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 10-01-2011 , and ending 09-30-2012

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

Name of foundation KIWANIS CLUB OF NORFOLK FOUNDATION INC	**A Employer identification number** 52-1258705
Number and street (or P O box number if mail is not delivered to street address) PO BOX 1568 / Room/suite	**B** Telephone number (see page 10 of the instructions) (757) 625-7418
City or town, state, and ZIP code NORFOLK, VA 235011568	**C** If exemption application is pending, check here ☐ **D 1.** Foreign organizations, check here ☐ **2.** Foreign organizations meeting the 85% test, check here and attach computation ☐

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 484,204

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

E If private foundation status was terminated under section 507(b)(1)(A), check here ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

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

	Line	Description	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	30,350			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	11,440	11,440	11,440	
	4	Dividends and interest from securities				
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	-1,018			
	b	Gross sales price for all assets on line 6a 498,746				
	7	Capital gain net income (from Part IV, line 2)				
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)	2,850		2,850	
	12	**Total.** Add lines 1 through 11	43,622	11,440	14,290	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc				
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	750			750
	c	Other professional fees (attach schedule)				
	17	Interest				
	18	Taxes (attach schedule) (see page 14 of the instructions)	415	240		175
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	5,808	3,308	3,808	2,000
	24	**Total operating and administrative expenses.** Add lines 13 through 23	6,973	3,548	3,808	2,925
	25	Contributions, gifts, grants paid	26,000			26,000
	26	**Total expenses and disbursements.** Add lines 24 and 25	32,973	3,548	3,808	28,925
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	10,649			
	b	**Net investment income** (if negative, enter -0-)		7,892		
	c	**Adjusted net income** (if negative, enter -0-)			10,482	

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

		Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets				
1	Cash—non-interest-bearing			
2	Savings and temporary cash investments	39,801	65,709	65,530
3	Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
4	Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
5	Grants receivable			
6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
7	Other notes and loans receivable (attach schedule) ▶			
	Less allowance for doubtful accounts ▶			
8	Inventories for sale or use			
9	Prepaid expenses and deferred charges			
10a	Investments—U S and state government obligations (attach schedule)	10,315	10,315	12,135
b	Investments—corporate stock (attach schedule)	202,123	320,371	335,811
c	Investments—corporate bonds (attach schedule)	153,629	20,122	21,000
11	Investments—land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
12	Investments—mortgage loans			
13	Investments—other (attach schedule)			
14	Land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
15	Other assets (describe ▶)	42,400	42,400	49,728
16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	448,268	458,917	484,204
Liabilities				
17	Accounts payable and accrued expenses			
18	Grants payable			
19	Deferred revenue			
20	Loans from officers, directors, trustees, and other disqualified persons			
21	Mortgages and other notes payable (attach schedule)			
22	Other liabilities (describe ▶)			
23	**Total liabilities** (add lines 17 through 22)		0	
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			
28	Paid-in or capital surplus, or land, bldg , and equipment fund			
29	Retained earnings, accumulated income, endowment, or other funds	448,268	458,917	
30	**Total net assets or fund balances** (see page 17 of the instructions)	448,268	458,917	
31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	448,268	458,917	

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	448,268
2	Enter amount from Part I, line 27a	2	10,649
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	458,917
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	458,917

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				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e				

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

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

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8	3	

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)

If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☑ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2010	35,579	451,197	0 078855
2009	24,160	414,591	0 058274
2008	16,704	302,128	0 055288
2007	50,310	321,207	0 156628
2006	515	298,396	0 001726

2	**Total** of line 1, column (d)	2	0 350771
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 070154
4	Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	4	509,986
5	Multiply line 4 by line 3	5	35,778
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	79
7	Add lines 5 and 6	7	35,857
8	Enter qualifying distributions from Part XII, line 4	8	28,925

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1				
	Date of ruling or determination letter ____ **(attach copy of letter if necessary–see instructions)**				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b			1	158
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			2	
3	Add lines 1 and 2			3	158
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	158
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	250		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments Add lines 6a through 6d			7	250
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached			8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	92
11	Enter the amount of line 10 to be **Credited to 2012 estimated tax** ▶ 92	**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		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		No
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ____ **(2)** On foundation managers ▶ $ ____			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ____			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ VA			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV on page 27)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10	Yes	

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 page 20 of the instructions)	11		No
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶N/A

14 The books are in care of ▶NEIL ROSE Telephone no ▶(757) 625-7418

Located at ▶222 CENTRAL PARK AVE SUITE 1500 VIRGINIA BEACH VA ZIP+4 ▶23462

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 |

			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		

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 page 20 of the instructions)?	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011?	1c		
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? ☐ **Yes** ☑ **No**			
	If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see page 20 of the instructions)	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ **Yes** ☑ **No**			
b	If "Yes," did it have excess business holdings in 2011 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011.)*	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2011?	4b		No

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

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

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

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

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
See Additional Data Table				

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

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

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

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

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

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

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

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 THE FOUNDATION SUPPORTS VARIOUS LOCAL CHARITIES	26,000
2	
3	
4	

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

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

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see page 24 of the instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities	1a	420,516
b	Average of monthly cash balances	1b	50,598
c	Fair market value of all other assets (see page 24 of the instructions)	1c	46,638
d	**Total** (add lines 1a, b, and c)	1d	517,752
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	517,752
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions)	4	7,766
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	509,986
6	**Minimum investment return.** Enter 5% of line 5	6	25,499

Part XI Distributable Amount (see page 25 of the instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6			1	25,499
2a	Tax on investment income for 2011 from Part VI, line 5	2a	158		
b	Income tax for 2011 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	158
3	Distributable amount before adjustments Subtract line 2c from line 1			3	25,341
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	25,341
6	Deduction from distributable amount (see page 25 of the instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	25,341

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

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26	1a	28,925
b	Program-related investments—total from Part IX-B	1b	
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	28,925
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see page 26 of the instructions)	5	
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	28,925

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

Part XIII Undistributed Income (see page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				25,341
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only.				
b Total for prior years 20___, 20___, 20___				
3 Excess distributions carryover, if any, to 2011				
a From 2006.				
b From 2007. 8,196				
c From 2008. 1,599				
d From 2009. 3,434				
e From 2010. 13,259				
f **Total** of lines 3a through e.	26,488			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ $ 28,925				
a Applied to 2010, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see page 26 of the instructions)				
c Treated as distributions out of corpus (Election required—see page 26 of the instructions). . .				
d Applied to 2011 distributable amount.				25,341
e Remaining amount distributed out of corpus	3,584			
5 Excess distributions carryover applied to 2011 *(If an amount appears in column (d), the same amount must be shown in column (a).)*				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	30,072			
b Prior years' undistributed income Subtract line 4b from line 2b				
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.				
d Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions . . .				
e Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions				
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)				
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see page 27 of the instructions)				
9 **Excess distributions carryover to 2012.** Subtract lines 7 and 8 from line 6a	30,072			
10 Analysis of line 9				
a Excess from 2007. . . . 8,196				
b Excess from 2008. . . . 1,599				
c Excess from 2009. . . . 3,434				
d Excess from 2010. . . . 13,259				
e Excess from 2011. . . . 3,584				

