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**Return of Private Foundation  
or Section 4947(a)(1) Nonexempt Charitable Trust  
Treated as a Private Foundation****2011**Department 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 12/01, 2011, and ending 11/30, 2012

The Gumbo Foundation  
347 E. Palace Ave.  
Santa Fe, NM 87501**A** Employer identification number  
04-3727883**B** Telephone number (see the instructions)**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 ☐**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) \_\_\_\_\_  
\$ 4,599,098. (Part I, column (d) must be on cash basis)

<b>Part I Analysis of Revenue and Expenses</b> (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)
<b>REVENUE</b>	1 Contributions, gifts, grants, etc., received (att sch)				
	2 Ck <input checked="" type="checkbox"/> if the foundn is not req to att Sch B				
	3 Interest on savings and temporary cash investments	294.	294.	N/A	
	4 Dividends and interest from securities	69,265.	69,265.		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain/(loss) from sale of assets not on line 10	112,862.			
	b Gross sales price for all assets on line 6a 1,884,745.				
	7 Capital gain net income (from Part IV, line 2)		112,862.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less Cost of goods sold					
c Gross profit/(loss) (att sch)					
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11	182,421.	182,421.			
13 Compensation of officers, directors, trustees, etc	0.				
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees (attach schedule)					
b Accounting fees (attach sch) See St 1	3,459.			3,459.	
c Other prof fees (attach sch)					
17 Interest					
18 Taxes (attach schedule) See Stm 2	2,090.				
19 Depreciation (attach sch) and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses (attach schedule) See Statement 3	21,247.	21,167.		80.	
24 Total operating and administrative expenses. Add lines 13 through 23	26,796.	21,167.		3,539.	
25 Contributions, gifts, grants paid Part XV	202,000.			202,000.	
26 Total expenses and disbursements. Add lines 24 and 25	228,796.	21,167.		205,539.	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	-46,375.				
b Net investment income (if negative, enter -0-)		161,254.			
c Adjusted net income (if negative, enter -0-)					

9/14/12

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			
	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	2,396.	306.	306.
	10a Investments — U.S. and state government obligations (attach schedule)			
	b Investments — corporate stock (attach schedule)			
	c Investments — corporate bonds (attach schedule)			
	LIABILITIES	11 Investments — land, buildings, and equipment basis		
Less accumulated depreciation (attach schedule)				
12 Investments — mortgage loans				
13 Investments — other (attach schedule) Statement 4		4,408,956.	4,348,688.	4,582,809.
14 Land, buildings, and equipment basis				
Less accumulated depreciation (attach schedule)				
15 Other assets (describe See Statement 5)			15,983.	15,983.
16 Total assets (to be completed by all filers — see the instructions. Also, see page 1, item I)		4,411,352.	4,364,977.	4,599,098.
17 Accounts payable and accrued expenses				
18 Grants payable				
19 Deferred revenue				
20 Loans from officers, directors, trustees, & other disqualified persons				
21 Mortgages and other notes payable (attach schedule)				
22 Other liabilities (describe)				
23 Total liabilities (add lines 17 through 22)	0.	0.		
FUND ASSETS	Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31. <input checked="" type="checkbox"/>			
	24 Unrestricted		4,411,352.	4,364,977.
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here and complete lines 27 through 31. <input type="checkbox"/>			
	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			
	30 Total net assets or fund balances (see instructions)	4,411,352.	4,364,977.	
	31 Total liabilities and net assets/fund balances (see instructions)	4,411,352.	4,364,977.	

## 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	4,411,352.
2	Enter amount from Part I, line 27a	2	-46,375.
3	Other increases not included in line 2 (itemize)	3	
4	Add lines 1, 2, and 3	4	4,364,977.
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	4,364,977.

**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 See attached statement		P	Various	Various
b See attached statement		P	Various	Various
c See attached statement		P	Various	Various
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 1,089,981.		1,043,570.	46,411.
b 555,027.		518,635.	36,392.
c 239,737.		209,678.	30,059.
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			46,411.
b			36,392.
c			30,059.
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	112,862.
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	112,862.

**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	239,954.	4,625,418.	0.051877
2009	259,099.	4,479,865.	0.057836
2008	224,187.	4,182,799.	0.053597
2007	233,751.	4,814,057.	0.048556
2006	227,213.	5,097,849.	0.044570

2 Total of line 1, column (d)	2	0.256436
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	0.051287
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	4	4,375,884.
5 Multiply line 4 by line 3	5	224,426.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,613.
7 Add lines 5 and 6	7	226,039.
8 Enter qualifying distributions from Part XII, line 4	8	205,539.

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.

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**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 <input type="checkbox"/> 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 <input type="checkbox"/> and enter 1% of Part I, line 27b		1	3,225.
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	3,225.
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	3,225.
6 Credits/Payments			
a 2011 estimated tax pmts and 2010 overpayment credited to 2011	6a	306.	
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	306.	
8 Enter any penalty for underpayment of estimated tax. Check here <input checked="" type="checkbox"/> if Form 2220 is attached	8	51.	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	2,970.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be Credited to 2012 estimated tax	11		
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 <input type="checkbox"/> \$ 0. (2) On foundation managers <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 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 XIV</i>	X	
8 a Enter the states to which the foundation reports or with which it is registered (see instructions) NM		
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

**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>► N/A</u>	13	X	
14	The books are in care of <u>► Paul B. Schmidt, Sec/Treas</u> Telephone no <u>► (505) 984-8944</u> Located at <u>► 347 E. Palace Ave. Santa Fe NM</u> ZIP + 4 <u>► 87501</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of <b>Form 1041</b> — Check here <u>► N/A</u> and enter the amount of tax-exempt interest received or accrued during the year <u>► 15</u> <u>► N/A</u>			
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 <u>►</u>	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
<b>1 a</b> 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6) Agree to pay money or property to a government official? ( <b>Exception.</b> 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) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</b> If any answer is 'Yes' to 1a(1)-(6), did <b>any</b> 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 <u>►</u> <input type="checkbox"/>	1 b	N/A
<b>c</b> 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?	1 c	X
<b>2</b> 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))		
<b>a</b> 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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If 'Yes,' list the years <u>► 20__ , 20__ , 20__ , 20__</u>		
<b>b</b> Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer 'No' and attach statement — see instructions)	2 b	N/A
<b>c</b> If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here <u>► 20__ , 20__ , 20__ , 20__</u>		
<b>3 a</b> Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</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? ( <i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011</i> )	3 b	N/A
<b>4 a</b> Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a	X
<b>b</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?	4 b	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)?

