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Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

2011

For calendar year 2011 or tax year beginning , and ending

Name of foundation

THE KATHRYN CARELL BROWN FOUNDATION

A Employer identification number

62-6314878

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

4420 FORSYTHE PLACE

B Telephone number

(615) 463-2424

City or town, state, and ZIP code

NASHVILLE, TN 37205

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) ▶$ 3,162,092.

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

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)
Revenue	1 Contributions, gifts, grants, etc., received	1,825.		N/A	
	2 Check ▶ ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	137.	137.		STATEMENT 1
	4 Dividends and interest from securities	92,130.	92,130.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	161,851.			
	b Gross sales price for all assets on line 6a 2,499,662.				
	7 Capital gain net income (from Part IV, line 2)		161,851.		
	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				
	12 Total. Add lines 1 through 11	255,943.	254,118.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0.	0.		0.
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees				
	b Accounting fees STMT 3	1,825.	0.		1,825.
	c Other professional fees STMT 4	11,392.	11,392.		0.
	17 Interest				
	18 Taxes STMT 5	5,680.	5,680.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses				
	24 Total operating and administrative expenses. Add lines 13 through 23	18,897.	17,072.		1,825.
	25 Contributions, gifts, grants paid	1,012,195.			1,012,195.
	26 Total expenses and disbursements. Add lines 24 and 25	1,031,092.	17,072.		1,014,020.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-775,149.			
	b Net investment income (if negative, enter -0-)		237,046.		
	c Adjusted net income (if negative, enter -0-)			N/A	

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	105,358.	725,980.	725,980.
	3 Accounts receivable ▶ 7.			
	Less: allowance for doubtful accounts ▶		7.	
	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			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock STMT 6	2,182,376.	849,914.	894,638.
	c Investments - corporate bonds STMT 7	1,597,493.	1,419,177.	1,430,964.
	11 Investments - land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 8	0.	115,000.	110,510.
	14 Land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers)	3,885,227.	3,110,078.	3,162,092.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27 Capital stock, trust principal, or current funds	0.	0.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	3,885,227.	3,110,078.	
	30 **Total net assets or fund balances**	3,885,227.	3,110,078.	
	31 **Total liabilities and net assets/fund balances**	3,885,227.	3,110,078.	

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	3,885,227.
2	Enter amount from Part I, line 27a	2	-775,149.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	3,110,078.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	3,110,078.

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 STATEMENT			
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	2,499,662.		2,337,811.	161,851.

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				
b				
c				
d				
e				161,851.

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	161,851.
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	126,815.	3,792,637.	.033437
2009	155,553.	3,920,168.	.039680
2008	174,033.	3,990,192.	.043615
2007	124,745.	3,392,584.	.036770
2006	101,329.	816,552.	.124094

2	**Total** of line 1, column (d)	2	.277596
3	Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	.055519
4	Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	4	3,266,847.
5	Multiply line 4 by line 3	5	181,372.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	2,370.
7	Add lines 5 and 6	7	183,742.
8	Enter qualifying distributions from Part XII, line 4	8	1,014,020.

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 ▶ [X] and enter 1% of Part I, line 27b	1	2,370.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3	Add lines 1 and 2	3	2,370.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	2,370.
6	Credits/Payments:		
a	2011 estimated tax payments and 2010 overpayment credited to 2011 — 6a: 3,000.		
b	Exempt foreign organizations - tax withheld at source — 6b:		
c	Tax paid with application for extension of time to file (Form 8868) — 6c:		
d	Backup withholding erroneously withheld — 6d:		
7	Total credits and payments. Add lines 6a through 6d	7	3,000.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	630.
11	Enter the amount of line 10 to be: **Credited to 2012 estimated tax** ▶ 630. **Refunded** ▶	11	0.

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		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*	1b		X
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0.			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0.			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities*	2		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		X
b	If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col. (c), and Part XV*	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ TN			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation*	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV)? *If "Yes," complete Part XIV*	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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

			Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see 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?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ LATTIMORE BLACK MORGAN & CAIN, PC Telephone no. ▶ 615-377-4600

Located at ▶ 5250 VIRGINIA WAY, SUITE 400, BRENTWOOD, TN ZIP+4 ▶ 37027

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

			Yes	No
16	At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? 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		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)? N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011?	1c		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

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
KATHRYN CARELL BROWN 4420 FORSYTHE PLACE NASHVILLE, TN 37205	CO-TRUSTEE 0.00	0.	0.	0.
DAVID H. BROWN 4420 FORSYTHE PLACE NASHVILLE, TN 37205	CO-TRUSTEE 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

Form **990-PF** (2011)

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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.

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	3,207,096.
b	Average of monthly cash balances		1b	109,500.
c	Fair market value of all other assets		1c	
d	**Total** (add lines 1a, b, and c)		1d	3,316,596.
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	3,316,596.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	49,749.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	3,266,847.
6	**Minimum investment return.** Enter 5% of line 5		6	163,342.

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	163,342.
2a	Tax on investment income for 2011 from Part VI, line 5	2a 2,370.		
b	Income tax for 2011. (This does not include the tax from Part VI.)	2b		
c	Add lines 2a and 2b		2c	2,370.
3	Distributable amount before adjustments. Subtract line 2c from line 1		3	160,972.
4	Recoveries of amounts treated as qualifying distributions		4	0.
5	Add lines 3 and 4		5	160,972.
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	160,972.

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	1,014,020.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,014,020.
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	2,370.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	1,011,650.

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				160,972.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only			0.	
b Total for prior years: _____, _____, _____		0.		
3 Excess distributions carryover, if any, to 2011:				
a From 2006 57,688.				
b From 2007 32,809.				
c From 2008				
d From 2009				
e From 2010				
f Total of lines 3a through e	90,497.			
4 Qualifying distributions for 2011 from Part XII, line 4: ▶ $ 1,014,020.				
a Applied to 2010, but not more than line 2a			0.	
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				160,972.
e Remaining amount distributed out of corpus	853,048.			
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	943,545.			
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				0.
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	57,688.			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	885,857.			
10 Analysis of line 9:				
a Excess from 2007 32,809.				
b Excess from 2008				
c Excess from 2009				
d Excess from 2010				
e Excess from 2011 853,048.				

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)

2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year (a) 2011	Prior 3 years (b) 2010	(c) 2009	(d) 2008	(e) Total
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon: a "Assets" alternative test - enter: (1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 **Information Regarding Foundation Managers:**

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

KATHRYN CARELL BROWN

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

NONE

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

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

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

KATHRYN BROWN, 615-463-2424
95 WHITE BRIDGE ROAD, SUITE 514, NASHVILLE, TN 37205

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

SEE THE ATTACHED "APPLICATION FOR GRANT FUNDS"

c Any submission deadlines:

SEE THE ATTACHED "APPLICATION FOR GRANT FUNDS"

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

SEE THE ATTACHED "APPLICATION FOR GRANT FUNDS"

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*				
CATHEDRAL OF THE INCARNATION 2015 WEST END AVENUE NASHVILLE, TN 37203	NONE	RELIGIOUS	GENERAL OPERATING EXPENSE TO FURTHER CHARITABLE PURP	18,334.
CENTERSTONE 1101 SIXTH AVENUE NORTH NASHVILLE, TN 37208	NONE	PUBLIC CHARITY	GENERAL OPERATING EXPENSE TO FURTHER CHARITABLE PURP	20,000.
KIDS ACADEMY 9 RICHARDSON AVENUE NASHVILLE, TN 37207	NONE	PUBLIC CHARITY	GENERAL OPERATING EXPENSE TO FURTHER CHARITABLE PURP	20,000.
NASHVILLE ZOO 3777 NOLENSVILLE ROAD NASHVILLE, TN 37211	NONE	PUBLIC CHARITY	GENERAL OPERATING EXPENSE TO FURTHER CHARITABLE PURP	10,000.
VANDERBILT UNIVERSITY 2301 VANDERBILT PLACE NASHVILLE, TN 37240-7727	NONE	PUBLIC CHARITY	GENERAL OPERATING EXPENSE TO FURTHER CHARITABLE PURP	333,333.
Total SEE CONTINUATION SHEET(S)			▶ 3a	1,012,195.
b *Approved for future payment*				
NONE				
Total			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclu-sion code	(d) Amount	Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	137.	
4 Dividends and interest from securities			14	92,130.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	161,851.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		254,118.	0.
13 Total. Add line 12, columns (b), (d), and (e)				13	254,118.

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

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

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

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

▶ Kathy C Brown — 5-9-12 — ▶ Trustee

Signature of officer or trustee — Date — Title

May the IRS discuss this return with the preparer shown below (see instr)? ☒ Yes ☐ No

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
MELISSA B. COTHRAN	Melissa B Cothran CPA	5/9/12		P00368963

Firm's name ▶ LATTIMORE BLACK MORGAN & CAIN, P.C. — Firm's EIN ▶ 62-1199757

Firm's address ▶ P.O. BOX 1869, BRENTWOOD, TN 37024-1869 — Phone no. (615)377-4600

Form **990-PF** (2011)

123622
12-02-11

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

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
THE ENSWORTH SCHOOL 7401 HIGHWAY 100 NASHVILLE, TN 37221	NONE	PUBLIC CHARITY	GENERAL OPERATING EXPENSE TO FURTHER CHARITABLE PURP	604,028.
CAMP WIDJIWAGAN 3088 SMITH SPRINGS RD ANTIOCH, TN 37013	NONE	PUBLIC CHARITY	GENERAL OPERATING EXPENSE TO FURTHER CHARITABLE PURP	5,000.
DIOCESE OF NASHVILLE 2400 21ST AVE SOUTH NASHVILLE, TN 37212	NONE	RELIGIOUS	GENERAL OPERATING EXPENSE TO FURTHER CHARITABLE PURP	1,500.
Total from continuation sheets				610,528.

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	GOLDMAN SACHS #54301-4 (SEE ATTACHMENT 1)	P	VARIOUS	VARIOUS
b	GOLDMAN SACHS #54301-4 (SEE ATTACHMENT 1)	P	VARIOUS	VARIOUS
c	GOLDMAN SACHS #54302-2 (SEE ATTACHMENT 2)	P	VARIOUS	VARIOUS
d	GOLDMAN SACHS #54302-2 (SEE ATTACHMENT 2)	P	VARIOUS	VARIOUS
e	GOLDMAN SACHS #54303-0 (SEE ATTACHMENT 3)	P	VARIOUS	VARIOUS
f	GOLDMAN SACHS #54303-0 (SEE ATTACHMENT 3)	P	VARIOUS	VARIOUS
g	SECURITIES LITIGATION PROCEEDS - EQUITABLE TRUST	P	VARIOUS	04/28/11
h	CAPITAL GAINS DIVIDENDS			
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	93,897.		83,477.	10,420.
b	1,846,548.		1,731,404.	115,144.
c	208,268.		202,497.	5,771.
d	119,511.		112,782.	6,729.
e	78,198.		77,869.	329.
f	139,098.		129,782.	9,316.
g	43.			43.
h	14,099.			14,099.
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				10,420.
b				115,144.
c				5,771.
d				6,729.
e				329.
f				9,316.
g				43.
h				14,099.
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	161,851.
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

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	AMOUNT
GOLDMAN SACHS #54173-7	42.
GOLDMAN SACHS #54301-4	78.
GOLDMAN SACHS #54302-2	7.
GOLDMAN SACHS #54303-0	10.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	137.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
GOLDMAN SACHS #54301-4	99,610.	14,098.	85,512.
GOLDMAN SACHS #54302-2	4,150.	1.	4,149.
GOLDMAN SACHS #54303-0	2,469.	0.	2,469.
TOTAL TO FM 990-PF, PART I, LN 4	106,229.	14,099.	92,130.

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX PREPARATION FEES	1,825.	0.		1,825.
TO FORM 990-PF, PG 1, LN 16B	1,825.	0.		1,825.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TRUST & INVESTMENT FEES	11,392.	11,392.		0.
TO FORM 990-PF, PG 1, LN 16C	11,392.	11,392.		0.

FORM 990-PF TAXES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES GOLDMAN SACHS	783.	783.		0.
990 TAX - 2010	1,897.	1,897.		0.
990 ESTIMATED TAX - 2011	3,000.	3,000.		0.
TO FORM 990-PF, PG 1, LN 18	5,680.	5,680.		0.

FORM 990-PF CORPORATE STOCK STATEMENT 6

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
GOLDMAN SACHS #54301-4 - PUBLIC EQUITY	548,634.	594,732.
GOLDMAN SACHS #54302-2 - PUBLIC EQUITY	147,666.	143,898.
GOLDMAN SACHS #54303-0 - PUBLIC EQUITY	153,614.	156,008.
TOTAL TO FORM 990-PF, PART II, LINE 10B	849,914.	894,638.

FORM 990-PF CORPORATE BONDS STATEMENT 7

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
GOLDMAN SACHS #54301-4 - FIXED INCOME	1,419,177.	1,430,964.
TOTAL TO FORM 990-PF, PART II, LINE 10C	1,419,177.	1,430,964.

FORM 990-PF OTHER INVESTMENTS STATEMENT 8

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
GOLDMAN SACHS #54301-4 - OTHER	COST	115,000.	110,510.
TOTAL TO FORM 990-PF, PART II, LINE 13		115,000.	110,510.

THE KATHRYN CARELL BROWN FOUNDATION

APPLICATION FOR GRANT FUNDS

95 White Bridge Rd, Suite 514
Nashville, TN 37205

Applications for grant funds should be made using the following application form. All questions must be fully and completely answered for the application to be considered. Applications must be received at the above address on or before September 30. Grant awards will be made by December 31.

Only organizations determined to be not-for-profit and ruled tax exempt by the Internal Revenue Service under provisions of Section 501 (c)(3) of the Internal Revenue Code will be eligible for funds from the Foundation. Two (2) complete sets of the application must be provided to the Foundation for it to be considered.

