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

OMB No 1545-0052

2011

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

For calendar year 2011 or tax year beginning 11/01, 2011, and ending 10/31, 2012

Name of foundation PUTNAM FOUNDATION		A Employer identification number 02-6011388						
Number and street (or P O box number if mail is not delivered to street address) PO BOX 323 20 CENTRAL SQUARE, 2ND FL	Room/suite	B Telephone number (see instructions) (603) 352-2448						
City or town, state, and ZIP code KEENE, NH 03431		C If exemption application is pending, check here ☐						
G Check all that apply: <table style="width:100%;"> <tr> <td>☐ Initial return</td> <td>☐ Initial return of a former public charity</td> </tr> <tr> <td>☐ Final return</td> <td>☐ Amended return</td> </tr> <tr> <td>☐ Address change</td> <td>☐ Name change</td> </tr> </table>		☐ 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 ☐
☐ Initial return	☐ Initial return of a former public charity							
☐ Final return	☐ Amended return							
☐ Address change	☐ Name change							
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) \$ 30,221,683.	J Accounting method ☐ Cash ☒ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis)	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐						

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received (attach schedule)	186,383.			
2 Check ☐ if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	312,781.	312,781.		ATCH 1
5a Gross rents				
b Net rental income or (loss)				
6a Net gain or (loss) from sale of assets not on line 10	465,646.			
b Gross sales price for all assets on line 6a	7,811,987.			
7 Capital gain net income (from Part IV, line 2)		465,646.		
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)	101,100.	101,100.		ATCH 2
12 Total. Add lines 1 through 11	1,065,910.	879,527.		
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)	6,500.			ATCH 3
c Other professional fees (attach schedule)	191,952.	191,952.		
17 Interest				
18 Taxes (attach schedule) (see instructions)	5,000.			
19 Depreciation (attach schedule) and depletion				
20 Occupancy				
21 Travel, conferences, and meetings	2,122.	2,122.		
22 Printing and publications	522.	522.		
23 Other expenses (attach schedule)	71,322.	71,322.		ATCH 6
24 Total operating and administrative expenses. Add lines 13 through 23	277,418.	265,918.		
25 Contributions, gifts, grants paid	1,185,081.			1,185,081.
26 Total expenses and disbursements. Add lines 24 and 25	1,462,499.	265,918.	0	1,185,081.
27 Subtract line 26 from line 12				
a Excess of revenue over expenses and disbursements	-396,589.			
b Net investment income (if negative, enter -0-)		613,609.		
c Adjusted net income (if negative, enter -0-)				

For Paperwork Reduction Act Notice, see instructions.

*ATCH 4 JSA ** ATCH 5

Form 990-PF 2011

SCANNED JUN 24 2013

6/19 B

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1	Cash - non-interest-bearing				
	2	Savings and temporary cash investments	1,744,366.	1,789,361.	1,789,361.	
	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 instructions)				
	7	Other notes and loans receivable (attach schedule) ▶ * Less allowance for doubtful accounts ▶	100,479.	100,479.	100,479.	
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10 a	Investments - U.S. and state government obligations (attach schedule)	494,829.	505,208.	525,199.	
	b	Investments - corporate stock (attach schedule)	6,465,275.	8,252,883.	8,720,256.	
	c	Investments - corporate bonds (attach schedule)	12,832,697.	11,233,239.	12,071,868.	
	11	Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶				
	12	Investments - mortgage loans				
	13	Investments - other (attach schedule)	7,460,243.	6,535,986.	6,833,137.	
	14	Land, buildings, and equipment basis ▶ Less accumulated depreciation (attach schedule) ▶				
15	Other assets (describe ▶ ATTCH 7)		181,383.	181,383.		
16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	29,097,889.	28,598,539.	30,221,683.		
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	29,097,889.	28,598,539.		
	28	Paid-in or capital surplus, or land, bldg, and equipment fund				
29	Retained earnings, accumulated income, endowment, or other funds					
30	Total net assets or fund balances (see instructions)	29,097,889.	28,598,539.			
31	Total liabilities and net assets/fund balances (see instructions)	29,097,889.	28,598,539.			

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	29,097,889.
2	Enter amount from Part I, line 27a	2	-396,589.
3	Other increases not included in line 2 (itemize) ▶ ATTACHMENT 8	3	185,250.
4	Add lines 1, 2, and 3	4	28,886,550.
5	Decreases not included in line 2 (itemize) ▶ ATTACHMENT 9	5	288,011.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	28,598,539.

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 SEE PART IV SCHEDULE					
b					
c					
d					
e					
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)		
a					
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))		
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any			
a					
b					
c					
d					
e					
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	465,646.	
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 instructions). If (loss), enter -0- in Part I, line 8			3	0	

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 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	1,171,925.	29,639,001.	0.039540
2009	1,244,600.	27,439,662.	0.045358
2008	1,313,623.	23,633,447.	0.055583
2007	1,685,152.	30,132,923.	0.055924
2006	1,987,964.	33,565,056.	0.059227
2 Total of line 1, column (d)			2 0.255632
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 0.051126
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5			4 31,532,870.
5 Multiply line 4 by line 3			5 1,612,150.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 6,136.
7 Add lines 5 and 6			7 1,618,286.
8 Enter qualifying distributions from Part XII, line 4 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			8 1,185,081.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1 Date of ruling or determination letter: _____ (attach copy of letter if necessary - see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	12,272.
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	12,272.
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	12,272.
6 Credits/Payments			
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6a	5,294.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c	12,000.	
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	17,294.	
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	5,022.	
11 Enter the amount of line 10 to be Credited to 2012 estimated tax ☐ 5,022. 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?		X
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)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ☐ \$ _____ (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		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		X
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ NH, _____		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses ATTACHMENT 10	X	

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address ▶ N/A				
14	The books are in care of ▶ JAMES PUTNAM Telephone no ▶ 603-352-2448			
Located at ▶ 20 CENTRAL SQUARE KEENE, NH ZIP + 4 ▶ 03431				
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			
16	At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ▶	16	Yes	No

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? ☐ Organizations relying on a current notice regarding disaster assistance check here ▶ ☐	1b	X
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) ☐ Yes ☒ No	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) ☐ Yes ☒ No	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)? (see 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 instructions)? ☐ Yes ☒ NoOrganizations 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? ☐ Yes ☒ 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? ☐ Yes ☒ No**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 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
JAMES PUTNAM KEENE, NH 03431	TRUSTEE/PT	0	0	0
THOMAS P. PUTNAM KEENE, NH 03431	TRUSTEE/PT	0	0	0

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

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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 (see 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 N/A	
2	
3	
4	

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

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

	Amount
1 NONE	
2	
All other program-related investments. See instructions.	
3 NONE	
Total. Add lines 1 through 3 ▶	

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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	
b	Average of monthly cash balances	1b	22,872,421.
c	Fair market value of all other assets (see instructions)	1c	9,140,645.
d	Total (add lines 1a, b, and c)	1d	32,013,066.
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	32,013,066.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	480,196.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	31,532,870.
6	Minimum investment return. Enter 5% of line 5	6	1,576,644.

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	1,576,644.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	12,272.
b	Income tax for 2011 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	12,272.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	1,564,372.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	1,564,372.
6	Deduction from distributable amount (see instructions)	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	1,564,372.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	1,185,081.
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	1,185,081.
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 instructions)	5	
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,185,081.

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

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				1,564,372.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only				
b Total for prior years 20 09 20 08 20 07				
3 Excess distributions carryover, if any, to 2011				
a From 2006 228,597.				
b From 2007 192,780.				
c From 2008 142,271.				
d From 2009				
e From 2010				
f Total of lines 3a through e	563,648.			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ 1,185,081.				
a Applied to 2010, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions)				
c Treated as distributions out of corpus (Election required - see instructions)	97,252.			
d Applied to 2011 distributable amount				1,087,829.
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a))	476,543.			476,543.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	184,357.			
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 instructions				
e Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount - see instructions				
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see instructions)				
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	184,357.			
10 Analysis of line 9				
a Excess from 2007 42,086.				
b Excess from 2008 142,271.				
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)

NOT APPLICABLE

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			(e) Total
	(a) 2011	(b) 2010	(c) 2009	(d) 2008	
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					
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)(m)					
(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))

N/A

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

N/A

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

ATTACHMENT 11

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

ATTACHMENT 12

c Any submission deadlines

N/A

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

ATTACHMENT 13

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 STATEMENT B				1,185,081.
Total			▶ 3a	1,185,081.
b Approved for future payment				
Total			▶ 3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	Related or exempt function income (See instructions)
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					
4 Dividends and interest from securities			14	312,781.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property .					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	465,646.	
9 Net income or (loss) from special events . . .					
10 Gross profit or (loss) from sales of inventory . .					
11 Other revenue a _____					
b ATTACHMENT 14				101,100.	
c _____					
d _____					
e _____					
12 Subtotal Add columns (b), (d), and (e)				1,065,910.	
13 Total. Add line 12, columns (b), (d), and (e)				1,065,910.	

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

[illegible]

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

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

[illegible]

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

b If "Yes," complete the following schedule

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

**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.


Signature of officer or trustee

Date 6/14/2013

► Trustee
Title

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

**Paid
Preparer
Use Only**

Print/Type preparer's name
JAMES M. MEDEIROS

Preparer's signature
JWSM Medica
EQ OPERS LLP
T

Date
06/14/2013

Check ☐ if self-employed	PTIN P00237396
--	-------------------

Firm's name ► PRICEWATERHOUSECOOPERS LLP

Firm's EIN ► 13-4008324

Firm's address ► 125 HIGH STREET
BOSTON, MA

02110

Phone no 617-530-7353

Schedule of Contributors

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

OMB No 1545-0047

2011

Name of the organization
PUTNAM FOUNDATION

Employer identification number
02-6011388

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).

Name of organization PUTNAM FOUNDATION

Employer identification number
02-6011388**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	DAVID F PUTNAM, JR 753 OLD HOMESTEAD HIGHWAY SWANZEY, NH 03446	\$ 5,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution.)
2	LOUISA PUTNAM 2930 FUEGO SAGRADO SANTA FE, NM 87505	\$ 30,231.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II if there is a noncash contribution)
3	FREDERICK A. PUTNAM 27 SUMMER STREET ANDOVER, MA 01810	\$ 30,231.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II if there is a noncash contribution)
4	DAVID F PUTNAM, JR 753 OLD HOMESTEAD HIGHWAY SWANZEY, NH 03446	\$ 30,231.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II if there is a noncash contribution)
5	ROSAMOND DELORI 44 TOWER ROAD LINCOLN, MA 01773	\$ 30,230.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II if there is a noncash contribution)
6	THOMAS P PUTNAM P.O. BOX 323 KEENE, NH 03431	\$ 30,230.	Person ☒ Payroll ☐ Noncash ☒ (Complete Part II if there is a noncash contribution)

JSA

Schedule B (Form 990, 990-EZ, or 990-PF) (2011)

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Name of organization PUTNAM FOUNDATION

Employer identification number
02-6011388**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
7	JAMES A PUTNAM P.O. BOX 323 KEENE, NH 03431	\$ 30,230.	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)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II if there is a noncash contribution)

JSA

Schedule B (Form 990, 990-EZ, or 990-PF) (2011)

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Name of organization PUTNAM FOUNDATION

Employer identification number

02-6011388

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
2	MARKEM PATENT	\$ 30,231.	12/15/2011
3	MARKEM PATENT	\$ 30,231.	12/15/2011
4	MARKEM PATENT	\$ 30,231.	12/15/2011
5	MARKEM PATENT	\$ 30,230.	12/15/2011
6	MARKEM PATENT	\$ 30,230.	12/15/2011
7	MARKEM PATENT	\$ 30,230.	12/15/2011

JSA

Schedule B (Form 990, 990-EZ, or 990-PF) (2011)

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Name of organization PUTNAM FOUNDATION

Employer identification number

02-6011388

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 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
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL LONG-TERM COMMON TRUST FUND AND PARTNERSHIP, S CORPORATION, AND OTHER ESTATES OR TRUST GAIN OR LOSS					27,174.	
		TOTAL CAPITAL GAIN DISTRIBUTIONS					1,578.	
3,943,099.		BNY MELLON MUTUAL FUND/CASH 3,798,428.					VARIOUS 144,671.	VARIOUS
596,476.		BNY MELLON MUTUAL FUND/CASH 594,780.					VARIOUS 1,696.	VARIOUS
576,120.		BNY MELLON PINACLE 599,065.					VARIOUS -22,945.	VARIOUS
87,568.		BNY MELLON PINACLE 77,290.					VARIOUS 10,278.	VARIOUS
606,923.		BNY MELLON SNOW 480,154.					VARIOUS 126,769.	VARIOUS
369,038.		BNY MELLON SNOW 348,043.					VARIOUS 20,995.	VARIOUS
480,461.		BNY MELLON WALTHAUSEN 420,864.					VARIOUS 59,597.	VARIOUS
582,638.		BNY MELLON WALTHAUSEN 490,376.					VARIOUS 92,262.	VARIOUS
50,157.		BNY MELLON BRECKINRIDGE 50,206.					VARIOUS -49.	VARIOUS
490,755.		BNY MELLON WCM INVESTMENT MANAGEMENT 487,135.					VARIOUS 3,620.	VARIOUS
TOTAL GAIN (LOSS)							<u>465,646.</u>	

ATTACHMENT 1FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
DIVIDENDS AND INTEREST FROM SECURITIES	312,781.	312,781.
TOTAL	<u>312,781.</u>	<u>312,781.</u>

ATTACHMENT 2

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
SANDERSON ASSET MANAGEMENT	56,789.	56,789.
HIGHCLERE INTERNATIONAL INVESTORS	23,664.	23,664.
BRECKINRIDGE ACCRETION/AMORTIZATION	-4,353.	-4,353.
MARKEM-IMAJE CORPORATION	25,000.	25,000.
TOTALS	<u>101,100.</u>	<u>101,100.</u>

ATTACHMENT 3

FORM 990PF, PART I - ACCOUNTING FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>	<u>ADJUSTED NET INCOME</u>	<u>CHARITABLE PURPOSES</u>
ACCOUNTING FEES	6,500.			
TOTALS	<u>6,500.</u>			

ATTACHMENT 4FORM 990PF, PART I - OTHER PROFESSIONAL FEES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>	<u>NET INVESTMENT INCOME</u>
INVESTMENT MANAGEMENT FEES	177,327.	177,327.
CONSULTING FEES	14,625.	14,625.
TOTALS	<u>191,952.</u>	<u>191,952.</u>

ATTACHMENT 5FORM 990PF, PART I - TAXES

<u>DESCRIPTION</u>	<u>REVENUE AND EXPENSES PER BOOKS</u>
FEDERAL	5,000.
TOTALS	<u>5,000.</u>

ATTACHMENT 6

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
BANK CHARGES	219.	219.
MEMBERSHIP DUES	500.	500.
MEALS	311.	311.
TELEPHONE	1,005.	1,005.
SUPPLIES	408.	408.
BOOKKEEPING	68,606.	68,606.
FILING FEES	75.	75.
POSTAGE	198.	198.
TOTALS	<u>71,322.</u>	<u>71,322.</u>

ATTACHMENT 7

FORM 990PF, PART II - OTHER ASSETS

<u>DESCRIPTION</u>	<u>ENDING BOOK VALUE</u>	<u>ENDING FMV</u>
MARKEM CORP ROYALTY	181,383.	181,383.
TOTALS	<u>181,383.</u>	<u>181,383.</u>

ATTACHMENT 8FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
OUTSTANDING CHECKS AT EOY	185,250.
TOTAL	<u>185,250.</u>

ATTACHMENT 9FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

<u>DESCRIPTION</u>	<u>AMOUNT</u>
OUTSTANDING CHECKS AT BOY	69,401.
UNREALIZED GAIN/LOSS	218,610.
TOTAL	<u>288,011.</u>

PUTNAM FOUNDATION

02-6011388

FORM 990PF, PART VII-A, LINE 10 - NEW SUBSTANTIAL CONTRIBUTORS

ATTACHMENT 10

<u>NAME AND ADDRESS</u>	<u>DATE</u>	<u>DIRECT PUBLIC SUPPORT</u>
DAVID F PUTNAM, JR 753 OLD HOMESTEAD HIGHWAY SWANZEY, NH 03446	02/18/2012	5,000.
TOTAL CONTRIBUTION AMOUNTS		<u>5,000.</u>

ATTACHMENT 11

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

JAMES PUTNAM, PUTNAM FOUNDATION
PO BOX 323, 20 CENTRAL SQ, 2ND FL
KEENE, NH 03431
603-352-2448

ATTACHMENT 12

990PF, PART XV - FORM AND CONTENTS OF SUBMITTED APPLICATIONS

LETTER STATING THE PROPOSED USE OF THE FUNDS REQUESTED AND RELEVANT
FACTS AND INFORMATION.

ATTACHMENT 13

990PF, PART XV - RESTRICTIONS OR LIMITATIONS ON AWARDS

LIMITED TO THE HISTORICAL PRESERVATION, CULTURAL ENHANCEMENT,
ECOLOGICAL MAINTENANCE AND CERTAIN OTHER.

PUTNAM FOUNDATION

02-6011388

FORM 990-PF, PART XVI-A - ANALYSIS OF OTHER REVENUE

ATTACHMENT 14

<u>DESCRIPTION</u>	<u>BUSINESS CODE</u>	<u>AMOUNT</u>	<u>EXCLUSION CODE</u>	<u>AMOUNT</u>	<u>RELATED OR EXEMPT FUNCTION INCOME</u>
SANDERSON ASSET MANAGEMENT			18	56,789.	
HIGHCLERE INTERNATIONAL INVESTORS			18	23,664.	
BRECKINRIDGE ACCRECTION/AMORIZATION			18	-4,353.	
MARKEM-IMAJE CORPORATION				25,000.	

TOTALS

101,100.

**SCHEDULE D
(Form 1041)**

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

► Attach to Form 1041, Form 5227, or Form 990-T. See the instructions for
Schedule D (Form 1041) (also for Form 5227 or Form 990-T, if applicable).

OMB No 1545-0092

2011

Name of estate or trust

PUTNAM FOUNDATION

Employer identification number

02-6011388

Note: Form 5227 filers need to complete only Parts I and II

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo., day, yr.)	(c) Date sold (mo., day, yr.)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
1a					

b Enter the short-term gain or (loss), if any, from Schedule D-1, line 1b	1b	128,802.
2 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	2	
3 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	3	
4 Short-term capital loss carryover Enter the amount, if any, from line 9 of the 2010 Capital Loss Carryover Worksheet	4	()
5 Net short-term gain or (loss). Combine lines 1a through 4 in column (f). Enter here and on line 13, column (3) on the back ►	5	128,802.