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?

If 'Yes' to 6b, file Form 8870.

**6b**

X

**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 6		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	1 a	4,426,233.
b	Average of monthly cash balances	1 b	
c	Fair market value of all other assets (see instructions)	1 c	16,289.
d	<b>Total</b> (add lines 1a, b, and c)	1 d	4,442,522.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1 e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	4,442,522.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	66,638.
5	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	5	4,375,884.
6	<b>Minimum investment return.</b> Enter 5% of line 5	6	218,794.

**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	218,794.
2a	Tax on investment income for 2011 from Part VI, line 5	2 a	3,225.
b	Income tax for 2011 (This does not include the tax from Part VI)	2 b	
c	Add lines 2a and 2b	2 c	3,225.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	215,569.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	215,569.
6	Deduction from distributable amount (see instructions)	6	
7	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	215,569.

**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	1 a	205,539.
b	Program-related investments — total from Part IX-B	1 b	
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)	3 a	
b	Cash distribution test (attach the required schedule)	3 b	
4	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	205,539.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	
6	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	6	205,539.

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

**Part XIII** Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				215,569.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only			130,157.	
b Total for prior years 20__, 20__, 20__		0.		
3 Excess distributions carryover, if any, to 2011				
a From 2006				
b From 2007				
c From 2008				
d From 2009				
e From 2010				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ \$ 205,539.				
a Applied to 2010, but not more than line 2a			130,157.	
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				75,382.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a) )	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount — see instructions		0.		
e Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount — see instructions			0.	
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2012				140,187.
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)	0.			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9				
a Excess from 2007				
b Excess from 2008				
c Excess from 2009				
d Excess from 2010				
e Excess from 2011				

BAA

Form 990-PF (2011)

N/A

- (4) Gross investment income**

[illegible]

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

**Part XV** Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<i>a Paid during the year</i> See Attached Statement	None	None		202,000.
<b>Total</b>				<b>3a</b> 202,000.
<i>b Approved for future payment</i>				
<b>Total</b>				<b>3b</b>

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

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) 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	294.	
4	Dividends and interest from securities			14	69,265.	
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	112,862.	
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)				182,421.	
13	<b>Total.</b> Add line 12, columns (b), (d), and (e)					13 182,421.

(See worksheet in line 13 instructions to verify calculations)

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

[illegible]



## The Gumbo Foundation

04-3727883

**Statement 1**  
**Form 990-PF, Part I, Line 16b**  
**Accounting Fees**

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Tax compliance	\$ 3,459.			\$ 3,459.
Total	<u>\$ 3,459.</u>	<u>\$ 0.</u>		<u>\$ 3,459.</u>

**Statement 2**  
**Form 990-PF, Part I, Line 18**  
**Taxes**

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Excise Taxes	\$ 2,090.			
Total	<u>\$ 2,090.</u>	<u>\$ 0.</u>		<u>\$ 0.</u>

**Statement 3**  
**Form 990-PF, Part I, Line 23**  
**Other Expenses**

	(a) Expenses per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes
Investment fees	\$ 21,167.	\$ 21,167.		
Miscellaneous	80.			\$ 80.
Total	<u>\$ 21,247.</u>	<u>\$ 21,167.</u>		<u>\$ 80.</u>

**Statement 4**  
**Form 990-PF, Part II, Line 13**  
**Investments - Other**

	Valuation Method	Book Value	Fair Market Value
<b>Other Investments</b>			
Goldman Sachs Brokerage Account #5434	Cost	\$ 1,748,627.	\$ 1,817,571.
Goldman Sachs Concentrated Value #3139	Cost	927,809.	1,008,200.
Goldman Sachs Concentrated Growth #3147	Cost	792,252.	1,065,508.
Goldman Sachs #128-8	Cost	880,000.	691,530.
Total		<u>\$ 4,348,688.</u>	<u>\$ 4,582,809.</u>

The Gumbo Foundation

04-3727883

**Statement 5**  
**Form 990-PF, Part II, Line 15**  
**Other Assets**

	<u>Book Value</u>	<u>Fair Market Value</u>
Pending Security Transactions	\$ 15,983.	\$ 15,983.
Total	<u>\$ 15,983.</u>	<u>\$ 15,983.</u>

**Statement 6**  
**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>Contribution to EBP &amp; DC</u>	<u>Expense Account/Other</u>
Elise W. Schmidt 347 E. Palace Ave. Santa Fe, NM 87501	President 3.00	\$ 0.	\$ 0.	\$ 0.
Paul B. Schmidt 347 E. Palace Ave. Santa Fe, NM 87501	Secretary/Treas 5.00	0.	0.	0.
Tracey Elise Hogan 347 E. Palace Ave. Santa Fe, NM 87501	Vice President 1.00	0.	0.	0.
Mary Emily Hogan 347 E. Palace Ave. Santa Fe, NM 87501	Vice President 1.00	0.	0.	0.
William Hobson Hogan 347 E. Palace Ave. Santa Fe, NM 87501	Vice President 1.00	0.	0.	0.
Total		<u>\$ 0.</u>	<u>\$ 0.</u>	<u>\$ 0.</u>

**Statement 7**  
**Form 990-PF, Part XV, Line 1a**  
**Foundation Managers - 2% or More Contributors**

Elise W. Schmidt  
 Tracey Elise Hogan  
 Mary Emily Hogan  
 William Hobson Hogan



**THE GUMBO FOUNDATION**  
**2011 Distributions**

(For Fiscal Year December 1, 2010 - November 30, 2011)

Adaptive Learning Center  
736 Johnson Ferry Rd., Suite C245  
Marietta, GA 30068-5023

Child Development \$ 5,000.00

Agape Corner  
1402 Holloway St.  
Durham, NC 27703

Child Welfare \$ 1,000.00

AOPA Air Safety Foundation  
421 Aviation Way  
Frederick, MD 21701-4798

Aviation Safety \$ 5,000.00

American Red Cross  
P.O. Box 4002018  
Des Moines, IA 50340-2018

Disaster Relief \$10,000.00

ASPCA  
American Society For  
the Prevention of Cruelty to Animals  
Foundation & Corporate Support  
520 Eighth Ave., 7<sup>th</sup> Floor  
New York, NY 10018

Animal Welfare \$ 5,000.00

Atlanta Pet Rescue & Adoption  
720 14<sup>th</sup> Street, NW  
Atlanta, GA 30318

Animal Welfare \$ 3,000.00

Basset Hound Rescue of Georgia  
Att: Rosemary Glennie  
135 Nina Celeste Lane  
Fayetteville, GA 30215