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

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

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

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

Part XV **Supplementary Information (Complete this part only if the organization had $5,000 or more in assets at any time during the year—see page 27 of the instructions.)**

1 Information Regarding Foundation Managers:

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

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

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

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

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

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

c Any submission deadlines

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

Part XV **Supplementary Information** (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year* See Additional Data Table				
Total . . . . ▶ **3a**				26,000
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions)
1 Program service revenue	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	11,440	
4 Dividends and interest from securities					
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			26	-1,018	
9 Net income or (loss) from special events			2	2,350	
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)				12,772	

13 Total. Add line 12, columns (b), (d), and (e) 13 12,772

(See worksheet in line 13 instructions on page 28 to verify calculations)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the organization's exempt purposes (other than by providing funds for such purposes) (See page 28 of the instructions)

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

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

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

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

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

b If "Yes," complete the following schedule

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

Sign Here

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

****** | 2013-07-09 | ******

Signature of officer or trustee | Date | Title

Paid Preparer's Use Only

Preparer's Signature	Date	Check if self-employed	PTIN
EDWARD S JONES	2013-07-11	☑	

Firm's name ▶	JONES MADDEN & COUNCIL PLC	Firm's EIN ▶
Firm's address ▶	6325 NORTH CENTER DRIVE SUITE 220 NORFOLK, VA 235024015	Phone no (757) 461-1040

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

Form 990PF Part VIII Line 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
TOM ENRIGHT PO BOX 1568 NORFOLK, VA 23501	DIRECTOR 0 50	0	0	0
TOM CLAUD PO BOX 1568 NORFOLK, VA 23501	VICE PRES 0 50	0	0	0
STEVE KEE PO BOX 1568 NORFOLK, VA 23501	DIRECTOR 0 50	0	0	0
NEIL ROSE 222 CENTRAL PARK AVE SUITE 1500 VIRGINIA BEACH, VA 23462	SECRETARY/TR 1 00	0	0	0
DEBBIE STITZER-BRAME PO BOX 1568 NORFOLK, VA 23501	PRESIDENT 1 00	0	0	0
IAN JOHNSTON PO BOX 1568 NORFOLK, VA 23501	DIRECTOR 0 50	0	0	0
FORREST E WILLIAMS 222 CENTRAL PARK SUITE 1170 VIRGINIA BEACH, VA 23462	DIRECTOR 0 50	0	0	0
MICHAEL GLOVER PO BOX 1568 NORFOLK, VA 23501	DIRECTOR 0 50	0	0	0
DAVID HARLOW PO BOX 1568 NORFOLK, VA 23501	DIRECTOR 0 50	0	0	0

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
CHILDRENS HOSPITAL KINGS601 CHILDRENS LANE NORFOLK, VA 23507	N/A	501(C)3	GENERAL CHARITABLE	5,000
VIRGINIA BEACH EDUC FDN2512 GEORGE MASON DR VIRGINIA BEACH, VA 23456	N/A	501(C)3	GENERAL CHARITABLE	5,000
KIWANIS INTL FOUNDATION3636 WOODVIEW TRACE INDIANAPOLIS, IN 462683196	N/A	501(C)3	GENERAL CHARITABLE	1,000
HAMPTON ROADS EDUCATIONAL TV ASSN WHRO 5200 HAMPTON BLVD NORFOLK, VA 23508	N/A	501(C)3	SOL SERIES	10,000
NORFOLK EDUCATION FOUNDATION800 E CITY HALL AVE NORFOLK, VA 23501	N/A	501(C)3	SEEDS FOR SUCCESS GRANTS	2,500
ROC SOLID FOUNDATION3333 STATION HOUSE ROAD CHESAPEAKE, VA 23321	N/A	501(C)3	GENERAL CHARITABLE	2,500
Total . . . . ▶ **3a**				26,000

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

Schedule of Contributors

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

OMB No 1545-0047

2011

Name of organization	**Employer identification number**
KIWANIS CLUB OF NORFOLK FOUNDATION INC	52-1258705

Organization type (check one)

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

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

General Rule—

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

Special Rules

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

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

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

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

Name of organization	Employer identification number
KIWANIS CLUB OF NORFOLK FOUNDATION INC	52-1258705

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

(a) No.	(b) Name, address, and ZIP + 4	(c) Aggregate contributions	(d) Type of contribution
1	KIWANIS CLUB OF NORFOLK PO BOX 1568 NORFOLK, VA 235011568	$ 10,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
2	KIWANIS CLUB OF NORFOLK PO BOX 1568 NORFOLK, VA 235011568	$ 17,650	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)

Name of organization	**Employer identification number**
KIWANIS CLUB OF NORFOLK FOUNDATION INC	52-1258705

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
KIWANIS CLUB OF NORFOLK FOUNDATION INC

Employer identification number
52-1258705

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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

(e) Transfer of gift

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

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TY 2011 Accounting Fees Schedule

Name: KIWANIS CLUB OF NORFOLK FOUNDATION INC

EIN: 52-1258705

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTANT FEES	750			750

TY 2011 Compensation Explanation

Name: KIWANIS CLUB OF NORFOLK FOUNDATION INC

EIN: 52-1258705

Person Name	Explanation
TOM ENRIGHT	
TOM CLAUD	
STEVE KEE	
NEIL ROSE	
DEBBIE STITZER-BRAME	
IAN JOHNSTON	
FORREST E WILLIAMS	
MICHAEL GLOVER	
DAVID HARLOW	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2011 Gain/Loss from Sale of Other Assets Schedule

Name: KIWANIS CLUB OF NORFOLK FOUNDATION INC

EIN: 52-1258705

Name	Date Acquired	How Acquired	Date Sold	Purchaser Name	Gross Sales Price	Basis	Basis Method	Sales Expenses	Total (net)	Accumulated Depreciation
SALES FROM ACCT 07476	2011-10	PURCHASE	2012-09		190,329	186,624			3,705	
SALES FROM ACCT 41353	2011-10	PURCHASE	2012-09		48,278	50,672			-2,394	
SALES FROM ACCT 41353	2010-10	PURCHASE	2012-09		260,139	262,468			-2,329	

TY 2011 Investments Corporate Bonds Schedule

Name: KIWANIS CLUB OF NORFOLK FOUNDATION INC

EIN: 52-1258705

Name of Bond	End of Year Book Value	End of Year Fair Market Value
CORPORATE BONDS	20,122	21,000

TY 2011 Investments Corporate Stock Schedule

Name: KIWANIS CLUB OF NORFOLK FOUNDATION INC

EIN: 52-1258705

Name of Stock	End of Year Book Value	End of Year Fair Market Value
CORPORATE STOCKS & MUTUAL FUNDS	320,371	335,811

TY 2011 Investments Government Obligations Schedule

Name:	KIWANIS CLUB OF NORFOLK FOUNDATION INC
EIN:	52-1258705
US Government Securities - End of Year Book Value:	
US Government Securities - End of Year Fair Market Value:	
State & Local Government Securities - End of Year Book Value:	10,315
State & Local Government Securities - End of Year Fair Market Value:	12,135

TY 2011 Other Assets Schedule

Name: KIWANIS CLUB OF NORFOLK FOUNDATION INC

EIN: 52-1258705

Description	Beginning of Year - Book Value	End of Year - Book Value	End of Year - Fair Market Value
LIFE INSURANCE POLICY	42,400	42,400	49,728