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example 100 shares 7% preferred of "Z" Co)	(b) Date acquired (mo., day, yr.)	(c) Date sold (mo., day, yr.)	(d) Sales price	(e) Cost or other basis (see instructions)	(f) Gain or (loss) for the entire year Subtract (e) from (d)
6a					

b Enter the long-term gain or (loss), if any, from Schedule D-1, line 6b	6b	308,092.
7 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	7	
8 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts	8	27,174.
9 Capital gain distributions	9	1,578.
10 Gain from Form 4797, Part I	10	
11 Long-term capital loss carryover Enter the amount, if any, from line 14 of the 2010 Capital Loss Carryover Worksheet	11	()
12 Net long-term gain or (loss). Combine lines 6a through 11 in column (f). Enter here and on line 14a, column (3) on the back ►	12	336,844.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D (Form 1041) 2011

JSA

1F1210 2 000

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Part III Summary of Parts I and II		(1) Beneficiaries' (see instr)	(2) Estate's or trust's	(3) Total
Caution: Read the instructions before completing this part				
13	Net short-term gain or (loss)	13		128,802.
14	Net long-term gain or (loss):			
a	Total for year	14a		336,844.
b	Unrecaptured section 1250 gain (see line 18 of the wrkst)	14b		
c	28% rate gain	14c		
15	Total net gain or (loss). Combine lines 13 and 14a ▶	15		465,646.

Note: If line 15, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a). If lines 14a and 15, column (2), are net gains, go to Part V, and do not complete Part IV. If line 15, column (3), is a net loss, complete Part IV and the **Capital Loss Carryover Worksheet**, as necessary.

Part IV Capital Loss Limitation	
16	Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the smaller of a The loss on line 15, column (3) or b \$3,000
16	()

Note: If the loss on line 15, column (3), is more than \$3,000, or if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the **Capital Loss Carryover Worksheet** in the instructions to figure your capital loss carryover.

Part V Tax Computation Using Maximum Capital Gains Rates	
Form 1041 filers. Complete this part only if both lines 14a and 15 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), and Form 1041, line 22, is more than zero. Caution: Skip this part and complete the Schedule D Tax Worksheet in the instructions if • Either line 14b, col (2) or line 14c, col (2) is more than zero, or • Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero	
Form 990-T trusts. Complete this part only if both lines 14a and 15 are gains, or qualified dividends are included in income in Part I of Form 990-T, and Form 990-T, line 34, is more than zero. Skip this part and complete the Schedule D Tax Worksheet in the instructions if either line 14b, col (2) or line 14c, col (2) is more than zero	

17	Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34)	17	
18	Enter the smaller of line 14a or 15 in column (2) but not less than zero	18	
19	Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T)	19	
20	Add lines 18 and 19	20	
21	If the estate or trust is filing Form 4952, enter the amount from line 4g, otherwise, enter -0- ▶	21	
22	Subtract line 21 from line 20. If zero or less, enter -0-	22	
23	Subtract line 22 from line 17. If zero or less, enter -0-	23	
24	Enter the smaller of the amount on line 17 or \$2,300	24	
25	Is the amount on line 23 equal to or more than the amount on line 24? ☐ Yes. Skip lines 25 and 26, go to line 27 and check the "No" box ☐ No. Enter the amount from line 23.	25	
26	Subtract line 25 from line 24.	26	
27	Are the amounts on lines 22 and 26 the same? ☐ Yes. Skip lines 27 thru 30, go to line 31 ☐ No. Enter the smaller of line 17 or line 22	27	
28	Enter the amount from line 26 (If line 26 is blank, enter -0-)	28	
29	Subtract line 28 from line 27	29	
30	Multiply line 29 by 15% (15)	30	
31	Figure the tax on the amount on line 23. Use the 2011 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	31	
32	Add lines 30 and 31	32	
33	Figure the tax on the amount on line 17. Use the 2011 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)	33	
34	Tax on all taxable income. Enter the smaller of line 32 or line 33 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36)	34	

Schedule D (Form 1041) 2011

Department of the Treasury
Internal Revenue Service

▶ See instructions for Schedule D (Form 1041).
▶ Attach to Schedule D to list additional transactions for lines 1a and 6a.

OMB No 1545-0092

2011

PUTNAM FOUNDATION

02-6011388

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1b Total. Combine the amounts in column (f) Enter here and on Schedule D, line 1b	128,802.
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For Paperwork Reduction Act Notice, see the Instructions for Form 1041.

Schedule D-1 (Form 1041) 2011

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Employer identification number

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6b Total. Combine the amounts in column (f). Enter here and on Schedule D, line 6b	308,092.
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Schedule D-1 (Form 1041) 2011



BNY MELLON

PF MUTUAL FUND/CASH - P19F90000002

**Lot Level Dispositions
by Reported Date
11/1/2011 - 10/31/2012**

Report ID: HDA824

Base Currency: USD

Status: REVISED

Original Acquisition's Trade Date of Sale /

Trade Date / Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
LONG						
6/27/2011	8/7/2012	DODGE & COX INCOME FUND	-2,383.211	-31,935.03	32,840.65	905.62
8/7/2012	8/8/2012	SEC ID: 256210105	11180000010C			
1/28/2011	8/7/2012	DODGE & COX INCOME FUND	-32,371.150	-430,212.59	446,074.45	15,861.86
8/7/2012	8/8/2012	SEC ID: 256210105	11031000030C			
3/28/2011	8/7/2012	DODGE & COX INCOME FUND	-2,663.532	-35,318.44	36,703.47	1,385.03
8/7/2012	8/8/2012	SEC ID: 256210105	11089000010C			
12/21/2010	8/7/2012	DODGE & COX INCOME FUND	-2,535.807	-33,447.30	34,943.42	1,496.12
8/7/2012	8/8/2012	SEC ID: 256210105	10357000010C			
9/27/2007	8/7/2012	DODGE & COX INCOME FUND	-8,403.355	-105,125.97	115,798.23	10,672.26
8/7/2012	8/8/2012	SEC ID: 256210105	08354000070A			
12/29/2009	12/23/2011	HENDERSON INTERNATIONAL EQUITY FUND	-152.236	-1,201.14	1,099.14	-102.00
12/23/2011	12/27/2011	SEC ID: 425067683	09365000080C			
12/28/2009	12/23/2011	HENDERSON INTERNATIONAL EQUITY FUND	-190,355.330	-1,500,000.00	1,374,365.49	-125,634.51
12/23/2011	12/27/2011	SEC ID: 425067683	09363000020C			
11/6/2007	5/2/2012	T ROWE PRICE INSTITUTIONAL LAR	-95,024.161	-1,592,604.94	1,822,563.41	229,958.47
5/2/2012	5/3/2012	SEC ID: 45775L408	08354000130A			
9/27/2007	5/2/2012	T ROWE PRICE INSTITUTIONAL LAR	-3,828.811	-63,290.25	73,436.59	10,146.34
5/2/2012	5/3/2012	SEC ID: 45775L408	08354000110A			
11/27/2010	8/7/2012	VANGUARD SHORT-TERM BOND INDEX	-206.220	-2,206.51	2,196.24	-10.27
8/7/2012	8/8/2012	SEC ID: 921937850	12025000030S			
7/29/2011	8/7/2012	VANGUARD SHORT-TERM BOND INDEX	-248.267	-2,651.49	2,644.04	-7.45
8/7/2012	8/8/2012	SEC ID: 921937850	11213000010C			
10/29/2010	8/7/2012	VANGUARD SHORT-TERM BOND INDEX	-17.990	-191.95	191.59	-0.36
8/7/2012	8/8/2012	SEC ID: 921937850	12025000010S			
12/29/2010	8/7/2012	VANGUARD SHORT-TERM BOND INDEX	-22.756	-242.16	242.35	0.19
8/7/2012	8/8/2012	SEC ID: 921937850	12025000020S			
TOTAL LONG:			-338,212.826	-3,798,427.77	3,943,099.07	144,671.30
SHORT						
6/26/2012	8/7/2012	DODGE & COX INCOME FUND	-2,264.454	-30,796.58	31,204.18	407.60
8/7/2012	8/8/2012	SEC ID: 256210105	12180000010C			
3/27/2012	8/7/2012	DODGE & COX INCOME FUND	-2,426.873	-32,932.67	33,442.31	509.64
8/7/2012	8/8/2012	SEC ID: 256210105	12089000010C			
12/20/2011	8/7/2012	DODGE & COX INCOME FUND	-2,568.617	-34,034.17	35,395.54	1,361.37
8/7/2012	8/8/2012	SEC ID: 256210105	11356000010C			

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BNY MELLON

PF MUTUAL FUND/CASH - P19F90000002

Lot Level Dispositions by Reported Date 11/1/2011 - 10/31/2012

Report ID: HDA824
Base Currency: USD
Status: REVISED

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
9/27/2011	8/7/2012	DODGE & COX INCOME FUND SEC ID: 256210105	-2,438 153 11272000030C	-32,256.76	33,597.75	1,340.99
12/29/2010	12/23/2011	HENDERSON INTERNATIONAL EQUITY FUND	-1,799 382 10365000050C	-15,924.53	12,991.54	-2,932.99
12/23/2011	12/27/2011	SEC ID: 425067683 HENDERSON INTERNATIONAL EQUITY FUND	-709 003 11342000010C	-5,274.98	5,119.00	-155.98
8/31/2011	8/7/2012	SEC ID: 425067683 VANGUARD SHORT-TERM BOND INDEX	-245.667 11244000010C	-2,628.64	2,616.35	-12.29
8/7/2012	8/8/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-235.124 11305000010C	-2,511.12	2,504.07	-7.05
10/31/2011	8/7/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-298.343 12214000030C	-3,183.32	3,177.35	-5.97
7/31/2012	8/7/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-233 483 11276000010C	-2,488.93	2,486.59	-2.34
8/7/2012	8/8/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-221 362 12032000020C	-2,359.72	2,357.51	-2.21
1/31/2012	8/7/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-205.758 12061000010C	-2,189.27	2,191.32	2.05
2/29/2012	8/7/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-222.117 11335000010C	-2,363.33	2,365.55	2.22
8/7/2012	8/8/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-209.279 12122000010C	-2,226.73	2,228.82	2.09
11/30/2011	8/7/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-235 310 12153000020C	-2,503.70	2,506.05	2.35
8/7/2012	8/8/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-294.666 12184000050C	-3,132.30	3,138.19	5.89
4/30/2012	8/7/2012	SEC ID: 921937850 VANGUARD SHORT-TERM BOND INDEX	-39,357 179 12146000020C	-417,973.24	419,153.98	1,180.74
8/7/2012	8/8/2012	SEC ID: 921937850				
TOTAL SHORT:			-53,964.770	-594,779.99	596,476.10	1,696.11
TOTAL LOT DISPOSITION:			-392,177.596	-4,393,207.76	4,539,575.17	146,367.41



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions by Reported Date 11/1/2011 - 10/31/2012

Report ID: HDA824

Base Currency: USD

Status: REVISED

Original Acquisition's Trade Date of Sale /

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
LONG						
5/16/2008	12/22/2011	LAZARD LTD SHS -A- SEC ID: G54050102	-50.000 08318000020L	-1,866.25	1,222.48	-643.77
12/22/2011	12/23/2011					
5/8/2008	12/22/2011	LAZARD LTD SHS -A- SEC ID: G54050102	-150.000 08318000010L	-5,317.11	3,667.42	-1,649.69
12/22/2011	12/23/2011					
11/9/2010	12/22/2011	ORIENT EXPRESS HOTELS LTD CL A SHS	-600.000 10315000010C	-6,450.00	4,427.91	-2,022.09
12/22/2011	12/23/2011					
1/13/2010	12/22/2011	SEC ID: G67743107 ORIENT EXPRESS HOTELS LTD CL A SHS	-100.000 10014000020C	-1,000.00	737.99	-262.01
12/22/2011	12/23/2011					
6/14/2010	12/22/2011	SEC ID: G67743107 FOSTER WHEELER AG COM	-50.000 10166000050C	-1,255.28	924.38	-330.90
12/22/2011	12/27/2011					
9/17/2010	12/22/2011	SEC ID: H27178104 FOSTER WHEELER AG COM	-200.000 10263000050C	-4,839.56	3,697.53	-1,142.03
12/22/2011	12/27/2011					
5/16/2011	5/22/2012	SEC ID: H27178104 RADVISION LTD COM	-1,050.000 11137000020C	-10,279.50	12,295.33	2,015.83
5/22/2012	5/23/2012					
1/6/2009	12/22/2011	SEC ID: M81869105 ROYAL CARIBBEAN CRUISES LTD	-200.000 09007000010C	-3,010.28	4,891.93	1,881.65
12/22/2011	12/22/2011					
10/9/2007	5/11/2012	SEC ID: V7780T103 ACCO BRANDS CORP	-0.413 12122000100F	-4.74	4.31	-0.43
5/11/2012	5/14/2012					
10/9/2007	9/4/2012	SEC ID: 00081T108 ACCO BRANDS CORP	-115.040 12122000100F	-1,319.69	746.82	-572.87
9/4/2012	9/5/2012					
1/10/2008	9/4/2012	SEC ID: 00081T108 ACCO BRANDS CORP	-98.960 12122000110F	-1,018.05	642.44	-375.61
9/4/2012	9/5/2012					
10/9/2007	12/22/2011	SEC ID: 00081T108 AMC NETWORKS INC	-100.000 11182000070F	-3,094.70	3,669.02	574.32
12/22/2011	12/27/2011					
7/23/2008	12/22/2011	SEC ID: 00164V103 ARRIS GROUP INC	-350.000 08318000080L	-3,108.59	3,683.71	575.12
12/22/2011	12/27/2011					
10/10/2007	12/22/2011	SEC ID: 04269Q100 ATMEL CORP	-1,450.000 08318000140L	-7,654.55	11,452.31	3,797.76
12/22/2011	12/27/2011					
10/9/2007	12/22/2011	SEC ID: 049513104 AVNET INC	-250.000 08318000150L	-10,799.50	7,608.35	-3,191.15
12/22/2011	12/27/2011					
4/29/2010	12/22/2011	SEC ID: 053807103 BAKER HUGHES INC	-50.000 10119000020A	-2,979.61	2,445.45	-534.16
12/22/2011	12/27/2011					
6/24/2008	12/22/2011	SEC ID: 057224107 BILL BARRETT CORP	-50.000 08318000200L	-2,900.71	1,764.96	-1,135.75
12/22/2011	12/27/2011					
6/24/2008	6/25/2012	SEC ID: 06846N104 BILL BARRETT CORP	-200.000 08318000200L	-11,602.84	3,343.93	-8,258.91
6/25/2012	6/26/2012					
7/15/2008	6/25/2012	SEC ID: 06846N104 BILL BARRETT CORP	-100.000 08318000210L	-4,894.66	1,671.96	-3,222.70
6/25/2012	6/26/2012					

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BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions by Reported Date 11/1/2011 - 10/31/2012

Report ID: HDA824

Base Currency: USD

Status: REVISED

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
8/6/2010	12/22/2011	BRINK'S CO/THE SEC ID: 109696104	-150 000 10221000020C	-3,116.58	3,944.92	828.34
12/22/2011	12/27/2011	BROOKS AUTOMATION INC SEC ID: 114340102	-300.000 08318000230L	-4,385.79	3,124.22	-1,261.57
10/9/2007	12/22/2011	BROOKS AUTOMATION INC SEC ID: 114340102	-1,150 000 08318000230L	-16,812.19	9,170.35	-7,641.84
9/10/2012	9/11/2012	CAE INC SEC ID: 124765108	-600.000 08318000250L	-8,277.78	5,555.89	-2,721.89
10/9/2007	12/22/2011	CABLEVISION SYSTEMS CORP SEC ID: 12686C109	-350 000 08318000270L	-7,163.32	4,845.69	-2,317.63
12/22/2011	12/27/2011	CAMECO CORP SEC ID: 13321L108	-350.000 08318000290L	-15,258.60	6,302.08	-8,956.52
10/9/2007	12/22/2011	CAMECO CORP SEC ID: 13321L108	-50.000 08318000300L	-2,169.10	900.30	-1,268.80
10/10/2007	12/22/2011	CINCINNATI BELL INC SEC ID: 171871106	-1,950 000 08318000340L	-9,872.65	6,049.37	-3,823.28
12/22/2011	12/27/2011	CINCINNATI BELL INC SEC ID: 171871106	-200 000 08318000330L	-1,009.98	620.45	-389.53
10/9/2007	12/22/2011	COGNEX CORP SEC ID: 192422103	-150.000 08318000360L	-2,848.50	5,379.90	2,531.40
12/22/2011	12/27/2011	CUMMINS INC SEC ID: 231021106	-150.000 08318000390L	-10,388.25	13,228.24	2,839.99
10/10/2007	12/22/2011	DIEBOLD INC SEC ID: 253651103	-100.000 08318000400L	-2,528.90	2,983.94	455.04
12/22/2011	12/27/2011	DISCOVERY COMMUNICATIONS INC SEC ID: 25470F302	-350 000 10355000070C	-12,953.50	12,995.74	42.24
5/1/2008	10/12/2012	ENERGY TRANSFER PARTNERS LP SEC ID: 29273R109	-0 551 12284000070F	-21.18	23.49	2.31
10/12/2012	10/12/2012	FLUSHING FINANCIAL CORP SEC ID: 343873105	-1,000 000 08318000470L	-17,432.00	12,744.75	-4,687.25
10/9/2007	12/22/2011	GANNETT CO INC SEC ID: 364730101	-150 000 10166000060C	-2,425.10	1,990.31	-434.79
12/22/2011	12/27/2011	GOODRICH CORP SEC ID: 382388106	-200.000 08318000510L	-13,814.36	24,619.52	10,805.16
10/9/2007	12/22/2011	GOODRICH CORP SEC ID: 382388106	-250 000 08318000510L	-17,267.95	30,840.41	13,572.46
1/4/2012	1/5/2012	GOODRICH CORP SEC ID: 382388106	-250 000 08318000510L	-17,267.95	31,595.19	14,327.24
10/9/2007	6/14/2012	HARMONIC INC SEC ID: 413160102	-700.000 08318000540L	-8,152.48	3,569.44	-4,583.04
12/22/2011	12/27/2011					

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BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions by Reported Date 11/1/2011 - 10/31/2012

Report ID: HDA824

Base Currency: USD

Status: REVISED

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
10/9/2007	12/22/2011	HARMONIC INC SEC ID: 413160102	-150.000 08318000530L	-1,730.99	764.88	-966.11
12/22/2011	12/27/2011	HELMERICH & PAYNE INC SEC ID: 423452101	-250.000 08318000580L	-8,149.80	14,453.72	6,303.92
10/9/2007	12/22/2011	HEXCEL CORP SEC ID: 428291108	-300.000 08318000590L	-6,989.76	7,470.36	480.60
12/22/2011	12/27/2011	IAC/INTERACTIVECORP SEC ID: 44919P508	-100.000 09166000070C	-1,637.40	4,230.91	2,593.51
6/12/2009	12/22/2011	IMMUNOGEN INC SEC ID: 45253H101	-150.000 10130000060C	-1,214.64	1,792.46	577.82
12/22/2011	12/23/2011	INTERMEC INC SEC ID: 458786100	-650.000 08318000640L	-16,261.89	4,530.41	-11,731.48
10/9/2007	12/22/2011	INTERMEC INC SEC ID: 458786100	-550.000 08318000630L	-10,370.42	3,833.42	-6,537.00
12/22/2011	12/23/2011	ION GEOPHYSICAL CORP SEC ID: 462044108	-450.000 08318000650L	-6,915.96	2,762.94	-4,153.02
10/9/2007	12/22/2011	ISIS PHARMACEUTICALS INC SEC ID: 464330109	-400.000 08318000660L	-6,620.00	2,787.94	-3,832.06
12/22/2011	12/23/2011	KANSAS CITY SOUTHERN SEC ID: 485170302	-150.000 09021000020C	-2,670.34	9,824.81	7,154.47
1/16/2009	12/22/2011	LSI CORP SEC ID: 502161102	-850.000 09131000020C	-3,544.50	4,862.92	1,318.42
12/22/2011	12/23/2011	LAM RESEARCH CORP SEC ID: 512807108	-200.000 08318000710L	-10,692.00	7,329.85	-3,362.15
10/9/2007	12/22/2011	LAM RESEARCH CORP SEC ID: 512807108	-0.500 08318000710L	-26.73	18.88	-7.85
6/25/2012	6/26/2012	LAS VEGAS SANDS CORP SEC ID: 517834107	-400.000 09099000010C	-1,620.76	17,251.66	15,630.90
4/8/2009	12/22/2011	LIBERTY MEDIA CORP - LIBERTY CAPITAL SEC ID: 530322106	-50.000 11269000020F	-552.52	3,829.42	3,276.90
12/22/2011	12/23/2011	LIN TV CORP SEC ID: 532774106	-1,650.000 08318000730L	-23,017.33	6,554.99	-16,462.34
10/9/2007	12/22/2011	LIN TV CORP SEC ID: 532774106	-500.000 08318000720L	-4,796.65	1,986.36	-2,810.29
4/24/2008	12/22/2011	LODGENET INTERACTIVE CORP SEC ID: 540211109	-450.000 08318000760L	-12,830.62	987.42	-11,843.20
10/9/2007	11/4/2011	LODGENET INTERACTIVE CORP SEC ID: 540211109	-800.000 08318000750L	-5,302.72	1,755.40	-3,547.32
11/4/2011	11/7/2011					
5/2/2008	11/4/2011					
11/4/2011	11/7/2011					