Animal Rescue \$ 3,000.00

Best Friends Animal Society  
5001 Angel Canyon Road  
Kanab, Utah 84741

Animal Welfare \$ 3,000.00

Brady Center  
to Prevent Gun Violence  
1225 Eye Street, NW, Suite 1100  
Washington, DC 20005

Violence  
Prevention \$ 3,000.00

Camp Sunshine  
1850 Clairmont Rd.  
Decatur, GA 30033-3405

Children's Cancer \$ 3,000.00

Create Your Dreams  
King Plow Arts Center, Studio T-108  
887 West Marietta Street, NW  
Atlanta, GA 30318

Art Education \$6,000.00

Duke University Eye Center  
P.O. Box 3802  
Durham, NC 27710

Health Care \$ 1,000.00

Durham Academy  
Development Office  
3601 Ridge Road  
Durham, NC 27705

Educational  
Institution \$10,000.00

Durham Rescue Mission  
Rescue Missions Ministries, Inc.  
P.O. Box 11858  
Durham, NC 27703-0858

Homeless  
Assistance \$ 2,000.00

The Elephant Sanctuary  
P.O. Box 393  
Hohenwald, TN 38462-0393

Elephant Rescue \$ 3,000.00

Equality Now  
259 West 57<sup>th</sup> St., Suite 1527  
New York, NY 10107

Women's Rights \$ 3,000.00

Espanola Valley Humane Society  
108 Hamm Parkway  
Espanola, NM 87532

Animal Welfare \$ 3,000.00

Feeding America  
35 East Wacker Drive, Suite 2000  
Chicago, IL 60601

Food Assistance \$10,000.00

The Glenn Retirement Center  
403 East Flournay-Lucas Road  
Shreveport, LA 71114

Elder Care \$10,000.00

The Gleason Initiative Foundation  
P.O. Box 24493  
New Orleans, LA 70184

Medical Assistance \$ 5,000.00

Grand Canyon Association  
P.O. Box 399  
Grand Canyon, AZ 86023

National Park \$10,000.00

Guiding Eyes for the Blind  
611 Granite Springs Road  
Yorktown Heights, NY 10598

Seeing Eye Dogs \$ 3,000.00

Heart & Soul Animal Sanctuary  
369 Montezuma Ave., Box 130  
Santa Fe, NM 87501

Animal Welfare \$3,000.00

Heifer Project International  
1 World Avenue  
Little Rock, AR 72202

Ending Hunger \$ 3,000.00

The Horse Shelter, Inc.  
1012 Marquez Place, Suite 201B  
Santa Fe, NM 87505

Animal Welfare \$ 3,000.00

Humane Society of the  
United States  
2100 L Street, NW  
Washington, DC 20037

Animal Welfare \$ 5,000.00

Kidzu Children's Museum  
123 West Franklin Street, Suite B  
Chapel Hill, NC 27516-2524

Museum \$ 1,000.00

Kindred Spirits Animal Sanctuary  
3749-A State Road 14  
Santa Fe, NM 87508

Animal Welfare \$ 3,000.00

Louisiana Endowment  
for the Humanities  
938 Lafayette Street, Suite 300  
New Orleans, LA 70113

Culture  
Preservation \$ 5,000.00

Morris Animal Foundation  
10200 East Girard Ave., Suite B430  
Denver, CO 80231

Animal Health \$ 3,000.00

Natural Resources  
Defense Council  
40 West 20th Street  
New York, NY 10011

Environment                      \$10,000.00  
Protection

NEADS  
Canines for Combat Veterans  
P.O. Box 213  
West Boylston, MA 01583

Assistance Dogs                \$ 6,000.00

New Mexico Women's Foundation  
551 Cordova Rd., #411  
Santa Fe, NM 87505

Women's                          \$ 5,000.00  
Assistance

Paws And Stripes  
P.O. Box 46253  
Rio Rancho, NM 87174

Veterans Assistance          \$ 5,000.00

Planned Parenthood  
Federation of America, Inc.  
434 West 33rd Street  
New York, NY 10001

Medical Assistance          \$ 4,000.00

Preservation Resource Center  
923 Tchoupitoulas Street  
New Orleans, LA 70130

Neighborhood                  \$ 4,000.00  
Preservation

The Rose of Athens Theater  
P.O. Box 626  
Athens, GA 30603

Community Theater          \$5,000.00

St. Gerard House  
620 Oakland Street  
Hendersonville, NC 28791

Autism Assistance              \$ 4,000.00

Samaritan Health Center  
P.O. Box 51339  
Durham, NC 27717

Medical Assistance          \$ 2,000.00

Santa Fe Animal Shelter  
100 Caja del Rio Road  
Santa Fe, NM 87507

Animal Welfare                \$ 3,000.00

Save Our Cemeteries  
P.O. Box 58105  
New Orleans, LA 70158

Cemetery  
Preservation

\$ 1,000.00

Shriner's Hospitals for Children  
Office of Development  
2900 Rocky Point Drive  
Tampa, FL 33607

Medical Research

\$ 1,000.00

Southern Poverty Law Center  
400 Washington Ave.  
Montgomery, AL 36104

Human Rights

\$10,000.00

Southwest Collie Rescue  
52 Estrada Calabasa  
Santa Fe, NM 87506

Animal Welfare

\$ 3,000.00

UNC Thurston Arthritis  
Research Center  
The Medical Foundation of North Carolina  
880 Martin Luther King Jr. Blvd.  
Chapel Hill, NC 27514