TY 2011 Other Expenses Schedule

Name: KIWANIS CLUB OF NORFOLK FOUNDATION INC

EIN: 52-1258705

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
SILENT AUCTION				
SILENT AUCTION PRIZES	300		300	
TEMPORARY HELP	200		200	
EXPENSES				
INVESTMENT FEES	11	11	11	
INVESTMENT FEES	3,297	3,297	3,297	
KIWANIS CLUB REIMBURSEMENT	2,000			2,000

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TY 2011 Other Income Schedule

Name: KIWANIS CLUB OF NORFOLK FOUNDATION INC

EIN: 52-1258705

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
SILENT AUCTION	780		780
FEST EVENTS	2,070		2,070

TY 2011 Taxes Schedule

Name: KIWANIS CLUB OF NORFOLK FOUNDATION INC

EIN: 52-1258705

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAXES & LICENSES	175			175
FEDERAL TAXES	240	240		

UBS

Prepared for KIWANIS CLUB OF NORFOLK
VN 07476 • KIWANIS CLUB OF NORFOLK • Business Service Account
Risk profile Moderate
Return Objective Current Income and Capital Appreciation

Realized gain/loss

from 10/01/2011 to 09/30/2012

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
AQR MANAGED FUTURES STRATEGY FUND CLASS N	00203H842	MFQRAC	403.53	10/21/2011	3,881.98	07/25/2012	4,003.04	121 06	3.12%	S
CALVERT FD CALVERT SHORT DURATION INCOME FUND CLASS Y	131582561	MFCGUH	236.62	10/21/2011	3,835.58	12/02/2011	3,816.65	-18.93	-0.49%	S
CALVERT FD CALVERT SHORT DURATION INCOME FUND CLASS Y	131582561	MFCGUH	0.59	10/28/2011	9.62	12/02/2011	9.57	-0.05	-0 52%	S
CALVERT FD CALVERT SHORT DURATION INCOME FUND CLASS Y	131582561	MFCGUH	0.58	11/23/2011	9.35	12/02/2011	9.34	-0.01	-0.11%	S
ISHARES BARCLAYS INTER CR BD FD	464288638	CIU	102.00	10/21/2011	10,941 83	01/19/2012	10,932.15	-9 68	-0.09%	S
ISHARES INC MSCI JAPAN INDEX FD	464286848	EWJ	292.00	10/21/2011	2,802.27	05/10/2012	2,734.51	-67.76	-2.42%	S
ISHARES TRUST RUSSELL TOP 200 GROWTH ETF	464289438	IWY	190.00	10/21/2011	5,779.80	11/09/2011	5,804.40	24 60	0 43%	S
ISHARES TRUST RUSSELL TOP 200 GROWTH ETF	464289438	IWY	456.00	10/21/2011	13,871.52	01/19/2012	14,637.31	765.79	5.52%	S
ISHARES TRUST RUSSELL TOP 200 VAL ETF	464289420	IWX	214.00	10/21/2011	5,733.06	11/03/2011	5,801.44	68.38	1.19%	S
ISHARES TRUST RUSSELL TOP 200 VAL ETF	464289420	IWX	493.00	10/21/2011	13,207.47	01/19/2012	14,138.96	931.49	7.05%	S
JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS A	47803W505	MFJHHE	328.54	10/21/2011	3,518.64	01/19/2012	3,797.90	279.26	7 94%	S
JP MORGAN CORE BOND FUND SELECT	4812C0381	MFVUN	110.18	10/21/2011	1,300.12	05/10/2012	1,318.86	18.74	1.44%	S
JP MORGAN HIGHBRIDGE STAT MARKET NEUTRAL FUND A	4812A2454	MFVIAC	660.02	10/21/2011	9,722.14	06/13/2012	9,609 93	-112 21	-1.15%	S
JP MORGAN HIGHBRIDGE STAT MARKET NEUTRAL FUND A	4812A2454	MFVIAC	88 95	06/11/2012	1,299.53	06/14/2012	1,294.19	-5.34	-0.41%	S
OPPENHEIMER INTL BOND FD CL A	68380T103	MFOPIA	922.50	10/21/2011	5,913.19	01/19/2012	5,793.27	-119.92	-2.03%	S
OPPENHEIMER INTL BOND FD CL A	68380T103	MFOPIA	0.48	10/31/2011	3 11	01/19/2012	3.02	-0.09	-2.89%	S
OPPENHEIMER INTL BOND FD CL A	68380T103	MFOPIA	2.94	11/30/2011	18.51	01/19/2012	18 49	-0 02	-0.11%	S
OPPENHEIMER INTL BOND FD CL A	68380T103	MFOPIA	16.19	12/29/2011	100.20	01/19/2012	101.65	1.45	1.45%	S
PIMCO TOTAL RETURN FUND CLASS A	693390445	MFPITJ	728 14	10/21/2011	7,820.20	01/19/2012	7,987 67	167 47	2 14%	S
PRUDENTIAL JENNISON MID-CAP GROWTH FUND INC A	74441C105	MFPRKA	134.80	10/21/2011	3,734.07	01/19/2012	3,976.72	242.65	6.50%	S
SPDR BARCLAYS 1-3 MTH T-BILL ETF	78464A680	BIL	290 00	05/24/2012	13,289 18	09/18/2012	13,284 60	-4 58	-0.03%	S
SPDR BARCLAYS CAPITAL HIGH YIELD ETF	78464A417	JNK	176 00	01/19/2012	6,858.60	05/10/2012	6,944.89	86.29	1.26%	S
SPDR MSCI ACWI EX-US ETF	78463X848	CWI	346 00	12/07/2011	10,227.76	01/19/2012	10,296.76	69.00	0.67%	S
SPDR MSCI ACWI EX-US ETF	78463X848	CWI	99.00	12/07/2011	2,926.44	05/10/2012	2,922.42	-4.02	-0.14%	S
VANGUARD BD INDEX FD INC INTER TERM BOND ETF	921937819	BIV	96.00	10/21/2011	8,351 08	12/07/2011	8,378 71	27.63	0.33%	S

UBS

Prepared for KIWANIS CLUB OF NORFOLK
VN 07476 • KIWANIS CLUB OF NORFOLK • Business Service Account
Risk profile Moderate
Return Objective Current Income and Capital Appreciation

Realized gain/loss - from 10/01/2011 to 09/30/2012 (continued)