1. Date of Application_____

2 Name of Applicant_____

3. Address_____
_____
_____

4. Telephone Number_____ Fax Number_____

5. Federal Identification Number _____

6. Attach a copy of applicant's current I.R.C. Section 501 (c)(3) determination letter from the Internal Revenue Service.

7. Attach a listing of the Board of Directors, officers, and principal employees along with their respective compensation.

8. Provide a brief statement of the amount of funds requested and the purpose(s) for which such monies would be expended.

9. Provide a brief statement detailing the history, purposes, and goals of the organization.

10. Provide a current set of financial statements for the organization These statements should include a balance sheet, and a statement of revenues, expenses and changes in fund balances that reflect a detailed description of operating expenses, salaries, and sources of income for the various programs administered by the organization.

11. Provide copies of Federal Form 990, Return of Organization Exempt From Income Tax, for the two most recent years

DECLARATION

I hereby certify that I have read this application and the attachments to it. To the best of my knowledge and belief, the information is accurate and complete. I further certify that I am authorized to sign this application and that any funds awarded will be expended as stated.

Signature Title Date

Name (Type or Print)

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 1

Tax Year	Account No	Legal Name
2011	003-54301-4	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Short-Term Gains (Losses)							
BAXTER INTERNATIONAL INC CMN (071813109)	05/07/2010	01/13/2011	33 00	1,659 21	0 00	1,491 54	167 67
COMCAST CORPORATION CMN CLASS A VOTING (20030N101)	08/12/2010	01/13/2011	107 00	2,399 97	0 00	1,937 72	462 25
COMCAST CORPORATION CMN CLASS A VOTING (20030N101)	07/02/2010	01/13/2011	142 00	3,185 01	0 00	2,468 66	716 35
COMCAST CORPORATION CMN CLASS A VOTING (20030N101)	06/22/2010	01/13/2011	171 00	3,835 47	0 00	3,142 78	692 69
EMC CORPORATION MASS CMN (268648102)	11/30/2010	01/13/2011	80 00	1,913 57	0 00	1,718 51	195 06
EMC CORPORATION MASS CMN (268648102)	07/23/2010	01/13/2011	106 00	2,535 48	0 00	2,144 47	391 01
EMC CORPORATION MASS CMN (268648102)	04/30/2010	01/13/2011	156 00	3,731 46	0 00	3,018 79	712 67
GENERAL ELECTRIC CO CMN (369604103)	04/06/2010	01/13/2011	83 00	1,540 45	0 00	1,539 34	1 11
GENERAL ELECTRIC CO CMN (369604103)	04/23/2010	01/13/2011	101 00	1,874 53	0 00	1,915 81	(41 28)
GENERAL ELECTRIC CO CMN (369604103)	02/22/2010	01/13/2011	104 00	1,930 21	0 00	1,686 62	243 59
GENERAL ELECTRIC CO CMN (369604103)	12/23/2010	01/13/2011	106 00	1,967 33	0 00	1,913 84	53 49
GENERAL ELECTRIC CO CMN (369604103)	10/19/2010	01/13/2011	130 00	2,412 76	0 00	2,084 68	328 08
GENERAL MILLS INC CMN (370334104)	04/28/2010	01/13/2011	40 00	1,449 97	0 00	1,404 96	45 01
GENERAL MILLS INC CMN (370334104)	01/22/2010	01/13/2011	58 00	2,102 46	0 00	2,070 95	31 51
GENERAL MILLS INC CMN (370334104)	04/29/2010	01/13/2011	60 00	2,174 96	0 00	2,132 02	42 94
HONEYWELL INTL INC CMN (438516106)	03/09/2010	01/13/2011	55 00	2,994 70	0 00	2,324 76	669 94

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 1

Tax Year	Account No	Legal Name
2011	003-54301-4	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Short-Term Gains (Losses)							
JPMORGAN CHASE & CO CMN (46625H100)	12/13/2010	01/13/2011	48 00	2,125 40	0 00	1,984 04	141 36
NEWFIELD EXPLORATION CO CMN (651290108)	07/06/2010	01/13/2011	31 00	2,217 08	0 00	1,491 74	725 34
OCCIDENTAL PETROLEUM CORP CMN (674599105)	05/03/2010	01/13/2011	18 00	1,733 55	0 00	1,625 03	108 52
OCCIDENTAL PETROLEUM CORP CMN (674599105)	05/27/2010	01/13/2011	19 00	1,829 86	0 00	1,550 10	279 76
PRUDENTIAL FINANCIAL INC CMN (744320102)	10/25/2010	01/13/2011	39 00	2,368 43	0 00	2,084 30	284 13
U S BANCORP CMN (902973304)	12/13/2010	01/13/2011	83 00	2,216 06	0 00	2,179 70	36 36
U S BANCORP CMN (902973304)	06/21/2010	01/13/2011	99 00	2,643 25	0 00	2,361 32	281 93
U S BANCORP CMN (902973304)	06/18/2010	01/13/2011	100 00	2,669 95	0 00	2,345 99	323 96
U S BANCORP CMN (902973304)	05/24/2010	01/13/2011	107 00	2,856 85	0 00	2,572 86	283 99
CISCO SYSTEMS, INC CMN (17275R102)	09/27/2010	01/14/2011	120 00	2,524 76	0 00	2,668 56	(143 80)
CME GROUP INC CMN CLASS A (12572Q105)	08/30/2010	01/14/2011	5 00	1,567 87	0 00	1,270 42	297 45
CME GROUP INC CMN CLASS A (12572Q105)	11/04/2010	01/14/2011	5 00	1,567 87	0 00	1,470 75	97 12
COSTCO WHOLESALE CORPORATION CMN (22160K105)	08/02/2010	01/14/2011	12 00	856 91	0 00	685 75	171 16
GOOGLE, INC CMN CLASS A (38259P508)	07/08/2010	01/14/2011	2 00	1,237 90	0 00	903 68	334 22
GOOGLE, INC CMN CLASS A (38259P508)	05/20/2010	01/14/2011	3 00	1,856 85	0 00	1,437 79	419 06
GOOGLE, INC CMN CLASS A (38259P508)	01/27/2010	01/14/2011	4 00	2,475 80	0 00	2,161 32	314 48
MICROSOFT CORPORATION CMN (594918104)	05/27/2010	01/14/2011	70 00	1,952 27	0 00	1,830 51	121 76
QUALCOMM INC CMN (747525103)	10/28/2010	01/14/2011	27 00	1,394 53	0 00	1,203 88	190 65
QUALCOMM INC CMN (747525103)	02/04/2010	01/14/2011	35 00	1,807 72	0 00	1,340 89	466 83
QUALCOMM INC CMN (747525103)	09/24/2010	01/14/2011	39 00	2,014 32	0 00	1,742 90	271 42
SCHLUMBERGER LTD CMN (806857108)	07/29/2010	01/14/2011	17 00	1,433 59	0 00	1,029 79	403 80
SCHLUMBERGER LTD CMN (806857108)	10/11/2010	01/14/2011	18 00	1,517 91	0 00	1,142 12	375 79
SCHLUMBERGER LTD CMN (806857108)	02/22/2010	01/14/2011	29 00	2,445 53	0 00	1,744 06	701 47
GS BRIC FUND INSTITUTIONAL CLASS SHARES (38143H530)	06/29/2011	12/28/2011	2 76	32 95	0 00	43 97	(11 02)

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 1

Tax Year	Account No	Legal Name
2011	003-54301-4	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [6]	Total Gain (Loss)
NonCovered Short-Term Gains (Losses)							
GS CONCENTRATED INTERNATIONAL EQUITY FUND INSTITUTIONAL SHARES (38141W448)	12/12/2011	12/28/2011	205 03	2,757 61	0 00	2,792 47	(34 86)
GS EMERGING MARKETS EQUITY FUND INSTITUTIONAL SHARES (38142B369)	06/29/2011	12/28/2011	2 07	29 48	0 00	37 12	(7 64)
GS EMERGING MARKETS EQUITY FUND INSTITUTIONAL SHARES (38142B369)	12/12/2011	12/28/2011	6 78	96 71	0 00	98 27	(1 56)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	12/12/2011	12/28/2011	46 00	294 86	0 00	297 62	(2 76)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	03/30/2011	12/28/2011	61 58	394 71	0 00	514 78	(120 07)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	09/29/2011	12/28/2011	89 09	571 05	0 00	611 14	(40 09)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	06/29/2011	12/28/2011	173 74	1,113 65	0 00	1,431 59	(317 94)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	12/12/2011	12/28/2011	241 01	1,544 87	0 00	1,559 33	(14 46)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	12/12/2011	12/28/2011	386 29	2,476 11	0 00	2,499 29	(23 18)
GS INTERNATIONAL REAL ESTATE SECURITIES INSTITUTIONAL CLASS SHARES (38143H563)	06/29/2011	12/28/2011	141 44	678 90	0 00	872 67	(193 77)
GS INTERNATIONAL REAL ESTATE SECURITIES INSTITUTIONAL CLASS SHARES (38143H563)	12/12/2011	12/28/2011	184 26	884 42	0 00	895 48	(11 06)
Net NonCovered Short-Term Gains (Losses)				**93,897.12**	**0.00**	**83,476.68**	**10,420.44**

Tax Year	Account No	Legal Name
2011	003-54301-4	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [3]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
BAXTER INTERNATIONAL INC CMN (071813109)	12/03/2009	01/13/2011	159 00	7,994 38	0 00	9,035 97	(1,041 59)
BIOGEN IDEC INC CMN (09062X103)	12/03/2009	01/13/2011	123 00	8,271 61	0 00	5,867 10	2,404 51
GENERAL ELECTRIC CO CMN (369604103)	12/03/2009	01/13/2011	102 00	1,893 09	0 00	1,659 54	233 55
GENERAL ELECTRIC CO CMN (369604103)	12/04/2009	01/13/2011	104 00	1,930 21	0 00	1,698 32	231 89
GENERAL ELECTRIC CO CMN (369604103)	12/17/2009	01/13/2011	171 00	3,173 71	0 00	2,710 03	463 68
GENERAL MILLS INC CMN (370334104)	12/03/2009	01/13/2011	92 00	3,334 94	0 00	3,161 58	173 36
HONEYWELL INTL INC CMN (438516106)	12/03/2009	01/13/2011	126 00	6,860 58	0 00	5,016 06	1,844 52
JPMORGAN CHASE & CO CMN (46625H100)	12/03/2009	01/13/2011	384 00	17,003 23	0 00	16,108 80	894 43
NEWFIELD EXPLORATION CO CMN (651290108)	12/03/2009	01/13/2011	117 00	8,367 70	0 00	4,867 20	3,500 50
OCCIDENTAL PETROLEUM CORP CMN (674599105)	12/03/2009	01/13/2011	132 00	12,712 70	0 00	10,654 06	2,058 64
PRUDENTIAL FINANCIAL INC CMN (744320102)	12/23/2009	01/13/2011	34 00	2,064 78	0 00	1,768 52	296 26
PRUDENTIAL FINANCIAL INC CMN (744320102)	12/03/2009	01/13/2011	75 00	4,554 67	0 00	3,623 86	930 81
AMERICAN TOWER CORPORATION CMN CLASS A (029912201)	11/18/2009	01/14/2011	68 00	3,438 02	0 00	2,790 72	647 30
AMERICAN TOWER CORPORATION CMN CLASS A (029912201)	11/17/2009	01/14/2011	142 00	7,179 40	0 00	5,820 58	1,358 82
APPLE, INC CMN (037833100)	11/18/2009	01/14/2011	21 00	7,242 36	0 00	4,340 07	2,902 29
APPLE, INC CMN (037833100)	11/17/2009	01/14/2011	38 00	13,105 22	0 00	7,853 46	5,251 76
CISCO SYSTEMS, INC CMN (17275R102)	11/18/2009	01/14/2011	146 00	3,071 79	0 00	3,505 46	(433 67)
CISCO SYSTEMS, INC CMN (17275R102)	11/17/2009	01/14/2011	309 00	6,501 25	0 00	7,412 91	(911 66)
CME GROUP INC CMN CLASS A (12572Q105)	11/18/2009	01/14/2011	8 00	2,508 59	0 00	2,592 72	(84 13)
CME GROUP INC CMN CLASS A (12572Q105)	11/17/2009	01/14/2011	16 00	5,017 19	0 00	5,131 95	(114 76)
COSTCO WHOLESALE CORPORATION CMN (22160K105)	11/18/2009	01/14/2011	32 00	2,285 08	0 00	1,929 28	355 80
COSTCO WHOLESALE CORPORATION CMN (22160K105)	12/04/2009	01/14/2011	34 00	2,427 90	0 00	2,004 58	423 32
COSTCO WHOLESALE CORPORATION CMN (22160K105)	11/17/2009	01/14/2011	82 00	5,855 52	0 00	4,950 19	905 33
GOOGLE, INC CMN CLASS A (38259P508)	11/18/2009	01/14/2011	3 00	1,856 85	0 00	1,726 32	130 53
GOOGLE, INC CMN CLASS A (38259P508)	11/17/2009	01/14/2011	6 00	3,713 70	0 00	3,454 20	259 50

