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Form **990-PF**

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

OMB No 1545 0052

2011Department of the Treasury
Internal Revenue Service

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

Golden Rule Foundation
PO Box 658
Camden, ME 04843**A** Employer identification number
59-9207701**B** Telephone number (see the instructions)

G Check all that apply. ☐ 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

I Fair market value of all assets at end of year (from Part II, column (c), line 16) **J** Accounting method. ☒ Cash ☐ Accrual
☐ Other (specify) _____
 ▶ \$ 3,756,674. (Part I, column (d) must be on cash basis.)

C If exemption application is pending, check here ☐**D** 1 Foreign organizations, check here ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐**E** If private foundation status was terminated under section 507(b)(1)(A), check here ☐**F** If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐**Part I Analysis of Revenue and Expenses**

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)

(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
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REVENUE

1	Contributions, gifts, grants, etc., received (att sch)				
2	OK ☒ if the foundn is not req to att Sch B				
3	Interest on savings and temporary cash investments	15,981.	15,981.	15,981.	
4	Dividends and interest from securities	68,947.	68,947.	68,947.	
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain/(loss) from sale of assets not on line 10	117,486.			
b	Gross sales price for all assets on line 6a 3,039,806.				
7	Capital gain net income (from Part IV, line 2)		117,486.		
8	Net short-term capital gain			58,627.	
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less: Cost of goods sold				
c	Gross profit/(loss) (att sch)				
11	Other income (attach schedule)				
12	Total. Add lines 1 through 11	202,414.	202,414.	143,555.	

ADMINISTRATIVE EXPENSES AND

13	Compensation of officers, directors, trustees, etc	0.			
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule) See St 1	3,037.	1,518.		1,519.
b	Accounting fees (attach sch) See St 2	14,130.	7,065.		7,065.
c	Other prof fees (attach sch)				
17	Interest				
18	Taxes (attach schedule)(see instrs) See Stm 3	5,035.	5,035.		
19	Depreciation (attach sch) and depletion				
20	Occupancy	3,879.			3,879.
21	Travel, conferences, and meetings	36,850.			36,850.
22	Printing and publications				
23	Other expenses (attach schedule) See Statement 4	75,004.	39,403.		35,601.
24	Total operating and administrative expenses. Add lines 13 through 23	137,935.	53,021.		84,914.
25	Contributions, gifts, grants paid Part XV	214,500.			214,500.
26	Total expenses and disbursements. Add lines 24 and 25	352,435.	53,021.	0.	299,414.
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	-150,021.			
b	Net investment income (if negative, enter 0)		149,393.		
c	Adjusted net income (if negative, enter 0)			143,555.	

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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	746,077.	818,588.	818,588.
	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 sch)			
		Less: allowance for doubtful accounts			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments — U S and state government obligations (attach schedule) Statement 5	375,913.	317,298.	325,692.
	b	Investments — corporate stock (attach schedule) Statement 6	1,979,508.	1,960,060.	2,165,519.
	c	Investments — corporate bonds (attach schedule) Statement 7	315,831.	421,425.	428,867.
LIABILITIES	11	Investments — land, buildings, and equipment, basis			
		Less: accumulated depreciation (attach schedule)			
	12	Investments — mortgage loans			
	13	Investments — other (attach schedule)	263,753.		
	14	Land, buildings, and equipment, basis 30,166.			
		Less: accumulated depreciation (attach schedule) See Stmt 8 12,157.	16,340.	18,009.	18,008.
	15	Other assets (describe)			
	16	Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)	3,697,422.	3,535,380.	3,756,674.
	17	Accounts payable and accrued expenses			
	18	Grants payable			
FUND BALANCES OR ASSETS	19	Deferred revenue			
	20	Loans from officers, directors, trustees, & other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe)	12,021.		
	23	Total liabilities (add lines 17 through 22)	12,021.	0.	
		Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. ☐			
	24	Unrestricted			
FUND BALANCES OR ASSETS	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. ☒			
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, building, and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	3,685,401.	3,535,380.	
	30	Total net assets or fund balances (see instructions)	3,685,401.	3,535,380.	
FUND BALANCES OR ASSETS	31	Total liabilities and net assets/fund balances (see instructions)	3,697,422.	3,535,380.	

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year — Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	3,685,401.
2	Enter amount from Part I, line 27a	2	-150,021.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	3,535,380.
5	Decreases not included in line 2 (itemize)	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) — Part II, column (b), line 30	6	3,535,380.

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 shares MLC Company)		(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1a Short-Term Gains/Losses See Attachment		P	Various	Various
b Long-Term Gains/Losses See Attachment		P	Various	Various
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 2,040,513.		1,981,886.	58,627.
b 999,293.		940,434.	58,859.
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	
a			58,627.
b			58,859.
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	117,486.
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	58,627.

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 (column (b) divided by column (c))
2010	279,784.	3,871,109.	0.072275
2009	322,393.	4,004,663.	0.080504
2008	219,073.	4,011,737.	0.054608
2007	369,511.	5,256,933.	0.070290
2006	378,190.	6,253,456.	0.060477

2 Total of line 1, column (d)	2	0.338154
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	0.067631
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	4	3,723,649.
5 Multiply line 4 by line 3	5	251,834.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,494.
7 Add lines 5 and 6	7	253,328.
8 Enter qualifying distributions from Part XII, line 4	8	299,414.

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

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

1 a 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 instrs)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	1,494.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, column (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	1,494.
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	1,494.
6 Credits/Payments.			
a 2011 estimated tax pmts and 2010 overpayment credited to 2011	6a	2,800.	
b Exempt foreign organizations – tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	2,800.	
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	0.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	1,306.	
11 Enter the amount of line 10 to be Credited to 2012 estimated tax	11	0.	
		1,306.	Refunded

Part VII-A Statements Regarding Activities

	Yes	No
1 a 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 the instructions for definition)? <i>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</i>		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year. (1) On the foundation \$ 0. (2) On foundation managers \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If 'Yes,' attach a detailed description of the activities.</i>		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? <i>If 'Yes,' attach a conformed copy of the changes</i>		X
4 a 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?		N/A
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If 'Yes,' attach the statement required by General Instruction T</i>		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? <i>If 'Yes,' complete Part II, column (c), and Part XV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) DC		
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? <i>If 'No,' attach explanation</i>	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)? <i>If 'Yes,' complete Part XIV</i>		X
10 Did any persons become substantial contributors during the tax year? <i>If 'Yes,' attach a schedule listing their names and addresses</i>		X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If 'Yes', attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If 'Yes,' attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address <u>www.goldrule.org</u>	13	X	
14	The books are in care of <u>Laurel Frye</u> Telephone no <u>207-236-4104</u> Located at <u>PO Box 658 Camden ME</u> ZIP + 4 <u>04843</u>			
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	N/A	☐	N/A
16	At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If 'Yes,' enter the name of the foreign country	16		X

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

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

	Yes	No
1a During the year did the foundation (either directly or indirectly).		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person?	☐ Yes	☒ No
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?	☐ Yes	☒ No
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person?	☐ Yes	☒ No
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person?	☐ Yes	☒ No
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?	☐ Yes	☒ No
(6) Agree to pay money or property to a government official? (Exception. Check 'No' if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.)	☐ Yes	☒ No
b If any answer is 'Yes' to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here	1b	N/A
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? If 'Yes,' list the years <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u> .	☐ Yes	☒ No
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.)	2b	N/A
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► <u>20__</u> , <u>20__</u> , <u>20__</u> , <u>20__</u> .		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes	☒ No
b If 'Yes,' did it have excess business holdings in 2011 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011.)	3b	N/A
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)?

5b N/A

Organizations relying on a current notice regarding disaster assistance check here

☐

c If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A ☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

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

6b X

If 'Yes' to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If 'Yes,' did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

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

1 List all officers, directors, trustees, foundation managers and their compensation (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
See Statement 9		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

0

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		0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

	Expenses
1 N/A	
2	
3	
4	

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes		
a	Average monthly fair market value of securities	1a	3,086,578.
b	Average of monthly cash balances	1b	693,776.
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	3,780,354.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	3,780,354.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	56,705.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	3,723,649.
6	Minimum investment return. Enter 5% of line 5	6	186,182.

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	186,182.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	1,494.
b	Income tax for 2011. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	1,494.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	184,688.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	184,688.
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	184,688.

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	299,414.
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	299,414.
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	1,494.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	297,920.

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.

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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				184,688.
2 Undistributed income, if any, as of the end of 2011:				
a Enter amount for 2010 only			0.	
b Total for prior years 20 __, 20 __, 20 __		0.		
3 Excess distributions carryover, if any, to 2011				
a From 2006	17,318.			
b From 2007	108,432.			
c From 2008	19,686.			
d From 2009	125,184.			
e From 2010	91,805.			
f Total of lines 3a through e	362,425.			
4 Qualifying distributions for 2011 from Part XII, line 4. ► \$ 299,414.				
a Applied to 2010, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required — see instructions)		0.		
c Treated as distributions out of corpus (Election required — see instructions)	0.			
d Applied to 2011 distributable amount				184,688.
e Remaining amount distributed out of corpus	114,726.			
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a).)	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	477,151.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount — see instructions		0.		
e Undistributed income for 2010. Subtract line 4a from line 2a Taxable amount — see instructions			0.	
f Undistributed income for 2011. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2012				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	0.			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see instructions)	17,318.			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	459,833.			
10 Analysis of line 9				
a Excess from 2007	108,432.			
b Excess from 2008	19,686.			
c Excess from 2009	125,184.			
d Excess from 2010	91,805.			
e Excess from 2011	114,726.			

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
<i>a Paid during the year</i> See Attached List ,			See Attached	214,500.
Total			3a	214,500.
<i>b Approved for future payment</i>				
Total			3b	

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue:					
a _____					
b _____					
c _____					
d _____					
e _____					
f _____					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	15,981.	
4 Dividends and interest from securities			14	68,947.	
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	117,486.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a _____					
b _____					
c _____					
d _____					
e _____					
12 Subtotal. Add columns (b), (d), and (e)				202,414.	
13 Total. Add line 12, columns (b), (d), and (e)				202,414.	

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

[illegible]

Statement 1
Form 990-PF, Part I, Line 16a
Legal Fees

	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
	\$ 3,037.	\$ 1,518.		\$ 1,519.
Total	<u>\$ 3,037.</u>	<u>\$ 1,518.</u>	<u>\$ 0.</u>	<u>\$ 1,519.</u>

Statement 2
Form 990-PF, Part I, Line 16b
Accounting Fees

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
	\$ 14,130.	\$ 7,065.		\$ 7,065.
Total	<u>\$ 14,130.</u>	<u>\$ 7,065.</u>	<u>\$ 0.</u>	<u>\$ 7,065.</u>

Statement 3
Form 990-PF, Part I, Line 18
Taxes

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Federal Income tax	\$ 4,555.	\$ 4,555.		
Foreign tax withheld	480.	480.		
Total	<u>\$ 5,035.</u>	<u>\$ 5,035.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

Statement 4
Form 990-PF, Part I, Line 23
Other Expenses

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Boardmember expense	\$ 29,000.			\$ 29,000.
Business Entertainment	177.			177.
Consultants	4,207.			4,207.
Dues	980.			980.
Investment Advisory Fees	39,403.	\$ 39,403.		
Miscellaneous	130.			130.
Office Supply	516.			516.
Postage	232.			232.
Web Site	359.			359.
Total	<u>\$ 75,004.</u>	<u>\$ 39,403.</u>	<u>\$ 0.</u>	<u>\$ 35,601.</u>

Statement 5
Form 990-PF, Part II, Line 10a
Investments - U.S. and State Government Obligations

<u>U.S. Government Obligations</u>	<u>Valuation Method</u>	<u>Book Value</u>	<u>Fair Market Value</u>
See Attached	Cost	\$ 317,298.	\$ 325,692.
		\$ 317,298.	\$ 325,692.
	Total	\$ 317,298.	\$ 325,692.

Statement 6
Form 990-PF, Part II, Line 10b
Investments - Corporate Stocks

<u>Corporate Stocks</u>	<u>Valuation Method</u>	<u>Book Value</u>	<u>Fair Market Value</u>
See Attached	Cost	\$ 1,960,060.	\$ 2,165,519.
	Total	\$ 1,960,060.	\$ 2,165,519.

Statement 7
Form 990-PF, Part II, Line 10c
Investments - Corporate Bonds

<u>Corporate Bonds</u>	<u>Valuation Method</u>	<u>Book Value</u>	<u>Fair Market Value</u>
See Attached	Cost	\$ 421,425.	\$ 428,867.
	Total	\$ 421,425.	\$ 428,867.

Statement 8
Form 990-PF, Part II, Line 14
Land, Buildings, and Equipment

<u>Category</u>	<u>Basis</u>	<u>Accum. Deprec.</u>	<u>Book Value</u>	<u>Fair Market Value</u>
Machinery and Equipment	\$ 30,166.	\$ 12,157.	\$ 18,009.	\$ 18,008.
Total	\$ 30,166.	\$ 12,157.	\$ 18,009.	\$ 18,008.

Statement 9
Form 990-PF, Part VIII, Line 1
List of Officers, Directors, Trustees, and Key Employees

<u>Name and Address</u>	<u>Title and Average Hours Per Week Devoted</u>	<u>Compensation</u>	<u>Contri- bution to EBP & DC</u>	<u>Expense Account/ Other</u>
Jean Evans 30 Mayo Street Belfast, ME 04915	President 40.00	\$ 0.	\$ 0.	\$ 0.
Gareth Evans 222 Manning St Philadelphia, PA 19103	Board Member 5.00	0.	0.	0.
Tegan Stephens 8219 Whittington Drive Richmond, VA 23235	Secretary 5.00	0.	0.	0.
Trevor Evans 192 Washington Park, Apt 1 Brooklyn, NY 11205	Board Member 5.00	0.	0.	0.
Salvadore Messina 30 Mayo Street Belfast, ME 04915	Treasurer 40.00	0.	0.	0.
Sian Evans 30 Mayo Street Belfast, ME 04915	Advisory Board 15.00	0.	0.	0.
Total		\$ 0.	\$ 0.	\$ 0.

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
113 000	AGNICO EAGLE MINES LTD	1/9/2012	4/3/2012	3,849 82	4,304 94	(455 12)	C
47 000	AGNICO EAGLE MINES LTD	1/19/2012	4/3/2012	1,601 25	1,681 08	(79 83)	C
65	AIR PROD & CHEM INC	1/27/2011	1/11/2012	5,666 88	5,627 70	39 18	C
40	AKAMAI TECHNOLOGIES INC	11/3/2011	5/24/2012	1,169 97	1,169 82	0 15	C
64	AKAMAI TECHNOLOGIES INC	11/3/2011	7/18/2012	1,913 77	1,871 72	42 05	C
50 000	AKAMAI TECHNOLOGIES INC	11/3/2011	8/28/2012	1,871 46	1,462 28	409.18	C
42 000	AKAMAI TECHNOLOGIES INC	1/18/2012	8/28/2012	1,572 02	1,363 65	208 37	C
48 000	AKAMAI TECHNOLOGIES INC	3/8/2012	8/28/2012	1,796 60	1,741 49	55 11	C
829 000	ALCOA INC	2/1/2011	12/28/2011	7,085 16	14,463 36	(7,378 20)	C
35	ALLEGHENY TECH INC	3/19/2012	5/24/2012	1,211 67	1,552 33	(340 66)	C
5	ALLEGHENY TECH INC	3/19/2012	5/24/2012	173 09	221 76	(48 67)	C
35 000	ALLEGHENY TECH INC	5/23/2012	8/28/2012	1,065 70	1,205 27	(139 57)	C
96 000	ALLEGHENY TECH INC	3/19/2012	8/28/2012	2,923 06	4,257 81	(1,334 75)	C
5 000	ALLEGHENY TECH INC	6/5/2012	8/28/2012	152 24	152 73	(0 49)	C
41 000	ALLEGHENY TECH INC	4/2/2012	8/28/2012	1,248 39	1,727 03	(478 64)	C
41 000	ALLEGHENY TECH INC	4/18/2012	8/28/2012	1,248 39	1,687 47	(439 08)	C
40 000	ALLEGHENY TECH INC	6/5/2012	8/28/2012	1,217 94	1,221 80	(3 86)	C
32 000	ALLEGHENY TECH INC	6/20/2012	8/28/2012	974 35	965 42	8 93	C
35 000	ALLEGHENY TECH INC	8/7/2012	8/28/2012	1,065 69	1,121 38	(55 69)	C
273	ALLIANCEBER CORPORATE INC SHS	1/18/2012	5/25/2012	2,945 67	2,921 10	24 57	C
5,711	ALLIANCEBER CORPORATE INC SHS	1/18/2012	8/24/2012	63,563 43	61,107 70	2,455 73	C
4	AMAZON COM INC	8/8/2011	7/19/2012	896 67	776 40	120 27	C
1	AMAZON COM INC	10/26/2011	8/23/2012	241 16	201 79	39 37	C
3 000	AMAZON COM INC	10/26/2011	8/28/2012	733 93	605 37	128 56	C
8 000	AMAZON COM INC	12/15/2011	8/28/2012	1,957 15	1,455 80	501 35	C
10 000	AMAZON COM INC	12/21/2011	8/28/2012	2,446 44	1,777 37	669 07	C
9 000	AMAZON COM INC	1/6/2012	8/28/2012	2,201 80	1,653 00	548 80	C
9 000	AMAZON COM INC	2/1/2012	8/28/2012	2,201 80	1,608 88	592 92	C
9 000	AMAZON COM INC	3/13/2012	8/28/2012	2,201 80	1,643 47	558 33	C
5 000	AMAZON COM INC	5/29/2012	8/28/2012	1,223 23	1,073 15	150 08	C
24	AMERICAN EXPRESS CO	9/28/2011	5/3/2012	1,458 53	1,135 13	323 40	C
27	AMERICAN EXPRESS CO	9/28/2011	5/14/2012	1,585 34	1,277 02	308 32	C
10	AMERICAN EXPRESS CO	9/28/2011	5/24/2012	561 48	472 97	88 51	C
35 000	AMERICAN EXPRESS CO	9/28/2011	8/28/2012	2,020 15	1,655 40	364 75	C
38 000	AMERICAN EXPRESS CO	12/2/2011	8/28/2012	2,193 31	1,840 66	352 65	C
80	APOLLO GLBL MGMT LLC CL-A SHS	6/1/2011	5/24/2012	928 77	1,440 80	(512 03)	-
7 000	APPLE INC	1/25/2012	8/28/2012	4,705 80	3,126 25	1,579 55	C
12 000	APPLE INC	9/2/2011	8/31/2012	8,007 06	4,469 58	3,537 48	C
473 210	AQUILLA THREE PEAKS HI INC A	10/3/2011	1/19/2012	4,239 96	4,164 24	75 72	-
290 241	AQUILLA THREE PEAKS HI INC A	10/3/2011	4/3/2012	2,612 17	2,554 12	58 05	-
2,672 856	AQUILLA THREE PEAKS HI INC A	10/3/2011	8/24/2012	24,322 99	23,521 11	801 88	-
9 928	AQUILLA THREE PEAKS HI INC A	10/27/2011	8/24/2012	90 34	89 65	0 69	-
15 171	AQUILLA THREE PEAKS HI INC A	11/28/2011	8/24/2012	138 06	135 17	2 89	-
25 737	AQUILLA THREE PEAKS HI INC A	12/30/2011	8/24/2012	234 21	229 83	4 38	-
7 357	AQUILLA THREE PEAKS HI INC A	12/30/2011	8/24/2012	66 95	65 70	1 25	-
16 419	AQUILLA THREE PEAKS HI INC A	12/30/2011	8/24/2012	149 41	146 62	2 79	-
12 343	AQUILLA THREE PEAKS HI INC A	1/26/2012	8/24/2012	112 32	111 21	1 11	C
11 512	AQUILLA THREE PEAKS HI INC A	2/23/2012	8/24/2012	104 76	103 95	0 81	C
11 914	AQUILLA THREE PEAKS HI INC A	3/26/2012	8/24/2012	108 42	107 23	1 19	C
10 507	AQUILLA THREE PEAKS HI INC A	4/25/2012	8/24/2012	95 61	94 56	1 05	C
9 289	AQUILLA THREE PEAKS HI INC A	5/24/2012	8/24/2012	84 53	82 95	1 58	C
9 835	AQUILLA THREE PEAKS HI INC A	6/25/2012	8/24/2012	89 50	88 32	1 18	C
9 933	AQUILLA THREE PEAKS HI INC A	7/26/2012	8/24/2012	90 39	90 19	0 20	C
9 489	AQUILLA THREE PEAKS HI INC A	8/23/2012	8/24/2012	86 35	86 35	-	C
121 000	AUTODESK INC DELAWARE	8/23/2012	9/4/2012	3,781 16	4,317 82	(536 66)	C
89 000	BABCOCK & WILCOX	5/23/2012	8/28/2012	2,193 16	2,007 56	185 60	C
33 000	BARRICK GOLD CORP	10/25/2011	8/28/2012	1,257 60	1,567 77	(310 17)	C
22 000	BARRICK GOLD CORP	12/15/2011	8/28/2012	838 40	973 03	(134 63)	C
44 000	BARRICK GOLD CORP	7/31/2012	8/28/2012	1,676 80	1,444 01	232 79	C
123 000	BARRICK GOLD CORP	4/3/2012	8/31/2012	4,592 80	5,271 77	(678 97)	C
90 000	BIOGEN IDEC INC	12/2/2011	5/15/2012	12,335.17	10,428 71	1,906 46	C

