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
STONE FAMILY FOUNDATION

A Employer identification number
84-1549096

Number and street (or P O box number if mail is not delivered to street address) Room/suite
2035 LAS TUNAS ROAD

B Telephone number
805-962-7496

City or town, state, and ZIP code
SANTA BARBARA, CA 93103

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)* ▶$ 17,496,324.

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 ▶☐

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| **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 | 16,467,056. | | N/A | |
| 2 | Check ▶☐ if the foundation is not required to attach Sch B | | | | |
| 3 | Interest on savings and temporary cash investments | 16,737. | 16,737. | | STATEMENT 1 |
| 4 | Dividends and interest from securities | 433,651. | 433,651. | | STATEMENT 2 |
| 5a | Gross rents | | | | |
| b | Net rental income or (loss) | | | | |
| 6a | Net gain or (loss) from sale of assets not on line 10 | -129,024. | | | |
| b | Gross sales price for all assets on line 6a 15,628,337. | | | | |
| 7 | Capital gain net income (from Part IV, line 2) | | 0. | | |
| 8 | Net short-term capital gain | | | | |
| 9 | Income modifications | | | | |
| 10a | Gross sales less returns and allowances | | | | |
| b | Less Cost of goods sold | | | | |
| c | Gross profit or (loss) | | | | |
| 11 | Other income | 4,453. | 4,453. | | STATEMENT 3 |
| 12 | **Total.** Add lines 1 through 11 | 16,792,873. | 454,841. | | |
| 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 4 | 5,291. | 3,968. | | 1,323. |
| c | Other professional fees STMT 5 | 190. | 190. | | 0. |
| 17 | Interest | | | | |
| 18 | Taxes STMT 6 | 518. | 518. | | 0. |
| 19 | Depreciation and depletion | | | | |
| 20 | Occupancy | | | | |
| 21 | Travel, conferences, and meetings | | | | |
| 22 | Printing and publications | | | | |
| 23 | Other expenses STMT 7 | 1,858. | 1,394. | | 464. |
| 24 | **Total operating and administrative expenses** Add lines 13 through 23 | 7,857. | 6,070. | | 1,787. |
| 25 | Contributions, gifts, grants paid | 124,500. | | | 124,500. |
| 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 132,357. | 6,070. | | 126,287. |
| 27 | Subtract line 26 from line 12: | | | | |
| a | Excess of revenue over expenses and disbursements | 16,660,516. | | | |
| b | **Net investment income** (if negative, enter -0-) | | 448,771. | | |
| c | **Adjusted net income** (if negative, enter -0-) | | | N/A | |

## 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 | 109,125. | 79,306. | 79,306. |
| | 3 | Accounts receivable ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 | Other notes and loans receivable ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments - U.S. and state government obligations | | | |
| | b | Investments - corporate stock STMT 8 | 634,604. | 17,324,939. | 17,417,018. |
| | c | Investments - corporate bonds | | | |
| | 11 | Investments - land, buildings, and equipment: basis ▶ | | | |
| | | Less accumulated depreciation ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other | | | |
| | 14 | Land, buildings, and equipment: basis ▶ | | | |
| | | Less accumulated depreciation ▶ | | | |
| | 15 | Other assets (describe ▶ ) | | | |
| | 16 | **Total assets** (to be completed by all filers) | 743,729. | 17,404,245. | 17,496,324. |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | 57,080. | 57,080. | |
| | 21 | Mortgages and other notes payable | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | 57,080. | 57,080. | |
| 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 | 686,649. | 17,347,165. | |
| | 28 | Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | 0. | 0. | |
| | 30 | **Total net assets or fund balances** | 686,649. | 17,347,165. | |
| | 31 | **Total liabilities and net assets/fund balances** | 743,729. | 17,404,245. | |

## 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 | 686,649. |
| 2 | Enter amount from Part I, line 27a | 2 | 16,660,516. |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 | Add lines 1, 2, and 3 | 4 | 17,347,165. |
| 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 | 17,347,165. |

## 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 | SCHEDULE ATTACHED | D | | |
| b | CAPITAL GAINS DIVIDENDS | | | |
| 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 | 15,566,113. | | 15,757,361. | -191,248. |
| b | 62,224. | | | 62,224. |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | -191,248. |
| b | | | | 62,224. |
| c | | | | |
| d | | | | |
| e | | | | |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } 2 -129,024.

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 | 0. | 581,248. | .000000 |
| 2009 | 60,068. | 491,721. | .122159 |
| 2008 | 63,765. | 840,633. | .075854 |
| 2007 | 70,144. | 1,187,915. | .059048 |
| 2006 | 51,800. | 1,200,670. | .043143 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | .300204 |
| 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 | .060041 |
| 4 | Enter the net value of noncharitable-use assets for 2011 from Part X, line 5 | 4 | 11,751,429. |
| 5 | Multiply line 4 by line 3 | 5 | 705,568. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 4,488. |
| 7 | Add lines 5 and 6 | 7 | 710,056. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 126,287. |

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.<br>Date of ruling or determination letter: ______ **(attach copy of letter if necessary-see instructions)**<br>**b** Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b<br>**c** All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | 1 | 8,975. |
| **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 | 8,975. |
| **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 | 8,975. |
| **6** Credits/Payments: | | | |
| **a** 2011 estimated tax payments and 2010 overpayment credited to 2011 | 6a | | |
| **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 | 0. |
| **8** Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached | | 8 | 5. |
| **9** **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | 9 | 8,980. |
| **10** **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | 10 | |
| **11** Enter the amount of line 10 to be: **Credited to 2012 estimated tax** ▶ | **Refunded** ▶ | 11 | |

## 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)? | 1b | | X |
| *If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | | | |
| **c** Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| **d** Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:<br>**(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?<br>*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?<br>*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:<br>● By language in the governing instrument, or<br>● 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?<br>*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) ▶<br>CO | | | |
| **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 |

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## 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 ▶ ROBERT STONE Telephone no. ▶805-962-7496

Located at ▶2035 LAS TUNAS ROAD, SANTA BARBARA, CA ZIP+4 ▶93103

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? | 16 | | X |
| | See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶ | | | |

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

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

| | | | 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 |

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

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? N/A | 5b | |

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

*If "Yes," attach the statement required by Regulations section 53 4945-5(d).*

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

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X

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

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

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

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

**1 List all officers, directors, trustees, foundation managers and their compensation.**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| ROBERT STONE<br>2035 LAS TUNAS ROAD<br>SANTA BARBARA, CA 93103 | PRESIDENT<br>3.00 | 0. | 0. | 0. |
| DORIAN R STONE<br>2035 LAS TUNAS ROAD<br>SANTA BARBARA, CA 93103 | V/PRES<br>3.00 | 0. | 0. | 0. |
| IRENE STONE<br>2035 LAS TUNAS ROAD<br>SANTA BARBARA, CA 93103 | SEC/TREAS<br>3.00 | 0. | 0. | 0. |
| | | | | |

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

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

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

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

**3 Five highest-paid independent contractors for professional services. If none, enter "NONE."**

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

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

## Part IX-A Summary of Direct Charitable Activities

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

## Part IX-B Summary of Program-Related Investments

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions.<br>3 | |
| **Total.** Add lines 1 through 3 ▶ | 0. |

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## Part X Minimum Investment Return (All domestic foundations must complete this part Foreign foundations, see instructions )

| | | | | | |
|---|---|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | | | |
| a | Average monthly fair market value of securities | | | 1a | 10,440,660. |
| b | Average of monthly cash balances | | | 1b | 1,489,725. |
| c | Fair market value of all other assets | | | 1c | |
| d | **Total** (add lines 1a, b, and c) | | | 1d | 11,930,385. |
| 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 | 11,930,385. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | | | 4 | 178,956. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | | | 5 | 11,751,429. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | | | 6 | 587,571. |

## 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 | 587,571. |
| 2a | Tax on investment income for 2011 from Part VI, line 5 | 2a | 8,975. | | |
| b | Income tax for 2011. (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 8,975. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 578,596. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | 0. |
| 5 | Add lines 3 and 4 | | | 5 | 578,596. |
| 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 | 578,596. |

## 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 | 126,287. |
| 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 | 126,287. |
| 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 | 0. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 126,287. |

**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.

Form **990-PF** (2011)

## Part XIII Undistributed Income (see instructions)

| | | (a)<br>Corpus | (b)<br>Years prior to 2010 | (c)<br>2010 | (d)<br>2011 |
|---|---|---|---|---|---|
| 1 Distributable amount for 2011 from Part XI, line 7 | | | | | 578,596. |
| 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 | | | | | |
| b From 2007 | | | | | |
| c From 2008 | 10,028. | | | | |
| d From 2009 | 35,746. | | | | |
| e From 2010 | | | | | |
| f **Total** of lines 3a through e | | 45,774. | | | |
| 4 Qualifying distributions for 2011 from Part XII, line 4: ▶ $ | 126,287. | | | | |
| 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 | | | | | 126,287. |
| e Remaining amount distributed out of corpus | | 0. | | | |
| 5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a).) | | 45,774. | | | 45,774. |
| 6 **Enter the net total of each column as indicated below:** | | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | | 0. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | | 0. | | |
| e Undistributed income for 2010. Subtract line 4a from line 2a. Taxable amount - see instr. | | | | 0. | |
| f Undistributed income for 2011. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2012 | | | | | 406,535. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) | | 0. | | | |
| 8 Excess distributions carryover from 2006 not applied on line 5 or line 7 | | 0. | | | |
| 9 **Excess distributions carryover to 2012** Subtract lines 7 and 8 from line 6a | | 0. | | | |
| 10 Analysis of line 9: | | | | | |
| a Excess from 2007 | | | | | |
| b Excess from 2008 | | | | | |
| c Excess from 2009 | | | | | |
| d Excess from 2010 | | | | | |
| e Excess from 2011 | | | | | |

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

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

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

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

## Part XV Supplementary Information (Complete this part only if the 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).)

NONE

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:

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

c Any submission deadlines:

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

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| a *Paid during the year* | | | | |
| SEE ATTACHED | | 501 (C)(3) ORGANIZATION | GENERAL | 124,500. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| **Total** | | | ▶ 3a | 124,500. |
| b *Approved for future payment* | | | | |
| NONE | | | | |
| | | | | |
| | | | | |
| **Total** | | | ▶ 3b | 0. |

Form **990-PF** (2011)

123611 12-02-11

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 16,737. | |
| 4 Dividends and interest from securities | | | 14 | 433,651. | |
| 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 | | | 14 | 4,453. | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | -129,024. | |
| 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. | | 325,817. | 0. |

13 **Total**. Add line 12, columns (b), (d), and (e) 13 325,817.

(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 | |
| | | | |
| | | | |
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| | | | |

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

b If "Yes," complete the following schedule.

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

**Sign Here**

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

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

| Signature of officer or trustee | Date | Title |
|---|---|---|
| | 5/14/12 | PRESIDENT |

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☒ if self- employed | PTIN |
|---|---|---|---|---|
| ROBERT M. RENAUD | , CPA<br>ROBERT M. RENAUD | 05/14/12 | | P01208791 |

Firm's name ▶ ROBERT M. RENAUD & ASSOCIATES

Firm's EIN ▶ 77-0383243

Firm's address ▶ P.O. BOX 22508
SANTA BARBARA, CA 93121-2508

Phone no. (805)965-7737

Form **990-PF** (2011)

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

# Schedule of Contributors

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

OMB No 1545-0047

**2011**

**Name of the organization**

STONE FAMILY FOUNDATION

**Employer identification number**

84-1549096

**Organization type** (check one).

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

Check if your organization is covered by the **General Rule** or a **Special Rule.**

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

**General Rule**

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

**Special Rules**

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

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

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

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

LHA **For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.** **Schedule B (Form 990, 990-EZ, or 990-PF) (2011)**

| Name of organization | Employer identification number |
|---|---|
| STONE FAMILY FOUNDATION | 84-1549096 |

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

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | ESTATE OF GEORGE STONE<br>2035 LAS TUNAS ROAD<br>SANTA BARBARA, CA 93103 | $ 16,467,056. | Person ☒<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution.) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution ) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution ) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution ) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution.) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution ) |

**Name of organization**

STONE FAMILY FOUNDATION

**Employer identification number**

84-1549096

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

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

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

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

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

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

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

| Name of organization | Employer identification number |
|---|---|
| STONE FAMILY FOUNDATION | 84-1549096 |

**Part III** *Exclusively* religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than $1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of $1,000 or less for the year. (Enter this information once) ▶ $________

Use duplicate copies of Part III if additional space is needed

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

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

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

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

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

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

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

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

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

| SOURCE | AMOUNT |
|---|---|
| MERRILL LYNCH | 16,737. |
| TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A | 16,737. |

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|---|---|---|---|
| MERRILL LYNCH | 495,875. | 62,224. | 433,651. |
| TOTAL TO FM 990-PF, PART I, LN 4 | 495,875. | 62,224. | 433,651. |

## FORM 990-PF OTHER INCOME STATEMENT 3

| DESCRIPTION | (A) REVENUE PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|
| PARTNERSHIP DISTRIBUTIONS | 4,104. | 4,104. | |
| OTHER | 349. | 349. | |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | 4,453. | 4,453. | |