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
MICROSOFT CORPORATION CMN (594918104)	11/18/2009	01/14/2011	124 00	3,458 30	0 00	3,720 00	(261 70)
MICROSOFT CORPORATION CMN (594918104)	11/17/2009	01/14/2011	204 00	5,689 46	0 00	6,098 09	(408 63)
ORACLE CORPORATION CMN (68389X105)	11/18/2009	01/14/2011	137 00	4,257 89	0 00	3,111 27	1,146 62
ORACLE CORPORATION CMN (68389X105)	11/17/2009	01/14/2011	235 00	7,303 67	0 00	5,334 50	1,969 17
PEPSICO INC CMN (713448108)	11/25/2009	01/14/2011	23 00	1,533 38	0 00	1,446 86	86 52
PEPSICO INC CMN (713448108)	11/18/2009	01/14/2011	53 00	3,533 45	0 00	3,308 79	224 66
PEPSICO INC CMN (713448108)	11/17/2009	01/14/2011	133 00	8,866 96	0 00	8,296 88	570 08
QUALCOMM INC CMN (747525103)	11/18/2009	01/14/2011	73 00	3,770 39	0 00	3,340 48	429 91
QUALCOMM INC CMN (747525103)	11/17/2009	01/14/2011	158 00	8,160 56	0 00	7,229 70	930 86
SCHLUMBERGER LTD CMN (806857108)	11/18/2009	01/14/2011	42 00	3,541 80	0 00	2,820 17	721 63
SCHLUMBERGER LTD CMN (806857108)	11/17/2009	01/14/2011	105 00	8,854 50	0 00	7,026 19	1,828 31
GS CONCENTRATED INTERNATIONAL EQUITY FUND INSTITUTIONAL SHARES (38141W448)	11/12/2009	02/24/2011	4,743 30	85,000 00	0 00	76,841 53	8,158 47
GS CORE PLUS FIXED INCOME FUND INSTITUTIONAL SHARES (38143H415)	11/10/2009	02/24/2011	12,732 62	130,000 00	0 00	128,090 11	1,909 89
GS EMERGING MARKETS EQUITY FUND INSTITUTIONAL SHARES (38142B369)	11/12/2009	02/24/2011	1,457 73	25,000 00	0 00	21,953 35	3,046 65
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	11/10/2009	02/24/2011	357 88	2,659 03	0 00	2,440 72	218 31
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	11/12/2009	02/24/2011	2,333 91	17,340 97	0 00	15,940 63	1,400 35
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	11/12/2009	02/24/2011	9,523 81	80,000 00	0 00	74,095 24	5,904 76
GS REAL ESTATE SECURITIES FUND INSTITUTIONAL SHARES (38142V787)	11/12/2009	02/24/2011	2,521 01	33,000 00	0 00	23,495 80	9,504 20
GS SMALL CAP VALUE FUND INSTITUTIONAL CLASS SHARES (38142V209)	11/12/2009	02/24/2011	772 47	33,000 00	0 00	23,707 17	9,292 83
GS SMALL/MID-CAP GROWTH FUND INSTITUTIONAL SHARES (38143H746)	11/17/2009	02/24/2011	1,702 69	26,000 00	0 00	20,500 33	5,499 67

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 1

Tax Year	Account No	Legal Name
2011	003-54301-4	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [6]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
GS CORE PLUS FIXED INCOME FUND INSTITUTIONAL SHARES (38143H415)	11/10/2009	04/13/2011	4,906 77	50,000 00	0 00	49,362 12	637 88
GS CORE PLUS FIXED INCOME FUND INSTITUTIONAL SHARES (38143H415)	11/10/2009	07/11/2011	6,268 08	65,000 00	0 00	63,056 90	1,943 11
AB SVENSK EKSPORTKREDIT LINKED TO S&P 500 0% COUPON DUE 12/15/2011 STRUCTURED NOTE (00083D580)	12/01/2009	12/15/2011	500 00	592,747 00	0 00	500,000 00	92,747 00
AB SVENSK EXPORTKREDIT LINKED TO MSCI INDEX 0% COUPON DUE 12/15/2011 STRUCTURED NOTE (00083D598)	12/01/2009	12/15/2011	275 00	274,272 04	0 00	275,000 00	(727 96)
GS BRIC FUND INSTITUTIONAL CLASS SHARES (38143H530)	11/17/2009	12/28/2011	1,684 64	20,131 40	0 00	25,000 00	(4,868 60)
GS CONCENTRATED INTERNATIONAL EQUITY FUND INSTITUTIONAL SHARES (38141W448)	11/12/2009	12/28/2011	115 03	1,547 19	0 00	1,863 54	(316 34)
GS CONCENTRATED INTERNATIONAL EQUITY FUND INSTITUTIONAL SHARES (38141W448)	12/13/2010	12/28/2011	193 10	2,597 22	0 00	3,302 05	(704 83)
GS CONCENTRATED INTERNATIONAL EQUITY FUND INSTITUTIONAL SHARES (38141W448)	12/11/2009	12/28/2011	273 97	3,684 86	0 00	4,336 89	(652 03)
GS CONCENTRATED INTERNATIONAL EQUITY FUND INSTITUTIONAL SHARES (38141W448)	11/17/2009	12/28/2011	4,545 46	61,136 37	0 00	75,000 00	(13,863 64)
GS EMERGING MARKETS EQUITY FUND INSTITUTIONAL SHARES (38142B369)	12/11/2009	12/28/2011	3 15	44 97	0 00	48 47	(3 51)
GS EMERGING MARKETS EQUITY FUND INSTITUTIONAL SHARES (38142B369)	12/13/2010	12/28/2011	18 60	265 44	0 00	329 99	(64 55)
GS EMERGING MARKETS EQUITY FUND INSTITUTIONAL SHARES (38142B369)	11/12/2009	12/28/2011	1,862 33	26,575 41	0 00	28,046 65	(1,471 24)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	12/13/2010	12/28/2011	32 86	210 64	0 00	262 56	(51 92)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	12/11/2009	12/28/2011	56 54	362 44	0 00	437 08	(74 64)

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 1

Tax Year	Account No	Legal Name
2011	003-54301-4	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	09/29/2010	12/28/2011	87 49	560 81	0 00	678 92	(118 11)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	03/30/2010	12/28/2011	95 31	610 91	0 00	742 43	(131 52)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	12/13/2010	12/28/2011	135 52	868 69	0 00	1,082 81	(214 12)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	12/13/2010	12/28/2011	168 38	1,079 33	0 00	1,345 37	(266 04)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	06/29/2010	12/28/2011	266 66	1,709 28	0 00	1,775 95	(66 67)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	11/12/2009	12/28/2011	830 14	5,321 20	0 00	6,458 49	(1,137 29)
GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494)	11/17/2009	12/28/2011	9,493 67	60,854 43	0 00	75,000 00	(14,145 57)
GS INTERNATIONAL REAL ESTATE SECURITIES INSTITUTIONAL CLASS SHARES (38143H563)	06/29/2010	12/28/2011	165 89	796 29	0 00	854 35	(58 06)
GS INTERNATIONAL REAL ESTATE SECURITIES INSTITUTIONAL CLASS SHARES (38143H563)	12/13/2010	12/28/2011	507 19	2,434 50	0 00	3,068 48	(633 98)
GS INTERNATIONAL REAL ESTATE SECURITIES INSTITUTIONAL CLASS SHARES (38143H563)	12/11/2009	12/28/2011	998 28	4,791 75	0 00	5,869 90	(1,078 15)
GS INTERNATIONAL REAL ESTATE SECURITIES INSTITUTIONAL CLASS SHARES (38143H563)	11/17/2009	12/28/2011	3,676 47	17,647 06	0 00	25,000 00	(7,352 94)
GS INTERNATIONAL REAL ESTATE SECURITIES INSTITUTIONAL CLASS SHARES (38143H563)	11/12/2009	12/28/2011	3,742 52	17,964 07	0 00	25,000 00	(7,035 93)
Net NonCovered Long-Term Gains (Losses)				**1,846,548.13**	**0.00**	**1,731,404.24**	**115,143.90**

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
BAXTER INTERNATIONAL INC CMN (071813109)	01/13/2011	01/13/2011	67 00	3,374 00	0 00	3,398 91	(24 91)
YUM BRANDS, INC CMN (988498101)	01/07/2011	01/24/2011	20 00	964 58	0 00	988 42	(23 84)
YUM BRANDS, INC CMN (988498101) Disallowed Loss							(14 30)
OCCIDENTAL PETROLEUM CORP CMN (674599105)	01/24/2011	01/25/2011	13 00	1,253 05	0 00	1,265 94	(12 89)
OCCIDENTAL PETROLEUM CORP CMN (674599105)	01/24/2011	01/31/2011	17 00	1,629 83	0 00	1,655 46	(25 63)
BIOGEN IDEC INC CMN (09062X103)	01/24/2011	02/16/2011	45 00	3,025 42	0 00	3,018 15	7 27
BAXTER INTERNATIONAL INC CMN (071813109)	01/24/2011	02/24/2011	32 00	1,649 24	0 00	1,593 60	55 64
BIOGEN IDEC INC CMN (09062X103)	01/24/2011	02/24/2011	14 00	941 76	0 00	938 98	2 78
CELGENE CORPORATION CMN (151020104)	02/16/2011	02/24/2011	16 00	844 62	0 00	860 44	(15 82)
CENTURYLINK INC CMN (156700106)	01/31/2011	02/24/2011	24 00	955 90	0 00	1,040 87	(84 97)
CLIFFS NATURAL RESOURCES INC CMN (18683K101)	01/24/2011	02/24/2011	12 00	1,111 29	0 00	990 00	121 29
COMCAST CORPORATION CMN CLASS A VOTING (20030N101)	01/24/2011	02/24/2011	110 00	2,719 20	0 00	2,588 30	130 90
DEVON ENERGY CORPORATION (NEW) CMN (25179M103)	01/24/2011	02/24/2011	31 00	2,732 90	0 00	2,584 16	148 74
EMC CORPORATION MASS CMN (268648102)	01/24/2011	02/24/2011	90 00	2,381 29	0 00	2,121 30	259 99
GENERAL ELECTRIC CO CMN (369604103)	01/24/2011	02/24/2011	236 00	4,829 01	0 00	4,704 66	124 35

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
GENERAL MILLS INC CMN (370334104)	01/24/2011	02/24/2011	65 00	2,384 15	0 00	2,377 05	7 10
HESS CORPORATION CMN (42809H107)	02/24/2011	02/24/2011	13 00	1,085 60	0 00	1,096 84	(11 24)
HESS CORPORATION CMN (42809H107) Disallowed Loss							(8 65)
HONEYWELL INTL INC CMN (438516106)	01/24/2011	02/24/2011	47 00	2,645 57	0 00	2,572 31	73 26
JPMORGAN CHASE & CO CMN (46625H100)	01/24/2011	02/24/2011	114 00	5,222 23	0 00	5,139 12	83 11
MICROSOFT CORPORATION CMN (594918104)	02/18/2011	02/24/2011	41 00	1,099 39	0 00	1,108 38	(8 99)
NEWFIELD EXPLORATION CO CMN (651290108)	01/24/2011	02/24/2011	39 00	2,704 47	0 00	2,653 17	51 30
OCCIDENTAL PETROLEUM CORP CMN (674599105)	01/24/2011	02/24/2011	16 00	1,663 32	0 00	1,558 08	105 24
OCCIDENTAL PETROLEUM CORP CMN (674599105)	01/24/2011	02/24/2011	26 00	2,639 98	0 00	2,531 88	108 10
PRUDENTIAL FINANCIAL INC CMN (744320102)	01/24/2011	02/24/2011	39 00	2,485 30	0 00	2,386 41	98 89
U S BANCORP CMN (902973304)	01/24/2011	02/24/2011	102 00	2,798 82	0 00	2,738 70	60 12
UNILEVER N V NY SHS (NEW) ADR CMN (904784709)	01/06/2011	02/24/2011	11 00	327 46	0 00	335 14	(7 68)
UNILEVER N V NY SHS (NEW) ADR CMN (904784709) Disallowed Loss							(7 68)
YUM BRANDS, INC CMN (988498101)	01/07/2011	02/24/2011	16 00	784 14	0 00	790 73	(6 59)
BAXTER INTERNATIONAL INC CMN (071813109)	01/24/2011	03/01/2011	25 00	1,314 59	0 00	1,245 00	69 59
GENERAL MILLS INC CMN (370334104)	01/24/2011	03/01/2011	23 00	847 48	0 00	841 11	6 37
HONEYWELL INTL INC CMN (438516106)	01/24/2011	03/01/2011	15 00	861 11	0 00	820 95	40 16
WEATHERFORD INTERNATIONAL LTD CMN (H27013103)	01/28/2011	03/02/2011	5 00	101 27	0 00	114 25	(12 98)
WEATHERFORD INTERNATIONAL LTD CMN (H27013103)	01/31/2011	03/02/2011	54 00	1,093 70	0 00	1,252 93	(159 23)
CLIFFS NATURAL RESOURCES INC CMN (18683K101)	01/24/2011	03/11/2011	6 00	521 36	0 00	495 00	26 36
NEWFIELD EXPLORATION CO CMN (651290108)	01/24/2011	03/23/2011	4 00	293 05	0 00	272 12	20 93
OCCIDENTAL PETROLEUM CORP CMN (674599105)	01/24/2011	03/23/2011	8 00	803 22	0 00	779 04	24 18
BIOGEN IDEC INC CMN (09062X103)	01/24/2011	03/25/2011	22 00	1,577 18	0 00	1,475 54	101 64
NEWFIELD EXPLORATION CO CMN (651290108)	01/24/2011	04/05/2011	11 00	833 05	0 00	748 33	84 72
BAXTER INTERNATIONAL INC CMN (071813109)	01/24/2011	04/08/2011	24 00	1,291 28	0 00	1,195 20	96 08