3/4/2013

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Workbench



BNY MELLON

PF PINACLE - P19F90010002

Lot Level Dispositions by Reported Date 11/1/2011 - 10/31/2012

Report ID: HDA824

Base Currency: USD

Status: REVISED

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
10/9/2007	12/22/2011	MADISON SQUARE GARDEN CO/THE	-100 000	-2,324.25	2,904.94	580.69
12/22/2011	12/23/2011	SEC ID: 55826P100	10041000050F			
10/9/2007	12/22/2011	MEADWESTVACO CORP	-150 000	-4,745.82	4,411.41	-334.41
12/22/2011	12/23/2011	SEC ID: 583334107	08318000780L			
8/18/2010	12/22/2011	MICROMET INC	-250.000	-1,727.40	1,759.96	32.56
12/22/2011	12/23/2011	SEC ID: 59509C105	10231000040C			
8/19/2010	12/22/2011	MICROMET INC	-300 000	-1,993.53	2,111.96	118.43
12/22/2011	12/23/2011	SEC ID: 59509C105	10232000030C			
8/19/2010	4/2/2012	MICROMET INC	-700.000	-4,651.57	7,700.00	3,048.43
4/2/2012	4/2/2012	SEC ID: 59509C105	10232000030C			
10/9/2007	12/22/2011	MYRIAD GENETICS INC	-300.000	-8,336.37	6,069.03	-2,267.34
12/22/2011	12/23/2011	SEC ID: 62855J104	08318000820L			
10/9/2007	12/22/2011	NOVELLUS SYSTEMS INC	-250 000	-6,977.30	10,177.30	3,200.00
12/22/2011	12/23/2011	SEC ID: 670008101	08318000850L			
5/5/2010	12/22/2011	ONYX PHARMACEUTICALS INC	-100 000	-2,615.28	4,066.92	1,451.64
12/22/2011	12/23/2011	SEC ID: 683399109	10126000030C			
6/4/2009	12/22/2011	ONYX PHARMACEUTICALS INC	-100.000	-2,522.55	4,066.92	1,544.37
12/22/2011	12/23/2011	SEC ID: 683399109	09156000050C			
10/9/2007	12/22/2011	PALL CORP	-150.000	-6,276.44	8,558.83	2,282.39
12/22/2011	12/23/2011	SEC ID: 696429307	08318000890L			
10/9/2007	12/22/2011	PRECISION CASTPARTS CORP	-50.000	-7,540.50	8,158.34	617.84
12/22/2011	12/23/2011	SEC ID: 740189105	08318000920L			
10/10/2007	12/22/2011	RTI INTERNATIONAL METALS INC	-100.000	-8,366.50	2,311.36	-6,055.14
12/22/2011	12/22/2011	SEC ID: 74973W107	08318000960L			
5/1/2008	12/22/2011	RTI INTERNATIONAL METALS INC	-150 000	-6,219.00	3,467.03	-2,751.97
12/22/2011	12/22/2011	SEC ID: 74973W107	08318000940L			
10/9/2007	12/22/2011	RF MICRO DEVICES INC	-600.000	-4,283.64	3,234.00	-1,049.64
12/22/2011	12/22/2011	SEC ID: 749941100	08318000970L			
11/11/2008	12/22/2011	RAYMOND JAMES FINANCIAL INC	-150.000	-2,569.50	4,559.91	1,990.41
12/22/2011	12/22/2011	SEC ID: 754730109	08317000020C			
10/9/2007	12/22/2011	REGENERON PHARMACEUTICALS INC	-200.000	-3,497.96	10,873.79	7,375.83
12/22/2011	12/22/2011	SEC ID: 75886F107	08318000980L			
10/9/2007	4/25/2012	REGENERON PHARMACEUTICALS INC	-100 000	-1,748.98	12,575.84	10,826.86
4/25/2012	4/26/2012	SEC ID: 75886F107	08318000980L			
10/9/2007	5/23/2012	REGENERON PHARMACEUTICALS INC	-100 000	-1,748.98	12,692.71	10,943.73
5/23/2012	5/24/2012	SEC ID: 75886F107	08318000980L			
10/9/2007	10/16/2012	REGENERON PHARMACEUTICALS INC	-50 000	-874.49	7,864.73	6,990.24
10/16/2012	10/17/2012	SEC ID: 75886F107	08318000980L			
10/9/2007	12/22/2011	ROBERT HALF INTERNATIONAL INC	-150.000	-4,860.13	4,150.68	-709.45
12/22/2011	12/22/2011	SEC ID: 770323103	08318000990L			



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10/9/2007	12/22/2011	ROWAN COS INC SEC ID: 779382100	-250.000 08318001000L	-9,429.37	7,798.88	-1,630.49
12/22/2011	12/22/2011	SAKS INC SEC ID: 79377W108	-250.000 08318001030L	-3,539.70	2,452.65	-1,087.05
5/19/2008	12/22/2011	SAKS INC SEC ID: 79377W108	-150.000 08318001020L	-1,914.00	1,471.59	-442.41
4/8/2008	12/22/2011	SEACHANGE INTERNATIONAL INC SEC ID: 811699107	-600.000 08318001060L	-4,473.36	4,141.90	-331.46
12/22/2011	12/22/2011	SEATTLE GENETICS INC SEC ID: 812578102	-300.000 09069000060C	-2,213.79	5,029.49	2,815.70
3/9/2009	12/22/2011	SINCLAIR BROADCAST GROUP INC SEC ID: 829226109	-300.000 08318001080L	-3,962.91	3,387.03	-575.88
12/22/2011	12/22/2011	SINCLAIR BROADCAST GROUP INC SEC ID: 829226109	-250.000 08318001070L	-2,415.10	2,822.52	407.42
3/19/2008	12/22/2011	STILLWATER MINING CO SEC ID: 86074Q102	-600.000 08318001110L	-6,215.82	6,497.93	282.11
10/9/2007	12/22/2011	SUNCOKE ENERGY INC SEC ID: 86722A103	-0.756 12018000040F	-16.96	10.30	-6.66
1/27/2012	1/30/2012	SUNCOKE ENERGY INC SEC ID: 86722A103	-131.860 12018000040F	-2,957.92	2,229.70	-728.22
10/10/2007	10/17/2012	SUNCOKE ENERGY INC SEC ID: 86722A103	-159.139 12018000050F	-2,285.54	2,690.97	405.43
10/17/2012	10/18/2012	SUNOCO INC SEC ID: 86764P109	-100.000 08318001150L	-7,651.50	4,006.93	-3,644.57
10/9/2007	12/22/2011	SUNOCO INC SEC ID: 86764P109	-50.000 08318001160L	-3,744.00	2,003.47	-1,740.53
12/22/2011	12/22/2011	SUNOCO INC SEC ID: 86764P109	-250.000 08318001160L	-15,745.12	12,500.00	-3,245.12
10/10/2007	10/9/2012	SUNOCO INC SEC ID: 86764P109	-41.133 08318001140L	-1,658.57	2,056.65	398.08
5/1/2008	10/9/2012	TW TELECOM INC SEC ID: 87311L104	-400.000 08318001180L	-9,355.80	7,747.85	-1,607.95
10/9/2007	12/22/2011	TRIQUINT SEMICONDUCTOR INC SEC ID: 89674K103	-800.000 08318001220L	-3,880.00	3,815.93	-64.07
12/22/2011	12/22/2011	UNIFI INC SEC ID: 904677200	-150.000 10343000010C	-2,268.08	1,079.98	-1,188.10
10/10/2007	12/22/2011	UNIFI INC SEC ID: 904677200	-150.000 10308000040F	-1,273.41	1,079.98	-193.43
12/22/2011	12/22/2011	UNITED STATES CELLULAR CORP SEC ID: 911684108	-100.000 08318001250L	-9,774.25	4,299.92	-5,474.33

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10/9/2007	12/22/2011	UNITED STATES STEEL CORP SEC ID: 912909108	-50 000 08318001260L	-5,350.00	1,271.48	-4,078.52
12/22/2011	12/22/2011	VALSPAR CORP SEC ID: 920355104	-150 000 08318001270L	-3,885.11	5,608.39	1,723.28
10/9/2007	12/22/2011	VISHAY INTERTECHNOLOGY INC SEC ID: 928298108	-500.000 08318001280L	-6,446.02	4,309.97	-2,136.05
12/22/2011	12/22/2011	WADDELL & REED FINANCIAL INC SEC ID: 930059100	-250.000 08317000040C	-2,698.85	6,343.01	3,644.16
11/11/2008	12/22/2011	WHIRLPOOL CORP SEC ID: 963320106	-50 000 08318001290L	-4,620.34	2,463.45	-2,156.89
12/22/2011	12/22/2011	WHIRLPOOL CORP SEC ID: 963320106	-150.000 08318001290L	-13,861.00	8,154.67	-5,706.33
10/9/2007	1/20/2012	WHIRLPOOL CORP SEC ID: 963320106	-50 000 08317000050C	-2,041.50	2,718.22	676.72
1/20/2012	1/23/2012	WHIRLPOOL CORP SEC ID: 963320106				

TOTAL LONG:

-31,898.352 -599,065.02 576,119.70 -22,945.32

SHORT

3/30/2012	10/25/2012	ORIENT EXPRESS HOTELS LTD CL A SHS	-500.000 12093000050C	-5,091.20	6,168.26	1,077.06
10/25/2012	10/26/2012	SEC ID: G67743107 RADVISION LTD COM	-450 000 11137000020C	-4,405.50	3,843.16	-562.34
5/16/2011	12/22/2011	SEC ID: M81869105 INTERXION HOLDING NV	-200 000 11286000010C	-2,357.74	2,455.95	98.21
12/22/2011	12/22/2011	SEC ID: N47279109 GANNETT CO INC	-350 000 11153000120C	-4,896.50	4,644.06	-252.44
6/1/2011	12/22/2011	SEC ID: 364730101 LEVEL 3 COMMUNICATIONS INC	-200 000 11293000060F	-2,671.77	3,473.93	802.16
12/22/2011	12/22/2011	SEC ID: 52729N308 MICROMET INC	-1,400 000 11112000020C	-8,401.12	15,400.00	6,998.88
4/21/2011	4/2/2012	SEC ID: 59509C105 MOSAIC CO/THE	-150 000 11186000020C	-10,072.86	7,522.35	-2,550.51
4/2/2012	12/22/2011	SEC ID: 61945C103 NORTH AMERICAN ENERGY PARTNERS	-200.000 11153000680C	-1,787.34	1,031.98	-755.36
6/30/2011	12/22/2011	SEC ID: 656844107 SHAW GROUP INC/THE	-200.000 11010000020C	-6,652.54	5,283.84	-1,368.70
12/22/2011	12/22/2011	SEC ID: 820280105 SOTHEBY'S	-150.000 11290000030C	-4,963.82	4,344.41	-619.41
6/1/2011	12/22/2011	SEC ID: 835898107 SUNCOKE ENERGY INC	-0 001 12019000010A	0.00	0 02	0 02
12/22/2011	10/17/2012	SEC ID: 86722A103				



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7/8/2011	12/22/2011	TRIMBLE NAVIGATION LTD	-300 000	-12,264.99	13,208.75	943.76
12/22/2011	12/22/2011	SEC ID: 896239100	11192000010C			
3/4/2011	12/22/2011	UNITED STATES STEEL CORP	-50 000	-2,779.52	1,271.48	-1,508.04
12/22/2011	12/22/2011	SEC ID: 912909108	11066000040C			
12/14/2011	12/22/2011	WINN-DIXIE STORES INC	-450 000	-2,520.00	4,194.42	1,674.42
12/22/2011	12/22/2011	SEC ID: 974280307	11349000070C			
12/14/2011	3/12/2012	WINN-DIXIE STORES INC	-450 000	-2,520.00	4,275.00	1,755.00
3/12/2012	3/12/2012	SEC ID: 974280307	11349000070C			
12/13/2011	3/12/2012	WINN-DIXIE STORES INC	-1,100.000	-5,905.57	10,450.00	4,544.43
3/12/2012	3/12/2012	SEC ID 974280307	11348000010C			
TOTAL SHORT:				-6,150.001	87,567.61	10,277.14
TOTAL LOT DISPOSITION:				-38,048.353	663,687.31	-12,668.18



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LONG						
12/17/2008	2/13/2012	XL GROUP PLC	-1,650,000	-5,859.48	31,159.31	25,299.83
2/13/2012	2/14/2012	SEC ID: G98290102	10182000080F			
12/21/2010	7/20/2012	ABBOTT LABORATORIES	-5,000	-239.86	324.57	84.71
7/20/2012	7/23/2012	SEC ID: 002824100	10356000440C			
11/18/2010	7/20/2012	ABBOTT LABORATORIES	-185,000	-8,837.86	12,009.00	3,171.14
7/20/2012	7/23/2012	SEC ID: 002824100	10323000020C			
11/18/2010	7/24/2012	ABBOTT LABORATORIES	-155,000	-7,404.69	9,868.06	2,463.37
7/24/2012	7/25/2012	SEC ID: 002824100	10323000020C			
2/15/2011	7/24/2012	ABBOTT LABORATORIES	-170,000	-7,919.71	10,823.03	2,903.32
7/24/2012	7/25/2012	SEC ID: 002824100	11047000030C			
1/31/2011	7/24/2012	ABBOTT LABORATORIES	-165,000	-7,477.12	10,504.70	3,027.58
7/24/2012	7/25/2012	SEC ID: 002824100	11032000030C			
12/21/2010	6/6/2012	ALLSTATE CORP/THE	-100,000	-3,187.85	3,377.08	189.23
6/6/2012	6/7/2012	SEC ID: 020002101	10356000450C			
6/11/2009	6/6/2012	ALLSTATE CORP/THE	-55,000	-1,390.64	1,857.39	466.75
6/6/2012	6/7/2012	SEC ID: 020002101	09163000060C			
4/29/2009	6/6/2012	ALLSTATE CORP/THE	-150,000	-3,380.72	5,065.61	1,684.89
6/6/2012	6/7/2012	SEC ID: 020002101	09120000040C			
4/29/2009	9/20/2012	ALLSTATE CORP/THE	-675,000	-15,213.22	26,875.62	11,662.40
9/20/2012	9/21/2012	SEC ID: 020002101	09120000040C			
4/29/2009	10/17/2012	ALLSTATE CORP/THE	-655,000	-14,762.45	27,362.66	12,600.21
10/17/2012	10/18/2012	SEC ID: 020002101	09120000040C			
11/23/2009	1/20/2012	AMGEN INC	-130,000	-7,283.43	9,017.17	1,733.74
1/20/2012	1/23/2012	SEC ID: 031162100	09328000030C			
11/23/2009	7/2/2012	AMGEN INC	-70,000	-3,921.85	5,193.26	1,271.41
7/2/2012	7/3/2012	SEC ID: 031162100	09328000030C			
10/5/2009	7/2/2012	AMGEN INC	-40,000	-2,217.72	2,967.58	749.86
7/2/2012	7/3/2012	SEC ID: 031162100	11332000020S			
10/5/2009	7/20/2012	AMGEN INC	-50,000	-2,772.15	3,902.28	1,130.13
7/20/2012	7/23/2012	SEC ID: 031162100	11332000020S			
4/13/2011	7/20/2012	AMGEN INC	-290,000	-15,950.90	22,633.20	6,682.30
7/20/2012	7/23/2012	SEC ID: 031162100	11104000120C			
7/20/2010	7/20/2012	AMGEN INC	-85,000	-4,469.03	6,633.87	2,164.84
7/20/2012	7/23/2012	SEC ID: 031162100	10202000030C			
3/7/2011	7/20/2012	AMGEN INC	-5,000	-260.02	390.23	130.21
7/20/2012	7/23/2012	SEC ID: 031162100	11067000060C			
3/7/2011	8/10/2012	AMGEN INC	-90,000	-4,680.38	7,427.57	2,747.19
8/10/2012	8/13/2012	SEC ID: 031162100	11067000060C			