## FORM 990-PF ACCOUNTING FEES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| ACCOUNTING FEES | 5,291. | 3,968. | | 1,323. |
| TO FORM 990-PF, PG 1, LN 16B | 5,291. | 3,968. | | 1,323. |

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 5

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| INVESTMENT FEES | 190. | 190. | | 0. |
| TO FORM 990-PF, PG 1, LN 16C | 190. | 190. | | 0. |

FORM 990-PF TAXES STATEMENT 6

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| IRS | 149. | 149. | | 0. |
| FOREIGN TAXES | 369. | 369. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 518. | 518. | | 0. |

FORM 990-PF OTHER EXPENSES STATEMENT 7

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| OFFICE EXPENSES | 1,858. | 1,394. | | 464. |
| TO FORM 990-PF, PG 1, LN 23 | 1,858. | 1,394. | | 464. |

FORM 990-PF CORPORATE STOCK STATEMENT 8

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| MERRILL LYNCH | 17,324,939. | 17,417,018. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 17,324,939. | 17,417,018. |

# Stone Family Foundation
# Grants and Contributions Paid
# 2011

| Recipient | Address | Amount |
|---|---|---|
| Children's Hospital Colorado Foundation | 13123 E 16th Ave, B045<br>Aurora, CO 80045 | 20,000 |
| Rocky Mountain Public Broadcasting Network, Inc | 1089 Bannock St<br>Denver, CO 80204 | 4,000 |
| Colorado Public Television Inc | 2900 Welton St<br>Denver, CO 80205 | 4,000 |
| Denver Dumb Friends League | 2080 So Quebec St<br>Denver, CO 80231 | 10,000 |
| Laradon Hall Society For Exceptional Children | 5100 Lincoln St<br>Denver, CO 80216 | 20,000 |
| Diabetes Resouce Center | 1704 State St<br>Santa Barbara, CA 93101 | 1,000 |
| Central Coast Alzheimer's Assoc | 1528 Chapala St #204<br>Santa Barbara, CA 93101 | 1,000 |
| KCBX, Inc | 4100 Vachell Lane<br>San Luis Obispo, CA 93401 | 1,000 |
| Classical KUSC | PO Box 77913<br>Los Angeles, CA 90007 | 1,000 |
| KCLU | 60 West Olsen Rd, #4400<br>Thousand Oaks, CA 91360 | 1,000 |
| Sarah House | PO Box 20031<br>Santa Barbara, CA 93120 | 20,000 |
| Camarillo Hospice | 400 Rosewood Ave #102 | |

Stone Family Foundation
Grants and Contributions Paid
2011

| Recipient | Address | Amount |
|---|---|---|
| | Camarillo, CA 93010 | 20,000 |
| Hospice of San Luis Obispo County | 1304 Pacific St<br>San Luis Obispo, CA 93401 | 20,000 |
| Santa Barbara Museum of Art | 1130 State St<br>Santa Barbara, CA 93101 | 1,500 |
| Total | | 124,500 |

| Cash | Market Value | Assets |
|---|---|---|
| Cash | 41,023.15 | <1% |
| **Total Cash** | **41,023.15** | **<1%** |

| Money Market Funds [Sweep] | Quantity | Market Price | Market Value | Current Yield | % of Account Assets |
|---|---|---|---|---|---|
| SCHWAB CASH RESERVES: SWSXX | 31,182.8800 | 1.0000 | 31,182.88 | 0.06% | <1% |
| **Total Money Market Funds [Sweep]** | | | **31,182.88** | | **<1%** |

| **Total Cash & Money Market [Sweep]** | **72,206.03** | **<1%** |
|---|---|---|

*G000009080310*

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

## Investment Detail - Equities

Accounting Method
Equities: First In First Out [FIFO]

| Equities | Quantity | Market Price | Market Value<br>*Cost Basis* | % of Account Assets | Unrealized Gain or (Loss) | Estimated Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|
| **A T & T INC NEW**<br>SYMBOL: T | 1,730.0000 | 30.2400 | 52,315.20<br>*50,192.79* | <1% | 2,122.41 | 5.68% | 2,975.60 |
| **CENTURYLINK INC**<br>SYMBOL: CTL | 1,120.0000 | 37.2000 | 41,664.00<br>*40,136.31* | <1% | 1,527.69 | 7.79% | 3,248.00 |
| **FRONTIER COMMUNICATIONS**<br>SYMBOL: FTR | 3,850.0000 | 5.1500 | 19,827.50<br>*20,025.10* | <1% | (197.60) | 14.56% | 2,887.50 |
| **NUVEEN DIV ADV MUN FD 3**<br>NATIONAL<br>SYMBOL: NZF | 25,000.0000 | 14.7100 | 367,750.00<br>*354,955.00*[e] | 2% | 12,795.00 | 6.68% | 24,600.00 |
| **NUVEEN DIVD ADV MUNI FD**<br>SYMBOL: NAD | 12,500.0000 | 14.5600 | 182,000.00<br>*175,718.75*[e] | 1% | 6,281.25 | 6.26% | 11,400.00 |
| **NUVEEN INVT QLTY MUN FD**<br>SYMBOL: NQM | 17,500.0000 | 15.6100 | 273,175.00<br>*248,133.85*[e] | 2% | 25,041.15 | 6.45% | 17,640.00 |
| **NUVEEN MUNI ADVTG FUND**<br>SYMBOL: NMA | 17,500.0000 | 14.6800 | 256,900.00<br>*252,612.50*[e] | 1% | 4,287.50 | 6.74% | 17,325.00 |
| **NUVEEN PERFORMANCE PLUS**<br>MUNI FUND INC<br>SYMBOL: NPP | 20,000.0000 | 15.2800 | 305,600.00<br>*285,900.00*[e] | 2% | 19,700.00 | 6.28% | 19,200.00 |
| **NUVEEN PREM INC MUN FD 4**<br>SYMBOL: NPT | 6,520.0000 | 13.4400 | 87,628.80<br>*82,918.10*[e] | <1% | 4,710.70 | 6.33% | 5,555.04 |
| **VERIZON COMMUNICATIONS**<br>SYMBOL: VZ | 1,320.0000 | 40.1200 | 52,958.40<br>*50,220.22* | <1% | 2,738.18 | 4.98% | 2,640.00 |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

## Investment Detail - Equities (continued)

Accounting Method
Equities: First In First Out [FIFO]

| Equities (continued) | Quantity | Market Price | Market Value<br>*Cost Basis* | % of Account Assets | Unrealized Gain or (Loss) | Estimated Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|
| **WINDSTREAM CORPORATION**<br>SYMBOL: WIN | 3,430.0000 | 11.7400 | 40,268.20<br>*40,037.05* | <1% | 231.15 | 8.51% | 3,430.00 |
| **Total Equities** | 110,470.0000 | | 1,680,087.10 | 10% | 79,237.43 | | 110,901.14 |
| | | Total Cost Basis: | 1,600,849.67 | | | | |

*Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.*

## Investment Detail - Mutual Funds

Accounting Method
Mutual Funds: Average

| Bond Funds | Quantity | Market Price | Market Value | % of Account Assets | Average Cost Basis | Cost Basis | Unrealized Gain or (Loss) |
|---|---|---|---|---|---|---|---|
| **FIDELITY GNMA** ♀<br>SYMBOL: FGMNX | 38,574.6390 | 11.8400 | 456,723.73 | 3% | 11.80 | 455,248.38 | 1,475.35 |
| **METROPOLITAN WEST HIGH** ♀<br>YIELD BOND M<br>SYMBOL: MWHYX | 46,687.9410 | 9.8200 | 458,475.58 | 3% | 9.88 | 461,210.44 | (2,734.86) |
| **METROPOLITAN WEST TOTAL** ♀<br>RETURN BOND M<br>SYMBOL: MWTRX | 87,941.2530 | 10.3700 | 911,950.79 | 5% | 10.40 | 914,538.06 | (2,587.27) |
| **RIDGEWORTH HIGH INCOME** ♀<br>CL I<br>SYMBOL: STHTX | 69,223.9850 | 6.5700 | 454,801.58 | 3% | 6.67 | 461,507.75 | (6,706.17) |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings.
Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

## Investment Detail - Mutual Funds (continued)

Accounting Method
Mutual Funds: Average

| Bond Funds (continued) | Quantity | Market Price | Market Value | % of Account Assets | Average Cost Basis | Cost Basis | Unrealized Gain or (Loss) |
|---|---|---|---|---|---|---|---|
| **TCW TOTAL RETURN BOND** ♀<br>FUND I CLASS<br>SYMBOL: TGLMX | 93,622.7550 | 9.6400 | 902,523.36 | 5% | 9.80 | 917,378.36 | (14,855.00) |
| **VANGUARD GNMA FUND** ♀<br>INVESTOR SHARE<br>SYMBOL: VFIIX | 41,362.1430 | 11.0700 | 457,878.92 | 3% | 11.07 | 457,885.26 | (6.34) |
| **Total Bond Funds** | **377,412.7160** | | **3,642,353.96** | **21%** | | **3,667,768.25** | **(25,414.29)** |

| Equity Funds | Quantity | Market Price | Market Value | % of Account Assets | Average Cost Basis | Cost Basis | Unrealized Gain or (Loss) |
|---|---|---|---|---|---|---|---|
| **AMERICAN CENTURY EQUITY** ♀<br>INCOME INV CL<br>SYMBOL: TWEIX | 143,298.5690 | 7.2700 | 1,041,780.60 | 6% | 7.04 | 1,009,147.73 | 32,632.87 |
| **APPLESEED FD INVESTOR CL** ♀<br>SYMBOL: APPLX | 20,193.9400 | 11.7500 | 237,278.80 | 1% | 13.09 | 264,282.46 | (27,003.66) |
| **FIDELITY SMALL CAP VALUE** ♀<br>FUND<br>SYMBOL: FCPVX | 18,173.1630 | 13.9800 | 254,060.82 | 1% | 13.89 | 252,443.76 | 1,617.06 |
| **PARNASSUS EQUITY** ♀<br>INCOME FUND INST<br>SYMBOL: PRILX | 19,709.2460 | 26.4100 | 520,521.19 | 3% | 25.91 | 510,623.89 | 9,897.30 |
| **QUEENS ROAD SMALL CAP** ♀<br>VALUE FUND<br>SYMBOL: QRSVX | 13,639.6670 | 17.9200 | 244,422.83 | 1% | 19.55 | 266,650.56 | (22,227.73) |
| **SEQUOIA FUND** ♀<br>SYMBOL: SEQUX | 3,631.8050 | 145.5000 | 528,427.63 | 3% | 138.51 | 503,024.93 | 25,402.70 |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

## Investment Detail - Mutual Funds (continued)

Accounting Method
Mutual Funds: Average

| Equity Funds (continued) | Quantity | Market Price | Market Value | % of Account Assets | Average Cost Basis | Cost Basis | Unrealized Gain or (Loss) |
|---|---|---|---|---|---|---|---|
| **VANGUARD SELECTED VALUE** ♀<br>FUND<br>SYMBOL: VASVX | 13,254.5790 | 18.5900 | 246,402.62 | 1% | 19.18 | 254,260.03 | (7,857.41) |
| **YACKTMAN FUND** ♀<br>SYMBOL: YACKX | 58,860.0350 | 17.5100 | 1,030,639.21 | 6% | 17.23 | 1,013,895.57 | 16,743.64 |
| **Total Equity Funds** | **290,761.0040** | | **4,103,533.70** | **23%** | | **4,074,328.93** | **29,204.77** |
| **Total Mutual Funds** | **668,173.7200** | | **7,745,887.66** | **44%** | | **7,742,097.18** | **3,790.48** |

## Investment Detail - Other Assets

Accounting Method
Other Assets: First In First Out [FIFO]

| Other Assets | Quantity | Market Price | Market Value<br>*Cost Basis* | % of Account Assets | Unrealized Gain or (Loss) |
|---|---|---|---|---|---|
| **A E S TRUST III 6.75%29**<br>CONV TR PFD DUE 10/15/29<br>SUBJ TO XTRO REDEMPTION<br>SYMBOL: AES+C | 7,046.0000 | 49.0900 | 345,888.14<br>*316,277.32*[e] | 2% | 29,610.82 |
| **AMERICAN CAPITAL AGENCY**<br>REITS<br>SYMBOL: AGNC | 35,000.0000 | 28.0800 | 982,800.00<br>*991,028.20* | 6% | (8,228.20) |
| **VANGUARD BOND INDEX FUND**<br>SHORT TERM BOND ETF<br>SYMBOL: BSV | 25,000.0000 | 80.8400 | 2,021,000.00<br>*2,030,859.04* | 12% | (9,859.04) |
| **VANGUARD CORP BOND ETF**<br>INTERMEDIATE-TERM<br>SYMBOL: VCIT | 23,730.0000 | 82.3700 | 1,954,640.10<br>*1,911,731.76* | 11% | 42,908.34 |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

## Investment Detail - Other Assets (continued)

Accounting Method
Other Assets: First In First Out [FIFO]

| Other Assets (continued) | Quantity | Market Price | Market Value<br>*Cost Basis* | % of Account Assets | Unrealized Gain or (Loss) |
|---|---|---|---|---|---|
| **VANGUARD CORP BOND ETF**<br>SHORT-TERM CORP BOND<br>SYMBOL: VCSH | 34,507.0000 | 77.8600 | 2,686,715.02<br>*2,717,736.23* | 15% | (31,021.21) |
| **Total Other Assets** | 125,283.0000 | | 7,991,043.26 | 46% | 23,410.71 |
| | | Total Cost Basis: | 7,967,632.55 | | |

## Investment Detail - Unpriced Securities

Accounting Method
Unpriced Securities: First In First Out [FIFO]

| Unpriced Securities | Quantity | Market Price | Market Value<br>*Cost Basis* | Unrealized Gain or (Loss) |
|---|---|---|---|---|
| **GENERAL MOTORS B 5.25XXX**<br>ESCROW PENDING POSSIBLE<br>FUTURE DISTRIBUTIONS | 2,000.0000 | N/A | N/A<br>14,360 00 | *Cost Basis is not tracked on this investment.* |
| **Total Unpriced Se** | 2,000.0000 | | N/A | |
| | | Total Cost Basis: | N/A | |

```
            0 • *
1 • 600 • 849 • 67 +
3 • 667 • 768 • 25 +
4 • 074 • 328 • 93 +
7 • 967 • 632 • 55 +
    14 • 360 • 00 +
17 • 324 • 939 • 40 *

            0 • *
```

| | |
|---|---|
| **Total Investment Detail** | 17,489,224.05 |
| **Total Account Value (excl. Unpriced Securities)** | 17,489,224.05 |
| Total Cost Basis | 17,310,579.40 |

Schwab has providec possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings.
Please see "E- dnote of the endnote codes and symb-- on this statement.

charles SCHWAB

Accounts> History

Print This Page Close ⊗

Print in landscape for best results.

