUCENT ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	03/09/05	07/05/11	\$ 2,024 18	\$ 4,607 61	(\$ 2,583 43) C	
125000040	20	CANON INC ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	05/14/09	08/17/11	935 87	665 01		270 86
125000050	3515 0254	CEMEX S A B DE C V SPONS ADR NEW CASH IN LIEU OF 84000 TRANSFERRED FROM 523-35292-0	11/17/09 11/27/09	03/31/11	3 17 23	3 79 26	(62) (03)	
125000070	30	DEUTSCHE TELEKOM AG SP ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	02/23/07	04/20/11	485 25	544 87	(59 62)	
125000080	70	DEUTSCHE TELEKOM AG SP ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	02/23/07	06/23/11	1 054 86	1,271 38	(216 52)	

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MorganStanley SmithBarney

Ref 00012701 00105648

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Long Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000090	160	DEUTSCHE TELEKOM AG SP ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	02/23/07	12/05/11	\$ 1,987 48	\$ 2,906 00	(\$ 918 52)	
125000100	140	ENI SPA SPONSORED ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	03/22/10	11/25/11	5,415 48	6,454 39	(1,038 91)	
125000110	105	ERICSSON L M TEL CO CL B ADR NEW -USD. MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	02/13/08	05/13/11	1,565 52	1,139 29		426 23
125000120	30 40	ERICSSON L M TEL CO CL B ADR NEW -USD. MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	02/13/08 11/06/08	05/20/11	450 56 600 74	325 51 274 79		125 05 325 95
125000130	70	ERICSSON L M TEL CO CL B ADR NEW -USD. MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	11/06/08	07/07/11	1,021 90	480 88		541 02
125000140	100 10	FUJI HEAVY INDUSTRIES ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	09/26/07 10/05/07	01/12/11	8,404 41 840 44	4,225 40 455 13		4,179 01 385 31
125000150	15 25	GLAXOSMITHKLINE PLC SP ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	06/04/07 08/08/07	09/19/11	607 26 1,012 10	775 19 1,338 52	(167 93) (326 42)	
125000160	40	GLAXOSMITHKLINE PLC SP ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	08/08/07	10/06/11	1 680 05	2,141 64	(461 59)	
125000170	30	GLAXOSMITHKLINE PLC SP ADR	08/08/07	12/16/11	1 350 09	1 606 23	(256 14)	
125000190	500	KINGFISHER PLC SPONSORED ADR NEW MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	09/26/07	11/25/11	3,744 92	3,540 70		204 22

2 0 1 1 Y E A R E N D S U M M A R Y

MorganStanley
SmithBarney

2011 Year End Summary

Ref 00012701 00105649

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Long Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000200	40	NIPPON TEL & TEL SPON ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	03/28/05	10/14/11	\$ 996 21	\$ 885 38		\$ 110 83 C
125000210	10	NIPPON TEL & TEL SPON ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	03/28/05	12/02/11	246 81	221 34		25 47 C
	10	MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	07/13/07		246 81	221 37		25 44
125000220	60	NIPPON TEL & TEL SPON ADR	07/13/07	12/16/11	1,502 53	1,328 21		174 32
125000230	60	NOKIA CORP SPONSORED ADR	01/15/09	10/24/11	400 44	813 12	(412 68)	
	240	MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	04/07/09		1 601 75	3,018 43	(1,416 68)	
125000240	210	NOKIA CORP SPONSORED ADR	09/15/09	11/04/11	1,427 95	3,256 72	(1 828 77)	
	385	MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	10/20/09		2 617 91	5,199 31	(2,581 40)	
125000250	135	PROMISE CO LTD-UNSPON ADR	11/13/06	02/18/11	691 50	2,409 05	(1,717 55)	
	65	MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	03/09/07		332 94	1,026 74	(693 80)	
125000260	110	PROMISE CO LTD-UNSPON ADR	03/09/07	08/22/11	387 94	1,737 56	(1,349 62)	
	35	MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	03/16/07		123 44	568 45	(445 01)	
	420	acted as your agent	04/25/07		1,481 23	7,290 11	(5 808 88)	
	150	TRANSFERRED FROM 523-35292-0	05/09/07		529 00	2,480 90	(1,951 90)	
125000270	240	SANOFI SPONS ADR	11/09/06	11/25/11	7,634 73	10,270 75	(2,636 02)	
	40	MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	02/07/07		1 272 45	1,773 90	(501 45)	
	10	acted as your agent	02/09/07		318 11	436 17	(118 06)	
	55	TRANSFERRED FROM 523-35292-0	02/22/07		1,749 63	2,408 28	(658 65)	
125000280	40	STMICROELECTRONICS N V SHS- N Y REGISTRY MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	07/06/06	02/02/11	494 73	646 16	(151 43) C	
125000290	40	STMICROELECTRONICS N V SHS- N Y REGISTRY MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	07/06/06	02/17/11	511 63	646 16	(134 53) C	