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6/1/2010	8/10/2012	AMGEN INC SEC ID: 031162100	-165.000	-8,519.45	13,617.20	5,097.75
8/10/2012	8/10/2012	APPLIED MATERIALS INC SEC ID: 038222105	10153000040C	-9,369.44	8,774.65	-594.79
7/19/2011	8/10/2012	APPLIED MATERIALS INC SEC ID: 038222105	-740.000	-3,983.10	4,150.17	167.07
8/10/2012	8/10/2012	APPLIED MATERIALS INC SEC ID: 038222105	11201000020C	-223.25	237.15	13.90
8/19/2010	8/13/2012	APPLIED MATERIALS INC SEC ID: 038222105	-350.000	-14,200.63	20,205.79	6,005.16
8/10/2012	8/13/2012	APPLIED MATERIALS INC SEC ID: 038222105	10235000020C	-7,516.33	11,188.61	3,672.28
8/10/2012	8/13/2012	BOEING CO/THE SEC ID: 097023105	-20.000	-357.92	502.01	144.09
8/10/2012	8/13/2012	CHEVRON CORP SEC ID: 166764100	10258000060C	-14,260.97	22,088.42	7,827.45
11/25/2009	2/13/2012	CHEVRON CORP SEC ID: 166764100	-270.000	-3,558.04	6,024.12	2,466.08
2/13/2012	2/14/2012	CHEVRON CORP SEC ID: 166764100	09331000090C	-14,528.67	27,648.24	13,119.57
7/20/2010	1/20/2012	CHEVRON CORP SEC ID: 166764100	-60.000	-4,841.58	7,345.48	2,503.90
1/20/2012	6/22/2012	CHEVRON CORP SEC ID: 166764100	10202000040C	-16,696.17	13,004.06	-3,692.11
6/22/2012	6/27/2012	CHEVRON CORP SEC ID: 166764100	-220.000	-4,430.55	4,577.36	146.81
10/10/2008	6/22/2012	CHEVRON CORP SEC ID: 166764100	08322000070A	-3,065.40	3,305.87	240.47
6/22/2012	6/27/2012	CHEVRON CORP SEC ID: 166764100	-245.000	-64,654.97	39,617.96	-25,037.01
10/10/2008	6/22/2012	CHEVRON CORP SEC ID: 166764100	08322000060A	-10,425.60	7,295.38	-3,130.22
6/22/2012	6/27/2012	CHEVRON CORP SEC ID: 166764100	-255.000	-5,012.05	4,170.55	-841.50
10/10/2008	6/22/2012	COMMUNITY HEALTH SYSTEMS INC SEC ID: 203668108	11222000080C	-27,486.03	21,041.09	-6,444.94
6/22/2012	6/27/2012	DELL INC SEC ID: 24702R101	-1,070.000	-21,440.55	17,307.99	-4,132.56
4/9/2008	2/13/2012	EI DU PONT DE NEMOURS & CO SEC ID: 263534109	11146000090C	-203.62	169.69	-33.93
2/13/2012	2/14/2012	EI DU PONT DE NEMOURS & CO SEC ID: 263534109	-90.000			
6/16/2008	2/13/2012	EI DU PONT DE NEMOURS & CO SEC ID: 263534109	-65.000			
2/13/2012	2/14/2012	GENERAL ELECTRIC CO SEC ID: 369604103	08318000270L			
5/7/2008	7/2/2012	GENERAL ELECTRIC CO SEC ID: 369604103	-1,955.000			
7/2/2012	7/3/2012	GENERAL ELECTRIC CO SEC ID: 369604103	08318000300L			
6/16/2008	7/2/2012	GENERAL ELECTRIC CO SEC ID: 369604103	-360.000			
7/2/2012	7/3/2012	HARTFORD FINANCIAL SERVICES GR SEC ID: 416515104	08318000310L			
10/22/2009	10/17/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	-190.000			
10/17/2012	10/18/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	09296000040C			
4/9/2008	7/20/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	-620.000			
7/20/2012	7/23/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	08318000420L			
7/23/2008	7/20/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	-510.000			
7/20/2012	7/23/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	08318000440L			
2/24/2010	7/20/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	-5.000			
7/20/2012	7/23/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	10056000070C			

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3/7/2011	6/6/2012	MACY'S INC	-130 000	-3,038.70	4,839.05	1,800.35
6/6/2012	6/7/2012	SEC ID: 55616P104	11067000090C			
3/7/2011	8/10/2012	MACY'S INC	-180 000	-4,207.43	6,778.64	2,571.21
8/10/2012	8/13/2012	SEC ID: 55616P104	11067000090C			
3/7/2011	9/20/2012	MACY'S INC	-95 000	-2,220.59	3,683.97	1,463.38
9/20/2012	9/21/2012	SEC ID: 55616P104	11067000090C			
3/19/2009	9/20/2012	MACY'S INC	-930 000	-8,445.05	36,064.10	27,619.05
9/20/2012	9/21/2012	SEC ID: 55616P104	09079000060C			
12/21/2010	10/17/2012	METLIFE INC	-65 000	-2,899.33	2,406.80	-492.53
10/17/2012	10/18/2012	SEC ID: 59156R108	10356000470C			
5/14/2008	1/20/2012	PFIZER INC	-575 000	-11,546.17	12,543.32	997.15
1/20/2012	1/23/2012	SEC ID: 717081103	08318000630L			
5/14/2008	9/20/2012	PFIZER INC	-1,610 000	-32,329.29	39,195.76	6,866.47
9/20/2012	9/21/2012	SEC ID: 717081103	08318000630L			
10/14/2009	6/6/2012	PHILLIPS 66	-242 500	-5,695.58	7,693.31	1,997.73
6/6/2012	6/7/2012	SEC ID: 718546104	12122000040F			
8/9/2011	9/20/2012	PRUDENTIAL FINANCIAL INC	-25 000	-1,263.34	1,427.01	163.67
9/20/2012	9/21/2012	SEC ID: 744320102	11222000120C			
12/21/2010	1/20/2012	SAFEWAY INC	-300 000	-6,633.18	6,529.07	-104.11
1/20/2012	1/23/2012	SEC ID: 786514208	10356000500C			
12/21/2010	2/24/2012	SAFEWAY INC	-270 000	-5,969.86	5,664.12	-305.74
2/24/2012	2/27/2012	SEC ID: 786514208	10356000500C			
1/31/2011	2/24/2012	SAFEWAY INC	-230 000	-4,761.00	4,824.99	63.99
2/24/2012	2/27/2012	SEC ID: 786514208	11032000060C			
8/19/2010	2/24/2012	SAFEWAY INC	-365 000	-7,296.28	7,657.05	360.77
2/24/2012	2/27/2012	SEC ID: 786514208	10232000120C			
7/27/2009	2/24/2012	SAFEWAY INC	-1,230 000	-22,895.59	25,803.21	2,907.62
2/24/2012	2/27/2012	SEC ID: 786514208	09209000010C			
9/14/2011	10/17/2012	VALERO ENERGY CORP	-405 000	-8,949.16	12,148.59	3,199.43
10/17/2012	10/18/2012	SEC ID: 91913Y100	11258000060C			

TOTAL LONG:**-18,677.500 -480,153.95 606,922.97 126,769.02****SHORT**

5/3/2012	6/6/2012	INGERSOLL-RAND PUBLIC LIMITED	-70 000	-2,954.70	2,823.24	-131.46
6/6/2012	6/7/2012	COMPANY	12125000010C			
8/31/2011	6/6/2012	SEC ID: G47791101	-315 000	-10,574.49	12,704.58	2,130.09
6/6/2012	6/7/2012	INGERSOLL-RAND PUBLIC LIMITED	11245000050C			
		COMPANY				
		SEC ID: G47791101				

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Report ID: HDA824

Base Currency: USD

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Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
7/20/2012	7/20/2012	INGERSOLL-RAND PUBLIC LIMITED COMPANY	-555 000	-18,631.24	22,370.32	3,739.08
8/9/2011	7/23/2012	SEC ID: G47791101				
2/13/2012	2/13/2012	XL GROUP PLC	-250.000	-4,782.20	4,721.11	-61.09
5/3/2012	2/14/2012	SEC ID: G98290102	11222000060C			
7/20/2012	7/20/2012	ABBOTT LABORATORIES	-50.000	-3,154.75	3,245.68	90.93
5/3/2012	7/23/2012	SEC ID: 002824100	12125000030C			
6/6/2012	7/20/2012	ALLSTATE CORP/THE	-140.000	-4,821.60	4,727.90	-93.70
5/3/2012	6/7/2012	SEC ID: 020002101	12125000040C			
7/2/2012	7/2/2012	AMGEN INC	-60 000	-4,245.60	4,451.36	205.76
10/24/2011	7/3/2012	SEC ID: 031162100	12125000060C			
8/10/2012	8/10/2012	APPLIED MATERIALS INC	-680 000	-8,098.73	8,063.19	-35.54
5/3/2012	8/13/2012	SEC ID: 038222105	11298000100C			
8/10/2012	8/10/2012	APPLIED MATERIALS INC	-245 000	-2,868.46	2,905.12	36.66
1/20/2012	8/13/2012	SEC ID: 038222105	12125000070C			
7/13/2012	7/13/2012	BIG LOTS INC	-200.000	-7,959.80	7,790.29	-169.51
10/25/2011	7/16/2012	SEC ID: 089302103	12023000080C			
7/13/2012	7/13/2012	BIG LOTS INC	-595.000	-22,823.78	23,176.10	352.32
6/6/2012	7/16/2012	SEC ID: 089302103	11299000010C			
7/13/2012	7/13/2012	BIG LOTS INC	-195 000	-7,464.91	7,595.53	130.62
5/3/2012	7/16/2012	SEC ID: 089302103	12159000120C			
7/13/2012	7/13/2012	BIG LOTS INC	-60.000	-2,260.80	2,337.08	76.28
8/9/2011	7/16/2012	SEC ID: 089302103	12125000090C			
2/13/2012	7/16/2012	BOEING CO/THE	-95.000	-5,779.11	7,109.44	1,330.33
9/14/2011	2/14/2012	SEC ID: 097023105	11222000070C			
2/13/2012	2/13/2012	CHESAPEAKE ENERGY CORP	-160 000	-5,067.25	3,563.98	-1,503.27
5/25/2011	2/14/2012	SEC ID: 165167107	11258000050C			
2/13/2012	2/13/2012	CHESAPEAKE ENERGY CORP	-535.000	-16,640.69	11,917.06	-4,723.63
1/20/2012	2/14/2012	SEC ID: 165167107	11146000080C			
2/13/2012	2/13/2012	CHESAPEAKE ENERGY CORP	-25.000	-518.30	556.87	38.57
5/3/2012	2/14/2012	SEC ID: 165167107	12023000090C			
6/22/2012	6/22/2012	CHEVRON CORP	-40 000	-4,247.20	4,016.08	-231.12
7/27/2011	6/22/2012	SEC ID: 166764100	12125000130C			
3/13/2012	3/13/2012	COMMUNITY HEALTH SYSTEMS INC	-300 000	-7,503.42	6,979.43	-523.99
7/27/2011	3/14/2012	SEC ID: 203668108	11209000060C			
6/6/2012	6/6/2012	COMMUNITY HEALTH SYSTEMS INC	-70 000	-1,750.80	1,540.80	-210.00
5/3/2012	6/7/2012	SEC ID: 203668108	11209000060C			
6/6/2012	6/6/2012	COMMUNITY HEALTH SYSTEMS INC	-180.000	-4,386.10	3,962.07	-424.03
6/6/2012	6/7/2012	SEC ID: 203668108	12125000140C			



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Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
8/19/2011	6/6/2012	COMMUNITY HEALTH SYSTEMS INC SEC ID: 203668108	-135.000 11234000050C	-2,697.04	2,971.55	274.51
6/6/2012	6/7/2012	COMMUNITY HEALTH SYSTEMS INC SEC ID: 203668108	-295.000 11234000050C	-5,893.54	8,223.91	2,330.37
8/19/2011	7/2/2012	COMMUNITY HEALTH SYSTEMS INC SEC ID: 203668108	-50.000 11222000080C	-949.33	1,393.88	444.55
7/2/2012	7/3/2012	COMMUNITY HEALTH SYSTEMS INC SEC ID: 203668108	-140.000 12023000100C	-2,446.93	4,032.81	1,585.88
1/20/2012	9/20/2012	COMMUNITY HEALTH SYSTEMS INC SEC ID: 203668108	-1,110.000 11209000070C	-18,485.94	13,490.19	-4,995.75
9/20/2012	9/21/2012	DELL INC SEC ID: 24702R101	-215.000 12125000160C	-3,515.19	2,612.96	-902.23
7/27/2011	6/6/2012	DELL INC SEC ID: 24702R101	-625.000 11234000060C	-8,981.13	7,595.83	-1,385.30
6/6/2012	6/7/2012	DELL INC SEC ID: 24702R101	-135.000 12125000200C	-2,652.75	2,735.77	83.02
5/3/2012	7/2/2012	GENERAL ELECTRIC CO SEC ID: 369604103	-60.000 12125000230C	-1,979.40	2,249.70	270.30
7/2/2012	7/3/2012	INTERNATIONAL PAPER CO SEC ID: 460146103	-230.000 12045000110C	-7,501.27	8,623.84	1,122.57
5/3/2012	10/17/2012	INTERNATIONAL PAPER CO SEC ID: 460146103	-180.000 11298000130C	-4,816.62	6,749.09	1,932.47
10/17/2012	10/18/2012	INTERNATIONAL PAPER CO SEC ID: 460146103	-165.000 12125000220C	-7,086.75	5,599.64	-1,487.11
5/3/2012	7/20/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	-685.000 12265000110C	-28,021.48	28,407.41	385.93
7/20/2012	7/23/2012	JPMORGAN CHASE & CO SEC ID: 46625H100	-170.000 11067000090C	-3,973.68	6,027.35	2,053.67
9/20/2012	9/21/2012	MACY'S INC SEC ID: 55616P104	-95.000 12125000260C	-3,923.50	3,536.23	-387.27
9/21/2012	9/24/2012	MACY'S INC SEC ID: 55616P104	-75.000 12125000240C	-2,664.00	2,777.07	113.07
3/7/2011	1/20/2012	METLIFE INC SEC ID: 59156R108	-250.000 12125000280C	-5,649.83	6,086.30	436.47
1/20/2012	1/23/2012	PFIZER INC SEC ID: 717081103	-0.500 12122000050F	-17.37	15.93	-1.44
5/3/2012	6/6/2012	PHILLIPS 66 SEC ID: 718546104	-49.500 12122000050F	-1,719.94	1,570.39	-149.55
6/6/2012	6/7/2012	PHILLIPS 66 SEC ID: 718546104	-55.000 12122000060F	-1,829.35	1,744.87	-84.48

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Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/3/2012	6/6/2012	PHILLIPS 66	-15.000	-474.75	475.87	1.12
6/6/2012	6/7/2012	SEC ID: 718546104	12125000290C			
7/20/2012	9/20/2012	PHILLIPS 66	-230.000	-8,127.07	10,545.23	2,418.16
9/20/2012	9/21/2012	SEC ID: 718546104	12205000070C			
5/3/2012	9/20/2012	PRUDENTIAL FINANCIAL INC	-70.000	-3,922.10	3,995.61	73.51
9/20/2012	9/21/2012	SEC ID: 744320102	12125000300C			
5/3/2012	6/6/2012	SPIRIT AEROSYSTEMS HOLDINGS IN	-170.000	-4,363.90	3,848.80	-515.10
6/6/2012	6/7/2012	SEC ID: 848574109	12125000320C			
7/27/2011	6/6/2012	SPIRIT AEROSYSTEMS HOLDINGS IN	-160.000	-3,324.64	3,622.40	297.76
6/6/2012	6/7/2012	SEC ID: 848574109	11209000090C			
5/3/2012	10/17/2012	VALERO ENERGY CORP	-30.000	-709.20	899.90	190.70
10/17/2012	10/18/2012	SEC ID: 91913Y100	12125000350C			
10/24/2011	10/17/2012	VALERO ENERGY CORP	-345.000	-8,092.63	10,348.80	2,256.17
10/17/2012	10/18/2012	SEC ID: 91913Y100	11298000150C			
5/3/2012	6/6/2012	WAL-MART STORES INC	-70.000	-4,129.30	4,612.90	483.60
6/6/2012	6/7/2012	SEC ID: 931142103	12125000370C			
7/19/2011	6/6/2012	WAL-MART STORES INC	-30.000	-1,618.05	1,976.95	358.90
6/6/2012	6/7/2012	SEC ID: 931142103	11201000050C			
7/19/2011	7/2/2012	WAL-MART STORES INC	-335.000	-18,068.19	23,176.59	5,108.40
7/2/2012	7/3/2012	SEC ID: 931142103	11201000050C			
8/19/2011	7/2/2012	WAL-MART STORES INC	-495.000	-25,885.93	34,246.00	8,360.07
7/2/2012	7/3/2012	SEC ID: 931142103	11234000070C			
9/21/2012	10/17/2012	WELLPPOINT INC	-135.000	-7,987.96	8,287.22	299.26
10/17/2012	10/18/2012	SEC ID: 94973V107	12268000040C			
TOTAL SHORT:			-11,625.000	-348,042.69	369,038.22	20,995.53
TOTAL LOT DISPOSITION:			-30,302.500	-828,196.64	975,961.19	147,764.55

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Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
LONG						
5/10/2010	12/5/2011	PLATINUM UNDERWRITERS HLDGS	-110 000	-4,065.72	3,758.77	-306.95
12/5/2011	12/6/2011	LTD SHS	10131000010C			
		SEC ID: G7127P100				
5/10/2010	12/6/2011	PLATINUM UNDERWRITERS HLDGS	-185,000	-6,837.80	6,334.03	-503.77
12/6/2011	12/7/2011	LTD SHS	10131000010C			
		SEC ID: G7127P100				
12/10/2010	2/16/2012	AMERICAN REPROGRAPHICS CO	-370,000	-2,522.62	2,441.62	-81.00
2/16/2012	2/17/2012	SEC ID: 029263100	10347000090C			
12/10/2010	8/1/2012	AMERICAN REPROGRAPHICS CO	-180,000	-1,227.22	987.47	-239.75
8/1/2012	8/2/2012	SEC ID: 029263100	10347000090C			
5/10/2010	11/29/2011	BALDWIN & LYONS INC	-185,000	-4,450.82	3,886.73	-564.09
11/29/2011	11/30/2011	SEC ID: 057755209	10131000080C			
5/10/2010	11/1/2011	BRIGHAM EXPLORATION CO	-330,000	-5,794.83	11,998.16	6,203.33
11/1/2011	11/2/2011	SEC ID: 109178103	10131000090C			
5/10/2010	12/20/2011	CSS INDUSTRIES INC	-110 000	-2,264.60	2,244.16	-20.44
12/20/2011	12/21/2011	SEC ID: 125906107	10131000110C			
5/10/2010	4/25/2012	CABELA'S INC	-130,000	-2,589.12	5,257.23	2,668.11
4/25/2012	4/26/2012	SEC ID: 126804301	10131000140C			
5/10/2010	7/23/2012	CABELA'S INC	-200 000	-3,983.25	7,841.94	3,858.69
7/23/2012	7/24/2012	SEC ID: 126804301	10131000140C			
7/15/2010	7/23/2012	CABELA'S INC	-20 000	-300.67	784.19	483.52
7/23/2012	7/24/2012	SEC ID: 126804301	10197000050C			
7/15/2010	8/17/2012	CABELA'S INC	-100 000	-1,503.37	4,747.97	3,244.60
8/17/2012	8/20/2012	SEC ID: 126804301	10197000050C			
7/16/2010	8/17/2012	CABELA'S INC	-120 000	-1,766.29	5,697.57	3,931.28
8/17/2012	8/20/2012	SEC ID: 126804301	10200000030C			
5/10/2010	8/20/2012	COLUMBIA BANKING SYSTEM INC	-355 000	-7,882.42	6,450.34	-1,432.08
8/20/2012	8/21/2012	SEC ID: 197236102	10131000160C			
3/28/2011	8/28/2012	COLUMBIA BANKING SYSTEM INC	-55 000	-1,032.46	973.37	-59.09
8/28/2012	8/29/2012	SEC ID: 197236102	11088000050C			
3/28/2011	8/29/2012	COLUMBIA BANKING SYSTEM INC	-185,000	-3,472.82	3,290.82	-182.00
8/29/2012	8/30/2012	SEC ID: 197236102	11088000050C			
8/2/2010	8/29/2012	COLUMBIA BANKING SYSTEM INC	-15,000	-276.29	266.82	-9.47
8/29/2012	8/30/2012	SEC ID: 197236102	10215000040C			
8/2/2010	8/30/2012	COLUMBIA BANKING SYSTEM INC	-350,000	-6,446.86	6,189.43	-257.43
8/30/2012	8/31/2012	SEC ID: 197236102	10215000040C			
7/12/2011	8/30/2012	COLUMBIA BANKING SYSTEM INC	-130,000	-2,275.20	2,298.93	23.73
8/30/2012	8/31/2012	SEC ID: 197236102	11194000030C			
11/11/2010	1/20/2012	DDI CORP	-480 000	-5,189.52	4,556.07	-633.45
1/20/2012	1/23/2012	SEC ID: 233162502	10316000080C			