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# History

15,348,698.09+
227,920.42+
180,742.96+
15,757,361.47*

Transactions | Statements & Reports | **Realized Gain / Loss**

Trades mac
Cost Basis (

View Unrealized Gain/Loss

0 • *

Select Date Range: Custom Date Range From: 01/01/2011 To: 12/31/2011 Search

**Reporting Period:** 01 Jan, 2011 to 31 Dec, 2011

| StoneFamilyFound 9709-7886 | Proceeds | Cost Basis | To Gain/Loss ($\| % ) | Gain/Loss ($\| % ) | Gain/Loss ($\| % ) |
|---|---|---|---|---|---|
| **Total** | **$15,566,112.73** | **$15,348,698.09** | **⚠-$225,325.25** | **⚠-$498,653.38** | **⚠+$273,328.13** |

1 2 3 Next>

| Symbol | Name (Full\|Short) | Closed Date | Quantity | Proceeds | Cost Basis | Total Gain/Loss ($\| %) | Long Term Gain/Loss ($\| %) | Short Term Gain/Loss ($\| %) |
|---|---|---|---|---|---|---|---|---|
| MMM | 3M COMPANY | 08/17/2011 | 1,200 | $96,998 94 | $104,265.00 E | -$7,266 06 | -$7,266.06 | – |
| AES | A E S CORP | 08/17/2011 | 2,500 | $27,174.48 | $30,718 75 E | -$3,544.27 | -$3,544.27 | – |
| AES+C | A E S TRUST . | 09/01/2011 | 200 | $9,495.88 | $8,977.50 E | +$518.38 | +$518.38 | – |
| AES+C | A E S TRUST . . | 09/01/2011 | 150 | $7,121.90 | $6,733.13 E | +$388 77 | +$388.77 | – |
| AES+C | A E S TRUST ... | 09/01/2011 | 100 | $4,747.94 | $4,488.75 E | +$259 19 | +$259 19 | – |
| AES+C | A E S TRUST ... | 09/01/2011 | 4 | $189.92 | $179.55 E | +$10.37 | +$10 37 | – |
| T | A T & T INC . | 09/01/2011 | 3,131 | $88,789.58 | $87,242.51 | +$1,547 07 | – | +$1,547 07 |
| T | A T & T INC .. | 09/01/2011 | 869 | $24,642.43 | $24,222.34 | +$420 09 | – | +$420 09 |
| A | AGILENT TECH. . | 03/04/2011 | 762 | $35,508 71 | $53,936.47 E | -$18,427.76 | -$18,427 76 | – |
| ALL | ALLSTATE COR . | 08/17/2011 | 8,700 | $221,497.75 | $304,674 00 E | -$83,176.25 | -$83,176.25 | – |
| ALL | ALLSTATE COR... | 08/17/2011 | 2,100 | $53,467 07 | $73,542 00 E | -$20,074.93 | -$20,074.93 | – |
| ALL | ALLSTATE COR... | 08/17/2011 | 2,100 | $53,467.07 | $73,542 00 E | -$20,074 93 | -$20,074.93 | – |
| ALL | ALLSTATE COR . | 08/17/2011 | 800 | $20,368 01 | $28,016.00 E | -$7,647.99 | -$7,647 99 | – |
| ALL | ALLSTATE COR. . | 08/17/2011 | 700 | $17,822.15 | $24,514 00 E | -$6,691.85 | -$6,691.85 | – |
| ALL | ALLSTATE COR... | 08/17/2011 | 400 | $10,183.92 | $14,008 00 E | -$3,824.08 | -$3,824.08 | – |
| ALL | ALLSTATE COR. | 08/17/2011 | 100 | $2,546.02 | $3,502 00 E | -$955.98 | -$955.98 | – |
| ALL | ALLSTATE COR... | 08/17/2011 | 100 | $2,546 04 | $3,502 00 E | -$955 96 | -$955 96 | – |
| AIG | AMERICAN INT . | 02/11/2011 | 140 | $5,811.30 | $219,682 36 E | -$213,871 06 | -$213,871 06 | – |
| AIGWS | AMERICAN INT. | 02/11/2011 | 74 | $1,074 39 | $1,205 46 E | -$131.07 | – | -$131 07 |
| AMGN | AMGEN INCORP... | 08/02/2011 | 1,100 | $59,222.86 | $64,451 80 E | -$5,228.94 | -$5,228.94 | – |
| APC | ANADARKO PET . | 08/16/2011 | 500 | $36,049.31 | $36,623 75 E | -$574.44 | -$574.44 | – |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| APC | ANADARKO PET... | 08/16/2011 | 416 | $29,997.18 | $30,470 96 | -$473 78 | -$473 78 | – |
| APC | ANADARKO PET . | 08/16/2011 | 300 | $21,641 58 | $21,974 25 | -$332 67 | -$332.67 | – |
| APC | ANADARKO PET... | 08/16/2011 | 100 | $7,214 36 | $7,324 75 | -$110.39 | -$110.39 | – |
| APC | ANADARKO PET | 08/16/2011 | 100 | $7,211.07 | $7,324.75 | -$113.68 | -$113 68 | – |
| APC | ANADARKO PET. | 08/16/2011 | 100 | $7,211 86 | $7,324 75 | -$112 89 | -$112 89 | – |
| APC | ANADARKO PET. | 08/16/2011 | 100 | $7,212 36 | $7,324 75 | -$112.39 | -$112.39 | – |
| APC | ANADARKO PET .. | 08/16/2011 | 100 | $7,210.86 | $7,324 75 | -$113.89 | -$113.89 | – |
| APC | ANADARKO PET. . | 08/16/2011 | 100 | $7,211 86 | $7,324 75 | -$112.89 | -$112 89 | – |
| APC | ANADARKO PET... | 08/16/2011 | 100 | $7,210.86 | $7,324 75 | -$113.89 | -$113.89 | – |
| APC | ANADARKO PET . | 08/16/2011 | 100 | $7,212.01 | $7,324 75 | -$112.74 | -$112.74 | – |
| APC | ANADARKO PET.. | 08/16/2011 | 100 | $7,212.15 | $7,324 75 | -$112.60 | -$112.60 | – |
| APC | ANADARKO PET... | 08/16/2011 | 100 | $7,210 87 | $7,324 75 | -$113 88 | -$113 88 | – |
| APC | ANADARKO PET... | 08/16/2011 | 84 | $6,057.23 | $6,152.79 | -$95.56 | -$95.56 | – |
| APC | ANADARKO PET... | 08/16/2011 | 67 | $4,831.28 | $4,907.58 | -$76.30 | -$76.30 | – |
| APC | ANADARKO PET... | 08/16/2011 | 33 | $2,379.25 | $2,417.17 | -$37.92 | -$37 92 | – |
| NLY | ANNALY CAPIT .. | 11/18/2011 | 15,500 | $250,005 16 | $266,581 45 | -$16,576 29 | -$12,780.75 | -$3,795.54 |
| NLY | ANNALY CAPIT... | 11/18/2011 | 6,000 | $96,776.19 | $102,675.00 | -$5,898.81 | -$5,898.81 | – |
| NLY | ANNALY CAPIT... | 11/18/2011 | 4,200 | $67,743 33 | $71,872 50 | -$4,129.17 | -$4,129.17 | – |
| NLY | ANNALY CAPIT .. | 11/18/2011 | 1,100 | $17,742 41 | $18,823 75 | -$1,081.34 | -$1,081.34 | – |
| NLY | ANNALY CAPIT . | 11/18/2011 | 500 | $8,064.79 | $8,556 25 | -$491.46 | -$491.46 | – |
| NLY | ANNALY CAPIT... | 11/18/2011 | 200 | $3,226.87 | $3,422.50 | -$195.63 | -$195.63 | – |
| ARCC | ARES CAPITAL... | 09/01/2011 | 2,438 | $36,170 28 | $39,590 60 | -$3,420.32 | -$3,420.32 | – |
| BAC | BANK OF AMER .. | 08/17/2011 | 16,410 | $122,252.15 | $136,036.75 | -$13,784.60 | -$13,784.60 | – |
| BAX | BAXTER INTER. . | 08/30/2011 | 2,500 | $138,765 89 | $123,575.00 | +$15,190 89 | +$15,190 89 | – |
| BDN | BRANDYWINE R. . | 09/01/2011 | 1,700 | $16,335.36 | $22,650.12 | -$6,314.76 | -$6,314.76 | – |
| BDN | BRANDYWINE R... | 09/01/2011 | 1,700 | $16,335.35 | $22,650.12 | -$6,314.77 | -$6,314.77 | – |
| BDN | BRANDYWINE R... | 09/01/2011 | 400 | $3,843 45 | $5,329 44 | -$1,485.99 | -$1,485.99 | – |
| BDN | BRANDYWINE R .. | 09/01/2011 | 200 | $1,921.66 | $2,664.72 | -$743 06 | -$743.06 | – |
| BDN | BRANDYWINE R .. | 09/01/2011 | 200 | $1,921.60 | $2,664.72 | -$743.12 | -$743.12 | – |
| BDN | BRANDYWINE R. | 09/01/2011 | 100 | $960 93 | $1,332 36 | -$371.43 | -$371.43 | – |
| BDN | BRANDYWINE R... | 09/01/2011 | 100 | $960.81 | $1,332.36 | -$371.55 | -$371.55 | – |
| BDN | BRANDYWINE R . | 09/01/2011 | 100 | $960.90 | $1,332.36 | -$371.46 | -$371.46 | – |
| BDN | BRANDYWINE R... | 09/01/2011 | 100 | $960 82 | $1,332.36 | -$371.54 | -$371.54 | – |
| BDN | BRANDYWINE R... | 09/01/2011 | 100 | $960.86 | $1,332 36 | -$371.50 | -$371.50 | – |
| BDN | BRANDYWINE R. | 09/01/2011 | 100 | $960.85 | $1,332.36 | -$371 51 | -$371.51 | – |
| BDN | BRANDYWINE R. . | 09/01/2011 | 100 | $960 86 | $1,332 36 | -$371 50 | -$371.50 | – |
| BDN | BRANDYWINE R | 09/01/2011 | 100 | $960 91 | $1,332 36 | -$371 45 | -$371.45 | – |
| BMY | BRISTOL-MYER | 08/02/2011 | 200 | $5,697 89 | $4,914 00 | +$783 89 | +$783 89 | – |
| BMY | BRISTOL-MYER... | 08/30/2011 | 36,554 | $1,062,595.61 | $898,131 78 | +$164,463 83 | +$164,463 83 | – |
| BMY | BRISTOL-MYER . | 08/30/2011 | 400 | $11,628 68 | $9,828 00 | +$1,800 68 | +$1,800 68 | – |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| BMY | BRISTOL-MYER. . | 08/30/2011 | 346 | $10,057.95 | $8,501 22 | ✓ +$1,556 73 | +$1,556 73 | – |
| CA | CA INC | 06/30/2011 | 2,000 | $45,759 12 | $47,102 50 | ✓ -$1,343.38 | -$1,343.38 | – |
| CT | CAPITAL TRUS... | 06/30/2011 | 200 | $767 99 | $543 50 | ✓ +$224.49 | +$224 49 | – |
| CMO | CAPSTEAD MOR... | 11/18/2011 | 14,400 | $177,252 56 | $169,041 06 | +$8,211 50 | +$8,211 50 | – |
| CMO | CAPSTEAD MOR .. | 11/18/2011 | 500 | $6,154 80 | $5,869.48 | +$285.32 | +$285 32 | – |
| CMO | CAPSTEAD MOR . | 11/18/2011 | 400 | $4,924 09 | $4,695 59 | +$228 50 | +$228 50 | – |
| CMO | CAPSTEAD MOR.. | 11/18/2011 | 200 | $2,461.92 | $2,347 79 | +$114 13 | +$114 13 | – |
| CMO | CAPSTEAD MOR .. | 11/18/2011 | 100 | $1,230 97 | $1,173 90 | +$57 07 | +$57 07 | – |
| CMO | CAPSTEAD MOR... | 11/18/2011 | 100 | $1,231.01 | $1,173 90 | +$57 11 | +$57.11 | – |
| CMO | CAPSTEAD MOR .. | 11/18/2011 | 100 | $1,230 97 | $1,173 90 | +$57 07 | +$57 07 | – |
| CMO | CAPSTEAD MOR.. | 11/18/2011 | 100 | $1,230.92 | $1,173 90 | +$57 02 | +$57 02 | – |
| CMO | CAPSTEAD MOR... | 11/18/2011 | 100 | $1,230 96 | $1,173.90 | +$57 06 | +$57 06 | – |
| CMO+B | CAPSTEAD MTG... | 08/02/2011 | 1,797 | $25,662.47 | $23,946.30 | +$1,716 17 | +$1,716 17 | – |
| CMO+B | CAPSTEAD MTG . | 08/02/2011 | 442 | $6,316.06 | $5,889 96 | +$426 10 | +$426 10 | – |
| CMO+B | CAPSTEAD MTG... | 08/02/2011 | 242 | $3,455.69 | $3,224 82 | +$230 87 | +$230.87 | – |
| CMO+B | CAPSTEAD MTG... | 08/02/2011 | 200 | $2,857 95 | $2,665 14 | +$192 81 | +$192 81 | – |
| CMO+B | CAPSTEAD MTG... | 08/02/2011 | 200 | $2,855.95 | $2,665.14 | +$190 81 | +$190 81 | – |
| CMO+B | CAPSTEAD MTG .. | 12/08/2011 | 2,800 | $39,894 52 | $37,311 98 | +$2,582 54 | +$2,582 54 | – |
| CMO+B | CAPSTEAD MTG. . | 12/08/2011 | 2,525 | $35,978.85 | $33,647 42 | +$2,331 43 | +$2,331.43 | – |
| CMO+B | CAPSTEAD MTG .. | 12/08/2011 | 1,700 | $24,307 74 | $22,653 71 | +$1,654 03 | +$1,654 03 | – |
| CMO+B | CAPSTEAD MTG... | 12/08/2011 | 1,300 | $18,602.57 | $17,323 42 | +$1,279.15 | +$1,279 15 | – |
| CMO+B | CAPSTEAD MTG... | 12/08/2011 | 1,300 | $18,588 27 | $17,323.42 | +$1,264 85 | +$1,264 85 | – |
| CMO+B | CAPSTEAD MTG... | 12/08/2011 | 1,001 | $14,312 98 | $13,339 03 | +$973 95 | +$973 95 | – |
| CMO+B | CAPSTEAD MTG... | 12/08/2011 | 1,000 | $14,308 68 | $13,325 71 | +$982 97 | +$982 97 | – |
| CMO+B | CAPSTEAD MTG .. | 12/08/2011 | 1,000 | $14,298 68 | $13,325.71 | +$972.97 | +$972 97 | – |
| CMO+B | CAPSTEAD MTG .. | 12/08/2011 | 790 | $11,358 93 | $10,527 31 | +$831.62 | +$831.62 | – |
| CMO+B | CAPSTEAD MTG... | 12/08/2011 | 700 | $10,009 07 | $9,328 00 | +$681 07 | +$681 07 | – |
| CMO+B | CAPSTEAD MTG .. | 12/08/2011 | 400 | $5,719.47 | $5,330.28 | +$389 19 | +$389 19 | – |
| CMO+B | CAPSTEAD MTG... | 12/08/2011 | 100 | $1,430 86 | $1,332.57 | +$98 29 | +$98 29 | – |
| CTL | CENTURYLINK .. | 08/02/2011 | 3,170 | $118,841 02 | $107,168 50 | +$11,672 52 | +$11,672 52 | – |
| CTL | CENTURYLINK . | 08/02/2011 | 1,327 | $49,748 27 | $44,862.02 | +$4,886.25 | +$4,886 25 | – |
| CTL | CENTURYLINK ... | 08/02/2011 | 1,135 | $42,550.33 | $38,371 06 | ^ +$4,179 27 | +$4,179 27 | – |
| CTL | CENTURYLINK .. | 08/02/2011 | 200 | $7,497 86 | $6,761.42 | +$736.44 | +$736 44 | – |
| CHKE | CHEROKEE INC .. | 08/05/2011 | 1,558 | $23,914.84 | $31,715 82 | -$7,800 98 | -$7,800.98 | – |
| CHKE | CHEROKEE INC... | 08/05/2011 | 750 | $11,512 28 | $15,267.56 | -$3,755.28 | -$3,755.28 | – |