	CUSIP	Symbol	Quantity	Purchase date	Purchase amount ($)	Sale date	Sale amount ($)	Realized gain/(loss) ($)	Percent gain/(loss) (%)	Term
VANGUARD BD INDEX FD INC INTER TERM BOND ETF	921937819	BIV	94.00	10/21/2011	8,177.10	01/19/2012	8,173.15	-3.95	0.05%	S
VANGUARD BD INDEX FD INC TOTAL BOND MKT ETF	921937835	BND	163.00	10/21/2011	13,569.51	09/18/2012	13,768.32	198.81	1.47%	S
VANGUARD BD INDEX FD INC TOTAL BOND MKT ETF	921937835	BND	42.00	12/02/2011	3,502.79	09/18/2012	3,547.66	44.87	1.28%	S
VANGUARD FTSE EMERGING MARKETS ETF	922042858	VWO	104.00	10/21/2011	4,103.76	01/19/2012	4,331.59	227.83	5.55%	S
VANGUARD TOTAL STOCK MKT ETF	922908769	VTI	137.00	12/07/2011	8,855.68	05/10/2012	9,584.31	728.63	8.23%	S
VANGUARD TOTAL STOCK MKT ETF	922908769	VTI	86.00	12/07/2011	5,559.04	05/18/2012	5,722.32	163.28	2.94%	S
VANGUARD TOTAL STOCK MKT ETF	922908769	VTI	114.00	01/19/2012	7,700.69	05/18/2012	7,585.40	-115.29	-1.50%	S
TOTAL REALIZED GAIN/(LOSS):					**186,623.82**		**190,329.20**	**3,705.38**	**1.99%**	

SHORT TERM - TOTAL REALIZED GAIN/(LOSS):	3,705.38
TOTAL LOSSES:	-461.85
LONG TERM - TOTAL REALIZED GAIN/(LOSS):	0.00
TOTAL GAINS	4,167.23

KIWANIS VN 41355 52-1258705

Symbol	CUSIP	Security Description	Purchase	Closing	Quantity	Open Unit Cost	Opening Value	Closing Unit Cost	Closing Value	Realized Gain/Loss	%G/L	Closing Method	Term	Reported by UBS to IRS
AHTCX	26547307	AMERICAN FUNDS	05/02/03	10/17/11	881 834	11 340	10,000 00	10 480	9,238 72	761 28	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/29/03	10/17/11	36 811	11 850	436 21	10 480	385 66	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/29/04	10/17/11	58 631	12 283	720 19	10 480	614 26	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/29/05	10/17/11	68 803	12 253	843 02	10 480	720 83	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	01/30/06	10/17/11	4 071	12 210	49 71	10 480	42 65	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	03/01/06	10/17/11	5 702	12 280	70 02	10 480	59 74	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	03/29/06	10/17/11	5 663	12 310	69 71	10 480	59 33	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	05/01/06	10/17/11	5 685	12 340	70 15	10 480	59 56	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	05/30/06	10/17/11	5 926	12 240	72 53	10 480	62 08	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	06/29/06	10/17/11	5 913	12 020	71 07	10 480	61 95	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	07/31/06	10/17/11	5 958	12 140	72 33	10 480	62 42	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	08/29/06	10/17/11	5 929	12 200	72 33	10 480	62 12	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	09/29/06	10/17/11	5 834	12 300	71 76	10 480	61 12	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	10/30/06	10/17/11	5 904	12 430	73 39	10 480	61 85	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	11/29/06	10/17/11	5 841	12 520	73 13	10 480	61 19	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/29/06	10/17/11	1 419	12 593	17 87	10 480	14 87	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/29/06	10/17/11	8 000	12 600	100 80	10 480	83 81	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	01/29/07	10/17/11	4 198	12 690	53 27	10 480	43 98	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	03/01/07	10/17/11	5 823	12 770	74 36	10 480	61 01	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	03/29/07	10/17/11	5 973	12 700	75 86	10 480	62 58	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	04/30/07	10/17/11	5 920	12 800	75 78	10 480	62 02			FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	05/29/07	10/17/11	5 963	12 850	76 62	10 480	62 47	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	06/29/07	10/17/11	5 955	12 600	75 03	10 480	62 39	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	07/30/07	10/17/11	6 375	12 070	76 95	10 480	66 79	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	08/29/07	10/17/11	6 400	12 100	77 44	10 480	67 05	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	10/01/07	10/17/11	6 236	12 350	77 01	10 480	65 33	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	10/29/07	10/17/11	6 413	12 360	79 26	10 480	67 19	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	11/29/07	10/17/11	6 563	11 890	78 03	10 480	68 76	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/31/07	10/17/11	0 397	11 864	4 71	10 480	4 16	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/31/07	10/17/11	1 077	11 848	12 76	10 480	11 28	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/31/07	10/17/11	2 000	11 850	23 70	10 480	20 95	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/31/07	10/17/11	10 000	11 850	118 50	10 480	104 77	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	01/29/08	10/17/11	4 894	11 550	56 53	10 480	51 27	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	02/29/08	10/17/11	7 028	11 430	80 33	10 480	73 63	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	03/31/08	10/17/11	7 338	11 220	82 33	10 480	76 88	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	04/29/08	10/17/11	7 046	11 570	81 52	10 480	73 82	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	05/29/08	10/17/11	7 061	11 630	82 12	10 480	73 98	[illegible]		FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	06/30/08	10/17/11	7 415	11 280	83 64	10 480	77 68	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	07/29/08	10/17/11	7 577	11 050	83 73	10 480	79 38	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	08/29/08	10/17/11	7 677	10 980	84 29	10 480	80 43	[illegible]	[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	09/29/08	10/17/11	8 346	10 220	85 30	10 480	87 44	2 14	2 5%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	10/29/08	10/17/11	10 387	8 270	85 90	10 480	108 82	22 92	26 7%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/01/08	10/17/11	11 623	7 620	88 57	10 480	121 77	33 20	37 5%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/29/08	10/17/11	0 945	7 619	7 20	10 480	9 90	2 70	37 5%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/29/08	10/17/11	21 000	7 620	160 02	10 480	220 01	59 99	37 5%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	01/29/09	10/17/11	5 248	8 030	42 14	10 480	54 98	12 84	30 5%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	03/02/09	10/17/11	11 764	7 750	91 17	10 480	123 25	32 08	35 2%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	03/30/09	10/17/11	11 967	7 820	93 58	10 480	125 37	31 79	34 0%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	04/29/09	10/17/11	11 234	8 280	93 02	10 480	117 70	24 68	26 5%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	05/29/09	10/17/11	10 614	8 810	93 51	10 480	111 20	17 69	18 9%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	06/29/09	10/17/11	8 841	9 120	80 63	10 480	92 62	11 99	14 9%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	07/29/09	10/17/11	8 333	9 550	79 58	10 480	87 30	7 72	9 7%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	08/31/09	10/17/11	8 176	9 840	80 45	10 480	85 66	5 21	6 5%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	09/29/09	10/17/11	7 813	10 290	80 40	10 480	81 85	1 45	1 8%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	10/29/09	10/17/11	7 718	10 360	79 96	10 480	80 86	0 90	1 1%	FIFO	Long	N