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
45 000	BURBERRY GROUP PLC SPONS ADR	5/10/2012	8/28/2012	1,939 46	2,119 28	(179 82)	C
11 000	BURBERRY GROUP PLC SPONS ADR	5/11/2012	8/28/2012	474 09	521 18	(47 09)	C
45 000	BURBERRY GROUP PLC SPONS ADR	5/11/2012	8/28/2012	1,939 46	2,123 82	(184 36)	C
31 000	BURBERRY GROUP PLC SPONS ADR	5/24/2012	8/28/2012	1,336 07	1,364 00	(27 93)	C
39 000	BURBERRY GROUP PLC SPONS ADR	7/13/2012	8/28/2012	1,680 85	1,510 16	170 69	C
15 000	C R BARD INC NJ	9/23/2011	7/5/2012	1,621 81	1,298 48	323 33	C
78	CAMECO CORP	1/27/2011	1/10/2012	1,458 09	3,034 20	(1,576 11)	C
13	CAMECO CORP	6/1/2011	5/24/2012	248 94	367 38	(118 44)	C
54 000	CAMECO CORP	11/4/2011	8/28/2012	1,209 13	1,155 74	53 39	C
10 000	CAMECO CORP	12/15/2011	8/28/2012	223 91	172 51	51 40	C
78 000	CAMECO CORP	12/15/2011	8/28/2012	1,746 52	1,345 59	400 93	C
78 000	CAMECO CORP	3/15/2012	8/28/2012	1,746.51	1,796 25	(49.74)	C
54 000	CELGENE CORP	4/20/2012	8/31/2012	3,864 15	4,276 82	(412 67)	C
1,785 000	CHARLES SCHWAB NEW	12/9/2011	5/4/2012	24,178 71	21,411 43	2,767 28	C
85 000	CHARLES SCHWAB NEW	1/30/2012	5/4/2012	1,151 37	971 29	180 08	C
100	CHARLES SCHWAB NEW	2/29/2012	5/24/2012	1,260 97	1,390 17	(129 20)	C
341 000	CHARLES SCHWAB NEW	2/29/2012	8/28/2012	4,480 64	4,740 48	(259 84)	C
125 000	CHARLES SCHWAB NEW	3/8/2012	8/28/2012	1,642 46	1,736 01	(93.55)	C
107 000	CHARLES SCHWAB NEW	4/2/2012	8/28/2012	1,405 95	1,539 40	(133 45)	C
173 000	CHARLES SCHWAB NEW	7/18/2012	8/28/2012	2,273 17	2,249 21	23 96	C
100 000	CHEVRON CORP	7/20/2011	6/8/2012	10,051 74	10,723 38	(671 64)	C
105 000	CHEVRON CORP	7/27/2011	6/8/2012	10,554 32	11,163 88	(609 56)	C
20 000	CHEVRON CORP	8/22/2011	6/8/2012	2,010 35	1,873 65	136 70	C
10 000	CHEVRON CORP	9/23/2011	6/8/2012	1,005 17	896 01	109 16	C
645 000	CISCO SYS INC	6/20/2012	8/24/2012	12,369 72	11,258 22	1,111 50	C
244 000	CISCO SYS INC	6/21/2012	8/24/2012	4,679.40	4,191 04	488 36	C
421 000	CISCO SYS INC	6/21/2012	8/28/2012	8,115 14	7,231 27	883 87	C
80 000	CISCO SYS INC	7/18/2012	8/28/2012	1,542 07	1,328 83	213 24	C
95 000	CISCO SYS INC	7/23/2012	8/28/2012	1,831 20	1,520 00	311 20	C
60	CITIGROUP INC NEW	12/21/2011	5/24/2012	1,597 16	1,532 08	65 08	C
107	CITIGROUP INC NEW	12/21/2011	6/5/2012	2,747 46	2,732 21	15 25	C
37	CITIGROUP INC NEW	1/3/2012	6/5/2012	950 05	1,049 76	(99 71)	C
33	CITIGROUP INC NEW	1/3/2012	7/6/2012	866 70	936 27	(69 57)	C
17	CITIGROUP INC NEW	1/17/2012	7/6/2012	446 48	483 76	(37 28)	C
13	CITIGROUP INC NEW	2/8/2012	7/6/2012	341 42	436 98	(95 56)	C
66 000	CITIGROUP INC NEW	2/8/2012	8/28/2012	1,958 83	2,218 52	(259 69)	C
47 000	CITIGROUP INC NEW	3/8/2012	8/28/2012	1,394 93	1,587 45	(192 52)	C
48 000	CITIGROUP INC NEW	3/15/2012	8/28/2012	1,424 61	1,721 90	(297 29)	C
3,000	CITIGROUP INC TLGP	1/27/2011	12/9/2011	3,000 00	3,000 00	-	C
10	CITRIX SYSTEMS INC	3/9/2012	5/24/2012	756 58	765 78	(9 20)	C
59	CITRIX SYSTEMS INC	3/9/2012	7/27/2012	4,418 56	4,518 10	(99 54)	C
135 000	CLEARBRIDGE ENERGY MLP OPP FD	11/18/2011	8/31/2012	2,699 93	2,474 70	225 23	-
3	CME GROUP INC	1/27/2011	1/5/2012	716 11	930 60	(214 49)	C
9	CME GROUP INC	1/27/2011	1/5/2012	2,148 34	2,791 80	(643 46)	C
5	CME GROUP INC	1/27/2011	1/9/2012	1,142 32	1,551 00	(408 68)	C
9	CME GROUP INC	2/18/2011	1/9/2012	2,056 18	2,722 44	(666 26)	C
6	CME GROUP INC	11/16/2011	1/9/2012	1,370 79	1,480 87	(110 08)	C
3	CME GROUP INC	1/27/2011	1/9/2012	685 40	948 16	(262 76)	C
4,000	CONOCOPHILLIPS 4 3/4 10-15-12	1/27/2011	1/17/2012	4,118 24	4,119 14	(0 90)	-
182	CREE RESEARCH INC	-1/1/11	11/22/2011	4,743 04	7,027 37	(2,284 33)	C
18 000	CTRIIP COM INTL LTD	9/28/2011	8/28/2012	307 46	629 42	(321 96)	C
3 000	CTRIIP COM INTL LTD	9/28/2011	8/28/2012	51 24	104 90	(53 66)	C
3 000	CTRIIP COM INTL LTD	9/28/2011	8/28/2012	51 24	104 90	(53 66)	C
70 000	CTRIIP COM INTL LTD	5/30/2012	8/28/2012	1,195 69	1,308 30	(112 61)	C
40 000	CTRIIP COM INTL LTD	10/26/2011	8/28/2012	683 25	1,384 33	(701 08)	C
32 000	CTRIIP COM INTL LTD	11/4/2011	8/28/2012	546 60	1,134 48	(587 88)	C
78 000	CTRIIP COM INTL LTD	12/8/2011	8/28/2012	1,332 34	1,832.30	(499 96)	C
93 000	CTRIIP COM INTL LTD	2/8/2012	8/28/2012	1,588 56	2,340 45	(751 89)	C
55 000	CTRIIP COM INTL LTD	2/22/2012	8/28/2012	939 47	1,291 38	(351 91)	C
5 000	CTRIIP COM INTL LTD	5/30/2012	8/28/2012	85 41	93 45	(8 04)	C
131 000	CTRIIP COM INTL LTD	7/18/2012	8/28/2012	2,237 66	1,907 74	329 92	C

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
505 000	DANAHER CORPORATION UNSOLICITED TRA	8/5/2011	11/1/2011	23,857 71	22,293 32	1,564 39	C
14 000	DEERE & CO	1/9/2012	8/28/2012	1,040 32	1,157 77	(117 45)	C
14 000	DEERE & CO	2/16/2012	8/28/2012	1,040 32	1,160 74	(120 42)	C
24 000	DEERE & CO	3/13/2012	8/28/2012	1,783 38	1,943 16	(159 78)	C
31 000	DEERE & CO	12/12/2011	8/28/2012	2,303 56	2,251 15	52 41	
47	DENBURY RESOURCES INC NEW	1/27/2011	1/19/2012	836 67	869 50	(32 83)	C
70 000	DENBURY RESOURCES INC NEW	8/7/2012	8/28/2012	1,081 77	1,115 71	(33 94)	C
61	DOW CHEMICAL CO	7/26/2011	5/2/2012	2,019 51	2,203 81	(184 30)	C
6	DOW CHEMICAL CO	7/26/2011	5/15/2012	188 06	216 77	(28 71)	C
9	DOW CHEMICAL CO	8/1/2011	5/15/2012	282 10	313 77	(31 67)	C
9	DOW CHEMICAL CO	7/26/2011	5/15/2012	282 10	313 77	(31 67)	C
34	DOW CHEMICAL CO	8/1/2011	5/15/2012	1,065 70	1,185 37	(119 67)	C
18	DOW CHEMICAL CO	8/22/2011	5/15/2012	564 19	467 64	96 55	C
41	DOW CHEMICAL CO	8/22/2011	5/16/2012	1,274 23	1,065 17	209 06	C
48	DOW CHEMICAL CO	7/26/2011	5/16/2012	1,491 78	1,236 32	255 46	C
45	DOW CHEMICAL CO	8/18/2011	5/16/2012	1,398 54	1,225 83	172 71	C
37	DOW CHEMICAL CO	10/28/2011	5/16/2012	1,149 92	1,079 12	70 80	C
37 000	DU PONT EI DE NEMOURS & CO	1/9/2012	8/31/2012	1,849 22	1,725 16	124 06	C
90 000	EBAY INC	7/19/2012	8/28/2012	4,220 00	3,959 44	260 56	C
54 000	EMC CORP MASS	1/19/2012	8/31/2012	1,429 29	1,249 92	179.37	C
20	EMERSON ELECTRIC CO	5/2/2012	5/24/2012	951 17	986 80	(35 63)	C
83 000	EMERSON ELECTRIC CO	5/2/2012	8/28/2012	4,292 66	4,095 24	197 42	C
10 000	EMERSON ELECTRIC CO	5/16/2012	8/28/2012	517 19	479 33	37 86	C
20 000	EMERSON ELECTRIC CO	5/2/2012	8/28/2012	1,034 38	958 66	75 72	C
28 000	EMERSON ELECTRIC CO	5/23/2012	8/28/2012	1,448 13	1,339 68	108 45	C
19 000	EMERSON ELECTRIC CO	6/20/2012	8/28/2012	982 65	891 36	91 29	C
20 000	EOG RESOURCES INC	10/28/2011	8/28/2012	2,172 55	1,848 38	324 17	C
29 000	EOG RESOURCES INC	6/28/2012	8/28/2012	3,150 20	2,449 12	701 08	C
30	EOG RESOURCES INC	1/27/2011	12/15/2011	2,836 81	3,105 30	(268 49)	C
13	EOG RESOURCES INC	1/27/2011	12/21/2011	1,264 41	1,345 63	(81 22)	C
18	EQUINIX INC NEW	1/27/2011	1/3/2012	1,807 28	1,582 73	224 55	C
17	EQUINIX INC NEW	2/24/2011	2/14/2012	2,202 05	1,479 67	722 38	C
3	EQUINIX INC NEW	8/10/2011	2/14/2012	388 60	266 75	121 85	C
11	EQUINIX INC NEW	8/10/2011	3/9/2012	1,523 86	978 08	545 78	C
14	EQUINIX INC NEW	9/26/2011	3/9/2012	1,939 46	1,248.41	691 05	C
14	EQUINIX INC NEW	10/28/2011	3/9/2012	1,939 45	1,411 47	527 98	C
29 000	EQUINIX INC NEW	5/17/2012	8/28/2012	5,684 74	4,508 51	1,176 23	C
15	EQUINIX INC NEW	1/27/2011	12/15/2011	1,469 65	1,318 94	150 71	C
21	ESTEE LAUDER CO INC CL A	1/27/2011	11/4/2011	2,461 93	1,710 03	751 90	C
55 000	ESTEE LAUDER CO INC CL A	2/3/2012	8/28/2012	3,309 27	3,132 71	176 56	C
35 000	ESTEE LAUDER CO INC CL A	7/12/2012	8/28/2012	2,105 91	1,763 11	342 80	C
11	ESTEE LAUDER CO INC CL A	1/27/2011	12/5/2011	1,253 17	895 73	357 44	C
20	EXPRESS SCRIPTS HLDG CO COM	1/19/2012	5/24/2012	1,027 97	1,026 87	1 10	C
73 000	EXPRESS SCRIPTS HLDG CO COM	1/19/2012	8/28/2012	4,495 96	3,748 07	747 89	C
31 000	EXPRESS SCRIPTS HLDG CO COM	2/7/2012	8/28/2012	1,909 25	1,578 87	330 38	C
12	F5 NETWORKS INC	11/3/2011	5/2/2012	1,596 49	1,282 03	314 46	C
10	F5 NETWORKS INC	11/3/2011	5/24/2012	1,079 77	1,068 36	11 41	C
16	F5 NETWORKS INC	11/3/2011	6/7/2012	1,701 48	1,709.37	(7 89)	C
2	F5 NETWORKS INC	11/3/2011	6/20/2012	201 88	213 67	(11 79)	C
12	F5 NETWORKS INC	12/15/2011	6/20/2012	1,211 26	1,266 97	(55 71)	C
12	F5 NETWORKS INC	1/9/2012	6/20/2012	1,211 26	1,332 50	(121 24)	C
14	F5 NETWORKS INC	3/8/2012	6/20/2012	1,413 14	1,748 22	(335 08)	C
114 254	FIRST EAGLE OVERSEAS I	5/2/2011	1/19/2012	2,424 47	2,791 70	(367 23)	-
83 472	FIRST EAGLE OVERSEAS I	5/2/2011	4/3/2012	1,871 44	2,039.56	(168 12)	-
21 232	FIRST EAGLE OVERSEAS I	12/13/2011	8/24/2012	472 62	436.54	36 08	-
15 019	FIRST EAGLE OVERSEAS I	12/13/2011	8/24/2012	334 32	308 79	25 53	-
0 033	FIRST EAGLE OVERSEAS I	12/13/2011	8/24/2012	0 74	0 68	0 06	-
1,000 000	FNMA 4 5/8 10-15-13	1/17/2012	8/28/2012	1,049 32	1,048 43	0 89	-
2,000	FNMA 4 7/8 5-18-12	1/27/2011	1/17/2012	2,031 42	2,029 27	2 15	-
3,000 000	FNMA 5 3/8 6-12-17	1/20/2012	8/28/2012	3,641 45	3,558 65	82 80	-
4,000	FNMA 6 5/8 11-15-30	1/27/2011	1/17/2012	5,902 14	4,910 53	991 61	-