| CHKE | CHEROKEE INC .. | 08/05/2011 | 400 | $6,139 88 | $8,142 70 | -$2,002.82 | -$2,002 82 | – |
| CHKE | CHEROKEE INC... | 08/05/2011 | 300 | $4,604.91 | $6,107 02 | -$1,502.11 | -$1,502.11 | – |
| CHKE | CHEROKEE INC .. | 08/05/2011 | 181 | $2,778 30 | $3,684 57 | -$906.27 | -$906.27 | – |
| CHKE | CHEROKEE INC. | 08/05/2011 | 100 | $1,534 97 | $2,035 67 | -$500.70 | -$500.70 | – |
| CHKE | CHEROKEE INC .. | 08/05/2011 | 100 | $1,534 97 | $2,035 68 | -$500.71 | -$500.71 | – |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| CHKE | CHEROKEE INC .. | 08/05/2011 | 69 | $1,059.13 | $1,404 62 ▤ | -$345 49 | -$345.49 | -- |
| CHKE | CHEROKEE INC .. | 08/17/2011 | 388 | $5,486.21 | $7,898 42 ▤ | -$2,412.21 | -$2,412 21 | -- |
| CHKE | CHEROKEE INC. . | 08/17/2011 | 266 | $3,761.17 | $5,414.90 ▤ | -$1,653 73 | -$1,653.73 | -- |
| CHKE | CHEROKEE INC | 08/26/2011 | 87 | $1,249.05 | $1,771 04 ▤ | -$521.99 | -$521.99 | -- |
| CHKE | CHEROKEE INC... | 08/26/2011 | 58 | $827.39 | $1,180.69 ▤ | -$353 30 | -$353.30 | -- |
| CHKE | CHEROKEE INC... | 08/30/2011 | 733 | $10,472.75 | $14,921 49 ▤ | -$4,448.74 | -$4,448 74 | -- |
| CHKE | CHEROKEE INC. . | 08/30/2011 | 10 | $134 35 | $203.57 ▤ | -$69 22 | -$69.22 | -- |
| CHK | CHESAPEAKE E .. | 08/17/2011 | 1,900 | $59,981 85 | $46,450.06 ▤ | +$13,531 79 | +$13,531 79 | -- |
| CHK | CHESAPEAKE E | 08/17/2011 | 1,200 | $37,884 47 | $29,336.88 ▤ | +$8,547 59 | +$8,547 59 | -- |
| CHK | CHESAPEAKE E. . | 08/17/2011 | 1,100 | $34,727 43 | $26,892.14 ▤ | +$7,835 29 | +$7,835 29 | -- |
| CHK | CHESAPEAKE E... | 08/17/2011 | 200 | $6,314.10 | $4,889.48 ▤ | +$1,424 62 | +$1,424 62 | -- |
| CHK | CHESAPEAKE E. . | 08/17/2011 | 100 | $3,156.98 | $2,444 74 ▤ | +$712 24 | +$712 24 | -- |
| CHK | CHESAPEAKE E. . | 08/17/2011 | 100 | $3,157.11 | $2,444.74 ▤ | +$712 37 | +$712 37 | -- |
| CHK | CHESAPEAKE E. . | 08/17/2011 | 100 | $3,157.11 | $2,444 74 ▤ | +$712 37 | +$712 37 | -- |
| CHK | CHESAPEAKE E... | 08/17/2011 | 100 | $3,157 07 | $2,444.74 ▤ | +$712 33 | +$712.33 | -- |
| CHK | CHESAPEAKE E . | 08/17/2011 | 100 | $3,157 04 | $2,444.74 ▤ | +$712 30 | +$712.30 | -- |
| CHK | CHESAPEAKE E . | 08/17/2011 | 100 | $3,157 01 | $2,444.74 ▤ | +$712 27 | +$712.27 | -- |
| CSCO | CISCO SYSTEM... | 08/17/2011 | 6,100 | $95,835.26 | $167,597 50 ▤ | -$71,762 24 | -$71,762.24 | -- |
| CTXS | CITRIX SYSTE... | 08/26/2011 | 1,200 | $65,995.64 | $58,185 00 ▤ | +$7,810 64 | +$7,810 64 | -- |
| CTXS | CITRIX SYSTE... | 08/26/2011 | 586 | $32,227.28 | $28,413 67 ▤ | +$3,813 61 | +$3,813 61 | -- |
| CTXS | CITRIX SYSTE... | 08/26/2011 | 500 | $27,491 68 | $24,243.75 ▤ | +$3,247 93 | +$3,247 93 | -- |
| CTXS | CITRIX SYSTE... | 08/26/2011 | 114 | $6,269 70 | $5,527.58 ▤ | +$742 12 | +$742.12 | -- |
| CTXS | CITRIX SYSTE .. | 08/26/2011 | 100 | $5,500.03 | $4,848 75 ▤ | +$651.28 | +$651 28 | -- |
| CNO | CNO FINANCIA . | 03/07/2011 | 2,539 | $18,449.88 | $44,147 45 ▤ ✓ | -$25,697.57 | -$25,697 57 | -- |
| CNO | CNO FINANCIA. . | 03/07/2011 | 200 | $1,453.32 | $3,477.55 ▤ ✓ | -$2,024.23 | -$2,024.23 | -- |
| KO | COCA COLA CO... | 08/17/2011 | 1,000 | $68,960 68 | $54,070.00 ▤ | +$14,890 68 | +$14,890 68 | -- |
| CWH | COMMONWEALTH... | 08/17/2011 | 300 | $6,094 08 | $9,651 00 ▤ | -$3,556.92 | -$3,556.92 | -- |
| CWH | COMMONWEALTH .. | 08/17/2011 | 100 | $2,032 16 | $3,217 00 ▤ | -$1,184.84 | -$1,184.84 | -- |
| CWH | COMMONWEALTH... | 08/17/2011 | 100 | $2,032.16 | $3,217 00 ▤ | -$1,184.84 | -$1,184 84 | -- |
| COV | COVIDIEN PLC . | 08/17/2011 | 400 | $20,052 41 | $19,508 00 ▤ | +$544 41 | +$544 41 | -- |
| COV | COVIDIEN PLC. . | 08/17/2011 | 100 | $5,012 96 | $4,877 00 ▤ | +$135 96 | +$135 96 | -- |
| COV | COVIDIEN PLC . | 08/17/2011 | 100 | $5,013 00 | $4,877 00 ▤ | +$136 00 | +$136 00 | -- |
| COV | COVIDIEN PLC. . | 08/17/2011 | 25 | $1,253 25 | $1,219 25 ▤ | +$34 00 | +$34.00 | -- |
| DFS | DISCOVER FIN . | 08/17/2011 | 1,000 | $23,951 54 | $16,107 50 ▤ | +$7,844 04 | +$7,844 04 | -- |
| DIS | DISNEY WALT .. | 08/17/2011 | 1,800 | $59,672.45 | $66,217 50 ▤ | -$6,545.05 | -$6,545.05 | -- |
| D | DOMINION RES . | 08/02/2011 | 993 | $48,139 72 | $41,405 62 ▤ | +$6,734 10 | +$6,734 10 | -- |
| D | DOMINION RES . | 08/02/2011 | 6 | $290 87 | $250 19 ▤ | +$40 68 | +$40 68 | -- |
| DRE | DUKE REALTY . | 08/17/2011 | 2,400 | $28,607 45 | $32,654 39 ▤ | -$4,046 94 | -$4,046 94 | -- |
| DRE | DUKE REALTY ... | 08/17/2011 | 100 | $1,192 08 | $1,360 60 ▤ | -$168.52 | -$168.52 | -- |
| EMC | E M C CORP M... | 03/04/2011 | 1,700 | $46,237 77 | $24,038 00 ▤ ✓ | +$22,199 77 | +$22,199 77 | -- |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| EMC | E M C CORP M... | 03/04/2011 | 1,700 | $46,237.77 | $24,038 00 | +$22,199 77 | +$22,199 77 | – |
| EMC | E M C CORP M . | 03/04/2011 | 800 | $21,758.95 | $11,312 00 | +$10,446 95 | +$10,446 95 | – |
| EMC | E M C CORP M. . | 03/04/2011 | 200 | $5,439 70 | $2,828.00 | +$2,611 70 | +$2,611 70 | – |
| EMC | E M C CORP M. . | 03/04/2011 | 200 | $5,439.76 | $2,828.00 | +$2,611 76 | +$2,611 76 | – |
| EMC | E M C CORP M. . | 03/04/2011 | 100 | $2,719.79 | $1,414.00 | +$1,305 79 | +$1,305 79 | – |
| EMC | E M C CORP M .. | 03/04/2011 | 100 | $2,719.82 | $1,414 00 | +$1,305 82 | +$1,305 82 | – |
| EMC | E M C CORP M... | 03/04/2011 | 100 | $2,719.85 | $1,414 00 | +$1,305 85 | +$1,305 85 | – |
| EMC | E M C CORP M .. | 03/04/2011 | 100 | $2,719.82 | $1,414 00 | +$1,305 82 | +$1,305 82 | – |
| EMC | E M C CORP M... | 08/30/2011 | 2,000 | $44,013.99 | $39,753 80 | +$4,260.19 | +$4,260.19 | – |
| EMC | E M C CORP M .. | 08/30/2011 | 500 | $11,004.25 | $9,938 45 | +$1,065 80 | +$1,065 80 | – |
| EP+C | EL PASO ENER... | 08/03/2011 | 4,500 | $200,201.16 | $169,880 51 | +$30,320 65 | +$30,320 65 | – |
| EP+C | EL PASO ENER... | 08/03/2011 | 3,000 | $133,467.44 | $113,253.68 | +$20,213 76 | +$20,213 76 | – |
| EMR | EMERSON ELEC .. | 08/17/2011 | 1,600 | $73,316.99 | $84,028 00 | -$10,711.01 | -$10,711 01 | – |
| ENDP | ENDO PHARM H.. | 08/30/2011 | 1,100 | $34,712 51 | $25,107 50 | +$9,605 01 | +$9,605 01 | – |
| ENDP | ENDO PHARM H. . | 08/30/2011 | 500 | $15,782 91 | $11,412.50 | +$4,370.41 | +$4,370 41 | – |
| ENDP | ENDO PHARM H. . | 08/30/2011 | 306 | $9,659.13 | $6,984 45 | +$2,674 68 | +$2,674 68 | – |
| ENDP | ENDO PHARM H... | 08/30/2011 | 200 | $6,311 36 | $4,565 00 | +$1,746 36 | +$1,746.36 | – |
| ENDP | ENDO PHARM H... | 08/30/2011 | 200 | $6,311 16 | $4,565.00 | +$1,746 16 | +$1,746 16 | – |
| ENDP | ENDO PHARM H... | 08/30/2011 | 100 | $3,155 63 | $2,282.50 | +$873 13 | +$873 13 | – |
| ENDP | ENDO PHARM H.. | 08/30/2011 | 94 | $2,966.25 | $2,145 55 | +$820 70 | +$820 70 | – |
| ETP | ENERGY TRANS... | 07/13/2011 | 600 | $28,871.45 | $31,580.36 | -$2,708.91 | – | -$2,708.91 |
| NPO | ENPRO INDUST... | 08/30/2011 | 1,000 | $38,910 30 | $31,835 00 | +$7,075 30 | +$7,075 30 | – |
| EQR | EQUITY RESID .. | 08/17/2011 | 1,254 | $76,054 72 | $56,057.30 | +$19,997 42 | +$19,997 42 | – |
| XOM | EXXON MOBIL ... | 08/16/2011 | 2,400 | $176,636 61 | $165,546.00 | +$11,090.61 | +$11,090 61 | – |
| FDX | FEDEX CORPOR .. | 08/26/2011 | 1,500 | $112,896.88 | $138,895.50 | -$25,998.62 | -$25,998.62 | – |
| FNF | FIDELITY NAT. . | 08/17/2011 | 3,551 | $57,557.02 | $54,747 54 | +$2,809 48 | +$2,809.48 | – |
| FNF | FIDELITY NAT .. | 08/17/2011 | 2,200 | $35,659.11 | $33,918 50 | +$1,740.61 | +$1,740 61 | – |
| FIS | FIDELITY NAT .. | 08/17/2011 | 1,900 | $52,871.65 | $48,775 97 | +$4,095 68 | +$4,095 68 | – |
| FNF | FIDELITY NAT . | 08/17/2011 | 1,442 | $23,374.36 | $22,232 04 | +$1,142.32 | +$1,142 32 | – |
| FNF | FIDELITY NAT... | 08/17/2011 | 1,000 | $16,209.68 | $15,417 50 | +$792 18 | +$792 18 | – |
| FIS | FIDELITY NAT... | 08/17/2011 | 509 | $14,164.03 | $13,066.83 | +$1,097 20 | +$1,097 20 | – |
| FNF | FIDELITY NAT.. | 08/17/2011 | 300 | $4,863.36 | $4,625.25 | +$238 11 | +$238 11 | – |
| FIS | FIDELITY NAT . | 08/17/2011 | 300 | $8,351.15 | $7,701.47 | +$649 68 | +$649 68 | – |
| FIS | FIDELITY NAT.. | 08/17/2011 | 200 | $5,569 51 | $5,134 31 | +$435 20 | +$435 20 | – |
| FIS | FIDELITY NAT... | 08/17/2011 | 200 | $5,567 67 | $5,134 31 | +$433 36 | +$433 36 | – |
| FIS | FIDELITY NAT.. | 08/17/2011 | 200 | $5,567 43 | $5,134 31 | +$433 12 | +$433 12 | – |
| FNF | FIDELITY NAT... | 08/17/2011 | 200 | $3,241.76 | $3,083.50 | +$158.26 | +$158.26 | – |
| FIS | FIDELITY NAT . | 08/17/2011 | 200 | $5,569 43 | $5,112 48 | +$456 95 | +$456 95 | – |
| FNF | FIDELITY NAT .. | 08/17/2011 | 100 | $1,621.12 | $1,541 75 | +$79 37 | +$79 37 | – |
| FIS | FIDELITY NAT. | 08/17/2011 | 100 | $2,784 72 | $2,567 16 | +$217 56 | +$217 56 | – |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| FNF | FIDELITY NAT .. | 08/17/2011 | 100 | $1,620.87 | $1,541 75 E | +$79 12 | +$79.12 | – |
| FIS | FIDELITY NAT... | 08/17/2011 | 100 | $2,784 72 | $2,567 16 E | +$217 56 | +$217 56 | – |
| FIS | FIDELITY NAT .. | 08/17/2011 | 100 | $2,783.72 | $2,567.16 E | +$216 56 | +$216 56 | – |
| FIS | FIDELITY NAT . | 08/17/2011 | 100 | $2,783 72 | $2,567 16 E | +$216 56 | +$216 56 | – |
| FO | FORTUNE BRAN... | 08/17/2011 | 200 | $11,165 41 | $10,811.00 E | +$354 41 | +$354 41 | – |
| FO | FORTUNE BRAN.. | 08/17/2011 | 200 | $11,164 41 | $10,811 00 E | +$353 41 | +$353 41 | – |
| FO | FORTUNE BRAN.. | 08/17/2011 | 100 | $5,582.18 | $5,405.50 E | +$176 68 | +$176 68 | – |
| FTR | FRONTIER COM .. | 08/17/2011 | 2,097 | $15,319 83 | $15,115 99 E | +$203 84 | +$203 84 | – |
| GE | GENERAL ELEC... | 08/17/2011 | 20,000 | $323,984.83 | $381,850 00 E | -$57,865.17 | -$57,865.17 | – |
| 370442733 | GENERAL MOTO .. | 04/21/2011 | 2,000 | $0 00 | $0 00 E | +$0 00 | +$0 00 | – |
| GM | GENERAL MOTO .. | 04/25/2011 | 0 604 | $18.76 | $156 80 E | -$138.04 | -$138.04 | – |
| GMWA | GENERAL MOTO... | 04/25/2011 | 0 094 | $2.07 | $0 00 E | +$2 07 | +$2 07 | – |
| GMWB | GENERAL MOTO. . | 04/25/2011 | 0 094 | $1.59 | $0 00 E | +$1 59 | +$1 59 | – |
| GMWB | GENERAL MOTO... | 07/29/2011 | 0.782 | $10.59 | $0 00 E | +$10 59 | +$10 59 | – |
| GMWA | GENERAL MOTO... | 07/29/2011 | 0.782 | $14.71 | $0.00 E | +$14 71 | +$14 71 | – |
| GM | GENERAL MOTO... | 07/29/2011 | 0 26 | $7.22 | $0 00 E | +$7 22 | +$7 22 | – |
| GM | GENERAL MOTO... | 08/16/2011 | 197 | $5,084.47 | $49,843 20 E | -$44,758 73 | -$44,758.73 | – |
| GMWB | GENERAL MOTO .. | 08/16/2011 | 179 | $2,121.11 | $0 00 E | +$2,121 11 | +$2,121.11 | – |
| GMWA | GENERAL MOTO .. | 08/16/2011 | 100 | $1,701 97 | $0 00 E | +$1,701 97 | +$1,701 97 | – |