KIWANIS VN 41353 52-1258705

AHTCX	26547307	AMERICAN FUNDS	11/30/09	10/17/11	7 822	10 420	81 51	10 480	81 95	0 44	0 5%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	12/29/09	10/17/11	11 958	10 580	126 52	10 480	125 28	-1 24	1 0 [illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	01/29/10	10/17/11	3 259	10 690	34 84	10 480	34 14	-0 70	2 0%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	03/01/10	10/17/11	7 690	10 680	82 13	10 480	80 57	1 56	-1 9%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	03/29/10	10/17/11	7 629	10 950	83 54	10 480	79 93	3 61	-4 3	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	04/29/10	10/17/11	8 263	11 130	91 97	10 480	86 57	5 4[illegible]	-5 [illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	06/01/10	10/17/11	8 728	10 680	93 22	10 480	91 44	[illegible]	1 9[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	06/29/10	10/17/11	8 889	10 720	95 29	10 480	93 13	[illegible]	2 3[illegible]	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	07/28/10	10/17/11	8 674	10 960	95 07	10 480	90 87	4 [illegible]	-4 4%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	08/27/10	10/17/11	8 783	10 900	95 73	10 480	92 02	[illegible]	3 9%	FIFO	Long	N
AHTCX	26547307	AMERICAN FUNDS	09/28/10	10/17/11	8 615	11 110	95 71	10 480	90 26	6 45	[illegible]	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	05/30/07	10/17/11	7 158	34 460	246 66	34 320	245 66	[illegible]	[illegible] 4	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	06/29/07	10/17/11	23 222	34 450	800 00	34 320	796 98	[illegible]	4	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	07/30/07	10/17/11	23 767	33 660	800 00	34 320	815 68	15 68	2 0%	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	07/31/08	10/17/11	30 028	33 360	1,001 73	34 320	1,030 56	28 83	2 9%	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	08/29/08	10/17/11	32 881	33 760	1,110 06	34 320	1,128 48	18 42	1 7%	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	09/30/08	10/17/11	39 713	30 260	1,201 72	34 320	1 362 95	161 23	13 4%	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	11/18/08	10/17/11	56 364	21 290	1 200 00	34 320	1,934 41	734 41	61 2%	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	06/01/10	10/17/11	18 838	31 850	599 99	34 320	646 52	46 53	7 8%	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	06/30/10	10/17/11	34 137	30 570	1,043 57	34 320	1,171 58	128 01	12 3%	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	07/30/10	10/17/11	9 974	33 080	329 94	34 320	342 31	12 37	3 7%	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	09/01/10	10/17/11	28 251	32 540	919 30	34 320	969 57	50 27	5 5%	FIFO	Long	N
BMEAX	91929810	BLACKROCK U S	09/30/10	10/17/11	3 040	35 020	106 46	34 320	104 33			FIFO	Long	N
MDLOX	09251T103	BLACKROCK GLOBAL	04/23/10	10/17/11	1,031 629	18 500	19 085 14	18 510	19,095 45	10 31	0 1%	FIFO	Long	N
MDLOX	09251T103	BLACKROCK GLOBAL	06/01/10	10/17/11	87 464	17 150	1,500 01	18 510	1,618 96	118 95	7 9%	FIFO	Long	N
MDLOX	09251T103	BLACKROCK GLOBAL	06/30/10	10/17/11	61 045	17 060	1,041 43	18 510	1,129 94	88 51	8 5%	FIFO	Long	N
MDLOX	09251T103	BLACKROCK GLOBAL	07/22/10	10/17/11	3 717	17 611	65 46	18 510	68 80	3 34	5 1%	FIFO	Long	N
MDLOX	09251T103	BLACKROCK GLOBAL	07/30/10	10/17/11	99 690	17 760	1,770 49	18 510	1 845 26	74 77	4 2%	FIFO	Long	N
MDLOX	09251T103	BLACKROCK GLOBAL	09/01/10	10/17/11	84 497	17 830	1,506 58	18 510	1 564 04	57 46	3 8%	FIFO	Long	N
MDLOX	09251T103	BLACKROCK GLOBAL	09/30/10	10/17/11	86 489	18 520	1,601 78	18 510	1 600 91			FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	04/23/10	10/17/11	1,411 100	10 820	15,268 10	11 380	16,058 32	790 22	5 2%	FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	04/30/10	10/17/11	0 164	10 950	1 80	11 380	1 87	0 07	3 9%	FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	05/28/10	10/17/11	5 676	10 920	61 98	11 380	64 59	2 61	4 2%	FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	06/01/10	10/17/11	109 890	10 920	1,200 00	11 380	1,250 55	50 55	4 2%	FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	06/30/10	10/17/11	3 126	11 030	34 48	11 380	35 57	1 09	3 2%	FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	07/30/10	10/17/11	1 961	11 020	21 61	11 380	22 32	0 71	3 3%	FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	07/30/10	10/17/11	131 520	11 020	1,449 35	11 380	1,496 70	47 35	3 3%	FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	08/31/10	10/17/11	0 056	11 210	0 63	11 380	0 64	0 01	1 6%	FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	09/01/10	10/17/11	51 892	11 160	579 11	11 380	590 53	11 42	2 0%	FIFO	Long	N
BPRAX	91937722	BLACKROCK INFLATION	09/30/10	10/17/11	193 112	11 300	2,182 17	11 380	2,197 61	15 44	0 7%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	04/23/09	10/17/11	3,177 015	0 000	27481 18	8 650	27,481 18	*	*	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	05/01/09	10/17/11	5 403	6 230	33 66	8 650	46 74	13 08	38 9%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	06/01/09	10/17/11	23 773	6 640	157 85	8 650	205 64	47 79	30 3%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	07/01/09	10/17/11	17 485	6 890	120 47	8 650	151 25	30 78	25 5%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	08/03/09	10/17/11	19 046	7 470	142 27	8 650	164 75	22 48	15 8%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	09/01/09	10/17/11	19 802	7 640	151 29	8 650	171 29	20 00	13 2%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	10/01/09	10/17/11	17 896	8 180	146 39	8 650	154 80	8 41	5 7%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	11/02/09	10/17/11	16 846	8 170	137 63	8 650	145 72	8 09	5 9%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	12/01/09	10/17/11	16 988	8 350	141 85	8 650	146 95	5 10	3 6%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	12/07/09	10/17/11	15 745	8 420	132 57	8 650	136 19	3 62	2 7%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	01/04/10	10/17/11	36 266	8 620	312 61	8 650	313 70	1 09	0 3%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	02/01/10	10/17/11	17 843	8 580	153 09	8 650	154 34	1 25	0 8%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	03/01/10	10/17/11	15 262	8 610	131 41	8 650	132 02	0 61	0 5%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	04/01/10	10/17/11	16 929	8 920	151 01	8 650	146 44	4 57	[illegible]	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	05/03/10	10/17/11	15 427	9 120	140 69	8 650	133 44	-7 25	5 2%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	06/01/10	10/17/11	18 826	8 600	161 90	8 650	162 84	0 94	0 6%	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	07/01/10	10/17/11	17 012	8 530	145 11	8 650	147 15	2 04	1 4%	FIFO	Long	N