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Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
11/11/2010	6/4/2012	DDI CORP	-500.000	-5,405.75	6,500.00	1,094.25
8/1/2012	8/21/2012	SEC ID: 233162502	1031600080C			
11/12/2010	6/4/2012	DDI CORP	-310.000	-3,325.03	4,030.00	704.97
8/1/2012	8/21/2012	SEC ID: 233162502	1031900060C			
10/19/2010	6/4/2012	DDI CORP	-480.000	-5,123.03	6,240.00	1,116.97
8/1/2012	8/21/2012	SEC ID: 233162502	1223400080A			
11/15/2010	6/4/2012	DDI CORP	-320.000	-3,414.18	4,160.00	745.82
8/1/2012	8/21/2012	SEC ID: 233162502	1032000040C			
2/22/2011	6/4/2012	DDI CORP	-200.000	-2,089.28	2,600.00	510.72
8/1/2012	8/21/2012	SEC ID: 233162502	1105400060C			
5/10/2010	11/22/2011	DREW INDUSTRIES INC	-100.000	-2,292.15	2,115.06	-177.09
11/22/2011	11/23/2011	SEC ID: 26168L205	10131000200C			
5/10/2010	11/28/2011	DREW INDUSTRIES INC	-170.000	-3,896.65	3,567.96	-328.69
11/28/2011	11/29/2011	SEC ID: 26168L205	10131000200C			
5/10/2010	1/23/2012	DREW INDUSTRIES INC	-300.000	-6,876.45	7,433.73	557.28
1/23/2012	1/25/2012	SEC ID: 26168L205	10131000200C			
6/9/2010	1/25/2012	DREW INDUSTRIES INC	-150.000	-3,970.26	3,742.53	-227.73
1/25/2012	1/26/2012	SEC ID: 26168L205	12025000120S			
5/10/2010	1/25/2012	DREW INDUSTRIES INC	-50.000	-1,146.08	1,247.51	101.43
1/25/2012	1/26/2012	SEC ID: 26168L205	10131000200C			
5/10/2010	6/19/2012	FIRST BANCORP/TROY NC	-300.000	-4,663.26	2,662.83	-2,000.43
6/19/2012	6/20/2012	SEC ID: 318910106	10131000210C			
2/25/2011	5/24/2012	FLOWERS FOODS INC	-30.000	-536.42	621.69	85.27
5/24/2012	5/25/2012	SEC ID: 343498101	11059000060C			
5/10/2010	5/24/2012	FLOWERS FOODS INC	-260.000	-4,575.46	5,387.99	812.53
5/24/2012	5/25/2012	SEC ID: 343498101	10131000220C			
5/10/2010	5/31/2012	FLOWERS FOODS INC	-550.000	-9,678.87	12,099.06	2,420.19
5/31/2012	6/1/2012	SEC ID: 343498101	10131000220C			
7/26/2011	8/20/2012	GLOBAL POWER EQUIPMENT GROUP I	-110.000	-2,806.41	2,217.44	-588.97
8/20/2012	8/21/2012	SEC ID: 37941P306	11208000020C			
7/27/2011	8/20/2012	GLOBAL POWER EQUIPMENT GROUP I	-60.000	-1,523.08	1,209.51	-313.57
8/20/2012	8/21/2012	SEC ID: 37941P306	11209000010C			
7/27/2011	8/21/2012	GLOBAL POWER EQUIPMENT GROUP I	-40.000	-1,015.39	812.08	-203.31
8/21/2012	8/22/2012	SEC ID: 37941P306	11209000010C			
1/28/2011	8/21/2012	GLOBAL POWER EQUIPMENT GROUP I	-60.000	-1,399.12	1,218.11	-181.01
8/21/2012	8/22/2012	SEC ID: 37941P306	11031000020C			
1/28/2011	8/22/2012	GLOBAL POWER EQUIPMENT GROUP I	-120.000	-2,798.23	2,388.67	-409.56
8/22/2012	8/23/2012	SEC ID: 37941P306	11031000020C			
2/1/2011	8/22/2012	GLOBAL POWER EQUIPMENT GROUP I	-280.000	-6,518.40	5,573.55	-944.85
8/22/2012	8/23/2012	SEC ID: 37941P306	11033000030C			

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2/1/2011	8/28/2012	GLOBAL POWER EQUIPMENT GROUP I SEC ID: 37941P306	-80.000 11033000030C	-1,862.40	1,568.16	-294.24
8/28/2012	8/29/2012	HANCOCK HOLDING CO SEC ID: 410120109	-140.000 10364000040C	-4,838.67	4,686.65	-152.02
12/29/2010	2/10/2012	HEXCEL CORP SEC ID: 428291108	-20.000 11076000060C	-352.79	523.43	170.64
2/10/2012	4/12/2012	HILL-ROM HOLDINGS INC SEC ID: 431475102	-240.000 10131000280C	-7,294.39	6,186.82	-1,107.57
3/16/2011	4/13/2012	HILL-ROM HOLDINGS INC SEC ID: 431475102	-180.000 10131000280C	-5,470.80	4,645.06	-825.74
5/10/2010	7/26/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-440.000 10131000300C	-6,103.51	7,744.62	1,641.11
7/26/2012	7/27/2012	JOHN BEAN TECHNOLOGIES CORP SEC ID: 477839104	-150.000 10131000310C	-2,631.63	2,462.26	-169.37
5/10/2010	4/5/2012	JOHN BEAN TECHNOLOGIES CORP SEC ID: 477839104	-110.000 10131000310C	-1,929.86	1,813.78	-116.08
4/5/2012	4/6/2012	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-40.000 10293000040C	-521.39	695.67	174.28
10/19/2010	1/27/2012	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-70.000 10293000040C	-912.43	1,225.44	313.01
1/27/2012	1/30/2012	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-100.000 10291000040C	-1,303.40	1,750.62	447.22
10/15/2010	2/1/2012	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-80.000 10131000320C	-871.86	1,400.50	528.64
2/1/2012	2/2/2012	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-485.000 10131000320C	-5,285.62	9,642.59	4,356.97
5/10/2010	4/2/2012	KNOLL INC SEC ID: 498904200	-30.000 10131000330C	-404.79	465.77	60.98
4/2/2012	1/20/2012	KNOLL INC SEC ID: 498904200	-230.000 10131000330C	-3,103.41	3,535.51	432.10
1/20/2012	1/23/2012	KNOLL INC SEC ID: 498904200	-225.000 10131000330C	-3,035.95	3,413.72	377.77
5/10/2010	1/23/2012	LIFETIME BRANDS INC SEC ID: 53222Q103	-150.000 10131000360C	-2,058.86	1,838.89	-219.97
1/23/2012	1/24/2012	LIFETIME BRANDS INC SEC ID: 53222Q103	-153.000 10131000360C	-2,100.03	1,988.09	-111.94
5/10/2010	6/27/2012	LYDALL INC SEC ID: 550819106	-270.000 10131000370C	-2,199.69	2,384.05	184.36
1/24/2012	1/25/2012	MCGRATH RENTCORP SEC ID: 580589109	-70.000 10131000390C	-1,687.76	1,900.16	212.40

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Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/10/2010	6/15/2012	MCGRATH RENTCORP SEC ID: 580589109	-300 000 10131000390C	-7,233.24	7,664.01	430.77
6/15/2012	6/18/2012					
5/10/2010	6/19/2012	MCGRATH RENTCORP SEC ID: 580589109	-110 000 10131000390C	-2,652.19	2,812.77	160.58
6/19/2012	6/20/2012					
5/10/2010	6/21/2012	MCGRATH RENTCORP SEC ID: 580589109	-135 000 10131000390C	-3,254.95	3,251.52	-3.43
6/21/2012	6/22/2012					
10/12/2010	12/1/2011	MILLER INDUSTRIES INC/TN SEC ID: 600551204	-60 000 10286000060C	-842.41	919.97	77.56
12/1/2011	12/2/2011					
5/10/2010	12/1/2011	MILLER INDUSTRIES INC/TN SEC ID: 600551204	-20 000 10131000410C	-274.74	306.65	31.91
12/1/2011	12/2/2011					
5/10/2010	1/6/2012	MILLER INDUSTRIES INC/TN SEC ID: 600551204	-40 000 10131000410C	-549.48	625.89	76.41
1/6/2012	1/9/2012					
5/10/2010	1/11/2012	MILLER INDUSTRIES INC/TN SEC ID: 600551204	-250 000 10131000410C	-3,434.28	3,772.92	338.64
1/11/2012	1/12/2012					
7/12/2011	10/8/2012	NACCO INDUSTRIES INC SEC ID: 629579103	-10 000 11194000050C	-317.94	480.69	162.75
10/8/2012	10/9/2012					
6/3/2011	10/8/2012	NACCO INDUSTRIES INC SEC ID: 629579103	-60 000 11157000080C	-1,898.45	2,884.16	985.71
10/8/2012	10/9/2012					
7/3/2011	10/8/2012	NACCO INDUSTRIES INC SEC ID: 629579103	-20 000 12235000100A	-622.63	961.39	338.76
10/8/2012	10/9/2012					
6/1/2011	10/8/2012	NACCO INDUSTRIES INC SEC ID: 629579103	-30 000 11153000070C	-924.99	1,442.08	517.09
10/8/2012	10/9/2012					
6/19/2011	10/8/2012	NACCO INDUSTRIES INC SEC ID: 629579103	-30 000 12234000220A	-897.32	1,442.08	544.76
10/8/2012	10/9/2012					
6/13/2011	10/8/2012	NACCO INDUSTRIES INC SEC ID: 629579103	-40 000 11165000080C	-1,174.47	1,922.77	748.30
10/8/2012	10/9/2012					
5/10/2010	9/27/2012	NATIONAL WESTERN LIFE INSURANC SEC ID: 638522102	-40 000 10131000430C	-6,960.80	5,729.38	-1,231.42
9/27/2012	9/28/2012					
5/10/2010	10/4/2012	NATIONAL WESTERN LIFE INSURANC SEC ID: 638522102	-20 000 10131000430C	-3,480.40	2,861.45	-618.95
10/4/2012	10/5/2012					
8/16/2010	10/4/2012	NATIONAL WESTERN LIFE INSURANC SEC ID: 638522102	-30 000 10229000030C	-4,237.53	4,292.17	54.64
10/4/2012	10/5/2012					
5/10/2010	4/4/2012	NORTHERN OIL AND GAS INC SEC ID: 665531109	-70 000 10131000450C	-1,053.83	1,423.75	369.92
4/4/2012	4/5/2012					
5/10/2010	4/12/2012	NORTHERN OIL AND GAS INC SEC ID: 665531109	-256 000 10131000450C	-3,854.00	5,236.10	1,382.10
4/12/2012	4/13/2012					
5/10/2010	8/13/2012	OCWEN FINANCIAL CORP SEC ID: 675746309	-60 000 10131000460C	-691.46	1,412.99	721.53
8/13/2012	8/14/2012					
5/10/2010	8/31/2012	OCWEN FINANCIAL CORP SEC ID: 675746309	-160 000 10131000460C	-1,843.90	4,087.32	2,243.42
8/31/2012	9/4/2012					



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Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/10/2010	9/27/2012	OCWEN FINANCIAL CORP SEC ID: 675746309	-220.000 10131000460C	-2,535.37	6,059.72	3,524.35
9/27/2012	9/28/2012	OCWEN FINANCIAL CORP SEC ID: 675746309	-360.000 10131000460C	-4,148.79	13,262.68	9,113.89
5/10/2010	10/4/2012	OCWEN FINANCIAL CORP SEC ID: 675746309	-70.000 10216000040C	-699.30	2,578.85	1,879.55
8/3/2010	10/4/2012	OCWEN FINANCIAL CORP SEC ID: 675746309	-350.000 10216000040C	-3,496.50	13,290.81	9,794.31
10/31/2012	11/1/2012	OMNOVA SOLUTIONS INC SEC ID: 682129101	-300.000 10131000470C	-2,179.26	2,003.12	-176.14
5/10/2010	3/21/2012	OMNOVA SOLUTIONS INC SEC ID: 682129101	-280.000 10131000470C	-2,033.98	1,895.10	-138.88
3/21/2012	3/22/2012	OMNOVA SOLUTIONS INC SEC ID: 682129101	-350.000 10131000470C	-2,542.47	2,371.54	-170.93
5/10/2010	4/2/2012	OMNOVA SOLUTIONS INC SEC ID: 682129101	-180.000 10131000470C	-1,307.56	1,218.46	-89.10
4/2/2012	4/3/2012	OMNOVA SOLUTIONS INC SEC ID: 682129101	-230.000 10131000470C	-1,670.76	1,533.85	-136.91
5/10/2010	4/4/2012	OMNOVA SOLUTIONS INC SEC ID: 682129101	-45.000 10131000470C	-326.89	360.91	34.02
4/4/2012	4/5/2012	OMNOVA SOLUTIONS INC SEC ID: 682129101	-125.000 10258000080C	-842.74	1,002.54	159.80
5/10/2010	7/9/2012	PEP BOYS-MANNY MOE & JACK SEC ID: 713278109	-155.000 10215000050C	-1,539.16	2,322.77	783.61
7/9/2012	7/10/2012	PEP BOYS-MANNY MOE & JACK SEC ID: 713278109	-305.000 10194000010C	-2,838.82	4,570.61	1,731.79
9/14/2010	7/9/2012	PEP BOYS-MANNY MOE & JACK SEC ID: 713278109	-700.000 10203000020C	-6,211.24	10,489.93	4,278.69
7/9/2012	7/10/2012	PEP BOYS-MANNY MOE & JACK SEC ID: 713278109	-405.000 10190000050C	-3,551.57	6,069.17	2,517.60
8/2/2010	1/31/2012	PIER 1 IMPORTS INC SEC ID: 720279108	-270.000 11186000020C	-3,217.19	4,259.10	1,041.91
1/31/2012	2/1/2012	PIER 1 IMPORTS INC SEC ID: 720279108	-170.000 11186000020C	-2,025.63	3,276.32	1,250.69
7/12/2010	1/31/2012	PIER 1 IMPORTS INC SEC ID: 720279108	-170.000 11186000020C	-2,025.02	3,276.32	1,251.30
1/31/2012	2/1/2012	PIER 1 IMPORTS INC SEC ID: 720279108	-230.000 11196000080C	-2,738.36	4,432.66	1,694.30
7/13/2012	7/16/2012	PIER 1 IMPORTS INC SEC ID: 720279108	-200.000 11187000030C	-2,380.28	3,854.49	1,474.21
7/1/2011	9/17/2012					
7/13/2012	9/18/2012					
7/1/2011	9/17/2012					
9/17/2012	9/18/2012					
7/6/2011	9/17/2012					
9/17/2012	9/18/2012					
7/14/2011	9/17/2012					
9/17/2012	9/18/2012					
7/5/2011	9/17/2012					
9/17/2012	9/18/2012					



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Trade Date/ Reported Date	Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
5/13/2011	10/23/2012	POLYONE CORP SEC ID: 73179P106	-280 000	-4,057.95	4,694.96	637.01
10/23/2012	10/24/2012	POWER-ONE INC SEC ID: 73930R102	11136000080C	-3,868.81	2,111.20	-1,757.61
3/4/2011	8/1/2012	POWER-ONE INC SEC ID: 73930R102	-420.000	-4,181.14	2,412.81	-1,768.33
8/1/2012	8/2/2012	POWER-ONE INC SEC ID: 73930R102	11332000070S	-348.43	199.73	-148.70
3/31/2011	8/2/2012	POWER-ONE INC SEC ID: 73930R102	-480.000	-1,475.72	848.84	-626.88
8/1/2012	8/2/2012	POWER-ONE INC SEC ID: 73930R102	11091000060C	-3,970.12	2,286.87	-1,683.25
3/31/2011	8/2/2012	POWER-ONE INC SEC ID: 73930R102	-40 000	-256.94	287.13	30.19
8/2/2012	8/3/2012	POWER-ONE INC SEC ID: 73930R102	11091000060C	-3,600.44	3,149.35	-451.09
5/6/2011	8/2/2012	POWER-ONE INC SEC ID: 73930R102	-170.000	-5,657.83	4,952.81	-705.02
8/2/2012	8/3/2012	POWER-ONE INC SEC ID: 73930R102	11129000020C	-3,857.61	3,366.67	-490.94
4/1/2011	8/2/2012	PRIMERICA INC SEC ID: 74164M108	-458.000	-2,957.50	2,627.78	-329.72
8/2/2012	8/3/2012	PRIMERICA INC SEC ID: 74164M108	11094000100C	-5,005.70	7,481.07	2,475.37
3/2/2011	10/4/2012	RTI INTERNATIONAL METALS INC SEC ID: 74973W107	-10 000	-2,322.14	4,928.56	2,606.42
10/4/2012	10/5/2012	RTI INTERNATIONAL METALS INC SEC ID: 74973W107	11062000040C	-4,934.56	13,018.88	8,084.32
5/10/2010	2/10/2012	RTI INTERNATIONAL METALS INC SEC ID: 74973W107	-140 000	-5,031.31	13,020.03	7,988.72
2/10/2012	2/13/2012	RTI INTERNATIONAL METALS INC SEC ID: 74973W107	10131000500C	-5,012.80	3,086.13	-1,926.67
5/10/2010	3/13/2012	RTI INTERNATIONAL METALS INC SEC ID: 74973W107	-220 000	-1,876.61	1,381.11	-495.50
3/13/2012	3/14/2012	RTI INTERNATIONAL METALS INC SEC ID: 74973W107	10131000500C	-2,164.48	416.97	-1,747.51
5/10/2010	3/14/2012	RTI INTERNATIONAL METALS INC SEC ID: 74973W107	-150 000	-4,328.96	833.86	-3,495.10
3/14/2012	3/15/2012	RTI INTERNATIONAL METALS INC SEC ID: 74973W107	10131000500C	-3,246.72	449.87	-2,796.85
5/10/2010	3/27/2012	RENT-A-CENTER INC /TX SEC ID: 76009N100	-240.000	-5,005.70	7,481.07	2,475.37
3/27/2012	3/28/2012	SALLY BEAUTY HOLDINGS INC SEC ID: 79546E104	10131000530C	-2,322.14	4,928.56	2,606.42
5/10/2010	11/16/2011	SALLY BEAUTY HOLDINGS INC SEC ID: 79546E104	-240.000	-4,934.56	13,018.88	8,084.32
11/16/2011	11/17/2011	SALLY BEAUTY HOLDINGS INC SEC ID: 79546E104	10131000530C	-5,031.31	13,020.03	7,988.72
5/10/2010	4/23/2012	SALLY BEAUTY HOLDINGS INC SEC ID: 79546E104	-510.000	-5,012.80	3,086.13	-1,926.67
4/23/2012	4/24/2012	SALLY BEAUTY HOLDINGS INC SEC ID: 79546E104	10131000530C	-1,876.61	1,381.11	-495.50
5/10/2010	4/24/2012	SALLY BEAUTY HOLDINGS INC SEC ID: 79546E104	-520.000	-2,164.48	416.97	-1,747.51
4/24/2012	4/25/2012	SALLY BEAUTY HOLDINGS INC SEC ID: 79546E104	10131000530C	-4,328.96	833.86	-3,495.10
4/1/2011	6/8/2012	SCHAWK INC SEC ID: 806373106	-260.000	-3,246.72	449.87	-2,796.85
6/8/2012	6/11/2012	SCHAWK INC SEC ID: 806373106	11094000110C	-5,005.70	7,481.07	2,475.37
1/29/2011	7/17/2012	SCHAWK INC SEC ID: 806373106	-100.000	-2,322.14	4,928.56	2,606.42
7/17/2012	7/18/2012	SCHOOL SPECIALTY INC SEC ID: 807863105	11089000050C	-4,934.56	13,018.88	8,084.32
5/10/2010	11/23/2011	SCHOOL SPECIALTY INC SEC ID: 807863105	-100 000	-5,031.31	13,020.03	7,988.72
11/23/2011	11/25/2011	SCHOOL SPECIALTY INC SEC ID: 807863105	10131000540C	-5,012.80	3,086.13	-1,926.67
5/10/2010	11/28/2011	SCHOOL SPECIALTY INC SEC ID: 807863105	-200.000	-1,876.61	1,381.11	-495.50
11/28/2011	11/29/2011	SCHOOL SPECIALTY INC SEC ID: 807863105	10131000540C	-2,164.48	416.97	-1,747.51
5/10/2010	1/20/2012	SCHOOL SPECIALTY INC SEC ID: 807863105	-150 000	-4,328.96	833.86	-3,495.10
1/20/2012	1/23/2012	SCHOOL SPECIALTY INC SEC ID: 807863105	10131000540C	-3,246.72	449.87	-2,796.85