1 2 3 Next>

⚠ Total includes missing cost basis values for one or more lots. You can update missing cost basis values by using the Edit functionality—clicking on the Missing hyperlinks until reaching the Edit page.

E Data for this holding has been edited.

W Wash Sale activity has adjusted this cost. For additional information, click here.

SP The total Realized Gain/Loss for this account includes values for Short Positions held in the account. For more information on summary totals when there are Short Positions, please see the Help Section.

N/A Not Available

Values for fixed income securities have been adjusted for amortization/accretion, with the exception of variable rate and mortgage-backed securities or for accounts with this preference turned off

Total Cash represents income and expenses as they occur; it may be inconsistent with values shown elsewhere on Schwab com and on your monthly account statement

The Realized Gain/Loss page provides summary information of closed transactions Not all closed transactions appear on this page

Please view the Cost Basis Disclosure Statement for additional information on cost basis methods choices and how Schwab reports adjusted cost basis information to the IRS

Please note that gains and losses realized in retirement accounts are not recognized for tax purposes Rather, income may be recognized when you receive a cash distribution from these accounts. Please contact your tax advisor for further information

The total Realized Gain/Loss for this account includes values for Short Positions held in the account For more information on summary totals when there are Short Positions, please see the Help Section

charles SCHWAB

Accounts> History

Print This Page Close ⊗

**Print in landscape for best results.**

## History

Transactions | Statements & Reports | **Realized Gain / Loss**

View Unrealized Gain/Loss

Trades made today will not appear until tomorrow.
Cost Basis Calculator
Rules & Assumptions

Select Date Range: Custom Date Range From: 01/01/2011 To: 12/31/2011 Search

**Reporting Period:** 01 Jan, 2011 to 31 Dec, 2011

| StoneFamilyFound 9709-7886 | Proceeds | Cost Basis | Total Gain/Loss ($\| % ) | Long Term Gain/Loss ($\| % ) | Short Term Gain/Loss ($\| % ) |
|---|---|---|---|---|---|
| **Total** | **$15,566,112.73** | **$15,348,698.09** | **⚠-$225,325.25** | **⚠-$498,653.38** | **⚠+$273,328.13** |