KIWANIS VN 41353 52-1258705

FAGIX	316062108	FIDELITY CAPITAL AND	08/02/10	10/17/11	17 139	8 820	151 17	8 650	148 25	[illegible]	[illegible]	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	09/01/10	10/17/11	16 956	8 720	147 86	8 650	146 67	1 19	[illegible]	FIFO	Long	N
FAGIX	316062108	FIDELITY CAPITAL AND	10/01/10	10/17/11	15 959	9 080	144 91	8 650	138 05	-6 86	[illegible]	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	04/23/10	10/17/11	1,121 006	13 620	15,268 10	12 980	14 550 66	[illegible]	[illegible]	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	05/19/10	10/17/11	4 227	13 260	56 05	12 980	54 87	[illegible]	[illegible]	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	06/01/10	10/17/11	93 095	12 890	1,199 99	12 980	1,208 37	8 38	0 7%	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	06/17/10	10/17/11	4 675	13 031	60 92	12 980	60 68	[illegible]	[illegible]	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	06/30/10	10/17/11	35 874	12 910	463 13	12 980	465 64	2 51	0 5%	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	07/19/10	10/17/11	4 823	13 050	62 94	12 980	62 60	[illegible]	[illegible]	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	07/30/10	10/17/11	112 870	13 280	1,498 91	12 980	1,465 05	[illegible]	[illegible]	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	08/20/10	10/17/11	5 144	13 381	68 83	12 980	66 77	[illegible]	[illegible]	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	09/01/10	10/17/11	68 701	13 370	918 53	12 980	891 74	[illegible]	[illegible]	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	09/17/10	10/17/11	5 356	13 540	72 52	12 980	69 52	[illegible]	[illegible]	FIFO	Long	N
TPINX	880208103	FRANKLIN/TEMPLETON	09/30/10	10/17/11	119 555	13 710	1 639 10	12 980	1,551 82	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	05/30/07	10/17/11	78 436	24 030	1,884 82	14 780	1,159 28	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	06/29/07	10/17/11	53 428	22 460	1,199 99	14 780	789 67	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	07/05/07	10/17/11	0 900	22 630	20 37	14 780	13 30	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	07/30/07	10/17/11	56 577	21 210	1,200 00	14 780	836 21	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	10/03/07	10/17/11	1 189	23 802	28 30	14 780	17 57	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	12/20/07	10/17/11	0 155	20 129	3 12	14 780	2 29	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	12/20/07	10/17/11	0 278	20 144	5 60	14 780	4 11	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	01/03/08	10/17/11	4 674	20 509	95 86	14 780	69 08	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	04/03/08	10/17/11	0 859	20 470	17 58	14 780	12 70	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	07/03/08	10/17/11	1 373	17 888	24 56	14 780	20 29	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	07/31/08	10/17/11	119 855	18 170	2,177 77	14 780	1 771 46	[illegible]		FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	08/29/08	10/17/11	107 383	17 780	1,909 27	14 780	1,587 12	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	09/30/08	10/17/11	89 481	16 710	1,495 23	14 780	1,322 53	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	10/03/08	10/17/11	2 423	16 401	39 74	14 780	35 81	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	11/18/08	10/17/11	176 991	10 170	1 800 00	14 780	2,615 93	815 93	45 3%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	12/18/08	10/17/11	0 825	11 842	9 77	14 780	12 19	2 42	24 8%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	01/05/09	10/17/11	5 665	11 700	66 28	14 780	83 73	17 45	26 3%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	04/03/09	10/17/11	6 992	9 140	63 91	14 780	103 34	39 43	61 7%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	07/01/09	10/17/11	6 855	11 880	81 44	14 780	101 32	19 88	24 4%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	10/01/09	10/17/11	3 378	14 130	47 73	14 780	49 93	2 20	4 6%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	12/31/09	10/17/11	27 947	14 670	409 98	14 780	413 06	3 08	0 8%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	04/01/10	10/17/11	4 815	14 949	71 98	14 780	71 17	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	06/01/10	10/17/11	65 789	13 680	899 99	14 780	972 36	72 37	8 0%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	06/30/10	10/17/11	92 961	13 420	1 247 54	14 780	1,373 96	126 42	10 1%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	07/01/10	10/17/11	5 325	13 371	71 20	14 780	78 70	7 50	10 5%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	07/30/10	10/17/11	23 212	14 570	338 20	14 780	343 07	4 87	1 4%	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	09/01/10	10/17/11	51 644	15 010	775 18	14 780	763 30	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	09/30/10	10/17/11	43 468	15 720	683 32	14 780	642 46	[illegible]	[illegible]	FIFO	Long	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	10/01/10	10/17/11	3 560	15 809	56 28	14 780	52 62	[illegible]	[illegible]	FIFO	Long	N
WASAX	466000759	IVY ASSET STRATEGY	04/23/10	10/17/11	821 573	23 230	19,085 14	22 990	18 887 96	[illegible]	[illegible]	FIFO	Long	N
WASAX	466000759	IVY ASSET STRATEGY	06/01/10	10/17/11	73 028	20 540	1 500 00	22 990	1,678 91	178 91	11 9%	FIFO	Long	N
WASAX	466000759	IVY ASSET STRATEGY	06/30/10	10/17/11	94 313	20 630	1 945 68	22 990	2,168 26	222 58	11 4%	FIFO	Long	N
WASAX	466000759	IVY ASSET STRATEGY	07/30/10	10/17/11	58 960	21 760	1,282 98	22 990	1,355 49	72 51	5 7%	FIFO	Long	N
WASAX	466000759	IVY ASSET STRATEGY	09/01/10	10/17/11	63 055	21 850	1,377 75	22 990	1,449 63	71 88	5 2%	FIFO	Long	N
WASAX	466000759	IVY ASSET STRATEGY	09/30/10	10/17/11	69 496	22 780	1,583 12	22 990	1 597 71	14 59	0 9%	FIFO	Long	N
OAKBX	413838400	OAKMARK EQUITY & INCOME	04/23/10	10/17/11	693 752	27 510	19,085 13	26 760	18,564 81	[illegible]	[illegible]	FIFO	Long	N
OAKBX	413838400	OAKMARK EQUITY & INCOME	06/01/10	10/17/11	59 618	25 160	1 500 00	26 760	1,595 38	95 38	6 4%	FIFO	Long	N
OAKBX	413838400	OAKMARK EQUITY & INCOME	06/30/10	10/17/11	75 663	24 600	1,861 32	26 760	2,024 74	163 42	8 8%	FIFO	Long	N
OAKBX	413838400	OAKMARK EQUITY & INCOME	07/30/10	10/17/11	73 044	25 290	1 847 28	26 760	1,954 66	107 38	5 8%	FIFO	Long	N
OAKBX	413838400	OAKMARK EQUITY & INCOME	09/01/10	10/17/11	76 316	24 960	1,904 85	26 760	2,042 22	137 37	7 2%	FIFO	Long	N
OAKBX	413838400	OAKMARK EQUITY & INCOME	09/30/10	10/17/11	57 687	26 030	1,501 59	26 760	1,543 70	42 11	2 8%	FIFO	Long	N
PGNAX	74441K107	PRUDENTIAL JENNISON	04/23/10	10/17/11	131 904	48 230	6,361 73	45 890	6,053 07	[illegible]	[illegible]	FIFO	Long	N
PGNAX	74441K107	PRUDENTIAL JENNISON	06/01/10	10/17/11	12 367	40 430	500 00	45 890	567 52	67 52	13 5%	FIFO	Long	N