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
2,000 000	FNMA 6 5/8 11-15-30	1/20/2012	8/28/2012	3,082 98	2,871 29	211 69	—
7	FREEPORT MCMORAN CP&GLD	6/6/2011	5/24/2012	226 58	348 52	(121 94)	C
33 000	FREEPORT MCMORAN CP&GLD	11/2/2011	8/28/2012	1,184 02	1,307 17	(123 15)	C
41 000	FREEPORT MCMORAN CP&GLD	11/9/2011	8/28/2012	1,471 06	1,590 57	(119 51)	C
27 000	FREEPORT MCMORAN CP&GLD	1/19/2012	8/28/2012	968 75	1,210 43	(241 68)	C
30 000	FREEPORT MCMORAN CP&GLD	2/15/2012	8/28/2012	1,076 38	1,271 65	(195 27)	C
41 000	FREEPORT MCMORAN CP&GLD	3/7/2012	8/28/2012	1,471 06	1,592 40	(121 34)	C
3 000	FREEPORT MCMORAN CP&GLD	5/16/2012	8/28/2012	107 64	98 96	8 68	C
33 000	FREEPORT MCMORAN CP&GLD	6/5/2012	8/28/2012	1,184 01	1,069 66	114 35	C
31 000	FREEPORT MCMORAN CP&GLD	9/7/2011	8/28/2012	1,112 28	1,404 60	(292 32)	C
40 000	FREEPORT MCMORAN CP&GLD	5/16/2012	8/28/2012	1,435 18	1,319 42	115 76	C
17	FREEPORT MCMORAN CP&GLD	3/10/2011	12/15/2011	624 87	816 91	(192 04)	C
5,000	GECC 6 000 6-15-12	1/27/2011	1/17/2012	5,104 88	5,096 60	8 28	—
5,000	GENERAL DYNAMICS 4 1/4 5-15-13	1/27/2011	1/17/2012	5,249 65	5,210 96	38 69	—
155 000	GENL DYNAMICS CORP	2/1/2012	5/11/2012	10,343 89	10,803 69	(459 80)	C
160 000	GENL DYNAMICS CORP	2/2/2012	5/11/2012	10,677 56	11,150 48	(472 92)	C
40	GOLDCORP INC	7/28/2011	2/3/2012	1,899 97	1,957 59	(57 62)	C
28	GOLDCORP INC	7/28/2011	3/7/2012	1,299 77	1,370 31	(70 54)	C
34	GOLDCORP INC	7/28/2011	3/13/2012	1,570 14	1,663 95	(93 81)	C
22	GOLDCORP INC	7/28/2011	3/15/2012	973 65	1,076 67	(103 02)	C
5	GOLDCORP INC	8/16/2011	3/15/2012	221 28	252 30	(31 02)	C
9	GOLDCORP INC	8/22/2011	3/15/2012	398 31	485 20	(86 89)	C
30	GOLDCORP INC	8/22/2011	5/24/2012	1,112 67	1,617 35	(504 68)	C
22 000	GOLDCORP INC	12/15/2011	8/28/2012	889 44	998 17	(108 73)	C
7 000	GOLDCORP INC	4/26/2012	8/28/2012	282 99	272 33	10 66	C
44 000	GOLDCORP INC	10/28/2011	8/28/2012	1,778 89	2,212.14	(433 25)	C
30 000	GOLDCORP INC	4/26/2012	8/28/2012	1,212 87	1,167 11	45 76	C
582 718	GOLDMAN SACHS ABSLT RET TRCK I	2/1/2011	1/19/2012	5,256 12	5,480 66	(224 54)	—
12 624	GOLDMAN SACHS ABSLT RET TRCK I	12/7/2011	2/23/2012	115 38	113 62	1 76	—
47 314	GOLDMAN SACHS ABSLT RET TRCK I	12/7/2011	2/23/2012	432 49	425 83	6 66	—
312 141	GOLDMAN SACHS DYNAMIC ALL INST	2/23/2012	4/3/2012	3,352 39	3,396 09	(43 70)	C
3,255 142	GOLDMAN SACHS DYNAMIC ALL INST	2/23/2012	8/24/2012	35,904 22	35,415 94	488 28	C
15	GOLDMAN SACHS GRP INC	1/18/2012	4/18/2012	1,733 83	1,575 66	158 17	C
10	GOLDMAN SACHS GRP INC	1/18/2012	5/24/2012	966 87	1,050 44	(83 57)	C
22 000	GOLDMAN SACHS GRP INC	1/18/2012	8/28/2012	2,316 55	2,310 97	5 58	C
30 000	GOLDMAN SACHS GRP INC	2/3/2012	8/28/2012	3,158 93	3,507 60	(348 67)	C
13 000	GOLDMAN SACHS GRP INC	3/8/2012	8/28/2012	1,368 87	1,514 15	(145 28)	C
10 000	GOLDMAN SACHS GRP INC	1/18/2012	8/28/2012	1,052 98	1,004 62	48 36	C
5 000	GOLDMAN SACHS GRP INC	5/14/2012	8/28/2012	526 48	502 31	24 17	C
2	GOOGLE INC-CL A	10/19/2011	3/8/2012	1,214 26	1,177 89	36 37	C
2	GOOGLE INC-CL A	10/20/2011	3/8/2012	1,214 26	1,169 74	44 52	C
1	GOOGLE INC-CL A	10/24/2011	3/8/2012	607 13	597 14	9 99	C
4	GOOGLE INC-CL A	10/24/2011	4/2/2012	2,550 44	2,388 55	161 89	C
2	GOOGLE INC-CL A	1/20/2012	4/2/2012	1,275 22	1,171 43	103 79	C
3	GOOGLE INC-CL A	1/25/2012	4/2/2012	1,912 83	1,712 03	200 80	C
3	GOOGLE INC-CL A UNSOLICITED TRADE	10/19/2011	12/20/2011	1,892 44	1,766 83	125 61	C
79	HALLIBURTON CO	6/1/2011	4/26/2012	2,652.45	3,910 13	(1,257 68)	C
4	HALLIBURTON CO	8/10/2011	4/26/2012	134 30	173 99	(39 69)	C
14	HALLIBURTON CO	6/1/2011	4/26/2012	470 06	608 96	(138 90)	C
4	HALLIBURTON CO	6/1/2011	4/26/2012	134 30	173 99	(39 69)	C
2	HALLIBURTON CO	8/10/2011	4/26/2012	67 15	86 99	(19 84)	C
20	HALLIBURTON CO	8/15/2011	4/26/2012	671 51	941 56	(270 05)	C
15	HALLIBURTON CO	8/15/2011	5/24/2012	468 59	706 17	(237 58)	C
25	HALLIBURTON CO	6/29/2011	5/24/2012	780 98	882 36	(101 38)	C
6 000	HALLIBURTON CO	10/24/2011	8/28/2012	204 36	211 77	(7 41)	C
18 000	HALLIBURTON CO	10/28/2011	8/28/2012	613 07	696 40	(83 33)	C
33 000	HALLIBURTON CO	11/4/2011	8/28/2012	1,123 95	1,227 19	(103 24)	C
49.000	HALLIBURTON CO	11/9/2011	8/28/2012	1,668.90	1,786 75	(117 85)	C
56 000	HALLIBURTON CO	1/9/2012	8/28/2012	1,907 32	1,981 73	(74 41)	C
50 000	HALLIBURTON CO	2/21/2012	8/28/2012	1,702 96	1,851.47	(148 51)	C
10 000	HALLIBURTON CO	10/24/2011	8/28/2012	340 59	352 94	(12 35)	C

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
83	ILLUMINA INC	1/27/2011	1/18/2012	2,960 49	5,838 42	(2,877 93)	C
79	ILLUMINA INC	1/27/2011	1/25/2012	4,300 20	5,557 05	(1,256 85)	C
9	ILLUMINA INC	7/28/2011	1/30/2012	463 15	304 67	158 48	C
9	ILLUMINA INC	7/28/2011	1/30/2012	463 15	531 87	(68 72)	
4	ILLUMINA INC	7/28/2011	1/30/2012	205 85	236 38	(30 53)	C
30	ILLUMINA INC	8/22/2011	1/30/2012	1,543 85	1,401 51	142 34	C
6	ILLUMINA INC	8/29/2011	5/24/2012	259 13	308 16	(49 03)	C
31	ILLUMINA INC	9/20/2011	5/24/2012	1,338 86	1,395 23	(56 37)	C
8	ILLUMINA INC	8/22/2011	5/24/2012	345 51	373 73	(28 22)	C
5	ILLUMINA INC	8/22/2011	5/24/2012	215 95	233 59	(17 64)	C
12 000	ILLUMINA INC	9/20/2011	8/28/2012	497 85	540 09	(42 24)	C
21 000	ILLUMINA INC	9/28/2011	8/28/2012	871 24	890 57	(19 33)	C
43 000	ILLUMINA INC	10/7/2011	8/28/2012	1,783 97	1,170 58	613 39	C
80 000	ILLUMINA INC	11/4/2011	8/28/2012	3,319 01	2,593 66	725 35	C
58 000	ILLUMINA INC	12/15/2011	8/28/2012	2,406 28	1,577 14	829 14	C
23 000	ILLUMINA INC	4/16/2012	8/28/2012	954 21	1,035 64	(81 43)	C
44 000	ILLUMINA INC	4/18/2012	8/28/2012	1,825 45	1,924 10	(98 65)	C
31 000	ILLUMINA INC	10/2/2011	8/28/2012	1,286 11	1,270 44	15 67	C
8 000	ILLUMINA INC	9/3/2011	8/28/2012	331 90	327 86	4 04	C
29 000	ILLUMINA INC	8/22/2012	8/28/2012	1,203 14	1,210 48	(7 34)	C
16	INTERCONTINENTALEXCHANGE, INC	1/27/2011	11/16/2011	1,993 19	1,873 60	119 59	C
11 000	INTERCONTINENTALEXCHANGE, INC	1/5/2012	8/28/2012	1,524 78	1,288 00	236 78	C
11 000	INTERCONTINENTALEXCHANGE, INC	1/6/2012	8/28/2012	1,524 78	1,265 75	259 03	C
15 000	INTERCONTINENTALEXCHANGE, INC	5/3/2012	8/28/2012	2,079 26	1,944 36	134 90	C
14	INTERCONTINENTALEXCHANGE, INC	1/27/2011	12/15/2011	1,643 42	1,639 40	4 02	C
340	INTERPUBLIC GROUP OF COS INC	1/27/2011	1/20/2012	3,606 41	3,763 80	(157 39)	C
108	INTERPUBLIC GROUP OF COS INC	7/28/2011	1/20/2012	1,145.56	1,091 06	54 50	C
148	INTERPUBLIC GROUP OF COS INC	1/27/2011	12/21/2011	1,355 58	1,638 36	(282 78)	C
28	INTUIT INC	1/27/2011	11/3/2011	1,491 01	1,327 48	163 53	C
28 000	INTUIT INC	3/8/2012	8/28/2012	1,649 16	1,603 06	46 10	C
36 000	INTUIT INC	4/2/2012	8/28/2012	2,120 35	2,185 38	(65 03)	C
24 000	INTUIT INC	4/20/2012	8/28/2012	1,413 57	1,375 44	38 13	C
23	INTUIT INC UNSOLICITED TRADE	1/27/2011	12/15/2011	1,182 46	1,090 43	92 03	C
46 000	INTUITIVE SURGICAL INC	10/7/2011	5/15/2012	25,569 81	16,954 30	8,615 51	C
11 000	INTUITIVE SURGICAL INC UNSOLICITED TRAI	10/7/2011	12/30/2011	5,105 62	4,054 29	1,051 33	C
22 000	ISHARES BARCLAYS AGG BD FD	9/27/2011	1/19/2012	2,425 44	2,414 88	10 56	-
14 000	ISHARES BARCLAYS AGG.BD FD	9/27/2011	4/3/2012	1,528 62	1,536 74	(8 12)	-
183 000	ISHARES BARCLAYS AGG BD FD	9/27/2011	8/31/2012	20,510 18	20,087 45	422 73	-
16 000	ISHARES BARCLAYS TIPS BD FD	2/1/2011	1/19/2012	1,877 30	1,718 69	158 61	-
725 000	ISHARES GOLD TRUST	12/7/2011	5/16/2012	10,832 85	12,291 94	(1,459 09)	-
121 000	ISHARES HIGH DIVID EQ FD ETF	9/14/2011	1/19/2012	6,684 12	6,049 50	634 62	-
57 000	ISHARES HIGH DIVID EQ FD ETF	9/14/2011	4/3/2012	3,264 20	2,849 77	414 43	-
176 000	ISHARES HIGH DIVID EQ FD ETF	9/14/2011	7/30/2012	10,804 99	8,799 28	2,005 71	-
106 000	ISHARES HIGH DIVID EQ FD ETF	9/14/2011	8/31/2012	6,407 88	5,299 57	1,108 31	-
182 000	ISHARES HIGH DIVID EQ FD ETF	10/4/2011	8/31/2012	11,002 22	8,887 61	2,114 61	-
5,000	J P MORGAN CHASE 5 3/4 1-02-13	1/27/2011	1/17/2012	5,207 65	5,187 68	19 97	-
37,000 000	JOHNSON & JOHNSON 6 730 11-15-23	9/26/2011	6/6/2012	51,245 00	51,596 69	(351 69)	-
19	JOHNSON CONTROLS INCORPORATED	6/6/2011	2/29/2012	624 48	711 92	(87 44)	C
19	JOHNSON CONTROLS INCORPORATED	6/6/2011	2/29/2012	624 48	711 92	(87 44)	
7	JOHNSON CONTROLS INCORPORATED	6/6/2011	2/29/2012	230 07	262 28	(32 21)	C
6	JOHNSON CONTROLS INCORPORATED	8/1/2011	2/29/2012	197 20	223 53	(26.33)	C
6	JOHNSON CONTROLS INCORPORATED	8/1/2011	2/29/2012	197 20	223 52	(26 32)	C
6	JOHNSON CONTROLS INCORPORATED	8/1/2011	2/29/2012	197 20	223 53	(26 33)	
6	JOHNSON CONTROLS INCORPORATED	8/1/2011	2/29/2012	197 20	223 52	(26.32)	
9	JOHNSON CONTROLS INCORPORATED	8/1/2011	2/29/2012	295 81	335 29	(39 48)	C
9	JOHNSON CONTROLS INCORPORATED	8/1/2011	2/29/2012	295 81	335 29	(39 48)	
20	JOHNSON CONTROLS INCORPORATED	10/28/2011	2/29/2012	1,972 04	672 45	1,299 59	C
9	JOHNSON CONTROLS INCORPORATED	8/1/2011	2/29/2012	295 81	335 29	(39 48)	C
203 188	JP MORGAN HIBRG DYN COMM STRT	10/11/2011	4/3/2012	3,685 83	3,793 78	(107 95)	-
908 277	JP MORGAN HIBRG DYN COMM STRT	10/11/2011	8/24/2012	15,150 05	16,958 70	(1,808 65)	-
3 885	JP MORGAN HIBRG DYN COMM STRT	12/15/2011	8/24/2012	64 80	68 95	(4 15)	-