2 0 1 1 Y E A R E N D S U M M A R Y

MorganStanley SmithBarney

Ref 00012701 00105650

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Long Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000300	5	SWISS REINSURANCE CO-SP ADR MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	02/12/10	04/07/11	\$ 308 78	\$ 204 57		\$ 104 21
125000310	10	SWISSCOM AG SPONS ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	06/18/07	03/17/11	436 64	343 60		93 04
125000320	15	SWISSCOM AG SPONS ADR MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	06/18/07	10/05/11	596 16	515 40		80 76
125000340	250	TELECOM ARGENTINA S A ADR MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	05/30/01	01/21/11	6,675 27	3,818 60		2,856 67 C
125000350	45	TELECOM CORP NEW ZEALAND LTD SPONSORED ADR MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	05/07/01	08/29/11	520 71	908 90	(388 19) C	
125000360	249	TELECOM CORP NEW ZEALAND LTD SPONSORED ADR MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	05/07/01	09/16/11	2 620 19	5 029 27	(2,409 08) C	
125000370	85	TELECOMUNICACOES BRASILEIRAS SA TELEBRAS MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	04/25/01	03/02/11	630 68	2,505 96	(1,875 28) C	
125000380	3147 0271 0968 0171 0199 0911 0598 0313 0085 2337	TELECOMUNICACOES DE SAO PAULO-BRL MERGER 06/13/11 92855S200001 TRANSFERRED FROM 523-35292-0	12/15/03 09/13/04 01/14/05 03/13/01 04/25/01 09/11/98 08/05/99 10/25/00 11/14/00 09/11/09	06/13/11	8 75 75 2 69 47 55 2 53 1 66 87 24 6 52	2 77 28 1 16 76 66 1 58 1 32 1 54 42 3 47		5 98 C 47 C 1 53 C (29) C (11) C 95 C 34 C (67) C (18) C 3 05

2 0 1 1 Y E A R E N D S U M M A R Y

2011 Year End Summary

CHARLES W ROSENBAUM FOUNDATION
Account Number

Details of Long Term Gain (Loss) 2011 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000390	250	TELEFONOS DE MEXICO SP ADR SPONSORED ADR REPSTG SH SR L MorganStanley SmithBarney LLC TRANSFERRED FROM 523-35292-0	03/06/98	10/07/11	\$ 3,859.00	\$ 1,779.58		\$ 2,079.42 ^c
125000410	1156	TIM PARTICIPACOE SA ADR	08/23/04	08/08/11	2.84	89		1.95 ^c
	0079	MERGER 08/08/11 88706P106001	03/13/01		19	37	(18) ^c	
	0092	TRANSFERRED FROM 523-35292-0	04/25/01		23	32	(09) ^c	
	0421		09/11/98		1.03	78		25 ^c
	0276		08/05/99		68	65		03 ^c
	0145		10/25/00		36	75	(39) ^c	
	0039		11/14/00		10	21	(11) ^c	
125000420	120	UNILEVER NV NY SHS-NEW MorganStanley SmithBarney LLC acted as your agent TRANSFERRED FROM 523-35292-0	06/07/06	11/25/11	3,778.96	2,654.15		1,124.81 ^c
Total					\$ 77,209.10	\$ 97,172.66	(\$ 33,110.73)	\$ 13,147.17

^c Based on information supplied by Client or other financial institution not verified by us.

2011 YEAR END SUMMARY

FORM 990-PF		DIVIDENDS AND INTEREST FROM SECURITIES		STATEMENT	1
SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT		
MORGAN STANLEY POWERSHARES DB COMMODITY INDEX TRACKING FD	157,635. 91.	13,998. 0.	143,637. 91.		
TOTAL TO FM 990-PF, PART I, LN 4	157,726.	13,998.	143,728.		