Medical Research

\$1,000.00

WUGA  
University of Georgia  
1197 South Lumpkin St.  
Athens, GA 30602

Public Radio

\$5,000.00

Total

\$202,000.00

Description	Trade Date	Date Sold	Proceeds	Cost	Gain/Loss
ADOBE SYSTEMS INC CM	29-Oct-10	16-Dec-11	1,728.32	1,717.68	10.64
ADOBE SYSTEMS INC CM	28-Oct-10	16-Dec-11	3,824.97	3,790.50	34.47
ADOBE SYSTEMS INC CM	1-Nov-10	3-Apr-12	3,477.42	2,875.79	601.63
ADOBE SYSTEMS INC CM	29-Oct-10	3-Apr-12	1,943.27	1,605.05	338.22
ADOBE SYSTEMS INC CM	1-Nov-10	29-Nov-12	5,401.98	4,482.85	919.13
AMERICAN ELECTRIC PI	10-Jun-10	25-Jan-12	6,251.39	5,023.68	1,227.71
AMERICAN ELECTRIC PI	10-Jun-10	11-Apr-12	484.59	421.34	63.25
AMERICAN ELECTRIC PI	15-Jun-10	11-Apr-12	1,528.34	1,364.54	163.8
AMERICAN ELECTRIC PI	16-Jun-10	11-Apr-12	5,926.96	5,350.04	576.92
AMERICAN ELECTRIC PI	23-Feb-12	11-Apr-12	4,398.63	4,503.31	-104.68
AMERICAN ELECTRIC PI	30-Jun-10	11-Apr-12	5,218.71	4,608.25	610.46
AFLAC INCORPORATED	31-Jan-12	24-Feb-12	3,606.42	3,756.83	-150.41
AFLAC INCORPORATED	31-Jan-12	27-Feb-12	10,168.16	10,636.23	-468.07
AMERIPRISE FINANCIAL	16-Aug-11	13-Mar-12	5,338.76	4,263.95	1,074.81
AMERIPRISE FINANCIAL	7-Jul-11	13-Mar-12	4,889.17	5,152.48	-263.31
AMERIPRISE FINANCIAL	6-May-11	13-Mar-12	14,161.75	15,445.12	-1,283.37
BOEING COMPANY CM	14-Oct-08	10-Jan-12	2,325.45	1,489.47	835.98
BOEING COMPANY CM	18-Feb-09	10-Jan-12	525.1	268.1	257
BOEING COMPANY CM	13-Oct-08	10-Jan-12	3,750.72	2,255.72	1,495.00
BANK OF AMERICA COF	23-Jan-12	28-Jun-12	2,983.62	2,852.27	131.35
FRANKLIN RESOURCES	7-Jul-10	22-Dec-11	4,279.07	3,933.50	345.57
FRANKLIN RESOURCES	18-Feb-10	22-Dec-11	1,711.63	1,817.28	-105.65
FRANKLIN RESOURCES	18-Feb-09	22-Dec-11	950.91	496.4	454.51
FRANKLIN RESOURCES	21-Jan-09	22-Dec-11	2,567.45	1,427.15	1,140.30
FRANKLIN RESOURCES	2-Jul-09	22-Dec-11	2,852.72	2,123.32	729.4
BAKER HUGHES INC CM	22-Dec-11	23-Jan-12	2,296.92	2,377.83	-80.91
BAKER HUGHES INC CM	9-Jan-12	24-Jan-12	1,613.74	1,805.19	-191.45
BAKER HUGHES INC CM	22-Dec-11	24-Jan-12	10,604.58	11,393.76	-789.18
BAKER HUGHES INC CM	22-Dec-11	24-Jan-12	2,213.13	2,556.60	-343.47
BOSTON SCIENTIFIC CO	9-Feb-11	22-Dec-11	11,385.22	15,067.38	-3,682.16
BOSTON SCIENTIFIC CO	31-Mar-11	22-Dec-11	3,638.04	5,130.96	-1,492.92
CITIGROUP INC. CMN	29-Feb-12	20-Apr-12	4,165.89	4,119.29	46.6
CITIGROUP INC. CMN	29-Feb-12	6-Jun-12	12,217.82	15,606.41	-3,388.59
CITIGROUP INC. CMN	1-May-12	6-Jun-12	4,011.43	5,172.70	-1,161.27
CAMERON INTERNATIC	7-Mar-11	16-Dec-11	8,860.04	11,601.65	-2,741.61
CBS CORPORATION CM	8-Jun-12	25-Sep-12	1,226.48	1,049.40	177.08

CBS CORPORATION CM	10-Nov-11	25-Sep-12	12,896.65	8,700.30	4,196.35
CBS CORPORATION CM	11-Nov-11	25-Sep-12	6,875.74	4,817.79	2,057.95
CELGENE CORPORATIO	1-Apr-11	27-Mar-12	4,678.91	3,457.21	1,221.70
CELGENE CORPORATIO	1-Apr-11	1-Aug-12	4,612.85	3,860.55	752.3
CONOCOPHILLIPS CMN	30-Mar-11	13-Dec-11	13,216.02	14,944.45	-1,728.43
CISCO SYSTEMS, INC. C	19-Oct-11	22-Dec-11	4,860.49	4,657.09	203.4
CISCO SYSTEMS, INC. C	11-Oct-11	22-Dec-11	13,511.44	12,632.54	878.9
CVS CAREMARK CORPC	2-Apr-12	19-Jul-12	13,511.78	13,256.97	254.81
WALT DISNEY COMPAN	18-Jul-11	19-Jan-12	8,479.83	8,378.75	101.08
WALT DISNEY COMPAN	18-Jul-11	15-May-12	5,031.11	4,285.91	745.2
WALT DISNEY COMPAN	18-Jul-11	6-Jun-12	8,637.88	7,374.85	1,263.03
WALT DISNEY COMPAN	16-Aug-11	6-Jun-12	5,110.36	3,786.82	1,323.54
WALT DISNEY COMPAN	3-Oct-11	6-Jun-12	1,447.18	958.72	488.46
WALT DISNEY COMPAN	28-Oct-11	6-Jun-12	4,658.12	3,705.54	952.58
DEVON ENERGY CORPC	21-Jan-11	5-Mar-12	4,979.73	5,743.13	-763.4
DEVON ENERGY CORPC	21-Jan-11	21-Feb-12	5,408.51	5,992.83	-584.32
EMC CORPORATION M.	28-Apr-10	13-Mar-12	7,648.70	5,097.95	2,550.75
EMC CORPORATION M.	6-May-10	15-Jun-12	2,840.39	2,109.39	731
EMC CORPORATION M.	28-Apr-10	15-Jun-12	2,690.90	2,101.45	589.45
EQT CORPORATION CM	18-Oct-11	22-Dec-11	3,783.63	4,422.56	-638.93
EQT CORPORATION CM	23-Aug-11	22-Dec-11	12,686.30	12,056.65	629.65
FORD MOTOR COMPAI	21-Apr-10	15-Dec-11	3,209.21	4,413.27	-1,204.06
FORD MOTOR COMPAI	26-Mar-10	15-Dec-11	8,110.17	11,010.53	-2,900.36
FORD MOTOR COMPAI	6-Jul-11	15-Dec-11	3,096.42	4,239.24	-1,142.82
GENERAL ELECTRIC CO	23-Dec-09	10-Jul-12	4,349.54	3,418.40	931.14
GENERAL MILLS INC CN	9-Feb-10	22-Dec-11	7,222.96	6,218.69	1,004.27
GENERAL MILLS INC CN	9-Feb-10	7-Jun-12	1,369.14	1,250.69	118.45
GENERAL MILLS INC CN	18-Feb-10	7-Jun-12	2,662.21	2,499.90	162.31
GENERAL MILLS INC CN	16-Mar-10	7-Jun-12	5,324.43	5,131.38	193.05
GENERAL MILLS INC CN	29-Apr-10	7-Jun-12	3,651.04	3,411.24	239.8
GENERAL MILLS INC CN	28-Apr-10	7-Jun-12	2,510.09	2,318.18	191.91
GENERAL MILLS INC CN	3-Oct-11	7-Jun-12	1,521.26	1,537.10	-15.84
GENERAL MOTORS COI	9-Feb-12	24-Apr-12	5,086.96	5,703.57	-616.61
GENERAL MOTORS COI	9-Feb-12	4-May-12	3,256.29	3,776.69	-520.4
GENERAL MOTORS COI	9-Feb-12	25-Apr-12	2,951.17	3,288.54	-337.37
GENERAL MOTORS COI	13-Mar-12	4-May-12	6,534.72	7,519.14	-984.42
GOOGLE, INC. CMN CL	27-Apr-11	22-Dec-11	630.59	536.73	93.86
GOOGLE, INC. CMN CL	4-May-10	22-Dec-11	3,783.55	3,040.50	743.05
GOOGLE, INC. CMN CL	14-Jan-11	22-Dec-11	5,675.33	5,605.80	69.53
GOOGLE, INC. CMN CL	6-Jul-11	6-Jan-12	5,862.75	4,823.91	1,038.84
GOOGLE, INC. CMN CL	27-Apr-11	6-Jan-12	6,514.16	5,367.31	1,146.85
GOOGLE, INC. CMN CL	3-Oct-11	6-Jan-12	1,302.83	1,004.16	298.67
THE HOME DEPOT, INC	20-Dec-11	24-Feb-12	22,667.95	20,097.59	2,570.36
HARTFORD FINANCIAL	28-Sep-10	23-Jan-12	2,307.94	2,882.81	-574.87
HARTFORD FINANCIAL	29-Sep-10	24-Jan-12	685.42	864.4	-178.98
HARTFORD FINANCIAL	30-Sep-10	24-Jan-12	1,982.17	2,518.07	-535.9
HARTFORD FINANCIAL	1-Oct-10	24-Jan-12	3,445.64	4,331.28	-885.64