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
2 697	JP MORGAN HIBRG DYN COMM STRT	12/22/2011	8/24/2012	44 99	46 28	(1 29)	—
50 857	JP MORGAN HIBRG DYN COMM STRT	12/22/2011	8/24/2012	848 30	872 51	(24 21)	—
38	JPMORGAN CHASE & CO	11/22/2011	2/2/2012	1,435 44	1,139 24	296 20	C
42	JPMORGAN CHASE & CO	11/22/2011	2/16/2012	1,590 57	1,259 16	331 41	C
40	JPMORGAN CHASE & CO	11/22/2011	5/24/2012	1,359 56	1,199 20	160 36	C
122	JPMORGAN CHASE & CO	11/22/2011	7/18/2012	4,262 14	3,657 55	604 59	C
3 000	JPMORGAN CHASE & CO	11/22/2011	8/28/2012	111 78	89 94	21 84	C
57 000	JPMORGAN CHASE & CO	12/8/2011	8/28/2012	2,123 77	1,907 50	216 27	C
55 000	JPMORGAN CHASE & CO	12/15/2011	8/28/2012	2,049 25	1,756 58	292 67	C
37 000	JPMORGAN CHASE & CO	1/6/2012	8/28/2012	1,378 59	1,307 31	71 28	C
25 000	JPMORGAN CHASE & CO	5/14/2012	8/28/2012	931 48	903 74	27 74	C
105	JUNIPER NETWORKS	1/27/2011	11/3/2011	2,477 50	3,914 07	(1,436 57)	C
54	JUNIPER NETWORKS	2/24/2011	2/22/2012	1,286 63	2,298 99	(1,012 36)	C
1	JUNIPER NETWORKS	6/6/2011	2/22/2012	23 82	31 26	(7 44)	
16	JUNIPER NETWORKS	6/6/2011	2/22/2012	381 22	500 12	(118 90)	C
61	JUNIPER NETWORKS	7/12/2011	4/26/2012	1,286 65	1,916 20	(629 55)	C
21	JUNIPER NETWORKS	6/6/2011	4/26/2012	442 94	656 41	(213 47)	
77	JUNIPER NETWORKS	7/27/2011	4/26/2012	1,624 13	1,925 71	(301 58)	C
3	JUNIPER NETWORKS	7/28/2011	4/26/2012	63 28	72 43	(9 15)	C
71	JUNIPER NETWORKS	7/28/2011	5/23/2012	1,218 41	1,714 07	(495 66)	C
2	JUNIPER NETWORKS	10/20/2011	5/23/2012	34 32	40 91	(6 59)	C
71	JUNIPER NETWORKS	12/15/2011	5/23/2012	1,218 41	1,327 40	(108 99)	C
100	JUNIPER NETWORKS	10/5/2011	5/23/2012	1,716 07	1,923 33	(207 26)	
5	JUNIPER NETWORKS	10/20/2011	5/23/2012	85 80	102 26	(16 46)	
61	KINDER MORGAN INCORP	2/16/2011	12/8/2011	1,811 25	1,903 92	(92 67)	C
57	KINDER MORGAN INCORP	2/16/2011	12/21/2011	1,724 11	1,779 07	(54 96)	C
6	KINDER MORGAN INCORP	2/16/2011	2/3/2012	191 25	187 27	3 98	C
59	KINDER MORGAN INCORP	4/21/2011	2/3/2012	1,880 62	1,753 18	127 44	C
1	KINDER MORGAN INCORP	8/22/2011	4/2/2012	38 75	23 95	14 80	C
33	KINDER MORGAN INCORP	8/22/2011	4/2/2012	1,278 81	790 49	488 32	
3	KINDER MORGAN INCORP	8/22/2011	4/2/2012	116 25	71 86	44 39	
3	KINDER MORGAN INCORP	8/22/2011	4/2/2012	116 25	71 86	44 39	
6	KINDER MORGAN INCORP	8/29/2011	5/24/2012	195 96	151 20	44 76	C
25	KINDER MORGAN INCORP	10/21/2011	5/24/2012	816 48	725 63	90 85	C
19	KINDER MORGAN INCORP	8/22/2011	5/24/2012	620 52	455 13	165 39	
34	KINDER MORGAN INCORP	10/21/2011	7/31/2012	1,218 63	986 86	231 77	C
37	KINDER MORGAN INCORP	10/21/2011	8/7/2012	1,350 35	1,073 93	276 42	C
25 000	KINDER MORGAN INCORP	10/21/2011	8/28/2012	877 98	725 63	152 35	C
32 000	KINDER MORGAN INCORP	11/22/2011	8/28/2012	1,123 81	916 86	206 95	C
70 000	KINDER MORGAN INCORP	5/15/2012	8/28/2012	2,458 34	2,326 18	132 16	C
35 000	KINDER MORGAN INCORP	6/11/2012	8/28/2012	1,229 18	1,101 44	127 74	C
118 000	KINDER MORGAN INCORP	11/22/2011	8/28/2012	4,144 06	3,380 94	763 12	
340 000	KKR & CO LP	10/28/2011	8/31/2012	4,826 19	4,760 68	65 51	—
15 000	LABORATORY CP AMER HLDGS NEW	10/5/2011	8/28/2012	1,324 17	1,138 27	185 90	C
23 000	LABORATORY CP AMER HLDGS NEW	2/10/2012	8/28/2012	2,030 39	2,053 42	(23 03)	C
14 000	LABORATORY CP AMER HLDGS NEW	8/22/2012	8/28/2012	1,235 89	1,234 51	1 38	C
34	LINKEDIN CORP-A	1/30/2012	5/8/2012	3,760 88	2,560 28	1,200 60	C
14	LINKEDIN CORP-A	1/30/2012	5/14/2012	1,521 65	1,054 23	467 42	C
10	LINKEDIN CORP-A	1/30/2012	5/24/2012	987 17	753 02	234 15	C
6	LINKEDIN CORP-A	1/30/2012	6/21/2012	620 29	451 81	168 48	C
8	LINKEDIN CORP-A	2/2/2012	6/21/2012	827 06	612 91	214 15	C
13 000	LINKEDIN CORP-A	2/2/2012	8/28/2012	1,375 24	995 98	379 26	C
17 000	LINKEDIN CORP-A	3/8/2012	8/28/2012	1,798 39	1,543 93	254 46	C
18 000	LINKEDIN CORP-A	5/29/2012	8/28/2012	1,904 18	1,772 16	132 02	C
10 000	LINKEDIN CORP-A	6/5/2012	8/28/2012	1,057 87	924 19	133 68	C
88 000	MARKET VECTORS AGRIBUS ETF	1/9/2012	8/31/2012	4,378 78	4,306 96	71 82	C
25 000	MARKET VECTORS AGRIBUS ETF	1/19/2012	8/31/2012	1,243 97	1,273 44	(29 47)	C
128 093	MATTHEWS ASIAN CHINA INV	2/1/2011	1/19/2012	2,937 17	3,790 27	(853 10)	—
106 254	MATTHEWS ASIAN CHINA INV	12/8/2011	7/30/2012	2,234 52	2,333 34	(98 82)	—
0 602	MATTHEWS ASIAN CHINA INV	12/8/2011	7/30/2012	12 66	13 21	(0 55)	—
14 518	MATTHEWS ASIAN CHINA INV	12/8/2011	7/30/2012	305 32	318 82	(13 50)	—

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
75 115	MATTHEWS PACIFIC TIGER FUND	12/28/2011	4/3/2012	1,708 87	1,521 08	187 79	—
390 862	MATTHEWS PACIFIC TIGER FUND	12/28/2011	8/24/2012	8,645 87	7,914.96	730 91	—
30 000	MC CORMICK AND CO NON VOTING	8/22/2011	6/8/2012	1,673 97	1,340 51	333 46	C
50 000	MC DONALDS CORP	3/11/2011	1/25/2012	4,953 28	3,818 97	1,134 31	C
10	MERCADOLIBRE INC	5/1/2012	5/24/2012	746 08	994 71	(248 63)	C
20	MERCADOLIBRE INC	5/1/2012	5/31/2012	1,405 65	1,989 42	(583 77)	C
10	MERCADOLIBRE INC	5/1/2012	5/31/2012	702 83	980 13	(277 30)	C
10	MERCADOLIBRE INC	5/2/2012	5/31/2012	702 83	980 13	(277 30)	C
20	MERCADOLIBRE INC	5/14/2012	5/31/2012	1,405 65	1,509 97	(104 32)	C
350 000	MICROSOFT CORP	3/23/2012	10/26/2012	9,799 81	11,164 44	(1,364 63)	C
180 000	MICROSOFT CORP	3/26/2012	10/26/2012	5,039 90	5,848 20	(808 30)	C
10 000	MICROSOFT CORP	3/27/2012	10/26/2012	280 00	325 00	(45 00)	C
47,000 000	MICROSOFT CORP 4 000 2-08-21	8/4/2011	6/7/2012	54,285 00	50,909 39	3,375 61	—
22 000	MONSANTO CO/NEW	2/15/2012	8/28/2012	1,896 14	1,711 05	185 09	C
27 000	MONSANTO CO/NEW	3/26/2012	8/28/2012	2,327 08	2,161 17	165 91	C
70	NABORS INDUSTRIES LTD NEW	6/1/2011	5/23/2012	998 32	1,904 89	(906 57)	C
29	NABORS INDUSTRIES LTD NEW	8/15/2011	5/23/2012	413 59	578 77	(165 18)	C
21	NABORS INDUSTRIES LTD NEW	8/15/2011	5/23/2012	299 50	419 11	(119 61)	C
20	NABORS INDUSTRIES LTD NEW	8/15/2011	5/23/2012	285 24	399 16	(113 92)	
8	NABORS INDUSTRIES LTD NEW	8/15/2011	5/23/2012	114 09	159 66	(45 57)	
8	NABORS INDUSTRIES LTD NEW	8/15/2011	5/23/2012	114 09	159 66	(45 57)	
92	NABORS INDUSTRIES LTD NEW	9/20/2011	5/23/2012	1,312 08	1,594 79	(282.71)	
56	NABORS INDUSTRIES LTD NEW	10/14/2011	5/23/2012	798 66	848 21	(49 55)	
25	NABORS INDUSTRIES LTD NEW	10/14/2011	5/23/2012	356 54	378 66	(22 12)	C
84	NABORS INDUSTRIES LTD NEW	1/19/2012	5/23/2012	1,197 99	1,434 37	(236 38)	C
86	NABORS INDUSTRIES LTD NEW	4/2/2012	5/23/2012	1,226 53	1,526 55	(300 02)	C
5 000	NATIONAL OILWELL VARCO INC	4/26/2012	8/28/2012	387 44	385 82	1 62	C
15 000	NATIONAL OILWELL VARCO INC	5/14/2012	8/28/2012	1,162 32	1,008 06	154 26	C
25 000	NATIONAL OILWELL VARCO INC	5/23/2012	8/28/2012	1,937 22	1,696 83	240 39	C
20 000	NATIONAL OILWELL VARCO INC	4/26/2012	8/28/2012	1,549 76	1,543 28	6 48	
528 318	NATIXIS ASG GLOBAL ALTERNAT A	2/1/2011	1/19/2012	5,573 76	5,668 85	(95 09)	—
10 026	NATIXIS ASG GLOBAL ALTERNAT Y	4/12/2011	4/3/2012	106 88	109 51	(2 63)	—
16 161	NATIXIS ASG GLOBAL ALTERNAT Y	4/12/2011	4/3/2012	172 31	176 51	(4 20)	—
34	NETAPP INC COM	1/27/2011	11/16/2011	1,393 98	2,486 25	(1,092 27)	C
2	NETAPP INC COM	8/22/2011	3/8/2012	83 74	71 45	12 29	C
34	NETAPP INC COM	8/22/2011	3/8/2012	1,423 56	1,214 59	208 97	C
37	NETAPP INC COM	1/5/2012	3/8/2012	1,549 17	1,283 02	266 15	C
43	NETAPP INC COM	8/22/2011	3/8/2012	1,800 38	1,536 11	264 27	
2	NETAPP INC COM	8/22/2011	3/8/2012	83 74	71 45	12 29	
45	NETAPP INC COM	1/27/2011	11/3/2011	1,848 02	1,818 43	29 59	C
365 000	NEWELL RUBBERMAID INC	6/27/2011	1/27/2012	6,770 51	5,739 26	1,031 25	C
20	NOBLE ENERGY INC	1/27/2011	12/2/2011	1,951 73	1,718 40	233 33	C
25	NOVARTIS AG ADR	9/26/2011	5/9/2012	1,331 97	1,366 76	(34 79)	C
39	NOVARTIS AG ADR	9/28/2011	5/9/2012	2,077 87	2,199 08	(121 21)	C
40	NOVARTIS AG ADR	10/21/2011	5/9/2012	2,131 15	2,340 44	(209 29)	C
23	NOVARTIS AG ADR	1/9/2012	5/9/2012	1,225 42	1,311.62	(86 20)	C
111	NVIDIA CORPORATION	2/18/2011	11/3/2011	1,575 45	2,826.37	(1,250 92)	C
64 000	NVIDIA CORPORATION	11/16/2011	8/28/2012	916 51	952 27	(35 76)	C
88 000	NVIDIA CORPORATION	12/21/2011	8/28/2012	1,260 20	1,190 15	70 05	C
49 000	NVIDIA CORPORATION	5/2/2012	8/28/2012	701 70	631 73	69 97	C
99 000	NVIDIA CORPORATION	5/23/2012	8/28/2012	1,417 74	1,229 18	188 56	C
111 000	NVIDIA CORPORATION	11/16/2011	8/28/2012	1,589 57	1,709 36	(119 79)	
105 000	NVIDIA CORPORATION	4/26/2012	8/28/2012	1,503 65	1,369 59	134 06	
45 000	NVIDIA CORPORATION	5/2/2012	8/28/2012	644 42	580 16	64 26	
7 000	OCCIDENTAL PETROLEUM CORP DE	4/25/2012	8/28/2012	612 56	627 48	(14 92)	C
18 000	OCCIDENTAL PETROLEUM CORP DE	4/26/2012	8/28/2012	1,575 14	1,607 79	(32 65)	C
10 000	OCCIDENTAL PETROLEUM CORP DE	4/25/2012	8/28/2012	875 08	896 41	(21 33)	
20	OCCIDENTAL PETROLEUM CORP DE	1/27/2011	12/15/2011	1,744 96	1,922 76	(177 80)	C
345 000	PEPSICO INC NC	10/25/2011	5/15/2012	23,336 93	21,443 34	1,893 59	C
205 000	PHILIP MORRIS INTL INC	10/5/2011	5/14/2012	17,525 28	13,028 06	4,497 22	C
130.000	PHILIP MORRIS INTL INC	10/5/2011	5/16/2012	11,069.63	8,261 69	2,807 94	C

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
633 000	PIMCO ENHANCED SHORT MATURIT	2/23/2012	8/31/2012	64,150 57	63,915 21	235 36	C
359 000	PIMCO ENHANCED SHORT MATURIT	4/3/2012	8/31/2012	36,382 40	36,251 14	131 26	C
341 425	PIMCO INCOME P	9/14/2011	1/19/2012	3,738 60	3,823 96	(85 36)	-
278 511	PIMCO INCOME P	9/14/2011	4/3/2012	3,127 68	3,119 32	8 36	-
1,960 185	PIMCO INCOME P	9/14/2011	8/24/2012	23,149 78	21,954 07	1,195 71	-
5 000	PIMCO INCOME P	9/30/2011	8/24/2012	59 05	55 60	3 45	-
11 443	PIMCO INCOME P	10/31/2011	8/24/2012	135 14	127 36	7 78	-
9 054	PIMCO INCOME P	11/30/2011	8/24/2012	106 93	99 41	7 52	-
2 598	PIMCO INCOME P	12/7/2011	8/24/2012	30 68	28 40	2 28	-
19 331	PIMCO INCOME P	12/7/2011	8/24/2012	228 30	211 29	17 01	-
37 647	PIMCO INCOME P	12/28/2011	8/24/2012	444 61	407 72	36 89	-
12 650	PIMCO INCOME P	12/30/2011	8/24/2012	149 40	137 25	12 15	-
12 174	PIMCO INCOME P	1/31/2012	8/24/2012	143 77	134 89	8 88	C
11 471	PIMCO INCOME P	2/29/2012	8/24/2012	135 47	128 47	7 00	C
11 458	PIMCO INCOME P	3/30/2012	8/24/2012	135 32	129 02	6 30	C
10 402	PIMCO INCOME P	4/30/2012	8/24/2012	122 85	118 17	4 68	C
10 134	PIMCO INCOME P	5/31/2012	8/24/2012	119 68	115 02	4 66	C
10 099	PIMCO INCOME P	6/29/2012	8/24/2012	119 27	115 63	3 64	C
9 943	PIMCO INCOME P	7/31/2012	8/24/2012	117 44	116 14	1 30	C
170 000	POWERSHARES PREFERRED PORT	2/1/2011	1/19/2012	2,396 03	2,405 14	(9 11)	-
994 454	PRINCIPAL PREFERRED SEC A	7/23/2012	8/24/2012	10,322 43	10,153 38	169 05	C
984 408	PRINCIPAL PREFERRED SEC A	7/24/2012	8/24/2012	10,218 16	10,050 81	167 35	C
8 733	PRINCIPAL PREFERRED SEC A	7/31/2012	8/24/2012	90 65	89 25	1 40	C
165 000	PROCTER & GAMBLE	4/1/2011	1/24/2012	10,643 15	10,232 15	411 00	C
175 000	PROCTER & GAMBLE	4/1/2011	1/24/2012	11,268 15	10,852 28	415 87	C
170 000	PROCTER & GAMBLE	4/1/2011	1/25/2012	11,049 88	10,542 21	507 67	C
20	PROLOGIS INC COM	1/5/2012	5/24/2012	632 18	569 46	62 72	C
141 000	PROLOGIS INC COM	1/5/2012	8/28/2012	4,782 61	4,014 66	767 95	C
177 000	PROSHARES SHORT 20+TREASURY	1/24/2012	6/4/2012	5,036 11	5,741 12	(705 01)	C
544 965	PUTNAM ABSOLUTE RET 700 Y	2/1/2011	1/19/2012	5,967 37	6,223 75	(256 38)	-
156 479	PUTNAM ABSOLUTE RET 700 Y	12/22/2011	8/24/2012	1,840 19	1,699 35	140 84	-
145 000	PWR SH DB US \$ IND BULL FD ETF	9/26/2011	1/19/2012	3,245 36	3,219 74	25 62	-
643 000	PWR SH DB US \$ IND BULL FD ETF	9/26/2011	2/8/2012	14,090 68	14,277 88	(187 20)	-
643 000	PWR SH DB US \$ IND BULL FD ETF	9/26/2011	5/18/2012	14,448 07	14,277 88	170 19	-
1,486 000	PWR SH DB US \$ IND BULL FD ETF UNSOLICI	-1/1/11	11/1/2011	32,441 13	31,711 24	729 89	C
25	QUALCOMM INC	1/27/2011	1/20/2012	1,446 13	1,373 11	73 02	C
24 000	QUALCOMM INC	12/15/2011	8/28/2012	1,494 03	1,261 99	232 04	C
9 000	QUALCOMM INC	4/19/2012	8/28/2012	560 26	574 43	(14 17)	C
33 000	QUALCOMM INC	5/23/2012	8/28/2012	2,054 30	1,921 12	133 18	C
19 000	QUALCOMM INC	6/5/2012	8/28/2012	1,182 78	1,083 93	98 85	C
37 000	QUALCOMM INC	7/26/2012	8/28/2012	2,303 30	2,153 04	150 26	C
26	RACKSPACE HOSTING INC COM	2/14/2012	5/17/2012	1,334 31	1,418 86	(84 55)	C
19	RACKSPACE HOSTING INC COM	2/14/2012	5/17/2012	975 11	1,036.89	(61 78)	C
10	RACKSPACE HOSTING INC COM	2/14/2012	5/24/2012	507 08	545 72	(38 64)	C
22	RACKSPACE HOSTING INC COM	2/14/2012	8/21/2012	1,224 68	1,200 59	24 09	C
17 000	RACKSPACE HOSTING INC COM	2/14/2012	8/28/2012	1,011 95	927 73	84 22	C
30 000	RACKSPACE HOSTING INC COM	3/8/2012	8/28/2012	1,785 80	1,612 33	173 47	C
27 000	RACKSPACE HOSTING INC COM	3/9/2012	8/28/2012	1,607 22	1,460 78	146 44	C
26 000	RACKSPACE HOSTING INC COM	3/5/2012	8/28/2012	1,547 70	1,174 95	372 75	C
10 000	RACKSPACE HOSTING INC COM	3/10/2012	8/28/2012	595 27	439 15	156 12	C
20 000	RACKSPACE HOSTING INC COM	6/18/2012	8/28/2012	1,190 53	878 29	312 24	C
48 000	RACKSPACE HOSTING INC COM	7/18/2012	8/28/2012	2,857 29	2,063 29	794 00	C
34 000	RALPH LAUREN CORP CL A	5/23/2012	8/28/2012	5,425 25	4,949.83	475.42	C
6 000	RALPH LAUREN CORP CL A	6/5/2012	8/28/2012	957 40	858 11	99 29	C
9 000	RALPH LAUREN CORP CL A	6/20/2012	8/28/2012	1,436 10	1,327 85	108 25	C
8 000	RALPH LAUREN CORP CL A	7/6/2012	8/28/2012	1,276 53	1,178 55	97 98	C
56	RED HAT INC	1/27/2011	11/3/2011	2,787 75	2,351.67	436.08	C
23 000	RED HAT INC	12/20/2011	8/28/2012	1,305 22	967 05	338 17	C
26 000	RED HAT INC	6/5/2012	8/28/2012	1,475 47	1,373 57	101 90	C
31.000	RED HAT INC	6/21/2012	8/28/2012	1,759 22	1,657 05	102 17	C
158	RIVERBED TECH INC UNSOLICITED TRADE	11/3/2011	12/16/2011	3,693 06	4,612 46	(919 40)	C