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
YUM BRANDS, INC CMN (988498101)	01/07/2011	04/12/2011	12 00	601 40	0 00	605 83	(4 43)
YUM BRANDS, INC CMN (988498101)	01/07/2011	04/12/2011	13 00	651 52	0 00	642 47	9 05
EMC CORPORATION MASS CMN (268648102)	01/24/2011	04/27/2011	30 00	843 78	0 00	707 10	136 68
NEWFIELD EXPLORATION CO CMN (651290108)	01/24/2011	04/28/2011	11 00	768 40	0 00	748 33	20 07
HESS CORPORATION CMN (42809H107)	02/24/2011	05/04/2011	10 00	773 22	0 00	845 92	(72 70)
HESS CORPORATION CMN (42809H107)	02/24/2011	05/04/2011	20 00	1,546 44	0 00	1,687 45	(141 01)
NEWFIELD EXPLORATION CO CMN (651290108)	01/24/2011	05/04/2011	8 00	528 39	0 00	544 24	(15 85)
OCCIDENTAL PETROLEUM CORP CMN (674599105)	01/24/2011	05/25/2011	8 00	824 65	0 00	779 04	45 61
NIKE CLASS-B CMN CLASS B (654106103)	04/08/2011	06/22/2011	5 00	410 23	0 00	388 73	21 50
NIKE CLASS-B CMN CLASS B (654106103)	04/08/2011	06/23/2011	11 00	891 98	0 00	855 20	36 78
COMCAST CORPORATION CMN CLASS A VOTING (20030N101)	01/24/2011	07/18/2011	170 00	4,041 01	0 00	4,000 10	40 91
CLIFFS NATURAL RESOURCES INC CMN (18683K101)	01/24/2011	07/28/2011	9 00	816 67	0 00	742 50	74 17
NEWFIELD EXPLORATION CO CMN (651290108)	01/24/2011	08/05/2011	12 00	667 52	0 00	816 36	(148 84)
FIFTH THIRD BANCORP CMN (316773100)	07/20/2011	08/10/2011	53 00	518 63	0 00	656 77	(138 14)
CONOCOPHILLIPS CMN (20825C104)	03/23/2011	08/12/2011	11 00	726 97	0 00	862 54	(135 57)
CONOCOPHILLIPS CMN (20825C104)	03/28/2011	08/15/2011	8 00	537 40	0 00	641 46	(104 06)
CONOCOPHILLIPS CMN (20825C104)	03/23/2011	08/15/2011	10 00	671 76	0 00	784 12	(112 37)
DEVON ENERGY CORPORATION (NEW) CMN (25179M103)	01/24/2011	08/15/2011	8 00	555 58	0 00	666 88	(111 30)
BAKER HUGHES INC CMN (057224107)	05/31/2011	08/19/2011	18 00	988 01	0 00	1,348 03	(360 02)
OCCIDENTAL PETROLEUM CORP CMN (674599105)	01/24/2011	08/19/2011	8 00	658 39	0 00	779 04	(120 65)
NEWFIELD EXPLORATION CO CMN (651290108)	01/24/2011	08/22/2011	14 00	648 41	0 00	952 42	(304 01)
SCHLUMBERGER LTD CMN (806857108)	07/08/2011	09/23/2011	9 00	552 19	0 00	805 85	(253 66)
RANGE RESOURCES CORPORATION CMN (75281A109)	07/28/2011	09/28/2011	10 00	609 07	0 00	655 78	(46 71)
CLIFFS NATURAL RESOURCES INC CMN (18683K101)	01/24/2011	09/29/2011	4 00	219 00	0 00	330 00	(111 00)
CLIFFS NATURAL RESOURCES INC CMN (18683K101)	03/01/2011	09/29/2011	8 00	438 00	0 00	771 99	(333 99)

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
RANGE RESOURCES CORPORATION CMN (75281A109)	07/28/2011	09/29/2011	5 00	289 31	0 00	327 89	(38 58)
OCCIDENTAL PETROLEUM CORP CMN (674599105)	01/24/2011	09/30/2011	8 00	578 17	0 00	779 04	(200 87)
CELGENE CORPORATION CMN (151020104)	02/16/2011	10/06/2011	12 00	757 40	0 00	645 33	112 07
LYONDELLBASELL INDUSTRIES N V CMN CLASS A (N53745100)	05/17/2011	10/10/2011	26 00	698 22	0 00	1,009 58	(311 36)
LYONDELLBASELL INDUSTRIES N V CMN CLASS A (N53745100) Disallowed Loss							(311 36)
MICROSOFT CORPORATION CMN (594918104)	02/18/2011	10/10/2011	25 00	669 27	0 00	675 84	(6 57)
CELGENE CORPORATION CMN (151020104)	02/16/2011	10/19/2011	10 00	655 84	0 00	537 77	118 07
UNILEVER N V NY SHS (NEW) ADR CMN (904784709)	01/06/2011	10/24/2011	21 00	717 60	0 00	639 82	77 78
CONOCOPHILLIPS CMN (20825C104)	03/28/2011	10/25/2011	2 00	142 13	0 00	160 37	(18 24)
CONOCOPHILLIPS CMN (20825C104)	05/03/2011	10/25/2011	8 00	568 52	0 00	601 34	(32 82)
CONOCOPHILLIPS CMN (20825C104)	03/31/2011	10/25/2011	11 00	781 72	0 00	887 22	(105 50)
CENTURYLINK INC CMN (156700106)	01/31/2011	10/27/2011	17 00	599 33	0 00	737 28	(137 95)
KLA-TENCOR CORPORATION CMN (482480100)	07/26/2011	10/28/2011	19 00	895 22	0 00	838 46	56 76
U S BANCORP CMN (902973304)	01/24/2011	10/28/2011	42 00	1,091 07	0 00	1,127 70	(36 63)
CONAGRA INC CMN (205887102)	08/01/2011	10/31/2011	47 00	1,196 79	0 00	1,198 23	(1 44)
COCA-COLA ENTERPRISES, INC CMN (19122T109)	06/22/2011	11/03/2011	18 00	469 81	0 00	526 49	(56 68)
RANGE RESOURCES CORPORATION CMN (75281A109)	07/28/2011	11/03/2011	4 00	283 04	0 00	262 31	20 72
RANGE RESOURCES CORPORATION CMN (75281A109)	08/09/2011	11/03/2011	13 00	919 87	0 00	705 20	214 67
CENTURYLINK INC CMN (156700106)	01/31/2011	11/04/2011	21 00	755 35	0 00	910 76	(155 41)
COCA-COLA ENTERPRISES, INC CMN (19122T109)	06/22/2011	11/04/2011	24 00	620 26	0 00	701 98	(81 72)
LEAR CORPORATION CMN (521865204)	10/03/2011	11/22/2011	24 00	956 59	0 00	1,001 43	(44 84)
BANK OF AMERICA CORP CMN (060505104)	05/17/2011	11/25/2011	14 00	73 84	0 00	165 78	(91 93)
BANK OF AMERICA CORP CMN (060505104)	05/17/2011	11/28/2011	25 00	137 81	0 00	296 03	(158 22)
BANK OF AMERICA CORP CMN (060505104)	05/17/2011	11/30/2011	52 00	275 89	0 00	615 74	(339 85)

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
WALT DISNEY COMPANY (THE) CMN (254687106)	07/18/2011	12/01/2011	26 00	935 67	0 00	1,003 91	(68 24)
EQT CORPORATION CMN (26884L109)	08/18/2011	12/05/2011	11 00	679 55	0 00	592 04	87 51
NATIONAL OILWELL VARCO, INC COMMON STOCK CMN (637071101)	10/26/2011	12/05/2011	16 00	1,164 45	0 00	1,103 83	60 62
EQT CORPORATION CMN (26884L109)	08/18/2011	12/12/2011	8 00	438 57	0 00	430 57	7 99
EQT CORPORATION CMN (26884L109)	10/18/2011	12/12/2011	9 00	493 39	0 00	585 34	(91 95)
EQT CORPORATION CMN (26884L109)	09/01/2011	12/12/2011	12 00	657 85	0 00	730 62	(72 77)
ALLSTATE CORPORATION COMMON STOCK (020002101)	03/01/2011	12/13/2011	27 00	701 69	0 00	859 81	(158 12)
BOSTON SCIENTIFIC CORP COMMON STOCK (101137107)	03/01/2011	12/13/2011	137 00	733 65	0 00	1,042 21	(308 56)
CAMERON INTERNATIONAL CORP CMN (13342B105)	03/07/2011	12/14/2011	12 00	558 61	0 00	744 49	(185 88)
CAMERON INTERNATIONAL CORP CMN (13342B105)	03/07/2011	12/16/2011	15 00	710 69	0 00	930 62	(219 93)
WILLIAMS COMPANIES INC (THE) CMN (969457100)	11/04/2011	12/16/2011	18 00	551 10	0 00	564 50	(13 40)
WILLIAMS COMPANIES INC (THE) CMN (969457100)	11/02/2011	12/16/2011	30 00	918 50	0 00	902 24	16 26
PUBLIC-SVC ENTERPRISE GROUP HOLDING CO (744573106)	08/01/2011	12/21/2011	8 00	252 91	0 00	262 41	(9 50)
PUBLIC-SVC ENTERPRISE GROUP HOLDING CO (744573106)	08/02/2011	12/21/2011	28 00	885 17	0 00	906 63	(21 46)
BOSTON SCIENTIFIC CORP COMMON STOCK (101137107)	03/01/2011	12/22/2011	33 00	173 29	0 00	251 04	(77 76)
BOSTON SCIENTIFIC CORP COMMON STOCK (101137107)	05/17/2011	12/22/2011	42 00	220 55	0 00	285 22	(64 68)
Net Covered Short-Term Disallowed Losses							**(341.99)**
Net Covered Short-Term Gains (Losses)				**108,487.12**	**0.00**	111,099.74	**(2,612.62)**
NonCovered Short-Term Gains (Losses)							
POLO RALPH LAUREN CORPORATION CLASS A COMMON STOCK (731572103)	10/25/2010	01/05/2011	24 00	2,601 99	0 00	2,283 60	318 39
KOHL'S CORP (WISCONSIN) CMN (500255104)	11/05/2010	01/13/2011	55 00	2,828 83	0 00	2,915 77	(86 94)
ADOBE SYSTEMS INC CMN (00724F101)	10/29/2010	01/24/2011	4 00	133 92	0 00	112 64	21 28
ADOBE SYSTEMS INC CMN (00724F101)	10/28/2010	01/24/2011	28 00	937 41	0 00	786 18	151 23
ALLSTATE CORPORATION COMMON STOCK (020002101)	06/23/2010	01/24/2011	28 00	877 50	0 00	852 24	25 26

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [6]	Total Gain (Loss)
NonCovered Short-Term Gains (Losses)							
AMERICAN ELECTRIC POWER INC CMN (025537101)	06/10/2010	01/24/2011	37 00	1,350 47	0 00	1,199 20	151 27
ARCHER DANIELS MIDLAND CO CMN (039483102)	06/15/2010	01/24/2011	4 00	133 56	0 00	106 63	26 93
ARCHER DANIELS MIDLAND CO CMN (039483102)	05/12/2010	01/24/2011	45 00	1,502 51	0 00	1,232 30	270 21
BMC SOFTWARE INC CMN (055921100)	06/16/2010	01/24/2011	2 00	94 96	0 00	74 91	20 04
BMC SOFTWARE INC CMN (055921100)	04/29/2010	01/24/2011	20 00	949 57	0 00	802 94	146 63
CBS CORPORATION CMN CLASS B (124857202)	03/08/2010	01/24/2011	31 00	639 21	0 00	456 00	183 21
CVS CAREMARK CORPORATION CMN (126650100)	03/04/2010	01/24/2011	56 00	1,973 40	0 00	1,951 90	21 50
FREEPORT-MCMORAN COPPER & GOLD CMN (35671D857)	10/12/2010	01/24/2011	39 00	4,266 51	0 00	3,692 75	573 76
GENERAL MOTORS COMPANY CMN (37045V100)	11/18/2010	01/24/2011	35 00	1,302 32	0 00	1,243 76	58 56
HARTFORD FINANCIAL SRVCS GROUP CMN (416515104)	03/26/2010	01/24/2011	57 00	1,586 84	0 00	1,597 19	(10 35)
ILLINOIS TOOL WORKS CMN (452308109)	08/19/2010	01/24/2011	21 00	1,149 72	0 00	885 09	264 63
LYONDELLBASELL INDUSTRIES N V CMN CLASS A (N53745100)	11/05/2010	01/24/2011	112 00	3,934 48	0 00	3,159 26	775 22
MERCK & CO , INC CMN (58933Y105)	02/23/2010	01/24/2011	15 00	508 34	0 00	547 52	(39 18)
NEXTERA ENERGY INC CMN (65339F101)	10/14/2010	01/24/2011	16 00	870 54	0 00	886 35	(15 81)
P G & E CORPORATION CMN (69331C108)	08/19/2010	01/24/2011	55 00	2,591 00	0 00	2,471 92	119 08
PEPSICO INC CMN (713448108)	05/07/2010	01/24/2011	36 00	2,376 67	0 00	2,305 84	70 83
PNC FINANCIAL SERVICES GROUP CMN (693475105)	09/28/2010	01/24/2011	38 00	2,313 77	0 00	1,985 90	327 87
PROCTER & GAMBLE COMPANY (THE) CMN (742718109)	08/18/2010	01/24/2011	19 00	1,253 59	0 00	1,150 10	103 49
RANGE RESOURCES CORPORATION CMN (75281A109)	04/15/2010	01/24/2011	34 00	1,551 39	0 00	1,735 38	(183 99)
RANGE RESOURCES CORPORATION CMN (75281A109)	05/10/2010	01/24/2011	34 00	1,551 39	0 00	1,626 45	(75 06)
SCHLUMBERGER LTD CMN (806857108)	10/27/2010	01/24/2011	22 00	1,822 44	0 00	1,518 58	303 86
SUNTRUST BANKS INC $1 00 PAR CMN (867914103)	12/20/2010	01/24/2011	11 00	321 30	0 00	297 92	23 38
SUNTRUST BANKS INC $1 00 PAR CMN (867914103)	02/03/2010	01/24/2011	68 00	1,986 24	0 00	1,599 28	386 96
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/12/2010	01/24/2011	12 00	636 47	0 00	605 22	31 25
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/11/2010	01/24/2011	37 00	1,962 44	0 00	1,876 92	85 52