<Previous 1 2 3 Next>

| Symbol | Name (Full \| Short) | Closed Date | Quantity | Proceeds | Cost Basis | Total Gain/Loss ($\| %) | Long Term Gain/Loss ($\| %) | Short Term Gain/Loss ($\| %) |
|---|---|---|---|---|---|---|---|---|
| GMWA | GENERAL MOTO... | 08/16/2011 | 79 | $1,343 76 | $0.00 | +$1,343 76 | +$1,343 76 | – |
| GM | GENERAL MOTO... | 10/31/2011 | 0.91 | $23.71 | $0.00 | +$23.71 | +$23.71 | – |
| GMWB | GENERAL MOTO... | 10/31/2011 | 0.556 | $6.64 | $0 00 | +$6 64 | +$6 64 | – |
| GMWA | GENERAL MOTO... | 10/31/2011 | 0.556 | $9.53 | $0 00 | +$9.53 | +$9 53 | – |
| GM | GENERAL MOTO . | 11/03/2011 | 3 | $61.28 | $0 00 | +$61 28 | +$61 28 | – |
| GMWA | GENERAL MOTO... | 11/03/2011 | 3 | $34.85 | $0.00 | +$34 85 | +$34 85 | – |
| GMWB | GENERAL MOTO... | 11/03/2011 | 3 | $21.26 | $0 00 | +$21 26 | +$21 26 | – |
| GR | GOODRICH COR... | 08/17/2011 | 1,100 | $95,434.21 | $83,271 92 | +$12,162 29 | +$12,162 29 | – |
| GR | GOODRICH COR | 08/17/2011 | 200 | $17,350 68 | $15,140.35 | +$2,210 33 | +$2,210 33 | – |
| GR | GOODRICH COR... | 08/17/2011 | 100 | $8,675.33 | $7,570.17 | +$1,105.16 | +$1,105 16 | – |
| GR | GOODRICH COR . | 08/17/2011 | 100 | $8,675 51 | $7,570 18 | +$1,105 33 | +$1,105 33 | – |
| HPQ | HEWLETT-PACK.. | 10/27/2011 | 10,000 | $269,685 87 | $538,400 00 | -$268,714.13 | -$268,714.13 | – |
| HD | HOME DEPOT I . | 08/17/2011 | 5,000 | $166,387.86 | $182,037.50 | -$15,649.64 | -$15,649 64 | – |
| HPT | HOSPITALITY . | 09/01/2011 | 1,300 | $29,803.78 | $36,393 50 | -$6,589 72 | -$6,589 72 | – |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| HPT | HOSPITALITY .. | 09/01/2011 | 500 | $11,467.99 | $13,997 50 | -$2,529.51 | -$2,529.51 | – |
| HPT | HOSPITALITY . . | 09/01/2011 | 300 | $6,880 80 | $8,398 50 | -$1,517.70 | -$1,517.70 | – |
| HPT | HOSPITALITY . | 09/01/2011 | 200 | $4,585 39 | $5,599 00 | -$1,013.61 | -$1,013 61 | – |
| HPT | HOSPITALITY . . | 09/01/2011 | 100 | $2,292.89 | $2,799.50 | -$506.61 | -$506 61 | – |
| HPT | HOSPITALITY . | 09/01/2011 | 100 | $2,293.10 | $2,799 50 | -$506.40 | -$506.40 | – |
| HBCYF | HSBC HLDGS P... | 08/03/2011 | 18,738 | $182,639.54 | $198,013 81 | -$15,374.27 | -$15,374.27 | – |
| HBCYF | HSBC HLDGS P . | 08/03/2011 | 1,000 | $9,747 01 | $10,567 50 | -$820.49 | -$820.49 | – |
| IBDRY | IBERDROLA S ... | 06/30/2011 | 212 | $7,547 06 | $7,076.04 | +$471 02 | +$471 02 | – |
| IBDRY | IBERDROLA S . | 06/30/2011 | 63 | $2,248.43 | $2,102.78 | +$145 65 | +$145 65 | – |
| ITYBY | IMPERIAL TOB .. | 08/02/2011 | 1,100 | $74,886.56 | $66,228 25 | +$8,658 31 | +$8,658 31 | – |
| ITYBY | IMPERIAL TOB . | 08/02/2011 | 1,100 | $74,886.56 | $66,228 25 | +$8,658 31 | +$8,658 31 | – |
| ITYBY | IMPERIAL TOB . | 08/02/2011 | 300 | $20,423.61 | $18,062.25 | +$2,361 36 | +$2,361 36 | – |
| INTC | INTEL CORP | 08/30/2011 | 4,000 | $81,037.49 | $95,730 00 | -$14,692.51 | -$14,692.51 | – |
| IRE | IRELAND BANK... | 06/30/2011 | 2,500 | $2,699 95 | $22,255 68 | -$19,555.73 | -$19,555.73 | – |
| KFT | KRAFT FOODS .. | 08/02/2011 | 3,077 | $105,877.54 | $92,748 47 | +$13,129 07 | +$13,129 07 | – |
| KFT | KRAFT FOODS ... | 08/02/2011 | 200 | $6,881 87 | $6,028 50 | +$853 37 | +$853 37 | – |
| KFT | KRAFT FOODS . | 08/02/2011 | 118 | $4,060 30 | $3,556 82 | +$503 48 | +$503 48 | – |
| KFT | KRAFT FOODS ... | 08/02/2011 | 52 | $1,789.29 | $1,567 41 | +$221 88 | +$221 88 | – |
| KFT | KRAFT FOODS ... | 08/02/2011 | 13 | $447.32 | $391 85 | +$55 47 | +$55 47 | – |
| LGCY | LEGACY RESER... | 08/02/2011 | 871 | $24,544.31 | $21,206 67 | +$3,337.64 | +$3,337 64 | – |
| LGCY | LEGACY RESER .. | 08/02/2011 | 800 | $22,560.37 | $19,478 00 | +$3,082 37 | +$3,082 37 | – |
| LGCY | LEGACY RESER... | 08/02/2011 | 529 | $14,906.93 | $12,879 83 | +$2,027.10 | +$2,027 10 | – |
| LGCY | LEGACY RESER... | 08/02/2011 | 200 | $5,639 89 | $4,869.50 | +$770 39 | +$770 39 | – |
| LGCY | LEGACY RESER... | 08/02/2011 | 100 | $2,820.95 | $2,434.75 | +$386 20 | +$386.20 | – |
| LPS | LENDER PROCE... | 06/30/2011 | 950 | $19,949 62 | $37,123 77 | -$17,174 15 | -$17,174.15 | – |
| LPS | LENDER PROCE... | 06/30/2011 | 500 | $10,499.80 | $19,538.83 | -$9,039.03 | -$9,039.03 | – |
| LPS | LENDER PROCE... | 06/30/2011 | 287 | $6,026 88 | $11,215 29 | -$5,188.41 | -$5,188.41 | – |
| LPS | LENDER PROCE... | 06/30/2011 | 100 | $2,099 96 | $3,907 76 | -$1,807.80 | -$1,807.80 | – |
| LPS | LENDER PROCE... | 06/30/2011 | 100 | $2,099.96 | $3,907 77 | -$1,807 81 | -$1,807.81 | – |
| LPS | LENDER PROCE... | 06/30/2011 | 17 | $356.99 | $664 32 | -$307.33 | -$307.33 | – |
| LOW | LOWES COMPAN.. | 06/30/2011 | 5,000 | $116,797.76 | $140,275 00 | -$23,477.24 | -$23,477.24 | – |
| MAIN | MAIN STREET ... | 09/01/2011 | 3,622 | $66,640.28 | $58,241.76 | +$8,398 52 | +$8,398 52 | – |
| MAIN | MAIN STREET . . | 09/01/2011 | 2,235 | $41,121 21 | $35,938 80 | +$5,182 41 | +$5,182 41 | – |
| MAIN | MAIN STREET ... | 09/01/2011 | 2,200 | $40,477.25 | $35,376.00 | +$5,101 25 | +$5,101 25 | – |
| MAIN | MAIN STREET .. | 09/01/2011 | 1,400 | $25,758 26 | $22,512 00 | +$3,246 26 | +$3,246 26 | – |
| MAIN | MAIN STREET ... | 09/01/2011 | 300 | $5,519.62 | $4,824 00 | +$695 62 | +$695.62 | – |
| MAIN | MAIN STREET . | 09/01/2011 | 200 | $3,679.75 | $3,216.00 | +$463 75 | +$463 75 | – |
| MAIN | MAIN STREET . . | 09/01/2011 | 43 | $791.14 | $691 44 | +$99 70 | +$99 70 | – |
| MHS | MEDCOHEALTH . . | 08/17/2011 | 1,100 | $58,832.94 | $70,441 25 | -$11,608 31 | -$11,608.31 | – |

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|---|---|---|---|---|---|---|---|---|
| MHS | MEDCOHEALTH ... | 08/17/2011 | 300 | $16,045.65 | $19,211 25 E | -$3,165.60 | -$3,165 60 | – |
| MHS | MEDCOHEALTH .. | 08/17/2011 | 300 | $16,045.65 | $19,211 25 E | -$3,165 60 | -$3,165 60 | – |
| MHS | MEDCOHEALTH ... | 08/17/2011 | 188 | $10,055.17 | $12,039 05 E | -$1,983.88 | -$1,983.88 | – |
| MHS | MEDCOHEALTH | 08/17/2011 | 52 | $2,781 36 | $3,329 95 E | -$548 59 | -$548 59 | – |
| MHS | MEDCOHEALTH . . | 08/17/2011 | 43 | $2,299 87 | $2,753 61 E | -$453.74 | -$453.74 | – |
| MHS | MEDCOHEALTH . | 08/17/2011 | 17 | $909 31 | $1,088 64 E | -$179.33 | -$179.33 | – |
| MPW | MEDICAL PROP... | 08/17/2011 | 10,500 | $107,618.75 | Missing | N/A | N/A | N/A |
| MPW | MEDICAL PROP... | 08/17/2011 | 6,100 | $62,561 63 | Missing | N/A | N/A | N/A |
| MPW | MEDICAL PROP... | 08/17/2011 | 2,900 | $29,781.28 | Missing | 227,920.47 ✓ N/A | N/A | N/A |
| MPW | MEDICAL PROP .. | 08/17/2011 | 2,600 | $26,726.46 | Missing | N/A | N/A | N/A |
| MPW | MEDICAL PROP... | 08/17/2011 | 200 | $2,053.88 | Missing | N/A | N/A | N/A |
| MPW | MEDICAL PROP | 08/17/2011 | 100 | $1,027.98 | Missing | N/A | N/A | N/A |
| MPW | MEDICAL PROP .. | 08/17/2011 | 100 | $1,027.94 | Missing | N/A | N/A | N/A |
| MSFT | MICROSOFT CO... | 08/02/2011 | 5,000 | $136,447.38 | $155,456 25 E | -$19,008.87 | -$19,008.87 | – |
| MS | MORGAN STANL... | 08/17/2011 | 2,000 | $33,990.40 | $63,250.00 E | -$29,259.60 | -$29,259.60 | – |
| NNN | NATIONAL RET... | 08/17/2011 | 5,200 | $128,961 71 | Missing 180,792.96 | N/A | N/A | N/A |
| NNN | NATIONAL RET... | 08/17/2011 | 2,300 | $57,038.46 | Missing | N/A | N/A | N/A |
| 64461RBD9 | NEW HAMPSHIRE HIGHE 6%18REV DUE 10/01/18EDL & OID SUBJ XTRO | 08/30/2011 | 18,000 | $16,185 78 | $16,878.60 E | -$692.82 | -$692.82 | – |
| NWL | NEWELL RUBBE... | 08/26/2011 | 2,500 | $33,390 41 | $44,043.75 E | -$10,653.34 | -$10,653.34 | – |
| NWSA | NEWS CORP LT .. | 08/17/2011 | 5,100 | $87,102.48 | $82,059.00 E | +$5,043 48 | +$5,043 48 | – |
| NMK+B | NIAGARA MOHA... | 08/26/2011 | 180 | $15,614.75 | $14,996 88 E | +$617 87 | +$617.87 | – |
| NMK+B | NIAGARA MOHA... | 09/15/2011 | 176 | $14,986 47 | $14,663.62 E | +$322 85 | +$322 85 | – |
| NMK+B | NIAGARA MOHA... | 09/15/2011 | 84 | $7,137 51 | $6,998.54 E | +$138 97 | +$138 97 | – |
| NMK+B | NIAGARA MOHA .. | 09/15/2011 | 50 | $4,256 02 | $4,165.80 E | +$90 22 | +$90 22 | – |
| NMK+B | NIAGARA MOHA... | 09/15/2011 | 10 | $849.70 | $833.16 E | +$16 54 | +$16.54 | – |
| NSH | NUSTAR GP HO. . | 08/17/2011 | 600 | $20,372 26 | $18,396 00 E | +$1,976 26 | +$1,976 26 | – |
| NSH | NUSTAR GP HO. . | 08/17/2011 | 400 | $13,602.31 | $12,264 00 E | +$1,338 31 | +$1,338 31 | – |
| NSH | NUSTAR GP HO... | 08/17/2011 | 335 | $11,378 87 | $10,271.10 E | +$1,107 77 | +$1,107 77 | – |
| NSH | NUSTAR GP HO... | 08/17/2011 | 300 | $10,192.73 | $9,198.00 E | +$994 73 | +$994 73 | – |
| NSH | NUSTAR GP HO... | 08/17/2011 | 166 | $5,635.00 | $5,089.56 E | +$545 44 | +$545 44 | – |
| NSH | NUSTAR GP HO .. | 08/17/2011 | 134 | $4,555.43 | $4,108.44 E | +$446 99 | +$446 99 | – |
| NSH | NUSTAR GP HO . | 08/17/2011 | 100 | $3,400.57 | $3,066 00 E | +$334 57 | +$334 57 | – |
| NSH | NUSTAR GP HO. . | 08/17/2011 | 100 | $3,400.83 | $3,066 00 E | +$334 83 | +$334 83 | – |
| NSH | NUSTAR GP HO... | 08/17/2011 | 100 | $3,398.57 | $3,066.00 E | +$332 57 | +$332 57 | – |
| NSH | NUSTAR GP HO. . | 08/17/2011 | 100 | $3,396.57 | $3,066.00 E | +$330 57 | +$330 57 | – |
| NSH | NUSTAR GP HO | 08/17/2011 | 100 | $3,397.57 | $3,066 00 E | +$331 57 | +$331 57 | – |
| NSH | NUSTAR GP HO. . | 08/17/2011 | 65 | $2,209.08 | $1,992 90 E | +$216 18 | +$216 18 | – |
| JDD | NUVEEN DIVER . | 09/01/2011 | 2,000 | $21,312 44 | $22,275 00 E | -$962 56 | -$962 56 | – |