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Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
6/9/2010	2/9/2012	SCHOOL SPECIALTY INC	-100 000	-2,004.95	357.52	-1,647.43
2/9/2012	2/10/2012	SEC ID: 807863105	12025000140S			
6/9/2010	5/23/2012	SCHOOL SPECIALTY INC	-100 000	-2,004.95	298.18	-1,706.77
5/23/2012	5/24/2012	SEC ID: 807863105	12025000140S			
3/4/2011	5/23/2012	SCHOOL SPECIALTY INC	-60.000	-906.21	178.91	-727.30
5/23/2012	5/24/2012	SEC ID: 807863105	11066000090C			
10/11/2010	5/23/2012	SCHOOL SPECIALTY INC	-40 000	-534.08	119.27	-414.81
5/23/2012	5/24/2012	SEC ID: 807863105	10285000030C			
10/11/2010	6/21/2012	SCHOOL SPECIALTY INC	-150 000	-2,002.80	416.56	-1,586.24
6/21/2012	6/22/2012	SEC ID: 807863105	10285000030C			
10/8/2010	6/21/2012	SCHOOL SPECIALTY INC	-185 000	-2,439.52	513.75	-1,925.77
6/21/2012	6/22/2012	SEC ID: 807863105	10284000030C			
10/7/2010	6/21/2012	SCHOOL SPECIALTY INC	-155 000	-2,018.61	430.44	-1,588.17
6/21/2012	6/22/2012	SEC ID: 807863105	10281000080C			
5/10/2010	1/5/2012	SOLUTIA INC	-100 000	-1,567.73	1,741.43	173.70
1/5/2012	1/6/2012	SEC ID: 834376501	10131000550C			
5/10/2010	1/6/2012	SOLUTIA INC	-230 000	-3,605.78	4,024.28	418.50
1/6/2012	1/9/2012	SEC ID: 834376501	10131000550C			
5/10/2010	1/9/2012	SOLUTIA INC	-510 000	-7,995.42	8,844.39	848.97
1/9/2012	1/10/2012	SEC ID: 834376501	10131000550C			
5/10/2010	11/2/2011	STERLING BANCORP/NY	-90.000	-881.81	708.95	-172.86
11/2/2011	11/3/2011	SEC ID: 859158107	10131000570C			
8/16/2010	11/15/2011	STERLING BANCORP/NY	-280.000	-2,425.00	2,212.09	-212.91
11/15/2011	11/16/2011	SEC ID: 859158107	10229000040C			
12/1/2010	12/8/2011	UNIVERSAL TECHNICAL INSTITUTE	-200.000	-3,741.64	2,485.49	-1,256.15
12/8/2011	12/9/2011	SEC ID: 913915104	10336000060C			
12/1/2010	12/12/2011	UNIVERSAL TECHNICAL INSTITUTE	-45.000	-841.87	555.71	-286.16
12/12/2011	12/13/2011	SEC ID: 913915104	10336000060C			
9/16/2010	12/12/2011	UNIVERSAL TECHNICAL INSTITUTE	-115.000	-2,072.13	1,420.14	-651.99
12/12/2011	12/13/2011	SEC ID: 913915104	10260000090C			
9/14/2010	12/12/2011	UNIVERSAL TECHNICAL INSTITUTE	-30.000	-536.32	370.47	-165.85
12/12/2011	12/13/2011	SEC ID: 913915104	10258000090C			
9/14/2010	12/14/2011	UNIVERSAL TECHNICAL INSTITUTE	-160 000	-2,860.39	1,943.42	-916.97
12/14/2011	12/15/2011	SEC ID: 913915104	10258000090C			
9/15/2010	12/14/2011	UNIVERSAL TECHNICAL INSTITUTE	-40.000	-708.73	485.85	-222.88
12/14/2011	12/15/2011	SEC ID: 913915104	10259000050C			
9/15/2010	12/15/2011	UNIVERSAL TECHNICAL INSTITUTE	-60.000	-1,063.10	734.17	-328.93
12/15/2011	12/16/2011	SEC ID: 913915104	10259000050C			
10/14/2010	12/15/2011	UNIVERSAL TECHNICAL INSTITUTE	-40.000	-695.22	489.44	-205.78
12/15/2011	12/16/2011	SEC ID: 913915104	10288000040C			

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10/14/2010	12/16/2011	UNIVERSAL TECHNICAL INSTITUTE	-200 000	-3,476.10	2,447.71	-1,028.39
12/16/2011	12/19/2011	SEC ID: 913915104	10288000040C			
10/14/2010	12/19/2011	UNIVERSAL TECHNICAL INSTITUTE	-150 000	-2,607.08	1,804.36	-802.72
12/19/2011	12/20/2011	SEC ID: 913915104	10288000040C			
10/21/2011	10/31/2012	WALTER INVESTMENT MANAGEMENT	-160 000	-3,972.98	7,619.55	3,646.57
10/31/2012	11/1/2012	C	11297000060C			
10/20/2011	10/31/2012	SEC ID: 93317W102	-10 000	-244.04	476.22	232.18
10/31/2012	11/1/2012	WALTER INVESTMENT MANAGEMENT	11294000050C			
5/10/2010	11/1/2011	SEC ID: 93317W102	-100 000	-4,122.88	3,729.04	-393.84
11/1/2011	11/2/2011	WEST PHARMACEUTICAL SERVICES I	10131000650C			
5/10/2010	11/9/2011	SEC ID: 955306105	-85 000	-3,504.44	3,251.45	-252.99
11/9/2011	11/10/2011	WEST PHARMACEUTICAL SERVICES I	10131000650C			
6/7/2010	1/12/2012	SEC ID: 955306105	-79 000	-1,230.42	524.29	-706.13
1/12/2012	1/13/2012	XERIUM TECHNOLOGIES INC	10159000040C			
6/1/2010	1/12/2012	SEC ID: 98416J118	-100 000	-1,555.52	663.66	-891.86
1/12/2012	1/13/2012	XERIUM TECHNOLOGIES INC	10153000050C			
6/2/2010	1/12/2012	SEC ID: 98416J118	-100 000	-1,547.10	663.65	-883.45
1/12/2012	1/13/2012	XERIUM TECHNOLOGIES INC	10154000010C			
6/8/2010	1/12/2012	SEC ID: 98416J118	-21 000	-324.81	139.37	-185.44
1/12/2012	1/13/2012	XERIUM TECHNOLOGIES INC	10160000030C			
6/8/2010	1/19/2012	SEC ID: 98416J118	-54 000	-835.21	359.85	-475.36
1/19/2012	1/20/2012	XERIUM TECHNOLOGIES INC	10160000030C			
9/13/2010	1/19/2012	SEC ID: 98416J118	-230 000	-2,967.21	1,532.69	-1,434.52
1/19/2012	1/20/2012	XERIUM TECHNOLOGIES INC	10257000100C			
TOTAL LONG:			-26,861,000	-420,864.34	480,461.07	59,596.73
SHORT						
12/6/2010	12/1/2011	HELEN OF TROY LTD NEW	-100 000	-2,332.85	2,938.79	605.94
12/1/2011	12/2/2011	SEC ID: G4388N106	10341000040C			
3/14/2011	12/6/2011	PLATINUM UNDERWRITERS HLDGS	-60 000	-2,207.98	2,054.28	-153.70
12/6/2011	12/7/2011	LTD SHS	11074000070C			
12/28/2011	6/8/2012	SEC ID: G7127P100	-60 000	-3,002.69	3,913.28	910.59
6/8/2012	6/11/2012	ALTISOURCE PORTFOLIO SOLUTIONS	11363000040C			
12/28/2011	10/3/2012	SA REG SHS	-100 000	-5,004.49	9,693.21	4,688.72
10/3/2012	10/4/2012	SEC ID: L0175J104	11363000040C			
12/28/2011	1/19/2012	ALTISOURCE PORTFOLIO SOLUTIONS	-80 000	-1,639.59	1,593.34	-46.25
1/19/2012	1/20/2012	SEC ID: L0175J104	11363000040C			
		AAON INC				
		SEC ID: 000360206				

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12/28/2011	6/14/2012	ATRION CORP	-10 000	-2,412.15	2,006.38	-405.77
6/14/2012	6/15/2012	SEC ID: 049904105	11363000080C			
6/16/2011	6/14/2012	ATRION CORP	-20 000	-3,625.98	4,012.77	386.79
6/14/2012	6/15/2012	SEC ID: 049904105	11168000020C			
2/29/2012	9/18/2012	CAI INTERNATIONAL INC	-240 000	-4,829.93	5,083.92	253.99
9/18/2012	9/19/2012	SEC ID: 12477X106	12061000040C			
2/22/2011	11/17/2011	CTS CORP	-40 000	-479.01	341.71	-137.30
11/17/2011	11/18/2011	SEC ID: 126501105	11054000050C			
1/26/2011	11/17/2011	CTS CORP	-60 000	-699.76	512.56	-187.20
11/17/2011	11/18/2011	SEC ID: 126501105	11027000020C			
1/26/2011	11/18/2011	CTS CORP	-40 000	-466.50	336.51	-129.99
11/18/2011	11/21/2011	SEC ID: 126501105	11027000020C			
3/4/2011	11/18/2011	CTS CORP	-120 000	-1,387.34	1,009.54	-377.80
11/18/2011	11/21/2011	SEC ID: 126501105	11066000100C			
3/7/2011	11/18/2011	CTS CORP	-10 000	-114.94	84.13	-30.81
11/18/2011	11/21/2011	SEC ID: 126501105	11067000040C			
3/7/2011	11/22/2011	CTS CORP	-100 000	-1,149.41	803.82	-345.59
11/22/2011	11/23/2011	SEC ID: 126501105	11067000040C			
3/7/2011	11/30/2011	CTS CORP	-70 000	-804.59	593.92	-210.67
11/30/2011	12/1/2011	SEC ID: 126501105	11067000040C			
1/27/2011	11/30/2011	CTS CORP	-110 000	-1,223.90	933.30	-290.60
11/30/2011	12/1/2011	SEC ID: 126501105	11028000010C			
1/24/2011	11/30/2011	CTS CORP	-100 000	-1,101.26	848.45	-252.81
11/30/2011	12/1/2011	SEC ID: 126501105	11025000020C			
12/28/2011	4/20/2012	CABELA'S INC	-150 000	-3,812.24	5,835.88	2,023.64
4/20/2012	4/23/2012	SEC ID: 126804301	11363000130C			
12/28/2011	4/25/2012	CABELA'S INC	-70 000	-1,779.04	2,830.82	1,051.78
4/25/2012	4/26/2012	SEC ID: 126804301	11363000130C			
12/28/2011	1/13/2012	CAMBREX CORP	-110 000	-811.24	828.50	17.26
1/13/2012	1/17/2012	SEC ID: 132011107	11363000140C			
9/29/2011	1/13/2012	CAMBREX CORP	-70 000	-347.65	527.23	179.58
1/13/2012	1/17/2012	SEC ID: 132011107	11273000070C			
9/29/2011	1/17/2012	CAMBREX CORP	-130 000	-645.63	999.86	354.23
1/17/2012	1/18/2012	SEC ID: 132011107	11273000070C			
10/7/2011	1/17/2012	CAMBREX CORP	-150 000	-744.79	1,153.68	408.89
1/17/2012	1/18/2012	SEC ID: 132011107	11283000020C			
2/7/2012	6/20/2012	CAMBREX CORP	-430 000	-2,928.78	3,451.14	522.36
6/20/2012	6/21/2012	SEC ID: 132011107	12039000040C			
2/7/2012	8/6/2012	CAMBREX CORP	-280 000	-1,907.11	3,099.73	1,192.62
8/6/2012	8/7/2012	SEC ID: 132011107	12039000040C			

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2/7/2012	8/9/2012	CAMBREX CORP SEC ID: 132011107	-140 000 12039000040C	-953.55	1,556.07	602.52
8/9/2012	8/10/2012	CAMBREX CORP SEC ID: 132011107	-30 000 11283000020C	-148.96	333.44	184.48
10/7/2011	8/9/2012	CAMBREX CORP SEC ID: 132011107	-30 000 11245000080C	-144.68	333.44	188.76
8/9/2012	8/10/2012	CAMBREX CORP SEC ID: 132011107	-270 000 11245000080C	-1,302.10	2,972.79	1,670.69
9/1/2011	8/10/2012	CAMBREX CORP SEC ID: 132011107	-100 000 11278000050C	-481.29	1,101.03	619.74
8/10/2012	8/10/2012	CAMBREX CORP SEC ID: 132011107	-150 000 11363000150C	-5,929.11	7,152.10	1,222.99
8/10/2012	8/13/2012	CARTER'S INC SEC ID: 146229109	-50 000 11363000150C	-1,976.37	2,776.38	800.01
12/28/2011	3/8/2012	CARTER'S INC SEC ID: 146229109	-230 000 11245000090C	-7,137.08	12,771.36	5,634.28
3/8/2012	3/9/2012	CARTER'S INC SEC ID: 146229109	-10 000 11245000090C	-310.31	552.82	242.51
12/28/2011	4/26/2012	CARTER'S INC SEC ID: 146229109	-250 000 11244000050C	-7,724.58	13,820.53	6,095.95
4/26/2012	4/27/2012	CARTER'S INC SEC ID: 146229109	-125 000 11363000160C	-2,415.61	2,271.25	-144.36
9/1/2011	8/20/2012	COLUMBIA BANKING SYSTEM INC SEC ID: 197236102	-190 000 11363000160C	-3,671.73	3,480.36	-191.37
4/26/2012	8/21/2012	COLUMBIA BANKING SYSTEM INC SEC ID: 197236102	-105 000 11363000160C	-2,029.12	1,858.24	-170.88
9/1/2011	8/21/2012	COLUMBIA BANKING SYSTEM INC SEC ID: 197236102	-220 000 11363000180C	-2,057.73	2,860.00	802.27
4/27/2012	6/4/2012	DDI CORP SEC ID: 233162502	240 000	4,925.83	-3,175.15	1,750.68
8/1/2012	8/21/2012	DESTINATION MATERNITY CORP SEC ID: 25065D100	-90 000 11332000050S	-2,309.43	1,190.68	-1,118.75
11/1/2011	9/14/2011	DESTINATION MATERNITY CORP SEC ID: 25065D100	-40 000 11188000050C	-832.69	529.19	-303.50
5/12/2011	11/28/2011	DESTINATION MATERNITY CORP SEC ID: 25065D100	-100 000 11187000020C	-2,053.17	1,322.98	-730.19
11/1/2011	9/14/2011	DESTINATION MATERNITY CORP SEC ID: 25065D100	-10 000 11186000010C	-204.00	132.30	-71.70
7/6/2011	11/28/2011	DESTINATION MATERNITY CORP SEC ID: 25065D100	-140 000 12023000100C	-2,203.81	2,237.92	34.11
11/1/2011	3/12/2012	ELECTRONICS FOR IMAGING INC SEC ID: 286082102				

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12/28/2011	3/12/2012		ELECTRONICS FOR IMAGING INC	-380 000	-5,409.26	6,074.34	665.08
3/12/2012	3/13/2012		SEC ID 286082102	11363000220C			
12/28/2011	2/10/2012		ENERSYS	-170 000	-4,291.64	5,623.29	1,331.65
2/10/2012	2/13/2012		SEC ID 29275Y102	11363000230C			
12/28/2011	5/11/2012		ENERSYS	-70 000	-1,767.14	2,300.30	533.16
5/11/2012	5/14/2012		SEC ID: 29275Y102	11363000230C			
8/17/2011	5/11/2012		ENERSYS	-90 000	-1,958.41	2,957.53	999.12
5/11/2012	5/14/2012		SEC ID: 29275Y102	11230000050C			
8/17/2011	5/15/2012		ENERSYS	-250.000	-5,440.02	7,909.85	2,469.83
5/15/2012	5/16/2012		SEC ID: 29275Y102	11230000050C			
10/5/2011	5/15/2012		ENERSYS	-10.000	-194.07	316.39	122.32
5/15/2012	5/16/2012		SEC ID 29275Y102	11279000050C			
10/5/2011	5/16/2012		ENERSYS	-130 000	-2,522.87	4,113.55	1,590.68
5/16/2012	5/17/2012		SEC ID 29275Y102	11279000050C			
10/4/2011	5/16/2012		ENERSYS	-140 000	-2,553.12	4,429.97	1,876.85
5/16/2012	5/17/2012		SEC ID 29275Y102	11278000060C			
6/7/2011	4/5/2012		FLOWERS FOODS INC	-120 000	-2,555.57	2,510.09	-45.48
4/5/2012	4/6/2012		SEC ID 343498101	11159000040C			
12/28/2011	4/5/2012		FLOWERS FOODS INC	-370 000	-7,016.87	7,739.45	722.58
4/5/2012	4/6/2012		SEC ID: 343498101	11363000260C			
12/28/2011	5/24/2012		FLOWERS FOODS INC	-10.000	-189.64	207.23	17.59
5/24/2012	5/25/2012		SEC ID: 343498101	11363000260C			
6/6/2012	6/29/2012		FUEL TECH INC	-170.000	-826.81	840.83	14.02
6/29/2012	7/2/2012		SEC ID 359523107	12159000030C			
6/5/2012	6/29/2012		FUEL TECH INC	-30.000	-139.21	148.38	9.17
6/29/2012	7/2/2012		SEC ID: 359523107	12158000070C			
6/5/2012	7/3/2012		FUEL TECH INC	-310.000	-1,438.46	1,501.41	62.95
7/3/2012	7/5/2012		SEC ID 359523107	12158000070C			
12/28/2011	8/28/2012		GLOBAL POWER EQUIPMENT GROUP I	-100.000	-2,317.74	1,960.19	-357.55
8/28/2012	8/29/2012		SEC ID 37941P306	11363000290C			
12/28/2011	9/7/2012		GLOBAL POWER EQUIPMENT GROUP I	-190.000	-4,403.71	3,696.34	-707.37
9/7/2012	9/10/2012		SEC ID: 37941P306	11363000290C			
3/9/2012	9/7/2012		GLOBAL POWER EQUIPMENT GROUP I	-80.000	-1,842.40	1,556.36	-286.04
9/7/2012	9/10/2012		SEC ID: 37941P306	12072000030C			
8/6/2012	8/15/2012		HALCON RESOURCES CORP	-0.320	-2.34	2.47	0.13
8/15/2012	8/16/2012		SEC ID: 40537Q209	12220000030C			
12/28/2011	4/12/2012		HEXCEL CORP	-450.000	-11,111.63	11,777.13	665.50
4/12/2012	4/13/2012		SEC ID: 428291108	11363000320C			
6/15/2012	7/13/2012		HICKS ACQUISITION CO II INC	-720 000	-7,171.20	7,077.80	-93.40
7/13/2012	7/16/2012		SEC ID 429090103	12170000050C			