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
20	ROCHE HOLDINGS ADR	5/9/2012	5/24/2012	791.38	848.87	(57.49)	C
33	ROCHE HOLDINGS ADR	5/9/2012	7/13/2012	1,405.00	1,400.64	4.36	C
58 000	ROCHE HOLDINGS ADR	5/9/2012	8/28/2012	2,657.50	2,461.74	195.76	C
39 000	ROCHE HOLDINGS ADR	5/23/2012	8/28/2012	1,786.93	1,552.20	234.73	C
20 000	ROCHE HOLDINGS ADR	5/23/2012	8/28/2012	916.38	796.00	120.38	
20	ROCKWELL AUTOMATION INC	2/3/2012	5/24/2012	1,514.76	1,633.37	(118.61)	C
42 000	ROCKWELL AUTOMATION INC	2/3/2012	8/28/2012	3,043.49	3,430.07	(386.58)	C
25 000	ROCKWELL AUTOMATION INC	3/6/2012	8/28/2012	1,811.60	1,911.87	(100.27)	C
20 000	ROCKWELL AUTOMATION INC	4/17/2012	8/28/2012	1,449.28	1,599.49	(150.21)	C
20 000	ROCKWELL AUTOMATION INC	7/6/2012	8/28/2012	1,449.28	1,539.66	(90.38)	C
20 000	ROCKWELL AUTOMATION INC	7/6/2012	8/28/2012	1,449.28	1,291.65	157.63	
19	SALESFORCE COM, INC	1/27/2011	11/3/2011	2,505.42	2,467.53	37.89	C
2	SALESFORCE COM, INC	8/22/2011	5/24/2012	291.53	223.23	68.30	C
2 000	SALESFORCE COM, INC	8/29/2011	8/28/2012	292.31	244.96	47.35	C
11 000	SALESFORCE COM, INC	12/15/2011	8/28/2012	1,607.72	1,176.98	430.74	C
17 000	SALESFORCE COM, INC	12/21/2011	8/28/2012	2,484.66	1,626.00	858.66	C
14 000	SALESFORCE COM, INC	1/6/2012	8/28/2012	2,046.19	1,409.99	636.20	C
10 000	SALESFORCE COM, INC	6/5/2012	8/28/2012	1,461.57	1,339.43	122.14	C
18 000	SALESFORCE COM, INC	7/26/2012	8/28/2012	2,630.83	2,246.90	383.93	C
90	SAP AG UNSOLICITED TRADE	11/7/2011	12/21/2011	4,668.88	5,449.08	(780.20)	C
19	SCHLUMBERGER LTD	10/24/2011	3/16/2012	1,440.60	1,315.12	125.48	C
10	SCHLUMBERGER LTD	5/23/2012	5/24/2012	655.08	671.15	(16.07)	C
67 000	SCHLUMBERGER LTD	5/23/2012	8/28/2012	4,973.30	4,496.70	476.60	C
145	SHAW GROUP INCORPORATED	10/24/2011	6/6/2012	2,957.20	2,468.09	489.11	C
235 000	SIRONA DENTAL SYSTEMS INC	11/2/2011	2/2/2012	11,440.73	10,869.34	571.39	C
99 000	SPDR GOLD TR GOLD SHS	4/3/2012	8/31/2012	15,951.51	15,809.90	141.61	-
20 000	SPDR TRUST SERIES 1	4/3/2012	7/30/2012	2,773.63	2,821.30	(47.67)	C
925 000	STAPLES INC	3/14/2011	1/13/2012	13,744.31	18,666.32	(4,922.01)	C
230 000	STAPLES INC	4/25/2011	1/13/2012	3,417.51	4,736.21	(1,318.70)	C
134	STARWOOD HTLS & RSTS WW INC	-1/1/11	11/22/2011	6,187.81	7,439.33	(1,251.52)	C
180 000	T ROWE PRICE GROUP INC	1/25/2012	5/9/2012	10,780.19	10,852.49	(72.30)	C
195 000	T ROWE PRICE GROUP INC	1/30/2012	5/9/2012	11,678.54	11,309.86	368.68	C
20	THERMO FISHER SCIENTIFIC INC	8/4/2011	5/24/2012	1,039.77	1,111.60	(71.83)	C
25 000	THERMO FISHER SCIENTIFIC INC	10/7/2011	8/28/2012	1,407.97	1,258.73	149.24	C
31 000	THERMO FISHER SCIENTIFIC INC	10/26/2011	8/28/2012	1,745.88	1,496.88	249.00	C
5 000	THERMO FISHER SCIENTIFIC INC	5/23/2012	8/28/2012	281.59	250.88	30.71	C
36 000	THERMO FISHER SCIENTIFIC INC	7/18/2012	8/28/2012	2,027.50	1,914.18	113.32	C
20 000	THERMO FISHER SCIENTIFIC INC	5/23/2012	8/28/2012	1,126.37	1,003.52	122.85	
80	THERMO FISHER SCIENTIFIC INC	8/4/2011	12/8/2011	3,638.12	4,446.39	(808.27)	C
36	TOYOTA MOTOR CP ADR NEW	4/5/2011	11/3/2011	2,335.68	2,806.57	(470.89)	C
20	TOYOTA MOTOR CP ADR NEW	4/5/2011	2/3/2012	1,527.77	1,559.21	(31.44)	C
2	TOYOTA MOTOR CP ADR NEW	9/20/2011	5/24/2012	153.94	142.39	11.55	C
2	TOYOTA MOTOR CP ADR NEW	9/20/2011	5/24/2012	153.94	142.39	11.55	
17	TOYOTA MOTOR CP ADR NEW	9/20/2011	5/24/2012	1,308.52	1,210.35	98.17	C
26	TOYOTA MOTOR CP ADR NEW	12/8/2011	5/24/2012	2,001.29	1,750.96	250.33	C
19 000	UNDER ARMOUR INC CL A	9/2/2011	4/3/2012	1,860.39	1,266.92	593.47	C
110 000	UNDER ARMOUR INC CL A	9/2/2011	8/31/2012	6,394.95	7,334.78	(939.83)	C
42,000 000	UNITED TECH CORP 6 700 8-01-28	11/14/2011	6/6/2012	55,125.00	55,028.80	96.20	-
135 000	UNITED TECHNOLOGIES CORP	12/9/2011	5/15/2012	10,291.08	10,297.38	(6.30)	C
145 000	UNITED TECHNOLOGIES CORP	12/9/2011	6/7/2012	10,901.10	11,060.15	(159.05)	C
32,000 000	US TSY BOND 3 1/8 11-15-41	1/31/2012	6/1/2012	35,802.49	33,093.44	2,709.05	-
21,000 000	US TSY BOND 3 1/8 11-15-41	2/1/2012	6/1/2012	23,495.39	21,613.22	1,882.17	-
5,000 000	US TSY BOND 3 1/8 11-15-41	2/10/2012	6/1/2012	5,594.14	5,018.46	575.68	-
10,000 000	US TSY BOND 3 000 5-15-42	8/1/2012	8/28/2012	10,557.77	10,809.60	(251.83)	-
4,000	US TSY BOND 4 3/8 11-15-39	1/27/2011	1/17/2012	5,184.51	3,869.86	1,314.65	-
2,000	US TSY BOND 4 3/8 11-15-39	8/29/2011	8/1/2012	2,735.31	2,275.43	459.88	-
1,000	US TSY BOND 4 5/8 2-15-40	8/31/2011	1/17/2012	1,346.71	1,196.56	150.15	-
3,000	US TSY NOTE 1 1/4 8-31-15	1/27/2011	1/17/2012	3,084.83	2,926.42	158.41	-
3,000	US TSY NOTE 1 1/4 8-31-15	3/3/2011	1/17/2012	3,084.83	2,895.83	189.00	-
4,000	US TSY NOTE 1 1/4 8-31-15	7/11/2011	1/17/2012	4,113.11	4,019.15	93.96	-
1,000	US TSY NOTE 1 1/4 8-31-15	7/11/2011	5/25/2012	1,025.50	1,004.32	21.18	-

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
4,000 000	US TSY NOTE 1 1/4 8-31-15	8/29/2011	8/28/2012	4,105 92	4,070.77	35 15	—
2,000	US TSY NOTE 1 000 8-31-16	8/31/2011	1/17/2012	2,026 95	2,003 32	23 63	—
2,000	US TSY NOTE 1 000 8-31-16	8/31/2011	5/25/2012	2,030 46	2,003 08	27 38	—
2,000 000	US TSY NOTE 1 000 8-31-16	11/30/2011	8/28/2012	2,039 05	2,009 60	29 45	—
1,000 000	US TSY NOTE 1 000 8-31-16	1/20/2012	8/28/2012	1,019 53	1,007 99	11 54	—
2,000	US TSY NOTE 1/4 2-28-14	3/14/2012	5/25/2012	1,998 74	1,995 24	3 50	—
9,000 000	US TSY NOTE 1/4 2-28-14	3/14/2012	8/28/2012	9,000 32	8,978 58	21 74	—
20,000	US TSY NOTE 2 1/8 11-30-14	1/27/2011	1/17/2012	21,016 32	20,403 32	613 00	—
8,000 000	US TSY NOTE 2 1/8 11-30-14	8/29/2011	8/28/2012	8,328 41	8,300 50	27 91	—
2,000	US TSY NOTE 2 5/8 11-15-20	8/31/2011	1/17/2012	2,157 65	2,089 12	68 53	—
1,000	US TSY NOTE 2 5/8 11-15-20	10/5/2011	2/1/2012	1,082 50	1,071 08	11 42	—
5,000	US TSY NOTE 2 000 11-15-21	2/1/2012	3/14/2012	4,917 17	5,075 56	(158 39)	—
2,000	US TSY NOTE 2 000 11-15-21	2/1/2012	5/25/2012	2,056 24	2,029 63	26 61	—
10,000 000	US TSY NOTE 2 000 11-15-21	2/1/2012	8/28/2012	10,427 30	10,144 57	282.73	—
1,000 000	US TSY NOTE 2 000 11-15-21	3/30/2012	8/28/2012	1,042 73	989 03	53 70	—
17,000	US TSY NOTE 3 3/8 11-15-19	1/27/2011	1/17/2012	19,424 42	17,250 39	2,174 03	—
6,000	US TSY NOTE 3 3/8 11-15-19	8/29/2011	2/1/2012	6,873 73	6,655 73	218 00	—
1,000	US TSY NOTE 3 5/8 2-15-21	3/3/2011	1/17/2012	1,162 61	1,004 50	158 11	—
1,000	US TSY NOTE 3 5/8 2-15-21	3/3/2011	2/1/2012	1,165 58	1,004 49	161 09	—
2,000	US TSY NOTE 3/8 10-31-12	1/17/2012	5/25/2012	2,001 79	2,004 22	(2 43)	—
13,000 000	US TSY NOTE 3/8 10-31-12	1/17/2012	8/28/2012	13,005 54	13,027.46	(21 92)	—
1,000	US TSY NOTE 7/8 1-31-17	2/3/2012	5/25/2012	1,007 57	1,005 31	2 26	—
3,000 000	US TSY NOTE 7/8 1-31-17	2/3/2012	8/28/2012	3,037 02	3,015 12	21 90	—
1,000 000	US TSY NOTE 7/8 1-31-17	3/30/2012	8/28/2012	1,012 34	995 16	17 18	—
218 000	VANGUARD INTERMEDIATE TERM BND	1/9/2012	8/31/2012	19,545 90	18,989 61	556 29	C
254 000	VANGUARD REIT ETF	4/3/2012	8/31/2012	16,977 43	16,194 58	782 85	C
4,000	VERIZON GLOBAL 4 3/8 6-01-13	1/27/2011	1/17/2012	4,191 76	4,171 39	20 37	—
70 000	WAL MART STORES INC	6/21/2011	6/7/2012	4,611 47	3,710 00	901 47	C
90 000	WALGREEN CO	8/22/2011	3/1/2012	2,965 24	3,158 33	(193 09)	C
30 000	WALGREEN CO	10/5/2011	3/1/2012	988 41	990 34	(1 93)	C
30 000	WALGREEN CO	2/3/2012	3/1/2012	988 42	998 14	(9.72)	C
5,000	WAL-MART STORES 4 550 5-01-13	1/27/2011	1/17/2012	5,264 25	5,224 68	39 57	—
130 000	WALT DISNEY CO HLDG CO	10/5/2011	1/25/2012	5,124 64	4,010 38	1,114 26	C
46 000	WALT DISNEY CO HLDG CO	12/28/2011	4/3/2012	1,986 86	1,716 14	270 72	C
555 000	WALT DISNEY CO HLDG CO	10/5/2011	5/9/2012	25,202 87	17,121 24	8,081 63	C
46 000	WALT DISNEY CO HLDG CO	10/5/2011	8/28/2012	2,280 63	1,443 35	837 28	C
144 000	WALT DISNEY CO HLDG CO	12/28/2011	8/31/2012	7,166 54	5,372 27	1,794 27	C
102 000	WALT DISNEY CO HLDG CO	1/19/2012	8/31/2012	5,076.30	4,017 78	1,058 52	C
47	WALT DISNEY CO HLDG CO	1/27/2011	12/15/2011	1,655 85	1,855 34	(199 49)	C
157	WELLS FARGO & CO NEW	8/2/2011	1/18/2012	4,739 09	4,354 10	384 99	C
32	WELLS FARGO & CO NEW	8/2/2011	1/19/2012	965 18	887 46	77 72	C
5	WELLS FARGO & CO NEW	8/10/2011	1/19/2012	150 81	116 31	34 50	C
5	WELLS FARGO & CO NEW	8/2/2011	1/19/2012	150 81	128 99	21 82	C
6	WELLS FARGO & CO NEW	8/10/2011	1/19/2012	180 97	139 57	41 40	C
46	WELLS FARGO & CO NEW	8/10/2011	4/16/2012	1,528 76	1,070 02	458 74	C
2	WELLS FARGO & CO NEW	8/10/2011	5/14/2012	65 23	46 52	18 71	C
10	WELLS FARGO & CO NEW	8/16/2011	5/14/2012	326 14	244 30	81 84	C
35	WELLS FARGO & CO NEW	9/28/2011	5/14/2012	1,141 51	879 16	262 35	C
30	WELLS FARGO & CO NEW	9/28/2011	5/24/2012	949 47	753 57	195 90	C
19 000	WELLS FARGO & CO NEW	9/28/2011	8/28/2012	648 27	477 26	171 01	C
86 000	WELLS FARGO & CO NEW	10/12/2011	8/28/2012	2,934 25	2,339 95	594 30	C
42 000	WELLS FARGO & CO NEW	10/14/2011	8/28/2012	1,433.01	1,106 35	326 66	C
46 000	WELLS FARGO & CO NEW	12/15/2011	8/28/2012	1,569 48	1,185 31	384 17	C
51 000	WELLS FARGO & CO NEW	7/18/2012	8/28/2012	1,740 08	1,732 61	7 47	C
234	WEYERHAEUSER CO	1/27/2011	1/5/2012	4,355 63	5,342 85	(987 22)	C
61	WEYERHAEUSER CO	1/27/2011	1/19/2012	1,282 00	1,392 79	(110 79)	C
8	WEYERHAEUSER CO	1/27/2011	1/19/2012	168 14	182 67	(14 53)	C
34	WEYERHAEUSER CO	6/6/2011	6/5/2012	657 99	698 24	(40 25)	C
11	WEYERHAEUSER CO	6/6/2011	6/5/2012	212 88	225 90	(13 02)	C
89 000	WEYERHAEUSER CO	10/12/2011	8/28/2012	2,186 41	1,525 65	660 76	C
41 000	WEYERHAEUSER CO	10/28/2011	8/28/2012	1,007 22	749 61	257 61	C

Short-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
61 000	WEYERHAEUSER CO	2/15/2012	8/28/2012	1,498 56	1,212 26	286 30	
61 000	YUM BRANDS INC	7/19/2012	8/28/2012	3,906 96	4,026 61	(119 65)	C
20 000	YUM BRANDS INC	8/24/2012	9/4/2012	1,258 77	1,278 94	(20 17)	C
Total Short-Term				2,040,512.90	1,981,886.02	58,626.88	