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year | Account No | Legal Name
2011 | 003-54302-2 | THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [6]	Total Gain (Loss)
NonCovered Short-Term Gains (Losses)							
TEXAS INSTRUMENTS INC CMN (882508104)	06/25/2010	01/24/2011	35 00	1,189 27	0.00	844 34	344 93
WEATHERFORD INTERNATIONAL LTD CMN (H27013103)	12/21/2010	01/24/2011	59 00	1,315 08	0 00	1,334 65	(19 57)
ARCHER DANIELS MIDLAND CO CMN (039483102)	06/15/2010	02/02/2011	20 00	704 87	0 00	533 14	171 73
ARCHER DANIELS MIDLAND CO CMN (039483102)	06/16/2010	02/02/2011	74 00	2,608 01	0 00	1,971 91	636 10
BMC SOFTWARE INC CMN (055921100)	06/16/2010	02/22/2011	30 00	1,493 02	0 00	1,123 71	369 31
BMC SOFTWARE INC CMN (055921100)	06/16/2010	02/23/2011	15 00	723 64	0 00	561 86	161 79
ADOBE SYSTEMS INC CMN (00724F101)	11/01/2010	02/24/2011	15 00	499 19	0 00	422 91	76 28
ADOBE SYSTEMS INC CMN (00724F101)	10/29/2010	02/24/2011	20 00	665 58	0 00	563 17	102 41
ALLSTATE CORPORATION COMMON STOCK (020002101)	06/23/2010	02/24/2011	22 00	681 76	0 00	669 62	12 14
AMERICAN ELECTRIC POWER INC CMN (025537101)	06/15/2010	02/24/2011	17 00	594 82	0 00	565 78	29 04
AMERICAN ELECTRIC POWER INC CMN (025537101)	06/10/2010	02/24/2011	25 00	874 73	0 00	810 27	64 46
CBS CORPORATION CMN CLASS B (124857202)	03/08/2010	02/24/2011	29 00	633 06	0 00	426 58	206 48
CBS CORPORATION CMN CLASS B (124857202)	12/08/2010	02/24/2011	56 00	1,222 45	0 00	1,006 54	215 92
CVS CAREMARK CORPORATION CMN (126650100)	03/04/2010	02/24/2011	44 00	1,429 09	0 00	1,533 64	(104 55)
FRANKLIN RESOURCES INC CMN (354613101)	06/18/2010	02/24/2011	5 00	615 64	0 00	464 79	150 85
GENERAL MOTORS COMPANY CMN (37045V100)	11/18/2010	02/24/2011	28 00	920 06	0 00	995 01	(74 95)
GOOGLE, INC CMN CLASS A (38259P508)	03/31/2010	02/24/2011	3 00	1,814 21	0 00	1,702 80	111 41
HARTFORD FINANCIAL SRVCS GROUP CMN (416515104)	06/23/2010	02/24/2011	1 00	28 66	0 00	24 52	4 14
HARTFORD FINANCIAL SRVCS GROUP CMN (416515104)	03/26/2010	02/24/2011	44 00	1,261 01	0 00	1,232 92	28 10
ILLINOIS TOOL WORKS CMN (452308109)	08/19/2010	02/24/2011	15 00	796 18	0 00	632 21	163 97
JOHNSON CONTROLS INC CMN (478366107)	05/18/2010	02/24/2011	13 00	517 52	0 00	383 76	133 76
NEXTERA ENERGY INC CMN (65339F101)	10/14/2010	02/24/2011	14 00	760 18	0 00	775 56	(15 38)
P G & E CORPORATION CMN (69331C108)	08/19/2010	02/24/2011	14 00	636 57	0 00	629 22	7 35
P G & E CORPORATION CMN (69331C108)	10/12/2010	02/24/2011	30 00	1,364 07	0 00	1,395 12	(31 05)
PEPSICO INC CMN (713448108)	05/07/2010	02/24/2011	5 00	314 09	0 00	320 26	(6 16)

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Short-Term Gains (Losses)							
PEPSICO INC CMN (713448108)	07/01/2010	02/24/2011	24 00	1,507 65	0 00	1,467 57	40 08
PNC FINANCIAL SERVICES GROUP CMN (693475105)	10/20/2010	02/24/2011	5 00	305 44	0 00	262 40	43 04
PNC FINANCIAL SERVICES GROUP CMN (693475105)	10/19/2010	02/24/2011	11 00	671 98	0 00	582 92	89 06
PNC FINANCIAL SERVICES GROUP CMN (693475105)	09/28/2010	02/24/2011	14 00	855 24	0 00	731 65	123 59
PROCTER & GAMBLE COMPANY (THE) CMN (742718109)	08/18/2010	02/24/2011	15 00	945 88	0 00	907 98	37 90
SCHLUMBERGER LTD CMN (806857108)	10/27/2010	02/24/2011	17 00	1,528 78	0 00	1,173 45	355 33
STATE STREET CORPORATION (NEW) CMN (857477103)	05/18/2010	02/24/2011	2 00	88 20	0 00	81 44	6 76
SUNTRUST BANKS INC $1 00 PAR CMN (867914103)	12/20/2010	02/24/2011	54 00	1,616 18	0 00	1,462 52	153 66
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/12/2010	02/24/2011	39 00	1,946 84	0 00	1,966 97	(20 13)
TEXAS INSTRUMENTS INC CMN (882508104)	06/25/2010	02/24/2011	28 00	983 90	0 00	675 47	308 43
WEATHERFORD INTERNATIONAL LTD CMN (H27013103)	12/21/2010	02/24/2011	31 00	736 85	0 00	701 25	35 60
WEATHERFORD INTERNATIONAL LTD CMN (H27013103)	12/22/2010	02/24/2011	38 00	903 24	0 00	862 98	40 25
WEATHERFORD INTERNATIONAL LTD CMN (H27013103)	12/22/2010	02/28/2011	36 00	851 84	0 00	817 56	34 28
AFLAC INCORPORATED CMN (001055102)	06/16/2010	03/01/2011	10 00	587 24	0 00	442 31	144 93
SCHLUMBERGER LTD CMN (806857108)	10/27/2010	03/01/2011	1 00	93 46	0 00	69 03	24 44
SCHLUMBERGER LTD CMN (806857108)	11/01/2010	03/01/2011	9 00	841 17	0 00	629 18	211 98
WEATHERFORD INTERNATIONAL LTD CMN (H27013103)	12/22/2010	03/02/2011	12 00	243 04	0 00	272 52	(29 48)
CBS CORPORATION CMN CLASS B (124857202)	12/08/2010	03/25/2011	24 00	599 61	0 00	431 37	168 24
NEXTERA ENERGY INC CMN (65339F101)	10/14/2010	04/15/2011	11 00	605 94	0 00	609 37	(3 43)
NEXTERA ENERGY INC CMN (65339F101)	10/14/2010	04/18/2011	9 00	491 57	0 00	498 57	(7 00)
DOW CHEMICAL CO CMN (260543103)	10/12/2010	05/17/2011	30 00	1,099 18	0 00	888 27	210 91
CBS CORPORATION CMN CLASS B (124857202)	12/08/2010	06/03/2011	30 00	816 11	0 00	539 22	276 90
PEPSICO INC CMN (713448108)	07/01/2010	06/22/2011	11 00	759 18	0 00	672 64	86 54
PROCTER & GAMBLE COMPANY (THE) CMN (742718109)	08/18/2010	06/22/2011	23 00	1,473 89	0 00	1,392 23	81 66
PNC FINANCIAL SERVICES GROUP CMN (693475105)	10/20/2010	07/19/2011	18 00	1,003 82	0 00	944 66	59 16

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Short-Term Gains (Losses)							
PNC FINANCIAL SERVICES GROUP CMN (693475105)	12/13/2010	07/19/2011	29 00	1,617 26	0 00	1,749 18	(131 92)
CBS CORPORATION CMN CLASS B (124857202)	12/08/2010	08/03/2011	10 00	265 29	0 00	179 74	85 55
CBS CORPORATION CMN CLASS B (124857202)	12/13/2010	08/03/2011	23 00	610 17	0 00	415 12	195 05
DOW CHEMICAL CO CMN (260543103)	10/12/2010	08/04/2011	45 00	1,369 71	0 00	1,332 41	37 30
CBS CORPORATION CMN CLASS B (124857202)	12/13/2010	08/05/2011	44 00	1,050 40	0 00	794 13	256 27
SUNTRUST BANKS INC $1 00 PAR CMN (867914103)	12/22/2010	08/10/2011	5 00	91 41	0 00	144 14	(52 74)
SUNTRUST BANKS INC $1 00 PAR CMN (867914103)	12/21/2010	08/10/2011	15 00	274 22	0 00	417 54	(143 32)
SUNTRUST BANKS INC $1 00 PAR CMN (867914103)	12/20/2010	08/10/2011	19 00	347 35	0 00	514 59	(167 24)
SCHLUMBERGER LTD CMN (806857108)	11/01/2010	08/11/2011	8 00	595 36	0 00	559 27	36 09
SCHLUMBERGER LTD CMN (806857108)	11/01/2010	09/23/2011	9 00	552 19	0 00	629 18	(76 99)
GENERAL MOTORS COMPANY CMN (37045V100)	11/18/2010	09/28/2011	28 00	571 80	0 00	995 01	(423 21)
GENERAL MOTORS COMPANY CMN (37045V100)	11/18/2010	09/29/2011	15 00	311.93	0 00	533 04	(221 11)
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/12/2010	11/02/2011	6 00	233 90	0 00	302 61	(68 71)
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/15/2010	11/02/2011	17 00	662 73	0 00	863 41	(200 68)
Net NonCovered Short-Term Gains (Losses)				**99,781.49**	**0.00**	**91,396.93**	**8,384.58**

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
AFLAC INCORPORATED CMN (001055102)	12/03/2009	01/24/2011	39 00	2,273 26	0 00	1,794 78	478 48
AMERICAN ELECTRIC POWER INC CMN (025537101)	12/03/2009	01/24/2011	15 00	547 49	0 00	511 35	36 14
BANK OF AMERICA CORP CMN (060505104)	12/03/2009	01/24/2011	316 00	4,430 23	0 00	5,101 09	(670 86)
BOEING COMPANY CMN (097023105)	12/03/2009	01/24/2011	34 00	2,450 67	0 00	1,840 76	609 91
CBS CORPORATION CMN CLASS B (124857202)	12/03/2009	01/24/2011	76 00	1,567 08	0 00	981 16	585 92

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
DISH NETWORK CORPORATION CMN CLASS A (25470M109)	12/03/2009	01/24/2011	115 00	2,480 50	0 00	2,414 64	65 86
DOW CHEMICAL CO CMN (260543103)	12/03/2009	01/24/2011	82 00	2,846 98	0 00	2,325 52	521 46
EMERSON ELECTRIC CO CMN (291011104)	12/03/2009	01/24/2011	18 00	1,036 78	0 00	755 28	281 50
ENTERGY CORPORATION CMN (29364G103)	12/03/2009	01/24/2011	29 00	2,147 69	0 00	2,364 08	(216 39)
EVEREST RE GROUP LTD CMN (G3223R108)	12/03/2009	01/24/2011	23 00	1,926 21	0 00	1,955 23	(29 02)
FORD MOTOR COMPANY CMN (345370860)	12/03/2009	01/24/2011	117 00	2,086 06	0 00	1,050 66	1,035 40
FRANKLIN RESOURCES INC CMN (354613101)	12/03/2009	01/24/2011	16 00	1,898 68	0 00	1,747 00	151 68
INVESCO LTD CMN (G491BT108)	12/03/2009	01/24/2011	74 00	1,760 42	0 00	1,635 40	125 02
JOHNSON CONTROLS INC CMN (478366107)	12/03/2009	01/24/2011	41 00	1,574 36	0 00	1,111 51	462 85
MARSH & MCLENNAN CO INC CMN (571748102)	12/03/2009	01/24/2011	37 00	1,015 26	0 00	816 22	199 04
MERCK & CO , INC CMN (58933Y105)	12/16/2009	01/24/2011	25 00	847 23	0 00	944 31	(97 07)
MERCK & CO , INC CMN (58933Y105)	12/17/2009	01/24/2011	59 00	1,999 47	0 00	2,223 74	(224 27)
NEWELL RUBBERMAID INC CMN (651229106)	12/03/2009	01/24/2011	76 00	1,343 65	0 00	1,138 48	205 17
ORACLE CORPORATION CMN (68389X105)	12/24/2009	01/24/2011	12 00	386 03	0 00	298 80	87 24
ORACLE CORPORATION CMN (68389X105)	12/28/2009	01/24/2011	16 00	514 71	0 00	398 57	116 14
SLM CORPORATION CMN (78442P106)	12/03/2009	01/24/2011	173 00	2,420 22	0 00	2,027 56	392 66
SPRINT NEXTEL CORPORATION CMN (852061100)	12/03/2009	01/24/2011	505 00	2,191 65	0 00	1,887 68	303 97
STATE STREET CORPORATION (NEW) CMN (857477103)	12/03/2009	01/24/2011	16 00	763 34	0 00	674 40	88 94
STATE STREET CORPORATION (NEW) CMN (857477103)	12/15/2009	01/24/2011	18 00	858 76	0 00	717 36	141 40
THE BANK OF NY MELLON CORP CMN (064058100)	12/03/2009	01/24/2011	34 00	1,080 83	0 00	920 72	160 11
THE TRAVELERS COMPANIES, INC CMN (89417E109)	12/03/2009	01/24/2011	33 00	1,838 39	0 00	1,712 70	125 69
UNILEVER N V NY SHS (NEW) ADR CMN (904784709)	12/03/2009	01/24/2011	65 00	2,030 56	0 00	2,092 35	(61 79)
WELLPOINT, INC CMN (94973V107)	12/03/2009	01/24/2011	46 00	2,813 76	0 00	2,484 46	329 30
AFLAC INCORPORATED CMN (001055102)	12/03/2009	02/24/2011	31 00	1,775 02	0 00	1,426 62	348 40
BANK OF AMERICA CORP CMN (060505104)	12/03/2009	02/24/2011	239 00	3,329 72	0 00	3,858 10	(528 38)