KIWANIS VN 41353 52-1258705

PGNAX	74441K107	PRUDENTIAL JENNISON	06/30/10	10/17/11	22 439	40 660	912 37	45 890	1,029 73	117 36	12 9%	FIFO	Long	N
PGNAX	74441K107	PRUDENTIAL JENNISON	07/30/10	10/17/11	7 211	43 750	315 48	45 890	330 91	15 43	4 9%	FIFO	Long	N
PGNAX	74441K107	PRUDENTIAL JENNISON	09/01/10	10/17/11	11 592	44 420	514 93	45 890	531 96	17 03	3 3%	FIFO	Long	N
PGNAX	74441K107	PRUDENTIAL JENNISON	09/30/10	10/17/11	1 142	48 140	54 98	45 890	52 41	2 57	4 7%	FIFO	Long	N
RYPRX	780905600	ROYCE PREMIER FUND	04/23/10	10/17/11	475 515	18 730	8,906 40	19 290	9,172 68	266 28	3 0%	FIFO	Long	N
RYPRX	780905600	ROYCE PREMIER FUND	06/01/10	10/17/11	42 143	16 610	700 00	19 290	812 94	112 94	16 1%	FIFO	Long	N
RYPRX	780905600	ROYCE PREMIER FUND	06/30/10	10/17/11	80 305	15 860	1,273 64	19 290	1,549 08	275 44	21 6%	FIFO	Long	N
RYPRX	780905600	ROYCE PREMIER FUND	07/30/10	10/17/11	39 959	16 640	664 92	19 290	770 81	105 89	15 9%	FIFO	Long	N
RYPRX	780905600	ROYCE PREMIER FUND	09/01/10	10/17/11	66 286	16 370	1,085 10	19 290	1,278 66	193 56	17 8%	FIFO	Long	N
RYPRX	780905600	ROYCE PREMIER FUND	09/30/10	10/17/11	5 072	17 840	90 48	19 290	97 84	7 36	8 1%	FIFO	Long	N
JSM	78442P304	SLM CORP	08/11/04	06/08/12	600 000	24 749	14,849 25	20 097	12,058 23	[illegible]	[illegible]	FIFO	Long	N
	06050XRU9	BANK OF AMER INTERNOTES	08/27/04	06/15/12	10 000 000	100 000	10,000 00	100 000	10,000 00	0 00	0 0%	FIFO	Long	N
	74432ACR9	PRUDENTIAL FINANCIAL	08/11/04	08/15/12	20 000 000	100 000	20,000 00	100 000	20,000 00	0 00	0 0%	FIFO	Long	N
					LONG TERM		262,467 57	3,000 97	260,138 94	-2,328 63				
AHTCX	26547307	AMERICAN FUNDS	10/28/10	10/17/11	8 483	11 340	96 20	10 480	88 87	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	11/26/10	10/17/11	8 694	11 220	97 55	10 480	91 08	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	12/28/10	10/17/11	13 486	11 230	151 45	10 480	141 29	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	12/29/10	10/17/11	3 082	11 230	34 61	10 480	32 29	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	01/28/11	10/17/11	3 802	11 470	43 61	10 480	39 83	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	02/28/11	10/17/11	8 533	11 550	98 56	10 480	89 40	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	03/28/11	10/17/11	8 692	11 500	99 96	10 480	91 06	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	04/28/11	10/17/11	8 594	11 590	99 60	10 480	90 04	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	05/25/11	10/17/11	8 504	11 550	98 22	10 480	89 09	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	06/28/11	10/17/11	8 390	11 330	95 06	10 480	87 90	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	07/28/11	10/17/11	8 642	11 410	98 61	10 480	90 54	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	08/26/11	10/17/11	8 767	10 700	93 81	10 480	91 85	[illegible]	[illegible]	FIFO	Short	N
AHTCX	26547307	AMERICAN FUNDS	09/28/11	10/17/11	10 498	10 480	110 02	10 480	109 98	[illegible]	[illegible]	FIFO	Short	N
BMEAX	91929810	BLACKROCK U S	10/29/10	10/17/11	6 581	36 470	240 01	34 320	225 86	[illegible]	[illegible]	FIFO	Short	N
BMEAX	91929810	BLACKROCK U S	12/02/10	10/17/11	0 913	37 996	34 69	34 320	31 33	[illegible]	[illegible]	FIFO	Short	N
BMEAX	91929810	BLACKROCK U S	12/02/10	10/17/11	3 212	38 020	122 12	34 320	110 24	[illegible]	[illegible]	FIFO	Short	N
BMEAX	91929810	BLACKROCK U S	12/13/10	10/17/11	46 705	38 540	1,800 01	34 320	1,602 92	[illegible]	[illegible]	FIFO	Short	N
MDLOX	09251T103	BLACKROCK GLOBAL	10/29/10	10/17/11	31 629	18 970	600 00	18 510	585 45	[illegible]	[illegible]	FIFO	Short	N
MDLOX	09251T103	BLACKROCK GLOBAL	12/13/10	10/17/11	232 799	19 330	4,500 00	18 510	4,309 11	[illegible]	[illegible]	FIFO	Short	N
MDLOX	09251T103	BLACKROCK GLOBAL	12/21/10	10/17/11	15 093	19 100	288 28	18 510	279 37	[illegible]	[illegible]	FIFO	Short	N
MDLOX	09251T103	BLACKROCK GLOBAL	07/21/11	10/17/11	13 234	20 260	268 12	18 510	244 96	[illegible]	[illegible]	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	10/29/10	10/17/11	2 789	11 542	32 19	11 380	31 74	[illegible]	[illegible]	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	10/29/10	10/17/11	41 594	11 540	479 99	11 380	473 34	[illegible]	[illegible]	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	11/30/10	10/17/11	1 730	11 341	19 62	11 380	19 69	0 07	0 4%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	12/13/10	10/17/11	324 910	11 080	3,600 00	11 380	3,697 48	97 48	2 7%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	12/23/10	10/17/11	16 011	10 760	172 28	11 380	182 21	9 93	5 8%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	12/23/10	10/17/11	59 500	10 760	640 22	11 380	677 11	36 89	5 8%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	12/31/10	10/17/11	3 393	10 790	36 61	11 380	38 61	2 00	5 5%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	01/31/11	10/17/11	1 964	10 769	21 15	11 380	22 35	1 20	5 7%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	02/28/11	10/17/11	4 432	10 871	48 18	11 380	50 44	2 26	4 7%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	03/31/11	10/17/11	10 598	10 930	115 84	11 380	120 61	4 77	4 1%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	04/30/11	10/17/11	10 211	11 100	113 34	11 380	116 20	2 86	2 5%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	05/31/11	10/17/11	19 584	11 010	215 62	11 380	222 87	7 25	3 4%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	06/30/11	10/17/11	14 178	11 010	156 10	11 380	161 35	5 25	3 4%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	07/31/11	10/17/11	10 965	11 340	124 34	11 380	124 78	0 44	0 4%	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	08/31/11	10/17/11	0 336	11 420	3 84	11 380	3 82	[illegible]	[illegible]	FIFO	Short	N
BPRAX	91937722	BLACKROCK INFLATION	09/30/11	10/17/11	1 937	11 378	22 04	11 380	22 04	0 00	0 0%	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	11/01/10	10/17/11	16 199	9 400	152 27	8 650	140 12	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	12/01/10	10/17/11	15 746	9 270	145 97	8 650	136 20	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	01/03/11	10/17/11	54 678	9 430	515 61	8 650	472 96	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	02/01/11	10/17/11	15 716	9 670	151 97	8 650	135 94	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	03/01/11	10/17/11	13 744	9 820	134 97	8 650	118 89	[illegible]	[illegible]	FIFO	Short	N