Long-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
80 000	3M COMPANY	10/18/2004	8/23/2012	7,380 66	6,078 66	1,302 00	—
85 000	3M COMPANY	10/18/2004	8/31/2012	7,857 22	6,458 58	1,398 64	—
107 000	ABBOTT LABORATORIES	8/23/2011	10/5/2012	7,653 14	5,367 32	2,285 82	C
113 000	ALLSTATE CORP	12/2/2008	8/9/2012	4,295 37	2,560 60	1,734 77	—
26	AMAZON COM INC	1/27/2011	4/30/2012	6,019 99	4,713 27	1,306 72	C
10	AMAZON COM INC	1/27/2011	5/24/2012	2,141 85	1,812 80	329 05	C
6	AMAZON COM INC	1/27/2011	7/6/2012	1,363 28	1,087 68	275 60	C
6	AMAZON COM INC	1/27/2011	7/19/2012	1,345 00	1,087 68	257 32	C
5	AMAZON COM INC	8/8/2011	8/23/2012	1,205 80	970 50	235 30	C
65 000	AMERICAN EXPRESS CO	2/1/2011	8/31/2012	3,748 46	2,834 65	913 81	C
240 000	APOLLO GLBL MGMT LLC CL-A SHS	6/1/2011	8/28/2012	3,186 53	4,322 40	(1,135 87)	—
25 000	APOLLO GLBL MGMT LLC CL-A SHS	8/3/2011	8/28/2012	331 93	419 90	(87 97)	—
9 000	APOLLO GLBL MGMT LLC CL-A SHS	6/1/2011	8/28/2012	119 49	151 16	(31 67)	—
9 000	APOLLO GLBL MGMT LLC CL-A SHS	8/3/2011	8/28/2012	119 49	151 16	(31 67)	—
16 000	APOLLO GLBL MGMT LLC CL-A SHS	8/3/2011	8/28/2012	212 44	268 73	(56 29)	—
16 000	APOLLO GLBL MGMT LLC CL-A SHS	6/1/2011	8/28/2012	212 44	268 73	(56 29)	—
85 000	APOLLO GLBL MGMT LLC CL-A SHS	8/12/2011	8/28/2012	1,128 56	1,167 36	(38 80)	—
7	APPLE INC	1/27/2011	3/6/2012	3,705 47	2,408 14	1,297 33	C
4	APPLE INC	1/27/2011	3/26/2012	2,425 41	1,376 08	1,049 33	C
7 000	APPLE INC	2/1/2011	4/3/2012	4,399 20	2,413 95	1,985 25	C
2	APPLE INC	1/27/2011	4/19/2012	1,199 17	688 04	511 13	C
4	APPLE INC	1/27/2011	5/17/2012	2,150 63	1,376 08	774 55	C
10	APPLE INC	1/27/2011	5/24/2012	5,645 37	3,440 20	2,205 17	C
3 000	APPLE INC	1/27/2011	8/28/2012	2,016 76	1,032 06	984 70	C
7 000	APPLE INC	3/3/2011	8/28/2012	4,705 78	2,514 84	2,190 94	C
4 000	APPLE INC	1/28/2011	8/28/2012	2,689 02	1,306 06	1,382 96	C
1 000	APPLE INC	6/15/2011	8/28/2012	672 25	326 74	345 51	C
7 000	APPLE INC	8/8/2011	8/28/2012	4,705 78	2,527 18	2,178 60	C
1 000	APPLE INC	2/1/2011	8/31/2012	667 25	344 85	322 40	C
208 000	AT&T INC	7/25/2006	8/9/2012	7,737 02	5,894 41	1,842 61	—
130 000	AT&T INC	7/25/2006	8/23/2012	4,756 73	3,684 01	1,072 72	—
45	BABCOCK & WILCOX COMPANY	1/27/2011	5/24/2012	1,074 12	1,335.59	(261 47)	C
15	BABCOCK & WILCOX COMPANY	1/27/2011	5/24/2012	358 04	445 19	(87 15)	C
102 000	BABCOCK & WILCOX COMPANY	1/27/2011	8/28/2012	2,513 51	3,027 33	(513 82)	C
97 000	BABCOCK & WILCOX COMPANY	3/18/2011	8/28/2012	2,390 30	2,960 89	(570 59)	C
10 000	BABCOCK & WILCOX COMPANY	1/27/2011	8/28/2012	246 42	272 03	(25 61)	C
64 000	BABCOCK & WILCOX COMPANY	1/27/2011	8/28/2012	1,577 10	1,740 99	(163 89)	C
50	BARRICK GOLD CORP	1/27/2011	2/3/2012	2,440 65	2,329 34	111 31	C
31	BARRICK GOLD CORP	1/27/2011	3/13/2012	1,411 39	1,444 19	(32 80)	C
33	BARRICK GOLD CORP	1/27/2011	3/15/2012	1,436 36	1,537 37	(101 01)	C
30	BARRICK GOLD CORP	1/27/2011	5/24/2012	1,174 47	1,397 61	(223 14)	C
32 000	BARRICK GOLD CORP	1/27/2011	8/28/2012	1,219 49	1,490 78	(271 29)	C
49 000	BARRICK GOLD CORP	3/14/2011	8/28/2012	1,867 35	2,490.37	(623 02)	C
24 000	BLACKROCK INC	6/16/2010	1/27/2012	4,494 88	3,911 01	583 87	—
110 000	C R BARD INC NJ	9/17/2010	7/3/2012	11,839 38	8,841 61	2,997 77	—
25 000	C R BARD INC NJ	12/7/2010	7/3/2012	2,690 77	2,159 82	530 95	—
90 000	C R BARD INC NJ	12/7/2010	7/5/2012	9,730 88	7,775 36	1,955 52	—
47	CAMECO CORP	1/27/2011	5/14/2012	991 51	1,828 30	(836 79)	C
28	CAMECO CORP	3/14/2011	5/14/2012	590 68	901 38	(310 70)	C
37	CAMECO CORP	3/14/2011	5/24/2012	708 53	1,191 11	(482 58)	C
28 000	CAMECO CORP	1/27/2011	8/28/2012	626 96	791 29	(164 33)	C
15 000	CAMECO CORP	6/1/2011	8/28/2012	335 87	423 90	(88 03)	C
17 000	CAMECO CORP	6/1/2011	8/28/2012	380 65	480 42	(99 77)	C
19 000	CELGENE CORP	2/1/2011	4/3/2012	1,507 42	1,000.35	507 07	C
34 000	CELGENE CORP	2/1/2011	8/31/2012	2,432 98	1,790.10	642 88	C
130 000	CLEARBRIDGE ENERGY MLP FD INC	2/1/2011	8/31/2012	3,081 33	2,653.95	427 38	C
170 000	COCA COLA CO	10/14/2008	7/16/2012	12,981 10	7,671 52	5,309 58	—
123 000	COHEN & STEERS CEF OPP FD,INC	2/8/2011	4/3/2012	1,583 90	1,622 55	(38 65)	—
18 000	COHEN & STEERS CEF OPP FD,INC	2/9/2011	4/3/2012	231 79	234 44	(2 65)	—
94 000	COHEN & STEERS CEF OPP FD,INC	2/9/2011	8/31/2012	1,193 04	1,224 27	(31 23)	—
152 000	COHEN & STEERS CEF OPP FD,INC	2/10/2011	8/31/2012	1,929 17	1,992 05	(62 88)	—

Long-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
212 000	COHEN & STEERS CEF OPP FD,INC	2/14/2011	8/31/2012	2,690 68	2,799 59	(108 91)	-
48	CTRIIP COM INTL LTD	1/27/2011	5/24/2012	888 46	2,115 29	(1,226 83)	C
22	CTRIIP COM INTL LTD	2/11/2011	5/24/2012	407 21	950 70	(543 49)	C
21 000	CTRIIP COM INTL LTD	2/11/2011	8/28/2012	358 71	907 49	(548 78)	C
53 000	CTRIIP COM INTL LTD	3/10/2011	8/28/2012	905 31	2,053 97	(1,148 66)	C
12	CUMMINS INC	1/27/2011	2/3/2012	1,438 28	1,339 48	98 80	C
9	CUMMINS INC	1/27/2011	5/24/2012	898 53	1,004 61	(106 08)	C
1	CUMMINS INC	1/27/2011	5/24/2012	99 84	111 62	(11 78)	C
13	CUMMINS INC	1/27/2011	8/24/2012	1,301 50	1,451 10	(149 60)	C
30	DEERE & CO	1/27/2011	5/24/2012	2,260 44	2,726 70	(466 26)	C
14	DEERE & CO	1/27/2011	7/6/2012	1,129 76	1,272 46	(142 70)	C
28	DEERE & CO	1/27/2011	7/18/2012	2,116 00	2,544 92	(428 92)	C
8 000	DEERE & CO	7/12/2011	8/28/2012	594 47	658 81	(64 34)	C
3 000	DEERE & CO	7/12/2011	8/28/2012	222 93	247 06	(24 13)	C
8 000	DEERE & CO	2/24/2011	8/28/2012	594 47	658 81	(64 34)	C
100	DENBURY RESOURCES INC NEW	1/27/2011	2/3/2012	1,862 91	1,850 00	12 91	C
126	DENBURY RESOURCES INC NEW	1/27/2011	3/8/2012	2,410 41	2,331 00	79 41	C
8	DENBURY RESOURCES INC NEW	1/27/2011	5/24/2012	121 04	148 00	(26 96)	C
52	DENBURY RESOURCES INC NEW	3/14/2011	5/24/2012	786 73	1,178 60	(391 87)	C
46 000	DENBURY RESOURCES INC NEW	3/14/2011	8/28/2012	710 89	1,042 61	(331 72)	C
76 000	DENBURY RESOURCES INC NEW	5/6/2011	8/28/2012	1,174 51	1,599 56	(425 05)	C
91 000	DENBURY RESOURCES INC NEW	5/12/2011	8/28/2012	1,406 32	1,893 55	(487 23)	C
81 000	DENBURY RESOURCES INC NEW	6/15/2011	8/28/2012	1,251 78	1,543 97	(292 19)	C
87 000	DENBURY RESOURCES INC NEW	7/12/2011	8/28/2012	1,344 50	1,661 40	(316 90)	C
260 000	DOW CHEMICAL CO	8/4/2006	1/27/2012	8,639.78	9,433 37	(793 59)	-
35 000	DOW CHEMICAL CO	1/26/2007	1/27/2012	1,163 05	1,454 95	(291 90)	-
160 000	DOW CHEMICAL CO	2/5/2009	1/27/2012	5,316.79	1,732 54	3,584 25	-
55 000	DU PONT EI DE NEMOURS & CO	2/1/2011	8/31/2012	2,748 83	2,831 95	(83 12)	C
87 000	EMC CORP MASS	2/1/2011	4/3/2012	2,585 04	2,203 29	381 75	C
81 000	EMC CORP MASS	2/1/2011	8/31/2012	2,143 93	2,051 33	92 60	C
90 000	EMC CORP MASS	2/17/2011	8/31/2012	2,382 14	2,451 02	(68 88)	C
10	EOG RESOURCES INC	1/27/2011	5/24/2012	1,000 27	1,035 10	(34 83)	C
72 000	EOG RESOURCES INC	3/25/2011	7/30/2012	7,158 65	8,452 43	(1,293 78)	C
7 000	EOG RESOURCES INC	1/27/2011	8/28/2012	760 39	724 57	35 82	C
16 000	EOG RESOURCES INC	6/1/2011	8/28/2012	1,738 04	1,748 60	(10 56)	C
15	EQUINIX INC NEW	1/27/2011	2/1/2012	1,823 89	1,318 94	504 95	C
21	EQUINIX INC NEW	1/27/2011	2/14/2012	2,720 18	1,846 52	873 66	C
20	ESTEE LAUDER CO INC CL A	1/27/2011	5/24/2012	1,097 57	814 30	283 27	C
14 000	ESTEE LAUDER CO INC CL A	1/27/2011	8/28/2012	842 36	1,140 02	(297 66)	C
36 000	ESTEE LAUDER CO INC CL A	8/15/2011	8/28/2012	2,166.07	1,676 56	489 51	C
4 000	ESTEE LAUDER CO INC CL A	8/16/2011	8/28/2012	240 67	187 68	52 99	C
30,000 000	FED NATL MTG ASSN 5 375% DUE 2011-11	1/26/2007	11/15/2011	30,000 00	30,000 00	-	-
485 439	FIRST EAGLE OVERSEAS I	5/2/2011	8/24/2012	10,805 87	11,861 27	(1,055 40)	-
5,000	FNMA 5 3/8 6-12-17	1/27/2011	5/25/2012	6,053 59	5,595 62	457 97	-
2,000	FNMA 6 5/8 11-15-30	1/27/2011	5/25/2012	2,997 47	2,449 87	547 60	-
33	FREEPORT MCMORAN CP&GLD	2/13/2011	5/24/2012	1,068 19	1,663 45	(595 26)	C
11 000	FREEPORT MCMORAN CP&GLD	6/6/2011	8/28/2012	394 67	547 67	(153 00)	C
18 000	FREEPORT MCMORAN CP&GLD	1/27/2011	8/28/2012	645 83	896 18	(250 35)	C
1 000	FREEPORT MCMORAN CP&GLD	6/6/2011	8/28/2012	35 88	49 79	(13 91)	C
55 000	GENERAL ELECTRIC CO	4/11/2008	8/31/2012	1,141 77	1,764 83	(623 06)	-
490 000	GENERAL ELECTRIC CO	11/21/2008	8/31/2012	10,172 17	6,515 04	3,657 13	-
54,000	GOLDCORP INC	8/22/2011	8/28/2012	2,183 17	2,911 23	(728 06)	C
4,191 108	GOLDMAN SACHS ABSLT RET TRCK I	2/1/2011	2/23/2012	38,306 69	39,418 80	(1,112 11)	-
500 000	HOME DEPOT INC	-1/1/00	12/2/2011	20,007 01	16,135 60	3,871 41	-
50 000	HONEYWELL INTERNATIONAL INC	2/1/2011	8/31/2012	2,929 20	2,836 00	93 20	C
140 000	HONEYWELL INTERNATIONAL INC	3/31/2011	8/31/2012	8,201 76	8,365 73	(163 97)	C
41	ILLUMINA INC	1/27/2011	1/30/2012	2,109 93	2,884 04	(774 11)	C
35 000	INTEL CORP	1/26/2007	4/24/2012	961.96	720 65	241 31	-
45 000	INTEL CORP	1/30/2007	4/24/2012	1,236 80	941 30	295 50	-
115 000	INTEL CORP	1/16/2008	4/24/2012	3,160 72	2,300.23	860 49	-
10	INTERCONTINENTALEXCHANGE, INC	1/27/2011	5/24/2012	1,234 67	1,171.00	63 67	C

Long-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
11	INTERCONTINENTALEXCHANGE, INC	1/27/2011	6/18/2012	1,496 13	1,288 10	208 03	C
6	INTERCONTINENTALEXCHANGE, INC	1/27/2011	6/28/2012	802 40	702 60	99 80	C
4	INTERCONTINENTALEXCHANGE, INC	2/1/2011	6/28/2012	534 94	488 28	46 66	C
6	INTERCONTINENTALEXCHANGE, INC	2/1/2011	7/19/2012	802 59	732 42	70 17	C
6	INTERCONTINENTALEXCHANGE, INC	4/21/2011	7/19/2012	802 59	731 64	70 95	C
9 000	INTERCONTINENTALEXCHANGE, INC	4/21/2011	8/28/2012	1,247 55	1,097 46	150 09	C
20	INTUIT INC	1/27/2011	5/24/2012	1,122 37	948 20	174 17	C
15	INTUIT INC	1/27/2011	6/28/2012	854 56	711 15	143 41	C
33	INTUIT INC	1/27/2011	7/19/2012	1,971 12	1,564 53	406 59	C
25 000	INTUIT INC	1/27/2011	8/28/2012	1,472 47	1,185 25	287.22	C
110 000	ISHARES BARCLAYS TIPS BD FD	2/1/2011	8/31/2012	13,245 50	11,815 98	1,429 52	-
760 000	ISHARES GOLD TRUST	4/5/2011	5/16/2012	11,355 82	10,692 21	663 61	-
715 000	ISHARES GOLD TRUST	4/18/2011	5/16/2012	10,683 43	10,433 21	250 22	-
34 000	ISHARES S&P PREF STK INDX	2/1/2011	4/3/2012	1,321 21	1,325 29	(4 08)	-
132 000	ISHARES S&P PREF STK INDX	2/1/2011	7/23/2012	5,183 85	5,145 23	38 62	-
40	JOHNSON CONTROLS INCORPORATED	1/27/2011	2/7/2012	1,320 86	1,571 59	(250 73)	C
6	JOHNSON CONTROLS INCORPORATED	1/27/2011	2/7/2012	198 14	235 75	(37 61)	C
121	JOHNSON CONTROLS INCORPORATED	1/27/2011	2/8/2012	3,936 44	4,754 09	(817 65)	C
25	JOHNSON CONTROLS INCORPORATED	1/27/2011	2/29/2012	821 68	982 25	(160 57)	C
30,000 000	JPMORGAN CHASE & CO TLGP 3 125% DUI	6/29/2009	12/1/2011	30,000 00	30,000 00	-	-
106	JUNIPER NETWORKS	1/27/2011	2/15/2012	2,553 82	3,951 35	(1,397.53)	C
76	JUNIPER NETWORKS	1/27/2011	2/22/2012	1,810 81	2,833 04	(1,022 23)	C
165 000	KIMBERLY CLARK CORP	3/8/2010	3/9/2012	11,847 56	9,915 82	1,931 74	-
155 000	KIMBERLY CLARK CORP	3/8/2010	3/21/2012	11,395 08	9,314 86	2,080 22	-
465 000	KKR & CO LP	2/4/2011	7/20/2012	6,515 38	7,849 25	(1,333 87)	-
665 000	KKR & CO LP	2/4/2011	8/31/2012	9,439 47	11,225 27	(1,785 80)	-
0.003	KRAFT FOODS GROUP INC COM	12/19/2007	10/1/2012	0 14	0 10	0 04	-
17	LABORATORY CP AMER HLDGS NEW	1/27/2011	5/23/2012	1,437.76	1,577 26	(139 50)	C
21	LABORATORY CP AMER HLDGS NEW	2/11/2011	5/23/2012	1,776 05	1,841 17	(65 12)	C
5	LABORATORY CP AMER HLDGS NEW	2/11/2011	5/24/2012	422 84	438 37	(15 53)	C
5	LABORATORY CP AMER HLDGS NEW	2/22/2011	5/24/2012	422 84	442 32	(19 48)	C
23	LABORATORY CP AMER HLDGS NEW	2/22/2011	7/18/2012	2,150 97	2,034 69	116 28	C
9 000	LABORATORY CP AMER HLDGS NEW	2/22/2011	8/28/2012	794 50	796 18	(1 68)	C
600 000	MASCO CORP	10/12/2010	1/27/2012	7,355 37	7,065 06	290 31	-
390 000	MASCO CORP	10/12/2010	2/10/2012	4,946 74	4,592 29	354 45	-
75 000	MASCO CORP	10/12/2010	7/16/2012	1,035 39	883 13	152 26	-
290 000	MASCO CORP	1/7/2011	7/16/2012	4,003 53	4,039 87	(36 34)	C
127 174	MATTHEWS ASIAN CHINA INV	2/1/2011	4/3/2012	3,008 94	3,763 08	(754 14)	-
168 614	MATTHEWS ASIAN CHINA INV	2/1/2011	7/30/2012	3,545 95	4,989 29	(1,443 34)	-
715 061	MATTHEWS ASIAN CHINA INV	6/27/2011	7/30/2012	15,037 73	20,472 19	(5,434 46)	-
230 000	MC CORMICK AND CO NON VOTING	2/9/2011	6/8/2012	12,833 71	10,256 23	2,577 48	C
220 000	MC CORMICK AND CO NON VOTING	2/23/2011	6/8/2012	12,275 72	10,190 51	2,085 21	C
115 000	MEDTRONIC INC	4/29/2009	1/27/2012	4,510 60	3,563 28	947 32	-
150 000	MERCK & CO INC NEW COM	10/19/2010	10/5/2012	6,919 12	5,514 18	1,404 94	-
117 000	MICROSOFT CORP	10/14/2008	4/24/2012	3,750 66	2,891 26	859 40	-
118 000	MICROSOFT CORP	11/14/2008	4/24/2012	3,782.71	2,381 50	1,401 21	-
20	MONSANTO CO/NEW	1/27/2011	5/24/2012	1,472 36	1,465 40	6 96	C
13	MONSANTO CO/NEW	1/27/2011	6/11/2012	1,022 98	952 51	70 47	C
5	MONSANTO CO/NEW	1/27/2011	7/19/2012	434 20	366 35	67 85	C
10	MONSANTO CO/NEW	4/11/2011	7/19/2012	868 41	670 11	198 30	C
16	MONSANTO CO/NEW	4/11/2011	8/7/2012	1,423 55	1,072 17	351 38	C
4 000	MONSANTO CO/NEW	4/11/2011	8/28/2012	344 75	268 04	76 71	C
76	NABORS INDUSTRIES LTD NEW	1/27/2011	5/23/2012	1,083.89	1,847 27	(763 38)	C
20	NATIONAL OILWELL VARCO INC	1/27/2011	5/24/2012	1,349.36	1,419 46	(70 10)	C
9 000	NATIONAL OILWELL VARCO INC	1/27/2011	8/28/2012	697 39	638 76	58 63	C
27 000	NATIONAL OILWELL VARCO INC	3/14/2011	8/28/2012	2,092 18	2,025.39	66 79	C
23 000	NATIONAL OILWELL VARCO INC	4/29/2011	8/28/2012	1,782 23	1,761 76	20 47	C
3,587.727	NATIXIS ASG GLOBAL ALTERNAT Y	2/1/2011	4/3/2012	38,245 13	38,786 84	(541 71)	-
31	NETAPP INC COM	2/18/2011	3/8/2012	1,297.95	1,641 13	(343 18)	C
13	NOBLE ENERGY INC	1/27/2011	2/22/2012	1,346 94	1,116 96	229 98	C
10	NOBLE ENERGY INC	1/27/2011	5/24/2012	838 68	859 20	(20 52)	C