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [3]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
BOEING COMPANY CMN (097023105)	12/03/2009	02/24/2011	34 00	2,410 55	0 00	1,840 76	569 79
DISH NETWORK CORPORATION CMN CLASS A (25470M109)	12/03/2009	02/24/2011	87 00	1,941 07	0 00	1,826 73	114 34
DOW CHEMICAL CO CMN (260543103)	12/03/2009	02/24/2011	65 00	2,310 05	0 00	1,843 40	466 65
EMERSON ELECTRIC CO CMN (291011104)	12/03/2009	02/24/2011	15 00	884 38	0 00	629 40	254 98
ENTERGY CORPORATION CMN (29364G103)	12/03/2009	02/24/2011	22 00	1,556 69	0 00	1,793 44	(236 75)
EVEREST RE GROUP LTD CMN (G3223R108)	12/03/2009	02/24/2011	17 00	1,464 35	0 00	1,445 17	19 18
FORD MOTOR COMPANY CMN (345370860)	12/03/2009	02/24/2011	89 00	1,303 82	0 00	799 22	504 60
FRANKLIN RESOURCES INC CMN (354613101)	12/03/2009	02/24/2011	7 00	861 89	0 00	764 31	97 58
INVESCO LTD CMN (G491BT108)	12/03/2009	02/24/2011	56 00	1,426 29	0 00	1,237 60	188 69
JOHNSON CONTROLS INC CMN (478366107)	12/03/2009	02/24/2011	19 00	756 37	0 00	515 09	241 28
MARSH & MCLENNAN CO INC CMN (571748102)	12/03/2009	02/24/2011	28 00	838 02	0 00	617 68	220 34
MERCK & CO , INC CMN (58933Y105)	02/23/2010	02/24/2011	78 00	2,502 19	0 00	2,847 09	(344 90)
NEWELL RUBBERMAID INC CMN (651229106)	12/03/2009	02/24/2011	57 00	1,088 10	0 00	853 86	234 24
ORACLE CORPORATION CMN (68389X105)	12/28/2009	02/24/2011	21 00	673 03	0 00	523 12	149 91
SLM CORPORATION CMN (78442P106)	01/19/2010	02/24/2011	20 00	289 03	0 00	227 00	62 02
SLM CORPORATION CMN (78442P106)	12/03/2009	02/24/2011	112 00	1,618 54	0 00	1,312 64	305 90
SPRINT NEXTEL CORPORATION CMN (852061100)	12/03/2009	02/24/2011	387 00	1,621 99	0 00	1,446 60	175 40
STATE STREET CORPORATION (NEW) CMN (857477103)	12/15/2009	02/24/2011	24 00	1,058 37	0 00	956 47	101 90
THE BANK OF NY MELLON CORP CMN (064058100)	12/03/2009	02/24/2011	26 00	777 64	0 00	704 08	73 56
THE TRAVELERS COMPANIES, INC CMN (89417E109)	12/03/2009	02/24/2011	26 00	1,538 39	0 00	1,349 40	188 99
UNILEVER N V NY SHS (NEW) ADR CMN (904784709)	12/03/2009	02/24/2011	40 00	1,190 78	0 00	1,287 60	(96 82)
WELLPOINT, INC CMN (94973V107)	12/03/2009	02/24/2011	35 00	2,311 35	0 00	1,890 35	421 00
AFLAC INCORPORATED CMN (001055102)	12/03/2009	03/01/2011	5 00	293 62	0 00	230 10	63 52
EMERSON ELECTRIC CO CMN (291011104)	12/03/2009	03/01/2011	22 00	1,307 16	0 00	923 12	384 04
ORACLE CORPORATION CMN (68389X105)	12/28/2009	03/01/2011	34 00	1,104 20	0 00	846 95	257 25

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [6]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
INVESCO LTD CMN (G491BT108)	12/03/2009	03/24/2011	32 00	828 04	0 00	707 20	120 84
DISH NETWORK CORPORATION CMN CLASS A (25470M109)	12/03/2009	03/25/2011	32 00	782 37	0 00	671 90	110 47
THE BANK OF NY MELLON CORP CMN (064058100)	12/03/2009	05/12/2011	41 00	1,166 05	0 00	1,110 28	55 77
DOW CHEMICAL CO CMN (260543103)	12/03/2009	05/17/2011	26 00	952 62	0 00	737 36	215 26
SLM CORPORATION CMN (78442P106)	01/19/2010	05/17/2011	46 00	737 82	0 00	522 11	215 71
SLM CORPORATION CMN (78442P106)	01/19/2010	05/18/2011	26 00	417 91	0 00	295 11	122 80
NEWELL RUBBERMAID INC CMN (651229106)	12/03/2009	06/07/2011	89 00	1,289 57	0 00	1,333 22	(43 65)
ENTERGY CORPORATION CMN (29364G103)	12/03/2009	07/01/2011	12 00	820 33	0 00	978 24	(157 91)
PEPSICO INC CMN (713448108)	07/01/2010	07/08/2011	14 00	976 18	0 00	856 08	120 10
TEXAS INSTRUMENTS INC CMN (882508104)	06/25/2010	07/21/2011	43 00	1,359 67	0 00	1,037 33	322 34
ENTERGY CORPORATION CMN (29364G103)	12/03/2009	08/02/2011	22 00	1,442 54	0 00	1,793 44	(350 90)
BANK OF AMERICA CORP CMN (060505104)	12/03/2009	08/08/2011	111 00	811 80	0 00	1,791 84	(980 04)
PEPSICO INC CMN (713448108)	07/01/2010	08/09/2011	12 00	735 19	0 00	733 79	1 40
STATE STREET CORPORATION (NEW) CMN (857477103)	05/18/2010	08/16/2011	20 00	692 91	0 00	814 40	(121 49)
GOOGLE, INC CMN CLASS A (38259P508)	03/31/2010	09/14/2011	2 00	1,059 04	0 00	1,135 20	(76 16)
ALLSTATE CORPORATION COMMON STOCK (020002101)	06/23/2010	09/20/2011	33 00	808 80	0 00	1,004 43	(195 63)
STATE STREET CORPORATION (NEW) CMN (857477103)	05/18/2010	09/26/2011	21 00	655 99	0 00	855 12	(199 13)
CVS CAREMARK CORPORATION CMN (126650100)	03/04/2010	10/06/2011	4 00	133 84	0 00	139 42	(5 59)
CVS CAREMARK CORPORATION CMN (126650100)	05/07/2010	10/06/2011	63 00	2,107 92	0 00	2,191 43	(83 51)
DISH NETWORK CORPORATION CMN CLASS A (25470M109)	12/03/2009	10/06/2011	63 00	1,578 05	0 00	1,322 80	255 25
MERCK & CO , INC CMN (58933Y105)	02/23/2010	10/12/2011	7 00	227 28	0 00	255 51	(28 23)
MERCK & CO , INC CMN (58933Y105)	03/26/2010	10/12/2011	9 00	292 21	0 00	340 27	(48 06)
WELLPOINT, INC CMN (94973V107)	12/03/2009	10/12/2011	14 00	944 05	0 00	756 14	187 91
WELLPOINT, INC CMN (94973V107)	12/03/2009	10/14/2011	6 00	400 61	0 00	324 06	76 55
P G & E CORPORATION CMN (69331C108)	10/12/2010	10/19/2011	17 00	730 90	0 00	790 57	(59 67)

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 2

Tax Year	Account No	Legal Name
2011	003-54302-2	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
MERCK & CO , INC CMN (58933Y105)	03/26/2010	10/24/2011	26 00	866 33	0 00	983 01	(116 68)
WELLPOINT, INC CMN (94973V107)	12/03/2009	10/28/2011	10 00	688 99	0 00	540 10	148 89
DISH NETWORK CORPORATION CMN CLASS A (25470M109)	12/03/2009	11/11/2011	41 00	1,045 61	0 00	860 87	184 74
BANK OF AMERICA CORP CMN (060505104)	12/03/2009	11/22/2011	90 00	486 08	0 00	1,452 84	(966 76)
BANK OF AMERICA CORP CMN (060505104)	12/03/2009	11/23/2011	35 00	181 77	0 00	564 99	(383 23)
BANK OF AMERICA CORP CMN (060505104)	12/07/2009	11/23/2011	54 00	280 44	0 00	860 43	(579 98)
BANK OF AMERICA CORP CMN (060505104)	12/07/2009	11/25/2011	83 00	437 79	0 00	1,322 51	(884 72)
GOOGLE, INC CMN CLASS A (38259P508)	03/31/2010	12/09/2011	1 00	620 03	0 00	567 60	52 43
GOOGLE, INC CMN CLASS A (38259P508)	03/31/2010	12/12/2011	1 00	620 81	0 00	567 60	53 21
ALLSTATE CORPORATION COMMON STOCK (020002101)	06/23/2010	12/13/2011	2 00	51 98	0 00	60 88	(8 90)
AMERICAN ELECTRIC POWER INC CMN (025537101)	06/16/2010	12/14/2011	9 00	348 29	0 00	302 83	45 46
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/15/2010	12/14/2011	20 00	821 46	0 00	1,015 77	(194 31)
FORD MOTOR COMPANY CMN (345370860)	12/03/2009	12/15/2011	138 00	1,414 92	0 00	1,239 24	175 68
JOHNSON CONTROLS INC CMN (478366107)	05/18/2010	12/15/2011	12 00	349 23	0 00	354 24	(5 01)
BOEING COMPANY CMN (097023105)	12/03/2009	12/16/2011	1 00	70 97	0 00	54 14	16 83
BOEING COMPANY CMN (097023105)	05/24/2010	12/16/2011	5 00	354 83	0 00	320 08	34 75
WELLPOINT, INC CMN (94973V107)	12/03/2009	12/16/2011	24 00	1,557 10	0 00	1,296 24	260 86
Net NonCovered Long-Term Gains (Losses)				**119,511.20**	**0.00**	**112,782.33**	**6,728.88**

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 3

Tax Year	Account No	Legal Name
2011	003-54303-0	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
CISCO SYSTEMS, INC CMN (17275R102)	01/14/2011	02/11/2011	138 00	2,577 80	0 00	2,925 60	(347 80)
CME GROUP INC CMN CLASS A (12572Q105)	01/14/2011	02/15/2011	4 00	1,166 25	0 00	1,269 28	(103 03)
AMERICAN EXPRESS CO CMN (025816109)	02/07/2011	02/24/2011	15 00	652 33	0 00	673 08	(20 75)
AMERICAN EXPRESS CO CMN (025816109) Disallowed Loss							(20 75)
AMERICAN TOWER CORPORATION CMN CLASS A (029912201)	01/14/2011	02/24/2011	34 00	1,783 94	0 00	1,721 08	62 86
APPLE, INC CMN (037833100)	01/14/2011	02/24/2011	9 00	3,068 40	0 00	3,124 08	(55 68)
CISCO SYSTEMS, INC CMN (17275R102)	01/14/2011	02/24/2011	56 00	1,026 18	0 00	1,187 20	(161 02)
CME GROUP INC CMN CLASS A (12572Q105)	01/14/2011	02/24/2011	4 00	1,218 21	0 00	1,269 28	(51 07)
COSTCO WHOLESALE CORPORATION CMN (22160K105)	01/14/2011	02/24/2011	26 00	1,892 76	0 00	1,865 24	27 52
GOOGLE, INC CMN CLASS A (38259P508)	01/14/2011	02/24/2011	3 00	1,814 21	0 00	1,863 27	(49 06)
GOOGLE, INC CMN CLASS A (38259P508) Disallowed Loss							(32 71)
MICROSOFT CORPORATION CMN (594918104)	01/14/2011	02/24/2011	65 00	1,742 94	0 00	1,832 35	(89 41)
NVIDIA CORP CMN (67066G104)	02/18/2011	02/24/2011	13 00	290 15	0 00	329 88	(39 73)
ORACLE CORPORATION CMN (68389X105)	01/14/2011	02/24/2011	61 00	1,955 01	0 00	1,897 10	57 91
PEPSICO INC CMN (713448108)	01/14/2011	02/24/2011	33 00	2,073 02	0 00	2,208 36	(135 34)
QUALCOMM INC CMN (747525103)	01/14/2011	02/24/2011	54 00	3,109 26	0 00	2,786 40	322 86