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|---|---|---|---|---|---|---|---|---|
| JDD | NUVEEN DIVER... | 09/01/2011 | 200 | $2,131 24 | $2,227.50 ▤ | -$96 26 | -$96.26 | – |
| JDD | NUVEEN DIVER. . | 09/01/2011 | 200 | $2,131.24 | $2,227 50 ▤ | -$96 26 | -$96.26 | – |
| JDD | NUVEEN DIVER... | 09/01/2011 | 100 | $1,065 62 | $1,113 75 ▤ | -$48.13 | -$48.13 | – |
| NIO | NUVEEN INSD . . | 09/01/2011 | 7,796 | $108,357.67 | $108,383 89 ▤ | -$26 22 | -$26.22 | – |
| NIO | NUVEEN INSD . | 09/01/2011 | 4,000 | $55,636.54 | $55,610 00 ▤ | +$26 54 | +$26 54 | – |
| NIO | NUVEEN INSD . | 09/01/2011 | 1,600 | $22,270 62 | $22,244.00 ▤ | +$26 62 | +$26 62 | – |
| NIO | NUVEEN INSD ... | 09/01/2011 | 504 | $7,025 33 | $7,006 86 ▤ | +$18 47 | +$18 47 | – |
| NIO | NUVEEN INSD . | 09/01/2011 | 500 | $6,974 57 | $6,951 25 ▤ | +$23 32 | +$23 32 | – |
| NIO | NUVEEN INSD . . | 09/01/2011 | 300 | $4,173.04 | $4,170.75 ▤ | +$2 29 | +$2.29 | – |
| NIO | NUVEEN INSD ... | 09/01/2011 | 200 | $2,785 83 | $2,780 50 ▤ | +$5 33 | +$5 33 | – |
| NIO | NUVEEN INSD ... | 09/01/2011 | 100 | $1,391 93 | $1,390 25 ▤ | +$1.68 | +$1 68 | – |
| NMO | NUVEEN MUNI .. | 09/01/2011 | 6,717 | $87,668 87 | $94,814 82 ▤ | -$7,145.95 | -$7,145 95 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 3,125 | $40,935.27 | $44,111.41 ▤ | -$3,176.14 | -$3,176.14 | – |
| NMO | NUVEEN MUNI .. | 09/01/2011 | 3,000 | $39,470.58 | $42,346.95 ▤ | -$2,876.37 | -$2,876.37 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 1,400 | $18,283.00 | $19,761 91 ▤ | -$1,478.91 | -$1,478.91 | – |
| NMO | NUVEEN MUNI . | 09/01/2011 | 1,300 | $16,990 07 | $18,350.35 ▤ | -$1,360.28 | -$1,360.28 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 1,100 | $14,420.21 | $15,527.21 ▤ | -$1,107.00 | -$1,107.00 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 1,000 | $13,059.29 | $14,115 65 ▤ | -$1,056.36 | -$1,056.36 | – |
| NMO | NUVEEN MUNI . . | 09/01/2011 | 900 | $11,762.35 | $12,704 09 ▤ | -$941.74 | -$941.74 | – |
| NMO | NUVEEN MUNI . . | 09/01/2011 | 800 | $10,447.43 | $11,292 52 ▤ | -$845.09 | -$845.09 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 700 | $9,155.50 | $9,880.95 ▤ | -$725.45 | -$725.45 | – |
| NMO | NUVEEN MUNI . . | 09/01/2011 | 500 | $6,529.64 | $7,057 83 ▤ | -$528 19 | -$528.19 | – |
| NMO | NUVEEN MUNI . . | 09/01/2011 | 400 | $5,247.72 | $5,646 26 ▤ | -$398 54 | -$398.54 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 300 | $3,914.78 | $4,234.69 ▤ | -$319 91 | -$319.91 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 200 | $2,625 86 | $2,823 13 ▤ | -$197.27 | -$197.27 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 200 | $2,611.86 | $2,823 13 ▤ | -$211.27 | -$211.27 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 200 | $2,613.86 | $2,823.13 ▤ | -$209.27 | -$209.27 | – |
| NMO | NUVEEN MUNI .. | 09/01/2011 | 158 | $2,066 53 | $2,230 27 ▤ | -$163.74 | -$163.74 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 100 | $1,308 92 | $1,411 57 ▤ | -$102.65 | -$102.65 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 100 | $1,305 92 | $1,411 57 ▤ | -$105 65 | -$105.65 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 100 | $1,315 68 | $1,411 56 ▤ | -$95 88 | -$95.88 | – |
| NMO | NUVEEN MUNI ... | 09/01/2011 | 100 | $1,306 92 | $1,411 56 ▤ | -$104.64 | -$104 64 | – |
| NMO | NUVEEN MUNI .. | 09/01/2011 | 100 | $1,306.92 | $1,411.56 ▤ | -$104.64 | -$104 64 | – |
| NPI | NUVEEN PREM ... | 09/01/2011 | 9,204 | $124,247 27 | $126,163 83 ▤ | -$1,916.56 | -$1,916.56 | – |
| NPT | NUVEEN PREM . | 09/01/2011 | 8,900 | $109,193.65 | $113,185.75 ▤ | -$3,992.10 | -$3,992.10 | – |
| NPI | NUVEEN PREM . | 09/01/2011 | 5,696 | $77,119.68 | $78,077 92 ▤ | -$958.24 | -$958.24 | – |
| NPI | NUVEEN PREM . | 09/01/2011 | 4,000 | $54,077 08 | $54,830 00 ▤ | -$752 92 | -$752.92 | – |
| NPT | NUVEEN PREM | 09/01/2011 | 2,080 | $25,519.41 | $26,452 40 ▤ | -$932 99 | -$932.99 | – |
| NPI | NUVEEN PREM .. | 09/01/2011 | 100 | $1,350 92 | $1,370.75 ▤ | -$19.83 | -$19.83 | – |

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|---|---|---|---|---|---|---|---|---|
| NQU | NUVEEN QLTY . | 09/02/2011 | 3,900 | $52,920.14 | $56,111 25 | -$3,191 11 | -$3,191.11 | – |
| NQU | NUVEEN QLTY .. | 09/02/2011 | 3,161 | $42,892.46 | $45,478 88 | -$2,586.42 | -$2,586.42 | – |
| NQU | NUVEEN QLTY .. | 09/02/2011 | 2,000 | $27,138 54 | $28,775 00 | -$1,636.46 | -$1,636.46 | – |
| NQU | NUVEEN QLTY . . | 09/02/2011 | 2,000 | $27,138.54 | $28,775 00 | -$1,636 46 | -$1,636.46 | – |
| NQU | NUVEEN QLTY ... | 09/02/2011 | 2,000 | $27,138 54 | $28,775 00 | -$1,636 46 | -$1,636.46 | – |
| NQU | NUVEEN QLTY . | 09/02/2011 | 1,949 | $26,446 50 | $28,041 24 | -$1,594 74 | -$1,594.74 | – |
| NQU | NUVEEN QLTY ... | 09/02/2011 | 1,400 | $18,996 98 | $20,142 50 | -$1,145 52 | -$1,145 52 | – |
| NQU | NUVEEN QLTY . . | 09/02/2011 | 1,300 | $17,640 05 | $18,703.75 | -$1,063.70 | -$1,063.70 | – |
| NQU | NUVEEN QLTY ... | 09/02/2011 | 1,190 | $16,147 43 | $17,121.13 | -$973.70 | -$973.70 | – |
| NQU | NUVEEN QLTY ... | 09/02/2011 | 1,000 | $13,580.79 | $14,387 50 | -$806 71 | -$806.71 | – |
| NQU | NUVEEN QLTY ... | 09/02/2011 | 100 | $1,356.92 | $1,438 75 | -$81 83 | -$81.83 | – |
| PVR | PENN VIRGINI.. | 08/30/2011 | 1,600 | $41,080.05 | $38,932.00 | +$2,148 05 | +$2,148 05 | – |
| PVR | PENN VIRGINI... | 08/30/2011 | 400 | $10,270.01 | $9,733.00 | +$537 01 | +$537 01 | – |
| PEP | PEPSICO INCO... | 08/17/2011 | 1,000 | $64,741.81 | $64,767 50 | -$25.69 | -$25.69 | – |
| PZE | PETROBRAS AR... | 06/30/2011 | 597 | $11,545.76 | $9,683 34 | +$1,862 42 | +$1,862 42 | – |
| PZE | PETROBRAS AR .. | 06/30/2011 | 200 | $3,867.93 | $3,244.00 | +$623 93 | +$623 93 | – |
| PZE | PETROBRAS AR... | 06/30/2011 | 100 | $1,933.96 | $1,622 00 | +$311 96 | +$311 96 | – |
| PZE | PETROBRAS AR... | 06/30/2011 | 1 | $19 38 | $16 22 | +$3 16 | +$3.16 | – |
| PFE | PFIZER INCOR .. | 08/17/2011 | 23,800 | $438,854.62 | $399,144 10 | +$39,710 52 | +$39,710 52 | – |
| PM | PHILIP MORRI .. | 06/30/2011 | 7,500 | $496,790 46 | $380,681.25 | +$116,109 21 | +$116,109 21 | – |
| PBI | PITNEY BOWES . | 08/17/2011 | 5,000 | $95,389.22 | $128,700 00 | -$33,310.78 | -$33,310.78 | – |
| PNC | PNC FINL SER. . | 06/30/2011 | 941 | $55,762 59 | $64,907.83 | -$9,145.24 | -$9,145.24 | – |
| PRU | PRUDENTIAL F... | 08/17/2011 | 500 | $25,426.56 | $13,750 00 | +$11,676 56 | +$11,676 56 | – |
| PSA | PUBLIC STORA... | 08/17/2011 | 1,100 | $132,616.40 | $105,924.42 | +$26,691 98 | +$26,691 98 | – |
| PSA | PUBLIC STORA... | 08/17/2011 | 200 | $24,112.68 | $19,258.99 | +$4,853 69 | +$4,853.69 | – |
| PSA | PUBLIC STORA... | 08/17/2011 | 200 | $24,113.68 | $19,258 99 | +$4,854 69 | +$4,854 69 | – |
| PSA | PUBLIC STORA... | 08/17/2011 | 100 | $12,056.04 | $9,629 49 | +$2,426 55 | +$2,426 55 | – |
| PSA | PUBLIC STORA. . | 08/17/2011 | 84 | $10,126.79 | $8,088.78 | +$2,038.01 | +$2,038 01 | – |
| ROST | ROSS STORES . | 08/30/2011 | 5,000 | $382,088.92 | $292,175 00 | +$89,913 92 | – | +$89,913 92 |
| ROST | ROSS STORES ... | 08/30/2011 | 3,600 | $275,104.03 | $210,366.00 | +$64,738 03 | – | +$64,738 03 |
| ROST | ROSS STORES .. | 08/30/2011 | 931 | $71,154.27 | $54,402 98 | +$16,751 29 | – | +$16,751 29 |
| ROST | ROSS STORES .. | 08/30/2011 | 900 | $68,803.91 | $52,591 50 | +$16,212 41 | – | +$16,212 41 |
| ROST | ROSS STORES . | 08/30/2011 | 400 | $30,583 51 | $23,374 00 | +$7,209 51 | – | +$7,209.51 |
| ROST | ROSS STORES .. | 08/30/2011 | 220 | $16,818 52 | $12,855 70 | +$3,962 82 | – | +$3,962 82 |
| ROST | ROSS STORES .. | 08/30/2011 | 200 | $15,289 76 | $11,687 00 | +$3,602 76 | – | +$3,602 76 |
| ROST | ROSS STORES ... | 08/30/2011 | 200 | $15,291 56 | $11,687 00 | +$3,604 56 | – | +$3,604 56 |
| ROST | ROSS STORES .. | 08/30/2011 | 200 | $15,283 76 | $11,687 00 | +$3,596 76 | – | +$3,596 76 |
| ROST | ROSS STORES ... | 08/30/2011 | 131 | $10,013.35 | $7,654 99 | +$2,358 36 | – | +$2,358 36 |
| ROST | ROSS STORES .. | 08/30/2011 | 100 | $7,644.12 | $5,843 50 | +$1,800 62 | – | +$1,800 62 |
| ROST | ROSS STORES .. | 08/30/2011 | 100 | $7,644.05 | $5,843 50 | +$1,800 55 | – | +$1,800 55 |