Long-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
11 000	NOBLE ENERGY INC	1/27/2011	8/28/2012	957 42	945 12	12 30	C
34 000	NOBLE ENERGY INC	2/28/2011	8/28/2012	2,959 29	3,119 35	(160 06)	C
83	NVIDIA CORPORATION	2/18/2011	5/24/2012	1,001 78	2,113 41	(1,111 63)	C
22	NVIDIA CORPORATION	2/24/2011	5/24/2012	265 53	492 23	(226 70)	C
45	NVIDIA CORPORATION	2/24/2011	5/24/2012	543 14	1,006 88	(463 74)	C
13	NVIDIA CORPORATION	2/24/2011	8/24/2012	189 54	290 87	(101 33)	C
46	NVIDIA CORPORATION	2/28/2011	8/24/2012	670 69	1,043 83	(373 14)	C
73	NVIDIA CORPORATION	3/17/2011	8/24/2012	1,064 37	1,297 03	(232 66)	C
32 000	NVIDIA CORPORATION	3/17/2011	8/28/2012	458 25	568 56	(110 31)	C
95 000	NVIDIA CORPORATION	5/17/2011	8/28/2012	1,360 44	1,670 01	(309 57)	C
51 000	NVIDIA CORPORATION	2/18/2011	8/28/2012	730 34	725 43	4 91	C
13 000	NVIDIA CORPORATION	8/1/2011	8/28/2012	186 17	184 92	1 25	C
38 000	NVIDIA CORPORATION	8/1/2011	8/28/2012	544 18	540 52	3 66	C
13 000	NVIDIA CORPORATION	2/18/2011	8/28/2012	186 17	184 92	1 25	C
9 000	NVIDIA CORPORATION	8/1/2011	8/28/2012	128 88	128 02	0 86	C
10	OCCIDENTAL PETROLEUM CORP DE	1/27/2011	5/24/2012	809 78	961 38	(151 60)	C
29 000	OCCIDENTAL PETROLEUM CORP DE	1/27/2011	8/28/2012	2,537.73	2,788 00	(250 27)	C
16 000	OCCIDENTAL PETROLEUM CORP DE	5/12/2011	8/28/2012	1,400 13	1,648 38	(248 25)	C
65 000	PEPSICO INC NC	2/1/2011	4/20/2012	4,335 91	4,221 10	114 81	C
160 000	PHILIP MORRIS INTL INC	10/8/2008	12/2/2011	12,065 57	6,976 24	5,089 33	—
109 000	POWERSHARES PREFERRED PORT	2/1/2011	4/3/2012	1,566 51	1,542 12	24 39	—
339 000	POWERSHARES PREFERRED PORT	2/1/2011	7/23/2012	4,967 76	4,796 14	171 62	—
687 000	POWERSHARES PREFERRED PORT	2/1/2011	7/24/2012	10,046 60	9,719 61	326 99	—
90 000	PRUDENTIAL FINANCIAL INC	2/1/2011	7/30/2012	4,367 63	5,684 40	(1,316 77)	C
458 223	PUTNAM ABSOLUTE RET 700 Y	2/1/2011	4/3/2012	5,315 39	5,233 11	82 28	—
2,881 935	PUTNAM ABSOLUTE RET 700 Y	2/1/2011	8/24/2012	33,891 56	32,912 99	978 57	—
27	QUALCOMM INC	1/27/2011	2/3/2012	1,647 17	1,482 95	164 22	C
30	QUALCOMM INC	1/27/2011	5/24/2012	1,709 96	1,647 73	62 23	C
111 000	QUALCOMM INC	1/27/2011	8/28/2012	6,909 90	6,096 59	813 31	C
20 000	QUALCOMM INC	3/10/2011	8/28/2012	1,245 03	1,088 76	156 27	C
7 000	QUALCOMM INC	1/27/2011	8/28/2012	435 76	398 59	37 17	C
9 000	QUALCOMM INC	7/21/2011	8/28/2012	560 26	512 48	47 78	C
7 000	QUALCOMM INC	7/21/2011	8/28/2012	435 76	398 59	37 17	C
15	RED HAT INC	1/27/2011	4/17/2012	899 38	629 91	269 47	C
10	RED HAT INC	2/24/2011	4/17/2012	599 58	399 23	200 35	C
30	RED HAT INC	2/24/2011	5/24/2012	1,571 66	1,197 69	373 97	C
21	RED HAT INC	2/24/2011	8/21/2012	1,218 21	838 38	379 83	C
22 000	RED HAT INC	2/24/2011	8/28/2012	1,248 47	878 31	370 16	C
43 000	RED HAT INC	2/28/2011	8/28/2012	2,440 19	1,761 78	678 41	C
53 000	RED HAT INC	6/6/2011	8/28/2012	3,007 68	2,246 16	761 52	C
9 000	RED HAT INC	1/27/2011	8/28/2012	510 74	320 81	189 93	C
13 000	RED HAT INC	1/27/2011	8/28/2012	737 73	463 40	274 33	C
5 000	RED HAT INC	8/10/2011	8/28/2012	283 74	178 23	105 51	C
15	SALESFORCE COM,INC.	1/27/2011	2/10/2012	1,929 76	1,948 05	(18 29)	C
11	SALESFORCE COM,INC	1/27/2011	4/17/2012	1,721 21	1,428 57	292 64	C
8	SALESFORCE COM,INC	1/27/2011	4/20/2012	1,264 36	1,038 96	225 40	C
1	SALESFORCE COM,INC	3/3/2011	4/20/2012	158 04	129 91	28 13	C
11	SALESFORCE COM,INC	3/3/2011	5/2/2012	1,739 22	1,429 06	310 16	C
8	SALESFORCE COM,INC	3/3/2011	5/24/2012	1,166 13	1,039.32	126 81	C
9 000	SALESFORCE COM,INC	8/22/2011	8/28/2012	1,315 41	1,004 56	310 85	C
210 000	SANOFI ADR	8/30/2007	7/20/2012	7,949.60	8,491 31	(541 71)	—
275 000	SANOFI ADR	8/31/2007	7/20/2012	10,410.19	11,212 00	(801 81)	—
29	SCHLUMBERGER LTD	1/27/2011	3/8/2012	2,202 52	2,510 61	(308 09)	C
59	SCHLUMBERGER LTD	1/27/2011	3/16/2012	4,473 44	5,107 79	(634 35)	C
77	SHAW GROUP INCORPORATED	1/27/2011	4/25/2012	2,300 80	2,948 07	(647 27)	C
74	SHAW GROUP INCORPORATED	1/27/2011	5/23/2012	1,941 75	2,833 21	(891 46)	C
29	SHAW GROUP INCORPORATED	3/14/2011	5/23/2012	760 95	956.60	(195 65)	C
4	SHAW GROUP INCORPORATED	3/18/2011	5/23/2012	104 96	129 85	(24 89)	C
30	SHAW GROUP INCORPORATED	3/18/2011	5/24/2012	769.48	973 85	(204 37)	C
51	SHAW GROUP INCORPORATED	3/18/2011	6/6/2012	1,311.46	1,655 54	(344.08)	C
39 000	SPDR GOLD TR GOLD SHS	8/4/2011	8/31/2012	6,283.93	6,285 61	(1 68)	—

Long-Term Gains & Losses

Quantity	Security	Date Acquired	Date Sold	Proceeds	Basis	Gain (Loss)	Covered
4 000	THERMO FISHER SCIENTIFIC INC	8/10/2011	8/28/2012	225 27	202 26	23 01	C
5 000	THERMO FISHER SCIENTIFIC INC	8/10/2011	8/28/2012	281 59	252 82	28 77	C
22 000	THERMO FISHER SCIENTIFIC INC	8/10/2011	8/28/2012	1,239 01	1,112 40	126 61	C
5 000	THERMO FISHER SCIENTIFIC INC	8/4/2011	8/28/2012	281 59	252 82	28 77	C
4 000	THERMO FISHER SCIENTIFIC INC	8/4/2011	8/28/2012	225 27	202 26	23 01	C
11	TOYOTA MOTOR CP ADR NEW	4/5/2011	5/2/2012	878 96	857 56	21 40	C
10	TOYOTA MOTOR CP ADR NEW	4/11/2011	5/2/2012	799 05	763 72	35 33	C
22	TOYOTA MOTOR CP ADR NEW	4/11/2011	5/24/2012	1,693 38	1,680 18	13 20	C
44 000	UNION PACIFIC CORP	2/1/2011	8/31/2012	5,364 35	4,204 20	1,160 15	C
3,000	US BANCORP TLGP 2 1/4 3-13-12	1/27/2011	3/13/2012	3,000 00	3,075 00	(75 00)	-
1,000	US TSY BOND 4 3/8 11-15-39	1/27/2011	5/25/2012	1,316 44	967 46	348 98	-
5,000	US TSY BOND 4 3/8 11-15-39	1/27/2011	8/1/2012	6,838 28	4,837 32	2,000 96	-
1,000	US TSY BOND 4 3/8 11-15-39	2/14/2011	8/1/2012	1,367 66	953 40	414 26	-
7,000 000	US TSY NOTE 1 1/4 8-31-15	7/11/2011	8/28/2012	7,185 37	7,028 02	157.35	-
1,000	US TSY NOTE 2 1/8 11-30-14	1/27/2011	5/25/2012	1,043 63	1,017 71	25 92	-
15,000 000	US TSY NOTE 2 1/8 11-30-14	1/27/2011	8/28/2012	15,615 76	15,239 35	376 41	-
10,000	US TSY NOTE 3 3/8 11-15-19	1/27/2011	2/1/2012	11,456 21	10,146 70	1,309 51	-
45,000 000	US TSY NOTE 4 7/8 2-15-12	7/5/2007	2/13/2012	45,000 00	44,748 63	251.37	-
133 000	WAL MART STORES INC	5/27/2010	7/16/2012	9,703 19	6,723 29	2,979 90	-
192 000	WAL MART STORES INC	5/27/2010	8/1/2012	14,288 44	9,705 80	4,582 64	-
145 000	WALGREEN CO	4/8/2009	2/17/2012	5,034 08	4,009 25	1,024 83	-
175 000	WALGREEN CO	5/13/2009	2/17/2012	6,075 61	5,275 90	799 71	-
110 000	WALGREEN CO	5/13/2009	2/27/2012	3,685 42	3,316 28	369 14	-
40 000	WALGREEN CO	6/24/2009	2/27/2012	1,340 15	1,197 52	142 63	-
35 000	WALGREEN CO	1/5/2010	2/27/2012	1,172 63	1,290 77	(118 14)	-
10 000	WALGREEN CO	1/15/2010	2/27/2012	335 04	365 26	(30 22)	-
40 000	WALGREEN CO	3/8/2010	2/27/2012	1,340 15	1,390 12	(49 97)	-
15 000	WALGREEN CO	3/16/2010	2/27/2012	502 56	516 57	(14 01)	-
80 000	WALGREEN CO	12/7/2010	2/27/2012	2,680 30	2,902 47	(222 17)	-
185 000	WALGREEN CO	12/7/2010	3/1/2012	6,095 21	6,711 97	(616 76)	-
30	WALT DISNEY CO HLDG CO	1/27/2011	5/24/2012	1,328 67	1,184 26	144 41	C
27	WALT DISNEY CO HLDG CO	1/27/2011	6/18/2012	1,271 54	1,065 83	205 71	C
25	WALT DISNEY CO HLDG CO	1/27/2011	7/19/2012	1,220 92	986 88	234 04	C
33 000	WALT DISNEY CO HLDG CO	1/27/2011	8/28/2012	1,636 10	1,302 69	333 41	C
20 000	WALT DISNEY CO HLDG CO	6/6/2011	8/28/2012	991 58	789 33	202 25	C
15 000	WALT DISNEY CO HLDG CO	1/27/2011	8/28/2012	743 68	591 99	151 69	C
15 000	WALT DISNEY CO HLDG CO	6/6/2011	8/28/2012	743 68	591 99	151 69	C
80	WEYERHAEUSER CO	1/27/2011	5/24/2012	1,584 76	1,826 62	(241 86)	C
72	WEYERHAEUSER CO	1/27/2011	6/5/2012	1,393 39	1,643 95	(250 56)	C
14 000	WEYERHAEUSER CO	6/6/2011	8/28/2012	343 93	287 51	56 42	C
23 000	WEYERHAEUSER CO	1/27/2011	8/28/2012	565 03	472 33	92 70	C
34 000	WEYERHAEUSER CO	8/4/2011	8/28/2012	835 26	629 80	205 46	C
16 000	WEYERHAEUSER CO	1/27/2011	8/28/2012	393 06	296 37	96 69	C
19 000	WEYERHAEUSER CO	1/27/2011	8/28/2012	466 76	351 94	114 82	C
19 000	WEYERHAEUSER CO	8/4/2011	8/28/2012	466 76	351 94	114 82	C
16 000	WEYERHAEUSER CO	8/4/2011	8/28/2012	393 06	296 37	96 69	C
Total Long-Term				999,293.22	940,433.67	58,859.55	

Golden Rule Foundation Grant Report 2011 - 2012

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Date Issued		Purpose		Amount
11/1/11	Northeast Historic Film	Funds for the completion of the Alan and Natalie Kattelle Collection	P.O. Box 900 Bucksport ME 04416	\$2,500.00
11/1/11	University of Maine	Senior College : Special Events	Hutchinson Center 80 Belmont Avenue Belfast ME 04915	\$2,000.00
11/25/11	San Miquel Community	IREE	220 North Zapata Hwy, #11 PMB 5-K Laredo TX 78043	\$5,000.00
1/2/12	Belfast Area Child Care	Support of General Operations	1025 Waterville Road Belfast ME 04915	\$8,000.00
1/2/12	Belfast Area Child Care	BACC MusicMaker Program	1025 Waterville Road Belfast ME 04915	\$2,000.00
1/2/12	Belfast Area Child Care	Starrett Children's Center Support of General Operations	1025 Waterville Road Belfast ME 04915	\$3,500.00
1/2/12	Belfast Area Child Care	Starrett Children's Center MusicMaker Program	1025 Waterville Road Belfast ME 04915	\$1,500.00
1/2/12	Philadelphia Veterans	Irag and Afghanistan Veterans Outreach Program	213 - 217 North 4th Street Philadelphia PA 19106	\$5,000.00
1/2/12	Spurwink Services	The Game Loft	899 Riverside Street Portland ME 04103	\$2,000.00
1/2/12	Spurwink Services	The Game Loft	899 Riverside Street Portland ME 04103	\$3,000.00
2/15/12	Environmental Film	2012 Environmental Film Festival	1228 1/2 31st Street, NW Washington DC 2007	\$1,000.00
2/15/12	For the Children	Patronato Pro Ninos, to be used towards the funding of a third	PMB 228 220 North Zapata HWY, #11-A Laredo TX 78043	\$5,000.00
2/15/12	Wooden Shoe Books &	ESC Exhibition	704 South Street Philadelphia PA 19147	\$1,500.00
2/29/12	Down East Friends of	North Twin Education Programs, teaching traditional social dance in	15 Jones Hill Road Hope ME 04847	\$1,500.00
2/29/12	Sharing Foundation	Support of General Operations	49 Damien Road P. O. Box 600 Wellesley MA 02481	\$1,000.00