HARTFORD FINANCIAL	28-Sep-10	24-Jan-12	3,001.04	3,796.87	-795.83
HARTFORD FINANCIAL	22-Nov-10	24-Jan-12	2,574.97	3,234.39	-659.42
HARTFORD FINANCIAL	19-Nov-10	24-Jan-12	981.82	1,239.06	-257.24
HARTFORD FINANCIAL	3-Oct-11	24-Jan-12	1,037.40	902.72	134.68
HONEYWELL INTL INC C	8-Jul-09	14-Jun-12	1,810.77	971.4	839.37
HONEYWELL INTL INC C	27-Oct-09	14-Jun-12	2,085.12	1,434.57	650.55
HONEYWELL INTL INC C	15-Oct-09	14-Jun-12	3,072.81	2,090.05	982.76
HONEYWELL INTL INC C	14-Oct-09	14-Jun-12	2,743.58	1,864.55	879.03
HONEYWELL INTL INC C	27-Oct-09	26-Jun-12	3,145.50	2,227.36	918.14
HONEYWELL INTL INC C	18-Feb-10	26-Jun-12	5,491.30	4,053.05	1,438.25
HONEYWELL INTL INC C	13-Mar-12	26-Jun-12	959.64	1,080.54	-120.9
STARWOOD HOTELS &	15-Dec-11	13-Mar-12	13,519.34	10,964.22	2,555.12
STARWOOD HOTELS &	14-Dec-11	13-Mar-12	2,580.46	2,074.59	505.87
JOHNSON CONTROLS II	8-May-09	20-Dec-11	7,259.21	5,018.32	2,240.89
JOHNSON CONTROLS II	2-Jul-09	20-Dec-11	1,469.48	1,040.71	428.77
JOHNSON CONTROLS II	5-Aug-09	20-Dec-11	3,115.29	2,814.68	300.61
JOHNSON CONTROLS II	18-Feb-10	20-Dec-11	2,057.27	2,033.50	23.77
JUNIPER NETWORKS, II	22-Dec-11	25-Oct-12	10,521.83	13,615.13	-3,093.30
JPMORGAN CHASE & C	31-Oct-07	15-Feb-12	4,764.60	5,959.50	-1,194.90
COCA-COLA COMPANY	21-Feb-12	27-Mar-12	20,834.56	20,002.25	832.31
LIBERTY GLOBAL INC CI	11-Oct-11	9-Feb-12	7,924.44	6,173.52	1,750.92
LIBERTY GLOBAL INC CI	12-Oct-11	9-Feb-12	11,104.00	8,733.64	2,370.36
LOWES COMPANIES IN	22-Dec-11	21-Nov-12	11,677.43	8,703.89	2,973.54
LYONDELLBASELL INDU	9-Aug-11	31-Jan-12	8,998.87	5,408.90	3,589.97
LYONDELLBASELL INDU	9-Aug-11	14-Feb-12	4,986.24	2,884.75	2,101.49
LYONDELLBASELL INDU	19-Oct-11	12-Jun-12	5,556.65	3,364.37	2,192.28
LYONDELLBASELL INDU	9-Aug-11	12-Jun-12	2,759.43	1,867.77	891.66
MACY'S INC. CMN	18-Jun-12	12-Jul-12	720.94	806.3	-85.36
MACY'S INC. CMN	4-May-12	12-Jul-12	12,092.21	15,096.90	-3,004.69
MACY'S INC. CMN	10-May-12	12-Jul-12	3,145.94	3,656.20	-510.26
MASCO CORPORATION	8-Jun-12	27-Sep-12	5,792.41	5,125.53	666.88
METLIFE, INC. CMN	27-Feb-12	28-Jun-12	2,290.16	2,987.82	-697.66
METLIFE, INC. CMN	24-Feb-12	28-Jun-12	985.64	1,283.20	-297.56
METLIFE, INC. CMN	28-Feb-12	16-Jul-12	1,970.26	2,474.70	-504.44
METLIFE, INC. CMN	27-Feb-12	16-Jul-12	6,486.71	8,093.58	-1,606.87
METLIFE, INC. CMN	24-Feb-12	16-Jul-12	848.73	1,067.69	-218.96
MGM RESORTS INTERN	6-Jun-12	19-Jun-12	4,144.80	4,259.20	-114.4
MGM RESORTS INTERN	6-Jun-12	20-Jun-12	2,018.80	2,060.90	-42.1
MERCK & CO., INC. CM	23-Feb-10	14-Mar-12	9,381.28	8,979.30	401.98
MERCK & CO., INC. CM	8-Apr-10	14-Mar-12	6,063.51	5,847.65	215.86
MERCK & CO., INC. CM	18-Feb-10	14-Mar-12	1,144.06	1,121.10	22.96
MERCK & CO., INC. CM	16-Mar-10	14-Mar-12	5,110.13	5,068.08	42.05
MERCK & CO., INC. CM	28-Sep-10	14-Mar-12	4,042.34	3,939.81	102.53
MERCK & CO., INC. CM	3-Oct-11	14-Mar-12	1,944.90	1,661.07	283.83
MERCK & CO., INC. CM	13-Mar-12	14-Mar-12	1,144.06	1,139.70	4.36
MORGAN STANLEY CM	1-Nov-11	3-Apr-12	6,763.52	5,692.83	1,070.69
MYLAN INC CMN	23-Dec-11	1-Aug-12	6,523.46	6,106.99	416.47