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|---|---|---|---|---|---|---|---|---|
| | | | | | E | | | |
| ROST | ROSS STORES .. | 08/30/2011 | 18 | $1,375 54 | $1,051 83 E | +$323 71 | – | +$323 71 |
| RDSA | ROYAL DUTCH ... | 08/17/2011 | 2,928 | $193,124 08 | $179,753 58 E | +$13,370 50 | +$13,370 50 | – |
| BFS | SAUL CENTERS . | 08/04/2011 | 1,600 | $61,614 82 | $65,770 40 E | -$4,155 58 | -$4,155 58 | – |
| BFS | SAUL CENTERS... | 08/04/2011 | 485 | $18,676.99 | $19,936 65 E | -$1,259 66 | -$1,259.66 | – |
| BFS | SAUL CENTERS... | 08/04/2011 | 200 | $7,701 85 | $8,221 30 E | -$519 45 | -$519.45 | – |
| BFS | SAUL CENTERS... | 08/04/2011 | 100 | $3,850.93 | $4,110 65 E | -$259 72 | -$259.72 | – |
| BFS | SAUL CENTERS .. | 08/04/2011 | 60 | $2,310.56 | $2,466.39 E | -$155 83 | -$155.83 | – |
| BFS | SAUL CENTERS... | 08/04/2011 | 54 | $2,079.50 | $2,219.75 E | -$140 25 | -$140.25 | – |
| BFS | SAUL CENTERS . | 08/04/2011 | 1 | $38.51 | $41.11 E | -$2 60 | -$2 60 | – |
| SPG | SIMON PPTY G . | 09/01/2011 | 1,110 | $130,413.55 | $99,322.04 E | +$31,091 51 | +$31,091 51 | – |
| SCCO | SOUTHERN COP. . | 08/17/2011 | 1,200 | $37,305 39 | $38,060 97 E | -$755.58 | -$755.58 | – |
| SCCO | SOUTHERN COP... | 08/17/2011 | 500 | $15,543.41 | $15,858.74 E | -$315.33 | -$315.33 | – |
| SCCO | SOUTHERN COP... | 08/17/2011 | 400 | $12,434.73 | $12,686.99 E | -$252 26 | -$252 26 | – |
| SCCO | SOUTHERN COP.. | 08/17/2011 | 200 | $6,217.16 | $6,343 49 E | -$126.33 | -$126.33 | – |
| SCCO | SOUTHERN COP . | 08/17/2011 | 100 | $3,108 69 | $3,171.75 E | -$63.06 | -$63.06 | – |
| SCCO | SOUTHERN COP... | 08/17/2011 | 100 | $3,108.64 | $3,171 75 E | -$63.11 | -$63.11 | – |
| SPLS | STAPLES INC | 08/02/2011 | 1,300 | $19,928 62 | $31,973 50 E | -$12,044.88 | -$12,044.88 | – |
| SPLS | STAPLES INC | 08/02/2011 | 1,200 | $18,395.65 | $29,514 00 E | -$11,118 35 | -$11,118.35 | – |
| TGT | TARGET CORPO .. | 08/17/2011 | 2,794 | $141,340.75 | $161,353 50 E | -$20,012.75 | -$20,012.75 | – |
| TGT | TARGET CORPO... | 08/17/2011 | 1,706 | $86,284 77 | $98,521 50 E | -$12,236.73 | -$12,236.73 | – |
| TGT | TARGET CORPO.. | 08/17/2011 | 200 | $10,117 45 | $11,550 00 E | -$1,432 55 | -$1,432.55 | – |
| TGT | TARGET CORPO .. | 08/17/2011 | 200 | $10,117 65 | $11,550.00 E | -$1,432 35 | -$1,432.35 | – |
| TGT | TARGET CORPO . | 08/17/2011 | 100 | $5,058.77 | $5,775 00 E | -$716 23 | -$716 23 | – |
| TEL | TE CONNECTIV . | 08/30/2011 | 500 | $15,588.54 | $14,713 75 E | +$874 79 | +$874 79 | – |
| TEL | TE CONNECTIV . | 08/30/2011 | 125 | $3,897 02 | $3,678 44 E | +$218 58 | +$218 58 | – |
| TNE | TELE NORTE L .. | 08/17/2011 | 1,100 | $14,933.77 | $17,399 03 E | -$2,465 26 | -$2,465.26 | – |
| TNE | TELE NORTE L.. | 08/17/2011 | 1,000 | $13,577 16 | $15,817.30 E | -$2,240.14 | -$2,240.14 | – |
| TNE | TELE NORTE L. . | 08/17/2011 | 400 | $5,431.59 | $6,326 92 E | -$895 33 | -$895.33 | – |
| TI | TELECOM ITAL .. | 08/17/2011 | 900 | $11,183.58 | $13,034 25 E | -$1,850 67 | -$1,850.67 | – |
| TI | TELECOM ITAL .. | 08/17/2011 | 500 | $6,213 59 | $7,241 25 E | -$1,027.66 | -$1,027 66 | – |

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⚠ Total includes missing cost basis values for one or

SF The total Realized Gain/Loss for this account includes

charles SCHWAB

Accounts> History

Print This Page Close

**Print in landscape for best results.**

# History

Transactions Statements & Reports **Realized Gain / Loss**

View Unrealized Gain/Loss

Trades made today will not appear until tomorrow.
Cost Basis Calculator Rules & Assumptions

Select Date Range: Custom Date Range From: 01/01/2011 To: 12/31/2011 Search

**Reporting Period: 01 Jan, 2011 to 31 Dec, 2011**

| StoneFamilyFound 9709-7886 | Proceeds | Cost Basis | Total Gain/Loss ($\| % ) | Long Term Gain/Loss ($\| % ) | Short Term Gain/Loss ($\| % ) |
|---|---|---|---|---|---|
| **Total** | **$15,566,112.73** | **$15,348,698.09** | **⚠-$225,325.25** | **⚠-$498,653.38** | **⚠+$273,328.13** |

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| Symbol | Name (Full\|Short) | Closed Date | Quantity | Proceeds | Cost Basis | Total Gain/Loss ($\| % ) | Long Term Gain/Loss ($\| % ) | Short Term Gain/Loss ($\| % ) |
|---|---|---|---|---|---|---|---|---|
| TI | TELECOM ITAL... | 08/17/2011 | 500 | $6,213.59 | $7,241.25 | -$1,027.66 | -$1,027.66 | – |
| TI | TELECOM ITAL... | 08/17/2011 | 200 | $2,485.69 | $2,896.50 | -$410.81 | -$410.81 | – |
| TI | TELECOM ITAL... | 08/17/2011 | 100 | $1,242.82 | $1,448.25 | -$205.43 | -$205.43 | – |
| TI | TELECOM ITAL... | 08/17/2011 | 100 | $1,243.02 | $1,448.25 | -$205.23 | -$205.23 | – |
| TI | TELECOM ITAL... | 08/17/2011 | 100 | $1,242.85 | $1,448.25 | -$205.40 | -$205.40 | – |
| TI | TELECOM ITAL. . | 08/17/2011 | 100 | $1,242.88 | $1,448.25 | -$205.37 | -$205.37 | – |
| TXN | TEXAS INSTRU... | 08/17/2011 | 2,400 | $64,458.79 | $64,152.00 | +$306.79 | +$306.79 | – |
| TXN | TEXAS INSTRU... | 08/17/2011 | 1,500 | $40,286.74 | $40,095.00 | +$191.74 | +$191 74 | – |
| TXN | TEXAS INSTRU... | 08/17/2011 | 500 | $13,429.41 | $13,365.00 | +$64 41 | +$64 41 | – |
| TXN | TEXAS INSTRU... | 08/17/2011 | 500 | $13,430.31 | $13,365.00 | +$65 31 | +$65 31 | – |
| TXN | TEXAS INSTRU... | 08/17/2011 | 500 | $13,429.41 | $13,365.00 | +$64 41 | +$64 41 | – |
| TGH | TEXTAINER GR... | 08/17/2011 | 1,500 | $36,545.35 | $53,717 90 | -$17,172.55 | – | -$17,172.55 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| TRV | TRAVELERS CO... | 08/02/2011 | 5,000 | $274,294.73 | $264,537.50 E | +$9,757.23 | +$9,757.23 | – |
| TYC | TYCO INTL LT... | 08/17/2011 | 625 | $25,941.80 | Missing | N/A | N/A | N/A |
| VCSH | VANGUARD COR... | 08/10/2011 | 2,100 | $165,728.82 | $165,790.63 | -$61.81 | – | -$61.81 |
| VCSH | VANGUARD COR... | 08/10/2011 | 600 | $47,345.69 | $47,065.44 | +$280 25 | – | +$280.25 |
| VCSH | VANGUARD COR... | 08/10/2011 | 600 | $47,399.69 | $47,065.43 | +$334 26 | – | +$334.26 |
| VCSH | VANGUARD COR... | 08/10/2011 | 200 | $15,781.90 | $15,688.48 | +$93.42 | – | +$93 42 |
| VCSH | VANGUARD COR... | 08/10/2011 | 100 | $7,891.43 | $7,844 24 | +$47.19 | – | +$47.19 |
| VCSH | VANGUARD COR... | 08/10/2011 | 100 | $7,891.47 | $7,844.24 | +$47.23 | – | +$47.23 |
| VCSH | VANGUARD COR... | 08/10/2011 | 100 | $7,891.47 | $7,844.24 | +$47.23 | – | +$47 23 |
| VRGY | VERIGY LTD F... | 02/11/2011 | 93 | $1,266.99 | $3,308 77 E | -$2,041.78 | -$2,041.78 | – |
| VZ | VERIZON COMM... | 09/01/2011 | 8,997 | $324,246.60 | $246,373 04 E | +$77,873.56 | – | +$77,873 56 |
| VZ | VERIZON COMM... | 09/01/2011 | 1,000 | $36,038.41 | $36,015.70 | +$22.71 | – | +$22 71 |
| VOD | VODAFONE GRO... | 09/01/2011 | 2,500 | $66,094.78 | $57,543.75 E | +$8,551.03 | +$8,551 03 | – |
| WFSL | WASHINGTON F... | 08/17/2011 | 7,500 | $111,963.90 | $159,375.00 E | -$47,411.10 | -$47,411.10 | – |
| WM | WASTE MANAGE... | 08/17/2011 | 5,000 | $156,088.05 | $177,850.00 E | -$21,761.95 | -$21,761.95 | – |
| WFC | WELLS FARGO ... | 08/30/2011 | 4,000 | $101,753.10 | $133,027.50 E | -$31,274.40 | -$31,274.40 | – |
| WR | WESTAR ENERG... | 08/17/2011 | 5,000 | $127,593.60 | $115,850.00 E | +$11,743.60 | +$11,743.60 | – |
| WIN | WINDSTREAM C... | 09/01/2011 | 12,279 | $154,580.69 | $140,963.53 E | +$13,617.16 | +$13,007.46 | +$609 70 |
| XEL | XCEL ENERGY ... | 09/01/2011 | 11,000 | $270,151.22 | $240,514.86 E | +$29,636 36 | +$29,636 36 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 5,800 | $142,464.83 | $126,816.92 E | +$15,647.91 | +$15,647.91 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 4,100 | $100,733.74 | $89,646.45 E | +$11,087.29 | +$11,087 29 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 4,000 | $98,316.81 | $87,459.95 E | +$10,856.86 | +$10,856.86 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 1,200 | $29,496.24 | $26,237.98 E | +$3,258 26 | +$3,258.26 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 600 | $14,747.52 | $13,118.99 E | +$1,628 53 | +$1,628 53 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 300 | $7,373.76 | $6,559 50 E | +$814 26 | +$814 26 | – |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| XEL | XCEL ENERGY ... | 09/01/2011 | 100 | $2,457.93 | $2,186.50 E | +$271.43 | +$271.43 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 100 | $2,457.93 | $2,186.50 E | +$271 43 | +$271.43 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 100 | $2,457.93 | $2,186.50 E | +$271.43 | +$271.43 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 100 | $2,457.94 | $2,186 50 E | +$271.44 | +$271.44 | – |
| XEL | XCEL ENERGY ... | 09/01/2011 | 100 | $2,457.92 | $2,186.50 E | +$271.42 | +$271.42 | – |
| YUM | YUM BRANDS I... | 06/30/2011 | 400 | $22,047.58 | $17,394.00 E | +$4,653.58 | +$4,653 58 | – |

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| | | | |
|---|---|---|---|
| ⚠ | Total includes missing cost basis values for one or more lots. You can update missing cost basis values by using the Edit functionality—clicking on the Missing hyperlinks until reaching the Edit page. | SP | The total Realized Gain/Loss for this account includes values for Short Positions held in the account. For more information on summary totals when there are Short Positions, please see the Help Section. |
| E | Data for this holding has been edited. | N/A | Not Available |
| W | Wash Sale activity has adjusted this cost. For additional information, click here. | | |

Values for fixed income securities have been adjusted for amortization/accretion, with the exception of variable rate and mortgage-backed securities or for accounts with this preference turned off.

Total Cash represents income and expenses as they occur; it may be inconsistent with values shown elsewhere on Schwab.com and on your monthly account statement.

The Realized Gain/Loss page provides summary information of closed transactions Not all closed transactions appear on this page

Please view the Cost Basis Disclosure Statement for additional information on cost basis methods choices and how Schwab reports adjusted cost basis information to the IRS.

Please note that gains and losses realized in retirement accounts are not recognized for tax purposes Rather, income may be recognized when you receive a cash distribution from these accounts. Please contact your tax advisor for further information

The total Realized Gain/Loss for this account includes values for Short Positions held in the account. For more information on summary totals when there are Short Positions, please see the Help Section.