Golden Rule Foundation Grant Report 2011 - 2012

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Date Issued		Purpose		Amount
2/29/12	Down East Friends of	North Twin Education Programs, teaching traditional social dance in	15 Jones Hill Road Hope ME 04847	\$1,000.00
3/12/12	Wesleyan University	Research of Southeast Asia dance and theater	North College, Room 301 Middletown CT 06459	\$3,000.00
4/2/12	Enda Drinkwater School	Dance and Movement Program	56 Bayside Road Northport ME 04849	\$2,500.00
4/2/12	Northeast Historic Film	Funding of the Strategic and Transition Planning Process	P.O. Box 900 Bucksport ME 04416	\$2,500.00
5/4/12	Bargemusic Ltd.	Support of General Operations	Fulton Ferry Landing Brooklyn NY 11201	\$5,000.00
5/4/12	San Miquel Community	Casita Linda, A.C.	220 N. Zapata Hwy, #11 Laredo TX 78043	\$8,000.00
3/25/12	Belfast Area Child Care	BACC Support of General Operations	1025 Waterville Road Belfast ME 04915	\$7,000.00
3/25/12	Belfast Area Child Care	BACC MusicMaker Program	1025 Waterville Road Belfast ME 04915	\$1,000.00
3/25/12	Belfast Area Child Care	Starrett Children's Center Support of General Operations	1025 Waterville Road Belfast ME 04915	\$2,000.00
3/25/12	Belfast Area Child Care	Starrett Children's Center Program Development and General	1025 Waterville Road Belfast ME 04915	\$6,000.00
7/16/12	Animals Asia Foundation	End Bear Farming	300 Broadway, Suite #32 San CA 94133	\$6,000.00
7/16/12	Mummers Museum	Support of General Operations	1100 S. 2nd Street Philadelphia PA 19147	\$10,000.00
7/30/12	Belfast Historical Society	Civil War Quilt Conservation Project	10 Market Street Belfast ME 04915	\$5,000.00
7/30/12	Friends of Manton Street	Dickinson Narrows Civic Association General Support	334 Manton Street Philadelphia PA 19147	\$10,000.00
7/30/12	Northeast Historic Film	Funding of the development of the NEHF Musuem Exhibit	P.O. Box 900 Bucksport ME 04416	\$1,000.00

Golden Rule Foundation Grant Report 2011 - 2012

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Date Issued		Purpose		Amount
7/30/12	Northeast Historic Film	Funding to support the Preservation of accessibility to the	P.O. Box 900 Bucksport ME 04416	\$1,000.00
3/31/12	Challenge America	Wounded Warriors September 2012 Golf Tournament	P.O. Box 6639 Snowmass CO 81615	\$15,000.00
3/31/12	Washington Library	The Gibbs Library	40 Old Union Road Washington ME 04574	\$500.00
3/14/12	Visual Arts Center	SOHO (Space of Her Own) - Arts After School	1812 West Main Street Richmond VA 23220	\$15,000.00
3/14/12	Belfast Soup Kitchen	The Game Loft - After School Program	c/o Maine Youth Alliance 78 Main Street Belfast ME 04915	\$10,000.00
3/14/12	ISSUE Project Romm	Support of General Operations	22 Boerum Place, Ground Brooklyn NY 11201	\$5,000.00
10/8/12	RSU #20 - MSAD #56	Summer Program 2013	P.O. Box 363 Belfast ME 04915	\$10,000.00
10/16/12	New York Foundation for	Minus Space - General Operations	20 Jay Street, Suite 40 Brooklyn NY 11201	\$17,000.00
10/22/12	National Welsh -	For the funding support of National Eisteddford of Wales and the North	24 Essex Road Scotch Plains NJ 07076	\$5,000.00
10/22/12	Brooklyn Rail	Support of General Operations	99 Commercial St., #32 Brooklyn NY 11222	\$5,000.00
10/29/12	Artists Space, Inc.	Funding of General Operations for the Institute of Contemporary Arts,	38 Greene Street, 3rd Floor New York NY 10013	\$6,250.00
10/29/12	Artists Space, Inc.	Funding of General Operations for the Institute of Contemporary Arts,	38 Greene Street, 3rd Floor New York NY 10013	\$2,000.00
10/29/12	America Friends of	Support of General Operations for International Slavery Museum	c/o Chapel & York Ltd. 1000 N West St., Suite #1200 Wilmington DE 19801	\$6,250.00
10/29/12	America Friends of	Support of General Operations for International Slavery Museum	c/o Chapel & York Ltd. 1000 N West St., Suite #1200 Wilmington DE 19801	\$2,000.00
Total Foundation Funds Granted:				\$214,500.00

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Name	Book Value 10/31/2011	Change	Book Value 10/31/2012
Common Stock			
3M	14,115.73	(1,388.93)	12,726.80
3M	11,148.31	(11,148.31)	-
Abbott Labs	16,302.62	1,393.18	17,695.80
Accenture PLC	-	33,282.02	33,282.02
Air Prod & Chem	5,627.70	(5,627.70)	-
Alcoa	14,463.36	(14,463.36)	-
Alexander & Baldwin	-	22,959.53	22,959.53
Allstate	15,727.34	4,978.09	20,705.43
Amazon Com Inc	11,255.49	(11,255.49)	-
American Express	4,540.52	(4,540.52)	-
American Express	2,834.65	(2,834.65)	-
Apollo Gbl Mgmt	8,190.24	(8,190.24)	-
Applied Materials Inc.	11,873.69	3,331.65	15,205.34
Apple Computer	16,996.32	(16,996.32)	-
Apple Computer	7,228.38	(7,228.38)	-
AT&T	22,791.43	(2,917.91)	19,873.52
Babcock & Wilcox Co	10,702.96	(10,702.96)	-
Baker Hughes	13,546.57	19,357.07	32,903.64
Bank of New York	17,780.84	5,974.80	23,755.64
Barrick Gold Corp	12,257.43	(12,257.43)	-
Berkshire Hathaway	-	90,142.50	90,142.50
Blackrock Inc.	21,895.57	4,935.99	26,831.56
Boeing	22,355.04	3,566.00	25,921.04
BP PLC ADS	-	25,586.10	25,586.10
Cameco Corp	9,017.98	(9,017.98)	-
CR Bard inc	20,075.27	(20,075.27)	-
Celgene	2,790.45	(2,790.45)	-
Chevron	24,656.92	(24,656.92)	-
Chevron	17,475.27	11,454.76	28,930.03
Cisco	-	26,161.22	26,161.22
Clear Bridge	2,839.20	(2,839.20)	-
CME Group Inc	7,995.84	(7,995.84)	-
CME Group Inc	16,658.34	6,474.60	23,132.94
Coach	-	14,522.13	14,522.13
Cohen & Steers	8,042.62	(8,042.62)	-
Coca Cola	21,817.32	12,900.60	34,717.92
Coca Cola	7,671.52	(7,671.52)	-
Costco Wholesale	-	49,143.69	49,143.69
Cree Research Inc	7,027.37	(7,027.37)	-
Ctrip com Intl Ltd	8,251.00	(8,251.00)	-
Cummins Inc	-	35,911.50	35,911.50
Cummins Inc	7,580.67	(7,580.67)	-
Danaher Corp	22,293.32	(22,293.32)	-
Deere & Co	10,359.91	(10,359.91)	-
Denbury Resources	14,118.19	(14,118.19)	-
Dupont El De	2,831.95	(2,831.95)	-
Dow Chemical	9,307.57	(9,307.57)	-
Dow Chemical	18,305.77	(7,181.27)	11,124.50
EMC Corp	6,705.64	(6,705.64)	-
Energizer Hldgs Inc	-	27,870.46	27,870.46
Ensco Plc Spon	16,240.84	7,017.60	23,258.44
EOG Corp	9,807.58	(9,807.58)	-
EOG Corp	8,452.43	(8,452.43)	-

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Name	Book Value 10/31/2011	Change	Book Value 10/31/2012
Equinix Inc New	11,451.51	(11,451.51)	-
Estee Lauder	5,854.31	(5,854.31)	-
Exxon Mobil	34,843.22	17,111.88	51,955.10
Exxon Mobil	22,330.45	11,206.25	33,536.70
Freeport McMoran	-	17,801.97	17,801.97
Freeport McMoran	5,727.12	(5,727.12)	-
General Electric	17,361.29	(17,361.29)	-
General Electric	15,587.49	9,081.42	24,668.91
Goldcorp Inc	13,546.74	(13,546.74)	-
Goldman Sachs	16,835.41	13,104.36	29,939.77
Google	7,100.15	(7,100.15)	-
Halliburton Co	8,745.26	(8,745.26)	-
Hewlett Packard	-	22,964.64	22,964.64
Home Depot	16,135.60	(16,135.60)	-
Honeywell International	11,201.73	(11,201.73)	-
IBM	-	39,520.01	39,520.01
Illumina Inc	21,893.05	(21,893.05)	-
Intel Corp	19,537.68	2,896.57	22,434.25
Intercontinentalexchange, Inc	9,724.50	(9,724.50)	-
Interpublic Group of Cos inc	6,493.22	(6,493.22)	-
Intuit Inc	6,827.04	(6,827.04)	-
Intuitive Surgical Inc	21,008.59	(1,582.51)	19,426.08
Invesco PLC	18,619.15	8,642.25	27,261.40
Ishares Barclays 20+	24,039.08	(24,039.08)	-
Ishares Barclays Tips	13,534.67	(13,534.67)	-
Ishares Gold Trust	21,125.42	82,180.66	103,306.08
Ishares High Div	31,885.72	(31,885.72)	-
Ishares Silver Trust	-	54,290.21	54,290.21
Ishares S&P Preferred	6,470.51	(6,470.51)	-
Johnson & Johnson	-	56,095.88	56,095.88
Johnson & Johnson	15,817.58	11,875.32	27,692.90
Johnson Controls	-	10,905.13	10,905.13
Johnson Controls	11,129.77	(11,129.77)	-
JP Morgan Chase	27,379.55	8,014.00	35,393.55
Juniper Networks	21,880.16	(21,880.16)	-
Kimberly Clark	19,230.68	(19,230.68)	-
Kinder Morgan Incorp	10,699.99	(10,699.99)	-
KKR & Co LP	23,835.19	(23,835.19)	-
Kraft	9,800.26	(5,243.90)	4,556.36
Laboratory Cp Amer	8,268.26	(8,268.26)	-
Masco	16,580.35	(16,580.35)	-
McCormick and Co	21,787.25	(21,787.25)	-
McDonalds Corp	20,622.44	30,576.10	51,198.54
Medtronic Inc	18,714.83	3,356.83	22,071.66
Merck	19,783.78	2,925.62	22,709.40
Merck	-	34,520.99	34,520.99
Metlife	23,211.89	7,185.15	30,397.04
Microsoft	-	19,704.92	19,704.92
Microsoft	21,258.19	2,021.64	23,279.83
Mondelez Intl inc	-	8,428.60	8,428.60
Monsanto	4,794.58	(4,794.58)	-
Nabors Industries Ltd New	8,290.18	(8,290.18)	-
National Oilwell Varco Inc	5,845.37	(5,845.37)	-
Netapp Inc	8,839.41	(8,839.41)	-

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Name	Book Value 10/31/2011	Change	Book Value 10/31/2012
Nestle Spon Adr	30,018.86	19,667.15	49,686.01
Newell Rubbermaid	23,185.00	(23,185.00)	-
Noble Energy Inc	7,759.03	(7,759.03)	-
Novartis	5,906.28	(5,906.28)	-
Nvidia	14,321.10	(14,321.10)	-
NY Community Bancorp	20,396.37	5,955.15	26,351.52
Newell Rubbermaid	-	24,816.74	24,816.74
Newmont Mining Corp	-	12,418.39	12,418.39
Oasis Petroleum	-	18,285.84	18,285.84
Occidental Petroleum	-	19,230.56	19,230.56
Occidental Petroleum	7,320.53	(7,320.53)	-
Omnicom Group	20,337.40	0.00	20,337.40
Pepsi Co	21,443.34	(21,443.34)	-
Pepsi Co	15,876.80	2,120.40	17,997.20
Pepsi Co	4,221.10	(4,221.10)	-
Pfizer	22,145.51	7,365.75	29,511.26
Philip Morris	21,289.75	(21,289.75)	-
Philip Morris	14,606.50	(3,032.89)	11,573.61
Powershares Preferred	18,463.01	(18,463.01)	-
Procter & Gamble	31,626.63	(31,626.63)	-
Prudential Financial	23,726.57	8,266.45	31,993.02
Prudential Financial	5,684.40	(5,684.40)	-
Pwr sh db us \$	31,775.50	(31,775.50)	-
Pwr sh db us \$	31,711.24	(31,711.24)	-
Qualcomm	12,998.79	(12,998.79)	-
Qualcomm	9,295.73	6,860.70	16,156.43
Red Hat	11,265.58	(11,265.58)	-
Salesforce.com	10,954.15	(10,954.15)	-
Sanofi Aventis	19,703.31	(19,703.31)	-
Schlumberger	8,933.52	(8,933.52)	-
Schlumberger	12,963.50	3,727.50	16,691.00
Shaw Group Incorporated	11,965.21	(11,965.21)	-
Siemens	-	30,902.09	30,902.09
Spdr Gold Tr Gold	6,285.61	(6,285.61)	-
Spdr Gold Tr Gold	24,047.97	21,764.13	45,812.10
Staples	23,402.53	(23,402.53)	-
Starwood Htls & Rsts	7,439.33	(7,439.33)	-
St Jude Medical Inc	-	13,246.39	13,246.39
Target Corporation	-	20,444.58	20,444.58
Teva Pharmacaueuticals	-	30,005.61	30,005.61
Thermo Fisher Scientific	10,336.16	(10,336.16)	-
Toyota	9,162.38	(9,162.38)	-
Under Armour	4,934.31	(4,934.31)	-
Union Pacific Corp	4,204.20	(4,204.20)	-
Vodafone Group	18,264.32	10,921.44	29,185.76
Walgreen Co	31,124.78	(31,124.78)	-
Walmart Stores	21,465.00	7,900.52	29,365.52
Walmart Stores	16,429.08	(16,429.08)	-
Walt Disney	9,811.66	(9,811.66)	-
Walt Disney	21,131.63	(21,131.63)	-
Wells Fargo	12,530.87	(12,530.87)	-
Wells Fargo	25,163.35	4,464.20	29,627.55
Weyerhaeuser	16,274.54	(16,274.54)	-
Total Common Stock	1,979,508.21	(19,447.96)	1,960,060.25

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Name	Book Value 10/31/2011	Change	Book Value 10/31/2012
Corporate Bonds			
Berkshire Hathaway	-	42,194.71	42,194.71
Citigroup 2.875	3,008.21	(3,008.21)	-
Conocophillips 4 75	4,154.58	(4,154.58)	-
El Du Pont De Nemour	15,041.03	(9.47)	15,031.56
General Dynamics 4 1/4	5,245.83	(5,245.83)	-
General Electric 2 3	-	51,544.57	51,544.57
GE Capital Corp 6	5,149.07	(5,149.07)	-
Johnson & Johnson	52,259.11	(52,259.11)	-
JP Morgan 3 125	30,037.57	(30,037.57)	-
JP Morgan 3 7	30,155.47	(46.45)	30,109.02
JP Morgan 5 75	5,230.55	(5,230.55)	-
Microsoft Corp	51,151.30	(51,151.30)	-
Pepsi Inc 3 0	-	52,655.46	52,655.46
Philip Morris Intl Corp	51,311.83	36,824.16	88,135.99
Toyota Motor Credit 2 0	-	51,973.60	51,973.60
US Bancorp Tlgr 2 25	3,075.00	(3,075.00)	-
Verizon Global 4 375	4,198.74	(4,198.74)	-
Walmart 4 125	50,549.62	39,230.86	89,780.48
Walmart 4 55	5,262.96	(5,262.96)	-
Total Corp Bonds	315,830.87	105,594.52	421,425.39
Mutual Funds			
Aquila Three Peaks	30,329.15	(30,329.15)	-
First Eagle Overseas I	16,692.52	(16,692.52)	-
Goldman Sachs Abslre Ret	44,899.45	(44,899.45)	-
JP Morgan Hlbrg Dyn Comm	20,752.48	(20,752.48)	-
Matthews Asian China Inv	33,014.84	(33,014.84)	-
Natixis Asg Global Alternat	44,741.73	(44,741.73)	-
Pimco Income A	28,952.96	(28,952.96)	-
Putnam Absolute Ret	44,369.85	(44,369.85)	-
Total Mutual Funds	263,752.98	(263,752.98)	0.00
Government Obligations			
Treasury Securities			
US Tsy .875	-	50,096.57	50,096.57
US Tsy 1	4,006.97	(4,006.97)	-
US Tsy 1 155	-	5,107.62	5,107.62
US Tsy 1.125	21,973.06	(21,973.06)	-
US Tsy 1 375	-	50,196.45	50,196.45
US Tsy 2 125	45,190.07	(45,190.07)	-
US Tsy 2 375 7/31/17	80,804.85	(299.74)	80,505.11
US Tsy 2 625	3,164.13	(3,164.13)	-
US Tsy 3.375	34,083.26	(34,083.26)	-
US Tsy 3 625	2,009.21	(2,009.21)	-
US Tsy 4.375	12,907.92	(12,907.92)	-
US Tsy 4 625	1,197.45	(1,197.45)	-
US Tsy 4 875 2/15/12	44,748.63	(44,748.63)	-
Total Treasury Securities	250,085.55	(64,179.80)	185,905.75
Federal Agencies			

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Name	Book Value 10/31/2011	Change	Book Value 10/31/2012
FNMA 1 625	-	51,123.68	51,123 68
FNMA 2.75 3/13/14	30,145 06	(60.25)	30,084 81
FNMA 3 25 4/9/13	50,595 14	(411.52)	50,183 62
FNMA 4 875	2,048 86	(2,048.86)	-
FHMA 5 375 11/15/11	30,003 05	(30,003.05)	-
FNMA 5 375	5,658 70	(5,658.70)	-
FNMA 6 625	7,375 69	(7,375.69)	-
Total Federal Agencies	125,826.50	5,565.61	131,392.11
Total Government Securities	375,912.05	(58,614.19)	317,297.86
Grand Total	2,935,004.11	(236,220.61)	2,698,783.50