NEWFIELD EXPLORATIC	15-Feb-12	27-Jun-12	3,411.30	5,174.99	-1,763.69
NEWFIELD EXPLORATIC	27-Jan-12	27-Jun-12	6,275.74	9,549.35	-3,273.61
NVIDIA CORP CMN	22-Nov-11	1-Mar-12	10,647.72	10,391.40	256.32
NVIDIA CORP CMN	19-Jan-12	1-Mar-12	3,131.68	2,935.94	195.74
NVIDIA CORP CMN	22-Nov-11	15-Feb-12	4,587.65	4,234.08	353.57
ORACLE CORPORATION	16-Aug-12	1-Nov-12	15,602.02	15,939.72	-337.7
OCCIDENTAL PETROLEI	13-Dec-11	3-Oct-12	7,476.06	8,267.71	-791.65
OCCIDENTAL PETROLEI	22-Dec-11	3-Oct-12	4,536.04	5,055.07	-519.03
OCCIDENTAL PETROLEI	18-Jun-12	3-Oct-12	756.01	750.15	5.86
OCCIDENTAL PETROLEI	20-Jun-12	3-Oct-12	4,704.04	4,742.74	-38.7
OCCIDENTAL PETROLEI	16-Jul-12	3-Oct-12	7,644.06	7,772.39	-128.33
OCCIDENTAL PETROLEI	13-Dec-11	27-Jan-12	10,116.16	9,382.46	733.7
P G & E CORPORATION	20-Aug-10	1-Nov-12	1,096.67	1,168.94	-72.27
P G & E CORPORATION	19-Aug-10	1-Nov-12	10,502.72	11,191.08	-688.36
P G & E CORPORATION	28-Sep-10	1-Nov-12	4,386.68	4,716.06	-329.38
P G & E CORPORATION	3-Dec-10	1-Nov-12	4,217.96	4,783.81	-565.85
P G & E CORPORATION	13-Mar-12	1-Nov-12	970.13	999.58	-29.45
PEPSICO INC CMN	1-Jul-10	21-Feb-12	7,327.06	7,093.26	233.8
PEPSICO INC CMN	12-Jul-10	21-Feb-12	4,295.17	4,317.57	-22.4
PEPSICO INC CMN	6-Aug-10	21-Feb-12	3,979.35	4,146.23	-166.88
PPL CORPORATION CM	12-Apr-11	22-Dec-11	5,602.50	4,960.54	641.96
PPL CORPORATION CM	12-Apr-11	19-Jan-12	4,840.85	4,516.70	324.15
PRUDENTIAL FINANCIA	23-Sep-09	13-Feb-12	8,841.98	7,513.86	1,328.12
PRUDENTIAL FINANCIA	9-Oct-09	23-Apr-12	3,347.26	2,905.64	441.62
PRUDENTIAL FINANCIA	23-Sep-09	23-Apr-12	3,053.64	2,657.97	395.67
SPRINT NEXTEL CORPO	28-Jul-09	9-Aug-12	1,411.25	1,351.01	60.24
SPRINT NEXTEL CORPO	18-Feb-10	9-Aug-12	2,827.28	1,926.66	900.62
SPRINT NEXTEL CORPO	19-Nov-10	11-Oct-12	2,873.81	1,991.25	882.56
SPRINT NEXTEL CORPO	21-Apr-10	11-Oct-12	5,079.57	3,641.22	1,438.35
SPRINT NEXTEL CORPO	19-Nov-10	15-Oct-12	2,807.82	1,947.36	860.46
SPRINT NEXTEL CORPO	19-Nov-10	25-Oct-12	4,434.61	3,184.41	1,250.20
SPRINT NEXTEL CORPO	18-Jun-12	25-Oct-12	1,589.35	878.02	711.33
SPRINT NEXTEL CORPO	3-Oct-11	25-Oct-12	2,022.81	1,090.27	932.54
SPRINT NEXTEL CORPO	6-May-08	18-Jan-12	982.42	3,700.85	-2,718.43
SPRINT NEXTEL CORPO	12-Jun-08	18-Jan-12	816.77	2,904.93	-2,088.16
SPRINT NEXTEL CORPO	28-Jul-09	18-Jan-12	777.66	1,547.94	-770.28
SPRINT NEXTEL CORPO	3-Jun-08	18-Jan-12	230.08	971.29	-741.21
SPRINT NEXTEL CORPO	2-Jul-09	18-Jan-12	724.74	1,436.40	-711.66
SPRINT NEXTEL CORPO	18-Feb-09	18-Jan-12	368.12	448	-79.88
SPRINT NEXTEL CORPO	21-Apr-10	9-Aug-12	1,554.76	1,341.72	213.04
SLM CORPORATION CN	25-Aug-08	29-Feb-12	2,400.02	2,156.95	243.07
SLM CORPORATION CN	2-Jul-09	29-Feb-12	2,304.66	1,398.21	906.45
SLM CORPORATION CN	12-Jan-10	29-Feb-12	6,294.10	4,562.62	1,731.48
SLM CORPORATION CN	9-Feb-10	29-Feb-12	5,515.28	3,713.36	1,801.92
SLM CORPORATION CN	18-Feb-10	29-Feb-12	4,021.23	2,803.16	1,218.07
SLM CORPORATION CN	27-Jun-12	7-Nov-12	5,897.30	5,263.40	633.9
SLM CORPORATION CN	28-Jun-12	7-Nov-12	10,978.84	9,795.18	1,183.66