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7/28/2011	7/26/2012	HILL-ROM HOLDINGS INC SEC ID: 431475102	-90 000 11210000060C	-3,269.15	2,320.06	-949.09
7/26/2012	7/26/2012	HILL-ROM HOLDINGS INC SEC ID: 431475102	-200 000 11363000330C	-6,721.00	5,155.68	-1,565.32
12/28/2011	7/27/2012	HILL-ROM HOLDINGS INC SEC ID: 431475102	-100 000 12017000030C	-3,003.62	2,580.59	-423.03
7/26/2012	7/30/2012	IEC ELECTRONICS CORP SEC ID: 44949L105	-20 000 11059000070C	-171.24	102.52	-68.72
2/25/2011	1/30/2012	IEC ELECTRONICS CORP SEC ID: 44949L105	-200 000 11054000070C	-1,707.46	1,025.16	-682.30
1/30/2012	1/31/2012	IEC ELECTRONICS CORP SEC ID: 44949L105	-80 000 11035000050C	-682.14	410.06	-272.08
2/3/2011	2/3/2012	IEC ELECTRONICS CORP SEC ID: 44949L105	-70 000 11035000050C	-596.88	364.14	-232.74
2/3/2012	2/6/2012	IEC ELECTRONICS CORP SEC ID: 44949L105	-100 000 11055000020C	-849.89	520.21	-329.68
12/28/2011	2/3/2012	IEC ELECTRONICS CORP SEC ID: 44949L105	-30 000 11363000340C	-146.55	156.06	9.51
2/3/2012	2/6/2012	IEC ELECTRONICS CORP SEC ID: 44949L105	-220 000 11363000340C	-1,074.68	1,136.56	61.88
12/28/2011	2/6/2012	IMATION CORP SEC ID: 45245A107	-300 000 12207000050C	-1,625.97	1,674.41	48.44
10/1/2012	10/2/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-130 000 11283000040C	-2,794.16	2,277.90	-516.26
10/7/2011	8/29/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-350 000 12097000050C	-7,496.90	6,132.80	-1,364.10
8/29/2012	8/30/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-10 000 11294000040C	-211.46	175.22	-36.24
10/20/2011	8/31/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-90 000 11294000040C	-1,903.17	1,579.13	-324.04
8/31/2012	9/4/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-100 000 11280000100C	-2,099.43	1,754.59	-344.84
10/6/2011	8/31/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-10 000 11279000060C	-200.73	175.46	-25.27
8/31/2012	9/4/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-90 000 11279000060C	-1,806.56	1,576.20	-230.36
10/5/2011	9/4/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-70 000 11363000350C	-1,349.24	1,225.94	-123.30
8/31/2012	9/5/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-200 000 11363000350C	-3,854.98	3,516.30	-338.68



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10/4/2011	9/5/2012	INTERNATIONAL RECTIFIER CORP SEC ID: 460254105	-280.000 111278000070C	-5,318.77	4,922.82	-395.95
9/5/2012	9/6/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-210.000 111335000050C	-2,944.16	3,627.13	682.97
11/30/2011	3/27/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-50.000 120120000060C	-694.00	863.60	169.60
3/27/2012	3/27/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-260.000 120120000060C	-3,608.80	4,477.09	868.29
1/11/2012	3/28/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-380.000 120120000060C	-5,274.40	6,688.53	1,414.13
3/27/2012	3/29/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-10.000 120120000060C	-135.25	176.01	40.76
12/28/2011	4/5/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-150.000 113630000360C	-2,028.73	2,593.79	565.06
4/5/2012	4/6/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-140.000 113630000360C	-1,893.49	2,405.00	511.51
12/28/2011	4/9/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-50.000 11333000120C	-660.53	858.93	198.40
4/9/2012	4/10/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-100.000 11333000120C	-1,321.06	1,746.96	425.90
12/28/2011	4/11/2012	INTERVAL LEISURE GROUP INC SEC ID: 46113M108	-100.000 11208000030C	-1,843.48	1,665.01	-178.47
4/10/2012	1/19/2012	JOHN BEAN TECHNOLOGIES CORP SEC ID: 477839104	-60.000 11208000030C	-1,106.09	984.90	-121.19
4/10/2012	1/23/2012	JOHN BEAN TECHNOLOGIES CORP SEC ID: 477839104	-90.000 11167000070C	-1,613.29	1,477.36	-135.93
11/28/2011	1/24/2012	JOHN BEAN TECHNOLOGIES CORP SEC ID: 477839104	-150.000 11363000380C	-2,423.29	2,685.56	262.27
4/11/2012	1/19/2012	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-160.000 11363000380C	-2,584.85	2,782.68	197.83
7/26/2011	1/20/2012	KAPSTONE PAPER AND PACKAGING C SEC ID: 48562P103	-190.000 11363000390C	-2,765.45	2,949.90	184.45
1/19/2012	1/23/2012	KNOLL INC SEC ID: 498904200	-420.000 11174000020C	-8,576.27	9,457.39	881.12
7/26/2011	2/16/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-60.000 11173000070C	-1,214.27	1,351.05	136.78
1/23/2012	2/17/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-120.000 11173000070C	-2,428.55	2,692.87	264.32
6/15/2011	3/8/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-240.000 11173000070C	-4,857.10	5,912.12	1,055.02
1/23/2012	4/12/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102				



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2/9/2012	4/12/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-42.000	-826.70	1,034.62	207.92
4/12/2012	4/13/2012		12041000040C			
2/9/2012	4/20/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-178.000	-3,503.63	4,646.80	1,143.17
4/20/2012	4/23/2012		12041000040C			
2/6/2012	4/20/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-172.000	-3,270.37	4,490.16	1,219.79
4/20/2012	4/23/2012		12038000050C			
2/6/2012	5/16/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-200.000	-3,802.76	4,744.91	942.15
5/16/2012	5/17/2012		12038000050C			
2/6/2012	5/17/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-100.000	-1,901.39	2,303.13	401.74
5/17/2012	5/18/2012		12038000050C			
2/6/2012	5/25/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-48.000	-912.66	1,114.81	202.15
5/25/2012	5/29/2012		12038000050C			
11/4/2011	5/25/2012	LENDER PROCESSING SERVICES INC SEC ID: 52602E102	-252.000	-4,669.41	5,852.74	1,183.33
5/25/2012	5/29/2012		11311000030C			
12/28/2011	6/27/2012	LINCARE HOLDINGS INC SEC ID: 532791100	-280.000	-7,046.17	8,469.58	1,423.41
6/27/2012	6/28/2012		11363000420C			
2/7/2012	6/27/2012	LINCARE HOLDINGS INC SEC ID: 532791100	-20.000	-500.55	604.97	104.42
6/27/2012	6/28/2012		12039000060C			
2/7/2012	8/13/2012	LINCARE HOLDINGS INC SEC ID: 532791100	-140.000	-3,503.85	5,810.00	2,306.15
8/13/2012	8/13/2012		12039000060C			
12/8/2011	8/13/2012	LINCARE HOLDINGS INC SEC ID: 532791100	-320.000	-7,660.93	13,280.00	5,619.07
8/13/2012	8/13/2012		11343000040C			
12/13/2011	8/13/2012	LINCARE HOLDINGS INC SEC ID: 532791100	-190.000	-4,532.24	7,885.00	3,352.76
8/13/2012	8/13/2012		11348000020C			
12/14/2011	8/13/2012	LINCARE HOLDINGS INC SEC ID: 532791100	-190.000	-4,520.50	7,885.00	3,364.50
8/13/2012	8/13/2012		11349000080C			
12/28/2011	9/27/2012	LYDALL INC SEC ID: 550819106	-160.000	-1,511.19	2,239.17	727.98
9/27/2012	9/28/2012		11363000430C			
11/1/2011	10/21/2011	M/I HOMES INC SEC ID: 55305B101	100.000	1,307.99	-625.42	682.57
11/23/2011	11/23/2011					
12/7/2010	10/21/2011	M/I HOMES INC SEC ID: 55305B101	-70.000	-1,139.54	437.79	-701.75
11/1/2011	11/28/2011		11332000060S			
4/1/2011	10/21/2011	M/I HOMES INC SEC ID: 55305B101	-30.000	-431.46	187.63	-243.83
11/1/2011	11/28/2011		11094000090C			
12/28/2011	5/9/2012	MCGRATH RENTCORP SEC ID: 580589109	-190.000	-5,484.35	5,051.11	-433.24
5/9/2012	5/10/2012		11363000450C			
12/28/2011	5/10/2012	MCGRATH RENTCORP SEC ID: 580589109	-90.000	-2,597.85	2,443.07	-154.78
5/10/2012	5/11/2012		11363000450C			
9/20/2011	6/21/2012	MCGRATH RENTCORP SEC ID: 580589109	-90.000	-2,151.36	2,167.68	16.32
6/21/2012	6/22/2012		11264000030C			

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PF - WALTHAUSEN - P19F90040002

Lot Level Dispositions
by Reported Date
11/1/2011 - 10/31/2012

Report ID: HDA824

Base Currency: USD

Status: REVISED

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
12/28/2011	1/6/2012	MILLER INDUSTRIES INC/TN	-120 000	-1,906.19	1,877.68	-28.51
1/6/2012	1/9/2012	SEC ID: 600551204	11363000470C			
12/28/2011	2/21/2012	MYERS INDUSTRIES INC	-100 000	-1,267.49	1,406.57	139.08
2/21/2012	2/22/2012	SEC ID: 628464109	11363000480C			
12/28/2011	3/21/2012	MYERS INDUSTRIES INC	-200 000	-2,534.98	2,798.94	263.96
3/21/2012	3/22/2012	SEC ID: 628464109	11363000480C			
12/28/2011	6/13/2012	MYERS INDUSTRIES INC	-100 000	-1,267.49	1,652.56	385.07
6/13/2012	6/14/2012	SEC ID: 628464109	11363000480C			
8/11/2011	6/14/2012	MYERS INDUSTRIES INC	-150 000	-1,622.46	2,492.61	870.15
6/14/2012	6/15/2012	SEC ID: 628464109	11224000030C			
8/16/2011	6/14/2012	MYERS INDUSTRIES INC	-60.000	-648.71	997.05	348.34
6/14/2012	6/15/2012	SEC ID: 628464109	11229000060C			
8/16/2011	6/29/2012	MYERS INDUSTRIES INC	-120 000	-1,297.41	2,065.86	768.45
6/29/2012	7/2/2012	SEC ID: 628464109	11229000060C			
8/12/2011	6/29/2012	MYERS INDUSTRIES INC	-100 000	-1,064.90	1,721.55	656.65
6/29/2012	7/2/2012	SEC ID: 628464109	11227000070C			
8/10/2011	7/5/2012	MYERS INDUSTRIES INC	-260 000	-2,767.00	4,464.18	1,697.18
7/5/2012	7/6/2012	SEC ID: 628464109	11223000020C			
10/4/2011	7/5/2012	MYERS INDUSTRIES INC	-100 000	-1,009.86	1,716.99	707.13
7/5/2012	7/6/2012	SEC ID: 628464109	11278000080C			
7/12/2011	1/6/2012	NACCO INDUSTRIES INC	-20.000	-1,964.81	1,830.82	-133.99
1/6/2012	1/9/2012	SEC ID: 629579103	11194000050C			
7/12/2011	1/20/2012	NACCO INDUSTRIES INC	-30.000	-2,947.21	2,859.42	-87.79
1/20/2012	1/23/2012	SEC ID: 629579103	11194000050C			
12/28/2011	10/8/2012	NACCO INDUSTRIES INC	-30.000	-868.91	1,442.08	573.17
10/8/2012	10/9/2012	SEC ID: 629579103	11363000490C			
12/28/2011	10/4/2012	NATIONAL WESTERN LIFE INSURANC	-40.000	-5,361.00	5,722.89	361.89
10/4/2012	10/5/2012	SEC ID: 638522102	11363000500C			
12/28/2011	4/4/2012	NORTHERN OIL AND GAS INC	-310.000	-7,252.30	6,305.16	-947.14
4/4/2012	4/5/2012	SEC ID: 665531109	11363000510C			
12/28/2011	5/16/2012	OCWEN FINANCIAL CORP	-490.000	-7,116.56	7,480.66	364.10
5/16/2012	5/17/2012	SEC ID: 675746309	11363000520C			
12/28/2011	5/23/2012	OCWEN FINANCIAL CORP	-250 000	-3,630.90	3,840.41	209.51
5/23/2012	5/24/2012	SEC ID: 675746309	11363000520C			
12/28/2011	8/13/2012	OCWEN FINANCIAL CORP	-300.000	-4,357.08	7,064.92	2,707.84
8/13/2012	8/14/2012	SEC ID: 675746309	11363000520C			
5/20/2011	1/30/2012	PEP BOYS-MANNY MOE & JACK	-120.000	-1,589.40	1,798.38	208.98
1/30/2012	1/31/2012	SEC ID: 713278109	11143000020C			
3/4/2011	1/30/2012	PEP BOYS-MANNY MOE & JACK	-190.000	-2,380.55	2,847.43	466.88
1/30/2012	1/31/2012	SEC ID: 713278109	11066000080C			

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Lot Level Dispositions by Reported Date 11/1/2011 - 10/31/2012

Report ID: HDA824

Base Currency: USD

Status: REVISED

Original Acquisition's Trade Date of Sale /

Trade Date/ Reported Date	Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
3/14/2011	1/30/2012	PEP BOYS-MANNY MOE & JACK	-30.000	-342.22	449.60	107.38
1/30/2012	1/31/2012	SEC ID: 713278109	111074000090C			
3/14/2011	1/31/2012	PEP BOYS-MANNY MOE & JACK	-190.000	-2,167.41	2,847.27	679.86
1/31/2012	2/1/2012	SEC ID: 713278109	111074000090C			
6/7/2011	1/31/2012	PEP BOYS-MANNY MOE & JACK	-530.000	-5,990.17	7,942.37	1,952.20
1/31/2012	2/1/2012	SEC ID: 713278109	11159000050C			
12/28/2011	1/31/2012	PEP BOYS-MANNY MOE & JACK	-660.000	-7,289.63	9,890.50	2,600.87
1/31/2012	2/1/2012	SEC ID: 713278109	11363000550C			
6/15/2011	1/31/2012	PEP BOYS-MANNY MOE & JACK	-300.000	-3,207.30	4,495.68	1,288.38
1/31/2012	2/1/2012	SEC ID: 713278109	111167000080C			
6/13/2011	1/31/2012	PEP BOYS-MANNY MOE & JACK	-440.000	-4,567.77	6,593.67	2,025.90
1/31/2012	2/1/2012	SEC ID: 713278109	111165000090C			
8/15/2011	1/31/2012	PEP BOYS-MANNY MOE & JACK	-210.000	-1,884.44	3,146.98	1,262.54
1/31/2012	2/1/2012	SEC ID: 713278109	11228000040C			
12/28/2011	7/13/2012	PIER 1 IMPORTS INC	-400.000	-5,392.84	6,309.78	916.94
7/13/2012	7/16/2012	SEC ID: 720279108	11363000560C			
5/16/2012	10/23/2012	POLYONE CORP	-210.000	-2,874.10	3,521.22	647.12
10/23/2012	10/24/2012	SEC ID: 73179P106	12138000080C			
12/28/2011	10/4/2012	PRIMERICA INC	-240.000	-5,612.38	6,891.15	1,278.77
10/4/2012	10/5/2012	SEC ID: 74164M108	11363000590C			
8/2/2011	2/10/2012	RTI INTERNATIONAL METALS INC	-80.000	-2,405.78	1,799.63	-606.15
2/10/2012	2/13/2012	SEC ID: 74973W107	11215000020C			
12/28/2011	3/27/2012	RTI INTERNATIONAL METALS INC	-65.000	-1,443.32	1,485.27	41.95
3/27/2012	3/28/2012	SEC ID: 74973W107	11363000610C			
12/28/2011	3/28/2012	RTI INTERNATIONAL METALS INC	-215.000	-4,774.05	4,823.18	49.13
3/28/2012	3/30/2012	SEC ID: 74973W107	11363000610C			
12/28/2011	3/27/2012	RENT-A-CENTER INC/TX	-250.000	-9,233.72	9,666.52	432.80
3/27/2012	3/28/2012	SEC ID: 76009N100	11363000620C			
12/28/2011	4/5/2012	RENT-A-CENTER INC/TX	-40.000	-1,477.40	1,496.21	18.81
4/5/2012	4/6/2012	SEC ID: 76009N100	11363000620C			
12/28/2011	3/8/2012	SALLY BEAUTY HOLDINGS INC	-380.000	-8,068.88	9,458.59	1,389.71
3/8/2012	3/9/2012	SEC ID: 79546E104	11363000630C			
12/28/2011	4/23/2012	SALLY BEAUTY HOLDINGS INC	-20.000	-424.68	510.54	85.86
4/23/2012	4/24/2012	SEC ID: 79546E104	11363000630C			
8/25/2011	1/20/2012	SAUER-DANFOSS INC	-90.000	-3,363.34	4,003.88	640.54
1/20/2012	1/23/2012	SEC ID: 804137107	11238000040C			
12/28/2011	10/3/2012	SCHAWK INC	-150.000	-1,651.58	2,081.95	430.37
10/3/2012	10/4/2012	SEC ID: 806373106	11363000650C			
3/4/2011	1/20/2012	SCHOOL SPECIALTY INC	-30.000	-453.11	89.97	-363.14
1/20/2012	1/23/2012	SEC ID: 807863105	11066000090C			

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Lot Level Dispositions by Reported Date 11/1/2011 - 10/31/2012