FORM 990-PF		OTHER INCOME		STATEMENT	2
DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME		
MUTUAL FUND FEE INCOME	844.	844.			
OTHER INVESTMENT INCOME	-5,480.	-5,480.			
TOTAL TO FORM 990-PF, PART I, LINE 11	-4,636.	-4,636.			

FORM 990-PF		OTHER PROFESSIONAL FEES		STATEMENT	3
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT ADVISORY FEES	46,989.	46,989.		0.	
TO FORM 990-PF, PG 1, LN 16C	46,989.	46,989.		0.	

FORM 990-PF		TAXES		STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
EXCISE TAX	560.	0.		0.	
FOREIGN TAX EXPENSE	5,401.	5,401.		0.	
TO FORM 990-PF, PG 1, LN 18	5,961.	5,401.		0.	

FORM 990-PF	OTHER EXPENSES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
MISCELLANEOUS EXPENSES	1,460.	0.		0.	
TO FORM 990-PF, PG 1, LN 23	1,460.	0.		0.	

FORM 990-PF	CORPORATE STOCK		STATEMENT	6
DESCRIPTION	BOOK VALUE		FAIR MARKET VALUE	
MORGANSTANLEY SMITH BARNEY - 43J-02994-10 402	110,820.		306,375.	
MORGANSTANLEY SMITH BARNEY - 43J-02998-16 402	92,017.		115,768.	
MORGANSTANLEY SMITH BARNEY - 43J-02987-19 402	615,176.		470,379.	
MORGANSTANLEY SMITH BARNEY - 43J-02996-18 402	1,681,965.		1,647,388.	
MORGANSTANLEY SMITH BARNEY - 43J-02989-17 402	500,877.		534,405.	
MORGANSTANLEY SMITH BARNEY - 43J-02997-17 402	1,008,379.		983,343.	
MORGANSTANLEY SMITH BARNEY - 43J-02990-14 402	73,443.		73,461.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	4,082,677.		4,131,119.	

FORM 990-PF	OTHER INVESTMENTS		STATEMENT	7
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE	
POWERSHARES DB COMMODITY IDX TRACKING FD	COST	208,579.	206,400.	
TOTAL TO FORM 990-PF, PART II, LINE 13		208,579.	206,400.	

Application for Extension of Time To File an Exempt Organization Return

OMB No 1545-1709

► **File a separate application for each return.**

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

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

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

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

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete

Part I only

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

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions. CHARLES W. ROSENBAUM FOUNDATION, INC.	Employer identification number (EIN) or ☒ 61-1293806
	Number, street, and room or suite no. If a P.O. box, see instructions. P.O. BOX 32427	Social security number (SSN) ☐
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. LOUISVILLE, KY 40232-2427	

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

04

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

MICHAEL D. RUDD, MANAGER

- The books are in the care of ► **4344 POPLAR LEVEL RD. - LOUISVILLE, KY 40213**

Telephone No. ► **502-456-4050**

FAX No. ►

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

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until **AUGUST 15, 2012**, to file the exempt organization return for the organization named above. The extension

is for the organization's return for:

► ☒ calendar year **2011** or

► ☐ tax year beginning , and ending

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

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	\$	1,064.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	\$	1,400.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	\$	0.

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

LHA **For Privacy Act and Paperwork Reduction Act Notice, see Instructions.**

Form **8868** (Rev. 1-2012)

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

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

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

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

Enter filer's identifying number, see instructions

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions	Employer identification number (EIN) or
	CHARLES W. ROSENBAUM FOUNDATION, INC.	☒ 61-1293806
	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	P.O. BOX 32427	☐
	City, town or post office, state, and ZIP code For a foreign address, see instructions.	
	LOUISVILLE, KY 40232-2427	

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

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

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

MICHAEL D. RUDD, MANAGER

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Telephone No. ☒ 502-456-4050

FAX No. ☐

- If the organization does not have an office or place of business in the United States, check this box ☐

- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ☐ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

4 I request an additional 3-month extension of time until NOVEMBER 15, 2012.

5 For calendar year 2011, or other tax year beginning , and ending

6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return

☐ Change in accounting period

7 State in detail why you need the extension

ADDITIONAL TIME IS NEEDED TO GATHER INFORMATION TO PREPARE A COMPLETE AND ACCURATE RETURN.

8a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	8a	\$	1,028.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	1,400.
c Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	8c	\$	0.

Signature and Verification must be completed for Part II only.

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

Signature ☐

Title ☒ PRESIDENT

Date ☐

Form 8868 (Rev. 1-2012)