KIWANIS

VN 41353

52-1258105

FAGIX	316062108	FIDELITY CAPITAL AND	04/01/11	10/17/11	15 222		9 790	149 02	8 650	131 67	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	04/30/11	10/17/11	14 740		9 950	146 66	8 650	127 50	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	05/31/11	10/17/11	14 755		9 850	145 34	8 650	127 63	-17 71	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	06/10/11	10/17/11	16 510		9 580	158 17	8 650	142 81	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	06/30/11	10/17/11	14 720		9 610	141 46	8 650	127 33	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	07/31/11	10/17/11	14 990		9 570	143 45	8 650	129 66	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	08/31/11	10/17/11	16 107		9 010	145 12	8 650	139 33	[illegible]	[illegible]	FIFO	Short	N
FAGIX	316062108	FIDELITY CAPITAL AND	09/30/11	10/17/11	16 541		8 460	139 94	8 650	143 08	3 14	2 2%	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	10/19/10	10/17/11	5 700		13 819	78 77	12 980	73 99	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	10/29/10	10/17/11	35 165		13 650	480 00	12 980	456 44	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	11/17/10	10/17/11	5 946		13 591	80 81	12 980	77 18	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	12/13/10	10/17/11	264 317		13 620	3,600 00	12 980	3,430 84	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	12/17/10	10/17/11	25 570		13 420	343 15	12 980	331 90	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	01/20/11	10/17/11	7 061		13 541	95 61	12 980	91 65	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	02/17/11	10/17/11	7 086		13 539	95 94	12 980	91 98	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	03/17/11	10/17/11	7 187		13 401	96 31	12 980	93 29	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	04/19/11	10/17/11	6 960		13 889	96 67	12 980	90 34	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	05/16/11	10/17/11	7 036		13 791	97 03	12 980	91 33	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	06/15/11	10/17/11	7 040		13 830	97 36	12 980	91 38	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	07/15/11	10/17/11	7 040		13 881	97 72	12 980	91 38	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	08/15/11	10/17/11	7 143		13 730	98 07	12 980	92 72	[illegible]	[illegible]	FIFO	Short	N
TPINX	880208103	FRANKLIN/TEMPLETON	09/15/11	10/17/11	7 395		13 310	98 43	12 980	95 99	[illegible]	[illegible]	FIFO	Short	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	10/29/10	10/17/11	22 154		16 250	360 00	14 780	327 44	[illegible]	[illegible]	FIFO	Short	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	12/13/10	10/17/11	167 390		16 130	2 700 00	14 780	2 474 02	[illegible]	[illegible]	FIFO	Short	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	01/03/11	10/17/11	22 547		16 280	367 07	14 780	333 24	[illegible]	[illegible]	FIFO	Short	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	04/04/11	10/17/11	7 684		16 670	128 09	14 780	113 57	[illegible]	[illegible]	FIFO	Short	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	07/01/11	10/17/11	7 035		17 321	121 85	14 780	103 98	[illegible]	[illegible]	FIFO	Short	N
IGLAX	44980R326	ING GLOBAL REAL ESTATE	10/03/11	10/17/11	9 026		13 590	122 66	14 780	133 40	10 74	8 8%	FIFO	Short	N
WASAX	466000759	IVY ASSET STRATEGY	10/29/10	10/17/11	25 349		23 670	600 01	22 990	582 77	[illegible]	[illegible]	FIFO	Short	N
WASAX	466000759	IVY ASSET STRATEGY	12/09/10	10/17/11	2 290		24 218	55 46	22 990	52 65	[illegible]	[illegible]	FIFO	Short	N
WASAX	466000759	IVY ASSET STRATEGY	12/13/10	10/17/11	184 502		24 390	4,500 00	22 990	4 241 70	[illegible]	[illegible]	FIFO	Short	N
OAKBX	413838400	OAKMARK EQUITY & INCOME	10/29/10	10/17/11	22 573		26 580	599 99	26 760	604 05	4 06	0 7%	FIFO	Short	N
OAKBX	413838400	OAKMARK EQUITY & INCOME	12/13/10	10/17/11	163 815		27 470	4,500 00	26 760	4 383 69	[illegible]	[illegible]	FIFO	Short	N
OAKBX	413838400	OAKMARK EQUITY & INCOME	12/17/10	10/17/11	9 996		27 480	274 69	26 760	267 49	[illegible]	[illegible]	FIFO	Short	N
PAUAX	72200Q232	PIMCO ALL ASSETS ALL	12/10/10	10/17/11	699 897		10 770	7,537 89	10 270	7 187 94	[illegible]	[illegible]	FIFO	Short	N
PAUAX	72200Q232	PIMCO ALL ASSETS ALL	12/13/10	10/17/11	111 008		10 810	1,200 00	10 270	1,140 05	[illegible]	[illegible]	FIFO	Short	N
PAUAX	72200Q232	PIMCO ALL ASSETS ALL	12/31/10	10/17/11	32 661		10 510	343 27	10 270	335 43	[illegible]	[illegible]	FIFO	Short	N
PAUAX	72200Q232	PIMCO ALL ASSETS ALL	03/17/11	10/17/11	4 665		10 611	49 50	10 270	47 91	[illegible]	[illegible]	FIFO	Short	N
PAUAX	72200Q232	PIMCO ALL ASSETS ALL	06/16/11	10/17/11	8 234		10 780	88 76	10 270	84 56	[illegible]	[illegible]	FIFO	Short	N
PAUAX	72200Q232	PIMCO ALL ASSETS ALL	09/15/11	10/17/11	8 960		10 560	94 62	10 270	92 02	[illegible]	[illegible]	FIFO	Short	N
PGNAX	74441K107	PRUDENTIAL JENNISON	10/29/10	10/17/11	3 962		50 480	200 00	45 890	181 82	[illegible]	[illegible]	FIFO	Short	N
PGNAX	74441K107	PRUDENTIAL JENNISON	11/30/10	10/17/11	2 060		52 451	108 05	45 890	94 53	[illegible]	[illegible]	FIFO	Short	N
PGNAX	74441K107	PRUDENTIAL JENNISON	12/13/10	10/17/11	0 853		55 860	47 65	45 890	39 14	[illegible]	[illegible]	FIFO	Short	N
PGNAX	74441K107	PRUDENTIAL JENNISON	12/13/10	10/17/11	26 000		55 860	1,500 00	45 890	1,193 14	[illegible]	[illegible]	FIFO	Short	N
RYPRX	780905600	ROYCE PREMIER FUND	10/29/10	10/17/11	15 176		18 450	280 00	19 290	292 75	12 75	4 6%	FIFO	Short	N
RYPRX	780905600	ROYCE PREMIER FUND	12/09/10	10/17/11	9 832		19 769	194 37	19 290	189 66	4 71	[illegible]	FIFO	Short	N
RYPRX	780905600	ROYCE PREMIER FUND	12/13/10	10/17/11	104 738		20 050	2,100 00	19 290	2 020 40	[illegible]	[illegible]	FIFO	Short	N
						short term		50,671 60		48,277 98	-2,393 62				
								313,139 17		308 416 92	-4,722 25				

Tax lot details for equities include intraday transactions All other products are not adjusted for intraday activities

This report is for informational purposes only and may or may not include all holdings or client accounts