SUNTRUST BANKS INC.	20-Dec-10	13-Mar-12	4,788.56	5,931.32	-1,142.76
AT&T INC CMN	22-Dec-11	6-Jun-12	14,493.48	12,607.24	1,886.24
AT&T INC CMN	5-Mar-12	15-Jun-12	5,608.76	4,858.00	750.76
AT&T INC CMN	22-Dec-11	15-Jun-12	3,893.98	3,233.39	660.59
AT&T INC CMN	5-Mar-12	31-Jul-12	10,860.32	8,973.37	1,886.95
TEVA PHARMACEUTICA	12-Nov-10	8-Feb-12	6,726.69	7,615.69	-889
TEVA PHARMACEUTICA	13-Jan-11	8-Feb-12	4,499.31	5,499.36	-1,000.05
TEVA PHARMACEUTICA	11-Nov-10	8-Feb-12	3,697.45	4,210.39	-512.94
TEVA PHARMACEUTICA	15-Nov-10	8-Feb-12	4,588.40	5,231.25	-642.85
TEVA PHARMACEUTICA	3-Oct-11	8-Feb-12	1,291.88	1,076.77	215.11
THE TRAVELERS COMP.	15-Dec-11	28-Jun-12	3,281.70	3,003.22	278.48
TEXAS INSTRUMENTS II	22-Dec-11	23-Jan-12	2,287.35	2,023.93	263.42
TEXAS INSTRUMENTS II	22-Dec-11	25-Jan-12	12,878.02	11,644.92	1,233.10
TEXAS INSTRUMENTS II	7-Jun-12	25-Jun-12	13,787.63	14,550.90	-763.27
UNILEVER N.V. NY SHS	6-Jan-11	9-Jan-12	3,437.82	3,107.68	330.14
UNILEVER N.V. NY SHS	6-Jan-11	18-Jan-12	12,087.82	11,272.97	814.85
UNILEVER N.V. NY SHS	2-Feb-11	18-Jan-12	5,978.57	5,561.96	416.61
U.S. BANCORP CMN	21-Jun-10	1-May-12	10,100.52	7,395.45	2,705.07
U.S. BANCORP CMN	28-Sep-10	28-Jun-12	1,393.19	975.81	417.38
U.S. BANCORP CMN	21-Jun-10	28-Jun-12	1,207.43	927.4	280.03
VERTEX PHARMACEUTI	8-Feb-12	7-May-12	4,961.53	3,374.25	1,587.28
VERTEX PHARMACEUTI	8-Feb-12	14-May-12	3,511.79	1,980.54	1,531.25
WALGREEN CO. CMN	19-Jul-12	24-Sep-12	18,772.78	17,987.93	784.85
WALGREEN CO. CMN	1-Aug-12	24-Sep-12	4,639.66	4,715.92	-76.26
WALGREEN CO. CMN	27-Mar-12	2-Apr-12	7,271.91	7,440.99	-169.08
WALGREEN CO. CMN	27-Mar-12	2-Apr-12	7,149.16	7,232.37	-83.21
WALGREEN CO. CMN	27-Mar-12	2-Apr-12	6,324.25	6,473.43	-149.18
WELLPOINT, INC. CMN	18-Feb-09	22-Dec-11	667.59	406.7	260.89
WELLPOINT, INC. CMN	28-Oct-08	22-Dec-11	5,006.93	2,915.45	2,091.48
WELLPOINT, INC. CMN	2-Jul-09	22-Dec-11	2,336.57	1,755.60	580.97
WELLPOINT, INC. CMN	18-Feb-10	22-Dec-11	3,538.23	3,130.71	407.52
WELLPOINT, INC. CMN	3-Oct-11	22-Dec-11	1,401.94	1,376.55	25.39
WILLIAMS-SONOMA, II	27-Feb-12	4-Sep-12	2,679.42	2,582.44	96.98
WILLIAMS-SONOMA, II	27-Feb-12	5-Sep-12	3,429.18	3,257.85	171.33
WILLIAMS-SONOMA, II	27-Feb-12	14-Sep-12	10,551.51	9,336.51	1,215.00
WILLIAMS-SONOMA, II	8-Jun-12	14-Sep-12	942.9	725.97	216.93
XILINX INCORPORATED	20-Jan-12	24-Apr-12	13,674.46	14,307.24	-632.78
XILINX INCORPORATED	16-Feb-12	24-Apr-12	4,512.91	4,931.42	-418.51
			1,089,980.70	1,043,569.78	46,410.92

Description	Trade Date	Date Sold./ Cov	Proceeds (B: Cost	Gain/Loss
GS ENHANCED INCOME	26-Feb-09	3-Jul-12	100,000.00	100,635.24 -635.24
THE GOLDMAN SACHS	16-Mar-11	24-Sep-12	145,000.00	145,000.00 0
THE GOLDMAN SACHS	16-Mar-11	30-Aug-12	310,026.99	273,000.00 37,026.99
			555,026.99	518,635.24 36,391.75