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 3

Tax Year	Account No	Legal Name
2011	003-54303-0	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
SALESFORCE COM, INC CMN (79466L302)	01/24/2011	02/24/2011	3 00	401 84	0 00	385 28	16 56
SCHLUMBERGER LTD CMN (806857108)	01/14/2011	02/24/2011	34 00	3,057 56	0 00	2,904 28	153 28
CISCO SYSTEMS, INC CMN (17275R102)	01/14/2011	06/08/2011	68 00	1,052 91	0 00	1,441 60	(388 69)
CISCO SYSTEMS, INC CMN (17275R102)	01/14/2011	06/09/2011	74 00	1,134 84	0 00	1,568 80	(433 96)
COSTCO WHOLESALE CORPORATION CMN (22160K105)	01/14/2011	06/29/2011	13 00	1,042 06	0 00	932 62	109 44
PEPSICO INC CMN (713448108)	01/14/2011	07/28/2011	32 00	2,056 92	0 00	2,141 44	(84 52)
MICROSOFT CORPORATION CMN (594918104)	01/14/2011	08/05/2011	21 00	538 58	0 00	591 99	(53 41)
RAYTHEON CO CMN (755111507)	01/07/2011	08/08/2011	24 00	970 42	0 00	1,198 98	(228 56)
NVIDIA CORP CMN (67066G104)	02/18/2011	09/19/2011	23 00	349 59	0 00	583 63	(234 04)
STAPLES, INC CMN (855030102)	03/03/2011	10/20/2011	20 00	294 62	0 00	419 69	(125 07)
TEXAS INSTRUMENTS INC CMN (882508104)	07/12/2011	10/21/2011	17 00	516 73	0 00	535 70	(18 97)
MARRIOTT VACATIONS WORLDWIDE CORPORATION CMN (57164Y107)	06/15/2011	11/22/2011	0 70	11 42	0 00	0 00	11 42
ORACLE CORPORATION CMN (68389X105)	01/14/2011	11/23/2011	15 00	438 32	0 00	466 50	(28 18)
MARRIOTT VACATIONS WORLDWIDE CORPORATION CMN (57164Y107)	08/01/2011	11/29/2011	1 00	16 13	0 00	30 20	(14 08)
MARRIOTT VACATIONS WORLDWIDE CORPORATION CMN (57164Y107)	08/18/2011	11/29/2011	1 00	16 13	0 00	22 37	(6 24)
MARRIOTT VACATIONS WORLDWIDE CORPORATION CMN (57164Y107)	06/15/2011	11/29/2011	2 00	32 25	0 00	50 68	(18 43)
MARRIOTT VACATIONS WORLDWIDE CORPORATION CMN (57164Y107)	08/05/2011	11/29/2011	2 00	32 25	0 00	28 05	4 21
MICROSOFT CORPORATION CMN (594918104)	01/14/2011	12/07/2011	56 00	1,431 01	0 00	1,578 64	(147 63)
Net Covered Short-Term Disallowed Losses							**(53.46)**
Net Covered Short-Term Gains (Losses)				**37,764.04**	**0.00**	39,779.19	**(2,015.15)**
NonCovered Short-Term Gains (Losses)							
AMGEN INC CMN (031162100)	06/02/2010	01/14/2011	30 00	1,713 57	0 00	1,672 45	41 12
BED BATH & BEYOND INC CMN (075896100)	04/26/2010	01/14/2011	48 00	2,372 78	0 00	2,315 11	57 67
ECOLAB INC CMN (278865100)	02/11/2010	01/14/2011	37 00	1,807 04	0 00	1,545 58	261 46

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 3

Tax Year	Account No	Legal Name
2011	003-54303-0	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Short-Term Gains (Losses)							
EQUINIX INC CMN (29444U502)	05/04/2010	01/14/2011	7 00	610 95	0 00	707 28	(96 34)
EQUINIX INC CMN (29444U502)	05/06/2010	01/14/2011	10 00	872 78	0 00	933 75	(60 97)
MASTERCARD INCORPORATED CMN CLASS A (57636Q104)	02/05/2010	01/14/2011	14 00	3,288 40	0 00	3,080 63	207 78
NETAPP, INC CMN (64110D104)	07/01/2010	01/14/2011	37 00	2,204 79	0 00	1,399 06	805 73
RAYTHEON CO CMN (755111507)	09/01/2010	01/14/2011	41 00	2,044 22	0 00	1,844 70	199 53
SOUTHWESTERN ENERGY CO CMN (845467109)	04/05/2010	01/14/2011	82 00	3,219 26	0 00	3,511 26	(292 00)
XILINX INCORPORATED CMN (983919101)	01/25/2010	01/14/2011	118 00	3,718 11	0 00	2,870 04	848 07
HALLIBURTON COMPANY CMN (406216101)	04/30/2010	01/25/2011	4 00	161 06	0 00	121 90	39 15
NETAPP, INC CMN (64110D104)	07/01/2010	01/26/2011	16 00	871 02	0 00	605 00	266 02
AMGEN INC CMN (031162100)	06/02/2010	02/24/2011	11 00	559 55	0 00	613 23	(53 68)
AVON PRODUCTS INC CMN (054303102)	04/13/2010	02/24/2011	23 00	637 31	0 00	734 99	(97 68)
BED BATH & BEYOND INC CMN (075896100)	04/26/2010	02/24/2011	18 00	849 76	0 00	868 17	(18 41)
EQUINIX INC CMN (29444U502)	05/10/2010	02/24/2011	1 00	85 91	0 00	98 50	(12 59)
EQUINIX INC CMN (29444U502)	05/06/2010	02/24/2011	5 00	429 54	0 00	466 88	(37 34)
HALLIBURTON COMPANY CMN (406216101)	04/30/2010	02/24/2011	25 00	1,131 72	0 00	761 89	369 83
MASTERCARD INCORPORATED CMN CLASS A (57636Q104)	05/14/2010	02/24/2011	6 00	1,461 09	0 00	1,305 57	155 52
NETAPP, INC CMN (64110D104)	07/01/2010	02/24/2011	19 00	961 19	0 00	718 44	242 75
RAYTHEON CO CMN (755111507)	09/01/2010	02/24/2011	16 00	814 70	0 00	719 88	94 82
SOUTHWESTERN ENERGY CO CMN (845467109)	04/14/2010	02/24/2011	32 00	1,206 69	0 00	1,322 65	(115 96)
STAPLES, INC CMN (855030102)	08/02/2010	02/24/2011	3 00	62 31	0 00	62 60	(0 29)
THERMO FISHER SCIENTIFIC INC CMN (883556102)	08/03/2010	02/24/2011	4 00	220 20	0 00	177 56	42 64
XILINX INCORPORATED CMN (983919101)	02/25/2010	02/24/2011	19 00	622 61	0 00	485 84	136 77
SOUTHWESTERN ENERGY CO CMN (845467109)	04/14/2010	03/21/2011	5 00	208 67	0 00	206 66	2 01
SOUTHWESTERN ENERGY CO CMN (845467109)	06/02/2010	03/21/2011	11 00	459 08	0 00	430 13	28 95
SOUTHWESTERN ENERGY CO CMN (845467109)	08/20/2010	03/21/2011	17 00	709 48	0 00	573 98	135 50

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 3

Tax Year	Account No	Legal Name
2011	003-54303-0	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Short-Term Gains (Losses)							
MASTERCARD INCORPORATED CMN CLASS A (57636Q104)	05/14/2010	03/24/2011	1 00	246 27	0 00	217 59	28 68
MASTERCARD INCORPORATED CMN CLASS A (57636Q104)	05/28/2010	03/24/2011	2 00	492 54	0 00	405 07	87 47
RAYTHEON CO CMN (755111507)	09/01/2010	07/15/2011	13 00	594 81	0 00	584 90	9 91
SOUTHWESTERN ENERGY CO CMN (845467109)	08/20/2010	07/18/2011	13 00	613 05	0 00	438 93	174 13
RAYTHEON CO CMN (755111507)	09/01/2010	08/08/2011	4 00	161 74	0 00	179 97	(18 23)
MORGAN STANLEY CMN (617446448)	12/17/2010	08/12/2011	21 00	353 30	0 00	555 42	(202 12)
STAPLES, INC CMN (855030102)	10/07/2010	08/18/2011	41 00	555 27	0 00	853 31	(298 03)
SOUTHWESTERN ENERGY CO CMN (845467109)	08/20/2010	08/19/2011	36 00	1,304 87	0 00	1,215 49	89 38
STAPLES, INC CMN (855030102)	10/07/2010	09/23/2011	14 00	184 13	0 00	291 37	(107 24)
STAPLES, INC CMN (855030102)	10/26/2010	09/23/2011	20 00	263 04	0 00	412 89	(149 84)
STAPLES, INC CMN (855030102)	10/26/2010	09/29/2011	31 00	422 63	0 00	639 97	(217 34)
AMGEN INC CMN (031162100)	12/20/2010	10/11/2011	11 00	627 30	0 00	633 26	(5 96)
STAPLES, INC CMN (855030102)	10/26/2010	10/20/2011	34 00	500 85	0 00	701 90	(201 05)
AMGEN INC CMN (031162100)	12/20/2010	10/28/2011	14 00	810 67	0 00	805 96	4 71
Net NonCovered Short-Term Gains (Losses)				**40,434.26**	**0.00**	**38,089.76**	**2,344.53**

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
KRAFT FOODS INC CMN CLASS A (50075N104)	11/18/2009	01/06/2011	25 00	784 62	0 00	690 00	94 62
KRAFT FOODS INC CMN CLASS A (50075N104)	11/17/2009	01/06/2011	64 00	2,008 62	0 00	1,768 32	240 30
AVON PRODUCTS INC CMN (054303102)	11/18/2009	01/14/2011	22 00	637 55	0 00	781 66	(144 11)
AVON PRODUCTS INC CMN (054303102)	11/17/2009	01/14/2011	85 00	2,463 25	0 00	3,054 05	(590 80)
BAXTER INTERNATIONAL INC CMN (071813109)	11/18/2009	01/14/2011	8 00	401 99	0 00	440 41	(38 41)

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 3

Tax Year	Account No	Legal Name
2011	003-54303-0	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
BAXTER INTERNATIONAL INC CMN (071813109)	11/17/2009	01/14/2011	62 00	3,115 45	0 00	3,412 20	(296 75)
BIOGEN IDEC INC CMN (09062X103)	12/17/2009	01/14/2011	3 00	200 19	0 00	148 66	51 53
BIOGEN IDEC INC CMN (09062X103)	11/18/2009	01/14/2011	15 00	1,000 93	0 00	690 01	310 92
BROADCOM CORP CL-A CMN CLASS A (111320107)	11/17/2009	01/14/2011	19 00	892 79	0 00	569 43	323 36
BROADCOM CORP CL-A CMN CLASS A (111320107)	11/18/2009	01/14/2011	21 00	986 77	0 00	630 21	356 56
CHARLES SCHWAB CORPORATION CMN (808513105)	11/17/2009	01/14/2011	124 00	2,295 20	0 00	2,323 76	(28 56)
COCA-COLA COMPANY (THE) CMN (191216100)	11/17/2009	01/14/2011	31 00	1,954 51	0 00	1,759 25	195 26
CROWN CASTLE INTL CORP COMMON STOCK (228227104)	11/17/2009	01/14/2011	81 00	3,395 46	0 00	3,056 25	339 21
DANAHER CORPORATION CMN (235851102)	11/17/2009	01/14/2011	42 00	1,969 76	0 00	1,531 95	437 81
GILEAD SCIENCES CMN (375558103)	11/17/2009	01/14/2011	48 00	1,830 44	0 00	2,270 22	(439 78)
HALLIBURTON COMPANY CMN (406216101)	11/17/2009	01/14/2011	12 00	469 43	0 00	379 80	89 63
HALLIBURTON COMPANY CMN (406216101)	12/08/2009	01/14/2011	17 00	665 03	0 00	463 55	201 48
HALLIBURTON COMPANY CMN (406216101)	11/18/2009	01/14/2011	53 00	2,073 32	0 00	1,689 11	384 21
JOHNSON & JOHNSON CMN (478160104)	11/17/2009	01/14/2011	65 00	4,057 23	0 00	4,041 27	15 97
LOWES COMPANIES INC CMN (548661107)	11/17/2009	01/14/2011	180 00	4,507 12	0 00	3,851 95	655 17
MC DONALDS CORP CMN (580135101)	11/17/2009	01/14/2011	26 00	1,917 72	0 00	1,662 18	255 54
MERCK & CO , INC CMN (58933Y105)	11/17/2009	01/14/2011	43 00	1,477 88	0 00	1,462 43	15 45
MORGAN STANLEY CMN (617446448)	11/17/2009	01/14/2011	74 00	2,149 66	0 00	2,489 03	(339 37)
NIKE CLASS-B CMN CLASS B (654106103)	11/17/2009	01/14/2011	40 00	3,352 74	0 00	2,587 47	765 27
NORTHERN TRUST CORP CMN (665859104)	11/17/2009	01/14/2011	49 00	2,740 52	0 00	2,365 72	374 80
OCCIDENTAL PETROLEUM CORP CMN (674599105)	11/17/2009	01/14/2011	2 00	192 84	0 00	167 60	25 24
OCCIDENTAL PETROLEUM CORP CMN (674599105)	12/23/2009	01/14/2011	3 00	289 26	0 00	245 88	43 38
OCCIDENTAL PETROLEUM CORP CMN (674599105)	11/18/2009	01/14/2011	12 00	1,157 02	0 00	1,009 92	147 10
PEOPLES UNITED FINANCIAL INC CMN (712704105)	11/17/2009	01/14/2011	81 00	1,164 76	0 00	1,351 08	(186 32)
PRAXAIR, INC CMN SERIES (74005P104)	11/17/2009	01/14/2011	28 00	2,590 51	0 00	2,360 96	229 55