Report ID: HDA824
Base Currency: USD
Status: REVISED

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
12/28/2011	6/21/2012	SCHOOL SPECIALTY INC	-100.000	-257.40	277.70	20.30
6/21/2012	6/22/2012	SEC ID: 807863105	11363000660C			
3/30/2012	8/1/2012	SHAW GROUP INC/THE	-220.000	-7,057.51	8,605.28	1,547.77
8/1/2012	8/2/2012	SEC ID: 820280105	12093000110C			
4/12/2012	8/1/2012	SHAW GROUP INC/THE	-110.000	-3,433.03	4,302.64	869.61
8/1/2012	8/2/2012	SEC ID: 820280105	12104000060C			
4/12/2012	8/23/2012	SHAW GROUP INC/THE	-17.000	-530.56	711.37	180.81
8/23/2012	8/24/2012	SEC ID: 820280105	12104000060C			
5/16/2012	8/23/2012	SHAW GROUP INC/THE	-453.000	-13,029.19	18,955.80	5,926.61
8/23/2012	8/24/2012	SEC ID: 820280105	12138000100C			
12/29/2011	12/29/2011	SOLUTIA INC	-180.000	-3,032.01	3,079.79	47.78
12/29/2011	12/30/2011	SEC ID: 834376501	11363000680C			
12/28/2011	1/4/2012	SOLUTIA INC	-220.000	-3,705.79	3,876.23	170.44
1/4/2012	1/5/2012	SEC ID: 834376501	11363000680C			
8/8/2011	1/4/2012	SOLUTIA INC	-30.000	-479.54	528.58	49.04
1/4/2012	1/5/2012	SEC ID: 834376501	11221000020C			
8/8/2011	1/5/2012	SOLUTIA INC	-190.000	-3,037.07	3,308.73	271.66
1/5/2012	1/6/2012	SEC ID: 834376501	11221000020C			
12/28/2011	5/15/2012	STANDEX INTERNATIONAL CORP	-170.000	-5,972.93	7,251.15	1,278.22
5/15/2012	5/16/2012	SEC ID: 854231107	11363000690C			
12/2/2010	11/2/2011	STERLING BANCORP/NY	-80.000	-772.67	630.18	-142.49
11/2/2011	11/3/2011	SEC ID: 859158107	10337000050C			
12/2/2010	11/15/2011	STERLING BANCORP/NY	-140.000	-1,352.18	1,106.05	-246.13
11/15/2011	11/16/2011	SEC ID: 859158107	10337000050C			
12/28/2011	3/28/2012	SYNERGY RESOURCES CORP	-180.000	-508.82	621.18	112.36
3/28/2012	3/29/2012	SEC ID: 87164P103	11363000710C			
10/27/2011	5/16/2012	WALTER INVESTMENT MANAGEMENT	-150.000	-3,957.87	2,934.36	-1,023.51
5/16/2012	5/17/2012	C	11301000020C			
10/21/2011	5/16/2012	SEC ID: 93317W102	-40.000	-993.24	782.50	-210.74
5/16/2012	5/17/2012	WALTER INVESTMENT MANAGEMENT	11297000060C			
8/20/2012	9/27/2012	SEC ID: 93317W102	-170.000	-4,763.45	6,129.72	1,366.27
9/27/2012	9/28/2012	WALTER INVESTMENT MANAGEMENT	12234000050C			
8/20/2012	10/31/2012	SEC ID: 93317W102	-10.000	-280.20	476.22	196.02
10/31/2012	11/1/2012	WALTER INVESTMENT MANAGEMENT	12234000050C			
8/10/2012	10/23/2012	SEC ID: 93317W102	-140.000	-3,137.74	3,049.39	-88.35
10/23/2012	10/24/2012	WORTHINGTON INDUSTRIES INC	12226000040C			
8/13/2012	10/23/2012	SEC ID: 981811102	-230.000	-5,084.70	5,009.72	-74.98
10/23/2012	10/24/2012	WORTHINGTON INDUSTRIES INC	12227000040C			

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Lot Level Dispositions
by Reported Date
11/1/2011 - 10/31/2012

Report ID: HDA824

Base Currency: USD

Status: REVISED

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
12/2/2011	10/23/2012	WORTHINGTON INDUSTRIES INC	-40 000	-693 96	871.26	177.30
10/23/2012	10/24/2012	SEC ID: 981811102	11339000040C			
12/28/2011	1/19/2012	XERIUM TECHNOLOGIES INC	-260 000	-1,730 27	1,732.61	2 34
1/19/2012	1/20/2012	SEC ID: 98416J118	11363000750C			
		TOTAL SHORT:	-27,632.320	-490,375.87	582,638.40	92,262.53
		TOTAL LOT DISPOSITION:	-54,493.320	-911,240.21	1,063,099.47	151,859.26



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Lot Level Dispositions

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Status: REVISED

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
SHORT						
6/17/2011	5/9/2012	FRANKFORT KY SWR REV 1 650%	-25,000 000	-25,135.84	25,061.00	-74.84
5/9/2012	5/10/2012	12/01/2012 DD 03/17/10 SEC ID: 352334CX2	111173000010C			
6/15/2011	11/8/2011	U S TREASURY NOTE 0.625%	-25,000.000	-25,070.48	25,095.70	25.22
11/8/2011	11/9/2011	07/31/2012 DD 07/31/10 SEC ID 912828NQ9	11167000050C			
TOTAL SHORT:				-50,206.32	50,156.70	-49.62
TOTAL LOT DISPOSITION:				-50,206.32	50,156.70	-49.62



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Base Currency: USD

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Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
12/27/2011	1/11/2012	ACE LIMITED SHS	-211 000	-14,936.75	14,734.14	-202.61
1/11/2012	1/12/2012	SEC ID: H0023R105	11362000020C			
12/27/2011	7/19/2012	ABB LTD ADR	-2,565 000	-47,965.50	41,194.25	-6,771.25
7/19/2012	7/23/2012	SEC ID: 000375204	11362000050C			
12/27/2011	9/6/2012	BAIDU INC/CHINA ADR	-125 000	-14,565.41	13,924.33	-641.08
9/6/2012	9/7/2012	SEC ID: 056752108	11362000060C			
12/27/2011	10/25/2012	BAIDU INC/CHINA ADR	-95 000	-11,069.72	10,893.38	-176.34
10/25/2012	10/26/2012	SEC ID: 056752108	11362000060C			
12/27/2011	10/26/2012	BAIDU INC/CHINA ADR	-230 000	-26,800.36	26,070.26	-730.10
10/26/2012	10/29/2012	SEC ID: 056752108	11362000060C			
12/27/2011	9/6/2012	COCA-COLA FEMSA SAB DE CV ADR	-150 000	-14,521.15	18,553.65	4,032.50
9/6/2012	9/7/2012	SEC ID: 191241108	11362000100C			
12/27/2011	10/22/2012	COCA-COLA FEMSA SAB DE CV ADR	-32 000	-3,097.85	4,272.78	1,174.93
10/22/2012	10/24/2012	SEC ID: 191241108	11362000100C			
12/27/2011	10/23/2012	COCA-COLA FEMSA SAB DE CV ADR	-37 000	-3,581.88	4,895.86	1,313.98
10/23/2012	10/24/2012	SEC ID: 191241108	11362000100C			
12/27/2011	10/24/2012	COCA-COLA FEMSA SAB DE CV ADR	-25 000	-2,420.19	3,315.23	895.04
10/24/2012	10/25/2012	SEC ID: 191241108	11362000100C			
12/27/2011	10/25/2012	COCA-COLA FEMSA SAB DE CV ADR	-62 000	-6,002.08	8,032.76	2,030.68
10/25/2012	10/26/2012	SEC ID: 191241108	11362000100C			
12/27/2011	10/26/2012	COCA-COLA FEMSA SAB DE CV ADR	-15 000	-1,452.12	1,915.79	463.67
10/26/2012	10/29/2012	SEC ID: 191241108	11362000100C			
12/27/2011	10/26/2012	COCA-COLA FEMSA SAB DE CV ADR	-10 000	-968.08	1,277.14	309.06
10/26/2012	10/29/2012	SEC ID: 191241108	11362000100C			
12/27/2011	10/31/2012	COCA-COLA FEMSA SAB DE CV ADR	-28 000	-2,710.61	3,582.41	871.80
10/31/2012	11/1/2012	SEC ID: 191241108	11362000100C			
12/27/2011	4/25/2012	CIE FINANCIERE RICHEMONT SA ADR	-6,950 000	-35,375.50	42,373.89	6,998.39
4/25/2012	4/26/2012	SEC ID: 204319107	11362000110C			
12/27/2011	10/22/2012	CIA DE BEBIDAS DAS AMERICAS ADR	-1,125 000	-40,719.26	46,563.83	5,844.57
10/22/2012	10/24/2012	SEC ID: 20441W203	11362000120C			
12/27/2011	7/11/2012	INFOSYS LTD ADR	-835 000	-42,902.63	36,288.61	-6,614.02
7/11/2012	7/13/2012	SEC ID: 456788108	11362000140C			
12/27/2011	9/6/2012	LI & FUNG LTD ADR	-3,595 000	-13,229.60	10,667.55	-2,562.05
9/6/2012	9/7/2012	SEC ID: 501897102	11362000150C			
12/27/2011	9/7/2012	LI & FUNG LTD ADR	-4,315 000	-15,879.20	13,018.92	-2,860.28
9/7/2012	9/10/2012	SEC ID: 501897102	11362000150C			
12/27/2011	9/10/2012	LI & FUNG LTD ADR	-8,624 000	-31,736.32	26,458.69	-5,277.63
9/10/2012	9/11/2012	SEC ID: 501897102	11362000150C			

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Lot Level Dispositions by Reported Date 11/1/2011 - 10/31/2012

Report ID: HDA824
Base Currency: USD
Status: REVISED

Original Acquisition's Trade Date of Sale/

Trade Date/ Reported Date	Posted Date	Description	Shares Sold Tax Lot ID	Cost Base	Amount Base	Realized Gain/Loss Base
12/27/2011	9/11/2012	LI & FUNG LTD ADR	-5,116 000	-18,826.88	15,603.44	-3,223.44
9/11/2012	9/12/2012	SEC ID: 501897102	11362000150C			
12/27/2011	3/14/2012	NOVARTIS AG ADR	-850 000	-48,546.99	46,200.32	-2,346.67
3/14/2012	3/15/2012	SEC ID: 66987V109	11362000190C			
12/27/2011	8/7/2012	NOVO NORDISK A/S ADR	-110.000	-12,490.06	17,073.24	4,583.18
8/7/2012	8/8/2012	SEC ID: 670100205	11362000200C			
12/27/2011	3/14/2012	TEVA PHARMACEUTICAL INDUSTRIES	-1,225.000	-51,236.48	53,578.94	2,342.46
3/14/2012	3/15/2012	ADR	11362000250C			
12/27/2011	2/16/2012	SEC ID: 881624209	-975 000	-26,100.75	30,265.89	4,165.14
2/16/2012	2/21/2012	WAL-MART DE MEXICO SAB DE CV				
		ADR	11362000260C			
		SEC ID: 93114W107				
TOTAL SHORT:				-487,135.37	490,755.30	3,619.93
TOTAL LOT DISPOSITION:				-487,135.37	490,755.30	3,619.93

Putnam Foundation

Transaction Detail by Account

November 2011 through October 2012

	Date	Name	Amount
Grants Made			
	10/26/12	Currier Museum of Art	500 00
	10/26/12	American Safe Climbing Association	1,000 00
	10/11/12	Teton County Library Foundation	1,000.00
	10/11/12	Jackson Hole Children's Museum	1,000.00
	10/24/12	MoCo Arts	500 00
	10/24/12	Dartmouth-Hitchcock Medical Center	500.00
	10/26/12	Keene Family YMCA	500.00
	10/26/12	School for International Training	500.00
	07/26/12	Peace Corps	250 00
	10/26/12	Dana Hall School	500 00
	10/26/12	Thorne-Sagendorph Art Gallery	250 00
	10/26/12	Planned Parenthood of Northern New England	500.00
	02/28/12	Project U S E (Urban Suburban Environments)	1,000 00
	02/28/12	Global Smile Foundation	1,000 00
	06/14/12	Church of Jesus Christ of Latter Day Saints	2,000 00
	07/23/12	Global Smile Foundation	1,000.00
	07/23/12	Peace Corps	500 00
	10/26/12	The MacDowell Colony	500.00
	07/24/12	Amigos de las Americas-Boston Chapter	500 00
	07/24/12	Arlington Education Foundation, Inc	500 00
	07/26/12	Silver Lake Land Trust	500 00
	09/07/12	National Center for US-EL Salvador Sister	500.00
	10/24/12	Foundation for Excellence in Mental Health Care	2,000 00
	02/28/12	Project U S E. (Urban Suburban Environments)	2,000 00
	10/11/12	Green Mountain Valley School	2,000 00
	10/24/12	Foundation for Excellence in Mental Health Care	2,000 00
	10/24/12	Foundation for Excellence in Mental Health Care	1,000 00
	10/26/12	School for International Training	500 00
	02/28/12	Project U S E. (Urban Suburban Environments)	2,000 00
	10/12/12	Amnesty International USA Inc.	2,000 00

06/06/12	All Species Project Inc	2,000.00
10/24/12	Foundation for Excellence in Mental Health Care	2,000.00
05/30/12	National Multiple Sclerosis Society	2,000.00
10/24/12	Foundation for Excellence in Mental Health Care	2,000.00
05/02/12	Historical Piano Concerts, Inc	1,000.00
05/02/12	Hillsborough Area Community Service Corporation	1,000 00
02/28/12	Project U S.E. (Urban Suburban Environments)	1,000 00
02/28/12	National Outdoor Leadership School	1,000 00
10/11/12	Room to Grow	2,000 00
10/11/12	Davis Education Foundation	1,000 00
10/11/12	Hand In Hand Parenting	1,000 00
10/11/12	Mountain Meadows Conservancy	1,000 00
10/24/12	Mayhew Program	2,000.00
10/24/12	MoCo Arts	500 00
10/24/12	Green Mountain Valley School	1,000 00
10/24/12	Mount Washington Observatory	500 00
10/12/12	Vassar College	500.00
10/12/12	Dana Hall School	500 00
10/12/12	Save Your Ass Long Ear Rescue	500.00
10/26/12	Lucky Star Cavalier Rescue	500.00
02/03/12	New Hampshire Charitable Foundation	200,000.00
04/09/12	Historical Society of Cheshire County	5,000 00
05/18/12	New Hampshire Charitable Foundation	100,000 00
07/23/12	Earth Island Institute	10,000 00
10/09/12	Keene State College	10,000 00
12/14/11	Monadnock Conservancy	5,000.00
02/02/12	Cheshire Health Foundation	20,000 00
02/02/12	Granite State Coalition Against Expanded Gambling	5,000 00
02/03/12	New Hampshire Charitable Foundation	6,000 00
05/02/12	Historical Piano Concerts, Inc	4,000 00
05/02/12	Hillsborough Area Community Service Corporation	4,000 00
05/21/12	Conservation Law Foundation	5,000 00
07/09/12	Boston University	20,000 00
07/10/12	Historic Harrisville, Inc	50,000.00
10/22/12	World Learning Inc.	52,500.00

11/11/11	Monadnock Family Services	600 86
11/29/11	All Species Project Inc	5,000 00
01/06/12	Permaculture Institute	4,850.00
02/28/12	Ricky's Revenge	5,000 00
06/06/12	All Species Project Inc	8,000 00
11/02/11	Cape & Island Self-Reliance	25,000 00
11/02/11	Global Greengrants Fund	50,000 00
11/02/11	Pulitzer Center on Crisis Reporting	50,000 00
11/02/11	Let's Retrofit A Million Education Fund	25,000.00
11/02/11	SmartPower	50,000.00
11/02/11	Solar Energy International	0.00
11/02/11	Vote Solar	25,000.00
11/02/11	Solar Energy International	47,500.00
11/03/11	NH Writers' Project	5,000.00
11/18/11	Raylynmor Opera	5,000.00
11/21/11	Keene School District	5,000.00
01/11/12	Monadnock United Way	5,000 00
02/03/12	Keene Chorale	1,000 00
02/03/12	First Congregational Church of Wolfeboro	1,000 00
03/06/12	Monadnock Chorus	1,000 00
03/21/12	Mount Washington Observatory	50,000 00
04/09/12	New England College	12,000 00
04/09/12	Hannah Grimes Center, Inc.	10,000.00
04/09/12	Walden School	10,000 00
04/09/12	Peterborough Players	5,000.00
04/09/12	Historical Society of Cheshire County	5,000.00
05/21/12	Mariposa Museum	5,000 00
05/21/12	MoCo Arts	15,000 00
08/09/12	Monadnock Music	17,500 00
08/10/12	NH Center for Public Policy Studies	10,000 00
08/10/12	Harris Center for Conservation Education	10,000 00
10/01/12	Let It Shine, Inc	5,000 00
10/01/12	Raylynmor Opera	6,000.00
10/30/12	Cheshire County YMCA	125,000.00
10/30/12	Apple Hill Center for Chamber Music	20,000.00

	10/30/12	Colonial Theatre	10,000.00
	04/30/12	Council on Foundations	<u>2,630.00</u>
Total Grants Made			<u>1,185,080.86</u>
TOTAL			<u>1,185,080.86</u>

Putnam Foundation
Part III, Balance Sheet
10/31/2012

	<u>Cost</u>	<u>FMV</u>
Line 1 - Cash - Non-interest-bearing		
Bank of America	208,294	208,294
BNY Mellon Mutual Funds & Cash	1,315,930	1,315,930
BNY Mellon Pinnacle	62,003	62,003
BNY Mellon Snow Capital	56,865	56,865
BNY Mellon Breckinridge	8,265	8,265
BNY Mellon Walthausen & Co	63,303	63,303
BNY Mellon WCM Investment Mgmt	74,702	74,702
	<u>1,789,361</u>	<u>1,789,361</u>
Line 7 - Other Notes		
NH Community Loan	100,479	100,479
Line 10a - U S and State Government Obligations		
BNY Mellon Breckinridge	505,208	525,199
Line 10b - Corporate Stocks		
BNY Mellon Pinnacle	1,480,679	1,870,629
BNY Mellon Snow Capital	1,612,302	1,737,559
BNY Mellon Walthausen & Co	1,597,124	1,898,921
BNY Mellon WCM Investment Mgmt	1,334,840	1,416,048
Sanderson Asset Management	2,227,938	1,797,099
	<u>8,252,883</u>	<u>8,720,256</u>
Line 10c - Corp Bonds		
BNY Mellon Mutual Funds & Cash	11,233,239	12,071,868
	<u>11,233,239</u>	<u>12,071,868</u>
Line 13 - Other Investments		
Sabretooth Offshore	0	0
Delta Prism	0	0
Forester Offshore	2,000,000	2,165,914
Highclere International	856,880	928,371
Octavian Offshore Fund, Ltd	1,100,000	935,884
Regiment Capital Ltd	1,000,000	1,108,148
Alysun Fund Limited	350,000	322,110
Lyne	26,093	29,177
SJF Ventures III	41,250	38,480
Ecosystem Investment Partners	40,000	15,817
Permal Private Equity Opportunities	60,915	95,760
ST SPV, Ltd	10,848	10,848
Southpaw Credit Opportun Fund	1,050,000	1,182,628
	<u>6,535,986</u>	<u>6,833,137</u>
Line 15 - Other Assets		
Markem Corp Royalty	181,383	181,383
Total	28,598,539	30,221,683

**Application for Extension of Time To File an
Exempt Organization Return**

OMB No. 1545-1709

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

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

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

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

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

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

Part I only ☐

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

Enter filer's identifying number, see instructions

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions		Employer identification number (EIN) or	
	PUTNAM FOUNDATION		☒ X	02-6011388
	Number, street, and room or suite no. If a P.O. box, see instructions		☐	Social security number (SSN)
	PO BOX 323			
City, town, or post office, state, and ZIP code. For a foreign address, see instructions				
KEENE, NH 03431				

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

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

- The books are in the care of ► JAMES PUTNAM

Telephone No ► 603 352-2448

FAX No ►

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

- 1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until 06/15, 2013, to file the exempt organization return for the organization named above. The extension is for the organization's return for
- ☐ calendar year 20____ or
- ☒ tax year beginning 11/01, 2011, and ending 10/31, 2012

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

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a \$	17,294.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b \$	5,294.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c \$	12,000.

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

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

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