Description	Trade Date	Date Sold / Cov	Proceeds (Base Cost)		Gain/Loss
APPLE, INC. CMN	15-Jan-09	15-Feb-12	9,545.83	1,540.32	8,005.51
APPLE, INC. CMN	15-Jan-09	17-Apr-12	7,285.80	972.83	6,312.97
AMERICAN TOWER COI	5-Aug-05	24-Oct-12	3,005.23	937.53	2,067.70
AVON PRODUCTS INC.	7-May-10	5-Apr-12	3,882.76	4,784.31	-901.55
AVON PRODUCTS INC.	28-Jul-10	5-Apr-12	2,743.50	3,533.62	-790.12
AVON PRODUCTS INC.	2-Nov-10	5-Apr-12	860.25	1,072.74	-212.49
CAMERON INTERNATIC	13-Dec-11	19-Jun-12	3,105.43	3,461.01	-355.58
CAMERON INTERNATIC	17-Jun-11	19-Jun-12	8,956.25	9,183.20	-226.95
DEVON ENERGY CORPC	18-Jul-11	14-Nov-12	2,740.47	4,059.42	-1,318.95
DEVON ENERGY CORPC	21-Mar-11	29-May-12	6,193.29	9,366.73	-3,173.44
DEVON ENERGY CORPC	21-Mar-11	14-Nov-12	1,450.84	2,503.98	-1,053.14
DEVON ENERGY CORPC	11-Jul-11	14-Nov-12	4,621.18	6,795.43	-2,174.25
EMERSON ELECTRIC CC	2-May-11	12-Jan-12	775.97	971.89	-195.92
EMERSON ELECTRIC CC	3-May-11	12-Jan-12	6,110.79	7,343.99	-1,233.20
EMERSON ELECTRIC CC	15-Jun-11	3-Feb-12	3,584.09	3,571.87	12.22
EMERSON ELECTRIC CC	3-May-11	3-Feb-12	5,376.13	5,945.13	-569
EMERSON ELECTRIC CC	23-May-11	3-Feb-12	6,008.62	6,115.91	-107.29
EQUINIX INC CMN	4-Aug-08	25-Apr-12	6,089.47	3,137.48	2,951.99
EQUINIX INC CMN	28-Jul-08	25-Apr-12	2,588.02	1,535.44	1,052.58
EQUINIX INC CMN	4-Aug-08	13-Sep-12	5,217.64	2,039.36	3,178.28
FACEBOOK, INC. CMN	23-May-12	17-Sep-12	6,620.47	9,760.84	-3,140.37
HALLIBURTON COMPAI	21-Dec-09	8-Nov-12	2,088.26	2,063.52	24.74
HALLIBURTON COMPAI	18-Feb-10	8-Nov-12	337.81	342.76	-4.95
JOHNSON & JOHNSON	18-May-09	24-Feb-12	450.97	388.75	62.22
JOHNSON & JOHNSON	2-Jul-09	24-Feb-12	4,767.40	4,148.01	619.39
JOHNSON & JOHNSON	18-Feb-10	24-Feb-12	4,509.71	4,491.25	18.46
LOWES COMPANIES IN	12-Mar-09	14-Dec-11	1,237.60	780.65	456.95
LOWES COMPANIES IN	25-Sep-07	14-Dec-11	5,047.45	6,029.19	-981.74
LOWES COMPANIES IN	2-Jul-09	11-May-12	748.12	471	277.12
LOWES COMPANIES IN	12-Mar-09	11-May-12	5,805.38	2,969.52	2,835.86
LOWES COMPANIES IN	25-Sep-09	11-May-12	1,196.99	840.43	356.56
LOWES COMPANIES IN	18-Feb-10	7-Aug-12	1,429.10	1,263.28	165.82
LOWES COMPANIES IN	25-Sep-09	7-Aug-12	5,534.52	4,475.28	1,059.24
LOWES COMPANIES IN	21-Jun-10	8-Aug-12	4,649.22	4,042.00	607.22
LOWES COMPANIES IN	18-Feb-10	8-Aug-12	2,077.86	1,837.49	240.37
LOWES COMPANIES IN	2-Aug-10	15-Aug-12	4,768.42	3,723.43	1,044.99

LOWES COMPANIES INC	21-Jun-10	15-Aug-12	241.1	203.23	37.87
LOWES COMPANIES INC	6-Oct-10	15-Aug-12	5,223.83	4,406.32	817.51
LOWES COMPANIES INC	3-Mar-11	15-Aug-12	2,518.15	2,461.36	56.79
MASTERCARD INCORPC	13-May-10	21-May-12	811.63	475.23	336.4
MASTERCARD INCORPC	18-Feb-10	21-May-12	4,463.97	2,456.74	2,007.23
MASTERCARD INCORPC	9-Feb-10	21-May-12	4,869.79	2,705.28	2,164.51
MARRIOTT INTERNATIC	5-Aug-11	18-Jan-12	4,293.68	3,552.08	741.6
NIKE CLASS-B CMN CLA	21-Oct-09	22-Mar-12	7,813.37	4,656.82	3,156.55
ORACLE CORPORATION	24-Apr-09	24-May-12	2,115.44	1,627.78	487.66
ORACLE CORPORATION	21-Apr-09	24-May-12	3,760.78	2,803.29	957.49
ST JUDE MEDICAL INC (	22-Jul-09	6-Dec-11	1,286.27	1,294.45	-8.19
ST JUDE MEDICAL INC (	10-Feb-09	6-Dec-11	3,528.05	3,489.56	38.49
ST JUDE MEDICAL INC (	2-Jul-09	6-Dec-11	551.26	596.39	-45.13
ST JUDE MEDICAL INC (	22-Jul-09	11-Apr-12	3,826.67	3,587.49	239.18
ST JUDE MEDICAL INC (	22-Oct-09	11-Apr-12	2,169.76	1,894.84	274.92
ST JUDE MEDICAL INC (	9-Feb-12	19-Nov-12	4,964.82	5,971.55	-1,006.73
ST JUDE MEDICAL INC (	18-Feb-10	19-Nov-12	1,250.14	1,363.25	-113.11
ST JUDE MEDICAL INC (	29-Jun-10	19-Nov-12	1,393.01	1,432.45	-39.44
ST JUDE MEDICAL INC (	16-Feb-11	19-Nov-12	5,000.54	6,612.81	-1,612.27
ST JUDE MEDICAL INC (	2-Dec-10	19-Nov-12	1,643.04	1,847.53	-204.49
ST JUDE MEDICAL INC (	18-Feb-10	18-Jul-12	2,181.47	2,259.10	-77.63
ST JUDE MEDICAL INC (	22-Oct-09	18-Jul-12	2,632.82	2,411.62	221.2
THERMO FISHER SCIEN	2-Jul-09	3-Apr-12	1,404.00	989.26	414.74
THERMO FISHER SCIEN	18-Feb-10	3-Apr-12	3,088.81	2,692.39	396.42
THERMO FISHER SCIEN	18-May-09	3-Apr-12	2,190.25	1,358.24	832.01
THERMO FISHER SCIEN	3-Aug-10	3-Apr-12	3,425.77	2,707.74	718.03
THERMO FISHER SCIEN	11-Aug-10	3-Apr-12	6,795.38	5,445.94	1,349.44
THERMO FISHER SCIEN	5-Aug-10	3-Apr-12	1,684.80	1,356.01	328.79
THERMO FISHER SCIEN	31-Jan-11	3-Apr-12	4,155.85	4,232.98	-77.13
THERMO FISHER SCIEN	31-Jan-11	5-Apr-12	444.84	457.62	-12.78
URBAN OUTFITTERS IN	6-Sep-11	1-Oct-12	8,596.78	5,828.85	2,767.93
			239,736.91	209,677.79	30,059.11