Tax Year	Account No	Legal Name
2011	003-54303-0	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
PROCTER & GAMBLE COMPANY (THE) CMN (742718109)	11/17/2009	01/14/2011	49 00	3,213 36	0 00	3,049 17	164 19
ST JUDE MEDICAL INC CMN (790849103)	11/17/2009	01/14/2011	83 00	3,447 76	0 00	2,876 87	570 89
STAPLES, INC CMN (855030102)	11/18/2009	01/14/2011	3 00	70 03	0 00	68 40	1 63
STAPLES, INC CMN (855030102)	11/17/2009	01/14/2011	184 00	4,295 40	0 00	4,195 20	100 20
TARGET CORPORATION CMN (87612E106)	11/17/2009	01/14/2011	55 00	3,034 29	0 00	2,659 56	374 73
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/18/2009	01/14/2011	9 00	485 09	0 00	472 32	12 77
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/17/2009	01/14/2011	30 00	1,616 97	0 00	1,581 60	35 37
THERMO FISHER SCIENTIFIC INC CMN (883556102)	11/18/2009	01/14/2011	6 00	337 61	0 00	275 76	61 85
THERMO FISHER SCIENTIFIC INC CMN (883556102)	11/17/2009	01/14/2011	52 00	2,925 99	0 00	2,372 98	553 01
VIACOM INC CMN CLASS B (92553P201)	11/17/2009	01/14/2011	54 00	2,237 18	0 00	1,670 22	566 96
VISA INC CMN CLASS A (92826C839)	11/17/2009	01/14/2011	18 00	1,274 55	0 00	1,437 32	(162 77)
WESTERN UNION COMPANY (THE) CMN (959802109)	11/17/2009	01/14/2011	106 00	2,034 10	0 00	2,093 02	(58 92)
BAXTER INTERNATIONAL INC CMN (071813109)	11/18/2009	01/25/2011	13 00	656 33	0 00	715 66	(59 33)
HALLIBURTON COMPANY CMN (406216101)	12/08/2009	01/25/2011	24 00	966 33	0 00	654 42	311 91
BAXTER INTERNATIONAL INC CMN (071813109)	11/18/2009	02/07/2011	22 00	1,075 93	0 00	1,211 12	(135 19)
VISA INC CMN CLASS A (92826C839)	11/18/2009	02/07/2011	24 00	1,775 51	0 00	1,933 92	(158 41)
AVON PRODUCTS INC CMN (054303102)	11/18/2009	02/24/2011	18 00	498 77	0 00	639 54	(140 77)
BAXTER INTERNATIONAL INC CMN (071813109)	11/18/2009	02/24/2011	1 00	51 54	0 00	55 05	(3 51)
BAXTER INTERNATIONAL INC CMN (071813109)	12/09/2009	02/24/2011	2 00	103 08	0 00	111 11	(8 03)
BAXTER INTERNATIONAL INC CMN (071813109)	12/02/2009	02/24/2011	16 00	824 62	0 00	893 74	(69 12)
BIOGEN IDEC INC CMN (09062X103)	12/17/2009	02/24/2011	7 00	470 88	0 00	346 87	124 01
BROADCOM CORP CL-A CMN CLASS A (111320107)	11/18/2009	02/24/2011	9 00	365 84	0 00	269 28	96 56
BROADCOM CORP CL-A CMN CLASS A (111320107)	11/18/2009	02/24/2011	26 00	1,059 45	0 00	777 92	281 53
CHARLES SCHWAB CORPORATION CMN (808513105)	11/17/2009	02/24/2011	48 00	894 22	0 00	899 52	(5 30)
COCA-COLA COMPANY (THE) CMN (191216100)	11/17/2009	02/24/2011	12 00	764 98	0 00	681 00	83 98

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 3

Tax Year	Account No	Legal Name
2011	003-54303-0	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
CROWN CASTLE INTL CORP COMMON STOCK (228227104)	11/17/2009	02/24/2011	31 00	1,293 91	0 00	1,169 68	124 23
DANAHER CORPORATION CMN (235851102)	11/17/2009	02/24/2011	16 00	795 66	0 00	583 60	212 06
ECOLAB INC CMN (278865100)	02/11/2010	02/24/2011	13 00	618 91	0 00	543 04	75 87
GILEAD SCIENCES CMN (375558103)	11/17/2009	02/24/2011	18 00	694 69	0 00	851 33	(156 64)
JOHNSON & JOHNSON CMN (478160104)	11/18/2009	02/24/2011	9 00	541 97	0 00	559 19	(17 22)
JOHNSON & JOHNSON CMN (478160104)	11/17/2009	02/24/2011	16 00	963 50	0 00	994 77	(31 27)
LOWES COMPANIES INC CMN (548661107)	11/18/2009	02/24/2011	34 00	853 38	0 00	727 60	125 78
LOWES COMPANIES INC CMN (548661107)	11/17/2009	02/24/2011	37 00	928 68	0 00	791 79	136 89
MASTERCARD INCORPORATED CMN CLASS A (57636Q104)	02/05/2010	02/24/2011	1 00	243 51	0 00	220 05	23 47
MC DONALDS CORP CMN (580135101)	11/18/2009	02/24/2011	2 00	149 68	0 00	127 42	22 26
MC DONALDS CORP CMN (580135101)	11/17/2009	02/24/2011	9 00	673 54	0 00	575 37	98 17
MERCK & CO , INC CMN (58933Y105)	11/17/2009	02/24/2011	16 00	513 27	0 00	544 16	(30 89)
MORGAN STANLEY CMN (617446448)	11/17/2009	02/24/2011	30 00	878 08	0 00	1,009 07	(130 99)
NIKE CLASS-B CMN CLASS B (654106103)	11/18/2009	02/24/2011	7 00	602 41	0 00	452 27	150 14
NIKE CLASS-B CMN CLASS B (654106103)	11/17/2009	02/24/2011	8 00	688 46	0 00	517 49	170 97
NORTHERN TRUST CORP CMN (665859104)	11/17/2009	02/24/2011	19 00	991 21	0 00	917 32	73 89
OCCIDENTAL PETROLEUM CORP CMN (674599105)	12/23/2009	02/24/2011	7 00	710 76	0 00	573 72	137 04
PEOPLES UNITED FINANCIAL INC CMN (712704105)	11/17/2009	02/24/2011	31 00	401 13	0 00	517 08	(115 95)
PRAXAIR, INC CMN SERIES (74005P104)	11/17/2009	02/24/2011	14 00	1,361 89	0 00	1,180 48	181 41
PROCTER & GAMBLE COMPANY (THE) CMN (742718109)	11/18/2009	02/24/2011	8 00	504 47	0 00	495 52	8 95
PROCTER & GAMBLE COMPANY (THE) CMN (742718109)	11/17/2009	02/24/2011	10 00	630 58	0 00	622 28	8 30
ST JUDE MEDICAL INC CMN (790849103)	11/17/2009	02/24/2011	10 00	468 09	0 00	346 61	121 48
ST JUDE MEDICAL INC CMN (790849103)	11/18/2009	02/24/2011	24 00	1,123 41	0 00	836 16	287 25
STAPLES, INC CMN (855030102)	11/18/2009	02/24/2011	71 00	1,474 64	0 00	1,618 80	(144 16)
TARGET CORPORATION CMN (87612E106)	11/17/2009	02/24/2011	20 00	1,040 58	0 00	967 11	73 47

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 3

Tax Year	Account No	Legal Name
2011	003-54303-0	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
TEVA PHARMACEUTICAL IND LTD ADS (881624209)	11/18/2009	02/24/2011	15 00	748 78	0 00	787 20	(38 42)
THERMO FISHER SCIENTIFIC INC CMN (883556102)	11/18/2009	02/24/2011	21 00	1,156 03	0 00	965 16	190 87
VIACOM INC CMN CLASS B (92553P201)	11/18/2009	02/24/2011	2 00	87 62	0 00	61 88	25 74
VIACOM INC CMN CLASS B (92553P201)	11/17/2009	02/24/2011	19 00	832 37	0 00	587 67	244 70
WESTERN UNION COMPANY (THE) CMN (959802109)	11/17/2009	02/24/2011	41 00	860 57	0 00	809 57	51 01
XILINX INCORPORATED CMN (983919101)	01/25/2010	02/24/2011	29 00	950 31	0 00	705 35	244 96
PROCTER & GAMBLE COMPANY (THE) CMN (742718109)	11/18/2009	02/25/2011	14 00	880 09	0 00	867 16	12 93
PROCTER & GAMBLE COMPANY (THE) CMN (742718109)	11/18/2009	03/03/2011	8 00	497 99	0 00	495 52	2 47
JOHNSON & JOHNSON CMN (478160104)	11/18/2009	03/10/2011	15 00	899 43	0 00	931 99	(32 56)
BROADCOM CORP CL-A CMN CLASS A (111320107)	11/18/2009	03/11/2011	20 00	804 57	0 00	598 40	206 17
TARGET CORPORATION CMN (87612E106)	11/17/2009	03/18/2011	2 00	99 41	0 00	96 71	2 69
TARGET CORPORATION CMN (87612E106)	11/18/2009	03/18/2011	9 00	447 33	0 00	431 37	15 96
PEOPLES UNITED FINANCIAL INC CMN (712704105)	11/17/2009	03/25/2011	23 00	290 54	0 00	383 64	(93 10)
PEOPLES UNITED FINANCIAL INC CMN (712704105)	11/18/2009	03/25/2011	54 00	682 15	0 00	900 72	(218 57)
BAXTER INTERNATIONAL INC CMN (071813109)	12/09/2009	04/11/2011	12 00	649 80	0 00	666 63	(16 83)
ST JUDE MEDICAL INC CMN (790849103)	11/18/2009	04/14/2011	18 00	935 35	0 00	627 12	308 23
MERCK & CO , INC CMN (58933Y105)	11/18/2009	04/18/2011	19 00	644 69	0 00	650 94	(6 25)
BIOGEN IDEC INC CMN (09062X103)	12/17/2009	04/21/2011	18 00	1,825 95	0 00	891 95	934 01
ECOLAB INC CMN (278865100)	03/04/2010	06/21/2011	1 00	54 77	0 00	42 67	12 10
ECOLAB INC CMN (278865100)	02/11/2010	06/21/2011	10 00	547 66	0 00	417 72	129 94
OCCIDENTAL PETROLEUM CORP CMN (674599105)	12/23/2009	07/12/2011	5 00	512 53	0 00	409 80	102 73
CHARLES SCHWAB CORPORATION CMN (808513105)	11/17/2009	07/19/2011	15 00	225 21	0 00	281 10	(55 89)
CHARLES SCHWAB CORPORATION CMN (808513105)	11/18/2009	07/19/2011	20 00	300 27	0 00	372 60	(72 33)
MASTERCARD INCORPORATED CMN CLASS A (57636Q104)	05/28/2010	08/03/2011	3 00	981 61	0 00	607 61	374 00
COCA-COLA COMPANY (THE) CMN (191216100)	11/18/2009	08/05/2011	5 00	329 56	0 00	284 30	45 26

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 3

Tax Year | Account No | Legal Name
2011 | 003-54303-0 | THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [3]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
MERCK & CO , INC CMN (58933Y105)	11/18/2009	08/05/2011	24 00	754 01	0 00	822 24	(68 23)
STAPLES, INC CMN (855030102)	08/02/2010	08/08/2011	40 00	532 99	0 00	834 64	(301 65)
CHARLES SCHWAB CORPORATION CMN (808513105)	11/18/2009	08/09/2011	26 00	330 67	0 00	484 38	(153 71)
MORGAN STANLEY CMN (617446448)	11/17/2009	08/12/2011	8 00	134 59	0 00	269 08	(134 49)
MORGAN STANLEY CMN (617446448)	11/18/2009	08/12/2011	45 00	757 08	0 00	1,494 45	(737 37)
TARGET CORPORATION CMN (87612E106)	11/18/2009	08/17/2011	22 00	1,130 87	0 00	1,054 46	76 41
BED BATH & BEYOND INC CMN (075896100)	04/26/2010	08/18/2011	6 00	307 16	0 00	289 39	17 77
STAPLES, INC CMN (855030102)	08/02/2010	08/18/2011	8 00	108 35	0 00	166 93	(58 58)
LOWES COMPANIES INC CMN (548661107)	11/18/2009	09/01/2011	37 00	740 04	0 00	791 80	(51 76)
XILINX INCORPORATED CMN (983919101)	02/25/2010	09/02/2011	14 00	418 69	0 00	357 99	60 70
MC DONALDS CORP CMN (580135101)	11/18/2009	09/09/2011	9 00	772 25	0 00	573 39	198 86
JOHNSON & JOHNSON CMN (478160104)	11/18/2009	09/14/2011	13 00	822 60	0 00	807 72	14 88
JOHNSON & JOHNSON CMN (478160104)	11/18/2009	09/15/2011	13 00	836 09	0 00	807 72	28 37
BED BATH & BEYOND INC CMN (075896100)	06/30/2010	10/05/2011	1 00	54 65	0 00	37 80	16 85
BED BATH & BEYOND INC CMN (075896100)	04/26/2010	10/05/2011	7 00	382 53	0 00	337 62	44 91
AMGEN INC CMN (031162100)	06/02/2010	10/11/2011	5 00	285 13	0 00	278 74	6 39
CHARLES SCHWAB CORPORATION CMN (808513105)	11/18/2009	10/12/2011	59 00	741 99	0 00	1,099 17	(357 18)
THERMO FISHER SCIENTIFIC INC CMN (883556102)	08/03/2010	10/26/2011	16 00	774 84	0 00	710 23	64 61
AVON PRODUCTS INC CMN (054303102)	04/13/2010	10/27/2011	7 00	131 95	0 00	223 69	(91 74)
AVON PRODUCTS INC CMN (054303102)	04/13/2010	10/28/2011	16 00	301 37	0 00	511 30	(209 93)
TARGET CORPORATION CMN (87612E106)	11/18/2009	11/01/2011	20 00	1,037 32	0 00	958 60	78 72
XILINX INCORPORATED CMN (983919101)	02/25/2010	11/04/2011	21 00	678 35	0 00	536 98	141 37
BED BATH & BEYOND INC CMN (075896100)	06/30/2010	11/11/2011	9 00	545 58	0 00	340 18	205 40
BED BATH & BEYOND INC CMN (075896100)	06/30/2010	11/22/2011	6 00	352 38	0 00	226 79	125 59
BED BATH & BEYOND INC CMN (075896100)	06/30/2010	11/30/2011	18 00	1,092 51	0 00	680 37	412 14

THE KATHRYN CARELL BROWN FOUNDATION
EIN: 62-6314878
SCH D - ATTACHMENT 3

Tax Year	Account No	Legal Name
2011	003-54303-0	THE KATHRYN CARELL BROWN

REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds [5]	Total Accretion (Amortization)	Cost Basis [4]	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
ST JUDE MEDICAL INC CMN (790849103)	11/18/2009	12/06/2011	12 00	441 00	0 00	418 08	22 92
JOHNSON & JOHNSON CMN (478160104)	11/18/2009	12/07/2011	2 00	128 32	0 00	124 27	4 06
JOHNSON & JOHNSON CMN (478160104)	12/08/2009	12/07/2011	22 00	1,411 54	0 00	1,413 28	(1 74)
MC DONALDS CORP CMN (580135101)	11/18/2009	12/07/2011	5 00	479 84	0 00	318 55	161 29
Net NonCovered Long-Term Gains (Losses)				**139,098.07**	**0.00**	**129,782.43**	**9,315.69**